



**NOTICE OF CAPITAL AREA TRANSIT SYSTEM
FINANCE AND EXECUTIVE COMMITTEE MEETING**

October 13, 2022

10:30 a.m.

**350 North Donmoor Avenue
Baton Rouge, LA 70806**

AGENDA

Please take notice that the Capital Area Transit System Finance and Executive Committee will meet at 350 North Donmoor Avenue in Baton Rouge, LA, on Thursday, October 13, 2022, at 10:30 a.m.

CALL TO ORDER

- 1. Call to Order and Establishment of Quorum**
- 2. President's Announcements**
- 3. INFORMATION ITEM – Review the Monthly Executive and Financial Report**
- 4. ACTION ITEM - Recommend the approval to adopt and levy the ad valorem tax millage rate of 10.60 mills (corrected millage rate from the May 17, 2022, board approval) for the City of Baton Rouge for the year 2022**
- 5. ACTION ITEM - Recommend the approval to adopt and levy the ad valorem tax millage rate of 10.60 mills (corrected millage rate from the May 17, 2022, board approval) for the City of Baker for the year 2022**
- 6. ACTION ITEM - Recommend the approval of P&N Contract Extension**
- 7. ACTION ITEM - Recommend the approval of Public Transportation Agency Safety Plan**
- 8. ADJOURNMENT**

2250 Florida Boulevard
Baton Rouge, LA 70802
PHONE: 225.389.8920



EXECUTIVE STAFF

**October 2022
Executive Report
Dwana Williams and CATS Staff**

OPERATIONS: *James Payton*

- Operators - 105 total operators, 99 active, 6 inactive.
- 2 Cadets are in training
- Next training class is scheduled for October 24th with 10 cadets
- Culture of accountability training for September was managing stress
- Conflict Resolution and Smith System training is continuing.
- September 8th CATS provided transportation for the Charles R Kelly community center for a senior field trip to the Robert A. Bogan Fire Museum.
- September 27th CATS provided transportation for the Southeast Regional Operators Rodeo
- See attached Performance Measures that reflect measures for the month of September.

PLANNING AND PROGRAM DEVELOPMENT: *Cheri Soileau*

- Plank-Nicholson Bus Rapid Transit
 - Invitation to Bid-October 2022
- Lynx by CATS
 - Ridership increasing- 2,893 trips completed
 - Average wait time-13 minutes
 - New Accounts created-337
- 2023 Triennial
 - Assembling materials

COMMUNICATIONS: *Deanna Wallace*

- Touchdown TRAX
 - Promotion on social
 - Created fun ride-along video
- “The Extra Mile” Campaign- coming soon
 - Had initial photo/video shoot
- September Social Media Report
 - Steady growth of followers
 - Instagram needs shift to more photos, working on building library of content
- Website:

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EXECUTIVE STAFF

CATS

CAPITAL AREA TRANSIT SYSTEM

Connecting you to what matters.

- Adding positive Media coverage
- Updated FAQs page
- Adding documents and forms to employee portal
- CATS Dashboard development
- 13 Media hits in September
 - 6 positive; 5 neutral, 2 negative

CEO NOTES: *Dwana Williams*

- Capital Area Transit System and Gardere Initiative career fair September 28, 2022.

ADMINISTRATIVE UPDATES: *Keith Cunningham*

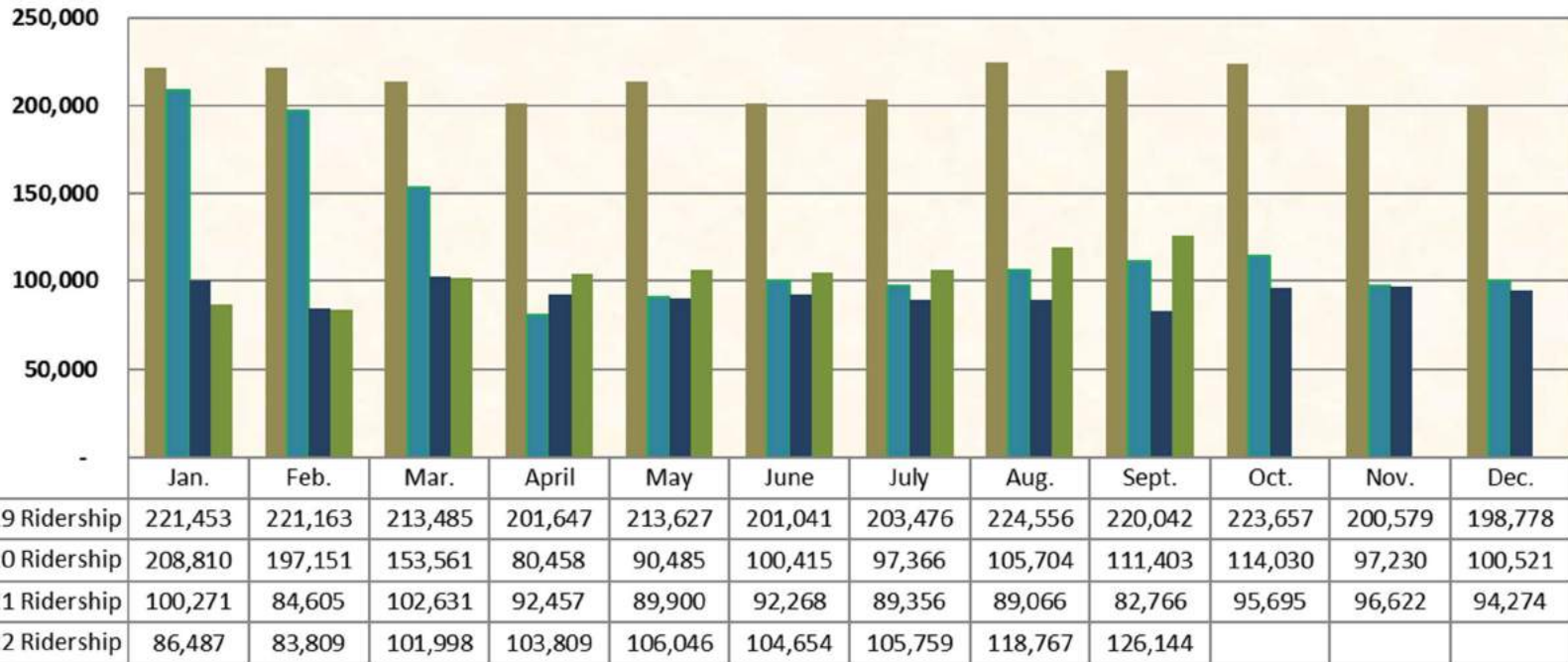
- See attached HR memorandum for the month.

FINANCE:

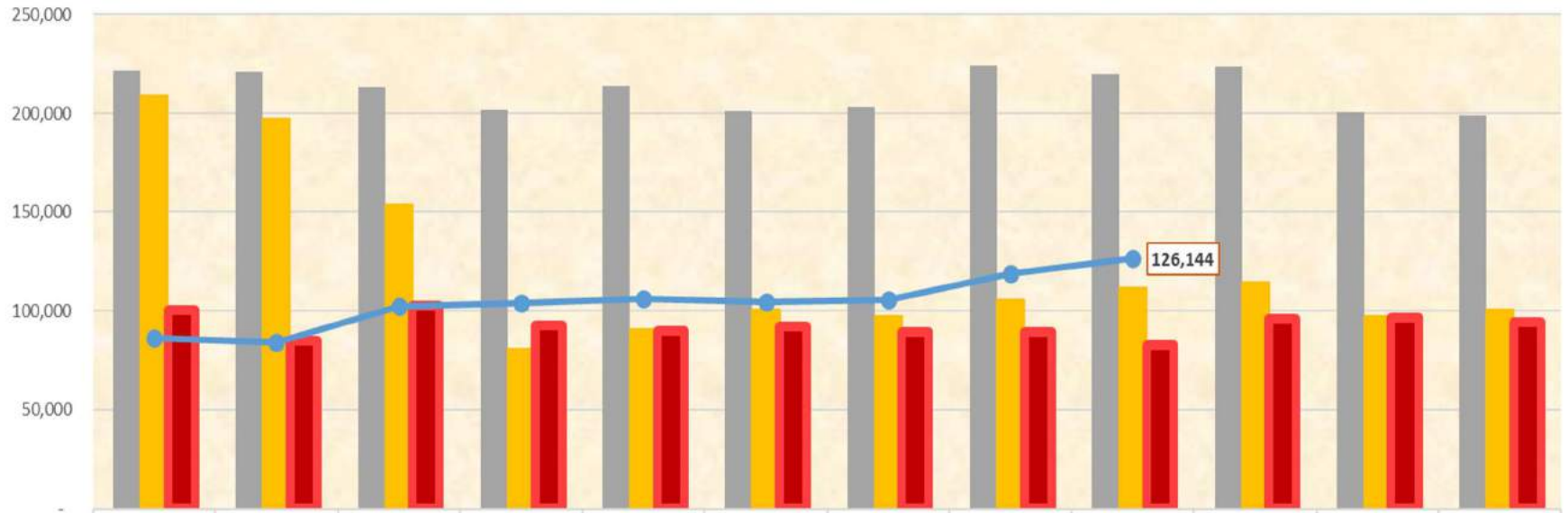
- See attached financial report for the month.



Monthly Ridership 2019-2022

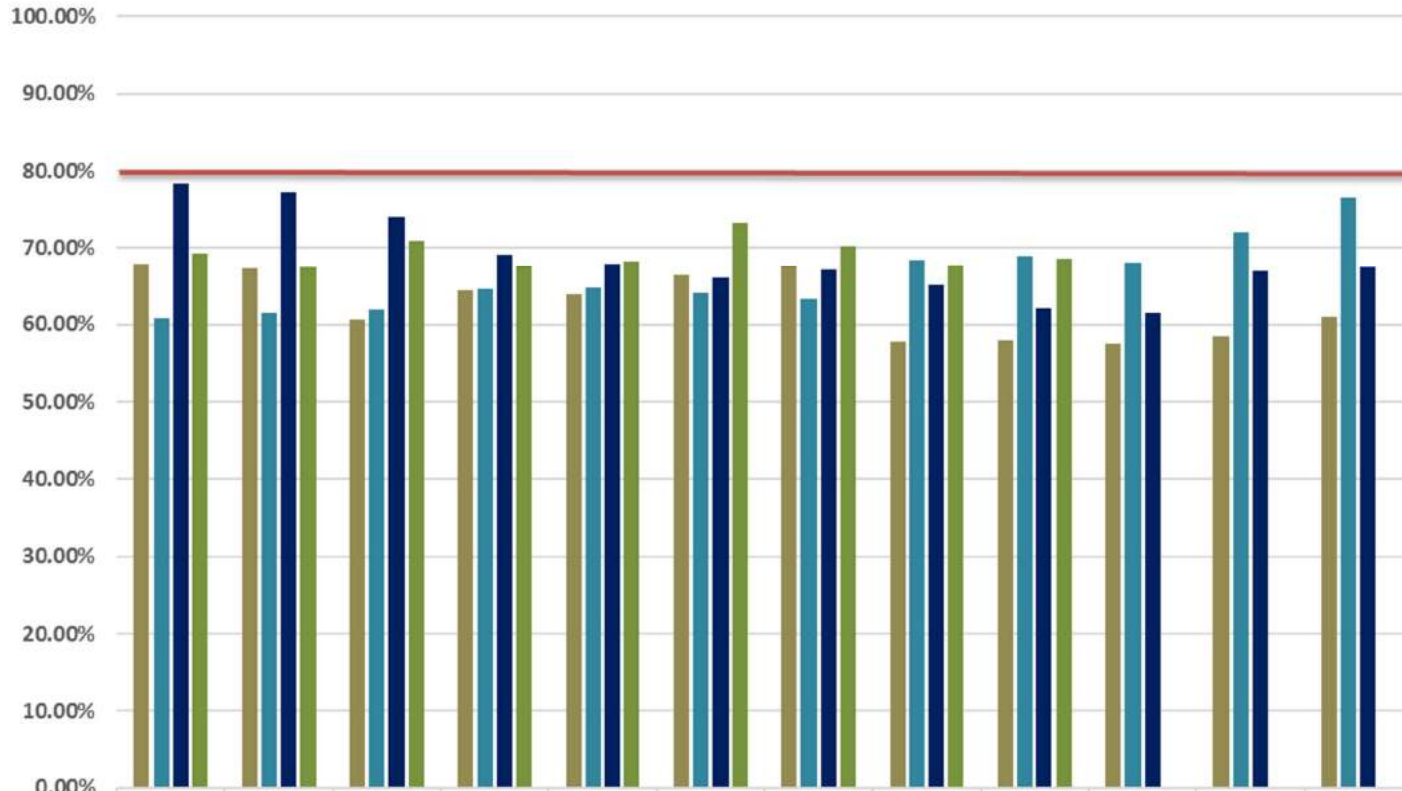


Monthly Ridership 2019-2022



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
■ Ridership 2019	221,453	221,163	213,485	201,647	213,627	201,041	203,476	224,556	220,042	223,657	200,579	198,778
■ Ridership 2020 (COVID-19)	208,810	197,151	153,561	80,458	90,485	100,415	97,366	105,704	111,403	114,030	97,230	100,521
■ Ridership 2021 (COVID-19)	100,271	84,605	102,631	92,547	89,900	92,268	89,356	89,066	82,766	95,695	96,622	94,274
● Ridership 2022 (COVID-19)	86,487	83,809	101,998	103,809	106,046	104,654	105,759	118,767	126,144			

OTP
2019-2022

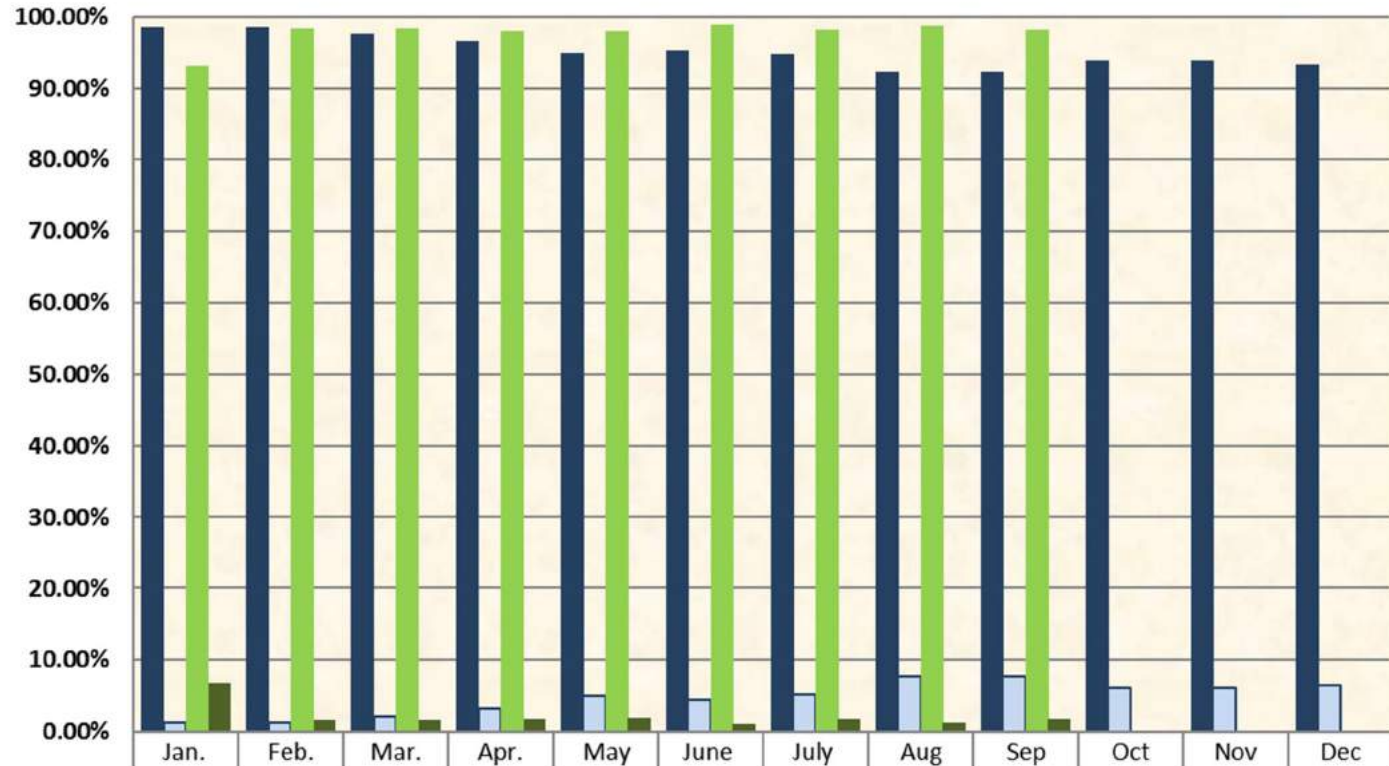


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
2019 OTP	67.91%	67.26%	60.68%	64.49%	63.91%	66.47%	67.56%	57.71%	57.89%	57.49%	58.40%	60.97%
2020 OTP	60.81%	61.42%	61.91%	64.65%	64.76%	64.01%	63.31%	68.45%	68.87%	68.13%	72.11%	76.59%
2021 OTP	78.35%	77.15%	74.01%	69.08%	67.97%	66.15%	67.09%	65.16%	62.06%	61.47%	66.87%	67.38%
2022 OTP	69.21%	67.46%	70.86%	67.57%	68.31%	73.15%	70.20%	67.67%	68.62%			

**Target 80% On-Time Performance*

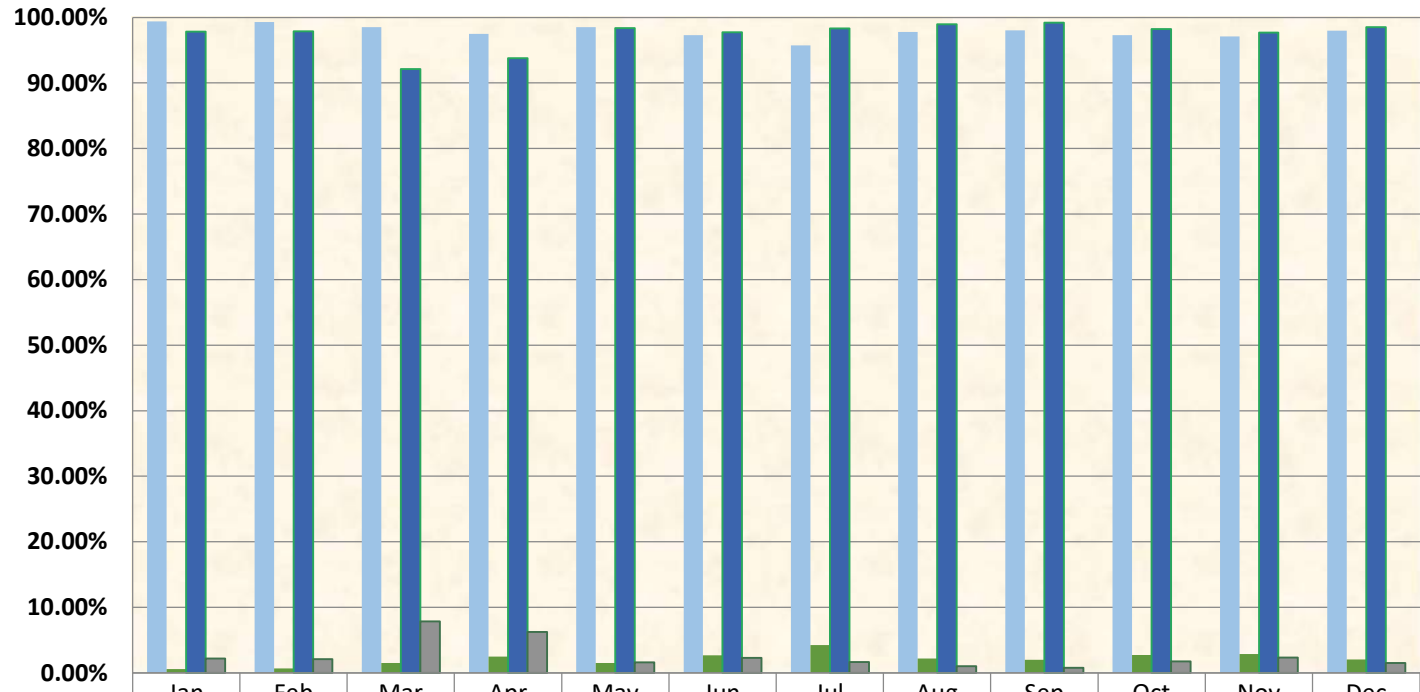
Note: OTP is measured at scheduled timepoints effective (1/16/22), which represents 6.68% of the total system bus stops.

% Trips Operated 2021-2022



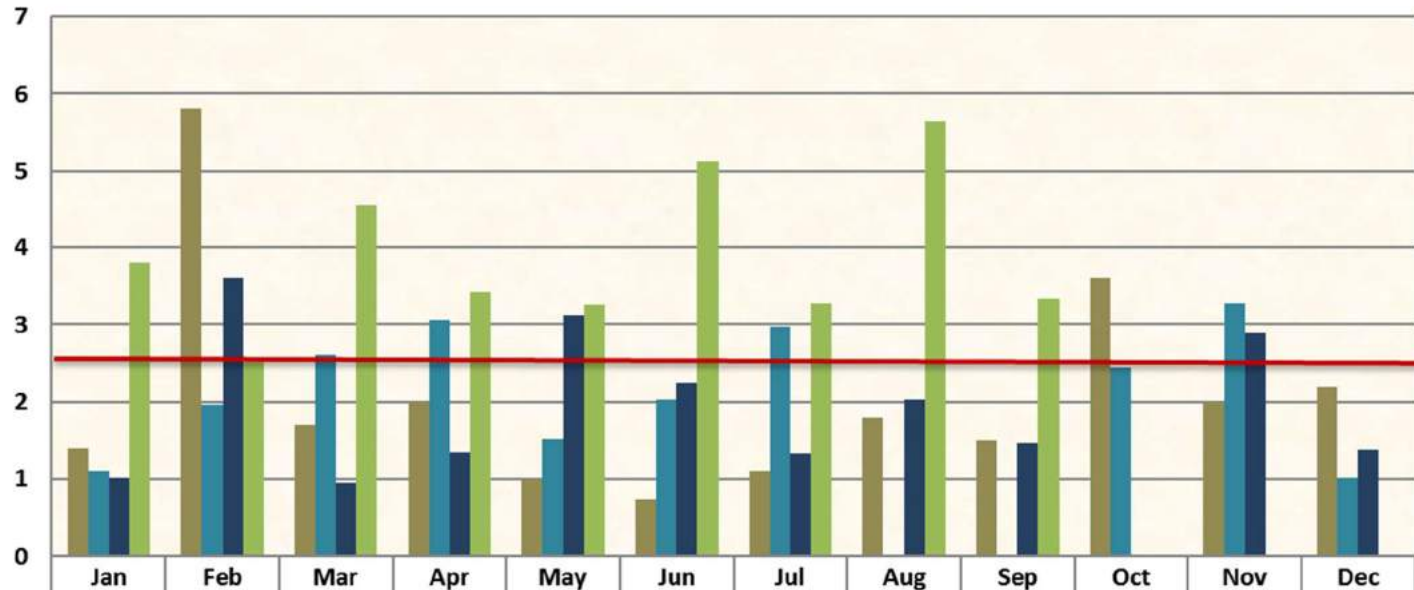
■ 2021 % Operated Trips	98.67%	98.64%	97.76%	96.67%	94.93%	95.44%	94.84%	92.26%	92.30%	93.87%	93.97%	93.46%
□ 2021 % Missed Trips	1.33%	1.36%	2.24%	3.33%	5.07%	4.56%	5.16%	7.74%	7.70%	6.13%	6.03%	6.54%
■ 2022 % Operated Trips	93.17%	98.40%	98.36%	98.12%	98.00%	98.87%	98.21%	98.72%	98.27%			
■ 2022 % Missed Trips	6.83%	1.60%	1.64%	1.88%	2.00%	1.13%	1.79%	1.28%	1.73%			

% Trips Operated 2019-2020



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
2019 % Operated Trips	99.40%	99.30%	98.50%	97.50%	98.50%	97.30%	95.73%	97.80%	98.00%	97.27%	97.11%	97.97%
2019 % Missed Trips	0.60%	0.70%	1.50%	2.50%	1.50%	2.70%	4.27%	2.20%	2.00%	2.73%	2.89%	2.03%
2020 % Operated Trips	97.80%	97.89%	92.13%	93.76%	98.38%	97.71%	98.32%	98.97%	99.21%	98.24%	97.68%	98.49%
2020 % Missed Trips	2.20%	2.11%	7.87%	6.24%	1.62%	2.29%	1.68%	1.03%	0.79%	1.76%	2.32%	1.51%

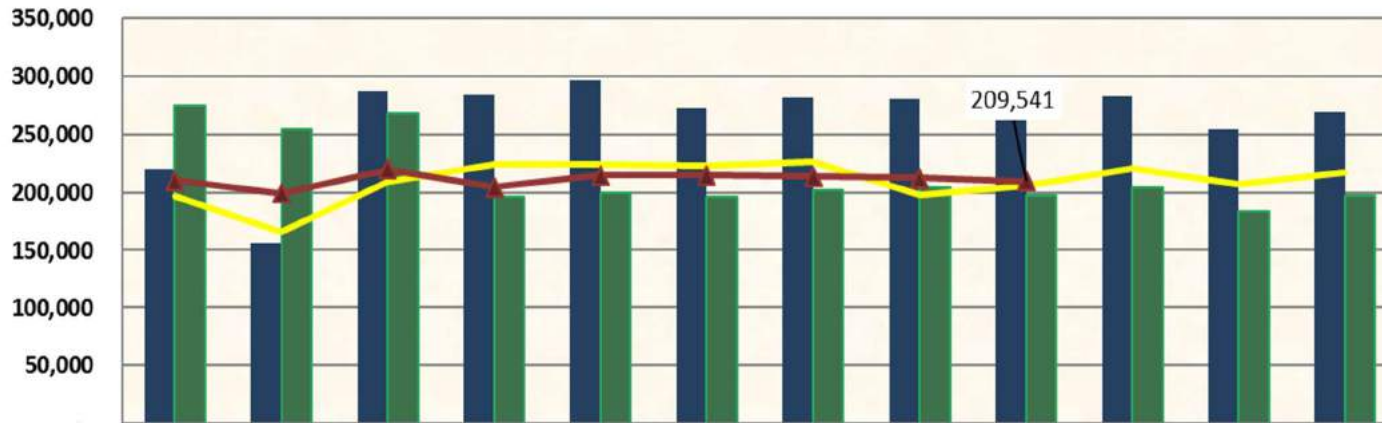
Preventable Accidents per 100,000 Miles 2019-2022



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
■ 2019 Preventable Accidents	1.4	5.8	1.7	2.0	1.0	0.73	1.1	1.8	1.5	3.6	2.0	2.2
■ 2020 Preventable Accidents	1.1	2.0	2.6	3.1	1.5	2.0	3.0	0	0	2.4	3.3	1.0
■ 2021 Prevventable Accidents	1.0	3.6	1.0	1.3	3.1	2.2	1.3	2.0	1.5	0	2.9	1.4
■ 2022 Preventable Accidents	3.8	2.5	4.6	3.4	3.3	5.1	3.3	5.6	3.3			

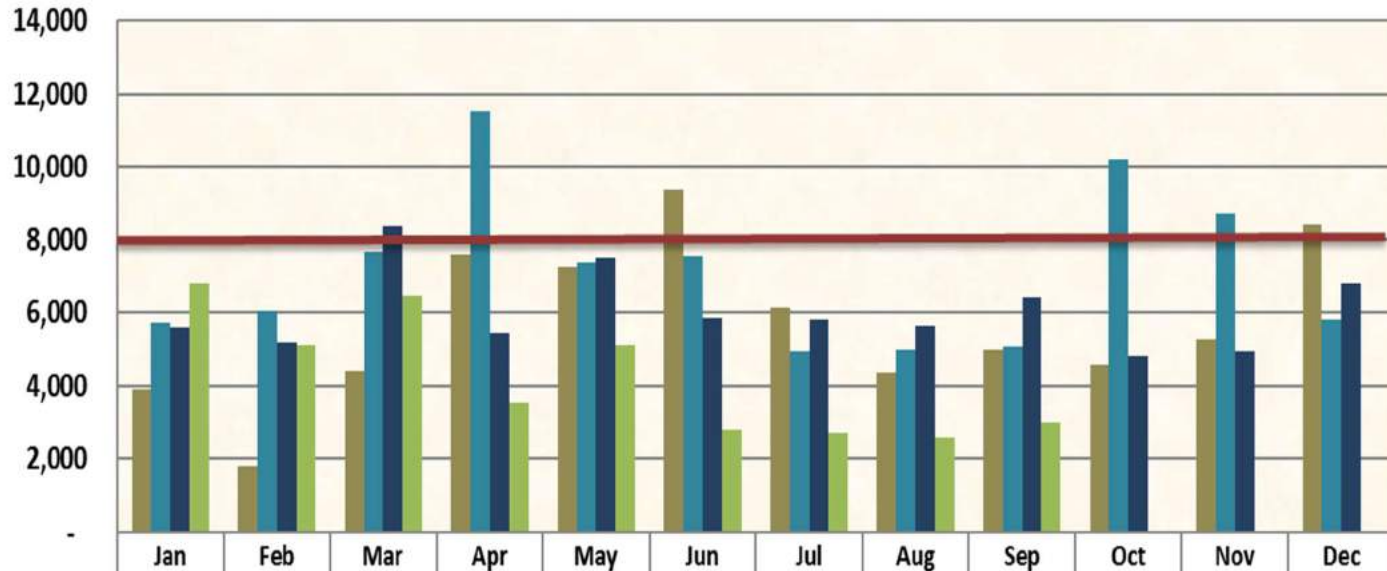
*Target Below 2.5 Preventable Accidents Per 100,000 Miles

Mileage 2019-2022



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
2019 Mileage	219,625	155,859	286,945	284,305	296,706	273,021	281,985	280,497	263,457	282,376	253,816	269,140
2020 Mileage	274,635	254,535	267,862	196,291	199,138	196,474	202,135	203,556	196,900	204,348	183,389	197,791
2021 Mileage	196,689	166,402	208,837	223,524	224,525	222,671	226,398	197,796	205,971	221,033	207,057	217,340
2022 Mileage	210,226	199,168	219,688	204,484	214,917	214,793	213,657	212,630	209,541			

Mean Miles Between Road Calls 2019-2022



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
■ 2019 Mean Miles Between Road Calls	3,922	1,792	4,415	7,583	7,237	9,415	6,130	4,383	4,971	4,554	5,288	8,411
■ 2020 Mean Miles Between Road Calls	5,722	6,060	7,653	11,547	7,375	7,557	4,930	4,965	5,049	10,217	8,731	5,817
■ 2021 Mean Miles Between Road Calls	5,620	5,200	8,353	5,452	7,484	5,860	5,805	5,651	6,437	4,805	4,930	6,792
■ 2022 Mean Miles Between Road Calls	6,781	5,107	6,461	3,526	5,117	2,790	2,705	2,593	2,993			

RIDERSHIP PER ROUTE BY MONTH YEAR-TO-DATE FOR SEPTEMBER 2022

ROUTE NUMBER	ROUTE NAME	January	February	March	April	May	June	July	August	September	October	November	December	Total
8	Gus Young Ave	1,559	1,125	1,529	1,803	1,567	1,794	1,895	1,829	1,899				15,000
10	Scenic Hwy	1,812	2,034	2,524	2,463	2,279	2,375	2,318	2,811	2,911				21,527
11	Northside Circulator	1,793	1,184	1,425	1,465	1,080	1,236	1,377	1,612	1,952				13,124
12	Government St / Jefferson Hwy	2,789	2,541	3,189	3,049	3,229	2,749	2,800	3,154	3,794				27,294
14	Thomas Delpit Dr / Roosevelt St	2,336	2,170	2,968	3,031	2,770	2,672	2,887	3,583	3,242				25,659
15	Blount Rd	1,952	1,078	1,237	1,432	1,533	1,381	1,352	1,327	1,273				12,565
16	Downtown Circulator	15	33	66	74	107	182	127	112	125				841
17	Perkins Rd	4,880	4,658	5,875	5,987	5,988	6,187	6,229	6,635	6,355				52,794
18	Cortana / Tigerland	3,544	3,413	3,540	3,605	4,234	3,914	4,127	4,856	5,559				36,792
20	N. Acadian Thwy	4,756	3,899	4,636	4,637	4,586	4,424	4,623	5,426	5,070				42,057
21	Fairfields Ave	3,646	2,936	3,812	3,657	4,178	3,532	3,335	3,725	3,964				32,785
22	Winbourne Ave	3,408	2,987	4,005	4,290	4,505	4,456	4,180	4,467	4,721				37,019
23	Foster Dr	1,543	1,682	1,864	1,841	1,605	2,052	1,892	2,060	2,251				16,790
41	Plank Rd	8,077	8,563	11,104	10,489	10,427	9,878	9,985	10,375	11,117				90,015
44	Florida Blvd	13,205	13,148	17,510	17,838	17,611	17,326	17,816	19,497	20,024				153,975
46	Cortana / Gardere / L'auberge	2,315	2,889	3,453	3,670	3,903	4,285	3,828	4,430	4,534				33,307
47	Highland Rd / LSU	10,817	11,119	11,416	10,571	11,599	10,381	9,880	11,999	12,925				100,707
54	Airline Hwy	3,905	4,058	4,855	5,272	5,332	5,500	5,739	6,450	6,685				47,796
57	Sherwood Forest Blvd / Siegen Ln	6,096	6,064	7,243	7,856	8,451	8,203	8,224	8,510	8,890				69,537
58	Coursey Blvd	2,676	2,579	3,357	3,790	3,977	3,987	3,716	4,122	7,594				35,798
59	E. Florida Blvd	2,303	2,189	2,419	2,924	2,941	2,856	2,644	3,272	3,139				24,687
60	Medical Circulator	857	842	1,010	1,044	1,043	1,018	953	1,122	1,066				8,955
70	CATS Terminal / Baker	2,203	2,618	2,961	3,061	3,101	2,877	2,997	3,535	3,898				27,251
72	Florida Blvd LIMITED	0	0	0	0	0	0	0	0	0				0
80	Southern University Shuttle	0	0	0	0	0	0	0	0	0				0
LYNX	Baker Microtransit Pilot Service	0	0	0	0	0	1,389	2,835	3,858	3,156				11,238

TOTAL UNLINKED TRIPS	86,487	83,809	101,998	103,849	106,046	104,654	105,759	118,767	126,144	0	0	0	0	937,513
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	January	February	March	April	May	June	July	August	September	October	November	December	Total
Number of Weekdays Operated	19	20	22	20	21	22	20	23	21				188
Number of Saturdays Operated	6	4	4	6	5	4	5	4	4				42
Number of Sundays Operated	6	4	5	4	5	4	6	4	5				43
Number of Emergency Days Operated	0	0	0	0	0	0	0	0	0				0
Number of Total Days Operated	31	28	31	30	31	30	31	31	30				273

**Capital Area Transit System
Balance Sheet
September 30, 2022**

	9/30/2022	9/30/2021
ASSETS		
Current Assets:		
Cash and Cash Equivalents	3,546,025	9,072,443
Accounts Receivable	180,920	458,180
Property Tax Receivable	18,585,426	19,089,263
Due from Governments	4,050,407	2,814,383
Inventory	1,818,591	986,015
Prepaid Expenses and Other Assets	279,939	667,827
Total Current Assets:	28,461,306	33,088,112
Restricted Assets:		
Cash and Cash Equivalents	3,350,845	3,306,895
Total Restricted Assets:	3,350,845	3,306,895
Net Pension Asset, Long-Term	1,164,137	676,430
Equipment, Net	21,056,044	20,185,088
Total Assets	54,032,332	57,256,525
LIABILITIES AND NET ASSETS		
Current Liabilities		
Accounts Payable and Accrued Expenses	918,962	880,567
Accrued Payroll and Tax Liabilities	385,704	823,316
Accrued Compensated Absences	757,284	850,652
Claims Payable and Related Liabilities	889,303	906,118
Capital Lease Payable	263,621	280,748
Deferred Revenue (Grants/Prop Tax)	7,987,218	5,558,629
Total Current Liabilities	11,202,092	9,300,030
Long-Term Liabilities		
Capital Lease Payable, Less Current Portion	865,805	1,585,098
Estimated Liabilities	722,260	690,136
Total Long-Term Liabilities	1,588,065	2,275,234
Total Liabilities	12,790,157	11,575,264
Net Assets:		
Investments in Capital Assets, Net of Related Debt	19,926,617	18,319,242
Restricted Cash and Cash Equivalents	3,350,845	3,306,895
Unrestricted	17,964,713	24,055,124
Total Net Assets:	41,242,175	45,681,261
Total Liabilities And Net Assets	54,032,332	57,256,525

**Capital Area Transit System
Statement of Operating Budget vs. Actual
For the Period Ended September 30, 2022**

	Current Month				Year to Date			
	Budget	Actual	Variance	% Var	Budget	Actual	Variance	% Var
Operating Revenues								
Passenger Paid Fares	69,931	101,803	31,872	45.58%	629,379	722,014	92,635	14.72%
Special Transit Fares (Contract)	6,195	3,101	(3,094)	-49.94%	55,753	38,159	(17,594)	-31.56%
ADA/Paratransit Revenue	6,209	8,182	1,973	31.79%	55,877	71,553	15,677	28.06%
Advertising Revenue	43,750	40,233	(3,518)	-8.04%	393,750	439,588	45,838	11.64%
Interest Income	382	1,963	1,581	413.78%	3,438	33,252	29,814	867.19%
Other Agency Revenue	20,000	36,856	16,856	84.28%	180,002	126,320	(53,682)	-29.82%
Total CATS Generated	146,466	192,138	45,671	31.18%	1,318,198	1,430,886	112,688	8.55%
Non Federal Revenue								
Hotel/Motel Tax	87,086	87,086	0	0.00%	783,774	783,774	0	0.00%
Parish Transportation Fund	45,833	45,833	(0)	0.00%	412,500	412,500	(0)	0.00%
Property Tax Revenue	1,583,333	1,552,533	(30,800)	-1.95%	14,250,000	14,095,998	(154,002)	-1.08%
Total Non Federal	1,716,253	1,685,452	(30,800)	-1.79%	15,446,274	15,292,272	(154,002)	-1.00%
Federal Operating Subsidies								
FTA - Formula Grants/PM	358,333	343,457	(14,876)	-4.15%	3,225,000	2,981,770	(243,230)	-7.54%
FTA - Capital Projects (Project Admin)	41,667	88,548	46,882	112.52%	375,000	571,783	196,783	52.48%
FTA - Planning	57,583	32,179	(25,404)	-44.12%	518,250	303,999	(214,251)	-41.34%
FTA - ARP	101,691	582,847	481,156	473.15%	915,223	5,245,622	4,330,399	473.15%
Total Federal Operating	559,275	1,047,032	487,757	87.21%	5,033,473	9,103,175	4,069,702	80.85%
TOTAL SOURCES OF REVENUE	2,421,994	2,924,622	502,628	20.75%	21,797,945	25,826,333	4,028,388	18.48%
Operating Expenses								
Labor	953,653	1,214,890	(261,237)	-27.39%	8,582,881	9,509,565	(926,684)	-10.80%
Fringe Benefits	532,758	487,957	44,801	8.41%	4,794,826	4,570,697	224,128	4.67%
Casualty and Liability	146,625	430,781	(284,156)	-193.80%	1,319,625	1,747,032	(427,407)	-32.39%
Services	240,086	280,534	(40,448)	-16.85%	2,160,773	2,491,286	(330,514)	-15.30%
Purchased Transportation	163,971	291,512	(127,540)	-77.78%	1,475,740	1,839,033	(363,293)	-24.62%
Materials & Supplies	262,500	465,572	(203,072)	-77.36%	2,362,500	3,534,827	(1,172,327)	-49.62%
Utilities	17,158	16,722	436	2.54%	154,425	180,082	(25,657)	-16.61%
Miscellaneous Expenses	96,860	52,364	44,496	45.94%	871,742	772,964	98,778	11.33%
Leases and Rentals	8,382	7,703	678	8.09%	75,434	70,738	4,695	6.22%
Total Operating Expenses	2,421,994	3,248,034	(826,040)	-34.11%	21,797,945	24,716,225	(2,918,281)	-13.39%
Net SURPLUS/(DEFICIT) Before Depreciation	0	(323,412)	(323,412)	0.00%	0	1,110,108	1,110,108	0.00%
Depreciation	229,151	229,151	0	0.00%	2,062,359	2,062,358	0	0.00%
NET Operating SURPLUS/(DEFICIT)	(229,151)	(552,563)	(323,412)	141.13%	(2,062,359)	(952,251)	1,110,107	-53.83%



Date: October 6, 2022

BOARD MEMORANDUM

FOR INFORMATION ONLY

TO: Capital Area Transit System Finance & Executive Committee
THROUGH: Interim CEO, Dwana Williams
FROM: Grants Manager, Karla M. Hatch
SUBJECT: Grants Update

EXECUTIVE SUMMARY: All grants listed reflect the awards that are currently available for drawdown requests.

PENDING GRANTS: The following grant applications are still under review in TrAMS.

- Section 5307 - \$6.2M 2021 Annual Appropriation for operating & capital projects.
- Areas of Persistent Poverty - \$670K in federal funds for a study that will help to evaluate how to provide better access to transit.
- Route Restoration - \$514K in federal funds to help restore and improve service that has been affected by the COVID-19 pandemic.

OTHER UPDATES:

- Budget revision request was approved for the lease of 6 Paratransit vehicles. A total of \$110K is available for immediate use.
- The Transit Award Management System closed on Monday, September 26 in preparation for the end of FY 2022. It will remain closed until late October or early November.

CATS Funding Summary Balance by Financial Purpose Code (FPC)					
Grant Number/Type	FPC-00 Capital (\$000)	FPC-02 Planning (\$000)	FPC-04 Operations (\$000)	FPC-06 Proj Admin (\$000)	TOTAL (\$000)
LA-2016-026/Section 5307	\$ 250				\$ 250
LA-2019-004/Section 5339	\$ 239				\$ 239
LA-2019-007/Section 5307	\$ 417	\$ 11			\$ 428
LA-2019-010/CMAQ Flex Funds	\$ 116				\$ 116
LA-2019-030/Section 5307	\$ 2,102	\$ 212	\$ 97		\$ 2,411
LA-2021-003/Section 5339	\$ 202				\$ 202
LA-2021-008/AIM (Competitive)			\$ 106	\$ 5	\$ 111
LA-2021-017/Section 5307	\$ 856	\$ 1,000	\$ 3,328		\$ 5,184
LA-2022-007/America Rescue Plan Act (ARP)	\$ 3,462		\$ 5,761		\$ 9,223
LA-2022-012/Low-No	\$ 2,376			\$ 124	\$ 2,500
LA-2022-008/Research Demonstration Grant			\$ 184		\$ 184
LA-2022-020 HVAC	\$ 183			\$ 16	\$ 199
LA-2022-021 Transit Center	\$ 1,692	\$ 356			\$ 2,048
LA-2022-028 Lo-No	\$ 3,872				\$ 3,872
					\$ -
TOTAL	\$ 15,767	\$ 1,579	\$ 9,476	\$ 145	\$ 26,967

CATS Funding Summary Balance by Project					
Project/Item	FPC-00 Capital (\$000)	FPC-02 Planning (\$000)	FPC-04 Operations (\$000)	FPC-06 Proj Admin (\$000)	TOTAL (\$000)
Buses	\$ 7,988				\$ 7,988
Construction	\$ 1,692				\$ 1,692
Operating			\$ 6,813		\$ 6,813
Planning, Project Admin/Mgmt		\$ 1,579	\$ 290	\$ 145	\$ 2,014
Preventative Maintenance			\$ 2,364		\$ 2,364
Security	\$ 522				\$ 522
Shelters	\$ 599				\$ 599
Signage			\$ 9		\$ 9
Software	\$ 4,200				\$ 4,200
Support Equipment (Generators, Chargers, etc.)	\$ 495				\$ 495
Support Vehicles	\$ 271				\$ 271
TOTAL	\$ 15,767	\$ 1,579	\$ 9,476	\$ 145	\$ 26,967



Date: October 6, 2022
F&E: October 13, 2022
Board Meeting: October 18, 2022

BOARD MEMORANDUM

FOR INFORMATION ONLY

TO: Capital Area Transit System Board of Commissioners
THROUGH: Interim CEO, Dwana Williams
FROM: Dr. Lashauna Shelton, HR Specialist – Recruitment and Onboarding
SUBJECT: Recruitment Update

EXECUTIVE SUMMARY: Recruiting drives and events will be scheduled and attended throughout 2022 to get and remain ahead of the current shortage the agency is experiencing.

RECRUITMENT EFFORTS: The following recruitment efforts/initiatives are in place for the third and fourth quarters of 2022:

- CATS will host a job fair in conjunction with Gardere Initiative Group. The event will be held on September 21 or September 28 between 4:00 pm and 7:00 pm. This Career Fair is designed to garner support, resources and possibly a workforce within the Latino/Hispanic communities.
 - We partnered with GIG. The event was held on Wednesday, September 28, 2022 from 4:30 pm – 7:00 pm to accommodate those residents who work during the day. We received three (3) applications for bus operator trainee and one (1) application for bilingual customer service representative.
- CATS will host a fall job fair in late October/early November 2022.
- Through our Communications Department, CATS will continue to utilize our social media platforms to post current, promotional and continuous job openings.
- CATS will continue to network with area schools, technical colleges, community and business service agencies, and job placement agencies. Some of our current local network includes Southern University System, Louisiana State University, Southeastern Louisiana University, BRCC Automotive Technology Dept, Louisiana Workforce Commission, Baton Rouge Area Chamber (BR Works), EmployBR, FOAM, CAPARC, and Gardere Initiative Group.

CURRENT OPEN ADMINISTRATIVE POSITIONS:

- Chief Finance Officer (1)
- Operations Dispatcher (3)



Date: September 20, 2022
Current Meeting: October 13, 2022
Board Meeting: October 18, 2022

BOARD MEMORANDUM

FOR INFORMATION ONLY

TO: Capital Area Transit System Finance & Executive Committee
THROUGH: Interim CEO, Dwana Williams
FROM: Accounting Manager Audit Service Project, Detian Chen
SUBJECT: Increase contract amount for 2021 audit service

Project/Contract: Postlethwaite & Netterville-Audit Services
Project/Contract Date(s): 1/1/2019 Thru 12/31/2022
Renewal options (Yes/No): Yes:
If yes, what year/option: Increase contract amount.
Project/Contract Amount: Not to exceed \$121,675
Budgeted project (Yes/No): Yes, Audit Service Expenses
Grant(s) Funded (Yes/No): No
If yes, note the grant number:
Policy-Related Action: (Yes/No): No

EXECUTIVE SUMMARY:

Due to changes in executive management staff (CEO and CFO), it was necessary to secure additional support, representation, and assessments from P & N, to complete the annual audit.

In addition, assistance was needed for NTD reporting, and the reissuance of financial statements to account for the IRS liability.

The need for additional services increased the cost of the audit by \$38,000

RECOMMENDATION:

It is requested that approval be given to increase the original contract amount of \$83,675 by \$38,000, not to exceed \$121,675.

STRATEGIC PLAN/GOALS:

FISCAL IMPACT:

BACKGROUND:

Annual Financial Audit - This is to exercise the first year of the two (2) available one year period extensions following the expiration of the original three-year contract. The professional services will Audit Calendar Year ending 2021 for audit work performed in the year 2022 with a price not to exceed \$121,675.

DISCUSSION:

CLIMATE IMPACT:

BUSINESS DIVERSITY REQUIREMENTS

Project/Contract Amount: Not to exceed \$121,675

Detian Chen

[Detian Chen \(Oct 6, 2022 10:44 CDT\)](#)

Project Manager approval

Keith Cunningham

[Keith Cunningham \(Oct 7, 2022 09:00 CDT\)](#)

Supervisor approval

Thomas Cating

[Thomas Cating \(Oct 7, 2022 09:02 CDT\)](#)

Procurement approval

Dwana Williams

[Dwana Williams \(Oct 7, 2022 10:40 CDT\)](#)

CEO approval



Date: October 5, 2022
F&E Meeting: October 13, 2022
Board Meeting: October 18, 2022
BOARD MEMORANDUM

ACTION ITEM

TO: Capital Area Transit System Finance & Executive Committee
THROUGH: Interim CEO, Dwana Williams
FROM: Ravena Budwine, MBA-Risk and Safety Manager
SUBJECT: Public Transportation Agency Safety Plan

Project/Contract: PTASP
Project/Contract Date(s): N/A
Renewal options (Yes/No): N/A
If yes, what year/option: N/A
Project/Contract Amount: N/A
Budgeted project (Yes/No): N/A
Grant(s) Funded (Yes/No): Yes
If yes, note the grant number:
Policy-Related Action: (Yes/No): Yes

RECOMMENDATION: Approval of the updated Public Transportation Agency Safety Plan, per FTA regulations.

EXECUTIVE SUMMARY:

The original adopted PTASP was approved by the Board of Commissioners in 2020. Since the adoption of the original plan, Bipartisan Infrastructure Law changes to the Public Transportation Agency Safety Plan (PTASP) requirements at 49 U.S.C. § 5329(d) and establishes compliance deadlines for implementing these new provisions which includes the establishment of a Safety Committee compliant with 49 U.S.C. § 5329(d)(5). Once established, the Safety Committee should begin work to meet its responsibilities as soon as practicable. By **December 31, 2022**, the transit agency must review and update its ASP in cooperation with frontline employee representatives.

As per federal requirement, CATS has updated the Public Transportation Agency Safety Plan and has completed three safety meetings in 2022 and quarterly meetings are set for FY 2023.

CATS Updated Public Transportation Agency Safety Plan includes an updated Safety Management System, updated performance targets, and identifies a Chief Safety Officer per federal requirements.

STRATEGIC PLAN/GOALS:

Strategic Priority 2-Management and Financial Sustainability

FISCAL IMPACT: N/A

BACKGROUND:

On July 19, 2018, the Federal Transit Administration published the Public Transportation Agency Safety Plan (PTASP) final rule that requires public transportation agencies that receive federal funding develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).

A safety plan includes, but is not limited to the following:

- Methods for identifying and evaluating safety risks throughout the public transportation system.
- Strategies to minimize the public, staff, and property to hazards and unsafe conditions.
- Create performance targets and criteria to ensure all property and rolling stock are in the state of good repair; and
- Ensure that the agency has a safety officer that creates and/or continues a safety training program for operations and maintenance personnel.

The Dear Colleague letter, dated February 17, 2022, had several updates to the requirements for the PTASP and included compliance deadlines outlined in the Bipartisan Infrastructure Bill dated November 15, 2021. Transit Systems are required to create a Safety Committee, which includes an equal number of frontline employees and management representatives, that has responsibility for:

1. Identifying and recommending risk-based mitigation or strategies to reduce the likelihood or severity of consequences as identified through the safety risk assessment.
2. Identifying strategies that may be ineffective or inappropriate and
3. Identifying safety deficiencies for continued safety improvement.

Ravena Budwine

[Ravena Budwine \(Oct 6, 2022 10:47 CDT\)](#)

Project Manager

Dwana Williams

[Dwana Williams \(Oct 6, 2022 11:31 CDT\)](#)

CEO

Capital Area Transit System
Public Transportation Agency Safety Plan
Version 2
In compliance with 49 CFR Part 673



Adopted: 10/18/2022

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Appendix A

Board Minutes approving the New Safety Committee

New Safety Committee Meeting Agendas and Notes

Appendix B

Board Minutes adopting PTASP

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Acronyms

CATS	Capital Area Transit System
CEO	Chief Executive Officer
CRPC	Capital Region Planning Commission
CSO	Chief Safety Officer
ESRP	Employee Safety Reporting Program
FAST Act	Fixing American's Surface Transportation Act
FTA	Federal Transit Administration
LADOTD	Louisiana Department of Transportation and Development
MAP-21	Moving Ahead for Progress in the 21st Century
MOU	Memorandum of Understanding
MPO	Metropolitan Planning Organization
NSP	National Public Transportation Safety Plan
NTD	National Transit Database
PTASP	Public Transportation Agency Safety Plan
SA	Safety Assurance
SMP	Safety Management Policy
SMS	Safety Management Systems
SMS Team	Safety Management Systems
SOP	Standard Operating Procedures
SP	Safety Promotion
SPT	Safety Performance Targets
SRM	Safety Risk Management
TAM	Transit Asset Management
VRM	Vehicle Revenue Miles

Glossary of Terms

Accident: an event that involves any of the following: loss of life; a report of a serious injury to a person; a collision of a transit vehicle(s); and/or an evacuation for life and safety reasons-at any location, at any time and/or whatever the cause.

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

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

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

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

Equivalent Authority: An entity that carries out duties like that of a Board of Directors for a recipient or subrecipient of FTA funds under 49 USC Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's PTASP.

Event: An accident, incident, or occurrence.

Federal Transit Administration (FTA): an operating administration within the U.S. Department of Transportation

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

Incident: An event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport, or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

Investigation: The process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.

Key Staff: Group of staff or committee(s) to support the Accountable Executive, CSO or SMS Executive in developing, implementing, and operating the agency's SMS.

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

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

Occurrence: An event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

Operator of a Public Transportation System: A provider of public transportation as defined under 49 USC 5302(14).

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

Performance Measure: An expression, based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

Performance Target: A quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by FTA.

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

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

Risk: The composite of predicted severity and likelihood of the potential effect of a hazard.

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

Road Calls: Specific, unscheduled maintenance requiring either the emergency repair or service of a piece of equipment in the field or the towing of the unit to the garage or shop.

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

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

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

Safety Management System (SMS) Executive: CSO or an equivalent.

Safety Objective: General goal or desired outcome related to safety.

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

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

Safety Performance Measure: An expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

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

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

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

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

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

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

Safety Risk Mitigation: The activities where a public transportation agency controls the probably or severity of the potential consequences of hazards.

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

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

Serious Injury: An injury which:

- Requires hospitalization for more than 48 hours, commencing within seven (7) days from the date that the injury was received.
- Results in a fracture or any bone (except simple fractures of the fingers, toes, or nose);
- Causes severe hemorrhages, nerve, muscle, or tendon damage.
- Involves any internal organ; or
- Involves second-or-third-degree burns, or any burns affecting more than five (5) percent of the body surface.

Small Public Transportation Provider: A recipient or subrecipient of Federal financial assistance under 49 USC 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a fixed-guideway public transportation system.

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

State of Good Repair: The condition in which a capital asset can operate at a full level of performance.

State Safety Oversight Agency: An agency established by a State that meets the requirements and performs the functions specified by 49 USC 5329€ and the regulations set forth in 49 CFR 674.

Transit Agency: Operator of a public transportation system

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

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

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Executive Summary

Moving Ahead for Progress in the 21st Century (MAP-21) granted the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. MAP-21 expanded the regulatory authority of FTA to oversee safety, providing an opportunity to assist transit agencies in moving towards a more holistic, performance-based approach to Safety Management Systems (SMS). This authority was continued through the Fixing American's Surface Transportation Act (FAST Act).

In compliance with MAP-21 and the FAST Act, FTA promulgated a Public Transportation Safety Program on August 11, 2016, that adopted SMS as the foundation for developing and implementing a Safety Program. FTA is committed to developing, implementing, and consistently improving strategies and processes to ensure that transit achieves the highest level of safety. SMS helps organizations improve upon their safety performance by supporting the institutionalization of beliefs, practices, and procedures for identifying, mitigating, and monitoring safety risks.

There are several components of the national safety program, including the National Public Transportation Safety Plan (NSP) that FTA published to provide guidance on managing safety risks and safety hazards. One element of the NSP is the Transit Asset Management (TAM) plan. Public transportation agencies implemented TAM plans across the industry in 2018. The subject of this document is the Public Transportation Agency Safety Plan (PTASP) rule, 49 CFR Part 673, and guidance provided by FTA.

Safety is a core business function of all public transportation providers and should be systematically applied to every aspect of service delivery. At Capital Area Transit System (CATS), all levels of management, administration, and operations are responsible for the safety of their customers, public, and themselves. To improve public transportation safety to the highest level in the State of Louisiana and comply with FTA requirements, the Louisiana Department of Transportation and Development (LADOTD) has developed this PTASP in collaboration with CATS.

To ensure that the necessary processes are in place to accomplish both enhanced safety at the local level and the goals of the NSP, the CATS Board of Commissioners and CATS adopt this PTASP and the tenets of SMS, including a Safety Management Policy (SMP) and the processes for Safety Risk Management (SRM), Safety Assurance (SA), and Safety Promotion (SP), per 49 USC 5329(d) (1) (A). While safety has always been a primary function at CATS, this document lays out a process to fully implement a SMS over the next several years that complies with the PTASP final rule.

On November 15, 2021, President Joe Biden signed the Bipartisan Infrastructure Law. This law will rebuild America's roads, bridges, and rails, expand access to clean drinking water, ensure every American has access to high-speed internet, tackle the climate crisis, advance environmental justice, and invest in communities that have too often been left behind.

Because of this law, each recipient of Section 5307 funds must certify that the recipient has established a comprehensive PTASP that includes the following information.

- The board of commissioners (or equivalent) of the recipient must approve the PTASP and any updates to the ASP.
- Methods for identifying and evaluating safety risks throughout all elements of the public transportation system of the recipient.

- Strategies to minimize the exposure of the public, personnel, and property to unsafe conditions.
- A process and timeline for conducting an annual review and update of the ASP.
- Assignment of an adequately trained safety officer who reports directly to the general manager, president, or equivalent officer of the recipient.
- A comprehensive staff training program for the operations personnel and personnel directly responsible for safety of the recipient.
- A risk reduction program for transit operations to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers based on data submitted to the national transit database (NTD) under section 5335.
- Performance targets and process for tracking and reporting to the Board of Commissioners based on safety performance criteria and risk mitigation.

Plan Adoption- 673.11(a) (1)

This Public Transportation Agency Safety Plan is hereby adopted, certified as compliant, and signed by:



10/4/2022

Dwana Williams/Interim Chief Executive Officer
Accountable Executive Signature

Date

The main governing body of the Capital Area Transit System (CATS) is the Board of Commissioners. Approval of this plan occurred on October 18, 2022 and is documented in the minutes of this meeting.

Certification of Compliance- 763.13(a) (b)

LADOTD certifies on [date] that this Agency Safety Plan is in full compliance with 49 CFR Part 673 and had been adopted and will be implemented by CATS as evidenced by the plan adoption signature and necessary Board approvals under Section 1.A of this plan.

Transit Agency Information- 673.23(D)

CATS is the public transportation provider for the Cities of Baton Rouge and Baker, with the ability to become a regional transit provider under its enabling legislation. CATS is the largest transit provider in the region. The main office is located at 2250 Florida Boulevard, Baton Rouge LA 70802.

CATS operates 41 peak-hour fixed-route buses and provides public transportation for 3.8 million unlinked passenger trips annually, according to the NTD 2019 Agency profile. CATS accrues 14.4 million annual passenger miles and 3.9 million annual vehicle revenue miles.

The agency is managed by the Chief Executive Officer (CEO) and the executive staff consisting of the Chief Administrative Officer, Chief Operating Officer, Director of Communications, Director of Planning & Program Development, and Director of Human Resources.

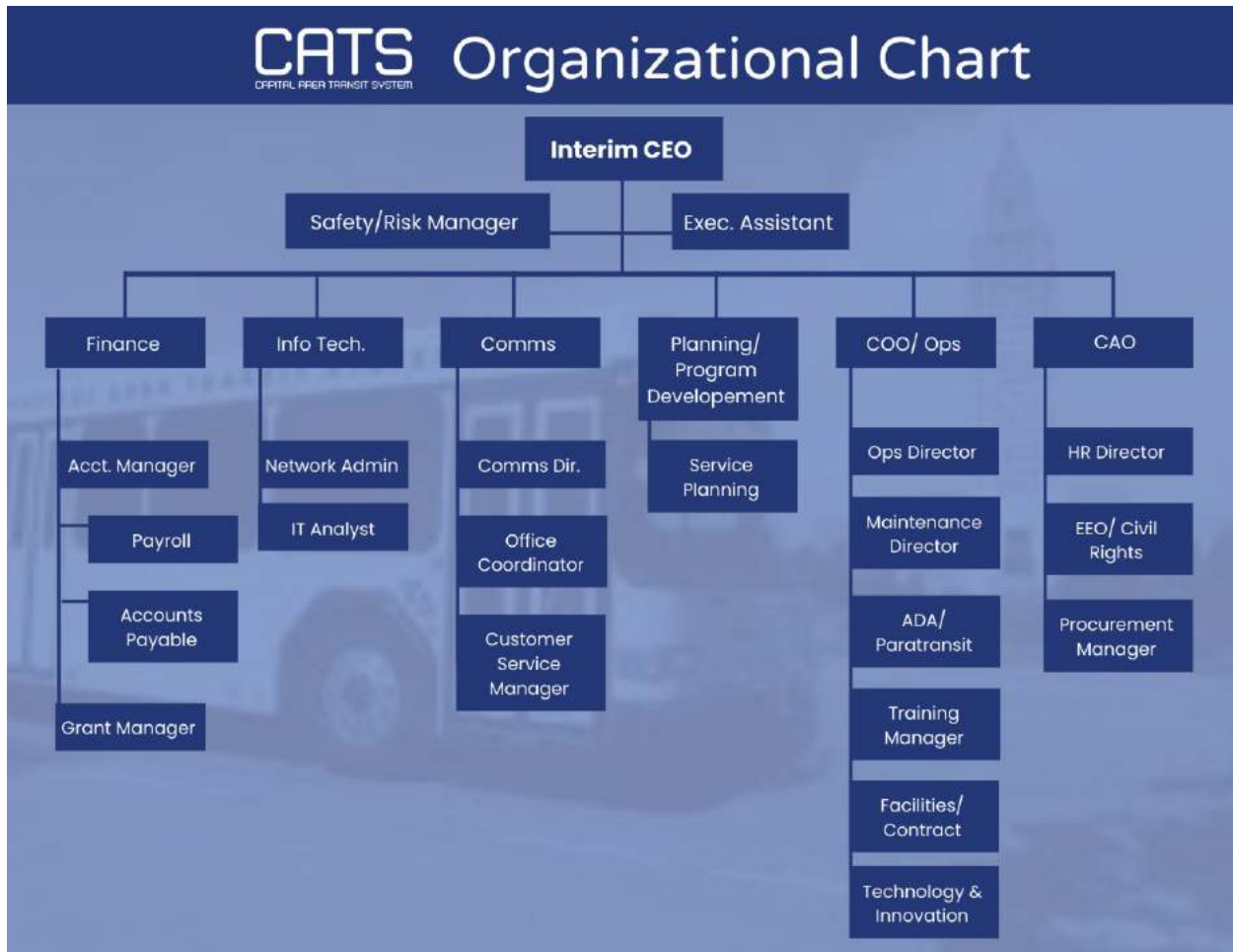
No additional transit service is provided by CATS on behalf of another transit agency or entity at this time.

Table 1: Agency Information

Information Type	Information
Full Transit Agency Name	Capital Area Transit System
Transit Agency Address	2250 Florida Blvd, Baton Rouge LA 70802
Name/Title of Accountable Executive 673.23(d)(1)	Dwana Williams, Interim Chief Executive Officer
Name of Chief Safety Officer or SMS Executive 673.(d)(2)	Ravena Budwine
Key Staff	James Payton, Interim Chief Operating Office Kelvin Rigley, Director of Maintenance Tonia Booker, Interim Human Resource Director Cheri Soileau, Director of Planning Deanna Wallace, Communications Director Demetrius Gulley, Interim Director of Operations Juvina Davis, Operations Manager
Mode(s) of Service Covered by this Plan 673.11(b)	Fixed Route, Demand-Responsive Americans with Disabilities (ADA), Microtransit, and future BRT
List all FTA Funding Types	5307, 5339
Mode(s) of Service Provided by Transit Agency (Directly operated or contracted service)	Fixed Route and Demand-Responsive ADA, Microtransit
Number of Vehicles Operated	62 Fixed Route and 25 Para Transit (ADA)

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Figure 1: Organizational Chart



Authority and Responsibilities – 673.23(d)

As stated in 49 CFR Part 673.23 (d), CATS is establishing the necessary authority, accountabilities, and responsibilities for the management of safety amongst the key individuals within the organization, as those individuals relate to the development and management of the SMS. In general, the following defines the authority and responsibilities associated with the organization.

The **Accountable Executive** has the ultimate responsibility for carrying out the SMS of the public transportation agency and control and direction over the human and capital resources needed to develop and maintain both the ASP, in accordance with 49 USC 5329(d) and the agency's TAM plan, in accordance with 49 USC 5326. The Accountable Executive has the authority and responsibility to address substandard performance in the CATS' SMS, per 673.23(d) (1).

Agency leadership and executive management are those members of the agency leadership, other than then Accountable Executive, CSO/SMS Executive, who have authority or responsibility for the day-to-day implementation of the agency's SMS.

The **Chief Safety Officer (CSO)** is the trained individual who has the authority and responsibility as designated by the Accountable Executive, for the day-to-day implementation and operation of the SMS. As such, the CSO is able to report directly to the Accountable Executive.

Key staff are staff, groups of staff, or committees to support the Accountable Executive, CSO, and/or SMS executive in development, implementing, and operating the SMS.

Front-line employees perform the daily tasks and activities where hazards can be readily identified so those hazards can be addressed before they become adverse events. These employees are critical to SMS success through each employee's respective role in reporting safety hazards, which is where an effective SMS and a positive safety culture begins.

In addition, over the subsequent years, CATS will be reviewing and modifying, if necessary current job descriptions to ensure that the job descriptions comply with 49 CFR Part 673.

On August 24th, 2022, a kickoff safety meeting was held to introduce the committee to the safety plans and procedures. At this meeting, rolls were appointed to those part of the committee. Two more meetings were held to discuss agendas as well as action items on September 7th, 2022, and October 5, 2022. The committee adopted this plan officially on October 5, 2022. Starting in 2023, quarterly meetings will be held. **Appendix A** includes Agendas and Meeting Notes for each meeting.

Safety Policies and Procedures

Policy Statement- 673.23(a)

CATS recognizes that the management of safety is a core value of the operation of transit vehicles and non-revenue vehicles throughout the service area. The management team will embrace the SMS and is committed to developing, implementing, maintaining, and constantly improving processes to ensure the safety of all employees, customers, and the general public. All levels of management and front-line employees are committed to safety and understand that this is the responsibility of all employees.

CATS is committed to:

- Communicating the purpose and benefits of the SMS to all staff, managers, supervisors, and employees. This communication will specifically define the duties and responsibilities of each employee throughout the organization and all employees will receive appropriate information and training.
- Providing appropriate management involvement and the necessary resources to establish an effective reporting system that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the management team.
- Identifying hazardous and unsafe work conditions and analyzing the provided data from the employee reporting system. After thoroughly analyzing the provided data, the appropriate supervisor(s) will develop processes and procedures to mitigate safety risks to an acceptable level.
- Ensuring that no action will be taken against employees who disclose safety concerns through the reporting system, unless disclosure indicates an illegal act, gross negligence, or deliberate or willful disregard of regulations or procedures.
- Establishing safety performance targets (SPT) that are realistic, measurable, and data driven.
- Continually improving the safety performance through management processes that ensure appropriate safety management action is taken and is effective.

Employee Safety Reporting Program- 673.23(b)

Front-line employees are a significant source of safety data. These employees are typically the first spot unsafe conditions that arise from unplanned conditions, either on the vehicles, in the maintenance facility, or in the field during operations. For this reason, the Employee Safety Reporting Program (ESRP) is a major tenet of the PTASP rule. Under this rule, agencies must establish and implement a process that allows employees to report safety conditions directly to senior management; provides protections for employees who report safety conditions to senior management; and include a description of employee behaviors that may result in disciplinary action.

In the *CATS Employee Handbook*, contains a procedure for all internal complaints. The procedure requires that when complaints are submitted, the complaints are first routed through dispatch to a street supervisor who will do the initial investigation. Then the operations manager reviews the supervisor's findings alongside safety and risk management and a final disposition is determined. The agency will not retaliate against any employee who files a complaint in good faith, even if an investigation produces insufficient evidence to support the complaint. CATS will, if necessary, review and modify the employee handbook to develop it into a full ESRP to ensure that the procedure complies with 49 CFR Part 673.

As contained in the employee handbook, the section for safety and health informs operators that they should report unsafe conditions, equipment, or practices to supervisory personnel, to the Incident/Accident Reporting box outside of the dispatch unit or by email to Safety@brcats.com. CATS also provides customers a telephone hotline that allows for complaints, questions, or suggestions for improvement.

In general, the ESRP will sure that all employees are encouraged to report safety conditions directly to senior management or their direct supervisor to escalate to senior management. The policy will also include any contract employees. It will spell out what protections are afforded to employees who report safety related conditions and describe employee behaviors that are not covered by those protections. The policy will also elaborate on how safety conditions that are reported will be reported back to the initiator(s)-either to the individual or groups of individuals or organization, depending on the nature of the safety condition(s).

To bolster the information received from front-line employees, CATS will also review current policy of how the agency receives information and safety-related data from employees and customers. If necessary, CATS will develop additional methods for receiving, investigating, and reporting results from investigations to relay back to the initiator or appropriate parties. This is to ensure that future reporting is encouraged.

Communicating the Policy throughout the Agency- 673.23(c)

CATS is committed to ensuring the safety of employees, customers and visitors. Part of that commitment is developing an agency wide safety culture that embraces the SMS and reduces the agency risk. The first step in developing a full SMS/agencywide safety culture is communicating the SMP throughout the agency.

The SMP and safety objectives are the forefront of all communications. This communications strategy will include posting the policy in prominent work locations for existing employees and adding the policy statement to the on-boarding material given to new employees. In addition, the policy statement will become part of the agency's regular safety meetings and other safety communications efforts. The policy will be signed by the Accountable Executive so that all employees know that the policy is supported by management.

The CATS SMS will use a variety of methods to communicate issues important to the operation of the SMS. This strategy will complement existing safety communication channels to make company personnel aware of SMS-related safety issues and their roles and responsibilities related to those issues. Effective communication is an essential requirement to ensure and demonstrate closed-loop communication (lessons-learned) from the SMS as a part of the continuous improvement of the SMS including:

- Ensuring that all staff are appropriately aware of the SMS;
- Conveying SMS lessons/information;
- Explaining why SMS related activities are introduced or changed;
- Conveying SMS activity updates;
- Educating personnel on the procedure for hazard and near-miss reporting; and
- Promotion of the company's safety objectives, targets and culture.

SMS communications methods vary but will comprise both internal and external communication/awareness. Internal communication/ awareness may be accomplished through the use of:

- Notice boards;
- Intranet postings;
- Regular safety meetings and/or training sessions;
- and
- Telephone or email communications.

PTASP Development and Coordination with LADOTD - 673.11(d)

This PTASP has been developed by LADOTD on behalf of the Baton Rouge Metropolitan Planning Organization (MPO) and CATS in accordance with all requirements stated in 49 CFR Part 673 applicable to a small public transportation provider. LADOTD mailed a formal call for participation in a State sponsored PTASP development process to all Louisiana Section 5307 small bus transit agencies on January 15, 2019 and followed that call with a series of phone calls and additional correspondence. CATS provided a letter to LADOTD opting into participation on March 15, 2019 and has been an active participant in the development of this plan through sharing existing documentation and participating in communication and coordination throughout the development of this plan. The CATS documentation used in the development of this plan is presented in Table 8, in Appendix A.

In support of tracking performance on our SA and SP processes, CATS will conduct a yearly safety culture survey. The survey is intended to help CATS assess how well we communicate safety and safety performance information throughout our organization by gauging how safety is perceived and embraced by CATS' administrators, supervisors, and staff. The survey is designed to help us assess how well we are conveying information on hazards and safety risks relevant to employees' roles and responsibilities and informing employees of safety actions taken in response to reports submitted through our ESRP







PTASP Annual Review- 673.11(a) (5)

Per 49 USC 5329(d) (1) (D), this plan includes provisions for annual updates of the SMS. As part of CATS' ongoing commitment to fully implementing SMS and engaging agency employees in developing a robust safety culture, CATs will review the PTASP and supporting documentation annually. The review will be conducted as a precursor to certifying to FTA that the PTASP is fully compliant with 49 CFR Park 673 and accurately reflect the agency's current implementation status. Certification will be accomplished through CATS' annual Certifications and Assurances.

The annual review will include the PTASP and supporting documentation (Standard Operating Procedures [SPO], Policies, Manuals, etc.) that are used to implement all processes used to manage safety at CATS. All changes will be noted, as discussed below, and the Accountable Executive will sign and date the title page of this document. Documentation will be provided showing approval by the CATS Board of Commissioners, either by signature, resolution, or in minutes.

The annual PTASP review will follow the update provided below in **Table 2**. As processes are changed to fully implement the SMS or new processes developed, CATS will track those changes to be included in the annual review.

Table 2: PTASP Annual Update Timeline

Task	Feb	March	April	May	June	July	Aug	Sept
Review Agency Operations								
Review SMS Documentation <ul style="list-style-type: none"> • Safety Policy • Risk Management • Safety Assurance • Safety Promotion 								
Review Previous Targets and Set/Continue Targets								
Report Targets to NTD, LADOTD, CRPC								
Make any necessary adjustments								
Update Version No., Adopt and certify plan compliance								

The following table, **Table 3**, will be used to record final changes made to the PTASP during the annual update. This table will be a permanent record of the changes to the PTASP over time.

Table 3: PTASP Record of Changes

Document Version	Section/Page(s) Changed	Reason for Change	Reviewer Name	Date of Change
Header	Text	Text	Text	Text
Header	Text	Text	Text	Text
Header	Text	Text	Text	Text

The implementation of SMS is an ongoing and iterative process and, as such, this PTASP is a working document. Therefore, a clear record of changes and adjustments is kept in the PTASP for the benefit of safety plan performance management and to comply with Federal statutes.

PTASP Maintenance – 673.11(a) (2) (c)

CATS will follow the annual review process outlined above and adjust this PTASP as necessary to accurately reflect current implementation status. This plan will document the processes and activities related to SMS implementation, as required under 49 CFR Part 673, Subpart C, and will make necessary updates to this PTASP as CATS continues to develop and refine the SMS implementation.

PTASP Documentation and Record Keeping – 673.31

At all times, CATS will maintain documents set forth in the ASP, including those documents related to the implementation of the SMS and those documents related to the results from SMS processes and activities. CATS will also maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out PTASP and all iterations of those documents. These documents will be made available upon request to FTA, other Federal entities, or LADOTD. CATS will maintain these documents for a minimum of three (3) years after the documents are created. These additional supporting documents are catalogued and the list will be kept current as part of the annual PTASP review and updated.

Safety Performance Measures- 673.11(a) (3)

The PTASP Final Rule, 49 CFR Part 673.11(a) (3), requires that all public transportation providers must develop a PTASP to include SPTs based on the safety performance measures established under the NSP. The safety performance measures outlines in the NSP were developed to ensure that the measures can be applied to all modes of public transportation and are based on data currently being submitted to the NTD. The safety performance measures included in the NSP are fatalities, injuries, safety events, and system reliability (State of Good Repair and tracked in the TAM Plan).

There are seven (7) SPTs that must be included in each PTASP that are based on the four (4) performance measures in the NSP. These SPTs are presented in terms of total numbers reported and rate per Vehicle Revenue Miles (VRM). Each of the seven SPTs is required to be reported by mode as present in Table 4.

Table 4: NSP Safety Performance Measures

Safety Performance Measure	SPT	SPT
Fatalities	Total Number Reported	Rate Per Total VRM
Injuries	Total Number Reported	Rate Per Total VRM
Safety Events	Total Number Reported	Rate Per Total VRM
System Reliability	Mean distance between major mechanical failure	Mean distance between major mechanical failure

Source: FTA

The following table includes baseline numbers for each of the performance measures. CATS collected the five (5) years of reported data from 2017-2021 to develop the rolling averages listed in the table.

Table 5: Baseline 2021 Safety Performance Measures

Mode	Fatalities	Rate* of Fatalities*	Injuries	Rate* of Injuries*	Safety Events	Rate* of Safety Events*	Mean Distance b/w Major Mechanical Failure (miles)
Fixed Route (Bus)	0.2	0.00001	12.8	0.000420	9.0	0.000296	7,447
Demand Response (Paratransit)	0.0	0.00000	0	0	.6	0.000083	217,546

*Note: rate= total number for the year/total revenue vehicle miles traveled

While safety has always been a major component of the CATS operation, the adoption of this PTASP will result in changes across all aspects of the organization. The SPTs set in the two subsequent tables reflect an acknowledgement that SMS implementation will produce new information that will be needed to accurately set meaningful SPTs. CATs targets for fatalities will remain aspirational and set to zero. Targets for all other areas have been reduced by five percent. These targets will be continuously monitored and updated at the next PTASP update.

Table 6: Fixed Route (Bus) Safety Performance Targets

Measure	Baseline	Target
Fatalities	.02	0
Rate* of Fatalities*	0.00001%	0
Injuries	12.8	12.2
Rate* of Injuries*	0.000420%	0.00042%
Safety Events	9,0	8.6
Rate* of Safety Events*	0.000296%	0.00030%
Mean Distance Between Major Mechanical Failure (miles)	7,447	7,075

*Note: rate= total number for the year/total revenue vehicle miles traveled

Table 7: Demand Response ADA Safety Performance Targets

Measure	Baseline	Target
Fatalities	0.0	0.0
Rate* of Fatalities*	0.000000%	0.0
Injuries	0.0	0.0
Rate* of Injuries*	0.000000%	0.0
Safety Events	0.6	0.6
Rate* of Safety Events*	0.000083%	0.000000%
System Reliability	217,546	206,669

*Note: rate= total number for the year/total revenue vehicle miles traveled

As part of the annual review of the ASP, CATS will re-evaluate the SPTs and determine whether the SPTs need to be refined. As more data is collected as part of the SRM process discussed later in this plan, CATS may begin developing safety performance indicators to help inform management on safety related investments.

Safety Performance Target Coordination- 673.15(a) (b)

CATS will make the SPTs available to LADOTD and the local MPO: Capital Region Planning Commission (CRPC) to aid in those agencies' respective regional and long-range planning processes. CATS will make every effort to coordinate with LADOTD and CRPC in the selection of State and MPO SPTs as documented in the Interagency Memorandum of Understanding (MOU).

Each year, during FTA Certifications and Assurances reporting process, CATS will transmit any updates to SPTs to both CRPC and LADOTD (unless those agencies specify another time in writing).

Safety Management Systems- 673 Subpart C

As previously noted, FTA has adopted SMS as the basis for improving safety across the public transportation industry. In compliance with the National Safety Program, National Public Transportation Agency Safety Plan and 49 CFR Part 673, CATS is adopting SMS as the basis for directing and managing safety and risk at the agency. CATS has always viewed safety as a core business function. All levels of management and employees are accountable for appropriately identifying and effectively managing risk in all activities and operations in order to deliver improvements in safety and reduce risk to the lowest practical level during service delivery.

SMS is comprised of four basic components: SMP, SRM, SA, and SP. The SMP and SP are the enablers that provide structure and supporting activities that make SRM and SA possible and sustainable.

Figure 2: Safety Management Systems

Implementing SMS at CATS will be a major undertaking over the next several years. This PTASP



is the first step to putting in place a systematic approach to managing the agency's risk. CATS has already taken several steps to implement the SMS, such as developing this initial PTASP and designating a CSO. During the first year of implementation, CATS will identify SMS roles and responsibilities and key stakeholder groups, identify key staff to support implementation, and ensure the identified staff receive SMS training. CATS will also develop a plan for implementing SMS, inform stakeholders about the ASP, and discuss our progress toward implementation with the Board of Commissioners and the agency's planning partners.

Safety Risk Management-673.25

By adopting this ASP, CATS is establishing the SRM process presented below for identifying hazards and analyzing, assessing, and mitigating safety risk in compliance with the requirements of 49 CFR Part 673.25. The SRM processes described in this section are designed to implement the CATS SMS.

Figure 3: Safety Risk Management Process



The implementation of the SRM component of the SMS will be carried out over the course of the next year. The SRM components will be implemented through a program of improvement during which the SRM processes will be implemented, reviewed, evaluated, and revised as necessary, to ensure the processes are achieving the intended safety objectives as the processes are fully incorporated into CATS' SOPs.

The SRM is focused on implementing and improving actionable strategies that CATS has undertaken to identify, assess and mitigated risk. The creation of a Risk Register provides an accessible resource for documenting the SRM process, tracking the identified risks, and documenting the effectiveness of mitigation strategies in meeting defined safety objectives and performance measures. The draft Risk Register is presented below.

Figure 4: Draft Risk Register

Hazard	Type	Likelihood	Consequence	Resolution

As the SRM process progresses, though the steps of identifying what may be wrong, what could happen as a result, and what steps CATS is taking to resolve the risk and mitigate the hazard, the CSO completes and publishes the various components of the Risk Register. These components include the use of safety hazard identification, safety risk assessment, and safety risk mitigation, as described in the following sections.

Safety Hazard Identification-673.25(b)

CATS has an *Emergency Preparedness and Recovery Plan* in place to identify safety hazards and plan for emergencies. The purpose of this plan is to capture all of the information relevant to CATS' ability to withstand an emergency and to document the steps that CATS will follow if an emergency occurs so that business continuity is restored. Although the current procedures have been effective in achieving our safety objectives, to ensure compliance with 49 CFR Park 673, CATS is working to implement the following expanded SRM process.

The SRM process is a forward-looking effort to identify safety hazards that could potentially result in negative safety outcomes. In the SRM process, a hazard is real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or, damage to the environment.

Hazard identification focuses on out-of-the-norm conditions that need special attention or immediate action, new procedures or training to resolve a condition that is unacceptable and return conditions to an acceptable level. CATS uses a variety of mechanisms for identifying and documenting hazards, namely:

- Through training and reporting procedures, CATS ensures personnel can identify hazards and that each employee clearly understands that the employee clearly understands that the employee has a responsibility to immediately report any safety hazards identified to the employee's supervisor(s). Continued training helps employees to develop and improve the skills needed to identify hazards.
- Employee hazard training coupled with the ESRP ensures that CATS has full use of information from frontline employees for hazard identification.
- Upon receiving the hazard report, supervisors communicate the identified hazard to the CSO for entry into the risk register for risk assessment, classification and possible mitigation.

- In carrying out the risk assessment, the CSO uses standard reporting forms (e.g. *Pre-and-Post-Trip Inspection Forms* and *Driver Vehicle Inspection Report* to mitigate mechanical based safety hazards that are identified) and other reports completed on a routine basis by administrative, operations, and maintenance. The CATS employee handbook contains procedures for flagging and reporting hazards as a part of day-to-day operations.
- Supervisors are responsible for performing and documenting regular safety assessments, which include reporting and recommending methods to reduce identified hazards.
- CATS uses incident reports and records to determine specific areas of training that need to be covered with employees to ensure safety hazard identification is continually improved, and thus ensure that hazards were identified before an event recurrence.
- Incident reports are also analyzed by the risk management team to identify any recurring patterns or themes that would help to identify underlying hazards and root causes of the event that can be mitigated to prevent recurrence.
- If a hazard is such that an employee would be reluctant to report the information due to perceived negative consequences (e.g. disciplinary action), alternative, anonymous reporting form, or other secure mechanism.
- To increase the safety knowledge of our agency, the CSO, risk management personnel and subject matter experts are also encouraged to participate in available professional development activities and peer-to-peer exchanges as a source of expertise and information on lessons learned and best practices in hazard identification.
- Other sources for hazard identification include:
 - ESRP
 - Inspections of personnel job performance, vehicles, facilities and other data
 - Investigation of safety events
 - Safety trend analysis on data currently collected
 - Training and evaluation records
 - Internal safety audits
 - External sources of hazard information could include:
 - FTA and other federal and/or state authorities
 - Reports from the public
 - Safety bulletins from manufacturers or industry associations

In addition to identifying the hazard, the hazard identification process also classifies the hazard by type (organizational, technical, or environmental) to assist the CSO in identifying the optimal combination of departmental leadership and subject matter expertise to select in assembling the safety risk assessment.

The various hazard types can also be categorized by subcategory for each type. For example, organizational hazards can be subcategorized into resourcing, procedural, training, or supervisory hazards. Each of the subcategories- implies different types of mitigation strategies and potentially affect overall agency resources through varying costs for implementation. Technical hazards can be subcategorized into operational, maintenance, design, and equipment. Additionally, environmental hazards can be subcategorized into weather and natural, which is always a factor for every operation.

Safety Risk Assessment-673.25(c)

CATS currently uses an informal process for assessing risks and threats with reference to security for the transportation system.

As part of the new SRM process, CATS has developed methods to assess the likelihood and severity of the consequences of identified hazards and prioritizes the hazards based on the safety risk. The process continues the use of the Risk Register described in the previous section to address the next two components.

To accurately assess a risk, CATS may need to perform an investigation. CATS currently investigates accidents and crashes but will need to develop a full investigation procedure to inform the SRM process. The investigation procedure will start with the Assessment Form and framework found in the Accident Investigation Procedure and will be developed to cover all risk assessment. Once fully developed, the document will become the Investigation SOP. The SOP will include accident investigation procedures as well as risk investigation procedures. These procedures will be used to investigate risks identified from multiple sources, including the ESRP.

Safety risk is based on an assessment of the likelihood of a potential consequence and the potential severity of the consequences in terms of resulting harm or damage. The risk assessment also considers any previous mitigation efforts and the effectiveness of those efforts. The results of the assessment are used to populate the third and fourth components of the Risk Register as presented in the previous Safety Risk Assessment matrix.

Figure 5: Safety Risk Assessment Steps in Populating the Risk Register

Hazard	Type	Likelihood	Consequence	Resolution

Source:

The risk assessment is conducted by the CSO and the risk management team through the safety compliance committee supplemented by subject matter experts from the respective department or section to which the risk applies. The process employs a safety risk matrix, similar to the one presented previously, that allows the safety team to visualize the assessed likelihood and severity, and to help decision-makers understand when actions are necessary to reduce or mitigate safety risk.

Figure 6: Safety Risk Assessment Matrix

Risk Assessment Matrix				
Severity	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Likelihood				
Frequent (A)	High	High	High	Medium
Probable(B)	High	High	Medium	Medium
Occasional (C)	High	Medium	Medium	Low
Remote (D)	Medium	Medium	Low	Low
Improbable (E)	Medium	Low	Low	Low

Although the current version of the matrix relies heavily on the examples that are listed on the PTASP Technical Assistance Center website, lessons learned from the implementation process during the coming years will be used to customize the matrix that CATS will use to address our unique operating realities and leadership guidance.

The Risk Assessment Matrix is an important tool. If the risk is assessed and falls within one of the red zones, the risk is determined to be unacceptable under existing circumstances. This determination means that management must take action to mitigate the situation. This is the point in the process when SRMs are developed. If the risk is assessed and falls within one of the yellow zones, the risk is determined to be unacceptable, but monitoring is necessary. If the risk falls within one of the green zones, the risk is acceptable under the existing circumstances.

Once a hazard’s likelihood and severity have been assessed, the CSO enters the hazard assessment into the Risk Register that is used to document the individual hazard and the type of risk it represents. This information is used to move to the next step, which is hazard mitigation.

Safety Risk Mitigation-673.25(d)

CATS currently has an *Emergency Preparedness and Recovery Plan* which seeks to include the four phases of emergency management which are: mitigating activities that eliminate or reduce the probability of disaster; preparing for activities that governments, organizations, and individuals develop to save lives and minimize damage; responding to provide emergency assistance; recovering short and long term activities that return all systems to normal or improved standards.

Upon completion of the risk assessment, the CSO and the safety committee continue populating the Risk Register by identifying mitigations or strategies necessary to reduce the likelihood and/or severity of the consequences. The goal of this step is to avoid or eliminate the hazard, or when elimination is not likely or feasible, to reduce the assessed risk rating to an acceptable level. However mitigations or strategies necessary to reduce the likelihood and/or severity of the consequences. The goal of this step is to avoid or eliminate the hazard or, when elimination is not likely or feasible, to reduce the assessed risk rating to an acceptable level. However, mitigations do not typically eliminate the risk entirely.

Figure 7: Risk Register Mitigation Component

Hazard	Type	Likelihood	Consequence	Resolution

To accomplish this objective, the CSO, through the risk management team, works with subject matter experts from the respective department or section to which the risk applies. The risk management team then conducts a brainstorming exercise to elicit feedback from staff and supervisors with the highest level of expertise in the components of the hazard.

Documented risk resolution and hazard mitigation activities from previous Risk Register entries and the resolution’s documented level of success at achieving the desired safety objectives may also be reviewed and considered in the process. If the hazard is external (e.g., roadway construction by an outside agency) information and input from external actors or experts may also be sought to take advantage of all reasonably available resources and avoid any unintended consequences.

Once a mitigation strategy is selected and adopted, the strategy is assigned to an appropriate staff member or team for implementation. The assigned personnel and personnel’s specific responsibilities are entered into the Risk Register. Among the responsibilities of the mitigation team lead is the documentation of the mitigation effort, including whether the mitigation was carried out as designed and whether the intended safety objectives were achieved. This information is recorded in the appendix to the Risk Register for use in subsequent SA activities and to monitor the effectiveness of the SRM program.

Safety Assurance-673.27(a)

Safety Assurance means processes within the CATS SMS that function to ensure a) the implementation and effectiveness of safety risk management and b) CATS meets or exceeds our safety objectives through the collection, measurement analysis and assessment of information.

SA helps to ensure early identification of potential safety issues. SA also ensures that safeguards are in place and are effective in meeting CATS’ critical safety objectives and contributes towards the SPTs.

Safety Performance Monitoring and Measuring-673.27(b)

As the first step in CATS’ SA program, CATS collects and monitors data on safety performance indicators through a variety of mechanisms described in the following sections. Safety performance indicators can provide early warning signs about safety risks. CATS currently relies primarily on lagging indicators representing negative safety outcomes that should be avoided or mitigated in the future. However, initiatives are underway to adopt a more robust set of leading indicators that monitor conditions that are likely to contribute to negative outcomes in the future. In addition to the day-to-day monitoring and investigation procedures detailed below, CATS will review and document the safety performance monitoring and measuring processes as part of the annual updates of this ASP.

Monitoring Compliance and Sufficiency of Procedures-673.27(b) (1)

CATS monitors system for personnel compliance with operations and maintenance procedures and also monitors these procedures for adherence to safety objectives.

Department Heads monitor employee compliance with CATS SOPs through direct observation and review of information from internal reporting systems such as the *Complaint Report System* from both employees and customers.

CATS addresses non-compliance with standard procedures for operations and maintenance activities through a variety of actions, including revision to training materials and delivery of employee and supervisor training if the non-compliance is systemic. If the non-compliance is situational, then activities may include supplemental individualized training, coaching, and heightened management oversight, among other remedies.

Sometimes personnel are fully complying with the procedures, but the operations and maintenance procedures are inadequate and pose the risk of negative safety outcomes. In this case, the cognizant person submits the deficiency or description of the inadequate procedures to the SRM process. Through the SRM process, the SRM team will then evaluate and analyze the potential organizational hazard and assign the identified hazard for mitigation and resolution, as appropriate. The SRM team will also conduct periodic self-evaluation and mitigation of any identified deficiencies in the SRM process itself.

Monitoring Operations-673.27(b) (2)

Department heads are required to monitor investigation reports of safety events and SRM resolution reports to monitor the department's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended. If it is determined that the safety risk mitigation did not bring the risk to an acceptable level or otherwise failed to meet safety objectives, then the supervisor resubmits the safety risk/hazard to the SRM process. The CSO will work with the supervisor and subject matter experts to reanalyze the hazard and consequences and identify additional mitigation or alternative approaches to implementing the mitigation procedures.

Safety Event Investigation-673.27(B) (3)

CATS currently conducts investigations of safety events. From an SA perspective, the objective of the investigation is to identify causal factors of the event and to identify actionable strategies that CATS can employ to address any identifiable organizational, technical or environmental hazard at the root cause of the safety event.

Safety Event investigations that seek to identify and document the root cause of an accident or other safety event are a critical component of the SA process because they are a primary resource for the collection, measurement, analysis and assessment of the information. CATS gathers a variety of information for identifying and documenting root causes of accidents and incidents, including, but not limited to:

1. Obtain from the Operator the following:
 - a. Location of the incident and what direction they were traveling (inbound or outbound). If in a station, indicate the situation.
 - b. Bus number and route
 - c. If there are injuries, describe the appearance of the injuries
 - d. Provide information about any other vehicles or pedestrians involved and their descriptions.
2. Remind the operator of the safety procedures

- a. Turn on 4-way flashers. Place traffic warning devices (orange triangles)
 - b. Recheck anyone with injuries. Do not move the seriously injured.
 - c. Render comfort and aid to anyone injured, as may be appropriate.
 - d. Evacuate the bus, if necessary.
 - e. Keep the two-way radio on and monitored.
 - f. Hand out courtesy cards to the passengers and to any witnesses.
 - g. Moved the vehicle to the side of the road unless it is inoperable.
3. Notify the following
 - a. Call the police. Call Emergency Medical Personnel 911
 - b. Notify/call the CSO and Supervisors and immediate supervisor on duty at the time. If the supervisor cannot be reached, notify the CSO.
 4. The supervisor will
 - a. Determine whether the Chief Operating Officer, Director of Operations, and the Chief Executive Officer needs to be contacted, but will give them a report when the supervisor finishes the initial assessment.
 - b. Let the Operator know that police and supervision have been contacted and help is on its way.
 - c. Assign a Standby Operator to pre-trip a bus in case a standby must drive the next trip for the operator on that route. When needed, the Standby Operator may take a bus out to continue the route.
 - d. Let the Operator know that a Standby Operator and bus have been assigned to continue the route or that support personnel are bringing another bus to them.
 - e. Refer the Operator for required drug and alcohol testing in compliance with 49 CFR §655.44 Post-Accident Testing, if the safety event meets the definition of accident in 49 CFR §655.4.
 - f. Return to the appropriate facility.
 - g. Record all accident information on the Daily Dispatch log any missed trips, downtime or bus change outs.
 5. Dispatcher on duty will give the Operator an incident report to complete before the Operator leaves that day. Dispatchers make sure the CSO has a copy of the report.
 6. The CSO, working with content specialists, will evaluate the incident report and other available information to determine the root cause of the accident/event. Follow-up with operator or other relevant parties may be necessary.
 7. The CSO identifies any hazards noted in the incident report and refers those hazards to the SRM process.

Monitoring Internal Safety Reporting Programs-673.27(b) (4)

As a primary part of the internal safety reporting program, CATS monitors information reported through the ESRP. When a report originating through the complaint process documents a safety hazard, the supervisor submits the hazards identified through the internal reporting process, including previous mitigation in place at the time of the safety event. The supervisor submits the hazard report to the SRM process to be analyzed, evaluated, and, if appropriate, assigned for mitigation/resolution.

Other Safety Assurances

Because leading indicators can be more useful for safety performance monitoring and measurement than lagging indicators, CATS is undertaking efforts to implement process to identify and monitor more leading indicators or conditions that have the potential to become or contribute to negative safety outcomes. This may include trend analysis of environmental

conditions through monitoring National Weather Service data, monitoring trends toward or away from meeting the identified SPTs, or other indicators as appropriate.

Safety Promotion-673.29

Management support is essential to developing and implementing SMS. SP includes all aspects of how, why, when and to whom management communicates safety-related topics. SP also includes when and how training is provided. The following sections outline both the safety competencies and training that CATS will implement and how safety related information will be communicated.

Safety Competencies and Training-673.29(a)

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

As part of the SMS implementation, CATs will conduct the following:

- Conduct a thorough review of all current general staff categories (administrative, operator, supervisor, mechanic, maintenance, etc.) and the respective staff safety related responsibilities.
- Assess the training requirements spelled out in 49 CFR Part 672 and the various courses required for different positions. (CATS is not subject to the requirements under 49 CFR Part 672 but will review the training requirements to understand what training is being required of other larger agencies in the even the training would be useful).
- Assess the training material available on the FTA PTASP Technical Assistance Center website.
- Review other training material available from industry sources, such as the Community Transportation Association of America or the American Public Transportation Association websites.
- Develop a set of competencies and trainings required to meet safety-related activities for each staff category.
- Develop expectations for on-going safety training and safety meeting attendance.
- Develop a training matrix to track progress on individuals and groups within the agency.
- Adjust job notices associated with general staff categories to ensure that new personnel understand the safety-related competencies and training needs and the safety responsibilities of the job.
- Include refresher training on all trainings and apply it to agency personnel and contractors.

Safety Communication- 673.29(b)

CATS regularly communicate safety and safety performance information through the organization that, at a minimum, conveys information on hazards and safety risks relevant to employees' roles and responsibilities and informs employees of safety actions taken in response to reports submitted through the ESRP or other means.

CATS reports any safety-related information to the Board of Commissioners at their regular meetings and will be including safety performance information. In addition, CATS holds regularly scheduled meetings with drivers to ensure that any safety-related information is shared which

might impact operators' duties and responsibilities. CATS also posts safety-related and other pertinent information in a common room for employees.

CATS will begin systematically collecting, cataloging, and, where appropriate, analyzing and reporting safety and performance information to staff. To determine what information should be reported, the manner in which it should be and to whom, the following questions/criteria will be evaluated:

- What information is needed for the employee to do their job?
- What is the best way for this information to be shared so it is easily understood?
- What is the best way to ensure that there will be follow-through (as appropriate) with the information by the employee?
- What is the best way to ensure that the information is accurate and kept up-to-date?
- What might be other privacy or security concerns when sharing information? If there are, what should be done to address the concerns?

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

DRAFT

Appendix A

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**INITIAL AGENCY SAFETY COMMITTEE MEETING
WEDNESDAY, AUGUST 24, 2022
10:00 a.m.
Training Room
350 N. Donmoor
Baton Rouge, Louisiana 70802**

AGENDA

1. Overview of the federal requirement for CATS Public Transportation Agency Safety Plan
2. Safety Committee Purpose
3. Safety Committee Expectations
4. Assign a Chairperson, Vice Chairperson and Secretary.
5. Discuss Action Items for scheduled follow up meetings:
 - a. September 7, 2022
 - b. September 21, 2022

CATS Safety Committee Meeting Notes—

8/24/2022

- In order to receive federal funding, a safety plan must be created
- Biden Bipartisan Law causes changes that need to be made to the agency safety plan
- Meeting twice within the next four weeks to update the plan.
 - Will be meeting quarterly starting in 2023.
- Members in the committee will be communicated.
- 7th meeting will be to discuss the safety plan from 2020 (packets given out)
- Email: safety@brcats.com for questions, comments, concerns
- Appointed members thus far:
 - Ravena—Committee Chair
 - Ryans—Co-chair/Vice chair
 - Craig—Secretary

CATS AGENCY SAFETY COMMITTEE MEETING
WEDNESDAY, SEPTEMBER 7, 2022
10:00 a.m.
Training Room
350 N. Donmoor
Baton Rouge, Louisiana 70802

AGENDA

1. Recap Purpose of Safety Committee
2. Recap Safety Committee Expectations
3. Discuss reported Safety Concerns
4. Questions or Discussion regarding current PTASP (Action item from previous meeting)
5. Discuss Safety Performance Measures and Targets (Pages 10-11 in draft PTASP)
6. Discuss Action Items for next and final 2022 meeting.
 - a. Review draft PTASP, send or provide any change recommendations to CATS Safety Department by September 19, 2022. (This can be done via email to RBudwine@brcats.com, or discussed/dropped off in person, or left via the mailbox outside of the Safety department). If no changes are recommended, please send an email with the

subject: Agency Safety Plan REVIEWED-NO CHANGES
RECOMMENDED.

- b. The final draft copy will be emailed or available for pick up from the Safety Department by September 27th.
- c. Safety Committee will meet the week of October 3rd to vote on adopting the policy and move forward with obtaining The Board of Directors approval.

Safety Committee Meeting Notes-

09/07/2022

A. Biden Bipartisan Law causes changes to be made to the original Agency Safety Plan

1. Purpose and expectations of Safety Committee
2. FTA requirement – plan to include safety performance measures .

B. Safety performance measure's baseline and targets reviewed and discussed.

C. Action Items for next and final 2022 meeting to be scheduled for the Week of October 3rd

1. A copy of the revised PTASP was distributed to all members . Each member will review draft PTASP, then, send or provide any change recommendations to CATS Safety Department by **September 19, 2022.** (This can be done via emailing to the Safety Officer or discussed/dropped off in person or left via the mailbox outside of the Safety department). If no changes are recommended, please send an email with the subject: Agency Safety Plan REVIEWED-NO CHANGES RECOMMENDED.

D. Upon receipt of all comments/updates, the final PTASP draft copy will be emailed or available for Safety Committee members to pick up from the Safety Department by **September 27th.**

E. Safety Committee will meet the **week of October 3rd** to vote on adopting the policy and move forward with obtaining The Board of Directors approval.

F. Safety Hazards/Concerns provided to be reviewed and addressed by Safety Committee and key staff.

**CATS AGENCY SAFETY COMMITTEE MEETING
WEDNESDAY, OCTOBER 5, 2022
9:00 a.m.
Training Room
350 N. Donmoor
Baton Rouge, Louisiana 70802**

AGENDA

1. Recap Purpose of Safety Committee
2. Questions or Discussion regarding updated PTASP (Action item from previous meeting)
3. Vote to move forward with PTASP
4. Discuss 2023 initial meeting date and expectations including implementation of the Safety Risk Register.

CATS Safety Committee Meeting Notes—

10/05/2022

- Recap purpose and objectives of Safety Committee
- Sample Safety Risk Register introduced. Risks registered in database will be discussed at future meetings. Instructions on Safety Risk Register provided in detail.
- Safety Committee, voted on moving PTASP to Board of Commissions. All members in attendance (6-majority) voted in favor of adopting the updated 10/18/22 PTASP.
- Discussed safety issues of concern which includes the following:
 - Private security and BRPD detail. Lack of reliability.
 - How to identify banned riders due to safety issues of new cadets.
 - Cut outs/pullover stops, Lack of “right away” laws for transit buses in La
 - Routes with railroads leads to irate riders. Rerouting concerns.

Appendix B- Board Minutes/Resolution

DRAFT

DRAFT

CATS Procurement Listing for CATS Board

10/18/2022	Professional Service Contracts						
Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Remaining Balance as of 10-03-22	Additional Notes
<i>Court Reporting Services</i>	Service Contract	Baton Rouge Court Reporting	\$43,500	1/1/2021	12/31/2021	\$28,696	<i>Transcription Services for board meeting, negotiation, arbitrations and as required.</i>
<i>Chief Administrative Officer (Interim)</i>	Service Contract	Keystone Consultant Group	\$125,000	3/24/2022	12/31/2022	\$34,500	<i>Contract increase and Board Approved 2022</i>
<i>Federal Grants Guidance</i>	Service Contract	Stephanie Pulley	\$50,000	12/1/2021	12/31/2022	\$41,125	<i>Federal Grants Strategic Guidance. Support as needed to Grants Manager</i>
<i>Government Relations Consulting</i>	Service Contract	Southern Strategy Group of LA	\$50,000	1/1/2022	12/31/2022	\$32,500	<i>Services relating to local and state Governmental Regulations and Legislative Affairs Contract 18</i>
<i>Professional Development for CATS Management</i>	Service Contract	Insight Strategies	\$49,500	5/18/2021	2/17/2022	\$12,300	<i>Employee Assessment & Leadership Professional Development Training</i>
<i>Maintenance & Operations Support including Bus Inspection</i>	Service Contract	ESA Management & Engineering Consultant	\$30,000	7/1/2022	12/31/2022	\$30,000	<i>Oversight from plant manufacturing to final delivery, inspection, and Buy America compliance acceptance</i>
<i>Procurement Consultant</i>	Service Contract	Kathy Hernandez	\$50,000	2/1/2022	1/31/2023	\$25,700	<i>Support Procurement in areas including BRT support and Internal Process improvement</i>
<i>Legal Services</i>	Service Contract	Breazeale, Sachse & Wilson, LLP	\$120,000	7/1/2022	12/31/2022	\$89,174	<i>2 prior contract approved by Board. \$125,000 on 4/20 \$100,000 6/30/22</i>
<i>Legal Services as required by CATS</i>	Service Contract	Law Office of Derrick Moore did the Board Approve	\$75,000	1/1/2022	12/31/2022	\$0	<i>Multiple Contracts since 2020</i>

CATS Procurement Listing for CATS Board

10/18/2022	Professional Service Contracts						
Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Remaining Balance as of 10-03-22	Additional Notes
<i>Board Retreat Facilitator</i>	Service Contract	Frank T Martin Consultat LLC	\$44,500	<i>3/1/2022</i>	<i>12/31/2022</i>	\$6,998	<i>Foster a better understanding between Board and Executive Management</i>
<i>Organizational, Leadership and Staff Development</i>	Service Contract	Bayard Management Group LLC	\$35,000	<i>3/8/2022</i>	<i>12/31/2022</i>	\$23,000	<i>Design and implement programs developing strong leaders & staff.</i>
<i>FY2023 FTA Comprehensive Oversight Review</i>	Service Contract	Pierlott & Associates, LLC	\$48,094	<i>8/1/2022</i>	<i>12/31/2022</i>	\$48,094	<i>Compliance Workshop, Assessment and Final Report.</i>

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391,586

CATS Procurement Listing for CATS Board

October 18th 2022

Yellow = Action Item / needs Board Approval now

Blue = Projects Pending Board Action within 1 to 3 months

Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
A								
A&E Design Services Transit Amenities & Related Equip PR #934 RFQ 2019- AmenitiesDesign-005	A&E Design Services	Reich Landscape Architecture	Approx Cost \$180,000	6/20/19	6/19/2024	06/15/19	RFQ for Design Services for Transit Amenities and Related Equipment	8/9/19- Executed Contract 4/17/19 – Proposals were received by Procurement, and PEC evaluated proposals and recommend an award at the June 2019 Board meeting for \$180,000. 3/28/19 – RFQ was solicited. Proposals due at 10:00am on 4/17/19. Will include Shelters, Kiosks, Landscapes, etc. Design consultant will also assist CATS with the construction bids in determining the lowest responsive bidder in meeting the technical specifications.
Audit Services CATS & Pension External Audit Services	Service Contract	Postlethwaite & Netterville	\$38,000 increase Contract value for CYE 2021 to \$121,675 Contract Value with increase for CYE 2021 \$83,675. Contract Value with increase for CYE 2020 \$329,300	01/01/22 01/01/22	12/31/22 12/31/22	 12/21/21	External Audit Services	Request approval to increase contract by up to \$26,000 for CYE 2021 during year 2022 Total Contract Value if approved will be \$450,975. 1st Option Year Request approved to increase contract by up to \$83,675 for Auditing CYE 2021 work performed during year 2022. Request approval to increase contract by up to \$65,000 for CYE 2020 during year 2021. Request approved to increase contract by \$49,800 for CYE 2020. Options available for future years. Contract executed 06/20. 06/23/20 Board Approved. Additional \$63,000 for CATS CYE 2019 to initial \$32,000 for <u>new 2019 total of \$95,000</u> 7/16/19–Board approved additional \$119,500 for CATS CYE 2018 to initial \$31,500 for <u>new 2018 total of \$151,000</u> . 11/13/18 - Board approved 11/8/18 – F&E Committee approved to move to full Board. RFP opened on 10/30/18. For Calendar Years ending in 2018 through 2020, with 2 one-year renewal options.
Accounting Service Contract Accounting Manager	Service Contract	Insight Business Consulting, LLC/ Michael Falgout	\$100,000 new value \$50,000 old value	05/02/22	11/01/22	04/19/22	Interim Accounting Manager Services	Contract has ended and no further work is being done. This is a new vendor but the consultant providing this service is Michael J. Falgout. \$50,000 original contract utilized but run out of funds. Falgout original contract was \$50,000.

CATS Procurement Listing for CATS Board

October 18th 2022

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Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
C								
Claims Adjuster Bus Fleet Liability & Worker Comp	Service Contract New RFP	Brown Claims Management Group Adjuster Claim Services Bus Liability & W C	Updated Hourly Rates have been applied Refer to updated Hourly Rates for renewal period 1/1/21 thru 12/31/21	Extension from 01/01/22 Extension from 01/01/21 03/01/2020 Renewal: 3/1/19	Extension until 12/31/22 Extension until 12/31/21 12/31/20 2/29/20	Continuance of existing contract Extension Approved 12/15/20 06/23/20	<i>Adjustor Claim Services, Investigations, Fleet Liability and Workers Comp</i> <i>(Original 5-year contract)</i>	As of 06/24/22 extended until 12/31/22. As of 01/12/22, Extended thru 03/31/22. Claims adjustor scope being developed. Will address bus liability separate from Workers Compensation. As of 11/30/21, new approach developed to supply these services. ¹ Attempt to bid late 2021 was not successful and no award was made. 12/15/20 Board approved extension until 12/31/21. Period Extension thru 12/31/20 allowing time to formulate new RFP. 3/11/2020-Contract signed and mailed to vendor for extension. 9/9/16 – Contract renewal finalized. 8/30/16 – CATS Board approved renewal of contract. 8/11/16.
D								
Drug & Alcohol 3rd Third Party Adm D & A Services for Safety Sensitive	Services State Contract	Applya IHSN 6 th extension	\$25,000 Estimated for 3 years \$25,000 Estimated for 3 years	01/01/22 5/1/20 Extension from 05/01/2020	12/31/22 Extension until 12/31/21 Extension until 12/31/20	NA 12/15/20 6/23/20	FTA mandated Third Partying Administrator services for Drug & Alcohol /substance abuse services for safety sensitive Extension allowing rebid 2021. FTA mandated Third Partying Administrator services for Drug & Alcohol /substance abuse services for safety sensitive employees. PO 2019052	State Contract is being used going forward. Notice given to IHSN, contract ends 12/31/21. Executed agreement via state contract with Applya for CY 2022. Extension Approved. 06/23/20 Board Approved. Period Extension thru 12/31/20 allowing time to formulate new RFP. Estimated cost to be \$25,000 for a 3 year contract. 3/18/19 CATS extended 12-month renewal with IHSN with only a \$0.50 increase on drug tests. Contract originated in 2012.
F								
Financing Bus Finance Lease /Purchase (10 Gillig Buses)	Bus financing for 7 years through 2024	Banc of America Public Capital Corp (Scottsdale, AZ)	Finance 10 Gillig Diesel Buses for 7 years.	04/17	10/24	3/21/17	Capital Bus Lease/Purchase Finance 10 Gillig Buses Pay over 7 year period. Total Cost: \$4,217,800 2 payments of \$328,137 per year = \$656,273 per yr.	3/21/17 – Board approved financing of 10 Gillig buses. 3/16/17 - F&E approved item to move to full board for approval. Financing is for 10 Gillig Buses. 2/8/17 – RFP solicited to multiple financial institutions. Proposals due back 3/2/17. Inquiries due here by 2/20/17 with our responses out via Addendum on 2/23/17

CATS Procurement Listing for CATS Board

October 18th 2022

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Blue = Projects Pending Board Action within 1 to 3 months

Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
<p>Fuel Diesel and Gasoline Joint C-P & CATS Contract Extended thru 06/30/22</p> <p>Approved thru 10/31/2021</p> <p>7th renewal</p>	Materials City Parish	Mansfield Oil (was assigned by FuelTrac) Via City Parish solicitation. Contract for Diesel and Gasoline	\$1,200,000 \$1,200,000 Approx. annual cost \$1,000,000 for period noted Oil Price Info Serv OPIS + \$ 0.039 adm fee + tax = price per gal (ppg)	07/01/22 11/01/21 4/01/21 Initial start date of contract 11/01/14 C-P Metro Council approved award to FuelTrac on 8/13/14	12/31/22 06/30/22 10/31/21 Final renewal PO2020079 Current 2 year contr w/5 one year renewals available thru 2021	06/21/22 1/18/22 04/20/21	City Parish included CATS in 2014 fuel solicitation as a separate entity to participate in the fuel dispensing system.	Mansfield is on state contract thru 12/31/22. CATS will address before yearend for CY 2023. Board approved 04/20/21 for Services thru 10/31/21 Via a City Parish contract. Period 7 months. Renewed- 2/7/20 for 1 year. 3/19/19 – Board approved. Renewal contract sent out. 3/14/19 – F&E Approved. 2/8/19 – City Parish has renewed for one year and notified CATS. 10/3/18 – Received notification that Mansfield Oil was assigned contract by FuelTrac, approved by City Parish. 3/26/18 – Contract was finalized and signed with Fueltrac and the C-P Purchase was copied on all correspondence. 3/20/17 – Board Approved for renewal period of 4/1/18 thru 3/31/19. See CEO Letter Recommending Renewal Contract. 3/21/17 – Board approved renewal of contract. 3/21/17 – Contract needs Board Approval for renewal period of 4/1/17 thru 3/31/18. See CEO Letter Recommending Renewal Contract.
G								

CATS Procurement Listing for CATS Board

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Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
Graphic Design Services	Services	Rokit Science	\$75,000 Maximum 4th Renewal	10/1/22	9/30/23	9/20/22	Assist CATS in creating and executing marketing programs, incl. marketing strategies and designs to increase CATS ridership base, build and maintain a positive brand in the community, and showcase the accomplishments of the Agency.	Year 5. 9/18/18 – Board Approved. 7/27/18 - An RFP solicitation was sent to 52 graphic design firms. CATS received 5 proposals which were evaluated by the Proposal Evaluation Committee (PEC). Highest scoring firm is Rokit Science, with contract award recommendation to be in the amount of \$125,000 for 12 months, with the option for up to four (4) twelve-month renewals.
			\$160,000 Maximum 3rd Renewal	10/1/21	9/30/22	09/21/21		
			\$160,000 Maximum 2nd Renewal	10/1/20	9/30/21	9/22/20		
			\$160,000 Maximum 1st Renewal	10/1/19	9/30/20	9/17/19		
			\$125,000 Maximum per year	10/1/18	9/30/19	09/18/18		
H								
HVAC Upgrade 2250 Florida Blvd	Public Works Bid	Metro Mechanical	\$243,750	06/28/21	11/14/21	06/15/21	Upgrade HVAC System at 2250 Florida Blvd	HVAC at 2250 Florida Blvd. HVAC is back in service.

CATS Procurement Listing for CATS Board

October 18th 2022

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Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
I								
Information Technology ASA Firewall	Materials & Services State Contract	Transformyx	\$75,424	8/21	08/24	06/15/21	Networking and Services for Firewall replacement	Approved for Networking and Services for Firewall Replacement. Hardware and software.
L								
Legal Services Employment Law	Services	The Law Office of Dedrick Moore	Estimated \$75,000	01/01/22	12/31/22	06/21/22	Legal Service General see Board Request	To extend thru end of yr 2022.Amount reduced and approved in Executive Session.
Legal Services Employment Law	Services	Breazeale, Saches & Wilson, LLP	\$120,000 \$100,000 \$125,000	07/01/22 01/01/22 04/08/20	12/31/22 06/30/22	08/16/22 03/15/22 11/17/20	Legal Services labor & Employment Matters. Contract Increase by \$100,000 Legal Services relating to Employment and Labor Matters. PO2020177	Change made to 06/21/22 Board Meeting Recommendation. Changed to include legal service in support of CATS Board members To extend thru end of yr 2022. Amount reduced and approved in Executive Session. For expenses thru 06/30/22 11/17/20 Board Approved Contract increase of \$75,000. Services: Employment Law, including legal services with ongoing dealings with the Amalgamate Transit Union (Local 1546) in negotiating and administering of the collective bargaining agreements with its employee's union, grievance and interest arbitrations, civil rights, ADA, wage and hour, and other employment claim. Other services will be supplies per direction of the CEO.
M								
Baker Microtransit	Services	River North Transit LLC (VIA)	Estimated \$910,000	Estimated 03/01/22	Estimated 02/28/23	10/19/21	Demand Response Ridership Program for the City of Baker.	Start date noted is not when service will begin. Vendor has duties to perform before service can start. Options to renew.

CATS Procurement Listing for CATS Board

October 18th 2022

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Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
O								
Oil Products	Materials ITB	Miguez Fuel	\$156,900	01/01/22	12/31/22	02-15-22	Gear Oil, Motor Oil, Wheel Grease, Antifreeze, Synthetic Transmission fluid & Diesel Exhaust Fluid	Due to price increases, CATS will determine best pricing as needed. Bids received. Awarded all oil products to Miguez. Vendors previously holding contracts decided not to extend their contracts for 2022.
		Lard Oil (\$70,045.00)	\$70,045	1/1/2021	12/31/21	12/15/20	Antifreeze, Synthetic Transmission fluid and Diesel Exhaust Fluid	Vendor elected not to extend into 2022. Board Approved for CY 2021.
		Central Oil (\$36,204.00)	\$36,204	1/01/21	12/31/21	12/15/20	Gear Oil, Motor Oil and Wheel Grease	Vendor elected not to extend into 2022. Board Approved for CY 2021.
On-Call Services RFP PR # 2019-On-CallServices-	Consulting	The Goodman Corporation	\$160,000	08/01/20	07/31/21	07/21/20	TO 001 Sub-Area Planning approach for transit options	Completed. Approved up to \$160,000. This task includes technical analysis, public outreach, alternatives, and implementation plan for micro-transit service. Period has ended.
On-Call Services RFP PR # 2019-On-CallServices-	Consulting	Atlas Technical Consultants	\$354,770	08/03/20	12/31/21	07/21/20	TO 001 for Program Management. General Administrative Support, Project Development, Delivery and Planning Services for 5-year Capital Improvement and Investments Plan	Completed. Period of Performance Extended to 12/31/21. Task order 001 issued for \$354,770. This task will provide administrative support for project development & planning for capital improvement plan.
On-Call Services RFP PR # 2019-On-CallServices-	Consulting	Atlas Technical Consultants	6 months \$313,614	07/01/21	12/31/21	07/20/21	TO 002 for Program Management. General Admin. Support, Project Development, Delivery and Planning Services for 5-year Capital Improvement & Investment Plan	Completed. Board Approved \$100,000 in June and \$213,614 in July. Task Order 2 will provide administrative support for project development & planning for capital improvement plan.
On-Call Services RFP PR # 2019-On-CallServices-	Consulting	Atlas Technical Consultants	\$473,615 Less than 2 months \$111,385 Combined value \$585,000	02/16/22 01/01/22	12/31/22 02/15/22	1/18/22 12/14/21	TO 003 for Program Management. General Admin. Support, Project Development, Delivery and Planning Services for 5-year Capital Improvement & Investment Plan	Request for additional approval for remainder of 2022. Board agreed on a reduced period and dollar amount. Task Order 3 will provide administrative support for project development & planning for capital improvement plan.

CATS Procurement Listing for CATS Board

October 18th 2022

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Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
On-Call Services RFP PR # 2019-On-CallServices-	Consulting	HDR Engineering	\$109,572	11/01/21	06/30/22	11/16/21	Feasibility Study Operations, Admin and Maintenance Facility TO 002	Time Extension granted add no additional cost. This will result in the Final Report and necessary presentations relating to the Facility Site Master Plan and Building Concept along with a Cost Estimate.
On-Call Services RFP PR # 2019-On-CallServices	Consulting	HNTB	\$313,445	08/20/20	07/31/21	07/21/20	TO 001 for Development of Transit Operations Plan	Completed. Task order 001 issued for \$313,445. Board Approved up to \$350,000. This task order will provide for the development of a transit operations (bus service) plan. Completed.
On-Call Services RFP PR # 2019-On-CallServices	Consulting	HNTB	\$78,104	10/20/20	07/21/21	10/20/20	TO 002 Rider, Non-Rider Transit Stakeholder Surveys	Completed. 10/20/20 Approved by Board. Task Order 002 issued 10/28/20. Completed
On-Call Services RFP PR # 2019-On-CallServices	Consulting	HNTB	\$585,969	06/25/21	06/25/22	06/15/21	TO 003 Comprehensive Operational Analysis	Task Order has been awarded. Board Approved a comprehensive operational analysis of CATS bus routes.
P								
Paratransit Services ADA	Services	MV Contract Transp.	NTE \$2,000,000 2nd year option NTE \$2,324,667 1 st year option 3 year contract amount \$6,975,000	05/06/22 05/06/21 5/6/18	05/05/23 05/05/22 5/6/21 (potential 5 year contract thru 2023)	04/19/22 03/16/21 2/20/18	Contracted Para-Transit Service Provider	Requesting Board Approval for 2nd and final one-year renewal effective 05/6/22. 03/16/21- Board Approved Hourly Rate Adjustment for Modified Services in 2020. 11/17/20 Board did not make a motion to provide a temporary Rate Adjustment. 2/20/18 – Board approved award to MV. 1/16/18 – Board deferred until Feb Board meeting. 1/12/18– F&E meeting Based on the Proposal Evaluation Committee results; CATS recommends an award of contract to MV Transportation as CATS paratransit services contractor.
S								
Security Guard Services	Services	Diamond Security Service	Approx. \$250,000 annual cost	01/01/22	12/31/22	11/16/21	24/7 - Security Guard Services at CATS 2250 Florida Blvd. location.	Board Request has been approved for year 1. Rebid Completed 10/2021. Board Request Provided. 1-year contract with 4 options to renew for 12-months each.

CATS Procurement Listing for CATS Board

October 18th 2022

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Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
Software ERP System Software	Services	Tyler Technologies Solutions	New price \$822,803.00 first 5 years (Options for 3 years)	08/01/20	7/31/25 (Potential 8 year contract thru 2028)	12/17/19	ERP Software	Contract executed by CATS. Board Approved on 12/17/19. Awarded to Tyler Technologies Solution. 12/13/19- Received negotiation prices from Tyler, new price is \$822,803.00 for 5-year term w/option to extend for 3 years. 12/6/19 – Emailed letter for Intent to Recommend Award to Tyler Technologies.
Software ERP Implementation Services	Service	Intueor Consulting	\$65,000 \$147,500	01/10/22 08/01/20	12/31/22 12/31/21	12/18/21 6/23/20	Exercise option year ERP Software Implementation Services -	It is anticipated that all funds will not be utilized due to work being completed in 5 months. Contract has been executed by CATS. 5/5/20-3 Bids were opened and evaluated. 4/7/20-RFP Effort Started.
T								
Tire Lease for Buses (Maintenance) New Contract 09/01/22 1 st Contract for 3 years thru 8/31/20 w/2 one year renewals thru 8/31/22	Material Supply ITB	Bridgestone Americas Tire Operations, LLC Bridgestone Americas Tire Operations, LLC	\$400,000 (est cost for 3 years) (2) 1 year Options 2 nd option year estimated cost is \$200,000 per year 1 st option year estimated cost is \$204,800 per year \$600,000 (est cost for 3 years)	09/01/22 09/01/21 9/01/20 09/1/17	08/31/25 08/31/22 8/31/21	10/18/22 08/17/21 1/21/20 07/18/17	Tire lease for buses	Rebid and requesting approval for award. Board Approved 2 nd of 2 one year options, 08/18/20 Board Approved to exercise 1 st of 2 one year options. Extended thru 8/31/21. Estimated \$204,800 for 1 year. 1/24/2020- Order has been placed. 1/21/2020- Board approved. 1/10/20- Submit Board approval request.
Technical Innovation Services	Services	Hitachi	Not To Exceed \$174,300 Not To Exceed \$300,000	01/01/22 01/01/21	12/31/22 12/31/21	11/16/21 09/22/20	Multi-channel messaging with passengers. Mobile ticketing options. Includes data collection.. Thru 12/31/25 Year 1 plus (4) 1-year options	Approved Year 2 Board Approved year one. 09/22/20. 80% Funding provided via AIM Grant.

CATS Procurement Listing for CATS Board

October 18th 2022		Yellow = Action Item / needs Board Approval now				Blue = Projects Pending Board Action within 1 to 3 months		
Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
Technical Innovation Services	Services	Delerrok / Cubic Transport Systems, Inc	Not To Exceed \$215,000	7/01/21	06//30/23 + (3) 1 year options	06/15/21	System to improve and grow CATS fixed routes.	Board Approved 06/15/21. Contactless Fare collection system as part of the Covid-19 Mitigation Research Grant.
Tank Repair Services	Services	SEMS, Inc	\$52,450	09/15/22l	10/31/22	06/21/22	Repair Underground Tanks at 2250 Florida Blvd	Award made 06/23/22. Duration estimated at 45 days. Starting later due to regulators.
V								
Vehicles ADA 12 Passenger Vans (10)	Rolling Stock	Creative Bus Sales	\$1,140,816	07/01/22	07/31/23	06/21/22	(10) 12 passenger Vans For ADA Services	State Contract used for this purchase. Awarded.
Vehicles Electric Buses (3) (35ft) w/Extended Battery Range and install 3 electric charging stations	Rolling Stock	BYD America 3 Electric Buses and install 3 electric charging stations	Final Order 3 buses no Chargers \$2,296,240 Bid Price for 3 buses and 3 charging stations \$2,381,245 Approx unit cost for one bus and one charging station \$791,748	12/20/2020 3 rd Order 12/20/2019 – 2 nd order 01/16/18	12/31/23 3 rd Order 12/20/20 – 2 nd order 01/16/23 Contract can be used for the next 5 years from the date of award	11/17/20 12/17/2019 Board Approved 1/16/18 PO Issued on 3/7/18. Delivery to be by Feb 22, 2019	Allows for up to 9 buses, 35-foot w/extended battery range and install in-house charging stations. 3 separate orders of 3.	PO Issued 11/18/20 for 3 rd and final order. Approved request for 3 rd order for 3 buses. 3 rd Order Deliver anticipated in 2023. 12/20/19 – 2 nd order for 3 buses- Board Approved and buses ordered. 1/16/18 – Board approved award to BYD for 1 st order of 03 buses. 1/12/18 - F&E meeting – CATS recommended an award of contract for the purchase of 3 electric 35-foot buses to the lowest priced and responsive bid submitted by BYD. F&E voted to move the item to full board for approval. CATS Received bids from BYD, New Flyer and Proterra.
Vehicles Diesel Buses (7) 35ft Delivery 2023 & 2024 <i>8 buses Delivered Nov/Dec 2018</i> <i>*orders as needed – on going until contract expires</i>	Rolling Stock ITB	Gillig, LLC 35 ft diesel	\$3,489,166 final order. 2021 for 7 buses for delivery in 2023 & 2024 3 rd order. Purchase of 8 buses 56 Buses will be ordered over 5 years thru 2020 36 less 8 = 28 Assignments left on the bid	2021	2024 8 buses delivery in Nov/Dec 2018	1/22/21 Board Approved To purchase 12 buses on 12/20/16 week of 7/17/17	Final 7 Buses- Delivery 2023 and 2024	2 POs issued 1/22/21. 1/21/21 Board Approved purchase of 7 buses to be received in 2023 and 2024. No future orders due to contract expiring 02/21. 1/3/19 – Procurement was notified that all 8 buses have been received by CATS Maintenance. 7/21/17 P.O. sent to Gillig – 7/17/17 – Pending P.O. / will be issued this week to Gillig for 8 buses. Waiting on Buy Am info from them before sending P.O. The delivery date is 16 months. 4/11/17 – Awaiting approved PR from CEO to issue PO for 8 buses (on hold). 3/21/17 – Update: P.O. pending since board approval in Dec. 2016.P.O. changed to reflect the purchase of 8 buses instead of 12.

CATS Procurement Listing for CATS Board

October 18th 2022

Yellow = Action Item / needs Board Approval now

Blue = Projects Pending Board Action within 1 to 3 months

Service Description	Contr Type	Vendor Name	Amt	Start Date	End Date	Board Approved	Services/ Product Provided	Notes / Comments
Vehicles 3-Electric Buses - Lease for 2 years	Rolling Stock	BYD America	\$308,880	Estimated 10/01/21	Estimated 09/30/23	12/15/20	24 mo lease for BYD 30 ft buses.	Lease started on 2 buses 10/21.. 3 rd bus lease started after repairs completed. 12/15/2020 Board Approved the lease 30 ft buses to resume services downtown. These buses can be charged with CATS' existing charging stations and are similar in most aspects to our existing Electric Fleet. Grant funds are available to assist in paying these leases.
Vehicle Bus Cameras	Rolling Stock bus added ons	Angel Trax	\$291,972	10/01/21	11/01/21	07/20/21	Upgrading old cameras on buses.	Completed. Replaced aging bus cameras. Cameras upgrades to match the newer units. This will help provide a safer environment for customers and operators. Previously, recorded data is not generated or stored as required.
Vehicles Electric Buses (6) (30ft) w/Extended Battery Range and install (7) electric charging stations	Rolling Stock	BYD America 6 Electric Buses and install 7 electric charging stations	First Order 6 buses & 7 Chargers \$4,495,242 Bid Price for one bus \$714,207 and for one charging station \$30,000	11/21	11/26 Contract for up to 16 buses can be used for the next 5 years from the date of award	11/16/21	Allows for up to 16 buses and chargers, 30-foot w/extended battery range and install in-house charging stations. Duration is 5 years from date of award. See Notes	Without Federal change in practice, only the first order made in 2021 will be placed with BYD.
Vehicles Electric Buses (9) (35ft) w/Extended Battery Range and install (11) electric charging stations	Rolling Stock	Gillig 9 Electric Buses and install 11 electric charging stations	\$9,428,732	08/22	08/27 Arrival starting in 2024	08/16/22	Buses to be utilized for BRT.	Arrival planned for 2024.Allowance made for the option to purchase additional units.