

SOUTHWEST TRANSIT COMMISSION AGENDA

Thursday, September 22, 2022

East Creek Station (Chaska)
2120 Chestnut St. N., Chaska MN 55318

Work Session – 6:00pm-6:30pm

Commission Meeting – 6:30 pm

Meeting: In-person

COMMISSION MEMBERS

Mike Huang – Chair, City of Chaska
PG Narayanan – Vice Chair, City of Eden Prairie
Jerry McDonald – Secretary/Treasurer, City of Chanhassen
Elise Ryan– City of Chanhassen
McKayla Hatfield – City of Chaska
Mark Freiberg – City of Eden Prairie
Bob Roepke- At-Large Commissioner
Joy McKnight– Ex Officio City of Carver

GENERAL COUNSEL

Joshua Dorothy - Attorney

EXECUTIVE STAFF

Matt Fyten – Interim CEO/Chief Operating Officer
Maria Mancilla-Diaz – Chief Administrative Officer
Tony Kuykendall – Maintenance Director
Souriyong Souriya – Finance Director
Al Halaas – First Transit Director/GM

WORK SESSION 6:00pm-6:30pm

Topic – SWT Sustainability Projects

COMMISSION MEETING AGENDA

Commission Meeting Starts upon the conclusion of the Work Session - approximately 6:30pm

- I. PUBLIC COMMENT**
- II. APPROVAL OF AGENDA**
- III. PAYMENT OF CLAIMS (Rollcall Vote)**
- IV. CONSENT**
 - A. Approval of Minutes of August 18 Commission Meeting
 - B. Approval of Financial Statements – Souriya/Mancilla
 - C. Eden Prairie Garage Door- Dartt
 - D. Transit Asset Management Plan Update- Kirsch
 - E. Public Transit Agency Safety Plan Update- Kirsch
- V. NEW BUSINESS**
 - A. CEO Search Update – Fyten/Huang
 - B. Interim CEO Extension –Huang/Dorothy
 - C. Clean Energy Investment Grade Audit – Fyten
- VI. LEGISLATIVE UPDATE**
 - A. Update by City
 - B. Metro Cities opening for TAB representative
- VII. UPDATES**
 - A. Staff Updates
 - B. Commissioner Updates
- VIII. ADJOURNMENT**

SouthWest Transit (SWT) is committed to providing individuals with disabilities and those who speak languages other than English an equal opportunity to participate in and benefit from SWT's programs, activities, and services. People may request reasonable accommodations from SWT that they believe will enable them to have equal opportunity to participate in our programs, activities, and services. To request reasonable accommodations including interpretation, contact Customer Service at customerservice@swtransit.org or 952-949-2287 at least one week prior to a public meeting or hearing. To request these materials in an alternate format, please contact Customer Service at customerservice@swtransit.org or 952-949-2287.

Payment of Claims

SouthWest Transit
8/10/2022 Thru 9/15/2022

Meeting Date: 9/22/2022

Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
10154	4IMPRINT, INC.	Marketing Supplies	8/11/2022	\$ 2,488.47
10155	ALLSTATE PETERBILT	Fleet Parts	8/11/2022	\$ 663.68
10157	BOREN LAW FIRM	Immigration Legal Fees - CEO	8/11/2022	\$ 1,332.48
10158	CENTERPOINT ENERGY	CTS GAS	8/11/2022	\$ 32.52
10159	CENTURYLINK	SWV INTERNET	8/11/2022	\$ 190.16
10160	JON CHRISTENSON	Uniform Reimbursement	8/11/2022	\$ 28.97
10161	COMCAST BUSINESS	EPG INTERNET	8/11/2022	\$ 1,237.57
10162	CUMMINS SALES AND SERVICES	Fleet Parts	8/11/2022	\$ 2,232.92
10163	CUSTOM ALARM	Building Securities monitor	8/11/2022	\$ 1,672.68
10164	DARKTRACE	Email Security Detection	8/11/2022	\$ 12,249.00
10165	EARL F. ANDERSEN	Building Supplies	8/11/2022	\$ 168.45
10166	ECOLAB	Building Supplies	8/11/2022	\$ 1,711.75
10167	FEDEX OFFICE	Misc. Supplies	8/11/2022	\$ 50.00
10168	FEDEX	Shipping Service	8/11/2022	\$ 308.50
10169	FLYNN MIDWEST LP	Roof Replacement Project	8/11/2022	\$ 10,569.00
10170	FRANZ REPROGRAPHICS	Monthly Archive Files	8/11/2022	\$ 103.75
10171	FULLILOVE KELLY	Payroll Check Reissue	8/11/2022	\$ 200.00
10172	GRAINGER	Building Supplies	8/11/2022	\$ 176.78
10173	GREGERSON, ROSOW, JOHNSON & NILAN, LTD	Legal Fees	8/11/2022	\$ 8,902.79
10174	HENNEPIN COUNTY AR	Radio Service	8/11/2022	\$ 338.72
10175	HERC-U-LIFT	Equipment Repairs	8/11/2022	\$ 163.36
10176	HURLEY DAVID	Payroll Check Reissue	8/11/2022	\$ 100.00
10177	INDIGO SIGNWORKS	Building Supplies	8/11/2022	\$ 950.00
10178	JOHNSON CONTROLS, INC.	HVAC Repair	8/11/2022	\$ 659.08
10178	JOHNSON CONTROLS, INC.	HVAC Repair	8/11/2022	\$ 1,881.00
10179	KIMBERLY OLSON	Driver Uniforms	8/11/2022	\$ 50.00
10180	KREPELA PAINTING	SWS Painting	8/11/2022	\$ 39,500.00
10181	LEWIS LENARD	Payroll Check Reissue	8/11/2022	\$ 100.00
10182	MATT'S AUTO SERVICE	Towing Service	8/11/2022	\$ 390.00
10183	MENARDS	Building Supplies	8/11/2022	\$ 69.87
10183	MENARDS	Building Supplies	8/11/2022	\$ 38.99
10183	MENARDS	Building Supplies	8/11/2022	\$ 280.83
10184	MINUTEMAN PRESS	Printing Service	8/11/2022	\$ 1,635.00
10185	NELSON, AMANDA	GoTo Card Reimbursement	8/11/2022	\$ 30.00
10186	OTIS ELEVATOR COMPANY	Elevator Repair Service	8/11/2022	\$ 10,588.48
10187	SCHINDLER ELEVATOR CORP.	Elevator Maintenance	8/11/2022	\$ 2,879.99
10188	SEON SYSTEMS SALES INC.	Security Camera System - Facility Truck	8/11/2022	\$ 2,243.00
10189	SITEONE LANDSCAPE SUPPLY, LLC	Building Supplies	8/11/2022	\$ 155.19
10190	SUBURBAN CHEVROLET	Vehicle Repair	8/11/2022	\$ 174.00
10191	SW NEWS MEDIA	SW Ad	8/11/2022	\$ 151.80
10192	SYNCB AMAZON	Building Supplies	8/11/2022	\$ 935.44
10192	SYNCB AMAZON	Building Supplies	8/11/2022	\$ 15.03
10192	SYNCB AMAZON	Vehicle Parts	8/11/2022	\$ 2,815.89
10192	SYNCB AMAZON	Building Supplies	8/11/2022	\$ 202.24
10192	SYNCB AMAZON	Building Supplies	8/11/2022	\$ 70.39
10192	SYNCB AMAZON	Building Supplies	8/11/2022	\$ 742.56
10192	SYNCB AMAZON	Building Supplies	8/11/2022	\$ 39.95
10193	U.S. BANK EQUIPMENT FINANCE	Copier Lease	8/11/2022	\$ 148.00
10194	VERIZON	Prime Verizon Connect	8/11/2022	\$ 452.32
10195	VSIS INC	Mobile Router Installs	8/11/2022	\$ 4,200.00
10196	WILSON'S NURSERY INC.	Building Supplies	8/11/2022	\$ 509.50
10197	A TO Z RENTAL CENTER	Building Equipment Rental	8/18/2022	\$ 531.92
10197	A TO Z RENTAL CENTER	Building Equipment Rental	8/18/2022	\$ 46.98
10198	ABC BUS COMPANIES	Fleet Parts	8/18/2022	\$ 849.91
10199	ADVANCED KIOSKS	Lobby Kiosk Support Service	8/18/2022	\$ 3,627.00
10200	ALLDATA	Building Supplies	8/18/2022	\$ 1,500.00
10201	ALLSTATE PETERBILT	Fleet Parts	8/18/2022	\$ 1,110.35
10202	BA SERVICES LLC	Bus Wash Supplies	8/18/2022	\$ 77.00
10202	BA SERVICES LLC	Bus Washer Repair Service	8/18/2022	\$ 520.92
10203	BIG-D CONSTRUCTION MIDWEST LLC	EPG Front Gate Project	8/18/2022	\$ 1,950.00
10203	BIG-D CONSTRUCTION MIDWEST LLC	EPG Front Gate Project	8/18/2022	\$ 14,800.00
10204	C & J BUS REPAIR, INC.	Fleet Parts	8/18/2022	\$ 262.56
10205	CAPITAL ONE TRADE CREDIT	Vehicle Supplies	8/18/2022	\$ 59.98
10206	CENTERPOINT ENERGY	EPG Heating	8/18/2022	\$ 41.31
10207	COMCAST BUSINESS 8772106110593377	Internet Service	8/18/2022	\$ 385.51
10208	CUMMINS SALES AND SERVICES	Fleet Parts	8/18/2022	\$ 515.21
10209	DACOTA PAPER CO.	Vehicle Supplies	8/18/2022	\$ 220.36

SouthWest Transit

8/10/2022 Thru 9/15/2022

Meeting Date: 9/22/2022

Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
10210	FIRST TRANSIT, INC.	July Operating Service	8/18/2022	\$ 340,971.90
10211	FLYNN MIDWEST LP	EPG Roof Project	8/18/2022	\$ 3,944.00
10212	GSSC CORPORATE OFFICE	Burg Alarm Service	8/18/2022	\$ 418.75
10213	GUARDIAN PEST SOLUTIONS, INC.	Pest control	8/18/2022	\$ 65.00
10214	HOOTSUITE INC	SWT Ad	8/18/2022	\$ 588.00
10215	IMPERIAL SUPPLIES LLC	Vehicle Parts	8/18/2022	\$ 652.10
10215	IMPERIAL SUPPLIES LLC	Credit Memo	8/18/2022	\$ (87.00)
10216	KYLE JACKELS	Expense Reimb - Uniform	8/18/2022	\$ 136.00
10217	JOHNSON CONTROLS, INC.	EMS Controller Replacement	8/18/2022	\$ 3,611.45
10218	KREMER SERVICES	Outside Repair	8/18/2022	\$ 492.74
10219	LANO EQUIPMENT, INC.	Fleet Parts	8/18/2022	\$ 643.27
10220	MATT'S AUTO SERVICE	Towing Service	8/18/2022	\$ 206.00
10221	MEDIACOM	Internet Service	8/18/2022	\$ 384.55
10222	MENARDS	Building Supplies	8/18/2022	\$ 7.85
10223	MINUTEMAN PRESS	Marketing Supplies	8/18/2022	\$ 54.00
10224	MN DEPT OF LABOR & INDUSTRY	Elevator Operating permits	8/18/2022	\$ 400.00
10225	NORD EXCAVATING, INC.	EPG Front Gate Project	8/18/2022	\$ 750.98
10226	NORTH COUNTRY CONCRETE, INC.	EPG Front Gate Project	8/18/2022	\$ 6,552.63
10227	NUSS TRUCK & EQUIPMENT	Fleet Parts	8/18/2022	\$ 155.79
10228	ODP BUSINESS SOLUTIONS LLC	Office Supplies	8/18/2022	\$ 232.19
10229	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	8/18/2022	\$ 1,461.63
10229	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	8/18/2022	\$ 22.47
10230	POPP COMMUNICATIONS	Telephone Payment	8/18/2022	\$ 2,629.93
10231	PREVOST CAR INC.	Fleet Parts	8/18/2022	\$ 635.54
10232	PRIORITY COURIER EXPERTS	Courier Service	8/18/2022	\$ 59.97
10233	ROYAL TIRE INC.	Vehicle Parts	8/18/2022	\$ 36.00
10233	ROYAL TIRE INC.	Vehicle Parts	8/18/2022	\$ 38.00
10234	RSM US PRODUCT SALES LLC	Monthly IT Support	8/18/2022	\$ 1,023.75
10234	RSM US PRODUCT SALES LLC	Monthly IT Support	8/18/2022	\$ 2,039.00
10235	SAFELITE FULFILLMENT, INC.	Contracted Maintenance Service	8/18/2022	\$ 134.99
10236	SCHINDLER ELEVATOR CORP.	Elevator Service	8/18/2022	\$ 1,468.31
10237	SIEMENS INDUSTRY, INC.	EPG Front Gate Project	8/18/2022	\$ 171,806.55
10238	MICHAEL SIMICH	Expense Reimbursement - building supplies	8/18/2022	\$ 95.20
10239	SSI MN TRANCHE 3	Solar Subscription	8/18/2022	\$ 852.51
10240	SYNCB AMAZON	Building Supplies	8/18/2022	\$ 89.97
10240	SYNCB AMAZON	Fleet Parts	8/18/2022	\$ 8,447.67
10240	SYNCB AMAZON	Building Supplies	8/18/2022	\$ 213.99
10240	SYNCB AMAZON	Shop Tool	8/18/2022	\$ 175.76
10241	TAGOVE LIMITED	CS Kiosk Annual License	8/18/2022	\$ 3,360.00
10242	THE AFTERMARKET PARTS COMPANY	Fleet Parts	8/18/2022	\$ 3,719.44
10243	UNIFIRST CORPORATION	Driver Uniforms	8/18/2022	\$ 452.33
10243	UNIFIRST CORPORATION	Shop Uniforms	8/18/2022	\$ 124.99
10244	VERIZON WIRELESS	Wireless Phone Payment	8/18/2022	\$ 105.03
10245	VSIS INC	Router and Panic Button Installation	8/18/2022	\$ 3,025.00
10245	VSIS INC	Router/Camera install EV's	8/18/2022	\$ 2,300.00
10246	WALKER CONSULTANTS	Prof Fee - EPG Roof	8/18/2022	\$ 10,549.05
10246	WALKER CONSULTANTS	Prof Fee - Ramp PM	8/18/2022	\$ 2,175.00
10247	WINTHROP & WEINSTINE, PA	Legislative Service	8/18/2022	\$ 4,000.00
10248	ALLSTATE PETERBILT	Fleet Parts	8/19/2022	\$ 74.81
10248	ALLSTATE PETERBILT	Fleet Parts	8/19/2022	\$ 755.74
10249	ARCPOINT LABS OF EDEN PRAIRIE	Drug Test	8/19/2022	\$ 156.00
10250	KEVIN BERG	Expense Reimb - Uniform	8/19/2022	\$ 150.00
10251	FACTORY MOTOR PARTS COMPANY	Fleet Parts	8/19/2022	\$ 1,823.15
10252	MATTHEW FYTEN	Expense Reimb - EP Economic Development	8/19/2022	\$ 197.14
10253	HEALTHPARTNERS INC.	Sept Health and dental Insurance	8/19/2022	\$ 35,224.79
10254	IHEART MEDIA	SWT Ad	8/19/2022	\$ 3,978.95
10255	MADISON NATIONAL LIFE INS CO, INC	LTD Benefit Insurance	8/19/2022	\$ 413.84
10256	MATT'S AUTO SERVICE	Towing Service	8/19/2022	\$ 286.00
10257	MENARDS	Vehicle Supplies	8/19/2022	\$ 12.96
10258	METROPOLITAN FORD OF EDEN PRAIRIE	Fleet Parts	8/19/2022	\$ 285.68
10259	MIKE HUANG	Expense Reimb - CEO Search	8/19/2022	\$ 45.27
10260	MINNESOTA LIFE INSURANCE COMPANY	Life Insurance Benefit	8/19/2022	\$ 764.00
10261	O'REILLY AUTOMOTIVE, INC.	Vehicle Supplies	8/19/2022	\$ 4.98
10262	ROYAL TIRE INC.	Vehicle Parts	8/19/2022	\$ 2,278.92
10263	SCHMITTY & SONS	Vehicle Parts	8/19/2022	\$ 384.56
10264	SIEMENS INDUSTRY, INC.	Door Controller Replace Project	8/19/2022	\$ 7,500.00
10264	SIEMENS INDUSTRY, INC.	Door Controller Replace Project	8/19/2022	\$ 10,000.00

SouthWest Transit
8/10/2022 Thru 9/15/2022

Meeting Date: 9/22/2022

Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
10265	SOCIAL INDOOR	SWT Ad	8/19/2022	\$ 1,000.00
10266	SWT-CASH	State Fair Cash Change	8/19/2022	\$ 10,000.00
10267	SYNCB AMAZON	Vehicle Supplies	8/19/2022	\$ 134.73
10268	THE AFTERMARKET PARTS COMPANY	Fleet Parts	8/19/2022	\$ 8.94
10269	VSIS INC	WiFi Router Replacement	8/19/2022	\$ 5,400.00
10270	HENRY HICKS	Payroll Check Reissue	8/22/2022	\$ 80.80
10271	MENARDS	Building Supplies	8/22/2022	\$ 19.01
10272	ABC BUS COMPANIES	Fleet Parts	8/30/2022	\$ 1,031.41
10273	ALLSTATE PETERBILT	Fleet Parts	8/30/2022	\$ 517.49
10274	BATTERIES + BULBS	Vehicle Supplies	8/30/2022	\$ 71.31
10275	C & J BUS REPAIR, INC.	Fleet Parts	8/30/2022	\$ 230.19
10276	CENTURYLINK	Internet Service	8/30/2022	\$ 134.74
10277	DODGE OF BURNSVILLE	Facility Truck	8/30/2022	\$ 42,815.00
10278	FACTORY MOTOR PARTS COMPANY	Credit Memo	8/30/2022	\$ (156.00)
10278	FACTORY MOTOR PARTS COMPANY	Fleet Parts	8/30/2022	\$ 300.05
10279	GRAINGER	Building Supplies	8/30/2022	\$ 49.94
10279	GRAINGER	Vehicle Supplies	8/30/2022	\$ 281.75
10280	LANO EQUIPMENT, INC.	Vehicle Supplies	8/30/2022	\$ 96.57
10281	LUBE-TECH & PARTNERS, LLC	Vehicle Supplies	8/30/2022	\$ 2,025.00
10281	LUBE-TECH & PARTNERS, LLC	Vehicle Supplies	8/30/2022	\$ 3,963.86
10282	MENARDS	Building Supplies	8/30/2022	\$ 277.72
10282	MENARDS	Building Supplies	8/30/2022	\$ 27.47
10282	MENARDS	Building Supplies	8/30/2022	\$ 129.36
10282	MENARDS	Building Supplies	8/30/2022	\$ 542.49
10282	MENARDS	Building Supplies	8/30/2022	\$ 33.99
10283	NORTH CENTRAL BUS	Fleet Parts	8/30/2022	\$ 107.16
10284	PREVOST CAR INC.	Fleet Parts	8/30/2022	\$ 124.46
10285	ROYAL TIRE INC.	Vehicle Parts	8/30/2022	\$ 439.74
10286	SSI MN TRANCHE 1 LLC	Solar Subscription	8/30/2022	\$ 5,771.64
10287	SYNCB AMAZON	Building Supplies	8/30/2022	\$ 587.02
10287	SYNCB AMAZON	Building Supplies	8/30/2022	\$ 109.00
10287	SYNCB AMAZON	Vehicle Supplies	8/30/2022	\$ 520.51
10288	THE AFTERMARKET PARTS COMPANY	Fleet Parts	8/30/2022	\$ 100.65
10289	TURBO SEAL LLC	Asphalt Sealing SWV	8/30/2022	\$ 1,000.00
10290	UNIFIRST CORPORATION	Driver Uniforms	8/30/2022	\$ 953.01
10290	UNIFIRST CORPORATION	Shop Uniforms	8/30/2022	\$ 216.76
10291	DAVID WHITE	Expense Reimb - State Fair Hotel David White	8/30/2022	\$ 1,644.61
10292	XCEL ENERGY	CTS ELECTRIC	8/30/2022	\$ 669.75
10292	XCEL ENERGY	EPG ELECTRIC	8/30/2022	\$ 2,153.14
10292	XCEL ENERGY	SWS ELECTRIC	8/30/2022	\$ 1,659.63
10293	A TO Z RENTAL CENTER	Building Supplies	9/6/2022	\$ 54.50
10294	ABC BUS COMPANIES	Fleet Parts	9/6/2022	\$ 189.79
10295	ALLSTATE PETERBILT	Fleet Parts	9/6/2022	\$ 592.93
10296	BATTERIES + BULBS	Fleet Parts	9/6/2022	\$ 2,194.51
10297	BORTON VOLVO	Fleet Parts	9/6/2022	\$ 1,685.80
10298	CENTERPOINT ENERGY	Heating Payment	9/6/2022	\$ 305.01
10299	CENTURYLINK	Telephone Payment	9/6/2022	\$ 465.86
10300	CITY OF CHASKA UTILITY BILLING	Utilities Payment	9/6/2022	\$ 2,245.13
10301	COMCAST BUSINESS 8772106110593377	Internet Service	9/6/2022	\$ 435.73
10302	CUMMINS SALES AND SERVICES	Fleet Parts	9/6/2022	\$ 1,773.78
10303	DACOTAH PAPER CO.	Building Supplies	9/6/2022	\$ 643.15
10304	GILLIG LLC	Fleet Parts	9/6/2022	\$ 702.75
10305	GRAINGER	Building Supplies	9/6/2022	\$ 27.52
10306	GREGERSON, ROSOW, JOHNSON & NILAN, LTD	Legal Fees	9/6/2022	\$ 5,975.82
10307	HERC-U-LIFT	Lift Inspection	9/6/2022	\$ 490.08
10308	HOGLUND BUS COMPANY	Fleet Parts	9/6/2022	\$ 286.07
10309	IMPERIAL SUPPLIES LLC	Vehicle Supplies	9/6/2022	\$ 107.48
10310	INTERSTATE POWER SYSTEM, INC.	Fleet Parts	9/6/2022	\$ 1,017.14
10311	JANEX, INC.	Building Supplies	9/6/2022	\$ 161.50
10312	JASON KIRSCH	Expense Reimb - Mileage	9/6/2022	\$ 129.97
10313	LARKIN HOFFMAN	Legislative Service	9/6/2022	\$ 2,800.00
10314	LOCAL GOVERNMENT INFORMATION SYSTEMS	Finance Software Service	9/6/2022	\$ 1,483.00
10315	MENARDS	Building Supplies	9/6/2022	\$ 334.60
10316	MVEC, MINNESOTA VALLEY ELECTRIC COOP	Utilities Payment	9/6/2022	\$ 1,668.54
10317	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	9/6/2022	\$ 462.31
10317	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	9/6/2022	\$ 3.99
10318	OSI ENVIRONMENTAL, INC.	Fleet Parts	9/6/2022	\$ 335.00

SouthWest Transit
8/10/2022 Thru 9/15/2022

Meeting Date: 9/22/2022

Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
10318	OSI ENVIRONMENTAL, INC.	Fleet Parts	9/6/2022	\$ 75.00
10319	PRIORITY COURIER EXPERTS	Courier Service	9/6/2022	\$ 39.11
10320	REPUBLIC SERVICES #894	Trash Service	9/6/2022	\$ 1,780.51
10321	ROYAL TIRE INC.	Vehicle Parts	9/6/2022	\$ 546.37
10322	SOLON, JOHN	Payroll check Re-Issue 8/19/2022	9/6/2022	\$ 392.49
10323	SYNCB AMAZON	Building Supplies	9/6/2022	\$ 284.96
10323	SYNCB AMAZON	Fleet Parts	9/6/2022	\$ 3,024.77
10324	THE AFTERMARKET PARTS COMPANY	Fleet Parts	9/6/2022	\$ 758.13
10325	T-MOBILE	Bus WiFi Service	9/6/2022	\$ 11,091.51
10326	U.S. BANK EQUIPMENT FINANCE	Copier Lease	9/6/2022	\$ 847.00
10327	UNIFIRST CORPORATION	Driver Uniforms	9/6/2022	\$ 482.00
10327	UNIFIRST CORPORATION	Shop Uniforms	9/6/2022	\$ 101.26
10328	USS MN VII MT LLC	Solar Subscription	9/6/2022	\$ 791.33
10329	LONNIE VANEPS	Expense Boot Reimbursement	9/6/2022	\$ 150.00
10330	4IMPRINT, INC.	Marketing Supplies	9/9/2022	\$ 2,488.47
10331	ALLOVER MEDIA LLC	AllOver Bus Wraps	9/9/2022	\$ 700.00
10332	C & J BUS REPAIR, INC.	Fleet Parts	9/9/2022	\$ 96.87
10333	CARVER COUNTY	Fiber Internet CTS	9/9/2022	\$ 780.00
10334	CUMMINS SALES AND SERVICES	Vehicle Repair	9/9/2022	\$ 535.08
10335	DACOTAH PAPER CO.	Shop Supply	9/9/2022	\$ 226.71
10336	DIGI-KEY ELECTRONICS 2504033	Shop Supply	9/9/2022	\$ 153.12
10337	DODGE OF BURNSVILLE	Fleet Parts	9/9/2022	\$ 1,256.06
10338	FACTORY MOTOR PARTS COMPANY	Fleet Parts	9/9/2022	\$ 89.21
10339	FLYNN MIDWEST LP	Roof capital cost construction	9/9/2022	\$ 44,247.30
10340	GAS TANK RENU MN & RADIATOR	Fleet Parts	9/9/2022	\$ 850.29
10341	GROWTH OPERATORS ADVISORY SERVICES, LLC	HR Consultant Service	9/9/2022	\$ 3,986.25
10342	JOHN HAGGENMILLER	Expense Reimb-Mileage	9/9/2022	\$ 189.70
10343	HERITAGE GLASS COMPANY	Fleet Parts	9/9/2022	\$ 854.47
10344	HOGLUND BODY & EQUIPMENT, INC.	Vehicle Repair	9/9/2022	\$ 23,350.68
10345	INDIGO SIGNWORKS	Building Supplies	9/9/2022	\$ 753.31
10346	JOHNSON CONTROLS, INC.	EMS Cloud Hosting	9/9/2022	\$ 659.08
10347	KR AUTO REPAIR LLC	Fleet Parts	9/9/2022	\$ 1,547.23
10348	MICRO CENTER	IT Supplies	9/9/2022	\$ 2,342.86
10349	MINUTEMAN PRESS	Printing Service	9/9/2022	\$ 375.00
10350	MRA - THE MANAGEMENT ASSOCIATION	Training Registration fees	9/9/2022	\$ 30.00
10351	MY CABLE MART LLC	Dispatch Monitor Cables	9/9/2022	\$ 96.36
10352	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	9/9/2022	\$ 75.58
10352	O'REILLY AUTOMOTIVE, INC.	Shop Supply	9/9/2022	\$ 215.36
10353	PRIORITY COURIER EXPERTS	Courier Service	9/9/2022	\$ 209.86
10354	PROFESSIONAL WIRELESS COMMUNICATIONS	Radio System Repair	9/9/2022	\$ 319.00
10355	ROVITRACKER INC.	Camera Trailer Ops	9/9/2022	\$ 310.00
10356	ROYAL TIRE INC.	Vehicle Parts	9/9/2022	\$ 1,075.70
10357	RSM US PRODUCT SALES LLC	IT MSP	9/9/2022	\$ 1,145.00
10357	RSM US PRODUCT SALES LLC	Network/Backup Project	9/9/2022	\$ 43,864.40
10357	RSM US PRODUCT SALES LLC	O365 Subscription	9/9/2022	\$ 1,042.90
10358	SAVEON	SW Ad	9/9/2022	\$ 3,071.38
10359	SEON SYSTEMS SALES INC.	Fleet Parts	9/9/2022	\$ 901.00
10360	SYNCB AMAZON	Building Supplies	9/9/2022	\$ 242.94
10360	SYNCB AMAZON	Building Supplies	9/9/2022	\$ 289.27
10361	THE AFTERMARKET PARTS COMPANY	Fleet Parts	9/9/2022	\$ 3,164.40
10362	UNIFIRST CORPORATION	Driver Uniforms	9/9/2022	\$ 782.79
10362	UNIFIRST CORPORATION	Shop Uniforms	9/9/2022	\$ 103.60
10363	VERIFIED CREDENTIALS	SF drivers Screening Service	9/9/2022	\$ 154.30
10364	VER-TECH LABS	Bus Washer Supplies	9/9/2022	\$ 3,745.36
10365	WESTERN SPECIALTY CONTRACTORS	SWS Ramp PM	9/9/2022	\$ 149,658.70
		TOTAL		\$ 1,216,877.07

SouthWest Transit
8/10/2022 Thru 9/15/2022

Meeting Date: 9/22/2022

Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
ACH Withdrawals				
148	CARVER COUNTY	CTS Fiber Internet	8/12/2022	\$ 780.00
149	HOGLUND BODY & EQUIPMENT, INC.	Vehicle Repairs	8/12/2022	\$ 10,249.59
150	I-STATE TRUCK CENTER	Fleet Parts	8/12/2022	\$ 124.01
151	PREVOST CAR INC.	Fleet Parts	8/12/2022	\$ 38.86
152	PROJECT RESTORATIONS, INC.	Capital cost for Repairs - ramp PM	8/12/2022	\$ 2,842.00
153	RSM US PRODUCT SALES LLC	Monthly IT support	8/12/2022	\$ 44.10
	CARDMEMBER SERV WEB PYMT *****6731	Credit Card Payment	8/10/2022	\$ 7,717.79
	CARDMEMBER SERV WEB PYMT *****6731	Credit Card Payment	8/30/2022	\$ 8,982.66
	PITNEY BOWES POSTEDGE 44272615	Prepaid postage	9/9/2022	\$ 500.00
	DELUXE BUS SYS. BUS PRODS 12509151	Deposit Tickets	8/9/2022	\$ 88.56
	141028 SOUTHWEST BILLING 141028	Payroll Service	8/19/2022	\$ 2,145.14
	Mansfield Oil PAYMENTS 1653884	Bus Fuel	8/11/2022	\$ 21,439.89
	Mansfield Oil PAYMENTS 1654983	Bus Fuel	8/24/2022	\$ 21,838.11
	Mansfield Oil PAYMENTS 1656055	Bus Fuel	8/29/2022	\$ 29,030.58
	Mansfield Oil PAYMENTS 1656688	Bus Fuel	9/9/2022	\$ 21,596.53
	MET COUNCIL RETAILSAL CPOS SW	Go To Card Reimbursement	8/12/2022	\$ 2,912.00
	MET COUNCIL RETAILSAL CPOS SW	Go To Card Reimbursement	8/19/2022	\$ 1,205.50
	MET COUNCIL RETAILSAL CPOS SW	Go To Card Reimbursement	8/26/2022	\$ 1,160.00
	MET COUNCIL RETAILSAL CPOS SW	Go To Card Reimbursement	9/2/2022	\$ 1,642.00
	MET COUNCIL RETAILSAL CPOS SW	Go To Card Reimbursement	9/9/2022	\$ 1,566.00
	POSITIVE PAY	Bank Fee	8/31/2022	\$ 40.00
	POSITIVE PAY	Bank Fee	8/31/2022	\$ 25.00
		TOTAL		\$ 135,968.32
Payroll				
	Paylocity	Payroll	8/19/2022	\$ 108,270.74
	Paylocity	Payroll	9/2/2022	\$ 175,270.19
	Paylocity	Payroll	9/16/2022	\$ 283,378.96
		TOTAL		\$ 566,919.89
Monthly Reimbursement included in payroll totals				
	Justin Ambroz	Cell Phone Allowance		\$ 50.00
	Jon Christenson	Cell Phone Allowance		\$ 75.00
	Mike Dartt	Cell Phone Allowance		\$ 75.00
	Connor Froemming	Cell Phone Allowance		\$ 50.00
	Matt Fyten	Cell Phone Allowance		\$ 50.00
	John Haggenmiller	Cell Phone Allowance		\$ 75.00
	Kyle Jackels	Cell Phone Allowance		\$ 50.00
	Jason Kirsch	Cell Phone Allowance		\$ 50.00
	Tony Kuykendall	Cell Phone Allowance		\$ 50.00
	Steve Michael	Cell Phone Allowance		\$ 75.00
	Nicholas Peters	Cell Phone Allowance		\$ 50.00
	Evan Rozelle	Cell Phone Allowance		\$ 50.00
	Ben Schuler	Cell Phone Allowance		\$ 50.00
	Jake Simich	Cell Phone Allowance		\$ 75.00
	Kory Simich	Cell Phone Allowance		\$ 75.00
	Len Simich	Cell Phone Allowance		\$ 85.00
	Mike Simich	Cell Phone Allowance		\$ 50.00
	Souriyong Souriya	Cell Phone Allowance		\$ 50.00
	Joe Townsend	Cell Phone Allowance		\$ 50.00
	Matt Vieth	Cell Phone Allowance		\$ 50.00
	Maria Mancilla-Diaz	Cell Phone Allowance		\$ 50.00
	Len Simich	Car Allowance		\$ 712.00
	Kevin Berg	Tools Allowance		\$ 100.00
	Ben Green	Tools Allowance		\$ 100.00
	Dave Huddleston	Tools Allowance		\$ 100.00
	Kyle Jackels	Tools Allowance		\$ 100.00
	Edwin Nama	Tools Allowance		\$ 100.00
	Bradley Peters	Tools Allowance		\$ 100.00
	Jordan Roske	Tools Allowance		\$ 100.00
	Lonnie Van Eps	Tools Allowance		\$ 100.00
	Matt Vieth	Tools Allowance		\$ 100.00
	Steve Michael	Tools Allowance		\$ 100.00
		TOTAL		\$ 2,947.00
		GRAND TOTAL		\$ 1,919,765.28

Consent

SOUTHWEST TRANSIT COMMISSION MINUTES

Thursday, August 18, 2022

Work Session – 6:00 pm

Commission Meeting – Following Work Session

COMMISSION MEMBERS

Mike Huang – City of Chaska
PG Narayanan – City of Eden Prairie
Jerry McDonald – City of Chanhassen
Mark Freiberg – City of Eden Prairie
McKayla Hatfield – City of Chaska
Bob Roepke – At-Large Commissioner
Joy McKnight – Ex Officio City of Carver

GENERAL COUNSEL

Maggie Neuville, Attorney

EXECUTIVE STAFF

Matt Fyten – Interim CEO/Chief Operating Officer
Maria Mancilla-Diaz – Chief Administrative Officer
Len Simich – Special Advisor to the Commission
Tony Kuykendall – Maintenance Director
Souriyong Souriya – Finance Director
Al Halaas – First Transit Director/GM

I. PUBLIC COMMENT

The meeting was called to order by Chair Huang at 6:56 pm. All Commissioners were present but Commissioner Narayanan. There was no public comment.

II. APPROVAL OF AGENDA

Interim CEO/Chief Operating Officer Fyten requested the following changes be made to the agenda under New Business:

- Add SouthWest Station Ramp Snow Dump Safety Protection as item E.
- Move SouthWest Village Development to item F.

Motion: Roepke motioned, seconded by Hatfield to accept the agenda as amended. The motion carried 5-0-0.

III. PAYMENT OF CLAIMS

Motion: Hatfield motioned, seconded by Roepke to approve the Payment of Claims. **Roll Call Vote:** Huang, yes; McDonald, yes; Hatfield, yes; Freiberg, yes; Roepke, yes. The motion carried 5-0-0.

IV. CONSENT

- A. Approval of Minutes of 6/23/2022 Commission Meeting
- B. Approval of Minutes of 7/14/2022 Commission Meeting
- C. Approval of Minutes of 7/21/2022 Commission Meeting
- D. Approval of Financial Statements
- E. Statutory Tort Liability Waiver
- F. Capital Improvement Plan
- G. Ridership
- H. Road User Avoidance System

Motion: Freiberg motioned, seconded by McDonald to approve the Consent Agenda. The motion carried 5-0-0.

V. NEW BUSINESS

A. CEO Search

Chair Huang stated that an offer has been made to a candidate who would relocate from Canada. Huang explained the intricacies of the immigration process and how they relate to the relocation of the candidate and his family. The agency is consulting with an Immigration Attorney as to the next steps.

Discussion only. No motion required.

B. SW Prime Fare Change/Fall Service

Senior Systems & Operations Analyst Schuler detailed current Prime fares and presented fares proposed to go into effect September 6, 2022. Schuler also stated that due to ridership numbers, changes are proposed for fall express service.

Interim CEO/COO Fyten stated that the agency needs to justify expenses, but if the agency experiences a sizable increase in ridership, new services will be added.

Rider input on these changes was solicited via Rider Notices, social media and public meetings.

Motion: McDonald motioned, seconded by Hatfield to authorize the Interim CEO to implement the proposed SW Prime fare changes and Fall service schedule to go into effect on September 6, 2022. The motion carried 5-0-0.

C. COLA Adjustment

Interim CEO/COO Fyten stated that one of the Core Values of the agency's Strategic Plan (adopted earlier this year) is that it is "committed to investing in the talents of our dedicated employees, and ensure that their safety, well-being, and work environment remains an agency priority." To remain competitive, ensure our employee's well-being and to retain employees, a COLA and performance merit plan is being proposed.

Motion: Roepke motioned, seconded by Freiberg to authorize the Interim CEO to implement a 5% cost of living adjustment (COLA) plus a merit pay increase up to 5% for all SouthWest Transit employees to be included as part of the agency's 2023 Budget. The motion carried 5-0-0.

D. Bus Purchase Agreement Amendment

Interim CEO/COO Fyten stated that in January 2022, the SWT Commission approved the purchase of six Ford Transit vans with wheelchair lifts for the SW Prime MD service. At the time of the agreement, North Central Bus & Equipment, Inc. stated that it could not guarantee the 2022 chassis would be available to fulfill the order as agreed upon, If that were the case, SWT would need to amend the agreement to allow use of the 2023 chassis, assuming a different cost would follow.

Staff was informed in July that 2022 chassis are not available and that 2023 chassis need to be used, resulting in a cost increase of \$12,040 per vehicle for a total cost increase of \$72,240.

Motion: Freiberg motioned, seconded by McDonald to authorize the Interim CEO to amend its purchase agreement with North Central Bus & Equipment, Inc. for an additional amount not to exceed \$72,240. The motion carried 5-0-0.

E. SouthWest Station Ramp Snow Dump Safety Protection

Facility Maintenance Engineer Dartt stated that due to light rail construction at SouthWest Station and the apartments that have been built nearby, SWT can no longer safely dump snow from the SW Station ramp without damaging property.

SWT has negotiated with the apartment ownership for use of their back parking area to dump snow when needed in exchange for use of the ramp during winter storm parking needs for their residents.

An RFQ was sent to two restoration contractors resulting in the following bids:

Western Specialty Contractors	\$45,724
Project Restorations	\$48,792

The requested amount includes a 10% contingency above the quoted price.

Motion: Roepke motioned, seconded by Freiberg to authorize the Interim CEO to execute an agreement with Western Specialty Contractors in the amount not to exceed \$50,300.00 for the SouthWest Station Ramp Snow Dump Safety Protection. The motion carried 5-0-0.

F. SouthWest Village Development

Chief Executive Officer Simich presented two options for the final parcel of land related to the SouthWest Village PUD and discussed the pros and cons of each.

Option #1 – Ebert Construction has proposed purchasing the site for a total of \$750,000. Ebert would develop a 90,000 sq. ft. three-story self-storage building.

Option #2 – SouthWest Transit would develop a 50,000 sq. ft. three-story building for a cost estimated between \$6,000,000-\$7,000,000 (all in).

Motion: Roepke motioned, seconded by Freiberg to move forward and refine Option #2 on the SouthWest Village site (Lot 2 Block 1). The motion carried 5-0-0.

VI. LEGISLATIVE UPDATE

Chair Huang requested feedback from the Commissioners as to meetings/discussions they had with key Legislators and/or local elected officials regarding SWT’s Legislative priorities. Each City’s Commissioners provided updates. Meetings will continue with updates being presented at each Commission meeting.

VII. UPDATES

VIII. ADJOURNMENT

Motion: Hatfield motioned, seconded by Freiberg to adjourn. The motion carried 5-0-0. The meeting adjourned at 9:17pm.

August 18, 2022 SouthWest Transit Commission Minutes Prepared By Linda Spevacek

Approved by: _____

Date: _____



SOUTHWEST TRANSIT

MEMORANDUM

TO: SouthWest Transit Commission
FROM: Souriyong Souriya – Finance Director
DATE: September 22, 2022
SUBJECT: SWT Financial Statements

REQUESTED ACTION:

That the SWT Commission approve the July 2022 Financial Statement, August 2022 Investments and Pledged Securities.

BUDGET IMPACT: This action has no budget impact.

BACKGROUND:

Attached to this memo are the following financial statements:

- The July 31, 2022, Financial Statement for General Fund Operating and Capital Projects Funds.
- The investment of SWT funds into certificates of deposits (CDs), US Treasury Investment and rate of return from 0.30%-2.27%.
- Five institutions provided the pledged securities for collateral beyond the FDIC insured.

RECOMMENDATION:

That the SWT Commission approve the July 2022 Financial Statement, August 2022 Investments and Pledged Securities.



Commission Meeting date 09.22.2022

Balance Sheet for All Funds July 2022

Fund Name					
Balance Sheet Category	General Fund	Capital Improvement Fund	EPG Roof Replacement Fund	SWS Development Capital Fund	Total
Assets					
Cash & Investments	\$ 7,390,701	\$ 2,692,919	\$ 280,090	\$ 6,105,824	\$ 16,469,533
Accounts Receivable	2,897,564		-	-	2,897,564
Other Assets	353,148	-	-	-	353,148
Total Assets	10,641,413	2,692,919	280,090	6,105,824	19,720,245
Liabilities					
Accounts Payable	86,083	-	-	-	86,083
Other Liabilities	-	-	-	-	-
Total Liabilities	86,083	-	-	-	86,083
Fund Balances					
Beginning Fund Balance-January	8,894,074	2,692,919	1,950,666	6,090,686	19,628,345
Net Change in Fund Balance	1,661,256	-	(1,670,577)	15,137	5,817
Total Fund Balances	10,555,330	2,692,919	280,089	6,105,823	19,634,162
Total Liabilities & Fund Balances	\$ 10,641,412	\$ 2,692,919	\$ 280,089	\$ 6,105,823	\$ 19,720,244



SouthWest Transit
 Revenue and Expenditures for All Funds
 Monthly Financial Report
 YTD July 2022

Commission Meeting date 09.22.2022

July=58.3%

General Fund 100	Amended Budget	Current Month Actual	2022 YTD Actual	2022 YTD Balance	% YTD Budget
Revenues					
Passenger Fares	\$ 613,800	\$ 64,046	\$ 451,594	(162,206)	73.6%
Contract Revenue	60,000	7,390	36,916	(23,084)	61.5%
CMAQ Grant Revenue	30,000	-	-	(30,000)	0.0%
5307 NTD Funding	923,088	-	68,588	(854,500)	7.4%
APR Act 5307	3,494,167	-	1,854,449	(1,639,718)	0.0%
MVST Revenue	8,991,000	835,730	5,289,455	(3,701,545)	58.8%
RAMVST Revenue	1,670,300	125,610	957,102	(713,198)	57.3%
Investment Income	10,000	1,610	8,105	(1,895)	81.0%
Other Local Revenues	170,900	3,622	146,190	(24,710)	85.5%
Total Revenue	\$ 15,963,255	\$ 1,038,007	\$ 8,812,400	\$ (7,150,855)	55.2%
Expenditures					
Administration	\$ 1,934,400	\$ 145,917	\$ 1,053,394	881,006	54.5%
Operations	6,168,600	522,935	3,053,612	3,114,988	49.5%
Vehicle Maintenance	1,897,800	127,318	902,632	995,168	47.6%
Facility Maintenance	1,623,310	133,277	868,723	754,587	53.5%
Total Expenditures	11,624,110	929,447	5,878,361	5,745,749	50.6%
5307 NTD Schedule	923,088	5,438	419,395	503,693	45.4%
Capital Cost Of Operating	2,764,212	361,083	1,131,964	1,632,248	41.0%
	3,687,300	366,520	1,551,359	2,135,941	42.1%
Total Expenditures & Capital Cost of Operating	15,311,410	1,295,967	7,429,720	7,881,690	48.5%
Excess of Revenues Over (Under) Expenditures	651,845	(257,960)	1,382,680	(730,835)	
Other Financing Sources (Uses)					
Insurance Recoveries	-	2,500	278,576	(278,576)	
Transfers In	-	-	-	-	
Transfers (Out)	-	-	-	-	
Total Other Financing Sources (Uses)	-	2,500	278,576	(278,576)	
Net Change in Fund Balance	\$ 651,845	\$ (255,460)	\$ 1,661,256		
Fund Balance, January 1			\$ 8,894,074		
Fund Balance, End of Current Period			\$ 10,555,330		
Months of Operating Expenditures			8		
Fund Balance as a % of the Expenditure Budget			68.9%		



SouthWest Transit
 Revenue and Expenditures for All Funds
 Monthly Financial Report
 YTD July 2022

Commission Meeting date 09.22.2022

July=58.3%

All Other Funds	Amended Budget	Current Month Actual	2022 YTD Actual	2022 YTD Balance	% YTD Budget
Capital Improvement Fund 270					
Revenue	\$ -	\$ -	\$ -	\$ -	0.0%
Expenditures	-	-	-	-	0.0%
Transfer In (Out)	-	-	-	-	#DIV/0!
Net Change in Fund Balance	\$ -	\$ -	\$ -		
EPG Roof Replacement Fund 280					
Revenue	\$ -	\$ -	\$ -	\$ -	0.0%
Expenditures	2,000,000	292,158	1,670,577	329,423	83.5%
Transfer In (Out)	-	-	-	-	0.0%
Net Change in Fund Balance	\$ (2,000,000)	\$ (292,158)	\$ (1,670,577)		
SWS Development Capital Fund 360					
Revenue	\$ 45,000	4,815	15,137	\$ (29,863)	33.6%
Expenditures	-	-	-	-	0.0%
Transfer In (Out)	-	-	-	-	0.0%
Net Change in Fund Balance	\$ 45,000	\$ 4,815	\$ 15,137		

SouthWest Transit Commission Investments
August 2022

Broker	Purchase Date	Type	Description	Maturity Date	Type	Purchase Cost	Maturity Amount	Rate	Days to Maturity	Current Market Value	Accrued Interest	Months Term													
8/31/2022																									
BankVista	10/6/2021	CD	BankVista CD 3301049	10/5/2022	CD	250,000.00	250,000.00	0.300%	35	250,000.00	282	12													
Tradition Bank	10/16/2021	CD	Tradition Bank CD 13813422	10/16/2022	CD	685,478.23	685,478.23	0.650%	46	687,689.50	735	12													
Alerus Bank	6/14/2022	Treas	6-month Treasury Notes	12/15/2022	Tr	1,000,000.00	1,000,000.00	1.560%	106	1,000,000.00		6													
Flagship Bank	1/24/2022	CD	Flagship CD 100243	1/24/2023	CD	300,000.00	300,000.00	0.200%	146	300,000.00		12													
Tradition Bank	8/11/2022	CD	Tradition Bank CD 35509543	2/11/2023	CD	1,590,252.51	1,590,252.51	1.690%	164	1,594,195.46	2,510	6													
Flagship Bank	3/2/2019	CD	Flagship CD 100306	2/28/2023	CD	250,000.00	250,000.00	0.350%	181	250,000.00		24													
Flagship Bank	3/11/2020	CD	Flagship CD 100255	3/6/2023	CD	250,000.00	250,000.00	0.300%	187	250,000.00		12													
Flagship Bank	3/16/2021	CD	Flagship CD 200379	3/15/2023	CD	750,000.00	750,000.00	0.300%	196	750,000.00		12													
Alerus Bank	6/14/2022	Treas	12-month Treasury Notes	6/15/2023	Tr	500,000.00	500,000.00	2.270%	288	500,000.00		12													
Total						5,575,730.74	5,575,730.74			5,581,884.96	5,296.12														
										<i>Flagship Bank - Nonprofit Checking</i>		<i>1,008,032.15</i>													
										<i>Flagship Bank - Money Market Acct</i>		<i>4,501,740.84</i>													
										<i>SWT - Cash on hand</i>		<i>600.00</i>													
										<i>Americana Community Bank</i>		<i>825,638.78</i>													
										<i>Alerus - Money Market Acct</i>		<i>25,135.25</i>													
										<i>BankVista - Money Market ICS Acct</i>		<i>4,468,544.16</i>													
Subtotal										\$ 10,829,691.18															
Grand Total										\$ 16,411,576.14															
Summary by Type (based upon current market value)						CDs Summary by banks																			
CD						<table border="0" style="width: 100%;"> <tr> <td style="text-align: center;"><i>Banks</i></td> <td style="text-align: center;"><i>Amount</i></td> </tr> <tr> <td>Americana</td> <td style="text-align: right;">-</td> </tr> <tr> <td>Alerus</td> <td style="text-align: right;">1,500,000.00</td> </tr> <tr> <td>Bank Vista</td> <td style="text-align: right;">250,000.00</td> </tr> <tr> <td>Flagship</td> <td style="text-align: right;">1,550,000.00</td> </tr> <tr> <td>Tradition</td> <td style="text-align: right;">2,281,884.96</td> </tr> <tr> <td colspan="2">5,581,884.96</td> </tr> </table>						<i>Banks</i>	<i>Amount</i>	Americana	-	Alerus	1,500,000.00	Bank Vista	250,000.00	Flagship	1,550,000.00	Tradition	2,281,884.96	5,581,884.96	
<i>Banks</i>	<i>Amount</i>																								
Americana	-																								
Alerus	1,500,000.00																								
Bank Vista	250,000.00																								
Flagship	1,550,000.00																								
Tradition	2,281,884.96																								
5,581,884.96																									
Maturity Dates						Amount																			
Sep-22						\$ -																			
Oct-22						937,689.50																			
Nov-22						\$ -																			
later						\$ 4,644,195.46																			
						\$ 5,581,884.96																			

SouthWest Transit					
Pledged Securities Accounts - August 2022					
Security Description	Safekeeping Agent	Maturity Date	Pledged Date	Book Value	Pledged Value
Flagship Bank Minnesota					
Treasury	United Bankers Bank	9/30/2024	3/7/2021	\$ 2,042,020.09	\$ 2,000,000.00
Treasury	United Bankers Bank	7/31/2024	3/7/2021	\$ 1,025,655.08	\$ 1,000,000.00
Treasury	United Bankers Bank	1/31/2025	4/26/2021	\$ 1,529,185.56	\$ 1,500,000.00
Treasury	United Bankers Bank	7/15/2024	7/19/2021	\$ 999,164.79	\$ 1,000,000.00
Treasury	United Bankers Bank	1/31/2025	4/15/2022	\$ 984,004.82	\$ 1,000,000.00
MBS-FNMA/FHLMC	United Bankers Bank	9/1/2027	5/26/2020	\$ 114,274.28	\$ 114,274.28
Wells Natl West	United Bankers Bank	1/17/2023	4/2/2020	\$ 249,000.00	\$ 249,000.00
Enerbank USA	United Bankers Bank	9/13/2024	9/25/2019	\$ 248,281.54	\$ 249,000.00
Morgan Stanley	United Bankers Bank	11/14/2024	1/9/2020	\$ 247,000.00	\$ 247,000.00
3RD FED SVGS	United Bankers Bank	11/25/2024	1/9/2020	\$ 247,000.00	\$ 247,000.00
Sallie MAE	United Bankers Bank	7/21/2026	9/29/2021	\$ 248,000.00	\$ 248,000.00
CMO 2009-26	United Bankers Bank	8/20/2040	7/20/2018	\$ 91,512.08	\$ 91,512.08
GNMA	United Bankers Bank	1/20/2033	1/20/2021	\$ 100,130.66	\$ 100,130.66
GNMA	United Bankers Bank	10/1/2032	10/23/2012	\$ 165,430.29	\$ 165,430.29
FNMA	United Bankers Bank	10/1/2032	8/15/2015	\$ 177,845.14	\$ 177,845.14
MBS-FNMA/FHLMC	United Bankers Bank	1/16/2038	6/30/2021	\$ 55,625.11	\$ 55,625.11
				\$ 8,524,129.44	\$ 8,444,817.56
BankVista					
FDIC	ICS Account	NA	6/6/2018	\$ 4,718,544	\$ 4,718,544
Tradition Capital Bank					
Edgewood OH City Sch Dist Bond	BMO Harris Bank N.A	12/1/2029	12/19/2019	\$ 521,200	\$ 500,000
Little Blue VLY MO SWR Dist SW Bond	BMO Harris Bank N.A	9/1/2027	9/26/2019	\$ 1,073,990	\$ 1,000,000
Port Neches-Groves TX Indep SC Bonds	BMO Harris Bank N.A	2/15/2026	7/26/2016	\$ 744,123	\$ 695,000
Fed Farm Credit Bank	BMO Harris Bank N.A	4/1/2033	4/1/2013	\$ 660,905	\$ 699,376
Alerus					
FRB Federal Reserve Custody	Bank of North Dakota	4/1/2026	6/22/2016	\$ 340,000	\$ 340,000
US Treasury	US Security		6/14/2022	\$ 1,500,000	\$ 1,500,000
Americana Community Bank					
FNMA Pool #MA1119	United Bankers Bank	7/1/2042	6/21/2018	\$ 336,912	\$ 342,379
FNMA Pool #MA3744	United Bankers Bank	8/1/2049	6/28/2021	\$ 184,143	\$ 178,190
Chandler AZ Ex	United Bankers Bank	7/1/2031	3/10/2022	\$ 506,269	\$ 459,015
			Total	\$ 19,110,216	\$ 18,877,321
Summary Total Funds		8/31/2022			
Flagship Bank	\$ 7,059,954				
BankVista	\$ 4,718,544				
Tradition Capital Bank	\$ 2,281,885				
Alerus	\$ 1,500,000				
Americana Community Bank	\$ 825,639				
Total	\$ 16,386,022				
<i>Difference Extra</i>	\$ 2,491,299.40				



SOUTHWEST TRANSIT

MEMORANDUM

To: SouthWest Transit (SWT) Commission
From: Mike Dartt Facility Engineer
Date: September 14, 2022
Subject: Eden Prairie Garage Door Replacement Project (Drain Relocation)

REQUESTED ACTION

That the SWT Commission authorize its Interim Chief Executive Officer to execute an agreement with Peterson Sheet Metal (PSM) in the amount not to exceed \$46,335.00 for relocating roof drains in garage C as part of the garage door replacement at the Eden Prairie Garage.

BUDGET IMPACT

This project was approved in the 2022 amended budget in May. The additional funds needed to relocate the existing drainpipes still falls within the original budget. Funds for the project will come from the agency working capital reserve account and /or NTD.

BACKGROUND

SWT is in the process of replacing old steel garage doors with modern highspeed rubber doors. The reason for this is that it costs significantly less to repair a rubber door should the door become damaged. It has been determined we cannot lower the existing drainpipes or cut through the wall in C bay without compromising the integrity of the wall. The current location of the drainpipes doesn't allow enough room to install the new rubber highspeed doors. Walker Consultants has written a plan to reroute the pipes through garage D exiting the drains out the west side of the garage.

The request for bid (RFB) has been given to two plumbing vendors.

<u>Contractor</u>	<u>Price</u>
PSM	\$46,335.00
Harris St. Paul Inc.	\$58,852.00

Our low bid vendor, PSM, is a Sourcewell approved vendor and Sourcewell has already been competitively bid. The recommended vendor has performed work for SWT in the past.

RECOMMENDATION

That the SWT Commission authorize its Interim Chief Executive Officer to execute an agreement with Peterson Sheet Metal in the amount not to exceed \$46,335.00



SOUTHWEST TRANSIT

MEMORANDUM

TO: SouthWest Transit Commission

FROM: Jason Kirsch, IT Manager
Ben Schuler, Sr. Systems & Operations Analyst

DATE: September 20, 2022

SUBJECT: Transit Asset Management Plan Update

REQUESTED ACTION:

That the SouthWest Transit Commission adopts the 2022 SWT Transit Asset Management Plan Update.

BUDGET IMPACT:

None.

BACKGROUND:

Transit asset management (TAM) is the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles to provide safe, cost-effective, and reliable public transportation.

Attached to this memorandum is the SouthWest Transit Asset Management Plan.

SouthWest Transit staff assesses conditions of facilities, equipment, and revenue vehicles annually to ensure that our assets are at or above minimum acceptable standards. We then use these assessments to form our Capital Improvement Plan and Transit Asset Management Plan.

Every 4 years, the FTA requires transit providers to submit an updated Transit Asset Management Plan in accordance to federal regulations (49 CFR part 625).

This document includes updated condition assessments and valuations of the SWT assets to ensure the Plan is in Federal compliance.

RECOMMENDATION:

That the SouthWest Transit Commission adopts the 2022 SWT Transit Asset Management Plan Update.

Transit Asset Management Plan



SW
SOUTHWEST TRANSIT

September 22, 2022



Revision History

Agency Name: SouthWest Transit, Eden Prairie, MN

Accountable Executive: Matt Fyten, Chief Operations Officer

Initial Adoption Date: October, 2013

Last Modified By (Name):	Last Modified By (Date):
	October, 2015
	October, 2018
	October, 2022



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Introduction

Agency Overview

In 1986, the southwest Minneapolis suburbs of Chaska, Chanhassen, and Eden Prairie chose to opt out of the Metropolitan Transit Commission transit system in accordance with Minnesota State Statutes. Under a joint powers agreement between the three cities, they created their own transit system, SouthWest Transit (SWT). Upon its formation, the agency automatically became part of the regional transit system, which included a variety of public and private transit agencies serving the Twin Cities Metropolitan Area. To avoid duplication of services and to provide for a transit system that would best serve the region, all these agencies are coordinated via regional transit policies administered through the Metropolitan Council.

SWT is operating as an FTA-defined Tier II transit operator in compliance with 49 CFR § 625.45 (b)(1). Tier II transit providers are those transit agencies that do not operate rail fixed-guideway public transportation systems and have either 100 or fewer vehicles in fixed-route revenue service during peak regular service or have 100 or fewer vehicles in general demand response service during peak regular service hours.

This TAM Plan directs how SWT will assess, monitor, and report the physical condition of assets utilized in the operation of the public transportation system. The TAM Plan provides realistic numbers and a reporting method that supports better decision-making, resource allocation, and budgeting.

The TAM Plan supports the continued success of SWT and ability to provide:

- › A high quality, safe, reliable, and cost-effective transit system
- › Exceptional customer service
- › The best equipment and facilities possible

FTA Transit Asset Management (TAM) Background

In 2016, the Federal Transit Administration (FTA) published a rule, 49 CFR Part 625, to require public transit providers that receive Federal transit assistance to undertake certain transit asset management activities. Transit asset management is the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation. Asset management is a cornerstone of effective performance management. Asset management is a process of resource allocation, optimization, and utilization. By leveraging data to improve investment decision-making, asset management improves reliability, safety, cost management, and customer service.

The FTA has identified three potential roles in transit asset management planning:

Tier I Provider is a recipient that owns, operates, or manages either (1) one hundred and one or more vehicles in revenue service during peak regular service across all fixed route modes or in any one non-fixed route mode, or (2) rail transit. Tier I providers must develop their own, individual TAM plan.

Tier II Provider is a recipient that owns, operates, or manages (1) one hundred or fewer vehicles in revenue service during peak regular service across all non-rail fixed route modes or in any one non-



fixed route mode, (2) a sub recipient under the 5311 Rural Area Formula Program, (3) or any American Indian tribe. Tier II providers can develop their own individual TAM plan or can be included in a group plan developed by a sponsor agency.

Sponsor Agency is a State, a designated recipient, or a direct recipient that develops a group TAM for at least one tier II provider.

As a Tier II public transportation provider, SWT has developed a Transit Asset Management Plan in accordance with the guidelines established by the FTA. Specifically, §625.25 requires that all TAM plans must include:

1. **An inventory of the number and type of capital assets.** All capital assets a transit provider owns, operates, or manages, including those acquired without FTA funds. The inventory must include all capital assets that the transit provider owns, except equipment with an acquisition value under \$50,000 that is not a service vehicle.
2. **A condition assessment of those inventoried assets for which a transit provider has direct capital responsibility.** A condition assessment must generate information in a level of detail sufficient to monitor and predict the performance of the assets and to inform the investment prioritization. Direct capital responsibility means you have a line item in your budget.
3. A description of analytical processes or **decision-support tools** used to estimate capital investment needs over time.
4. A project-based **prioritization of investments.**

The FTA TAM rule requires each transit operator receiving FTA funding shall designate an “Accountable Executive” to implement the TAM Plan. The Authority’s Accountable Executive must balance transit asset management safety, day to day operations, and expansion needs in approving and carrying out the TAM Plan and a public transportation agency safety plan.

The TAM Plan is to be updated every four years. Amendments are to be made in the plan whenever there is a significant change to asset inventory, condition assessment or investment prioritization that was not anticipated when the plan was developed.

Transit Asset Management Plan (TAM Plan)

TAM Plan Elements

As a Tier II public transportation provider, SWT has developed and implemented a TAMP containing the following elements:

1. **Asset Inventory Portfolio:** An inventory of the number and type of capital assets to include: Revenue Vehicles, Equipment and Facilities.

2. **Asset Condition Assessment:** A condition assessment of those inventoried assets for which SWT has direct ownership and capital responsibility.
3. **Decision Support Tools & Management Approach:** A description of the analytical processes and decision-support tools that SWT uses to estimate capital investment needs over time and develop its investment prioritization.
4. **Investment Prioritization:** SWT's project-based prioritization of investments, developed in accordance with §625.33.

Definitions

Accountable Executive: Means a single, identifiable person who has ultimate responsibility for carrying out the safety management system of a public transportation agency; responsibility for carrying out transit asset management practices; and control or direction over the human and capital resources needed to develop and maintain both the agency's public transportation agency safety plan, in accordance with 49 U.S.C. 5329(d), and the agency's transit asset management plan in accordance with 49 U.S.C. 5326.

Asset Category: Means a grouping of asset classes, including a grouping of equipment, a grouping of revenue vehicles, a grouping of equipment, and a grouping of facilities.

Asset Class: Means a subgroup of capital assets within an asset category. For example, buses, trolleys, and cutaway vans are all asset classes within the revenue stock asset category.

Asset Inventory: Means a register of capital assets, and information about those assets.

Capital Asset: Means a unit of revenue stock, a facility, a unit of equipment, or an element of infrastructure used for providing public transportation.

Decision Support Tool: Means an analytic process or methodology:

- (1) To help prioritize projects to improve and maintain the state of good repair of capital assets within a public transportation system, based on available condition data and objective criteria; or
- (2) To assess financial needs for asset investments over time.

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

Equipment: Means an article of nonexpendable, tangible property having a useful life of at least one year.

Exclusive-Use Maintenance Facility: Means a maintenance facility that is not commercial and either owned by a transit provider or used for servicing their vehicles.

Facility: Means a building or structure that is used in providing public transportation.

Full Level of Performance: Means the objective standard established by FTA for determining whether a capital asset is in a state of good repair.



Horizon Period: Means the fixed period within which a transit provider will evaluate the performance of its TAM plan. FTA standard horizon period is four years.

Implementation Strategy: Means a transit provider's approach to carrying out TAM practices, including establishing a schedule, accountabilities, tasks, dependencies, and roles and responsibilities.

Infrastructure: Means the underlying framework or structures that support a public transportation system.

Investment Prioritization: Means a transit provider's ranking of capital projects or programs to achieve or maintain a state of good repair. An investment prioritization is based on financial resources from all sources that a transit provider reasonably anticipates will be available over the TAM plan horizon period.

Key Asset Management Activities: Means a list of activities that a transit provider determines are critical to achieving its TAM goals.

Life-Cycle Cost: Means the cost of managing an asset over its whole life.

Participant: Means a tier II provider that participates in a group TAM plan.

Performance Measure: Means 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 (*e.g.*, a measure for on-time performance is the percent of trains that arrive on time, and a corresponding quantifiable indicator of performance or condition is an arithmetic difference between scheduled and actual arrival time for each train).

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

Public Transportation System: Means the entirety of a transit provider's operations, including the services provided through contractors.

Public Transportation Agency Safety Plan: Means a transit provider's documented comprehensive agency safety plan that is required by 49 U.S.C. 5329.

Recipient: Means an entity that receives Federal financial assistance under 49 U.S.C. Chapter 53, either directly from FTA or as a subrecipient.

Revenue Vehicle: Means a revenue vehicle used in providing public transportation, including vehicles used for carrying passengers on fare-free services.

Service Vehicle: Means a unit of equipment that is used primarily either to support maintenance and repair work for a public transportation system or for delivery of materials, equipment, or tools.

State of Good Repair (SGR): Means the condition in which a capital asset can operate at a full level of performance. The asset can perform its designed function and does not pose unacceptable safety risk to users. FTA is required to set SGR performance measures that provide a basis for agencies to determine



whether assets are in a condition sufficient to operate at a full level of performance. FTA's SGR performance measures are set by asset class.

Performance Measures:

- Revenue Vehicle AGE % of asset class that met or exceed ULB
- Equipment AGE % of asset that have met or exceeded ULB
- Facilities CONDITION % of facilities with a condition rating below 3.0 (TERM)

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

TERM Scale: Means the five (5) category rating system used in the Federal Transit Administration's Transit Economic Requirements Model (TERM) to describe the condition of an asset: 5.0—Excellent, 4.0—Good; 3.0—Adequate, 2.0—Marginal, and 1.0—Poor.

Tier I Provider: Means a recipient that owns, operates, or manages either (1) one hundred and one (101) or more vehicles in revenue service during peak regular service across all fixed route modes or in any one non-fixed route mode, or (2) rail transit.

Tier II Provider: Means a recipient that owns, operates, or manages (1) one hundred (100) or fewer vehicles in revenue service during peak regular service across all non-rail fixed route modes or in any one non-fixed route mode, (2) a subrecipient under the 5311 Rural Area Formula Program, (3) or any American Indian tribe.

Transit Asset Management (TAM): Means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation.

Transit Asset Management (TAM) Plan: Means a plan that includes an inventory of capital assets, a condition assessment of inventoried assets, a decision support tool, and a prioritization of investments.

Transit Asset Management (TAM) Policy: Means a transit provider's documented commitment to achieving and maintaining a state of good repair for all of its capital assets. The TAM policy defines the transit provider's TAM objectives and defines and assigns roles and responsibilities for meeting those objectives.

Transit Asset Management (TAM) Strategy: Means the approach a transit provider takes to carry out its policy for TAM, including its objectives and performance targets.

Transit Asset Management (TAM) System: Means a strategic and systematic process of operating, maintaining, and improving public transportation capital assets effectively, throughout the life cycles of those assets.

Transit Provider (provider): Means a recipient or subrecipient of Federal financial assistance under 49 U.S.C. Chapter 53 that owns, operates, or manages capital assets used in providing public transportation.

Useful life: Means either the expected life cycle of a capital asset or the acceptable period of use in service determined by FTA.

Useful life benchmark (ULB): Means the expected life cycle or the acceptable period of use in service for a capital asset, as determined by a transit provider, or the default benchmark provided by FTA.

Performance Targets & Measures

Useful Life Benchmark

The Useful Life Benchmark (ULB) is defined as the expected lifecycle of a capital asset for a particular transit provider’s operating environment, or the acceptable period of use in service for a particular transit provider’s operating environment. When developing Useful Life Benchmarks (ULB), SWT considered the local operating environment of its assets within the service area, historical maintenance records, manufacturer guidelines, and the default asset ULB derived from the FTA. In most cases, if an asset exceeds its ULB, then it is a strong indicator that it may not be in a state of good repair.

For the purposes of this TAMP, revenue vehicles and equipment were assessed by using FTA’s Default Useful Life Age Benchmark (ULB) Cheat Sheet, October 2021. A link to this document is provided here: [FTA ULB Cheat Sheet 2021](#).

Transit Economic Requirements Model (TERM) Scale

The TERM scale measures the percentage of facilities (by group) that are rated less than 3.0 on the TERM scale. The TERM scale assigns numerical ratings based on condition:

TERM Rating	Condition	Description
Excellent	4.8 - 5.0	No visible defects; new or near new condition; may still be under warranty if applicable
Good	4.0 - 4.7	Good condition, but no longer new; may be slightly defective or deteriorated, but is overall functional
Adequate	3.0 - 3.9	Moderately deteriorated or defective, but has not exceeded useful life
Marginal	2.0 - 2.9	Defective or deteriorated; in need of replacement; exceeded useful life
Poor	1.0 - 1.9	Critically damaged or in need of immediate repair; well past useful life



SouthWest Transit Performance Targets & Measures

Table 1 provides a summary of SWT’s Performance Targets & Measures. SWT reviews and updates this table on an annual basis.

Asset Category - Performance Measure	Asset Class	2022 Target	2023 Target
REVENUE VEHICLES			
Age - % of revenue vehicles within a particular asset class that have met or exceeded their Useful Life Benchmark (ULB)	Over the Road Bus	0%	0%
	Bus	0%	0%
	Cutaway	0%	0%
	Van	0%	0%
EQUIPMENT			
Age - % of vehicles that have met or exceeded their Useful Life Benchmark (ULB)	Automobile	0%	0%
	Trucks	0%	0%
	Floor Scrubber/Sweeper	0%	0%
	Aerial Boom Lift	0%	0%
	Front End Loader	0%	0%
	Skid Steer Loader	0%	0%
FACILITIES			
Condition- % of facilities with a condition rating below 3.0 on the FTA Transit Economic Requirements Model (TERM) Scale	Bus Transfer Station and Ramp (3 total)	0%	0%
	Parking Structure (1 total)	0%	0%
	Combined Admin. And Maint. Facility (1 total)	0%	0%

Asset Inventory

Data Collection

SouthWest Transit’s Revenue Vehicles, Equipment and Facilities are documented and updated using a 3rd party software solution by the name of eMaint, by Fluke. This software allows us to track all assets, service and preventative maintenance (PM) requests for these assets as well as value, condition and useful life.

Capital Asset Inventory

Table 2 provides a summary of their Capital Asset Inventory 2022

Asset Category	Total Number	Avg Age	Avg Mileage	Avg Value
Revenue Vehicles				
Over the Road Bus	67	8.2	282,407	\$629,851
Bus	9	15.3	231,559	\$458,889
Cutaway	7	6.3	241,674	\$100,000
Van	17	2.7	89,023	\$69,118
Equipment				
Automobile	6	9.9	105,025	\$45,000
Trucks	7	6.4	44,651	\$65,625
Floor Scrubber/Sweeper	2	8.5	N/A	\$45,000
Aerial Boom Lift	1	1.3	N/A	\$100,000
Front End Loader	1	1.6	N/A	\$175,000
Skid Steer Loader	4	6.5	N/A	\$71,250
Facilities				
Parking Structure (SWS Only)	1	20.7	N/A	\$10,583,500
Bus Transfer Center and Ramp (ECS, SWV, and CTS)	3	10.7	N/A	\$15,138,726
Admin. and Maintenance Facility (EPG)	1	36.7	N/A	\$15,921,525

Condition Assessments

Revenue Vehicles and Equipment

SWT determines the condition assessment for Revenue Vehicles and Equipment by the percentage of revenue vehicles and equipment that have met or exceeded their Useful Life Benchmark (ULB). The reporting units are:

Revenue Vehicles are reported by vehicle type. The NTD divides vehicles into 23 types.

Equipment is reported only if it is a road-worthy, self-propelled maintenance or construction vehicle. Equipment assets are categorized into three vehicle types: automobiles, rubber-tired vehicles, and steel wheeled vehicles. Equipment valued at more than \$50K such as construction & maintenance equipment (for example: cranes, prime mover, forklift, solar panels, battery packs, and generators) are included in the TAM Plan asset inventory and condition assessment.

Tables 3 and 4 provide a summary of the condition assessment for revenue vehicles and equipment

Table 3: Revenue Vehicle Condition Assessment

Asset Class	Asset Name	VIN	Asset Age	Vehicle Mileage	Replacement Cost	Useful Life Years	Past Useful Life
Bus	523	15GGE2713F1092923	7.3	33793	\$530,000	14	No
Bus	608	15GGD291461076908	16.3	241721	\$450,000	14	Yes
Bus	609	15GGD291661076909	16.4	257297	\$450,000	14	Yes
Bus	610	15GGD291261076910	16.3	271543	\$450,000	14	Yes
Bus	611	15GGD291461076911	16.3	262559	\$450,000	14	Yes
Bus	612	15GGD291661076912	16.3	268439	\$450,000	14	Yes
Bus	614	15GGD291X61076914	16.3	258962	\$450,000	14	Yes
Bus	615	15GGD291161076915	16.3	236173	\$450,000	14	Yes
Bus	617	15GGD291561076917	16.3	253545	\$450,000	14	Yes
CutAway	568	1GB6G5BL7E1197068	7.7	243917	\$100,000	5	Yes
CutAway	569	1GB6G5BL4F1261407	7.0	262013	\$100,000	5	Yes
CutAway	570	1GB6G5BL8F1261068	7.0	279270	\$100,000	5	Yes
CutAway	571	1GB6G5BL1F1261171	7.0	272941	\$100,000	5	Yes
CutAway	572	1GB6G5BL2F1261910	7.0	280111	\$100,000	5	Yes
CutAway	877	1HA6GUCG9HNO09277	4.1	179258	\$100,000	5	No
CutAway	895	1HA6GUCG8HNO03695	4.0	174208	\$100,000	5	No
Over the Road Bus	121	1M8PDMBAXCP012721	10.1	299641	\$625,000	14	No
Over the Road Bus	190	1M8ZDMNA8MP081090	1.3	9257	\$700,000	14	No
Over the Road Bus	191	1M8ZDMNA8MP081091	1.3	6669	\$700,000	14	No
Over the Road Bus	192	1M8ZDMNA8MP081092	0.0	2691	\$700,000	14	No
Over the Road Bus	193	1M8ZDMNA8MP081093	0.0	8175	\$700,000	14	No
Over the Road Bus	235	1M8PDMBAXCP012735	10.1	296197	\$625,000	14	No
Over the Road Bus	236	1M8PDMBA1CP012736	10.1	293194	\$625,000	14	No
Over the Road Bus	237	1M8PDMBA3CP012737	10.1	330502	\$625,000	14	No
Over the Road Bus	238	1M8PDMBA5CP012738	10.1	310459	\$625,000	14	No
Over the Road Bus	239	1M8PDMBA7CP012739	10.1	328946	\$625,000	14	No
Over the Road Bus	240	1M8PDMBA3CP012740	10.1	292667	\$625,000	14	No
Over the Road Bus	374	1M8PDMBA4EP013074	9.1	291370	\$625,000	14	No
Over the Road Bus	375	1M8PDMBA6EP013075	9.1	302031	\$625,000	14	No
Over the Road Bus	427	1M8PDMBAXFP013727	7.5	275941	\$625,000	14	No
Over the Road Bus	428	1M8PDMBA1FP013728	7.5	210177	\$625,000	14	No
Over the Road Bus	429	1M8PDMBA3FP013729	7.5	262693	\$625,000	14	No
Over the Road Bus	430	1M8PDMBAXFP013730	7.5	242327	\$625,000	14	No
Over the Road Bus	452	1M8PDMBA2FP013852	7.3	240344	\$625,000	14	No
Over the Road Bus	453	1M8PDMBA4FP013853	7.3	228568	\$625,000	14	No
Over the Road Bus	460	1M8PDMBA9EP013460	8.1	241096	\$625,000	14	No
Over the Road Bus	461	1M8PDMBA0EP013461	8.1	315109	\$625,000	14	No
Over the Road Bus	462	1M8PDMBA2EP013462	8.1	272755	\$625,000	14	No
Over the Road Bus	463	1M8PDMBA4EP013463	8.1	254721	\$625,000	14	No
Over the Road Bus	473	1M8PDMBA6FP013773	7.4	249752	\$625,000	14	No
Over the Road Bus	474	1M8PDMBA8FP013774	7.4	243413	\$625,000	14	No
Over the Road Bus	475	1M8PDMBA4FP013805	7.3	241985	\$625,000	14	No
Over the Road Bus	476	1M8PDMBA6FP013806	7.3	220419	\$625,000	14	No
Over the Road Bus	477	1M8PDMBA8FP013807	7.3	198187	\$625,000	14	No
Over the Road Bus	479	1M8PDMBA1FP013809	7.3	233238	\$625,000	14	No
Over the Road Bus	545	1M8PDMMPAX3P055545	19.8	436202	\$625,000	14	Yes
Over the Road Bus	584	1M8PDMMPA65P056484	17.7	411959	\$625,000	14	Yes
Over the Road Bus	585	1M8PDMMPA85P056485	17.8	1000749	\$625,000	14	Yes
Over the Road Bus	588	1M8PDMMPA35P056488	17.8	438803	\$625,000	14	Yes
Over the Road Bus	590	1M8PDMMPA15P056490	17.8	413385	\$625,000	14	Yes
Over the Road Bus	705	1M8PDMBA0HP014405	5.6	158911	\$625,000	14	No
Over the Road Bus	706	1M8PDMBA2HP014406	5.6	165354	\$625,000	14	No
Over the Road Bus	707	1M8PDMBA4HP014407	5.6	165536	\$625,000	14	No
Over the Road Bus	708	1M8PDMBA6HP014408	5.6	166714	\$625,000	14	No
Over the Road Bus	709	1M8PDMBA8HP014409	5.6	131998	\$625,000	14	No
Over the Road Bus	710	1M8PDMBA4HP014410	5.6	164352	\$625,000	14	No
Over the Road Bus	762	1M8PDMHA18P058162	15.1	741179	\$625,000	14	Yes
Over the Road Bus	763	1M8PDMHA38P058163	15.1	401924	\$625,000	14	Yes
Over the Road Bus	764	1M8PDMHA58P058164	15.1	634665	\$625,000	14	Yes
Over the Road Bus	765	1M8PDMHA78P058165	15.1	402612	\$625,000	14	Yes
Over the Road Bus	766	1M8PDMHA98P058166	15.1	387407	\$625,000	14	Yes
Over the Road Bus	767	1M8PDHMA08P058167	15.1	352562	\$625,000	14	Yes
Over the Road Bus	768	1M8PDMHA98P058168	15.1	806171	\$625,000	14	Yes
Over the Road Bus	831	1M8PDMBA0KP015139	3.9	83923	\$625,000	14	No
Over the Road Bus	832	1M8PDMBA7KP015140	3.9	79973	\$625,000	14	No

Over the Road Bus	833	1M8PDMBA9KP015141	3.9	81030	\$625,000	14	No
Over the Road Bus	834	1M8PDMBAOKP015142	3.8	79125	\$625,000	14	No
Over the Road Bus	835	1M8PDMBA2KP015143	3.8	83455	\$625,000	14	No
Over the Road Bus	836	1M8PDMBA4KP015144	3.8	79504	\$625,000	14	No
Over the Road Bus	839	1M8PDMBA8KP015146	3.8	75160	\$625,000	14	No
Over the Road Bus	840	1M8PDMBA1KP015147	3.7	73860	\$625,000	14	No
Over the Road Bus	841	1M8PDMBA1KP015148	3.8	70507	\$625,000	14	No
Over the Road Bus	843	4RKJ3349XK9737543	3.7	62041	\$600,000	14	No
Over the Road Bus	844	4RKJ33491K9737544	3.8	59576	\$600,000	14	No
Over the Road Bus	845	4RKJ33493K9737545	3.6	68340	\$600,000	14	No
Over the Road Bus	846	4RKJ33495K9737546	3.8	74644	\$600,000	14	No
Over the Road Bus	847	4RKJ33497K9737547	3.8	69660	\$600,000	14	No
Over the Road Bus	902	1M8PDMEA7BP059702	11.5	335053	\$625,000	14	No
Over the Road Bus	903	1M8PDMEA9BP059703	11.5	326565	\$625,000	14	No
Over the Road Bus	904	1M8PDMEA0BP059704	11.5	333687	\$625,000	14	No
Over the Road Bus	905	1M8PDMEA2BP059705	11.5	317087	\$625,000	14	No
Over the Road Bus	915	1M8ZDMNA7LP081015	2.8	14725	\$700,000	14	No
Over the Road Bus	916	1M8ZDMBA3LP081016	2.9	15518	\$700,000	14	No
Van	123	2C7WDGCG1LR195023	1.6	78926	\$65,000	5	No
Van	223	YV4ED3GB6N2009023	0.2	8676	\$65,000	5	No
Van	225	YV4ED3GB2N2009035	0.2	8153	\$65,000	5	No
Van	624	1FBVU4XG9GKA56624	4.7	132093	\$185,000	5	No
Van	907	2C7WDGCG8KR649007	3.3	125346	\$65,000	5	No
Van	913	3C6TRVPGXKE545613	3.1	107660	\$65,000	5	No
Van	914	3C6TRVPG1KE545614	3.1	110531	\$65,000	5	No
Van	931	2C4RDGCG5KR545231	3.3	89787	\$40,000	5	No
Van	941	2C4RDGCG4KR542241	3.3	88907	\$40,000	5	No
Van	952	2C7WDGCG9KR779152	2.7	90960	\$65,000	5	No
Van	959	2C7WDGCG1KR779159	2.6	78797	\$65,000	5	No
Van	981	2C7WDGCG7KR77481	2.7	90956	\$65,000	5	No
Van	982	2C7WDGCG9KR751982	2.9	104683	\$65,000	5	No
Van	983	2C7WDGCG9KR77482	2.6	86182	\$65,000	5	No
Van	988	2C7WDGCG2KR766288	2.7	92018	\$65,000	5	No
Van	996	3C6TRVPG0KE532496	3.1	115306	\$65,000	5	No
Van	997	3C6TRVPG2KE532497	3.1	104412	\$65,000	5	No

Table 4: Equipment Condition Assessment

Asset Class	Asset Name	ID/Serial	Age	Vehicle Mileage	Replacement Cost	Useful Life	Past Useful Life Benchmark
Automobile	651	1D8GP24E96B680751	16	136490	65000	5	Yes
Automobile	652	1D8GP24E06B680752	16	128794	65000	5	Yes
Automobile	385	2GNFLCEK3D6380758	9	55112	35000	5	Yes
Automobile	386	2GNFLCEKXD6379686	9	72680	35000	5	Yes
Automobile	716	1FBZX2YM0HKA40816	5	132682	35000	5	No
Automobile	717	1FBZX2YM3HKA05008	5	103008	35000	5	No
Skid Steer Loader	697	A3NV13171	12	n/a	75000	15	No
Skid Steer Loader	694	ALJ811547	8	n/a	75000	15	No
Skid Steer Loader	809	AHG815809	4	n/a	60000	10	No
Skid Steer Loader	102	B4CE14102	1	n/a	75000	15	No
Front End Loader	183	1DW524PACMLZ10583	1	n/a	175000	15	No
Aerial Boom Lift	BOOM_LIFT	A302100056	1	n/a	100000	0	Yes
Floor Scrubber/Sweeper	692	1000062438	6	n/a	40000	10	No
Floor Scrubber/Sweeper	696	1000046168	11	n/a	50000	10	Yes
Trucks	966	1FTSF31F0YEE09352	22	115014	50000	10	Yes
Trucks	911	1FD9X4HT6CEC32873	10	23870	75000	10	No
Trucks	693	1FT8X3DT3FEA83326	7	95918	50000	10	No
Trucks	774	1FD0X4HT0HEF25474	5	36191	75000	10	No
Trucks	955	3C63R3CJ8KG724355	2	20281	50000	10	No
Trucks	940	3C7WRNBL7KG562340	3	5395	75000	10	No
Trucks	956	1FDUF4GT4MDA02156	1	4339	50000	15	No
Trucks	956_2	202108SNJ21859	1	n/a	100000	15	No



Facilities

SWT applies the TERM Scale in the condition assessment for their facilities. FTA requires that facility condition data be fully updated every four years, at a minimum. Agencies may choose to assess a quarter of their facilities every year, or more frequently. Each annual report must include updated facility condition data based on any assessments completed since the last report. Note: Only facilities with direct capital responsibility require condition assessments.

Table 5 provides the facilities condition assessment.

Table 5: Facilities Condition Assessment

Asset Class	Asset Name	Description	Age	TERM Scale	Condition	Replacement Cost
B - SHELL Exterior Enclosure	CTS-GCW-E01	Windows	11	4	\$	50,000
B - SHELL Exterior Enclosure	CTS-GCW-E02	Windows	11	4	\$	50,000
B - SHELL Exterior Enclosure	CTS-GCW-L01	Windows	11	4	\$	35,000
B - SHELL Exterior Enclosure	CTS-GCW-L02	Windows	11	4	\$	15,000
B - SHELL Exterior Enclosure	CTS-GCW-L03	Windows	11	4	\$	15,000
B - SHELL Exterior Enclosure	CTS-GCW-L04	Windows	11	4	\$	15,000
B - SHELL Exterior Enclosure	CTS-GWC-E03	Windows Level 3 Main Building	11	4	\$	15,000
B - SHELL Exterior Enclosure	CTS-ROF-MB1	Roof - EPDM Main Building	11	3	\$	20,000
B - SHELL Exterior Enclosure	CTS-ROF-SR1	Roof - EPDM South Stair Tower - Ramp	11	3	\$	10,000
B - SHELL Exterior Enclosure	CTS-ROF-WB1	Roof - EPDM Westside Stair Tower - Building	11	3	\$	10,000
B - SHELL Exterior Enclosure	CTS-SED-SE1	Double Door, Service Entry - Lobby SE	11	4	\$	9,000
B - SHELL Exterior Enclosure	ECS-ROF-001	Roof - Station Building	7	4	\$	600,000
B - SHELL Exterior Enclosure	EPG-EEW-001	Windows - Office Area	2	5	\$	40,000
B - SHELL Exterior Enclosure	EPG-EEW-002	Windows - Maintenance Area	2	5	\$	16,000
B - SHELL EXTERIOR ENCLOSURE	EPG-HSD-021	Door, Bay, Hi-speed, Overhead - Fabric South end of washbay	22	2	\$	20,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-A18	Door, Bay, Overhead South entry Garage A	11	3	\$	15,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-A19	Door, Bay, Overhead	22	4	\$	20,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-A20	Door, Bay, Overhead - Metal Roll-up Scrap metal storage area Replac	7	4	\$	20,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-A21	Door, Bay, Overhead North Exit Garage A	22	4	\$	20,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-A22	Door, Bay, Overhead (Roll-up between A & B) 1500	22	3	\$	10,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-B01	Door, Bay, Overhead North Entry Garage B	34	4	\$	15,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-B02	Door, Bay, Overhead North Fuel Lane B	34	4	\$	15,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-B11	Door, Bay, Overhead south exit westmost Replaced with h/s rubber d	7	4	\$	35,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-B12	Door, Bay, Overhead Garage B south exit (ctr)	10	4	\$	12,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-B13	Door, Bay, Overhead So exit Grg B- Steam Bay Replaced with h/s rubb	7	4	\$	35,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-C03	Door, Bay, Overhead north entry Gar C	18	3	\$	7,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-C04	Door, Bay, Overhead North Entry Garage C	18	3	\$	7,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-C09	Door, Bay, Overhead South exit Garage C	18	3	\$	7,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-C10	Door, Bay, Overhead South Exit Garage C	18	3	\$	7,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-D05	Door, Bay, Overhead North Entry D, eastmost	12	3	\$	10,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-D06	Door, Bay, Overhead North entry D,westmost	15	3	\$	8,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-D07	Door, Bay, Overhead Exit D, westmost	15	3	\$	8,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-D08	Door, Bay, Overhead Exit D, eastmost,rubber	1	5	\$	25,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-S14	Door, Bay, Overhead South entry Shop	7	4	\$	25,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-S15	Door, Bay, Overhead South entry Shop, rubber	7	4	\$	25,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-S16	Door, Bay, Overhead South entry Shop, rubber	7	4	\$	25,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-S17	Door, Bay, Overhead South entry Shop, rubber	7	4	\$	25,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-S22	Door, Bay, Overhead (Roll-up between Shop North Wall & A)	22	3	\$	10,000
B - SHELL EXTERIOR ENCLOSURE	EPG-OGD-S23	Door, Bay, Overhead (Roll-up between Shop East Wall & A)	22	3	\$	10,000
B - SHELL EXTERIOR ENCLOSURE	EPG-ROF-001	Roof - Asphalt built up	18	2	\$	35,000
B - SHELL EXTERIOR ENCLOSURE	EPG-ROF-A01	Roof, Metal Areas - Stairway area	22	3	\$	20,000
B - SHELL EXTERIOR ENCLOSURE	EPG-ROF-A02	Roof, EPDM Area - Sloped, So Side	12	3	\$	20,000
B - SHELL EXTERIOR ENCLOSURE	EPG-ROF-A03	Roof, Asphalt Built-up	18	3	\$	250,000
B - SHELL EXTERIOR ENCLOSURE	EPG-ROF-B01	Roofing - Asphalt Built up/ bus storage area	10	4	\$	210,000
B - SHELL EXTERIOR ENCLOSURE	EPG-ROF-B02	Roofing - Asphalt Built up/ office area	2	4	\$	110,000
B - SHELL EXTERIOR ENCLOSURE	EPG-ROF-C01	Roof, Asphalt Built up	18	4	\$	750,000
B - SHELL EXTERIOR ENCLOSURE	EPG-ROF-D01	Roof, Asphalt Built up	15	4	\$	750,000
B - SHELL Exterior Enclosure	SWS-GCW-RE1	Glass Curtian Wall - L1E	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-GCW-RE2	Glass Curtian Wall - L2E	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-GCW-RE3	Glass Curtian Wall - L3E	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-GCW-RE4	Glass Curtian Wall - L4E	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-GCW-RE5	Glass Curtian Wall - L5E	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-GCW-RW1	Glass Curtian Wall - L1W	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-GCW-RW2	Glass Curtian Wall - L2W	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-GCW-RW3	Glass Curtian Wall - L3W	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-GCW-RW4	Glass Curtian Wall - L4W	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-GCW-RW5	Glass Curtian Wall - L5W	20	3	\$	15,000
B - SHELL Exterior Enclosure	SWS-ROF-002	Roof, EPDM	23	3	\$	8,000
B - SHELL Exterior Enclosure	SWS-ROF-W02	Roof, Copper West Tower Entrance	23	4	\$	60,000
B - SHELL Exterior Enclosure	SWS-ROF-S02	Roof, Copper South Ramp Entry	23	4	\$	15,000
B - SHELL Exterior Enclosure	SWS-SED-ER1	Door, Service Entry, Double,El Mech Rm Ramp	23	3	\$	9,000
B - SHELL Exterior Enclosure	SWS-SED-RW2	Door, Service Entry,L2 west, Ramp	20	3	\$	9,000
B - SHELL Exterior Enclosure	SWS-SED-RW1W	Door, Service Entry, Double, L1 West	20	3	\$	9,000
B - SHELL Exterior Enclosure	SWS-SED-RW1E	Door, Service Entry, Double,L1East	20	2	\$	9,000
B - SHELL Exterior Enclosure	SWV-GCW-002	Windows	15	4	\$	53,000
B - SHELL Exterior Enclosure	SWV-GCW-003	Windows	15	4	\$	22,000
B - SHELL Exterior Enclosure	SWV-GCW-L01	Windows	15	4	\$	58,000
B - SHELL Exterior Enclosure	SWV-GLS-002	Windows - Upper Lobby Area	15	4	\$	19,000
B - SHELL Exterior Enclosure	SWV-ROF-001	Roof	15	3	\$	75,000
B - SHELL Exterior Enclosure	SWV-SED-101	Double Door, Service Entry	15	4	\$	9,000
B - SHELL Exterior Enclosure	SWV-SED-102	Double Door, Service Entry	15	4	\$	9,000
C - INTERIORS	CTS-FLR-L01	Flooring	11	4	\$	21,077
C - INTERIORS	CTS-FLS-E01	Flooring,	11	4	\$	6,000
C - INTERIORS	CTS-FLS-E02	Flooring	11	4	\$	5,500
C - INTERIORS	EPG-FLC-A01	Flooring - Concrete	18	4	\$	230,000
C - INTERIORS	EPG-FLC-B01	Flooring - Concrete	34	4	\$	480,000
C - INTERIORS	EPG-FLC-C01	Flooring - Concrete	34	4	\$	500,000
C - INTERIORS	EPG-FLC-D01	Flooring - Concrete	15	4	\$	40,000

C - INTERIORS	EPG-FLS-B01	Flooring - Sealant	2	4	\$ 100,000
C - INTERIORS	EPG-FLS-C01	Flooring - Sealant	2	4	\$ 50,000
C - INTERIORS	EPG-FLS-D01	Flooring - Sealant	2	4	\$ 75,000
C - INTERIORS	EPG-FLS-M01	Flooring - Sealant	2	4	\$ 50,000
C - INTERIORS	EPG-FSP-A01	Flooring - Sealant - Garage A Reapplied fall 2014	5	3	\$ 50,000
C - INTERIORS	EPG-IFC-001	Flooring/Carpet front office area carpeting Replaced all offices winter	8	4	\$ 9,500
C - INTERIORS	SWV-FLS-L01	Flooring	15	4	\$ 9,500
C - INTERIORS	SWV-SED-103	Double Door, Service Entry	15	4	\$ 9,000
C - INTERIORS	SWV-SED-104	Double Door, Service Entry	15	4	\$ 9,000
C - INTERIORS	SWS-ESP-RE1	Flooring, Concrete Stairway	20	3	\$ 30,000
C - INTERIORS	SWS-ESP-RE2	Flooring, Concrete Stairway	20	3	\$ 30,000
C - INTERIORS	SWS-ESP-RE3	Flooring, Concrete Stairway	20	3	\$ 30,000
C - INTERIORS	SWS-ESP-RE4	Flooring, Concrete Stairway	20	3	\$ 30,000
C - INTERIORS	SWS-ESP-RE5	Flooring, Concrete Stairway	20	3	\$ 30,000
C - INTERIORS	SWS-ESP-RW2	Flooring, Concrete Stairway	20	3	\$ 30,000
C - INTERIORS	SWS-ESP-RW3	Flooring, Concrete Stairway	20	3	\$ 30,000
C - INTERIORS	SWS-ESP-RW4	Flooring, Concrete Stairway	20	3	\$ 30,000
C - INTERIORS	SWS-ESP-RW5	Flooring, Concrete Stairway	20	3	\$ 30,000
D - RAIN WATER DRAINAGE	EPG-SWC-P01	Pond - Storm water retainage -East	12	4	\$ 50,000
D - SERVICES	CTS-BBS-001	Battery Back-up System	11	3	\$ 57,000
D - SERVICES	CTS-CAS-001	Access System	11	3	\$ 25,000
D - SERVICES	CTS-CLK-001	Clock Tower	11	4	\$ 9,000
D - SERVICES	CTS-ELV-001	Elevator - System	11	3	\$ 79,000
D - SERVICES	CTS-FSS-001	Fire Suppression System	11	4	\$ 20,000
D - SERVICES	CTS-RTU-001	Roof Top AC	11	3	\$ 15,000
D - SERVICES	CTS-RTU-002	Roof Top AC	11	3	\$ 12,000
D - SERVICES	CTS-SEC-001	Security Camera System	1	4	\$ 60,000
D - SERVICES	ECS-BPG-004	Generator Unit - Back up Power, Natural Gas	4	4	\$ 95,000
D - SERVICES	ECS-CBS-EQP	Code Blue Station System	7	3	\$ 60,000
D - SERVICES	ECS-LCS-001	Lighting Control, Automatic	7	4	\$ 15,000
D - SERVICES	ECS-RPP-001	Curbing Roadway & Busway	7	4	\$ 165,000
D - SERVICES	ECS-RPP-002	Asphalt Pavement Roadway/ K&R Parking	7	3	\$ 500,000
D - SERVICES	ECS-SEC-001	Security Camera System	1	3	\$ 75,000
D - SERVICES	ECS-SSS-S01	Sewage, Drain Sanitary, Station	7	4	\$ 300,000
D - SERVICES	ECS-WSU-001	Water Softner	7	3	\$ 7,000
D - SERVICES	EPG-ASS-001	NO/CO Sensor System	0	5	\$ 50,000
D - SERVICES	EPG-BPG-003	Generator Unit - Back up Power, Diesel	13	3	\$ 150,000
D - SERVICES	EPG-FMS-002	Fuel Monitoring System	2	4	\$ 10,000
D - SERVICES	EPG-FSM-001	Fire Suppression Monitoring System	4	4	\$ 6,000
D - SERVICES	EPG-FSS-001	Fire Suppression System - Office Area	36	3	\$ 25,000
D - SERVICES	EPG-FSS-A01	Fire Suppression System - Dry System	36	3	\$ 50,000
D - SERVICES	EPG-FSS-W01	Fire Suppression System - Wet System	36	3	\$ 50,000
D - SERVICES	EPG-MUA-M01	Air exchanger, make up	30	3	\$ 110,000
D - SERVICES	EPG-RTU-001	Roof Top A/C unit serves maintenance shop	5	4	\$ 50,000
D - SERVICES	EPG-RTU-002	Roof Top A/C unit serves maintenance shop	5	4	\$ 50,000
D - SERVICES	EPG-RTU-003	A/C, roof top Located over Garage B Training Room	2	4	\$ 15,000
D - SERVICES	EPG-RTU-004	A/C, roof top Located over level 2 offices	2	4	\$ 15,000
D - SERVICES	EPG-RTU-M01	A/C, forced air unit located on maintenance shop mezinenne - serves	9	4	\$ 9,000
D - SERVICES	EPG-RTU-M02	A/C, forced air unit located on maintenance shop mezinenne - serves	9	4	\$ 9,000
D - SERVICES	SWS-ACD-002	Split AC/Heat Pump - Elevator room for ramp, west tower. Located on	7	4	\$ 23,000
D - SERVICES	SWS-ACD-003	Split AC/Heat Pump - Stair area of the ramp, located on roof of west s	7	4	\$ 23,000
D - SERVICES	SWS-CCS-001	Car Counter System	8	4	\$ 30,000
D - SERVICES	SWS-CLK-002	Clock, Ramp Tower	20	3	\$ 25,000
D - SERVICES	SWS-ELV-002	Elevator System	20	3	\$ 100,000
D - SERVICES	SWS-ELV-003	Elevator System	20	3	\$ 100,000
D - SERVICES	SWS-FSS-R01	Fire Suppression System, Dry (riser pipe)	20	4	\$ 35,000
D - SERVICES	SWS-GEN-001	Generator, Electrical Back-up System, Diesel	12	3	\$ 125,000
D - SERVICES	SWS-SDS-001	Drains, Storms, Ramp	23	4	\$ 30,000
D - SERVICES	SWS-SDS-002	Drains, Storm, Ramp	20	4	\$ 75,000
D - SERVICES	SWV-CBS-0L1	Code Blue system (4)	9	3	\$ 15,000
D - SERVICES	SWV-ELV-001	Elevator Components	15	4	\$ 80,000
D - SERVICES	SWV-ELV-002	Elevator Components	15	4	\$ 80,000
D - SERVICES	SWV-FSS-001	Fire Suppression System	15	4	\$ 20,000
D - SERVICES	SWV-CBS-002	Code Blue Emergency Phone System	15	3	\$ 16,000
D - SERVICES	SWV-GEN-002	Generator, Electrical Back up - Diesel	15	3	\$ 75,000
D - SERVICES	SWV-HTP-007	Heat Pump 7	15	2	\$ 10,000
D - SERVICES	SWV-HTP-008	Heat Pump 8	15	2	\$ 10,000
D - SERVICES	SWV-SDS-001	Ramp Drains - Drainage System from L	15	4	\$ 45,000
D - SERVICES	SWV-SEC-001	Security Camera System	1	4	\$ 50,000
E - EQUIPMENT & FURNISHINGS	CTS-FRN-001	Site Furniture - exterior benches, trash cans, planters	11	4	\$ 11,000
E - EQUIPMENT & FURNISHINGS	ECS-BHU-001	Boiler, Gas, Underground Sidewalk	7	3	\$ 6,000
E - EQUIPMENT & FURNISHINGS	ECS-CFS-002	Flooring, Concrete, Lobby, L1	7	3	\$ 200,000
E - EQUIPMENT & FURNISHINGS	ECS-CFS-003	Flooring, Concrete, Lobby, L2	7	3	\$ 200,000
E - EQUIPMENT & FURNISHINGS	ECS-CFS-004	Flooring, Concrete, Stair Area	7	4	\$ 150,000
E - EQUIPMENT & FURNISHINGS	ECS-CFS-0L1	Floor, Concrete Sealant, Lobby, L1	7	4	\$ 15,000
E - EQUIPMENT & FURNISHINGS	ECS-CFS-0L2	Floor, Concrete Sealant, Lobby, L2	7	4	\$ 15,000
E - EQUIPMENT & FURNISHINGS	ECS-CFS-SL1	Floor, Concrete Sealant, Stairway	7	4	\$ 10,000
E - EQUIPMENT & FURNISHINGS	ECS-ELV-001	Elevator Components	7	4	\$ 80,000
E - EQUIPMENT & FURNISHINGS	ECS-FSS-001	Fire Suppression System, Wet, Station	11	4	\$ 150,000
E - EQUIPMENT & FURNISHINGS	ECS-FUR-001	Furniture - Exterior & Interior benches	11	4	\$ 15,000
E - EQUIPMENT & FURNISHINGS	ECS-GLS-0L1	Windows, Lobby, L1	7	4	\$ 20,000

E - EQUIPMENT & FURNISHINGS	ECS-GLS-0L2	Windows, Lobby, L2	7	4	\$	10,000
E - EQUIPMENT & FURNISHINGS	ECS-GLS-SA1	Windows, Stair Area, Station Building	7	4	\$	10,000
E - EQUIPMENT & FURNISHINGS	ECS-LED-RL1	Lighting LED, Ramp	7	4	\$	70,000
E - EQUIPMENT & FURNISHINGS	ECS-LED-RL2	Lighting LED, Ramp	7	4	\$	80,000
E - EQUIPMENT & FURNISHINGS	ECS-LED-RW1	Lighting, Station Perimeter	7	4	\$	100,000
E - EQUIPMENT & FURNISHINGS	ECS-LGT-001	Lighting, Interior, Station	7	4	\$	25,000
E - EQUIPMENT & FURNISHINGS	ECS-RTU-001	Roof Top AC	11	3	\$	15,000
E - EQUIPMENT & FURNISHINGS	ECS-SED-E01	Double Door, Service Entry, L2 east	7	4	\$	9,000
E - EQUIPMENT & FURNISHINGS	ECS-SED-N01	Double Door, Svc. Entry, L1 No Side/east end	7	4	\$	9,000
E - EQUIPMENT & FURNISHINGS	ECS-SED-N02	Double Door, Svc. Entry, L2 No. Side/west end	7	4	\$	9,000
E - EQUIPMENT & FURNISHINGS	ECS-SED-N03	Double Door, Svc. Entry, L2 No. Side/east end	7	4	\$	9,000
E - EQUIPMENT & FURNISHINGS	ECS-SED-S01	Double Door, Svc. Entry, L1 So Side/West end	7	4	\$	9,000
E - EQUIPMENT & FURNISHINGS	ECS-SED-S02	Double Door, Svc. Entry, L1 So. Side/middle	7	4	\$	9,000
E - EQUIPMENT & FURNISHINGS	ECS-SED-S03	Double Door. Svc. Entry, L1 So Side/East End	7	4	\$	9,000
E - EQUIPMENT & FURNISHINGS	ECS-SED-W01	Double Door, Svc. Entry, L1 Lobby/stairs	7	4	\$	9,000
E - EQUIPMENT & FURNISHINGS	ECS-SED-W02	Double Door, Svc. Entry, L2 Divid lobby/stairs	7	4	\$	9,000
E - EQUIPMENT & FURNISHINGS	EPG-BDS-001	Bus Drying System - Drive Through	4	4	\$	55,000
E - EQUIPMENT & FURNISHINGS	EPG-BWM-001	Bus Wash Components - ACC International	17	2	\$	17,000
E - EQUIPMENT & FURNISHINGS	EPG-ELV-001	Elevator Components	2	5	\$	80,000
E - EQUIPMENT & FURNISHINGS	EPG-MPR-001	Drawer Set, Parts Organization	10	3	\$	20,000
E - EQUIPMENT & FURNISHINGS	EPG-MPR-002	Shelving, Parts Organization	22	3	\$	10,000
E - EQUIPMENT & FURNISHINGS	EPG-MSE-A1M	Lift, Column (set of 4)- reconditioned spring of 2013 - replaced rollers	18	3	\$	45,000
E - EQUIPMENT & FURNISHINGS	EPG-MSE-AC1	Ingersoll-Rand T-30 (Air Compressor)	20	3	\$	15,000
E - EQUIPMENT & FURNISHINGS	EPG-MSE-B1M	Lift, Column (set of 4) cordless shop A1-4	9	3	\$	70,000
E - EQUIPMENT & FURNISHINGS	EPG-MSE-C1M	Lift, Column (set of 4) cordless shop B1-4	9	3	\$	70,000
E - EQUIPMENT & FURNISHINGS	EPG-MSE-D1M	Lift, Column (set of 4) cordless shop B1-4	9	3	\$	70,000
E - EQUIPMENT & FURNISHINGS	EPG-MSE-J01	Jib Crane - shop. Used to get stock in/out of basement	17	4	\$	5,500
E - EQUIPMENT & FURNISHINGS	EPG-MSE-P01	Lift, Parallel	17	3	\$	110,600
E - EQUIPMENT & FURNISHINGS	EPG-NSW-001	Bus Wash System - Drive Through	7	3	\$	450,000
E - EQUIPMENT & FURNISHINGS	EPG-PWU-A01	Pressure washer - located in wash bay east side, natural gas fired.	23	3	\$	10,000
E - EQUIPMENT & FURNISHINGS	EPG-PWU-A02	Pressure washer - located in wash bay west side, Electrically heated v	8	3	\$	7,000
E - EQUIPMENT & FURNISHINGS	EPG-PWU-M01	Pressure washer	7	2	\$	10,000
E - EQUIPMENT & FURNISHINGS	SHOPAIR_COMPRES	Ingersoll Rand T30	22	2	\$	20,000
F- INTEGRATED CONSRUCTION	EPG-BLD-WB2	Wash Bay Construction - Building Improvement	7	4	\$	2,500,000
G - BUILDING SITEWORK	CTS-BLD-001	CTS Building (Real Estate)	11	4	\$	8,500,000
G - BUILDING SITEWORK	CTS-BWC-001	Busway Canopy	11	4	\$	82,000
G - BUILDING SITEWORK	CTS-CPR-L01	Concrete L1 Ramp	11	4	\$	915,000
G - BUILDING SITEWORK	CTS-CPR-L02	Concrete L2 Ramp	11	4	\$	915,000
G - BUILDING SITEWORK	CTS-CPR-L03	Concrete L3 Ramp	11	4	\$	915,000
G - BUILDING SITEWORK	CTS-CPR-L04	Concrete L4 Ramp	11	4	\$	915,000
G - BUILDING SITEWORK	CTS-LED-L01	Lighting L1 Ramp	11	4	\$	35,000
G - BUILDING SITEWORK	CTS-LED-L02	Lighting L1 Ramp	11	4	\$	35,000
G - BUILDING SITEWORK	CTS-LED-L03	Lighting L1 Ramp	11	4	\$	35,000
G - BUILDING SITEWORK	CTS-LED-L04	Lighting L1 Ramp	11	4	\$	35,000
G - BUILDING SITEWORK	CTS-LGT-001	Exterior Lighting	11	4	\$	25,000
G - BUILDING SITEWORK	CTS-LIS-001	Irrigation	11	3	\$	9,000
G - BUILDING SITEWORK	CTS-LRG-001	Rain Garden	11	4	\$	7,500
G - BUILDING SITEWORK	CTS-LRW-001	Retaining Wall	11	4	\$	46,000
G - BUILDING SITEWORK	CTS-REA-L01	Concrete Apron L1 Ramp Entrance	11	4	\$	6,000
G - BUILDING SITEWORK	CTS-REA-L02	Concrete Apron L2 Ramp Entrance	11	4	\$	6,000
G - BUILDING SITEWORK	CTS-RPP-001	Curbing	11	4	\$	56,000
G - BUILDING SITEWORK	CTS-RPP-003	Concrete Bus Loop	11	4	\$	80,000
G - BUILDING SITEWORK	CTS-SGN-001	Signage- exterior SWT logo signs	11	4	\$	15,000
G - BUILDING SITEWORK	CTS-SWP-001	Pavers	11	4	\$	63,000
G - BUILDING SITEWORK	ECS-BLD-001	ECS Building (Real Estate)	9	4	\$	8,800,000
G - BUILDING SITEWORK	ECS-CFS-L02	Concrete L2 Ramp, Sealant	7	2	\$	50,000
G - BUILDING SITEWORK	ECS-CPR-L02	Concrete L2 Ramp	7	4	\$	915,000
G - BUILDING SITEWORK	ECS-FNC-001	Black Perimeter Fencing	7	4	\$	10,000
G - BUILDING SITEWORK	ECS-FNG-001	Cage, storage cage in ramp	3	4	\$	15,000
G - BUILDING SITEWORK	ECS-GDN-001	Garden, Trees, Perimeter	7	3	\$	50,000
G - BUILDING SITEWORK	ECS-GDN-E01	Garden, East	7	3	\$	8,000
G - BUILDING SITEWORK	ECS-GDN-RG1	Garden, Rain	7	3	\$	15,000
G - BUILDING SITEWORK	ECS-GDN-W01	Garden, West	7	3	\$	8,000

G - BUILDING SITEWORK	ECS-LIS-001	Irrigation System, All Zones	7	3	\$ 50,000
G - BUILDING SITEWORK	ECS-LPS-E01	Pergola (East)	7	3	\$ 10,000
G - BUILDING SITEWORK	ECS-LPS-W01	Pergola (West)	7	3	\$ 10,000
G - BUILDING SITEWORK	ECS-MON-001	Sign Monument	7	3	\$ 22,000
G - BUILDING SITEWORK	ECS-PSW-001	Paver Sidewalk	7	4	\$ 152,000
G - BUILDING SITEWORK	ECS-RPP-003	Concrete Bus Loop 13,000 SF	7	4	\$ 500,000
G - BUILDING SITEWORK	EPG-LIS-001	Irrigation	2	4	\$ 9,000
G - BUILDING SITEWORK	EPG-LSE-001	Lighting - Roadway & Pole	1	4	\$ 50,000
G - BUILDING SITEWORK	EPG-LSE-002	Lighting - Exterior Building	3	4	\$ 30,000
G - BUILDING SITEWORK	EPG-LSE-A01	Lighting - Garage A	1	4	\$ 85,000
G - BUILDING SITEWORK	EPG-LSE-AB2	Lighting - Basement	1	4	\$ 15,000
G - BUILDING SITEWORK	EPG-LSE-B01	Lighting - Garage B	1	4	\$ 85,000
G - BUILDING SITEWORK	EPG-LSE-C01	Lighting - Garage C	1	4	\$ 85,000
G - BUILDING SITEWORK	EPG-LSE-D01	Lighting - Garage D	1	4	\$ 85,000
G - BUILDING SITEWORK	EPG-LSE-L01	Lighting - Office area L1	1	4	\$ 40,000
G - BUILDING SITEWORK	EPG-LSE-L02	Lighting - Offices west and level 2	1	4	\$ 40,000
G - BUILDING SITEWORK	EPG-LSE-S01	Lighting - Shop	1	4	\$ 50,000
G - BUILDING SITEWORK	EPG-SGN-004	Signage - Logo Signage Buidling Exterior	3	4	\$ 10,000
G - BUILDING SITEWORK	EPG-AGT-001	AST-Above Ground Storage Tank (gasoline)	2	4	\$ 50,000
G - BUILDING SITEWORK	EPG-BLD-001	EPG Building & Property (Real Estate)	36	3	\$ 5,000,000
G - BUILDING SITEWORK	EPG-FDP-001	Fuel Dispenser - Pump 1	22	3	\$ 10,000
G - BUILDING SITEWORK	EPG-FDP-002	Fuel Dispenser - Pump 2	22	3	\$ 10,000
G - BUILDING SITEWORK	EPG-FDP-003	Fuel Dispenser - Pump 3	6	4	\$ 10,000
G - BUILDING SITEWORK	EPG-FDP-004	Fuel Dispenser - Pump 4	6	4	\$ 10,000
G - BUILDING SITEWORK	EPG-FDP-005	Fuel Dispenser - Pump 5 (gas)	6	3	\$ 10,000
G - BUILDING SITEWORK	EPG-FMS-001	Fuel Mgt System (Gas Boy) Replaced with new system early 2014	8	3	\$ 15,000
G - BUILDING SITEWORK	EPG-GDN-001	Garden, Trees, Perimeter	7	3	\$ 50,000
G - BUILDING SITEWORK	EPG-GDN-N02	Garden, Trees, North parking lot	3	4	\$ 15,000
G - BUILDING SITEWORK	EPG-GDN-N03	Garden, Trees, North Patio and entrance area	3	4	\$ 25,000
G - BUILDING SITEWORK	EPG-LRW-N01	Retaining Walls - North	3	4	\$ 15,000
G - BUILDING SITEWORK	EPG-LRW-S01	Retaining Wall - South	3	4	\$ 25,000
G - BUILDING SITEWORK	EPG-LRW-W01	Retaining Wall - West	15	3	\$ 15,000
G - BUILDING SITEWORK	EPG-PPA-E01	Parking Area Paver/East	3	4	\$ 50,000
G - BUILDING SITEWORK	EPG-PPA-N01	Parking Area Paver/North	3	4	\$ 50,000
G - BUILDING SITEWORK	EPG-PPA-SE1	Parking Area Paver/Southeast area	3	4	\$ 50,000
G - BUILDING SITEWORK	EPG-PPA-SW1	Parking Area Paver/Southwest area	3	4	\$ 50,000
G - BUILDING SITEWORK	EPG-RPP-001	Asphalt Parking /Drive (west) - Section A	15	4	\$ 200,000
G - BUILDING SITEWORK	EPG-RPP-002	Asphalt Parking Drive (so, no, east) - Section B	13	4	\$ 690,000
G - BUILDING SITEWORK	EPG-RPP-003	Curbing - Section A	15	3	\$ 57,000
G - BUILDING SITEWORK	EPG-RPP-004	Curbing - Section B	36	3	\$ 63,000
G - BUILDING SITEWORK	EPG-RPP-005	Gravel - Parking Area	8	3	\$ 10,000
G - BUILDING SITEWORK	EPG-RPP-006	Concrete Drive Apron - Section A: area at fuel island	15	4	\$ 26,000
G - BUILDING SITEWORK	EPG-RPP-007	Concrete Drive Apron - Section B: Mntce infront of maintenance shop	36	3	\$ 30,000
G - BUILDING SITEWORK	EPG-RPP-008	Concrete Parking Area- East side of Garage A (exterior)	3	4	\$ 30,000
G - BUILDING SITEWORK	EPG-SDS-001	Storm Drains	36	4	\$ 8,000
G - BUILDING SITEWORK	EPG-SFG-001	Security Fence & Gate	15	3	\$ 44,000
G - BUILDING SITEWORK	EPG-SWC-N01	Stairway exterior, Door 1, north side of Garage A	3	4	\$ 8,000
G - BUILDING SITEWORK	EPG-UGT-001	UST-Underground Storage Tank	22	3	\$ 120,000
G - BUILDING SITEWORK	SWS-CPR-L01	Concrete L1 Ramp	20	4	\$ 915,000
G - BUILDING SITEWORK	SWS-CPR-L02	Concrete L2 Ramp	20	4	\$ 915,000
G - BUILDING SITEWORK	SWS-CPR-L03	Concrete L3 Ramp	20	4	\$ 915,000
G - BUILDING SITEWORK	SWS-CPR-L04	Concrete L4 Ramp	20	4	\$ 915,000
G - BUILDING SITEWORK	SWS-CPR-L05	Concrete L4 Ramp	20	4	\$ 915,000
G - BUILDING SITEWORK	SWS-FNG-R01	Cage, storage area under ramp	20	3	\$ 10,000
G - BUILDING SITEWORK	SWS-LSW-001	Pavers Stairs/Sidewalk (southside ramp)	23	4	\$ 164,000
G - BUILDING SITEWORK	SWS-RMP-001	Ramp Structure (Real Estate)	22	4	\$ 9,000,000
G - BUILDING SITEWORK	SWS-RPP-004	Asphalt, parking - Ramp L1 parking area	1	5	\$ 75,000
G - BUILDING SITEWORK	SWS-RPP-007	Asphalt, parking - Ramp L1 south side entry	20	3	\$ 20,000
G - BUILDING SITEWORK	SWV-BLD-001	SWV building (Real Estate)	15	4	\$ 9,000,000
G - BUILDING SITEWORK	SWV-FNC-001	Black Fencing	15	4	\$ 15,000
G - BUILDING SITEWORK	SWV-FNG-001	Cage, storage cage in ramp	7	4	\$ 10,000
G - BUILDING SITEWORK	SWV-FNG-002	Fence, Wooden (east property line)	7	4	\$ 10,000
G - BUILDING SITEWORK	SWV-LIS-001	Irrigation	15	3	\$ 15,000
G - BUILDING SITEWORK	SWV-LPS-NE1	Pergola (NE)	15	3	\$ 10,000
G - BUILDING SITEWORK	SWV-LPS-NW1	Pergola (NW)	15	4	\$ 7,000
G - BUILDING SITEWORK	SWV-LPS-S01	Pergola (S)	15	4	\$ 6,000
G - BUILDING SITEWORK	SWV-LSE-001	Lighting - Roadway & Pole	15	4	\$ 85,000
G - BUILDING SITEWORK	SWV-LSE-002	Lighting - Ramp	15	2	\$ 100,000
G - BUILDING SITEWORK	SWV-LWF-001	Fountain, decorative - located at Y between roads at south-east corner	15	4	\$ 20,000
G - BUILDING SITEWORK	SWV-RPP-001	Curbing	15	3	\$ 5,000,000
G - BUILDING SITEWORK	SWV-RPP-002	Pavement Parking 1 Level Ramp	15	3	\$ 175,000
G - BUILDING SITEWORK	SWV-RPP-003	Concrete Bus Loop (North Side)	15	3	\$ 200,000
G - BUILDING SITEWORK	SWV-RPP-004	Ramp Perimeter Road (East Side)	15	4	\$ 200,000
G - BUILDING SITEWORK	SWV-RPP-005	Ramp Perimeter Road (Southeast Side)	15	4	\$ 200,000
G - BUILDING SITEWORK	SWV-RPP-006	Ramp Perimeter Road (South Side)	15	2	\$ 180,000
G - BUILDING SITEWORK	SWV-RPP-007	Concrete Snow Drop	15	3	\$ 10,000
G - BUILDING SITEWORK	SWV-RPP-008	Concrete 2nd Level Entrance	15	4	\$ 40,000
G - BUILDING SITEWORK	SWV-RPP-009	Concrete 2nd Level Ramp	15	4	\$ 2,000,000
G - BUILDING SITEWORK	SWV-SDS-002	Exterior Drains - Storm Drain System	15	4	\$ 75,000
G - BUILDING SITEWORK	SWV-SGN-001	Signage	15	3	\$ 15,000
G - BUILDING SITEWORK	SWV-SWP-001	Pavers	15	3	\$ 150,000

Investment Prioritization

Decision Support Tools

To determine the State of Good Repair (SGR), which is defined as the condition at which a capital asset can operate at “full performance”, SWT uses age to determine SGR for revenue vehicles and equipment. SWT will identify revenue vehicles and equipment that have exceeded or met its useful life benchmark (ULB) which is then used in determining priority replacement. When developing the Investment Priority List, SWT, identifies any vehicle or equipment that has exceeded or met its useful life benchmark (ULB) and has a condition rating of 2.0 or below.

In determining the State of Good Repair (SGR) for Facilities, SWT uses condition assessment based on an FTA TERM scale. SWT Transit will identify facilities that have an SGR of 3.0 or below and will prioritize it for replacement.

Capital Improvement Plan

On an annual basis, SWT generates a Capital Improvement Plan (CIP). This list prioritizes from 1-3 (1 being high, 2 being medium, and 3 being low) capital assets in need of replacement or rehabilitation and provides guidance for future investments. The CIP will support SWT’s goal to assure transit riders and transit employees and the vehicles they are riding, or operating are safe and reliable.

Tables 6 provide a Capital Improvement Plan summary, which contains a detailed replacement list for Revenue Vehicles, Equipment and Facilities.

SOUTHWEST TRANSIT CAPITAL IMPROVEMENT PLAN 2023-2028 Amended

Description Brief	Description Detail	Priority Ranking	NTD	Met Council	Federal / CMAQ	MnDOT	Unfunded	Total	2023	2024	2025	2026	2027	2028	Total	Category Total
SWV Solar Array	Solar array	2					2,000,000	2,000,000					2,000,000		2,000,000	-
EC Solar Array	Solar array	2					2,500,000	2,500,000		2,500,000					2,500,000	-
CTS Solar Array	Solar array	2					2,000,000	2,000,000				2,000,000			2,000,000	-
TOTAL PROJECTS			970,000	20,635,000	9,370,500	679,220	65,958,635	97,613,355	26,170,020	12,314,436	23,989,759	16,875,172	10,889,681	7,374,287	97,613,355	-



SOUTHWEST TRANSIT

MEMORANDUM

TO: SouthWest Transit Commission

FROM: Jason Kirsch – IT Manager

DATE: September 15, 2022

SUBJECT: SWT Public Transit Agency Safety Plan Updates

REQUESTED ACTION:

That the SouthWest Transit Commission approve updates made to the SouthWest Transit Public Transit Agency Safety Plan.

BUDGET IMPACT: None

BACKGROUND:

On July 19, 2020 the Federal Transit Administration (FTA) released the Public Transportation Agency Safety Plan (PTASP) Final Rule, which is intended to improve public transportation safety by guiding transit agencies to more effectively and proactively manage safety risks in their systems through the implementation of Safety Management Systems (SMS), which help in measuring and managing safety performance more precisely.

The Bipartisan Infrastructure Law includes new PTASP requirements. SWT has met some of the new requirements with the following additions to our plan:

1. Remove mention of former CEO and insert interim CEO.
2. Include strategies to minimize the exposure to infectious diseases.
3. Restructure Safety Committee to 50% Manager and 50% front line workers.

RECOMMENDATION:

That the SouthWest Transit Commission approve updates made to the SouthWest Transit Public Transit Agency Safety Plan.



Public Transportation Agency Safety Plan

Adopted 10/29/20 by the SouthWest Transit Commission

1. Transit Agency Information

Transit Agency Name	SouthWest Transit		
Transit Agency Address	14405 W 62 nd St. Eden Prairie, MN 55346		
Name and Title of Accountable Executive	Matt Fyten, Interim CEO		
Name of Chief Safety Officer or SMS Executive	Matt Fyten, Chief Operating Officer		
Mode(s) of Service Covered by This Plan	Fixed Route Bus; Demand Response	List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Fixed Route Bus Demand Response Driver Services contracted with First Transit		
Does the agency provide transit services on behalf of another transit agency or entity?	Yes	No <input checked="" type="checkbox"/>	Description of Arrangement(s) not applicable
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	not applicable		

2. Plan Development, Approval, and Updates

Name of Person Who Drafted This Plan	Matt Fyten, Director of Operations	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
		10/29/2020
Approval by the Board of Directors or an Equivalent Authority	Signature of SWT Commission Chair	Date of Approval
	See SWT Commission Resolution # 20-09	10/29/2020
	Relevant Documentation (title and location)	
	SWT Commission Public Transportation Agency Safety Plan Memo and Resolution 20-09	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	Metropolitan Council	
	Relevant Documentation (title and location)	

Version Number and Updates			
<i>Record the complete history of successive versions of this plan.</i>			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1		New Document	10/29/2020
2		2021 Updates	12/1/2021
3	See attached Commission Memo	2022 Updates	9/22/22

Annual Review and Update of the Public Transportation Agency Safety Plan

Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.

SouthWest Transit's (SWT) Agency Safety Plan (ASP) will be reviewed by the Chief Safety Office as well as Executive management by June 1 of each year. The plan will be revised if need be based on data collected and analyzed the year prior. If changes are required, the Safety Plan will be updated and brought to the SouthWest Transit Commission for approval. However, review of safety practices is an ongoing process. As policies and training techniques change throughout the year, they are updated and communicated throughout the organization.

3. Safety Performance Targets

Safety Performance Targets¹

Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.

Targets below are based on review of the previous 5 years of SouthWest Transit's safety performance data.

Mode of Transit Service	Fatalities (total)	Fatalities (per 100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 thousand VRM)	System Reliability (VRM / failures)
Fixed Route Bus	0	0	1	1	2	1	25,000
Demand Response	0	0	1	1	2	1	53,000

Safety Performance Target Coordination

Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.

SouthWest Transit's Chief Safety Officer shares SouthWest Transit's ASP, including safety performance targets, with the Twin Cities MPO, the Metropolitan Council. The plan will be shared each year after SouthWest Transit Commission approval. If needed, the Chief Safety Officer will also share the plan with MnDOT.

Targets	State Entity Name	Date Targets Transmitted
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Transmitted to the State	MN Department of Transportation	10/30/2020
Targets Transmitted to the Metropolitan Planning Organization(s)²	Metropolitan Planning Organization Name	Date Targets Transmitted
	Metropolitan Council	10/30/2020

4. Safety Management Policy

<p>Safety Management Policy Statement <i>Include the written statement of safety management policy, incorporating safety objectives.</i></p> <p>Safety is a core value at SouthWest Transit, and managing safety is a core business function. We will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public. SouthWest Transit is committed to the following safety objectives:</p> <ul style="list-style-type: none"> • Communicating the purpose and benefits of the Safety Management System (SMS) to all staff, managers, supervisors, and employees. • Providing a culture of open reporting of all safety concerns, ensuring that no action will be taken against any employee who discloses a safety concern through SouthWest Transit’s Employee Safety Reporting Program (ESRP), unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures. • Providing appropriate management involvement and the necessary resources to establish an effective ESRP 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 data from the ESRP. (After thoroughly analyzing provided data, the transit operations division will develop processes and procedures to mitigate safety risk to an acceptable level.) • Conduct monthly Driver Safety Meetings where multiple rotating safety topics from SWT’s Emergency Preparedness Plan (EPP) are presented and discussed. • During the on-boarding process, new SWT employees go through a safety orientation and are provided training on initial OSHA safety topics. New employees are also provided with the required personal protective equipment that is required to conduct their respective position responsibilities in a safe manner. • Annually establish safety performance targets that are realistic, measurable, and data driven. Continually improving our safety performance through management processes that ensure appropriate safety management action is taken and is effective. <p><i>Len Simich</i> Len Simich, SouthWest Transit CEO and Accountable Executive</p>
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Safety Management Policy Communication

Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.

The Chief Safety Officer, who leads SouthWest Transit's SMS activities, introduced our staff to SMS principles in October 2020 via electronic and printed communication. SouthWest Transit's Safety Management Policy Statement was also distributed to each employee in the form of an electronic communication and/or handout. SouthWest Transit also posts copies of the Safety Management Policy Statement at SouthWest Transit facilities. SouthWest Transit has incorporated review and distribution of the Safety Management Policy Statement into new-hire training and all-staff annual refresher training.

Authorities, Accountabilities, and Responsibilities <i>Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's SMS.</i>	
Accountable Executive	<p>The CEO serves as SouthWest Transit's Accountable Executive with the following authorities, accountabilities, and responsibilities under this plan:</p> <ul style="list-style-type: none"> • Controls and directs human and capital resources needed to develop and maintain the ASP and SMS. • Designates an adequately trained Chief Safety Officer who is a direct report. • Ensures that SouthWest Transit's SMS is effectively implemented. • Ensures action is taken to address substandard performance in SouthWest Transit's SMS. • Assumes ultimate responsibility for carrying out SouthWest Transit's ASP and SMS. • Maintains responsibility for carrying out the agency's Transit Asset Management Plan. • Maintains responsibility for carrying out the agency's Emergency Preparedness Plan (EPP).
Chief Safety Officer or SMS Executive	<p>The Accountable Executive designates the Director of Operations as SouthWest Transit's Chief Safety Officer. The Chief Safety Officer has the following authorities, accountabilities, and responsibilities under this plan:</p> <ul style="list-style-type: none"> • Develops SouthWest Transit's ASP and SMS policies and procedures. • Ensures and oversees day-to-day implementation and operation of SouthWest Transit's SMS. • Manages SouthWest Transit's ESRP. • Chairs the SouthWest Transit Safety Committee and <ul style="list-style-type: none"> ○ Coordinates the activities of the committee. ○ Establishes and maintains SouthWest Transit's Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents, and accidents; and ○ Maintains and distributes minutes of committee meetings. • Advises the Accountable Executive on SMS progress and status. • Identifies substandard performance in SouthWest Transit's SMS and develops action plans for approval by the Accountable Executive. • Ensures SouthWest Transit policies are consistent with SouthWest Transit's safety objectives. • Provides Safety Risk Management (SRM) expertise and support for other SouthWest Transit personnel who conduct and oversee Safety Assurance activities. • Ensure strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions, and consistent with guidelines of the CDC or a State health authority, minimize exposure to infectious diseases.

<p>Agency Leadership and Executive Management</p>	<p>Agency Leadership and Executive Management also have authorities and responsibilities for day-to-day SMS implementation and operation of SouthWest Transit’s SMS under this plan. SouthWest Transit Agency Leadership and Executive Management include:</p> <ul style="list-style-type: none"> • Director of Operations, • Director of Finance, • Director of Vehicle and Facilities Maintenance, • Dispatchers, • Human Resources Manager, • Facilities Maintenance Managers, • IT Manager, • Operations Managers and Supervisors. <p>SouthWest Transit Leadership and Executive Management personnel have the following authorities, accountabilities, and responsibilities:</p> <ul style="list-style-type: none"> • Participate as members of SouthWest Transit’s Safety Committee. • Complete training on SMS and SouthWest Transit’s ASP elements. • Oversee day-to-day operations of the SMS in their departments. • Modify policies in their departments consistent with implementation of the SMS, as necessary. • Provide subject matter expertise to support implementation of the SMS as requested by the Accountable Executive or the Chief Safety Officer, including SRM activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.
<p>Key Staff and Activities</p>	<p>SouthWest Transit uses the Safety Committee, as well as monthly Drivers’ Safety Meetings, and monthly Vehicles and Facilities safety meetings to support its SMS and safety programs:</p> <ul style="list-style-type: none"> • Safety Committee: Any safety hazards reported will be jointly evaluated by the Safety Committee and the Chief Safety Officer during its bi-monthly meeting. The Safety Committee members shall be comprise of 50% managers and 50% front line workers, include the Accountable Executive, Chief Safety Officer, Director of Vehicle Maintenance, IT Manager, Human Resources Manager, an operations manager, a representative from Facilities Maintenance, who meet bi-monthly to review issues and make recommendations to improve safety. • Drivers’ Meetings: A permanent agenda item in all monthly Drivers’ Meetings is dedicated to safety. Safety issues are discussed and documented. • Vehicles and Facilities Safety Meetings: Led by the Director of Vehicle and Facilities Maintenance, these monthly meetings focus on identifying and addressing and new or ongoing safety hazards related to vehicles and facilities. The issues addressed in these meetings are provided to the Safety Committee where further

	action is taken, if needed.
<p>Employee Safety Reporting Program</p> <p><i>Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and, therefore, are excluded from protection).</i></p>	
<p>SouthWest Transit’s ESRP encourages employees who identify safety concerns in their day-to-day duties to report them to senior management in good faith without fear of retribution. There are many ways employees can report safety conditions:</p> <ul style="list-style-type: none"> • Report conditions directly to a dispatcher. • Report conditions using their name or anonymously by filling out a non-public form at www.swtransit.org/esrp • Report conditions directly to a supervisor, manager, or director. • Report conditions anonymously by filling out a safety comment form and dropping it in a secured lockbox at SWT’s Vehicle and Maintenance facility, which is checked monthly. <p>Examples of information typically reported include:</p> <ul style="list-style-type: none"> • Safety concerns in the operating environment (for example, a hazardous work environment, or the condition of facilities or vehicles); • Policies and procedures that are not working as intended (for example, insufficient time to complete pre-trip inspection); • Events that senior managers might not otherwise know about (for example, near misses); and • Information about why a safety event occurred (for example, radio communication challenges). <p>On a daily basis, the Dispatcher reviews the dispatch daily Operations Log, checks the dedicated email address, and documents identified safety conditions in the Safety Risk Register. SouthWest Transit’s Chief Safety Officer, supported by the Safety Committee, as necessary, will review and address each employee report, ensuring that hazards and their consequences are appropriately identified and resolved through SouthWest Transit’s SRM process and that reported deficiencies and non-compliance with rules or procedures are managed through SouthWest Transit’s Safety Assurance process.</p> <p>SouthWest Transit’s Chief Safety Officer discusses actions taken to address reported safety conditions during the Safety Committee meetings. Additionally, if the reporting employee provided his or her name during the reporting process, the Chief Safety Officer or designee follows up directly with the employee when SouthWest Transit determines whether or not to take action and after any mitigations are implemented.</p> <p>SouthWest Transit encourages participation in the ESRP by protecting employees that report safety conditions in good faith. However, SouthWest Transit may take disciplinary action if the report involves any of the following:</p> <ul style="list-style-type: none"> • Willful participation in illegal activity, such as assault or theft. • Gross negligence, such as knowingly utilizing heavy equipment for purposes other than intended such that people or property are put at risk; or • Deliberate or willful disregard of regulations or procedures, such as reporting to work 	

under the influence of controlled substances.

SouthWest Transit's ESRP follows established document retention schedules as outlined in SouthWest Transit's Retention Policy.

5. Safety Risk Management

Safety Risk Management Process

Describe the Safety Risk Management process, including:

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards.*
- *Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards.*
- *Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.*

Safety Risk Management Process

SouthWest Transit uses the SRM process as a primary method to ensure the safety of our operations, passengers, employees, vehicles, and facilities. It is a process whereby hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to SouthWest Transit's leadership. SouthWest Transit's SRM process allows us to carefully examine what could cause harm and determine whether we have taken sufficient precautions to minimize the harm, or if further mitigations are necessary.

SouthWest Transit's Chief Safety Officer leads SouthWest Transit's SRM process, working with SouthWest Transit's Safety Committee to identify hazards and consequences, assess safety risk of potential consequences, and mitigate safety risk. The results of SouthWest Transit's SRM process are documented in our Safety Risk Register and referenced materials.

SouthWest Transit's SRM process applies to all elements of our system including our operations and maintenance; facilities and vehicles; and personnel recruitment, training, and supervision.

In carrying out the SRM process, SouthWest Transit uses the following terms:

- **Event** – Any accident, incident, or occurrence.
- **Hazard** – Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure belonging to SouthWest Transit; or damage to the environment. This includes hazardous chemicals.
- **Risk** – Composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk Mitigation** – Method(s) to eliminate or reduce the effects of hazards.
- **Consequence** – An effect of a hazard involving injury, illness, death, or damage to SouthWest Transit property or the environment.

Safety Hazard Identification

The safety hazard identification process offers SouthWest Transit the ability to identify hazards and potential consequences in the operation and maintenance of our system. Hazards can be identified through a variety of sources, including:

- ESRP;
- Review of vehicle camera footage;

- Review of monthly performance data and safety performance targets;
- Observations from supervisors;
- Maintenance reports;
- Comments from customers, passengers, and third parties, including SouthWest Transit's transit insurance pool and vendors;
- Safety Committee and Drivers' Meetings;
- Results of audits and inspections of vehicles and facilities;
- Results of training assessments;
- Investigations into safety events, incidents, and occurrences; and
- Federal Transit Administration (FTA) and other oversight authorities (mandatory information source).

When a safety concern is observed by SouthWest Transit's management or supervisory personnel, whatever the source, it is reported to SouthWest Transit's Chief Safety Officer. Procedures for reporting hazards to SouthWest Transit's Chief Safety Officer are reviewed during Safety Committee meetings. SouthWest Transit's Chief Safety Officer also receives employee reports from the ESRP, customer comments related to safety, and the dispatch daily Operations Log. SouthWest Transit's Chief Safety Officer reviews these sources for hazards and documents them in SouthWest Transit's Safety Risk Register.

SouthWest Transit's Chief Safety Officer also may enter hazards into the Safety Risk Register based on their review of SouthWest Transit's operations and maintenance, the results of audits and observations, and information received from FTA and other oversight authorities, as well as the National Transportation Safety Board.

SouthWest Transit's Chief Safety Officer may conduct further analyses of hazards and consequences entered into the Safety Risk Register to collect information and identify additional consequences and to inform which hazards should be prioritized for safety risk assessment. In following up on identified hazards, SouthWest Transit's Chief Safety Officer may:

- Reach out to the reporting party, if available, to gather all known information about the reported hazard;
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (photographs and/or video), and taking any measurements deemed necessary;
- Conduct interviews with employees in the area to gather potentially relevant information on the reported hazard;
- Review any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.) including a review of ESRP reporting;
- Contact other departments that may have association with or technical knowledge relevant to the reported hazard;
- Review any past reported hazards of a similar nature; and
- Evaluate tasks and/or processes associated with the reported hazard.
- Conduct a review of agency training related to the SouthWest Transit's EPP, as well as OSHA compliance.

SouthWest Transit's Chief Safety Officer will then prepare an agenda to discuss identified hazards and consequences with the Safety Committee during bimonthly meetings. This agenda may include additional background on the hazards and consequences, such as the results of trend analyses, vehicle camera footage, vendor documentation, reports and observations, or information supplied by FTA or other oversight authorities.

Any identified hazard that poses a real and immediate threat to life, property, or the environment must immediately be brought to the attention of the Accountable Executive and addressed through the SRM process (with or without the full Safety Committee) for safety risk assessment and mitigation. This means that the Chief Safety Officer believes immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of Environmental Protection Agency or any State environmental protection standards. Otherwise, the Safety Committee will prioritize hazards for further SRM activity.

Safety Risk Assessment

SouthWest Transit assesses safety risk associated with identified safety hazards using its safety risk assessment process. This includes an assessment of the likelihood and severity of the consequences of hazards, including existing mitigations, and prioritizing hazards based on safety risk.

The Chief Safety Officer and Safety Committee assess prioritized hazards using SouthWest Transit's Safety Risk Matrix. This matrix expresses assessed risk as a combination of one severity category and one likelihood level, also referred to as a *hazard rating*. For example, a risk may be assessed as "1A" or the combination of a Catastrophic (1) severity category and a Frequent (A) probability level.

This matrix also categorizes combined risks into levels, High, Medium, or Low, based on the likelihood of occurrence and severity of the outcome. For purposes of accepting risk:

- "High" hazard ratings will be considered unacceptable and require action from SouthWest Transit to mitigate the safety risk,
- "Medium" hazard ratings will be considered undesirable and require SouthWest Transit's Safety Committee to make a decision regarding their acceptability, and
- "Low" hazard ratings may be accepted by the Chief Safety Officer without additional review.

Using a categorization of High, Medium, or Low allows for hazards to be prioritized for mitigation based on their associated safety risk.

The Chief Safety Officer schedules safety risk assessment activities on the Safety Committee agenda and prepares a Safety Risk Assessment Package. This package is distributed at least one week in advance of the Safety Committee meeting. During the meeting, the Chief Safety Officer reviews the hazard and its consequence(s) and reviews available information distributed in the Safety Risk Assessment Package on severity and likelihood. The Chief Safety Officer may request support from members of the Safety Committee in obtaining additional information to support the safety risk assessment.

Once sufficient information has been obtained, the Chief Safety Officer will facilitate completion of relevant sections of the Safety Risk Register, using the SouthWest Transit Safety Risk Assessment Matrix, with the Safety Committee. The Chief Safety Officer will document the Safety Committee's safety risk assessment, including hazard rating and mitigation options for each assessed safety hazard in the Safety Risk Register. The Chief Safety Officer will maintain on file Safety Committee agendas, Safety Risk Assessment Packages, additional information collection, and completed Safety Risk Register sections for a period of three years from the date of generation.

Safety Risk Mitigation

SouthWest Transit's Accountable Executive and Chief Safety Officer review current methods of safety risk mitigation and establish methods or procedures to mitigate or eliminate safety risk associated with specific hazards based on recommendations from the Safety Committee. SouthWest Transit can reduce safety risk by reducing the likelihood and/or severity of potential consequences of hazards.

Prioritization of safety risk mitigations is based on the results of safety risk assessments. SouthWest Transit's Chief Safety Officer tracks and updates safety risk mitigation information in the Safety Risk Register and makes the Register available to the Safety Committee during bimonthly meetings and to SouthWest Transit staff upon request.

In the Safety Risk Register, SouthWest Transit's Chief Safety Officer will also document any specific measures or activities, such as reviews, observations, or audits, that will be conducted to monitor the effectiveness of mitigations once implemented.

6. Safety Assurance

Through our Safety Assurance process, SouthWest Transit:

- Evaluates our compliance with operations and maintenance procedures to determine whether our existing rules and procedures are sufficient to control our safety risk;
- Assesses the effectiveness of safety risk mitigations to make sure the mitigations are appropriate and are implemented as intended;
- Investigates safety events to identify causal factors; and
- Analyzes information from safety reporting, including data about safety failures, defects, or conditions.

Safety Performance Monitoring and Measurement

Describe activities to monitor the system for compliance with procedures for operations and maintenance.

SouthWest Transit has many processes in place to monitor its entire transit system for compliance with operations and maintenance procedures, including:

- Safety audits,
- Informal inspections,
- Regular review of onboard camera footage to assess drivers and specific incidents,
- ESRP,
- Monthly Driver Safety Meetings,
- Annual OSHA Audits,
- Monthly Facility Safety and Maintenance Walk-throughs,
- Investigation of safety occurrences,
- Safety review prior to the launch or modification of any facet of service,
- Daily data gathering and monitoring of data related to the delivery of service, and
- Regular vehicle inspections and preventative maintenance.

Results from the above processes are compared against recent performance trends quarterly and annually by the Chief Safety Officer to determine where action needs to be taken. The Chief Safety Officer enters any identified non-compliant or ineffective activities, including mitigations, back into the SRM process for reevaluation by the Safety Committee.

Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.

SouthWest Transit monitors safety risk mitigations to determine if they have been implemented and are effective, appropriate, and working as intended. The Chief Safety Officer maintains a list of safety risk mitigations in the Safety Risk Register. The mechanism for monitoring safety risk mitigations varies depending on the mitigation.

The Chief Safety Officer establishes one or more mechanisms for monitoring safety risk mitigations as part of the mitigation implementation process and assigns monitoring activities to the appropriate director, manager, or supervisor. These monitoring mechanisms may include tracking a specific metric on daily, weekly, or monthly logs or reports; conducting job performance observations; or other activities. The Chief Safety Officer will endeavor to make use of existing SouthWest Transit processes and activities before assigning new information collection activities.

SouthWest Transit's Chief Safety Officer and Safety Committee review the performance of individual safety risk mitigations during bimonthly Safety Committee meetings, based on the reporting schedule determined for each mitigation, and determine if a specific safety risk mitigation is not implemented or performing as intended. If the mitigation is not implemented or performing as intended, the Safety Committee will propose a course of action to modify the mitigation or take other action to manage the safety risk. The Chief Safety Officer will approve or modify this proposed course of action and oversee its execution.

SouthWest Transit's Chief Safety Officer and Safety Committee also monitor SouthWest Transit's operations on a large scale to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- Reviewing results from accident, incident, and occurrence investigations;
- Monitoring employee safety reporting;
- Reviewing results of internal safety audits and inspections; and
- Analyzing operational and safety data to identify emerging safety concerns.

The Chief Safety Officer works with the Safety Committee and Accountable Executive to carry out and document all monitoring activities.

Describe activities to conduct investigations of safety events to identify causal factors.

SouthWest Transit maintains documented procedures for conducting safety investigations of events (accidents, incidents, and occurrences, as defined by FTA) to find causal and contributing factors and review the existing mitigations in place at the time of the event. These procedures also reflect all traffic safety reporting and investigation requirements established by the Minnesota Department of Transportation.

The Chief Safety Officer maintains all documentation of SouthWest Transit’s investigation policies, processes, forms, checklists, activities, and results. As detailed in SouthWest Transit’s procedures, an incident report is prepared and sent to the Safety Committee for integration into their analysis of the event.

SouthWest Transit’s Safety Committee consists of members representing executive management, operations management, and vehicle and facilities maintenance management. The Chief Safety Officer chairs the Committee. SouthWest Transit’s Safety Committee determines whether:

- The accident/incident was preventable or non-preventable;
- Personnel require discipline or retraining;
- The causal factor(s) indicate(s) that a safety hazard contributed to or was present during the event; and
- The accident appears to involve underlying organizational causal factors beyond just individual employee behavior.

Describe activities to monitor information reported through internal safety reporting programs.

The Chief Safety Officer and Safety Committee routinely review safety data captured in employee safety reports, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officer and Safety Committee ensure that the concerns are investigated or analyzed through SouthWest Transit’s SRM process.

The Chief Safety Officer and Safety Committee also review internal and external reviews, including audits and assessments, with findings concerning SouthWest Transit’s safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations.

7. Safety Promotion

Competencies and Training

Describe the safety training program for all agency employees and contractors directly responsible for safety.

SouthWest Transit's comprehensive safety training program applies to all SouthWest Transit employees directly responsible for safety, including:

- Dispatchers,
- Vehicle and Facilities Maintenance technicians,
- Managers and supervisors,
- Agency Leadership and Executive Management,
- Chief Safety Officer, and
- Accountable Executive.

SouthWest Transit dedicates resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The scope of the safety training, including annual refresher training, is appropriate to each employee's individual safety-related job responsibilities and their role in the SMS.

Basic training requirements for SouthWest Transit employees, including frequencies and refresher training, are documented in SouthWest Transit's EPP and the SouthWest Transit Employee Handbook.

Operations safety-related skill training includes the following:

- Classroom and on-the-job training for dispatchers,
- Classroom and on-the-job training for operations supervisors and managers, and
- Accident investigation training for operations supervisors and managers.

Vehicle maintenance safety-related skill training includes the following:

- Ongoing vehicle maintenance technician skill training,
- Ongoing skill training for vehicle maintenance supervisors,
- Ongoing skill training for facilities maintenance employees,
- OSHA compliance training,
- Ongoing hazardous material training for facilities maintenance employees, vehicle maintenance technicians and supervisors, and
- Training provided by vendors.

SouthWest Transit's Accountable Executive and Agency Leadership and Executive Management team must complete FTA's SMS Awareness online training and an executive session on safety management.

Finally, below is the safety training matrix for SouthWest Transit staff that is included as part of SouthWest Transit's EPP.

TYPE OF TRAINING	WHO RECEIVES	HOW OFTEN
1. EMERGENCY TRAINING FED. OSHA 1910.38 (e) 1926.35 (e)	All employees	Initial, as needed
2. RIGHT-TO-KNOW /GHS 1910.1200 (h) (1) & Minn. Rules Chapter 5206	All employees exposed to chemical, physical, or biological hazards	Annual
3. OCCUPATIONAL NOISE EXPOSURE Fed. OSHA 191.95 (K) & (L)	Employees working in high noise areas	Annual
4. RESPIRATORY PROTECTION 1910.134	All employees who are required to wear respirators of any type	Annual
5. FLAMMABLE AND COMBUSTIBLE LIQUIDS (not a separate requirement)	All employees who handle, store or dispense these products	Annual (Included in RTK/GHS)
6. FIRE EXTINGUISHERS Fed. OSHA 1910.157 (g)	All employees	Annual
7. LOCKOUT/TAGOUT Fed. OSHA 1910.147 (c)	All employees who are issued lockout-tagout equipment	Initial, as needed
8. POWERED INDUSTRIAL TRUCKS Fed. OSHA 1910.178 (L)	All designated operators of forklifts	Reevaluate every 3 years
9. BLOODBORNE PATHOGENS Fed. OSHA 1910.1030 (g)	First Responders and designated first aid providers	Annual
10. HAZARDOUS WASTE OPERATIONS AND EMERGENCY REPOSE (HAZWOPER) 1910.120	Emergency Response Plan (spills) or Safety and Health Program (clean-up or treatment, storage and disposal (TSD) operations) Members of emergency response/spill teams or individuals involved with hazardous waste site clean- up	Annual
11. FALL PROTECTION 1926.503	Designated employees who work at heights	Initial, as needed
12. MINNESOTA AWAIR (MN Statute 182.653, subd.8)	All employees	Initial or when changes are made to document

13. PERSONAL PROTECTIVE EQUIPMENT 1910.132	All employees required to wear PPE	Initial, as needed
14. PROCESS SAFETY MANAGEMENT 1910.119 (g) AND 1926.64(g)	Employees who work with covered processes, including maintenance personnel and contractors	Initial and at least every three year thereafter
15. CHROMIUM (VI) 1910.1026(l) and 1926.1126(j)	All employees	Initial (include in HAZCOM/ERTK)
16. STAIRWAYS AND LADDERS 1926.1060	All employees who use stairways and ladders	Initial and as needed
17. [ELECTRICAL] SAFETY-RELATED WORK PRACTICES TRAINING 1910.332	Employees who face a risk of electric shock, both qualified and unqualified	Initial

Safety Communication

Describe processes and activities to communicate safety and safety performance information throughout the organization.

SouthWest Transit's Chief Safety Officer and Director of Human Resources and Training coordinate SouthWest Transit's safety communication activities for the SMS. SouthWest Transit's activities focus on the three categories of communication activity established in 49 CFR Part 673 (Part 673):

- **Communicating safety and safety performance information throughout the agency:** SouthWest Transit communicates information on safety and safety performance during monthly Drivers' meetings and monthly Leadership meetings. SouthWest Transit also has a permanent agenda item in all monthly Drivers' Meetings dedicated to safety. Information typically conveyed during these meetings includes safety performance statistics, lessons learned from recent occurrences, upcoming events that may impact SouthWest Transit's service or safety performance, and updates regarding SMS implementation. SouthWest Transit also requests information from drivers during these meetings. Finally, SouthWest Transit's Director of Human Resources and Training posts safety bulletins and flyers on the bulletin boards located in all bus operator and maintenance technician break rooms, advertising safety messages and promoting awareness of safety issues.
- **Communicating information on hazards and safety risks relevant to employees' roles and responsibilities throughout the agency:** As part of new-hire training, SouthWest Transit distributes safety policies and procedures, included in the SouthWest Transit Employee Handbook, to all employees. SouthWest Transit provides training on these policies and procedures and discusses them during safety talks between supervisors and bus operators and vehicle technicians. For newly emerging issues or safety events at the agency, SouthWest Transit's Chief Safety Officer issues bulletins or messages to employees that are reinforced by supervisors in one-on-one or group discussions with employees.
- **Informing employees of safety actions taken in response to reports submitted through the ESRP:** SouthWest Transit provides targeted communications to inform employees of safety actions taken in response to reports submitted through the ESRP, including handouts and flyers, safety talks, updates to bulletin boards, and one-on-one discussions between employees and supervisors.

8. Additional Information

Supporting Documentation

Include or reference documentation used to implement and carry out the ASP that are not included elsewhere in this ASP.

SouthWest Transit will maintain documentation related to the implementation of its SMS; the programs, policies, and procedures used to carry out this ASP; and the results from its SMS processes and activities for three years after creation. They will be available to the FTA or other Federal or oversight entity upon request.

Reference Documentation:

- SouthWest Transit Emergency Preparedness Program (EPP)
- SouthWest Transit Employee Handbook
- SouthWest Transit Employee Safety Reporting Program (ESRP)
- Infectious Disease Preparedness Plan for SWT
- First Transit's PTASP

9. Definitions of Terms Used in the Safety Plan

SouthWest Transit incorporates all of FTA's definitions that are in 49 CFR § 673.5 of the Public Transportation Agency Safety Plan regulation.

- **Accident** means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
- **Accountable Executive** means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan, in accordance with 49 U.S.C. 5326.
- **Equivalent Authority** means an entity that carries out duties similar to that of a Board of Directors for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.
- **Event** means any Accident, Incident, or Occurrence.
- **Hazard** means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
- **Incident** means 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** means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.
- **National Public Transportation Safety Plan** means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
- **Occurrence** means 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 means a provider of public transportation as defined under 49 U.S.C. 5302.
- **Performance measure** means 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** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.
- **Public Transportation Agency Safety Plan (or Agency Safety Plan)** means the documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673.

- **Risk** means the composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk mitigation** means a method or methods to eliminate or reduce the effects of hazards.
- **Safety Assurance** means processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
- **Safety Management Policy** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
- **Safety Management System** means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
- **Safety performance target** means a performance target related to safety management activities.
- **Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
- **Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.
- **Safety Risk Management** means a process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
- **Serious injury** means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
- **Transit agency** means an operator of a public transportation system.
- **Transit Asset Management Plan** means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625.
- **Emergency Preparedness Plan** means the SWT internal document that identifies how SWT will ensure the safety of its riders, employees, vehicles, and facilities before, during, and after a multitude of potential emergencies.

10. Commonly Used Acronyms

Acronym	Word or Phase
ADA	American’s with Disabilities Act of 1990
ASP	Agency Safety Plan (also referred to as a PTASP in Part 673)
CFR	Code of Federal Regulations
EPP	Emergency Preparedness Plan
SWT	SouthWest Transit
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
MPO	Metropolitan Planning Organization
Part 673	49 CFR Part 673 (Public Transportation Agency Safety Plan)
SMS	Safety Management System
SRM	Safety Risk Management
U.S.C.	United States Code
VRM	Vehicle Revenue Miles



First Transit Agency Safety Plan

1. Transit Agency Information

Transit Agency Name	First Transit		
Transit Agency Address	600 Vine Street, Ste. 1400 Cincinnati, Ohio, U.S. 45202		
Name and Title of Accountable Executive	David Perez, Vice President of Safety – First Transit		
Name of Chief Safety Officer or SMS Executive	Paul Meredith, Senior Director of Safety		
Mode(s) of Service Covered by This Plan	Transit Bus	List All FTA Funding Types (e.g., 5307, 5310, 5311)	
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	<p>First Transit is a business unit of First Group America, the U.S. based North American Operating Unit of FirstGroup plc (First Group), a United Kingdom-based passenger transportation company. First Group is the U.K.'s largest bus operator, with a fleet of more than 9,000 vehicles, and also one of the U.K.'s leading train operators.</p> <p>First Transit services the U.S. transportation industry through two unique service approaches: <u>Transit Contracting</u>, and <u>Transit Management</u>. With these two service approaches, First Transit has participated on assignments of all types, sizes and scopes throughout the world.</p> <p><u>Transit Contracting</u> provides the design, implementation and operation of flexible, cost-effective transportation systems throughout the United States. Transit Contracting provides a turnkey or tailored service approach that supplies all or most components of operations including equipment, facilities, staffing, management and so forth. Such operational experience encompasses dial-a-ride, shared-ride taxi, services for the elderly and persons with disabilities, airport shuttle, commuter express, and fixed route service.</p> <p><u>Transit Management Services</u> provides resident teams to manage public transit systems in various locations throughout the United States. Our approach to excellence combined with our teams' experience has yielded unmatched operating results and awards in the industry.</p> <p>First Transit offers a unique six-part approach to our <u>Safety Management System (SMS)</u></p> <ul style="list-style-type: none"> • Location Management Team (General Manager, Safety Manager) • Region Staff (Region Safety Manager, Region Safety Director, Region Maintenance Director & Region Vice President) 		



	<ul style="list-style-type: none"> • Senior Director of Safety • Vice President of Safety • Vice President of Maintenance • President <p>A Resident Management Team is assigned to each location consisting of, in part, a Location General Manager (LGM) and a Location Safety Manager (LSM).</p> <ul style="list-style-type: none"> • The LGM participates fully with the client to ensure the operation is running effectively and acts as mediator when safety related problems arise. The LGM is also responsible for ensuring implementation of the National Safety Program. • The LSM routinely is in contact with the operation and is responsible for ensuring their locations have the current safety programs in place; auditing local safety efforts; reviewing all accident and injury claims; reviewing performance statistics; and coordinating corporate assets to address specific deficiencies found on the local level. <p>Our Region Staff consists of a Region Safety Manager, Region Safety Director, Region Maintenance Director, Region Director of Operations, Region Vice Presidents.</p> <ul style="list-style-type: none"> • The Region Maintenance Director, The Region Director of Operations and Region Vice Presidents are responsible for the oversight of all First Transit locations within the region. They provide direction and assistance to location managers, including P&L, budgets, and personnel. • The Region Safety Manager and Region Safety Director ensures management services are provided according to local governing board policies, as well as maintaining quality and client satisfaction, and their locations have the current safety programs in place. <p>The Vice President of Safety provides oversight for each individual region of First Transit. This person works with each Region Safety Manager and Region Director of Safety to ensure First Transit is in compliance with all FTA and DOT regulations.</p> <p>The Vice President of Maintenance provides technical assistance, training, and “best practices” information to all of First Transit’s managed systems.</p> <p>The President of First Transit works closely with the Vice President of Safety - First Transit and Vice President of Maintenance. All safety processes are reviewed and approved before any decision regarding safety is approved.</p>			
<p>Does the agency provide transit services on behalf of another transit agency or entity?</p>	<p>Yes X</p>	<p>No</p>	<p>Description of Arrangement(s)</p>	<p>FGA operates 335 contracts throughout North America to provide fixed-route and paratransit public bus service for state transportation departments and administrations; transit agencies; and universities.</p>



Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	
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2. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan <i>(Location Code)</i>	First Transit: <i>(Place Location Code here)</i>	
Signature by the Accountable Executive <i>(Location General Manager)</i>	Signature of Accountable Executive	Date of Signature
	<i>(Location General Manager Signature Here)</i>	
Approval by the Board of Directors or an Equivalent Authority <i>(Local Contract Authority)</i>	Name of Individual/Entity That Approved This Plan	Date of Approval
	Relevant Documentation (title and location)	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	<i>(Client Approver)</i>	
	Relevant Documentation (title and location)	
	<i>(First Transit Safety Plan and other Client Documentation)</i>	



Version Number and Updates			
<i>Record the complete history of successive versions of this plan.</i>			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
Original	All pages are original version	First Official version of Safety Plan	May 2019

Annual Review and Update of the Public Transportation Agency Safety Plan
<i>Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.</i>
At First Transit, review of safety practices is an ongoing process, not one limited to scheduled reviews. As policies/procedures and training techniques change throughout the year they are updated and communicated throughout the organization. All changes are reviewed and approved by the Senior Director of Safety and the Vice President of Safety – First Transit.
Prior to the beginning of each fiscal year, First Transit’s Safety Plan is reviewed by Executive management and revised based on the safety data collected and analyzed, and changes to policies and procedures made throughout the year. The revised plan is then disseminated to all First Transit locations for implementation.

3. Safety Performance Targets

Safety Performance Targets							
<i>Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.</i>							
Mode of Transit Service	Fatalities	Injuries	Safety Events	System Reliability	Other (Client Required, if any)	Other (Client Required, if any)	Other (Client Required, if any)
Fixed-Route							
Demand Response							



Safety Performance Target Coordination

Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.

N/A

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	N/A	N/A
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	N/A	N/A
	N/A	N/A

4. Safety Management Policy

Safety Management Policy Statement

Include the written statement of safety management policy, incorporating safety objectives.

At First Transit, safety is more than a policy statement. Management believes that working safely promotes quality, productivity, and profitability. Prevention of collisions and personal injuries is of critical importance to everyone. Management is committed to providing a safe workplace, the proper training, protective equipment, and a work environment conducive to safe practices and policies.

All employees are required to perform their duties safely and with concern for the safety of our passengers, other employees and the public. **First Transit will not perform any service, nor transport or use a product, unless it can be done safely.**

First Transit employs a company-wide safety concept, “**BeSafe**”. The main purpose of BeSafe is to reduce collisions and injuries by increasing the communications between employees and managers about safety related issues. As part of this process, employees of all levels are encouraged to initiate reports of any near miss, route and security hazards, or any unsafe condition. When a report about a safety or security concern is filed, it is investigated, which includes follow-up with the reporting employee regarding the resolution of the report.

First Transit will not retaliate against nor impose any other form of retribution on any employee because of his or her good faith reporting of a safety issue/concern, another person’s suspected violation of Company policies or guidelines, or any alleged violations of federal, state or local laws.

To ensure that each employee understands and performs their job functions in the BeSafe manner, the **BeSafe Handbook**, is issued to each employee and sized to fit in the safety lanyard or vest, which each employee must wear while on duty.



The **BeSafe Principles** provide the basic truths and fundamentals about working safely in our workplace and on our vehicles. All First Transit employees are expected to adopt these principles and put them into practice. Together a safe work environment is created, free from injury to each other and our passengers.

The motto for the BeSafe Principles is: “**Think Safe, Act Safe, BeSafe.**” This motto is each employee’s instruction to work safely at all times.

If an employee feels they cannot perform a task safely, they don’t perform the task. The employee has been trained and encouraged to stop work and immediately advise management of issues preventing them from working safely and what would be required to perform the task safely.

The BeSafe Principles include:

- **Prevent injury to myself and others.**
 - Be aware of any hazardous condition or practice that may cause injury to people, damage to property, or the environment.
 - Use the BeSafe Handbook to record and report.
- **Perform all necessary safety checks and risk assessments of the work area and job to be performed before any work begins.**
 - Speak to management **before** work is started if unsure of the required safety and risk assessments.
- **Follow all safety procedures, signs and instructions.**
 - If these are not understood, speak to management before work begins.
- **Keep work area clean and tidy at all times.**
 - Untidy areas could cause injury to the employee or their colleagues and waste time and energy.
- **Wear protective clothing and equipment (PPE) as required.**
 - Keep PPE in good working order, wear it correctly and ask for a replacement if it becomes damaged or unfit for use.
- **Use only the correct tools and equipment authorized and trained to use for the job.**
 - Check that they are in good condition before use and use them safely.
- **Only adjust and repair any piece of work equipment trained on and authorized to do so.**
 - Never modify any equipment that changes the designed use of the equipment or alters a safety feature.
- **Assess any load and capability to move it before lifting.**
 - Get help with any heavy or awkward items and follow the correct lifting techniques.
- **Report all injuries, incidents and near misses to management.**
 - Seek help immediately and first aid (if necessary).
- **Tell management of any suggestions to prevent injuries in the workplace**
 - Note suggestions made and discuss with management.

The official policy that reflects First Transit’s commitment to safety is included as **Appendix A**.

Safety Management Policy Communication

Describe how the safety management policy is communicated throughout the agency’s organization. Include dates where applicable.



Communication of Local Safety Concerns

The Location Safety Manager is at the center of the local safety communication process and is responsible for compiling safety reports to include the following:

- Accident and injury data for previous month
- Security incident data
- Safety and security audit data and recommendations
- Safety Solutions Team (SST) meeting minutes
- BeSafe near miss and hazard reporting

This person reports directly to the Location General Manager (LGM) and routinely meets formally with the LGM, one-on-one, to provide updates on safety issues, safety priorities, and hazard management. The Location Safety Manager (LSM) also meets informally with the LGM to provide updates on safety issues on an as-needed basis.

The Location Safety Manager also participates in the Safety Solutions Team (SST) meetings to discuss safety priorities, safety issues, and hazard management, and to communicate safety-related information across all departments.

- The LSM and the LGM have the authority to correct or suspend work for conditions determined to be unsafe, or pose a hazard to customers, employees, contractor employees, the general public, or endangers the safe passage of vehicles, until the unsafe condition or hazard can be mitigated or corrected.

The Region Safety Managers also conduct regular internal reviews of local operations. They are to ensure that each location is audited at least every two to three years, with high risk locations audited annually for compliance using the risk-based **Location Safety Review**.

Location Safety Review	
Category	Description
Scope of Safety Reviews	First Transit locations are selected based upon risk-based criterion. Individual locations receive a review every 2-3 years
Risk-Based Selection Criterion	Locations selected based on declining 3-year reviews; sites with new location managers; high collision/injury Accident Frequency Rate (AFR); prior year failing score



Review Format	More narrow and focused audit template which includes a balance of compliance assurance as well as location-specific risks and safety performance.
Findings and Follow-Up	<p>Action plans are developed in conjunction with location staff and use a red/yellow/blue/green method to prioritize. All action items are entered, and incomplete action items are tracked within the Safety Toolbox.</p> <div data-bbox="865 619 1289 989" style="text-align: center;"> <p>Strong</p> <p>Highly Effective</p> <p>Some Improvement Needed</p> <p>Much Improvement Needed</p> </div>
Escalation Process	Items requiring escalation to Senior Director of Safety/Vice President of Safety – First Transit remain intact. Through the use of Safety Toolbox, unresolved actions are designed to escalate to the Location General Manager/Region Safety Manager.
Visibility	Review results and action items are routinely shared with the Location General Manager/Region Safety Manager/Executive Management. This is augmented by the escalation process for unresolved action items as noted above.

Corporate Communication of Safety Concerns

Executive Safety Meetings are routinely held where each department discusses their concerns and progress in the area of safety and safety related concerns. Recommendations are considered, and necessary changes implemented. All complaints by departments are addressed immediately.

Minutes from the Executive Safety meeting are distributed to and posted at each location. Action items are addressed at the following meeting.

Executive safety meetings are conducted in the following formats.

First Group Executive Safety Committee (ESC)

- Consists of President, COO, and Safety Vice President of each operating group



- Discussions include safety performance, trend analysis, program oversight

First Group Safety Council

- Consists of Vice Presidents of Safety for all operating divisions
- Discussions include safety performance, trend analysis, and safety oversight

First Group America Safety Council

- Consists of Safety Senior Directors and Safety Vice Presidents
- Discussions include safety performance, trend analysis, best practices, and program oversight

Performance Review Management (PRM)

- Consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, Region Director of Maintenance, Region Directors of Safety and Region Safety Managers
- Discussions include regions safety performance

Safety Advisory Committee

- Consists of a sampling of Location General Managers, Region Directors of Operations, Region Safety Directors and Region and Local Safety Managers
- Discussions include review of policy and procedures, training, and safety awareness



Authorities, Accountabilities, and Responsibilities

Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).

Accountable Executive	<i>(Location General Manager)</i>
Chief Safety Officer or SMS Executive	Paul Meredith, Senior Director of Safety
Agency Leadership and Executive Management	<i>(Local Transit Operation Management)</i>
Key Staff	Vice President of Safety – First Transit Senior Director of Safety Region Safety Director – East Region Region Safety Manager – East Region Region Safety Director – Central Region Region Safety Manager – Central Region Region Safety Director – West Region Region Safety Manager – West Region <i>*(Location Safety Managers)*</i>



Additional Accountability

(Local Staff Responsibility)

To ensure safety responsibility and accountability throughout the organization from local operations to corporate management, First Transit uses the following **Safety Responsibility and Task Matrix**. Responsibilities are assigned at the local level.

The responsibilities and tasks are assigned to Maintenance, Operations, or Human Resources and the responsible person for each is identified for each First Transit location.

This process ensures that the pertinent safety items are covered, and that each person knows his or her areas of responsibility.

Safety Responsibility and Task Matrix					
Responsibilities and Tasks	OPS	MNT	HR	OTHER	Responsible Personnel
Establish annual safety objectives for submission to the GM at the beginning of each fiscal year					
Submit a report on the safety performance at the end of each fiscal period					
Submit the following: period operations and safety data; accident and incident reports; and site safety review results					
The LGM or their designee has the authority to direct that work or conditions have been determined to be unsafe or pose a hazard to customers, employees, contractor employees, the general public, or endangers the safe passage of buses be suspended or restricted until the unsafe condition or hazard can be mitigated or corrected					
Management of system safety, occupational health					



	and safety, accident and incident investigation, environmental protection and monitoring the implementation of the Safety Management System (SMS) Program Plan					
	Review of all safety aspects of departmental procedures including: First Transit policies/instructions; Standard Operating Procedures; HR policies; safety and health policies					
	SMS Review and Modification					
	Safety Solutions Team Meetings					
	Daily Safety & Health Walkthrough					
	Safety related reports to external agencies					
	Near miss and route hazard report investigations					
	Investigation of safety related trends					
	Coordination with United States and State Departments of Labor and Occupational Safety and Health Administration (OSHA)					
	Environmental Management Oversight					
	Hazard Management Process					
	Managing Safety Validation of Change Process					
	Safety Data Reporting					



	Investigations					
	Advise to update SOPs, Rules, and Emergency Plans					
	Emergency Response					
	Fire Protection					
	Shop Safety Hazardous Tools Inspections					
	Review Vehicle Maintenance and Failure Data					
	Perform Vehicle Maintenance Inspections/Audits					
	Training, Certification, Review, and Audit					
	Personal Protective Equipment Review					
	Hazardous Materials Management					
	Drug and Alcohol Abuse Program					
	Procurement					



Employee Safety Reporting Program

Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).

First Transit is committed to conducting business with honesty and integrity. Employees are encouraged to speak up and raise questions and concerns promptly about any situation that may violate our safety protocols, policies and procedures, the laws, rules, and regulations that govern our business operations.

Employees are expected to tell others when witnessing unsafe work practices or conditions. When employees are not comfortable discussing these unsafe conditions with fellow employees, they are encouraged to discuss the situation with management or report it in writing.

However, where the matter is more serious, or the employee feels that management has not addressed the concern, or they are not comfortable reporting to their immediate manager, they can report it to the next level manager, or the Region Safety Manager or Human Resources Manager. Employees may also directly file a written or verbal complaint by calling the confidential Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534); contacting the Hotline intake site at ethicsfirst.ethicspoint.com; or emailing Compliance@firstgroup.com.

Retaliation against anyone who, in good faith, reports observations of unsafe or illegal activities; or who cooperates in any investigation of such report, is strictly prohibited and is not tolerated, regardless of the outcome of the complaint.

In other words, employees are protected for speaking up in good faith under this Policy. Any manager, or co-worker who retaliates against a complaining employee or anyone involved in an investigation of a complaint is subject to discipline and/or termination.

Managers are charged with assuring that they and their staff comply with the whistleblower protections and that no retaliation occurs because of a reported safety related issue.

Your road to reporting...

- fraud
- security breaches
- discrimination or harassment
- misconduct
- financial irregularities
- violations of law, regulation or policy
- bribery
- dishonesty
- conflicts of interest
- safety violations
- workplace violence

Report your concerns!
If you have concerns about these or any other issues, contact the Ethics Hotline. It's operated by an external company, not by FirstGroup, so you can confidentially report a concern and remain anonymous. The Hotline is open 24 hours a day, every day of the year.

ETHICS HOTLINE: 3 ways to report

CALL: **1-877-322-5534**
VISIT: www.ethicsfirst.ethicspoint.com
EMAIL: compliance@firstgroup.com

Take Action!
Got a QR reader? You can also report anonymously by using a smart device to scan the QR code. Visit the ethics page and anonymously file a report. Any Day. Any Time.



Reporting Options

Near Miss and Hazard Reporting

In the interest of employee and passenger safety, each First Transit employee is issued a “Near Miss and Hazard Reporting” pad for documenting and reporting safety, route, and security concerns; and is encouraged to report any near miss incidents and hazards.

If an employee is involved in a near miss or determines something they see to be a hazard, we ask for their help in reporting the event so we all may learn the lessons from it and perhaps prevent a collision or injury from occurring in the future.

Near miss: An event you witnessed where no harm was caused, but there was the potential to cause injury or ill health; a dangerous occurrence

Hazard: Anything that may cause harm in the near future

If the safety or security hazard requires immediate attention, dispatch is notified immediately. If immediate attention is not required, the employee is encouraged to submit the information to management by the end of their workday. Our managers then initiate conversations with employees about their observations of both safe and unsafe behaviors.

The employee’s contribution to the cause of the injury or collision is considered in disciplinary action, up to and including termination. If after analysis it has been determined that the incident resulted from an overt decision, disciplinary action is indicated. If not, then the appropriate counseling and/or training is indicated.

SOP #806 – Near Miss & Hazard Reporting describes the reporting process

Threatening or Suspicious Activity

First Transit encourages anyone who sees, hears, or learns of any conduct or statement that seems threatening or suspicious, and/or any weapons on company premises or in company vehicles, to immediately report such conduct or statement, either to his/her Supervisor or Manager, to the Human Resources Department, FirstGroup America Security, and/or to the confidential Ethics and Compliance Hotline at 1.877.3CALLFG, (1.877.322.5534), contact the Hotline intake site at ethicsfirst.ethicspoint.com, or email Compliance@firstgroup.com.

If there is an immediate risk or imminent threat of violence, serious harm, or life-threatening conduct, employees should immediately call 911, local police, or other law enforcement.

Open-Door Policy

A workplace where employees are treated with respect and one that is responsive to their concerns is important to each of us. At First Transit, we recognize that employees may have suggestions for improving our workplace, as well as complaints about the workplace. We feel that the most satisfactory solution to a

The image shows a 'Near miss and hazard reporting' form. At the top right is the BeSafe logo. The title is 'Near miss and hazard reporting'. Below the title are fields for 'Date / /', 'Near miss report' (checkbox), and 'Hazard report' (checkbox). There are also fields for 'Name', 'Location', and 'Observation(s)'. A section for 'Actions required' has several lines for text. Below that is a field for 'Who is to complete the action(s)?'. At the bottom, there are checkboxes for 'Contractor', 'Employee', 'Visitor', and 'Other'. The First Transit logo is in the bottom right corner.



job-related problem or concern is usually reached through a prompt discussion with an employee's manager. Each employee is encouraged to do so.

If the matter cannot be resolved with one's immediate manager, the employee may:

- Speak with their Location General Manager or Region Safety Manager who will attempt to facilitate a solution.
- If an employee is unable to resolve the matter through the management chain of command in their location, the employee may choose to speak directly to anyone in division management or Human Resources.

First Transit's Open-Door Policy also allows employees to voice their concerns anonymously.

- If an employee would like to submit an anonymous concern, they may contact the Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534), contacting the Hotline intake site at ethicsfirst.ethicspoint.com, or emailing Compliance@firstgroup.com.

This Open-Door Policy applies to every employee not covered by a collective bargaining agreement. It also extends to contractors and subcontractors.

In situations involving discrimination or harassment, employees should follow the Complaint Procedure described in the Discrimination, Harassment and Retaliation Reporting Procedure section of their First Transit Employee Handbook without fear of reprisal and should not follow this Open-Door Policy complaint process.

In situations requiring immediate attention, an employee may bypass the chain of command, which begins with his or her manager, and contact any level of management or Human Resources directly, without fear of reprisal, and without the need to follow this Open-Door Policy complaint process.

- This may be done in person, by direct contact, phone call, letter, or email message or by utilizing the Ethics and Compliance Hotline. The Ethics and Compliance Hotline can be reached by calling 1.877.3CALLFG, (1.877.322.5534) or emailing Compliance@firstgroup.com.

Accidents/Incidents

First Transit finds accidents and incidents to be a very serious matter and a valuable learning opportunity to improve safety. **SOP #700 – Accident & Safety Data Acquisition and Reporting**, and the supporting **SOP's, 700a – Auto and General Liability Claim Form; 700b – Courtesy Card; 700c – Operator Incident Report**; ensure that the appropriate actions happen at the scene for the safety and security of First Transit passengers and employees; and that the appropriate data is collected to evaluate the incident, determine culpability; and develop actions to limit or eliminate the possibility of the incident occurring in the future.

Accidents

Accidents are considered to be any collision that occurs while an Operator is on duty. Operators are to report all accidents and collisions to Dispatch immediately upon occurrence. When reporting to Dispatch, the employee must state that he or she is reporting an accident and then answer any questions asked by Dispatch.

Additionally, **SOP #700c – Operator Incident Report** and **SOP #700a – Auto & General Liability Claim Form**, must be completed by the Operator involved and location management for accidents, possible claims of accidents, damage to equipment, injury and possible injury not later than one hour after completion of shift on the day of occurrence. Any vehicle defects that may have contributed to an accident shall be included in the report. To help ensure that this deadline is met, employees are paid to complete the form.



Employees who fail to report an accident may be subject to disciplinary action up to and including termination.

Employees must provide transit management with any additional accident information immediately upon request.

Incidents

Incidents with passengers involving slips and falls on or near the vehicle, fights, police action, or removal of a passenger, must be reported to Dispatch immediately; and require a **SOP #700a – Auto & General Liability Claim Form** to be completed by management before going off duty for the workday.

All other incidents and occurrences out of the norm, no matter how slight, are to be reported to Dispatch upon return to the yard.

The following are examples of incidents that must be reported:

- Broken or cracked windows from unknown causes,
- Cut seats,
- Service delays,
- Passing up passengers,
- Insufficient or excessive running time in schedule,
- Overloads, etc.

If in doubt, immediately contact Dispatch.

Operators Witnessing an Accident shall notify Dispatch immediately, even though their vehicle may not be involved.

Required Courtesy Cards

In the event of an accident or an incident, Operators must distribute **SOP #700b – Courtesy Cards** then retrieve as many as possible from passengers and persons in the immediate area of the accident or incident who may have witnessed the event.

Duty to Report Wrongdoing

First Transit is committed to investigating all good faith claims of wrongdoing so that corrective action may be taken. To that purpose, First Transit encourages any employee, contractor or vendor to report wrongdoing or illegal acts to location management so long as they are not believed to be involved in the fraud, waste or abuse being reported. Management within First Transit ensures the matter is reported to Group Security and First Transit will investigate and take appropriate steps to correct the wrongdoing or potential violation.

Alternatively, reports may be made anonymously using the FGA Ethics & Compliance line at 1.877.3CALLFG, (1.877.322.5534) or by emailing Compliance@firstgroup.com. You may also contact the Healthcare Compliance Officer directly.

Self-Reporting

Self-reporting is also encouraged. Anyone who reports his/her own violation will receive due consideration regarding disciplinary action that may be taken.

Duty to Report Law Enforcement Actions

Employees are required to report any arrests, indictments or convictions to their immediate manager or Human Resources immediately, but no later than prior to the next scheduled work shift, to the extent permitted by applicable law. If the circumstances and the offense charged, in our judgment, present a



potential risk to the safety and/or security of our customers, employees, premises and/or property, such events may result in disciplinary or other appropriate action to the extent permitted by applicable law.

Operators and safety sensitive employees are required to report all Driving Under the Influence (DUI) or Driving While Intoxicated (DWI) related charges, vehicular collisions, and any moving violation citations received in any vehicle immediately if possible, but no later than prior to their next scheduled work shift, consistent with applicable law.

Possible Disciplinary Actions

First Transit uses a tiered approach to determine possible disciplinary actions. Infractions that lead to disciplinary action are categorized into four categories;

- Class 1 – Dischargeable Offenses, the most serious and unacceptable behavior
- Class 2 – Serious violations of the First Transit performance code
- Class 3 – Secondary violations of the First Transit performance code
- Class 4 – Lesser violations of the First Transit performance code that may result in disciplinary action depending on the circumstances or repeated violations

Examples of **Class 1 Dischargeable Offenses** include:

- Convictions and imprisonment for such offenses as DUI, DWI, child abuse, etc.
- Safety; some offenses are of such a serious nature that termination is appropriate for the first offense. Those include but are not limited to:
 - Failure to properly secure mobility devices
 - Cell phone use while operating a company vehicle
 - Striking a pedestrian
 - Colliding into the rear of another vehicle or stationary object
 - Running a red light or stop sign
 - Entering a railroad crossing when the lights are flashing
- Violation of the Drug & Alcohol Policy
- Dishonesty
- Stealing/Theft
- Unauthorized Use or Removal of Company / Client Property or Vehicle
- Violence / Fighting / Threats
- Harassment
- Insubordination
- Security
- Sleeping on the Job
- Destruction of Property
- Failure to Return to Work
- Leaving Bus or Passengers
- Failure to Follow Sleeping Passenger Rules



Examples of **Class 2 Infractions** considered to be serious violations of the First Transit performance code include:

- Abusing or misusing sick leave
- Exchanging work assignments (trade) without proper authority
- Stopping work prior to the end of any shift without management's permission
- Excessive absenteeism, tardiness, starting work late after on the clock, or a pattern of unexcused absences unless otherwise permitted by law
- Reporting for work in an unfit condition
- Failing to obtain permission to leave work during normal working hours
- Discourteous or inappropriate attitude or behavior toward passengers or other members of the public
- Failure to comply with PPE directives
- Failure to wear a High Visibility Safety Vest, Reflective Safety Vest, or Company issued High Visibility Uniform Shirt according to Company policies
- Failure to wear Safety Glasses in compliance with PPE directives
- Failure to wear Company Assigned Shoe Grips when directed to do so
- Violation of vehicle operating regulations
- Failure to observe safety, sanitation, or disciplinary policies of the client or Company, or laws and regulations of Local, State, or Federal governments
- Failure to comply with the Risk Assessment policy
- Working more than an employee's regularly scheduled hours without advance approval of the Company
- Failure to operate a Company vehicle according to assigned route or timetable
- Failure of any Operator, Safety Sensitive Employee or employee required to be licensed for driving, to renew and maintain a valid, appropriate driver's license with required endorsements and a medical certificate for driving a Company vehicle
- Failure to wait for connections or passing up passengers
- Transport of unauthorized persons
- Attempting to enter, entering or assisting any person to enter, or attempt to enter a Company location or restricted areas without proper authority

Examples of **Class 3 Infractions**, considered to be secondary violations of the First Transit performance code, include:

- Failure to report defective equipment
- Failure to report a safety hazard
- Failure to procure necessary information for an accident report or submitting an inaccurate or incomplete report



- Posting, circulating or distributing written or printed material during working times and in working areas
- Failure to adhere to the Company Reverse Parking policy for Company vehicles and personal vehicles
- Use of a Company-owned radio or cell phone for non-Company business during working time
- Failure of any Operator to have in his or her possession a valid, appropriate driver's license with required endorsements and a medical certificate while driving a Company vehicle

Examples of **Class 4 Infractions**, considered to be lesser violations of the First Transit performance code that may result in disciplinary action depending on the circumstances or repeated violations, include:

- Failure to comply with the dress code, uniform policy, cleanliness, personal hygiene, personal grooming habits, or other requirements established by the client or Company
- Reporting for duty in an improper uniform, presenting an untidy, unkept or dirty appearance of person or uniform, or improperly displaying uniform articles, Company emblem, or authorized pins and badges
- Parking a personal vehicle in a restricted area at a Company location
- Neglect of job duties and responsibilities, or lack of application or effort on the job
- Incompetence or failure to meet reasonable standards of efficiency or effectiveness
- Failure to provide First Transit with a current address or telephone number
- Failure to inform First Transit of changes in status of dependents for insurance coverage
- Littering the employee lounge area, restrooms, or any other company property
- Failure to read notices and bulletins and not making an effort to stay informed

Applying Disciplinary Actions

Although employment may be terminated at-will by either the employee or First Transit at any time in accordance with applicable law, without following any formal system of discipline or warning, First Transit may exercise discretion to utilize forms of discipline that are less severe than termination.

Whenever an employee is subject to discipline, the employee's work record, including violations occurring in the relevant time period, is reviewed before determining penalty. The chart below describes how disciplinary actions are applied.

Class of Infraction	Discharge	Suspension	Written Warning
1	1st Offense	-----	-----
2	2nd Offense*	1st Offense	-----
3	3rd Offense*	2nd Offense*	1st Offense
4	4th Offense*	3rd Offense*	1st & 2nd Offense*

*Within 12 months of first offense, 36 months for safety



Additionally, First Transit may use the following criteria to determine discipline specific to any type of traffic violation or preventable accident.

Major Offenses	Action
One violation	Discharge
Serious Violations	Action
One violation	Written warning
Two violations within any 36-month period	Discharge
Moving Violations	Action
Two violations within any 36-month period	Three-day Suspension
Three violations within any 36-month period	Discharge
Two violations within any 12-month period	Discharge
Preventable Vehicle Accidents	Action
One preventable accident	Written warning
Two preventable accidents within any 36-month period	Five-day Suspension
Three preventable accidents within any 36-month period	Discharge
Two preventable accidents within any 12-month period	Discharge

Details of First Transit’s reporting requirements, infractions of company policy, and disciplinary actions that may be taken are described in more detail in the **First Transit Employee Handbook**.

5. Safety Risk Management

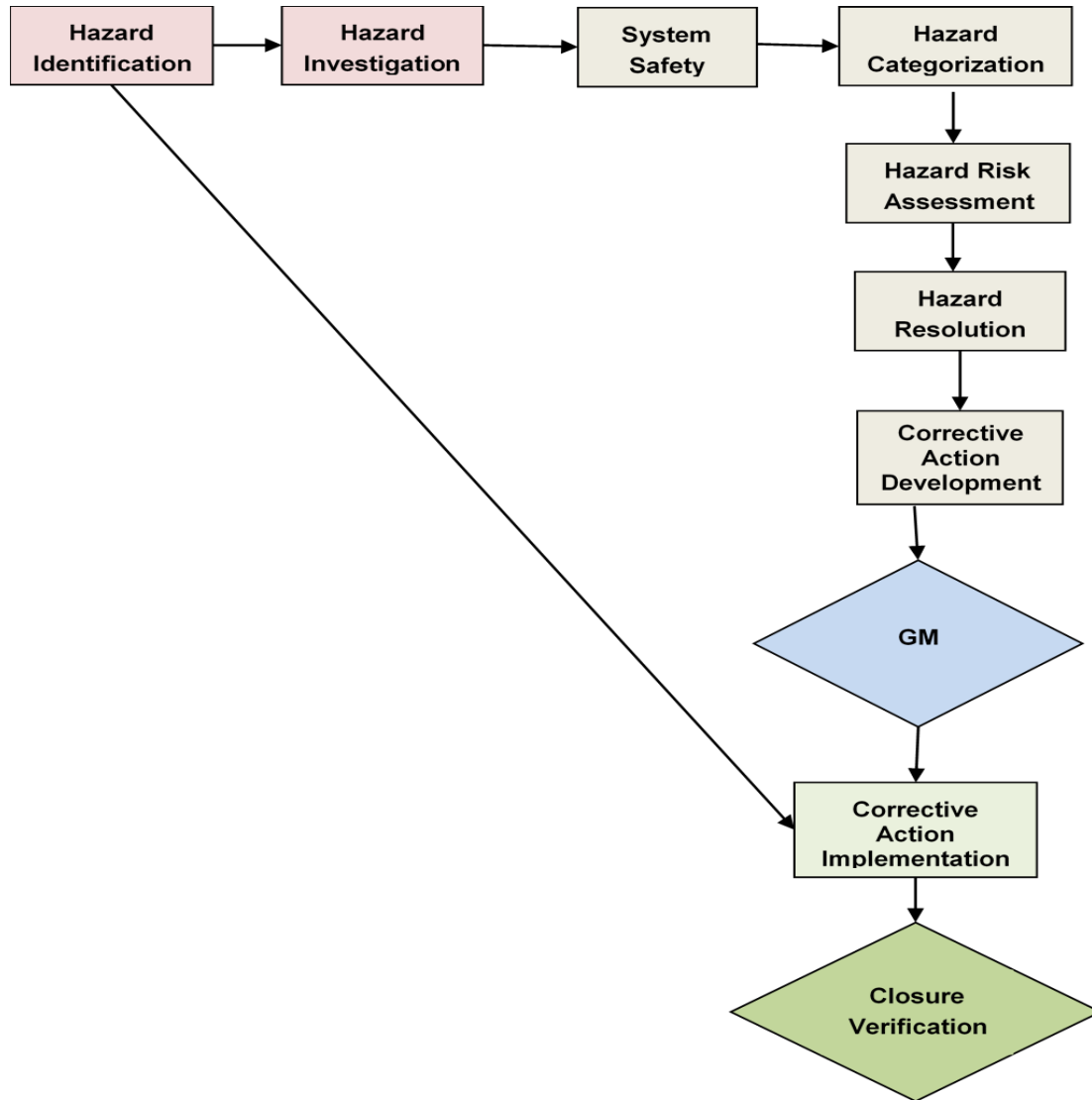
Safety Risk Management Process

Describe the Safety Risk Management process, including:

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards*
- *Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards*
- *Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment*



Safety management is at the core of everything done at First Transit. All employees are responsible for performing their jobs in a safe manner, which includes identifying safety risks and participating in developing and implementing effective mitigation techniques. The process for managing hazards, from identification through corrective action and closure, is illustrated by the following flowchart.



As described earlier, a corporate structure exists to address all safety concerns. To ensure safety at the local levels, each location is required to form a Safety Solutions Team (SST), Accident Review Committee (ARC), and a Local Client Liaison Committee. To ensure consistency at each location, **SOP's #803; #803a; #803b Safety Solutions Team**, and **SOP #702 – Accident Review Committee** describe the procedures which are to be followed in creating and operating a Safety Solutions Team and Accident Review Committee.

These groups are responsible for reviewing safety related accidents and incidents to determine culpability; identify the causes associated with each event; and develop mitigation measures to reduce the risk of the events occurring in the future. Having these groups at each location provides a way for employees to report safety risks in a timely manner and to teams that understand the conditions associated with each specific location. Additionally, the opportunity exists for more timely, appropriate, and effective mitigation measures.



Several tools are used by the Region Safety Managers, Region Safety Directors and the Senior Director of Safety to monitor the local risks and risk management. Among them are Safety Data Reports which outline the monthly and Year to Date safety performance statistics. Also used is a Target & Goal Worksheet to track and analyze the data collected and to target reactive and proactive performance improvement measures.

Safety Hazard Identification

This process is a vital component in First Transit's efforts to reduce safety risks and improve overall delivery of service. Safety Hazard Identification data is used to implement immediate corrective actions and to proactively identify hazards before they cause future accidents or incidents.

The objective of hazard identification is to distinguish those conditions that can cause an accident or create an unsafe condition. First Transit routinely analyzes records from our operation to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspection of established prevention processes are routinely performed.

There are five (5) main areas reviewed in Hazard Identification:

1. Environment

- a. Weather
- b. Road Surface Condition
- c. Visibility

2. Transit Service Characteristics and Agency Policies

- a. Incentives for Safe Driving
- b. Equipment Maintenance Policies
- c. Stop Intervals
- d. Route Design
- e. Driver Scheduling
- f. Passenger Demand Schedules

3. Operator

- a. Experience
- b. Physical Ability
- c. Personality
- d. Psychological Condition
- e. Physical Condition

4. Road Layout

- a. Width
- b. Speed Limit
- c. Geometric Design
- d. Traffic Volume
- e. Capacity
- f. Parking
- g. Adjacent Lane Use
- h. Street Lighting
- i. Pedestrian Volume

5. Hazard Identification – Accident Prevention/Resolution

- 1st: Identify the Hazard
- 2nd: Remove the Hazard
- 3rd: When the Hazard cannot be removed, Train for the Hazard as a "known condition"



First Transit relies on employees to assist in the hazard identification and resolution process. Working with the location safety personnel and through a structured process, employees help:

- Identify Critical Factors in Hazard Resolution
- Develop and Recommend an Action Plan
- Implement Action Plan
- Measure Performance Against Safety Objectives
- Monitor the Process
- Modify the Process
- Secure Outside Assistance (when needed)
- Audit for Compliance

Several tools exist for hazard identification. Among them are:

- **SOP #802 and #802a - Daily Safety & Health Walkthrough and Checklist**
 - A routine safety and health check walkthrough to promptly identify hazardous conditions at our facilities and notify employees of the hazards identified and mitigation measures to help protect them from personal injury.
- **SOP #804 - Positive Check-In Procedures & Reasonable Suspicion**
 - Positive Check-In procedures are to ensure our operators reporting to work are fit-for-duty.
- **SOP #900 – Facility Hazard Recognition Manual**
 - This Hazard Recognition Manual is intended to be a tool for recognizing potential hazards that may be present at First Transit facilities. Although it does not represent all conditions that could exist, the photos and narrative provide:
 - A reference guide for conducting safety inspections at a facility, and
 - A training document to educate and train employees to conduct effective safety inspections.
- **Vehicle Maintenance Risk Assessment**
 - All employees who perform maintenance and repairs to vehicles within transit centers and bus yards or on road calls complete a risk assessment using **SOP #503a – Vehicle Maintenance Risk Assessment Form** prior to performing any work on a vehicle.
 - The Risk Assessment process, **SOP #503 – Vehicle Maintenance Risk Assessment**, requires employees about to perform a maintenance task to confirm they possess the training, skills, knowledge, abilities, tools, and equipment to safely perform the task at hand. The assessment includes determining the following.
 - Are You Properly Trained to Perform the Task?
 - If Task Requires Lifting, Are Lifts Secured, Are Jack Stands Used Correctly?
 - Are You Wearing the Appropriate Personal Protective Equipment (PPE)?
 - Have You Performed the Proper Lock-Out/Tag-Out (LOTO) procedures?
 - Are You Aware of the Potential Risks of Performing this Repair?
 - If the answer is “NO” to any of the above assessments the technician is to immediately contact their manager.
- **Pre-Survey Job Hazard Analysis**
 - Prior to beginning a job hazard analysis, a pre-survey of the working conditions, using **SOP #503b – Pre-Survey Job Hazard Analysis Form**, under which the job is performed is conducted to evaluate the general conditions. A few of the potential hazards being considered include:



1. Are there tripping hazards in the job vicinity?
 2. Is the lighting adequate for work conditions?
 3. Are there explosive hazards associated with the job?
 4. Are there electrical hazards associated with the job?
 5. Are tools associated with the job in good condition?
 6. Is the noise level excessive (below 85-dba)?
- **Facility Parking Risk Management Assessment**
 - Inadequate turning areas, blind corners, uneven walking surfaces can all cause collisions or employee injury in parking areas. **SOP #501 - Facility Parking Risk Assessment** will help identify and prevent these types of collisions for both buses and personal vehicles.
 - The Location Manager must ensure compliance with all provisions of this SOP.
 - The risk of each facility is assessed as follows:
 - Annually
 - **Unscheduled** – Whenever a significant vehicle collision or a pedestrian strike occurs in the bus yard or on company premises
 - **Start-up locations** – Before operating out of the new location.
 - **SOP #501a – Facility Parking Risk Assessment Guide**, and
 - **SOP #501b – Facility Parking Risk Assessment Form** are tools to help with this assessment.
 - **On-Board Video Technology**
 - **SOP #704 – On-Board Video Technology** provides a summary of the on-board video system and Company standards that all First Transit employees must follow when operating a company or customer vehicle equipped with onboard video technology.
 - This technology is a valuable resource and another tool that helps First Transit instill positive driving behaviors by providing opportunities to view recorded driving events, driver history and company trends.
 - The goal of this in-cab camera technology is to proactively identify unsafe behaviors and improve those identified behaviors through coaching, retraining and, if necessary, disciplinary measures in accordance with the provisions of the Employee Handbook and applicable Collective Bargaining Agreements.

Safety Risk Assessment

Once the hazard has been identified, they are categorized into the following severity levels. The categorization of hazards is consistent with risk-based criteria for severity; it reflects the principle that not all hazards pose an equal amount of risk to personal safety.

Category 1 – Catastrophic: operating conditions are such that human error, design deficiencies, element, subsystem or component failure, or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.

Category 2 – Critical: operating conditions are such that human error, subsystem or component failure, or procedural deficiencies may cause severe injury, severe occupational illness, or major system damage and require immediate corrective action.

Category 3 – Marginal: operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.



Category 4 – Negligible: operating conditions are such that human error, subsystem, or component failure or procedural deficiencies will result in less than minor injury, occupational illness, or system damage.

The next step in assessing the hazard is to determine the probability of it occurring. Probability is determined based on the analysis of transit system operating experience, evaluation of First Transit safety data, the analysis of reliability and failure data, and/or from historical safety data from other passenger bus systems. The following chart describes the probability categories.

Probability of Occurrence of a Hazard			
Description	Probability Level	Frequency for Specific Item	Selected Frequency for Fleet or Inventory
Frequent	A	Likely to occur frequently	Continuously experienced
Probable	B	Will occur several times in the life of the item	Will occur frequently in the system
Occasional	C	Likely to occur sometime in the life of an item	Will occur several times in the system
Remote	D	Unlikely but possible to occur in life of an item	Unlikely but can be expected to occur
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced	Unlikely to occur but possible

Identified hazards are placed into the following Risk Assessment Matrix to enable the decision makers to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, cost, operations) to reduce the hazard to an acceptable level.

Hazard Frequency	Severity Category 1	Severity Category 2	Severity Category 3	Severity Category 4
Frequent (A)	1A	2A	3A	4A
Probable (B)	1B	2B	3B	4B
Occasional (C)	1C	2C	3C	4C
Remote (D)	1D	2D	3D	4D
Improbable (E)	1E	2E	3E	4E

Based on company policy and the analysis of historical data, First Transit has made the following determinations regarding risk acceptance.

Hazard Risk Index	Criteria by Index
1A, 1B, 1C, 2A, 2B, 3A	Unacceptable
1D, 2C, 2D, 3B, 3C	Undesirable (Management decision)
1E, 2E, 3D, 3E, 4A, 4B	Acceptable with Management Review
4C, 4D, 4E	Acceptable without Management Review



Safety Risk Mitigation

Mitigation Determination

After the assessment has been completed, the follow-up actions will be implemented as follows.

- **Unacceptable:** The hazard must be mitigated in the most expedient manner possible before normal service may resume. Interim corrective action may be required to mitigate the hazard to an acceptable level while the permanent resolution is in development.
- **Undesirable:** A hazard at this level of risk must be mitigated unless the Location General Manager and Location Safety Manager issue a documented decision to manage the hazard until resources are available for full mitigation.
- **Acceptable with review:** The Location General Manager and Location Safety Manager must determine if the hazard is adequately controlled or mitigated as is.
- **Acceptable without review:** The hazard does not need to be reviewed by the management team and does not require further mitigation or control.

Hazard Resolution

Safety hazard resolution or mitigation consists of reducing the risk to the lowest practical level. Not all safety risks can be eliminated completely. Resolution of hazards will utilize the results of the risk assessment process. The objectives of the hazard resolution process are to:

1. Identify areas where hazard resolution requires a change in the system design, installation of safety devices or development of special procedures.
2. Verify that hazards involving interfaces between two or more systems have been resolved.
3. Verify that the resolution of a hazard in one system does not create a new hazard in another system.

The SST, who was identified earlier in this plan as the team responsible for local safety review, uses the following methodologies to assure that system safety objectives are implemented through design and operations, and hazards are eliminated or controlled:

1. Design to eliminate or minimize hazard severity. To the extent permitted by cost and practicality, identified hazards are eliminated or controlled by the design of equipment, systems and facilities
2. Hazards that cannot reasonably be eliminated or controlled through design are controlled to the extent practicable to an acceptable level through the use of fixed, automatic, or other protective safety design features or devices.
3. Provisions are made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.
4. When design and safety devices cannot reasonably nor effectively eliminate or control an identified hazard, safety warning devices are used (to the extent practicable) to alert persons to the hazard.
5. Where it is impossible to reasonably eliminate or adequately control a hazard through design or the use of safety and warning devices, procedures and training are used to control the hazard.
6. Precautionary notation is standardized, and safety-critical issues require training and certification of personnel.



Hazard Resolution Management and Tracking

Resolution of identified hazards are managed by the Location General Manager and/or the Location Safety Manager. The hazard resolution process is managed through the “**Safety Toolbox**”, which is an online tool used by management, from Road Supervisors to Executive Management, to record the occurrence of safety-related events, review safety critical data, and track corrective actions as necessary.

The Safety Toolbox is a powerful tool to help understand the work area’s safety environment. This includes:

- Understanding and improving observations of safety critical behaviors
- Reviewing recorded debriefs to ensure that the “BeSafe” process is in place and working.
- Reviewing findings from BeSafe tours and determine if tasks/actions have been closed out

The Safety Toolbox includes information regarding:

- **BeSafe** (BeSafe Debriefs, BeSafe Tours, BeSafe Touchpoints)
 - Debrief meetings conducted in order to assure quality.
 - Safety Critical Behavior is the main focus of touchpoints; and shared and discussed during debrief meetings.
- **Contacts** (e.g. Near Misses, Hazard reports, Commendation, Safety Issue)
 - **Near Misses.** Reporting an event that occurred and could have caused injury.
 - **Hazard Reports.** Reporting an event that occurred and could have caused injury.
 - **Commendation.** A report of commendable safety actions/conduct performed by a colleague within the business.
 - **Safety issues.** A report on any safety issue that has a specific cause – i.e. maintenance, housekeeping, environment and behavior etc.
- **Safety Leadership Activities** (e.g. Participate in safety meetings, risk assessment, section observation)
 - **Participation in a Safety meeting.** Actively leading or participating in the location in-service safety meeting.
 - **Intersection observation or risk assessment.** Risk assessment or driver observations conducted at nearby intersections, and delivery of positive reinforcement or coaching as indicated.
 - **Rail section observation or risk assessment.** Risk assessment or driver observations conducted at rail crossing(s), and delivery of positive reinforcement or coaching as indicated.
 - **Planned general inspections.** A systematic inspection where a location is forewarned.
 - **High interest driver.** A report of a driver's performance that has indicated a level of risk taking through observations, review scores, and skills evaluations.

Additional documentation, such as corrective action plans, are developed for those hazards requiring complex and multifaceted resolutions.

6. Safety Assurance

Safety Performance Monitoring and Measurement

Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.



As discussed in Section 1 of this plan, First Transit employs a Resident Management Team at each operation location. This team consists of a Location General Manager and a Location Safety Manager, who oversee the safety of the operation.

Additionally, each location employs Street Supervisors, Dispatchers, and Instructors; all of whom are responsible for oversight of the daily operations and training. All safety risks identified are reported to the Location General Manager and Location Safety Manager. Any risks that can be addressed immediately are corrected but still reported. Each location also establishes a Safety Solutions Team (SST), described in Section 5: Safety Risk Management of this plan, which uses the following methodologies to ensure a proactive approach to safety at each location.

- Routine hazard management
- Accident and incident investigation
- Safety data collection and analysis
- Routine internal safety audits
- Facility, equipment, systems and vehicle inspections
- Routine proficiency checks for all vehicle operators and maintenance employees
- Compliance evaluations including onsite inspections
- Regularly communicating safety and hazard data to all employees

A higher level of oversight is conducted by Region management, which includes the Region Safety Manager, Region Safety Director, Region Maintenance Director, and the Region Vice President. From this level, any identified risks and mitigations are shared with other Region local operations as a proactive means to reduce risks.

The last “local level” review comes from the Vice President of Safety and the Vice President of Maintenance. These are corporate level positions that share the identified risks and mitigations throughout the organization as a proactive means to reduce risks. Additionally, the Vice President of Safety and Vice President of Maintenance assist executive level management in using this information to impact operational and budget decisions.

Describe activities to conduct investigations of safety events to identify causal factors.

First Transit has a “zero” tolerance for preventable injuries and collisions. Elimination of preventable injuries and collisions is our number one goal.

Any injury, collision or incident that occurs is investigated to determine preventability or non-preventability. Investigations include all instances in which:

- a vehicle was damaged
- a vehicle leaves the traveled roadway
- a passenger is injured or
- an employee is injured

SOP #700-Accident & Safety Data Acquisition describes the data collection process including

- Defining the Event & What to Do
- Accidents – Defining the Accident
- “Five Cardinal Rules That Apply to an Accident”
- Operator Responsibility
- Dispatcher on Duty Accident Investigation Responsibility



SOP #700 also describes the Operators and the Dispatchers responsibilities for protecting the customers and managing the scene.

The groups described in **SOP #702 – Accident Review Committee (ARC)**, and **SOP #803 – Safety Solutions Team (SST)**, review the data collected to determine if the accident/incident was preventable or non-preventable,(ARC); and identify measures to reduce the risk of the accident/incident occurring in the future (SST).

Describe activities to monitor information reported through internal safety reporting programs.

The Location Safety Manager (LSM) and/or Location General Manager (LGM) routinely reviews all location safety and hazard data, which includes searching for repetitive events that might have safety implications. When accident/incident reports and statistics indicate repetitive accidents/incidents, the LSM and LGM investigate to determine the root cause.

The following chart describes how the hazard data flows and is monitored by First Transit; from each operating location, to Region management, to corporate and parent company management.



Risk/Safety Data Flow								
Weekly Data Review								
Information Collected Daily	Location	Third Party Data Collected	Risk Dept	Safety Dept	Location			
Collisions/ Injuries/ Workers Comp	Incident Occurs, claim report created, then sent to Third Party Data Collector via website, phone, fax.	Report received from Location.	Information from Third Party Data Collector created as weekly report then sent to Region Safety.	Weekly reports are reviewed and distributed for weekly management oversight conference calls.	Review data with Senior Region Leadership during weekly teleconference.			
Period Data Review (e.g. Quarterly/Monthly)								
	Risk Dept	Shared Services Dept	Region Safety Managers	Shared Safety Services Dept				
Collisions/ Injuries/ Workers Comp	Send all raw risk data gathered from weekly reports to the Shared Safety Services Dept.	Reorganizes raw data regionally then distributes to Region Safety Dept.	Review period data and distribute to locations.	Develops company, region, and location specific performance measures and distributes through Target & Goal Spreadsheet.				



Period Data Analysis								
	Shared Services Dept	UK	Safety Dept	First Group Executive Safety Committee (ESC)	First Group Safety Council	First Group America Safety Council	Performance Review Management (PRM)	Safety Advisory Committee
Collisions/ Injuries/ Workers Comp	Final reports sent to UK and Directors of Safety for each business group.	Processes data; analyzes; creates reports; categorizes risk factors; and gathers commentary from First Group companies for trend analysis.	Processes data; analyzes; creates reports; categorizes risk factors; and creates commentary for trend analysis.	This committee consists of President, COO, and Safety Vice President of each operating group. Discussions include safety performance, trend analysis, program oversight.	This committee consists of Vice Presidents of Safety for all operating divisions. Discussions include safety performance, trend analysis, and safety oversight.	This committee consists of Safety Senior Directors and Safety Vice Presidents. Discussions include safety performance, trend analysis, best practices, and program oversight.	This review consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, and Region Safety Managers. Discussions include regions safety performance.	This committee consists of Location General Managers, Region Directors of Operations, and Region and Local Safety Managers. Discussions include review of policy and procedures, training, and safety awareness.



Management of Change

Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.

First Transit employs a proactive process, **SOP #208 – Safety Validation of Change**, that addresses the procedures to be followed to evaluate the risk of any changes proposed at all levels of the organization. The overall purpose of this process is to provide assurance that any proposed changes which impact operations will not increase safety risk; or where additional risk is identified, that controls are put in place **prior to the changes being implemented.**

Changes to organizational structure; the nature or extent of operations; or to facility or equipment assets; as well as mergers and acquisitions of new businesses are proactively managed through this process to avoid introducing or increasing safety risks.

- The resources required to complete the validation process, in terms of people, finance and materials is included in this validation process.
- The allocation of responsibilities considers the competence of the individuals that are required to carry out the safety validation roles.
- All employees who may be affected by the proposed changes are consulted as part of the process.

The extent and scope of safety validation applied to any change proposal is proportional to the risks (safety, operational, and other risks) associated with its introduction. *(For example, a major change, such as a reorganization of Region Executive roles and responsibilities or start-up of a large new bus operation, requires a more rigorous safety validation than a minor change.)*

In the case of smaller, less complex or well understood changes, the safety validation of change process may be implemented as part of normal operations, using existing organizational arrangements and meeting structures to deliver the required level of assurance.

The process is generally described in the following chart.

Safety Validation of Change Process			
Main Steps	Key Activities	Checklists & Guidance	Completed By
1. Identify Proposal for Change	<ul style="list-style-type: none"> • Raise change proposal (including Capital Expenditure Approval) • Inform relevant functional Director(s) and Manager(s) 	<ul style="list-style-type: none"> • Complete SOP #208a – Safety Validation of Change Form, Section A1 	Change proposer



2. Determine Classification of Change Significance	<ul style="list-style-type: none"> Classify level of safety validation required Ensure the extent and scope of validation is proportional to the level of risk 	<ul style="list-style-type: none"> Complete SOP #208a – Safety Validation of Change Form, Section A2 	Category A: Group Safety Director Category B: Divisional head of Safety Category C: Location head of Safety
3. Allocate Roles & Responsibilities	<ul style="list-style-type: none"> Formally allocate change sponsor and change authorizer Identify other required resources and roles for consultation 	<ul style="list-style-type: none"> Complete SOP #208a – Safety Validation of Change Form, Section A3 	Change proposer (with guidance)
Submit Change Proposal Form			Change proposer
Decide whether safety validation should proceed			Change proposer
4. Prepare Safety Validation of Change Case	<ul style="list-style-type: none"> Prepare safety validation documentation Complete risk assessment of proposed change Submit for review Revise and finalize documentation 	<ul style="list-style-type: none"> Complete risk assessment and document findings Complete Safety Validation of Change as described in SOP #208 – Safety Validation of Change Complete SOP #208a – Safety Validation of Change Form 	Change proposer
Submit Safety Validation Checklist with supporting documentation			Change proposer
Approve and Implement, or Reject Change			Change authorizer (or delegated representative)
5. Monitoring and Review	<ul style="list-style-type: none"> Monitor implementation of change and safety performance 	<ul style="list-style-type: none"> Check compliance as part of Region Safety Monitoring Review effectiveness 	Location Safety Manager Corporate Safety Management



	<ul style="list-style-type: none"> Review performance process 	of the process as part of Region oversight	Vice President of Safety - First Transit
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Changes proposed at the Corporate level typically have an impact on the Region and Local levels. To ensure the risks associated with any change consider all levels of the organization, each level must complete **SOP #208 – Safety Validation of Change** as part of the process to ensure specific safety concerns have been identified and addressed.

Similarly, changes proposed at the Region level will typically have an impact on the Local level. Consequently, the Local level must also complete **SOP #208 – Safety Validation of Change** as part of the process to ensure specific safety concerns have been identified and addressed.

Additional responsibilities in the Safety Validation of Change process include:

- The Region Safety Management team provides safety expertise/support to those carrying out the safety validation.
- The Senior Director of Safety:
 - Reviews and approves each Region’s safety validation of change process
 - Decides on the level of safety validation required (consulting with other functional heads as necessary) for Category A changes
 - Is consulted on any Category B change proposal
 - Provides safety expertise/support to Region Safety Managers and Vice President of Safety – First Transit during safety validation activities as required.
 - Provides safety expertise/support to those carrying out the safety validation for Category A changes.

An electronic log of all proposed changes, whether approved or not, are maintained by the Region Safety Director.

Communication of changes to policies/procedures regarding safety issues comes from Executive Leadership. This information is then carried down through the Vice President of Safety – First Transit, Senior Director of Safety, Region Safety Directors, Region Safety Managers, Location General Managers, Location Safety Managers, and employees. Notification to the client is communicated through the Location General Manager.

Continuous Improvement

Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.

The process described previously in this section for monitoring safety data incorporates continuous improvement. As safety risk is identified, then reported on, a determination is made as to whether the risk can be mitigated immediately or requires more time and resources.

Risk mitigations that can address the safety concerns immediately are carried out but still reported. The reporting of these concerns includes the mitigation steps that have been taken. Monitoring of the risk continues to ensure that the mitigation strategy is effective.

Section 5 of this plan, Safety Risk Management, describes the risk assessment and mitigation procedures used that determine how to proceed with improvement strategies that require more time and resources.



Which improvement strategies to implement for longer term issues is based on severity and probability of risk occurrence. Additionally, safety hazard identification data is used to implement immediate corrective actions and to proactively identify hazards before they cause future accidents or incidents.

The objective of hazard identification is to distinguish those conditions that can cause an accident or create an unsafe condition. First Transit routinely analyzes records from our operation to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspections of established prevention processes are routinely performed.

The Risk/Safety Data Flow Chart previously described in this section, illustrates how this information is shared throughout the organization.

7. Safety Promotion

Competencies and Training

Describe the safety training program for all agency employees and contractors directly responsible for safety.

The education and training process at First Transit is a highly regimented and professionally developed program built around a curriculum featuring learning opportunities in two major domains:

- Knowledge (education)
- Skills (training)

Various delivery mechanisms such as classroom, multimedia presentations, closed course, observation and behind-the-wheel skills building are used to support the learning process. Learning is evaluated through written quizzes, driving tests and customer service skills evaluations.

Instructors

Successful new operator training starts with selecting and certifying good instructors.

1. Classroom Instructor:

The classroom instructor is responsible for facilitating the classroom portion of New Operator Training. Classroom training requires the development of lesson plans.

2. Behind-the-Wheel Instructor:

The Behind-the-Wheel (BTW) Instructor is responsible for conducting closed course exercises and behind the wheel instruction. The New Operator Training program consists of instructional DVDs, which are accompanied by facilitator guides and participant study guides. The BTW Instructor uses the Operator Proficiency Workbook to document each trainee's progress.

**New Instructor Candidates can obtain certification as both a Classroom Instructor and a Behind-the-Wheel Instructor.*

3. Master:

The Master Instructor, along with the Regional Director of Safety and Region Safety Manager(s), is responsible for training the Safety Supervisors. The Master Instructor is also responsible for the certification programs for Behind-the-Wheel and Classroom Instructors and the ongoing Train-the-Trainer workshops.



Training the Instructor is a process by which a Certified Instructor works with the selected New Instructor Candidate. During this time, the Certified Instructor conducts a review of all state laws, First Transit policies and procedures, local policies, and client-specified programs and requirements.

The Certified Instructor also provides a review of the Behind-the-Wheel Manual, Classroom Manual, and all First Transit video-based courses.

In addition to the above training, the New Instructor Candidate must complete the Instructor Development Curriculum, which includes the following three self-directed courses:

1. How to Train
2. Coaching the Adult Learner
3. Learning Basics

There are three types of Instructor Certification:

1. Temporary
2. Certified
3. Master

1. Temporary (Silver)

Temporary certificates are issued at the local level. A temporary certificate is issued to a New Instructor Candidate upon successful completion of the New Instructor training program at his or her location, conducted by a certified trainer at that location. Certificates are issued throughout the year prior to the annual Train-the-Trainer program.

Temporary certificates are valid for one year, and one year only, from the date of issue. Temporary certification is accompanied by silver achievement emblems for Classroom, BTW or both.

To continue in the program, a New Instructor must obtain Gold Certification.

2. Certified (Gold)

The Certified Instructor certificate is issued to a New Instructor who has successfully completed the annual Train-the-Trainer program, conducted by a Master Trainer. The annual Train-the-Trainer program combines all elements of the temporary certification, with the exception of the classroom evaluation. At the annual Train-the-Trainer program, Classroom Instructor Candidates are required to develop a lesson plan and give a presentation.

Prior to attending the annual Train-the-Trainer program, all New Instructors must complete the "Safety Leadership" course and pass the final exam with a grade of 90% or above.

The Senior Director of Safety is the only person authorized to approve and issue a Certified Instructor certificate with gold achievement emblems for Classroom, BTW, or both.

3. Master

The Master Instructor Certification program ensures that First Transit Policies and Procedures are correctly implemented throughout the company.

Master Instructor Certification is required for all area safety managers and above.

The Master Instructor:

- Provides support to the Location General Manager and the Region Safety Manager,
- Is involved with training new Safety and Training Supervisors, and re-training current Safety and Training Supervisors if required,
- Conducts the annual Train-the-Trainer program for BTW and Classroom Instructor Certification



- Conducts Safety and Training audits in the region and reports the findings to the Region Safety Manager, if required.

Employee Training

Training employees to assess risks and recognize and avoid hazards in the workplace is critical to the overall safety of the workplace. Every First Transit employee is trained in “BeSafe” and “Safe Work Methods”, which are described later in this section.


“BeSafe” is our company-wide approach to safety management. This program takes our safety performance to the next level through behavioral change. “BeSafe” is inclusive, collaborative and focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement such as debriefs, tours, and touchpoints. All employees are trained in the principles of “BeSafe”

The “BeSafe” concept is described in the following brochure.

Near miss and hazard reporting

In the interest of keeping you, your colleagues and our passengers safe, it's your responsibility to report any near miss incidents and hazards.

Please record these in the 'Near miss and hazard reporting' pad and hand it in to the nearest supervisor / manager.



Near miss:
An event you witnessed where no harm was caused, but there was the potential to cause injury or ill health – a dangerous occurrence.

Hazard:
Anything that may cause harm in the near future.

Personal emergency details

In an emergency, please be aware of the following:

Name _____
Home Tel. No. _____
Mobile Tel. No. _____
Emergency contact No. _____

Blood type _____
Allergies _____
Medical condition(s) _____

Please inform your HR department of any medical conditions that might prevent you from doing your job safely.

Work environment

A positive, safe environment is important to our passengers, our staff and our business.


If you are concerned about anything at work, aware of a security issue or have suspicions about anything from bullying to fraud – report it.

If it is an emergency
Tell the police. Then, tell your manager.


If it is not an emergency
Tell your manager or Group Security, or use the confidential hotline or ethics portal.

Confidential hotline
UK 0808 234 5291
North America 877-322-5534
Greyhound Operations Support Center 800-487-6996
Panama 000-000-000-0000
India 000-000-000-0000

Make a report
www.ethicsfirst.ethicspoint.com



My Handbook



Be Safe What is it?

Be Safe is our Group-wide safety commitment, taking our safety performance to the next level through behavioural change.

It builds on our compliance with existing policies and safety management systems. Be Safe, whilst not ignoring unsafe acts, harnesses the power achieved where positive behaviour and habits are shown and recognised.

Be Safe is inclusive, collaborative and focuses on recognising and acknowledging safe behaviour and actions through positive reinforcement.

Be Safe Our objectives

Be Safe has three clear objectives:

1. To make progress on our way to “Zero Harm”.
2. To make safety a personal core value through behaviour change.
3. To improve business performance.

Everyone in FirstGroup takes ownership for safety in the workplace and encourages colleagues to do the same.

We have a personal stake in safety for ourselves, our colleagues and our customers.

By sharing the right attitude, skills and knowledge we will create the best safety environment to achieve our objectives and Be Safe.

Be Safe principles

These principles all support our Group value of being Dedicated to Safety.

Knowledge

Our greatest efforts will be directed at the key safety behaviours that will help reduce incidents.

Openness

Regular positive coaching interactions, or “touchpoints” will take place and communication at “debriefs” will be open and honest.

Courage

We are all empowered to accept responsibility for our own safety and the safety of our colleagues and customers. If you assess something to be unsafe, you should have the courage to stop and find a safer way of doing things.

Recognition

Whilst not ignoring actions that undermine safety, the focus will be on acknowledging colleagues “doing it right” and positively reinforcing these actions.

Learning

Reporting of incidents and near misses will be seen as learning opportunities to continuously improve work place safety.



First Transit's "**Safe Work Methods**" is designed to educate employees on how to identify conditions and actions posing risks to their well-being and that of their coworkers. This training is to be used:

1. In training new hire employees
2. In leading supervisors in identifying root causes of workplace injuries
3. In retraining injured workers so that re-occurrences are avoided
4. To supplement First Transit's First Occupational Rehabilitation Management (F.O.R.M.) light duty and return to work management program, in controlling workers compensation losses

The "Safe Work Methods" training curriculum includes:

- **New Hire Training**

New hire training is designed to educate the new employee to the hazards commonly found in the transportation environments including in vehicle maintenance shops, bus yards, fuel islands, wash bays, and office environments. The program also makes employees aware of injuries that can result from physical activities such as entering and exiting vehicles, assisting persons with disabilities, and handling mobility devices.

- PPE program including requirements for appropriate
 - Safety eyewear
 - Safety footwear
 - Safety hand wear
 - Hi-Vis vests
 - Disposal contaminated materials
- Risk Assessment and Injury Avoidance
 - Walking & Climbing
 - Lifting, Carrying, Holding, and Lowering Objects
 - Pushing, Pulling, & Twisting
 - Burns, Scalds
 - Exposed Fluids, Chemicals, Smoke
 - Cuts, Punctures, Abrasions, Lacerations
 - Mobility Device Lifts/Ramps

1. **Requirements for Operator Training**

Applicants are required to successfully complete a comprehensive training program prior to transporting passengers. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training. The Operator training program combines instructor-led sessions, video instruction, facilitated discussion, and opportunities for the trainees to practice what they have learned. Training topics include:

Classroom Training

The first part of Operator training at First Transit, classroom training, begins the process of instilling the safety culture into each Operator. Helping the student Operators understand the importance of keeping themselves and each passenger safe; and their responsibilities in maintaining a safe environment, is a theme integrated throughout.

- **Unit 1 - Introduction**

- Welcome and Introduction
- Title VI Civil Rights Act 1964
- Employee Handbook
- BeSafe - Making Safety Personal
- Hazardous Communication
- Bloodborne Pathogens



- **Unit II - Fundamentals**
 - Safe Work Methods
 - Basics of Safety
 - Managing Emergencies
 - Security Awareness
 - Map Reading
 - Communication Devices
 - Navigation and Fare Policies
 - Smith System
- **Unit III - The Operator**
 - Drug and Alcohol Awareness
 - Distracted Driving
 - Fatigue and Sleep Apnea Awareness
- **Unit IV - Transporting Passengers with Disabilities**
 - Transporting Passengers with Disabilities
 - Interacting with Passengers
 - Diffusing Conflict
 - Passenger Care While Loading and Unloading
 - Mobility Aids and Devices
- **Unit V - Driving Fundamentals**
 - Driving Fundamentals I
 - Driving Fundamentals II
 - Roadway Types
 - Railroad Crossings

Behind-the-Wheel Training

Behind-the-Wheel training is conducted in three phases. Since most people coming to work as a Bus Operator have not been exposed to driving the types of vehicle used at First Transit, the first part of behind-the-wheel training takes place on a closed course. This provides the opportunity for the Instructors to evaluate the skill levels of each employee; and gives each employee the opportunity to make and learn from their mistakes in a safe environment.

The next phase of Behind-the-Wheel training takes place on the road, but in a controlled manner. During the road phase of the training, each student Operator works one-on-one with a First Transit Instructor. The road work begins with the basics; intersections, service stops, and backing. The next advanced stage of the road work addresses roadways, highway driving, and continues the instruction on intersections and service stops. The “Smith Driving System” principles are incorporated throughout the entire Behind-the-Wheel training phase.

- **Closed Course (Group Work)**
 - Vehicle Orientation
 - Pre-Trip Inspection
 - Seat Adjustment
 - Mirror Adjustment
 - Braking, Accelerating, and Transmission
 - Wheelchair Securement
 - Reference Points
 - Lane Position
 - Right Side / Left Side
 - Backing Point
 - Forward Stop



- Pivot Points
- Turning Points
- Vehicle Control
 - Straight in Lane
 - Left Turn
 - Right Turn
 - Lane Changing - Moving Right or Left
- **One on One Instruction Behind the Wheel**
 - **Basic Road Work**
 - "Smith System"
 - Intersections
 - Service Stops
 - Backing
 - **Advanced Road Work**
 - "Smith System" Commentary Driving
 - Roadways
 - Expressway / Highway Driving
 - Intersections
 - Service Stops

- **Final Evaluation**

Upon completion of the training program, before an Operator can be placed into service, they must successfully demonstrate their mastery of the skills and practices learned during the training program.

- **Cadet Training**

Once a new Operator has been placed into service there is period of observation where an experienced Operator, Instructor, or Supervisor periodically rides-along to ensure the skills learned in training have successfully transferred to providing service. This includes the securement and transportation of a person with a disability.

2. Requirements for Maintenance Training

Maintenance personnel are trained in shop safety, OSHA standards, and vehicle maintenance, in addition to receiving training in driving techniques and safety. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training.

Maintenance training includes:

- Introduction to First Transit policies & procedures
- Injury prevention and risk assessment
- Substance Abuse Policy
- Defensive Driving
- "Smith System"
- NTI - Security Awareness Warning Signs
- Shop Safety Handbook
- Maintenance Lift Safety
- DVI Procedures
- SafeWork Methods
- Wheel Torque Specifications
- Workplace Violence
- OSHA (R-T-K / MSDS / PPE Training)



3. Requirements for Staff Training

Staff personnel are trained in Safety Leadership and “BeSafe” (described in item #1)

- **Safety Leadership**

This is an interactive CD-ROM course consisting of 5 CD’s and leaders guides which are designed to educate all levels of First Transit management on the behaviors surrounding accidents. Every level of management takes the course and successfully pass an online test, found on the Safety Resource Center (SRC), with a passing grade of 90% or better.

The course outline is as follows:

- Safety Leadership
 - Accidents
 - Behavior
 - Leadership
- Supervisor Development
 - The Role of the Supervisor
 - Communication
 - Building Trust
 - Conflict Resolution
 - Performance Management
 - Decisions

- **Additional Safety Training**

- Reasonable Suspicion
- Supervisor’s Report of Reasonable Suspicion
- Code of Conduct
- Customer Service
- OSHA Requirements
- Hazard Abatement FORM – CA Only

4. Requirements for Continuing Training and Evaluations

First Transit provides ongoing employee training and evaluations.

The objective of ongoing evaluations is met through a broad spectrum of regularly scheduled management activities including:

- road observations,
- ride along evaluations, and
- daily safety contacts.

Where evaluations and observations identify unsafe acts or conditions, retraining is provided to improve skill levels in accordance with corporate standards.

In addition to First Transit’s formal employee training program, the following safety training is also conducted.



Safety Meetings

- Twelve (12) safety meetings are issued to the locations annually with required topics identified by the location and region safety management
- Each meeting is to be a minimum of one (1) hour in length unless otherwise required by state, client or local regulations
- A required topic along with a safety campaign including posters and DVD is sent to each location for presentation to all employees
- Attendance is a condition of employment and is mandatory for all Operators, Management, Operational staff, and Maintenance personnel. *(Unless stated otherwise in the CBA.)*
 - Failure to attend all meetings will result in disciplinary actions up to and including termination.
- Client/Contract requirements may require safety meetings to be conducted on a more frequent basis than the First Transit minimum standards

Retraining

First Transit has a “zero” tolerance for preventable injuries and collisions, elimination of preventable injuries and collisions is our number one goal.

An employee involved in a preventable injury or collision is placed on administrative leave pending completion of the investigation and completion of any required retraining.

Safety Communication

Describe processes and activities to communicate safety and safety performance information throughout the organization.

Safety Awareness Programs

Establishing and maintaining a culture that demands safe behavior at all times is at the core of First Transit’s safety plan. This is done, in part, by providing a regular flow of positive information and recognizing those who are performing safely.

This is where our “**BeSafe**” program provides the structure and foundation for communicating safety messages and inspiring safe job performance at all levels. “BeSafe” takes safety to a more personal level. It is a company-wide commitment to safety, with the objective of continuous improvement by making safety a personal goal and incorporating behavioral change as a mitigation measure.

“BeSafe” focuses on positive change through routine personal “touchpoints” and coaching interactions between front-line employees and management. To reinforce the touchpoints, discussions and feedback sessions are conducted as needed.

This program inspires safe behavior among employees at all levels by;

- Generating system-wide participation in safety issues through positive reinforcement
- Encouraging all employees to “take ownership” for safety results
- Communicating safety policies, procedures and processes



- Engaging executives and managers at all levels, encouraging their active participation in safety management and communication
- Sharing safety results at the individual, project, region and national levels by celebrating success stories
 - **Individual Motivators – Individual Achievement Awards:** The “cultural carrot” to help affect individual safety improvement through the use of personal recognition awards. Currently established safety awards for First Transit employees are:
 - Annual Safe Driver Awards
 - Safety Solutions Team Recognition

The graphic features a pink header bar. Below it are three logos: 'World Class SAFETY' with a starburst, 'First Transit SAFETY GEAR' with the First Transit logo, and 'Safety Solution Team'. The main text reads 'Safety Solutions Team Recognition Packet' and 'Identify and recognize your safety team members'. It shows a blue hooded jacket labeled 'SST Members Award Jacket' and a black bag labeled 'SST Member Attaché Kit' which includes an attaché case, padfolio, and pen. Below this is a question: 'Identify your SST members ALL the time. Does your location team wonder who your SST members are? The SST Team badge is a great way to make sure your SST members stand out. Order one of these personalized badges for each team member.' Two circular badges are shown, each for 'Eric Edwards', 'Safety Solution Team', and 'Member Since 2014'. At the bottom, a pink bar contains the text: 'The Image Group is a FGA/First Transit Authorized Supplier Vendor #726135. Questions? Please call Judy Maiorana at 216.661.1011 x 2203 • www.theimagegroup.net.'

- **A Safety Leadership Group - The Safety Solution Team (SST):** Four to 10 location teammates dedicated to making safety “top-of-mind ” by identifying and resolving safety issues.
 - SST
 - Review the safety concerns they have worked on and improvements that have been implemented
 - Record and distribute SST meeting minutes
 - GM
 - Review “ Daily Safety & Health Walkthrough”
 - GM and SST
 - Recognize individuals who have earned years of safe driving
 - Pins and Certificates
 - Include bullets from SST Meeting minutes



- **A Communication Tool:** “First Transit Connect” employee app, a peer to peer safety communication tool offering safety tips, best practices, recognition, offering ideas on “What Works”, Safety Happenings, and Safety Pep Rallies

Your new employee app is here!

With the CONNECT app you can...

- ...get the latest news and info from your location
- ...keep up with what's happening nationally across First Transit
- ...give feedback, ask questions, and submit ideas

Available FREE! for iPhone and Android!
Download in the App store or Google Play

How to Get Started:

1. Go to your app store and find First Transit Connect.
2. Click *Get* or *Install* to download.
3. Open the app and register. (*Hint: Register is at bottom of screen. Your employee ID is on the right side of your paycheck or stub. You can also find it on your pay statement on the ADP self-serve website.*)
4. Once you've registered, you have access to all the features on First Transit Connect!

Download today and get connected!

Search your app store for **First Transit Connect**
or ask your manager for more information
Need More Help? Email us at FirstTransitConnect@firstgroup.com

Download on the **App Store**
GET IT ON **Google play**

Download it today!

Additional Information

Supporting Documentation

Include or reference documentation used to implement and carry out the Safety Plan that are not included elsewhere in this Plan.

Numerous standard operating procedures (SOP's), in addition to those mentioned in this plan, have been developed and incorporated into the operating practices at each First Transit location.

The SOP's have been designed to create operational consistency, increase awareness of risks and hazards, and provide easily duplicated processes for identifying and mitigating the risks associated with providing transit service. Some of those SOP's are as follows.



- High Interest Driver SOP's #206; #206a; #206b; #206c; #206d
- SOP #207 - Railroad Crossing Assessment
- SOP #502 – Sub-Contractors Working on Company Property
- Fire Prevention Plan SOP's #504; #504a; #504b; #504c; #504d
- Winter Safety – Snow Removal Action Plan SOP's #505; #505a; #505b; #505c
- Vehicle Fueling Spill Control SOP's #506; #506a; #506b; #506c; #506d
- SOP #507 - Pedestrian Visibility and Movement on Company Property
- SOP # 508 - Service Truck & Service Vehicle Visibility
- Emergency Action Plan SOP's #806; #806a; #806b; #806c; #806d
- First Transit Shop Safety Handbook
- Safety & Security Planning Manual

Definitions of Special Terms Used in the Safety Plan

Term	Definition

List of Acronyms Used in the Safety Plan

Acronym	Word or Phrase
ARC	Accident Review Committee
BTW	Behind-the-Wheel
DOT	Department of Transportation
DUI	Driving Under the Influence
DWI	Driving While Intoxicated
ESC	Executive Safety Committee
FGA	First Group America
F.O.R.M.	First Occupational Rehabilitation Management



FTA	Federal Transit Administration
HR	Human Resources
LGM	General Manager
LOTO	Lock-Out/Tag-Out
LSM	Location Safety Manager
MNT	Maintenance
OPS	Operations
OSHA	Occupational Safety & Health Administration
PPE	Personal Protective Equipment
PRM	Performance Review Management
SMS	Safety Management System
SOP	Standard Operating Procedure
SRC	Safety Resource Center
SST	Safety Solutions Team
UK	United Kingdom
VP	Vice President



Appendix A: First Transit Safety Policy

Safety Management Policy Statement

Introduction

Global in scale and local in approach, First Transit is an organization which combines a robust corporate structure with strong customer-centric, local operations. Throughout the company, our focus is conducting our business in a way that aligns with our core values:

- Committed to our customers
- Dedicated to Safety
- Supportive of Each Other
- Accountable for Performance
- Setting the Highest Standards

We believe these values to be essential components in our aim to achieve ZERO safety events, resulting in ZERO harm to our customers, our employees, our shareholders, and the environments in which we operate. First Transit's Safety Management System (SMS) encourages all First Transit employees to replace risky behaviors and thought processes that jeopardize safety in the workplace. Through the program, we are striving to build a cultural identity that is continually focused on safety. First Transit has adopted the core philosophy of, ***"Think Safe, Act Safe, BeSafe"***

Safety Management Policy

At the core of First Transit's mission is the commitment to protecting the safety and well-being of our passengers and employees. Our ***"Be Safe"*** program is the foundation of First Transit's Safety Management System (SMS) with three clear objectives:

1. To make progress on our way to "Zero Harm"
2. To make safety a personal core value through behavior change
3. To improve business performance

"Be Safe" – the driving force behind First Transit's Safety Management Policy - focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement. All employees are empowered to report unsafe acts and working conditions without fear of reprisal.



Safety Management Policy Statement

The guiding principles that drive First Transit's SMS program are:

- **Knowledge:** Our greatest efforts will be directed at the key safety behaviors that will help reduce incidents.
 - **Recognition:** While not ignoring actions that undermine safety, the focus will be on acknowledging colleagues "doing it right" and positively reinforcing these actions.
 - **Openness:** Regular positive coaching interactions, or "touchpoints" will take place and communication at "debriefs" will be open and honest.
 - **Learning:** Reporting of incidents and near misses will be seen as learning opportunities to continuously improve work place safety.
- Courage:** We are all empowered to accept responsibility for our own safety and the safety of our colleagues and customers. If you assess something to be unsafe, you should have the courage to stop and find a safer way of doing things.

Performance improvement in all aspects of First Transit's operations is based on four key elements: *Leadership and Engagement; Risk Reduction; Safety Management; and Performance Management.* Each element includes safety as a top priority.

Leadership and Engagement depends upon honest and open communication from all employees; data collection from which critical decisions are formulated that impact daily, short term, and long-term operations; resource management; and future direction of First Transit.

Risk Reduction includes our comprehensive audit and inspection regime; hazard identification and reporting; continuous training and safety campaigns; employee safety evaluation reporting programs and procedures; employee and management observation of operations; and compliance assurance of FTA, DOT, and OSHA safety and operating requirements and recommendations.

Safety Management at First Transit has many forms; including Safety Solution Teams, Accident Review Committees, Local Client Liaison Committees at each local operation; the corporate Safety Department which gathers, analyzes, and communicates the safety information throughout the organization; and enforces policies and procedures to ensure all employees are conducting their business in the safest manner possible.



Safety Management Policy Statement

Performance Management, the final key element, uses many Key Performance Indicators relating to safety to evaluate First Transit's progress toward Zero safety events. Daily reports; monthly location scorecards; the Critical Activity Record Entry program which captures and compares safety data monthly; major events calls, which alerts management in real time of safety events; and regular calls and meetings between mid-level and upper management to review safety concerns; are a sampling of the tools employed to ensure that safety is first and foremost in everything we do.

Ongoing Company-Wide Commitment

As President of First Transit, I know our commitment and passion for safety runs far deeper than the words contained in this policy statement. While our roles may vary, everyone in our organization, from the highest levels of management to the employees on the street, has a responsibility for their own safety as well as the safety of colleagues and customers; and to perform the daily tasks of providing public transportation in as safe a manner as possible.

We at First Transit depend on every member of our team to do everything possible to protect our resources and environment from harm, now and into the future. We take great pride in this responsibility and our ability to meet these expectations.

Sincerely,

Bradley A. Thomas

President

Infectious Disease Preparedness Plan for SouthWest Transit

SouthWest Transit is committed to providing a safe and healthy workplace for all our workers. To ensure that, we have developed the following Preparedness Plan in response to the COVID-19 pandemic. Managers and workers are all responsible for implementing this plan. Our goal is to mitigate the potential for transmission of COVID-19 in our workplaces, and that requires full cooperation among workers and management. Only through this cooperative effort can we establish and maintain the safety and health of our workers and workplaces.

Management and workers are responsible for implementing and complying with all aspects of this Preparedness Plan. SouthWest Transit managers and supervisors have our full support in enforcing the provisions of this policy.

Our workers are our most important assets. We are serious about safety and health and keeping our workers working at SouthWest Transit. Worker involvement is essential in developing and implementing a successful COVID-19 Preparedness Plan. We have involved our workers in this process by having meetings, responding to emails and phone calls, discussing employee and customer concerns. Plans have been developed and implemented to address their concerns. Our Preparedness Plan follows Centers for Disease Control and Prevention (CDC) and Minnesota Department of Health (MDH) guidelines and federal OSHA standards related to COVID-19 and addresses:

- hygiene and respiratory etiquette.
- engineering and administrative controls for social distancing.
- housekeeping – cleaning, disinfecting and decontamination.
- prompt identification and isolation of sick persons.
- communications and training that will be provided to managers and workers; and
- management and supervision necessary to ensure effective implementation of the plan.

Employee Screening

Workers have been informed of and encouraged to self-monitor for signs and symptoms of COVID-19. The following policies and procedures are being implemented to assess workers' health status prior to entering the workplace and for workers to report when they are sick or experiencing symptoms.

- A health screening will take place when the employee arrives to work.
 - The screening will include taking temperature of the employee prior to the start of their shift. No one with a temp at or above 100°F can enter the facility. Employees must enter through the main entrance and use the temperature scanning kiosk prior to entering the building.

- Employees will be questioned on any signs and symptoms they may have. If an employee shows any signs or symptoms, they will be sent home to follow up with their medical provider.
- Employees are eligible to return to work 72 hours after signs and symptoms subside and after completing a COVID – 19 test.
- Employees will keep in touch with their direct supervisor by phone with their status.
- SouthWest Transit has implemented leave policies that promote workers staying at home when they are sick, when household members are sick, or when required by a health care provider to isolate or quarantine themselves or a member of their household.
- If an employee is deemed to have contracted COVID -19, SouthWest Transit will use tracing to inform employees who have had direct contact with the employee.
 - Employees who have had close contact (within 6 feet for a total of 15 minutes or more) with someone with confirmed COVID – 19, will be asked to isolate and get tested. They may return to work following a negative test.
 - If an employee believes that they have been in contact with someone testing positive for COVID-19 or someone having symptoms consistent with COVID-19 (stay home, contact your supervisor for direction)
 - If an employee tests positive for COVID-19 prior to returning to work an employee must be symptom free for 72 hours and have a negative test result.
- If an employee spends 24 hours or more in another state SWT requires an employee to test for COVID-19 before returning to work.
- When completing a test, the employee must select the first available time, even if it is not the closest location. When going to take a test make sure to inform the tester that you are a transit employee, this will make sure that your test is prioritized. All test results must come back to HR (Adam) before an employee can return to work.
- In addition, a policy has been implemented to protect the privacy of workers' health status and health information, including prework health screening and temperature taking. SouthWest Transit is dedicated to the privacy of all employee's health information. No sharing of a worker's health status or information is allowed. SouthWest Transit adheres to all HIPAA privacy rules.

Handwashing

Basic infection prevention measures are always being implemented at our workplaces. Workers are instructed to wash their hands for at least 20 seconds with soap and water frequently throughout the day, but especially at the beginning and end of their shift, prior to any mealtimes and after using the toilet. All visitors to the facility will be required to wash their hands prior to or immediately upon entering the facility. Some workplaces may have hand-sanitizer dispensers (that use sanitizers of greater than 60% alcohol) that can be used for hand hygiene in place of soap and water, as long as hands are not visibly soiled. All staff monitors handwashing/sanitizing station throughout the day for cleanliness and to ensure supplies are in place and will inform Facility Staff if supplies are needed.

Respiratory etiquette:

Southwest Transit requires masks while in all SWT facilities and vehicles.

- Employees must wear masks while in SWT vehicles occupied by more than one individual.
- If an employee is using the SWT Work-out Facility, they must wear a mask if occupied by more than one individual.
- Masks must be worn while in the building if working closer than 20 feet from another employee.
- If an employee is working alone in an office, masks do not need to be worn.

Social distancing

Social distancing is being implemented in the workplace through the following engineering and administrative controls: Employees that must work at a facility or in a vehicle will practice social distancing by keeping 6 feet of distance from other employees or passengers, wear a mask, move office locations to prevent the sharing of space, limit number of staff in vehicles, use barrier devices to separate, prevent passengers from sitting in front rows of vehicles, provide solo trips with our on demand service, and stagger driver shifts to limit exposure. Employees have been provided masks, gloves, and disinfectants to keep their workspace clean and disinfected. Workers and visitors are prohibited from gathering in groups and confined areas, including elevators, and from using other workers' personal protective equipment, phones, computer equipment, desks, cubicles, workstations, offices or other personal work tools and equipment. The lunchroom, work out room, and the basketball court are key areas employees must maintain social distancing and respiratory etiquette.

Housekeeping

Regular housekeeping practices are being implemented, including routine cleaning and disinfecting of work surfaces, equipment, tools and machinery, and areas in the work environment, including restrooms, break rooms, lunchrooms, meeting rooms and vehicles. Frequent cleaning and disinfecting will be conducted in high-touch areas, such as phones, keyboards, touch screens, controls, door handles, elevator panels, railings, copy machines, fare collection equipment and handrails, etc. Facility Maintenance is responsible for cleaning the facilities and vehicles. Staff has an electrostatic disinfecting sprayer in combination with VSS130 Disinfectant/Sanitizer solution to assist with decontamination of the facilities and vehicles. Staff also uses Clorox wipes and Lysol disinfectant spray. Vehicles are surface cleaned on high touch areas at the start of each shift, after each run, and at the end of shift by driver. Vehicles are deep cleaned by Facility Staff at the end of each day. Facilities are surface cleaned mid-day after morning rush and deep cleaned at the end of each day. Hours of staff have been adjusted to provide a period of cleaning between shifts, to ensure that workers beginning their day, have a safe clean area to work.

If a worker is diagnosed with COVID-19, staff will take the following actions:

- Close off areas used by the person who is sick.
- Open outside doors and windows and use ventilating fans to increase air circulation in the area.
- Wait 24 hours before cleaning or disinfecting. If 24 hours is not feasible, wait as long as possible.
- Clean and disinfect all areas used by the person who is sick, such as offices, bathrooms, common areas, shared electronic equipment like tablets, touch screens, keyboards, and remote controls.
- Once area has been appropriately disinfected, it can be opened for use.
- Workers without close contact with the person who is sick can return to work immediately after disinfection.
- If more than 7 days since the person who is sick visited or used the facility, additional cleaning and disinfection is not necessary.
- Continue routine cleaning and disinfection.

Stock of PPE will be monitored to ensure SWT has enough in stock to make sure that we can get more in. Monthly inventory will be taken to monitor usage and restock levels.

Working from Home/ Remote Working Policy

Due to the nature of this organization, SouthWest Transit does not normally offer the opportunity to have a work from home schedule. This stems from the fact that we have an all hands on deck philosophy, and many of our positions are needed on site throughout the day. We also want to encourage a culture of teamwork and communication, that can be lost when employees work remotely.

During this pandemic, the need to have some employees work from home may arise and will be determined by the CEO. In the event that SWT requires an employee to work from home, the employee will be required to fill out a remote working agreement. The remote working agreement ensures that all employees and supervisors know the expectations that come with working from home.

Time Off

Due to the nature of COVID-19 the Cares Act allows employees up to 12 days of paid leave it due to COVID-19. Once the use of this time off is used up PTO will have to be used.

If an employee voluntarily puts themselves in a position that they need to be tested (I.E. an extended period of time outside the state), they will need to use PTO until they are able to come back to work.

An employee may go into negative into PTO with CEO approval.

Communications and training

This Preparedness Plan was communicated via email and printed copy to all workers on 10/30/20 and necessary training was provided. Additional communication and training will be ongoing via on-site and remote meetings and provided to all workers who did not receive the initial training. Managers and

supervisors are to monitor how effective the program has been implemented by conducting spot checks and reviewing cleaning logs. Management and workers are to work through this new program together and update the training as necessary. This Preparedness Plan has been certified by SouthWest Transit management and was posted throughout the workplace on 10/30/20. It will be updated, as necessary.

New Business



SOUTHWEST TRANSIT

MEMORANDUM

To: SouthWest Transit Commission
From: Matt Fyten, Interim CEO/COO
Date: September 9, 2022
Subject: CEO Search

REQUESTED ACTION:

None. For discussion purposes only.

BUDGET IMPACT:

None

BACKGROUND:

An update will be provided to the Commission on the status of negotiations and immigration with CEO candidate Wardrop when the Commission meets.

RECOMMENDATION:

None. For discussion purposes only.



SOUTHWEST TRANSIT

MEMORANDUM

To: SouthWest Transit Commission
From: Mike Huang, Chair
Date: September 15, 2022
Subject: Interim CEO Appointment Extension

REQUESTED ACTION:

To be recommended at the September 22, 2022, meeting.

BUDGET IMPACT

Likely minimal.

BACKGROUND:

To accommodate the continued transition to a new CEO, an extension of the current interim CEO's appointment will likely be requested to allow for continuity of leadership. Terms are still being discussed, and a proposal is anticipated to be ready by the time of the meeting.

RECOMMENDATION

To be recommended at the September 22, 2022, meeting.



SOUTHWEST TRANSIT

MEMORANDUM

To: SouthWest Transit Commission

From: Matt Fyten, Interim CEO/COO

Date: September 9, 2022

Subject: Clean Energy Investment Grade Audit Project

REQUESTED ACTION:

That the SouthWest Transit (SWT) Commission authorize its Interim CEO to enter into an agreement with McKinstry Essention, LLC for an amount not to exceed \$96,000 for completion of an Investment Grade Audit Project.

BUDGET IMPACT:

The total cost of the Investment Grade Audit is \$121,000. Assuming SWT receives its Congressionally Directed Spending Request from the U.S. Department of Energy (\$1,996,000), the cost will eventually be part of SWT's Local Match requirement (\$1,996,000), which will be included in the agency's 2023 Budget.

In the unlikely scenario that the Commission does not receive its Congressionally Directed spending request, the Investment Grade Audit fee would be paid using agency reserves.

Due to timeliness and a need to stay on schedule so that the total project funds are expended as expected by the end of the 2023 Federal Fiscal Year, the Interim CEO entered into an agreement with McKinstry Essention, LLC for an amount not to exceed \$25,000 on 8/29/22 to allow for the audit work to commence prior to the Commission's September meeting. The remaining \$96,000 for the audit is what is being requested with this action.

BACKGROUND:

As the Commission was informed in August, SWT's Multi-City/County Clean Energy Demonstration Project Application for Congressionally Directed Spending has been included in the House Appropriations Energy and Water Development Subcommittee's list of projects to receive funding through the Department of Energy's Budget. The proposed project will install solar arrays on the roof of the Eden Prairie Garage and the top level of the SouthWest Station ramp, as well as install EV charging stations the Eden Prairie Garage, SouthWest Station, SouthWest Village, and East Creek Station.

In order to make the project "shovel-ready" (a key component to receiving the funding), an Investment Grade Audit needs to be conducted to evaluate, develop, specify and price the various project components needed to bring the project to completion. Completion of the audit will allow the Commission to move on bidding the project as soon as possible once the Federal Budget is signed by the President, making the funding available.

Staff is recommending McKinstry Essention, LLC to complete the audit as it is one of the few firms (if not the only firm) in MN that has experience is navigating this process in addition to having all the needed expertise in house to complete such an audit involving such highly specialized fields.

RECOMMENDATION:

That the SouthWest Transit (SWT) Commission authorize its Interim CEO to enter into an agreement with McKinstry Essention, LLC for an amount not to exceed \$96,000 for completion of an Investment Grade Audit Project.

Legislative Update

Updates

Updates September 2022

Operations & Planning Update

MVST Update – MVST saw a significant rebound in MVST up 6.3% compared to July, making August the highest grossing MVST so far in 2022. Compared to 2021, MVST receipts are only down 1% after August.

State Fair – Over our eight days of service we provided 68,551 rides. This is more than double what we provided last year when we operated all 12 days. For further context, over the same eight days in 2019 we provided 88,948 rides – meaning this year we provided about 77% of 2019 ridership. So there's certainly still room for ridership growth, but overall this year's State Fair services were a definite success and a big step in the right direction.

Staff has already met to debrief about the service and how it can be improved for next year. Planning begins in earnest starting end of Q1 2023.

PRIME Update – SW Prime services continue to grow, now averaging well over 400 rides/day. An additional vehicle was added to the service as part of our service change on September 6th. The Prime Edge service has seen a significant increase in ridership due to Normandale Community College and Hennepin Technical College start their respective school years. Staff is currently looking into options to add an additional vehicle to the service as wait times are becoming longer than normal (greater than 20 mins. on average) due to the increased demand. Unfortunately, Prime vehicle resources are limited (more vehicles scheduled to arrive in 2023), but one additional vehicle should be doable.

Express Service Change Update – The Commission's approved September 6th service change went into effect, which reduced the amount of express services offered due to lower than acceptable ridership. While always hard to reduce services, the service change appears to have had the intended impact as ridership so far in September is up over 20% compared to August, meaning the buses are seeing more "normal" pre-COVID type loads of 20 or 30+ passengers per trip. Most of the ridership growth is due to the U of M going back into session, but we have seen slight increases in Downtown ridership as well. Staff will continue to monitor ridership patterns closely and add service ASAP to address periods/locations of high ridership/demand. All told, the trendline is positive for express services.

Gophers/Vikings Service – As has been the case for several years, SWT will offer service to home Gopher Football and Vikings games from Chaska, Chanhassen, and Eden Prairie. The service will continue to be \$5 round trip. Service was provided to the Sept. 1st Gopher game, garnering over 65 riders.

Vikings service is a little unique this year in that we will only be providing service to seven of the nine scheduled home games at US Bank Stadium. The reason for this is that two of the home games fall on holidays – Thanksgiving and Christmas Eve. Vikings service started with the Vikings' first home game against the Packers. Staff will provide ridership updates to the Commission at the meeting.

IT Updates

Cellular Router Upgrade – This project was completed before the start of the state fair. These new 5G routers will provide the fleet with the bandwidth needed to connect more bus systems including live camera views.

Network Infrastructure and Backup Project – The new hardware has been installed and staff is working with our contractor to configure the new equipment. We will have added storage capabilities as well as added network and backup security after this project is complete.

Facilities updates

The facilities department has completed clean up following the State Fair and is back to performing repairs and beautifying our facilities. Facilities management has been working with several contractors to complete ongoing projects.

The roofing project is finally nearing total completion, the SouthWest Station Ramp PM is nearly completed. The garage parking lot is currently being sealed and crack filled.

Vehicle Maintenance updates

The maintenance team is working hard to complete PM's and cold weather services, the cold weather will soon be upon us. Everyone is happy for another successful State Fair, the maintenance team is currently out servicing our old State Fair fleet for auction, some of these buses are reaching twenty years old.

Administration

Human Resources

We processed our first hire from District 287. District 287 serves unique learners of 11-member school districts in the West Metro. The collaboration between SWT and District 287 had been on pause due to Covid-19. Our new hire will be helping in the maintenance department and will gain valuable work skills to help him thrive in life. We are so proud of this collaboration, and we look forward to adding more students to the program.

Finance

2023 Budget – Staff is currently in the process of developing the agency's 2023 operating and capital budget. We will be taking another conservative budget/operating approach to 2023. With the phase 3 COVID funding assistance that we received from the federal government, MVST has performed above the projections, and our farebox revenue has slightly increase, our 2023 budget revenue lines will be stable.

We anticipate bringing forward a draft 2023 budget for Commission to review during the October meeting. In November, staff will review and refine the budget with the Budget and Personnel Committee and after that, we will bring back the final budget for approval at the Commission's December meeting.

Marketing

Our Marketing team has been busy attending various events across all our cities. From car shows to the brew fest, the team has been spreading the word related to ride services, fares, and soliciting feedback from the community. Social media interaction has increased, and posts have gained in popularity. Specifically, our rider care supervisor has garnered a strong social media following. We are currently researching the opportunity and risks associated with Tik Tok and Snapchat and whether those two support our marketing strategy.