TRANSIT BOARD MEETING
AGENDA

AMES TRANSIT AGENCY
BOARD OF TRUSTEES

ELECTRONIC MEETING
PHONE: US: 1-312-626-6799
ZOOM MEETING ID: 835 5609 6305
VIDEO PARTICIPATION: https://us02web.zoom.us/j/83556096305

CYRIDE CONFERENCE ROOM – October 28, 2020

1. CALL TO ORDER: 2:00 P.M.

   Electronic Meeting Declaration Reading
   This meeting is being held electronically because of the COVID-19 pandemic, and the Governor of Iowa's Public Health Disaster Emergency Declaration which included limits on public gatherings; therefore, it is impractical to hold an in-person meeting. (§21.8(1)(c) and §21.3)

2. Approval of September 23, 2020 Minutes

3. Public Comments

4. Free Rides on Election Day

5. Minibus Purchase

6. Public Transportation Agency Safety Plan

7. COVID-19 Research Demonstration Program Grant

8. Suspension and Debarment FY 19 Audit Finding – Informational

9. FY 20 Preliminary Operations Fund Closing Balance – Informational

10. Battery Electric Bus Project Update and Local Match

11. CARES Act Funding

12. Monthly Report

13. Fall Meeting Dates/Times

    - November 25, 2020, 2:00pm
    - December 23, 2020, 2:00pm

14. Adjourn

September 23, 2020
AMES TRANSIT AGENCY BOARD OF TRUSTEES

The Ames Transit Agency Board of Trustees met on September 23, 2020, at 2:00 p.m. via video conference. President Schrader called the meeting to order at 2:00 p.m. with Trustees Beatty-Hansen, Cain, Jeffrey, Ludwig, and Schainker present via video conference.

ELECTRONIC MEETING DECLARATION: This meeting is being held electronically because of the COVID-19 pandemic, and the Governor of Iowa's Public Health Disaster Emergency Declaration which included limits on public gatherings; therefore, it is impractical to hold an in-person meeting." (§21.8(1)(c) and §21.3)

APPROVAL OF AUGUST 26, 2020 MINUTES: Trustee Jeffrey made a motion to adopt the August 26, 2020 transit board minutes as presented and Trustee Ludwig seconded the motion. (Ayes: 6 Nays: None) Motion carried.

PUBLIC COMMENTS: None

2020 PAVEMENT IMPROVEMENTS MIDDLE SCHOOL TURNAROUND PROJECT CLOSEOUT: Director Neal summarized the project at the Ames Middle School turnaround, which included new pavement, sidewalk, a retaining wall, and detectable warning strips to the crosswalk on Mortensen Road. The budget for the project was $150,000 and was programmed in the Capital Improvement Plan (CIP).

Director Neal said the project started in July, was substantially complete by August 5th and included one change order in the amount of $2,640 for an ADA accessible ramp. She shared that as of September 4, 2020, punch list items have been documented and completed to the satisfaction of both CyRide and the A&E firm.

The Transit Director recommended approval of Alternative #1, to accept the final completion and approve the release of retainage in the amount of $7,117.00 to Jensen Builders LTD of Des Moines, IA for the CyRide 2020 Pavement Improvements Middle School Turnaround Project.

Trustee Jeffrey made a motion to adopt Alternative #1, to approve the acceptance of the final completion and approve the release the retainage in the amount $7,117.00 to Jensen Builders, LTD of Des Moines. Trustee Beatty-Hansen seconded the motion. (Ayes: 6 Nays: None) Motion carried.

TRANSIT ASSET MANAGEMENT (TAM) PLAN, STATUS & PERFORMANCE TARGETS UPDATE: Director Neal said that a TAM plan with performance targets is required to be submitted annually to the FTA's National Transit Database. She explained the report must include information about the condition of assets, analysis of asset performance, a narrative report on the fleet's condition, progress on the annual performance targets, and targets for the next fiscal year. She stated having a TAM plan and keeping vehicles in a state of good repair supports CyRide's commitment to safety.

Director Neal explained how the FTA classifies revenue and nonrevenue vehicles according to a performance measure called a useful life benchmark (ULB). She added that the ULB determines

how many years a vehicle should be in service in order to maintain a state of good repair and prioritize replacement. Director Neal reviewed a chart comparing the FTA's ULB defaults for the various types of buses and vehicles that CyRide owns to the ULB's listed in CyRide's TAM plan. She noted the FTA's ULB for large buses is 14 years, compared to CyRide's ULB for large buses of 15 years. The FTA's ULB is 10 years for cutaway or minibuses, while CyRide's is 8 years. She explained the cutaway bus ULB was lower to allow CyRide to remain competitive in the statewide bus replacement process. Director Neal stated the average age of the fleet is 12 years, but many buses run for 20 years or more; while CyRide has increased the ULB beyond FTA's recommendation, it is important not to increase it too far to keep buses in good repair.

Director Neal reviewed the performance measures and targets in the TAM plan. The rolling stock includes all types of buses and a minivan used by HIRTA. Other equipment includes non-revenue support service vehicles and maintenance trucks. The facility condition data includes the administration and maintenance facility and the Ames Intermodal Facility. She explained the information in a chart that compared 2019 to 2020 performance targets, citing little change between the two years. She added that 38% of 40'-60' buses were exceeding their ULB and were above the FY20 target of 33% due to manufacturing issues caused by COVID-19 and delays in confirmation of the receipt of funds from the Volkswagen Grant needed to complete purchases.

Director Neal proposed to increase the FY21 performance target included in the TAM plan for buses exceeding their ULB from 38% to 42%. She explained that more buses are moving beyond 15 years of useful life; 35 of 84 buses will exceed this measurement in FY21. She pointed out in the outlying years, the fleet will continue to increase the number of large buses that exceed CyRide's ULB and it will be important for CyRide to continue to pursue grant opportunities for bus replacement to lower the fleet age.

The Transit Director recommended approval of Alternative #1, to approve FY2021 TAM performance targets for each FTA required asset class/category. Approval of this alternative will allow CyRide to meet its federal obligations and help guide future capital replacement needs.

Trustee Beatty-Hansen made a motion to adopt Alternative #1, approving CyRide's recommendation for the establishment of FY2021 TAM performance targets to submit to the FTA. Trustee Ludwig seconded the motion. (Ayes: 6 Nays: None) Motion carried.

PROPOSED 2021 SPRING SEMESTER CHANGES: Director Neal reviewed the changes to Iowa State University's academic calendar, stating that the start of the spring semester has been changed from January 11, 2020 to January 25, 2020 and classes would now be held over spring break. Director Neal explained that from Jan 11 - Jan 24 CyRide would typically operate a regular school year service during this time, but due to the delay in the start of classes, staff is requesting that a school year break schedule be operated for a cost savings of approximately $132,934. She also proposed that a regular school year schedule be operated from March 13-March 21 at an estimated cost of $77,593. Implementing both proposed changes would result in a savings of approximately $55,341.

The Transit Director recommended approval of Alternative #1, to modify the CyRide spring 2021 schedule to provide the service passengers have come to rely on during Iowa State class days, continue to support community riders, and provide a cost savings to the organization.

Trustee Ludwig made a motion to adopt Alternative #1, to approve modifying the CyRide spring 2021 schedule to operate a break schedule from Monday, January 11 through Sunday, January 24, 2020 and to operate a regular service schedule Saturday, March 13 through Sunday, March 21, 2020 for an approximate cost savings of $55,341. Trustee Jeffrey seconded the motion. (Ayes: 6 Nays: None) Motion carried.

FY22 SERVICE PLANNING – INFORMATIONAL: Director Neal reviewed service changes that were requested by customers. Details and estimated costs were provided for each proposed service change. She stated no changes were being recommended by CyRide staff due to financial challenges. The board indicated no desire to consider any of the suggestions for future FY22 budget discussions. Director Neal confirmed that a baseline budget proposal would be prepared for the board's consideration and no additional service options would be presented during formal consideration.

MONTHLY REPORT:

Student Fee Committee: Director Neal was invited to speak at the September 15, 2020, Student Fee Committee meeting, but the meeting was postponed. Prior to the meeting, she met with the student board members, Trustees Ludwig and Schrader, to discuss what fee increases would be reasonable to propose. The Student Government Trust Fund will have a significant shortfall in FY21 due to several years of declining enrollment, activity fee suspensions, and zero percent increase for FY21. Director Neal will bring additional information to the board after the meeting is held.

Ridership for the First Month of Fall Service: Passenger counts have continued to be carefully monitored. Ridership is down by almost 60% when the first month of fall service is compared with last year. Service adjustments to Moonlight Express have been made and further cost-savings options are continually being explored.

Fall Meeting Dates/Times:

- October 28, 2020 at 2:00pm
- November 25, 2020 at 2:00pm
- December 23, 2020 at 2:00pm

Adjourn: Trustee Jeffrey made a motion to approve adjourning at 2:20pm. Trustee Ludwig seconded the motion. (Ayes: 6 Nays: None) Motion carried.

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Jacob Schrader, President Julie Brousard, Recording Secretary

October 28, 2020
Free Rides on Election Day
CyRide Resource: Christine Crippen, Barbara Neal

BACKGROUND: Election Day this year will be on November 3, 2020. In previous years, transit agencies in the state and across the nation have offered fare-free rides to passengers, to ease access to voting in their communities. Systems allowing fare-free rides include DART in Des Moines, the Iowa City transit systems, and Metro Transit in Council Bluffs, among many others. This often generates positive news coverage of the agencies and encourages non-traditional rides on the transit system as passengers travel to vote.

CyRide has estimated that it would cost approximately $150 to offer free rides on both fixed route and Dial-A-Ride services on November 3, based on current ridership levels. CyRide had sought and received informal guidance from the Transit Board on this subject and began advertising fare-free rides for November 3. Since this policy will result in a revenue change, this board action has been created to ratify the Transit Board's informal response.

ALTERNATIVES:

1. Approve allowing all passengers to ride fare-free on both fixed routes and Dial-A-Ride services on Election Day, November 3, 2020.

2. Maintain standard fare procedures on Election Day, November 3, 2020.

RECOMMENDATION:

The Transit Director recommends approval of Alternative #1. Allowing all passengers to board for free on Election Day will help expand access to voting and generate goodwill with the public, at a minimal financial cost to the organization.

October 28, 2020
Minibus Purchase
CyRide Resource: James Rendall

BACKGROUND: CyRide was awarded discretionary funding for six new minibuses through the State of Iowa's FY 2019 Bus and Bus Facilities grant submission. The discretionary award was at an 85% federal share and the budget for this purchase is as follows:

Funding Source	Amount
FY 19 Discretionary Grant (85%)	$559,470
Local Funding (15%)	$98,730
Total Funds Available	**$658,200**

Local funding for this grant was included in the FY 2021 Capital Improvement Plan, approved by the Transit Board of Trustees in December 2019.

The Iowa Department of Transportation (IDOT) completed a statewide invitation for bid (IFB #OPT2018LDB) for light duty 176" wheelbase buses in the spring of 2018. Transit agencies in the State of Iowa can use the resulting contracts to purchase buses, saving agencies administrative time and money.

The six buses to be replaced (333-338) are now 10 years old, past the Transit Asset Management (TAM) plan useful life benchmark of eight years. Replacement of these buses would result in lowering CyRide's operating costs, provide a more comfortable ride for our customers, and move us closer to our TAM performance targets. This purchase will allow CyRide to replace six of nine buses, or 66% of the minibus fleet, in FY 2021

The last minibuses CyRide purchased were built by Glaval. The experience with these buses has been positive and CyRide believes they are the best value offered on the IDOT procurement. As a result, CyRide has worked with the Glaval supplier, Hoglund Bus Company of Marshalltown, Iowa, to determine pricing. The manufacturer has completed preliminary pricing and the estimated price per bus has been quoted at $100,975 each, for a total cost of approximately $605,850. This cost does not include additional make-ready items, such as fareboxes, bike racks, and annunciators, which will be maintained within the project budget. CyRide will continue to refine bus specifications until approximately three months before the vehicles are built; the manufacturer will provide updated pricing once specifications are finalized. Since vehicle pricing is not finalized until late in the process, CyRide is requesting approval of award to Hoglund Bus Company of Marshalltown, Iowa at the not-to-exceed grant amount of $658,200. The delivery date of the buses will be approximately six months from the date the purchase order is issued.

ALTERNATIVES:

1. Approve award to Hoglund Bus Company of Marshalltown, Iowa, in the not to exceed amount of $658,200 for the purchase of six new 176” wheelbase minibuses.

2. Do not approve the contract award for the purchase of new minibuses and direct staff to proceed according to Transit Board priorities.

RECOMMENDATION:

The Transit Director recommends approval of Alternative #1 for the purchase of six minibuses from Hoglund Bus Company at a price not to exceed $658,200. This will allow CyRide to replace six existing buses within its minibus fleet and help CyRide meet its TAM plan performance targets.

October 28, 2020
Public Transportation Agency Safety Plan
CyRide Resource: Christine Crippen, Jason Lippard, Kevin Gries

BACKGROUND: On July 19, 2018, 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). The FTA extended the compliance deadline to December 31, 2020.

Safety is CyRide's number one priority and is of the utmost importance. We have developed a robust safety and security program; we will educate, encourage, and endorse a strong culture of safety at all levels of CyRide. CyRide's plan is based on the SMS principles and is a comprehensive, collaborative approach to managing safety. It brings management and all employees together to control risk better, detect and correct safety problems earlier, share and analyze safety data more effectively, and measure safety performance more precisely.

The plan must name an accountable executive who is responsible for carrying out the Safety Management Policy of the agency and ensure the plan is effective. The Accountable Executive must be able to act, as necessary, to address substandard performance of the SMS policy. The CyRide Transit Director has been designated as the Accountable Executive. The regulation also requires that a Chief Safety Officer (CSO) be named. This individual should have the authority and responsibility for day-to-day implementation and operation of the SMS. The CSO must report directly to the Accountable Executive and should be a full-time employee. The Assistant Director of Operations has been designated as CyRide's Acting Chief Safety Officer, until the newly created position is filled.

The regulation requires that CyRide prioritize areas of primary safety focus in order to ensure improvement in these areas using the principles of SMS. The basic requirement is that CyRide track and manage:

- Total number and rate of Injuries per total vehicle revenue mile;
- Total number and rate of Fatalities per total vehicle revenue mile;
- Total number and rate of Safety Events per total vehicle revenue mile; and
- System Reliability per total vehicle revenue mile.

The FTA's definitions of each of these measures is as follows:

- Injury: Any damage or harm to persons as a result of an event that requires immediate medical attention away from the scene.
- Fatality: A death or suicide confirmed within 30 days of a reported event. This does not include deaths in or on a transit property that are a result of illness or other natural causes.
- Safety Event: A collision, derailment, fire, hazardous material spill, act of nature, evacuation, or Other Safety Occurrence not Otherwise Classified (OSONOC) occurring on a transit right-of-way,

in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle and meeting established NTD thresholds.

- Major Mechanical Failure: A failure of some mechanical element of the revenue vehicle that prevents the vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip because actual movement is limited or because of safety concerns.

While the FTA does not dictate other performance areas or targets, each agency is required to specify those within its PTASP, identify trends that are occurring within the system, and look for opportunities for improvement. The plan includes all aspects of our current Safety Management System programs which include our Safety Policies, Safety Risk Management, Safety Assurance, and Safety Promotion. We will continue to track and manage Preventable Collisions per 100,000 Vehicle Miles and identify any other areas of safety concern so that a plan can be developed to address those areas. The goal of SMS is for CyRide to focus on how risks are identified in our system, how these risks are managed, how the risks are addressed, and how safety is promoted throughout the system. CyRide has developed plans in order to ensure system safety as well as ensure compliance with FTA requirements. We will maintain a safety bulletin board that highlights all CyRide's safety policies. The safety board will be updated on a monthly basis providing employees with a safety message of the month and any safety news that may impact operations.

To ensure that we are addressing the risks that are reported, timelines are established based on the risk level. In addition, CyRide will utilize a Safety Risk Register to document Safety Risk Management and Safety Assurance activities. The risk register records the hazards identified and the potential consequences, documents initial safety risk ratings, records mitigations implemented to eliminate or minimize the risk associated with the hazard, documents revised safety risk ratings, and tracks mitigation monitoring measures and activities to ensure the implementation and effectiveness of mitigations. CyRide's PTASP will be updated regularly, at a minimum annually, to ensure that it continues to prioritize and address the safety issues impacting our organization.

ALTERNATIVES:

1. Approve and adopt CyRide's Public Transportation Agency Safety Plan as presented, to be effective on October 28, 2020 to be in compliance with the Federal Transit Administration Final Rule.

2. Direct staff to proceed according to Transit Board priorities and approve and adopt an agency safety plan before December 31, 2020,

RECOMMENDATION:

The Transit Director recommends approval of Alternative #1, to approve and adopt CyRide's Public Transportation Agency Safety Plan as presented. Adoption of this alternative will reinforce CyRide's existing safety culture and help maintain compliance with FTA regulations.

Ames Transit Agency Safety Plan

In Accordance with 49 C.F.R. Part 673

As of October 22, 2020

1. Transit Agency Information

Transit Agency Name	City of Ames, D/B/A, Ames Transit Agency (CyRide)		
Transit Agency Address	601 N. University Blvd. Ames, IA 50010		
Name and Title of Accountable Executive	Barbara Neal – Transit Director		
Name of Chief Safety Officer or SMS Executive	Christine Crippen		
Mode(s) of Service Covered by This Plan	Fixed Route Bus Service (run directly by Ames Transit Agency), Para Transit (contracted by Heartland of Iowa Regional Transit Agency – HIRTA.)	**List All FTA Funding Types (e.g., 5307, 5337, 5339)**	5307, 5310, 5339
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Fixed-Route Bus Service, Para Transit		
Does the agency provide transit services on behalf of another transit agency or entity?	Yes ☐ / 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	Ames Transit Agency (CyRide)	
Signature by the Accountable Executive	**Signature of Accountable Executive**	**Date of Signature**
		10/22/2020

Approval by the Board of Directors or an Equivalent Authority	**Name of Individual/Entity That Approved This Plan**	**Date of Approval**
	Ames Transit Agency Board of Trustees	
	Relevant Documentation (Title and Location)	
	Ames Transit Agency (CyRide)	
Certification of Compliance	**Name of Individual/Entity That Certified This Plan**	**Date of Certification**
	Barbara Neal	
	Relevant Documentation (Title and Location)	
	Transit Director	

Version Number and Updates

Record the complete history of successive versions of this plan.

Version Number	Section/Pages Affected	Reason for Change	Date Issued
0		New Document	

Annual Review and Update of the Agency Safety Plan

Describe the process and timeline for conducting an annual review and update of the ASP.

In addition to quarterly meetings, Annual Review will be conducted by the Chief Safety Officer (CSO), Accountable Executive (AE), and other appropriate staff in May of each year. Final decisions on changes, if any, to the ASP will be made by the conclusion of the August transit board meeting each year.

This ASP addresses all applicable requirements set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan, 49 C.F.R. Part 673.

3. Safety Performance Targets

Safety Performance Targets

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 Ames Transit Agency's 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	3	0.22	5	.37	33,000
Paratransit	0	0	1	2.6	1	2.6	38,450

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.

Ames Transit Agency will submit yearly safety performance targets to Iowa DOT and the Ames Area MPO within 90 days of the completion of each fiscal year. These performance target submissions aid in planning processes (i.e. TIP/STIP, LRTP, SMP, etc.). Safety targets will be coordinated with Iowa DOT and Ames Area MPO staff, to the extent practicable, prior to submission of the targets by the CSO, or their designee.

Targets Transmitted to the State	**State Entity Name**	**Date Targets Transmitted**
	Iowa Department of Transportation	
Targets Transmitted to the Metropolitan Planning Organization(s)	**Metropolitan Planning Organization Name**	**Date Targets Transmitted**
	Ames Area MPO	

4. Safety Management Policy

Safety Management Policy Statement

Use the written statement of safety management policy, including safety objectives.

SAFETY MANAGEMENT POLICY

MAP-21 and Safety Management Systems (SMS)

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

To ensure transit safety and in order to comply with Federal Transit Administration (FTA) requirements, Ames Transit Agency has developed and adopted this Safety Management Policy to address FTA regulations established by Section 5329(d) of the Moving Ahead for Progress in the 21st Century (MAP-21) Act signed into law by President Barack Obama on July 6, 2012.

Ames Transit Agency is committed to Safety Management Systems (SMS) as a systematic and comprehensive approach to identifying safety hazards and risks associated with transit system operations and related maintenance activities. Ames Transit Agency has adopted a Safety Management Systems framework as an explicit element of the agency's responsibility by establishing a safety policy; identifying hazards and controlling risks; goal setting, planning, and measuring performance. Furthermore, Ames Transit Agency has adopted SMS as a means by which to foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in attaining transit safety.

Safety Beliefs

1. Safety is our First Priority when making safety-sensitive decisions;
2. Safety excellence is a key component of our mission;
3. Safety is a source of our competitive advantage; our business will be strengthened by making safety excellence an integral part of all public transportation activities; and
4. Accidents and serious incidents are preventable and do not occur out of the blue; they are preceded by precursors (events, behaviors, and conditions) that can be identified, assessed and mitigated through physical, administrative and behavioral safety promotion strategies.

Safety Culture

Ames Transit Agency believes safety promotion is critical to the success of SMS by ensuring that the entire organization fully understands and trusts SMS policies, procedures, and structure. It involves establishing a culture that recognizes safety as a core value, training employees in safety principles, and allowing open communications of safety issues.

Positive safety culture must be generated from the top-down. The actions, attitudes, and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility of each employee with the ultimate responsibility for safety resting with the Transit Director (Accountable Executive) and the Ames Transit Agency Board of Directors of Ames Transit Agency. Employees must trust that they will have management support for decisions made in the interest of safety while recognizing that intentional breaches of safety will not be tolerated.

Safety Reporting

Ames Transit Agency is committed to the safest possible transit operating standards. To achieve this, it is imperative that Ames Transit Agency encourages uninhibited reporting of all incidents and occurrences which may compromise the safe conduct of our operations through our Employee Safety Reporting Program. To this end, every employee and contract service provider is responsible for the communication of any information that may affect the integrity of transit safety. Such communication must be completely free of any form of reprisal.

Safety Management Policy Communication

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

Safety management policies are communicated through the hiring and training process in verbal and written formats. Safety elements are incorporated into current documents including driver training programs for new hires; Fall and Spring Meetings for all operations personnel; OSHA mandated shop safety meetings (10 times per year). Safety performance information will be posted quarterly in multiple places to maximize employee exposure to relevant safety issues.

Documents that include safety elements are

- Driver Manual
- Dispatch Manual
- Shop Safety Procedures

Authorities, Accountabilities, and Responsibilities

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

Accountable Executive (AE)	Transit Director – responsible for SMS implementation; ensures SMS performance – annual safety review process and ongoing evaluation; prioritizes identified mitigations; holds highest level of approval power, other than the transit board, for authorizing SMS expenditures
Chief Safety Officer or SMS Executive (CSO)	Chief Safety Officer – direct report to Accountable Executive; provides overview of SMS vision to all employees; generates SMS reports; adds identified hazards to Safety Risk Register; keeps all SMS documents a minimum of three years; distributes safety data to Agency Leadership and Key Staff; subject matter expert on SMS; trains Key Staff on SMS Principles; creates safety reports for distribution to Dispatchers, Transit Drivers, and Fleet and Facilities personnel; trains personnel on the ESRP; approves low-cost SMS expenditures in consultation with AE and Agency Leadership; ensures that the companies with whom we contract services follow sufficient safety protocols
Agency Leadership and Executive Management	Assistant Director for Operations – directs implementation of operational safety mitigations and expenditures related to the SMS up to Accountable Executive level; ensures adequate safety risk management and safety assurance activities Assistant Director for Fleet and Facilities – directs implementation of fleet and facilities mitigations and expenditures related to the SMS up to Accountable Executive level; ensures

	adequate safety risk management and safety assurance activities; communicates safety expectations to contractors and vendors Transit Scheduler/Administrative Analyst – verifies accuracy of transit data; leads safe schedule development; communicates safety data to the organization and to the National Transit Database (NTD) Transit Planner/EEO Officer – supports safety communication throughout the agency with internal newsletter (section on SMS); coordinates all submissions of performance targets to the MPO and DOT; leads grant writing and ensures that the companies from whom we procure rolling stock follow sufficient safety protocols
Key Staff	AM, Mid-day, PM Transit Operations Managers – communicate Safety First priority during employee interactions (especially in disciplinary/guiding interactions with drivers and dispatchers); conduct check rides and review bus videos to ensure adherence to safety procedures; conduct accident investigations to identify causal factors; provide input on service changes; subject matter experts on safety issues pertaining to operations and dispatch Maintenance Coordinator – communicates Safety First priority during employee interactions (especially in interactions with mechanics and lane workers); subject matter expert on safety issues related to maintenance and facilities; communicates with shop and contractors about safety expectations Transit Trainers – communicate Safety First priority during employee interactions (especially in disciplinary/guiding interactions with new drivers); provide initial training including CDL, defensive driving, hazard perception, ESRP; subject matter experts on Out-of-Service and In-Service training; support safety communication by introducing and reinforcing the core concept of using Safety First priority for safety sensitive decisions

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).

Employees report immediate safety concerns that require quick action to any dispatcher or manager.

Non-urgent safety concerns are reported using the Employee Safety Reporting Program form. Employees can report safety concerns verbally or via the ESRP form to the CSO. The CSO will follow a workflow diagram to process safety reports. These non-urgent concerns include hazards and events encountered or observed during operations and maintenance tasks. The CSO reviews reports and determines if the issue falls into the category "Acceptable Without Review" on the Risk Assessment Matrix. If that is the case, it will be entered in the Safety Risk Register. If not, the issue will be raised at the next quarterly KSC meeting for further evaluation. The CSO, or designee, will communicate with the employee who reported the safety concern to inform them of the next step and ensure understanding of issue. ESRP forms will be logged and communications will be archived in the Safety Risk Register.

Employees who participate in the self-reporting process are assured no action will be taken against any employee who discloses a safety concern, unless disclosure indicates an illegal act, gross negligence, or deliberate disregard of federal, state, or local law or Ames Transit Agency regulations and procedures. In order to increase confidentiality, the CSO makes an initial determination about whether the employee's report falls within ESRP protections. Most typically, when the CSO identifies a report that may require discipline, it will be forwarded to the appropriate Assistant Director (Operations or Fleet/Facilities), without identifying information, as a double check on the judgment of the CSO. When staffing issues complicate this, such as when an assistant director serves as acting CSO, the other assistant director, or a qualified person acting on their behalf, would provide this increased degree of confidentiality. When an ESRP report is found to be in violation of the above guidelines by both the CSO and the Assistant Director, it will be forwarded to the employee's direct supervisor for disciplinary action. Taking the step of disciplining an employee who reports a safety issue through ESRP would be avoided whenever feasibly possible, as it may lower trust in the reporting process.

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 (SRM)

The SRM process at Ames Transit Agency consists of formal and informal mechanisms for reporting, analyzing, mitigating, and managing safety risks. Its purpose is to ensure the safety of our operations, passengers, employees, vehicles, and facilities. The processes include:

- Hazard Identification – identifying credible hazards to Ames Transit Agency and the community – One method is ESRP
- Risk Assessment – determining the probability and severity of risk scenarios and ranking safety risk for acceptability
- Safety Risk Options – considering options for mitigating safety risk, including financial feasibility
- Safety Risk Mitigation – developing a safety risk-control plan, including process documentation
- Safety Risk Monitoring – evaluating the effectiveness of safety risk decisions and control measures over time

Ames Transit Agency has established the HIRAM (Hazard Identification – Risk Assessment – Mitigation) process as the formal process for safety risk management. Informal communication between operators, dispatchers, management is also present and used to address immediate safety problems.

Ames Transit Agency's Chief Safety Officer leads the SRM process. The CSO works with all Ames Transit Agency employees to identify hazards, and with the KSC to assess safety risks, potential consequences, and mitigate safety risk. The results of Ames Transit Agency's HIRAM process are documented in our Safety Risk Register.

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

Safety Hazard Identification

The safety hazard identification process provides Ames Transit Agency with an expanded ability to identify hazards and potential consequences in the operation of our system. Hazard identification sources include:

- ESRP
- Observations of operations and facilities by supervisors
- Review of onboard video footage
- Inspections – Transit Asset Management (TAM)
- Internal safety investigations
- Accident reports
- Information reports
- Industry data
- Key Staff Committee and Fall and Spring meetings
- Governmental sources (FTA, NTSB, TSI, Iowa DOT)
- Customer and public feedback

Safety events, in any form, will be reported to Ames Transit Agency's CSO. The CSO will list them in the Safety Risk Register and conduct further investigations and analyses. From these data, the CSO will prepare an agenda for the KSC to consider at its next quarterly meeting. Should more timely changes be required, the CSO will collaboratively work with the appropriate assistant director, or their designee, to mitigate the safety risk. This mitigation will be brought before the KSC at the next meeting. Informally mitigated hazards, such as mentioned above, will go through the formal HIRAM process to ensure consideration from a viewpoint that has more institutional knowledge and expertise brought to bear.

Safety Risk Assessment

The KSC will receive appropriate training in safety risk assessment. The CSO and KSC determine safety risks associated with identified hazards. The process is primarily analytical and separates risks by probability. The following criteria will be included:

- Probability of event occurring
- Severity of consequences if hazard remains unmitigated
- Exposure of employees or customers to the hazard (number of people/day/month/year)
- Prioritization of identified safety hazards
- Examination of current conditions and claim/event occurrence experience
- Examination of "near miss" reporting (formal and informal)
- Informal prediction of changing conditions that will affect current conditions
- Categorization of events by high, serious, medium, low safety risk

The CSO compiles safety risk assessment packets pertaining to identified safety hazards for review by the KSC and distributes them for review the Friday before Tuesday KSC meetings. The KSC will assess the risks objectively utilizing a Risk Assessment Matrix (RAM). If risk of a situation is low, the safety issue will be monitored. If risk is medium for a situation, the safety issue will be scored by the KSC and monitored. If the risk is serious or high, steps will be taken to minimize or lower the risk through mitigation designed to control it. The CSO will keep record of any assessed risks and other information related to identified safety risks for a minimum three-year period from the generation date.

See "Additional Documentation" for graphic representations of these assessment processes.

Safety Risk Mitigation

The mitigation process includes risk-analysis and cost-analysis to reduce risk. Specific, actionable policy or control measures will be recommended. The Chief Safety Officer and Accountable Executive prioritize activities requiring significant financial investment and Transit Board approval within Ames Transit Agency's Long Range Transportation Plan (LRTP). Low-cost initiatives may be authorized by the CSO and/or Assistant Director for Operations and/or Assistant Director for Fleet and Facilities. Some examples of prioritization include:

- Infrastructure investment – simple signage, technology, all the way to major construction
- Administration policies – personnel policies, standard operating procedures, initial training, refresher training, check rides, schedule adherence, route modifications, schedule modifications, other risk reduction changes
- Actions by others – public and/or private infrastructure, public education, policies of other agencies
- Cost analysis

6. Safety Assurance

Through our Safety Assurance process, Ames Transit Agency:

- Evaluates compliance with operations and maintenance procedures to determine whether our existing rules and procedures sufficiently control safety risk
- Assesses safety risk mitigation effectiveness
- Investigates safety events to identify causal factors
- Analyzes safety-reporting information, 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.

Ames Transit Agency monitors operations and maintenance procedures to ensure employee compliance and sufficiently robust procedures. Ames Transit Agency monitors and addresses non-compliance with operational and maintenance procedures through a variety of means detailed in our SMS document.

Monitoring procedures include:

- Informal inspections
- Check rides
- Review of onboard camera footage to assess drivers and specific incidents
- ESRP
- Investigation of safety occurrences (fatalities, injuries, safety events, system reliability)
- Safety review prior to launch or modification of any route or event service
- Regular vehicle/facility inspections and preventative maintenance
- After Action Reports following major events – e.g. Odyssey of the Mind, Flood Evacuation Service, COVID-19 Service, Dorm Move Ins, Derecho, etc., when something is atypical an Assistant Director calls for an AAR

Insufficient procedures are addressed through the SRM process by the CSO and Key Staff. The CSO and Executive Management Team annually review results of existing processes to identify non-compliance and assess procedure sufficiency. Should a compliance or sufficiency issue arise with a procedure, Key Staff collaboratively work to determine ways to adjust and enhance the procedure.

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

Ames Transit Agency monitors safety risk mitigations to identify ineffective, inappropriate, or improperly implemented changes. Prior to implementation, safety risk mitigation objectives will be documented. The CSO and KSC determine appropriate safety performance measures (when plausible) to gauge safety risk mitigation effectiveness. Monitoring will be executed in accordance with Ames Transit Agency's SMS document and recorded on the Safety Risk Register by:

- Specifying the risk or hazard the mitigation is intended to address
- Quantifying the improvement – occurrence rate, severity, cost, etc. – the mitigation intends to provide, if possible
- Recording and monitoring reports and events to evaluate whether sufficient improvement took place – comparing KSC Risk Assessment Matrix quantified values before and after implementation

The CSO is responsible for monitoring and verifying the application of safety risk mitigations but may delegate these tasks to appropriate member(s) of Agency Leadership or Key Staff. The CSO will strive to make use of existing Ames Transit Agency processes and activities before assigning new information collection activities.

The CSO and KSC review the performance of safety risk mitigations quarterly and determine whether a mitigation was implemented as intended by comparison of observations, quantified values, and supplemental reports. If a mitigation meets the objective(s) set for it four quarters in a row, the KSC and CSO will close it. That mitigation will no longer be reviewed. If a mitigation is found to be ineffective, inappropriate, or improperly implemented, the CSO will work with appropriate staff to identify solutions. The CSO and KSC revise the mitigation to resolve any issues and re-implement the mitigation. If the issues cannot be reasonably resolved, the CSO, in coordination with the Accountable Executive or designee, may repeal the mitigation.

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

Ames Transit Agency investigates reportable safety events, as defined in the NTD Safety and Security Reporting Manual. Other collisions or events that do not meet the NTD threshold are investigated by the CSO and/or the appropriate Assistant Director or their designee. Ames Transit Agency maintains procedures for conducting safety investigations of events to find causal factors.

The CSO maintains all documentation of Ames Transit Agency's investigation procedures, data, and results for safety events. As detailed in Ames Transit Agency's procedures, a safety event report (collision report, information report, and/or ESRP report) is prepared and sent to the CSO and/or appropriate Assistant Director for investigation. In addition, collision reports and information reports are reviewed by all members of Key Staff and Agency Leadership. In the event of an accident, the Assistant Director determines whether:

- The accident was preventable or non-preventable
- Personnel require discipline or retraining

In the event of an incident/occurrence, Key Staff determines whether:

- Personnel require discipline or retraining

In all instances, the CSO determines whether:

- The causal factor(s) indicate(s) that a safety hazard contributed to or was present during the event
- The accident appears to involve underlying, organizational causal factors beyond employee behavior

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

Internal safety reporting systems are monitored and managed by the CSO, Assistant Directors, and Key Staff members. These systems utilize data from sources including:

- Collision reports
- Information reports
- ESRP reports
- Customer comments
- Check rides
- Documented conversations

Relevant data is extracted from these sources to inform choices on safety risk mitigations. When necessary, the CSO and/or KSC ensure that concerns are investigated or analyzed through Ames Transit Agency's SRM process. Processes for internal reporting systems are established in our SMS document and Driver's Manual.

7. Safety Promotion

Competencies and Training

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

Ames Transit Agency has a strong program of initial training, yearly performance reviews, and training at Fall and Spring meetings. Employees with specific performance problems will have individual retraining sessions designed to address their specific performance issue. Ames Transit Agency's Driver's Manual and shop safety procedures document the safety training program for operations and fleet employees. Training program content is developed collaboratively by the CSO, Transit Trainers, and appropriate personnel. Training program content is archived for review.

The CSO will complete appropriate National Training Institute (NTI) and Transit Safety Institute (TSI) training programs to assure competence in ability to perform the duties of the position. The CSO shall develop a professional development schedule for training transit trainers and in-service instructors on relevant safety protocols. The CSO will collaboratively review and revise with the Key Staff Committee the initial driver training program and other Ames Transit Agency training programs.

The initial driver training program is provided by Ames Transit Agency's transit trainers and driver instructors. Out-of-service training occurs during the first 30 to 40 hours of a driver's tenure. It instructs drivers in policies, bus maneuvering, defensive driving, and prepares them to pass the CDL inspection, drive, and road test. In-service training occurs after trainees have obtained their CDL license and have satisfactorily completed Out-of-Service training. In-Service takes 60 to 100 hours to complete and depends on trainee competence. Ames Transit Agency trains to a "competent and confident" level and training may be extended based on Transit Trainers' discretion. The initial training program documents each employee's training record.

Contractor safety programs will be reviewed by the CSO, AE, and/or Assistant Directors for Operations and Fleet and Facilities for minimum standards of performance and training.

Fall and Spring Meetings have safety components developed by the CSO, after review of the previous year performance in the Annual Review process and any safety issues identified in KSC meetings as central. Performance targets and areas of emphasis are defined and communicated to all operators in sessions during the Fall and Spring Meetings by the CSO.

Maintenance employees will be briefed on these priorities, before or after one of their safety meetings held quarterly and consulted when the priority has bearing on how they execute their duties.

Safety Communication

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

Ames Transit Agency has a strong and effective safety communication platform for general distribution and individual response. Ames Transit Agency posts detours and memos with information for drivers to review each day at check-in. The minutes of KSC Meetings are posted in the break room and on computers that operators may access before or after their shifts. Changes to operating procedures and policies are communicated via memo. Immediate emergencies are broadcast from dispatch via radio. The internal newsletter will be utilized as another avenue for communicating SMS information.

Individual employees who express a safety concern via the Online Suggestion Box are answered by the CSO or an Operations Manager through individual conversation. This two-way conversation is documented using an electronic database and the Safety Risk Register when appropriate. For many of these issues, documentation should be as concise as the statement, "I talked to NAME about CONCERN (identify concern), issue resolved."

Some activities from the HIRAM process may result in partial mitigation, no mitigation, or unintended consequences. If the mitigation process does not completely resolve the issue, the hazard will be incorporated into training, either in initial operator training or in Fall and Spring Meetings.

Safety Culture

Ames Transit Agency is committed to enhancing its current Safety Culture with continuous education and development of safety protocols and procedures that improve safety performance. The safety culture has significant involvement of transit drivers, dispatchers, maintenance employees, and support personnel. Affirming the Four Priorities of Safety, Teamwork, Value-Added Service, and Maintaining the Schedule will be central to sustaining our employee involvement. A strong and robust safety culture is present in a system that defines protocols and processes safety issues systematically. Collisions, claims, and safety events are analyzed for root causes using standard safety analysis techniques with the goal of reducing repeat events of a similar nature. The safety systems are not a function of individual personalities but result from the collective performance of each individual who creates the overall system performance. A high level of trust between operating employees and the executive management team creates a robust safety culture. The safety program is ingrained at Ames Transit Agency and transitions in employment positions will not change Ames Transit Agency's commitment to safety.

Operations and maintenance employees are encouraged to report safety concerns through formal and informal methodologies without fear of blame or retribution. Unacceptable behaviors that are reckless or endanger other employees or passengers are not tolerated and are defined in the Ames Transit Agency Driver's Manual.

Additional Information

Supporting Documentation

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

Ames Transit Agency will maintain documentation for the ASP and all other referenced information for a minimum of three years after these data are created and be able to produce them for appropriate authorities on request.

KSC bylaws, administrative policies, minutes, deliberations, and initiatives are contained in a separate document. It is a flexible document that may change during each year and reflects organizational changes. It is not used as part of a compliance review with the requirements of CFR Part 673.

Below are the ESRP form and workflow diagram used to identify hazards:

CyRide

Employee Safety Reporting Program

Office Use Only

_____ Date Received
_____ Time Received
_____ Video Archived
_____ Initial Response Sent To Employee
_____ Copy Sent To Assistant Director
_____ Final Summary Sent To Employee

Your Name _____ Date of Observation _____ Time of Observation _____ AM PM

Location of Observed Event/Condition/Incident _____

Complete any applicable fields

Your Run Number _____ Your Bus Number _____ Your Route/Direction _____

Bus Number(s)/Route(s)/Direction(s) of Other CyRide Vehicles Involved _____

Description of Observed Event/Condition/Incident

_____

_____

_____

_____

_____

_____

_____

_____

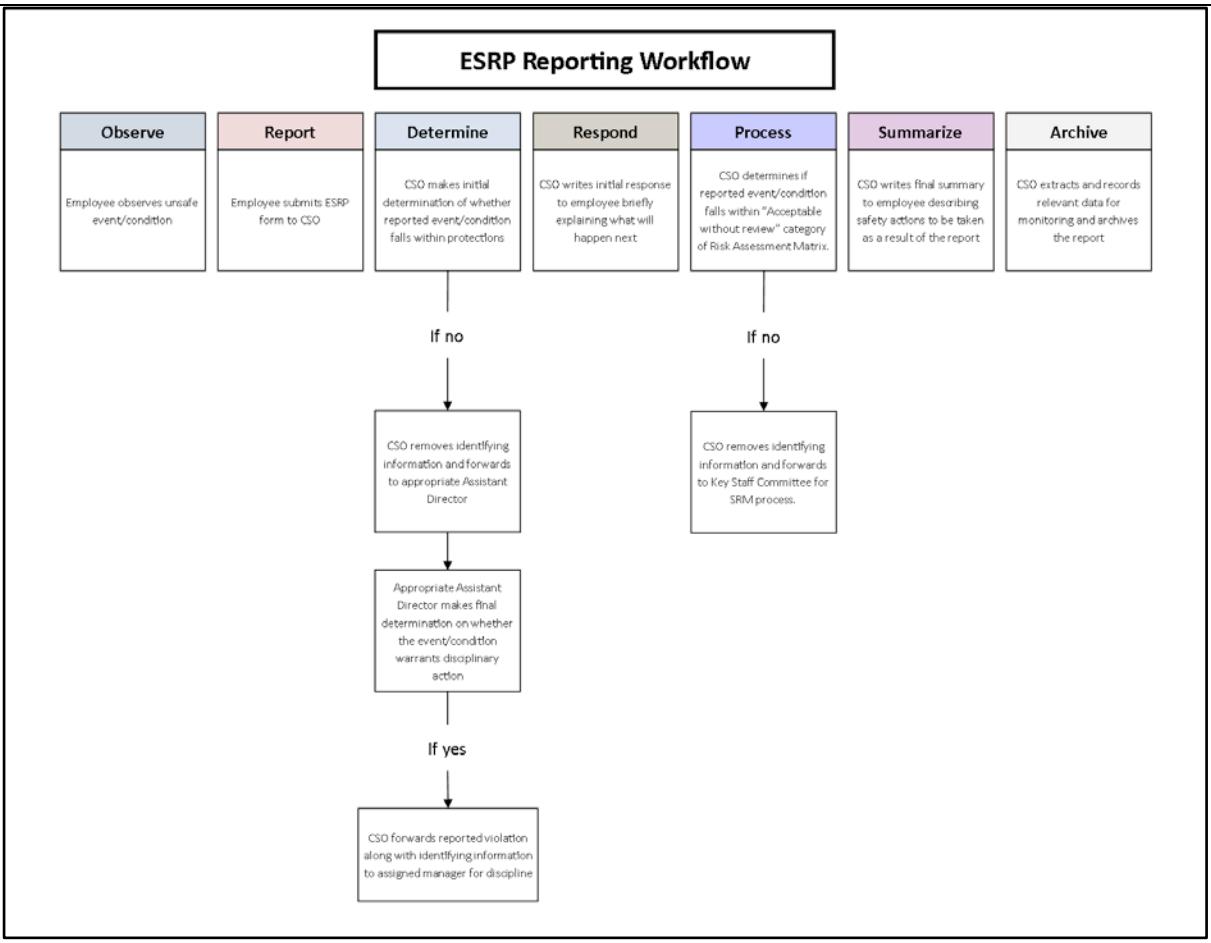
_____

_____

Did you report the event/condition/incident to dispatch or a supervisor? ☐ Yes ☐ No

Did anyone else witness the event/condition/incident? ☐ Yes ☐ No ☐ Unsure

Your Signature _____ Date _____



Below are the risk assessment matrices used in the Risk Assessment phase of the safety plan:

Safety Risk Assessment Matrix

	Safety Risk Assessment Matrix			
Probability \ Severity	Catastrophic 4	Critical 3	Marginal 2	Negligible 1
5 - Frequent	20	15	10	5
4 - Probable	16	12	8	4
3 - Occasional	12	9	6	3
2 - Remote	8	6	4	2
1 - Improbable	4	3	2	1

High	Unacceptable	
Serious	Undesirable	*with management decision required*
Medium	Acceptable	*with review by management*
Low	Acceptable	*without review*

Probability Matrix

Probability	Risk Level	Qualitative Definition	Quantitative Definition	Probability of Occurrence
Frequent	5	Likely to occur frequently in an individual item or the system; may be continuously experienced in fleet	MTTHE<2 mos	p>10-1
Probable	4	Likely to occur several times in the life of an individual item or the system; will occur frequently in fleet	2 mos<MTTHE<1 yr	10-1>p>10-2
Occasional	3	Likely to occur sometime in the life of an individual item or the system; will occur several times in fleet	1yr<MTTHE<10 yrs	10-2>p>10-3
Remote	2	Unlikely but possible to occur in the life of an individual item or the system; unlikely but can be expected to occur in fleet	10 yr<MTTHE<100 yrs	10-3>p>10-6
Improbable	1	So unlikely that it can be assumed occurrence may not be experienced in the life of an individual item or the system; unlikely but possible to occur in the fleet	MTTHE>100 yrs	10-6>p

Severity Matrix

Description	Severity Level	Criteria
Catastrophic	4	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact that violates law or regulation, or monetary loss equal to or exceeding $250,000
Critical	3	Could result in one or more of the following: permanent partial disability, injuries or occupational illness that may result in hospitalization of at least one person, property damage exceeding $25,000 but less than $250,000, or reversible significant environmental impact causing a violation of law or regulation
Marginal	2	Could result in one or more of the following: injuries or occupational illness that may result in one or more lost work day(s), reversible moderate environmental impact without violation of law or regulation, or monetary loss up to $25,000
Negligible	1	Could result in one or more of the following: injury or occupational illness not resulting in a lost workday, minimal environmental impact, or monetary loss less than $25,000K

Below is the Safety Risk Register used to record risks and mitigation plans/objectives:

Safety Risk Register

Ref. No.	Risk Description	Date raised/ reviewed	Potential consequences	Inherent risk (before mitigation) 1=Low, 5=high Likelihood (L) 1-5	Consequence (C) 1-4	Inherent Risk (L × C)	Safety Risk Management	Safety Assurance	Residual Risk (remaining risk after mitigations have been applied) Likelihood (L) 1-5	Consequence (C) 1-4	Inherent Risk (L × C)	Risk owner
1	Pedestrians crossing Stange across traffic to try to catch southbound bus	6/3/2020	Vehicles collide when making unsafe maneuver to avoid striking pedestrian	2	3	6	Have drivers encourage riders observed crossing dangerously not to do so for their own protection. OR Take away bus stop. OR	Observations, KSC Review	1	3	3	Asst. Dir. Ops.
1a	Pedestrians crossing Stange across traffic to try to catch southbound bus	6/3/2020	Pedestrian is struck by other vehicles or bus	2	4	8	Have drivers encourage riders observed crossing dangerously not to do so for their own protection. OR Take away bus stop. OR	Observations, KSC Review	1	4	4	Asst. Dir. Ops.
2	Passengers Boarding through rear doors and falling/bus pulls away while the passenger is close to bus	6/22/2020	Possible injury to passenger if bus pulls away from stop while passenger stands there.	3	3	9	Stop boarding through rear doors. OR train drivers via memo to double check rear doors at each of their stops. OR . . .	Check for compliance through observation and random video surveillance.	2	3	6	Asst. Dir. Ops.
3	Setting up verses not setting up turn onto 6th Street.	6/22/2020	Possible collision/injury with vehicles on either Duff or 6th Street.	2	3	6	Change setting up policy so that buses wait for a clear oncoming turn lane on 6th Street. OR Change the route to proceed down to 5th Street westbound. OR (fill in other options - increased training on set up turns,)	Ask drivers to report (via memo and resulting ESRP forms) close calls so that we can monitor whether there is a safety issue with the right onto 6th from Duff/Monitor selected video, make observations from checkrides	1	3	3	Asst. Dir. Ops.
4	Passenger deboarding Blue South and cutting in front of bus being struck by cars in the left lane of University.	6/23/2020	Injury or fatality of passenger	2	4	8	Educate riders via non-confrontational means to avoid crossing in-front of buses. AVA could be utilized for this purpose. OR have drivers encourage riders to not cross dangerously for their own protection	Observations, KSC Review	1	3	3	Asst. Dir. Ops.
5	Driver becomes infected with COVID-19 because of exposure while driving overly full bus.	6/23/2020	Driver illness, missed workdays, possible long term health issues possibly leading to death especially for those with underlying health issues.	5	4	20	Rear door entry, plastic barrier for drivers, masks, trying to maintain air flow through buses through use of open windows, encouraging sanitizing measures (handwashing, providing access to effective disinfectants); enabling employees to take leave if they have an increased risk such as an underlying health condition	Monitor adherence to cleaning and other sanitary procedures (how often? Via video?)	4	2	8	Asst. Dir. Ops. & Asst. Dir. F&F
6	Brake failure (180s last winter) due to slick/wet/icy conditions.	7/17/2020	Brakes malfunctioning and not performing as they ought to. Preventative measure?	2	4	8	Remove effected vehicle from service and determine root cause of problem	Observations, KSC Review	1	4	4	Asst. Dir. F&F

Risk Level Key
Red = High/Unacceptable Risk (12-20)
Gold = Serious/Undesirable Risk (8-11)
Yellow = Medium/Acceptable with Review (4-7)
Green = Acceptable without Review (1-3)

Definitions of Special Terms Used in the ASP

Term	Definition
In-Service Training	Second phase of training where trainees drive routes and pick up passengers while being observed by an Ames Transit Agency instructor who normally drives the shift, there are different instructors each shift
Out-of-Service Training	First phase of training where trainees learn to drive the bus, obtain CDL, and are taught expectations for defensive driving, hazard perception, and awareness of the differences between driving a transit bus and driving a personal vehicle
Safety First	Priority instilled from day one in the organization that safety is Ames Transit Agency's primary objective and drives decision-making for drivers on the road, dispatchers deciding whether or not to switch out a bus, managers making personnel and discipline decisions, and maintenance personnel actions

List of Acronyms Used in the ASP

Acronym	Word or Phrase
AE	Accountable Executive
AAMPO	Ames Area Metropolitan Planning Organization
ASP	Agency Safety Plan
CDL	Commercial Driver's License
CSO	Chief Safety Officer
DOT	Department of Transportation
ESRP	Employee Safety Reporting Program
EEO	Equal Employment Opportunity
FTA	Federal Transit Administration
HIRAM	Hazard Identification, Risk Assessment, and Mitigation Approach to SRM
KSC	Key Staff Committee
LRTP	Long Range Transportation Plan
MAP-21	Moving Ahead for Progress in the 21st Century Act
NTD	National Transit Database
NTI	National Transit Institute
NTSB	National Transportation Safety Board
OSHA	Occupational Safety and Health Administration
SMS	Safety Management System
SRM	Safety Risk Management
SRR	Safety Risk Register
TAM	Transit Asset Management
TSI	Transportation Safety Institute
VRM	Vehicle Revenue Miles

October 28, 2020
COVID-19 Research Demonstration Program Grant
CyRide Resource: Shari Atwood, Keith Wilbur

BACKGROUND: On October 5, 2020, the Federal Transit Administration (FTA) announced the availability of $10 million in grant funding through a new Public Transportation COVID-19 Research Demonstration Program, with applications due no later than November 2, 2020.

Funding through this program will support research demonstration grants for public transit agencies to develop, deploy, and demonstrate innovative solutions that improve the operational efficiency of transit agencies, as well as enhance the mobility of transit users affected by the COVID-19 public health emergency. Eligible projects will demonstrate innovative solutions in four major areas including:

1) Vehicle, facility, equipment and infrastructure cleaning and disinfection,
2) Exposure mitigation measures,
3) Innovative mobility such as contactless payments, and
4) Measures that strengthen public confidence in transit services.

CyRide proposes requesting funding from this competitive grant opportunity to deploy Automatic Passenger Counters (APCs) across the entire large bus fleet. This technology counts the number of passengers boarding and alighting at every stop, allowing for live occupancy counts visible to both internal and external customers. This equipment is already installed on 11 buses in the CyRide fleet.

This technology would improve how CyRide deploys its service and responds to overcrowding. Under CyRide 2.0 previously defined “extra” trips were added to the published schedule. The intent was to have more published trips in the schedule so passengers could help redistribute heavy loads and reduce overcrowding. However, due to budget constraints the technology to make this fully successful was not incorporated into the redesign. Currently, we rely on manual methods of generating passenger data which are not available the same day and do not record per-stop ridership. With APC technology every person that boards and alights can be recorded, simplifying data collection, and reducing cost.

In addition to data collection efficiencies, the biggest advantage to deploying APCs systemwide would be providing transparency to passengers living in Ames. Passengers would be able to view the current space available on a bus on their smartphones and web browsers. This would allow passengers to pick the trips that best meet their needs. This is important to CyRide’s long term success to reduce overcrowding and shifting ridership patterns but is also equally important during the COVID-19 pandemic for passengers wanting to be more socially distanced.

As the Ames community rebounds back from this pandemic and returns to normal passenger levels, this type of information would be a powerful tool to increase efficiency. Encouraging passengers to ride less crowded trips was part of the CyRide 2.0 redesign philosophy, where we asked our passengers to spread out their rides to other trips throughout the hour, as opposed to taking the bus that arrived on campus just before class. Adding APCs and having real-time knowledge of capacity would put the passengers in

charge of their trips, allow them the ability to choose alternative times, and help increase confidence in riding CyRide during this pandemic and beyond.

The grant could provide all the funding needed for this project at a 100% federal share, but the recommendation is that CyRide submit this application with a 10% local match to increase the chances of receiving a grant award. CyRide has $75,000 in local funding already committed in the FY 2021 Capital Improvement Plan under “bus technology” to equip APCs on some buses. This grant opportunity would leverage those local dollars to deploy APCs across the entire fleet.

If approved, CyRide would need to hire an independent evaluator for our project. Specifically, FTA is mandating a “contract with a third-party independent evaluator to assist in developing an evaluation plan, and collecting, storing and managing data required to fulfill the evaluation requirement.” According to the grant parameters, this independent evaluation cost cannot be more than 10% of the federal share of the project. This evaluation requirement has increased the grant request by approximately $43,568 total ($39,225 federal; $4,358 local) since the initial request to the Transit Board via email; this updated amount is still within the quantity allocated for bus technology in the CIP.

CyRide’s request would be to fund 78 buses at a total cost of $527,651 with the independent evaluation included in this per bus cost. FTA does require submissions to be scalable if the award amount is lower than requested. CyRide would request the funding award be in increments of $6,765 with a minimum of 20 and a maximum of 78 APCs. The table below provides some variation of the local commitment for the quantity of APCs.

Quantity of APCs	APC Cost	Independent Evaluation	Total Cost (100%)	Federal Share (90%)	CyRide Local Share (10%)
20	$124,124	$11,171	$135,295	$121,766	$13,530
30	$186,186	$16,757	$202,943	$182,648	$20,294
40	$248,248	$22,342	$270,590	$243,531	$27,059
50	$310,310	$27,928	$338,238	$304,414	$33,824
60	$372,372	$33,513	$405,885	$365,297	$40,589
70	$434,434	$39,099	$473,533	$426,180	$47,353
78	**$484,068**	**$43,568**	**$527,651**	**$474,886**	**$52,765**

FTA may approve applications that include specifically identified organizations as project partners. CyRide has a relationship with the real-time passenger information vendor, Syncromatics, providing APC integration on the existing equipment. CyRide has also worked previously with Nelson Nygaard, who helped to design the current transit system. As such, CyRide plans to include Syncromatics and Nelson Nygaard as project partners within the grant. If approved, Syncromatics would supply the APC hardware and manage the project installation while Nelson Nygaard would conduct the required independent project evaluation as required by the grant.

ALTERNATIVES:

1. Approve submitting a Public Transportation COVID-19 Research Demonstration Program grant by November 2, 2020 in the amount of $527,651 ($474,886 federal funding and $52,765 local funding) for the purchase, installation & deployment of automatic passenger counters throughout the fleet and the required independent project evaluation.

2. Do not approve submission of a grant to support deployment of APCs throughout the fleet.

RECOMMENDATION:

The Transit Director recommends Alternative #1, to approve submitting a Public Transportation COVID-19 Research Demonstration Program grant to deploy APCs throughout the fleet and conduct an independent project evaluation. This technology will reduce the need for manual data collection and provide both internal and external customers with real time trip capacity information. CyRide can leverage already committed FY 2021 capital dollars to fund this technology.

October 28, 2020
Suspension and Debarment FY 19 Audit Finding
CyRide Resource: Rob Jennings, Shari Atwood, Barbara Neal

BACKGROUND:

Federal purchases are subject to a variety of regulations, including a requirement that contract awards must not be made to parties that are suspended or debarred, as listed on a government-wide System for Award Management (SAM) exclusion list. CyRide performs a check against this database and documents the results when making federal purchases covered by these rules.

During the FY 2019 City of Ames single audit, the auditor noted one vendor CyRide purchased from did not have documentation to support whether the contractor was suspended or debarred. Upon further investigation, CyRide learned that the issue involved a purchase with Diamond Oil for CyRide's locally financed fuel contract. The auditor considered the fuel contract to be a federal purchase because CyRide receives federal financing for operating expenses.

CyRide has historically documented with the Federal Transit Administration (FTA) that all $2.4 million in federal operating assistance funding is applied exclusively to the $7 million spent on wages. CyRide believes the fuel contract to be a local purchase funded exclusively by the CyRide funding partners, and therefore there is no requirement to document a suspension and debarment check. While this check is not difficult to perform, if every operational contract or purchase above $25,000 were federalized, CyRide will be exposed to a significant number of additional regulations that would create major administrative burdens on both the organization and vendors doing business with CyRide.

Due to recent staff changes, this item was not addressed with the Finance Department on a timely basis, and there is the possibility that CyRide will receive a similar finding in the FY 2020 single audit or this may be an area of concern in the upcoming FTA Triennial Review. FTA Region VII staff recommended that CyRide have the Finance Department modify the item description of the federal funding to be "salaries only" to document this allocation of funds for future audits, and CyRide is working with the Finance Department to modify the federal funding line within the budget.

CyRide will continue communicating with the Finance Department and FTA to resolve this situation and will bring additional information to the Transit Board in future meetings.

No formal Transit Board action is needed on this item.

October 28, 2020
FY 20 Preliminary Operations Fund Closing Balance
CyRide Resource: Rob Jennings, Barbara Neal

BACKGROUND: The Transit Board has an established policy that the operating fund closing balance should be between 7% and 10% of operating expenses. Funds in excess of the maximum percentage can be considered for reprogramming to meet additional operating or capital needs.

Final operating expenses and the operating fund closing balance will be available at the close of the City of Ames's audit process, anticipated in December 2020. The following unaudited estimates are currently available. CyRide and the Finance Department are estimating the FY 20 operations fund closing balance will be approximately $5,913,645; however, the board has made commitments of these fund dollars as reflected in the table below.

Operations Fund Activity	Dollars
Unaudited Operations Fund Closing Balance	**$5,913,645**
2020-2021 Federal Funds*	($2,400,000)
10% Reserved for Operating Expenses for FY 20	($1,054,179)
Board Commitment to Low No Grant BEB Local Match	($495,620)
Anticipated Uncommitted Closing Balance	**$1,963,922**

** These funds are needed for cash flow purposes, as federal funds are received after the budget year has been completed.*

There are a significant number of variables that could have a major financial impact on future budget years. These include potential losses in STIC funding, funding reductions from census undercounting, decreases in student enrollment, general reductions in state or federal funding, and other sources of uncertainty caused by the pandemic. CyRide recommends deferring the commitment of the operations fund balance above the 10% threshold with the exception of using a portion of the uncommitted funds during the budgeting process as follows:

- Reducing the percentage increase to the local funding partners,
- Reserve the funds necessary for 10% of operating expenses for the FY 22 budget year,
- Offset additional local funding needed for capital commitments.

CyRide has prepared the attached 5-year pro forma financial statement, detailing both operating and capital, to provide a longer-term look at the revenues and expenses necessary to fund CyRide. The pro forma assumes local funding partners can meet their current financial commitments. Staff are currently preparing FY 22 anticipated revenues and expenses through the budgeting process; capital and operating expenses were projected forward for FY 2023–2026.

The purpose of bringing the fund balance to the Transit Board is to get guidance as CyRide prepares for the budgeting process next month. After the final audit is completed for the 2019-2020 budget year, the audited operating closing balance will be reported to the Transit Board.

No formal Transit Board action is needed at this time.

BUDGET ANALYSIS - 2020 Actual, 2021 Amended, 2022 Requested

FY2021 & FY2022 5307 Dollars $2,400,000, Adjusted Fixed Route Wages FY2021 (-$237,664), Transfer Closing Balance $493,922

10/20/2020

10/20/20 4:09 PM		16-17 Actual	17-18 Actual	18-19 Actual	19-20 Adopted	19-20 Amended	19-20 Final	19-20 Actual	20-21 Adopted	20-21 Amended	21-22 Requested
FIXED ROUTE											
550-1221	Operations	$6,167,454	$6,455,736	$6,436,100	$6,997,287	$6,683,059	$6,757,495	$6,238,273	$6,889,732	$6,682,068	$7,157,149
550-1222	Maintenance	$2,100,140	$2,235,050	$2,369,916	$2,725,726	$2,751,020	$2,751,020	$2,196,101	$2,769,162	$2,769,162	$2,842,039
550-1207	COVID19 Response										
FIXED ROUTE TOTAL		**$8,267,596**	**$8,690,785**	**$8,806,064**	**$9,723,013**	**$9,434,079**	**$9,508,515**	**$8,434,374**	**$9,658,894**	**$9,451,230**	**$9,999,188**
DIAL-A-RIDE											
550-1341	Operations	$163,968	$179,851	$160,672	$182,139	$182,139	$182,139	$154,967	$183,691	$183,740	$184,315
550-1342	Maintenance	$0	$0					$0		$0	$0
DIAL-A-RIDE TOTAL		**$163,969**	**$179,851**	**$160,679**	**$182,139**	**$182,139**	**$182,139**	**$154,967**	**$183,691**	**$183,740**	**$184,315**
ADMINISTRATION/SUPPORT											
550-1101	Administration	$1,135,853	$1,147,601	$1,405,819	$1,369,642	$1,304,676	$1,304,676	$1,167,250	$1,354,796	$1,354,796	$1,420,319
550-1102	Safety/Training	$342,835	$363,673	$366,487	$447,863	$450,152	$450,152	$397,887	$465,160	$465,160	$482,105
550-1103	Promotion	$4,392	$6,613	$2,565	$10,150	$10,150	$10,150	$1,741	$10,250	$10,250	$10,250
550-1105	Bldg/Grounds	$404,547	$436,948	$386,302	$386,064	$389,684	$389,684	$366,200	$410,615	$414,115	$438,622
550-1107	COVID19 Response										
ADMIN/SUPPORT TOTAL		**$2,012,630**	**$1,954,835**	**$2,161,204**	**$2,213,719**	**$2,154,662**	**$2,154,662**	**$1,933,078**	**$2,240,821**	**$2,244,321**	**$2,351,296**
TOTAL OPERATING EXPENSES		**$10,444,195**	**$10,825,472**	**$11,127,947**	**$12,118,870**	**$11,770,880**	**$11,845,316**	**$10,522,419**	**$12,083,406**	**$11,879,292**	**$12,534,799**
TRANSFER TO SG TRUST		$83,579	$74,755	$226,455				$464,178			
TRANSFER TO CAPITAL FUND		$1,315,166	$460,000	$800,000	$800,000	$800,000	$800,000	$902,520	$800,000	$800,000	$800,000
TOTAL USED		**$11,842,940**	**$11,360,227**	**$12,154,402**	**$12,918,870**	**$12,570,880**	**$12,645,316**	**$11,889,117**	**$12,883,406**	**$12,679,292**	**$13,334,799**
OPENING BALANCE		$1,570,232	$3,569,931	$4,306,970	$4,842,009	$4,842,009	$4,842,009	$4,842,009	$1,548,025	$1,548,025	$1,744,584
OPERATING REVENUE		$13,868,574	$12,107,961	$12,716,242	$12,860,173	$12,780,173	$12,780,173	$12,960,753	$12,849,349	$12,875,850	$12,842,000
TOTAL AVAILABLE		**$15,438,806**	**$15,677,892**	**$16,996,411**	**$17,702,182**	**$17,622,182**	**$17,622,182**	**$17,802,762**	**$14,397,374**	**$14,423,875**	**$14,586,584**
Committed Funds								$2,895,620			
Closing Balance Excess of 10%								$1,470,000			
CLOSING BALANCE		**$3,569,931**	**$4,317,665**	**$4,842,009**	**$4,783,311**	**$5,051,302**	**$4,976,866**	**$1,548,025**	**$1,513,968**	**$1,744,584**	**$1,251,785**
Closing/Operating Total		34.2%	39.9%	43.5%	39.5%	42.9%	42.0%	14.7%	12.5%	14.7%	10.0%
REVENUE/EXPENSE RATIO		132.8%	111.8%	114.3%	106.1%	108.6%	107.9%	123.2%	106.3%	108.4%	102.5%

CyRide 5 Year Pro Forma FY2022 & FY2023 0% Increase

CARES Funds ($6M in FY2021 & $1M in FY2022, 5307 Funds to Capital in FY2021)

Operations	FY20	Incr.	FY21	Incr.	FY22	Incr.	FY23	Incr.	FY24	Incr.	FY25	Incr.	FY26
Beginning Balance	**$ 4,842,009**		**$ 1,655,459**		**$ 4,786,615**		**$ 5,370,268**		**$ 4,719,779**		**$ 3,851,059**		**$ 2,797,151**
State Operating	$ 861,901	2.0%	$ 800,000	0.0%	$ 800,000	0.0%	$ 800,000	0.0%	$ 800,000	0.0%	$ 800,000	0.0%	$ 800,000
FTA Operating	$ 2,494,129	0.0%		0.0%	$ 2,400,000	0.0%	$ 2,400,000	0.0%	$ 2,400,000	0.0%	$ 2,400,000	0.0%	$ 2,400,000
CARES Monies			$ 6,000,000		$ 1,028,000								
ISU Administration	$ 874,804	2.2%	$ 893,621	0.0%	$ 893,621	3.0%	$ 920,430	3.0%	$ 948,043	3.5%	$ 981,224	4.0%	$ 1,020,473
City	$ 1,977,672	2.2%	$ 2,037,720	0.0%	$ 2,037,720	3.0%	$ 2,098,852	3.0%	$ 2,161,817	3.5%	$ 2,237,481	4.0%	$ 2,326,980
Student Government	$ 5,151,404	0.0%	$ 5,741,846	0.0%	$ 5,741,846	3.0%	$ 5,914,101	3.0%	$ 6,091,524	3.5%	$ 6,304,728	4.0%	$ 6,556,917
SG Trust Fund Transfer	$ 297,097												
Transit Contracts	$ 263,355	3.0%	$ 293,023	3.0%	$ 288,173	0.0%	$ 288,173	0.0%	$ 288,173	0.0%	$ 288,173	0.0%	$ 288,173
Farebox	$ 173,650	0.0%	$ 227,000	-3.5%	$ 203,000	-3.5%	$ 195,895	-3.5%	$ 189,039	-3.5%	$ 182,422	-3.5%	$ 176,038
Advertising	$ 241,196	0.0%	$ 250,000	0.0%	$ 250,000	0.0%	$ 250,000	0.0%	$ 250,000	0.0%	$ 250,000	0.0%	$ 250,000
DOT/MPO/Int./Misc	$ 143,448	0.0%	$ 108,000	0.0%	$ 108,000	0.0%	$ 108,000	0.0%	$ 108,000	0.0%	$ 108,000	0.0%	$ 108,000
Operating Revenues	**$ 12,478,656**	**31.0%**	**$ 16,351,210**	**-15.9%**	**$ 13,750,360**	**-5.6%**	**$ 12,975,451**	**2.0%**	**$ 13,236,596**	**2.4%**	**$13,552,028**	**2.8%**	**$13,926,580**
Wages	$ 6,132,197	2.8%	$ 6,432,278	2.8%	$ 6,863,784	3.0%	$ 7,069,698	3.0%	$ 7,281,788	3.0%	$ 7,500,242	3.0%	$ 7,725,249
Normal Growth	$ -	2.8%	$ -	2.8%	$ -	2.8%	$ -	2.8%	$ -	2.8%	$ -	2.8%	$ -
Benefits (no Health Ins.)	$ 1,168,289	2.8%	$ 1,279,369	2.8%	$ 1,369,489	3.0%	$ 1,410,574	3.0%	$ 1,452,891	3.0%	$ 1,496,478	3.0%	$ 1,541,372
Health Insurance	$ 753,115	8.0%	$ 784,669	8.0%	$ 823,903	9.0%	$ 898,054	9.0%	$ 978,879	9.0%	$ 1,066,978	9.0%	$ 1,163,006
Payroll	**$ 8,053,601**	**5.5%**	**$ 8,496,316**	**6.6%**	**$ 9,057,176**	**3.5%**	**$ 9,378,325**	**3.6%**	**$ 9,713,558**	**3.6%**	**$10,063,698**	**3.6%**	**$10,429,628**
Internal Services	$ 321,528	2.4%	$ 354,386	2.4%	$ 376,461	2.4%	$ 385,496	2.4%	$ 394,748	2.4%	$ 404,222	2.4%	$ 413,923
Insurance	$ 269,220	5.0%	$ 286,540	5.0%	$ 308,360	5.0%	$ 323,778	5.0%	$ 339,967	5.0%	$ 356,965	5.0%	$ 374,814
Contractual	$ 649,643	4.4%	$ 950,092	4.4%	$ 959,910	4.4%	$ 1,002,146	4.4%	$ 1,046,240	4.4%	$ 1,092,275	4.4%	$ 1,140,335
Commodities (no fuel)	$ 496,046	3.0%	$ 557,100	3.0%	$ 592,300	3.0%	$ 610,069	3.0%	$ 628,371	3.0%	$ 647,222	3.0%	$ 666,639
Fuel	$ 607,028	5.0%	$ 1,070,000	5.0%	$ 1,072,500	5.0%	$ 1,126,125	5.0%	$ 1,182,431	5.0%	$ 1,241,553	5.0%	$ 1,303,630
Services/Commodities	**$ 2,343,465**	**37.3%**	**$ 3,218,118**	**2.8%**	**$ 3,309,531**	**4.2%**	**$ 3,447,614**	**4.2%**	**$ 3,591,758**	**4.2%**	**$ 3,742,237**	**4.2%**	**$ 3,899,341**
Operating Expenses	**$ 10,397,066**	**12.7%**	**$ 11,714,434**	**5.6%**	**$ 12,366,707**	**3.7%**	**$ 12,825,940**	**3.7%**	**$ 13,305,316**	**3.8%**	**$13,805,935**	**3.8%**	**$14,328,969**
Capital Transfer	$ 902,520		$ 1,505,620		$ 800,000		$ 800,000		$ 800,000		$ 800,000		$ 800,000
Committed Funds	$ 2,895,620												
Above 10% Closing Balance	$ 1,470,000												
Ending Balance	$ 1,655,459		$ 4,786,615		$ 5,370,268		$ 4,719,779		$ 3,851,059		$ 2,797,151		$ 1,594,763
	15.9%		40.9%		43.4%		36.8%		28.9%		20.3%		11.1%
Capital													
Beginning Balance	**$ 1,985,631**		**$ 1,396,280**		**$ 474,814**		**$ 79,300**		**$ 2,382**		**$ 3,397**		**$ 3,906**
State/Federal	$ 1,136,072		$ 6,934,145		$ 2,581,530		$ 3,084,484		$ 2,226,940		$ 3,181,363		$ 3,273,694
ISU Parking	$ 17,000		$ 17,000		$ 17,000		$ 17,000		$ 17,000		$ 17,000		$ 17,000
Interest	$ 34,970		$ 7,000		$ 7,000		$ 7,000		$ 7,000		$ 7,000		$ 7,000
Capital Transfer	$ 902,520		$ 905,620		$ 800,000		$ 800,000		$ 800,000		$ 800,000		$ 800,000
GSB Transfer													
Capital Revenues	**$ 2,090,562**		**$ 7,863,765**		**$ 3,405,530**		**$ 3,908,484**		**$ 3,050,940**		**$ 4,005,363**		**$ 4,097,694**
Building	$ 615,576		$ 781,140		$ 468,920		$ 750,000		$ 750,000		$ 750,000		$ 750,000
HIRTA Van													
HIRTA Bus													
Buses (Grants)			$ 7,031,977		$ 2,695,024		$ 3,001,002		$ 1,975,525		$ 2,885,454		$ 3,000,868
Buses (Local)													
Bus Stop Shelters									$ 60,000		$ 60,000		$ 60,000
Annunciators / AVL	$ 836,466				$ 126,700								
AVL (Local)	$ 23,172		$ 100,000										
Facility Improvements - Exterior					$ 75,000								
Facility Improvements - Interior			$ 20,000										
Shop Equipment	$ 819		$ 50,000		$ 50,000		$ 50,000		$ 50,000		$ 50,000		$ 50,000
Shop Truck	$ 29,263		$ 22,791										
Computers/ Office Equipment	$ 13,072		$ 32,011		$ 20,400		$ 14,400		$ 14,400		$ 14,400		$ 14,400
Support Vehicle			$ 90,000		$ 30,000		$ 30,000		$ 30,000		$ 30,000		$ 30,000
Bus Technology	$ -		$ 75,000		$ 75,000		$ 50,000		$ 50,000		$ 50,000		$ 50,000
Bus Mid-Life Rehabilitation	$ -		$ 30,000		$ 30,000				$ 30,000		$ 50,000		$ 50,000
A&E Services	$ 34,002		$ 35,000		$ 50,000		$ 50,000		$ 50,000		$ 50,000		$ 50,000
Concrete	$ 62,688		$ 127,312		$ 40,000		$ 40,000		$ 40,000		$ 40,000		$ 40,000
Concrete (Shelters)	$ -		$ 25,000		$ 25,000				$ -		$ 25,000		$ -
Bus Stop Signs													
Flood Pumps	$ -												
HR Software													
Electric Hoist													
Security System (Building)			$ 200,000										
Radios	$ 341,010												
Maint. Software			$ 50,000										
Facility Technology	$ 1,573		$ 50,000		$ 20,000								
EIFS Coating													
Safety Software					$ 20,000								
Protection Rails (Artic Buses)					$ 75,000								
Kronos	$ 7,106												
Air Compressor (Shop)			$ 25,000										
Forklift			$ 40,000										
Capital Expenses	**$ 1,964,747**		**$ 8,785,231**		**$ 3,801,044**		**$ 3,985,402**		**$ 3,049,925**		**$ 4,004,854**		**$ 4,095,268**
Building Reserve	$ 715,166												
Ending Balance	$ 1,396,280		$ 474,814		$ 79,300		$ 2,382		$ 3,397		$ 3,906		$ 6,332

October 28, 2020
Battery Electric Bus Project Update and Local Match
CyRide Resource: James Rendall, Shari Atwood, Keith Wilbur

BACKGROUND: In July 2019, CyRide was awarded nearly $1.66 million in federal funding from the Federal Transit Administration (FTA), out of the Low or No Emission (Lo-No) Grants Program, to utilize toward the purchase of battery-electric buses (BEBs) and necessary infrastructure. In August 2020, CyRide was also awarded $390,000 from Iowa's Volkswagen (VW) Settlement grant funding to help offset the local cost of this project. During the initial commitment of the local match for the Low-No grant, CyRide informed the Transit Board that CyRide's local share for the project would be reduced from $495,620 to $105,620 if VW funding was awarded. Below are the specifics of the full funding award and current commitments.

Item	Est. Tot. Cost	Low/No Grant	VW Grant	Ames Electric	CyRide Share
Depot Charging Station and Dispensers	$140,000	$112,000	$20,000	$0	$8,000
Spare Parts and Tools	$50,000	$40,000	$0	$0	$10,000
Facility Construction (From Transformer to Charging/Dispensing Stations)	$152,200	$129,370	$0	$0	$22,830
Transformer	$22,000	$0	$0	$22,000	$0
Engineering Design/Construction	$48,000	$40,800	$0	$0	$7,200
Two 40' Electric Buses ($805,000 ea.)	$1,610,000	$1,240,000	$370,000	$0	$20,000
Mechanic / Driver Training	$10,600	$9,010	$0	$0	$1,590
Consultant – Deployment Consultation / Reporting	$145,000	$116,000	$0	$0	$29,000
Total Cost	**$2,177,800**	**$1,660,180**	**$390,000**	**$22,000**	**$105,620**
Percent		**76%**	**18%**	**1%**	**5%**

The Low-No grant award allowed CyRide to work with a consultant for deploying this project. CyRide has been coordinating with the Center for Transportation & the Environment (CTE) since April 2020 regarding the bus procurement and project deployment. Most of the work thus far has been toward the analysis of bus manufacturers and out of state procurement possibilities.

Specifically, CTE identified several out-of-state procurements as allowed under the FAST Act[1]. This enables CyRide to purchase electric buses from other state competitive procurements with Low-No federal funding. CyRide has previously utilized the Iowa DOT Public Transit Bureau's state bus contract to purchase 40-foot heavy duty Gillig buses and purchasing from another out-of-state contract would be

[1] https://www.congress.gov/114/bills/hr22/BILLS-114hr22enr.pdf - see "Sec. 3019 Innovative Procurement" (b)(B)(i)language on digital page 177 which states: *"a grantee may participate in a cooperative procurement contract without regard to whether the grantee is located in the same State as the parties to the contract."*

similar in nature. The Iowa DOT did not solicit bids for BEBs within their procurement process, therefore utilizing the Iowa DOT for the BEB purchase is not a possibility. Using an out-of-state contract will likely allow lower pricing than if CyRide were to conduct its own procurement.

CTE identified several state cooperative procurements (California, Georgia, and Virginia) that CyRide could use for the BEB purchase. Of the available state procurements CyRide selected Virginia, since it has contracts with four original equipment manufacturers (OEMs) including Proterra, Gillig, New Flyer, and NOVA. While the Low-No funding will allow this “out of state” procurement process per the FAST Act, CyRide requires official approval from the Iowa DOT’s Department of Administrative Services (DAS) to utilize the Iowa’s Volkswagen (VW) Settlement state funding with Virginia’s procurement contracts. Justification has been submitted to the Iowa DOT and CyRide is awaiting formal approval from DAS before proceeding with an award process to the Transit Board.

While waiting for the Iowa DOT DAS approval, CyRide received preliminary quotes from three of the bus manufacturers based off Virginia’s state procurement for BEBs, including specific “CyRide” options configured into the pricing. The three quotes were $33,000–$49,000 over budget based on CyRide’s per bus budget of $805,000. Furthermore, if the Iowa DOT DAS denies CyRide’s use of the out-of-state Virginia contract, CyRide must quickly develop a request for proposal (RFP) which will likely increase the cost per bus, as two manufacturer sales representatives have already indicated pricing would be higher if CyRide required a response though a RFP. Therefore, the total budget shortfall for the bus pricing is approximately $66,000–$138,000.

Beyond bus pricing, there may be additional budget issues experienced as the project proceeds. In the time since the original project budget was set estimated costs have increased on the electric charging infrastructure, and it is anticipated that there will be higher costs incurred as facility plans and specifications are developed during the construction phase of the project.

To provide sufficient funding for both the vehicles and infrastructure, CyRide recommends keeping the original $495,620 of local commitment from the Transit Board prior to the VW award as a safeguard through the remainder of the project. Alternatively, only the estimated $243,620 for the increase in bus cost could be reserved. Both options shown below include the $105,620 local match minimum requirement.

ALTERNATIVES:

1. Authorize CyRide to move $495,620 ($390,000 + $105,620) from the operations fund closing balance to the capital improvement fund, for use in the battery-electric project.

2. Authorize CyRide to move $243,620 ($138,000 + $105,620) from the operations fund closing balance to the capital improvement budget, for use in the battery-electric project.

3. Direct staff to proceed according to Transit Board priorities.

RECOMENDATION:

The Transit Director recommends approval of Alternative #1. Proceeding with movement of funds as identified from the closing balance to capital will allow the battery-electric bus project to proceed forward without interruption.

October 28, 2020
CARES Act Funding
CyRide Resource: Shari Atwood, Rob Jennings, Barbara Neal

BACKGROUND: The Coronavirus Aid, Relief, and Economic Security (CARES) Act was signed into law on March 27, 2020, allocating $25 billion to public transit. Following Transit Board approval, CyRide applied for and was awarded $7,028,297 from this source. These dollars are provided at a 100% federal share with no local match required, and are available to support capital, operating, and other expenses generally eligible under Section 5307. Due to the need to promptly obligate the CARES Act funding, as well as the uncertainty surrounding the length of the pandemic, we recommended and the board approved programming the entire apportionment toward operating expenses.

The CARES Act funding can be used for expenses occurring after January 20, 2020, and there is no required period to use the funding. Nonetheless, the Federal Transit Administration (FTA) does encourage grantees to spend funds expeditiously to respond to local needs and is requiring documentation in the upcoming triennial review on how CARES funding is being utilized.

In addition to the special CARES Act funding, CyRide receives other Section 5307 formula dollars, estimated to total $2,400,000. In previous years, this funding has been applied toward the cost of wages within CyRide's operating expenses. When used for operating expenses, this funding is provided at a 50% federal share, requiring a 50% local match.

CyRide is recommending we spend the one-time CARES funding over two budget years, with $6,000,000 in FY 2021 and $1,028,297 in FY 2022, to be applied only toward wages within the operating expenses category. This would free regular Section 5307 funding for other purposes. Additional details are provided in the following table and the attached 5-year pro forma financial statement.

Expenses	FY 2020 Actual	FY 2021 Adopted	FY 2022 Requested	FY 2023 Estimated	FY 2024 Estimated
Fixed Route Wages/Benefits	$5,819,721	$6,204,565	$6,430,861	$6,623,786	$6,822,499
Maintenance Wages/Benefits	$1,162,449	$1,152,731	$1,194,935	$1,230,783	$1,267,706
TOTAL WAGES/BENEFITS	**$6,982,170**	**$7,357,296**	**$7,625,796**	**$7,854,569***	**$8,090,205***
Revenues					
Annual 5307 Apportionment	$2,494,129	$0	$2,400,000	$2,400,000	$2,400,000
Local match requirement 50%	$2,494,129	$0	$2,400,000	$2,400,000	$2,400,000
5307 CARES Apportionment	n/a	$6,000,000	$1,028,297		
Local match requirement 0%		$0	$0		
TOTAL REVENUES **(must be lower than line 3 above)**	**$4,988,258**	**$6,000,000**	**$5,828,297**	**$4,800,000**	**$4,800,000**

** Assumes a 3% increase in wages and benefits*

As shown above, CyRide's annual Section 5307 apportionment would be transferred to capital for FY 2021 only. Upon exhaustion of the reminder of the CARES money in FY22, Section 5307 funding would

again be applied against wages. Moving the FY 21 apportionment for one year would allow much need capital projects, specifically buses, to move forward in the FY 2022 – FY 2026 CIP. When Section 5307 funding is used for capital purchases, the federal share can vary from 80% to 85%. The table below indicates some potential capital projects this federal funding could support, as well as the percentage of federal share.

Project	#	Cost/Item	Federal	Local	Total	Federal Share
Battery Electric Buses	3	$850,000	$2,167,500	$382,500	$2,550,000	85%
Articulated Buses	3	$850,000	$2,167,500	$382,500	$2,550,000	85%
40’ HD Diesel Buses	5	$513,000	$2,180,250	$384,750	$2,565,000	85%
Water Main Replacement Project			$280,000	$70,000	$350,000	80%

The annual Section 5307 apportionment can be used for up to three additional years once appropriated before it reverts to FTA. CyRide would have until September 30, 2024 to file and execute the grant. In addition, we would bring this item back to the Board of Trustees to approval the request to file and execute the funding, in the spring of 2021.

To utilize the FY 21 section 5307 funding for capital projects, an additional $600,000 in local dollars would need to be transferred into the capital fund, to serve as a local match for the federal funding. CyRide is recommending this amount be transferred from the operating closing balance to the capital fund.

ALTERNATIVES:

1. Authorize CyRide to use $7,028,297 in CARES Act funding (100% federal funding) toward FY 2021 and FY 2022 operating expenses, specifically wages, and transfer $600,000 in local funds from the closing balance to capital.

2. Direct staff to proceed according to Transit Board priorities.

RECOMENDATION:

The Transit Director recommends approval of Alternative #1. Immediately drawing the CARES funds will allow CyRide to pay commitments and secure itself financially during this pandemic. Directing the annual formula funding to capital will allow CyRide to meet TAM plan goals and move toward a more sustainable fleet.

October 28, 2020
Monthly Report
CyRide Resource: Barbara Neal

1. Special Student Fee Committee

On September 9, 2020 CyRide presented its recommendation for the 2021-22 school year student fee rate to Iowa State University's Special Student Fee Committee. Three straight years of significant enrollment declines prior to the pandemic, coupled with an activity fee suspension, and a zero percent increase in activity fees for the 2020-21 school year have dramatically impacted the trust fund balance. Based on current modeling the trust fund will not be sufficient to meet upcoming budget commitments. We are predicting significant deficits in revenues collected for next year. The Transit Board will need to look at a variety of options to address the shortfall.

To model the trust fund in future years, CyRide assumed an enrollment decrease next year, a baseline inflation rate of 3%, and a goal of matching budget commitments to revenues collected. In order to work toward stabilizing the trust fund CyRide requested the student fee be increased by $5.00, to a total of $90.10 per full-time student each semester. This request is not enough on its own to correct the negative trend in the trust fund. However, given the financial impact the pandemic is having on students we did not feel comfortable asking for a higher amount this year. The goal is to have a better idea of future ridership and service levels next year, so we can recommend more suitable fee increases in a stable environment, and work together to slowly return the trust fund to the previously agreed target of a $500,000 balance.

2. Resident Satisfaction Survey

The results of the 38th annual Resident Satisfaction Survey have been released, which collected information from city residents about a variety of City of Ames services, including CyRide. Overall, reported satisfaction with CyRide increased from last year. In the 2019 survey, 89.0% of respondents indicated they were either very or somewhat satisfied with CyRide, with 11.0% being very or somewhat dissatisfied. In comparison, this year's survey reported that 93.9% of respondents were very or somewhat satisfied, and 6.1% were very or somewhat dissatisfied.

There were approximately 134 comments received in the survey that were specific to CyRide, an increase from the 105 comments received last year. The general category for each response was as follows:

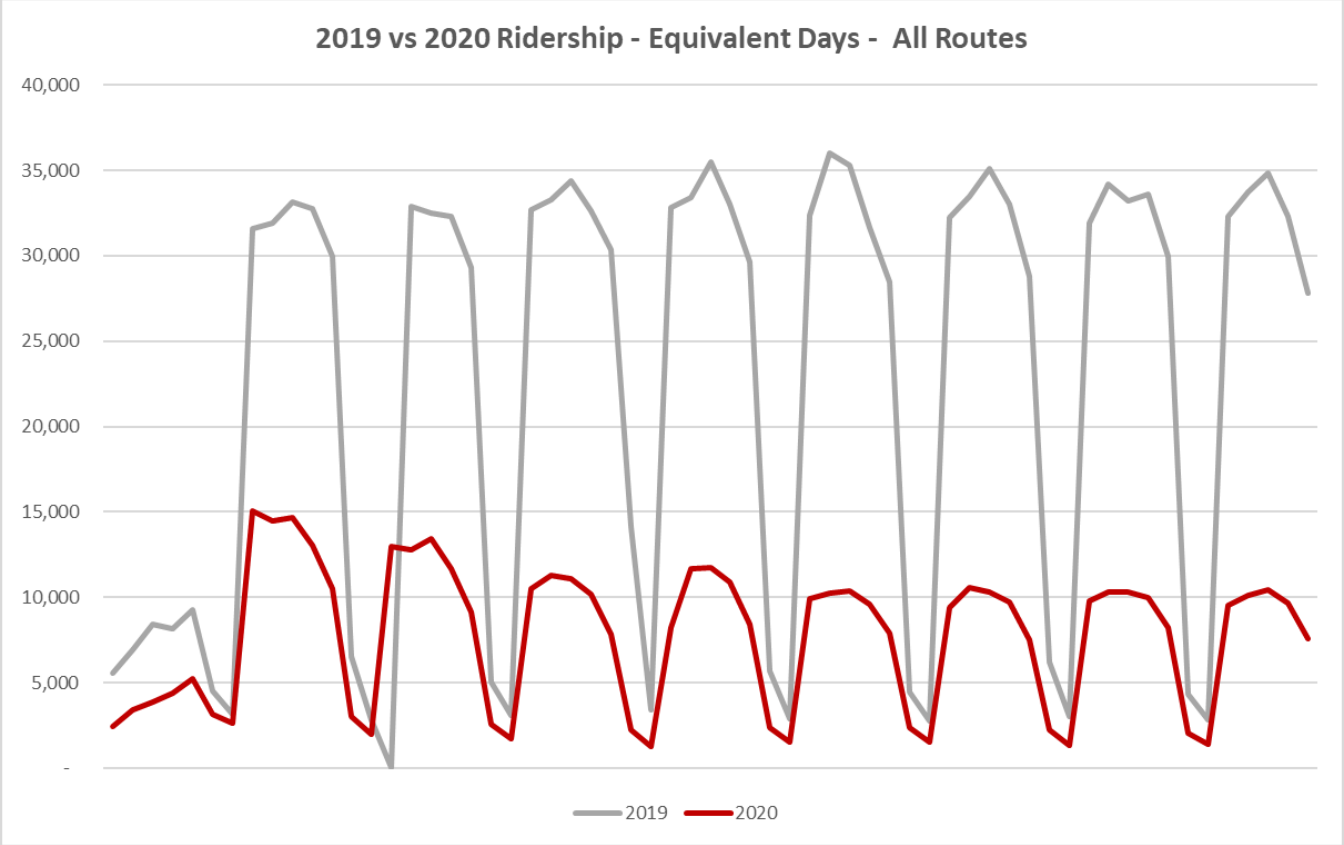
- Stop Location Suggestions (11)
- Route Suggestions (7)
- Concerns with Schedule or Timing (8)
- Accessibility (6)
- Positive Experiences (40)
- COVID-19 Concerns (5)
- Requests for Alternative Fuel Vehicles (2)
- Don't Need / Use Service (40)
- Other Comments (15)

The quantity and quality of the feedback in the survey was excellent. Respondents highlighted several areas where CyRide could be improved, including modifications to services and adjustments in policy. CyRide will review these suggestions and incorporate them into future planning where appropriate.

The full Resident Satisfaction Survey is available on the City of Ames website, at https://www.cityofames.org/home/showdocument?id=58927.

3. Ridership

There were some inquiries in the most recent City Council meeting about CyRide ridership. To help illustrate the overall pattern of system usage versus the same period last year, please refer to the following chart. This includes data from the start of the fall schedule, one week before classes started, through October 9th.



Overall, system ridership has fallen to about 35-40% of last year's counts. We traditionally see a rise in ridership as colder weather arrives, which is not currently being observed. CyRide will be continuing to monitor changes in passenger behavior as the semester proceeds.

4. HIRTA Biannual Meeting

Twice a year CyRide and HIRTA meet to discuss updates or concerns regarding CyRide's Dial-A-Ride (DAR) service, which is contracted out to HIRTA. The most recent meeting occurred on October 13, 2020, via Zoom. HIRTA reported that ridership levels are down about 50% since March. The biggest area of concern has been with Acura Healthcare, which has had a large percent of residents test positive for COVID-19, and we overviewed what measures HIRTA had taken to make the drivers feel safe and comfortable picking up passengers. We also analyzed their on-time performance measures. Due to low ridership, HIRTA has been early to pick up passengers and is able to do more same day scheduling. After review, we will only consider when they are late when calculating their on-time performance measure. There was also some discussion on how to best survey the DAR passengers. The mailed survey and online survey did not have a good response rate. One option was performing more phone surveys. A possible time would be if the passenger calls to schedule a ride, and then could be transferred to the phone survey. The next meeting will be scheduled for early February of 2021.

5. New Bus Delivery

This past month, CyRide accepted delivery of three new Gillig 40-foot heavy duty buses, which will replace three older vehicles that have already been disposed of. These new buses were originally approved by the Transit Board during the October board meeting. Between funding received through the Iowa Clean Air Attainment Program and the Iowa Volkswagen Settlement Environmental Mitigation Trust Project, this $1.44 million project only required a 3% match from the local funding partners. With significantly cleaner emissions and a lower operational cost per mile, CyRide is very excited to get these new buses ready for service.

6. Triennial Review Update

CyRide was notified in March that the triennial review schedule in 2020 was being delayed until 2021 due to the pandemic. We were recently informed that this will now begin in January and be virtual. The review will also incorporate additional areas such as CARES Act funding and the Agency Safety Plan. The work that would have normally been completed in person, including documentation review and staff interviews, will be offsite. We will work with our currently assigned contractor on providing additional documentation and answering questions from the initial review period.