

FINANCE SUBCOMMITTEE BOARD OF DIRECTORS MEETING



Meeting Notice:

Due to the COVID-19 pandemic, state of emergency and Governor Beshear's Executive Orders regarding social distancing, this meeting of the TARC Board of Directors will be held via video-teleconference pursuant to Senate 150 (as signed by the Governor on March 30, 2020) and Attorney General Opinion 20-05, and in accordance with KRS 61.826, because it was not feasible to offer a primary physical location for the meeting.

The next meeting of this subcommittee of the TARC Board of Directors will be:
Tuesday, March 16 at 1:00 p.m.

Pursuant to the Americans with Disabilities Act, persons with a disability may request a reasonable accommodation for assistance with the meeting or meeting materials. Please contact Ashlie Woods at 502.561.5108. Requests made as early as possible will allow time to arrange accommodation.

Meeting Instructions:

Join Zoom Meeting:

<https://zoom.us/j/92340054225?pwd=U1FwMzE3VUVwekZ4enpycy92ZVNiZz09>

Meeting ID: 92340054225

Passcode: 642512

One tap mobile: +13017158592,,92340054225#

Audience and/or TARC staff can join via Zoom; public comments may be submitted in the Chat feature of Zoom, or by calling 502-585-1234 or at www.ridetarc.org

FINANCE SUBCOMMITTEE BOARD OF DIRECTORS MEETING



Agenda

I.	Quorum Call / Call to Order	Mary Morrow	1:00
II.	Staff Reports		1:05 - 1:30
	a. February Financial Statements	Tonya Carter	
	b. First Draft Fiscal Year 2022 Budget	Carrie Butler	
III.	Action Items		1:30 - 1:45
	a. Resolution 2021 – 05 Hybrid Bus Batteries	Maria Harris	
	b. Resolution 2021 – 06 TARC's Agency Safety Plan	Lorri Lee	
IV.	Proposed Agenda Items / Next Meeting Date	Carrie Butler	1:45 - 1:50
	a. Banking Services		
	b. FY 2022 Budget		
	c. Presentation on COA Recommendations		
V.	Adjournment		1:55

**TARC Board of Directors
Financial Summary
February 2021, Fiscal Year 2021**



Current Month Revenue

Passenger Fares are under budget \$201,391 (pg. 2, line 1) and Paratransit Fares are under budget \$69,207 (pg. 2, line 2) both mainly due to budget projection on COVID-19 impact. MTTF Contributions – Federated is under budget \$334,657 (pg. 2, line 11) due to cashflow needs and the current month receipts.

Year to Date Revenue

Passengers Fares are under budget \$1,519,539 (pg. 2, line 1) and Paratransit Fares are under budget \$491,512 (pg. 2, line 2) as stated above due to budget projection on COVID-19 impact. MTTF Contributions – Federated is under budget \$8,693,201 (pg. 2, line 11) due to applying CARES funds for operating expenses. Federal Reimbursement Funds – FTA is over budget \$7,823,522 (pg. 2, line 13) mainly due to CARES reimbursement funds.

Current Month Expenses

Direct Labor is over budget \$23,339 (pg. 3, line 1) and Total Labor is under budget \$35,070 (pg.3, line 9) due to vacation projection. Fringe & Benefits are over budget \$169,297 (pg. 3, line 32) mainly due to workers compensation. Purchased Transportation is under budget \$483,458 (pg. 2, line 38) mainly due to revenue hours.

Year to Date Expenses

Direct Labor is over budget \$665,009 (pg.3, line 1) and Total Labor is over budget \$748,303 (pg.3, line 9). Fringe & Benefits are over budget \$747,026 (pg. 3, line 32) mainly due to Pension and Workers Compensation offset by Medical. Purchased Transportation is under budget \$2,916,123 (pg. 2, line 38) mainly due to budget projection on COVID-19. Depreciation Expense is under budget \$808,123 (pg. 2, line 46) mainly due to capital expenditures not in line with budget projections.

Operating Summary

Overall we had a \$190,939 (pg.2, line 53) unfavorable balance for the current month on the Statement of Revenues – Expenses. This brings the unfavorable year-to-date balance to \$94,156 (pg. 2, line 53). February MTTF budget projection for revenue deposits is over budget \$3,323,566 (pg. 7) year-to-date mainly due to July receipts. We currently have a favorable balance before capital year-to-date of \$3,229,410 (pg. 8) due to the MTTF revenue deposits. MTTF net profit fees are up \$3,136,422 (pg. 7) and employee withholdings are down \$832,555 (pg. 7) year to date compared to last year.

Capital Summary

Total Capital Contributions is under budget \$780,373 (pg.2, line 25) for the current month and under budget \$4,610,010 (pg. 2, line 25) year-to-date mainly due to the timing of spending grant funds. Total Capital Expenses are under budget \$126,506 (pg. 2, line 48) for the current month and under budget \$546,835 (pg. 2, line 48) year-to-date. Bringing the year-to-date balance after capital items are applied to an unfavorable balance of \$6,482,011 (pg.2, line 55) mainly due to Capital Contributions being less than Depreciation Expenses.

Statement of Revenue - Expenses - with Capital Contributions

February 2021, Fiscal Year 2021



Description	FY21 Total Budget	Current Month			Fiscal Year-to-date			
		Actual	Budget	Over budget (Under budget)	Actual	Budget	Over budget (Under budget)	Percentage Remaining
Revenues								
1 Passenger Fares	6,885,444	445,021	646,412	(201,391)	3,162,656	4,682,195	(1,519,539)	54.07%
2 Paratransit Fares	1,471,267	69,199	138,406	(69,207)	548,083	1,039,595	(491,512)	62.75%
3 Special Fare Revenues (UofL, UPS and etc)	2,087,100	141,991	168,500	(26,509)	1,217,607	1,379,300	(161,693)	41.66%
4 Comp Specials	290,700	0	0	0	0	0	0	100.00%
5 Advertising Revenue	634,165	52,500	53,333	(833)	420,000	420,833	(833)	33.77%
6 Other Agency Revenues	183,300	14,800	10,417	4,383	98,469	115,836	(17,367)	46.28%
7 Total Recoveries-Insurance	70,000	40,485	5,000	35,485	82,743	51,000	31,743	-18.20%
8								
9 Operating Revenues	11,621,976	763,995	1,022,068	(258,072)	5,529,558	7,688,759	(2,159,201)	52.42%
10								
11 MTF Contributions- Federated	49,069,249	5,936,785	6,271,442	(334,657)	33,029,285	41,722,486	(8,693,201)	32.69%
12 Local Government Funds - MTF	3,500,463	0	0	0	463,115	238,907	224,208	86.77%
13 Federal Reimbursement Funds - FTA	25,788,577	0	0	0	18,812,536	10,989,014	7,823,522	27.05%
14 State Government Funds	1,702,666	0	0	0	546,429	620,895	(74,466)	67.91%
15		0						
16 Total Non-Operating Revenues	80,060,955	5,936,785	6,271,442	(334,657)	52,851,365	53,571,302	(719,937)	33.99%
17								
18 Total Revenues Before Cap Contributions	91,682,931	6,700,780	7,293,510	(592,729)	58,380,922	61,260,061	(2,879,138)	36.32%
19								
20 Local Government Funds - MTF, Cap	1,865,202	20,320	162,976	(142,656)	190,254	1,132,544	(942,290)	89.80%
21 Federal Reimbursement Funds - FTA, Cap	19,159,554	82,944	720,661	(637,717)	1,140,991	4,808,711	(3,667,720)	94.04%
22 State Government Funds, Cap	0	0	0	0	0	0	0	0.00%
23 Other Agencies Revenue, Cap	0	0	0	0	0	0	0	0.00%
24								
25 Total Capital Contributions	21,024,756	103,264	883,637	(780,373)	1,331,245	5,941,255	(4,610,010)	93.67%
26								
27 Total Revenues	112,707,687	6,804,044	8,177,147	(1,373,102)	59,712,168	67,201,316	(7,489,148)	47.02%
28								
29								
Expenses								
30								
31								
32 Labor	28,539,806	2,298,065	2,274,726	23,339	19,143,528	18,478,519	665,009	32.92%
33 Fringes & Benefits	27,029,658	2,285,745	2,116,448	169,297	19,517,451	18,770,425	747,026	27.79%
34 Services	5,336,874	303,424	428,269	(124,845)	3,255,859	3,587,942	(332,083)	38.99%
35 Materials	6,843,550	478,846	557,158	(78,312)	4,054,057	4,527,612	(473,555)	40.76%
36 Utilities	958,796	114,614	80,066	34,548	624,586	640,528	(15,942)	34.86%
37 Casualty & Liability	2,646,356	301,814	220,529	81,285	1,491,467	1,764,232	(272,765)	43.64%
38 Purchased Transportation	19,597,253	1,080,562	1,564,020	(483,458)	10,145,543	13,061,666	(2,916,123)	48.23%
39 Interest Expense	15,568	1,055	1,055	0	28,169	11,725	16,444	-80.94%
40 Other Expenses	715,070	27,595	51,239	(23,644)	214,419	417,412	(202,993)	70.01%
41 Operating Expenses	91,682,931	6,891,719	7,293,510	(401,790)	58,475,078	61,260,061	(2,784,982)	36.22%
42								
43								
44								
45 Development Cost & Loss on Disposal	853,590	23,692	47,424	(23,732)	474,038	213,408	260,630	44.47%
46 Depreciation Expenses	12,303,726	903,792	1,006,566	(102,774)	7,244,405	8,052,528	(808,123)	41.12%
47 Loss on Disposal of Assets	0	0	0	0	658	0	658	0.00%
48 Total Capital Expenses	13,157,316	927,484	1,053,990	(126,506)	7,719,101	8,265,936	(546,835)	41.33%
49								
50 Total Expenses	104,840,247	7,819,204	8,347,500	(528,296)	66,194,179	69,525,997	(3,331,817)	36.86%
51								
52								
53 Revenue / Expense Difference Before Capital	0	(190,939)	0	(190,939)	(94,156)	0	(94,156)	0.00%
54								
55 Revenue / Expense Difference After Capital	7,867,440	(1,015,159)	(170,353)	(844,806)	(6,482,011)	(2,324,681)	(4,157,331)	182.39%



Balance Sheet

February 2021, Fiscal Year 2021

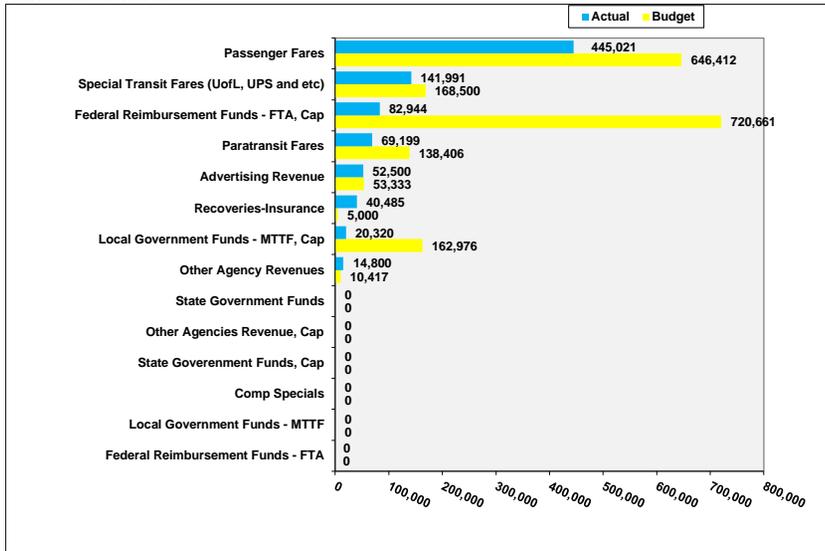
Assets	FY 21	FY 20	Liabilities, Reserves & Capital	FY 21	FY 20
Current Assets			Current Liabilities		
Cash & Cash Items	2,751,110	2,835,051	Long Term Debt	262,538	397,920
Short Term Investments	6,636,655	3,080,118	Short Term Debt	0	0
Accounts Receivable	55,425,423	15,594,986	Trade Payables	5,140,133	6,340,307
Interest Receivable	121	123	Accrued Payroll Liabilities	4,254,280	4,304,413
Due From Grant	80,000	80,000	Estimated Workmans Compensation	3,131,457	2,923,024
Materials & Supplies	2,350,496	1,557,241	Accrued Tax Liabilities	0	0
	-----	-----	Unredeemed Tickets & Tokens	1,654,056	1,742,149
Total Current Assets	67,243,804	23,147,519	Reserves - Injury & Damages	1,012,600	921,700
			Due To Operations	80,000	80,000
Other Assets			Unearned Capital Contributions	53,139,081	11,254,939
Prepaid Insurance & Dues & WIP	943,518	1,520,541	Other Current Liabilities (Health Ins.)	506,745	(14,081)
	-----	-----		-----	-----
Total Other Assets	943,518	1,520,541	Total Current Liabilities	69,180,890	27,950,370
Fixed Assets			Equity		
Land	3,177,782	3,177,782	Retained Earnings	(6,482,011)	(7,550,574)
Buildings	49,133,260	49,039,055	Prior Year Retained Earning	76,430,607	83,922,863
Coaches	113,494,716	113,929,249		-----	-----
Office Equipment	10,477,988	9,764,421	Total Equity	69,948,595	76,372,289
Other Equipment	21,933,786	20,569,499		-----	-----
Development Costs	284,310	619,377	Total Liabilities & Equity	139,129,485	104,322,659
Vehicle Exp - Operating	1,420,405	1,420,405		=====	=====
Other Equipment -Operating	151,307	150,585			
	-----	-----			
Total Fixed Assets	200,073,552	198,670,372			
Less Accumulated Depreciation					
Accumulated Depr Land	705,431	671,985			
Accumulated Depr Buildings	26,617,519	25,104,427			
Accumulated Depr Coaches	75,025,410	68,569,567			
Accumulated Depr Office Equipment	8,013,167	7,120,560			
Accumulated Depr Other Equipment	17,674,483	16,347,890			
Accumulated Depr Development Cost	75,045	252,095			
Accumulated Depr Vehicle Exp - Opr	905,915	849,788			
Accumulated Depr Other Equipment Op	114,419	99,462			
	-----	-----			
Total Depreciation	129,131,389	119,015,774			
	-----	-----			
Net Fixed Assets	70,942,163	79,654,598			
	-----	-----			
Total Assets	139,129,485	104,322,659			
	=====	=====			

Actual Revenue vs. Budget

February 2021, Fiscal Year 2021



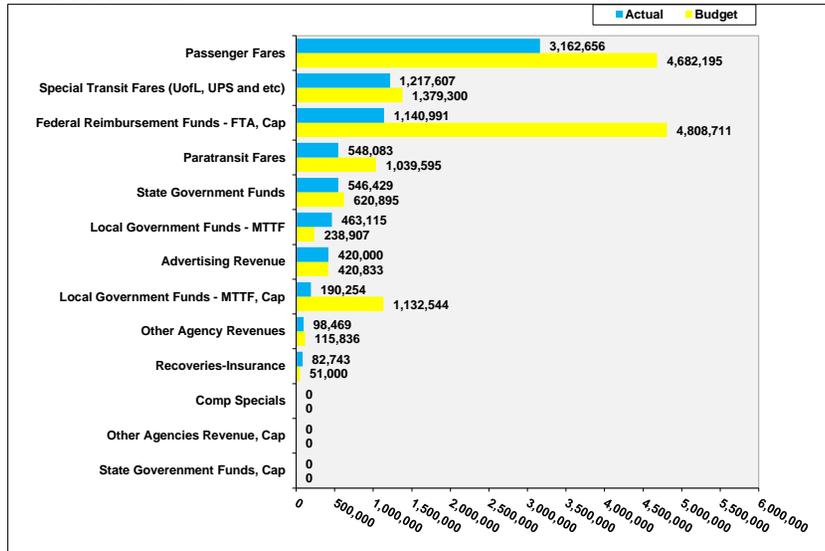
Current Month Revenues



MTTF \$5,936,785 Actual < \$6,271,442 Budget

- Passenger fares \$201,391 ↓
- Paratransit fares \$69,207 ↓
- MTTF Contributions \$334,657 ↓

Year to Date Revenues



MTTF \$33,029,285 Actual < \$41,722,486 Budget

Federal Reimbursement Funds - FTA \$18,812,536 Actual > \$10,989,014 Budget

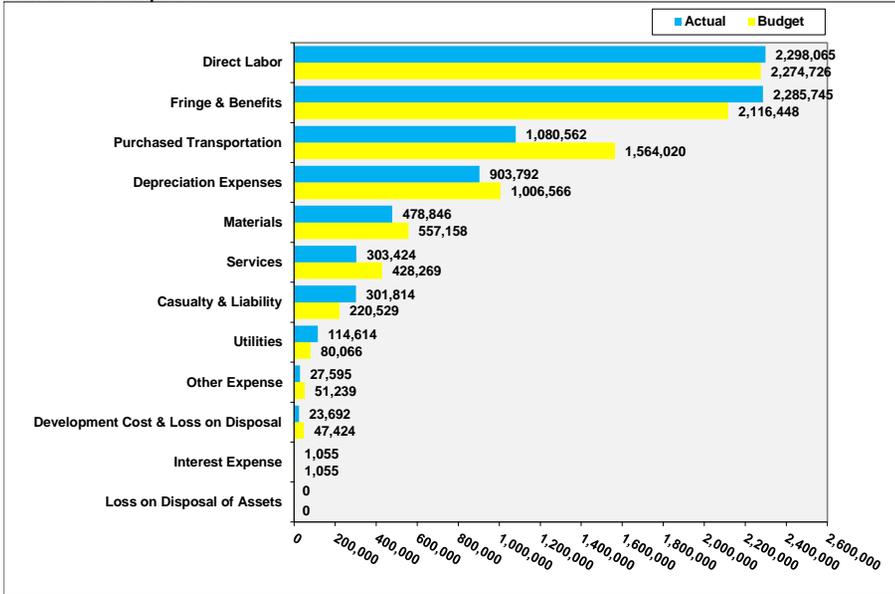
- Passenger fares \$1,519,539 ↓
- Paratransit fares \$491,512 ↓
- MTTF Contributions \$8,693,201 ↓
- Federal Reimbursement Funds - FTA \$7,823,522 ↑

Actual Expenses vs. Budget

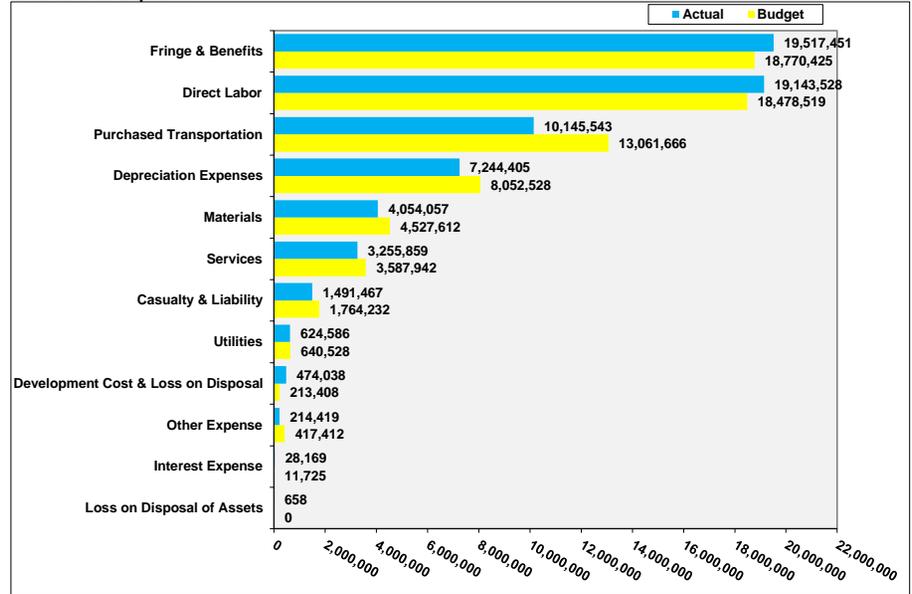
February 2021, Fiscal Year 2021



Current Month Expenses



Year to Date Expenses



Direct Labor \$23,339. ▲ Total Labor \$35,070 ▼
 Fringe & Benefits \$169,297 ▲
 Purchased Transportation \$483,458 ▼

Direct Labor \$665,009 ▲ Total Labor \$748,303 ▲
 Fringe & Benefits \$747,026 ▲
 Purchased Transportation \$2,916,123 ▼
 Depreciation Expenses \$808,123 ▼

MassTransit Trust Fund (MTTF) Revenue Deposits



Deposit to Budget Difference FY 2021

Month	FY 21 Actual Deposits	FY 21 Budget Deposits	Difference	YTD Total	Current Month	YTD
July	\$6,263,320	\$4,161,638	\$2,101,682	\$2,101,682	50.50%	
August	\$4,049,642	\$3,709,802	\$339,840	\$2,441,522	9.16%	31.02%
September	\$4,744,809	\$5,573,185	(\$828,376)	\$1,613,146	-14.86%	12.00%
October	\$3,821,270	\$3,462,858	\$358,412	\$1,971,558	10.35%	11.66%
November	\$4,823,684	\$3,747,553	\$1,076,131	\$3,047,689	28.72%	14.76%
December	\$5,504,381	\$5,506,077	(\$1,696)	\$3,045,993	-0.03%	11.64%
January	\$5,505,049	\$4,814,614	\$690,435	\$3,736,428	14.34%	12.06%
February	\$4,083,535	\$4,496,397	(\$412,862)	\$3,323,566	-9.18%	9.37%
March		\$4,533,247	(\$4,533,247)	(\$1,209,681)	-100.00%	-3.02%
April		\$6,187,014	(\$6,187,014)	(\$7,396,695)	-100.00%	-16.01%
May		\$3,706,568	(\$3,706,568)	(\$11,103,263)	-100.00%	-22.25%
June		\$3,202,202	(\$3,202,202)	(\$14,305,465)	-100.00%	
TOTAL	\$38,795,690	\$53,101,155				

MTTF Revenue Deposits - Actuals

LOUISVILLE METRO REVENUE COMMISSION TARC LICENSE FEE TRANSACTIONS
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	February 2021	February 2020	YTD FYE 2021	YTD FYE 2020	Difference Amount	Percent Change
Receipts						
Employee Withholding	\$ 3,927,591	\$ 4,501,207	\$ 32,642,581	\$ 33,475,136	\$ (832,555)	-2.49%
Individual Fees	1	197	945	349	596	
Net Profit Fees	188,057	247,788	6,309,126	3,172,704	3,136,422	98.88%
Interest & Penalty	25,768	40,931	389,137	493,127	(123,990)	-25.14%
Total Collections	\$ 4,139,417	\$ 4,790,103	\$ 39,321,789	\$ 37,141,316	\$ 2,180,473	5.87%
Investment Income	\$ -	\$ 7,612	\$ 4,744	\$ 62,428	\$ (57,684)	-92.40%
Total Receipts	\$ 4,139,417	\$ 4,797,715	\$ 39,326,533	\$ 37,203,744	\$ 2,122,789	5.71%
Disbursements						
Collection Fee	\$ 55,882	\$ 64,666	\$ 530,843	\$ 494,802	\$ 36,041	7.28%
Total Disbursements	\$ 55,882	\$ 64,666	\$ 530,843	\$ 494,802	\$ 36,041	7.28%
Due Mass Transit	\$ 4,083,535	\$ 4,733,049	\$ 38,795,690	\$ 36,708,942	\$ 2,086,748	5.68%
Less Previous Payments			34,712,155	31,975,893	2,736,262	8.56%
Payable To Trust Fund			\$ 4,083,535	\$ 4,733,049	\$ (649,514)	-13.72%



Year to Date Summary

February 2021, Fiscal Year 2021

	Good	In the Red	
Total Revenues are Over/ Under by (pg. 2, line 18)		\$2,879,138	
Total Expenses are Over/ Under by (pg. 2, line 41)	\$2,784,982		
MTTF Revenue Deposits are Over /Under by (pg. 7)	\$3,323,566		
February has a favorable balance before Capital of	\$6,108,548	\$2,879,138	\$3,229,410

Revenues over Expenses

Revenues	\$39,212,212
FTA Funds	1,950,008
State Funds	\$546,429
KYTC	
Total Revenues	\$41,708,649
Total Operating Expenses	\$58,475,078
Local Capital Expenses	\$190,254
Total Expenses	\$58,665,332
Net Gain/(Loss) before CARES Funds	(\$16,956,683)
CARES Funds applied for FY 2021	\$16,862,528
Net Gain/(Loss) before Capital	(\$94,155)



FISCAL YEAR 2022 BUDGET – FIRST DRAFT
MARCH 16, 2021





MISSION STATEMENT

Deliver
transportation
services that
enhance the
Greater Louisville
community





MISSION STATEMENT & SUCCESS FACTORS

DELIVER TRANSPORTATION SERVICES THAT ENHANCE THE GREATER LOUISVILLE COMMUNITY

1

Deliver Quality Services

- Safe
- Accessible
- Sustainable

2

Focus on Rider Needs

- Voice of the Customer
- Dependability
- Frequent, Fast, & Direct

3

Maintain Adequate Financial Resources

- MTTF, Revenue, Expenses
- Fund Capital Needs
- Prudent Contractual Management

4

Support the Community's Well Being

- Program Involvement
- Workforce & Economic Development
- Outreach

5

Engage an Effective Team

- Promote Transparency
- Training & Development
- Opportunities for Growth

6

Explore Visionary Opportunities

- Long Range Planning
- Transformative Technology
- Multimodal Trends

FISCAL YEAR (FY) 2021 ACCOMPLISHMENTS

BECAUSE OF A GLOBAL PANDEMIC

- Met CDC and state orders for safety protocols: hand sanitizer, masks, gloves, cleaning and sanitizing, and social distancing orders
- Managed operations when deemed essential service and executed remote work procedures
- Adjusted service levels to balance commuting patterns with finances
- Fulfilled the Families First Family Medical Leave Act
- Developed procedures for managing quarantines and increased absences



FY 2021 ACCOMPLISHMENTS

IN THE MIDST OF A GLOBAL PANDEMIC

- Shuttle service for primary and general elections
- Celebrated Class of 2020 with bus wrap
- Transitioned to a new paratransit contractor
- Opened the Dixie Rapid Corridor
- Completing a comprehensive operations analysis
- Transitioned executive leadership team



FY 2021 ACCOMPLISHMENTS

BY THE NUMBERS

- Awarded \$22M for clean diesel fleet purchases from Kentucky VW Settlement and Federal Transit Administration funds
- Reduced preventable accidents to 2.1 per 100,000 miles
- Increased social media engagement by 14%
- Awarded \$650k in grant funds to non-profits that provide transportation for seniors and people with disabilities
- Added 32 new bus shelters, 16 benches and three accessibility ramps





FY 2021 ACCOMPLISHMENTS

.....and most importantly, we grew as people and as an organization.

THREE YEAR LOOK

HALF FULL, HALF EMPTY? WHERE WILL THE WATER COME FROM NEXT?

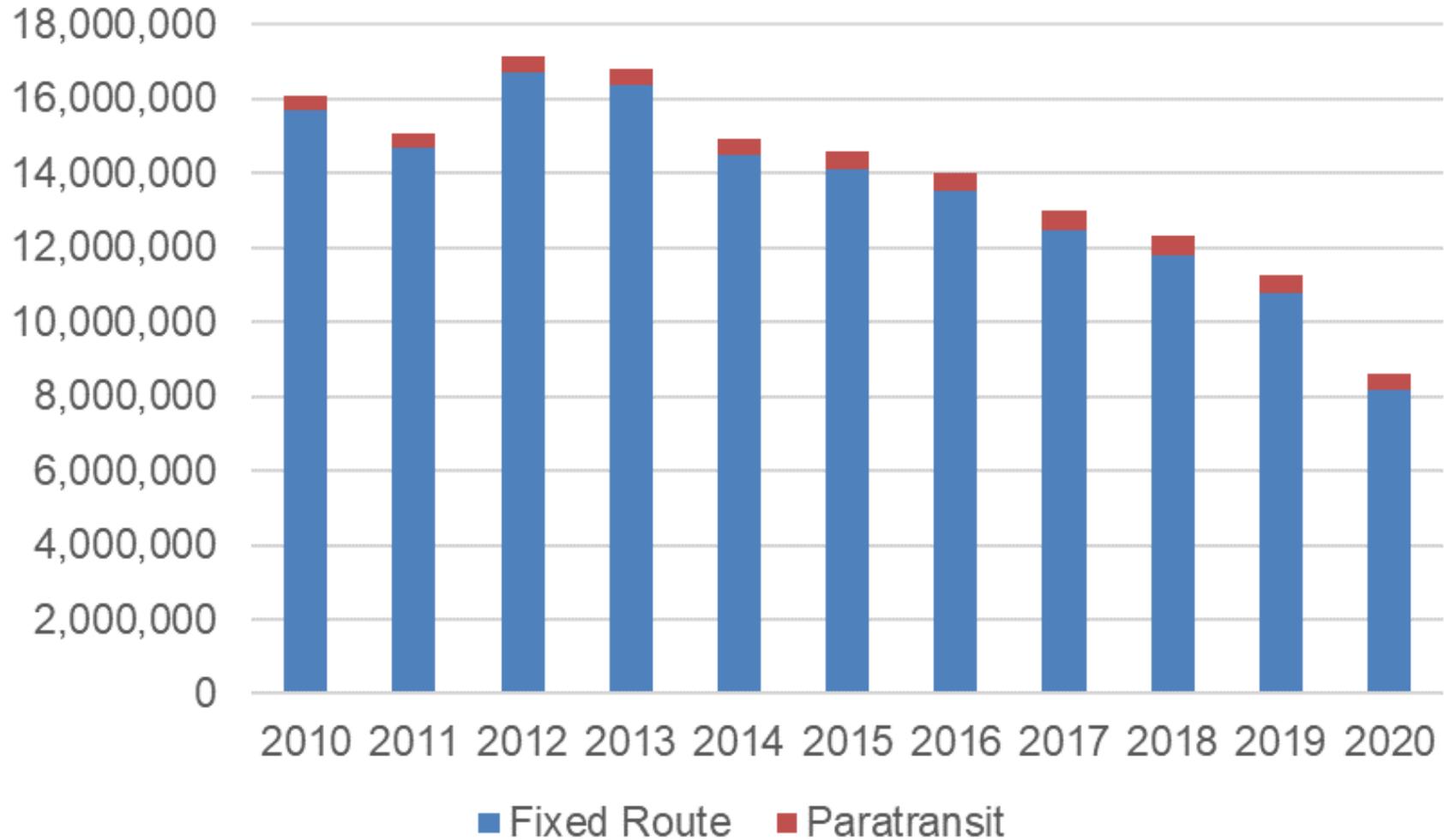
- Local, State, Federal funding outlook
- Expiring authorization bill
- Pace of economic recovery
- Temporary or permanent change to commute patterns?
- Increased activity, everywhere
- Pent up consumer demand
- Renewed interest in community and environmental actions
- Better, more relevant TARC service





RIDERSHIP, FAREBOX REVENUE LOSS + COVID

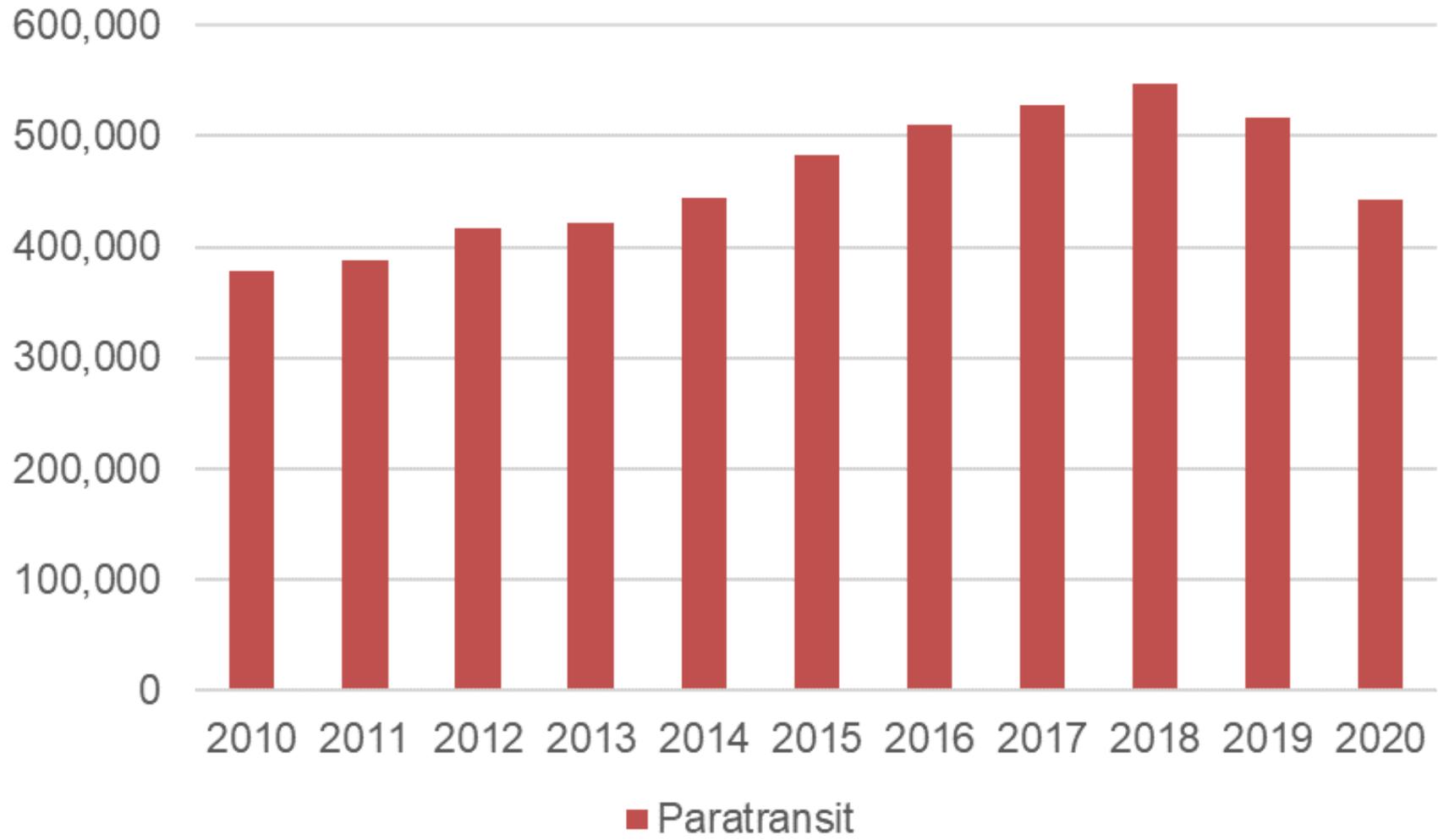
ACCELERATE THE NEED FOR CHANGES





PARATRANSIT RIDERSHIP

HAS GROWTH FLATTENED? WILL COSTS STABILIZE?

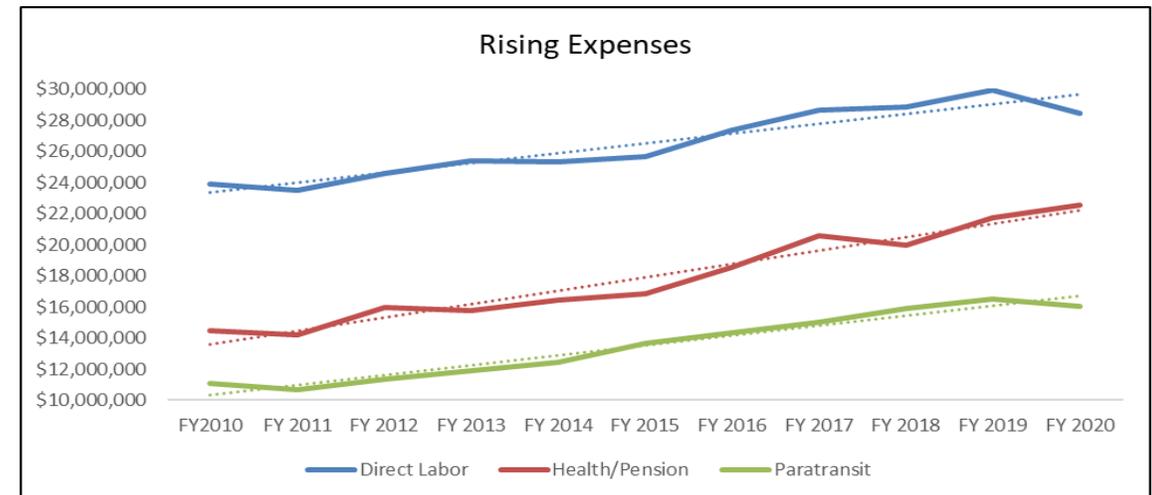
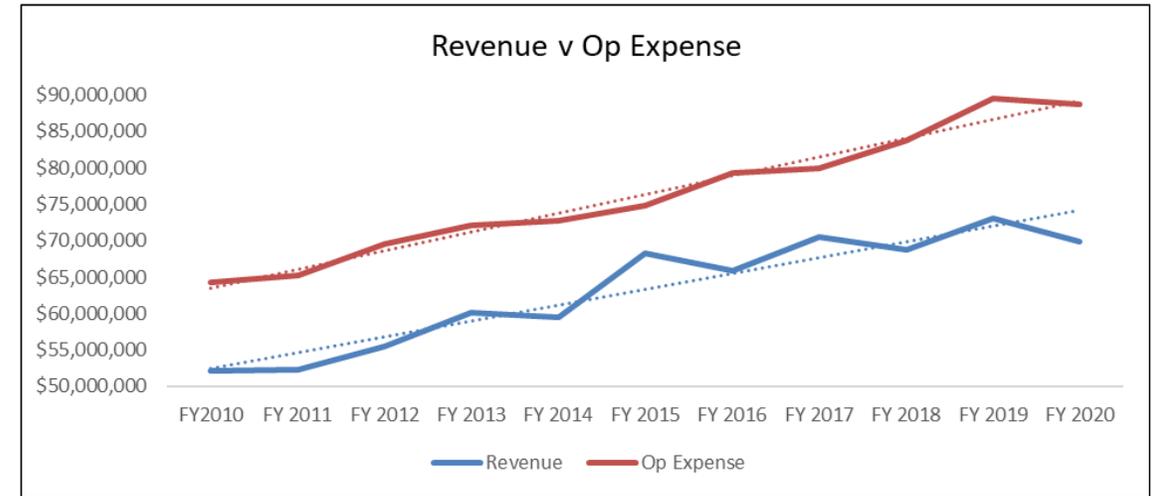




OPERATING COST VS REVENUE OVER THE PAST TEN YEARS

MUST FIND LONG-TERM SUSTAINABILITY

- Operating expenses growing at a higher rate than revenue
- Gap Continues to widen
- Muddling through with critical, vital federal grants and subsidies
- Three main cost drivers



MAIN COST DRIVERS

HEALTHCARE, PENSIONS AND PARATRANSIT

1

Growth in paratransit ridership, cost per trip and impacts to overall TARC budget

2

Cost of health care coverage, relation to negotiated benefits package and employee attraction and retention

3

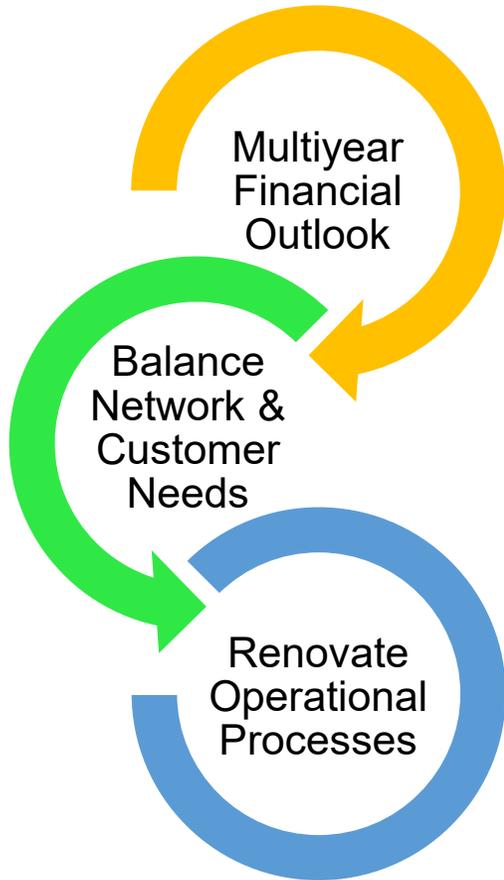
Pension contributions required as part of County Employee Retirement System (CERS)





CONSIDERATIONS AND ASSUMPTIONS FOR FY 2022 BUDGET

MULTIPRONGED APPROACH



Diesel fuel	• \$1.79/gallon (.01=\$17,083)
Gas	• \$2.50/gallon (.01=\$1.535)
Ridership	• +5% from FY21 est
MTTF growth	• -3.58% from FY21 est
CERS	• 12% increase
State match	• VW- \$2,6M; IN - \$1M
CARES Act	• \$13,000,563
CRRSA	• \$18,237,895

COMBINED CAPITAL AND OPERATING BUDGETS

FY 2020 FINAL

Operating: \$ 88,787,516

Ending Balance Mass Transit Trust Fund (MTTF): \$14,038,469

FY 2021 ESTIMATE

Operating: \$ 91,842,148

Ending Balance of MTTF: \$ 14,038,469

FY 2022 BUDGET

Operating: \$ 99,956,144

Ending Balance of MTTF: \$ 14,083,469

Capital Projects: \$ 24,406,719



FY 2022 CAPITAL BUDGET & PROGRAM OF PROJECTS *first draft*

SUMMARY OF CAPITAL BUDGET

<u>Capital Projects</u>	<u>TOTAL</u>	<u>FEDERAL</u>	<u>MTTF</u>	<u>STATE</u>	<u>OTHER</u>	<u>TOLL CREDITS</u>
Projects That Use Local Funds Sub-total	140,841	0	140,841	0	0	0
Projects That Use S. 5307 Formula Funds Sub-total	2,739,284	2,191,427	547,857	0	0	0
Projects That Use S.5339 & Flex Funds Sub-total	7,173,111	5,361,809	1,272,648	432,512	106,142	14,710
Projects That Use Discretionary Funds Sub-total	14,353,483	11,538,700	120,744	2,694,039	0	0
TOTAL - All Capital Projects	24,406,719	19,091,936	2,082,090	3,126,551	106,142	14,710

<u>Capital Eligible Expense Reimbursements</u>	<u>TOTAL</u>	<u>FEDERAL</u>	<u>MTTF</u>	<u>STATE</u>	<u>OTHER</u>	<u>TOLL CREDITS</u>
5307 Formula Contributions Sub-total	7,182,265	5,745,812	986,453	450,000	0	0
CARES Act Non-Fixed Route ADA Paratransit	0	0	0	0	0	0
CARES Act Emergency Operations	13,000,563	13,000,563	0	0	0	0
CRRSA Act Emergency Operations	18,237,895	18,237,895	0	0	0	0
Projects That Use CMAQ Funds	800,000	640,000	160,000	0	0	0
TOTAL - All Contributions to Operations	39,220,723	37,624,270	1,146,453	450,000	0	0
TOTAL	63,627,442	56,716,206	3,228,543	3,576,551	106,142	14,710

FY 2022 CAPITAL BUDGET & PROGRAM OF PROJECTS *page 1*



	TOTAL	FEDERAL	MTTF	STATE	OTHER	TOLL CREDITS
Projects That Use Local Funds						
Paratransit Vehicles (Municipal Lease 5/3 add year)	140,841	0	140,841	0	0	0
Paratransit Vehicles (Municipal Lease FY 2022)	0	0	0	0	0	0
Sub-total	140,841	0	140,841	0	0	0
Projects That Use Formula Funds						
Bus Components	195,132	156,105	39,027	0	0	0
Architectural & Engineering Services	295,680	236,544	59,136	0	0	0
MIS Hardware/Software	98,570	78,856	19,714	0	0	0
Security Enhancements	549,902	439,922	109,980	0	0	0
Rehab Storage Facility	1,500,000	1,200,000	300,000	0	0	0
Operations Planning	100,000	80,000	20,000	0	0	0
Sub-total	2,739,284	2,191,427	547,857	0	0	0
Projects That Use Other (5339 & Flex) Formula Funds						
Diesel Bus Purchase (5339a - 2 buses)	967,538	385,581	96,395	432,512	53,050	0
A & E Services (5339)	1,989	1,591	398	0	0	0
Engineering-3rd Party (STP ITS)	199,992	159,994	39,998	0	0	0
MIS Hardware/Software (5339)	605,178	484,142	121,036	0	0	0
Fare Collection Equipment (STP)	218,516	174,813	43,703	0	0	0
Fare Collection Equipment (STP ITS)	842,472	673,978	168,494	0	0	0
Support Vehicles (5339)	200,000	160,000	40,000	0	0	0
ITS Equipment (STP ITS)	1,145,527	916,422	229,105	0	0	0
Facility Rehabilitation Projects	700,000	560,000	140,000	0	0	0
Facility Rehabilitation Projects	1,652,741	1,322,193	330,548	0	0	0
Transit Enhancements (STP)	371,340	308,840	12,500	0	50,000	14,710
Transit Enhancements (STP TAP)	267,818	214,255	50,471	0	3,092	0
Sub-total	7,173,111	5,361,809	1,272,648	432,512	106,142	14,710
Projects That Use Discretionary Funds						
Diesel Bus Purchase (5339b - 26 Buses)	13,402,116	10,708,077	0	2,694,039	0	0
Architectural & Engineering Services (Solar Projects)	28,798	23,038	5,760	0	0	0
Facility Rehabilitation (Solar Projects)	227,272	181,818	45,454	0	0	0
Solar Project(s)	695,297	625,767	69,530	0	0	0
Sub-total	14,353,483	11,538,700	120,744	2,694,039	0	0
SUB-TOTAL - All Capital Projects	24,406,719	19,091,936	2,082,090	3,126,551	106,142	14,710



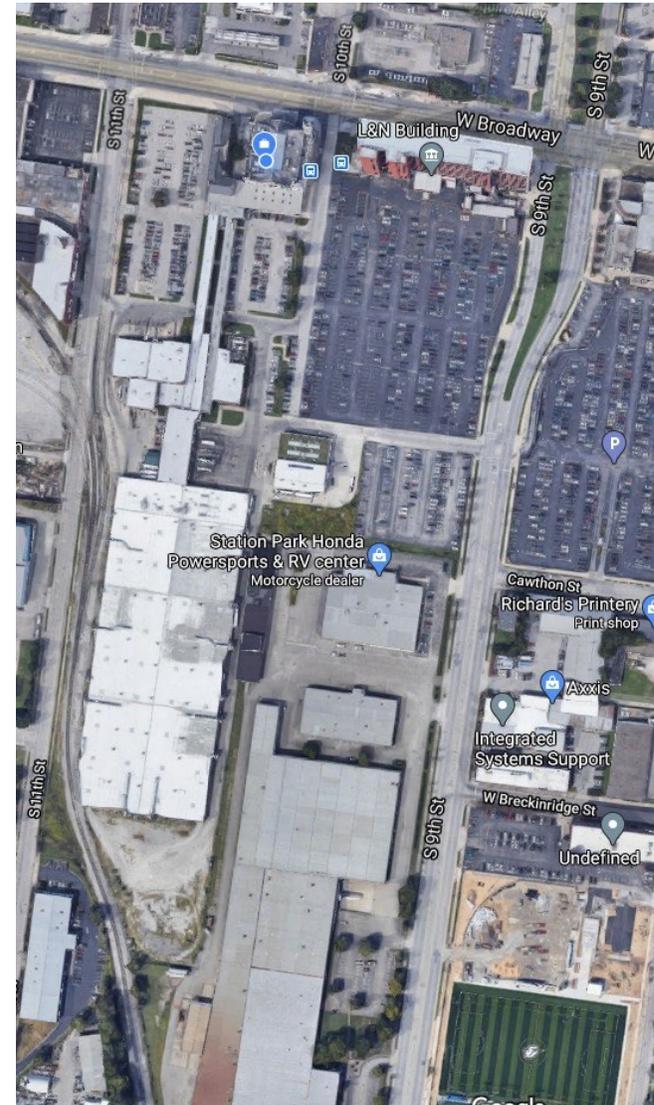
Capital Eligible Expense Reimbursements

	TOTAL	FEDERAL	MTTF	STATE	OTHER	TOLL CREDITS
<i>Projects That Use Formula Funds</i>						
Non-Fixed Route ADA Paratransit	2,123,900	1,699,120	424,780	0	0	0
Capital Cost of Contracting (Fixed Route)	46,500	37,200	9,300	0	0	0
Capital Maintenance	5,011,865	4,009,492	552,373	450,000	0	0
Sub-total 5307 Formula Contributions	7,182,265	5,745,812	986,453	450,000	0	0
	TOTAL	FEDERAL	MTTF	STATE	OTHER	TOLL CREDITS
<i>Projects That Use CARES & CRRSA Act Funds</i>						
CARES Act Non-Fixed Route ADA Paratransit	0	0	0	0	0	0
CARES Act Emergency Operations	13,000,563	13,000,563	0	0	0	0
CRRSA Act Emergency Operations	18,237,895	18,237,895	0	0	0	0
Sub-total CARES Act Contributions	31,238,458	31,238,458	0	0	0	0
<i>Projects That Use CMAQ Funds</i>						
Cross River Connections	800,000	640,000	160,000	0	0	0
Sub-total CMAQ	800,000	640,000	160,000	0	0	0
SUB-TOTAL - All Contributions to Operations	39,220,723	37,624,270	1,146,453	450,000	0	0
TOTAL	63,627,442	56,716,206	3,228,543	3,576,551	106,142	14,710

KEY CAPITAL PROJECTS

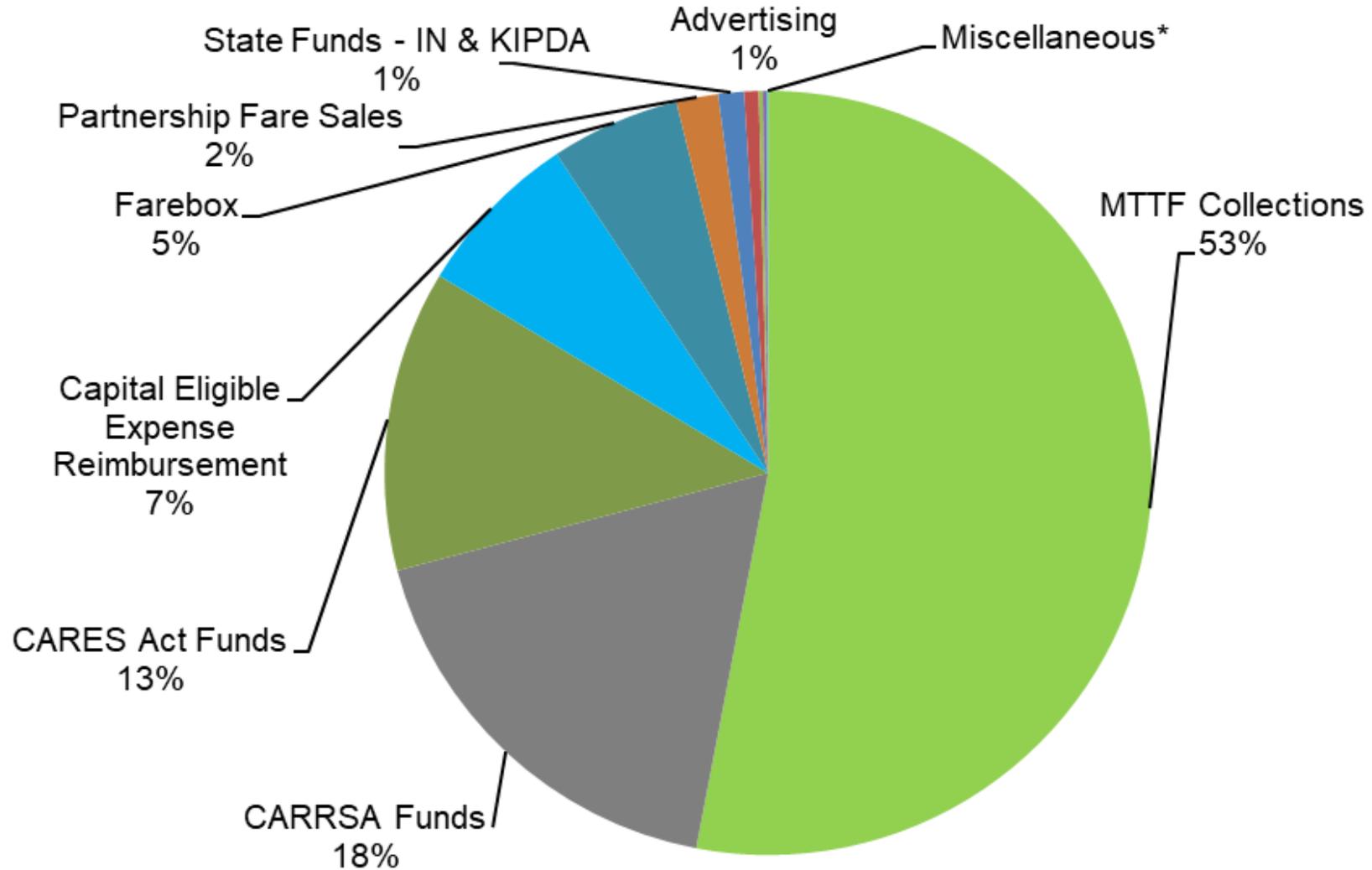
KEY CAPITAL PROJECTS

- Introduce new vehicles into fleet
- Renovation to Dispatch office
- Solar array panels
- Maintenance bay expansion
- Bus Barn HVAC System
- 30th Street Training Lot





FY 2022 REVENUE - OPERATING BUDGET *first draft*



* Charter, Insurance Recoveries, MTTF Interest

FY 2022 REVENUE - OPERATING BUDGET *first draft*

BEGINNING MTTF BALANCE

\$14,038,469

OPERATING REVENUE

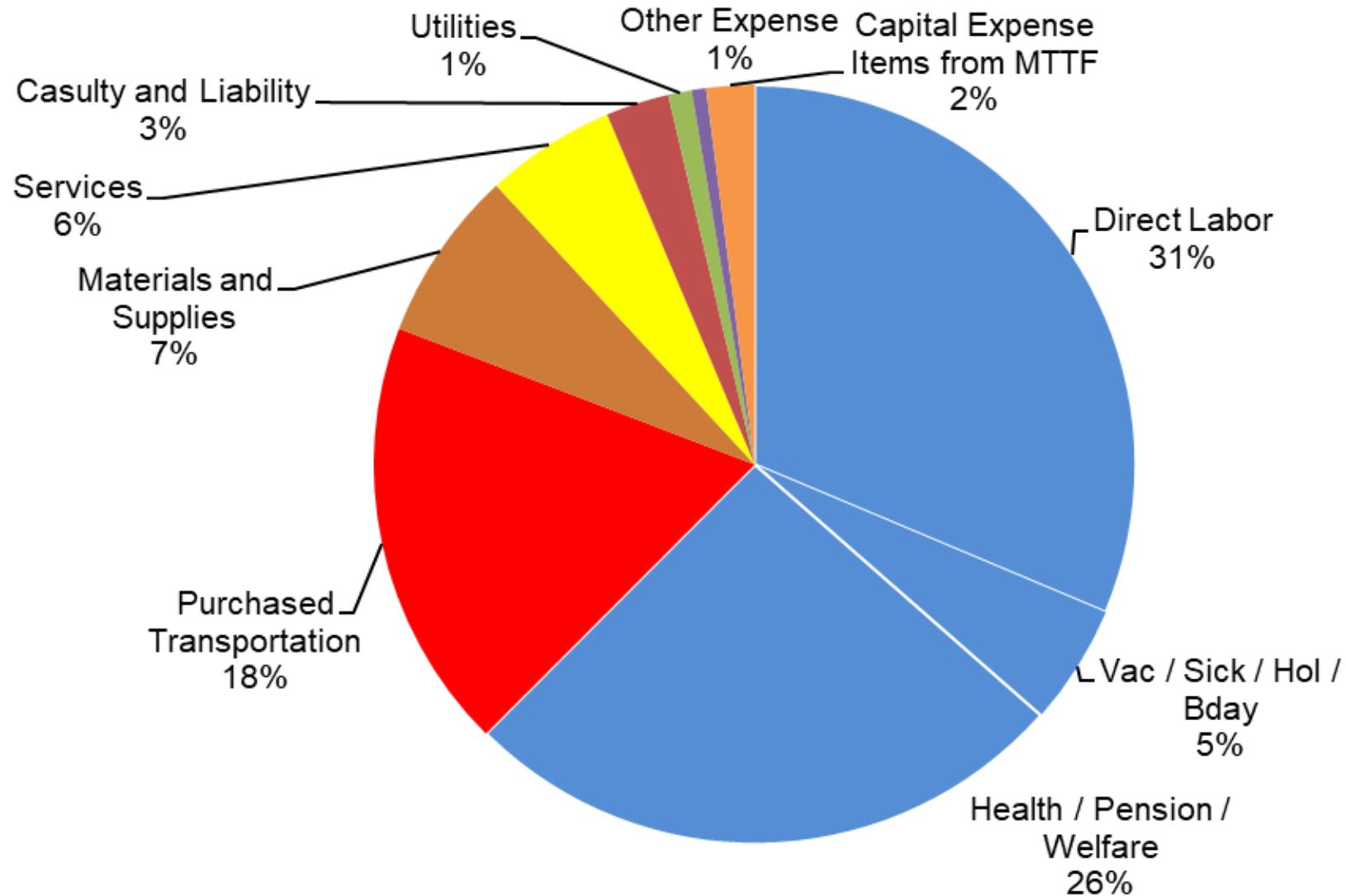
MTTF Collections	\$54,092,106	53.0%
CARRSA Funds	\$18,237,895	17.9%
CARES Act Funds	\$13,000,563	12.7%
Capital Eligible Expense Reimbursement	\$7,220,312	7.1%
Farebox	\$5,562,597	5.5%
Partnership Fare Sales	\$1,796,605	1.8%
State Funds - IN & KIPDA	\$1,103,856	1.1%
Advertising	\$624,000	0.6%
Other Agency Revenue	\$183,300	0.2%
Charter	\$150,000	0.1%
Total Recoveries - Insurance	\$65,000	0.1%
MTTF Interest	\$2,000	0.0%

TOTAL REVENUES

\$102,038,234



FY 2022 EXPENSES - OPERATING BUDGET *first draft*



FY 2022 EXPENSES - OPERATING BUDGET *first draft*

OPERATING EXPENSES

Direct Labor	\$32,000,848	32.0%
Fringe Benefits:		
Vac / Sick / Hol / Bday	\$5,232,062	5.2%
Health / Pension / Welfare	\$26,501,995	26.5%
Purchased Transportation	\$18,740,930	18.7%
Materials and Supplies	\$7,458,185	7.5%
Services	\$5,639,222	5.6%
Casulty and Liability	\$2,736,426	2.7%
Utilities	\$1,016,796	1.0%
Other Expense	\$621,820	0.6%
Interest Expense	\$7,860	0.0%

TOTAL OPERATING EXPENSE

\$99,956,144

Capital Expense Items from MTTF

\$2,082,090



SIGNATURE PROJECTS FOR CRITICAL SUCCESS FACTORS

DELIVER TRANSPORTATION SERVICES THAT ENHANCE THE GREATER LOUISVILLE COMMUNITY

1

Deliver Quality Services

- Complete capital projects in garage
- Stabilize staffing levels and hiring needs
- COA recommendations

2

Focus on Rider Needs

- Re-engage riders through customer facing technology
-

3

Maintain Adequate Financial Resources

- Leverage CARES, CRRSA and American Rescue Plan (3/11/2021)
- Improve Contract Management process

4

Support the Community's Well Being

- Corporate Partners program
- Stop and Shelter Improvements

5

Engage an Effective Team

- Human Resource software system
- Employee Engagement and Professional Development

6

Explore Visionary Opportunities

- New Long Range Plan effort
- Mobility Study

NEXT STEPS AND KEY DATES

STARTING MARCH 16

- First draft review at March 23 Board of Directors Meeting
- Update and edit based on feedback
- Second/Final Draft presentation at April 20 Finance Committee and April 27 Board of Directors Meeting
- Present to Metro Council in May
- Submit to Commonwealth of Kentucky by June 30



FIRST DRAFT FISCAL YEAR 2022 BUDGET

March 16, 2021



MEMORANDUM

To: Mary Morrow, Chair of TARC Board of Directors

From: Carrie Butler, Executive Director

Date: March 23, 2021

Re: Resolution 2021-05 IFB 20201038 Hybrid Bus Batteries

TARC currently operates 32 hybrid-electric Gillig buses with model years ranging from 2004 to 2016. The batteries required by those buses are referred to as Electronic Storage Systems (ESS) and their expected life is up to 10 years. On December 9, 2020, TARC issued Invitation for Bid (IFB) 20201038 Hybrid Bus Batteries via the Bonfire procurement portal.

A single bid was received from Clarke Power Services, Inc. on the bid opening date, January 14, 2021. The pricing in that single bid is proportionate with the expiring two-year contract for hybrid bus batteries (P-2761), and the limited response is due to the specialized nature of the product and the installation work required of the supplier. The Purchasing Department has completed a single bid justification and has determined that the bid is responsive and responsible.

The contract initial term is three (3) years with a two (2) year optional extension, during which the total contract cost projects to exceed the \$100,000 threshold requiring Board approval. The bid pricing is attached for your review.

At this time, I am requesting authority to enter into a three (3) year initial contract with a two (2) year optional extension with Clarke Power Services, Inc. for Hybrid Bus Batteries for a not-to-exceed amount of \$852,815.29.

Please call me at 561-5100 if you have any questions. Thank you.



RESOLUTION 2021-05 IFB 20201038 Hybrid Bus Batteries

A Resolution authorizing the Executive Director to enter into a three (3) year initial term with 2 year optional extension with Clarke Power Services, Inc. based upon the attached bid pricing for IFB 20201038 Hybrid Bus Batteries:

WHEREAS, TARC issued IFB 20201038 for the procurement of hybrid bus battery components for its hybrid-electric Gillig buses; and

WHEREAS, TARC received one responsive, responsible bid from Clarke Power Services, Inc. and has determined the bid pricing to be fair and reasonable;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the Transit Authority of River City that:

The Executive Director is hereby authorized to enter into a three (3) year initial term with 2 year optional extension contract with Clarke Power Services, Inc. based upon the attached bid pricing for IFB 20201038 Hybrid Bus Batteries for a not-to-exceed amount of \$852,815.29.

ADOPTED THIS 23rd DAY OF MARCH 2021

Mary Morrow, Chair of the Board of Directors



TARC Safety Plan

1. Transit Agency Information

Transit Agency Name	Transit Authority Of River City		
Transit Agency Address	1000 W Broadway		
Name and Title of Accountable Executive	Carrie Butler, Executive Director		
Name of Chief Safety Officer or SMS Executive	Lorri Lee, Director of Safety & Security		
Mode(s) of Service Covered by This Plan	Fixed Route; Paratransit	List All FTA Funding Types (e.g., 5307, 5337, 5339)	5307 and 5339
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Fixed Route Paratransit (TARC 3); TARC 3 is under contract with MV MV maintains their own separate Safety Plan which is overseen by TARC's Director of Paratransit & Customer Service. MV is responsible for the distribution of the plan to all its personnel, and for compliance with the Plan.		
Does the agency provide transit services on behalf of another transit agency or entity?	<input type="checkbox"/> 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 Entity That Drafted This Plan	Lorri Lee, Director of Safety & Security, TARC	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature

Approval by the Board of Directors or an Equivalent Authority	Name of Individual/Entity That Approved This Plan	Date of Approval
	Relevant Documentation (Title and Location)	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	Pat Mulvihill	
	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		TARC System Safety Program Plan	2004

Annual Review and Update of the Agency Safety Plan
TARC's Safety Plan will be reviewed and updated if necessary yearly by July 1 st . The CSO is responsible for updating the safety performance and the ASP yearly as well. The ASP will be presented to the Accountable Executive for approval by the CSO. The Accountable Executive will then approve and forward to TARC's Board of Directors for approval by July 15 th . This ASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan. This process applies to all of TARC's contractors as well.

3. Safety Performance Targets

Safety Performance Targets							
Mode of Transit Service	Fatalities (Total)	Fatalities (Rate per 100,000 VRM)	Injuries (Rate per VRM 100,000)	Injuries (Rate)	Safety Events (Total)	Safety Events (Rate per 100,000 VRM)	System Reliability

TARC ROUTE	FIXED	1	0	141	70.5	59	29.5	1307
PARA TRANSIT		4	2	68	34	138	69	16549.1

Safety Performance Target Coordination

Annually TARC's Transit Asset Management (TAM) targets have been incorporated into the MPO/KIPDA Project Management Plan (PMP). The Age of Fleet targets listed in the PMP are critical for TARC's safety goals and are also considered Safety targets. Safety was MPO's/KIPDA's #1 target overall. There were no specific transit safety targets in the PMP. TARC will coordinate, to the maximum extent practicable, with the State and MPO to support the selection of State and MPO transit safety performance targets. TARC makes staff members available at all time for the distribution of this plan. Safety Performance targets in this ASP are made available to the Kentucky Transportation Cabinet.

TARGETS TRANSMITTED TO THE STATE	STATE ENTITY NAME	DATE TARGETS TRANSMITTED
	Kentuckiana Regional Planning & Development Agency	9/1/2019
TARGETS TRANSMITTED TO THE METROPOLITAN PLANNING ORGANIZATION(S)	METROPOLITAN PLANNING ORGANIZATION NAME	DATE TARGETS TRANSMITTED
	Kentuckiana Regional Planning & Development Agency	9/1/2019

4. Safety Management Policy

Safety Management Policy Statement

TARC, the Transit Authority of River City, is committed to providing a safe and secure work environment. Our employees are critical to the success of that commitment and play an important role in protecting our team, our customers, and our property. We are all responsible for exercising safe work practices, following the proper safety and security procedures, and immediately reporting potentially harmful conditions and accidents.

SAFETY IS: protection from and elimination of any element or agent which may jeopardize the welfare and/or safety of a person or of the assets of TARC.

SECURITY IS: protection from the loss of life, and loss by fire, theft, flood, drought, deterioration of property, civil suit, or any element from which TARC, its employees and customers may suffer embarrassment and/or financial loss.

The provision of Safety and Security to a great degree also covers the customers we serve. As we provide transportation and help our communities get to work, school and access the important resources of life, we must provide a safe and secure environment. As TARC often provides the first impression of our region to many residents and visitors each day, we place a high priority on upholding this commitment to ensuring the care and well-being of our customers. If every team member strives to dedicate themselves to this commitment, TARC will succeed in developing a unified focus towards the safety and security of our employees, our customers and our finances.

Thank you for doing your part to guarantee TARC's commitment to Safety and Security.

Safety Roles and Responsibilities

This plan is designed to bring about necessary change and is built upon former safety efforts. By developing and insisting upon an active, system-wide program, the Transit Authority of River City becomes prepared to satisfy and even exceed federal and state requirements common to the transit industry. This plan should be perceived to be an accident prevention tool. It is the intent of this plan to become a catalyst in developing a positive safety culture. This plan remains a living document and continues to evolve with the needs of both the agency and the community. Given adequate resources, effective team support and leadership, the safety plan assists in meeting customer demand for

safe travel. Finally, this plan allows opportunity for strategic management with safety providing the necessary framework for success.

To eliminate, minimize, and control workplace hazards by reducing management, design, and communication errors.

To promote a positive safety culture. To protect TARC members and the public from harm. To establish TARC as a leader in transit safety. To provide necessary paths for reporting unsafe conditions in the workplace. To record steady reductions in casualty, liability, and property loss of no less than 10% per year through a reinforced infrastructure that lends itself to optimizing system safety. It is not only the safety's department responsibility but all of TARC's personnel including but not limited to Accountable Executives, Directors, Managers, Supervisors and Board of Directors to maintain optimal standards and stay consistent with everything that was presented in TARC'S commitment to safety.

Each fiscal year, Our Safety & Security Department reports to the entire agency with a KPI Dashboard that measures how well we are meeting our safety objectives in regards to 60% accident & incident reduction.

The Employee Safety Reporting Program (ESRP) is intended to help the Accountable Executive and other senior management get important safety information across the Transit Authority of River City. This is our most important source of safety data. TARC has two types of safety reporting programs mandatory and voluntary.

Mandatory can be defined as: Employees must report hazards that are compliance-based and address regulatory issues. Employees are required to immediately report every incident and accident. An employee's failure to report or provide false information of an unsafe hazard or act could result in disciplinary action.

Voluntary can be defined as: Employees are strongly encouraged to report hazards and can report anonymously. Every employee is empowered to report an unsafe hazard/risk to their supervisor or senior management without fear of retribution or penalty.

Employees will have the option to report anonymously to maintain confidentiality. ESRP should be non-punitive and employee will not be disciplined for the act of reporting the Hazard or Near Miss. There will be times when employees must report hazards that are compliance-based and address regulatory issues. Record of falsification, Drug/ Alcohol violations, gross negligent behavior, and failure to report accidents, incidents and serious safety hazards are examples of employee behaviors that may result in disciplinary actions. Hazard/ Risk Report Form shall be completed immediately, so proactive measures can be taken as soon as possible. Depending on the perceived level of risk and severity, the report shall be submitted immediately or by the end of the employees shift.

Input by employees into the ESRP can include safety concerns, reporting, operational system description, hazared identification, safety deficiencies, risk assessments, potential consequences of hazards, or recommended safety risk mitigations.

The following are examples of reports that may include:

- Safety hazards in the operating environment (for example, road conditions)
- Policies and procedures that aren't working or outdated (insufficient time to complete pre and post trip inspections)
- Events that Senior Management might not otherwise know about (for example, near misses)
- Information and events surrounding safety events which occurred (for example, radio communication challenges that contributed to an accident)

The information that TARC receives through this source will help us resolve the reported hazard and notify their supervisor or senior management of changes that may need to be made to mitigate safety hazards in the future.

The Safety and Security Department will lead the effort on collection, analysis, resolution and monitoring of hazards and feedback entered through the ESRP. The Safety and Security Department will lead on the Safety Risk Management process, with inputs from subject-matter experts in operations and maintenance. All information collected through TARC's ESRP will feed into our hazard identification and analysis process.

Safety Management Policy Communication

TARC's Commitment To Safety Management Policy Statement is communicated to the Board of Directors through TARC's review and approval process annually. The Policy Statement is readily accessible and communicated to all TARC personnel.

The Chief Safety Officer is the leader of communication of TARC's Safety Plan, and is responsible for how these policies and procedures are distributed amongst all TARC personnel and its contractors.

The Chief Safety Officer provides accessibility to these policies and procedures by verbal communication in weekly toolbox talks and by posting it on safety bulletin boards at each of TARC's facilities. A printed copy can be requested by any TARC personnel through TARC's Safety Department.

Authorities, Accountabilities, and Responsibilities

<p>Accountable Executive</p>	<p>TARC's Executive Director is to assign qualified individuals to fulfill these duties. TARC's Executive Director and/or Assistant Executive Director are responsible for the following; assigning the necessary resources to ensure the implementation and control of the Safety Plan. Resources include human resources and specialized skills, technology and financial resources. Carrying out the Agency Safety Plan (ASP) and the Transit Asset Management (TAM) Plan, Controlling or directing the human and capital resources needed to develop and maintain the ASP and the TAM Plan, and Ensuring that the agency's SMS is effectively implemented, and action is taken, as necessary, to address substandard performance in the agency's SMS. Reviewing and endorsing this document</p>
<p>Chief Safety Officer or SMS Executive</p>	<p>TARC's Accountable Executive delegates the task of the distribution and day to day Safety operations to Chief Safety Officer. Safety Plan resides in TARC's Safety Department.</p> <p>The Chief Safety Officer is responsible for the following:</p> <ul style="list-style-type: none"> Ensuring in collaboration with Department Directors that the Safety plan is integrated, documented and communicated along with TARC's organizational structure; Initiating safety reviews and/or spot checks are performed in a timely manner; Monitoring the effectiveness of TARC's Safety Plan; To recommend and initiate actions to eliminate actual or potential safety problems; Responsible for managing and revising TARC's Safety Plan yearly; Develops TARC's Safety policy and procedure to maintain standards of Safety Plan; Provides yearly reports of TARC'S KPI dashboard; Reports directly to the Accountable Executive
<p>Agency Leadership and Executive Management</p>	<p>Executive Management is reported to:</p> <ul style="list-style-type: none"> Chief Safety Officer Chief Financial Officer Chief Maintenance Officer Chief Operating Officer Chief Operations Planning <p>Executive Management and Agency Leadership are responsible for informing the Safety Department, including:</p> <ul style="list-style-type: none"> The Chief Safety Officer of any opinions, ideas and concerns of management team members' employees during the proposal, preparation or revision of documents. Management team members are responsible for document change and are required to participate in sign-off process. The Executive Management makes it a priority to enforce the standards and policies of the Safety Plan on a daily bases. Works with the Safety & Security department on the implementation of the Safety plan in each department; Modifies department policies to make sure they uphold the standard of TARC Safety Plan <p>Other Roles and Responsibilities for the Executive Management include:</p> <ul style="list-style-type: none"> Keeping good communication with the Director of Safety on the distribution of the Safety Plan, and making sure that if any assistance is needed upon creation of the plan that it is given. Executive Management also revises and makes modifications to policies that uphold the standard of the Safety Plan.
<p>Key Staff</p>	<p>TARC's Executive Management is responsible for assigning key staff and leadership to help support all essential personnel who are responsible for the creation and revision of TARC's Safety Plan.</p> <p>Key Staff positions include Directors of Operations at TARC. Their responsibilities are, but</p>

are not limited to, the following:

- Upholding standards for the policy and procedures of TARC's Safety Plan
- Enforcing the implementation of TARC's Safety Plan
- Keep the documents that support TARC's Safety Plan and maintain the implementation
- Safety Investigators are responsible for the investigation of all Preventable and Non Preventable accidents and tracking documentation in the reporting systems
- Key Staff are responsible for keeping compliance and reporting any discrepancies to the Safety Department
- TARC uses two committees to support the Safety Plan implementation:
 - TARC's Health Safety Committee
 - Accident and Incident Review Board
- TARC's Safety Committee- is responsible for helping promote monthly safety initiatives
- Reviews Coach Operators safety complaints and work hazards
- Reports work and road hazards to TARC's Safety Investigators
- Makes sure TARC's Keeps a standard of safety all around property
- Accident and Incident Review Board;
- The Accident and Incident review board is composed by seven members and is responsible for thoroughly investigating accidents and incidents outcomes that cannot be agreed upon by the Safety Department and ATU members.

Employee Safety Reporting Program

TARC has set in place multiple Safety reporting systems for all TARC personnel. These reporting systems are also used by the public as well as personnel to report safety concerns and or safety hazards. The public is equipped with the option of reporting a concern or hazard to TARC's customer service department, which is processed through TARC's COMS reporting system. The concern or hazard will then be documented and investigated by TARC's Safety Department. All TARC personnel are encouraged and may report any safety concerns without fear of retaliation to the following but not limited to: Executive Management, Senior Management, Managers, Supervisors, Safety Investigators, Near Miss reports, and Operator reports. No personnel will be penalized for reporting safety hazards or events. All parties will most likely receive the proper updates to results of any investigation and or action taken from their initial report. Except for illegal activities, intentional disregard for regulations, policies and or procedures. This process applies to all of TARC's contractors as well.

5. Safety Risk Management

Safety Risk Management Process

TARC uses Safety Risk Management as a way of Identifying and analyzing hazards. TARC's Chief Safety Officer along with Safety Investigators makes it a priority to investigate and identify hazards and consequences, in regards to mitigated safety risk.

The purpose of this element is to allow for a more uniform analysis of workplace hazards.

Key Definitions:

Hazard: A condition that is pre-requisite to a mishap.

Risk: An expression of the possibility of a mishap in terms of hazard severity and hazard probability.

Safety: Freedom from accidental danger

Assumed Risk: A specific, analyzed, residual risk accepted at an appropriate level of management. Ideally the risk has had analysis of alternatives for increasing control and evaluation of significance of consequences.

Safety Hazard identification and Analysis:

Hazards identification could be submitted directly, or could be derived from records or other data analyses. Hazards can be identified through a variety of sources, including:

- Passenger Feedback
- ESRP
- Investigations
- Observations
- Reviews

Once a hazard is identified it will be tracked in a Safety Risk Log. TARC will utilize the FTA template provided. This will include the description of the risk, rating of the risk, the action to address it, and how we are going to monitor that action for its effectiveness. Hazards will be rated with an initial risk assessment ranking, which will be followed up for a reevaluation after a mitigation strategy has been implemented.

Reviews: Monthly performance our quarterly review of both leading and lagging indicators

Observations: Road observations, Customer /passenger comments and third party notifications

Audits and Inspection's: Monthly facility inspection, annual fire-through, Refresher training, Maintenance audit and the Safety and Security Director's audit

Investigations: Accident and loss investigations and injury root-cause investigation

Hazard Analysis: Once the hazard has been identified, it must then be analyzed. Analysis may include a description of the hazard, supporting results documents, photos and/or suggestions for resolution. Unless the hazard can be eliminated its safety risk must then be managed. TARC will analyze this in terms of how likely it is to happen (Probability or frequency) and how bad it could be (severity). Hazard Probability Categories and Hazard Resolution Matrix see Attachment and this determines the best method for remediation. Near Miss Reporting will be collected and encouraged through ESRP. Near Miss Reporting can be completed on the Hazard Risk Form and reported or dropped in the box location or to Safety and Security.

Safety Risk Assessment:

TARC identifies hazards to analyze events that may have a negative or dangerous impact on, people, assets and or the environment. Hazards are classified and ranked in a process that determines if they are unacceptable based on likelihood of occurrence and severity. TARC then allocates and prioritizes the resources available to remove or correct unacceptable hazards.

Safety Mitigation:

1. This process is designed to help manage, eliminate or reduce an identified risk or hazard to an acceptable level.
2. This process will allow for TARC to consistently monitor this phase by consistently monitoring it to see if changes need to be made or the course of action currently be taken is the most efficient for the current risk or hazard
3. The first step will be to assume or accept that the risk needs immediate attention, is a threat but no immediate action is needed or the risk can be managed. This will be determined by the CSO and then report to the Accountable Executive
4. The CSO will determine the effect the risk will have on the Transit agency from a financial perspective, what stakeholders are affected and what changes need to be implemented. A firm discussion on the needed changes will need

- to be firmly discussed with the Accountable Executive and should include all possible outcomes.
- 5. Plans on how the risk will be managed is implemented to minimize the affects it will have on TARC
- 6. At this point a review is conducted to determine if another stakeholder needs to take over the process, conduct more reviews determine the organizational responsibility and accountability

6. Safety Assurance

Safety Performance Monitoring and Measurement
<i>Describe activities to monitor the system for compliance with procedures for operations and maintenance.</i>
Safety Assurance, in ASP allows TARC to know if safety risk mitigations are working by providing information for decision making, and by collecting safety prefomance data. The process provides safety performance verification to ensure that safety risk mitigation activites are effective. This process applies to all TARC's contractors as well.
<i>Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.</i>
<p>TARC recognizes that FTA defines Safety Risk Management as a series of processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through collection, analysis, and assessment of information. Safety Assurance subcomponents include:</p> <ul style="list-style-type: none"> • Safety Performance and Monitoring and Measurement • Management of Change • Continuous Improvement <p>TARC will consistently collect data through the transit agency's Safety Assurance activities. This will include leading and lagging indicators. Leading indicators will be used to anticipate and prevent injuries and accidents. This data source can include information collected from field observations, ride check, safety blitzes or the ESRP. TARC's behavior-based indicators, measured safety monitoring technology which is one of our best indicators for future success, as it measures the unsafe behaviors present in our operation. Lagging indicators will measure what has happen including accidents and injuries. This metric allows you to analyze historical information, as well as view in real-time if our risk mitigation plans are reducing the accidents and injuries. Safety performance indicators will help measure inputs, outputs, outcomes, or impacts. It is a signal or early warning sign. Safety performance targets are quantifiable and are the expected change over a period of time. Daily monitoring will be conducted through inspections. Observations and evaluations.</p> <p>TARC's mitigation monitoring plan will help to ensure that safety performance monitoring and measurement activities are performed to confirm that mitigations are effective, appropriate and fully implemented. The mitigation monitoring plan may include the selected safety risk, mitigation, the indicators or targets, description of how it will be monitored, timeframe, responsibility and updates. The mitigation plan does address the mitigation and monitoring activities, the Corrective Action Plan documents the corrective action and helps address short-term defects or compliance issues. The Corrective Action Plan is intended to eliminate the behavior that caused the event, while mitigation monitoring is to continuously monitor the hazard. The mitigation process is managed by the management team, with assistance for them Safety and Security Director. The mitigation process requires periodic reviews to ensure that the risk level is being mitigated and reduction of the frequency of the hazard is taking place. A periodic audit of contractor safety plans, Safety Data Sheets and Personal Protective Equipment requirements will be conducted by the Safety and Security team.</p> <p>TARC continuously monitors safety performance to ensure that safety mitigation is effective. Maintenance and operational procedures are evaluated, along with safety reporting programs, risk mitigation and safety event investigation to identify causal factors.</p> <p>Roles and Responsibilities</p> <p>The Director of Safety and or Safety investigators are responsible for classifying accidents as preventable or non-preventable. All accidents are investigated. Major incidences are those involving serious or multiple injury, fatality, pedestrian strikes, fire and assault. Major incidences are investigated immediately. If the occurrence is less serious (i.e.</p>

mirror loss) the incident will be investigated in priority order distributed among Safety Investigators. At TARC, Safety Investigators and or Road Supervisor's respond to all safety events. The Director of Safety responds to accidents of severity with the Safety Investigators to assist with the initial investigation process. Once an investigation is complete, all necessary information (including photos and video) pertaining to a specific occurrence is stored in the Safety Department for a period of two (5) years. Closed files, or files older than five years are kept in storage. Records are retained for five years from the date of occurrence: The Operator's report which is completed for any TARC related collision or occurrences. Basic information (driver's name, time, place, location of vehicles, etc.) is captured here. The Incident Report: completed for any passenger falls, bumps, seizures, disturbances, etc. or when witness to an accident. The Supervisors Investigation Report: Utilized by the Road Supervisor when responding to an accident scene. The First Report of Injury: Completed by the employee for any work related injury. This process includes but is not limited to: unacceptable or hazardous conditions equipment failures and rules and procedure violations. This process applies to all of TARC's contractors as well.

Describe activities to conduct investigations of safety events, including the identification of causal factors.

Data Acquisition process

TARC Safety Department along with TARC's road supervisors are responsible for the information and reporting process of all safety events (accidents, incident) along with hazardous conditions received from near miss reporting and other reporting systems. These systems include but are not limited to accident reports, employee first report of injury reports, near miss and daily operation reporting. All TARC personnel are encouraged to bring all safety related issues or hazards to management or supervisors.

Data Analysis

All TARC's data identifies trends and curves. Causal factors are determined by investigations that are analyzed. Identified hazards are submitted with recommendations or management positions for corrective action, after interviews with personnel involved in the affected department(s) are conducted and documentation is presented.

Reports

Safety Investigations

TARC does not have one direct manual but has multiple policy and procedures that are required when investigating any safety event involving TARC property, vehicles, coaches and/or personnel.

Safety Investigators and/or Road Supervisors are responsible for responding to safety events such as accidents and incidents on a daily bases.

In the event that an accident, incident or any other safety event is major or life threatening; local law enforcement will also respond and any information from the incident will be incorporated in the Safety Investigator's report for that event.

For accident and incidents not involving a Coach Operator, the operations and maintenance team is required to notify the Safety Investigators. In the event of serious injury or fatality the Accountable Executive will be notified. The Safety Department is responsible for making sure all of TARC's Safety event data is recorded and logged into employee database.

Safety Investigators and Road Supervisors are required to follow these step upon a Safety Event:

Coach Operators are required to notify Radio Room if involved in an accident or incident immediately

Radio Room then notifies a Safety Investigator or a Road Supervisor if Investigator is not available

Safety Investigator is responsible for arriving at the scene in a timely fashion with all the paperwork and tools to conduct a thorough investigation

Once Safety Investigator is on scene they are responsible for obtaining all information essential to the details of the investigation; this includes the operator, passengers and all other parties possibly involved in the event

Safety Investigator then begins the investigation process which includes the following:

Taking photos of the scene

Noting the weather conditions and climate

Identifying the factors in the safety event

Collecting essential informational at the scene of the event

Making a decision if post-accident drug and alcohol screening is needed

Making a decision if a replacement swap coach is needed

Making sure the Coach Operator is well enough to continue on route

Noting vehicle damage and fluids

TARC's Safety performance Monitoring and Measurement is used to make sure compliance with operations is up held

along with maintenance procedures that determine safety risk. Investigating safety events are a part of TARC's performance monitoring that includes things such as: collecting data, analyzing the risk and all factors which are essential to the use of the monitoring of this system.

TARC has a set list of standard operating procedures (SOP's) and rules that operators are required to follow on a daily bases. All SOP's are standard and are to be followed by all operators and all TARC personnel, as each SOP is given and governed by each department leader to make sure compliance is met.

To effectively make sure compliance is met and sufficient with TARC's day to day safety and maintenance operations procedures TARC partakes in the following activities:

Ride Along: TARC's Road Supervisors and Safety Investigators conduct ride along on coaches that can happen on a weekly or random bases. The objective of this activity is to monitor operator's driving habits, customer service, and unsafe practices. Supervisors and Investigators also use this as a time to celebrate good driving practices and coach through unsafe or bad habits. Ride along can occur when a complaint is received via TARC's customer service phone line (COMS) to further investigate an operators behaviors. All data from ride along are kept in house in transportation or in the online ellipse portal used to track TARC employee's information.

Video Review: Whenever a safety event takes place, operators are instructed to push the camera button on coach immediately. However, in the event that a camera button is not pushed operators are required to complete an accident or incident report, so that Investigators can complete a video review. Footage is automatically downloaded to TARC's video monitoring system (Safety Fleet). The results of the video review can at some time help determine the factors of a safety events, and things such as if operator or customer behaviors need to be corrected. The results of the footage review can also help aid in coachable events for the operator that can be addressed in a meeting.

TARC's Chief Safety Officer is notified of these activities weekly resulting in possible:

Inspection of equipment

Discipline, Coaching and or Retraining for unsafe rules or work practices

Safety Investigators determinations of safety events performed in the departments

To better manage this Safety Plan, internal reviews are used to compliment safety efforts and serve to gauge the safety effectiveness within the TARC network. Reviews are necessary in achieving the objectives of this plan and include compliance with management safety policies identified in the safety plan. Recommendations for improvement. Assessments regarding the effectiveness of this plan. Some reviews are targeted to areas of concern discovered perhaps in data analysis or as a result of an unforeseen event. Safety reviews or spot checks are sometimes traceable to a single activity. For example: Lug nut torque, horns, lights, brakes or other system safety checks. Reviews of operator files reveal training needs and documentation completeness, and allow for a more thorough training effort. System documentation is also reviewed. Types of documentation include those referenced in this plan as well along with incident reports, maintenance instructions, etc.

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

Our internal safety reporting program consist of TARC utilizing traditional common methods to accomplish operational safety responsibilities. All accidents and incidents are documented, investigated and reviewed. System Safety Personnel lead the process. Incidents are entered into the CORVU database system and reviewed for trends and appropriate measures to reduce or eliminate the occurrence. Any modifications to the system require review and consider Hazard Resolution, Configuration Management and the System Modification Review Process

Management of Change

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

The process for identifying Change is as follows:

1. Recognize the Change
2. Identify the Hazards and Risks(Minimized, Controlled and Totally Avoided)
3. Understand the hazards that are controllable (Feasible or Can be Implemented so that no danger are presented or does the change created due to the hazard overshadow the reward)
4. TARC will perform a Pre- Safety Review to ensure that all safety measures are in place
5. TARC Management will then implement the change after a throughout review of the risk and the impact on employees. The Management job will be to ensure that all safety measures are in place, employees are trained properly on the changes.
6. The implementation of the change goes into effect instructional learning, hands on training and all learning measures are utilized to ensure proper training which will result in zero accidents or incidents.
7. The final process will be to ensure that management and employees accept the new process , evaluate the changes and ensure that TARC's management retains continuous feedback and reports pertaining to the changes and the day to day operation

TARC Management will ensure that a Check List (attached) and Flow Chart is included in the education and reporting process

Continuous Improvement

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

The overall safety performance of the system and the performance of the SMS activities will be continuously measured and evaluated to determine the effectiveness and appropriateness of risk mitigations. The data and information that will be collected through the Safety Assurance activities will tell us how we are doing and what areas we can improve on. TARC will continue to monitor our sources and evaluate which could lead to more frequent reviews and a revised strategy to ensure that mitigations are effective.

TARC's Continuous Plan / Process will include the following:

1. Identify the Hazard and or Risk via a report
2. The Chief Security Officer will then collect the data concerning the Hazard or Risk investigate the deficiencies and the possible impact on the Company
3. Coordinate a meeting with other stakeholders that could be potentially impacted by the deficiencies and develop a plan. The plan will include action items to decrease the potential deficiencies, the impact that it will have on the company or those directly affected by the potential deficiency. Once the plan is firm the CSO will then prepare a final report for the Accountable Executive
4. The CSO will meet with the Accountable Executive to present the Hazard or Risk, the effect it may have on the company if not address, present the stakeholders, review the plan on how the deficiency will be addressed , actionable items that will have to be address by the Accountable Executive and Stakeholders,
5. The Accountable Executive will then approve the plan, communicate how the plan will introduced, monitored and enforced.
6. The Accountable Executive and the CSO will then implement the plan, conduct monthly or quarterly reviews on the plan based on the level of severity of the plan, feedback from the employees/ stakeholders

7. Safety Promotion

Competencies and Training

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

TARC requires that all employees will undergo new hire training based upon type of service and experience level. Job knowledge and skills are verified through evaluations. Job specific training programs have been developed to enhance safety skills necessary for safe, secure, and reliable customer service. This training includes training for operators, trainers, supervisors, maintenance staff, operations and management personnel. Safety and Security maintains a continuous safety communication campaign via Tool box talks, Safety Messages and the Safety Committee. Every month Safety and Security prepares a safety and injury prevention topic that is reviewed to refresh fundamentals and key learning points. Annual refresher training on key areas will be conducted along with periodic promotion of prevention activities. Maintenance's monthly training will focus on OSHA compliance for shop safety. The training complies with current state and federal standards and covers potential safety and health hazards as well as safe work practices and procedures to eliminate or minimize hazards.

Information concerning safety hazards or issues is provided to employees through new hire training, location safety committee meeting minutes, company –wide or departmental meetings, Safety buzz sessions, memos or other written communications.

Coach Operators will receive refresher or remedial training, as necessary, throughout their employment with the TARC. This can include, but is not limited to, the Smith system, defensive driving techniques, ADA and Wheelchair Securement activities, Pedestrian and Bicyclist awareness and well as hands on training. The training provided will help to evaluate job skills and determine if subsequent retraining needs of employees who are returning to work after an extended leave, employee who have been involved in an accident and refresher safety training. Training, retraining, proficiency checks and safety meeting attendance will be recorded and documented. Training records are kept by the department and will include the following:

- Date of Training
- Employee Names
- Copies of training materials
- Training Subject
- Location of Training
- Name of Trainer
- Signature of Trainer and trainee

A training audit and training needs assessment is conducted at least bi-annually, or as a result of activities that come out of the SRM process.

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Safety Communication

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

The Safety Department is responsible for communicating information through weekly Toolbox Talks and posting information on a safety bulletin board posted around TARC property. Accountable Executives are notified in daily reports known as the Executive Brief on accidents and incidents that occurred the previous day.

Additional Information

Supporting Documentation

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

TARC'S agency retains required SMS documentation for at least three (3) years and will make this documentation available upon request to the FTA or other oversight agencies.

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Definitions of Special Terms Used in the ASP

Term	Definition
	Hazard: A condition that is pre-requisite to a mishap.
	<p>Risk: An expression of the possibility of a mishap in terms of hazard severity and hazard probability•</p> <p>Hazard: A condition that is pre-requisite to a mishap.</p> <p>Risk: An expression of the possibility of a mishap in terms of hazard severity and hazard probability.</p> <p>Safety: Freedom from accidental danger</p> <p>System Safety: The application of engineering and management principles, criteria, and techniques to optimize safety within the constraints of operational effectiveness, time, and cost throughout all phases of the system life cycle.</p> <p>Acceptable Risk: The residual risk remaining after controls have been applied to associated hazards.</p> <p>Assumed Risk: A specific, analyzed, residual risk accepted at an appropriate level of management. Ideally the risk has had analysis of alternatives for increasing control and evaluation of significance of consequences.</p> <p>Accident: An unplanned and sometimes injurious or damaging event that interrupts the normal progress of an activity and is invariably preceded by an unsafe act or unsafe condition or some combination thereof.</p> <p>Catastrophic: The possibility of death or system loss exists, thereby requiring immediate cessation of the activity or operation until the unsafe act or condition is remedied.</p> <p>Critical: The potential for severe injury or illness or major system damage exists requiring immediate action.</p> <p>Marginal: Conditions exist that may result in minor injury or minor system damage.</p> <p>Negligible: Conditions or actions exist that have only slight potential or no ability of causing minor injury or system damage.</p> <p>Frequent: Likely to occur regularly or continuously</p> <p>Probable: Will occur several times in the life of an item or in fleet inventor</p> <p>Occasional: Likely to occur sometime in the life of an item</p> <p>Remote: Unlikely, but possible to occur in the life of an item.</p> <p>Improbable: So unlikely, it can be assumed occurrence may not be experienced.</p>

List of Acronyms Used in the ASP

Acronym	Word or Phrase
TARC	TRANSIT AUTHORITY OF RIVER CITY
CSO	Chief Safety Officer
SOP	Standard Operating Procedure
ESRP	Employee Safety Program
TAM	Transit Asset Management Plan
KPI	Key Performance Indicator

Attachment A



1 HAZARD PROBABILITY TABLE

Probability Level	Description
A – Frequent	Likely to occur frequently. Continually experienced in the fleet/inventory.
B – Probable	Likely to occur several times in life of an item. Likely to occur frequently in the fleet/inventory.
C – Occasional	Likely to occur sometime in life of an item. Likely to occur several times in the fleet/inventory.
D – Remote	Unlikely, but possible to occur in the life of an item. Reasonably expected in the fleet/inventory.
E – Improbable	So unlikely, occurrence is not expected. Unlikely to occur, but possible in the fleet/inventory.

2 RISK ASSESSMENT FREQUENCY/SEVERITY MATRIX

Frequency	Severity			
	1 Catastrophic	2 Critical	3 Marginal	4 Negligible
A – Frequent	1/A	2/A	3/A	4/A
B – Probable	1/B	2/B	3/B	4/B
C – Occasional	1/C	2/C	3/C	4/C
D – Remote	1/D	2/D	3/D	4/D
E – Improbable	1/E	2/E	3/E	4/E

3 HAZARD RESOLUTION TABLE

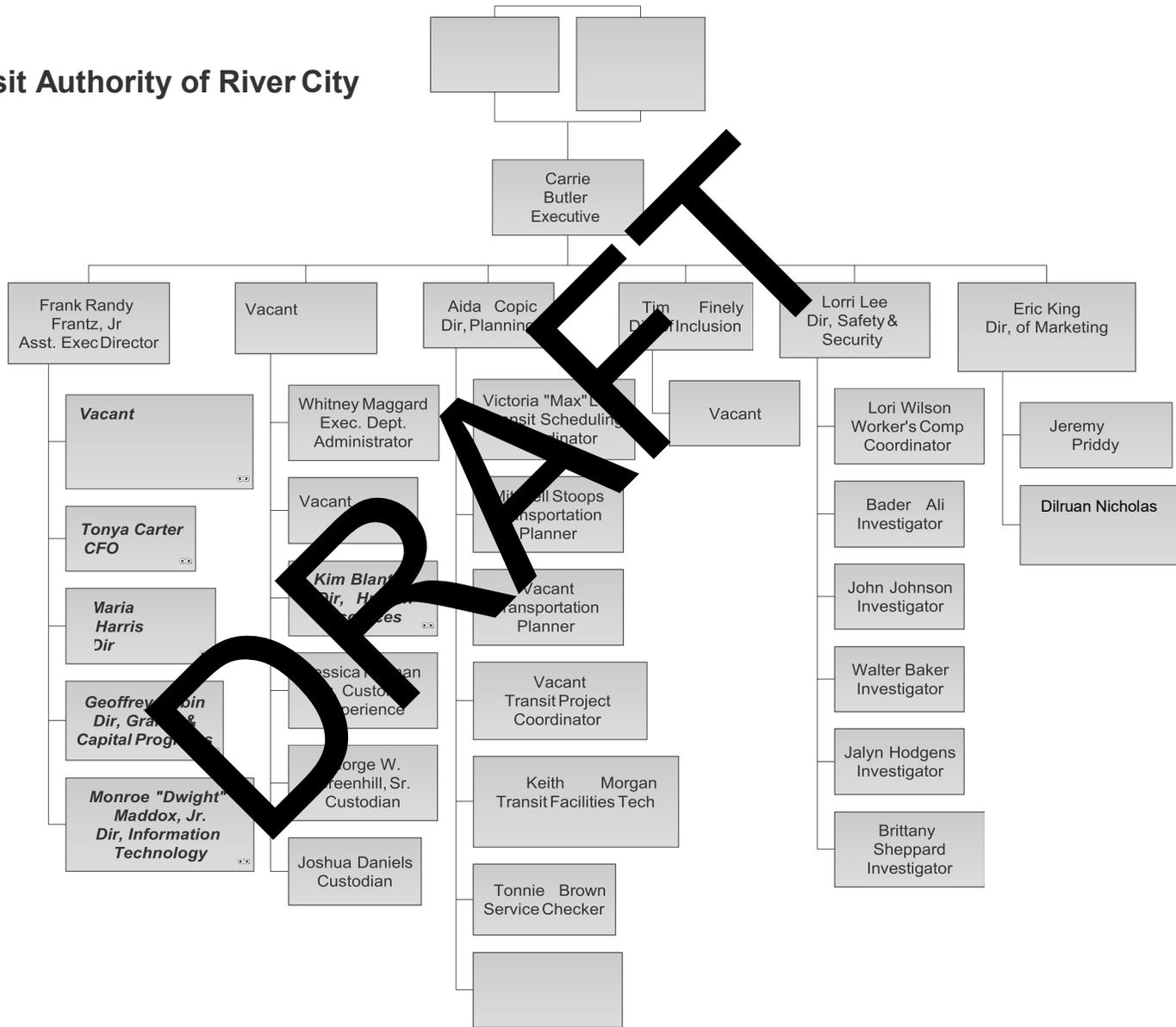
Severity / Frequency	Resolution
1/A 1/B 1/C 2/A 2/B 3/A	Unacceptable—correction required.
1/D 2/C 2/D 3/B 3/C	Unacceptable—correction may be required after review by Executive Director.
1/E 2/E 3/D 3/E 4/A 4/B	Acceptable—with review by Executive Director
4/C 4/D 4/E	Acceptable—without review.

Attachment B

Transit Authority of River City	
This report concerns:	<input type="checkbox"/> Hazard <input type="checkbox"/> Risk <input type="checkbox"/> Near Miss <input type="checkbox"/> Other
Hazard Type:	<input type="checkbox"/> Policy/Procedure <input type="checkbox"/> Operational <input type="checkbox"/> Environmental <input type="checkbox"/> Equipment/Design <input type="checkbox"/> Training
REPORTED BY:	<input type="checkbox"/> Employee <input type="checkbox"/> Customer/Passenger <input type="checkbox"/> Other: _____
NAME:	LOCATION: _____
Description of Safety Concern:	
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PHOTOS: <input type="checkbox"/> Yes <input type="checkbox"/> No	
Hazard Analysis According to Hazard Severity Matrix: <input type="checkbox"/> 1 Critical <input type="checkbox"/> 2 Critical <input type="checkbox"/> 3 Marginal <input type="checkbox"/> 4 Negligible	
Recommended Safety Risk Mitigation	
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Director of Safety and Security Comments/Actions:	
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Director of Safety And Security	

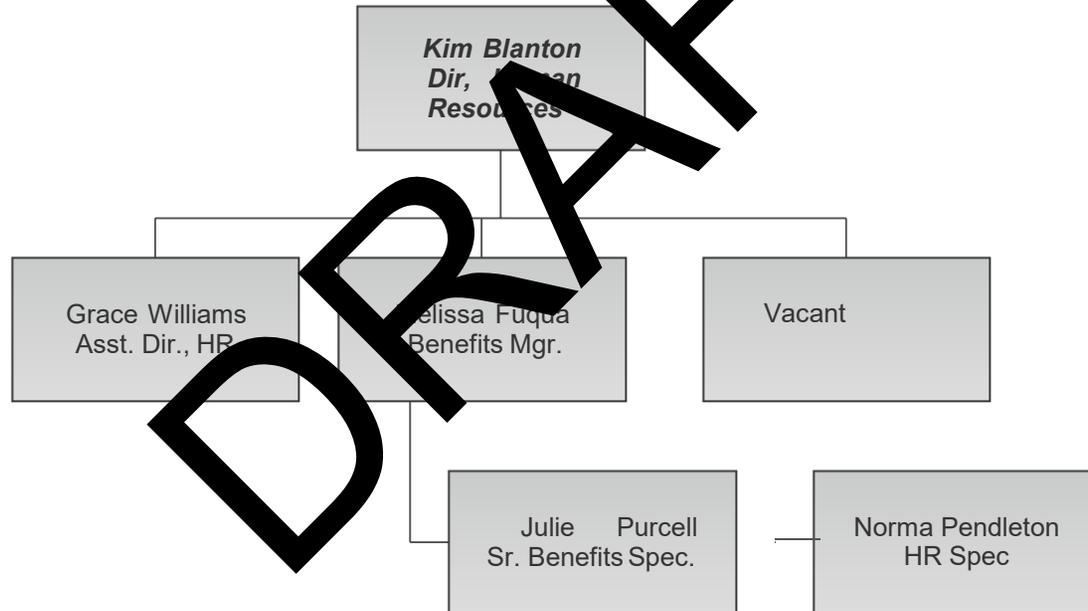


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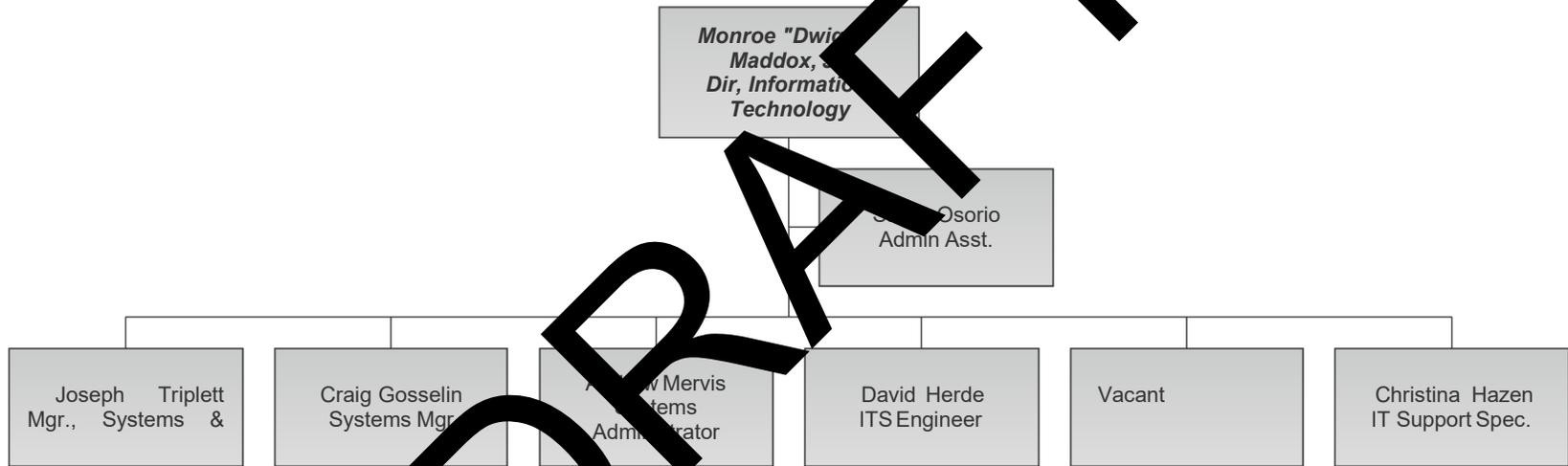


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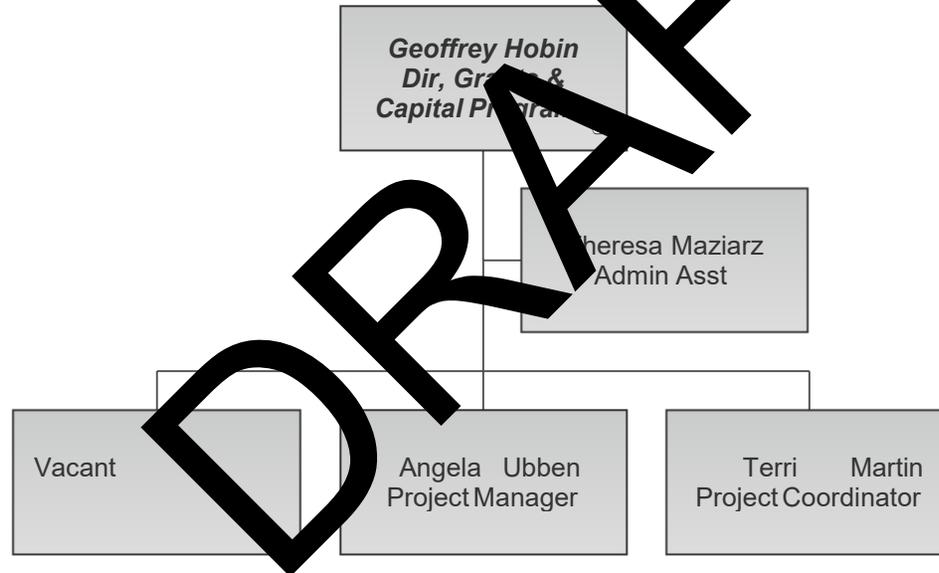


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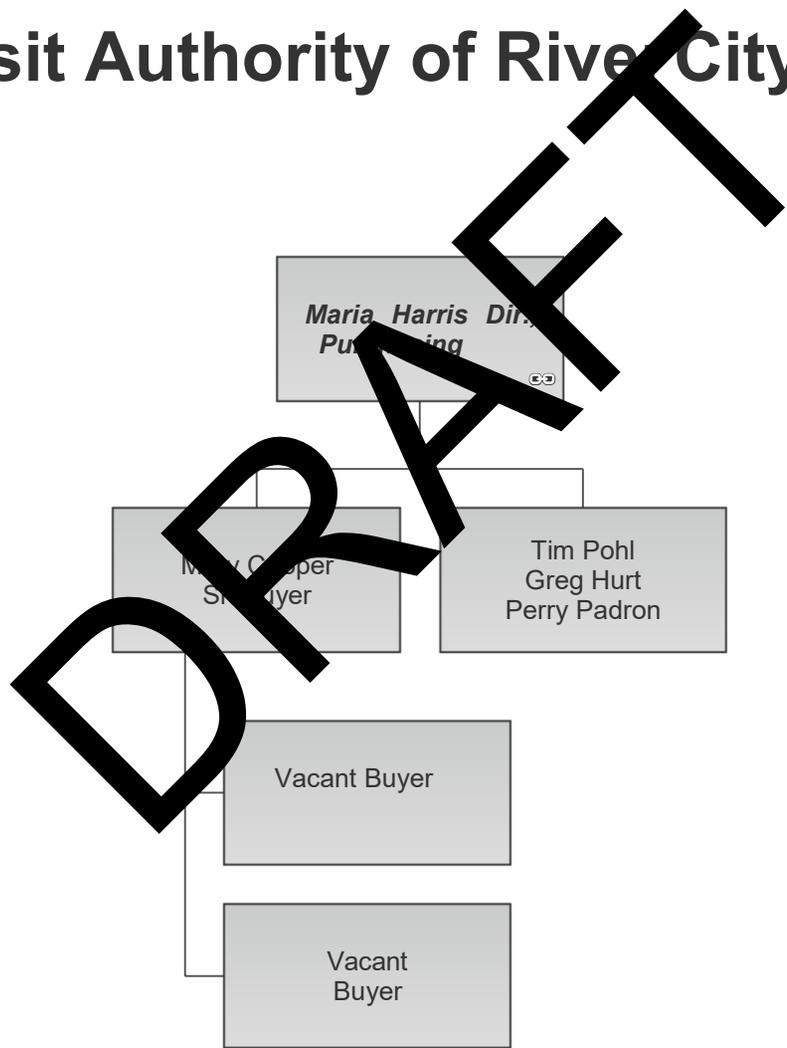


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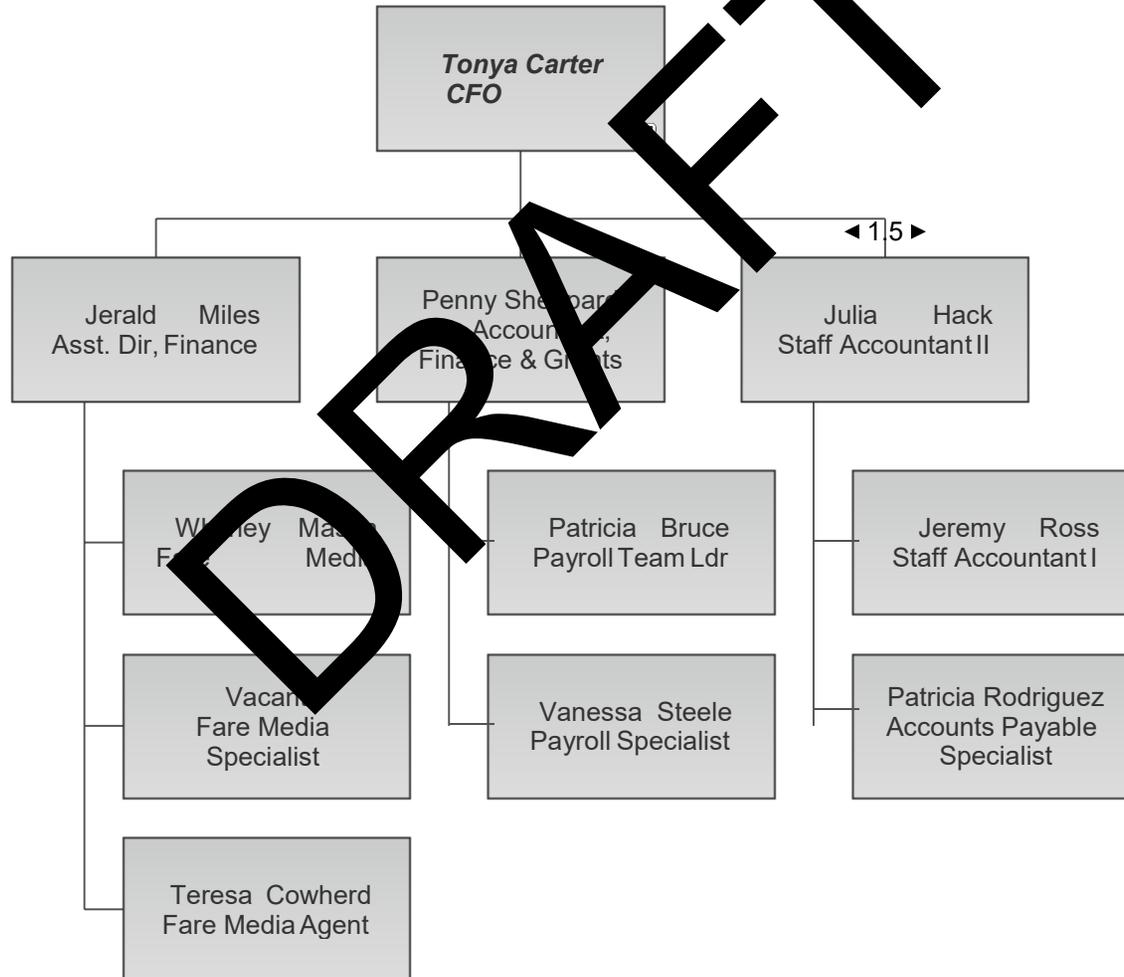


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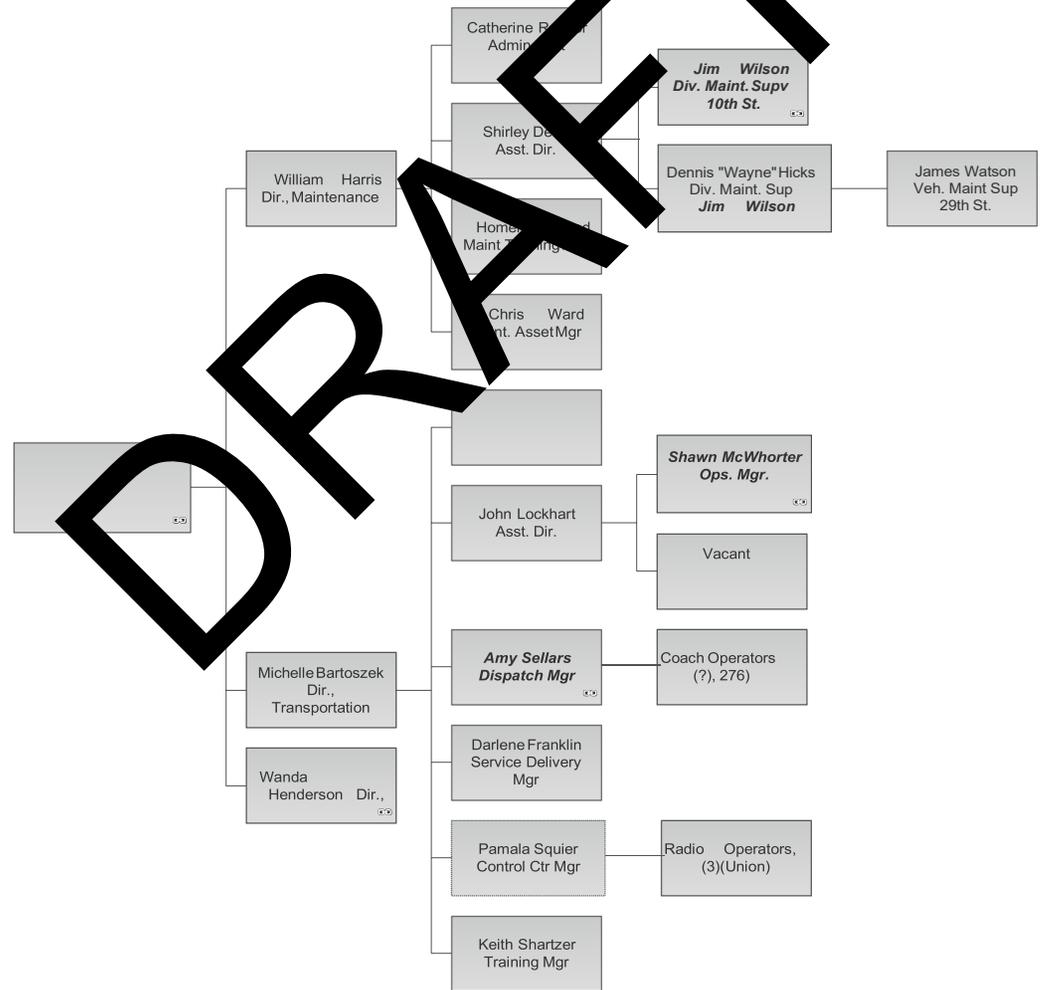


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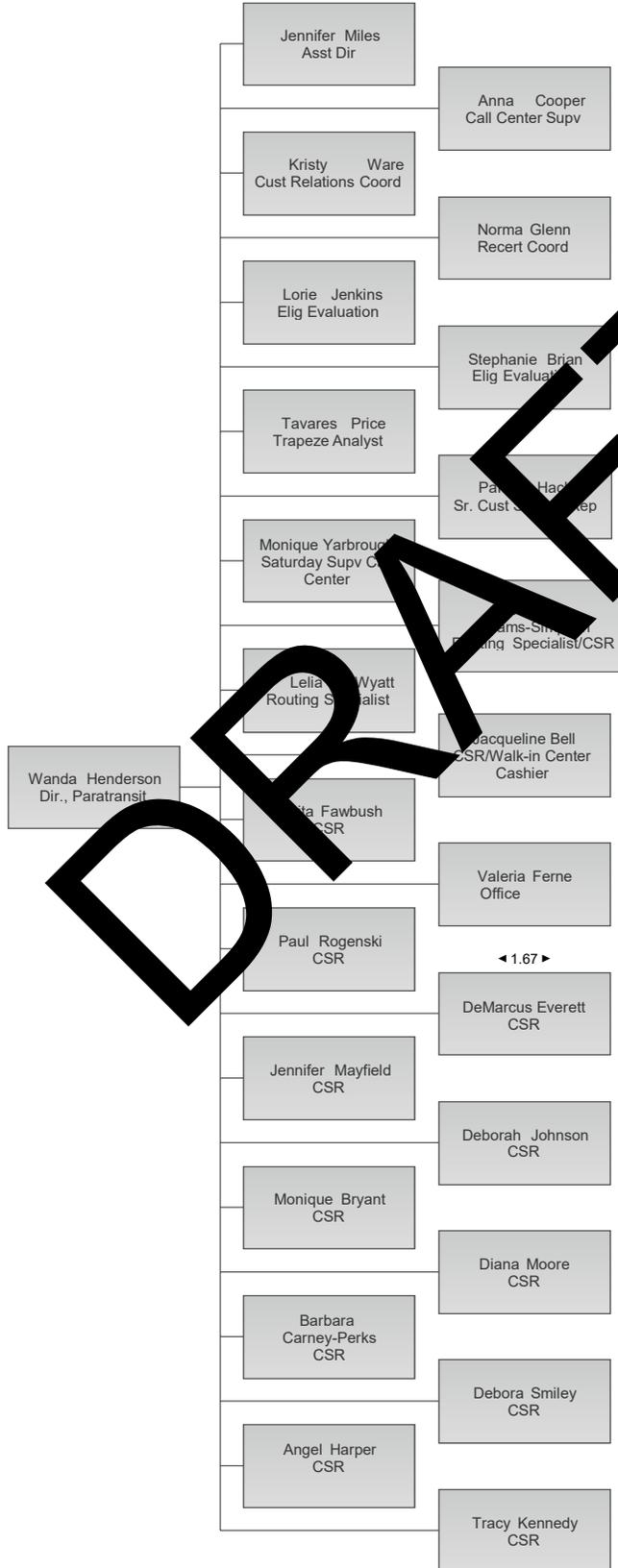


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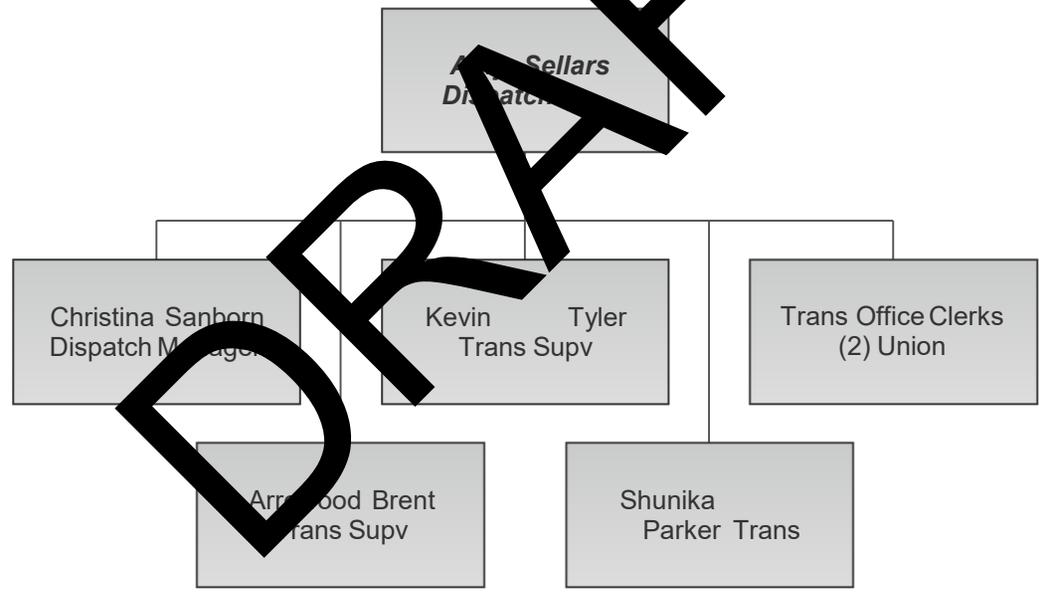


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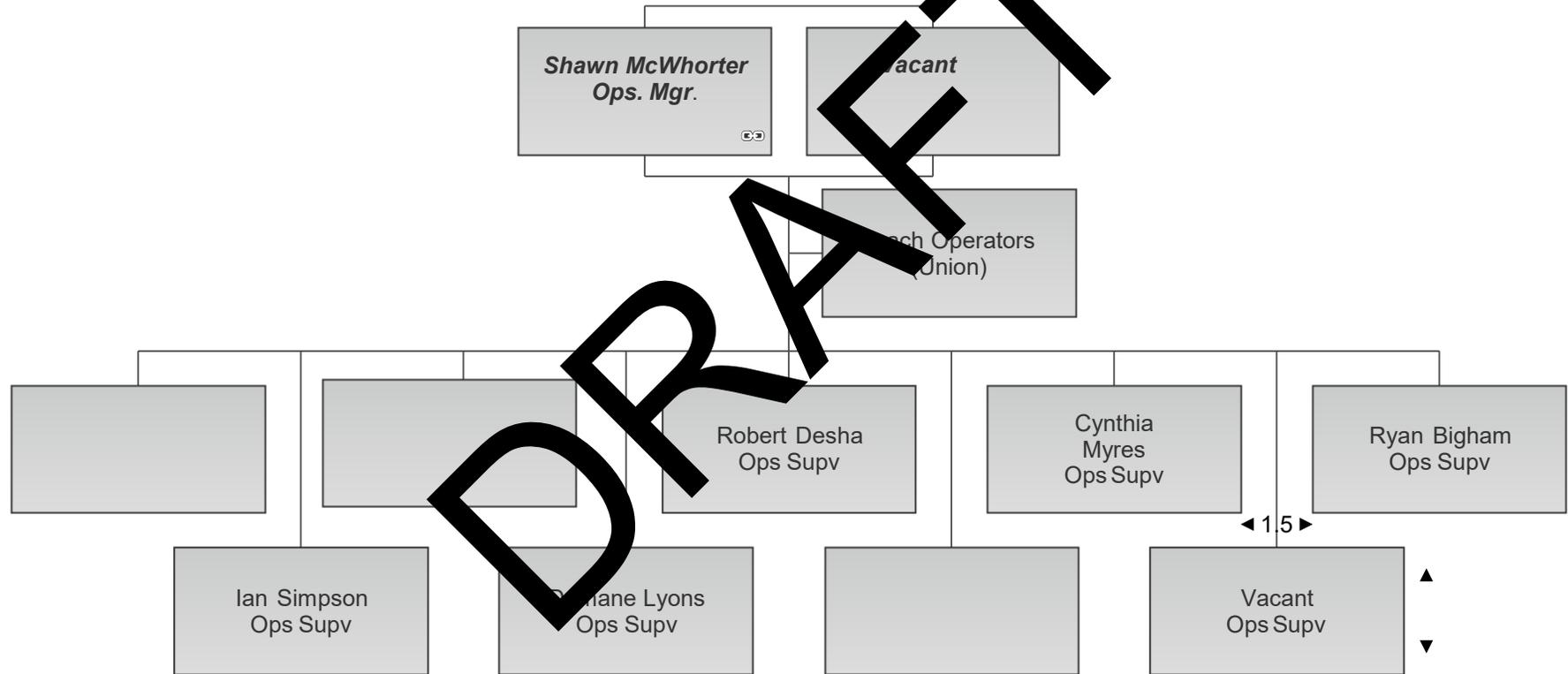


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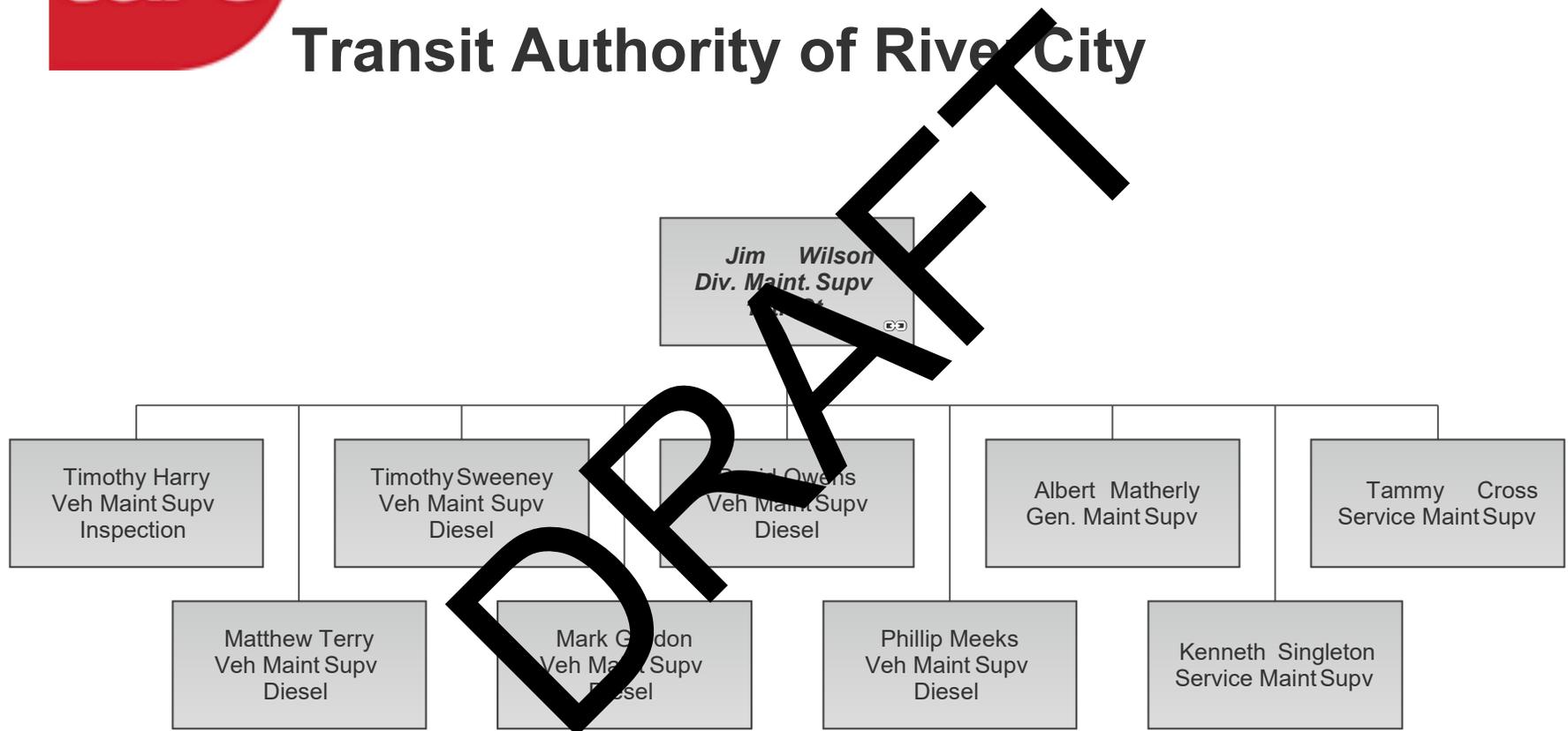


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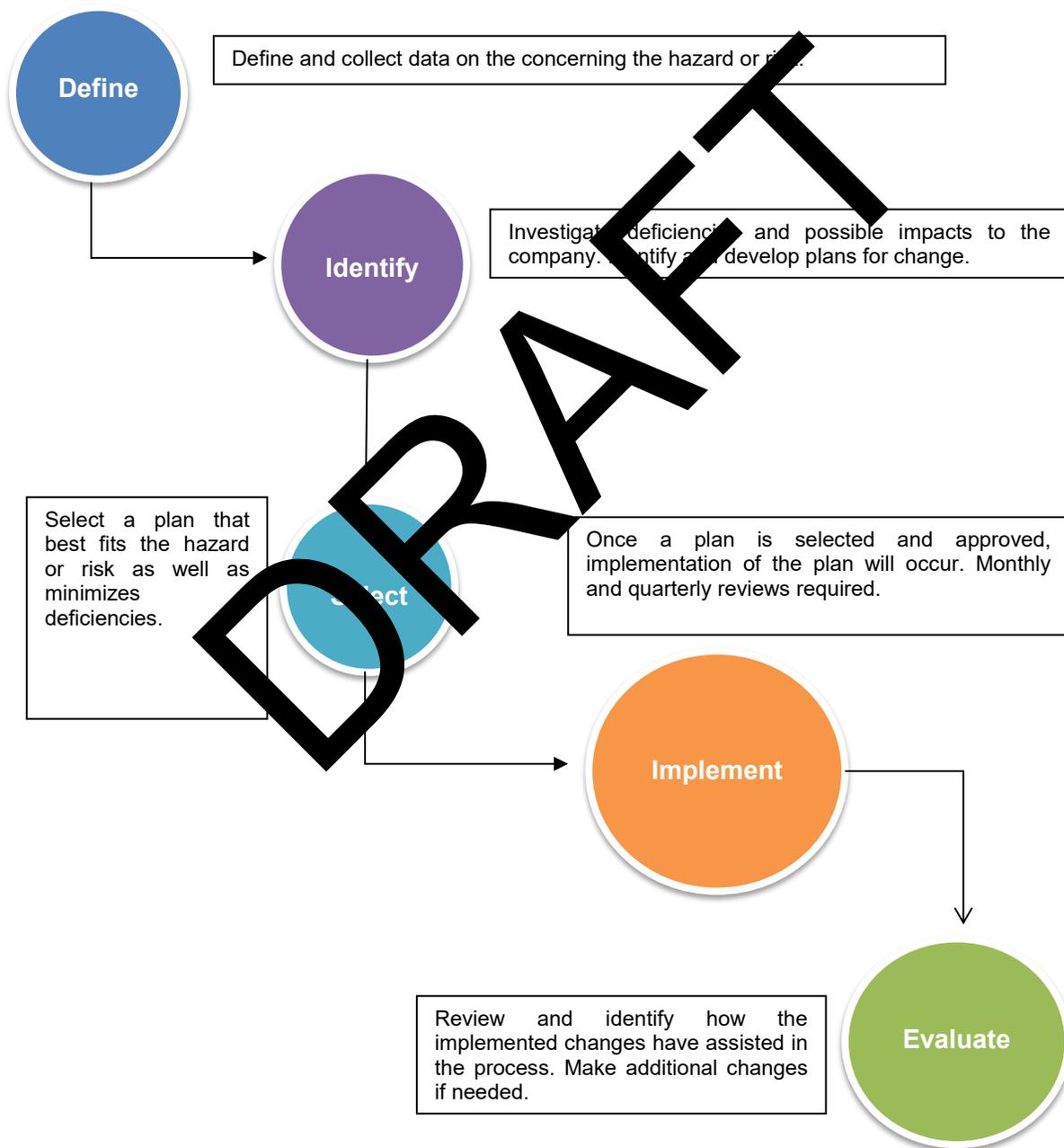


Continuous Improvement Process



Definition: Continuous Improvement Process is an ongoing effort to improve products, services, or processes. Those processes are constantly evaluated and improved in the light of their efficiency, effectiveness and flexibility.

Purpose: The purpose of CPI is designed to empower employees to solve problems that negatively affect them and gradually improve the efficiency of their work processes.

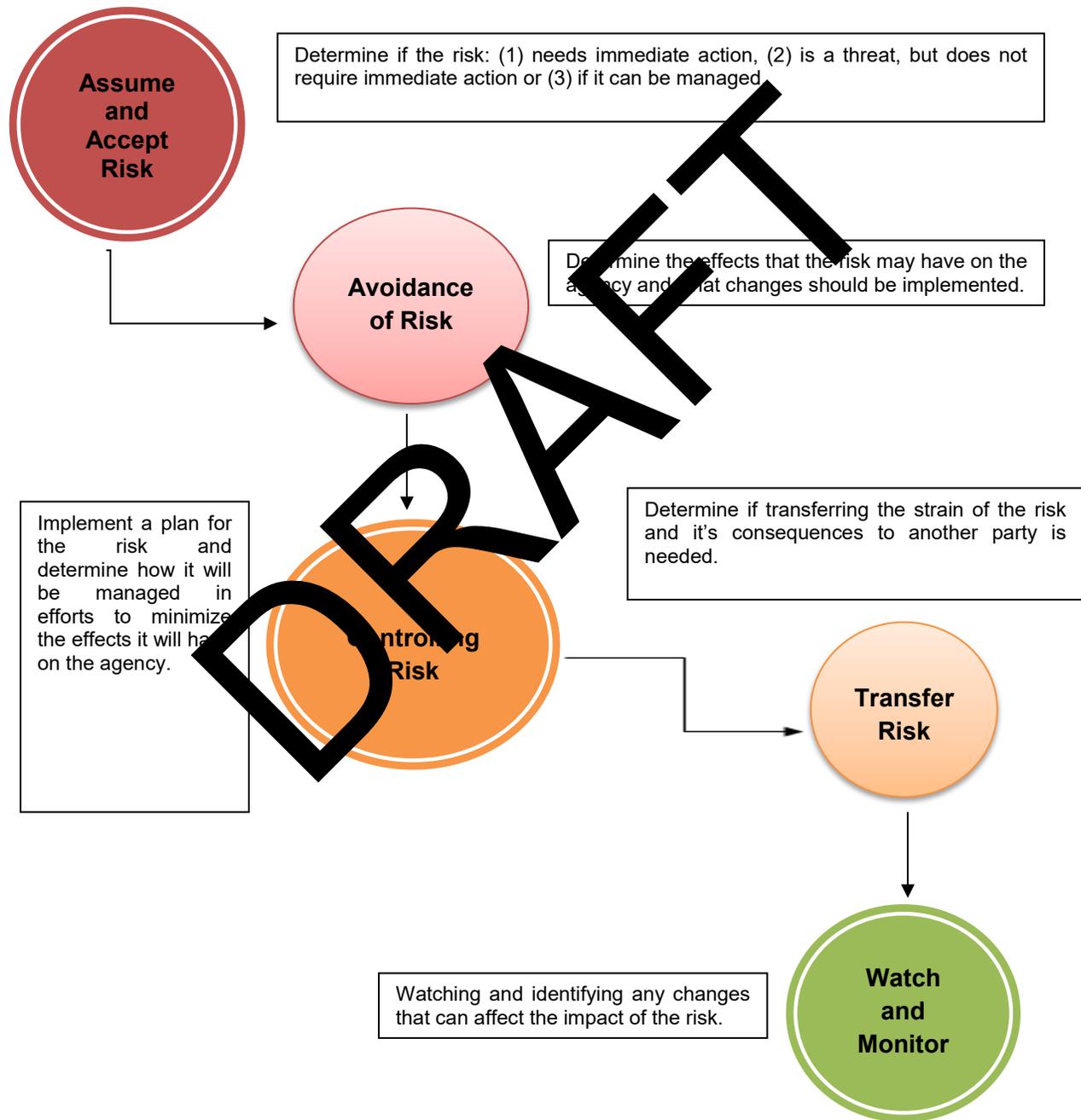


Risk Mitigation Process



Definition: Risk Mitigation is a strategy to reduce and manage the impact of a potential identified risk and/or hazard to an acceptable level.

Purpose: The Risk Mitigation process will assist and prepare TARC to consistently monitor to see if changes need to be made or the course of action currently being taken is the most efficient for the current risk or hazard.



Risk Assessment Matrix			
Likelihood / Severity	Catastrophic (1)	Serious (2)	Marginal (3)
Frequent (A)	HIGH (1A)	HIGH (2A)	MEDIUM (3A)
Occasional (B)	HIGH (1B)	MEDIUM (2B)	LOW (3B)
Remote (C)	MEDIUM (1C)	MEDIUM (2B)	LOW (3C)

Safety Risk Index	Criteria Index
HIGH	Unacceptable – Action Required: Safety risk must be mitigated or eliminated.
MEDIUM	Unacceptable – Management Decision: Executive management must decide whether to accept safety risk with monitoring or require additional action.
LOW	Acceptable with Review: Safety risk is acceptable pending management review.

DRAFT



MEMORANDUM

To: Mary Morrow, Chair of TARC Board of Directors
From: Carrie Butler, Executive Director
Date: March 23, 2021
Re: Resolution 2021-06 TARC Agency Safety Plan

The Federal Transit Administration (FTA) requires TARC as a public transportation agency and recipient of Section 5307 Urbanized Area Formula Grants to prepare and maintain an Agency Safety Plan (Plan). In addition, the FTA requires TARC to designate individuals to serve as the Accountable Executive and Chief Safety Officer with respect to implementation and carrying out the responsibilities under the Plan.

The accompanying Resolution seeks authorization from the Board to name Carrie Butler, TARC Executive Director, as the Accountable Executive, and Lorri Lee, TARC Director of Safety and Security, as the Chief Safety Officer, with respect to the Plan.

Please call me at 561-5100 if you have any questions. Thank you.



RESOLUTION 2021-06

Transit Authority of River City Agency Safety Plan

WHEREAS, United States Code, Title 49. Transportation, Subtitle III General and Intermodal Programs, Chapter 53 Public Transportation, Section 5307 Urbanized Area Formula Grants provides that public transportation agencies prepare and maintain an agency safety plan. On July 19, 2018, Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).

WHEREAS, this final rule requires the Authority to designate an individual to serve as the Accountable Executive and to designate an individual to serve as the Chief Safety Officer, and;

WHEREAS, Carrie Butler, Executive Director, will serve as the Accountable Executive, and;

WHEREAS, Lorri Lee, Director of Safety and Security, will serve as the Chief Safety Officer, and;

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Transit Authority of River City hereby authorizes the designation of Carrie Butler, Executive Director, as the Accountable Executive; and Lorri Lee, Director of Safety and Security, as the Chief Safety Officer, and hereby approves the 2021 Agency Safety Plan.

ADOPTED THIS 23rd DAY OF MARCH 2021

Mary Morrow, Chair of the Board of Directors