

SOUTHWEST TRANSIT COMMISSION AGENDA

Thursday, December 9, 2021

Commission Dinner – 5:45pm-6:30pm

Commission Meeting – 6:30 pm

**Meeting In Person at the Garage/Administrative Service Facility
Training Room**

TENTATIVE AGENDA

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
Bob Roepke – City of Chaska
Mark Freiberg – City of Eden Prairie
Jody Bonnevier - At-Large Commissioner
Joy McKnight– Ex Officio City of Carver

GENERAL COUNSEL

Joshua Dorothy - Attorney

EXECUTIVE STAFF

Len Simich - Chief Executive Officer
Matt Fyten – Chief Operating Officer
Tony Kuykendall – Maintenance Director
Souriyong Souriya – Finance Director
Al Halaas – First Transit Director/GM
Daniel LeGuen-Schmidt – HR Manager

COMMISSION MEETING AGENDA

**Commission Meeting Starts at upon the conclusion of the end of year dinner.
Approximately 6:30pm**

- I. PUBLIC COMMENT**
- II. APPROVAL OF AGENDA**
- III. PAYMENT OF CLAIMS (Rollcall Vote)**
- IV. CONSENT**
 - A. Approval of Minutes of October Commission Meeting**
 - B. Approval of Financial Statements**
 - C. Expiring Commission Terms**
 - D. 2022 Meeting Calendar**
 - E. Ridership Report**
 - F. Data Practices Policies**

G. Safety Plan Updates

H. 2021 Agency Performance/Goals

V. NEW BUSINESS

A. 2021 Budget Amendment and 2022 Agency Operating and Capital Budget

B. 2022 Officers and Task Force Members

C. 2022 Legislative Priorities

D. SouthWest Village Deed Restriction Buy-Out/Release

E. 2021 Commission Awards

F. Strategic Plan

VI. UPDATES

VII. ADJOURNMENT

Note: After adjournment of the meeting, members of the SouthWest Transit Commission and staff will retire to the Fireplace Board room for refreshments.

Payment of Claims

SouthWest Transit
10/22/2021 Thru 11/29/2021

Meeting Date: 12/9/2021

Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
8626	AMERICAN LEAK DETECTION	Service Call	10/22/2021	\$ 600.00
8627	COMCAST BUSINESS - CABLE	SWS CABLE SERVICE	10/22/2021	\$ 364.05
8628	GRAINGER	Building Supplies	10/22/2021	\$ 610.63
8629	HOGLUND BUS COMPANY	Fleet Parts	10/22/2021	\$ 273.19
8630	MARK FREIBERG	APTA Conference	10/22/2021	\$ 306.79
8631	MENARDS	Building Supplies	10/22/2021	\$ 94.98
8631	MENARDS	Building Supplies	10/22/2021	\$ 59.80
8631	MENARDS	Building Supplies	10/22/2021	\$ 283.26
8632	MINUTEMAN PRESS	Printing Service	10/22/2021	\$ 150.81
8633	MVEC, MINNESOTA VALLEY ELECTRIC COOP	SWV ELECTRIC	10/22/2021	\$ 1,951.37
8634	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	10/22/2021	\$ 130.31
8634	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	10/22/2021	\$ 24.98
8635	KORY SIMICH	Uniform Reimbursement	10/22/2021	\$ 53.98
8636	SYNCB AMAZON	Building Supplies	10/22/2021	\$ 110.00
8637	TWIN CITIES TRANSPORT & RECOVER	Towing	10/22/2021	\$ 200.00
8638	WALKER CONSULTANTS	Bus Garage Roof Project	10/22/2021	\$ 3,787.50
8638	WALKER CONSULTANTS	Bus Garage Roof Project	10/22/2021	\$ 1,040.00
8639	WESTERN SPECIALTY CONTRACTORS	ECS Ramp PM	10/22/2021	\$ 3,500.00
8640	SRF CONSULTING GROUP INC.	Prof Services - Asset Mgmt	10/28/2021	\$ 2,257.51
8641	ABC BUS COMPANIES	Fleet Parts	10/28/2021	\$ 4,400.00
8642	ALLDATA	Vehicle Supplies	10/28/2021	\$ 1,500.00
8643	ALLSTATE PETERBILT	Fleet Parts	10/28/2021	\$ 33.84
8644	BATTERIES PLUS	Vehicle Supplies	10/28/2021	\$ 12.95
8645	C & J BUS REPAIR, INC.	Fleet Parts	10/28/2021	\$ 3,596.11
8645	C & J BUS REPAIR, INC.	Fleet Parts Credit	10/28/2021	\$ (231.00)
8646	HAY DOBBS	SWV Site Development Studies	10/28/2021	\$ 10,952.99
8647	FAIRCHILD EQUIPMENT	Fleet Parts	10/28/2021	\$ 212.47
8647	FAIRCHILD EQUIPMENT	Credit Memo	10/28/2021	\$ (132.80)
8648	FIDELITY SECURITY LIFE INSURANCE CO.	Vision Insurance	10/28/2021	\$ 159.58
8649	FREEWHEEL BIKE - EVENTS	SW Bike Rental Tune Ups	10/28/2021	\$ 257.03
8650	HOME DEPOT CREDIT SERVICES	Building Supplies	10/28/2021	\$ 338.90
8651	IHEART MEDIA	Advertising Service	10/28/2021	\$ 4,305.00
8652	INTERSTATE POWER SYSTEM, INC.	Service Call - Vehicle Repair	10/28/2021	\$ 2,194.00
8653	LANO EQUIPMENT, INC.	Fleet Parts	10/28/2021	\$ 144.47
8654	MENARDS	Building Supplies	10/28/2021	\$ 152.14
8655	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	10/28/2021	\$ 127.79
8655	O'REILLY AUTOMOTIVE, INC.	Shop Supplies	10/28/2021	\$ 15.99
8656	PRIORITY COURIER EXPERTS	Courier Service	10/28/2021	\$ 28.27
8657	ROYAL TIRE INC.	Tires	10/28/2021	\$ 6,641.36
8657	ROYAL TIRE INC.	Vehicle Parts	10/28/2021	\$ 17.00
8658	SYNCB AMAZON	Vehicle Supplies	10/28/2021	\$ 58.99
8658	SYNCB AMAZON	Building Supplies	10/28/2021	\$ 153.52
8659	THE AFTERMARKET PARTS COMPANY	Fleet Parts	10/28/2021	\$ 571.67
8660	UNIFIRST CORPORATION	Drivers Uniforms	10/28/2021	\$ 373.61
8660	UNIFIRST CORPORATION	Uniforms	10/28/2021	\$ 76.90
8661	WAYTEK INC.	Fleet Parts	10/28/2021	\$ 89.31
8662	ALLSTATE PETERBILT	Fleet Parts	11/2/2021	\$ 589.68
8663	AMERICAN PLANNING ASSOCIATION	APA MEMBERSHIP	11/2/2021	\$ 558.00
8664	BACHMANS EDEN PRAIRIE	Landscape Supplies	11/2/2021	\$ 148.99
8665	CARVER COUNTY	Fiber internet CTS	11/2/2021	\$ 1,080.00
8666	COMCAST BUSINESS - CABLE	SWS CABLE SERVICE	11/2/2021	\$ 354.61
8667	FRANZ REPROGRAPHICS	Monthly Project Fee	11/2/2021	\$ 100.00

SouthWest Transit

10/22/2021 Thru 11/29/2021

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Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
8668	LUBE-TECH & PARTNERS, LLC	Vehicle Supplies	11/2/2021	\$ 3,176.82
8669	MENARDS	Building Supplies	11/2/2021	\$ 26.23
8669	MENARDS	Building Supplies	11/2/2021	\$ 21.66
8670	MERIDIAN ZERO DEGREES	Temp Kiosk Repair	11/2/2021	\$ 295.00
8671	NICHOLAS PETERS	N PETERS 10/29 PAYROLL REISSUE	11/2/2021	\$ 1,087.20
8672	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	11/2/2021	\$ 109.10
8672	O'REILLY AUTOMOTIVE, INC.	Shop Supplies	11/2/2021	\$ 59.97
8673	OSI ENVIRONMENTAL, INC.	Used Oil Disposal	11/2/2021	\$ 150.00
8674	PPG ARCHITECTURAL FINISHES	Building Supplies	11/2/2021	\$ 1,179.06
8675	REGENTS OF THE UNIVERSITY OF MINNESOTA	Bus Parking - Gopher Games	11/2/2021	\$ 6,000.00
8676	ROYAL TIRE INC.	Tire Disposal	11/2/2021	\$ 31.00
8676	ROYAL TIRE INC.	Tires	11/2/2021	\$ 634.49
8677	RSM US PRODUCT SALES LLC	IT Managed Services	11/2/2021	\$ 30.00
8678	KORY SIMICH	Meeting Reimbursement	11/2/2021	\$ 80.00
8679	SYNCB AMAZON	Office Supplies	11/2/2021	\$ 38.45
8680	THE AFTERMARKET PARTS COMPANY	Fleet Parts	11/2/2021	\$ 1,428.11
8681	UNIFIRST CORPORATION	Uniforms	11/2/2021	\$ 79.92
8682	A TO Z RENTAL CENTER	Rental Equipment	11/8/2021	\$ 54.40
8683	AMERICAN PLANNING ASSOCIATION	Membership Dues	11/8/2021	\$ 327.00
8684	AMITY GRAPHICS	Printing Service	11/8/2021	\$ 95.00
8685	BATTERIES PLUS	Fleet Parts	11/8/2021	\$ 357.90
8686	CENTERPOINT ENERGY	EPG GAS BILL	11/8/2021	\$ 663.25
8687	CENTURYLINK	SWV PHONE BILL	11/8/2021	\$ 124.88
8688	CENTURYLINK	ECS Phone Bill	11/8/2021	\$ 467.82
8689	CITY OF CHASKA UTILITY BILLING	ECS ELECTRIC	11/8/2021	\$ 1,786.95
8690	CITY OF EDEN PRAIRIE	EPG WATER BILL	11/8/2021	\$ 1,476.18
8691	CITY OF MINNEAPOLIS FINANCE DE	Bus Park out	11/8/2021	\$ 251.00
8692	COMCAST BUSINESS - CABLE	SWS CABLE SERVICE	11/8/2021	\$ 426.77
8693	FACTORY MOTOR PARTS COMPANY	Fleet Parts / Shop Supplies	11/8/2021	\$ 148.31
8694	FEDEX	Shipping	11/8/2021	\$ 26.16
8694	FEDEX	SHIPPING CHARGES	11/8/2021	\$ 23.18
8695	GOVERNMENT FINANCE OFFICERS ASSOCIATION	GFOA Membership Renewal	11/8/2021	\$ 159.00
8696	JOHN HAGGENMILLER	Reimbursement and Mileage	11/8/2021	\$ 424.55
8697	HEALTHPARTNERS INC.	Covid Test	11/8/2021	\$ 115.00
8698	LEAGUE MN CITIES INS. TRUST	Prepaid Ins 1st Installment	11/8/2021	\$ 154,592.00
8698	LEAGUE MN CITIES INS. TRUST	Prepaid Worker's Comp	11/8/2021	\$ 75,354.00
8699	LIFE INSURANCE COMPANY OF NORTH AMERICA	LTD & Life Insurance	11/8/2021	\$ 1,176.86
8700	LOCAL GOVERNMENT INFORMATION SYSTEMS	FINANCE SOFTWARE LEASE	11/8/2021	\$ 1,423.00
8701	LUBE-TECH & PARTNERS, LLC	Vehicle Supplies	11/8/2021	\$ 2,801.96
8702	MEDIACOM	Internet & Cable Service	11/8/2021	\$ 374.89
8703	MENARDS	Building Supplies	11/8/2021	\$ 4.99
8704	MICRO CENTER	Office Supplies	11/8/2021	\$ 37.40
8705	MVEC, MINNESOTA VALLEY ELECTRIC COOP	SWV ELECTRIC	11/8/2021	\$ 1,528.20
8706	NCPERS MINNESOTA	Life Insurance	11/8/2021	\$ 64.00
8707	OCCUPATIONAL MEDICINE CONSULTS	Drug Testing	11/8/2021	\$ 120.00
8708	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	11/8/2021	\$ 765.60
8708	O'REILLY AUTOMOTIVE, INC.	Shop Supplies	11/8/2021	\$ 22.78
8709	PITNEY BOWES INC	Postal machine lease	11/8/2021	\$ 543.30
8710	PREVOST CAR INC.	Fleet Parts	11/8/2021	\$ 77.44
8711	REPUBLIC SERVICES #894	Trash Service	11/8/2021	\$ 15.59
8712	ROYAL TIRE INC.	Vehicle Repair	11/8/2021	\$ 29.70
8713	S&P GLOBAL MARKET INTELLIGENCE	Annual Maint. for GMEI/LEI records	11/8/2021	\$ 91.00

SouthWest Transit
10/22/2021 Thru 11/29/2021

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Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
8714	SPORTWORKS NORTHWEST, INC.	Fleet Parts	11/8/2021	\$ 88.00
8715	THE AFTERMARKET PARTS COMPANY	Fleet Parts	11/8/2021	\$ 752.92
8716	T-MOBILE	Software Maint. Contract - Bus WIFI	11/8/2021	\$ 596.24
8717	U.S. BANK EQUIPMENT FINANCE	Copier Lease	11/8/2021	\$ 388.20
8718	UNIFIRST CORPORATION	Drivers Uniforms	11/8/2021	\$ 813.88
8718	UNIFIRST CORPORATION	Uniforms	11/8/2021	\$ 76.90
8719	WAYTEK INC.	Fleet Parts	11/8/2021	\$ 89.31
8720	WEX BANK	FUEL	11/8/2021	\$ 235.04
8721	WINTHROP & WEINSTINE, PA	LEGISLATIVE SERVICE	11/8/2021	\$ 4,000.00
8722	XCEL ENERGY	CTS ELECTRIC	11/8/2021	\$ 1,013.93
8723	SRF CONSULTING GROUP INC.	PROFESSIONAL SERVICE-ASSET MGMT	11/16/2021	\$ 3,180.58
8724	ABC BUS COMPANIES	Fleet Parts	11/16/2021	\$ 1,186.16
8725	ALLSTATE PETERBILT	Fleet Parts	11/16/2021	\$ 1,775.13
8726	AMITY GRAPHICS	Printed Brouchures	11/16/2021	\$ 296.48
8727	BEST VERSION MEDIA	Advertising	11/16/2021	\$ 990.91
8728	BIG-D CONSTRUCTION MIDWEST LLC	Stairwell Repair SWV Ramp	11/16/2021	\$ 720.00
8729	BOYER FORD TRUCKS-PARTS DIST	Fleet Parts	11/16/2021	\$ 148.56
8730	C & J BUS REPAIR, INC.	Fleet Parts	11/16/2021	\$ 8,848.66
8731	CAPITAL ONE TRADE CREDIT	Supplies	11/16/2021	\$ 447.97
8732	CENTERPOINT ENERGY	ECS GAS BILL	11/16/2021	\$ 115.78
8733	CENTURYLINK	CTS PHONE BILL	11/16/2021	\$ 62.06
8734	JON CHRISTENSON	APTA CONFERENCE	11/16/2021	\$ 89.75
8735	CITY OF MINNEAPOLIS FINANCE DE	Bus Park out	11/16/2021	\$ 309.00
8736	COMCAST BUSINESS - CABLE	SWS CABLE SERVICE	11/16/2021	\$ 728.10
8737	CUSTOM COMMUNICATIONS INC.	Alarm Monitoring	11/16/2021	\$ 1,627.50
8738	DANIEL LE GUEN-SCHMIDT	APTA CONFERENCE	11/16/2021	\$ 356.11
8739	MICHAEL DARTT	APTA CONFERENCE	11/16/2021	\$ 187.48
8740	FIRST TRANSIT, INC.	Operation Service	11/16/2021	\$ 295,338.86
8741	MATTHEW FYTEN	APTA CONFERENCE	11/16/2021	\$ 652.78
8742	GRAINGER	Building Supplies	11/16/2021	\$ 126.44
8743	GREGERSON, ROSOW, JOHNSON & NILAN, LTD	Legal Fees	11/16/2021	\$ 3,033.46
8744	HENNEPIN COUNTY AR	RADIO SERVICE FEE	11/16/2021	\$ 327.04
8745	HOGLUND BODY & EQUIPMENT, INC.	Vehicle Parts	11/16/2021	\$ 4,892.32
8746	INDIGO SIGNWORKS	Sign Repair	11/16/2021	\$ 334.50
8746	INDIGO SIGNWORKS	Signs for Facilities	11/16/2021	\$ 198.00
8747	INTERSTATE POWER SYSTEM, INC.	Annual Genset Inspections	11/16/2021	\$ 878.00
8748	KYLE JACKELS	APTA CONFERENCE	11/16/2021	\$ 148.02
8749	DAVE JACOBSON	APTA CONFERENCE	11/16/2021	\$ 754.26
8750	TONY KUYKENDALL	APTA CONFERENCE	11/16/2021	\$ 358.84
8751	LHB INC.	SUSTAINABLE ACTION PLAN	11/16/2021	\$ 3,802.75
8752	MARK FREIBERG	APTA CONFERENCE	11/16/2021	\$ 468.13
8753	JERRY MCDONALD	APTA CONFERENCE	11/16/2021	\$ 326.80
8754	MIKE HUANG	APTA CONFERENCE	11/16/2021	\$ 756.43
8755	MINUTEMAN PRESS	Printing Service	11/16/2021	\$ 885.00
8755	MINUTEMAN PRESS	Printing Service	11/16/2021	\$ 365.00
8756	MINUTEMAN PRESS	Printing Service	11/16/2021	\$ 145.00
8757	NAGEL COMPANIES LLC	Garage Resurface Project	11/16/2021	\$ 2,400.00
8758	NAPA AUTO PARTS	Fleet Parts	11/16/2021	\$ 432.74
8758	NAPA AUTO PARTS	Fleet Parts Credit	11/16/2021	\$ (557.93)
8758	NAPA AUTO PARTS	Shop Supplies	11/16/2021	\$ 3.98
8758	NAPA AUTO PARTS	Vehicle Parts	11/16/2021	\$ 149.00
8759	NS CORPORATION	Bus Wash Parts	11/16/2021	\$ 435.27

SouthWest Transit
10/22/2021 Thru 11/29/2021

Meeting Date: 12/9/2021

Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
8760	OFFICE DEPOT	Office Supplies	11/16/2021	\$ 55.80
8760	OFFICE DEPOT	Office Supplies	11/16/2021	\$ 8.79
8761	O'REILLY AUTOMOTIVE, INC.	Fleet Parts	11/16/2021	\$ 1,602.77
8762	PAMELA SPERA	Reimbursement for Missed Ride	11/16/2021	\$ 24.99
8763	PAUL'S TWO-WAY RADIO REPAIR	Fleet Parts	11/16/2021	\$ 459.50
8764	PREVOST CAR INC.	Fleet Parts	11/16/2021	\$ 390.19
8765	PRIORITY COURIER EXPERTS	Shipping	11/16/2021	\$ 35.54
8766	RSM US PRODUCT SALES LLC	IT MSP SEP 2021	11/16/2021	\$ 1,386.00
8766	RSM US PRODUCT SALES LLC	O365 Subscriptions	11/16/2021	\$ 716.00
8767	SCHINDLER ELEVATOR CORP.	Elevator Inspection	11/16/2021	\$ 2,528.88
8768	SCHLOMKA SERVICES LLC	Service Call - Garage Drain Cleaning	11/16/2021	\$ 1,125.00
8769	KORY SIMICH	APTA CONFERENCE	11/16/2021	\$ 129.64
8769	KORY SIMICH	ONH VENDING INVENTORY	11/16/2021	\$ 411.08
8770	MICHAEL SIMICH	APTA CONFERENCE	11/16/2021	\$ 363.42
8771	SOCIAL INDOOR	Social Indoor Advertising	11/16/2021	\$ 4,500.00
8772	SUBURBAN CHEVROLET	Fleet Parts	11/16/2021	\$ 697.55
8772	SUBURBAN CHEVROLET	Fleet Parts Credit	11/16/2021	\$ (400.12)
8773	SYNCB AMAZON	Software Supplies	11/16/2021	\$ 32.99
8773	SYNCB AMAZON	Building Supplies	11/16/2021	\$ 26.97
8774	TASC	FSA/HSA Admin Fees	11/16/2021	\$ 23.50
8774	TASC	FSA/HSA Admin Fees	11/16/2021	\$ 356.32
8775	THE AFTERMARKET PARTS COMPANY	Fleet Parts	11/16/2021	\$ 1,296.24
8775	THE AFTERMARKET PARTS COMPANY	Fleet Parts Credit	11/16/2021	\$ (549.28)
8776	TWIN CITY GARAGE DOOR CO.	Garage Door Repair	11/16/2021	\$ 263.00
8777	U.S. BANK EQUIPMENT FINANCE	Copier Lease	11/16/2021	\$ 148.00
8778	UNIFIRST CORPORATION	Drivers Uniforms	11/16/2021	\$ 401.90
8778	UNIFIRST CORPORATION	Uniforms	11/16/2021	\$ 76.90
8779	VERIZON WIRELESS	Wireless Phone	11/16/2021	\$ 105.03
8780	WALSER CHRYSLER JEEP DODGE	Fleet Parts	11/16/2021	\$ 51.64
8781	ANNA WONG	SHOE REIMBURSEMENT	11/16/2021	\$ 43.19
8782	XCEL ENERGY	SWS ELECTRIC	11/16/2021	\$ 1,533.59
8783	ZAHL PETROLEUM MAINTENANCE CO.	Fuel Antimicrobial Testing	11/16/2021	\$ 275.00
8783	ZAHL PETROLEUM MAINTENANCE CO.	Vehicle Supplies	11/16/2021	\$ 234.72
8784	COMCAST BUSINESS - CABLE	SWS CABLE SERVICE	11/19/2021	\$ 364.05
8785	DUKE AERIAL, INC.	Service Call - Scissor Lift Inspections	11/19/2021	\$ 925.00
8786	GRAINGER	Building Supplies	11/19/2021	\$ 249.90
8786	GRAINGER	Building Supplies	11/19/2021	\$ 99.93
8787	JASON KIRSCH	APTA CONFERENCE	11/19/2021	\$ 152.72
8788	MENARDS	Building Supplies	11/19/2021	\$ 177.06
8788	MENARDS	Building Supplies	11/19/2021	\$ 599.80
8789	JAKE SIMICH	APTA CONFERENCE	11/19/2021	\$ 89.75
8790	LEN SIMICH	APTA CONFERENCE	11/19/2021	\$ 577.05
8790	LEN SIMICH	APTA CONFERENCE	11/19/2021	\$ 538.75
8791	SSI MN TRANCHE 3 ACCT: 10327096	Subscription US Solar	11/19/2021	\$ 2,672.09
8792	SYNCB AMAZON	Building Supplies	11/19/2021	\$ 204.96
8793	THE AFTERMARKET PARTS COMPANY	Fleet Parts	11/19/2021	\$ 612.83
8794	VICKERMAN COMPANY	Building Supplies	11/19/2021	\$ 559.80
8795	ALLSTATE PETERBILT	Fleet Parts	11/29/2021	\$ 184.52
8796	CARVER COUNTY	ECS Fiber Internet	11/29/2021	\$ 1,080.00
8797	CENTURYLINK	SWV INTERNET	11/29/2021	\$ 124.88
8798	COMMERCIAL ASPHALT COMPANY	Garage Resurface Project	11/29/2021	\$ 45.58
8799	CUMMINS NPOWER, LLC	Fleet Parts	11/29/2021	\$ 66.28

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Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
8800	DACOTAH PAPER CO.	Building Supplies	11/29/2021	\$ 452.68
8801	HAY DOBBS	SWV Site Development Studies	11/29/2021	\$ 18,331.08
8802	DODGE OF BURNSVILLE	Fleet Parts	11/29/2021	\$ 60.23
8803	FACTORY MOTOR PARTS COMPANY	Fleet Parts	11/29/2021	\$ 361.72
8804	FIDELITY SECURITY LIFE INSURANCE CO.	Vision Insurance	11/29/2021	\$ 49.74
8805	FRANZ REPROGRAPHICS	Monthly Project Fee	11/29/2021	\$ 100.00
8806	GILLIG LLC	Fleet Parts	11/29/2021	\$ 492.76
8807	HEALTHPARTNERS INC.	COBRA Insurnace	11/29/2021	\$ 140.51
8808	HERITAGE GLASS COMPANY	Outside Repair	11/29/2021	\$ 679.87
8809	INDUSTRIAL NETWORKING SOLUTIONS	Mobile Router Support	11/29/2021	\$ 15,660.00
8810	LANO EQUIPMENT, INC.	Fleet Parts	11/29/2021	\$ 490.47
8810	LANO EQUIPMENT, INC.	Credit Memo	11/29/2021	\$ (208.13)
8811	MEDIACOM	Internet Service Payment	11/29/2021	\$ 387.42
8812	MENARDS	Building Supplies	11/29/2021	\$ 622.01
8813	NCPERS MINNESOTA	Life Insurance	11/29/2021	\$ 64.00
8814	POPP COMMUNICATIONS	ECS PHONE BILL	11/29/2021	\$ 2,290.41
8815	PPG ARCHITECTURAL FINISHES	Building Supplies	11/29/2021	\$ 236.15
8816	ROYAL TIRE INC.	Tires	11/29/2021	\$ 8,183.76
8817	RSM US PRODUCT SALES LLC	Managed IT Support	11/29/2021	\$ 1,305.00
8818	SHAKOPEE CHAMBER OF COMMERCE	Chamber Event - Jake S, John H, Dan L	11/29/2021	\$ 90.00
8819	SYNCB AMAZON	Fleet Parts	11/29/2021	\$ 195.99
8820	THE AFTERMARKET PARTS COMPANY	Fleet Parts	11/29/2021	\$ 984.45
8821	TWIN CITY GARAGE DOOR CO.	Building Supplies	11/29/2021	\$ 400.00
8822	UNIFIRST CORPORATION	Uniforms	11/29/2021	\$ 76.90
		TOTAL		\$ 739,963.65
	ACH Withdraws			
	Mansfield Oil PAYMENTS 1629044	Bus Fuel	10/28/2021	\$ 17,618.43
	Mansfield Oil PAYMENTS 1629478	Bus Fuel	11/1/2021	\$ 8,067.21
	Mansfield Oil PAYMENTS 1630618	Bus Fuel	11/10/2021	\$ 6,565.35
	Mansfield Oil PAYMENTS 1631067	Bus Fuel	11/15/2021	\$ 8,881.04
	Mansfield Oil PAYMENTS 1632169	Bus Fuel	11/24/2021	\$ 18,508.12
	Mansfield Oil PAYMENTS 1632280	Bus Fuel	11/26/2021	\$ 8,547.22
	MET COUNCIL RETAILSAL E CPOS SW	Go To Card Reimbursement	11/22/2021	\$ 1,090.50
	MET COUNCIL RETAILSAL E CPOS SW	Go To Card Reimbursement	11/17/2021	\$ 1,451.00
	MET COUNCIL RETAILSAL E CPOS SW	Go To Card Reimbursement	11/5/2021	\$ 725.00
	MET COUNCIL RETAILSAL E CPOS SW	Go To Card Reimbursement	10/29/2021	\$ 270.00
	MET COUNCIL RETAILSAL E CPOS SW	Go To Card Reimbursement	10/22/2021	\$ 615.00
	ADP PAYROLL FEES ADP - FEES 10TH9 2666738	Payroll Service	10/22/2021	\$ 379.25
	ADP PAYROLL FEES ADP - FEES 10TH9 8461339	Payroll Service	11/19/2021	\$ 250.00
	CARDMEMBER SERV WEB PYMT *****6731	Credit Card Payment	11/12/2021	\$ 6,726.51
	CARDMEMBER SERV WEB PYMT *****6731	Credit Card Payment	10/25/2021	\$ 10,749.16
	PAYPAL TRANSFER TSHEETS	Payroll Service	10/12/2021	\$ 302.00
	PITNEY BOWES POSTEDGE 44272615	Postage	11/15/2021	\$ 500.00
	POSITIVE PAY	Bank Fee	10/29/2021	\$ 25.00
	ACH ORIGINATION	Bank Fee	10/29/2021	\$ 40.00
		TOTAL		\$ 91,310.79
	Payroll			
	Paylocity	Payroll	10/28/2021	\$ 86,149.31
	Paylocity	Payroll	11/10/2021	\$ 86,673.57
	Paylocity	Payroll	11/24/2021	\$ 82,731.77

SouthWest Transit
10/22/2021 Thru 11/29/2021

Meeting Date: 12/9/2021

Payment of Claims

Check Number	Vendor Name	Description	Check Date	Check Amount
		TOTAL		\$ 255,554.65
	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
	Daniel LeGuen-Schmidt	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
	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
	Lonnice Van Eps	Tools Allowance		\$ 100.00
	Matt Vieth	Tools Allowance		\$ 100.00
	Steve Michael	Tools Allowance		\$ 100.00
		TOTAL		\$ 2,947.00
		GRAND TOTAL		\$ 1,086,829.09

Consent

SOUTHWEST TRANSIT COMMISSION MINUTES

Thursday, October 28, 2021
Commission Meeting – 6:00 pm

COMMISSION MEMBERS

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

GENERAL COUNSEL

Joshua Dorothy, Attorney

EXECUTIVE STAFF

Len Simich, Chief Executive Officer
Matt Fyten, Operations and Planning Director
Tony Kuykendall – Vehicle Maintenance Manager
Souriyong Souriya – Finance Director
Gary Groen – Financial Consultant
Al Halaas, Director/GM - First Transit
Daniel LeGuen-Schmidt – HR Manager

I. PUBLIC COMMENT

The meeting was called to order by Chair Huang at 6:01 pm. There was no public comment.

II. APPROVAL OF AGENDA

Motion: McDonald motioned, seconded by Narayanan to approve the Agenda as presented.

Roll Call Vote: Huang, yes; Narayanan, yes; McDonald, yes; Freiberg, yes; Roepke, yes; Ryan, yes; Bonnevier, yes. The motion carried 7-0-0.

III. PAYMENT OF CLAIMS

Motion: Roepke motioned, seconded by McDonald to approve the Payment of Claims. **Roll**

Call Vote: Huang, yes; Narayanan, yes; McDonald, yes; Freiberg, yes; Roepke, yes; Ryan, yes; Bonnevier, yes. The motion carried 7-0-0.

IV. CONSENT

A. **Approval of 09/23/2021 Commission Meeting Minutes**

B. **Approval of Financial Statements**

C. **Insurance Tort Liability Waiver – Resolution 21-09**

D. **SouthWest Station Painting Contract**

E. **CEO Temporary Spending Limit Increase – Resolution 21-10**

Motion: Ryan motioned, seconded by Freiberg to approve the Consent Agenda. **Roll Call Vote:**

Huang, yes; Narayanan, yes; McDonald, yes; Freiberg, yes; Roepke, yes; Ryan, yes; Bonnevier, yes. The motion carried 7-0-0.

V. NEW BUSINESS

A. Draft 2022 Budget

Chief Executive Officer Simich discussed the challenges SWT has faced in 2021 in the continuation of the COVID 19 pandemic. SWT had anticipated returning to expanded service in the second half of 2021, but the number of employees returning to work in downtown locations slowed as the pandemic continued. Expenditures and revenues were affected.

The Personnel and Finance Committee will review the proposed 2021 budget amendments and recommend action to the Commission at its December 2021 Meeting.

DISCUSSION ONLY. No motion required.

B. Bus Wrap Contract

CEO Simich stated that in August 2021 SWT issued an RFP for its Bus Wrap and Ramp advertising for the years 2022-2024. Two firms submitted proposals: AllOver Media and OOH.

AllOver Media provided the proposal generating the highest guaranteed revenue for SWT in cash, trade and cross marketing, as well as providing the best opportunity to share in future profits generated from wrap sales.

Motion: McDonald motioned, seconded by Narayanan to award a contract for bus wrap and ramp advertising to AllOver Media for the terms outlined for the period commencing on January 1, 2022, through December 31, 2023, with the option to extend for one additional year (2024), for the terms outlined. **Roll Call Vote:** Huang, yes; Narayanan, yes; McDonald, yes; Freiberg, yes; Roepke, yes; Ryan, yes; Bonnevier, yes. The motion carried 7-0-0.

C. Legislative Platform, Advocacy/Lobbying

CEO Simich stated that staff has been working with Winthrop and Weinstine over the past year on Legislative Advocacy and Lobbying. The firm has been effective in getting SWT exposure to Legislators and in front of Legislative Committees, as well as developing strategy to make SWT's message and concerns known.

Motion: Roepke motioned, seconded by Freiberg to approve the contract with Winthrop and Weinstine P.A. to provide advocacy and lobbying activities on behalf of SouthWest Transit for a cost of \$48,000 for the period of January 2, 2022 through December 31, 2022 Commission also agreed to outline its 2022 SWT Legislative priorities. **Roll Call Vote:** Huang, yes; Narayanan, yes; McDonald, yes; Freiberg, yes; Roepke, yes; Ryan, yes; Bonnevier, yes. The motion carried 7-0-0.

D. CEO Search Firm Selection

Human Resources Manager LeGuen-Schmidt stated that in anticipation of the retirement of CEO Len Simich in 2022, an RFP for an Executive Search firm was issued. Four proposals were received and reviewed; two semi-finalist firms were interviewed by the Finance and Personnel Committee in October 2021.

Motion: Freiberg motioned, seconded by Narayanan to approve a finalist firm: KL2 Connects. **Roll Call Vote:** Huang, yes; Narayanan, yes; McDonald, yes; Freiberg, yes; Roepke, yes; Ryan, yes; Bonnevier, yes. The motion carried 7-0-0.

VI. UPDATES

VII. ADJOURNMENT

Motion: Freiberg motioned, seconded by Narayanan to adjourn. The motion carried 7-0-0 by voice vote. The meeting adjourned at 8:23 pm.

October 28, 2021 SouthWest Transit Commission Minutes Prepared By: Linda Spevacek

Approved by: _____

Date: _____



SOUTHWEST TRANSIT

MEMORANDUM

TO: SouthWest Transit Commission
FROM: Souriyong Souriya – Finance Director
DATE: December 3, 2021
SUBJECT: SWT Financial Statements

REQUESTED ACTION: That the SWT Commission approve the October 2021 Financial Statement, October 2021 Investments and October 2021 Pledged Securities.

BUDGET IMPACT: This action has no budget impact.

BACKGROUND:

Attached to this memo are the following financial statements:

- The October 31, 2021, Financial Statement for General Fund Operating and Capital Projects Funds.
- The investment of SWT funds into certificates of deposits (CDs) and rate of return from 0.30%-0.750%.
- Five institutions provided the pledged securities for collateral beyond the FDIC insured.

RECOMMENDATION:

That the SWT Commission approve the October 2021 Financial Statement, October 2021 Investments and October 2021 Pledged Securities.



Commission Meeting date 12.09.2021

Balance Sheet for All Funds October 2021

Fund Name					
Balance Sheet Category	General Fund	Capital Improvement Fund	EPG Roof Replacement Fund	SWS Development Capital Fund	Total
Assets					
Cash & Investments	\$ 7,727,362	\$ 2,692,215	\$ 2,000,000	\$ 6,076,060	\$ 18,495,637
Accounts Receivable	1,667,042		-	-	1,667,042
Other Assets	230,156	-	-	-	230,156
Total Assets	9,624,560	2,692,215	2,000,000	6,076,060	20,392,835
Liabilities					
Accounts Payable	3,365	3,140	-	-	6,505
Other Liabilities	-	-	-	-	-
Total Liabilities	3,365	3,140	-	-	6,505
Fund Balances					
Beginning Fund Balance-January 2020	7,522,658	2,897,009	-	6,035,120	16,454,787
Net Change in Fund Balance	2,098,537	(207,934)	2,000,000	40,940	3,931,543
Total Fund Balances	9,621,195	2,689,075	2,000,000	6,076,060	20,386,330
Total Liabilities & Fund Balances	\$ 9,624,560	\$ 2,692,215	\$ 2,000,000	\$ 6,076,060	\$ 20,392,835



SouthWest Transit
 Revenue and Expenditures for All Funds
 Monthly Financial Report
 YTD October 2021

Commission Meeting date 12.09.2021

Oct=83.3%

General Fund 100	Adopted Budget	Current Month Actual	2021 YTD Actual	2021 YTD Balance	% YTD Budget
Revenues					
Passenger Fares	\$ 748,400	\$ 61,520	\$ 410,942	(337,458)	54.9%
Contract Revenue	33,600	5,969	40,598	6,998	120.8%
CMAQ Grant Revenue	283,000	-	20,542	(262,458)	0.0%
5307 NTD Funding	784,000	-	326,622	(457,378)	41.7%
MVST Revenue	7,034,450	723,191	7,679,253	644,803	109.2%
RAMVST Revenue	1,313,300	135,017	1,401,146	87,846	106.7%
CRRSA Section 5307	-	-	1,861,080	1,861,080	0.0%
Investment Income	10,000	-	7,741	(2,259)	77.4%
Other Local Revenues	204,500	48,442	263,051	58,551	128.6%
	10,411,250	974,138	12,010,973	1,599,723	115.4%
Other Sources					
Insurance Recoveries	-	-	7,362	7,362	-
Total Revenue	\$ 10,411,250	\$ 974,138	\$ 12,018,335	\$ 1,607,085	115.4%
Expenditures					
Administration	\$ 1,406,292	\$ 106,752	\$ 1,093,393	312,899	77.8%
Operations	6,469,290	460,588	3,456,855	3,012,435	53.4%
Vehicle Maintenance	1,927,656	148,453	1,171,522	756,134	60.8%
Facility Maintenance	1,438,100	126,701	1,017,653	420,447	70.8%
Total Expenditures	11,241,338	842,493	6,739,422	4,501,916	60.0%
5307 NTD Schedule	784,000	-	326,622	457,378	41.7%
Capital Cost Of Operating	1,546,995	13,994	853,754	693,241	55.2%
Total Expenditures & Capital Cost of Operating	13,572,333	856,487	7,919,798	5,652,535	58.4%
Transfers (Out)	-	2,000,000	2,000,000	-	0.0%
	13,572,333	2,856,487	9,919,798	5,652,535	73.1%
Net Change in Fund Balance	\$ (3,161,083) \$ (1,882,349) \$ 2,098,537				
Fund Balance, January 1	\$ 7,522,658				
<i>Adjusted Fund balance</i>	\$ 3,365				
Fund Balance, End of Current Period	\$ 9,624,560				
Months of Operating Expenditures	9				
Fund Balance as a % of the Expenditure Budget	70.9%				



SouthWest Transit
 Revenue and Expenditures for All Funds
 Monthly Financial Report
 YTD October 2021

Commission Meeting date 12.09.2021

Oct=83.3%

All Other Funds	Adopted Budget	Current Month Actual	2021 YTD Actual	2021 YTD Balance	% YTD Budget
Capital Improvement Fund 270					
Revenue	\$ -	\$ -	\$ -	\$ -	0.0%
Expenditures	-	-	207,934	-	0.0%
Transfer In (Out)	-	-	-	-	0.0%
Net Change in Fund Balance	\$ -	\$ -	\$ (207,934)		
EPG Roof Replacement Fund 280					
Revenue	\$ -	\$ -	\$ -	\$ -	0.0%
Expenditures	-	-	-	-	0.0%
Transfer In (Out)	-	2,000,000	2,000,000	-	-
Net Change in Fund Balance	\$ -	\$ 2,000,000	\$ 2,000,000		
SWS Development Capital Fund 360					
Revenue	\$ -	\$ -	\$ 39,236	\$ 39,236	0.0%
Expenditures	-	-	-	-	0.0%
Transfer In (Out)	-	-	-	-	0.0%
Net Change in Fund Balance	\$ -	\$ -	\$ 39,236		

SouthWest Transit					
Pledged Securities Accounts - October 2021					
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	\$ 2,058,828.12	\$ 2,000,000.00
Treasury	United Bankers Bank	7/31/2024	3/7/2021	\$ 1,036,812.66	\$ 1,000,000.00
Treasury	United Bankers Bank	1/31/2025	4/26/2021	\$ 1,539,233.60	\$ 1,500,000.00
Treasury	United Bankers Bank	7/15/2024	7/19/2021	\$ 998,793.50	\$ 1,000,000.00
Treasury	United Bankers Bank	10/15/2024	10/15/2021	\$ 2,000,876.67	\$ 1,700,000.00
FHLMC - FED Home Loan Mortgages	United Bankers Bank	11/1/2021	8/12/2015	\$ 221,021.95	\$ 221,021.93
MBS-FNMA/FHLMC	United Bankers Bank	9/1/2027	5/26/2020	\$ 152,210.29	\$ 152,210.29
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	\$ 247,987.59	\$ 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
US Treasury Notes	United Bankers Bank	7/31/2022	10/6/2016	\$ 749,889.83	\$ 750,000.00
CMO 2009-26	United Bankers Bank	8/16/2022	6/30/2021	\$ 84,117.91	\$ 83,931.79
GNMA	United Bankers Bank	8/20/2040	7/20/2018	\$ 114,079.94	\$ 114,079.94
GNMA	United Bankers Bank	1/20/2033	1/20/2021	\$ 126,718.78	\$ 126,718.75
FNMA	United Bankers Bank	10/1/2032	10/23/2012	\$ 204,232.39	\$ 204,232.39
				\$ 10,525,803.23	\$ 10,092,195.09
BankVista					
FDIC	FDIC - State	10/6/2021	6/6/2018	\$ 250,000	\$ 250,000
FDIC	ICS Account	10/6/2021	6/6/2018	\$ 5,444,841	\$ 5,444,841
Tradition Capital Bank					
Edgewood OH City Sch Dist Bond	BMO Harris Bank N.A	12/1/2029	12/19/2019	\$ 533,985	\$ 500,000
Little Blue VLY MO SWR Dist SW Bond	BMO Harris Bank N.A	9/1/2027	9/26/2019	\$ 1,097,870	\$ 1,000,000
Port Neches-Groves TX Indep SC Bonds	BMO Harris Bank N.A	2/15/2026	7/26/2016	\$ 762,971	\$ 695,000
Fed Farm Credit Bank	BMO Harris Bank N.A	4/1/2033	4/1/2013	\$ 968,318	\$ 912,724
Alerus					
FRB Federal Reserve Custody	Bank of North Dakota	4/1/2026	6/22/2016	\$ 371,329	\$ 349,404
Americana Community Bank					
GNMA Pool # MA1119	United Bankers Bank	7/1/2042	8/25/2016	\$ 595,740	\$ 595,740
			Total	\$ 20,550,856	\$ 19,839,903
Summary Total Funds 10/31/2021					
Flagship Bank	\$ 9,269,203				
BankVista	\$ 5,701,896				
Tradition Capital Bank	\$ 2,266,763				
Alerus	\$ 274,444				
Americana Community Bank	\$ 818,424				
Total	\$ 18,330,730				
<i>Difference Extra</i>	\$ 1,509,172.59				

SouthWest Transit Commission Investments
October 2021

Broker	Purchase Date	Type	Description	Maturity Date	Type	Purchase Cost	Maturity Amount	Rate	Days to Maturity	Current Market Value	Accrued Interest	Months Term		
10/31/2021														
Flagship Bank	1/23/2021	CD	Flagship CD 100243	1/24/2022	CD	300,000.00	300,000.00	0.600%	85	300,000.00		12		
Tradition Bank	2/5/2020	CD	Tradition Bank CD 13812681	2/5/2022	CD	1,500,000.00	1,500,000.00	0.750%	97	1,584,126.86	2,506	12		
Americana	1/21/2021	CD	Americana 13087266	2/12/2022	CD	545,075.68	545,075.68	0.670%	104	545,075.68	2,822	13		
Americana	1/12/2021	CD	Americana 17954691	2/12/2022	CD	273,348.24	273,348.24	0.670%	104	273,348.24	1,415	13		
Flagship Bank	3/11/2020	CD	Flagship CD 100255	3/6/2022	CD	250,000.00	250,000.00	0.400%	126	250,000.00		12		
Flagship Bank	3/16/2021	CD	Flagship CD 200379	3/15/2022	CD	750,000.00	750,000.00	0.400%	135	750,000.00		12		
Flagship Bank	3/2/2019	CD	Flagship CD 100306	2/28/2023	CD	250,000.00	250,000.00	0.350%	485	250,000.00		24		
BankVista	10/6/2021	CD	BankVista CD 3301049	10/5/2022	CD	250,000.00	250,000.00	0.300%	339	250,000.00	115	12		
Tradition Bank	10/16/2021	CD	Tradition Bank CD 13813422	10/16/2021	CD	650,000.00	650,000.00	0.650%	-15	682,636.39	1,721	12		
				Total		4,768,423.92	4,768,423.92			4,885,187.17	6,857.98			
				<i>Flagship Bank - Nonprofit Checking</i>								<i>4,269,043.48</i>		
				<i>Flagship Bank - Money Market Acct</i>								<i>3,450,159.81</i>		
				<i>Alerus - Money Market Acct</i>								<i>274,444.20</i>		
				<i>BankVista - Money Market ICS Acct</i>								<i>5,451,895.62</i>		
				Subtotal							\$ 13,445,543.11			
				Grand Total							\$ 18,330,730.28			
Summary by Type (based upon current market value)						CDs Summary by banks								
CD			4,885,187.17			<i>Banks</i>	<i>Amount</i>							
US Govt Agency			-			<i>Americana</i>	<i>818,423.92</i>							
Checking/MM/ICS			13,445,543.11			<i>Alerus</i>	<i>274,444.20</i>							
			18,330,730.28	-		<i>Bank Vista</i>	<i>250,000.00</i>							
						<i>Flagship</i>	<i>1,550,000.00</i>			<i>7,719,203.29</i>				
						<i>Tradition</i>	<i>2,266,763.25</i>			<i>4,951,895.62</i>				
Maturity Dates			Amount				<i>5,159,631.37</i>							
	Oct-21		\$ -											
	Nov-21		\$ -											
	Dec-21		\$ -											
	later		\$ 4,885,187.17											
			\$ 4,885,187.17	-										



SOUTHWEST TRANSIT

MEMORANDUM

TO: SouthWest Transit Commission

FROM: Len Simich, CEO

DATE: December 2, 2021

SUBJECT: Expiring Commission Terms

REQUESTED ACTION:

No Commission action required at this time. The cities of Eden Prairie and Chaska have been notified that they have Commissioners whose terms are expiring at the end of the year (PG and Mike). The At-Large Commissioner Position also expires at the end of the year. Staff and the Chair will bring forward candidate(s) to the Budget and Personnel Committee and full Commission in January.

BUDGET IMPACT:

NA

BACKGROUND:

As stated in our Joint Powers Agreement (JPA), there are four classes of Commissioners each serving three-year terms.

Class 1-3 shall consist of two members each and are appointed by the three SWT founding cities.

No two Commission members appointed by a representative City shall be members of the same class.

Terms of the members in Class 1-3 shall be staggered in three-year periods.

The Class 4 Commissioner is the At-Large Commissioner who is selected by the other six Commission members representing the cities. The term period of the Class 4 member is the same as those members in Class 1.

Class #1

Eden Prairie Appointed Position (currently held by PG Narayanan). Term ends December 31, 2021.

Chaska Elected Position (currently held by Mike Huang). Terms ends December 31, 2021.

Both Class #1 terms expire on December 31, 2021. Next appointment would be for three years beginning in January 2022-2024, and every three years after that.

Class #2

Chanhassen Elected Position (currently held by Jerry McDonald). Term ends December 2022.

Chaska Appointed Position (currently held by Bob Roepke). Term ends December 2022.

Both Class #2 terms expire on December 31, 2022. Next appointment would be for three years beginning in January 2023 -2025, and every three years after that.

Class 3

Eden Prairie Elected Position (currently held by Mark Freiberg). Terms ends December 31, 2023.

Chanhassen Appointed Position (currently held by Elise Ryan). Term ends December 31, 2023.

Both Class 3 positions expire December 31, 2023. Next appointment would be for three years beginning January 2024-2026 and every three years after that.

Class 4

At-Large Position (currently held by Jody Boonevier). Term ends December 31, 2021. The At-Large Commissioner must reside or maintain a principal place of business within the jurisdiction of one of our member cities (Eden Prairie, Chanhassen, Chaska). The At-Large Commissioner is selected by the six City Representatives serving on the SouthWest Commission. This position has a term limit which is one three-year term with the possibility of extending for one additional three-year term.

Ex-Officio Position – currently held by Joy McKnight, City of Carver. The Commission may issue invitations to additional cities to appoint representatives to serve in an ex-officio capacity to the Commission. Ex-officio members may not serve as Commissioners as defined in the SouthWest Transit Joint Powers Agreement, and do not have the power to vote. Ex-officio members may participate in Commission meetings in an advisory capacity. Ex-officio members may also serve on committees of the Commission in an advisory capacity.

Beginning January 2020:

<u>Class #1</u>	Class#2	Class #3	<u>Class #4</u>
<u>2019-2021</u>	<u>2020-2022</u>	<u>2021-2023</u>	<u>2019-2021</u>
<u>Chaska Elected</u>	Chan Elected	EP Elected	<u>At-Large</u>
<u>EP Appointed</u>	Chaska Appointed	Chan Appointed	

RECOMMENDATION:

No action required. For information purposes only.



SOUTHWEST TRANSIT

MEMORANDUM

TO: SouthWest Transit Commission

FROM: Len Simich, CEO

DATE: December 2, 2021

SUBJECT: COMMISSION REGULAR MEETING SCHEDULE FOR 2022

REQUESTED ACTION:

That the Commission approve the following regular meeting schedule for 2022.

BACKGROUND:

Each December, the Commission establishes its official meeting dates for the upcoming year.

The Commission meets on the fourth Thursday of each month except for July, November (Thanksgiving) and December (Holiday Season). There are months however, where the meeting date and/or time may be changed for quorum or emergency purposes.

The primary meeting site for the Commission will be at the East Creek Transit Station (second level) unless otherwise noted. Note on the schedule below, the December/final meeting of the year will be held at the Garage/Maintenance and Administrative Facility.

Should the COVID pandemic necessitate meeting virtually, the Chair, CEO and/or agency representative will notify the Commission and general public at least three days in advance, unless meeting qualifies as an emergency. Virtual access for the general public will also be provided and posted on the agency web page and in its open stations (SouthWest Station, SouthWest Village, East Creek Station, Chanhassen Station).

If a regular meeting is held at a time or place different from that stated in the schedule of regular meetings, a notice indicating the change will be provided/posted a minimum of three days in advance of the date of the meeting (per Minnesota Law).

Following are the proposed **regular meeting dates of the SouthWest Transit Commission for 2022:**

Thursday, January 27

Thursday, February 24

Thursday, March 24

Thursday, April 28

Thursday, May 26

Thursday, June 23

****July, no meeting scheduled***

Thursday, August 25

Thursday, September 22

Thursday, October 27

****November, no meeting scheduled***

Thursday, December 15 (year-end; Meeting to be held at the Garage)

RECOMMENDATION:

That the Commission approve the 2022 regular meeting schedule outlined in this memo.



SOUTHWEST TRANSIT

MEMORANDUM

TO: SouthWest Transit Commission

FROM: Matt Fyten, Chief Operations Officer
Ben Schuler, Senior Systems & Operations Analyst

DATE: November 29, 2021

SUBJECT: 2021 Ridership

REQUESTED ACTION

None required. For information purposes only.

BUDGET IMPACT

Outlined in Background of this memorandum.

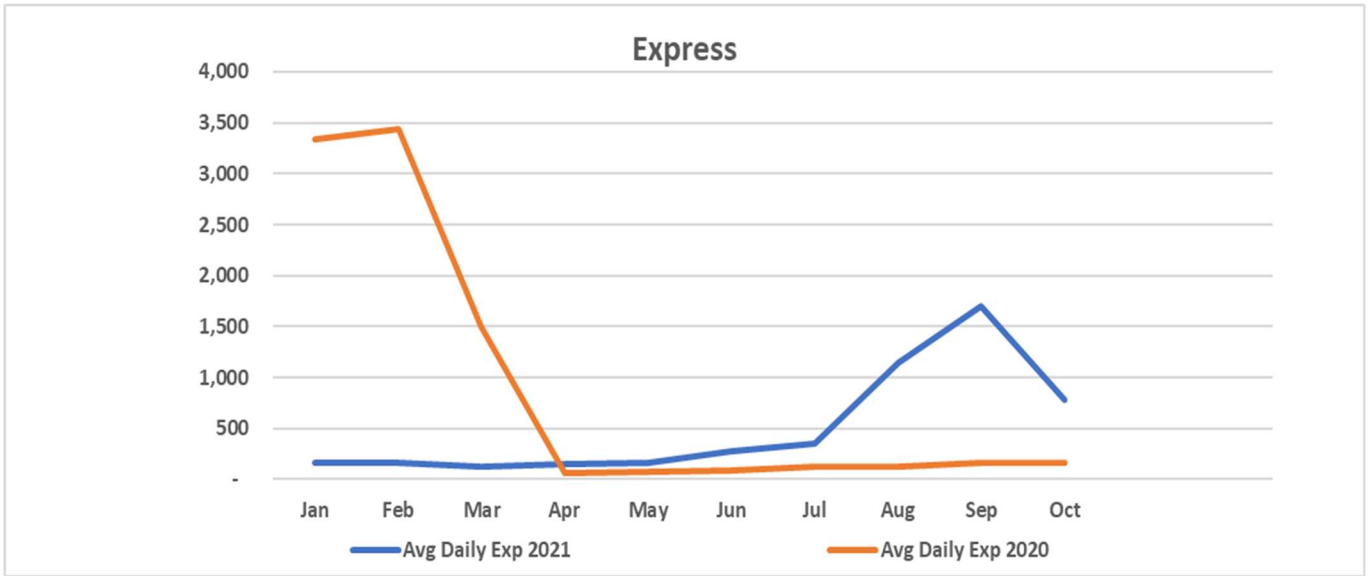
BACKGROUND

Ridership through October 2021 was 106,413. The total difference represents a drop of 34.5% during the same time in 2020. SW Prime ridership is up 8.5% compared to 2020.

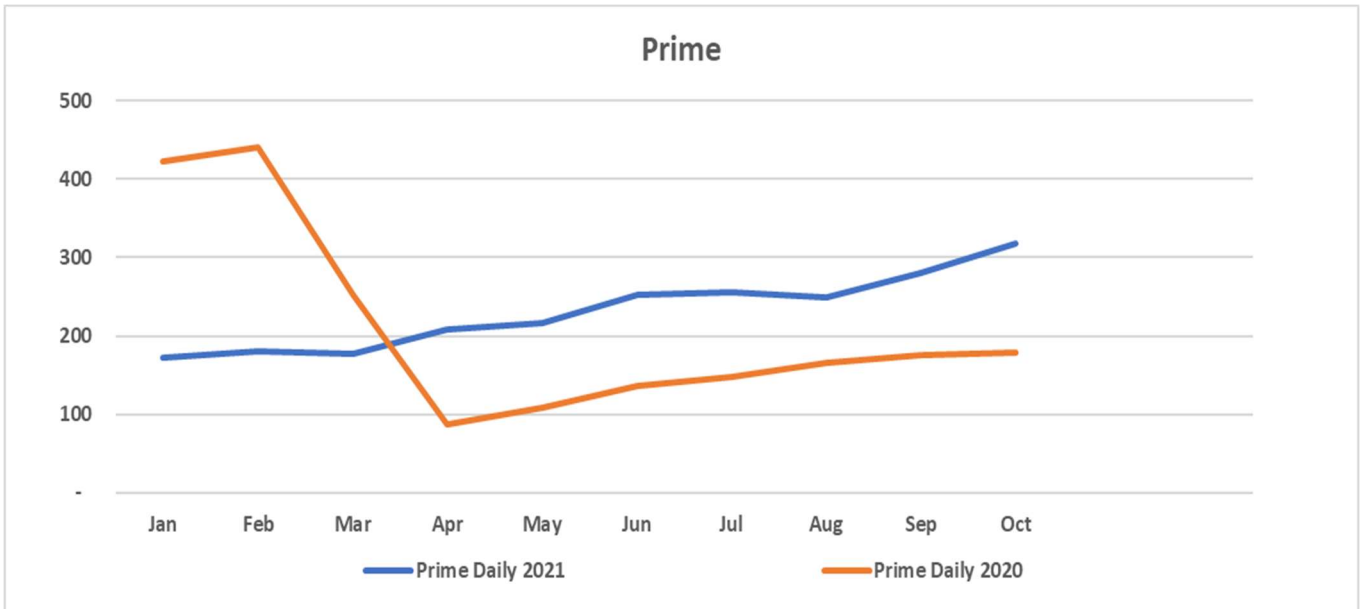
The service change in September brought an additional 32 AM and PM express trips. We're expecting Express ridership will continue to improve going into 2022. The decrease in Express from September 2021 to October 2021 is due to State Fair ridership. SW Prime continues its growth as we have surpassed the total 2020 ridership during the month of September 2021.

Service Type	January	February	March	April	May	June	July	August	September	October	Total
Express Route	3,129	3,235	2,969	3,297	3,136	6,126	7,320	25,057	35,810	16,334	106,413
SW Prime	3,450	3,605	4,091	4,568	4,340	5,569	5,377	5,472	5,882	6,677	49,031
2021 Total	6,579	6,840	7,060	7,865	7,476	11,695	12,697	30,529	41,692	23,011	155,444
2020 Total	82,820	77,478	38,584	3,392	3,600	4,834	5,899	6,086	6,961	7,515	237,169
YTD % Increase/Decrease	-92.1%	-91.6%	-89.7%	-86.0%	-82.6%	-77.4%	-72.2%	-59.3%	-42.3%	-34.5%	-34.5%

Express	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Avg Daily Exp 2021	156	162	129	150	157	278	349	1,139	1,705	778
Avg Daily Exp 2020	3,341	3,434	1,501	67	71	83	120	124	156	162



Prime	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Prime Daily 2021	173	180	178	208	217	253	256	249	280	318
Prime Daily 2020	423	440	253	87	109	137	148	166	176	179



RECOMMENDATION

None required. For information purposes only.



SOUTHWEST TRANSIT

To: SouthWest Transit Commission

From: Len Simich, CEO
Joshua A. Dorothy, General Counsel

Date: November 30, 2021

Subject: Data Practices Policies

REQUESTED ACTION: That the Commission ratify the CEO’s adoption of the Data Practices Policy for Data Subjects and the Data Practices Policy for the Public.

BUDGET IMPACT: None.

BACKGROUND:

The Minnesota Government Data Practices Act regulates how government entities manage government data. SouthWest Transit has always complied with the Data Practices Act’s restrictions on releasing data that is not public and with the Data Practices Act’s requirements to provide access to public data as well as to private data about the person requesting the data.

However, the Data Practices Act also requires the “responsible authority” of each government entity to adopt a written data access policy that outlines the government entity’s procedures for receiving and responding to public requests to access government data, and to adopt a written data access policy that outlines the government entity’s procedures for receiving and responding to data subjects’ requests to access government data about themselves. It recently came to our attention that, through a miscommunication and oversight, neither of these written policies had been adopted. We emphasize that every request that SouthWest Transit had previously received for government data was timely responded to in accordance with the Data Practices Act.

Staff prepared the written policies with guidance from the general counsel and using templates made available by the Minnesota Department of Administration.

In 2016, the Commission appointed the CEO as the “responsible authority” under the Data Practices Act. Accordingly, because the Data Practices Act requires the “responsible authority” to adopt these written policies, the CEO adopted the Data Practices Policy for Data Subjects and the Data Practices Policy for the Public on November 29, 2021. The policies were subsequently posted on SouthWest Transit’s website.

RECOMMENDATION: That the Commission ratify the CEO’s adoption of the Data Practices Policy for Data Subjects and the Data Practices Policy for the Public.

SouthWest Transit

Data Practices Policy For the Public

Minnesota Statutes, sections 13.025 and 13.03 require this policy.

Your Right to See Public Data

The Government Data Practices Act (Minnesota Statutes, Chapter 13) presumes that all government data are public unless a state or federal law says the data are not public. Government data means all recorded information a government entity has, including paper, email, flash drives, CDs, DVDs, photographs, etc.

The law also says that SouthWest Transit must keep all government data in a way that makes it easy for you to access public data. You have the right to look at (inspect), free of charge, all public data that we keep. You also have the right to get copies of public data. The Data Practices Act allows us to charge for copies. You have the right to look at data, free of charge, before deciding to request copies.

How to Request Public Data

You can ask to look at (inspect) data at our offices, or ask for copies of public data that we keep.

Make a written request via email to SouthWest Transit's Responsible Authority by using the data request form on page 4. If you do not use the data request form, your request should:

- Say that you are making a request for public data under the Government Data Practices Act (Minnesota Statutes, Chapter 13).
- Include whether you would like to inspect the data, have copies of the data, or both.
- Provide a clear description of the data you would like to inspect or have copied.

You are not required to identify yourself or explain the reason for your data request. However, you may need to provide us with some personal information for practical reasons (for example: if you want us to mail copies to you, you need to provide us with an address or P.O Box). If we do not understand your request and have no way to contact you, we cannot respond to your request.

How We Will Respond to Your Data Request

Upon receiving your request, we will review it.

- We may ask you to clarify what data you are requesting.
- If we do not have the data, we will notify you in writing within 10 business days.
- If we have the data, but we are not allowed to give it to you, we will tell you as soon as reasonably possible and identify the law that prevents us from providing the data.
- If we have the data, and the data are public, we will respond to your request appropriately and promptly, within a reasonable amount of time by doing one of the following:

- Arrange a date, time, and place for you to inspect the data at our offices; or
 - We will provide notice to you about our requirement to prepay for copies.
 - You may choose to pick up your copies, or we will mail or email them to you. We will provide electronic copies (such as email or CD-ROM) upon request, if we keep the data in that format and we can reasonably make a copy.
 - Response time may be impacted by the size and/or complexity of your request, and also by the number of requests you make in a given period of time.
- Following our response, if you do not make arrangements within 5 business days to inspect the data or pay for the copies, we will conclude that you no longer want the data and will consider your request closed.

If you do not understand some of the data (technical terminology, abbreviations, or acronyms), please tell the person who provided the data to you. We will give you an explanation if you ask.

The Data Practices Act does not require us to create or collect new data in response to a data request, or to provide data in a specific form or arrangement if we do not keep the data in that form or arrangement. For example, if the data you request are on paper only, we are not required to create electronic documents to respond to your request. If we agree to create data in response to your request, we will work with you on the details of your request, including cost and response time.

We are also not required to respond to questions that are not about your data requests, or requests for government data.

Requests for Summary Data

Summary data are statistical records or reports created by removing identifying information about individuals from entirely private or confidential data.

We will prepare summary data if you make your request in writing and pay for the cost of creating the data.

You may use the data request form on page 4 to request summary data. We will respond to your request within ten business days with the data or details of when the data will be ready and how much we will charge you.

Data Practices Contacts

Responsible Authority

Name: Len Simich

Address: 14405 West 62nd Street, Eden Prairie, MN 55346

Email address: lsimich@swtransit.org

Data Practices Compliance Official

Name: Len Simich

Address: 14405 West 62nd Street, Eden Prairie, MN 55346

Email address: lsimich@swtransit.org

Data Practices Designee

Name: Matt Fyten

Address: 14405 West 62nd Street, Eden Prairie, MN 55346

Email address: mfyten@swtransit.org

Copy Costs – When You Request Public Data

Minnesota Statutes, section 13.03, subdivision 3(c) allows us to charge for copies.

You must pay for the copies before we will give them to you.

We do not charge for copies if the cost is less than \$2.00.

Multiple requests made within the same 10 business-day period will be treated as a single request for the purposes of calculating total copy costs.

If possible, and upon request, we will provide you with an estimation of the total cost of supplying copies.

For 100 or fewer paper copies – 25 cents per page

100 or fewer pages of black and white, letter or legal size paper copies cost 25¢ for a one-sided copy, or 50¢ for a two-sided copy.

Most other types of copies – actual cost

The charge for most other types of copies, when a charge is not set by statute or rule, is the actual cost of searching for and retrieving the data, and making the copies or electronically sending the data.

In determining the actual cost of making copies, we include employee time, the cost of the materials onto which we are copying the data (paper, CD, DVD, etc.), and mailing costs (if any). If your request is for copies of data that we cannot copy ourselves, such as photographs, we will charge you the actual cost we must pay an outside vendor for the copies. Employee time to make copies is \$35.34 per hour.

If, based on your request, we find it necessary for a higher-paid employee to search for and retrieve the data, we will calculate search and retrieval charges at the higher salary/wage.

Data Request Form – Requesting Public Data

Request date:

The data I am requesting:

Describe the data you are requesting as specifically as possible.

I am requesting access to data in the following way:

- Inspection
- Copies
- Both inspection and copies

Note: Inspection is free but we charge for copies when the cost is over \$2.00.

Contact information (optional)*

Name:

phone number:

email address:

address:

We will respond to your request as soon as reasonably possible.

* You do not have to provide any contact information. However, if you want us to mail/email you copies of data, we will need some type of contact information. We also need contact information if we do not understand your request. We will not work on your request until we can clarify it with you.

SouthWest Transit

Data Practices Policy for Data Subjects

Minnesota Statutes, sections 13.025 and 13.03 require this policy.

What is a “Data Subject”?

When government has information recorded in any form (paper, harddrive, voicemail, video, email, etc.), that information is called “government data” under the Government Data Practices Act (Minnesota Statutes, Chapter 13). When we can identify you in government data, you are the “data subject” of that data. The Data Practices Act gives you, as a data subject, certain rights. This policy explains your rights as a data subject, and tells you how to request data about you, your minor child, or someone for whom you are the legal guardian.

When SouthWest Transit Has Data About You

SouthWest Transit has data on many people, such as employees, job applicants, vendors, and riders. We can collect and keep data about you only when we have a legal purpose to have the data. SouthWest Transit must also keep all government data in a way that makes it easy for you to access data about you.

Government data about an individual have one of three “classifications.” These classifications determine who is legally allowed to see the data. Data about you are classified by state law as public, private, or confidential. Here are some examples:

Public Data

The Data Practices Act presumes that all government data are public unless a state or federal law says that the data are not public. We must give public data to anyone who asks. It does not matter who is asking for the data or why the person wants the data. The following are examples of public data about you that we might have: Name, email address, home address, phone number.

Private data

We cannot give private data to the general public. We can share your private data with you, with someone who has your permission, with our government entity staff whose job requires or permits them to see the data, and with others as permitted by law or court order. The following are examples of private data about you that we might have: Credit or debit card data; Social Security numbers of employees.

Confidential Data

Confidential data have the most protection. Neither the public nor you can access confidential data even when the confidential data are about you. We can share confidential data about you with our government entity staff who have a work assignment to see the data, and to others as permitted by law or court order. The following is

an example of confidential data about you: Data collected as part of an active investigation for the purpose of starting or defending a pending lawsuit.

Your Rights Under the Government Data Practices Act

As a data subject, you have the following rights.

Access to Your Data

You have the right to look at (inspect), free of charge, public and private data that we keep about you. You also have the right to get copies of public and private data about you. The Data Practices Act allows us to charge for copies. You have the right to look at data, free of charge, before deciding to request copies.

Also, if you ask, we will tell you whether we keep data about you and whether the data are public, private, or confidential.

As a parent, you have the right to look at and get copies of public and private data about your minor children (under the age of 18). As a legally appointed guardian, you have the right to look at and get copies of public and private data about an individual for whom you are appointed guardian.

Minors have the right to ask us not to give data about them to their parent or guardian. If you are a minor, we will tell you that you have this right. We will ask you to put your request in writing and to include the reasons that we should deny your parents access to the data. We will make the final decision about your request based on your best interests.

When We Collect Data From You

When we ask you to provide data about yourself that are not public, we must give you a notice called a Tennessean warning. The notice controls what we do with the data that we collect from you. Usually, we can use and release the data only in the ways described in the notice.

We will ask for your written permission if we need to use or release private data about you in a different way, or if you ask us to release the data to another person. This permission is called informed consent.

If you want us to release data to another person, you may use the consent form we provide.

Protecting Your Data

The Data Practices Act requires us to protect your data. We have established appropriate safeguards to ensure that your data are safe.

In the unfortunate event that we determine a security breach has occurred and an unauthorized person has gained access to your data, we will notify you as required by law.

When Your Data are Inaccurate or Incomplete

You have the right to challenge the accuracy and/or completeness of public and private data about you. You also have the right to appeal our decision. If you are a minor, your parent or guardian has the right to challenge data about you.

How to Make a Request For Your Data

You can ask to look at (inspect) data at our offices, or ask for copies of data that we have about you, your minor child, or an individual for whom you have been appointed legal guardian. Make a written request via email to SouthWest Transit's Responsible Authority by using the data request form on page 5.

We recommend using the sample **Data Request Form – Data Subjects** on page 5. If you do not choose to use the data request form, your request should:

- Say that you are making a request as a data subject, for data about you (or your child, or person for whom you are the legal guardian), under the Government Data Practices Act (Minnesota Statutes, Chapter 13).
- Include whether you would like to inspect the data, have copies of the data, or both.
- Provide a clear description of the data you would like to inspect or have copied.
- Provide proof that you are the data subject or data subject's parent/legal guardian.

We require proof of your identity before we can respond to your request for data. If you are requesting data about your minor child, you must show proof that you are the minor's parent. If you are a legal guardian, you must show legal documentation of your guardianship. Please see the Standards for Verifying Identity on page 6. If you do not provide proof that you are the data subject, we cannot respond to your request.

How We Respond to a Data Request

Upon receiving your request, we will review it.

- We may ask you to clarify what data you are requesting.
- We will ask you to confirm your identity as the data subject.
- If we do not have the data, we will notify you in writing within 10 business days.
- If we have the data, but the data are confidential or not public data about someone else, we will notify you within 10 business days and identify the law that prevents us from providing the data.
- If we have the data, and the data are public or private data about you, we will respond to your request within 10 business days by doing one of the following:
 - Arrange a date, time, and place to inspect data in our offices, for free, or
 - Provide you with the data within 10 business days. You may choose to pick up your copies, or we will mail or fax them to you. We will provide electronic copies (such as email or CD-ROM) upon request if we keep the data in electronic format
 - We will provide notice to you about our requirement to prepay for copies.
- Following our response, if you do not make arrangements within 5 business days to inspect the data or pay for the copies, we will conclude that you no longer want the data and will consider your request closed.
- After we have provided you with your requested data, we do not have to show you the same data again for 6 months unless there is a dispute about the data or we collect or create new data about you.

If you do not understand some of the data (technical terminology, abbreviations, or acronyms), please tell the person who provided the data to you. We will give you an explanation if you ask.

The Data Practices Act does not require us to create or collect new data in response to a data request, or to provide data in a specific form or arrangement if we do not keep the data in that form or arrangement. For example, if the

data you request are on paper only, we are not required to create electronic documents to respond to your request. If we agree to create data in response to your request, we will work with you on the details of your request, including cost and response time.

In addition, we are not required to respond to questions that are not about your data requests, or that are not requests for government data.

Data Practices Contacts

Responsible Authority

Name: Len Simich

Address: 14405 West 62nd Street, Eden Prairie, MN 55346

Email address: lsimich@swtransit.org

Data Practices Compliance Official

Name: Len Simich

Address: 14405 West 62nd Street, Eden Prairie, MN 55346

Email address: lsimich@swtransit.org

Data Practices Designee

Name: Matt Fyten

Address: 14405 West 62nd Street, Eden Prairie, MN 55346

Email address: mfyten@swtransit.org

Copy Costs – Data Subjects

Minnesota Statutes, section 13.04, subdivision 3 allows us to charge for copies.

You must pay for the copies before we will give them to you.

We do not charge for copies if the cost is less than \$2.00.

Actual Cost of Making the Copies

We will charge the actual cost of making copies for data about you. In determining the actual cost, we include the employee-time to create and send the copies, the cost of the materials onto which we are copying the data (paper, CD, DVD, etc.), and mailing costs such as postage (if any).

If your request is for copies of data that we cannot copy ourselves, such as photographs, we will charge you the actual cost we must pay an outside vendor for the copies. The cost of employee time to make copies is \$35.34 per hour.

Data Request Form – Data Subject

Request date: Contact information:

Data Subject Name:

Parent/Guardian Name (if applicable):

phone number/email address:

To request data as a data subject, you must show a valid government-issued ID, such as a driver's license, military ID, or passport as proof of identity.

The data I am requesting:

Describe the data you are requesting as specifically as possible.

I am requesting access to data in the following way:

- Inspection
- Copies
- Both inspection and copies

Note: Inspection is free but we charge for copies when the cost is over \$2.00.

We will respond to your request within 10 business days

To Be Completed By Staff Member Responding to Data Request:

Identity Confirmed:

Date:

Staff Name:

Standards For Verifying Identity

The following constitute proof of identity:

- An adult individual must provide a valid photo ID, such as
 - a driver's license
 - a state-issued ID
 - a tribal ID
 - a military ID
 - a passport
 - the foreign equivalent of any of the above
- A minor individual must provide a valid photo ID, such as
 - a driver's license
 - a state-issued ID (including a school/student ID)
 - a tribal ID
 - a military ID
 - a passport
 - the foreign equivalent of any of the above
- The parent or guardian of a minor must provide a valid photo ID and either
 - a certified copy of the minor's birth certificate or
 - a certified copy of documents that establish the parent or guardian's relationship to the child, such as
 - a court order relating to divorce, separation, custody, foster care
 - a foster care contract
 - an affidavit of parentage
- The legal guardian for an individual must provide a valid photo ID and a certified copy of appropriate documentation of formal or informal appointment as guardian, such as
 - court order(s)
 - valid power of attorney

Note: Individuals who do not inspect data or pick up copies of data in person may be required to provide either notarized or certified copies of the documents that are required or an affidavit of ID.



MEMORANDUM

TO: SouthWest Transit Commission

FROM: Jason Kirsch – IT Manager

DATE: December 1, 2021

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.

Earlier this year we submitted our PTASP to the FTA for review. Attached is SWT's PTASP that incorporates the changes made to our plan per the FTA's recommendations:

1. Adjust Fatality, Injury and Incident rates using current per total vehicle revenue miles
2. Incorporate our driver services contractor's, First Transit, PTASP in places that relate to safety reporting.

RECOMMENDATION:

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



Public Transportation Agency Safety Plan

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	Len Simich, CEO		
Name of Chief Safety Officer or SMS Executive	Matt Fyten, Director of Operations		
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	<input checked="" type="checkbox"/> No	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
		10/30/2020
Approval by the Board of Directors or an Equivalent Authority	Signature of SWT Commission Chair	Date of Approval
	See SWT Commission Resolution # 20-09	10/30/2020
	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	3,4,8-14	FTA Review Recommendations	12/09/2021

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.

What This ASP Addresses

This ASP addresses all applicable requirements and standards as set forth in FTA’s Public Transportation Safety Program and the Nation Public Transportation Safety Plan.

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	0.1	2	.2	25,000
Demand Response	0	0	1	0.1	2	.2	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.

<p>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.</p>		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	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>, SouthWest Transit CEO and Accountable Executive</p>

**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. This includes sharing with the Agencies' contracted service provider.

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.

<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 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.

Contracted Service Providers will follow their companies PTASP. (See Appendix A)

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.

Contracted Service Providers will follow their companies PTASP. (See Appendix A)

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)

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



Appendix A First Transit PTASP



First Transit Agency Safety Plan

1. Transit Agency Information - CORPORATE

Transit Agency Name	First Transit		
Transit Agency Corporate Address	600 Vine Street, Ste. 1400 Cincinnati, Ohio, U.S. 45202		
Name and Title of Corporate Accountable Executive	David Perez, Vice President of Safety – First Transit		
Name of Corporate Chief Safety Officer	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>Transit Contracting 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>Transit Management Services 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 <u>Resident Management Team</u> 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 <u>Region Staff</u> 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 <u>Vice President of Safety</u> 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 <u>Vice President of Maintenance</u> provides technical assistance, training, and “best practices” information to all of First Transit’s managed systems.</p> <p>The <u>President of First Transit</u> 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>			
Does the agency provide transit services on behalf of another transit agency or entity?	Yes X	No	Description of Arrangement(s)	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.



Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	SouthWest Transit, 14405 West 62 nd Street, Eden Prairie, MN 55346
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2. Transit Agency Information – OPERATING LOCATION SPECIFIC

Transit Agency Name	SouthWest Transit		
Operating Location Address	14405 West 62 nd Street, Eden Prairie, MN 55346		
Name and Title of Accountable Executive <i>(Meets FTA § 673.5 and § 673.23(d)(1) – Accountable Executive definition)</i>	Len Simich, CEO		
Name of Chief Safety Officer <i>(Meets FTA § 673.5 and § 673.23(d)(2) - Chief Safety Officer definition)</i>	Jason Kirsch		
Mode(s) of Service Covered by This Plan	<input checked="" type="checkbox"/> Fixed-Route <input type="checkbox"/> Paratransit <input type="checkbox"/> Deviated Fixed-Route <input checked="" type="checkbox"/> Demand	List All FTA Funding Types (e.g., 5307, 5310, 5311)	<input checked="" type="checkbox"/> 5307 <input checked="" type="checkbox"/> 5310 <input checked="" type="checkbox"/> 5311 <input type="checkbox"/> Other, Please describe Click or tap here to enter text.
Mode(s) of Service Provided by the Operating Location (Directly operated or contracted service)	Fleet Description: Paratransit Service Description: Door to Door		
Does the agency provide transit services on behalf of another transit agency or entity?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	Description of Arrangement(s)
			Length of Contract: 5 Years Equipment/Facilities Provided by Contract: <input checked="" type="checkbox"/> Buses <input type="checkbox"/> Maintenance Equipment <input checked="" type="checkbox"/> Facilities Equipment/Facilities Provided by First Transit: <input type="checkbox"/> Buses



			<input type="checkbox"/> Maintenance Equipment <input type="checkbox"/> Facilities
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	Name of Entity Service for which service is being provided: SouthWest Transit Commission Contact Information for Entity: CEO – Len Simich		

3. Plan Development, Approval, and Updates

This Agency Safety Plan addresses all applicable requirements and standards as set forth in FTA’s Public Transportation Safety Program and the National Public Transportation Safety Plan.

Name of Entity That Drafted This Plan <i>(Location Code)</i>	First Transit Location Code: 55825	
Signature by the Location Accountable Executive <i>(Location General Manager)</i>	Signature of Location Accountable Executive	Date of Signature
	Al Halaas, General Manager	6/23/2020
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
	Click or tap here to enter text.	Click or tap to enter a date.
	Relevant Documentation (title and location)	
	Click or tap here to enter text.	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	Client Approver: Click or tap here to enter text.	Click or tap to enter a date.
	Relevant Documentation (title and location) (First Transit Safety Plan and other Client Documentation)	
	Click or tap here to enter text.	

Version Number and Updates

Record the complete history of successive versions of this plan.

Version Number	Section/Pages Affected	Reason for Change	Date Issued
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Original	All pages are original version	First Official version of Safety Plan	May 2019
Update	All pages	FTA recommendations incorporated	March 2020

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.

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.

4. Safety Performance Targets

Safety Performance Targets

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

Mode of Transit Service	Fatalities (Total)	Fatalities (per 100K VRM)	Injuries (Total)	Injuries (per 100K VRM)	Safety Events (Total)	Safety Events (per 100K VRM)	System Reliability (Total)	System Reliability (per 100K VRM)	Other (Client Required, if any)
Fixed-Route	0	0	0	0	0	0	0	0	0
Para-Transit									
Deviated Fixed-Route									
Demand Response	0	0	0	0	0	0	0	0	0



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.

Client deals directly with NTD and the Metropolitan Council.

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	State Entity which receives performance numbers: Click or tap here to enter text.	Click or tap to enter a date.
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	MPO which receives performance numbers: Click or tap here to enter text.	Click or tap to enter a date.
	MPO which receives performance numbers: Click or tap here to enter text.	Click or tap to enter a date.

5. 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="863 560 1289 856" 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).

<p>Accountable Executive <i>(Same as Section 2. - Transit Agency Information – OPERATING LOCATION SPECIFIC)</i></p>	<p>Len Simich</p>
<p>Chief Safety Officer or SMS Executive <i>(Same as Section 2. - Transit Agency Information – OPERATING LOCATION SPECIFIC)</i></p>	<p>Jason Kirsch</p>
<p>Agency Leadership and Executive Management</p>	<p>Resident Management Team: Al Halaas – General Manager Anna Wong - Assistant General Manager Bob Froemming – Safety Manager</p>
<p>Key Staff</p>	<p>Region Staff: Region Safety Manager: Clint Wellard Region Safety Director: James (Casey) Hitchcock Region Maintenance Director: NA Region Director of Operations: Julie Sellner Region Vice President: Paul Buharin Region Vice President: Click or tap here to enter text.</p>



	Region Vice President: Click or tap here to enter text.
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<p>Additional Accountability</p> <p><i>(Local Staff Responsibility)</i></p>	<p>Use the following Safety Responsibility and Task Matrix assign safety responsibilities for the tasks listed. If tasks are performed at a specific location that is not listed in the Matrix, add it.</p> <p>Check the appropriate box for the responsible position then name the person responsible in the last column.</p> <p>AE: Accountable Executive CSO: Chief Safety Officer OPS: Operations MNT: Maintenance HR: Human Resources AL: Agency Leadership KS: Key Staff</p>																																								
<table border="1" style="width: 100%; background-color: #e6f2e6;"> <thead> <tr> <th colspan="8">Safety Responsibility and Task Matrix</th> </tr> <tr> <th>Responsibilities and Tasks</th> <th>AE</th> <th>CSO</th> <th>OPS</th> <th>MNT</th> <th>HR</th> <th>OTHER</th> <th>Responsible Personnel</th> </tr> </thead> <tbody> <tr> <td>Establish annual safety objectives for submission to the GM at the beginning of each fiscal year</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td>AL:<input type="checkbox"/> KS:<input type="checkbox"/></td> <td>AL:<input type="checkbox"/> KS:<input type="checkbox"/></td> <td>AL:<input type="checkbox"/> KS:<input type="checkbox"/></td> <td>AL:<input type="checkbox"/> KS:<input type="checkbox"/></td> <td>Click or tap here to enter text.</td> </tr> <tr> <td>Submit a report on the safety performance at the end of each fiscal period</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td>AL:<input type="checkbox"/> KS:<input type="checkbox"/></td> <td>AL:<input type="checkbox"/> KS:<input type="checkbox"/></td> <td>AL:<input type="checkbox"/> KS:<input type="checkbox"/></td> <td>AL:<input type="checkbox"/> KS:<input type="checkbox"/></td> <td>Click or tap here to enter text.</td> </tr> <tr> <td>Submit the following:</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td>AL:<input type="checkbox"/></td> <td>AL:<input type="checkbox"/></td> <td>AL:<input type="checkbox"/></td> <td>AL:<input type="checkbox"/></td> <td>Click or tap</td> </tr> </tbody> </table>		Safety Responsibility and Task Matrix								Responsibilities and Tasks	AE	CSO	OPS	MNT	HR	OTHER	Responsible Personnel	Establish annual safety objectives for submission to the GM at the beginning of each fiscal year	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.	Submit a report on the safety performance at the end of each fiscal period	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.	Submit the following:	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap
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	period operations and safety data; accident and incident reports; and site safety review results			KS: <input type="checkbox"/>	KS: <input type="checkbox"/>	KS: <input type="checkbox"/>	KS: <input type="checkbox"/>	here to enter text.
	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	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
	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	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
	Review of all safety aspects of departmental procedures including: First Transit policies/instructions; Standard Operating Procedures; HR policies; safety and health policies	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
	SMS Review and Modification	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter



			KS: <input type="checkbox"/>	KS: <input type="checkbox"/>	KS: <input type="checkbox"/>	KS: <input type="checkbox"/>	text.
Safety Solutions Team Meetings	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Daily Safety & Health Walkthrough	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Safety related reports to external agencies	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Near miss and route hazard report investigations	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Investigation of safety related trends	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Coordination with United States and State Departments of Labor and Occupational Safety and Health Administration (OSHA)	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Environmental Management Oversight	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Hazard Management Process	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Managing Safety Validation of Change Process	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Safety Data Reporting	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Investigations	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.
Advise to update SOPs, Rules, and Emergency Plans	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Click or tap here to enter text.



	Emergency Response	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.
	Fire Protection	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.
	Shop Safety Hazardous Tools Inspections	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.
	Review Vehicle Maintenance and Failure Data	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.
	Perform Vehicle Maintenance Inspections/Audits	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.
	Training, Certification, Review, and Audit	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.
	Personal Protective Equipment Review	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.
	Hazardous Materials Management	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.
	Drug and Alcohol Abuse Program	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.
	Procurement	<input type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	AL: <input type="checkbox"/>	Click or tap here to enter text.

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 comfortable discussing these unsafe conditions with fellow employees, they are encouraged to discuss the situation with management or report it in writing.

not

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.

Reporting Options

At First Transit reporting unsafe practices, policy violations, violations of the law, etc. is encouraged, and in some instances required, of all employees. The primary goal is to be able to identify areas where risk of injury to personnel or customers, or destruction of property may exist; and develop measures to mitigate those risks.

Near miss and hazard reporting

Date / / Near miss report Hazard report

Name _____

Location _____

Observation(s) _____

Actions required _____

Who is to complete the action(s)? _____

Contractor Employee Visitor Other

First



Unless the employee's action or in-action is egregious, disciplinary action is not warranted.

Employees that fail to report mandatory items, such as:

- 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

that could lead to serious harm, are subjected to the disciplinary process describe later in this section.

Employees are **encouraged** to report:

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.

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.

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 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.

Employees are REQUIRED to report the following. Failure to do so WILL lead to disciplinary action.

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 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:

- Mandatory Reporting failure including:
 - 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
 - Failure to report law enforcement actions
- 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**.

6. 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 from internal sources such as employee reporting, customer feedback, maintenance records; and external sources such as the Federal Transit Administration and local oversight authority is used to implement immediate corrective actions and to proactively identify hazards and potential consequences before they cause future accidents or incidents.

The objective of hazard identification is to identify those conditions that can cause an accident or create an unsafe condition and determine possible consequences if the unsafe condition is not corrected. First Transit routinely analyzes records from our operation and external sources as they become available to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspection of established prevention processes are routinely performed.

First Transit also takes an additional proactive step with its **SOP #208 – Safety Validation of Change** to identify hazards and consequences **PRIOR** to implementing any changes to operations.

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 Mitigation of safety risk
- 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.

Accident/Incident Hazard Identification

Procedures exist and are followed regarding resolution of accidents and incidents and capturing data. Although this information is used proactively, First Transit takes advantage of these opportunities to determine which, if any hazards existed that may have contributed to the accident or incident and develop mitigation measures to reduce the risk of a recurrence.

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

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”

▪ **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.

Information learned from this identification process is used to improve training and reduce or eliminate the underlying causes.

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 likelihood of it occurring. Likelihood of occurrence 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 likelihood of occurrence categories.

Likelihood of Occurrence of a Hazard			
Description	Level of Likelihood of Occurrence	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.

Mitigation of safety risk

Mitigation of safety risk 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 mitigation of safety risk process are to:

1. Identify areas where mitigation of safety risk 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

Mitigation of Safety Risk Management and Tracking

Resolution of identified hazards are managed by the Location General Manager and/or the Location Safety Manager. The mitigation of safety risk 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.



7. 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.

Risk/Safety Data Flow

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.



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	First Group Safety Council	First Group America Safety	Performance Review Management	Safety Advisory Committee
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				(ESC)		Council	(PRM)	
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			
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 	<ul style="list-style-type: none"> • Complete SOP #208a – Safety Validation of Change Form, Section A2 	<p>Category A: Group Safety Director</p> <p>Category B: Divisional head of Safety</p>
	Expenditure Approval) <ul style="list-style-type: none"> • Inform relevant functional Director(s) and Manager(s) 	Change Form , Section A1	



	proportional to the level of risk		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 Review performance process 	<ul style="list-style-type: none"> Check compliance as part of Region Safety Monitoring Review effectiveness of the process as part of Region oversight 	Location Safety Manager Corporate Safety Management Vice President of Safety - First Transit



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 likelihood 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.

8. 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 and hazard reporting

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.

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.

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:

- To make progress on our way to “Zero Harm”.
- To make safety a personal core value through behaviour change.
- 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.

Recognition

Whilst 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.

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', and 'Safety Solution Team'. The main title is 'Safety Solutions Team Recognition Packet' with the subtitle 'Identify and recognize your safety team members'. It shows a blue hooded jacket labeled 'SST Members Award Jacket' and a black attaché case with a pen labeled 'SST Member Attaché Kit Includes attaché case, padfolio and pen'. Below this is a text box: '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, one for 'Eric Edwards Safety Solution Team Member Since 2014'. A pink footer bar contains the text: 'The Image Group is a FGAFirst 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



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.

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

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
- 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 #807; #807a; #807b; #807c
- 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



SOUTHWEST TRANSIT

MEMORANDUM

To: SouthWest Transit Commission

From: Len Simich, CEO

Date: December 2, 2021

Subject: Agency 2021 Goals and Objectives Results

REQUESTED ACTION:

That the Commission's accept the results of the 2021 Agency Goals and Objectives.

BUDGET IMPACT:

Achievement of the goals established at the beginning of the year, qualifies staff (excluding the CEO) for an annual Performance/Merit Award. This amount is budgeted each year as part of the employee compensation identified in the annual agency budget.

BACKGROUND:

Attached you will find the results of the 2021 Agency Goals/Objectives established by the Commission in January (2021).

Completion of agency goals are factored into each employee's annual review and is considered part of their annual merit reward. This helps ensure a "team based" approach to the overall agency success.

As we all know 2021 was far from a normal year. Transit agencies around the entire country continued to be impacted by COVID-19, and SouthWest Transit was no exception.

While we continued to have losses in both ridership and farebox revenue, the cost containment actions taken early on not only allowed us to deliver a balanced budget for 2021 but has set us up to recover fully by the end of 2022.

As for the goals identified for 2021, I believe the Commission will be very pleased at what was accomplished given the circumstances we had to deal with over the course of the year.

RECOMMENDATION:

That the Commission's adopt the results of the 2021 Agency Goals and Objectives.

The 2021 Agency Goals

Improve System Quality:

1. Maintain customer satisfaction at 99% or better. – **Broaden beyond riders – Communities Leader/Organizations/Other stakeholders. Achieved**
2. Respond to all complaints within one business day. Resolve complaints/respond to customer within 5 business days from the date complaint received. **Achieved**
3. Answer phone inquiries within 15 seconds of call coming in. **Achieved**
4. Answer virtual customer service calls in 35 seconds or less. **Achieved**
5. Daily inspect facilities and vehicles and ensure that all pass Leadership Team spot inspections for maintenance and cleanliness. **Achieved**
6. Address all overload situations immediately (greater than 50% capacity during COVID). **Achieved**
7. Complete all audits of drivers/routes (Each driver once per quarter. Physically audit express drivers. Video audits of Prime drivers). **Achieved**
8. Ensure all schedule outlets, stations and vehicles have up-to-date schedules, postings, and information (inspect bi-weekly). **Achieved**

Scoring: X of 8

8

Improve System Reliability, Safety and Security:

1. Maintain the number of road calls per mile to at least 1 per 48,000 miles or better (NTD Standard). **Achieved**
2. Maintain on-time performance at 99% of 1st stop, and 95% of arrival time. Audited quarterly by Dispatch. **Achieved**
3. Perform 100% of scheduled trips/stops throughout the year (contract definition). **Achieved**
4. Maintain the number of chargeable accidents at or below .75 per 100,000 miles traveled (NTD). **Achieved**
5. Pass OSHA audit/inspection without any major violations (code red). **Achieved**
6. Zero days lost due to preventable injury. **Achieved**
7. Complete all EPP training and perform per the plan during times of emergencies or unplanned situations (i.e. storms, pandemic, and others). **Achieved**
8. Pass State Patrol vehicle inspections without any violations. **Achieved**

Scoring X of 8

8

Strengthen the Overall Agency:

1. Achieve ridership increase to Q4 of 2020 in 2021 (given outside factors allow for ridership increase/stabilization). **Achieved**
2. Achieve overall system subsidy per passenger decrease to Q4 of 2020 by Q4 2021 (Average for both Express and Prime again, if outside factors allow for ridership growth/stabilization). **Did not Achieve**
3. Maintain a healthy fund balance between 25% - 35% of our annual operating funds. **Achieved**

4. Reduce discrepancy between the actual inventory and the amount shown in the system at 1% or less and not exceed \$250,000 in overall value. **Achieved**
5. Achieve an “unqualified” outside audit opinion (highest opinion available); findings should include no material weaknesses, no noncompliance findings, no internal control issues, and no significant deficiencies. **Achieved**

Scoring X of 5

5

“Major Projects/Tasks”

Administrative

- Continue to refine agency succession strategies. Implement organizational changes and fill key positions. **Achieved**
- Complete Strategic Plan update. **In-Process should be done by years end**
- Maintain financial stability. Advocate for fair share of MVST and CARES funding. **Achieved**
- Maintain/build a strong dedicated workforce. **Achieved**
- Ensure the safety of our customers and staff. Ensure Safety and Security Plans (EPP) is updated annually and meet all federal requirements. **Achieved**
- Expand leadership influence. Maintain strong relations with local, state, and federal political leaders. **Achieved**
- Ensure Asset Management Plan is updated annually and meet all federal requirements.
- Coordinate COVID-19 Response. **Achieved**
- Improve upon operational efficiencies. **Achieved**
- Masterplan and partner on the development of the final parcel available at SW Village. **Achieved**

Adjusted scoring of 10

10

Ops/Planning

- Launch Shakopee Prime Service. **Achieved**
- Launch 494 Prime service to the Airport/MOA. **Achieved**
- Pilot app-based scheduled on one or more of the SW Prime services (MD, Shakopee, 494). **Achieved**
- Build back services efficiently to meet growing ridership. **Achieved**
- Make meaningful progress on demonstrating Autonomous Vehicle technologies in the SWT service area. **Achieved**
- Purchase two electric vehicles for SW Prime service (if the technology and vehicle can meet SWT operating needs). **Achieved**
- Restart Special Event services when able. **Achieved**
- If operating State Fair service, ensure all resources (drivers, vehicles, grounds staff, supplies) are ready and available. **Achieved**
- Complete joint systemwide planning study with MVTA. **Achieved**

- Make meaningful progress on expanding SW Prime MD. **Achieved**
- Ensure the agency is meeting new Federal safety reporting standards. **Achieved**

Adjusted scoring X of 11 **11**

Marketing

- Continue brand awareness push “Premier Provider of Transit Services.” **Achieved**
- Develop SW Prime rebranding options and implement if approved. **Decision made to push into 2022**
- Refresh/Update the website. **Did not Achieve**
- Rebuild relationships within the community (senior centers, arboretum, schools). **Achieved**
- Restart and implement travel training program. **Achieved**
- Implement Back of Bus Back Campaign. **Did not Achieve**
- Develop and implement formal community and business outreach program. **Achieved**
- Develop and implement campaigns for returning services and new services – Shakopee, 494, Special Events, returning express services. **Achieved**

Adjusted scoring X of 7 **5**

IT

- Complete eMaint Migration. **Achieved**
- Replace Exacqvision Servers at SWV, CTS and ECS. **Achieved**
- Replace Toughbook laptops in Shop. **Achieved**
- Replace iPads in SW Prime Fleet. **Achieved**
- Install External Wi-Fi access points. **Achieved**
- Update/Implement Agency Information Security Program. **Achieved**
- Increase Network Security where available. **Achieved**
- Train Users to avoid Social Engineering scams. **Achieved**
- Install Lobby Ticketing (GoTo card) machines. **Achieved**
- Implement 2FA for user logins. **Achieved**
- Successfully test IT disaster recovery. **Achieved**

Adjusted scoring X of 11 **11**

Finance

- Work Closer with departments strengthen financial understanding. **Achieved**
- Determine agency staffing needs/reorganization. **Achieved**
- Bring Payroll, Grant Management, and Asset Management functions into the Finance Department. **Achieved**
- Effectively invest new revenues and continue laddering implementation. **Achieved**
- Achieve GFOA Award. **Achieved**
- Secure training and advancement opportunities for all finance staff. **Achieved**
- Secure new Audit services contract. **Decision made early to push out into 2022**
- Secure new Banking services contracts. **Did not Achieve**

- Maintain healthy Fund Balance/Reserve Account. **Achieved**

Adjusted scoring X of 8 7

HR

- Monitor and update job descriptions, grade totals, and salary ranges as needed (i.e. classification and compensation studies). Identify “Steps” for advancement. **Achieved**
- Conduct 2 “all staff” training sessions. **Did not Achieve**
- Conduct annual employee engagement survey. **Achieved**
- Conduct monthly OSHA safety training. **Achieved**
- Research new insurance benefit options. **Achieved**
- Research Health Savings options for those employees on the VEBA system. **Achieved**
- Clean-up all prior HR issues (Long-term Disability Coverage; PTO earnings and carry-over; Job Description and grading totals; TASC). **Achieved**
- Complete Job Equity Report. **Achieved**
- Implement stronger Procurement oversight process. **In Process but did not Achieve by end of 2020.**
- Formulate/write-up Pandemic Response Plan. **Achieved**

Adjusted scoring X of 10 8

Facilities (Buildings and Grounds)

- Complete ramp PM repairs at SW Village and CTS. **Achieved**
- Complete Garage roof reconstruction/replacement project. In process. **Was pushed into 2022 by contractor’s supply chain issues**
- Manage/oversee SW Station construction ensuring brand standards are met. **Achieved**
- Identify multi-year training plan for Facility employees. **Achieved**
- Ensure all facilities staff are trained and properly using E-Maint. **Did not Achieve**
- Complete Pre-cast repairs to ECS. **Achieved**
- Complete final garage construction projects including fitness room shower and locker rooms; outside landscaping, garage painting. **Achieved**
- Ensure snow is removed and all walk areas are safe and cleared after snow fall. **Achieved**
- Ensure all route buses and buildings are cleaned and disinfected daily. **Achieved**

Adjusted scoring X of 8 7

Vehicle Maintenance

- Achieve a PM compliance of 91%. **Achieved**
- All B level or higher technicians get certified on at least one Cummins engine. **Achieved**
- Collectively complete 100 MCI training classes. **Achieved**
- Collectively complete 50 Prevost online classes. **Achieved**

- Ensure all non-Master level technicians obtain at least one ASE certification in 2021. **Achieved**
- Pass all State inspections. **Achieved**
- Complete all mid-life rehabs. **Achieved**

Adjusted scoring X of 7 7

Totals

Points Available =93

Points Earned = 86

Percentage Achieved = 92%

Bonus?

Performance/Incentive Compensation

- **95%-100% = \$600**
- **89%-94% = \$500**
- **83%-88% = \$400**
- **75%-82% = \$300**
- **Below 75% = \$0.0**

New Business



SOUTHWEST TRANSIT

To: SouthWest Transit Commission

From: Len Simich, CEO
Souriyong Souriya, Finance Director
Gary Groen, finance Consultant

Date: December 2, 2021

Subject: 2021 Operating and Capital Proposed Amendment Budget

REQUESTED ACTION:

That the Commission approve resolution 21- 11 both the proposed amended 2021 Operating and Capital Budget as attached.

BUDGET IMPACT:

Amended 2021 Budget: Operating Expense = \$11.3 million
Amended Total Revenue = \$13.9 million
Working Capital Expenditures = \$820k
Operating Reserve Balance = 61%

BACKGROUND:

Revenue

The 2021 budget was prepared at a time when the lingering effects of the COVID 19 pandemic were difficult to anticipate. The 2021 budget anticipated a return to some “normal” service levels in the second half on the year. It was expected the downtown businesses would return on July 1 and the demand for services would return. However, the return to the office has been slowed and the resulting actual revenues and expenditures reflect this.

2020 passenger fares included three months of full service and nine months of the full impact of the pandemic. The actual passenger fare revenue was expected to increase in the second half of 2021 and the budgeted revenue was increased to \$748k. However, the ridership has been slow to return as downtown business and the university have not returned to pre-pandemic levels. The amended passenger fare revenue has been reduced to \$405k.

The federal government has provided SWT with a second round of assistance and has provided \$2 million Coronavirus Response and Relief Supplement Appropriations Act of 2021 (CRRSA) Section 5307 funding to offset the cost of transportation related services. This federal assistance was not expected at the time of the adoption of the 2021 revenue budget and will be included in the 2021 amended budget.

The 2021 MVST was budgeted at \$8.3 million but the actual revenue has surpassed all expectations of the pandemic and the amended 2021 MVST budget will be increased by \$2 million to \$10 million.

The 2021 amended revenue budget is increased by \$3.6 million to \$13.9 million.

Expenditures and Transfers

The 2021 proposed amended expenditure budget will be decreased by \$2.3 million to \$11.3 million. The 2021 pandemic delayed the service level increases planned for the second half of the year. As a result, the operation expenditures proposed budget amended will be and reduced by \$1.6 million and vehicle maintenance expenditures will be amended and reduced by \$333k.

The Commission approved the accumulation of resources to establish a Capital Improvement Fund at the September Commission meeting. The Capital Improvement contributions included a \$2,000,000 transfer from the General Fund.

General Fund Balance

With the amended 2021 budget, it is expected the General fund balance at year end will be approximately \$8.2 million or 61% of the approved 2021 expenditures budget.

RECOMMENDATION:

That the Commission approve resolution 21- 11 both the proposed amended 2021 Operating and Capital Budget as attached.

Attachments:

2021 Proposed Amendment Budget Document



**SOUTHWEST TRANSIT COMMISSION
RESOLUTION #21-11
2021 Proposed Amended Budget General Fund Operating and Capital**

WHEREAS, the SouthWest Transit staff has prepared the 2021 Proposed Amended operating budget on general guidelines from the Commission, and;

Whereas, the SWT budget for the General Fund operating budget are presented in the 2021 Proposed Amended budget document, and

Whereas, the General Fund expenditures will be financed by the planned not to use the reserves, and

Whereas, the SWT Amended Budget General Fund balance at 61% of the budgeted expenditures, and

Whereas, the SWT staff met with the Budget Task Force on December 1st, and

WHEREAS, the budgets for all funds are summarized as follows:

WHEREAS, SWT staff requests the approval of the following 2021 proposed budget amendments:

- The General Fund revenue budget estimates have been increased by \$3 million due primarily of the \$2 million in CRRSA 5307 funding and increased \$2 million from MVST and RAMVST, and
- Fare revenue has been decreased \$344k due covid pandemic and ridership decline.
- Miscellaneous revenue increased by \$120k due to insurance dividend.
- 5307 NTD Funding \$682k

- The General Fund expenditures budget estimates have been decreased by \$2.7 million.

- The General Fund expenditure resources have been reallocated as follows:
 - Administration is increased by \$57k
 - Operations is decreased by \$1.6 million
 - Vehicle Maintenance is decreased by \$333k
 - Facility Maintenance is decreased by \$52k and
 - Capital costs of operations were decreased by \$273k
 - 5307 NTD Funding \$682k
 - Transfers \$2 million to the EPG Roof Replacement Capital Project

NOW, THEREFORE, BE IT RESOLVED that the approved 2021 General Fund Proposed Amended budget is as follows:

						2021 Proposed Amended Budget	
						Revenue	Expenditures
General Fund						\$ 13,900,000	\$ 11,300,000

ADOPTED by the SouthWest Transit Commission on the 9th day of December 2021.

Chair

ATTEST:

Secretary Treasurer



SOUTHWEST TRANSIT

MEMORANDUM

TO: SouthWest Transit Commission

FROM: Len Simich, Gary Groen & Souriyong Souriya

DATE: December 2, 2021

SUBJECT: Proposed 2022 General Fund Revenue and Expenditure Budgets

REQUESTED ACTION:

That the Commission approve resolution 21- 12 both the proposed 2022 Operating and Capital Budget as attached.

BUDGET IMPACT:

2022 Operating Budget: Proposed Operating Expense = \$13.3 million
Proposed Operating Revenue = \$10.6 million
Working Capital Expenditures = \$1.5 million
Projected Year-End Operating Reserve = 42%

BACKGROUND:

Revenue

The 2022 budget is prepared at a time when the effects of the COVID 19 pandemic still effect. The 2022 revenue and expenditures budget anticipate a return to the more “normal” service levels that were anticipated in the second half of 2021.

The actual passenger fare revenue has increased slightly in the second half of 2021. It is currently projected the passenger fares will increase by 36% to \$549k in 2022. This is a \$144k increase over the projected 2021 passenger fares and is \$135k less than the 2020 actual passenger fare revenue. It is expected the federal assistance received in 2020 and 2021 (approximately \$4.6M) will offset the loss of passenger fare and MVST revenue in future years.

In 2020 and 2021 the federal government assisted SWT in maintaining essential services. There is no federal assistance included in the 2022 revenue budget. Pending is the allocation of \$3.4 million from the phase 3 American Rescue Plan (ARP) COVID relief to be determined.

The amended 2021 MVST is budgeted at \$10.3 million. The Metropolitan Council (MC) has recently provided SWT with its 2022 MVST projection. The current 2022 budget is 90% of the MC estimate or \$9 million. SWT has reduced the MC estimate because of the scarcity in auto inventories in the current marketplace.

Expenditures and Transfers

Service levels did not increase as originally expected in the second half of 2021. It is projected the service levels will increase in 2022 and include new and expanded service areas including Shakopee, 494/airport, Prime MD to St. Louis Park and Edina, grocery getter and others. Much of this was expected in 2021 but because of the pandemic was delayed until 2022. It is also expected the overall cost of doing business will increase due to the inflationary pressures for salaries and wages (especially driver wages), fuel, vehicle parts and other basic services. In addition, the management fee for the First contract was voluntarily reduced by 50% during the pandemic but is set to expire. The 2022 operations expenditure budget is \$6.1 million or 25% increase over the amended 2021 budget.

With the planned increase in service levels, the vehicle maintenance budget will also increase. The 2022 budget for vehicle maintenance is \$1.9 million up 17% over the amended 2021 budget.

Capital expenditures will be financed from resources accumulated in the Capital Improvement Fund and the NTD funding received through the Met Council. The 2022 capital expenditures included in the General Fund are in addition to the scheduled roof repair.

Resources were accumulated in a Capital Improvement Fund from the resources in various capital and debt service funds and approved by the Commission in September 2021. The Capital Improvement Fund resources will be used to finance SWT capital expenditures anticipated in 2023 and future years.

General Fund Balance

The General Fund balance will decrease by \$2.7 million, and the estimated ending General Fund balance at \$5.5 million at December 31, 2022 or 42% of budgeted expenditures.

RECOMMENDATION:

That the Commission approve resolution 21- 12 both the proposed 2022 Operating and Capital Budget as attached

Attachments:

2022 Proposed Budget Document



**SOUTHWEST TRANSIT COMMISSION
RESOLUTION #21-12
2022 Proposed General Fund Operating and Capital Project Funds Budget**

WHEREAS, the SouthWest Transit staff has prepared the proposed 2022 operating budget on general guidelines from the Commission and the regional revenue allocation model currently in place, and;

Whereas, the SWT budget for the General Fund operating budget and the capital projects funds are presented in the 2022 budget document, and

Whereas, the General Fund expenditures will be financed by the planned use of \$2.7 million of reserves, and

Whereas, the Budget will maintain the General Fund balance at 42% of the budgeted expenditures which is within the fund balance guidelines established by the Commission, and

Whereas, the SWT staff met with the Budget and Personnel Committee on December 1, and

WHEREAS, the budgets for all funds are summarized as follows:

Fund	Revenue	Expenditures
General fund	\$ 10,600,000	\$ 13,300,000
Capital projects funds		
Capital Improvement Fund	\$0.00	\$0.00
EPG Roof Replacement	\$0.00	\$2,000,000
SWS Development	\$45,000.00	\$0.00
Total	\$ 10,600,000	\$ 15,300,000

NOW, THEREFORE, BE IT RESOLVED that the 2022 budget be adopted for the above-mentioned funds.

ADOPTED by the SouthWest Transit Commission on the 9th day of December 2021.

Chair

ATTEST:

Secretary Treasurer



2021 PROPOSED AMENDED BUDGET

2022 PROPOSED BUDGET

December 9, 2021

SOUTHWEST TRANSIT	
TABLE OF CONTENTS	
2021 PROPOSED AMENDED BUDGET AND	
2022 PROPOSED BUDGET	
	Page Number
2021 & 2022 Proposed Budget Assumptions	i-vi
2022 Proposed Budget Summary	1
General Fund Summary of Revenues and Expenditures	2
Agency Fund Balance Reserves	3
General Fund - Revenue Summary	4
General Fund - Expenditures Summary	5
Budget Detail	6-11
Capital Improvement	12
EPG Roof Replacement	13
SWS Development	14
Facility Maintenance Summary	15-19
2021 & 2022 Capital Costs of Operating and Other Capital Projects	20-22
Budgeted Employee Full Time Equivalent	23



2021 Proposed Budget Amendments

GENERAL FUND

General Fund – The 2021 General Fund budget was adopted by the Commission in December 2020. The budget was adopted assuming full service for the year. The 2021 budget was prepared at a time when the lingering effects of the COVID 19 pandemic were difficult to anticipate. The 2021 budget anticipated a return to some “normal” service levels in the second half on the year. It was expected the downtown businesses would return on July 1 and the demand for services would return. However, the return to the office has been slowed and the resulting actual revenues and expenditures reflect this.

The 2021 amended budget reflects that SWT received \$2.1 million through the Metropolitan Council allocation of federal funds through the Coronavirus Response and Relief Supplement Appropriation Act of 2021 (CRRSA) section 5307 funding. The CRRSA funding provides for the reimbursement of transportation services and fuel costs beginning January 1, 2021.

The actual passenger fare revenue was expected to increase in the second half of 2021 and the budgeted revenue was increased to \$748k. However, the ridership has been slow to return as downtown business and the university have not returned to pre-pandemic levels. The 2021 amended budget for passenger fares is reduced to \$405k.

The 2021 amended budget increases the MVST and RAMVST by \$1.7 million and \$319k, respectively to reflect a slight increase in the projected funding. The MVST and RAMVST collections through October are on budget and the seasonally adjusted sales tax collections in November and December should total the amended budget total of \$10.4 million.

The NTD funding of \$683k was included as both a revenue and expenditure in the amended operating budget as the NTD funding was made available for operations because of the pandemic.

The 2021 amended revenue budget is increased by \$3.6 million to \$13.9 million.

Expenditures and Transfers

The 2021 amended expenditure budget reduced the total operating expenditures by \$2.3 million to \$11.3 million. The 2021 pandemic delayed the service level increases planned for the second half of the year. As a result, the operation expenditures budget will be amended and reduced by \$1.6 million and vehicle maintenance expenditures will be amended and reduced by \$333k. Additionally SWT will purchase the deed restriction on property at our SouthWest Village location in 2021, the purchase price for the deed is \$450k.

The Commission approved the accumulation of resources to establish a Capital Improvement Fund at the September Commission meeting. The Capital Improvement contributions included a \$2 million transfer from the General Fund.

General Fund Balance

The amended 2021 General Fund budget projects an increase in fund balance. The increase in the fund balance can be attributed to 1) the proactive response of management in reducing both service levels and staffing to match a reduction in ridership, and 2) the second relief funding via CRRSA 5307. It is anticipated the increase in the fund balance is only temporary. The 2022 budget assumes the return to full service and staffing and the ridership returning to pre-COVID levels at some point in 2022.

General Fund Balance

With the amended 2021 budget, it is expected the General fund balance at year end will be approximately \$8.2 million or 61% of the proposed amended 2021 expenditures budget

2022 Proposed BUDGET ASSUMPTIONS

GENERAL FUND

General Fund – The General Fund is the general operating fund of SWT. It is used to account for all financial resources and transit expenditures except those required to be accounted for in another fund. The General Fund revenue budget consists primarily of the motor vehicle sales tax revenues and passenger fares. The General Fund expenditure budget includes the transit administration, operations and vehicle and facility maintenance activities. The General Fund revenue budget totals \$10.6 million and the expenditure budget totals \$13.3 million. The expenditures exceed the revenue budget by \$2.7 million and reduce the fund balance to 42% of the 2022 expenditures budget.

SWT 2022 budget is prepared at a time when the effects of the COVID 19 pandemic still in effect. The 2022 revenue and expenditures budget anticipate a return to the more “normal” service levels that were anticipated in the second half of 2021.

Fund Balance Reserves – In 2016, the Commission passed a General Fund Balance policy to maintain a fund balance of 25% to 35% of the current year’s budgeted expenditures, consistent with policies established by the Met Council. The 2022 Proposed General Fund budget reduces the fund balance reserve from 61% on December 31, 2021, to 42% at the end of 2022.

General Fund Revenue

The 2022 General Fund revenue budget totals \$10.6 million. Southwest Transit prepared its General Fund budget using the following revenue assumptions:

- The Motor Vehicle Sales Tax Revenue (MVST) and Regional Allocated Motor Vehicle Sales Tax Revenue (RAMVST) is based on the Minnesota Department of Revenue projection of the sales tax to be collected for public transportation services in accordance with Minnesota Statutes. The 2022 MVST and RAMVST revenue forecast is based on 90% of the State's most recent revenue forecast and information received from the Metropolitan Council. The 2022 allocation of the MVST and RAMVST between the Metropolitan Council and the Suburban Transit Providers will remain the same as 2021.
- The combined MVST and RAMVST totaling \$9 million included in the 2022 revenue budget is based on 90% of the State's most recent revenue projection. The 90% revenue projection was reduced from the Metropolitan Council estimate because of the scarcity in auto inventories in the current marketplace. While sales tax collections have remained strong throughout 2021 both COVID 19 and the overall economy may affect future sales tax collections. The 2022 MVST and RAMVST revenue budget represents a 13.1% decrease from 2021.
- The MVST and RAMVST account for nearly 85% of the revenue necessary to finance the anticipated operations of SWT in 2022
- Passenger fares are estimated at \$549k or 6.7% of total budgeted revenues. The 2022 estimate is 10% of the pre-COVID 19 ridership level for fixed route and is based on the ridership information September 2021. The demand response (Prime Service) is increase by 20% of the pre Covid 19. It is expected the current ridership levels will continue well into 2022.
- Pass through expenditures are financed from grant reimbursements. 2021 grant reimbursements are expected from the CMAQ grant financing the Carver (\$30k) and 5307 NTD (\$705k). SWT's 20% share of the CMAQ grant service is included in the operations expenditure budget.
- Other miscellaneous total \$306k and include advertising revenues primarily from bus wrap advertising and insurance dividend.
- The 2022 budget does not reflect the \$3.4 million phase 3 American Rescue Plan Act (ARP Act) funding. It is yet to be determined if SWT will receive these funds.

General Fund Expenditures

Overall Expenditures

Staffing

The overall staffing for SWT was decreased during 2021 in response to the COVID 19 pandemic. These reductions are reflected in the proposed amendments to the 2021 budget. Th staff positions will be added back again in 2022 and are reflected in the proposed expenditure budget. The 2022 budgeted salaries have been increased by 2-5% due to the inflation cost of living and health insurance benefits are increased by 9% based on information received to date. SWT has adopted and budgeted an inflation wage adjustment of 2% per employee for 2021 and 2022. The 2022 budget also includes the reassignment of current staffs within the various departments and the transition of CEO retirement.

Casualty, Liability and Workers Compensation Insurance

The insurance included in the 2021 amended budget were increased to reflect the increased premium cost. SWT met with its agent October 2021 to review the insurance coverage and premiums for 2022. The total premium is estimated at \$480k which is approximately 6% more than the 2021 premium costs. The premium is allocated to the various departments within the General Fund budget.

Capital Cost of Operating

These costs are major capital expenditures for equipment, repairs and replacements that do not occur on an annual basis. Significant items include technology upgrades, preventative maintenance assessments and additional vehicles and equipment.

Financing required for the capital cost of operations that exceed those funds available in the General Fund may be financed from funds in the Capital Improvement Fund, EPG Roof Replacement Fund, Development Fund or Federal Transportation funding (NTD) available thru the Met Council. The complete list of capital items scheduled for 2022 includes those items that will be financed by SWT sources. NTD funding is anticipated to finance an additional \$705k of SWT capital costs.

Administration

The Administration Department provides the management and support systems for the Agency. This Department includes the activities of the Commission, Administration, Financial and Budget Services, Payroll, Personnel, Risk Management, and IT Services not charged to other departments.

The administrative staff includes the CEO, Chief Administrative Officer, HR Administration and Payroll, Marketing and Customer Service Representatives and the Finance Department.

The 2022 administrative staff includes 9.25 Full-time Equivalents (FTE's), an increase of 2.25 FTEs from the 2021 amended budget. This staff increase is in response to the service level increases expected after the pandemic and the transition of CEO's retirement. The Marketing expenditure has increase but is off set by the advertising revenue. The 2022 proposed administrative budget totals \$1.8million an increase \$287k or 19.6% from the 2021 administrative amended budget total of \$1.5 million.

Operations

The 2021 amended budget totals \$4.9 million and the 2022 proposed budget totals \$6.1 million, an increase of \$1.2 million or an increase of 24.6% from the 2021 amended budget. The 2022 budget reflects the gradual return of service to the pre-COVID 19 pandemic levels. It is expected the current service levels will continue until ridership levels begin to increase and the demand for additional service returns. Current service levels will continue through March 2022 before service levels will be reevaluated.

Included in the operations budget for 2022:

- Cost of 494 corridor expansion. This cost includes the addition of several Prime vehicles (100% share is funded by federal and Metropolitan Council resources) and the related contractual and operating cost (SWT share is 20%) of the new services.
- All Special Events EXCEPT only half of the State Fair (Fri-Sun. both weekends)
- Fixed route budgeted at a 10% increase starting in September.
- Prime service budgeted to increase by 20% overall throughout the year.
- General Operations budgeted at 84% of pre-pandemic operating hours by the end of 2022

If there is any additional revenue available (MVST, RAMVST) or increased demand for services returns, SWT will use the revenue to continue to restore service reductions of prior years.

Fuel Cost - The 2022 diesel fuel cost estimate is \$440k. The cost per gallon is estimated at \$2.60 for 2022. The diesel fuel cost has fluctuated since 2016 and actual cost per gallon in 2021 has averaged \$2.40 year-to-date.

The gasoline budget has also increased to \$250k and is based on current service levels. As the Prime service has increased the vehicles replaced and added to the SWT fleet are gas vehicles rather than diesel vehicles which are more fuel efficient. The fuel and gas cost estimates of \$2.55 per gallon are based on the 2021 estimated service miles driven plus the new service expected to be added in 2022.

Contracted Purchased Services – The 2021 operating budget for contracted services has increased to \$3.7 million and is approximately 30% higher than the level in the 2021 amended budget. The 2021 contracted service total also includes the 20% share of the new 494 corridor service.

Other-The operations staffing is 7.0 FTE compared to 6.50 FTEs currently. The 2021 adopted budget included 7.00 FTE and was reduced by .50 FTE due to the retirement of Chief Operation Officer.

Vehicle Maintenance

The Vehicle Maintenance budget for 2022 is \$1.9 million compared to the 2021 amended budget of \$1.6 million, an increase of 16.6%. The vehicle maintenance staff increased due to service levels increase in 2022. The 2021 amended budget included 10.50 FTE and has increased to 12.50 FTE in the proposed 2022 budget.

Facilities

The Facility Maintenance budget for 2022 is \$1.4 million compared to an amended 2021 budget totaling \$1.4 million, an increase of 4.4%. The 2021 amended budget included 9.00 FTE and will remain at 9.50 FTE in the proposed 2022 budget.

CAPITAL PROJECTS FUNDS

Capital Project Funds – The only capital projects activities of SWT are accounted for in the Capital Improvement Fund, EPG Roof Replacement, and Development Funds which are used to account for the accumulation of resources to be used for acquisition, construction, and maintenance of SWT property, plant, and equipment. The Commission has established Capital Projects Funds to finance the future repair and maintenance costs to assure the SWT assets are maintained in a state of good repair. All capital project funds are combined into one fund in 2021.

**SOUTHWEST TRANSIT
2022 PROPOSED BUDGET**

2022 Budget Summary

<u>Fund</u>	<u>Revenue</u>	<u>Expenditures</u>	<u>Transfers</u>	<u>Contribution (Use) of Fund Balance</u>	<u>Amended Budget Fund Balance 1/1/22</u>	<u>Projected Ending Fund Balance 12/31/22</u>
General fund	\$ 10,598,100	\$ 13,283,298	\$ -	\$ (2,685,198)	\$ 8,215,263	\$ 5,530,065
Capital projects funds						
Capital Improvement Fund	-	-	-	-	2,655,415	2,655,415
EPG Roof Replacement	-	2,000,000	-	(2,000,000)	2,000,000	-
SWS Development Capital	45,000	-	-	45,000	6,121,060	6,166,060
Total	<u>\$ 10,643,100</u>	<u>\$ 15,283,298</u>	<u>\$ -</u>	<u>\$ (4,640,198)</u>	<u>\$ 18,991,738</u>	<u>\$ 14,351,540</u>

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

General Fund Summary of Revenues and Expenditures

	2020 Original Adopted Budget	2020 Actual	2021 Adopted Budget	Proposed 2021 Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Percent Change Proposed 2021 Amended to 2022 Proposed	Comments
REVENUES									
Intergovernmental revenue									
Motor Vehicle Excise Tax (MVST)	\$ 7,606,000	\$ 7,518,718	\$ 7,034,450	\$ 1,700,550	\$ 8,735,000	\$ 4,570,042	\$ 7,591,000	-13.1%	90% from MC Preliminary Forecast
RAMVST	1,406,000	1,593,437	1,313,300	318,700	1,632,000	853,208	1,417,300	-13.2%	90% from MC Preliminary Forecast
CMAQ Grant	-	1,730	283,000	(214,000)	69,000	19,242	30,000	-56.5%	
CARES ACTS 5307	-	2,525,156	-	-	-	-	-	-	
CRRS 5307	-	-	-	2,072,432	2,072,432	-	-	-	-100.0% Phase 3 American Rescue Plan (ARP) - \$3.4M Covid relief to be determined
5307 NTD Funding	-	188,333	784,000	(101,371)	682,629	-	705,000	3.3%	
Passenger fares	3,035,600	673,042	748,400	(343,400)	405,000	128,828	548,800	35.5%	Increase in the Widay, Prime & Sat Prime
Miscellaneous revenue									
Contracted Revenue	70,000	41,373	33,600	-	33,600	24,734	72,000	114.3%	Carver/Victoria/Ridgeview
Advertising Revenue	165,000	114,525	195,500	-	195,500	136,115	150,000	-23.3%	Trades/Bus Wrap Revenue
Interest on investments	10,000	35,909	10,000	-	10,000	6,520	10,000	0.0%	Interest earned
Miscellaneous other	45,000	11,121	9,000	120,000	129,000	13,741	74,000	-42.6%	Insurance Dividend/Fuel Rebate & Misc.
Total revenues	12,337,600	12,503,544	10,411,250	3,552,911	13,964,161	5,752,430	10,598,100	-24.1%	
EXPENDITURES									
Administration	1,470,800	1,259,157	1,406,292	57,820	1,464,112	606,546	1,751,388	19.6%	Added positions back
Operations	7,427,300	4,625,935	6,469,290	(1,598,250)	4,871,040	1,608,928	6,069,100	24.6%	Prime 20%, 10% Express SF 50% Decrease, Driver wages increase
Vehicle maintenance	2,189,000	1,553,409	1,927,656	(333,306)	1,594,350	655,991	1,859,100	16.6%	Cost increase vehicle maintenance Fuel/parts
Facility maintenance	1,402,150	1,249,025	1,438,100	(52,420)	1,385,680	565,788	1,446,210	4.4%	
Related capital cost of operations	546,600	419,310	1,546,995	(273,250)	1,273,745	109,874	1,452,500	14.0%	Capital of Cost Operating moved 2021 projects to 2022
5307 NTD Funding	-	188,333	784,000	(101,371)	682,629	-	705,000	3.3%	Ramps P/M/Facilities Maintenance/equipments
Total expenditures	13,035,850	9,295,169	13,572,333	(2,300,777)	11,271,556	3,547,127	13,283,298	17.8%	
Revenues Over/(Under) Expenditures	(698,250)	3,208,175	(3,161,083)	5,853,688	2,692,605	2,205,303	(2,685,198)		
Other Financing Sources (Uses)									
Insurance Recoveries	-	106,463	-	-	-	-	-	-	
Transfer In/(Out)	-	(170,000)	-	(2,000,000)	(2,000,000)	-	-	-	
Total Other Financing Sources (Uses)	-	(63,537)	-	(2,000,000)	(2,000,000)	-	-	-	
Net change in fund balance	(698,250)	3,144,638	(3,161,083)	-	692,605	-	(2,685,198)		
Fund Balance - January 1	4,378,019	4,378,019	7,522,658	-	7,522,658	-	8,215,263		
Estimated Fund Balance - December 31	\$ 3,679,770	\$ 7,522,658	\$ 4,361,575	\$ -	\$ 8,215,263	\$ -	\$ 5,530,065		
Fund Balance as a % of Adopted Budget	28.2%		32.1%		60.5%		41.6%		
Fund Balance as a % of Estimated 2022 Budget									

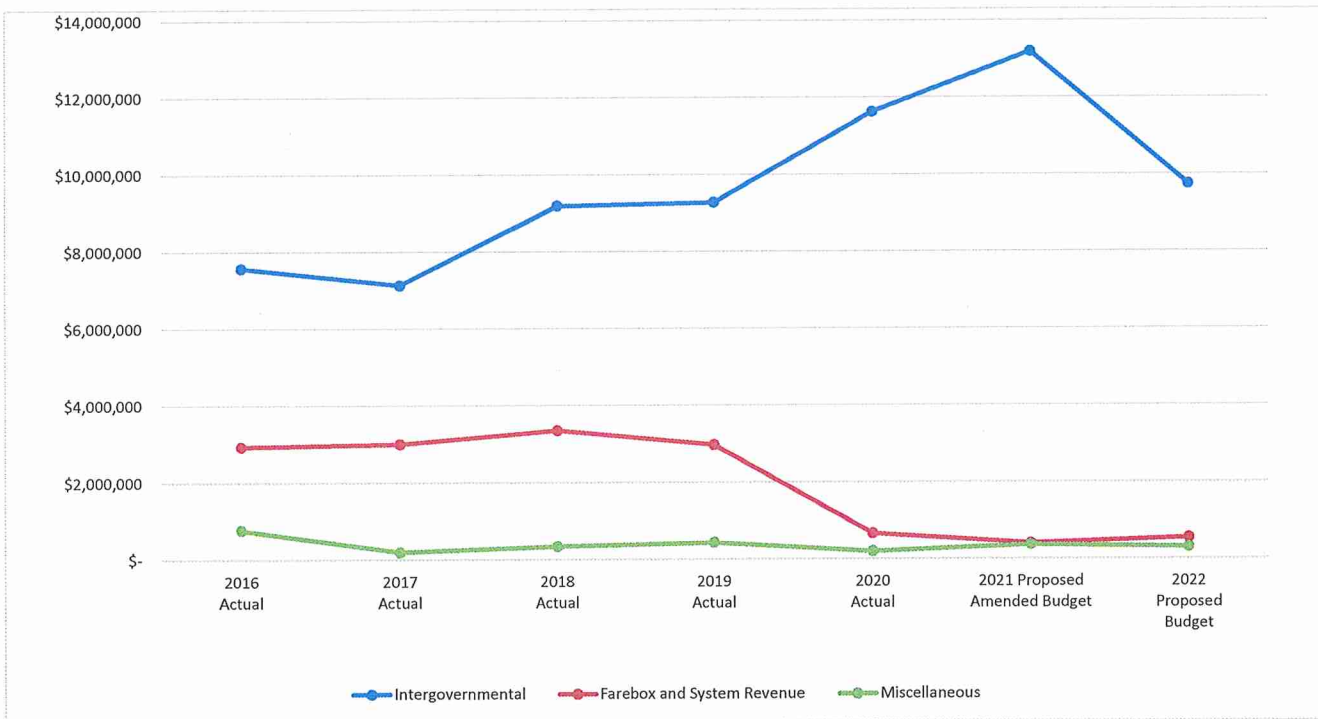
SouthWest Transit
Agency Fund Balance Reserves for 2022 Proposed Budget

	General Fund	Capital Improvement	EPG Roof Replacement	SWS Development	Total
Estimated Fund balance reserve end of 2021	8,215,263	2,655,415	2,000,000	6,121,060	18,991,738
Estimated Net Change in Fund Balance Per 2022 proposed budget	\$ (2,685,198)	\$ -	\$ (2,000,000)	\$ 45,000	\$ (4,640,198)
Estimated Fund Balance, EOY 2022	\$ 5,530,065	\$ 2,655,415	\$ -	\$ 6,166,060	\$ 14,351,540

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

General Fund (100) - Revenue Summary

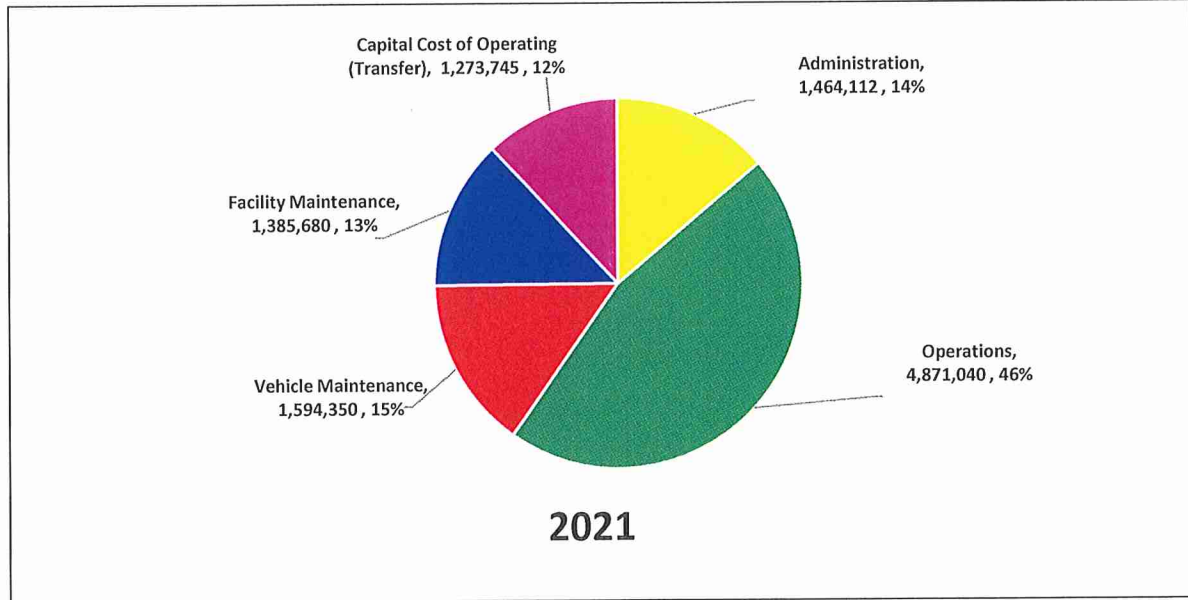
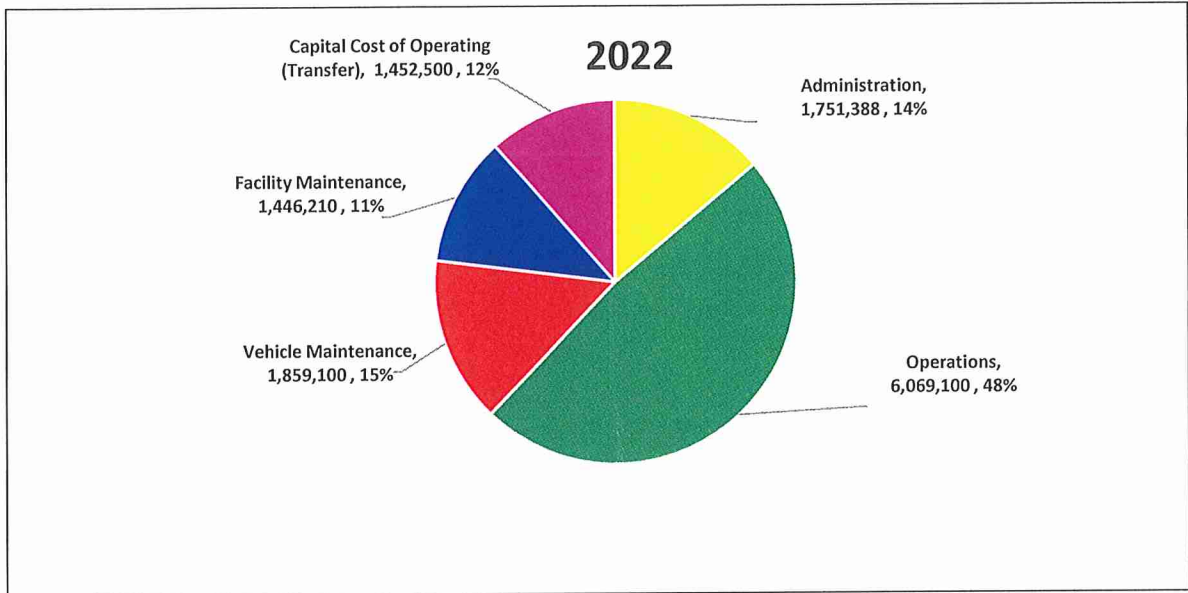
OBJECT ACCOUNT	DESCRIPTION	2020 Actual	2021 Adopted Budget	Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget
REVENUES							
Intergovernmental revenue (350)							
4062	Motor Vehicle Excise Tax (MVST)	\$ 7,518,718	\$ 7,034,450	\$ 1,700,550	\$ 8,735,000	\$ 4,570,042	\$ 7,591,000
4063	RAMVST	1,393,437	1,313,300	318,700	1,632,000	853,208	1,417,300
4043	CMAQ Grants	1,730	283,000	(214,000)	69,000	19,242	30,000
4046	CARES ACTS 5307	2,525,156	-	-	-	-	-
4047	CRRSA	-	-	2,072,432	2,072,432	-	-
4134	5307 NTD Funding	188,333	784,000	(101,371)	682,629	-	705,000
		<u>11,627,374</u>	<u>9,414,750</u>	<u>3,776,311</u>	<u>13,191,061</u>	<u>5,442,492</u>	<u>9,743,300</u>
Farebox and system revenue							
4010	Passenger fares	673,042	748,400	(343,400)	405,000	128,828	548,800
		<u>673,042</u>	<u>748,400</u>	<u>(343,400)</u>	<u>405,000</u>	<u>128,828</u>	<u>548,800</u>
Miscellaneous revenue							
4082	Contracted revenue	41,373	33,600	-	33,600	24,734	72,000
4092	Advertising & concessions	114,525	195,500	-	195,500	136,115	150,000
4102	Interest on Investments	35,909	10,000	-	10,000	6,520	10,000
4134	Miscellaneous Revenue	11,121	9,000	120,000	129,000	13,741	74,000
		<u>202,928</u>	<u>248,100</u>	<u>120,000</u>	<u>368,100</u>	<u>181,110</u>	<u>306,000</u>
Total 100 REVENUES		<u>\$ 12,503,344</u>	<u>\$ 10,411,250</u>	<u>\$ 3,552,911</u>	<u>\$ 13,964,161</u>	<u>\$ 5,752,430</u>	<u>\$ 10,598,100</u>



SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

General Fund (100) - Expenditures Summary

	2020 Actual	2021 Adopted Budget	Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget
EXPENDITURES						
Administration	\$ 1,259,157	\$ 1,406,292	\$ 57,820	\$ 1,464,112	\$ 606,546	\$ 1,751,388
Operations	4,625,935	6,469,290	(1,598,250)	4,871,040	1,608,928	6,069,100
Vehicle maintenance	1,553,409	1,927,656	(333,306)	1,594,350	655,991	1,859,100
Facility maintenance	1,249,025	1,438,100	(52,420)	1,385,680	565,788	1,446,210
Related capital cost of operations	419,310	1,546,995	(273,250)	1,273,745	109,874	1,452,500
5307 NTD Funding	188,333	784,000	(101,371)	682,629	-	705,000
	<u>9,295,169</u>	<u>13,572,333</u>	<u>(2,300,777)</u>	<u>11,271,556</u>	<u>3,547,127</u>	<u>13,283,298</u>
 Total 100 EXPENDITURES	 <u>\$ 9,295,169</u>	 <u>\$ 13,572,333</u>	 <u>\$ (2,300,777)</u>	 <u>\$ 11,271,556</u>	 <u>\$ 3,547,127</u>	 <u>\$ 13,283,298</u>



SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

BUSINESS UNIT ACCOUNT	OBJECT DESCRIPTION	2021		Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments
		2020 Actual	Adopted Budget					
100300	4015	\$ 480	\$ 250,000	\$ (170,000)	\$ 80,000	\$ -	\$ 163,600	Special events
100300	4016	213,449	20,000	30,000	50,000	24,319	58,500	
100300	4019	48,153	-	-	-	-	-	
100300	4020	71,349	-	-	-	-	-	
100300	4021	122,934	40,000	10,000	50,000	27,445	58,500	
100300	4022	69,553	-	-	-	-	-	
100300	4023	12,931	10,000	-	10,000	4,360	-	
100300	4024	4,658	-	-	-	-	-	
100300	4025	-	225,000	(175,000)	50,000	-	58,500	17% increase services
100301	4027	129,535	203,400	(38,400)	165,000	72,704	198,000	
100300	4082	41,373	33,600	-	33,600	24,734	72,000	Carver Express/Prime & Victoria Prime
100350	4043	-	214,000	(214,000)	-	-	-	Remaining balance from grant
100350	4044	1,730	69,000	-	69,000	19,242	-	
100350	4046	2,525,156	-	-	-	-	-	
100350	4047	-	-	2,072,432	2,072,432	-	-	Phase 3 American Rescue Plan (ARP) - \$3.4M Covid relief to be determined
100350	4062	7,518,718	7,034,450	1,700,550	8,735,000	4,570,042	7,591,000	90% for MC Forecast
100350	4063	1,393,437	1,313,300	318,700	1,632,000	853,208	1,417,300	90% for MC Forecast
100350	4066	8,706	9,000	-	9,000	4,095	9,000	
100320	4092	108,665	195,000	-	195,000	131,900	150,000	\$100k ad and \$50k trades
100320	4093	-	500	-	500	3,180	-	
100320	4094	5,860	-	-	-	1,035	-	
100320	4102	35,909	10,000	-	10,000	6,520	10,000	
100320	4134	2,415	-	120,000	120,000	9,646	65,000	Insurance dividend base on 2020
100350	4045	188,333	784,000	(101,371)	682,629	-	705,000	NTD Funding
Total 100 REVENUES		\$ 12,503,344	\$ 10,411,250	\$ 3,552,911	\$ 13,964,161	\$ 5,752,430	\$ 10,598,100	
Total 100 EXPENDITURES		\$ 9,295,169	\$ 13,572,333	\$ (2,500,777)	\$ 11,271,556	\$ 4,276,062	\$ 13,283,298	
Revenues Over/(Under) Expenditures		\$ 3,208,175	\$ (3,161,083)	\$ 5,853,688	\$ 2,692,605	\$ 1,476,368	\$ (2,685,198)	
Other Financing Sources (Uses)								
Insurance Recoveries		106,463	-	-	-	-	-	
Transfer - In (Out)		(170,000)	-	(2,000,000)	(2,000,000)	-	-	
Total Other Financing Sources (Uses)		\$ (63,537)	\$ -	\$ (2,000,000)	\$ (2,000,000)	\$ -	\$ -	
Net change in fund balance		\$ 3,144,638	\$ (3,161,083)	\$ -	\$ 692,605	\$ -	\$ (2,685,198)	
Fund Balance - January 1		4,378,019	7,522,658	-	7,522,658	-	8,215,263	
Estimated Fund Balance - December 31		\$ 7,522,658	\$ 4,361,575	\$ -	\$ 8,215,263	\$ -	\$ 5,530,065	
<i>Fund Balance as a % of 2021 Adopted Budget</i>			<i>32.1%</i>		<i>60.5%</i>			
Fund Balance as a % of Estimated 2022 Budget							41.6%	

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

General Fund (100)		2020	2021	Amendments	Proposed 2021	YTD	Proposed 2022	Comments
BUSINESS UNIT	OBJECT ACCOUNT	Actual	Adopted Budget		Amended Budget	June 2021	Budget	
EXPENDITURES								
ADMINISTRATION (100400)								
100400	6003	\$ 568,736	\$ 641,400	\$ (46,000)	\$ 595,400	\$ 248,112	\$ 751,600	CEO overlap, CAO or CFO
100400	6003	\$ -	\$ -	\$ 91,000	\$ 91,000	\$ -	\$ 53,588	2% COLA adjustment
100400	6007	19,663	20,000	-	20,000	6,649	60,000	PTO payout biannual (CEO & Staffs)
100400	6008	1,281	-	100	100	-	-	
100400	6017	41,362	49,100	(4,000)	45,100	19,606	57,500	
100400	6018	44,076	47,300	(3,900)	43,400	19,108	55,100	
100400	6019	50,733	56,400	3,500	59,900	25,486	106,800	CEO overlap, CAO or CFO
100400	6020	-	5,000	(5,000)	-	-	5,000	
100400	6021	2,417	-	-	-	-	-	
100400	6022	8,544	8,600	-	8,600	4,272	4,200	CEO's Car allowance
100400	6023	-	2,000	(2,000)	-	-	-	
100400	6024	9,765	12,100	-	12,100	1,820	13,200	VEBA, LTD and other life insurance benefits
	Total Personal Services	746,577	841,900	33,700	875,600	325,053	1,106,988	
100400	6037	83,714	75,000	(5,000)	70,000	40,994	70,000	
100400	6038	74,943	63,816	54,000	117,816	83,663	61,900	IT Services Related
100400	6040	27,265	32,800	(7,000)	25,800	10,007	26,200	Payroll and Benefits Services
100400	6041	-	-	420	420	420	-	
100400	6042	41,932	86,100	(28,000)	58,100	26,894	102,600	Audits, misc. \$10k and Add'l consultant service \$50k
100400	6057	10,207	5,000	-	5,000	2,278	7,500	Office supplies, toners, etc.
100400	6058	1,040	2,000	-	2,000	1,000	2,000	
100400	6059	1,319	1,500	-	1,500	14	500	business cards
100400	6060	800	5,000	-	5,000	400	5,000	
100400	6061	733	5,000	-	5,000	2,105	5,500	
100400	6062	26,447	19,100	12,000	31,100	10,579	30,000	Finance Software, Laserfiche
100400	6067	10,403	5,000	9,000	14,000	12,185	14,000	
100400	6068	367	1,000	-	1,000	436	1,000	
100400	6071	10,717	20,000	(4,000)	16,000	4,673	16,000	APTA conference
100400	6070	17,583	17,600	-	17,600	17,596	17,600	
100400	6071	173,490	187,000	(9,000)	178,000	49,296	240,000	\$190k marketing, \$50k trades from Overall Media
100400	6072	-	-	200	200	-	1,000	
100400	6075	947	5,000	-	5,000	600	5,000	
100400	6076	5,542	8,000	-	8,000	3,502	8,000	Credit card fees move from Other Admin Charges
100400	6077	904	1,000	-	1,000	4,560	1,000	Move credit card fees move to Merchant Fees account
100400	6091	1,970	1,600	1,500	3,100	810	4,600	Cellphone allowance
	Total Administrative Charges	490,323	541,516	24,120	565,636	272,012	619,400	
100400	6137	50	-	-	-	-	-	
100400	6142	12,047	10,800	-	10,800	4,531	10,800	
100400	6172	6,730	7,000	-	7,000	3,465	7,300	
100400	6173	3,410	5,076	-	5,076	1,485	6,900	
	Total Operating & Insurance	22,257	22,876	-	22,876	9,481	25,000	
	Total Operating Costs	1,259,157	1,406,292	57,820	1,464,112	606,546	1,751,388	
100400	6207	-	30,000	-	30,000	-	150,000	Website App changes
	Total Administration Expenditures	\$ 1,259,157	\$ 1,436,292	\$ 57,820	\$ 1,494,112	\$ 606,546	\$ 1,901,388	

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

General Fund (100)	BUSINESS UNIT	OBJECT ACCOUNT	DESCRIPTION	2021		Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments
				2020 Actual	Adopted Budget					
			OPERATIONS (100420)							
	100420	6003	Regular Salaries and Wages	\$ 375,828	\$ 434,000	\$ (111,000)	\$ 323,000	\$ 145,075	\$ 299,200	
	100420	6004	Special Event Salaries and Wag	(1,304)	250,000	(15,000)	235,000	1,194	200,000	State fair weekends 6 days/special events, sightings, concert, etc
	100420	6005	Wages - Part-Time	-	10,000	(6,700)	3,300	-	41,600	Planning Intern and PT dispatcher
	100420	6006	Dispatch Salaries & Wages	110,975	114,100	2,000	116,100	51,655	176,300	added 1 fulltime compliment reduced in fac and marketing
	100420	6007	PTO Payout	15,180	40,000	-	40,000	4,502	10,000	PTO payout
	100420	6008	Overtime	1,839	-	56,300	56,300	-	-	
	100420	6017	Employer FICA	35,870	61,900	(8,900)	53,000	14,338	54,900	
	100420	6018	Employer PERA	34,782	42,500	(8,700)	33,800	12,312	39,400	
	100420	6019	Employer Health & Dental	70,302	92,000	(32,000)	60,000	32,358	57,600	
	100420	6020	Unemployment Compensation	-	10,000	(10,000)	-	-	10,000	
	100420	6021	Uniforms Allowance	736	-	-	-	50	-	
	100420	6022	Auto Allowance	2,100	2,100	(1,050)	1,050	1,050	-	
	100420	6023	Tuition Reimbursement	-	-	-	-	-	-	
	100420	6024	Other Employer Benefits	9,306	10,400	600	11,000	2,043	10,700	VEBA, LTD and other life insurance benefits
			Total Personal Services	655,614	1,067,000	(134,450)	932,550	264,577	899,700	
	100420	6038	Professional Service-Technical	8,500	50,000	(44,000)	6,000	-	63,000	Planning Study continued from 2021
	100420	6057	Office Supplies	820	3,200	-	3,200	1,703	-	move to admin
	100420	6059	Printing Costs	169	5,000	-	5,000	111	5,000	
	100420	6060	Small Tools & Equipment	965	1,000	-	1,000	-	1,000	
	100420	6061	Office Equipment Maintenance	5,373	6,000	-	6,000	233	6,000	
	100420	6062	Software Maintenance Contract	208,511	169,860	-	169,860	40,981	185,100	
	100420	6065	Radio Services & Supplies	4,062	4,000	(4,000)	-	327	-	
	100420	6067	Memberships and Dues	2,647	2,280	-	2,280	1,500	2,500	MPTA Membership Dues
	100420	6068	Mileage and Parking	130	500	-	500	-	500	
	100420	6069	Meetings Training & Conference	3,767	5,000	6,000	11,000	706	8,000	
	100420	6073	Miscellaneous-Special Event	93	30,000	(7,000)	23,000	-	30,000	
	100420	6077	Other Administrative Charges	11,256	3,250	8,000	11,250	6,086	10,000	drug testing, fares commission fees and other misc.
	100420	6091	Communications	2,425	2,400	-	2,400	1,125	1,800	Staffs cellphone allowance
			Total Administrative Charges	248,718	282,490	(41,000)	241,490	52,772	312,900	
	100420	6118	Driver Uniforms	3,803	50,000	(25,000)	25,000	8,296	41,000	\$10k SHS & \$31k Drivers Uniform
	100420	6124	Motor Fuel - Diesel	331,436	460,350	(84,000)	376,350	129,104	440,500	860k miles=5.2miles/gallons= 165k gallons@\$2.60 (assume 75% Pre Covid)
	100420	6125	Motor Fuel - Gasoline	87,023	108,000	(12,000)	96,000	31,939	250,000	Est 980k miles=10.00/gallons=98k gallons @\$2.55 (assume 75%Pre Covid)
	100420	6132	Contracted Purchase of Service	2,981,432	4,163,250	(1,300,000)	2,863,250	973,407	3,752,200	10% Increase Current for Jan-Aug, 20% increase Sept-Dec; 75% of Pre-COVID
	100420	6133	Driver Incentive	800	20,000	-	20,000	-	40,000	Best Program/hiring incentive
	100420	6137	General Operating Supplies	248	-	-	-	-	-	
	100420	6143	Lease/Rental - Facilities	3,000	2,000	500	2,500	-	3,000	Special event bus parkout
	100420	6172	Property/Auto/Liability	287,287	282,000	5,000	287,000	140,940	312,200	Increase vehicles
	100420	6173	Worker's Compensation	13,135	19,200	(7,300)	11,900	5,393	17,600	
	100420	6210	Cap Exp related to CMAQ TMA	4,203	-	-	-	-	-	
	100420	6174	Insurance Deductible	9,236	15,000	-	15,000	2,500	20,000	
			Total Operating & Insurance	3,721,603	5,119,800	(1,422,800)	3,697,000	1,291,579	4,856,500	
			Total Operating Costs	4,625,935	6,469,290	(1,598,250)	4,871,040	1,608,928	6,069,100	
	100420	6207	Capital Costs of Operating	93,010	557,500	(438,350)	119,150	61,601	232,000	Bus Wifi Router Replacemnt, Kiosks for customer service lobby
			Total Capital Outlay	93,010	557,500	(438,350)	119,150	61,601	232,000	
			Total Operations Expenditures	\$ 4,718,945	\$ 7,026,790	\$ (2,056,600)	\$ 4,990,190	\$ 1,670,529	\$ 6,301,100	

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

BUSINESS UNIT ACCOUNT	OBJECT DESCRIPTION	2021		Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments
		2020 Actual	2021 Adopted Budget					
General Fund (100)								
EXPENDITURES								
VEHICLE MAINTENANCE (100430)								
100430	6003	\$ 688,197	\$ 736,000	\$ (51,000)	\$ 685,000	\$ 314,002	\$ 693,700	\$3k for Sat oncall & \$5k for ASE Certified
100430	6005	44,756	46,406	(1,406)	32,000	12,596	56,700	Part Time
100430	6007	13,015	12,000	-	12,000	4,620	12,000	PTO payout biannual
100430	6008	868	5,000	-	5,000	275	6,000	
100430	6017	52,434	59,300	(7,000)	52,300	25,114	57,400	
100430	6018	52,307	57,100	(3,000)	54,100	25,267	55,200	
100430	6019	90,319	109,300	(8,000)	101,300	47,233	132,800	
100430	6020	-	10,000	(10,000)	-	-	10,000	
100430	6021	12,763	5,000	-	5,000	1,601	5,800	One apprentice
100430	6023	4,000	10,000	(10,000)	-	-	10,000	VEBA, LTD and other life insurance benefits
100430	6024	13,209	10,400	3,000	13,400	3,581	14,300	
	Total Personal Services	971,868	1,060,506	(100,406)	960,100	434,289	1,033,900	
100430	6057	271	500	-	500	156	500	
100430	6058	1,476	4,000	-	4,000	(199)	4,500	
100430	6059	250	500	-	500	575	750	
100430	6060	2,735	19,200	-	19,200	9,139	20,000	\$13k tools allowance \$100/month/11 employees
100430	6062	-	-	5,000	5,000	4,925	5,000	Emaint Maintenance support
100430	6063	599	4,800	-	4,800	2,220	6,750	
100430	6065	465	2,000	2,000	4,000	1,635	2,500	
100430	6066	4,243	12,000	-	12,000	4,196	15,000	
100430	6067	-	250	-	250	-	-	
100430	6068	-	400	-	400	-	400	
100430	6069	3,424	8,000	(2,000)	6,000	2,102	7,000	
100430	6077	606	1,500	-	1,500	730	1,500	Drug Testing, other admin misc.
100430	6091	2,625	1,800	1,300	3,100	1,127	2,000	
	Total Administrative Charges	16,694	54,950	6,300	61,250	26,606	65,900	
100430	6112	301,808	475,000	(155,000)	320,000	127,541	443,000	Total of 1.9m miles @ 23 cents per mile.
100430	6114	30,587	72,000	(7,000)	65,000	20,405	85,000	Tire prices have risen about 20%
100430	6115	18,574	18,000	(8,000)	10,000	-	20,000	
100430	6116	24,905	30,000	-	30,000	3,177	25,000	
100430	6117	54,082	70,000	(25,000)	45,000	6,813	70,000	
100430	6119	72,390	30,000	(20,000)	10,000	6,255	10,000	
100430	6127	12,342	34,000	(16,000)	18,000	3,782	55,000	remove this account and run it under fuel and lube/DEF
100430	6128	18,421	50,000	-	50,000	15,489	-	20% def price increase for 2022
100430	6137	63	-	-	-	-	-	
100430	6161	382	500	-	500	208	600	
100430	6172	3,750	-	-	-	-	500	
100430	6203	27,543	31,700	(8,200)	23,500	11,410	30,200	
100430	6173	564,847	812,200	(239,200)	573,000	195,096	739,300	
	Total Operating & Insurance	1,553,409	1,927,656	(333,306)	1,594,350	653,991	1,859,100	
	Total Operating Costs	135,605	165,470	136,600	302,070	109,436	388,000	Electric, Prime vehicles and non revenue vehicles
	Total Capital Outlay	135,605	165,470	136,600	302,070	109,436	388,000	
	Total Vehicle Maintenance Expenditures	\$ 1,689,014	\$ 2,093,126	\$ (196,706)	\$ 1,896,420	\$ 765,427	\$ 2,247,100	

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

BUSINESS UNIT	OBJECT ACCOUNT	DESCRIPTION	2021		Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments
			2020 Actual	2021 Adopted Budget					
General Fund (100)									
EXPENDITURES									
FACILITY MAINTENANCE (100440 - 447)									
100440-447	6003	Regular Salaries and Wages	\$ 346,445	\$ 375,200	\$ 100,300	\$ 475,500	\$ 210,109	\$ 441,900	Reallocates staff various department increased wages
100440-447	6005	Wages - Part-Time	83,231	100,500	(81,000)	19,500	5,220	32,000	Reduced part time and increased full time
100440-447	6007	PTO Payout	7,559	7,000	-	7,000	1,120	7,000	
100440-447	6008	Overtime	2,770	5,000	-	5,000	982	5,000	snow removal
100440-447	6017	Employer FICA	36,440	36,400	1,600	38,000	16,292	36,300	
100440-447	6018	Employer PERA	32,133	35,100	1,000	36,100	14,776	35,100	
100440-447	6019	Employer Health & Dental	64,129	73,600	2,900	76,500	35,242	81,100	
100440-447	6020	Unemployment Compensation	2,960	10,000	(10,000)	-	-	10,000	
100440-447	6021	Uniforms Allowance	3,500	3,500	2,000	5,500	1,833	5,000	
100440-447	6023	Tuition Reimbursement	-	1,000	-	1,000	250	1,000	
100440-447	6024	Other Employer Benefits	5,922	6,700	2,300	9,000	2,556	11,300	VEBA, LTD and other life insurance benefits
		Total Personal Services	581,589	654,000	19,100	673,100	288,380	665,700	
100440-447	6041	Facility Security Costs	25,729	21,000	3,000	24,000	6,633	24,000	
100440-447	6057	Office Supplies	-	-	600	600	597	-	
100440-447	6060	Small Tools & Equipment	9,318	8,200	200	8,400	1,952	10,400	Including Tools allowance
100440-447	6062	Software Maintenance Contract	-	-	5,000	5,000	4,925	6,750	E Main Facility Software annual support
100440-447	6064	Exterminating Services	-	2,000	5,400	7,400	4,240	8,500	
100440-447	6067	Memberships and Dues	580	2,000	(1,500)	500	-	1,000	
100440-447	6068	Mileage and Parking	-	300	-	300	-	300	
100440-447	6069	Meetings Training & Conference	4,121	6,000	(2,000)	4,000	641	6,000	
100440-447	6077	Other Administrative Charges	292	400	1,100	1,500	445	1,500	
100440-447	6087	Utilities - Electric	94,815	106,720	(8,000)	98,720	26,307	92,720	received credit from Solar
100440-447	6088	Utilities - Gas	44,542	54,000	(18,200)	35,800	17,852	55,000	
100440-447	6089	Utilities - Water/Sewer	20,288	20,500	-	20,500	2,222	23,500	
100440-447	6090	Utilities - Other	(184)	48,500	-	48,500	18,532	48,500	Solar Energy Savings credit via Xcel Energy
100440-447	6091	Communications	41,527	37,800	2,500	40,300	17,649	42,800	
100440-447	6092	Refuse Service	11,543	13,000	3,000	9,380	16,000	16,000	
100440-447	6093	Internet & Cable Service	48,846	42,180	5,880	48,060	16,969	49,800	
		Total Administrative Charges	301,417	362,600	(3,020)	359,580	128,344	386,770	
100440-447	6112	Vehicle/Equip Mtc. Parts	228	-	-	-	-	-	
100440-447	6116	Vehicle/Equip Contracted Maint	-	7,500	-	7,500	-	8,000	Generator Annual Maintenance
100440-447	6137	General Operating Supplies	55,480	51,000	5,000	56,000	26,066	56,000	
100440-447	6138	Sand & Salt Supplies	8,109	15,000	(8,500)	6,500	5,050	6,500	
100440-447	6139	Contract Repair- Equip. & Bldg	36,356	91,500	(49,000)	42,500	7,382	77,000	including SISK annual fire/sprinkler testing
100440-447	6142	Lease/Rentals - Office Equipmt	-	-	-	-	444	-	
100440-447	6144	Lease/Rentals - Snow Equipment	11,955	20,000	(20,000)	-	-	-	
100440-447	6157	Contract Facility Maintenance	99,570	67,200	(2,000)	65,200	21,895	65,200	
100440-447	6159	Exterior & Lot Maintenance	19,741	26,000	12,000	38,000	17,236	33,500	
100440-447	6161	Vehicle Registration & Permits	800	900	1,000	1,900	1,628	1,900	
100440-447	6162	Other Taxes and Fees	-	500	-	500	-	500	
100440-447	6163	Elevator Maintenance Services	18,302	22,800	-	22,800	13,650	23,940	Increased 5%
100440-447	6172	Property/Auto/Liability	75,543	83,700	400	84,100	41,680	85,900	
100440-447	6173	Worker's Compensation Insurance	19,935	35,400	(7,400)	28,000	13,833	35,300	
		Total Operating & Insurance	366,019	421,500	(68,500)	353,000	149,064	393,740	
		Total Operating Costs	1,249,025	1,438,100	(52,420)	1,385,680	565,788	1,446,210	
100440-447	6207	Capital Costs of Operating	371,390	794,025	28,500	822,525	667,334	682,500	Building and Equipment replacement/maintenance
100440-447	6208	Capital Outlay-Garage Expansio	7,638	-	-	-	438	-	
		Total Capital Outlay	379,028	794,025	28,500	822,525	667,772	682,500	
		Total Facility Maintenance Expenditures	1,628,053	2,232,125	(23,920)	2,208,205	1,233,560	2,128,710	

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

Capital Fund - Capital Improvement Fund			2020	2021	Amendments	Proposed 2021	YTD	Proposed 2022	Comments
BUSINESS UNIT	OBJECT ACCOUNT	DESCRIPTION	Actual	Adopted Budget		Amended Budget	June 2021	Budget	
Revenues									
270320	4102	Interest on Investments	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
270320	4134	Miscellaneous Revenue	-	-	-	-	-	-	
		Total Revenues							
Expenditures									
270442	6204	Capital Outlay - Building	-	-	208,000	208,000	207,934	-	<i>CIP earmarked for 2023 and beyond</i>
270447	6204	Capital Outlay - Building	-	-	-	-	-	-	
		Total Expenditures			208,000	208,000	207,934		
Other Financing Sources (Uses):									
270351	4156	Transfer In-Fund 250 Capital & Equip	-	-	1,842,944	1,842,944	-	-	
270351	4156	Transfer In-Fund 260 Capital Cost Deferred	-	-	169,879	169,879	-	-	
270351	4156	Transfer In-Fund 338 SWS Relocation	-	-	697,796	697,796	-	-	
270351	4156	Transfer In-Fund 407 EPG Remodel Debt	-	-	15,308	15,308	-	-	
270351	4156	Transfer In-Fund 408 EPG Expansion Debt	-	-	137,487	137,487	-	-	
		Net Transfers			2,863,415	2,863,415			
		Net change			2,655,415	2,655,415	(207,934)		
		Projected Current Year Fund Balance			\$ 2,655,415	\$ 2,655,415			
		Projected Following Year's Fund Balance						\$ 2,655,415	

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

Capital Fund - EFG Roof Replacement		2021		2021		2021		2022		2022	
BUSINESS UNIT	OBJECT ACCOUNT	DESCRIPTION	Actual	Adopted Budget	Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments		
Revenues											
280320	4102	Interest on Investments	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
280320	4134	Miscellaneous Revenue	-	-	-	-	-	-			
		Total Revenues									
Expenditures											
280442	6204	Capital Outlay - Building	-	-	-	-	-	2,000,000	<i>EFG Roof Replacement project</i>		
280447	6204	Capital Outlay - Building	-	-	-	-	-	2,000,000			
		Total Expenditures									
Other Financing Sources (Uses):											
280351	4156	Transfer In - Other	-	-	2,000,000	2,000,000	-	-			
280440	6223	Transfer Out - Other	-	-	-	-	-	-			
		Net Transfers			2,000,000	2,000,000					
		Net change			2,000,000	2,000,000		(2,000,000)			
		Projected Current Year Fund Balance				\$ 2,000,000					
		Projected Following Year's Fund Balance									\$ -

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

Capital Fund - SWS Development Capital		2021		Proposed 2021		Proposed 2022		YTD		Comments	
BUSINESS UNIT	OBJECT ACCOUNT	DESCRIPTION	2020 Actual	2021 Adopted Budget	Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	YTD June 2021	Proposed 2022 Budget	Comments
Revenues											
360320	4102	Interest on Investments	\$ -	\$ -	\$ -	\$ 45,000	\$ 39,236	\$ 45,000	\$ 39,236	\$ 45,000	
360320	4134	Miscellaneous Revenue	-	-	-	-	-	-	-	-	
		Total Revenues				45,000	39,236	45,000			
Expenditures											
360444	6204	Capital Outlay - Building	-	-	-	-	-	-	-	-	
360447	6204	Capital Outlay - Building	-	-	-	-	-	-	-	-	
		Total Expenditures									
		Net change				45,000	39,236	45,000			
		Projected Current Year Fund Balance				\$ 6,121,060					
		Projected Following Year's Fund Balance						\$ 6,166,060			

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

BUSINESS UNIT	OBJECT ACCOUNT	Description	2020 Actual	2021 Adopted Budget	Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments
Facility Maintenance SWS 440									
100440	6021	Uniforms Allowance	\$ -	\$ -	-	\$ -	-	\$ -	
100440	6041	Facility Security Costs	5,265	3,800	-	3,800	357	3,800	
100440	6060	Small Tools & Equipment	3,500	2,000	-	2,000	1,188	1,000	
100440	6064	Exterminating Services	-	1,000	900	1,900	1,550	2,000	
100440	6069	Meetings Training & Conference	150	-	-	-	-	-	
100440	6087	Utilities - Electric	19,197	24,000	-	24,000	10,666	28,000	Add't SWS building open June-Dec
100440	6088	Utilities - Gas	-	-	-	-	-	3,000	Add't SWS building open June-Dec
100440	6089	Utilities - Water/Sewer	271	500	-	500	-	3,500	Add't SWS building open June-Dec
100440	6090	Utilities - Other	(184)	500	-	500	-	500	Add't SWS building open June-Dec
100440	6091	Communications	11,353	10,500	-	10,500	4,090	12,000	
100440	6092	Refuse Service	-	-	-	-	-	-	
100440	6093	Internet & Cable Service	8,080	4,200	5,000	9,200	3,430	8,100	
100440	6116	Vehicle/Equip Contracted Maint	-	-	-	-	-	-	
100440	6137	General Operating Supplies	9,013	10,000	-	10,000	4,297	10,000	
100440	6138	Sand & Salt Supplies	957	-	-	-	-	-	
100440	6139	Contract Repair- Equip. & Bids	10,450	17,500	(10,000)	7,500	2,799	12,000	\$3k fire/sprinkler testing/ Generator Maint
100440	6142	Lease/Rentals - Office Equipmt	-	-	-	-	148	-	
100440	6157	Contract Facility Maintenance	4,842	13,000	(4,000)	9,000	3,695	9,000	
100440	6158	Contracted Snow Removal	-	-	-	-	-	-	
100440	6159	Exterior & Lot Maintenance	2,307	5,000	-	5,000	771	5,000	
100440	6161	Vehicle Registration & Permits	400	500	-	500	235	500	
100440	6163	Elevator Maintenance Services	8,320	8,600	-	8,600	8,285	9,030	increase 5%
100440	6172	Property/Auto/Liability	14,455	14,800	200	15,000	7,394	16,000	new appraisal and value increase
Total Business Unit 100440			98,376	115,900	(7,900)	108,000	48,905	123,430	

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

BUSINESS UNIT	OBJECT ACCOUNT	Description	2020 Actual	2021 Adopted Budget	Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments
Facility Maintenance EPG Garage 442									
100442	6003	Regular Salaries and Wages	\$ 346,445	\$ 375,200	\$ 100,300	\$ 475,500	\$ 210,109	\$ 441,900	
100442	6005	Wages - Part-Time	83,231	100,500	(81,000)	19,500	5,220	32,000	
100442	6007	PTO Payout	7,559	7,000	-	7,000	1,120	7,000	
100442	6008	Overtime	2,770	5,000	-	5,000	982	5,000	
100442	6017	Employer FICA	36,440	36,400	1,600	38,000	16,292	36,300	
100442	6018	Employer PERA	32,133	35,100	1,000	36,100	14,776	35,100	
100442	6019	Employer Health & Dental	64,129	73,600	2,900	76,500	35,242	81,100	
100442	6020	Unemployment Compensation	-	10,000	(10,000)	-	-	10,000	
100442	6021	Uniforms Allowance	2,960	3,500	2,000	5,500	1,833	5,000	
100442	6023	Tuition Reimbursement	-	1,000	-	1,000	250	1,000	
100442	6024	Other Employer Benefits	5,922	6,700	2,300	9,000	2,556	11,300	
100442	6041	Facility Security Costs	5,886	3,800	500	4,300	1,040	4,300	
100442	6057	Office Supplies	-	-	600	600	597	-	
100442	6060	Small Tools & Equipment	5,094	3,200	1,000	4,200	633	6,400	\$1200 tools allowance for Steve
100442	6062	Software Maintenance Contract	-	1,000	5,000	5,000	4,925	6,750	E maint annual support
100442	6064	Extenuating Services	-	2,000	-	1,000	365	1,000	
100442	6067	Memberships and Dues	580	300	(1,500)	500	-	1,000	
100442	6068	Mileage and Parking	-	300	-	300	-	300	
100442	6069	Meetings Training & Conference	3,971	6,000	(2,000)	4,000	641	6,000	
100442	6077	Other Administrative Charges	292	400	1,100	1,500	445	1,500	
100442	6087	Utilities - Electric	9,902	20,000	-	20,000	(4,382)	15,000	
100442	6088	Utilities - Gas	38,635	45,000	(17,000)	28,000	15,344	43,000	
100442	6089	Utilities - Water/Sewer	14,161	15,000	(2,000)	13,000	1,172	13,000	
100442	6090	Utilities - Other	-	48,000	-	48,000	18,532	48,000	SSI MN Solar \$48000
100442	6091	Communications	11,678	10,000	2,500	12,500	6,161	12,500	cellphone allowance \$450
100442	6092	Refuse Service	11,543	13,000	3,000	16,000	9,380	16,000	
100442	6093	Internet & Cable Service	16,692	20,040	-	20,040	6,458	21,000	
100442	6112	Vehicle/Equip Mtc. Parts	228	-	-	-	-	-	
100442	6116	Vehicle/Equip Contracted Maint	-	2,500	-	2,500	-	2,000	Generator annual maintenance
100442	6137	General Operating Supplies	32,806	22,000	5,000	27,000	12,971	27,000	
100442	6138	Sand & Salt Supplies	7,152	15,000	(8,500)	6,500	5,050	6,500	
100442	6139	Contract Repair- Equip. & Bids	35,259	44,000	(35,000)	9,000	1,066	33,000	\$3k fire/sprinkler testing
100442	6144	Lease/Rentals - Snow Equipment	11,955	20,000	(20,000)	-	-	-	snow equipment
100442	6157	Contract Facility Maintenance	74,775	21,200	-	21,200	8,671	21,200	
100442	6158	Contracted Snow Removal	-	-	-	-	-	-	moved to equipment rental
100442	6159	Exterior & Lot Maintenance	6,585	10,000	8,500	18,500	10,102	12,000	Garage parking water drainage
100442	6161	Vehicle Registration & Permits	400	400	1,000	1,400	1,393	1,400	
100442	6162	Other Taxes and Fees	-	500	-	500	-	500	
100442	6163	Elevator Maintenance Services	90	3,500	-	3,500	-	3,675	increase 5%
100442	6172	Property/Auto/Liability	23,540	31,400	200	31,600	15,664	33,100	new appraisal and value increase
100442	6173	Worker's Compensation Insurance	19,935	35,400	(7,400)	28,000	13,833	35,300	
Total Business Unit 100442			912,748	1,047,640	(45,900)	1,001,740	418,441	1,037,125	-

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

BUSINESS UNIT	OBJECT ACCOUNT	Description	2020 Actual	2021 Adopted Budget	Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments
Facility Maintenance SWV 444									
100444	6024	Other Employer Benefits	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
100444	6041	Facility Security Costs	3,969	4,200	-	4,200	675	4,200	
100444	6060	Small Tools & Equipment	724	1,000	(800)	200	131	1,000	
100444	6064	Exterminating Services	-	-	1,000	1,000	550	2,000	
100444	6087	Utilities - Electric	32,613	30,000	(8,000)	22,000	8,424	17,000	
100444	6089	Utilities - Water/Sewer	4,095	3,000	2,000	5,000	742	5,000	
100444	6090	Utilities - Other	-	-	-	-	-	-	
100444	6091	Communications	8,570	8,100	-	8,100	3,353	8,400	
100444	6093	Internet & Cable Service	18,588	17,400	-	17,400	5,472	19,200	
100444	6116	Vehicle/Equip Contracted Maint	-	2,500	-	2,500	-	2,000	Generator annual maintenance
100444	6137	General Operating Supplies	6,359	6,000	-	6,000	2,702	6,000	
100444	6139	Contract Repair- Equip. & Bids	3,259	14,000	-	14,000	253	13,000	\$3k fire/sprinkler testing
100444	6157	Contract Facility Maintenance	6,706	15,000	2,000	17,000	5,283	17,000	
100444	6158	Contracted Snow Removal	-	-	-	-	-	-	
100444	6159	Exterior & Lot Maintenance	5,153	5,000	-	5,000	855	6,000	
100444	6163	Elevator Maintenance Services	5,019	5,500	-	5,500	5,365	5,775	increase 3%
100444	6172	Property/Auto/Liability	14,308	14,700	-	14,700	7,313	17,900	new appraisal and value increase
Total Business Unit 100444			109,363	126,400	(3,800)	122,600	41,118	124,475	-

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

BUSINESS UNIT	OBJECT ACCOUNT	Description	2020 Actual	2021 Adopted Budget	Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments
Facility Maintenance CTS 446									
100446	6041	Facility Security Costs	\$ 4,353	\$ 4,600	\$ -	\$ 4,600	\$ 867	\$ 4,600	
100446	6060	Small Tools & Equipment	-	1,000	-	1,000	-	1,000	
100446	6064	Exterminating Services	-	-	1,500	1,500	1,225	1,500	
100446	6087	Utilities - Electric	9,744	11,000	-	11,000	4,499	11,000	
100446	6088	Utilities - Gas	2,811	5,000	(1,200)	3,800	738	5,000	
100446	6089	Utilities - Water/Sewer	1,664	2,000	-	2,000	308	2,000	
100446	6090	Utilities - Other	-	-	-	-	-	-	
100446	6091	Communications	4,068	3,000	-	3,000	1,540	3,300	
100446	6093	Internet & Cable Service	4,692	540	-	540	220	600	
100446	6116	Vehicle/Equip Contracted Maint	-	-	-	-	-	2,000	Generator annual maintenance
100446	6137	General Operating Supplies	3,275	6,000	-	6,000	2,257	6,000	
100446	6139	Contract Repair- Equip. & Bld	1,543	6,000	(4,000)	2,000	678	6,000	\$3k fire/sprinkler testing
100446	6157	Contract Facility Maintenance	7,492	8,000	-	8,000	69	8,000	
100446	6158	Contracted Snow Removal	-	-	-	-	-	-	
100446	6159	Exterior & Lot Maintenance	1,763	3,000	-	3,000	2,140	4,000	
100446	6163	Elevator Maintenance Services	2,344	2,500	-	2,500	-	2,625	increase 5%
100446	6172	Property/Auto/Liability	6,987	7,100	-	7,100	3,505	5,800	new appraisal and value increase
Total Business Unit 100446			50,736	59,740	(3,700)	56,040	18,046	63,425	-
Facility Maintenance ECS 447									
100447	6041	Facility Security Costs	\$ 4,353	\$ 4,600	\$ 2,500	\$ 7,100	\$ 3,694	\$ 7,100	
100447	6064	Exterminating Services	-	-	2,000	2,000	550	2,000	
100447	6060	Small Tools & Equipment	-	1,000	-	1,000	-	1,000	
100447	6087	Utilities - Electric	22,684	21,720	-	21,720	7,100	21,720	
100447	6088	Utilities - Gas	3,096	4,000	-	4,000	1,770	4,000	
100447	6089	Utilities - Water/Sewer	97	-	-	-	-	-	
100447	6090	Utilities - Other	-	-	-	-	-	-	
100447	6091	Communications	5,858	6,200	-	6,200	2,505	6,600	
100447	6093	Internet & Cable Service	794	-	880	880	1,389	900	
100447	6116	Vehicle/Equip Contracted Maint	-	2,500	-	2,500	-	2,000	Generator annual maintenance
100447	6137	General Operating Supplies	3,427	7,000	-	7,000	3,839	7,000	
100447	6139	Contract Repair- Equip. & Bld	4,866	10,000	-	10,000	2,786	13,000	\$3k fire/sprinkler testing
100447	6142	Lease/Rentals - Office Equipmt	-	-	-	-	296	-	
100447	6157	Contract Facility Maintenance	5,755	10,000	-	10,000	4,177	10,000	
100447	6158	Contracted Snow Removal	-	-	-	-	-	-	
100447	6159	Exterior & Lot Maintenance	3,933	3,000	3,500	6,500	3,368	6,500	
100447	6163	Elevator Maintenance Services	2,529	2,700	-	2,700	-	2,835	increase 5%
100447	6172	Property/Auto/Liability	15,260	15,700	-	15,700	7,804	13,100	new appraisal and value increase
Total Business Unit 100447			72,652	88,420	8,880	97,300	39,278	97,755	-
Total Expenditures Facilities (440-447)			1,249,025	1,438,100	(52,420)	1,385,680	565,788	1,446,210	-

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

BUSINESS UNIT	OBJECT ACCOUNT	Description	2020 Actual	2021 Adopted Budget	Amendments	Proposed 2021 Amended Budget	YTD June 2021	Proposed 2022 Budget	Comments
100440	6207	Capital Costs of Operating	\$ 15,700	\$ 100,000	\$ (91,600)	\$ 8,400	\$ 138,419	\$ 10,000	see FM Capital list
100442	6207	Capital Costs of Operating	229,689	344,025	(108,900)	235,125	418,660	502,500	see FM Capital list
100442	6208	Capital Outlay-Garage Expansio	7,638	-	-	-	438	-	see FM Capital list
100444	6207	Capital Costs of Operating	125,505	100,000	400,000	500,000	43,851	30,000	see FM Capital list
100446	6207	Capital Costs of Operating	-	100,000	(100,000)	-	51,774	20,000	see FM Capital list
100447	6207	Capital Costs of Operating	496	150,000	(71,000)	79,000	14,630	120,000	see FM Capital list
Total Capital Costs of Operating			379,028	794,025	28,500	822,525	667,772	682,500	

Total For Facilities 1,628,053 2,232,125 (23,920) 2,208,205 1,233,560 2,128,710

SouthWest Transit

2021 Proposed Amendment Capital Costs of Operating

				A	B	C
NO.	Dept.	Project Name	Note	Adopted Budget	Purposed Amended Budget	Amended Total Budget
1	OPS/IT	Technology Upgrades	Technology Upgrades - Ongoing Computers/ Switches/Monitors	40,000	-	40,000
2	OPS/IT	Exterior WIFI at EPG		3,000	1,200	4,200
3	OPS/IT	SW Prime iPad Replacement		7,500	-	7,500
4	OPS/IT	Facility Camera Upgrades	Replace Servers as well.	60,000	(27,000)	33,000
5	OPS/IT	Remote Camera Trailer	Replace 2 existing camera heads as well. Deferred 2022	35,000	(35,000)	-
6	OPS/IT	Bus WiFi Router Replacement	Deferred 2022	152,000	(152,000)	-
7	OPS/IT	Lobby Kiosk Upgrades	Deferred 2023	35,000	(35,000)	-
8	OPS/IT	Pre loaded Go To Cards	completed	25,000	(20,550)	4,450
9	Admin/IT	Website/Mobile App Updates	Token/website redesign	30,000	-	30,000
10	OPS/VM	Two Electric Vehicles for SW Prime	Deferred 2022	200,000	(200,000)	-
11	EPG	Front Gate Project EPG	\$100K - 2021 & \$250K in 2022	-	100,000	100,000
12	EPG	Thermo Imaging		5,000	-	5,000
13	EPG	Loader snow blower	Deferred 2022	115,000	(115,000)	-
14	EPG	Trailer for hauling equipment	completed	30,000	-	30,000
15	EPG	Atmos Air installed in SWV,CTS and ECS	completed	10,000	-	10,000
16	EPG	New Bobcat scheduled for 2021 already	completed	62,875	-	62,875
17	EPG	Main Service GFI Testing at EPG		3,000	-	3,000
18	EPG	Atmos Air installed at EPG	completed	18,150	-	18,150
19	ECS	ECS pre cast repairs	completed	50,000	-	50,000
20	ALL	Interchangeable LED Boards for stations		500,000	(500,000)	-
21	VM	Drivers barriers for 30 MCI coaches	added last 12 bus barriers	72,000	32,900	104,900
22	VM	Air purification 30 MCI's		33,000	-	33,000
23	VM	Atmos air in the first 15 MCI buses	added last 12 bus Atmos	16,470	18,700	35,170
24	VM	Voice radio replacement program		44,000	(25,000)	19,000
25	ECS	ECS Patio Tuckpointing and HVAC Door	Repairs for patio tuckpointing and HVAC door	-	12,000	12,000
26	SWV/ECS	ECS/SWV Concrete/ Asphalt	Concrete and seal coating ECS and SWV	-	17,000	17,000
27	SWS	SWS Ramp Railing Repair/Floor	Ramp railings in west stairwell, painting railings and benches east stairwell, floor painting east stairwell.	-	8,400	8,400
28	SWV	SWV Drainage Project	Drainage project in progress	-	35,000	35,000
29	SWV	SWV Concrete Walkway	Replace Pavers With Concrete	-	15,000	15,000
30	EPG	EPG Blinds and Sprinklers	Install new blinds and replace fire sprinkler heads	-	6,100	6,100
31	VM	Transmission Flushing Machine	For the Shop	-	5,000	5,000
32	OPS/IT	Replace Computers/Laptops	Replacement & Upgrades	-	30,000	30,000
33	VM	Bus #624 - (Prime) - electrified conversion		-	105,000	105,000
34	SWV	Deed Restriction	SWV land	-	450,000	450,000
35						
36			Total	1,546,995	(273,250)	1,273,745
37		Summary by Department - General Fund (100)				
38	Admin	Administrative	100400.6207	30,000	-	30,000
39	OPS	Operations	100420.6207	557,500	(438,350)	119,150
40	VM	Vehicle Maintenance	100430.6207	165,470	136,600	302,070
41	Facilities	Facilities Maintenance	Dept 440 to 447.6207	794,025	28,500	822,525
42			Total	1,546,995	(273,250)	1,273,745
43				-	-	-
44			Total for Capital Cost of Operating	1,546,995	(273,250)	1,273,745
45		<i>Capital Cost of Operation that considered major repair and maintenance projects that are not recurring on an annual basis.</i>				

SouthWest Transit
2022 Capital Costs of Operating and Other Capital Projects

NO.	Location	2022 Project	Amount
1	Ops	Technology Upgrades - Ongoing Computers/Switches/Monitors	40,000
2	OPS	Lobby Kiosks	40,000
3	OPS	Bus WiFi Router Replacement	152,000
4	Admin	Website/App changes - Apps Combined and Website Refresh	150,000
5	SWS	SWS Ramp PM - on going maintenance	10,000
6	EPG	EPG Fuel Pumps 1 and 2 Replacement	25,000
7	EPG	EPG PM - on going maintenance	10,000
8	EPG	EPG Irrigation System installment outer edge of parking lot	30,000
9	EPG	Utility Trailer - Replacement of trailer #2	7,500
10	EPG	Lawn Mower - Replacement / mower - cab and broom	20,000
11	EPG	Loader Snow blower	115,000
12	EPG	Front Gate Project EPG	270,000
13	CTS	CTS Ramp PM - on going maintenance	10,000
14	CTS	Water Softener replacement	10,000
15	ECS	ECS Irrigation Additions	5,000
16	ECS	ECS Island Project	100,000
17	ECS	ECS Floor Repair and Sealing inside the building	15,000
18	SWV	SWV Ramp PM - on going maintenance	10,000
19	SWV	SWV Irrigation Additions	5,000
20	SWV	SWV East Door Replacement	15,000
21	VM	Voice Radio Replacement Program	15,000
22	VM	FTA Local Match - Prime MD Vehicles -20% local match	73,000
23	VM	Transit Vans - IT & Marketing Vehicles	100,000
24	VM	MnDOT Grant (2 Electric Prime Vehicles+ infrastructure)	200,000
25	EPG	Facility 7 vehicles maint cameras	25,000
26			
27		Total	1,452,500
28			
29		NTD Funding	Amount
30	All Fac	SWT- Camera System Upgrades - All facilities	30,000
31	OPS	Trailer Camera	60,000
32	OPS	New Ticketing Vending Machines - each stations	50,000
33	ECS	ECS Major Ramp & station PM	200,000
34	SWS	SWS Repaint Ramp	165,000
35	EPG	EPG Garage Bay Doors - 4,5,6, 13	200,000
36			
37		Total NTD Grant Funding	705,000
38			
39		Grand Total	2,157,500
40			
41		SWT Capital Improvement fund	Amount
42	EPG	EPG Rooftop Solar Panels - place holder	1,200,000
43	EPG	New Roof for EP Garages A,B, Shop and Office	2,000,000
44	SWV	Vehicle and Equipment storage facility	6,000,000
45		Total	9,200,000
46			

SouthWest Transit
2022 Capital Costs of Operating and Other Capital Projects

NO.	Location	2022 Project	Amount
47		<i>Replacement/Expansion maybe funded by MC or Grants</i>	Amount
48		494 CMAQ Grant (Small Bus) 20% local share require	1,600,000
49		FTA Grant (5 Small Buses) local share require	363,125
50		MnDOT Grant (2 Electric Prime Vehicles+ infastructure)	429,220
51		(Big buses) Replace Coach Vehicles 7 coaches in 2021 (762,763,764,765,766,767,768)	4,410,000
52		Non-Revenue Vehicles 2 Admin Vehicles replacement	35,000
53		Non-Revenue Vehicles Replace Facility truck 1999 & 2006, 2011 shop truck 911 (2025)	50,000
54		Rehab Plan 4 2014 MCI - bus #460 - 463	152,000
55		Rehab Plan 1 2015 Gillig Trolley - bus #523	38,000
56		Coach Electric Bus 2 per year	2,400,000
57		40' Electric Buses Two 40' EVs for Airport/494 Service	1,800,000
58		Cutaway Electric Bus	400,000
59		Garage EV Charging Infrastructure 1 Charger Per 2 Buses	900,000
60		Depot EV Chargers (Bus) Two Chargers Per Facility (\$400,000 each) - Install at SWS, SWV, CTS, EC	3,200,000
61			
62		Total	15,777,345
63			
64		Grand Total	27,134,845
65		<i>Capital Cost of Operation that considered major repair and maintenance projects that are not recurring on an annual basis.</i>	

SOUTHWEST TRANSIT
2021 PROPOSED AMENDED BUDGET AND
2022 PROPOSED BUDGET

Budgeted Employee Full Time Equivalent

Department	Position	2020 Actual	2021 Adopted Budget	2021 Proposed Amended Budget	2022 Proposed Budget
Administration	Chief Executive Officer	1.00	1.00	1.00	0.50
Administration	Chief Executive Officer	-	-	-	1.00
Administration	CAO/or CFO	-	1.00	-	0.75
Administration	HR Director	1.00	1.00	1.00	1.00
Administration	Finance Director	1.00	1.00	1.00	1.00
Administration	Finance Coordinator	-	-	1.00	1.00
Administration	Customer Service Supervisor	1.00	1.00	1.00	1.00
Administration	Senior Compliance, Procurement & Purchasing Analyst	1.00	-	1.00	1.00
Administration	Public Relations & Customer Service Specialist	1.00	1.00	1.00	1.00
Administration	Senior Marketing & PR Administrator	-	1.00	1.00	1.00
Administration	Customer Service Representative/Ops Amb	0.50	-	-	-
Administration Total		6.50	7.00	8.00	9.25
Facility Mtc	Buildings Engineer	1.00	1.00	1.00	1.00
Facility Mtc.	Grounds & Facility Manager	1.00	1.00	1.00	1.00
Facility Mtc	Assistant Grounds & Facility Manager	1.00	1.00	1.00	1.00
Facility Mtc	Facility Maintenance workers	2.00	5.00	5.00	4.50
Facility Mtc	Assistant Building Engineer	-	1.00	1.00	1.00
Facility Mtc.	Part-time Facility Maintenance	2.00	0.50	0.50	0.50
Facility Mtc Total		7.00	9.50	9.50	9.00
Operations	Chief Operating Officer	1.00	1.00	1.00	1.00
Operations	Dispatcher Supervisor	1.00	1.00	1.00	1.00
Operations	Dispatcher fulltime/part time	1.00	1.00	1.00	2.00
Operations	Senior Systems & IT Analyst	1.00	1.00	1.00	1.00
Operations	Operations & Planning Director	1.00	1.00	-	-
Operations	Associate Transit Planner/Part time Intern	1.00	1.00	-	0.50
Operations	Manager of Technologies Security & Facilities	1.00	1.00	1.00	1.00
Operations Total		7.00	7.00	5.00	6.50
Vehicle Maintenance	Vehicle Maintenance Director	1.00	1.00	1.00	1.00
Vehicle Maintenance	Vehicle Maintenance Manager	1.00	1.00	1.00	1.00
Vehicle Maintenance	Assistant Vehicle Maintenance Supervisor	1.00	1.00	1.00	1.00
Vehicle Maintenance	A Technician	2.00	2.00	2.00	2.00
Vehicle Maintenance	B Technician	2.50	2.50	1.50	2.50
Vehicle Maintenance	C Technician	3.00	2.00	3.00	3.00
Vehicle Maintenance	Inventory Control Specialist	1.00	1.00	1.00	1.00
Vehicle Maintenance	Apprentice Mechanic	1.00	1.00	-	1.00
Vehicle Maintenance	Utility Worker	2.00	0.50	-	-
Vehicle Maint Total		14.50	12.00	10.50	12.50
Total Positions		35.00	35.50	33.00	37.25



SOUTHWEST TRANSIT

MEMORANDUM

TO: SouthWest Transit Commission

FROM: Len Simich, CEO

DATE: December 2, 2021

SUBJECT: 2022 Officers and Task Force Members

REQUESTED ACTIONS:

That the Commission appoint the officers and task force members recommended by the Nominating Committee (Budget and Personnel Task Force) for 2022.

Officers

- Chair – Mike Huang
- Vice Chair – PG Narayanan
- Secretary/Treasurer – Jerry McDonald or elected member from Chanhassen

Task Forces

- Budget & Personnel/Agency Governance Task Force– Chair Huang, Vice Chair Narayanan, and Commissioner McDonald or elected representative from Chanhassen. This Committee was established to review/recommend matters related to the agency’s budget and personnel policies. The role of this Task Force has been expanded to function as the annual Nominating Committee for agency officers, as well as to partake in any discussions related to the potential merge with MVTA.
- Suburban Transit Association – Commissioner McDonald, Vice Chair Narayanan (Eden Prairie), Chair Huang (Chaska). CEO Len Simich or his designee is the identified alternate for the three city members.
- Operations/Marketing Advisory Task Force – At-Large Commissioner, Commissioner Freiberg; Commissioner Roepke; and Ex-Officio Member McDonald.
- Legislative Outreach and Strategic Planning – These activities will be undertaken by a Committee of the Whole approach.

RECOMMENDATIONS:

That the Commission appoint the Commission members identified in this memo to serve as Officers and Task Force Members for 2022.



SOUTHWEST TRANSIT

To: SouthWest Transit Commission
From: Len Simich, CEO
Date: December 2, 2021
Subject: 2022 Legislative Priorities

REQUESTED ACTION:

That the Commission approve the 2022 Legislative Priorities.

BUDGET IMPACT:

None at this time.

BACKGROUND:

Below are the Legislative positions as discussed at the October meeting of the SWT Commission. Legislative Action as well as initiatives seeking Legislative Support follow:

Legislative Actions

- ***Seek a Legislative change that would allow SWT to better control and fund its operations.***
Actions could include seeking a change by transferring oversight responsibilities from the Metropolitan Council to Mn/DOT. Besides eliminating the competition for funding that currently exists, this allows the suburban systems to be grouped with peer operations like Duluth, St. Cloud, Mankato, and Rochester who are already under Mn/DOT oversight.

Should priority #1 not generate the needed support. Seek Legislative action that would expand agency autonomy providing SWT the ability to direct its own operations. Things such as the type of services offered, fares charged, and vehicle procurement and ownership, should all fall under the control of the Commission.
- ***Seek Legislation to obtain an equitable share and direct disbursement of MVST funding.***
The current structure in place since 2001 does not provide suburban systems with an equitable share.
- ***Seek Legislative action that would allow SWT to directly receive the property tax revenue collected/taxed in our communities for transit capital (i.e., the regional transit tax funding).***
- ***Seek Legislative Action to secure our share of funding from the third pot of funding related to COVID Relief the “American Rescue Plan ACT.”***

Legislative Support

- The Governor would need to designate suburban systems to become direct recipients of federal funding including all 5307 funding, grants, and COVID relief. Legislative support - recommendation could help with this initiative.
- Ensure public investments are targeted equitably throughout the metro region. The suburbs have many of the same needs as the core cities, and funding to provide services to meet those needs continues to grow. Public investment funding is controlled by the Metropolitan Council and TAB. Legislative support could help ensure transit systems like SWT receive its fare share.
- Minnesota is poised to have over \$800,000 available from federal infrastructure legislation. For SWT to secure funding under this program for initiatives related to our sustainability efforts (i.e., sustainability initiatives are the type of projects targeted under the new legislation). Both Federal and State Legislative support will be needed for SWT to be successful.

RECOMMENDATION:

That the Commission approve the 2022 Legislative Priorities identified in this memo.



SOUTHWEST TRANSIT

To: SouthWest Transit Commission

From: Len Simich, CEO

Date: December 3, 2021

Subject: SouthWest Village Deed Restriction Buy-Out

REQUESTED ACTION:

That the Commission authorize its CEO to seek a conveyance from Mn/DOT for SouthWest Transit to purchase/buy-out the deed restriction currently placed over Lot 2 at the SouthWest Village (see Attached B3).

BUDGET IMPACT:

\$444,000 to come out of the Capital Cost of Operations Budget established for 2021 (see attached Resolution).

BACKGROUND:

SouthWest Transit has been working with Mn/DOT for over the past year to clear the title on property SouthWest Transit controls at SouthWest Village (Lot 2).

The property has been guided for commercial development as part of the Planned Unit Development currently approved by the City of Chanhassen.

The property has been marketed for over the past ten years, and while we have had interest from private developers, one of the main impediments for getting development on the site has been the inability for the developer to own the property they would be making a considerable investment upon.

Having a clear title will improve the chance to develop the property as originally envisioned (see attached site plan). However, with the cost associated for clearing the title, should the Commission decide to sell the property anytime soon, it is highly probable the best-case scenario would be that the Commission would only be made whole (at best), and would not see any financial advantage for selling the property.

There would be advantages to the City and County by generating tax from the site, and there also could be advantages to the agency by having the property developed if the property use supported or appealed to transit riders.

The Commission could also choose to hold the property for a period until the property appreciates, and/or they could choose to develop the property itself. The latter would give the Commission the opportunity to generate revenue (profits) from cash flow from rents collected, or the Commission

could choose to sell the asset (i.e., the development and property) and have the opportunity to generate a profit from the sale (i.e., similar to the approach the Commission took with the Norex property in Chaska).

As a reminder, with all real estate transactions, there are no guarantees regarding profit.

RECOMMENDATION:

That the Commission authorize its CEO to seek a conveyance from Mn/DOT for SouthWest Transit to purchase/buy-out the deed restriction currently placed over Lot 2 at the SouthWest Village for a price not to exceed \$444,000.

November 19, 2021

Certified Mail Return Receipt Requested

Len Simich, Chief Executive Officer and General Manager
SouthWest Transit
13500 Technology Drive
Eden Prairie, MN 55344

In reply refer to: C.S. 1017 (212=260) 902 Parcel 67
Carver County
Conveyance No. 2017-0082

Dear Mr. Simich,

We are pleased to inform you that conditional approval has been obtained for the conveyance of the above-referenced real property as described in Exhibit "A" and shown in Exhibit "B" (the "Property").

The State of Minnesota, Department of Transportation ("Seller") offers to convey the Property to SouthWest Transit ("Buyer") for a consideration of \$444,000.00 in accordance with the following terms and conditions:

1. All current real estate taxes, existing or pending assessments, delinquent taxes, fees and penalties will be paid by Buyer.
2. Seller makes no representations about the status of the title to the Property and is not obligated to correct any title defects.
3. This conveyance is subject to the following, which will be included in the deed issued to Buyer (the Grantee described below is one and the same as the Buyer described in this offer letter):
 - a. Access control described in Exhibit "A" and shown in Exhibit "B".
 - b. The Property is subject to the rights of existing utilities, if any, as provided in Minnesota Statutes §161.45 subd. 3.
 - c. The Grantee, by acceptance of this quitclaim deed, hereby covenants and agrees that no billboard, placard or advertising device of any nature will ever be placed on the premises hereby conveyed, except: (1) signs, displays and devices advertising the sale or lease of the premises and (2) signs, displays and devices advertising activities conducted on the premises.
4. The Property and all improvements, if any, are being conveyed as-is and where-is.

5. **Payment must be made in the form of a cashier's check, certified check or money order made payable to "Commissioner of Transportation – Trunk Highway Fund" in the amount of \$444,000.00**
6. This offer is subject to and specifically conditioned upon receipt of the above-mentioned consideration **on or before May 20, 2022**. If such consideration is not received on or before that date, this offer is null and void and of no further force and effect; and Seller is released from any further obligation to Buyer and may negotiate with other parties for sale or other disposition of the Property.
7. Upon receipt of payment for the conveyance, Seller will issue to Buyer a quitclaim deed, using the legal description in Exhibit "A". Buyer agrees that upon issuance of the quitclaim deed, the Seller may record the deed in the Office of the County Recorder or Registrar of Titles as appropriate. Seller will provide Buyer with the recorded deed within 15 days of the return of the deed from the County.
8. ***The Seller may revoke this offer and cancel this conveyance in its discretion at any time before payment is received. The Seller shall notify Buyer in writing of such revocation and cancellation. Upon cancellation, this offer is null and void and shall be of no further force and effect; and the Seller is released from any further obligation to Buyer.***

Please submit payment and any questions you may have regarding this transaction to:

Minnesota Department of Transportation

395 John Ireland Blvd.

St. Paul, MN 55155-1800

Attn: Michael Geertsema

Michael may be reached at: 612-368-1417, or michael.geertsema@state.mn.us.

Sincerely,

Joseph D. Pignato, Director
Office of Land Management

Enclosures: Exhibits A & B

cc: Julie Groetsch, Assistant Director

EXHIBIT A

June 22, 2021
2017-0082-1017

DESCRIPTION FOR CONVEYANCE

Parcel 67 C.S. 1017 (212=260) 902

All of Tract A described below:

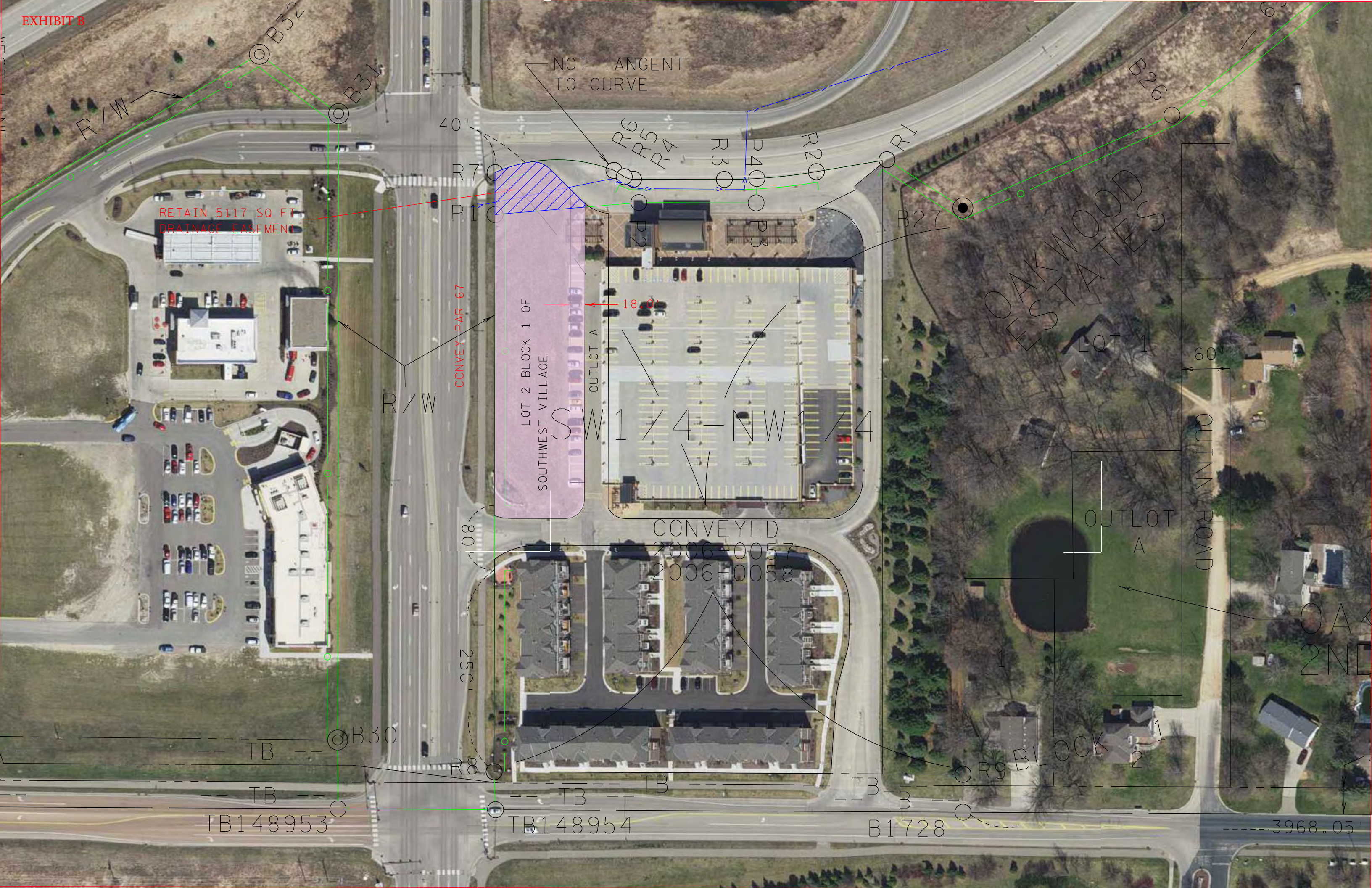
Tract A. Lot 2, Block 1, and the west 18 feet of Outlot A adjacent to said Lot 2, SOUTHWEST VILLAGE, according to the plat thereof on file and of record in the office of the County Recorder in and for Carver County, Minnesota;

containing 47,423 square feet, more or less, of which 5,117 square feet is encumbered by an existing drainage easement;

Subject to the following restrictions and reservations:

No access shall be permitted to Trunk Highway No. 101 from the lands herein conveyed, except that access shall be permitted along the following described line: Commencing at the northwest corner of Tract A hereinbefore described; thence southerly along the west line thereof for 412.32 feet to the point of beginning of the line to be described; thence continue southerly along said west line to the south line of said Tract A and there terminating;

The State of Minnesota reserves a drainage easement in perpetuity over that part of the lands herein conveyed which lies northwesterly of the following described line: Beginning at a point on the west line of Tract A hereinbefore described, distant 52.00 feet southerly of the northwest corner thereof; thence North 85 degrees 09 minutes 07 seconds East for 178.93 feet and there termionating.



RETAIN 5117 SQ FT DRAINAGE EASEMENT

CONVEY PAR 67

LOT 2 BLOCK 1 OF SOUTHWEST VILLAGE

OUTLOT A

SW 1/4 - NW 1/4

CONVEYED 2006-0057 2006-0058

OAKWOOD ESTATES

QUINN ROAD

OUTLOT A

BLOCK 2

OAK 2ND

R/W

R/W

TB

TB

TB148953

B30

B31

B32

R8

R7

P1

TB

TB

TB148954

P2

P3

R30

R20

P40

R65 R74 RRR

B27

R1

TB

TB

B1728

R9

B26

60

3968.05'

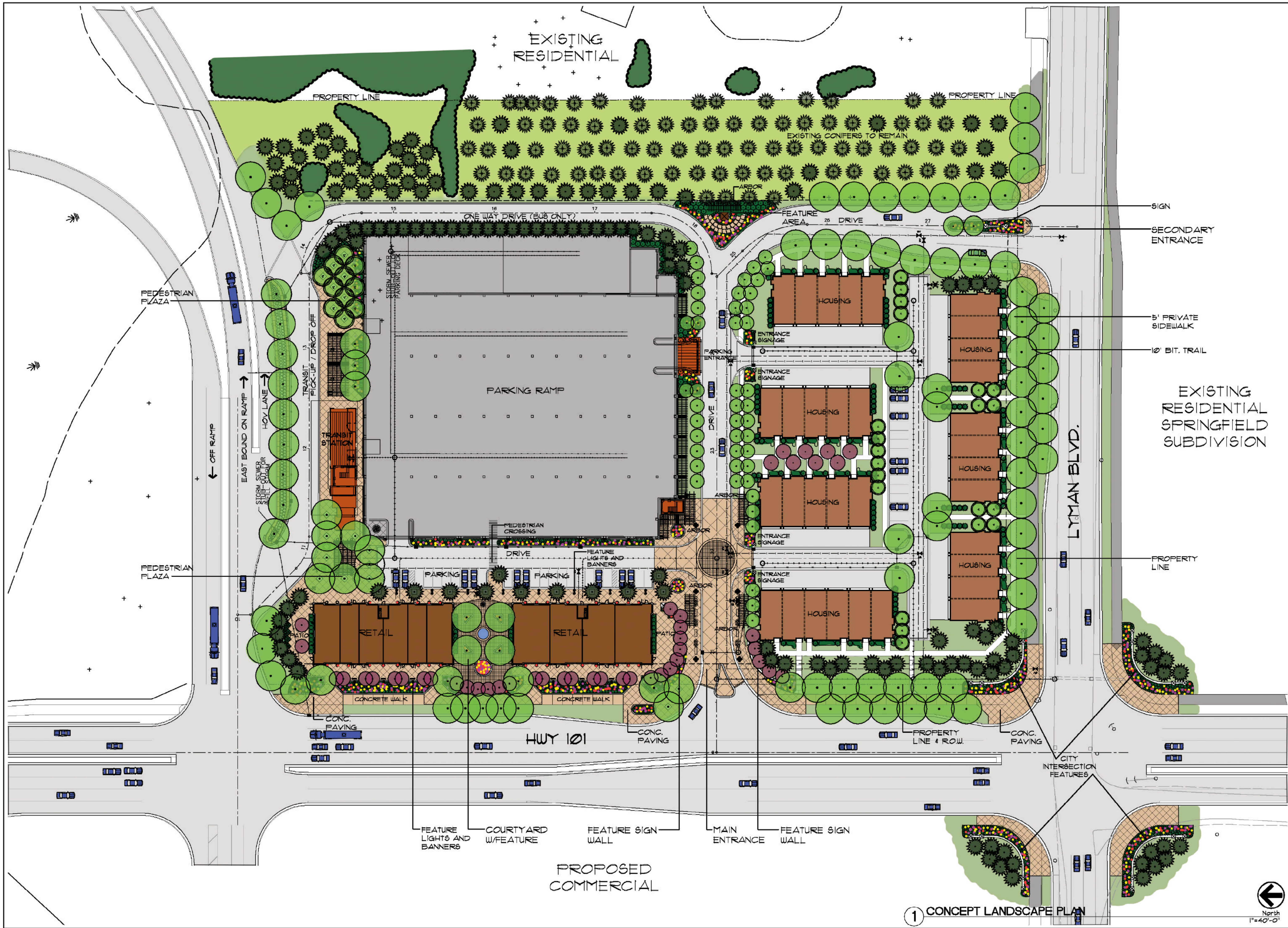
40'

80'

250'

18.01'

NOT TANGENT TO CURVE



REV. NO.	DATE	ISSUED DESCRIPTION
04.14.06		CITY SITE PLAN SUBMITTAL

CONCEPT LANDSCAPE PLAN:
OVERALL LANDSCAPE PLAN

ERNST ASSOCIATES
 1. I HEREBY CERTIFY THAT THIS PLAN, SPECIFICATION OR DESIGN WAS PREPARED BY ME OR UNDER MY DIRECT SUPERVISION AND THAT I AM A LICENSED PROFESSIONAL LANDSCAPE ARCHITECT UNDER THE LAWS OF THE STATE OF MINNESOTA.
 GENE F. ERNST
 DATE: REC. NO. 12297

SOUTHWEST VILLAGE
 Chanhassen, MN

SHEET: **L1.3**

North
 1"=40'-0"

1 CONCEPT LANDSCAPE PLAN



**SOUTHWEST TRANSIT COMMISSION
RESOLUTION # 21-13
FINDINGS REGARDING THE PUBLIC PURPOSES AND TRANSIT PURPOSES
FOR LOT 2 AND OUTLOT A, SOUTHWEST VILLAGE**

WHEREAS, SouthWest Transit operates as a joint powers entity established by the Cities of Chanhassen, Chaska, and Eden Prairie to provide transit services under the laws of the State of Minnesota, including Minnesota Statutes Sections 473.384, 473.388, and 471.59; and

WHEREAS, by deed dated May 2, 2007, filed for record on July 3, 2007 as Document Number 467337 in the Office of the County Recorder for Chaska County (“Deed”), the Minnesota Department of Transportation (“MnDOT”) conveyed to SouthWest Transit certain real property in Carver County, pursuant to Minnesota Statutes Section 161.44, Subdivision 1 for public purposes, specifically for transit purposes only, which property has subsequently been platted by SouthWest Transit as Lots 1, Lot 2, Outlot A and Outlot B, SouthWest Village; and

WHEREAS, Lot 1 has been developed and is used as a SouthWest Transit parking ramp and passenger waiting station for SouthWest Transit customers;

WHEREAS, Lot 2 is vacant and its intended development and use, both since its acquisition and currently, is for commercial use as part of transit-oriented development at SouthWest Village; and

WHEREAS, Outlot A is used as a private road providing access to the SouthWest Transit parking ramp and passenger waiting station located on Lot 1 and to adjacent residential transit-oriented development; and

WHEREAS, the west 18 feet of Outlot A adjacent to Lot 2 includes parking spaces intended to serve Lot 2; and

WHEREAS, since 2007, SouthWest Transit has attempted to develop Lot 2 for commercial use as part of transit-oriented development at SouthWest Village and multiple prospective developers have expressed concerns regarding the restrictions set forth in the Deed; and

WHEREAS, SouthWest Transit seeks to obtain from MnDOT a deed releasing Lot 2 and the west 18 feet of Outlot A adjacent to Lot 2 from the restrictions in the Deed; and

WHEREAS, MnDOT has offered to convey to SouthWest Transit a deed releasing Lot 2 and the west 18 feet of Outlot A adjacent to Lot 2 from the restrictions in the Deed in exchange for consideration of \$444,000.00; and

WHEREAS, SouthWest Transit receives funding from, among other sources, the motor vehicle sales tax, and in accordance with Minnesota Statutes Section 16A.88, Subdivision 1, such funds “must be used solely for transit purposes.”

NOW THEREFORE, THE SOUTHWEST TRANSIT COMMISSION HEREBY FINDS AND DETERMINES AS FOLLOWS:

1. The intended transit-oriented development use of Lot 2 and the west 18 feet of Outlot A adjacent to Lot 2, SouthWest Village, for commercial use is a use that is a public purpose; and
2. The intended transit-oriented development use of Lot 2 and the west 18 feet of Outlot A adjacent to Lot 2, SouthWest Village, for commercial use is a use that is directly related to transit and is therefore a use that is for “transit purposes”; and
3. The uses set forth in paragraphs 1 and 2 above further and fulfill the Commission’s strategic vision for providing transit-oriented development uses as a component to our major transit stations; and
4. The Chief Executive Officer is authorized to enter into an agreement with MnDOT to obtain a deed releasing Lot 2 and the west 18 feet of Outlot A adjacent to Lot 2 from the restrictions in the Deed, to pay to MnDOT an amount not to exceed \$444,000.00 as consideration for such deed, and to execute all documents and instruments that the Chief Executive Officer may deem necessary or incidental to obtaining such deed.

ADOPTED by the SouthWest Transit Commission on December 9, 2021.

Mike Huang, Chair

ATTEST:

Jerry McDonald, Secretary/Treasurer



SOUTHWEST TRANSIT

To: SouthWest Transit Commission

From: Len Simich, CEO

Date: December 2, 2021

Subject: 2021 SouthWest Transit Leadership Awards

REQUESTED ACTION:

That the Commission approve the individuals outlined below as their 2021 award recipients:

BUDGET IMPACT:

NA

BACKGROUND:

On December 1, the Budget and Personnel Task Force consisting of Chair Huang, and Commissioner McDonald (Commissioner Freiberg was unable to attend) met to discuss the 2021 SouthWest Transit Leadership Awards.

The three awards given out annually include:

Friend of Transit – This award goes out to an individual or elected official who has supported Suburban/SouthWest Transit through pro-active leadership, advocacy, and legislative initiatives.

Distinguished Career – This award is provided to an individual who has served in an official capacity for SouthWest Transit and through their actions have helped shape the organization into the agency it has become today.

Outstanding Political Champion – This award goes to an elected official who in the past year made a significant contribution to SouthWest Transit through policy, funding, or legislative initiative.

It was determined in this meeting that all three awards were all warranted for 2021.

The following individuals are being put forward for Commission approval. Once approved by the Commission, the award recipients will be notified and formally recognized at the January Commission dinner.

Friend of SouthWest Transit – **Zach Rodvold**, Chief of Staff for Representative Dean Phillips (Minnesota/District Office), for his assistance in helping SWT secure over \$4.5 million in COVID relief funding (Cares Act and CRRSA). **Tom Redman**, Chair, Bountiful Basket, for his leadership and foresight to bring SWT to the table to assist with food collection and distribution to individuals in need throughout eastern Carver County.

Distinguished Service – Former Chair **Brad Aho** and Former COO **Dave Jacobson** for years of outstanding service provided to the agency.

Outstanding Political Champion – **Representative Dean Phillips**, for his assistance in helping SWT secure over \$4.5 million in COVID relief funding (Cares Act and CRRSA). **Edina Mayor Jim Hovland** for the support he provided to the suburban transit providers during the Governor’s Blue Ribbon Committee hearing/study.

RECOMMENDATION:

That the Commission approve individuals outlined in this memo as the award recipients for 2021.



SOUTHWEST TRANSIT

To: SouthWest Transit Commission
From: Len Simich, CEO
Date: December 3, 2021
Subject: Strategic Plan

REQUESTED ACTION:

That the Commission approve the Strategic Goals to be included in the 2022-2024 Strategic Plan.

BUDGET IMPACT:

NA

BACKGROUND:

The Commission has been working on the development of the 2022-2024 Strategic Plan since early 2021. The last section for the Commission to agree upon is the Strategic Goals.

Once the strategic goals have been approved, actions to achieve the goals be developed and the full plan will be brought forward for adoption (January 2022 Commission Meeting).

The Following are the Strategic Goals under consideration:

1. Improve the agency's ability to control and fund its operation.
2. Add/Maintain/Build a strong staff to meet the agency's needs now and into the future.
3. Ensure the safety and security of our customers, staff.
4. Ensure financial stability through internal actions.
5. Undertake initiatives that support environmental sustainability.
6. Maintain operational excellence
7. Expand service options/initiatives

RECOMMENDATION:

That the Commission approve the Strategic Goals to be included in the 2022-2024 Strategic Plan.

Updates

Operations, Planning, IT, Vehicle Maintenance and Facility Maintenance Updates December 2021

Operations & Planning Updates

Toys for Tots Bus – Staff has been working with City of Chanhassen Staff and will be providing a bus to stuff with toys to help with Chanhassen Fire Department’s Stuff the Bus campaign benefiting Toys for Tots. The Toys for Tots Bus will be part of the City’s Tree Lighting Ceremony and Winter Light festivities.

U of M Transit Governance/History Project – Staff continues to work with U of M graduate students at the Humphrey School of Public Affairs as they complete their research projects looking at various issues and aspects of transit governance and history in the Twin Cities Region. Matt Fyten will be attending class presentation in mid-December. If possible, some student groups may be available to present their findings to the Commission at one of its Q1 2022 meetings. More to come.

Special Event Service Ridership – Fall Special Event services continue to see strong ridership with Vikings and Gopher Football services seeing ridership levels close to or at pre-pandemic levels.

Saturday Prime Ridership – SW Prime service on Saturdays has seen significant increases in ridership over the past month providing over 160 rides per day over the most recent couple weeks. This ridership exceeds levels seen prior to the pandemic. Staff has budgeted another vehicle to go into service on Saturdays that will go into service likely in early 2022.

Arboretum Winter Lights – Service to the MN Landscape Arboretum’s Winter Lights tour has started. The service provides round trip services to event attendees between East Creek Station and the Minnesota Landscape Arboretum Fridays-Sundays through January 2nd. So far, the service has seen strong ridership on Fridays and Saturdays. Staff will continue to work with Arboretum staff in determining when and if service levels should change.

IT Updates

The SWS Conduit Replacement project is underway, but due to cold weather, we will need to wait until spring to finish the wire pulling. Current steel conduit that houses data cables for the camera and code blue systems is rusting and failing in some spots.

Staff has reached out to our **Mobile App Developer** to review changes or updates to the app that would make it more user friendly. Staff has budgeted funds for this to be a 2022 project if we decide to proceed.

Facilities Updates

The facilities team has been busy wrapping up all outdoor work before the snow flies. The team has been working on indoor painting at the Eden Prairie garage, and recently finished up Holiday decorating. All HVAC system have been inspected and are ready for the heating season.

Vehicle Maintenance updates

The shop has finished up the winterization of all buses and are busy ensuring all buses are serviced and ready for the cold months ahead. The shop recently finished a massive basement cleaning project, the basement is looking better than ever. The shop recently finished the yearly parts inventory. Inventory went well and the shop came in under our goal of a 1% parts discrepancy.