CHATTANOOGA AREA REGIONAL TRANSPORTATION AUTHORITY
THE CHATTANOOGA PARKING AUTHORITY

BOARD MEETING AGENDA

January 25, 2024

1. **Call to Order**
2. **Quorum Call**
3. **Invocation**
4. **Public Comment for Board Action Items**
5. **Adoption of Minutes** (page 2)
6. **CEO Report**
7. **Operating Reports**
   a. **Finance & Compliance Committee Report:** Treasurer Patricia McKoy
   b. Financial Report (Board Action): Sonja Sparks **(page 8)**
   c. Statistical Report (Board Action): Philip Pugliese **(page 23)**
8. **HR & Workforce Relations Committee Report** Director Charita Allen
9. **Revenue Committee Report** Director Corey Evatt
10. **Compensation Committee Report** Secretary Arcie Reeves
11. **Operations Committee Report** Chairman Johan de Nysschen
    a. Public Transportation Agency Safety Plan – Revision 4 (Board Action): Daniel Collins (**page 30**)
12. **Procurement Committee Report** Director Jenny Park
    a. Contracts for Legal services (Board Action): Annie Powell **(page 77)**
       - Labor, Personnel & Workers Compensation services
       - General services
13. **New Business**
14. **Old Business**
    a. Discussion - Board transparency policy: Director Corey Evatt
       - **Public Comment**
    b. Discussion - Ridership: Director Corey Evatt

MINUTES OF THE BOARD OF DIRECTORS MEETING OF

THE CHATTANOOGA AREA REGIONAL TRANSPORTATION AUTHORITY

AND

THE CHATTANOOGA PARKING AUTHORITY

November 16, 2023

The regular meeting of the Board of Directors of the Chattanooga Area Regional Transportation Authority (CARTA) and the Chattanooga Parking Authority was held Thursday, November 16, 2023, starting at 10:00 a.m., at the Board Building, 1617B Wilcox Blvd. Chattanooga, TN 37406. The meeting was held in accordance with Section 4, Paragraphs 1 and 2 of the ordinances creating the Authority and pursuant to the notice advertised in the Chattanooga Times Free Press on November 5, 2023. The following Board members were in attendance and constituted a quorum: Johan de Nysschen, Chairman; Evann Freeman, Vice Chairman; Patricia McKoy, Treasurer; Arcie Reeves, Secretary; Corey Evatt, Charita Allen, Jenny Park, Bill Nye, Stephen Culp, Daniela Peterson, and LeAndrea Sanderfur. The following persons were also in attendance: Sonja Sparks, Chief Financial Officer; Philip Pugliese; Transportation System Planner; Allen McCallie, Legal Counsel, Miller & Martin; Rachael Ruiz, Legal Counsel, Miller & Martin; Dena Franklin, Payroll & A/R Administrator; Starla Reidel, Human Resource Coordinator; and various media and guests. At Mr. de Nysschen's request, Mr. Allen McCallie called the meeting to order and declared a quorum present. Mr. McCallie then called on Ms. McKoy to give the invocation.

Mr. McCallie stated that all members had been sent a copy of the October 19, 2023, Board meeting minutes and asked if there were any additions or corrections. There being no

further questions or corrections, a motion was made by Ms. McCoy and seconded by Mr. Culp, followed by a vote to approve the minutes. The motion was unanimously approved.

Mr. McCallie called on Ms. Allen to report on the Human Resource and Workforce Relations Committee report. She relayed that the national search firm employed to locate candidates for the Chief Executive Officer position provided candidates, and after a short list of candidates were interviewed by the Executive Committee, the board reduced the pool to two (2) exceptional finalists. Mr. de Nysschen outlined the search and interview process used for the identification of the favorable candidates. After multiple interviews and vetting by Mayor Kelly, a single candidate, Charles Frazier, was chosen as the committee's front runner. Mr. de Nysschen presented the candidate and his benefit package to the board with the recommendation to make Mr. Frazier an offer subject to the satisfactory completion of the required background checks. A motion was made by Ms. Reeves and seconded by Mr. Nye, followed by a vote to offer the CEO position to Mr. Frazier. The motion was unanimously approved.

Mr. McCallie called on Mr. James Bence of Mauldin & Jenkins to discuss CARTA's audit summary for the fiscal year ending June 30, 2023. Mr. Bence was pleased to report that the audit was clean with no adverse findings, and that the auditors are issuing an unmodified opinion. The board was provided copies of the Financial Report and the Auditor's Discussion & Analysis. Mr. Bence highlighted several key sections of the Financial Report, including page five (5), which shows the last three (3) years' operating summary; page six (6) showing the cash flow statement; page seven (7) showing the yellow book report containing the compliance report test of CARTA's internal controls and compliance with laws, regulations, etc.; and the GASB standards, starting on page fourteen (14). Mr. McCallie asked if there were CARTA Board Meeting Minutes 11.16.2023

any questions or comments, and there being none, Ms. Allen made a motion to accept the Audit Report as information to the Board, it was seconded by Ms. Parks and followed by a vote to accept. The motion was unanimously approved.

Mr. McCallie next called on Ms. Sparks to present the Financial Reports for October 2023. Ms. Sparks noted that for the month of October, total CARTA revenue from all divisions generated a favorable variance of $119,260 from the budget, and expenses showed a favorable variance of $28,568, resulting in a net favorable variance to budget of $147,828. The total favorable variance through October was a net $839,778, with much of the positive variance in expenses (totaling $627,392) continuing to come from CARTA's budget for full staffing, which CARTA has not accomplished, while revenues have exceeded budget by $212,385, mainly due to good numbers from parking (from both meter revenue and surface lots), and the increase of on-street-parking meter rates to $1.50 per hour that became effective October 1, 2023. Ms. Sparks indicated Care-A-Van was bit over budget due to an increase in wages and benefits due to increased weekend service of Care-A-Van.

Ms. Sparks noted that the Parking Report reflected a positive net revenue from all parking operations totaling $61,669, generated from on-street meters, surface lots, garages, and enforcement, as offset by the costs of parking management and downtown shuttle operational costs.

Mr. McCallie next called Mr. Pugliese to present the Statistical Report. Mr. Pugliese advised that on a year-to-year comparison for October, transit ridership was up 5.4%; Shuttle ridership was up 17.4%; Incline ridership was up 5.0%; and Care-A-Van ridership increased 7.9%, with no turndowns. The North Shore Shuttle ridership was down .7%; the number of

bicycles carried was up 29.7%; and the number of wheelchairs carried was down .2%. Care-A-Van had one (1) preventable accident for the month, as did the Shuttle and Transit.

Mr. McCallie asked if there were any additional comments or questions regarding the Statistical Report. There being none, a motion was made by Ms. Parks, seconded by Ms. McKoy, and followed by a vote to accept the Financial and Statistical Report as information. The motion was unanimously approved.

Mr. McCallie next called on Mr. Evatt to give an update from the Revenue Committee. Mr. Evatt stated the committee met on November 14th to discuss various topics. He stated the notes from the meeting and research are accessible on the board's Google Drive. He proposed the board should consider some marketing ideas, such as a "Fare-Free First Fridays" Project to promote CARTA by having the first Friday of each month fare free. Additional analysis and review was requested and a subsequent meeting of the Revenue Committee and staff will be scheduled. The committee continues to gather and analyze source data to locate additional revenue opportunities.

Mr. McCallie next called on Mr. Reeves to provide an update from the Compensation Committee. Ms. Reeves stated that there was nothing additional to report and the committee's activities were covered in the Human Resource and Workforce Relations Committee report.

Mr. McCallie next called on Mr. de Nysschen to give an update on the Operations Committee. Mr. de Nysschen called on Mr. Pugliese to give a summary on the meeting with the Chattanooga Regional Planning Agency regarding the Clifton Hills pilot project. Mr. Pugliese indicated that both parties were in agreement to move forward with the plans in the

Clifton Hills area. Multiple meetings have ensued during the month and the dialogue is continuing.

Mr. McCallie next called on Ms. Park for an update from the Procurement Committee. Ms. Park reminded all that the review of outstanding projects and requests for proposals occurs the second Wednesday of every month at 9:30 am in the Tom Dugan conference room at 1617 Wilcox and the prioritized list of projects, purchases and requests for proposals is on the shared drive. She noted upcoming capital expenditure needs and RFPs.

Under "New Business" Mr. McCallie next called on Ms. Cyndi Bonds to give an update on the Agency Safety Plan ("ASP"). The Public Transportation Agency Safety Plans Regulation (49 C.F.R. Part 673) requires certain operators of public transportation systems that receive federal funds under the Federal Transportation Agency (FTA) Urbanized Area Formula Grants to develop an ASP that includes processes and procedures to implement a comprehensive, collaborative, and systematic approach to managing safety. Ms. Bonds presented the historical relevance of the ASP and new requirements resulting from certain provisions of the Bipartisan Infrastructure Law. Discussion continued regarding driver safety and barriers on the buses, and formalized Standard Operating Procedures. A deadline was set by the board for staff to have a workable proposal of Standard Operating Procedures by the January 25, 2024 board meeting.

Under "New Business" Mr. Evatt requested discussion regarding a potential transparency policy. Mr. Evatt suggested more transparency agency wide, including the Board Minutes being published on CARTA's website along with recordings of the Board Meetings and access to other data. Staff are to research the internal means and challenges in publishing

this information on CARTA's website. A meeting is set at the conclusion of the next board meeting on January 25th to discuss feasibility and available technology.

Mr. McCallie inquired if there were any other business items that need to be addressed.

There being no further business, a motion was made to adjourn, and the meeting was adjourned.

TO: CARTA Board of Directors
Finance & Compliance Committee

FROM: Sonja Sparks
Chief Financial Officer

SUBJECT: Financial Report

RECOMMENDED ACTION

Staff recommends that the Board approve CARTA's financial reports for the months ending November and December 2023.

HIGHLIGHTS, ANALYSIS AND CONCLUSIONS

November, 2023

- Revenue for November was $2,028,875 compared to a budgeted $2,086,446.
    - Parking revenue was over budget $38,543 due to meter increase from $.50 per half hour up to two hours to $1.00 effective October, 2023.
- Expenses for November were $2,210,388 compared to a budgeted $2,279,096
    - Transit expense was under budget $113,209 due to wage and benefit variance of $79,75 due to vacancies, software maintenance of $18,460 due to the timing of annual purchases.
    - Care-A-Van expenses were over budget $49,374 due to an over budget variance in wages and benefits in the amount of $55,480 from customer service covering after hour and weekend shifts for CARTA GO.
    - Parking expense over budget variance of $34,490 was due to an increase in parking meter expenses due to the continuation of catching up on Duncan fees.
- The November Parking Report indicates receipts from parking meter and enforcement reflected net positive revenue of $37,969 and when combined with net shuttle costs of ($107,973), created a net of ($70,004). Total net parking revenue for the month (adding in surface lot and garage revenues and expenses) reflected a positive net revenue of $98,484.

December, 2023

- Revenue for December was $2,042,488 compared to a budgeted $1,951,446.
    - Shuttle revenue was over budget $42,620 due to the annual receipt of rent proceeds from River City. The contract with River City for managing the surrounding location of Shuttle Park North owned by CARTA guarantees a minimum of $36,000 annually with a residual payment of 40% of gross rental proceeds generated from subleases of the premises that exceed the total operating costs. We received this annual amount of $31,637.22. Parking revenue was also over budget $15,621.
    - Parking revenue was over budget $44,200 due to meter increase from $.50 per half hour up to two hours to $1.00 effective October, 2023.
- Expenses for December were $2,368,753 compared to a budgeted $2,279,096.
    - Transit expense over budget variance of $7,978 is due to a wage and benefit over budget variance of $54,062. While we normally have an under budget variance in wages and benefits but we budget equally over the twelve months of the year. We pay every two weeks for a total of 26 pay periods throughout the year. This results in two to three months containing 3 week pay periods, December was a three pay period month. Software maintenance was under budget $19,210 due to the timing of annual purchases and the balance was in fuel and maintenance offsetting the over budget variance as well as fuel of $21,189 and maintenance of $18,116.
    - Care-A-Van expenses were over budget $81,285 due to an over budget variance in wages and benefits in the amount of $78,136 from customer service covering after hour and weekend shifts for CARTA GO.
    - Parking expense over budget variance of $23,543 was due to an increase in parking meter expenses due to the continuation of catching up on Duncan fees.
    - The December Parking Report indicates receipts from parking meter and enforcement reflected net positive revenue of $54,969 and when combined with net shuttle costs of ($158,307), created a net of ($103,338). Total net parking revenue for the month (adding in surface lot and garage revenues and expenses) reflected a positive net revenue of $99,524.

November 2023 Variance Analysis

Overall, for the month, Transit, Shuttle and Care-A-Van ended with a net revenue deficit at month end, while Incline and Parking ended with a net revenue increase. Revenue for the month was $2,028,875 compared to a budgeted $2,086,446 which is a 5% variance. Expenses were $2,210,388 compared to a budgeted $2,279,096 which is an -1.3% variance, resulting in a net decrease in income of $181,513 and a net decrease variance to budget of $11,137.

- Transit revenues were under budget $40,172 from a variety of categories, non-significant. Passenger revenue was under budget slightly, $1839, advertising, $10,087, and government revenue $28,328.
- Transit expense under budget variance of $113,209 is due to a wage and benefit variance of $79,175, we budget for full staffing and due to vacancies, we have an underbudget variance. Some other factors affect the wage and benefit variance throughout the year. We budget equally over the twelve months of the year. We pay every two weeks for a total of 26 pay periods throughout the year. This results in two to

three months containing 5 week pay periods. Also, the wage increase of 2% scheduled to be effective January 1st is included in the entire year so we are recognizing that amount in the over budget variance for the first six months. We also budget at the highest rate for union employees that have staggered rates based on longevity. All of these factors contribute to the variances throughout the year. Software maintenance was under budget $18,460 due to the timing of annual purchases and the balance was in fuel and maintenance. This results in a monthly under budget variance in net income of $73,037.

- Shuttle revenue was under budget $49,604 due to a decrease in federal funding for preventative maintenance recognizing a decrease in budget for the month.
- Shuttle expense under budget variance of 20,765 is due to an under budget variance in wages and benefits of $18,454. We budget for full staffing and due to vacancies, we have an underbudget variance. The net income under budget variance for the month is $28,839.
- Incline revenues were under budget $9,316 due to a decrease in passenger revenue from budget of

$19,315 and offset in an increase in concessions revenue of $6,667 and parking revenue of $6,788.

- Incline expense is under budget $18,598 due to over budget variance from budget in wages of $5,958 offset by under budget variances in professional services and maintenance. The net income over budget variance for the month is $9,282.
- Care-A-Van revenue was slightly over budget $2,977 due to an increase over budget in Federal and State revenue.
- Care-A-Van expenses were over budget $49,374 due to an over budget variance in wages and benefits in the amount of $55,480 from customer service covering after hour and weekend shifts for CARTA GO. The net income over budget variance is $46,397 for the month.
- Parking Revenue over budget variance of $38,543 is due to an increase over budget in lot and meter revenue. The Renaissance lot is under budget $1,275, Coolidge lot is over budget $3,598, Riverfront lot $20,490, Theater lot $124, meters $46,965 and an offsetting under budget variance in enforcement of $19,074. This is due to the increase in on street

parking meters from 50 cents per half hour up to two hours to $1.00 effective October, 2023.

- Parking expense over budget variance of $34,490 was due to an increase in parking meter expenses due to the continuation of catching up on Duncan fees. The net income over budget variance for parking is $4,054.

Parking Report

The receipts from parking meter and enforcement reflected net positive revenue of $37,969, but when combined with net shuttle costs of ($107,973), created a net of ($70,004). Total net parking revenue for the month (adding in surface lot and garage revenues and expenses) reflected a positive net revenue of $98,484.

Board Summary:

For the month of November, total CARTA revenue from all divisions generated an unfavorable variance of $57,572, and expenses showed a favorable variance of $68,709, resulting in a net favorable variance to budget of $11,137. The total favorable variance through November is a net $850,915, with much of the positive variance in expenses (totaling $696,101) continuing to come from CARTA's budget for full staffing, which CARTA has not accomplished, while revenues have exceeded budget (by $154,814) mainly due to good numbers from parking

(from both meter revenue and surface lots), Incline attendance, and the timing of receipt of grant funding. The Parking Report reflects a positive net revenue from all parking operations totaling $98,484, generated from on-street meters, surface lots, garages, and enforcement, as offset by the costs of parking management and downtown shuttle operational costs. Parking operations continue to provide a critical positive piece of CARTA's overall budget.

December 2023 Variance Analysis

Overall, for the month, Transit, Shuttle and Care-A-Van ended with a net revenue deficit at month end, while Incline and Parking ended with a net revenue increase. Revenue for the month was $2,042,488 compared to a budgeted $1,951,446. Expenses were $2,368,753 compared to a budgeted $2,279,096 resulting in a net decrease in income of $326,265 and a net decrease variance to budget of $1,385.

- Transit revenues were under budget $17,851 from a variety of non-significant categories. Passenger revenue was under budget slightly, $3,854, advertising, $5,357, and government revenue $12,847.
- Transit expense over budget variance of $7,978 is due to a wage and benefit over budget variance of $54,062. While we normally have an under budget variance in wages and benefits but due to the last payroll of the year we had vacation sell backs that would otherwise expire, and overtime for vacation coverages. Software maintenance was under budget $19,210 due to the timing of annual purchases and the balance was in fuel and maintenance offsetting

the over budget variance as well as fuel of $21,189 and maintenance of $18,116. This results in a monthly over budget variance in net income of $25,829.

- Shuttle revenue was over budget $42,620 due to the annual receipt of rent proceeds from River City. The contract with River City for managing the surrounding location of Shuttle Park North owned by CARTA guarantees a minimum of $36,000 annually with a residual payment of 40% of gross rental proceeds generated from subleases of the premises that exceed the total operating costs. We received this annual amount of $31,637.22. Parking revenue was also over budget $15,621.
- Shuttle expense under budget variance of 12,124 is due to an under budget variance in wages of $9,065, maintenance of $1,171 and utilities of $2,513. We budget for full staffing and due to vacancies, we have an underbudget variance. The net income under budget variance for the month is $54,745.
- Incline revenues were over budget $9,692 due to a increase in passenger revenue from budget of $402, an increase in concessions revenue of $6,667 and parking revenue of $2,436.

- Incline expense is under budget $11,025 due to over budget variance from budget in wages of $5,152 offset by under budget variances in professional services (temporary help) and maintenance. The net income over budget variance for the month is $20,716.
- Care-A-Van revenue was over budget $12,381 due to an increase over budget in Federal and State revenue of $14.094 offset by a slight underbudget variance of $1,713.
- Care-A-Van expenses were over budget $81,285 due to an over budget variance in wages and benefits in the amount of $78,136 from customer service covering after hour and weekend shifts for CARTA GO. The net income over budget variance is $68,905 for the month.
- Parking Revenue over budget variance of $44,200 is due to an increase over budget in lot and meter revenue. The Renaissance lot is over budget $7,095, Coolidge lot is over budget $5,090, Riverfront lot is under budget $809, Theater lot $292, meters are over budget $41,326 and an offsetting under budget variance in enforcement of $8,857. This is due to the increase in on street parking meters from 50 cents per

half hour up to two hours to $1.00 effective October, 2023.

- Parking expense over budget variance of $23,543 was due to an increase in parking meter expenses due to the continuation of catching up on Duncan fees. The net income over budget variance for parking is $20,657.

Parking Report

The receipts from parking meter and enforcement reflected net positive revenue of $54,969, but when combined with net shuttle costs of ($158,307), created a net of ($103,338). Total net parking revenue for the month (adding in surface lot and garage revenues and expenses) reflected a positive net revenue of $99,524.

Board Summary:

For the month of December, total CARTA revenue from all divisions generated a favorable variance of $91,041, and expenses showed an unfavorable variance of $89,657, resulting in a net favorable variance to budget of $1,385. The total favorable variance through December is a net $852,299, with much of the positive variance in expenses (totaling $606,444) continuing to come from CARTA's budget for full staffing, which CARTA has not accomplished, while revenues have exceeded budget (by $245,855) mainly due to good numbers from parking

(from both meter revenue and surface lots), Incline attendance, and the timing of receipt of grant funding. The Parking Report reflects a positive net revenue from all parking operations totaling $99,524, generated from on-street meters, surface lots, garages, and enforcement, as offset by the costs of parking management and downtown shuttle operational costs. Parking operations continue to provide a critical positive piece of CARTA's overall budget.

CARTA
Variance Report
For the Five Months Ending Thursday, November 30, 2023

	MONTHLY ACTUAL	MONTHLY BUDGET	VARIANCE	YTD ACTUAL	YTD BUDGET	VARIANCE
TRANSIT						
Revenues	$1,098,760	$1,138,932	($40,172)	$5,655,085	$5,694,658	($39,573)
Expenses	1,320,901	1,434,111	(113,209)	6,365,119	7,170,554	(805,435)
NET	**(222,142)**	**(295,179)**	**73,037**	**(710,034)**	**(1,475,896)**	**765,862**
SHUTTLE						
Revenues	$177,332	$226,935	($49,604)	$1,050,293	$1,134,677	($84,383)
Expenses	196,166	216,931	(20,765)	953,860	1,084,654	(130,794)
NET	**(18,834)**	**10,004**	**(28,839)**	**96,433**	**50,022**	**46,411**
INCLINE						
Revenues	$330,857	$340,173	($9,316)	$1,887,198	$1,863,865	$23,334
Expenses	194,716	213,314	(18,598)	1,091,527	1,066,570	24,958
NET	**136,141**	**126,859**	**9,282**	**795,671**	**797,295**	**(1,624)**
CARE-A-VAN						
Revenues	$83,825	$80,849	$2,977	$445,442	$404,243	$41,199
Expenses	261,171	211,797	49,374	1,258,775	1,058,984	199,791
NET	**(177,346)**	**(130,948)**	**(46,397)**	**(813,333)**	**(654,741)**	**(158,592)**
PARKING						
Revenues	$338,101	$299,558	$38,543	$1,712,026	$1,497,790	$214,237
Expenses	237,434	202,944	34,490	1,030,099	1,014,720	15,379
NET	**100,667**	**96,614**	**4,054**	**681,927**	**483,070**	**198,858**
CARTA - Total						
Revenues	$2,028,875	$2,086,446	($57,572)	$10,750,045	$10,595,231	$154,814
Expenses	2,210,388	2,279,096	(68,709)	10,699,381	11,395,482	(696,101)
NET	**(181,513)**	**(192,650)**	**11,137**	**50,664**	**(800,250)**	**850,915**

CARTA
Variance Report
For the Six Months Ending Sunday, December 31, 2023

	MONTHLY ACTUAL	MONTHLY BUDGET	VARIANCE	YTD ACTUAL	YTD BUDGET	VARIANCE
TRANSIT						
Revenues	$1,175,081	$1,192,932	($17,851)	$6,830,166	$6,887,590	($57,424)
Expenses	1,442,088	1,434,111	7,978	7,807,208	8,604,665	(797,457)
NET	**(267,008)**	**(241,179)**	**(25,829)**	**(977,041)**	**(1,717,075)**	**740,033**
SHUTTLE						
Revenues	$175,094	$132,474	$42,620	$1,225,387	$1,267,150	($41,763)
Expenses	204,806	216,931	(12,124)	1,158,667	1,301,585	(142,918)
NET	**(29,713)**	**(84,457)**	**54,745**	**66,720**	**(34,435)**	**101,155**
INCLINE						
Revenues	$236,865	$227,173	$9,692	$2,124,063	$2,091,038	$33,025
Expenses	202,289	213,314	(11,025)	1,293,817	1,279,884	13,933
NET	**34,575**	**13,859**	**20,716**	**830,246**	**811,154**	**19,093**
CARE-A-VAN						
Revenues	$111,691	$99,310	$12,381	$557,133	$503,553	$53,580
Expenses	293,082	211,797	81,285	1,551,857	1,270,781	281,076
NET	**(181,391)**	**(112,487)**	**(68,905)**	**(994,724)**	**(767,228)**	**(227,496)**
PARKING						
Revenues	$343,758	$299,558	$44,200	$2,055,784	$1,797,347	$258,437
Expenses	226,487	202,944	23,543	1,256,586	1,217,664	38,922
NET	**117,271**	**96,614**	**20,657**	**799,198**	**579,683**	**219,514**
CARTA - Total						
Revenues	$2,042,488	$1,951,446	$91,041	$12,792,533	$12,546,678	$245,855
Expenses	2,368,753	2,279,096	89,657	13,068,134	13,674,578	(606,444)
NET	**(326,265)**	**(327,650)**	**1,385**	**(275,601)**	**(1,127,900)**	**852,299**

Attachment 7b-3a

NOVEMBER 2023 PARKING REPORT

	Meters	Shuttle	Lots	Garages
Revenues	$ 187,176.00	$ -	$ 94,341.00	$ 127,935.00
Enforcement	$ 74,373.00	$ -	$ -	$ -
Donations	$ -	$ 661.00	$ -	$ -
Advertising	$ -	$ 1,000.00	$ -	$ -
Rental	$ -	$ -	$ -	$ 5,260.00
Fed/State Grants	$ -	$ 42,475.00	$ -	$ -
Total Revenue	$ 261,549.00	$ 44,136.00	$ 94,341.00	$ 133,195.00
Onstreet Enforcement Expenses	$ 223,580.00	$ -	$ -	$ -
Shuttle Expenses	$ -	$ 152,109.00	$ -	$ -
Lot Expense	$ -	$ -	$ 14,991.00	$ -
Garage Expense	$ -	$ -	$ -	$ 44,057.00
Total Expense	$ 223,580.00	$ 152,109.00	$ 14,991.00	$ 44,057.00
Net Revenue	**$ 37,969.00**	**$ (107,973.00)**	**$ 79,350.00**	**$ 89,138.00**
Net Meters & Shuttle	**$ (70,004.00)**			
Total Parking	**$ 98,484.00**			

NOTE: Meters and Shuttle are combined because expenses of both are recognized as parking expenses by city code.

meter expense = management expense, rent expense, salaries, meetings, travel, bank and c.c. fees, taxes, property insurance, etc.

garage fees = management fees plus security fees plus insurance

Incline lot revenue and expenses are reported in Incline which will create a difference

DECEMBER 2023 PARKING REPORT

	Meters	Shuttle	Lots	Garages
Revenues	$ 181,633.00	$ -	$ 90,971.00	$ 137,405.00
Enforcement	$ 84,590.00	$ -	$ -	$ -
Donations	$ -	$ 290.00	$ -	$ -
Advertising	$ -	$ 1,000.00	$ -	$ -
Rental	$ -	$ -	$ -	$ 36,399.00
Fed/State Grants	$ -	$ -	$ -	$ -
Total Revenue	$ 266,223.00	$ 1,290.00	$ 90,971.00	$ 173,804.00
Onstreet Enforcement Expenses	$ 211,254.00	$ -	$ -	$ -
Shuttle Expenses	$ -	$ 159,597.00	$ -	$ -
Lot Expense	$ -	$ -	$ 16,703.00	$ -
Garage Expense	$ -	$ -	$ -	$ 45,210.00
Total Expense	$ 211,254.00	$ 159,597.00	$ 16,703.00	$ 45,210.00
Net Revenue	**$ 54,969.00**	**$ (158,307.00)**	**$ 74,268.00**	**$ 128,594.00**
Net Meters & Shuttle	**$ (103,338.00)**			
Total Parking	**$ 99,524.00**			

NOTE: Meters and Shuttle are combined because expenses of both are recognized as parking expenses by city code.

meter expense = management expense, rent expense, salaries, meetings, travel, bank and c.c. fees, taxes, property insurance, etc.

garage fees = management fees plus security fees plus insurance

Incline lot revenue and expenses are reported in Incline which will create a difference

Attachment 7c
January 25, 2024

TO: CARTA Board of Directors

FROM: Philip Pugliese

SUBJECT: Statistical Report

RECOMMENDED ACTION
Staff recommends that the Board accept CARTA's statistical reports for the months ending November and December, 2023 as information to the Board.

HIGHLIGHTS, ANALYSIS AND CONCLUSIONS

- November, 2023
  - Fixed Route ridership is up 5% year-over-year.
    - #3 Enterprise South is up 50% year-over-year
    - CARTA GO is up 24% year-over-year
  - Shuttle ridership is up 17% year-over-year with St Elmo Shuttle up 45%
  - Incline ridership up 2% year-over-year
  - CAV ridership up 6% year-over-year with zero turndowns
  - Bikes on Board up 42% year-over-year
  - Wheelchairs down 5% year-over-year

- December, 2023
  - Fixed Route ridership is up 3% year-over-year
    - Enterprise South is up 39% year-over-year
    - CARTA GO is up 44% year-over-year
    - Fiscal Year-to-date Ridership is up 6% year-over-year
    - Zero accidents this month
  - Shuttle ridership up 25% year-over-year
  - Incline ridership up 13% year-over-year and up 7% YTD
  - CAV ridership up 5% year-over-year with zero turndowns
  - Bikes on Board up 16% year-over-year
  - Wheelchairs up 7% year-over-year

- Fare Free First Friday – January 5, 2024
  - Daily ridership of 3417, up 8% over first Friday 2023

Chattanooga Area Regional Transportation Authority

Statistical Report

For the Period Ending November 30, 2023

	This Month	Month YR Ago	YTD	Prior YTD
TRANSIT				
Ridership	78,016	77,420	411,882	406,100
Weekday Average - with Mocs	3,200	3,187	3,271	3,251
Weekday Average - without Mocs	3,080	2,929	3,131	3,046
Saturday Average	1,970	1,900	2,163	2,042
Sunday Average	732	721	800	755
Miles	156,286	141,191	791,024	702,367
Passengers/Mile	0.50	0.55	0.52	0.58
Accidents	3	0	9	5
Operating Cost/Rider	10.16	10.11	9.42	9.58
SHUTTLE				
Ridership	21,008	17,902	117,509	96,889
Weekday Average	777	650	788	654
Saturday Average	796	691	941	804
Sunday Average	379	374	531	392
Miles	16,741	12,868	80,480	64,525
Passengers/Mile	1.25	1.39	1.46	1.50
Accidents	0	0	3	1
Operating Cost/Rider	3.48	3.53	3.15	3.15
INCLINE				
Ridership	36,237	35,527	249,552	234,869
Net Revenue/Passenger	3.76	3.40	3.19	3.24
Days Down	0	0	0	0
CARE-A-VAN				
Ridership	4,379	4,120	21,918	20,887
Miles	49,067	44,797	252,840	230,545
Turndowns	0	0	7	0
Accidents	0	0	1	3
Operating Cost/Rider	47.06	40.45	45.91	41.92
Passengers/Hour	1.31	1.28	1.27	1.31
TOTAL CARTA				
Ridership	**139,640**	**134,969**	**800,861**	**758,745**

**** Notes to the Statistical Report:***

North Shore Shuttle	1,963	3,003	12,307	12,190
MOCS Express	2,523	5,423	14,819	21,654
Bicycles Carried	1,783	1,260	8,664	7,755
Wheelchairs Carried	1,048	1,105	6,427	6,627
St.Elmo/Incline	2,222	1,531	10,941	7,244

Days of Operation Transit, Care-A-Van, Incline, Shuttle		
Number of Weekdays	21	21
Number of Saturdays	4	4
Number of Sundays	4	4
	29	29

Chattanooga Area Regional Transportation Authority

Statistical Report

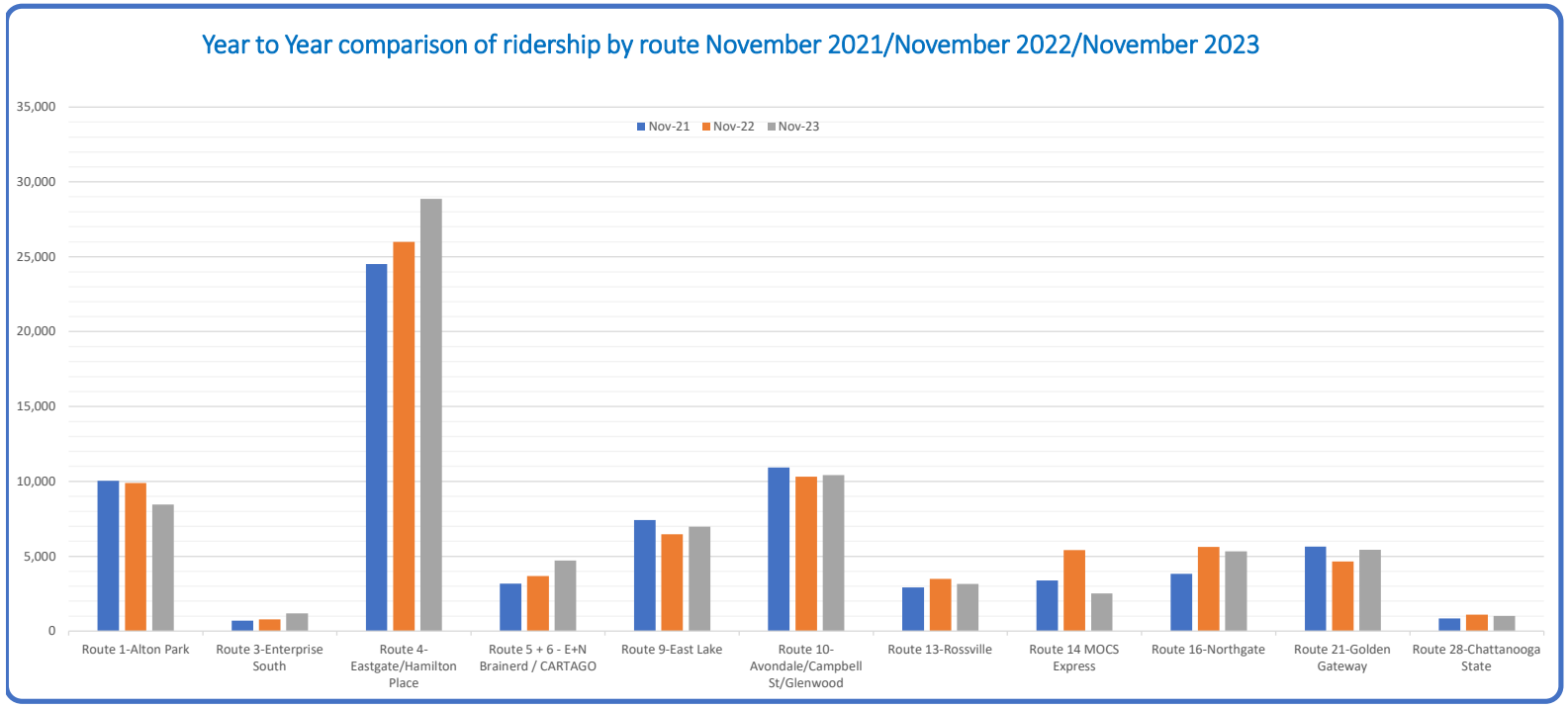
For the Period Ending December 31, 2023

	This Month	Month YR Ago	YTD	Prior YTD
TRANSIT				
Ridership	75,720	71,716	487,602	477,816
Weekday Average - with Mocs	3,115	2,764	3,246	3,167
Weekday Average - without Mocs	3,079	2,715	3,123	2,989
Saturday Average	1,952	1,704	2,124	1,979
Sunday Average	734	794	788	760
Miles	151,417	144,813	942,441	847,180
Passengers/Mile	0.50	0.50	0.52	0.56
Accidents	0	4	9	9
Operating Cost/Rider	11.16	12.06	9.69	9.95
SHUTTLE				
Ridership	20,579	16,424	138,088	113,313
Weekday Average	741	577	781	641
Saturday Average	780	551	911	757
Sunday Average	371	324	502	384
Miles	17,095	12,542	97,575	77,067
Passengers/Mile	1.20	1.31	1.42	1.47
Accidents	0	0	3	1
Operating Cost/Rider	3.69	3.30	3.23	3.17
INCLINE				
Ridership	31,960	28,349	281,512	263,218
Net Revenue/Passenger	1.08	(1.48)	2.95	2.73
Days Down	0	0	0	0
CARE-A-VAN				
Ridership	3,794	3,625	25,712	24,512
Miles	44,044	43,350	296,884	273,895
Turndowns	0	0	7	0
Accidents	1	1	2	4
Operating Cost/Rider	59.94	58.88	47.98	44.43
Passengers/Hour	1.20	1.17	1.26	1.28
TOTAL CARTA				
Ridership	**132,053**	**120,114**	**932,914**	**878,859**

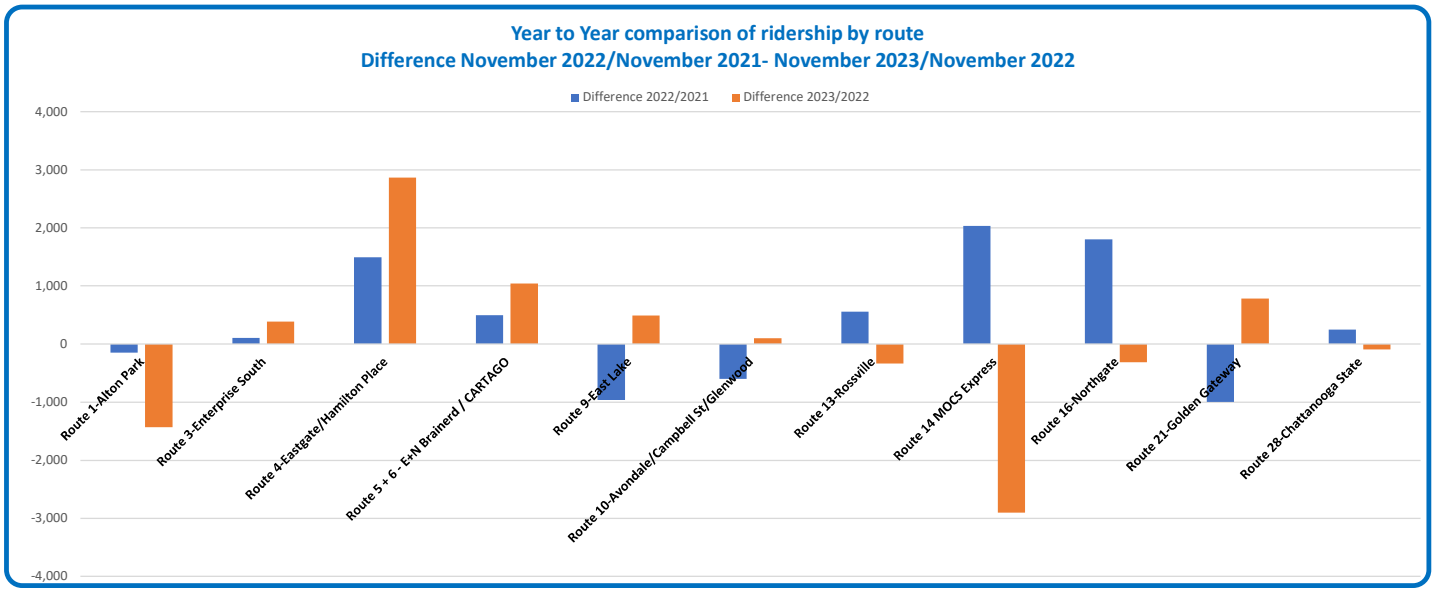
**** Notes to the Statistical Report:***

North Shore Shuttle	1,840	1,732	14,147	13,922
MOCS Express	722	1,074	15,541	22,728
Bicycles Carried	1,408	1,211	10,072	8,966
Wheelchairs Carried	1,064	990	7,491	7,617
St.Elmo/Incline	1,833	1,367	12,774	8,611

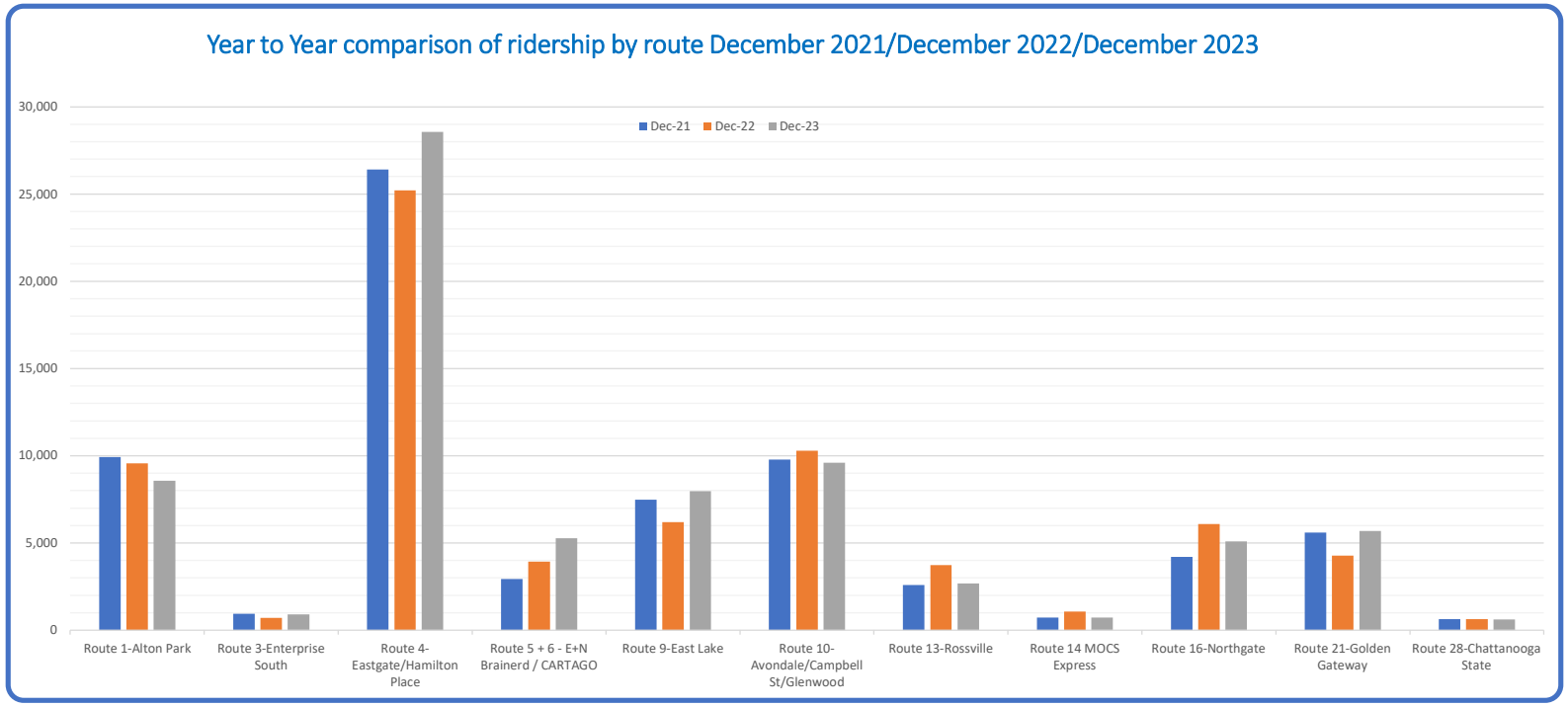
Days of Operation Transit, Care-A-Van, Incline, Shuttle		
Number of Weekdays	20	22
Number of Saturdays	5	5
Number of Sundays	5	3
	30	30



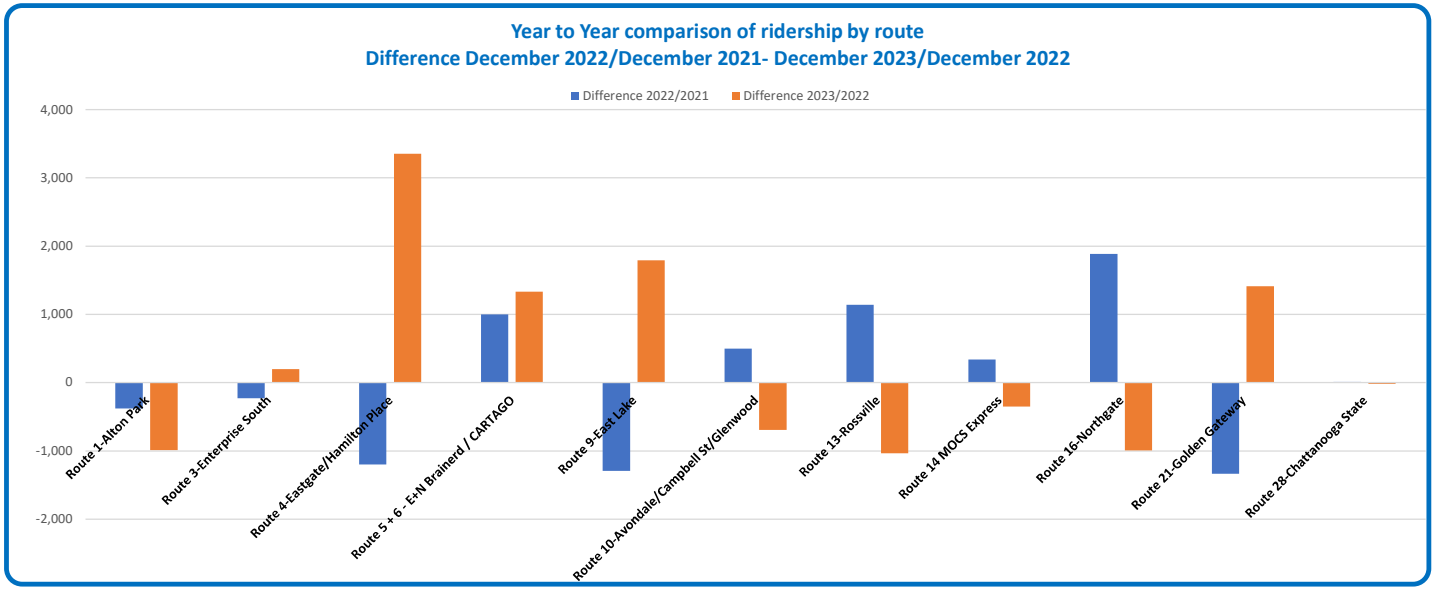
	Nov-21	Nov-22	Nov-23
Route 1-Alton Park	10,027	9,881	8,453
Route 3-Enterprise South	696	799	1,185
Route 4-Eastgate/Hamilton Place	24,499	25,993	28,858
Route 5 + 6 - E+N Brainerd / CARTAGO	3,177	3,670	4,712
Route 9-East Lake	7,430	6,469	6,960
Route 10-Avondale/Campbell St/Glenwood	10,917	10,320	10,420
Route 13-Rossville	2,930	3,486	3,148
Route 14 MOCS Express	3,390	5,423	2,523
Route 16-Northgate	3,834	5,634	5,320
Route 21-Golden Gateway	5,642	4,646	5,428
Route 28-Chattanooga State	850	1,099	1,009
Totals:	73,392	77,420	78,016



	Difference 2022/2021	Difference 2023/2022
Route 1-Alton Park	-146	-1,428
Route 3-Enterprise South	103	386
Route 4-Eastgate/Hamilton Place	1,494	2,865
Route 5 + 6 - E+N Brainerd / CARTAGO	493	1,042
Route 9-East Lake	-961	491
Route 10-Avondale/Campbell St/Glenwood	-597	100
Route 13-Rossville	556	-338
Route 14 MOCS Express	2,033	-2,900
Route 16-Northgate	1,800	-314
Route 21-Golden Gateway	-996	782
Route 28-Chattanooga State	249	-90
	4028	596



	Dec-21	Dec-22	Dec-23
Route 1-Alton Park	9,935	9,556	8,568
Route 3-Enterprise South	946	716	915
Route 4-Eastgate/Hamilton Place	26,414	25,215	28,569
Route 5 + 6 - E+N Brainerd / CARTAGO	2,937	3,937	5,267
Route 9-East Lake	7,486	6,195	7,984
Route 10-Avondale/Campbell St/Glenwood	9,787	10,286	9,595
Route 13-Rossville	2,591	3,733	2,695
Route 14 MOCS Express	737	1,074	722
Route 16-Northgate	4,208	6,092	5,099
Route 21-Golden Gateway	5,611	4,276	5,686
Route 28-Chattanooga State	626	636	620
Totals:	71,278	71,716	75,720



	Difference 2022/2021	Difference 2023/2022
Route 1-Alton Park	-379	-988
Route 3-Enterprise South	-230	199
Route 4-Eastgate/Hamilton Place	-1,199	3,354
Route 5 + 6 - E+N Brainerd / CARTAGO	1,000	1,330
Route 9-East Lake	-1,291	1,789
Route 10-Avondale/Campbell St/Glenwood	499	-691
Route 13-Rossville	1,142	-1,038
Route 14 MOCS Express	337	-352
Route 16-Northgate	1,884	-993
Route 21-Golden Gateway	-1,335	1,410
Route 28-Chattanooga State	10	-16
	438	4,004

Attachment 11
January 25, 2024

TO: CARTA Board of Directors
Operations Committee

FROM: Daniel Collins
Director of Safety and Security

SUBJECT: Approval of Public Transportation Agency Safety Plan - Revision 4

RECOMMENDED ACTION
Staff recommends that the Board approve CARTA's Public Transportation Agency Safety Plan (PTASP) Revision 4 effective January 25, 2024.

ALIGNMENT WITH STRATEGIC GOALS
This action aligns with CARTA's strategic imperatives of Safety, Security and Compliance.

SUMMARY OF NEED
Approval of this item will allow CARTA to formally adopt the most recent version of the PTASP as required by the Federal Transit Administration (FTA) and will satisfy state and federal compliance regulations for accountability and approval of the plan. Changes to the existing plan include 1) the addition of operator assault mitigation, 2) the addition of the Infrastructure Investment and Jobs Act (IIJA) Committee, 3) the updated Safety Policy Statement, and 4) the current organizational chart.

BACKGROUND AND HISTORY
On August 20, 2020, the CARTA Board of Directors formally adopted the Authority's first Public Transportation Agency Safety Plan (PTASP). CARTA's agency safety plan initially began with MAP-21 and the FAST Act which required Public Transportation Agencies to develop an agency safety plan (ASP). The FTA is implementing this requirement through 49 CFR 673 in accordance with the National Transportation Safety Program. This ASP requires annual review and approval by the IIJA Committee, the Accountable Executive, and the Board of Directors. The Four Components of the CARTA ASP include Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion. These components create a Safety Management System that ensures CARTA is actively working with internal and external stakeholders to take a proactive approach to safety.

PROCUREMENT OVERVIEW
N/A

FISCAL IMPACT
N/A

DBE PARTICIPATION
N/A

2023

Chattanooga Area Regional Transportation Authority

Agency Safety Plan

Revision 4
Date Issued: August 20, 2020
Last Revised: January 25, 2024

Chattanooga Area Regional Transportation Authority • 1617 Wilcox Blvd, Chattanooga, Tennessee 37406

CARTA AGENCY SAFETY PLAN

APPROVED BY:

Chief Executive Officer, Accountable Executive — Date: 1-25-24

Chief of Operating Officer — Date: 1-25-24

Director of Safety and Security, SMS Executive — Date: 1-25-24

Chair, Board of Directors — Date: 1-25-24

Approved by Agency IIJA Safety Committee on: 12/27/2023

CONCURRENCES

_____ Date: _____
Director of the Lookout Mountain Incline Railway

_____ Date: _____
Director of Maintenance and Facilities

_____ Date: _____
Director Care-A-Van, ADA, and Mobility Management

_____ Date: _____
Director of Communications and Planning

_____ Date: _____
Director of Parking and Special Projects

_____ Date: _____
Director of Grants, Technology and Research

_____ Date: _____
General Manager of Planning and Grants

_____ Date: _____
Manager, Fixed-Route Operations

_____ Date: _____
Manager, Purchasing and Procurement

_____ Date: _____
Training and Development Coordinator

Table of Contents

Revisions/Amendments

Revision No.	Revision Date	Purpose	Revision Author
Rev. 0	April 17, 2020	Draft Submittal to TDOT	Cyndi Bonds, DOSS
Rev. 1	Aug. 20, 2020	BOD Approval, 2021	Cyndi Bonds, DOSS
Rev. 2	Dec. 16, 2021	BOD Approval, 2022	Cyndi Bonds, DOSS
Rev. 3	Dec. 31, 2022	New BIL changes	Cyndi Bonds, DOSS
Rev. 4	Dec. 31, 2023	Update Approvals, SPTs, and Org. Chart	Cyndi Bonds, DOSS Daniel Collins, interim DOSS

Change Log

Number	Section/Pages	Change
Rev. 1	PTASP Certification/viii	Updated BOD signature page
Rev. 2	PTASP Certification/viii	Updated BOD signature page
Rev. 3	All Sections of PTASP	Significant changes to entire ASP document required to meet new BIL changes
Rev. 4	PTASP Certification/2-3	Updated signature pages
Rev. 4	SPT/12-13	Update SPTs
Rev. 4	Org Chart/31	Update Organizational CHart
Rev. 4	p.8 / p.32	Updated Safety Policy Statement CF / updated org. chart

Introduction

Chattanooga (2020 Population 181,099)[1] is home to CARTA and is also the county seat of Hamilton County, TN. Located in the southeast corner of Tennessee, Chattanooga and the adjacent metropolitan area straddles the state line between Tennessee and Georgia. The population of the metro area, which also includes counties in Georgia and Alabama, is approximately 563,000[2].

CARTA was established in 1973 and currently operates the public transit system within the City of Chattanooga and the surrounding region. According to data from the National Transit Database (NTD)[3], CARTA provided approximately 2.1 million unlinked passenger trips per year for a reported service area population of 167,674 persons. CARTA operated 73 vehicles in maximum service across three modes (Fixed-Route Bus, Demand-Response Bus, Inclined Rail). CARTA has over 220 employees, including approximately 130 bus/van operators. CARTA is a full reporter to the NTD and receives funding and has active grants within the FTA's 5307, 5310, 5311, 5337 and 5339 programs.

CARTA is comprised of four divisions:

- Fixed Bus Route service within the City of Chattanooga & Neighborhood Bus Routes
- Complementary demand response paratransit service, Care-A-Van (CAV) for citizens with disabilities and seniors within the Cities of Chattanooga, East Ridge, and Red Bank
- Downtown Electric Shuttle and parking system
- Lookout Mountain Incline Railway (LMIR)

Unlike the other services in the CARTA portfolio, the Incline Railway's location is fixed. Land use in the vicinity of the LMIR is primarily residential, with some areas dedicated to commercial and tourism uses. The LMIR runs between the City of Chattanooga station in the St. Elmo neighborhood to a station in the Town of Lookout Mountain, Tennessee. In between, the LMIR runs through an area dedicated for recreational purposes, native preserve, and park.

CARTA has developed this plan for all modes in accordance with the requirements of 49 CFR Part 673, as well as all other applicable requirements of the Federal Transit Administration (FTA) and the Tennessee Department of Transportation (TDOT), CARTA's State Safety Oversight Agency (SSOA). However, it should be noted that the LMIR is the only mode of transportation required by the FTA for SSO.

CARTA has formally adopted and is in the process of implementing a robust SMS. This Agency Safety Plan (ASP) documents the scale, approach, and processes of our system-wide safety management system, scaled to our unique operating environment. Oversight to the process is provided by our Chief Safety Officer (Director of Safety and Security) who meets the requirements found in 49 CFR Part 673.5, 673.23(d)(2) and 674.29(b). Our Accountable Executive (Chief Executive Officer) likewise meets the requirements found in 49 CFR Part 673.5 and 673.23(d)(1).

CARTA acknowledges that the accountability for the contents and implementation of the Agency Safety Plan is now formally elevated to the Accountable Executive (the CARTA Chief Executive Officer), and the Board of Directors in conformance with the requirements of 49 CFR Part 673.11(a)(1). The Chief Executive Officer's SMS Policy Statement is found in Section 1.1 below.

[1] U.S. Census Bureau QuickFacts: Chattanooga city, Tennessee. https://www.census.gov/quickfacts/fact/table/chattanoogacitytennessee/POP010220

[2] 562,647, as per the 2020 Decennial Census, as obtained from https://data.census.gov/cedsci/profile?g=310XX00US16860

3 The National Transit Database (NTD) | FTA (dot.gov)

Section I: Safety Management Policy

1.1 Safety Management System Policy Statement

Chattanooga Area Regional Transportation Authority

Chief Executive Officer Safety Management System Policy Statement

In accordance with our safety management philosophy and approach, the first goal of our Safety Management Program is to build and maintain an excellent safety culture and safety management system in accordance with the Federal Transit Administration's adoption of a Safety Management System approach in its National Public Transportation Safety Program. This Agency Safety Plan establishes CARTA's Safety Management System (SMS) as the primary strategy to achieve this goal.

The management of safety is a core business function. We will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public. In accordance with the requirements of 49 CFR Part 673.23(a), CARTA's safety objectives are:

A. Communicating the purpose and benefits of the Safety Management System (SMS) to all employees.

B. Providing a culture of open reporting of all safety concerns, ensuring that no action will be taken against any employee who discloses a safety concern through any employee safety reporting avenue, unless such disclosure indicates, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.

C. Providing appropriate management involvement and the necessary resources to establish an effective employee reporting program that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the management team.

D. Identifying hazardous and unsafe work conditions and analyzing safety data.

E. Establishing safety performance targets that are realistic, measurable, and data- driven.

F. Continually improving our safety performance through processes that ensure effective safety management actions are taken.

The Director of Safety and Security (DOSS), who leads our SMS activities, is responsible to communicate SMS principles to staff through ongoing conversation and education. CARTA's Safety Management Policy Statement is distributed to each employee as part of employee SMS training. CARTA also posts copies of the Safety Management Policy Statement in visible locations in agency facilities.

Charles D. Frazier Date: January 17, 2024

Charles Frazier, Chief Executive Officer, Accountable Executive

Chattanooga's Driving Force.

1617 Wilcox Boulevard • Chattanooga, Tennessee 37406

Phone (423) 629-1411 • Fax (423) 698-2749

CARTA IS AN EQUAL OPPORTUNITY EMPLOYER COMMITTED TO PROVIDING CAREER OPPORTUNITY TO ALL PEOPLE WITHOUT REGARD TO RACE, COLOR, GENDER, AGE, NATIONAL ORIGIN OR DISABILITY.

Safety Performance Targets

The PTASP Final Rule, 49 CFR Part 673.11(a)(3), requires that all public transportation providers must develop an Agency Safety Plan (ASP) to include Safety Performance Targets (SPTs) based on the safety performance measures established under the National Public Transportation Safety Plan (NSP). The safety performance measures outlined in the NSP were developed to ensure that the measures can be applied to all modes of public transportation and are based on data currently being submitted to the National Transit Database (NTD). The safety performance measures included in the NSP are fatalities, injuries, safety events, and system reliability (State of Good Repair as developed and tracked in the Transit Asset Management [TAM] Plan). The SPTs that must be included in each ASP are based on the four (4) performance measures in the NSP.

To define SPT rates, CARTA must first identify its Safety Performance Indicators (SPI). SPIs are specific data points that must be monitored to track the agency's overall safety performance. SPIs illustrate the ability for CARTA to fulfill its SPTs. Data sets that support performance metrics include but are not limited to the items shown in Table 1.

Table 1 – Safety Performance Targets and Safety Performance Indicators

SPT Criteria	SPI	SPI Examples (Rates)
1. Fatalities Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.	*A. LMIR Fatalities* *B. Bus Fatalities* *C. Paratransit Fatalities* *D. Employee Fatalities*	*a) Suicides* *b) Workplace Events* *c) Collisions*
2. Injuries Total number of reportable injuries and rate per total vehicle revenue miles, by mode.	*A. LMIR Passenger Injuries* *B. Bus Passenger Injuries* *C. Paratransit Passenger Injuries* *D. Employee Injuries*	*a) Onboard vehicles* *b) Within a facility/station*
3. Safety Events Total number of reportable safety events and rate per total vehicle revenue miles, by mode.	*A. LMIR Events* *B. Fixed-Route Events* *C. Paratransit Events*	*a) Collisions* *b) Fire/Smoke* *c) Derailments* *d) Evacuations*
4. System Reliability Mean distance between major mechanical failures, by mode.	*A. LMIR Failures* *B. Fixed-Route Failures* *C. Paratransit Failures*	*a) Vehicle failure* *b) Power disruptions* *c) Signal Failures* *d) Other System Failures*

For SPT rates, the total number of events will be multiplied by 100,000 Vehicle Revenue Miles (VRM), then divided by the total number of VRMs traveled in the previous fiscal year. Therefore, the equations to determine the event rate is as follows, unless otherwise specified below:

$$\textbf{\textit{Mode}}\ \textbf{Event Rate} = \frac{(\text{Event Count x } 100{,}000\ \text{VRM})}{\text{Total Number of } (\textit{Mode})\ \text{Revenue Miles}}$$

Once the actual event rate is established, CARTA will use any of the following strategies to establish the initial SPT per the NSP:

- Five-Year Trends
- Number and Rate Reduction
- Benchmarking

SPTs will be made available to state and regional agencies upon request to assist in planning processes. This includes members of the Transportation Planning Organization (TPO) for the bi-state metropolitan area and TDOT. The Accountable Executive and SMS Executive will coordinate, to the greatest extent practicable, with both State and TPO staff to review CARTA's SPTs in support of transit improvement efforts.

The Chattanooga-Hamilton County Regional Planning Agency (RPA) is a joint agency of the City of Chattanooga and Hamilton County, which serves as staff to the Chattanooga-Hamilton County/North Georgia Transportation Planning Organization (TPO). The TPO is the federally mandated Metropolitan Planning Organization for Hamilton County, Tennessee and urbanized portion of Chattanooga extending south into Catoosa County and the northern portions of Dade and Walker counties in Georgia.

As part of the annual review of the ASP, CARTA will reevaluate our SPTs and determine whether the SPTs need to be refined.

Fatality Rate

A reportable fatality[4] is a death due to a:

1. Collision, including suicide
2. Derailment
3. Fire
4. Hazardous Materials Spill
5. Act of God (i.e., hurricane, earthquake)
6. Other safety events

Fatalities that occur because of illnesses or other natural causes - including individuals who are found deceased, are not reportable and are thus not required to be measured as part of the Safety Performance criteria.

[4] 2022 NTD Major Events Threshold

Table 2 – Fatality Rate SPT by Mode

Fatality Rate	Count (Total)	Total VRM FY23	Current (See equation above)	Target (See equation above)	Variance $= Current - Target$
Incline Railway	0	18,822	0.0	0.0	0
Fixed-Route	1	1,892,619	0.053	.050	.003
CAV	0	455,550	0.0	0.0	0.0

Injury Rate

An Injury is defined as harm to a person, requiring that person to be transported from the scene of an incident to a hospital or medical facility for treatment. This includes any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event must be reported as an injury. Reportable events further require monitoring of serious injuries as well as injuries where an individual seeks medical care several hours after an event, or in the days following an event. The Injury Rate is thus based on National Transit Database (NTD) Reporting Criteria.

Table 3 – Injury Rate SPT by Mode

Injury Rate	Count (Total)	Total VRM FY23	Current (See equation above)	Target (See equation above)	Variance $= Current - Target$
Incline Railway	0	18,822	0.0	0.0	0.0
Fixed-Route	5	1,892,619	0.264	0.251	.013
CAV	1	455,550	0.220	0.209	.011

Safety Event Rate

A Safety Event, also referred to as an Event, is defined as any Accident, Incident, or Occurrence. The Safety Event Rate by mode is calculated using the following equation:

$$\textbf{Event Rate}\ (By\ Mode) = \frac{(\text{Event Count x } 100{,}000\ \text{VRM})}{\text{Total Number of } (Mode)\ \text{Revenue Miles}}$$

Table 4– Safety Event Rate SPT by Mode

Safety Events	Count (Total)	Total VRM FY23	Current (See equation above)	Target (See equation above)	Variance $= Current - Target$
Incline Railway	0	18,822	0.0	0.0	0.0
Fixed-Route	7	1,892,619	0.370	0.351	0.019
CAV	2	455,550	0.439	0.417	0.022

System Reliability

Safety and performance of CARTA are collectively dependent, in part, on the condition of its assets. When transit assets are in a state of disrepair, the likelihood of consequential event occurring increases, as well as the likely impact against the system. Therefore, system reliability metrics illustrates the relationship between safety and the asset condition. The data collected for system reliability should support and provide input into CARTA's TAM.

System Reliability is thus calculated through the following equation:

$$\textbf{System Reliability}\ (By\ Mode) = \frac{\text{Revenue Miles Operated}\ (By\ Mode)}{\text{Number of Major Mechanical Failures}}$$

Table 5 – System Reliability SPT by Mode

System Reliability	Count (Total)	Total VRM FY23	Current (See equation above)	Target (See equation above)	Variance $= Current - Target$
Incline Railway	0	18,822	0.0	0.0	0.0
Fixed-Route	216	1,892,619	8762.13	8624.02	138.11
CAV	32	455,550	14235.94	13524.14	711.80

*NOTE: CARTA has done a full review of their NTD data entry and made revisions. The current targets are based on 2023 FY data only since that years reporting reflects NTD data entry protocols. Future targets will be based on a rolling average of data starting with FY 2023.

As part of the annual review of the ASP, CARTA will reevaluate our SPTs and determine whether the SPTs need to be refined. Each year during the FTA Certifications and Assurances reporting process, CARTA will transmit any updates to our SPTs to both TDOT and the TPO (unless those agencies specify request another time in writing).

1.1.1 Annual Review and Update of the Agency Safety Plan

Per 49 CFR Part 673.11 (a)(5), this plan includes provisions for annual updates of the SMS. As part of CARTA's ongoing commitment to fully implementing SMS and engaging our employees in developing a strong safety culture, CARTA's Director of Safety and Security (DOSS) and Agency Safety Committee (ASC) will review and approve the ASP annually. The review will be conducted as a precursor to certifying to FTA that the ASP is fully compliant with 49 CFR Part 673 and accurately reflects our agency's current implementation status. Certification will be accomplished through CARTA's annual Certifications and Assurances reporting to the FTA.

The annual review will include the ASP and applicable supporting documents (SMS Implementation Plan, Standard Operating Procedures, Policies, Manuals, etc.) that are used to fully implement all the processes used to manage safety at CARTA. All changes to the ASP will be noted (as discussed below) and the Accountable Executive will sign and date the title page. Documentation of all changes will be provided to the board of directors for approval whether by signature or by reference to a resolution.

The annual ASP review will follow the update activities and schedule provided below in Table ***6*** As processes are changed to fully implement SMS or new processes are developed, CARTA will track those changes for use in the annual review.

Table 6 - ASP Review Schedule

Milestone	Schedule
PTASP Initial Certification	July 20, 2020
Annual Revisions to TDOT	December 31st
Ongoing Revisions	30 Days prior to effective date
Pre-Revenue, Capital Projects[5]	180 Days Prior to Revenue Service

1.1.2 Maintenance of the ASP

CARTA will maintain its ASP and supporting documentation in conformance with 49 CFR Part 673.11(c), Subpart D and the TDOT Program Standard.

1.2 Safety Management Accountabilities and Responsibilities

CARTA's Chief Executive Officer is the Accountable Executive for the agency. Ultimate responsibility and accountability for the implementation and maintenance of the CARTA SMS belongs to the Chief Executive Officer and may not be delegated to any other individual or position.

The Chief Executive Officer has delegated the authority and responsibility for day-to-day implementation and operation of the SMS to the Director of Safety & Security (DOSS) who functions as the CARTA SMS Executive by appointment of the Chief Executive Officer. The DOSS reports directly to the Chief Executive Officer per the requirements of 49 CFR Part 673.23 (d)(2).

The DOSS and Director of the LMIR must be certified according to the Public Transportation Safety Certification Program (PTSCP) found in 49 CFR Part 672.

5 A Capital Project, or Major Capital Project is one that meets the requirements of 49 CFR 633 "Project Management Oversight" that generally costs in excess of $100 million to build.

All departments support the service-delivery function of the agency and are responsible for implementation of all the requirements of SMS (Safety Management Policy, Safety Risk Management, Safety Assurance and Safety Promotion) as described in this Agency Safety Plan and as they apply in each department. The current organizational chart showing the organizational relationships described below is found in Appendix C.

There are three levels of employee responsibility defined at CARTA, described below:

1. Executive Level Management (Directors)
2. Technical Management (Managers, Coordinators, Analysts, Dispatchers, Supervisors, CSR, Accounting)
3. Front Line Employees (Operators, Mechanics)

All employees at CARTA fall into one of these three categories. The executives for each department or functional area will ensure that each job description in their sphere of control, including their own, identifies the specific SMS responsibilities for each position; and that each employee will be evaluated regularly for his or her safety performance related to those SMS responsibilities. Executive level staff are also required to know and understand fully the requirements of this ASP, and effectively communicate the SMS principles herein to all employees.

Each Director is also responsible to ensure each of the employees in the department receives training in the specific SMS responsibilities as defined in this Agency Safety Plan.

The SMS responsibilities for each level are as follows:

Executive level
Executives are charged with ensuring that they lead from the front in safety management by visibly demonstrating their commitment to safety to all the employees under their supervision and care. Persons in these positions will be expected to complete a minimum amount of SMS training provided through CARTA's training department, under the supervision of the DOSS.

Technical management level
Managers are charged with ensuring that they implement safety directives from the executive level and promptly inform them of safety lapses, failures, hazards, and resource shortages. They will ensure that they: visibly demonstrate their commitment to safety; provide the tools and resources at their disposal to employees to safely perform their job requirements; provide pertinent safety information to their employees; encourage the reporting of hazards; and assure safety is incorporated in all tasks and activities daily. Persons in these positions will be expected to complete a minimum amount of SMS training provided through CARTA's training department, under the supervision of the DOSS.

Front Line employees
Front line employees are critical to SMS success through their role in reporting safety hazards, which is where an effective SMS and a positive safety culture begin. They perform the daily tasks and activities where hazards can readily be identified so, they can be addressed before they become adverse events.

Director of Safety and Security (DOSS)
CARTA's DOSS reports to the Accountable Executive. The DOSS serves as the Executive-level Subject Matter Expert (SME) in SMS. The DOSS functions as the SMS Executive, and in this role, will guide the

departments with information regarding day-to-day implementation of SMS, risk, and risk assessment.

The DOSS will identify, assess, document, and monitor risk agency-wide, and assist departments in identifying and understanding risk.

The DOSS performs the following safety-critical activities:

- Development and maintenance of the Public Transit Agency Safety Plan
- Safety Risk Management system-wide, including monitoring guidelines from the Centers for Disease Control and Prevention, Tennessee and Hamilton County Health departments to ensure minimal exposure to infectious diseases
- Safety assurance activities, such as inspections, reviews, assessments, and observations
- Safety promotion activities, such as surveys, and campaigns and communicating SMS actively throughout the agency
- Monitoring Corrective Action Plans (CAPs) agency-wide and supporting and assisting departments to implement corrective action(s)
- Provide oversight and curation to the contractor safety requirements, CARTA employees and the public during construction activities
- Ensuring continuous safety improvement through monitoring safety assurance and data collection activities in conjunction with the Manager of Claims
- Safety data analysis and trending for the system
- Reviewing the safety training curriculum for the agency, including SMS
- Liaison and coordination with federal, state, and local emergency management partners, to include local law enforcement, fire, and emergency medical response agencies. Liaison with state and federal agencies is managed through local agency protocols and detailed in the agency's emergency management planning and continuity of operations plans.
- Coordinating safety training with external agencies, i.e., emergency responder training and contractor training, emergency drills in conjunction with key staff from other divisions.

1.3 SMS Documentation

Per the requirements of 49 CFR Part 673.31, CARTA maintains all documentation incorporated herein by reference for at least three years and will make them available as requested or required to the SSO, the FTA or other federal agencies having jurisdiction and authority.

SOPs, beyond those indicated by reference in the document Sections I-IV, will be maintained and added by reference to assist with the implementation of the ASP or other policies as warranted through review of requirements promulgated by the federal oversight authorities. Topic areas for additional SOPs are included in Appendix.

Section II: Safety Risk Management

Under the requirements of 49 CFR Part 673.25(a), transit agencies must develop and implement a Safety Risk Management (SRM) Process for all elements of the system.

The SRM process consists of the following activities:

- Safety Hazard Identification
- Safety Risk Assessment
- Safety Risk Mitigation

CARTA's formal safety risk management system incorporates these requirements to identify all existing and foreseeable hazards, identify reasonable consequence(s) of those hazards that may result in adverse events, analyze those consequences to evaluate the risk, and establish controls to manage those risks to the lowest practical level. SRM encompasses the use of safety analysis tools by adequately staffed and trained personnel, as well as the use of Subject Matter Experts (SMEs) wherever appropriate and necessary. Under the DOSS' guidance, department heads are responsible to ensure that hazards are identified, analyzed, properly mitigated, and documented.

In addition, the SRM process at CARTA is integrated with its safety assurance program to ensure that safety risk mitigations are evaluated for effectiveness over time, following general processes defined below combined with Safety Assurance processes described in Section III.

2.1 Hazard Identification

All employees and contractors are required to identify, report, and work with DOSS and key departmental directors to identify methods to mitigate hazards as appropriate. DOSS participates in helping to confirm mitigation identified is appropriate for the hazard as identified and confirm that mitigations have been completed and documented in accord with identified requirements including those items delegated to others to address including CARTA staff, contractors, subject matter experts or others.

2.1.1 Hazard Identification Sources

There are a variety of sources for hazard identification. CARTA uses the following sources for hazard identification:

- *Reactive hazard identification* involves analysis of events or outcomes that have already occurred. Hazards are identified through investigation of safety occurrences (including close calls), adverse events and hazard reporting from the field (such as rules compliance activities, safety committee meetings and customer reports) where adverse outcomes have been experienced on the system.

- *Proactive hazard identification* involves effective implementation of the safety assurance function through departmental inspections, reviews, evaluations, observations, and assessments; proper change management; quality assurance programs; failure trend analysis; and the employee and contractor safety reporting programs. This involves actively seeking to identify hazards and mitigating them effectively before adverse events occur.

- A specialized subset of proactive risk-based analysis and inspections is *predictive identification*, which involves the thorough and timely analysis of safety data collected by all departments to identify possible negative future outcomes or events; as well as monitoring the system in real time.

- FTA and SSO data and information as required by 49 CFR Part 673.25(b)(2), as well as industry experience, best practices and lessons learned.

2.1.2 Employee Safety Reporting Program

CARTA has multiple avenues by which employees and contractors can report hazards. All reports of hazards are properly documented by the receiving party, no matter the source. Investigations of hazards will be properly documented and distributed in accordance with 16-017 Employee Safety Reporting Program and Safety Management System Policy Statement. Employee reporting will be properly documented and distributed in accordance with the Employee Safety Reporting Process.

Generally, CARTA's SMS requires all employees to identify hazards, mitigate them immediately if possible,

and to report them regardless of action taken. Employees are encouraged to report through their chain of command, including their immediate supervision, or management if supervision is not available; or through the safety committee (Safety Roundtable) process. If these routes of reporting are not available, or may result in adverse consequences to the employee, reporting through other means is available.

Additionally, employees may report any perceived safety issue or hazard to a safety committee representative for investigation and resolution. CARTA employees can submit safety concerns and complaints directly to management via the Employee Safety Suggestion Form which can be presented confidentially in both paper form in the designated suggestion boxes, as well as through the existing electronic collection process. The form and methods outlined allows for confidential reporting.

Customer safety complaints received are forwarded to the responsible department and the DOSS. The department investigates the report with the DOSS and develops and implements corrective action as needed to properly address risk. Employees can also use this process to report if they desire anonymity.

CARTA is committed to ensuring a feedback loop to the reporting employee is achieved. If the report is anonymous, the outcome of the report, investigation and any corrective action or mitigation will be distributed in the work area(s) of the department reporting the hazard.

2.1.3 Hazard Investigation

Hazards will be investigated by the safety department as they are reported or identified in accordance with the Hazard Investigation SOP. All investigatory activities are properly documented according to the SOP.

The purpose of investigation is to evaluate the hazards in terms of reasonable consequences (especially in the case of proactive identification); and to examine the frequency and severity of the consequences. Once these have been established, the safety risk index can be identified. If the hazard is currently mitigated, investigation involves assessment to establish if current mitigations are sufficient to address associated risk, or if changes or additional mitigations are warranted to further reduce risk. Once the investigation activities have been completed, risk may be assessed.

2.2 Safety Risk Assessment

Risk assessment is performed by measuring the likelihood of consequences occurring and the seriousness of the consequences if they do occur.

There are five steps to effectively assessing safety risk:

1. Assess the hazard's likelihood of occurring.
2. Assess the hazard's severity.
3. Assess the current safety risk mitigations, if any are in place, and determine if revised or additional mitigations are necessary.
4. Index the safety risk based on likelihood and severity analysis of the consequences.
5. Determine risk acceptability based on the guidance provided per the risk index.

Table 7 – Severity Criteria, Risk Safety Assessment

Category	Consequences
Category 1, Catastrophic	Could result in one or more of the following: multiple deaths, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding $10M.

Category 2, Critical	Could result in one or more of the following: death, permanent partial disability, injuries, or occupational illness that may result in hospitalization of at least three personnel, reversible significant environmental impact, or monetary loss equal to or exceeding $1M but less than $10M..
Category 3, Marginal	Could result in one or more of the following: injury or occupational illness resulting in one or more lost workday(s), reversible moderate environmental impact, or monetary loss equal to or exceeding $100K but less than $1M.
Category 4, Negligible	Could result in one or more of the following: injury or occupational illness not resulting in a lost workday, minimal environmental impact, or monetary loss less than $100K.

From Appendix B, Standard Matrix, FTA Sample Safety Risk Assessment Matrices for Bus Transit Agencies (September 2019) Sample Safety Risk Assessment Matrices for Bus Transit Agencies (dot.gov)

Table 8 – Likelihood Criteria – Risk Safety Assessment

Description	Level	Likelihood	Result
Frequent	A	Likely to occur often in the life of the item.	Continuously experienced
Reasonably Probable	B	Will occur several times in the life of the item.	Will occur frequently
Occasional	C	Likely to occur sometime in the life of an item.	Will occur several times
Remote	D	Unlikely, but possible to occur in the life of an item.	Unlikely but can reasonably be expected to occur
Improbable	E	So unlikely, it can be assumed occurrences may not be experienced in the life of an item.	Unlikely to occur, but possible
Eliminated	F	Improbable, condition mitigated.	N/A

From Appendix B, Standard Matrix, FTA Sample Safety Risk Assessment Matrices for Bus Transit Agencies (September 2019)Sample Safety Risk Assessment Matrices for Bus Transit Agencies (dot.gov)

Safety Risk Index

The first chart below is a matrix combining Severity rankings with Likelihood rankings. The next chart, the Risk Assessment Index, is then used to define the acceptability of risk.

Table 9 - Risk Safety Index

Severity / Probability	Catastrophic 1	Critical 2	Marginal 3	Negligible 4
A - Frequent	**1A**	**2A**	**3A**	**4A**
B - Probable	**1B**	**2B**	**3B**	**4B**
C - Occasional	**1C**	**2C**	**3C**	**4C**
D - Remote	**1D**	**2D**	**3D**	**4D**

E - Improbable	**1E**	**2E**	**3E**	**4E**
F - Eliminated	**Eliminated**			

1A, 1B, 1C, 2A, 2B	**High**	Unacceptable
1D, 2C, 3A, 3B	**Serious**	Undesirable, management decision required
1E, 2D, 2E, 3C, 3D, 3E, 4A, 4B	**Medium**	Acceptable, with review by the SSRC
4C, 4D, 4E	**Low**	Acceptable, without review by the SSRC
F	**Eliminated**	Eliminated

2.3 Safety Risk Mitigation

Safety Risk Mitigations are methods or processes to manage risk agency-wide. Once risk is identified, CARTA must ensure that it is not accepting increased risk without the proper level of management decision, nor misallocating safety resources if existing mitigations are sufficient.

Strategic decisions are made to ensure that risk is reduced to the lowest practical level. The risk mitigation strategy in place at CARTA is:

- **Avoid:** Avoidance removes the undesired consequence, such as canceling or delaying the operation or activity until risk is appropriately mitigated.
- **Reduce:** Risk reduction is the application of mitigations to reduce probability or severity to an acceptable level. It is noted here that it is rarely possible to reduce severity without engineering or operational configuration changes (such as speed reduction, reduction in vehicular and pedestrian accidents, mitigation of assaults on transit workers, minimize exposure to infectious diseases, etc.).
- **Segregate:** Segregation limits the exposure of people, assets, operations, or activities to the consequences of the identified hazards.

The hierarchy of mitigation is:
1. Design out the hazards.
2. Install safety devices.
3. Use warning systems.
4. Administrative (rules, procedures, training)
5. Personal Protective Equipment (PPE)

Criteria that CARTA may use to identify when mitigations or strategies may be necessary to reduce the likelihood or severity of consequences are:
1. Identification of risk level acceptability
2. Cost-benefit analysis
3. Availability of technology
4. Changes to procedures, rules, or training
5. Service changes

Each level of employee will be trained to respond to hazards appropriate to their level of authority and responsibility.

Front line employees (and contractors) will be trained, over time, to recognize hazards, report them, and suggest strategies for mitigation, such as corrective maintenance, avoidance of collisions, stop hazardous work, use of PPE, rules compliance, use of Incident Command, setting up barriers, etc.

Managers will be trained to respond to hazard reports, deploy resources at their disposal to address and mitigate hazards under their control; and when additional resources are needed, inform executive management in a timely manner of the need for additional resources and why.

Executive management will allocate resources based on risk, and if resources are not available, ensure that no activities take place until risk is mitigated to an acceptable level.

If risk needs to be mitigated beyond existing mitigations, or when new hazards are identified and require corrective action, a corrective action plan must be developed, approved by the SSO when it pertains to the LMIR and implemented. The department responsible for the task or activity associated with a corrective action is responsible for the corrective action. The DOSS provides support and guidance.

Risk still exists even after mitigation; that risk is owned by the department in which the risk is created and mitigated, to implement, monitor and manage that risk daily.

The DOSS is responsible to maintain a hazard log or risk register to document agency-wide hazard and risk activities; track risk and mitigations to ensure that no unacceptable risk is assumed due to error or omission; ensure that corrective action is developed, approved and implemented as required by statute and the TDOT Program Standard when it pertains to the LMIR only; and ensure adequate and appropriate monitoring of the mitigations to assure that the mitigations effectively reduce risk and no new hazards are created.

Section III: Safety Assurance

Safety Assurance is a continuous process constantly interacting with Safety Risk Management. It is a systematic, ongoing, integrated monitoring and recording of safety performance, which will be used to verify that safety objectives are being met; to identify previously unforeseen hazards; to ensure that mitigations in place are effective and not creating new hazards; and to collect robust and valuable data on safety that can be analyzed, trended, and shared agency-wide for continuous improvement of the SMS. In addition, Safety Assurance activities assist the agency in identifying and correcting practical drift, effective transit asset management, and establishment of reasonable and achievable safety performance measures.

The Safety Assurance activities at CARTA are described below.

3.1 Safety Data Acquisition and Analysis

CARTA identifies, collects, and analyzes data on safety critical functions. This information is used for three purposes:

1. To ensure all departments establish and achieve performance targets related to their daily operations, such as rules and procedure compliance, sufficiency and accuracy of procedures and documentation, safety events, proper management of change, and completion of safety- critical tasks in a timely manner.
2. To ensure that system-wide performance measures are being met through monitoring data associated with them in the appropriate departments; and
3. To ensure through wide distribution of safety data and analyses that all departments are aware of

trends, hazards, and safety performance in all other departments.

Sources of data at CARTA can include, but are not limited to:

- Employee reporting systems, including self-reporting
- Field reports and observations from supervision and managers
- Preventive maintenance and other scheduled inspections
- Results from drills and exercises, and critical incident debriefings from actual emergency events
- Internal safety and security reviews and internal controls reports and activities
- Quality assurance and quality control inspections, reviews, and other activities
- Customer and public comments, complaints, and recommendations
- Employee, passenger, and public reports of injury
- Key performance indicators
- Incident and anomaly reports
- Investigations (hazards, collisions, derailments, security, etc.)
- NTD data collection and reporting
- Safety activities (job briefings, awareness campaigns, safety meetings)
- Safety and security certification, system modification and procurement activities
- Drug and alcohol compliance programs
- Training activities
- Rules and procedures compliance activities
- Safety committee activities and reports
- Transit asset management activities
- Plus, other resources as identified

CARTA always seeks to broaden and refine the focus of its monitoring activities to ensure safety risk mitigations are included in ongoing data capture. The agency requires all departments to observe normal operations, including in the field. The agency gathers data and information through its employee reporting program to ensure hazards are identified as soon as possible, analyzed for trends and corrective action implemented to prevent re-occurrences and future adverse consequences. Each department submits its data reports to the DOSS for analysis.

3.2 Rules and Procedure Compliance Activities

A robust SMS requires ongoing safety assurance activities; that is, continuous performance monitoring, performed in the field to meet the requirements of 49 CFR Part 673.27(b).

CARTA has established a Safety Rules Compliance Program (SRCP) to ensure safety-related operating and maintenance rules are monitored for compliance. The SRCP will also promote safety culture ideals while stressing the importance of safety to public transportation. Specific to this process is the ability to monitor complex and diverse activities associated with public transportation, which may result in Practical Drift. An Agency Safety Committee (ASC) will provide oversight to this process to ensure consistency and the integrity of the rules and procedures compliance process.

3.3 Internal Safety Review

CARTA requires internal safety reviews to monitor compliance with its SMS as described in this plan. These reviews are required under 49 673.27(b)(2). They include the following.

The Internal Safety and Security Review Procedures
This program, also required under 49 CFR Part 674.27(a)(4), will allow CARTA to perform a review following FTA guidance on internal safety and security reviews. The outcomes will be owned by the Accountable Executive and implemented by the DOSS/SMS Executive. Each department is reviewed for compliance with this ASP and all the department's internal requirements by review once every three years. Non-compliances, deficiencies and failures of SMS require corrective action to be developed and implemented by the department.

The SOP # 16-003 Internal Safety and Security Review Procedures fully documents all triennial review activities. All reviews are shared with the ASC and the department reviewed and are made fully available to all other departments. The ASC provides oversight and executive management review of this process to ensure consistency and the integrity of the internal safety and security review process.

The review of the DOSS's SMS compliance can be performed by a safety compliance consultant of CARTA's choosing to avoid conflict of interest.

Internal safety reviews are designed to monitor all activities and functions to identify SMS non--compliances and correct them, identify hazards, and implement mitigations to reduce risk to the agency, and to identify any existing mitigations that may be ineffective, inappropriate or were not implemented as intended as required under 49 CFR Part 673(b)(2).

Any department that has a non-compliance, deficiency or defect in its safety management program must develop a corrective action through the DOSS, who then will ensure it is approved by the SSO as applicable to the LMIR. The department will then implement corrective action to the approved time frame with the support and guidance of the DOSS.

All reports provided to the SSO detailing the conduct, findings and corrective actions of internal safety reviews will carry the signature of the Accountable Executive and evidence of review the ASC.

3.4 Safety Assurance: Maintenance and Support Functions

In addition to the above-described safety assurance activities that apply for all departments, there are maintenance and related support functions under the purview of the Director of Maintenance and Facilities, and Director of Incline Railway, who require specific activities for safety assurance that do not occur elsewhere in the agency. These are:

1. Preventive, Predictive and Corrective Vehicle Maintenance
2. Facilities Management
3. Support activities, including contracted activities (component repair, equipment repair, overhaul, transportation, fabrication)
4. Hazard Management, Quality Assurance and Quality Control
5. Lifecycle Planning, including reliability and maintainability
6. Materials Management and Warehousing
7. Engineering, including contracted services
8. Transit Asset Management support and interface

3.4.1 Preventive, Predictive and Corrective Vehicle and Equipment Maintenance

For all areas requiring maintenance activities, the following requirements are applicable:

1. All inspections, their intervals and requirements, and their documentation, verification, and

distribution
2. The standards (regulatory, industry and internal) for all aspects of maintenance
3. Procedures for maintenance (Original Equipment Manufacturer [OEM] manuals, Maintenance Management Information Systems, etc.)
4. Testing processes and procedures for all maintenance activities
5. Standards and requirements for scheduled maintenance, deferred maintenance and Beyond Usable Life (BUL) determination (destruction/condemnation/ disposal)
6. Sources of reporting for deficiencies
7. Equipment, and small and large tools required to perform the maintenance activities, including IT systems, software, and hardware
8. Minimum training requirements for personnel engaged in maintenance activities

3.4.2 Facilities Management

For each area that uses or is housed in a physical facility, the following requirements are applicable:
1. Safety and security procedures for the facilities, to include fire/life safety and security equipment inspections, structural and other safety inspections, access control, lot and yard control, and security and emergency preparedness and response plans and procedures
2. The standards (regulatory, industry and internal) for all aspects of facility maintenance
3. Procedures and guidelines for maintenance including (OEM) manuals, local jurisdictions, Maintenance Management of Information System, etc.)
4. Standards and requirements for scheduled maintenance, deferred maintenance, and BUL determination (destruction/condemnation/disposal)
5. Sources of reporting for deficiencies
6. How facilities deficiencies are reported, addressed, and tracked to closure
7. Equipment, and small and large tools required to perform the maintenance activities, including IT systems, software, and hardware
8. Minimum training requirements for personnel engaged in maintenance activities

3.4.3 Hazard Management, Quality Assurance and Quality Control

For all maintenance and support areas, the following requirements are applicable:
1. Documentation of how hazards are managed in daily activities
2. Defects and issues found in inspections
3. Opening of work orders
4. Tracking of work orders
5. Closing of work orders
6. Quality Assurance and Quality Control

CARTA assures that it will have in place assurance and control procedures and activities as part of the SMS Implementation Plan applicable to:
1. Procedures (including rules & procedure compliance)
2. Parts and supplies (procurement oversight activities)
3. Equipment (maintenance oversight activities; see TAM Plan)
4. Data collection and analysis (NTD reporting program)
5. Schedules (see TAM Plan)
6. Lifecycle assessment (see TAM Plan)
7. Transit asset management (see TAM Plan)

3.4.4 Transit Asset Management

For all applicable maintenance and support areas, CARTA's standard maintenance policies and bulletins, combined with applicable SOPs and training will describe all procedures and activities required to support transit asset management and the development and maintenance of the Transit Asset Management Plan (TAM Plan).

3.5 Investigations

49 CFR Part 673.27(b)(3) requires the transit agency to establish activities described in the agency safety plan to conduct investigations of safety events to identify causal factors. CARTA is committed to applying the "Organizational Approach;" that is, all investigations will seek to identify causal factors associated with the organization instead of simply blaming the person closest to the event. The DOSS will assure that all CARTA employees identified as critical to the investigation will fully cooperate in any investigation, regardless of which agency conducts it.

Internal investigations of all FTA-defined events in Section 3.5.1 are performed by the safety department in accordance with the SOP# 16-004 Accident Investigation Procedure. The DOSS will lead the investigation, with the option to delegate investigation procedures to qualified persons inside the appropriate department, as supported by other key staff at CARTA or consultant SMEs may support the investigation. Corrective actions to address risk, non-compliances or deficiencies in SMS, practical drift or other defects in the safety program must be developed by the departments, reviewed by the DOSS for consistency with the adopted safety plan.

All ongoing major investigations (Bus, Incline Railway) are evaluated to identify corrective actions to address risk, non-compliances or deficiencies in SMS, practical drift, or other defects in the safety program. These items, as identified, must be developed by the departments, reviewed by the DOSS for consistency with the adopted safety plan, and implemented in the approved time frame by the owners.

As relates to the Incline Railway, the Director of the LMIR and/or the DOSS will be responsible for reporting and discussing all ongoing major investigations occurring at the LMIR (which are required to be reported to FTA and to the SSO), as well as within briefings or coordination meetings occurring with the SSO. Corrective actions to address risk, non-compliances or deficiencies in SMS, practical drift or other defects in the safety program as applied at the LMIR will be reviewed by the DOSS for consistency with the adopted safety plan, submitted to the SSO for approval, and implemented in the approved time frame by the owners.

The DOSS is responsible for liaison with the SSO during any investigation related to the LMIR only, whether the investigation is led by CARTA or by the SSO.

CARTA's Accident Investigation procedure contains all the requirements described herein, including the process for review and comment on investigations conducted by the SSOA. In the case that CARTA disagrees from the findings and conclusions of an SSOA investigation report, the DOSS will provide a written summary to the SSOA, within 30 days of receipt of the SSOA's report, of the concerns, any supporting documentation, and as appropriate, alternative findings and conclusions for the SSOA's review and consideration.

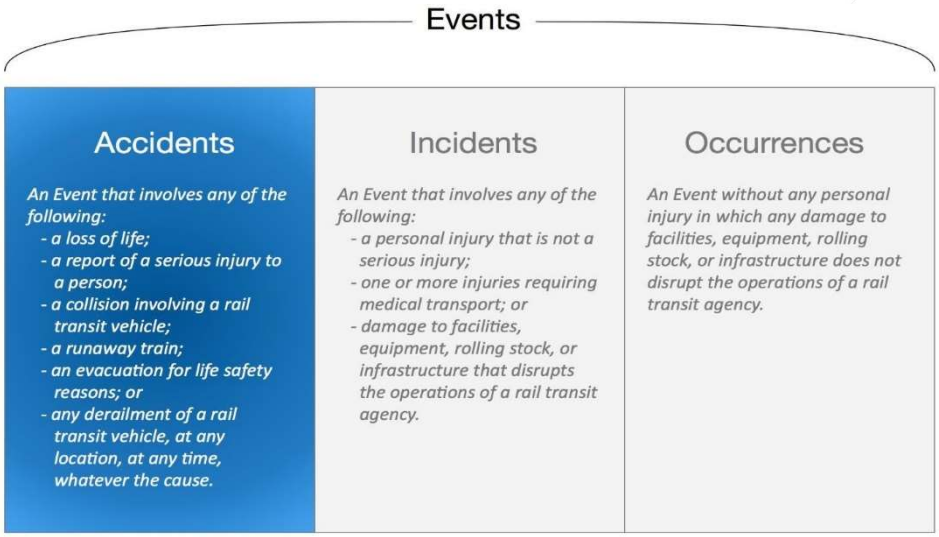
3.5.1 Event Reporting

CARTA is required to report events as defined by FTA and the SSO. Part 674 defines three types of safety events: accidents, incidents, and occurrences, and requires a rail transit agency (RTA) to notify its State

Safety Oversight Agency (SSOA) (as required for LMIR only) and the FTA within two hours of any event classified as an accident. FTA defines the following three categories of events, as shown on the following figure.

In addition to the requirements for accident notification set forth in the program standard, CARTA must notify both the SSO and the FTA within two hours of any accident meeting the definition above that occurs on its Incline Railway. Reporting to the SSO is defined in the Program Standard, and FTA is notified through the USDOT Crisis Management Center (CMC) by email at CMC-01@dot.gov (preferred) or 202.366.1863.

CARTA will conduct and document investigations of all events defined by FTA and take appropriate measures to reduce risk and prevent reoccurrence. All personnel and contractors conducting accident investigations on behalf of the SSOA must meet the training requirements documented within the Public Transportation Safety Certification Program. CARTA will also participate in regularly scheduled meetings to discuss accidents and reporting with the SSO relative to the Incline Railway.



3.6 Management of Change

Management of change means a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance.

A robust SMS requires that the agency understand that risk associated with change should be managed appropriately through the SRM process. Change can introduce new hazards or have an impact on the appropriateness or effectiveness of existing mitigations. Each department must, both proactively and through its safety assurance activities, ensure it identifies changes affecting safety, evaluates it appropriately through the DOSS, and implements mitigations so that risk is managed to acceptable levels during and after the change.

Changes affecting safety at CARTA will be managed through the safety risk management process as described in this Plan.

Sources of change at CARTA which could warrant a hazard analysis include:

- External (FTA, SSO, environmental)
- Regulations
- Reviews
- Environment
- Passengers
- Internal
- Organization
- Personnel
- Procedures
- Equipment
- Systems

Activities to ensure that change is properly identified include the following:
- Monitor service delivery activities (must include field observations)
- Monitor operational and maintenance data
- Assess external information
- Assess employee safety reporting program
- Evaluations of the SMS
- Safety reviews, studies, reviews, and inspections
- Safety surveys
- Investigations

3.6.1 Safety and Security Certification

Safety and Security Certification (SSC) is an FTA-defined process of verifying that certifiable elements and items comply with a formal list of safety and security requirements developed for major construction, rehabilitation, or vehicle procurement projects. Certifiable elements are those project elements that, as determined through hazard analyses and/or threat and vulnerability assessments, can adversely affect the safety and security of customers, employees, emergency responders or the public. The requirements are defined by design criteria, contract specifications, applicable codes, industry safety, and security standards. SSC is applied to projects that may reasonably be expected to pose hazards or security risks to CARTA passengers, employees, and emergency response personnel in agreement with the SSO.

SSC is accomplished through a collaborative effort between the DOSS and the applicable Project Team, which may include representatives from other CARTA departments as well as project contractors.

The SSC process ensures that:
1. Design and operating hazards and security vulnerabilities are identified, evaluated, and properly controlled or mitigated prior to the commencement of passenger service.
2. All safety and security critical elements are evaluated for compliance with all identified safety and security requirements during the design, construction, installation, testing, and start-up phases of a project; and
3. All CARTA systems are operationally safe and secure for customers, employees, emergency personnel and the public, prior to entering (or re-entering after modification) revenue service or returned to use by CARTA personnel.

The process is guided by the FTA's Handbook for Transit Safety and Security Certification (2002) and CARTA's Safety Certification Plan (SCP). The Safety Committee provides guidance for CARTA's safety

and security certification program. The Safety Committee remains accountable for the overall conduct and implementation of the Safety Certification program (SCP) and approval of certification documentation in accordance with the SCP. The makeup of the committee varies with the nature of the project as described in the SCP and may include SMEs.

3.7 Continuous Improvement

Continuous Improvement is the process by which CARTA examines its safety performance to identify safety deficiencies and conducts a plan to address the identified safety deficiencies. It consists of formal activities designed to evaluate the effectiveness of the SMS. Specifically, it will:

1. Identify the causes of sub-standard performance of the SMS
2. Determine the implications of sub-standard performance of the SMS in operations
3. Eliminate or mitigate such causes

Its key elements are proper management of all activities through the SRM process; proper change management; compliance activities, including those contained herein in Section 3; and performance reviewing.

Once deficiencies in the SMS are identified, corrective action must be implemented.

3.7.1 Corrective Action Plans (CAPs)

Corrective Action Plans are required to correct non-compliances, deficiencies, or defects in the SMS; risk that requires mitigation to an acceptable level; non-compliance with internal, legal, or other requirements; and by direction of the SSO (as applicable for the Incline Railway) or the FTA.

All CAPs, as applicable to the Incline Railway, must be reviewed and approved by the SSO per 674.27(a)(4). Usually, this approval is required prior to beginning implementation of the corrective action, but in exigent circumstances involving immediate protection of life and property, the action may be commenced and then reviewed and accepted or modified by the SSO. CARTA will attend monthly meetings to discuss the CAP and coordinate activities with the SSO.

The SSO Program Standard indicates the conditions under which CARTA is required to develop and conduct a corrective action for the Incline Railway. All CAPs at CARTA (for both bus and Incline Railway) as a matter of course, will follow and conform to the requirements of the Program Standard. The required contents of a CAP, including describing the actions CARTA will take to minimize, control, correct, or eliminate the risks and hazards identified by the CAP, the schedule for taking those actions, and the individuals responsible for taking those actions.

CAP closure for the LMIR is dependent upon SSO verification of closure and CARTA must periodically report to the SSOA on its progress to implement CAPs for the Incline Railway.

Section IV: Safety Promotion

A robust SMS is dependent upon ongoing management commitment to addressing risk through training and communication. Safety Promotion is the component of SMS that demonstrates this commitment to ensure all employees are properly trained to perform their tasks and activities safely, and to encourage and motivate employees in all departments to communicate openly about safety. *Please see **Appendix E – Amalgamated Transit Union (ATU) Statement Relative to 4.1** for a statement relative to both items from the ATU Local 1212.*

4.1 Competencies and Training

Safety Promotion is developing SMS competencies through training. CARTA's training programs focus on reducing risk through effective job skill development, training people to ensure that they have the appropriate skills and are knowledge to safely conduct their job function. This training is a safety risk mitigation tool and encompasses new hire and refresher training employees receive.

Additionally, CARTA provides safety management-related training to ensure all personnel are not only trained and competent to perform their safety-related duties, but also are aware of SMS and their individual contributions through safety reporting. The scope of this safety management training is appropriate to everyone's safety-related job responsibilities and role in the SMS. It encompasses:

1. Executive Management SMS responsibilities
2. Technical Management SMS responsibilities
3. Front Line Employee SMS responsibilities

All employees are responsible to attend all required training, and communicate their training needs, deficiencies in training programs and hazards associated with their training.

Employees directly responsible for safety as defined by CARTA are members of the safety department. They receive refresher training every two years under the requirements of 49 CFR Part 672. Refresher training content is outlined in [SOP 16-002] and covers the requirements set forward by Part 672.

4.2 Safety Communication

Effective safety communication is one of the foundational philosophies of SMS. Its purposes are to:

1. Ensure that personnel are aware of the SMS;
2. Convey safety-critical information;
3. Explain why particular safety actions are taken;
4. Explain why safety procedures are introduced or changed; and
5. Provide feedback on employee-reported hazards and safety concerns.

The primary safety communication responsibility of Executive Management at CARTA under the requirements of 673.23(c) is to communicate the Safety Management Policy actively and personally to all employees and contractors. Any changes to the Safety Management Policy must be approved and distributed through the executive safety committee to all employees.

4.2.1 Safety Committee

The Infrastructure and Investment Jobs Act (49 U.S.C. § 5329 / IIJA § 30012) Safety Committee (Agency Safety

Committee or ASC) was chartered by July 31, 2022, and incorporated into the updated Agency Safety Plan as of December 31, 2022, is comprised of front-line level safety employees in compliance with federal law. It is established to comply with federal directives to include represented employees. Detail on the committee including roles and responsibilities under 673.29(b) and membership are contained in IIJA Safety Committee Charter.

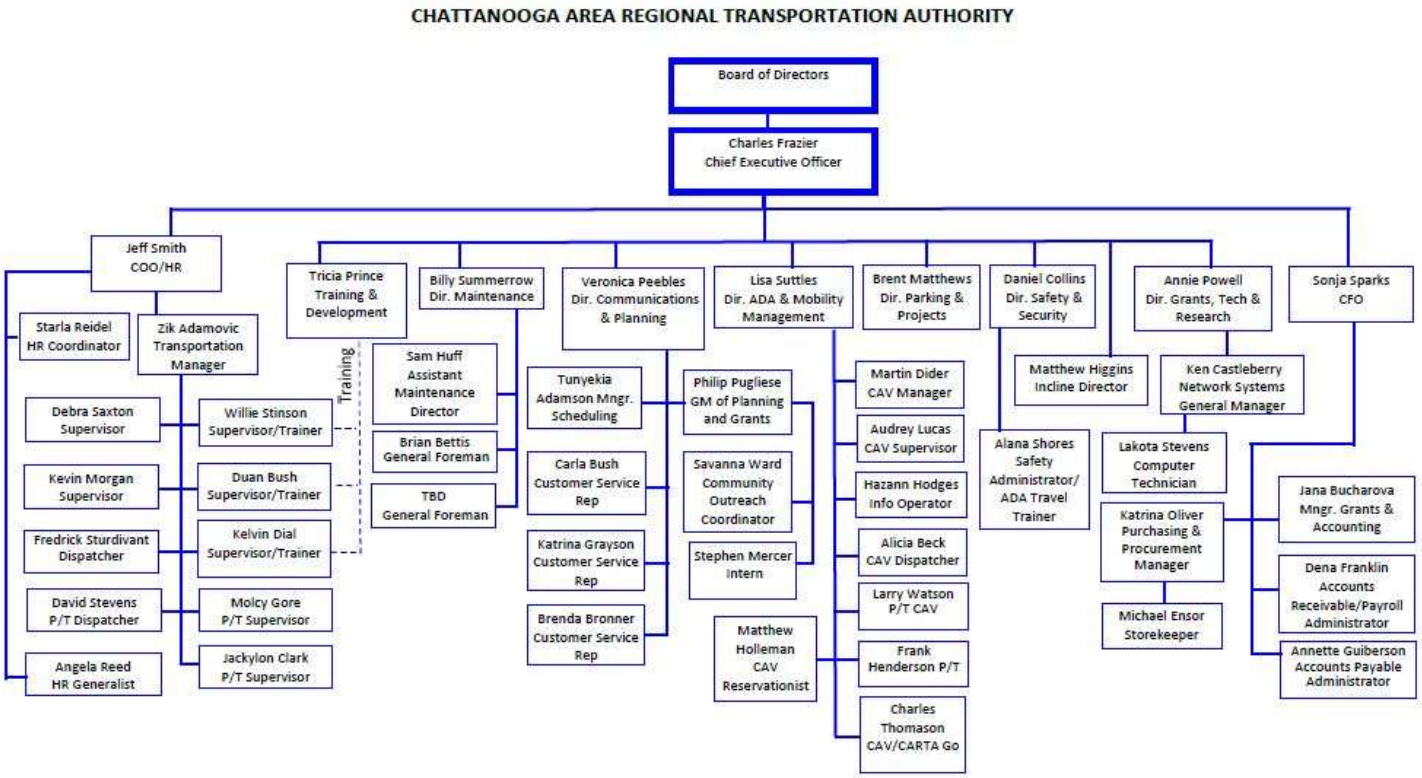
The CARTA Safety Rules Compliance Program (SRC) will establish procedures for development, revision, maintenance, management, and enforcement of rulebooks. The ASC provides oversight and executive management review of this process to ensure consistency and the integrity of the rules and procedures modification process. These revisions are made on an as-needed basis. Annual review takes place immediately after the annual approval and submission of the ASP to the SSO (Section 1.1.2).

Appendix A - List of Acronyms

ASC	Agency Safety Committee
ASP	Agency Safety Plan
ATU	Amalgamated Transit Union
BUL	Beyond Usable Life
CAP	Corrective Action Plan
CARTA	Chattanooga Area Regional Transportation Authority
CAV	Care-A-Van (Demand Response)
CMC	Crisis Management Center
DR	Demand Response
DOSS	Director of Safety and Security
FR	Fixed Route
FTA	Federal Transit Administration
FY	Fiscal Year
IIJA	Infrastructure Investment and Jobs Act
Incline Railway	Lookout Mountain Incline Railway
ISSAP	Internal Safety and Security Review Procedures
NSP	National Public Transportation Safety Plan
NTD	National Transit Database
OEM	Original Equipment Manufacturer
PPE	Personal Protection Equipment
PTASP	Public Transit Agency Safety Plan
RTA	Rail Transit Agency
SCRC	Safety and Security Certification Review
SMS	Safety Management Systems
SOP	Standard Operating Procedure
SPI	Safety Performance Indicator
SPT	Safety Performance Target
SSC	Safety Security Certification
SSCP	Safety and Security Certification Plan
SSOA	State Safety Oversight Agency
SSO	State Safety Oversight Officer
TAM/TAM Plan	Transit Asset Management plan
TDOT	Tennessee Department of Transportation
TPO	Transportation Planning Organization
USDOT	US Department of Transportation
VRM	Vehicle Revenue Miles

Appendix B – List of Tables

Appendix C - Organizational Chart



Appendix D – Related SOP and Other Referenced Documents

SOP 01-004 - Operator Assault

IIJA Safety Committee Charter

Infectious Disease Control Plan (FINAL DRAFT)

Emergency Preparedness and Response Plan (FINAL DRAFT)

Risk Reduction Measures – Vehicular and Pedestrian (in development)

Appendix E – Amalgamated Transit Union (ATU) Statement Relative to 4.1 and 4.2

4.1 COMPETENCIES AND TRAINING

CARTA will provide comprehensive training to all employees regarding each employee's job duties, and general responsibilities. This training includes safety responsibilities related to the employee's position. In addition, regular driver safety meetings are held to ensure that safety-related information is relayed to the key members of the agency.

As part of the SMS implementation, CARTA shall conduct the following:

1. Conduct a thorough review of all current general staff categories (administrative, operator, supervisor, mechanic, maintenance, et c.) and the respective staff safety-related responsibilities.
2. Assess the training requirements defined in 49 CFR Part 672 to determine appropriate courses required for each position.
3. Review the training material available on the FTA PTASP Technical Assistance Center (TAC) website.
4. Review training material available from industry sources, such as the Community Transportation Association of America (CTAA) and the American Public Transportation Association (APTA) websites.
5. Develop a set of competencies and training required to meet safety-related activities for each staff category.
6. Develop expectations for on-going safety training and attendance.
7. Develop a training matrix to track progress within the agency.
8. Ensure that new personnel understand the safety-related competencies and training needs and the safety responsibilities of the job.
9. Include refresher training on all safety training and apply it to agency personnel.

4.2 SAFETY COMMUNICATION

CARTA will regularly communicate safety and safety performance information through the organization that at a minimum, conveys information on hazards and safety risks relevant to employee's roles and responsibilities and informs employees of safety actions taken in response to reports and memorandums through the Employee Safety Reporting Program or other means.

CARTA reports any safety-related information to the joint labor-management committee at their regular meetings and will include safety performance information. In addition, CARTA holds regularly scheduled meetings with drivers to ensure that any safety-related information is shared which might impact operators' duties and responsibilities. CARTA also posts safety-related and other pertinent information in a common room for employees.

CARTA will review current communications strategies and add or modify those strategies as needed and as appropriate. As a part of this effort, a Safety Culture Survey will be conducted to create a baseline of understanding how safety is perceived and how should the agency be addressing these perceptions. This will ensure that a fully actuated safety culture is not only created but continued throughout the agency.

Appendix F – Definition of Terms

Accident: an event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision of transit vehicles; an evacuation for life safety reasons; at any location, at any time, whatever the cause.

Accountable Executive (typically the highest executive in the agency): a single, identifiable person who has ultimate responsibility for carrying out the Safety Management System of a public transportation agency, and control or direction over the human and capital resources needed to develop and maintain both the agency's PTASP, in accordance with 49 U.S.C. 5329(d), and the agency's TAM Plan in accordance with 49 U.S.C. 5326.

Agency Leadership and Executive Management: those members of agency leadership or executive management (other than an Accountable Executive, CSO, or SMS Executive) who have authorities or responsibilities for day-to-day implementation and operation of an agency's SMS.

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

Corrective Maintenance: Specific, unscheduled maintenance typically performed to identify, isolate, and rectify a condition or fault so that the failed asset or asset component can be restored to a safe operational condition within the tolerances or limits established for in-service operations.

Equivalent Authority: an entity that performs 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 PTASP.

Event: an accident, incident, or occurrence.

Federal Transit Administration (FTA): the Federal Transit Administration, an operating administration within the United States Department of Transportation.

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 public 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 causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.

Key staff: a group of staff or committees to support the Accountable Executive, CSO, or SMS Executive in developing, implementing, and operating the agency's SMS.

Major Mechanical Failures: failures caused by vehicle malfunctions or subpar vehicle condition which requires that the vehicle be pulled from service.

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

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.

Operator of a Public Transportation System: a provider of public transportation as defined under 49 U.S.C. 5302(14).

Passenger: a person, other than an operator, who is on board, boarding, or alighting from a vehicle on a public transportation system for the purpose of travel.

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 Federal Transit Administration (FTA).

Preventative Maintenance: regular, scheduled, and/or recurring maintenance of assets (equipment and facilities) as required by manufacturer or vendor requirements, typically for the purpose of maintaining assets in satisfactory operating condition. Preventative maintenance is conducted by providing for systematic inspection, detection, and correction of anticipated failures either before they occur or before they develop into major defects. Preventative maintenance is maintenance, including tests, measurements, adjustments, and parts replacement, performed specifically to prevent faults from occurring. The primary goal of preventative maintenance is to avoid or mitigate the consequences of failure of equipment.

Public Transportation Agency Safety Plan (PTASP): the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.

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 (SA): the process within a transit agency's SMS that functions to ensure the implementation and effectiveness of safety risk mitigation and ensures that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Committee: a committee convened by a joint labor-management process comprised of an equal number of frontline employees (selected by a labor organization representing the plurality of the frontline workforce employed by the recipient or, if applicable, a contractor to the recipient, to the extent frontline employees are represented by labor organizations) and management.

Safety Management Policy (SMP): a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of the agency's employees regarding safety.

Safety Management System (SMS): the formal, top-down, data-driven, 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 Management System (SMS) Executive: a CSO or an equivalent.

Safety Objective: a general goal or desired outcome related to safety.

Safety Performance: an organization's safety effectiveness and efficiency, as defined by safety performance indicators and targets, measured against the organization's safety objectives.

Safety Performance Indicator: a data-driven, quantifiable parameter used for monitoring and assessing safety performance.

Safety 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.

Safety Performance Monitoring: activities aimed at the quantification of an organization's safety effectiveness and efficiency during service delivery operations, through a combination of safety performance indicators and safety performance targets.

Safety Performance Target (SPT): a quantifiable level of performance or condition, expressed as a value for a given performance measure, achieved over a specified timeframe related to safety management activities.

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

Safety Risk: the assessed probability and severity of the potential consequence(s) of a hazard, using as reference the worst foreseeable, but credible, outcome.

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

Safety Risk Management (SRM): a process within a transit agency's Safety Plan for identifying hazards, assessing the hazards, and mitigating safety risk.

Safety Risk Mitigation: the activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards.

Safety Risk Probability: the likelihood that a consequence might occur, taking as reference the worst foreseeable, but credible, condition.

Safety Risk Severity: the anticipated effects of a consequence, should the consequence materialize, taking as reference the worst foreseeable, but credible, condition.

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

State: a State of the United States, the District of Columbia, or the Territories of Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

State of Good Repair: the condition in which a capital asset is able to operate at a full level of performance.

Transit Agency: an operator of a public transportation system.

Transit Asset Management (TAM) 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 life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

Vehicle Revenue Miles (VRM): the miles that vehicles are scheduled to or actually travel while in revenue service. Vehicle revenue miles include layover/recovery time and exclude deadhead; operator training; vehicle maintenance testing; and school bus and charter services.

49 CFR Part 673 Public Transportation Agency Safety Plan (PTASP)

1

Presentation

- PTASP – What is it and Why do it, Rule Making, Who is Affected, Development and Implementation
- PTASP – General and Specific Requirements
- What is Safety Management System (SMS), SMS Elements, Employee Safety Reporting Program (ESRP)
- National Safety Plan - Safety Performance Targets
- Bipartisan Infrastructure Law Changes – Strategies to Minimize Exposure to Infectious Disease, Safety Committee, and a Risk Reduction Program

2

PTASP – What is it and Why do it?

Through MAP-21 and the FAST Act, Congress required operators of public transportation systems that receive FTA funds to develop and implement a Public Transportation Agency Safety Plan(49 U.S.C. §5329(d)).

FTA is implementing this requirement through the PTASP final rule (49 C.F.R. Part 673).

3

FTA Rulemaking

49 CFR Part 670 – National Public Transportation Safety Plan 2016-2018

49 CFR Part 673 – Public Transportation Agency Safety Plan 2018-2020

Bipartisan Infrastructure Law Changes 2021-2023

4

PTASP – Who is Affected

Transit system operators that receive FTA funds (Section 5307)

All rail transit operators (regardless of funding source)

Deferred applicability for operators that only receive Section 5310 and Section 5311 funds

5

PTASP Development and Implementation

Rail transit agencies and large bus operators must develop and implement their own safety plans

States must develop a safety plans for small transit agencies

- Operate 100 or fewer vehicles in peak revenue service

Small bus operators must implement their own safety plans

6

General Requirements of a PTASP

Approved by Accountable Executive and Board of Directors

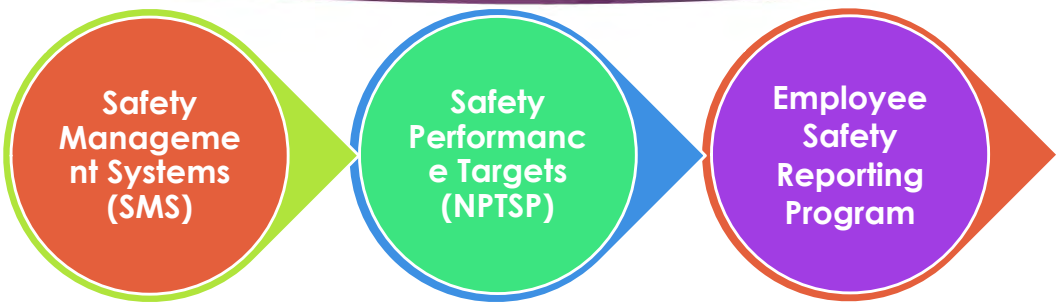
Annual Review/Update (certification)

Compliance with Public Transportation Safety Program/National Safety Plan

Assignment of Chief Safety Officer

7

PTASP – Specific Required Elements



8

What is SMS

COLLABORATIVE APPROACH FOR MANAGEMENT AND LABOR TO WORK TOGETHER TO CONTROL RISK

SYSTEMATIC APPROACH TO PROTECTING PASSENGERS AND EMPLOYEES

APPROACH FOR MANAGEMENT TO IDENTIFY RISK AND ALLOCATE RESOURCES APPROPRIATELY TO MITIGATE

9

SMS Elements

Safety Management Policy

Commitment

Safety Risk Management

Identify
Assess
Prioritize

Safety Assurance

Mitigate
Measure
Monitor

Safety Promotion

Communication
Training

10

The NSP Safety Performance Targets

Fatalities	Total amount and rate per total vehicle revenue miles
Injuries	Total amount and rate per total vehicle revenue miles
Safety Events	Total amount and rate per total vehicle revenue miles
System Reliability	Mean distance between major mechanical failures

11

Employee Safety Reporting Program

Must establish and implement a process that **allows all employees—including relevant contract employees—to report safety conditions to senior management.**

12

Bipartisan Infrastructure Law Changes – Infectious Disease

Strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions, and **consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority, minimize exposure to infectious diseases**

13

Bipartisan Infrastructure Law Changes – Safety Committee

A **safety committee** shall be convened by a joint labor-management process

Once established, the Safety Committee should begin work to meet its **responsibilities.**

Establish performance targets for the **risk reduction program**

14

Bipartisan Infrastructure Law Changes – Risk Reduction Program

A risk reduction program a reduction of **vehicular and pedestrian accidents** involving buses.

Mitigation of assaults on transit workers, including the deployment of assault mitigation infrastructure and technology on buses.

15

Bipartisan Infrastructure Law Changes

Safety Training Program

a comprehensive safety training program for—

The operations and ***maintenance personnel*** and personnel directly responsible for safety of the recipient that includes—

Continuing safety education and training; and

De-escalation training

16

Attachment 12a
January 25, 2024

TO: CARTA Board of Directors
Procurement Committee

FROM: Annie Powell
Director of Grants, Technology, and Research

SUBJECT: Authorization for Legal Services Contract

RECOMMENDED ACTION
Staff recommends that the Board authorize the Chief Executive Officer to negotiate and enter into a 2-year contract with 3 one-year extensions with Miller & Martin, PLLC for General Legal Services and a separate two-year contract with 3 one-year extensions for Burnette, Dobson, and Pinchak for Labor, Personnel, and Workers' Compensation Legal Services with the exception of the collective bargaining task.

ALIGNMENT WITH STRATEGIC GOALS
This action aligns with CARTA's strategic imperatives of compliance, transparency, and legal sufficiency.

SUMMARY OF NEED
Approval of this item will allow CARTA to leverage expertise in the areas of general, labor, personnel, and workers compensation legal services. This does not preclude CARTA from entering into other agreements for legal services if required. As part of day-to-day business operations, CARTA regularly requires legal expertise in many areas including, but not limited to the following: union grievances, arbitration procedures, hearings of the Equal Employment Opportunity Commission (EEOC), personnel policies and workers compensation issues. CARTA also requires general legal services including, but not limited to contract review, interpretation of Federal Transit Administration (FTA) rules and regulations, review of local, state, and federal rules, and guidance on regulations related to public entities.

BACKGROUND AND HISTORY
On December 19, 2013, the CARTA Board authorized the Executive Director to enter into a 10-year contract with Miller & Martin for legal services. Miller & Martin has assisted CARTA with legal services since 1971. Additionally, on December 21, 2017, the CARTA Board authorized the Executive Director to enter into a five-year contract with Burnette, Dobson, & Pinchak for labor, personnel, and workers' compensation legal services.

PROCUREMENT OVERVIEW
On November 16, 2023, CARTA released a Request for Proposals (RFP) for legal services. The RFP closed on January 5, 2024, and two proposals were submitted. This was advertised as a legal notice in the Chattanooga Times-Free Press and was published on the CARTA website. The RFP invited firms to submit proposals for General legal services and/or Labor, Personnel and Workers' Compensation services. Miller & Martin submitted proposals for both service types while Burnette, Dobson, & Pinchak proposed for Labor, Personnel, and Worker's Compensation only.

CARTA staff evaluated proposals received based on the following evaluation criteria: a) experience and expertise of proposed attorneys (30 percent), b) relevant overall experience and expertise of the firm (30 percent), c) documented specialized expertise in transit related issues (25 percent), and d) rate system (15 percent). Each firm has provided quality legal services to CARTA in the past, and each firm proposed attorneys who offer continued expertise in a variety of areas. Each firm also has documented experience in transit related issues through their previous work with CARTA. Miller & Martin offers greater experience on the general legal services tasks outlined in the proposal, and Burnette, Dobson, & Pinchak offer greater

experience for labor, personnel, and workers' compensation tasks. Miller & Martin offered a 15% discounted rate in recognition of CARTA's critical role in providing public transit services to the Chattanooga community. Rates for Allen McCallie and Rachel Ruiz are $544 and $382.50, respectively. Rates for other attorneys that may provide services during the five-year period were also included in their proposal. Burnette, Dobson, & Pinchak have proposed a discounted rate of $210 per hour for each of their partners, $150 per hour for an associate, and $95 an hour for paralegal services. It has been and continues to be their policy to offer reductions for clients that provide public services. Based on the evaluation criteria outlined above, it is the recommendation of staff that CARTA enter into a contract with Miller & Martin for general legal services and Burnette, Dobson, & Pinchak for labor, personnel, and workers' compensation tasks except for the collective bargaining task.

FISCAL IMPACT
On July 20, 2023, the CARTA Board of Directors approved the fiscal year 2024 budget which included $164,000 for legal services in fiscal year 2024.

DBE PARTICIPATION
No disadvantaged business enterprise (DBE) goal has been applied to this contract because there are no DBE providers available to provide this service.