BOARD OF DIRECTORS MEETING PACKET

May 20, 2020
3:00 p.m.

Held via Webex Video Conference or broadcast on YouTube at bit.ly/lextranmeeting or https://www.youtube.com/channel/UC6NinAOxGJe9lGUISWlhNhg

MEETING INSTRUCTIONS

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Contact Alan Jones at ajones@lextran.com for assistance or for access from outside the US

Join from a video system or application
Dial 790700324@lextran.my.webex.com OR dial 173.243.2.68 and enter your meeting number.

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BOARD OF DIRECTORS MEETING

May 20, 2020
3:00 p.m.

AGENDA

I.	Call to order	3:00		
II.	Public Comment on Agenda Items / Public Hearing	3:00	—	3:05
III.	Approval of April 2020 Board Meeting Minutes	3:05	—	3:10
IV.	Chair's Report	3:10	—	3:20
	a. Update on COVID-19			
V.	Lextran Monthly Performance Report	3:20	—	3:35
	a. March and April			
VI.	Presentation: Technology Feasibility Study Phase 1	3:35	—	3:55
VII.	Action Items	3:55	—	4:15
	a. Resolution 2020-08 Extension of Contract for Technology Consulting			
	b. Resolution 2020-09 Lextran's 2020 Agency Safety Plan			
VIII.	Change Order			
	a.			
IX.	Old Business			
X.	New Business			
XI.	Proposed Agenda Items	4:15	—	4:30
	a. Officer elections and committee appointments			
	b. Review of Bylaws			
XII.	Closed Session			
XIII.	Adjournment	4:30		

BOARD OF DIRECTORS MEETING

BOARD MINUTES
April 15, 2020

MEMBERS PRESENT
Christian Motley, Chair
George Ward, Vice Chair
Rick Christman
Elias Haddad
Peggy Henson
Marci Krueger-Sidebottom
Adrienne Thakur

MEMBERS ABSENT
Joseph Smith

STAFF PRESENT
Carrie Butler, General Manager
Jill Barnett, Assistant General Manager
Nikki Falconbury, Director of Finance
John Givens, Director of Risk Management
Fred Combs, Director of Planning
Jim Barrett, Director of Maintenance
Jason Dyal, Director of Operations
Stephanie Hunt, Administrative Projects Coordinator
Alan Jones, Systems Administrator

Anne-Tyler Morgan, McBrayer Law Firm, Board Attorney

OTHERS PRESENT
Via phone and web

I. **CALL TO ORDER**

Mr. Motley called the April 15, 2020 meeting of Lextran's Board of Directors to order at 3:00 p.m.

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

II. PUBLIC COMMENT

There was no public comment.

III. APPROVAL OF MINUTES

Mr. Motley called for a motion to approve the minutes from February 19, 2020. Ms. Henson made a motion to approve the minutes, and it was seconded by Mr. Haddad. The motion carried unanimously.

Mr. Ward asked that a note be added to the Work Session minutes that the Board Chair and Vice Chair would meet with the Administration to discuss the strategy for the 5307 CARES Act Funds, and the strategy be reviewed by the Finance Committee. Ms. Henson asked for clarification on the 5307 funds. Ms. Butler explained that 5307 funds are annual federal funds assigned based on population, ridership, and average trip miles. Funding can be used for capital projects, including preventive maintenance and the purchase of buses. The CARES Act provided an additional 5307 allocation and authorization to Lextran, and allows 100% of these 5307 dollars to be used for operations expenses as well, including personal protective equipment, in addition to the normal uses for 5307 funds. There is no local match required for these funds. Ms. Henson asked if the dollars could be used for PPE and items for drivers and people working at the Transit Center. Ms. Butler and Ms. Falconbury answered questions from Mr. Christman regarding total 5307 funding for the year for Lextran.

Mr. Motley called for a motion to approve the minutes from the April 8, 2020 Work Session. Mr. Ward motioned to approve the minutes, and it was seconded by Ms. Krueger-Sidebottom.

IV. CHAIR'S REPORT

Mr. Motley presented the Chair's Report, speaking about the COVID-19 pandemic. He thanked the staff of Lextran for their work and service, specifically mentioning Utility Workers, Maintenance Workers, Operators, and Parts and Maintenance Managers. He cited their quick compliance with sometimes daily changes to routes, service, and roles during this time. Mr. Motley also mentioned and thanked the Transportation Supervisors, the IT team, Customer Service, and the Administrative staff for their work during this time.

Ms. Butler added her thanks and mentioned the true team that Lextran has been throughout the last six weeks.

V. MONTHLY PERFORMANCE REPORT

Ms. Butler reminded the Board that there was not a meeting in March, so tonight's reports would include February as well as March. The February report is a familiar format as far as

data, while the report for March is a bit different and details Lextran's response to the COVID-19 pandemic. Ms. Butler offered that the March data would be presented at a later date.

Ms. Barnett presented the performance reports for Lextran, starting with February, including the following details:

- Three shelters installed in Beaumont Circle
- February ridership increases over previous year
- 91% and 92% on-time performance, for fixed route and paratransit respectively
- Customer commendations trending up for fixed route and paratransit
- Safety and maintenance highlights

Moving into March, Ms. Barnett outlined Lextran's response to COVID-19:

- January – Increased sanitation efforts onboard vehicles and at Lextran facilities, with a focus on high-touch, high-traffic areas
- March 12 – Redeployed some maintenance staff to the downtown Transit Center, to provide additional wipe-downs of buses between trips and during layovers.
- March 16 – Closed the Administrative Office and Customer Service windows to the public. Employees advised to participate in telework if able to do so.
- March 19 – Implemented a series of measures intended to increase social distancing and discourage non-essential travel:
    o Asked passengers to limit all non-essential travel
    o Reduced service on lower-volume routes
    o Implemented rear-door entry and exit onboard vehicles, to increase social distancing between the Operator and passengers
    o Closed passenger waiting areas at the downtown Transit Center
    o Temporarily eliminated fare collection
- March 25 – Added signage onboard vehicles requesting passengers stay 6 feet from the driver at all times.
- March 26 – A Lextran employee tested positive for COVID-19. Other employees identified through tracing efforts were placed on a voluntary, self-quarantine out of an abundance of caution.
- March 26 & 27 – Held "all-employee" conference calls to inform workforce of a positive COVID-19 case and respond to questions and concerns.
- March 31 – Reduced maximum load capacity and reduced number of available seats onboard by adding signs to particular seats, encouraging passengers to stagger themselves onboard. Added "shadow" buses (both fixed route and from Wheels fleet) to ensure enough capacity for all passengers and avoid leaving passengers behind.
- April 2 – Distributed masks and hand sanitizers to operators ahead of CDC mask recommendations, for voluntary use. (Note: hand sanitizers had been on order for more than a month)
- April 6 & 7 – Held additional "all-employee" conference calls to respond to concerns from employees about COVID-19.

In addition, Ms. Barnett highlighted a chart showing the decline in Lextran's ridership as a result of COVID-19, and indicated the decline was not inconsistent with what other transit

agencies were experiencing in other parts of the country.

Mr. Ward asked if the elimination of fare collection was a national practice, and Ms. Barnett indicated it was very prevalent, as many agencies had instituted boarding through the rear door (the farebox is located at the front of the bus).

Mr. Ward asked about people with disabilities and accommodations at the back door. Ms. Barnett responded that people using wheelchairs or other mobility devices, or who have limited mobility, may still enter using the front door.

Mr. Ward asked about on-time performance and slowing the buses down, given the lack of traffic currently. Ms. Barnett indicated that some schedules have been adjusted and explained built-in "time-points" that are intended to help with schedule adherence. She also stated that it is similar to certain times of year, like summer, when traffic in Lexington is decreased and adjustments are made for that.

Mr. Motley shared that he was grateful Lextran had made changes to ensure social distancing while still working to get people where they need to go, and indicated he saw a picture from transit in another city where the social distancing was not in place. Ms. Barnett indicated there were a few rough days, but Lextran had worked to respond quickly and adjust when needed. She indicated her appreciation of the Board's support and of the Lextran team.

Mr. Christman asked a question regarding passenger rides and passenger revenue, and indicated that it seemed the decrease in ridership had not had that much of an impact on revenue. Ms. Falconbury stated that passenger revenue was about half what it is in a typical month. She indicated property taxes have come in steadily, and that wages and fringe had been fairly typical as well. She indicated Lextran has implemented regulations from the Families First Act, and provided emergency leave to employees that have needed it for illness, exposure, or childcare issues. She indicated expenses for PPE would likely cause Materials and Supplies to go up over the next month, and that Diesel Fuel had recently been low. Paratransit expenses were right on budget for the year and most other categories are right on track. Expenses for the year are also under budget.

Mr. Christman indicated that the passenger revenue was under budget about $72,000 while the ridership was down significantly. Ms. Falconbury indicated there had been greater passenger revenue than budgeted within the past few months. Ms. Butler added that a large portion of ridership comes from students and the prepaid fare agreement with UK, which would mean the ridership decrease may not evenly correlate with the drop in fare revenue. Mr. Christman asked what the fare revenue was specifically for the month of March. Ms. Falconbury answered that it was about $57,000 for 19 days, compared with about $130,000 in a typical (full) month.

Mr. Haddad asked about ridership if the pandemic is prolonged, or job losses are sustained. He asked how public transit typically responds to downturns in the economy. Ms. Butler spoke about ridership in 2009, when ridership (nationwide) was relatively high, because people often choose to ride transit when they are unemployed and looking for work. She also spoke about fuel prices at that time, which were very high. Fuel prices right now are lower. The future is uncertain, as to whether fuel prices stay low and unemployment stays high. Generally, high

unemployment equates to high transit ridership, but Lextran was also experiencing higher than expected ridership when unemployment was low.

VI.   ACTION ITEMS

Resolution 2020-03 – Equal Employment Opportunity (EEO) Program Plan – Ms. Butler presented an update on the EEO Program Plan, describing that the update is now due to the Federal Transit Adminstration (FTA) every four years. The last submittal was in 2015. The FTA lays out the requirements for transit agencies regarding the contents and reports to be included. The plan includes appendices which assess employment practices, hiring, testing, promotions, disciplines, and a utilization analysis. The utilization analysis examines Census data, community demographics and availability of the job pool, and how it matches up with the number of employees in Lextran's various EEO categories. The other change with this particular plan and resolution will designate Jill Barnett as the temporary EEO officer until a permanent compliance officer is appointed. The person recently serving in that role has sought another employment opportunity. The FTA strongly encourages that the EEO officer is not part of the human resources team, where in many private employers the EEO is part of the Human Resources department. Mr. Motley called for a motion to approve Resolution 2020-03, Approval of 2020 EEO Program Plan and Designation of EEO/ADA Officer. Mr. Ward made a motion to accept the resolution, which was seconded by Ms. Sidebottom. The motion passed.

Resolution 2020-04 –Avail Warranty & Maintenance Agreement – Ms. Butler presented information regarding the Avail warranty and maintenance agreement. Lextran had previously been under a warranty and maintenance agreement with Avail that had expired, and Lextran staff had been working to negotiate terms of a new agreement. Avail is the fixed-route ITS provider and was originally awarded a contract in 2010. The contract included Avail as a systems integrator, onboard communications systems and cameras, computer-aided dispatch (CAD) system, automatic vehicle locators, automatic passenger counters, automated enunciators, and tools for operations. FleetNet is a software program used for financials as well as parts and maintennace. Avail has bought FleetNet, and now calls it Enterprise Resource Planning (ERP). Lextran previously renewed with Avail in November 2015 which expired late 2019, and is presenting a 3-year agreement that also includes ERP. The agreement includes service calls, assistance with any major service interruptions, training, and updates on the software applications. Mr. Motley called for a motion to approve Resolution 2020-04, Avail Warranty and Maintenance Agreement. Ms. Thakur made a motion to accept the resolution, which was seconded by Mr. Haddad. The motion passed.

Resolution 2020-05 – Parking Lot Painting and Restriping – Ms. Butler presented information regarding Parking Lot Painting and Restriping. The stripes in the parking lot have not worn well and parking lanes, indicators, and speed limits on the Lextran property have needed updating. A Request for Proposal (RFP) was previously put out for bids and two very different cost

proposals were received at that time. The RFP was sent back out to potential proposers, and one responsive proposal was received from 7PM Group. It is a two-part project, the employee parking lot as one part and the bus parking and drive lanes as another. Mr. Motley asked what factors would drive such a large variance in proposals. Ms. Butler responded that there may not be as many firms in the area who can perform this work, or firms that were busy at the time but happy to take on the work at a higher price. Mr. Motley called for a motion to approve Resolution 2020-05, Parking Lot Painting and Restriping. Mr. Ward made a motion to accept the resolution, which was seconded by Mr. Haddad. The motion passed.

Resolution 2020-06 – Approval of Lextran Fiscal Year 2021 Budget – Ms. Butler presented information regarding the Fiscal Year 2021 Budget, which was reviewed at the April 8, 2020 work session of the Board of Directors. (The full budget presentation can be found in the April 15, 2020 Board Packet). Ms. Butler pointed out that the timeline for submittal to the Commonwealth has been extended one month (to June 30), and also pending the timeline for presentation to the Urban County Council. Ms. Butler highlighted the uncertainties of the pandemic, contract negotiations, passenger revenue and property tax revenue, as well as assumptions and forecasts which includes the loss of toll credits. A mid-year budget adustment is likely, given uncertainties and variuos assumptions including expiration of the overall Federal authorization bill later this year, other potential Federal stimulus, and the development of a grant program for CARES funding. Total budget includes revenue of $28M, and a total capital budget of $8.9M. The CARES dollars will be applied to both operating and capital budgets. Ms. Butler also reveiewed the 5-year capital plan and the 5-year financial plan as required by FTA.

Mr. Ward asked if the resolution needed to state that the budget was subject to a mid-year revision. Ms. Morgan answered it did not, that would be handled at the time of a revision.

Mr. Christman asked if the 5307 funds would come before the end of June. Ms. Butler responded the funds were being obligating this week, through the typical process. Ms. Falconbury clarified the funds would be received on a reimbursement basis as expenses were submitted, and Mr. Ward if those could be backdated to January 20. Ms. Falconbury confirmed that was correct. Mr. Christman asked if this budget reflected that revenue. Ms. Falconbury answered that it did not, because at the time the budget was prepared the amounts and uses of funds were not confirmed. Mr. Christman asked if personnel expense could be charged towards that grant. Ms. Falconbury answered that wages and fringe for drivers could be counted as operating expenses, as well as diesel fuel and paratransit. Mr. Christman asked if Ms. Falconbury could re-do the cash projection prior to the finance committee meeting including these funds. Ms. Falconbury responded we should know more prior to the next finance meeting. Mr. Ward asked if we knew what other transit agencies were doing, as far as waiting to incorporate the CARES dollars prior to submitting budgets. Ms. Falconbury rsponded that many were proceeding with their budgets without the CARES included, due to the late timing of notification and the unknown of how quickly the grants will be processed.

Mr. Motley called for a motion to approve Resolution 2020-06, Lextran's Fiscal Year 2021 budget. Mr. Ward made a motion to accept the resolution, which was seconded by Ms. Thakur. The motion passed.

Resolution 2020-07 – Line of Credit – Ms. Butler presented the line of credit with FIfth Third Bank. Lextran originally sought the line of credit during the construction of the headquarters project, and kept the line of credit in place as a safety net since that time. It has not been exercised, but has been maintained.

Mr. Christman asked about the cost of the line of credit. Ms. Falconbury answered there is a very small monthly cost to keep it available.

Mr. Ward stated that it was originally $5 million, and Ms. Falconbury responded that was correct. The amount was reduced to $1 million following the completion of the headquarters project.

Ms. Henson asked if the entire balance was available if needed, and Ms. Falconbury confirmed.

Mr. Motley called for a motion to approve Resolution 2020-07, Authorization of a Line of Credit. Mr. Ward made a motion to accept the resolution, which was seconded by Ms. Henson. The motion passed.

Resolution 2020-08 – Management Services – Mr. Motley asked to consider Resolution 2020-08, Management Services, as a walk-on agenda item, and asked for a motion to waive the 48-hour rule. Mr. Haddad made a motion to waive the 48-hour rule, seconded by Mr. Ward. The motion passed.

Mr. Motley indicated he had spoken to most members of the Board. He confirmed Lextran's current contract with Transdev, which started in November 2016 and was for two years with 3 options for an additional year. The options were exercised in 2018, 2019, and today would be the third of the three options. Following this, there would be a full re-bidding process next year, as the contract would end October 31, 2021. Mr. Motley reminded the Board of the items included in Transdev contract: Ms. Butler and Ms. Barnett are employed by Transdev, the labor negotiations and some legal fees are covered, as well as audit support within safety, human resources, maintenance, and strategic planning. Ms. Henson asked if when the RFP process would take place. Mr. Motley answered the process would begin about six months prior to the contract ending, so spring of next year.

Mr. Motley called for a motion to approve Resolution 2020-08, Management Services. Mr. Ward made a motion to accept the resolution, which was seconded by Mr. Haddad. The motion passed.

Ms. Barnett and Ms. Butler both offered their thanks for the opportunity to continue their service to Lextran.

VII.   CHANGE ORDER

Ms. Butler presented a no-cost change order, regarding a letter agreement with American Red Cross regarding the shadow service provided by Wheels buses. The Wheels buses have followed behind the fixed route buses to assist with accommodating the limited capacity on the fixed route buses. Additionally, a monthly retainer has been added to allow them to keep full-time drivers employed rather than laying off employees, particularly given that paratransit trips may dramatically increase when stay-home orders and restrictions are lifted.

Mr. Ward asked about the usage of the shadow buses. Ms. Butler answered the usage was on all weekdays and sometimes on weekends, and that people were using them. Mr. Motley asked if the ridership counted for fixed route or paratransit. Ms. Butler responded she would confirm it was fixed route ridership and that Wheels had been asked to track the ridership. The change order is for the Board's information, and no action is needed at this time.

VIII.   OLD BUSINESS

Ms. Butler shared that discussions had continued with Greyhound, following Greyhound's proposal to use a bay at the downtown Transit Center. Greyhound's business, like Lextran's, has also been disrupted. When there is an update, more information will be brought to the Board.

IX.   PROPOSED AGENDA ITEMS

- o   Report from Technology & Communications Feasibility Study

- o   Agency Safety Plan

Ms. Henson asked whether Lextran would be considering additional safety measures going forward that would more permanently protect drivers and passengers. Ms. Butler indicated Lextran had been researching, talking to agency counterparts, and participating in many American Public Transportation Association (APTA) webinars and calls regarding the pandemic and safety. A report released by APTA today included safety best practices and things to consider moving forward. Mr. Givens, Director of Risk Management, added the Safety Management System was a new format required for FTA by July, and that many things currently occurring with PPE and other standards were items we were familiar with and trained on, but now having to utilize on a more frequent and regular basis.

X.   CLOSED SESSION

There was no closed session.

XI.   ADJOURNMENT

Mr. Motley called for a motion to adjourn the April 15, 2020 meeting of Lextran's Board of Directors. Ms. Henson made a motion and Ms. Sidebottom seconded.

The meeting adjourned by consensus at 6:22 p.m.

LEXTRAN MONTHLY PERFORMANCE REPORT – APRIL 2020

We serve people and our community with mobility solutions.

Focus in April continued on responding to COVID-19 including changes to guidance regarding masks and preparing for businesses to reopen. Lextran staff participated in various industry and locally sponsored virtual meeting and webinars. Internal meetings for the Pension Committee and meetings related to budget preparations took place during April with modifications made to accommodate social distancing and virtual meeting procedures.

DEMONSTRATE VALUE TO THE COMMUNITY

Fixed Route System Ridership

Paratransit (Wheels) Ridership
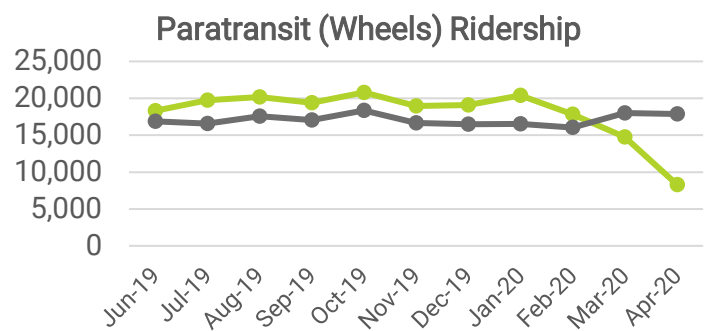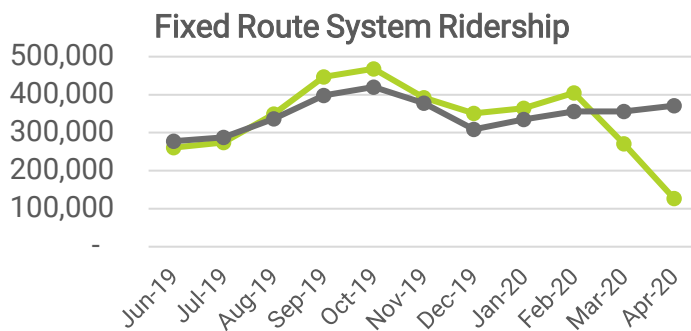
Performance Indicator	Fixed Route System			Paratransit (Wheels)		
System Production	This Month	FY20 YTD	FY19 YTD	This Month	FY20 YTD	FY19 YTD
Total Ridership	127,096	3,447,975	3,695,953	8,308	179,489	188,941
Weekday Ridership	104,910	2,984,746	3,235,284	7,138	150,351	159,428
Saturday Ridership	12,847	257,200	260,620	804	14,419	14,914
Sunday Ridership	9,339	188,874	182,042	366	12,896	13,380
Holiday Ridership	0	17,155	18,007	0	1,850	1,219
Total Revenue Miles	107,156	1,518,836	1,559,246	78,020	1,301,230	1,360,065
Total Revenue Hours	10,834	159,661	165,203	6,507	104,055	108,358
Trips per Mile	1.19	2.27	2.37	1.28	0.14	0.14
Trips per Hour	11.73	21.60	22.37	1.28	1.72	1.74

- Ridership has fallen 71% compared to February 2020 due to the COVID-19 pandemic.
- Wheels ridership has declined by 53% compared to February 2020.
- Compared to April 2019, fixed route ridership has fallen 68% and paratransit has fallen 59% due to COVID.

Lextran in the Media

- April 8 – LEXTRAN, BCRTA LAUNCH NEW WEBSITES WITH GTFS+ INTEGRATION

  https://www.masstransitmag.com/technology/miscellaneous/press-release/21133190/planeteria-media-lextran-bcrta-launch-new-websites-with-gtfs-integration

- April 24 – LEXTRAN RECOMMENDING PASSENGERS WEAR MASKS

  https://www.wkyt.com/content/news/Lextran-recommending-passengers-wear-masks-569922481.html

DELIVER A HIGH-QUALITY PRODUCT

Performance Indicator	Fixed Route System			Paratransit (Wheels)		
Service Quality	**This Month**	**FY20 YTD**	**FY19 YTD**	**This Month**	**FY20 YTD**	**FY19 YTD**
On-Time Performance	94.40%	90.00%	90.00%	97.10%	89.49%	90.06%
Farebox Recovery	0.00%	5.49%	6.05%	N/A	N/A	N/A
Operating Expenses	$1,537,494	$16,558,844	$17,550,778	$204,709	$4,149,007	$4,292,570
Per Mile	$4.16	$3.21	$3.58	N/A	N/A	N/A
Per Hour	$100.77	$74.58	$72.49	N/A	N/A	N/A
Customer Service	**This Month**	**FY20 YTD**	**FY19 YTD**	**This Month**	**FY20 YTD**	**FY19 YTD**
Customer Feedback Totals per 100k Trips	10.23	9.51	7.79	96.29	120.90	112.73
Commendations	0.00	1.07	0.46	0.00	16.71	14.29
Discourtesy	4.72	2.81	2.27	60.18	35.10	33.87
Late or Early	0.00	1.10	0.95	0.00	23.40	28.58
Safety	0.79	1.68	1.76	24.07	40.11	34.93
Passed Boarding	0.79	1.19	1.19	0.00	0.00	0.00
Information and Service Requests	0.00	0.75	0.30	0.00	0.00	1.06
Other	3.93	0.90	0.87	12.04	5.57	0.00
Call Length	1:22	1:19	13:19	1:04	1:09	1:13
Calls into the IVR	15,196	388,791	422,009	N/A	N/A	N/A
Time to Abandon	1:01	0:43	2:50	0:22	0:45	1:09

- Farebox recovery is at zero, due to temporary suspension of fares.
- Customer commendations are trending up and discourtesies are trending down compared to the previous year.
- Commendations for Wheels paratransit service is trending up compared to FY19.

MANAGE AND SUSTAIN RESOURCES

Performance Indicator	Fixed Route System			Paratransit (Wheels)		
Safety	This Month	FY20 YTD	FY19 YTD	This Month	FY20 YTD	FY19 YTD
Preventable Accidents per 100,000 miles	0.89	2.05	1.38	0	1.94	2.16
Injury Frequency Rate	15.50	17.96	26.81	N/A	N/A	N/A
Days with No Preventable Accidents	27	267	274	30	292	284
Days of Lost Time	124	709	868	N/A	N/A	N/A
Workers Compensation Claims	2	29	43	N/A	N/A	N/A

- Paratransit (Wheels) reported no accidents in April 2020.
- Preventable injuries are trending down in FY20 compared to FY19 for our fixed route system.

Performance Indicator	Fixed Route System		
Maintenance	This Month	FY20 YTD	FY19 YTD
Miles between Road Calls	7,144	75,102	63,242
Percent of Preventive Maintenance Inspections on Schedule	100%	97%	93%

- The Maintenance department has completed 97% of preventative maintenance inspections on-schedule in FY20, compared to 93% in FY19.
- Maintenance completed 100% (46 of 46) of scheduled preventative maintenance this month.

Performance Indicator	Fixed Route System		
Hiring and Recruiting	This Month	Interviews	New Hires
Open Positions	3	0	0
Operations	0	0	0
Maintenance	2	0	0
Administration	1	0	0
Turnover Rate			

Performance Indicator	Fixed Route System	
Training Activities	This Month	FY20 YTD
Smith System Defensive Driving Annual Refresher	9	31
Post-Accident Remedial Training	1	20
New Employee Route Training	9	9
Return to Work Training	2	10
Computer Skills Training	1	9
Bus Sanitizing Bloodborne Pathogen Exposure Training	36	49
Union Orientation	9	9
Maintenance Orientation	9	9
Dispatch Orientation	9	9

Procurement	
RFP 01-2020 Parking Lot Restriping	Awarded
RFP 02-2020 Financing Services	In Evaluation Phase
RFP 03-2020 Investment Consulting Services	In Evaluation Phase
RFP 05-2020 Maintenance Uniforms	Open
04-2020 Electric Bus	Pending

BALANCE SHEET
as of April 30, 2020

	Current Year-To-Date	Last Year-to-Date
Assets		
Current assets		
Operating Cash	$14,228,159	$14,699,006
Project Loan Account	$0	$1,145,044
Accounts receivable	$3,768,996	$3,982,320
Inventory	$714,106	$685,556
Work in process	$1,991,891	$429,446
Prepaid	$245,852	$237,944
Total Current Assets	$20,949,003	$21,179,315
Long term note - Lextran Foundation In	$8,355,000	$8,355,000
Long term asset - Pension	$2,322,984	$1,063,260
Total Long Term Assets	$10,677,984	$9,418,260
Net capital and related assets	$23,955,222	$26,076,849
Total Assets	$55,582,209	$56,674,424
Liabilities		
Current liabilities		
Accounts payable	$584,753	$1,071,440
Payroll liabilities	$562,755	$556,888
Short term note - Fifth Third Bank	$963,244	$934,624
Total Current Liabilities	$2,110,751	$2,562,952
Long term note - Fifth Third Bank	$4,099,963	$5,063,207
Long term liability - Pension	$2,911,111	$1,631,403
Total Long Term Liabilities	$7,011,074	$6,694,611
Net Position	$46,460,383	$47,416,861
Total Liabilities and Net Position	$55,582,209	$56,674,424

Lextran

STATEMENT OF REVENUES, EXPENSES AND CHANGE IN NET POSITION
APRIL 2020
FY 2020

Revenues	Actual	Budget	Variance	FY 2019 Actual
Property taxes	$18,915,282	$18,270,900	$644,382	$18,199,849
Passenger revenue	$949,346	$1,133,207	($183,861)	$1,097,124
Federal funds	$3,912,869	$3,912,869	$0	$3,904,931
State funds	$497,500	$250,000	$247,500	$465,500
Advertising revenue	$260,000	$263,500	($3,500)	$260,000
Other revenue	$1,938,129	$2,009,674	($71,546)	$2,026,128
Total Revenues	$26,473,125	$25,840,149	$632,976	$25,953,532
Expenses				
Wages	$7,989,849	$7,726,552	$263,297	$7,702,854
Fringe benefits	$4,451,158	$4,703,283	($252,125)	$4,208,081
Professional services	$765,070	$1,344,346	($579,276)	$1,274,067
Materials and supplies	$925,239	$930,000	($4,761)	$969,423
Fuel-Diesel	$661,730	$892,738	($231,008)	$858,026
Fuel-Other	$228,499	$240,833	($12,334)	$232,688
Utilities - Facilities	$282,010	$228,907	$53,103	$212,386
Utilities - Electric Bus	$73,425	$67,923	$5,501	$63,766
Insurance	$676,195	$615,000	$61,195	$627,204
Fuel taxes	$173,827	$178,333	($4,507)	$188,758
Paratransit Expenses	$4,698,814	$4,835,033	($136,220)	$4,795,628
Vanpool Expenses	$17,201	$27,000	($9,799)	$22,670
Dues and subscriptions	$31,103	$31,667	($564)	$37,740
Travel, training and meeting	$102,169	$113,542	($11,372)	$66,104
Media advertising	$160,672	$179,167	($18,495)	$77,853
Miscellaneous	$37,248	$54,167	($16,919)	$45,424
Interest Expense	$137,400	$158,683	($21,284)	$160,599
Leases and rentals	$670,180	$677,341	($7,161)	$668,520
Depreciation	$2,652,649	$2,652,649	$0	$3,011,324
Total Expenses	$24,734,435	$25,657,163	($922,728)	$25,223,114
Change in Net Position	$1,738,690	$182,986	$1,555,704	$730,418

Board of Directors Meeting

Technology Strategic Plan and Recommendations

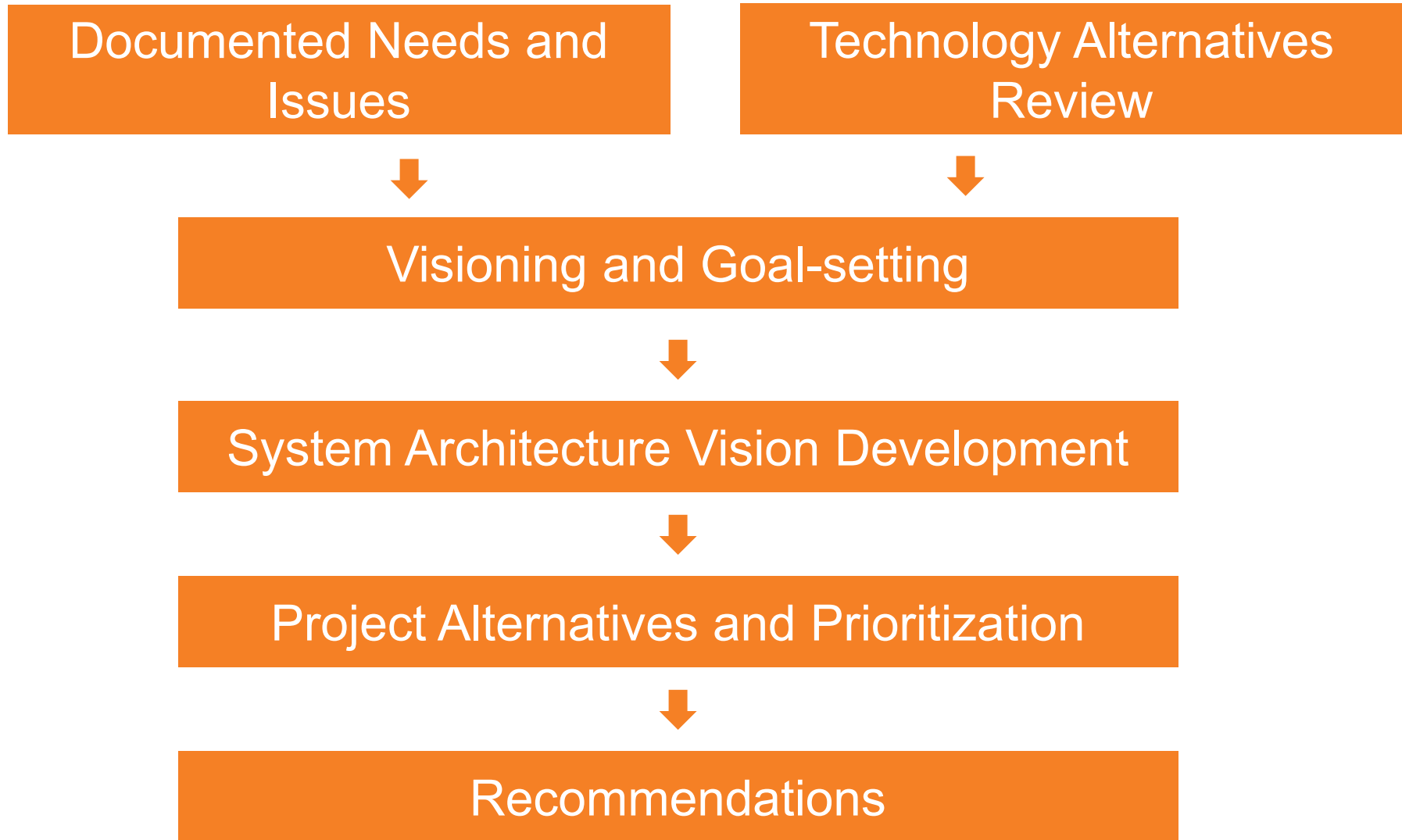**Technology Consulting Services**

May 20, 2020

Agenda

Technology Consulting Services Project

- Phase 1: Strategic Planning
  - Existing Conditions and Needs Assessment
  - Technology Review and Prioritization
  - Recommendations Report
  - Initial Project Planning

  Complete

- Phase 2 Project Design and Procurement
- Phase 3 Implementation Assistance

Lextran TBT

Strategic Planning Process

Documented Needs and Issues

Technology Alternatives Review

⬇ ⬇

Visioning and Goal-setting

⬇

System Architecture Vision Development

⬇

Project Alternatives and Prioritization

⬇

Recommendations

Needs Assessment Findings

Summary of Needs

Data & Performance Management

- Data management is a challenge from source.
- Reporting tools need improvement to minimize need for time-intensive manual work.
- Inadequate real-time information and performance measures.

Vendor Management

- Challenging to manage some vendors, including Avail and IVR vendor.
- ERP tool has limited support since procurement.
- Sprint has issues with cell comms. quality, customer service, coverage.
- Need to build in better contractual incentives to manage vendors.

Needs /Gaps

Business Process/ Organizational

- Various technology tools are outdated, resulting in staff having to develop workarounds.
- Need to incorporate regular training as part of any technology implementation.

Technical

- Only one dispatcher can speak at a time through current radio system.
- Scheduling
- Creating detours is time consuming and complicated.
- Customers and Lextran staff use different maps.
- Performing maintenance activities is a challenge in Fleetnet.

Technology Vision Setting
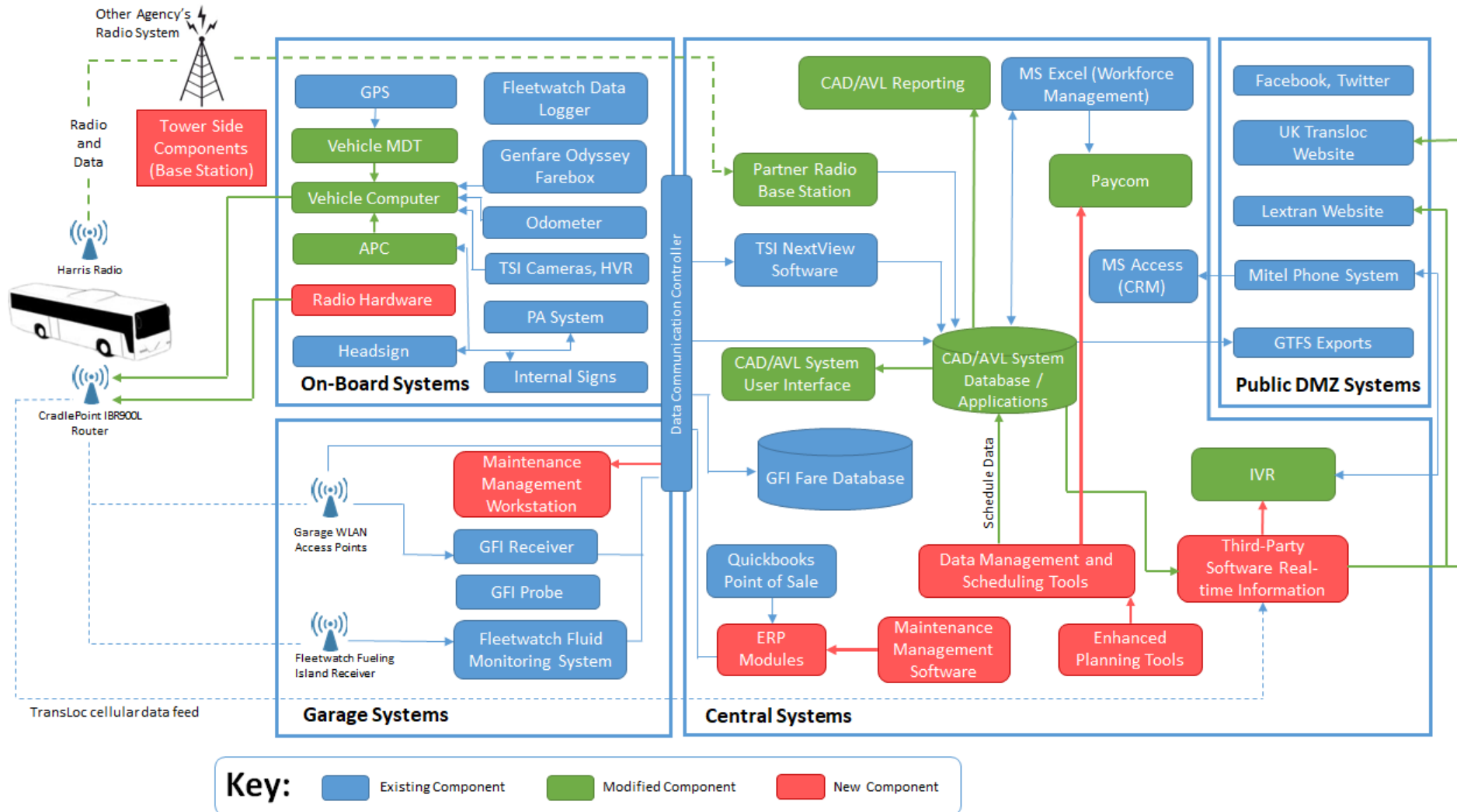
Lextran Technology Vision

Lextran Mission Statement:

We serve people and our community with mobility solutions.

Technology Vision Statement:

Use proven and integrated technology and cutting-edge data practices to provide safe, efficient, reliable, and accessible mobility solutions and services to customers.

Lextran Technology Vision Architecture

Phase 1 Recommendations

Phase 1 Recommendations

List of Technology Priorities

- Radio/Voice Communication System
- Data Management and Scheduling Tools
- Maintenance Management Software

High Priority

- Computer-Aided Dispatch and Automatic Vehicle Location Systems
- Real-time Information
- Enterprise Resource Planning

Medium Priority

- Fare Collection System
- Interactive Voice Response System

Low Priority

High Priority Recommendations

Radio and Voice Communication

- **Current State**: Current Lextran EDACS radio system support ends June 2021 and it is not prudent to maintain independent radio system

- **Resolution**: Partner with a local agency (e.g. LFUCG)

  – Reduces upfront investment and effort

  – Spreads maintenance duties and costs

  – Improves redundancy and interoperability

High Priority Recommendations

Data Management and Scheduling Tools

- **Current State**: TMS scheduling software not easy to use, and has limited reporting
  - Significant risks to continuing with TMS
  - Alternative solutions provide better schedule related reporting, analytics

- **Resolution**: Replace with better tools
  - Improved scenario analysis
  - Improved quality of source data
  - Has downstream benefits for real-time information, reporting, analytics

High Priority Recommendations

Maintenance Management System

- **Current State**: Fleetnet Software provides limited capabilities, is dated, requires workarounds

- **Resolution**: Replace FleetNet maintenance management capabilities with new software
  - Provides the most updated features for maintenance, inventory management
  - Reduces the time and costs of upgrading and improving FleetNet
  - Reduces manual efforts and workarounds to using FleetNet

Medium Priority Recommendations

## Computer-Aided Dispatch and Automatic Vehicle Location System

- **Current State**: Avail system generally meets agency needs, but may need full upgrade or replacement in 2-3 years.

- **Resolution**: Rewrite maintenance and support contract and evaluate in future

  – Meets Lextran's needs

  – Reduces additional procurement costs

  – Reduces additional training needs
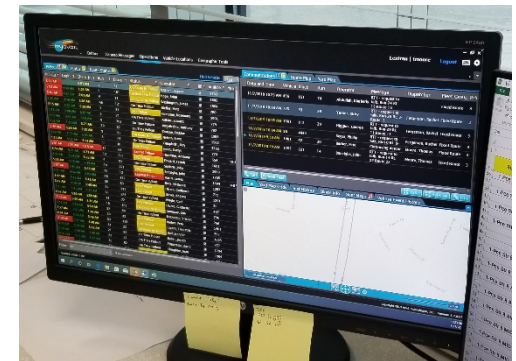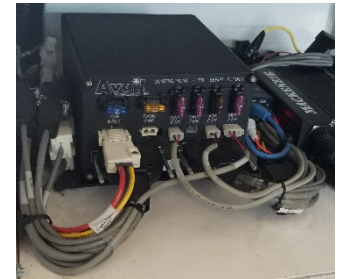
Medium Priority Recommendations

Real-time Information

- **Current State**: Vehicle position information is generally reliable, but challenges with getting systemwide information, particularly for routes being detoured or on headway service (UK).

- **Resolution**:
  - Near term: Reformat TransLoc AVL data for Avail system
  - Long term: Consolidate all AVL data using third-party software
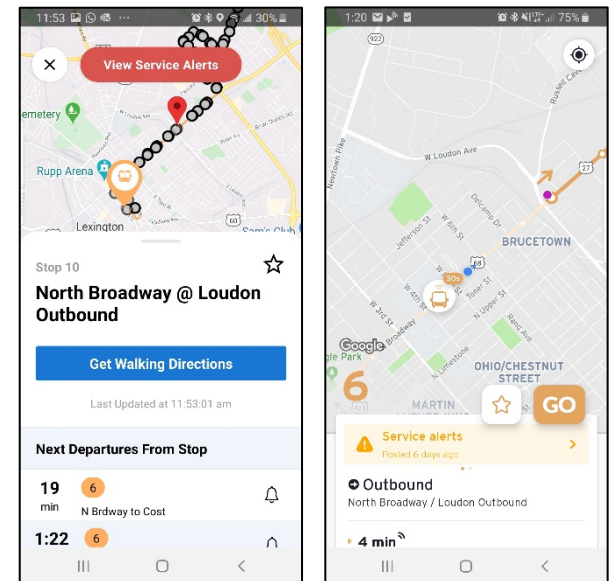
Medium Priority Recommendations

Enterprise Resource Planning

- **Current State**: Fleetnet software has dated UI, is not easy to use, and requires supplementation with manual Excel sheets.

- **Resolution**: Procure new ERP software post the replacement of the maintenance management software
  - Improved integration with other systems
  - Improves financial reporting

Low Priority Recommendations

- ## Fare Collection
  - **Current State**: Fareboxes are getting old but largely work as needed.
  - **Resolution**: Evaluate transfer policy, options to incentivize move away from cash.

- ## Interactive Voice Response System
  - **Current State**: IVR system works as needed, but usage is dropping.
  - **Resolution**: Planning to decommission in near to mid-term.

High Priority Project
Benefits and Costs

High Priority Technologies

- Existing System Costs (without changes)
  - 5-year support costs: ~$250,000
  - Impending capital costs (primarily radio system): $50,000-150,000

- Benefits to Improving High Priority Technologies
  - Interoperability and redundancy with other agency radio systems
  - Improved maintenance functionality
  - Reduced manual processes
  - Improved scenario analysis and reporting

High Priority Project Costs

Project	Capital Costs	Annual Operating Costs	5 year Costs
Voice Radio System	$50,000 - $150,000	$25,000 - $60,000	$150,000 - $400,000
Data Management and Scheduling Tools	$40,000 - $100,000	$20,000 - $50,000	$120,000 - $300,000
Maintenance Management System	$120,000 - $300,000	$20,000 - $50,000	$200,000 - $500,000
TOTAL	**$210,000 - $560,000**	**$65,000 - $160,000**	**$470,000 - $1,200,000**

Implementation Tentative Schedule

Recommendation Category	2020				2021				2022				2023			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Voice Radio Communications		Red	Blue	Yellow	Yellow	Yellow	Orange	Orange	Orange	Orange	Orange	Orange	Orange	Orange	Orange	Orange
Data Management and Scheduling Tools			Red	Red	Blue	Yellow	Yellow	Yellow	Orange	Orange	Orange	Orange	Orange	Orange	Orange	Orange
Maintenance Management System				Red	Red	Blue	Blue	Yellow	Yellow	Yellow	Orange	Orange	Orange	Orange	Orange	Orange
CAD/AVL and IVR					Red	Red	Blue	Blue	Yellow	Yellow	Yellow	Yellow	Orange	Orange	Orange	Orange
Real-Time Information						Red	Blue	Blue	Yellow	Yellow	Yellow	Yellow	Orange	Orange	Orange	Orange
Enterprise Resource Planning							Red	Red	Blue	Blue	Yellow	Yellow	Yellow	Yellow	Orange	Orange
Fare Collection							Green	Green	Orange	Orange	Orange	Orange	Orange	Orange	Orange	Orange
Relationships with Other Transit Agencies		Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow
Business Processes and Training		Red	Red	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow

Red ~ Planning/System Requirements Phases
Blue ~ Procurement/Negotiations Phase
Yellow ~ Deployment/Implementation Phase
Orange ~ Maintenance/Support
Green ~ Policy Changes/Evaluation

Next Steps for 2020

Next Steps for 2020-2021

- Phase 2 Project Design and Procurement
  - Create a partnership with a local agency radio system
  - Develop and publish RFP for data management, scheduling, and capacity management tools
  - Plan for replacement of maintenance management tool of ERP software
  - Plan for medium-priority projects including the CAD/AVL and real-time information systems
- Phase 3 Implementation Assistance
  - Support implementation of projects (contract management, design review, training, testing)
  - Support policy and procedure changes

Lextran

TBI

MEMORANDUM

May 20, 2020

TO: Lextran Board of Directors

FROM: Carrie Butler, General Manager

SUBJECT: Contract Extension for Technology Consulting Services

Attached is a resolution requesting authority to continue the technology consulting services project that began with Resolution 2019-18 in August 2019. The technology consulting services project assessed Lextran's overall technology program for transit intelligent transportation systems (ITS) for current functionality and created a replacement plan for the full suite of ITS technologies.

Request for Proposal (RFP) 1902 was issued May 17, 2019 with proposals received on June 27, 2019. A staff evaluation committee reviewed and approved the proposals for compliance and responsiveness, and IBI Group was selected from four (4) qualified proposers. An evaluation committee ranked the proposals and selected IBI as the selected proposer. The current contract began in August 2019 and extends for three (3) years with one (1) two-year option with a total not-to-exceed amount of $264,605.

The project itself was broken into three phases with Phase 1 being funded from the FY2019 capital budget:
- Phase 1 Strategic Planning has a not-to-exceed amount of $69,925 *(complete)*
- Phase 2 Project Design and Procurement has a not-to-exceed amount of $66,490
- Phase 3 Implementation Assistance has a not-to-exceed amount of $128,190

The attached resolution requests authority to proceed with the current contract with the IBI Group for Phase 2 and Phase 3 of the technology consulting services project.

Budget / Source of Funds: The budget for this project is included in the Five-Year Capital Plan, Technology Projects from the Section 5307 formula funds in FY 2021.

If you have any questions or wish to review RFP 1902 or the proposal from IBI Group, please contact me at 255-7756.

RESOLUTION 2020-08

TRANSIT AUTHORITY OF LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT

MAY 20, 2020

WHEREAS, the Transit Authority of Lexington-Fayette Urban County Government issued RFP 1902 for technology consulting services, and;

WHEREAS, RFP 1902 resulted in responsive proposals from four (4) qualified proposers, and;

WHEREAS, the proposal from IBI Group was the highest ranked proposal, and;

WHEREAS, the Board of Directors of the Transit Authority of the Lexington-Fayette Urban County Government hereby authorized and directed the General Manager to execute a contract with IBI Group for Phase 1 of the technology consulting services proposal as per the terms of RFP 1902 and the proposal submitted by IBI Group, which are incorporated herein by reference.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Directors of the Transit Authority of the Lexington-Fayette Urban County Government hereby authorizes and directs the General Manager to exercise the option in the contract awarded under Resolution 2019-08 to include Phase 2 and Phase 3 of the technology consulting services project, continuing the terms of RFP 1902 and the proposal submitted by IBI Group.

Pricing for Phase 2 and 3 is as follows:
- Phase 2 Project Design and Procurement has a not-to-exceed amount of $66,490
- Phase 3 Implementation Assistance has a not-to-exceed amount of $128,190

MOTION: _____   SECOND: _____

_____   _____
CHAIRPERSON   DATE

AGENCY SAFETY PLAN
2020

Lextran

DOCUMENT INFORMATION AND REVISIONS

Title:	Agency Safety Plan
Description:	Summary document of required elements of Lextran's Safety Plan, formerly Safety Management System
Prepared by:	John Givens Director of Risk Management
Issuing Department:	Risk Management / Safety / Training
Issue Date:	This plan was approved by the Board of Directors for the Transit Authority of the Lexington-Fayette Urban County Government on ___/___/___ and reflected in the official, approved board minutes. Minutes are available at http://www.lextran.com/about/board-of-directors under the Board Packets section.
Revision Number:	Original
Approvals:	Lextran Board of Directors Resolution 2020-0X on May 20, 2020
Name and Title of Accountable Executive:	Carrie Butler General Manager
Signature:	_____
Name and Title of Chief Safety Officer:	John Givens Director of Risk Management
Signature:	_____

Revision Number	Date	Responsible Person	Description of Change
0	May 15, 2020	John Givens	New document

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RESOLUTION 2020-09

TRANSIT AUTHORITY OF LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT

MAY 20, 2020

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

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

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

WHEREAS, John Givens, Director of Risk Management, will serve as the Chief Safety Officer, and;

NOW, THEREFORE BE IT RESOLVED, that the Board of Directors of the Transit Authority of Lexington-Fayette Urban County Government hereby authorizes the designation of Carrie Butler, General Manager, as the Accountable Executive; and John Givens, Director of Risk Management, as the Chief Safety Officer, and hereby approves the 2020 Agency Safety Plan.

MOTION: _____   SECOND: _____

_____   _____

CHAIRPERSON   DATE

SAFETY MANAGEMENT POLICY STATEMENT

The safety goal of the Transit Authority of the Lexington-Fayette Urban County Government (Lextran) is to provide the safest possible environment for our employees, passengers, and the public we interact with. To accomplish this, we will dedicate the needed resources to ensure the safest possible delivery of service to our community.

All levels of management and all employees, including contractors, are accountable for the delivery of the highest level of safety performance, starting with the Board of Directors, Executives, Directors, Managers, Supervisors, Employees, and Contractors.

Lextran is committed to supporting the reporting of identified safety hazards and risks in day to day duties by employees to senior management without fear of reprisal so that the hazards and risks can be mitigated or eliminated. To that end, Lextran encourages all employees to participate in the Safety Reporting System without fear of retaliation. Unacceptable behavior, which would be considered an exception to this policy, would be knowingly making a false report.

This Safety Management Policy Statement is communicated to the Board of Directors via the annual review and approval process. It is also communicated through the use of communication boards, located at each of Lextran's facilities, as well as on our website at www.lextran.com. An employee may also request a printed copy through the Lextran Safety Department.

Signature by the Accountable Executive: _____ Date ____/____/____
Carrie Butler
General Manager

Signature by the Chief Safety Officer: _____ Date ____/____/____
John Givens
Director of Risk Management

1 TRANSIT AGENCY INFORMATION

1.1 Background

Lextran, the Transit Authority of Lexington-Fayette Urban County Government, as it is known today was established in 1973 by the Commonwealth of Kentucky as a Mass Transportation Authority per Kentucky Revised Statutes, Title IX – Counties, Cities and Other Local Units, Chapter 96A, Mass Transit Authorities. Our mission "We serve people and our community with mobility solutions" is accomplished by focusing on three key pillars: Deliver High Quality Product and Service, Demonstrate Value to the Community, and Manage and Sustain Resources.

Lextran provides 4.5 million trips annually with service to residents and visitors of Lexington-Fayette County on 26 fixed routes, county-wide paratransit, and regional vanpool seven days a week, 365 days a year. The annual combined operating and capital budget of $32 million includes more than 200 team members and a fleet of 120 vehicles. The fleet includes compressed natural gas, zero emission battery electric buses, diesel and gasoline filed vehicles. Wheels, our door-to-door paratransit service for people with disabilities, is operated by American Red Cross.

1.2 Applicability

As a recipient of funds under 49 U.S.C. 5307, the Transit Authority of the Lexington-Fayette Urban County Government (Lextran) is required to develop a Public Transit Agency Safety Plan or ASP. This document will serve as the ASP for Lextran.

1.3 Policy

Lextran has adopted the principles and methods of Safety Management Systems (SMS) as the basis for enhancing safety and will follow the principles and practices of SMS in the delivery of service to our community.

1.4 Transition from SSPP to ASP

Lextran previously utilized a System Safety Program Plan (SSPP), which documented the overall safety program for Lextran fixed-route bus service. That SSPP was constituted by safety elements that outlined and described the policies, processes, and procedures associated with the safety program.

On July 19, 2018, FTA published the Public Transportation Agency Safety Plan (ASP) Final Rule. It requires individual operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). The effective date of this rule is July 19, 2019. As a result, Transit operators must certify they have a safety plan in place, meeting the requirements of the standard by July 20, 2020. The plan must be updated and approved by the transit agency annually.

As of approval and certification of this Plan, Lextran will transition from the System Safety Program Plan model and system safety to the Agency Safety Plan, which incorporates safety management systems.

1.5 Safety Management System (SMS) Implementation

To implement the Safety Management System, the Authority has taken a four-phase approach based upon a continuous improvement cycle of Plan, Do, Check, and Act. Within these four phases are twenty-nine identified tasks. To aid in implementation and annual reviews, Lextran has created an Excel Workbook called G.A.T.I.S.

for Gap Analysis Tool for Implementing SMS. The gap analysis tool contains questions based upon the needs and requirements of each of the SMS components; answering these questions aided in discovering any needed procedures, processes, and documentation. Identified needs then became tasks within the SMS Implementation Plan tab. The Safety department is responsible for leading implementation with assistance from the Safety Review Committee, which also serves as the SMS implementation team.

1.6 Accountable Executive and Board of Directors approvals

Under 49 U.S.C. 5329(d)(1)(A), the Accountable Executive and Lextran Board of Directors must approve this plan. Accomplishment by the signature of the Accountable Executive will be affixed to this plan and by the formal Board of Directors Motion. A copy of that Motion will be included in the Appendices of this document. Additionally, the ASP will be submitted for approval to the Accountable Executive and Board of Directors annually.

1.7 Modes Covered by this Plan

This ASP covers Lextran's Fixed Route bus service and Wheels Paratransit service.

2 SAFETY PLAN DEVELOPMENT, UPDATE, AND CERTIFICATION

The Risk Management Department of Lextran developed this plan under 49 U.S.C. 5329(d)(1)(A). It will be reviewed for compliance on an annual basis. Annually, the Chief Safety Officer (or Designee) will lead a review of the ASP in conjunction with affected departments and update the ASP, as necessary. Route extensions, significant changes to the operational practices, or other events may be cause for a review at any time. The ASP and any updates must be reviewed and approved by the Lextran Board of Directors.

2.1 ASP Review Schedule

The ASP will be reviewed annually and submitted to the Lextran Board of Directors for review and approval before January 31.

2.2 ASP Control and Update Procedure

The Chief Safety Officer is responsible for the control and update of the ASP. Input for annual reviews will be solicited from all Lextran departments by the end of the calendar year (December 31) and before submission to the Board of Directors.

2.3 ASP Review and Approval by Lextran Board of Directors

Under 49 U.S.C. 5329 (d)(1)(A) the Lextran Board of Directors is required to review and approve the ASP, including updates.

2.4 ASP Change Management

Any changes to the ASP will be documented in the Change Record. This Change Record will contain a summary that identifies and explains the modifications for submittal to the Board of Directors annually.

2.5 Compliance

This plan is certified compliant by Lextran as of the issue date.

3 SAFETY PERFORMANCE TARGETS

3.1 Development

Safety Performance Measures aid Lextran in monitoring performance. Safety performance measures also focus on improving safety performance through the reduction of safety events, fatalities, and injuries. The performance targets are based on the history of the system, as documented in the National Transit Database (NTD) Safety and Security Time Series, from the start of revenue service in January 2017 through December 2019. And per the National Public Transportation Safety Plan the following annual Safety Performance Targets have been identified:

Table 1 - Safety Performance Targets

Mode of Transit Service	Fatalities (Total)	Fatalities (Rate)	Injuries (Total)	Injuries (Rate)	Safety Events (Total)	Safety Events (Rate)	System Reliability
Fixed Route	0	0.00	35	23.08	46	30.03	4635
Paratransit	0	0.00	13	8.57	8	5.28	N/A

*Rates calculated as occurring per 100,000 revenue miles

3.2 Coordination with the Metropolitan Planning Organization (MPO)

Annually Lextran will create Safety Performance and State of Good Repair Measures and Targets for Lextran Fixed Route service as well as Wheels paratransit service based upon the principle of continuous improvement. These measures and targets will be provided to the MPO via electronic communication by January 31.

4 SAFETY MANAGEMENT POLICY

Safety Management Policy establishes necessary organizational structures, roles, and responsibilities. It also ensures safety is on the same priority level as other organizational functions. And it provides direction for effective safety risk management, assurance, and promotion. Lastly, it provides and ensures sufficient resources.

4.1 Safety Management Policy Statement

The safety goal of Lextran is to provide the safest possible environment for our employees, passengers, and the interacting public. To accomplish this, we will dedicate the needed resources to ensure the safest possible delivery of service to our community. All levels are accountable for the delivery of the highest level of safety performance, starting with the Board of Directors, Executives, Directors, Managers, Supervisors, employees, and contractors.

Lextran is committed to supporting the reporting of identified safety hazards and risks in day-to-day duties by employees to senior management without fear of reprisal so that the hazards and risks can be mitigated or eliminated. Lextran encourages all employees to participate in the Safety Reporting System (SRS) without fear

of retaliation. Except for illegal activities or intentional disregard for regulations, policies, or procedures, no employee will be disciplined for reporting safety hazards or events.

4.2 Safety Management Policy Communication

The Safety Management Policy Statement is communicated to the Board of Directors through the annual review and approval process. It is also communicated to employees through the use of communication boards, located at each of the facilities, as well as on our website www.lextran.com. An employee may also request a printed copy through the Lextran Safety Department. A signed copy of the Safety Management Policy Statement is contained in the Appendices.

4.3 Employee Safety Reporting Program

Lextran has established a Safety Reporting System for the public and employees to report identified hazards or safety concerns. Employees are encouraged to report safety concerns and may do so through the following means including but not limited to: Employee Safety Committee, immediate Manager/Supervisor, Senior Management, Operator Report, Employee Safety Concern form, and via electronic communication directly to the Lextran Safety Department. The public may report concerns to the customer service department, who will notify Lextran Safety and document the concern in their communications log software. To close the feedback loop, Lextran will provide an update to employees regarding the results of any investigations and (or) action taken arising out of their report.

4.4 Authorities, Accountabilities, and Responsibilities

4.4.1 Accountable Executive
The General Manager serves as the Accountable Executive for Lextran and is ultimately responsible for the Safety Program. The Accountable Executive is responsible for ensuring there are adequate resources to develop and maintain both the Agency Safety Plan and Transit Asset Management Plan and approving the ASP annually.

4.4.2 Chief Safety Officer
The Director of Risk Management serves as the Chief Safety Officer, reports directly to the Accountable Executive, and is responsible for the following: Developing and maintaining SMS documentation; Directing hazard identification and safety risk assessment; Monitoring safety risk mitigation activities; Providing periodic reports on safety performance; Briefing the Accountable Executive and Board of Directors on SMS implementation progress; and planning safety management training.

4.4.3 Agency Leadership and Executive Management
In addition to the GM, who serves as the Accountable Executive and Director of Risk Management, who serves as the Chief Safety Officer, the Lextran Executive Management Team has Authority and responsibility for the day-to-day implementation of the Safety Management System for the Authority.

4.4.4 Key Staff
The Risk Management Department, along with the Safety Security Review Committee (SSRC), are designated as key staff to support the Accountable Executive and Chief Safety Officer in developing, implementing, and operating the Authority's SMS. Additionally, the SSRC will serve as SMS Ambassadors to promote the SMS program through communication and training.

4.4.5 Safety Security Review Committee

The Safety and Security Review Committee (SSRC) is a multi-disciplinary working group that serves as a high-level committee to address all safety and security issues as well as review and approval of configuration management items. Committee membership includes representation from the following functional areas: safety, security, planning, operations, and maintenance. The committee chair is the Chief Safety Officer. For more detailed information about the SSRC, please refer to the Lextran Safety Security Review Committee procedure.

5 SAFETY RISK MANAGEMENT

Safety Risk Management (SRM) is vital to the success of the SMS. And before an SMS can be effectively built or improved, safety hazards must be identified and mitigations in place to manage the safety risk. Safety risk management is a continuous process, which includes the following activities: Safety hazard identification, safety risk assessment, and safety risk mitigation. The Safety Risk Management Process identifies and analyzes hazards and potential consequences. It then expresses safety risks for each consequence in terms of probability and severity to determine if the risk is acceptable and if not utilizes safety risk mitigation to lower the safety risk. The process also includes interaction with safety assurance to ensure hazards are tracked after safety risk mitigation has taken place. In all cases, safety risk mitigation activities are documented.

5.1 Safety Hazard Identification

Valid Hazard Identification is supported by sources, training on proper identification and reporting, and promotion of the safety reporting program to employees and the public. Potential sources for hazard identification and their consequences include the following: Safety Reporting System (employee program and public reporting), Safety Event (accidents, incidents occurrences), internal audits, safety committees, Government Sources (FTA, NTSB), Industry Partners (APTA) operational observations, review of historical data, scenario development and review, Job Hazard Analysis (JHA)/Job Safety Analysis (JSA), Accident/Incident Investigations Data review and ad hoc hazard reporting.

Lextran has established a Hazard Tracking Log, which reflects the consolidation of information in the hazard management process. The Hazard Tracking log will contain all hazards identified through the methods applied by Lextran. The Hazard Tracking log will be submitted to the Accountable Executive or their designee on the 15th day after the end of the month. In addition to the Hazard Tracking Log, Lextran will maintain an ongoing Operating Hazard Analysis (OHA). The purpose of the OHA is to identify hazards associated with operation-related, safety-critical elements, which will be mitigated to their lowest acceptable levels and continually monitored to ensure no new hazards are introduced.

5.2 Safety Risk Assessment

To assess risk Lextran will identify the hazard and analyze the potential (future) events that may negatively impact individuals, assets, and or the environment. The process then determines which hazards are unacceptable based on their severity and probability of occurrence. The hazard severity, probability, and cost combination for unacceptable risks are then ranked. Lextran Management will prioritize and allocate the resources available to eliminate or correct the unacceptable hazards.

5.3 Safety Risk Mitigation

To reduce the likelihood and severity of consequences related to hazards, Lextran will employ the following risk mitigation strategies as appropriate. Hazard elimination, reduction of risk through alteration, incorporation

Lextran Agency Safety Plan 2020

of engineered features or devices, provision of warning devices, or the incorporation of signage, procedures, training, and personal protective equipment. Safety risk mitigation may include more than one measure to achieve the most acceptable result. Any employed risk mitigation measure will be monitored for its effectiveness. This will be accomplished through regular review of performance measures and event reports determining recurrence and or trends.

6 SAFETY ASSURANCE

Safety Assurance, in SMS, gives Lextran the ability to know if and how well our mitigations are working by providing essential information for data-driven informed decision making, by the collection and analysis of safety performance data, and the provision of timely safety performance information. Finally, it provides safety performance verification and validates the effectiveness of our safety risk mitigation activities.

6.1 Safety Performance Monitoring and Measurement

Safety performance monitoring and measurement involves continual monitoring of our activities to understand safety performance. This is accomplished through monitoring and evaluating adherence to operational and maintenance procedures, risk mitigations, and safety event investigation to identify causal factors and to monitor internal safety reporting programs.

6.1.1 Roles and Responsibilities
The Safety Department has the responsibility to monitor the safety performance of operations and maintenance. Safety data is collected and analyzed to determine if safety performance meets established safety goals. This data includes injuries to passengers, Safety Department personnel, and public; potentially hazardous equipment failures; unacceptable hazardous conditions, and rules and procedure violations. A closed-loop reporting system for identifying and monitoring safety-related items has been established. To close out each incident, safety verification activities and results are reviewed and audited by the Chief Safety Officer or their designee.

6.1.2 Data Acquisition process
The Safety Department is responsible for information regarding accidents, incidents, hazardous conditions, and operations obtained from several different reporting mechanisms. These include, but are not limited to: Email, text messages, accident/incident reports, daily operations reports, employee occupational injury reports. Employees are also encouraged to bring any safety-related issues to the attention of managers and supervisors.

6.1.3 Data Analysis
The tracking of data is used to identify trends. These trends are further analyzed and investigated to determine causal factors. This is accomplished by interviews with personnel in the affected department(s) and analysis of pertinent documentation. Identified hazards are submitted with corrective action recommendations or requests for corrective action development.

6.1.4 Reports
Safety performance trend and analysis reports are provided to the Safety Security Review Committee for review and discussion. All other departments receive safety trend and analysis reports relative to the area of interest. The safety trend and analysis reports are also the basis for the annual safety performance report to the Accountable Executive and Board of Directors. The annual report includes collision data, passenger and

employee injury data, injury data affecting the public, program audit findings and trends, and corrective action plans. The annual report also describes the strategies for the achievement of the stated safety and security objectives

6.1.5 Procedures Monitoring and Measuring

Procedures monitoring and measuring are initiated through the capture of safety event data, which includes collisions, injuries (employee and passengers), and near-miss occurrence for both operations and maintenance. Examples of procedures monitoring and measuring include, but are not limited to, turn procedures, mobility device securement, and distracted driving. This type of data is then captured, analyzed, and reported to affected departments.

6.1.6 Safety Risk Mitigation Monitoring and Measurement

The following activities will take place to determine if safety risk mitigations are effective, appropriate, and implemented as intended: 1) monitoring of safety performance target trends, 2) feedback from the employee safety program, 3) feedback from the public, and 4) observations.

6.1.7 Safety Event Investigations

Safety Events are investigated in the context in which they occur. Collision events are investigated by the Risk Management Department to administer protection of liability. The Safety Department evaluates the collision based upon the preventability and root cause of the event. Likewise, employee injuries, whether in service or while maintaining facilities or equipment, are investigated by the worker's compensation claims adjuster to determine compensability. The Safety Department investigates the event, in coordination with the department supervisor, to determine the root cause to prevent a recurrence.

6.1.8 Internal Programs Monitoring and Measurement

The monitoring and measurement of internal safety reporting programs are accomplished through the review and analysis of accident/incident reports, employee injury reports, and employee safety reporting. The Safety, Risk Management Process, will address any new hazard identified through this activity.

7 SAFETY PROMOTION

Safety Promotion improves safety performance by increased awareness through communication and training. It also displays continuous management commitment to communication. One of management's most important responsibilities of management is to encourage and motivate others to want to communicate openly, authentically, and without concern of reprisal. Training also documents executive management responsibilities to allocate resources to training and maintain the relationship between safety training and safety risk management and safety assurance.

7.1 Training and Certification Program

Bus Operators, Mechanics, and Service Workers all receive initial training in bus operations and then move on to occupational skill-related as well as safety-related training. Bus Operators are trained on all types of buses driven, and Mechanics receive bus-specific training. All employees receive, either through initial orientation or through refresher training, instruction on safety data sheets, severe weather, and response to emergencies such as fires, bomb threats, and evacuations.

7.2 Bus Operators

Lextran utilizes the Transit and Paratransit Company (TAPTCO) program for bus operator training. Training is conducted by the Lextran Operations Training Department, and Bus Operators receive eight weeks of initial training. The training culminates in a final evaluation trip, which starts the 90 regularly scheduled workday probationary period. After the probationary period, they become regular bus operators.

7.3 Maintenance Team Members

Maintenance personnel receive occupational safety training on various topics including, but not limited to, hazard communication, powered industrial lift trucks, the control of hazardous energy (lockout tagout), fall protection, and bloodborne pathogens.

7.4 Refresher Training

All employees receive some form of ongoing refresher training. Bus Operators may receive up to 16 hours of a refresher, including but not limited to: customer service, emergency egress, bloodborne pathogen awareness, defensive driving, farebox, and mobility device securement. Maintenance personnel receives refresher training in equipment and OSHA-required subjects on an annual basis. Specialized training may occur on an as-needed basis such as coach operation, updates to policies such as mobility devices, service animals, etc.

7.5 Contractor Training

All bus-related projects require the completion of a safety orientation before beginning work. Other requirements may apply as outlined in the Lextran Contractor Safety Program and/or Lextran Procurement guidelines.

7.6 Safety Communication

Communication of safety and safety performance information is posted on safety-dedicated bulletin boards located in common areas as well as video monitors located throughout all facilities. The safety communication boards have general safety and security bulletins posted monthly. The provided information includes, but is not limited to, general safety bulletins, seasonal hazards, ongoing traffic issues, the results of incidents, audits, and inspections at specific locations and other topics pertinent to employees' roles and responsibilities. Other communication actions include, but are not limited to, employee meetings such as tool talks and awareness activities such as safety meetings where employees receive supplemental information related to ongoing hazards. Safety actions taken in response to reports submitted through an employee safety reporting program are also communicated via the safety communication boards.

8 RECORDKEEPING

Per 49 CFR Part 673.31, Lextran must maintain the documents utilized to create the Agency Safety Plan, including those related to the implementation of the Safety Management System (SMS), and results from SMS processes and activities. Lextran must also maintain documents (e.g., procedures, plans) that are included in whole, or by reference, that describe the programs, policies, and procedures that are used to carry out the Agency Safety Plan. These documents will be made available upon request by the Federal Transit Administration or other Federal entities. All of these documents require minimum retention of three years after creation.

9 APPENDICES

9.1 Definitions of Special Terms Used in the Safety Plan

Accident means any happening or occurrence on or near a Lextran vehicle involving a passenger, another vehicle, bicycle, pedestrian, domestic animal, or stationary object which might result in a claim against Lextran. Additionally, this could result in a claim made by Lextran or result in damage to Lextran property, and any happening, occurrence, or injury to an employee.

Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency. Responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. 5326.

Chief Safety Officer 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 Chief Safety Officer may not serve in other operational or maintenance capacities unless the Chief Safety Officer 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 a potential outcome of a safety hazard

Equivalent Authority means an entity that carries out duties similar to that of a Board of Directors, for a recipient or sub-recipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient Authority to review and approve a recipient or sub recipient's Public Transportation Agency Safety Plan.

Event means any Accident, Incident, or Occurrence.

FTA means the Federal Transit Administration, an operating administration within the United States Department of Transportation.

Hazard means any real or potential condition that can cause injury, illness, or death, damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system, or damage to the environment.

Incident means an event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

Investigation means the process of determining the causal and contributing factors of an accident, incident, or hazard, to prevent recurrence and mitigating risk.

National Public Transportation Safety Plan means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.

Occurrence means an event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

Operator of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302(14).

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 set goals.

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 (FTA).

Public Transportation Agency Safety Plan means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.

Risk means the composite of predicted severity and likelihood of the potential effect of a hazard.

Risk mitigation means a method or methods to eliminate or reduce the effects of hazards.

Safety Assurance means processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Deficiency means a condition that is a source of hazards and allows the perpetuation of the 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 (SMS) 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 Management System (SMS) Executive means a Chief Safety Officer or an equivalent.

Safety performance target means a Performance Target related to safety management activities.

Safety Promotion means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

Safety risk assessment means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

Safety Risk Management means a process within a transit agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risks.

Serious injury means any injury which:
>   (1) Requires hospitalization for more than 48 hours, commencing within seven days from the date of 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.

Small public transportation provider means a recipient or sub-recipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system.

State means a State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

State of good repair means the condition in which a capital asset can operate at a full level of performance.

State Safety Oversight Agency means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations outlined in 49 CFR part 674.

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, to provide safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

9.2 List of Acronyms Used in the Safety Plan

APTA – American Public Transportation Association

ASP – Agency Safety Plan

CFR – Code of Federal Regulations

FTA – Federal Transit Administration

NTSB – National Transportation Safety Board

SMS – Safety Management System

SPT – Safety Performance Targets

SSRC – Safety Security Review Committee

MPO – Metropolitan Planning Organization

9.3 Lextran Board of Directors Resolution

9.4 Safety Management Policy Statement

MEMORANDUM

May 20, 2020

TO: Lextran Board of Directors

FROM: Carrie Butler, General Manager

SUBJECT: Approval of Lextran's 2020 Agency Safety Plan

Attached is a resolution requesting the approval of Lextran's 2020 Agency Safety Plan Program. This plan, which is a requirement of United States Code, Title 49. Transportation, Subtitle III General and Intermodal Programs, Chapter 53 Public Transportation, Section 5307 Urbanized Area Formula Grants provides that public transportation agencies prepare and maintain an agency safety plan. On July 19, 2018, Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).

This plan builds on previous version's of Lextran's Safety Management System and Health and Safety Mission Statement. The regulations also call for the designation of an Accountable Executive and a Chief Safety Officer. Carrie Butler, General Manager, is recommended to serve as the Accountable Executive with John Givens, Director of Risk Management, being recommended to serve as the Chief Safety Officer.

The plan is to be approved annually by January 31.

Budget / Source of Funds: There is no direct spend for this plan or this resolution.

If you have any questions, please call me at 255-7756.

RESOLUTION 2020-09

TRANSIT AUTHORITY OF LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT

MAY 20, 2020

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

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

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

WHEREAS, John Givens, Director of Risk Management, will serve as the Chief Safety Officer, and;

NOW, THEREFORE BE IT RESOLVED, that the Board of Directors of the Transit Authority of Lexington-Fayette Urban County Government hereby authorizes the designation of Carrie Butler, General Manager, as the Accountable Executive; and John Givens, Director of Risk Management, as the Chief Safety Officer, and hereby approves the 2020 Agency Safety Plan.

MOTION: _____   SECOND: _____

_____   _____
CHAIRPERSON   **DATE**