2817 Canal Street
New Orleans, LA 70119

New Orleans Regional Transit Authority
Board of Commissioners
Meeting Agenda - Final-Revised

Tuesday, January 23, 2024	**10:00 AM**	**RTA Board Room**

The New Orleans Regional Transit Authority (RTA) hereby declares that, in accordance with La. R.S. 42:17.1 (A)(2)(a)-(c), a meeting will be held in person on Tuesday, January 23, 2024 at 10:00 a.m. Meetings start at the scheduled time, but may be delayed until a quorum of the Commissioners is present. The agency's website will stream the in-person meeting live, and wearing masks in the boardroom is optional.

Written comments on any matter included on the agenda will be accepted in the following ways: 1) Submission of a Speaker Card on meeting day; 2) Electronically by email sent to: rtaboard@rtaforward.org prior to the meeting; or 3) By U.S. Mail send to 2817 Canal Street, Attention: Office of Board Affairs, New Orleans, LA 70119.

This meeting is accessible to persons with disabilities. To help assure availability, modifications or accommodations linked to a disability must be requested 72 hours before the meeting or hearing. Please direct requests for public meeting accommodations to the Office of Board Affairs, 2817 Canal Street, NOLA 70119, or call 504-827-8341 or by email (rtaboard@rtaforward.org).

1. Call to Order

2. Roll Call

3. Consideration of Meeting Minutes

[Board of Commissioners Meeting Minutes - December 12, 2023]   **24-007**

4. Reports

A. RTA Chairman's Report

B. Operations & Administration Committee Chairman's Report

C. Finance Committee Chairman's Report

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D. Jefferson Parish Report

E. RTA General Counsel's Report

F. RTA Chief Executive Officer's Report

G. Chief of Staff Legislative Update

H. Operations Update

I. RTA Chief Financial Officer's Report

5. Consent Agenda

Amendment to RTA Work Policy SAF-5 Safety Committee Structure   **23-221**

6. Authorizations

Non-proprietary Bus Parts   **23-180**

Dell Technologies Apex Contract Award   **23-214**

RTA NeoGov Contract Renewal   **23-215**

5-Year Capital Investment Program 2024-2028   **23-216**

FY 2024 All Stations Accessibility Program Grant Application   **23-220**

2024 Agency Safety Plan   **23-217**

7. New Business (UNANIMOUS VOTE REQUIRED TO CONSIDER)

8. Audience Questions and Comments

9. Executive Session (2/3RDS VOTE TO Consider)

Personnel Matters

BRC Construction Group Contract

10 Rescission of Board Resolution 23-060

[BRC Rescission Resolution]   **23-218**

11. Introduction of Board Resolution 24-001

[Board Resolution 24-006]   **24-006**

12. Adjournment

File #: 24-007   **Board of Commissioners**

[Board of Commissioners Meeting Minutes - December 12, 2023]

2817 Canal Street
New Orleans, LA 70119

New Orleans Regional Transit Authority
Board of Commissioners
Meeting Minutes

| Tuesday, December 12, 2023 | 10:00 AM | RTA Board Room |

2. Roll Call

3. Consideration of Meeting Minutes

Commissioner Coulon moved, and Commissioner DeFrancesch seconded to approve the Meeting Minutes from November 28, 2023. The motion was approved unanimously.

approved

[Board of Commissioner Meeting - November 28, 2023]   **23-210**

4. Reports

A. RTA Chairman's Report

Commissioner Raymond stated that at the Business Meeting the RTA honored 3 employees of the year and the employee of the month need to transition to this same forum.

B. Operations & Administration Committee Chairman's Report

Commissioner Neal stated that at the Operations and Administration Meeting a presentation was given on RTA's Communications and Marketing Plan.

C. Finance Committee Chairman's Report

No Report.

D. Jefferson Parish Report

No Report.

E. RTA General Counsel's Report

No Report.

5. Selection of Official Journal

Commissioner Neal moved and Commissioner Sams seconded to adopt The Advocate as the Official Journal. Resolution 23-083 was adopted unanimously.

adopted

[Selection of Official Journal]   **23-211**

Enactment No: 23-083

6. Election of Officers

A. Chairperson

Commissioner Walton moved and Commissioner Coulon seconded to nominate Mark Raymond as Chairman of the Board. The motion was adopted unanimously.

approved

B. Vice Chairperson

Commissioner Raymond moved and Commissioner Ewell seconded to nominate Art Walton as Vice Chairperson of the Board. The motion was adopted unanimously.

approved

C. Committee Assignments

Commissioner Neal moved and Commissioner DeFrancesch seconded to approve the Committee Assignments. The Committee Assignments stayed the same and the motion was approved unanimously.

approved

7. RTA Chief Executive Officer's Report

Lona Hankins reported the following employees of the year:
Dwane Tillis - Operator
Harold Parker - Maintenance
Floyd Hurts - Administrative

Commissioner DeFrancesch thanked the employees for their service.

8. RTA Chief Financial Officer's Report

Gizelle Banks reported on the Financial Officer's Report. This report can be found in the PowerPoint dated December 12, 203 under the RTA's Chief Financial Officer's Report.

[October 2023 Financials]   **23-212**

9. CY 2024 Operating & Capital Budget Report

Gizelle Banks reported on the CY2024 Operating & Capital Budget Report. This report can be found in the PowerPoint dated December 12, 2023, under the RTA's CY2024 Operating & Capital Budget Report.

In response to Commissioner DeFrancesch, Gizelle Banks stated that the Bus Shelters are 100% Local Funding and was included in the Capital Budget.

Commissioner Ewell moved and Commissioner DeFrancesch seconded to adopt the CY2024 Operating & Capital Budget. Resolution 23-095 was adopted unanimously.

adopted

RTA CY2024 Operating and Capital Budget   **23-200**

Enactment No: 23-098

10. Operations Update

Chris Clark reported on the Operation Update. This report can be found in the PowerPoint Presentation dated December 12, 2023, under the Operations Update.

11. Consent Agenda

adopted

Amendment to the Drug and Alcohol Policy (HC23)   **23-175**

Commissioner Coulon moved and Commissioner Sams seconded to adopt the Amendment to the Drug and Alcohol Policy (HC23). Resolution No. 23-085 was adopted unanimously.

Enactment No: 23-085

Boardroom and Conference Room Use Policy (GEN5)   **23-196**

Commissioner Coulon moved and Commissioner Neal seconded to adopt the Boardroom and Conference Room Use Policy (GEN5). Resolution 23-086 was adopted unanimously.

Enactment No: 23-086

12. Procurements

A. Authorizations:

Licensing Agreement with Mignon Faget   **23-179**

Commissioner Neal stated that a memo was sent to the Commissioners

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addressing all the Commissioners outstanding issues.

Commissioner Sams moved and Commissioner Neal seconded to adopt the Licensing Agreement with Mignon Faget. Resolution No. 23-087 was adopted unanimously.

adopted as amended

Enactment No: 23-087

Purchase of Ford Paratransit Vans   **23-190**

Commissioner Coulon moved and Commissioner DeFrancesch seconded to adopt the Purchase of Ford Paratransit Vehicles. Resolution No. 23-088 was adopted unanimously.

adopted

Enactment No: 23-088

Purchase of Cab and Chassis Ford F-350 Trucks   **23-198**

Commissioner Coulon moved and Commissioner DeFrancesch seconded to adopt the Purchase of Cab and Chassis Ford F-350 Trucks. Resolution No. 23-089 was adopted unanimously.

adopted

Enactment No: 23-089

Contract Award for Human Resource Services   **23-199**

Commissioner Ewell moved and Commissioner DeFrancesch seconded to adopt the Contract Award for Human Resource Services. Resolution No. 23-090 was adopted unanimously.

adopted

Enactment No: 23-090

Cooperative Endeavor Agreement (CEA) Between the   **23-201**
State of Louisiana (State) and the Regional Transit
Authority (RTA)

Commissioner Coulon moved and Commissioner Neal seconded to adopt the CEA Between the State of Louisiana (State) and the Regional Transit Authority (RTA). Resolution No. 23-091 was adopted unanimously.

adopted

Enactment No: 23-091

B. Amendments:

Napoleon Facility Rehabilitation Amendment to CDW   **23-181**
Services Contract (Builder's Risk Insurance)

Commissioner Coulon moved and Commissioner Neal seconded to adopt the amendment for the Napoleon Facility Rehabilitation Amendment to CDW Services Contract (Builder's Risk Insurance). Resolution No. 23-092 was adopted unanimously.

adopted

Enactment No: 23-092

Napoleon Facility Rehabilitation Amendment Request to   **23-182**
CDW Services Contract (Lead Paint Abatement)

In response to Commissioner Walton, Lona Hankins reported that during the abatement an assumption was made on how much lead would be found in this project and more lead was found then what was allotted, and all lead was removed.

Lona Hankins reported that a Real Estate Agent will be hired to help the RTA figure out what would be the best use for the building.

Commissioner Ewell moved and Commissioner Sams seconded to adopt the Napoleon Facility Rehabilitation Amendment Request to CDW Services Contract (Lead Paint Abatement). Resolution No. 23-093 was adopted unanimously.

adopted

Enactment No: 23-093

Napoleon Facility Rehabilitation Amendment Request to   **23-183**
Landmark Consulting Contract

Sundiata Haley stated that Landmark has been the contractor on record since the beginning of the project and this project should be finished by the end of the year and through each administration the use of the building has changed, and Landmark has delivered plans for each change.

Commissioner Ewell stated that change orders for this project has added up to $540,000 and staff still do not know what they are going to do with the building.

Lona Hankins reported that the RTA responsibility was to make the building warm, safe, and dry.

In response to Commissioner DeFrancesch, Sundiata Haley stated that the work initially started before Hurricane Katrina and the original contract was $2.2M and now the contract is $5.3M and Landmark has been the contractor since the beginning.

Commissioner Neal stated that the Board should focus on what should be done with the Napoleon Facility.

Commissioner Raymond stated that he would like to see this project move forward.

Commissioner Walton stated that this building is an asset to the RTA.

Commissioner Ewell stated that this building does not have a purpose and the RTA will spend more money trying to figure out what to do with the building.

Commissioner DeFrancesch stated that she doesn't want this building to turn into a bottomless pit.

Commissioner Neal moved and Commissioner Walton seconded to adopt the Napoleon Facility Rehabilitation Amendment Request to Landmark Consulting Contract. Resolution No. 23-091 was adopted after 5 yeas 2 abstain and 1 absent.

adopted
<div align="center">Enactment No: 23-094</div>

Janitorial Contract Extension   **23-188**

In response to Commissioner Coulon, Lona Hankins stated that while attending the APTA Annual Conference, Gizelle Banks got the necessary documents needed to help with bid solicitations.

Commissioner Walton moved and Commissioner Coulon seconded to adopt the Janitorial Contract Extension. Resolution No. 23-095 was adopted unanimously.
adopted
<div align="center">Enactment No: 23-095</div>

Clever Devices Maintenance Agreement Renewal   **23-192**

Commissioner Sams moved and Commissioner DeFrancesch seconded to adopt the Clever Devices Maintenance Agreement Renewal. Resolution No. 23-096 was adopted unanimously.

adopted
<div align="center">Enactment No: 23-096</div>

Canon Printer Support Contract Renewal   **23-193**

Commissioner Coulon moved and Commissioner Ewell seconded to adopt the Canon Printer Support Contract Renewal. Resolution No. 23-097 was adopted unanimously.

adopted

<div align="center">Enactment No: 23-097</div>

13. New Business (UNANIMOUS VOTE REQUIRED TO CONSIDER)

None

14. Audience Questions and Comments

Alan Drake - Due to the cut-backs in bus service the operators should start collecting a matrix to see if passengers are standing more than 7 minutes on a bus, if so, the RTA will start to loss ridership and the second matrix is to see how many people are refused service because the buses are crowded. He also stated that the RTA should move from Schedule Service to Modified Headway Service on the St. Claude and St. Charles routes.

Jackson Kimbrel - Ferry Service is a vital service for the passengers in Algiers and limiting the service hours will affect many passengers.

Jim Goodman - He thought that the Ferry Budget was good for FY2024. The reduction in the ferry hours would affect a lot of working people and school kids and business in Algiers will be effected.

Leigh D'Angelo - Is a ferry rider and her husband takes the ferry to work every day. The new business in Algiers will suffer with the ferry cut-backs.

David Bruce - He is a veteran and many people in his neighborhood uses the ferry to get to and from work and doctor's appointment and by cutting the ferry hours people will not be able to get where they need to go.

Kory Dupree - He stated that the service is bad, and the operators are getting mentally and physically abused. A bus line that usually have 3-4 buses on the line will be reduced to 1 bus and the wait time will be an hour and half and the buses are still late and the passengers are still complaining. When the new service reduction is implemented will the RTA have the adequate buses needed to meet the time schedule? Has anyone asked other agencies for buses? Staff need to be more creative, than just cutting service.

Kory Dupree stated that some operators still have not received their differential pay.

Commissioner DeFrancesch stated that it was unfair for the operators to be attacked by passengers.

In response to DeFrancesch, Kory Dupree stated that all passengers are frustrated with the service.

Brenda Holmes - Why has the #80 Bus Route stop been removed from Chef Menteur by the Daiquiri Shop and the passengers need this bus stop back. The #80 Bus Route need to be extended to the main library.   They are issues with the passengers and the operators, and

this particular operator was driving the bus very crazy and was not letting the passengers off at their designated bus stops.

Mitch Guidry -   Has 42 years of transit experience and was the Director of Scheduling and during his time the RTA had 70 bus routes. The ridership before Katrina was 34M and after Katrina staff build up ridership to 20M and now the RTA has 10M riders. When New Links was implemented with 99 buses the RTA needed a total of 120 vehicles and currently the RTA are 50 buses down and don't have the 99 buses needed to run the current service and the RTA is currently only running 72 buses.

Mitch Guidry stated that the system needs to be saved and put back on track and the RTA is only collecting 60% of the data from the fareboxes and the current bus routes are too long and have a lot of duplicates in service.

In response to Commissioner Coulon, Mitch Guidry stated that the RTA has a lot of duplication in service and the RTA now has hubs. The only hub that the RTA had was on Canal Street. All the buses need to go to Canal Street and turn around and go back out. Staff need to collect the data from the GFI Fareboxes. The fareboxes gives you data to where the seniors are riding, where the passes are being used, and where the passengers are using transfers. The APC only gives you on and off counts. The system needs to be redesigned.

Daren Martin - He lives in Algiers and enjoys riding the ferry. Many of his neighbors ride the ferry and the cutback will impact their ability to make money because they will have no other way to get to work.

Shirani Jayasunya - Ride passed out passenger's surveys. The Paratransit dispatch was not communicating with the operators.

Commissioner Raymond stated that the RTA was seeking ferry funding from the City of New Orleans.

15. Executive Session (2/3RDS VOTE TO Consider)

Commissioner Coulon moved and Commissioner Neal seconded to approve to go into Executive Session. The motion was approved unanimously.

Commissioner Neal moved and Commissioner Sams seconded to approve to come out of Executive Session.

approved

    Personnel Matters

16. Adjournment

Commissioner Neal moved and Commissioner DeFrancesch seconded to adjourn the Board of Commissioners Meeting of December 12, 2023. The motion was approved unanimously.

New Orleans Regional Transit Authority

Board Report and Staff Summary

File #: 23-221   **Board of Commissioners**

Amendment to RTA Work Policy SAF-5 Safety Committee Structure

DESCRIPTION: Authorization to Adopt RTA Work Policy As Amended (SAF-5 Safety Committee Structure)	AGENDA NO: Click or tap here to enter text.
ACTION REQUEST: ☒ Approval ☐ Review Comment ☐ Information Only ☐ Other	

RECOMMENDATION:

To authorize the Chief Executive Officer to implement an amended Safety Committee Structure Policy SAF5, which provides specifics on how the RTA manages all Safety Committees as required by the RTA's approved Agency Safety Plan (ASP).

ISSUE/BACKGROUND:

The RTA submits these changes to SAF-5 to streamline and improve the process by which Safety Committees and Subcommittees are staffed and operationalized. The RTA currently has a functional SMS Steering Committee as required by the RTA's ASP. However, improvements to the staffing and management of the RTA's SMS Subcommittees are needed.

DISCUSSION:

The following summary of changes have been made to SAF-5 for the Board's consideration:

- Changed the title of Chief Safety and Emergency Management Officer to Chief Safety, Security, and Emergency Management Officer.

- Added flexibility to subcommittee membership titles to allow for greater job title flexibility within the organization.

- Replaced Departmental Safety Committees with SMS Subcommittees, namely Fire-Life Safety, Configuration Management, and Safety and Security Certification Review.

- Referenced a Management of Change Procedure instead of a specific section of the ASP, as this procedure now exists.

- Reworded the responsibilities of the Chief Safety, Security, and Emergency Management Officer (CSSEM) when responding to hazards/risks briefed by the SMS Subcommittees and addressing hazards reported by Department Heads outside these committees.

- Added a Configuration Management Committee, as detailed in the Management of Change procedure, that will communicate hazards identified with organizational changes.

- A Safety, Security, and/or Emergency Management Director will now chair each SMS

Subcommittee, ensuring direct communication and accountability between the Subcommittee and the SMS Steering Committee chaired by the Chief Safety, Security, and Emergency Management Officer.

- The membership of the Labor Management Safety Committee (LMSC) has been adjusted to enhance flexibility.

- Elections for the LMSC will now occur within the first quarter of every odd year, instead of specifying January.

- Duties and responsibilities for the LMSC have been expanded to assist in setting targets for eight safety risk reduction measures (as reported to FTA via the National Transit Database) and to support compliance monitoring, data reporting, and analysis requirements for RTA.

- Removal of Operations Rulebook Committee: This has been restructured as a workgroup/team that is not part of RTA's safety committee hierarchy.

- Updated References: All references in the document have been updated.

FINANCIAL IMPACT:

None.

NEXT STEPS:

Upon review and approval, the Chief Safety, Security, and Emergency Management Officer will ensure this update is promulgated on the RTA's Intranet, ADP Policy Portal, and provide a copy to the LADOTD State Safety Oversight Office.

ATTACHMENTS:

1) SAF-5 Safety Committee Structure - Clean Version

2) SAF-5 Safety Committee Structure - Tracked Changes

3) Resolution

Prepared By: Craig Toomey
Title: Senior Director of Emergency Management

Reviewed By: Michael J. Smith
Title: Chief Safety, Security, and Emergency Management Officer

Reviewed By: Gizelle Banks
Title: Chief Finance Officer

Lona Edwards Hankins
Chief Executive Officer

1/5/2024

Date

Safety Committee Structure

(SAF5)

POLICY STATEMENT

The New Orleans Regional Transit Authority (RTA) is committed to developing, implementing, maintaining, and continuously improving processes to ensure that all transit service-delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards. RTA has established interdepartmental safety committees representing all departments and levels of the organization, to: assist with identifying safety deficiencies, support and validate existing Safety Management System (SMS) processes in collaboration with the Executive Leadership Team, meet federal and state requirements concerning front-line participation in SMS and in the Agency Safety Plan (ASP) approval process, and develop and maintain a robust safety culture that is committed to achieving RTA safety goals and objectives.

PURPOSE

This policy establishes roles, responsibilities, and procedures for the interdepartmental safety committee framework at RTA.

APPLICATION

The safety committee framework is designed to engage all employees at all levels of the organization in the agency's SMS, as required in Chapter 49 of the United States Code of Federal Regulations (CFR) Part 673. If a conflict occurs between this policy and a Collective Bargaining Agreement (CBA), the CBA will prevail.

ADOPTED BY:

The RTA Board of Commissioners on 1/11/2024, Resolution 23-221.

APPROVED BY:

_____
Lona Edwards Hankins
Chief Executive Officer

Effective Date: 8/24/2021
Date of Last Review: 1/11/2024

1.0 GENERAL

The agency-wide safety committee framework is comprised of executive-level, joint labor-management, and department-driven activities.

Each safety committee plays a critical role in ensuring that: all aspects of RTA's ASP are fully implemented, all federal and state requirements regarding safety committees and front-line participation in SMS are met, and the SMS performs as designed. Safety committees support the Safety Department and executive leadership in implementing measures to reduce injuries, promote and maintain safe working environments, and build a strong safety culture.

This policy also addresses other safety committees that may meet on an as-needed basis and are managed by individual departments.

2.0 PROCEDURE

2.1 SMS Steering Committee – The SMS Steering Committee is composed of executive leadership and is responsible for providing strategic direction to all departments in implementing SMS and achieving safety goals and objectives.

It also directs activities supporting Corrective Action Plans (CAPs), especially those which require interdepartmental coordination or are otherwise complex in scope, in accordance with the ASP and State Safety Oversight (SSO) requirements.

It also advises the Chief Safety, Security, and Emergency Management Officer (CSSEM) on any necessary revisions to the RTA Safety Management Policy (SAF3) as required in both the annual ASP Revision Standard Operating Procedure (SOP) and the "Creation of Policy" Policy (HC49).

2.1.1 Membership

The Executive Leadership Team comprises the regular membership roster of the SMS Steering Committee. Regular subcommittee members may include other positions based on their duties, as designated by the Chief Safety, Security, and Emergency Management Officer.

Other staff are welcome to participate in meetings but not in any formal approval capacity. For the SMS Steering Committee only, formal approval is documentation of consensus having been reached by SMS Steering Committee members whether during a meeting or otherwise. A "vote" may or may not apply to an action requiring consensus.

2.1.2 Meeting Frequency

The committee meets once quarterly. The chair will determine an appropriate schedule and will coordinate with each member to ensure full participation.

2.1.3 Duties and Responsibilities

The committee functions as the executive-level, cross-departmental unit empowered to lead RTA in its safety risk management efforts and implementation of SMS. At the direction of the chair, the SMS Steering Committee:

- Reviews accidents and incidents that involve fatalities or serious injuries, as well as other events, near-misses, and reported hazards as deemed necessary by the committee.
- Ensures the Safety Risk Management and Safety Assurance processes are functioning as described in the ASP with full participation of all departments.
- Reviews, directs, oversees, and collaborates on hazard identification and analysis, risk assessment, CAPs, and the development and implementation of safety risk mitigations;
- Receives briefings from, provides directions to, and coordinates with the Labor-Management Safety Committee (LMSC), and other SMS subcommittees (Fire-Life Safety, Configuration Management, and Safety Security Certification Review).
- Reviews results/findings from audits, inspections, reviews, and other Safety Assurance activities to identify and address systemic issues or emerging trends.
- Verifies that system safety is considered and incorporated in any new or modified systems, programs, or projects, as required by the ASP, specifically, the Management of Change procedure.
- Reviews and updates the Safety Management Policy (SAF3) in coordination with the CSSEM; and
- Reviews, edits, and approves the ASP annually, or otherwise as revisions are required, in accordance with the ASP Revision SOP.

SMS Steering Committee members advise their respective direct reports or other staff and coordinate with one another, as needed.

The chair shall ensure that an agenda is prepared and distributed at least 48 hours in advance of quarterly meetings.

Reasonable advance notice shall be given to employees who may be interested in attending. Meeting information, agendas, and the previous meeting's minutes (as

appropriate) will be published on the company intranet site and are also available by request from the CSSEM. Meeting dates may also be announced in internal communications such as the Safety Newsletter.

The chair may establish sub-committees or working groups focused on specific tasks, as necessary.

The chair shall ensure that meeting minutes are available for review by any member upon request.

The SMS Steering Committee follows a clear protocol for managing safety risks and responding to hazards. When a hazard is reported to the SMS Committee by a subcommittee like the LSMC, FLSC, CMC, or SSCRC, the CSSEM ensures that updates or actions taken are directly communicated back to the chair of the respective subcommittee. This approach ensures effective hazard mitigation and maintains focus. For transparency and record-keeping, the CSSEM also systematically documents these updates in the meeting minutes.

The SMS Steering Committee effectively tracks and communicates about safety hazards. If a hazard is identified by the LMSC, the CSSEM will provide an update at the next LMSC meeting and include it in the meeting minutes. Also, if a Department Head reports a hazard through the CSSEM, the CSSEM will directly inform the Department Head of any updates. This ensures clear communication and engagement in managing safety risks both within the Committee and with external Department Heads.

2.1.3.1 Coordination with LMSC and SMS Subcommittees

At the discretion of the chair, members who serve as either SMS subcommittee chairs or LMSC co-chairs shall provide a brief status report for their respective committee(s), detailing:

- Hazards/concerns discussed at their most recent meeting.
- Hazards or mitigations that require either SMS Steering Committee or CSSEM. review (per the Safety Risk Management Section of the ASP).
- Recent activities as outlined in respective responsibilities sections in this policy.
- Other updates relevant to SMS implementation that are not otherwise addressed in the meeting.

Alternatively, the SMS Steering Committee may invite SMS subcommittee chairs and/or LMSC co-chairs who are not members, to provide a status report during the meeting.

Alternatively, the SMS Steering Committee may request a written status report

covering the above topics from either an SMS subcommittee chair or the LMSC in advance of the quarterly meeting, for the Committee's review.

In all cases, the status report will be recorded in the meeting minutes.

2.1.3.2 Management of Change Responsibilities

Among the key responsibilities of the SMS Steering Committee is to ensure the agency's conformance with all procedures related to Management of Change, including but not limited to the Management of Change section of the ASP and Management of Change Procedure. Members of a Configuration Management Committee verify that system safety is considered and incorporated in any new or modified systems, programs, or projects that span multiple safety-critical areas or functions, such as: shared procedures, training programs, new contracted services, cross-functional Information Technology systems, changes to revenue service fleets, and delivery of capital projects.

Each member is responsible for identifying qualifying systems, programs, or projects in their respective area(s) and coordinating with the CSSEM and SMS Steering Committee members to assess whether the related change results in any increase of safety risk that is considered "unacceptable" per the ASP. If safety risk is determined to be elevated as a direct consequence of the change, the SMS Steering Committee must jointly develop, implement, review, track, and oversee corresponding mitigations, in close coordination with the CSSEM and in accordance with the Management of Change procedures referenced in the ASP. The mitigation monitoring processes must be recorded in sufficient detail in the meeting minutes.

In the event a risk mitigation for a qualifying system, program, or project cannot be implemented by the SMS Steering Committee to maintain or reduce safety risk to a level lower than "unacceptable," the matter will then be elevated to the full Executive Leadership Team as soon as practicable for final disposition. The final results are recorded by the Safety Department.

2.2 SMS Subcommittees

Each SMS Subcommittee exists to focus on key aspects of critical safety, security, and emergency management areas of the RTA, which will then report the results of each subcommittee meeting to the CCSEM.

2.2.0   SMS Subcommittee Membership

Each SMS Subcommittee will be chaired by a Director assigned to the Safety, Security, and Emergency Management (SSEM) Department and co-chaired by a Director outside of the SSEM department. This will ensure that each SMS Subcommittee and its work is

managed under the requirements of the ASP and applicable policies, plans, and procedures for the committee. Additionally, the CSSEM has a direct line of communication with each Director serving on each SMS Subcommittee to receive updates to provide the SMS Steering Committee and ELT.

2.2.1 Meeting Frequency

SMS Subcommittee meetings should be convened on an appropriate frequency based on local/department needs and the safety criticality of agenda items to be discussed, but not less than quarterly.

2.2.2 Duties and Responsibilities

The SMS Subcommittee chairs are responsible for setting and distributing meeting agendas, keeping minutes, leading meetings, and providing copies of all meeting materials to senior leadership (as applicable) and to the Safety Department for their records.

Agendas should be distributed to employees and contractors at least seven (7) days in advance of each meeting.

The SMS Subcommittee is responsible for identifying, assessing, reviewing, and elevating hazards to the SMS Steering Committee's attention (as appropriate). In addition, any system changes that may have a potential impact on system safety should also be elevated to the SMS Steering Committee.

Employees and contractors are encouraged to report any safety issue or hazard to either their respective SMS Subcommittee chair or any representative of the LMSC. All hazards that are discussed in SMS subcommittee meetings shall be added to the department's hazard log and routed to the Safety Department in a timely manner, consistent with the ASP and/or departmental hazard management SOPs.

If any agenda item or hazard to be discussed in the SMS Subcommittee meets any reporting thresholds dictated by the SSO's Program Standard and Procedures, the CSSEM will be responsible for notifying the SSO as early as practicable.

2.3 Labor-Management Safety Committee (LMSC)

The LMSC consists of equal representation of front-line employees and non-represented management in accordance with federal requirements (49 U.S.C. Section 5329(d) as amended by the Bipartisan Infrastructure Law).

The advantage of a joint committee is that the in-depth practical knowledge of specific tasks which front-line staff possess is brought together with the strategic direction and

knowledge of company policies and procedures that reside with management. Another significant benefit is the enhancement of cooperation among all parts of the workforce toward identifying and resolving occupational health and safety concerns.

2.3.3 Membership

The official LMSC roster ensures an equal representation of front-line personnel and RTA management and complies with federal requirements related to labor-management safety committees:

- Labor representatives (6)
    - Amalgamated Transit Union (ATU) Local 1560 President
    - ATU Local 1560 Vice President
    - ATU Local 1560 Representative to be determined by ATU Local 1560
    - International Brotherhood of Electrical Workers (IBEW) Local 1700-4 President
    - IBEW Local 1700-4 Vice President
    - IBEW Local 1700-4 Representative to be determined by IBEW Local 1700-4
- RTA management representatives (6)
    - 6 RTA Directors or Managers designated by the CSSEM.
- SSO Program Manager (ex-officio member)

The RTA management representation is subject to change. The Executive Leadership Team reserves the right to adjust and will give notice to the co-chairs as soon as practicable.

All members must be employed and in good standing during their entire tenure on the Committee. In the event of any employment status change of any member, the remaining representatives from the respective party (labor/management) must identify a replacement no later than the next scheduled meeting and notify the full LMSC and the CSSEM accordingly.

The SSO Program Manager or designee serves as an ex-officio member and is non-voting.

As chair of the SMS Steering Committee, the CSSEM serves as ex-officio member and is non-voting.

Each co-chair may identify and invite other ex-officio members from either side who are strictly non-voting.

Other staff are welcome to participate in meetings, however, they are non-voting.

Comments will be limited in a manner mutually agreed upon by the co-chairs, such as reserving comments to the end of the meeting and instituting a time limit.

Members are not considered "key SMS personnel" in the ASP; therefore, compliance with the SMS training provisions of 49 CFR Part 672 do not apply. However, given the Committee's SMS-related duties and responsibilities and ASP approval authority all LMSC voting members are highly encouraged to complete, at a minimum, the Transportation Safety Institute (TSI) course entitled, "SMS Awareness." A link to FTA's Safety Training web page, including more detailed information on this course, is provided in Section 5.0 - References.

2.3.2   Leadership of the LMSC

The LMSC elects one roster member from the labor representation and one roster member from the RTA management to serve as equal co-chairs for a term of two (2) years. Labor leadership terms alternate between union teams unless a union votes to defer their two-year term. Elections will be held within the first quarter of every odd year. Interim chairs will be selected in any partial term for the respective party (labor/management).

Upon any election of chairs or the naming of an interim chair, the LMSC must forward the names to the CSSEM.

The chair may voluntarily step down at any time in which case an election must be held no later than the next scheduled meeting.

2.3.3   Meeting Frequency

LMSC meetings are convened quarterly. The co-chairs will determine an appropriate schedule and will coordinate with each member to ensure full participation. Meetings must not conflict with SMS Steering Committee Meetings.

2.3.4   Voting

Voting membership is limited to the above identified twelve (12) representatives. Resolutions, formal reviews of RTA plans, policies, and procedures, and other official Committee actions will be decided through simple majority. Proxy members are not permitted for either side (labor/management).

In the event of a disagreement or tie on any official Committee action for which a vote is called, the co-chairs will follow this process in good faith:

- The co-chairs will mutually and collaboratively attempt to resolve the matter during the meeting.

- If unsuccessful, the matter will be forwarded by the co-chairs to the SMS Steering Committee. It will be taken up in the next SMS Steering Committee meeting or in a separate meeting if agreed upon by all members. Each co-chair will be given an opportunity to present the issue on behalf of their party should they wish to do so.
- The chair of the SMS Steering Committee will either call for a vote to resolve the matter or elevate the matter to the full Executive Leadership Team if he/she deems it necessary.
- If a vote is called, it is considered to have settled the matter and it is recorded in the minutes. The results are forwarded to the LMSC.
- If elevated to the full Executive Leadership Team, the CEO will determine the appropriate course of action in consultation with other members of the SMS Steering Committee. Results are forwarded to the LMSC.
- One or both collective bargaining units represented in the LMSC may choose to exercise their rights to issue a written grievance against the company pursuant to the respective Collective Bargaining Agreement(s) [CBA(s)]. The company will discuss the grievance(s) with the respective union president or presidents at a mutually convenient time within seven (7) working days after knowledge of the disagreement or tie.
- If unsuccessful, the provisions of the respective CBA will prevail.

2.3.5 Duties and Responsibilities

Pursuant to federal requirements (49 U.S.C. Section 5329(d) as amended by the Bipartisan Infrastructure Law (BIL)), the LMSC, along with the CSSEM, is responsible for:

- identifying and recommending risk-based mitigations, strategies, or reduction programs necessary to reduce the likelihood and severity of consequences identified through any risk assessment conducted under (RTA's) SMS;
- identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended; and
- identifying safety deficiencies for purposes of continuous improvement.
- assist with identifying and setting targets for eight safety risk reduction measures, based on a three-year rolling average of data reported to the National Transit Database.

- support compliance monitoring, data reporting, and analysis requirements for transit agencies serving urbanized areas with populations of 200,000 or more.

The LMSC receives information regarding hazards, risk assessments, and mitigations from any or all of the following: Safety Department hazard log (as presented to SMS Steering Committee), other SMS Steering Committee materials such as meeting minutes, Safety Department updates published on the company intranet, and committee meeting minutes.

Additionally, the LMSC must review and approve the draft ASP once annually, or otherwise when a revision is deemed necessary by the Executive Leadership Team and forwarded to the LMSC, in accordance with the ASP Revision SOP.

The LMSC co-chairs will administer a review and vote for approval (by simple majority) that coincides with a regular quarterly meeting to the extent possible. The CSSEM will coordinate with LMSC co-chairs to ensure ample time is allotted for the draft ASP review.

If deemed necessary and mutually agreed upon by the co-chairs, a special meeting will be held at the earliest opportunity for this purpose.

In accordance with federal requirements, the LMSC must approve the draft ASP prior to it being considered by the RTA Board of Commissioners for final adoption. The ASP Revision SOP contains specific criteria which will be used by committee members to determine whether or not to approve the draft ASP.

The LMSC co-chairs share the responsibility of setting and distributing meeting agendas, keeping minutes, leading meetings, and providing copies of all meeting materials to senior leadership (as applicable) and to the CSSEM for SMS record-keeping.

Agendas should be distributed to employees at least seven (7) days in advance of each meeting.

2.3.6 Coordination with SMS Steering Committee

The CSSEM serves as an ex-officio member of the LMSC. In this capacity, he/she or a designee attends meetings to provide technical assistance and to provide updates on behalf of the SMS Steering Committee. Additionally, the CSSEM will provide the most recently approved meeting minutes from the SMS Steering Committee as reference. To the extent practicable the CSSEM will provide such minutes at least eight (8) days in advance of the LMSC meeting to enable LMSC co-chairs to attach them to the agenda should they wish to do so.

3.0 OTHER SAFETY COMMITTEES

Other safety focused committees are convened on an as-needed basis, in accordance with departmental policies, procedures, and/or in response to specific projects, programs, or initiatives. To the extent practicable, designated leadership of official RTA safety committees are expected to invite, collaborate with, and report critical agenda items to the CSSEM or his/her designee.

3.1 Safety and Security Certification Review Committee (SSCRC)

Implementation of RTA's Safety and Security Certification (SSC) Program requires a cross-departmental committee—the Safety and Security Certification Review Committee (SSCRC)—focused on the safety and security certification of major capital projects and other projects deemed by RTA management to require a thorough safety, security, and emergency management review. The SSCRC is a subcommittee of the SMS Steering Committee and meets only when a qualifying project is identified by the SMS Steering Committee chair. The SSCRC is chaired by a Director from the Safety, Security, and Emergency Management Department and a Director from the Planning and Capital Projects Department.

3.2 Fire-Life Safety Committee (FLSC)

The FLSC is a cross-functional team that meets on an as-needed basis at the direction of the Executive Leadership Team to review, update, adopt, and implement fire and life safety procedures at all RTA facilities. Revisions to company plans and procedures related to fire and life safety are typically administered by the Director of Emergency Management in close coordination with FLSC members and other department representatives. The Fire-Life Safety Committee is chaired by a Director from the Safety, Security, and Emergency Management Department and a Director from the Asset Management Department

3.3 Configuration Management Committee (CMC)

The CMC focuses on maintaining the RTA's Configuration Management process. This includes maintaining all policies and procedures on configuration management, change control oversight, configuration baseline management, configuration component identification, and participating in Internal Safety Management Audits when required by the RTA's ASP. This committee is co-chaired by a Director from the Asset Management Department and a Director from the Safety, Security, and Emergency Management Department.

4.0 FLOWCHART
N/A

5.0 REFERENCES

- Agency Safety Plan
- Agency Safety Plan Revision SOP
- Safety and Security Certification Plan (SSCP)
- MOC Procedure
- Safety Management Policy (SAF3)
- FTA Safety Training Requirements web page (https://www.transit.dot.gov/regulations-and-guidance/safety/safety-training)
- Subcommittee Charters (add all three)

6.0 ATTACHMENTS
1. Safety Committee Organizational Chart
2. Agenda Template
3. Sign-in Sheet

7.0 PROCEDURE HISTORY
Supersedes SOP 004-001 – Safety Committee Structure
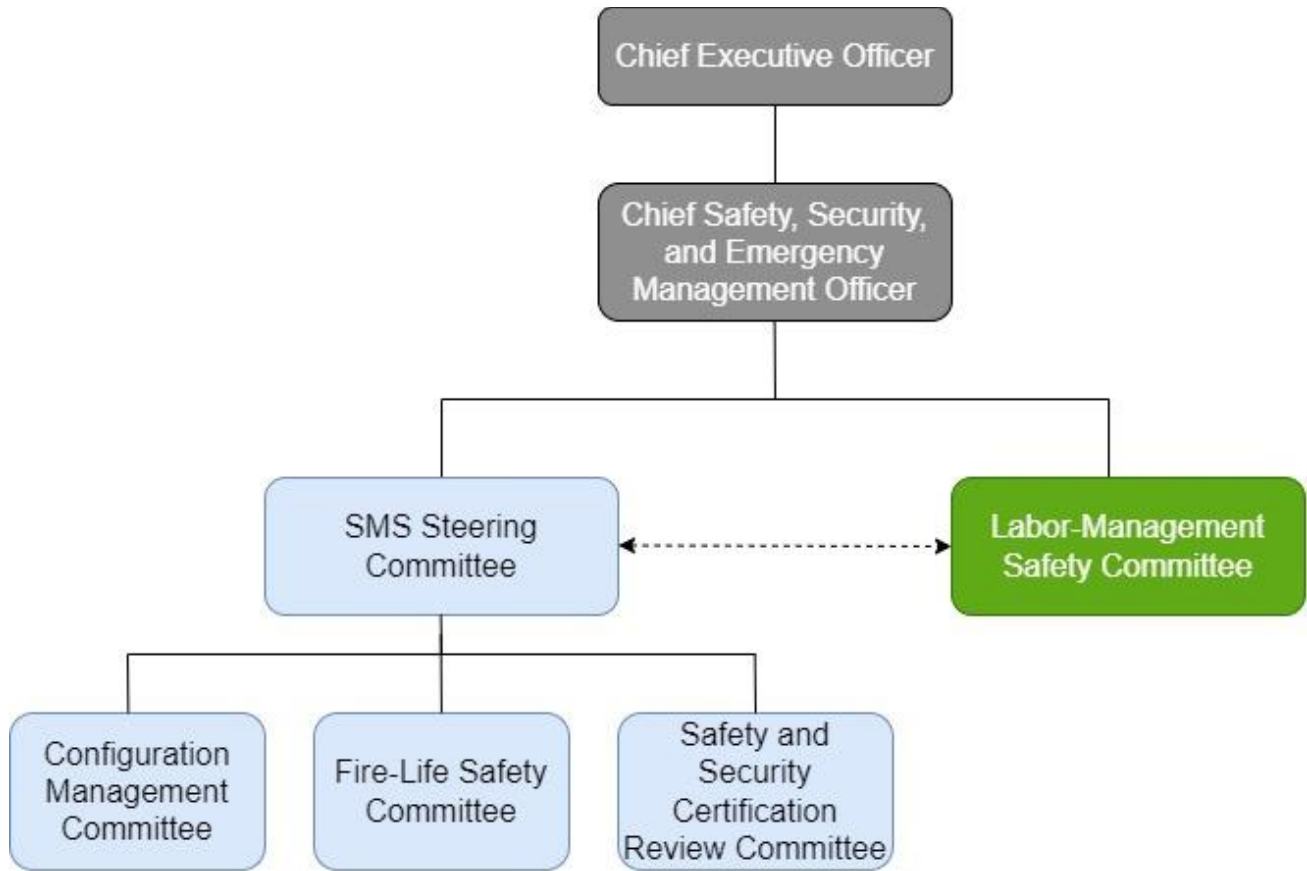8/18/2021 Final Executive Committee approval granted
8/24/2021 Final Board approval granted
6/9/2022   Final Executive Committee approval granted
6/26/2022 Final Board approval granted
12/6/2023 Updated to revise Safety Committee Structure
1/11/2024 Updated to revise Safety Committee Structure

8.0 SPONSOR DEPARTMENT
Safety

Attachment 1 – Safety Committee Organizational Chart

Attachment 2 – Committee Agenda Template Committee Meeting Agenda

Date:_____   Time:_____   Location:_____

Safety Contact

Topic 1: Review of Locally Identified Hazards or Safety Concerns (Safety Risk Management)
- *Discussion Point list with bullets*

Topic 2: Review of Previously Elevated Hazards or Safety Concerns (Safety Risk Management)
- *Discussion Point list with bullets*

Topic 3: Review of Existing Safety Risk Mitigations (Safety Assurance)
- *Discussion Point list with bullets*

Topic 4: Title of Topic
- *Discussion Point list with bullets*

Topic 5: Title of Topic
- *Discussion Point list with bullets*

Open Discussion

Adjourn

RTA
Regional Transit Authority

Attachment 3 – Sample Committee Sign-In Sheet

Date: _____   Meeting Sign-in Sheet

Name and Badge Number   Department/Company

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Safety Committee Structure

(SAF5)

POLICY STATEMENT

The New Orleans Regional Transit Authority (RTA) is committed to developing, implementing, maintaining, and continuously improving processes to ensure that all transit service-delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards. RTA has established interdepartmental safety committees representing all departments and levels of the organization, to: assist with identifying safety deficiencies, support and validate existing Safety Management System (SMS) processes in collaboration with the Executive Leadership Team, meet federal and state requirements concerning front-line participation in SMS and in the Agency Safety Plan (ASP) approval process, and develop and maintain a robust safety culture that is committed to achieving RTA safety goals and objectives.

PURPOSE

This policy establishes roles, responsibilities, and procedures for the interdepartmental safety committee framework at RTA.

APPLICATION

The safety committee framework is designed to engage all employees at all levels of the organization in the agency's SMS, as required in Chapter 49 of the United States Code of Federal Regulations (CFR) Part 673. If a conflict occurs between this policy and a Collective Bargaining Agreement (CBA), the CBA will prevail.

ADOPTED BY:

The RTA Board of Commissioners on X/XX/XXXX, Resolution XX-XXX.

APPROVED BY:

_____
Lona Edwards Hankins
Chief Executive Officer

Effective Date: 8/24/2021
Date of Last Review: 1/11/2024

1.0 GENERAL

The agency-wide safety committee framework is comprised of executive-level, joint labor-management, and department-driven activities.

Each safety committee plays a critical role in ensuring that: all aspects of RTA's ASP are fully implemented, all federal and state requirements regarding safety committees and front-line participation in SMS are met, and the SMS performs as designed. Safety committees support the Safety Department and executive leadership in implementing measures to reduce injuries, promote and maintain safe working environments, and build a strong safety culture.

This policy also addresses other safety committees that may meet on an as-needed basis and are managed by individual departments.

2.0 PROCEDURE

2.1 SMS Steering Committee – The SMS Steering Committee is composed of executive leadership and is responsible for providing strategic direction to all departments in implementing SMS and achieving safety goals and objectives.

It also directs activities supporting Corrective Action Plans (CAPs), especially those which require interdepartmental coordination or are otherwise complex in scope, in accordance with the ASP and State Safety Oversight (SSO) requirements.

It also advises the Chief Safety, Security, and Emergency Management Officer (CSSEM) on any necessary revisions to the RTA Safety Management Policy (SAF3) as required in both the annual ASP Revision Standard Operating Procedure (SOP) and the "Creation of Policy" Policy (HC49).

2.1.1 Membership

The Executive Leadership Team comprises the regular membership roster of the SMS Steering Committee. Regular subcommittee members may include other positions based on their duties, as designated by the Chief Safety, Security, and Emergency Management Officer.

Other staff are welcome to participate in meetings but not in any formal approval capacity. For the SMS Steering Committee only, formal approval is documentation of consensus having been reached by SMS Steering Committee members whether during a meeting or otherwise. A "vote" may or may not apply to an action requiring consensus.

2.1.2 Meeting Frequency

The committee meets once quarterly. The chair will determine an appropriate schedule and will coordinate with each member to ensure full participation.

2.1.3 Duties and Responsibilities

The committee functions as the executive-level, cross-departmental unit empowered to lead RTA in its safety risk management efforts and implementation of SMS. At the direction of the chair, the SMS Steering Committee:

- Reviews accidents and incidents that involve fatalities or serious injuries, as well as other events, near-misses, and reported hazards as deemed necessary by the committee;
- Ensures the Safety Risk Management and Safety Assurance processes are functioning as described in the ASP with full participation of all departments;
- Reviews, directs, oversees, and collaborates on: hazard identification and analysis, risk assessment, CAPs, and the development and implementation of safety risk mitigations;
- Receives briefings from, provides direction to, and coordinates with the Labor-Management Safety Committee (LMSC), and other SMS subcommittees (Fire-Life Safety, Configuration Management, and Safety Security Certification Review).
- Reviews results/findings from audits, inspections, reviews, and other Safety Assurance activities to identify and address systemic issues or emerging trends;
- Verifies that system safety is considered and incorporated in any new or modified systems, programs, or projects, as required by the ASP, specifically, the Management of Change procedure;
- Reviews and updates the Safety Management Policy (SAF3) in coordination with the CSSEM; and
- Reviews, edits, and approves the ASP annually, or otherwise as revisions are required, in accordance with the ASP Revision SOP.

SMS Steering Committee members advise their respective direct reports or other staff and coordinate with one another, as needed.

The chair shall ensure that an agenda is prepared and distributed at least 48 hours in advance of quarterly meetings.

Reasonable advance notice shall be given to employees who may be interested in attending. Meeting information, agendas, and the previous meeting's minutes (as appropriate) will be published on the company intranet site and are also available by request from the CSSEM. Meeting dates may also be announced in internal

communications such as the Safety Newsletter.

The chair may establish sub-committees or working groups focused on specific tasks, as necessary.

The chair shall ensure that meeting minutes are available for review by any member upon request.

The SMS Steering Committee follows a clear protocol for managing safety risks and responding to hazards. When a hazard is reported to the SMS Committee by a subcommittee like the LSMC, FLSC, CMC, or SSCRC, the CSSEM ensures that updates or actions taken are directly communicated back to the chair of the respective subcommittee. This approach ensures effective hazard mitigation and maintains focus. For transparency and record-keeping, the CSSEM also systematically documents these updates in the meeting minutes.

The SMS Steering Committee effectively tracks and communicates about safety hazards. If a hazard is identified by the LMSC, the CSSEM will provide an update at the next LMSC meeting and include it in the meeting minutes. Also, if a Department Head reports a hazard through the CSSEM, the CSSEM will directly inform the Department Head of any updates. This ensures clear communication and engagement in managing safety risks both within the Committee and with external Department Heads.

2.1.3.1 Coordination with LMSC and SMS Subcommittees

At the discretion of the chair, members who serve as either SMS subcommittee chairs or LMSC co-chairs shall provide a brief status report for their respective committee(s), detailing:

- Hazards/concerns discussed at their most recent meeting;
- Hazards or mitigations that require either SMS Steering Committee or CSSEM review (per the Safety Risk Management Section of the ASP);
- Recent activities as outlined in respective responsibilities sections in this policy; and
- Other updates relevant to SMS implementation that are not otherwise addressed in the meeting.

Alternatively, the SMS Steering Committee may invite SMS subcommittee chairs and/or LMSC co-chairs who are not members, to provide a status report during the meeting.

Alternatively, the SMS Steering Committee may request a written status report covering the above topics from either an SMS subcommittee chair or the LMSC in

advance of the quarterly meeting, for the Committee's review.

In all cases, the status report will be recorded in the meeting minutes.

2.1.3.2 Management of Change Responsibilities

Among the key responsibilities of the SMS Steering Committee is to ensure the agency's conformance with all procedures related to Management of Change, including but not limited to the Management of Change section of the ASP and Management of Change Procedure. Members of a Configuration Management Committee verify that system safety is considered and incorporated in any new or modified systems, programs, or projects that span multiple safety-critical areas or functions, such as: shared procedures, training programs, new contracted services, cross-functional Information Technology systems, changes to revenue service fleets, and delivery of capital projects.

Each member is responsible for identifying qualifying systems, programs, or projects in their respective area(s) and coordinating with the CSSEM and SMS Steering Committee members to assess whether the related change results in any increase of safety risk that is considered "unacceptable" per the ASP. If safety risk is determined to be elevated as a direct consequence of the change, the SMS Steering Committee must jointly develop, implement, review, track, and oversee corresponding mitigations, in close coordination with the CSSEM and in accordance with the Management of Change procedures referenced in the ASP. The mitigation monitoring processes must be recorded in sufficient detail in the meeting minutes.

In the event a risk mitigation for a qualifying system, program, or project cannot be implemented by the SMS Steering Committee to maintain or reduce safety risk to a level lower than "unacceptable," the matter will then be elevated to the full Executive Leadership Team as soon as practicable for final disposition. The final results are recorded by the Safety Department.

2.2 SMS Subcommittees

Each SMS Subcommittee exists to focus on key aspects of critical safety, security, and emergency management areas of the RTA, which will then report the results of each subcommittee meeting to the CCSEM.

2.2.0   SMS Subcommittee Membership

Each SMS Subcommittee will be chaired by a Director assigned to the Safety, Security, and Emergency Management (SSEM) Department and co-chaired by a Director outside of the SSEM department. This will ensure that each SMS Subcommittee and its work is

managed under the requirements of the ASP and applicable policies, plans, and procedures for the committee. Additionally, the CSSEM has a direct line of communication with each Director serving on each SMS Subcommittee to receive updates to provide the SMS Steering Committee and ELT.

2.2.1 Meeting Frequency

SMS Subcommittee meetings should be convened on an appropriate frequency based on local/department needs and the safety criticality of agenda items to be discussed, but not less than quarterly.

2.2.2 Duties and Responsibilities

The SMS Subcommittee chairs are responsible for setting and distributing meeting agendas, keeping minutes, leading meetings, and providing copies of all meeting materials to senior leadership (as applicable) and to the Safety Department for their records.

Agendas should be distributed to employees and contractors at least seven (7) days in advance of each meeting.

The SMS Subcommittee is responsible for identifying, assessing, reviewing, and elevating hazards to the SMS Steering Committee's attention (as appropriate). In addition, any system changes that may have a potential impact on system safety should also be elevated to the SMS Steering Committee.

Employees and contractors are encouraged to report any safety issue or hazard to either their respective SMS Subcommittee chair or any representative of the LMSC. All hazards that are discussed in SMS subcommittee meetings shall be added to the department's hazard log and routed to the Safety Department in a timely manner, consistent with the ASP and/or departmental hazard management SOPs.

If any agenda item or hazard to be discussed in the SMS Subcommittee meets any reporting thresholds dictated by the SSO's Program Standard and Procedures, the CSSEM will be responsible for notifying the SSO as early as practicable.

2.3 Labor-Management Safety Committee (LMSC)

The LMSC consists of equal representation of front-line employees and non-represented management in accordance with federal requirements (49 U.S.C. Section 5329(d) as amended by the Bipartisan Infrastructure Law).

The advantage of a joint committee is that the in-depth practical knowledge of specific tasks which front-line staff possess is brought together with the strategic direction and knowledge of company policies and procedures that reside with management. Another significant benefit is the enhancement of cooperation among all parts of the workforce toward identifying and resolving occupational health and safety concerns.

2.3.3 Membership

The official LMSC roster ensures an equal representation of front-line personnel and RTA management and complies with federal requirements related to labor-management safety committees:

- Labor representatives (6)
  - Amalgamated Transit Union (ATU) Local 1560 President
  - ATU Local 1560 Vice President
  - ATU Local 1560 Representative to be determined by ATU Local 1560
  - International Brotherhood of Electrical Workers (IBEW) Local 1700-4 President
  - IBEW Local 1700-4 Vice President
  - IBEW Local 1700-4 Representative to be determined by IBEW Local 1700-4
- RTA management representatives (6)
  - 6 RTA Directors or Managers designated by the CSSEM.
  -
- SSO Program Manager (ex-officio member)

The RTA management representation is subject to change. The Executive Leadership Team reserves the right to adjust and will give notice to the co-chairs as soon as practicable.

All members must be employed and in good standing during their entire tenure on the Committee. In the event of any employment status change of any member, the remaining representatives from the respective party (labor/management) must identify a replacement no later than the next scheduled meeting and notify the full LMSC and the CSSEM accordingly.

The SSO Program Manager or designee serves as an ex-officio member and is non-voting.

As chair of the SMS Steering Committee, the CSSEM serves as ex-officio member and is non-voting.

Each co-chair may identify and invite other ex-officio members from either side who are strictly non-voting.

Other staff are welcome to participate in meetings, however, they are non-voting. Comments will be limited in a manner mutually agreed upon by the co-chairs, such as reserving comments to the end of the meeting and instituting a time limit.

Members are not considered "key SMS personnel" in the ASP; therefore, compliance with the SMS training provisions of 49 CFR Part 672 do not apply. However, given the Committee's SMS-related duties and responsibilities and ASP approval authority all LMSC voting members are highly encouraged to complete, at a minimum, the Transportation Safety Institute (TSI) course entitled, "SMS Awareness." A link to FTA's Safety Training web page, including more detailed information on this course, is provided in Section 5.0 - References.

2.3.2   Leadership
The LMSC elects one roster member from the labor representation and one roster member from the RTA management to serve as equal co-chairs for a term of two (2) years. Labor leadership terms alternate between union teams unless a union votes to defer their two-year term. Elections will be held within the first quarter of of every odd year. Interim chairs will be selected in any partial term for the respective party (labor/management).

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- The co-chairs will mutually and collaboratively attempt to resolve the matter during the meeting;

- If unsuccessful, the matter will be forwarded by the co-chairs to the SMS Steering Committee. It will be taken up in the next SMS Steering Committee meeting or in a separate meeting if agreed upon by all members. Each co-chair will be given an opportunity to present the issue on behalf of their party should they wish to do so.
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- If a vote is called, it is considered to have settled the matter and it is recorded in the minutes. The results are forwarded to the LMSC.
- If elevated to the full Executive Leadership Team, the CEO will determine the appropriate course of action in consultation with other members of the SMS Steering Committee. Results are forwarded to the LMSC.
- One or both collective bargaining units represented in the LMSC may choose to exercise their rights to issue a written grievance against the company pursuant to the respective Collective Bargaining Agreement(s) [CBA(s)]. The company will discuss the grievance(s) with the respective union president or presidents at a mutually convenient time within seven (7) working days after knowledge of the disagreement or tie.
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Pursuant to federal requirements (49 U.S.C. Section 5329(d) as amended by the Bipartisan Infrastructure Law (BIL)), the LMSC, along with the CSSEM, is responsible for:

- identifying and recommending risk-based mitigations,strategies, or reduction programs necessary to reduce the likelihood and severity of consequences identified through any risk assessment conducted under (RTA's) SMS;
- identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended; and
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- assist with identifying and setting targets for eight safety risk reduction measures, based on a three-year rolling average of data reported to the National Transit Database.
- support compliance monitoring, data reporting, and analysis

requirements for transit agencies serving urbanized areas with populations of 200,000 or more.

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Other safety focused committees are convened on an as-needed basis, in accordance with departmental policies, procedures, and/or in response to specific projects, programs, or initiatives. To the extent practicable, designated leadership of official RTA safety committees are expected to invite, collaborate with, and report critical agenda items to the CSSEM or his/her designee.

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3.3 Configuration Management Committee (CMC)
The CMC focuses on maintaining the RTA's Configuration Management process. This includes maintaining all policies and procedures on configuration management, change control oversight, configuration baseline management, configuration component identification, and participating in Internal Safety Management Audits when required by the RTA's ASP. This committee is co-chaired by a Director from the Asset Management Department and a Director from the Safety, Security, and Emergency Management Department.

4.0 FLOWCHART
N/A

5.0 REFERENCES
- Agency Safety Plan

Safety Committee Structure (SAF5)   11

- Agency Safety Plan Revision SOP
- Safety and Security Certification Plan (SSCP)
- MOC Procedure
- Safety Management Policy (SAF3)
- FTA Safety Training Requirements web page
  (https://www.transit.dot.gov/regulations-and-guidance/safety/safety-training)
- Subcommittee Charters (add all three)

6.0 ATTACHMENTS
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2. Agenda Template
3. Sign-in Sheet

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Supersedes SOP 004-001 – Safety Committee Structure
8/18/2021 Final Executive Committee approval granted
8/24/2021 Final Board approval granted
6/9/2022   Final Executive Committee approval granted
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12/6/2023 Updated to revise Safety Committee Structure
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8.0 SPONSOR DEPARTMENT
Safety

Attachment 1 – Safety Committee Organizational Chart

Attachment 2 – Committee Agenda Template
Committee Meeting Agenda

Date:_____   Time:_____   Location:_____

Safety Contact

Topic 1: Review of Locally Identified Hazards or Safety Concerns (Safety Risk Management)
- *Discussion Point list with bullets*

Topic 2: Review of Previously Elevated Hazards or Safety Concerns (Safety Risk Management)
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- *Discussion Point list with bullets*

Topic 4: Title of Topic
- *Discussion Point list with bullets*

Topic 5: Title of Topic
- *Discussion Point list with bullets*

Open Discussion

Adjourn

Attachment 3 – Sample Committee Sign-In Sheet

Date: _____ DSC Meeting Sign-in Sheet

Name and Badge Number   Department/Company

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RESOLUTION NO.

STATE OF LOUISIANA PARISH OF ORLEANS

AUTHORIZATION TO ADOPT RTA WORK POLICY SAF-5 SAFETY COMMITTEE STRUCTURE AS AMENDED

Introduced by Commissioner _____, seconded by Commissioner_____.

WHEREAS, RTA is authorized to plan, construct, and permanently operate a high-capacity system of transportation infrastructure and services to meet regional public transportation needs in the New Orleans region; and

WHEREAS, adoption of this amended agency-wide policy continues to establish certain guidelines and policies to be followed by RTA; and

WHEREAS, RTA establishes protocols to create, amend, and disseminate administrative policies and procedures (policies). A uniform policy format provides clear and concise steps for establishing or revising policies to achieve maximum organizational efficiency and understanding; and

WHEREAS, the Board adopts all agency policies including any substantive changes or amendments while the RTA Human Capital Business Unit has the authority to make any non-substantive changes, and the CEO maintains a system, records, and reports that are consistent with industry best practices and statutory requirements to align agency resources with the Board's objectives and the agency's mission; and

WHEREAS, RTA is committed to ensuring proper controls and complying with legal regulations and industry best practices for agency-wide policies; and

WHEREAS, RTA staff introduced the policy listed below that was previously approved, and needed edits have been incorporated.

WHEREAS, RTA's Chief of Safety, Security, and Emergency Management has reviewed the attached policy pertaining to the RTA's Safety Committee Structure as required by the Agency Safety Plan. This update aligns SAF5 with proposed updates to the RTA's Agency Safety Plan.

1. SAF5 – Safety Committee Structure

NOW, THEREFORE, BE IT RESOLVED that the Board of Commissioners of the Regional Transit Authority hereby approves the attached amended agency-wide policy.

THE FOREGOING WAS READ IN FULL; THE ROLL WAS CALLED ON THE ADOPTION THEREOF AND RESULTED AS FOLLOWS:

YEAS: _____

NAYS: _____

ABSTAIN: _____

ABSENT: _____

AND THE RESOLUTION WAS ADOPTED ON THE __23rd__ DAY OF January .

MARK RAYMOND, JR.
CHAIRMAN
RTA BOARD OF COMMISSIONERS

New Orleans Regional Transit Authority

Board Report and Staff Summary

File #: 23-180   **Board of Commissioners**

Non-proprietary Bus Parts

DESCRIPTION: Non-proprietary bus parts	AGENDA NO: Click or tap here to enter text.
ACTION REQUEST: ☒ Approval ☐ Review Comment ☐ Information Only ☐ Other	

RECOMMENDATION:

To authorize the Chief Executive Officer to award contracts to Kenworth of Southeast Louisiana, Creative Bus Sales, and the Aftermarket Parts Company in the amount of $3,000,000.

ISSUE/BACKGROUND:

The RTA has released a solicitation under IFB 2023-019, seeking non-proprietary bus components. These components encompass various parts vital for our bus systems, including engines, transmissions, air systems, brakes, and wipers, among others. The agency's fleet consists of buses that have surpassed their useful lifespan, as well as newer buses, all of which necessitate parts for both repairs and preventative maintenance.

DISCUSSION:

The agency has issued a solicitation for a substantial quantity of commonly used bus parts that have been in widespread use for the past few years. This comprehensive list of parts has been made available for bidding through an Invitation for Bid (IFB) process. The agency intends to establish contracts with three different vendors, facilitating a streamlined procurement process for parts and ensuring competitive pricing. While not every vendor provided pricing for all items, the collaboration of these three companies will enable the Agency to acquire the necessary parts efficiently.

FINANCIAL IMPACT:

The agency expects to spend $3,000,000 over the next two years on bus parts, the cost is estimated at $1,500,000 per year.

NEXT STEPS:

Upon RTA board approval staff will finalize the contracts and purchase parts as needed.

ATTACHMENTS:

1. Resolution

2. Administrative review

3. Procurement Summary

Prepared By: Ryan Moser
Title: Chief of Asset Management

Reviewed By: Gizelle Banks
Title: Chief Financial Officer

11/3/2023

Lona Edwards Hankins   Date
Chief Executive Officer

RESOLUTION NO. _____

STATE OF LOUISIANA

PARISH OF ORLEANS

AUTHORIZATION TO AWARD A CONTRACT TO AFTERMARKET PARTS, CREATIVE BUS SALES, AND KENWORTH OF LOUISIANA FOR NON-PROPRIETARY BUS PARTS

Introduced by Commissioner _____,
seconded by Commissioner _____.

WHEREAS, a company is needed that can supply non-proprietary bus parts for our fleet for Preventative Maintenance and repairs; and

WHEREAS, the staff issued an Invitation for Bid (IFB) 2023-019 for the acquisition of general bus parts for our entire bus fleet; and

WHEREAS, nine (9) bids were received and after staff reviewed the bids in accordance with requirements prescribed by the RTA, Louisiana Public Bid Law, and the Federal Transit Administration; and

WHEREAS, the staff held a public bid opening Aftermarket parts, Creative Bus Sales, and Kenworth of Louisiana were determined responsive after the completion of a price element review submitted in its bid which met the requirements of the RTA, FTA and all state and local guidelines; and

WHEREAS, staff evaluated the cost of a variety of components submitted by vendors and determined that three (3) vendors were needed to provide these items and the prices are fair and reasonable; and

RESOLUTION NO. _____
Page 2

WHEREAS, it is the opinion of the RTA Board of Commissioners that establishing a contract for the supply of bus parts will positively impact our operation to acquire parts in a timely fashion; and

WHEREAS, funding for the above-stated project is made available through local funding for a total cost of THREE MILLION DOLLARS ($3,000,000) for a two-year period at ($1,5000,000) per year.

WHEREAS, year one funding will be based upon the allocation of the bids, after year one staff will evaluate the funding allocations for year two based upon year one's performance and agency needs.

NOW, THEREFORE, BE IT RESOLVED by the Board of Commissioners of the RTA that the Chairman of the Board, or his designee, is authorized to execute a contract with Aftermarket parts company, Creative Bus Sales and Kenworth of Louisiana).

THE FOREGOING WAS READ IN FULL, THE ROLL WAS CALLED ON THE ADOPTION THEREOF AND RESULTED AS FOLLOWS:

YEAS: _____

NAYS: _____

ABSTAIN: _____

ABSENT: _____

AND THE RESOLUTION WAS ADOPTED ON THE ___ DAY OF _____ .

_____
MARK RAYMOND JR
CHAIRMAN
BOARD OF COMMISSIONERS

Regional Transit Authority
Administrative Review Form

Project Name: Non-Proprietary Parts

Type of Solicitation: IFB 2023-019   DBE Participation Goal: 0%   Number of Respondents: 9

Prime, Primary Contact and Phone Number	DBE and Non-DBE Subconsultants	DBE Commitment Percentage	Price (RFP and ITB ONLY)
Vehicle Maintenance Program			N/A
Creative Bus Sales			N/A
Kenworth			N/A
The AfterMarket Parts Company			N/A
Kirk's Automotive			N/A
CBM US Inc			N/A
NeoPart Transit LLC			N/A
Natsco Transit Solutions			N/A
Cummins			N/A

*Indicates certified DBE firm that will contribute to the project's participation goal

Prime Firm Name	Required Items								
	Letter of Interest	Non Collusion	Debarment Prime	Debarment Lower	Restrictions on Lobbying	DBE Form 4	Participant Info	Consultant Questionnaire	Addenda
Vehicle Maintenance Program	N/A	Y	Y	Y	Y	Y	Y	N/A	Y
Creative Bus Sales	N/A	Y	Y	Y	Y	Y	Y	N/A	Y
Kenworth	N/A	Y	Y	Y	Y	Y	Y	N/A	Y
The AfterMarket Parts Company	N/A	Y	Y	Y	Y	Y	Y	N/A	Y
Kirk's Automotive	N/A	Y	Y	Y	Y	Y	Y	N/A	Y
CBM US Inc	N/A	Y	Y	Y	Y	Y	Y	N/A	Y
NeoPart Transit LLC	N/A	Y	Y	Y	Y	Y	Y	N/A	Y
Natsco Transit Solutions	N/A	Y	Y	Y	Y	Y	Y	N/A	Y
Cummins	N/A	Y	Y	Y	Y	Y	Y	N/A	Y

Procurement Personnel Only

Prime Firm Name	Bid Bond	*Insurance	Responsiveness Determination	Responsible Determination						
			Certifications /Licenses	Facilities / Personnel	SAM.Gov	Previous Experience	Years in Business	Financial Stability	LA License No. if required
Vehicle Maintenance Program	N/A	N/A	Y	Y	Y	Y	11	Y	N/A
Creative Bus Sales	N/A	N/A	Y	Y	N	Y	20+	Y	N/A
Kenworth	N/A	N/A	Y	Y	Y	Y	14	Y	N/A
The AfterMarket Parts Company	N/A	N/A	Y	Y	N	Y	UNK	Y	N/A
Kirk's Automotive	N/A	N/A	Y	Y	N	Y	17+	Y	N/A
CBM US Inc	N/A	N/A	Y	Y	Y	Y	5	Y	N/A
NeoPart Transit	N/A	N/A	Y	Y	Y	Y	14	Y	

LLC									
Natsco Transit Solutions	N/A	N/A	Y		N	Y	15	Y	N/A
Cummins	N/A	N/A	N	N	N	N	UNK	UNK	N/A

*Successful Contractor must submit prior to award.

Review and verification of the above required forms, the below listed vendor is hereby found responsive to this procurement.

Vendor Name: __Kenworth, Creative Bus Sales, Aftermarket Company_____

Certified by: Name and Title   Briana Howze Senior Contact Administrator

Review and verification of the above required forms, the below listed vendor is hereby found responsible for award of this procurement.

Vendor Name: __ Kenworth, Creative Bus Sales, Aftermarket Company_____

Certified by: Name and Title   Briana Howze Senior Contact Administrator

PROCUREMENT SUMMARY-IFB 2023-019

REQUIREMENTS

A Solicit Request Routing Sheet for Non-Proprietary Parts with attached scope of work was received by Procurement from automated procurement system on July 26, 2023.

There was a no DBE goal for this solicitation.

SOLICITATION

Invitation for Bid (IFB) No. 2023-019 Public Notice was published in The Advocate. The Public Notice and the IFB 2023-019 was posted on the RTA website beginning 8/10/2023. The IFB submittal deadline was 9/26/2023 at 11:00 am.

RFP SUBMITTAL

Submittal deadline was 9/26/2023 at 11:00 am. Shaun Temple handled the receipt of all submissions received. Nine (9) proposals were received.

DETERMINATION
Nine (9) responsive bid were received.

SUBMITTAL ANALYSIS
Respondents
Vehicle Maintenance Program
Creative Bus Sales
Kenworth
The AfterMarket Parts Company
Kirk's Automotive
CBM US Inc
NeoPart Transit LLC
Natsco Transit Solutions
Cummins

SUMMARY

An Administrative Review was prepared by Briana Howze

None of respondants submitted bids on all of the parts listed in the solicitation. Subsequently, the Procurement team prepared a bid analysis based on the percentage of parts that each respondent bid on compared to the total parts listed. The results supported the distribution to the top 3 respondants (The AfterMarket Parts Company, Creative Bus Sales, and. Kenworth), that will provide the RTA wilth the appropriate access to the various non-proprietary parts

required to maintain the revenue fleet. The AfterMarket Parts Company, Creative Bus Sales and Kenworth were all considered to be fair and reasonable.

The "annual award allocation" is as follows:

The Aftermarket Parts Company	$613,576
Creative Bus Sales	$588,892
Kenworth	$297,532

New Orleans Regional Transit Authority

Board Report and Staff Summary

File #: 23-214   **Board of Commissioners**

Dell Technologies Apex Contract Award

DESCRIPTION:Dell Apex end-to-end solutions portfolio-as-a-service and subscriptions for provisioning, monitoring, maintaining, and upgrading hardware and software	AGENDA NO: Click or tap here to enter text.
ACTION REQUEST: ☒ Approval ☐ Review Comment ☐ Information Only ☐ Other	

RECOMMENDATION:

To authorize the Chief Executive Officer to award a contract in the amount of $186,355.44 to Dell Technologies to upgrade current server operating systems.

ISSUE/BACKGROUND:

RTA maintains two separate operating systems that rely on computer infrastructure to run: Clever CAD and RTA Corporate Network.

Clever Computer-Aided Dispatch (CAD) Services:

1) RTA requires the ability to mirror the original server content in order to be able to recover/revert to the previous server in the event the upgrade process fails or a catastrophic event. RTA does not have storage availability to do so with the current setting, because the system is at storage capacity.

2) RTA current hardware provider, Dell, no longer supports the storage hardware and the hardware is at its end of life.

RTA Infrastructure Corporate Network

1) The hardware and software are at memory capacity. There is no machine capacity to upgrade Microsoft server software safely and the hardware is aging out. There is no memory capacity to upgrade to the new Microsoft server software.

RTA's current computing resources that support these two systems are at capacity, and the organization cannot add additional server services to our computing infrastructure. Specifically, the memory levels, otherwise known as random access memory (RAM), are at critical utilization with daily server overloads. The server infrastructure lacks computational (CPU) performance for some of the more critical database functions, especially with our Clever Devices suite of products.

RTA needs to boost capacity in order to upgrade to new operating systems supported by Microsoft with timely, operating system software.

DISCUSSION:

Staff propose to use a "pay-as-you-go" capacity-based model to address the additional computing resources needs, which reduces a large capital outlay and reduces commitment for future technology disposal costs. The proposed solution is a monthly model with a 36-month contract that includes VMware support (virtualization software) and hardware maintenance support for the contract term.

The IT department conducted an analysis of daily computing resource utilization and looked at the current system, provider capabilities, and product and service availability. RTA identified the required computing services on a State contract that meet requirements. The purchase would be using the following:
State Contract Code: C000000010742
Contract Name: Dell NASPO Computer Equipment PA - State of Louisiana
Customer Agreement ID: MNWNC-108 / 4400002525
Contract Valid Until: 1/31/2024
Standard Delivery: 30 Days Inv

FINANCIAL IMPACT:

The funding is currently available through funding for a total cost of $186,355.44.

Budget Code	2024	2025	2026	Total
01-2900-02-7140-170-00-00000-00000	31,059.24	31,059.24	31,059.24	93,177.72
01-2900-02-8580-170-00-00000-00000	31,059.24	31,059.24	31,059.24	93,177.72
			Total	186,355.44

NEXT STEPS:

Upon RTA Board approval, staff will assign a purchase order and complete the project.

ATTACHMENTS:

1. Resolution
2. Procurement summary/ Routing sheet
3. Consumption Agreement
4. Flex On Demand Schedule No 1
5. Contract Code Email Communication

Prepared By: Doris O'Sullivan
Title: Project Manager of Information Technology III

Reviewed By: Sterlin Stevens
Title: Director of Information Technology

Reviewed By: Dwight Norton
Title: Chief Planning & Capital Projects Officer

Reviewed By: Gizelle Johnson Banks
Title: Chief Financial Officer

[signature]   1/5/2024

Lona Hankins   Date
Chief Executive Officer

Regional Transit Authority
State Contract Procurement Routing Sheet

INSTRUCTION: The user department is responsible for providing all information requested below and securing the requisite signatures.

Solicitation ID	**172**
ProjectSchedule Delivery Date	**1/31/2024 6:00 AM**
Technical Specs attached	**No**
Scope of Work attached	**Yes**

A. I have reviewed this form and the attachments provided and by signing below I give authority to the below stated Department Representative to proceed as lead in the procurement process.

Name: **O'SULLIVAN, DORIS**
Title: **PROJECT MANAGER III**
Ext: **8380**

B. Name of Project, Service or Product:
 Dell Apex end to end solutions portfolio as-a-Service and subscriptions for provisioning

C. Justification of Procurement:

RTA's current computing resources are at capacity, and the organization cannot add additional server services to our computing infrastructure. Specifically, the memory levels (otherwise known as random access memory (RAM) are at critical utilization with daily server overloads. The server infrastructure lacks computational (CPU) performance for some of the more critical database functions, especially with our Clever Devices suite of products.

The purchase, which is a monthly model with a 36-month contract, will allow us to use a "pay-as-you-go" model which is capacity based and reduces a large capital outlay and reduces our commitment for future technology disposal costs. VMware support (virtualization software) is included for the commitment term and hardware maintenance support.

State Contract Code C000000010742 Contract name Dell NASPO Computer Equipment PA - State of Louisiana Customer Agreement ID MNWNC-108 / 4400002525 Expires 1/31/2024 Standard Delivery 30 Days Inv

In regards to services and migration, this contract includes pro deploy plus, migration services for all of your existing virtual machines to the new equipment, and pro support plus mission critical for the entire 3 year duration.

D. Certification of Authorized Grant:

Is this item/specification consistent with the Authorized Grant?

Director of Grants / Federal compliance:	
Signature	
Date	

E. Safety, Security and Emergency Management: Include Standard Safety Provisions Only:

Additional Safety Requirements Attached

false

Chief	Michael J Smith
Signature	*Michael J Smith*
Date	December 13 2023

Risk Management:

Include Standard Insurance Provisions Only?

true

Include Additional Insurance Requirements Attached ?

false

Risk Management Analyst	Marc L Popkin
Signature	*Marc L Popkin*
Date	December 13 2023

F. Funding Source:

Funds are specifically allocated in the Department's current fiscal year budget or in a grant to cover this expenditure as follows:

ICE Amount: $186,355.44

Total Projected Cost: $186,355.44

Funding Type: Local

Federal Funding	State	Local	Other
		$186,355.44	
Projected Fed Cost	**State**	**Local**	**Other**
		$186,355.44	

FTA Grant IDs	Budget Codes
	01-2900-02-7140-170-00-00000-00000
	01-2900-02-8580-170-00-00000-00000

Funds allocated by multi-year and budget codes:

Year	Amount	Budget Code
Year-1	$31,059.24	01-2900-02-7140-170-00-00000-00000
Year-2	$31,059.24	01-2900-02-8580-170-00-00000-00000
Year-3	$31,059.00	
Year-4		
Year-5		
Total all years	$93,177.48	

Budget Analyst	Eugenie Fenerty
Signature	*Eugenie Fenerty*
Date	December 11 2023

G. DBE/SBE   GOAL:

% DBE	0
% Small Business	0

Director of Small Business Development:	Adonis Charles Expose
Signature	*Adonis Charles Expose*
Date	December 13 2023

DBE/EE Manager	Adonis Charles Expose
Signature	*Adonis Charles Expose*
Date	December 13 2023

H. Information Technology Dept. vetting.

IT Director	Sterlin Stevens
Signature	*Sterlin Stevens*
Date	12/14/2023 4:31 PM

I. Authorizations: I have reviewed and approved the final solicitation document.

Department Head	Sterlin Stevens
Signature	*Sterlin Stevens*
Date	December 09 2023

Chief	Dwight Daniel Norton
Signature	*Dwight Daniel Norton*
Date	December 13 2023

Director of Procurement	Ronald Gerard Baptiste
Signature	*Ronald Gerard Baptiste*
Date	December 15 2023

FOR PROCUREMENT USE ONLY

Type of Procurement Requested:

SC - State Contract

Invitation for Bid (IFB) This competitive method of awarding contracts is used for procurements of more than $25,000 in value. The agency knows exactly what and how many of everything it needs in the contract, as well as when and how the products and services are to be delivered. The award is generally based on price.

Request for Quote (RFQ) This type of solicitation is often used to determine current market pricing.

Request for Proposal (RFP) This approach to contracting occurs when the agency isn't certain about what it wants and is looking to you to develop a solution and cost estimate.

Sole Source (SS) this procurement can be defined as any contract entered into without a competitive process, based on a justification that only one known source exists or that only one single supplier can fulfill the requirements.

State Contract (SC) this procurement is via a State competitive procurement

Two-step Procurment - request for qualifications step-one used in the formal process of procuring a product or service, It is typically used as a screening step to establish a pool of vendors that are then qualified, and thus eligible to submit responses to a request for price proposal (RFP). In this two-step process, the response to the RFQ will describe the company or individual's general qualifications to perform a service or supply a product, and RFP will describe specific details or price proposals.

	Required if Total Cost above $15K
Chief Financial Officer	Gizelle Johnson-Banks
Signature	*Gizelle Johnson-Banks*
Date	December 20 2023

	Required if Total Cost above $50K
Chief Executive Officer	Lona Edwards Hankins
Signature	*Lona Edwards Hankins*
Date	December 20 2023

DELLTechnologies

FLEXIBLE CONSUMPTION AGREEMENT – U.S.

This Flexible Consumption Agreement **(this "Agreement", "FCA" or "MFCA")** is made effective as of <u>December 7, 2023</u> (the **"Effective Date"**) between the following parties:

EMC Corporation ("Dell EMC" or "Supplier")		**New Orleans Regional Transit Authority ("Customer")**
176 South Street	**And**	**2817 Canal ST**
Hopkinton, MA 01748		**New Orleans, LA 70119-6301**
Email for Legal Notices:		**Email for Legal Notices:**
Dell_Legal_Notices@dell.com		

This FCA governs Customer's access to and use of a configuration of Products on a Flexible Consumption basis at an agreed Customer location, as described in one or more separately executed Flex Consumption Schedules (the "**Schedule(s)**"). This FCA shall govern each Schedule (including any related purchase order) that references this FCA.

1. DEFINITIONS.

A. "Billing Period" means the period of time identified on a Schedule for which Supplier will invoice Customer for its Flexible Consumption.

B. "**Customer Data**" means all information entered on the Products by or on behalf of Customer or its end users.

C. "Documentation" means the then-current, generally available, written user manuals and online help and guides provided by Supplier for Products.

D. "**Flexible Consumption**" means the amount of Customer's usage of the Products, as it may vary from time to time, measured pursuant to a description and metrics identified on the Schedule.

E. "**Flexible Consumption Fee"** means, for a particular Billing Period, (i) the fee for the Monthly Committed Capacity, and (ii) the fee charged by Supplier for Customer's Flexible Consumption above the Monthly Committed Capacity, calculated in accordance with the pricing set forth in the Schedule.

F. "**Flexible Consumption Period**" means the time period identified as such on a Schedule, and any Supplier approved extension(s) thereto.

G. "Installation Site" means the ship-to address or other location identified as such on the Schedule as the site of installation and/or use of a Product, or a subsequent location approved by Supplier.

H. "Monthly Committed Capacity" means the amount of capacity the Customer commits to paying for each month as specified in a Schedule regardless of its actual consumption of capacity.

I. "Products" means collectively: (a)**"Equipment"** (which is EMC-branded or Dell-branded hardware that Supplier provides to Customer under this Agreement); and (b) **"Software"** (any EMC-branded or Dell-branded programming code licensed to Customer as a standard product, also including microcode, firmware and operating system software), as more specifically identified on a Schedule. Products exclude Third Party Products.

J. "Return" of a Product means the earlier to occur of (a) Supplier taking possession of the Product at the Installation Site, or (b) Supplier receiving and accepting a return of the Product.

K. "Support Services" mean services for the support and maintenance of Products as described in the Applicable Schedule.

L. "**Third Party Products**" means hardware, software, or services that are not "Dell" branded, "EMC" branded, or "Dell EMC" branded.

2. SCHEDULES, PURCHASING, FEES AND PAYMENT.

A. Schedules. The description of the Products, Support Services, and related pricing are as stated in the applicable Schedule. The product specific terms inform Customer of product-specific use rights and restrictions, unit of measure (if any), and the applicable maintenance (support) obligations.

B. Ordering. Customer indicates its approval of a specific Schedule by signing it and issuing a purchase order to Supplier that references such Schedule. Supplier indicates its approval of Customer's purchase order by (i) counter-signing a Schedule executed by Customer and (ii) shipping the applicable Products to Customer.

C. Authorization to Meter; Flexible Consumption Fees. During the Flexible Consumption Period, Customer shall pay a Flexible Consumption Fee calculated in accordance with pricing and frequency set forth on and defined in the applicable Schedule. Supplier is authorized to periodically meter the Flexible Consumption in order to calculate the applicable Flexible Consumption Fee. Supplier may conduct such activity through the use of electronic means and/or on-site inspection by Supplier personnel and do so only in order to authenticate Customer as the user of the Flexible Consumption and verify Customer's usage levels. Customer is responsible for providing and maintaining the equipment (a physical server or virtual machine) necessary to run storage utilization scripts and to enable electronic communications between the Products and Supplier. Customer authorizes Supplier to store at the Installation Site, or load onto Products used for electronic communications, such equipment and programming as may be needed by Supplier to track usage levels or perform any Support Services for Products and shall not disable or interfere in the operation thereof. Customer shall (i) not copy or make any use thereof whatsoever; and (ii) protect such from disclosure to any third party and give Supplier reasonable access thereto. Supplier shall cooperate with Customer to minimize the impact of any Supplier on-site inspection to Customer's operations.

D. Payment. Customer shall pay Supplier's invoices in full and in the same currency as the Supplier invoice within thirty (30) days after the date of Supplier's invoice, with interest accruing

thereafter at the lesser of 1.5% per month or the highest lawful rate. Customer's obligation to pay the Monthly Flexible Consumption Fee for the Flexible Consumption Period is absolute, unconditional and non-cancellable and shall not be subject to any abatement, reduction, set off, defense, delay or counterclaim for any reason whatsoever.

E. Taxes. The charges due hereunder and any other items provided by Supplier are exclusive of, and Customer shall pay or reimburse Supplier for, all value added (VAT), sales, excise, withholding, state or other local governmental taxes, property taxes, use taxes and any other taxes, levies, customs and duties resulting from a Customer purchase order, except for taxes based on Supplier's net income. If Customer is required to withhold taxes, then Customer will forward any withholding receipts to Supplier. Unless otherwise provided on Customer's purchase order, invoices shall be sent to the Customer contact point or Customer's Accounts Receivable department, as specified on the applicable Schedule.

F. Interruption of Metering Capabilities. For Schedules in which Flexible Consumption varies based upon usage or another metric, if, for more than five (5) days of any calendar month, Supplier is unable to meter to determine the applicable Flexible Consumption Fee due to (i) any action by anyone other than Supplier, or (ii) a failure of any communications equipment provided by Customer that is used for purposes of metering, Supplier shall invoice, and Customer shall pay, a Flexible Consumption Fee for the affected Billing Period(s) that shall be based on the Flexible Consumption during the previous Billing Period; provided, however, that if Supplier is unable to meter for a period of more than thirty (30) days, Supplier shall invoice, and the Customer shall pay, the maximum capacity of the Products. If Supplier is unable to meter the Flexible Consumption due to any failure which is caused by Supplier (e.g. failure of the modem, software or other equipment used by Supplier to meter Customer's usage), the amounts owed by Customer for such outage period shall be based on Customer's Flexible Consumption during the previous Billing Period. Supplier shall promptly notify Customer of an inability to electronically and or physically access the Products, as applicable, and work cooperatively to reestablish access.

3. DELIVERY, RISK, TITLE, USE AND RETURN.

A. Installation Site Preparation. On or before arrival of the Products, Customer shall arrange (i) appropriate space at the Installation Site; (ii) the necessary environment (power, cooling, etc.) required to support and operate the Products; and (iii) servers and network connectivity required to support Products.

B. Product Shipment. Supplier shall deliver the Products by common carrier to the Installation Site. Software may be provided by (i) shipment of physical media; or (ii) electronic download (when so offered by Supplier).

C. Risk of Loss. Supplier shall bear the entire risk of loss, theft, damage or destruction with respect to the Supplier Products until the time of arrival of the Products at the Installation Site(s) and Customer shall bear such risk from such time on until the Products are Returned. If any loss, theft, damage or destruction to the Products occurs during the time Customer bears such risk, Supplier shall be relieved of its Flexible Consumption obligations to the extent such event impacts Supplier's ability to provide such Flexible Consumption until such time as the Products are repaired or replaced. Charges shall continue to accrue during this period of such interruption. If Products are materially damaged, stolen or destroyed, Customer shall promptly notify Supplier.

D. Customer Insurance Coverage. Customer must insure the Products (with a reputable insurance company) against all: (a) liability whatsoever to any third party arising directly or indirectly out of Customer's selection, possession or use of the Products, and (b) loss or damage to the Products from all insurable risks for the full cost of replacing it, and (c) other risks in respect of which a prudent owner or operator of Products of the same nature as the Products would normally insure such Products. In regard to (a) and (b), Supplier will be named as co-insured and loss payee respectively. Upon Supplier's request Customer must show Supplier evidence that the insurance required under this Agreement is in place in respect of the relevant Schedule(s). Customer must immediately notify Supplier of any loss claim, and Customer must not settle any claims without Supplier's agreement.

E. Personal Property and Identification. Title to Products provided by Supplier pursuant to any Schedule remains with Supplier at all times and Customer shall have no right or interest in such Products except as provided in this Agreement and related Schedule. All Products shall remain personal property of Supplier notwithstanding the manner in which such may be attached or affixed to realty. At any time, Customer shall (i) at request of Supplier, legibly mark each item of Equipment in a reasonably prominent location with a label, disc or other marking stating that the Equipment is owned by Supplier; and (ii) not remove such without the prior written consent of Supplier. Customer may not change the Installation Site without Supplier's prior written consent. Customer shall give Supplier immediate written notice of any attachment or judicial process affecting the Products or Supplier's ownership of which Customer becomes aware. In case the Equipment is installed at a third-party Installation Site, Customer undertakes to notify in writing such third party that Supplier is the owner of the Equipment and that such Equipment (i) cannot be treated as a fixture or fitting forming part of the third party property (ii) cannot be seized by such third party in distress for monies owed by the Customer to such third party. Customer undertakes to guarantee that, at any time during the course of any Equipment applicable Schedule, Supplier have the right to enter the third-party Installation Site to inspect the Equipment and to retake possession of the Equipment on expiry or termination of any Schedule.

F. Ownership of Customer Data; Telemetry Notice. All Customer Data shall remain the responsibility and property of Customer. Dell collects data from the Products relating to Product location, utilization, configuration, diagnostics and performance, solely for the purpose of providing the Services and forecasting capacity requirements ("Telemetry Data"). Telemetry Data does not include, and Dell does not otherwise access, view, process, copy, modify or handle Customer Data stored on the Products. Notwithstanding the foregoing, Dell will treat any Customer personal data inadvertently collected in accordance with the applicable jurisdiction's Dell Privacy Statement, each of which are available at http://www.dell.com/localprivacy, and each of which is hereby incorporated by reference. Customer consents to Dell's collection and use of Telemetry Data for the purposes stated herein.

G. Return of Products; Data Migration. Prior to any Return of Products, including in case of expiration or termination of the corresponding Schedule, Customer must completely migrate and erase (by use of a method that does not cause damage to the Products) its Customer Data and establish a mutually convenient date, generally coinciding with the end of a Billing Period, when the Products will be Returned to Supplier. Customer is liable for any Return costs and shall reimburse Supplier for the reasonable value of any Products that are not Returned or are Returned in a condition that evidences damage in excess of reasonable wear and tear.

4. LICENSE TERMS.

License Grant. Customer is granted a non-exclusive, non-transferable license to use the Software and the Documentation during the Flexible Consumption Period solely for Customer's internal business operations, and, when so indicated on the applicable Schedule, for delivery of services to its end users. Customer's rights to use the Software provided by Supplier during the Flexible Consumption Period are governed by the terms of the Agreement and the terms of the applicable end-user license agreement. Unless different terms have been agreed between the parties, the terms posted on www.dell.com/eula for the relevant Software product family and effective as of the date of the applicable Quote shall apply taking into account the character of this Agreement. Supplier will provide a hard copy of the applicable terms upon request. Unless expressly otherwise agreed, microcode, firmware or operating system software required to enable the Equipment with which it is shipped to perform its basic or enhanced functions, is licensed for use solely on such Equipment item.

5. WARRANTY.

A. Supplier Warranty. During the initial Flexible Consumption Period, Supplier will maintain a Product's ability to perform substantially in accordance with the related Documentation. Customer shall promptly provide Supplier with written notice of any material defect of which it becomes aware. Supplier shall remedy such defect within thirty (30) days of receipt of notice (the "Cure Period"). If Supplier fails to cure such defect within the Cure Period, Supplier's entire liability and Customer's exclusive remedy shall be for Supplier to substitute the defective Product with an identical or equivalent Product model.

B. Exclusions. Supplier shall not be responsible for, and shall have the right to charge Customer for, and Customer shall promptly pay any charges for, Product related problems that arise from (i) accident or neglect by Customer or any third party; (ii) any third party items or services with which the Product is used or other causes beyond Supplier's control; (iii) installation, operation or use not in accordance with Supplier's instructions or the applicable Documentation; (iv) use in an environment, in a manner or for a purpose for which the Product was not designed; (v) modification, alteration or repair by anyone other than Supplier or its authorized representatives; or (vi) in case of Equipment only, causes attributable to normal wear and tear. Supplier has no obligation whatsoever for Software installed or used beyond the licensed use, for Equipment which was moved from the Installation Site without Supplier's consent or whose original identification marks have been altered or removed.

C. No Further Warranties; Disclaimer. EXCEPT AS EXPRESSLY STATED HEREIN, AND TO THE MAXIMUM EXTENT PERMITTED BY APPLICABLE LAW, WITH REGARD TO PRODUCTS, SUPPORT SERVICES OR ANY OTHER ITEMS OR MATTERS ARISING HEREUNDER, SUPPLIER (INCLUDING ITS SUPPLIERS) MAKES NO OTHER EXPRESS WARRANTIES, WRITTEN OR ORAL, UNDER THIS AGREEMENT AND DISCLAIMS ALL IMPLIED WARRANTIES. INSOFAR AS PERMITTED UNDER APPLICABLE LAW, ALL OTHER WARRANTIES ARE SPECIFICALLY EXCLUDED, INCLUDING, BUT NOT LIMITED TO, THE IMPLIED WARRANTIES OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, TITLE AND NON-INFRINGEMENT, AND ANY WARRANTY ARISING BY STATUTE, OPERATION OF LAW, COURSE OF DEALING OR PERFORMANCE, OR USAGE OF TRADE. SUPPLIER AND ITS SUPPLIERS DO NOT WARRANT THAT SOFTWARE WILL OPERATE UNINTERRUPTED OR THAT IT WILL BE FREE FROM DEFECTS OR THAT IT WILL MEET CUSTOMER'S REQUIREMENTS.

D. Customer Operating Environment Warranty. Customer shall, at its expense, operate the Products with reasonable care and in accordance with the Documentation, and keep the Products located at the Installation Site free and clear from any liens or encumbrances. Customer shall operate and maintain a data back-up system in its data center environment. Customer shall provide for a daily back-up process including backing up data before performance of any remedial, upgrade or other works on Customer's production systems.

6.   INDEMNITY.

A. IP Indemnity. Supplier will: (a) defend Customer against any third party claim that Products or Support Services (but excluding Third Party Products and open source software) infringe that party's patent, copyright or trade secret enforceable in the country where Customer acquired the Product from Supplier ("Claim"); and (b) indemnify Customer by paying: (1) the resulting costs and damages finally awarded against Customer by a court of competent jurisdiction to the extent that such are the result of the third party Claim; or (2) the amounts stated in a written settlement negotiated and approved by Supplier.   In addition, should any Product or Support Service become, or in Supplier's opinion be likely to become, the subject of such a Claim, Supplier may, at its expense and in its discretion: (a) obtain a right for Customer to continue using the affected Product or Support Service; (b) modify the affected Product or Support Service to make them non-infringing; (c) replace the affected Product or Support Service with non-infringing substitutes; or (d) notify Customer to return the Product and discontinue Support Services, and, upon receipt thereof, refund the remaining portion, if any, of any pre-paid Flexible Consumption Fee. Except as otherwise provided by law, this section 6 states Customer's exclusive remedies for any third-party intellectual property claim relating to Products or Support Services, and nothing in this Agreement or elsewhere will obligate Supplier to provide any greater indemnity.

B. Exclusions from Indemnity. Supplier has no obligation under section 6.A above: (a) if Customer is in material breach of this Agreement; or (b) for any Claim resulting or arising from: (1) any combination, operation or use of a Product or Support Service with any other products, services, items or technology, including Third Party Products and open source software; (2) use for a purpose or in a manner for which the Product or Support Service was not designed, or use after Supplier notifies Customer to cease such use due to a possible or pending Claim; (3) any modification to the Product or Support Service made by any person other than Supplier or its authorized representatives; (4) any modification to the Product or Support Service made by Supplier pursuant to instructions, designs, specifications or any other information provided to Supplier by or on behalf of Customer; (5) use of any version of a Product when an upgrade or newer iteration of the Product or Support Service made available by Supplier would have avoided the infringement; (6) services provided by Customer (including Claims seeking damages based on any revenue Customer derives from Customer's services); or (7) any data or information that Customer or a third party records on or utilizes in connection with the Products or Support Services.

C. Indemnification Process. Supplier's duty to defend and indemnify under this section is contingent upon Customer: (a) sending prompt written notice of the Claim to Supplier and taking reasonable steps to mitigate damages; (b) granting to Supplier the sole right to control the defense and resolution of the Claim; and (c) cooperating with Supplier in the defense and resolution of the Claim and in mitigating any damages.

7. LIMITATION OF LIABILITY.

A. Limitation on Direct Damages. EXCEPT FOR CUSTOMER'S OBLIGATION TO PAY AMOUNTS OWED HEREUNDER, CUSTOMER'S VIOLATION OF SUPPLIER'S OR ITS AFFILIATES' INTELLECTUAL PROPERTY RIGHTS, OR SUPPLIER'S INDEMNITY OBLIGATION STATED IN SECTION 6 ABOVE, EACH PARTY'S TOTAL LIABILITY FOR ANY CLAIM ARISING UNDER THIS AGREEMENT SHALL BE LIMITED TO THE TOTAL OF THE FLEXIBLE CONSUMPTION FEES FOR THE PRODUCT, SUPPORT SERVICES, OR BOTH TO WHICH THE CLAIM RELATES PAID DURING THE TWELVE (12) MONTH PERIOD IMMEDIATELY PRIOR TO THE DATE ON WHICH THE CLAIM IS MADE, EXCLUDING AMOUNTS RECEIVED AS REIMBURSEMENT OF EXPENSES OR PAYMENT OF TAXES ACCRUED.

B. No Indirect Damages. EXCEPT WITH RESPECT TO CLAIMS REGARDING VIOLATION OF SUPPLIER'S INTELLECTUAL PROPERTY RIGHTS, NEITHER CUSTOMER NOR SUPPLIER SHALL HAVE LIABILITY TO THE OTHER FOR ANY SPECIAL, CONSEQUENTIAL, EXEMPLARY, INCIDENTAL, OR INDIRECT DAMAGES (INCLUDING, BUT NOT LIMITED TO, LOSS OF PROFITS, REVENUES, DATA AND/OR USE), EVEN IF ADVISED OF THE POSSIBILITY THEREOF.

C. Limitation Period. All claims must be made within () the time period specified by applicable law; or (ii) eighteen (18) months after the cause of action accrues if (a) no such period is specified at law; or (b) the applicable law allows the parties to agree to a shorter period than that specified therein.

8. TRADE COMPLIANCE.

Customer is subject to and responsible for compliance with the export control and economic sanctions laws of the United States, the European Union and other applicable jurisdictions (collectively, "Applicable Trade Laws"). Offerings are for Customer's own/internal use, and may not be used, sold, leased, exported, imported, re-exported, or transferred except in compliance with the Applicable Trade Laws. Customer represents and warrants that it is not the subject or target of, or located in a country or territory that is the subject or target of economic sanctions under the Applicable Trade Laws. For further information about geographical restrictions and compliance with Applicable Trade Laws, visit www.dell.com/tradecompliance.

Customer agrees that it will obtain all necessary rights, permissions and consents associated with: (a) technology or data (including personal data) that Customer and its Affiliates provide to Supplier or its Affiliates, and (b) non-Supplier software or other components that Customer and its Affiliates direct or request that Supplier or its Affiliates use with, install, or integrate as part of the Supplier's Offerings. Customer will defend and indemnify Supplier and its Affiliates against any third-party claim resulting from a breach of the foregoing, or from Customer's infringement or misappropriation of intellectual property rights of Supplier, its Affiliates or third parties.

9. TERM; EVENTS OF DEFAULT; REMEDIES.

A. Agreement Term. This Agreement commences on its Effective Date, and unless otherwise terminated as set forth below, shall terminate for convenience when a party sends written notice of termination, which notice shall become effective forty-five (45) days after receipt thereof. Such

termination shall not terminate any Schedule already in effect at the time thereof and shall not impact any renewal provisions of such Schedules. Any provision that by its nature or context is intended to survive any termination or expiration, including but not limited to provisions relating to payment and liability, shall so survive. Unless earlier terminated pursuant to its term, each Schedule shall commence and expire in accordance with its terms.

B. Events of Default. The occurrence of any of the following in connection with the FCA, any Schedule, or any amendments to either of the foregoing documents, shall constitute an Event of Default: (i) Customer shall fail to pay the Monthly Flexible Consumption Fee within thirty (30) days of its due date; (ii) Customer shall fail to perform any provision, covenant, condition or agreement, and such failure shall continue for thirty (30) days after notice thereof; or (iii) bankruptcy, receivership, insolvency, reorganization, dissolution, liquidation, or other similar proceedings shall be instituted by or against Customer or all or any part of its property under the Federal Bankruptcy Code or other law of the United States or any state or jurisdiction in which Customer is organized, and it shall consent thereto or shall fail to cause the same to be discharged within sixty (60) days.

C. Remedies. If an Event of Default shall occur, Supplier may exercise any one or more of the following remedies: (i) immediately terminate any or all Schedules; (ii) by notice in writing to Customer, declare immediately due and payable, and Customer shall be obliged to pay immediately, (1) all past due Monthly Flexible Consumption Fees and other past due amounts plus (2) as the parties agreed upon pre-estimate of damages and not a penalty, all Monthly Flexible Consumption Fees for the Monthly Committed Capacity for the remainder of the Flexible Consumption Period with clause (2) being discounted to present value using the discount rate of the Federal Reserve Bank of Chicago on the Commencement Date of the applicable Schedule and (iii) require Customer to Return any or all Products as provided in Section 3G and/or if requested by Supplier, assemble the Products in a single location designated by Supplier granting Supplier the right to enter the premises where such Products are located for the purpose of repossession; free from all claims by Customer; provided that the parties shall reasonably cooperate to enable Customer to migrate and erase its data and for Supplier to recover such Products. Customer shall be responsible for the payment of the actual documented costs and reasonable attorney's fees incurred by Supplier in retaking possession of the Products and/or seeking to recover amounts due. Supplier shall take reasonable steps to protect Customer Data for thirty (30) days after recovery of Products under this Subsection C.

10.   MISCELLANEOUS.

A. Notices. Notice to Supplier under this Agreement or any related transaction must be in writing and sent (i) by registered or certified mail, postage prepaid first-class mail with return receipt requested; or (ii) by overnight delivery service with verification of receipt, to the address below; or (iii) by electronic mail to: Dell_Legal_Notices@dell.com. All such notices will be effective upon receipt.

EMC Corporation
Attn: Contracts Manager
Dell Legal Department
One Dell Way
Round Rock, TX 78682

B. Entire Agreement. This Agreement, applicable Schedule(s) and each purchase order (i) comprise the complete statement of the agreement of the parties with regard to the subject matter thereof; and (ii) may be modified only in a writing with evidence of acceptance by both parties. All terms of any purchase order or similar document provided by Customer, that are inconsistent or conflict with this Agreement and/or Schedule, shall be null and void and of no legal force or effect.

C. Assignment and Change in Control. The assignment or transfer, whether by operation of law or otherwise, of a party's right(s) or delegation of obligation(s) hereunder, shall require the consent of the other party. However, such consent shall not be required of Customer if the assignment or transfer involves (i) assignment by Supplier or its assignee of the right to receive payments and related rights due by Customer (ii) the purchase of all or substantially all of Supplier's assets or any deemed assignment or transfer by Supplier by reason of merger, consolidation, change-in-control or corporate reorganization. Supplier may use its direct or indirect subsidiaries or other sufficiently qualified subcontractors to provide Services to Customer, provided that Supplier remains responsible to Customer for the Services' performance.

D. Governing Law. This Agreement is governed by the laws of the State of Texas (excluding its conflict of law rules) and the federal laws of the United States. To the extent permitted by law, the state and federal courts located in Texas will be the exclusive jurisdiction for disputes arising out of or in connection with this Agreement. The U.N. Convention on Contracts for the International Sale of Goods does not apply.

E. Waiver. Failure to enforce a provision of this Agreement will not constitute a waiver.

F. Independent Contractors. The parties shall act as independent contractors for all purposes under this Agreement. Nothing contained herein shall be deemed to constitute either party as an agent or representative of the other.

G. Financial Statements. Customer agrees to furnish Customer's financial statements (prepared in accordance with generally accepted accounting principles) and other financial information, relating to a Schedule within five (5) Business Days as Supplier may from time-to-time reasonably request.

H. Severability. If any part of this Agreement, Schedule, purchase order, or quote is held unenforceable, the validity of all remaining parts will not be affected.

I. Order of Precedence. In the event of a conflict between the provisions of the documentation related to this FCA, the order of precedence with respect to the term in conflict will be: (a) the terms of a Schedule (as amended); (b) the terms of this FCA (as amended).

In Witness Whereof, the parties have caused their duly authorized representatives to execute this Agreement as of the Effective Date.

EMC Corporation ("Supplier")

By:_____

Name
(Print):_____

Title:_____

New Orleans Regional Transit Authority ("Customer")

By:_____

Name
(Print):_____

Title:_____

DELLEMC

Flexible Consumption Schedule No. 1 (Flex on Demand) VxRail – U.S.

This Flexible Consumption Schedule No. 1 (the **"Schedule")** sets forth the terms under which the customer identified below ("**Customer**") may access and use certain Products from the Dell EMC entity identified below ("**Dell EMC**"). Customer's use of Products is subject to the terms of this Schedule and the **Governing Agreement** identified below.

Effective Date: _____	Governing Agreement: **Customer's existing Master Flexible Consumption Agreement with Dell EMC dated on or** about: **December 7, 2023**
Name of Dell EMC entity ("Dell EMC"): **EMC CORPORATION** **176 SOUTH STREET** **HOPKINTON, MA 01748**	**Name of Customer:** **NEW ORLEANS REGIONAL TRANSIT AUTHORITY** **2817 CANAL ST** **NEW ORLEANS, LA 70119-6301**

1. Effective Date, Commencement Date.

1.1 Schedule Effective Date and Transaction Start Date. This Schedule expresses the current understanding of Dell EMC and Customer with regard to the Products listed on the Attachment 1 hereto. This Schedule, when signed by Dell EMC and Customer takes effect as of the **Effective Date** shown above.

1.2. Commencement Date. Flexible Consumption Period shall commence on either (i) the first day of the first month following the date the Products have been installed at the Installation Site, or, if Customer delays the installation process or if Customer's facility is not prepared for the installation of Products, (ii) the first day of the second month following the Product's arrival at the Installation Site (as applicable, the **"Commencement Date"**).

2. Listing of Products; Unit of Measure ("UOM") for Software; Level of Support Services.

2.1 Products. The Products subject to this Schedule are listed on the Attachment 1 hereto.

2.2 Unit of Measure for Software. A complete description of the Unit of Measure applicable to each unit of Software listed on the Attachment 1 is contained in the Dell EMC Units of Measure at https://www.dellemc.com/content/dam/digitalassets/active/en/unauth/manual-warranty-informations/products/data-protection/h2483-sw-use-rights.pdf

2.3 Support Services. The following Table 2.3 specifies the level of Support Services to be provided for all Products during the Flexible Consumption Period.

Table 2.3 – Level of Support Services	
Support Services Level is:	ProSupport Plus Mission Critical

2.4 Support Services Terms. Support Services identified in a Schedule relating to Dell-branded and EMC Branded Products will be provided in accordance with and pursuant to the following terms for ProSupport Plus for Infrastructure: https://i.dell.com/sites/csdocuments/Legal_Docs/en/us/dell-prosupport-plus-for-infrastructure-sd-en.pdf

3. BILLING/METRICS. PURCHASE ORDER, FLEXIBLE CONSUMPTION PERIOD AND RENEWALS.

3.1 Billing Metrics and Flexible Consumption Period. Customer is authorized to use all or a portion of the Products and receive Support Services thereon only during the **Flexible Consumption Period** as described in Table 3.3 below. During the Flexible Consumption Period, Dell EMC will measure the usage of the Products on a daily basis and issue a monthly invoice, in arrears, to Customer that reflects the amount of average usage during the prior month. The monthly Flexible Consumption Fee for usage is based on a minimum committed amount of use (the "**Monthly Committed Capacity**") plus any usage in excess thereof (use of the **"Monthly Reserve Capacity").** The Metered Total Capacity, Monthly Committed Capacity and Reserve Capacity are measured by means of the following metric: **"Consumed Raw Storage"** shall mean the amount of Storage written or reserved by the Asset(s) to provide Storage to Servers or used for maintaining replicas of Server Storage. This measure does not include storage used for disk formatting or dedicated spare disks and includes storage used for Protection/RAID overhead and (where appropriate) dynamic sparing overhead on the System. This measure is after the application of storage reduction techniques performed by the Asset(s) such as compression and de-duplication.This definition means that storage consumed on the Asset(s) that cannot be reused by other means is converted to a Raw format by adding the parity and protection overheads.

"Consumed Physical Node RAM" shall mean the amount of a physical node's Random-Access Memory that is a utilized at a given point in time expressed in units of GiB.This unit of measure is represented as a mean average over a defined period of time, e.g. daily, weekly or monthly. This measure includes RAM consumption as a result of the operating system, hypervisor or any other software running on the physical node.

3.2 Capacities and Asset Metering. Prior to Billing, Dell EMC will provide Customer a monthly usage report, which reflects both the Metered Total Capacity of the Products and the Monthly Committed Capacity as a Percentage of that Metered Total Capacity. **"Metered Total Capacity"** means the reported capacity of the Products based upon Customer's storage configuration in the applicable environment. Monthly reports will reflect the Metered Total Capacity of Products as reported by the asset and will scale the Monthly Committed Capacity in line with the Monthly Committed Capacity as a Percentage of Metered Total Capacity (see table 3.3). The committed Monthly Flexible Consumption Fee, the Monthly Unit Rate (Charge per GiB per Month) and the Monthly Committed Capacity as a Percentage of Metered Total Capacity remain fixed.

3.3 Rate, Billing Period and Flexible Consumption Fee; Reserve Capacity Cap. Table 3.3 sets forth the Billing Period, Monthly Unit Rate, the Flexible Consumption Period and Fee for the Monthly Committed Capacity. The Flexible Consumption Fee per Billing Period is the sum of the fee for the Monthly Committed Capacity and plus the fee for the Reserve Capacity, if any, used during that Billing Period. These fees are calculated by multiplying the applicable amount of use by the Monthly Unit Rate. In no event shall the Flexible Consumption Fee for any Billing Period be less than that which would apply to the Monthly Committed Capacity. Without limiting the foregoing, Customer is responsible to pay Dell EMC the fees for the Monthly Committed Capacity in accordance with the terms and conditions of this Schedule even if Customer's actual usage is less than the Monthly Committed Capacity. If the monthly use is not greater than the Monthly Committed Capacity, no Reserve Capacity fee shall be due. If the monthly use exceeds the Monthly Committed Capacity, Dell EMC shall calculate the amount of the Reserve Capacity usage, using the Monthly Unit Rate set forth in Table 3.3 and include the amount in the next monthly invoice issued by Dell EMC.

Table 3.3 – Billing Information - Storage	
Flexible Consumption Period begins on	The Commencement Date
Flexible Consumption Period duration is:	Thirty-six (36, but continues thereafter on a month-to-month basis until all Product is made available for pick-up by Dell EMC.
Billing Period	Monthly (in arrears)
Monthly Committed Capacity as a Percentage of Metered Total Capacity	50%
Monthly Unit Rate (Charge per GiB per Month)	$ 0.0222
Monthly Flexible Consumption Fee for Monthly Committed Capacity	$ 2,646.44

Table 3.3 – Billing Information - Memory	
Flexible Consumption Period begins on	The Commencement Date
Flexible Consumption Period duration is:	Thirty-six (36), but continues thereafter on a month-to-month basis until all Product is made available for pick-up by Dell EMC.
Billing Period	Monthly (in arrears)
Monthly Committed Capacity as a Percentage of Metered Total Capacity	50%
Monthly Unit Rate (Charge per GiB per Month)	$ 2.4708
Monthly Flexible Consumption Fee for Monthly Committed Capacity	$ 2,530.10

Dell EMC shall charge Customer the Monthly Unit Rate for use of Reserve Capacity above the Monthly Committed Capacity up to eighty-five (85%) percent of the Metered Total Capacity, and Customer's use of the Reserve Capacity between 85% and 100% of the Metered Total Capacity be at no charge to Customer ("Reserve Capacity Cap") except in cases of: (i) interruption of monitoring when customer is at fault (Section 2.F of the MFCA), or (ii) Customer is in default of this Schedule, where in either case Dell EMC will continue to invoice for use up to 100%. Dell EMC shall issue invoices referencing this Schedule.

3.4 Purchase Order Requirements. Customer's initial purchase order must specify an amount that is at least equal to the monthly Flexible Consumption Fee for the Monthly Committed Capacity multiplied by the number of months in the Flexible Consumption Period. That minimum amount of the purchase order is shown in Table 3.4 below. Customer shall pay all invoices for Flexible Consumption Fees, including, but not limited to, those that contain charges for use of Reserve Capacity, regardless of whether or not such amounts exceed the amount of Customer's purchase order(s) issued to Dell EMC in connection with this Schedule. If Dell EMC reasonably determines that the amount of Customer's original purchase order will not cover the actual Flexible Consumption Fee, then Dell EMC will notify and discuss the situation with Customer. Upon agreement on the additional funds, Customer shall promptly issue a related purchase order for that additional amount.

Table 3.4 – Purchase Order Amount	
Customer Purchase Order amount is:	$ 186,355.44

Regional Transit Authority MFCA Schedule 1 - VxRail
20220201

3.5 **Increasing Monthly Committed Capacity/Flexible Consumption Period.** During the Flexible Consumption Period, Customer may increase (i) its Monthly Committed Capacity; or (ii) both the duration of the Flexible Consumption Period and the Monthly Committed Capacity at the applicable Monthly Unit Rates stated in Table 3.5 below. To do so, Customer must agree to the increase in an amendment to this Schedule. When Dell EMC and Customer have agreed on the increase, Dell EMC shall prepare and send an amendment to Customer using the pricing in Table 3.3. The parties shall indicate their acceptance by signing the amendment and Dell EMC shall invoice Customer based on the new pricing pursuant to the amendment. When extending the duration of the Flexible Consumption Period, the revised duration continues to be measured from the original Commencement Date of the Flexible Consumption Period. If the duration of Flexible Consumption Period was thirty (36) months and the amendment adds six (6) months, then the new Flexible Consumption Period is a total of forty-two (42) months, beginning on the original starting date. The revised Monthly Unit Rate commences on the first day of the first month following the month in which the amendment becomes effective. In no event shall the amendment have any retroactive effect.

Table 3.5 – Pricing for Increases Monthly Committed Capacity/Flexible Consumption Period				
STORAGE				
80%	0.0179	0.0173	0.0165	0.0161	0.0158
70%	0.0192	0.0185	0.0175	0.0170	0.0165
60%	0.0206	0.0199	0.0185	0.0180	0.0172
50%	0.0222	0.0214	0.0196	0.0191	0.0179
	36 months	42 months	48 months	54 months	60 months

		MEMORY		
80%	1.9883	1.9189	1.8258	1.7789	1.7383
70%	2.1268	2.0525	1.9529	1.9027	1.8593
60%	2.2859	2.2061	2.0990	2.0451	1.9984
50%	2.4708	2.3845	2.2688	2.2105	2.1600
	36 months	42 months	48 months	54 months	60 months

3.6 **Renewal and/or Month-to-Month Extension.** Prior to the expiration of the applicable Flexible Consumption Period, Customer shall notify Dell EMC that Customer no longer wishes to use the Products. Customer shall completely migrate its information and data off of the Products and establish a mutually convenient date, coinciding with the end of a Billing Period, when the Products will be returned to Dell EMC. However, until Customer notifies Dell EMC that Customer has removed its data and the Products have been returned, Customer shall continue to pay the then currently applicable Flexible Consumption Fee on a month-to-month basis. In order to implement a new agreement, Customer must issue a new purchase order that complies with the requirements of the new agreement. Customer agrees to pay all charges incurred on a month-to-month extension regardless of whether or not it has issued a purchase order to Dell EMC.

4. **DELIVERY, INSTALLATION AND IDENTIFICATION.**

4.1 **Delivery.** Dell EMC shall deliver all Products to the "Ship-To" address stated in Table 4.3 below. Where Software is provided in a form that is embedded on the Equipment, Dell EMC will enable any required license keys (meaning information needed to enable activation and use of the Software) by electronic means.

4.2 **Deployment Services.** Deployed Services, subject to this Schedule, are listed on the Attachment 1 hereto. Other services, may be made available under a separate contract signed by the parties.

4.3. **Shipment and Installation Site(s).**

Table 4.3 – Shipment and Installation Site(s).	
Licensed Software Ship-To Address (one address):	**Installation Site(s), if any:**
2817 CANAL ST NEW ORLEANS, LA 70119-6301	2817 CANAL ST NEW ORLEANS, LA 70119-6301

5. **Miscellaneous.** Unless otherwise set forth above, the terms and conditions of the Governing Agreement shall apply to, and shall be considered incorporated into, this Schedule. Customer and Dell EMC agree that a signed Schedule may be amended by written notice from Dell EMC to Customer provided such notice is to correct the serial number or description of Products listed on Attachment 1.

The parties have caused their authorized representatives to sign and this Schedule becomes effective as of the Effective Date.

EMC Corporation ("Dell EMC")   **REGIONAL TRANSIT AUTHORITY ("Customer")**

By (Sign): _____   By (Sign): _____

Name (Print): _____   Name (Print): _____

Title: _____   Title: _____

Attachment 1

QUOTE # 3000169443491

SKU Number	Description	Quantity
210-ALTG	Dell EMC Switch S4128F-ON, 1U, 28 x 10GbE SFP+, 2 x QSFP28, PSU to IO, 2 PSU	2
470-ACMH	Dell Networking Cable, OM4 LC/LC Fiber Cable, (Optics required), 10 Meter	4
619-AMIZ	OS10 Enterprise S4128F-ON	2
450-AAFH	Power Cord, 125V, 15A, 10 Feet, NEMA 5-15/C13	2
450-AAFH	Power Cord, 125V, 15A, 10 Feet, NEMA 5-15/C13	2
407-BCZR	Dell Networking, Transceiver, SFP+, 10GbE, SR, 850nm Wavelength, 300m Reach	4
470-ABOU	Dell Networking Cable, 100GbE QSFP28 to QSFP28, Passive Copper Direct Attach Cable, 0.5 Meter	2
343-BBGC	Dell EMC Networking S4100-ON Americas User Guide	2
814-1417	Dell Hardware Limited Warranty 1 Year	2
814-1460	ProSupport Plus:Mission Critical 4-Hour 7x24 On-Site Service with Emergency Dispatch,1 Year	2
814-1466	ProSupport Plus Mission Critical:7x24 HW/SW Technical Support and Assistance, 3 Years	2
814-1467	ProSupport Plus:Mission Critical 4-Hour 7x24 On-Site Service with Emergency Dispatch, 2 Years Extended	2
951-2015	Thank you for choosing Dell ProSupport Plus. For tech support, visit //www.dell.com/contactdell	2
975-3461	Dell Limited Hardware Warranty Extended Year(s)	2
997-6306	Info 3rd Party Software Warranty provided by Vendor	2
804-2147	ProDeploy Plus Dell Networking S Series 4XXX Switch - Deployment	2
804-2148	ProDeploy Plus Dell Networking S Series 4XXX Switch - Deployment Verification	2
812-4037	ProDeploy Plus No Charge Training 500	2
848-8541	3 Years ProSupport Plus OS10 Enterprise Software Support-Maintenance	2
210-BCWT	VxRail S670	4
329-BDWH	PSNT Info	4
384-BDMH	VxRail P670F/N V670F S670 Firmware Lock	4
634-CGQC	VxRail Software 8.0.100 Factory Install	4
379-BDYQ	No Transformational License Agreement	4
321-BGLS	3.5" Chassis with up to 12 HDDs (SAS/SATA), 4x2.5" Rear HDDs (SAS/SATA) for 1CPU Configuration	4
325-BDYT	VxRail 2U Bezel V2	4
338-CBBU	Intel Xeon Gold 6346 3.1G, 16C/32T, 11.2GT/s, 36M Cache, Turbo, HT (205W) DDR4-3200	4
374-BBBX	No Additional Processor	4
370-AEVR	3200MT/s RDIMMs	4
370-BBQN	32GB RDIMM, 3200MT/s, Dual Rank 16Gb BASE x8 - HCI	64
400-ASIB	8TB 7.2K RPM SAS ISE 12Gbps 512e 3.5in Hard Drive	32
345-BEPH	1.6TB SSD SAS ISE, Mixed Use, up to 24Gbps 512e 2.5in Flex Bay, AG Drive	16
540-BCRX	Broadcom 57504 Quad Port 10/25GbE,SFP28, OCP NIC 3.0	4
461-AAIG	Trusted Platform Module 2.0 V3	4
770-BBBQ	ReadyRails Sliding Rails	4
770-BDRQ	Cable Management Arm, 2U	4
450-AJHG	Dual, Hot-Plug,Power Supply Redundant (1+1), 1400W, Mixed Mode	4

Regional Transit Authority MFCA Schedule 1 - VxRail
20220201

	Attachment 1 Continued	
450-AALV	Power Cord - C13, 3M, 125V, 15A (North America, Guam, North Marianas, Philippines, Samoa, Vietnam)	8
492-BBDI	C13 to C14, PDU Style, 12 AMP, 6.5 Feet (2m) Power Cord, North America	8
750-ACOM	Fan Foam, HDD 2U	4
470-AAGP	Dell Networking, Cable, SFP+ to SFP+, 10GbE, Copper Twinax Direct Attach Cable, 3 Meter	16
149-BBTD	VxRail VMware, vSAN Standard, 3 Years	4
634-BYPC	VxRail HCI System Software, S	4
634-BVNJ	VxRail HCI System Software, Capacity Drive, 8TB	32
634-BYME	VxRail HCI System Software Memory, 32GB	64
151-BBXO	VxRail VMware vSphere Enterprise Plus for 1 processor, 3 Years	4
863-1704	3 Years ProSupport Plus Mission Critical vSphere Ent Plus for 1 Proc Sftwr Spt-Maint	4
863-1759	3 Years ProSupport Plus Mission Critical vSphere Ent Plus for 1 Proc Sftwr Spt-Contract	4
379-BDTB	4x2.5 Rear Storage	4
878-1781	Dell Hardware Limited Warranty	4
878-1938	Prosupport Plus Mission Critical 4-Hour 7x24 Onsite Service with Emergency Dispatch 3 Years	4
878-1939	Prosupport Plus Mission Critical 7x24 Technical Support and Assistance 3 Years	4
951-2015	Thank you for choosing Dell ProSupport Plus. For tech support, visit //www.dell.com/contactdell	4
823-4103	ProSupport Plus Mission Critical, vSAN, Standard, 1 Processor, 3 Years	4
862-9099	Optimize for Infrastructure Monthly 3 Years	4
812-4011	ProDeploy Plus No Charge Training 200	4
819-2575	ProDeploy Plus Dell EMC VxRail Deployment	4
819-2576	ProDeploy Plus Dell EMC VxRail Deployment Verification	4
875-6011	Remote Consulting Residency For Multicloud, 5 Days For 1 Week	4
389-DYHE	PowerEdge R750 CE Marking, No CCC Marking	4
389-DYHG	Dell/EMC label (BIS) for 3.5" Chassis	4
379-BDSS	SAS/SATA Backplane	4
340-CWLS	P/V 670 Shipping, DAO	4
481-BBFG	PowerEdge R750 Shipping Material	4
379-BDSZ	3.5 Chassis	4
540-BDFC	VxRail S670, Riser Config 9, 2A, 1x16LP	4
329-BHKD	VxRail S670 Branding	4
329-BGKO	PowerEdge R750 Motherboard, Barlow Pass Enabled, with Broadcom 5720 Dual Port 1Gb On-Board LOM	4
412-AAWF	Heatsink for 1 CPU configuration (CPU greater than or equal to 165W)	4
370-AAIP	Performance Optimized	4
780-BCQR	C43, No RAID	4
405-AAZF	Dell HBA355i Adapter, Low Profile	4
403-BCMB	BOSS-S2 controller card + with 2 M.2 480GB (RAID 1)	4
470-AERS	BOSS Cables and Bracket for R750 (4x2.5" Rear)	4
385-BBQV	iDRAC9, Enterprise 15G	4
379-BCQY	iDRAC Group Manager, Disabled	4
379-BCSG	iDRAC,Legacy Password	4
379-BCRB	DHCP with Zero Touch Configuration	4
750-ADGL	High Performance Fan x6	4
350-BBYX	No Quick Sync	4
631-AACK	No Systems Documentation, No OpenManage DVD Kit	4
387-BBEY	No Energy Star	4
800-BBDM	UEFI BIOS Boot Mode with GPT Partition	4

	Attachment 1 Continued	
350-BCJF	VxRail S670 Luggage Tag	4
210-ARZC	Recover Point for Virtual Machine	4
865-3492	3 Years ProSupport Plus Mission Critical RecoverPoint for Virtual Machines Sftwr Spt-Contract	4
900-9997	On-Site Installation Declined	4
626-BBBG	Storage Software Info	4
142-BBNV	HCIA RecoverPoint for VMs for 1 node	4

Regional Transit Authority MFCA Schedule 1 - VxRail
20220201

O'Sullivan, Doris

From:	Hawkins, Brennan <Brennan.Hawkins@Dell.com>
Sent:	Thursday, December 7, 2023 5:15 PM
To:	O'Sullivan, Doris; Jee, Norman
Cc:	Agarwal, Shruti; Willett, Suzanne; Young, Derrick
Subject:	RE: RTA LA - APEX
Attachments:	Flex on Demand Schedule No. 1- REGIONAL TRANSIT AUTHORITY - NEW ORLEANS - VxRail.pdf; REGIONAL TRANSIT AUTHORITY - NEW ORLEANS Flexible Consumption Agreement 15AUG2023 US.pdf

Doris,

Attached is the executable contract and schedule. Per our conversation, below outlines the Louisiana state contract code requirements that you requested.

Below is the contract code that is tied to quote # 3000169443491.

This is referenced in the attachment labeled Flex on Demand Schedule No 1 on pg. 5.

In regards to services and migration, this contract includes pro deploy plus, migration services for all of your existing virtual machines to the new equipment, and pro support plus mission critical for the entire 3 year duration.

1

If there are any other questions or concerns that need to be addressed we are happy to get on a call tomorrow. Apologies for the delay.

Thanks,

Brennan Hawkins
Data Center Account Executive
Dell Technologies | LA, MS, AR
Cell: 612-916-1397
Brennan.Hawkins@Dell.com

DELLTechnologies

From: O'Sullivan, Doris <dosullivan@rtaforward.org>
Sent: Thursday, December 7, 2023 9:30 AM
To: Hawkins, Brennan; Young, Derrick; Jee, Norman
Cc: Agarwal, Shruti
Subject: RE: RTA LA - APEX

Dear Brennan,

Please forward the quote for this product. There are steps needing to be taken on the RTA side as well. Please update this team on the status.

Thank you,
Doris

Doris O'Sullivan
Project Manager III
New Orleans Regional Transit Authority
****
Upcoming Out of Office – 12/15/23 to 12/25/23
Returning 12/26/23
Happy Holidays!!!

-----Original Appointment-----
From: Hawkins, Brennan <Brennan.Hawkins@Dell.com>
Sent: Friday, December 1, 2023 1:23 PM
To: Hawkins, Brennan; O'Sullivan, Doris; Young, Derrick; Jee, Norman
Cc: Agarwal, Shruti
Subject: RTA LA - APEX
When: Friday, December 1, 2023 3:00 PM-3:30 PM (UTC-06:00) Central Time (US & Canada).
Where: https://Dell.zoom.us/my/brennanhawkins

-----Original Appointment-----
From: Hawkins, Brennan <Brennan.Hawkins@Dell.com>

RESOLUTION NO. _____

STATE OF LOUISIANA

PARISH OF ORLEANS

AUTHORIZATION TO AWARD A CONTRACT TO DELL TECHNOLOGIES APEX

Introduced by Commissioner _____,
seconded by Commissioner _____.

WHEREAS, RTA computing resources runs on two critical operating systems, Computer-Aided Dispatch (CAD) and RTA corporate network, have reached operational life; are at maximum storage capacity; and, are no longer supported by the manufacturers; and

WHEREAS, RTA needs to upgrade current computing and storage systems to continue to support these critical operating systems; and

WHEREAS, a monthly "pay-as-you-go" capacity-based model reduces a large capital outlay, reduces commitment for future technology disposal costs, and includes support for both virtualization software and hardware maintenance support; and,

WHEREAS, the required service is available to procure through an active State of Louisiana Contract: Code C000000010742 with Dell NASPO Computer Equipment PA; and

WHEREAS, the funding is currently available for a total cost of $186,355.44 over 36 months through the current operating budget to be split evenly from codes 01-2900-02-7140-170-00-00000-00000 and 01-2900-02-8580-170-00-00000-00000; and

RESOLUTION NO. _____
Page 2

      NOW, THEREFORE, BE IT RESOLVED by the Board of Commissioners of the Regional Transit Authority (RTA) that the Chairman of the Board, or his designee, authorize the CEO to award a 36-month contract to Dell Technologies for an amount not-to-exceed $186,355.44.

THE FOREGOING WAS READ IN FULL, THE ROLL WAS CALLED ON THE ADOPTION THEREOF AND RESULTED AS FOLLOWS:

          YEAS: _____

          NAYS: _____

          ABSTAIN: _____

          ABSENT: _____

      AND THE RESOLUTION WAS ADOPTED ON THE 23rd DAY OF JANUARY, 2024.

_____
MARK RAYMOND, JR.
CHAIRMAN
BOARD OF COMMISSIONERS

New Orleans Regional Transit Authority

Board Report and Staff Summary

File #: 23-215   **Board of Commissioners**

RTA NeoGov Contract Renewal

DESCRIPTION: NeoGov contract renewal for Human Capital Applicant and employee suite services for FY 2024	AGENDA NO: *Click or tap here to enter text.*
ACTION REQUEST: ☒ Approval ☐ Review Comment ☐ Information Only ☐ Other	

RECOMMENDATION:

Authorize the Chief Executive Officer to approve a contract renewal for NeoGov services through January 30, 2025, for a total cost of $139,277.31.

ISSUE/BACKGROUND:

RTA Human Capital Department uses NeoGov for onboarding, learning and talent management, and Eforms Policy. RTA seeks to continue NeoGov Software as a Service through 2024.

DISCUSSION:

The NeoGov initial contract supported 78 employees in the hiring and time and payroll was executed in February 2020 in the amount of $53,291 for two years. Resolution 21-043 in June 2021 initiated a change order to increase employees to a total workforce of 818 employees (at that time). Additionally, payroll time and attendance were removed, and learn management and benefits modules were added. The 2023 renewal saw the addition of an Eforms Policy Manager.

With the implementation of Core HR in Oracle in 2023, HRIS and Benefits were removed from the scope of NeoGov thereby reducing the total costs for modules to the current 2024 subscription of $139,277.31. RTA wishes to continue with NeoGov as a software service at this time.

FINANCIAL IMPACT:

The funding is currently available through 01.2900.01.7140.167.00.00.00000.00000 for a total cost of $139,277.31.

NEXT STEPS:

Upon RTA Board approval, staff will assign a purchase order and complete the project.

ATTACHMENTS:

1. Resolution
2. Procurement summary/ Routing sheet
3. Sole Source Justification Form
4. Invoice

Prepared By: Doris O'Sullivan
Title: Project Manager of Information Technology III

Reviewed By: Sterlin Stevens
Title: Director of Information Technology

Reviewed By: Gizelle Johnson Banks
Title: Chief Financial Officer

1/4/2024

Lona Hankins   Date
Chief Executive Officer

RESOLUTION NO. _____

STATE OF LOUISIANA

PARISH OF ORLEANS

AUTHORIZATION TO AWARD A CONTRACT TO NEOGOV

Introduced by Commissioner _____,
seconded by Commissioner _____.

WHEREAS, RTA seeks authorization to approve the contract renewal for NeoGov services through FY 2025; and

WHEREAS, RTA Human Capital Department uses NeoGov for onboarding, learn & talent management, and Eforms Policy. RTA seeks to continue NeoGov Software as a Service through 2024; and

WHEREAS, The NeoGov initial contract supported 78 employees in the hiring and time and payroll was executed in February 2020 in the amount of $53,291 for two years. Resolution 21-043 in June 2021 initiated a change order to increase employees to total workforce of 818 employees (at that time). Additionally, payroll time and attendance were removed, and learn management and benefits module were added. Resolution 22-176 saw the addition of Eforms Policy manager at a total cost of $199,528.36; and

WHEREAS, With the implementation of Core HR and Benefits in Oracle in 2023, HRIS and Benefits was removed from the subscription in NeoGov which reduced the total costs for modules by $60,251.05. The 2024 subscription cost is $139,277.31. RTA wishes to continue with NeoGov as a Software Service at this time; and

RESOLUTION NO. _____
Page 2

      WHEREAS, The funding is currently available through 01.2900.01.7140.167.00.00.00000.00000 for a total cost of $139,277.31; and

      NOW, THEREFORE, BE IT RESOLVED by the Board of Commissioners of the Regional Transit Authority (RTA) that the Chairman of the Board, or his designee, authorize the CEO to award a contract to NeoGov.

THE FOREGOING WAS READ IN FULL, THE ROLL WAS CALLED ON THE ADOPTION THEREOF AND RESULTED AS FOLLOWS:

YEAS: _____

NAYS: _____

ABSTAIN: _____

ABSENT: _____

      AND THE RESOLUTION WAS ADOPTED ON THE 23rd DAY OF JANUARY, 2024.

_____
MARK RAYMOND, JR.
CHAIRMAN
BOARD OF COMMISSIONERS

Regional Transit Authority

RTA ▶▶ You're On Your Way!™

SOLE SOURCE JUSTIFICATION FORM
FOR TRANSACTION OVER $25,000

Request with ID: 125, it has been approved and thus not editable any longer. Please do not delete it.

☑ Default Email Routing Assigment *

☐ Check to see any reject comments

☐ Click to see full log

REQUEST ID: 125
Mode: Final Approval
Status: Approved
Stage: Document Generated
Created By: O'SULLIVAN, DORIS

REQUESTOR
Title: PROJECT MANAGER III   Name: O'SULLIVAN, DORIS   Email: dosullivan@rtaforward.org

EMAIL ROUTING ASSIGMENTS

Dir/Dept Head Personnel Lookup *	Dept Head Full Name	Dept Head RTA Email *
Sterlin Stevens	Sterlin Stevens	sstevens@rtaforward.org

Info Tech Lookup	Info Tech Full Name	Info Tech RTA Email *
Sterlin Stevens	Sterlin Stevens	sstevens@rtaforward.org

Grants Personnel Lookup	Dir Grants Rep Full Name	Dir Grants RTA Email *
Ron Baptiste	Ron Baptiste	rbaptiste@rtaforward.org

Budget Personnel Lookup	Budget Analyst Full Name	Budget Analyst RTA Email *
Eugenie Fernerty	Eugenie Fernerty	efenerty@rtaforward.org

Safety Personnel Lookup	Chief Safety Full Name	Chief Safety RTA Email *
	Safety Team	SafetyProcurementTeam@r

Risk Personnel Lookup	Risk Analyst Full Name	Risk Analyst RTA Email *
	Risk Team	RiskProcurementTeam@rtaf

SBE Personnel Lookup	Dir SBE Full Name	Dir SBE RTA Email *

	SBE Team	SBEProcurementTeam@rtaf

DBE Personnel Lookup | DBE/EEO Compliance Manager Name | DBE/EEO Compliance Manager RTA Email *

| | DBE Team | DBEProcurementTeam@rta |

Chief Lookup *

Dwight Norton

Chief Full Name

#Dwight Norton

Chief RTA Email *

dnorton@rtaforward.org

Procurement Lookup

Dir Procurement Full Name

Procurement Team

Dir Procurement RTA Email *

ProcurementDeptTeam@rta

CFO Lookup

CFO Full Name

CFO Team

CFO RTA Email *

CFO-Procurememt-Approve

CEO Lookup

CEO Full Name

CEO Team

CEO RTA Email *

CEOProcurementApprovers

FOR PROCUREMENT USE ONLY:

FTA C 4220.1F states: Sole Source Justification - If the recipient decides to solicit an offer from only one source, the recipient must justify its decision adequately considering the standards of subparagraph 3.i(1)(b) of this Chapter. This procurement can be defined as any contract entered without a competitive process. based on a justification that only one known source exists or that only one single supplier can fulfill the requirements. FTA expects this sole source justification to be in writing.

Requisition number

RTAR_00268

Ext. *

8380

2. This acquisition is restricted to the following source:

Manufacturer *

Governmentjobs.com

Manufacturer address *

2120 Park Pl, Suite 100, El Segundo, CA 90245

Manufacturer Dealer/Representative *

Emily Willis

Dealer/representative address and Phone *

ewillis@neogov.net; 310-658-5752

---

3. Description of the materials/service required, the estimated cost, and required delivery date.

Materials/Service *

Annual Software Subscription

Estimated Cost *

$ 139,277.31

ICE FILE ATTACHMENT IS REQUIRED TO CONTINUE...! *

ICE Form NG.docx

invoice_INV-38794 NG 2024.pdf

Required Delivery Date *

Jan 15, 2024

4. Specific characteristics of the materials/service that limit the availability to a sole source are unique features and functionality of the system. *

The initial contract supported 78 RTA employees without the benefits and learning management modules only insight (hiring module) was executed in February 2020 in the amount of $53,291 for two years. A change order for NEOGOV services was approved via Resolution 21-043 in June of 2021 for a total contract increase of $134,972.25 totaling $188,263.25. The initial contract sufficed for the agency size, approximately 78 employees, prior to the transition of 740 employees whereby the RTA became responsible for its own operations and maintenance with an initial workforce of 818 employees. Additionally, removing payroll time and attendance which is contracted with another vendor for the RTA, and adding to NEOGOV the training learns management module and employee self-service benefits module. The 2023 annual contract totaling of $199,528.36 added the Eforms Policy.

With the implementation of Core HR in Oracle in 2023, HRIS was removed from scope from NeoGov thereby reducing total costs for modules to the current 2024 subscription of 139,277.31. RTA wishes to continue with NeoGov as a Software Service at this time.

5. Reason for sole-source *

⦿ Material/Service must be compatible

◯ Patent, copyright, or proprietary data limits

◯ Direct replacement parts/components

◯ Other information to support sole-source

The material or service must be compatible in all aspects (form, fit, and function) with existing systems presently installed. Describe the equipment you have now and how the new materials/service must coordinate, connect, or interface with the existing system.

Project ID (optional)

[   ]

Associate the Procurement with existing RTA projects

☐ Check to add attachments

(a) Sole Source. When the recipient requires supplies or services available from only one responsible source, and no other supplies or services will satisfy its requirements, the recipient may make a sole source award. When the recipient requires an existing contractor to make a change to its contract that is beyond the scope of that contract, the recipient has made a sole source award that must be justified.

Unique Capability or Availability *

◯ Unique or Innovative Concept

◯ Patents or Restricted Data Rights

⦿ Substantial Duplication Costs

◯ Unacceptable Delay

B. Certification of Authorized Grant

Specification of Authorized Grant is Required?   Director of Grants / Federal Compliance

◯ Yes   ⦿ No   RON BAPTISTE

C. Safety, Security and Emergency Management

Include Safety Review and Approval is Required   Safety Chief

[✓ ◯]   SAFETY TEAM
Yes

☐ Check to add Safety Attachments

Include STD Insurance Provisions is Required   Risk Management Analyst

                                                       RISK TEAM

✓ ◯
Yes

☐ Check to add Risk Attachments

D. Funding Source

Funding Type *   Budget Analyst

☐ Federal ☐ State ☑ Local ☐ Other   **EUGENIE FERNERTY**

Available Federal   Available State Funding   Available Local Funding   Available Other
funding   *   Funding

$ [   ] $ [   ] $ [139,277.31] $ [   ]

Estimated Federal cost   Estimated State Cost   Estimated Local Cost *   Estimated Other Cost

$ [   ] $ [   ] $ [139,277.31] $ [   ]

Total Available Funding Est. Fed/State/Local/Other total   Estimated Amount Entered
                         cost

$ [139,277.31] $ [139,277.31] $ [139,277.31]

Is Mult-Year Required?

◯
No

Note: The default "Budget Team" includes all budget analysts.
They will all get an email, but only one will approve according to the budget code assignment.

Budget Code -1 *   FTA Grant -1

[01-2900-02-7140-167-00-00-00000-00000]   [   ]

Budget Code - 2   FTA Grant - 2

[   ]   [   ]

Budget Code - 3   FTA Grant - 3

[   ]   [   ]

Budget Code - 4   FTA Grant - 4

[   ]   [   ]

Budget code-5

E. DBE / SBE Goal Review and Approval is required

Director of Small Business Development   DBE/EEO Compliance Manager

SBE TEAM   **DBE TEAM**

Department Representative

I have reviewed this form and the attachments provided and by inputing my name below, I give authority to the above stated department representative to proceed as lead in the procurement process.

Input the Department Requestor Name   Date *

Doris O'Sullivan   Nov 16, 2023

Regional Transit Authority

RTA *You're On Your Way!*

SOLE SOURCE JUSTIFICATION FORM
FOR TRANSACTION OVER $25,000

Request with ID: 125, it has been approved and thus not editable any longer. Please do not delete it.

☑ Default Email Routing Assigment *

☐ Check to see any reject comments

☐ Click to see full log

REQUEST ID: 125
Mode: Final Approval
Status: Approved
Stage: Document Generated
Created By: O'SULLIVAN, DORIS

REQUESTOR

Title: PROJECT MANAGER III   Name: O'SULLIVAN, DORIS   Email: dosullivan@rtaforward.org

EMAIL ROUTING ASSIGMENTS

Dir/Dept Head Personnel Lookup *	Dept Head Full Name	Dept Head RTA Email *
Sterlin Stevens	Sterlin Stevens	sstevens@rtaforward.org

Info Tech Lookup	Info Tech Full Name	Info Tech RTA Email *
Sterlin Stevens	Sterlin Stevens	sstevens@rtaforward.org

Grants Personnel Lookup	Dir Grants Rep Full Name	Dir Grants RTA Email *
Ron Baptiste	Ron Baptiste	rbaptiste@rtaforward.org

Budget Personnel Lookup	Budget Analyst Full Name	Budget Analyst RTA Email *
Eugenie Fernerty	Eugenie Fernerty	efenerty@rtaforward.org

Safety Personnel Lookup	Chief Safety Full Name	Chief Safety RTA Email *
	Safety Team	SafetyProcurementTeam@r

Risk Personnel Lookup	Risk Analyst Full Name	Risk Analyst RTA Email *
	Risk Team	RiskProcurementTeam@rta

SBE Personnel Lookup	Dir SBE Full Name	Dir SBE RTA Email *

| | SBE Team | SBEProcurementTeam@rtaf |

DBE Personnel Lookup | DBE/EEO Compliance Manager Name | DBE/EEO Compliance Manager RTA Email *

| | DBE Team | DBEProcurementTeam@rta |

Chief Lookup * | Chief Full Name | Chief RTA Email *

| Dwight Norton | #Dwight Norton | dnorton@rtaforward.org |

Procurement Lookup | Dir Procurement Full Name | Dir Procurement RTA Email *

| | Procurement Team | ProcurementDeptTeam@rt |

CFO Lookup | CFO Full Name | CFO RTA Email *

| | CFO Team | CFO-Procurememt-Approve |

CEO Lookup | CEO Full Name | CEO RTA Email *

| | CEO Team | CEOProcurementApprovers |

FOR PROCUREMENT USE ONLY:

FTA C 4220.1F states: Sole Source Justification - If the recipient decides to solicit an offer from only one source, the recipient must justify its decision adequately considering the standards of subparagraph 3.i(1)(b) of this Chapter. This procurement can be defined as any contract entered without a competitive process. based on a justification that only one known source exists or that only one single supplier can fulfill the requirements. FTA expects this sole source justification to be in writing.

Requisition number | Ext. *

RTAR_00268 | 8380

2. This acquisition is restricted to the following source:

Manufacturer *

Governmentjobs.com

Manufacturer address *

2120 Park Pl, Suite 100, El Segundo, CA 90245

Manufacturer Dealer/Representative *

Emily Willis

Dealer/representative address and Phone *

ewillis@neogov.net; 310-658-5752

3. Description of the materials/service required, the estimated cost, and required delivery date.

Materials/Service *

Annual Software Subscription

Estimated Cost *

$ 139,277.31

ICE FILE ATTACHMENT IS REQUIRED TO CONTINUE...! *

ICE Form NG.docx

invoice_INV-38794 NG 2024.pdf

Required Delivery Date *

Jan 15, 2024

4. Specific characteristics of the materials/service that limit the availability to a sole source are unique features and functionality of the system. *

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5. Reason for sole-source *

⦿ Material/Service must be compatible

◯ Patent, copyright, or proprietary data limits

◯ Direct replacement parts/components

◯ Other information to support sole-source

The material or service must be compatible in all aspects (form, fit, and function) with existing systems presently installed. Describe the equipment you have now and how the new materials/service must coordinate, connect, or interface with the existing system.

Project ID (optional)

[   ]

Associate the Procurement with existing RTA projects

☐ Check to add attachments

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Unique Capability or Availability *

○ Unique or Innovative Concept

○ Patents or Restricted Data Rights

◉ Substantial Duplication Costs

○ Unacceptable Delay

B. Certification of Authorized Grant

Specification of Authorized Grant is Required?   Director of Grants / Federal Compliance

○ Yes   ◉ No   RON BAPTISTE

C. Safety, Security and Emergency Management

Include Safety Review and Approval is Required   Safety Chief

[✓ ○]   SAFETY TEAM
Yes

☐ Check to add Safety Attachments

Include STD Insurance Provisions is Required   Risk Management Analyst

                                                        RISK TEAM

101

✓ ◯

Yes

☐ Check to add Risk Attachments

D. Funding Source

Funding Type *   Budget Analyst

☐ Federal   ☐ State   ☑ Local   ☐ Other   **EUGENIE FERNERTY**

Available Federal funding	Available State Funding	Available Local Funding *	Available Other Funding
$	$	$ 139,277.31	$

Estimated Federal cost	Estimated State Cost	Estimated Local Cost *	Estimated Other Cost
$	$	$ 139,277.31	$

Total Available Funding	Est. Fed/State/Local/Other total cost	Estimated Amount Entered
$ 139,277.31	$ 139,277.31	$ 139,277.31

Is Mult-Year Required?

◯

No

<u>Note</u>: The default "Budget Team" includes all budget analysts.
They will all get an email, but only one will approve according to the budget code assignment.

Budget Code -1 *   FTA Grant -1

| 01-2900-02-7140-167-00-00-00000-00000 |

Budget Code - 2   FTA Grant - 2

Budget Code - 3   FTA Grant - 3

Budget Code - 4   FTA Grant - 4

Budget code-5

E. DBE / SBE Goal Review and Approval is required

Director of Small Business Development

SBE TEAM

DBE/EEO Compliance Manager

DBE TEAM

Department Representative

I have reviewed this form and the attachments provided and by inputing my name below, I give authority to the above stated department representative to proceed as lead in the procurement process.

Input the Department Requestor Name

Doris O'Sullivan

Date *

Nov 16, 2023

NEOGOV

Invoice #INV-38794

From		**Invoice Summary**	

From

Governmentjobs.com, Inc. DBA NEOGOV
2120 Park Pl,
Suite 100
El Segundo, CA 90245

Invoice Summary

Invoice Number	INV-38794
Date	12/31/2023
Terms	Net 30
Due Date	01/30/2024
Amount Due (USD)	$ 139,277.31

Bill To

New Orleans Regional Transit Authority (LA)
2817 Canal Street
New Orleans, LA
USA

Item / Description

Insight
This is your subscription fee for Insight for the term starting 01/31/2024 and ending 01/30/2025.

Perform
This is your subscription fee for Perform for the term starting 01/31/2024 and ending 01/30/2025.

Governmentjobs.com - IN
This is your subscription fee for Governmentjobs.com - IN for the term starting 01/31/2024 and ending 01/30/2025.

eForms
This is your subscription fee for eForms for the term starting 01/31/2024 and ending 01/30/2025.

Position Management
This is your subscription fee for Position Management for the term starting 01/31/2024 and ending 01/30/2025.

Learn
This is your subscription fee for Learn for the term starting 01/31/2024 and ending 01/30/2025.

PowerPolicy (1937)
This is your subscription fee for PowerPolicy (1937) for the term starting 01/31/2024 and ending 01/30/2025.

Onboard
This is your subscription fee for Onboard for the term starting 01/31/2024 and ending 01/30/2025.

Amount Due (USD)	$ 139,277.31

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For a copy of our W9, please click on "Download W9" above.

New Orleans Regional Transit Authority

File #: 23-216	**Board of Commissioners**

5-Year Capital Investment Program 2024-2028

DESCRIPTION: RTA 5-year Capital Investment Program 2024-28	AGENDA NO: *Click or tap here to enter text.*
ACTION REQUEST: ☒ Approval ☐ Review Comment ☐ Information Only ☐ Other	

RECOMMENDATION:

Authorize the Chief Executive Officer to implement the 5-year Capital Investment Program (CIP) 2024-2028 for the 2024 Calendar Year.

ISSUE/BACKGROUND:

Although the agency has had a long-range, strategic plan, the Strategic Mobility Plan, since 2018 there has been no accompanying formal program of capital projects and initiatives to map out those efforts, their connection to the strategic goals of the agency, budgets, and financing plan. This work is typically accomplished by most public institutions as a Capital Improvement or Investment Program (CIP) with a five (5) year horizon. This timeframe strikes a balance between the long-term maturation of projects, particularly large capital ones, and reasonably predictable financial and tactical forecasting. A CIP does not typically have all funds identified in this 5-year window for all projects, but rather sets prioritized guidance for development and pursuit of financing, particularly for projects early in the development stage.

In 2023, the Board adopted a 5-year update of the Strategic Mobility Plan to reflect significant changes and accomplishments since 2018. Along with numerous major grants and awards, the staff has been developing the agency's first 5-year CIP to align with this update and its goals, strategies, and actions.

The CIP is also an opportunity to formalize a program of major projects for the repair, replacement, and general State of Good Repair (a formal FTA term) of existing vehicles, facilities, rail systems and other assets. The identification of these needs is also being formalized through the Transit Asset Management Plan (TAM), another plan that FTA requires to be updated a minimum of every 4 years and connects to related formula funding for said needs.

DISCUSSION:

The 5-Year Capital Investment Program (CIP) is a 5-year roadmap for 2024 through 2028 that will be updated annually in line with the annual budget process where the next year's expenditures are fully committed. All local funds in the CY2024 Operating and Capital Budget adopted by the Board in December 2023 for the capital program align with this CIP. Further out, a majority of funding in the 5-year CIP is anticipated or projected. By outlining the program first, the CIP serves as a roadmap for

securing funding based on strategic priorities including pursuing grants, financing opportunities, and other sources.

The 5-year CIP 2024-2028 reflects the need to make significant investments in greater transit experience including rapid rides across the region (BRT), faster payment methods, and expanded passenger facilities. This expansion also comes with the need to grow responsibly and maintain current assets and new ones as they come online. The total 5-year CIP program budget is $604 million. Major projects include the BRT East-West Bank Corridor Project ($282 million) with significant local funding needs to be identified during 2024; Downtown Transit Center ($32 million); expansion of passenger facilities through smaller mobility hubs (phase 1, $10 million and phase 2, $30 million); ADA accessible stops for the entire system ($10 million); and transit priority corridors for bus ($10.8 million); modernized streetcar corridors ($6 million) and streetcar expansion ($28 million).

FINANCIAL IMPACT:

There is no direct financial impact to the agency for the 5-year CIP 2024-2028. Local funds are committed through the annual Operating and Capital Budget. The CIP will guide the pursuit of future funding opportunities such as grants and bond issuance, each of which will align the program budget and plan and will be brought to board as individual actions. The approved CY2024 Operating Budget has capital expenses totaling $46,763,603 (including Ferry). For revenues $14,764,614 is RTA local funds. This 5-year CIP has an updated expenses total of $51,512,164 based on more recent cash flow projections, but maintains RTA local fund revenues of $14,690,123 - just under the approved budget. The additional revenues to fund the higher expense total is from secured grant funds.

NEXT STEPS:

None.

ATTACHMENTS:

1.   RTA Board Resolution

2.   Five-Year Capital Investment Program 2024-2028

Prepared By: Dwight Norton
Title: Chief Planning & Capital Projects Officer

Reviewed By: Gizelle Johnson-Banks
Title: Chief Financial Officer

Lona Edwards Hankins   12/21/2023

Lona Edwards Hankins   Date
Chief Executive Officer

RESOLUTION NO. _____

STATE OF LOUISIANA

PARISH OF ORLEANS

RESOLUTION TO APPROVE THE 5-YEAR CAPITAL INVESTMENT PROGRAM (CIP)
FOR 2024 THROUGH 2028

Introduced by Commissioner _____,
seconded by Commissioner _____.

WHEREAS, the New Orleans Regional Transit Authority (RTA) Board of Commissioners adopted a Strategic Mobility Plan in 2018 and a 5-year update in 2023 to define the agency's long-range, strategic goals with strategies and actions to accomplish these goals; and

WHEREAS, the Capital Investment Program (CIP) is a 5-year roadmap that will be updated annually in line with the annual budget process where all local funds for the capital program in the approved CY2024 Operating and Capital Budget align with this CIP for 2024-2028; and

WHEREAS, the 5-year CIP 2024-2028 reflects the need to make significant investments in greater transit experience including rapid rides across the region (BRT), faster payment methods, and expanded passenger facilities.

NOW, THEREFORE, BE IT RESOLVED that the Board of Commissioners of the Regional Transit Authority approves 5-year Capital Investment Program 2024-2028 and authorizes the Chief Executive Officer (CEO), or her designee, to implement the program for CY2024.

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THE FOREGOING WAS READ IN FULL, THE ROLL WAS CALLED ON THE ADOPTION THEREOF AND RESULTED AS FOLLOWS:

YEAS: _____

NAYS: _____

ABSTAIN: _____

ABSENT: _____

AND THE RESOLUTION WAS ADOPTED ON THE 23rd DAY OF JANUARY, 2024.

_____

MARK RAYMOND, JR.
CHAIRMAN
BOARD OF COMMISSIONERS

NEW ORLEANS REGIONAL TRANSIT AUTHORITY

FIVE-YEAR CAPITAL INVESTMENT PROGRAM

2024 – 2028 DRAFT

December 2023

RTA

CONTENTS

1 | INTRODUCTION

OVERVIEW

One of the RTA's key roles is to develop and implement a Capital Investment Program (CIP) – in coordination and in alignment with the federal government, the state legislature, the metropolitan planning organization, regional city and parish governments and the public.

This CIP is a 5-year roadmap that will be update annually in-line with the annual budget process where the next year's expenditures are fully committed. A large portion of funding in the 5-year CIP is anticipated or projected. By outlining program first, the CIP serves as a roadmap for securing funding based on strategic priorities including pursuing grants, financing opportunities and other sources.

The CIP 2024-2028 reflects the needs to make significant investments in greater transit experience including rapid rides across the region (BRT), faster payment methods, and expanded passenger facilities. This expansion also comes with need to grow responsibly and maintain current assets and new ones as they come online.

The investments described in this plan are capital expenditures organized into the following categories:

- **State of Good Repair:** Investments in end-of-life asset replacement needs
- **Fleet:** The replacement and addition vehicles for all modes is critical to RTA's needs to maintain and provide reliable service.
- **Facilities:** RTA has several facilities that support operational needs, but is building out a first-ever program of facilities for passengers over the next five years.
- **Fixed-Guideway:** Includes rail (streetcar), dedicated busways, and bus rapid transit (BRT)
- **Technology:** Modernizing and integrating RTA's software and hardware systems continues to be a critical need and includes introduction of rapid payment options, such as tap cards.
- **Marine:** Investments in ferry service, fleet and facilities.
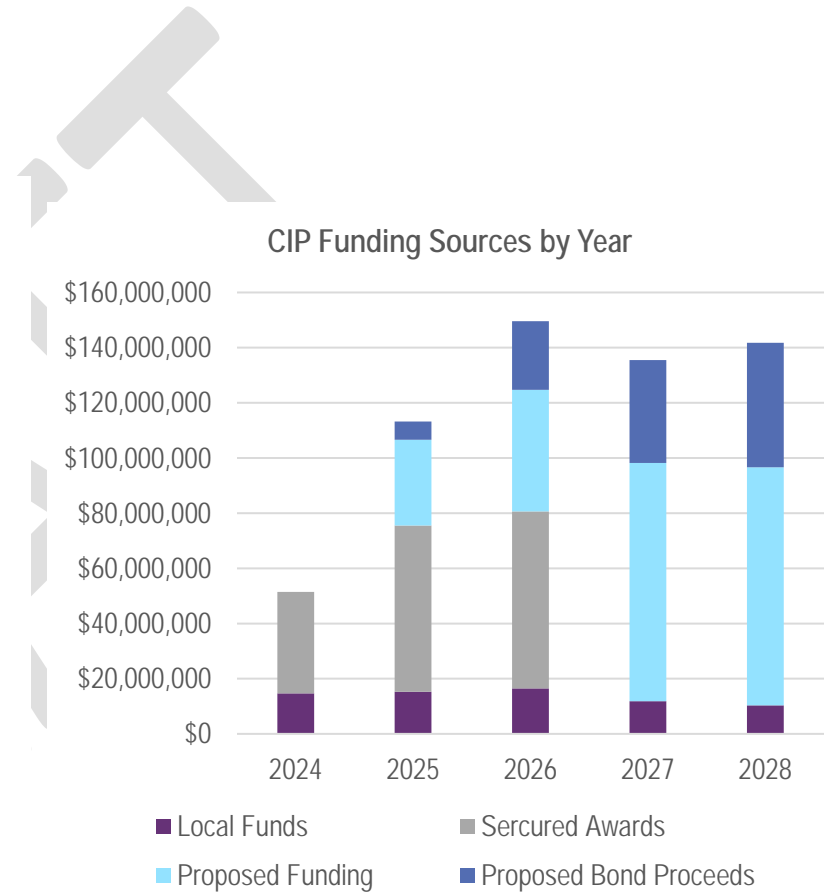
The CIP also includes a number of specific plans and studies identified as essential next steps prior developing projects for evaluation and inclusion in future versions of this CIP.

Program Investments By Category

The graphs below provide an overview of project costs by category and the overall funding sources for the program over the next 5 years. Details on CIP projects are in the next section.

CIP Uses by Category

Technology, $18,240,851, 3%

State of Good Repair, $5,100,000, 1%

Marine, $15,670,149, 3%

Fleet, $112,146,882, 18%

Facilities, $101,103,312, 17%

Fixed Guideway, $352,106,489, 58%
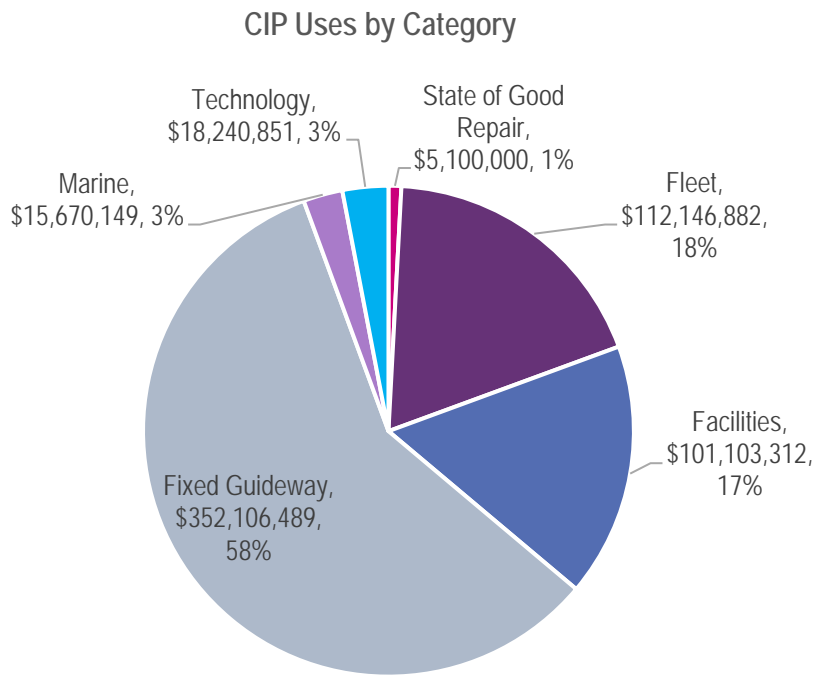
Note: Fixed Guideway includes $282 million for Bus Rapid Transit (BRT) East-West Bank

CIP Funding Sources by Year

Legend: Local Funds, Sercured Awards, Proposed Funding, Proposed Bond Proceeds

PLANS → PROGRAM → PROJECTS

This CIP continues to be informed by two major plans: the Strategic Mobility Plan and the Transit Asset Management Plan.

The **Strategic Mobility Plan** (SMP) is a strategic vision directed by public and stakeholder input collected throughout the original development process in 2018 and as part of its recent 2023 update. RTA organizational priorities are built around funding programs within which projects are selected based on objective and comparative evaluation that meet the goals and strategies identified in the SMP. Some of the specific actions in the SMP are specific plans and studies as a necessary first step to further understand a need or challenge and develop solutions that may include detailed projects for evaluation into the CIP.

The **Transit Asset Management Plan** (TAM) is a federally required plan that is updated at minimum every four years, most recently in 2023. The TAM includes condition assessments on all systems including fleet, rail, power systems, and facilities. Based on the expended useful life of each of the components and their current assessment rating, a program of improvements are developed for maintaining RTA assets in a "State of Good Repair" (SGR). Projects are then connected to grants from FTA dedicated to SOGR. Improvements that are of significant size or effort are considered capital projects.

Specific Plans & Studies

Recommended projects

5-Year Capital Investment Program (CIP)

The portfolio of projects and funding plan
(not all funds are secure)
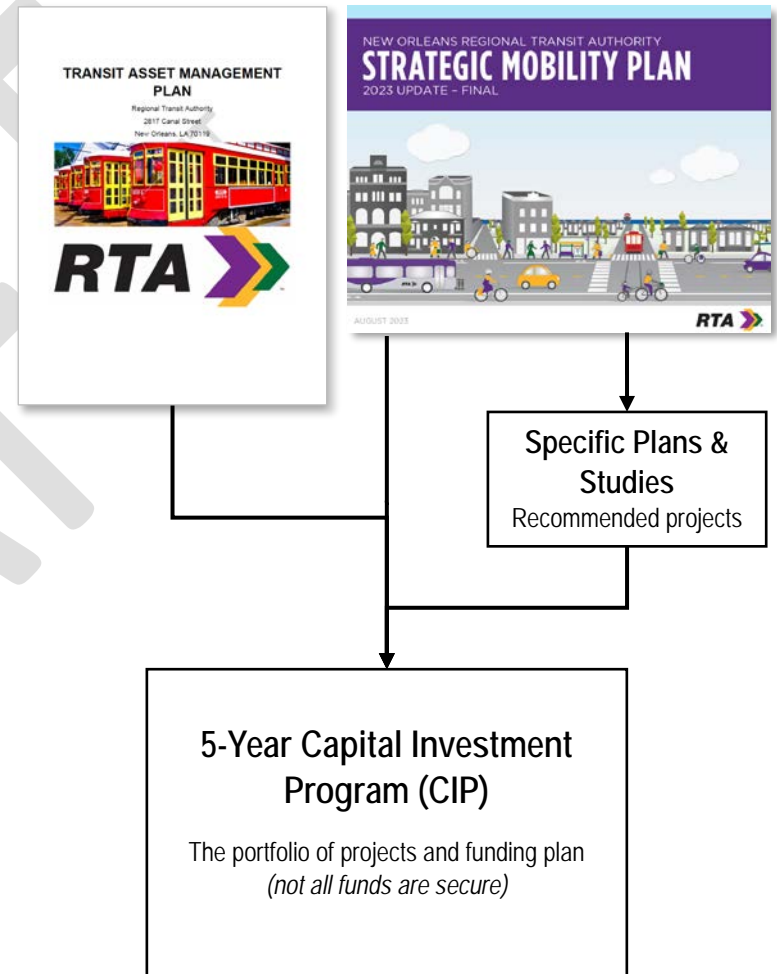
SMP Implementation Priorities

The following summary from the SMP 2023 Update highlights key activities over the next 5 years that directly inform strategic direction for investment.

2 YEARS	5 YEARS
In the next 2 years…	In the next 2 to 5 years…
STRENGTHEN THE FOUNDATION	**BUILD THE SYSTEM**
• Improve public information and customer service • Improve transit stops through stop rebalancing and expanding stop amenities including benches, shelters, art, and information • Speed up travel times by offering more pay-before-boarding fare media options • Increase reliability with study and plan for transit priority elements, such as traffic signal priority, dedicated lanes • Introduce and expand low- or no-emission vehicles into the fleet • Pilot emerging mobility options	• Construct Bus Rapid Transit corridor connecting New Orleans East to West Bank • Begin introducing new service types, including Bus Rapid Transit, High-Capacity Transit, Select Service, and regional express service • Speed up travel times and improve on-time performance by adding dedicated transit lanes, signal priority improvements, and other transit priority treatments • Construct transit centers in Downtown, New Orleans East, and Algiers and smaller hubs at major transfer points • Improve ADA accessibility of service, including making all transit stops ADA accessible by 2030 • Identify and secure additional funding sources • Introduce streetcar corridor modernization to enable safer and more accessible streetcar service

Investment Priorities

The three priorities for new CIP are, in order of importance: Reliability, Modernization, and Expansion. These priorities express the broadest goals for RTA investments.

Reliability

Maintain and improve the overall condition, safety and reliability of the transportation system. (7% of all investments, without BRT increases to 13%)

- Necessary routine and capital maintenance and ensuring safety of the system
- State of good repair projects designed primarily to bring asset condition up to an acceptable level
- Asset management and system preservation projects

Modernization

Modernize the transportation system to make it safer, more accessible, more resilient, more sustainable and accommodate growth. (26% of all investments)

- Compliance with federal mandates or other statutory requirements for safety and/or accessibility improvements
- Projects that go beyond state of good repair and substantially modernize existing assets, including for resilience and sustainability benefits
- Projects that result in improved performance and quality of transit service (e.g. transit priority treatments)

Expansion

Expand diverse transportation options for communities throughout the region. (67% of all investments - without BRT, drops to 38%)

- Projects that introduce new modes of service
- Projects that expand fixed-guideway (BRT, streetcar and dedicated busways) network and/or services
- Projects that expand passenger and operations facilities

The remaining investments support plans and studies necessary to further develop future service, programs and projects.

CIP Uses by Priority

Expansion	$403,607,580
Modernization	$159,215,958
Reliability	$41,544,145
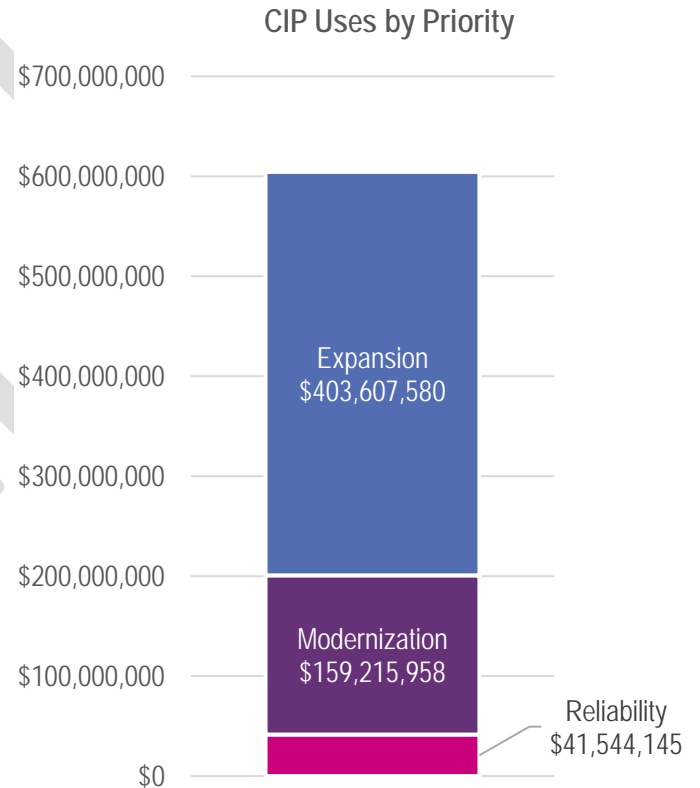
Note: Expansion includes $282 million for Bus Rapid Transit (BRT) East-West Bank Corridor

MAJOR FUNDING SOURCES

RTA General Fund

A portion RTA's annual budget includes funds dedicated to the capital program. This annual allocation includes matching funds for grants and other direct local funding for projects.

Federal Transit Administration (FTA)

FTA is the primary sponsor of the majority of RTA's capital program and State of Good Repair (SOGR) projects. This funding category a mix of formula funding grants and competitive grants the agency involves MassDOT drawing down obligated amounts to reimburse the Commonwealth for Rail & Transit Division project spending. The spending by source tables do not include FTA funds available to Regional Transit Authority partners.

Bonds

RTA has full authority to issue revenue bonds. Bonds are historically backed by a portion of the agency's sales tax revenue. The agency has two bond issues that were refinancing of early bond issues, most recently for streetcar expansion, and have a repayment balance of $101 million with debt service payments through 2036.

A new bond issue is central to the funding strategy for BRT East-West Bank corridor project.

State of Louisiana

There are several funding sources from the State of Louisiana for the CIP. One of the main ones includes the State Capital Outlay which entities submit request for project for review and evaluation annually for funding. The state also has several state highway improvement programs for rehabilitation, safety and other enhancement. Historically, RTA has not received significant capital funding from the State.

Other and Emerging Sources

Several other federal opportunities exist such as from U.S. DOT for general transportation opportunities and FEMA for disaster recovery and hazard mitigation. RTA has also partnered with other government entities for joint investments including the City of New Orleans and the Audubon Commission.

Undeveloped sources include value capture opportunities such as through tax-increment financing (TIF) or infrastructure improvement districts. Property-based value capture is needed to fund infrastructure due to its higher revenue and direct benefit potential to real-estate development. Due to a heavily restricted property millage, the New Orleans region has historically only used sale-tax based TIFs.

Newer financing opportunities in development include emerging products from Finance New Orleans for low-interest loans to enhance infrastructure resilience and expanded eligibility for projects from the U.S. Transportation Infrastructure Finance and Innovation Act (TIFIA) loan program.

CIP IMPLEMENTATION PROCESS

With this program of projects identified in the next section, funding needs that are not already secured are reviewed and refined on an annual basis. Funding needs then inform a strategy that includes identification and pursuit of grant funding, other 3rd party sources such as governmental partnerships, financing opportunities and local funding. Secured funding is finalized through the annual budget process for the next year. All projects for 2024 are fully funded. The chart at right illustrates the process.
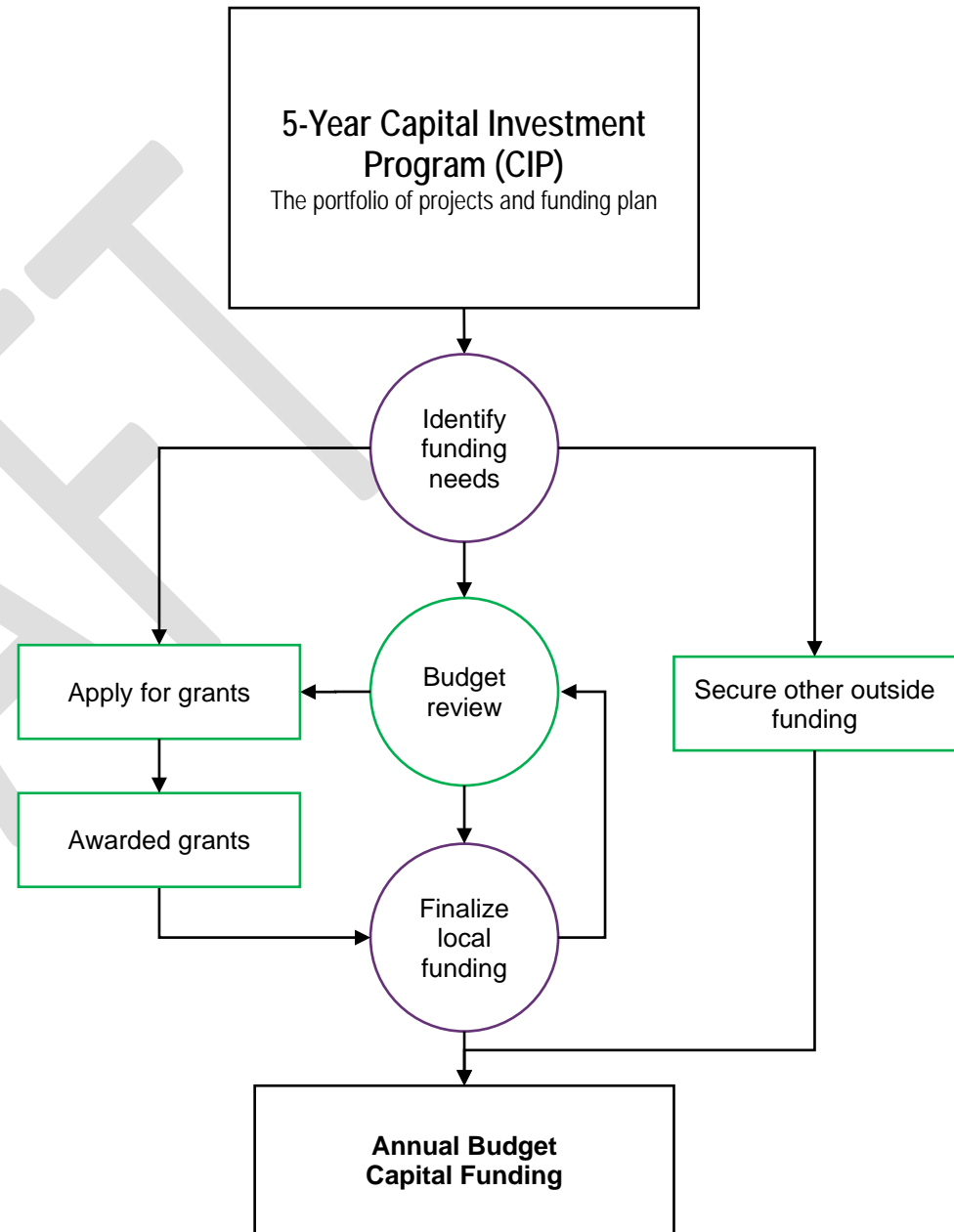
2 | PROGRAM DETAILS

MAJOR PROJECTS

This section includes funding details for selected strategically significant projects in the CIP. Remaining projects listed in the next section.

The most significant project as measured by cost and beneficial impact is the Bus Rapid Transit (BRT) East-West Bank Corridor. The current financing plan is based on the project's Feasibility Study which was concluded in late 2023.

All amounts shown are in 2023 dollars and not adjusted for year-of-expenditure; however, all budgets do include progressive contingencies based on the duration of the project.

Downtown Transit Center

Programming, design and construction of the Downtown Transit Center as the main transfer point between local bus service in neutral ground of Basin St at Canal St with connections to streetcars and future Bus Rapid Transit. Project includes improving corridor along Loyla/Basin St to improve safety and comfort for all users including transit, bicycling and walking.

Project #: 2015-FA-01 SMP Action: PR21
Project Category: FA - Facilities Project Type: Expansion

1908-1955

1957-present

Project Budget:

Task	Amount
Administration (internal)	$132,061
Planning/Study	$0
PM/CM (3rd party)	$235,824
Design/Engineering	$4,003,692
Construction	$28,662,054
Equipment/Materials	$0
Vehicles	$0
Other	$0
Total	*$33,033,631*

Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	**$6,680,005**	$2,130,431	$1,751,250	$2,798,324		
Secured Grants/Other Sources	**$26,353,626**	$948,563	$7,005,000	$18,400,063		
Proposed Grants/Other Sources	**$0**	$0	$0	$0		
Total	*$33,033,631*	*$3,078,994*	*$8,756,250*	*$21,198,387*		

Algiers Ferry Buildings Renovation

Renovation of the Algiers Point Ferry Terminal and improvement to surrouding areas and access, and renovate Maintenance Facility

Project #: 2019-MA-01   SMP Action: UP4
Project Category: FA - Facilities   Project Type: Modernization

Project Budget:

Task	Amount
Administration (internal)	$0
Planning/Study	$0
PM/CM (3rd party)	$0
Design/Engineering	$901,803
Construction	$8,116,227
Equipment/Materials	$558,306
Vehicles	$0
Other	$0
Total	**$9,576,336**

Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$1,915,268	$180,361	$811,623	$923,284		
Secured Grants/Other Sources	$7,661,069	$721,442	$3,246,491	$3,693,136		
Proposed Grants/Other Sources	$0	$0	$0	$0		
Total	**$9,576,337**	**$901,803**	**$4,058,114**	**$4,616,420**		

BRT East-West Bank Corridor

Bus Rapid Transit (BRT) linking New Orleans East and Aligers to downtown through 13.5 mile alignment over 50% in dedicated lanes and other transit priority along 15 stations spaced 1/2 - 1 mile apart.

Project #: 2021-FG-01 SMP Action: CO3
Project Category: FG - Fixed Guideway Project Type: Expansion

Project Budget:

Task	Amount
Administration (internal)	$0
Planning/Study	$599,949
PM/CM (3rd party)	$20,760,000
Design/Engineering	$26,814,000
Construction	$194,000,000
Equipment/Materials	$0
Vehicles	$39,000,000
Other	$0
Total	**$282,473,949**

Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$20,037,000	$0	$1,166,825	$4,375,593	$6,563,390	$7,931,192
Secured Grants/Other Sources	$7,500,000	$3,500,000	$4,000,000	$0	$0	$0
Proposed Grants/Other Sources*	$140,836,999	$0	$8,201,433	$30,755,375	$46,133,062	$55,747,129
Proposed Bond Proceeds	$113,881,877		$6,631,742	$24,869,032	$37,303,548	$45,077,556
Total						

* Includes $120 million federal CIG grant (50% cap) and $20.7 million mix of other state/city funds

UPT Admin Office Renovation

Design and construction of administrative offices at the Union Passenger Terminal 2nd Floor

Project #: 2022-FA-01   SMP Action: UP3
Project Category: FA - Facilities   Project Type: Modernization

Project Budget:

Task	Amount
Administration (internal)	$100,000
Planning/Study	$100,000
PM/CM (3rd party)	$0
Design/Engineering	$240,000
Construction	$4,560,000
Equipment/Materials	$0
Vehicles	$0
Other	$0
Total	*$5,000,000*

Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$976,000	$324,000	$652,000			
Secured Grants/Other Sources	$3,904,000	$1,296,000	$2,608,000			
Proposed Grants/Other Sources	$0	$0	$0			
Total	**$4,880,000**	**$1,620,000**	**$3,260,000**			

Comprehensive Fare Modernization Initiative

Introduce re-chargable tap cards and other modern fare collection techonogies to reduce boarding times, lower maintenance costs and increase fare recovery rate.

Project #: 2022-IT-02   SMP Action: PR4
Project Category: IT - Technology   Project Type: Modernization

Project Budget:

Task	Amount
Administration (internal)	$0
Planning/Study	$561,588
PM/CM (3rd party)	$0
Design/Engineering	$850,000
Construction	$0
Equipment/Materials	$7,225,000
Vehicles	$0
Other	$0
Total	***$8,636,588***
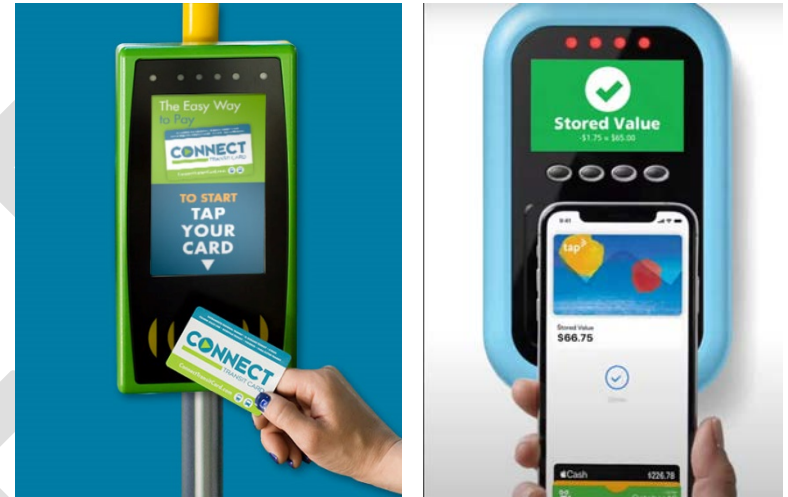
Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$1,727,318	$112,318	$1,615,000			
Secured Grants/Other Sources	$6,909,270	$449,270	$6,460,000			
Proposed Grants/Other Sources	$0	$0	$0			
Total	8,636,588	$561,588	8,075,000			

Passenger Facilities, Phase 1

Design of six transfer hubs as recommended by transfer hub study (2023-PS-01) and construction of 2-3 based on available funds; design of new transit shelter an include throughout locations

Project #: 2023-FA-03   SMP Action: PR23
Project Category: FA - Facilities   Project Type: Expansion

Phase 1 Passenger Facilities

Project Budget:

Task	Amount
Administration (internal)	$0
Planning/Study	$0
PM/CM (3rd party)	$0
Design/Engineering	$2,000,000
Construction	$8,000,000
Equipment/Materials	$0
Vehicles	$0
Other	$0
Total	**$10,000,000**
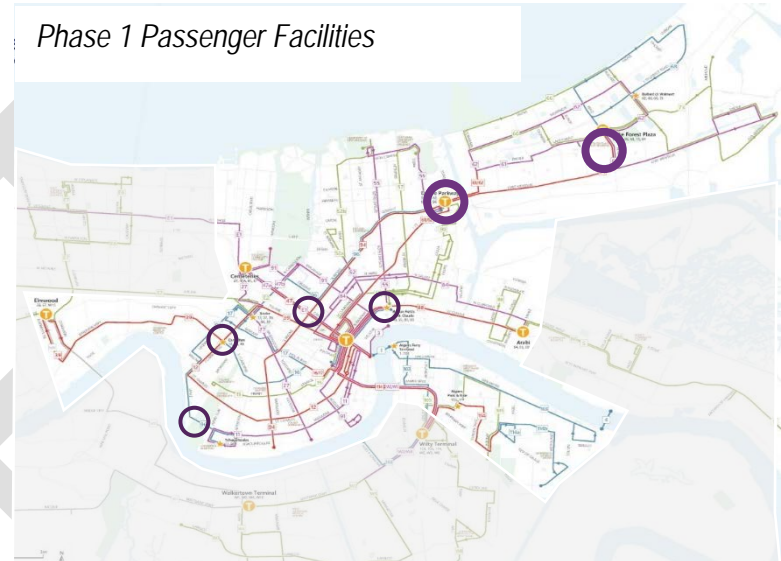
Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$2,000,000	$400,000	$800,000	$800,000		
Secured Grants/Other Sources	$8,000,000	$1,600,000	$3,200,000	$3,200,000		
Proposed Grants/Other Sources	$0	$0	$0	$0		
Total	$10,000,000	$2,000,000	$4,000,000	$4,000,000		

Zero-Emission, Resilient Fleet

This transformational initiative will build on RTA's zero-emission pilot with 20 additional battery-eletric buses, in-route charging infrastructure, and a 5MW solar-powered backup charging system. The project also include significant workforce development

Project #: 2023-FL-02   SMP Action: BR28
Project Category: FL - Fleet   Project Type: Modernization

Project Budget:

Task	Amount
Administration (internal)	$0
Planning/Study	$120,000
PM/CM (3rd party)	$610,000
Design/Engineering	$0
Construction	$13,586,879
Equipment/Materials	$31,702,718
Vehicles	$31,283,086
Other	$4,500,000
Total	*$81,802,684*

Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$10,243,422	$521,427	$3,443,203	$6,278,792		
Secured Grants/Other Sources	$67,768,416	$0	$28,944,827	$38,823,589		
Proposed Grants/Other Sources	$0	$0	$0	$0		
Total	$81,802,284	$521,427	$32,388,030	$45,102,381		

Uptown-Downtown Streetcar Connector (Howard Av)

Extend streetcar track 0.2 miles from Loylola Av down Howard Av 2.5 blocks to connect to St Clarles line with complete street elements and redesign Julia St Station

Project #: CIP-2016-01   SMP Action: UP2
Project Category: FG - Fixed Guideway   Project Type: Expansion
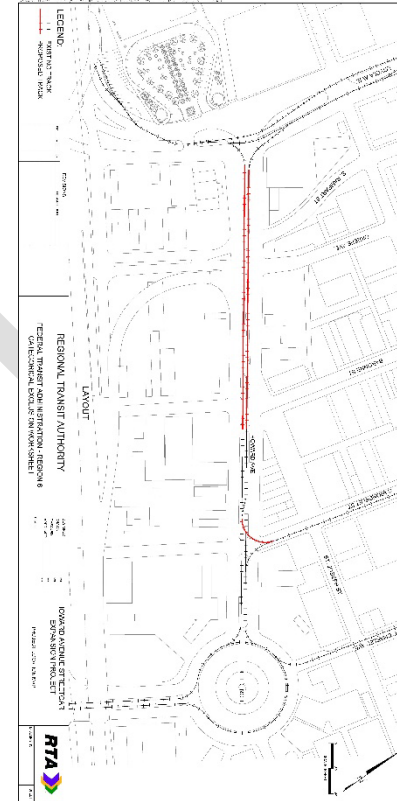
Project Budget:

Task	Amount
Administration (internal)	$500,000
Planning/Study	$0
PM/CM (3rd party)	$0
Design/Engineering	$1,000,000
Construction	$6,000,000
Equipment/Materials	$2,500,000
Vehicles	$0
Other	$0
Total	*$10,000,000*

Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$0	$0	$0	$0	$0	$0
Secured Grants/Other Sources	$0	$0	$0	$0	$0	$0
Proposed Grants/Other Sources	$10,000,000	$0	$1,000,000	$4,000,000	$5,000,000	$0
Total	**$10,000,000**	**$0**	**$1,000,000**	**$4,000,000**	**$5,000,000**	**$0**

BRT Extension, River District

Extention of BRT route from Caliope 0.8 miles through River District with 1 added multimodal stop before crossing CCC Bridge.

<u>Project #</u>: CIP-2023-03   <u>SMP Action</u>: CO3
<u>Project Category</u>: FG - Fixed Guideway   <u>Project Type</u>: Expansion

Project Budget:

Task	Amount
Administration (internal)	$500,000
Planning/Study	$0
PM/CM (3rd party)	$0
Design/Engineering	$1,500,000
Construction	$8,000,000
Equipment/Materials	$0
Vehicles	$0
Other	$0
Total	*$10,000,000*

Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$0	$0	$0	$0	$0	$0
Secured Grants/Other Sources	$0	$0	$0	$0	$0	$0
Proposed Grants/Other Sources	$0	$0	$0	$0	$5,000,000	$5,000,000
Total	$10,000,000	$0	$0	$0	$5,000,000	$5,000,000

Riverfront Streetcar Extention

Extension of Riverfront Streetcar 0.7 miles into River District with addition of two-three stops including multimodal transti stop intersecting with BRT

<u>Project #</u>: CIP-2023-04   <u>SMP Action</u>: UP2
<u>Project Category</u>: FG - Fixed Guideway   <u>Project Type</u>: Expansion

Project Budget:

Task	Amount
Administration (internal)	$900,000
Planning/Study	$0
PM/CM (3rd party)	$0
Design/Engineering	$1,800,000
Construction	$9,000,000
Equipment/Materials	$6,300,000
Vehicles	$0
Other	$0
Total	*$18,000,000*

Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$0	$0	$0	$0	$0	$0
Secured Grants/Other Sources	$0	$0	$0	$0	$0	$0
Proposed Grants/Other Sources	$18,000,000	$0	$1,000,000	$6,000,000	$11,000,000	$0
Total	**$18,000,000**	**$0**	**$1,000,000**	**$6,000,000**	**$11,000,000**	**$0**

Streetcar Corridor Modernization

Safety, accessibility, and transit priority improvements to streetcar corridors to reduce crashes, improve speed and rider convenience.

<u>Project #</u>: CIP-2023-05   <u>SMP Action</u>: UP2
<u>Project Category</u>: FG - Fixed Guideway   <u>Project Type</u>: Modernization
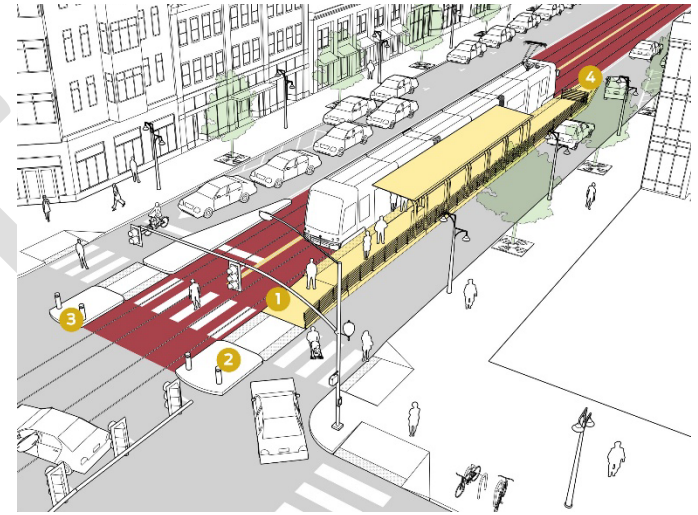
Project Budget:

Task	Amount
Administration (internal)	$287,500
Planning/Study	$0
PM/CM (3rd party)	$0
Design/Engineering	$575,000
Construction	$2,875,000
Equipment/Materials	$2,012,500
Vehicles	$0
Other	$0
Total	***$5,750,000***

Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds	$1,000,000	$0	$0	$0	$1,000,000	$0
Secured Grants/Other Sources	$750,000	$250,000	$500,000	$0	$0	$0
Proposed Grants/Other Sources	$4,000,000	$0	$0	$0	$4,000,000	$0
Total	**$5,750,000**	**$250,000**	**$500,000**	**$0**	**$5,000,000**	**$0**

Select Bus Corridor Improvements

Safety, stops, and transit priority improvements to high-frequency bus corridors to increase speed, reliability and comfort

Project #: CIP-2023-06   SMP Action: CO1
Project Category: FG - Fixed Guideway   Project Type: Modernization

Project Budget:

Task	Amount
Administration (internal)	$537,500
Planning/Study	$0
PM/CM (3rd party)	$0
Design/Engineering	$1,075,000
Construction	$6,987,500
Equipment/Materials	$2,150,000
Vehicles	$0
Other	$0
Total	*$10,750,000*
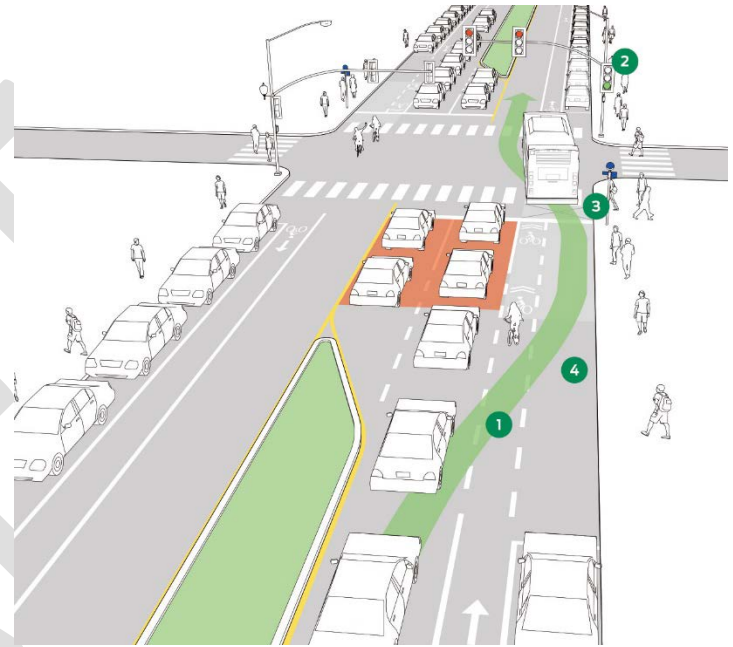
Project Funding Sources:

Source	Total Cost	2024	2025	2026	2027	2028
RTA Local Funds		$0	$1,000,000	$0	$1,000,000	$0
Secured Grants/Other Sources		$550,000	$200,000	$0	$0	$0
Proposed Grants/Other Sources		$0	$4,000,000	$0	$4,000,000	$0
Total	$10,750,000	$550,000	$5,200,000	$0	$5,000,000	$0

ALL PROJECTS BY CATEGORY

Project Name	Project Number	Plan Ref	Project Type	Total Budget	Budget by Year				
					2024	2025	2026	2027	2028
State of Good Repair									
Facilities Improvement Projects 2024	2024-FA-01	PR23	Reliability	$2,200,000	$2,200,000	$0	$0	$0	$0
Streetcar System PM	PM-2024-01	TAM	Reliability	$1,000,000	$1,000,000	$0	$0	$0	$0
Tamping Machine	2024-FL-01	TAM	Reliability	$900,000	$900,000	$0	$0	$0	$0
Asset Management Inventory FY24	OP-2024-01	BR27	Reliability	$1,000,000	$1,000,000	$0	$0	$0	$0
Fleet									
Service Trucks (2)	2022-FL-02	TAM	Reliability	$495,000	$495,000	$0	$0	$0	$0
Non-Revenue Vehicles (31)	2022-FL-03	TAM	Reliability	$2,109,660	$2,000,000	$0	$0	$0	$0
Support Vehicles (37)	2022-FL-04	TAM	Reliability	$1,300,000	$9,840,000	$0	$0	$0	$0
Zero-Emission Bus Pilot	2023-FL-01	BR28	Modernization	$5,865,938	$560,000	$5,105,938	$0	$0	$0
Fixed-Route Fleet Diversification	2023-FL-03		Reliability	$3,317,000	$3,317,000	$0	$0	$0	$0
FY24 Fleet Replacement (CDBG)	2022-FL-01	TAM	Reliability	$5,387,600	$5,387,600	$0	$0	$0	$0
Zero-Emission, Resilient Fleet	2023-FL-02	BR28	Modernization	$81,802,684	$521,427	$32,388,031	$45,102,381	$0	$0
Paratransit Fleet Replacement FY23	2023-FL-02	TAM	Reliability	$2,405,000	$0	$0	$0	$0	$0
Paratransit Fleet Replacement 2026	CIP-2023-02	TAM	Reliability	$2,664,000	$0	$0	$2,664,000	$0	$0
Airport Express Fleet	CIP-2023-07	CO2	Expansion	$6,800,000	$0	$6,800,000	$0	$0	$0

Project Name	Project Number	Plan Ref	Project Type	Total Budget	Budget by Year				
					2024	2025	2026	2027	2028
Facilities									
Downtown Transit Center	2015-FA-01	PR21	Expansion	$33,033,631	$3,078,994	$8,756,250	$21,198,387	$0	$0
Mobile Security Camera	2016-IT-01	UP9	Modernization	$10,000	$10,000	$0	$0	$0	$0
Algiers Ferry Buildings Renovation	2019-MA-01	UP4	Modernization	$9,576,336	$901,803	$4,058,114	$4,616,420	$0	$0
UPT Admin Office Renovation	2022-FA-01	UP3	Modernization	$5,000,000	$1,620,000	$3,260,000	$0	$0	$0
Interim Downtown Transit Hub Phase 2	2022-FA-04	PR21	Expansion	$800,000	$750,000	$0	$0	$0	$0
Transit Shelter Program 2024-28	2023-FA-01	PR15	Expansion	$2,500,000	$500,000	$500,000	$500,000	$500,000	$500,000
Passenger Facilities, Phase 1	2023-FA-03	PR23	Expansion	$10,000,000	$1,000,000	$4,000,000	$4,000,000	$0	$0
Security Enhancement Items	2024-FA-02	TAM	Reliability	$183,345	$183,345	$0	$0	$0	$0
All Stops Accessible Program	2024-FA-03	BE7	Modernization	$10,000,000	$0	$0	$0	$5,000,000	$5,000,000
Passenger Facilities, Phase 2	CIP-2023-01	PR23	Expansion	$30,000,000	$0	$0	$1,500,000	$9,000,000	$4,500,000
Fixed Guideway									
Carrollton Double Crossover	2019-FG-01	TAM	Reliability	$1,692,540	$722,352	$0	$0	$0	$0
BRT East-West Bank Corridor	2021-FG-01	CO3	Expansion	$282,473,949	$3,500,000	$20,000,000	$60,000,000	$90,000,000	$108,755,877
St. Charles Downtown Loop - Phase 3	2022-FG-01	TAM	Reliability	$440,000	$440,000	$0	$0	$0	$0
St Charles Downtown Loop - Phase 4	2023-FG-01	TAM	Reliability	$13,000,000	$2,000,000	$12,600,000	$0	$0	$0
Uptown-Downtown Streetcar Connector (Howard Av)	CIP-2016-01	UP2	Expansion	$10,000,000	$0	$1,000,000	$4,000,000	$5,000,000	$0

Project Name	Project Number	Plan Ref	Project Type	Total Budget	Budget by Year				
					2024	2025	2026	2027	2028
BRT Extension, River District	CIP-2023-03	CO3	Expansion	$10,000,000	$0	$0	$0	$5,000,000	$5,000,000
Riverfront Streetcar Extension	CIP-2023-04	UP2	Expansion	$18,000,000	$0	$1,000,000	$6,000,000	$11,000,000	$0
Streetcar Corridor Modernization	CIP-2023-05	UP2	Modernization	$5,750,000	$250,000	$500,000	$0	$5,000,000	$0
Select Bus Corridor Improvements	CIP-2023-06	CO1	Modernization	$10,750,000	$550,000	$5,200,000	$0	$5,000,000	$0
Technology									
Comprehensive Fare Modernization Initiative	2022-IT-02	PR4	Modernization	$8,636,588	$561,588	$8,075,000	$0	$0	$0
EPM Cloud Software	2023-IT-04	UP7	Modernization	$400,000	$20,000	$0	$0	$0	$0
Handheld Radio Replacements	2023-IT-05	UP9	Reliability	$1,200,000	$258,000	$0	$0	$0	$0
Computer Equipment Replacement	2023-IT-06	UP9	Modernization	$173,265	$173,265	$0	$0	$0	$0
Radio Infrastructure Modernization	2023-IT-07	UP9	Modernization	$1,230,998	$1,230,998	$0	$0	$0	$0
Real-time Passenger Displays	2024-IT-01	BR7	Modernization	$150,000	$150,000	$0	$0	$0	$0
Cellular Modem Replacement	2024-IT-02	TAM	Reliability	$250,000	$250,000	$0	$0	$0	$0
Service Delivery Software Modernization	2023-IT-03	BR1	Modernization	$1,500,000	$1,500,000	$0	$0	$0	$0
Marine									
Algiers Ferry Barges Replacement	2022-MA-01	UP4	Modernization	$13,670,149	$1,367,015	$0	$0	$0	$0
Marine Vessel Repair 2024 Contingency	2024-MA-01	TAM	Reliability	$500,000	$500,000	$0	$0	$0	$0
TJ - USCG Drydock Exam & Overhaul	2024-MA-02	TAM	Reliability	$1,500,000	$1,500,000	$0	$0	$0	$0

	Total Budget	Budget by Year				
		2024	2025	2026	2027	2028
Summary						
Total Capital Investment Program (CIP)	**$604,367,682**	**$51,438,387**	**$106,611,590**	**$124,712,156**	**$98,196,452**	**$96,664,254**
Secured Awards	**$161,114,120**	*$36,748,264*	*$60,249,069*	*$64,116,788*	*$0*	*$0*
Proposed Funding	**$229,848,200**		*$31,081,433*	*$44,086,575*	*$86,333,062*	*$86,333,062*
Proposed Bond Proceeds	**$113,881,877**	*$0*	*$6,631,742*	*$24,869,032*	*$37,303,548*	*$45,077,556*
Local (RTA) Funds	**$68,674,586**	*$14,690,123*	*$15,281,088*	*$16,508,794*	*$11,863,390*	*$10,331,192*

Notes:

1. All amount in 2023 dollars
2. Total Budget by funding source will not total due to budgets for projects including pre-2024 costs

File #: 23-220   **Board of Commissioners**

FY 2024 All Stations Accessibility Program Grant Application

DESCRIPTION: FY 2024 All Stations Accessibility Program Grant Application	AGENDA NO: Click or tap here to enter text.
ACTION REQUEST: ☒ Approval ☐ Review Comment ☐ Information Only ☐ Other	

RECOMMENDATION:

Authorize the Chief Executive Officer to seek federal funds not to exceed the amount of $5,600,000 to assess, design, and construct ADA-accessible stops along the St. Charles Avenue Streetcar route. The total project amount is estimated at $7,000,000; the local match is 20% or $1,400,000.

ISSUE/BACKGROUND:

RTA operates four streetcar lines. Since 1835, the St Charles streetcar is the oldest continuously operated urban railway in the United States. While there have been several improvements and changes to the line over the decades, the vehicles are generally of the original 1920's vintage, and the stops and route have not changed since 1973. In 2020, in accordance with a 2017 consent decree, 4 heritage-style streetcars with wheelchair-accessible lifts were repainted to match the vintage St Charles cars and 6 of the 54 total stops along the route were adapted to be compliant with the 1990 Americans with Disabilities Act (ADA). These 54 stops are spread out over a total route of 6.5 miles from Downtown to Uptown, with an average spacing of 645 ft per stop - or about 2 blocks.

DISCUSSION:

RTA is looking to develop a fully accessible system, regardless of service type and history. The staff proposes to apply for the FTA's All Stations Accessibility Program funding to design and construct improvements so that all stops and immediately connecting infrastructure are fully accessible for the thousands of residents and visitors that use this vital and scenic service. This work will include developing stop design typologies that meet accessibility needs, beyond ADA, and also fit the iconic historic context. The project will also evaluate possible stop consolidation, to improve travel speed and reduce total program costs. Staff proposes to apply for these funds in partnership with the City of New Orleans to ensure that the connecting infrastructure around the stops is improved at the same time as the transit stops.

FINANCIAL IMPACT:

The RTA will be responsible for the local match of $1,400,000.

NEXT STEPS:

With Board approval, staff will submit a grant application to FTA. If awarded, staff will return to the Board to approve the allocation of the funds and the procurement of a consultant to perform the work.

ATTACHMENTS:

1. Resolution

Prepared By: Joanna Farley
Title: Senior Transportation Planner

Reviewed By: Dwight Norton
Title: Chief of Infrastructure, Planning and Information Technology

Reviewed By: Gizelle Johnson-Banks
Title: Chief Financial Officer

[signature]   1/4/2024

Lona Edwards Hankins   Date
Chief Executive Officer

RESOLUTION NO. _____

STATE OF LOUISIANA

PARISH OF ORLEANS

AUTHORIZATION TO SUBMIT A GRANT APPLICATION
FOR FY 2024 ALL STATIONS ACCESSIBILITY PROGRAM

Introduced by Commissioner _____,
seconded by Commissioner _____.

WHEREAS, RTA operates four streetcar lines. Since 1835, the St Charles streetcar is the oldest continuously operated urban railway in the United States; and

WHEREAS, while there have been several improvements and changes to the line over the decades, the vehicles are generally of the original 1920's vintage, and the stops and route have not changed since 1973; and

WHEREAS, in 2020, in accordance with a 2017 consent decree, 4 heritage-style streetcars with wheelchair accessible lifts were repainted to match the vintage St Charles cars and 6 of the 54 total stops along the route were adapted to be compliant with 1990 American with Disabilities Act (ADA); and

WHEREAS, these 54 stops are spread out over a total route of 6.5 miles from Downtown to Uptown, with an average spacing of 645 ft per stop – or about 2 blocks, and

RESOLUTION NO. _____
Page 2

WHEREAS, RTA is looking to develop a fully accessible system, regardless of service type and history; and

WHEREAS, the staff proposes to design and construct improvements to the transit stops as part of the FTA's All Stations Accessibility Program to develop a program of improvements to have **all** stops and immediately connecting infrastructure fully accessible for the thousands of residents and visitors that use this vital and scenic service; and

WHEREAS, this project will include developing stop designs that meet both accessibility needs, beyond ADA, and fit the iconic historic context; and

WHEREAS, the study will also evaluate possible stop consolidation, to improve travel speed and reduce total program costs; and

WHEREAS, the RTA will work alongside the City of New Orleans to ensure ADA accessibility of the infrastructure around the transit stops; and

WHEREAS, the RTA will be responsible for the local match of $1,400,000. The federal obligation is expected to be $5,600,000.00; and

NOW, THEREFORE, BE IT RESOLVED by the Board of Commissioners of the Regional Transit Authority (RTA) that the Chairman of the Board, or his designee, to submit an application for grant funding for the planning of accessible stations on eligible legacy rail corridors.

RESOLUTION NO. _____
Page 3

      THE FOREGOING WAS READ IN FULL, THE ROLL WAS CALLED ON THE ADOPTION THEREOF AND RESULTED AS FOLLOWS:

                   YEAS: _____

                   NAYS: _____

                   ABSTAIN: _____

                   ABSENT: _____

      AND THE RESOLUTION WAS ADOPTED ON THE TH OF JANUARY 2024.

                   _____
                            MARK RAYMOND, JR.
                              CHAIRMAN
                  BOARD OF COMMISSIONERS

File #: 23-217   **Board of Commissioners**

2024 Agency Safety Plan

DESCRIPTION: 2024 Agency Safety Plan Revision	AGENDA NO: Click or tap here to enter text.
ACTION REQUEST: ☒ Approval ☐ Review Comment ☐ Information Only ☐ Other	

RECOMMENDATION:

To approve and adopt the 2024 revision to RTA's Agency Safety Plan ("ASP") as written, to satisfy State Safety Oversight Agency (SSO) and Federal Transit Administration (FTA) safety plan requirements.

ISSUE/BACKGROUND:

A formally approved revision of RTA's ASP is required annually by the Louisiana Department of Transportation and Development (LADOTD), serving in the capacity of RTA's SSO under 49 CFR Part 674, and by FTA.

Staff is recommending that the Board of Commissioners approve the revised ASP to be immediately executed by management and staff.

DISCUSSION:

The Board of Commissioners previously approved the initial ASP on July 28, 2020, and subsequent revisions on March 23, 2021, January 25, 2022, and December 13, 2022. This revision for Calendar Year 2024 includes continued enhancements to multiple sections, addresses changes to statutory safety plan requirements, and includes RTA organizational structure changes.

LADOTD has reviewed the draft ASP and provided their written concurrence as required by Title 70, Part IX, of the Louisiana Administrative Code, received on December 19, 2023. RTA's ASP meets or exceeds federal and state requirements governing such plans.

Staff will continue to develop and refine this ASP to ensure it is actionable, has the full support of all executive leadership, and drives continuous safety improvements throughout the agency.

FINANCIAL IMPACT:

None.

NEXT STEPS:

Upon receipt of the formal approval, the Chief Safety, Security and Emergency Management Officer will send a final copy to LADOTD as required. The executive leadership and staff will execute the plan and continue to provide implementation updates upon request.

ATTACHMENTS:

1. 2024 Agency Safety Plan

2. 2024 Agency Safety Plan (tracked changes)

3. Tentative approval from LADOTD

4. Resolution

Prepared By: Craig Toomey
Title: Director - Emergency Management

Reviewed By: Michael J. Smith
Title: Chief Safety, Security, and Emergency Management Officer

Reviewed By: Chris Clark
Title: Interim Chief Transit Officer

1/3/2024

Lona Edwards Hankins   Date
Chief Executive Officer

RE: Draft Agency Safety Plan: For SSO Review

Ed Elam <EElam@emailatg.com>
Tue 12/19/2023 1:27 PM

To:Smith, Michael J. <mjsmith@rtaforward.org>;Lawson, Kevin <kevin.lawson@la.gov>
Cc:James Allen <jdallen@emailatg.com>;Ben Magallon <bmagallon@emailatg.com>;Butler, Ivana <ibutler@rtaforward.org>;
Mapp, Korrie J <kjmapp@rtaforward.org>;Toomey, Craig <ctoomey@rtaforward.org>

Sent on behalf of Kevin Lawson, LADOTD SSO

Mike,
Thanks your response to our comments. The SSO accepts and takes no exception with the updated ASP as presented. We will need a final, adopted ASP with documentation of board approval and LMSC concurrence included.

Thanks
-Ed

Ed Elam, AICP, PTP, TSSP-Rail
Vice President, Director of Planning

ATG | DCCM
504.946.0784 p   504.812.6347 c

From: Smith, Michael J. <mjsmith@rtaforward.org>
Sent: Tuesday, December 19, 2023 12:14 PM
To: Ed Elam <EElam@emailatg.com>; Lawson, Kevin <kevin.lawson@la.gov>
Cc: JD Allen <jdallen@emailatg.com>; Ben Magallon <bmagallon@emailatg.com>; Butler, Ivana <ibutler@rtaforward.org>; Mapp, Korrie J <kjmapp@rtaforward.org>; Toomey, Craig <ctoomey@rtaforward.org>
Subject: RE: Draft Agency Safety Plan: For SSO Review

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Ed, all,

Good morning. Please see attached, revised draft incorporating the SSO's feedback, below, and note in response to the item in part 13—Additional Information:

Note:
Per our discussion, I, as SMS Executive, confer with our Grants team in support of RTA's submittal—in FTA's TrAMS portal—to certify RTA's compliance with Part 673, annually, as required by FTA. Please consider this confirmation which I believe is acceptable under the FTA checklist.

Thank you,

Mike

From: Ed Elam <EElam@emailatg.com>
Sent: Thursday, November 30, 2023 11:23 AM
To: Smith, Michael J. <mjsmith@rtaforward.org>; Lawson, Kevin <kevin.lawson@la.gov>
Cc: James Allen <jdallen@emailatg.com>; Ben Magallon <bmagallon@emailatg.com>; Butler, Ivana <ibutler@rtaforward.org>; Mapp, Korrie J <kjmapp@rtaforward.org>; Toomey, Craig <ctoomey@rtaforward.org>
Subject: RE: Draft Agency Safety Plan: For SSO Review

Sent on behalf of Kevin Lawson - DOTD SSO

Mike,
In response to your email, the SSO has completed a review of the draft 2024 ASP using the FTA's Public Transportation Agency Safety Plan Checklist for Rail Transit Agencies and State Safety Oversight Agencies. A copy of the completed checklist has been provided for the RTA's files.

The result of this review is the SSO's tentative concurrence ***pending*** resolution of three minor questions: two in part 1 of the checklist (to confirm specific asks regarding funding, subrecipients); and one in part 13 of the checklist, under Additional Information (not required but with the option to document certification of compliance with Part 673 in TrAMS).

We welcome any questions as well as receiving the updated draft 2024 ASP with resolution of the items noted.

Thanks
-Ed

Ed Elam, AICP, PTP, TSSP-Rail
Vice President, Director of Planning

A 3421 N. Causeway Boulevard, Suite 500, Metairie, Louisiana 70001
P 504.946.0784   **C** 504.812.6347
Alliance-Transportation.com |

From: Smith, Michael J. <mjsmith@rtaforward.org>
Sent: Wednesday, November 8, 2023 12:47 PM
To: Lawson, Kevin <kevin.lawson@la.gov>
Cc: JD Allen <jdallen@emailatg.com>; Ed Elam <EElam@emailatg.com>; Ben Magallon <bmagallon@emailatg.com>; Butler, Ivana <ibutler@rtaforward.org>; Mapp, Korrie J <kjmapp@rtaforward.org>; Toomey, Craig <ctoomey@rtaforward.org>
Subject: Draft Agency Safety Plan: For SSO Review

Caution: This e-mail originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Kevin,

Good afternoon. Please find attached the current, draft **2024 ASP** for your review. For convenience, I've provided both a red-line track changes and a "clean" version.

Notes:

- Several companion policies and procedures that are referenced throughout and appear in Appendix D are actively being revised. In the case of policies (highlighted in red font) they will need to be reviewed and approved by the Board of Commissioners as required. I plan to share the A/I Procedure as required, along with the MOC Procedure and SSCP (indicated with " * ") since they are specifically required in currently-open CAPs. If you would like to review any other document listed, below, please let me know.
    - Safety Committee Structure Policy SAF5 – anticipated for January '24
    - Customer Code of Conduct – anticipated for January '24
    - Drug and Alcohol Free Workplace Policy HC23 – anticipated for December
    - Management of Change Procedure*
    - Safety & Security Certification Plan (SSCP)*
    - Procedure for Performing Internal Safety Management Audits (ISMA)
    - Accident/Incident Investigation Procedure*
- The Employee Safety and Health Handbook was finalized and is a new item listed in Appendix D (see attached).
- The Safety Management Policy (SAF3) was reviewed as part of the ASP revision. No updates are required at this time.
- Appendix F (Approvals) will be included in the final version that we send immediately following the January Board meeting, pending approval.
- Pending the SSO's tentative concurrence, I will call for a vote from the LMSC in accordance with FTA requirements, during its next scheduled meeting, on **Wednesday, 12/6/2023**.

Please let me know if you have any questions or concerns.

Thanks,

Mike

Mike Smith
Chief Safety, Security, and Emergency Management Officer

RTA 〉〉 *Regional Transit Authority*

New Orleans Regional Transit Authority
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New Orleans Regional Transit Authority

AGENCY SAFETY PLAN

Effective: January 23, 2024

New Orleans Regional Transit Authority

2817 Canal Street

New Orleans, Louisiana 70119

Concurrences and Approvals

New Orleans Regional Transit Authority Agency Safety Plan

Concurrences:

_____
Michael J. Smith
Chief Safety, Security, and Emergency
Management Officer
SMS Executive

<div style="color:red; border:1px solid red;">
Will be completed upon
adoption of Board resolution
</div>

Approvals:

_____
Lona Edwards Hankins
Chief Executive Officer
Accountable Executive

_____
Mark Raymond, Jr.
Chairman, Board of Commissioners

Date: _____

Contents

Document Revision Policy

This document is intended for use by the position to which it was issued. The control version of this document is stored electronically on RTA's "SMS" shared drive and is exclusively maintained by designated Safety Department staff. Printed copies of this document are uncontrolled and may not be current.

This plan is complemented by, and dependent on, other supporting policy documents issued by RTA, and is updated at least annually in accordance with federal and state requirements. The Chief Safety, Security, and Emergency Management Officer determines the initial distribution for this document.

Revisions/Amendments

Version Year	Revision No.	Effective Date	Revised Sections	Purpose
2021	0	7/15/2020	All	Initial issue of PTASP-compliant safety plan (49 CFR Part 673)
2021	1	3/23/2021	All	Incorporates major organizational structure changes
2022	0	1/25/2022	All	Initial Issue; minor updates
2023	0	12/13/2022	All	Aligns with FTA requirements announced in Feb. 2022 Dear Colleague letter, stemming from Bipartisan Infrastructure Law
2024	0	1/23/2024	All	Aligns with changes to statutory safety plan requirements, includes organizational structure changes

Purpose and Scope

The purpose of the Agency Safety Plan (ASP) is to set forth the requirements for identifying, evaluating and minimizing safety risk throughout the New Orleans Regional Transit Authority's (RTA) public transit system. The ASP formally establishes and reinforces RTA's commitment to a comprehensive Safety Management System (SMS) as required by the Federal Transit Administration (FTA) in 49 CFR Parts 670, 672, 673, and 674) and also by the Louisiana Department of Transportation and Development [LADOTD, herein referred to as the State Safety Oversight Agency ("SSO")] in its State Safety Oversight Program Standard (SSOPS)[1]. FTA, other federal agencies, and the SSO have access to review any policy or procedure referenced in this ASP and any related SMS documentation upon request.

The ASP is specifically developed to:
- Establish the Safety Program for RTA.
- Identify both shared and individual roles and responsibilities for RTA staff and management for the safety of its entire system.
- Identify the relationships of RTA with other agencies and organizations that impact or oversee transit system safety.
- Provide formal documentation of RTA's commitment to safety together with RTA's Safety Management Policy (SAF3) and other policies.
- Provide a framework for implementing RTA's Safety Management Policy, and specifically, its comprehensive adoption of the four components of SMS (Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion) in accordance with federal and state requirements.
- Ensure compliance with the National Public Transportation Safety Plan (NSP)[2] relative to safety goals, objectives, and targets[3] that are established by FTA.
- Satisfy federal, state, and local laws, codes, ordinances, and regulations.

The RTA provides public transportation services to the City of New Orleans, Orleans, St. Bernard, and Jefferson Parishes, and the City of Kenner. The RTA system includes five streetcar lines, 34 bus routes, paratransit service, and two passenger ferry lines, all of which is supported by FTA through the Urbanized Area Formula Funding Program (U.S.C. Section 5307) as well as a combination of state and local funding sources. RTA does not provide any Section 5307 funds to any other entity to provide transit services.

Note: Per 49 CFR Part 673.11(f), agencies that operate passenger ferries regulated by the United States Coast Guard (USCG) are not required to develop agency safety plans for those modes of service. In consultation with the Marine Department and Chief Transit Officer (CTO), the Chief Safety, Security, and Emergency Management Officer (CSSEM) or designated staff will oversee contractual safety responsibility by the operator(s) of those services, including safety management program(s) developed and

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[1] La. Admin. Code tit. 70 § IX
[2] Under 49 CFR Part 670
[3] Including Risk Reduction Performance Targets under 49 U.S.C. § 5329(d) as amended by the Bipartisan Infrastructure Law

maintained by the operator(s), in accordance with any service agreements in place and with all applicable federal and state requirements. RTA designated staff assigned to safety responsibility may direct operator(s) to non-modal-specific elements of this ASP as necessary to support program development. Application/adoption of any safety requirements, processes, or practices herein will be administered and overseen through separate RTA- and operator-issued policy documents.

All positions described in this plan are directly employed by RTA unless otherwise noted. Staff serving as project or contract managers are responsible for ensuring contractors comply with the ASP and any referenced policies and procedures.

As SMS Executive, the CSSEM is directly responsible for updating the ASP to reflect the current operation in accordance with state and federal requirements.

RTA's SMS is organized into four components and includes 11 subcomponents aligned with FTA's SMS Framework and related federal requirements. Each subcomponent is addressed in this ASP.

Safety Management System Components

Safety Management Policy	Safety Assurance
1. Safety Management Policy Statement 2. Safety Accountabilities and Responsibilities 3. Integration with Public Safety and Emergency Management 4. SMS Documentation and Records	7. Safety Performance Monitoring and Measurement 8. Management of Change 9. Continuous Improvement
Safety Risk Management	Safety Promotion
5. Hazard Identification and Analysis 6. Safety Risk Evaluation	10. Safety Communication 11. Competencies and Training

PLEASE NOTE: This ASP outlines RTA's mature SMS as described in federal and state Safety Plan requirements. It is important to note that there are a number of companion documents to this Plan that describe the specific tasks, activities, milestones, and steps that RTA continuously undertakes to achieve and maintain a compliant SMS and enhance safety. Where feasible, these documents are incorporated into one or both of the following: 1) RTA's SMS Implementation Plan (SIP; see APPENDIX E: SMS IMPLEMENTATION PLAN), and 2) individual Corrective Action Plans (CAPs) that each describe steps that will be taken to align with this ASP. Agency progress relative to the SIP and CAPs is provided regularly to the SSO. For specific implementation status inquiries, contact the Safety Department.

Section I: Safety Management Policy

1.1 Chief Executive Officer's Safety Management Policy Statement

The RTA Safety Management Policy (SAF3) contains the agency's formal Safety Management Policy Statement and may be accessed on the RTA intranet and via ADP (for employees). It is reviewed and updated annually, to ensure it aligns with the ASP and vice versa. As SMS Executive, the CSSEM is responsible for maintaining and updating the Safety Management Policy in accordance with FTA requirements under 49 CFR Part 673.23.

1.1.1 Safety Performance Targets

Under the requirements of 49 CFR Part 673.11(a)(4), the RTA ASP must comply with FTA's NSP (codified at 49 CFR Part 670) including the establishment of safety measures and Safety Performance Targets (SPTs). While the Safety Management Policy makes reference to these targets, the SPTs themselves are established this Plan-- see APPENDIX A: 2024 SAFETY PERFORMANCE TARGETS.

The required metrics are associated with National Transit Database (NTD) reporting requirements as follows:

- **FATALITIES** (total number of reportable fatalities and rate per vehicle revenue miles, or VRM, by mode)
- **INJURIES** (total number of reportable injuries and rate per VRM by mode)
- **SAFETY EVENTS** (total number of reportable events and rate per VRM by mode)
- **SYSTEM RELIABILITY** (mean distance between major mechanical failures by mode)

Safety Performance Measure Definitions[4]

- **Fatalities**
    - Death confirmed within 30 days, excluding suicide, trespassers, illness, or natural causes
- **Injuries**
    - Harm to person that requires immediate medical attention away from the scene
- **Safety Events**
    - Collision, derailment, fire, hazardous material spill, or evacuation
- **System Reliability**
    - Major mechanical failure preventing a vehicle from completing or starting scheduled trip

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[4] FTA Safety Performance Targets Webinar, February 4, 2020 --
https://www.transit.dot.gov/sites/fta.dot.gov/files/2020-04/SPT_Webinar_202002.pdf

SPTs are established annually in coordination with all pertinent departments, members of the executive leadership team ("ELT"), SMS Steering Committee, and the SSO. FTA data sources are closely reviewed by the Safety Department to establish baseline targets. These include the NSP and the Bus and Rail Safety Data Reports (BSDR and RSDR, respectively) if available. Additional credible sources may be added to the annual review and update process as they are made available to RTA.

1.1.2 Annual Review and Update of the ASP

RTA shall review, update, and submit the ASP to the SSO annually in compliance with the requirements of the SSOPS, as codified in La. Admin. Code tit. 70 § IX-1509.

Upon receipt of tentative approval from the SSO, the CSSEM then sends the ASP to the RTA Board of Commissioners for review and approval in accordance with 49 CFR Part 673. The internal process for review, revision as needed, and approval is found in RTA Standard Operating Procedure (SOP) 004-002.

1.1.3 Maintenance of the ASP

RTA maintains its ASP in compliance with 49 CFR Part 673.11(c), Subpart D and the SSOPS. The CSSEM ensures that the current ASP version is promptly disseminated and made available to all employees.

1.2 Safety Management Accountabilities and Responsibilities

In compliance with 49 CFR Part 673.23(d), RTA has established its organizational accountabilities and responsibilities related to its SMS in this section as well as in SAF3 and the Safety Committee Structure Policy (SAF5).

1.2.1 Key Individual SMS Accountabilities and Responsibilities

Chief Executive Officer

RTA's CEO, as the agency's Accountable Executive, meets the FTA criteria for the designation, per 49 CFR Part 673.23(d)(1). The CEO is ultimately accountable for ensuring action is taken, as necessary, to address substandard performance in the agency's SMS under the requirements of 49 CFR Part 673.23 (d)(1).

As the Accountable Executive, the CEO has the following responsibilities for the SMS:

- Ensuring that the SMS is properly implemented and performed throughout the RTA organization, including employee reporting programs
- Actively and continuously communicating the RTA's Safety Management Policy

and related SMS-related policies throughout the agency

- Ensuring that all executive level personnel are held responsible for implementation of SMS in their respective areas; and each actively and continuously communicates the RTA Safety Management Policy, SMS-related policies, and respective area-specific SMS requirements to all employees in their areas
- Approving this ASP and the Transit Asset Management Plan ("TAM Plan"), and knowing and understanding the contents of both documents
- Ensuring that risk is appropriately addressed system-wide; and directing resource allocation accordingly
- Directing required actions to address non-compliance with the ASP
- Managing continuous improvement activities.

Chief Safety, Security, and Emergency Management Officer

The CEO has delegated the authority and responsibility for day-to-day implementation and operation of the SMS to the CSSEM. The CSSEM serves as the RTA's SMS Executive and as such, is the agency's Subject Matter Expert (SME) on SMS and Public Transportation Agency Safety Plan requirements.

The CSSEM reports directly to the CEO per the requirements of 49 CFR Part 673.23(d)(2). The CSEM chairs, facilitates, and provides technical assistance to each of the safety committees established by SAF5 (or, alternatively, may delegate to a director for this role). The CSSEM may also invite the SSO or appropriate representative to participate in any safety committee established by SAF5.

As the SMS Executive, the CSSEM is responsible for the day-to-day implementation of SMS. Key safety personnel, technical management, and executive level management operate under the CSSEM's guidance and direction to support in data collection and analysis, investigations, hazard identification and assessment, corrective action development and implementation, safety committee business, departmental and/or functional area SA and promotion activities, and other safety management undertakings.

The CSSEM is authorized to take the necessary action to ensure agency personnel have resources, training, and guidance necessary to implement SMS in everyday job performance as required in this ASP.

The CSSEM guides the areas and departments with information about safety risk management to ensure that they understand the level of safety risk and expectations as to mitigations and/or corrective actions. Once risk is assessed, each department will provide documented results of the assessment(s) to the CSSEM who will maintain a master hazard log as necessary. Generally, this process is managed "by exception," meaning areas identified as normal or recurring hazard mitigation or resolution activities (e.g., pre-trip inspections, preventive maintenance, purchase orders) are not re-entered on the CSEM's log every day, but rather exceptional events, such as new and

previously unforeseen hazards, instances of practical drift, and adverse events will be entered and promptly managed in close coordination between the department and the CSSEM.

The CSSEM is responsible for the emergency management function, including preparedness and response in close coordination with local, state, and federal agencies. The position also performs oversight and safety management of the RTA's Memoranda of Understanding (MOUs) and Cooperative Endeavor Agreements (CEAs) in support of RTA's emergency plans and protocols. Also in this capacity, the CSSEM provides training for the agency in emergency-related areas including emergency exercises and drills. The CSSEM is responsible for developing and implementing an all-hazards approach to emergency planning and response, in close coordination with all other departments.

As RTA's executive officer overseeing physical security and law enforcement functions, the CSSEM is fully responsible for SMS compliance in these areas and for developing, maintaining and implementing a range of plans, programs and processes related to public safety. The CSSEM provides training for the agency in all security-related areas, including exercises and drills in accordance with RTA's Exercise Plan and All-Hazards Plan. Additionally, the CSSEM conducts regular Threat and Vulnerability Assessments (TVAs) and other audits, examinations, and reviews to assess the agency's readiness and resiliency.

The CSSEM performs the following safety-critical activities:

- Developing and maintaining the ASP
- Developing and maintaining RTA emergency operations plans including but not limited to all-hazard plans and related annexes
- Overall monitoring of the SMS program and ensuring immediate corrective actions are implemented to address deficiencies of the SMS
- Providing primary consultation and guidance on SMS implementation throughout the agency
- Providing information, recommendations, and status reports to the CEO on resource allocation supporting the SMS
- Chairing or delegating staff to chair a variety of safety and emergency management committee meetings to address system hazards and other safety concerns (also refer to SAF5)
- Conducting independent (but coordinated) SA activities, such as inspections, audits, assessments, and observations in the departments as necessary
- Conducting safety promotion activities, such as surveys, stand-downs, and campaigns in coordination with departments
- Maintaining and monitoring CAPs and Hazard Logs for the agency (which shall serve as the agency's "master" versions of such), and supporting and assisting departments in implementing mitigations and/or corrective actions
- Overseeing contractor, RTA employee, and the general public's safety during construction activities

- Monitoring and verifying departmental data analysis and trending
- Developing and conducting training as needed with external agencies, i.e., emergency responder training, contractor training, and emergency drills
- Establishing system-wide safety, security, and emergency management training objectives, training QA activities and training plans and procedures, including a training matrix by position
- Participating in and leading formal meetings with LADOTD, ELT, and other RTA management on safety issues
- Developing and supporting safety, emergency management, and system security policies, procedures, and programs
- Implementing the Internal Safety Management Audit (ISMA) Program in compliance with SSO requirements and this ASP
- Supporting and facilitating the Safety and Security Certification (SSC) Program in compliance with this ASP and the Safety and Security Certification Plan (SSCP)
- Overseeing and supporting departmental assessments, investigations, inspections, and SA activities to ensure full compliance
- Identifying safety concerns, analyzing reports and information, supporting the development of programs for improving workplace safety
- Assisting in claim investigations of work-related injuries or disabilities and preparing of files for litigation
- Establishing and implementing effective industrial hygiene and occupational policies and procedures for transportation and maintenance functions
- Establishing criteria for the selection, maintenance, and proper use of personal protective clothing and equipment
- Leading and overseeing all physical security and day-to-day Transit Police functions, including in-house and contracted elements, for the agency

1.2.2 Organizational SMS Accountabilities and Responsibilities

Beyond these key positions for instituting and promoting SMS, all members of the ELT share SMS responsibilities. As of the adoption of this ASP, the following positions comprise the ELT and share the responsibility to ensure the ASP is followed consistently throughout the organization:
- Chief Executive Officer
- Chief Safety, Security, and Emergency Management Officer
- Chief Transit Officer (CTO)
- Chief Asset Management Officer (CAMO)
- Deputy CEO Administration
- Chief of Planning and Capital Projects (CPCP)
- Chief of Staff
- Chief of External Affairs
- Chief Human Capital and Workforce Development Officer
- Chief Financial Officer

Each member of the ELT also participates in the SMS Steering Committee in

accordance with SAF5.

The subsections "Common SMS Responsibilities," "Additional SMS Responsibilities by Level," and "Additional SMS Responsibilities by Function" describe in greater detail the responsibilities and accountabilities owned by each department or functional area reporting to the ELT.

The current organizational chart showing the organizational relationships described below is found as APPENDIX B: ORGANIZATIONAL CHART. The chart will be updated with each update of this ASP and on an as-needed basis.

1.2.2.1 Common SMS Responsibilities

All management and staff in all functional areas are responsible for the common requirements of SMS listed in this section, as required by 49 CFR Part 673.23(d):

A. <u>Safety Goals and Objectives</u>: the CSSEM or designee coordinates with each area to establish goals with corresponding objectives that support both Safety Management Policy objectives and SPTs. In consultation with the CSSEM each area monitors progress to ensure the goals, objectives, and targets (as applicable) are being met. This is primarily monitored and reviewed in ELT and SMS Steering Committee meetings. Adherence to established safety goals and objectives may also be incorporated into the performance evaluation process for certain managers and above (in development; pending).

B. SMS Training:
   a. <u>Rail</u> – Key SMS Personnel identified by the CSSEM in this ASP as having direct responsibility for safety oversight of the rail fixed guideway system must meet the requirements of 49 CFR Part 672, including refresher training at two-year intervals. The regulation requires that personnel to whom this applies must meet the requirements within three years of being hired or promoted into the "key" position. The CSSEM is responsible for ensuring the agency's compliance with this regulation.
   b. <u>Director-level</u> – As required by the CEO, all directors and above (directors and chiefs) must self-enroll in and complete the Transportation Safety Institute (TSI) course entitled "SMS Awareness" which is available online via TSI's e-learning portal[5]. This must be completed within one year of being hired or promoted into the position. The certificate must be provided to Human Capital and Workforce Development (HCWD) for recordkeeping in the Neogov Learning Management System. Corresponding policy and position description revisions are currently in development.
   c. <u>All Other Personnel</u> – Personnel not identified as Key Personnel are not required to meet 49 CFR Part 672 requirements at this time, however, they should be proficient in SMS methodologies and practices, and

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[5] https://tsi-dot.csod.com/client/tsi-dot/default.aspx

knowledgeable about all safety program requirements.

      i. A one-hour "SMS 101" course is delivered by the Safety Department during new-hire orientation for all new employees. Additionally, a computer-based training offering of "SMS 101" is under development and will be included in the mandatory trainings for all employees through the Neogov portal.

C. <u>Employee Safety Reporting Program</u>: all employees share the responsibility to report hazards and safety concerns via approved means. Presently, hazards may be reported via the Safety Hotline, through the Hazard Report Form, via the online "Help Desk" ticket system, directly to Safety Department personnel, to a department manager, or through a safety committee.

D. <u>Hazard Identification, Analysis, and Mitigation</u>: each area is responsible to identify hazards in its daily activities and responsibilities; and to fully document all of these activities, following the direction of the Safety Department. FTA guidance directs the CSSEM, as SMS Executive, to facilitate or lead department/functional area Safety Risk Management (SRM) and Safety Assurance (SA) activities, as appropriate. Formal corrective actions may be required to address any unacceptable or undesirable safety risk identified through hazard identification and risk analysis. SAF3 describes SRM and SA roles and responsibilities that all staff share. All employees in all areas must comply with this policy.

E. <u>SMS Implementation</u>: all functional areas must assess their own compliance with the RTA ASP and SMS implementation objectives and action items, and regularly brief the CSSEM on SMS implementation progress. The SMS Steering Committee reserves time during its quarterly meeting for receiving and reviewing implementation status. The Safety Department compiles status notes from all other departments into an SMS Implementation Plan (SIP) Update which it updates on a quarterly basis and provides to the SSO as required.

F. <u>Participation in ISMAs</u>: Progress relative to SMS implementation objectives and compliance with the ASP and referenced policies and procedures are reviewed during recurring ISMAs with each safety-critical function. Before, during, and immediately following each audit, each functional area must be responsive to the requests of the audit team and participate fully. Audits are convened by the CSSEM in accordance with SOP 004-100: Procedure for Performing Internal Safety Management Audits (ISMAs). (Also see **3.3 Internal Safety Reviews**.)

G. <u>SMS Documentation</u>: requirements of both 49 CFR Parts 673 and 674 indicate that all areas must have formal documentation of all safety management activities. For record-keeping purposes safety management activities are defined as any activity pertaining to one or more of the 11 subcomponents of SMS as directed in this ASP. All SMS documentation must be reviewed as part of the annual ASP review and update process to ensure that any changes to the ASP do not create conflict. The department should consult with the Safety Department for technical assistance.

H. <u>Contractor Oversight</u>: Functional areas are responsible for safety management oversight of all contractor activities (for contracts which they directly manage or oversee), documentation and safety management processes, and documentation

of those oversight activities. If specific safety requirements are formally directed by the CSSEM or attached to either associated procurement documents or the final contract, the staff designated as "project manager" is responsible for complying. The department should consult with the Safety Department for technical assistance.

I. <u>Safety Ambassador Program</u>: Currently in development and established during a 2022-2023 Organizational Change Management pilot project, certain functional areas have been assigned a "safety ambassador" to assist with SRM and SA activities within the department and with relaying information between the Safety Department and other RTA departments. As implementation of the role continues, the CSSEM will modify applicable sections of this ASP and provide appropriate direction and guidance.

1.2.2.2 Additional SMS Responsibilities by Level

There are three levels of employee responsibility defined at RTA, described in general below:

1. Executive Level Management
2. Technical Management
3. Front-Line Employees

Each functional area is responsible for establishing and reviewing department-specific SMS responsibilities for each of these three levels consistent with the general responsibilities described in this section. The executives for each area will ensure that each employee is annually evaluated on safety performance related to those SMS responsibilities. It is highly recommended that this evaluation be incorporated into the employee's formal performance review or appraisal.

In addition to the shared responsibilities described above, the additional SMS responsibilities for each level are as follows:

Executive level:

Executives are charged with effectively leading safety management processes and activities in their respective area(s), and actively demonstrating their commitment to safety. They accept their respective responsibilities for implementing both this ASP and the Safety Management Policy, as well as all other referenced policies and procedures. Specifically, they must ensure and be accountable that:

1. Adequate resources are available to appropriately manage safety risk in their areas.
2. Effective mitigation and corrective actions are developed, implemented in a timely fashion, and monitored appropriately to assure safety is maintained, as appropriate.
3. There are no barriers to employee reporting of safety hazards and issues, and

that reports are promptly addressed through the safety risk management process.

4. Safety management activities such as audits or reviews are fully documented and follow a standard process.
5. Safety performance goals and objectives, both in their areas of control and agency-wide, are being met, and safety performance measures, including SPTs, monitored for verification or needed corrective action.
6. They participate fully in the SMS Steering Committee and other safety committee processes.
7. Safety is a core business function in their areas and departments.
8. Safety information is shared openly with the Safety Department and all other departments in support of the SMS.
9. All significant changes are properly managed in accordance with the Management of Change section of this ASP.
10. Safety investigations, audits, inspections, and corrective actions are managed using the organizational approach; that is, focusing on organizational deficiencies and systemic issues instead of individual actions taken or errors committed by front-line employees, where feasible.
11. Adequate safety training, awareness and oversight is provided to employees in their areas of control.
12. A positive safety culture is actively fostered in their area and system wide.
13. Full and open cooperation is affected with State Safety Oversight activities, federal authorities and other external safety agencies as required.

Technical management level:

Technical managers (typically, senior directors, directors, and managers) are charged with the following:
- ensuring directives are implemented from the executive level in safety management,
- promptly informing executives of safety lapses, failures, hazards, and resource shortages,
- visibly demonstrating commitment to safety,
- providing tools and resources needed to safely perform job requirements,
- providing information pertinent to the management of safety to employees, and
- encouraging the reporting of hazards and assuring safety is incorporated in all daily tasks and activities.

Technical Management must personally ensure and be accountable to:

1. Take strategic direction from the Executive level in all aspects of safety management, including daily activities, hazard and safety risk management, safety data, investigations, employee reporting, and safety promotion within their areas of control.
2. Ensure employees receive proper training to perform job functions safely.
3. Ensure employees are properly supervised to ensure tasks and activities are

safely managed and performed.

4. Ensure that employee reports of hazards are properly investigated, mitigated as appropriate and reported to executive management and/or the Safety Department as appropriate; and employees are kept apprised of activities concerning their reports.
5. Ensure that contractors and vendors are educated on RTA safety practices and are held to the same requirements.
6. Coordinate implementation of safety mitigations and SA activities with the Safety Department as appropriate.
7. Monitor and endorse proper safety promotion and awareness activities.
8. Implement management of change activities in coordination with the Safety Department.
9. Identify organizational failures with Executive management, and cooperatively work to implement mitigations and corrective actions to address failures.
10. Participate actively in the safety committee process as directed and assigned, including preparing, reviewing, and sharing safety information.
11. Foster a positive safety culture system wide.
12. Cooperate fully and openly with State Safety Oversight activities, federal authorities and other external safety agencies as required.

Front-Line employees:

Front-line employees are expected to:
1. Promptly recognize and report all hazards and/or potential consequences of hazards that, without mitigation, would result in an unacceptable level of safety risk, coordinating with the Safety Department as necessary.
2. Fully participate in the safety committee process as appropriate.
3. Attend training that will aid in safe job performance.
4. Safely carry out assigned tasks in accordance with training and procedures.
5. Communicate effectively with other employees, supervision, and management.
6. Foster a positive safety culture system wide.

Each of the safety-critical areas below is fully documented through area/departmental programs, policies, plans, procedures, and protocols developed under the authority and responsibility of the Managers of each area. These documents contain detailed information on all functions, tasks, and activities, and are available from the Managers, including how safety is managed in every aspect of operations in each area.

1.2.2.3 Additional SMS Responsibilities by Function

Additional SMS responsibilities are assigned to key functional areas/departments as described in this sub-section. All functional areas identified in this ASP are deemed "safety critical" to the extent that they support safety objectives in the Safety Management Policy and/or the activities under one or more SMS components. The areas are organized by ELT member, current as of the issue date of this ASP.

Chief Transit Officer

Bus, Rail, and Paratransit Operations

RTA's CTO, Director of Bus & Rail Operations, and Managers are responsible for:
- Managing safety in all departmental functions, including appropriate hazard identification, analysis and mitigation, and safety assurance on those mitigations
- Supporting SMS system-wide, including investigations, audits, and assessments
- Training, assigning, and monitoring bus and rail operators, senior supervisors, and supervisors
- Maintaining, reviewing, and revising of the Rulebook in coordination with the CSSEM
- Implementing rules compliance programs for operators, dispatchers, and supervisors, and ensuring service quality assurance and quality control
- Reporting key performance indicators, operational data and other performance measures associated with daily tasks and activities to appropriate parties
- Investigating and managing customer complaints and taking corrective action as necessary
- Investigating employee reports of hazards and taking corrective actions as necessary
- Equipment inventory and tracking
- Managing employee discipline
- Safety messaging
- Ensure representation for all classes of front-line employees on appropriate employee safety committees.

The Director of Mobility Services and Alternative Modes and team of Managers are responsible for:
- Managing safety in all departmental functions, including appropriate hazard identification, analysis and mitigation, and safety assurance on those mitigations
- Supporting SMS system-wide, including investigations, audits, and assessments
- Training, assigning, and monitoring paratransit operators, reservationists, supervisors, dispatchers, and support staff in support of safe delivery of paratransit services
- Maintaining, reviewing, and revising applicable sections of the Rulebook in coordination with the CSSEM
- Implementing rules compliance programs for staff and ensuring service quality assurance and quality control
- Reporting key performance indicators, operational data and other performance measures associated with daily tasks and activities to appropriate parties
- Investigating and managing customer complaints and taking corrective action as necessary
- Investigating employee reports of hazards and taking corrective actions as necessary
- Safety messaging.

Bus, Rail, and Paratransit Communications

Safety-critical activities are described below:

- Control of employee sign-in, attendance procedures, run assignments, yard supervision, and discipline in accordance with agency rules and procedures
- Conduct of visual fitness-for-duty checks upon operator sign-in for duty
- Dissemination of safety-critical drivers' alerts and other notices
- Managing and directing control center operations and safety
- Responding to and managing of operational emergencies and incidents in coordination with the Safety Department and other departments
- Dispatching (respective) operations supervisors and other staff to incidents and accidents as necessary, and closely coordinating with Safety Department in connection with events
- Internal safety messaging.

Operations Training

The Manager is fully responsible for SMS compliance in the development and delivery of training—including new-hire, mandatory (annual) refresher, and post-accident training—for transit operations personnel. The training department's direct involvement in new-hire training for maintenance employees is typically limited to vehicle operation and defensive driving per company standards, while additional hands-on training is carried out within the corresponding maintenance division.

The Manager of Operations Training performs the following safety-critical activities:
- Development and delivery of official agency training curricula materials, including for safety-critical positions, tasks, activities, processes, methods, and programs
- Safety training program development and quality assurance
- Monitoring of training records and oversight of final training evaluations
- Training needs assessments in consultation with other Operations departments and in alignment with agency procedures
- Post-accident re-training based on deficiencies or non-compliances found during accident/incident investigations by Operations and/or Safety
- Simulator training
- Quality assurance evaluations ("ride evaluations" or "ride checks") and follow-up coaching with operators as necessary
- Rail operator re-certification or similar, formally required refresher training (currently in development)
- New-hire training for Operations employees on SMS principles, including hazard identification and reporting

Chief Asset Management Officer

Maintenance (All Modes)

Under the direction of the CAMO, Maintenance Divisions for all assets (vehicles, infrastructure, facilities, and equipment) are responsible for the following safety-critical activities:

    A. Transit Asset Management
    B. Maintenance Training
    C. Warranty Programs
    D. Preventative and Corrective Maintenance
    E. Work Orders and Documentation
    F. Materials Management
    G. Maintenance Quality Assurance
    H. Specialized Maintenance Training

Safety-critical activities for these areas are described below.

- Ensuring proper training of all new mechanics and technicians to safely and effectively inspect, maintain, and repair the agency's assets
- Training all maintenance staff in emergency/safety procedures and injury and illness prevention as appropriate, in coordination with the Safety and Emergency Management Departments
- Administering warranty programs for rolling stock and equipment
- Providing necessary mechanisms for reporting defects and hazardous conditions
- Administering and monitoring standardized programs, policies, and procedures, and respective Maintenance Plans
- Supporting investigations of safety incidents and accidents as requested by the Safety Department
- Coordinating with the Safety Department and other stakeholders in the development of design specifications for, and formal acceptance of, new (revenue and non-revenue) vehicles and vehicle-borne, safety-critical systems
- Assuring that materials, supplies, equipment and parts under the care and custody of the area are stored, accessed and distributed safely and appropriately according to RTA procedures
- Coordinating with the CSSEM on safety requirements of materials
- Monitoring safe handling of and minimizing employee and environmental exposure to potentially hazardous products and materials.
- Approving (jointly with the CSSEM) and implementing the RTA Safety and Health Handbook which establishes OSHA-compliant policies, procedures, and rules for workplace safety.

Specifically, for Rail Infrastructure Maintenance (Including Maintenance-of-Way, or MOW, and Traction Power)--
- Assuring that rail infrastructure is properly maintained and available in safe

operating condition according to RTA's procedures
- Providing necessary mechanisms for reporting defects and hazardous conditions
- Implementing the agency's Roadway Worker Protection program to ensure employee and contractor safety along the entire streetcar trackway
- Administering and monitoring standardized programs, policies, and procedures, and the Rail Maintenance Plan
- Supporting Safety Department-led accident/incident investigations as
- Monitoring safe handling of and minimizing employee and environmental exposure to potentially hazardous products and materials.
- Ensuring appropriate action to resolve reported or otherwise identified hazards in a timely manner
- As appropriate, coordinating the development and testing of engineering solutions as a means of addressing infrastructure-related hazards
- Serving as liaison with various municipalities and other external agencies for hazard resolutions involving infrastructure

Specifically, for Maintenance Quality Assurance--
- Ensuring all documentation requirements of maintenance activities are fully implemented in conformance with regulations and the requirements of the SMS
- Where applicable, participating in the development of technical equipment specifications and procedures that address the safety requirements of regulatory agencies and RTA
- Ensuring that replacement equipment and modifications meet safety requirements prior to acceptance, installation or implementation
- Examining equipment and systems to explore the potential for increased efficiencies and improvements in safety as well as in performance
- Coordinating major equipment rebuild, repair, and retrofits
- Monitoring the performance of preventive maintenance efforts and all other contractor activities
- Ensuring there are no unauthorized modifications to vehicles and equipment

The Maintenance Department is responsible for developing and delivering certain training, directly, for its personnel. The specific training that an employee receives is based on their position description. Maintenance performs the following activities in this regard:
- Development and delivery of official agency training curricula materials, including for safety-critical positions, tasks, activities, processes, methods, and programs that are specific to Bus, Rail, and Paratransit Maintenance areas.
- Safety maintenance training program and development and quality assurance
- Create Standardized Maintenance Procedures (SMP)
- Monitoring and oversight of maintenance training records including evaluation of the effectiveness of the overall training program
- Training needs assessments in consultation with Safety and in alignment with agency procedures
- Quality assurance evaluations (standardized maintenance procedures, etc.) and

follow-up coaching with technicians, as necessary.

Facilities Maintenance Safety-critical Activities:
- Assuring that facilities are properly maintained and accessible in safe operating condition according to RTA's procedures
- Providing necessary mechanisms for reporting defects and hazardous conditions
- Administering and monitoring standardized programs, policies, and procedures, and the Facilities Maintenance Plan
- Ensuring appropriate action to resolve reported or otherwise identified hazards in a timely manner
- Assuring compliance with local, State, and Federal environmental protection and hazardous waste requirements.

Fleet Advancement

The Director of Fleet Advancement and their team are responsible for:
- Assuring that all vehicle fleet technology hardware is properly maintained and available in safe operating condition according to RTA's procedures
- Providing necessary mechanisms for reporting defects and hazardous conditions
- Administering and monitoring standardized programs, policies, and procedures, and the Vehicle Maintenance Plan
- Ensuring appropriate action to resolve reported or otherwise identified hazards in a timely manner. As appropriate, coordinating the development and testing of engineering solutions as a means of addressing vehicle-related hazards

Specific to fleet technology—
The team is responsible for maintaining in-vehicle technologies including fare collection equipment, audio/video surveillance equipment, CAD mobile units, Public Address (PA) systems, and two-way radios.

Transit Stop Maintenance

The Transit Stop Manager develops, manages, and administers all aspects related to streetcar and bus stop maintenance, the stop inventory database, temporary relocations or closures, improvement projects related to asset management and ADA compliance. The Transit Stops Manager also assists the Director of Facilities by managing several contracts for stop maintenance functions, ensuring compliance with contract terms relating to shelter maintenance, cleaning, repair, and security. The position performs the following safety-related tasks:

- Manages all property landscaping, trash removal, amenity state of good repair, and facility repairs
- Manages the installations, removals and operational maintenance of all RTA shelters and associated amenities
- Manages all vendors involved with the maintenance of RTA assets including but not limited to shelters, benches, and trash pickup

- Coordinates with City of New Orleans on trash collection at bus and streetcar stops and provides recommendations to improve and streamline services
- Proposes shelter placements and types in accordance with RTA guidelines
- Assists in the development of specifications and guidelines related to stops and shelters
- Manages customer complaint resolution and questions. Develops and manages bus and streetcar operator feedback.
- Creates and maintains a master transit stop inventory for RTA Operations and Infrastructure departments for use by the staff using data from automatic passenger counters and scheduling software. (Planning and Scheduling determines locations and requirements and secures permitting for signs and shelters.)

Chief of Planning and Capital Projects

The CPCP has the responsibility for and oversight of the following areas:

A. RTA's Capital Plan
B. Project Delivery and Oversight
C. Safety and Security Certification/Acceptance and the SSCP
D. Service Planning and Scheduling
E. Information Technology (IT)

Capital Project Delivery and Oversight

As required, the Capital Projects team may be assisted by a Program Management Consultant, Construction Management Consultant, General Architectural and Engineering Consultant, and/or other contractors.

The Director of Capital Projects will ensure that all contractors and consultants comply with the provisions of this ASP.

The SSC/Acceptance process is an important SA activity that is carried out jointly by the Safety and Capital Projects teams and is governed separately by the SSCP. The SSCP is developed, maintained, and implemented jointly by the CPCP and CSSEM. Depending on the scope, complexity, and initial risk assessment associated with each project, the Project Manager (as tasked by the Director of Capital Projects) and Safety Department staff follow the guidelines contained in the SSCP to determine whether a capital project or system modification requires SSC or Acceptance, and to what degree. Projects and system modifications are also jointly reviewed through a Management of Change procedure. (Also see 3.6.1 Safety and Security Certification.)

Service Planning and Scheduling

The Service Planning and Scheduling team performs the following safety-critical activities:

- System route analysis
- Scheduling and run-cutting for all fixed routes
- Station locations and amenities
- Accessibility issues regarding RTA facilities and bus stops
- Community outreach

A responsibility of the Service Planning and Scheduling team that supports RTA's Management of Change processes is to incorporate a safety risk management review into the service pick process, to ensure that hazards and accident/incident trends are taken into consideration. This review process is iterative throughout the year but at a minimum consists of a coordination meeting with the Safety Department at a point during each service pick that allows for minor adjustments to be made, as necessary, prior to commencement of service. Other, long-range mitigations recommended by the Safety Department during this coordination may be addressed through other steps pursuant to its Service Standards SOP. If necessary (based on the associated level of safety risk), the CSSEM formally tracks long-range mitigations to completion, through either Mitigation Monitoring Plans or CAPs.

Additionally, for phased implementation of large transit network redesign projects, the Director – Service Planning and Scheduling engages Operations supervisors and training instructors, as well as Safety Department representatives, to conduct joint assessments of bus and streetcar routes. The topics reviewed during these assessments may include any combination of: schedule (times of day), service frequency (headways), route alignment, vehicle dynamics, interface with signals or other components of the street network, and placement of transfer points or hubs.

Information Technology

Information Technology (IT) activities and systems require continuous management of risk and are safety-critical. IT is responsible for installing, maintaining and replacing hardware, firmware and software; investigating new technologies, and supporting agency-wide information management and protection.

IT provides and supports the following safety-critical areas and activities:
- Development and promulgation of IT policies, procedures and standards
- Desktop computer access
- Network access
- Telephone systems
- Applications
- Notification of system outages for internal and external customers
- Data warehousing
- Computer-Aided Dispatch (CAD) and Clever Devices tools for OCC
- Maintenance Management Information Systems
- Risk and vulnerability assessments of IT systems agency-wide
- Security badging hardware, software, and equipment

- Hardware and software for audio/video equipment
- Instructional services for use and protection of information technology systems and processes

IT also manages several contract employees and vendors. IT is responsible for providing safety management oversight of these contractors and vendors, including compliance with this ASP.

Chief Financial Officer

Safety-critical activities for Financial Operations are related to the provision of accurate and timely financial services to stakeholders while fostering accountability. One of its primary functions is keeping the Accountable Executive informed of resource allocation and availability in the service of safety management.

A function reporting to the CFO, the Office of Internal Audit and Compliance, is responsible for conducting the Internal Safety Management Audit (ISMA) of the Safety Department.

The Chief Financial Officer has the responsibility for the following areas:
   A. Budget Development and Administration
   B. Grants Administration
   C. Procurement
   D. Third Party and Internal Audits
   E. DBE Compliance
   F. Revenue Collection
   G. Accounting

Procurement

RTA's Procurement Director reports to the CFO and is fully responsible for SMS compliance in the Procurement area.

The primary safety management activities of procurement are to ensure that safety principles, requirements and representatives are included in the procurement process. In coordination with, or at the direction of, the CSSEM, the Director assesses the level of safety risk associated with procurements. Additionally, safety must be managed in storage, warehousing, transportation, accounting, distribution, and disposal of all assets managed through the department. This includes ensuring that information acquired in the procurement process is effectively communicated to the end users.

Office of Internal Audit and Compliance (OIAC)

The RTA's Office of Internal Audit and Compliance (OIAC) functions under the oversight of the CFO and partners with the Safety Department to enhance and ensure the safety, cataloguing, development, and monitoring of internal processes.

The OIAC's principal responsibilities in safety management include ensuring the RTA's compliance with current FTA safety standards, conducting internal safety audits and compliance checks, and devising and executing the RTA Annual Audit Plan, which may incorporate safety-related assessments. For more details on the OIAC's role in supporting safety management, refer to SOP 004-100 (Procedure for Performing Internal Safety Management Audits).

Chief of External Affairs

Customer Service

The Manager of Customer Service (consisting of "Rideline" and "ADA" or "eligibility" teams at present) has the responsibility for the following safety-critical activities:
- Oversight, monitoring, and supervision of the customer service team
- Monitoring and ensuring proper handling of consumer complaints, suggestions, commendations, miscellaneous calls and correspondence relating to the agency
- Investigating complaints and concerns, employee reports of hazards and other required events, including coordination with other departments and preparing reports as necessary
- Collecting and performing trend analysis on customer and employee reports, concerns, and complaints
- ADA and reduced fare program eligibility and customer relations
- ADA compliance

Intergovernmental Affairs

The Intergovernmental Affairs team has the responsibility for the following safety-critical activities:
- Community and government relations for RTA issues and operations
- Outreach to community organizations/stakeholders.

Marketing and Communications

Marketing and Communications is responsible for public relations, marketing and retail sales, streetcar charters, advertising, film production and creative services. The team also designates individuals to serve as RTA's Public Information Officer (PIO) under RTA's All Hazards Plan and related annexes.

Chief of Human Capital and Workforce Development

RTA's Chief Human Capital and Workforce Development (HCWD) Officer reports to the Accountable Executive. The Chief HCWD Officer is fully responsible for SMS compliance in the HCWD area.

The Chief HCWD Officer manages hiring, employee information, worker's compensation, administrative organizational development, and employee programs. HCWD is responsible for assuring that staff positions are effectively defined and classified and that qualified personnel are identified to meet staffing needs. This department also manages the contracted employee assistance programs, including the program for substance abuse. This department also administers and oversees the Workers Compensation and Drug and Alcohol Programs in accordance with federal and state requirements.

Safety-critical activities include:

A. Talent Acquisition
B. Employee Relations
C. Talent Management
D. Compensation
E. Benefits
F. Employee Assistance Program (EAP)
G. Equal Employment Opportunity (EEO) Compliance
H. Document Management
I. Worker's Compensation matters
J. Drug and Alcohol Program

Safety Critical activities in this area include:
- Coordinating of safety-critical pre-employment activities, including investigations, testing, DOT physicals, qualifications review and legal compliance in hiring
- Maintaining job descriptions incorporating SMS responsibilities and requirements; distribution of the descriptions as needed
- Accurately documenting hiring and other employment processes
- Managing recruitments based on direction from ELT and approved criteria
- EAP, including wellness services, including nutrition, injury prevention, financial counseling and physical and mental health
- Developing, implementing, and monitoring the Drug & Alcohol program in accordance with U.S. DOT and FTA requirements
- Investigating complaints and incidents related to conduct in the workplace and recommending corrective actions as necessary
- Maintaining centralized training records for the agency, including but not limited to: ethics training, FEMA ICS training, attendance of mandatory safety meetings, and SMS training.

1.2.3 Key SMS Personnel with Direct Responsibility for Rail Fixed Guideway Safety Oversight

Apart from the level- and function- specific SMS responsibilities described above, certain key SMS personnel [49 CFR Parts 673.23(d)(4) and 673.29] are considered to have a direct responsibility for safety oversight of the rail fixed guideway, and as such, must comply with FTA's Public Transportation Safety Certification Training Program

(PTSCTP) codified at 49 CFR Part 672. As of the adoption of this revision of the ASP, the key SMS personnel are:

- CSSEM
- All Safety Department and Emergency Management Department staff

The Safety Department, under the CSSEM's direction, coordinates a review of the status of required training per the PTSCTP during the annual review and revision of the ASP. The CSSEM maintains a safety training matrix for the key SMS positions and pursues external training opportunities in support of meeting these training needs by the specified compliance dates, to the extent practicable, e.g., FTA, Transportation Safety Institute (TSI), the National Safety Council.

Key SMS personnel are responsible for complying with PTSCTP and internal SMS training requirements, including refresher training every two years. (Also see **4.1 Competencies and Training**.)

1.3 Integration with Emergency Management

RTA develops, maintains, and implements all emergency management documentation as required by 49 CFR Part 673.11(a)(6), hereby incorporated by reference. Jurisdictional agreements, including Memoranda of Agreement/Understanding (MOU/MOA), are also maintained by RTA.

Emergency Management functions are subject to the requirements of Section II of this ASP, Safety Risk Management. Corrective actions arising out of emergency management functions, including drills, workshops, exercises, and After Action Reports, are the responsibility of the CSSEM unless otherwise noted in the CAP.

The CSSEM ensures that resources are properly allocated to support emergency management functions in a manner that achieves SMS goals and objectives and addresses any SMS deficiencies. The CSSEM uses SMS Steering Committee and/or ELT meetings and proceedings to ensure a strong level of cross-departmental coordination on emergency management matters. Additionally, the CSSEM participates in and leads coordination meetings with City/regional stakeholders to discuss upcoming activities or initiatives, such as training, joint exercises, and external outreach campaigns.

The documentation listed below specifies primary agency-wide documents to manage emergency management functions, although this list is not exhaustive:

1. RTA All Hazards Plan and annexes
2. Memoranda of Understanding/Agreement with law enforcement and emergency management partners
3. Emergency Exercise Plan
4. After Action Reports

1.4 SMS Documentation

Per the requirements of 49 CFR Part 673.31, RTA maintains all documentation incorporated here by reference for at least three years, in all versions, and will make them available as requested or required to the SSO, the FTA or other federal agencies having jurisdiction and authority. Other documents subject to other statutory compliance requirements (industrial safety, environmental, etc.) will be maintained according to law.

The CSSEM coordinates with each ELT member to identify and address process deficiencies or documentation gaps in their respective area(s) through a combination of the following: Safety Department-led Safety Assurance activities, SMS Steering Committee meetings, ISMAs, strategic planning coordination, and one-on-one workshops.

Documents that have a direct interface with this ASP are listed in APPENDIX D: LIST OF SAFETY POLICIES AND STANDARD OPERATING PROCEDURES. The list is for reference only and is not exhaustive.

An up-to-date list of controlled, final versions of safety procedures is maintained on the "SMS" drive and are available upon request. Current versions of agency policies are maintained on the RTA Intranet site, in accordance with the "Creation of Policy" Policy (HC49).

At present, a formal, agency-wide process for developing, reviewing, updating, and maintaining procedures is under development.

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.

RTA's formal SRM process incorporates all FTA requirements to: identify existing and foreseeable hazards, identify reasonable consequence(s) of those hazards that may result in adverse events, analyze those consequences to evaluate the level of safety risk, and establish and prioritize mitigations to reduce the level of safety risk to the lowest practicable level.

SRM encompasses the use of safety analysis tools by adequately staffed and trained personnel and departments, groups and committees at RTA, as well as the use of SMEs wherever appropriate, at the discretion of the CSSEM.

In addition, the SRM process at RTA is integrated with its SA program to ensure that safety risk mitigations are evaluated for effectiveness over time. SA processes are described in Section III.

2.1 Infectious Disease Hazards

Pursuant to statutory requirements in Title 49 U.S.C. Section 5329(d) as amended by the Bipartisan Infrastructure Law, the SRM process is applied to identifying strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions. To the extent that any hazards are associated with known infectious diseases, any SRM actions will be carried out in a manner that is consistent with guidelines of the Centers for Disease Control and Prevention (CDC) and/or state/local health authorities. Note: The approval of this ASP constitutes as RTA's certification that the SRM measures outlined, below, and generally, RTA's Safety Program, include strategies to minimize the exposure of the public, personnel, and property to known infectious disease hazards, that are consistent with guidelines of CDC and state/local health authorities. More information on how the RTA manages Infection Diseases can be found in Annex B: Infectious Disease Annex in the RTA's All Hazard Plan.

2.2 Hazard Identification

All department managers are required to identify hazards, report them, and mitigate them appropriately. All employees and contractors share a responsibility to identify and report hazards using a variety of methods established by RTA. To ensure proper recordkeeping as required by FTA and SAF3, department managers are responsible for providing regular updates to the Safety Department regarding hazards and mitigations taken.

2.2.1 Hazard Identification Sources

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

1. 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 in the system.
2. Proactive hazard identification involves real-time situations, such as through departmental inspections, audits, evaluations, observations, and assessments; proper management of change; training quality assurance programs; and the employee and contractor safety reporting programs. Job Hazard Analyses (JHA) identify and support a thorough analysis of hazards that may reasonably be encountered during the performance of a specific job or task. RTA actively seeks to identify hazards and mitigate them effectively before adverse events occur.
3. A specialized subset of proactive hazard identification 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.
4. 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.
5. The Safety Department reviews Board of Commissioners and Riders Advisory Council meeting minutes for reported hazards and safety concerns. Hazards are elevated to the master Hazard Log as appropriate, based on safety risk.

2.2.2 Employee Reporting Systems

RTA has multiple avenues by which employees and contractors can report hazards. Investigations of hazards are also properly documented per SOP #004-005 and distributed according to that SOP.

Employees are encouraged to report hazards through their chain of command, including their immediate supervision, or management if supervision is not available; through the safety committee process; or by contacting the Safety Department directly.

Frontline Operations Department personnel also have the option of reporting the hazard to OCC, who will in turn input the proper information in Clever Incident Manager.

RTA employees and contractors can also submit hazard information via a Safety Hotline, which has the following options:
- Telephone – (504) 827-8367 (available 24 hours a day, 7 days a week)
- Email – safetyhotline@rtaforward.org
- Vorex "Help Desk" application (accessible via the RTA Intranet)
- Hazard Report Form (employees can submit the form to any of three labeled drop boxes: A. Philip Randolph (Canal) facility, Carrollton, or East New Orleans

(ENO)).

Submitters have the option of reporting anonymously or confidentially to the Safety Hotline.

Designated Safety Department staff enter, track, monitor, analyze, and close hazards, or "tickets" through a cloud-based software application, "Vorex." This tool is convenient for staff to use and provides for increased trend analysis capabilities.

Customer Service manages customer safety complaints, which are forwarded to the responsible department and the CSSEM as applicable. The department investigates the report and develops and implements corrective action as needed, in coordination with the Safety Department. Employees can also use this process as an anonymous option.

No matter what the source of information is or which department investigates and resolves the issue, the feedback loop to the reporting employee is required, as applicable. For hazards or issues that are deemed "unacceptable" following the SRM process, the outcome of the report, investigation, corrective action, or mitigation is distributed to the SMS Steering Committee for handling as appropriate. Each report will be thoroughly investigated under the direction of the CSSEM and in accordance with SAF3 and this ASP. If the employee has not reported anonymously, the responsible (Technical or Executive Level) manager or CSSEM ensures that the results of the investigations and any corrective action are reported back to the reporting employee.

In turn, the results are forwarded to either a "Safety Ambassador" or Departmental Safety Committee (or if neither is available, to the department management for local dissemination). (Also see Section IV – Safety Promotion.)

Protections for Employees Reporting Adverse Safety Conditions

RTA is committed to maintaining a robust positive safety culture. As part of that commitment, RTA will protect employees who report adverse safety conditions to management. As explicitly directed in SAF3, any employee who reports a valid violation, unsafe act or condition, or other safety concern directly to the Safety Department will not experience any reprisal from management. SAF3 also stipulates that such reprisal is not allowed if reported to any (other) member of (Technical or Executive Level) management. The CSSEM will promptly forward to the Chief HCWD Officer any allegations or claims that this provision in SAF3 was violated during the handling of an employee-reported hazard or safety concern. If an employee reports and requests anonymity, the RTA will provide anonymity for all valid concerns.

Unprotected Self-Reporting

No willful violations will be subject to self-reporting protections. This includes but is not limited to any violations of Drug and Alcohol policies or requirements, criminal acts, or

failure to report any criminal acts immediately.

2.2.3 Hazard Investigation

Hazards are investigated in each department as they are reported or identified. Department management identified in this ASP (or, alternatively, the department's Safety Ambassador) are considered primary points-of-contact and initial investigators ("investigator"). If necessary, the investigator may route the investigation to the Safety Department for additional technical support in accordance with SOP #004-005. All investigative activities are properly documented according to the SOP.

In consultation with the Safety Department, the investigator first analyzes the hazard by identifying potential consequences. The purpose of investigation is to evaluate each hazard in terms of the level of safety risk associated with the worst credible outcome; and to examine the likelihood and severity of those consequences occurring. The worst credible consequence is defined as what the agency expects to be a realistic and imaginable consequence of the hazard.

RTA defines safety risk severity categories as a qualitative measure of the worst credible outcome, as indicated in Table 1.

Category	Description	Severity Definitions
1	Catastrophic	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding $10M.
2	Critical	Could result in one or more of the following: 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.
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.
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.

Table 1: Safety Risk Severity (Adapted from Table 2-4 from Rail Transit Agency Accident Investigations – Background Research, FTA[6])

RTA defines safety risk likelihood, or probability, as a measure of frequency relative to any of: a unit of time, the duration of an activity, the life of an item, or the life of a total fleet/inventory, as indicated in Table 2.

Frequency	Level	Probability Definitions
Frequent	A	Likely to occur frequently to an individual item. Continuously experienced in the fleet inventory.
Probable	B	Will occur several times in life of an item; will occur frequently in fleet/inventory.
Occasional	C	Likely to occur sometime in life of an item; will occur several times in fleet/inventory.
Remote	D	Unlikely, but possible to occur in life of an item; unlikely but can be expected to occur in fleet/inventory.
Improbable	E	So unlikely, it can be assumed occurrence will not be experienced to an individual item; unlikely to occur but possible in fleet/inventory.

Table 2: Safety Risk Likelihood

Staff may use either inductive or deductive evaluation methods, depending on circumstances to determine ratings for severity and likelihood.

2.3 Safety Risk Assessment and Prioritization

Safety Risk assessment and prioritization criteria are established through the process documented in this section. All official risk assessment and prioritization activities and any required actions developed as a result of assessments, will be led by the CSSEM, investigator, or other designee who is trained and qualified to perform such assessments. Once the severity and likelihood of the worst credible outcome have been established, the Safety Risk Index (SRI) can be calculated; i.e., the level of safety risk as a composite of severity and likelihood of the potential consequence of the hazard (Table 3).

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[6] Rail Transit Agency Accident Investigations - Background Research, last updated July 2022

SAFETY RISK INDEX				
Frequency of Occurrence	1	2	3	4
A	1A	2A	3A	4A
B	1B	2B	3B	4B
C	1C	2C	3C	4C
D	1D	2D	3D	4D
E	1E	2E	3E	4E

Table 3: Safety Risk Index

The SRI and safety risk acceptance criteria (Table 4) are reviewed to determine "acceptance" of the increased level of safety risk that was assessed—or that which will exist if left unmitigated. This is level of safety risk acceptance is classified as one of the following: high, medium, low, or acceptable. At this point in the process, any assessment resulting in an SRI of low, medium, or high must be reported to the Safety Department. The CSSEM or designee will advise the investigator or department point-of-contact on next steps.

For acceptable hazards, the investigator or department point-of-contact is responsible for documenting the safety risk assessment.

For low, medium, or high hazards, the CSSEM or designee is responsible for determining the SRI and using it to establish a shared understanding across the affected department(s) and/or functional area(s) of the necessity to mitigate or reduce the level of safety risk. The CSSEM determines whether the assessed level needs to be prioritized based on safety risk acceptance.

For hazards/consequences rated high or medium, the SSO must be notified as soon as practicable or no later than the conclusion of the safety risk assessment. The CSSEM is directly responsible for notifying the SSO.

SRI	Acceptance Criteria	Special Conditions	Approval Level
High	Unacceptable	**Requires immediate resolution.** Results must be recorded on Safety's Hazard Log and immediately reported to SMS Steering Committee*	CEO, CSSEM
Medium	Undesirable	**Actions require SMS Steering Committee and CSSEM review and approval.** Results must be recorded on Safety's Hazard Log*	CSSEM

Low	Acceptable with Review	Requires dept. management review in consultation with CSSEM or designee. Results must be recorded on dept. Hazard Log and managed by investigator or dept. POC, with follow-up provided to CSSEM as directed	Dept. ELT
Acceptable	Acceptable	None – Can be managed at department-level. Investigator or dept. POC is responsible for recordkeeping. Safety may audit dept. Hazard Log	Dept. Investigator/ POC

Table 4: Safety Risk Acceptance Criteria

If the hazard is currently mitigated, investigation involves an assessment of the effectiveness of current mitigations—that is, a determination of whether they are sufficient to address the associated risk, and if changes or additional mitigations are warranted to further reduce risk (until it reaches an acceptable level).

Based on the approved decision authority level that results from the safety risk assessment—unacceptable, undesirable, acceptable with review, or acceptable—the department performing the assessment is responsible for notifying the appropriate parties immediately, if they are not already involved. If the ELT must be notified, the CSSEM may recommend calling an emergency meeting of the ELT and/or SMS Steering Committee as appropriate.

2.4 Safety Risk Mitigation

Safety Risk Mitigations are methods or processes to manage safety risk agency-wide. Once an unacceptable level of safety risk is assessed, RTA must ensure that it is not accepting the risk without the proper level of management involvement, per the SRM process specified in this ASP.

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

- 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).
- Segregate: Segregation limits the exposure of people, assets, operations or activities to the consequences of the identified hazards.

The preferred hierarchy of mitigation at RTA, based on FTA guidance, is:

1. Design out the hazards
2. Install safety devices

3. Use warning systems
4. Administrative (rules, procedures, training)
5. Personal Protective Equipment (PPE)

Each level of employee has specific responsibilities in response to hazards.

Front-line employees (and contractors) are trained to recognize hazards, report them and what activities are required of them 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.

Technical managers must respond to and investigate hazards, deploy resources at their disposal to address and mitigate hazards under their control; and when additional resources or assistance are needed, inform executive management and/or the Safety Department in a timely manner.

Executive management must allocate resources based on risk (as determined by or in consultation with the Safety Department), and if resources are not available, ensure that no activities take place until the level of safety risk is mitigated to an acceptable level (as determined by the Safety Risk Acceptance Criteria table).

If risk needs to be mitigated beyond existing mitigations, or when new hazards are identified that require corrective action, a mitigation must be developed, implemented, and monitored. The CSSEM will advise whether a CAP is required to facilitate the necessary actions to mitigate the safety risk to an acceptable level. The CSSEM will monitor mitigations and corresponding CAPs to ensure consistency and compliance with the ASP. CAPs are submitted electronically to the SSO by the CSSEM for approval once the CAP is opened. Not all mitigations require a formal CAP be submitted to the SSO.

Safety risk assessments, prioritizations, mitigations, and corresponding CAPs for high and medium SRI-rated hazards will be reviewed jointly in the SMS Steering Committee. These details for low and acceptable SRI-rated hazards may be discussed at this or other, recurring safety committee meetings, at the discretion of the CSSEM.

Risk still inherently exists even after mitigation; the department is responsible for monitoring the mitigation, in coordination with the CSSEM or designee, and promptly reporting if the mitigation is ineffective or introduces unintended hazards. The CSSEM will advise the department whether a Mitigation Monitoring Plan (MMP) is required, and if so:
• What level of documentation is sufficient and how it should be provided to the CSSEM,
• Who is responsible for implementing the MMP, and
• What should be entailed in the monitoring.

(Also see Section III – Safety Assurance.)

2.5 Tracking

The department identified as having tracking responsibilities in Table 4, above, must document all SRM activities associated with each hazard and provide regular status reports to the CSSEM or to the corresponding safety committee, as appropriate. Using these reports as well as the official Safety Department Hazard Log, Department Hazard Log, and other documentation, the CSSEM tracks mitigations/CAPs to ensure that no unacceptable risk is assumed due to error or omission and ensures that any associated CAPs are developed and reported to the SSO as required.

The official Hazard Log contains one sheet with all hazards whose assessed SRI meet either the high or medium threshold as well as hazards rated lower but requiring follow-up and cross-departmental coordination. A second sheet shows hazards that are rated either low or acceptable.

The Log is reviewed by the SMS Steering Committee during regular, quarterly meetings and is also discussed during regular coordination meetings between the CSSEM and SSO.

The following fields of information are provided in the Hazard Log:
- ID number
- Hazard description– refers to a brief narrative summary of the hazard – what it is; where it is located; what elements it is comprised of element of RTA's operation affected by the hazard
- Date identified
- Hazard source– indicates the mechanism used to identify the hazard, e.g., operator report, near-miss, accident investigation, internal safety management audit, rules compliance program, facility/equipment inspection, formal hazard analysis
- Safety Risk Index (SRI)- whether assessed by the department with support from the CSSEM or by the Safety Department directly
- (Recommended) Hazard Resolution/Mitigation/CAP– refers to the actions recommended by RTA to address the hazard and bring it into a level of risk acceptable to management
- Status– refers to the status of the recommendations. Status may be designed as pending, open, in progress, or closed.

2.6 Risk Reduction Program

Pursuant to Title 49 U.S.C. § 5329(d) as amended by the Bipartisan Infrastructure Law, RTA's SRM and SA processes comprise a "Risk Reduction Program" that will, in connection with other ongoing strategies and initiatives to improve employee and patron safety, aim to reduce the number and rates of accidents, injuries, and assaults on transit workers, including but not limited to the following, specific event types:
- Bus collisions (with vehicles and pedestrians);

- Assaults on transit workers.

RTA will continue to review guidance and forthcoming regulations in connection with Section (I) of the statute, which now includes the exploration of specific mitigations regardless of the outcomes of any SRM process. Namely, based on the language contained in the Bipartisan Infrastructure Law, the mitigations that RTA considers must include retrofits of bus fleets to reduce visibility impairments and the installation of operator barriers. Note: RTA's entire fixed route bus fleet has either factory-installed or retrofitted operator barriers as a result of an FTA grant.

At present, while the statute refers to "risk reduction performance targets," there are no changes to the NSP that can be used to establish baselines for these two event types, and therefore, FTA is not requiring that such targets be included in this ASP.

Section III: Safety Assurance

Safety Performance Monitoring and Measurement

RTA has established activities to:

- Monitor the RTA system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance;
- Monitor RTA operations to identify hazards not identified through the SRM process (per 49 CFR Part 673.25);
- Monitor RTA operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;
- Investigate safety events to identify causal factors; and
- Monitor information reported through any internal safety reporting programs.

Safety Assurance (SA) is a continuous process, constantly interacting with SRM. It is a set of systematic, ongoing processes that are both led and facilitated by the Safety Department to monitor system safety performance. This monitoring is used to: verify that safety objectives are being met; identify previously unforeseen hazards; ensure that mitigations in place are effective and not creating new hazards; and collect data on safety that can be analyzed, trended and shared in support of continuous improvement of the SMS. In addition, SA activities assist the agency in identifying and correcting practical drift and in establishing appropriate safety performance measures and SPTs.

The CSSEM is responsible for ensuring SA processes are compliant with 49 CFR Part 673 and are effective.

In accordance with FTA requirements for Labor-Management Safety Committees, the Labor-Management Safety Committee (LMSC) members may bring forth any safety risk mitigation which they believe to be ineffective or not implemented as intended, during any regular meeting.

3.1 Safety Data Analysis

Under SAF3, RTA departments must identify, collect and analyze data on their safety critical functions in close coordination with, and at the direction of, the CSSEM or designee.

Sources of data at RTA 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

- ISMAs and SMS implementation documentation
- Quality assurance and quality control inspections, audits and other activities
- Employee, passenger and public reports of injury
- Planning and scheduling data collection
- Key performance indicators
- Accident and incident Investigation reports
- NTD data collection and reporting
- Drug and alcohol compliance programs
- Rules and procedures compliance activities
- Safety committee activities and reports

Each department submits its data as related to safety performance and mitigation monitoring, to the executive in its area for review and verification. The CSSEM may request this documentation as part of the agency-wide S A effort. Executives are expected to discuss data and safety performance at SMS Steering Committee meetings as appropriate. Safety performance data are also reviewed by the RTA Board of Commissioners at their request.

3.1.1 Risk-Based Inspections (LADOTD)

Pursuant to FTA Special Directive 22-32[7] and the requirement in 49 U.S.C § 5329 (as amended by the Bipartisan Infrastructure Law) for LADOTD to conduct "risk-based inspections" of RTA's rail system based on data collected and furnished by RTA. RTA coordinates with LADOTD as necessary to ensure the inspections are fully incorporated into existing SMS practices, and in particular, SA. At present, LADOTD is developing detailed policies and procedures to administer this program.

The RTA is tasked with granting the LADOTD SSOA access for conducting risk-based inspections. Furthermore, the RTA is obligated to share the data it accumulates during the process of identifying hazards and assessing and mitigating safety risks with the SSOA. RTA is currently partnering with LADOTD SSOA to develop procedures governing these responsibilities.

3.2 Rules and Procedure Compliance Activities

A robust SMS requires ongoing SA activities; that is, continuous performance monitoring, conducted in the field with real-time assessment and data analysis, so as to provide management with the best and most reliable information for assessing performance.

General orders, bulletins, memos and notices are issued as interim measures until

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[7] https://www.transit.dot.gov/regulations-and-guidance/safety/fta-special-directives

permanent changes are made in the Operations Rulebook. To ensure the appropriate level of executive management oversight, Special Orders, Permanent Orders, Temporary Orders and Change Orders that modify or are intended to permanently establish rules and procedures must be approved and signed by the CSSEM.

All Rulebook revisions must be reviewed and approved in a committee format, as described in the Rulebook. Updates may be selected for joint review by either the Labor Management Safety Committee or SMS Steering Committee, at the discretion of the CSSEM.

Operations technical management and Executive-level management are responsible for monitoring compliance with rules and procedures.

Note: At this time, the process by which all rules compliance activities are coordinated between Operations and Safety is still in development. Cloud-based applications are being evaluated which are intended to help with coordination between Operations, Safety, and HCWD personnel concerning rules compliance and employee management.

3.3 Internal Safety Reviews

RTA has three types of ongoing, internal safety reviews to monitor compliance with its SMS as described in this ASP. These reviews are required under 49 CFR Part 673.27(b). They are:

1. Triennial Internal Safety Management Audit Program (ISMAs)

    This program, also required under 49 CFR Part 674.27(a)(4), is owned by the Accountable Executive and implemented by the CSSEM. Each SMS component and subcomponent and the related activities and functions described in this ASP is audited once every three years. As of 2023, individual ISMAs (performed once annually) are intentionally organized by their corresponding SMS component (Safety Policy, Safety Risk Management, Safety Assurance, and Safety Promotion), in order to foster and enhance collaboration between auditors and auditees and to reinforce the principles and basic framework of SMS to continuously improve the RTA's safety culture.

    Deficiencies require CAPs to be developed and implemented by the department or functional area. All ISMA reports are submitted annually to the SSO under the CEO's signature as required by the SSO and 49 CFR Part 674.

    SOP 004-100 dictates that prior notice is given to the SSO and all ISMA activities adhere to SSO requirements. Final audits are shared with the SMS Steering Committee and may be discussed at subsequent SMS Steering Committee meetings. The CSSEM is tasked with overseeing the process and is certified to

serve as Lead Auditor.

The rolling three-year calendar for upcoming ISMA topics is provided in the Annual Report due to the SSO on or around February 15th of every year. The CSSEM may recommend changes to the topic list in-between Annual Reports, pending SSO concurrence.

As of 2021, the audit of the CSSEM's SMS compliance is performed by the Director of Internal Audit and Compliance, who reports to the Chief Financial Officer. The Director of Internal Audit and Compliance also provides general support to the ISMA process.

2. Safety Department-led Safety Assurance (SA)

Key SMS personnel, at the direction of the CSSEM, conduct periodic, unannounced SA inspections or field observations to ensure compliance with safety-critical rules and procedures.

The CSSEM oversees the process to ensure integrity and compliance, and has the discretion to require more regular reporting if necessary in a given area. Staff document their observations and any non-compliances using the appropriate SA form. The Safety Department has developed forms specific to certain, higher risk activities, e.g., special streetcar operations, flagging/Maintenance-of-Way, and special track work. Findings, trends, and concerns will be presented to ELT, department management, and/or safety committees, as appropriate. If necessary, the Key SMS personnel are authorized to cease operations or a work activity if they identify an imminent hazard posing an unacceptable level of safety risk. They have the authority and responsibility to coach any employees whom they observe failing to comply with a procedure or committing an unsafe act. These one-on-one coaching sessions are then documented using a standard form.

3. Monitoring of Safety Performance Measures.

Monitoring of the system wide Safety Performance Measures identified in Section 1.1.1 requires all departments that collect data directly applicable to the Performance Measures report these measures to the CSSEM or designee at their request. Generally, progress relative to the SPTs set forth in the ASP will be reviewed in SMS Steering Committee meetings and/or other Executive Level Management/ ELT meetings.

Internal safety reviews are designed to monitor all activities and functions to identify non-compliances with the ASP and correct them, identify hazards, and implement mitigations to reduce safety risk. They are also a means of identifying any existing mitigations that may be ineffective, inappropriate or were not implemented as intended as required.

The CSSEM or designee will coordinate with and support any department that has a non-compliance or deficiency with developing a CAP and/or mitigation as necessary. [Also see 3.7.1 Corrective Action Plans (CAPs).]

3.4 Safety Assurance: Maintenance and Support Functions

In addition to the above SA activities that apply for all departments, there are maintenance and related support functions under the purview of the CAMO, specifically.

These functions of maintenance control are fully documented in Maintenance Control Plans, processes and procedures for the following areas:

a. Preventive, predictive, and corrective maintenance – rail, bus, paratransit/automotive/non-revenue maintenance, MOW (rail infrastructure), and facilities maintenance
b. Support activities, including contracted activities (component repair, equipment repair, overhaul, metrology, transportation, mainline recovery, fabrication)
c. Hazard management, quality assurance and quality control
d. Lifecycle Planning, including reliability and maintainability
e. Supply chain, procurement and materials management and warehousing
f. Fleet management and transit stop maintenance
g. Transit Asset Management support and interface

Refer to the Maintenance Control Plans, and related procedures, for each maintenance department.

3.5 Investigations

49 CFR Part 673.27(b)(3) requires the transit agency to establish activities to conduct investigations of safety events to identify causal factors. FTA's SMS approach requires investigations to apply the "Organizational Approach;" that is, all investigations will seek to identify causal and contributing factors instead of simply blaming the person closest to the event.

Internal investigations of all FTA-defined safety events are initiated by the department or functional area that experienced the event in accordance with the RTA Investigation SOP #004-005. That department or functional area will continue to carry out the investigation unless otherwise directed by the Safety Department or an external investigator (e.g., FTA, SSO, NTSB).

Major event investigations are the responsibility of the CSSEM and the Safety Department. These include: any events which meet a reporting threshold for the SSO and/or FTA, any events classified as "Tier 1" by RTA, and any events otherwise deemed serious by the CSSEM

Corrective actions stemming from any findings contained in the final investigation report must be developed by the departments and functional areas, in consultation with the Safety Department, and be approved by the SSO prior to implementation. Upon receipt of formal approval, actions are coordinated and managed by the CSSEM and fully implemented in the approved time frame by the responsible party(ies). Responsible parties may or may not reside in the department or functional area that initially reported the safety event.

Generally, RTA will take appropriate measures (mitigations) to reduce the level of safety risk (likelihood and/or severity) associated with identified contributing factors in order to prevent reoccurrence. One or more CAPs may comprise a single safety risk mitigation.

CAPs may also be unrelated to the mitigation(s) as they may be aimed at addressing system deficiencies or non-compliances that were identified during the investigation but did not contribute to the event.

The CAP management process will be carried out at the direction of the CSSEM, in accordance with SSOPS requirements. [Also see 3.7.1 Corrective Action Plans (CAPs).]

3.5.1 Event Reporting

RTA 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 SSO and the FTA within two hours of any event classified as an accident. RTA will adhere to the reporting and notification requirements outlined in 49 CFR Part 674 and related guidance[8].

Reporting to the SSO is defined in the SSOPS, and FTA is notified through the US DOT Crisis Management Center (CMC) by email at toc-01@dot.gov. The OCC is the primary responsible party for issuing the notification, in consultation with the on-call Safety representative, as necessary.

RTA attends monthly meetings to discuss accidents, including reporting and the status of investigations of SSO-reportable events, with the SSO. Additional follow-up meetings may be scheduled in coordination with the SSO, as necessary.

3.6 Management of Change (MOC)

The Management of Change (MOC) process is designed to identify and assess changes that might introduce new hazards or negatively affect the agency's safety

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[8] https://www.transit.dot.gov/regulations-and-guidance/safety/two-hour-accident-notification-guide

performance. RTA is dedicated to identifying such changes for further evaluation to ascertain if they can reasonably lead to adverse impacts.

The CSSEM employs a Director-led Configuration Management Committee (CMC). This committee, which operates as an SMS Subcommittee under the CSSEM, is responsible for reviewing Change Request Forms submitted by various RTA Project Managers. Within the MOC framework, a project manager is defined as any individual overseeing the implementation of a change in RTA's transit system that might pose a potential hazard. Such changes can either introduce new hazards or influence the suitability or efficiency of existing mitigation measures.

Whenever a change occurs, it must undergo evaluation via the SRM, as though it is a newly identified hazard. Refer to Section II – SRM for details.

The primary goal of the MOC Procedure is to guide and unify the actions taken to gauge the risk level associated with significant changes. However, the process might encompass minor changes that might lead to potential safety hazards. This procedure aligns SAF5, the SSCP, and the relevant section of this ASP.

Every department and functional area is tasked with identifying changes, conducting a preliminary assessment, and then escalating and forwarding any concerns to the CMC based on the determined safety risk level.

As the SMS Executive, the CSSEM escalates the analysis and any subsequent actions or mitigations to the Accountable Executive when deemed necessary. Furthermore, the CSSEM is authorized to mandate additional safety risk mitigation measures before approving a change. If the safety risk level remains unclear, or if there is a need for more technical expertise to determine risk, the designated representative from the CSSEM department may lead this analysis.

SA activities that may identify a need to manage change, include:

- Monitoring of service delivery activities (including field observations)
- Monitoring operations and maintenance data
- Analysis of employee safety reporting program
- Evaluations of the SMS
- Safety audits, studies, reviews, and inspections
- Safety surveys
- Investigations.

At a minimum, changes need to be assessed through SRM if they substantially change the system (e.g., streetcar line extensions) or constitute a major safety-critical re-design (excluding functionally and technologically similar ("in-kind") replacements. When evaluated or considered through any SRM process, the evaluation or analysis must be properly documented.

The following areas are specialized sources of risk associated with change.

3.6.1 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, can adversely affect the safety and security of customers, employees, emergency responders, or the public.

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

The process is guided by RTA's SSCP which is jointly maintained by the CPCP and CSSEM.

The Safety and Security Certification Review Committee (SSCRC) reports to and receives direction from the SMS Steering Committee and provides guidance for RTA's SSC program.

3.6.2 System Modification

Physical changes to the system that are not governed by the SSC process often fall under the Engineering Modification Process. This includes evaluation and assurance, under the SRM process, that a proposed modification does not create unacceptable or undesirable risk in a system, vehicle, equipment or facility previously certified under the SSC process.

System modifications must be forwarded to the Safety Department for handling. Modifications may be subject to the Management of Change (MOC) Procedure as deemed appropriate by the CSSEM. Additionally, internal safety reviews and external audits of the Capital Projects and Maintenance Departments will include a careful review of this process, to ensure it is performing as intended.

3.6.3 Procurement

When the agency must make new procurements; changes to existing materials, vendors and contracts; or changes to the procurement process itself, RTA Executive-level management must apply the SRM process of this ASP to the extent practicable.

The process established for procurement follows the same steps as other changes:

1. The department or area must assess whether the change (procurement) will carry risk or introduce hazards.
2. If a consequence of the change being introduced is an increased level of safety

risk, the department or area must notify the Safety Department. Alternatively, through the internal, Automated Procurement System, the CSSEM "signs off" on all solicitation requests, change order requests, sole source requests, and state contract procurement requests. During this review stage, the CSSEM or designee considers whether the procurement creates a new hazard or otherwise elevates risk for the agency. The System allows the CSSEM or designee to attach additional requirements onto the request via a formal memorandum..

3. If appropriate, mitigations must be in place before the procurement is finalized or the change is made. This process will be led by the Safety Department, in consultation with the Procurement Department and the department/area securing the material, vendor, or contractor.

3.7   Continuous Improvement

Continuous Improvement is the process by which RTA examines its safety performance to identify safety deficiencies and carries out 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 III – SA; and performance auditing.

Collectively, the annual ASP revision cycle and SMS Implementation Plan updates provide a framework for identifying and capitalizing on new opportunities to improve and grow the SMS. ELT is directly engaged in this process, through a combination of the SMS Steering Committee meetings and ongoing business processes (such as the annual workplan and budget review processes).

Once deficiencies in the SMS are identified, corrective actions must be implemented in accordance with this ASP and applicable SSO requirements. Opportunities for enhancement are also communicated to the appropriate ELT member or the CEO as Accountable Executive for consideration. As SMS Executive, the CSSEM is duly authorized to implement such corrective actions and recommend other enhancements needed to achieve a more mature SMS.

3.7.1 Corrective Action Plans (CAPs)

CAPs are required to correct non-compliance with the ASP or referenced internal requirements or deficiencies in the SMS; and otherwise by direction of the SSO or the FTA. Per FTA guidance on ASP implementation, CAPs are not to be confused with

mitigations, although in some instances, they may be one in the same. In either case, the CSSEM is ultimately responsible for monitoring and verifying completion and for ensuring the hazard or concern is adequately addressed. For hazards with lower-level SRIs, the CSSEM delegates this responsibility to the local department's point-of-contact or manager.

All CAPs must be reviewed and approved by the SSO per 674.27(a)(4). CAPs are submitted by the CSSEM to the SSO electronically for approval. Upon obtaining the SSO's approval, they are entered on the CAP log.

Usually, this approval is required prior to beginning implementation of the corrective action, but in exigent circumstances involving immediate protection of life and property, the action may be commenced and then reviewed and accepted or modified by the SSO. RTA will attend all scheduled meetings to discuss the CAPs and coordinate activities with the SSO. CAPs may also be coordinated and discussed in SMS Steering Committee and/or LMSC meetings.

The SSOPS indicates the conditions under which RTA is required to develop and carry out a corrective action. All CAPs at RTA will conform to the requirements of the SSOPS.

CAP closure is dependent upon SSO verification of closure and approval.

Section IV: Safety Promotion

A robust SMS is dependent upon ongoing management commitment to addressing safety risk through training and communication.

4.1 Competencies and Training

RTA is currently reviewing and updating its comprehensive safety training curriculum for all positions and functions. Training requirements that will be included in this comprehensive safety training program for <u>operations and maintenance positions</u> (at a minimum) will encompass:

1. Departmental and functional area responsibilities for training
2. Departments/areas/sections providing training, including all on-the-job training and technical training programs for supervisors
3. Specialized internal safety-related training programs [industrial safety, respirators, Blood-borne Pathogens (BBP), Roadway Worker Protection (RWP), SMS, investigation, emergency action plans, etc.] Note: RWP training is required that, in the course of their duties, may reasonably have to access or perform work in/along the RTA portion of the City of New Orleans right-of-way ("trackway"). Initial training is delivered in-person by Safety Department staff. Refresher training is required every three years thereafter for employees and every year for contractors.
4. Vendor-provided training programs controlled by RTA
5. Required initial training by department, area, and position
6. Technical training and professional development coursework
7. Continuing safety education and training, to include any required re-certification training by department, area, and position
8. Contractor training requirements
9. Training records creation, access, and maintenance
10. Certifications
11. Training Quality Assurance Program
12. Train-the-trainer programs
13. Student feedback and assessments
14. Trainer feedback and assessments
15. Incident management/ Incident Command System (ICS) training
16. Crisis awareness and de-escalation training.

Instruction in safe methods of operations and safety procedures is included in rulebooks, manuals, handbooks, and other documentation developed for the training and qualification of safety-critical personnel, maintained by the department in consultation with HCWD. Training consists of classroom training, field training, on-the-job training, and testing/evaluation.

Pursuant to statutory requirements from the Bipartisan Infrastructure Law, the

comprehensive safety training that operations and maintenance personnel receive must include de-escalation training. Under the direction of the CSSEM, Security and Transit Police staff deliver crisis awareness and de-escalation training for front-line operations and maintenance personnel and also incorporate de-escalation training into quarterly safety meetings hosted by the Safety Department.

The Manager of Operations Training and the Chief of Human Capital and Workforce Development (or designee) are jointlyresponsible for providing new and revised safety training programs to the CSSEM for review. Presently, one (1) maintenance training instructor also reports directly to the Director of Bus Maintenance and provides on-the-job training exclusively for new-hire and existing personnel in Bus and Rail Maintenance areas.

Key SMS personnel designated with direct responsibility for rail fixed guideway safety oversight are required to meet the training requirements codified in 49 CFR Part 672 to include the completion of refresher training every two years.

As of the adoption of this revision of the ASP, the key SMS personnel are:
- CSSEM
- All Safety Department and Emergency Management Department staff.

The CSSEM has directed these positions to take refresher training every two years, which consists of, at a minimum:
- "SMS Awareness" online course through TSI – one hour; and
- Any external or vendor-provided safety- or security-related course.

The combined refresher training coursework must include, at minimum, one hour of safety oversight training per FTA guidance[9].

Each designated "key SMS" position is responsible for applying for and maintaining their individual certification with FTA and for providing documentation to the HCWD Department for recordkeeping in Neogov.

Physical Security staff are required to obtain the Transportation Safety and Security Program (TSSP) certificate from U.S. DOT in either bus or rail by June 30, 2026 or within three years of hire.

Optionally, all other personnel with SMS responsibilities in accordance with this ASP are encouraged, but not required, to obtain the TSSP certificate in either bus, rail, or both. There is no timeframe for achieving this certification and employees are responsible for sending documentation to the HCWD Department for recordkeeping in Neogov.

RTA does not consider any contractors to be "key SMS personnel". Contractor

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[9] https://www.transit.dot.gov/regulations-and-programs/safety/ptsctp-refresher-training-overview-fact-sheet

employees are welcome to pursue and maintain PTSCTP and/or TSSP certification on their own.

(Also see 1.2.3 Key SMS Personnel with Direct Responsibility for Rail Fixed Guideway Safety Oversight)

A one-hour introductory course on SMS ("SMS 101") is delivered by Safety Department staff to all new employees during new-hire orientation. A computer-based refresher course for "SMS 101" is currently under development.

As of 2023, all directors and above (directors and chiefs) must self-enroll in and complete the TSI course entitled "SMS Awareness" which is available online via TSI's e-learning portal[10]. This must be completed within one year of being hired or promoted into the position. The certificate must be provided to Human Capital and Workforce Development (HCWD) for recordkeeping in the Neogov Learning Management System.

Additionally, all employees must take mandatory incident management/ Incident Command System (ICS) training through the Federal Emergency Management Agency's (FEMA) online Emergency Management Institute, as follows:
- All employees must successfully pass IS-100 – Introduction to Incident Command System (Alternatively, the internal City-Assisted Evacuation Plan (CAEP) and IS-100 familiarization training is an acceptable substitute for this requirement.)
- Designated Incident Management Team positions must successfully pass:
  - IS-200 – Basic Incident Command System for Initial Response
  - IS-700 – An Introduction to the National Incident Management System
  - IS-800 – National Response Framework, An Introduction.

Other introductory SMS, safety, security, and emergency management presentations and workshops are available upon request and have been delivered to senior leadership team members and individual departments. The Safety, Security, and Emergency Management Departments develop and adapt their training to cover the following topics as needed:

- SMS responsibilities and accountabilities specific to each department or function
- Employee Safety Reporting Program
- SMS documentation and recordkeeping requirements
- Hazard identification
- CAP management process
- How to assist the Safety Department with Safety Promotion efforts as outlined in this ASP section
- Emergency management roles and responsibilities under the All Hazards Plan

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[10] https://tsi-dot.csod.com/client/tsi-dot/default.aspx

- System security policies and procedures
- Crisis awareness and de-escalation.

4.2 Safety Communications

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
5. Provide feedback on employee-reported hazards and safety concerns.

The primary safety communication responsibility of the ELT at RTA, under the requirements of 673.23(c), is to actively and personally communicate the Safety Management Policy to all employees and contractors. Any changes to the Safety Management Policy must be approved and distributed to all employees. All approved policies are shared on the RTA Intranet, Policies folder, as well as through ADP. All employees are required to review and "acknowledge" all company policies in ADP. Additional tools for disseminating future revisions and for maintaining document control are under review.

Methods of communicating safety information to RTA employees include face-to-face meetings and interactions, sending agency-wide emails, posting and/or distribution of bulletins, department notices, and memoranda, sending electronic messages via the Computer-Aided Dispatch (CAD) system "Clever Devices", and through a quarterly Safety Department newsletter. Posted information can be found at a central location in each department easily accessible to employees. The Safety Ambassador program is also intended to support Safety Promotion and foster two-way communication about safety initiatives and topics.

RTA's comprehensive employee safety promotion program includes the following elements:

- Facility/location safety inspections and audits with written reports and follow-up responses to employees as appropriate;
- Periodic employee awareness training;
- Periodic safety blitz or "stand-down" events;
- Quarterly safety meetings, typically administered by the Safety Department in cooperation with other departments;
- Mandatory crisis awareness and de-escalation training for operations and maintenance personnel;
- Employee safety, security, and emergency management training programs delivered by the corresponding department under the direction of the CSSEM;
- SMS training and workshops hosted by the Safety Department by request;

- Safety posters, and posting of reports, information, statistics, data, notices, bulletins, awareness campaigns, flyers, health services, employee assistance programs and other safety information in employee work areas;
- Annual worker right-to-know programs and industrial safety training; and
- Periodic insurance carrier/broker assessments.

4.2.1 Safety Committees

The executive-level safety committee at RTA is the SMS Steering Committee, the primary group responsible to provide guidance and direction to the agency and to the Accountable Executive on acceptable and unacceptable risk, resource allocation, the status of SMS implementation for each of their areas of control and the promulgation of safety policy and SMS agency-wide.

Pursuant to FTA requirements announced in a February 2022 "Dear Colleague" letter stemming from the Bipartisan Infrastructure Law, RTA created the LMSC as a joint advisory group with specific goals and objectives that were established by the law.

The LMSC as established in SAF5 complies with statutory requirements in Title 49 U.S.C. § 5329(d) as amended by the Bipartisan Infrastructure Law, specifically subsections (1)(A) and (5)(A).

The roles, responsibilities, and basic procedures for both the SMS Steering Committee and LMSC are contained in the Board-approved policy, SAF5. Of note, the LMSC is explicitly required to approve this ASP prior to it being reviewed and approved by the RTA Board of Commissioners.

DSCs are front-line and mid-level safety committees established to address department-specific safety issues and communicate safety concerns and hazard resolution status. The DSCs establish and foster a close working relationship with employees, unions, and management regarding safety issues.

The CSSEM employs a Director-led Configuration Management Committee (CMC). This committee, which operates as an SMS Subcommittee under SAF5 and reports to the CSSEM, is responsible for reviewing Change Request Forms submitted by various RTA Project Managers.

Other safety-focused committees that generally meet on an as-needed basis are described further in SAF5.

4.2.2 Hazardous Materials

All maintenance and support personnel who are required to use chemicals and hazardous or toxic substances are trained in the safe use of such substances. Employees who move to new positions are provided training in the use of any new chemicals that they may be assigned to use by the supervisor.

RTA is responsible for developing procedures that ensure compliance with the hazardous materials standards by all RTA employees and implementing the SA process for hazardous materials.

The chemical, hazardous material and GHS Safety Data Sheet (SDS) review process is incorporated into Maintenance Department procedures and training. All chemicals and hazardous materials used by RTA employees or in the RTA operating system shall be evaluated and approved by the CSSEM or his/her designee prior to use or testing of the product in accordance with the SOP.

The end user must ensure that the CSSEM has reviewed and provided written approval of the requested chemicals prior to procurement, including procurement utilizing blanket orders, petty cash, purchase cards, construction specifications or equipment specifications. Substitutes for chemical products and hazardous materials shall have prior CSSEM approval.

All users of any approved product must read the Evaluation/SDS Approval prior to using the product and follow all instructions and precautions. The CSSEM or his/her staff may conduct site visits where chemicals are being used to ensure that workers are aware of the hazards and that they are using the proper PPE.

4.2.3 Drug and Alcohol Compliance

RTA has developed a Drug & Alcohol Free Workplace Policy (HC23) to ensure a safe environment for the public and RTA employees.

The Designated Employee Representative (DER; reports to the Chief HCWD Officer) has primary responsibility for administering a Drug & Alcohol Testing Program in accordance with 49 CFR Part 40, Procedures for Transportation Workplace Drug and Alcohol Testing Programs and 49 CFR Part 655: Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations. HC23 establishes procedures for the Drug and Alcohol Testing Program, which is administered by the DER, in close coordination with Operations, Maintenance, and Safety Departments. The appendix section of HC23 includes both a list of DOT safety-sensitive positions under the current organizational structure, as well as a list of non-DOT ("RTA") safety-sensitive position for which testing is conducted under RTA's authority.

APPENDICES FOLLOW

APPENDIX A: 2024 SAFETY PERFORMANCE TARGETS

The updated Safety Performance Targets (SPTs) are as follows. Total amounts are targeted by calendar year.

Streetcar

Fatalities (total)	Fatalities (rate per 100k VRM)	Injuries*^ (total)	Injuries (rate per 100k VRM)	Safety Events*+ (total)	Safety Events (rate per 100k VRM)	Mean Distance Between Major Mechanical Failure
0	0.00	10	1.28	58	7.43	20,000

* As defined in the NTD Safety & Security Policy Manual, dated January 2020[11]
^ Includes major and non-major reportable events but excludes injuries related to assaults or other crimes (security events)
+ Includes major safety events only
Determinations of accident/incident preventability have no bearing on any SPTs per FTA guidance.

As comparison, the current internal benchmark for preventable accidents is 2.3 per 100,000 VRM.

Fixed-Route Bus

Fatalities (total)	Fatalities (rate per 100k VRM)	Injuries*^ (total)	Injuries (rate per 100k VRM)	Safety Events*+ (total)	Safety Events (rate per 100k VRM)	Mean Distance Between Major Mechanical Failure
0	0.00	30	0.52	30	0.52	8,000

* As defined in the NTD Safety & Security Policy Manual, dated January 2020
^ Includes major and non-major reportable events but excludes injuries related to assaults or other crimes (security events)
+ Includes major safety events only
Determinations of accident/incident preventability have no bearing on any SPTs per FTA guidance.

As comparison, the current internal benchmark for preventable accidents is 1.5 per 100,000 VRM.

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[11] NTD Safety and Security Policy Manual (https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/ntd/146986/2020-ntd-safety-and-security-policy-manual.pdf)

Non-Fixed-Route Bus (Paratransit)

Fatalities (total)	Fatalities (rate per 100k VRM)	Injuries*^ (total)	Injuries (rate per 100k VRM)	Safety Events*+ (total)	Safety Events (rate per 100k VRM)	Mean Distance Between Major Mechanical Failure
0	0.00	6	0.58	8	0.77	20,000

* As defined in the NTD Safety & Security Policy Manual, dated January 2020
^ Includes major and non-major reportable events but excludes injuries related to assaults or other crimes (security events)
+ Includes major safety events only
Determinations of accident/incident preventability have no bearing on any SPTs per FTA guidance.

As comparison, the current internal benchmark for <u>preventable</u> accidents is 1.5 per 100,000 VRM.

General Notes

For the purposes of establishing SPTs, safety events involving non-revenue vehicles are not included as they are not reported to NTD. Safety events involving RTA maintenance employees operating revenue service vehicles *are* included for their respective mode.

RTA's Safety and Security reporting for the previous three (3) years under NTD's Safety and Security Major and Non-Major criteria was accessed and reviewed in support of establishing SPTs. Due to differences in the reporting thresholds, the safety events reflected here are not necessarily the same as the streetcar safety events reported to LADOTD in accordance with 49 CFR Part 674.

All VRMs by mode are calculated using the most recent available year's actual, confirmed mileage data as shown in the NTD Agency Profile (NTD ID # 60032). The below VRMs are used for all mileage-based targets and were reported to NTD for report year 2022:

- Streetcar – 785,606
- Fixed-Route Bus – 6,261,592
- Non-Fixed-Route Bus – 1,216,836

SPTs are formally made available to the agency's Metropolitan Planning Organization (MPO), the Regional Planning Commission (RPC), per the requirements of 49 CFR Part 673.15(a), and to LADOTD annually for review and comment prior to finalizing the ASP. Refer to the Agency Safety Plan Revision SOP #004-002.

Notes on FTA's Definitions Used in this Section

(per PTASP Technical Assistance Center "TAC" website --
https://www.transit.dot.gov/PTASP-TAC):

FTA's guidance on SPTs indicates that transit modes fall into one of three categories: rail modes, fixed-route bus modes, and non-fixed route bus modes. RTA's SPTs are established for these modes, accordingly. The safety performance of passenger ferry services is not measured against any SPTs that are pertinent to this ASP.

For injuries, FTA uses the definition established by the NTD, which is "any damage or harm to persons as a result of an event that requires immediate medical attention away from the scene." For the injury performance measure, FTA uses all injuries reported on both the NTD S&S-40 (major) and S&S-50 (non-major) forms but excludes injuries related to assaults or crimes (security events). This means a transit agency may have to report a crime-related injury to the NTD, but it would exclude that injury from its injury performance measures.[12]

For safety events, FTA uses all safety events that meet an NTD *major event* reporting threshold (events reported on the S&S-40 form, however excluding major security events). The NTD defines a safety event as a collision, derailment, fire, hazardous material spill, act of nature (Act of God), evacuation, or other safety occurrence not otherwise classified occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle and meeting established NTD thresholds.

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[12] See FTA Safety Performance Targets Fact Sheet
(https://www.transit.dot.gov/sites/fta.dot.gov/files/2020-08/SafetyPerformanceTargetFactSheet_20200814.pdf)
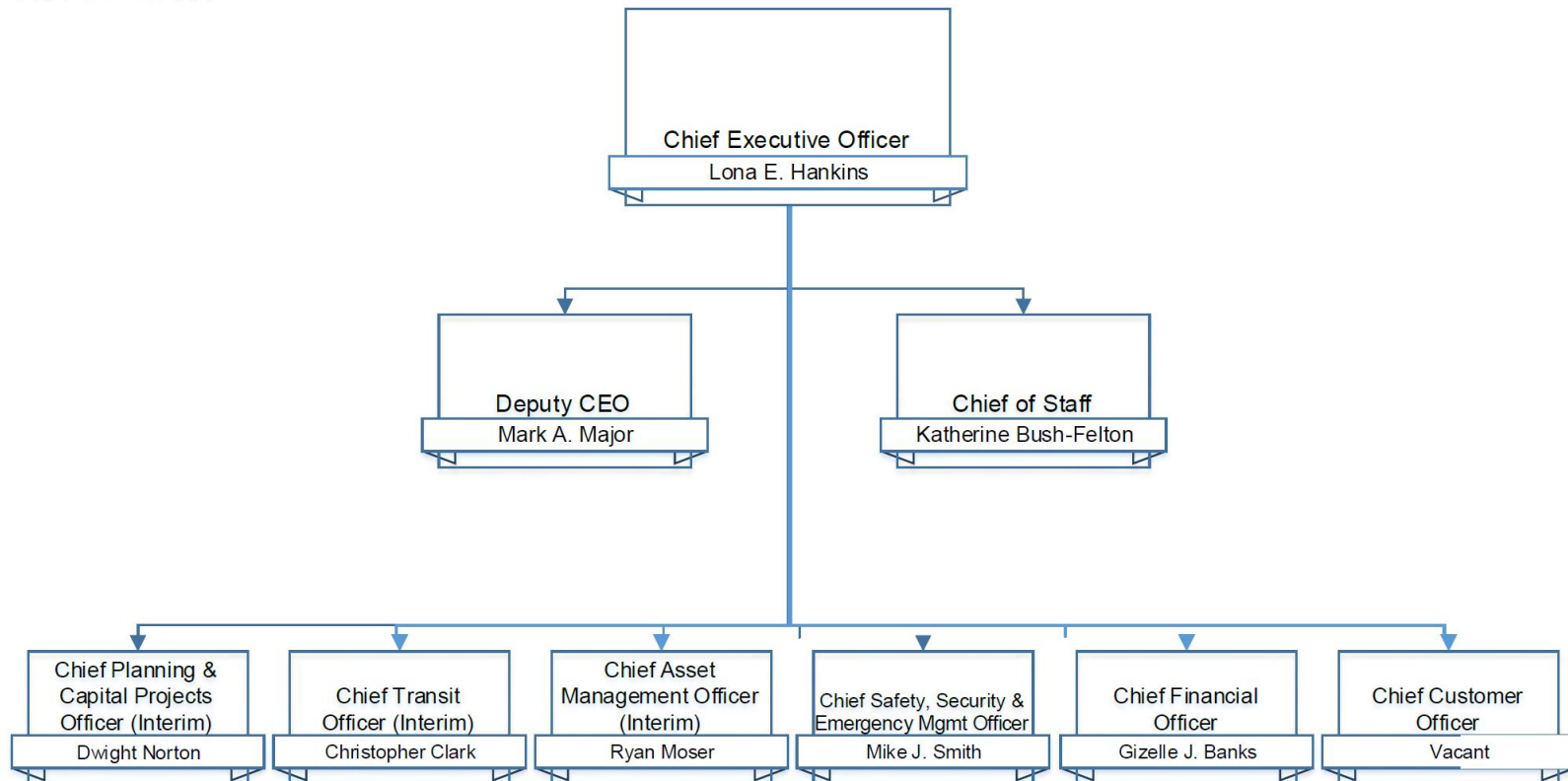
APPENDIX B: ORGANIZATIONAL CHART

Source: Interim Organizational Chart, 9/21/23

Notes: Chief HCWD Officer's functions are temporarily assigned to Deputy CEO and CFO.
Sarah McLaughlin Porteous is the Chief of External Affairs (replaced Chef Customer Officer).
Ryan Moser is the Chief Asset Management Officer.

RTA Regional Transit Authority

Office of the CEO
Executive Leadership Team

Chief Executive Officer
Lona E. Hankins

Deputy CEO
Mark A. Major

Chief of Staff
Katherine Bush-Felton

Chief Planning & Capital Projects Officer (Interim)
Dwight Norton

Chief Transit Officer (Interim)
Christopher Clark

Chief Asset Management Officer (Interim)
Ryan Moser

Chief Safety, Security & Emergency Mgmt Officer
Mike J. Smith

Chief Financial Officer
Gizelle J. Banks

Chief Customer Officer
Vacant

APPENDIX C: DEFINITIONS/ACRONYMS

Definitions
The following definitions used in this document are consistent with 49 CFR Parts 625, 630, 670, 673, and 674. The source of each is noted in brackets, including the "SMS Glossary of Terms: FTA's Guide to Relevant Terms for SMS Development" of September 2016 shown as "[SMS]"*.

Accident – an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision involving an RTA vehicle; a runaway RTA vehicle; an evacuation for life safety reasons; or any derailment of an RTA vehicle [673] at any location, at any time, whatever the cause. [SMS]
An *accident* must be reported in accordance with the thresholds for notification and reporting set forth in Appendix A to Part 674. [674]

Accountable Executive – a single, identifiable person who has ultimate responsibility and accountability for the implementation and maintenance of the SMS of RTA; responsibility for carrying out the Safety Plan and Transit Asset Management Plan (TAMP); and control or direction over the human and capital resources needed to develop and maintain both the Safety Plan in accordance with 49 USC § 5329 and TAMP.

Administrator -- the Federal Transit Administrator or the Administrator's designee. [670, 674]

Advisory -- a notice from FTA to recipients regarding an existing or potential hazard or risk in public transportation that recommends recipients take a particular action to mitigate the hazard or risk. [670]

Agency Safety Plan (ASP) – a document adopted by a Rail Fixed Guideway System, including RTA, detailing its safety policies, objectives, responsibilities, and procedures.

Audit -- an examination of records and related materials, including, but not limited to, those related to financial accounts. [670]

BTW -- Behind-The-Wheel, a type of required Operator training.

Capital asset -- a unit of rolling stock, a facility, a unit of equipment, or an element of infrastructure used in public transportation. [625]

CEO -- Chief Executive Officer of the Regional Transit Authority.

CFO -- Chief Financial Officer of the Regional Transit Authority.

Chief Safety, Security, and Emergency Management Officer (CSSEM) – an adequately trained individual who has responsibility for safety and reports directly to an RTA chief executive officer, president, or equivalent officer. [673]

CM -- Construction Manager of the Regional Transit Authority.

CMC – Configuration Management Committee, a Subcommittee of the SMS Steering Committee

Consequence -- the potential outcome(s) of a hazard. [SMS]

Continuous Improvement -- a process by which a transit agency examines safety performance to identify safety deficiencies and carry out a plan to address the identified safety deficiencies. [SMS]

Contractor -- an entity that performs tasks on behalf of RTA, FTA, a State Safety

Oversight Agency, or other rail transit agency, through contract or other agreement [674], including tasks required for rail compliance.

For example, contractors could handle any portion of a major construction infrastructure project, handle daily switch inspections, or monthly substation maintenance. A contractor is a third party hired by the agency to fulfill a rail compliance need. The rail transit agency may not be a contractor for the oversight agency.

CTO –Chief Transit Officer (formerly Chief Operating Officer)

Corrective Action Plan (CAP) -- a plan developed by RTA (as a recipient and rail transit agency) that describes the actions that RTA will take to minimize, mitigate, correct, or eliminate risks and hazards, and the schedule for taking those actions. Either a State Safety Oversight Agency or FTA may require RTA to develop and carry out a corrective action plan. [670, 674, SMS]

DBE -- Disadvantaged Business Enterprise.

Directive -- a formal written communication from FTA to one or more recipients which orders a recipient to take specific actions to ensure the safety of a public transportation system. [670]

EEO -- Equal Employment Opportunity.

Equivalent Authority – The Board of Commissioners of the New Orleans RTA is an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve the Safety Plan. [673, SMS]

Event – any Accident, Incident, or Occurrence. [673, 674, SMS]

FTA – the Federal Transit Administration (FTA) is an operating administration/agency within the United States Department of Transportation (USDOT). [670, 673, 674]

FMLA -- Family Medical Leave Act

FRA – the Federal Railroad Administration (FRA), an agency of the United States Department of Transportation (USDOT). [674]

Grade Crossing (as defined in the National Transit Database glossary) an intersection of roadways, railroad tracks, or dedicated transit rail tracks that run across mixed traffic situations with motor vehicles, streetcar, light rail, commuter rail, heavy rail or pedestrian traffic; either in mixed traffic or semi-exclusive situations.

Hazard – any real or potential condition that can cause injury, illness, or death; damage to or loss of a facility, equipment, rolling stock, infrastructure, property, system RTA; or damage to the local environment, or reduction of ability to perform prescribed function. [673, 674, SMS]

Hazard Analysis -- the formal activities to analyze potential consequences of hazards during operations related to provision of services. [SMS]

Hazard Identification -- formal activities to analyze potential consequences of hazards during operations related to provision of service. [SMS]

Incident – an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of RTA. [673, 674, SMS]

An incident must be reported to FTA's National Transit Database in accordance with the thresholds for reporting set forth in Appendix A to Part 674. If a rail transit agency or State Safety Oversight Agency later determines that an Incident meets the definition of *Accident* in this section, that event must be reported to the SSOA in accordance with the thresholds for notification and reporting set forth in Appendix A to Part 674. [674]

RTA has also defined Incident as an unexpected event, including security-related incidents, involving RTA passengers or employees that is not related to an accident. Incidents of significant magnitude must be reported to state and/or federal authorities. See Accident Reporting Threshold for a list of reportable incidents.

Investigation – the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk [673, 674, SMS] or investigation of an event [670].

Labor-Management Safety Committee (LMSC) – Established by SAF5, consists of a voting roster of 6 designated managers/directors and 6 representatives from the two main labor unions at RTA.

Lagging Indicators -- provide evidence, through monitoring, that intended safety management outcomes have failed or have not been achieved. [SMS]

Leading Indicators -- provide evidence, through monitoring, that key safety management actions are undertaken as planned. [SMS]

Management of Change -- a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. If a transit agency determines that a change may impact its safety performance, then the transit agency must evaluate the proposed change through its Safety Risk Management process. [SMS]

Near miss -- a safety event where conditions with potential to generate an accident, incident, or occurrence existed, but where an accident, incident, or occurrence did not occur because the conditions were contained by chance or by existing safety risk mitigations. [SMS]

LADOTD -- the "State of Louisiana Department of Transportation and Development" which is the designated State Safety Oversight Agency for rail fixed guideway systems in the State of Louisiana.

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 [673, 674] or authorized at 49 U.S.C. § 5329. [670]

NTSB -- the National Transportation Safety Board, an independent Federal agency. [674]

OCC -- Operations Control Center, also known as "Dispatch"

Occurrence – an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of RTA. [673, 674, SMS]

Organizational Accident -- an accident that has multiple causes involving many people operating at different levels of the respective agency. [SMS]

OCS – Overhead Catenary System.

Performance measure -- a parameter that is used to assess performance outcomes. [625]

Performance target – a specific level of performance for a given performance measure over a specified timeframe. [625, 673]

PHA -- Preliminary Hazard Analysis

PPE – Personal Protective Equipment

Practical Drift – the slow and inconspicuous, yet steady, uncoupling between written procedures and actual practices during provision of services. [SMS]

Program Standard (SSOPS) is a written document developed and adopted by LADOTD that describes the policies, objectives, responsibilities, and procedures used to provide safety and security oversight of rail transit agencies.

Public Transportation Agency Safety Plan (PTASP) -- the comprehensive agency safety plan for RTA that is required by 49 U.S.C. § 5329 and Part 673 [673], based on a Safety Management System. Until one year after the effective date of FTA's PTASP final rule, a System Safety Program Plan (SSPP) developed pursuant to 49 CFR part 659 may serve as the rail transit agency's safety plan. [674]

Public Transportation Safety Certification Training Program (PTSCTP) -- the certification training program for Federal and State employees or other designated personnel who conduct safety audits and examinations of public transportation systems, and for employees of public transportation agencies directly responsible for safety oversight, established by FTA in accordance with 49 U.S.C. § 5329(c)(2), codified in 49 CFR Part 672. [674, 672]

Public Transportation System -- the entirety of RTA's operations, including the services provided through contractors. [625, SMS]

Rail fixed guideway public transportation system -- any fixed guideway system that uses rail, is operated for public transportation, is within the jurisdiction of a State, and is not subject to the jurisdiction of the Federal Railroad Administration (FRA), or any such system in engineering or construction. Rail fixed guideway public transportation systems include but are not limited to rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway. [674, SMS]

RFP – Request for Proposals

Risk -- the composite of predicted severity and likelihood of the potential effect of a hazard. [674, SMS]

Risk mitigation – a method or methods to eliminate or reduce the effects of hazards. [673, 674, SMS]

ROW -- right-of-way

RTA -- the New Orleans Regional Transit Authority.

Safety – the state in which the potential of harm to persons or property damage during operations related to provision of services is reduced to and maintained at an acceptable level through continuous hazard identification and safety risk management activities. [SMS]

Safety and Security Certification (SSC) -- the process applied to project development to ensure that all practical steps have been taken to optimize the operational safety and security of the project during engineering, design, and

construction before the start of passenger operation.

Safety Assurance – processes within RTA SMS that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that RTA meets or exceeds its safety objectives through the collection, analysis, and assessment of information. [673, SMS]

Safety Deficiency – a condition that is a source of hazards and/or allows the perpetuation of hazards in time. [SMS]

Safety Management Policy – RTA's documented commitment to safety, which defines RTA's safety objectives and the accountabilities and responsibilities of its employees in regard to safety. [673, SMS]

Safety Management System (SMS) – the formal, top-down, RTA-wide approach to managing safety risk and assuring the effectiveness of RTA's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks, hazards [673], and management of safety risk [625, 670, SMS].

Safety Management System Executive -- a Safety Officer or equivalent. [SMS]

Safety Promotion – a combination of training and communication of safety information to support SMS as applied to RTA's system. [673, SMS]

Safety Risk – the assessed probability and severity of the potential consequence(s) of a hazard, using as reference the worst foreseeable, but credible, outcome. [673, SMS]

Safety Risk Management (SRM) – a process within RTA's SMS/Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk. [673, 674, SMS]

Safety Risk Mitigation -- the activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards. [SMS]

Security is defined as freedom from intentional danger for employees and passengers.

Serious injury – any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface. [673, 674]

SIS -- the Service, Inspection, and Storage building for the RTA Canal Street and Riverfront streetcars located at the A. Philip Randolph Facility at 2817 Canal Street.

SMS Executive – a Safety Officer or an equivalent. [673]

SMS Steering Committee (SMSSC) – executive-level safety committee established by SAF5

SRM – Safety Risk Management (see above).

SSCP -- Safety and Security Certification Plan

SSCRC -- Safety and Security Certification Review Committee

State Safety Oversight Agency (SSOA; SSO) – an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. § 5329(e) and the regulations set forth in 49 CFR part 674 [670, 673, 674,

SMS].

TPA -- Third Party Administrator

Transit asset management (TAM) -- 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 cycle in order to provide safe, cost-effective, and reliable service. [625]

USDOT – United States Department of Transportation.

APPENDIX D: LIST OF SAFETY POLICIES AND STANDARD OPERATING PROCEDURES

This ASP references the following, related Organizational Policies and Standard Operating Procedures. Contact the Safety Department to obtain copies or for additional information.

ID	Title	Revision Date
004-100	Procedure for Performing Internal Safety Management Audits (ISMA)	11/09/23
004-002	Agency Safety Plan Revision	10/07/22
004-005	Accident/Incident Investigation (revision in progress)	6/15/20
004-006	Safety Assurance of Safety Critical Areas	10/20/20
004-007	On-Call Safety Representative Procedures	10/5/21
004-008	First Aid Cabinets	3/24/22
004-009	Working in Hot Weather	3/24/22
004-010	Management of Change Procedure	TBD
004-011	Right of Way Permit Procedure	In Dev.
HC23	RTA Drug and Alcohol Free Workplace Policy	12/14/23
SAF2	RTA Distracted Driving Policy	2/23/21
SAF3	RTA Safety Management Policy	6/28/22
SAF4	RTA General Accident and Injury Policy	2/23/21
SAF5	RTA Safety Committee Structure	6/28/22
SAF6	RTA Personal Protective Equipment Policy	8/24/21
	Safety and Security Certification Plan	11/03/23
	RTA All Hazards Plan	8/17/22
	RTA Exercise Plan	10/28/22
	RTA Employee Safety and Health Handbook	10/16/23
	RTA Emergency Preparedness and Response Guide	In Dev.

New Orleans Regional Transit Authority

Multi-Year Strategic Plan
for
Safety Management System Implementation
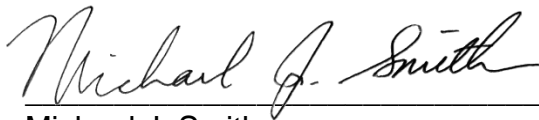
2020 – 2025

Updated: December 19, 2023

Policy Statement for Safety Management System Implementation

RTA is committed to improving the quality and effectiveness of its system-wide safety management programs aimed at reducing safety risk and eliminating or controlling hazards. This Safety Management System (SMS) Implementation Plan (or SIP) identifies several interrelated tasks that will help RTA achieve its safety objectives, which are outlined in Safety Management Policy (SAF3). The SMS methods and tools that we will use to carry out these tasks, and detailed descriptions of the key roles throughout the agency for accomplishing this important work, are contained in RTA's Agency Safety Plan (ASP).

The goal of the SIP is to identify, coordinate, and direct activities relative to the implementation of RTA's SMS on a system-wide basis under all applicable FTA requirements. The SIP provides key performance objectives and milestones that are instrumental in implementing SMS and have been tracked since its adoption at RTA in 2020.

Very intentionally, the SIP is designed to be reviewed and updated annually, along with the companion ASP and other SMS documents. In close coordination with the executive leadership team, the Safety Department will leverage these reviews to ensure we are on the right path toward achieving a mature SMS.

Together, we will build, implement, and sustain a fully functioning SMS that will drive positive safety improvements and help position us to become a world-class transit system.

Michael J. Smith
Chief Safety, Security, and Emergency Management Officer
SMS Executive

Implementation Plan (Updated)

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
SMS Documentation	Perform a document audit to establish all current documented procedures and identify gaps.	Office of Internal Audit & Compliance is developing an SOP catalogue. RTA will issue an RFP for external support Fall 2023.	Ensure that all departments have procedures and the necessary resources to support: hazard identification, risk assessment, tracking corrective actions to closure, and monitoring of mitigations (SA), including the use of appropriate tracking logs/risk registers.	Office of Internal Audit & Compliance is developing an SOP catalogue. RTA will issue an RFP for external support Fall 2023.
	RTA Policy Manual is currently in development.	Complete	Review and revise all documentation annually, including the emergency preparedness plan, rulebooks, SOPs, safety policy statement, safety performance targets, SIP, and all other documentation supporting the ASP/SMS.	Complete for Safety documentation. All rules, SOPs, and other documents will be reviewed annually.
			Ensure that all customer concerns are captured from: public meetings; customer calls and electronic communications; and	Hazard Report form And Vorex helpdesk have been implemented.

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
			face-to-face interactions with RTA employees.	
			Safety Department ensures this information is captured in logs/registers and elevates to ESSC or Executive-level management, as appropriate.	Complete
Safety Committee Structure	Re-establish the ESSC under a revised SOP/Charter to focus on SMS objectives, priority accidents/hazards, and other business based on safety criticality.	Complete	Ensure that all departments appropriately elevate identified hazards and safety concerns to the ESSC's attention, in consultation with the Safety Department.	DSCs trained on escalation procedures. SMS 101 training roll-out is supporting. Safety Ambassador training in development.
	Establish a new hierarchy and reporting structure between the ESSC and Departmental Safety Committees (DSCs).	Complete	Well-managed DSCs will ensure two-way communication related to hazards, safety concerns, and safety programs, and will encourage participation in SRM and SA processes.	Work continues to promote/elevate DSCs and Safety Ambassador program.
	Educate the ESSC on the current Safety Management Policy Statement and their roles and responsibilities	Complete	Task the Safety Department with providing technical assistance to DSCs as necessary to ensure	Complete

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
	related to key safety objectives.		effectiveness.	
	Incorporate safety objectives into meeting agenda.	Complete		
	Invite ATU Local 1560 to DSCs as appropriate.	Complete; Note: Also new LMSC has since been created.		
	Provide baseline SMS training to DSCs.	CBT version of SMS 101 course currently in development. Safety Ambassador program currently in development.		
Safety Assurance Activities	Establish Management of Change process including roles and responsibilities for all departments and elevation to the ESSC as necessary.	Complete; See SAF5 and MoC Procedure.	Establish process whereby Safety Department leads SA activities and concerns are elevated to the ESSC as necessary.	Complete
	Finalize and document in the M of C process, all major changes that must be assessed through SRM:…	Complete	Distribute SA findings through the Safety Committees and other means.	Complete
	Prepare a document map to ensure that all changes in the organization are reflected in all critical documentation.	Complete	Ensure that all corrective actions for ineffective mitigations identified through the SA process are fully documented.	Complete

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
	Develop and implement training on the new A/I Investigation procedure as appropriate.	Draft A/I SOP is currently near completion. RTA hosted Fundamentals in Bus Collision Investigation course in 2023.		
Employee Safety Reporting Program	Implement the program as described in the ASP. Provide regular updates to the Executive-level management and the ESSC.	Complete		
	Revise and finalize an official hazard-/unsafe behavior-reporting form.	Complete		
	Re-establish a safety hotline (pending staffing plan and transition to in-house O&M responsibilities). Set up email "hotline" option in the interim.	Complete		
	Establish Safety Department protocols for managing the safety hotline.	Complete		
	When ready to launch, initiate robust training on the employee safety reporting program.	Complete		

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
	Develop a centralized system where all hazards and safety concerns can be placed for Safety Department analysis and to aid communication efforts.	Vorex Helpdesk application is live; Currently developing protocols whereby other teams/departments send in local-identified hazards or concerns for tracking.		
Communication of Safety Information	Ensure that all hazard identification, assessment, and mitigation activities are led by the Safety Department and are properly documented, tracked and shared, through Safety Committees, newsletters, bulletins, and other means.	Complete		
Training	Centralize management of training; use a matrix for monitoring compliance with program requirements.	Completed in 2023, however needs to be revised due to more recent CAPs and findings	The training policy needs to include safety-related training for all employees and contractors. The Safety Department will monitor each department's compliance with stated training requirements.	New training policies established in Operations and Maintenance. Safety is providing technical assistance.

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
	Develop Training Plan (to be maintained by the CSSEM and provided to SSO/FTA by request).	Complete; CSSEM maintains the PTSCTP training plan for Key SMS personnel.	The training policy needs to include specific requirements and monitoring activities for contractor safety training.	Team is working on incorporating training requirements in Safety's review of upcoming procurements, focusing on long-term contracts and capital projects.
	Establish 3-year plan for engaging external training providers, including TSI, NSC, and others.	See above re: TSI. CSSEM is requesting additional courses. A 3-year plan is under development.	Develop and provide biennial refresher training after completion of initial requirements per 49 CFR Part 672, which must require one hour of safety oversight training.	Complete
Miscellaneous	Participate in ferry operator-led safety meetings; hold joint meetings	Complete	Ensure that exercises (e.g., full-scale, tabletop) are held annually, both internally and with external agencies.	Complete
	Drug & Alcohol Program is in development and will be aligned with organizational structure changes, effective October 1, 2020.	Complete	Integrate ferry operations into RTA's SMS.	Not applicable

APPENDIX F: REQUIRED APPROVALS

The LMSC, comprised of 50% labor and 50% RTA management, pursuant to the statutory requirements in Title 49 U.S.C. § 5329(d) as amended by the Bipartisan Infrastructure Law, subsections (1)(A) and (5)(A), reviewed, and considered the approval of, the draft ASP during its regular, quarterly meeting on **December 6, 2023**. Below is a summary table of the final approval vote via Microsoft SharePoint Forms. All Committee proceedings were conducted in accordance with RTA Safety Committee Policy (SAF5).

The ASP was approved by the LMSC by simple majority.

ID	Start time	Completion time	Please enter your name (First Last):	Are you representing Labor or Management?	LMSC Member	Do you approve the draft ASP as presented?
16	12/5/23 23:49:53	12/5/23 23:51:44	Darius I Hollins	Labor	Yes	Approve
17	12/6/23 13:04:30	12/6/23 13:05:46	Tonya Ellis	Management	Yes	Approve
18	12/6/23 13:54:56	12/6/23 14:02:18	Dwight Norton	Management	No	Approve
19	12/7/23 6:30:33	12/7/23 6:31:26	Robert Clapp	Labor	Yes	Approve
20	12/7/23 13:41:05	12/7/23 13:41:40	Kentrella Crawford	Management	Yes	Approve
21	12/8/23 11:47:37	12/8/23 11:47:53	Darian	Labor	Yes	Approve
22	12/8/23 12:21:59	12/8/23 12:22:09	Ryan Moser	Management	No	Approve
23	12/11/23 7:26:43	12/11/23 7:27:06	Keith Stevens	Labor	Yes	Approve
24	12/19/23 16:24:15	12/19/23 16:24:46	Floyd Bailey jr	Management	Yes	Approve

PLACEHOLDER FOR BOARD RESOLUTION

New Orleans Regional Transit Authority

AGENCY SAFETY PLAN

Effective: January 23, 2024

New Orleans Regional Transit Authority

2817 Canal Street

New Orleans, Louisiana 70119

Concurrences and Approvals

New Orleans Regional Transit Authority Agency Safety Plan

Concurrences:

_____
Michael J. Smith
Chief Safety, Security, and Emergency
Management Officer
SMS Executive

Approvals:

_____
Lona Edwards Hankins
Chief Executive Officer
Accountable Executive

_____
Mark Raymond, Jr.
Chairman, Board of Commissioners

Date: _____

Contents

Document Revision Policy

This document is intended for use by the position to which it was issued. The control version of this document is stored electronically on RTA's "SMS" shared drive and is exclusively maintained by designated Safety Department staff. Printed copies of this document are uncontrolled and may not be current.

This plan is complemented by, and dependent on, other supporting policy documents issued by RTA, and is updated at least annually in accordance with federal and state requirements. The Chief Safety, Security, and Emergency Management Officer determines the initial distribution for this document.

Revisions/Amendments

Version Year	Revision No.	Effective Date	Revised Sections	Purpose
2021	0	7/15/2020	All	Initial issue of PTASP-compliant safety plan (49 CFR Part 673)
2021	1	3/23/2021	All	Incorporates major organizational structure changes
2022	0	1/25/2022	All	Initial Issue; minor updates
2023	0	12/13/2022	All	Aligns with FTA requirements announced in Feb. 2022 Dear Colleague letter, stemming from Bipartisan Infrastructure Law
2024	0	1/23/2024	All	Aligns with changes to statutory safety plan requirements, includes organizational structure changes

Purpose and Scope

The purpose of the Agency Safety Plan (ASP) is to set forth the requirements for identifying, evaluating and minimizing safety risk throughout the New Orleans Regional Transit Authority's (RTA) public transit system. The ASP formally establishes and reinforces RTA's commitment to a comprehensive Safety Management System (SMS) as required by the Federal Transit Administration (FTA) in 49 CFR Parts 670, 672, 673, and 674) and also by the Louisiana Department of Transportation and Development [LADOTD, herein referred to as the State Safety Oversight Agency ("SSO")] in its State Safety Oversight Program Standard (SSOPS)[1]. FTA, other federal agencies, and the SSO have access to review any policy or procedure referenced in this ASP and any related SMS documentation upon request.

The ASP is specifically developed to:
- Establish the Safety Program for RTA.
- Identify both shared and individual roles and responsibilities for RTA staff and management for the safety of its entire system.
- Identify the relationships of RTA with other agencies and organizations that impact or oversee transit system safety.
- Provide formal documentation of RTA's commitment to safety together with RTA's Safety Management Policy (SAF3) and other policies.
- Provide a framework for implementing RTA's Safety Management Policy, and specifically, its comprehensive adoption of the four components of SMS (Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion) in accordance with federal and state requirements.
- Ensure compliance with the National Public Transportation Safety Plan (NSP)[2] relative to safety goals, objectives, and targets[3] that are established by FTA.
- Satisfy federal, state, and local laws, codes, ordinances, and regulations.

The RTA provides public transportation services to the City of New Orleans, Orleans, St. Bernard, and Jefferson Parishes, and the City of Kenner. The RTA system includes five streetcar lines, 34 bus routes, paratransit service, and two passenger ferry lines, all of which is supported by FTA through the Urbanized Area Formula Funding Program (U.S.C. Section 5307) as well as a combination of state and local funding sources. RTA does not provide any Section 5307 funds to any other entity to provide transit services.

Note: Per 49 CFR Part 673.11(f), agencies that operate passenger ferries regulated by the United States Coast Guard (USCG) are not required to develop agency safety plans for those modes of service. In consultation with the Marine Department and Chief Transit Officer (CTO), the Chief Safety, Security, and Emergency Management Officer (CSSEM) or designated staff will oversee contractual safety responsibility by the operator(s) of those services, including safety management program(s) developed and

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[1] La. Admin. Code tit. 70 § IX
[2] Under 49 CFR Part 670
[3] Including Risk Reduction Performance Targets under 49 U.S.C. § 5329(d) as amended by the Bipartisan Infrastructure Law

maintained by the operator(s), in accordance with any service agreements in place and with all applicable federal and state requirements. RTA designated staff assigned to safety responsibility may direct operator(s) to non-modal-specific elements of this ASP as necessary to support program development. Application/adoption of any safety requirements, processes, or practices herein will be administered and overseen through separate RTA- and operator-issued policy documents.

All positions described in this plan are directly employed by RTA unless otherwise noted. Staff serving as project or contract managers are responsible for ensuring contractors comply with the ASP and any referenced policies and procedures.

As SMS Executive, the CSSEM is directly responsible for updating the ASP to reflect the current operation in accordance with state and federal requirements.

RTA's SMS is organized into four components and includes 11 subcomponents aligned with FTA's SMS Framework and related federal requirements. Each subcomponent is addressed in this ASP.

Safety Management System Components

Safety Management Policy	Safety Assurance
1. Safety Management Policy Statement 2. Safety Accountabilities and Responsibilities 3. Integration with Public Safety and Emergency Management 4. SMS Documentation and Records	7. Safety Performance Monitoring and Measurement 8. Management of Change 9. Continuous Improvement
Safety Risk Management	**Safety Promotion**
5. Hazard Identification and Analysis 6. Safety Risk Evaluation	10. Safety Communication 11. Competencies and Training

PLEASE NOTE: This ASP outlines RTA's mature SMS as described in federal and state Safety Plan requirements. It is important to note that there are a number of companion documents to this Plan that describe the specific tasks, activities, milestones, and steps that RTA continuously undertakes to achieve and maintain a compliant SMS and enhance safety. Where feasible, these documents are incorporated into one or both of the following: 1) RTA's SMS Implementation Plan (SIP; see APPENDIX E: SMS IMPLEMENTATION PLAN), and 2) individual Corrective Action Plans (CAPs) that each describe steps that will be taken to align with this ASP. Agency progress relative to the SIP and CAPs is provided regularly to the SSO. For specific implementation status inquiries, contact the Safety Department.

Section I: Safety Management Policy

1.1 Chief Executive Officer's Safety Management Policy Statement

The RTA Safety Management Policy (SAF3) contains the agency's formal Safety Management Policy Statement and may be accessed on the RTA intranet and via ADP (for employees). It is reviewed and updated annually, to ensure it aligns with the ASP and vice versa. As SMS Executive, the CSSEM is responsible for maintaining and updating the Safety Management Policy in accordance with FTA requirements under 49 CFR Part 673.23.

1.1.1 Safety Performance Targets

Under the requirements of 49 CFR Part 673.11(a)(4), the RTA ASP must comply with FTA's NSP (codified at 49 CFR Part 670) including the establishment of safety measures and Safety Performance Targets (SPTs). While the Safety Management Policy makes reference to these targets, the SPTs themselves are established this Plan-- see APPENDIX A: 2024 SAFETY PERFORMANCE TARGETS.

The required metrics are associated with National Transit Database (NTD) reporting requirements as follows:

- **FATALITIES** (total number of reportable fatalities and rate per vehicle revenue miles, or VRM, by mode)
- **INJURIES** (total number of reportable injuries and rate per VRM by mode)
- **SAFETY EVENTS** (total number of reportable events and rate per VRM by mode)
- **SYSTEM RELIABILITY** (mean distance between major mechanical failures by mode)

Safety Performance Measure Definitions[4]

- **Fatalities**
  - Death confirmed within 30 days, excluding suicide, trespassers, illness, or natural causes
- **Injuries**
  - Harm to person that requires immediate medical attention away from the scene
- **Safety Events**
  - Collision, derailment, fire, hazardous material spill, or evacuation
- **System Reliability**
  - Major mechanical failure preventing a vehicle from completing or starting scheduled trip

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[4] FTA Safety Performance Targets Webinar, February 4, 2020 --
https://www.transit.dot.gov/sites/fta.dot.gov/files/2020-04/SPT_Webinar_202002.pdf

SPTs are established annually in coordination with all pertinent departments, members of the executive leadership team ("ELT"), SMS Steering Committee, and the SSO. FTA data sources are closely reviewed by the Safety Department to establish baseline targets. These include the NSP and the Bus and Rail Safety Data Reports (BSDR and RSDR, respectively) if available. Additional credible sources may be added to the annual review and update process as they are made available to RTA.

1.1.2 Annual Review and Update of the ASP

RTA shall review, update, and submit the ASP to the SSO annually in compliance with the requirements of the SSOPS, as codified in La. Admin. Code tit. 70 § IX-1509.

Upon receipt of tentative approval from the SSO, the CSSEM then sends the ASP to the RTA Board of Commissioners for review and approval in accordance with 49 CFR Part 673. The internal process for review, revision as needed, and approval is found in RTA Standard Operating Procedure (SOP) 004-002.

1.1.3 Maintenance of the ASP

RTA maintains its ASP in compliance with 49 CFR Part 673.11(c), Subpart D and the SSOPS. The CSSEM ensures that the current ASP version is promptly disseminated and made available to all employees.

1.2 Safety Management Accountabilities and Responsibilities

In compliance with 49 CFR Part 673.23(d), RTA has established its organizational accountabilities and responsibilities related to its SMS in this section as well as in SAF3 and the Safety Committee Structure Policy (SAF5).

1.2.1 Key Individual SMS Accountabilities and Responsibilities

Chief Executive Officer

RTA's CEO, as the agency's Accountable Executive, meets the FTA criteria for the designation, per 49 CFR Part 673.23(d)(1). The CEO is ultimately accountable for ensuring action is taken, as necessary, to address substandard performance in the agency's SMS under the requirements of 49 CFR Part 673.23 (d)(1).

As the Accountable Executive, the CEO has the following responsibilities for the SMS:

- Ensuring that the SMS is properly implemented and performed throughout the RTA organization, including employee reporting programs
- Actively and continuously communicating the RTA's Safety Management Policy

and related SMS-related policies throughout the agency

- Ensuring that all executive level personnel are held responsible for implementation of SMS in their respective areas; and each actively and continuously communicates the RTA Safety Management Policy, SMS-related policies, and respective area-specific SMS requirements to all employees in their areas
- Approving this ASP and the Transit Asset Management Plan ("TAM Plan"), and knowing and understanding the contents of both documents
- Ensuring that risk is appropriately addressed system-wide; and directing resource allocation accordingly
- Directing required actions to address non-compliance with the ASP
- Managing continuous improvement activities.

Chief Safety, Security, and Emergency Management Officer

The CEO has delegated the authority and responsibility for day-to-day implementation and operation of the SMS to the CSSEM. The CSSEM serves as the RTA's SMS Executive and as such, is the agency's Subject Matter Expert (SME) on SMS and Public Transportation Agency Safety Plan requirements.

The CSSEM reports directly to the CEO per the requirements of 49 CFR Part 673.23(d)(2). The CSEM chairs, facilitates, and provides technical assistance to each of the safety committees established by SAF5 (or, alternatively, may delegate to a director for this role). The CSSEM may also invite the SSO or appropriate representative to participate in any safety committee established by SAF5.

As the SMS Executive, the CSSEM is responsible for the day-to-day implementation of SMS. Key safety personnel, technical management, and executive level management operate under the CSSEM's guidance and direction to support in data collection and analysis, investigations, hazard identification and assessment, corrective action development and implementation, safety committee business, departmental and/or functional area SA and promotion activities, and other safety management undertakings.

The CSSEM is authorized to take the necessary action to ensure agency personnel have resources, training, and guidance necessary to implement SMS in everyday job performance as required in this ASP.

The CSSEM guides the areas and departments with information about safety risk management to ensure that they understand the level of safety risk and expectations as to mitigations and/or corrective actions. Once risk is assessed, each department will provide documented results of the assessment(s) to the CSSEM who will maintain a master hazard log as necessary. Generally, this process is managed "by exception," meaning areas identified as normal or recurring hazard mitigation or resolution activities (e.g., pre-trip inspections, preventive maintenance, purchase orders) are not re-entered on the CSEM's log every day, but rather exceptional events, such as new and

previously unforeseen hazards, instances of practical drift, and adverse events will be entered and promptly managed in close coordination between the department and the CSSEM.

The CSSEM is responsible for the emergency management function, including preparedness and response in close coordination with local, state, and federal agencies. The position also performs oversight and safety management of the RTA's Memoranda of Understanding (MOUs) and Cooperative Endeavor Agreements (CEAs) in support of RTA's emergency plans and protocols. Also in this capacity, the CSSEM provides training for the agency in emergency-related areas including emergency exercises and drills. The CSSEM is responsible for developing and implementing an all-hazards approach to emergency planning and response, in close coordination with all other departments.

As RTA's executive officer overseeing physical security and law enforcement functions, the CSSEM is fully responsible for SMS compliance in these areas and for developing, maintaining and implementing a range of plans, programs and processes related to public safety. The CSSEM provides training for the agency in all security-related areas, including exercises and drills in accordance with RTA's Exercise Plan and All-Hazards Plan. Additionally, the CSSEM conducts regular Threat and Vulnerability Assessments (TVAs) and other audits, examinations, and reviews to assess the agency's readiness and resiliency.

The CSSEM performs the following safety-critical activities:

- Developing and maintaining the ASP
- Developing and maintaining RTA emergency operations plans including but not limited to all-hazard plans and related annexes
- Overall monitoring of the SMS program and ensuring immediate corrective actions are implemented to address deficiencies of the SMS
- Providing primary consultation and guidance on SMS implementation throughout the agency
- Providing information, recommendations, and status reports to the CEO on resource allocation supporting the SMS
- Chairing or delegating staff to chair a variety of safety and emergency management committee meetings to address system hazards and other safety concerns (also refer to SAF5)
- Conducting independent (but coordinated) SA activities, such as inspections, audits, assessments, and observations in the departments as necessary
- Conducting safety promotion activities, such as surveys, stand-downs, and campaigns in coordination with departments
- Maintaining and monitoring CAPs and Hazard Logs for the agency (which shall serve as the agency's "master" versions of such), and supporting and assisting departments in implementing mitigations and/or corrective actions
- Overseeing contractor, RTA employee, and the general public's safety during construction activities

- Monitoring and verifying departmental data analysis and trending
- Developing and conducting training as needed with external agencies, i.e., emergency responder training, contractor training, and emergency drills
- Establishing system-wide safety, security, and emergency management training objectives, training QA activities and training plans and procedures, including a training matrix by position
- Participating in and leading formal meetings with LADOTD, ELT, and other RTA management on safety issues
- Developing and supporting safety, emergency management, and system security policies, procedures, and programs
- Implementing the Internal Safety Management Audit (ISMA) Program in compliance with SSO requirements and this ASP
- Supporting and facilitating the Safety and Security Certification (SSC) Program in compliance with this ASP and the Safety and Security Certification Plan (SSCP)
- Overseeing and supporting departmental assessments, investigations, inspections, and SA activities to ensure full compliance
- Identifying safety concerns, analyzing reports and information, supporting the development of programs for improving workplace safety
- Assisting in claim investigations of work-related injuries or disabilities and preparing of files for litigation
- Establishing and implementing effective industrial hygiene and occupational policies and procedures for transportation and maintenance functions
- Establishing criteria for the selection, maintenance, and proper use of personal protective clothing and equipment
- Leading and overseeing all physical security and day-to-day Transit Police functions, including in-house and contracted elements, for the agency

1.2.2 Organizational SMS Accountabilities and Responsibilities

Beyond these key positions for instituting and promoting SMS, all members of the ELT share SMS responsibilities. As of the adoption of this ASP, the following positions comprise the ELT and share the responsibility to ensure the ASP is followed consistently throughout the organization:
- Chief Executive Officer
- Chief Safety, Security, and Emergency Management Officer
- Chief Transit Officer (CTO)
- Chief Asset Management Officer (CAMO)
- Deputy CEO Administration
- Chief of Planning and Capital Projects (CPCP)
- Chief of Staff
- Chief of External Affairs
- Chief Human Capital and Workforce Development Officer
- Chief Financial Officer

Each member of the ELT also participates in the SMS Steering Committee in

accordance with SAF5.

The subsections "Common SMS Responsibilities," "Additional SMS Responsibilities by Level," and "Additional SMS Responsibilities by Function" describe in greater detail the responsibilities and accountabilities owned by each department or functional area reporting to the ELT.

The current organizational chart showing the organizational relationships described below is found as APPENDIX B: ORGANIZATIONAL CHART. The chart will be updated with each update of this ASP and on an as-needed basis.

1.2.2.1 Common SMS Responsibilities

All management and staff in all functional areas are responsible for the common requirements of SMS listed in this section, as required by 49 CFR Part 673.23(d):

A. <u>Safety Goals and Objectives</u>: the CSSEM or designee coordinates with each area to establish goals with corresponding objectives that support both Safety Management Policy objectives and SPTs. In consultation with the CSSEM each area monitors progress to ensure the goals, objectives, and targets (as applicable) are being met. This is primarily monitored and reviewed in ELT and SMS Steering Committee meetings. Adherence to established safety goals and objectives may also be incorporated into the performance evaluation process for certain managers and above (in development; pending).

B. SMS Training:
   a. <u>Rail</u> – Key SMS Personnel identified by the CSSEM in this ASP as having direct responsibility for safety oversight of the rail fixed guideway system must meet the requirements of 49 CFR Part 672, including refresher training at two-year intervals. The regulation requires that personnel to whom this applies must meet the requirements within three years of being hired or promoted into the "key" position. The CSSEM is responsible for ensuring the agency's compliance with this regulation.
   b. <u>Director-level</u> – As required by the CEO, all directors and above (directors and chiefs) must self-enroll in and complete the Transportation Safety Institute (TSI) course entitled "SMS Awareness" which is available online via TSI's e-learning portal[5]. This must be completed within one year of being hired or promoted into the position. The certificate must be provided to Human Capital and Workforce Development (HCWD) for recordkeeping in the Neogov Learning Management System. Corresponding policy and position description revisions are currently in development.
   c. <u>All Other Personnel</u> – Personnel not identified as Key Personnel are not required to meet 49 CFR Part 672 requirements at this time, however, they should be proficient in SMS methodologies and practices, and

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[5] https://tsi-dot.csod.com/client/tsi-dot/default.aspx

knowledgeable about all safety program requirements.

  i. A one-hour "SMS 101" course is delivered by the Safety Department during new-hire orientation for all new employees. Additionally, a computer-based training offering of "SMS 101" is under development and will be included in the mandatory trainings for all employees through the Neogov portal.

C. <u>Employee Safety Reporting Program</u>: all employees share the responsibility to report hazards and safety concerns via approved means. Presently, hazards may be reported via the Safety Hotline, through the Hazard Report Form, via the online "Help Desk" ticket system, directly to Safety Department personnel, to a department manager, or through a safety committee.

D. <u>Hazard Identification, Analysis, and Mitigation</u>: each area is responsible to identify hazards in its daily activities and responsibilities; and to fully document all of these activities, following the direction of the Safety Department. FTA guidance directs the CSSEM, as SMS Executive, to facilitate or lead department/functional area Safety Risk Management (SRM) and Safety Assurance (SA) activities, as appropriate. Formal corrective actions may be required to address any unacceptable or undesirable safety risk identified through hazard identification and risk analysis. SAF3 describes SRM and SA roles and responsibilities that all staff share. All employees in all areas must comply with this policy.

E. <u>SMS Implementation</u>: all functional areas must assess their own compliance with the RTA ASP and SMS implementation objectives and action items, and regularly brief the CSSEM on SMS implementation progress. The SMS Steering Committee reserves time during its quarterly meeting for receiving and reviewing implementation status. The Safety Department compiles status notes from all other departments into an SMS Implementation Plan (SIP) Update which it updates on a quarterly basis and provides to the SSO as required.

F. <u>Participation in ISMAs</u>: Progress relative to SMS implementation objectives and compliance with the ASP and referenced policies and procedures are reviewed during recurring ISMAs with each safety-critical function. Before, during, and immediately following each audit, each functional area must be responsive to the requests of the audit team and participate fully. Audits are convened by the CSSEM in accordance with SOP 004-100: Procedure for Performing Internal Safety Management Audits (ISMAs). (Also see **3.3 Internal Safety Reviews**.)

G. <u>SMS Documentation</u>: requirements of both 49 CFR Parts 673 and 674 indicate that all areas must have formal documentation of all safety management activities. For record-keeping purposes safety management activities are defined as any activity pertaining to one or more of the 11 subcomponents of SMS as directed in this ASP. All SMS documentation must be reviewed as part of the annual ASP review and update process to ensure that any changes to the ASP do not create conflict. The department should consult with the Safety Department for technical assistance.

H. <u>Contractor Oversight</u>: Functional areas are responsible for safety management oversight of all contractor activities (for contracts which they directly manage or oversee), documentation and safety management processes, and documentation

of those oversight activities. If specific safety requirements are formally directed by the CSSEM or attached to either associated procurement documents or the final contract, the staff designated as "project manager" is responsible for complying. The department should consult with the Safety Department for technical assistance.

I. <u>Safety Ambassador Program</u>: Currently in development and established during a 2022-2023 Organizational Change Management pilot project, certain functional areas have been assigned a "safety ambassador" to assist with SRM and SA activities within the department and with relaying information between the Safety Department and other RTA departments. As implementation of the role continues, the CSSEM will modify applicable sections of this ASP and provide appropriate direction and guidance.

1.2.2.2 Additional SMS Responsibilities by Level

There are three levels of employee responsibility defined at RTA, described in general below:

1. Executive Level Management
2. Technical Management
3. Front-Line Employees

Each functional area is responsible for establishing and reviewing department-specific SMS responsibilities for each of these three levels consistent with the general responsibilities described in this section. The executives for each area will ensure that each employee is annually evaluated on safety performance related to those SMS responsibilities. It is highly recommended that this evaluation be incorporated into the employee's formal performance review or appraisal.

In addition to the shared responsibilities described above, the additional SMS responsibilities for each level are as follows:

Executive level:

Executives are charged with effectively leading safety management processes and activities in their respective area(s), and actively demonstrating their commitment to safety. They accept their respective responsibilities for implementing both this ASP and the Safety Management Policy, as well as all other referenced policies and procedures. Specifically, they must ensure and be accountable that:

1. Adequate resources are available to appropriately manage safety risk in their areas.
2. Effective mitigation and corrective actions are developed, implemented in a timely fashion, and monitored appropriately to assure safety is maintained, as appropriate.
3. There are no barriers to employee reporting of safety hazards and issues, and

that reports are promptly addressed through the safety risk management process.

4. Safety management activities such as audits or reviews are fully documented and follow a standard process.
5. Safety performance goals and objectives, both in their areas of control and agency-wide, are being met, and safety performance measures, including SPTs, monitored for verification or needed corrective action.
6. They participate fully in the SMS Steering Committee and other safety committee processes.
7. Safety is a core business function in their areas and departments.
8. Safety information is shared openly with the Safety Department and all other departments in support of the SMS.
9. All significant changes are properly managed in accordance with the Management of Change section of this ASP.
10. Safety investigations, audits, inspections, and corrective actions are managed using the organizational approach; that is, focusing on organizational deficiencies and systemic issues instead of individual actions taken or errors committed by front-line employees, where feasible.
11. Adequate safety training, awareness and oversight is provided to employees in their areas of control.
12. A positive safety culture is actively fostered in their area and system wide.
13. Full and open cooperation is affected with State Safety Oversight activities, federal authorities and other external safety agencies as required.

Technical management level:

Technical managers (typically, senior directors, directors, and managers) are charged with the following:
- ensuring directives are implemented from the executive level in safety management,
- promptly informing executives of safety lapses, failures, hazards, and resource shortages,
- visibly demonstrating commitment to safety,
- providing tools and resources needed to safely perform job requirements,
- providing information pertinent to the management of safety to employees, and
- encouraging the reporting of hazards and assuring safety is incorporated in all daily tasks and activities.

Technical Management must personally ensure and be accountable to:

1. Take strategic direction from the Executive level in all aspects of safety management, including daily activities, hazard and safety risk management, safety data, investigations, employee reporting, and safety promotion within their areas of control.
2. Ensure employees receive proper training to perform job functions safely.
3. Ensure employees are properly supervised to ensure tasks and activities are

safely managed and performed.
4. Ensure that employee reports of hazards are properly investigated, mitigated as appropriate and reported to executive management and/or the Safety Department as appropriate; and employees are kept apprised of activities concerning their reports.
5. Ensure that contractors and vendors are educated on RTA safety practices and are held to the same requirements.
6. Coordinate implementation of safety mitigations and SA activities with the Safety Department as appropriate.
7. Monitor and endorse proper safety promotion and awareness activities.
8. Implement management of change activities in coordination with the Safety Department.
9. Identify organizational failures with Executive management, and cooperatively work to implement mitigations and corrective actions to address failures.
10. Participate actively in the safety committee process as directed and assigned, including preparing, reviewing, and sharing safety information.
11. Foster a positive safety culture system wide.
12. Cooperate fully and openly with State Safety Oversight activities, federal authorities and other external safety agencies as required.

Front-Line employees:

Front-line employees are expected to:
1. Promptly recognize and report all hazards and/or potential consequences of hazards that, without mitigation, would result in an unacceptable level of safety risk, coordinating with the Safety Department as necessary.
2. Fully participate in the safety committee process as appropriate.
3. Attend training that will aid in safe job performance.
4. Safely carry out assigned tasks in accordance with training and procedures.
5. Communicate effectively with other employees, supervision, and management.
6. Foster a positive safety culture system wide.

Each of the safety-critical areas below is fully documented through area/departmental programs, policies, plans, procedures, and protocols developed under the authority and responsibility of the Managers of each area. These documents contain detailed information on all functions, tasks, and activities, and are available from the Managers, including how safety is managed in every aspect of operations in each area.

1.2.2.3 Additional SMS Responsibilities by Function

Additional SMS responsibilities are assigned to key functional areas/departments as described in this sub-section. All functional areas identified in this ASP are deemed "safety critical" to the extent that they support safety objectives in the Safety Management Policy and/or the activities under one or more SMS components. The areas are organized by ELT member, current as of the issue date of this ASP.

Chief Transit Officer

Bus, Rail, and Paratransit Operations

RTA's CTO, Director of Bus & Rail Operations, and Managers are responsible for:
- Managing safety in all departmental functions, including appropriate hazard identification, analysis and mitigation, and safety assurance on those mitigations
- Supporting SMS system-wide, including investigations, audits, and assessments
- Training, assigning, and monitoring bus and rail operators, senior supervisors, and supervisors
- Maintaining, reviewing, and revising of the Rulebook in coordination with the CSSEM
- Implementing rules compliance programs for operators, dispatchers, and supervisors, and ensuring service quality assurance and quality control
- Reporting key performance indicators, operational data and other performance measures associated with daily tasks and activities to appropriate parties
- Investigating and managing customer complaints and taking corrective action as necessary
- Investigating employee reports of hazards and taking corrective actions as necessary
- Equipment inventory and tracking
- Managing employee discipline
- Safety messaging
- Ensure representation for all classes of front-line employees on appropriate employee safety committees.

The Director of Mobility Services and Alternative Modes and team of Managers are responsible for:
- Managing safety in all departmental functions, including appropriate hazard identification, analysis and mitigation, and safety assurance on those mitigations
- Supporting SMS system-wide, including investigations, audits, and assessments
- Training, assigning, and monitoring paratransit operators, reservationists, supervisors, dispatchers, and support staff in support of safe delivery of paratransit services
- Maintaining, reviewing, and revising applicable sections of the Rulebook in coordination with the CSSEM
- Implementing rules compliance programs for staff and ensuring service quality assurance and quality control
- Reporting key performance indicators, operational data and other performance measures associated with daily tasks and activities to appropriate parties
- Investigating and managing customer complaints and taking corrective action as necessary
- Investigating employee reports of hazards and taking corrective actions as necessary
- Safety messaging.

Bus, Rail, and Paratransit Communications

Safety-critical activities are described below:

- Control of employee sign-in, attendance procedures, run assignments, yard supervision, and discipline in accordance with agency rules and procedures
- Conduct of visual fitness-for-duty checks upon operator sign-in for duty
- Dissemination of safety-critical drivers' alerts and other notices
- Managing and directing control center operations and safety
- Responding to and managing of operational emergencies and incidents in coordination with the Safety Department and other departments
- Dispatching (respective) operations supervisors and other staff to incidents and accidents as necessary, and closely coordinating with Safety Department in connection with events
- Internal safety messaging.

Operations Training

The Manager is fully responsible for SMS compliance in the development and delivery of training—including new-hire, mandatory (annual) refresher, and post-accident training—for transit operations personnel. The training department's direct involvement in new-hire training for maintenance employees is typically limited to vehicle operation and defensive driving per company standards, while additional hands-on training is carried out within the corresponding maintenance division.

The Manager of Operations Training performs the following safety-critical activities:
- Development and delivery of official agency training curricula materials, including for safety-critical positions, tasks, activities, processes, methods, and programs
- Safety training program development and quality assurance
- Monitoring of training records and oversight of final training evaluations
- Training needs assessments in consultation with other Operations departments and in alignment with agency procedures
- Post-accident re-training based on deficiencies or non-compliances found during accident/incident investigations by Operations and/or Safety
- Simulator training
- Quality assurance evaluations ("ride evaluations" or "ride checks") and follow-up coaching with operators as necessary
- Rail operator re-certification or similar, formally required refresher training (currently in development)
- New-hire training for Operations employees on SMS principles, including hazard identification and reporting

Chief Asset Management Officer

Maintenance (All Modes)

Under the direction of the CAMO, Maintenance Divisions for all assets (vehicles, infrastructure, facilities, and equipment) are responsible for the following safety-critical activities:

- A. Transit Asset Management
- B. Maintenance Training
- C. Warranty Programs
- D. Preventative and Corrective Maintenance
- E. Work Orders and Documentation
- F. Materials Management
- G. Maintenance Quality Assurance
- H. Specialized Maintenance Training

Safety-critical activities for these areas are described below.

- Ensuring proper training of all new mechanics and technicians to safely and effectively inspect, maintain, and repair the agency's assets
- Training all maintenance staff in emergency/safety procedures and injury and illness prevention as appropriate, in coordination with the Safety and Emergency Management Departments
- Administering warranty programs for rolling stock and equipment
- Providing necessary mechanisms for reporting defects and hazardous conditions
- Administering and monitoring standardized programs, policies, and procedures, and respective Maintenance Plans
- Supporting investigations of safety incidents and accidents as requested by the Safety Department
- Coordinating with the Safety Department and other stakeholders in the development of design specifications for, and formal acceptance of, new (revenue and non-revenue) vehicles and vehicle-borne, safety-critical systems
- Assuring that materials, supplies, equipment and parts under the care and custody of the area are stored, accessed and distributed safely and appropriately according to RTA procedures
- Coordinating with the CSSEM on safety requirements of materials
- Monitoring safe handling of and minimizing employee and environmental exposure to potentially hazardous products and materials.
- Approving (jointly with the CSSEM) and implementing the RTA Safety and Health Handbook which establishes OSHA-compliant policies, procedures, and rules for workplace safety.

Specifically, for Rail Infrastructure Maintenance (Including Maintenance-of-Way, or MOW, and Traction Power)--
- Assuring that rail infrastructure is properly maintained and available in safe

operating condition according to RTA's procedures
- Providing necessary mechanisms for reporting defects and hazardous conditions
- Implementing the agency's Roadway Worker Protection program to ensure employee and contractor safety along the entire streetcar trackway
- Administering and monitoring standardized programs, policies, and procedures, and the Rail Maintenance Plan
- Supporting Safety Department-led accident/incident investigations as
- Monitoring safe handling of and minimizing employee and environmental exposure to potentially hazardous products and materials.
- Ensuring appropriate action to resolve reported or otherwise identified hazards in a timely manner
- As appropriate, coordinating the development and testing of engineering solutions as a means of addressing infrastructure-related hazards
- Serving as liaison with various municipalities and other external agencies for hazard resolutions involving infrastructure

Specifically, for Maintenance Quality Assurance--
- Ensuring all documentation requirements of maintenance activities are fully implemented in conformance with regulations and the requirements of the SMS
- Where applicable, participating in the development of technical equipment specifications and procedures that address the safety requirements of regulatory agencies and RTA
- Ensuring that replacement equipment and modifications meet safety requirements prior to acceptance, installation or implementation
- Examining equipment and systems to explore the potential for increased efficiencies and improvements in safety as well as in performance
- Coordinating major equipment rebuild, repair, and retrofits
- Monitoring the performance of preventive maintenance efforts and all other contractor activities
- Ensuring there are no unauthorized modifications to vehicles and equipment

The Maintenance Department is responsible for developing and delivering certain training, directly, for its personnel. The specific training that an employee receives is based on their position description. Maintenance performs the following activities in this regard:
- Development and delivery of official agency training curricula materials, including for safety-critical positions, tasks, activities, processes, methods, and programs that are specific to Bus, Rail, and Paratransit Maintenance areas.
- Safety maintenance training program and development and quality assurance
- Create Standardized Maintenance Procedures (SMP)
- Monitoring and oversight of maintenance training records including evaluation of the effectiveness of the overall training program
- Training needs assessments in consultation with Safety and in alignment with agency procedures
- Quality assurance evaluations (standardized maintenance procedures, etc.) and

follow-up coaching with technicians, as necessary.

Facilities Maintenance Safety-critical Activities:
- Assuring that facilities are properly maintained and accessible in safe operating condition according to RTA's procedures
- Providing necessary mechanisms for reporting defects and hazardous conditions
- Administering and monitoring standardized programs, policies, and procedures, and the Facilities Maintenance Plan
- Ensuring appropriate action to resolve reported or otherwise identified hazards in a timely manner
- Assuring compliance with local, State, and Federal environmental protection and hazardous waste requirements.

Fleet Advancement

The Director of Fleet Advancement and their team are responsible for:
- Assuring that the vehicle fleet is properly maintained and available in safe operating condition according to RTA's procedures
- Providing necessary mechanisms for reporting defects and hazardous conditions
- Administering and monitoring standardized programs, policies, and procedures, and the Vehicle Maintenance Plan
- Ensuring appropriate action to resolve reported or otherwise identified hazards in a timely manner. As appropriate, coordinating the development and testing of engineering solutions as a means of addressing vehicle-related hazards

Specific to fleet technology—
The team is responsible for maintaining in-vehicle technologies including fare collection equipment, audio/video surveillance equipment, CAD mobile units, Public Address (PA) systems, and two-way radios.

Transit Stop Maintenance

The Transit Stop Manager develops, manages, and administers all aspects related to streetcar and bus stop maintenance, the stop inventory database, temporary relocations or closures, improvement projects related to asset management and ADA compliance. The Transit Stops Manager also assists the Director of Facilities by managing several contracts for stop maintenance functions, ensuring compliance with contract terms relating to shelter maintenance, cleaning, repair, and security. The position performs the following safety-related tasks:

- Manages all property landscaping, trash removal, amenity state of good repair, and facility repairs
- Manages the installations, removals and operational maintenance of all RTA shelters and associated amenities
- Manages all vendors involved with the maintenance of RTA assets including but not limited to shelters, benches, and trash pickup

- Coordinates with City of New Orleans on trash collection at bus and streetcar stops and provides recommendations to improve and streamline services
- Proposes shelter placements and types in accordance with RTA guidelines
- Assists in the development of specifications and guidelines related to stops and shelters
- Manages customer complaint resolution and questions. Develops and manages bus and streetcar operator feedback.

Creates and maintains a master transit stop inventory for RTA Operations and Infrastructure departments for use by the staff using data from automatic passenger counters and scheduling software.

Chief of Planning and Capital Projects

The CPCP has the responsibility for and oversight of the following areas:

A. RTA's Capital Plan
B. Project Delivery and Oversight
C. Safety and Security Certification/Acceptance and the SSCP
D. Service Planning and Scheduling
E. Information Technology (IT)

Capital Project Delivery and Oversight

As required, the Capital Projects team may be assisted by a Program Management Consultant, Construction Management Consultant, General Architectural and Engineering Consultant, and/or other contractors.

The Director of Capital Projects will ensure that all contractors and consultants comply with the provisions of this ASP.

The SSC/Acceptance process is an important SA activity that is carried out jointly by the Safety and Capital Projects teams and is governed separately by the SSCP. The SSCP is developed, maintained, and implemented jointly by the CPCP and CSSEM. Depending on the scope, complexity, and initial risk assessment associated with each project, the Project Manager (as tasked by the Director of Capital Projects) and Safety Department staff follow the guidelines contained in the SSCP to determine whether a capital project or system modification requires SSC or Acceptance, and to what degree. Projects and system modifications are also jointly reviewed through a Management of Change procedure. (Also see 3.6.1 Safety and Security Certification.)

Service Planning and Scheduling

The Service Planning and Scheduling team performs the following safety-critical activities:
- System route analysis
- Scheduling and run-cutting for all fixed routes

- Station locations and amenities
- Accessibility issues regarding RTA facilities and bus stops
- Community outreach

A responsibility of the Service Planning and Scheduling team that supports RTA's Management of Change processes is to incorporate a safety risk management review into the service pick process, to ensure that hazards and accident/incident trends are taken into consideration. This review process is iterative throughout the year but at a minimum consists of a coordination meeting with the Safety Department at a point during each service pick that allows for minor adjustments to be made, as necessary, prior to commencement of service. Other, long-range mitigations recommended by the Safety Department during this coordination may be addressed through other steps pursuant to its Service Standards SOP. If necessary (based on the associated level of safety risk), the CSSEM formally tracks long-range mitigations to completion, through either Mitigation Monitoring Plans or CAPs.

Additionally, for phased implementation of large transit network redesign projects, the Director – Service Planning and Scheduling engages Operations supervisors and training instructors, as well as Safety Department representatives, to conduct joint assessments of bus and streetcar routes. The topics reviewed during these assessments may include any combination of: schedule (times of day), service frequency (headways), route alignment, vehicle dynamics, interface with signals or other components of the street network, and placement of transfer points or hubs.

Information Technology

Information Technology (IT) activities and systems require continuous management of risk and are safety-critical. IT is responsible for installing, maintaining and replacing hardware, firmware and software; investigating new technologies, and supporting agency-wide information management and protection.

IT provides and supports the following safety-critical areas and activities:
- Development and promulgation of IT policies, procedures and standards
- Desktop computer access
- Network access
- Telephone systems
- Applications
- Notification of system outages for internal and external customers
- Data warehousing
- Computer-Aided Dispatch (CAD) and Clever Devices tools for OCC
- Maintenance Management Information Systems
- Risk and vulnerability assessments of IT systems agency-wide
- Security badging hardware, software, and equipment
- Hardware and software for audio/video equipment
- Instructional services for use and protection of information technology systems and processes

IT also manages several contract employees and vendors. IT is responsible for providing safety management oversight of these contractors and vendors, including compliance with this ASP.

Chief Financial Officer

Safety-critical activities for Financial Operations are related to the provision of accurate and timely financial services to stakeholders while fostering accountability. One of its primary functions is keeping the Accountable Executive informed of resource allocation and availability in the service of safety management.

A function reporting to the CFO, the Office of Internal Audit and Compliance, is responsible for conducting the Internal Safety Management Audit (ISMA) of the Safety Department.

The Chief Financial Officer has the responsibility for the following areas:
  A. Budget Development and Administration
  B. Grants Administration
  C. Procurement
  D. Third Party and Internal Audits
  E. DBE Compliance
  F. Revenue Collection
  G. Accounting

Procurement

RTA's Procurement Director reports to the CFO and is fully responsible for SMS compliance in the Procurement area.

The primary safety management activities of procurement are to ensure that safety principles, requirements and representatives are included in the procurement process. In coordination with, or at the direction of, the CSSEM, the Director assesses the level of safety risk associated with procurements. Additionally, safety must be managed in storage, warehousing, transportation, accounting, distribution, and disposal of all assets managed through the department. This includes ensuring that information acquired in the procurement process is effectively communicated to the end users.

Office of Internal Audit and Compliance (OIAC)

The RTA's Office of Internal Audit and Compliance (OIAC) functions under the oversight of the CFO and partners with the Safety Department to enhance and ensure the safety, cataloguing, development, and monitoring of internal processes.

The OIAC's principal responsibilities in safety management include ensuring the RTA's compliance with current FTA safety standards, conducting internal safety audits and

compliance checks, and devising and executing the RTA Annual Audit Plan, which may incorporate safety-related assessments. For more details on the OIAC's role in supporting safety management, refer to SOP 004-100 (Procedure for Performing Internal Safety Management Audits).

Chief of External Affairs

Customer Service

The Manager of Customer Service (consisting of "Rideline" and "ADA" or "eligibility" teams at present) has the responsibility for the following safety-critical activities:
- Oversight, monitoring, and supervision of the customer service team
- Monitoring and ensuring proper handling of consumer complaints, suggestions, commendations, miscellaneous calls and correspondence relating to the agency
- Investigating complaints and concerns, employee reports of hazards and other required events, including coordination with other departments and preparing reports as necessary
- Collecting and performing trend analysis on customer and employee reports, concerns, and complaints
- ADA and reduced fare program eligibility and customer relations
- ADA compliance

Intergovernmental Affairs

The Intergovernmental Affairs team has the responsibility for the following safety-critical activities:
- Community and government relations for RTA issues and operations
- Outreach to community organizations/stakeholders.

Marketing and Communications

Marketing and Communications is responsible for public relations, marketing and retail sales, streetcar charters, advertising, film production and creative services. The team also designates individuals to serve as RTA's Public Information Officer (PIO) under RTA's All Hazards Plan and related annexes.

Chief of Human Capital and Workforce Development

RTA's Chief Human Capital and Workforce Development (HCWD) Officer reports to the Accountable Executive. The Chief HCWD Officer is fully responsible for SMS compliance in the HCWD area.

The Chief HCWD Officer manages hiring, employee information, worker's compensation, administrative organizational development, and employee programs. HCWD is responsible for assuring that staff positions are effectively defined and

classified and that qualified personnel are identified to meet staffing needs. This department also manages the contracted employee assistance programs, including the program for substance abuse. This department also administers and oversees the Workers Compensation and Drug and Alcohol Programs in accordance with federal and state requirements.

Safety-critical activities include:

    A. Talent Acquisition
    B. Employee Relations
    C. Talent Management
    D. Compensation
    E. Benefits
    F. Employee Assistance Program (EAP)
    G. Equal Employment Opportunity (EEO) Compliance
    H. Document Management
    I. Worker's Compensation matters
    J. Drug and Alcohol Program

Safety Critical activities in this area include:
- Coordinating of safety-critical pre-employment activities, including investigations, testing, DOT physicals, qualifications review and legal compliance in hiring
- Maintaining job descriptions incorporating SMS responsibilities and requirements; distribution of the descriptions as needed
- Accurately documenting hiring and other employment processes
- Managing recruitments based on direction from ELT and approved criteria
- EAP, including wellness services, including nutrition, injury prevention, financial counseling and physical and mental health
- Developing, implementing, and monitoring the Drug & Alcohol program in accordance with U.S. DOT and FTA requirements
- Investigating complaints and incidents related to conduct in the workplace and recommending corrective actions as necessary
- Maintaining centralized training records for the agency, including but not limited to: ethics training, FEMA ICS training, attendance of mandatory safety meetings, and SMS training.

1.2.3 Key SMS Personnel with Direct Responsibility for Rail Fixed Guideway Safety Oversight

Apart from the level- and function- specific SMS responsibilities described above, certain key SMS personnel [49 CFR Parts 673.23(d)(4) and 673.29] are considered to have a direct responsibility for safety oversight of the rail fixed guideway, and as such, must comply with FTA's Public Transportation Safety Certification Training Program (PTSCTP) codified at 49 CFR Part 672. As of the adoption of this revision of the ASP, the key SMS personnel are:

- CSSEM
- All Safety Department and Emergency Management Department staff

The Safety Department, under the CSSEM's direction, coordinates a review of the status of required training per the PTSCTP during the annual review and revision of the ASP. The CSSEM maintains a safety training matrix for the key SMS positions and pursues external training opportunities in support of meeting these training needs by the specified compliance dates, to the extent practicable, e.g., FTA, Transportation Safety Institute (TSI), the National Safety Council.

Key SMS personnel are responsible for complying with PTSCTP and internal SMS training requirements, including refresher training every two years. (Also see **4.1 Competencies and Training**.)

1.3 Integration with Emergency Management

RTA develops, maintains, and implements all emergency management documentation as required by 49 CFR Part 673.11(a)(6), hereby incorporated by reference. Jurisdictional agreements, including Memoranda of Agreement/Understanding (MOU/MOA), are also maintained by RTA.

Emergency Management functions are subject to the requirements of Section II of this ASP, Safety Risk Management. Corrective actions arising out of emergency management functions, including drills, workshops, exercises, and After Action Reports, are the responsibility of the CSSEM unless otherwise noted in the CAP.

The CSSEM ensures that resources are properly allocated to support emergency management functions in a manner that achieves SMS goals and objectives and addresses any SMS deficiencies. The CSSEM uses SMS Steering Committee and/or ELT meetings and proceedings to ensure a strong level of cross-departmental coordination on emergency management matters. Additionally, the CSSEM participates in and leads coordination meetings with City/regional stakeholders to discuss upcoming activities or initiatives, such as training, joint exercises, and external outreach campaigns.

The documentation listed below specifies primary agency-wide documents to manage emergency management functions, although this list is not exhaustive:

1. RTA All Hazards Plan and annexes
2. Memoranda of Understanding/Agreement with law enforcement and emergency management partners
3. Emergency Exercise Plan
4. After Action Reports

1.4 SMS Documentation

Per the requirements of 49 CFR Part 673.31, RTA maintains all documentation incorporated here by reference for at least three years, in all versions, and will make them available as requested or required to the SSO, the FTA or other federal agencies having jurisdiction and authority. Other documents subject to other statutory compliance requirements (industrial safety, environmental, etc.) will be maintained according to law.

The CSSEM coordinates with each ELT member to identify and address process deficiencies or documentation gaps in their respective area(s) through a combination of the following: Safety Department-led Safety Assurance activities, SMS Steering Committee meetings, ISMAs, strategic planning coordination, and one-on-one workshops.

Documents that have a direct interface with this ASP are listed in APPENDIX D: LIST OF SAFETY POLICIES AND STANDARD OPERATING PROCEDURES. The list is for reference only and is not exhaustive.

An up-to-date list of controlled, final versions of safety procedures is maintained on the "SMS" drive and are available upon request. Current versions of agency policies are maintained on the RTA Intranet site, in accordance with the "Creation of Policy" Policy (HC49).

At present, a formal, agency-wide process for developing, reviewing, updating, and maintaining procedures is under development.

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.

RTA's formal SRM process incorporates all FTA requirements to: identify existing and foreseeable hazards, identify reasonable consequence(s) of those hazards that may result in adverse events, analyze those consequences to evaluate the level of safety risk, and establish and prioritize mitigations to reduce the level of safety risk to the lowest practicable level.

SRM encompasses the use of safety analysis tools by adequately staffed and trained personnel and departments, groups and committees at RTA, as well as the use of SMEs wherever appropriate, at the discretion of the CSSEM.

In addition, the SRM process at RTA is integrated with its SA program to ensure that safety risk mitigations are evaluated for effectiveness over time. SA processes are described in Section III.

2.1 Infectious Disease Hazards

Pursuant to statutory requirements in Title 49 U.S.C. Section 5329(d) as amended by the Bipartisan Infrastructure Law, the SRM process is applied to identifying strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions. To the extent that any hazards are associated with known infectious diseases, any SRM actions will be carried out in a manner that is consistent with guidelines of the Centers for Disease Control and Prevention (CDC) and/or state/local health authorities. Note: The approval of this ASP constitutes as RTA's certification that the SRM measures outlined, below, and generally, RTA's Safety Program, include strategies to minimize the exposure of the public, personnel, and property to known infectious disease hazards, that are consistent with guidelines of CDC and state/local health authorities. More information on how the RTA manages Infection Diseases can be found in Annex B: Infectious Disease Annex in the RTA's All Hazard Plan.

2.2 Hazard Identification

All department managers are required to identify hazards, report them, and mitigate them appropriately. All employees and contractors share a responsibility to identify and report hazards using a variety of methods established by RTA. To ensure proper recordkeeping as required by FTA and SAF3, department managers are responsible for providing regular updates to the Safety Department regarding hazards and mitigations taken.

2.2.1 Hazard Identification Sources

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

1. 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 in the system.
2. Proactive hazard identification involves real-time situations, such as through departmental inspections, audits, evaluations, observations, and assessments; proper management of change; training quality assurance programs; and the employee and contractor safety reporting programs. Job Hazard Analyses (JHA) identify and support a thorough analysis of hazards that may reasonably be encountered during the performance of a specific job or task. RTA actively seeks to identify hazards and mitigate them effectively before adverse events occur.
3. A specialized subset of proactive hazard identification 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.
4. 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.
5. The Safety Department reviews Board of Commissioners and Riders Advisory Council meeting minutes for reported hazards and safety concerns. Hazards are elevated to the master Hazard Log as appropriate, based on safety risk.

2.2.2 Employee Reporting Systems

RTA has multiple avenues by which employees and contractors can report hazards. Investigations of hazards are also properly documented per SOP #004-005 and distributed according to that SOP.

Employees are encouraged to report hazards through their chain of command, including their immediate supervision, or management if supervision is not available; through the safety committee process; or by contacting the Safety Department directly.

Frontline Operations Department personnel also have the option of reporting the hazard to OCC, who will in turn input the proper information in Clever Incident Manager.

RTA employees and contractors can also submit hazard information via a Safety Hotline, which has the following options:
- Telephone – (504) 827-8367 (available 24 hours a day, 7 days a week)
- Email – safetyhotline@rtaforward.org
- Vorex "Help Desk" application (accessible via the RTA Intranet)
- Hazard Report Form (employees can submit the form to any of three labeled drop boxes: A. Philip Randolph (Canal) facility, Carrollton, or East New Orleans

(ENO)).

Submitters have the option of reporting anonymously or confidentially to the Safety Hotline.

Designated Safety Department staff enter, track, monitor, analyze, and close hazards, or "tickets" through a cloud-based software application, "Vorex." This tool is convenient for staff to use and provides for increased trend analysis capabilities.

Customer Service manages customer safety complaints, which are forwarded to the responsible department and the CSSEM as applicable. The department investigates the report and develops and implements corrective action as needed, in coordination with the Safety Department. Employees can also use this process as an anonymous option.

No matter what the source of information is or which department investigates and resolves the issue, the feedback loop to the reporting employee is required, as applicable. For hazards or issues that are deemed "unacceptable" following the SRM process, the outcome of the report, investigation, corrective action, or mitigation is distributed to the SMS Steering Committee for handling as appropriate. Each report will be thoroughly investigated under the direction of the CSSEM and in accordance with SAF3 and this ASP. If the employee has not reported anonymously, the responsible (Technical or Executive Level) manager or CSSEM ensures that the results of the investigations and any corrective action are reported back to the reporting employee.

In turn, the results are forwarded to either a "Safety Ambassador" or Departmental Safety Committee (or if neither is available, to the department management for local dissemination). (Also see Section IV – Safety Promotion.)

Protections for Employees Reporting Adverse Safety Conditions

RTA is committed to maintaining a robust positive safety culture. As part of that commitment, RTA will protect employees who report adverse safety conditions to management. As explicitly directed in SAF3, any employee who reports a valid violation, unsafe act or condition, or other safety concern directly to the Safety Department will not experience any reprisal from management. SAF3 also stipulates that such reprisal is not allowed if reported to any (other) member of (Technical or Executive Level) management. The CSSEM will promptly forward to the Chief HCWD Officer any allegations or claims that this provision in SAF3 was violated during the handling of an employee-reported hazard or safety concern. If an employee reports and requests anonymity, the RTA will provide anonymity for all valid concerns.

Unprotected Self-Reporting

No willful violations will be subject to self-reporting protections. This includes but is not limited to any violations of Drug and Alcohol policies or requirements, criminal acts, or

failure to report any criminal acts immediately.

2.2.3 Hazard Investigation

Hazards are investigated in each department as they are reported or identified. Department management identified in this ASP (or, alternatively, the department's Safety Ambassador) are considered primary points-of-contact and initial investigators ("investigator"). If necessary, the investigator may route the investigation to the Safety Department for additional technical support in accordance with SOP #004-005. All investigative activities are properly documented according to the SOP.

In consultation with the Safety Department, the investigator first analyzes the hazard by identifying potential consequences. The purpose of investigation is to evaluate each hazard in terms of the level of safety risk associated with the worst credible outcome; and to examine the likelihood and severity of those consequences occurring. The worst credible consequence is defined as what the agency expects to be a realistic and imaginable consequence of the hazard.

RTA defines safety risk severity categories as a qualitative measure of the worst credible outcome, as indicated in Table 1.

Category	Description	Severity Definitions
1	Catastrophic	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding $10M.
2	Critical	Could result in one or more of the following: 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.
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.
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.

Table 1: Safety Risk Severity (Adapted from Table 2-4 from Rail Transit Agency Accident Investigations – Background Research, FTA[6])

RTA defines safety risk likelihood, or probability, as a measure of frequency relative to any of: a unit of time, the duration of an activity, the life of an item, or the life of a total fleet/inventory, as indicated in Table 2.

Frequency	Level	Probability Definitions
Frequent	A	Likely to occur frequently to an individual item. Continuously experienced in the fleet inventory.
Probable	B	Will occur several times in life of an item; will occur frequently in fleet/inventory.
Occasional	C	Likely to occur sometime in life of an item; will occur several times in fleet/inventory.
Remote	D	Unlikely, but possible to occur in life of an item; unlikely but can be expected to occur in fleet/inventory.
Improbable	E	So unlikely, it can be assumed occurrence will not be experienced to an individual item; unlikely to occur but possible in fleet/inventory.

Table 2: Safety Risk Likelihood

Staff may use either inductive or deductive evaluation methods, depending on circumstances to determine ratings for severity and likelihood.

2.3 Safety Risk Assessment and Prioritization

Safety Risk assessment and prioritization criteria are established through the process documented in this section. All official risk assessment and prioritization activities and any required actions developed as a result of assessments, will be led by the CSSEM, investigator, or other designee who is trained and qualified to perform such assessments. Once the severity and likelihood of the worst credible outcome have been established, the Safety Risk Index (SRI) can be calculated; i.e., the level of safety risk as a composite of severity and likelihood of the potential consequence of the hazard (Table 3).

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[6] Rail Transit Agency Accident Investigations - Background Research, last updated July 2022

SAFETY RISK INDEX				
Frequency of Occurrence	1	2	3	4
A	1A	2A	3A	4A
B	1B	2B	3B	4B
C	1C	2C	3C	4C
D	1D	2D	3D	4D
E	1E	2E	3E	4E

Table 3: Safety Risk Index

The SRI and safety risk acceptance criteria (Table 4) are reviewed to determine "acceptance" of the increased level of safety risk that was assessed—or that which will exist if left unmitigated. This is level of safety risk acceptance is classified as one of the following: high, medium, low, or acceptable. At this point in the process, any assessment resulting in an SRI of low, medium, or high must be reported to the Safety Department. The CSSEM or designee will advise the investigator or department point-of-contact on next steps.

For acceptable hazards, the investigator or department point-of-contact is responsible for documenting the safety risk assessment.

For low, medium, or high hazards, the CSSEM or designee is responsible for determining the SRI and using it to establish a shared understanding across the affected department(s) and/or functional area(s) of the necessity to mitigate or reduce the level of safety risk. The CSSEM determines whether the assessed level needs to be prioritized based on safety risk acceptance.

For hazards/consequences rated high or medium, the SSO must be notified as soon as practicable or no later than the conclusion of the safety risk assessment. The CSSEM is directly responsible for notifying the SSO.

SRI	Acceptance Criteria	Special Conditions	Approval Level
High	Unacceptable	**Requires immediate resolution.** Results must be recorded on Safety's Hazard Log and immediately reported to SMS Steering Committee*	CEO, CSSEM
Medium	Undesirable	**Actions require SMS Steering Committee and CSSEM review and approval.** Results must be recorded on Safety's Hazard Log*	CSSEM

Low	Acceptable with Review	Requires dept. management review in consultation with CSSEM or designee. Results must be recorded on dept. Hazard Log and managed by investigator or dept. POC, with follow-up provided to CSSEM as directed	Dept. ELT
Acceptable	Acceptable	None – Can be managed at department-level. Investigator or dept. POC is responsible for recordkeeping. Safety may audit dept. Hazard Log	Dept. Investigator/ POC

Table 4: Safety Risk Acceptance Criteria

If the hazard is currently mitigated, investigation involves an assessment of the effectiveness of current mitigations—that is, a determination of whether they are sufficient to address the associated risk, and if changes or additional mitigations are warranted to further reduce risk (until it reaches an acceptable level).

Based on the approved decision authority level that results from the safety risk assessment—unacceptable, undesirable, acceptable with review, or acceptable—the department performing the assessment is responsible for notifying the appropriate parties immediately, if they are not already involved. If the ELT must be notified, the CSSEM may recommend calling an emergency meeting of the ELT and/or SMS Steering Committee as appropriate.

2.4 Safety Risk Mitigation

Safety Risk Mitigations are methods or processes to manage safety risk agency-wide. Once an unacceptable level of safety risk is assessed, RTA must ensure that it is not accepting the risk without the proper level of management involvement, per the SRM process specified in this ASP.

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

- 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).
- Segregate: Segregation limits the exposure of people, assets, operations or activities to the consequences of the identified hazards.

The preferred hierarchy of mitigation at RTA, based on FTA guidance, is:

1. Design out the hazards
2. Install safety devices

3. Use warning systems
4. Administrative (rules, procedures, training)
5. Personal Protective Equipment (PPE)

Each level of employee has specific responsibilities in response to hazards.

Front-line employees (and contractors) are trained to recognize hazards, report them and what activities are required of them 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.

Technical managers must respond to and investigate hazards, deploy resources at their disposal to address and mitigate hazards under their control; and when additional resources or assistance are needed, inform executive management and/or the Safety Department in a timely manner.

Executive management must allocate resources based on risk (as determined by or in consultation with the Safety Department), and if resources are not available, ensure that no activities take place until the level of safety risk is mitigated to an acceptable level (as determined by the Safety Risk Acceptance Criteria table).

If risk needs to be mitigated beyond existing mitigations, or when new hazards are identified that require corrective action, a mitigation must be developed, implemented, and monitored. The CSSEM will advise whether a CAP is required to facilitate the necessary actions to mitigate the safety risk to an acceptable level. The CSSEM will monitor mitigations and corresponding CAPs to ensure consistency and compliance with the ASP. CAPs are submitted electronically to the SSO by the CSSEM for approval once the CAP is opened. Not all mitigations require a formal CAP be submitted to the SSO.

Safety risk assessments, prioritizations, mitigations, and corresponding CAPs for high and medium SRI-rated hazards will be reviewed jointly in the SMS Steering Committee. These details for low and acceptable SRI-rated hazards may be discussed at this or other, recurring safety committee meetings, at the discretion of the CSSEM.

Risk still inherently exists even after mitigation; the department is responsible for monitoring the mitigation, in coordination with the CSSEM or designee, and promptly reporting if the mitigation is ineffective or introduces unintended hazards. The CSSEM will advise the department whether a Mitigation Monitoring Plan (MMP) is required, and if so:
- What level of documentation is sufficient and how it should be provided to the CSSEM,
- Who is responsible for implementing the MMP, and
- What should be entailed in the monitoring.

(Also see Section III – Safety Assurance.)

2.5 Tracking

The department identified as having tracking responsibilities in Table 4, above, must document all SRM activities associated with each hazard and provide regular status reports to the CSSEM or to the corresponding safety committee, as appropriate. Using these reports as well as the official Safety Department Hazard Log, Department Hazard Log, and other documentation, the CSSEM tracks mitigations/CAPs to ensure that no unacceptable risk is assumed due to error or omission and ensures that any associated CAPs are developed and reported to the SSO as required.

The official Hazard Log contains one sheet with all hazards whose assessed SRI meet either the high or medium threshold as well as hazards rated lower but requiring follow-up and cross-departmental coordination. A second sheet shows hazards that are rated either low or acceptable.

The Log is reviewed by the SMS Steering Committee during regular, quarterly meetings and is also discussed during regular coordination meetings between the CSSEM and SSO.

The following fields of information are provided in the Hazard Log:
- ID number
- Hazard description– refers to a brief narrative summary of the hazard – what it is; where it is located; what elements it is comprised of element of RTA's operation affected by the hazard
- Date identified
- Hazard source– indicates the mechanism used to identify the hazard, e.g., operator report, near-miss, accident investigation, internal safety management audit, rules compliance program, facility/equipment inspection, formal hazard analysis
- Safety Risk Index (SRI)- whether assessed by the department with support from the CSSEM or by the Safety Department directly
- (Recommended) Hazard Resolution/Mitigation/CAP– refers to the actions recommended by RTA to address the hazard and bring it into a level of risk acceptable to management
- Status– refers to the status of the recommendations. Status may be designed as pending, open, in progress, or closed.

2.6 Risk Reduction Program

Pursuant to Title 49 U.S.C. § 5329(d) as amended by the Bipartisan Infrastructure Law, RTA's SRM and SA processes comprise a "Risk Reduction Program" that will, in connection with other ongoing strategies and initiatives to improve employee and patron safety, aim to reduce the number and rates of accidents, injuries, and assaults on transit workers, including but not limited to the following, specific event types:
- Bus collisions (with vehicles and pedestrians);

- Assaults on transit workers.

RTA will continue to review guidance and forthcoming regulations in connection with Section (I) of the statute, which now includes the exploration of specific mitigations regardless of the outcomes of any SRM process. Namely, based on the language contained in the Bipartisan Infrastructure Law, the mitigations that RTA considers must include retrofits of bus fleets to reduce visibility impairments and the installation of operator barriers. Note: RTA's entire fixed route bus fleet has either factory-installed or retrofitted operator barriers as a result of an FTA grant.

At present, while the statute refers to "risk reduction performance targets," there are no changes to the NSP that can be used to establish baselines for these two event types, and therefore, FTA is not requiring that such targets be included in this ASP.

Section III: Safety Assurance

Safety Performance Monitoring and Measurement

RTA has established activities to:

- Monitor the RTA system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance;
- Monitor RTA operations to identify hazards not identified through the SRM process (per 49 CFR Part 673.25);
- Monitor RTA operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;
- Investigate safety events to identify causal factors; and
- Monitor information reported through any internal safety reporting programs.

Safety Assurance (SA) is a continuous process, constantly interacting with SRM. It is a set of systematic, ongoing processes that are both led and facilitated by the Safety Department to monitor system safety performance. This monitoring is used to: verify that safety objectives are being met; identify previously unforeseen hazards; ensure that mitigations in place are effective and not creating new hazards; and collect data on safety that can be analyzed, trended and shared in support of continuous improvement of the SMS. In addition, SA activities assist the agency in identifying and correcting practical drift and in establishing appropriate safety performance measures and SPTs.

The CSSEM is responsible for ensuring SA processes are compliant with 49 CFR Part 673 and are effective.

In accordance with FTA requirements for Labor-Management Safety Committees, the Labor-Management Safety Committee (LMSC) members may bring forth any safety risk mitigation which they believe to be ineffective or not implemented as intended, during any regular meeting.

3.1 Safety Data Analysis

Under SAF3, RTA departments must identify, collect and analyze data on their safety critical functions in close coordination with, and at the direction of, the CSSEM or designee.

Sources of data at RTA 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

- ISMAs and SMS implementation documentation
- Quality assurance and quality control inspections, audits and other activities
- Employee, passenger and public reports of injury
- Planning and scheduling data collection
- Key performance indicators
- Accident and incident Investigation reports
- NTD data collection and reporting
- Drug and alcohol compliance programs
- Rules and procedures compliance activities
- Safety committee activities and reports

Each department submits its data as related to safety performance and mitigation monitoring, to the executive in its area for review and verification. The CSSEM may request this documentation as part of the agency-wide S A effort. Executives are expected to discuss data and safety performance at SMS Steering Committee meetings as appropriate. Safety performance data are also reviewed by the RTA Board of Commissioners at their request.

3.1.1 Risk-Based Inspections (LADOTD)

Pursuant to FTA Special Directive 22-32[7] and the requirement in 49 U.S.C § 5329 (as amended by the Bipartisan Infrastructure Law) for LADOTD to conduct "risk-based inspections" of RTA's rail system based on data collected and furnished by RTA. RTA coordinates with LADOTD as necessary to ensure the inspections are fully incorporated into existing SMS practices, and in particular, SA. At present, LADOTD is developing detailed policies and procedures to administer this program.

The RTA is tasked with granting the LADOTD SSOA access for conducting risk-based inspections. Furthermore, the RTA is obligated to share the data it accumulates during the process of identifying hazards and assessing and mitigating safety risks with the SSOA. RTA is currently partnering with LADOTD SSOA to develop procedures governing these responsibilities.

3.2 Rules and Procedure Compliance Activities

A robust SMS requires ongoing SA activities; that is, continuous performance monitoring, conducted in the field with real-time assessment and data analysis, so as to provide management with the best and most reliable information for assessing performance.

General orders, bulletins, memos and notices are issued as interim measures until

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[7] https://www.transit.dot.gov/regulations-and-guidance/safety/fta-special-directives

permanent changes are made in the Operations Rulebook. To ensure the appropriate level of executive management oversight, Special Orders, Permanent Orders, Temporary Orders and Change Orders that modify or are intended to permanently establish rules and procedures must be approved and signed by the CSSEM.

All Rulebook revisions must be reviewed and approved in a committee format, as described in the Rulebook. Updates may be selected for joint review by either the Labor Management Safety Committee or SMS Steering Committee, at the discretion of the CSSEM.

Operations technical management and Executive-level management are responsible for monitoring compliance with rules and procedures.

Note: At this time, the process by which all rules compliance activities are coordinated between Operations and Safety is still in development. Cloud-based applications are being evaluated which are intended to help with coordination between Operations, Safety, and HCWD personnel concerning rules compliance and employee management.

3.3 Internal Safety Reviews

RTA has three types of ongoing, internal safety reviews to monitor compliance with its SMS as described in this ASP. These reviews are required under 49 CFR Part 673.27(b). They are:

1. Triennial Internal Safety Management Audit Program (ISMAs)

   This program, also required under 49 CFR Part 674.27(a)(4), is owned by the Accountable Executive and implemented by the CSSEM. Each SMS component and subcomponent and the related activities and functions described in this ASP is audited once every three years. As of 2023, individual ISMAs (performed once annually) are intentionally organized by their corresponding SMS component (Safety Policy, Safety Risk Management, Safety Assurance, and Safety Promotion), in order to foster and enhance collaboration between auditors and auditees and to reinforce the principles and basic framework of SMS to continuously improve the RTA's safety culture.

   Deficiencies require CAPs to be developed and implemented by the department or functional area. All ISMA reports are submitted annually to the SSO under the CEO's signature as required by the SSO and 49 CFR Part 674.

   SOP 004-100 dictates that prior notice is given to the SSO and all ISMA activities adhere to SSO requirements. Final audits are shared with the SMS Steering Committee and may be discussed at subsequent SMS Steering Committee meetings. The CSSEM is tasked with overseeing the process and is certified to

serve as Lead Auditor.

The rolling three-year calendar for upcoming ISMA topics is provided in the Annual Report due to the SSO on or around February 15th of every year. The CSSEM may recommend changes to the topic list in-between Annual Reports, pending SSO concurrence.

As of 2021, the audit of the CSSEM's SMS compliance is performed by the Director of Internal Audit and Compliance, who reports to the Chief Financial Officer. The Director of Internal Audit and Compliance also provides general support to the ISMA process.

2. Safety Department-led Safety Assurance (SA)

Key SMS personnel, at the direction of the CSSEM, conduct periodic, unannounced SA inspections or field observations to ensure compliance with safety-critical rules and procedures.

The CSSEM oversees the process to ensure integrity and compliance, and has the discretion to require more regular reporting if necessary in a given area. Staff document their observations and any non-compliances using the appropriate SA form. The Safety Department has developed forms specific to certain, higher risk activities, e.g., special streetcar operations, flagging/Maintenance-of-Way, and special track work. Findings, trends, and concerns will be presented to ELT, department management, and/or safety committees, as appropriate. If necessary, the Key SMS personnel are authorized to cease operations or a work activity if they identify an imminent hazard posing an unacceptable level of safety risk. They have the authority and responsibility to coach any employees whom they observe failing to comply with a procedure or committing an unsafe act. These one-on-one coaching sessions are then documented using a standard form.

3. Monitoring of Safety Performance Measures.

Monitoring of the system wide Safety Performance Measures identified in Section 1.1.1 requires all departments that collect data directly applicable to the Performance Measures report these measures to the CSSEM or designee at their request. Generally, progress relative to the SPTs set forth in the ASP will be reviewed in SMS Steering Committee meetings and/or other Executive Level Management/ ELT meetings.

Internal safety reviews are designed to monitor all activities and functions to identify non-compliances with the ASP and correct them, identify hazards, and implement mitigations to reduce safety risk. They are also a means of identifying any existing mitigations that may be ineffective, inappropriate or were not implemented as intended as required.

The CSSEM or designee will coordinate with and support any department that has a non-compliance or deficiency with developing a CAP and/or mitigation as necessary. [Also see 3.7.1 Corrective Action Plans (CAPs).]

3.4 Safety Assurance: Maintenance and Support Functions

In addition to the above SA activities that apply for all departments, there are maintenance and related support functions under the purview of the CAMO, specifically.

These functions of maintenance control are fully documented in Maintenance Control Plans, processes and procedures for the following areas:

a. Preventive, predictive, and corrective maintenance – rail, bus, paratransit/automotive/non-revenue maintenance, MOW (rail infrastructure), and facilities maintenance
b. Support activities, including contracted activities (component repair, equipment repair, overhaul, metrology, transportation, mainline recovery, fabrication)
c. Hazard management, quality assurance and quality control
d. Lifecycle Planning, including reliability and maintainability
e. Supply chain, procurement and materials management and warehousing
f. Fleet management and transit stop maintenance
g. Transit Asset Management support and interface

Refer to the Maintenance Control Plans, and related procedures, for each maintenance department.

3.5 Investigations

49 CFR Part 673.27(b)(3) requires the transit agency to establish activities to conduct investigations of safety events to identify causal factors. FTA's SMS approach requires investigations to apply the "Organizational Approach;" that is, all investigations will seek to identify causal and contributing factors instead of simply blaming the person closest to the event.

Internal investigations of all FTA-defined safety events are initiated by the department or functional area that experienced the event in accordance with the RTA Investigation SOP #004-005. That department or functional area will continue to carry out the investigation unless otherwise directed by the Safety Department or an external investigator (e.g., FTA, SSO, NTSB).

Major event investigations are the responsibility of the CSSEM and the Safety Department. These include: any events which meet a reporting threshold for the SSO and/or FTA, any events classified as "Tier 1" by RTA, and any events otherwise deemed serious by the CSSEM

Corrective actions stemming from any findings contained in the final investigation report must be developed by the departments and functional areas, in consultation with the Safety Department, and be approved by the SSO prior to implementation. Upon receipt of formal approval, actions are coordinated and managed by the CSSEM and fully implemented in the approved time frame by the responsible party(ies). Responsible parties may or may not reside in the department or functional area that initially reported the safety event.

Generally, RTA will take appropriate measures (mitigations) to reduce the level of safety risk (likelihood and/or severity) associated with identified contributing factors in order to prevent reoccurrence. One or more CAPs may comprise a single safety risk mitigation.

CAPs may also be unrelated to the mitigation(s) as they may be aimed at addressing system deficiencies or non-compliances that were identified during the investigation but did not contribute to the event.

The CAP management process will be carried out at the direction of the CSSEM, in accordance with SSOPS requirements. [Also see 3.7.1 Corrective Action Plans (CAPs).]

3.5.1 Event Reporting

RTA 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 SSO and the FTA within two hours of any event classified as an accident. RTA will adhere to the reporting and notification requirements outlined in 49 CFR Part 674 and related guidance[8].

Reporting to the SSO is defined in the SSOPS, and FTA is notified through the US DOT Crisis Management Center (CMC) by email at toc-01@dot.gov. The OCC is the primary responsible party for issuing the notification, in consultation with the on-call Safety representative, as necessary.

RTA attends monthly meetings to discuss accidents, including reporting and the status of investigations of SSO-reportable events, with the SSO. Additional follow-up meetings may be scheduled in coordination with the SSO, as necessary.

3.6 Management of Change (MOC)

The Management of Change (MOC) process is designed to identify and assess changes that might introduce new hazards or negatively affect the agency's safety

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[8] https://www.transit.dot.gov/regulations-and-guidance/safety/two-hour-accident-notification-guide

performance. RTA is dedicated to identifying such changes for further evaluation to ascertain if they can reasonably lead to adverse impacts.

The CSSEM employs a Director-led Configuration Management Committee (CMC). This committee, which operates as an SMS Subcommittee under the CSSEM, is responsible for reviewing Change Request Forms submitted by various RTA Project Managers. Within the MOC framework, a project manager is defined as any individual overseeing the implementation of a change in RTA's transit system that might pose a potential hazard. Such changes can either introduce new hazards or influence the suitability or efficiency of existing mitigation measures.

Whenever a change occurs, it must undergo evaluation via the SRM, as though it is a newly identified hazard. Refer to Section II – SRM for details.

The primary goal of the MOC Procedure is to guide and unify the actions taken to gauge the risk level associated with significant changes. However, the process might encompass minor changes that might lead to potential safety hazards. This procedure aligns SAF5, the SSCP, and the relevant section of this ASP.

Every department and functional area is tasked with identifying changes, conducting a preliminary assessment, and then escalating and forwarding any concerns to the CMC based on the determined safety risk level.

As the SMS Executive, the CSSEM escalates the analysis and any subsequent actions or mitigations to the Accountable Executive when deemed necessary. Furthermore, the CSSEM is authorized to mandate additional safety risk mitigation measures before approving a change. If the safety risk level remains unclear, or if there is a need for more technical expertise to determine risk, the designated representative from the CSSEM department may lead this analysis.

SA activities that may identify a need to manage change, include:

- Monitoring of service delivery activities (including field observations)
- Monitoring operations and maintenance data
- Analysis of employee safety reporting program
- Evaluations of the SMS
- Safety audits, studies, reviews, and inspections
- Safety surveys
- Investigations.

At a minimum, changes need to be assessed through SRM if they substantially change the system (e.g., streetcar line extensions) or constitute a major safety-critical re-design (excluding functionally and technologically similar ("in-kind") replacements. When evaluated or considered through any SRM process, the evaluation or analysis must be properly documented.

The following areas are specialized sources of risk associated with change.

3.6.1 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, can adversely affect the safety and security of customers, employees, emergency responders, or the public.

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

The process is guided by RTA's SSCP which is jointly maintained by the CPCP and CSSEM.

The Safety and Security Certification Review Committee (SSCRC) reports to and receives direction from the SMS Steering Committee and provides guidance for RTA's SSC program.

3.6.2 System Modification

Physical changes to the system that are not governed by the SSC process often fall under the Engineering Modification Process. This includes evaluation and assurance, under the SRM process, that a proposed modification does not create unacceptable or undesirable risk in a system, vehicle, equipment or facility previously certified under the SSC process.

System modifications must be forwarded to the Safety Department for handling. Modifications may be subject to the Management of Change (MOC) Procedure as deemed appropriate by the CSSEM. Additionally, internal safety reviews and external audits of the Capital Projects and Maintenance Departments will include a careful review of this process, to ensure it is performing as intended.

3.6.3 Procurement

When the agency must make new procurements; changes to existing materials, vendors and contracts; or changes to the procurement process itself, RTA Executive-level management must apply the SRM process of this ASP to the extent practicable.

The process established for procurement follows the same steps as other changes:

1. The department or area must assess whether the change (procurement) will carry risk or introduce hazards.
2. If a consequence of the change being introduced is an increased level of safety

risk, the department or area must notify the Safety Department. Alternatively, through the internal, Automated Procurement System, the CSSEM "signs off" on all solicitation requests, change order requests, sole source requests, and state contract procurement requests. During this review stage, the CSSEM or designee considers whether the procurement creates a new hazard or otherwise elevates risk for the agency. The System allows the CSSEM or designee to attach additional requirements onto the request via a formal memorandum..

3. If appropriate, mitigations must be in place before the procurement is finalized or the change is made. This process will be led by the Safety Department, in consultation with the Procurement Department and the department/area securing the material, vendor, or contractor.

3.7   Continuous Improvement

Continuous Improvement is the process by which RTA examines its safety performance to identify safety deficiencies and carries out 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 III – SA; and performance auditing.

Collectively, the annual ASP revision cycle and SMS Implementation Plan updates provide a framework for identifying and capitalizing on new opportunities to improve and grow the SMS. ELT is directly engaged in this process, through a combination of the SMS Steering Committee meetings and ongoing business processes (such as the annual workplan and budget review processes).

Once deficiencies in the SMS are identified, corrective actions must be implemented in accordance with this ASP and applicable SSO requirements. Opportunities for enhancement are also communicated to the appropriate ELT member or the CEO as Accountable Executive for consideration. As SMS Executive, the CSSEM is duly authorized to implement such corrective actions and recommend other enhancements needed to achieve a more mature SMS.

3.7.1 Corrective Action Plans (CAPs)

CAPs are required to correct non-compliance with the ASP or referenced internal requirements or deficiencies in the SMS; and otherwise by direction of the SSO or the FTA. Per FTA guidance on ASP implementation, CAPs are <u>not</u> to be confused with

mitigations, although in some instances, they may be one in the same. In either case, the CSSEM is ultimately responsible for monitoring and verifying completion and for ensuring the hazard or concern is adequately addressed. For hazards with lower-level SRIs, the CSSEM delegates this responsibility to the local department's point-of-contact or manager.

All CAPs must be reviewed and approved by the SSO per 674.27(a)(4). CAPs are submitted by the CSSEM to the SSO electronically for approval. Upon obtaining the SSO's approval, they are entered on the CAP log.

Usually, this approval is required prior to beginning implementation of the corrective action, but in exigent circumstances involving immediate protection of life and property, the action may be commenced and then reviewed and accepted or modified by the SSO. RTA will attend all scheduled meetings to discuss the CAPs and coordinate activities with the SSO. CAPs may also be coordinated and discussed in SMS Steering Committee and/or LMSC meetings.

The SSOPS indicates the conditions under which RTA is required to develop and carry out a corrective action. All CAPs at RTA will conform to the requirements of the SSOPS.

CAP closure is dependent upon SSO verification of closure and approval.

Section IV: Safety Promotion

A robust SMS is dependent upon ongoing management commitment to addressing safety risk through training and communication.

4.1 Competencies and Training

RTA is currently reviewing and updating its comprehensive safety training curriculum for all positions and functions. Training requirements that will be included in this comprehensive safety training program for <u>operations and maintenance positions</u> (at a minimum) will encompass:

1. Departmental and functional area responsibilities for training
2. Departments/areas/sections providing training, including all on-the-job training and technical training programs for supervisors
3. Specialized internal safety-related training programs [industrial safety, respirators, Blood-borne Pathogens (BBP), Roadway Worker Protection (RWP), SMS, investigation, emergency action plans, etc.] Note: RWP training is required that, in the course of their duties, may reasonably have to access or perform work in/along the RTA portion of the City of New Orleans right-of-way ("trackway"). Initial training is delivered in-person by Safety Department staff. Refresher training is required every three years thereafter for employees and every year for contractors.
4. Vendor-provided training programs controlled by RTA
5. Required initial training by department, area, and position
6. Technical training and professional development coursework
7. Continuing safety education and training, to include any required re-certification training by department, area, and position
8. Contractor training requirements
9. Training records creation, access, and maintenance
10. Certifications
11. Training Quality Assurance Program
12. Train-the-trainer programs
13. Student feedback and assessments
14. Trainer feedback and assessments
15. Incident management/ Incident Command System (ICS) training
16. Crisis awareness and de-escalation training.

Instruction in safe methods of operations and safety procedures is included in rulebooks, manuals, handbooks, and other documentation developed for the training and qualification of safety-critical personnel, maintained by the department in consultation with HCWD. Training consists of classroom training, field training, on-the-job training, and testing/evaluation.

Pursuant to statutory requirements from the Bipartisan Infrastructure Law, the

comprehensive safety training that operations and maintenance personnel receive must include de-escalation training. Under the direction of the CSSEM, Security and Transit Police staff deliver crisis awareness and de-escalation training for front-line operations and maintenance personnel and also incorporate de-escalation training into quarterly safety meetings hosted by the Safety Department.

The Manager of Operations Training and the Chief of Human Capital and Workforce Development (or designee) are jointlyresponsible for providing new and revised safety training programs to the CSSEM for review. Presently, one (1) maintenance training instructor also reports directly to the Director of Bus Maintenance and provides on-the-job training exclusively for new-hire and existing personnel in Bus and Rail Maintenance areas.

Key SMS personnel designated with direct responsibility for rail fixed guideway safety oversight are required to meet the training requirements codified in 49 CFR Part 672 to include the completion of refresher training every two years.

As of the adoption of this revision of the ASP, the key SMS personnel are:
- CSSEM
- All Safety Department and Emergency Management Department staff.

The CSSEM has directed these positions to take refresher training every two years, which consists of, at a minimum:
- "SMS Awareness" online course through TSI – one hour; and
- Any external or vendor-provided safety- or security-related course.

The combined refresher training coursework must include, at minimum, one hour of safety oversight training per FTA guidance[9].

Each designated "key SMS" position is responsible for applying for and maintaining their individual certification with FTA and for providing documentation to the HCWD Department for recordkeeping in Neogov.

Physical Security staff are required to obtain the Transportation Safety and Security Program (TSSP) certificate from U.S. DOT in either bus or rail by June 30, 2026 or within three years of hire.

Optionally, all other personnel with SMS responsibilities in accordance with this ASP are encouraged, but not required, to obtain the TSSP certificate in either bus, rail, or both. There is no timeframe for achieving this certification and employees are responsible for sending documentation to the HCWD Department for recordkeeping in Neogov.

RTA does not consider any contractors to be "key SMS personnel". Contractor

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[9] https://www.transit.dot.gov/regulations-and-programs/safety/ptsctp-refresher-training-overview-fact-sheet

employees are welcome to pursue and maintain PTSCTP and/or TSSP certification on their own.

(Also see 1.2.3 Key SMS Personnel with Direct Responsibility for Rail Fixed Guideway Safety Oversight)

A one-hour introductory course on SMS ("SMS 101") is delivered by Safety Department staff to all new employees during new-hire orientation. A computer-based refresher course for "SMS 101" is currently under development.

As of 2023, all directors and above (directors and chiefs) must self-enroll in and complete the TSI course entitled "SMS Awareness" which is available online via TSI's e-learning portal[10]. This must be completed within one year of being hired or promoted into the position. The certificate must be provided to Human Capital and Workforce Development (HCWD) for recordkeeping in the Neogov Learning Management System.

Additionally, all employees must take mandatory incident management/ Incident Command System (ICS) training through the Federal Emergency Management Agency's (FEMA) online Emergency Management Institute, as follows:
- All employees must successfully pass IS-100 – Introduction to Incident Command System (Alternatively, the internal City-Assisted Evacuation Plan (CAEP) and IS-100 familiarization training is an acceptable substitute for this requirement.)
- Designated Incident Management Team positions must successfully pass:
    o IS-200 – Basic Incident Command System for Initial Response
    o IS-700 – An Introduction to the National Incident Management System
    o IS-800 – National Response Framework, An Introduction.

Other introductory SMS, safety, security, and emergency management presentations and workshops are available upon request and have been delivered to senior leadership team members and individual departments. The Safety, Security, and Emergency Management Departments develop and adapt their training to cover the following topics as needed:

- SMS responsibilities and accountabilities specific to each department or function
- Employee Safety Reporting Program
- SMS documentation and recordkeeping requirements
- Hazard identification
- CAP management process
- How to assist the Safety Department with Safety Promotion efforts as outlined in this ASP section
- Emergency management roles and responsibilities under the All Hazards Plan

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[10] https://tsi-dot.csod.com/client/tsi-dot/default.aspx

- System security policies and procedures
- Crisis awareness and de-escalation.

4.2 Safety Communications

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
5. Provide feedback on employee-reported hazards and safety concerns.

The primary safety communication responsibility of the ELT at RTA, under the requirements of 673.23(c), is to actively and personally communicate the Safety Management Policy to all employees and contractors. Any changes to the Safety Management Policy must be approved and distributed to all employees. All approved policies are shared on the RTA Intranet, Policies folder, as well as through ADP. All employees are required to review and "acknowledge" all company policies in ADP. Additional tools for disseminating future revisions and for maintaining document control are under review.

Methods of communicating safety information to RTA employees include face-to-face meetings and interactions, sending agency-wide emails, posting and/or distribution of bulletins, department notices, and memoranda, sending electronic messages via the Computer-Aided Dispatch (CAD) system "Clever Devices", and through a quarterly Safety Department newsletter. Posted information can be found at a central location in each department easily accessible to employees. The Safety Ambassador program is also intended to support Safety Promotion and foster two-way communication about safety initiatives and topics.

RTA's comprehensive employee safety promotion program includes the following elements:

- Facility/location safety inspections and audits with written reports and follow-up responses to employees as appropriate;
- Periodic employee awareness training;
- Periodic safety blitz or "stand-down" events;
- Quarterly safety meetings, typically administered by the Safety Department in cooperation with other departments;
- Mandatory crisis awareness and de-escalation training for operations and maintenance personnel;
- Employee safety, security, and emergency management training programs delivered by the corresponding department under the direction of the CSSEM;
- SMS training and workshops hosted by the Safety Department by request;

- Safety posters, and posting of reports, information, statistics, data, notices, bulletins, awareness campaigns, flyers, health services, employee assistance programs and other safety information in employee work areas;
- Annual worker right-to-know programs and industrial safety training; and
- Periodic insurance carrier/broker assessments.

4.2.1 Safety Committees

The executive-level safety committee at RTA is the SMS Steering Committee, the primary group responsible to provide guidance and direction to the agency and to the Accountable Executive on acceptable and unacceptable risk, resource allocation, the status of SMS implementation for each of their areas of control and the promulgation of safety policy and SMS agency-wide.

Pursuant to FTA requirements announced in a February 2022 "Dear Colleague" letter stemming from the Bipartisan Infrastructure Law, RTA created the LMSC as a joint advisory group with specific goals and objectives that were established by the law.

The LMSC as established in SAF5 complies with statutory requirements in Title 49 U.S.C. § 5329(d) as amended by the Bipartisan Infrastructure Law, specifically subsections (1)(A) and (5)(A).

The roles, responsibilities, and basic procedures for both the SMS Steering Committee and LMSC are contained in the Board-approved policy, SAF5. Of note, the LMSC is explicitly required to approve this ASP prior to it being reviewed and approved by the RTA Board of Commissioners.

DSCs are front-line and mid-level safety committees established to address department-specific safety issues and communicate safety concerns and hazard resolution status. The DSCs establish and foster a close working relationship with employees, unions, and management regarding safety issues.

The CSSEM employs a Director-led Configuration Management Committee (CMC). This committee, which operates as an SMS Subcommittee under SAF5 and reports to the CSSEM, is responsible for reviewing Change Request Forms submitted by various RTA Project Managers.

Other safety-focused committees that generally meet on an as-needed basis are described further in SAF5.

4.2.2 Hazardous Materials

All maintenance and support personnel who are required to use chemicals and hazardous or toxic substances are trained in the safe use of such substances. Employees who move to new positions are provided training in the use of any new chemicals that they may be assigned to use by the supervisor.

RTA is responsible for developing procedures that ensure compliance with the hazardous materials standards by all RTA employees and implementing the SA process for hazardous materials.

The chemical, hazardous material and GHS Safety Data Sheet (SDS) review process is incorporated into Maintenance Department procedures and training. All chemicals and hazardous materials used by RTA employees or in the RTA operating system shall be evaluated and approved by the CSSEM or his/her designee prior to use or testing of the product in accordance with the SOP.

The end user must ensure that the CSSEM has reviewed and provided written approval of the requested chemicals prior to procurement, including procurement utilizing blanket orders, petty cash, purchase cards, construction specifications or equipment specifications. Substitutes for chemical products and hazardous materials shall have prior CSSEM approval.

All users of any approved product must read the Evaluation/SDS Approval prior to using the product and follow all instructions and precautions. The CSSEM or his/her staff may conduct site visits where chemicals are being used to ensure that workers are aware of the hazards and that they are using the proper PPE.

4.2.3 Drug and Alcohol Compliance

RTA has developed a Drug & Alcohol Free Workplace Policy (HC23) to ensure a safe environment for the public and RTA employees.

The Designated Employee Representative (DER; reports to the Chief HCWD Officer) has primary responsibility for administering a Drug & Alcohol Testing Program in accordance with 49 CFR Part 40, Procedures for Transportation Workplace Drug and Alcohol Testing Programs and 49 CFR Part 655: Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations. HC23 establishes procedures for the Drug and Alcohol Testing Program, which is administered by the DER, in close coordination with Operations, Maintenance, and Safety Departments. The appendix section of HC23 includes both a list of DOT safety-sensitive positions under the current organizational structure, as well as a list of non-DOT ("RTA") safety-sensitive position for which testing is conducted under RTA's authority.

APPENDICES FOLLOW

APPENDIX A: 2024 SAFETY PERFORMANCE TARGETS

The updated Safety Performance Targets (SPTs) are as follows. Total amounts are targeted by calendar year.

Streetcar

Fatalities (total)	Fatalities (rate per 100k VRM)	Injuries*^ (total)	Injuries (rate per 100k VRM)	Safety Events*+ (total)	Safety Events (rate per 100k VRM)	Mean Distance Between Major Mechanical Failure
0	0.00	10	1.28	58	7.43	20,000

* As defined in the NTD Safety & Security Policy Manual, dated January 2020[11]
^ Includes major and non-major reportable events but excludes injuries related to assaults or other crimes (security events)
+ Includes major safety events only
Determinations of accident/incident preventability have no bearing on any SPTs per FTA guidance.

As comparison, the current internal benchmark for <u>preventable</u> accidents is 2.3 per 100,000 VRM.

Fixed-Route Bus

Fatalities (total)	Fatalities (rate per 100k VRM)	Injuries*^ (total)	Injuries (rate per 100k VRM)	Safety Events*+ (total)	Safety Events (rate per 100k VRM)	Mean Distance Between Major Mechanical Failure
0	0.00	30	0.52	30	0.52	8,000

* As defined in the NTD Safety & Security Policy Manual, dated January 2020
^ Includes major and non-major reportable events but excludes injuries related to assaults or other crimes (security events)
+ Includes major safety events only
Determinations of accident/incident preventability have no bearing on any SPTs per FTA guidance.

As comparison, the current internal benchmark for <u>preventable</u> accidents is 1.5 per 100,000 VRM.

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[11] NTD Safety and Security Policy Manual (https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/ntd/146986/2020-ntd-safety-and-security-policy-manual.pdf)

Non-Fixed-Route Bus (Paratransit)

Fatalities (total)	Fatalities (rate per 100k VRM)	Injuries*^ (total)	Injuries (rate per 100k VRM)	Safety Events*+ (total)	Safety Events (rate per 100k VRM)	Mean Distance Between Major Mechanical Failure
0	0.00	6	0.58	8	0.77	20,000

* As defined in the NTD Safety & Security Policy Manual, dated January 2020
^ Includes major and non-major reportable events but excludes injuries related to assaults or other crimes (security events)
+ Includes major safety events only
Determinations of accident/incident preventability have no bearing on any SPTs per FTA guidance.

As comparison, the current internal benchmark for <u>preventable</u> accidents is 1.5 per 100,000 VRM.

General Notes

For the purposes of establishing SPTs, safety events involving non-revenue vehicles are not included as they are not reported to NTD. Safety events involving RTA maintenance employees operating revenue service vehicles *are* included for their respective mode.

RTA's Safety and Security reporting for the previous three (3) years under NTD's Safety and Security Major and Non-Major criteria was accessed and reviewed in support of establishing SPTs. Due to differences in the reporting thresholds, the safety events reflected here are not necessarily the same as the streetcar safety events reported to LADOTD in accordance with 49 CFR Part 674.

All VRMs by mode are calculated using the most recent available year's actual, confirmed mileage data as shown in the NTD Agency Profile (NTD ID # 60032). The below VRMs are used for all mileage-based targets and were reported to NTD for report year 2022:

- ## Streetcar – 785,606
- ## Fixed-Route Bus – 6,261,592
- ## Non-Fixed-Route Bus – 1,216,836

SPTs are formally made available to the agency's Metropolitan Planning Organization (MPO), the Regional Planning Commission (RPC), per the requirements of 49 CFR Part 673.15(a), and to LADOTD annually for review and comment prior to finalizing the ASP. Refer to the Agency Safety Plan Revision SOP #004-002.

Notes on FTA's Definitions Used in this Section

(per PTASP Technical Assistance Center "TAC" website --
https://www.transit.dot.gov/PTASP-TAC):

FTA's guidance on SPTs indicates that transit modes fall into one of three categories: rail modes, fixed-route bus modes, and non-fixed route bus modes. RTA's SPTs are established for these modes, accordingly. The safety performance of passenger ferry services is not measured against any SPTs that are pertinent to this ASP.

For injuries, FTA uses the definition established by the NTD, which is "any damage or harm to persons as a result of an event that requires immediate medical attention away from the scene." For the injury performance measure, FTA uses all injuries reported on both the NTD S&S-40 (major) and S&S-50 (non-major) forms but excludes injuries related to assaults or crimes (security events). This means a transit agency may have to report a crime-related injury to the NTD, but it would exclude that injury from its injury performance measures.[12]

For safety events, FTA uses all safety events that meet an NTD *major event* reporting threshold (events reported on the S&S-40 form, however excluding major security events). The NTD defines a safety event as a collision, derailment, fire, hazardous material spill, act of nature (Act of God), evacuation, or other safety occurrence not otherwise classified occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle and meeting established NTD thresholds.

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[12] See FTA Safety Performance Targets Fact Sheet
(https://www.transit.dot.gov/sites/fta.dot.gov/files/2020-08/SafetyPerformanceTargetFactSheet_20200814.pdf)
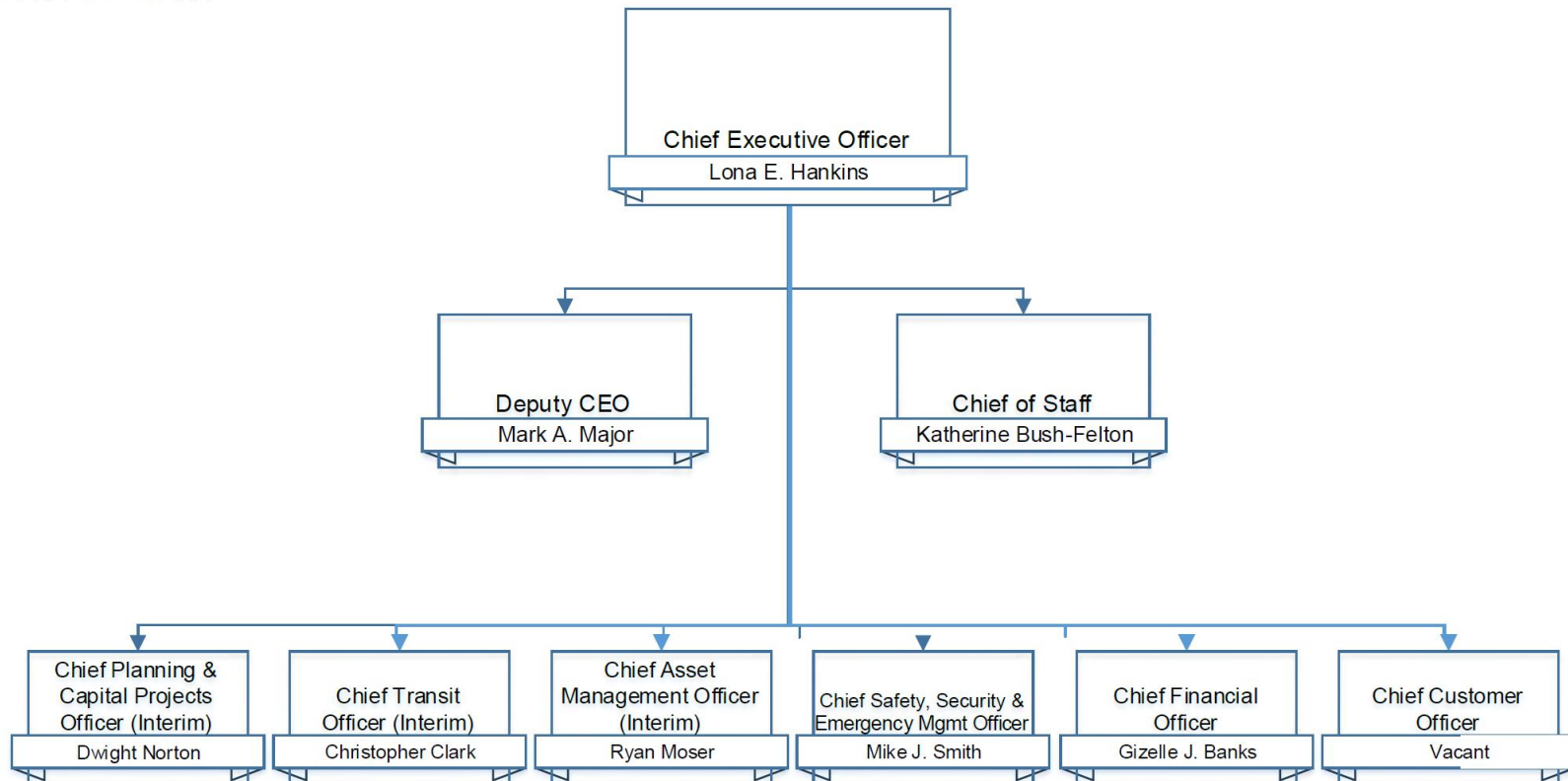
APPENDIX B: ORGANIZATIONAL CHART

Source: Interim Organizational Chart, 9/21/23

Notes: Chief HCWD Officer's functions are temporarily assigned to Deputy CEO and CFO.
Sarah McLaughlin Porteous is the Chief of External Affairs (replaced Chef Customer Officer).
Ryan Moser is the Chief Asset Management Officer.

RTA Regional Transit Authority

Office of the CEO
Executive Leadership Team

Chief Executive Officer
Lona E. Hankins

Deputy CEO
Mark A. Major

Chief of Staff
Katherine Bush-Felton

Chief Planning & Capital Projects Officer (Interim)
Dwight Norton

Chief Transit Officer (Interim)
Christopher Clark

Chief Asset Management Officer (Interim)
Ryan Moser

Chief Safety, Security & Emergency Mgmt Officer
Mike J. Smith

Chief Financial Officer
Gizelle J. Banks

Chief Customer Officer
Vacant

APPENDIX C: DEFINITIONS/ACRONYMS

Definitions

The following definitions used in this document are consistent with 49 CFR Parts 625, 630, 670, 673, and 674. The source of each is noted in brackets, including the "SMS Glossary of Terms: FTA's Guide to Relevant Terms for SMS Development" of September 2016 shown as "[SMS]".

Accident – an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision involving an RTA vehicle; a runaway RTA vehicle; an evacuation for life safety reasons; or any derailment of an RTA vehicle [673] at any location, at any time, whatever the cause. [SMS]
An *accident* must be reported in accordance with the thresholds for notification and reporting set forth in Appendix A to Part 674. [674]

Accountable Executive – a single, identifiable person who has ultimate responsibility and accountability for the implementation and maintenance of the SMS of RTA; responsibility for carrying out the Safety Plan and Transit Asset Management Plan (TAMP); and control or direction over the human and capital resources needed to develop and maintain both the Safety Plan in accordance with 49 USC § 5329 and TAMP.

Administrator -- the Federal Transit Administrator or the Administrator's designee. [670, 674]

Advisory -- a notice from FTA to recipients regarding an existing or potential hazard or risk in public transportation that recommends recipients take a particular action to mitigate the hazard or risk. [670]

Agency Safety Plan (ASP) – a document adopted by a Rail Fixed Guideway System, including RTA, detailing its safety policies, objectives, responsibilities, and procedures.

Audit -- an examination of records and related materials, including, but not limited to, those related to financial accounts. [670]

BTW -- Behind-The-Wheel, a type of required Operator training.

Capital asset -- a unit of rolling stock, a facility, a unit of equipment, or an element of infrastructure used in public transportation. [625]

CEO -- Chief Executive Officer of the Regional Transit Authority.

CFO -- Chief Financial Officer of the Regional Transit Authority.

Chief Safety, Security, and Emergency Management Officer (CSSEM) – an adequately trained individual who has responsibility for safety and reports directly to an RTA chief executive officer, president, or equivalent officer. [673]

CM -- Construction Manager of the Regional Transit Authority.

CMC – Configuration Management Committee, a Subcommittee of the SMS Steering Committee

Consequence -- the potential outcome(s) of a hazard. [SMS]

Continuous Improvement -- a process by which a transit agency examines safety performance to identify safety deficiencies and carry out a plan to address the identified safety deficiencies. [SMS]

Contractor -- an entity that performs tasks on behalf of RTA, FTA, a State Safety

Oversight Agency, or other rail transit agency, through contract or other agreement [674], including tasks required for rail compliance.

For example, contractors could handle any portion of a major construction infrastructure project, handle daily switch inspections, or monthly substation maintenance. A contractor is a third party hired by the agency to fulfill a rail compliance need. The rail transit agency may not be a contractor for the oversight agency.

CTO –Chief Transit Officer (formerly Chief Operating Officer)

Corrective Action Plan (CAP) -- a plan developed by RTA (as a recipient and rail transit agency) that describes the actions that RTA will take to minimize, mitigate, correct, or eliminate risks and hazards, and the schedule for taking those actions. Either a State Safety Oversight Agency or FTA may require RTA to develop and carry out a corrective action plan. [670, 674, SMS]

DBE -- Disadvantaged Business Enterprise.

Directive -- a formal written communication from FTA to one or more recipients which orders a recipient to take specific actions to ensure the safety of a public transportation system. [670]

EEO -- Equal Employment Opportunity.

Equivalent Authority – The Board of Commissioners of the New Orleans RTA is an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve the Safety Plan. [673, SMS]

Event – any Accident, Incident, or Occurrence. [673, 674, SMS]

FTA – the Federal Transit Administration (FTA) is an operating administration/agency within the United States Department of Transportation (USDOT). [670, 673, 674]

FMLA -- Family Medical Leave Act

FRA – the Federal Railroad Administration (FRA), an agency of the United States Department of Transportation (USDOT). [674]

Grade Crossing (as defined in the National Transit Database glossary) an intersection of roadways, railroad tracks, or dedicated transit rail tracks that run across mixed traffic situations with motor vehicles, streetcar, light rail, commuter rail, heavy rail or pedestrian traffic; either in mixed traffic or semi-exclusive situations.

Hazard – any real or potential condition that can cause injury, illness, or death; damage to or loss of a facility, equipment, rolling stock, infrastructure, property, system RTA; or damage to the local environment, or reduction of ability to perform prescribed function. [673, 674, SMS]

Hazard Analysis -- the formal activities to analyze potential consequences of hazards during operations related to provision of services. [SMS]

Hazard Identification -- formal activities to analyze potential consequences of hazards during operations related to provision of service. [SMS]

Incident – an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of RTA. [673, 674, SMS]

An incident must be reported to FTA's National Transit Database in accordance with the thresholds for reporting set forth in Appendix A to Part 674. If a rail transit agency or State Safety Oversight Agency later determines that an Incident meets the definition of *Accident* in this section, that event must be reported to the SSOA in accordance with the thresholds for notification and reporting set forth in Appendix A to Part 674. [674]

RTA has also defined Incident as an unexpected event, including security-related incidents, involving RTA passengers or employees that is not related to an accident. Incidents of significant magnitude must be reported to state and/or federal authorities. See Accident Reporting Threshold for a list of reportable incidents.

Investigation – the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk [673, 674, SMS] or investigation of an event [670].

Labor-Management Safety Committee (LMSC) – Established by SAF5, consists of a voting roster of 6 designated managers/directors and 6 representatives from the two main labor unions at RTA.

Lagging Indicators -- provide evidence, through monitoring, that intended safety management outcomes have failed or have not been achieved. [SMS]

Leading Indicators -- provide evidence, through monitoring, that key safety management actions are undertaken as planned. [SMS]

Management of Change -- a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. If a transit agency determines that a change may impact its safety performance, then the transit agency must evaluate the proposed change through its Safety Risk Management process. [SMS]

Near miss -- a safety event where conditions with potential to generate an accident, incident, or occurrence existed, but where an accident, incident, or occurrence did not occur because the conditions were contained by chance or by existing safety risk mitigations. [SMS]

LADOTD -- the "State of Louisiana Department of Transportation and Development" which is the designated State Safety Oversight Agency for rail fixed guideway systems in the State of Louisiana.

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 [673, 674] or authorized at 49 U.S.C. § 5329. [670]

NTSB -- the National Transportation Safety Board, an independent Federal agency. [674]

OCC -- Operations Control Center, also known as "Dispatch"

Occurrence – an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of RTA. [673, 674, SMS]

Organizational Accident -- an accident that has multiple causes involving many people operating at different levels of the respective agency. [SMS]

OCS – Overhead Catenary System.

Performance measure -- a parameter that is used to assess performance outcomes. [625]

Performance target – a specific level of performance for a given performance measure over a specified timeframe. [625, 673]

PHA -- Preliminary Hazard Analysis

PPE – Personal Protective Equipment

Practical Drift – the slow and inconspicuous, yet steady, uncoupling between written procedures and actual practices during provision of services. [SMS]

Program Standard (SSOPS) is a written document developed and adopted by LADOTD that describes the policies, objectives, responsibilities, and procedures used to provide safety and security oversight of rail transit agencies.

Public Transportation Agency Safety Plan (PTASP) -- the comprehensive agency safety plan for RTA that is required by 49 U.S.C. § 5329 and Part 673 [673], based on a Safety Management System. Until one year after the effective date of FTA's PTASP final rule, a System Safety Program Plan (SSPP) developed pursuant to 49 CFR part 659 may serve as the rail transit agency's safety plan. [674]

Public Transportation Safety Certification Training Program (PTSCTP) -- the certification training program for Federal and State employees or other designated personnel who conduct safety audits and examinations of public transportation systems, and for employees of public transportation agencies directly responsible for safety oversight, established by FTA in accordance with 49 U.S.C. § 5329(c)(2), codified in 49 CFR Part 672. [674, 672]

Public Transportation System -- the entirety of RTA's operations, including the services provided through contractors. [625, SMS]

Rail fixed guideway public transportation system -- any fixed guideway system that uses rail, is operated for public transportation, is within the jurisdiction of a State, and is not subject to the jurisdiction of the Federal Railroad Administration (FRA), or any such system in engineering or construction. Rail fixed guideway public transportation systems include but are not limited to rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway. [674, SMS]

RFP – Request for Proposals

Risk -- the composite of predicted severity and likelihood of the potential effect of a hazard. [674, SMS]

Risk mitigation – a method or methods to eliminate or reduce the effects of hazards. [673, 674, SMS]

ROW -- right-of-way

RTA -- the New Orleans Regional Transit Authority.

Safety – the state in which the potential of harm to persons or property damage during operations related to provision of services is reduced to and maintained at an acceptable level through continuous hazard identification and safety risk management activities. [SMS]

Safety and Security Certification (SSC) -- the process applied to project development to ensure that all practical steps have been taken to optimize the operational safety and security of the project during engineering, design, and

construction before the start of passenger operation.

Safety Assurance – processes within RTA SMS that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that RTA meets or exceeds its safety objectives through the collection, analysis, and assessment of information. [673, SMS]

Safety Deficiency – a condition that is a source of hazards and/or allows the perpetuation of hazards in time. [SMS]

Safety Management Policy – RTA's documented commitment to safety, which defines RTA's safety objectives and the accountabilities and responsibilities of its employees in regard to safety. [673, SMS]

Safety Management System (SMS) – the formal, top-down, RTA-wide approach to managing safety risk and assuring the effectiveness of RTA's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks, hazards [673], and management of safety risk [625, 670, SMS].

Safety Management System Executive -- a Safety Officer or equivalent. [SMS]

Safety Promotion – a combination of training and communication of safety information to support SMS as applied to RTA's system. [673, SMS]

Safety Risk – the assessed probability and severity of the potential consequence(s) of a hazard, using as reference the worst foreseeable, but credible, outcome. [673, SMS]

Safety Risk Management (SRM) – a process within RTA's SMS/Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk. [673, 674, SMS]

Safety Risk Mitigation -- the activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards. [SMS]

Security is defined as freedom from intentional danger for employees and passengers.

Serious injury – any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface. [673, 674]

SIS -- the Service, Inspection, and Storage building for the RTA Canal Street and Riverfront streetcars located at the A. Philip Randolph Facility at 2817 Canal Street.

SMS Executive – a Safety Officer or an equivalent. [673]

SMS Steering Committee (SMSSC) – executive-level safety committee established by SAF5

SRM – Safety Risk Management (see above).

SSCP -- Safety and Security Certification Plan

SSCRC -- Safety and Security Certification Review Committee

State Safety Oversight Agency (SSOA; SSO) – an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. § 5329(e) and the regulations set forth in 49 CFR part 674 [670, 673, 674,

SMS].

TPA -- Third Party Administrator

Transit asset management (TAM) -- 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 cycle in order to provide safe, cost-effective, and reliable service. [625]

USDOT – United States Department of Transportation.

APPENDIX D: LIST OF SAFETY POLICIES AND STANDARD OPERATING PROCEDURES

This ASP references the following, related Organizational Policies and Standard Operating Procedures. Contact the Safety Department to obtain copies or for additional information.

ID	Title	Revision Date
004-100	Procedure for Performing Internal Safety Management Audits (ISMA)	11/9/23
004-002	Agency Safety Plan Revision	10/7/22
004-005	Accident/Incident Investigation (revision in progress)	6/15/20
004-006	Safety Assurance of Safety Critical Areas	10/20/20
004-007	On-Call Safety Representative Procedures	10/5/21
004-008	First Aid Cabinets	3/24/22
004-009	Working in Hot Weather	3/24/22
004-010	Management of Change Procedure	TBD
004-011	Right of Way Permit Procedure	In Dev.
HC23	RTA Drug and Alcohol Free Workplace Policy	2/23/21
SAF2	RTA Distracted Driving Policy	2/23/21
SAF3	RTA Safety Management Policy	6/28/22
SAF4	RTA General Accident and Injury Policy	2/23/21
SAF5	RTA Safety Committee Structure	6/28/22
SAF6	RTA Personal Protective Equipment Policy	8/24/21
	Safety and Security Certification Plan	TBD
	RTA All Hazards Plan	8/17/22
	RTA Exercise Plan	10/28/22
	RTA Employee Safety and Health Handbook	10/16/23
	RTA Emergency Preparedness and Response Guide	In Dev.

New Orleans Regional Transit Authority

Multi-Year Strategic Plan
for
Safety Management System Implementation

2020 – 2025
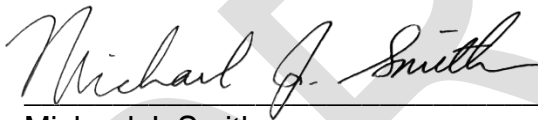
Updated: December 19, 2023

Policy Statement for Safety Management System Implementation

RTA is committed to improving the quality and effectiveness of its system-wide safety management programs aimed at reducing safety risk and eliminating or controlling hazards. This Safety Management System (SMS) Implementation Plan (or SIP) identifies several interrelated tasks that will help RTA achieve its safety objectives, which are outlined in Safety Management Policy (SAF3). The SMS methods and tools that we will use to carry out these tasks, and detailed descriptions of the key roles throughout the agency for accomplishing this important work, are contained in RTA's Agency Safety Plan (ASP).

The goal of the SIP is to identify, coordinate, and direct activities relative to the implementation of RTA's SMS on a system-wide basis under all applicable FTA requirements. The SIP provides key performance objectives and milestones that are instrumental in implementing SMS and have been tracked since its adoption at RTA in 2020.

Very intentionally, the SIP is designed to be reviewed and updated annually, along with the companion ASP and other SMS documents. In close coordination with the executive leadership team, the Safety Department will leverage these reviews to ensure we are on the right path toward achieving a mature SMS.

Together, we will build, implement, and sustain a fully functioning SMS that will drive positive safety improvements and help position us to become a world-class transit system.

Michael J. Smith
Chief Safety, Security, and Emergency Management Officer
SMS Executive

Implementation Plan (Updated)

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
SMS Documentation	Perform a document audit to establish all current documented procedures and identify gaps.	Office of Internal Audit & Compliance is developing an SOP catalogue. RTA will issue an RFP for external support Fall 2023.	Ensure that all departments have procedures and the necessary resources to support: hazard identification, risk assessment, tracking corrective actions to closure, and monitoring of mitigations (SA), including the use of appropriate tracking logs/risk registers.	Office of Internal Audit & Compliance is developing an SOP catalogue. RTA will issue an RFP for external support Fall 2023.
	RTA Policy Manual is currently in development.	Complete	Review and revise all documentation annually, including the emergency preparedness plan, rulebooks, SOPs, safety policy statement, safety performance targets, SIP, and all other documentation supporting the ASP/SMS.	Complete for Safety documentation. All rules, SOPs, and other documents will be reviewed annually.
			Ensure that all customer concerns are captured from: public meetings; customer calls and electronic communications; and	Hazard Report form And Vorex helpdesk have been implemented.

Page **69** of **76**

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Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
			face-to-face interactions with RTA employees.	
			Safety Department ensures this information is captured in logs/registers and elevates to ESSC or Executive-level management, as appropriate.	Complete
Safety Committee Structure	Re-establish the ESSC under a revised SOP/Charter to focus on SMS objectives, priority accidents/hazards, and other business based on safety criticality.	Complete	Ensure that all departments appropriately elevate identified hazards and safety concerns to the ESSC's attention, in consultation with the Safety Department.	DSCs trained on escalation procedures. SMS 101 training roll-out is supporting. Safety Ambassador training in development.
	Establish a new hierarchy and reporting structure between the ESSC and Departmental Safety Committees (DSCs).	Complete	Well-managed DSCs will ensure two-way communication related to hazards, safety concerns, and safety programs, and will encourage participation in SRM and SA processes.	Work continues to promote/elevate DSCs and Safety Ambassador program.
	Educate the ESSC on the current Safety Management Policy Statement and their roles and responsibilities	Complete	Task the Safety Department with providing technical assistance to DSCs as necessary to ensure	Complete

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
	related to key safety objectives.		effectiveness.	
	Incorporate safety objectives into meeting agenda.	Complete		
	Invite ATU Local 1560 to DSCs as appropriate.	Complete; Note: Also new LMSC has since been created.		
	Provide baseline SMS training to DSCs.	CBT version of SMS 101 course currently in development. Safety Ambassador program currently in development.		
Safety Assurance Activities	Establish Management of Change process including roles and responsibilities for all departments and elevation to the ESSC as necessary.	Complete; See SAF5 and MoC Procedure.	Establish process whereby Safety Department leads SA activities and concerns are elevated to the ESSC as necessary.	Complete
	Finalize and document in the M of C process, all major changes that must be assessed through SRM:…	Complete	Distribute SA findings through the Safety Committees and other means.	Complete
	Prepare a document map to ensure that all changes in the organization are reflected in all critical documentation.	Complete	Ensure that all corrective actions for ineffective mitigations identified through the SA process are fully documented.	Complete

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
	Develop and implement training on the new A/I Investigation procedure as appropriate.	Draft A/I SOP is currently near completion. RTA hosted Fundamentals in Bus Collision Investigation course in 2023.		
Employee Safety Reporting Program	Implement the program as described in the ASP. Provide regular updates to the Executive-level management and the ESSC.	Complete		
	Revise and finalize an official hazard-/unsafe behavior-reporting form.	Complete		
	Re-establish a safety hotline (pending staffing plan and transition to in-house O&M responsibilities). Set up email "hotline" option in the interim.	Complete		
	Establish Safety Department protocols for managing the safety hotline.	Complete		
	When ready to launch, initiate robust training on the employee safety reporting program.	Complete		

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
	Develop a centralized system where all hazards and safety concerns can be placed for Safety Department analysis and to aid communication efforts.	Vorex Helpdesk application is live; Currently developing protocols whereby other teams/departments send in local-identified hazards or concerns for tracking.		
Communication of Safety Information	Ensure that all hazard identification, assessment, and mitigation activities are led by the Safety Department and are properly documented, tracked and shared, through Safety Committees, newsletters, bulletins, and other means.	Complete		
Training	Centralize management of training; use a matrix for monitoring compliance with program requirements.	Completed in 2023, however needs to be revised due to more recent CAPs and findings	The training policy needs to include safety-related training for all employees and contractors. The Safety Department will monitor each department's compliance with stated training requirements.	New training policies established in Operations and Maintenance. Safety is providing technical assistance.

Topic	Short Term (12 months or less)	Current Status	Medium Term (13 to 36 months)	Current Status
	Develop Training Plan (to be maintained by the CSSEM and provided to SSO/FTA by request).	Complete; CSSEM maintains the PTSCTP training plan for Key SMS personnel.	The training policy needs to include specific requirements and monitoring activities for contractor safety training.	Team is working on incorporating training requirements in Safety's review of upcoming procurements, focusing on long-term contracts and capital projects.
	Establish 3-year plan for engaging external training providers, including TSI, NSC, and others.	See above re: TSI. CSSEM is requesting additional courses. A 3-year plan is under development.	Develop and provide biennial refresher training after completion of initial requirements per 49 CFR Part 672, which must require one hour of safety oversight training.	Complete
Miscellaneous	Participate in ferry operator-led safety meetings; hold joint meetings	Complete	Ensure that exercises (e.g., full-scale, tabletop) are held annually, both internally and with external agencies.	Complete
	Drug & Alcohol Program is in development and will be aligned with organizational structure changes, effective October 1, 2020.	Complete	Integrate ferry operations into RTA's SMS.	Not applicable

APPENDIX F: REQUIRED APPROVALS

The LMSC, comprised of 50% labor and 50% RTA management, pursuant to the statutory requirements in Title 49 U.S.C. § 5329(d) as amended by the Bipartisan Infrastructure Law, subsections (1)(A) and (5)(A), reviewed, and considered the approval of, the draft ASP during its regular, quarterly meeting on **December 6, 2023**. Below is a summary table of the final approval vote via Microsoft SharePoint Forms. All Committee proceedings were conducted in accordance with RTA Safety Committee Policy (SAF5).

The ASP was approved by the LMSC by simple majority.

ID	Start time	Completion time	Please enter your name (First Last):	Are you representing Labor or Management?	LMSC Member	Do you approve the draft ASP as presented?
16	12/5/23 23:49:53	12/5/23 23:51:44	Darius I Hollins	Labor	Yes	Approve
17	12/6/23 13:04:30	12/6/23 13:05:46	Tonya Ellis	Management	Yes	Approve
18	12/6/23 13:54:56	12/6/23 14:02:18	Dwight Norton	Management	No	Approve
19	12/7/23 6:30:33	12/7/23 6:31:26	Robert Clapp	Labor	Yes	Approve
20	12/7/23 13:41:05	12/7/23 13:41:40	Kentrella Crawford	Management	Yes	Approve
21	12/8/23 11:47:37	12/8/23 11:47:53	Darian	Labor	Yes	Approve
22	12/8/23 12:21:59	12/8/23 12:22:09	Ryan Moser	Management	No	Approve
23	12/11/23 7:26:43	12/11/23 7:27:06	Keith Stevens	Labor	Yes	Approve
24	12/19/23 16:24:15	12/19/23 16:24:46	Floyd Bailey jr	Management	Yes	Approve

PLACEHOLDER FOR BOARD RESOLUTION

RESOLUTION NO.   __23-217__

STATE OF LOUISIANA

PARISH OF ORLEANS

APPROVAL OF THE 2024 RTA AGENCY SAFETY PLAN

Introduced by Commissioner _____, seconded by Commissioner _____.

WHEREAS, the Board of Commissioners of the Regional Transit Authority (RTA) previously approved an update to its existing Agency Safety Plan (ASP) on December 13, 2022.

WHEREAS, the Public Transportation Agency Safety Plan (PTASP) final rule (49 Code of Federal Regulations ["CFR"] Part 673) requires operators of public transportation systems that are recipients of Federal Transit Administration (FTA) funds, such as RTA, to develop and implement a compliant Public Transportation Agency Safety Plan; and

WHEREAS, 49 CFR Part 673 requires that subsequent updates to the ASP be signed by the agency's Accountable Executive and approved by the agency's Board of Directors, or equivalent authority; and

WHEREAS, the Louisiana Department of Transportation and Development (LADOTD) is designated by the State of Louisiana and certified by FTA to conduct safety oversight of RTA, under 49 CFR Part 674; and

WHEREAS, the LADOTD reviewed and tentatively approved the update to the ASP via e-mail on December 19, 2023; and

WHEREAS, the updated ASP meets or exceeds all FTA requirements for such plans and incorporates the progress the agency has made toward the implementation of a viable Safety Management System (SMS) which is required by FTA; and

WHEREAS, this revision for Calendar Year 2024 includes continued enhancements to multiple sections, addresses changes to statutory safety plan requirements, and includes RTA organizational structure changes; and

WHEREAS, the updated ASP was jointly reviewed and developed by staff as part of its continued effort to promote and advance the RTA safety program.

NOW, THEREFORE, BE IT RESOLVED by the Board of Commissioners of the RTA that the 2024 RTA Agency Safety Plan, as revised and recommended by staff, is hereby approved.

THE FOREGOING WAS READ IN FULL, THE ROLL WAS CALLED ON THE ADOPTION THEREOF AND RESULTED AS FOLLOWS:

RESOLUTION NO. _23-217__
PAGE THREE

<div align="center">

YEAS:	_____
NAYS:	_____
ABSTAIN:	_____
ABSENT:	_____

</div>

AND THE RESOLUTION WAS ADOPTED ON THE <u>11th DAY OF JANUARY, 2024</u>.

_____

<div align="center">

MARK RAYMOND, JR.
CHAIRMAN
RTA BOARD OF COMMISSIONERS

</div>

File #: 23-218   **Board of Commissioners**

[BRC Rescission Resolution]

RESOLUTION NO. _____
STATE OF LOUISIANA
PARISH OF ORLEANS

RESCIND BOARD RESOLUTION 23-060

Introduced by Commissioner_____seconded by Commissioner_____.

WHEREAS the board approved a contract with BRC Construction Group, LLC through RFP 2021-025 to provide all services, materials, supplies, supervision, labor, and equipment for facility maintenance and construction support services; and

WHEREAS the board approved Resolution 23-060 at the board meeting on September 23, 2023; and

NOW, THEREFORE, BE IT RESOLVED by the Board of Commissioners of the Regional Transit Authority that Board Resolution 23-060 is hereby rescinded.

THE FOREGOING WAS READ IN FULL, THE ROLL WAS CALLED ON THE

ADOPTION THEREOF AND RESULTED AS FOLLOWS:

YEAS:

NAYS:

ABSTAIN:

ABSENT:

AND THE RESOLUTION WAS ADOPTED ON THE 21st DAY OF DECEMBER 2023

_____

MARK RAYMOND, JR
CHAIRMAN
BOARD OF COMMISSIONERS

RESOLUTION NO.   __23-060__

STATE OF LOUISIANA

PARISH OF ORLEANS

AUTHORIZE THE CHIEF EXECUTIVE OFFICER TO APPROVE A CHANGE ORDER WITH BRC CONSTRUCTION GROUP FOR ON-CALL FACILITY REPAIR SERVICES

Introduced by Commissioner _____Ewell_____,
seconded by Commissioner_____Neal_____.

WHEREAS, the board previously approved BRC Construction Group, LLC through RFP 2021-025 to provide all services, materials, supplies, supervision, labor, and equipment for facility maintenance and construction support services.; and later approved a change order to facilitate the implementation of New Links and

WHEREAS, BRC operational requirements were outlined through periodic reports and task deliverables for Facilities, Transit Stop, Marina, Safety, and Security that shall be inspected, tested (where applicable), reviewed, and accepted by the RTA.; and

WHEREAS, the cost of this contract amendment will not exceed $550,000.00 for a total contract value of $1,267,596.86 for the amended services and will be charged to the accounts established for Facility and Construction corrective/emergency support services for all the RTA properties and will be funded by local budget/account code number 1284399.7570.125.; and

NOW, THEREFORE, BE IT RESOLVED by the Board of Commissioners of the Regional Transit Authority (RTA) that the Chairman of the Board, or his designee, authorize the CEO to award a contract change order to BRC Construction Group, LLC for facility maintenance and construction support services.

RESOLUTION NO. __23-060_____
Page 2

THE FOREGOING WAS READ IN FULL, THE ROLL WAS CALLED ON THE ADOPTION THEREOF AND RESULTED AS FOLLOWS:

YEAS:	7
NAYS:	0
ABSTAIN:	0
ABSENT:	1

AND THE RESOLUTION WAS ADOPTED ON THE **27TH DAY** OF SEPTEMBER 2023

MARK RAYMOND, JR.
CHAIRMAN
BOARD OF COMMISSIONERS

File #: 24-006   **Board of Commissioners**

[Board Resolution 24-006]

RESOLUTION NO. 24-001
STATE OF LOUISIANA
PARISH OF ORLEANS

AUTHORIZE AN INVESTIGATION INTO
BOARD RESOLUTION 23-060

Introduced by Commissioner _____, seconded by Commissioner _____.

WHEREAS, the board approved a contract with BRC Construction Group, LLC through RFP 2021-025 to provide all services, materials, supplies, supervision, labor, and equipment for facility maintenance and construction support services; and

WHEREAS, the board approved Resolution 23-060 at the board meeting on September 23, 2023; and

WHEREAS, the board rescinded Resolution 23-060 at the board meeting on January 23, 2024; and

WHEREAS, the board has questions regarding Resolution 23-060; and

NOW, THEREFORE, BE IT RESOLVED, that the Board of Commissioners for the Regional Transit hereby authorizes General Counsel, N. Sundiata Haley, to engage the services of Michelle Craig of Transcendent Legal to conduct an investigation into the circumstances resulting in Resolution 23-060,

THE FOREGOING WAS READ IN FULL, THE ROLL WAS CALLED ON THE ADOPTION THEREOF AND RESULTED AS FOLLOWS:

YEAS: _____
NAYS: _____
ABSTAIN: _____
ABSENT: _____

AND THE RESOLUTION WAS ADOPTED ON THE 23rd DAY OF JANUARY, 2024.

_____
MARK RAYMOND, JR.
CHAIRMAN
RTA BOARD OF COMMISSIONERS