

Metropolitan Transit Commission



METROPOLITAN TRANSIT COMMISSION

Wednesday, August 23, 2023 5:30pm

Charlotte-Mecklenburg Government Center Conference Room 267 - WebEx AGENDA

I.	Call to Order
II.	Approval of the July 26, 2023 Summary (p.5-15)
III.	Public Comments
IV.	Transit Work Group Update (p.17-23)Mayor Melinda Bales and Mayor John Higdon
V.	 Interim Chief Executive Officer's Report (p.25-41) Communications to MTC Board Members (p.25-26) CATS Safety Reports (p.28-31) Ridership Reports (p.33-39) Sales Tax Report (p.41)
VI.	Informational Items • 2023 Title VI Program Update (p.43-137)
VII.	Action Items • CATS Agency Safety Plan (ASP) (p.163-318)
VIII.	Report from the Chair of the Transit Service Advisory Committee (TSAC)Jarrett Hurms
IX.	Report from the Chair of the Citizens Transit Advisory Group (CTAG) No Meeting
X.	Adjourn

METROPOLITAN TRANSIT COMMISSION MEETING SUMMARY July 26, 2023

(Approved on August 23, 2023)

Presiding: Mayor Vi Lyles, City of Charlotte

Present:

Mecklenburg County Manager Dena Diorio City Councilman Edmund Driggs (Charlotte) Mayor Woody Washam (Town of Cornelius) Andrew Grant (Town Manager, Cornelius) Mayor Rusty Knox (Town of Davidson) Mayor Melinda Bales (Town of Huntersville) Anthony Roberts (Town Manager, Huntersville) Mayor John Higdon (Town of Matthews) Brian Welch (Town Manager, Mint Hill)
Mayor Jack Edwards (Town of Pineville)
Tony Lathrop, Esq. (NCDOT)
Bill Thunberg (Town of Mooresville)
Mayor Walker Reid III (City of Gastonia)
Michael Peoples, (City Manager, Gastonia)
Randi Gates (GCLMPO-Gastonia)

L. J. Weslowski (Transit Director, City of Concord)

Interim CATS Chief Executive Officer: Brent Cagle

I. Call to Order

The hybrid regular meeting of Metropolitan Transit Commission was called to order at 5:30pm by MTC Chairwoman Mayor Vi Lyles, City of Charlotte.

II. Review of Meeting Summary

The meeting summary of May 24, 2023 was updated with corrections and approved.

III. Public Comments

1) Gerecka Tate: I'm a resident of Mecklenburg County. I have been a resident for some time, since 2001. I am here because I have recently been having to take public transportation. I've come across some concerns.

I have written my concerns, and now I'm here to kind of express it verbally. One of the things that I told I wanted to talk about was the app, the CATS. app. It doesn't seem to be matching up the times that the buses say that it's going to run and pick up. I take route 16, bus 16, and I've ran into some issues on numerous occasions. I have to actually walk two miles to get to catch the public transportation. Which to me, I think that's a little excessive. One of my concerns is that, when it is time for me to be picked up, it doesn't match up. The app times does not match up with the times that stated on the poles. Also, the bus doesn't come like it states, that it's going to come.

I'm concerned about it because I take it to work, I take it for various appointments. The fact that I have to walk two miles, just to get access public transportation, that quite concerning and it's a little frustrating! Not a little, it's a lot frustrating!

I'm also putting my life at risk because there's no sidewalks, where I have to access, where I have to travel to catch the bus.

I am here to see where you guys are at in terms of where I live. I live off of highway 160, the Steele Creek area. I'm just trying to see what your process is. How are we going about trying to, at least, get a midway point, bus stop? Some of these stops that I am having to come across, I don't see it being ADA compliant. I'm sorry but there's a lot of issues in the Department

of Transportation here in Charlotte, and I'm just looking for some answers and hoping to resolve this issue, because I know I'm not the only one that it's affecting. Thank you very much for your time.

Discussion:

MAYOR LYLES (City of Charlotte): First, Ms. Tate, Thank You. I'm sorry and thank you, for helping us be more aware of what it means to be a person that rely on public transportation. I, by no means, have an answer for you today. It is definitely a work item in process for us, and we are trying our very best to get through these issues. I know you had an opportunity to go to TSAC and have the same conversation. I'm sure we'll hear ideas around that. I hope that you know that the team of people, particularly, Mr. Lawrence, will be able to work with you.

Yes, two miles is too long to walk. we're working on it and I'm sorry that you are having to go through this experience now. We want you to hang in there with us, please?

MS TATE: Well, thank you. I want us to all to be able to resolve this problem; not just for myself, but for the public.

MAYOR LYLES (City of Charlotte): We absolutely agree with you, concur completely with you.

2) Chris Wallace: I would like to talk about an overdue service that could expand a significant ridership base in North Meck, assist in traffic relief and provide incentive for taxpayers continuous -- on the red line, a rail replacement bus service, running on NC 115 with stops throughout Davidson, Cornelius, Huntersville and Charlotte, before arriving in Huntersville gateway. To provide context, I believe it was around five years ago, CATS utilized the 1-77 express lanes to implement an interim service, the Metro Rapid BRT, 48x and 63x. This alternative was selected for its low capital costs and efficient travel times, and the fact that it's easy to adjust a bus route. The downside of low cost was the inability to serve the downtown, and for that reason, even if all day and weekend service are implemented on these routes, cross-town connections would be impact due to the locations of the park and rides.

For the same reason, they're unable to leverage or amplify the higher density rezoning work done by town leadership, in anticipation of the LYNX red line. Developments that are higher density, such as Hambright -- unfinished and up scaling back, and the main street and the business owners waiting on the connectivity they were promised. This trade-off was made carefully at the time and deemed agreeable for the sake of getting the ball rolling, the impact of the lack of integration was significantly underestimated and it's time to reassess the corridor with service on 115 originally being dismissed over reliability concerns, due to traffic. that's not unreasonable.

In the intervening years, significant work has been done to improve traffic flow and overall mobility. Travel time is a great goal, but integration is arguably a much more important goal for the towns themselves. Briefly describe my idea for the service:

CATS should require vehicles, to showcase the purpose and locate them on the route outside of the rapid transit hours, providing all day service from Davidson College to uptown. By operating outside of the hour, you'll avoid peak traffic times, and then by using specialized vehicles, you restore taxpayer faith in your ability to deliver quality returns while also advertising the service anytime anyone wants to use the bus. By operating both services in tandem, you maximize your ability to capture customers and meet their needs, but more importantly, by servicing the corridor with a bus, substantial high-quality data that will go to the LYNX Red Line.

I would like to discuss this further after tonight's meeting and thank you for your time.

Discussion:

MAYOR LYLES (City of Charlotte): Thank you, Mr. Wallace. We appreciate your participation and your recommendations for us to review and appreciate this opportunity. All of are you guys on 115, get ready, think about this.

MAYOR EDWARDS (**Town of Pineville**): For the past several years, we have been trying to get pads put in where it's sloping down, on to the 51. Between our planning director and myself, we've been asking and asking and asking. It's always off in the distance some place like a cloud. These are dangerous, it's not only not ADA compliant, but people on a wet day can also slide down the hill.

I've said before, you just can't stick a sign in the ground and expect it to be a perfect location for the bus to stop. We have tried and tried, we're putting sidewalks in, we had requested -- you take care of the pad, and the shelter, and we'll take care of the sidewalks going up 51; Nothing -- this is more than once, more than twice, probably ten times.

Just as an input. I understand Steele Creek and the issues they've gotten.

IV. Transit Work Group Update – Based on pages 25-76 in the MTC Agenda Packet for July 26th, 2023

Discussion:

MAYOR BALES (**Town of Huntersville**): Mayor Higdon and I met with the Charlotte Working Group on July 11th, and I will tell you as you read through your material in your packet, several things we walked through several issues or items.

We got an update on the progress report that was provided. The FTA financial management oversight review kicked off this month, and Mr. Cagle will provide further details as part of his CEO report.

We also had a presentation from management partners. They changed recently changed their name and it's now Baker Tilley. We have representatives from management partners. They presented the CATS management roadmap and the priority areas of focus. We did receive this presentation back in December 2022, but we had a little bit more opportunity to have the review at a higher level, and what I will tell each MTC member is that I would highly encourage that if you would like to have that opportunity to sit down to have a higher-level indepth discussion, please see Mr. Cagle. I'm sure we can set that up. I highly recommend it. I thought it was valuable. I think that you would appreciate some of the insight.

As a result of the review, the consultants recommended several next steps. Some of which are already underway: Leadership development and management team building targeted plan to fill vacancies more quickly; organization structure analysis, contract and performance management systems, etc. I would just say that at the end of the day, given Baker Tilley Management Partners knowledge of CATS through the review, I think they will be able to assist us as we move things forward.

MAYOR HIGDON (**Town of Matthews**): Some of the other recommendations were transit management services and RFP, clear communication protocols and a reinvented governance structure that reflects community wide services and one of the things that we also discussed was having key performance indicators brought back before this group. We can judge how things are going and Mr. Cagle has committed to bringing that forward to us.

The only other thing I'll say is the folks that were present, I don't have a list of all of them, but Mr. Cagle, Councilman Driggs, Councilman Bokhari, Charlotte City Manager Marcus Jones, and several other CATS and Charlotte Officials. A really, really good meeting. I think it lasted over two hours.

MAYOR BALES (**Town of Huntersville**): It was a great meeting and I think that as we continue to build the relationships between the MTC and the Charlotte Working Group I think that the relationships that we have and the direction that CATS is going, we're really having that opportunity to level set. Push things forward that really will matter to our residents at the ended of the day, because at the end of the day, they are the ones who matter and that's why we're here.

One final thing. I will highly recommend or second your recommendation that everybody on the MTC take the time to sit down and hear this presentation because it's difficult for us to explain everything that was discussed in a 45-second sound bite.

COUNCILMAN ED DRIGGS: It is the Charlotte/MTC Working Group and we're working together on this and in the same standing.

I will comment that the report was very detailed and unspare. I think it's fair to say, about the situation that existed at CATS. I was personally encouraged by the fact that when I asked them, is the work he work that we're doing, is there an overlap between the issues you saw and the work that we're doing, and they said yes.

I also asked them; would you say it's fair that the situation now is very different from then? They said yes and I think Mr. Cagle will talk about some continuing work he may do with them.

I, too, felt it was a very constructive meeting. We spent about two hours. I think it's possible to do it in less time, but if you really want to know a lot of the nitty-gritty about what was going on, and what we're dealing with, it's in the slides that are available and also again you can have the private show there.

MAYOR LYLES (City of Charlotte): Thank you. I really have heard such positive comments, not necessarily on what the discussions are, but the discussions are taking place. I want to thank all of you for the participation that you are taking. The serious efforts that are being made. I think that this is going to be very beneficial and perhaps something that would be of standing idea for us.

V. <u>Interim Chief Executive Officer's Report</u> – Based on pages 78-106 in the MTC Agenda Packet for July 26th, 2023

Discussion:

INTERIM CATS CEO CAGLE: Thank You MTC and Mayor for letting me to make these comments. First of all, I'll start where the last conversation left off, we will reach out Paulus will reach out to members of the MTC to ask if you would like to have participate in a separate meeting with management partners, now Baker Tilley, to go through their presentation. The presentation itself is in the packet. It was distributed in December 2022, but it's in this MTC Agenda Packet.

It is very beneficial. I would agree that it is beneficial to hear from Baker Tilley Management Partners, their observations on their findings in the study. With that, I will go through some of the items in my report.

First item is related to the May 2022 incident on the blue line. As y'all are aware, I sent out a letter last week informing MTC that we have reached an agreement with Siemens related to the truck overhaul scope of work. An additional work required as we continue to conduct the ongoing truck maintenance or vehicle maintenance. We are very close to finishing the contract on the technology system that will be installed on all of the vehicles. That should be completed within the next two weeks. The terms and conditions were just ironing it out. The lawyers are making sure that all of the t's are crossed and the i's are dotted. There is one update to the part of the report, the memo that I sent stated that we will install the technology monitoring system on all of the S70 vehicles, S70 vehicles currently serve our Light Rail Blue Line. However, as we were looking at it, and talking to Siemens, we will install them on the S70 and we will include the S700 vehicles, which are the Gold Line Vehicles. Those vehicles are relatively new. While we're making this change and given the value that we see in the technology contract, there's no reason not to include those vehicles as well. That will be the only change from the letter.

Second item - we had a derailment on May 10th, 2023. It was a light rail derailment, it occurred in our service yard. We sent out communications to the MTC on the day that that occurred. We have completed the investigation in conjunction with NCDOT and what we have determined, a couple of things:

- 1) the derailment in the yard was not a bearing related issue. The investigation determined that this was not a bearing issue.
- 2) What were the factors that led to the derailment? This one is a little bit harder to describe in that as they went through the investigation, they identified some small contributing factors that all came together at once, that led to it. Some of those contributing factors, the wheels on the vehicle had recently been ground -- grinding the wheels is a normal maintenance procedure. They had been recently or freshly ground and that creates very small striations in the face of the wheel. Because they put it on a lathe and they ground grind, the striations are normal and they are not outside of the normal spec, but that was one contributing factor. In association with that, they determined that the track where this occurred had some minor wear on the crown of the track.

Again, it was not outside of normal specifications but there was some wear there. They also determined that along the track, there are devices called track greasers. They do exactly what the name implies, they grease the track, especially in corners. They're intended to reduce friction along the track. Track greasers have two heads, one head, they believe was clogged or inoperable at the time and the train was moving at a very slow speed.

What they surmised is it was in a corner, the wheel was freshly ground with striations, there was slight wear on the track, and as the operator was resuming, you know, the stops to come through the corner, as they took off to move forward, at that slow speed, the wheel literally just caught and rode up over the track. It was one of those things that there was not a single item that could be identified as the cause, it was just many small causes that all came together right time, right place circumstances.

Again, this derailment occurred in the yard. no passengers on board, no injuries, the operator was fine, and we conducted the full investigation with NCDOT that it was the trailing wheel assembly, two vehicles per train and three trucks per vehicle. This was the trailing vehicle, trailing truck in effect that -- the rear wheel set of the train rode up over the track for several contributing, we surmised, due to several contributing factors.

BRIDGE INSPECTION: An update on our bridge inspection. The last time I said that the parking decks are inspected, they are all and are completed. North Davidson has known issues and we continue to work on that with our engineers.

We continue to have six bridges that remain to be inspected. The reason those bridges are lagging for the inspection is all of them are in various railroad right-of-ways, either NCRR, Norfolk Southern or CSX or multiples of those.

The first thing we have to do is get right of entry from the railroads involved. The second thing we have to do is schedule those inspections around their operations. Then the third thing we have to do is we bring in a specialty crew to conduct these inspections, because they literally require rappelling from above the bridges and those kinds of things.

We continue to work on right of entry and scheduling as soon as we can get all of this come together, with scheduling, we will let the MTC know and make you aware of the status. We remain working through it on these six remaining bridges.

NCDOT - Related to NCDOT, we've had no critical correspondence this month or since the last meeting. There was one inspection and an announced inspection that NCDOT conducted. This was an inspection of some of our at-grade crossings along the Blue Line. They found some minor items for maintenance but no safety critical items. These were items such as the blinking lights along an at-grade Crossings were dirty. They had dust on them. We need clean lenses. The junction boxes; they would normally have locks on them and a couple of them did not, we have replaced the locks.

There were certainly issues that we were happy to address and happy that they brought to our attention, but they were minor maintenance type of issues and not safety critical items.

FISCAL YEAR CLOSEOUT - We have recently closed out our financial fiscal year. Mr. Howell and our finance department are working through the results. We will have more results as the close out completes. I do feel comfortable letting you know that we feel confident that we will end this fiscal year with a surplus or net revenues remaining, i.e., our revenues exceeded our expenditures. We will have a final number as we go through financial close out and we'll provide more information to the MTC as we have been.

RECRUITMENT - We have made some pretty aggressive changes in our pay structure for our field units.

If you'll recall the collective bargaining agreement went into place for the bus operators who are not City of Charlotte employees but do have a collective bargaining agreement and work for the contractor, that provided them with some pretty aggressive pay increases as well. We have followed suit for our employees. especially in field units.

What that means is our rail operators, targeting our rail operators, our rail operators control center staffing and our STS or Special Transportation Services Operators. Those pay increases are on the order of anywhere between 5-15% increases, ongoing to their base rates of pay. That is showing signs of improvement in our recruitment and retention efforts.

It's been about a month now. A month doesn't create a trend. As we have more trend information, we'll certainly provide that and share the trends with you. We are seeing some positive signs there. anecdotally from employees, feeling that, we are doing the right thing to pay them appropriately. Also, in new hires and our recruitment classes.

FTA - From the FTA standpoint, we talked over several meetings that the FTA is conducting a special review, and the special review has two areas of emphasis, one is finance and the second is operations.

On July 19th, the FTA and CATS had an opening meeting for the beginning of the financial management oversight or FMO, portion of the review. Since July 19th, we have been providing them documents that they have requested.

The FTA will move through this process basically in three phases. The first phase is gathering data and assessment. The second phase is testing, including interviews with staff. Then the third phase is reporting.

The timelines that they provided us are that the first and second phases should take between four and six weeks for those two phases. The third phase, which is reporting, really results in their findings, and their draft findings will be issued within 30 days of completion of the testing phase. That gives us a roughly 2 ½ to 3 ½ months horizon, we believe, based on our initial conversation or opening meeting with them. That's on the FMO.

The operations review, FTA is in final process through their procurement to select an operations review consultant. They have not done that. We expect that to be anytime now. When that occurs, the operations review consultant will then contact us and establish the same process with an opening meeting as soon as we have dates on that. When we know more on that, we will provide updates to the MTC.

BUS MANAGEMENT RFP - Bus Management RFP. Everyone is aware, our current bus management contract is held by a company called RATP Dev. Their contract expires in February of 2024. Earlier this year, we issued the RFP for the service. We received two proposals; RAPT Dev wasn't one of the proposers. We are in the process of evaluating the two proposals and going through the process of having conversations and interviewing those proposers. We will be moving forward or providing the MTC with additional information as well as the city council as we go through the deliberations and make a final recommendation on one of the two proposers. However, we know because they did not propose, our next bus operations contract will not be held by the current contractor RAPT Dev.

FTA Grant - Catherine Kummer – CATS Sustainability, Resiliency and Governmental Affairs Officer

I am honored to share some really good and exciting news for the Charlotte Area Transit System. Last month, after a competitive application process, we were awarded \$30 million by the Federal Transit Administration for the Low or No Emission Grant, Bus and Bus Facilities grant program that we have applied for. Historically, however, this is by far the largest amount in which we've been granted. and the with CATS competitive match to this competitive participation contribution, we're looking at a total of roughly \$57 million of investment, back into our transit system.

Let take a minute to acknowledge that, but also, acknowledge the teams that came together at CATS: Grants, Planning, Development, to Sustainability, and partial, but also, to our Marketing and Communications team, Bus Operations division, IT division, HR division. Honestly, we all came together to pull off this grant and submit it. We're really happy that it will be replacing 31 of our oldest diesel buses and installing new electric vehicle charging infrastructure and helping us advance the workforce development program, which was developed by Dr. Tina Hall and her team that's responsible for training at CATS Serve Academy. We will be having an event next week and you (MTC) all are invited. We hope you will join us in that celebration.

We'll also have special announcements around our workforce development program. If you have not received your invitation, let us know, we'll make sure that you get that as quickly as we can. Thank you.

MAYOR LYLES (City of Charlotte): Thank You. This is great news and we're very much appreciating when we get a competitive grant and get this kind of award. It makes a huge difference, and we look forward to the celebration of the event and hearing more about the impact as well. Thank You.

MAYOR KNOX (Town of Davidson): I do want to give special thanks to Katherine and all of the CATS team. We have received one Low or No Emission Grant for \$3 million. This is a tenfold increase, this was a great win, and I really appreciate all of the hard work that they have put into it. More is better.

MAYOR LYLES (City of Charlotte): We are working with our sustainability partners in Washington as the Office Administration is putting out this money and trying to make sure that the small things really will make a difference. When you do the transit system aside from the pumps and the things that they are doing with consumers, I think that seeing this effort is huge for us. In the community like ours, to think that we get rid of the diesel buses, really? Any part of that is really good.

VI. Informational Items

Service Planning Update

Jason Lawrence

Jason Lawrence – CATS Planning Director – shared a presentation to provide Service Planning Update; based on pages 108-121 in the MTC Agenda Packet for July 26th, 2023 meeting.

Discussion:

MAYOR HIGDON (**Town of Matthews**): Thank you, Jason. Very good report. Obviously, your goal for missed routes is probably zero, but is there a best-in-class realistic goal of x% or historical level that CATS has hit that you think is good?

JASON LAWRENCE: I think -- let us look back at some of the historical data. We've been watching this more closely, of course, during the pandemic with the operator shortages, we would like to confirm where we were historically to come back to. I do think it would be hard to get 0% every day, obviously, but I think what's changed and what's challenging before the pandemic. We had a fairly large, what we call an extra board. We had a lot of extra operators that we could assign to services, throughout the day. We just don't have that flexibility now. Every day we're expending our extra board. Before pandemic, we often did not do that.

I think that the point of this conversation we come out of this is coming up with metrics that we can effectively meet, but I think we want to get as close too as possible, absolutely.

INTERIM CATS CEO CAGLE: Mayor Higdon, members of the MTC. We've talked about unscheduled absences. They contribute to missed trips. There's a direct correlation there. We are working through that with our own staff and the contractor is working through that and making changes, the other thing that I will say. When you see January, we were down at about 1%. July, we're at about 4%.

We would like the 4% to be lower. I i will say and Jason, alluded to this. There is a high amount of seasonality in missed trips. What happens is, right now, the unscheduled absences across the year, across all 12 months are about the same. right? There's not a whole lot of variation in unscheduled absences across the year. There is a huge amount of variation in scheduled absences, or vacation time. A spike where we would expect them to be; July and August; and in December. I do think that we have some opportunities to better manage scheduled absences, our operators clearly, that's an impact on them.

Summers are when we all take vacations, primarily because kids are out of school and all of those things and around Christmas time and those things, so we are looking at that. But right now, 4% as Jason said, given that this is sort of the season where we do have the shortages are really exacerbated because of the scheduled absence. We feel like we're moving in the right direction on our staffing and position to make trips.

MAYOR BALES (**Town of Huntersville**): Mr. Lawrence, I just want to say Thank You to yourself, to all of CATS staff, to Mr. Cagle, for revisiting and relooking at how we can improve the customer service. How we can market and promote our service to the community at-large.

Many times, I have conversations with folks, and they don't know that the service may or may not exist. I think the initiatives that we have here, especially for community like mine, just north of the town, or from the city, where Microtransit will be implemented, I think that as we continue to move and you continue to push for a better experience to make sure it's approachable and it's accessible and it's easy to use, I think what we will find is more and more of our residents will utilize the service.

Thank you for taking that initiative and putting that out there for us this evening.

KRISSY OECHSLIN (**TSAC Chairwoman**): Since there's been a lot of good news with the funding for more buses, and improved maintenance and safety on the blue line, raising salaries for operator, the bus stop amenities that will be talked about later, but the most important thing is frequency.

Frequency was cut severely last August. With more missed trips, that's on top of less frequent service. Like I spoke before, the Route 16 used to run every 15 minutes and it runs every 30 now. A missed trip is an hour wait. Whereas it used to be 30 minutes. I just want to like keep our eyes on the prize here that restoring the labor force is like the most important thing that CATS can be doing.

I would really be interested to hear updates every month about is raising salary, changing the way that scheduling is done? Is that going to get more operators available that we can increase the service?

It really, all of these other things are good, but the most important thing for riders is frequency and we were lacking in that.

VII. Action Items

A. Changes to the Service & Travel Market Policies

Jason Lawrence

Jason Lawrence – CATS Planning Director – presented for action the Proposed Changes to the Service & Travel Market Policies; based on pages 123-141 in the MTC Agenda Packet for July 26th, 2023 meeting.

Resolution: A motion for accept the updated changes to the MTC-05 Travel Markets & MTC-06 Transit Service Guidelines Polices was made by **Mayor John Higdon (Town of Matthew)**; seconded by **Mayor Melinda Bales (Town of Huntersville)**. Motion carried unanimously.

B. Independence Busway Update

Kelly Goforth

Kelly Goforth – CATS Director of Development – presented for action the Independence Busway Update; based on pages 143-148 in the MTC Agenda Packet for July 26th, 2023 meeting.

Discussion:

MAYOR LYLES (City of Charlotte): I want to commend this effort being expanded, I believe that this is one way that we can keep our young people safe as they decide to travel and solo and south end and all of no other places of entertainment and fun, but by also believe it helps us towards our goal to reduce the amount of vehicle traffic between the schools and the various locations that they want to go. Because this will be a way to, I think, help them reduce their exposure in so many ways. Thank you very much, and it has been a very big success at UNC-Charlotte.

KRISSY OECHSLIN (TSAC Chairwoman): I think that especially for the City of Charlotte, with the mode share goal of getting to 50%, I would love to see -- and I mentioned this to Kelly at the last TSAC meeting where she presented this, this would be a great opportunity for Center City Partners or the Charlotte City Business Alliance to work with major uptown employers to do a program like this, there's already like a 10% discount that CATS offers, which is minimal, but one where say a large bank, were to buy transit passes for all of their employees, in the uptown area, would really move the needle on how people get to work, get people to try transit and reduce our reliance on single occupancy vehicle travel.

MAYOR LYLES (City of Charlotte): I agree with you, a lot of it as well, not just the employers but we've talked about this for apartment complexes that you can come in and get a pass that if you work in -- whatever part of town, if you can get there on a bus, faster, better, we want to try to do that. Hopefully this grows and continues to grow.

COMMISSIONER ALTMAN (Mecklenburg County): I just wanted to underscore what Ms. Oechslin just said. I think it's really wonderful and I'm glad it's considered for apartment complexes as well because we are trying to go for culture change.

Obviously, people love their cars, and that's fine. But as we have more and more people come here, to the extent we can expose people and encourage them to try mass transit, it's just a great win. I love this suggestion that both of you made. I hope we really can do that.

Resolution: A motion for approval of a budget amendment to add \$555K to the Independence Busway Restoration, which will increase the current budget of \$750K to a new total budget of \$1.3M was made by **Mayor John Higdon** (**Town of Matthew**); seconded by **Mayor Melinda Bales** (**Town of Huntersville**). Motion carried unanimously.

VIII. <u>Transit Services Advisory Committee (TSAC)'s Comments</u>

Krissy Oechslin (Chairwoman): We've had two TSAC meetings: Our June meeting, we had approved the transit markets policy changes that you approved earlier. We heard about the CTC redevelopment, environmental assessment. There was some discussion of how bus routes may change in response to both the new CTC as well as the interim while it's being constructed. Both of those ideas include interlining different bus routes, connecting to more hubs can consolidating routes where necessary. The ideas have the potential to make transit for efficient

for riders, but we would take a critical eye to any plans that might reduce services. We look forward to hearing more as plans progress.

We heard about the transit ambassador program, something we were not aware of. It started late last year, where there're sort of a supplemental – ambassadors for riders on some of the bus routes to help answer questions and help with fare collection. I think it's in response to some of the operator's concerns about safety. We were excited to hear about that and hope that that continues to go well.

At our July meeting, an extensive meeting about the bus stop improvement plan. TSAC members have been advocating for more bus stop amenities basically since we've existed. We were really glad to see a line item in the budget for this year that we can actually see what was spent, what got built. There's now a list of actual stops as well as a methodology for choosing what gets built at different stops. There's a pilot for solar lighting at stops. These are all great things.

I mentioned before. Always there's good stuff happening, of course, we still want more frequency.

We also had numerous people support the independence busways. I'm pleased that everybody approved it tonight. My coworker who -- he's been asking about it for a year and now I have good news for him.

We are also glad to hear that the 74X isn't going to be completely discontinued. Of course, we would love to see the Town of Monroe provide partner funding to keep the route its full length as it currently is, but if it has to stop at Indian Trail, at least it will go that far.

- IX. <u>Citizens Transit Advisory Group (CTAG) Chairman's Comments</u> No Meeting
- X. Other Business None

XI. Adjourn

The meeting was adjourned at 6:45 p.m. by Mayor Vi Lyles, City of Charlotte – MTC Chairwoman.

NEXT MTC MEETING: WEDNESDAY, AUGUST 23RD, 2023; STARTS AT 5:30 P.M.

Post-Meeting Report

Charlotte City Council | Metropolitan Transit Commission Working Group

Tuesday, August 8, 2023 | 2:00 p.m. – 3:30 p.m. | CMGC 280 | Virtual Option Provided

Attendance

Working Group Members: Councilmember Ed Driggs, Chair (Attended in person)

Mayor Pro-Tem Winston Braxton (Unable to attend)
Councilmember Dante Anderson (Attended virtually)
Councilmember Tariq Bokhari (Attended in person)
Huntersville Mayor Melinda Bates (Attended in person)
Matthews Mayor David Higdon (Attended in person)

City of Charlotte: Marcus Jones, City Manager (Attended in person)

Brent Cagle, Interim CEO, CATS (Attended in person)

Chad Howell, CFO, CATS (Attended in person)
Elizabeth Presutti, CAO, CATS (Attended in person)

Emily Kunze, Admin Support Manager, CATS (Attended in person)

SUMMARY

Call To Order

Councilmember Driggs, Chairperson, called the third City Council | MTC Working Group meeting to order at 2:07 p.m.

Interim CATS CEO Updates

Brent Cagle, Interim CEO, presented the August Progress Report to the Working Group. Mr. Cagle also noted that later in the week, CATS will be announcing it is altering the headways for the Gold Line from 20-minutes to 30-minutes, to provide customers with more reliable service delivery.

Financial Management Oversight (FMO) Review Update

Chad Howell, Chief Financial Officer, provided an overview of the Federal Transit Agency's (FTA) oversight review process. In March 2023, at the request of the Marcus Jones, City Manager, CATS requested the FTA perform an off-cycle financial and maintenance review. Mr. Howell reported that Phase 1, the assessment phase of the full scope system review, is complete, and the testing phase will be performed in late August or September. In the third phase, the FTA will publish a draft report of their findings; it is expected to be complete in the late fall.

Following the update, working group members discussed the review and asked questions of CATS staff about the information presented.

Risk and Control Self-Assessment (RSCA) Update

Elizabeth Presutti, Chief Administrative Officer, shared that CATS is working with Management Partners/ Baker Tilly to perform the department's risk and control self-assessment. The review will address several risk categories, including, service delivery, asset management, third-party, physical

Post-Meeting Report

Charlotte City Council | Metropolitan Transit Commission Working Group Tuesday, August 8, 2023 | 2:00 p.m. – 3:30 p.m. | CMGC 280 | Virtual Option Provided

security, information security, technology, financial, human resources, regulatory/ compliance, and strategic risk. CATS staff will identify areas of risk and develop plans for improvement as well as utilize data to build out the work plan and develop Key Performance Indicators (KPIs). The goal is to finalize the assessment in the fall and use the findings to develop the strategy and budget for fiscal year 2025 and determine where to prioritize the department's investments.

Mr. Cagle shared that in addition to the data collected from the risk assessment, CATS would like to schedule an extended MTC meeting to discuss the Commission's policy objectives and priorities as part of the budget development process.

The working group members commented on the approach and scope of the risk assessment; Councilmember Bokhari supported the development of key risk indicators in addition to KPIs. CATS staff responded to questions and comments.

Transit Management Services Contract Update

Due to time constraints, this item was not presented at the meeting.

Wrap Up/ Next Steps

- Councilmember Driggs asked staff to arrange a site visit for the Working Group to a CATS' facility.
- Wednesday, August 23: MTC Meeting, Report Out by Mayor Bales and Mayor Higdon
- Tuesday, September 5: TPD Committee Meeting, report out by Councilmember Driggs

Adjournment

The meeting was adjourned at 3:30 p.m.

Next City Council/ MTC Working Group Meeting

The next City Council | MTC Working Group meeting is scheduled for Tuesday, September 12, 2023 at 2:00 p.m. at the Charlotte-Mecklenburg Government Center, Room 266.

Charlotte City Council | Metropolitan Transit Working Group Tuesday, August 8, 2023 Meeting Packet

Charlotte City Council | Metropolitan Transit Commission Working Group

Tuesday, August 8, 2023 | 2:00-3:30 | CMGC Conference Room 266 | Virtual Option Provided

Working Group Members: Councilmember Ed Driggs, Chair

Mayor Pro Tem Braxton Wintson Councilmember Dante Anderson Councilmember Tarik Bokhari Huntersville Mayor Melinda Bales Matthews Mayor John Higdon

City of Charlotte: Marcus Jones, City Manager | City of Charlotte

Brent Cagle, Interim CEO | Charlotte Area Transit System | CATS

Chad Howell, Chief Transit Financial Officer | CATS

Elizabeth Presutti, CAO | CATS

Emily Kunze, Admin Manager | CATS

AGENDA

2:00 p.m. **Call to Order & Introductions**

2:05 p.m. Interim CATS CEO Updates (Brent Cagle)

- August Progress Report

2:20 p.m. Risk and Control Self-Assessment (RSCA) Update (Brent Cagle)

2:35 p.m. Transit Management Services Contract Update (Elizabeth Presutti)

2:55 p.m. Financial Management Oversight (FMO) Review Update (Chad Howell)

3:10 p.m. Wrap Up/ Next Steps

- Wednesday, August 23rd: MTC Meeting: Work Group Report Out

- Tuesday, September 5th: TPD Meeting: Work Group Report Out

3:30 p.m. Adjourn

Next Working Group Meeting: Tuesday, September 12, 2023, CMGC Room 266

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8-8-23 Progress Report - Identified Actions from the CATS Oversight and Remediation Report

	Action Item	Steps
	7.00.00.	May 21, 2022 Derailment (event took place while in service):
		- CATS followed all NCDOT State Safety Oversight (SSO) notification and reporting requirements.
		- Investigation and documentation on cause of incident performed and provided to MTC on 4/24/23.
		May 10, 2023 Derailment (event took place while not in service):
		- CATS followed all NCDOT State Safety Oversight (SSO) notification and reporting requirements.
		- Investigation is complete, inspection indicates this was not a bearing issue.
		July 28, 2023 Derailment (event took place while not in service):
	1.1: Report to NCDOT State Safety Oversight (SSO)	- Investigation is ongoing, inspection indicates this was not a bearing issue.
		May 21, 2022 Derailment (event took place while in service):
		- As part of the root cause analysis CATS worked with Siemens (Light Rail Vehicle [LRV] manufacturer) to conduct the analysis.
		- Upon completion of the analysis CATS provided the results to SSO.
		May 10, 2023 Derailment (event took place while not in service):
		- Investigation is complete, inspection indicates this was not a bearing issue.
		July 28, 2023 Derailment (event took place while not in service):
Issue 1: Derailment(s)	1.2: Identify Cause	- Human error contributing factor.
		May 21, 2022 Derailment (event took place while in service):
		- SSO accepted CATS' Corrective Action Plan(s) (CAPs) on 3/2/23 (letter included as part of the background material).
		May 10, 2023 Derailment (event took place while not in service):
		- Investigation is complete, inspections indicates this was not a bearing issue.
		July 28, 2023 Derailment (event took place while not in service):
	1.3: Corrective Actions	- Currently, under development.
		May 21, 2022 Derailment (event took place while in service):
		- CATS will continue to work with Siemens to expedite necessary repairs on LRV trucks in order to closeout CAPs and begin to remove operating
		restrictions associated with CAPs.
		May 10, 2023 Derailment (event took place while not in service):
		- Investigation is complete, inspection indicates this was not a bearing issue.
		July 28, 2023 Derailment (event took place while not in service):
	1.4: Next Steps	- Currently, under development.
	2.1: Identify Maintenance Need	During investigation of Issue 1, it was determined that CATS failed to timely complete truck overhauls of LRV wheel assemblies.
	2.1. Identity Maintenance Need	CATS is working with Siemens to develop a final overhaul schedule.
Issue 2: LYNX Blue Line		- Negotiations with Siemens is ongoing and should be complete within the next 15-30 days.
	2.2: Accelerate Maintenance Program	- Negotiations with stemens is offgoing and should be complete within the flext 15-50 days. - UPDATE: Negotiations have concluded with Siemens and contract updates are underway.
Walltellance	2.2. Accelerate Maintenance Flogram	Finalize amendment to current service agreement with Siemens to include all LRVs and accelerate maintenance schedule.
	2.3: Next Steps	Request for Council Action for purchase of six sets of dollies - approved.
	12.0. ITCAL DICPS	inequest for countries for partitios of six sets of dollies approved.

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8-8-23 Progress Report - Identified Actions from the CATS Oversight and Remediation Report

		Te lidentified Actions from the CA13 Oversight and Remediation Report
	3.1: Identify Missed Inspections	Interim CATS CEO informed of required inspections of bridges and parking garages not performed in 2021.
	3.2: Corrective Actions	Interim CATS CEO reported status to SSO and instructed staff to immediately secure a contractor for the inspections.
		Bridges:
		- Inspection contractor began inspections on 3/20/23.
		- 32 of 38 bridge inspections completed. All retaining wall inspections completed.
		- No critical issues have been identified to date.
		- UPDATE: Right of Entry has been obtained from NCRR, Norfolk Southern, and CSX. CATS is working to coordinate a schedule of flagging with
Issue 3: Bridge and		these entities to inspect the remaining 6 bridges. Anticipated completion of field work is currently Q3 2023.
Parking Deck Inspections		Parking Decks:
		- Inspection field work is complete for all parking decks.
		- On 4/25/23, CATS closed all elevated portions of the employee-only parking deck at N. Davidson due to cracking noted during the inspection.
		Engineers are working to determine necessary repairs.
		- No critical issues found at the other decks.
	3.3: Inspections	
		- CATS provides monthly reports to SSO.
	3.4: Next Steps	- CATS will publish final inspection report when completed (estimated within six months of competion of the inspections).
		City Council and MTC were not informed of above issues until March 2023.
	4.1: Communication Failures	- Working Group created, work plan in progress.
		- Brent Cagle is serving as interim CEO.
		- Chad Howell has been hired as CFO and Elizabeth Presutti has been hired as CAO.
		- Victoria Johnson is supporting overall employee engagement and rail management as a Special Assistant to the CEO.
		- Craig Fox is supporting facilities and asset management in an interim capacity.
Issue 4: Communication		- Deltrin Harris is no longer with CATS.
133uc 4. communication	4.2: Leadership Changes	- Gary Lee has been promoted to General Manager of Rail Operations & Facilities.
		Interim CATS CEO has conducted extensive staff interviews to understand culture that led to poor performance at CATS and lack of
		communication with elected officials and the public. These interviews and other steps taken have led to discovery of these previously
	4.3: Corrective Actions	unreported issues.
		Formalize notification and communication procedures, promote the existing City hotline, share interview summaries with City Council and the
		public, implement Manager's strategy.
	4.4: Next Steps	- Website development in progress anticipate 3-6 months.
	5.1: Critical Correspondence from NCDOT	SSO correspondence criticizes CATS and reflects a conflict between the two organizations, however since that time CATS and SSO have come to
	5.1: Critical Correspondence from NCDO1	concurrance on CAPS to address Issue 1 and have renewed intention to work together as partners. CATS has increased engagement with SSO.
Issue 5: NCDOT Conflicts	E 2: Corrective Actions	- New CATS leadership is working to resolve controversy with SSO.
133de 3. Nebol collillets	J.Z. COTTECTIVE ACTIONS	Ongoing engagement with SSO.
		Disclose documents from SSO that are critical of CATS - disclosed publicly during MTC Meeting on 4/24/23.
	5.3: Next Steps	Disclose documents from 350 that are critical of CA15 - disclosed publicly during into infecting on 4/24/25.
	J.J. Next Jieps	

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8-8-23 Progress Report - Identified Actions from the CATS Oversight and Remediation Report

		Conducting the necessary maintenance and repairs to CATS trains, as well as the urgent need to modernize the bus fleet, will place financial
		demands on CATS - however, CATS' adopted FY2024 budget and FY 2024 to FY 2028 capital budgets includes the resources needed to meet
	6.1: Financial Demand from Above Issues	these requirements.
	6.2: Financial Requirements	All financial requirements are met.
	6.3: Revenue Projections	Revenue projections are sufficient to meet operating and capital expenditures.
	6.4: Currently Available Revenue	Available cash and annual revenues sufficient to meet operating and capital expenditures.
Issue 6: Financial	6.5: Budget	Presented for approval to MTC and CC - approved. Budget adopted by CC on June 12, 2023.
Condition		No known issues.
Condition		- Debt rating remains AA.
	6.6: Corrective Actions	- Sufficient financial capacity for repairs and bus fleet renewal.
		Since July 19th CATS is undergoing this Financial Management focused review. The review is conducted by Saggar & Rosenberg, P.C. and Deva
	6.7: FMO - Full Scope Systems Review	Group, both contractors of the FTA. The preliminary timeline has the reviews completion as October 2023.
		Continue to monitor financial health of the organization and work with City Finance to develop 5-10 year plan of finance for operating and
		capital needs.
	6.8: Next Steps	- Continue working with Saggar & Rosenberg, P.C. and Deeva Group to complete the FMO-FSSR.
		NCDOT found ROCC staffing levels to be noncompliant with state staffing recommendations/requirements and sent CATS two letters in May
		documenting this noncompliance.
Issue 7: Other		- CATS immediately implemented staffing policy changes for the ROCC and has implemented mandatory overtime in the ROCC until CATS can
		reduce the vacancy rate in the ROCC.
	7.1: Rail Operations Control Center (ROCC) Staffing	- Update: CATS staffing is stable at this time, NCDOT letters have been made available to the working group and MTC.
		Roughly 60% of CATS bus fleet will be 12 years of age or over 500,000 miles by end of calendar year; Interim CATS CEO has instructed staff to
		expediate purchase of new battery electric and hybrid electric buses ASAP.
		- 15 BEBs and 12 Hybrid buses are on order in the current fiscal year.
	7.2: Bus Replacements	- FY24 budget will support additional buses with IIJA grant funding that was awarded.
	7.3: Asset Management	Asset Manager position created and posted for hire.
		- DiJulius Group has been hired and will begin developing an employee engagement program for CATS.
		- Employee pay and retention opportunities are being discussed across the agency, CATS has taken aggressive measures to increase pay across
	7.4: Employee Engagement and Updates	its field units in order to create better recruitment and retention.
		In May, there was a shooting between a bus operator and passenger.
		- Both operator and passenger sustained injuries.
		- The bus operator is no longer employed by RATP-Dev, the passenger is facing charges.
		- CATS is increasing de-escalation and customer service training and addressing violence, increasing budget roughly two-fold with two new
	7.5: Bus Incident	security contracts.

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From: <u>Hunter, Brandon</u>
To: <u>Cagle, Brent</u>

Subject: CATS Updates- CityLYNX Gold Line Service Change & Preparations for Beyoncé Concert:

Date: Wednesday, August 9, 2023 12:09:00 PM

Attachments: image001.png

Good Afternoon MTC Mayors and Managers,

We're reaching out to provide updates on two important subjects: the CATS preparations for the Beyoncé Concert and the modifications to the CityLYNX Gold Line Service.

Should you have any inquiries or need further clarification, please don't hesitate to contact us.

CATS Preparations for Beyoncé Concert:

As the Beyoncé concert is set to occur tonight, CATS has undertaken considerable preparations over the past few weeks to accommodate the influx of concertgoers and ensure smooth transportation. Here is an overview of the key measures:

- For the protection of everyone, CATS will be increasing security measures throughout the system. This is not only for the safety of passengers but also to aid in efficient crowd management. By ensuring effective crowd control, we aim to maintain the regular movement of trains, preventing potential delays.
- Two particular stations, namely Brooklyn Village Station and the Convention Center, are anticipated to see a surge in riders. To prevent congestion and guarantee a smoother experience for all passengers, CATS has strongly advises riders to consider alternate stations.
- As part of our efforts to distribute the flow of concert attendees and reduce strain on any single transportation mode, we're promoting the use of bus services, especially to the CTC in Uptown. This is projected to offer concertgoers an easier and possibly faster commute.
- To ensure that our message reaches as many people as possible, CATS has released an informative video which has been well-received by the public, evident from the significant number of shares and engagement it has garnered. The video can be viewed here: https://www.youtube.com/watch?v=Rc5ncKW7Xa8&t=5s

CityLYNX Gold Line Service Change:

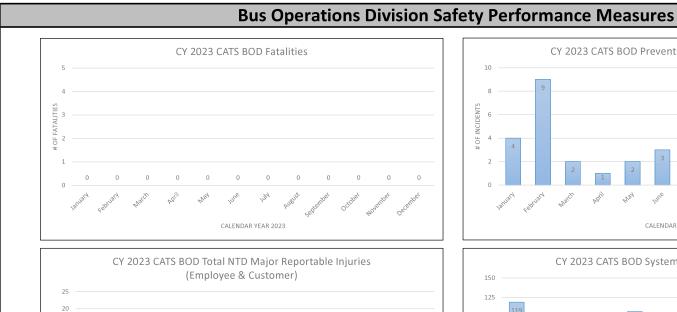
Effective Saturday, August 19, 2023, CATS will adjust CityLYNX Gold Line frequency from 20-minutes to 30-minutes. CATS is making this temporary change so that we can better insure reliability and consistency of the CityLYNX Gold Line service. CATS is experiencing ongoing challenges with maintaining the current 20-minute schedule, and as a result, riders have faced uncertainty related to frequency of the CityLYNX Gold Line. These disruptions are due to several factors including, staffing constraints and summer events. Read Press Release Here:

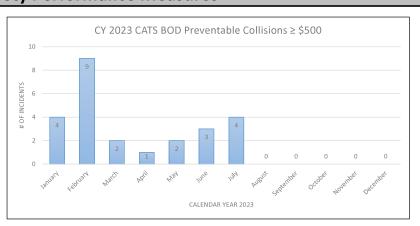
https://www.charlottenc.gov/CATS/News/CityLYNX-Gold-Line-Service-Update

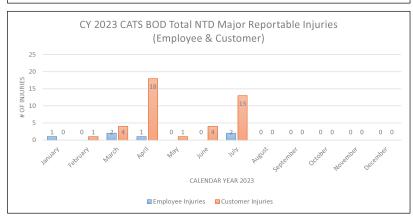
Thank you,

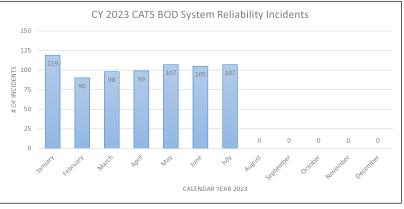
Brandon T. Hunter Director of Marketing and Communication Charlotte Area Transit System - City of Charlotte Cell (704) 621-8343 Media Line (980) 722-0311



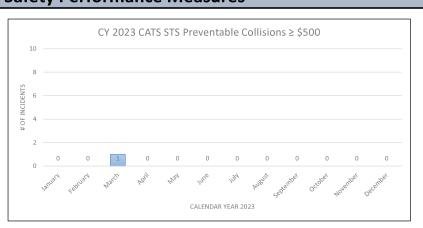


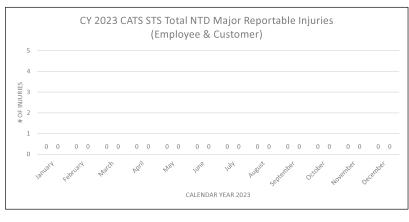


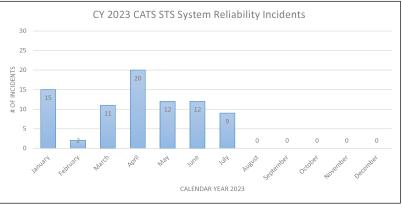




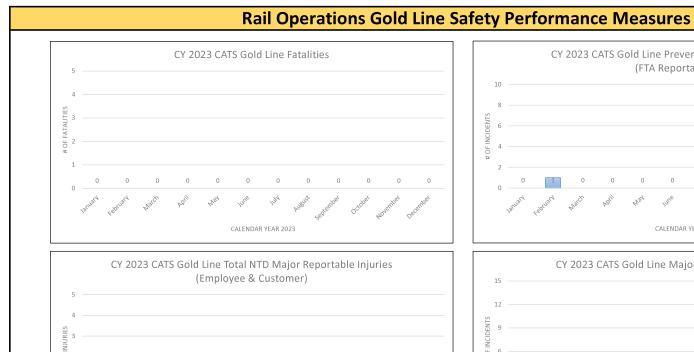




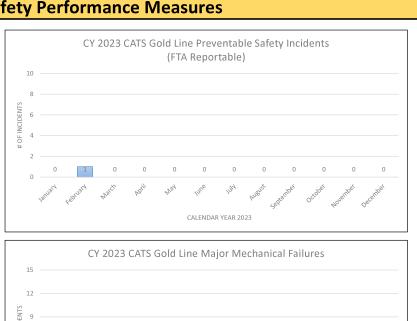








CALENDAR YEAR 2023



CALENDAR YEAR 2023

Metropolitan Transit Commission Charlotte Area Transit System Ridership Report Jul-23

Source:

Fixed Route Bus - Automatic Passenger Counts

Rail - Automatic Passenger Counts

Average Daily Ridership

			Percent			
			Increase /			
Mode / Service	Jul-23	Jul-22	Decrease	Weekday	Saturday	Sunday
Local						
BOD Local	660,687	599,753	10.2%	25,075	16,807	12,573
Subtotal	660,687	599,753	10.2%	25,075	16,807	12,573
Local Express						
Arboretum Express	1,088	-	-	54	-	-
Harrisburg Road Express	1,262	1,123	12.4%	63	-	-
Northcross Express	3,332	2,545	30.9%	167	-	-
Idlewild Express	924	911	1.4%	46	-	-
Independence Blvd Express	2,225	2,071	7.4%	111	-	-
Lawyers Road Express	1,264	1,148	10.2%	63	-	-
Steele Creek Express	536	-	-	27	-	-
Northlake Express	2,403	1,884	27.6%	120	-	-
North Mecklenburg Express	5,110	4,376	16.8%	256	-	-
Huntersville Express	3,096	3,414	-9.3%	155	-	-
Rea Road Express	1,172	1,418	-17.4%	59	-	-
Mountain Island Express	399	-	-	20	-	-
Huntersville Greenhouse	122	182	-33.1%	6	-	-
Subtotal	22,932	19,070	20.3%	1,147	-	-
Regional Express						
Gastonia Express	1,258	1,182	6.4%	63	-	-
Rock Hill Express	927	945	-1.9%	46	-	-
Union County Express	912	923	-1.1%	46	-	-
Subtotal	3,097	3,050	1.6%	155	-	-

Community Circulator						
Neighborhood Shuttles	20,440	17,596	16.2%	807	584	241
Eastland Neighborhood Shuttle	11,332	10,611	6.8%	396	373	257
Pineville-Matthews Road	2,259	2,200	2.7%	91	86	-
Village Rider	7,001	6,973	0.4%	253	209	135
Subtotal	41,032	37,380	9.8%	1,548	1,169	634
Human Services Transportation						
Special Transportation Services	15,183	13,965	8.7%	607	263	223
DSS	3,615	46	7758.7%	161	-	-
Subtotal	18,798	14,011	34.2%	768	263	223
Rideshare Services						
Vanpool	3,599	3,509	2.6%	152	44	40
Subtotal	3,599	3,509	2.6%	152	44	40
Rail						
LYNX Blue Line	480,970	443,749	8.4%	17,208	14,369	10,826
CityLynx Gold Line	50,593	43,150	17.2%	1,881	1,162	1,195
Subtotal	531,563	486,899	9.2%	19,089	15,531	12,021
Total	1,281,707	1,163,671	10.1%	47,933	33,814	25,490

Metropolitan Transit Commission

Charlotte Area Transit System Ridership Report

Jul-23

Source:

Fixed Route Bus - Farebox (GFI)

Rail - Automatic Passenger Counts (APC)

Mode / Service			Percent	YTD	YTD	Percent	Avg Daily	Ridership per	r Month
	Jul-23	Jul-22*	Increase/Decrease	FY 2024	FY 2023	Increase/Decrease	WeekDay	Saturday	Sunday
Local									
BOD Local	542,944	362,142	49.93%	542,944	362,142	49.93%	20,355	14,494	10,558
Subtotal	542,944	362,142	49.93%	542,944	362,142	49.93%	20,355	14,494	10,558
Local Express									
Arboretum Express	956	=	n/a	956	-	n/a	48	-	=
Harrisburg Road Express	957	845	13.25%	957	845	13.25%	48	-	-
Northcross Express	2,324	1,863	24.75%	2,324	1,863	24.75%	116	-	-
Idlewild Road Express	831	587	41.57%	831	587	41.57%	42	-	-
Independence Blvd Express	1,559	1,195	30.46%	1,559	1,195	30.46%	78	-	=
Lawyers Road Express	1,118	663	68.63%	1,118	663	68.63%	56	-	-
Mountain Island Express	195	-	n/a	195	-	n/a	10	-	-
Northlake Express	1,905	1,331	43.13%	1,905	1,331	43.13%	95	-	-
North Mecklenburg Express	3,192	3,134	1.85%	3,192	3,134	1.85%	160	-	-
Huntersville Express	2,579	2,122	21.54%	2,579	2,122	21.54%	129	-	-
Rea Road Express	1,359	1,110	22.43%	1,359	1,110	22.43%	68	-	-
Steele Creek Express	261	-	n/a	261	-	n/a	13	-	-
Huntersville Greenhouse Express	101	122	-17.21%	101	122	-17.21%	5	-	-
Subtotal	17,337	12,972	33.65%	17,337	12,972	33.65%	868	-	
Regional Express									
Gastonia Express	971	736	31.93%	971	736	31.93%	49	-	-
Rock Hill Express	706	689	2.47%	706	689	2.47%	35	-	-
Union County Express	681	567	20.11%	681	567	20.11%	34	-	-
Subtotal	2,358	1,992	18.37%	2,358	1,992	18.37%	118	-	

Community Circulator

Metropolitan Transit Commission

Charlotte Area Transit System Ridership Report

Charlotte Area Transit System Ridership Ro	eport								
Jul-23									
Neighborhood Shuttles	17,310	11,901	45.45%	17,310	11,901	45.45%	677	484	225
Eastland Neighborhood Shuttle	9,552	7,022	36.03%	9,552	7,022	36.03%	343	271	221
Pineville-Matthews Road	1,581	1,154	37.0%	1,581	1,154	37.0%	68	43	-
Village Rider	4,477	3,717	20.45%	4,477	3,717	20.45%	171	125	72
Subtotal	32,920	23,794	38.35%	32,920	23,794	38.35%	1,259	923	518
Human Services Transportation									
Special Transportation Services	15,183	13,965	8.72%	15,183	13,965	8.72%	607	263	223
DSS	3,615	46	7,758.7%	3,615	46	7,758.7%	161	80	-
Subtotal	18,798	14,011	34.17%	18,798	14,011	34.17%	768	343	223
Rideshare Services									
Vanpool	3,599	3,509	2.56%	3,599	3,509	2.56%	152	36	47
Subtotal	3,599	3,509	2.56%	3,599	3,509	2.56%	152	36	47
Rail									
LYNX Blue Line	480,970	443,749	8.39%	480,970	443,749	8.39%	17,208	14,369	10,826
CityLynx Gold Line	50,593	43,150	17.25%	50,593	43,150	17.25%	1,881	1,162	1,195
Subtotal	531,563	486,899	9.17%	531,563	486,899	9.17%	19,089	15,531	12,021
Total	1,149,519	905,319	26.97%	1,149,519	905,319	26.97%	42,609	31,327	23,367

^{*} Signifcant farebox data issues resulted in under-reported ridership from July 2022 - August 2022

July 2023 Missed Trips & Ridership Reports

Bus Service Missed Trips Highlights

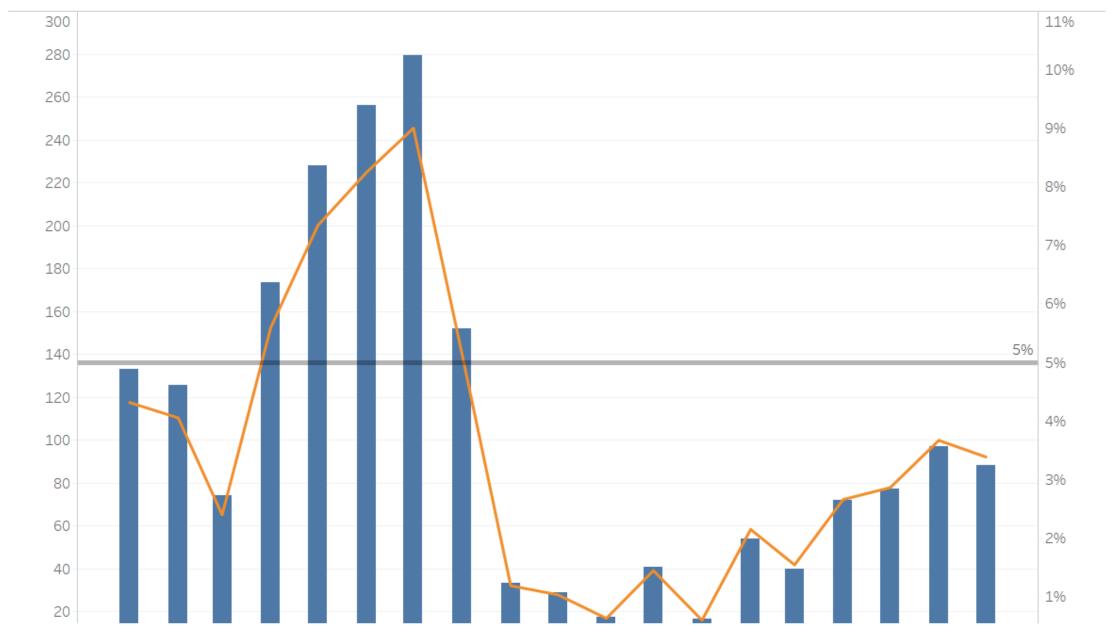
- After recent increases in missed trips over the past quarter, July's missed trips leveled off and provided a slight reduction in the trend, thanks in part to the start of a new class of operators.
- Missed trips on Fridays have dropped over the past month, and Sundays have seen improvements as well.

Ridership Highlights

- July 2023 Systemwide Automatic Passenger Counter ridership is up 10.1% compared to July 2022
 - Local Routes were up 10.2%
 - Express routes were up 16.2%
 - Overall Rail ridership increased 9.2%
 - Blue Line ridership increased 8.4%
 - Gold Line ridership increased 17.2%



Avg Missed Trips per Day



Missed Trips by Day of Week Sunday Tuesday Monday Wednesday Thursday Friday Saturday Sunday Monday 20% Tuesday Wednesday Thursday 18% Friday Saturday 16% 14% 12% 10% 8% 6% 4% 2% March 27, 2023 April 17, 2023 2023 2023 2023 2023 2023 2023 2023 2023 2023 2023 May 29, 2023 2023 2023 2023 March 8, 2023 2023 2023 June 21, 2023 July 12, 2023 February 16, 2023 2023 2023 2023 2023 2023 July 13, 2023 2023 2023 2023 July 14, 2023 June 24, 2023 July 15, 2023 2023 2023 June 19, 2023 July 10, 2023 May 9, 2023 May 31, 2023 May 11, 2023 March 10, 2023 March 31, 2023 February 18, 2023 May 13, 2023 June 3, 2023 April 16, 2023 June 20, April 20, May 8, May 30, July 18, April 19, May 10, March 9, June 1, June 22, May 12, June 2, June 23, April 22, March 7, April 1, April 21, March 11, March 26, February 14, March 28, April 18, February 15, March 29, March 30, February 17, February 12, 39

AUGUST | CATS Sales Tax Report FY2024

May Receipts

Sales Tax Collections and Distribution - May 2023

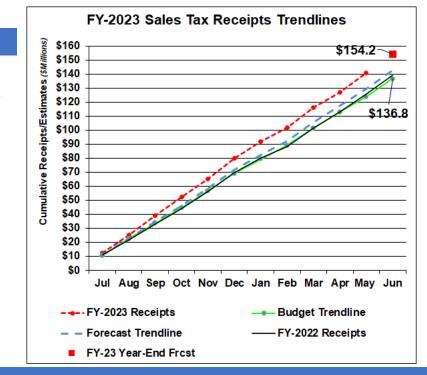
- The May 2023 receipts of \$13,440,164 were \$2,525,229 (23.1%) above budget target for the month
- The May 2023 receipts were \$1,763,133 (15.1%) above forecast for the month
- The May 2023 receipts were \$507,910 (3.9%) above May of 2022

Sales Tax Budget Data

- FY2023 sales tax budget is \$136,807,021
- The FY23 model forecasts year-end receipts of \$154,169,832 which is \$17,362,811 (12.69%) above the FY23 budget target of \$136,807,021
- FY2022 actual sales tax was \$139,225,568

Local Government Sales and Use Tax Distribution

- Source: North Carolina Department of Revenue Sales & Use Distribution Report for the month May 31, 2023
- Published by NC Secretary of Revenue on 07/12/2023 with actual receipts through May 31st, 2023.
- CATS sales tax report only includes Mecklenburg County Article 43 sales tax



FY2023 Budget Sales Tax Receipts (Actuals and Forecasts)

Julisulcuoli	Population	70 OI TOTAL	Actuals	Actuals	Actuals	Actuals	Actuals	Actuals	Actuals	Actuals	Actuals	Actuals	Forecasts	Forecasts	Total
Charlotte	878,778	40.4%	\$ 5,125,892	\$ 5,204,877	\$ 5,465,688	\$ 5,366,667	\$ 5,313,561	\$ 5,916,721	\$ 4,808,991	\$ 4,038,520	\$ 5,720,642	\$ 4,517,210	\$ 5,430,141	\$ 5,379,312	\$ 62,288,223
Cornelius	31,442	1.4%	\$ 183,400	\$ 186,227	\$ 195,558	\$ 192,015	190,115	211,696	172,062	144,495	\$ 204,680	161,622	194,286	192,468	2,228,625
Davidson	14,907	0.7%	\$ 86,952	\$ 88,292	\$ 92,716	\$ 91,037	90,136	100,367	81,577	68,507	\$ 97,041	76,627	92,113	91,251	1,056,616
Huntersville	61,840	2.8%	\$ 360,711	\$ 366,270	\$ 384,623	\$ 377,655	373,918	416,362	338,411	284,192	\$ 402,564	317,878	382,121	378,545	4,383,250
Matthews	29,502	1.4%	\$ 172,084	\$ 174,736	\$ 183,492	\$ 180,168	178,385	198,634	161,446	135,580	\$ 192,051	151,650	182,299	180,592	2,091,116
Mint Hill	26,465	1.2%	\$ 154,370	\$ 156,748	\$ 164,603	\$ 161,621	160,022	178,186	144,826	121,623	\$ 172,281	136,039	163,532	162,002	1,875,852
Pineville	10,651	0.5%	\$ 62,127	\$ 63,084	\$ 66,245	\$ 65,045	64,402	71,712	58,286	48,948	\$ 69,336	54,750	65,815	65,199	754,948
Meck. County	1,121,482	51.6%	\$ 6,541,578	\$ 6,642,379	\$ 6,975,221	\$ 6,848,852	6,781,079	7,550,822	6,137,155	5,153,893	\$ 7,300,589	5,764,789	6,929,856	6,864,990	79,491,203
Total	2.475.067	400.0%	£42.007.44E	£42.002.642	£ 42 E20 440	£ 42 202 000	\$ 42 4E4 C47	C 4 4 C 4 4 E 0 4	£44.002.7E4	A 0.005.757	¢ 4.4.4.E0.40.4	£44 400 EC4	£42.440.4C4	£ 42.244.2E0	£ 454 460 022

Nov 22

YTD Budget Variance (YTD) \$ 16,814,781

9,117,052 **\$ 107,535,197**

FY2023 Budget Sales Tax Comparison Year over Year

9,621,386 \$

9,103,726 \$

8,067,019 \$

	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	YTD Total
Year-over-Year Comparison (FY23-FY22)	12.3%	20.9%	22.2%	17.1%	8.6%	8.5%	16.4%	20.2%	6.0%	4.7%	-9.7%	2.1%	10.0%
FY23 Budget Target	\$10,837,385	\$11,730,084	\$11,265,334	\$ 11,050,554	\$11,990,897	\$12,399,931	\$10,211,129	\$ 9,806,473	\$12,405,318	\$11,428,653	\$10,914,935	\$ 12,766,327	\$ 136,807,021
% of FY23 Budget Achieved	9.3%	18.7%	28.6%	38.3%	47.9%	58.6%	67.3%	74.6%	85.0%	93.7%	102.2%	111.9%	111.9%

7,708,503 | \$

FY2019

% of FY23 Budget Achieved	9.3%	18.7%	28.6%	38.3%	47.9%	58.6%	67.3%	74.6%	85.0%	93.7%	102.2%	111.9%	111.9%
FY2023 Budget Tax Re	ceipts: FY20	19 - FY20	22										

F12023	buuget 1	ax Neceipis	5. F12019 -	F 12022							
Fiscal Year	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	Ma
E 10000											

9,425,129 \$

Fiscal Year	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	Total
FY2022	\$ 11,298,388	\$ 10,659,682	\$ 11,073,183	\$ 11,342,634	\$ 12,115,265	\$ 13,501,568	\$ 10,221,788	\$ 8,315,108	\$ 13,351,825	\$ 11,369,039	\$ 12,932,254	\$ 13,044,834	\$ 139,225,568

11.402,907 \$ 11,945,450 | \$ 116,669,192 FY2021 9,466,946 \$ 9,245,058 \$ 9,317,741 \$ 9,964,913 \$ 9,134,772 \$ 6,785,996 \$ 11,253,531 \$ 10,287,447 \$ 8,942,957 \$ 9,833,896 | \$ 107,778,982 FY2020 9,683,570 9,787,973 8,671,558 \$ 9,890,136 9,858,570 9,800,116 \$ 8,278,036 8,606,547 8,735,473 7,635,380 6,997,727 | \$

8,195,787 \$

7,918,012 \$

10,155,891 \$

9,880,419 \$

9,435,500 \$

8,906,774 \$

METROPOLITAN TRANSIT COMMISSION INFORMATION ITEM STAFF SUMMARY

SUBJECT: Title VI Program Update 2023 DATE: August 23, 2023

- **1.0** PURPOSE/SCOPE: Presentation on the process, observations, comments for the 2023 Title VI Program Update. The MTC to vote on the analysis is scheduled for the September 2023 MTC meeting.
- 2.0 BACKGROUND/JUSTIFICATION: As a recipient of federal funding CATS/City of Charlotte must have a Title VI program to find and address any negative impacts that disproportionately affect minority and low-income residents and riders, as a result of the change of services or fares. This is a requirement of recipients of FTA funding and in support of Title VI of the Civil Rights Act of 1964. The program is updated every three years This is a requirement of recipients of FTA funding and in support of Title VI of the Civil Rights Act of 1964, and with guidance of FTA Circular 4702.1B.
- **3.0 POLICY IMPACT**: CivR01 CATS Major Service and Fare Change Reviews
- 4.0 **ECONOMIC IMPACT**: N/A
- 5.0 ALTERNATIVES: N/A
- 6.0 **PUBILIC OUTREACH**: N/A
- 7.0 **RECOMMENDATION**: N/A
- **8.0 ATTACHMENT(S)**: 2023 CATS Title VI Program Update

SUBMITTED AND RECOMMENDED BY:

Brent Cagle

- Frent Caglo

Interim Chief Executive Officer, Charlotte Area Transit System Assistant City Manager, City of Charlotte

CATS 2023 Title VI Program Update

Prepared by: Arlanda Rouse Civil Rights Officer Charlotte Area Transit System arouse@charlottenc.gov 980-266-7288

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Name	Ethnicity	Gender	Appointed By	Term Expires
Anna Davis	Caucasian	Female	Town of Cornelius	June 30, 2024
Michael Cataldo	Caucasian	Male	Charlotte City Council	June 30, 2025
Jessi Healey	Caucasian	Female	Town of Mint Hill	June 30, 2024
Robert Hillman	African American	Male	City Council	June 30, 2024
Justin Musick	Caucasian	Male	Town of Pineville	June 30, 2024
Jeffrey Parker	Caucasian	Male	County Commission	June 30,2024
Donald Rhodes	Caucasian	Male	Town of Matthews	June 30, 2024
Todd Steiss	Caucasian	Male	Town of Davidson	June 30, 2024
Nichel Dunlap-Thompson	African American	Female	County Commission	June 30, 2025
Edward Tillman	African American	Male	Mayor	November 1, 2023
Kevin Walsh	Caucasian	Male	Town of Huntersville	June 30, 2024
Martin Wheeler	Caucasian	Male	County Commission	June 30, 2025

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Table 4: Demographics of CATS TSAC Board Members10

Name	Ethnicity	Gender	Appointed By	Term Expires
Leroy Fields	African American	Male	Charlotte City Council	January 31, 2024
Samuel Grundman	Caucasian	Male	Charlotte City Council	January 31, 2024
Jarrett Hurms	African American	Male	Charlotte City Council	January 31, 2025
Anto nette Love	African American	Female	Charlotte City Council	January 31, 2026
Robert Moran	Caucasian	Male	Charlotte City Council	January 31, 2026
Krissy Oechslin	Caucasian	Female	Mayor	January 31, 2025
Timothy Spaulding	Caucasian	Male	Charlotte City Council	January 31, 2026
Kevin Walsh	Caucasian	Male	Town of Huntersville	January 31, 2026

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Introduction

In accordance with the requirements of the Federal Transit Administration (FTA) Circular 4702.1B dated October 1, 2012, the Charlotte Area Transit Authority (CATS) has developed a Title VI plan. The plan reflects CATS commitment to deliver transit service with equal access and equitable delivery of assets throughout the community.

The CATS CEO is ultimately responsible for the overall implementation, administration, and monitoring of the CATS Title VI program. The CEO has delegated the responsibility of the program to the CATS Civil Rights Officer. The CATS Civil Rights division is responsible for various Civil Rights Programs and activities that include Title VI, EEO/Affirmative Action, Disadvantage Business Enterprise, Small Business Enterprise, Americans with Disabilities Act (ADA), Federal Contractual Compliance, and Environmental Justice requirements.

The Civil Rights Officer is therefore responsible for ensuring that CATS adheres to all applicable regulations and laws in relation to the Title VI plan. He provides oversight to the program and updates and provides assurances to the FTA of compliance and communications status of information to the CATS CEO, which is accomplished through continuous, coordinated, and comprehensive review and monitoring of CATS' policies, procedures, practices, compliance findings, planning process, and programs.

Any questions regarding this Title VI Program update can be directed to the Civil Rights Officer at CATSCivilRights@CharlotteNC.gov.

Notice to the Public: Title VI Policy Statement

The following notice to the public is available in both English and Spanish on the CATS website as well as posted throughout the CATS Service area. The locations include the City of Charlotte Government Center, CATS bus shelters, transit facilities, park and ride lots, and rail stations:

The Charlotte Area Transit System (CATS) firmly believes that how CATS treats people - whether employees or the general public whom we assist with transportation needs - is a reflection of how CATS accepts its responsibility to provide an essential service designed to enhance the quality of life for Charlotte area residents and visitors.

It is the policy of CATS to fully comply with Title VI of the Civil Rights Act of 1964 as amended, which requires that no person shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity which is federally funded.

Prohibited practices include, but are not limited to:

- Denying a person any service or benefit because of race, color, or national origin.
- Providing a different service or benefit or providing services or benefits in a different manner.
- Locating facilities in any way that would limit or impede access to a federally funded service or benefit.

The Environmental Justice component of Title VI guarantees fair treatment for people of all races, cultures, and incomes regarding the development of environmental justice laws, regulations and policies. Under Title VI, CATS must:

- Ensure involvement of low-income and minority groups in the decision-making process (public involvement)
- Safeguard low-income and minority groups against disproportionately high and adverse human health or environmental impacts of its programs, policies, and activities.
- Ensure low income and minority groups receive their fair share of benefits.

The Civil Rights Officer is responsible for initiating and monitoring Title VI activities, preparing required reports and ensuring that CATS adheres to other compliance responsibilities as required by applicable regulations.

Where federal funds are involved, CATS will monitor and ensure the compliance of third-party contractors at any tier and each sub-recipient at any tier under the project with all requirements prohibiting discrimination on the basis of race, color, or national origin, and will include nondiscrimination language in all written agreements.

Individuals or organizations believing they have been a victim of discrimination based on race, color, or national origin in the provision of services, programs, activities, or benefits, may file a formal complaint directly with CATS Call Center by telephone at (704) 336 RIDE, or via e-mail to catscustserv@charlottenc.gov, any designated staff, the City's Human Resources Department, the Federal Transit Administration, or mail to the Civil Rights Officer, Charlotte Area Transit System, 600 East Fourth Street,

Locations of Notice to Public

The notice to the public shown above can be found in the following locations throughout the City of Charlotte and along the CATS system.

- CATS website <u>www.ridetransit.org</u>
- Light Rail Vehicles and Buses
- Bus Maintenance staff break-rooms
- Customer Service/Passenger Window at the Charlotte Transportation Center
- Eastland Mall Transit Center Window
- HR reception S. Tryon bus maintenance facility
- I-485 drivers' break-room
- Light Rail Vehicle drivers break-room
- Light Rail Vehicle entrance
- Rosa Parks Transit Center Break-room
- Rosa Parks Transit Center window
- VMF 3rd Floor Safety and Security Break-room
- Charlotte Mecklenburg Government Center 7-8 Floors on boards across from bathrooms.
- Special Transportation Service drivers' break-room

Title VI Complaint Procedures

The CATS Title VI Complaint Procedures also known as CATS CivR03 and copies of Complaint Forms can be found in **Appendix A** of this document.

Record of Title VI Investigations, Complaints, or Lawsuits

The Department of Justice and Department of Transportation regulations implementing Title Vi require federal agencies to collect data and other information to enforce their guidelines. In accordance with the FTA circular 4702.1B, Chapter IV the following information is available.

- 1. Active service related lawsuits
 - a. CATS presently has no active lawsuits pending
- 2. Active service related complaints
 - a. There are currently no active service related complaints.
- 3. Active lawsuits alleging discrimination on the basis of race, color, or national origin
 - a. There are no active lawsuits as of June 2023
- 4. Active complaints alleging discrimination on the basis of race, color, or national origin
 - a. There are no active complaints as of June 2023
- 5. Summary of investigations, complaints, or lawsuits
 - a. There were no Title VI complaints from June 2023

Summary of Allegations

Filing Method	Date	Summary of Allegations
Phone	1/30/2022	Race (Disparate Treatment): Wheelchair customer stated that bus 22 is never ontime he feels its a racial issue and would like director's of buses to make sure black people are treated fairly and security to have better training and respect all riders.
Phone	1/31/2022	National Origin (Offensive): Customer filed a complaint via the Mayor's office because she was extremely offended and feels violated and discriminated against since she speaks with a foreign accent. Customer stated she tried sliding her payment into the dollar slot 3times, when it rejected it the third time the operator asked if she had another dollar. When she stated she didn't, the operator grabbed the dollar out of her hand, tore it up, put it in the garbage and told her to go sit down.
Phone	2/18/2022	(Disparate Treatment): Rail Employee feels he was discriminated against because of his medical conditions, he was on FMLA. Customer stated that he was moved from the South Yard to the North Yard because of his attendance.
Phone	2/19/2022	Race (Offensive): Customer was short a couple cent and the driver was being very rude. Customer feel that if he was African American then the driver would of let him ride and wouldn't been so rude. Customer feel the driver attitude was not right.
Phone	3/17/2022	Disparate Treatment (Offensive): Customer stated that the driver had an over aggressive demeanor toward her. Customer stated she felt threatened and discriminated against.
Phone	4/11/2022	Race (Offensive): Customer states driver was being racist because he was told to throw his coffee away and a black guy did not have to throw his coffee away, customer states his cup had a lid on it, also the driver gave him the finger as he exited the bus.
Phone	4/15/2022	Disparate Treatment (Offensive): Customer stated that he's in a wheel chair and has a red light for visibility. Customer stated that another customer ran to catch the bus for him. Customer stated after operator board the customer on the bus, operator was laughing at the customer along with others
Phone	4/25/2022	Disparate Treatment (Offensive): Spanish speaking customer: The customer filled out a Title VI discrimination form. He stated that when he boarded the bus and used his pass but the operator didn't believe him it was on the correct time but the fare box accepted the pass. Operator still did not believe him and told him it was invalid. The operator threw the pass at him causing rejection and racism waiting for him to pick up the pass. He doesn't understand if it was due to his color, origin or sexual orientation.
Phone	5/9/2022	Race (Disparate Treatment): Customer stated that the driver let all the black people on the bus free, but made he and his wife pay the fare.
Phone	11/7/2022	(Disparate Treatment): Customer states the bus driver passed her requested stop, and it was late and dark and she had to walk back about 30 minutes. Customer feels she was discriminated against by the driver because she had asked the driver prior to let her know when he came to the stop and the driver said he would. Customer feels like he deliberately passed her stop on purpose and then proceeded to rude about it and told her she can walk and it was not his problem.
Phone	1/27/2023	(Disparate Treatment): Customer stated bus 27 Monroe Rd. drivers squint to see expiration date on customer monthly pass. Customer stated possible discrimination for drivers to squint or look closely at pass gave customer feeling of judgement or unfair treatment.

Public Outreach

Public involvement is a crucial part of the decision-making process at CATS. The public involvement efforts conducted in support of the Envision My Ride study and plan are intended to reflect and continue the City of Charlotte's well-established history of performing proactive outreach programs in the community focused on achieving public awareness and receiving input. A complete list of the public outreach efforts for CATS from FY 2019-2023 can be found in **Appendix B** of this document.

Summary of Public Involvement Opportunities:

Meetings

As of June 2023, representatives from CATS Civil Rights, Executive, and Development Divisions have participated in 100 public meetings that were attended by over 1000 members of the public. These meeting consisted of numerous large scale public meetings, workshops, public hearings, neighborhood association meetings, conferences, civic groups.

Website

CATS maintains project specific web pages on the CATS/City of Charlotte website. The pages include information on future light rail projects, streetcar project, and future facility projects.

Project Mailing Lists

CATS maintains a project mailing list for the use of direct mail contacts with corridor property owners, occupants, and other stakeholders. The mailing current list, which contains approximately 8000 addresses, was obtained from the 2025 Transit Land Use Plan public involvement efforts. It has been supplemented over the life of the projects as additional individuals, organizations, and others have requested to be added to the list.

Methods of Advertisement

In addition to invitation mailing, CATS uses the following methods to advertise for public meeting and workshops: Fifteen (15) area newspapers, City of Charlotte website (charmeck.org), CATS website (ridetransit.org), Charlotte Observer website (charlotteobserver.com), (local government cable channel (Channel 16), City of Charlotte intranet, emails to citizens, Rider's Alerts on vehicles, and text message alerts.

Language Assistance Plan

The CATS Limited English Proficiency Plan can be found as a separate attachment and standalone document. The plan includes a four-factor analysis of how CATS addresses language barriers, equitable distribution of services and equipment, as well has how CATS intends to address language barriers in the future.

CATS Formal Committees and membership demographics

Below are tables of the various boards and committees which advise and make policy decisions for CATS organization. The Metropolitan Transit Commission (MTC) is CATS governing/policy making board and is made up of elected officials. The smaller advisory committees are made of volunteers and appointed members and the demographics of those committees are listed below.

Table 1: Demographics of CATS Committees

Body	Total	Caucasian	African Am	Latino	Asian Pac	Native American	Multi
Population	21	14	6	1	0	0	0
CTAG	12	8	3	1	0	0	0
TSAC	9	6	3	0	0	0	0

Body	Total	Caucasian	African Am	Latino	Asian Pac	Native American	Multi
Population	21	67%	29%	5%	0%	0%	0%
CTAG	12	67%	25%	8%	0%	0%	0%
TSAC	9	67%	33%	0%	0%	0%	0%

Note: the LEP committee assists with bi-lingual interpretation of documentation and signage. The committee is not included above as they are not a formal committee but a group of volunteers.

Table 2: Demographics of CATS LEP Committee

Name	Ethnicity	Gender	Title	Organization	Appointed	Term Expires
Armando Bellmas	Hispanic	Male	Director of Communications	Latin American Coalition	Request of CATS Staff	N/A.
Melina Monita-Pacheco	Hispanic	Female	Latino New South Project Coordinator	Levine Museum of the New South	Request of CATS Staff	N/A.
Diana Rojas	White	Female	Client Services and Volunteer Coordinator	International House	Request of CATS Staff	N/ALeft Position
Rocio Gonzalez	Hispanic	Female	Dir. of Membership & Resource Development	Latin American Chamber of Commerce of Charlotte (LACCC)	Request of CATS Staff	N/A.
Jorge Salazar	Hispanic	Male	Project Coordinator	City of Charlotte	Request of CATS Staff	N/Aleft position
Sayra H. Brynn	White	Female	Public and Community Relations Specialist	City of Charlotte	Request of CATS Staff	N/A.
Paula Aguilera	Hispanic	Female	Director of Membership and Programs	Director of Membership and Programs	Request of CATS Staff	N/A.
Isabel Mejia	Hispanic	Female	Immigrant Welcome Center Coordinator	Latin American Coalition	Request of CATS Staff	N/A.
Alma Hernandez	Hispanic	Female	Client Services Director	International House	Request of CATS Staff	N/A.

The Citizens Transit Advisory Group (CTAG) is an advisory committee that reviews the long-range transit system planning and proposed operating and capital programs from the community's perspective and makes recommendations to the MTC. While it is not a policy-making body, its recommendations to the MTC fulfill the requirement levied by the Interlocal Agreement that the MTC ensures public involvement in transit planning. The CTAG is made up of members of the community appointed by the Mecklenburg County Board of Commissioners, the Charlotte City Council, each of the six Towns in Mecklenburg County, and the Charlotte-Mecklenburg Board of Education. Members may not be an elected official and members serve staggered two-year terms.

Table 3: Demographics of CATS CTAG Board Members

Name	Ethnicity	Gender	Appointed By	Term Expires
Anna Davis	Caucasian	Female	Town of Cornelius	June 30, 2024
Michael Cataldo	Caucasian	Male	Charlotte City Council	June 30, 2025
Jessi Healey	Caucasian	Female	Town of Mint Hill	June 30, 2024
Robert Hillman	African American	Male	City Council	June 30, 2024
Justin Musick	Caucasian	Male	Town of Pineville	June 30, 2024
Jeffrey Parker	Caucasian	Male	County Commission	June 30,2024
Donald Rhodes	Caucasian	Male	Town of Matthews	June 30, 2024
Todd Steiss	Caucasian	Male	Town of Davidson	June 30, 2024
Nichel Dunlap-Thompson	African American	Female	County Commission	June 30, 2025
Edward Tillman	African American	Male	Mayor	November 1, 2023
Kevin Walsh	Caucasian	Male	Town of Huntersville	June 30, 2024
Martin Wheeler	Caucasian	Male	County Commission	June 30, 2025

The Transit Services Advisory Committee (TSAC) reviews, makes recommendations and provides input into short-range transit operations. The TSAC focuses on day-to-day operations of the transit service to ensure that it meets the needs of the community. It makes recommendations to the MTC on issues within its sphere of interest and acts as a vehicle to promote public involvement in short-term transit planning. The TSAC is made up of customers of the CATS and are appointed by the City of Charlotte, Mecklenburg County, and the six Towns.

Table 4: Demographics of CATS TSAC Board Members

Name	Ethnicity	Gender	Appointed By	Term Expires
Leroy Fields	African American	Male	Charlotte City Council	January 31, 2024
Samuel Grundman	Caucasian	Male	Charlotte City Council	January 31, 2024
Jarrett Hurms	African American	Male	Charlotte City Council	January 31, 2025
Anto nette Love	African American	Female	Charlotte City Council	January 31, 2026
Robert Moran	Caucasian	Male	Charlotte City Council	January 31, 2026
Krissy Oechslin	Caucasian	Female	Mayor	January 31, 2025
Timothy Spaulding	Caucasian	Male	Charlotte City Council	January 31, 2026
Kevin Walsh	Caucasian	Male	Town of Huntersville	January 31, 2026

CATS Service Standards

CATS service standards also known as MTC-06 are found in **Appendix C** of this document. Also found in Appendix C is information on vehicle headways, loads, service availability, and amenities.

Results of Monitoring Program

The results of the monitoring program to include board transcripts, agendas, and meeting minutes can be found in **Appendix D** of this document.

Appendix A: Title VI Complaint Procedures



Subject/Title: Title VI Complaint Resolution Program

<u>Previous Revision</u>: March 14, 2022 Procedure No: CATS CivR03

Revised Date: January 11, 2023

Brent Cagle

Interim Chief Executive Officer and Director of Public Transit

TITLE VI POLICY STATEMENT

It is the policy of CATS to operate its programs and services in full compliance with Title VI of the Civil Rights Act of 1964, as amended, which requires that no person shall, on the grounds of race, color, national origin, or language of origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to Discrimination in any program or activity which is federally funded. Additionally, Executive Order 12898 establishes a mission of Environmental Justice for minority and low-income populations in all federal programs, policies and activities.

Toward this end, it is CATS' objective to:

- Ensure that the level and quality of its programs and services are provided in a nondiscriminatory manner;
- Promote the full and fair participation by all potentially affected communities in the transportation decision making process (public involvement);
- Avoid, minimize, or mitigate disproportionately high and adverse human health and environmental impacts, including social and economic effects, of its programs, policies, and activities on low-income and minority populations;
- Prevent the denial of, reduction in, or significant delay in the receipt of transportation benefits by low-income and minority populations; and
- Ensure meaningful access to transit-related programs and activities by persons with Limited English Proficiency (LEP).

The CATS Civil Rights Officer is responsible for initiating and monitoring Title VI activities, preparing required reports, and ensuring that CATS adheres to applicable laws and regulations.

Where federal funds are involved, CATS will monitor and ensure the compliance of third party contractors at any tier and each sub-recipient at any tier under the project with all requirements prohibiting Discrimination on the basis of race, color, or national origin, and will include non-discrimination language in all written agreements.

Any person that would like to request more information regarding CATS civil rights programs, CATS Title VI obligations, or who believes they have been aggrieved by any unlawful discriminatory practice under Title VI, may contact or file a formal complaint directly with one or more of the following:

- CATS, via:
 - o telephone at (704) 336-RIDE(7433)
 - o internet at <u>www.ridetransit.org</u>

- e-mail at telltransit@charlottenc.gov
- U.S. mail at ATTN: CATS Civil Rights Officer, 600 East Fourth Street, Charlotte, NC 28202
- City of Charlotte Human Resources Department, 600 East Fourth Street, Charlotte, NC 28202
- Federal Transit Administration (FTA) by filing a complaint with the Office of Civil Rights, Attention: Complaint Team, East Building, 5th Floor-TCR, 1200 New Jersey Ave., SE, Washington, DC 20590

CATS provides written translation of vital documents in compliance with the Safe Harbor Provision found in FTA Circular 4702.1B, Chapter III, Section 19.

Another Language? www.ridetransit.org has Google Translate or call 704-336-7433. ¿Otro idioma? www.ridetransit.org tiene Google Translate o llame al 704-336-7433. Một ngôn ngữ không? www.ridetransit.org có Google Translate hay gọi 704-336-7433. 另一 www.ridetransit.org有谷歌翻译,或致电704-336-7433.另一種語言? www.ridetransit.org有谷歌翻譯,或致電704-336-7433. Une autre langue? www.ridetransit.org a Google Translate ou appelez 704-336-7433. Другой язык? www.ridetransit.org имеет Google Translate или позвоните 704-336-7433. અન્ય ભાષા? www.ridetransit.org Google અનુવાદ અથવા 704-336-7433 પર શ્રેન કરો છે. 다른 언어? www.ridetransit.org 구글 번역 또는 704-336-7433로 전화있다. Outra Lingua? www.ridetransit.org tem Google Translate ou lique para 704-336-7433. Wani Language? www.ridetransit.org yana da Google Translate ko kira 704-336-7433. Asusu ozo? www.ridetransit.org nwere Google Itughari ma o bu na-akpo 704-336-7433. Miran ti Ede? www.ridetransit.org ni o ni Google sélédemírán tabi pe 704-336-7433. Lugad kale? www.ridetransit.org ayaa Google Translate ama wac 704-336-7433.

SCOPE

This procedure explains the formal and informal complaint processes for Title VI complaints, communicates the rights and responsibilities of the complainant, and states the responsibilities of CATS. It does not preclude the right of any complainant to file complaints directly with the Federal Transit Administration (FTA), or to seek private legal representation.

Informal and formal complaints should be filed within 180 calendar days of the event that forms the basis of the claim. If the concern is ongoing, the complaint should be filed within 180 calendar days of the last occurrence. The time required to process the complaint and to investigate it will vary depending on the complexity of the issue; however, every effort will be made to ensure a resolution of informal complaints within 30 business days and formal complaints within 60 business days.

The option of informal mediation meetings between the affected parties may be utilized for resolution.

Compliance with Title VI is the responsibility of every CATS employee. The CATS Civil Rights Office is responsible for monitoring and reporting compliance, investigating complaints, and administering the program.



REFERENCES

49 CFR Part 21 FTA Circular 4702.1B FTA Circular 4703.1

Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations.

CATS CSVS04 Customer Insights Tracking Process

DEFINITIONS

An **informal Title VI complaint** is a verbal or written communication received by the City of Charlotte or CATS staff from members of the public referencing a general complaint of Discrimination regarding CATS benefits, services, amenities, programs, or activities.

A **formal Title VI complaint** is a signed, written complaint of Discrimination on the basis of race, color, national origin, or language of origin filed directly with the FTA Office of Civil Rights, the City of Charlotte Human Resources Department, or CATS. CATS' Title VI Discrimination Complaint Form (CivRF01) is available in multiple languages, and is signed by the complaining party seeking to remedy perceived Discrimination.

Discrimination is action or inaction, whether intentional or unintentional, in any CATS program, activity, or service that results in disparate treatment, disparate impact, or perpetuating the effects of prior Discrimination based on race, color, or national origin (*FTA Circular 4702.1B definition*).

Limited English Proficient (LEP) persons refers to persons for whom English is not their primary language and who have a limited ability to read, write, speak, or understand English. It includes people who reported to the U.S. Census that they speak English less than very well, not well, or not at all. (*FTA Circular 4702.1B definition*)

RESPONSIBILITY

CATS Call Center will be primarily responsible for intake of informal Title VI complaints.

Division Managers must provide a written response, which includes the resolution of the complaint or an action plan, to the Civil Rights Office within 15 business days of receiving the complaint. If not completed within 15 business days, the Division manager will communicate the need for an extension in writing to the CATS Civil Rights Office.

The Civil Rights Office has the responsibility to:

- Evaluate Title VI complaints for compliance,
- Track complaints to ensure that the affected divisions have taken any recommended corrective action(s),
- Monitor response dates,
- · Communicate findings to the complainant, and
- Report trends, action plans, and non-compliance to CATS' Leadership Team.



PROCESSING INFORMAL COMPLAINTS

Intake

Upon receipt of a Title VI complaint, CATS' Call Center representatives code the complaint in their database as TVI (Title VI) and process the complaint per CATS CSVS04 *Customer Insights Tracking Process*. The complaint is then forwarded to the appropriate divisional contact and to the Civil Rights Officer within three (3) business days of receipt.

Processing of Complaint and Resolution

If the Civil Rights Officer determines the complaint identifies a potential Title VI violation, he/she assigns a complaint tracking number, enters the complaint into the Title VI Complaint database, notifies the affected division manager, and investigates the alleged violation. Within three (3) business days of receipt, the division manager will forward the complaint to the staff member most appropriate to address the issue.

The division will consult with the Civil Rights Office and offer a proposed resolution in writing. Within three (3) business days of receiving the proposed resolution, the Civil Rights Office will offer suggestions or modifications to the proposed resolution, if any.

The Civil Rights Office will communicate its written findings including the steps taken to resolve the matter to the complainant, in the language the complaint was received, within a reasonable time after resolving the complaint with the division. The Civil Rights Office will also forward copies of this communication to the affected division(s) and to CATS Call Center.

If the Civil Rights Office determines that the complaint does not identify a potential Title VI violation, the Civil Rights Office will notify CATS Call Center, the affected division's Manager, and the complainant within a reasonable period of time and the matter will be handled through the *Customer Insights Tracking Process* (CATS CSVS04).

Every effort shall be made to process and resolve informal Title VI complaints within 30 business days.

Appeal

There is no right to appeal resolution of an informal complaint. However, the party has the right to file a formal complaint within 180 calendar days of the event or last occurrence of the event.

PROCESSING FORMAL COMPLAINTS

Intake

The Civil Rights Office will provide a Title VI Discrimination Complaint Form in the complainant's requested language. The Title VI Discrimination Complaint



Subject/Title: Title VI Complaint Resolution Program **Procedure No: CATS CivR03** Revised Date: 01/1/2023

> forms are available on www.ridetransit.org in the Safe Harbor languages identified in CATS current Title VI Program.

Processing

The Civil Rights Officer reviews the formal complaint to determine if the complaint alleges a potential Title VI violation. A complaint shall be investigated unless:

- It fails to allege facts that establish Discrimination as described in the Definitions section of this procedure, or
- It does not relate to a program or activity controlled by CATS or the City.

If the Civil Rights Office determines the complaint alleges a potential Title VI violation, he/she assigns a complaint tracking number, enters the complaint into the Title VI Complaint database, and notifies the affected division manager.

If the Civil Rights Office determines that the complaint does not identify a potential Title VI violation, the Civil Rights Office will notify CATS Call Center, the affected division's manager, and the complainant in writing within a reasonable period of time and the matter will be handled through the Customer Insights Tracking Process (CATS CSVS04).

Investigation, Determination, and Recommendation

If investigation is warranted, the Civil Rights Office will investigate or assign an investigator to:

- Identify the basis of the alleged Discrimination;
- Establish when and where the alleged Discrimination occurred;
- Identify and interview all relevant parties;
- Review relevant documents; and
- Make site visits to obtain factual information.

If the complainant does not respond to requests for additional information and information provided is not sufficient to pursue the investigation, the Civil Rights Officer may close the complaint.

Upon conclusion of a thorough investigation, the investigator will prepare an investigative report to summarize findings and suggest appropriate corrective action. The report should be submitted to the Civil Rights Office upon completion of the investigation.

Communication of Findings and Complaint Resolution

The Civil Rights Office will accept, reject, or modify the investigative report and then consult with the affected division to develop a corrective action plan. The Civil Rights Office will prepare a written determination and submit it to CATS' Legal Office for review and analysis. Once the final determination is ready for release, the Civil Rights Office and CATS' Legal Office will meet with the

manager of the affected division(s) to communicate the final determination and recommendations for corrective action, if any.

The Civil Rights Office will provide written notification to the complainant of the investigation findings and CATS' proposed corrective action, if any. The Civil Rights Office will forward copies of this communication to CATS Call Center and the affected division(s). The Civil Rights Office will maintain a record of all discussions and retain all documents relating to the investigation in a confidential file.

If non-compliance is found, the Civil Rights Office will communicate the findings to CATS' Leadership Team before releasing the findings to the complainant.

Appeal

The written notification to the complainant will explain that he or she has a right to appeal to the FTA Office of Civil Rights or to seek private legal representation.

RECORDS REQUIRED

- CivRF01 Title VI Discrimination Complaint Form (English) available in multiple languages as outlined in 7.1.
- Attachment A Title VI Statement for Posting in Public Areas
- CATS' Civil Rights Office will maintain all documents related to the investigation
- Complaints and follow-up information will be entered and kept in Cityworks.

Summary of Changes

Entire Document: Made minor wording changes to improve clarity 1.0 Removed language translation, removed TDD number



Statement on Title VI Protection Against Discrimination.

It is the policy of CATS to operate its programs and services in full compliance with Title VI of the Civil Rights Act of 1964, as amended, which requires that no person shall, on the grounds of race, color, national origin, or language of origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to Discrimination in any program or activity which is federally funded. Additionally, Executive Order 12898 establishes a mission of Environmental Justice for minority and low-income populations in all federal programs, policies, and activities. Toward this end, it is CATS objective to:

- Ensure that the level and quality of its programs and services are provided in a nondiscriminatory manner;
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- Avoid, minimize, or mitigate disproportionately high and adverse human health and environmental impacts, including social and economic effects, of its programs, policies, and activities on low-income and minority populations;
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Where federal funds are involved, CATS will monitor and ensure the compliance of third party contractors at any tier and each sub-recipient at any tier under the project with all requirements prohibiting Discrimination on the basis of race, color, or national origin, and will include non-discrimination language in all written agreements.





Statement on Title VI Protection Against Discrimination.

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 - o telephone at (704) 336-RIDE(7433)
 - o internet at <u>www.ridetransit.org</u>
 - e-mail at <u>telltransit@charlottenc.gov</u>
 - U.S. mail at ATTN: CATS Civil Rights Officer, 600 East Fourth Street, Charlotte, NC 28202
- City of Charlotte Human Resources Department, 600 East Fourth Street, Charlotte, NC 28202
- Federal Transit Administration (FTA) by filing a complaint with the Office of Civil Rights, Attention: Complaint Team, East Building, 5th Floor-TCR, 1200 New Jersey Ave., SE, Washington, DC 20590

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Brent Cagle.

01/11/2023

Date

Interim Chief Executive Officer, Charlotte Area Transit System

Director of Public Transit, City of Charlotte



Title VI Complaint Forms

The following are the Title VI complaint forms translated into the 14 Safe Harbor Languages identified as being spoken in the metro area. The languages include English, Chinese, French, Hausa, Igbo, Korean, Portuguese, Russian, Somali, Spanish, Vietnamese, and Yorube.



<u>Español Spanish</u> <u>Việt Vietnamese</u> <u>中國 (Chinese-PRC)</u> <u>中國 (Chinese-Taiwan)</u>

<u>Français French</u> <u>Pyccкий Russian</u>

ગુજરાતી Gujarati

<u>Igbo</u>

<u>한국의 Korean</u>

Português Portuguese

<u>Hausa</u>

Yorube

<u>Somali</u>

(704) 336 7433 or Telltransit@charlottenc.gov Civil Rights Officer, CATS, 600 East Fourth Street, Charlotte, NC 28202

TITLE VI DISCRIMINATION COMPLAINT FORM					
1. Name of Complainant	4. Person discriminated against (if someone other than complainant)				
	Name				
2. Telephone	Address				
3. Home address (street, city, state, zip)	City, State, Zip				
	Telephone Numbers				
5. Describe who allegedly discriminated against you. (if known include) name of person(s), badge number, employee number, vehicle number, and/or contact information:	6. Date /time of alleged incident (Month, Day, Time of Day, Year):	7. Location of alleged incident (Include bus route and number, if involved.)			
9. I believe the discrimination I experienced was based	on (check all that apply):				
[] Race [] Color [] National Origin [] Limited Ability to Speak English and/or the Language I Speak.					
Explain as clearly as possible what happened and why you believe you were discriminated against. If more space is needed, please use the back of this form.					
10. Fully identify any persons or witnesses we may contact for additional information to support or clarify your allegations (name, address, telephone(s)					
11. What other information do you have which is relevant to an investigation of this complaint?					
12. How can your issue(s) be resolved to your satisfaction	on?	12. If you have filed this complaint with CATS before, please specify when, where, and how?			
Signature:		DATE:			
INTAKE BY (Administration Staff Representative)					

西班牙语西班牙语 越盟越南 中国 (中文-中国) 中国(中国台湾)

<u>葡萄牙语葡萄牙语</u> <u>豪萨人</u> <u>伊博语</u> <u>Yorube</u> <u>索马里</u>

(704) 336-7433 或 Telltransit@charlottenc.gov 或 C.A.T.S., 公民权利主任 600 东第四街,夏洛特,数控 28202

第六 编歧视投诉表格				
1.投诉人的名称	4. 人歧视 (如果申诉人是另	別人的)		
	名称			
2. 电话 3.家庭地址 (街道、城市、州、邮政编码)	地址			
	市,州,邮编			
	电话号码			
5。描述据称歧视你的人。(如果已知包括) 人员、徽章编号、员工人数、车辆数和/或联系信息名称:	6.日期/时间的指称的事件 (月、一天、一天时 间、年):	7.地点指称事件 (包括巴士路线和数量,如果涉及)。		
9. 相信我经历过的歧视基于 (请选中所有适用项) [] 种族 [] 颜色 [] 民族血统 [] 限制能讲英语和/或我所说的语言。	:			
解释发生了什么事,为什么你认为你被歧视的尽可能明确。如果需要更多空间,请使用此窗体后面。				
10. 完全标识的任何人或证人我们可能会联系支持或澄清你指控的其他信息 (姓名、 地址、 电话				
11. 什么其他信息你有相关的调查这类投诉呢?				
12.如何能你的问题被解析为您满意吗?		13. 如果你提起这与之前的 C.A.T.S.习惯,请 指定何时、 在哪里,以及如何?		
签名:		日期:		
由(行政工作人员代表)的摄入量				

西班牙文西班牙文 越盟越南 中國(中文-中國) 中國(中國臺灣)

葡萄牙文葡萄牙文 豪薩人 伊布文 Yorube 索馬里

(704) 336-7433 或 Telltransit@charlottenc.gov "C.A.T.S.", 公民權利主任 600 東第四街,夏洛特,數控 28202

第六編歧視投訴表 格					
1.投訴人的名稱	4. 人歧視 (如果申訴人是別人的)				
	名稱				
2. 電話	位址				
3.家庭位址 (街道、城市、州、郵遞區號)	士 川 都領				
	市,州,郵編				
	電話號碼				
5。描述據稱歧視你的人。(如果已知 包括)人員、徽章編號、員工人數 、車輛數和/或聯繫資訊名稱:	6.日期/時間的指稱的事件 (月、一天、一天時 間、年):	7.地點指稱事件 (包括巴士路線和數量, 如果涉及)。			
9. 相信我經歷過的歧視基於 (請選中所有)					
[] 種族 [] 顏色 [] 民族血統 [] 限制能講英語和/或我所說的語言。					
解釋發生了什麼事,為什麼你認為你被歧視的盡可能明確。如果需要更多空間,請使用此表單後面。					
10. 完全標識的任何人或證人我們可能會聯繫支援或澄清你指控的其他資訊 (姓名、 位址、 電話					
11. 什麼其他資訊你有相關的調查這類投訴呢?					
12.如何能你的問題被解析為您滿意嗎?		13. 如果你提起這與之前的 C.A.T.S.習慣,請指定何時、 在哪裡,以及如何?			
簽名:	日期:				
由(行政工作人員代表)的攝入量					

한국의朝鮮語

Español espagnol <u>Vietnamien Việt</u> 中國(Chinois - PRC) 中國 (Chinois - Taiwan)

<u>English Français</u> <u>Русский russe</u> <u>ગુજરાતી Gujarati</u> <u>한국의Coréen</u>

Português Portugais Haoussa Igbo Yorube Somali

(704) 336-7433 ou Telltransit@charlottenc.gov agent de droits civils, "C.A.T.S.", 600 quatrième Street East, Charlotte, NC 28202

FORMULAIRE DE PLAINTE DE DISCRIMINATION TITRE VI			
1. nom du plaignant	Personne victime de discrimination (si quelqu'un d'autre que de la plaignante)		
2. Téléphone	Nom		
3. adresse (rue, ville, État, zip)	Adresse		
	Ville, État, Zip		
	Numéros de téléphone		
5. Describe qui auraient fait preuve de discrimination contre vous. (si connus) nom de la personne (s), matricule, numéro d'employé, numéro du véhicule et/ou coordonnées :	6. date /time du présumé incident (jour, heure, mois, année) :	7. lieu de l'incident présumé (ligne de bus Include et nombre, si elle est concernée.)	
9. je crois que la discrimination, j'ai vécu a été basée sur	(cocher toutes les cases):		
[] Course [] Couleur [] Origine nationale [] Limité la capacité de parler l'anglais et/ou la langue que je parle. Expliquer aussi clairement que possible ce qui s'est passé et pourquoi vous croyez vous ont été victimes de discrimination. Si plus d'espace est nécessaire, veuillez utiliser le verso de ce formulaire.			
10. Entièrement identifier des personnes ou des témoins nous pouvons contacter pour plus d'informations à soutenir ou à clarifier vos			
allégations (nom, adresse, niveau	nous pouvons contacter pour plu	is d'informations a soutenir ou a clarifier vos	
11. Quelles autres informations avez-vous qui se rapporte	e à une enquête de cette plainte?		
12. Comment votre question (s) peut-on résolu à votre sa	tisfaction ?	13. Si vous avez déposé cette plainte avec C.A.T.S. avant, veuillez préciser quand, où et comment?	
Signature:		DATE DE :	
APPORT par (Administration représentant du personnel)		<u>I</u>	

Español સ્પેનિશ Français ફ્રેન્ય

Português પોર્ટુગીઝ

<u> Әઇत विએतनाभीअ</u> <u>Русский रशियन</u>

<u>હૌસા</u>

中國 (Chinese- પીઆરસીમાં) ગુજરાતી Gujarati 中國 (ચિની -Taiwan) ક્રોરિયામાં ક્રોરિયન

<u>સોમાલી</u>

<u>ઇગ્બો</u> <u>Yorube</u>

(704) 336-7433 અથવા Telltransit@charlottenc.gov નાગરિક અધિકાર અધિકારી, "બિલાડી", 600 ઇસ્ટ યોથી સ્ટ્રીટ, યાર્લોટ, NC 28202

TITLE છઠ્ઠી ભેદભાવ ફરિયાદ ફોર્મ			
1. ફરિયાદી નામ	6. સામે ભેદભાવ 4 વ્યક્તિ (જો ક	રૂરિયાદી કરતાં અન્ય કોઈને)	
	નામ		
3. ટેલિફ્રોન			
3. હોમ સરનામું (શેરી, શહેર, રાજ્ય, પિન)	સરનામું		
	સિટી, ઝિપ રાજ્ય,		
	ટેલિફોન નંબર્સ		
7. કથિત તમે સામે ભેદભાવ જે વર્ણન કરો. વ્યક્તિ (ઓ), બેજ	6. તારીખ / કથિત ઘટના ભાવ	7. કથિત ઘટના છે US ટપાલ સેવા (બસ માર્ગ અને	
નંબર, કર્મચારી નંબર, વાહન નંબર, અને / અથવા સંપર્ક	(મહિનો, દિવસ, દિવસ સમય,	નંબર છે, સામેલ તો સમાવેશ થાય છે.)	
માહિતી નામ (જો હોય સમાવેશ થાય છે):	વર્ષ):		
9. હું પર આધારિત હતી અનુભવ ભેદભાવ (બધા લાગુ તપાસો) માર્	ને છે:		
[] રેસ			
[] ಕંગ			
[] નેશનલ મૂળ	, (0,)		
[] ઇંગલિશ અને / અથવા ઠું ચર્ચા કરો આ ભાષા ચર્ચા કરો કરવ	ા માટે ક્ષમતા મચીદિત છે.		
તરીકે સ્પષ્ટ રીતે શક્ય થયું તે સમજાવો અને તમે તમારી સામે ભેદલ	માવ કરવામાં આવી હતી માને છે શા મ	ાટે. વધુ જગ્યા જરૂરી છે, આ ફોર્મ પાછળ ઉપયોગ કરો.	
13. સંપૂર્ણપણે અમે આધાર અથવા તમારા આરોપો (નામ, સરનામું,	उपिडोय आफ पशांत्राची स्राप्तांत्री म	الوريد باعدور (توجي)يج بديريان في فيه له ع يدزد في	
13. સંયુક્ષવક્ષ અને આવાર અંઘવા લાનાસ આરાવા (ગાન, સરગાનુ, (ઓ) ઓળખવા	, ડાલફાળ સ્વચ્છ વેવાસાંગા કાલુકાસ ન	ાં સંવક કરા રાકા ઠા કાંઇ વધુ વ્યાકાલા બચવા સાહા	
14. અન્ય કઈ માહિતી તમે આ ફરિયાદ એક તપાસ સાથે સંબંધિત દે). જે છે?		
· · ·	,		
12. (ઓ) તમારા સંતોષ માટે તમારી સમસ્યા કેવી રીતે ઉકેલ લાવી	ી શકાય છે?	13. તમે બિલાડીઓ સાથે આ ફરિયાદ દાખલ કરી છે તો	
		પહેલાં, જ્યારે, જ્યાં, અને કેવી રીતે સ્પષ્ટ કરો?	
ફસ્તાક્ષર:		તારીખ:	
દ્વારા ઇન્ટેક (વહીવટ સ્ટાફ પ્રતિનિધિ)		<u> </u>	
•			

Español Spanish việt K'abilan Biyetnam 中國 (Chinese-PRC) 中國 (Chinese - Taiwan)

<u>Français Faransa</u> <u>Русский Rasha</u> <u>ગુજરાતી Gujaratia</u> <u>한국의 Korean</u>

Português Portuguese Hausa Igbo Yorube Somaliya

(704) 336 RIDE ko Telltransit@charlottenc.gov Civil Rights Officer, C.A.T.S., 600 East huxu Street, Charlotte, NC 28202

TITLE VI NUNA	A BAMBANCI K	UKA FORM	
1. Sunan Complainant	8. Mutum nuna musu wariya da (idan wani ya wanin complainant)		
	Name		
4. Telephone	. 11		
	Address		
3. Home address (titi, city, jihar, zip)	City, State, Zip		
	Telephone Lissafi		
9. Bayyana wanda wai nuna musu wariya a kanku. (Idan aka sani sun hada da) sunan mutum (s), lamba number, ma'aikaci number, abin hawa number, da / ko contact bayani:	6. Date / lokacin da ake zargin ya faru (Watan, Day, Time of Day, Year):	7. Location of zargin ya faru (Include bas hanya da kuma lambarta, idan hannu.)	
9. Na yi imani da nuna bambanci da na samu da aka bis	sa (duba abin da nema):		
[] Race [] Color [] National Origin [] Limited Ability ya yi magana Turanci da / ko Hars	she Na yi magana.		
Bayyana a matsayin fili ne sosai abin da ya faru da kuma bukata, don Allah yi amfani da baya na wannan tsari.	abin da ya sa ka yi imani ku ak	a nuna musu wariya da. Idan more sarari ake	
15. Yi cikakken gano wani mutum ko shaidu mu tuntub tarho (s)	e domin ƙarin bayani, don tallaf	fa wa ko bayyana your zargin (sunan, address,	
16. Abin da sauran bayanai kuke da shi wanda shine da	ce da wani bincike na wannan k	uka?	
12. Ta yaya za ka fito (s) a karfin zuciya to your gamsuv	va?	13. Idan ka yi wannan kuka da C.A.T.S. kafin, don Allah saka a lokacin da, inda, kuma ta yaya?	
Sa hannu:		DATE:	
Ci BY (Administration Staff Wakilin)		ı	

<u>Español Spanish</u> <u>Việt Vietnamese</u> <u>中國 (Chinese-PRC)</u> <u>中國 (Chinese - Taiwan)</u>

<u>Français French</u> <u>Pусский Russian</u> <u>ગુજરાતી</u>

ગુજરાતી Gujarati

<u> 한국의 Korean</u>

Somali

Português Portuguese

<u>Hausa</u>

<u>Igbo</u> <u>Yorube</u>

(704) 336-7433 ma o bụ Telltransit@charlottenc.gov Obodo Rights officer, C.A.T.S., 600 East ano Street, Charlotte, NC 28202

MBŲ NA VI OKE MKPESA ŲDĮ			
1. Aha nke Complainant	10. onye na-akpa ókè Against (ihunanya onye ozo Karia complainant)		
	aha		
5. Trafík	adreesi		
3. Home adreesi (Street, City, State, ZIP)	City, State, zip		
	Trafík nomba		
11. Kowaa WHO kwuru na-akpa ókè Against I. (Ihunanya mara gunyere) aha onye (s), baaji nomba, na-aru otutu, ugbo nomba, na / ma o bu ozi ikpoturu:	6. Ubochi / Oge nke ebubo mere (onwa, Day, Oge nke Ubochi, nke agaghinihu):	7. Onodu nke ebubo mere (Gunye ugbo ala na Nsoro na Number, n'anya idem.)	
9. M Kwere na Ikpa Ókè m ahumahu klas dabeere (Lele	ee niile tinye):	L	
[] N'Oso [] Nillkin [] National Si Malite [] Oge Ikike na-ekwu na Bekee ma na / ma o bụ nd Kowaa ihe doro anya na-akowa omume ihe Mere na Ntal biko jiri azu nke ikike udi.		a ókè megide. Ọ bụrụ na More Ohere ngo mkpa,	
17. Ofuri Esit mata o bula mmadu ma o bu Ndiàmà Ka l (aha, adreesi, ekwenti (s)	kpoturu gi maka ozi ndi ozo na-a	akwado ma o bụ doo anya, gosikwa gi akwado	
18. Nso ozi ndį ozo i nwere nke dį mkpa ka ihe nchoput	a nke a mkpesa?		
19. Olee otú gị nke (s) kpebisie ike gị afọ ojuju?		20. O buru na i gbara akwukwo a mkpesa na C.A.T.S. n'ihu, biko eziputa mgbe, ebe, ndien didie?	
Akara Mbinye aka:		ЏВОСНІ :	
Oriri BY (elekota oru nnochite anya)			

스페인어 스페인어 베트남 베트남 中國(중국어-중국) 中國(중국-대만)

<u>프랑스어 프랑스어</u> Русский 러시아어 <u>ગ</u>જરાતી 구자라트어 <u>한국한국어</u>

<u>포르투갈어</u> 포르투갈어 하우사어

이그보어

Yorube

소말리아

(704) 336-7433 또는 Telltransit@charlottenc.gov 민권 장교, "C.A.T.S." 600 동쪽 제 4 거리, 샬 롯, 노스캐롤라이나 28202

제목 VI 차별 불만 양식			
1입니다. 신청 인 이름	4. (만약 신청 인 이외의 다른	른 사람이) 사람에 대 한 차별	
	이름		
2. 전화			
3. 집 주소 (거리, 도시, 상태, 우편 번호)	주소		
	도시, 상태, 우편		
	,, , , , =		
	전화 번호		
5. 추정 되게 당신을 차별 하는 설명 합니다. (알고 있는	6. (달, 한 일 시간, 년) 추정 된 사건의 /time 날짜:	7. 혐의 사건 (포함 버스 노선 및 번호, 참여 하는	
경우를 포함) 사람, 번호, 직원 번호, 차량 번호 및 연락처의 이름:	된 사건의 /time 날짜:	경우.)의 위치	
9. 믿습니다 내가 경험 하는 차별 (적용 되는 모든 수 표)어] 근거 했다:		
[]경주			
[]색상] []국적			
[]영어와 내가 말하는 언어를 말하는 기능을 제한 합니다.			
무슨 일이 있었는지 그리고 왜 당신 생각에 대하여 감 별 했다 가능한 명확 하 게 설명 한다. 공간이 더 필요한 경우이 양식 다시를 사용 하시기 바랍니다.			
10. 완전히 식별 어떤 사람 또는 증인 우리를 지원 하거나 당신의 주장을 명확히 추가 정보에 대 한 문의하실 수 있습니다 (이름, 주소,			
telephone(s),			
11. 기타 정보 있다면이 불평의 수사에 관련 된?			
12. 어떻게 당신의 문제가 (들)을 만족 스럽게 해결할 수 있]습니까?	13. 전에 C.A.T.S.와이 불만 제기 하는 경우 지정	
12. T\$/# 0 CFF E/#/ (E/E CFF — B/# 41 E E F /	λ Η - Γ ^γ / ι	하십시오 언제, 어디서, 그리고 어떻게?	
서명:		날짜:	
섭취에 의해 (관리 직원 대표)			

Espanhol Español Việt vietnamita 中國(Chinês - Taiwan)

República Popular da China)

Français-francês Русский russo 기왕인데 Guzerate 한국의Coreano

<u>Português Português</u> <u>Hausa</u> <u>Igbo</u> <u>Yorube</u> <u>Somali</u>

(704) 336-7433 ou <u>Telltransit@charlottenc.gov</u>, oficial de direitos civis, "C.A.T.S.", 600 leste quarta rua, Charlotte, NC 28202

FORMULÁRIO DE DENÚNCIA DE DISCRIMINAÇÃO DE TÍTULO VI			
1. nome do autor da denúncia	4. Pessoa de discriminação (se alguém que não seja o autor da denúncia)		
	Nome		
2. Telefone3. endereço (rua, cidade, estado, zip)	Endereço		
	Cidade, estado, Zip		
	Números de telefone		
5. Descrever quem supostamente te discriminou. (se conhecidos incluem) nome da pessoa (s), número do distintivo, número de funcionário, número do veículo e/ou informações de contato:	6. Data /time do alegado incidente (mês, dia, hora do dia, ano):	7. localização do alegado incidente (incluir seu itinerário e número, se envolvido).	
9. eu acredito que a discriminação que eu experimentei foi ba	seada no (verificar todas que se	aplicam):	
[] Raça [] Cor [] Origem nacional] [] Limitada capacidade de falar inglês e/ou a língua que eu falo. Explica tão claramente quanto possível o que aconteceu e por que você acredita que foram discriminados. Se for necessário mais espaço, por favor use a parte de trás desse formulário.			
10. Identificar totalmente quaisquer pessoas ou testemunhas pode contactar para obter informações adicionais apoiar ou esclarecer as alegações (nome, endereço, telephone(s)			
11. Que outra informação que seja relevante para uma investigação desta demanda tem?			
12. como pode o problema ser resolvido para sua satisfação?		13. Se você já arquivado esta queixa com C.A.T.S. antes, por favor, especificar quando, onde e como?	
Assinatura:		DATA:	
INGESTÃO por (administração representante pessoal)			

 Испанский Вьетнамский Việt

 Испанский
 Русский Русский

французский

中國(Китайский - <u>Китай)</u> Гуджарати числа

Игбо

中國 (Китайский -<u>Тайвань)</u> 한국의корейский

Португальский Xayca
Português

Yorube

Сомали

(704) 336-7433 или Telltransit@charlottenc.gov гражданских прав офицер, «С.А.Т.S.», 600 Востоке четвертой улице, Шарлотта, NC 28202

РАЗДЕЛ VI ФОРМЫ ДИСКРИМИНАЦИИ ЖАЛОБЫ			
1. Наименование заявителя	4. Лицо дискриминации (если кто-то помимо заявителя)		
	Имя		
2. Телефон			
-	Адрес		
3. домашний адрес (улица, город, штат, zip)			
	Город, штат, почтовый индо	екс	
	Телефонные номера		
5. Опишите, кто якобы дискриминации против вас. (если известно, включают) имя человек(а), номер жетона, табельный номер, номер транспортного средства или Контактная информация:	6. Дата /time предполагаемого инцидента (месяц, день, время суток, год):	7. местоположение предполагаемого инцидента (включая автобусный маршрут и номер, если речь.)	
9. я считаю, я испытал дискриминации основывается н	на (выоерите все что подходит	<i>)</i> :	
[] Гонка [] Цвет [] Национальное происхождение [] Ограничивает способность говорить на английском и/или владею языком.			
Объясните, как ясно, как можно скорее, что случилось и почему вы считаете, вы подвергались дискриминации. Если требуется больше места, пожалуйста, используйте в задней части этой формы.			
10 Полной млентификации лиц или срилетелей мы мо	смете сразаться ппа получения	пополнительной информации пля поплеруки	
10. Полной идентификации лиц или свидетелей мы можете связаться для получения дополнительной информации для поддержки или уточнить ваши утверждения (имя, адрес, Телефон			
11. Какая информация у вас которых имеет отношение	е к расследование этой жалобы	1?	
12. каким образом можно разрешить для вашего удовл	етворения ваших выпусков?	13. Если вы подали эту жалобу с C.A.T.S. раньше, просьба указать, когда, где и как?	
Подпись:		ДАТА:	
ПОТРЕБЛЕНИЕ (администрирование персонала предо	ставителем)		

<u>Español Spanish</u> <u>Việt Vietnamese</u> 中國 (Chinese - PRC) 中國 (Chinese - Taiwan)

Français Faransiiska Pyc

Русский Ruushka

ગુજરાતી Gujarati

<u>Igbo</u>

<u>한국의 Kuuriya</u>

Português Portuguese

<u>Hausa</u>

<u>Yorube</u>

<u>Somali</u>

(704) 336-7433 ama Telltransit@charlottenc.gov Sarkaalka Civil Rights, C.A.T.S., 600 East Fourth Street, Charlotte, NC 28202

VI SOOCA FOOMKA CABASHADA			
1. Name of cabanaya	12. Qofka takooray (haddii uu qof kale oo aan ahayn cabanaya)		
	Name		
6. Telephone	Cinwaanka		
3. cinwaanka Home (wadada, magaalada, gobolka, zip)	City, State, Zip		
	Lambarada Teleefonka		
13. Sharaxaad oo sida la sheegay kuugu takoortay. (haddii la yaqaan waxaa ka mid ah) magaca qofka (s), tirada calaamad, tiro shaqaale, tirada baabuurta, iyo / ama macluumaad kala xiriir:	6. Taariikhda / Waqtiga dhacdada lagu eedeeyey (Bisha, Maalinta, Time ee maalinta, sanadka):	7. Location dhacdada lagu eedeeyey (Ku dar basaska iyo tirada, haddii ay ku lug.)	
9. Waxaan aaminsanahay takoorka ee aan soo maray ayaa waxaa ku salaysan (calaamadee dhamaan inta ku khuseysa):			
[] Race [] Color [] Qaranka Origin [] Limited Kartida aad u hadal English iyo / ama Language aan hadal.			
U sharax si la akhrin karo waxa dhacay iyo sababta aad u aaminsan aad xaqiraad. Haddii boos dheeraad ah loo baahan yahay, fadlan isticmaal dhabarka foomkan.			
10.1.1.1	1	111 11 1	
10. buuxda u aqoonsado wixii qof ama markhaati waxaan la xiriiri kartaa macluumaad dheeraad ah si ay u taageeraan ama caddeeyo aad eedaha (magaca, cinwaanka, telefoonka (s)			
11. maxay macluumaadka kale ee aad leedahay taas oo ku	ı haboon in baaritaan lagu sam	eeyo cabasho this?	
12. Sidee aad arrin (s) waxaa lagu xallin karaa in aad	l ku qanacsan tahay?	13. Haddii aad dacwad la C.A.T.S. ka hor, Fadlan Sheeg goorma, meelma, sidee iyo?	
Saxiixa:		TAARIIKHDA:	
Intake BY (Maamulka Shaqaalaha Wakiilka)		<u> </u>	

Español Español
Francés Français

Portugués Português

Vietnamita Việt

<u>Русский ruso</u>

Hausa

中國(China - PRC) ગુજરાતી Gujarati

<u>Igbo</u>

中國 (China - Taiwan) 한국의Coreano

<u>Somalí</u>

Yorube

(704) 336-7433 o Telltransit@charlottenc.gov Oficial de los Derechos Civiles, "C.A.T.S.", 600 este cuarto Street, Charlotte, NC 28202

FORMULARIO DE QUEJAS DE DISCRIMINACIÓN TÍTULO VI			
1. nombre del demandante	4. Persona discriminada (si alguien que no sea querellante)		
Z. Teléfono 3. dirección (calle, ciudad, estado, código postal)	Nombre Dirección City, State, Zip Números de teléfono		
5. Describe que presuntamente discriminado. (si se conoce incluyen) nombre de la persona (s), número de placa, número de empleado, número de vehículo o información de contacto:	6. fecha/hora del supuesto incidente (mes, día, hora del día, año):	7. Ubicación del presunto incidente (incluye autobús y número, si procede)	
9. creo que experimenté la discriminación se basaba en (1	marque todas las que apliqu	en):	
[] Carrera [] Color [] Origen nacional [] Limitada habilidad de hablar inglés o el id Explicar lo más claramente posible lo que pasó y por qué el dorso de este formulario.	•	riminados. Si se necesita más espacio, utilice	
10. Identifican plenamente cualquier persona o a los testi aclarar sus alegaciones (nombre, dirección, teléfono	gos podemos contactar para	a que obtener información adicional apoyar o	
11. Qué otra información que sea pertinente para una inv	estigación de esta queja tier	nes?	
12. ¿Cómo pueden resolver satisfactoriamente sus proble	emas?	12. Si ha presentado esta queja con C.A.T.S antes, por favor especifique Cuándo, dónde y cómo?	
Firma:		FECHA:	
INGESTA por (representante personal de administración)		

<u>Tiếng Tây Ban Nha tai</u> <u>Tây Ban Nha</u> Việt Việt Nam

中國(Tiếng Trung Quốc - Trung Quốc) 中國 (Trung Quốc - Đài Loan)

Français Pháp

Русский Nga

<u>ગુજરાતી Gujarati</u>

한국의Hàn Quốc

<u>Tiếng Bồ Đào Nha</u> <u>Português</u> Hausa

<u>Igbo</u>

<u>Yorube</u>

Somalia

(704) 336-7433 hoặc <u>Telltransit@charlottenc.gov</u> cán bộ quyền dân sự, "C.A.T.S.", 600 East Fourth Street, Charlotte, NC 28202

MẪU ĐƠN KHIẾU NẠI TIỀU ĐỀ VI PHÂN BIỆT ĐỐI XỬ			
1. tên của người khiếu nại	4. Người phân biệt đối xử (nếu ai đó khác hơn so với người khiếu nại)		
	Tên		
2. Điện thoại	Địa chỉ		
3. Trang chủ địa chỉ (street, thành phố, tiểu bang, số zip)	Thành phố, tiểu bang, Số Z	Zin	
	-		
	Số điện thoại		
5. Describe người bị cáo buộc phân biệt đối xử bạn. (nếu được biết đến bao gồm) tên của người, huy hiệu số, số lượng nhân viên, số xe, và/hoặc thông tin liên lạc:	6. ngày /time của bị cáo buộc vụ việc (tháng, ngày, thời gian của ngày, năm):	7. vị trí của bị cáo buộc vụ việc (bao gồm xe buýt tuyến đường và số, nếu tham gia.)	
9. tôi tin rằng phân biệt đối xử tôi có kinh nghiệm được	dựa trên (kiểm tra tất cả mà á	ip dụng):	
[] Chủng tộc [] Màu [] Nguồn gốc quốc gia [] Giới hạn khả năng nói tiếng Anh và/hoặc ngôn ngữ tôi nói.			
Giải thích rõ ràng càng tốt những gì đã xảy ra và lý do tại sao bạn tin rằng bạn đã được phân biệt đối xử. Nếu không gian hơn cần thiết, xin vui lòng sử dụng sau này.			
10. Hoàn toàn xác định bất kỳ cá nhân hoặc nhân chứng chúng tôi có thể liên hệ với các thông tin bổ sung để hỗ trợ hoặc làm rõ những cáo buộc của bạn (tên, địa chỉ, telephone(s)			
11. Thông tin gì khác bạn có mà là có liên quan đến một cuộc điều tra khiếu nại này?			
12. làm thế nào có thể issue(s) của bạn được giải quyết	để sự hài lòng của bạn?	12. Nếu quý vị đã nộp khiếu nại này với C.A.T.S. trước khi, xin vui lòng xác định khi nào, ở đâu, và làm thế nào?	
Chữ ký:		NGÀY:	
Tiêu thụ bởi (quản trị nhân viên đại diện)		<u> </u>	

<u>Español Spani</u> <u>Việt Vietnamese</u> 中國 (Kannada-PRC) 中國 (Kannada-Taiwan)

<u>Français French</u> <u>Pyccкий Russian</u> <u>ગુજરાતી Gujarati</u> <u>한국의 Korean</u>

<u>Português Portuguese</u> <u>Hausa</u> <u>Igbo</u> <u>Yorube</u> <u>Somali</u>

(704) 336-7433 tabi Telltransit@charlottenc.gov Ilu Rights Officer, C.A.T.S., 600 East kerin Street, Charlotte, NC 28202

AKỌLE VI IYASOTO KỌ IWE FIFI EDUN			
1. Oruko ti Complainant	14. Ènìyàn discriminated lodi si (ti o ba ti enikan miiran ju complainant)		
7. tęlifoonu	Name		
3. Home adiresi (ita, ilu, ipinle, Siipu)	adiręsi		
	City, State, Siipu		
	tęlifoonu nOMBA		
15. Sọ ti o titẹnumọ discriminated si o. (ti o ba mo ni) orukọ ti eniyan (s), baaji nọmba, abáni nọmba, ọkọ nọmba, ati / tabi alaye olubasọrọ:	6. Qjo / akoko ti esun isele (osù, ojo, Akoko ti ojo, Odun): 7. Ipo ti esun isele (Fi akero ipa ati awon nomba, ti o ba lowo.)		
9. Ni mo gbagbo awon iyasoto mo ti kari ti a da lori (ṣa [] Eya [] Awo [] National Oti [] Ni opin Agbara lati So English ati / tabi awon Eo			
	pagbọ ti o si a discriminated. Ti o ba ti wa ni aaye dię ti nilo, jowo lo awon pada ti		
21. kikun da eyikeyi eniyan tabi awon eleri ti a le kan si	i fun afîkun alaye lati şe atileyin tabi salaye re esun (oruko, adiresi, telifoonu (s)		
22. wo alaye miiran ni o ni eyi ti o je ti o ye si ohun ti iv	wadi yi ędun?		
12. Bawo ni le re oro (s) wa ni resolved si re itelorun?	23. Ti o ba ti esun yi edun pelu C.A.T.S. şaaju ki o to, jowo pato nigbati, nibi ti, ati bi?		
Ibuwolu:	ojo:		
Gbigbemi NIPASE (ipinfunni Oşişe Asoju)			

Appendix B: Public Participation



Subject/Title:
Public Process for Fare and
Service Changes

Revised Date:

CATS MC01

Procedure No:

<u>Previous Revision</u>: January 7, 2013

July 7, 2016



"Karlar"

John Lewis

Chief Executive Officer and Director of Public Transit

PURPOSE

To ensure the public is involved in and aware of significant route reductions or eliminations, fare changes, and system-wide changes.

PROCEDURES

Route Reductions or Route Eliminations

Plans for the total elimination of a route or the restructuring of a route that will affect more than 25% of that route's ridership or 25% of route miles will be published through Riders Alerts and posted on revenue vehicles and through other transit venues 60 days before implementation is scheduled.

Comments in regards to the impacts on customers and the public will be considered by the Transit Services Advisory Committee and notice of the final changes will be communicated through Riders Alerts and posted on revenue vehicles, at the Charlotte Transportation Center, and/or at other CATS transit centers and stations.

Major System-Wide Service and/or Fare Changes

Proposed service reductions that will affect 25% of passengers system-wide or 25% of route miles system-wide will be published for public review and comment no less than 90 days before the proposed changes are to take place. A public hearing/meeting will be held to hear and consider comments no less than 30 days after the published notice.

Proposed fare increases will be published for public review and comment no less than 90 days before the proposed changes are to take place. A public hearing/meeting will be held to hear and consider comments no less than 30 days after the published notice. The public hearing for fare increases shall follow the Metropolitan Transit Commission (MTC) Rules of Procedures section 7(b) "Procedures for Public Hearings."

A summary of the comments and effects of changes in regard to customers and the public will be provided to the Transit Services Advisory Committee and the MTC. Notice of the final changes will be posted on CATS revenue vehicles, through other communication avenues, at the Charlotte Transportation Center, and/or at other CATS transit centers and stations.

Public Involvement Summary: Blue Line Extension Light Rail Project- Northeast Corridor

Public Involvement Summary: Neighborhood/Community Outreach

Table 1: Bus Service Level Changes

Multi Media Outreach Latino News

Neighborhood Demographics

BLE Effected Neighborhood Demographics:

The Hidden Valley, Villa Heights, Optimist Park, and North Tryon from Uptown to Tom Hunter Road neighborhoods are considered disproportionately minority areas with a majority of African American and then Asian, Hispanic, and other ethnicity American residents. The University Area includes representation of these groups to a lesser extent. The tables and charts below show the demographic figures of the above listed neighborhoods.

Table 1: Hidden Valley Demographics

http://www.areavibes.com/charlotte-nc/hidden+valley/demographics/

Race	Hidden Valley	Charlotte	North Carolina
Caucasian	10.02%	58.26%	74.78%
African American	66.90%	32.62%	20.23%
Asian	0.95%	3.24%	0.90%
American Indian	0.49%	0.43%	0.77%
Native Hawaiian	0.00%	0.07%	0.04%
Mixed race	2.40%	1.89%	1.19%
Other race	19.25%	3.49%	2.10%

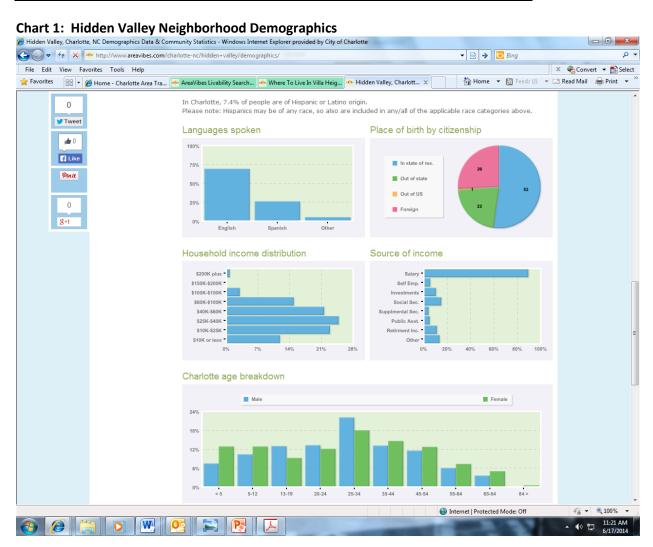


Table 3: Villa Heights Demographics-

http://www.areavibes.com/charlotte-nc/villa+heights/demographics/

Race	Villa Heights	Charlotte	North Carolina
Caucasian	5.71%	58.26%	74.78%
African American	75.69%	32.62%	20.23%
Asian	11.05%	3.24%	0.90%
American Indian	0.00%	0.43%	0.77%
Native Hawaiian	0.00%	0.07%	0.04%
Mixed race	2.72%	1.89%	1.19%
Other race	4.83%	3.49%	2.10%

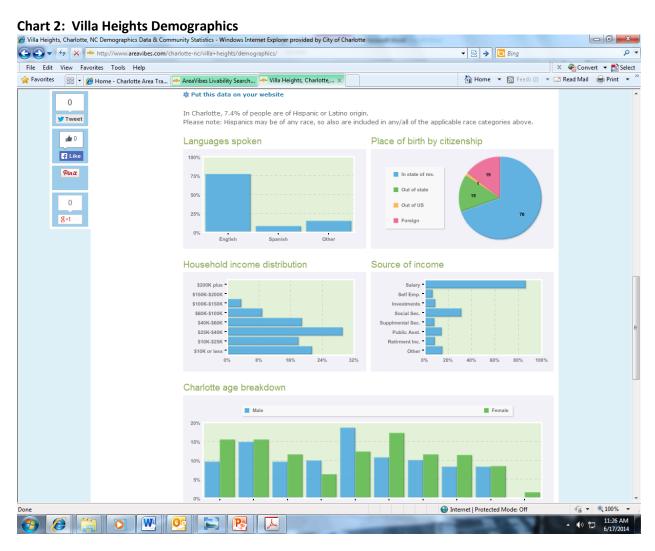


Table 4: Optimist Park Demographics

http://www.areavibes.com/charlotte-nc/optimist+park/demographics/

Race	Optimist Park	Charlotte	North Carolina
Caucasian	9.25%	58.26%	74.78%
African American	62.04%	32.62%	20.23%
Asian	24.40%	3.24%	0.90%
American Indian	0.00%	0.43%	0.77%
Native Hawaiian	0.00%	0.07%	0.04%
Mixed race	2.55%	1.89%	1.19%
Other race	1.75%	3.49%	2.10%

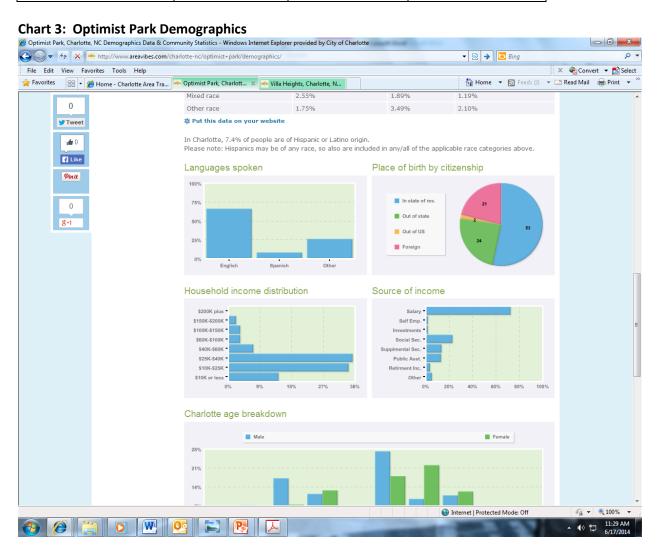
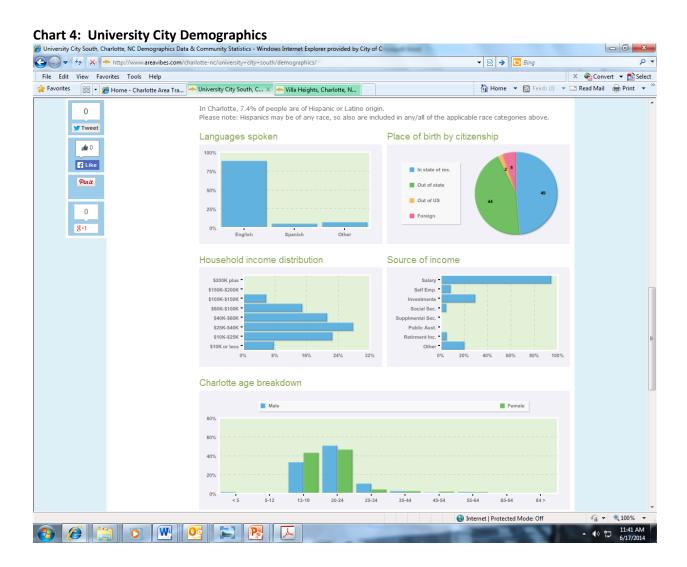


Table 5: University City Demographics-

http://www.areavibes.com/charlotte-nc/university+city+south/demographics/

Race	University City South	Charlotte	North Carolina
Caucasian	64.34%	58.26%	74.78%
African American	27.75%	32.62%	20.23%
Asian	4.10%	3.24%	0.90%
American Indian	0.80%	0.43%	0.77%
Native Hawaiian	0.00%	0.07%	0.04%
Mixed race	1.43%	1.89%	1.19%
Other race	1.58%	3.49%	2.10%



Appendix C: Service Standards

Subject/Title: Transit Service Guidelines Policy Number: MTC-06

Approved by: Metropolitan Transit Commission

Date Approved: July 26, 2023
Responsible Division: CATS Operations

Page Number: 1of 9

1 PURPOSE

The Transit Service Guidelines outline principles designed to provide services that are comfortable, convenient and easy to use for customers and to ensure that services are designed to be reliable, timely, safe and efficient. The guidelines define the conditions that require action when standards are not met but allow flexibility to respond to varied customer needs and community expectations in an accountable, equitable and efficient manner. Due to the sustaining and projected growth in the Charlotte region, markets and customer expectations are ever-changing and growing. Thus, CATS must be responsive to these changes to retain current customers and achieve and sustain ridership growth.

2 CATS SERVICE GUIDELINES

The adopted service guidelines are in the following areas:

- Travel Markets
- Transit Coverage
- Transit Infrastructure Requirements
- Service Modes
- Bus Stop Design Standards
- Bus Stop Location and Spacing
- Bus Stop Amenities
- Service Monitoring System
- New Transit Services

- Load Standards
- On-time Performance
- Duplication of Service
- Route Directness
- Route Patterns
- Service Frequency and Span
- Vehicle Assignment

The service guidelines are intended to be applied to two primary areas of focus: the evaluation of existing services and the evaluation of proposals for new services. As an example, the service guidelines can be applied in the following situations: restructuring service to eliminate lower-productivity segments or branches or adjusting service frequency to better reflect the demand for service. Routes that do not meet standards are not automatically eliminated. These guidelines call for the elimination of unproductive routes only as a last resort when it has been determined that no cost-effective actions are available to improve the productivity of the service.

The guidelines for evaluation of existing routes are not intended to preclude changes to routes that meet these minimum standards. In many cases, it may be possible to improve the productivity of routes that meet the minimum standards by making changes to headways or trip times. These guidelines should not be used to prevent changes to improve the efficiency of existing routes, as long as the changes meet the route design standards.

The evaluation of new service proposals will take place as proposals are received or needs identified. New service proposals will be evaluated based on the most recent information available regarding system standards. Decisions regarding implementation of new routes will be made through the service planning process and by the Service Development Review Committee, in consultation with the Transit Services Advisory Committee.

3 Travel Markets

Public Transportation cannot reasonably serve all person trips within a region. However, transit can compete effectively for market share in many situations.

To guide decisions on resource allocation and to provide a basis for measuring performance over time, CATS has identified those markets where it will seek to be competitive. The selected local travel markets are consistent with the CATS Mission and will support attainment of the CATS Vision and the goals of the 2025 Transit/Land Use Plan as amended and updated by the Metropolitan Transit Commission (MTC).

 Travel Markets: CATS will identify and consider the Metropolitan Transit Commission Travel Markets Policy when service changes or reductions are proposed.

4 Transit Coverage

The purpose of these guidelines is to provide convenient access to transit service in all areas exceeding a minimum density. It is very difficult to provide effective transit services in low-density areas. This guideline supports the land-use goal of encouraging higher densities in coordination with transit services. Census block group and Traffic Analysis Zone (TAZ) data will be used to measure residential and employment density. The coverage area will be one-half mile (about a 10-minute walk) around the bus route.

Residential and Employment Density: In order for an area within Mecklenburg County to be considered for CATS fixed route services, the area must meet aresidential density of at least three dwelling units per acre and/or an employment density of three employees per acre. For areas that do not meet this threshold, CATS will explore the feasibility of alternative modes of transit such as microtransit and additional first mile / last mile solutions.

5 Transit Infrastructure Requirements

Buses can do substantial damage to parking lots and roadways that are not built to accommodate the weight of a bus. This needs to be considered in the planning for bus services.

All bus routes should be planned to operate over streets that meet the following minimum standards:

- Intersections with minimum turning radius of 30 ft;
- Pavement composition sufficient to support the axle loads of a bus
- Minimum lane width of 11 ft;
- Overhead clearance of 13 feet; and,
- With the exception of traffic calming humps, buses shall avoid curb to curb speed bumps unless traveling in low-speed environments (such as shopping centers)

6 Service Modes

CATS provides multiple service types consisting of light rail, fixed route bus service, streetcar, paratransit service, and vanpool.

The current light rail network consists of the LYNX Blue line which operates along an 18.9 mile fixed guideway. The Blue line currently serves 26 stations, including 11 park-and-ride locations.

The fixed route bus network includes specifically numbered bus routes that pick up and drop off passengers at regularly scheduled stops and intervals along a defined route. Bus routes are

broken down into four categories based on service type and frequency:

- High Frequency Bus Routes Frequent bus routes that have a minimum headway of 15-minutes or better
- Common / Local Routes Bus routes that provide all day service on weekdays and weekends
- Neighborhood / Connector Routes Feeder routes that provide neighborhood connections to other fixed routes within the CATS network
- Express Routes Peak hour, weekday only commuter routes that typically provide limited stop service between two key destinations

The current streetcar network consists of the CityLYNX Gold Line which operates along a four-mile alignment and serves 17 stations.

The Special Transportation Services (STS) provides complementary fixed-route paratransit services to individuals who cannot access fixed-route bus services or rail stations. The STS service area includes areas up to ¾ of a mile on either side of the following fixed route bus service types:

- High Frequency Bus Routes
- Common / Local Routes
- Neighborhood / Connector Routes

CATS vanpool consists of a shared CATS vehicle intended for carpool services. Vanpool service is typically supplied to a group of 5 to 15 commuters who share similar commuting patterns.

7 Bus Stop Design Standards

The bus stop is the first point of contact with the transit system for customers, therefore it is important to incorporate designs that improve the overall customer experience while waiting for services provided through CATS. Bus stop designs shall include, at minimum, an accessible boarding pad that meets requirements established by the 2010 American with Disabilities Act (ADA). Design types for bus stops are broken down as follows:

Standard Stop – Functions as the default stop systemwide and can be applied at many intermediate points along bus routes. Standard stops may have varying levels of amenities including benches and shelters.

Mobility Hubs – Functions as enhanced bus stops that help connect passengers to various modes of mobility including other bus routes, bicycle & scooter services, rideshare programs, and on-demand services, among others. Mobility hubs are located primarily along High Frequency bus routes and at other major transfer destinations within the CATS service area.

More information on each bus stop design and recommended amenity type can be found in the CATS Bus Stop Guidelines document, as established through the Envision My Ride plan, and the Charlotte Land Development Standards Manual.

New Bus Stops

The necessary infrastructure (such as sidewalks) must be in place or constructed/planned by other agencies to consider a new bus stop installation. The integration of the necessary infrastructure and amenities in newly developed or redeveloped areas should be coordinated with the development. New stop installations and necessary infrastructure requirements shall

be determined through the City of Charlotte's Unified Development Ordinance (UDO) and other land development policies as established by local jurisdictions within the CATS service area. CATS shall work with private landowners and developers, to the extent practicable, to leverage the construction or the monies to offset the construction costs of necessary infrastructure and bus stop amenities.

Accessibility Requirements

When establishing new bus stops, CATS will select locations that are accessible to all customers, including customers who use mobility devices. CATS will work with the jurisdiction that is responsible for the street and/or sidewalk (if applicable) to include accessibility improvements to the stop within the jurisdiction's ADA transition plan. When installing amenities at existing bus stops, the amenities will be accessible to individuals with disabilities in accordance with the 2010 ADA Standards for Accessible Design as amended.

Design standards for bus stops, including accessibility requirements, can be found in the Charlotte Land Development Standards Manual.

8 Bus Stop Location and Spacing

Bus stops provide critical connection points between the multimodal network and bus routes, and proper location is critical to ensure safe and efficient connections.

Bus Stop Location

In general, bus stops should be located at either the near-side or far-side of an intersection (as opposed to mid-block locations). Advantages of a far-side stop include reduced delay from a bus idling at a red signal after serving a stop, better visibility of pedestrians for other drivers, and minimizing conflicts with right-turning vehicles. However, far side stops can also create the potential for vehicles to queue behind a stopped bus into the intersection. Bus stops should be placed to minimize operational difficulties such as lane changes and weaving maneuvers of approaching vehicle

Locations for bus stops along a route should also consider the following:

- Provide stops at major generators (For example: employment centers, residential areas with 500+ units, retail centers, public education centers, major medical facilities).
- Provide bus stops at transfer locations.
- To the extent possible, provide bus stops at signalized intersections where there are designated crossings.
- Provide intermediate stops based on the density and fixed route type that serves the area:

Bus Stop Spacing

Stop spacing should be thoroughly considered when creating new routes, modifying existing routes, or when evaluating performance issues along a route. Adequately spaced bus stops across the transit system enhance accessibility in general. Recommended spacing standards for fixed route bus routes are as follows:

Service Type	Spacing Guidelines
High Frequency	4 stops per mile (every 1,320 feet)
Common / Local	4-6 stops per mile (every 850-1,320 feet)
Neighborhood / Connector	4-6 stops per mile (every 850-1,320 feet)

More information on stop location and spacing recommendations can be found in the Envision My Ride: Bus Stop Guidelines document.

Relocation and Removal of Stops, Benches, and Shelters

CATS aims to be responsive to requests for bus stop adjustments where passenger safety, comfort, and convenience are not compromised. When a request is made to remove or relocate a bus stop, cooperation with requesting residents or owners of residences or businesses that are adjacent to bus stops is appropriate when ridership levels and the availability of a reasonable alternative location affords reasonable accommodation of CATS riders. CATS will review each request with the internal Bus Stop Committee to explore the feasibility of each request.

Where stops are located at intervals that do not meet the targeted spacing thresholds as identified above, requests to remove or relocate stops may be accomplished through consolidation of adjacent stops at an appropriate location. Consolidation of stops may have the positive result of improving travel time and resolving adjacency issues.

It is CATS' policy to not remove or relocate bus stops, bus benches or bus shelters when such action would negatively impact passenger convenience, safety or comfort. CATS policy prohibits bus stop removal or relocation where such requests have the appearance of being motivated by bias based on the ethnicity, income level or social status of passengers using the bus stop location.

9 Bus Stop Amenities

The bus stop is the first point of contact with the transit system for customers. A bus stop with inadequate amenities could hinder and deter passengers from accessing the transit network. The following section establishes amenity guidelines for facilities based upon various metrics including ridership, land use, equity, and accessibility.

Placement of amenities should be based upon factors that consider equity in distribution throughout the service area and factors that consider the benefit to the user and site-related constraints. Greater consideration should be given to stops on high frequency bus routes due to a generally higher level of demand. Bus stop amenities will be rolled out based on a scoring system that determines the appropriate stop level design, as defined in Section 5: Bus Stop Design Types. Minimum scoring criteria for each stop design are as follows:

				Mobility Hubs		
	Type A	Type B	Type C	Enhanced Stop Pair Mobility Plaza Mobility Center		Mobility Center
Minimum Score		15	25	50	55	65

Scoring criteria for amenities are based on multiple factors including ridership, frequency of service, employment and population density, equity, and other measures. The table below shows the evaluation criteria for each metric:

Category	Criteria	Scoring
Ridership	Boardings Bus Priority Corridor	1 point per average weekday daily boarding 50 points if on a Bus Priority Corridor and has at least 15 daily boardings

Wait Time	Transfers Frequencies	5 points if stop is a transfer location between two Bus Priority Corridors or LYNX Light Rail
Equity Populations Reliant Populations		10 points if stop is in predominantly minority and/or low-income area (as defined by CATS) 10 points if stop is in area with higher than average elderly or persons with disability
Rider Profile -	Human Service Facility	10 points if one or more of the following existing or planned facilities, are within 1,320 feet of the stop: Medical facility, hospital, dialysis clinic, social security office, or County service center
Activity Destinations Activity		5 points if one or more of the following existing or planned facilities, are within 1,320 feet of the stop: Public library, public school, recreation center, senior center, or supermarket/pharmacy
Generator	Major Employer	5 points if within 1,320 feet of the stop: is an existing or planned job center with more than 50 jobs
	Operator Relief	5 points if the stop is assigned as an official relief/layover point

More information on the bus stop and amenity scoring system can be found in the CATS Bus Stop Guidelines document.

3.0 Service Monitoring System

CATS will regularly calculate Passengers per Revenue Hour for all bus routes and identify targeted thresholds based on service type. CATS will monitor routes that fall below targeted thresholds and make changes to the service as needed. Routes falling between targeted thresholds should be subject to a more detailed analysis that examines performance by route segment and time of day and makes appropriate recommendations. Routes consistently falling below targeted thresholds will be considered for conversion to microtransit as detailed below.

Micro Transit Conversion: When a route fails to carry targeted passengers per hour for two or more consecutive quarters, that route, where feasible, will be a candidate for conversion to micro-transit service. Where two or more adjacent routes both fail to meet targeted passengers per hour, conversion to micro-transit operation becomes more feasible and potentially cost-effective. Should the conversion result in overall savings to CATS, then saved hours should be reinvested in improved bus service in other parts of the bus system network.

New Route Candidates: Any micro-transit zone performing above targeted passengers per hour thresholds for more than three consecutive quarters will be a candidate for conversion to a fixed route. Candidate zones will be analyzed for trip origins and destinations to determine any potential route patterns. If there is sufficient clustering of the zone trips, the candidate zone may be viable for route conversion and a new service will be considered at the next practical programmed service change.

3.1 New Transit Services

Proposals for new service come from a variety of sources including: the 2025 Transit/Land Use Plan as amended and updated by the MTC, customers, employees, and reviews of system performance. New service proposals are reviewed during the service change process and are implemented based upon customer need and resource availability.

• Performance Evaluation: All new services will be subject to

performance evaluations and will be expected to meet the performance standards for their service type within two years of implementation.

- **New Employment Shuttles:** New shuttle services in employment areas may require a financial contribution from business community stakeholders of up to 100 percent of the annual operating cost.
- Bus Services Outside of Mecklenburg County: CATS will follow the Metropolitan Transit Commission Financial Policies (MTC-01) regarding financial contribution for bus services outside of Mecklenburg County.

3.2 Load Standards

The objective of load standards is to balance passenger comfort and safety with operating cost.

- Load Standards: CATS standard load factors for its bus services in regular serviceare:
 - 115% of seated capacity for all bus service modes

CATS has a goal to not exceed its standard load factors on a regular basis per trip on a given route. If a service is consistently above the seated capacity, CATS will make adjustments that may include adding additional service at the next scheduled service change, if funding is available. If the standing load compromises safety in any way, CATS will implement additional service to meet the demand.

Rail Vehicle Loading Standards

Vehicle Load Standard	Load Factor*	Passengers Per Vehicle	Acceptable Application
Service Standard	221%	150	Peak Hour Service
Maximum	285%	194	Special Events

^{*} Load factor as percent of seated capacity

CityLYNX Gold Line Vehicle Loading Standards

Vehicle Load Standard	Load Factor*	Passengers Per Vehicle	Acceptable Application
Service Standard	242%	131	Peak Hour Service
Maximum	317%	171	Special Events

^{*} Load factor as percent of seated capacity

 Wheelchair Boardings: CATS will analyze wheelchair boardings annually, and make necessary schedule adjustments. Trippers will be utilized if particular trips continually are not able to provide service to all wheelchair boardings on a given fixedroute services.

3.3 On-Time Performance

To ensure that transit riders have confidence that the service will perform reliably in accordance with the public timetables prepared and distributed by CATS, on-time performance standards have been established. A vehicle is considered "late" when it arrives five minutes or more after the scheduled time. A vehicle is considered "early" if ii departs one minute or more prior to the scheduled time. All other trips are considered "on time".

• On-Time Performance: CATS bus routes that achieve an on-time performance score of 80 percent or less over a course of two service changes will be reviewed and remedial action to improve performance will be put in place at the next service change.

CATS will monitor Rail services for on-time performance. Any trips that are consistently early or late will be identified and schedule adjustments will be made at the next service change.

3.4 Duplication of Service

Service duplication occurs when two or more bus routes serve the same roadway. Duplication of service can sometimes be needed or unavoidable due to the presence of activity centers or the lack of alternate routing options. When services share the same street segment CATS will do the following:

• <u>Duplication of Service</u>: If two services use the same street, schedules should be adjusted to maximize frequency on the shared alignment.

3.5 Route Directness

CATS will design bus routes to operate as directly as possible to and from majordestinations to minimize passenger travel time. Routes shall operate on major arterial streets as much as possible. When a deviation exists or is being considered, the gain in convenience to those passengers who are boarding or alighting during the deviation must be balanced against the additional travel time for the passengers travelingthrough.

Directness:

- 1. To the extent possible, bi-directional service shall be provided on the same street.
- 2. Express service shall be routed in the most direct manner possible.
- 3. Deviations from the basic route alignment to serve activity centers will be made only when they have the potential to attract new riders equal to or exceeding the route performance evaluation standard for the corresponding route category.
- 4. Additional time to operate route deviations should not exceed five minutes (one-way) or 10 percent of the one-way run time, whichever is less.
- 5. No mid-route loops shall be operated.
- 6. Terminal loops shall not exceed 25 percent of a route's total length for routes that exceed 30 minutes in one-way travel time.

3.6 Route Patterns

It is sometimes more efficient to provide service to a certain area with one route having several branches than to operate several different routes. In addition, some bus trips on a route may not go to the end of the line due to very low ridership in that area at a particular time of day, also known as a turnback. These service designs can result in a route network that is difficult for current and potential customers to understand and utilize. Therefore, to provide a user-friendly

service and to encourage maximum use of the system by all current and potential riders, standards for branches and turnback's shall be set.

Route Patterns:

- No route shall have more than two distinct branches.
- No route shall have more than one turn around on a given branch.

When two routes are interlined, each route shall be treated as a separate route for the application of this standard.

3.7 Service Frequency and Span

Service frequency is established to provide a sufficient number of vehicles to accommodate passenger volume at the most crowded location(s), during a given time period. On high ridership routes, the frequency of service provided is a function of demand and peak period loads. Frequency of service provided is also a function of Operator and vehicle availability. Service span refers to the hours that service is provided and defines the minimum period of time that service will operate at any point in the system.

<u>Headways/ Frequency</u>: As resources become available, CATS will strive to provide at least 15-minute peak service on high frequency routes and at least 30-minute service on Common/local routes and Neighborhood / Connector routes. Express and Regional Express services will have a minimum of three trips in each peak direction. For light rail services, CATS will strive to operate at a frequency of 7.5 minutes or better during the peak periods and at least 30 minutes during the off-peak periods. Streetcar service will operate a frequency of 15 minutes or better during peak periods and at least 30 minutes during off-peak periods.

Service Span: CATS Fixed Route Services will operate between 5:00 a.m. and 1:30 a.m.

Exceptions will be based on ridership and productivity.

3.8 Vehicle Assignment

CATS vehicles shall be assigned to specific service types according to the following guidelines. Exceptions to this may take place based upon operational and scheduling practices to maintain optimal efficiency.

<u>Vehicle Assignment</u>: Fleet types should be assigned based on the service type it isintended to serve when feasible.

- High Frequency Routes = 40-foot low floor or larger
- Common / Local Routes = 40-foot low floor
- Connector Routes = 30-foot low floor or smaller
- Microtransit = Cutaway style vehicles, vans, or other small vehicle types
- Express Service = 40-foot suburban and coach buses

Summary of Changes

- Added in/modified titles for five sections (as highlighted below):
- Travel Markets
- Transit Coverage
- Transit Infrastructure Requirements
- Service Modes
- Bus Stop Design Standards
- Bus Stop Location and Spacing
- Bus Stop Amenities
- Route Monitoring System
- New Transit Services

- Load Standards
- On-time Performance
- Duplication of Service
- Route Directness
- Route Patterns
- Service Frequency and Span
- Vehicle Assignment

2.1 Travel Markets

- Referenced MTC-05 policy to provide further definition
- Updated language to reflect the 2022 MTC Adopted Envision My Ride plan

2.2 Transit Coverage

- · Provides further definition for density
- Introduces microtransit as a service mode for areas that do not meet targeted employment and population density goals

2.3 Transit Infrastructure Requirements

 New section that details ideal operational conditions for standard 40' or larger vehicles including lane width, turning radius, overhead clearance, and roadway design

2.4 Service Modes

- New section that details current and future service modes
- Breaks down bus routes based on frequency classes as identified in Envision My Ride as follows:
 - High Frequency Bus Routes
 - o Common/Local Routes
 - Neighborhood/Connector Routes
 - o Express Routes

2.5 Bus Stop Design Standards

- New section that details new bus stop design standards as identified in the Envision My Ride plan
- Bus stops broken down as follows:
 - Standard stop Default stop that features, at minimum, an ADA boarding pad
 - Mobility hubs Enhanced bus stops located primarily along high-frequency bus routes and major activity centers
- Provides reference to the Envision My Ride Bus Stop Guidelines document for more detail on stop level design types
- Provides guidance on ideal conditions for the installation of new bus stops
 - References to the Charlotte Unified Development Ordinance (UDO) and other land development policies
- References the 2010 American with Disabilities Act (ADA) Standards for Accessible Design
- References the Charlotte Land Development Standards Manual for the location of the revised 2022 CATS Details

2.6 Bus Stop Location and Spacing

- New section that notes the ideal location for the placement of bus stops
- Updates bus stop spacing guidelines for bus route types as follows:

Service Type	Spacing Guidelines
High Frequency	4 stops per mile (every 1,320 feet)
Common / Local	4-6 stops per mile (every 850-1,320 feet)
Neighborhood / Connector	4-6 stops per mile (every 850-1,320 feet)
Express	Limited stops at key destinations

- New section that details the process for requests to remove or relocate a bus stop
- Details the role of the CATS Bus Stop Committee to review feasibility of requests
 - Includes language that CATS policy prohibits bus stop removal or relocation where such requests have the appearance of being motivated by bias on the basis of the ethnicity, income level or social status of passengers using the bus stop location.

2.7 Bus Stop Amenities

- New section that details new amenity rollout strategy as identified in the adopted Envision My Ride plan
- Details new scoring metric to identify ideal amenity types for bus stop locations

3.0 Bus Route Monitoring System

- Updates route monitoring strategy with language that notes CATS will monitor routes falling below 15 passengers per hour and adjust as needed
- Includes language for the potential conversion to microtransit should a route have 10 or less passengers per hour
- Includes language for the potential conversion of a microtransit route to a fixed route service should an area continuously average 10 or more passengers per hour

3.1 New Transit Services

- Notes the Envision My Ride plan
- Updates Employment Shuttle financial contribution for businesses and stakeholders to up to 100 percent of the annual operating cost

3.2 Load Standards

 Notes that CATS has a goal not to exceed load factors on a regular basis per trip on a given route

3.7 Service Frequency and Span

Updated to include frequency thresholds as identified in the adopted Envision My Ride plan

3.8 Vehicle Assignment

Updates vehicle sizes for service types as identified in the adopted Envision My Ride plan

Previous Revision: November 28, 2018

Service Standards

Vehicle Load by Mode

The number of minority routes 40 (transversed by local services routes) in this analysis vastly exceeds the number of non-minority routes at 13. The simple average load factor for minority routes is 44% while the load factor for non-minority routes is 10 percentage points less at 34%. The load factor in minority routes appears to be in no way diminutive to that in non-minority routes.

Table 1: Local Services Non-Minority Routes

I ACO	Lan	HCAC
Local	ושכוי	/ ICES

Non-Minority Routes

Route	Avg Trip Load	Capacity	Load Factor
6	12.11	39	31%
14	19.00	39	49%
15	18.36	39	47%
19	13.59	39	35%
20	14.84	39	38%
43	8.91	39	23%
47	4.73	28	17%
49	2.77	28	10%
50	11.82	28	42%
86	24.14	22	110%
97	7.48	28	27%
98	2.95	28	11%
51	4.98	28	18%

Table 2: Local Service Minority Routes

Local Services						
Minority Routes						
Route	Avg Trip Load	Capacity	Load Factor			
1	17.40	39	45%			
2	10.14	39	26%			
3	19.96	39	51%			
4	9.25	39	24%			
5	15.21	39	39%			
7	24.43	39	63%			
8	15.90	39	41%			
9	29.42	39	75%			
10	15.28	39	39%			
11	29.24	39	75%			
12	9.65	39	25%			
13	17.04	39	44%			
16	14.68	39	38%			
17	23.96	39	61%			
21	6.03	39	15%			
22	20.26	39	52%			
23	23.46	39	60%			
24	8.83	39	23%			
25	4.64	28	17%			
26	9.36	39	24%			
27	24.17	39	62%			
29	17.46	39	45%			
30	20.55	39	53%			
33	72.53	39	186%			
34	21.39	39	55%			
39	22.34	39	57%			
42	6.88	28	25%			
55	12.04	39	31%			
56	16.63	39	43%			
57	8.96	28	32%			
58	6.80	39	17%			
60	7.13	39	18%			
99	3.59	28	13%			
201	2.32	28	8%			

204	8.52	28	30%		
211	10.71	28	38%		
221	11.46	28	41%		
222	11.01	28	39%		
232	11.88	28	42%		
235	7.95	28	28%		

^{*} Denotes a Bus Bridge service. This service is utilized in the event that regular LYNX service is not cannot operate.

Table 3: Local Non-Minority Routes
Local Services
Non-Minority Routes

Route	Avg Trip Load	Capacity	Load Factor
6	12.11	39	31%
14	19.00	39	49%
15	18.36	39	47%
19	13.59	39	35%
20	14.84	39	38%
43	8.91	39	23%
47	4.73	28	17%
49	2.77	28	10%
50	11.82	28	42%
86	24.14	22	110%
97	7.48	28	27%
98	2.95	28	11%
51	4.98	28	18%

The same could be said the number of minority routes 16 (travel by express services routes) in this analysis vastly exceeds the number of non-minority routes at 2. The simple average load factor for minority routes is 39% while the load factor for non-minority routes is 5 percentage points less at 34%. The load factor in minority routes appears to be in no way diminutive to that in non-minority routes.

Table 4: Express Service: Non-Minority Route Load Factor

Express Services Non-Minority Routes					
Route 64	Avg Trip Load 10.84	Capacity 40	Load Factor 27%		
65	16.18	40	40%		

Table 5: Express Service Minority Route Load Factor

Expr	ess Services		
Mino	ority Routes		
Route	Avg Trip Load	Capacity	Load Factor
40	15.66	40	39%
41	25.51	40	64%
45	10.62	40	27%
46	19.71	40	49%
48	14.36	40	36%
52	13.53	40	34%
53	9.00	40	23%
54	15.98	40	40%
61	26.15	40	65%
62	16.90	40	42%
74	20.80	49	42%
77	11.60	40	29%
80	18.50	49	38%
82	19.05	49	39%
85	18.38	49	38%
88	11.89	49	24%

The existing LYNX light rail system travels through several tracts.

Table 6: :LYNX Load Factor

LYNX Services						
Route	Avg Trip Load	Capacity	Load Factor			
501	91	68	134%			

Vehicle Headway for each mode

Note: a "0" represents that the route is not operating during that period.

Table 7: Weekday Route Frequency- Minority Tract Routes

Route	. Weekuay Route Frequency-	Peak	Non-Peak	<u>Night</u>	Facility
1	MT HOLLY ROAD	20	30	60	DAVIDSON
2	ASHLEY PARK	30	30	60	DAVIDSON
3	THE PLAZA	20	30	45	DAVIDSON
5	AIRPORT	20	20	30	DAVIDSON
7	BEATTIES FORD	10	15	30	DAVIDSON
9	CENTRAL AVE	10	15	30	DAVIDSON
11	NORTH TRYON	10	10	20	DAVIDSON
21	DOUBLE OAKS	30	40	40	DAVIDSON
22	GRAHAM STREET	30	30	45	DAVIDSON
23	SHAMROCK DRIVE	20	30	45	DAVIDSON
26	OAKLAWN	30	30	60	DAVIDSON
29	UNCC/SOUTHPARK	45	45	0	DAVIDSON
45x	CARMEL ROAD	20	0	0	DAVIDSON
48x	HUNTERSVILLE EXPRESS	15	0	0	DAVIDSON
54x	UNIV. RESEARCH PARK	15	0	0	DAVIDSON
77x	NORTH MECK	15	60	60	DAVIDSON
4	COUNTRY CLUB	30	30	45	TRYON
8	TUCKASEEGEE	15	20	60	TRYON
10	WEST BLVD	15	15	30	TRYON
12	SOUTH BLVD	30	30	60	TRYON
13	NEVIN RD	30	30	30	TRYON
16	SOUTH TRYON	15	15	30	TRYON
17	COMMONWEATLH	30	30	60	TRYON
24	NATIONS FORD	30	30	30	TRYON

25	CLANTON RD	35	35	0	TRYON
27	MONROE RD	20	20	45	TRYON
30	CROSSTOWN	50	50	0	TRYON
34	FREEDOM DRIVE	20	30	40	TRYON
39	EASTWAY	35	45	45	TRYON
40x	ALBEMARLE	30	0	0	TRYON
41x	ARROWOOD EXPRESS	30	0	0	TRYON
42	CAROWINDS	15	0	0	TRYON
52x	IDLEWILD	20	0	0	TRYON
53x	NORTHLAKE	30	0	0	TRYON
55	WESTINGHOUSE	40	40	40	TRYON
56	ARROWOOD S. TRYON	20	20	40	TRYON
57	ARCHDALE	30	60	0	TRYON
58	CAROLINA PLACE	20	30	30	TRYON
60	WEST TYVOLA/SOUTHPRK	30	45	0	TRYON
61x	ARBORETUM	25	0	0	TRYON
62x	REA RD	20	0	0	TRYON
74x	UNION COUNTY	30	0	0	TRYON
80x	CONCORD	20	0	0	TRYON
82x	ROCK HILL	30	0	0	TRYON
85x	GASTONIA	25	0	0	TRYON
88x	LINCOLN COUNTY	30	0	0	TRYON
99	NM VR-HUNTERSVILLE	60	60	0	TRYON
201	GARDEN CITY	30	30	35	TRYON
204	LASALLE	30	30	60	TRYON
211	HIDDEN VALLEY	20	20	30	TRYON
221	EAST HARRIS/IDLEWILD	35	35	35	TRYON
222	PENCE ROAD	60	60	0	TRYON
232	GRIER HEIGHTS	35	35	60	TRYON
235	JACKSON PARK	40	40	0	TRYON
	Frequency Average Minutes	37	33	43	
		•			•

Table 8: Weekday Route Frequency-Non-Minority Tract Routes

Route		<u>Peak</u>	Non-Peak	<u>Night</u>	Facility
86	GOLD RUSH RED	12	12	0	DAVIDSON
49	UNCC NINER	15	15	0	DAVIDSON

50	UNCC C.R.I.	15	15	30	DAVIDSON
51	PINEVILLE - MATTHEWS	30	60	0	DAVIDSON
6	KINGS DRIVE	20	30	35	TRYON
14	PROVIDENCE RD	35	45	35	TRYON
15	RANDOLPH RD	15	20	45	TRYON
19	PARK ROAD	20	30	30	TRYON
20	QUEENS RD	30	40	0	TRYON
43	BALLANTYNE SHUTTLE	30	60	0	TRYON
64x	INDEPENDENCE	15	0	0	TRYON
65x	MATTHEWS	20	0	0	TRYON
97	NM VR-CORNELIUS	60	60	0	TRYON
98	NM VR-MCCOY	60	60	0	TRYON
	Frequency Average Minutes	31	37	35	

Table 7: Saturday Route Frequency- Minority Tract Routes

	-		WEEK	
Route		<u>Day</u>	<u>Night</u>	Facility
1	MT HOLLY ROAD	35	45	DAVIDSON
2	ASHLEY PARK	30	60	DAVIDSON
3	THE PLAZA	30	60	DAVIDSON
5	AIRPORT	30	30	DAVIDSON
7	BEATTIES FORD	20	20	DAVIDSON
9	CENTRAL AVE	15	30	DAVIDSON
11	NORTH TRYON	15	30	DAVIDSON
21	DOUBLE OAKS	60	60	DAVIDSON
22	GRAHAM STREET	35	45	DAVIDSON
23	SHAMROCK DRIVE	30	60	DAVIDSON
26	OAKLAWN	45	45	DAVIDSON
29	UNCC/SOUTHPARK	0	0	DAVIDSON
45x	CARMEL ROAD	0	0	DAVIDSON
48x	HUNTERSVILLE EXPRESS	0	0	DAVIDSON
54x	UNIV. RESEARCH PARK	0	0	DAVIDSON
77x	NORTH MECK	0	0	DAVIDSON
84	GOLD RUSH ORANGE	0	0	DAVIDSON
86	GOLD RUSH RED	0	0	DAVIDSON
49	UNCC NINER	0	0	DAVIDSON

50	UNCC C.R.I.	0	0	DAVIDSON
4	COUNTRY CLUB	30	45	TRYON
8	TUCKASEEGEE	30	60	TRYON
10	WEST BLVD	30	30	TRYON
12	SOUTH BLVD	40	60	TRYON
13	NEVIN RD	30	60	TRYON
15	RANDOLPH RD	30	60	TRYON
16	SOUTH TRYON	30	30	TRYON
17	COMMONWEATLH	30	60	TRYON
24	NATIONS FORD	40	40	TRYON
25	CLANTON RD	60	0	TRYON
27	MONROE RD	30	45	TRYON
30	CROSSTOWN	45	0	TRYON
34	FREEDOM DRIVE	45	45	TRYON
39	EASTWAY	60	60	TRYON
40x	ALBEMARLE	0	0	TRYON
41x	ARROWOOD EXPRESS	0	0	TRYON
42	CAROWINDS	0	0	TRYON
52x	IDLEWILD	0	0	TRYON
53x	NORTHLAKE	0	0	TRYON
55	WESTINGHOUSE	0	0	TRYON
56	ARROWOOD S. TRYON	30	30	TRYON
57	ARCHDALE	60	0	TRYON
58	CAROLINA PLACE	30	30	TRYON
60	WEST TYVOLA/SOUTHPRK	45	0	TRYON
61x	ARBORETUM	0	0	TRYON
62x	REA RD	0	0	TRYON
74x	UNION COUNTY	0	0	TRYON
80x	CONCORD	0	0	TRYON
82x	ROCK HILL	0	0	TRYON
85x	GASTONIA	0	0	TRYON
88x	MT ISLAND	0	0	TRYON
98	NM VR-MCCOY	60	Х	TRYON
99	NM VR-HUNTERSVILLE	60	Х	TRYON
201	GARDEN CITY	30	30	TRYON
204	LASALLE	60	60	TRYON

211	HIDDEN VALLEY	25	30	TRYON
221	EAST HARRIS/IDLEWILD	45	45	TRYON
222	PENCE ROAD	60	60	TRYON
232	GRIER HEIGHTS	30	60	TRYON
235	JACKSON PARK	40	Х	TRYON
	Average	38	46	

Table 9: Saturday Route Frequency- Non-Minority Tract Routes

Route		<u>Day</u>	<u>Night</u>	Facility
51	PINEVILLE-MATTHEWS ROAD	60	0	DAVIDSON
6	KINGS DRIVE	45	45	TRYON
14	PROVIDENCE RD	30	60	TRYON
19	PARK ROAD	30	30	TRYON
20	QUEENS RD	60	0	TRYON
43	BALLANTYNE SHUTTLE	60	0	TRYON
64x	INDEPENDENCE	Х	0	TRYON
65x	MATTHEWS	Х	0	TRYON
97	NM VR-CORNELIUS	60	0	TRYON
98	NM VR-MCCOY	60	0	TRYON
	Frequency Average Minutes	41	45	

Table 10: Sunday Route Frequency- Minority Tract Routes

Route		DAY	NIGHT	Facility
1	MT HOLLY ROAD	60	60	DAVIDSON
2	ASHLEY PARK	60	60	DAVIDSON
3	THE PLAZA	60	60	DAVIDSON
5	AIRPORT	30	60	DAVIDSON
7	BEATTIES FORD	20	30	DAVIDSON
9	CENTRAL AVE	30	60	DAVIDSON
11	NORTH TRYON	30	40	DAVIDSON
21	DOUBLE OAKS	60	0	DAVIDSON
22	GRAHAM STREET	50	50	DAVIDSON
23	SHAMROCK DRIVE	60	60	DAVIDSON
26	OAKLAWN	60	60	DAVIDSON
29	UNCC/SOUTHPARK	0	0	DAVIDSON
45x	CARMEL ROAD	0	0	DAVIDSON

48x	HUNTERSVILLE EXPRESS	0	0	DAVIDSON
54x	UNIV. RESEARCH PARK	0	0	DAVIDSON
77x	NORTH MECK	0	0	DAVIDSON
4	COUNTRY CLUB	45	45	TRYON
8	TUCKASEEGEE	60	60	TRYON
10	WEST BLVD	30	60	TRYON
12	SOUTH BLVD	60	60	TRYON
13	NEVIN RD	60	60	TRYON
16	SOUTH TRYON	30	30	TRYON
17	COMMONWEATLH	45	45	TRYON
24	NATIONS FORD	45	45	TRYON
25	CLANTON RD	0	0	TRYON
27	MONROE RD	45	45	TRYON
30	CROSSTOWN	0	0	TRYON
34	FREEDOM DRIVE	45	0	TRYON
39	EASTWAY	60	60	TRYON
40x	ALBEMARLE	0	0	TRYON
41x	ARROWOOD EXPRESS	0	0	TRYON
42	CAROWINDS	0	0	TRYON
52x	IDLEWILD	0	0	TRYON
53x	NORTHLAKE	0	0	TRYON
55	WESTINGHOUSE	0	0	TRYON
56	ARROWOOD S. TRYON	40	40	TRYON
57	ARCHDALE	0	0	TRYON
58	CAROLINA PLACE	30	0	TRYON
60	WEST TYVOLA/SOUTHPRK	0	0	TRYON
61x	ARBORETUM	0	0	TRYON
62x	REA RD	0	0	TRYON
64x	INDEPENDENCE	0	0	TRYON
65x	MATTHEWS	0	0	TRYON
74x	UNION COUNTY	0	0	TRYON
78X	CELANESE RD	0	0	TRYON
79X	CONCORD MILLS	0	0	TRYON
80x	CONCORD	0	0	TRYON
82x	ROCK HILL	0	0	TRYON
85x	GASTONIA	0	0	TRYON

88x	MT ISLAND	0	0	TRYON
99	NM VR-HUNTERSVILLE	60	0	TRYON
201	GARDEN CITY	30	30	TRYON
204	LASALLE	0	0	TRYON
211	HIDDEN VALLEY	40	40	TRYON
221	EAST HARRIS/IDLEWILD	60	60	TRYON
222	PENCE ROAD	60	0	TRYON
232	GRIER HEIGHTS	60	60	TRYON
235	JACKSON PARK	0	0	TRYON
	Frequency Average Minutes	46	51	

Table 11: Sunday Route Frequency-Non-Minority Tract Routes

Table 11: Sunday Route Frequency-Non-Minority Tract Routes				
Route		DAY	NIGHT	Facility
54x	UNIV. RESEARCH PARK	0	0	DAVIDSON
77x	NORTH MECK	0	0	DAVIDSON
84	GOLD RUSH ORANGE	0	0	DAVIDSON
86	GOLD RUSH RED	0	0	DAVIDSON
49	UNCC NINER	0	0	DAVIDSON
50	UNCC C.R.I.	0	0	DAVIDSON
51	PINEVILLE - MATTHEWS	0	0	DAVIDSON
14	PROVIDENCE RD	60	0	TRYON
15	RANDOLPH RD	30	60	TRYON
19	PARK ROAD	30	30	TRYON
20	QUEENS RD	0	0	TRYON
43	BALLANTYNE SHUTTLE	0	0	TRYON
64x	INDEPENDENCE	0	0	TRYON
65x	MATTHEWS	0	0	TRYON
97	NM VR-CORNELIUS	60	0	TRYON
98	NM VR-MCCOY	60	0	TRYON
	Frequency Average Minutes	48	45	

On time performance for each mode
The On-Time performance standard for bus operations is 85%.

Circulator Services			
Route On Time			
Minority Route	%		

Overall		90.02%
201		95.61%
<u>204</u>		93.81%
<u>211</u>		86.82%
<u>221</u>		89.74%
<u>222</u>		95.65%
232		86.74%
<u>235</u>		85.98%
	Cro	osstown Services
Route On Time		
		%
Overall		78.90%
<u>29</u>		76.26%
<u>30</u>		80.36%
<u>51</u>		79.30%

Express Services				
Route	On Time			
Minority Route	%			
Overall	78.10%			
<u>40x</u>	76.61%			
<u>41x</u>	67.48%			
<u>46x</u>	81.55%			
<u>48x</u>	81.38%			
<u>52x</u>	85.58%			
<u>53x</u>	84.34%			
<u>54x</u>	76.23%			
<u>64x</u>	90.23%			
<u>65x</u>	76.02%			
<u>77x</u>	76.73%			
<u>88x</u>	84.84%			

	Local Services					
Route	On Time					
Minority Route	%					
Overall	83.80%					
<u>1</u>	83.73%					
<u>2</u>	78.18%					
<u>3</u>	88.71%					
<u>4</u>	91.72%					
<u>5</u>	78.49%					
7	83.15%					
<u>8</u>	85.10%					
9	87.75%					
10	90.70%					
11	74.50%					
13	85.78%					
<u> </u>	91.17%					
17	84.28%					
21	90.75%					
22	78.45%					
23	84.95%					
24	89.59%					
26	91.44%					
27	76.55%					
<u>34</u>	82.73%					
<u>39</u>	81.38%					
	Regional Express					
Route	On Time					
Non-Minority	%					
Overall	76.38%					
<u>74x</u>	77.07%					
<u>80x</u>	69.91%					
<u>82x</u>	76.80%					
<u>85x</u>	87.98%					
Shuttle						
Services	On Time					
Route	On Time					
Minority Route	% 81.70%					
Overall	81.70% 77.51%					
<u>12</u>	//.51%					

<u>25</u>	73.95%
<u>33</u>	91.84%
<u>42</u>	80.83%
43	84.38%
<u>55</u>	87.45%
<u>56</u>	80.34%
<u>57</u>	78.75%
<u>58</u>	97.65%
<u>60</u>	84.47%
	Village Riders
Route	On Time
Minority Route	%
Overall	91.27%
<u>97</u>	88.84%
<u>98</u>	97.63%
99	87.52%

Service Availability

Charlotte Area Transit System (CATS) considers the service availability area to be ¾ mile of the established transit service.

Transit Amenities

Table 12: Amenities by Population

Census Tracts	Stops	Bench	Shelter	Trash Can
Service Area	2,930	364	266	817
Minority	1,832	259	202	566
LEP	1,469	205	153	447
Low Income	1,703	253	182	568

Table 13: Amenities by Percentage Total Amenities

Census Tracts	Stops	Bench	Shelter	Trash Can
Service Area Census Tracts	2,930	364	266	817
Minority	62.53%	71.15%	75.94%	69.28%
LEP	50.14%	56.32%	57.52%	54.71%
Low Income	58.12%	69.51%	68.42%	69.52%

CATS Service Area Minority/Low-Income/Limited English Proficiency Census Tracts and Transit Amenities Rowan Lincoln Transit Passenger Amenities - Bus Routes Minority Low Income Non-Minority/Low-In

Chart 1: Locations of CATS Transit Amenities

Vehicle Assignment

CATS vehicles shall be assigned to specific service types according to the following guidelines. Exceptions to this may take place based upon operational and scheduling practices to maintain optimal efficiency.

CATS utilizes the CATS Vehicle Assignment Program (CATS-VAP) to rotate vehicles throughout the service area. Each vehicle is assigned a bus number that is entered into the CATS-VAP. On a daily basis, the software program randomly selects bus numbers and assigns them to bus

routes. The pools of vehicles in which some routes are assigned are based on load factors (i.e. larger buses on more heavily used routes, smaller vehicles on less frequently used routes). Buses are randomly assigned with the following specific exceptions: Vehicle Assignment: Fleet types should be assigned based on the service type it is intended to serve when feasible.

- Express Service = 40-foot suburban
- Local Service = 40-foot low floor
- Neighborhood Shuttle Service = 30-foot low floor

Demand Response - CATS' utilizes a fleet of smaller buses (less than 30 feet) to provide demand response and neighborhood shuttle service throughout the region. The smaller vehicles are better suited to provide service to neighborhoods and business activity centers.

Demographic and Service profile maps and charts.

Table 14: System-wide demographics

Table 14. System	n-wide demographics		
		Service Area Population	Percent of Service Area Population
	White	576,567	50.98%
	Black or African American	332,699	29.42%
	Hispanic or Latino	139,573	12.34%
	Asian	50,815	4.49%
	Two or More Races	25,457	2.25%
Service Area Minority	Some Other Race	2,700	0.24%
	American Indian and Alaska Native	2,611	0.23%
and Non Minority	Native Hawaiian and Other Pacific Islander	623	0.06%
Population	Total Service Area Population	1,131,045	
		Service Area Population	Percent of Service Area Population
	Non Minority	576,567	50.98%
	Minority	554,478	49.02%
	Service Area	1,131,045	

CATS Service Area Minority/Low-Income/Limited English Proficiency Census Tracts Iredell Rowan Lincoln Cabarrus Gaston Union Lancaster Limited English Proficiency (LEP) LYNX Blue Line Non-Minority/Low-Income/LEP Low Income/Minority

Chart 2: Service Area Map Low Income and LEP Populations

Table 14: Low Income Population

	Total; Estimate; Population for whom poverty status is determined	1,113,107
Service Area Low Income Population	Below poverty level; Estimate; Population for whom poverty status is determined	177,360
·	Percent below poverty level; Estimate; Population for whom poverty status is determined	15.93%

Source: U.S. Census Bureau, 2011-2015 American Community Survey Table B1701- Poverty Status in the Past 12 Months -- (Estimate)

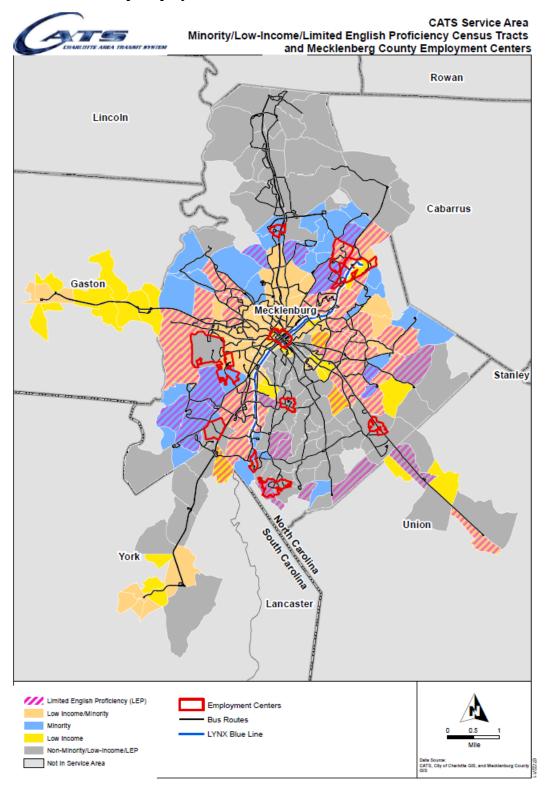
Table 15: Hispanic Population Group

Hispanic or Latino Ethnic Group	Service Area Population	Percent of Hispanic or Latino Service Area Population
White	84,709	60.69%
Some Other Race	43,233	30.98%
Black or African American	5,234	3.75%
Two or More Races	4,909	3.52%
American Indian and Alaska Native	1,082	0.78%
Asian	329	0.24%
Native Hawaiian and Other Pacific Islander	77	0.06%
Total Hispanic or Latino Service Area Poulation	139,573	

	Total Population	Percent within Population that speaks a language other than English	Percent Population within Service Area
Speak Only English	863,448		82.13%
Speak Language Other than English	187,849		17.87%
Speak English "very well"	102,300	54.46%	9.73%
Speak English less than "very well"	85,549	45.54%	8.14%
Total Service Area	1,051,297		
5	peak Language Other than English peak English "very well" peak English less than "very well"	peak Only English 863,448 peak Language Other than English 187,849 peak English "very well" 102,300 peak English less than "very well" 85,549	peak Only English peak Language Other than English peak English "very well" peak English less than "very well" that speaks a language other than English 187,849 peak English "very well" 102,300 54.46% 85,549 45.54%

Source: U.S. Census Bureau, 2011-2015 American Community Survey Table B16001- Language Spoken at Home by Ability to Speak English for the Population 5 Years and Over -- (Estimate)

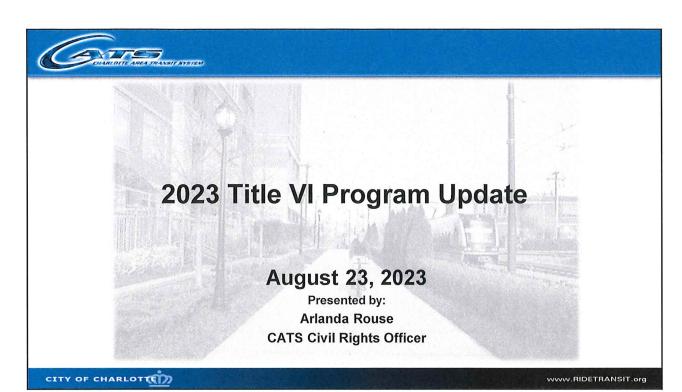
Chart 3: Service Area Map Employment Centers

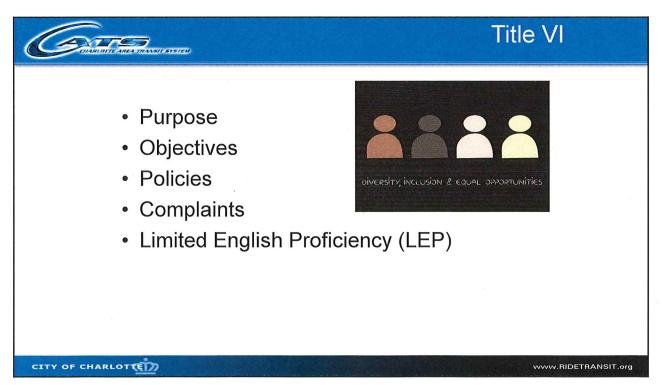


Demographic Ridership and Travel Pattern, collected by Surveys

Appendix D: Results of Monitoring Program

Image 1: MTC Resolution Adopting 2020 Title VI Program







Title VI Purpose

"No person in the United States shall on the grounds of race, color, or national origin be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."

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Title VI

- Program submitted every three years
- Governing body or board of directors must be made aware, consider, and approve program
- Program is due 60 days prior to expiration date

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Title VI Objectives

- Ensure that the level and quality of public transportation service is provided in a nondiscriminatory manner
- Promote full and fair participation in public transportation decision-making without regard to race, color, or national origin
- Ensure meaningful access to transit-related programs and activities by persons with limited English proficiency

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Title VI Monitoring of Service

Amenities by Population

Census Tracts	Stops	Bench	Shelter	Trash Can
Service Area	2,930	`364	266	817
Minority	1,832	259	202	566
LEP	1,469	205	153	447
Low Income	1,703	253	182	568

Amenities by Percentage

Census Tracts	Stops	Bench	Shelter	Trash Can
Service Area Census Tracts	2,930	364	266	817
Minority	62.53%	71.15%	75.94%	69.28%
LEP	50.14%	56.32%	57.52%	54.71%
Low Income	58.12%	69.51%	68.42%	69.52%

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Title VI Policy

CATS CivR01: Service and Fare Change Policy



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Major Service Change

- Any change to an existing bus or light rail route that affects more than 25% of revenue miles, revenue hours, or passengers
- Elimination of an existing transit route without replacement
- New service routes

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Fare Change

- Any change to the passenger fare charged by the organization for the service
- Any change to the type of media used in consideration for fare



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Key Definitions

- Disparate Impact A fiscally neutral policy or practice that disproportionately affects members of a group identified by race, color, or national origin, where the recipient's policy or practice lacks a substantial legitimate justification and where there exists one or more alternatives that would serve the same legitimate objectives but with less disporportinate effects on the basis of race, color, or national origin
- ➤ **Disproportionate Burden:** When a neutral policy or practice disproportionately affects low-income communities more than non low-income communities
- > Low income: Median income is at or below ACS poverty levels
- > Minority: Non-White population by race census tract defined by US Census

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Title VI Policy

Service Evaluation Threshold Changes

	Previous	Proposed
Minority	48.1%	41.5%
Low Income	15.2%	15.9%



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Title VI Policy

CivR03: CATS Title VI Complaint Resolution Program





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Title VI Policy

- · Written Title VI complaint process
- · Should include: How to file a complaint;
- Instructions that the complaint must be filed within 180 days of the alleged occurrence or when the alleged discrimination became known to the complainant;
- Commitment to take final action within 90 days
- Provide instructions on filing an appeal.

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Title VI Policy

- ➤ Eleven (11) Title VI complaints received the past three years 2020-2023
- > Four (4) complaints based upon race
- ➤ Six Disparate Treatment (6) complaints based upon national origin
- ➤ One (1) National Origin



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Limited English Proficiency

Executive Order 13166

EO 13166 Requires CATS to examine the services they provide, identify any need for services to those with limited English proficiency (LEP), and develop and implement a system to provide those services so LEP persons can have <u>meaningful access</u> to them.



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Title VI LEP Services

- · Website translates over 90 languages
- City of Charlotte has six (6) language services contracts
- Bilingual staffers in CATS Customer services as well as City's 311 Center
- CATS multilingual supervisors
- CATS drivers have common phrases booklets onboard vehicles
- Complaint forms translate in multiple languages

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Questions

Questions



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METROPOLITAN TRANSIT COMMISSION INFORMATION ITEM STAFF SUMMARY

SUBJECT: Title VI Service Equity Analysis 2022 Route DATE: August 23, 2023 Efficiency Changes

- 1.0 PURPOSE/SCOPE: Presentation on the process, observations, comments and conclusions of the Title VI Service Equity Analysis for the CATS 2022 Service Modifications as a result of route efficiency changes. The MTC to vote on the analysis is scheduled for the September 2023 MTC meeting.
- 2.0 BACKGROUND/JUSTIFICATION: As a recipient of federal funding CATS/City of Charlotte must conduct a service equity analysis whenever a change in service occurs which lasts longer than 12 months or affects 25% or more of the route miles. The COVID service changes lasted longer than 12 months, and the routes from the 2022 Service Plan will affect 25% or more of the route miles on those routes. The purpose of the analysis is to find and address any negative impacts that disproportionately affect minority and low-income residents and riders, as a result of the service changes. This is a requirement of recipients of FTA funding and in support of Title VI of the Civil Rights Act of 1964, and with guidance of FTA Circular 4702.1B.
- 3.0 POLICY IMPACT: N/A
- 4.0 **ECONOMIC IMPACT**: N/A
- 5.0 **ALTERNATIVES**: N/A
- 6.0 Public Outreach

Pop-up meetings

- August 2 from 6 8 a.m. at Cornelius Park and Ride 2300 Sefton Park Road, Cornelius, NC 28031
- August 2 from 6 8 a.m. at Davidson-Gateway Park and Ride 630 Davidson-Gateway Drive, Davidson, NC, 28036
- August 3 from 12 2 p.m. and 4 6 p.m. at Charlotte Transportation Center -310 E. Trade Street, Charlotte, NC 28202
- August 4 from 6 8 a.m. at Northcross Park and Ride 17126 Northcross Drive, Huntersville, NC 28078
- August 4 from 6 8 a.m. at Huntersville-Gateway Park and Ride 10300 Compass Street, Huntersville, NC 28078

Virtual meetings via CATS YouTube:

- August 4 at noon
- August 4 at 6 p.m.
- 7.0 **RECOMMENDATION**: N/A

ATTACHMENT(S): 2022 CATS Service Modifications Title VI Analysis 8.0

Frent Caglo

SUBMITTED AND RECOMMENDED BY:

Brent Cagle

Interim Chief Executive Officer, Charlotte Area Transit System

Assistant City Manager, City of Charlotte

Charlotte Area Transit System



COVID Service Changes: August 2022 Service Changes

June 2023

City of Charlotte
Charlotte Area Transit System
600 East Fourth Street
Charlotte-Mecklenburg Government Center
Charlotte, North Carolina 28202

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INTRODUCTION

The purpose of this document is to document the Title VI service equity analysis for the Charlotte Area Transit System (CATS) during the service changes for the month of August 2022 to improve efficiencies within the system. Service for both the CATS light rail and all bus routes are included in the analysis.

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin in programs receiving Federal financial assistance. This equity analysis follows the requirements of the Federal Transit Administration's Circular C 4702.1B "Title VI Requirements and Guidelines for Federal Transit Administration Recipients." Specifically, the Circular requires any FTA recipient serving a population of 200,000 or greater to evaluate major service changes before implementation to determine whether those changes have a disparate impact on minorities (the term used in the Circular) or disproportionate burden on low-income populations. CATS Title VI program and policies work to meet both federal and agency expectations to ensure that service (and any service changes) are provided to riders in a non-discriminatory manner. Subsequently, if an analysis were to find a disparate or disproportionate effect for minority and/or low-income populations, CATS staff would consider modifications to the original proposal and an additional analysis of the corresponding service networks.

CATS realizes the need to implement service changes to better meet bus and rail schedules, customers' needs and expectation. The proposed service changes will reduce the number of operators needed for the provision of transit services to accomplish the goal of increased reliability.

SERVICE CHANGES

2.1 August 2022

- On August 15, 2022, CATS made adjustments to the frequency of several bus routes in the CATS bus network as well as the LYNX Blue Line. The modifications were in response to an industry-wide labor shortage that has impacted CATS'. Therefore, operations and schedule modifications were made in an effort to increase the reliability of CATS services.
- Prior to August 2022, CATS had begun implementing a route restore plan that included adding frequencies to the LYNX Blue Line and to its most heavily utilized bus routes. However, despite its efforts to restore transit services, CATS began experiencing the same labor shortages that is plaguing public transportation systems across the country, which staffing shortages which effect reliability.
- Operator shortages have disrupted and complicated the recovery of CATS bus and rail services. As previously reported, CATS is experiencing a significant lack of available bus and rail operators needed to meet daily service levels. The LYNX Blue has lost 8 operators resulting in 16 open positions. The Bus Operations Division (BOD) had 74 open positions combined with approved and unapproved absenteeism resulting in an average of 40-50 daily deficit in operators. This availability for bus and rail service made it impossible for CATS to operate its printed and advertised schedule. In order to make the service more reliable to customers and riders, CATS proposed a service reduction to be implemented on August 15, 2022. The service changes would change the frequency of eleven routes and discontinue underutilized late night or early morning trips on nine bus routes.
- As communicated on FTA's webpage and in the FTA Title VI Circular 4702.1B, such service changes do not require a service equity analysis unless the change lasts longer than 12 months. Subsequently, the proposed changes have become permanent and did require a service equity analysis.

PUBLIC INVOLVEMENT 3

June 2023

CATS hosted a variety of meetings in different styles and settings to gather feedback from the service changes that occurred during the COVID-19 pandemic. The meetings were both in person, as well as virtual. The meeting information was shared the following methods:

- Charlotte Observer, Charlotte Post, LaNoticia
- Twitter, Facebook, Instagram
- CATS Rider's Alerts
- Media press releases and media advisories
- Informal council notification
- · Meeting notification on CATS website as well as City of Charlotte event calendar
- Internal email to CATS employees
- Crown publication (city newsletter)

Table 3-1: In person meetings

Date	Time	Location	Address
		Cornelius	2300 Sefton Park Road
August 2, 2022	6:00 am 8:00 pm	Park and Ride	Cornelius, NC 28031
		Davidson Gateway 630 Davidson-Gateway Drive	
August 2, 2022	4:00 pm - 6:00 pm	Park and Ride	Davidson, NC 28036
		Charlotte Transportation 310 Trade Street,	
August 3, 2022	12:00 pm - 2:00 pm	Center (CTC)	Charlotte, NC 28202
		Northcross 17126 Northcross Drive,	
August 4, 2022	1:00 pm-3:00 pm	Park and Ride	Huntersville, NC 28078
		Huntersville Gateway 10300 Compass Street,	
August 4, 2022	6:00 am - 12:00 pm	Park & Ride	Huntersville, NC 28708

Table 3-2: Virtual Meetings via YouTube

Date	Time
August 4, 2022	12:00 pm
August 4, 2022	6:00 pm

In each of the meetings listed above, CATS provided ways for the public to verbalize, write or type or type their comments, depending on the type of meeting. For the YouTube Live meetings, attendees were encouraged to leave questions in the chat.

3.1 Public Comments

The comments collected from the public mainly focused on the following Comment focused on the following topics.

- Do better with marketing routes
- Increasing, changing, or enhancing bus | rail routes
- Service changes and community
- Ticket machine inefficiency

The more specific public comments are found below:

• I'm a finance guy and did the calculation - I save \$7,000 per year taking the express bus. It's been terrible not having the late day (express) service after 6 p.m. and later. CATS needs to

June 2023 4

better market express/BRT. I would love to have the 1 p.m. trip option. Concord used to have the CK rider? What happened. You all used to have mid-day (express) trips and late-night trips. Now I can't stay uptown for dinner. I've been riding the (express) bus for 10 years and I've had no problems. There has been some incidences of car theft at the Northcross park and ride. I appreciate that. (the change to make buses more reliable) (add) later service, even if it is combined with the N. Meck route. Make all seats available since larger loads now (more full). It (changes) makes it difficult to get the evening bus and got to the gym after work. I won't be able to do that now. It (changes) makes it difficult to get the evening bus and got to the gym after work. I won't be able to do that now, It would be great if evening/Saturday trips into uptown. Don't need to spend all this money on a light rail. Just use the express buses/lanes. That's no big deal. (the changes) still picking me up at College and 3rd. My main concern is my daughter - I have to be able to get home to her in the afternoon. As long as the first afternoon trip doesn't get taken away. Route 7 does not currently operate every 15 minutes at night. Close them down.

- Far as I'm concerned the bus are doing fine. CATS ain't sh*t. The service changes are going to hurt a lot of people.
- Doing good job, I ride the bus every day. I go to the meeting thank you
- Have Rt. 28 Fairview run to walker Rd and McAlway as a variant to SouthPark Mall & back. Have a McAlway Rd. crosstown to connect from Monroe/Commonwealth to New Bern station. Have 28 run on Sundays. Bring back 232 Greir Heights except from NC 055 to Walmart connect w/ 221 on the way home I take the 22 and then have to take the 99 (transfer) 6:40 p.m. is the last 99. The 6:20 outbound (express) will not get me there in time. Makes it a little difficult.
- When will y'all repaint the lines in the parking lot (Northcross P&R)
- Bus 3&23 to plaza. Bus won't stop because no stop. Eastway & Central by the Wendy's gas station the bus shelter was taken down and no benches. Incident May 14, Saturday on the #17 I got off work and stop on Central Ave. 6:19 pm bus. Waited and waited but no bus came. Caught the 9 at 8 p.m. Complaint. 4&23 have not been running on Sundays. If you're going to make it a 20-minute headway on the blue line - I can't get anyone to take the train to evening events, make it 20 minutes throughout all day. Woodlawn Station -trash is piling up, trashcans "broken" College & 3rd on the outbound trip - 48x missing stop from app. Wells Fargo employee incentives (to ride the bus). Bring the #3 back to uptown. 23 bus missed trips Friday/Saturday/Sunday and had to take the LYNX and walk home. I take the #3 or the train to 36th St and end up walking for 4 or 5 miles.
- Need a bus back earlier than 4 p.m. (express) to Cornelius bring back midday routes.

3.2 Virtual Comments

- I don't know about everyone else but the graph isn't very clear. I can see the bars but not the writing on the sides.
- Is there a link to a page that will list all these changes mentioned in video? Thank you.
- Will these adjustments also be reflected in google maps transit route planning?
- Have you already alerted people affected by morning/evening route changes?

June 2023

4 METHODOLOGY

A Title VI service equity analysis was performed on the service changes implemented due to the to assess the effects of the service changes. This analysis determines if the proposed adjustments will have a disproportionately high and adverse impact on the minority and low-income populations. The analysis also recommends mitigation, where necessary.

4.1 Legal and Regulatory Context

This analysis complies with the legal requirements outlined in *Title VI of the 1964 Civil Rights Act* (42 USC § 2000d et seq.) July 1964. The analysis additionally uses the guidance and references described in the Public Comment section of the document.

4.2 Title VI Guidance and References

This document has been completed using the definitions, methodologies and guidance outlined in:

- CATS Policy for Major Service Changes and/or Fare Change Reviews (CATS CivR01), October 2018
- Title VI and Title VI Dependent Guidelines for Federal Transit Administration Recipients (FTA Circular C 4702.1B), October 1, 2012

4.3 Datasets

The following Geographic data was used to complete the demographic analysis for the service equity analysis:

- 2020 U.S. Census Data Tract Level Population by Race
- 2018 American Community Survey Data Block Group Level Poverty Status

4.4 Definitions

<u>Disparate Impact Threshold</u> – A circumstance in which the estimated minority population in a geographic area or the system-wide surveyed route ridership exceeds the minority population proportion for the CATS' system accounting for the survey's margin of error. CATS currently defines this threshold as 49.5 minority and 11.8 low income.

<u>Low-Income</u> – "low-income population" is a population whose median income is at or below the American Community Survey poverty level by block group as defined by the U.S. Census American Community Survey (ACS) 5-year estimates.

<u>Major Service Change Review</u> – According to Section 4.0 of CATS CivR01 *Policy for Major Service Changes and/or Fare Change Reviews*, a major service change review will occur whenever there is a major service change to any transit service provided by CATS.

<u>Major Service Adjustments</u> – According to Section 4.1 of CATS CivR01 *Policy for Major Service Changes and/or Fare Change Reviews*, a major service adjustment includes:

- Any change to an existing bus or light rail route that affects 25% or more of the route's daily revenue miles or 25% or more of the route's ridership
- Any system-wide change that affects 25% or more daily revenue miles or 25% or more passengers system-wide
- Elimination of an existing transit route without replacement
- New service routes

June 2023 6

Minority – In aggregate, Non-White/Non-Hispanic population by race by census tract as defined by the U.S. Census 2010 Decennial Census.

Service Change - A geographical or temporal reduction in service, including but not limited to the elimination of a route, shortening of a route, rerouting an existing route, or an increase in headways.

4.5 **Study Area**

4.5.1 **Service Area**

The service area (in aggregate) is calculated:

- The entire CATS system bus and rail GIS polyline files are overlaid onto North/South Carolina census tract and block group polygons containing demographic data.
- 2. A ¾ mile buffer is calculated from the bus and rail route polylines within Mecklenburg County Ito represent both the fixed-route and Americans with Disability (ADA) complementary transit service].
- 3. A 1/4 mile buffer is calculated from the regional bus route polylines that extend outside of Mecklenburg County (as complementary ADA bus service is not required to be provided by CATS outside of Mecklenburg County. Furthermore, the industry standard for an acceptable walking distance from transit service is considered to be 1/4 mile).
- 4. The resulting buffer selects the affected tracts/block groups.
- 5. The demographic data joined to the affected tracts/block groups is exported as a table.

4.6 **Data Calculations**

4.6.1 **Demographic Data**

4.6.1.1 Service Area Demographic Data

Demographic data is then calculated for the total CATS service area. Population by race is calculated using tract level geography by county. Percent minority is calculated for service tracts to provide a baseline comparison.

Percent Minority = (Total Service Area Tract Population - Total Service Area White Alone Population) / Total Service Area Tract Population

Low-income percentage is calculated using block group data. Percent low income is calculated for service area block groups to provide a baseline comparison.

Low-income by Block Group = Total Service Area Poverty Rate by Block Group/ Total Service Area Block Group Population

The resulting demographic data percentages are then used as a threshold to determine minority tracts and low-income block groups. Any tract or block group with percentage of minority or low-income populations at or higher than the demographic thresholds are considered minority or low income for the purpose of Title VI analysis.

4.6.1.2 **Route Level Demographic Data**

Demographic data for bus routes is calculated using the same method as described in section 4.5.1.1. However, In the case of express routes, demographic data is only calculated for portions of the route where the route is in service. In the Northeast Corridor express routes do not provide service along Interstates 77 and 85.

June 2023

The resulting demographic data for the CATS service area, Northeast Corridor bus routes percentages are detailed in Section 4, Table 4-1 below.

Table 4-1: System-Wide Low-Income and Minority Area

	Service Area	Mecklenburg County
Minority	49.5%	49.0%
Low Income	11.8%	10.2%

The resulting demographic data found in Section 4, Table 4-2 below shows demographics for each of the 70 routes in which CATS operates. 49 of the routes travel through lowincome and/or minority census tracts.

Route Level Analysis

Table 4-2: System Demographics by Route

Route Number	Route Name	Low- Income	Minority
1	Mount Holly	15.6	65.8
2	Ashley Scaleybark Crosstown	20.1	69.1
3	The Plaza	20	79.4
4	Belmont	16.8	57.3
5	Sprinter Airport	18.2	60.1
6	Kings Drive	9.4	24.7
7	Beattie Ford Rd.	14.7	68.7
8	Tuckaseegee Rd.	17.7	67
9	Central Avenue	18	59.4
10	West Blvd.	18.6	58.8
11	North Tryon Street	19.6	66.6
12	South Blvd.	16.5	57.3
13	Nevin Rd.	15.6	81.6
14	Providence Rd.	7.7	23.8
15	Randolph Rd.	12.3	29.6
16	South Tryon	17.2	58.2
17	CommonWealth	15.1	53.3
18	Paw Creek Rosa Parks Crosstown	10.2	76
19	Park Road	9.6	32.8
20	Sharon Road	11.5	28
21	Statesville Avenue	15.3	66.7
22	Graham Street	17.9	66.3
23	Shamrock Dirve	18.8	64
24	Nations Ford Rd.	18.7	68
26	Oaklawn Avenue	14.1	64.1
27	Monroe Rd.	13.1	43
28	Fairview Rd.	22.5	43.7
29	UNCC JW Clay	15	75.2

June 2023

20	Woodlown Cooley bank Cooset	16.0	45.4
30	Woodlawn Scaleybark Crosstown	16.8	45.4
34	Freedom Drive	18.1	68.3
35	Wilkinson Amazon	21.1	59.4
39	Eastway	17.5	61
42	Carowinds	8.2	50.5
43	Ballantyne	8.9	37
50	URP CIC	13.7	72.3
51	Pineville-Matthews Road	6.5	30.4
54	University Research Park	12.7	66.9
55	Westinghouse Blvd.	10.5	63.7
56	Arrowwood	14.1	70.9
57	Archdale South Park	14.5	51.8
58	Pineville	8.8	47.7
59	North Meck Connector	9.3	60.6
60	Tyvola Rd.	17.3	68.3
87	City LYNX	10.5	27.9
97	Village Rider-Cornelius	5.2	22.5
98	Village Rider McCoy Rd.	3.8	37.4
99	Village Rider-Huntersville	5.3	33.3
211	Hidden Valley	19.3	82.2
221	E.WT Harris BlvdIdlewild Rd.	22	76
222	Pence Rd.	21	78
235	Goodwill	20.2	77.6
290	Davidson Shuttle	3.3	16.8
501	LYNX Blue Line	18.6	63.3
40X	Lawyer Road Express	17.5	60.1
41X	South Tryon Express	12.9	63.3
46X	Harrisburg Road Express	18.6	66.7
47X	Huntersville Greenhouse Express	12.9	49.8
48X	Northcross Express	8.7	33.5
52X	Idlewild Road Express	17.1	60.9
53X	Northlake Express	9.6	56.7
61X	Arboretum Express	11.4	61.1
62X	Rea Road Express	10	32.1
63X	Huntersville Express	9.4	34.4
64X	Independence Blvd. Express	16.1	56.9
65X	Matthews Express	14	50
74X	Union County Express	14.8	44.1
77X	North Mecklenburg Express	10.8	31.3
82X	Rock Hill Express	12.6	36.9
85X	Gastonia Express	19.8	51.5
88X	Mountain Island Express	15.1	62.9
OOA	1410 antain Islana Express	10.1	02.3

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5 SERVICE EQUITY ANALYSIS

5.1 Description of Route Changes

The August 2022 service adjustments resulted in the modification of 10 routes that had a change that exceeded 25% of the daily revenue miles or daily revenue hours twelve months or more after the initial adjustment. The changes therefore resulted in a "Major Service" change and the need for a Service Equity analysis. Table 5-1 below shows the 10 routes which exceeded 25% in revenue miles.

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Table 5-1: CATS Route Hour Changes

Route	Weekday Before	Weekday After	% Change WD 🛂	Sat Before 🔻	Sat After 🔻	% Change Sat ▼	Sun Before 🔻	Sun After 💌	% Change Sun 🔻
5	50.7	30.3	-40.24%	27.3	27.3	0.00%	26.3	26.3	0.00%
8	49.1	31.6	-35.64%	31.6	31.6	0.00%	23.1	23.1	0.00%
9	115.5	85	-26.41%	76.8	76.8	0.00%	46.9	46.9	0.00%
10	40.2	29.8	-25.87%	30.1	30.1	0.00%	21.9	21.9	0.00%
11	59	43	-27.12%	44.7	44.7	0.00%	36.3	36.3	0.00%
16	99.8	60.7	-39.18%	58.4	58.4	0.00%	54.5	54.5	0.00%
27	84.7	52.7	-37.78%	48.3	48.3	0.00%	33.8	33.8	0.00%
34	56.7	41.5	-26.81%	40.4	40.4	0.00%	28.9	28.9	0.00%
290	1.8	1	-44.44%						

Table 5-2 CATS Mileage Changes

Route 💌	Weekday Before	Weekday After 🔻	% Change 🛂	Sat Before 💌	Sat After 🔻	%Change Sa▼	Sun Before 🔻	Sun After 💌	%Change Sun
5	928.2	560	-39.67%	498.6	498.6	0.00%	498.6	498.6	0.00%
8	735.6	478.3	-34.98%	478.3	478.3	0.00%	364	364	0.00%
9	1,453.00	1,075.60	-25.97%	966.6	966.6	0.00%	625.6	625.6	0.00%
11	877.4	639.7	-27.09%	664.1	664.1	0.00%	565.6	565.6	0.00%
16	1,687.60	1,042.00	-38.26%	997.9	997.9	0.00%	1,002.40	1,002.40	0.00%
27	1,499.70	947.2	-36.84%	897.4	897.4	0.00%	651.5	651.5	0.00%
34	881.2	648.4	-26.42%	629.1	629.1	0.00%	438.6	438.6	0.00%
290	31.6	18	-43.04%						

6 MITIGATION

The public was notified about the Title VI Equity Analysis as found in Section 3 of this document. After a further review of the 9 routes defined as having a Major Service change, CATS found that eight of the routes listed as either traveling through a low income or minority census track which exceeded the threshold set in Table 4-1. The result is that the changes for commuters on those routes is presenting as the better alternative in comparison to the original scheduling. The services changes are therefore the preferred method to prevent a disparate impact with superseding negative consequences for these protected populations, under these circumstances. Table 6-1 below shows the routes which are defined as having a disparate impact on commuters and the mitigation efforts for each of those routes. Currently, no mitigation efforts are deemed necessary in comparison for maintaining the services in the current state, as the results are showing superseding positive impacts for those protected populations. Staff found that the previous services had a higher negative impact on those minority & low-income populations due to not being predictable nor reliable for those populations. The effects of reducing mileage and hours of the routes did have a negative effect on the previous scheduled miles and hours within those census tracts, however as stated before the customers are now receiving more reliable and predictable service which serves as mitigation to the reduction in hours, and must be accessed as a balancing positive impact upon those populations.

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Table 6-1: Mitigation by Route

ROUTE NAME	ROUTE NUMBER	LOW-INCOME MINORITY DESIGNATION	MITIGATION PLAN
Sprinter Airport	5	YES YES	See Comments
Tuskegee Rd	8	YES YES	See Comments
Central Ave	9	YES YES	See Comments
West Blvd	10	YES YES	See Comments
North Tryon Street	11	YES YES	See Comments
South Tryon	16	YES YES	See Comments
Monroe Rd.	27	YES NO	See Comments
Freedom Drive	34	YES YES	See Comments
Davidson Shuttle	290	NO NO	

The route changes were chosen due to the frequency of service and due to the number of missed trips during the worker shortage. By reducing service on the bus routes, CATS determined that although the reduction of service resulted in negative hours and miles of service, the reduction resulted in more reliable and predictable service for all passengers along the bus routes, which effectively mitigated the effects of the service reduction.

Below **Table 6-2** shows that passengers per hour increased on all of the bus routes considered for the major service change, however none of the bus routes reached capacity which would be an indicator of problems with scheduling and frequency of service. Meaning, the resulting data shows that potential anticipated negative impacts such as lack of seating/standing space on vehicles, and missed pickups due to overcrowding at vehicle capacity was not reported as occurring. When comparing the impacts of original route scheduling versus the current scheduling, the least intrusive alternative appears to be the current scheduling that is showing a clearly better circumstance for patrons. Therefore, the changes appear to provide both more reliable and predictable service which was a concern based upon public comments found in Section 3 of the document.

Table 6-2 Passengers Per Hour

Route	Weekday Before	Weekday After	Percent Change
5	19.37	31.98	65.10%
8	14.09	21.71	54.15%
9	18.82	28.14	49.56%
10	14.74	20.86	41.55%
11	16.65	25.48	53.03%
16	13.38	23.44	75.23%
27	12.31	21.03	70.90%
34	11.45	17.32	51.27%

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Appendix A

7 METROPOLITAN TRANSIT COMMISSION BOARD APPROVAL

June 2023 15 Revision 00 Draft 00



Title VI Analysis August 2022 Service Adjustments

Presented to:

Metropolitan Transit Commission

Arlanda Rouse CATS Civil Rights Officer

August 23,2023

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1



Title VI Definition

No <u>person</u> in the United States shall, on the grounds of <u>race</u>, <u>color</u>, or <u>national origin</u>, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any <u>program or activity receiving</u> federal financial assistance



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Title VI Definition

- Minority is defined as a person who identifies being part of one or more racial/ethnic groups besides White, non-Hispanic. Customer responses during survey questions regarding their race and Hispanic ethnicity were used to determine minority status.
- Low-Income is defined as a person whose median household income is at or below the U.S. Department of Health and Human Services (HHS) poverty guidelines. Customer responses during survey questions regarding their annual household income and number of people living in their household were used to determine low-income status.

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Title VI Definition

- Disparate Impact: A fiscally neutral policy or practice that disproportionately affects members of a group identified by race, color, or national origin, where the recipient's policy or practice lacks a substantial legitimate justification and where there exists one or more alternatives that would serve the same legitimate objectives but with less disproportionate effects on the basis of race, color, or national origin.
- ➤ Disparate Impact Threshold A circumstance in which the estimated minority population in a geographic area or the system-wide surveyed route ridership exceeds the minority population proportion for the CATS' system accounting for the survey's margin of error. CATS currently threshold:
 - 49.5% Minority
 - 11.8% Low-Income

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CATS Policy

- ➤ CATS modified its service on August 15, 2022 and since the changes have lasted longer than 12 months they are considered permanent
- ➤ FTA Title VI Circular 4702.1B, such service changes do not require a service equity analysis unless the change lasts longer than 12 months



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CATS Policy

- On August 15, 2022, CATS made adjustments to the frequency of several bus routes in the CATS bus network as well as the LYNX Blue Line. The modifications were in response to an industry-wide labor shortage that has impacted CATS'.
- > Operations and schedule modifications were made in an effort to increase the reliability of CATS services
- The service changes would change the frequency of eleven routes and discontinue underutilized late night or early morning trips on nine bus routes.



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Change in Service Hours

- ➤Nine (9) bus routes identified
- >Greater than 25% change is considered a major service change
- >No change in weekend hours

Route	Weekday Before	Weekday After	% Change WD
5	50.7	30.3	-40.24%
8	49.1	31.6	-35.64%
9	115.5	85	-26.41%
10	40.2	29.8	-25.87%
11	59	43	-27.12%
16	99.8	60.7	-39.18%
27	84.7	52.7	-37.78%
. 34	56.7	41.5	-26.81%
290	1.8	1	-44.44%

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Change in Revenue Miles

- ≻Eight (8) bus routes identified
- >Greater than 25% change is considered a major service change
- >No change in weekend mileage

Route	Weekday Before	Weekday After	% Change
5	928.2	560	-39.67%
8	735.6	478.3	-34.98%
9	1,453.00	1,075.60	-25.97%
11	877.4	639.7	-27.09%
16	1,687.60	1,042.00	-38.26%
27	1,499.70	947.2	-36.84%
34	881.2	648.4	-26.42%
290	31.6	18	-43.04%

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Major Service Change

➤ Eight (8) bus routes identified as serving either a minority or low income census tract.

ROUTE NAME	ROUTE NUMBER	LOW-INCOME MINORITY DESIGNATION
Sprinter Airport	5	YES YES
Tuskegee Rd	8	YES YES
Central Ave	9	YES YES
West Blvd	10	YES YES
North Tryon Street	11	YES YES
South Tryon	16	YES YES
Monroe Rd.	27	YES NO
Freedom Drive	34	YES YES
Davidson Shuttle	290	NO NO

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Analysis

- ➤ A higher percentage of low income and minority passengers utilize eight of the nine bus routes identified as having a major service change.
- ➤ Bus service on those routes prior to the changes was considered unreliable and had frequent passenger complaints
- Changes resulted in a higher number of passengers per hour on each of the bus routes
- > None of the bus routes reach capacity due to the changes

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Summary

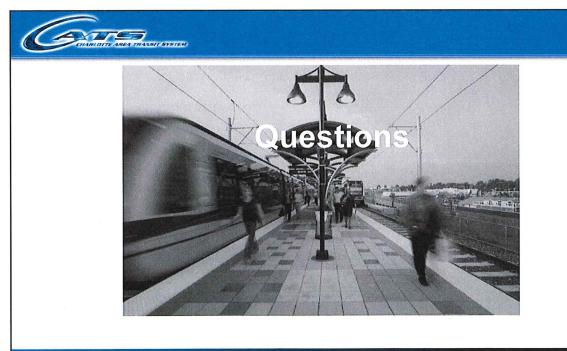
Summary

- ➤ No disparate impact as a result of the frequency changes due to the more reliable service to the low income and minority populations.
- ➤ A review of the changes found that by reducing service, the minority and low income passengers on the bus routes, had more reliable and predictable service.
- ➤ A review of the passengers per hour found that there was an increase in the number of passengers per hour, but this did not result in buses reaching capacity and not being able to pick up passengers along the bus routes

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METROPOLITAN TRANSIT COMMISSION ACTION ITEM STAFF SUMMARY

SUBJECT: MTC Approval of ASP Revision 3 DATE: August 23, 2023

1.0 PURPOSE/SCOPE: Provide the MTC a revised CATS Agency Safety Plan (ASP) and request approval of Revision 3

2.0 BACKGROUND:

- On August 3, 2023, NCDOT provided conditional approval of the CATS Agency Safety Plan (ASP)
- Section 4.2 of the ASP requires MTC review and approval of all significant revisions.
 Revisions are in red text for ease of review.
- 3.0 PROCUREMENT BACKGROUND: N/A
- **4.0 POLICY IMPACT**: CATS policies to be updated to meet agency Safety Management System (SMS)/ASP requirements and NCDOT State Safety Oversight Program Standards (SSOPS)
- 5.0 **ECONOMIC IMPACT**: N/A
- 6.0 ALTERNATIVES: N/A
- **7.0 RECOMMENDATION**: Review and Approve ASP Revision 3.
- **8.0** ATTACHMENT(S): Agency Safety Plan (ASP) Revision 3 and the NCDOT Conditional Approval Letter

Frent Cag 6

SUBMITTED AND RECOMMENDED BY:

Brent Cagle

Interim Chief Executive Officer, Charlotte Area Transit System Assistant City Manager, City of Charlotte

RESOLUTION No. 2023-05

REVIEW AND APPROVAL OF UPDATED CATS AGENCY SAFETY PLAN (REVISION 3)

A motion was made by **Commissioner Leigh Altman (Mecklenburg County)** and seconded by **Mayor Brad Simmons (Town of Mint Hill)** for the adoption of the following resolution, and upon being put to a vote was duly adopted by the Metropolitan Transit Commission (MTC).

WHEREAS, federal and state law and regulations require that transit agencies adopt an agency safety plan and that the board of directors, or an equivalent authority, of the transit agency annually review and approve updates to the agency safety plan;

WHEREAS, in accordance with these rules, the Charlotte Area Transit System (CATS) adopted its Agency Safety Plan, effective as of April 1, 2020, which designates the MTC as the equivalent authority for CATS and requires the MTC to approve updates to the Plan;

WHEREAS, the MTC has approved subsequent annual updates to the CATS Agency Safety Plan, effective as of October 20, 2021 (Revision 1) and November 14, 2022 (Revision 2);

WHEREAS, CATS has completed a further annual update to its Agency Safety Plan (Revision 3), which the N.C. Department of Transportation (NCDOT) conditionally approved on August 3, 2023; and

WHEREAS, section 4.2 of the CATS Agency Safety Plan requires that the MTC review and approve the updated Agency Safety Plan (Revision 3).

NOW, THEREFORE, be it resolved by the Metropolitan Transit Commission that:

- 1. The MTC has reviewed and hereby approves of the updated CATS Agency Safety Plan (Revision 3) as presented to NCDOT; and
- 2. This resolution shall take effect immediately upon its adoption.

I, Mayor Vi Lyles, Chairwoman of the Metropolitan Transit Commission, do hereby certify that the above Resolution is a true and correct documentation of the MTC's action from its meeting duly held on August 23, 2023.

Mayor Vi Lyles, City of Charlotte

Chairwoman, Metropolitan Transit Commission

Submitted and Recommended by:

Brent Cagle

Interim Chief Executive Officer, Charlotte Area Transit System

Assistant City Manager, City of Charlotte



Agency Safety Plan

August 2023 Revision 3

CHARLOTTE AREA TRANSIT SYSTEM
Charlotte-Mecklenburg Government Center (CMGC)
600 East Fourth Street
Charlotte, NC 28202

Document Revision Policy

This plan is complemented by, and dependent on, other supporting documents by CATS and other third parties. The CATS General Manager of Safety and Security determines the distribution for this document. Previous revisions of this document must be discarded or identified as superseded when a new revision is issued. Anyone referring to a copy of this document must verify they are using the latest revision.

This document is available electronically on CNet under Departments>Charlotte Area Transit System>Plans.

Document Revision Record

Revision	Effective Date
Revision 0	April 1, 2020
Revision 1	October 20, 2021
Revision 2	November 14, 2022
Revision 3	August 23, 2023

David Moskowitz

CATS General Manager of Safety and Security and

ria O. Johnson

Chief Safety Officer

July 17, 2023

Date

Victoria Johnson

Special Assistant to the CEO

July 17, 2023

Date

Brent Cagle

July 17, 2023

Date

Interim Chief Executive Officer, Charlotte Area Transit System

Director of Public Transit, City of Charlotte

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Appendix B – CATS EX03 Safety Policy

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Appendix D – System Maps

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Appendix H - Safety Annual Targets and Results

Appendix I – Identified Gaps and Actions for Implementation of the ASP

Summary of Changes

Revision 3 September 2023

Location	Change
Entire document	Minor wording and formatting changes for clarity.
Cover	Updated revision number and date.
ii	Updated signatories
viii	Updated Definitions and Acronyms
xviii	Updated language in Purpose and Scope; - Noted state safety oversight's inspections are announced and unannounced, retention time for CATS SMS documentation and notification protocols with NCDOT concerning correspondence with federal agencies.
1.2.2	Updated each section of performance measures
1.3	Added Inventory Management Section
1.3.2	Changed fixed route number from 72 to 70; changed bus fleet number to 389.
1.4.5	Updated title and role description of the Director of Planning and the Director of Development.
1.6	Changed wording to reflect hiring of full-time SMS CATS staff.
1.7	Updated this sections title.
2.2.2	Updated description of Identified Hazards
2.2.4	Updated to reflect who will be responsible for maintaining hazard logs
2.3.5	Replaced CSO with or Accountable Executive or their designee.
2.4.3	Updated language to indicate that CAPs will follow the format described in Section 3.4.8.3.
2.5.3	Updated types of reports.
2.5.4	Added Use of Data (Trend Analysis)
3.2.8	Updated to reflect when audit report would be provided; added ISA to the heading.
3.3	Removed Risk Based Inspection (RBI) description.
3.4.8.3	Updated function of the Corrective Action Plan.
3.5.3	Added to the description of the process of coordination between NCDOT and CATS project liaisons.
3.3.6	Added sentence to reflect that bus operators also perform checks.
3.5.5	Added description of Asset Management and State of Good Repair management process; identified who will oversee the process; updated added responsibility of the Transit Asset Manager; updated this section to reflect CATS' TAM Plan compliance with FTA and NCDOT program

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Location	Change
	requirements; updated to reflect The Office of Safety and Security's responsibility for reviewing procurement activities for compliance with NCDOT's Asset Management and SGR requirements as noted in the current SSOPS; updated Extended Hours During Emergency Conditions .
4.5.4	Updated to reflect the contractor's safety plan that requires they follow safety industry best practices.
4.6.3	Changed to reflect CATS Training Operations Divisions provides training for STS.
4.6.4	Added "The full day off shall prohibit the employee from being on-call."
4.6.4.1	Added under STS "Employees may not work more than 6 consecutive days."
Appendix E	Removed all forms except S&SF48 and the Quarterly Asset Management Report.
Appendix H	Updated safety targets.

Definitions

Accident: 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.

Accident Bus: An event that involves any of the following: a fatality; bodily injury in which that person receives immediate medical attention away from the scene of the accident; or at least one of the vehicles involved in the accident had to be towed from the scene.

Accountable Executive: A single, identifiable individual who has ultimate responsibility for: carrying out the Public Transportation Safety Plan of a public transportation agency; carrying out the agency's Transit Asset Management Plan; and controlling or directing the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and its Transit Asset Management Plan, in accordance with 49 U.S.C. 5326. For CATS, the CEO is the Accountable Executive.

Administrator: The Federal Transit Administrator or the Administrator's designee.

Agency Safety Plan (ASP): See Public Transportation Agency Safety Plan (PTASP).

All-Hazards Approach: An ideology and approach used by planners to conduct integrated planning and build capability for safety, security, and emergency management, and to optimize and continuously improve the use of resources and the management of risks from hazards, threats, vulnerabilities, and adverse events or incidents.

APTA Guidelines: The American Public Transit Association's (APTA) *Manual for the Development of Rail Transit System Safety Program Plans*, published on August 20, 1991 (revised June 2001).

Capital Asset: Any unit of the rail transit agency's rolling stock, facilities, equipment, or an element of infrastructure used for providing public transportation.

Charlotte Regional Transportation Planning Organization (CRTPO): The federally designated Metropolitan Planning Organization (MPO) for the Charlotte Urbanized Area.

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 unless employed by a transit agency that is a small public transportation provider as defined in this part or by a public transportation provider that does not operate a rail fixed guideway public transportation system.

Collision:

Rail: An impact in which one piece of on-track equipment strikes another piece of on-track equipment, railroad property, object, person, or non-rail vehicle.

Bus: the motor vehicle striking or being struck by another vehicle, person, or object.

Contractor: An entity that performs tasks on behalf of the Federal Transit Administration (FTA), a State Safety Oversight Agency (SSOA), or a Rail Transit Agency (RTA), through contract or

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other agreement. The contractor may not perform tasks for the oversight agency and the RTA at the same time.

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

Designated personnel: Can be defined in the following two ways:

- 1. Employees and contractors identified by the CATS Agency Safety Plan whose job function is directly responsible for safety oversight of CATS Transportation Services; or
- 2. Employees and contractors of a State Safety Oversight Agency whose job functions require them to conduct safety audits and examinations of the rail fixed guideway public transportation systems subject to the jurisdiction of the agency.

Derailment: A non-collision event that occurs when a train or other rail vehicle unintentionally comes off its rail, causing it to no longer be properly guided on the railway. A derailment occurs when the LRV or on-track equipment leaves the rail for a reason other than a collision, explosion, highway-rail grade crossing impact, etc.

Point of Derailment: The point on the rail where the normal wheel-rail relationship was disturbed.

Cause of Derailment: A condition or failure, that results in a derailment, collision, or other type of accident. A condition is a characteristic of an LRV or track which can be measured or identified during equipment or track inspection, or personnel interview. A failure is a physical failure of a track or car component or a human failure to properly perform a job.

Directly responsible for safety oversight: Public transportation agency personnel whose primary job function includes the development, implementation, review, and enforcement of the agency's safety plan, and/or the State Safety Oversight Agency (SSOA) requirements for the rail fixed guideway public transportation system, pursuant to 49 CFR parts 659 or 674.

Equivalent Authority: 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. The Metropolitan Transit Commission (MTC) is CATS Equivalent Authority.

Emergency Conditions: Unexpected events or incidents that occur naturally or manmade that impact the ability of CATS to operate normal service that causes a hazardous condition requiring an immediate response.

Emergency Operations Plan (EOP): Describes the coordination and preparedness activities related to an organization's emergency response policies and procedures, including: the assignment of employee responsibilities during an emergency; specific emergency response annexes, as deemed necessary; and addressing various threats and vulnerabilities specific to internal organizational systems, functions, or work groups.

Emergency Management Program (EMP): A comprehensive framework, including plans, policies, and procedures, established to manage an All-Hazards Approach to emergency

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preparedness and response activities. This framework addresses the five phases of emergency management: prevention, preparedness, response, recovery, and mitigation. It incorporates, by reference, integration of the Emergency Operations Program (EOP) and its annexes.

Event: An Accident, Incident, or Occurrence.

Examination: A process for gathering or analyzing facts and information related to the safety of a rail fixed guideway public transportation system.

Finding of Noncompliance: A determination of noncompliance made when the facts disclosed during an investigation, compliance review, hazard trend analysis, or other information, indicate a failure to comply with the provisions of the State Safety Oversight Program Standard.

FRA: The Federal Railroad Administration. An agency within the U.S. Department of Transportation.

FTA: The Federal Transit Administration. An agency within the U.S. Department of Transportation.

FTA Reportable Event (Rail Only): A rail event that meets the notification threshold for the Federal Transit Administration (FTA). A Non-FTA Reportable Event does not rise to the threshold for reporting to the FTA but is required to be reported to NCDOT per 49CFR Part 674 and the SSOPS.

Hazard: Any real or potential condition that can cause: injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of the Transit Agency (TA); or damage to the environment.

Hazard Management Log: An information management tool for tracking identified hazards, rating the hazards, any mitigations, and how the hazard is resolved. Unacceptable and Undesirable Hazardous Conditions must be captured in the Risk Register.

Homeland Security Exercise and Evaluation Program (HSEEP): A set of guiding principles for exercise programs related to national security, as well as a common approach to the management, design and development, execution, evaluation, and improvement planning for such programs.

Incident: An event that involves any of the following: a non-serious personal injury; one or more injuries requiring medical transport; damage to facilities, equipment, rolling stock, or infrastructure which disrupts the operations of a transit agency.

Infrastructure: The underlying framework or structures that support a public transportation system.

Inspection: A physical observation of equipment, facilities, rolling stock, operations, or records for the purpose of gathering or analyzing facts or information.

Inspection Data: Data that includes, but is not limited to, inspection records and report forms, records of failures and defects with severity, records of speed restrictions, including the reason for applying, incident and safety risk mitigation verification, adherence to inspection schedules,

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including reports/documentation of inspections not performed, and capital project schedules and progress.

Investigation: The process of determining the causal and contributing factors of an accident, incident, or hazard, to prevent recurrence and mitigating risk.

Individual: Any person on the property of a Transit Agency.

Maintenance Data: Data that includes, but is not limited to, major maintenance activity schedule and progress, adherence to maintenance schedules, including reports/documentation of deferred maintenance, records of failures and defects with severity if applicable, and records of revenue vehicles out of service, including causal information.

Major Project: Any rail transit agency system expansion, modification, or refurbishment of a capital asset which impacts safety, regardless of project type, funding source, or budget.

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

NCDOT: The North Carolina Department of Transportation. The designated State Safety Oversight Agency (SSOA) for the State of North Carolina.

NCDOT/RTA Major Projects Liaison: RTA employee responsible for assuring effective and timely project communication with NCDOT and/or designee, along with the RTA's senior safety staff.

NTSB: The National Transportation Safety Board. An independent Federal agency charged with determining the probable cause of transportation accidents, promoting transportation safety, and assisting victims of transportation accidents and their families.

New Starts Project: One type of transit capital investment project for a Rail Transit Agency funded under FTA's 49 U.S.C.5309 discretionary construction program.

Occurrence: An Event without any personal injury in which damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of the Transit Agency.

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

Passenger: A person who is on board, boarding, or alighting from a rail or bus transit vehicle for travel.

Passenger Operations: The period when any aspect of a Transit Agency's operations is initiated within revenue service with the intent to carry passengers.

Performance measure: A quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

Performance target: A quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA).

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Person: A passenger, employee, contractor, pedestrian, trespasser, or any individual on the property of a transit agency.

Preliminary Engineering Phase: The second developmental phase required for New Starts Projects to receive Federal funds. During this phase, project sponsors investigate the merits of all potential configurations and designs in greater detail. The results of this phase provide the basis for subsequent funding and implementation decisions. This phase concludes with the request to enter the final design phase.

Public Transportation Agency Safety Plan (PTASP or ASP): The documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329(d) and 49 CFR Part 673.

Public Transportation Safety Certification Training Program (PTSCTP): The certification training program for Federal and State employees, or other designated personnel, who conduct safety audits and examinations of public transportation systems, and employees of public transportation agencies directly responsible for safety oversight, established in 49 CFR Part 672.

Qualification Level (QL): The practical examination for a qualifying Rail/Streetcar Operator is scored based on three levels. A Qualification Level 1 (QL-1) requires no performance or safety deviations, and the operator performed all functions with complete accuracy and confidence level was high. A Qualification Level 2 (QL-2) requires the operator to have only minor performance deviations, no safety related deviations, the operator performed the majority of the functions with accuracy and their confidence level was high to moderate. A Qualification Level 3 (QL-3) is a failing score with the occurrence of major performance and/or safety deviations and the operator's confidence level was low and uncertain.

Rail Incident: An event that involves any of the following: a loss of life; 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. An accident must be reported in accordance with the thresholds for notification and reporting set forth in the State Safety Oversight Program Standard (SSOPS).

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

Rail Transit Agency (RTA): Any entity that provides services on a rail fixed guideway public transportation system. Both RTAs and Rail Fixed Guideway Public Transportation Systems (RFGPTS) are referenced in various FTA documents and, as such, indicate the same entity, regardless of which of the two acronyms is referenced.

Rail Transit-Controlled Property: Property that is used by the Rail Transit Agency (RTA) and may be owned, leased, or maintained by the RTA.

Rail Transit Vehicle: The RTA's rolling stock, including, but not limited to, passenger and maintenance vehicles.

Risk: The composite of predicted severity and likelihood of the potential effect of a hazard.

Risk Register: An information management tool used to document Safety Risk Management and Safety Assurance activities. It records the hazards identified by the transit agency, the potential consequences associated with those hazards, initial safety risk ratings, new mitigations implemented to eliminate or minimize the risk associated with the hazard, revised safety risk rating, and mitigation monitoring measures and activities to ensure the implementation and effectiveness of mitigations.

Risk Mitigation: A method or methods used to eliminate or reduce the effects of hazards.

Safety: Freedom from harm resulting from unintentional acts or circumstances.

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

Safety audit: A review or analysis of system components for compliance with the safety requirements. Audit methods may include interviews, document and record reviews, firsthand observations of operations and maintenance activities, spot checks, inspections, and visual examinations and measurements.

Safety Events (under NTD): Total number of reportable events and rate per total vehicle revenue miles by mode. The safety events measure captures all reported safety events that occur during transit operations and the performance of regular supervisory or maintenance activities. A reduction in safety events will support efforts to reduce fatalities and injuries, as well as damages to transit assets. Measuring the number of safety events by mode over vehicle revenue miles provides a safety event rate from which future performance can be compared. Reportable events (Accidents) include:

- Train derailments
- Collisions (vehicle-to-vehicle, vehicle-to-person, vehicle-to-object)
- Collisions at grade crossings
- Fires
- Evacuations for safety reasons

Safety Management System (SMS): A systematic approach to managing safety, including the necessary organizational structures, accountabilities, policies, and procedures. SMS defines the activities by which safety management is undertaken by an organization to achieve acceptable levels of safety. SMS also defines the method of identifying hazards and controlling risks in a work and operational environment and continuously monitors these methods for effectiveness.

Safety Program Data: Data that includes, but is not limited to, event data, hazard, safety risk ratings, mitigation data, corrective action plan data, near miss data, and ongoing monitoring data.

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

Safety Risk Management: A process within a Transit Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.

Security: Freedom from harm resulting from intentional acts or circumstances.

Sensitive Security Information (SSI): Information as described in 49 CFR § 1520, which is obtained or developed while conducting security activities, the disclosure of which would be detrimental to transportation safety. SSI includes: security program plans; security and vulnerability assessments; threat information; incident response plans; security directives and measures; security inspection or investigative information; security screening information or procedures; specifications for devices for detection of weapons or destructive devices or substances; specifications for communications equipment used for transportation security; and critical infrastructure information, including drawings, design plans, cut sheets, or architectural drawings.

Serious Injury: 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; or
- 5. involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface resulting from a traumatic event.

SPEAR: Database management software for tracking incidents and maintenance records pertaining to equipment for rail and bus operations.

State: A state of the United States, the District of Columbia, Commonwealth of Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

State of Good Repair (SGR): The condition in which a capital asset is able to operate at a full level of performance. [49 CFR Part 625]

State Safety Oversight Agency (SSOA): An agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations set forth.

State Safety Oversight Program Standard (SSOPS): A written document developed and adopted by a State Safety Oversight Agency to describe the policies, objectives, responsibilities, and procedures used to provide Rail Transit Agency safety oversight.

Substantial Damage: Damage which adversely affects the structural strength, performance, or operating characteristics of the vehicle, facility, equipment, rolling stock, or infrastructure which requires towing, rescue, onsite maintenance, or immediate removal prior to safe operation.

System Reliability: The mean distance between major mechanical failures by mode. The System Reliability measure expresses the relationship between safety and asset condition. The rate of vehicle failures in service, defined as mean distance between major mechanical failures, is measured as revenue miles operated divided by the number of major mechanical failures. This is a measure of how well a fleet of transit vehicles is maintained and operated. The Federal Transit

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Administration (FTA) recognizes the diversity of the transit industry and that agencies have varied equipment types with varied rates of performance. This measure allows agencies to develop safety performance targets that are specific to their own fleet type, age, operating characteristics, and mode of operation.

Transit Asset Management (TAM): The strategic and systematic practices of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital asset to manage their effective, and reliable public transportation. [49 CFR Part 625]

Transit Asset Management Plan: A plan that includes an inventory of capital assets, a condition assessment of inventoried assets, a decision support, and a prioritization of investments. [49 CFR Part 625]

Unacceptable Hazardous Condition: A hazardous condition determined to be an unacceptable risk according to an established evaluation matrix (MIL-STD-882E) which evaluates the severity and probability of the risk or any condition deemed by NCDOT to be a unacceptable hazardous condition regardless of hazard rating.

Vehicle: Any rolling stock used on a Rail Fixed Guideway Public Transportation System (RFGPTS), including, but not limited to, passenger and maintenance vehicles.

ACRONYMS

AAR	After Action Report				
APTA	American Public Transit Association				
AREMA	American Railway Engineering and Maintenance of Way Association				
ASP	Agency Safety Plan				
BLE	Blue Line Extension				
CAP	Correction Action Plan				
CATS	Charlotte Area Transit System				
CRTPO	Charlotte Regional Transportation Planning Organization				
CCIL	Critical/ Catastrophic Items List				
CIL	Certifiable Items List				
CEO	Chief Executive Officer				
CFR	Code of Federal Regulations				
CSO	Chief Safety Officer				
CWP	Certification Work Plan				
DHS	Department of Homeland Security				
EOP	Emergency Operations Plan				
EMP	Emergency Management Program				
EPCP	Emergency Preparedness and Continuity Plan				
FNC	Finding of Noncompliance				
FRA	Federal Railroad Administration				
FTA	Federal Transit Administration				
HML	Hazard Management Log				
GL2	CityLYNX Gold Line Phase 2				
HSEEP	Homeland Security Exercise and Evaluation Program				
IIC	Investigator in Charge				
IIJA	Infrastructure Investment and Jobs Act				
I & M	Inspection and Maintenance				
MAP-21	Moving Ahead for Progress in the 21 st Century				
N/A	Not Applicable				
NCDOL	North Carolina Department of Labor				
NCDOT	North Carolina Department of Transportation				
NFPA	National Fire Protection Association				

NTD	National Transit Database				
NTSB	National Transportation Safety Board				
ocs	Overhead Catenary or Contact System				
ОНА	Operating Hazard Analysis				
OSHA	Occupational Safety and Health Administration				
OSH	Occupational Safety and Health				
РНА	Preliminary Hazard Analysis				
PTASP	Public Transportation Agency Safety Plan				
PTSCTP	Public Transportation Safety Certification Training Program				
RBI	Risk-Based Inspections				
RFGPTS	Rail Fixed Guideway Public Transportation System				
ROW	Right of Way				
RTA	Rail Transit Agency				
RWP	Roadway Worker Protection				
SA	Safety Assurance				
SGR	State of Good Repair				
SMS	Safety Management System				
SOP	Standard Operating Procedure				
SRM	Safety Risk Management				
SSC	Safety Security Certification				
SSCP	Safety and Security Certification Plan				
SSI	Sensitive Security Information				
SSO	State Safety Oversight				
SSOA	State Safety Oversight Agency				
SSOPS	State Safety Oversight Program Standard				
SSOR	State Safety Oversight Reporting				
SSPP	System Safety Program Plan				
STS	Special Transportation Services				
TAM	Transit Asset Management				
TSA	Transportation Security Administration				
UHC	Unacceptable Hazardous Condition				
USC	United States Code				

Purpose and Scope

The purpose of the Agency Safety Plan (ASP) is to set forth the requirements for identifying, evaluating, and minimizing safety risks throughout CATS Bus, Rail, and Special Transportation Services (STS). The ASP design and implementation includes the development of a comprehensive Safety Management System (SMS) as described in Federal Transit Administration's 49 CFR, Part 673 and follows the North Carolina State Safety Oversight Program Standards (SSOPS) and the four components of SMS: Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion. The SMS Manager will ensure that FTA, other Federal Agencies, and the NCDOT State Safety Oversight Agency (SSOA) can conduct announced and unannounced inspections and have access to review all CATS SMS and ASP documentation, audit reports, investigation reports and other safety related documents upon request. These documents will be maintained electronically for a minimum of three (3) years.

CATS shall ensure that NCDOT is notified within twenty-four (24) hours of all safety-related correspondence to or from any federal agencies by email or phone call.

The ASP is specifically developed to:

- Establish the System Safety Program for CATS.
- Identify the relationships and responsibilities of CATS with other City of Charlotte departments and other agencies and organizations that impact transit system safety.
- Provide formal documentation of CATS Management's commitment to safety.
- Provide a framework for implementing CATS' safety policy.
- Achieving CATS system safety goals and objectives in compliance with the National Public Transportation Safety Plan, January 2017.
- Satisfy federal, state, and local laws, codes, ordinances, and regulations.

Section 1 Safety Management Policy

1.1 Chief Executive Officer's Safety Management Policy Statement

The following is the Safety Management Policy Statement issued by the Chief Executive Officer (CEO) of the Charlotte Area Transit System (CATS). (See Appendix B CATS EX03 Safety Policy.) This policy statement was reviewed and approved by the Metropolitan Transit Commission (MTC).

The Charlotte Area Transit System (CATS) was organized with the mission to provide safe, secure, reliable, and effective rail, bus, and paratransit transportation services to our customers. Accordingly, safety is a primary concern that affects all levels of CATS activities including operations, maintenance, and administrative functions of the organization.

All employees and contractors of CATS are expected to conduct their duties safely, aimed at preventing, controlling, and minimizing undesired events, such as customer or employee injury, equipment or property damage, or degradation to system safety in any CATS function. Employees and customers are CATS' most important assets, and their safety and security are among CATS' greatest responsibilities.

While the minimizing of unsafe conditions and the prevention of accidents in CATS' transportation system and facilities are the responsibility of each employee, they are first and foremost the responsibility of CATS Management. A safety reporting program was established as a viable tool for employees to voice their safety concerns. No disciplinary action will be taken against any employee who communicates a safety concern through the CATS safety reporting program unless such disclosure indicates the following: an illegal act, gross misconduct and/or negligence, or a deliberate or willful disregard of CATS rules, policies, and procedures.

CATS Management is committed to developing a Safety Management System (SMS) and will develop programs to promote the safety and security of all employees and customers. We are fully committed to providing a safe work environment and safe vehicles, systems, and facilities. To that end, CATS' General Manager of Safety and Security is empowered and authorized to administer a comprehensive, integrated Agency Safety Plan.

CATS distributes this Safety Management Policy Statement to each employee and reviews it with employees during employee safety meetings and toolbox talks with supervisors. CATS commitment to developing our SMS is supported by the following safety objectives:

- Support the implementation of an effective SMS by providing appropriate resources
 to support an organizational culture that fosters safe operational policies, encourages
 effective safety reporting and communication, and actively manages safety with the
 same attention to results as that given to the other management systems of CATS.
- **Integrate** the management of safety as an explicit responsibility of CATS managers and employees.

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- Clearly define for all managers, employees, and contractors their accountabilities and responsibilities for the delivery of safe transit services and the performance of our safety management system.
- Establish and operate a safety reporting program as a fundamental tool in support of CATS hazard identification and safety risk evaluation activities to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point that is as low as reasonably practical.
- **Comply** with and, wherever possible, exceed any applicable legislative and regulatory requirements and standards.
- **Ensure** that sufficiently trained and skilled personnel are available and assigned to implement CATS safety management processes and activities.
- **Ensure** that all staff are formally provided with adequate and appropriate safety management information, are competent in safety management system activities, and are assigned only safety related tasks commensurate with their skills.
- **Establish and measure** our safety performance against realistic safety performance indicators and safety performance targets.
- Continually improve our safety performance through management processes that ensure relevant safety action is taken in a timely fashion and is effective when performed.
- **Ensure** contracted services are ordered and delivered in compliance with our safety performance standards.

1.2 Goals and Objectives

1.2.1 **Goals**

The system safety goal is to design, construct, test, prepare, and operate a transportation system that attains a practical optimum level of safety during the entire life cycle of the system's five phases – Planning, Design, Construction, Operations, and/or Disposal as applicable. The ASP is directed toward achieving this goal within CATS' strategic goals and constraints.

The following are CATS' goals in achieving comprehensive system safety:

- Develop a sustainable safety culture focusing on safety through knowledge.
- Promote learning through the development of a comprehensive training curriculum.
- Ensure training enhances individual performance and provides continuous learning for all levels that is managed through a centralized learning management system.
- Continue to cultivate coordination, communication, and collaboration to achieve solutions for shared strategic initiatives.

Properly implemented, the Safety Management Systems processes documented herein will provide for the following:

- Identification and elimination or control of hazards to employees, customers, or the public.
- A working environment which meets or exceeds all government and industry occupational health and safety standards and practices.

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- Investigation of all major accidents/incidents and identification and documentation of accident causes for the purpose of implementing corrective action to prevent recurrence.
- Effective emergency response by CATS and public safety agencies
- Integration of safety and hazard control measures into all CATS department and division activities.

1.2.2 Objectives - Safety Performance Metrics/Targets and Indicators

To accomplish the system safety goal and promote continuous improvement, CATS developed performance metric objectives that are Specific, Measurable, Attainable, Relevant, and Time-bound (SMART).

CATS has identified the following NTD Safety Performance metrics from the *National Public Transportation Safety Plan*, January 2017. These Safety Measures and Targets are reflected in the Charlotte Regional Transportation Planning Organization's (CRTPO) Performance Based Planning & Programming – Transit Safety Plan. See Appendix H for annual performance targets and results. CATS annually coordinates with the State and CRTPO in the selection of State and MPO safety performance targets.

Performance Measures

- 1. Fatalities: Total number of reportable fatalities.
 - a. Bus: A fatality confirmed within thirty (30) days of a reportable event as defined in the current National Transit Database Safety and Security Policy Manual as amended.
 - b. **STS**: A fatality confirmed within thirty (30) days of a reportable event as defined in the current National Transit Database Safety and Security Policy Manual as amended.
 - c. **Rail:** A fatality confirmed within thirty (30) days of a reportable event as defined in the current National Transit Database Safety and Security Policy Manual as amended.
- **2. Injuries:** Total number of reportable events and rate per total vehicle revenue miles by mode.
 - a. Bus: Any employee or customer injury required to be reported on an S&S-40 Major Event Report as defined in the current National Transit Database Safety and Security Policy Manual as amended. This excludes any injuries arising from security related events.
 - b. **STS**: Any employee or customer injury required to be reported on an S&S-40 Major Event Report as defined in the current National Transit Database Safety and Security Policy Manual as amended. This excludes any injuries arising from security related events.
 - c. Rail: Any employee or customer injury required to be reported on an S&S-40 Major Event Report as defined in the current National Transit Database Safety and Security Policy Manual as amended. This excludes any injuries arising from security related events.

- **3. Safety Events:** Total number of preventable reportable events and rate per total vehicle revenue miles by mode.
 - a. **Bus**: Any preventable collision with damages equal to or exceeding five hundred dollars (≥ \$500).
 - b. **STS**: Any preventable collision with damages equal to or exceeding five hundred dollars (≥ \$500).
 - c. **Rail:** Any preventable safety event that meets the two-hour reporting threshold for the FTA.
- **4. System Reliability:** Rate of Major Mechanical Failures by mode.
 - a. **Bus**: System reliability is measured by calculating the rate of NTD road calls per 100,000 revenue miles.
 - b. **STS**: System reliability is measured by calculating the rate of NTD road calls per 100,000 miles.
 - c. **Rail:** System reliability is measured by calculating the rate of major mechanical failures as reported by Rail Car Maintenance per 100,000 car revenue miles.

The Office of Safety and Security will review and analyze the data received related to the target goals. A report showing the performance status of the four target goals will be submitted to CATS Leadership, the MTC, NCDOT, and CRTPO on a quarterly basis and updated annually in Appendix H - *Safety Annual Targets and Results*.

Where incidents, audits, or observations indicate that the goals or objectives of this plan are clearly not being met, the Safety and Quality Assurance sections coordinate discussion with involved divisions and develop corrective action plans for follow up and completion.

1.3 System Description

1.3.1 Light Rail Operations

LYNX Blue Line

The LYNX Blue Line is the Charlotte region's first light rail service. It is 18.9 miles long and operates seven days a week from I-485/South Boulevard Station to the UNC Charlotte Main Campus in University City. With 26 stations, including 11 park and ride locations, the LYNX Blue Line provides a congestion free commute with a consistent travel time. Rail operating hours are approximately from 5:30 a.m. to 2:00 a.m., six days a week and until 1:30 a.m. on Sundays.

All CATS light rail passengers board trains at light rail stations. Each light rail station provides protection from inclement weather, lighting, blue light emergency phones, and security camera coverage. Appendix D – System Maps shows the map of the LYNX Blue Line.

The operation of the Blue Line rail system is managed by the Rail Operations Control Center (ROCC) in accordance with CATS Rail Operations Control Center (ROCC) Procedures Manual.

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The Siemens Light Rail fleet consists of 42 double articulated, low floor Light Rail Vehicles (LRVs). The LRVs were procured by CATS from Siemens Transportation Systems and meet the following physical and performance characteristics:

- 70% Low Floor Design
- 100% Low Floor Boarding
- 68 Passenger Seats (Minimum)
- Maximum Speed of 66 mph
- Approximately 93 ft. in length and 9 ft. in width
- Bi-Directional Operation
- Cameras
- Automatic passenger counters

The LRVs and the station platform interface are compliant with the Americans with Disabilities Act (ADA). LRVs are capable of operating as single units or coupled in consists of up to two cars (with three car consist capability at designated stations for future express service). Each LRV is equipped with operating cabs at both ends and feature alternating current (AC) propulsion, cab signaling equipment, automated station announcements, and a climate control system.

CityLYNX Gold Line

The CityLYNX Gold Line is the Charlotte region's streetcar service which returned to revenue service August 2021. It is approximately four miles long and has 17 stops/platforms for boarding and alighting, running from the intersection of French Street and Beatties Ford Road to the intersection of Sunnyside Avenue and Hawthorne Lane. The CityLYNX Gold Line is a conventional in-street running fixed-guideway with a mix of center and side platforms. Each stop has a shelter to provide protection from inclement weather. Appendix D shows a map of the CityLYNX Gold Line.

The operation of the Gold Line rail system is managed by the Rail Operations Control Center (ROCC) in accordance with CATS Rail Operations Control Center (ROCC) Procedures Manual.

The Siemens Light Rail Hybrid Streetcar fleet consists of 6 double-articulated, low floor Light Rail Vehicles (LRVs). The LRVs were procured by CATS from Siemens Transportation Systems and have the following physical and performance characteristics:

- 70% Low Floor Design
- 100% Low Floor Boarding
- 54 Passenger Seats (Minimum)
- Maximum Speed of 66 mph
- Approximately 85 ft. in length and 9 ft. in width
- Bi-Directional Operation
- Cameras
- Automatic passenger counters
- On Board Energy Storage System (OESS)

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The streetcars and the stop interface are compliant with the Americans with Disabilities Act (ADA). Streetcars operate as single units. Each streetcar is equipped with operating cabs at both ends and feature both alternating current (AC) propulsion or battery operations, cab signaling equipment, automated station announcements, and a climate control system. The hybrid streetcar is designed to operate for specified distances without the overhead catenary system power utilizing the vehicle's battery pack also known as the On Board Energy Storage System (OESS).

Rail Car Maintenance

Light Rail Vehicles, including streetcars, are maintained by Rail Car Maintenance in accordance with the CATS Light Rail Fleet Management Plan, applicable Light Rail SOPs, and manufacturer's maintenance manuals.

Rail Maintenance of Way

The vehicles are powered by electricity distributed by an Overhead (contact) Catenary System (OCS). A train control system, using cab signaling, provides vehicle spacing and routing throughout the light rail system. The Rail Maintenance of Way (MOW) section is responsible for the maintenance of Train Control and Communication Systems, Traction Power Substations, Overhead Catenary Systems, and track work on the LYNX Blue Line and the CityLYNX Gold Line. The CATS systems and equipment are maintained in accordance with CATS ROD600, *Preventive Maintenance Requirements for Rail MOW* and the referenced ROD600-series SOPs.

Inventory Management

The Inventory Management Section of CATS Rail Operations is responsible for procurement and warranty of spare parts, managing inventory and warehousing materials for the LYNX Blue and Gold Line. They manage the shipping, receiving and inventory function at the South Boulevard Light Rail Facility (SBLRF) and North Brevard Light Rail Facility (NBLRF). This section, headed by the Inventory Management Manager for Light Rail Operations, has been established to take any and all actions necessary to maintain light rail service by providing a continuous supply of spare parts and materials for Maintenance of Way (MOW) and Rail Car Maintenance (RCM) staff to perform preventative, corrective and emergency work orders as well as support supplies for transportation and administrative personnel.

The warehouses at SBLRF and NBLRF have an estimated area of 10,029 square feet including docks, staging areas, pallet racks, aisleways and office space.

South Boulevard Light Rail Facility

The South Boulevard Light Rail Facility is adjacent to and west of the mainline light rail track between New Bern Street and Clanton Road. Detailed information on the

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facility is contained in the Light Rail Fleet Management Plan. The Facility includes the ROCC, Bus Operations Control Center (BOCC), maintenance shop, storage yard, rail inventory space and administrative offices. Staff members are located in the building 24 hours a day, seven days a week, to ensure the safe and efficient operation of the LYNX Blue Line.

The Main Shop building contains the following rail vehicle service inspection, repair facilities, and warehouse space:

- A service track for interior and exterior vehicle cleaning
- A running repair track for scheduled car servicing and inspection
- A light repair area for change-out of minor components
- A heavy repair area for vehicle overhauls, major repairs, and modifications
- A wheel truing machine for running rail vehicle and truck wheel truing
- A truck shop for change-out and repair/overhaul of vehicle truck components
- An electronics shop for repairing electronic equipment and components
- Parts storage areas
- Overhead work platforms and maintenance pits
- Shop areas for repair of couplers, pantographs, and brakes
- A machine shop, welding shop, and carpentry shop
- A portable vehicle hoist system
- A 7.5-ton bridge crane, a monorail crane, and various jib cranes

Component repair shops, which support maintenance services for all components of the light rail system, are included in the maintenance facility. A paint booth is provided in a separate building. Interior vehicle cleaning may be done on the LRV service and cleaning track, or it may be accomplished on the storage tracks. Daily LRV washing may occur when vehicles return from service or during off-peak service hours by drawing equipment from the storage tracks.

As a part of the BLE project significant, much-needed vehicle storage and specialty maintenance capability was added to the South Boulevard facility. In its original construction, the SBLRF was originally sized to accommodate a fleet of 40 vehicles. Improvements to the outside yard area at the SBLRF allowed for the accommodation of 16 additional LRVs and three trolleys.

North Brevard Light Rail Facility

The North Brevard Light Rail Facility at 1911 North Brevard Street is a satellite facility utilized to perform daily vehicle cleaning, basic preventive maintenance inspections, and basic running repairs including lowest level component replacement (for failure or repair only).

1.3.2 Bus Operations Division

The CATS Bus Operations Division (BOD) is the entity that provides CATS' fixed-route bus service. CATS operates 70 fixed routes: local buses, express buses, and neighborhood shuttles. Express routes provide service to and from outlying areas of Mecklenburg County as well as neighboring counties.

CATS buses provide transit service seven days a week to LYNX Blue Line stations and on urban streets, suburban streets, limited access highways, and a bus-only busway. Bus operating hours are from 5:00 a.m. to 2:00 a.m., 6 days a week and until 1:30 a.m. on Sundays.

The CATS revenue bus fleet is comprised of approximately 389 buses. As part of a special project to assess transitioning to all electrical vehicles, CATS is currently assessing the performance of 18 electric buses from two different manufacturers.

Many bus lines terminate at, or pass through, the Charlotte Transportation Center, a downtown center where a large number of passengers transfer from one line to another. This facility is covered and provides passenger information and other amenities.

In addition to the Charlotte Transportation Center, CATS operates and maintains neighborhood transit centers throughout the service area. The neighborhood transit centers enhance travel within neighborhoods and provide transfer opportunities to the fixed-route service for residents to continue their travel outside of their neighborhoods. CATS continues development of additional neighborhood transit centers.

Bus Park and Ride lots are used largely by commuters who travel from outlying suburban areas to light rail stations and the uptown business district. CATS currently provides bus service to over 50 Park and Ride lots.

The majority of CATS bus passengers board buses at stops located at the curb. Many stops have shelters for protection from inclement weather and there may also be a bench in the shelter. Lighting is generally from nearby streetlights.

Bus shelters are maintained by the CATS Facilities Management Section within the Rail Division. CATS contracts with a management company to manage the Charlotte Transportation Center.

South Tryon Street Bus Facility

This facility opened in March 2005 and is the principal CATS Bus Operations and Maintenance Facility. It is the centralized administrative base for BOD and provides space for warehousing and major repair activities. This facility has capacity for 250 buses.

Davidson Street Bus Facility

This facility was built and opened in 1985 and was originally designed to be a full-service maintenance facility for 200 vehicles. The separate administration building at 901 N. Davidson St. was rehabilitated in 2011 and now houses CATS' Special Transportation Services (STS), Vanpool Services, and CATS Technology. From this location, STS provides the operation and dispatch activities for its ADA-mandated paratransit service.

An enclosed fuel lane and bus wash is located at 929 N. Davidson St. where daily vehicle service occurs. Across the public street, at 900 N. Davidson St., bus maintenance functions are performed including routine preventive maintenance and corrective maintenance.

1.3.3 Special Transportation Service

CATS provides a demand-response paratransit service called Special Transportation Service (STS).

Located at the Davidson Street Bus Facility, STS provides the operation and dispatch activities for its Americans with Disabilities Act (ADA) mandated paratransit service. STS provides service during the same hours as fixed routes: normally 5 a.m. until 2 a.m., 7 days a week.

 Approximately eighty-four (84) lift-equipped buses are maintained by the Bus Operations Division.

1.3.4 Vanpool

Vanpools are a flexible, comfortable, cost-effective way for groups of 5 to 15 commuters to share their ride to work. A Vanpool consists of a group of people who live and work near each other and share similar commuting schedules. The CATS Vanpool program provides vans, gas cards, insurance, and maintenance. Vans are available 24 hours a day, 7 days a week.

 Approximately eighty-seven (87) vanpool vans are maintained by the City of Charlotte's Management and Financial Services Department/Fleet Management.

1.3.5 Facilities Management

CATS facilities are maintained by the Facilities Management section in accordance with the Facilities Management Plan. The major goals and objectives of this Facilities Management Plan are to do the following:

Responsively address ongoing maintenance needs.

- Maintain facilities for all modes of transit in a safe condition and in compliance with applicable codes and regulations.
- Provide for the inspection of buildings and major building components when they reach the end of their expected service life.
- Provide periodic inspections on all passenger amenities.
- Provide appropriate custodial care to clean and sanitize facilities.
- Properly prioritize facility maintenance, renovation, and replacement needs to best utilize available resources.
- Serve as the framework to be used in the management of CATS facilities when this work is contracted outside the department.
- Assign responsibility and provide planning for the maintenance and renewal of parking lots, driveways, walkways, plazas, and outdoor lighting which support CATS facilities.
- Promote the efficient and effective use of existing space.
- Implement energy saving and environmentally friendly improvements.

1.4 Management Responsibilities and Lines of Authority

The SMS Structure, CATS Organizational Chart and the Safety and Security organizational chart in Appendix A capture CATS lines of authority to manage safety issues.

1.4.1 Metropolitan Transit Commission (Equivalent Authority)

The Interlocal Agreement by and among the County of Mecklenburg, the City of Charlotte, and the Towns of Cornelius, Davidson, Huntersville, Matthews, Mint Hill, and Pineville established the Metropolitan Transit Commission and provides transit services through the metropolitan region.

The Interlocal Agreement mandated the creation of a chief transit official position, now titled Chief Executive Officer (CEO). The CEO of the Charlotte Area Transit System is also the Director of the Public Transit Department of the City of Charlotte and has responsibility for making recommendations to the MTC on transit planning and programming; for implementing the approved operating and capital programs; and for implementing the policies and actions approved by the MTC.

As the Equivalent Authority, the MTC will review and approve the ASP and any revisions to the ASP as required by 49 CFR 673. A copy of the MTC Resolution will be provided as evidence that the MTC has reviewed and approved the ASP (Appendix F).

1.4.2 Chief Executive Officer (Accountable Executive)

The Chief Executive Officer is accountable for ensuring that CATS Safety Management System (SMS) through the Agency Safety Plan is effectively implemented throughout the entire agency. The CEO is accountable for ensuring action is taken, as necessary, to address substandard performance in CATS SMS. The accountable Executive provides leadership and management oversight for the

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Executive and other divisions of CATS. The Executive Division includes Human Resources, Legal, and Civil Rights.

1.4.3 General Manager of Safety and Security (Chief Safety Officer and SMS Manager)

The CEO has designated the General Manager of Safety and Security (GM of S&S) as the Chief Safety Officer (CSO) and SMS Manager for CATS. The GM of S&S is adequately trained in safety and is empowered and authorized to administer a comprehensive integrated and coordinated ASP, including the day-to-day implementation and operations of the agency Safety Management System (SMS) program and for developing and maintaining the ASP in compliance with CFR 49 673. The CSO maintains CATS Safety program and acts as a liaison with first responders and emergency management. The GM of S&S may not serve in any other operational or maintenance capacities. The GM of S&S reports directly to the CATS CEO and informs the whole Leadership team on the status of the SMS and risks to CATS.

1.4.4 CATS Leadership and Executive Management

CATS Leadership Team consists of the CEO's direct reports. The CATS Leadership team is responsible for the communication, implementation, and management of their assigned responsibilities of the ASP.

1.4.5 Key Staff and Groups

The Chief Operating Officer is responsible for overseeing and performing complex professional leadership, direction, strategic planning and directing of BOD, Rail Operations Division, STS, and Facilities. The COO is responsible for managing CATS day- to- day operations and reporting them to the CEO.

The General Manager of Bus Operations has responsibility for CATS public transportation services including fixed-route and demand bus service, vanpool, and paratransit services for ADA-eligible riders.

The General Manager of Rail Operations and Facilities has responsibility for Rail Operations and Facilities Management.

The Chief Transit Financial Officer is responsible for Capital Budget and Operating Budget support. The Revenue Section receives, tracks, and distributes cash revenue.

The Director of Marketing/Communications maintains public information and involvement programs.

Information & Technology Director works with CATS and City IT to protect CATS Technology and integrate new technology with current technology.

Director of Development oversees implementation of the City of Charlotte Regional Transit System Plan, including project development, design and

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construction, as well as capital planning, transit asset management, real estate and transit-oriented development (TOD), Art-in-Transit program, engineering services, and Quality Assurance.

Director of Planning oversees service planning, development, and scheduling of bus and rail services as well as long range planning, coordination with Metropolitan Planning Organizations (MPO) and data analytics including Geographic Information Systems (GIS) and ridership reporting.

CATS Quality Assurance Section is responsible for oversight of the quality management system. CATS Quality Assurance section oversees the Policy and Procedure review process and participates in ASP audits.

City Procurement is a division within the City Department of General Services in the City of Charlotte. City Procurement has staff assigned to CATS procurements.

1.4.6 NCDOT State Safety Oversight

As required by 49 CFR Part 674, the State of North Carolina has designated the North Carolina Department of Transportation (NCDOT) to serve as the State Safety Oversight (SSO) Agency responsible for overseeing CATS' system safety and security programs as implemented and administered for CATS' rail transit system. NCDOT's authority as an SSO Agency is established by North Carolina Statute G.S. 136-18.

NCDOT's State Safety Oversight Program Standard (SSOPS) establishes the minimum requirements for the agency safety program that must be met by rail fixed guideway systems operating in the State of North Carolina. CATS is responsible for meeting the requirements of NCDOT's SSOPS and for complying with the requirements of 49 CFR Part 673.

1.5 Safety Responsibilities Task Matrix

Table 1 lists safety responsibilities by position and title. A description of the specific activities required to implement the ASP is included for all employees, agents, and contractors, as part of the ASP implementation plan.

Table 1 - Safety Responsibilities			
Position/Title	Safety Responsibilities (Areas refer to departmental/divisional responsibilities unless noted as system-wide)		
Chief Executive Officer	All system-wide/Accountable Executive		
Deputy Director/Chief Operating Officer	 Hazard Management Accident and Incident Investigation Risk Mitigation and Verification of Effectiveness Data Acquisition and Analysis Drug and Alcohol Program Rules and Procedures Facilities and Equipment Safety Qualification and Training Qualification 		

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Table 1 - Safety Responsibilities			
Safety Responsibilities			
Position/Title	(Areas refer to departmental/divisional		
	responsibilities unless noted as system-wide)		
	Employee and Contractor Safety		
	Configuration Management		
	Hazard Management for design and construction		
	Safety and Security Certification for Major Projects		
	System Modification		
Director of Planning	 Risk Mitigation for projects and Verification of 		
Director of Flamming	effectiveness		
	Safety and Security Qualification		
	Employee and Contractor Safety		
	Configuration Management		
	Hazard Management for design and construction		
	Safety and Security Certification for Major Projects		
	System Modification		
Director of Development	Risk Mitigation for projects and Verification of		
·	effectiveness		
	Safety and Security Qualification Safety and Contractor Sefety		
	Employee and Contractor Safety Configuration Management		
	Configuration Management Hazard Management		
	Hazard Management Assident and Insident Investigation		
	Accident and Incident Investigation Rick Mitigation and Varification of Effectiveness.		
	Risk Mitigation and Verification of Effectiveness Data Agguighting and Analysis		
	Data Acquisition and AnalysisDrug and Alcohol Program		
General Manager – Rail Operations	Rules and Procedures		
	Facilities and Equipment Safety		
	Qualification and Training Qualification		
	Employee and Contractor Safety		
	Configuration Management		
	Hazard Management		
	Accident and Incident Investigation		
	Risk Mitigation and Verification of Effectiveness		
	Data Acquisition and Analysis		
	Drug and Alcohol Program		
General Manager – Bus Operations	Rules and Procedures		
	Facilities and Equipment Safety		
	Qualification and Training Qualification		
	Employee and Contractor Safety		
	Configuration Management		
	Hazard Management		
	Accident and Incident Investigation		
	Risk Mitigation and Verification of Effectiveness		
Sr Managar Pus Operations/Special	Drug and Alcohol Program		
Sr. Manager – Bus Operations/Special Transportation Service (STS)	Rules and Procedures		
	Facilities and Equipment Safety		
	Qualification and Training Qualification		
	Employee Safety		
	Configuration Management		

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Safety Responsibilities (Areas refer to departmental/divisional responsibilities unless noted as system-wide) Service Implementation & Scheduling Manager System Modification	Table 1 - Safety Responsibilities			
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Table 1 - Safety Responsibilities				
	Safety Responsibilities			
Position/Title	(Areas refer to departmental/divisional			
	responsibilities unless noted as system-wide)			
	Rules and Procedures			
	Facilities and Equipment Safety			
	Configuration Management			
	Emergency Management			
	Data Acquisition and Analysis			
	Training Qualification			
	Employee and Contractor Safety			
	Hazard Management			
	Rules and Procedures			
Manager – Facilities Maintenance	Facilities and Equipment Safety			
Manager Fasinites Maintenance	Configuration Management			
	Training Qualification			
	Employee and Contractor Safety			
Supervisors and Managers	Comply with CATS Rules, Procedures and Policies			
	 Identify and report hazards through the 			
	appropriate chain of command and safety reporting systems			
	Assist, as necessary, in the investigation,			
	mitigation and elimination of hazards and unsafe conditions.			
	Oversee front-line employees to ensure			
	compliance with safe work practices and			
	adherence to policies and procedures			
	Support emergency situations			
	Provide appropriate training and tool talks			
	Evaluate employees for Reasonable Suspicion			
All Employees and Contractors	Comply with CATS Rules, Procedures and Policies			
	 Identify and report hazards through the appropriate chain of command and safety 			
	reporting systems			
	Support in the investigation, mitigation and			
	elimination of hazards and unsafe conditions.			
	Support emergency situations			
	Attend and participate in appropriate training and/or tool talks			

The Office of Safety and Security has established an SMS team comprised of three (3) SMS Coordinators and one (1) Senior SMS Coordinator to work on the implementation of SMS and the ASP. Their focus is to implement various programs/activities, such as hazard management processes, data collection, analysis, and reporting. Additionally, Office of Safety & Security works with procurement and project management to ensure appropriate ASP elements are incorporated into project documents and contracts.

1.6 Committees' Safety Responsibilities Task Matrix

Table 2 - Committees' Safety Responsibilities					
Name	Main Purpose				
Project Team meets as specified in Project Management Plans. Members: Led by Development - Coordinate with all divisions Chair(s): Project Manager(s)	 Provide oversight and coordination between all divisions and project committees Track and oversee all critical tasks are completed on time Allocate available resources as needed Coordinate with other City departments and external agencies as required 				
Safety and Security Review Committee (SSRC) meets monthly, or more frequently as necessary. Members: Rail Operations, Bus Operations, STS, Development, S&S, Technology, Facilities Management, Quality Assurance, CMPD Chair: GM Safety and Security delegated to the Rail Safety Manager	Review safety and security certification of system components including certifiable items lists and hazard analysis Hazard Management for Projects				
Safety and Security Committee (SSC) meets monthly or more frequently as necessary Members: Rail Operations, Bus Operations, STS, S&S, Technology, Facilities Management, Quality Assurance, CMPD, HR, Marketing and Communications, and Chairs of safety & security committees Chair: GM Safety and Security delegated to the Security Manager	 Review all safety and security efforts Hazard Assessments and Recommend Mitigations NCDOT reportable Incident/accident Investigation reviews Review security breaches Vehicle Accident Review Items escalated from Rail, STS, and Bus safety committees 				
Rail Safety & Security Committee (RSCC) meets monthly Members: S&S, QA, and frontline employees and management from MOW, RCM, Transportation, Rail Inventory, Facilities Management. The committee membership will be 50% Frontline and 50% Management at a minimum. Chair selected by committee members Rail Safety Liaison: Rail Safety Coordinator	Recommend Mitigations Identify and investigate rail safety				
Bus Safety & Security Committee (BSSC) meets monthly Members: S&S, BOD Operations and Maintenance supervisors and managers, frontline	 Hazard Assessments and Recommend Mitigations Identify and investigate bus safety & security issues 				

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Table 2 - Committees' Safety Responsibilities				
Name	Main Purpose			
employees from BOD Operators, Facilities Management, STS operator, STS supervisor				
Chair: Bus Safety Training Coordinator				
Fire-Life Safety Committee (FLSC) meets bimonthly, or more frequently as required.	 Act as liaison group with emergency response agencies 			
Members: S&S, Bus Operations, Rail Operations, Facilities Management, Risk Management, QA, Technology, CMPD, CFD, MEDIC, NCDOT –Rail Division, Project Staff (Design and Construction Chair: GM Safety and Security delegated to Bus Safety Coordinator	 Review designs, standards, and procedures Make recommendations Participate in emergency exercises 			

1.7 Employee and Contractor Reporting Program

CATS employees and contractors are held accountable for their safety performance and for compliance with rules and regulations. Employees who intentionally conduct unsafe acts will be disciplined commensurate with the offense per City, CATS, and contractor policies and procedures.

Employees are expected to address safety concerns within their control immediately. Employees are to report unsafe conditions and issues with procedural compliance to their supervisor or manager. If an employee feels that a safety concern is not being addressed promptly, the employee is encouraged to escalate unsafe issues to their safety committee representative, General Manager, or the Office of Safety & Security. CATS Management encourages employees to report safety concerns with no fear of reprisal. CATS Leadership will have no tolerance for any retaliation against employees, contractors or the public who report safety concerns. Reported safety concerns will be tracked in the appropriate hazard tracking format per the Hazard Management section of this ASP. For employee-reported safety concerns, where contact information is provided, the recipient of the safety concern is responsible to follow-up with the employee. The S&SF48 Safety Issues Reporting Form is available to all employees via city intranet or can be requested from employee's supervisor. This form can be completed by hard copy or emailed and submitted to supervisors or the Office of Safety and Security. Another method of reporting a safety concern is to send an email to reportsafety@charlottenc.gov. This email account is monitored by all Safety and Security managers. Any reported safety concern to this email address will be reviewed, added to the hazard safety log if applicable, and followed-up with the department manager and employee sending the email.

Reported safety concerns are tracked by the Rail and Bus Safety and Security Committee using safety concerns tracking logs. This information is shared with the Office of Safety and Security for review and to identify potential hazards that need to be mitigated through our Hazard Risk Management process.

The City of Charlotte maintains an Employee Hotline that allows for anonymous 24/7 reporting of Abuse, Fraud, and Safety and Waste violations. The hotline should only be used

in instances when employees are not comfortable reporting directly to Human Resources, management or the Office of Safety and Security. CATS Safety and Security managers are part of the Employee Hotline process.

Details on the Employee Hot Line are communicated on the City's CNET and at City offices/facilities throughout the City.

Examples of reportable offenses for safety include:

- Witnessing or experiencing unsafe working conditions or behavior that compromises one's safety or the safety of others.
- Equipment or facility maintenance issues that can lead to unsafe working conditions.

Employee Hotline process:

- An employee can either call in or email a safety concern. Reports are kept anonymous and confidential.
- Once the incident has been reported, the employee will be given a unique report number
 by the Hotline Operator which will allow them to call in or email at a later time to either
 provide additional information or to follow up on the report status.
- The report will then be provided to the CATS Office of Safety and Security for an initial screening for review and action.
- The issue will be reviewed, and a determination will be made: unfounded; credible with immediate resolution or mitigation; or credible with long term mitigation until final solution can be made. Responses to how the issue was addressed are sent back to the Hotline administrator.
- An anonymous employee can call or email with their assigned unique number to hear the determination, mitigation, or resolution.
- CATS Safety and Security will submit all appropriate documentation and reports to the third-party administrator who manages the Hotline who will confirm in writing the information was made available to the anonymous employee.

Rail Only NCDOT Direct Reporting process:

Any person(s) wishing to report an allegation of noncompliance with the RTA's ASP to the NCDOT may do so by contacting NCDOT directly:

- Phone: (877) 368-4968 or
- On-line: https://www.ncdot.gov/contact/Pages/default.aspx.

This contact information will be posted, at a minimum, in rail dispatch offices, rail operations control rooms, and lunch/breakrooms.

1.8 Safety Plan and Policy Dissemination

All CATS employees receive training on the ASP and CATS Safety Policy. CATS EX03 Safety Policy is communicated by all divisions during New Hire Safety training and is available on CATS CNET site with CATS Policies and Procedures. CATS Policies and Procedures (including CATS Safety Policy) are available on CATS CNET site and at key

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locations throughout CATS. ASP training for current employees includes training on the ASP and CATS Safety Policy including the employee's roles and responsibilities. The ASP is a controlled document that CATS QA manages through CATS QA02 Control and Distribution of Plans, Manuals, Policies, and Procedures to ensure only the most current revision of the document is available to employees.

1.9 Emergency Preparedness and Continuity Plan (EPCP)

CATS EPCP incorporates the FTA requirements for an Emergency Preparedness and Response Plan. The EPCP provides planning and program guidance to ensure that CATS is capable of conducting its Mission Essential Functions under all threats and conditions. The EPCP also includes CATS Continuity of Operations Plan (COOP) which describes how CATS will continue to operate under conditions where various resources are impacted.

The CATS EPCP is maintained by CATS Quality Assurance and is a stand-alone document that can be reviewed on site by both internal and external authorized personnel as requested.

1.10 Integration of Safety Function

The ASP serves as a blueprint for the organizational integration of the safety function and its effective implementation ensures a safe functioning system. The safety function is integrated throughout all operations and activities of CATS through the delegation of safety functions and safety responsibility via CATS Safety Policy Statement from the CEO to all employees and contractors to include safety requirements, responsibilities and objectives into the work plans of managers and supervisors. Managers and supervisors are responsible for promoting the safety of all employees and customers. Safety is incorporated into employee training provided by CATS Instructors.

Bus and rail operators and supervisors must be aware of conditions which may affect passenger safety and report problems so that they may be corrected. The Manager of Safety for Bus or Rail is notified of safety issues through various mechanisms described in this ASP and participates in the hazard resolution process, along with the General Manager of Safety and Security.

Safety performance is measured through the monthly tracking and corporate reporting of indicators such as passenger and transit facility occupant injuries and injury rates as reported to the FTA's National Transit Database. In addition, the Rail Hazard Tracking Log is submitted to NCDOT on a quarterly basis, and as a one-year log annually after end of the calendar year.

1.11 Safety Plan Implementation Tasks and Activities

Activities required to implement the ASP that were identified during the development of the ASP and identified in gaps are captured in Appendix I on the CATS Implementation Timeline. CATS shall provide the CATS ASP implementation plan to NCDOT quarterly or as requested. Key processes not included or referenced in this ASP can be found in CATS plans, manuals, policies, and procedures that are controlled in the CATS' Quality Management System and processes.

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Section 2 Safety Risk Management (SRM)

2.1 Overview

Safety Risk Management is the process for identifying hazards and analyzing, assessing, and mitigating safety risk.

Hazard identification and resolution is one of the goals of the CATS System Safety Program. This process is applicable to all levels of the organization. It is how hazards are identified and analyzed for potential impacts and severity on the transit system. It also describes how identified hazards are resolved in a manner acceptable to management.

CATS defines a hazard as a condition or set of conditions, internal or external to the system or system operation, that can cause injury, illness, or death; damage to or loss of facilities, rolling stock, or infrastructure of CATS equipment or property; or damage to the environment.

The CATS Office of Safety and Security, under the direction of the General Manager of Safety and Security, is directly responsible for the implementation of the CATS Hazard Management Process. This includes:

- developing, updating, and auditing the Hazard Management Process;
- training all designated CATS employees and its contractors on the Hazard Management Process; and
- maintaining the Rail Safety and Bus Safety Hazard Registers.

2.2 Hazard Management Process

2.2.1 Hazard Identification

Methods of Hazard Identification of Day-to-Day Operations

- 1. Job Hazard Analysis will be conducted in Bus and Rail Operations and Maintenance as part of the implementation plan.
- 2. Hazards that are identified as a result of accidents/incident investigations.
- 3. System and facility inspections that identify hazards or unsafe conditions
- 4. Safety issues or hazards identified during scheduled audits (Internal Safety Review Program, ASP Section 3.2) and unscheduled audits, as warranted by staff
- 5. Employee observations of unsafe conditions or behavior which can be reported verbally or through completion of a written safety report.
- 6. Safety staff regularly reviews bulletins or advisories, SSOA inputs, and general industry trends to determine their applicability as inputs into the safety management and/or hazard analysis process
- 7. Operational data reports (e.g. SPEAR, ROCC/BOCC & key process indicator reports) are reviewed on an ongoing basis to identify known or potential issues that can have an impact on safe operations
- 8. Safety issues brought to the various safety committees
- 9. Customer, contractor, and employee complaints
- 10. Hazards identified by NCDOT SSO or FTA

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11. Hazards identified during annual Transit Asset Condition Assessment

2.2.2 Addressing Identified Hazards

The system to be analyzed is defined by its physical and functional characteristics, including:

- People
- Procedures
- Facilities & Equipment
- Operating Environment

CATS QA05 *Nonconformity and Corrective Action* procedure identifies the steps for addressing nonconformances which include hazardous conditions identified in section 2.2.1.

For employee identified unsafe conditions, employees are expected to address safety concerns within their control immediately. Employees are expected to report unsafe conditions and issues with procedural compliance by speaking with or emailing a written safety report to their supervisor or manager. Employee Handbooks describe the unusual circumstances that must be reported to their control center. If an employee feels that a safety concern is not being addressed in a timely manner, the employee is encouraged to escalate unsafe issues by speaking with or e-mailing their safety committee representative, General Manager, or the Office of Safety & Security.

Identified hazards will be rated based on the Hazard Risk Assessment described in Section 2.3 below which follows the MIL-STD-882E for rating identified hazards. As part of the implementation plan, Bus, Bus Safety, Rail, Rail Safety, Facilities, and STS will maintain their own Hazard Management Logs.

Acceptable hazards (1E, 2D, 2E, 3C-3E and 4A-4E) that are not immediately resolved will be reported to the appropriate section to address as time and resources are available. "Acceptable with Review" and "Acceptable without Review" hazards will be managed by supervisors/managers to closure and maintained on their Hazard Management Log.

Undesirable Hazardous Conditions (1D, 2C, 3A, and 3B) must be reported by e-mailing a written safety report to the General Manager, the SMS Manager and the CSO unless it is already mitigated per the Division's Hazard Management Log. The General Manager and the SMS Manager or CSO will ensure that a risk mitigation is documented on the Risk Register and in place for any undesirable safety issues.

Unacceptable Hazardous Conditions (UHCs) (1A, 1B, 1C, 2A and 2B) must be reported immediately by e-mailing a written safety report to the General Manager of Safety and Security. The General Manager and the SMS Manager or CSO will ensure that a risk mitigation is in place for any unacceptable safety issues. Unacceptable Hazardous Conditions must be mitigated in the most expedient manner before returning to normal service. The CSO will notify the CEO

immediately by phone or e-mail of any Unacceptable Hazardous Conditions and the mitigations that were put in place. When the mitigations that are put in place reduce the hazardous condition to Undesirable or better, the CSO will recommend return to normal service to the CEO who will approve the recommendation after review. CATS shall notify NCDOT of an Unacceptable Hazardous Condition (UHC) within two hours, via email or phone, regardless of the time of day. All other hazardous conditions and on-going resolutions will be reported quarterly to NCDOT with the Hazard Management Log.

2.2.3 Methods for Continuous Hazard Identification and Targeted Campaigns

The methods used for hazard identification as mentioned above in Sections 2.2.1 and 2.2.2 are done on a continuous basis based upon inspection intervals and investigating safety complaints. Based on the hazards identified through these methods, safety-specific topics or inspections will be conducted to address issues identified from the data analysis.

2.2.4 Hazard Management Logs

As part of the implementation plan, and to ensure the sharing of safety data and information, Hazard Logs and Risk Registries will be available electronically in an accessible location for appropriate employees to access and review. Hazard logs and risk registries are living documents and are reviewed and updated at a minimum quarterly. The Office of Safety and Security has appointed SMS Coordinators to various departments in CATS who will be responsible for maintaining, updating, and setting up the hazard log to ensure adequacy and appropriateness of the hazard log.

The Rail Safety Office is responsible for identifying those rail issues from accident/ incident reports and SPEAR entries which are significant enough to pose an undue hazard to employees or passengers and facilitate tracking of progress toward resolving those issues. This is done by tracking all safety issues and hazards in the Rail Hazard Management Log, which tracks those items of interest in terms of the problems discovered, the desired resolution, the individual responsible for resolution, and the progress. This log includes safety audit issues, post-accident or incident issues, individual hazard reports and those items cited by the safety committee. As items are corrected, those corrections are noted on the log and closed out as appropriate. The Office of Safety reviews these items on an ongoing basis, and when unacceptable delays are encountered in resolution, the items are escalated to appropriate senior management for assistance in resolution and closure. Additionally, when Rail Operations is considering alternate materials or software instead of the Original Equipment Manufacturer (OEM) product or to change any configurations to the existing systems, it must be approved by the Rail Change Control Board per CATS ROD801 Configuration Change Control.

The Rail Safety Office provides quarterly updates of Hazardous Conditions to the SSOA.

The Bus Hazard Log is created from reported BOCC or supervisor generated incident/accident reports. It could also come from an operator statement that gets forwarded to Bus Safety.

As part of the implementation plan, Divisions will manage their Hazard Tracking Logs to reflect the status of identified hazards. The Hazard Tracking Logs will be managed to eliminate, reduce, or control each hazard to an acceptable level. Identified hazards will be assigned a hazard rating. The Safety Manager and General Manager will review hazard ratings and status of the Hazard Log on a monthly basis. When an item is added by the Office of Safety, the Division Manager will be notified by e-mail. Hazard Tracking Logs will be distributed to CATS Leadership on a monthly basis. Hazard Tracking logs will be distributed to the SSC on a quarterly basis for review and discussion.

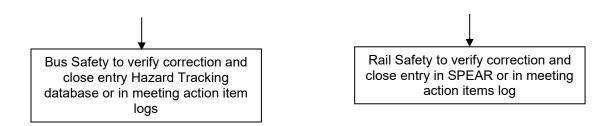
Hazard Identified Bus or rail? Bus Rail Hazard information provided to Bus Hazard information provided to Rail Safety or entered in SPEAR Safety No No Safety Closed Safety Closed Item Item Found Found Yes Yes Safety item entered into SPEAR for Safety item are entered into the Hazard Tracking database or tracking or captured in meeting captured in meeting action items action items and assigned hazard and assigned hazard rating rating Rail Safety to work with responsible CATS Bus Safety to work with responsible division or Safety Committee to correct CATS division or Safety Committee to safety item correct safety item

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Figure 1 - Hazard Tracking Process

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Utilizing the information collected in the various safety reports, the Chief Safety Officer will provide a monthly safety summary to the MTC, CATS CEO, and CATS employees. TV screens are centrally located in areas (e.g. breakrooms) to display safety information, Chief Safety Officer's monthly report, alerts, statistical information, and other safety education materials for employees who do not have access to e-mail. The CATS CEO will receive safety updates during the Senior Leadership meetings.

2.2.5 Safety Risk Register

As part of the implementation plan, the Office of Safety and Security along with Quality Assurance will manage the Risk Registry that will be distributed to each division to use to track risks. The Safety Risk Registers will capture, manage, and mitigate identified Undesirable and Unacceptable Hazardous Conditions. The register will include, at a minimum, the hazardous condition, potential consequences of the hazard, safety risk assessment for each potential consequence, mitigation that is in place and the hazard rating after mitigation, monitoring activities, and responsibilities for monitoring.

A summary report of the updates and status of the Risk Register will be provided to the CEO and CATS Leadership Team monthly.

2.3 Safety Risk Assessment

2.3.1 Hazard Analysis Processes

Risk Assessment is a quantitative calculation based on largely **subjective judgments** used to determine the risk associated with each hazard and thus the urgency for implementing corrective measures to eliminate or reduce risk to a level of acceptability.

Risk Assessment is comprised of evaluating hazard severity (categorizing the hazard) and evaluating hazard probability. The factors considered in this analysis include system safety, schedule, and the impact on the public's perception of safety on the system in the community where CATS operates.

2.3.2 Safety Risk Indexing (Likelihood and Severity of Consequences)

Table 3 - Hazard Severity Categories			
Severity Category Characteristics			
Catastrophic	1	May cause death, system loss, or severe disruption of service system wide.	
Critical	May cause severe injury, severe occupational illness, majo system damage, or major system wide disruption of service		
Marginal	3	May cause minor injury, minor occupational illness, minor system damage, or minor system disruption of service.	
Negligible	4	Less than minor injury, occupational illness, system damage, or less than minor system disruption of service.	

Hazard severity is a subjective determination. With historical data, an objective determination applicable specifically to CATS can be derived. The determination reflects a credible mishap that could be anticipated to result from human error, procedural deficiencies, design inadequacies, component failure, or malfunction. Hazard Severity at CATS is based on the *Department of Defense Standard Practice for System Safety* (MIL-STD-882E) as follows:

Hazard Severity Categories

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 or system safety.

2.3.3 Hazard Probability

The probability of a particular event or a specific hazard occurring may be defined as a ratio of the number of times that a specific event occurs to the total number of trials in which this event may occur during the planned life expectancy of a system. Generally, hazard probability is described quantitatively 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 CATS safety data, or from historical safety data from other passenger rail systems.

Table 4 - Hazard Probability Categories			
Probability Levels Description	Level	Specific Guidance	
Frequent	Α	Likely to occur frequently to an individual item. Continuously experienced in the system.	
Probable	В	May occur several times in the life of an item. May occur frequently in the system.	
Occasional	С	Likely to occur sometime in the life of an item. May occur several times in the system.	

Remote	D	Unlikely, but possible to occur in the lifetime of an item. Unlikely, but can be expected to occur at some time in the system.
Improbable	E	So unlikely to occur, it can be assumed occurrence may not be experienced. Unlikely, but possible to occur in system.
Eliminated	F	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.

2.3.4 Hazard Probability Categories

Hazard Risk Assessment

CATS 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 risk assessment system has been incorporated into the formal System Safety Analysis which enables CATS 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 Risk Assessment Matrix identifies the risk assessment index based upon hazard category and probability and the criteria for defining further actions based upon that index.

Table 5

MIL-STD-882E Risk Assessment Matrix				
SEVERITY	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	1A	2A	3A	4A
Probable (B)	1B	2B	3B	4B
Occasional (C)	1C	2C	3C	4C
Remote (D)	1D	2D	3D	4D
Improbable (E)	1E	2E	3E	4E
Eliminated (F)	ELIMINATED			

Hazard Risk Index	Criteria by Index
	Unacceptable (Immediate Action Required)
	Undesirable (Management Decision Required)
	Acceptable with Review by Management
	Acceptable without Review
	Potential Hazard was Identified and Eliminated

Risk Assessment Matrix and Hazard Risk Index

Follow-up actions resulting from the Risk Assessment are as follows:

Unacceptable: The hazard must be mitigated in the most expedient manner possible before normal service may resume. Interim corrective action may be required to mitigate the hazard to an acceptable level while the permanent resolution is in development.

Undesirable: A hazard at this level of risk must be mitigated unless a documented decision to manage the hazard until resources are available for full mitigation is issued by executive management and forwarded to NCDOT for review and approval/disapproval.

Acceptable with review: The Office of Safety and Security must determine if the hazard is adequately controlled or mitigated as is.

Acceptable without review: The hazard does not need to be reviewed by management and does not require further mitigation or control.

The Risk Assessment Process is used to prioritize hazardous conditions and focus available resources on the most serious hazards requiring resolution.

Unacceptable and undesirable safety conditions identified during the Transit Asset Condition Assessment as described in CATS TAMP Section 2.0 will be reported to the OS&S immediately.

2.3.5 Risk Tolerability Non-Consensus Procedures

In situations where there is non-consensus on Hazard Risk Assessment ratings, the Subject Matter Expert (internal or external) will take the lead in providing information to the CSO/SMS Manager and Operations Manager to promote resolution of non-consensus. If consensus is not reached, the Accountable Executive or their designee will make the final decision.

2.4 Safety Risk Mitigations

2.4.1 Resolving Hazardous Conditions

A number of different means are employed to resolve identified hazards. These include design changes, the installation of controls and warning devices and the implementation of special procedures or training. The order of precedence for resolving hazards is as follows based on available funding:

Design for Minimum Risk

The first priority is to eliminate hazards through engineering and design. This is applicable for facilities, rolling stock and equipment, park & rides, routes, transit stations, and product selection, etc.

Safety Devices

Hazards that cannot be eliminated or controlled through design selection shall be controlled to an acceptable level using fixed, automatic, or other protective safety design features, devices, or personal protective equipment. Provisions shall be made for periodic functional checks of safety devices.

Warning Devices

When neither the design nor the safety devices can effectively eliminate or control an identified hazard, devices shall be used to detect the condition and to generate an adequate warning signal to correct the hazard or provide for personnel evacuation. Warning signals and their application shall be designed to minimize the probability of incorrect personnel reaction to the signals and shall be standardized within like types of systems.

Procedures and Instruction

Where it is impossible to eliminate or adequately control a hazard through design selection or use of safety and warning devices, procedures and training shall be used to control the hazard. Procedures may include the use of personal protective equipment. Precautionary notations on signs shall be standardized as specified by management. Safety critical tasks and activities may require certification of personnel proficiency.

CATS Business Planning Process in the CATS Quality Manual describes the budget cycle for all CATS divisions. It is the responsibility of each CATS division/section to prioritize risks based on the Hazard Management process using Hazard Ratings to help resolve identified hazards.

2.4.2 Evaluation of Current Mitigations

Whatever the decision with respect to a particular hazard, mitigations, and Corrective Action Plans (CAPS) must be monitored for effectiveness and to ensure that another hazard has not been introduced. CAPS are verified by Safety Assurance activities that are tracked in the ISA schedule, Operational Audits tab. If a risk mitigation is not effective or appropriate, the safety risk control should be reviewed through the Safety Risk Management and Hazard Analysis process.

2.4.3 Risk Mitigation Implementation and Tracking

Mitigations that have been implemented are tracked in Hazard Management logs by the Division/Section and/or the Safety Risk Register. The person assigned the mitigation will be responsible for tracking and reporting on the status of the mitigation through closure.

Corrective Action Plans

A plan developed by a Rail Transit Agency (RTA) that describes the actions the RTA will take to minimize, control, correct, or eliminate risks and hazards, and the schedule for taking those actions. Either a State Safety Oversight Agency (SSOA) or the Federal Transit Administration (FTA) may require an RTA to develop and carry out a Corrective Action Plan. CAPs will follow the format described in Section 3.4.8.3.

2.5 Safety Data Acquisition and Analysis

2.5.1 Data Acquisition Process

The Office of Safety and Security monitors the safety performance of the various CATS operations. Accident, incident, injury, and other safety data is collected throughout the organization and analyzed to determine trends within the organization. The safety data collected is analyzed to determine if safety performance meets established safety objectives. The accident and incident data assists in identifying service areas that generate a higher percentage of accidents or potential for higher accident rates.

The safety data that is collected includes injuries to passengers, CATS personnel, and the public; hazardous equipment failures; unacceptable hazardous conditions; vandalism and security hazards; and rules and procedures violations. The Office of Safety and Security analyzes safety-related data for the purpose of implementing corrective action to assist in prevention or reoccurrence of hazards.

2.5.2 Data Reporting to Safety Function (process)

The Office of Safety and Security analyzes the data from SPEAR reports, incident investigations, safety committees, field inspections, police reports, and Risk Management. The Office of Safety and Security also uses the data acquisition and analysis process to identify system trends and to monitor safety and security program performance. The Office of Safety and Security provides monthly safety program performance reports to executive management and employees.

Currently, safety performance (NTD) reports are submitted to FTA on a monthly and annual basis. The report contains injury data regarding passengers, CATS personnel, and customer/public accidents and incidents. The Office of Safety and Security, based on FTA established guidelines, compiles safety data for the overall CATS organization. The report summarizes accidents and incidents into three categories: minor incidents, major incidents, and safety/security issues. CATS

uses this report to establish safety performance goals and objectives for each coming fiscal year.

2.5.3 Access to Data

The Office of Safety and Security has access to data from various divisions within CATS. The information regarding accidents, incidents, and hazardous conditions of the various CATS divisions are obtained from several different reporting mechanisms. These include, but are not limited to the following reports:

- Accident/Incident Database (Bus)
- Accident/Injury Reports
- Audit/Inspection Reports
- Automatic Vehicle Locators (Bus)
- CCTV Video
- Daily Operations Summary
- Employee/Occupational Injury reports
- Incident Reports
- National Transit Database (NTD) Safety and Security reporting module
- SPEAR Database Material Maintenance Management System (MMMS)

2.5.4 Use of Data (Trend Analysis)

Hazard data and accident/incident data is compiled and analyzed by the Office of Safety and Security. When longitudinal data indicates undesirable trends, the Office of Safety and Security will investigate to determine causal factors, where possible, and identify factors contributing to any increases of probability or severity. Interviews with personnel in the affected division(s) may be conducted. The various Safety teams identify hazards, areas susceptible to accidents/incidents, traffic problems, and other critical factors and develop mitigation strategies to address the potential consequences of identified hazards.

Section 3 Safety Assurance (SA)

3.1 SA Implementation Process

Safety Assurance involves processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of a transit agency's program. This involves monitoring key aspects of the operation for effectiveness and ensuring that no new hazards have been introduced into the system. This ongoing attention also provides for identification of new hazards as changes to the operation form, fit, or function are made.

3.2 Internal Safety Audit Program

3.2.1 Overview

The purpose of internal system safety audits is to evaluate the effectiveness and safety performance of the implementation of the ASP and SMS by CATS Divisions. The Office of Safety and Security and Quality Assurance are jointly responsible for the direction of the safety reviews and audits of CATS divisions and contractors to determine performance related to the System Safety goals and objectives. The Internal Safety Audit (ISA) Team will be led by the Office of Safety and Security or Quality Assurance with support from division staff or external agencies.

All CATS divisions and contractors are subject to safety audits. The criticality of certain operations requires rigorous development of reviews and audits. These include training, maintenance, and operations activities. Both periodic and nonotice inspections are undertaken to address all aspects of the activity, including documentation, practices, and compliance with this ASP, CATS policy and other requirements. The Internal Safety Audit team reviews training, practices, and procedures to correct deficiencies identified during the conduct of audits or other safety activities, including inspections and emergency drills.

3.2.2 Purpose and Scope

The purpose of internal safety audits is to confirm all safety components are in place and assigned safety tasks and activities are being accomplished. This provides an additional means of documentation for senior management to verify how well each division is fulfilling their safety-related goals and objectives as required in the ASP.

Organizational functions subject to the safety audit process include:

- Facility inspections
- Maintenance audits/inspections
- Review of rules, standard operating procedures, special bulletins, and orders
- Review of training/retraining programs
- Emergency response planning, coordination, and training
- Configuration Management
- Systems modifications (review and approval)

- Safety data analysis
- Employee safety programs
- Hazardous materials program
- CATS safety goals and objectives
- Occupational safety and health programs
- Contractor safety
- Procurement and specification engineering
- Drug and Alcohol Testing Program
- Any aspect or responsibility as outlined in this document

Pursuant to 49 CFR 673 and NCDOT SSOPS Section 4.7, the Internal Safety Audit process must evaluate the following components:

1. Safety Management Policy § 673.23(a)

- 1. Goals and Objectives § 673.23(a)
- 2. Management Accountabilities and Responsibilities § 673.23(d)
- 3. Employee Reporting Program § 673.23(d)
- 4. Safety Policy Dissemination § 673.11(a)(5)
- 5. Reference to Emergency Management Plan (EMP) § 673.21(a)-(d)
 - (a) Safety Management Policy Section§ 673.23
 - (b) Safety Risk Management Section§ 673.25
 - (c) Safety Assurance Section§ 673.27
 - (d) Safety Promotion Section§ 673.29

2. Safety Risk Management (SRM) Section§ 673.25(a)-(d)

- SRM Process
- 2. Hazard Identification
- 3. Safety Risk Assessment
- 4. Safety Risk Mitigations
- 5. Safety Data Acquisition and Analysis

3. Safety Assurance Section§ 673.27(c)

- 1. SA Implementation Process
- 2. Safety Performance Monitoring and Measurement
- 3. Internal Safety Review Program
- 4. Coordination with Hazard Management Program
- 5. Management of Change

4. Safety Promotion Section§ 673.29(a)-(b)

- 1. Safety Plan Dissemination
- 2. Safety Plan Review and Modification
- Safety Plan Implementation Tasks and Activities (including responsibilities matrix)
- 4. Employee and Contractor Safety Programs (knowledge and compliance)
- 5. Compliance with Local, State, and Federal Requirements
- 6. Training and Certification Program
- 7. Safety Communication and Outreach
- 8. Environmental Management Program

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3.2.3 City and CATS Divisions Subject to Internal Safety Audits (ISAs)

- Bus Operations including STS
- Rail Operations
- Facilities Management
- Safety and Security
- Quality Assurance
- Marketing and Communications
- CATS Technology
- City Procurement
- City HR
- Finance/Revenue

3.2.4 ISA Process

The General Manager of Safety and Security is responsible for the management of the Internal Safety Audit Program. All CATS divisions are required to cooperate fully with the ISA team. Executive and senior managers ensure that their divisions participate fully in the safety audit process. CATS Quality Assurance and Safety and Security will jointly conduct safety audits.

3.2.5 ISA Cycle / Schedule

Over a three-year period, key components of the ASP must be audited at least once. The CATS Internal Safety Audit Process is intended to be a continuous safety review process. The Office of Safety and Security and Quality Assurance will jointly develop and annually submit a comprehensive Internal Safety Audit schedule to NCDOT each December, detailing when it will audit the Agency Safety Plan components over the three-year period. The schedule is revised as necessary to accommodate schedules for auditors and the audited divisions. CATS QA100 Quality Audits outlines the process to be followed for ISA.

The ISA team will identify the components of the annual safety performance assessment based on SMS and conduct a safety assessment annually to verify compliance to audit schedule.

The ISA lead auditor notifies the division/organization and NCDOT a minimum of 15 days in advance of a scheduled safety audit. This notification must include the audit checklist for the sections of the ASP to be audited.

3.2.6 Integrity of Review Process

To maintain the integrity of the review process, an ISA team is used to conduct safety audits. The lead auditor will be a qualified person from Quality Assurance or the Office of Safety and Security. The Office of Safety and Security does not lead audits/reviews of those functions and components for which it is directly responsible to implement. These components are audited by Quality Assurance personnel, or an independent member of the audit team. No team member shall audit a function or activity for which he/she is responsible. The lead auditors will

be certified to conduct audits by accredited bodies such as the Transportation Safety Institute (TSI), American Society for Quality (ASQ).

3.2.7 ISA Checklist Development Process

Audit checklists are developed in advance and submitted to NCDOT for review and approval. Checklists are prepared during the review of the documents referenced in the ASP section; previous audits; audit findings; and corrective actions. Audit checklists are provided to the organization or division being audited and to NCDOT a minimum of 15 days in advance of the audit.

Pre-audit and post-audit conferences are held by the audit team, as appropriate, with the entity being audited. The safety audits are comprised of record reviews, interviews, field observations and inspections, and measurements to verify the accuracy of documentation and spot inspections of facilities and equipment to verify compliance with the ASP, procedures, codes, and regulations.

The following list of documents may be used to support development of the audit checklists:

- ASP, SSP, and EPCP
- Rule Book(s), bulletins, and procedures
- Standard and emergency operating procedures
- Training program documentation
- Management and/or administrative plans/procedures
- Design standards and criteria
- Accident and investigation reports
- Hazard tracking logs
- Corrective Action Plans
- Previous audit reports
- Other sources as determined by NCDOT SSO upon request

3.2.8 ISA Audit Report

The Office of Safety and Security will provide a draft safety audit report to NCDOT SSO for approval within sixty (60) calendar days of the audit closure meeting. NCDOT SSO makes changes/ recommendations to the audit report prior to final issue of the report.

Upon completion of each audit report, the Office of Safety and Security issues a final report of the results and specifies areas of deficiency, including cause; prepares recommendations; proposed CAP(s) to address noncompliance; and distributes copies of the report to CATS Chief Executive Officer, Quality Assurance Manager, Safety and Security staff, and the audited Division.

Responsible Divisions are expected to determine the cause of nonconformances and to develop corrective actions, though the audit team may make recommendations and must approve corrective actions. The results of the audit

are used for positive corrective action, not as an internal regulatory process. Safety Audit coordination meetings and management briefings are held to review areas of concern or disagreement over findings and evaluate possible corrective actions. Safety and Security personnel monitor and track corrective actions with the affected divisions to ensure implementation.

Safety and Security personnel submit the CAPs (for Rail only) to the NCDOT SSO for review and approval in accordance with Section 3.4.8.3 - *Corrective Action Plans*. Safety and Security personnel track the implementation of the NCDOT-approved CAPs through closure. Safety and Security will also provide the CAPs to the audit team after the CAPs are approved by NCDOT SSO.

3.2.9 Annual Review Report

An Annual Safety Activities Report is provided to the CEO and to the NCDOT SSO for review and approval on or before February 15th. The report includes:

- results of the internal Safety Audit Process for the calendar year in terms
 of the adequacy and effectiveness of the ASP and the status of
 subsequent findings and corrective actions,
- a summary of the Emergency Management Program,
- the internal safety audits planned for the upcoming calendar year,
- a summary of all hazards identified during the previous year and corrective actions taken to address these hazards,
- a summary of all reportable accidents/incidents,
- status of resource allocation plan for SMS implementation, and
- identification of staff designated for implementation of ASP/SMS implementation and safety oversight at CATS.

Along with the annual report, CATS must include a formal letter signed by the CEO certifying CATS is in compliance with its ASP. If the safety audit's findings indicate noncompliance with its ASP, the CEO must identify in the formal letter the nature of the noncompliance and the steps CATS will take to achieve compliance. An implementation schedule detailing when compliance will be achieved may also be provided.

3.2.10 Coordination with SSO Program

As noted above, the following aspects of the Internal Safety Audit Process are coordinated with NCDOT per the current SSOPS:

- Internal Safety Audit Cycle and Schedule
- Safety Audit Checklists
- Actual dates of each safety audit
- Each Safety Audit Report
- Corrective Action Plans
- Annual Safety Activities Report
- CEO Annual Certification

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3.2.11 Corrective Action Follow-up Procedures

Findings from Safety audits will be added to the appropriate Hazard Management Log by the lead auditor per the Hazard Management Process. If applicable, a CAP will be created per Section 3.4.8.3 - *Corrective Action Plans*. Corrective action plans are reviewed monthly by the SMS manager or designee to provide oversight and direction for corrective action activities in order to resolve hazardous conditions and deficiencies. Any hazardous condition/deficiencies that are rated as Unacceptable will be reported by the Chief Safety Officer or SMS Manager to the CEO per the Hazard Management Program. The CSO will include a summary of safety deficiencies identified during audits as part of the hazardous conditions monthly report to the CEO.

3.3 Maintenance and Inspection Program for Vehicles, Equipment, Systems, and Infrastructure

3.3.1 Facilities and Equipment Subject to Inspections

Periodic inspections are made of all CATS facilities and equipment to ensure they are maintained in a state of good repair; clean, safe, and functional to safeguard employees, visitors, and passengers.

CATS Facilities Management Plan identifies the responsibilities for facilities and equipment maintenance. Inspection schedules are included as an appendix to the Facilities Management Plan. Facilities Management performs inspections of CATS facilities (South Boulevard Light Rail Facility, South Tryon Bus Facility, and Davidson Street Bus Facility), as well as all transit centers, park and rides, bus stops, light rail stations, streetcar stops and amenities. They also contract the inspection and maintenance of facilities equipment. The Facilities Management Plan identifies the priority structure assigned to Work Orders generated from inspections. Operational/Safety Related items are priority one with a targeted response time of four hours or less. Facilities Management will immediately notify the Office of Safety and Security when an urgent safety issue is identified.

Items are inspected and maintained in accordance with the manufacturer's recommendations, Facilities Management Plan, SOPs and CATS standards by Facilities Management staff, Bus and Rail Operations staff or contractors.

Shop equipment is maintained and serviced according to manufacturer's recommendations and the Facilities Management Plan. In certain facilities, the services of outside vendors are required for servicing specialty items such as lifts, hoists, and fire detection and suppression systems.

A member of the Office of Safety and Security staff completes a quarterly safety inspection of transit facilities and light rail stations that covers a variety of OSHA 1910 and 1926 considerations in the facility such as housekeeping, fire extinguishers and guard rails/stair-rails in place. The Office of Safety and Security forwards the inspection reports to the responsible division/sections for resolution.

Rail Car Maintenance conducts daily inspections of vehicles before releasing vehicles into revenue service. Bus Maintenance conducts an inspection of buses and reviews operator inspection cards when buses go for fueling. Any safety critical items identified will result in the vehicle being taken out of service for repair prior to release to revenue service.

Operators perform pre-trip inspections of vehicles prior to entering revenue service. Results of these inspections are documented on the pre-trip inspection card and submitted to Maintenance for follow-up and repair. Inspections are conducted to ensure that vehicles are safe, clean, reliable, and ready for revenue service. Any safety critical items identified will result in the vehicle being taken out of service for repair prior to release to revenue service.

CATS Transit Asset Management (TAM) Program will be establishing the direction for Asset Management Policies. The program will establish the divisional roles and responsibilities as stated in the CATS TAM Implementation Plan. The process will tie into the review of State of Good Repair and any Unacceptable or Undesirable Hazards will be addressed by following the Hazard Management Plan in the ASP. A report rating deferred maintenance items will be provided by Operations and Facilities at the monthly Safety and Security Committee (SSC). Updated TAM information is included in the data report and associated narratives submitted annually to the FTA's National Transit Database. Additionally, as requested by NCDOT SSO, CATS is providing a monthly Asset Management Status Report until all inventoried assets are assigned a condition rating of 3.0 or above.

Beginning in 2023, CATS shall submit a draft and final copy of its electronic annual report for the RTA's capital assets inventory and SGR ratings within fifteen (15) calendar days of the RTA's annual submittal to FTA.

3.3.2 Systems and Facilities Subject to Maintenance Programs

CATS ROD600 Preventive Maintenance Requirements for Rail Systems summarizes the maintenance and inspections performed by the Rail Maintenance of Way division. The Maintenance of Way division performs the following inspections in accordance with the Systems Maintenance Yearly Schedule and the 600-series Light Rail SOPs.

- Grade Crossings
- Signal Houses
- Track Circuits
- Switch Machines
- Traction Power Sub-Stations
- Overhead Catenary System
- Track and Roadbed
- Embedded Track Slab
- Track Drains
- Embedded Switch Machines

Light Rail vehicles are serviced and maintained in accordance with the Light Rail Fleet Management Plan and the 500-series Light Rail SOPs. Rail Car Maintenance

performs equipment inspections in accordance with the Light Rail Fleet Management Plan and ROD SOPs. A Daily Inspection of each LRV is performed by Rail Car Maintenance in accordance with the Light Rail Fleet Management Plan and CATS Procedure ROD502, *LRV Daily Inspection*.

Buses are maintained in accordance with the Bus Fleet Management Plan. CATS BOD100 *Preventative Maintenance Inspection (PMI) Audits* identifies the internal audit process that ensures a high level of quality and reliability in performing preventative maintenance inspections and repairs for CATS transit buses.

3.3.3 Regular Inspections and Testing Procedures

Inspections of facility equipment are made in accordance with appropriate maintenance manuals and procedures. Inspection of equipment prior to use is captured in Rule Books and Maintenance Manuals.

3.3.4 Resolution of Review/ Inspection Findings

Each facility inspection report is sent to the Facilities Administrative Officer for generation of work orders. It identifies specific areas and targets specific recommendations for corrective action. Identified unacceptable hazards are reported to the General Manager of Facilities and the CSO. Facilities Work Orders are tracked through completion in CityWorks. Facilities staff rate identified hazards and maintain a Hazard Tracking Log.

Preventative Maintenance of Vehicle work orders are triggered by either vehicle mileage or time milestones. Maintenance inspections are scheduled and tracked through the MMMS (SPEAR). SPEAR tracks these work orders through completion. Identified unacceptable hazards will result in the vehicles being taken out of service.

3.3.5 Checklists

Facilities Management uses *CATS Facilities Inspection Checklist* (Form FMF03) and Rail Station Monthly Inspection checklist (FMF07) for regular inspections. Transit Amenities use *TAMS Daily Inspection Sheet* (FMF04) to document inspections at bus and streetcar stops.

Systems Maintenance checklists and forms are completed in accordance with the 600-series Light Rail SOPs and the Track Maintenance Plan.

The RCM Mechanic completes the LRV Daily Inspection Checklist (RODF091 S-70s and RODF093 Streetcars) and submits it to the Rail Car Maintenance Supervisor.

Bus Maintenance Technicians perform Preventative Maintenance Inspections using forms developed for each specific bus type. Shop Foremen perform safety inspection reviews on buses using Shop Foreman Safety Review Form B.

The Office of Safety and Security conducts Facility Safety Inspections using iAuditor and Station Safety and Security Inspections using Checklist (S&SF29)

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based on OSHA Standards. These checklists are used to perform quarterly safety related inspections at facilities and stations.

A Pre-Departure Inspection is performed daily by vehicle operators and documented on the pre-trip inspection forms. Bus operators also perform checks during operator relief.

3.3.6 Coordination with Hazard Management Program

Hazards identified during safety inspections are to be resolved as close to the source as possible. Identified hazards are reported via email or phone call to the appropriate section manager to make them aware of the hazard that needs to be resolved. Issues that are noted immediately, resolved, and result in a formal corrective action, are tracked following the Safety Corrective Action Plan process in the safety CAP log. Technicians are to repair equipment that does not meet safety requirements or take the equipment out of service/remove it from the work area as appropriate. Defective equipment must be tagged-out if it cannot be removed from the work area. Employees are to reject equipment that is not fit for use and issues must be addressed and resolved as soon as possible, with safety critical items being resolved first.

S&S Inspection reports are e-mailed to the responsible personnel for resolution and tracked through inspection logs. UAH/UDH hazards identified through inspection reports will be managed to closure and tracked using a centralized enterprise resource system.

3.4 Accident / Incident Notification, Reporting and Investigations

3.4.1 Overview

All CATS employees and contractors are expected to comply with CATS S&S03 Accident/Incident Investigation and Reporting procedure (Appendix C) and use the forms prescribed. Roles, responsibilities, and accident reporting thresholds are outlined in the procedure, including accident notification, reporting and investigation throughout the organization. The level of investigation required is dependent on the seriousness of the event. Each accident/incident is investigated by a supervisor as specified in the procedure.

3.4.2 Accident / Incident Reporting Criteria to NCDOT and FTA (Rail Only)

NCDOT State Safety Oversight Program Standard (SSOPS) requires that CATS submits reports to NCDOT and FTA regarding accidents/incidents as defined in SSOPS Section 6.1 Figure 8. Criteria are detailed in CATS S&S03 Section 8.3 External Notifications by Safety and Security.

3.4.3 Accident / Incident Investigation Procedures on behalf of NCDOT (Rail Only)

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In general, NCDOT authorizes CATS to conduct accident investigations on its behalf, unless otherwise notified. CATS Safety personnel conducting investigations will be in compliance with the Public Transportation Safety Certification Program (PTSCP). For all investigations conducted by CATS on behalf of NCDOT, CATS utilizes procedure CATS S&S03 Accident/Incident Investigation and Reporting to conduct its investigations. CATS S&S03 has been approved by NCDOT. Information collected during investigations includes, at a minimum, scene assessment, supervisory and emergency responder reports, audio/visual reports, and vehicle downloads.

CATS must submit any updates and revisions to its accident investigation procedures to NCDOT as they are completed and implemented by CATS or with the annual update of the ASP. This procedure, S&S03, is Appendix C of CATS ASP.

NCDOT may participate in the investigation process when CATS is conducting the investigation on NCDOT's behalf. The terms of participation are specified in the NCDOT SSOPS, CATS ASP and in CATS S&S03 Accident/Incident Investigation and Reporting. If NCDOT elects to conduct an investigation of accidents or incidents, the General Manager for Safety and Security may also conduct an independent investigation.

3.4.4 Supervisor Investigation

Bus, Light Rail, and Paratransit accidents and incidents which do not involve serious injury and/or damage usually require only an initial investigation by the supervisor responding to the scene. Rail accidents and incidents that may be investigated by supervisors only are those that **do not** meet the criteria specified in ASP Section 3.4.2. The supervisor at the scene will:

- Perform an investigation, including an on-site inspection of the accident scene
- Conduct interviews with involved personnel and witnesses as appropriate
- Review reports written by involved personnel
- Gather, collect, and review physical evidence
- Complete each CATS accident / incident investigation form that applies to the event. (See CATS S&S03 Accident/Incident Investigation and Reporting.)
- Submit a report based on the information collected to the Manager of Safety –
 Bus/Rail, Office of Safety and Security. The Manager of Safety Bus/Rail will
 ensure that the General Manager of Safety and Security and the City of
 Charlotte Risk Management Division are provided copies of all reports.

3.4.5 Safety and Security Follow-up

The CATS Office of Safety and Security reviews all accident/incident reports for potentially serious problems or conditions. All accident/incident data is collected throughout the organization and analyzed to determine trends within the operations. Additionally, when accident/incident reports and statistics show repetitive trends that result in an inability to meet or exceed the safety goal and objective, the Office, through the Manager of Safety - Bus, the Manager of Safety - Rail or Manager of Security, initiates an investigation to determine the causal

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factors and settle on required corrective actions, approved by the General Manager of Safety and Security.

3.4.6 Investigation Called by Chief Executive Officer

The Chief Executive Officer may bring in additional resources to support an investigation of any incident/accident occurrence conducted by the Office of Safety and Security including investigations by NCDOT or the National Transportation Safety Board (NTSB).

3.4.7 Internal Notification of Accidents and Unacceptable Hazards (from CATS S&S03)

Depending on the type of incident, the operator/employee must immediately notify the appropriate communications center and/or Safety and Security personnel. Non-revenue vehicle operators must notify their supervisor/manager if possible. CATS follows the S&S03 *Accident/Incident Investigation and Reporting* procedure when making internal notifications.

3.4.8 External Notification Procedure (Rail Only)

CATS follows the S&S03 Accident/Incident Investigation and Reporting procedure when making external notifications. The reportable incidents identified in S&S03 are based on the current Code of Federal Regulations (CFR) related to public transportation and the NCDOT State Safety Oversight Program Standards (SSOPS).

3.4.8.1 At-scene Procedures

CATS S&S03 describes the roles and responsibilities of CATS personnel on the scene of an incident.

3.4.8.2 Accident / Incident Investigation Reporting, and Documentation

NCDOT (Rail Only)

Each CATS investigation conducted on behalf of NCDOT must be documented in a final report that includes a description of investigation activities, findings, identified causal factors, and a Corrective Action Plan, if applicable. Preliminary reports will be submitted within 72 hours post incident and final reports will be submitted when completed with updates provided to NCDOT every 30 days. All investigation and reporting requirements will follow current NCDOT State Safety Oversight Program Standards (SSOPS) and CATS S&S03 Accident/Incident Investigation and Reporting procedure.

Reports and records of accident investigations submitted to NCDOT by CATS, as well as related reports and records produced by both NCDOT and CATS, will be treated as confidential information and will not be released without concurrence by both NCDOT and CATS. All documentation related to accident investigations are kept on a secure server within CATS. Hard copy or electronic copy of documents are available upon request by authorized personnel.

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National Transit Database

Accidents and Incidents for CATS are also reported to the National Transit Database (NTD) monthly.

Major events are reported by mode separately for each event. Information includes number of fatalities, number of injuries, total estimated property damage, date, time, and address of the event. Report includes a brief synopsis of the event.

For minor events: CATS reports by mode (Bus, Commuter Bus, Light Rail, STS, Vanpool); the number of events by location (in revenue facilities, in transit vehicles, in non-revenue facilities); the number of injuries by category (customer, worker, or other); and for fires by location.

3.4.8.3 Corrective Action Plans (Rail Only)

After the occurrence of an accident and subsequent investigation, the development of recommendations, the identification of an unacceptable hazardous condition, or hazards identified through internal or external safety reviews/audits, the CATS Safety and Security representative will enter a Corrective Action Plan (CAP) in NCDOT's web-based software program after identification of the need for a CAP. CATS may request additional time to prepare the CAP for complex issues. Should the web-based program not operate properly, then the CAP will be submitted in the manner requested by the NCDOT SSO representative.

The CAP describes the actions CATS will take to control, correct, and mitigate the issue until a permanent solution can be identified. CATS will evaluate the actions needed for reducing the levels of risks to the lowest available levels and creating a schedule for these actions.

The Corrective Action Plan will include:

- a title that references the ASP element number, the year, and a suffix starting with "01" indicating the first item for that element and year (progressing numerically for additional CAPs for the same element and year). The alphanumeric format must be: "ASPxx-year-xx", using four digits for the year;
- the hazard or deficiency identified and investigation (if relevant to the CAP);
- reason for the noncompliance (if relevant to the CAP);
- proposed actions planned to minimize, control, correct, or eliminate the unsafe or hazardous condition, including interim action if required;
- scheduled date of completion of implementation;
- division and individual responsible for implementing the CAP;
- comments subsequently added, especially pursuant to NCDOT review and closure of the CAP.

The CAP shall be submitted to NCDOT for review and approval using the webbased system. NCDOT will enter its approval or rejection of a CAP within 15 calendar days of receiving the CAP. In the event NCDOT rejects a CAP, NCDOT will state its reasons and recommend revisions. CATS shall submit a revised CAP to NCDOT no later than 15 calendar days following the rejection. If NCDOT takes issue with CATS' proposed CAP, NCDOT and CATS must work together until NCDOT approval can be obtained. NCDOT approval is not necessary for short-term measures required to immediately mitigate hazardous conditions; however, these measures shall not replace the need for a long-term CAP. NCDOT will provide its support for such short-term measures, or outline its concerns regarding them, in its written approval or disapproval of the formal CAP.

If the NTSB investigates, CATS and NCDOT shall review the NTSB findings and recommendations to determine if a CAP is required. If a CAP is required either by the NTSB or NCDOT, CATS shall develop it.

Unacceptable Hazardous Conditions that are identified through any means, including after action reports, as containing Sensitive Security Information (SSI) will be tracked in a separate hazard log.

The CAP log generated in NCDOT's web-based software program includes entries related to:

- most probable cause;
- corrective actions for investigation reports, annual audits, three-year safety reviews, and FTA Program Audits;
- unacceptable hazardous conditions;
- hazard analysis or safety reviews performed at the request of NCDOT; and
- other related external reviews.

The status of open corrective actions is reported and reviewed on a monthly basis with Rail Operations management. All corrective actions are prioritized for implementation using the risk assessment matrix and assigned a responsible person to lead the corrective action effort and close the corrective action after resolution. NCDOT requires verification from CATS that the CAP has been implemented either by documentation submitted by CATS, independent visual inspection by NCDOT, or both.

3.4.8.4 Coordination with State Safety Oversight Agency (Rail Only)

When an accident, incident, or condition involves post-accident inspections, examination, or testing by CATS Divisions, the Office of Safety and Security is the lead CATS office to coordinate with NCDOT. The Office of Safety and Security will evaluate the need for accident/incident reconstruction, in cooperation with the City of Charlotte Risk Management Division.

NCDOT may choose to investigate rail accidents and Unacceptable Hazardous Conditions rather than having the Office of Safety and Security perform the investigation on its behalf. CATS will fully cooperate with the NCDOT in its investigation, with the General Manager of Safety and Security serving as CATS' primary point of contact. NCDOT submits draft reports to CATS for review and feedback. CATS will notify NCDOT SSO in writing of any findings or issues in which they disagree. Additional information and clarification will be provided to NCDOT to address any disagreements. NCDOT SSO will make the final decision on findings and issues.

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3.5 Management of Change

3.5.1 Procedures for Evaluating Safety Risk of Proposed Changes

3.5.1.1 Internal / External Sources of Change

Changes to the CATS systems can be identified through internal and external sources. These sources can include review of SPEAR entries, field inspections, audits, investigations, and reports from NCDOT or FTA. A list of sources of change can be found in Section 2.2.1 *Hazard Identification*.

3.5.1.2 Process for Change

CATS Management will ensure that any changes in its projects or existing services will be carried out in a planned manner. Before approving any planned changes, it will consider the following:

- The purpose of the changes and their potential consequences in the scope of any construction/planning of project and/or services to the public.
- The available resources.
- Review of responsibilities and authorities of people who would be impacted with these changes; and
- Safety implications or hazardous conditions.

For Rail Operations, the following process will be used to review, evaluate, and document the process of change:

- CATS established policies or procedures intended to reduce safety risk shall not be changed until formal review by CATS Safety & Security, Quality Assurance and Operations staff agree on the change to ensure no additional hazard or safety risk is introduced. The formal review will be documented using either the Hazard Analysis Form or Safety Analysis Form signed by appropriate management personnel, or by having the Rail Safety Manager co-sign the bulletin or notice indicating Safety was involved in the review and accepts the change. Review and comment by NCDOT shall be required as defined in the NCDOT State Safety Oversight Program Standards (SSOPS) prior to the change taking effect. Once the changes have been approved, employees will need to be trained on the change prior to implementing the new policy or procedure.
- If the analysis documents the proposed change should be implemented, the change will be made following the ROD304 Bulletins, Notices, General Orders and Operating Orders and/or ROD801 Configuration Change Control Procedure. Employees receive awareness and notification in regard to changes in their work area. This is verified with sign-off sheets.
- CATS established rail policies and procedures that will be affected include but not limited to the following documents:
 - o Rail Rulebook
 - Rail Operations Control Center (ROCC) Manual
 - o Rail SOPs

- Rail Maintenance Handbook
- Track Maintenance Handbook

Change is planned to ensure it is accomplished in a controlled manner and CATS Management shall ensure that the integrity of the SMS is maintained when changes to the system are planned and implemented.

3.5.1.3 Field Observations for Changed Work Environments

Identified changes to the CATS System or mitigations that have been implemented in the field will be verified and monitored by the appropriate Division staff and Office of Safety personnel to ensure the mitigation is appropriate and effective. If it is determined that a mitigation for an Unacceptable or Undesirable hazard is ineffective, the SMS Manager or the CSO will be notified and a different mitigation will be implemented to address the issue. These changes will be managed on the Division's Hazard Management Log and the Safety Risk Register as applicable.

3.5.2 Configuration Management

3.5.2.1 Overview

Configuration Management is defined as the effective control of a facility's as-built arrangement and operation to ensure compliance with approved and/or accepted technical requirements and other governing criteria. Control of the as-built configuration of facilities, systems, equipment, and vehicles begins during development of the final design and extends through construction, start-up, and operations, concluding with deactivation of the facility, system, equipment, or vehicle. CATS Configuration Management includes document and record control, change control in operating systems and construction change control.

3.5.2.2 Process for Change

1. Control of Documents

CATS Quality Assurance procedure CATS QA02 Control and Distribution of Plans, Manuals, Policies and Procedures defines the controls needed:

- To approve documents for adequacy prior to issue
- To review and update as necessary and re-approve documents
- To ensure that changes and the current revision status of documents are identified
- To ensure that current versions of applicable documents are available at points of use
- To ensure that documents remain legible and readily identifiable
- To prevent the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose

Employees shall use the specified or latest revision of specifications or controlled documents to include documents of external origin.

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2. Control of Records

Records are established and maintained to provide evidence of conformity to requirements, and for the effective operation of the quality management system. SMS records are maintained by the record owners identified on CATS Records Retention Schedules and shall remain legible, readily identifiable, and retrievable. CATS RIM01 Control of Public Records defines the controls needed for the identification, storage, protection, retrieval, retention time, and disposition of records. Record retention schedules for CATS documents maintained by CATS and by other City departments for CATS are available in CATS Record Retention Schedule on CNet/CATS/CATS Records Management site. CATS Records Retention schedules are in compliance with NC General Statute (NCGS) Chapter 132. Records related to ASP development and SMS implementation will be retained electronically for a minimum of three (3) years in accordance with CATS Records Retention Schedules and 49 Parts 670, 672, 673, and 674.

3. Contract Changes

Changes to a contract can originate from various sources in the form of change notices, verbal directives, or contractor claims with merit. The procedure for contract changes is CATS P&CM04. CATS may, by written change order, make a change to the work within the general scope of the contract. The contractor may propose changes to CATS for its review and approval or disapproval. Acceptance of contractor-proposed changes is solely within CATS' discretion. Regardless of source, changes are considered to be pending until they are made a part of the Contract by a fully executed change order. The resident engineer (RE) maintains a status log of all pending changes and make periodic reports to management on actions being taken to finalize these changes. General Conditions Article entitled "Changes" dictates the Contract provisions for making changes to the Contract. In addition, CATS' Change Control Procedure must be followed. When there is conflict between the General Conditions, CATS Change Control Procedure, and the Construction Management Manual, the General Conditions takes precedence, followed by CATS Change Control Procedure, and finally the Construction Management Manual.

4. Configuration Change Control in Light Rail Vehicles

CATS Procedure CATS ROD801 establishes the process to be followed to use alternative material instead of Original Equipment Manufacturer materials and/or make changes in the process pertaining to the repair and maintenance of light rail equipment. The procedure also establishes a Configuration Control Board to review and approve or reject requests for changes to maintenance and material parts or processes and to ensure adherence to the procedure.

5. Configuration Change Control in Buses for BOD and STS

CATS Procedure CATS BOD104 Configuration Change Control establishes the process to be used for change control of BOD and STS vehicles. When BOD Maintenance is contemplating a change through the Original Equipment Manufacturer, it is reviewed and approved by Change Control Managers. Change Control Managers include: the GM of Bus, Director of Maintenance, and Manager of Safety – Bus.

6. Authority for Change

The CATS Quality Manual is the authority for the following types of changes:

- Control of Records
- Control of Documents

3.5.3 Safety and Security Certifications (SSC)

The CATS safety and security certification process is used to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for new start projects and subsequent major projects to extend, rehabilitate, or modify our existing system, and to replace vehicles and equipment. Major Capital Projects are defined as \$100 million or greater by the FTA, but the administrator may apply this process for Federal funded projects under \$100 million. The process also applies to all other projects determined by CATS' Office of Safety and Security to be of sufficient significance to require formal safety and security certification. CATS' processes for safety and security certification are based on FTA's Handbook for Safety and Security Certification (2002) and CATS' own configuration management plans and procedures. Separate safety and security certification plans are developed for each identified project.

During the performance of hazard analyses, as part of the Safety and Security Certification Process, CATS identifies Category 1 Catastrophic and Category 2 Critical hazards. These hazards constitute the Safety Critical Items List (SCIL), a subset of the CIL, to provide visibility of these issues and to verify monitoring and control. The Office of Safety and Security updates the CIL to reflect the status of all hazards, prioritizing Category 1 and 2 hazards. The SCIL and CIL are published and managed until all hazards have been eliminated, reduced, or controlled to acceptable levels. System changes and modifications are not to be made without first being reviewed and approved by the SSRC.

A separate Safety and Security Certification Plan (SSCP) is developed for new start projects and major projects in accordance with the FTA's Handbook for Safety and Security Certification (2002).

Current SSCPs include the CityLYNX GL2 and the LYNX BLE.

CATS is a self-certifying agency except in cases where the required expertise to oversee the safety and security certification process is not available among CATS staff in the estimation of the General Manager of Safety and Security. In those cases, qualified consulting services may be retained to perform the certification according to FTA standards. Although CATS may contract out safety and security

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certification services, CATS maintains the responsibility to report to the FTA their acceptance and endorsement of the work performed under the safety and security certification process. To facilitate coordination between NCDOT and CATS, CATS has designated and assigned a project liaison for each CATS major project. This includes coordination and submittal of project reports. The report requirements and frequency will be established through joint collaboration.

3.5.3.1 Certifiable Components

- a. These components are broken down into 4 major categories:
 - 1. Facilities/Equipment
 - 2. Systems
 - 3. Integrated Test Requirements
 - 4. Operational Requirements
- b. The certifiable components for a project are defined by reviewing the project design criteria manual, project management plan (PMP), and like project-related documents such as the CILs and specifications.
- c. All major contractor and manufacturer audits, inspections, and tests where the safety and security of customers and/or employees, equipment, or facilities could be affected by the improper or incorrect construction or manufacture of system components. These audits, inspections, and tests cover both facilities and system components. Included are First Article Inspections, Mockup Reviews, Qualification Tests, Performance Tests, and Acceptance Tests. The integrated tests are developed to verify the integration and compatibility of equipment, facilities, and operation/maintenance procedures to function together under normal, abnormal, and emergency situations. This includes verifying the coordination, response, environmental constraints, and capabilities of CATS and outside agencies.
- d. The safety and security certifiable components in each construction package are certified independently once all sub-element and sub-item submittals are received, reviewed, signed off by the appropriate construction staff, and verified. Any "Open Items" that remain in effect with operational restrictions are documented and attached to the components certificate. The restriction(s) must have been resolved (or workarounds / operating restrictions put in place) and approved by the SSRC.
- e. The Project Safety and Security Certificate is prepared by the Office of Safety and Security and reviewed/approved by the SSRC once all the construction packages have safety and security certificates, transportation and maintenance personnel have been trained, emergency response personnel have been prepared to respond to emergency situations in or along the right-of-way, and safety and security system integration tests have been conducted. The overall project certificate and cover letter are presented to the CATS CEO for signature by the General Manager of Safety and Security. The certificate's signature provides a formal notification that the applicable portion of the operating system is safe and secure for revenue service. Any "Open Items" that remain in effect

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with operational restrictions are documented SCIL and attached to the System Safety and Security Certificate. The restriction(s) must have been resolved (or workarounds / operating restrictions put in place) and approved by the SSRC.

3.5.3.2 Hazard Resolution for Projects

The hazard resolution process can be applied throughout the five phases of the system life cycle.

Phase 1 - Planning

Phase 2 - Design

Phase 3 - Construction

Phase 4 - Operations

Phase 5 - Disposal

Identification of hazards is the responsibility of all divisions and is key to system safety. Hazards that are identified are analyzed for severity, frequency, and cost feasibility of remedial action required to eliminate or reduce the hazard to the lowest practical level. Hazard identification defines conditions and faults which have the potential for causing an accident. The CATS Office of Safety and Security verifies that mechanisms are in place for identifying and reporting hazards on the system.

Assessment of a hazard is based on the probability of occurrence and the severity of an event. Hazards with greater severity or probability to cause serious injury to have a greater need for immediate resolution.

Hazard resolution is the corrective action taken in response to the hazard identification and assessment process, but time and resource restrictions may determine the level of resolution that can be accomplished. The following are actions for hazard resolution:

- Eliminate the hazard if possible.
- Install protective devices/measures to reduce the hazard.
- Provide training to educate the workforce of possible hazards.
- If the hazard cannot be eliminated, reduce exposure to it.

Hazard analysis **encompasses** a set of methodologies that first searches throughout the system for the potential to do harm. Having found such hazards, further analysis attempts to control any hazard at an acceptable level. However, to do so first requires an understanding of the causes of the hazards.

Hazard analysis **attempts** to determine the set of primary events in the hazard generation process. Upon identification of these events, CATS will seek to mitigate, control, or eliminate the generation of hazards in ways that can reduce their risk to an acceptable level.

Hazard analysis also attempts to **reduce** the severity of accident events by introducing protective devices and equipment, procedures and/or forms, or system

modifications that reduce the amount of human and property damage in an accident event.

The **objective** of **hazard identification and analysis** is to identify and define as many hazardous conditions as possible and enter them into the Hazard Resolution process before those conditions or associated activities cause an accident, injury, death, or other loss.

While identifying every hazard is unlikely, the historical rail and bus passenger accident experience is a reliable source of input information that aids in the identification and capturing of hazards. CATS also uses inspections and checklists to identify hazards. For potential hazards during design of projects, we do hazard analysis as described in the Preliminary Hazard Analysis and mitigated hazards are moved to the Operational Hazard Analysis for CATS projects.

CATS uses the hazard identification and analysis process in the areas of System Safety, Environmental Protection, Design, and Procurement before purchasing and accepting new equipment and modifications of existing facilities, systems, or rolling stock. When safety certification is required, CATS uses qualified consulting services to verify that new or overhauled equipment, facilities, and rolling stock meet its safety requirements.

3.5.4 Managing Safety in System Modifications

Changes and/or modifications, including non-permanent system changes or modifications made to CATS' existing systems, vehicles, facilities, and equipment that have the potential to adversely impact customer, employee, public, and/or system safety or security, but do not require safety certification (as determined by CATS' Office of Safety and Security), are subject to CATS' hazard management program. Such changes and modifications must be accomplished in a controlled manner to ensure that safety is incorporated into the project designs, plans, and procedures developed to implement the system change or modification. Such changes and modifications must also be performed in accordance with CATS plans and applicable CATS procedures such as CATS EX06 *Project Management Planning and Project Management Plans*, CATS P&CM04 Change Control Procedure or CATS ROD801 Configuration Change Control Procedure.

Any division or section initiating a change must inform the CATS Office of Safety and Security and any other affected division or section, so they may review possible impacts, including safety or security impacts, resulting from the proposed change or modification. The Office of Safety and Security may determine that safety analyses are required as part of the change/modification design process. CATS Quality Assurance has oversight responsibility for changes to policies and procedures and enforcement of review by affected divisions/sections.

Organizations providing professional services, architectural / engineering design, construction, or construction management to CATS are required to provide a Quality Assurance/Quality Control Plan (QAP) that defines the administrative and control measures appropriate for their respective scope of services.

3.5.5 Managing Safety in Procurement

CATS shall ensure that any purchased product conforms to specified purchase requirements. The type and extent of control applied to the supplier and the purchased product shall be dependent upon the effect of the purchased product.

Procurement actions are conducted in accordance with all applicable Federal, State, and local laws, regulations, and policies. CATS conforms to the current procurement ordinances, policies and/or procedures adopted by the Council of the City of Charlotte or the Charlotte City Manager.

The Transit Asset Management Program Manager oversees the Asset Management and State of Good Repair requirements set forth by the NCDOT SSOPS and the FTA TAMS requirements and will submit quarterly the SSOPS Appendix E Form — Quarterly RTA Asset Management Status Report. The Development Division is responsible for CATS' TAM Plan compliance with FTA and NCDOT program requirements.

The TAM Manager shall provide the Office of Safety and Security department a monthly report regarding all rail related capital assets.

The City Council has full budget and signature authority for all contracts. The authority to sign contracts for normal operations, supplies, and service contracts has been delegated to the City Manager or his/her designee, the Department Director or his/her designees, or the Chief Procurement Officer, based on the total dollar amount of the contract.

The Chief Procurement Officer has primary responsibility for procurement and contract administration, including issuing and compliance, with CATS Procurement Policies and Procedures.

CATS Procurement Manual details the requirements for all important activities, such as preparation of purchase orders, contracts for services, bid lists, vendor quality requirements, and contract file maintenance.

CATS CEO, project managers, and other key personnel have primary responsibilities, contributor/support responsibilities, or approval authority for specified aspects of the procurement function based on the scope of the contract. Responsibilities are identified in the Procurement Manual.

Large procurements need to be planned during the budget preparation cycle to ensure specifications and contract awards are not driven by budget. All procurements must have an accurate detailed estimate prior to solicitation.

Large projects (over \$100,000) require a Project Management Plan (PMP) that identifies project team members including the Office of Safety and Security. The Procurement Service Request (PSR) identifies whether a PMP is required. The Office of Safety and Security identifies the level of safety certification for the project in the PMP. Safety and security design criteria and standards are integrated into

all project designs, unless determined otherwise by the General Manager of Safety and Security.

Planning for procurement and contracts entails considering safety, as well as technical, business, and management requirements in controlling acquisition from inception to completion.

The purchasing process begins with the preparation of a specification and PSR that is then submitted to City Procurement. For hazardous materials, safety items, personal protective equipment, safety products/systems, and service contracts, the Office of Safety and Security will review and approve the PSR prior to the processing of the purchase order.

City Procurement works in conjunction with all CATS divisions and applicable City of Charlotte Departments and utilizes existing city contracts for all purchasing contracts. When purchasing personal protective equipment (PPE) for employees, controlling chemicals and other hazards in the workplace, mandating safety requirements in specific contracts, and requiring compliance from specific vendors with CATS safety requirements, the Office of Safety and Security is consulted and reserves the right of approval.

Those specifying requirements for purchased products and services are responsible for ensuring that products and services meet requirements specified in the procurement information. When products or services are received that do not meet requirements, employees are expected to work with Procurement to arrange a return or adjustment as appropriate. CATS QA works with Procurement and key suppliers to ensure that suppliers have the capability to meet specified requirements.

The Rail Inventory Management Manual addresses the visual inspection of parts prior to placing in inventory. Bus Warranty and Parts also performs a receiving inspection of incoming material.

CATS currently utilizes the SPEAR Maintenance and Material Management System (MMMS) to effectively track all parts procurement, work orders, vendor technical bulletins, recall notices, and end user defect comments. Currently, the SPEAR MMMS keeps an active log of this information, which is retained for configuration management purposes.

The Office of Safety and Security has identified requirements to include in contract documents for contractors working on CATS property. The Office of Safety and Security is responsible for reviewing procurement activities for compliance with NCDOT's Asset Management and SGR requirements as noted in the current SSOPS.

Section 4 Safety Promotion

4.1 Safety Plan Dissemination

Reference Section 1.8 on Safety Plan and Policy Dissemination.

4.2 Safety Plan Review and Modification

The Agency Safety Plan is a living document because CATS is an evolving transit system. The ASP therefore requires an annual compliance review. Each CATS Division and the Rail Safety and Security Committee (SSC) will review the ASP annually and submit draft changes for consideration for incorporation in the revised ASP. Safety and Security staff shall complete their reviews for the previous calendar year and submit to the SSC for approval. The SMS Manager will ensure compliance with all ASP/SSOPS standards prior to submitting the ASP to the CSO and CEO for approval to include department heads review and comments. The CEO will certify annually that the ASP meets all required standards. The annual update is provided to NCDOT for review and approval per the State Safety Oversight Program Standards (SSOPS) as amended.

The annual update of the ASP addresses the following:

- Change in service defined as system expansion, extended service, or change in the operation plan;
- Change in service equipment, facilities, or vehicles;
- Change in management or organizational change and reassignment of functional responsibilities which affect operations and/or safety;
- Change in safety polices, goals or objectives;
- Changes in regulatory requirements;
- Occurrence of a significant event or incident that warrants possible revision of the ASP;
 or
- Audit results, on-site reviews, or changing trends in incident/accident data.

All revisions to the ASP are made in accordance with procedure CATS QA02 Control and Distribution of Plans, Manuals, Policies and Procedures.

The General Manager of Safety and Security shall ensure that all changes and updates to the ASP are communicated to the North Carolina Department of Transportation, the designated State Safety Oversight agency for CATS. The finalized ASP, whenever the ASP is revised, is submitted with the signature of the CEO and the resolution of the ASP approval by the MTC.

The EPCP shall also be reviewed annually.

4.3 Safety Plan Implementation Tasks & Activities (including responsibilities matrix)

Appendix I contains the Gaps for Implementation of ASP and includes responsibilities.

4.4 Employee and Contractor Safety Programs (Knowledge and Compliance)

North Carolina has a fully approved State Occupational Safety and Health Plan under the United States Department of Labor, Occupational Safety and Health Administration (OSHA) 1910 Occupational Safety and Health Standards. The North Carolina Department of Labor (NCDOL) exercises jurisdiction over the occupational safety and health of all private and public-sector employers and employees within the State. Therefore, CATS employees are protected by the regulations issued by the North Carolina Department of Labor, Occupational Safety and Health Division. NCDOL adopted the Federal OSHA regulations and has issued a limited number of state-specific standards.

Safety information on approved methods and procedures are included in manuals, handbooks, and other documentation developed for the training and qualification of operating and maintenance personnel. Identification of protective devices and emergency equipment are included in the training documentation and instruction. In addition, safety posters and notices are used, as appropriate, to enhance safety awareness during all phases of system operations. Safety concerns are incorporated in briefings given to personnel prior to their working with equipment or facilities. Each operating division has a specific training protocol for refresher training as well as new employee orientation.

Safety Awards Programs are used to encourage both individual and group participation in the CATS Safety Program. Examples of employee recognition programs are: National Safety Council Safe Driver Award Pins, periodic group recognitions, and safety plaques. Other incentives and bonus programs may be periodically used to specifically recognize the safety achievement of employees in the various divisions

4.5 Compliance with Local, State, and Federal Requirements

4.5.1 Working on or Near Rail Transit Controlled Property

All CATS employees and contractors working on or near CATS Right-of-Way are provided mandatory Roadway Worker Protection Program (RWPP) Training by the Office of Safety and Security or other trainers with the approval of the Office of Safety and Security. Training is valid for one year from date of RWPP training. Personnel who successfully complete the Roadway Worker Protection training are issued a certification card valid for one year from the date of training. The card shall be carried by personnel when working in the rail system.

The RWPP applies to all roadway workers involved in the Right-of-Way of the CATS LYNX Blue Line and CityLYNX Gold Line. The purpose of this safety program is to aid in the prevention of accidents and injuries while working within CATS' Right-of-Way. These rules serve as a minimum safety standard based upon the following documents, as adapted for the conditions of CATS operations:

- 49 CFR 214 Railroad Workplace Safety
- APTA RT-OP-S-010-04 Standard for Contractor's Responsibility for Right of Way Safety
- APTA RT-S-OP-004-03 Standard for Work Zone Safety
- APTA RT-S-OP-016-11 Roadway Worker Protection Program Requirements

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The safety of roadway workers is a top priority of CATS. Contractors and CATS employees must communicate and coordinate movements along the Right-of-Way with the ROCC in order to provide for the safety of roadway workers. Accordingly, all roadway workers must follow the applicable procedures outlined in this program.

To ensure compliance with the CATS Roadway Worker Protection Program, the Office of Safety & Security will conduct periodic onsite inspections of approved work crews to verify the following:

- Job Safety Briefings
- RWPP Cards
- PPE
- Proper flagging
- Other items as needed

If any on-site violation of rules or procedures is observed, the violation will immediately be brought into compliance. If no immediate remedy is available, work crew members may be asked to leave the approved work zone until such time as the work zone is brought back into compliance.

4.5.2 Required Safety Programs

The CATS Office of Safety and Security has the responsibility for ensuring that all applicable OSHA standards are properly implemented and the applicable training and associated Personal Protective Equipment (PPE) are provided by the responsible office. CATS tracks OSHA training for the various City positions using MySucess software. Transit Management of Charlotte (TMC) tracks OSHA training for maintenance personnel in SPEAR and Palocity for bus operators and administrative employees. Each individual operating/maintenance section has the responsibility for enforcing employee compliance to the implemented OSHA standards.

The rulebooks published and distributed by CATS include: The Rail Rule Book, the Rail Maintenance Handbook, the Bus Operations Control Center Standard Operations Procedures and Reference Guide and the Bus Maintenance Procedures. Training is provided on the rulebooks and procedures during operations and maintenance training courses.

4.5.2.1 Review of Rules and Procedures

Policies, plans, rulebooks referenced above, and procedures are reviewed periodically to verify they meet the needs of the transit system in normal and emergency conditions. Division or Section Managers are responsible to update policies and procedures specific to their departments. Quality Assurance Section is responsible for reviewing, routing for approval, distributing and maintaining CATS plans, manuals, policies, and procedures. Prior to any changes occurs, the Management of Change process in Section 3.5.1.2 will be followed.

The Quality Assurance section coordinates additions to or deletions from these documents which impact the safe operation of the system with the CATS Office of Safety and Security and respective Division staff and other affected divisions/sections for approval prior to implementation. CATS QA02 Control of Plans, Manuals, Policies, and Procedures stipulates control and distribution, including the three-year review process. The length of time needed for the review may vary based on the document being reviewed but the individual reviews should not exceed 30 days. CATS QA08 Procedure Change Request Process gives employees two ways to submit a procedure change request. The Rail section managers may issue a bulletin per CATS ROD304 Bulletins, Notices, General Orders and Operating Orders when an immediate revision is required to an operating rule or procedure. CATS safety committees, accident /incidents and audit reviews are also opportunities for rules reviews.

4.5.2.2 Process for Rules Compliance

Bus Operations conducts operational checks as part of their Standards of Excellence Program. Rule compliance checks are tracked and reported monthly to CATS Management. The Bus Safety staff conduct operator training and do accident refresher training. The Bus Safety staff perform safety audits if there is a general complaint about safety habits.

Rail Supervisors conduct ride checks of each rail operator at a minimum of three ride checks per month (Form RODF063), 15 ride checks totaled each month per supervisor.

Each STS Supervisor conducts field road observations quarterly using the Supervisor's Field Observation Report (Form STSF03).

Maintenance supervisors evaluate compliance with maintenance rules on an ongoing basis along with work completion and performance assessments. MOW conducts a minimum of three evaluations per quarter using the CATS Light Rail System Evaluation Form (RODF600). Rail Car Maintenance (RCM) conducts and documents monthly assessments of RCM employees.

Ride checks, safety audits, and field observations provide an opportunity for retraining to compliance to specific rules.

4.5.2.3 Compliance Techniques – Operations and Maintenance Personnel

Compliance techniques include observation of work activities and tasks and questioning employees about their knowledge of the respective rulebooks and handbooks. During initial training, employees are tested on their knowledge of applicable rules and procedures through written examinations.

4.5.2.4 Compliance Techniques – Supervisory Personnel

Rail

The Office of Safety and Security reviews a sample of Rail Operator ride check and observation forms and Maintenance proficiency check forms on an annual basis to evaluate the effectiveness of compliance methods utilized by supervisory personnel. The ride checks and field observations assess employees' knowledge of rules and procedures and validate the success of CATS' employee training programs.

Recommendations for enhancement of the compliance methods are submitted to Division managers by the Office of Safety and Security for appropriate action.

Bus

Bus Superintendents review Supervisor Ride checks to ensure they are being completed annually.

STS

Ride checks are reviewed by the STS Operations Manager.

4.5.2.5 Documentation

Safety and Security periodically audits the proficiency check forms for completeness and identification of hazards. Identified hazards will be tracked in the Hazard Tracking Log. Unacceptable and Undesirable Hazardous Conditions will be reported per the Hazard Management Process.

4.5.3 Compliance with Drug and Alcohol Programs

CATS is certified as a drug-free workplace and complies with all provisions of the U.S. Department of Transportation, Federal Transit Administration, 49 CFR Part 655 Prevention of Alcohol Misuse in Transit Operations, 49 CFR Part 40 Procedures for Transportation Workplace Drug and Alcohol Testing Programs and CATS HR02 CATS Drug and Alcohol Policy.

The FTA posts the latest Drug and Alcohol Regulations, Rules, and Notices at: http://transit-safety.volpe.dot.gov/DrugAndAlcohol/Regulations/Regulations/default.aspx

New hires sign a form acknowledging receipt of the D&A Policy and related training. Updates to the policy are distributed either by paper with a form signed acknowledging receipt or by completing the review and acknowledgement online through the City/CATS Learning Management System.

4.5.4 Compliance with Contractor Safety Program

CATS requires a safe working environment for construction projects and workers. Per the FTA Project and Construction Management Guidelines, the Office of Safety and Security reviews the contractor's safety plan and concurs with or approves its compliance with this plan. CATS also requires contractors to follow

all CATS safety and training standards to ensure its project workers' safety and well-being. This includes:

- Completion of Roadway Worker Protection training, as applicable.
- Complying with records retention and audit processes.
- Obtaining all necessary permits for work being completed, including any Right-of-Way Access permits.

CATS conducts periodic audits of contractors to assess their adherence to their construction safety plan. Any contractor employee found to be working in the operating rail system without a valid Contractor ROW safety card issued by CATS will be considered a trespasser and Police will be notified to take appropriate action. At a minimum, the contractor employee will be considered unqualified to work on a CATS contract and will be removed from the work site.

Workers on the project are required to follow OSHA 1926 Safety and Health Regulations for Construction safe work practices and comply with applicable safety, health, and fire loss prevention standards, and conduct their personal work activities in a manner which does not place themselves, other employees, or the public in a hazardous position. If a safety issue is identified by a CATS contractor on a CATS project, the contractor must immediately contact the designated CATS safety representative for the project.

It is CATS' responsibility to require that no project be so urgent that safety precautions are by-passed. The prevention of personal injury and property losses must always be part of the work task and in the mind of the manager, supervisor, and employee.

4.6 Training and Certification Program

4.6.1 Overview

Instruction in safe methods of operations and safety procedures is included in rulebooks, manuals, handbooks, and other documentation developed for the training and qualification of operations and maintenance personnel. Training systems have been developed by each department, which include in-house classroom training, field training, on-the-job training, and testing. Each department is responsible for establishing safety training requirements for its employees. Bus and Rail Instructors are responsible for providing new and revised safety training programs to the office of Safety and Security for review.

As part of the implementation plan, a comprehensive program for review activities that identify where new safety training is needed, where current safety training must be revised and updated, and refresher training needs to be added to the current training requirements for employees and contractors. The program will also include updating job descriptions and training requirements for front line employees, managers and supervisors and senior managers.

4.6.2 Classification of employees / contractors directly responsible for safety

The Office of Safety and Security, in conjunction with other divisions, provides all employees with training in the areas of basic safety, the ASP, applicable OSHA regulations, ergonomics, and defensive driving, if applicable. In addition to the standard safety training provided by, or in conjunction with, the safety staff, safety awareness is maintained by special training presentations such as: bulletins; newsletters; and at work training to instruct employees on methods to prevent traffic, passenger, and employee accidents. Periodic training classes are held throughout the year to refresh or present new topics of concern to employees.

4.6.3 Certification and Training Requirements

All employees and contractors play a role in safety at CATS. All employees are required to attend initial SMS training in person. Ongoing SMS awareness training will be conducted periodically, including the various way to report safety issues. Employees are trained to know their role and responsibility and how to report safety concerns to management. CATS Safety and Security staff worked with the Training Department to develop the training materials. The Training Department is responsible for maintaining the training records.

SMS training and a SMS pocket card is provided to all new hire employees as part of their orientation training. Safety & Security staff provide the SMS training and CATS Training Department maintains and manages the training materials and maintain training records.

Bus

The Office of Safety and Security oversees and coordinates operational safety and defensive driver training for Bus Operations. The Bus Operator Training Program is a comprehensive training program that includes classroom and road/route training prior to qualification. The bus training program includes components such as defensive driving techniques, vehicle familiarization, rules of the road, and road training.

A CDL permit is required to start the bus training program. The Office of Safety and Security is a third-party examiner for the CDL. Operators who have two (2) preventable accidents are required to complete accident retraining. Operators who are out of work for 30 days or more must pass a Ride Check (S&SF15 *Training & Development Sheet*) from Safety and Security. The North Carolina Department of Motor Vehicles automatically notifies CATS of bus operators whose licenses are suspended. Bus Operations uses S&SF42 *Trainee Mentor Evaluation* form to track employee mentor training and evaluation.

Refresher Training: The Office of Safety and Security conducts two-hour refresher training as operators are available.

STS

The CATS Training Operations Division conducts STS Operator training. It is a four-week new hire training that consists of classroom instruction and vehicle operator training coordinated through STS Operations. A third-party DMV

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examiner conducts road tests and training for new licensees. Operators who are out of work for 30 days or more must pass a Ride Check conducted by Safety and Security.

Refresher Training for STS Drivers: The Office of Safety and Security is conducting two-hour refresher training as operators are available.

Rail

Employees receive initial SMS training in person and then annually either in person or online. Contractors receive annual SMS training as part of their Roadway Worker Protection Program (RWPP) training. Contractors working on the safety and security components of CATS projects will be required to meet the FTA Safety Certification and recertification training as outlined in 49 CFR 672 and the CATS ASP.

The Rail/Streetcar Operator training program is a comprehensive two-phase program which includes both classroom and practical instruction. Specific information about the training program for Rail Operators can be found in the *Rail Operator Training Manual* and *ROD308 Rail Operations Training Procedure*.

Requalification Training

All Rail Operators shall attend requalification training at a minimum of every two years. The Rail Instructor will do requalification with a limited number of Operators at a time to minimize manpower disruptions. These training programs are reviewed by Rail Operations Management and the Office of Safety and Security and are subject to review via the Internal Safety Audit Process.

ROCC Controller Training

The ROCC Controller training curriculum is a comprehensive training program requiring completion of the Rail Operator training program followed by two weeks classroom and ten weeks practical instruction. The training requirements for ROCC Controllers can be found in the ROCC Controller New Hire Training Curriculum.

ROCC Requalification Training

All Rail Controllers must complete requalification training at a minimum of every two (2) years. The Chief Rail Controller administers requalification training which consists of written and practical examinations. These training programs are reviewed by Rail Operations Management and the Office of Safety and Security and are subject to review via the Internal Safety Audit Process.

ROCC Refresher Training

ROCC Controllers who are out of work for 30 days or more are required to complete refresher training. This training is administered by the Rail Training Instructor or the Chief Controller depending upon the content that will be reviewed. ROCC Controllers who are out of work for more than 90 days must complete requalification testing. These training programs are reviewed by Rail Operations Managers and the Office of Safety and Security and are subject to review via the Internal Safety Audit Process.

Maintenance Training

Rail Maintenance employees are provided training in accordance with the Rail Maintenance Handbook.

Bus Maintenance employees are provided training in accordance with an annual training plan prepared by the training team.

49 CFR 672 Safety Training

CATS Office of Safety and Security General Manager, Managers and Coordinators for rail and bus have been designated in April 2020 as being directly responsible for the safety oversight of a rail fixed guideway and bus public transportation systems and must comply with this regulation. Those employees required to meet this regulation must complete the following minimum training requirements within three years of being identified responsible for safety oversight.

Required Training:

- One-hour course on SMS Awareness e-learning delivery (all required participants)
- Two-hour courses on Safety Assurance e-learning delivery (all required participants)
- Twenty hours on SMS Principles for Transit (all required participants)
- Transportation Safety Institute (TSI) Courses:
 - Rail System Safety (36 hours)
 - Effectively Managing Transit Emergencies (32 hours)
 - Rail Incident Investigation (36 hours)

Safety refresher training shall be completed every two years after completing the initial requirements. The refresher training must include, at a minimum, one hour of safety oversight training.

CATS will develop a process to ensure employees are provided training on implemented changes that impact their duties and responsibilities.

4.6.4 Hours of Service (HOS)

4.6.4.1 Bus Operations Division (BOD)

Fixed Route:

In accordance with the FMCSA Part 395 Hours of Service for Motor Carriers of Passengers and the Collective Bargaining Agreement with the Union, requirements for maximum hours of operation (Maximum driving time for passenger-carrying vehicles) of a CATS Fixed Route Bus Operator are as follows:

- Shall not drive more than ten (10) hours following eight (8) or nine (9) consecutive hours off duty depending on position (Regular vs. Extra Board).
- Shall not drive any period after being on-duty for fifteen (15) hours following eight (8) consecutive hours off.
- On runs of six (6) hours or more of continuous time, employees will be allowed at least thirty (30) minutes, but no more than one (1) uninterrupted hour for meal relief.

- On runs of twelve (12) platform hours or more will be allowed a second lunch period of at least thirty (30) uninterrupted minutes, but not more than one (1) uninterrupted hour.
- All straight, split, or other assigned runs of regular operators, will consist of eight (8) hours a day for five (5) days or ten (10) hours a day for four (4) days exclusive of check-in time and travel time included in computing total platform time.

Paratransit:

CATS Special Transportation Services (STS)

- Follows DOT Hours of Service Regulations and
- Required managerial approval for work hours above 56 hours per week.
- Employees may not work more than 6 consecutive days

4.6.4.2 Rail

Rail Operations personnel include management, administration, supervisors, train operators, maintenance of way and rail car maintenance employees. Other than administrative staff, all other Rail Operations staff are considered to be safety-sensitive positions. Work schedules will meet Hours of Service requirements. The Rail Rulebook, Section 2.43 describes the work hours of Rail Operations safety-sensitive employees.

Rail Operations Employees

- No more than 16 hours per day for unanticipated events with no more than 12 hours of work in the aggregate.
- Must have 10 hours of time off between shifts.
- No more than 60 hours per week.

Work Week

- Train operators are not allowed to work more than six days in a row without a full day off (24 hours)
- Other Rail Operations employees are not allowed to work more than seven days in a row without a full day off (24 hours)
- The full day off shall prohibit the employee from being on-call

All Employees that work a 60-hour work week will then have two consecutive off days following the 60-hour work week.

Transportation supervisors may extend hours of service up to a maximum of 16 hours per day for unanticipated events with no more than 12 hours of work in the aggregate, only with the permission of the Transportation Manager and upon email notification to the Manager of Safety – Rail. These extended hours are in compliance with APTA RT-S-OP-15-09 Standard for Train Operator Hours of Service Requirements and NCDOT State Safety Oversight Program Standards requirements. Employees will be excused from extended hours if they report that they are fatigued when requested to work beyond 12 hours in a shift.

Extended Hours During Emergency Conditions

During emergency conditions, the GM of Operations and Manager of Rail Safety have the authority to jointly temporarily suspend hours-of-service requirements in order to provide critical transportation services. NCDOT will be immediately notified of emergency conditions that the GM of Rail Operations or the Office of Safety & Security has made the decision to temporarily suspend HOS requirements and when any violations occur as a result of emergency situations.

Any violations of Hours-of-Service requirements will be captured in the Hazard Management Log and NCDOT will be notified as noted in the current SSOPS. Operations schedules completed for the following week will be reviewed for any scheduled HOS violations. Any individual scheduled to exceed HOS who cannot have their scheduled changed to comply with the requirements will have their schedule approved by the respective manager. The manager will send a memo describing the violation and the reason for the violation to the GM of Rail Operations and Facilities for review and approval. Once the GM approves the HOS violation, the memo will be submitted to the Rail Safety Manager by the end of the respective work week. This will be in addition to the current procedure where HOS violations noted on weekly timesheets will be reported to the Rail Safety Manager. Rail Operations Administrative staff will review timesheets weekly to verify compliance with Hours or Service and number of days consecutively worked. Rail Operations Managers and Supervisors will review and develop work schedules that follows this section's requirements. If a violation is noted, Rail Safety will be notified by email of the violation, who will notify NCDOT. Rail Operations will follow ROD301 Performance Code Policy as appropriate for violations of this section.

The Office of Safety and Security shall notify NCDOT of any violation of the RTA's HOS policy within 72 hours following the RTA's confirmation of a violation. Notifications to NCDOT shall be made via email. The notification will include the following information:

- The employee's identification number
- The employee's work title
- The type of violation
- The schedule of work and rest for the period of 72 hours prior to the infraction
- A description of the circumstances which resulted in the violation.

An hours-of-service violation log will be submitted to NCDOT on a quarterly basis.

Fatigue awareness training is provided in the new hire training program and information is periodically provided in the Rail Operations Daily Activity Plan (RODAP).

4.6.4.3 Contractors

Contractors working on the CATS Right of Way (ROW) are considered safetysensitive employees. Contractors are required to follow their employers' hours of service and work schedule policy. In addition, their employees are required to meet the following requirements while working on CATS property.

- Work no more than 12 hours per day
- Must have 10 hours of time off between shifts
- Work no more than 60 hours per week
- Employees are not allowed to work more than seven days in a row

4.6.5 Recordkeeping

The Office of Safety and Security, in collaboration with Rail Operations and Bus Operations, maintains a record of all operations, maintenance, and OSHA-required safety training provided to employees and contractor employees, including a list of the required training for each position. The training records for employees is kept in the City of Charlotte MySucess program that tracks all CATS employee training. The Training Department also keeps detailed training records on initial and refresher training by employee. Contractor training records are kept on sign-in sheets that are scanned into a file on a secure network and entered into a database maintained by the Office of Safety and Security.

Timekeeping records managed through their time-record software programs will be maintained for a minimum of three years.

4.7 Safety Communication and Outreach

Safety Committees

Safety Committees are required to serve as the basic forum to review safety issues and hazards, hazard reports, safety inspections reports, accident investigations, and corrective actions. The Safety Committee representatives communicate safety concerns from their work areas to the Safety Committee, and report back to their workgroups. Safety Committee meeting minutes are available to all employees. The Bus and Rail Safety and Security Committees will review and approve the ASP annually.

Safety Messages

For employees, TV screens are centrally located in areas (e.g. breakrooms) to display safety information, Chief Safety Officer's monthly report, alerts, statistical information, and other safety education materials. Operations employees are informed of hazards in their workspace through tool talks, bulletins, and informal shop meetings on an as needed basis.

Marketing collateral materials will be used to raise safety awareness throughout the facilities, which may include, but is not limited to, brochures, posters, email blasts and newsletters to best accommodate every division's best communication practices.

For the public, per the Marketing and Communications Plan, Marketing and Communications provides safety marketing materials to its key audiences, including, but not limited to, the business community, the education community, the nonprofit community, drivers, riders, and community leaders, during public outreach events, such as safety blitzes and transportation fairs. Marketing and Communications also utilizes social media and online videos to educate the public, along with opt-in riders' alerts that include email and SMS messaging. CATS also post alerts on the See Say App.

In 2020, CATS Marketing developed SMS and safety materials including pocket cards for all employees and safety messages and posters for the public. Posters regarding agency policy, safety roles and responsibilities and how to report safety concerns are maintained around the facilities.

CATS Safety & Security coordinates with CATS Marketing to review and update SMS marketing materials and safety messages to the public on an annual basis. CATS Marketing will produce and replace updated materials as needed.

Safety Quarterly Messages

The Safety Department publishes quarterly safety messages to be posted throughout all facilities. This is a communication tool that use to enhance health and safety awareness among employees.

Safety Suggestion Boxes

Safety Suggestion Boxes are a tool that allows employees to share their safety ideas and concerns. Any safety-related comments and concerns received from Safety Suggestion Boxes are discussed and addressed at the Safety Committee Meeting.

Employee Recognition Program

CATS established the Employee Recognition Program to promote safety performance, build morale, and focus attention on achieving the agency's safety goals.

4.7.1 Procedures Used to Communicate Safety (external stakeholders and general public)

Per the Marketing and Communications Plan, CATS Marketing and Communications will continue to provide safety marketing materials to its key audiences, including, but not limited to, the business community, education community, nonprofit community, drivers, riders, and community leaders, during public outreach events, such as safety-marketing blitzes and transportation fairs. Marketing and Communications also utilizes social media and online videos to educate the public, along with opt-in riders' alerts that include email and SMS messaging. Marketing and Communications will create marketing collateral that explains proper safety procedures to be displayed in highly visible areas for the public. Methods of communication may include, but are not limited to posting inside vehicles, social media, and audio announcements. CATS will also use email and newsletters to communicate with key stakeholders. CATS will continue its partnership with Operation Lifesaver, Inc. and will perform safety presentations for community members and professional drivers' groups, among others.

CATS Public Relations Team will communicate with media to inform them of necessary safety procedures. Public Relations will leverage the media to distribute key safety messages to customers.

4.7.2 Communication and Follow-up on Reported Safety Concerns

Customers may report unsafe conditions anonymously through the See Say application on their smart device. Reported incidents are tracked through the Office of Safety and Security. A procedure was developed to address the See Say app as

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a safety reporting tool, and Marketing and Communications will leverage marketing signage, social media, and video to communicate with the public and key stakeholders about this service.

Customers can report unsafe conditions by calling the Customer Service Call Center at 704-336-RIDE or emailing telltransit@charlottenc.gov. (See CATS CSVS04 Customer Insights Tracking Process.)

As part of the implementation plan, the Office of Safety and Security will work with CATS Marketing/Communications to develop printed and electronic summary reports that provide feedback to employees on safety concerns submitted to the various safety committees. Employees who report safety concerns to management will receive a response from their supervisor or manager on how the concern was addressed.

4.8 Environmental Management Program

CATS is fully aware of the importance of employee chemical safety programs and the duty to comply with legally mandated hazardous materials rules and regulations. To this end, CATS has implemented a materials acceptance/rejection program to monitor and control chemicals which are brought on to CATS property and are used by employees.

CATS S&S05 Hazard Communication Program is in compliance with Title 29 Code of Federal Regulations Part 1910.1200, Hazard Communication Program. CATS' Hazard Communication program covers the procurement, receipt, storage, and disposal of hazardous materials. It also documents the maintenance of Safety Data Sheet (SDS) binders and employee training. Hazardous waste/chemical safety inspections are included in the responsibilities for safety inspections. CATS has contracted for the services of a properly licensed hazardous waste contractor for removal of hazardous materials. When necessary, consultants may be hired for special projects such as indoor air quality, chemical vapor, and particulate sampling.

The Office of Safety and Security reserves the right to reject a product if it is deemed too hazardous for employee use or CATS is unable to provide adequate safeguards or protection.

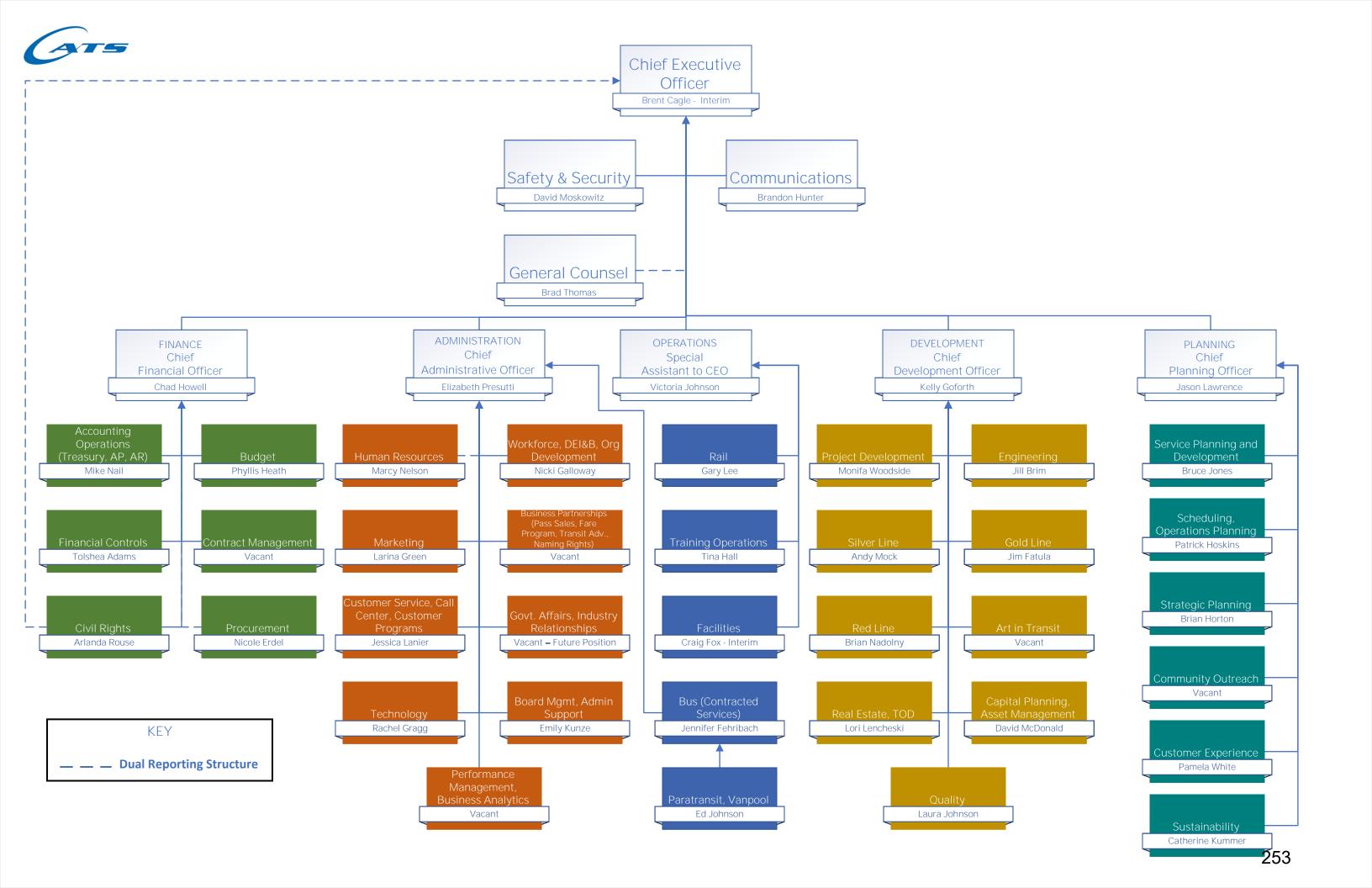
The SDS review/request procedure, which requires SDS review and approval of the Office of Safety and Security, is included in CATS S&S05 *Hazard Communication Program*. Section 2.8 of the CATS Rail Maintenance Handbook addresses the requirements of Safety Data Sheets for chemicals and hazardous materials used in CATS rail facilities and on CATS property. These programs are the responsibility of the using division and the Office of Safety and Security. Program effectiveness is reviewed via the Internal Safety Audit Process.

Training on hazardous chemicals is provided whenever new hazards are introduced into the work environment or whenever hazardous chemicals will affect specialized procedures. Chemical training will provide information on specific hazards and measures that can be taken to control or minimize the hazards. Control measures can include engineering controls, substitution, or personal protective equipment.

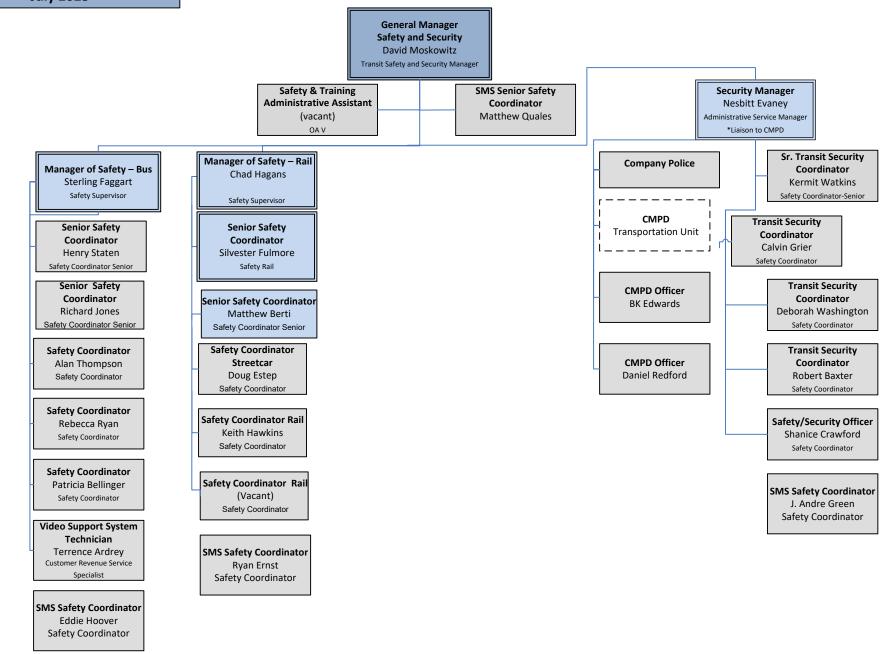
All new procurements for a chemical, substance, or compound are sent to the Office of Safety and Security for review before being brought onto CATS property. Each CATS division is responsible for ensuring that materials that come onto CATS property are properly labeled and packaged. The Office of Safety is responsible for the following occupational safety and health activities related to hazardous materials:

- Reviewing the Safety Data Sheet (SDS) database
- Providing technical advice and expertise
- Responding to exposure concerns and incidents
- Performing reviews and audits of agency practices
- Recommending Personal Protective Equipment
- Reviewing and approving new procurements of hazardous materials
- Overseeing and auditing performance on various hazardous materials programs.

APPENDIX A Organization Charts



Safety and Security July 2023



CATS ASP Organizational Structure



^{*}Includes Executive leaders, from <u>all</u> agency functions or departments, that support revenue service operations.

APPENDIX B CATS EX03 Safety Policy



Subject/Title: Safety Policy

Previous Revision: February 24, 2020

Procedure No:

Revised Date: September 13, 2022



Chief Executive Officer and Director of Public Transit

The Charlotte Area Transit System (CATS) was organized with the mission to provide safe, secure, reliable and effective rail, bus and paratransit transportation services to our customers. Accordingly, safety is a primary concern that affects all levels of CATS activities including operations, maintenance, and administrative functions of the organization.

All employees and contractors of CATS are expected to conduct their duties safely, aimed at preventing, controlling and minimizing undesired events, such as customer or employee injury, equipment or property damage, or degradation to system safety in any CATS function. Employees and customers are CATS' most important assets, and their safety and security are among CATS' greatest responsibilities.

While the minimizing of unsafe conditions and the prevention of accidents in CATS' transportation system and facilities are the responsibility of each employee, they are first and foremost the responsibility of CATS Management. A safety reporting program was established as a viable tool for employees to voice their safety concerns. No disciplinary action will be taken against any employee who communicates a safety concern through the CATS safety reporting program unless such disclosure indicates the following: an illegal act, gross misconduct and/or negligence, or a deliberate or willful disregard of CATS rules. policies, and procedures.

CATS Management is committed to developing a Safety Management System (SMS) and will develop programs to promote the safety and security of all employees and customers. We are fully committed to providing a safe work environment and safe vehicles, systems, and facilities. To that end, CATS' General Manager of Safety and Security is empowered and authorized to administer a comprehensive, integrated Agency Safety Plan.

CATS will distribute this Safety Management Policy Statement to each employee and will review it with employees during employee safety meetings and toolbox talks with supervisors. CATS commitment to developing our SMS is supported by the following safety objectives:

- **Support** the implementation of an effective SMS by providing appropriate resources to support an organizational culture that fosters safe operational policies, encourages effective safety reporting and communication, and actively manages safety with the same attention to results as that given to the other management systems of CATS.
- Integrate the management of safety as an explicit responsibility of CATS managers and
- Clearly define for all managers, employees and contractors their accountabilities and responsibilities for the delivery of safe transit services and the performance of our safety management system.
- Establish and operate a safety reporting program as a fundamental tool in support of CATS hazard identification and safety risk evaluation activities to eliminate or mitigate

Subject/Title: Safety Policy Procedure No: CATS EX03
Revised Date: September 7, 2022

the safety risks of the consequences of hazards resulting from our operations or activities to a point that is as low as reasonably practical.

- **Comply** with and, wherever possible, exceed any applicable legislative and regulatory requirements and standards.
- **Ensure** that sufficiently trained and skilled personnel are available and assigned to implement CATS safety management processes and activities.
- **Ensure** that all staff are formally provided with adequate and appropriate safety management information, are competent in safety management system activities, and are assigned only safety related tasks commensurate with their skills.
- **Establish and measure** our safety performance against realistic safety performance indicators and safety performance targets.
- **Continually improve** our safety performance through management processes that ensure relevant safety action is taken in a timely fashion and is effective when carried out.
- **Ensure** contracted services are ordered and delivered in compliance with our safety performance standards.

Summary of Changes:

Third paragraph: Updated sentence: "A safety reporting program was established as a viable tool for employees to voice their safety concerns.



APPENDIX C CATS S&S03 Accident/ Incident Investigation & Reporting



Subject/Title:
Accident/Incident Investigation and Reporting

Procedure No: CATS S&S03

<u>Previous Revision</u>: August 31, 2021 Revised Date: July 28, 2022



John Lewis

Chief Executive Officer and Director of Public Transit

1.0 PURPOSE AND SCOPE

This document establishes the procedures for notification and investigation of accidents/incidents involving vehicles and property owned by the City of Charlotte (City) / Charlotte Area Transit System (CATS). This includes how personnel initially report, respond to, and investigate accidents. The procedures established herein are to be adhered to by employees in all Divisions within CATS and Transit Management of Charlotte (TMOC), as well as contracted carriers and service providers.

The procedures herein apply to any accident in which a person or persons are injured or property damage is incurred as a result of a vehicle collision involving any City-owned vehicle or any other vehicle operated by a CATS employee or agent of CATS while engaged in City business. This includes accidents/incidents involving the general public either in vehicular accidents, passenger accidents, or accidents occurring on City property. This procedure applies to all City / CATS-owned vehicles including fixed rail vehicles.

It is intended that this procedure complies with City Policies and the accident and incident notification and reporting requirements of the North Carolina Department of Transportation (NCDOT) State Safety Oversight Program Standard for Rail Fixed Guideway Systems (SSOPS) Section 6. CATS may conduct an investigation on behalf of NCDOT pursuant to Section 7 of the NCDOT SSOPS.

2.0 REFERENCES

NCDOT State Safety Oversight Program Standard for Rail Fixed Guideway Systems

CATS Emergency Preparedness and Continuity Plan

CATS Crisis Communication Plan

CATS System Safety Program Plan

City Policy MFS 8 Vehicle Accident Reporting Procedures

City Policy MFS 10 Critical Incident Review Procedures

City Policy HR 4 Maintenance of a Drug and Alcohol-Free Workplace

TMOC Alcohol and Drug Policy

City Policy HR 23 Employee Injury/Illness Reporting and Managed Return to Work

CATS MR01 Media Protocol

CATS S&S06 Suspicious/Dangerous (HOT) Object on a Vehicle or CATS Property

CATS S&S08 Reporting Hazardous Materials Spills

Spill Prevention Control and Countermeasure Plans

3.0 RESPONSIBILITY

Employees in all Divisions within CATS and TMOC, as well as contracted carriers and service providers, are to cooperate and share information on investigations of accidents to ensure that causes and contributing factors can be identified and remedial action taken.

4.0 DEFINITIONS

Accident any safety or security event that involves any of the following:

- loss of life; a report of a serious injury to a person; a collision involving a
- transit vehicle; a runaway train; an evacuation for life safety reasons; or any
- derailment of a transit vehicle, at any location, at any time, whatever the cause.

City of Charlotte Critical Incident Review Board – The convening body given authority by the City Manager and comprised of designated City employees and external experts to review all critical incidents as defined in City Policy MFS 10.

Critical Incident – Any incident or occurrence including, but not limited to: death or significant bodily harm requiring hospitalization; extensive property damage that could exceed \$50,000; threats of legal involvement/action; or an unusual event that falls outside the scope of the Department's routine incident response. (Per City Policy MFS 10).

Derailment – a non-collision event in which one or more wheels of a rail transit vehicle or on-track equipment unintentionally leaves the rails.

Event – An accident, incident or occurrence, including human factors and property damage.

Fatality – For purposes of Federal Transit Administration (FTA) statistical reporting on transportation safety, a fatality is considered a death due to injuries in a transportation crash, accident, or incident that occurs within 30 days of that occurrence.

Incident – A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency. An incident must be reported to FTA's National Transit Database (NTD) in accordance with the thresholds for reporting.

Incident Commander – The City's representative at the scene of a collision/incident who has the authority and responsibility for managing and coordinating all emergency response actions. This responsibility can transfer depending on how the situation at the scene unfolds.

Injury - Includes harm to passengers, operator, and others directly involved in an accident.

Liaison, CATS – The first CATS employee on the scene of a collision/incident, who controls and directs CATS activities at the scene, and who supports the on-scene Incident Commander and leads the CATS collision/incident investigation. This responsibility can

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transfer depending on how the situation at the scene unfolds. **CATS Safety and Security (S&S)** will assume this role upon arrival on scene.

MFS Management and Financial Services – A department of the City of Charlotte Management & Financial Services include Finance, Fleet Management, Internal Audit, Risk Management and Strategy & Budget.

Major Incident – An incident that meets or exceeds \$25,000 in property damage and/or an injury that requires an overnight stay at the hospital.

Minor Incident – An incident that results in property damage of less than \$25,000 and no injury that requires an overnight hospital stay.

Occurrence – An event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a rail transit agency.

Post-Accident Review Committee – Committee led by S&S to conduct an additional review of initial investigation of major and critical incidents, review cause, and identify mitigation/corrective action(s).

Property – Vehicles, equipment, or other physical objects that are owned by the City or others that were involved in an accident.

Serious Injury – Life-threatening or incapacitating injury requiring emergency medical attention.

5.0 GOALS/OBJECTIVES

The goals/objectives of CATS' accident investigation response and reporting procedures are listed below:

- 1. Ensure life safety.
- Stabilize the incident.
- 3. Preserve property.
- 4. To determine the probable cause and contributing factors of the accident:
 - Equipment failure
 - Personnel action(s)
 - Hazardous condition(s)
 - Procedural defect
 - Actions of other people
- 5. To identify and implement corrective action as soon as possible.
- 6. To provide concise, accurate, appropriate, and timely information.



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6.0 HAZARD MANAGEMENT

During accident/incident investigations, CATS anticipates hazards will be identified. To better assess, rate, track and resolve or mitigate these hazards, the hazard management process in the Agency Safety Plan (ASP) will be utilized.

7.0 PREPARATION FOR ACCIDENT/INCIDENT

The CATS Incident Response Team members are prepared to address emergencies on the scene. Incident responders will carry equipment and forms required on the scene. Safety & Security Incident Response Equipment (S&SF41) and Tools of Investigation (S&SF05 ROD and STS) are captured in Appendix A.

8.0 PROCEDURES

8.1 Notification Procedures for Any Accident, Injury, Property Damage, or Crime

For any incident, the operator/employee must immediately notify the appropriate communications center and/or CATS S&S personnel. Non-revenue vehicle operators should also notify their supervisor/manager as soon as possible.

Type of Incident	Includes	Contact
Bus	CATS fixed route, TMOC,	Bus Operations Control Center
	Contracted Services	(704) 336-4042; (704) 432-3761
Rail	Light Rail Vehicle (LRV)	Rail Operations Control Center
	(including Streetcar)	(704) 432-5040; (704) 432-7622
STS	STS	STS Dispatch
		(704) 336-4591; (704) 336-2637
Vanpool	Vanpool drivers	911 and notify Vanpool
		Coordinator (980) 722-3396
Other CATS Divisions	City cars, personal operated on	911 and Supervisor/Manager
	City business	
	Criminal activity	911 and
	Firearms, potential terrorist activity, dangerous (HOT)	CATS Police Communications
		(704) 432-8273
	object	(104) 432-0213

The caller states their involvement in the incident and provides the following information (as applicable):

- Bus Bus Number and if asked provide payroll number Rail – Train number and call number Non-Revenue – Name and Division/Section
- 2. Route information
- 3. Location
- 4. Direction of travel
- 5. Number of persons injured and/or requiring medical assistance
- 6. Extent of damage to the transit vehicle/Towing required
- 7. Any other assistance that may be required
- 8. Any known property damages.

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Bus Operations Control Center fills out Transit Master Incident Notification Report and emails to BOD Notify – Minor Accidents.

Rail Operations Control Center logs incident into SPEAR.

STS completes form S&SF01 Accident Notification Report.

Vanpool Coordinator requests police report from police department with local jurisdiction.

Each control center/dispatch office has call chains for all reportable events. After gathering the information from the operator and other parties, the respective communications center or manager forwards the information to the designated personnel and contacts the following agencies and City personnel (at a minimum):

- 1. Call "911" to notify emergency personnel (and Company Police for Rail incidents).
- 2. Call "911" for issues (and notify Company Police and CATS S&S).
- 3. Notify appropriate manager.

The above notification shall be completed within **fifteen (15) minutes** of the communications center or supervisor/manager being informed of the event.

Additional notifications may be made, including:

- 1. Division or on-duty manager
- 2. Additional operations managers (Rail Car Maintenance, Bus Maintenance, Rail Systems, STS Dispatch, Facilities Management, etc.)
- 3. Other support services (e.g., towing company) if necessary. Equipment Management: **(704) 336-2722** (business hours 6:00 a.m. 10:00 p.m.); after hours: **(980) 721-4676** or **(980) 721-4664**
- 4. Dellinger Wrecker Service **(704) 588-3875**

If the respective control center/dispatch office cannot reach an individual who must respond to the scene, the control center/dispatch office will contact the alternate(s) for the individual.

All individuals who are in the designated notification process (call chain) shall appoint one alternate in the event they cannot be reached by one of the control centers/dispatch offices. Contact information is updated regularly and is maintained by the control centers/dispatch offices.

8.2 Internal Notifications by Safety & Security

In any accident, incident, property damage, or crime resulting in a fatality, serious injury or major property damage, S&S is responsible for the following:

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- 1. Ensure notification is made to CATS Media Relations at **(980) 722-0311**. All media relations/ communications shall be coordinated by the CATS Public Information office, in accordance with the provisions of the Crisis Communications Plan.
- 2. Notify the General Manager of S&S via cell phone.
- 3. Notify Risk Management at **(704) 336-3301** (business hours) **(704) 634-2053** (after hours). Risk Management may arrange a response.
- 4. The General Manager of S&S will notify the CATS Chief Executive Officer (CEO).
- 5. Notify other internal CATS divisions as appropriate. Notify Rail and STS for evacuation of the Charlotte Transportation Center.

8.3 External Notifications by Safety and Security

S&S will notify the external agencies below based on criteria provided by the corresponding agencies and specified in the referenced CFRs or State Safety Oversite Program Standards (SSOPS). The record of the notification(s) will be captured in follow-up emails sent to these agencies.

Anytime CATS must notify NCDOT and FTA of an accident or incident as defined below, CATS is also to notify the NCDOT-designated personnel, via cell phone, immediately upon knowledge of a major rail-related event involving a fatality, serious injury to a person, or a runaway train. Immediate notification is required to allow NCDOT to determine if its representative(s) will be dispatched to the event scene.

NCDOT SSO Program Manager: Timothy P. Abbott

Cell phone: (919) 218-6880E-mail address: tpabbott@ncdot.gov

NCDOT SSO Program Manager Alternate: Jahmal Pullen, PE

Cell phone: (919) 423-8143E-mail address: jmpullen@ncdot.gov

FTA Transportation Operations Center (TOC)

Cell phone: (202) 366-1863
 E-mail address: CMC-01@dot.gov

 Rail - Notify NCDOT and FTA within two (2) hours by phone or e-mail for rail safety accidents including:



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rail safety additions including.

- (a) Loss of Life: Refers to a fatality (death) occurring at the scene or confirmed within 30 days following an accident that occurs on a transit property or is related to transit operations or maintenance.
 - Excludes deaths resulting from illness or other natural causes and criminal homicides that are not related to collisions with a rail transit vehicle.
- **(b) Serious Injury to a Person**: Refers to any injury which occurs on a transit property or is related to transit operations or maintenance and includes at least one of the following:
 - 1. Requires hospitalization for more than 48 hours, commencing within 7 days from the date 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 involving any internal organ; or
 - 4. Involves second-degree or third-degree burns, or any burns affecting more than five percent of the body surface.

Note: CATS safety personnel are not expected to undergo medical training to determine whether an injury meets the definition of "serious injury" and thus should make a determination based on available information at the time that the classification is made. Some injuries may not be apparent until the person undergoes a medical examination, at which point notification to SSO may be upgraded.

Excludes serious injuries resulting from illness or other natural causes and criminal assaults that are not related to collisions with a rail transit vehicle;

(c) Collision Involving a Rail Transit Vehicle:

Refers to a collision (contact) involving two or more rail transit vehicles, and all collisions involving at least one rail transit vehicle at a grade crossing, that results in substantial property damage, serious injury or fatality, as defined herein.**

Substantial damage is any physical damage to transit or non-transit property including vehicles, facilities, equipment, rolling stock, or infrastructure.

Substantial damage **Includes** damage which adversely affects the structural strength, performance, or operating characteristics of the vehicle, facility, equipment, rolling stock, or infrastructure requiring towing, rescue, onsite maintenance, or immediate removal prior to safe operation.

Substantial damage **Excludes** damage such as cracked windows, dented, bent or small puncture holes in the body, broken lights or mirrors; or removal from service for minor repair or maintenance, testing, or video and event recorder download.

{source: FTA 2-Hour Accident Notification Guide-9/24/21}.

Also see definition of a rail transit vehicle, as included in the SSOPS.



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**In addition to the FTA and NCDOT two-hour collision notifications required above, NCDOT also requires two-hour notification for all collisions involving a rail transit vehicle or on-track equipment, regardless of location (yard or mainline).

Following its review of the initial notification details (for non-FTA reportable collisions), NCDOT will notify CATS of its decision to require CATS to conduct formal preliminary and final investigations, on behalf of NCDOT, and submit investigation reports to NCDOT for review and approval.

Collisions not meeting NCDOT's requirement for formal investigation and reporting, shall be documented on CATS hazard log and included in the CATS quarterly hazard analysis reporting to NCDOT.

- **(d)** Runaway Train: Refers to a train which is no longer under the control of an operator, regardless of whether the operator is physically on the vehicle at the time.
- **(e) Evacuation for Life Safety Reasons**: Refers to a situation that occurs when persons depart from transit vehicles or facilities for life safety reasons (imminent danger), including self-evacuation.

Imminent danger may include situations such as fires, presence of smoke or noxious fumes, hazardous material spills, vehicle fuel leaks, weapon fired on a vehicle, electrical hazards, bomb threats, suspicious items, or other hazard(s) that constitutes a real potential danger to any person.

Includes evacuations of vehicles or facilities for events occurring on adjacent non-transit properties (i.e. bomb threat, gas leak, or fire) that causes a transit agency to evacuate a nearby rail transit vehicle or facility for life safety reason(s).

Excludes evacuations that are not for a life safety reason, such as an evacuation of a train into the right-of-way or onto adjacent track; or customer self-evacuation or transfer of passengers to rescue vehicles or alternate means of transportation <u>due to obstructions</u>, <u>loss of power</u>, <u>mechanical breakdown and system failures</u>, or damage.

- **(f) Derailment:** Refers to a non-collision event in which one or more wheels of a rail transit vehicle, including on-track equipment, unintentionally leaves the rails (at any location, at any time, and for any reason).
- 2. <u>Rail</u> NCDOT Unacceptable Hazardous Condition (UHC) Reportable Events within two (2) hours (non-FTA reportable):
 - (a) A revenue vehicle opening doors on the wrong side away from the platform or opening vehicle doors when the railcar doors are off the platform.
 - (b) Stop/Red Signal Overrun (verified Vital System Report) includes any instance in which a train operator passes a red signal or passes an

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- employee on the right of way who is communicating, by way of hand signals, to the train operator to STOP the train and remain standing.
- (c) Near miss contact of a rail transit vehicle with any authorized track-side personnel including roadway worker, contractors, or other authorized personnel.
- (d) Pantograph and OCS damage (Catenary line pulled down or pantograph entanglement).
- (e) Violation of Stop and Proceed Order as initiated by the Rail Operations Control Center (ROCC) or other CATS personnel, passing a dark signal, or passing a flashing Grade Crossing Indicator (GCI).
- 3. Federal Railroad Administration (FRA) notifications: Anytime CATS must notify the FRA of an accident as defined by 49 CFR 225.5 (i.e. shared use of the general railroad system trackage or corridors), CATS must also notify the SSO and FTA of the accident within the same time frame established by the FRA.

FRA Notification: rrswebinquiries@dot.gov

SSO Program Manager: Timothy P. Abbott
Cell phone: (919) 218-6880
E-mail address: tpabbott@ncdot.gov

SSO Program Manager Alternate: Jahmal Pullen, PE

Cell phone: (919) 423-8143E-mail address: jmpullen@ncdot.gov

A manager within S&S shall notify NCDOT of an unacceptable hazard within 24 hours (or the next business day) of the categorization of the hazard as an unacceptable hazard.

FTA Transportation Operations Center (TOC)
Cell phone: (202) 366-1863
E-mail address: CMC-01@dot.gov

4. Rail - National Transportation Safety Board (NTSB)

A manager within S&S will notify the NTSB via the National Response Center at **(800) 424-0201** at the earliest practicable time after the occurrence of any one of the following railroad accidents per 49 CFR Part 840.3 Notification of railroad accidents:

- (a) No later than two hours after an accident that results in:
 - (1) A passenger or employee fatality or serious injury to two or more crewmembers or passengers requiring admission to a hospital.
 - (2) The evacuation of a passenger train due to life safety events.

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- (3) Damage to a container resulting in release of hazardous materials or involving evacuation of the general public.
- (4) A fatality at a grade crossing.
- (b) No later than four hours after an accident that does not involve any of the circumstances enumerated in paragraph (a) of this section but that results in one of the following:
 - (1) Damage (based on a preliminary gross estimate) of \$150,000 or more for repairs, or the current replacement cost, to railroad and non-railroad property.
 - (2) Damage of \$25,000 or more to a passenger train and railroad and non-railroad property.
- (c) Accidents involving joint operations must be reported by the railroad that controls the track and directs the movement of trains where the accident has occurred.
- (d) In the event the NTSB "Go Team" responds to investigate the incident, command and control will transfer to the team at the conclusion of rescue operations. The Office of Safety & Security is responsible to support the Go Team and protect the scene so the team can conduct their investigation.

Anytime CATS must notify the NTSB of an accident as described above, CATS must also notify the SSO of the accident within the same time frame established by the NTSB.

SSO Program Manager: Timothy P. Abbott
Cell phone: (919) 218-6880
E-mail address: tpabbott@ncdot.gov

SSO Program Manager Alternate: Jahmal Pullen, PE

Cell phone: (919) 423-8143E-mail address: jmpullen@ncdot.gov

5. Transportation Security Administration (TSA)

Safety and Security will notify the local office of TSA at **(704) 916-6281** and Department of Homeland Security (DHS) by calling the Freedom Center at **(866) 615-5150** and reporting potential threats or significant security concerns within one-hour of notification to S&S of the incident.







Potential threats or significant security concerns encompass incidents, suspicious activities, and threat information including, but not limited to, the following (CFR 1580.203 subpart c):

- (a) Interference with the train or transit vehicle crew.
- (b) Bomb threats, specific and non-specific.
- (c) Reports or discovery of suspicious items that result in the disruption of rail operations.
- (d) Suspicious activity occurring onboard a transit vehicle or inside the facility of a rail transit system that results in a disruption of rail operations.
- (e) Suspicious activity observed at or around transit vehicles, facilities, or infrastructure used in the operation of the rail transit system.
- (f) Discharge, discovery, or seizure of a firearm or other deadly weapon on a transit vehicle or in a station, facility, or storage yard, or other location used in the operation of the rail transit system.
- (g) Indications of tampering with rail transit vehicles.
- (h) Information relating to the possible surveillance of a rail transit vehicle or facility, storage yard, or other location used in the operation of the rail transit system.
- (i) Correspondence received by the rail transit system indicating a potential threat to rail transportation.
- (j) Other incidents involving breaches of the security of the rail transit system operations or facilities.

Information reported should include, as available and applicable (from CFR 1580.203 subpart d):

- (a) The name of the rail transit system and contact information, including a telephone number or e-mail address.
- (b) The affected station, or other facility.
- (c) Identifying information on the affected rail transit vehicle including train number, transit line, and route, as applicable.
- (d) Origination and termination locations for the affected rail transit vehicle, including transit line and route.
- (e) Current location of the rail transit vehicle.
- (f) Description of the threat, incident, or activity.
- (g) The names and other available biographical data of individuals involved in the threat, incident or activity.
- (h) The source of any threat information.



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- **6.** S&S will report **spills per CATS S&S08** *Reporting Hazardous Materials Spills* or the appropriate *Spill Prevention and Countermeasure Plan*.
- **7.** For events on Freight Rail (as specified in e-Rail Rail Security Awareness Training), report all suspicious activity, Gate Failures or Incidents to:
 - CSX Public Safety Coordination Center: 1 (800) 232-0144
 - Norfolk Southern Police Communications Center: 1 (800) 453-2530

8.4 External Notifications by Risk Management

CATS Employees: Risk Management is responsible for contacting North Carolina Occupational Safety and Health Administration (OSHA) for any event resulting in a fatality or the hospitalization of three or more employees per City Policy HR23. Beginning January 1, 2015, OSHA will require the following to be reported:

- Work related fatality within 8 hours
- Any work-related in-patient hospital admission (regardless of number of employees), any amputation, or any loss of an eye within 24 hours.

TMOC Employees: BOD – HR will follow the same guidelines as City Risk Management for notification for all TMOC employees.

8.5 On-Scene Activities and Responsibilities

Responsibility for and command of the incident depends on the circumstances of the accident. This order shall be as follows:

Primary Incident Commander

The Fire Department Commanding Officer: rescue, firefighting, mass casualty, or hazardous materials incidents.

Local Police Jurisdiction: accident investigation, traffic control or scene clearance/transfer to CATS.

The first CATS representative on-scene will serve as CATS Liaison until such time as command is transferred appropriately. The CATS Incident Commander will serve as liaison to other responding agencies as needed. Command should be transferred to CATS S&S personnel upon their arrival unless current IC and S&S determine this is not necessary. If it is decided that command will not be transferred to S&S personnel, the S&S personnel on scene will serve as Safety Officer.

Ranking CATS Operations personnel, until relieved by a CATS S&S representative for incidents where only internal CATS Department is responding; not requiring emergency response agencies.





Bus Employee Responsibilities

Bus Operator:

- Assess the situation, check on passengers and occupants of other vehicles involved for injuries that require medical attention.
- Call the BOCC and provide information outlined in section 8.1.
- Pass out patron information cards and ensure they are collected once completed.

Supervisor:

- Assume control of the incident for CATS and act as CATS' Liaison or Incident Commander (IC) (ICS Unified Command)
- Notify the BOCC if additional medical attention is needed and coordinate towing if required (Must remain at scene until all vehicles are cleared).
- Establish detour if route is blocked.
- Support Bus Safety & Security if on-scene response is required.
- Collect accident/incident information.
- Coordinate tripper bus for passenger transport.

Maintenance Staff:

- Provide towing if required.
- Support Bus Safety & Security if requested to brake test vehicle, hold out of service until investigation is complete.
- Provide estimate of repairs to Risk Management.

Rail Employee Responsibilities

Rail Operator:

- Report incident to the ROCC
- Check on passengers and vehicle
- Provide information to first responders and act as CATS' representative
- Transfer command to supervisor on scene



Supervisor:

- Accept command of the incident for CATS and act as CATS' Liaison or Incident Commander (IC) (ICS Unified Command)
- Transfer command to and support Rail Safety staff once command is transferred
- Begin collecting accident/incident information
- Work with other staff to ensure it is safe to move the train and return to normal operations

Rail Safety Staff:

- Accept command of the incident for CATS and act as CATS' Liaison or Incident Commander (IC) (ICS Unified Command)
- Serve as primary Incident Commander once first responders have turned over incident to CATS
- Work with CATS personnel to ensure it is safe to move the train and return to normal operations

Rail Car Maintenance:

- Inspect the vehicle for damages
- Verifies that the vehicle is safe to be on and/or around it
- Ensures that the pantograph has been lowered and/or circuit breakers turned off if damages compromise the safety of others or cause environmental hazards (i.e. hydraulic oil leaks)
- Verify it is safe to move back to a yard for further inspection and repair if needed

Maintenance of Way:

- Inspect for electrical hazards from the OCS and will notify if the area is unsafe to enter
- Inspect track and switches
- Inspect signals and gates
- Inspect other railroad infrastructure to ensure there is no damage to equipment and safe to move train back to shop
- Verify it is safe to operate trains in the affected area prior to returning to normal service

In the event the National Transportation Safety Board (NTSB) Go-Team responds to the incident, command and control will transfer to the team at the conclusion of rescue operations. The Office of Safety & Security is

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responsible to support the Go-Team and protect the scene so the team can conduct their investigation.

See CATS Emergency Preparedness and Continuity Plan for detail on setting up a command center.

8.5.1 Protection of the Accident Scene

Before emergency responders arrive on scene, operators and field/street supervisors should take steps to prevent further injury and damage by:

- 1. Securing the scene with vehicles, tape, etc.
- 2. Moving passengers and others to a safe place.
- 3. Closing off CATS vehicles to prevent people from entering. This effort is to prevent fraudulent claims or contamination of any forensic evidence.

Ensure that evidence and the physical circumstances at the scene are preserved as much as possible.

Access to the scene should be controlled. Only fire, police, MEDIC personnel, and authorized City personnel shall be allowed access to the scene.

The ranking Operations person protects the accident scene until a CATS S&S representative responds. The responding personnel from S&S will assist in protecting the scene and CATS property with help from local law enforcement.

8.5.2 Immediate Actions to be Taken

The operator, CATS supervisor, TMOC supervisor, or first responding personnel to the accident scene for all accidents is responsible for:

- 1. Protecting and assisting the injured.
- 2. Ensuring sufficient resources are en route (i.e., Fire, Rescue, Police, Towing Company).
- 3. Securing the accident scene.



- 4. The following procedure will be followed for any accident involving a serious injury or major property damage per City Policy MFS08:
 - a. Immediately, while the vehicles are still at the accident scene, contact Risk Management with details of the accident. Risk Management will provide additional direction if the vehicles have been removed from the accident scene.
 - Avoid starting the vehicle or turning on the vehicle's ignition switch.
 Valuable information can be lost from the onboard computer if this occurs.
 - c. If directed by Risk Management, make arrangements with Equipment Management for secure movement and storage of the City owned vehicle.
- The law enforcement agency investigating an accident outside of Mecklenburg County may require that the City vehicle be towed to a local facility. In this case, Equipment Management will make arrangements to have the vehicle transported to a City facility.
- 6. Arranging for transportation of vehicle operator for drug/alcohol testing, if the criteria level is met under the City's/CATS' or TMOC's drug/alcohol program and the operator is not hospitalized.
- 7. Collect information needed to submit a "Vehicle Accident Report." See forms in Appendix A.
- 8. An "On the Job Injury Report" (https://claims.ci.charlotte.nc.us) must be completed for any City employee who is injured. An employee with a serious injury should be transported by Emergency Medical Services (EMS) to the nearest emergency care facility. Employees requesting treatment for minor injuries that do not require EMS should be transported to the nearest Concentra Care facility. Trips to the emergency room should be avoided for a minor injury provided an Urgent Care facility is open. A copy of the Treatment Referral Form must be completed and provided to the urgent care facility. The Treatment Referral Form and maps for facility locations can be found Management the Risk reporting website http://riskmgmtonline.ci.charlotte.nc.us/helper/helperOTJIR.html.
- 9. TMOC employees will follow TMOC procedures for treating injured employees and will use TMOC forms for on-the-job injuries.

8.5.3 Collection of Information

Collection of appropriate information shall be the responsibility of the CATS supervisor, TMOC supervisor, or S&S staff at the discretion of an S&S manager. Risk Management has the discretion of collecting the information for any accident involving a fatality, serious injury, or major property damage.

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- Note the passengers on vehicle, take photographs of the accident scene, appropriate rails and switches (Rail Operations only), and vehicle(s) involved unless a fatality has occurred. Avoid taking photographs of seriously injured passengers. For fatality incident/accident, secure scene and hold for Charlotte-Mecklenburg Police Major Crash Unit and CATS Safety & Security.
- Gather names of injured parties and witnesses, including nonpassengers. Have patrons complete Accident/Incident Patron Information Card S&SF06 for Bus, or Passenger Status Card RODF032 Rail if applicable.
- 3. Mark final resting spots of vehicles involved in the accident/incident.
- 4. Complete *Incident and Accident Report Supervisors* RODF040 for Rail.
- 5. Establish initial damage assessment of CATS property, other property, and total property damage.
- 6. For STS only: Checklist S&SF03 details the actions to be taken during the initial investigation.
- 7. Collect video from bus or rail vehicle and provide video to Charlotte-Mecklenburg Police Department. CATS MR01 *Media Protocol* will be followed for release of any video to the public.
- 8. For Rail only, Light Rail Vehicle downloads.

8.6 Isolation of CATS Vehicles

If it has been determined that the vehicle needs to be isolated, the vehicle will be secured at a CATS facility.

CATS S&S shall ensure a Vehicle Isolation Form S&SF07 is affixed to the vehicle with the date, name, and department of person responsible for isolating the vehicle. CATS S&S will control access to the vehicle.

S&S may authorize access to the vehicles following a consultation with the Risk Management Representative. When accessing the vehicles, the Access Section of the Vehicle Isolation Form must be completed indicating the name, date, department or agency, and reason for accessing the vehicle.

The Risk Management Claims Manager, in conjunction with S&S must approve access for any testing involving the vehicle or the removal or repair of any component. Access will be coordinated with S&S.

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If an NTSB Go Team responds to the incident, CATS vehicles involved in the accident cannot be moved or removed from the scene until authorized by the NTSB team and S&S.

8.7 Vehicle Release

Vehicles will be released from an incident scene once it is determined the vehicle is safe to operate or be towed by vehicle maintenance personnel and cleared by a Supervisor or Safety and Security Staff.

Bus Operations

- Minor incidents Bus supervisor confirms minor damage to bus and safe to release the bus to return to service or back to a bus maintenance facility.
- Major incidents Safety & Security staff confirms with Bus Maintenance staff
 the bus is safe to operate back to a maintenance facility or must be towed and
 will release the vehicle from the scene.
- Safety & Security staff will either isolate the vehicle or release the bus-to-bus maintenance for further inspection and repair.

Rail Operations

- Minor incidents Rail supervisor confirms minor damage to train and safe to operate train. If Rail Safety staff is more than 10 minutes away from the scene and there are no injuries on the train or the ROW, the Rail Supervisor calls the on-call Rail Safety number to receive verbal release of the train back to a rail yard where safety staff will continue their investigation.
- Major incidents Safety & Security staff confirms with Rail Car Maintenance staff the train is safe to operate back to a maintenance facility or must be towed and Maintenance of Way staff confirmed track, signals and systems are safe to operate on at which point safety staff will release the train from the incident scene.
- Safety & Security staff will either isolate the vehicle or release it to rail car maintenance for further inspection and repair.

Isolated Vehicles

Any isolated vehicle shall not be repaired or returned to revenue service until the Vehicle Isolation Form has been signed indicating S&S has given written authorization that vehicle may be released. Prior to release, S&S will check with the respective parties involved in the accident investigation to confirm that they have completed their examination of the involved vehicle.

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Upon completion of all repairs and testing, CATS or TMOC Maintenance Director issues a written report to S&S on each accident resulting in the vehicle being isolated. The report confirms that the vehicle is safe and may return to service.

The Vehicle Isolation Form is kept in the accident file in the Office of Safety & Security after completing the written authorization releasing the vehicle.

If the vehicle involved is beyond repair (a total loss), then Maintenance must notify the CATS Chief Financial Officer for a determination on future disposition of the asset, including the need to notify the FTA.

8.8 Accident Investigation Documents and Reviews

This section describes the review and documentation required for an accident or incident. Additional actions may be required depending upon the severity of the incident as defined in Section 4.

8.8.1 Drug/Alcohol Test Results

When an accident meets the drug/alcohol test criteria as defined in CATS HR02 *Drug and Alcohol Policy for Safety Sensitive Employees*, City Policy HR 4 *Maintenance of a Drug and Alcohol-Free Workplace* for City employees or the *Alcohol and Drug Policy* for TMOC employees, test results are reported to the Drug and Alcohol Program Manager. All post-accident testing is performed immediately. Results of a negative drug test are generally known within 48 hours. Positive drug test results may not be known for 72 hours. Alcohol results are known immediately after testing and are provided verbally to the transporting supervisor.

In the event an employee is incapable of giving consent due to serious injury or death, post-accident testing cannot be performed by CATS or TMOC per FTA regulations. Testing may be performed by the applicable law enforcement agency. CATS S&S Manager, TMOC staff, or Risk Management may request results from that agency.

8.8.2 Accident/Incident Investigation Report Format

For each accident/incident and unacceptable hazardous condition as defined through the hazard resolution matrix, CATS will prepare and submit the appropriate accident/incident investigation forms and supporting documents and, if necessary, a corrective action plan including a corrective action implementation schedule. The investigation report will be submitted to NCDOT and should include at a minimum the information listed below:

Cover Page

- Date of report;
- Addressed to NCDOT SSO; and

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Signed by an authorized agent of CATS.

Event Tracking

- Document Control Number;
- o Event #;
- Event Name/Title;
- Event Type (fatality, injuries, property damage, evacuation, derailment or other);
- Event Hazard Rating;
- Date & Time of event;
- Date & Time initially reported to SSO;
- Date & Time Preliminary Report was submitted to SSO;
- Name and job title of person assigned to lead the investigation of the event (accident, incident, or unacceptable hazardous condition (UHC)); and
- Date Final Report submitted to SSO.

Event Summary Statement

Event Description (summary statement of what occurred).

Event Narrative (details)

- Fatalities (agency employees and civilians);
- Injuries; (agency employees and civilians);
- Number of persons transported for medical treatment;
- Sequence of Events (leading up to, during, and following the incident occurring). Includes summary of audio/video review by investigation team (on-board and stationary recording devices);
- o Rail transit vehicle(s) involved (type, vehicle number, consist type);
- Number of vehicles towed from scene or taken out of service:
- Posted speed vs. actual speed of vehicles involved at the time incident occurred (speed estimated, verified, or unknown);
- Number of passengers onboard consist at time of incident;
- Number of passengers in non-rail vehicles;
- Number of rail vehicles derailed;
- Number of other vehicle(s) involved and type (car, truck, semi, etc.);
- Property damage estimate to revenue vehicles;

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- Property damage estimate to track, signals, right-of-way, or other agency owned infrastructures;
- Property damage estimate to other, non-agency, property;
- Summary set of photographs, diagrams, and drawing related to the event (i.e., location, damage to rail and non-rail vehicles and property, etc.). A complete/comprehensive set(s) of relevant supporting documents should be attached to the Final Incident Report;
- Attachments that include all related reports (i.e., police, operator, witness statements, etc.);
- Attachments that include all related Safety and Security (S&S)
 Department's documentation of S&S independent investigations, interviews, findings, and recommendations related to the incident;
- Drug and/or alcohol tests performed and for which employees (by job title and direct/indirect involvement in incident) and under who's authority was testing performed (meets FTA threshold or agency policy);
- NTD reportable (if yes, date/time reported, or monthly reporting scheduled);
- NTSB reportable (if yes, date/time reported);
- FRA reportable (if yes, date/time reported);
- Primary person (i.e., Chief Investigator) conducting the investigation (name, title, phone numbers and email address);
- Citation(s) written by Law Enforcement or other authority (and to whom);
- Physical Characteristics of the Scene (including weather, outdoor ambient temperature, road and visibility conditions, etc.); and/or
- Interview Summary Findings.

Probable Cause (s) and Contributing Factors

- Condition(s) of rail rolling stock and infrastructure contributing to event
- Other non-agency condition(s) contributing to event
- Job hazard analysis summary (if completed)
- Human factors analysis summary (if completed)
- Analysis of safety risk mitigation(s) currently in place which should have prevented event (if completed)
- Hours-of-service details for employee(s) involved (including splitshifts and over-time worked within previous 72 hours)



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Conclusions

o Chief Investigator's findings and summary statement

Findings, Recommendations, and Proposed Corrective Action Plan(s)

- List tasks, follow-up activities, and risk mitigations strategies being implemented in order to improve agency control of safety risk (including assignment of agency key staff members, by name and job title, and target dates for completion).
- Identify proposed CAPs needed to properly address associated safety risks and follow reporting and management of CAPs, as outlined in **Section 9** of this SSOPS.
- List safety risk monitoring plans intended to ensure that all recommendations and corrective actions are: 1) implemented; 2) effective in controlling safety risk to an acceptable level; and 3) create no new safety risk (unintended or otherwise).

8.8.3 Distribution of Accident/Incident Reports

CATS shall forward a copy of the report file, which includes all statements, forms, and accident/incident reports to Risk Management.

For major and critical incidents, reports will be forwarded within 48 hours after the accident or by 5:00 p.m. Tuesday if the accident occurred Friday night, Saturday, or Sunday.

Rail Operations:

CATS shall provide a Preliminary Investigation Report to NCDOT within **72 hours** of an event meeting the definition of an Accident/UHC; as defined herein. CATS shall provide a Final Investigation Report-Draft to NCDOT within **thirty (30) calendar days** following the reportable event. Final reports shall include but may not be limited to 1) hazard analysis and safety risk mitigation activities conducted during reportable event investigations; 2) planned completion date(s) for these activities; and 3) specific Department(s) and specific personnel assigned to complete the investigation and other these activities.

In the event that CATS cannot provide a Final Investigation Report to NCDOT within the timeframe stated above, CATS shall formally request a time extension, not to exceed **thirty (30) additional calendar days**. CATS' time-extension request must include the following information:

- Status/Progress of the incident investigation to date
- Reason(s) for the delayed Final Investigation Report
- Proposed date (if approved) when Final Report will be submitted to NCDOT

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CATS Lead Investigator's Name, email address, and direct phone contact #

NCDOT shall approve or deny an extension request, via email. In the event that an extension request is denied, CATS shall submit its Revised Final Investigation Report, meeting the requirements listed below, within a timeframe established by NCDOT and included in the denial email from NCDOT. The following timeline and actions shall be followed to ensure that Final Investigation Reports are completed per the standards of NCDOT:

- 1. As stated above, CATS shall provide a Final Investigation Report-Draft to NCDOT for review within **thirty (30) calendar days** following the reportable event.
- 2. If NCDOT is satisfied with its review of the Final Investigation Report-Draft, CATS will update the report format to indicate "Final Investigation Report". Subsequently, NCDOT will adopt the report as final; communicating its decision via formal letter to CATS, at which point the report becomes the Final Investigation Report and will be submitted to FTA's SSOR website.
- 3. If NCDOT is not satisfied with the Final Investigation Report-Draft or does not approve the proposed CAPs, NCDOT will communicate its concerns/questions, via email to CATS, using the NCDOT SSO Comment Tracking Sheet within fifteen (15) calendar days following receipt of the draft report.
- 4. CATS shall have **fifteen (15) calendar days**, from date of receipt, to fully respond to the comments issued by NCDOT. CATS' responses to NCDOT's comments shall be included in the document body of the CATS Revised Final Investigation Report submission to NCDOT. If additional discussion or follow-up is warranted, NCDOT or CATS may request to convene a conference call with one another to reach a resolution for unresolved questions/concerns.
- 5. If NCDOT is satisfied with the Revised Final Investigation Report and CATS' responses to comments, NCDOT will adopt the revised report as final; communicating its decision via formal letter to CATS, at which point the report becomes the Revised Final Investigation Report and will be submitted to FTA's SSOR website.

8.8.4 Risk Management Investigation

Risk Management is responsible for managing any claim against the City. Risk Management may elect to retain the services of outside experts, such as forensic engineers, to assist with the investigation. Information concerning the investigation may be shared with the CATS S&S Manager(s).

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8.8.5 Equipment Review and Report

The responsible division shall review vehicles involved in accidents/incidents. If the vehicle is isolated, the review will not be conducted until the vehicle is released unless otherwise requested by Risk Management.

The following should be submitted to S&S and Risk Management:

- 1. A comprehensive damage assessment and cost estimate for repairs.
- 2. A preliminary determination as to whether any component failed and thereby contributed to the accident. This does not apply to a vehicle in isolation.

For any vehicle held in isolation, all inspections and determinations of component failure will be coordinated between Risk Management and S&S.

8.8.6 Supervisor's Accident Investigation Report

The supervisors shall complete their reports by the end of their shift.

Bus, STS: and Vanpool Post-Accident Questionnaire (form S&SF11) and Accident/Incident Summary (form S&SF09)

Rail: Incident and Accident Report – Supervisors (form RODF040)

The supervisor's accident investigation reports, including Employee Accident Report (form S&SF08), pre-trip inspection cards, and Patron Information Card shall be submitted to S&S by the end of the next business day.

8.8.7 Operator's Accident Report

The Employee Accident Report (S&SF08) shall be completed by the operator(s) involved in the accident by the end of the employee's shift or run, unless the employee is hospitalized. This report is turned in to S&S and reviewed for clarity and completeness. S&S keeps the original and forwards a copy to Risk Management.

In the event the operator is seriously injured, unconscious, or hospitalized, this report will be completed by the supervisor on duty pending the employee's return to work.

For Vanpool, drivers complete the Risk Management Vehicle Accident Reporting form.

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8.8.8 Operator's Statement

The operator completes a written statement (included in S&SF08) by the end of his or her shift. All recorded statements are the responsibility of Risk Management.

8.8.9 External Reports

Depending on the circumstances and/or severity of the accident, external reports may be required. Copies of all external reports are sent to Risk Management. External reports may include, but are not limited to the following:

- Coroner's Reports
- Emergency Medical Services Reports
- Fire Department Reports
- Hospital Records
- Municipal Police Reports
- Original Equipment Manufacturer's Reports

Activities involving accident reconstruction or other professional experts are performed at the request and direction of Risk Management.

8.8.10 Safety and Security Regulatory Reports

The General Manager of S&S is responsible for meeting the reporting requirements of NCDOT, FTA and the NTSB. Copies of reports required by these agencies will be provided to Risk Management.

All CATS and TMOC employees are expected to cooperate fully with CATS S&S in the accident investigation.

8.8.11 Claims Management

Interaction with any party involved in a claim against the City is the responsibility of Risk Management. This includes insurance carriers and legal counsel. Risk Management is the only entity authorized to discuss settlement of these claims.

8.8.12 Post-Accident Review Committee for Major and Critical accidents

As called for by the Manager of Safety (Rail or Bus), a Post-Accident Review Committee led by CATS S&S and comprised of Safety, Operations, and other Departments as required may be assembled and a meeting may be called. Subsequent meetings may be convened to share information

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concerning remedial measures. For critical incidents, the same post-accident review may be conducted.

8.8.13 Critical Incident Review (per City Policy MFS 10)

Risk Management, in collaboration and consultation with CATS CEO, City Manager's Office, and City Legal staff, will determine whether the *City of Charlotte Critical Incident Review Board* will convene.

If it is determined that the *City of Charlotte Critical Incident Review Board* will convene, Risk Management will notify all Board Members and schedule and facilitate the Board meeting. The Board will present a mitigation plan and conduct follow-up activities as described in City Policy MFS 10.

9.0 CORRECTIVE ACTION PLAN (NCDOT- RAIL ONLY)

After a rail accident, incident, occurrence or unacceptable hazardous condition as defined through the hazard resolution matrix, CATS will submit a corrective action plan (CAP) to the NCDOT when applicable. See the CATS ASP and NCDOT SSOPS, as amended for further instructions on CAPs.

10.0 REPORT ACCEPTANCE AND APPROVAL

Accident/Incident report acceptance and approval are the responsibility of the CATS General Manager of S&S. Coordination and review of Accident/Incident reports will be afforded CATS Operations prior to acceptance and approval. Final approved reports will be officially transmitted from the CATS General Manager of S&S to NCDOT.

11.0 SAFETY AND SECURITY COMMITTEE ("SSC")

The Safety and Security Committee ("SSC") will identify opportunities to reduce safety and security risks through design, technology, and changes in procedures and processes. The committee will:

- 1. Look at trends in major and critical preventable accidents.
- 2. Review probable causes and contributing factors, establish conclusions, and give recommendations and corrective actions.
- 3. Identify and assign owners for additional improvements to reduce preventable accidents.
- 4. Prioritize improvements and provide estimated costs. Assign champions for funded items and track successes.

The committee is chaired by the General Manager of S&S. Members will include representatives from Bus, Rail, or STS Operations (depending on type of incident), Development, S&S, Technology, Facilities Management, Quality Assurance, and CMPD. Additionally, members of the Post-Accident Review Committee described in Section 7.8.1 may contribute to the SSC.

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12.0 RECORDS REQUIRED

Forms identified in this procedure along with other pertinent records and photographs collected as part of the investigation will be forwarded to Risk Management. Copies will be maintained by S&S per the CATS records retention schedule.

Risk Management and the City's legal staff will determine the official distribution and/or release of any accident reports.

Summary of Changes

- 4.0 Added definition of derailment in this section.
- 8.3 Updated subheadings and numbering; updated and provided additional information for collisions involving rail transit vehicles and notification requirements. Added to NCDOT UHC Reportable Events section clarification for stop/red signal overruns.
- 8.8.2 Made revisions to instructions for Investigation Reports, format and content.
- 8.8.3 Updated procedure to describe RTA and NCDOT responsibilities concerning accident/incident report distribution, extension requests, comment resolution and report acceptance.
- 9.0 Added reference to NCDOT program standard.

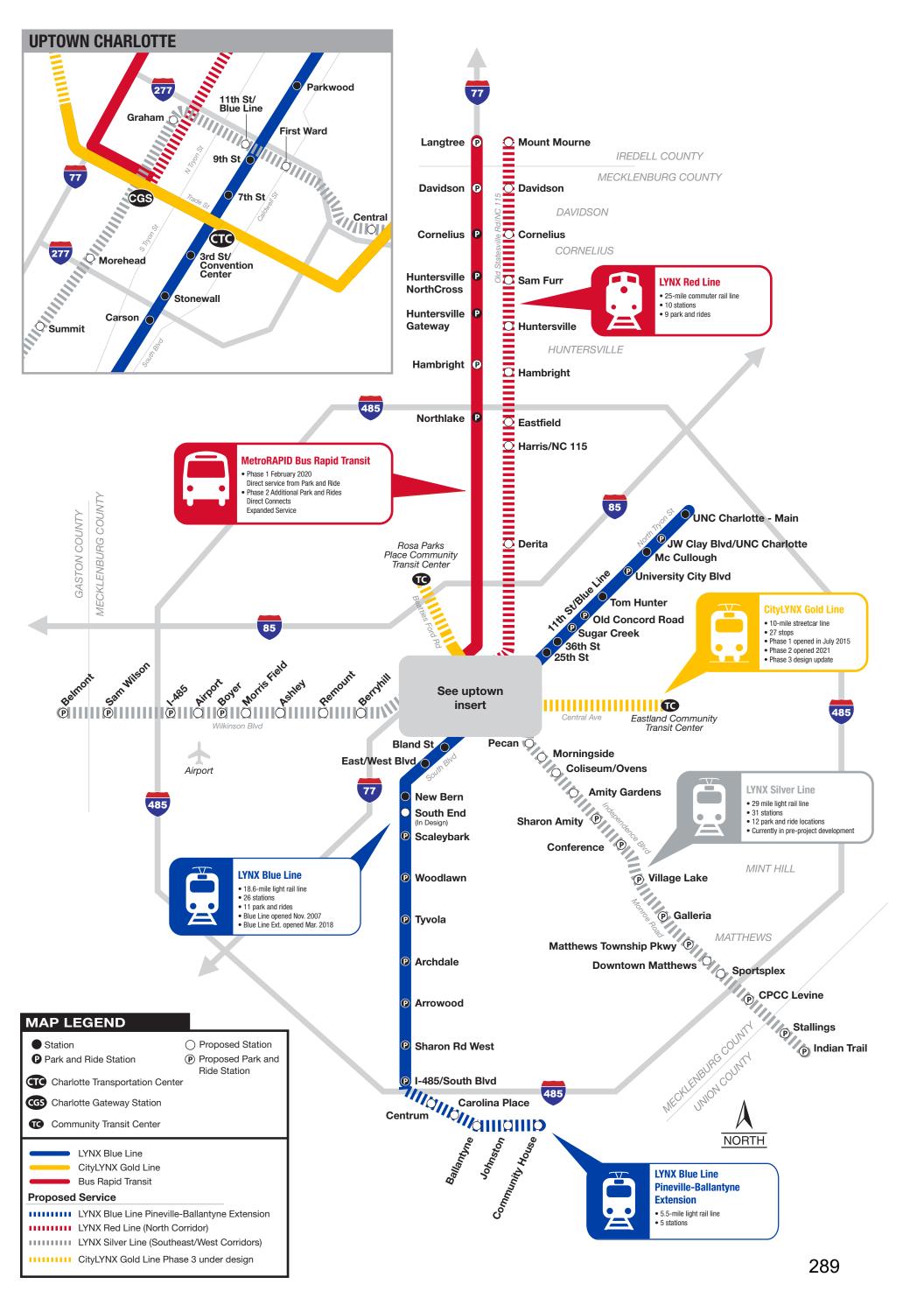
Entire Document: Wording and grammatical changes were made for clarity.



Appendix A Accident/Incident Investigation Forms

CATS FORMS
Accident Notification Report (STS) <u>S&SF01</u>
Incident and Accident Report – Supervisors (Rail)
Patron Information Card (Bus and STS) <u>S&SF06</u>
Passenger Status Card (Rail S-70)
Accident/Incident Investigation Documentation Checklist (STS) <u>S&SF03</u>
Tools of Investigation (checklist) (STS)
<u>STS</u>
Tools of Investigation (checklist) (ROD)
ROD
Vehicle Isolation Form
Employee Accident Report
Accident/Incident Summary (Bus and STS)
Post-Accident Questionnaire (Bus and STS)
Infraction Record Entry – STS <u>S&SF36</u>
Emergency Response Equipment
RISK MANAGEMENT FORMS
https://claims.ci.charlotte.nc.us
On the Job Injury Report
Vehicle Accident Reporting Form (Vanpool Drivers and Non-operations divisions)
General Liability Reporting Form
Property Loss Reporting Form
City Forms available on CNet/Human Resources/Drug and Alcohol Testing
City of Charlotte Post Accident Testing Checklist
Appointment Form and Authorization for Drug and/or Alcohol Test
TMOC FORMS
Drug and Alcohol AuthorizationN/A

APPENDIX D System Maps



APPENDIX E Forms



Name:	Date:		
Unit or Division:			
Has this issue been reported to a supervisor?	Yes	No	
If yes, when was it first reported to a sup	ervisor?		
Location of Issue/Concern:			
Nature of Issue/Concern:			

То	To be filled out by Safety Personnel					
Name:	Date Received:					
Date Reviewed:	Initial Hazard Rating					
Assigned To:	Final Hazard Rating					
Actions Taken:						

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Manager Signature:

Close Date:

State of North Carolina Department of Transportation

Quarterly RTA Asset Management Status Report							
Asset	# Planned Inspections	# Actual Inspections	Plan Reference Document	Priority 1 - Operational / Safety Related Issues Identified	Priority 1 - Operational / Safety Related Issues Open	Planned Date to Complete Priority 1 - Open Items	
Rolling Stock							
Light Rail Vehicles							
Streetcars							
Equipment							
Non-Revenue Track Equipment Emergency Equipment							
Infrastructure							
Signal Systems							
Power Substations							
Guideway (OCS) System							
Grade Crossings							
Turnouts and Crossovers							
Bridges							
Walls / drainage systems							
Yards and Lighting							
Technology / IT							
Facilities							
Passenger Stations and Parking							
Maintenance Facilities							
State of Good Repair (SGR) Status	Narrative:			tings below 3.0 Management (TAM)		on Plans	
Rolling Stock							
Equipment							
Infrastructure							
Facilities							
Funding/Budgeting	Narrative: Status of Current Funding Available, Source of Funding, and					ng, and	

APPENDIX F Approvals of Agency Safety Plan

MTC Resolution and CATS
Safety & Security
Committee

From: Moskowitz, David < <u>David.Moskowitz@charlottenc.gov</u>>

Sent: Tuesday, July 11, 2023 7:10 PM

Subject: Rail Safety Committee Review of the ASP

Good evening. Below is a link for the final draft of the CATS Agency Safety Plan (ASP). As part of the approval process, the Rail Safety and Security Committee must review and approve the plan. As the committee by-laws allow, we are asking for an email vote from current committee members only. However, everyone on this email is free to review and provide feedback and comments. To make your review easier, we have used a red font to identify all of the changes in Version 3 of this ASP. Feel free to reach out to myself or the safety and security managers if you have any questions. As a reminder, no reply is considered acceptance of the document.

Please have all reviews completed by COB Friday, July 14th. Thank you in advance for your review and approval.

Agency Safety Plan

David Moskowitz, WSO-CSE, TSSP, PTSCTP General Manager Office of Safety and Security CATS Chief Safety Officer



3145 South Tryon Street Charlotte, NC 28217 Office: 704-336-7661 Mobile: 704-614-4676

david.moskowitz@charlottenc.gov

From: Moskowitz, David < David.Moskowitz@charlottenc.gov>

Sent: Monday, July 17, 2023 9:25 AMSubject: RE: Rail Safety and Security Committee

Good morning. I am fine with the proposed changes. Also, please note that based on the feedback I received regarding the ASP, the Rail Safety and Security Committee had approved the final draft ASP Revision 3 on Friday, July 14, 2023. Thank you all for your support.

David Moskowitz, WSO-CSE, TSSP, PTSCTP General Manager Office of Safety and Security CATS Chief Safety Officer

Comment of the contract of the

3145 South Tryon Street Charlotte, NC 28217 Office: 704-336-7661 Mobile: 704-614-4676

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APPENDIX G Reference Documents Index

Reference Documents Index

Bus Operations Control Center Standard Operations Procedures and Reference Guide

Bus Operations Division Procedures Manual

CATS BOD100 Preventative Maintenance Inspection (PMI) Audits

CATS BOD104 Configuration Change Control

CATS Marketing and Communications Plan

CATS HR02 Drug and Alcohol Policy for Safety Sensitive Employees

City Policy HR4 Drug and Alcohol-Free Workplace

Rail Maintenance Handbook

Rail Rule Book

ROD304 Bulletins, Notices, General Orders and Operating Orders

CATS ROD600, Preventive Maintenance Requirements for Rail MOW

ROD600-series SOPs

CATS ROD801 Configuration Change Control CATS Policy and Procedure Manual

CATS CSVS04 Customer Insights Tracking Process

CATS EX03 Safety Policy

CATS P&CM04 Change Control Procedure

CATS QA01 Control of Public Records

CATS QA02, Control and Distribution of Plans, Manuals, Policies and Procedures

CATS QA05 Nonconformity and Corrective Action

CATS QA08 Procedure Change Request Process

CATS S&S03 Accident/Incident Investigation and Reporting

CATS S&S05 Hazard Communication Program

CATS Procurement Manual

CATS Quality Manual

Safety and Security Certification Plan - BLE

Safety and Security Certification Plan - CityLYNX GL2

Transit Management of Charlotte, Inc. Substance Abuse Policy

External References

National Public Transportation Safety Plan, January 2017

North Carolina State Safety Oversight Program Standards (SSOPS)

North Carolina G.S. 20-37.19 reporting positive DOT drug or alcohol tests under 49 CFR Part 382 or Part 655.

FTA's Handbook for Safety and Security Certification (2002)

FTA posts the latest Drug and Alcohol Regulations, Rules, and Notices at: http://transit-safety.volpe.dot.gov/DrugAndAlcohol/Regulations/Regulations/default.aspx

49 U.S.C. Chapter 53

49 U.S.C.5309 discretionary construction program

49 U.S.C. 5329(d)

49 CFR Part 40 Procedures for Transportation Workplace Drug and Alcohol Testing Programs

49 CFR Part 655 Prevention of Alcohol Misuse in Transit Operations

49 CFR 672 Safety Training

49 CFR Part 673 Public Transit Agency Safety Plans

49CFR Part 674 and the SSOPS

MIL-STD-882E DEPARTMENT OF DEFENSE STANDARD PRACTICE SYSTEM SAFETY

APPENDIX H Safety Annual Targets and Results

Fatalities (Goal: 0 per 100k mi)

Mode	2018 Incidents	2018 Rate	2019 Incidents	2019 Rate	2020 Incidents	2020 Rate	2021 Incidents	2021 Rate	2022 Incidents	2022 Rate	2023* Incidents	2023* Rate
Bus	0	0.00	0	0.00	2	0.02	2	0.02	1	0.01	0	0.00
STS	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
Rail**	1	0.05	1	0.04	0	0.00	3	0.20	0	0.00	0	0.00

Preventable Safety Events (Goal: 0.5 per 100k mi)***

Mode	2018 Incidents	2018 Rate	2019 Incidents	2019 Rate	2020 Incidents	2020 Rate	2021 Incidents	2021 Rate	2022 Incidents	2022 Rate	2023* Incidents	2023* Rate
Bus	42	0.31	41	0.30	22	0.19	30	0.27	40	0.37	18	0.40
STS	13	0.47	3	0.11	3	0.16	4	0.19	5	0.26	1	0.12
Rail**	1	0.05	1	0.04	2	0.11	0	0.00	4	0.22	2	0.28

NTD Major Reportable Injuries****

Mode	2018 Incidents	2018 Rate	2019 Incidents	2019 Rate	2020 Incidents	2020 Rate	2021 Incidents	2021 Rate	2022 Incidents	2022 Rate	2023* Incidents	2023* Rate
Bus	135	1.00	63	0.46	67	0.58	54	0.48	64	0.59	28	0.62
STS	3	0.11	6	0.22	1	0.05	11	0.53	3	0.16	0	0.00
Rail	1	0.05	0	0.00	4	0.22	0	0.00	0	0.00	0	0.00

(Goals: Bus/STS - 0.59 per 100k mi; Rail - 0.80 per 100k mi)

System Reliability*****

System Render	····y					
	2018 Mean Distance in VRM	2019 Mean Distance in VRM	2020 Mean Distance in VRM	2021 Mean Distance in VRM	2022 Mean Distance in VRM	2023* Mean Distance in VRM
Mode	Between Major Mechanical					
	Failures During Revenue Svc.					
Bus	14,365	15,117	16,196	12,921	8,934	8,777
STS	33,486	92,128	106,149	3,044,141	19,553	14,165
Rail**	3,803	4,680	5,643	4,281	38,965	179,508

(Goals: Bus < 1 per 15k mi; STS < 1 per 60k mi; Rail < 1 per 3k mi)

Statement on Revision 3

As CATS' Safety Management System (SMS) has been implemented over the last 3 years, the measurements of the Agency Safety Plan (ASP) Safety Performance Measures have been adjusted in line with more current guidance from NCDOT and FTA. The following notes explain the current measurements being reported in Version 3 of the CATS Agency Safety Plan. The chart

** Rail total passenger car revenue miles.

***** Interruptions during revenue service resulting from major mechanical failures as reported by Rail Car Maintenance. 2022 and 2023 reflect this change. The previous rates will be adjusted to reflect this change during the FY2024 revision cycle.

With the approval of Revision 3, the following metrics will be used to track the safety goals above:

Bus

Fatalities: 0 per 100,000 miles Safety Events: 0.50 per 100,000 miles Injuries: < 1 per 100,000 miles System Reliability: < 10 per 100k miles

STS

Fatalities: 0 per 100,000 miles Safety Events: 0.30 per 100,000 miles Injuries: < 1 per 100,000 miles System Reliability: < 3 per 100,000 miles

Rail

Fatalities: 0 per 100,000 miles

Safety Events: 0.10 per 100,000 miles Injuries: < 1 per 100,000

miles

System Reliability: < 3 per 100,000 miles

^{*} Through May 31, 2023

^{***} Preventable safety events that meet the 2-hour FTA notification reporting criteria.

^{****} Rates reflect employee or customer injuries required to be reported on an S&S-40 Major Event Report as defined in the current National Transit Database Safety and Security Policy Manual. These rates exclude any injuries arising from security related events.

APPENDIX I Gaps for Implementation of ASP

APPENDIX I Gaps for Implementation of ASP

Identified Gaps and Actions for Implementation of the ASP

#	These gaps are in no particular order. CATS will address the gaps and develop timelines to implement open action items.	Implementation Plan Section
1	As part of the implementation process, reported safety concerns will be tracked in the appropriate hazard tracking format per the Hazard Management section of this ASP.	Detailed in 2022 ASP Section 1.7
		CLOSED
2	For employee reported safety concerns, where contact information is provided, the recipient of the safety concern is responsible to follow-up with the employee.	Detailed in 2022 ASP Section 1.7
		CLOSED
	CATS Safety and Security is being inserted in the Employee Hotline process. Action items:	Detailed in 2021 ASP Section 1.7
	Set up an e-mail to receive CATS Hotline Safety issues. John Lewis will notify the City Hotline Administrator of the CATS e-mail.	CLOSED
	 Train Employees on the purpose and use of City Hot Line as part of the anonymous employee safety reporting process. 	
4	Train CATS employees on the ASP and CATS Safety Policy.	Detailed in 2022 ASP Section 4.6.3
		Implementation Plan Phase 1 Item #1: Training Materials Complete. Frontline Training to be complete by 12/31/22
		Implementation Plan Phase 1 Item #2:
		CLOSED
	 Need to develop plan to educate current and new employees on the new ASP and what their roles and responsibilities are related to the ASP. 	Detailed in 2022 ASP Section 4.6.3
		CLOSED
5	Conduct Job Hazard Analysis in Bus and Rail Operations and Maintenance.	Phase 2 Item #11
	For employee identified unsafe conditions, employees are expected to address safety concerns within their control immediately. Employees are	Phase 1 Item #9
	expected to report unsafe conditions and issues with procedural compliance by speaking with or e-mailing a written safety report to their	ASP Section 1.7
6	supervisor or manager. Develop a form for Employee observations of unsafe conditions or behavior.	CLOSED

		D + '' + ' 0000
	 Need to develop form for Employee observations of unsafe conditions or behavior. 	Detailed in 2022 ASP Section 1.7 S&SF48 Safety Issue Reporting Form
		CLOSED
	Educate employees on reporting using the form.	Detailed in 2022 ASP Section 1.7
		CLOSED
	 Work with communications to develop a summary format of incidents and actions taken. 	Phase 1 Item #9f
	 Need process to loop back to Individuals filing safety concerns and provide their contact information. 	Phase 1 Item #9f
		ASP Section 1.7
<u> </u>	III I CATO CASS I I I I I III I I I I I I I I I I I	CLOSED
	Update CATS QA05 to include addition of Hazard ratings to identified nonconformances and following ASP for tracking hazardous conditions.	Removed in 2021 ASP, identified hazards and associated ratings are already captured in hazard management logs as stated in section 2.2.2 and 3.2.11 of the ASP.
		CLOSED
8	Identified Hazards will be rated based on the Hazard Risk Assessment. As part of the implementation plan, safety will appoint Safety Coordinators who will be responsible for maintaining, updating and setting up the hazard log to ensure adequacy and appropriateness of	Detailed in 2022 ASP Section 2.2.4 CLOSED
	the hazard log.	
9	Long term: Develop a centralized system that all hazards and safety issues can be placed so we can have a complete picture from the agency standpoint on what safety issues we are dealing with, how are they mitigated and what is being done to address the issues. Still need to decide how to capture the information from various sources and bring it into one location.	Phase 2 Item #6
	Unacceptable Hazardous Conditions (UHCs)(1A, 1B, 1C, 2A and 2B)	Detailed in 2021 ASP
	must be reported within two hours by e-mailing a written safety report to the General Manager, the SMS Manager and the CSO as part of the implementation plan.	Section 2.2.2 CLOSED
	Include in the ASP training	
	Include as part of the ASP internal audit process	
11	Based on the hazards identified (section 2.2.1 and 2.2.2), safety specific topics or inspections will be conducted to address issues identified from the data analysis.	Phase2 Item #10

12	To ensure the sharing of safety data and information, Hazard Logs and Risk Registries will be available electronically in an accessible location for appropriate employees to access and review.	Phase 1 Item #15
13	Safety issues and hazards will be tracked in Hazard Management Logs, to include problems discovered, the desired resolution, the individual responsible for resolution, and the status through closure.	Detailed in 2021 ASP Section 2.2.4 CLOSED
14	The Hazard Tracking Logs will be managed to eliminate, reduce or control each hazard to an acceptable level. Identified hazards will be assigned hazard rating. The Safety Manager and General Manager will review hazard ratings and status of the Hazard Logs monthly. When an item is added by the Office of Safety, the General Manager will be notified by e-mail. Hazard Tracking Logs will be distributed to CATS Leadership monthly. Hazard Tracking logs will be distributed to the SSC on a quarterly basis for review and discussion. • Process to capture hazards identified during proficiency checks GAP Task Amended in 2021 ASP: Hazard Tracking Logs will be distributed to CATS Leadership monthly. A safety summary will be distributed to the SSC and MTC for review and discussion.	Detailed 2022 ASP Section 2.2.4 CLOSED
15	Utilizing the information collected in the various safety reports, a safety summary will be provided monthly to the executive management and MTC by the Chief Safety Officer. The CATS CEO will receive updates during the Senior Leadership meetings. Develop a monthly safety report format and begin reporting by August 2020 Develop format for reporting to senior management.	Detailed in 2021 ASP Section 2.2.4 CLOSED
16	Rail Safety and Bus Safety will develop Risk Registers to capture, manage, and mitigate identified Undesirable and Unacceptable Hazardous Conditions. • Approved Risk Register by management	Detailed in 2022 ASP Sections 2.1 and 2.2.5
	Approved Risk Register by management	Phase 2 Item #4
17	Corrective action plans that have been developed, shall be verified, and monitored to ensure that unexpected hazards have not developed.	Detailed in 2022 ASP Section 2.4.2
		CLOSED
18	The Office of Safety and Security will provide monthly safety program performance reports to executive management and employees.	Phase 1 Item #9f
19	The Office of Safety and Security and Quality Assurance will jointly develop and annually submit a comprehensive Internal Safety Audit schedule to NCDOT, detailing when they will audit the agency safety plan components over the three-year period.	Detailed in 2022 ASP Section 3.2.5 CLOSED
20	The Internal Safety Audit team will identify the components of the annual safety performance assessment based on SMS and conduct a safety assessment annually.	Detailed in 2021 ASP Section 3.2.5 CLOSED

21	Lead auditors will be certified to conduct audits by the Transportation Safety Institute or ASQ (American Society for Quality).	Detailed in 2021 ASP Section 3.2.6
		CLOSED
22	Findings from Safety audits will be added to the appropriate Hazard Management Log by the lead auditor per the Hazard Management Process. If applicable, a CAP will be created per Section 3.4.4.3	Detailed in 2021 ASP Section 3.2.11
	Corrective Action Plans. Any hazardous condition/deficiencies that are rated as Unacceptable will be reported by the Chief Safety Officer or SMS Manager to the CEO per the Hazard Management program. The CSO will include a summary of safety deficiencies identified during audits as part of the hazardous conditions monthly report to the CEO.	CLOSED
23	Identified changes to the CATS System or mitigations that have been implemented in the field will be verified and monitored by the appropriate Division staff and Office of Safety personnel to ensure the mitigation is appropriate and effective. If it is determined that a mitigation for an Unacceptable or Undesirable hazard is ineffective, the SMS Manager or the CSO will be notified, and a different mitigation will be implemented to address the issue. These changes will be managed on the Division's Hazard Management Log and the Safety Risk Registry as applicable.	Phase 2 Item #4
	Recommendations for enhancement of the compliance methods are	Detailed in 2022 ASP
24	submitted to Division managers by the Office of Safety and Security for appropriate action.	Section 4.5.2.4
25	CATS ampleyees who are designated personnel who are directly	CLOSED Detailed in 2021 ASP
25	CATS employees who are designated personnel who are directly responsible for the safety oversight of a rail fixed guideway public transportation systems are required to complete safety refresher	Section 4.6.3
	training every two (2) years after completing the initial requirements. The refresher training must include, at a minimum, one (1) hour of safety oversight training.	CLOSED
26	CATS will develop a process to ensure operations employees are provided training on implemented changes that impact their duties and responsibilities.	Detailed in 2022 ASP Section 3.5.1.2 CLOSED
27	Prepare marketing materials to raise safety awareness throughout the facilities, which may include, but is not limited to, brochures, posters,	Detailed in 2021 ASP Section 4.7
	email blasts and newsletters to best accommodate every division's best communication practices.	CLOSED
28	CATS Marketing and Communications will create marketing collateral that explains proper safety procedures to be displayed in highly visible	Detailed in 2021 ASP Section 4.7.1
	areas for the public, which may include, but is not limited to inside vehicles, social media, and audio announcements. CATS will also use email and newsletters to communicate with key stakeholders.	CLOSED

29	A procedure will be developed to address the See Say app as a safety reporting tool, and Marketing and Communications will leverage	Phase 2 Item #14
	marketing signage, social media and video to communicate with the public and key stakeholders about this service.	ASP Section 4.7
		CLOSED
30	Conduct Job Hazard Analysis in Bus and Rail Operations and	Phase 2 Item #11
	Maintenance	
31	A comprehensive program for review activities that identify where new	
31	safety training is needed, where current safety training must be revised	Phase 2 Item #20
	and updated, and refresher training needs to be added to the current	
	training requirements for employees and contractors. The program will	
	also include updating job descriptions and training requirements for front	
	line employees, managers and supervisors and senior managers.	
32	CATS Transit Asset Management (TAM) Program will be establishing the direction for Asset Management Policies. The program will establish	Phase 2 Item #19
	the divisional roles and responsibilities as stated in the CATS TAM	
	Implementation Plan. The process will tie into the review of State of Good Repair and any Unacceptable or Undesirable Hazards will be	
	addressed by following the Hazard Management Plan in the ASP. A	
	report rating deferred maintenance items will be provided by Operations	
	and Facilities at the monthly Safety and Security Committee (SSC).	
33	As part of the implementation plan, the Office of Safety and Security will	Phase 1 Item #13
	hire Safety Coordinators to work with CATS to implement various programs/activities such as hazard management processes, data	ASP Section 2.2.4
	collection, analysis, and reporting.	ASF Section 2.2.4
		CLOSED
34	As part of the ASP implementation plan, safety will hire Safety	Phase 1 Item #13
	Coordinators who will be responsible for maintaining, updating, and	1000 : 001
	setting up the hazard log to ensure adequacy and appropriateness of the hazard log.	ASP Section 2.2.4
	nazaru log.	CLOSED
35	SMS training will be incorporated in the RWP training provided to	Added to 2022 ASP
	contractors.	Section 4.6.3
		CLOSED
36	City IT begins the process to identify and procure a data system to meet	Phase 1 Item #14
	the needs of SMS implementation.	
37	UAH/UDH hazards identified through inspection reports will be	Phase 1 Item #14
	managed to closure and tracked using a centralized enterprise resource	
	system.	
38	The Office of Safety and Security will work with CATS	Added for 2021 ASP
	Marketing/Communications to develop printed and electronic summary	Implementation Plan
	reports that provide feedback to employees on safety concerns	Update
	submitted to the various safety committees. Employees who report	ASP Section 1.7
	safety concerns to management will receive a response from their	AOI OCCIOII I.I
	supervisor or manager on how the issue was resolved.	CLOSED

39	Work with NCDOT to draft the Risk Based Inspection (RBI) Plan Per FTA's Special Directive 20-40 Notice No. 1, dated October 21, 2022	Phase 2 Item #22
		ASP Section TBD
		OPEN
40	CATS shall submit a copy of its written annual report for the RTA's capital assets inventory and SGR ratings within fifteen (15) calendar	Phase 2 Item #23
	days of the RTA's annual submittal to FTA.	ASP Section 3.3.1
		OPEN



STATE OF NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

ROY COOPER GOVERNOR J. ERIC BOYETTE
SECRETARY

August 3, 2023

Mr. Brent Cagle Interim Chief Executive Officer, Charlotte Area Transit System Assistant City Manager, City of Charlotte 600 E. 4th Street, CMGC - 7th Floor Charlotte, NC 28202

Subject:

North Carolina Department of Transportation (NCDOT) State Safety Oversight (SSO) Program — Conditional Approval of the Charlotte Area Transit System (CATS) Agency Safety Plan (ASP), Rev. 3-Final Draft

Dear Mr. Cagle:

On July 17, 2023, the NCDOT SSO Program received your submission of the CATS Revised ASP, Rev. 3-Final Draft document.

As part of NCDOT's collaborative approach to overseeing and enforcing safety standards for CATS' rail public transit systems, NCDOT and CATS conduct regular informal meetings, throughout the year, to discuss and identify opportunities to strengthen current safety policies, procedures, and processes as documented in CATS' ASP. As such, NCDOT has reviewed the revised ASP and provided additional technical guidance for multiple iterations of CATS' 2023 ASP revisions and updates.

On August 2, 2023, CATS submitted the ASP, Rev.3 with additional updates, following a final review meeting with NCDOT on the same day. Following its review of this version of CATS' ASP, Rev.3-Final Draft document, NCDOT has determined that the revised ASP was approved by CATS' Rail Safety and Security Committee on July 14, and meets the requirements of 49 CFR Part 673 and NCDOT's SSO Program Standard (SSOPS). Final NCDOT approval of the revised ASP is dependent upon the required review and approval by CATS' oversight authority, as stated below.

1. Per 49 CFR Part 673.11(a)(1), the ASP must be approved by CATS' oversight authority, the Metropolitan Transit Commission (MTC) and documentation of this approval must be provided to NCDOT in the form of a resolution which has been adopted by the MTC.

Per 49 CFR Part 674.29, NCDOT's SSO Program hereby assigns <u>Conditional Approval</u> to the CATS ASP, Rev. 3-Final Draft document and will assign final approval upon receipt of your subsequent submittal of the required review and approval documentation listed above.

Mailing Address: NC DEPARTMENT OF TRANSPORTATION RAIL DIVISION 1556 MAIL SERVICE CENTER RALEIGH, NC 27699-1556 Telephone: (919) 707-4100 Fax: (919) 707-4154 Customer Service: 1-877-368-4968 Location: 862 CAPITAL BLVD RALEIGH, NC 27603 Brent Cagle, CATS August 3, 2023 Page 2

NCDOT greatly appreciates CATS' continued cooperation and diligence to improve safety standards and meet the requirements of NCDOT's SSOPS and FTA regulations.

If you have any questions, please contact me at 919-707-4149.

Regards,

Timothy P. Abbott

Safety Enforcement and Oversight Manager

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SSO Program Manager

Rail Division

North Carolina Department of Transportation

Cc: David Moskowitz, CATS

Chad Hagans, CATS Laura Johnson, CATS Jahmal Pullen, NCDOT

Jason Sergent, NCDOT Contractor Don Pike, NCDOT Contractor Jerrad Jones, NCDOT Contractor



MTC Presentation: Charlotte Area Transit System Agency Safety Plan (ASP), Version 3

Summary of Revisions

August 23, 2023

GTS

Safety is for Everyone, Everyday!

General Edits

- General edits for clarification were made throughout the document
- Edits regarding activities that were implemented during the past year
 - Changed language from future tense, e.g., "will do" or "part of the implementation plan", to active tense

GTE

Added and Updated Definitions

- Accident
- Capital Asset
- Infrastructure
- Inspection
- Inspection Data
- Maintenance Data
- Major Project
- NCDOT/RTA Major Projects Liaison

- Safety Assurance
- Safety Program Data
- Safety Risk Assessment
- State of Good Repair (SGR)
- Transit Asset Management (TAM)
- Transit Asset Management Plan
- Unacceptable Hazardous Condition

Grs

Purpose and Scope Section

- Added language in the section related to the following:
 - Announced and unannounced inspections
 - Maintaining SMS/ASP documents for a minimum of 3 years
 - CATS notifications to NCDOT 24 hours of any safety-related communication with another Federal Agency

Grs

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Section 1.2.2 Objectives - Safety Performance Metrics/Targets and Indicators

- Redefined and updated the performance measures for the 4 Safety Goals as required by the FTA National Safety Plan
 - Fatalities
 - Injuries
 - Safety Events
 - System Reliability

Bus

Fatalities: 0 per 100,000 miles

Safety Events: 0.50 per 100,000 miles

Injuries: < 1 per 100,000 miles

System Reliability: < 10 per 100k miles

STS

Fatalities: 0 per 100,000 miles

Safety Events: 0.30 per 100,000 miles

Injuries: < 1 per 100,000 miles

System Reliability: < 3 per 100,000 miles

Rail

Fatalities: 0 per 100,000 miles

Safety Events: 0.10 per 100,000 miles

Injuries: < 1 per 100,000 miles

System Reliability: < 3 per 100,000 miles

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Section 1.3.1 Light Rail Operations System Description Section 1.4.5 Key Staff and Groups Section 1.5 Safety Responsibilities Task Matrix

- Section 1.3.1 added a description of Inventory Management
- Section 1.4.5 separated the following Key Staff positions
 - Director of Development
 - Director of Planning
- Section 1.5 described the CATS S&S SMS Team (1 Senior & 3 Coordinators)

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Section 1.7 Employee and Contractor Reporting Program Section 2.4.3 Risk Mitigation Implementation and Tracking Sections 2.5.3 & 2.5.4 Access and Use of Data

- Section 1.7 added information on how to directly contact NCDOT to report any safety concerns/issues
- Section 2.4.3 updated the definition of Corrective Action Plans
- Section 2.5.3 added additional reports to collect data from
- Section 2.5.4 updated language on how data was used for trend analysis



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Section 3.2.8 ISA Audit Report Section 3.3.1 Facilities and Equipment Subject to Inspections Section 3.4.8.3 Corrective Action Plans (Rail Only)

- Section 3.2.8 clarified the final safety audit will be sent to NCDOT for their approval 60 days after the audit closure meeting
- Section 3.3.1 added language regarding State of Good Repair (SGR) and the Transit Asset Management (TAM) Plan reporting requirements to NCDOT
- Section 3.4.8.3 added a definition for Corrective Action Plan (CAP)



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Section 3.5.3 Safety and Security Certifications (SSC) Section 3.5.5 Managing Safety in Procurement Section 4.5.4 Compliance with Contractor Safety Program

- Section 3.5.3 added language requiring to identify a CATS employee as a project liaison as a Point of Contact for NCDOT on major projects
- Section 3.5.5 added language requiring an asset summary report be submitted to NCDOT quarterly on a form added to the State Safety Oversight Program Standards (SSOP)
- Section 4.5.4 clarified contractor requirements to comply with CATS safety requirements



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Section 4.6.4.2 Rail (Hours of Service)

- Clarified the approved extended Hours of Service employees work during an emergency
- Added the immediate notification to NCDOT when Hours of Service may be an issue due to an emergency



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Questions?

Grs