

Safety Management

(SAF3)

POLICY STATEMENT

The New Orleans Regional Transit Authority (RTA) was organized with the mission to provide safe, secure, reliable, and effective rail, bus, paratransit, and ferry transportation services to patrons and citizens of the City of New Orleans, Orleans and Jefferson Parishes, and the City of Kenner. Accordingly, safety is a principal concern that impinges on all levels of RTA activities including operations, maintenance, and administrative functions.

PURPOSE

~~To establish and maintain RTA procedures for safe, secure, reliable, and effective rail, bus, paratransit, and ferry transportation services.~~

This policy establishes RTA's commitment to safe rail, bus, paratransit, and ferry transportation services through application of its Safety Management System (SMS) throughout the agency at all levels. Pursuant to federal and state requirements for Public Transportation Agency Safety Plans, this policy defines RTA's safety management roles, responsibilities, and accountabilities for administering and maintaining the SMS and for ensuring agency conformance to its own Agency Safety Plan (ASP).

APPLICATION

All employees and contractors of RTA are required to perform their jobs safely in efforts to mitigate any damaging effects, such as patron or staff injuries, RTA equipment or property loss/damage, or abjection to system safety in any RTA function. RTA employees, contractors, and patrons are vital assets that enable the transit system's success and due to this, their safety is among RTA's top priorities.

This policy applies to all RTA employees. 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 02/23/2021, Resolution 21-007

APPROVED BY:

Alex Z. Wiggins



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Chief Executive Officer

Effective Date: 2/23/2021
Date of Last Review: 2/23/2021

1.0 PROCEDURES GENERAL

The management of safety is a core business function at RTA. It is important for all employees and contractors to understand the significance of safety as it relates to all job functions from all levels of the organization. Identifying and addressing unsafe conditions or risk to the lowest level practicable and the prevention of staff-involved accidents throughout the public transit system is not the sole responsibility of employees and contractors. These responsibilities are also an obligation of RTA's management beginning with the CEO.

1.1 A Safe Reporting Program

RTA **will has** established a safe reporting program as a **feasible** tool for staff to express their safety concerns or report hazards. No disciplinary action will be taken against any employee who conveys a safety concern through RTA's safety reporting program. The only exception to this is when a revelation denotes the following: an illegal act, gross misconduct and/or negligence, or a deliberate or willful disregard of RTA's rules, policies, and procedures.

Combining RTA's safety management philosophy and approach with the Federal Transportation Authority **Transit Administration's** (FTA) and the National Public Transportation Safety Program (**Safety Management System or SMS**) approach, enables the agency to build and maintain a robust safety culture and SMS. Additional details on how the approach is applied to day-to-day safety management at RTA can be found in the **Agency Safety Plan (ASP)**.

RTA will foster programs to encourage the safety of all staff, contractors, and patrons. We are fully committed to providing a safe work environment, safe vehicles, systems, and facilities. To that end, RTA's Chief Safety and **Emergency Management Officer** (CSO) is authorized to administer an all-inclusive, integrated **Agency Safety Plan ASP**.

1.2 RTA's Safety Objectives

To show RTA's commitment to safety; this **plan policy, along with the ASP**, will be communicated to all staff and will be supported by the following objectives:



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1. Support the management of safety through the provision of appropriate resources in order to reduce unacceptable and undesirable safety risk.
2. Achieve an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively and consistently manage safety risk.
3. Integrate the management of safety among the current responsibilities of all departments/ areas and employees.
4. Clearly define accountabilities and responsibilities of the organization's safety performance and the performance of SMS to all Staff.
5. Establish and implement effective hazard identification, analysis and mitigation ~~source for safety information~~ **resources and processes**, in order to eliminate or mitigate the safety risks or the consequences of hazards to an acceptable level.
6. Ensure that no action will be taken against any employee who discloses a safety incident beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
7. Comply with, and wherever possible exceed, legislative and regulatory requirements and standards.
8. Ensure that skilled and trained human resources are available to implement safety management processes.
9. Ensure that all staff are provided with adequate and appropriate safety-related information and training.
10. Ensure that staff are provided the necessary support from management to effectively manage safety in all areas/functions.
11. Establish and measure our safety performance against realistic, achievable and data-driven safety performance indicators and safety performance targets.
12. Continually improve safety performance through safety assurance processes that ensure the effectiveness of current safety management action.
13. Ensure externally supplied systems and services to support our operations are delivered, meeting all requirements of this as soon as possible.

This policy will be visibly communicated through the CEO's direct efforts, that of the executive team, and through all RTA training, programs and procedures.

2.0 PROCEDURE

All RTA departments share responsibilities for implementing and maintaining the SMS as outlined in the ASP and this policy. This policy outlines key, specific duties in support of two SMS components: Safety Risk Management (SRM) and Safety Assurance (SA). The ASP discusses responsibilities in these and other components in greater detail.

The Safety Department provides technical assistance to all departments and ensures their SMS activities conform to standard operating procedures, training, and industry best practices.



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All SRM and SA deliverables must be documented in accordance with ASP, federal, and state requirements pertaining to SMS documentation. Documentation must be provided to the Safety Department upon request.

The RTA Safety Committee Structure Policy (SAF5) and ASP (Safety Promotion section) provide additional information on the key role that RTA safety committees have in guiding, overseeing, reviewing, and implementing safety management functions. If a conflict arises between an individual department's handling of SRM or SA and actions of any Safety Committee, the matter will be forwarded to the CSO who will make a final decision and advise all parties.

2.1 Safety Risk Management

As directed in the ASP, each department must develop and implement processes to: identify existing and foreseeable hazards in their area(s); identify reasonable consequences of those hazards if left unmitigated; analyze those consequences to evaluate the level of safety risk; and establish, prioritize, and implement corresponding mitigations to reduce the level of safety risk to the lowest practicable level.

Each department must continually identify and monitor sources of hazard information in their respective area(s).

In coordination with the Safety Department, each department must support and participate in the Employee Safety Reporting Program (ESRP) pursuant to this policy and as outlined in the ASP.

The ASP and department standard operating procedures outline the steps required for assessing the level of safety risk associated with each hazard, and from that assessment, taking the appropriate action as management.

The SRM section of the ASP defines which safety risk levels (based on probability and severity) require certain, specific action(s) be taken by management. The department management is responsible for conforming to this process and strictly taking only actions that are explicitly outlined in this section. The Safety Department maintains a master log of hazards whose assessed safety risk level meets either the *high* or *medium* thresholds as well as hazards rated lower but requiring follow-up and/or cross-departmental coordination.

If risk needs to be mitigated beyond existing mitigations, or if a hazard is identified that requires corrective action, a mitigation must be developed, implemented, and monitored.



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The CSO will advise whether a formal Corrective Action Plan (CAP) is required to facilitate the necessary actions to mitigate the safety risk to an acceptable level. In such cases, the department management is responsible for the development and implementation of the CAP. The CSO will monitor mitigations and corresponding CAPs to ensure consistency and compliance with the ASP.

2.2 Safety Assurance

As directed in the ASP, each department must conduct routine assessments (“checks” or “SA checks”) of any safety-critical areas and functions for which it is the primary responsible department. The assessments must verify compliance with, and sufficiency of, all safety-critical procedures. The frequency and scope of the assessments are commensurate with the safety-critical nature of the activities or processes, i.e., the level of safety risk.

Department management, in coordination with the Safety Department and State Safety Oversight Agency (if applicable), defines the appropriate mix of methodologies used for SA, including document reviews, comprehensive process audits, and checks “in the field.” Depending on circumstances and/or emerging safety trends or concerns, the CSO may either direct departments to adjust SA scope or frequency of a given activity or process, or conduct a review or audit independent of the department, as necessary.

Department management coordinates with the Safety Department to monitor compliance with, and sufficiency of, safety risk mitigations in their respective area(s). The results of mitigation monitoring must be documented and provided to Safety upon request.

All departments are responsible for developing, implementing, reviewing, monitoring, and reporting the status of any formal CAP in their respective area(s) in close coordination with the Safety Department.

All departments are responsible for ensuring their contractors comply with RTA procedures and rules.

All departments are responsible for their compliance with the General Accident and Injury Policy (SAF4) as well as any and all policies, procedures, and training related to accident/incident notification, reporting, and investigation.

3.0 DEFINITION OF TERMS

Safety Assurance – processes within the SMS that function to ensure the implementation and effectiveness of safety risk mitigation and the agency meets



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or exceeds its safety objectives through the collection, analysis, and assessment of information (49 CFR Part 673.5)

Safety Management System (SMS) – the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency’s safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards. (49 CFR Part 673.5)

Safety Risk Management – process for identifying hazards and analyzing, assessing, and mitigating safety risk (49 CFR Part 673.5)

3.0 RESPONSIBILITIES

4.0 FLOWCHART

N/A

5.0 REFERENCES

Employee Code of Conduct

RTA Agency Safety Plan

RTA General Accident and Injury Policy (SAF4)

RTA Safety Committee Structure Policy (SAF5)

6.0 ATTACHMENTS

N/A

7.0 PROCEDURE HISTORY

7/15/2020 This document is the original issue of the RTA Agency Safety Plan

12/15/2020 Interim Board approval granted

12/11/2020 Interim Executive Committee approval granted

2/4/2021 Final Executive Committee approval granted

2/23/2021 Final Board approval granted

8.0 SPONSOR DEPARTMENT

Safety