



CHATTANOOGA AREA REGIONAL TRANSPORTATION AUTHORITY & THE
CHATTANOOGA PARKING AUTHORITY

BOARD MEETING AGENDA

October 17, 2024, 10:00 AM ET

1. **Call to Order**
2. **Quorum Call**
3. **Moment of Silence & Pledge of Allegiance**
4. **Public Comment**
5. **Recognitions:** Scott Wilson
6. **Adoption of Minutes** (page 2) - A
7. **CEO Report:** Charles D. Frazier
8. **Consent Agenda**
 - A. Financial Report: Sonja Sparks (page 10) - A
 - B. Statistical Report: Veronica Peebles (page 13) - I
 - C. Operations Report: Jeff Smith (page 17) - I
9. **Action Items**
 - A. Financial Audit: Sonja Sparks (page 18) - A
 - B. Meeting Expenditure Policy (New): Sonja Sparks (page 19) - I
 - C. Public Transportation Agency Safety Plan (Update): Daniel Collins (page 22) - I
 - D. Resolutions for Driver Training & Property Conservation Grants: Annie Powell (page 75) - A
10. **New Business**
 - A. Mobile Ticketing Pilot: Annie Powell (page 78) - I
11. **Old Business**
12. **Adjournment**
13. **Executive Session**
 - A. Quarterly Performance Review of Chief Financial Officer (CFO)

MINUTES OF THE BOARD OF DIRECTORS MEETING OF
THE CHATTANOOGA AREA REGIONAL TRANSPORTATION AUTHORITY

AND

THE CHATTANOOGA PARKING AUTHORITY

September 19, 2024

The regular meeting of the Board of Directors of the Chattanooga Area Regional Transportation Authority (CARTA) and the Chattanooga Parking Authority was held Thursday, September 19, 2024, 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 September 01, 2024. The following Board members were in attendance and constituted a quorum: Johan de Nysschen, Chairman; Charita Allen, Treasurer; Arcie D. Reeves, Secretary; Stephen Culp, Corey Evatt, Bill Nye, Daniela Peterson, and LeAndrea Sanderfur. The following persons were also in attendance: Charles Frazier, Chief Executive Officer; Sonja Sparks, Chief Financial Officer; Jeff Smith, Chief Operating Officer; Scott Wilson, Chief of Staff; Rachael Ruiz, Legal Counsel, Miller & Martin; Dena Franklin, Payroll & A/R Administrator; and various media and guests. Mr. de Nysschen called the meeting to order and declared a quorum present.

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Mr. de Nysschen opened the meeting with a moment of silent reflection followed by the Pledge of Allegiance. Mr. de Nysschen next opened the meeting for public comments or questions. There were no public comments.

Next Mr. de Nysschen recognized Patricia McKoy for numerous years of loyal service as a CARTA board member and most recently, board Treasurer. Mr. Wilson then recognized Teresa Smith, presenting her with the Ambassador Award for going above and beyond her duties by assisting two (2) underage riders when they mistakenly boarded the wrong bus while participating in the Read & Ride Program.

Mr. de Nysschen then stated that all members had been sent a copy of the August 22, 2024, board meeting minutes and asked if there were any additions or corrections. There being none, a motion was made by Mr. Culp and seconded by Mr. Evatt, followed by a vote to approve the minutes. The motion was unanimously approved.

Mr. de Nysschen then called on Mr. Frazier to present the CEO report. Mr. Frazier reported that CARTA continues to make progress addressing core business challenges. During the month of August 2024, the executive leadership team and management leadership team met for a full day to strategize on implementing prioritized work plans built around twenty-four (24) key focus areas for fiscal years 2025 and 2026. Each focus area will have defined goals, strategies, tactics and key performance indicators.

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Mr. Frazier reported establishing a growing partnership with the University of Tennessee at Chattanooga (UTC) Honors Program, with the support of Dr. Jordan King, Director of UTC's Innovations in Honors and Professor of Practice. Students in Dr. King's class will decide on a class project that focuses on CARTA. He further reported meeting with the honor students and engaging the students with a series of potential project topics, including a comprehensive analysis of CARTA bus stops, enhancing CARTA's social media presence, and a shuttle system network review to identify unmet transit needs in the community.

Mr. Frazier next reported that the Incline Railway team completed a two-day safety assessment with the assistance of Christopher Broach, Tennessee State Safety Oversight Officer in preparation for the upcoming TDOT triennial review. During the safety assessment, Mr. Frazier advised witnessing a high level of customer service from an Incline employee. He thanked Alex Harrah for this service and his commitment to being a good ambassador. Mr. Frazier then advised that the Incline annual pass program was rolled out on August 1, 2024, and to date there have been 81 passes sold.

Mr. Frazier then provided an update on the Read & Ride partnership with the Chattanooga Library. CARTA has provided more than five thousand five hundred (5,500) student trips to date. In addition to the Read & Ride collaboration, a pilot program will be launched this fall where library members will be able to check out passes from the library that allow a family of up to six (6) members to ride the Incline. One (1) family pass will be available for check out

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from the main library branch each week, with a blackout period from June 1 to August 1. This pilot program will provide Incline access to forty-two (42) Chattanooga families at no cost during the next year.

Mr. Frazier reported attending the Espero groundbreaking ceremony. Espero is a new 60-unit supportive housing development being led by the AIM Center. He then thanked the Regional Planning Agency / Metropolitan Planning Organization (RPA/MPO) under the direction of Executive Director, Dan Reuter, and Director & MPO Coordinator, Melissa Taylor. Mr. Frazier meets biweekly with the RPA/MPO, and they provide support for CARTA's growth initiatives.

Mr. Culp requested Incline family pass demographics. Ms. Reeves asked if CARTA is advertising the family pass opportunity to which Mr. Frazier stated CARTA advertises the program through targeted mailings, neighborhood drops, and social media. Mr. Evatt advised he has received positive feedback on CARTA's increased community engagement.

Mr. Frazier then introduced Mark Poirer to the board as the new Director of Paratransit Services.

Under "Consent Agenda" Mr. de Nysschen asked if there were any comments or questions regarding the financial report or statistical report provided in the board packet sent electronically on September 13, 2024. Ms. Sanderfur requested clarification on the downturn in ridership on the East Chattanooga route to which Ms. Peebles replied that the ridership had rebounded with the August markup. Care-A-Van usage was high and there were three (3)

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deviations in that area. Mr. Evatt inquired about the data issue for the number 10 Route to which Ms. Peebles responded that the technical issue has been resolved. Mr. de Nysschen remarked that shuttle ridership was down seasonally, but overall ridership was up 4%. Ms. Peebles agreed.

Ms. Allen requested an update on the upcoming Parking Day event. Mr. Matthews advised it's a national event being held on October 4, and there will be 50 Parklets available in the downtown area. Further advising that this event is where downtown businesses and organizations come together to network, socialize and compete for one (1) of three (3) prizes in a fun and creative way by decorating their parklet space. Ms. Reeves then requested a report on additional paid parking space opportunities to which Mr. Matthews responded that he presented the report in the June Operation committee meeting. The presentation will be forwarded to Ms. Reeves.

Mr. de Nysschen asked if there were any additional questions, there being none, a motion was made by Mr. Evatt and seconded by Ms. Allen, followed by a vote to approve the Consent Agenda items as received, read, understood, and accepted. The motion was unanimously approved.

Mr. de Nysschen called on Ms. Allen to provide an update from the Finance Committee. Ms. Allen advised the committee met on September 11, 2024. The committee reviewed the following items that will be presented today: (i) new credit card policy; (ii) new contracting

authority resolution; (iii) new advertising policy. The committee also reviewed CARTA's cash reserves and will be presenting new policies at future board meetings.

Ms. Sparks presented the new credit card policy recommendation advising that the new policy introduces enhanced measures, such as mandatory pre-approval for transactions, comprehensive documentation for all expenditures, regular reconciliations, and detailed reporting. Additionally, merchant restrictions and penalties for misuse are incorporated to enforce compliance and ensure the integrity of financial practices. All purchases made with company credit cards will continue to adhere to CARTA's procurement policy, which includes pre-approval for transactions, detailed reporting, and adherence to the micro-purchase limits. This policy underscores the CARTA's commitment to maintaining the highest standards of fiscal responsibility and operational efficiency.

Ms. Sparks next presented Resolution 606 which establishes formal guidelines on the contracting authority of the CEO. Ms. Sparks explained that the current purchasing policy authorizes the CEO, CFO, Chief Operating Officer, and Director of Grants to approve contracts. Under the proposed resolution, this authority will be reduced to only the CEO and CFO, but with a stricter threshold. Transactions valued above \$50,000 will require formal board approval, maintaining the existing requirement that all auditing and legal services are subject to board oversight.

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Mr. de Nysschen asked if there were any questions, regarding the items Ms. Sparks presented. There being none, a motion was made by Mr. Nye and seconded by Ms. Peterson, followed by a vote to approve new credit card policy and Resolution 606. The motion was unanimously approved.

Ms. Peebles presented the updated advertising policy recommendation advising CARTA's advertising policies were reviewed and revised by legal counsel to allow the promotion of commercial and civic advertisements on all of CARTA's assets, in addition to vehicles, to include, but not limited to, bus shelters, benches, bus stop signage, facilities, ticket booths, platforms, and bus passes. After extensive board discussion, Ms. Allen noted that approval of the new policy allows for CARTA to increase the number of assets available for advertising revenue opportunities. Ms. Peebles stated that CARTA has a content exclusion policy in place. Mr. de Nysschen advised this exclusion policy can be reviewed and voted on as needed at a future date. Mr. de Nysschen requested a motion be made to approve the updated advertising policy. Ms. Allen made a motion to approve. Ms. Reeves seconded the motion. Mr. Evatt opposed the motion with the remainder of board members approving. The motion was approved.

Mr. de Nysschen called on Ms. Allen to provide the Compensation and HR Committee update. Ms. Allen advised that due to her current role as board Treasurer, she is no longer allowed to serve as the Compensation and HR Committee chair. She further stated the

committee did not meet, but they have received the quarterly CEO evaluation in draft form. This evaluation will be completed in executive session following the board meeting.

Mr. de Nysschen next stated that the Operations Committee did not meet and there is no update to provide.

Under “New Business” Mr. de Nysschen asked Mr. Frazier to present the American Association of Retired Persons’ (AARP) request for election day. Mr. Frazier advised staff recommends that the Board approve AARP’s request for CARTA to provide fare-free transit service on Election Day, Tuesday, November 5, 2024. Approval of this item authorizes CARTA’s Chief Executive Officer to enter into an agreement with AARP East Region in which AARP will reimburse CARTA for lost revenue incurred by providing fare-free transit on fixed route, paratransit, and microtransit services. Mr. Frazier stated that due to capacity limitations paratransit may not be able to provide day-of scheduling rides. Mr. de Nysschen asked if there were any questions regarding the AARP election day request. There being none, a motion was made by Mr. Culp and seconded by Mr. Evatt. The motion was unanimously approved.

Mr. de Nysschen 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 with an executive session to follow.

TO: CARTA Board of Directors

FROM: Sonja Sparks
Chief Financial Officer

SUBJECT: Financial Report

RECOMMENDED ACTION

Staff recommends that the Board approve CARTA's financial reports for the month ending September 2024.

HIGHLIGHTS, ANALYSIS AND CONCLUSIONS

September, 2024

- Revenue for the month was \$2,275,317 compared to a budgeted \$2,306,478. There were no significant revenue variances.
- Expenses for the month were \$2,307,798 compared to a budgeted \$2,559,249.
 - Transit expense under budget variance of \$196,913 is due to a wage and benefit under budget variance of \$182,875 due to turnover and vacancies. We also had an under-budget variance in fuel of \$22,616. This results in a monthly under budget variance in net income of \$184,637.
- The September Parking Report indicates receipts from parking meter and enforcement reflected net positive revenue of \$56,855 and when combined with net shuttle costs of (\$151,754), created a net of (\$94,899). Total net parking revenue for the month (adding in surface lot and garage revenues and expenses) reflected a positive net revenue of 96,293.

CARTA
Variance Report
For the Three Months Ending Monday, September 30, 2024

	<u>MONTHLY ACTUAL</u>	<u>MONTHLY BUDGET</u>	<u>VARIANCE</u>	<u>YTD ACTUAL</u>	<u>YTD BUDGET</u>	<u>VARIANCE</u>
TRANSIT						
Revenues	\$1,231,696	\$1,243,972	(\$12,276)	\$3,681,432	\$3,731,915	(\$50,483)
Expenses	<u>1,397,877</u>	<u>1,594,789</u>	<u>(196,913)</u>	<u>3,945,282</u>	<u>4,559,368</u>	<u>(614,085)</u>
NET	(166,181)	(350,818)	184,637	(263,851)	(827,453)	563,602
SHUTTLE						
Revenues	\$140,075	\$146,504	(\$6,429)	\$469,533	\$439,513	\$30,021
Expenses	<u>206,431</u>	<u>211,932</u>	<u>(5,502)</u>	<u>619,090</u>	<u>635,797</u>	<u>(16,706)</u>
NET	(66,356)	(65,428)	(928)	(149,557)	(196,284)	46,727
INCLINE						
Revenues	\$467,519	\$459,496	\$8,023	\$1,615,822	\$1,602,126	\$13,696
Expenses	<u>212,641</u>	<u>232,366</u>	<u>(19,726)</u>	<u>731,702</u>	<u>697,099</u>	<u>34,603</u>
NET	254,878	227,130	27,748	884,120	905,027	(20,906)
CARE-A- VAN						
Revenues	\$76,615	\$86,260	(\$9,645)	\$245,977	\$258,780	(\$12,802)
Expenses	<u>268,861</u>	<u>298,295</u>	<u>(29,434)</u>	<u>781,877</u>	<u>894,885</u>	<u>(113,008)</u>
NET	(192,246)	(212,035)	19,789	(535,900)	(636,105)	100,205
PARKING						
Revenues	\$359,412	\$370,246	(\$10,833)	\$1,110,364	\$1,110,737	(\$373)
Expenses	<u>221,989</u>	<u>221,866</u>	<u>124</u>	<u>723,594</u>	<u>665,598</u>	<u>57,997</u>
NET	137,423	148,380	(10,957)	386,769	445,139	(58,370)
CARTA - Total						
Revenues	\$2,275,317	\$2,306,478	(\$31,161)	\$7,123,128	\$7,143,070	(\$19,941)
Expenses	<u>2,307,798</u>	<u>2,559,249</u>	<u>(251,450)</u>	<u>6,801,546</u>	<u>7,452,746</u>	<u>(651,200)</u>
NET	(32,482)	(252,771)	220,289	321,583	(309,676)	631,259

SEPTEMBER 2024 PARKING REPORT

	<u>Meters</u>	<u>Shuttle</u>	<u>Lots</u>	<u>Garages</u>
Revenues	\$ 185,394	\$ -	\$ 137,842	\$ 135,801
Enforcement	\$ 79,131	\$ -	\$ -	\$ -
Donations	\$ -	\$ 512	\$ -	\$ -
Advertising	\$ -	\$ -	\$ -	\$ -
Rental	\$ -	\$ 800	\$ -	\$ 2,962
Fed/State Grants	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
 Total Revenue	 \$ 264,525	 \$ 1,312	 \$ 137,842	 \$ 138,763
 Onstreet Enforcement Expenses	 \$ 207,670	 \$ -	 \$ -	 \$ -
Shuttle Expenses	\$ -	\$ 153,066	\$ -	\$ -
Lot Expense	\$ -	\$ -	\$ 32,048	\$ -
Garage Expense	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 53,365</u>
 Total Expense	 \$ 207,670	 \$ 153,066	 \$ 32,048	 \$ 53,365
 Net Revenue	 \$ 56,855	 \$ (151,754)	 \$ 105,794	 \$ 85,398
 Net Meters & Shuttle	 \$ (94,899)			
 Total Parking	 <u><u>\$ 96,293</u></u>			

TO: CARTA Board of Directors

FROM: Veronica Peebles
Chief Administrative Officer

SUBJECT: Statistical Report

RECOMMENDED ACTION

Staff recommend that the Board accept CARTA's statistical report for the month ending September 2024 as information to the Board.

HIGHLIGHTS, ANALYSIS AND CONCLUSIONS

Generally flat ridership across fixed route with the exception of Route 4. Continued examination of potential schedule changes to facilitate demand and congestion on Route 4 and address rider concerns with Route 10 scheduling which has affected ridership.

- Fixed route ridership is down 3% year-over-year for September. Route 4 ridership continues to increase with 6% growth in weekday trips and 2% growth overall year-over-year.
- CARTA GO ridership is down for the month year-over-year with the exception that Saturday ridership is up 8%.
- Shuttle ridership continues with 13% growth year-over-year. North Shore Shuttle is up 21% and St Elmo/Incline up 18% year-over-year.
- Incline ridership was affected with 2-shutdown days and 4 days affected by rain and fog from hurricane Helene.
- Special Note: Read and Ride Program Launched June 1, 2024. Read and Ride Program has provided 6,353 trips through September 30th with an average of 55 trips per day in September.

Chattanooga Area Regional Transportation Authority

Statistical Report

For the Period Ending September 30, 2024

	<u>This Month</u>	<u>Month YR Ago</u>	<u>YTD</u>	<u>Prior YTD</u>
<u>TRANSIT</u>				
Ridership	82,641	84,825	251,885	245,606
Weekday Average - with Mocs	3,535	3,505	3,351	3,241
Weekday Average - without Mocs	3,186	3,265	3,197	3,133
Saturday Average	1,990	2,248	2,094	2,188
Sunday Average	795	873	784	831
Miles	151,310	155,235	470,548	470,608
Passengers/Mile	0.55	0.55	0.54	0.52
Accidents	5	2	8	5
Operating Cost/Rider	10.28	9.33	9.82	9.30
<u>SHUTTLE</u>				
Ridership	26,164	23,315	84,920	72,384
Weekday Average	906	770	965	793
Saturday Average	953	816	1,042	948
Sunday Average	667	767	591	580
Miles	16,750	16,973	53,132	45,952
Passengers/Mile	1.56	1.37	1.60	1.58
Accidents	1	1	1	2
Operating Cost/Rider	2.78	3.43	2.46	3.10
<u>INCLINE</u>				
Ridership	32,221	41,838	148,395	157,470
Net Revenue/Passenger	7.91	2.54	5.96	2.68
Days Down	2	0	2	0
<u>CARE-A-VAN</u>				
Ridership	4,470	4,226	13,426	12,979
Miles	49,206	49,789	151,311	152,639
Turndowns	0	6	0	7
Accidents	1	0	2	0
Operating Cost/Rider	48.10	47.30	48.17	45.69
Passengers/Hour	1.28	1.26	1.24	1.25
<u>TOTAL CARTA</u>				
Ridership	145,496	154,204	498,626	488,439

*** Notes to the Statistical Report:**

North Shore Shuttle	2,998	2,469	9,839	7,935
MOCS Express	6,991	4,804	9,845	6,767
Bicycles Carried	1,519	1,790	4,895	4,918
Wheelchairs Carried	1,089	1,382	3,408	4,138
St.Elmo/Incline	2,407	2,047	8,431	6,582

Days of Operation Transit

Number of Weekdays	20	20
Number of Saturdays	4	5
Number of Sundays	5	4
	<u>29</u>	<u>29</u>

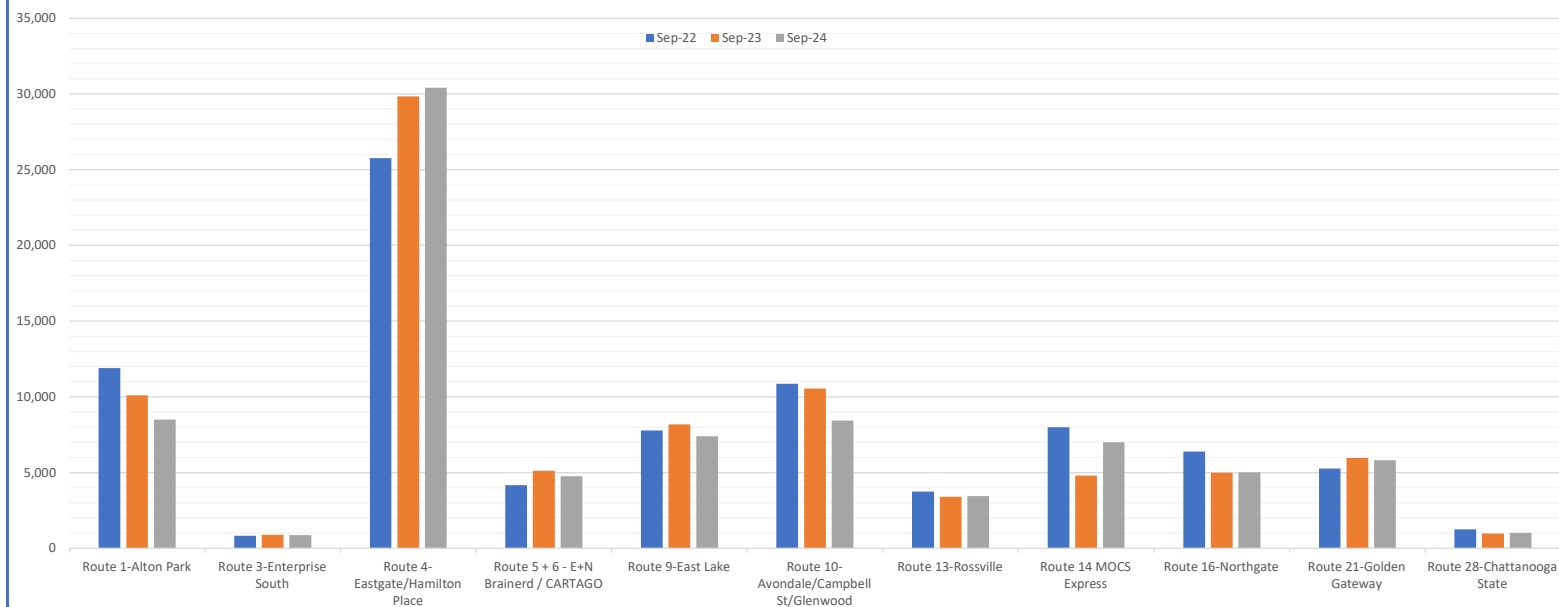
Days of Operation Care-a-Van, Shuttle

Number of Weekdays	21	21
Number of Saturdays	4	5
Number of Sundays	5	4
	<u>30</u>	<u>30</u>

Days of Operation Incline

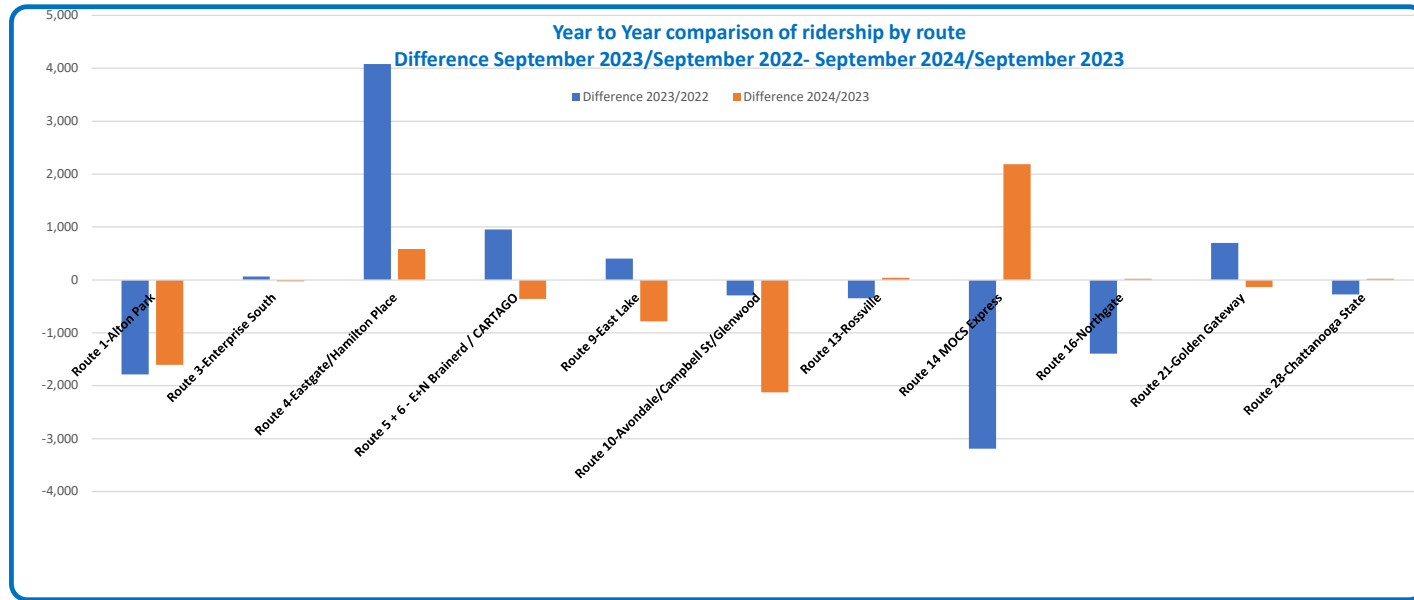
Number of Weekdays	19	21
Number of Saturdays	4	5
Number of Sundays	5	4
	<u>28</u>	<u>30</u>

Year to Year comparison of ridership by route September 2022/September 2023/September 2024



	Sep-22	Sep-23	Sep-24
Route 1-Alton Park	11,892	10,103	8,495
Route 3-Enterprise South	837	900	874
Route 4-Eastgate/Hamilton Place	25,747	29,822	30,408
Route 5 + 6 - E+N Brainerd / CARTAGO	4,167	5,117	4,758
Route 9-East Lake	7,781	8,183	7,402
Route 10-Avondale/Campbell St/Glenwood	10,852	10,558	8,432
Route 13-Rossville	3,745	3,398	3,439
Route 14 MOCS Express	7,991	4,804	6,991
Route 16-Northgate	6,394	5,000	5,019
Route 21-Golden Gateway	5,259	5,956	5,819
Route 28-Chattanooga State	1,256	984	1,004

Totals: 85,921 84,825 82,641



	Difference 2023/2022	Difference 2024/2023
Route 1-Alton Park	-1,789	-1,608
Route 3-Enterprise South	63	-26
Route 4-Eastgate/Hamilton Place	4,075	586
Route 5 + 6 - E+N Brainerd / CARTAGO	950	-359
Route 9-East Lake	402	-781
Route 10-Avondale/Campbell St/Glenwood	-294	-2,126
Route 13-Rossville	-347	41
Route 14-MOCS Express	-3,187	2,187
Route 16-Northgate	-1,394	19
Route 21-Golden Gateway	697	-137
Route 28-Chattanooga State	-272	20

-1096 -2,184

TO: CARTA Board of Directors

FROM: Jeff Smith
Chief Operating Officer

SUBJECT: Operations Report

RECOMMENDED ACTION

N/A Information Only

HIGHLIGHTS, ANALYSIS AND CONCLUSIONS

- The Care-A-Van staff training is progressing well, with key milestones already completed. Training on the Trapeze software and on-vehicle mobile data terminals, along with scheduling best practices, has been successfully accomplished. This equips staff with essential tools to improve scheduling accuracy and operational efficiency.
- In the Maintenance department a proficiency evaluation process for the Mechanic Apprentice classification has been developed and implemented to assess and enhance their skills, ensure they meet performance standards, and develop key competencies, ultimately improving maintenance quality and ensuring a skilled workforce in the department.
- In the Fixed Route department three dispatch/supervisors have been hired to improve service quality, operational oversight, communication, and on-the-road supervision, contributing to more reliable and timely fixed route services.

TO: Board of Directors

FROM: Sonja Sparks
Chief Financial Officer

SUBJECT: Financial Audit Report

RECOMMENDED ACTION

Staff recommends that the Board approve CARTA's financial audit report for the year ending June 30, 2024.

ALIGNMENT WITH STRATEGIC GOALS

This action aligns with CARTA's strategic imperatives of Fiscal Accountability, Efficiency and Transparency.

SUMMARY OF NEED

Approval of this item will allow CARTA to submit and publish the audit to meet the requirements by federal, state and local municipalities. Sound business and management practices deem it necessary to ensure public resources are managed responsibly, that operations are transparent, and that public trust is maintained.

BACKGROUND AND HISTORY

As a Quasi-Governmental Entity, CARTA is required to engage in an annual audit in accordance with auditing standards generally accepted in the United States of America (GAAS) and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States and the Yellow Book audit. The audit firm is required to be independent of CARTA and to meet other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audit. The Yellow Book has a long and evolving history that reflects the increasing complexity and importance of government auditing. It remains a vital resource for auditors, ensuring that government entities are held accountable for their use of public funds and that their operations are conducted efficiently and effectively. The Yellow Book, formally known as the "Generally Accepted Government Auditing Standards" (GAGAS), is a comprehensive set of guidelines that provides a framework for conducting audits of government entities, programs, activities, and entities that receive government funds. It is issued by the Government Accountability Office (GAO) of the United States and serves as a cornerstone for auditors who conduct government audits.

PROCUREMENT OVERVIEW

On March 1, 2021, CARTA released a formal Request for Proposal (RFP) for auditing services. The invitation to bid formally closed on April 13, 2021, with 3 proposals submitted. The five-year contract was procured through the Request for Proposal process as defined in CARTA's purchasing policy. The contract expires in 2025, when it will be put out to bid.

FISCAL IMPACT

On July 20, 2024, the CARTA Board of Directors approved the fiscal year 2024 budget which included \$28,000 for auditing services in fiscal year 2024.

DBE PARTICIPATION

N/A

TO: Board of Directors

FROM: Sonja Sparks
Chief Financial Officer

SUBJECT: Meeting Expenditure Policy

RECOMMENDED ACTION

Staff recommends that the Board approve CARTA's Meeting Expenditure Policy.

ALIGNMENT WITH STRATEGIC GOALS

This action aligns with CARTA's strategic imperatives of Fiscal Accountability, Efficiency and Transparency.

SUMMARY OF NEED

Approval of this item will allow CARTA to document the meeting expenditure policy to establish guidelines for expenditures related to meetings, ensuring responsible use of resources while promoting productive and efficient gatherings. The policy guidelines identify the following:

- Definitions of Meetings
- Budget Approval
- Allowable Expenses
- Limits of Expenditures
 - Internal Meetings at \$250.00
 - Employee appreciation gatherings at \$25.00 per person (or Board Approval)
 - External Meetings based upon budget and scope of meetings
- Documentation Requirements
- Non-Allowable Expenses
 - Personal items or services
 - Alcoholic beverages
 - Gifts or incentives for participants
- Cancellation Policy
- Review and Compliance
- Responsibilities

BACKGROUND AND HISTORY

This policy will formalize the meeting expenditure policy that is crucial to manage costs, ensure accountability, and maintain transparency in the handling of funds related to meetings and events that historically did not exist.

PROCUREMENT OVERVIEW

N/A

FISCAL IMPACT

N/A

DBE PARTICIPATION

N/A



Chattanooga Area Regional Transportation Authority

Agenda Item 4a

Standard Operating Procedure	SOP 18-004	Page 1 of 2
	Date of Issue:	Revision: 0.0
Meeting Expenditure SOP		

PREPARED BY: Sonja Sparks _____ **Date:** _____
Author Name

REVIEWED: _____ **Date:** _____
Reviewer Name

APPROVED: _____ **Date:** _____
Approving Officer

1. **Purpose:** The purpose of this Standard Operating Procedure is to document the meeting expenditure policy to establish guidelines for expenditures related to meetings, ensuring responsible use of resources while promoting productive and efficient gatherings.
2. **Scope:** This policy applies to all employees, departments, and stakeholders involved in organizing or participating in meetings.

Policy Guidelines

1. **Definition of Meetings**

- A meeting is defined as a gathering of two or more individuals for the purpose of discussing, deciding, or collaborating on specific topics.

2. **Budget Approval**

- All meeting expenditures must be pre-approved by a designated manager or department head.
- A detailed budget proposal should be submitted in advance.

3. **Allowable Expenses**

- **Venue Costs:** Rental fees for meeting rooms (if applicable).
- **Catering:** Refreshments or meals (with limits on per-person costs).
- **Materials:** Printing, supplies, and equipment rental (e.g., projectors, whiteboards).
- **Travel:** Transportation costs for attendees traveling from other locations, adhering to travel policy guidelines.

4. **Limits on Expenditures**

- The maximum limit set for internal meetings such as retirement celebrations, Board and Board Committee meetings, Executive Leadership meetings, Management Leadership Meetings is \$250.00. (Any professional services associated are exempt).
- Budgets for employee appreciation gatherings that exceed \$25.00 per person will be brought to the Board of Directors for approval.
- The limits for external meetings will be based upon budget and scope of meeting such as employee appreciation events, company milestone celebrations, other company celebrations, etc.

5. **Documentation Requirements**

- Receipts must be submitted for all expenditures.
- A summary of the meeting outcomes and attendance should accompany the expense report.



Standard Operating Procedure	SOP 18-004	Page 2 of 2
	Date of Issue:	Revision: 0.0
Meeting Expenditure SOP		

6. Non-Allowable Expenses

- Personal items or services not directly related to the meeting.
- Alcoholic beverages for all meetings.
- Gifts or incentives for participants.

7. Cancellation Policy

- Meetings that are canceled less than 10 days in advance may result in incurred costs, which must be borne by the department unless otherwise justified.

8. Review and Compliance

- All expenses will be reviewed periodically to ensure compliance with this policy.
- Non-compliance may result in disciplinary action or denial of reimbursement.

Responsibilities

- **Meeting Organizers:** Ensure adherence to this policy when planning and conducting meetings.
- **Finance Department:** Review and process expense reports related to meetings.
- **Managers:** Approve budgets and monitor compliance within their teams.

Amendments

This policy may be amended as needed, with changes communicated to all employees.

Reference documents: *CARTA Purchasing Policy*

CARTA Purchasing Summary

- I. Micro-Purchases-purchases/contracts that do not exceed \$10,000.

I. Purchases that do not exceed \$10,000 - Options for purchasing:

- A. May be obtained without obtaining competitive quotes if the price is determined to be fair and reasonable. All micro purchases with only one (1) quote must include the "Fair and Reasonable Price Determination" section of the purchase order to be signed, dated, and reason checked off. The purchase order must be forwarded to accounting. CARTA will distribute micro purchases procured in this manner equitably among qualified suppliers.
- B. At least two telephone quotes may be obtained, and must be documented using the Telephone Quote form, which should include the date, vendor's name, address, phone number, and contact person. In this case, the "Fair and Reasonable Price Determination" form at the bottom of the purchase order is not needed. The completed telephone quote form must be forwarded to accounting.
- C. Two written quotes may be obtained by fax, mail, or electronic means. If submitted electronically, the quote must be printed. No "Fair and Reasonable Price Determination" form at the bottom of the purchase order is needed if you have at least two written quotes. Copies of all quotes must be forwarded to accounting.

Davis-Bacon prevailing wage requirements apply to any micro purchases exceeding \$2,000. Procurements may not be divided or reduced to come within the micro purchase limit.

TO: CARTA Board of Directors
Executive Committee

FROM: Daniel Collins, MPA
Chief Safety Officer – Director of Safety and Training

SUBJECT: Public Transportation Agency Safety Plan (ASP) Rev. 5 - Update

RECOMMENDED ACTION

Staff recommends that the Board approve CARTA's ASP Rev. 5 effective at time of approval following approval of the Joint Management Labor Safety Committee

ALIGNMENT WITH STRATEGIC GOALS

This action aligns with CARTA's FY2025 focus area of promoting safety throughout the organization through safety policy, safety mitigation, and continuous improvement.

SUMMARY OF NEED

Approval of this action item will allow CARTA to meet federal oversight requirements through ongoing revision and refinement of the ASP in accordance with 49 CFR 673

The Agency Safety Plan (ASP) has been updated to reflect changes provided by the FTA and our partners at TDOT. These changes include the following:

- Clarification of Accountable Executive responsibility in policy statement with language direct from 49 CFR 673 added per TDOT
- Safety Management Policy updated
- IJA committee signing authority signature line added to ASP
- New FTA performance measures added [Table 1]
- Safety Performance Targets added [Table 2]
- TDOT CAP language added to 2.3 – ref CFR 674.37 - This describes how immediate corrective actions are done in emergencies
- Concurrences page removed
- Roadway worker protection reference to SOP added as reference item in ASP
- Risk identification resources updated i.e. TDOT, Inspections, Etc.
- Table titles update to reflect data shifting
- Additional reporting agencies added NTSB / FRA
- Organizational Chart Updated with available as of 8/2024
- EPP plan title changed in plan to reflect actual title of document
- DOSS title changed throughout document to Chief Safety Officer (CSO) to reflect TDOT guidance 9/2024
- Definitions updated per FTA
- Red Line Copy of ASP is available which reflects all changes including formatting adjustments.

BACKGROUND AND HISTORY

49 CFR 673 is a regulation under the Code of Federal Regulations that pertains to the Federal Transit Administration (FTA) and its requirements for the Public Transportation Agency Safety Plan (PTASP). It was established to improve safety across public transportation systems in the U.S. following the need for more robust safety management practices.

The CARTA board of directors first approved the CARTA ASP August 20, 2020, and was updated to reflect the organization's needs each year. Revision four of the ASP currently standing was approved by the CARTA board of directors on January 25, 2024.

Key milestones in its history include:

1. **Background and Development:** The regulation emerged from a broader push for enhanced safety in public transit, influenced by the 2012 Moving Ahead for Progress in the 21st Century Act (MAP-21) and the subsequent FTA initiatives.
2. **Final Rule Issuance:** The final rule was published on July 19, 2019, requiring transit agencies to develop and implement a PTASP that includes safety management systems, goals, and performance measures.
3. **Implementation:** Transit agencies were required to establish their plans by July 20, 2020, leading to the adoption of safety practices and a more structured approach to safety oversight in public transit.
4. **Ongoing Updates:** The FTA continues to provide guidance and resources to help agencies comply with the regulations, ensuring the safety plans remain effective and relevant.

PROCUREMENT OVERVIEW

N/A

FISCAL IMPACT

N/A

DBE PARTICIPATION

N/A

2024

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Chattanooga Area Regional Transportation Authority

Agency Safety Plan



Revision 4

Date Issued: August 20, 2020

Last Revised: TBD

Deleted: January 25, 2024

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



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CARTA AGENCY SAFETY PLAN

This fully signed and executed Agency Safety Plan meets the requirement established by 49 CFR 673.13(a) Certification of compliance.

APPROVED BY:

Chief Executive Officer, Accountable Executive Date: _____

Chief Operating Officer Date: _____

Chief Safety Officer – Director of Safety and Training Date: _____

Chair, Board of Directors Date: _____

Approved by Agency IJA Safety Committee on: _____

IJA Committee Designated Signatory Date: _____
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CONCURRENCES¶

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Director of the Lookout Mountain

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Date: ¶
Director of Maintenance and Facilities¶

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Director Care-A-Van, ADA, and Mobility Management¶

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Director of Communications and Planning¶

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Date: ¶
Director of Parking and Special Projects¶

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Director of Grants, Technology and Research¶

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General Manager of Planning and Grants¶

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Manager, Fixed-Route Operations¶

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Manager, Purchasing and Procurement¶

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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

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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 563,000².

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)

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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/chattanoogaacitytennessee/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)



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Section I: Safety Management Policy

1.1 Safety Management System Policy Statement



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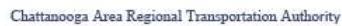
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Chief Executive Officer Safety Management System Policy Statement

Our Safety Management Program's primary objective is to cultivate and sustain an exceptional safety culture and system, in alignment with the Federal Transit Administration's Safety Management System (SMS) approach under the National Public Transportation Safety Program. This Agency Safety Plan outlines CARTA's SMS as the primary strategy to achieve these safety goals.

Safety management is integral to our operations. We will develop, implement, maintain, and continuously improve our processes to ensure the safety of our customers, employees, and the public. In line with 49 CFR Part 673.23(a), CARTA's safety objectives include:

Communication: Educating all employees on the purpose and benefits of the SMS.

Open Reporting Culture: Promoting an environment where safety concerns can be reported freely, without repercussions, except in cases of illegal acts, gross negligence, or deliberate violations of rules.

Management Involvement: Ensuring active management support and resources for an effective employee safety reporting program, encouraging the reporting of unsafe work conditions, hazards, or at-risk behaviors.

Hazard Identification: Identifying and analyzing unsafe work conditions and safety data.

Performance Targets: Setting realistic, measurable, and data-driven safety performance targets.

Continuous Improvement: Enhancing safety performance through effective safety management actions.

The Accountable Executive is accountable for ensuring that the transit agency's SMS is effectively implemented throughout the transit agency's public transportation system. The Accountable Executive is accountable for ensuring action is taken, as necessary, to address substandard performance in the transit agency's SMS. The Accountable Executive may delegate specific responsibilities, but the ultimate accountability for the transit agency's safety performance cannot be delegated and always rests with the Accountable Executive. 49 CFR 673.23(d)(1)

The Chief Safety Officer, known as the Director of Safety and Training at CARTA, leads SMS activities and is responsible for communicating SMS principles to staff through ongoing education. CARTA's Safety Management Policy Statement is shared with all employees during SMS training and displayed prominently in agency facilities.

Date: 9/27/2024

Charles D. 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.



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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 (14) 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 below. Additional Safety Performance Measures as defined by the NSP are shown in Table 1. CARTA Safety Performance Targets are shown in Table 2.

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Table 1 – Safety Performance Targets and Safety Performance Indicators

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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



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Table 1 – Safety Performance Measures as defined by the National Safety Plan

Safety Performance Measure	Description
<u>1</u> Measure 1a – Major Events	This includes all safety and security major events as defined by the NTD.
<u>2</u> Measure 1b – Major Event Rate	This includes all safety and security major events as defined by the NTD, divided by VRM.
<u>3</u> Measure 1.1 – Collision Rate (new)	This includes all collisions reported to the NTD, divided by VRM.
<u>4</u> Measure 1.1.1 – Pedestrian Collision Rate (new)	This includes all collisions "with a person," as defined by the NTD, divided by VRM.
<u>5</u> Measure 1.1.2 – Vehicular Collision Rate (new)	This includes all collisions "with a motor vehicle," as defined by the NTD, divided by VRM.
<u>6</u> Measure 2a – Fatalities	This includes all fatalities as defined by the NTD.
<u>7</u> Measure 2b – Fatality Rate	This includes all fatalities as defined by the NTD, divided by VRM.
<u>8</u> Measure 2.1 – Transit Worker Fatality Rate (new)	This includes all transit worker fatalities as defined by the NTD, including the categories "Transit Employee/Contractor," "Transit Vehicle Operator," and "Other Transit Staff," divided by VRM.
<u>9</u> Measure 3a – Injuries	This includes all injuries as defined by the NTD.
<u>10</u> Measure 3b – Injury Rate	This includes all injuries as defined by the NTD, divided by VRM.
<u>11</u> Measure 3.1 – Transit Worker Injury Rate (new)	This includes all transit worker injuries as defined by the NTD, including the categories "Transit Employee/Contractor," "Transit Vehicle Operator," and "Other Transit Staff," divided by VRM.
<u>12</u> Measure 4a – Assaults on Transit Workers (new)	This includes all assaults on transit workers as defined by the NTD. ⁹
<u>13</u> Measure 4b – Rate of Assaults on Transit Workers (new)	This includes all assaults on transit workers as defined by the NTD, ⁹ divided by VRM.
<u>14</u> Measure 5 – System Reliability	This includes Major Mechanical System failures as defined by the NTD.



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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:

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

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 fatality⁴ 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



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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.

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:

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

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:

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



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Table 4– Safety Event Rate SPT by Mode¶

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Table 2 – Safety Performance Targets

Safety Performance Targets		Count (Total)	Total VRM FY24	FY2024 Rate	FY2025 Target
1	Measure 1a – Major Events	---	---	---	---
	Incline Railway	1	---	---	---
	Fixed Route	0	---	---	---
	CAV	0	---	---	---
2	Measure 1b – Major Event Rate	---	---	---	---
	Incline Railway	1	17,512	5.71	5.42
	Fixed Route	0	2,105,160	0	0
	CAV	0	483,159	0	0
3	Measure 1.1 – Collision Rate (new)	---	---	---	---
	Incline Railway	1	17,512	5.71	5.42
	Fixed Route	0	2,105,160	0	0
	CAV	0	483,159	0	0
4	Measure 1.1.1 – Pedestrian Collision Rate (new)	---	---	---	---
	Incline Railway	1	17,512	5.71	5.42
	Fixed Route	0	2,105,160	0	0
	CAV	0	483,159	0	0
5	Measure 1.1.2 – Vehicular Collision Rate (new)	---	---	---	---
	Incline Railway	1	17,512	5.71	5.42
	Fixed Route	0	2,105,160	0	0
	CAV	0	483,159	0	0
6	Measure 2a – Fatalities	---	---	---	---
	Incline Railway	0	17,512	0	0
	Fixed Route	0	2,105,160	0	0
	CAV	0	483,159	0	0
7	Measure 2b – Fatality Rate	---	---	---	---
	Incline Railway	0	17,512	0	0
	Fixed Route	0	2,105,160	0	0
	CAV	0	483,159	0	0
8	Measure 2.1 – Transit Worker Fatality Rate (new)	---	---	---	---
	Incline Railway	0	17,512	0	0



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	<u>Fixed Route</u>	<u>0</u>	<u>2,105,160</u>	<u>0</u>	<u>0</u>
	<u>CAV</u>	<u>0</u>	<u>483,159</u>	<u>0</u>	<u>0</u>
<u>9</u>	<u>Measure 3a – Injuries</u>	<u>----</u>	<u>----</u>	<u>----</u>	<u>----</u>
	<u>Incline Railway</u>	<u>3</u>	<u>17,512</u>	<u>----</u>	<u>----</u>
	<u>Fixed Route</u>	<u>2</u>	<u>2,105,160</u>	<u>----</u>	<u>----</u>
	<u>CAV</u>	<u>3</u>	<u>483,159</u>	<u>----</u>	<u>----</u>
<u>10</u>	<u>Measure 3b – Injury Rate</u>	<u>----</u>	<u>----</u>	<u>----</u>	<u>----</u>
	<u>Incline Railway</u>	<u>3</u>	<u>17,512</u>	<u>17.13</u>	<u>16.27</u>
	<u>Fixed Route</u>	<u>2</u>	<u>2,105,160</u>	<u>.095</u>	<u>.090</u>
	<u>CAV</u>	<u>3</u>	<u>483,159</u>	<u>.62</u>	<u>.58</u>
<u>11</u>	<u>Measure 3.1 – Transit Worker Injury Rate (new)</u>	<u>----</u>	<u>----</u>	<u>----</u>	<u>----</u>
	<u>Incline Railway</u>	<u>1</u>	<u>17,512</u>	<u>5.71</u>	<u>5.42</u>
	<u>Fixed Route</u>	<u>0</u>	<u>2,105,160</u>	<u>0</u>	<u>0</u>
	<u>CAV</u>	<u>0</u>	<u>483,159</u>	<u>0</u>	<u>0</u>
<u>12</u>	<u>Measure 4a – Assaults on Transit Workers (new)</u>	<u>----</u>	<u>----</u>	<u>----</u>	<u>----</u>
	<u>Incline Railway</u>	<u>0</u>	<u>17,512</u>	<u>0</u>	<u>0</u>
	<u>Fixed Route</u>	<u>7</u>	<u>2,105,160</u>	<u>----</u>	<u>----</u>
	<u>CAV</u>	<u>0</u>	<u>483,159</u>	<u>----</u>	<u>----</u>
<u>13</u>	<u>Measure 4b – Rate of Assaults on Transit Workers (new)</u>	<u>----</u>	<u>----</u>	<u>----</u>	<u>----</u>
	<u>Incline Railway</u>	<u>0</u>	<u>17,512</u>	<u>----</u>	<u>----</u>
	<u>Fixed Route</u>	<u>7</u>	<u>2,105,160</u>	<u>.33</u>	<u>.32</u>
	<u>CAV</u>	<u>0</u>	<u>483,159</u>	<u>----</u>	<u>----</u>
<u>14</u>	<u>Measure 5 – System Reliability</u>	<u>----</u>	<u>----</u>	<u>----</u>	<u>----</u>
	<u>Incline Railway</u>	<u>0</u>	<u>17,512</u>	<u>0</u>	<u>0</u>
	<u>Fixed Route</u>	<u>139</u>	<u>2,105,160</u>	<u>15145</u>	<u>15902</u>
	<u>CAV</u>	<u>34</u>	<u>483,159</u>	<u>14210</u>	<u>14920</u>

IIJA Committee – Performance Targets Approval:

Approved by Agency IIJA Safety Committee on:

Date:

IIJA Committee Designated Signatory



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*NOTE: CARTA has done a full review of their NTD data entry and made revisions. The current targets are based on **FY2024** 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 **Chief Safety Officer (CSO)** 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**.



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Table 6



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Table 33 As processes are changed to fully implement SMS or new processes are developed, CARTA will track those changes for use in the annual review.



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Table 3 - ASP Review Schedule

Milestone	Schedule
PTASP Initial Certification	July 20, 2020
Annual Revisions to TDOT	December 31 st
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 Chief Safety Officer (CSO) also known as Director of Safety and Training (DOST) who functions as the CARTA SMS Executive by appointment of the Chief Executive Officer. The CSO reports directly to the Chief Executive Officer per the requirements of 49 CFR Part 673.23 (d)(2).

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

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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:

- Executive Level Management (Directors)
- Technical Management (Managers, Coordinators, Analysts, Dispatchers, Supervisors, CSR, Accounting)
- 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

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.



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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 CSO.

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 CSO.

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.

Chief Safety Officer (CSO)

CARTA's CSO reports to the Accountable Executive. The CSO serves as the Executive-level Subject Matter Expert (SME) in SMS. The CSO 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 CSO will identify, assess, document, and monitor risk agency-wide, and assist departments in identifying and understanding risk.

The CSO 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



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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 CSSO's guidance, department heads are responsible to ensure that hazards are identified, analyzed, properly mitigated, and documented.

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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.



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2.1 Hazard Identification

All employees and contractors are required to identify, report, and work with CSO and key departmental directors to identify methods to mitigate hazards as appropriate. CSO 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.
- CARTA works in coordination and cooperation with TDOT and the FTA to identify risk through ongoing quarterly inspections, monthly conference calls, the development of Risk Based Inspection (RBI), as well as an open line of communication with the State Safety Oversight Officer. RBI is a data driven approach to safety risk management which is currently under development and will be implemented as part of the CARTA ASP FY2025.

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.



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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 CSO. The department investigates the report with the CSO 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.



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Table 4 – 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 5 – 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.

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Table 6 - Risk Safety Index

Severity	Catastrophic 1	Critical 2	Marginal 3	Negligible 4
Probability				
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.



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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 CSO 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 CSO 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.

49 CFR PART 674.37 – CORRECTIVE ACTION PLANS

- (a) In any instance in which an RTA must develop and carry out a CAP, the SSOA must review and approve the CAP before the RTA carries out the plan; however, an exception may be made for



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immediate or emergency corrective actions that must be taken to ensure immediate safety, provided that the SSOA has been given timely notification, and the SSOA provides subsequent review and approval. A CAP must describe, specifically, the actions the RTA 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. The RTA must periodically report to the SSOA on its progress in carrying out the CAP. The SSOA may monitor the RTA's progress in carrying out the CAP through unannounced, on-site inspections, or any other means the SSOA deems necessary or appropriate.

(b) In any instance in which a safety event on the RTA's rail fixed guideway public transportation system is the subject of an investigation by the NTSB, the SSOA must evaluate whether the findings or recommendations by the NTSB require a CAP by the RTA, and if so, the SSOA must order the RTA to develop and carry out a CAP.

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



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- 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 CSO 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 CSO/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



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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 CSO'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 CSO, 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 CSO.

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)



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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).



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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 CSO will assure that all CARTA employees identified as critical to the investigation will fully cooperate in any investigation, regardless of which agency conducts it.

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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 CSO 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 CSO for consistency with the adopted safety plan.

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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 CSO for consistency with the adopted safety plan, and implemented in the approved time frame by the owners.

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As relates to the Incline Railway, the Director of the LMIR and/or the CSO 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 CSO for consistency with the adopted safety plan, submitted to the SSO for approval, and implemented in the approved time frame by the owners.

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The CSO 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.

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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 CSO 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.

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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.



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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 notify the NTSB in accordance with 49 CFR Part 840.3 as well as the FRA as applicable.

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.

Events

Accidents	Incidents	Occurrences
<i>An Event that involves any of the following:</i> <ul style="list-style-type: none">- a loss of life;- a report of a serious injury to a person;- a collision involving a rail transit vehicle;- a runaway train;- an evacuation for life safety reasons; or- any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.	<i>An Event that involves any of the following:</i> <ul style="list-style-type: none">- a personal injury that is not a serious injury;- one or more injuries requiring medical transport; or- damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a rail transit agency.	<i>An Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a rail transit agency.</i>



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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 CSO, and implements mitigations so that risk is managed to acceptable levels during and after the change.

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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



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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 **CSO** 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



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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.



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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



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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).



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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
<u>CSO</u>	<u>Chief Safety Officer</u>
<u>DOST</u>	<u>Director of Safety and Training</u>
DR	Demand Response
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

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Appendix B – List of Tables

Table 1 –Safety Performance

Table 2 - Safety Performance Targets

Table 3 – ASP Review Schedule

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Table 2 – Fatality Rate SPT by Mode 11¶

Table 3 – Injury Rate SPT by Mode 11¶

Table 4 – Safety Event Rate SPT by Mode 12¶

Table 5 – System Reliability SPT by Mode 12¶

Table 6 - ASP Review Schedule 13¶

Table 7 – Severity Criteria, Risk Safety

Assessment 17¶

Table 8 – Likelihood Criteria – Risk Safety

Assessment 18¶

Table 9 - Risk Safety Index 18¶

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Table 4 - Severity Criteria, Risk Safety Assessment

Table 5 - Likelihood Criteria - Risk Safety Assessment

Table 6 - Risk Safety Index



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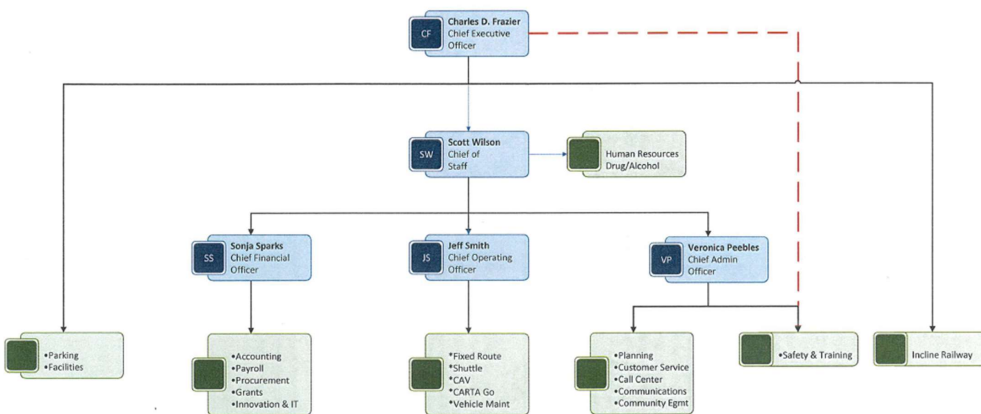
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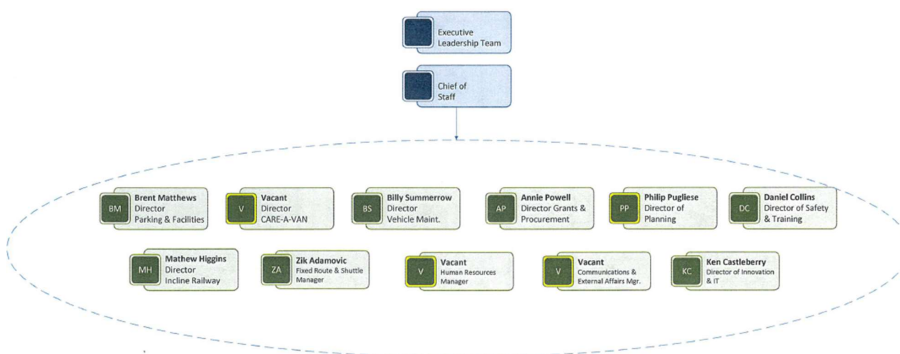
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Appendix C - Organizational Chart

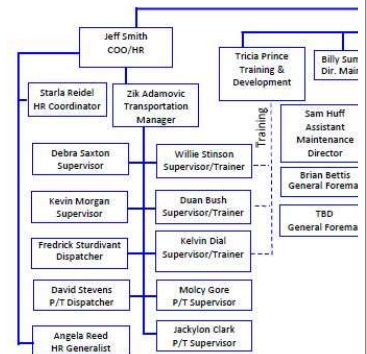
Executive Leadership Team (Phase 1)



Management Leadership Team



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Appendix D – Related SOP and Other Referenced Documents

SOP 01-004 - Operator Assault

IIJA Safety Committee Charter

Infectious Disease Control Plan

Emergency Preparedness Plan (EPP)

09-007 Roadway Worker Protection (LMIR)

Risk Reduction Measures – Vehicular and Pedestrian (in development)

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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.



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Appendix F – Definition of Terms

Accountable Executive (typically the highest executive in the agency): A single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a transit agency; responsibility for carrying out the transit agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the 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.

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

Chief Safety Officer (CSO): means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer 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.

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

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.

Direct Recipient: Means an entity that receives Federal financial assistance directly from the Federal Transit Administration.

Emergency: As defined under 49 U.S.C. 5324, a natural disaster affecting a wide area (such as a flood, hurricane, tidal wave, earthquake, severe storm, or landslide) or a catastrophic failure from any external cause, as a result of which the Governor of a State has declared an emergency and the Secretary has concurred; or the President has declared a major disaster under section 401 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5170).

Equivalent entity: 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.



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

FTA: means the Federal Transit Administration, and operating administration within the United States Department of Transportation.

Hazard: means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Injury: means any harm to persons as a result of an event that requires immediate medical attention away from the scene.

Investigation: the process of determining the causal and contributing factors of a safety event or hazard, for the purpose of preventing recurrence and mitigating safety risk.

Joint labor-management process: means a formal approach to discuss topics affecting transit workers and the public transportation system.

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.

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

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.

Near-miss: means a narrowly avoided safety event.

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

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.

Potential Consequence: means the effect of a hazard.

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



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



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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: as defined under 79 U.S.C. 5302, regular, continuing shared-ride surface transportation service that are open to the general public or open to a segment of the general public defined by age, disability, or low income; and does not include:

- (1) Intercity passenger rail transportation provided by the entity described in 49 U.S.C. chapter 243 (or a successor to such entity);
- (2) Intercity bus service;
- (3) Charter bus service;
- (4) School bus service;
- (5) Sightseeing service;
- (6) Courtesy shuttle service for patrons of one or more specific establishments; or
- (7) Intra-terminal or intra-facility shuttle services.

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.

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

Rail transit agency: means any entity that provides services on a rail fixed guideway public transportation system.

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

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

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

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

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



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

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

Safety Management System (SMS) Executive: a Chief Safety Officer 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): means a quantifiable level of performance or condition, expressed as a value for a given performance measure, related to safety management activities, to be achieved within a specified time.

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

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

Safety Risk Management (SRM): a process within a transit agency's Public Transportation Agency Safety Plan for identifying hazards, analyzing, assessing, and mitigating safety risk of their potential consequences.

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

Safety 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.

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



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

State: 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.

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

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

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

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

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

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

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.



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Changes Made 2023 to 2024

Safety Management Policy updated to reflect Accountable Executive responsibility

IIJA committee signing authority signature line added to ASP

New FTA performance measures added [Table 1]

Safety Performance Targets added [Table 2]

CAP language added to 2.3 – ref CFR 674.37

Risk identification resources updated

Table Titles update to reflect data shifting

Additional reporting agencies added NTSB / FRA

Organizational Chart Updated with available as of 8/2024

EPP plan title changed in plan to reflect actual title of document

Signatory Line Added to performance measures for IIJA

DOSS title changed throughout document to Chief Safety Officer (CSO) to reflect TDOT guidance 9/2024

Definitions updated per FTA

TO: CARTA Board of Directors

FROM: Annie Powell
Director of Grants & Procurement

SUBJECT: Approval of Resolutions 607 and 608

RECOMMENDED ACTION

Staff recommends that the Board approve Resolutions 607 and 608, grant applications through Public Entity Partners (PEP), for the James L. Richardson Driver Grant and the Property Conservation Grant, respectively.

ALIGNMENT WITH STRATEGIC GOALS

This action aligns with CARTA's strategic imperatives of Fiscal Accountability and Compliance.

SUMMARY OF NEED

Approval of this item will allow CARTA to apply for Property Entity Partners James L. Richardson Driver Training Grant and the Property Conservation Grant.

BACKGROUND AND HISTORY

CARTA recently applied for funds from Public Entity Partners Property Conservation Grant and also intends to apply for funds from the James L. Richardson Grant. Both of these grants require the submittal of a Board resolution authorizing the grant application and commitment of the 50% matching funds. For the Property Conservation Grant CARTA applied for emergency lighting upgrades at six facilities in the amount of \$5,995 (50% to be reimbursed by PEP. Eligible projects for the James L. Richardson Driver Training Grant are instructor led training, DVD training, backup camera and alarms, GPS tracking systems, alert systems to administrators, and Motor Vehicle Record checks. CARTA is finalizing what will be applied for. Grants are due by October 25.

PROCUREMENT OVERVIEW

N/A

FISCAL IMPACT

CARTA is eligible to request reimbursement for up to \$5,000 for each grant program.

DBE PARTICIPATION

N/A

RESOLUTION NO. 608

**A RESOLUTION AUTHORIZING THE CHATTANOOGA AREA REGIONAL
TRANSPORTATION AUTHORITY (CARTA) TO PARTICIPATE IN THE PROPERTY
CONSERVATION MATCHING GRANT PROGRAM**

WHEREAS, CARTA has been entrusted with the care and custody of property; and

WHEREAS, all efforts shall be made to protect CARTA-owned property from various perils that may arise; and

WHEREAS, Public Entity Partners seeks to encourage members with property coverage to develop and implement a property conservation program by offering **the PROPERTY CONSERVATION MATCHING GRANT PROGRAM**; and

WHEREAS, CARTA now seeks to participate in this important program.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF DIRECTORS OF THE CHATTANOOGA AREA REGIONAL TRANSPORTATION AUTHORITY (CARTA), the following:

SECTION 1. That CARTA is hereby authorized to submit application for **the PROPERTY CONSERVATION MATCHING GRANT PROGRAM** through the Loss Control Department of Public Entity Partners.

SECTION 2. That CARTA is further authorized to provide a matching sum for any monies provided by this grant.

Resolved this 17th day of October in the year 2024.
ADOPTED:

October 17, 2024
Date

Johan de Nysschen, Chairman

ATTEST:

Arcie D. Reeves, Secretary

APPROVED AS TO FORM AND LEGALITY:

Miller & Martin
CARTA Legal Counsel

RESOLUTION NO. 607

**A RESOLUTION AUTHORIZING THE CHATTANOOGA AREA REGIONAL
TRANSPORTATION AUTHORITY (CARTA) TO PARTICIPATE IN THE JAMES L.
RICHARDSON “DRIVER TRAINING” MATCHING GRANT PROGRAM**

WHEREAS, the safety and well-being of the employees of CARTA is of the greatest importance; and

WHEREAS, all efforts shall be made to provide a safe and hazard-free workplace for CARTA employees; and

WHEREAS, Public Entity Partners seeks to encourage the establishment of a safe workplace by offering a “Driver Training” Matching Grant Program; and

WHEREAS, CARTA now seeks to participate in this important program.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF DIRECTORS OF THE CHATTANOOGA AREA REGIONAL TRANSPORTATION AUTHORITY (CARTA), the following:

SECTION 1. That CARTA is hereby authorized to submit application for a “Driver Training” Matching Grant Program through Public Entity Partners.

SECTION 2. That CARTA is further authorized to provide a matching sum for any monies provided by this grant.

Resolved this 17th day of October in the year 2024.

ADOPTED:

October 17, 2024

Date

Johan de Nysschen, Chairman

ATTEST:

Arcie D. Reeves, Secretary

APPROVED AS TO FORM AND LEGALITY:

Miller & Martin
CARTA Legal Counsel

TO: CARTA Board of Directors

FROM: Annie Powell
Director of Grants & Procurement

SUBJECT: Mobile Ticketing Pilot

RECOMMENDED ACTION

N/A Information Only

HIGHLIGHTS, ANALYSIS AND CONCLUSIONS

CARTA will enter into a one-year mobile ticketing pilot with Token Transit, tying in with CARTA's FY2025 focus areas of Information Technology – improving the use of technology resources – and Customer Service – improving the customer experience.

This short-term pilot will offer CARTA riders access to another method of payment as staff complete Title VI analysis and community engagement for the replacement or removal of fareboxes on board CARTA buses. CARTA riders will be able to purchase mobile tickets for fixed route, CARTA Go, and Care-A-Van services. CARTA has discussed integration with Cash App with Token Transit and intends to include this in the mobile ticketing pilot deployment. CARTA expects to be able to implement this offering in November and will work with Token Transit on developing training and customer engagement materials.

Costs are estimated at approximately \$26,000 for the first year, assuming a rider adoption rate of 15%. There is an onboarding fee of \$2,500 and an ongoing annual fee of \$2,500. Integration with Cash App is estimated at \$10,000. CARTA will be charged based on use of mobile ticketing by riders. Fees include 10% of the gross total transaction proceeds for any transactions \$2.00 and greater, and 0.06 + 7% of the gross total transaction proceeds for any transactions less than \$2.00. CARTA riders will set up accounts with payment information.

Once a ticket is activated, a visible timer shows on the rider's cell phone. CARTA's drivers are responsible for ensuring that the timer is showing appropriately and counting the rider through CARTA's farebox.