

2021 Performance Targets

DESCRIPTION:

MAP-21 established and the FAST Act maintained a performance-based approach to transportation investments, creating National Performance Goals. In keeping with these goals, State Departments of Transportation and Metropolitan Planning Organizations are required to establish targets. Each target has its own requirements and timelines. This year, four types of performance targets will be reviewed: safety, system condition, system performance, and transit safety.

Safety

Updated Safety Targets are required to be set by the end of February 2021.

Five individual targets comprise the Safety Targets:

1. Number of fatalities
2. Rate of fatalities per 100 million vehicle miles traveled
3. Number of serious injuries
4. Rate of serious injuries per 100 million vehicle miles traveled
5. Number of non-motorized fatalities and non-motorized serious injuries

OTO can choose to set local targets or can choose to plan and program in support of the MoDOT targets, which are based on a rolling five-year average:

Performance Measure	Statewide Target for CY2021
Number of Fatalities	871.6
Fatality Rate per 100 Million VMT	1.119
Number of Serious Injuries	4463.9
Serious Injury Rate per 100 Million VMT	5.829
Number of Non-Motorized Fatalities and Serious Injuries	462.2

System Condition

Updated Bridge and Pavement Targets are required to be set by the end of March 2021.

Six individual targets comprise the Bridge and Pavement Targets:

1. Percentage of NHS Bridges Classified as in Good Condition
2. Percentage of NHS Bridges Classified as in Poor Condition
3. Percentage of Pavements of the Interstate System in Good Condition
4. Percentage of Pavements of the non-Interstate NHS in Good Condition
5. Percentage of Pavements of the Interstate System in Poor Condition
6. Percentage of Pavements of the non-Interstate NHS in Poor Condition

Targets will be reviewed and may be updated every two years. OTO can choose to set local targets or can choose to plan and program in support of the MoDOT targets.

Performance Measure	2017 Baseline	2019 Statewide Target	2021 Statewide Target
Percentage of NHS Bridges Classified as in Good Condition	34.0	30.9	26.4
Percentage of NHS Bridges Classified as in Poor Condition	7.1	7.1	8.2
Percentage of Pavements of the Interstate System in Good Condition	77.5	N/A	77.5
Percentage of Pavements of the non-Interstate NHS in Good Condition	61.1	61.1	61.1
Percentage of Pavements of the Interstate System in Poor Condition	0.1	N/A	0.0
Percentage of Pavements of the non-Interstate NHS in Poor Condition	1.0	1.0	1.0

System Performance

Updated System Performance Targets are required to be set by the end of March 2021.

There are also six individual targets for System Performance, however only three of them apply to OTO:

1. Interstate Travel Time Reliability Measure: Percent of Person-Miles Traveled on the Interstate that are Reliable (NPMRDS)
2. *Non-Interstate Travel Time Reliability Measure: Percent of Person-Miles Traveled on the Non-Interstate NHS that are Reliable (NPMRDS)
3. ~~*Peak Hour Excessive Delay (PHED) Measure: Annual Hours of PHED Per Capita (single unified target for EWG, IDOT, MoDOT) (NPMRDS)~~
4. ~~Non-Single Occupancy Vehicle Travel (SOV) Measure: Percent of non-SOV Travel (single unified target for EWG, IDOT, MoDOT) (ACS)~~
5. ~~Emissions Measure: Total Emissions Reduction for PM2.5, Ozone and CO individually (only applies to EWG, St. Louis)~~
6. Freight Reliability Measure: Truck Travel Time Reliability (TTTR) Index (NPMRDS)

*4-year target for 2022 initially for phase in and may be adjusted in 2020; in 2022, must establish 2- and 4-year targets

Targets will be reviewed and may be updated every two years. OTO can choose to set local targets or can choose to plan and program in support of the MoDOT targets.

Performance Measure	2017 Baseline	2019 Statewide Target	2021 Statewide Target
Interstate Travel Time Reliability Measure: Percent of Person-Miles Traveled on the Interstate that are Reliable (NPMRDS)	91.6	88.9	87.1
Non-Interstate Travel Time Reliability Measure: Percent of Person-Miles Traveled on the Non-Interstate NHS that are Reliable (NPMRDS)	92.3	N/A	87.8
Freight Reliability Measure: Truck Travel Time Reliability (TTTR) Index (NPMRDS)	1.25	1.28	1.45


Transit Safety

City Utilities elected to develop their own Public Transportation Agency Safety Plan rather than participate in the statewide plan. A copy of this plan is included in the agenda.

There are four transit safety performance measures:

1. Fatalities: Total number of reportable fatalities and rate per total revenue miles by mode
2. Injuries: Total number of reportable injuries and rate per total vehicle revenue miles by mode
3. Safety Events: Total number of reportable events and rate per total vehicle revenue miles by mode
4. System reliability: State of Good Repair - Mean distance between major mechanical failures by mode

As with other targets set first by MoDOT, OTO can elect to plan and program in support of City Utilities' targets or set separate targets.

Safety Performance Targets							
Mode of Transit Service	Fatalities (Total)	Fatalities (per 250k mi)	Injuries (Total)	Injuries (per 250k mi)	Safety Events (Total)	Safety Events (per 250k mi)	System Reliability (VRM/failures)
Bus Fixed-Route (MB)	0	0	2	.5	4	1	20,000
	Fatalities (Total)	Fatalities (Rate)	Injuries (Total)	Injuries (Rate)	Safety Events (Total)	Safety Events (Rate)	System Reliability (VRM/failures)
ADA Paratransit (DR)	0	0	0	0	0	0	45,000
Annual Review and Update of the Safety Performance Targets							
							
January July December							

The Safety Performance Targets were based on a 3-year average from FY2015-2018 and will be evaluated annually in July. The system reliability target was calculated by calculating the miles between major system failures, over the most recent six years, for one randomly selected bus from each model year, then averaging the results for both fixed route and paratransit.

Missouri Statewide Safety Targets

August 2020 (reported in HSP and HSIP)

Targets based on 5-year rolling average from CY 2017-2021:

Performance Measure	5-Year Rolling Average Baseline (2015-2019)	5-year Rolling Average Statewide Target for CY2021
Number of Fatalities*	910.0	871.6
Fatality Rate per 100 Million VMT*	1.213	1.119
Number of Serious Injuries*	4681.2	4463.9
Serious Injury Rate per 100 Million VMT^	6.241	5.829
Number of Non-Motorized Fatalities and Serious Injuries^	462.2	462.2~

*Performance Measures were reported in the 2020 Highway Safety Plan.

^Performance Measures were reported in the 2020 Highway Safety Improvement Program Annual Report.

Methodology: Targets are based on Zero by 2030 fatality reduction, Zero by 2040 serious injury reduction, 1% VMT increase, and non-motorized reduction based on overall fatality and serious injury reductions. An exception is made for instances where the baseline 5-year rolling average is less than the calculated target using the parameters previously described. When this occurs, the baseline will be used as the target.

~The Number of Non-Motorized Fatalities and Serious Injuries using the methodology above was calculated to be 475.8. This is greater than the 462.2 for the baseline, therefore the baseline was used for the target.

More data below:

Performance Measure	Crash Data				5-Year Rolling Average Baseline (2015-2019)	5-year Rolling Average Statewide Target CY2021
	2018 Final	2019 Preliminary	2020 Interim Target	2021 Target		
Number of Fatalities*	921	880	838	789	910.0	871.6
Fatality Rate per 100 Million VMT*	1.211	1.146	1.031	0.919	1.213	1.119
Number of Serious Injuries*	4717	4486	4272	4059	4681.2	4463.9
Serious Injury Rate per 100 Million VMT^	6.202	5.840	5.507	5.179	6.241	5.829
Number of Non-Motorized Fatalities and Serious Injuries^	440	517	492	467	462.2	462.2~



Missouri DOT/ FHWA/ NHTSA/ Planning Partner Annual Safety Target Setting Coordination January 2020

FAST Act/ MAP-21 was the first transportation reauthorization bill requiring annual target setting collaboration between State DOTs and planning partners on national performance measures. Targets are required to be established annually for five safety performance measures using five-year rolling averages. Targets must be established first by State DOTs, then by each MPO, with the choice of MPOs adopting state targets or establishing their own for each measure:

1. Number of Fatalities;
2. Rate of Fatalities per 100 Million Vehicle Miles traveled (VMT);
3. Number of Serious Injuries;
4. Rate of Serious Injuries per 100 Million VMT; and
5. Number of Non-motorized Fatalities and Non-motorized Serious Injuries

The first three performance measures are reported annually in the Highway Safety Plan (HSP) for NHTSA. All five performance measures are reported annually in the Highway Safety Improvement Program (HSIP) for FHWA.

SIGNIFICANT PROGRESS:

If FHWA determines the State DOT has not made significant progress on targets, the State DOT must spend the full HSIP allocation from the specified fiscal year and submit an HSIP Implementation Plan to the FHWA Division Office by June 30.

Annual Safety Target Setting Collaboration with Partners:

Sept. – Oct. 2016	MoDOT shared, solicited feedback and gained consensus from the MPOs on the safety target setting coordination process during the monthly partner collaboration webinars.
Feb. 2020	MoDOT Safety staff calculates data for each performance measure statewide and meets with MoDOT Executive Team.
Mar. 9, 2020	MoDOT calculates 2015-2019 data trends for each safety performance measure statewide. MoDOT shares data with MPOs, FHWA, and NHTSA with discussion on data, assumptions and challenges for targets during the monthly partner collaboration webinar.
Mar - Apr. 2020	MoDOT solicits target setting assumption feedback from partners by email.
Apr. 13, 2020	MoDOT and MPOs finalize assumptions to use for CY2021 targets during the monthly partner collaboration webinar.
By July 1, 2020	MoDOT applies assumptions to safety data for three safety performance measures and submits targets to NHTSA through HSP.
By Aug. 31, 2020	MoDOT applies assumptions to safety data for final two safety performance measures and submits targets for five measures to FHWA through HSIP. MoDOT shares targets with planning partners through email and monthly partner collaboration webinars.
By Feb. 27, 2021	MPOs email MoDOT their board documentation indicating whether the MPO determined to support the state target or the MPO targets, if they established their own.

MoDOT Statewide Pavement and Bridge Revised Targets

October 2020

Performance Measure	2017 Baseline	2019 Target	2021 Target
Percentage of NHS Bridges in Good Condition	34.0%	30.9%	26.4%*
Percentage of NHS Bridges in Poor Condition	7.1%	7.1%	8.2%*
Percentage of Interstate Pavements in Good Condition	77.5%		77.5%
Percentage of Interstate Pavements in Poor Condition	0.1%		0.1%
Percentage of non-Interstate NHS Pavements in Good Condition	61.1%	61.1%	61.1%
Percentage of non-Interstate NHS Pavements in Poor Condition	1.0%	1.0%	1.0%

*Target revised from original set in May 2018



Missouri DOT/ FHWA/ Planning Partner Pavement and Bridge Target Setting Coordination May 2020

FAST Act/ MAP-21 was the first transportation reauthorization bill requiring target setting collaboration between State DOTs and planning partners on national performance measures. Targets are required to be established in 2018 for six infrastructure performance measures and then every four years. Two and four-year targets must be established first by State DOTs, then by each MPO, with the MPOs adopting state targets or establishing their own for:

1. Percentage of NHS Bridges Classified as in Good Condition
2. Percentage of NHS Bridges Classified as in Poor Condition
3. Percentage of Pavements of the Interstate System in Good Condition*
4. Percentage of Pavements of the non-Interstate NHS in Good Condition
5. Percentage of Pavements of the Interstate System in Poor Condition*
6. Percentage of Pavements of the non-Interstate NHS in Poor Condition

*4-year target for 2022 initially and may be adjusted in 2020; in 2022, must establish 2 and 4 year targets

Targets may be adjusted every two years by the State DOT, with MPOs able to adjust their targets. Targets must be reported in the FHWA TPM portal in the Biennial report.

SIGNIFICANT PROGRESS:

- If FHWA determines the State DOT has not made significant progress on targets, the State DOT must explain why and document actions it will take to achieve targets by amending the Biennial report within six months of determination.

MINIMUM CONDITION:

- If for 2 consecutive years more than 5% of a State DOT's Interstate pavement condition is poor, the State DOT must obligate a portion of National Highway Performance Program and transfer a portion of Surface Transportation Program funds to address Interstate pavement condition.
- If for 3 consecutive years more than 10.0% of a State DOT's NHS bridges' total deck area is classified as structurally deficient, the State DOT must obligate and set aside NHPP funds for eligible projects on bridges on the NHS.

Pavement and Bridge Target Setting Collaboration with Partners:

Sept. – Oct. 2016	MoDOT shared, solicited feedback and gained consensus from the MPOs on the target setting coordination process during the monthly partner collaboration webinars.
June-July 2020	MoDOT Bridge and Pavement staff calculates data each performance measure statewide and informs MoDOT Executive Team.
Aug. 10, 2020	MoDOT Bridge and Pavement staff calculates data for each performance measure statewide. MoDOT shares data with MPOs and FHWA with discussion on data, assumptions and challenges for setting targets during the monthly partner collaboration webinar.
Aug. – Sept. 2020	MoDOT solicits target setting assumption feedback from partners by email.
Sept. 14, 2020	MoDOT and MPOs finalize assumptions to use for targets during the monthly partner collaboration webinar.
By Oct. 1, 2020	MoDOT applies assumptions to pavement and bridge data and submits targets to FHWA through PMF on FHWA TPM portal. MoDOT shares targets with planning partners through email and monthly partner collaboration webinars.
By Mar. 30, 2021	MPOs email MoDOT their board documentation indicating whether the MPO determined to support the state target or the MPO targets, if they established their own.

MoDOT Statewide System Performance Revised Targets

October 2020

Performance Measure	2017 Baseline	2019 Target	2021 Target
Interstate Travel Time Reliability Measure: Percent of Reliable Person-Miles Traveled on the Interstate	91.6%	88.9%	87.1%
Non-Interstate Travel Time Reliability Measure: Percent of Reliable Person-Miles Traveled on the Non-Interstate NHS	92.3%		87.8%
Freight Reliability Measure: Truck Travel Time Reliability Index	1.25	1.28	1.45*

*Target revised from original set in May 2018



Missouri DOT/ FHWA/ Planning Partner System Performance Target Setting Coordination May 2020

FAST Act/ MAP-21 was the first transportation reauthorization bill requiring target setting collaboration between State DOTs and planning partners on national performance measures. Targets are required to be established in 2018 for six system performance measures and then every four years. Two and four-year targets must be set by State DOTs, then by each MPO, with the choice of MPOs adopting state targets or establishing their own for:

1. Interstate Travel Time Reliability Measure: Percent of Person-Miles Traveled on the Interstate that are Reliable (NPMRDS)
2. Non-Interstate Travel Time Reliability Measure: Percent of Person-Miles Traveled on the Non-Interstate NHS that are Reliable (NPMRDS)*
3. Freight Reliability Measure: Truck Travel Time Reliability (TTTR) Index (NPMRDS)
4. Peak Hour Excessive Delay (PHED) Measure: Annual Hours of PHED Per Capita (single unified target for EWG, IDOT, MoDOT) (NPMRDS) with no significant progress determination*
5. Non-Single Occupancy Vehicle Travel (SOV) Measure: Percent of non-SOV Travel (single unified target for EWG, IDOT, MoDOT) (ACS) with no significant progress determination
6. Emissions Measure: Total Emissions Reduction for Ozone (NOx and VOC) individually (only applies to EWG, St. Louis) with no significant progress determination

*4-year target for 2022 initially and may be adjusted in 2020; in 2022, must establish 2 and 4 year targets

Targets may be adjusted every two years by the State DOT, with MPOs able to adjust their targets. Targets must be reported in the FHWA TPM portal in the Biennial report.

SIGNIFICANT PROGRESS:

If FHWA determines the State DOT has not made significant progress on the first two reliability targets, the State DOT must explain why and document actions it will take to achieve targets by amending the Biennial report within six months of determination. If FHWA determines the State DOT has not made significant progress on the freight reliability target, the State DOT must amend the Biennial report to include the following within six months:

- Identification of significant freight system trends, needs, and issues
- Description of freight policies and strategies that will guide the freight-related transportation investments
- Inventory of truck freight bottlenecks and description of the ways in which the State DOT is allocating funding to improve those bottlenecks

System Performance Target Setting Collaboration with Partners:

Sept. – Oct. 2016	MoDOT shared, solicited feedback and gained consensus from the MPOs on the target setting coordination process during the monthly partner collaboration webinars.
June-July 2020	MoDOT staff calculates data for each performance measure statewide and informs MoDOT Executive Team.
Aug. 10, 2020	MoDOT staff calculates data for each performance measure statewide. MoDOT shares data with MPOs and FHWA with discussion on data, assumptions and challenges for setting targets during the monthly partner collaboration webinar.
Aug. – Sept. 2020	MoDOT solicits target setting assumption feedback from partners by email.
Sept. 14, 2020	MoDOT and MPOs finalize assumptions to use for targets during the monthly partner collaboration webinar.
By Oct. 1, 2020	MoDOT applies assumptions to system performance data and submits targets to FHWA through PMF on FHWA TPM portal. MoDOT shares targets with planning partners through email and monthly partner collaboration webinars.
By Mar. 30, 2021	MPOs email MoDOT their board documentation indicating whether the MPO determined to support the state target or the MPO targets, if they established their own.

RESOLUTION

WHEREAS, the Board of Public Utilities of the City of Springfield, Missouri ("Board"), has the charter duty to take charge of and exercise control over any public utilities owned, operated or acquired by the City of Springfield, Missouri ("City"), and all extensions thereof and appurtenances thereto belonging, under the name "City Utilities of Springfield, Missouri" ("City Utilities"), including transit systems ("Transit"); and

WHEREAS, City Utilities and its Transit employees should continually strive for a safe, injury-free workplace; and

WHEREAS, as a recipient of certain federal funds, City Utilities must comply with the Federal Transit Administration's regulations regarding its Public Transportation Safety Program ("PTSP") and the National Public Transportation Safety Plan ("NPTSP"); and

WHEREAS, the purpose of this Resolution is to approve City Utilities' Transit Agency Safety Plan, a copy of which is attached hereto as Exhibit A, which addresses all applicable requirements and standards set forth in the PTSP and the NPTSP.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF PUBLIC UTILITIES OF THE CITY OF SPRINGFIELD, MISSOURI, that City Utilities' Transit Agency Safety Plan, incorporated herein by reference, be approved and City Utilities' General Manager and his designees be authorized to take those acts necessary to implement the same.

CERTIFICATE

The undersigned, Jennifer Wilson, Secretary of the Board of Public Utilities of the City of Springfield, Missouri, does hereby certify under her hand and the seal of said Board that the foregoing is a true and correct copy of a resolution adopted by the Board at its regular meeting held on the 25th day of June, 2020, pursuant to notice of time and place duly given to all members of said Board, at which meeting a quorum was present and voted throughout.

Date this 25th day of June, 2020.





Jennifer Wilson, Secretary

City Utilities Transit Agency Safety Plan

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1. Transit Agency Information


Transit Agency Name	City Utilities of Springfield			
Transit Agency Address	1505 N Boonville Ave, Springfield MO 65803			
Name and Title of Accountable Executive	Matt Crawford, Director of Transit			
Name of Chief Safety Officer or SMS Executive	Brandie Fisher, Transit Grants Analyst			
Mode(s) of Service Covered by This Plan	Fixed Route Bus; Paratransit	List All FTA Funding Types (e.g., 5307, 5337, 5339)	5307, 5310, 5339	
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	DO Fixed Route Bus; DO Paratransit			
Does the agency provide transit services on behalf of another transit agency or entity?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	Description of Arrangement(s)	Not Applicable
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	Not Applicable			

2. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	Brandie Fisher, Transit Grants Analyst and Chief Safety Officer, City Utilities Transit	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
	 Matthew Crawford, Director of Transit	6/29/2020
Approval by the Board of Directors or an Equivalent Authority	Name of Individual/Entity That Approved This Plan	Date of Approval
	 City Utilities Board of Public Utilities, Chair	6/25/2020
	Relevant Documentation (Title and Location)	
	Board Resolution 4b dated June 25, 2020	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	City Utilities of Springfield, MO	6/25/2020
	Relevant Documentation (Title and Location)	
	This Agency Safety Plan addresses all applicable requirement and standards set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.	

Version Number and Updates			
Record the complete history of successive versions of this plan.			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1		Initial Document	6/25/2020

3. Safety Performance Targets

Safety Performance Targets							
Mode of Transit Service	Fatalities (Total)	Fatalities (per 250k mi)	Injuries (Total)	Injuries (per 250k mi)	Safety Events (Total)	Safety Events (per 250k mi)	System Reliability (VRM/failures)
Bus Fixed-Route (MB)	0	0	2	.5	4	1	20,000
	Fatalities (Total)	Fatalities (Rate)	Injuries (Total)	Injuries (Rate)	Safety Events (Total)	Safety Events (Rate)	System Reliability (VRM/failures)
ADA Paratransit (DR)	0	0	0	0	0	0	45,000
Annual Review and Update of the Safety Performance Targets							
							
January		July		December			

The Safety Performance Targets were based on a 3-year average from FY2015-2018 and will be evaluated annually in July. The system reliability target was calculated by calculating the miles between major system failures, over the most recent six years, for one randomly selected bus from each model year, then averaging the results for both fixed route and paratransit.

Safety Performance Target Coordination		
The Accountable Executive shares our Agency Safety Plan, including safety performance targets, with the Ozark Transportation Organization (OTO) and the Missouri Department of Transportation each year, or when changes are made to the plan. Representatives of City Utilities are available to coordinate with the State and MPO in the selection of State and MPO safety performance targets upon request.		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	Missouri Department of Transportation	06/17/2020
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	Ozarks Transportation Organization	06/17/2020

4. Safety Management Policy

Safety Management Policy Statement

City Utilities:

- Clearly, and continuously explains to all staff that everyone working within City Utilities Transit must take part and be responsible and accountable for the development and operation of the Safety Management System (SMS).

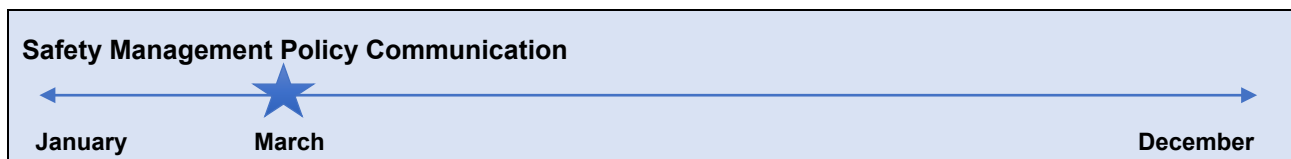
- Works to ensure that all employees are provided appropriate safety information and training, are competent in safety matters and assigned tasks commensurate with duties and skills.

Per CU Policy 2.40 – Safety; City Utilities and its employees should continually strive for a safe, injury-free workplace. Effective and visible leadership is an essential element of achieving an injury-free work environment for our employees. Therefore, supervisory and management employees have the responsibility to supervise work so that it is done safely by establishing and communicating expectations and ensuring that those expectations are understood and met. In addition, working productively and working safely are not competing objectives.

City Utilities Safety Objectives and Principles include:

- Safety will not be compromised for expediency or productivity gains.
- The responsibility and accountability for safety rests with each employee.
- Supervising and managing work so that it is done injury-free is an expectation of management employees at City Utilities.
- Work practices that protect employees from occupational injury or illness will continually be monitored and implemented.
- Work related job injuries and incidents will be appropriately investigated to avoid the same type of injury/incident in the future.
- Trained employees are essential to a safe workplace.
- All employees are expected to offer suggestions to improve safe work practices.

For the complete CU Policy 2.40-Safety, see Appendix A



City Utilities distributes the CU Policy 2.40-Safety to each employee at a mandatory safety meeting, annually in March. The policy is also posted on CU Connect.

Authorities, Accountabilities, and Responsibilities	
Accountable Executive	<p>The Director of Transit serves as City Utilities' Accountable Executive with the following authorities, accountabilities and responsibilities under this plan:</p> <ul style="list-style-type: none"> • Controls and directs human and capital resources needed to develop and maintain the ASP and SMS. • Designates an adequately trained Chief Safety Officer who is a direct report. • Ensures that CU's SMS is effectively implemented. • Ensures action is taken to address substandard performance in CU's SMS. • Assumes ultimate responsibility for carrying out CU's ASP and SMS. <p>Maintains responsibility for carrying out the agency's Transit Asset Management Plan.</p>

Chief Safety Officer or SMS Executive	<p>The Accountable Executive designates the Transit Grants Analyst as CU's Chief Safety Officer. The Chief Safety Officer has the following authorities, accountabilities, and responsibilities under this plan:</p> <ul style="list-style-type: none"> • Overseeing the safety risk management program by documenting and facilitating hazard identification. • Develops CU's ASP and SMS policies and procedures. • Establishes and maintains CU's Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents and accidents. • Coordinating with State agencies, when applicable. <p>Advises the Accountable Executive on SMS progress and status.</p>
Agency Leadership and Executive Management	<p>City Utilities Transit leadership/executive management include the following job titles:</p> <p>Director of Fleet, Manager – Transit Operations</p> <p>Their responsibilities include:</p> <ul style="list-style-type: none"> • Day-to-day implementation of our SMS throughout their departments and the organization. • Ensuring employees are following their working rules and procedures, safety rules and regulations in performing their jobs, and their specific roles and responsibilities in the implementation of this Agency Safety Plan and the Agency's SMS. <p>Ensuring that employees comply with the safety reporting program and are reporting unsafe conditions and hazards to their department management; and making sure reported unsafe conditions and hazards are addressed in a timely manner.</p>
Key Staff	<p>Key Staff assist as subject matter experts (SMEs) in safety risk assessment and safety risk mitigation processes as needed.</p> <p>Manager-Human Resources, Senior Safety Specialist, Manager – Risk/Damage Prevention, Supervisor – Bus Services</p>

Employee Safety Reporting Program

City Utilities' employee safety reporting program (ESRP) encourages employees who identify safety concerns in their day-to-day duties to report them to senior management in good faith without fear of retribution. There are many ways our employees can report safety conditions:

- Report conditions anonymously via a locked comment box in the driver show up area;
- Report conditions to Transit management and Chief Safety Officer via CU Connect;
- Report conditions during quarterly driver roundtables or safety meetings;
- Report conditions directly to Transit Management or Human Resources Safety Team;
- Report conditions annually to Risk Management in a Risk Identification Session; or

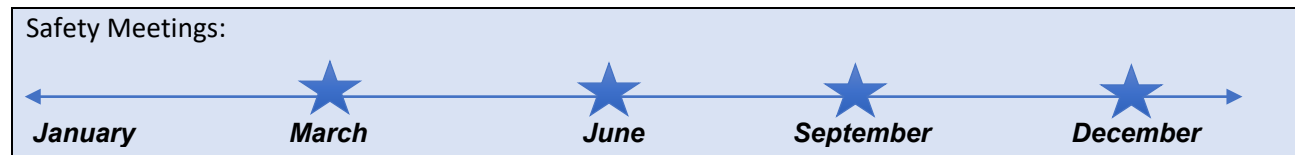
- If employee feels as if their concerns have not been appropriately addressed, conditions can be reported anonymously to the established ethics point hotline – 1-866-294-5598 or www.ethicspoint.com

Examples of information that could be reported include:

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

*Near misses can be reported to the Senior Safety Specialist via the attached Near Miss Form, which is found in Appendix B.

The Chief Safety Officer reviews the reports received via the locked comment box and logs the identified safety conditions in the Safety Risk Register. The Chief Safety Officer reviews and addresses each employee report, ensuring that hazards and their consequences are appropriately identified and analyzed through City Utilities' SRM process.



City Utilities' Chief Safety Officer, Accountable Executive or Key Staff will discuss actions taken to address reported safety conditions during quarterly safety meetings. Additionally, if the reporting employee provided his or her name during the reporting process, the Chief Safety Officer or designated key staff follows up directly with the employee when City Utilities determines whether or not to take action and after any mitigations are implemented.

City Utilities encourages participation in the ESRP by protecting employees that report safety conditions in good faith. However, City Utilities may take disciplinary action if the report involves:

- Illegal activity;
- Gross negligence; or
- Deliberate or willful disregard of policy or procedures.

5. Safety Risk Management

Safety Risk Management Process

City Utilities uses its safety risk management (SRM) process as a primary method to ensure the safety of our operations, passengers, employees, vehicles, and facilities. With this SRM process, we identify hazards and their consequences, assess consequences for potential safety risk, and address safety risk in a manner acceptable to City Utilities' leadership. Our SRM process allows us to carefully examine what could cause harm and determine whether we have taken sufficient precautions to minimize the harm or need to determine if further mitigations are necessary.

City Utilities' Chief Safety Officer leads our day to day SRM process, working with transit staff to identify hazards and consequences, assess safety risk of potential consequences, and mitigate safety risk. The Chief Safety Officer documents the results of our SRM process in our Safety Risk Register and other referenced materials and shares them with the Director of Risk Management and Manager – Risk/Damage Prevention. The overarching, company-wide Safety Risk Management Process is conducted by City Utilities' Risk Management Department on a recurring basis. The results of this process are documented and reviewed with the Accountable Executive, Chief Safety Officer and other key staff.

City Utilities' SRM process applies to all elements of our system, including our operations and maintenance, facilities and vehicles, training, and supervision.

In carrying out the SRM process, we use the following terms:

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

Safety Hazard Identification

The safety hazard identification process offers City Utilities the ability to identify hazards and potential consequences in the operation and maintenance of our system. We can identify hazards through a variety of sources, including:

- Employee safety reporting,
- Bus Driver safety reporting at quarterly Driver Roundtables,
- Review of vehicle camera footage,
- Review of performance data and safety performance targets,
- Observations from supervisors,
- Maintenance reports,
- Comments from customers, passengers, and third parties,

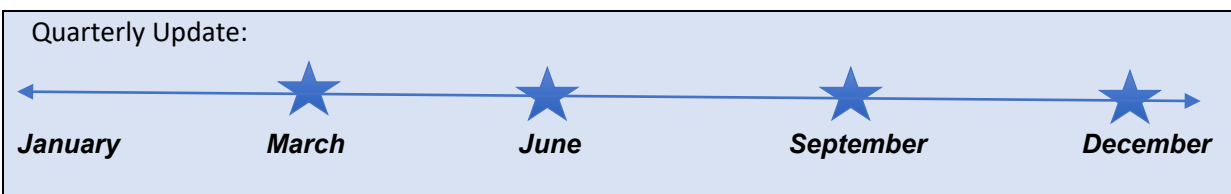
- Results of audits and inspections of vehicles and facilities,
- Results of training assessments,
- Investigations into safety events, incidents, and occurrences, and
- FTA and other oversight authorities (mandatory information source).

Any identified hazard that poses a real and immediate threat to life, property, or the environment is immediately brought to the attention of the Accountable Executive and addressed through our SRM process for safety risk assessment and mitigation. This means that we believe immediate intervention is necessary to preserve life or to prevent major property destruction.

When management or supervisory personnel observe safety concerns, whatever the source, they report them to the Chief Safety Officer who records the concern. Our Chief Safety Officer also receives and records employee reports from our Employee Safety Reporting system. The Chief Safety Officer documents all reported concerns in our Safety Risk Register and reviews them for hazards.

Our Chief Safety Officer may conduct further analysis of hazards and consequences entered into the Safety Risk Register to collect information and identify additional consequences. This helps us determine which hazards we should prioritize for safety risk assessment. In following up on identified hazards, our Chief Safety Officer may:

- Reach out to the reporting party, if available, to gather all known information about the reported hazard;
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (photographs and/or video), and taking any measurements deemed necessary;
- Conduct interviews with employees in the area to gather potentially relevant information on the reported hazard;
- Review any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.);
- Contact other functions/departments that may be associated with or have technical knowledge relevant to the reported hazard;
- Review any past reported hazards of a similar nature; and
- Evaluate tasks and/or processes associated with the reported hazard.



Quarterly, the Chief Safety Officer prepares an agenda to discuss identified hazards and consequences with transit supervisory staff during a staff meeting. This agenda may include additional background on the hazards and consequences, such as the results of trend analysis, vehicle camera footage, vendor documentation, reports and observations, or information supplied by FTA or other oversight authorities. It is during this discussion of identified hazards that the group prioritizes hazards for further Safety Risk Management activity.

Safety Risk Assessment

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

The Accountable Executive, Chief Safety Officer and key staff evaluate prioritized hazards using City Utilities' Safety Risk Matrix. This matrix expresses assessed risk as a combination of one severity category and one likelihood level, also referred to as a hazard rating. For example, we may assess a risk as "1A" or the combination of a Minor severity category and a Frequent probability level. The City Utilities Transit Safety Risk Matrix is attached as Appendix C.

This matrix is used to categorize combined risks into levels: High, Medium or Low based on the likelihood of occurrence and severity of the outcome of potential consequences. For purposes of accepting risk:

- "High" hazard ratings are considered unacceptable and require action to mitigate the safety risk,
- "Medium" hazard ratings are considered undesirable and require a decision regarding their acceptability, and
- "Low" hazard ratings may be accepted by the Chief Safety Officer/Accountable Executive without additional review.

Using a categorization of High, Medium, or Low allows us to prioritize hazards for mitigation based on their associated safety risk.

The Chief Safety Officer schedules safety risk assessment activities with the Accountable Executive and key staff, as needed. During the meeting, the Chief Safety Officer reviews hazards and their consequence(s) and reviews available information on severity and likelihood. The Chief Safety Officer may request support from key staff in obtaining additional information to support safety risk assessment.

After obtaining sufficient information, the Chief Safety Officer completes relevant sections of the Safety Risk Register, using the City Utilities' Safety Risk Assessment Matrix. The Chief Safety Officer documents the results of these safety risk assessment activities, including hazard rating and mitigation options for each assessed safety hazard in the Safety Risk Register. All documentation from this assessment process is maintained on file by the Chief Safety Officer for a period of three years from the date of generation.

Safety Risk Mitigation

The Accountable Executive, Chief Safety Officer and key staff review current methods of safety risk mitigation and establish methods or procedures to mitigate or eliminate safety risk associated with specific hazards based on recommendations devised during the safety hazard identification process. City Utilities will reduce safety risk by decreasing the likelihood and/or severity of potential consequences of hazards.

We prioritize safety risk mitigations based on the results of our safety risk assessments. Our Chief Safety Officer tracks and updates safety risk mitigation information in the Safety Risk Register and makes the Register available to the Accountable Executive, Risk Management Staff, other key staff and other

agency staff upon request.

In the Safety Risk Register, our Chief Safety Officer also documents any specific measures or activities, such as reviews, observations, or audits that we conduct to monitor the effectiveness of mitigations after we implement them.

6. Safety Assurance

Safety Performance Monitoring and Measurement

City Utilities has many processes in place to monitor its entire system for compliance with operations and maintenance procedures, including:

- Safety audits,
- Informal inspections,
- Regular review of on-board camera footage to assess drivers and specific incidents,
- The employee safety reporting program,
- Investigation of safety occurrences,
- Safety reviews before launching or modifying any facet of service,
- Daily data gathering and data monitoring related to the delivery of service, and
- Regular vehicle inspections and preventative maintenance.

City Utilities monitors safety risk mitigations to determine if they have been implemented and are effective, appropriate, and working as intended. The Chief Safety Officer maintains a list of safety risk mitigations in the Safety Risk Register. The mechanism for monitoring safety risk mitigations varies depending on the mitigation.

The Chief Safety Officer establishes one or more mechanisms for monitoring safety risk mitigations as part of our mitigation implementation process and assigns monitoring activities to the appropriate Director, Manager or Supervisor. These monitoring mechanisms may include tracking a specific metric on daily, weekly, or monthly logs or reports, conducting job performance observations, or other activities. The Chief Safety Officer endeavors to make use of our existing processes and activities before assigning new activities to collect information.

The Accountable Executive, Chief Safety Officer and key staff review the performance of individual safety risk mitigations as needed, based on the reporting schedule determined for each mitigation. During this review, they determine if a specific safety risk mitigation is not implemented or performing as intended. If the mitigation is not implemented or performing as intended, they will propose a course of action to modify the mitigation or take other actions to manage the safety risk.

The Accountable Executive, Chief Safety Officer and key staff also monitor our operations on a large scale to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- Reviewing results from accident, incident, and occurrence investigations,
- Monitoring employee safety reporting,
- Reviewing the results of internal safety audits and inspections, and

- Analyzing operational and safety data to identify emerging safety concerns.

The Chief Safety Officer works with key staff to carry out and document all monitoring activities.

City Utilities reviews video footage, photos and police reports of events (accidents, incidents, and occurrences, as defined by FTA) to find causal and contributing factors and review the existing mitigations in place at the time of an event. If a formal investigation of the event needs to occur, it can be conducted by HR's safety employees.

Transit management staff maintains all documentation of our forms, checklists, activities, and results. An investigation report is prepared and saved on the shared drive.

After review, the Manager – Transit Operations and/or the Director of Transit determine the following:

- The accident was preventable or non-preventable;
- Personnel require discipline or retraining;
- The causal factor(s) indicates that a safety hazard contributed to or was present during the event; and
- The accident appears to involve underlying organizational causal factors beyond just individual employee behavior.

When appropriate, HR-Safety staff can also be involved in these decisions.

The Accountable Executive, Chief Safety Officer and key staff routinely review safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication channels. When necessary, this group ensures that the concerns are investigated or analyzed through City Utilities' Safety Risk Management process.

7. Safety Promotion

Competencies and Training

City Utilities' comprehensive safety training program applies to all City Utilities employees directly responsible for safety.

We dedicate resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The scope of the safety training, including annual refresher training, is appropriate to each employee's individual safety-related job responsibilities and their role in the SMS.

The following training is an ongoing function of Transit and Fleet employees:

Operations safety-related skill training includes the following:

- New-hire bus vehicle operator classroom and hands-on skill training,
- Bus vehicle operator refresher training,

- Bus vehicle operator retraining (recertification or return to work),
- Classroom and on-the-job training for dispatchers,
- Classroom and on-the-job training for operations supervisors and managers, and
- Classroom training for administrative staff (FTA Workshops, NTI Trainings, etc)

Vehicle maintenance safety-related skill training includes the following:

- Ongoing vehicle maintenance technician skill training,
- Ongoing hazardous material training for vehicle maintenance technicians and supervisors, and
- Training provided by vendors.

Refresher training requirements for City Utilities Transit and Fleet employees are maintained by Human Resources and can be found in Appendix D.

Safety Communication

The Chief Safety Officer coordinates our safety communication activities in the SMS. Our activities focus on the three categories of communication activity established in Part 673:

- **Communicating safety and safety performance information throughout the agency:** City Utilities communicates information on safety and safety performance through supervisors in one-on-one or group discussions with employees, in its quarterly safety meetings, CU Connect, quarterly safety report (Appendix E), monthly newsletter, whiteboard/bulletin boards and digital signage in show up area and breakrooms. Information that could be covered includes safety awareness messages, safety performance statistics, lessons learned from recent occurrences, upcoming events that may impact our service or safety performance, and updates regarding SMS implementation.
- **Communicating information on hazards and safety risks relevant to employees' roles and responsibilities throughout the agency:** As part of new-hire training, City Utilities distributes safety policies and procedures, included in the Employee Handbook, to all employees. We provide training on these policies and procedures and discuss them during safety talks between supervisors and bus operators and vehicle technicians. Newly emerging issues or safety events at the agency could be communicated by supervisors in one-on-one or group discussions with employees, in safety meetings, during driver roundtables, in the monthly newsletter, on whiteboards/bulletin boards and on digital signage in show up area and breakrooms.
- **Informing employees of safety actions taken in response to reports submitted through our ESRP:** City Utilities provides targeted communications to inform employees of safety actions taken in response to reports submitted through the ESRP, including handouts and flyers, safety meetings, updates to bulletin boards, and one-on-one discussions between employees and supervisors.

Additional Information

Supporting Documentation

City Utilities maintains documentation related to the implementation of its SMS; the programs, policies, and procedures used to carry out this Agency Safety Plan; and the results from its SMS processes and activities for three years after creation. They will be available to the Federal Transit Administration or other Federal or oversight entity upon request.

Definitions of Special Terms Used in the Safety Plan

Term	Definition
Accountable Executive	Singe, identifiable person who has the ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C 5329(d), and the agency's Transit Asset Management Plan, in accordance with 49 U.S.C. 5326.
Event	Any accident, incident, or occurrence
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 a pubic transportation system; or damage to the environment.
Incident	An event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.
Investigation	The process of determining the casual and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.
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 transit agency.
Performance Measure	An expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.
Performance Target	A quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.
Public Transportation Agency Safety Plan (or Agency Safety Plan)	The documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and part 673.
Risk	The composite of predicted severity and likelihood of the potential effect of a hazard
Risk Mitigation	A method or methods to eliminate or reduce the effects of hazards.
Safety Assurance	The process within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
Safety Management Policy	A transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
Safety Management System	The formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
Safety 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's Agency Safety Plan for identifying hazards and analyzing, assessing and mitigating safety risk.
Transit Agency Management Plan	The strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their lifecycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C 5326 and 49 CFR Part 625.

List of Acronyms Used in the Safety Plan

Acronym	Word or Phrase
ADA	American's with Disabilities Act of 1990
ASP	Agency Safety Plan (also referred to as a PTASP in Part 673)
CU	City Utilities of Springfield
DR	Demand Response
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
MB	Motor Bus
MPO	Metropolitan Planning Organization
OTO	Ozarks Transportation Organization
Part 673	49 CFR Part 673 (Public Transportation Agency Safety Plan)
SMS	Safety Management System
SRM	Safety Risk Management
TAM	Transit Asset Management
U.S.C.	United States Code

APPENDIX A - CU SAFETY POLICY 2.40



APPROVED BY: GENERAL MANAGER

DATE ISSUED: 10/10/2007

DATE LAST REVIEWED: 09/15/2010

DATE REVISED:

PURPOSE

To provide services to our customers, many resources are needed, the most important of which is our employees. Encouraging safe operations is vital to City Utilities in order to protect our employees, enable them to work productively, and, at the end of the day, allow them to return safely to their families. Therefore, City Utilities and its employees should continually strive for a safe, injury-free workplace.

RESPONSIBILITIES

Employees working in a safe and injury-free manner are an integral part of City Utilities' performance. Virtually all of our work responsibilities involve exposure to hazards of some kind. Managing hazards in the workplace is the key to creating an injury-free work environment for our employees. The following basic safety steps can be instrumental in managing and handling workplace hazards:

1. Identify the hazards.
2. Eliminate the hazards when practical.
3. Control the hazards that cannot be eliminated.
4. Protect against the hazards that cannot be eliminated.

All employees have the responsibility to perform their work in a safe and injury-free manner. They also have the responsibility to help their coworkers avoid injuries when performing their work.

Effective and visible leadership is an essential element of achieving an injury-free work environment for our employees. Therefore, supervisory and management employees have the responsibility to supervise work so that it is done safely by establishing and communicating expectations and ensuring that those expectations are understood and met. In addition, working productively and working safely are not competing objectives.

PRINCIPLES

- Safety is an integral part of all that we do at City Utilities.
- Safety will not be compromised for expediency or productivity gains.
- The responsibility and accountability for safety rests with each employee.
- Supervising and managing work so that it is done injury-free is an expectation of management employees at City Utilities.
- All performance appraisals (for both union and nonunion employees) will include a performance rating for workplace safety practices.
- Work practices that protect employees from occupational injury or illness will continually be monitored and implemented.



CU Policy 2.40 - Safety

APPROVED BY: GENERAL MANAGER

DATE ISSUED: 10/10/2007

DATE LAST REVIEWED: 09/15/2010

DATE REVISED:

- Work related job injuries and incidents will be appropriately investigated to avoid the same type of injury/incident in the future.
- Trained employees are essential to a safe workplace. Employees will only perform work that they are qualified to do safely.
- All employees are expected to offer suggestions to improve safe work practices.

APPENDIX B - NEAR MISS FORM

Near Miss Report



Because the next life you save may be your own



I'm Safe



What I Use Is Safe



Where I Am Is Safe



My Customers Are Safe



So We Go Home Safe

What happened? _____

What caused the near miss? _____

What do you think could prevent this from happening again? _____

Address where this occurred: _____

Were there other co-workers there? Yes _____ No _____

Department: _____ Near miss date and time: _____

Who was the supervisor at the time of the incident? _____

Do you want to remain confidential? Yes _____ No _____

Name: _____ CU ID#: _____ Date: _____

Please complete this form and forward to the Safety Department.

APPENDIX C - SAFETY RISK MATRIX

Criteria

Could result in death/permanent total disability, loss exceeding \$30M, system shutdown lasting 24 or more hours, or loss of bus fleet.

Could result in partial disability, injury or occupational illness that may result in hospitalization, property damage exceeding \$10M but less than \$30M, system shutdown lasting between 6 hours and 24 hours, or the need to permanently reduce service.

Could result in injury or occupational illness resulting in three or more lost workday(s), property damage over \$25,000, system shutdown of less than 6 hours or service interruption for more than one week.

Could result in injury or occupational illness resulting in 1-2 lost workday(s), monetary loss less than \$25K or service interruption for more than 1 day less than 1 week.

Could result in injury or occupational illness not resulting in lost workday(s), monetary loss less than \$5K, a trend of declining on-time performance or service interruption for less than 1 day.

Impact/Consequence	5	Catastrophic					
	4	Severe					
	3	Major					
	2	Moderate					
	1	Minor					
			Improbable	Very Unlikely	Occasional	Probable	Frequent
			E	D	C	B	A
			Probability				
Probability Categories	A		<10% chance of occurrence	10%-35% chance of occurrence	35%-65% chance of occurrence	65%-90% chance of occurrence	90% or greater chance of occurrence
	B		Has happened in the industry	Has happened in the industry in last 10 years	Has happened at CU	Happens at CU about once per year	Happens at CU more than once per year
	C		Experienced by bus operator less than 1x in career	Experienced by bus operator 1x in career	Experienced by bus operator more than 1x but less than 5x in career	Experienced by bus operator more than 5x but less than 10x in career	Experienced by bus operator more than 10x in career

High - Unacceptable - Action Required

Safety risk must be mitigated or eliminated

Medium - Undesirable - Management Decision

Accountable Executive and/or Risk Management Staff must decide whether to accept safety risk with monitoring or require additional action

Low - Acceptable with Review

Safety risk is acceptable pending Chief Safety Officer/Accountable Executive Review

APPENDIX D - REFRESHER TRAINING MATRIX

Master Journey Mechanic

Training Course	HR Course Code	Frequency of Training
Appropriate Use of Information	APPUSE	EVERY 24 MONTHS
Bloodborne Pathogens	BLDPTH	EVERY 24 MONTHS
CPR	CPR_RE	EVERY 24 MONTHS
CPR & First Aid	CPRFIR	EVERY 24 MONTHS
CU Safe Driver	DRIVER	EVERY 60 MONTHS
DOT Drug Testing Changes 2018	DOT2	ONCE DURING EMPLOYMENT
Diversity Training - Employee	DIVER1	EVERY 36 MONTHS
Ethics Hotline Training	ETHICS	EVERY 36 MONTHS
FTA Drug & Alcohol Training - Employee	FTADR2	ONCE DURING EMPLOYMENT
First Aid	FRSTAD	EVERY 24 MONTHS
Harassment Training - Employee	HARAS1	EVERY 36 MONTHS
Hazard Communication	HZCOMM	EVERY 24 MONTHS
Managing CU Records	RECORD	EVERY 36 MONTHS
NERC Awareness	NERC	ONCE DURING EMPLOYMENT
Photo Release Form	PHOTO	ONCE DURING EMPLOYMENT
Security Event Recog/Reporting	SABOT1	EVERY 36 MONTHS

Bus Operator - 1st 6 Months

Training Course	HR Course Code	Frequency of Training
Appropriate Use of Information	APPUSE	EVERY 24 MONTHS
Bloodborne Pathogens	BLDPTH	EVERY 24 MONTHS
CPR	CPR_RE	EVERY 24 MONTHS
DOT Drug Testing Changes 2018	DOT2	ONCE DURING EMPLOYMENT
Diversity Training - Employee	DIVER1	EVERY 36 MONTHS
Ethics Hotline Training	ETHICS	EVERY 36 MONTHS
FTA Drug & Alcohol Training - Employee	FTADR2	ONCE DURING EMPLOYMENT
First Aid	FRSTAD	EVERY 24 MONTHS
Harassment Training - Employee	HARAS1	EVERY 36 MONTHS
Managing CU Records	RECORD	EVERY 36 MONTHS
NERC Awareness	NERC	ONCE DURING EMPLOYMENT
Photo Release Form	PHOTO	ONCE DURING EMPLOYMENT
Security Event Recog/Reporting	SABOT1	EVERY 36 MONTHS
Smith System Driver Training	DRIVE1	ONCE DURING EMPLOYMENT

Supervisor - Bus Services

Training Course	HR Course Code	Frequency of Training
Appropriate Use of Information	APPUSE	EVERY 24 MONTHS
Bloodborne Pathogens	BLDPTH	EVERY 24 MONTHS
CU Safe Driver	DRIVER	EVERY 60 MONTHS
DOT Drug Testing Changes 2018	DOT2	ONCE DURING EMPLOYMENT
Diversity Training - Supervisor	DIVER2	EVERY 36 MONTHS
Ethics Hotline Training	ETHICS	EVERY 36 MONTHS
FTA Drug & Alcohol Training - Employee	FTADR2	ONCE DURING EMPLOYMENT
FTA Drug & Alcohol Training - Supervisor	FTADR1	EVERY 60 MONTHS
First Aid	FRSTAD	EVERY 24 MONTHS
Harassment Training - Supervisor	HARAS2	EVERY 36 MONTHS
Managing CU Records	RECORD	EVERY 36 MONTHS
NERC Awareness	NERC	ONCE DURING EMPLOYMENT
Photo Release Form	PHOTO	ONCE DURING EMPLOYMENT
Security Event Recog/Reporting	SABOT1	EVERY 36 MONTHS

APPENDIX E – QUARTERLY SAFETY REPORT

THE SAFETY insider

Year-End 2019

Safety...Year in Review

Your safety is just as important in 2020 as it was in 2019. The Safety, Health, and Training department has three goals for each employee:

1. Safety at work, safety at home, and better living.
2. Return home without injury.
3. Learn to practice safety & personal risk management 24/7-365.

Safety, Health and Training probably does more than you realize to impact your safety. With the graphic below and the photos you see we are geared toward making your work and life better.





Safety Insights

Reflecting Back

Chris Jones,
AGM - Electric Supply & Delivery

I hope everyone is having a great start to the new year and striving to make 2020 our safest year yet. Today, I want to talk about cybersafety. Cybersafety is a combination of our cybersecurity effort and our safety culture. Just as we all have to be vigilant everyday to protect ourselves from workplace hazards, we have an equal responsibility to protect ourselves from cyber hazards.

With five operating areas and different types of devices connected to our network both in the office and remotely

in our vehicles, there are many opportunities for those looking to access protected information or disrupt utility operations. You might think no one would be interested in trying to access City Utilities' network since we are a municipal utility located in the central US, but that is not the case. Every utility, large and small, is a target for attacks.

One of the most effective ways for outsiders to gain access to our network is through "phishing" email campaigns. These emails have links and attachments which clicked on can potentially download an infected file or request network access information we don't share. To help employees learn what these emails look like, our IT security group generates simulated phishing emails. If you are an email user, you have definitely gotten these emails over the past year. The goal is to help train all of us (yes, I get them too) to recognize and report these emails. Many legitimate phishing emails are filtered and never make it to our employees, but some do. It is very important that we all stay aware of this simple but effective attack.

Other efforts to be cybersafe include longer passwords and more frequent time outs on our computers. Combined, these

efforts make unauthorized access, especially for those devices in the field, more difficult. Cybersafety just like personal safety is not always the most convenient. Wearing the correct PPE for the job and completing a job site safety checklist (tailboard) takes additional time as does longer passwords and logging back into a PC. However, they are both exactly the right thing to do.

Cybersafety, just like personal safety, is the responsibility of all employees. Careless actions can have extreme consequences. We all work in an industry with tremendous hazards, but with proper planning and protective equipment, we can perform our jobs safely. Similarly, with proper cyber habits we can all work cybersafe.

Departments Celebrating No Lost-Time Injuries This Qtr.

Contract Management - 35 years
Electric System Control/Dispatch - 33 years
Natural Gas Leak Survey, Investigation & Cathodic Protection - 19 years
Electric Metering - 9 years
Electricians/Technicians - 4 years
Fellows Lake - 2 years
Water Distribution - 1 year
Natural Gas Operations - 1 year

Safety Meeting Topics

- Asbestos O&M
- Excavations
- Gas Safety Manual Review
- Work Zone
- Drug & Alcohol Testing Update

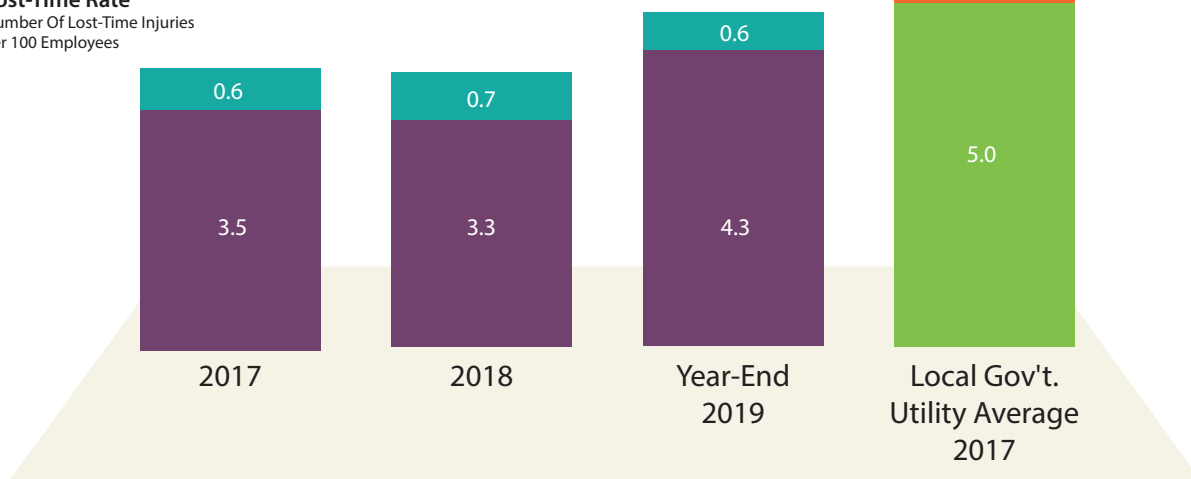
Stats and Facts

Injury Rates Per Employee

Preventing injuries is our goal and we cannot do this without your help. Please watch out for yourselves and your coworkers and make good choices. Below is our rate of injuries per 100 employees. This year's injury rate has now exceeded those from the past two years.



Injury Rates Per 100 Employees 2017 through Year-End 2019



Injuries By Department

You cannot leave your injuries at work. They go home with you. Injuries impact your life, your fun, and your family. Think, act, prevent.

38 employees suffered injuries this year:

- **Electric Line** – 6 injuries, 2 were Lost-Time Injuries
- **Water Operations** – 11 Injuries – 2 were Lost-Time Injuries
- **Natural Gas Operations** – 7 Injuries
- **Electric Supply** – 5 Injuries
- **Transit** – 3 Injuries
- **Fleet** – 1 Injury
- **Customer Operations** – 3 Injuries, 1 was Lost-Time
- **Electric Stores** – 1 Injury
- **Building Maintenance** – 1 Injury

Injury Rates By Department

How does your department compare with others here at CU? The graph on the right puts that into perspective. The injury rate per 100 employees calculation is a standard for computing incident rates and works like this:

$$\text{Injury Rate} = \frac{\# \text{ Worker Injuries} \times 200,000^*}{\# \text{ of Hours Worked}}$$

*200,000 is the average number of hours 100 employees work in 1 year.

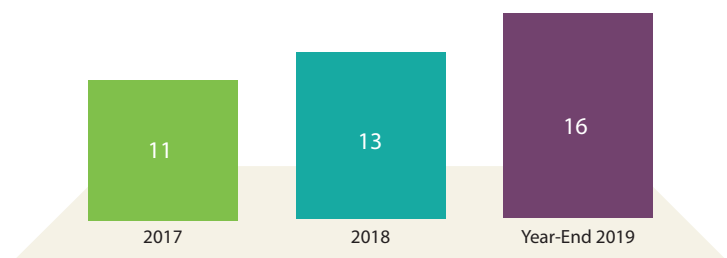
- Water Operations has the highest injury rate this year.
- 5 out of 7 Departments had increased injury rates.
- Great job Administration and Fleet/Transit for reducing your injuries!

Vehicle Collisions

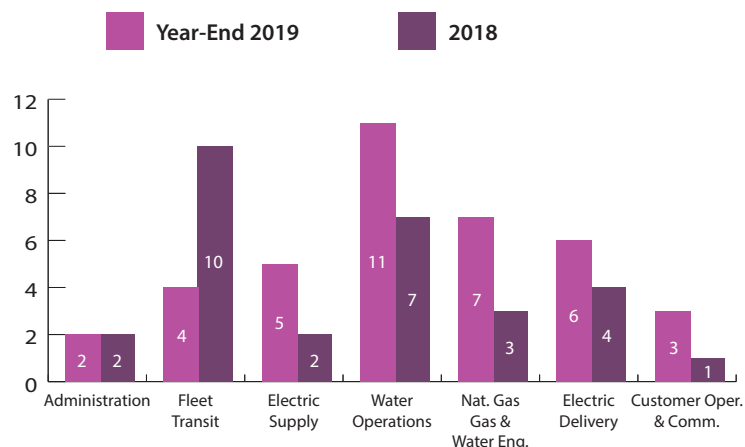
Transit Fleet

Safely operating City Utilities' vehicles is an important part of our safety culture. Our Transit drivers are under tremendous pressure to keep their passengers safe while operating our bus fleet on Springfield's roadways. Transit drivers have been putting their defensive driving skills to work this quarter with only three preventable accidents. Fortunately, there were no serious injuries.

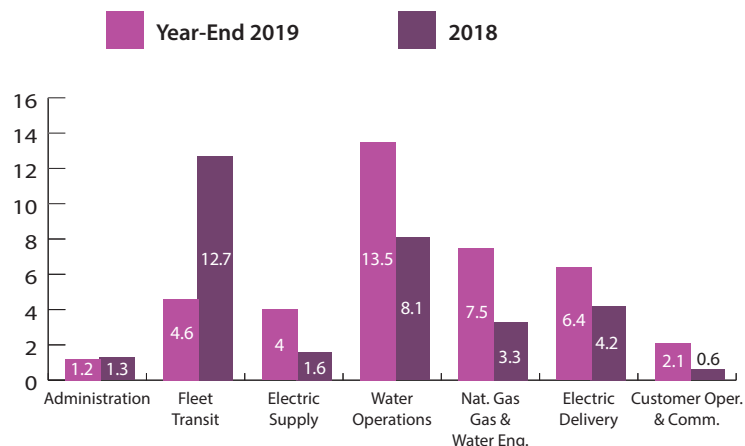
Preventable Transit Collisions 2017 through Year-End 2019



Injuries by Department 2018 - Year-End 2019



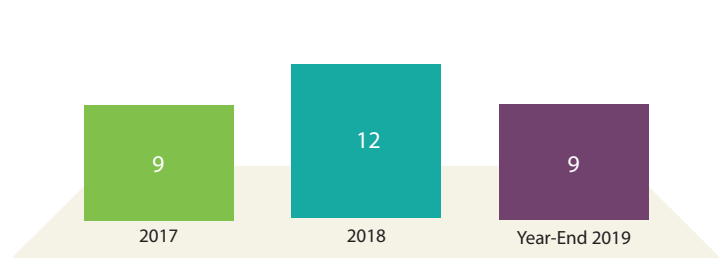
Injury Rates by Department 2018 - Year-End 2019



Utility Fleet

Our Utility Fleet vehicles include trucks, cars and equipment. There was one preventable traffic collision reported for our drivers this quarter, bringing the total to nine and no injuries. This is three less than last year and we are on the right track. Let's focus on driving safely and defensively, every day, every mile.

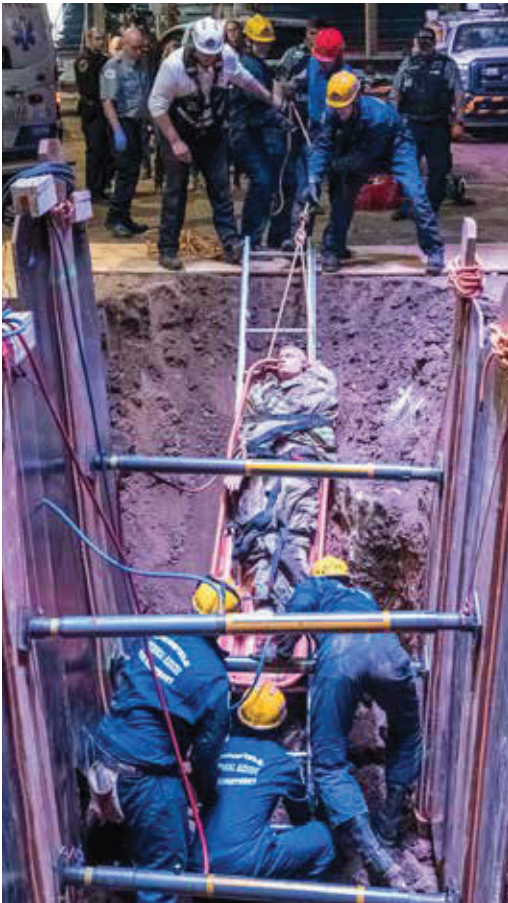
Preventable Utility Vehicle Incidents 2017 through Year-End 2019



We all need to pay closer attention to our driving. Remember to drive defensively and please do not drive distracted.

The Missouri Common Ground Alliance

The Missouri Common Ground Alliance (MO CGA) is a group of stakeholders across various industries that are committed to protecting underground utility infrastructure and eliminating accidents and injuries from unsafe excavation practices. This group sponsors the MO CGA Damage Prevention & Excavation Safety Summit and the International Locate Rodeo. This year's event was a HUGE SUCCESS! Hundreds of contractors, utility personnel, locators, and others from more than 25 states and Canada traveled to Springfield to participate in the nation's largest summit. We truly appreciate everyone taking time out of their busy schedules to attend. City Utilities is a huge supporter of the event, providing our expertise from Damage Prevention, Safety, Electric Line, and Natural Gas Departments. Below are pictures from event including the docu-drama of a trench cave-in, safety classes and the Locate Rodeo. Great job to everyone involved. **You make a difference in people's lives.**



CU Workers' Compensation Costs Year-End 2019

Department	Medical & Indemnity Costs
Customer Operations & Comm.	\$ 46,027.89
Electric Supply & Delivery	\$ 80,581.75
Power Supply/Generation	\$ 98,324.39
Finance	\$ - 0 -
General Management	\$ 239.20
Operations - Natural Gas	\$ 71,166.74
Operations - Water	\$ 266,897.72
Operations - Transit & Fleet	\$ 82,744.49
Administration	\$ 5,073.46
Total Workers' Compensation Costs (01-01-19 through 12-31-19)	\$ 651,055.64
Total Workers' Compensation Costs (01-01-18 through 12-31-18)	\$ 644,763.59
Increase From 2018	\$ 6,292.05