

## Board of Director’s Meeting Agenda

**Meeting Date/Time:** November 21, 2024 - 6:30pm – 9:00pm

**Location:** Ann Arbor District Library (4<sup>th</sup> Floor)

Virtual attendance available via [Zoom](#) Passcode: 983308

**Members:** Kathleen Mozak (Chair), Mike Allemang (Treasurer), Jesse Miller (Secretary), Chris Allen, Simi Barr, Rich Chang, Julie Grand, Monica Ross-Williams, Susan Pollay, Kyra Sims

Agenda Item	Info Type	Details	Page #
<b>1. OPENING ITEMS</b>			
1.1 Approve Agenda	D	Mozak	
1.2 Public Comment	O		
1.3 General Announcements	O		
<b>2. CONSENT AGENDA</b>			
2.1 Board Meeting Minutes September 19, 2024	D		3
2.2 Committee Meeting Summaries (October/November)	D		10
2.3 Accountable Executive for PTASP (Required Delegation)	D		24
2.4 Annual Public Transit Agency Safety Plan Approval	D		25
<b>3. OWNERSHIP LINKAGE</b>			
3.1 Ownership Linkage Task Force Updates	O	Chang	Verbal
<b>4. MONITORING</b>			
4.1 Treatment of the Traveling Public (2.1)	M	Carpenter	28
4.2 Treatment of Staff (2.2)	M	Carpenter	48
4.3 Emergency Succession (2.8)	M	Kamau	68
4.4 Construction (2.10)	M	Kamau	75
<b>5. POLICY DEVELOPMENT</b>			
5.1 Policy Language Discussion (if needed)	O	Mozak	Verbal
5.2 Delete Policy 2.7.2	D	Allemang	97
<b>6. BOARD EDUCATION / DISCUSSION</b>			
6.1 Election Recap	O	Pfeifer / Reed	100
<b>7. OPERATIONAL UPDATES</b>			
7.1 Bus Lanes and BRT Project Update	O	Yang	101
7.2 Q4 Financial Report	O	Reed	117
7.3 CEO Report	O	Carpenter	121
<b>8. EMERGENT ITEMS</b>			
8.1 FY2025 Ypsilanti Board Meeting Dates	D	Carpenter	126
<b>9. CLOSING ITEMS</b>			
9.1 Action Item Recap	O	Carpenter / Holt	
9.2 Topics for Next Meetings LAC Report Q4 Service Report Ends (1.0) Future: Training/Discussion on Reasonableness		Thursday, December 19, 2024	
9.3 Public Comment	O		
9.4 Adjournment			

\* M = Monitoring, D = Decision Preparation, O = Other

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***If additional policy development is desired:***

Discuss in Board Agenda Item 3.0 Policy Monitoring and Development. It may be appropriate to assign a committee or task force to develop policy language options for board to consider at a later date.

**Emergent Topics**

Policy 3.1.3 places an emphasis on distinguishing Board and Staff roles, with the Board focusing on “long term impacts outside the organization, not on the administrative or programmatic means of attaining those effects.” Policy 3.1.3.1 specifies that that Board use a structured conversation before addressing a topic, to ensure that the discussion is appropriately framed:

1. What is the nature of the issue? Is the issue within the scope of the agency?
2. What is the value [principle] that drives the concern?
3. Whose issue is this? Is it the Board’s [Policy, 3.0 and 4.0] or the CEO’s [running the organization, 1.0 and 2.0]?
4. Is there already a Board policy that adequately covers the issue? If so, what has the Board already said on this subject and how is this issue related? Does the Board wish to change what it has already said?

## Board of Director’s Meeting Minutes

**Meeting Date/Time:** September 19, 2024 - 6:30pm – 9:00pm

**Location:** Ann Arbor District Library (4<sup>th</sup> Floor)

Virtual attendance available via Zoom Passcode: 983308

**Members Present:** Kathleen Mozak (Chair), Mike Allemang (Treasurer), Jesse Miller (Secretary), Chris Allen, Simi Barr, Rich Chang, Julie Grand

**Members Absent:** Monica Ross-Williams, Susan Pollay (Excused), Kyra Sims (Excused)

Chairwoman Mozak called the meeting to order at 6:30pm

Agenda Item
<p><b>1. OPENING ITEMS</b></p> <p><b>1.1 Approve Agenda</b></p> <p>Chairwoman Mozak suggested two amendments to the agenda – remove Budget Presentation under 9.2 Topics for Next Meeting and add 2.7 to 5.2 Policy Language Discussion. No other changes were noted.</p> <p>Mr. Chang motioned to approve the amended agenda, seconded by Mr. Miller.</p> <p>All in favor of approving the amended agenda:</p> <ul style="list-style-type: none"> <li>Mr. Mike Allemang: Yes</li> <li>Mr. Chris Allen: Yes</li> <li>Mr. Simi Barr: Yes</li> <li>Mr. Rich Chang: Yes</li> <li>Mr. Jesse Miller: Yes</li> <li>Chairwoman Kathleen Mozak: Yes</li> </ul> <p>The motion to approve the amended agenda passed unanimously.</p> <p><b>1.2 Public Comment</b></p> <p>Robert Pawlowski shared that he has been personally tracking recent service enhancements and notes that the stats have been positive – he thanked Planning and Operations for their diligence in implementing service changes.</p> <p><b>1.3 General Announcements</b></p> <p>Mr. Yang introduced Mr. Raymond Hess as the new Manager, Project Management &amp; Delivery. Mr. Hess shared that he had served on the AAATA Board several years ago and had previously worked for the City of Ann Arbor – he thanked the Board and staff for a warm welcome and is looking forward his work on several large upcoming projects.</p>

## 2. CONSENT AGENDA

### 2.1 Board Meeting Minutes July 18, 2024

### 2.2 Board Meeting Notes August 15, 2024

### 2.3 Committee Meeting Summaries (July & August)

Mr. Allemang motioned to accept the Consent Agenda, seconded by Mr. Chang.

All in favor of accepting the Consent Agenda:

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

There was no discussion on the motion.

The motion to accept the Consent Agenda passed unanimously.

## 3. OWNERSHIP LINKAGE

### 3.1 Open Dialogue Task Force Updates

Mr. Chang shared that the task force is updating their name to Ownership Linkage Task Force (OLTF) in order to focus more on ownership linkage. He provided an update on the recent task force meeting discussion and offered to present OLTF next steps / planning with the Board at a future meeting.

*\*\* Ms. Grand joined the meeting at 6:37pm*

## 4. MONITORING

### 4.1 Asset Protection (2.7)

Mr. Carpenter shared an overview of the monitoring report for Asset Protection (policy 2.7). He noted that non-compliance for policy 2.7.2 – the organizational name and logo had not been trademarked – had been addressed and the trademark process was in progress. The Finance Committee had reviewed / discussed the monitoring report in July and recommended it be accepted as (B) with proposed dates for compliance on policy 2.7.2 noted.

Mr. Allemang motioned to accept the monitoring report as (B) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO's stated non-compliance with item(s) 2.7.2, which the Board acknowledges and accepts the proposed dates for compliance, seconded by Mr. Miller.

All in favor of accepting the Asset Protection (Policy 2.7) monitoring report as (B):

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Ms. Julie Grand: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

There was no discussion on the motion.

The motion to accept the Asset Protection (Policy 2.7) monitoring report as B) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO's stated non-compliance with item(s) 2.7.2, which the Board acknowledges and accepts the proposed dates for compliance, passed unanimously.

## 5. POLICY

### 5.1 Budget Discussion & Approval

Mr. Carpenter shared an overview of the budget process approval steps that combine Policy Governance with the traditional steps for budget approval. The Board will be accepting two monitoring reports (Financial Planning & Budgeting and Fare Policy), followed by the approval of the budget.

#### 5.1.1 Public Hearing

Chairwoman Mozak stated that in accordance with Budget Hearings of Local Government Act, local units are required to hold a public hearing on proposed budget.

Mr. Chang motioned to suspend the regular board meeting and move into the public hearing, seconded by Mr. Barr.

All in favor of suspending the board meeting to move into the public hearing:

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Ms. Julie Grand: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

There was no discussion on the motion.

The motion to suspend the regular board meeting to move into the public hearing passed unanimously.

Robert Pawlowski commented that the budget had been thoughtfully prepared and didn't include fare changes or operational cuts. He thanked staff for their diligence in prioritizing community needs by providing a good budget to work with each year.

Public comments concluded and Chairwoman Mozak requested a motion to close the public hearing and resume the regular board meeting.

Mr. Chang motioned to close the public hearing and resume the regular board meeting, seconded by Ms. Grand.

All in favor of closing the public hearing and resuming the regular board meeting:

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Ms. Julie Grand: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

There was no discussion on the motion.

The motion to close the public hearing and resume the regular board meeting passed unanimously.

### **5.1.2 Financial Planning & Budgeting (2.4)**

Ms. Reed provided an overview of the Financial Planning & Budgeting (Policy 2.4) monitoring report and noted that all policies show the report is fully compliant. One comment within the survey was related to a suggested word change for Board discussion/consideration. The Finance Committee reviewed the monitoring report and put forth a recommendation that the Board accept the monitoring report as (A).

Mr. Allen motioned to accept the monitoring report as (A) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, seconded by Mr. Miller.

All in favor of accepting the Financial Planning & Budgeting (Policy 2.4) monitoring report as (A):

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Ms. Julie Grand: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

There was no discussion on the motion.

The motion to accept the Financial Planning & Budgeting (Policy 2.4) monitoring report as (A) passed unanimously.

### **5.1.3 Fare Policy (2.5.12)**

Ms. Reed provided an overview of the Fare Policy (Policy 2.5.12) monitoring report and noted that all policies show the report is fully compliant. The Finance Committee reviewed the monitoring report and put forth a recommendation that the Board accept the monitoring report as (A).

Mr. Allen motioned to accept the monitoring report as (A) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, seconded by Mr. Miller

All in favor of accepting the Fare Policy (Policy 2.5.12) monitoring report as (A):

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Ms. Julie Grand: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

There was no discussion on the motion.

The motion to accept the Fare Policy (Policy 2.5.12) monitoring report as (A) passed unanimously.

#### 5.1.4 FY2025 Budget Presentation & Approval

Ms. Reed presented the recommended FY2025 Operating and Capital Budget for Board approval ([Board packet: Budget book page 112, Budget PPT page 178](#)). The recommended FY2025 budget is balanced with revenues sufficient to cover budgeted expenditures. The final recommended FY2025 Operating and Capital Budget was presented with a request for Board approval with total expenditures of \$68,716,570 for Operations and \$34,866,296 for Capital Investment.

Board members thanked Ms. Reed and staff for their diligence and on-going work during the entirety of the months-long budget process.

Mr. Allemang put forth a motion to adopt the Resolution as presented, seconded by Mr. Allen.

All in favor of adopting the Board Resolution for the Approval of FY2025 Operating and Capital Budget:

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Ms. Julie Grand: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

There was no discussion on the motion.

The motion to adopt the Board Resolution for the Approval of FY2025 Operating and Capital Budget passed unanimously.

#### 5.2 Policy Language Discussion (2.4, 2.5.12, 2.7)

There was no policy language discussion for policies 2.4 and 2.5.12. Mr. Miller had provided in the policy 2.7 survey related to adding “theft” to policy 2.7.2. Board members discussed the similarities in language with policies 2.7.2 and 2.5.4.1. The Finance Committee was tasked with reviewing at their October meeting and Mr. Miller was invited to join their discussion.

### 6. BOARD EDUCATION / DISCUSSION

### 7. OPERATIONAL UPDATES

#### 7.1 Q3 Service Report

Mr. Brooks provided an overview of the FY2024 Q3 Service Report. Highlights included continued steady growth in ridership and a decrease in complaints for fixed route. He also noted that flex ride services are under a new contract which has resulted in a slight increase in denials.

#### 7.2 CEO Report

Mr. Carpenter shared that Mr. Brooks had coordinated a recent award ceremony to honor staff excellence within the organization – he thanked several Board members for attending in support. He also shared details of the completed transition of D2A2 to the RTA.

Mr. Pfeifer provided an update on the federal budget process.

## 8. EMERGENT ITEMS

### 8.1 Officer Elections

Chairwoman Mozak opened the floor for nomination for Board Secretary for the 2025 year.

Mr. Barr nominated Mr. Miller, seconded by Mr. Chang.

Mr. Miller accepted the nomination for Board Secretary for the 2025 year.

All in favor of nominating Mr. Miller for Board Secretary:

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Ms. Julie Grand: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

All in favor, none opposed.

Chairwoman Mozak opened the floor for nomination for Board Treasurer for the 2025 year.

Mr. Miller nominated Mr. Allemang, seconded by Ms. Grand.

Mr. Allemang accepted the nomination for Board Treasurer for the 2025 year.

All in favor of nominating Mr. Allemang for Board Treasurer:

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Ms. Julie Grand: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

All in favor, none opposed.

Chairwoman Mozak opened the floor for nomination for Board Chair for the 2025 year.

Mr. Chang nominated Ms. Mozak, seconded by Ms. Grand.

Mr. Allemang accepted the nomination for Board Chair for the 2025 year.

All in favor of nominating Ms. Mozak for Board Chair:

Mr. Mike Allemang: Yes  
Mr. Chris Allen: Yes  
Mr. Simi Barr: Yes  
Mr. Rich Chang: Yes  
Ms. Julie Grand: Yes  
Mr. Jesse Miller: Yes  
Chairwoman Kathleen Mozak: Yes

All in favor, none opposed.

## 9. CLOSING ITEMS

### 9.1 Action Item Recap

Finance Committee to discuss wording in policy 2.7.2 with input from Mr. Miller and OLTF presentation discussion at Governance Committee.

### 9.2 Topics for Next Meetings

Treatment of Staff (2.2)

Construction (2.10)

Future: Training/Discussion on Reasonableness

### 9.3 Public Comment

Robert Pawlowski shared his experiences of long wait times when using Via who holds the new Flex Ride contract. He thanked Ms. Reed and her department for their work on the approved budget.

### 9.4 Adjournment

Mr. Chang motioned to adjourn the meeting seconded by Mr. Miller.

All in favor of adjourning the meeting:

Mr. Mike Allemang: Yes

Mr. Chris Allen: Yes

Mr. Simi Barr: Yes

Mr. Rich Chang: Yes

Ms. Julie Grand: Yes

Mr. Jesse Miller: Yes

Chairwoman Kathleen Mozak: Yes

There was no discussion on the motion.

The motion to adjourn the meeting passed unanimously.

Chairwoman Mozak adjourned the meeting at 7:54 pm.

Respectfully Submitted by Deborah Holt

## Governance Committee Meeting Notes

**Meeting Date/Time:** Thursday, September 26, 2024 – 9:00am-11:00am

**Members Present:** Kathleen Mozak (Chair), Mike Allemang, Jesse Miller, Rich Chang

**Staff:** Matt Carpenter, Dina Reed, Forest Yang, Jeff Pfeifer, Rosa-Maria Kamau, Deb Holt

**Location:** REMOTE – Via Zoom

Chairwoman Mozak called the meeting to order at 9:00am.

Agenda Item
<p><b>1. OPENING ITEMS</b></p> <p><b>1.1 Agenda (Additions, Approval)</b></p> <p>Mr. Chang requested the addition of an emergent item – Insurance Discussion – be added after 6.1 Committee Agendas. It was requested that a placeholder for Emergent Items be added to the agenda going forward – no other additions noted to the agenda.</p> <p><b>1.2 Communications</b></p> <p>Brief updates were shared on the procurement process for an audit services contract and a recent news article.</p>
<p><b>2. BOARD DEVELOPMENT</b></p> <p><b>2.1 Recruitment / Training / Attendance</b></p> <p>Chairwoman Mozak shared an update on the vetting process for prospective Board member applicants through the City of Ann Arbor. AAATA has received candidate applications from the City of Ann Arbor which are being followed up on.</p> <p>The committee discussed upcoming Policy Governance training and other Board education opportunities.</p> <p><b>2.2 Task Force Coordination (OLTF)</b></p> <p>Mr. Chang shared his recent work w/ creating a template related to the Safety policy development which is being reviewed by other task force members. He continues to work at finding opportunities to meet with local government bodies and provide updates.</p> <p><b>2.3 Governance Training Options</b></p> <p>Defer discussion to October agenda.</p>

## **2.4 Ypsilanti Meeting Dates**

The committee discussed upcoming fiscal year meeting dates and scheduling several meetings in Ypsilanti. The committee requested that staff review months that would be conducive to holding the meeting in Ypsilanti – will provide a written update at the October Governance Committee meeting.

## **3. POLICY MONITORING & DEVELOPMENT**

### **3.1 Board's Role with Auditors**

The committee discussed the role of board members on various task forces – most recently their involvement in the auditor procurement process. They also discussed the value of identifying specific task forces that regularly are needed and adding them to policies. Discussion to continue at a future meeting.

### **3.2 Election Day Fares**

The committee thoroughly discussed election day fares and requested staff provide cost benefit background information. Mr. Chang noted the topic may fall under the work of Ownership Linkage in exploring public interest.

## **4. STRATEGY & OPERATIONAL UPDATES: CEO**

### **4.1 CEO Expense Report**

Mr. Carpenter shared his expenses for the year and slight modifications that were made so the report included only the most recent years.

## **6. CLOSING ITEMS**

### **6.1 Committee Agendas**

Mr. Miller noted the removal of agenda item 2.2 with no other changes noted to the Service Committee agenda. Mr. Allemang noted a light agenda and recommended cancelling the October Finance Committee meeting and deferred language review of policies 2.7.2, 2.5. The committee reviewed the Board agenda, noting no changes.

### **6.2 Emergent Item – Keyman Insurance**

The committee discussed whether there was value to having staff explore adding Keyman Insurance.

### **6.3 Action Item Recap**

- Add Emergent Item placeholder on Governance Agendas
- Discussion on Reasonableness to take place in October
- Mr. Carpenter will review Conflict of Interest document with staff
- Mr. Carpenter / Mr. Chang and Mr. Pfeifer will be meeting to discuss meeting with municipalities
- Contact Governance consultant related to procurement task forces and board involvement

#### **6.4 Topics for Next Meeting**

Board's Role with Auditors  
Governance Training Options  
CEO Compensation Comparables  
UM 2050  
Emergency Succession (2.8)  
Discussion on Reasonableness

Future: Equity, Parliamentary Procedure, Park & Ride Updates, Advocacy & Regionalism,

#### **6.5 Adjournment**

Chairwoman Mozak thanked the committee and staff and adjourned the meeting at 10:59am.

Respectfully Submitted by Deborah Holt

## Service Committee Meeting Notes

**Meeting Date/Time:** October 1, 2024, 9:00am – 11:00am

**Members Present:** Rich Chang (Chair), Simi Barr

**Members Absent:** Jesse Miller (Excused), Susan Pollay

**Staff:** Matt Carpenter, Forest Yang, George Brooks, Rosa-Maria Kamau, Deb Holt

**Location:** REMOTE – Via Zoom

Mr. Chang called the meeting to order at 9:01am

Agenda Item
<p><b>1. OPENING ITEMS</b></p> <p><b>1.1 Agenda (Additions, Approval)</b></p> <p>Mr. Chang noted Mr. Miller was unable to join due to illness and requested agenda item 2.1 Safety Policy be deferred to the next meeting.</p> <p><b>1.2 Communications</b></p> <p>No new communications.</p>
<p><b>2. POLICY MONITORING &amp; DEVELOPMENT</b></p> <p><b>2.1 Safety Policy Pt 2 (Executive Limitation)</b></p> <p>Mr. Carpenter shared several notes from Mr. Miller related to the potential for Executive Limitations policies. Governance consultant Sue Radwan also noted that Asset Protection policy 2.7.5 is also applicable to safety. The committee determined they will continue with a full discussion in November at their next meeting.</p> <p><b>2.2 Treatment of Staff (2.2)</b></p> <p>Mr. Carpenter provided an overview of the monitoring report noting non-compliance in the Whistleblower Procedure (policy 2.2.3) due to turnover with the HR Manager. He noted a compliance deadline of January 2025 as he wanted to give the new manager time to implement the rollout. He shared that there was no 2024 Staff Survey as HR is exploring alternative means of gathering employee input on workplace culture.</p> <p>Mr. Carpenter also shared his CEO notes on policies 2.2.1 and 2.2.1.1 which have been challenging policies to define and measure compliance. Committee members discussed the aspirational language in 2.2.1 and 2.2.1.1.</p> <p>The Service Committee will recommend that the Board accepts the policy as (B) reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO’s stated non-compliance with item(s) 2.2.3, which the Board acknowledges and accepts the proposed dates for compliance.</p>

### **2.3 Construction (2.10)**

Ms. Kamau shared an overview of the monitoring report and noted that no construction had taken place during the monitoring year, so the report was straightforward with compliance.

The Service Committee will recommend that the Board accepts the policy as (A) a reasonable interpretation for **all** policy items and that the evidence demonstrates compliance with the interpretations.

## **3. STRATEGY & OPERATIONAL UPDATES: CEO**

### **3.1 Millage Service Updates**

Mr. Brooks shared an update on millage service updates – one challenge has been staffing challenges. Two new MCO classes have taken place and recruitment/hiring continue to take place. Slight MCO shift scheduling adjustments have taken place and on-time rollouts have been meeting expectations.

## **4. CLOSING ITEMS**

### **4.1 Action Item Recap**

The Service committee will recommend the Board accept Treatment of Staff as (B) and Construction Policy as (A). Safety Policy will continue at next meeting.

### **4.2 Topics for the Next Meeting**

Safety Policy Pt 2 (Executive Limitation)  
Treatment of the Traveling Public (2.3)

### **4.3 Adjournment**

Mr. Chang thanked the committee and staff and adjourned the meeting at 9:46 am.

Respectfully Submitted by Deborah Holt

## Finance Committee Meeting Notes

**Meeting Date/Time:** October 8, 2024, 3:00 – 5:00pm

**Members:** Mike Allemang (Chair/Treasurer), Kyra Sims, Chris Allen, Monica Ross-Williams

**At the September 26, 2024 Governance Committee Meeting, it was determined that due to a brief agenda and no pressing items of discussion, the October 8, 2024 Finance Committee Meeting would be cancelled.**

DRAFT

## Governance Committee Meeting Notes

**Meeting Date/Time:** Thursday, October 24, 2024 – 9:00am-11:00am

**Members Present:** Kathleen Mozak (Chair), Mike Allemang, Jesse Miller, Rich Chang

**Staff Present:** Matt Carpenter, Dina Reed, Forest Yang, Jeff Pfeifer, Rosa-Maria Njuki,  
Deb Holt

**Location:** REMOTE – Via Zoom

Chairwoman Mozak called the meeting to order at 9:01am.

Agenda Item
<b>1. OPENING ITEMS</b>
<p><b>1.1 Agenda (Additions, Approval)</b></p> <p>No changes or additions to the agenda.</p> <p><b>1.2 Communications</b></p> <p>Ms. Reed shared the recent awarding of a \$200k grant from MDOT for the 4<sup>th</sup> Avenue Project.</p> <p>Mr. Carpenter shared updates related to the obligation of funding for the Lo-No Grant.</p> <p>Chairwoman Mozak shared that Board members will be receiving more info for attending / participating in organizational events to foster engagement opportunities with staff.</p>
<b>2. BOARD DEVELOPMENT</b>
<p><b>2.1 Recruitment / Training / Attendance</b></p> <p>Mr. Pfeifer shared an update on communications with two members of the community who have expressed interest in applying to the Board.</p> <p>Chairwoman Mozak shared an update on Board member participation and attendance.</p> <p>Mr. Carpenter shared that he is in discussion with Governance consultant Sue Radwan related to the potential for Governance training in Ann Arbor.</p> <p><b>2.2 Task Force Coordination (OLTF)</b></p> <p>Mr. Chang provided an update on OLTF and coordinating meetings to meet with local officials after the November elections.</p>

### **2.3 Governance Training Options**

Chairwoman Mozak will be working with staff to create a survey to send to the Board gathering input on Governance training ideas and options. The survey is planned to be sent out by the end of November.

### **2.4 Discussion on Reasonableness**

The committee discussed a memo from Ms. Radwan outlining an interpretation on reasonableness. The committee agreed to invite her to November committee meetings for further discussion with Board members. Add Discussion on Reasonableness to Service and Finance Committee meeting agendas.

### **2.5 Ypsilanti Meeting Dates**

Staff had been asked to recommend dates for meetings in Ypsilanti – two dates shared were the April and July Board meetings. Committee members discussed various date options – January, April and July and staff will check on availability at the Riverside Arts Center. The committee determined that they would yearly review which months to hold 2-3 meetings in Ypsilanti.

## **3. POLICY MONITORING & DEVELOPMENT**

### **3.1 Board's Role with Procurements**

The Committee discussed the Board Policy Manual and if there should be the inclusion of policies that assign Board participation in the legal counsel, governance consultant, and auditing firm procurement process. Mr. Carpenter will discuss enshrining this role with the Governance consultant.

### **3.2 Emergency Succession (2.8)**

The committee discussed the monitoring report for Emergency Succession (policy 2.8) and a question within the monitoring report survey related to Deputy CEO succession in the case of an emergency CEO succession. The Governance Committee will recommend to the Board that the monitoring report be accepted as (A) Compliant.

### **3.3 LAC Update (3.9)**

Chairwoman Mozak shared an update on recent positive LAC changes. The committee has been working on their input on the Ends report and will be sharing their thoughts in December at the Board meeting.

### **3.4 Election Day Fares**

Mr. Carpenter shared information on the feasibility and challenges of elimination of fares on (future) election days. The committee recommended Mr. Carpenter gather information from agencies who have eliminated election day fares and share it at the next Governance Committee meeting.

### **3.5 CEO Compensation Update**

Chairwoman Mozak shared she is meeting with Korn Ferry to discuss a CEO compensation report and will be sharing that information once it is received. In addition, the 2024 APTA Public Transportation Management Compensation Report has been received and will be shared.

## **4. STRATEGY & OPERATIONAL UPDATES: CEO**

### **4.1 UM2050**

A Board member requested more information related to the UM2050 Plan – Mr. Carpenter is working on gathering information and then presenting it at a future Board meeting.

### **4.2 Scio Township**

Mr. Yang shared an update on a POSA agreement with Scio Township for services provided within the township.

## **5. EMERGENT ITEMS**

## **6. CLOSING ITEMS**

### **6.1 Committee Agendas**

The discussion on Reasonableness with Governance Consultant will be added to the Service and Finance Committee agendas. Mr. Miller requested moving the Safety Conversation to Communications.

Mr. Allemang noted no other changes to the Finance Committee agenda and will work on a proposal for the language review for 2.7.2 and 2.5. He also requested moving the December 10<sup>th</sup> Finance Committee meeting December 6<sup>th</sup>. Staff will look at rescheduling the December Finance Committee meeting.

No additions or changes were noted for the Board meeting agenda.

### **6.2 Action Item Recap**

- Mr. Carpenter – contact Ms. Radwan RE: Bootcamp in Ann Arbor
- Mr. Chang – meeting with Mr. Carpenter & Mr. Pfeifer to discuss meetings with local officials after election
- Additional edits to Reasonableness memo can be shared with Governance Committee members
- Invite Ms. Radwan to 11/12 Finance Committee meeting (already attending 11/5 Service Committee meeting)

- Staff checking availability to meet Jan/April/July Board meeting at Riverside Arts Center
- Governance Committee meeting with Mr. Carpenter – discuss attendance
- Staff to send YTC related news articles to Mr. Miller – for safety policy discussion
- Reschedule December Finance Committee meeting

### **6.3 Topics for Next Meeting**

Future:  
Equity, Parliamentary Procedure, Park &  
Ride Updates, Advocacy & Regionalism,  
Monitoring Frequency

### **6.4 Adjournment**

Chairwoman Mozak had left the meeting at 10:55am, Mr. Miller chaired the meeting to its conclusion. He thanked the committee and staff and adjourned the meeting at 11:10am.

Respectfully Submitted by Deborah Holt

## Service Committee Meeting Agenda

**Meeting Date/Time:** November 5, 2024, 9:00am – 11:00am

**Members Present:** Jesse Miller (Chair), Simi Barr, Susan Pollay

**Members Absent:** Rich Chang (Excused)

**Staff:** Matt Carpenter, Dina Reed, Forest Yang, Jeff Pfeifer, Raymond Hess, Robert Williams, Rosa-Maria Kamau, Deb Holt

**Location:** REMOTE – Via Zoom

Mr. Miller called the meeting to order at 9:02am

Agenda Item
<b>1. OPENING ITEMS</b>
<p><b>1.1 Agenda (Additions, Approval)</b></p> <p>Agenda items 2.1 and 2.2 were swapped in order.</p> <p><b>1.2 Communications</b></p> <p><b>1.2.1 Safety Policy Deferral</b></p> <p>Mr. Miller shared with the committee that with recent community safety concerns in Ypsilanti, the committee will be shelving this topic for a few months. He is working with staff to compile further information that will enhance safety discussions.</p>
<b>2. POLICY MONITORING &amp; DEVELOPMENT</b>
<p><b>2.1 Determining Reasonableness (moved to 2.2)</b></p> <p>Governance consultant Sue Radwan led a discussion on how the Board reviews the reasonableness of CEO interpretations of compliance within monitoring reports. Committee members discussed their own challenges for expectations and measurement of compliance. They also discussed the implementation of policy language reviews which are an opportunity for Board members to enhance/adjust policy language.</p> <p><b>2.2 Treatment of the Traveling Public (moved to 2.1)</b></p> <p>Mr. Carpenter shared an overview of the Treatment of the Traveling Public monitoring report – he noted the report shows full compliance and the Board survey responses support that determination of compliance. The CEO notes made several recommendations that policy language be reviewed for several sub policies.</p> <p>The committee agreed to recommend that the Board accept the monitoring report as (A) in compliance.</p>

### **3. STRATEGY & OPERATIONAL UPDATES: CEO**

#### **3.1 State Street Bus Lane Proposals**

Mr. Hess presented informational updates on bus lanes and bus rapid transit corridor projects/proposals for State Street, Washtenaw Avenue, and US-23/Washtenaw Avenue interchange.

### **4. CLOSING ITEMS**

#### **4.1 Action Item Recap**

The Service Committee will recommend the Board accept the Treatment of the Traveling Public monitoring report as (A) compliant.

#### **4.2 Topics for the Next Meeting**

Safety Policy Pt 2 (Executive Limitation)  
Q4 Service Report  
Future: Safety Policy

#### **4.3 Adjournment**

Mr. Miller thanked the committee and staff and adjourned the meeting at 10:35 am.

## Finance Committee Meeting Notes

**Meeting Date/Time:** Tuesday, November 12, 2024, 3:00pm – 5:00pm

**Members Present:** Mike Allemang (Chair/Treasurer), Kyra Sims, Julie Grand

**Members Absent:** Chris Allen (EA), Monica Ross-Williams

**Staff Present:** Matt Carpenter, Dina Reed, Forest Yang, Jeff Pfeifer, Rosa-Maria Kamau, Andy Huber, Deb Holt

**Location:** REMOTE – Via Zoom

Mr. Allemang called the meeting to order at 3:03 pm

Agenda Item
<p><b>1. OPENING ITEMS</b></p> <p><b>1.1 Agenda (Additions, Approval)</b></p> <p>No additions or changes to the agenda.</p> <p><b>1.2 Communications</b></p> <p>No new communications.</p>
<p><b>2. POLICY MONITORING &amp; DEVELOPMENT</b></p> <p><b>2.1 Language Review 2.7.2, 2.5</b></p> <p>At the September Board meeting, during a policy language review, board members made suggestions about possible language revision to policy 2.7.2. Mr. Carpenter provided a more in-depth review of policies with similar language in 2.7.2 and 2.5.3 and offered a recommendation that the Board delete policy 2.7.2. The committee discussed and agreed with the recommendation.</p>
<p><b>3. STRATEGY AND OPERATIONAL UPDATES</b></p> <p><b>3.1 Q4 Financial Report</b></p> <p>Ms. Reed provided the Q4 Financial Report and noted it is preliminary as adjustments are still being worked through and finalized ahead of the forthcoming yearly audit. She noted that the organization operated within budget through the 4<sup>th</sup> quarter and operating revenues and expenses were balanced at the end of the fiscal year. With staff vacancies and lower fuel costs, operating expenses were \$2.02 million lower than budgeted.</p>

Federal Operating Assistance was lower as the organization was not reliant on Federal Formula Funds for operations. Property Tax Revenues were received in FY2024 and only funding needed to balance the FY2024 budget were used. The remainder will be used for FY2025. Ms. Reed noted the audited year-end financial statements will reflect all property taxes were received in FY2024 as required by GASB accounting standards.

Federal pandemic relief funds were fully utilized

Assets continue to grow, and Ms. Reed shared that with strong assets, the operating reserve target will be slightly decreased. The committee will be discussing this topic in further detail at the next meeting.

Cash flow was adequate to cover expenses and as of Q4 2024, there was \$77.6 million in cash and investments. Investments are consistent and staff are monitoring changing interest rates as a part of the overall long-term investment strategy.

The committee also discussed potential budget impacts from the election results. Ms. Reed shared that she and Mr. Pfeifer will be presenting an Election Recap discussion at the November Board meeting.

#### **4 CLOSING ITEMS**

##### **4.1 Action Item Recap**

Ms. Reed will present the Q4 Financial Report, and the Committee will recommend to the Board (at the November meeting) that Policy 2.7.2 be removed.

##### **4.2 Topics for Next Meeting**

Future Meeting: Reserve Target Details, Discussion on Reasonableness with Governance consultant Sue Radwan.

##### **4.3 Adjournment**

Mr. Allemang thanked committee and staff and adjourned the meeting at 3:54 pm.

Respectfully submitted by Deborah Holt

## Accountable Executive for Public Transit Agency Safety Plan

**Meeting: Board of Directors**

**Meeting Date: November 21, 2024**

<b>INFORMATION TYPE:</b>
Decision
<b>RECOMMENDED ACTION(S):</b>
That the Board designate the CEO as the Accountable Executive for PTASP.
<b>ISSUE SUMMARY:</b>
<p>As part of our congressionally mandated Triennial Review, the board or equivalent entity is required to designate the accountable executive for our PTASP. Part 673 defines the accountable executive as a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a transit agency; responsibility for carrying out the transit agency’s Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the transit agency’s PTASP in accordance with 49 USC 5329 and the transit agency’s TAMP in accordance with 49 USC 5326.</p>
<b>IMPACTS OF RECOMMENDED ACTION(S):</b>
<ul style="list-style-type: none"> <li>• <b>Budgetary/Fiscal:</b> Board approval necessary to ensure federal funding.</li> <li>• <b>Social:</b> The PTASP helps to minimize risk to the employees and public.</li> <li>• <b>Environmental:</b> NA</li> <li>• <b>Governance:</b> The federal government required approval by the Board. Policy Governance requires such approvals be placed in the Consent Agenda.</li> </ul>

## Annual Approval of Public Transit Agency Safety Plan

**Meeting: Board of Directors**

**Meeting Date: November 21, 2024**

<b>INFORMATION TYPE:</b>
Decision
<b>RECOMMENDED ACTION(S):</b>
That the Board adopt the resolution approving the AAATA's 2024 Public Transportation Agency Safety Plan (PTASP) Version 4.0.
<b>PRIOR RELEVANT BOARD ACTIONS &amp; POLICIES</b>
3.4.8 – “Mandatory Approvals” required by outside organizations are placed in the Consent Agenda. 2.0 & 2.5.2 – Comply with laws and federal regulations, do not jeopardize funding.
<b>ISSUE SUMMARY:</b>
As a prerequisite for receiving federal transit funding, transit agencies are required to submit a Board approved, annual Public Transportation Agency Safety Plan (PTASP). This year's plan has already received approval from both the Safety Committee and the CEO. The PTASP must be approved by the board no later than December 31, 2024. Failure to meet this deadline could put federal funding at risk, as outlined in Policy 2.5.2. Staff affirm that the attached PTASP is in full compliance with all federal regulations.
<b>BACKGROUND:</b>
<p>Policy Governance acknowledges that external funders or regulators may occasionally necessitate board approval for detailed staff tasks, referred to as "Means." To maintain clear delegation to the CEO and prevent conflicting expectations, Policy Governance recommends including such approvals in a "Mandatory Approvals" consent agenda. The board has previously approved PTASPs for the years 2021 and 2022 through this mechanism. These earlier plans were accepted by the Federal Transit Administration (FTA), and no safety concerns were raised during the 2022 Triennial FTA Audit.</p> <p>The PTASP (Public Transportation Agency Safety Plan) for TheRide is governed by federal regulation 49 CFR Part 673, which sets forth the requirements. Developed to align with a Safety Management Systems (SMS) approach, the PTASP integrates policies, processes, and behaviors to ensure a proactive and data-driven approach to safety risk management. The plan incorporates the core elements of SMS:</p> <ul style="list-style-type: none"> <li>• Safety Management Policy</li> <li>• Safety Risk Management</li> <li>• Safety Assurance</li> <li>• Safety Promotion</li> </ul> <p>The 2021 Bipartisan Infrastructure Bill introduced new PTASP requirements, all of which have been successfully incorporated:</p>

- Formation of a Safety Committee comprising equal numbers of frontline workforce and management representatives. The existing AAATA Safety Committee was adapted for this purpose.
- Plan approval by the Safety Committee, followed by the CEO and Board of Directors. Both the Committee and the CEO have approved the PTASP.
- Implementation of a risk reduction program aimed at lowering accident, injury, and assault rates among transit workers. The plan includes specific metrics and targets.
- A comprehensive staff training program for operations and maintenance personnel, encompassing safety training, ongoing education, and de-escalation techniques.

**IMPACTS OF RECOMMENDED ACTION(S):**

- **Budgetary/Fiscal:** Board approval necessary to ensure federal funding.
- **Social:** The PTASP helps to minimize risk to the employees and public.
- **Environmental:** NA
- **Governance:** The federal government required approval by the Board. Policy Governance requires such approvals be placed in the Consent Agenda.

**ATTACHMENTS:**

1. Resolution approving the AAATA's 2024 Public Transportation Agency Safety Plan (PTASP)
2. Draft PTASP

Resolution 04/2024

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

**RESOLUTION OF THE BOARD OF DIRECTORS  
OF THE  
ANN ARBOR AREA TRANSPORTATION AUTHORITY**

**WHEREAS**, the Public Transportation Agency Safety Plans (PTASP) regulation (49 CFR Part 673) requires certain operators of public transportation systems that receive federal funds under the FTA Urbanized Area Formula Grants to develop an Agency Safety Plan (ASP) that includes the processes and procedures to implement a Safety Management System (SMS), a comprehensive, collaborative, and systematic approach to managing safety, and

**WHEREAS**, the Federal Transit Administration requires the Board of Directors of the Ann Arbor Area Transportation Authority to annually approve a Public Transit Agency Safety Plan, and

**WHEREAS**, the Chief Executive Officer (the AAATA Accountable Executive) has signed the 2024 Public Transit Agency Safety Plan, as approved by staff at the Safety Committee.

**THEREFORE, BE IT RESOLVED**, that the Board of Directors of the Ann Arbor Area Transportation Authority hereby approves the 2024 Public Transit Agency Safety Plan and directs the Chief Executive Officer to submit it to the Federal Transit Administration by the end of the calendar year.

I hereby certify that the following Resolution was duly approved and adopted by the Board of Directors of the Ann Arbor Area Transportation Authority at a meeting held on November 21, 2024, at which a quorum was present and acting throughout.

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Kathleen M. Mozak, Chair  
November 21, 2024

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Jesse Miller, Secretary  
November 21, 2024

**Monitoring Report: Treatment of the Traveling Public**  
**Monitoring Period: FY 2024 (Oct 1<sup>st</sup>, 2023-Sept 30<sup>th</sup>, 2024)**

**Service Committee Meeting Review Date: November 5<sup>th</sup>, 2024**

**Board of Directors Meeting Review Date: November 21st, 2024**

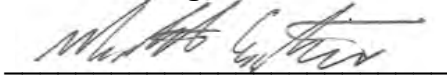
<b>INFORMATION TYPE</b>
Monitoring
<b>RECOMMENDED ACTION(S)</b>
<p>That the Board review this monitoring report and consider accepting it as:</p> <p>(A) a reasonable interpretation for <b>all</b> policy items and that the evidence demonstrates compliance with the interpretations.</p> <p>(B) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO’s stated non-compliance with item(s) x .x, which the Board acknowledges and accepts the proposed dates for compliance.is making reasonable progress towards compliance.</p> <p>(C) 1. For policy items x.x.x – there is evidence of compliance with a reasonable interpretation  2. For policy items x.x.x – the interpretation is not reasonable  3. For policy items x.x.x – the interpretation is reasonable, but the evidence does not demonstrate compliance  4. For policy items x.x.x – the Board acknowledges and accepts the CEO’s stated non-compliance and the proposed dates for compliance</p>
<b>PRIOR RELEVANT BOARD ACTIONS &amp; POLICIES</b>
<p>Monitoring Reports are a key Policy Governance tool to assess organizational/CEO performance in achieving Ends (1.0) within Executive Limitations (2.0). A Policy-Governance-consistent Monitoring Process is:</p> <ol style="list-style-type: none"> <li>1. CEO sends Monitoring Report to all board members</li> <li>2. At Board meeting, board accepts Monitoring Report through majority vote (or if not acceptable, determines next steps)</li> </ol>
<b>ISSUE SUMMARY</b>
<p>TheRide’s Board of Directors establish policies that define what methods are unacceptable to use to achieve expected results, called Executive Limitations. This monitoring report provides the CEO’s interpretations of those policies, evidence of achievement, and an assertion on compliance with the Board’s</p>

written goals. As with other monitoring reports, the Board decides whether the interpretations are reasonable, and the evidence is convincing.

Per Appendix A of the Board Policy Manual, this report was scheduled for monitoring in November and was submitted in November.

I certify that the information is true and complete, and I request that the Board accept this as indicating an acceptable level of compliance.

**CEO's Signature**











**Date**

October 24, 2024

**ATTACHMENTS**

1. Monitoring report for Treatment of the Traveling Public (Policy 2.1)

## Table of Contents

POLICY TITLE: TREATMENT OF THE TRAVELING PUBLIC	Page#	Compliance
<p>2.1 With respect to the agency’s operations and interactions with riders, potential riders, pedestrians, cyclists, other road users, and the general public the CEO shall not cause, allow or fail to address conditions, procedures, or decisions that are unsafe, undignified, disrespectful, unclear, or overly intrusive.</p> <p>Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:</p>	4	
2.1.1. Allow facilities, bus stops, vehicles, or services to lack reasonable accessibility for potential riders regardless of mobility limitations.	5	
2.1.2 Operate without providing effective, comprehensible, accessible, and timely information.	7	
2.1.2.1 Permit unfair, inconsistent, or untimely responses to questions or complaints from the traveling public.	9	
2.1.3 Operate without established and enforceable standards for customer service and the safety of the public including pedestrians, cyclists and other road users.	10	
2.1.3.1 Allow the public and riders to be without easily accessible, understandable information with respect to services offered and expected conduct.	11	
2.1.4 Use methods of collecting, reviewing, transmitting, or storing personal information that allows improper access or inappropriate disclosure	12	
2.1.4.1 Use forms that elicit personal information for which there is no clear necessity.	13	

 Fully Compliant    
  Partially Compliant    
  Non-Compliant

## Preliminary CEO Interpretations and Evidence

### **POLICY 2.1**

With respect to the agency’s operations and interactions with riders, potential riders, pedestrians, cyclists, other road users, and the general public the CEO shall not cause, allow or fail to address conditions, procedures, or decisions that are unsafe, undignified, disrespectful, unclear, or overly intrusive.

Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

**Degree of Compliance: Compliant**

#### **Interpretation**

##### Operational Details

I interpret this policy to mean that the agency must create a safe and attractive traveling environment for transit users, potential travelers, and others in public rights of way such as roads.

##### Measure/Standards & Achievement

Compliance with this policy will be demonstrated when all lower policies are compliant.

##### Rationale

The Board has fully defined its intent in lower-level policies as follows

- **Safety:** Policy 2.1.3 addresses safety of the public including pedestrians, cyclists and other road users.
- **Dignified and Respectful Service:** Policy 2.1.3 addresses customer service
- **Clarity of expectations:** Policy 2.1.3.1 addresses passenger code of conduct
- **Non-intrusive procedures:** Policy 2.1.4 and 2.1.4.1 addresses collection of customer information

#### **Evidence**

**Source of Data:** Lower-level policies

**Date of Data Review:** 10/16/2024 as verified by Corporate Strategy and Performance Officer

**Data:**

All lower-level policies are compliant.

## **POLICY 2.1.1**

Provide facilities, bus stops, vehicles, or services to lack reasonable accessibility for potential riders regardless of mobility limitations.

**Degree of Compliance: Compliant**

### **Interpretation**

#### Operational Definition

I interpret this policy to mean that all aspects of TheRide's operations, buses, bus stops, and facilities, will comply with the Americans with Disabilities Act (ADA) requirements for accessibility or a plan is in place to reach compliance.

#### Measure/Standards & Achievement

Compliance with will be demonstrated when during operations (in service) the following conditions are met

- A. All fixed-route buses are wheelchair accessible with functioning ramps or lifts and appropriate tie down equipment,
- B. All fixed-route buses have functional visual and auditory stop announcements,
- C. All contracted service vehicles are wheelchair accessible,
- D. All buildings, park n ride lots and other general structures are already wheelchair accessible, and
- E. Financial and staff resources are available to ensure that all bus stops near sidewalks are made wheelchair accessible by 2033.

#### Rationale

This is reasonable because

Using ADA minimum requirements as the "floor" and operational definition of "reasonable accessibility" in this interpretation is reasonable because:

1. As federal legislation, the ADA represents our society's agreed-upon standard, and limits, for accommodating most persons with disabilities.
2. The agency is audited on compliance with these rules every three years by the FTA.
3. ADA standards are what large equipment manufacturers follow. All equipment meets these standards. Those that exceed the ADA standards are niche and more expensive. Using these standards allows us to buy from readily available and cost-effective sources.
4. Exceeding ADA minimum requirements is possible but would be arbitrary, create precedents and expectations that could be hard to manage in the future, and expose the agency to higher costs and other risks. It would be unreasonable to expect the CEO to take such risks without clear Board direction.

A-D. These measures address all elements necessary for passengers to be able to use transit services, are within the AAATA's financial resources to afford, and align with legal accessibility requirements found in the ADA which can be objectively determined by an

outside authority (FTA). For contracted services, the start and stop points are predetermined and hence no audio, visual stop announcements are necessary.

**Note:** This policy interpretation addresses only in-service operations. It is reasonable to expect that when out of service accessibility requirements may not always be met e.g., a bus with a failed ramp in the maintenance shop.

- E. Financial and staff resources are within the agency's ability to control. Additionally, only bus stops near sidewalks can be made wheelchair accessible.

### Evidence

**Source of Data:** Operational and planning records

**Date of Data Review:** as noted below

**Data:** During the monitoring period:

- A. 100% of buses were wheelchair accessible with ramps or lifts, wheelchair spaces, and appropriate tie-down equipment. An inspection of maintenance procedures and records indicate that ramps, lifts, and ties downs were functional before a bus was put into or returned to public service. Verified by Manager of Fleet 10/09/2024
- B. An inspection of fleet inventory records confirms that all fixed-route buses had auditory announcements and visual signs indicating stops which were functional during the monitoring period. Verified by Manager of Fleet 10/09/2024
- C. An inspection of all facilities (i.e., two bus terminals, two park n ride lots, and one office building) confirmed that all buildings were accessible to wheelchairs. All buildings had automatic doors which were functional or repaired promptly. Verified by Manager of Facilities 10/01/2024
- D. A review of our contracted services i.e., A-Ride, GoldRide and FlexRide confirm that all vehicles in service were wheel chair accessible. Verified by Manager of Mobility Services 10/09/2024
- E. A review of the FY24 Budget confirms that there were funds dedicated to the construction of bus stop bus pads and lead walks. During the monitoring period, 12 bus stops near sidewalks were made accessible. This is in line with our plan to make all bus stops near sidewalks accessible by 2033 (Policy 1.1.2 compliance timeline). Verified by the DCEO, Planning And Innovation 10/03/2024

**POLICY 2.1.2**

Operate without providing effective, comprehensible, accessible, and timely information.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that accurate information on how to use our services (i.e., fixed-route time tables and maps, paratransit information, staff contact information) and general information about the agency is available prior to travel.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated by:

- A. Availability of:
  - a. **Printed Material:** Printed RideGuides available in English, Spanish, Arabic, and Mandarin (per federal requirements).
  - b. **On-Line:** TheRide’s website with features allowing use for persons with sight limitations and in non-English languages.
  - c. **Real-Time Information:** Available on TheRide’s website and as a live feed for use in third-party apps
  - d. **Personal Responses:** Staff are available by phone or at the terminal during regular business hours.
- B. Compliance with policy 2.1.2.1

Rationale

The interpretations are reasonable because

- A. The types of information provided can be measured, are within the control of the agency, address federal requirements for information stemming from the ADA and Title VI, are affordable given the resources available, and respond to the vast majority of public needs for trip planning or special accommodation.
- B. The Board defines each policy in descending levels of detail to the point it is willing to accept ANY reasonable interpretation. Therefore, compliance with policy 2.1.2.1 constitutes compliance with this policy.

**Evidence**

**Source of Data:** Public Affairs and Community Engagement documents

**Date of Data Review:** 10/09/2024 as verified by Manager of Public Affairs and Community Engagement, Manager of Mobility Services.

**Data:**

- A. Evidence of availability and quality of information is provided below.

	Available during the monitoring period? Y/N
o Printed material	Y
o On-line material	Y

<ul style="list-style-type: none"> <li>○ Real-time information</li> </ul>	<p>Y</p>
<ul style="list-style-type: none"> <li>○ Staff were available throughout the monitoring period as follows:</li> </ul>	
<p>Via Phone:</p> <ul style="list-style-type: none"> <li>○ 6:30AM to 10:00PM on weekdays</li> <li>○ 7:00AM-6:00PM on weekends</li> </ul> <p>In Person</p> <ul style="list-style-type: none"> <li>○ Blake Transit Center 7:00AM to 7:00PM on weekdays 8:00AM-5:45PM on weekends.</li> <li>○ Dawn Gabay Operations Center: 8:00am to 5:00pm on weekdays. And 7:00AM- 6:00PM on the weekends.</li> </ul>	
<p>B. Policy 2.1.2.1 is compliant</p>	

**POLICY 2.1.2.1**

Permit unfair, inconsistent, or untimely responses to questions or complaints from the traveling public.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that the agency will acknowledge and respond to customer inquiries consistently as determined by specific guidelines that include the timeline of acknowledgement, response and resolution.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when:

**A. Acknowledgement:**

- i. All written inquiries and concerns received through the customer service customer website are acknowledged within 2 business days
- ii. All phone calls entered in the customer concern tracking database are acknowledged within 5 days.

**B. Waiting times:**

- i. Waiting time for responses to general phone inquiries about how to use AAATA services during business hours is less than 2 minutes.

**C. Resolution:**

Open cases are reviewed, solved and closed within the following timelines:

- i. 90% of inquiries and concerns are resolved within 20 business days
- ii. 99% of inquiries and concerns are resolved within 30 business days.

Rationale

These standards are reasonable because they provide a consistent way of addressing most concerns in a timely fashion. These timelines are also within the limits of resources available.

**Evidence**

**Source of Data: Customer service records**

**Date of Data Review:** 10/09/2024 as verified by Manager of Mobility Services and Customer Service Officer

	Target	Monitoring period performance	Target achieved (Y/N)
A. Acknowledgment of			
i. written inquiries and concerns	2 business days	Same day	Y
ii. phone calls	5 business days	3 business days	Y
B. Wait time of phone calls on general inquiries	2 minutes	43 seconds	Y
C. i. Resolving of 90% of inquiries	20 business days	14 business days	Y
ii. Resolving of 99% of inquiries	30 business days	25 business days	Y

**POLICY 2.1.3**

Operate without established and enforceable standards for customer service and the safety of the public including pedestrians, cyclists and other road users.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that all front-line employees will have customer service and safety training. Further, standards and expectations outlined in the training will be enforced.

Measure/Standards & Achievement

Compliance with this policy will be achieved when

- A. 100% of all front-line staff have received customer service and safety training.
- B. Manager of operations confirms that corrective and reinforcement actions were in place and applied throughout the monitoring period.
- C. Policy 2.1.3.1 below is compliant

Rationale

This interpretation is reasonable because

- A. Customer service and safety training for front line staff (i.e., bus drivers, mechanics, call takers and contracted drivers) includes, proper vehicle maintenance, safe operation of the vehicle(to include consideration of other roads users), relevant laws, etc., as applicable to the role. Detailed operational performance and customers satisfaction are addressed further under policy 1.4 and Quarterly Service Reports. This section of the policy addresses the availability of standards (through training), and part B (below) addresses the enforcement of set standards/expectations.
- B. Confirmation of corrective and reinforcement actions in relation to safety and customer service expectations indicates enforcement of such standards. Note: an increase or decrease in action does not equate to proof that standards were enforced in some cases more than others but the fact that there were instances of enforcement.
- C. The Board defines each policy in descending levels of detail to the point it is willing to accept ANY reasonable interpretation. Therefore, compliance with policy 2.1.3.1 constitutes compliance with this policy.

**Evidence**

**Source of Data:** Operational records

**Date of Data Review:** 10/09/2024 as verified by Manager of Operations

- A. 100% of all front-line staff received customer service and safety training
- B. There was a total of 295 positive reinforcement or corrective actions in relation to safety and customer service.
- C. Policy 2.1.3.1 is compliant.

**POLICY 2.1.3.1**

Allow the public and riders to be without easily accessible, understandable information with respect to services offered and expected conduct.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that information on 1) how to use our services and 2) expected conduct of the traveling public is easily accessible and end-user friendly.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when TheRide publishes a Code of Conduct or riding rules and policies on all buses, terminals, website and the printed RideGuide.

Rationale

Policy 2.1.2 has addressed this policy in part by setting guidelines on how the agency should handle information to the public as relates to our services (and any general information about the agency). To avoid repetition, this interpretation addresses public conduct only.

This is reasonable because the code of conduct or riding rules and policies outline expectations for public behavior on agency property and in buses. Publishing written material in transit centers, on all buses, in the Ride Guide, and on the website is reasonable as those are the areas that the public can readily access/see them.

**Evidence**

**Source of Data: Code of conduct postings**

**Date of Data Review:** 10/09/2024 as verified by Manager of Facilities, Manager of Fleet, Manager of Public Affairs and Community Engagement.

**Data:**

The code of conduct was posted in buses, terminals, and on the website and the RideGuides had riding rules and policies.

**POLICY 2.1.4**

Use methods of collecting, reviewing, transmitting, or storing personal information that allows improper access or inappropriate disclosure.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that all customer information will be safeguarded and only disclosed to the staff with an operational need.

Measure/Standards & Achievement

Compliance with this policy will be achieved when

- A. Sensitive personal information collected through the paratransit program (ARide) is handled in accordance with the Confidentiality of Applicant Information provisions of the Americans with Disabilities Act.
- B. Policy 2.1.4.1 below is compliant

Rationale

This is reasonable because

- A. Customer personal information is collected for the paratransit (ARIDE) program only. (GoldRide, and the Fare Deal program users may need to verify demographic information at the time of purchase, but their information is not collected or stored by the agency.) A-Ride is operated in line with the America with Disabilities Act (ADA) which provides guidelines on how to keep such information confidential and only accessible/disclosed to appropriate persons for the right reasons. Compliance with ADA requirements is reviewed during the Federal Transit Administration (FTA) tri-annual review.
- B. The Board defines each policy in descending levels of detail to the point it is willing to accept ANY reasonable interpretation. Therefore, compliance with policy 2.1.4.1 constitutes compliance with this policy.

**Evidence**

**Source of Data:** Operational records

**Date of Data Review:** 10/09/2024 as verified by Manager of Mobility Services

**Data:**

- A. During the monitoring period customer information was secured in accordance with the Americans with Disabilities Act confidentiality requirements
- B. Policy 2.1.4.1 is compliant

**POLICY 2.1.4.1**

Use forms that elicit personal information for which there is no clear necessity.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that information collected by the agency from the public will be specific and for legal, administrative, and security purposes.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when

- A. No written or electronic means is used to collect information unless the agency is legally required to, it is necessary to effectively administer programs such as paratransit or is needed for safety and security reasons.
- B. The Deputy CEO of Finance and Administration approves any new form requesting personal information from members of the public

Rationale

This is reasonable because

- A. This review ensures that customer information collecting forms have an operational need
- B. Requiring that the Deputy CEO of Finance and Administration approve new forms places a guard that reviews and validates the necessity of any such form that would be used in the future.

**Evidence**

**Source of Data:** Customer data systems

**Date of Data Review:** 10/07/2024 as verified by DCEO, Finance and Administration

**Data:**

- A. Existing written and electronic means of collecting customer information have already been approved as necessary to conduct business operations.
- B. No new forms requesting personal information were developed or approved in the monitoring period.

## Policy Trendlines

Policy	FY 21	FY22	FY23	FY24
2.1				
2.1.1				
2.1.2				
2.1.2.1				
2.1.3				
2.1.3.1				
2.1.4				
2.1.4.1				
2.1.5				
2.1.5.1				
2.1.6				
2.1.6.1				

LEGEND	
	Policy is not compliant
	Policy is partially compliant
	Policy is compliant

## Guidance on Determining “Reasonableness” of CEO Interpretations

### Are the interpretations reasonable?

An interpretation is reasonable if the following are provided,

1. a measure or standard,
2. a defensible rationale for the measure or standard,
3. a level of achievement necessary to achieve compliance and
4. a rationale for the level of achievement.

### Is evidence verifiable?

Evidence is verifiable if there is

1. actual measurement/data,
2. the source of data and
3. the date when data was collected is provided.

## CEO Notes:

Both policy 2.1.2 and 2.1.3.1 require that the public be provided with service-related information. To eliminate redundancy, the CEO recommends that Policy 2.1.3.1 be editing to read as follows:

“Allow the public and riders to be without easily accessible, understandable information with respect to ~~services offered and~~ expected conduct.”

This recommended change does not alter the direction provided to the CEO by the Board.

### **Board's Conclusion on Monitoring Report**

#### **Board's conclusion after monitoring the report.**

Following the Board's review and discussion with the CEO, the Board finds that the CEO:

- (A) a reasonable interpretation for **all** policy items and that the evidence demonstrates compliance with the interpretations.
- (B) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO's stated non-compliance with item(s) x .x, which the Board acknowledges and accepts the proposed dates for compliance.
- (C)
  1. For policy items x.x.x – there is evidence of compliance with a reasonable interpretation
  2. For policy items x.x.x – the interpretation is not reasonable
  3. For policy items x.x.x – the interpretation is reasonable, but the evidence does not demonstrate compliance
  4. For policy items x.x.x – the Board acknowledges and accepts the CEO's stated non-compliance and the proposed dates for compliance

### **Board Notes: (If Applicable)**

## WORKSHEET RESULTS:

### Treatment of the Traveling Public (Policy 2.1)

#### Participants: 8 Board Members

Mike Allemang, Chris Allen, Simi Barr, Rich Chang, Julie Grand,  
Jesse Miller, Kathleen Mozak, Susan Pollay

Performance on reasonable interpretation and verifiable evidence			
	% of Board members that find the interpretation reasonable	% of Board members that find the evidence verifiable	Additional comments if NO stated
<b>Policy 2.1</b> With respect to the agency's operations and interactions with riders, potential riders, pedestrians, cyclists, other road users, and the general public the CEO shall not cause, allow or fail to address conditions, procedures, or decisions that are unsafe, undignified, disrespectful, unclear, or overly intrusive. Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:	<b>100%</b>	<b>100%</b>	

<p><b>Policy 2.1.1</b> Allow facilities, bus stops, vehicles, or services to lack reasonable accessibility for potential riders regardless of mobility limitations.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	
<p><b>Policy 2.1.2</b> Operate without providing effective, comprehensible, accessible, and timely information</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	
<p><b>Policy 2.1.2.1</b> Permit unfair, inconsistent, or untimely responses to questions or complaints from the traveling public.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	
<p><b>Policy 2.1.3</b> Operate without established and enforceable standards for customer service and the safety of the public including pedestrians, cyclists and other road users.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	

<p><b>Policy 2.1.3.1</b> Allow the public and riders to be without easily accessible, understandable information with respect to services offered and expected conduct.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	
<p><b>Policy 2.1.4</b> Use methods of collecting, reviewing, transmitting, or storing personal information that allows improper access or inappropriate disclosure.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	
<p><b>Policy 2.1.4.1</b> Use forms that elicit personal information for which there is no clear necessity.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	

### Additional context questions

1. Is there any reason to doubt the integrity of the information presented?

**Responses**

(8) – NO

2. If the CEO has indicated **NON-COMPLIANCE** with any aspect of this policy, is there a commitment as to when the Board can expect to see compliance and is the proposed time-frame acceptable?

**Responses**

(8) N/A

3. Having reviewed the monitoring report, does anything you have learned make you consider whether the **POLICY ITSELF** should be amended? (Policy amendment is not monitoring, but should be addressed as a board decision.)

**Responses**

(3) NO

- I am open to the suggested edits, so long as the administrative burden on the board is reasonable.

(5) YES

- 2.1.1 reads to me like these facilities need to have reasonable accessibility now. The CEO's interpretation indicates we have future plans to have all bus stops accessible by 2033, which has been discussed with the board. However, I think there could be a modification made to the policy if we are ok with the CEO's interpretation so it's more aligned.
- The CEO has identified redundancies with both policy 2.1.2 and 2.1.3.1. Does the Board wish to consider his advice and make the recommended change, provide an alternate change or leave the policies as written?
- I agree with the CEO's assessment that 2.1.2 and 2.1.3.1 overlap
- I support the CEO's recommended change to 2.1.3.1.
- For policy 2.1.3, I voted it as "reasonable interpretation" by the CEO. However, I am wondering if just focusing on training and enforcement on training is comprehensive enough? I would be interested to know what the actual safety record is, such as how many bus->"x" (Where 'x' is

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Continued ...

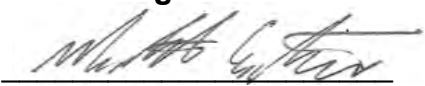
pedestrians, cars, bikes, etc) incidents in the monitoring time period. The policy itself focuses on, "... enforceable standards" which is why I think the CEO's interpretation is correct, but I think we need to revisit this in regard to measurable data beyond training.

**APPROXIMATELY HOW MANY MINUTES DID IT TAKE YOU TO FILL OUT THIS FORM?**








25, 10, 20, 15, 25, 25, 15, 30




## Monitoring Report: Treatment of Staff (Policy 2.2)

**Service Committee Meeting Review Date: October 1, 2024**  
**Board of Directors Meeting Review Date: November 21, 2024**

INFORMATION TYPE
Monitoring
RECOMMENDED ACTION(S)
<p>At the 10/1/24 Service Committee Meeting, the Committee recommends that the Board review this monitoring report and consider accepting it as:</p> <ul style="list-style-type: none"> <li>(A) a reasonable interpretation for <b>all</b> policy items and that the evidence demonstrates compliance with the interpretations.</li> <li>(B) <b>a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO's stated non-compliance with item(s) 2.2.3, which the Board acknowledges and accepts the proposed dates for compliance.</b></li> <li>(C) 1. For policy items x.x.x – there is evidence of compliance with a reasonable interpretation</li> <li>2. For policy items x.x.x – the interpretation is not reasonable</li> <li>3. For policy items x.x.x – the interpretation is reasonable, but the evidence does not demonstrate compliance</li> <li>4. For policy items x.x.x – the Board acknowledges and accepts the CEO's stated non-compliance and the proposed dates for compliance</li> </ul>
ISSUE SUMMARY
<p>TheRide's Board of Directors establish policies that define what methods are unacceptable to use to achieve expected results, called Executive Limitations. This monitoring report provides the CEO's interpretations of those policies, evidence of achievement, and an assertion on compliance with the Board's written goals. As with other monitoring reports, the Board decides whether the interpretations are reasonable, and the evidence is convincing.</p> <p>Per Appendix A of the Board Policy Manual, this report was scheduled for monitoring in June and was submitted in Oct</p> <p>I certify that the information is true and complete, and I request that the Board accept this as indicating an acceptable level of compliance.</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%;"> <p><b>CEO's Signature</b></p>  </div> <div style="width: 45%;"> <p><b>Date</b></p> <p>September 20, 2024</p> </div> </div>
ATTACHMENTS
1. Monitoring report for Treatment of Staff (Policy 2.2)

## Table of Contents

POLICY TITLE: Treatment of Staff	Page#	Compliance
2.2 The CEO will not cause or allow employment conditions that are inconsistent, discriminatory, unfair, unsafe, unhealthy, undignified, disorganized, or unclear.  Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:	3	
2.2.1. Operate in a manner that undermines the organization as a workplace of choice.	5	
2.2.1.1. Operate with a work environment that devalues the humanity, creativity and knowledgeable contribution of its workforce or inhibits the recruitment of highly qualified people.	6	
2.2.2. Operate without up-to-date, clear, available, written, and enforced personnel rules or contracts that clarify standards and expectations, provide for effective handling of grievances, and protect against wrongful conditions, such as nepotism and unfairly preferential treatment for personal reasons	8	
2.2.2.1 Fail to provide internal controls necessary to enforce such policies.	10	
2.2.3 Allow retaliation against any staff member for non-disruptive expression of dissent.	11	
2.2.4 Allow staff to be unprepared to deal with emergency situations.	12	

-  Fully Compliant
-  Partially Compliant
-  Non-Compliant

## Preliminary CEO Interpretations and Evidence

### **POLICY 2.2**

The CEO will not cause or allow employment conditions that are inconsistent, discriminatory, unfair, unsafe, unhealthy, undignified, disorganized, or unclear.

Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

### **Degree of Compliance: Partially Compliant**

#### **Interpretation**

##### Operational definition

I interpret this policy to mean that the agency will provide all employees with a working environment that is physically and psychologically safe, well organized, and protects employee rights.

##### Measure/Standards & Achievement

Compliance will be achieved when

- A. The agency has a robust up to date workplace safety program that is compliant with all federal and state safety regulations and requirements.
- B. Total recordable incident rates should decrease by 5% year over year
- C. There are no employee fatalities where anything reasonably under the control of the employer contributed to such a situation
- D. The agency is compliant with lower-level policies.

##### Rationale

This is reasonable because

- A. A comprehensive agency safety plan (Public Transportation Agency Safety Plan) ensures an agency has enforceable risk reduction programs, develops and monitors safety performance and provides adequate safety training and communication. All these pieces are critical to improving agency safety. This Plan requires annual certification by the Board of Directors and is reviewed every three years by the Federal Transit Administration as part of the Triennial review process.
- B. The Occupation Safety and Health Administration (OSHA) defines recordable incidents as those that meet a detailed criteria to include work-related injuries or illnesses that result to loss of workdays and require medical treatment beyond first aid. Based on America Public Transit Association records of 2021, incident rates in the transit industry **increased** year by year at a rate of 1%. Per TheRide's Safety Plan (PTASP) our targets are to **decrease** safety recordable incidents by 5% year to year.
- C. Workplace fatalities are tragic and preventing them is inherently reasonable. From a strict business perspective, they impose enormous costs on the organization and are worth investment to prevent. All other safety concerns are addressed in other aspects of this policy.
- D. Compliance with this policy is dependent on compliance with lower-level policies.

### Evidence

**Source of Data:** Safety and Employment records

**Date of Data Review:** 09/18/2024 as verified by the Safety Officer and the Corporate Strategy and performance officer.

**Data:**

- A. A review of meeting minutes indicate that the TheRide Board of Directors reviewed and certified the PTASP on 10/16/2023
- B. There were no employee fatalities during the monitoring period
- C. Incidents decreased from 32 to 26, a 19% decrease from the previous monitoring period.
- D. All policies except 2.2.3 are compliant.

**Compliance Timeline:**

A compliant timeline is provided in policy 2.2.3

**POLICY 2.2.1**

Operate in a manner that undermines the organization as a workplace of choice.

**Degree of Compliance: Compliant**

**Interpretation**

Operational definition:

I interpret this policy to mean that the agency will provide a conducive working environment characterized by a reasonable number of employees choosing to continuously work for the agency.

Measure/Standards & Achievement

Compliance with this policy will be achieved when policy 2.2.1.1 is compliant

Rationale

To be a workplace of choice the agency must create a work environment where people stay and produce quality work. Staff retention is a key element of the interpretation of 2.2.1.1, and like synonymous with the intent of policy 2.2.1.

**Evidence**

**Source of Data:** Policy 2.2.1.1

**Date of Data Review:** 09/18/24 as verified by the Corporate Strategy and Performance Officer.

Policy 2.2.1.1. is compliant.

**POLICY 2.2.1.1**

Operate with a work environment that devalues the humanity, creativity and knowledgeable contribution of its workforce or inhibits the recruitment of highly qualified people.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that the agency will have a work environment that is able to retain employees that produce high-quality work product.

Measure/Standards & Achievement

Compliance will be demonstrated when

- A. The employee turnover rate is reasonable considering industry trends.
- B. There is no pattern in meeting minutes that the Board finds the agency’s work to be lacking in quality and/or being incomplete or inconsistent.

Rationale

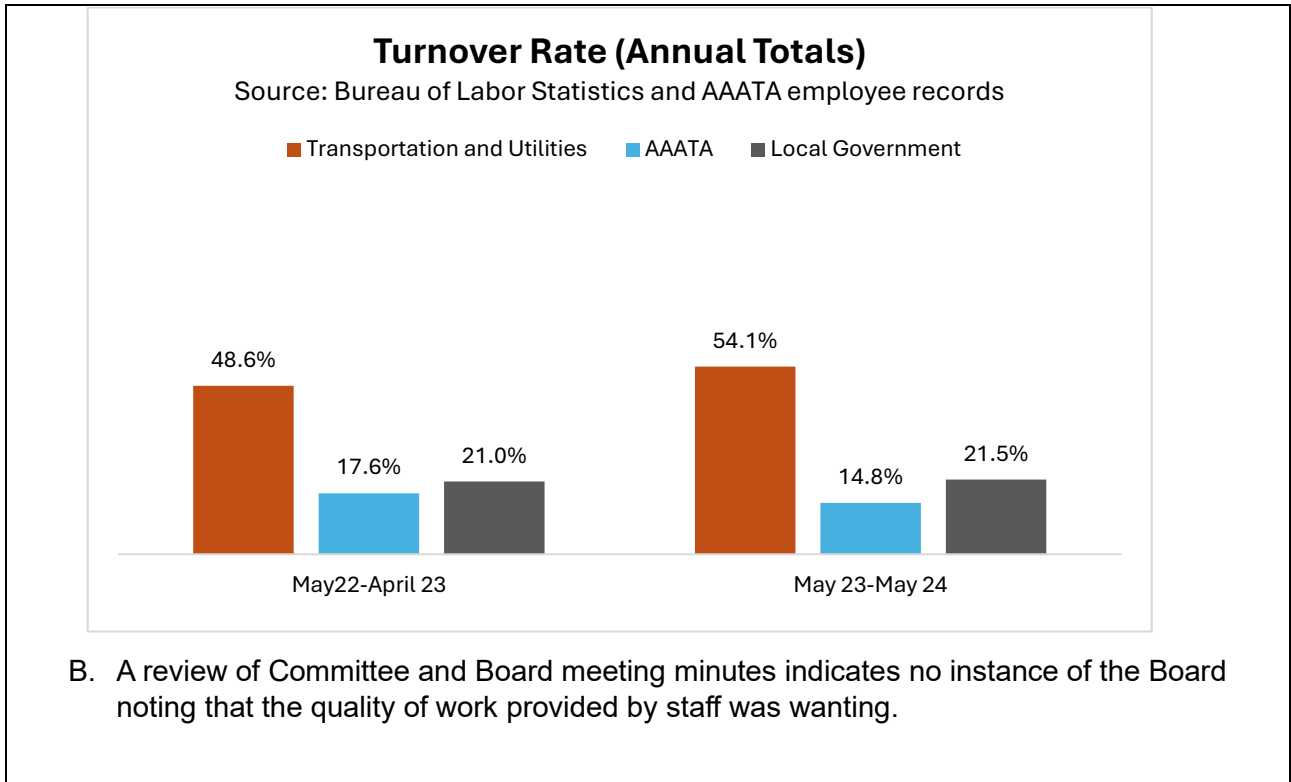
- A. Turnover (i.e. staff retentions or attrition) is a reasonable indicator of a positive work environment. Some turnover is normal. If the work environment is poor, many employees may leave. Reasonable turnover is lower than the industry average. Using similar industry trends as a benchmark provides context while accounting for macroeconomic trends.
- B. It is difficult to define or measure creativity, knowledgeable contribution and high qualifications. However, the quality of the work products produced by staff are a quantifiable proxy indicator of the quality of the work environment. If the environment were poor, lower quality work would be more likely. Board meeting minutes are a reasonable measure as they are, after staff, the group most familiar with the agency’s output. A pattern of Board concerns would indicate chronic issues.

**Evidence**

**Source of Data:** Employee records and Bureau of Labor Statistics and Board Meeting Minutes

**Date of Data Review:** 09/18/24 as verified by Manager of Human Resources, Corporate Strategy and Performance Officer and the Executive Administrative Assistant

- A. The graph below indicates TheRide’s annual total turnover performance in relation to the transportation and local government industries. Periods have been grouped from May to April to match the monitoring period of this report.



**POLICY 2.2.2**

Operate without up-to-date, clear, available, written, and enforced personnel rules or contracts that clarify standards and expectations, provide for effective handling of grievances, and protect against wrongful conditions, such as nepotism and unfairly preferential treatment for personal reasons

**Degree of Compliance: Compliant**

**Interpretation**

Operational definition

I interpret this policy to mean that the agency will have a signed employee- employer agreement that addresses all the aspects addressed in this policy.

Measure/Standards & Achievement

Compliance with this policy when

- A. The non-union handbook addresses the requirements of this policy, is signed by staff to acknowledge their understanding and acceptance to terms upon hire, and is available at any time upon request at the HR department,
- B. The union contract addresses these elements is in effect or being negotiated, signed by staff to acknowledge their understanding and acceptance of terms upon hire, and is easily accessible.
- C. The Authority’s Anti-Harassment, Discrimination and Retaliation Policy which addresses harassment and discrimination, and that this policy is also reviewed, acknowledged, and signed by all staff upon hire and is easily accessible for reference thereafter.
- D. Policy 2.2.2.1 is compliant

Rationale

- A.-B. This is reasonable as all AAATA employees are either union or non-union staff and their employer-employee agreements are documented either in the non-union employee handbook or the union contract.
- C. The Authority’s Anti-harassment, discrimination and retaliation policy provides details on what is considered unacceptable. Providing this information to staff upon hire ensures expectations are well known and understood from day 1 of work. Ease of document accessibility thereafter ensures that staff can reference the document as needed.
- D. Compliance with this policy is dependent on lower-level policies being compliant.

**Evidence**

**Source of Data:** Union Contract and Non-union handbook, Anti-Harassment. Discrimination and Retaliation Policy, and lower-level policy compliance.

**Date of Data Review:** 09/18/2024 as verified by Manager of Human Resources

**Data:**

A-C : A review of the Non-union handbook, union contract and the Anti-Harassment. Discrimination and Retaliation Policy indicate:

	Non-Union Employees Handbook	Union Contract
Up-to date	Yes, updated in <b>January 2021</b>	Yes, updated <b>April 2022</b> Covers the period of April 2022 to March 2026.
Clear	Written language is proofed for ease of readability before it is shared with staff	
Available	All non-union staff receive a copy and must sign an acknowledgement form.	All union staff receive a copy of the contract upon hire and must sign an acknowledgement form to confirm receipt.
Written	Yes	
Provision of standards and expectations	This document provides general employee standards and expectations. Further expectations based on role are provided upon new hire orientation by direct managers/supervisors	
Provisions for effective handling of grievances	The appeals process is documented in page 6 of the nonunion employee handbook. It provides several avenues to address complaints or concerns of harassment, discrimination, or retaliation.	The union contract has a whole section addressing parameters and procedures for addressing grievances. Similar to the Non- union handbook, several avenues of addressing grievances are provided. This gives the employees a chance to use the channel with which they are most comfortable.
Protections against wrongful conditions such as nepotism and unfair preferential treatment.	This provision is addressed in the Anti-Harassment. Discrimination and Retaliation Policy.	

D. Lower-level policy is compliant

<b>POLICY 2.2.2.1</b>
Fail to provide internal controls necessary to enforce such policies.
<b>Degree of Compliance: Compliant</b>
<b>Interpretation</b>
<p><u>Operational definition</u> I interpret this policy to mean that there will be mechanisms, policies, and procedures in place to ensure the integrity of both union and non-union employee-employer agreements.</p> <p><u>Measure/Standards &amp; Achievement</u> Compliance will be demonstrated when mechanisms for holding staff accountable as described in Policy 2.2.2. exist.</p> <p><u>Rationale</u> This is reasonable as that's what the policy asks for.</p>
<b>Evidence</b>
<p><b>Source of Data:</b> Employee records <b>Date of Data Review:</b> 09/18/2024 as verified by the Manager of Operations and the Manager of Human Resources</p> <p><b>Union:</b> The union contract addresses how infractions will be addressed on Page 19. Where disciplinary action was warranted, corrective action was initiated within seven working days. This is in line with the existing contract dated for the period of April 1<sup>st</sup>, 2022-March 31<sup>st</sup>, 2026.</p> <p><b>Non-Union:</b> Department managers addressed non-union employee performance and workplace conduct in light of set job expectations and guidance provided in the non-union handbook, 2022 (page 10)</p> <p>Overall, management considered extenuating circumstances and where applicable recommended counselling or retraining to minimize recurrences.</p>

<p><b>POLICY 2.2.3</b>          Allow retaliation against any staff member for non-disruptive expression of dissent.</p>
<p><b>Degree of Compliance: Not Compliant</b></p>
<p><b>Interpretation</b></p>
<p><u>Operational Definition</u>          I interpret this policy to mean that the agency will provide avenues for staff to report any disagreement with a management action that is made in a respectful manner and is not a refusal or encouragement to not perform work (aside from immediate safety concerns). Additionally, these avenues will be easily accessible to staff and independent of the agency chain of leadership.</p> <p><u>Measure/Standards &amp; Achievement</u>          Compliance will be achieved when a whistleblower policy is available and is easily accessible to staff.</p> <p><u>Rationale</u>          This is reasonable because a whistleblower policy encourages staff to come forward with credible information on illegal practices or violations of adopted policies and also specifies that the organization will protect the individual from retaliation. Such a policy would be overseen by the corporate counsel who functions independently from the chain of leadership.</p>
<p><b>Evidence</b></p>
<p><b>Source of Data:</b> Whistleblower policy.</p> <p><b>Date of Data Review:</b> 09/11/2024 as verified by CEO</p> <p>A whistleblower policy was not available during the monitoring period and for this reason the CEO notes non-compliance with this policy.</p> <p><b>Compliance Timeline:</b> Due to turn over in the Human Resources department this work was not completed within the scheduled timeline. Compliance with this policy can be expected by January 1<sup>st</sup>, 2025.</p>

**POLICY 2.2.4**

Allow staff to be unprepared to deal with emergency situations.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that the agency will proactively prepare staff to deal with emergency situations and provide adequate resources when such situations occur.

Measure/Standards & Achievement

Compliance will be demonstrated when

- A. The agency operates with an up-to-date Emergency Action Plan (EAP) that is readily available and accessible to all staff.
- B. All staff receive safety and emergency-related training as part of orientation and frequent refresher courses in line with their work requirements. Such training will include new hire orientation safety training, and successful completion of emergency drills , and enroute safety training for Motor Coach Operators
- C. All emergency situations that occur during the monitoring period are handled efficiently and safely.

Rationale

This is reasonable because

- A. An up-to-date Emergency Action Plan comprehensively addresses procedures to be undertaken during an emergency i.e., how to evacuate employees to safety, crowd management, emergency responses on site and when and how to hand over to other emergency support systems e.g., medical teams and law enforcement teams. The plan is based on Occupational Safety and Health Administration (OSHA) guidelines.
- B. Providing emergency training at orientation is reasonable as emergency situations can happen at any time. Successful completion of drills indicates that employees have constant refreshers on what to do in cases of emergency. Different roles have varying safety training requirements beyond the blanket drills and safety trainings and are provided as such. All trainings and drills are provided in line with existing regulations and OSHA work safety guidelines.
- C. The outcome of an actual event is the best indicator of how well employees are equipped to handle emergency situations. A successful event requires sufficient emergency training, an effective decision-making team, proper coordination of resources and information prior to such an event occurring.

**Evidence**

**Source of Data:** Emergency Plans, Operational records.

**Date of Data Review:** 09/18/2024 as verified by DCEO, Operations and Safety Officer .

**A. The Emergency Action Plan** was provided to department managers for dissemination to staff and is also accessible in an electronic drive accessible to all employees.

**B. Drills and Trainings**

During the monitoring period, the following drills and safety trainings occurred.

	Dates or timeline.	Target* achieved: Yes/No
New hire safety training	Upon employee hire	Yes
Fire Drills	10/16/23, 2/22/24 & 6/7/24	Yes
Severe Weather Drills	8/8/23 4/15/24	Yes
Active Shooter Drills	4-17/23-5/7/23, & 6/27/23- 6/28/23	Yes
Enroute Emergency training (MCOs)	All MCOs the annual refresher course that includes enroute emergency.	Yes

\*- Safety targets are set based on safety guidelines provided by OSHA and the FTA .

**C. Emergency incidents during the monitoring period.**

Emergency Incident: Inclement weather on January 12, 2024, caused safety concerns that led to TheRide making a decision to stop services at 9:30PM. Generally, services run until 12:30AM. Services resumed the following day as scheduled.

Preparation: Prior to the incident

- All drivers had received safety training which included guidance on how deal with inclement weather
- The maintenance department was well equipped to support operations with additional fleet as they helped snow-stuck fleet get back in service and
- Weather reports were consistently reviewed and used for contingency planning.

During the event:

Behind the scenes, an interdepartmental team continuously assessed the situation to include changing weather conditions, the number of vehicles stuck, in/ability to send recovery vehicles, extreme temperatures in buses that had been immobile, deteriorating road conditions, delayed plowing etc., With the safety of customers and drivers at the front line, a decision was made to halt services at 9:30PM. Focus then shifted to getting staff and customers to safety and retrieving all stuck vehicles back to the garage. This was successfully done, and all vehicles were back in the garage by 11:00PM. Services picked up the following morning as scheduled.

The agency did not experience any other emergency situations during the monitoring period.

## CEO Notes

The CEO is asking the Board to revisit the intent and wording of policies 2.2.1 and 2.2.1.1. We have struggled for years to define and measure workplace culture with no more success than anyone else. Further, these policies are likely ‘backdoor Means prescriptions’ as they really describe activities to occur rather than negative outcomes to be avoided. Neither are original Carver polices, both were created in 2017. He asks the Board to consider revisiting these policies to clarify their purpose and whether they are needed.

## Policy Trendlines

Policies	FY 20	FY 21	FY 22	FY 23	FY24
2.2	Yellow	Blue	Yellow	Yellow	Yellow
2.2.1	Green	Blue	Yellow	Yellow	Green
2.2.1.1	Green	Blue	Green	Green	Green
2.2.2	Red	Green	Green	Green	Green
2.2.2.1	Green	Green	Green	Green	Green
2.2.3	Green	Blue	Green	Green	Red
2.2.4	Yellow	Blue	Green	Green	Green

LEGEND	
Red	Policy is not compliant
Yellow	Policy is partially compliant
Green	Policy is compliant
Blue	Cannot be determined

## Guidance on Determining “Reasonableness” of CEO Interpretations

### **Are the interpretations reasonable?**

An interpretation is reasonable if the following are provided,

1. a measure or standard,
2. a defensible rationale for the measure or standard,
3. a level of achievement necessary to achieve compliance and
4. a rationale for the level of achievement.

### **Is evidence verifiable?**

Evidence is verifiable if there is

1. actual measurement/data,
2. the source of data and
3. the date when data was collected is provided.

### Board's Conclusion:

Following the Board's review and discussion with the CEO, the Board finds that:

- (A) a reasonable interpretation for **all** policy items and that the evidence demonstrates compliance with the interpretations.
- (B) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO's stated non-compliance with item(s) x .x, which the Board acknowledges and accepts the proposed dates for compliance.
- (C)
  1. For policy items x.x.x – there is evidence of compliance with a reasonable interpretation
  2. For policy items x.x.x – the interpretation is not reasonable
  3. For policy items x.x.x – the interpretation is reasonable, but the evidence does not demonstrate compliance
  4. For policy items x.x.x – the Board acknowledges and accepts the CEO's stated noncompliance and the proposed dates for compliance

## WORKSHEET RESULTS:

### Treatment of Staff (Policy 2.2)

#### Participants: 6 Board Members

Mike, Allemang, Chris Allen, Simi Barr, Rich Chang, Julie Grand, Kathleen Mozak

Performance on reasonable interpretation and verifiable evidence			
	% of Board members that find the interpretation reasonable	% of Board members that find the evidence verifiable	Additional comments if NO stated
<b>Policy 2.2</b> The CEO will not cause or allow employment conditions that are inconsistent, discriminatory, unfair, unsafe, unhealthy, undignified, disorganized, or unclear. Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:	100%	100%	
<b>Policy 2.2.1</b> Operate in a manner that undermines the organization as a workplace of choice.	100%	100%	

<p><b>Policy 2.2.1.1</b> Operate with a work environment that devalues the humanity, creativity and knowledgeable contribution of its workforce or inhibits the recruitment of highly qualified people.</p>	<p><b>83%</b></p>	<p><b>83%</b></p>	<ul style="list-style-type: none"> <li>• The first part of this policy, "that devalues the humanity, creativity and knowledgeable contribution" could be captured with more concise language.</li> <li>• I'm not sure why the following was included since it doesn't seem to relate to the B Measure of achievement: It is difficult to define or measure creativity, knowledgeable contribution and high qualifications.</li> </ul>
<p><b>Policy 2.2.2</b> Operate without up-to-date, clear, available, written, and enforced personnel rules or contracts that clarify standards and expectations, provide for effective handling of grievances, and protect against wrongful conditions, such as nepotism and unfairly preferential treatment for personal reasons</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	

<b>Policy 2.2.2.1</b> Fail to provide internal controls necessary to enforce such policies.	<b>100%</b>	<b>100%</b>	
<b>Policy 2.2.3</b> Allow retaliation against any staff member for non-disruptive expression of dissent.	<b>100%</b>	<b>83%</b>	<ul style="list-style-type: none"> <li>• What can be done to come into compliance with this policy sooner than January 1st, 2025?</li> <li>• No evidence provided</li> </ul>
<b>Policy 2.2.4</b> Allow staff to be unprepared to deal with emergency situations.	<b>100%</b>	<b>83%</b>	

**Additional context questions**

1. Is there any reason to doubt the integrity of the information presented?

**Responses – (6) NO**

2. If the CEO has indicated **NON-COMPLIANCE** with any aspect of this policy, is there a commitment as to when the Board can expect to see compliance and is the proposed time-frame acceptable?

**Responses – (6) YES**

- What can be done to come into compliance with this policy sooner than January 1st, 2025?

**3. Having reviewed the monitoring report, does anything you have learned make you consider whether the POLICY ITSELF should be amended? (Policy amendment is not monitoring, but should be addressed as a board decision.)**

**Responses – (1) YES**

- 2.2.1.1 is unclear and difficult to measure

**(5) NO**

**APPROXIMATELY HOW MANY MINUTES DID IT TAKE YOU TO FILL OUT THIS FORM?**

20, 20, 25, 35, 12, 20

**Monitoring Report:  
Emergency CEO Succession (Policy 2.8)  
Monitoring Period: FY24 (Oct 1<sup>st</sup>, 2023 - September 30<sup>th</sup>, 2024)**

**Governance Committee Meeting Review Date: October 24<sup>th</sup>, 2024**

**Board of Directors Meeting Review Date: November 21<sup>st</sup>, 2024**

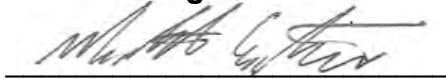
<b>INFORMATION TYPE</b>
Monitoring
<b>RECOMMENDED ACTION(S)</b>
<p>That the Board review this monitoring report and consider accepting it as:</p> <p>(A) a reasonable interpretation for <b>all</b> policy items and that the evidence demonstrates compliance with the interpretations.</p> <p>(B) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO’s stated non-compliance with item(s) x .x, which the Board acknowledges and accepts the proposed dates for compliance.is making reasonable progress towards compliance.</p> <p>(C) 1. For policy items x.x.x – there is evidence of compliance with a reasonable interpretation          2. For policy items x.x.x – the interpretation is not reasonable          3. For policy items x.x.x – the interpretation is reasonable, but the evidence does not demonstrate compliance          4. For policy items x.x.x – the Board acknowledges and accepts the CEO’s stated non-compliance and the proposed dates for compliance</p>
<b>PRIOR RELEVANT BOARD ACTIONS &amp; POLICIES</b>
<p>Monitoring Reports are a key Policy Governance tool to assess organizational/CEO performance in achieving Ends (1.0) within Executive Limitations (2.0). A Policy-Governance-consistent Monitoring Process is:</p> <ol style="list-style-type: none"> <li>1. CEO sends Monitoring Report to all board members</li> <li>2. At Board meeting, board accepts Monitoring Report through majority vote (or if not acceptable, determines next steps)</li> </ol>
<b>ISSUE SUMMARY</b>
<p>TheRide’s Board of Directors establish policies that define what methods are unacceptable to use to achieve expected results, called Executive Limitations. This monitoring report provides the CEO’s interpretations of those policies,</p>

evidence of achievement, and an assertion on compliance with the Board's written goals. As with other monitoring reports, the Board decides whether the interpretations are reasonable, and the evidence is convincing.

Per Appendix A of the Board Policy Manual, this report was scheduled for monitoring in October and was submitted in November.

I certify that the information is true and complete, and I request that the Board accept this as indicating an acceptable level of compliance.

**CEO's Signature**




**Date**

October 4, 2024

**ATTACHMENTS**

1. Monitoring report for Emergency CEO Succession (Policy 2.8)

POLICY TITLE: EMERGENCY CEO SUCCESSION	Page#	Compliance
2.8 In order to protect the Board from sudden loss of CEO services, the CEO may have no fewer than one, and preferably two, other executives who are sufficiently familiar with Board and CEO issues and processes to be able to temporarily assume the duties of CEO.	3	



Fully Compliant



Partially Compliant



Non-Compliant

## Preliminary CEO Interpretations and Evidence

### **POLICY 2.8**

In order to protect the Board from sudden loss of CEO services, the CEO may have no fewer than one, and preferably two, other executives who are sufficiently familiar with Board and CEO issues and processes to be able to temporarily assume the duties of CEO.

**Degree of Compliance: Compliant**

#### **Interpretation**

##### Operational Definition

I Interpret this policy to mean that at least one Deputy CEO position will be staffed at all times by at least one person who is familiar with the Board, its functions, Policy Governance, and ongoing operational matters, and who could temporarily assume the CEO role.

##### Measure/Standards & Achievement

Compliance will be demonstrated when there is at least one executive staff that could temporarily function as CEO for AAATA. The individual must be able to work with the staff team to maintain all key AAATA functions without guidance from the current CEO and have a working knowledge of board policies and processes. They should have received some training in Policy Governance.

##### Rationale

These standards and targets are reasonable because Deputy CEO's work with each other and the CEO daily and already have a good understanding on operational and Board matters.

#### **Evidence**

**Source of Data:** Employment & training records

**Date of Data Review:** 09/25/24 as verified by CEO

##### **Data:**

There were three Deputy CEO positions during the monitoring period (Operations, Finance and Administration, Planning and Innovation) and all were filled during the entire period. Each has attended the Policy Governance Boot Camp.

During the monitoring period, the deputies worked closely together with the CEO, attended most Board and committee meetings, and each had an understanding of Policy Governance basics. Additionally, they all understand the current state of AAATA operations and board issues well enough to step into the CEO's role should the need arise.

**Policy Trendlines**

Policy	FY22	FY23	FY24
2.8			

LEGEND	
	Policy is not compliant
	Policy is partially compliant
	Policy is compliant

**Guidance on Determining “Reasonableness” of CEO Interpretations**

**Are the interpretations reasonable?**

An interpretation is reasonable if the following are provided,

1. a measure or standard,
2. a defensible rationale for the measure or standard,
3. a level of achievement necessary to achieve compliance and
4. a rationale for the level of achievement.

**Is evidence verifiable?**

Evidence is verifiable if there is

1. actual measurement/data,
2. the source of data and
3. the date when data was collected is provided.

### Board's Conclusion on Monitoring Report

#### Board's conclusion after monitoring the report.

Following the Board's review and discussion with the CEO, the Board finds that the CEO:

- (A) a reasonable interpretation for **all** policy items and that the evidence demonstrates compliance with the interpretations.
- (B) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO's stated non-compliance with item(s) x .x, which the Board acknowledges and accepts the proposed dates for compliance.
- (C)
  1. For policy items x.x.x – there is evidence of compliance with a reasonable interpretation
  2. For policy items x.x.x – the interpretation is not reasonable
  3. For policy items x.x.x – the interpretation is reasonable, but the evidence does not demonstrate compliance
  4. For policy items x.x.x – the Board acknowledges and accepts the CEO's stated non-compliance and the proposed dates for compliance

### Board Notes: (If Applicable)

**WORKSHEET RESULTS:**

**Emergency CEO Succession (Policy 2.8)**

**Participants: 6 Board Members**

Mike Allemang, Chris Allen, Simi Barr, Rich Chang, Julie Grand, Kathleen Mozak

<b>Performance on reasonable interpretation and verifiable evidence</b>			
	<b>% of Board members that find the interpretation reasonable</b>	<b>% of Board members that find the evidence verifiable</b>	<b>Additional comments if NO stated</b>
<b>Policy 2.8</b> In order to protect the Board from sudden loss of CEO services, the CEO may have no fewer than one, and preferably two, other executives who are sufficiently familiar with Board and CEO issues and processes to be able to temporarily assume the duties of CEO.	<b>100%</b>	<b>100%</b>	

**Additional context questions**

**1. Is there any reason to doubt the integrity of the information presented?**

**Responses – (6) NO**

**2. If the CEO has indicated NON-COMPLIANCE with any aspect of this policy, is there a commitment as to when the Board can expect to see compliance and is the proposed time-frame acceptable?**

**Responses - (6) N/A**

**3. Having reviewed the monitoring report, does anything you have learned make you consider whether the POLICY ITSELF should be amended? (Policy amendment is not monitoring, but should be addressed as a board decision.)**

**Responses – (5) NO**

**(1) YES**

- I don't think \*this\* particular policy should be amended, but should there be a policy regarding the CEO ensuring there is adequate succession processes in place for the Deputy CEOs? I am sure this blurs the line between board<>ceo<>staff. However, the scenario I am thinking of is if a Deputy CEO has to step into the CEO role (due to the emergency scenario this policy covers), are we, as a board, confident that whoever that temporarily steps into that Deputy CEO's role is prepared to do so?

**APPROXIMATELY HOW MANY MINUTES DID IT TAKE YOU TO FILL OUT THIS FORM?**

5, 5, 5, 2, 5, 5

**Monitoring Report: Construction (Policy 2.10)**  
**Monitoring Period: FY24: 1<sup>st</sup> October 2023- 30<sup>th</sup> Sept 2024**


**Service Committee Meeting Review Date: October 1, 2024**  
**Board of Directors Meeting Review Date: November 21, 2024**

<b>INFORMATION TYPE</b>
Monitoring
<b>RECOMMENDED ACTION(S)</b>
<p>At the 10/1/24 Service Committee Meeting, the Committee recommends that the Board review this monitoring report and consider accepting it as:</p> <p><b>(A) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations.</b></p> <p>(B) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO’s stated non-compliance with item(s) x .x, which the Board acknowledges and accepts the proposed dates for compliance.</p> <p>(C) 1. For policy items x.x.x – there is evidence of compliance with a reasonable interpretation          2. For policy items x.x.x – the interpretation is not reasonable          3. For policy items x.x.x – the interpretation is reasonable, but the evidence does not demonstrate compliance          4. For policy items x.x.x – the Board acknowledges and accepts the CEO’s stated non-compliance and the proposed dates for compliance</p>
<b>PRIOR RELEVANT BOARD ACTIONS &amp; POLICIES</b>
<p>Monitoring Reports are a key Policy Governance tool to assess organizational/CEO performance in achieving Ends (1.0) within Executive Limitations (2.0). A Policy-Governance-consistent Monitoring Process is:</p> <ol style="list-style-type: none"> <li>1. CEO sends Monitoring Report to all board members</li> <li>2. At Board meeting, board accepts Monitoring Report through majority vote (or if not acceptable, determines next steps)</li> </ol>
<b>ISSUE SUMMARY</b>
<p>TheRide’s Board of Directors establish policies that define what methods are unacceptable to use to achieve expected results, called Executive Limitations. This monitoring report provides the CEO’s interpretations of those policies, evidence of achievement, and an assertion on compliance with the Board’s written goals. As with other monitoring reports, the Board decides whether the interpretations are reasonable, and the evidence is convincing.</p>

Per Appendix A of the Board Policy Manual, this report was scheduled for monitoring in October and was submitted in October.

I certify that the information is true and complete, and I request that the Board accept this as indicating an acceptable level of compliance.

**CEO's Signature**



**Date**

September 24, 2024


**ATTACHMENTS**

1. Monitoring report for Construction (Policy 2.10)

## Table of Contents

POLICY TITLE: CONSTRUCTION	Page#	Compliance
<p>2.10 The CEO shall not allow construction of a new building or facility or major renovation that is inconsistent with industry standards and grantor expectations, environmentally irresponsible, risks financial jeopardy, or is not aligned with achievement of the Board’s Ends. Further, without limiting the scope of the above by the following list, the CEO shall not:</p>	5	●
<p>2.10.1 Proceed with funding applications, detailed architecture or engineering, procurement of construction services, or real-estate transactions for a construction or major renovation project.</p>	7	●
<p>2.10.1.1 Request authorization to proceed with a project prior to providing information that demonstrates that such construction is fiscally responsible and aligned with achievement of the board’s Ends, and without providing data that supports an informed decision by the board – including but not limited to clearly articulated information about the following:</p> <ul style="list-style-type: none"> <li>A. Definition of the project’s purpose and goals.</li> <li>B. Definition of the project’s key elements and rationale for their inclusion.</li> <li>C. Definition of the project’s strategic context, and contribution to advancing the board’s Ends or other policies.</li> <li>D. Explanation of the project’s priority relative to other capital needs.</li> <li>E. Estimates of the capital cost, ongoing operating and maintenance costs, and expected useful life associated with the project.</li> <li>F. Explanation of anticipated funding sources and financing mechanisms.</li> <li>G. Definition of risks associated with the project.</li> <li>H. Project timeline.</li> <li>I. Public involvement process.</li> </ul>	8	●
<p>2.10.1.2 Request authorization to proceed with a project without incorporating it into an annual budget or a budget amendment.</p>	9	●

2.10.2 Expend funds on a construction project prior to having confirmed funding for that stage.	10	●
2.10.3 Proceed with construction that does not minimize inconvenience to the travelling public and those businesses and residences directly impacted to the extent that is reasonably practicable.	11	●
2.10.3.1 Proceed without providing timely and accurate information to the travelling public, residents and business owners.	12	●
2.10.3.2 Proceed without providing timely and accurate information to the travelling public, residents and business owners.	13	●
2.10.4 Allow the board to be unaware of political, residents' and businesses' issues related to the proposed construction.	14	●
2.10.5 Allow the board to be without regular reports on the project's implementation, including but not limited to: A. Changes to the anticipated cost of the project. B. Changes to the elements/scope of the project. C. Changes to scheduled completion, delays or impacts to timelines. D. Timely notice of possible cost overruns and planned action to reduce impact.	15	●

 Fully Compliant    
  Partially Compliant    
  Non-Compliant

## Preliminary CEO Interpretations and Evidence

### POLICY 2.10

The CEO shall not allow construction of a new building or facility or major renovation that is inconsistent with industry standards and grantor expectations, environmentally irresponsible, risks financial jeopardy, or is not aligned with achievement of the Board’s Ends. Further, without limiting the scope of the above by the following list, the CEO shall not:

**Degree of Compliance: Compliant**

### Interpretation

Operation definition:

I define key terms as follows:

1. A new **“building”** is an edifice or structure with walls and a roof which remains in one place and is intended to be permanent. This does not include structures such as bus shelters or temporary storage structures.
2. A new **“facility”** is a significant piece of infrastructure that remains in one place (e.g., a bus terminal platform, a park n ride lot, a storage yard, a rail line, roads, power lines, sewers, etc.) and is intended to be permanent. A building can be a part of a larger facility. Due to their ubiquity and small scale, bus stops, pads, shelters and benches, and adjoining sidewalks are excluded.
3. A **“major renovation”** is a significant, permanent change to an existing building or facility that 1) changes the exterior dimensions, or 2) fundamentally changes the function of part or all of a building or facility. This does not include maintenance activities, repairs or routine upgrades, replacement of worn-out elements, or renovations of interior spaces, etc. (e.g., roof replacement, remodeling offices). Such projects are addressed through annual facility maintenance budgets and are not reported on under this policy. Any individual maintenance project costing more than \$250,000 will be identified individually in an annual budget proposal to increase transparency.
4. **“Construction”** means activities related to **implementation** of a physical project and does not include the **planning or exploratory work** needed for the development and design of such projects which are delegated to the CEO.

The distinction between implementation activities and exploratory/planning work is reasonable because:

- 
- This policy exists to ensure Board control over large financial or political *commitments*. Exploratory or planning work is not a commitment and the Board still retains final authority. While such planning work may create public expectations, the CEO can take steps to manage such expectations, so they do not force the Board’s hand.
- Facilities, and their construction, are a Means to achieve the Board’s actual Ends. If planning and design work requires Board approval, the Board will be allowing itself to direct Means and projects will move much more slowly. This is supported by policies 3.1.4 and 4.3.3 in which the Board has delegated most Means to the CEO.
- This policy creates information and performance expectations for proposals from the CEO to the Board. The CEO could not meet those expectations unless they had the latitude to plan and develop projects to a sufficient degree. Exploratory work is often necessary for the CEO to decide whether a project is even viable and worth pursuing and then to generate the

information the Board is requesting. For example, exploratory studies may be necessary to develop preliminary cost estimates.

- Large studies will likely require Board authorization through the annual budget process, providing another means of Board oversight.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when

- A. During construction, close out letters, Triennial reviews and any other official correspondence from the Federal Transit Administration (FTA) verifies that their expectations with respect to industry standards, environmental responsibility, construction, and grantor expectations have been met.
- B. Lower-level policies are compliant.

Rationale

- A. Having compliance be determined by the FTA is reasonable because they are an independent third party , promulgate a great deal of information about standards that can be understood in advance and followed, and thereafter verifies whether expectations were met.
- B. The Board has interpreted “financial risk” and “alignment with Ends achievement” in the lower-level policies below.

**Evidence**

**Source of Data:** FTA documents and lower-level policy

**Date of Data Review:** 09/19/24 as verified by DCEO, Planning and Innovation

**Data:**

- A. There was no qualifying construction in the monitoring period and therefore no FTA documents related to such were necessary.
- B. All lower-level policies are compliant.

**POLICY 2.10.1**

Proceed with funding applications, detailed architecture or engineering, procurement of construction services, or real-estate transactions for a construction or major renovation project.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that Board approval must be secured before the CEO can proceed with the following **construction implementation activities**:

- A. Applying for competitive grants or earmarks directly connected with implementation of a project,
- B. Hiring anyone to finalize plans/designs/engineering,
- C. Hiring anyone to provide demolition, earthwork, utility relocation, paving, or construction services, and
- D. The purchase, disposal or long-term encumbrance of land property.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when Board meeting minutes indicate that a formal Board approval (annual budget or amendment) for the above-named implementation activities was granted before contracts were signed to **initiate implementation** activities.

Rationale

Further, the use of meeting minutes is reasonable because board meeting minutes are the official documentation of board decisions, and the dates will document the sequence in which actions occurred

**Evidence**

**Source of Data:** Board Meeting Minutes

**Date of Data Review:** 09/24/24 as verified by DCEO, Planning and Innovation and the DCEO, Finance  
**Data:**

- A. The Board on Jan 25, 2024 authorized the CEO to submit grant applications and funding requests for low and zero emissions bus propulsion systems.
- B. September 21, 2023 Board meeting minutes indicate that Ypsilanti Transit Center (YTC) NEPA studies (environmental impact studies) and schematic designs; and the Blake Transit Center (BTC) planning and design projects were presented to the Board as part of the FY24 Budget (Pg.46). The Board reviewed and approved the budget and the projects there-in.
- C.-D. No other qualifying construction implementation activities began in the monitoring period.

**POLICY 2.10.1.1**

Request authorization to proceed with a project prior to providing information that demonstrates that such construction is fiscally responsible and aligned with achievement of the board’s Ends, and without providing data that supports an informed decision by the board – including but not limited to clearly articulated information about the following:

- A. Definition of the project’s purpose and goals.
- B. Definition of the project’s key elements and rationale for their inclusion.
- C. Definition of the project’s strategic context, and contribution to advancing the board’s Ends or other policies.
- D. Explanation of the project’s priority relative to other capital needs.
- E. Estimates of the capital cost, ongoing operating and maintenance costs, and expected useful life associated with the project.
- F. Explanation of anticipated funding sources and financing mechanisms.
- G. Definition of risks associated with the project.
- H. Project timeline.
- I. Public involvement process.

**Degree of Compliance: Compliant**

**Interpretation**

Operational definition

I interpret this policy to mean that the CEO will provide the Board with the information identified A-I above before requesting authorization to proceed with the implementation activities of any construction project.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when the minutes of the Board meeting record that a CEO’s request for Board approval of an element of implementation of a construction project comes in the form of a proposal that answers the questions identified for each of the elements interpreted below:

1. **Scope** – What is the nature of the project? What are the most important elements?
2. **Alignment with Ends & Rationale** – Description of how the project will advance specific goals identified by the Board
3. **Public Involvement** – How has the public been engaged in the development of the proposal thus far? How will the public be engaged going forward?
4. **Priority** – Why is this project being prioritized ahead of other projects? How would this project affect the 10-Year Capital Plan?
5. **Fiscal responsibility** –
  - a. What are the anticipated capital and operating costs during the life of the project?
  - b. How will the capital and operating costs of the project be paid during the lifespan of the project? What assumptions are made regarding outside grant funding, funding from the Capital Reserve, or local millage funds?
  - c. How would the approval of this project impact on the agency’s ability to maintain existing services and infrastructure, or afford other projects?
6. **Timeline** – What are the expected dates of major miles stones such as construction, opening/initiation, operating lifespan, decommissioning?

**Rationale:**

This interpretation is reasonable because minutes are the official record of the Board's meetings and identify when a request is made. The elements of the proposal address all of the items specified by the Board in its policy.

**Evidence**

**Source of Data:** AAATA Planning Documents

**Date of Data Review:** 09/20/24 as verified by Corporate Strategy and Performance Officer

**Data:**

During the monitoring period, there was one request for grant authorization on January 25, 2024 (Low-No Grant). A review of board packet item 6.1 found that the above information was provided. A review of minutes found no other requests for authorization during the monitoring period.

**POLICY 2.10.1.2**

Request authorization to proceed with a project without incorporating it into an annual budget or a budget amendment.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that construction implementation activities should be part of a Board-approved budget.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when meeting minutes demonstrate that all requests to fund implementation activities were identified to the Board as part of the budget process, either the regular budget-approval or through a mid-year budget amendment.

Rationale

This interpretation is reasonable because minutes are the official record of the Board's meetings and identify if and when a request is made, and whether it was approved

**Evidence**

**Source of Data:** Financial and planning documents

**Date of Data Review:** 09/24/24 as verified by DCEO, Planning and Innovation

**Data:**

There were no qualifying construction projects that required an authorization to proceed.

**POLICY 2.10.2**

Expend funds on a construction project prior to having confirmed funding for that stage

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that funding sources will be identified and shared with the Board prior to construction projects commencing

Measure/Standards & Achievement

Compliance will be demonstrated when dates for the initial written notice-to-proceed orders and first invoices occur after confirmation that funding is available, such as Board approval of a budget or written confirmation from an outside funder (e.g., notice of award or full funding grant agreement from the FTA).

Rationale

This is reasonable because each stage of a project can have an initiation point with an initial notice-to-proceed order that is always in writing with a date, and dated invoices precede expenditures. Only the initial dates are warranted because there could be hundreds of subsequent invoices for various stages, but none could occur without the initial notice to proceed. Funding confirmations come from the Board vote, or state or federal government and should not be considered final until written notice is received

**Evidence**

**Source of Data:** AAATA Budget document

**Date of Data Review:** 09/24/24 as verified by DCEO, Finance

There were no qualifying construction projects during the monitoring period and therefore no construction expenditures.

**POLICY 2.10.3**

Proceed with construction that does not minimize inconvenience to the travelling public and those businesses and residences directly impacted to the extent that is reasonably practicable.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition.

I interpret this policy to mean that the agency will identify in advance situations that may inconvenience the traveling public and the surrounding businesses and residences and do their best to mitigate such occurrences prior to construction.

Measure/Standards & Achievement

- A. Construction projects include a plan to minimize or mitigate public inconvenience that is deemed reasonable by the CEO and in the context of the project.
- B. Lower-level policies are compliant

Rationale

- A. Construction projects almost always cause some level of disruption, vary in scale and impact, and therefore need to be developed in context. The requirement for a plan allows for this context while ensuring the issue is addressed beforehand.
- B. Compliance with this policy is dependent on compliance of its sub policies.

**Evidence**

**Source of Data:** AAATA Planning records

**Date of Data Review:** 09/24/24 as verified by DCEO, Planning and Innovation

**Data:**

- A. There were no qualifying construction projects during the monitoring period.
- B. Lower-level policies are compliant

**POLICY 2.10.3.1**

Proceed without providing timely and accurate information to the travelling public, residents and business owners.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to mean that the agency will notify the traveling public, and any business or residence that will be or is likely to be impacted by the construction project.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when review of public notices about foreseeable construction-related disruptions (e.g., closures, changes to services, etc.) confirms that notices were provided at least 7 days before activities begin, or blanket notices about uncertain timing are provided at least 14 days in advance. Public notice includes, at a minimum: media releases, website and social media notices, hardcopy notices where applicable, attempts to information nearby residents and property owners.

Rationale

These time periods are reasonable because they allow the public to make alternate arrangements, and construction timelines can sometimes need to change to keep a project progressing on schedule or on budget. Additionally, public notices are our standard means of informing the public and are recognized as official. Finally, non-construction information is addressed under policy 2.1.2.

**Evidence**

**Source of Data:** AAATA Planning documents

**Date of Data Review:** 09/24/24 as verified by DCEO, Planning and Innovation

**Data:**

There was no construction project during the monitoring period and therefore no information was provided or necessary.

**POLICY 2.10.3.2**

Proceed with construction project or changes to the project that could be foreseen to create significant resistance from the traveling public and external stakeholders because they had not had the opportunity for consultation.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I interpret this policy to apply to the logistics and impacts of direct construction activities (i.e., closures, site prep, demolition, earthworks, excavation, utility changes, paving, construction, etc.), not preceding decisions about project need, scope, cost, location, etc., covered under 2.7.5.5 (general public consultation requirement). The policy does not require construction to stop due to resistance, only that there were reasonable opportunities for input beforehand

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when reasonable consultation opportunities are provided prior to finalizing construction plans and are publicized beforehand. Consultation includes providing information on anticipated construction activities and plans, opportunities to provide feedback and identify concerns, efforts to mitigate impacts, and notice of final decision. Depending on the project context, this could include posted notices, website information, or public meetings.

Rationale

This interpretation is reasonable because it recognizes that construction is inherently disruptive and can cause resistance, requires consultation, attempts at mitigation before construction begins, and calls for communication with the public beforehand.

**Evidence**

**Source of Data:** AAATA Planning Documents

**Date of Data Review:** 09/24/24 as verified by DCEO, Planning and Innovation

**Data:**

There was no construction project during the monitoring period and no consultation was required or provided.

**POLICY 2.10.4**

Allow the board to be unaware of political, residents’ and businesses’ issues related to the proposed construction.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Standard

I interpret this policy to mean that the agency will conduct an impact assessment of the project prior to commencing construction activities.

Measure/Standards & Achievement

Compliance will be demonstrated when a review of board meeting materials and/or agency email communications finds that all significant known concerns with construction activities have been shared with the board.

Rationale

Sharing such information with the Board during meetings, or by email if time sensitive, is a reasonable way to meet the Board’s expectations.

**Evidence**

**Source of Data:** AAATA Planning documents

**Date of Data Review:** 09/24/24 as verified by DCEO, Planning and Innovation

**Data:**

No new construction projects were proposed to the public in FY24 and therefore no concerns to share.

**POLICY 2.10.5**

Allow the board to be without regular reports on the project’s implementation, including but not limited to:

- A. Changes to the anticipated cost of the project.
- B. Changes to the elements/scope of the project.
- C. Changes to scheduled completion, delays or impacts to timelines.
- D. Timely notice of possible cost overruns and planned action to reduce impact.

**Degree of Compliance: Compliant**

**Interpretation**

Operational Definition

I Interpret this to mean any changes to a qualifying construction project should be communicated to the Board in a timely manner.

Measure/Standards & Achievement

Compliance with this policy will be demonstrated when the Board receives at least monthly updates on construction projects which address the details outlined in items A-D above in comparison with assumptions and expectations created at the beginning of the project.

Rationale

This interpretation is reasonable because items A-D are self-explanatory and monthly updates can be provided at board meetings.

**Evidence**

**Source of Data:** AAATA Planning documents





**Date of Data Review:** 09/24/24 as verified by DCEO, Planning and Innovation

**Data:**

There was no construction project during the monitoring period.

**Policy Trendlines**

Policies	FY 22	FY23	FY24	FY25
2.10	Compliance cannot be determined	Policy is partially compliant	Policy is compliant	Policy is compliant
2.10.1	Policy is not compliant	Policy is partially compliant	Policy is compliant	Policy is compliant
2.10.1.1	Compliance cannot be determined	Policy is partially compliant	Policy is compliant	Policy is compliant
2.10.1.2	Compliance cannot be determined	Policy is partially compliant	Policy is compliant	Policy is compliant
2.10.2	Compliance cannot be determined	Policy is compliant	Policy is compliant	Policy is compliant
2.10.3	Compliance cannot be determined	Policy is compliant	Policy is compliant	Policy is compliant
2.10.3.1	Compliance cannot be determined	Policy is compliant	Policy is compliant	Policy is compliant
2.10.3.2	Compliance cannot be determined	Policy is compliant	Policy is compliant	Policy is compliant
2.10.4	Compliance cannot be determined	Policy is compliant	Policy is compliant	Policy is compliant
2.10.5	Compliance cannot be determined	Policy is compliant	Policy is compliant	Policy is compliant

LEGEND	
	Policy is not compliant
	Policy is partially compliant
	Policy is compliant
	Compliance cannot be determined

**Guidance on Determining “Reasonableness” of CEO Interpretations**

**Are the interpretations reasonable?**  
 An interpretation is reasonable if the following are provided,  
 1. a measure or standard,  
 2. a defensible rationale for the measure or standard,  
 3. a level of achievement necessary to achieve compliance and  
 4. a rationale for the level of achievement.

**Is evidence verifiable?**  
 Evidence is verifiable if there is  
 1. actual measurement/data,  
 2. the source of data and  
 3. the date when data was collected is provided.

**CEO Notes: (If Applicable)**

**Board's Conclusion on Monitoring Report**

**Board's conclusion after monitoring the report.**

Following the Board's review and discussion with the CEO, the Board finds that the CEO:

- (A) a reasonable interpretation for **all** policy items and that the evidence demonstrates compliance with the interpretations.
- (B) a reasonable interpretation for all policy items and that the evidence demonstrates compliance with the interpretations, except for the CEO's stated non-compliance with item(s) x .x, which the Board acknowledges and accepts the proposed dates for compliance.
- (C)
  1. For policy items x.x.x – there is evidence of compliance with a reasonable interpretation
  2. For policy items x.x.x – the interpretation is not reasonable
  3. For policy items x.x.x – the interpretation is reasonable, but the evidence does not demonstrate compliance
  4. For policy items x.x.x – the Board acknowledges and accepts the CEO's stated non-compliance and the proposed dates for compliance

**Board Notes: (If Applicable)**

**WORKSHEET RESULTS:**

**Construction (Policy 2.10)**

**Participants: 6 Board Members**

Mike Allemang, Chris Allen, Simi Barr, Rich Chang, Julie Grand, Kathleen Mozak

<b>Performance on reasonable interpretation and verifiable evidence</b>			
	<b>% of Board members that find the interpretation reasonable</b>	<b>% of Board members that find the evidence verifiable</b>	<b>Additional comments if NO stated</b>
<b>Policy 2.10</b> The CEO shall not allow construction of a new building or facility or major renovation that is inconsistent with industry standards and grantor expectations, environmentally irresponsible, risks financial jeopardy, or is not aligned with achievement of the Board's Ends. Further, without limiting the scope of the above by the following list, the CEO shall not:	<b>100%</b>	<b>100%</b>	
<b>Policy 2.10.1</b> Proceed with funding applications, detailed architecture or engineering, procurement of construction services, or real-estate	<b>100%</b>	<b>100%</b>	

<p>transactions for a construction or major renovation project.</p>			
<p><b>Policy 2.10.1.1</b> Request authorization to proceed with a project prior to providing information that demonstrates that such construction is fiscally responsible and aligned with achievement of the board’s Ends, and without providing data that supports an informed decision by the board – including but not limited to clearly articulated information about the following: A. Definition of the project’s purpose and goals. B. Definition of the project’s key elements and rationale for their inclusion. C. Definition of the project’s strategic context, and contribution to advancing the board’s Ends or other policies. D. Explanation of the project’s priority relative to other capital needs. E. Estimates of the capital cost, ongoing operating and maintenance costs, and expected useful life associated with the project.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	

<p>F. Explanation of anticipated funding sources and financing mechanisms.  G. Definition of risks associated with the project.  H. Project timeline.  I. Public involvement Process</p>			
<p><b>Policy 2.10.1.2</b>  Request authorization to proceed with a project without incorporating it into an annual budget or a budget amendment.</p>	<b>100%</b>	<b>100%</b>	
<p><b>Policy 2.10.2</b>  Expend funds on a construction project prior to having confirmed funding for that stage.</p>	<b>100%</b>	<b>100%</b>	<ul style="list-style-type: none"> <li>• There is a missing "Date of review" for this section.</li> </ul>
<p><b>Policy 2.10.3</b>  Proceed with construction that does not minimize inconvenience to the travelling public and those businesses and residences directly impacted to the extent that is reasonably practicable.</p>	<b>100%</b>	<b>100%</b>	
<p><b>Policy 2.10.3.1</b>  Proceed without providing timely and accurate information to the travelling public, residents and business owners.</p>	<b>100%</b>	<b>100%</b>	

<p><b>Policy 2.10.3.2</b> Proceed with construction project or changes to the project that could be foreseen to create significant resistance from the traveling public and external stakeholders because they had not had the opportunity for consultation.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	
<p><b>Policy 2.10.4</b> Allow the board to be unaware of political, residents' and businesses' issues related to the proposed construction.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	
<p><b>Policy 2.10.5</b> Allow the board to be without regular reports on the project's implementation, including but not limited to: A. Changes to the anticipated cost of the project. B. Changes to the elements/scope of the project. C. Changes to scheduled completion, delays or impacts to timelines. D. Timely notice of possible cost overruns and planned action to reduce impact.</p>	<p><b>100%</b></p>	<p><b>100%</b></p>	

### Additional context questions

1. Is there any reason to doubt the integrity of the information presented?

**Responses** – (6) NO

2. If the CEO has indicated **NON-COMPLIANCE** with any aspect of this policy, is there a commitment as to when the Board can expect to see compliance and is the proposed time-frame acceptable?

**Responses** (6) N/A

3. Having reviewed the monitoring report, does anything you have learned make you consider whether the **POLICY ITSELF** should be amended? (Policy amendment is not monitoring, but should be addressed as a board decision.)

**Responses** (6) NO

**APPROXIMATELY HOW MANY MINUTES DID IT TAKE YOU TO FILL OUT THIS FORM?**

N/A, 10, 20, 30, 25, 10

## Recommendation to Delete Policy 2.7.2

**Meeting: Board of Directors**

**Meeting Date: November 21, 2024**

<b>INFORMATION TYPE</b>
Decision
<b>RECOMMENDED ACTION(S)</b>
By motion, delete policy 2.7.2 from the Policy Manual.
<b>ISSUE SUMMARY</b>
The Finance Committee has agreed with the CEO’s conclusion that policy 2.7.2 was accidentally created in early 2023 through an oversight. As the policy adds little value, the Committee and the CEO recommend that the Board consider deleting this policy.
<b>BACKGROUND</b>
<p>The following policy language has gotten bounced around within the AAATA policy manual:</p> <p style="padding-left: 40px;"><i>Receive, process or disburse funds under controls that are insufficient to meet the Board appointed auditor's standards.</i></p> <p>Presently, similar language appears in 2.7.2 and 2.5.3. This duplication has caused confusion and diverted Board and staff time. Recently, the Finance Committee was tasked with investigating the issue.</p> <p><u>What Happened?</u>            In 2022 the Board decided to merge the (now deleted) External Relations policy into the Asset Protection policy. During this process, Rose Mercier made recommendations for how to transfer language one policy to the other (Dec 2022 Service Committee). She also <u>added</u> the following language into the proposed new Asset Protection policy:</p> <p style="padding-left: 40px;"><b>2.7 ASSET PROTECTION...</b></p> <p style="padding-left: 80px;"><i>2.7.2 Receive, process, or disburse funds under controls that are insufficient to meet the board-appointed auditor's standards.</i></p> <p style="padding-left: 80px;"><i>2.7.2.1 Receive, process, or disburse the organization’s assets under internal controls insufficient to detect, deter and prevent fraud or insufficient to prevent and detect significant deficiencies or material weaknesses.</i></p> <p>This new language was not discussed much at the time as the focus was on other matters (agency credibility). These changes were ultimately adopted by the Board in February 2023.</p>

Ms. Mercier's recommendation made some sense. John Carver had listed this same provision (old 2.7.2 above) under Asset Protection in his original boilerplate policy manual. Ms. Mercier may have noticed it was missing in the AAATA version and was trying to make a correction by putting it back in, and then tried to make it more relevant by adding 2.7.2.1. However, she evidently did not realize that Carver's original policy *was not missing*, it had just been moved to Financial Conditions and Activities in 2017 and was still there. Her well-intentioned advice created a duplicate set of policies with similar wording. No one caught this at the time.

In June 2023 confusion caused by the duplication surfaced for the first time in a monitoring report, but the cause hadn't been fully recognized. A partial fix was made in October 2023 by deleting the policy 2.7.2 and elevating 2.7.2.1 (to be the new 2.7.2) as seen below:

#### **2.7 ASSET PROTECTION...**

~~2.7.2 Receive, process, or disburse funds under controls that are insufficient to meet the board-appointed auditor's standards.~~

2.7.2.4 Receive, process, or disburse the organization's assets under internal controls insufficient to detect, deter and prevent fraud or insufficient to prevent and detect significant deficiencies or material weaknesses.

A year later, in mid-2024 when Asset Protection was monitored again, the confusion resurfaced but the initial duplication still hadn't been recognized. The Board accepted that monitoring report and delegated the task of resolving the confusion to the Financial Committee.

#### Present Situation

Today the policy manual contains the following duplication:

#### **2.5 FINANCIAL CONDITION AND ACTIVITIES**

*With respect to the actual, ongoing financial condition and activities, the CEO will not cause, allow or fail to address the development of fiscal jeopardy or deviation of actual expenditures from Board priorities established in Ends policies. Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not: ...*

~~2.5.3 Receive, process or disburse funds under controls that are insufficient to meet the Board appointed auditor's standards.~~

And...

#### **2.7 ASSET PROTECTION**

*The CEO shall not allow corporate assets to be unprotected, inadequately maintained, or unnecessarily risked. Further, without limiting the scope of the above by the following list, the CEO shall not: ...*

2.7.2 Receive, process, or disburse the organization's assets under internal controls insufficient to detect, deter and prevent fraud\* or insufficient to prevent and detect significant deficiencies or material weaknesses.

At the September 19, 2024 Board meeting, during a policy language review discussion, board members suggested revising the wording in policy 2.7.2. The policy contains the word “fraud” but the interpretation focuses on theft. Board members asked the Finance Committee to consider revising the policy wording to either remove “fraud” or add “theft” for clarification.

In November 2024 staff finally realized the origin of the duplication and created this Issue Brief for the Finance Committee. The CEO recommended deleting 2.7.2 because 1) it was created in error and has no clear purpose, 2) the 2.5 parent policy requires the CEO to protect assets (addressing theft), and 3) that theft is not a serious concern at the AAATA, the CEO recommended deleting the policy. The Finance Committee agreed to forward the CEO’s recommendation to the Board for consideration.

**PRIOR RELEVANT BOARD ACTIONS & POLICIES**

Merger of External Relations and Asset Protection policies in 2023.

**IMPACTS OF RECOMMENDED ACTION(S)**

- Governance: Policy Clean Up

**ALTERNATIVE OPTION(S)**

The Committee could discuss deleting a possibly accidental policy or try to reword the policy to serve another purpose.

**ATTACHMENTS**

None

## 2024 Election Recap and Considerations

**Meeting: Board of Directors**

**Meeting Date: November 21, 2024**

<b>INFORMATION TYPE</b>
Other
<b>RECOMMENDED ACTION(S)</b>
Receive information. No action is being sought or required.
<b>ISSUE SUMMARY</b>
AAATA staff to provide a brief recap of the 2024 election, discussing the results of the election on the federal, state, and local level, as well as highlight potential changes affecting Transportation and Public Transportation, including financial and legislative items.
<b>BACKGROUND</b>
The 2024 election saw major changes in party power, particularly at the federal level. It's important that the Board be informed of the results and potential impacts on the Transportation Industry, and risk and opportunities for AAATA.
<b>PRIOR RELEVANT BOARD ACTIONS &amp; POLICIES</b>
Policy 2.9.1.5 requires the CEO to not allow the Board to be "...unaware of material changes ...including changes in [political risks, or financial risks]."
<b>IMPACTS OF RECOMMENDED ACTION(S)</b>
<ul style="list-style-type: none"> <li>• Budgetary/Fiscal: N/A or other</li> <li>• Social: N/A or other</li> <li>• Environmental: N/A or other</li> <li>• Governance: N/A or other</li> </ul>

## Bus Lanes and BRT Project Update

**Meeting: Board of Director's**

**Meeting Date: November 21, 2024**

<b>INFORMATION TYPE</b>
Other
<b>RECOMMENDED ACTION(S)</b>
Receive for information
<b>ISSUE SUMMARY</b>
<p>AAATA staff have been working with partner agencies on several projects (all sponsored by those partner agencies) that are advancing dedicated transit facilities: 1) The City of Ann Arbor and the University of Michigan are proposing a northbound “queue jump lane” on State Street between South University Ave. and William St. 2) MDOT’s “acceptable alternative” on Washtenaw Ave. includes dedicated transit lanes on both sides of the street from roughly Carpenter Ave. to Rosedale Rd. 3) MDOT’s redesign of the US-23 and Washtenaw Avenue interchange is being studied for incorporation of dedicated transit lanes through a large portion of the interchange. 4) The DDA and the City of Ann Arbor are suggesting transit improvements along Huron Street as part of the Downtown Area Circulation Study initiative.</p>
<b>BACKGROUND</b>
<p>AAATA’s Long Range Plan – TheRide 2045 – identifies a network of bus rapid transit corridors (BRT). These BRT corridors are envisioned to provide fast, reliable, frequent service and act as the spine of the fixed route network. State St/Plymouth Rd would be the north/south BRT spine; while Washtenaw Ave/Huron St/Jackson Ave is envisioned to be the east/west BRT spine. AAATA staff have been partnering with other agencies on the following:</p> <p><b>State St</b> – a planned capital project by the City opened discussions about a possible reconfiguration of the roadway. The current concept shows a dedicated bus lane running north on State Street between South University and William (east side of the street only). Both UM and AAATA buses would be able to use this lane to pick up passengers and bypass any traffic on this segment of roadway (more information <a href="#">here</a>). This project is tentatively scheduled to begin construction in Spring 2025.</p> <p><b>Washtenaw Ave</b> – MDOT is conducting a Planning and Environmental Linkages (PEL) study of M-17 (Washtenaw Avenue) from US-23 to downtown Ypsilanti. Lower traffic volumes along the eastern portion of Washtenaw allow the outside travel lanes to be repurposed to dedicated transit lanes between roughly Carpenter Ave to Rosedale Rd. (more information <a href="#">here</a>). Implementation funding for this plan has not yet been secured so the timeline is uncertain. Note: public engagement on this project is open until November 15, 2024.</p> <p><b>US-23 and Washtenaw Ave Interchange</b> – MDOT is conducting an Environmental Assessment for improvements along US-23 through Washtenaw County. A focus of this work is reconfiguration of the interchanges, most notably at Washtenaw Ave. MDOT will expand the bridge deck to allow for dedicated transit lanes through much of the</p>

interchange (more information [here](#)). The project is tentatively scheduled for construction starting in FY 2027 though funding is still being secured; the transit elements of the project remain unfunded and may be implemented at a later date. Note: public engagement on this project is open until November 5, 2024 (more information [here](#)).

**Downtown Area Circulation Study** – the City of Ann Arbor and the DDA are working on a plan to harmonize recommendations from the City’s Transportation Plan, the University’s Campus Plan, TheRide’s 2045 Long Range Plan, the DDA downtown design guidelines, and other documents. The draft plan recommends dedicated transit lanes on Huron St as well as other operational improvements like transit signal priority (more information [here](#)). Note: public engagement on this project is currently open.

**PRIOR RELEVANT BOARD ACTIONS & POLICIES**

The Board adopted TheRide 2045 Long Range Plan. These projects help implement aspects of this policy document.

**IMPACTS OF RECOMMENDED ACTION(S)**

- Budgetary/Fiscal: Financial commitments or expectations of AAATA on these initiatives are uncertain at this time. Updates will be provided once this comes into focus
- Social: Since other agencies are leading these initiatives, public engagement has been spearheaded by them. AAATA staff have been involved in stakeholder coordination meetings and attended public workshops. Staff has answered questions and provided support for projects or alternatives which include dedicated bus lanes
- Environmental: N/A
- Governance: N/A

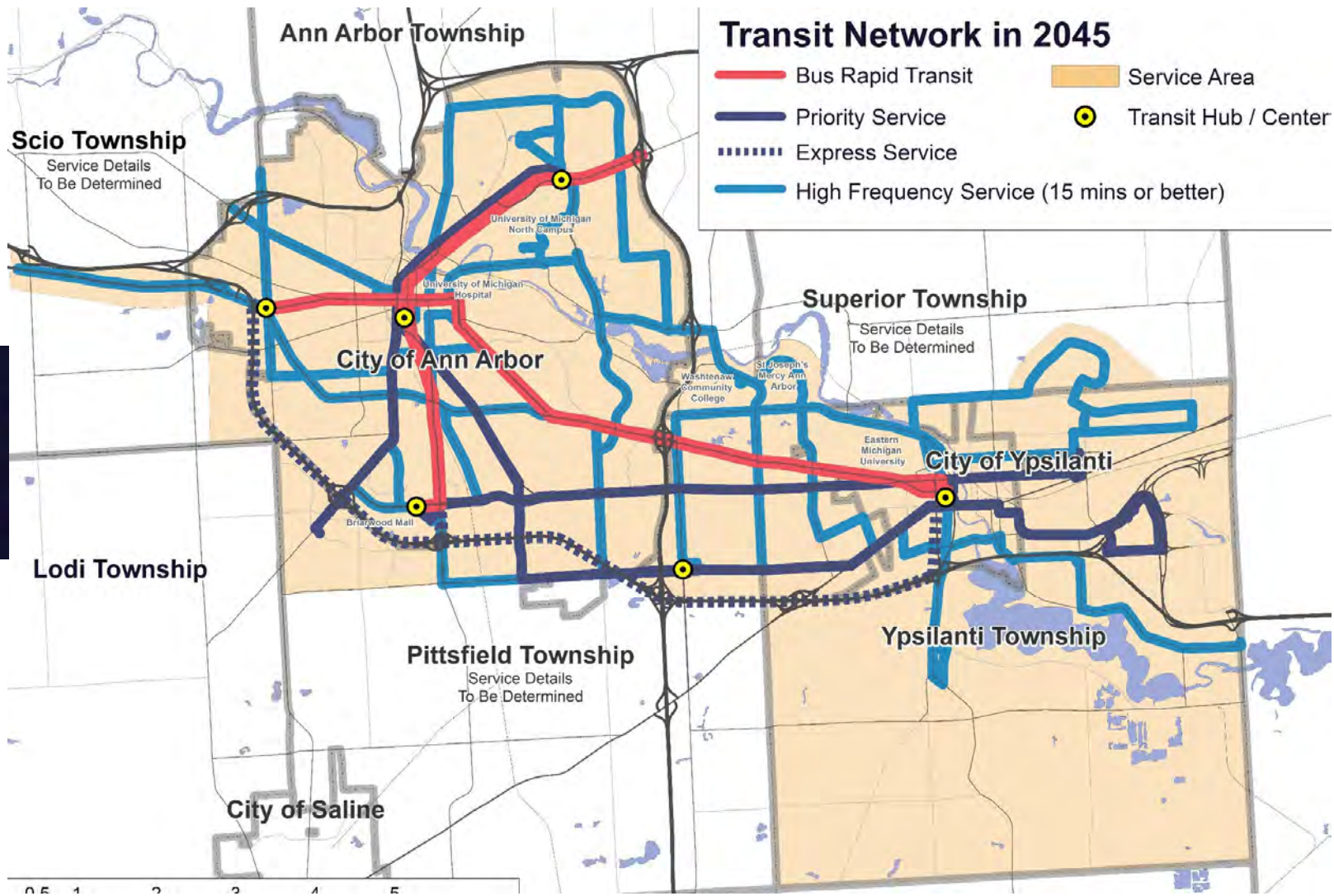
**ATTACHMENTS**

1. Bus Lanes and BRT Update (presentation)

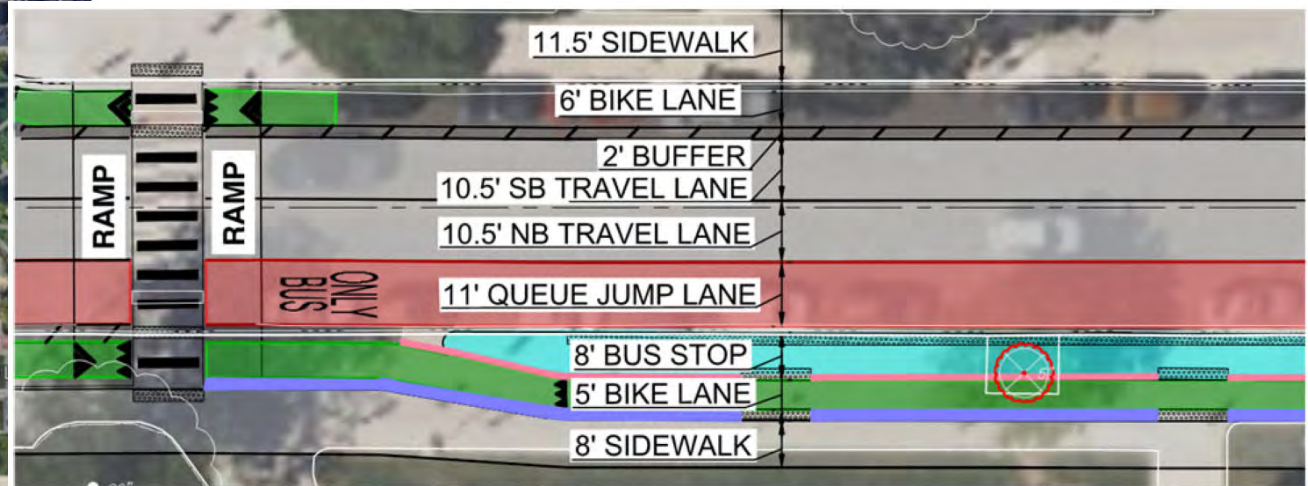
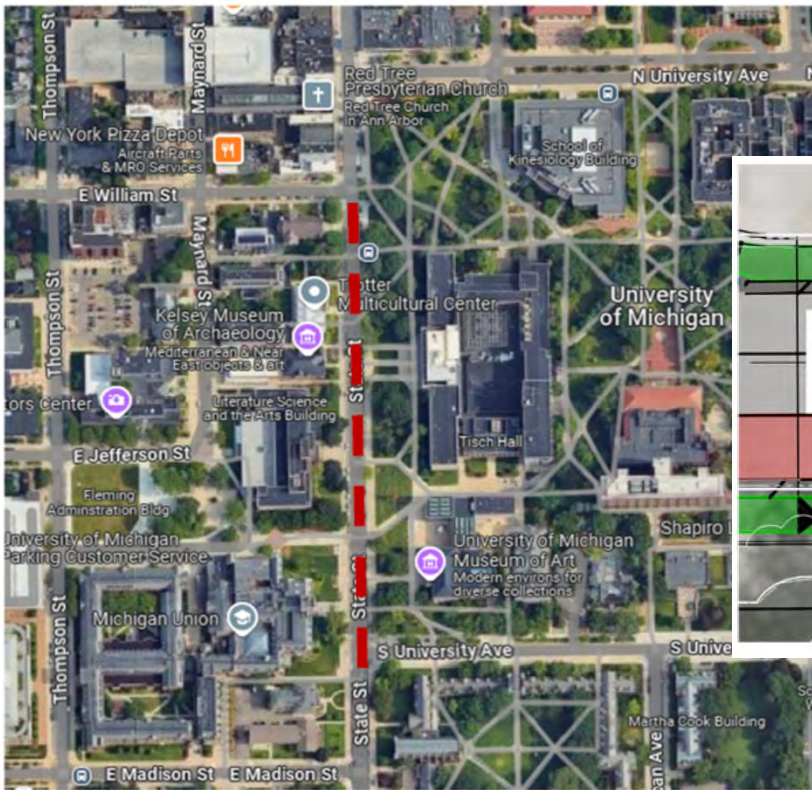


# Bus Lanes and BRT Project Update

Service Committee &  
Board of Directors  
November 2024



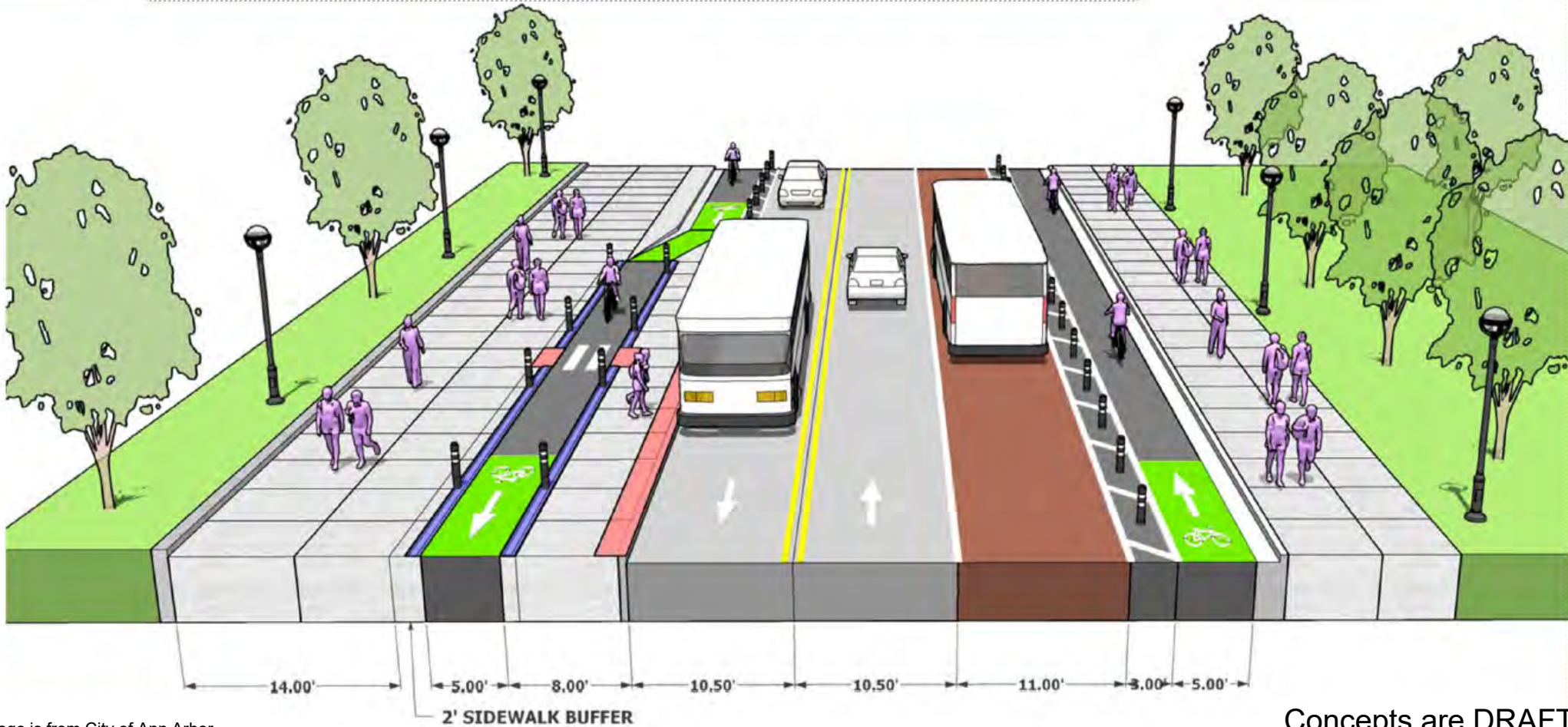
# State Street (South University to William)



Images are from City of Ann Arbor

Concepts are DRAFT

# Cross Section – Student Union



Concepts are DRAFT

Image is from City of Ann Arbor

# Cross Section – Angell Hall / Museum of Art

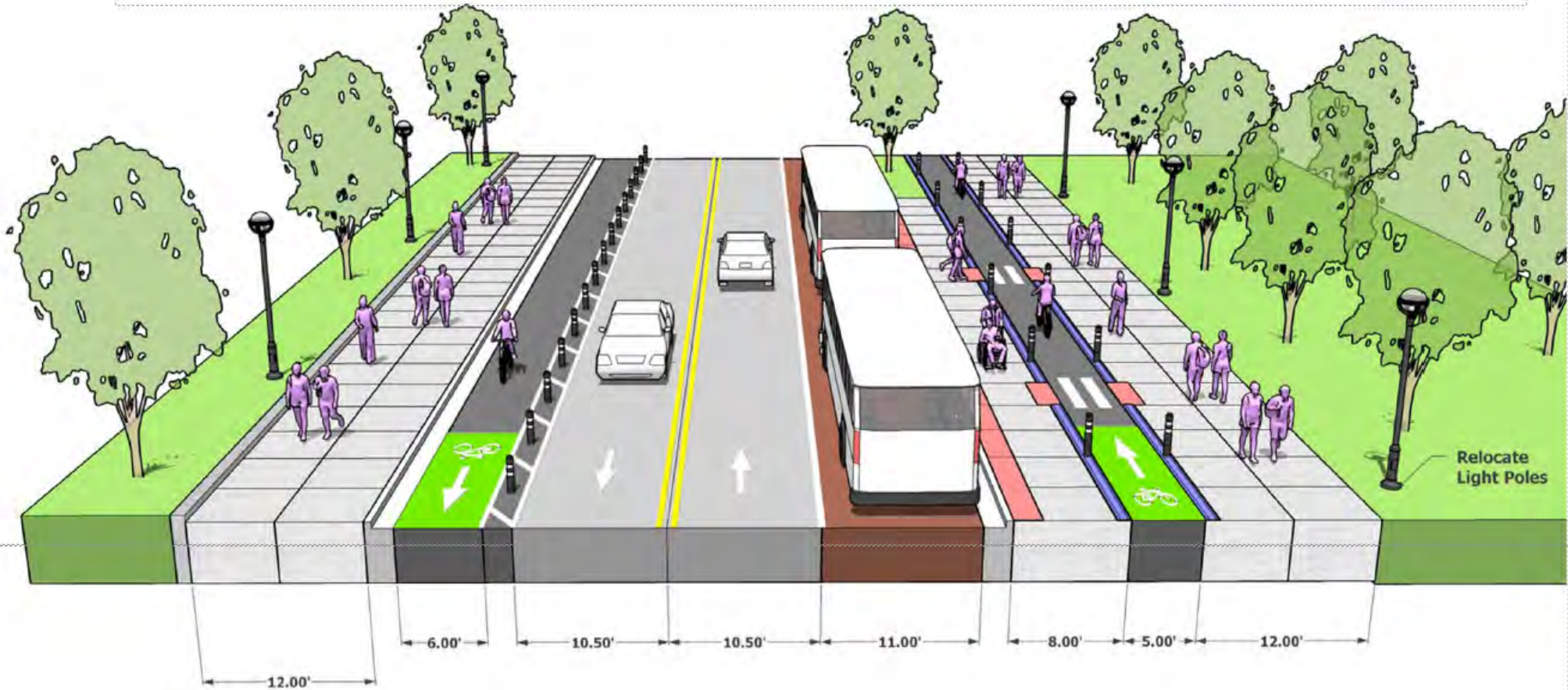


Image is from City of Ann Arbor

Concepts are DRAFT

# Washtenaw Ave (Carpenter to Rosedale)

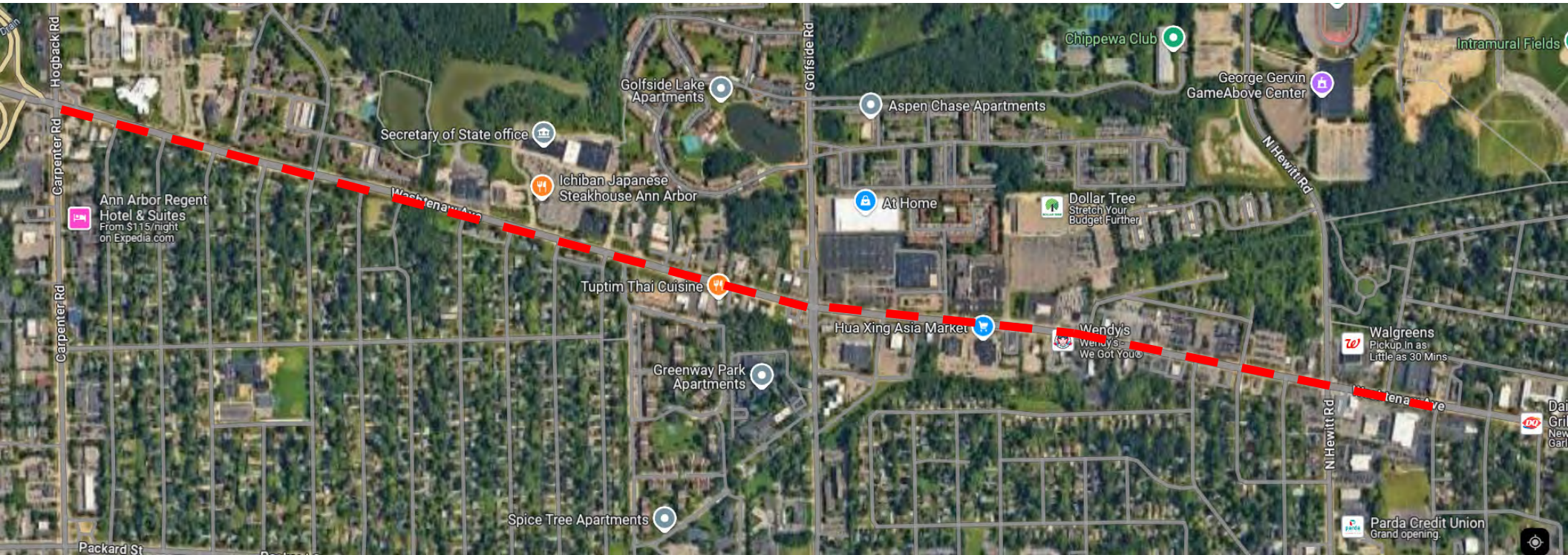


Image is from Google Maps

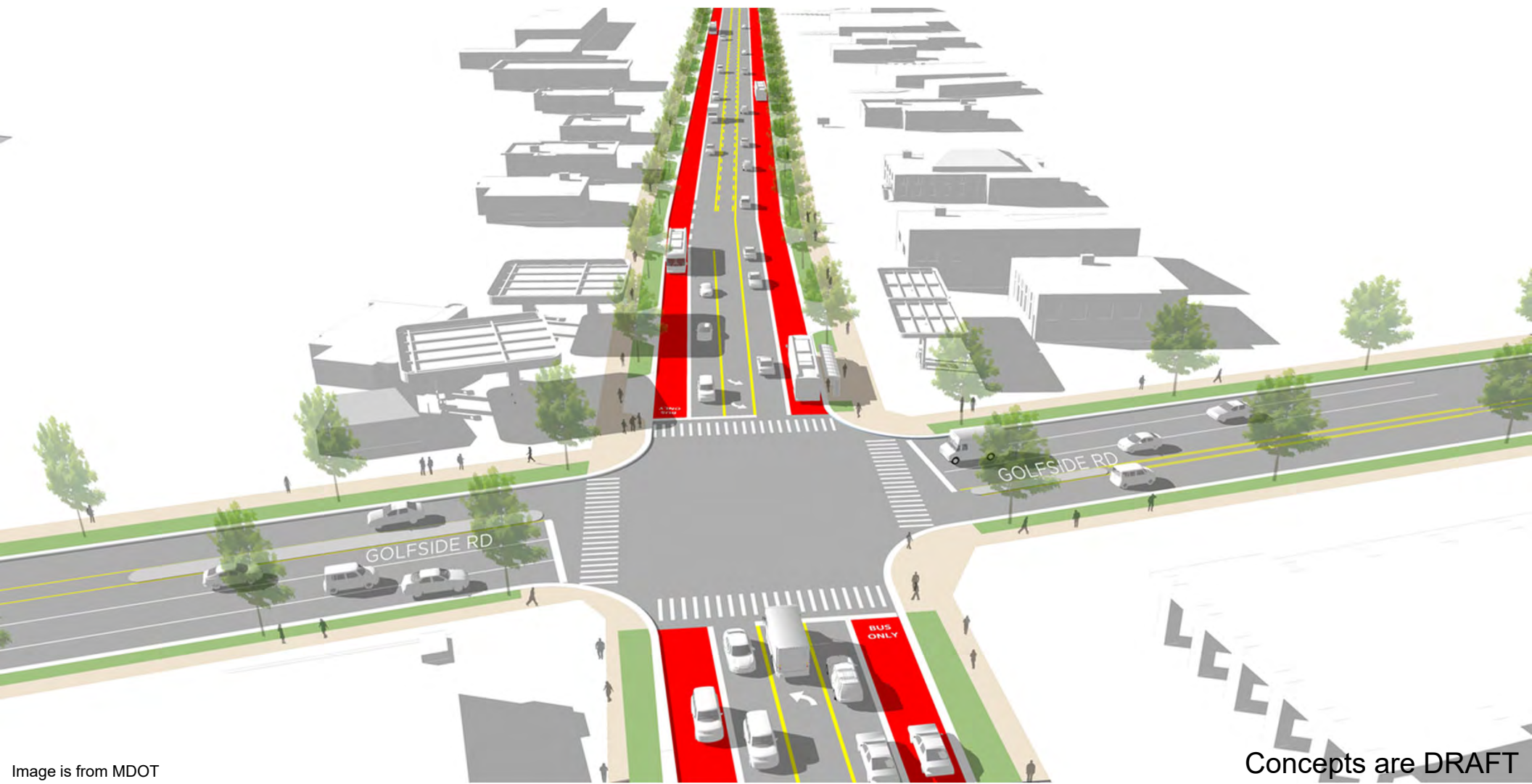


Image is from MDOT

Concepts are DRAFT



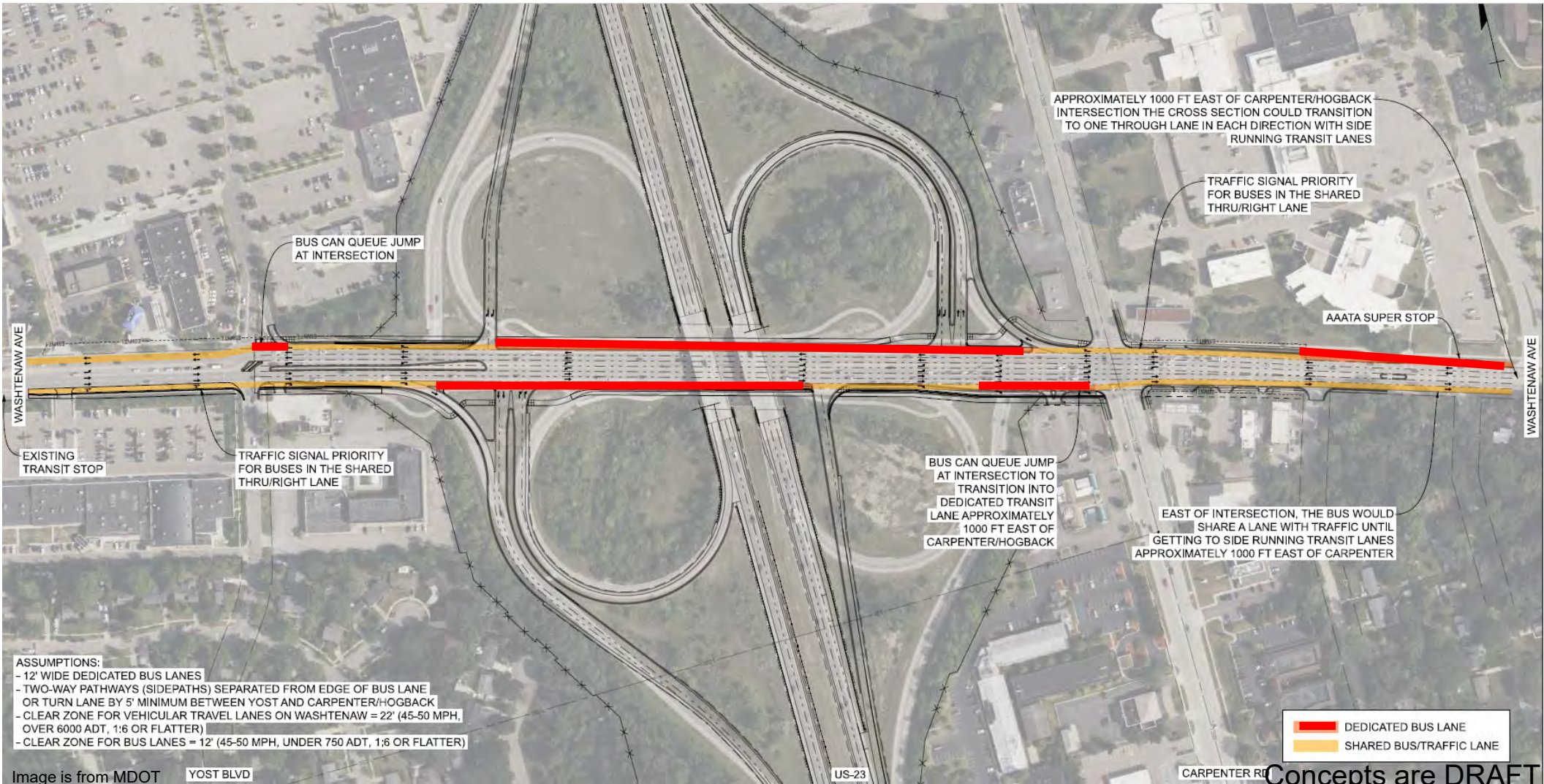
Image is from MDOT

Concepts are DRAFT

# US-23 (Washtenaw Interchange)



Image is from Google Maps



BUS CAN QUEUE JUMP AT INTERSECTION

APPROXIMATELY 1000 FT EAST OF CARPENTER/HOGBACK INTERSECTION THE CROSS SECTION COULD TRANSITION TO ONE THROUGH LANE IN EACH DIRECTION WITH SIDE RUNNING TRANSIT LANES

TRAFFIC SIGNAL PRIORITY FOR BUSES IN THE SHARED THRU/RIGHT LANE

AAATA SUPER STOP



EXISTING TRANSIT STOP

TRAFFIC SIGNAL PRIORITY FOR BUSES IN THE SHARED THRU/RIGHT LANE

BUS CAN QUEUE JUMP AT INTERSECTION TO TRANSITION INTO DEDICATED TRANSIT LANE APPROXIMATELY 1000 FT EAST OF CARPENTER/HOGBACK

EAST OF INTERSECTION, THE BUS WOULD SHARE A LANE WITH TRAFFIC UNTIL GETTING TO SIDE RUNNING TRANSIT LANES APPROXIMATELY 1000 FT EAST OF CARPENTER

- ASSUMPTIONS:
- 12' WIDE DEDICATED BUS LANES
  - TWO-WAY PATHWAYS (SIDEPATHS) SEPARATED FROM EDGE OF BUS LANE OR TURN LANE BY 5' MINIMUM BETWEEN YOST AND CARPENTER/HOGBACK
  - CLEAR ZONE FOR VEHICULAR TRAVEL LANES ON WASHTENAW = 22' (45-50 MPH, OVER 6000 ADT, 1:6 OR FLATTER)
  - CLEAR ZONE FOR BUS LANES = 12' (45-50 MPH, UNDER 750 ADT, 1:6 OR FLATTER)

	DEDICATED BUS LANE
	SHARED BUS/TRAFFIC LANE

Concepts are DRAFT

Image is from MDOT YOST BLVD

US-23

CARPENTER RD

# Downtown Area Circulation Study

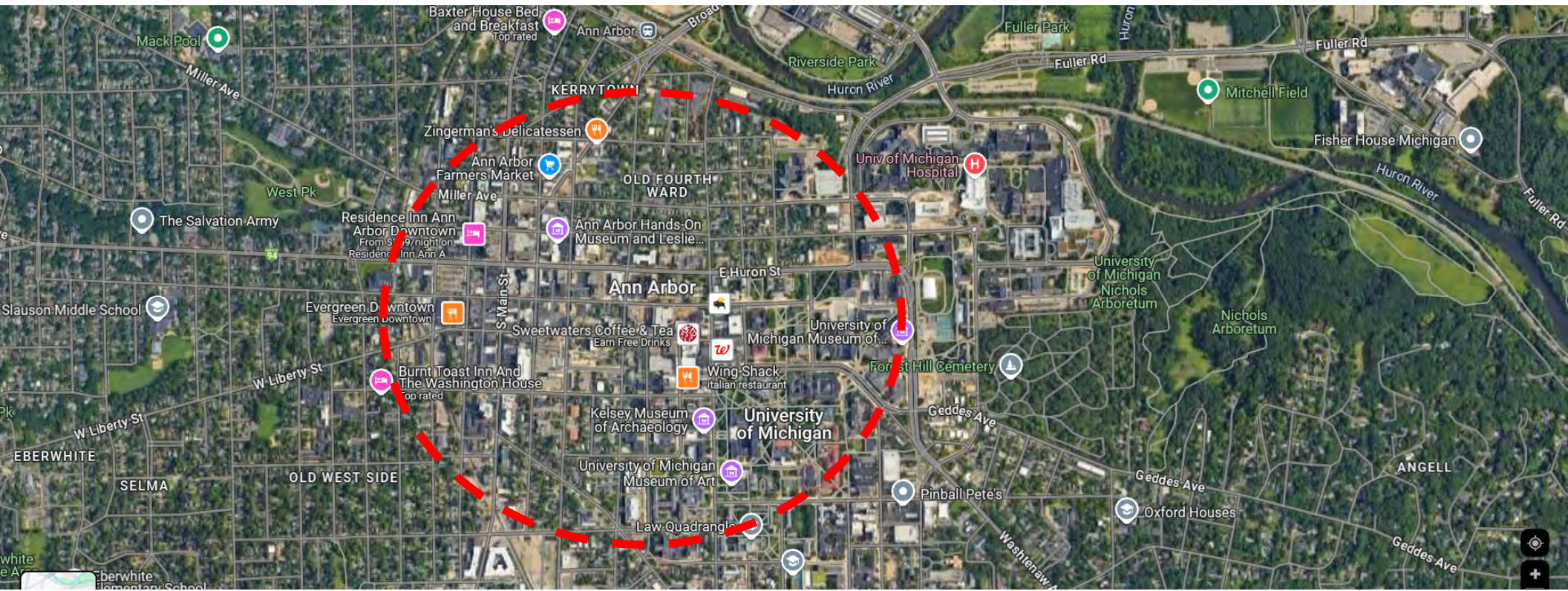
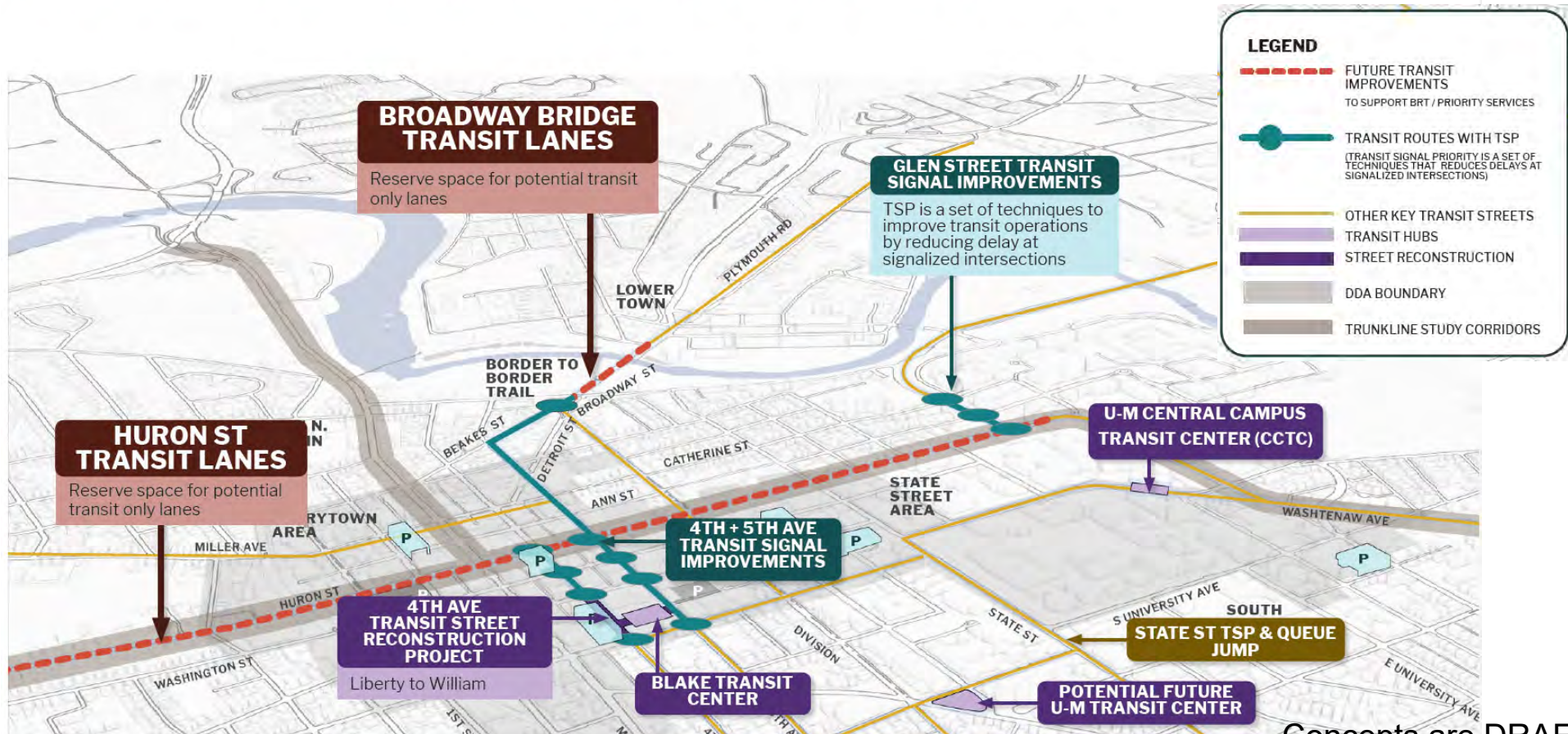


Image is from Google Maps

# INCREASING ACCESS, FREQUENCY, AND RELIABILITY OF ANN ARBOR'S TRANSIT SYSTEM TO LOCAL AND REGIONAL DESTINATIONS.



Concepts are DRAFT

# Next Steps

- Pursue funding opportunities
- Start a Washtenaw BRT Study
- Define TheRide's role in bus lanes and BRT
- Continue working with partners on other opportunities
- Educate and engage stakeholders and residents on bus lanes and BRT



Image is from Wikipedia

# Questions?



Images are from Minnesota Star Tribune, Spectrum News1, FTA

**Preliminary FY2024 Q4 Financial Statement**

**Finance Committee Meeting: November 12, 2024**

**Board of Director’s Meeting Date: November 21, 2024**

<b>INFORMATION TYPE</b>
Other – Financial Update
<b>RECOMMENDED ACTION(S)</b>
Receive for information
<b>PRIOR RELEVANT BOARD ACTIONS &amp; POLICIES</b>
<ul style="list-style-type: none"> <li>• 2.10.1.5 CEO shall not...Let the Board be unaware of... incidental information (including) quarterly budget to actual financial reports.</li> <li>• Appendix A: Informational Reports schedule specifies quarterly Financial Statement reports in November, February, May, and August.</li> <li>• Policy 2.6 Investments and Appendix F Investment Policy.</li> </ul>
<b>ISSUE SUMMARY:</b>
Staff presents the Fourth Quarter Financial Statement with currently available and reportable financial information for the period ending September 30, 2024.
<b>BACKGROUND</b>
<p>Financial highlights from the fourth quarter year-to-date (October 2023 to September 2024) include:</p> <ul style="list-style-type: none"> <li>• TheRide operated within the budget through the fourth quarter of the year.</li> <li>• Operating revenues and expenses are balanced at the end of the fiscal year.</li> <li>• Operating Expenses were \$2.02 million lower than budgeted for the fiscal year, due primarily to staff vacancies and lower fuel costs.</li> <li>• Operating Revenues were \$2.02 million lower than budgeted. <ul style="list-style-type: none"> <li>➢ Property Tax Revenues reported for operations are adjusted to align with the Budget. Property Taxes used for operations in FY2024 do not reflect the full amount of Property Taxes received during FY2024 and are adjusted to balance the budget. An additional \$19.18 million of Property Taxes received are part of TheRide’s fund balance to support future operations, specifically expanded millage services during the next fiscal year. Audited Year-end Financial Statements will reflect all Property Taxes received in accordance with GASB accounting standards, as required.</li> <li>➢ Federal Operating Assistance is significantly lower than budgeted because lower expenses and increased other revenues balanced the budget, eliminating the reliance on Federal Formula Funds for operations. This approach is consistent with the Authority’s strategy to use funding from the Federal Government for capital and maximize available funding sources.</li> <li>➢ Investment income outperformed compared to budget due to higher interest rates than anticipated during the fiscal year.</li> </ul> </li> <li>• The projected balances for the three Board-approved reserves are as follows: operating reserve at \$12.9 million, or 2.1 months based on fourth quarter expenses, insurance reserve at \$0.5 million, and capital reserve of \$33.3 million.</li> </ul>

- Federal pandemic relief funds (CARES, ARP, CRRSAA) have been fully utilized as of the third quarter of FY2024. The Authority utilized \$58.7 million in Federal pandemic relief revenue (CARES, ARP, CRRSAA) to support operations from FY2021 to FY2024.
- Cash flow was adequate to cover expenses. As of Q4 2024 the Authority has \$77.6 million in cash and investments.

**IMPACTS OF RECOMMENDED ACTION(S)**

- Budgetary/Fiscal: Demonstrates financial performance for the reporting period
- Governance: Supports Board in financial oversight/fiduciary responsibility

**ALTERNATIVE OPTION(S)**

N/A

**ATTACHMENTS**

Preliminary FY2024 Q4 Financial Statements (Income Statement and Balance Sheet)



Ann Arbor Area Transportation Authority

**Income Statement - Preliminary**

**Q4 Financial Statement**

For the Period Ended September 30, 2024

**Revenue and Expense (Budget to Actual)**

(\$ in thousands)

BLACK = FAVORABLE  
RED = UNFAVORABLE

REVENUES	Actual Quarter 1	Actual Quarter 2	Actual Quarter 3	Actual Quarter 4	Actual YTD	Budgeted YTD	Budget Variance	
							\$	%
Fares and Contracts	\$1,958	\$2,138	\$1,952	\$804	\$6,853	\$6,357	\$495	7.8%
Local Property Taxes*	5,413	5,413	5,413	3,026	19,265	20,022	(757)	-3.8%
State Operating Assistance	5,451	4,900	4,267	5,651	20,268	20,865	(598)	-2.9%
Federal Operating Assistance	688	868	735	592	2,883	6,885	(4,002)	-58.1%
Federal Pandemic Relief	2,300	2,250	2,250	0	6,800	6,787	13	0.2%
Other Revenues	883	560	739	1,089	3,272	440	2,831	100.0%
<b>Total Operating Revenues</b>	<b>\$16,693</b>	<b>\$16,129</b>	<b>\$15,357</b>	<b>\$11,161</b>	<b>\$59,340</b>	<b>\$61,357</b>	<b>(\$2,017)</b>	<b>-3.3%</b>
<b>EXPENSES</b>								
Salaries, Wages, Benefits	\$6,774	\$7,946	\$6,945	\$9,817	\$31,482	\$33,569	\$2,087	6.2%
Purchased Transportation	3,513	2,901	3,792	3,487	13,693	13,006	(688)	-5.3%
Fuel, Material, Supplies	1,277	1,381	1,386	1,702	5,746	6,843	1,096	16.0%
Purchased Services	663	1,065	956	1,436	4,121	3,815	(306)	-8.0%
Other Expenses	900	474	595	2,330	4,298	4,125	(173)	-4.2%
<b>Total Operating Expenses</b>	<b>\$13,128</b>	<b>\$13,768</b>	<b>\$13,673</b>	<b>\$18,771</b>	<b>\$59,340</b>	<b>\$61,357</b>	<b>\$2,017</b>	<b>3.3%</b>
<b>Surplus (Deficit)</b>	<b>\$3,565</b>	<b>\$2,361</b>	<b>\$1,684</b>	<b>(\$7,610)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
Capital Reserve Transfer	-	-	-	-	-	-	-	
Operating Reserve Transfer	-	-	-	-	-	-	-	
<b>OPERATING BALANCE</b>	<b>\$3,565</b>	<b>\$2,361</b>	<b>\$1,684</b>	<b>(\$7,610)</b>	<b>\$0</b>	<b>\$0</b>		

\*Portion of property taxes received in FY2024 are not reflected in Operating Income Statement. \$19.18mm held in fund balance for future period operations.

TheRide had a net zero result, operating actuals to budget, at the end of Fiscal Year 2024.

**Revenues** were lower than budgeted by **\$2.02 million**. A good portion of budgeted federal operating assistance was deferred due to lower than anticipated expenses and increased other revenue. Investment income outperformed compared to budget due to higher interest rates than anticipated during the fiscal year. **\$19.18 million** in property tax revenue was excluded from the FY24 operating income statement, as these funds are designated for expanded services under the millage plan, which only began in August 2024. This amount will be retained in TheRide's fund balance for that purpose.

**Expenses** were **\$2.02 million** lower than budgeted through fiscal year end due to unfilled staff positions and less expensive than predicted fuel costs.

**Federal Pandemic Relief Utilization**  
Expenditures from \$58.7 million in Federal Pandemic Relief funding as of **September 30, 2024**, for eligible COVID-19-related costs:

Operating Expenditures	\$ 58,744,987
Capital Expenditures	\$ -
<b>TOTAL EXPENDITURES</b>	<b>\$ 58,744,987</b>

Federal Pandemic Funds Remaining to Draw: \$ -

**YTD Revenue and Expense By Mode**

(\$ in thousands)

	Fixed Route	Demand Response	Other Demand Response	Non-Urban	D2A2	VanRide	TOTAL
	<i>Fixed Route Bus</i>	<i>A-Ride</i>	<i>FlexRide, GoldRide, NighRide</i>	<i>WAVE, Peoples Express</i>	<i>Detroit Shuttle</i>	<i>VanRide, Ride Sharing</i>	
<b>DIRECT REVENUE</b>							
Fare Revenue	\$3,047	\$229	\$134	\$212	\$201	-	\$3,823
Contract Revenues	1,415	-	-	1,472	143	-	3,030
Advertising, Interest, Other	3,272	-	-	-	-	-	3,272
Federal Operating	132	129	-	430	2,192	-	2,883
State Operating	16,036	2,145	705	1,128	-	254	20,268
<b>Total Direct Revenue</b>	<b>\$23,902</b>	<b>\$2,502</b>	<b>\$839</b>	<b>\$3,241</b>	<b>\$2,536</b>	<b>\$254</b>	<b>\$33,275</b>
<b>TOTAL EXPENSE</b>							
Salaries, Wages, Benefits	\$29,813	\$1,287	\$116	\$182	\$0	\$85	\$31,482
Purchased Transportation	74	5,357	2,212	2,922	2,370	759	13,693
Fuel, Materials, Supplies	5,072	675	-	-	-	-	5,746
Contracted Services	3,911	148	-	62	-	-	4,121
Other Expenses	3,914	95	50	62	167	11	4,298
<b>Total Operating Expense</b>	<b>\$42,783</b>	<b>\$7,561</b>	<b>\$2,378</b>	<b>\$3,228</b>	<b>\$2,536</b>	<b>\$855</b>	<b>\$59,340</b>
<b>Surplus (Deficit) from OPS</b>	<b>(\$18,880)</b>	<b>(\$5,058)</b>	<b>(\$1,538)</b>	<b>\$13</b>	<b>(\$0)</b>	<b>(\$601)</b>	<b>(\$26,065)</b>
<b>ALLOCATED REVENUE</b>							
Local Property Taxes	\$12,081	\$5,058	\$1,538	(\$13)	\$0	\$601	\$19,265
Federal Pandemic Relief Funds	6,800	-	-	-	-	-	6,800
<b>SURPLUS (DEFICIT):</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>



Ann Arbor Area Transportation Authority

**Balance Sheet - Preliminary**

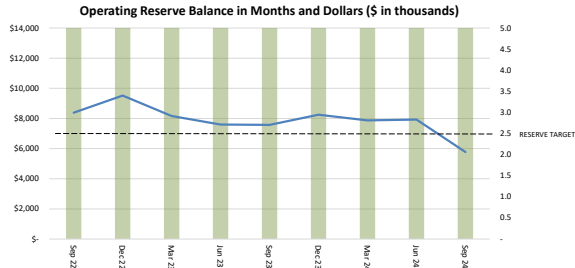
For the Period Ended September 30, 2024

**Q4 Financial Statement**

**Balance Sheet and Reserve**

\$ in thousands, with Prior Year comparison.

	Q4 2023 9/30/2023	Q3 2024 6/30/2024	Q4 2024 9/30/2024
<b>ASSETS</b>			
Cash	\$34,771	\$29,848	\$58,606
Investments	19,859	18,588	18,953
Other Current Assets	11,986	23,966	6,862
Capital Assets	41,125	37,280	36,363
<b>Total Assets</b>	<b>107,741</b>	<b>109,682</b>	<b>120,784</b>
<b>LIABILITIES</b>	<b>6,232</b>	<b>4,552</b>	<b>5,028</b>
<b>TOTAL NET POSITION</b>	<b>101,509</b>	<b>\$105,130</b>	<b>\$115,755</b>
<b>RESERVES:</b>	<b>Balances</b>		
Capital	\$33,260	\$33,260	\$33,260
Insurance	\$500	\$500	\$500
Operating	\$12,905	\$12,905	\$12,905
<b>Months in Operating Reserve</b>	<b>2.7</b>	<b>2.8</b>	<b>2.1</b>



**Statement of Cash Flows (\$ in thousands)**

Historical Cash Flows	FY 2022			FY 2023				FY 2024			
	Quarter 2	Quarter 3	Quarter 4	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Quarter 1	Quarter 2	Quarter 3	Quarter 4
<b>Beginning Balance:</b>	\$32,606	\$28,626	\$29,403	\$44,678	\$34,082	\$41,961	\$41,537	\$54,630	\$51,875	\$50,527	\$50,527
Cash Flow from Operations	(3,775)	573	25,604	(5,186)	3,153	(205)	12,832	(3,045)	(2,402)	(2,444)	24,474
Cash Flow from Capital	(90)	324	(3,163)	(6)	4,349	(166)	55	53	870	182	2,193
Cash Flow from Investments	(115)	(120)	(7,166)	100	377	(53)	206	237	184	171	364
<b>Cash Flow:</b>	<b>(\$3,980)</b>	<b>\$777</b>	<b>\$15,275</b>	<b>(\$10,596)</b>	<b>\$7,879</b>	<b>(\$424)</b>	<b>\$13,093</b>	<b>(\$2,755)</b>	<b>(\$1,348)</b>	<b>(\$2,090)</b>	<b>\$27,032</b>
<b>Ending Balance:</b>	<b>\$28,626</b>	<b>\$29,403</b>	<b>\$44,678</b>	<b>\$34,082</b>	<b>\$41,961</b>	<b>\$41,537</b>	<b>\$54,630</b>	<b>\$51,875</b>	<b>\$50,527</b>	<b>\$48,437</b>	<b>\$77,559</b>

**Q4 cash flow was positive at \$27 million**

The Statement of Cash Flows summarizes the amount of cash and cash equivalents entering and leaving AAATA during the reporting period. It measures how AAATA generates cash to fund its operating, capital, and investing needs. Typically negative cash flow is normal for all quarters except the 4th quarter, when property tax receipts generate positive cash flow.

**Investments Summary**

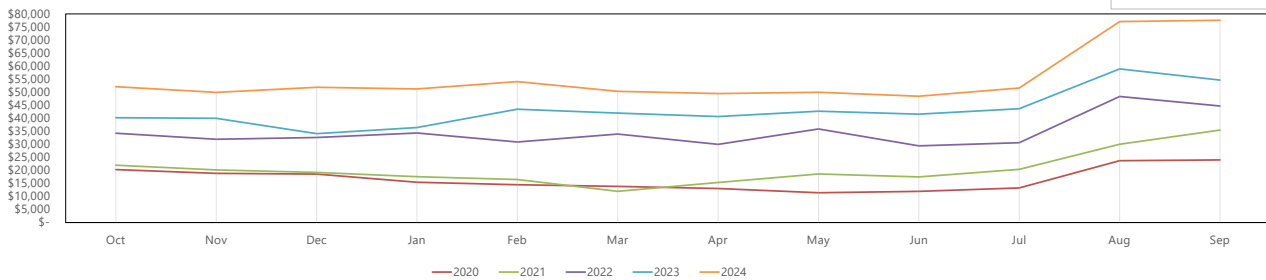
\$ in thousands

Investment Instrument	Date of Maturity	Interest Rate	Value as of 06/30/2024	Transactions	Value as of 09/30/2024
U.S. Agency Bond	4/8/2024	0.38%	\$0	\$0	\$0
U.S. Treasury Notes	5/9/2024	4.86%	0	0	0
U.S. Treasury Notes	6/30/2024	3.00%	2,000	(2,000)	0
U.S. Agency Bond	9/15/2024	2.89%	2,500	(2,500)	0
U.S. Agency Bond	9/23/2024	0.51%	2,000	(2,000)	0
U.S. Treasury Bills	10/31/2024	4.63%	0	2,000	2,000
U.S. Treasury Bills	11/12/2024	4.66%	0	2,500	2,500
U.S. Treasury Bills	11/29/2024	4.70%	0	2,000	2,000
U.S. Treasury Bills	12/26/2024	4.57%	2,000	0	2,000
U.S. Treasury Bills	2/20/2025	4.45%	1,300	0	1,300
U.S. Agency Bond	2/24/2025	3.76%	200	0	200
U.S. Agency Bond	3/28/2025	2.85%	2,500	0	2,500
U.S. Agency Bond	3/28/2025	3.11%	2,000	0	2,000
U.S. Agency Bond	6/27/2025	3.28%	2,000	0	2,000
U.S. Agency Bond	8/8/2025	4.11%	1,400	0	1,400
U.S. Agency Bond	1/22/2026	4.11%	750	0	750
Money Market Funds	N/A	5.04%	210	218	428
Mark-to-Market Adjustment			(272)	147	(125)
<b>Total Investments:</b>			<b>\$18,588</b>	<b>\$364</b>	<b>\$18,953</b>

**FY2024 Investment Gain (\$ in thousands): \$1,094**

U.S. Treasury Bills, Notes, & Agency Bonds are short term bonds (several months to 10 years) backed by the Treasury Department of the U.S. Government. The rates shown for the current investments represent the gross yield-to-maturity rates (before the annual fee of .28%). An FDIC-insured cash sweep account or accounts that have balances above the FDIC insurance threshold are used for day-to-day working capital.

**Cash and Investments History**



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## CEO Report

**Meeting: Board of Directors**

**Meeting Date: November 21, 2024**

### INFORMATION TYPE

Other

### LONG-RANGE PLAN STATUS UPDATES

#### LEGISLATIVE UPDATE

The recent 2024 election results brought notable changes at both the federal and state levels. Donald Trump was elected President, defeating Vice President Kamala Harris with an electoral vote of 312-226. Additionally, the U.S. Senate and House of Representatives now have GOP majorities, marking a shift in control. The Senate holds a 52-47 GOP majority, while the US House is composed of (currently 218-209) Republicans to Democrats.

At the state level, Michigan's House of Representatives returned to GOP control, shifting from a narrow 56-54 Democratic majority to a 58-28 Republican majority. Matt Hall (R) was selected as the new Speaker of the House, with Rep. Ranjeev Puri (D) chosen as the Minority Leader. The Michigan Senate and gubernatorial seats were not up for election this cycle. All the incumbent state representatives who ran, won their election, with Morgan Foreman replacing Rep. Felicia Brabec, who elected to not run for the seat again.

#### ADVOCACY/OWNERSHIP LINKAGE UPDATES

Since the election staff have reached out to the Mayors and Ann Arbor and Ypsilanti, as well as the Supervisor of Ypsilanti Township. All have agreed to schedule initial meetings. These meetings will hopefully be the beginning of building stronger relationships with local officials and can lead to platforms for Ownership Linkage activities and discussing Means of mutual interest.

#### YPSILANTI TRANSIT CENTER PLANNING

Schematic design of the YTC is underway and will continue throughout this fall and winter. The design team has been engaging employees throughout the organization - relying on them and a core team of users to help inform decisions. In parallel, the project team has made considerable progress on the environmental review process. A preliminary draft Categorical Exclusion with Documentation was submitted to the FTA at the end of August 2024, and FTA provided initial comments in October. Staff and the consultant team will work collaboratively to address the comments.

The consultant team also did archaeological work at the site in October required by FTA and the Michigan State Historical Preservation Office. Initial results showed no significant findings; full results will be shared with FTA in the next CE submittal. The project team will hold additional

internal, public, and stakeholder engagements to inform the community on the facility design and function. The engagement's timing will be determined as the environmental review and schematic design processes continue.

### **BLAKE TRANSIT CENTER EXPANSION**

TheRide continues to work with the Ann Arbor Housing Commission and City staff on the joint development of the old Y-Lot site adjacent to the BTC (350 S. Fifth). The Housing Commission and Related Midwest held their first design meeting in September and that process will continue to unfold through the end of the year. TheRide is working closely with the co-developers and architects on the design of the transit platform expansion and affordable housing tower. A separate study led by the DDA to redesign 4th Avenue from Liberty St. to William St. is ongoing. The project team has increased efforts to match those of the 350 S. Fifth development and will be discussing the project timeline and final designs as the details of the housing tower unfold.

### **BUS LANES AND BUS RAPID TRANSIT**

TheRide continues to work with MDOT to ensure that the redesign of the US-23/Washtenaw interchange accommodates the long-term needs of transit. AAATA staff continue to advocate for dedicated bus lanes through the project area to achieve mobility and safety objectives. MDOT and AAATA are actively exploring funding options to implement transit elements of the project. This project is tentatively scheduled to begin construction in the fiscal year 2027. More information is available on the US-23 [project website](#).

A complementary study to envision upgrades along Washtenaw Ave from Carpenter Road to EMU is also underway. The “acceptable alternative” shared during public engagement in October and November shows dedicated bus lanes on both sides of Washtenaw Ave from roughly Carpenter Ave to Rosedale Rd. This planning effort is expected to finish in early 2025 but no funding has been identified yet for implementation. More information is available on the M-17/Washtenaw Ave PEL [project website](#).

Lastly, the City of Ann Arbor and the University of Michigan are partnering on a capital project on State Street between South University Ave and William Street. The current design includes a dedicated “queue jump lane” for northbound transit for this segment of roadway. This would allow AAATA and UM buses to bypass traffic and pick up passengers in a bus-only lane. This project is slated to begin construction in 2025.

All of these projects support projects identified in TheRide 2045 Long Range Plan. A presentation on these initiatives will be given to the Board of Directors on November 21, 2024.

### **BUS FACILITIES AND GARAGE**

AAATA has long identified a need to expand its operations and maintenance capabilities since the Dawn Gabay Operations Center can no longer accommodate the agency’s growing demands as it is currently configured. To address this critical path issue, an RFP was issued on October 31, 2024, to select a consultant to help AAATA identify our future needs, determine suitable sites for growth, and gain environmental clearance on the selected site(s). The consultant selection process will take several months, and the project is expected to begin in early 2025.

### **LOW-NO GRANT / ZERO EMISSIONS BUS UPDATES**

AAATA has begun reorganizing internal team roles for execution purposes and is working to bring on consulting help (as planned) to aid in implementation. Once funds are obligated, we anticipate considerable activity around submitting purchase orders with bus and fueling station manufacturer which will take 18-30 months to be delivered. The interim time will be used for

training and preparation. Staff are prioritizing anything that will help obtain obligation to help ensure funds are not disrupted by the change in presidential administrations.

## **OPERATIONAL UPDATES**

### **YPSILANTI TRANSIT CENTER SECURITY**

There was a security incident at the YTC on November 6<sup>th</sup>. No passengers or staff were injured, but executive staff have recognized the need for a higher degree of security and are assessing various options. Immediately the Ypsilanti Police Department will have a more prominent and visible presence at the Center. More video cameras are being planned. Staff are discussing other measured, incremental responses as well. We are working to ensure the safety of staff and patrons without the general public feeling targeted. More information will be provided on these conclusions.

### **TRANSIT OPERATOR GRADUATION/RECRUITMENT**

The next MCO class is set to begin on November 19<sup>th</sup>, with an expected class size of 10 operators.

### **STOPGAP BUS REPLACEMENT**

TheRide anticipates 11 new Gillig buses to be delivered and on the road by December 2025. These buses are standard diesel buses and are not part of the ZEB or Low-No discussions. TheRide is finishing a mutual cancellation agreement with NovaBus.

### **LOCAL ADVISORY COMMITTEE (LAC)**

The October LAC meeting was held on October 8<sup>th</sup>, where policy related to treatment of the travelling public was discussed and finalization of board feedback for the December board meeting.

### **ANN ARBOR CITY COUNCIL**

AAATA presented to Ann Arbor City Council on October 21<sup>st</sup>, where we provided operational updates, highlighting service changes, and community engagement activities.

### **TRANSPORTATION COMMISSION (ANN ARBOR)**

The Transportation Commission met on October 16<sup>th</sup> and conducted normal business. The Commission received informational presentations on an emerging UM/City/AAATA proposal for a bus lane on State Street, and the DDA's downtown circulation study which calls for transit improvements throughout downtown.

### **WATS POLICY COMMITTEE UPDATE**

The October 2024 WATS Policy Committee was cancelled.

### **EMPLOYEE ENGAGEMENT/HIGHLIGHTS**

In early November, some members of the AAATA staff toured the Gillig bus manufacturer facility in Livermore, CA, to check in on the progress of new buses that will be delivered to AAATA.



On November 13<sup>th</sup>, a retirement luncheon was held for Jerry Page, after 40 years of service with AAATA.



### COMMUNITY ENGAGEMENT

TheRide participated in the Main Street Area Trick or Treat event on October 27<sup>th</sup>. Staff were set up outside the BTC, where they handed out candy to the children who participated in the event.



### SHARED STREETS AND SPACES GRANT

In October, AAATA was awarded a \$200,000 grant to help support the Fourth Avenue Street and Transit Improvements project. TheRide is partnering with the Ann Arbor DDA, City of Ann Arbor and Ann Arbor Housing Commission on this important initiative. The grant is part of the Shared Streets and Spaces program to improve infrastructure; Ann Arbor DDA was also awarded \$200,000 for the project.

### TDM AWARD

AAATA was nominated for a Transportation Demand Management (TDM) Excellence Award from the Association for Commuter Transportation (ACT). AAATA was nominated due to the success of the getDowntown program, which is celebrating its 25<sup>th</sup> Anniversary. Lilliane Webb, Business Services Program Manager and getDowntown Director accepted the award on behalf of AAATA.



**EXECUTION OF CONTRACTS OVER \$250K (Policy 2.9.1.5.D)**

As approved in the FY2025 Budget, on November 7, 2024, the CEO authorized a contract with Indiana Printing & Publishing to provide Ride Guide Printing Services. The contract term is one-year with four (4), one-year options. The estimated value for the first year is \$103,000 and will be reassessed annually, based on quantities ordered.

As approved in the FY2025 Budget, on October 21, 2024, the CEO authorized two contracts, AECOM Great Lakes, Inc., and Nelson Nygaard to provide Transit Planning Consulting Services on an as-needed basis. The contract term is four years with two (2) one-year options. The estimated value for the first year is \$420,000 and will be reassessed yearly.

As approved in the FY2025 Budget, on October 24, 2024, the CEO authorized a contract with Plante & Moran, PLLC to provide Financial Auditing Services. The contract term is three years with two (2) one-year options. The estimated value for the first year is \$83,000. If all option years are exercised, the total contract value will be \$449,600.

**FY 2025 Board Meetings in Ypsilanti**

**Meeting: Board of Director’s**

**Meeting Date: November 21, 2024**

<b>INFORMATION TYPE</b>
Decision
<b>RECOMMENDED ACTIONS</b>
Discuss which months to schedule/hold Board meetings in Ypsilanti during FY 2025.
<b>ISSUE SUMMARY</b>
<p>At the September 26, 2024 Governance Committee meeting, the committee discussed holding several Board meetings at the Riverside Arts Center in Ypsilanti. They asked staff to determine if any meetings might coincide with planned community engagement sessions and be available to reserve.</p> <p>The Governance Committee agreed two meetings at a minimum seemed reasonable but wanted to ask the Board whether a third meeting was warranted.</p> <p>Decision for 2025 may set precedent for future years.</p>
<b>BACKGROUND</b>
<p>Hosting at least 2 out of 12 monthly Board Meetings in Ypsilanti would be roughly proportional to the 2 out of 10 board members from that area.</p> <p>The next round of public engagement in Ypsilanti for the YTC project will likely be in April. The Ann Arbor Art Fair is in July – although the FY 2025 July meeting has already been scheduled for the week after the Art Fair (moved to 4<sup>th</sup> Thursday – July 2025 has 5 Thursdays).</p> <p>Riverside Arts Center has reservation availability for the following potential Board meeting dates:</p> <p>January 23, 2025  May 15, 2025 (YTC Public Engagement Period)  July 24, 2025 (Art Fair)</p>



# The Ride

Ann Arbor Area Transportation Authority

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**PUBLIC TRANSPORTATION  
AGENCY SAFETY PLAN  
MARCH 2023**

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**2700 SOUTH  
INDUSTRIAL HIGHWAY  
ANN ARBOR, MICHIGAN  
48104**

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## Executive Summary:

The Ann Arbor Area Transportation Authority (AAATA) Public Transportation Agency Safety Plan (PTASP) outlines our commitment to safety across all operations. This plan, developed in compliance with Federal Transit Administration (FTA) regulations, establishes a comprehensive Safety Management System (SMS) framework.

Key components of our PTASP include:

1. **Safety Management Policy:** Defines our safety objectives and outlines responsibilities across the organization.
2. **Safety Risk Management:** Details our processes for hazard identification, risk assessment, and mitigation strategies.
3. **Safety Assurance:** Outlines our approach to performance monitoring, improvement, and safety promotion.
4. **Safety Promotion:** Describes our safety training programs and communication strategies.

Our plan emphasizes the critical role of our Safety Committee, comprising equal representation from management and frontline workers. This committee is responsible for reviewing and approving the PTASP, setting safety performance targets, and recommending risk reduction strategies.

We've established specific safety performance targets based on National Transit Database metrics, including fatalities, injuries, safety events, and system reliability. Our Safety Risk Reduction Program focuses on reducing vehicular and pedestrian accidents and mitigating assaults on transit workers.

The PTASP also details our Employee Safety Reporting Program, ensuring all staff can report safety concerns without fear of reprisal. We're committed to continual improvement, regularly reviewing and updating our safety processes to maintain the highest standards of safety for our employees, passengers, and the communities we serve.

This plan represents AAATA's unwavering commitment to safety as our top priority, fostering a culture where every employee is empowered and responsible for maintaining a safe transit environment.

## **SECTION 0 GENERAL DOCUMENT INFORMATION**

### **0.1 PURPOSE**

As a Safety-First organization, AAATA is committed to creating a top-down and bottom-up Safety Culture where Safety is everyone's duty. Everyone is responsible for safety and pursues it daily because they want to and not because they must. A strong Safety Culture is one where:

- Nothing takes precedence over safety.
- All employees share equal responsibility for safety.
- The organization is constantly improving its safety efforts.
- There is open communication between the workers and management.
- Leadership leads by example by demonstrating safety is a top priority and gives safety the attention it deserves.
- Stopping work for legitimate safety concerns is met with positivity.
- Key safety performance indicators show improvement over time.
- The Safety Committee plays a crucial role in fostering this safety culture and ensuring the effectiveness of our safety management system.

### **0.2 SCOPE**

This ASP shall apply to all departments, operations, and personnel of AAATA as its core foundation is rooted in the intent of providing safe and exceptional public transportation to the communities in which we serve. The success of this required plan is dependent upon the efforts of AAATA staff across the agency, everyone plays a key role in our ability to provide a safe environment for our customers and ourselves daily. The leadership of AAATA is committed to the SMS approach to safety management and will incorporate this into its decision-making processes to continue to build a culture of safety throughout the organization.

To comply with recent amendments to 49 USC 5329, AAATA has established a Safety Committee with equal membership from front-line labor representatives appointed by TWU-171 and management staff. This committee is responsible for approving the agency Safety Plan, establishing safety performance targets, monitoring performance, and identifying and recommending risk reduction mitigation strategies.

The AAATA also recognizes that the contracted agencies that provide transit services on behalf of AAATA play a significant role in the management of transit safety. To that the AAATA acknowledges that it must communicate the expectations and monitor the compliance of the FTA requirements of SMS and this ASP not only within its organization but also that of the contracted transit agencies as well.

It is this ASP along with its related processes and procedures (SMS) that will allow AAATA to reduce the likelihood of safety events and their potential negative impacts upon the traveling public and this agency, as it will promote awareness and responsiveness to safety risks.


To the extent any term of any collective bargaining agreement between AAATA and TWU-171 conflicts with anything in this plan, any such bargaining agreement shall remain in effect and unchanged pursuant to their terms. Recent amendments to 49 USC 5329 require equal membership on the Safety Committee from front line labor representatives appointed to the committee by TWU-171 and management staff appointed by organization leadership. The safety committee shall, among other requirements imposed by law, approve any agency Safety Plan, establish safety performance targets, monitor performance targets, and identify and recommend risk reductions mitigation strategies in the service area covered by AAATA.

### 0.3 AGENCY INFORMATION/DESCRIPTION

Transit Agency Name and Address	ANN ARBOR AREA TRANSPORTATION AUTHORITY 2700 S. Industrial Highway, Ann Arbor, MI 48104		
Accountable Executive	MATT CARPENTER	CHIEF EXECUTIVE OFFICER	
SMS Executive	GEORGE BROOKS	DEPUTY CEO, OPERATIONS	
SMS Project Manager	ELI A. BODDY	SAFETY OFFICER	
Mode(s) of Service Covered by This Plan			
Fixed Bus Route		Non-Fixed Route Bus	
List of All FTA Funding Types (e.g., 5307, 5310, 5311)		5307, 5310, 5311, 5339	
	Fixed Bus Route		Directly Operated
	Paratransit		Contractor Operated
Does the agency provide transit services on behalf of another transit agency or entity?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	Description of Arrangement(s) Purchase of Service Agreements for both fixed-route and demand response services provided in Pittsfield, Scio and Superior Townships
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	Pittsfield Township Scio Township Superior Township		

### 0.4 ASP Development, Certification and Updates

This ASP has been developed by the AAATA. The AAATA shall, as required (49 CFR Part 673) maintain this safety plan and all related documents (programs, policies and procedures, etc.) that are utilized by the AAATA in regards to its activities and implementation. The AAATA shall maintain these documents for a minimum of three years, shall make available said documents for review upon request by the Federal Transit Administration (FTA) or other authority having jurisdiction.

Plan Drafted By	Eli A. Boddy, Safety Officer, Ann Arbor Transportation Authority	
<b>Certification of Compliance</b>  This Public Transportation Agency Safety Plan for the Ann Arbor Area Transportation Authority, as required by (673.11(a)(1), has been reviewed and approved by the Safety Committee, and by signature below is hereby approved for implementation by the Accountable Executive and the Board of Directors.		
Accountable Executive	Matt Carpenter, Chief Executive Officer	
Signature		
	Date: 10/30/2024	
Approval by the Safety Committee	Ann Arbor Area Transportation Authority Safety Committee Approval Date:	
Approval by Board of Directors	Ann Arbor Area Transportation Authority Board of Directors Approval Date:	
Ann Arbor Area Transportation Authority  Public Transportation Agency Safety Plan		Version No: 3.0
The approval of this Ann Arbor Area Transportation Authority Agency Safety Plan is documented by way of this certification of compliance and is noted in the ASP Activity Log while being maintained on file by the SMS Project Manager.		

## **0.5 ASP Annual Review and Update**

AAATA shall, as it pertains to this ASP, annually review and update the document as necessary, implement the changes within a timeframe that will allow for the document to be submitted for annual self-certification of compliance.

The annual review of the ASP will be conducted by the Safety Committee and routed to the Accountable Executive for review and signature. Upon the Accountable Executive's review, the Safety Committee will then review and approve the ASP. Following the Safety Committee approval, the Accountable Executive will present the ASP to the board of directors for review and approval no later than the December meeting.

All necessary updates affecting this plan occurring outside the annual update window, shall be addressed as addendums which will be incorporated into the body of the ASP. All reviews, updates and addendums, adoptions, and distribution activities will be recorded in the ASP Activity Log in this document.

Completion of the annual review process shall be targeted for March 1<sup>st</sup> of each year to allow for time to complete the arbitration process if necessary.

The annual self-certification process will consist of a review, and approval by the safety committee. It will then consist of the review, approval, signing and dating of the document by the AAATA Board of Directors. The self-certification shall be documented in each of the following locations:

- FTA Transit Award Management System(TrAMS)
- Ann Arbor Area Transportation Authority ASP Activity Log

## 0.6 Ann Arbor Area Transportation Authority PTASP Activity Log

<p>It is imperative that the complete history and all successive versions of the Public Transportation Agency Safety Plan (PTASP) for Ann Arbor Area Transportation Authority is maintained.</p> <p>The AAATA shall record any document changes (Reviews/Update/s Addendum/Adoption/Distributions) and record them in this activity log.</p>				
Version Number	Reason for Change	Affected PTASP Areas	Responsible Person (Signature)	Date
1.0	Original PTASP	N/A	Bryan Smith	11.19.2021
1.1	Addendum to correct previous Safety Performance Targets and to show current target information	Safety Performance Targets	Scott E. Robinson	03.04.2022
2.0	Revised Version of PTASP  Safety Coordinator – New Position  Approval By Board of Directors – Removed Resolution	Organizational: Authorities and Responsibilities  PTASP:  SMS/PTASP Roles and Responsibilities  PTASP: Development, Certification and Updates	Bryan Smith	03.22.2022
2.2	2022 ASP (Approved and Certified)	Organizational: Authorities and Responsibilities  PTASP:  SMS/PTASP Roles and Responsibilities  PTASP: Development,	AAATA Board of Directors	11.9.2022

		Certification and Updates  Bipartisan Infrastructure Law Updates		
2.3	2023 ASP (Approved and Certified)	Complete document review and revision by the Safety Committee	AAATA Board of Directors/Safety Committee	09.29.2023  Approved in TrAMS on  12.28.2023
3.0	2024 ASP (Approved and Certified)	Complete review and revision by the Safety Committee.	AAATA Board or Directors/Safety Committee	

## **SECTION 1 SAFETY MANAGEMENT**

### **1.1 Safety Management Policy Statement**

The AAATA considers the management of safety as a top priority for the success of the organization. AAATA understands the necessary commitment to safety and how it relates to employees and the customers that we serve. As an organization we will utilize a systematic approach to identify hazards and risks that can affect our daily and long-term operations and maintenance functions.

We are committed to implementing, maintaining, and constantly improving processes to ensure that all our operational and maintenance activities are supported by an appropriate allocation of organizational resources aimed at achieving the highest level of transit safety performance. AAATA, in the development of this ASP has adopted a SMS framework as a core element of the agency's safety responsibility by the establishment of safety policy; identifying hazards and controlling risks; setting of goals; planning and performance monitoring and measurement.

AAATA has adopted SMS as a means by which to encourage and grow agency-wide support for transit safety. This starts with the Chief Executive Officer (CEO) and the development of a culture where all levels of management and front-line employees are active and accountable for the delivery of the highest level of safety performance.

In accordance with the Occupational Safety and Health Act of 1970, employees have the right to refuse any work they feel places them in imminent danger or harm until the employer has taken actions to mitigate the hazard. Employees should immediately report these conditions to their supervisor or employer and give them a reasonable opportunity to address the issue. If there is a disagreement as to whether the safety concern was appropriately mitigated, the Safety Officer or Safety Coordinator will conduct a hazard assessment and make a final decision on the mitigations to render the work safe.

This commitment to comply with all provisions of this ASP and the SMS shall extend to all contractors of AAATA who provide services on behalf of the agency. The AAATA shall incorporate these expectations in all applicable federally funded contracts, initially or by way of addendum, with providers of transit services on behalf of AAATA. It shall be identified in the contract language that each contractor of transit services shall be required to certify compliance to AAATA on an annual basis.

AAATA has established a Safety Committee with equal representation from frontline workers and management. This committee plays a crucial role in our SMS by reviewing and approving the ASP, setting safety performance targets, and recommending safety risk mitigations. The committee's involvement ensures that safety decisions benefit from diverse perspectives and expertise across our organization.

The Ann Arbor Area Transportation Authority commits to:

- Support the management of safety by providing appropriate resources to support an organizational culture that promotes safe operational practices, encourages effective safety reporting and communication, and actively manages safety with the same attention as that given to the other management systems of this agency.
- Integrate the management of safety as a clear responsibility of all department managers and employees.
- Clearly define for all department managers and employees their accountabilities and responsibilities for the delivery of safe transit services and the performance of our safety management system.
- Establish and operate a safety reporting program as a fundamental part of the hazard and risk identification and evaluation process. This reported information is essential to our efforts to eliminate or mitigate the safety hazards and risks that are affecting our operations or maintenance activities, to a point that is as low as reasonably practicable (ALARP).
- Comply with and, wherever possible, exceed any applicable legislative and regulatory transit/safety related requirements and standards.
- Warrant that trained and skilled personnel are available and assigned to implement the agency's safety management processes and activities.
- Confirm that all transit staff are formally provided with adequate and appropriate safety management information, are competent in safety management system activities, and are assigned only safety related tasks commensurate with their skills.
- Establish and measure agency safety performance against realistic safety performance indicators and safety performance targets.
- Continually improve safety performance through management processes that ensure relevant safety action is taken in a timely manner and is effective when carried out.
- Ensure contracted services that support our transit mission are delivered applicable to our own safety performance standards.

Signature:



Title: Chief Executive Officer

Date:

10/30/2024

## **1.2 Safety Management Policy Communication**

The AAATA has adopted the Safety Management Policy Statement and its contents as an organizational directive towards the management of safety as it applies to all its operations. This policy statement also exemplifies the commitment on the part of the Chief Executive Officer (CEO) to the positive management of safety through the establishment of an organization wide SMS. The CEO and management of AAATA feel that this policy and ASP will help establish the SMS, by providing the foundation for the existing and forthcoming safety procedures and policies.

To continue to be successful AAATA recognizes the importance of effective communication and is therefore committed to clearly communicating its safety goals and objectives. The adopted Safety Management Policy Statement, its intent and expectations and other SMS and ASP information shall be communicated and distributed to all departments and employees of AAATA using approved internal methods.

The AAATA as an agency, understanding the need to safeguard agency safety related information with external sources, clearly recognizes the important role the contracted agencies play in delivering services to the traveling public. The agency shall communicate this Safety Management Policy Statement and all ASP and SMS expectations to its contractors to ensure the success of this plan on every level.

Approved communication methods to be utilized include but are not limited to:

- Departmental staff meeting
- Organizational staff meetings
- Notice board postings
- Safety Committee meetings
- Email communications
- Other current or future available methods.
- Safety Committee meetings and reports

## **1.3 Employee Safety Reporting Program (ESRP)**

The AAATA is committed to providing the safest transit operating standards possible. AAATA recognizes that to realize this, it is of the utmost importance that we encourage and attain uninhibited reporting of all incidents and occurrences. It is our understanding that without this our ability to conduct our operations safely will be compromised. With this identified, AAATA specifies that every employee shall be responsible for communicating to management any information that may hinder the integrity of transit safety.

The AAATA has developed an ESRP that will include but not be limited to the following attributes:

- Ease of Reporting
- Training - Clear instructions on the process of reporting
- Feedback that is timely and informative
- Protection of information

Employees are encouraged to report all identified safety concerns and hazardous conditions to department supervisory staff or to the safety office so that SRM procedures and mitigation efforts can begin. Every employee who submits a report will be provided feedback on the outcome regarding his/her report, if indicated on the report form. As part of this program each employee shall have the option to submit a report anonymously if desired. Such reports will be received and entered anonymously with no record of who created and submitted the report.

The available channels of communicating these concerns or issues are:

- Direct Communication to supervisory staff
- Employee Safety Reporting Form
- Email
- Department Drop Box
- Phone Message
- QR Code Reporting

The ESRP, provides procedures that will ensure that all communicated reports of safety concerns or issues are managed appropriately from initial reporting through actual mitigation when applicable.

The agency will utilize the relevant ESRP forms and personnel to document the process and progress made as it relates to the reporting, hazard assessment and mitigation of each reported safety concern. The process will involve the following agency personnel:

- Reporting Employee
- Department Staff (Supervisor, Manager)
- Safety Officer
- Safety Committee
- SMS Manager

The established method of collection, recording and disseminating of information obtained from the agency's Employee Safety Reporting Program has been created to protect, to the extent permissible by law, the identity of any employee who provides transit safety information as it applies to this ASP and the functions of AAATA. The ESRP provides procedures that will ensure that all communications received will be used for the intended purpose of safety management.

The responsibility for safety is shared by all employees, it is understood by our employees the significant role that we play in providing a high level of transit safety for the traveling public. The AAATA in its efforts to provide the highest level of quality service, urges all staff members in all departments to practice the concepts of the SMS and those outlined in this agency safety plan.

Key factors related to the established ESRP include:

- Reporting - Every employee who submits a report will be provided feedback on the outcome regarding his/her report, if indicated on the report form.
- Immediate Threats - The recognition of any hazardous condition(s) by an employee that can be deemed as an immediate threat to safety shall be reported to the employee's direct supervisor or the safety office immediately.
  - Such reported hazardous conditions that may be deemed to be an immediate threat to safety, are expected to be addressed immediately.
- Other Hazards - The identification of other hazardous conditions that can affect the safety of employees, customers, and the operations of AAATA shall be reported to be investigated, evaluated, and addressed via the development of a mitigation plan as needed.
- Involvement – AAATA management staff, department safety committee employees are planned to be involved in the processing of each report received to bring about a satisfactory resolution that will mitigate the hazard to an acceptable level.

The ESRP and its intent, as identified by FTA requirements shall be communicated to the employees of AAATA as well as the contracted agencies that provide transit services on behalf of AAATA. The contracted agencies shall submit to AAATA documentation identifying and describing the existence of an employee safety reporting program that meets the FTA identified requirements. The submitted documentation shall include references to modes of communication that are available to employees to communicate and receive feedback concerning safety issues. The appointed AAATA staff member charged with monitoring the contracted service providers shall document that this has been verified annually.

The Safety Committee will regularly review aggregated data from the ESRP to identify trends, assess the effectiveness of existing safety risk mitigations, and recommend new safety initiatives as needed. This review process ensures that frontline insights are incorporated into our broader safety management strategies.

## 1.4 ASP/SMS Contacts

Ann Arbor Area Transportation Authority ASP/SMS Contacts			
Name	Role	Office Phone	Cell Phone
Matt Carpenter	CEO/Accountable Executive	734-794-1767	
Dina Reed	Deputy CEO Finance and Administration	734-794-1768	
George Brooks	Deputy CEO of Operations/SMS Executive	734-794-1761	
Forest Yang	Deputy CEO of Innovation and Planning	734-794-1752	
Ron Carr	HR Manager	734-794-1830	
Yvette Washington	Bus Operations Manager	734-794-1717	
Robert Williams	Mobility Services Manager	734-794-1702	
Troy Lundquist	Fleet Services Manager	734-794-1750	
Gail Roose	Facilities Service Manager	734-794-1780	
Eli Boddy	Safety Officer/ SMS Project Manager	734-794-1834	503-799-4665
Larry Gibson	Safety Coordinator	734-794-1899	
Delisa Brown	Union President TWU-171	734-794-1707	

## 1.5 Key SMS/ASP Roles and Responsibilities

Accountable Executive: The CEO is designated as the Accountable Executive for the agency's SMS and this ASP. The CEO is accountable for ensuring that the SMS is effectively implemented and resourced throughout all operations of AAATA, by being responsible for the following:

- Implementation and maintenance of the SMS
- Responsible for the Transit Asset Management Plan (TAMP)
- Control of human and capital resources to develop and maintain the ASP and TAMP
- Ensures safety concerns are considered in the ongoing budget planning process
- Maintains transparency in safety management priorities (Board of Directors and Employees)

- Provides guidance as to the level of safety risk acceptability
- Ensures that the safety management policy is aligned with the ideals of the agency and communicated throughout the organization
- Must implement safety risk mitigations for the safety risk reduction program and receive and consider all other safety risk mitigations recommended by the Safety Committee. If the accountable executive declines to implement any safety risk mitigations unrelated to the safety risk reduction program, he or she must prepare a written statement explaining the decision and submit and present this explanation to the Safety Committee and Board of Directors.
- Allocates resources to address safety concerns raised by the Safety Committee.

SMS Executive: The Ann Arbor Area Transportation Authority Deputy CEO of Operations has been designated as the SMS Executive for the agency's SMS and this ASP. The SMS Executive, as it pertains to SMS and this ASP shall report directly to the CEO, and has responsibility for the day-to-day implementation and operations thereof. Provides leadership in the operation, performance, and improvement of SMS, by fostering the development and implementation of strategies that supports departmental, customer and corporate business plans, goals, and objectives.

Examples of such responsibilities may include:

- Facilitating full implementation of the SMS across AAATA
- Advocating for a safety culture
- Conducting strategic planning for the SMS
- Ensures the continual management and updating SMS related processes and procedures
- Ensures the compliance requirement for the annual review and updating of the ASP
- Provides guidance and oversight to the management of the SRM and Safety Assurance processes and outputs
- Facilitating coordination of SRM, evaluations and investigations, and controls with special attention to cross-organizational impacts
- Monitoring the safety performance of all AAATA operations and activities
- Require that all relevant safety-related information be communicated and used in decision making
- Review of internal and external safety audit reports
- Review and approval of the SMS safety training requirements and matrix
- Ensures that Safety Committee recommendations are properly considered and implemented.

Safety Officer: The Safety Officer for AAATA has been designated as the SMS Project Manager and has safety responsibilities related to all operations of AAATA concerning the development and implementation of the SMS and ASP. The Safety Officer shall:

- Advocate and promote for an effective safety culture
- Ensure the coordinated development, implementation, and maintenance of the ASP
- Assist the SMS Executive with facilitating the full implementation of the SMS across the organization
- Managing and updating SMS processes based on experiences and lessons learned
- Ensures the compliance requirement for the annual review and updating of the ASP
- Providing additional guidance material (as required) to further strengthen and clarify the SMS processes
- Managing the SRM and Safety Assurance processes and outputs; including related evaluations, investigations, and mitigations
- Managing and monitoring the employee safety reporting program for success
- Monitoring the safety performance of AAATA operations and activities through formal data collection and analysis; and
- Leading and facilitating hazard analyses with appropriate subject matter experts
- Developing and Leading internal and external safety audits
- Developing and coordinating the collection of safety performance data, including review and reporting
- Develops and Provides guidance as it relates to organizational safety training requirements
- Promoting safety awareness throughout the organization
- Ensuring that safety documentation is current
- Tracking and monitoring the effectiveness of corrective actions (hazard mitigations) to conclusion
- Providing periodic reports on safety performance
- Provides independent safety advice to department managers, and staff as needed
- Provides support to the Safety Committee, including data analysis and report preparation.
- Facilitates Safety Committee meetings and activities in coordination with the Safety Committee Co-Chair

#### Safety Coordinator

- Advocating for a safety culture
- Assist the Safety Officer with the management and communications of all phases of ASP across the entire organization to ensure its applicability and success.
- Assist the Safety Officer with facilitating the full implementation of the SMS across the organization
- Assist the Safety Officer with managing the SRM and Safety Assurance processes and outputs, including related evaluations, investigations, and mitigations
- Assist the Safety Officer with managing and monitoring the employee safety reporting program for success, including regular checks of the reporting process.
- Assist the Safety Officer with the management of safety training activities across the organization

- Assists with the coordination and administration of safety office daily responsibilities
- Manages the Job Safety Analysis Program across the affected departments

Department Managers: The department managers of AAATA are accountable and responsible for the following based upon the SMS and ASP for this agency:

- Upholding and promoting safety policies, and SRM safety assurance, and safety training and communication protocols
- Developing safety performance measures and targets
- Fostering a strong safety culture within their department
- Allocating the appropriate staffing resources necessary to become compliant with and maintain compliance with the requirements SMS and this ASP
- Identifying the necessary funds to meet the affected identified safety performance requirements and incorporate them into budgeting plans, prioritizing, and allocating expenditures according to safety risk
- Works collectively with the Safety Officer to effectively address information brought forth via the employee safety reporting program
- Implementing the SRM, safety assurance, and safety training and communication protocols within their department
- Ensuring that departmental procedures are consistent with the SMS
- Determining and implementing mitigation efforts to counteract and manage identified safety risks and the negative consequences
- Ensuring that all department employees received agency SMS training
- Supporting and requiring employees within their department to participate in safety training activities
- Integrating SRM into existing processes
- Requiring that all relevant safety information be communicated and used in decision-making
- Ensuring that all system changes are coordinated, documented, and go through the SRM & SA process

Supervisor Role and Responsibilities: The Supervisory staff of AAATA are accountable and responsible for:

- The safety performance of all personnel and equipment under their supervision
- Implementing and maintaining safety-related control measures/mitigations
- Familiarizing employees with the safety requirements and hazards associated with the work to be performed
- Responding to identified hazards that may impact safety performance
- Reporting all mishaps and incidents
- Sharing lessons learned from incidents
- Implementing and adhering to SMS procedures and processes within their span of control

Employees: The employees of AAATA have the following responsibilities as it relates to the SMS and the agency ASP such as the following:

- Becoming familiar with the safety procedures for their assigned work activity
- Performing their work safely
- Following procedures and rules
- Reporting hazardous conditions or safety suggestion through the utilization of the "Employee Safety Reporting Program"
- Reporting accidents and incidents in accordance with established requirements for the protection of themselves, co-workers, customers, facilities, and equipment

Safety Committee: The AAATA uses an established safety committee to assist with the continual management of safety for its operations. The safety committee is composed of an equal number of frontline employee representatives (selected by TWU 171) and management representatives, in compliance with recent amendments to 49 USC 5329. This committee plays a crucial role in our SMS by performing various functions and tasks related to the overall management of safety for the agency, including but not limited to:

- Reviewing and approving the Agency Safety Plan (ASP) and any updates annually, prior to submission to the board of directors
- Setting annual safety performance targets based on the measures outlined in the National Safety Plan
- Identifying and recommending risk-based mitigation strategies necessary to reduce the likelihood and severity of consequences identified through AAATA's Safety Risk Assessment
- Identifying any mitigation strategies that may be ineffective, inappropriate, or not implemented as intended
- Identifying safety deficiencies for purposes of improving the organization's continuous improvement
- Assisting and supporting the overall safety program, rules, procedures, and policies
- Working positively to reduce accident frequency and severity rates
- Facilitating communication and cooperation between all levels of the workforce on matters of safety
- Recommending new safety policies, procedures, and programs
- Reviewing accident report summaries and analyses
- Participating in or reviewing safety inspections
- Participating in safety training
- Discussing relevant safety objectives and goals
- Participating in the investigation of identified/reported potential hazards to personnel or operations
- Reviewing semi-annually, or more frequently, if necessary, the list of accessible bathrooms for Motor Coach Operators while on route. Any routes that do not have accessible bathrooms due to safety reasons will have a risk hazard assessment

completed by the Safety Committee with recommended mitigations forwarded to Accountable Executive for review and implementation

Reviewing semi-annually, or more frequently as needed, any bus routes that pose safety concerns. For routes with unaddressed safety concerns (not previously handled by the route committee) or that pose an imminent safety risk, the Safety Committee will complete a risk hazard assessment and recommend mitigations to the Accountable Executive. The Accountable Executive shall implement any mitigations related to the safety risk reduction program and receive and consider all other recommended mitigations. If declining to implement any safety risk mitigations unrelated to the safety risk reduction program, the Accountable Executive must prepare a written statement explaining the decision and submit and present this explanation to both the Safety Committee and Board of Directors.

The Safety Committee has responsibility for safety throughout the organization, which may require additional responsibilities beyond those listed above. The committee's involvement ensures that safety decisions benefit from diverse perspectives and expertise across our organization.

The AAATA Safety Committee operates according to the Safety Committee Guidelines, document version 1, which is incorporated by reference into this PTASP. The full text of the Safety Committee Guidelines is available on the AAATA K Drive under Safety Information.

All official decisions of the Safety Committee, including but not limited to approval of the PTASP, setting safety performance targets, and recommending safety risk mitigations, will follow the formal voting process outlined in the Safety Committee Guidelines. This process ensures equal representation and thorough consideration of all perspectives in safety-related decision-making.

Any disputes arising within the Safety Committee that cannot be resolved through normal processes will be subject to the dispute resolution mechanism outlined in the Safety Committee Guidelines. This process ensures fair and timely resolution of safety-related disagreements.

The Safety Committee meets at least quarterly. Meeting agendas and minutes are distributed according to the procedures outlined in the Safety Committee Guidelines.

#### External Service Providers

Contractor agencies play an important role in supporting and implementing the intent of this ASP and the related SMS activities. Contractors who provide transit services on behalf of AAATA have been informed of the need to provide to AAATA as required by the FTA documentation that includes at minimum, descriptions identifying internal positions that have safety related roles, responsibilities, and authorities for their respective agency. It is imperative that the individuals in these positions understand and effectively manage their safety responsibilities.

The AAATA Manager of Mobility Services or the Safety Officer shall communicate this

requirement to the contracted agencies, the information upon receipt will be kept on file in the safety officer's office. The Manager of Mobility Services is charged with monitoring the contracted service providers in terms of compliance and shall document that this has been verified annually.

## **1.6 Safety Promotion, Culture and Training**

The AAATA believes safety promotion to be another critical component of this ASP and its overall success. It is understood by AAATA that to achieve the desired results of this agency safety plan we must ensure that the entire organization understands and trusts in the developed policies and procedures, as well as how they relate to the adopted SMS structure. It involves establishing a positive minded culture that recognizes safety as a fundamental value, training of employees in safety principles, and allowing open communications of safety issues.

### **1.6.1 Safety Culture**

The AAATA recognizes that the development of a positive organization wide safety culture must be generated from the top-down. We have identified that the actions, attitudes, and decisions made at the management level must demonstrate a sincere commitment to safety.

It is affirmed that safety is a responsibility of each employee with the ultimate safety responsibility and accountability resting with the CEO and the Board of Directors.

All employees must have confidence that management will support decisions that are made with safety in mind.

As part of this ASP, a primary goal is that of safety promotion and the development of a positive safety culture. The intent is to have organizational safety culture will provide a means for the safety plan and the safety management system to function successfully. At AAATA it is desired to have a thriving positive safety culture that can be described as one that encompasses these four elements:

- A. An Informed Culture where
  - Employees understand the hazards and risks involved in their areas of operation
  - Employees are provided with the necessary knowledge, training, and resources; and
  - Employees work continuously to identify and overcome threats to safety.
  
- B. A Just Culture where
  - Employees know and agree on what is acceptable and unacceptable behavior; and
  - Human errors must be understood and fairly investigated.
  
- C. A Reporting Culture where

- Employees are encouraged to voice safety concerns and to share critical safety information without the threat of punitive action; and
- When safety concerns are reported they are analyzed, and appropriate action is taken.

D. A Learning Culture where

- Learning is valued as a lifetime process beyond basic skills training
- Employees are encouraged to develop and apply their own skills and knowledge to enhance safety; and
- Employees are updated on safety issues by management and safety reports are fed back to staff so that everyone learns the pertinent lessons.

### **1.6.2 Safety Training**

The AAATA shall require that all employees receive safety training appropriate with their job classification. Initial safety training will be provided as part of the new hire on-boarding process to ensure that employees understand the overall safety expectations of AAATA. To confirm the Authority's commitment to providing a safe working environment, additional training shall be provided to explain the agency's safety culture and describe how SMS works and the expectations of the ASP.

The Safety Officer is the resource person for providing a corporate perspective on the approach to safety management and training. The level of training and content provided will be based upon the specific job classification and the safety responsibilities and tasks performed. A safety training matrix has been developed and will be utilized as a reference source for agency safety training. Safety management training will address but not be limited to the following groups and content:

- Initial Safety Training for All Staff
  - Basic principles – Review of the basic principles of safety management.
  - AAATA safety philosophy – Shall include a review of safety philosophy, safety policy and safety goals and objectives.
  - Compliance factors – Discuss the importance of complying with the safety policy and SMS procedures, and the approach to disciplinary actions.
  - AAATA Responsibilities - Organizational structure, roles, and responsibilities of staff in relation to safety.
  - AAATA Safety Management Key Factors
    - Transit agency's safety record.
    - Continuous internal assessment of organizational safety performance
      - (e.g. employee surveys, safety audits, and assessments)
    - Review the importance and benefits of reporting accidents, incidents, and perceived hazards

- Communication
      - Review the importance of safety communication for the organization and each department
      - Feedback and communication of safety information.
  - Safety promotion and information dissemination.
- Safety Training for Operations Personnel
  - Hazard Identification
  - Review of seasonal safety hazards and procedures (e.g. winter operations)
  - Procedures and expectations related to
    - Hazard reporting.
    - Reporting accidents and incidents; and
  - Review of emergency procedures
  - Deescalation Training (Fleet Maintenance, Motor Coach Operators, Supervisors and Call Takers)
  - Subject specific safety training (required or as needed)
  - Other departmental safety policies and expectations
- Safety Training for Management Staff
  - Principles of the SMS.
  - Management responsibilities and accountabilities for safety; and
  - Legal issues (e.g. liability).
- Training for the Safety Personnel
  - Familiarization with different transit modes, types of operation, routes, and so forth
  - Principles and Operation of SMS
  - Accident / Incident Investigating
  - De-escalation Training
  - Emergency management and response planning
  - Safety promotion and communication
  - Performing safety audits and assessments
  - Monitoring safety performance; and
  - National Transit Database (NTD) incident reporting requirements
- Training for the Contractor Safety Personnel

The AAATA shall ensure that the contractor personnel with safety responsibilities are informed of the contents of this agency safety plan and its intent to comply with identified FTA requirements for SMS. The contractor shall inform and provide documentation to the AAATA denoting the type of safety training that it requires and provides for its employees who are responsible, have authorities and duties related to safety management within their respective organizations. Key safety subject matter training that AAATA will look for the

contractor to have incorporated into their programs shall include but not be limited to the following:

- FTA Principles and Operation of SMS
  - Accident / Incident reporting and investigating
  - SRM
  - Other Subject Matter Safety Training relevant to position and duties
- Training for Safety Committee Personnel
    - In accordance with the Safety Committee Guidelines
  - Training for Maintenance Personnel
    - Specific safety procedures for all maintenance activities
    - Proper use and maintenance of maintenance equipment and personal protective equipment
    - Hazard identification and reporting in maintenance settings
    - Safe handling and disposal of hazardous materials
    - De-escalation training
    - Emergency response procedures specific to maintenance facilities
    - De-Escalation Training

#### De-escalation Training

AAATA provides comprehensive de-escalation training to all frontline staff, including operators, customer service representatives, supervisors, and maintenance personnel who interact with the public. This training is provided as part of initial training and through annual refresher courses. The de-escalation training program covers:

- Recognizing potential conflict situations
- Understanding triggers and escalation patterns
- Verbal and non-verbal de-escalation techniques
- Active listening and empathy skills
- Proper procedures for requesting assistance in escalating situations
- Post-incident reporting and debriefing
- Self-care and stress management for frontline staff

AAATA ensures that all safety-critical personnel, including maintenance staff and frontline employees, receive refresher training at least annually or more frequently if required based on performance evaluations or changes in procedures.

The effectiveness of the training program is regularly evaluated through performance metrics, employee feedback, and incident analysis. The Safety Committee reviews these evaluations

annually and recommends updates or additions to the training program as needed to address emerging safety concerns or changes in operational procedures.

### **1.6.3 Safety Communication**

The AAATA recognizes that communication is an essential component in the success of the SMS and this ASP. All levels of management understand that they must actively engage employees to ensure that communication lines remain open and active. The agency identifies that for both SMS and this ASP to be successful it must:

- Ensure that all personnel are aware of the SMS and their role in its success
- Communicate the necessary information that individuals need to do their job effectively and safely
- Communicate safety critical information
- The employer must ensure that the information communicated is understandable, accurate and up to date
- Consider privacy or security concerns when sharing information
- Explain why particular safety measures are taken
- Clarify why safety procedures are introduced or changed
- The more informed an employee is about safety measures, the more at ease they will be in performing their duties daily
- Provide feedback on identified hazards and safety concerns received as part of its employee safety reporting program

AAATA recognizes that its most important source of information is its employees and shall continue to utilize all platforms and tools at its disposal to maintain effective internal communications with its employees. Examples shall include but are not limited to the following:

- Safety Management Policy Statement
- Employee Safety Reporting Program
- Safety Meetings
- Safety Bulletins/Boards
- Training (Initial & Refresher)
- Intranet or social media
- Safety policies and notices
- Toolbox Talks
- Other

Effective communication is only attained when the intended message has been both heard and understood. As part of the Safety Promotion component of the SMS, the agency shall work to continually improve upon its efforts and abilities to motivate others to want to communicate openly and without concern for reprisal. AAATA is responsible for communicating events and safety information to all employees as appropriate, utilizing the authorized communication process.

The Safety Officer and the appointed staff contact shall work with and monitor contractor internal and external safety communication activities to ensure that each contractor is supporting and is compliant with the intent of this agency safety plan and SMS requirements. Such monitoring shall be conducted in a way to identify and confirm the use of previously identified means such as:

- Safety bulletin boards,
- Training sessions,
- Memorandums,
- Dept. meetings
- And other

Information from regular monitoring activities shall be documented and reported to the agency safety officer for reporting to the SMS Executive.

It is understood that external communications of SMS related operational information has the potential to subject the AAATA to an undetermined level of risks including that of security, employee safety and other. Therefore, the agency will not communicate SMS related information externally unless required by federal, state, or local regulations and only with the approval of the Chief Executive Officer, SMS Executive, or his/her designee.

### **1.7 Safety Committee Communication to Leadership**

It is crucial to the success of the AAATA SMS that a formalized process be in place to communicate recommendations to leadership from the Safety Committee. Upon discovery of a safety hazard/concern, the following procedures will apply:

1. When the concern is received, it will be logged by the Safety Office in the Safety Risk Register.
2. The Safety Office and the respective department in charge of the concern will conduct independent reviews and risk assessments of the safety concern using the processes outlined in our SMS.
3. The Safety Officer will provide these risk assessments to the Safety Committee to develop mitigations and recommended solutions to reduce or eliminate the risk. If there is a disagreement on the mitigation recommendations within the Safety Committee, we will use our existing dispute resolution process to manage the dispute.
4. The Safety Committee will provide the mitigation recommendations to the respective departmental managers for implementation. If the respective department is unable to implement the mitigations due to resource constraints, the Safety Committee will present this mitigation recommendation, in writing, to the Accountable Executive. The Accountable Executive will provide a written response to all formal Safety Committee recommendations within 30 days, detailing: a. Planned actions to address the

recommendation b. Timeline for implementation c. If the recommendation is not to be implemented, a detailed explanation of the decision shall be provided to the board and safety committee. (line-item "C" is not applicable to mitigations in the Safety Risk Reduction program as these require implementation as per part 673.

5. For urgent safety matters that require immediate attention from top leadership: a. The Safety Committee Chair will communicate directly with the Accountable Executive within 24 hours of the committee identifying the issue. b. The Accountable Executive will provide an initial response within 48 hours, outlining immediate actions to be taken.
6. The departmental manager will acknowledge receipt of these recommendations via email. Once reviewed, the departmental manager will follow up with the committee to either concur with the recommendations and proceed forward or to provide their own recommendations in which the Safety Committee will evaluate to ensure it mitigates the risk to an acceptable level.
7. The departmental manager will provide updates at a period of time as determined by the Safety Committee not to exceed 90 days until the mitigation is implemented.
8. The Safety Office and respective Department will continue to monitor the mitigations in place to assess the effectiveness at a period determined by the level of risk and in conversation with the Safety Committee.
9. All communications between the Safety Committee, Accountable Executive, and Board of Directors will be documented and maintained as part of the safety records.

## **SECTION 2 SAFETY RISK MANAGEMENT (SRM)**

### **2.1 Risk Management**

The Ann Arbor Area Transportation Authority understands that as a component of having a successful safety management system in place it must effectively identify, analyze, and address hazards faced by its operations. The AAATA clearly defines a hazard as being any real or potential situation that can cause injury, illness, or death; damage to or loss of facilities, equipment or infrastructure, damage to the environment; or a reduction of its ability to perform a prescribed agency function. An unacceptable hazard is a condition that may endanger human life, property, or result in system loss. This includes harm to passengers, employees, contractors, equipment, and to the public. These hazardous conditions must be mitigated or eliminated.

## 2.2 Hazard Management

The management of hazards applies to all employees and thereby obligates everyone to constantly observe hazards in their work areas and report them to their department supervisor and/or manager, or to the Safety Officer. The management of hazards employs system-wide processes that includes activities such as:

- Identification
- Investigation
- Evaluation and analysis
- Mitigate or elimination
- Tracking
- Reporting to regulatory agencies as required

AAATA department managers and supervisory staff play a key role in the hazard management process and ensure that the process has been fully integrated within their departments. Managers can also make sure the following elements of the hazard management process are present and operating within their departments:

- Ensure the employees are informed and can report hazardous conditions to management in person or by the "Employee Safety Reporting Program"
- Confirm that reported hazards that require immediate attention are addressed and reported as per the "Employee Safety Reporting Program"
- Confirm that reported hazardous conditions are documented and tracked as per procedure
- Provide departmental management representation to the safety committee as designed in the AAATA Safety Committee Guidelines
- Ensure each hazard has been assigned to a department contact person to assist with mitigation efforts
- Make certain that employees receive the appropriate level hazard management training.
- Ensure that any identified hazards and proposed mitigations are communicated to the Safety Committee for review and recommendations.

## 2.3 Hazard Identification

The establishment of efficient hazard identification programs are key to the SRM function of this ASP and will be fundamental to overall safety management. The hazard identification processes can be classified as being reactive or proactive in nature, but our focus will be on the resulting changes to whatever the stimulus is.

To be successful, hazard identification must take place within a non-punitive and just safety culture. The AAATA shall utilize an organized approach to identify potential hazards and weaknesses faced by its operations to enact measures that will result in improvements.

The AAATA hazard identification processes and activities will seek, and use feedback received from observations and the analysis of reported data from its operations. The processes, methods and activities may include:

- Safety Assessments: Internal
- Safety Assessments: External
- Trend monitoring
- Accident/Incident Reporting & Investigation
- On-the-Job Injury Reporting & Investigation
- Hazard reporting
- Near-Miss reporting
- Safety surveys
- Customer Reporting: Evaluating customer suggestions and complaints.
- Safety Committee reviews and recommendations

**Safety Assessments/Audits:** The AAATA has committed itself to regular internal and external safety auditing of its facilities and operations. Internal and External safety auditing will be conducted annually. As a function of SRM, the AAATA personnel will utilize the "Safety Assessment and System Review" and "Facility Safety and Security Assessment" for documentation of the internal auditing process.

The AAATA as part of efforts to identify and mitigate safety hazards within its workplace will utilize the external safety audits process. These audits shall be conducted by the local fire authority having jurisdiction and a safety consultant contracted by AAATA to provide unbiased observations and recommendations for corrective actions. It is felt that these objective observations by subject matter experts will continue to further the safety-related efforts of the agency. These reports will be reviewed by the Safety Committee. If action is warranted, based on these reports, the Safety Committee will develop initiatives geared at correcting any deficiencies.

The resulting information provided as part of the auditing process (internal and external) shall be reported by the Safety Officer to the HR Manager, SMS Executive, and affected department managers. All affected department managers shall work with the Safety Officer to develop mitigation plans to address all negative findings. These findings and the subsequent mitigation plans shall be tracked and documented through until completion; this information shall be reported to the SMS Executive by the Safety Officer.

**Trend Monitoring:** The monitoring and analysis of collected data often identifies trends, patterns or changes that may be related to behavior, or other operational factors. Example safety trend

data identified might be that of specific accidents and incident types related to identifiable time periods.

The AAATA as part of its efforts to effectively identify hazards that may affect its operations shall also monitor information obtained from industry associations, manufacturers, and other vendors, as well as oversight authorities, such as the National Transportation Safety Board and the Federal Motor Carrier Safety Administration along with other state and local transportation and safety agencies. The agency also monitors information generated by the FTA, including recommended practices, regulations (new or revised), safety directives, bulletins, alerts, and technical assistance, that applies to our operations.

**Accident/Incident Reporting & Investigation:** The reporting and subsequent required investigation of accidents and incidents (safety events) is a major function of the hazard identification and SRM process. The review and analysis of this information leads to the identification of hazardous conditions and practices as well as mitigation efforts that can impact the safe operations of AAATA.

**Hazard Reporting:** The importance of the accurate identification of hazards that may affect the safe operations of AAATA cannot be overlooked. The agency utilizes the Employee Safety Reporting Program as one source of collecting information on hazards that can negatively affect our operations. The success of this type of reporting system relies on the front-line employee, a very important source of information becoming the eyes of safety for AAATA. The agency through this program encourages employees who observe potentially negative safety concerns to make the proper notifications before a resulting safety event occurs.

**Near-Miss Reporting:** The number of near-miss incidents is normally significantly greater than the amount of actual accidents for similar types of events. A Near Miss is defined as an “unplanned event that did not result in injury, illness, or damage – but had the potential to do so. Only a fortunate break in the chain of events prevented an injury, fatality, or damage; in other words, a miss that was nonetheless very near”. The AAATA must encourage the practice of identifying and reporting these near-miss incidents but shall also endeavor to learn from them. These accident precursors are a valuable resource and will serve as a complement to other hazard identification practices actively used.

**Safety Surveys:** In an effort to further safety related collect information that will assist in the SRM process AAATA at times may utilize internal and or external surveys for this purpose. It is recognized that surveys provide a means to examine elements and or activities of our agency's operations.

Surveys can give insight into the perceptions and attitudes of staff members regarding how the agency is managing safety. The collection and analysis of potential strengths and weaknesses can support the overall safety assurance process. The information can permit the agency to improve upon its approach to safety by formulating proactive strategies to correct identified weaknesses.

Customer Reporting: The satisfaction and safety of the traveling public is the primary purpose of this agency and the foundation of all agency operations. The AAATA recognizes that the ability to hear from its customer base is essential to the measurement of its operations as well as both the SMS and this ASP. The agency has dedicated a specific office, personnel, and processes (Customers Relations Management (CRM) software for this purpose.

The current established process is such that several different avenues of data collection are utilized to communicate with customers who wish to provide:

- Comments,
- Complaints,
- Suggestions,
- Compliments,
- Questions and other

The information received is documented and passed along to the affected department for further investigation and mitigation along with the Customer Service office. Safety staff members are contacted if the information received is a direct safety-related issue, for the appropriate form of processing.

## **2.4 Risk Assessment**

As part of the SRM component of this ASP the AAATA has established an analysis process to assess the safety risks associated with identified safety hazards faced by its operations. This "Hazard-Risk Analysis" process will require that identified hazards are assessed to determine their probable effects upon the organization.

Once hazards have been identified, the AAATA will conduct a review to determine their potential consequences. The review process will include consideration of the following:

- the likelihood of occurrence,
- the severity of the consequences
- frequency of past occurrences
- and the level of exposure to the hazard

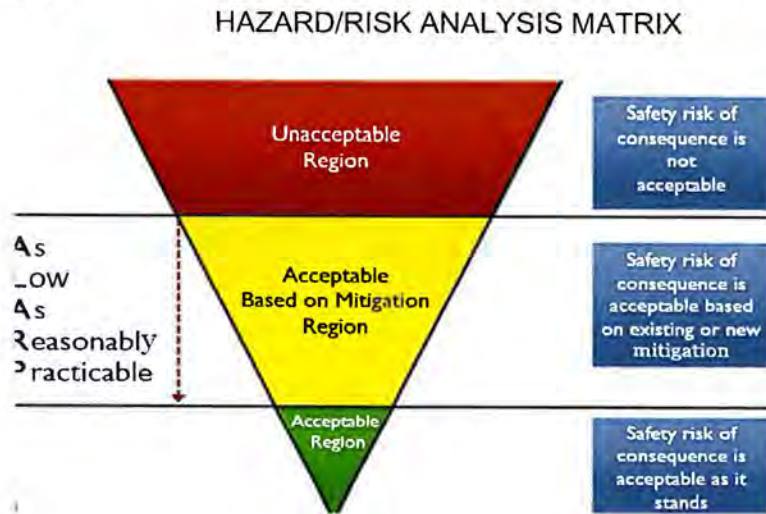
AAATA will utilize experienced personnel within the affected department, working with the safety officer to assess the identified risks subjectively by using the "Hazard/Risk Assessment Matrix" and the "Hazard-Risk Analysis Form" guidance. Results of the risk assessment process will help determine whether the risk is being appropriately managed or controlled. If the risks are acceptable, the hazard will simply need monitoring. If the risks are unacceptable, steps will be taken by AAATA to lower the risk to an acceptable or tolerable level, or to remove or avoid the hazard.

The Safety Committee plays a crucial role in the risk assessment process. The committee reviews the results of risk assessments, particularly for high and serious risk hazards, and provides recommendations for mitigation strategies. The committee's diverse perspectives ensure a comprehensive evaluation of safety risks.

**2.4.1 Safety Hazard/Risk Tolerance**

The agency shall utilize this diagram and thought process as it evaluates the risks associated with each identified hazard. This assessment shall help form the determination of mitigation strategies that may or may not be implemented. The diagram breaks down the risks into three general categories.

- Acceptable
- Acceptable with Mitigation
- Unacceptable



**2.4.2 Safety Hazard/Risk Likelihood**

The likelihood of an event or a specific hazard occurring may be defined as how often that event or hazard can credibly be expected to happen. The hazard likelihood can also be described further as the number of potential occurrences based upon a unit of time, miles, trips/runs or passengers carried. An analysis of the agency's operating experiences can serve as a method for the determination of a specific hazard's likelihood.

Safety Hazard Risk Likelihood Table

LIKELIHOOD LEVELS		
Description	Meaning	Value

	Continuously experienced. Depending on the nature of the hazard, the potential consequence can be expected to occur more than once per month.	A
Probable	Will occur frequently. Depending on the nature of the hazard, the potential consequence may be experienced less than once per month but more than once per year.	B
Occasional	Will occur several times. Depending on the nature of the hazard, the potential consequence may be experienced less than once per year but more than once per decade.	C
Remote	Unlikely, but can reasonably be expected to occur. Depending on the nature of the hazard, the potential consequence may be experienced less than once per decade but more than once in the life of the system	D
Improbable	Unlikely to occur but possible. Depending on the nature of the hazard, the potential consequence likely will not be experienced in the life of the system but is possible	E

### 2.4.3 Safety Hazard/Risk Severity

Hazard severity is a subjective determination of the worst case that could be anticipated to result from human error, design inadequacies, component failure or malfunction. The categories of hazards are as follows:

- Catastrophic - Operating conditions are such that human error, design deficiencies, element, subsystem or component failure or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation
- Critical - operating conditions are such that human error, subsystem or component failure or procedural deficiencies may cause severe injury, severe occupational illness or major system damage and require immediate corrective action.
- Marginal - Operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem, or component failures can be counteracted or controlled.
- Negligible - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies will result in less than minor injury, occupational illness, or system damage.

The categorization of hazards is consistent with risk-based criteria for severity; it reflects the principle that not all hazards pose an equal amount of risk to personal safety.

Safety Hazard/Risk Severity Table

SEVERITY CATEGORIES		
Severity	Meaning	Value
Catastrophic	Could result in one or more of the following: multiple deaths, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding \$10M.	1
Critical	Could result in one or more of the following: death, permanent partial disability, injuries or occupational illness that may result in hospitalization, reversible significant impact to equipment, facilities, environment or monetary loss equal to or exceeding \$1M but less than \$10M.	2
Marginal	Could result in one or more of the following: Minor injury or occupational illness resulting in one or more lost workday(s) or job transfer/restrictions, injury resulting in ambulance transport, reversible moderate environmental impact, or impact to equipment or facilities, or monetary loss equal to or exceeding \$100K but less than \$1M.	3
Negligible	Could result in one or more of the following: Minor injury or occupational illness not resulting in a lost workday, no job transfer/restrictions, injury not resulting in ambulance transport, minimal environmental impact, or monetary loss less than \$100K.	4

**2.4.4 Safety Hazard/Risk Ratings**

The Ann Arbor Area Transportation Authority has determined that it will assess a level of risk for each identified hazard/risk to determine the type of action(s) that shall be taken to mitigate or document the specific hazard/risk. The resulting information from the assessment process shall be provided to the affected department managers and other decision makers as needed. The intent is to understand the amount of risk involved in accepting the hazard in relation to the costs associated with reducing it to an acceptable level. The Hazard/Risk Analysis Matrix includes information that can be used as part of the overall analysis process. The information is broken down into categories such as the "Safety Hazard/Risk Index" that play key roles in the analysis process that will not only lead to a determination of the hazard but also assist with the mitigation actions if necessary.

Hazard/Risk Assessment Matrix

HAZARD/RISK ASSESSMENT MATRIX	
LIKELIHOOD	SEVERITY

	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	HIGH	HIGH	HIGH	SERIOUS
Probable (B)	HIGH	HIGH	SERIOUS	MEDIUM
Occasional (C)	HIGH	SERIOUS	MEDIUM	LOW
Remote (D)	MEDIUM	MEDIUM	LOW	LOW
Improbable (E)	LOW	LOW	LOW	LOW

#### Safety Hazard/Risk Resolution Requirements

HAZARD/ RISK RESOLUTION REQUIREMENTS			
High	Unacceptable	Correction Required	1A;1B;1C;2A;2B;3A
Serious	Undesirable	Correction may be required, dept. manager decision	2C;3B; 4A
Medium	Acceptable with Review	With review and documented approval by dept. manager	1D;2D;3C;4B
Low	Acceptable	Without review or approval	1E;2E;3D;3E;4C;4D;4E
Eliminated	Acceptable	No Action Required	

#### Safety Hazard/ Risk Index

RISK LEVEL	CRITERIA
HIGH	Unacceptable – Action Required: Safety risk must be mitigated or eliminated.

SERIOUS	Undesirable- Action Required, Management Decision with review and approval by SMS Executive
MEDIUM	Undesirable – Management Decision:  Dept. Management must decide whether to accept safety risk with monitoring or require additional action, with documentation
LOW	Acceptable without review:  Safety risk is acceptable pending management review & approval.
ELIMINATED	Acceptable with investigation and documentation that the hazard/risk is no longer present.

- HIGH risk hazards that receive an unacceptable initial hazard analysis receive immediate attention/control. A high hazard rating requires corrective action. Hazards that receive a high hazard rating will be addressed appropriately in a timely manner.
- SERIOUS hazards are undesirable and require corrective action and decisions by management. Hazards that receive a serious hazard rating will remain on the hazard logs no more than 90 days without an approved corrective action plan.
- MEDIUM hazards are undesirable but may be acceptable with review and approval by management. These hazards/risks if accepted may also require monitoring or additional action with documentation.
  - Events from a medium hazard are less likely to occur and are less severe in nature.
- LOW risk hazards do not require review and are acceptable.
- ELIMINATED hazard is no longer present.

## 2.5 Mitigation

The transit environment is ever changing and presents some hazards, which are impossible to eliminate and others, which are highly impractical to eliminate. Hazard resolution can be described as the analysis and subsequent mitigation actions taken to reduce the hazard and the associated risk to the lowest level practical. Resolution is not equal to hazard elimination. Reduction of risk to the lowest practical level can be accomplished in a variety of ways including engineering factors, administrative controls, training, and others.

The hazard/risk analysis process utilized by AAATA may indicate that certain identified hazards have an acceptable level of risk, while others require mitigation to reduce their risks to an acceptable level. The AAATA will prioritize identified safety risks using tools such as a "Hazard/Risk Assessment Log" as a means of managing the associated risks.

The level of risk assigned to a hazard can be lowered by reducing the severity/impact of the potential consequences, by reducing the likelihood/frequency of occurrence and/or by reducing the exposure to that risk.

In line with the overall intent of this ASP and the SMS, the AAATA will take but not be limited to the following safety actions to mitigate all identified risks affecting the transit operations. These actions can be classified into three general categories, including:

- Physical Protections:
  - These include the use and implementation of objects and technologies that are engineered to discourage, or warn against, or prevent inappropriate action or mitigate the consequences of events (e.g. traffic control devices, fences, safety restraining systems, transit controls/signals, transit monitoring systems, etc.)
- Administrative Protections:
  - These include the establishment of procedures and work practices aimed at diminishing the likelihood of an accident/incident (e.g. safety regulations, standard operating procedures, job safety analysis, personnel proficiency, supervision inspection, training, etc.)
- Behavioral Protections:
  - These shall include behavioral interventions through education and public awareness campaigns aimed at reducing risky and reckless behavior of motorists, passengers and pedestrians, factors outside the control of the agency.

The safety risk mitigation process requires the agency to not only identify, assess, and mitigate risks, it also requires the review of new and existing mitigation efforts. The agency shall require the affected department manager or designee who approved of the mitigation plans to monitor its operations to identify the effectiveness of the mitigations. The Safety Committee shall be included on all mitigation assessments.

The Safety Committee is responsible for identifying and recommending safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through the agency's safety risk assessment. This includes mitigations related to vehicular and pedestrian safety events involving transit vehicles and assaults on transit workers. The committee also identifies any mitigations that may be ineffective, inappropriate, or not implemented as intended.

A key component of the monitoring process is that it must determine if the mitigations are ineffective, inappropriate or were not implemented as intended. Findings from this process shall be reported to the Safety Officer to be included in the "Hazard Risk Mitigation Log" and may trigger re-submittal to the SRM process. Information related to the effectiveness of mitigation efforts by the agency shall be reported to the SMS Executive to be communicated to the Accountable Executive.

### **2.5.1 Contracted Services – SRM Responsibilities**

The AAATA shall require that all contractors providing transit services for AAATA, have or establish a formal safety risk management program. The SRM program managed by the contracted service provider shall comply with the tenets of the FTA requirements for SMS and SRM as well as the expectations of this ASP.

The SMS Executive shall designate the Manager of Mobility Services or other member of staff to monitor the safety programs and activities of the transit contractors for compliance with all facets of this ASP and FTA SMS requirements. This shall include receiving regular reports of safety activities, safety events and the review of the SRM policies and processes of the contracted agency. To ensure success, the Safety Officer and the appointed member of staff shall work with the contracted agencies to ensure that they are well informed of these requirements and expectations.

The contractor's SRM program shall identify hazards, their consequences and the mitigation efforts taken and their monitoring.

This shall include::

- Accident/Incident Reporting
- Hazard Identification
- Hazard/Risk Assessments
- Hazard/Risk Mitigation Process
- Employee Safety Training
- Established applicable safety programs
- Tracking of NTD reportable information
- Other

### **2.6 Documentation - SRM**

The SRM component of the ASP and SMS involves key processes that are essential to the success of safety management by AAATA. The identification, assessment, prioritization, and mitigation of identified hazards/risks facing the agency are individual measures that when managed properly will lead to an effective level of safety management.

The organization will make use of the "Hazard/Risk Assessment Log" to document and track its efforts and results that are related to SRM. This process and this log establish a level of priority for each identified hazard/risk and shall serve as a guide to the agency in terms of how it will proceed.

Additionally, the AAATA will also implement the use of the "Hazard/Risk Mitigation Log" to monitor and document its activities that are put into action to tackle the identified hazards. This document shall be updated as is necessary to ensure continual progress towards the reduction of the hazards/risks. This will assist in tracking the process for further monitoring and evaluation (safety assurance) of the effectiveness of mitigation efforts taken by the agency. The management of these two logs shall be the responsibility of the safety officer who will utilize this

information to provide the SMS Executive with updates on the performance and use of the SRM process.

The Safety Committee will review the Hazard/Risk Assessment Log and Hazard/Risk Mitigation Log on a regular basis to ensure the effectiveness of the SRM process and to make recommendations for improvements.

## SECTION 3 SAFETY ASSURANCE

The agency's SRM process calls for the identification and analysis of hazards faced by its operations. These identified hazards shall be assessed as a priority based upon the level of risk that is assigned to each, with the mitigation plans establishing the goals and objectives to be achieved. After these goals and objectives have been determined safety assurance is the next phase in the SRM process.

Safety assurance is a continuous process of the SMS that is constantly interacting with the SRM function by providing essential data and information necessary to monitor progress. To be effective, safety assurance requires that a clear understanding be established as to how safety performance will be evaluated. The AAATA will determine what metrics will be used to assess system safety and determine if the safety management system is working properly and serve as an indicator of our safety efforts. The successful management of safety will mean that these metrics, goals, and objectives will be used for ongoing performance monitoring and improvement.

### 3.1 Safety Assurance Key Terms

The establishment of agency safety goals and objectives is a key part of strategic planning and formulation of safety policy for AAATA. To create a successful safety performance measurement system, these safety goals must first be clearly defined, understood, and communicated. Below please find key terms directly related to SMS, this ASP and the safety assurance process:

- Safety Assurance: The process within the SMS that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that safety objectives are met or exceeded.
- Safety Performance Indicator (Metrics): Means data-driven, quantifiable parameter or measure that is used for monitoring and assessing safety performance
- Safety Performance: The safety effectiveness and efficiency of the organization as defined by its safety performance indicators and targets, when measured against its safety goals.
- Safety Performance Monitoring (SPM): Agency activities aimed at measuring the safety effectiveness and efficiency during service delivery operations, using safety performance indicators, targets, and objectives
- Safety Performance Target (SPT): A specific level of performance for a given performance measure over a specified timeframe related to safety management activities.
- Safety goals are general descriptions of desirable long-term impacts.
- Safety objectives are more specific statements that define measurable results.

### 3.2 Safety Performance Measures

Performance measurement is the systematic collection, analysis and reporting of data that tracks resources used, work produced and whether specific outcomes were achieved. It is a tool to measure and improve upon operational performance, to identify and correct behavioral performances as necessary to reduce accidents and incidents. The essential functions of performance measurement include the monitoring and evaluation of progress achieved.

For the purposes of SMS and this ASP, the identified safety goals and objectives will be measured by defining a specific level of safety performance. This shall include the establishment of both baseline and achievable/reasonable targets, for the operations of AAATA.

AAATA understands that it must not only identify but also define its safety performance measures using related safety metrics. The safety metrics used to measure performance may be both general in nature and specific to the organization, while being applicable to actual operations. The AAATA looks to identify standards of measurement that will allow for performance and progress towards the selected goals to be assessed.

### 3.3 Safety Performance Targets and Risk Reduction Program

The AAATA's Safety Performance Targets and Risk Reduction Program are closely interlinked components of our safety management system. Our performance targets set measurable goals for safety improvement, while the risk reduction program outlines specific strategies and actions to achieve these targets. Together, they form a comprehensive approach to enhancing safety across our transit operations.

#### 3.3.1 General Safety Performance Targets

AAATA sets its safety performance targets using a data-driven approach. We analyze our performance data as reported to the National Transit Database for the previous three years, establishing a rolling average as our baseline. We then set targets that aim for continuous improvement while remaining realistic and achievable. The absolute goal of zero incidents is always our ultimate aspiration, informing our target-setting process even as we work towards incremental improvements.

The Ann Arbor Area Transportation Authority has specified its SPTs based upon the safety performance measures established under the National Public Transportation Safety Plan. Performance targets are set by the Safety Officer and SMS Executive with the approval of the Chief Executive Officer.

AAATA General Safety Performance Targets								
Mode of Transit Service	Year	Fatalities (Total)	Fatalities (Per 100k VRM)	Injuries (Total)	Injuries(Per 100K VRM)	Safety Events (Total)	Safety Events (Per 100K VRM)	System Reliability (VRM/Failures)
Fixed Route Bus	2021	0	0	12	.36	124	3.73	40,526
Fixed Route Bus	2022	0	0	11	.31	237	6.73	26,266
Fixed Route Bus	2023	0	0	9	.26	95	2.70	51,009
Fixed Route Bus	2024	0	0	8	.22	86	2.43	55,000

AAATA General Safety Performance Targets (New Additions)								
Mode of Transit Service	Year	Transit Worker Fatality Rate	Collision Rate	Pedestrian Collision Rate	Vehicular Collision Rate	Transit Worker Injury Rate	Assaults on Transit Workers	Rate of Assaults on Transit Workers
Fixed Route Bus	2025	March 2025	March 2025	March 2025	March 2025	March 2025	March 2025	March 2025

### 3.3.2 Risk Reduction Program Targets

In accordance with FTA requirements, the AAATA Safety Committee is responsible for setting annual safety performance targets for the risk reduction program. These targets are based on a three-year rolling average of data submitted to the National Transit Database and cover all modes of public transportation operated by AAATA.

AAATA Risk Reduction Program Targets					
Safety Performance Measure	3-Year Average (2022-2024)	2025 Target	2026 Target	2027 Target	
Major Events	March 2025				
Major Event Rate	March 2025				
Collisions	March 2025				
Collision Rate	March 2025				
Injuries	March 2025				
Injury Rate	March 2025				
Assaults on Transit Workers	March 2025				
Rate of Assault on Transit Workers	March 2025				

### 3.4 Purpose

The purpose of the Risk Reduction Program is to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers, based on data submitted to the National Transit Database. This program addresses specific areas of concern as identified in the Bipartisan Infrastructure Law and FTA regulations, including vehicular and pedestrian accidents (with special attention to pedestrian knockdowns) and assaults on transit workers.

### 3.5 Process

The risk reduction program includes the following key components:

1. Reduction of vehicular and pedestrian accidents involving buses:
  - a. The Safety Committee will conduct regular risk analyses to identify factors contributing to these accidents, with particular focus on pedestrian knockdowns.
  - b. Special attention will be given to measures that reduce visibility impairments for bus operators, including:
    - o Retrofits to existing buses

- o Specifications for future procurements that reduce visibility impairments c. The committee will develop strategies to reduce pedestrian knockdowns, such as enhanced pedestrian detection systems and public awareness campaigns.
- 2. Mitigation of assaults on transit workers: a. The Safety Committee will perform risk analyses to identify factors contributing to assaults on transit workers. b. Based on these analyses, the committee will recommend deployment of assault mitigation infrastructure and technology on buses and in transit facilities.
- 3. Performance monitoring: a. The Safety Committee will set annual safety performance targets for the risk reduction program based on a three-year rolling average of data submitted to the National Transit Database. b. Progress towards these targets will be monitored quarterly.
- 4. Continuous improvement: a. The Safety Committee will review the effectiveness of implemented mitigations at least semi-annually. b. Based on this review, the committee will recommend adjustments to existing mitigations or new mitigations as needed.
- 5. Resource allocation: a. If AAATA fails to meet a safety performance target set by the Safety Committee, 0.75% of our section 5307 funds will be allocated in the following fiscal year to projects reasonably likely to meet the safety performance target.

Each component of our risk reduction program is designed to address specific safety performance targets. By focusing on reducing vehicular and pedestrian accidents and mitigating assaults on transit workers, we aim to directly impact our targets for injuries, fatalities, and safety events.

### **3.6 Mitigations and Strategies**

As these mitigations and strategies are implemented and developed, they will be added to the ASP as addendums. To date, the committee has implemented the following mitigations:

1. Enhanced de-escalation training has been delivered to all Motor Coach Operators and Fleet Maintenance Technicians. It will be provided to all new Motor Coach Operators, Fleet Maintenance Personnel and Call Takers as part of on-boarding training and delivered as an annual refresher training.
2. Signs have been placed on all buses to discourage the public from assaulting drivers, encouraging kindness and warning of penalties for operator assaults.
3. Fire extinguishers have been relocated behind the driver's seat to prevent their use as weapons by passengers.
4. Driver barriers have been installed on all buses and will be included in all future bus procurements. The Safety Committee will conduct a hazard risk assessment prior to procuring any buses without a Driver Barrier or selecting a new Driver Barrier system.
5. An assault response SOP for supervisors and Motor Coach Operators and a reporting form specific to assaults is being finalized.
6. The Safety Committee will conduct a quarterly review of all driver assault incidents and pedestrian knockdowns to identify trends and develop new mitigation strategies.
7. Public information initiatives have been implemented to inform passengers and deter acts of violence, including clear commitments to assist law enforcement with prosecution of offenders.
8. Enhanced pedestrian detection systems are being evaluated for implementation on buses to reduce the risk of pedestrian knockdowns.

### **3.7 Agency Actions**

The Agency is committed to the following:

1. Operations Departmental Leadership will ensure all dispatchers and other headquarters staff are trained in the proper response to reports of assaults and pedestrian knockdowns across the transit system.
2. The agency will provide law enforcement with data and materials necessary to pursue assailants, including video surveillance.
3. Providing assault victims with resources necessary to fully recover and return to work, including Workers Compensation Program and Employee Assistance Program resources.
4. Continually assessing the effectiveness of implemented strategies, incorporating best practices from government regulators, other transit systems, and law enforcement authorities.
5. Developing and implementing new strategies to reduce assaults on transit workers and pedestrian knockdowns.

### **3.8 Implementation and Monitoring**

1. The Accountable Executive is responsible for ensuring the implementation of safety risk mitigations recommended by the Safety Committee as part of this program.
2. The Safety Officer will track the implementation of all approved mitigations and report progress to the Safety Committee quarterly.
3. The Safety Committee will monitor the effectiveness of implemented mitigations through regular review of safety performance data and employee safety reports.
4. If a mitigation is found to be ineffective, the Safety Committee will reassess the risk and recommend alternative mitigations.

The Safety Committee will document all risk analyses, recommended mitigations, and reviews of mitigation effectiveness. This documentation will be referenced in the Agency Safety Plan.

The Safety Officer will track progress against both our general safety performance targets and our risk reduction program targets on a monthly basis. This data will be compiled into quarterly reports for the Safety Committee's review, allowing for timely adjustments to our strategies if targets are not being met.

### **3.9 Performance Monitoring and Evaluation**

The SRM process and its safety assurance component call for AAATA to monitor its safety performance and the effectiveness of the implemented mitigation efforts.

The agency will utilize its "Safety Performance Outline" that summarizes its desired safety goals and objectives. The AAATA will reference its "Safety Performance Matrix" to monitor the measures established to reach the identified goals and objectives. These tools and the information collected will provide the agency with the means to monitor and evaluate its own safety performance, and the results, which are a direct reflection on the established agency safety goals, objectives, and measures.

The Safety Committee will review safety performance data quarterly. This review will include an assessment of progress towards safety performance targets and the effectiveness of implemented safety risk mitigations. If performance is not meeting targets, the committee will recommend additional mitigations or changes to existing strategies. Bus Operations and Fleet Leadership will be responsible for submitting this data on a quarterly basis to the Safety Officer who will compile the data and present it to the Safety Committee.

The Safety Committee shall meet annually to review collected data that coincides with the identified safety goals and objectives of the agency. This group is tasked with the review and analysis of identified safety assurance activities, determining the responsibilities and specific timelines to ensure continuous monitoring, evaluation and updating of safety performance documentation.

The monitoring of safety risk mitigations taken by the agency is a key factor in the SRM process. It is imperative to the success of the SRM process that continuous monitoring of safety risk mitigations is conducted to identify those that are incomplete, ineffective, or not yet implemented as intended. Such items shall be subject to further review and assessment, until such time that the identified hazard has been addressed to an acceptable level. The "Hazard/Risk Mitigation Log" shall be used to track the assignment of responsibilities and timelines, also to implement new mitigations and eliminate mitigations that are no longer required or effective.

The safety performance monitoring and measurement activities, such as Accident/Incident Investigations and the resulting information related to all safety events will help identify causal factors. It is these causal factors that result in safety failures, defects and conditions that can negatively impact the fleet and operations safety.

The AAATA will utilize safety performance monitoring activities that may include internal functions such as those listed below to measure the effectiveness of existing mitigations.

- Service delivery monitoring
- Review of operational and maintenance functions and data monitoring
- Accident/Incident Report tracking and monitoring
- Monitoring the "Employee Safety Reporting Program"
- Assessment of available and applicable external safety information
- Review and evaluation of the SMS
- Regular review of Fleet Service functions for compliance with established procedures
- Review of Hazard/Risk Mitigation Plans and Results
- Review of internal and external safety audits, and inspections
- Safety Investigations
- Other

The agency shall review, investigate, and monitor safety information and actions taken resulting from internal activities, to determine that the actions taken address and reduce the risk factor to an acceptable level. If the actions taken are not considered effective, then the matter shall be subject to the SRM process for further review and analysis.

The requirement to establish and meet the Safety Assurances element and activities of SMS are extended to the contracted agencies of AAATA. As stated previously the AAATA Safety Officer and the appointed staff member shall work to provide the contracted agencies with the

necessary information to allow for success and compliance with all ASP and FTA requirements. The contracted agencies shall be able to show and document compliance with this section as with all SMS elements. This information shall be maintained on file by the Safety Officer and used to update the SMS Executive.

### **3.10 Performance Results and Agency Decision-Making**

The Ann Arbor Area Transportation Authority with the development of this ASP and the SMS is dedicated to the effective management of safety through performance-based results. It is critical to this process that performance information obtained or generated is shared with the SMS Executive to be passed along to the Accountable Executive and others as is necessary.

The agency is committed to using the data collected and information learned, to provide for informed decision making and instill positive change for its operations. The main objective of these processes is the continuous improvement of overall system safety and its effects on the traveling public and our employees.

When established performance goals are not met, AAATA will work to identify why such goals were not met and what actions are necessary to be taken to minimize the gap in achieving the defined goals. Also, when goals are easily achieved, actions will be taken to exceed expectations and re-establish a reasonable performance baseline.

The Safety Committee plays a crucial role in interpreting performance results and recommending actions. When established performance goals are not met, the committee will work with relevant departments to identify root causes and recommend corrective actions. These recommendations will be presented to the Accountable Executive for implementation.

Uses of Performance Results may include some of the following examples:

- Focus attention on performance gaps and trigger in-depth investigations of what performance problems exist
- Help make informed resource allocation decisions
- Identify needs for staff training or technical assistance
- Help motivate employees to continue making program improvements
- Support strategic planning efforts by providing baseline information for tracking progress
- Identify best practices
- Establish a standard for accountability

### **3.11 Safety Performance Target Coordination**

The Accountable Executive for AAATA has given his/her authorization for this ASP, including the identified safety performance targets to be shared with the local Metropolitan Planning Organization (MPO) in our service area, Southeast Michigan Council of Governments (SEMCOG), as well as the local Transportation Study, Washtenaw Area Transportation Study (WATS), each year after its certification. The AAATA Accountable Executive also ensures that a copy of this certified plan will be provided to the Michigan Department of Transportation (MDOT) as required.

It is the understanding of this agency that the Washtenaw Area Transportation Study (WATS) is responsible for sharing the safety performance information with the regional Southeast Michigan Council of Governments (SEMCOG) and state agencies. Agency personnel are available and shall work with both MDOT and WATS in the selection and coordination of safety performance targets upon request.

Safety Performance Targets Transmitted To:

- State Agency: Michigan Department of Transportation
- Transportation Study: Washtenaw Area Transportation Study
- Metropolitan Planning Organization: Southeast Michigan Council of Governments

### **3.12 Management of Change**

Significant changes that may impact on safety performance will be reviewed by the Safety Committee. The committee will assess the potential safety impacts of the change and recommend any necessary additional safety risk mitigations.

The agency shall utilize existing procedures and protocols to identify and assess how the changes will affect operations, and the level of risk associated with the change. It is the overall impact upon AAATA's ability to manage its safety performance that must always be kept in mind when addressing changes such as:

- Long term or permanent service changes
- Major procurements
- New or moved infrastructure
- New or moved amenities
- Major Organizational Changes
- Changes to applicable regulations, laws, policies, and directives

As part of the management of changes such as those listed above and others the Project Manager will be required to complete a Hazard Risk Analysis. It is this assessment that will identify that the change will meet with the agency's desires to keep identified hazards to the lowest acceptable level.

The Hazard Risk Analysis identifies and documents all hazards associated to the desired change such as,

- the severity of the potential hazard,
- the likelihood of the hazard,
- measures necessary to mitigate the risk.

The Project Managers are required to complete the Hazard/Risk Analysis and mitigation plan and submit it to the Safety Officer for review and approval prior to implementation. The Safety Officer shall include/inform the SMS Executive of the intended mitigation plan prior to approval. The Safety Officer shall also document and track the mitigation plan and monitor for any compliance, training, and/or next steps that need completed prior to and throughout the implementation of the change.

The requirement to establish and have in place a process to manage change is an important part of this ASP and thereby is extended to the contracted agencies of AAATA. These agencies shall report to AAATA that they have an established process to identify and assess all organizational changes that may introduce new hazards or impact transit safety performance. It shall be understood that the requirement for these changes to be evaluated as part of the SRM process, is the same as it is for the AAATA.

As stated previously the AAATA Safety Officer and the appointed staff member shall work to provide the contracted agencies with the necessary information to allow for success and compliance with this ASP and FTA requirements. These agencies shall be able to show and document compliance with this section as with all SMS elements.

Any proposed changes that may impact the transit agency's safety performance must be evaluated through AAATA's Safety Risk Management process. This includes using the established hazard identification, risk assessment, and mitigation development procedures to ensure that any new risks introduced by the change are properly managed. The Safety Committee will review the results of this evaluation and make recommendations to the Accountable Executive regarding the implementation of the proposed change.

### **3.13 Continuous Improvement**

Continuous improvement of all things safety related is not only a desire of the Ann Arbor Area Transportation Authority it is a SMS function that calls for the agency to audit its operations to allow AAATA to:

- Assess the effectiveness of the existing SMS to determine if it is performing as intended
- Assess adherence to the written and intended SMS policy, procedures, and processes for effectiveness
- Identify the causes of ineffective areas of performance
- Develop corrective action plans to address the sub-standard performance

Successful implementation of the SMS will require a measured approach by the agency. During the first three years of SMS implementation the focus will be on the measures necessary to get the SMS completely installed and functioning within the organization.

The Safety Committee plays a key role in the continuous improvement process. The committee will regularly review safety performance data, audit results, and employee safety reports to identify areas for improvement. The committee will make recommendations for safety improvements, which will be documented and tracked to ensure implementation and effectiveness.

The Safety Committee shall audit the sections of the ASP at a designated interval (semiannually or annually) to monitor plan progress, timeliness, documentation and other of efforts related to the success of the plan. Areas of the ASP that shall be reviewed may include the following subjects:

- SRM
- Operations and Maintenance procedure monitoring activities
- Safety Risk Mitigation Activities
- Employee Safety Reporting Program

- Safety Communication Activities
- Safety Training

Should the audits identify the need for corrective actions that require a change to the ASP, they shall be added as an addendum to reflect the revision and documented accordingly for review the following year. These identified deficiencies and the necessary corrective actions shall be communicated by the SMS EXECUTIVE and carried out via the direction of the Accountable Executive. Implementation shall be the responsibility of the affected department manager(s), or other as directed by the SMS EXECUTIVE or his/her designee.

## **SECTION 4      CONTAGIOUS VIRUS RESPONSE PLAN**

### **4.1 Purpose**

The purpose of the Contagious Virus Response Plan (CVRP) is to provide the leadership, staff, and safety committee of Ann Arbor Area Transportation Authority (AAATA) with guidance that will be both necessary and critical to contain and minimize the organizational impact of an outbreak of disease. Contagious virus or infectious disease emergencies can range from the naturally occurring illnesses to emerging infectious diseases (e.g., SARS, avian influenza) or intentional acts of bioterrorism (e.g., anthrax). The circumstances of these emergencies vary by type, magnitude of exposure, and means of transmission. Planning and preparing in advance are essential activities to deliver an effective response to this type of emergency.

### **4.2 Scope**

This plan and its resulting actions are intended to align with guidelines put forth by the Centers for Disease Control and Prevention (CDC) and the State of Michigan to minimize exposure to infectious diseases. The goal of this plan is to ensure that there is an understanding of the contagious virus and then to curtail the negative effects upon the organization, and the health of its personnel and customers.

### **4.3 Mitigations and Strategies**

In the event of an outbreak of disease, AAATA will follow the guidelines put forth by the State of Michigan and Washtenaw County. We will also utilize the strategies and mitigations outlined in the AAATA Contagious Virus Response Plan. This plan is updated annually. AAATA is committed to the health and safety of our employees and passengers. To ensure we meet these efforts, the agency shall adhere to the following actions:

- Supply employees with necessary PPE like masks and gloves at all AAATA facilities, and actively encourage their use during working hours.
- Immediately convene the Safety Committee in the event of a pandemic or global health emergency as defined by the CDC or State Health Authorities to discuss mitigation recommendations based on the threat of the contagious virus.
- Continue, indefinitely, enhanced housekeeping practices. This includes elevating the frequency and rigor of cleaning and disinfection activities, targeting high-touch surface areas like handrails, ticket machines, and other communal equipment.

- The Safety Committee will regularly review and update the CVRP to ensure it aligns with current public health guidelines and best practices in transit operations during health emergencies.
- Implement flexible work arrangements, such as remote work or staggered shifts, when necessary to reduce the risk of virus transmission among employees.
- Establish clear communication protocols to keep employees and passengers informed about current health risks, preventive measures, and any changes to transit operations due to health emergencies.
- Conduct regular training sessions for employees on proper hygiene practices, use of PPE, and procedures for handling potential exposure situations.
- Coordinate with local public health authorities to stay informed about local disease transmission rates and adjust operations as necessary.
- The Safety Committee will monitor the effectiveness of implemented mitigations and recommend adjustments as needed based on evolving public health guidance and operational experiences.
- Develop and maintain plans for service continuity in the event of reduced staffing due to illness, ensuring essential transit services can be maintained safely.

These mitigations and strategies will be reviewed and updated by the Safety Committee at least annually or more frequently as needed in response to specific health emergencies. Any updates to the CVRP will be communicated to all employees and integrated into relevant training programs.

## SECTION 5 APPENDICES

### 5.1 KEY TERMS

The Ann Arbor Area Transportation Authority supports and incorporates the following FTA Public Transportation and Safety Management System key terms and their definitions.

- Accident means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
- Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan and the agency's Transit Asset Management Plan.
- SMS Executive means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A SMS Executive may not serve in other operational or maintenance capacities, unless the SMS Executive is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.
- Consequence means the potential outcome(s) of a hazard.
- Equivalent Authority means an entity that carries out duties similar to that of a Board of Directors for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.
- Event means any Accident, Incident, or Occurrence.
- Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
- Hazard Analysis means the formal activities to analyze potential consequences of hazards during operations related to provision of services
- Incident means an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

- Investigation means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.
- Lagging Indicators provide evidence, through monitoring, which intended safety management outcomes have failed or have not been achieved.
- Leading Indicators provide evidence, through monitoring, that key safety management actions are undertaken as planned.
- National Public Transportation Safety Plan means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
- Near miss means a safety event where conditions with potential to generate an accident, incident, or occurrence existed, but where an accident, incident, or occurrence did not occur because the conditions were contained by chance or by existing safety risk mitigations
- Occurrence means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
- Operator of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302.
- Passenger means a person other than an operator who is on board, boarding, or alighting from a vehicle on a public transportation system for the purpose of travel.
- Performance measure means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.
- Performance target means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time required by the FTA.
- Public Transportation Agency Safety Plan (or Agency Safety Plan) means the documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673.
- Risk means the composite of predicted severity and likelihood of the potential effect of a hazard.
- Risk mitigation means a method or methods to eliminate or reduce the effects of hazards.
- Safety means the state in which the potential of harm to persons or property damage during operations related to provision of services is reduced to and maintained at an acceptable level through continuous hazard identification and SRM activities.
- Safety Assurance means processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

- Safety Committee means A committee established with equal representation from frontline workers and management, responsible for reviewing and approving the ASP, setting safety performance targets, and recommending safety risk mitigations.
- Safety Deficiency means a condition that is a source of hazards and/or allows the perpetuation of hazards in time.
- Safety Management Policy means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees regarding safety.
- Safety Management System means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
- Safety Objective means a high-level, global, generic, and non-quantifiable statement regarding conceptual safety achievements to be accomplished by an organization regarding its safety performance.
- Safety Performance Indicator means a data-driven, quantifiable parameter used for monitoring and assessing safety performance.
- Safety Performance Measurement means the assessment of non-consequential safety-related events and activities that provide ongoing assurance that safety risk mitigations work as intended.
- Safety Performance Monitoring means the activities aimed at the quantification of an organization's safety effectiveness and efficiency during service delivery operations, through a combination of safety performance indicators and safety performance targets.
- Safety Performance Target means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration.
- Safety Promotion means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
- Safety Reporting Program means a process that allows employees to report safety conditions to senior management, protections for employees who report safety conditions to senior management, and a description of employee behaviors that may result in disciplinary action.
- Safety Risk means the assessed likelihood and severity of the potential consequence(s) of a hazard, using as reference the worst foreseeable, but credible, outcome.
- Safety Risk Assessment means the formal activity whereby a transit agency determines SRM priorities by establishing the significance or value of its safety risks.
- SRM means a process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
- Safety Risk Likelihood means the likelihood that the consequence might occur, taking as reference the worst foreseeable-but credible-condition.

- Safety Risk Reduction Program means a program designed to improve safety performance by reducing the number and rates of accidents, injuries, and assaults on transit workers, based on data submitted to the National Transit Database.
- Safety Risk Severity means the anticipated effects of a consequence, should it materialize, taking as reference the worst foreseeable-but credible-condition.
- Serious injury means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
- Three-Year Rolling Average means the average of data from the most recent three consecutive years, used as the basis for setting safety performance targets.
- Transit Agency means an operator of a public transportation system.
- Transit Asset Management Plan means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625.

## 5.2 KEY ACRONYMS

ACRONYM	WORD OR PHRASE
AAATA	Ann Arbor Area Transportation Authority
ANPRM	Advanced Notice of Proposed Rule Making
ASP	Agency Safety Plan
BIL	Bipartisan Infrastructure Law
CAP	Corrective Action Plan
CDC	Centers for Disease Control and Prevention
CEO	Chief Executive Officer
CRM	Customers Relations Management
CVRP	Contagious Virus Response Plan
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
MAP-21	Moving Ahead for Progress in the 21 <sup>st</sup> Century
MPO	Metropolitan Planning Organization
NPRM	Notice of Proposed Rule Making
NTD	National Transit Database
OJI	On-The-Job Injury
PTASP	Public Transportation Agency Safety Plan
SEMCOG	Southeast Michigan Council of Governments
SMP	Safety Management Policy
SMS	Safety Management System
SOP	Standard Operating Procedure
SPM	Safety Performance Monitoring

SPT	Safety Performance Target
SRM	Safety Risk Management
TSI	Transportation Safety Institute
TWU	Transportation Workers Union
VCC	Vehicle Condition Card
VRM	Vehicle Revenue Miles
WATS	Washtenaw Area Transportation Study

## SECTION 6 REFERENCES

### 6.1 Reference Introduction

This reference list provides the key sources and documents used in the development and implementation of the Ann Arbor Area Transportation Authority's Public Transportation Agency Safety Plan. It includes federal regulations, industry guidelines, and internal documents that form the foundation of our safety management system. This list is not exhaustive and may be updated as new resources become relevant to our safety practices.

### 6.2 References

- Federal Transit Administration. (2018). Public Transportation Agency Safety Plan Final Rule, 49 CFR Part 673.
- Federal Transit Administration. (2021). National Public Transportation Safety Plan.
- Occupational Safety and Health Act of 1970, 29 U.S.C. § 651 et seq.
- Moving Ahead for Progress in the 21st Century Act (MAP-21), Pub. L. No. 112-141 (2012).
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- Centers for Disease Control and Prevention. (2023). COVID-19 Guidance for Public Transportation.
- Ann Arbor Area Transportation Authority. (2024). Transit Asset Management Plan.
- Ann Arbor Area Transportation Authority. (2024). Safety Committee Guidelines.
- Robert's Rules of Order, Newly Revised (12th Edition).