



SORTA/Metro  
Board Meeting  
November 14, 2023  
9:00 am-10:00 am Eastern Time

SORTA BOARD OF TRUSTEES MEETING  
TUESDAY, NOVEMBER 14TH, 2023 – 9:00 A.M  
SORTA BOARD ROOM 6th FLOOR  
525 VINE STREET,  
CINCINNATI, OHIO, 45202

**General Items:**

Call to order  
Pledge of Allegiance  
Hearings from citizens  
Chairman Update

**Action Items:**

- 1 Approval of Board Minutes: October 24th, 2023

**Finance Committee (Sonja Taylor)**

**Action Items:**

- 2 Investment of Funds Reports (Andy Aiello)
- 3 Proposed Resolution No: 2023-59: Approval of Revised 2023 Property & General Liability Insurance Coverages
  - 3.1 Action Item:
- 4 Proposed Resolution No: 2023-60: Approval of December 2023 – November 2024 Property & General Liability Insurance
  - 4.1 Action Item:

**Planning & Operations Committee (Blake Ethridge)**

**Action Item:**

- 5 Proposed Motion: Approval of OKI Board Appointment (Andy Aiello)
  - 5.1 Action Item:
- 6 Proposed Motion: Approval of Agency Safety Plan (Mike Weil)
  - 6.1 Action Item:
  - 6.2 Safety Plan:

**Consent Agenda: Procurement Matrix**

- 7 Proposed Resolution No. 2023-61: Approval of Contract Award for Enterprise Backup System
  - 7.1 Action Item:

- 8 Proposed Resolution No. 2023-62: Approval of Contract Award for Bus Stop Maintenance

8.1 Action Item:

- 9 Proposed Resolution No. 2023-63: Approval of Contract Award for Fleet Card Program

9.1 Action Item:

**Briefing Items:**

- 10 Financial Results as of October 31, 2023 (Andy Aiello)  
11 Fuel Hedging Report (Kevin Ruth)  
12 Metro on the Move (Darryl Haley)

**Other Items:**

New Business:

- 13 **Executive Session:**

“Section 121.22(G)(3) Conferences with an attorney for the public body concerning disputes involving the public body that are the subject of pending or imminent court action...”

Adjournment

The next regular meeting of the SORTA Board of Trustees is scheduled for

**Tuesday, December 12th, 2023, at 6:00 p.m.**

SORTA BOARD OF TRUSTEES  
SOUTHWEST OHIO REGIONAL TRANSIT AUTHORITY  
SORTA/METRO AT HUNTINGTON CENTER  
SORTA BOARD ROOM-6<sup>th</sup> FLOOR  
525 VINE STREET, CINCINNATI OHIO 45202

MINUTES OF: Regular Meeting of the SORTA Board of Trustees

DATE: Tuesday, October 24<sup>th</sup> 2023, 6:00 p.m.

BOARD MEMBERS PRESENT: Jay Bedi, Alyson Beridon, Tony Brice, Blake Ethridge, Rod Hinton, Kreg Keesee, Gwen Robinson, KZ Smith and Sonya Taylor

BOARD MEMBERS ABSENT: Chelsea Clark, Dan Driehaus, Trent Emenecker, Allen Freeman, Robert Harris, Pete Metz and Sara Sheets

STAFF MEMBERS: Andy Aiello, John Edmondson, Derek Flint, Patrick Giblin, Darryl Haley, Adriene Hairston, James Hubbard, Brandy Bret Isaac, Jones, Natalie Krusling, Tenecia Le'Flore, Troy Miller, Jeff Mundstock, Jason Roe, Khaled Shammout, Bill Spraul, Mike Weil and August Schweitzer

LEGAL COUNSEL: N/A

GUEST/PUBLIC PRESENT: Barbara Wolf

**CALL TO ORDER**

Mr. Keesee SORTA Board Chair, called the meeting to order.

**PLEDGE OF ALLEGIANCE**

The Pledge of Allegiance was recited.

**CEO STAR AWARD: DEREK FLINT**

Queensgate operator Derek Flint was present with a CEO star award for ensuring a toddler's safety on September 12, 2023.

**CEO STAR AWARD: MIKE WEIL AND BRET ISAAC**

Mike Weil, Senior Director of Security and Bret Isaac, Security Manager were presented with CEO star awards for the recent assistance they gave to the Cincinnati police department. Their quick thinking and conscientious actions were instrumental in the apprehension of dangerous, violent criminal.

**PUBLIC COMMENTS**

None.

**CHAIRMAN UPDATE**

None.

**APPROVAL OF SEPTEMBER 26<sup>TH</sup>, 2023 BOARD MEETING MINUTES**

Mr. Keesee made a motion that the minutes from the September 26<sup>th</sup>, 2023, board meeting be approved as previously mailed and Ms. Robinson seconded the motion.

By voice vote, the SORTA Board approved the minutes.

**FINANCE COMMITTEE**

Ms. Taylor reported on the Finance Committee meeting held on October 17<sup>th</sup> 2023, and there were items(s) to present for Board Approval.

**PLANNING AND OPERATIONS COMMITTEE**

Mr. Ethridge reported on the Planning and Operations Committee meeting held on October 17<sup>th</sup> 2023, and there were items(s) to present for Board Approval.

**PROPOSED MOTION: CONTRACT MODIFICATION FOR SS81-2022 FOR DINSMORE LEGAL SERVICES – DINSMORE, LLP.**

Mr. Keesee moved for adoption and Mr. Hinton seconded the motion. The contract modification approves a 1-year contract with Dinsmore & Shohl, LLC at an additional cost of \$180,000 bringing the total cost to \$430,000 for legal services.

By roll call, the SORTA Board approved the motion.

**PROPOSED RESOLUTION 2023-49: APPROVAL OF CONTRACT AWARD FOR QUEENSGATE FACILITY COLUMN REPAIRS**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a three (1) year contract with John Cecil Construction, LLC. for facility column repairs, at a total cost not to exceed \$211,546.

By roll call, the Board approved the resolution.

**PROPOSED RESOLUTION 2023-50: APPROVAL OF CONTRACT AWARD FOR PRE-EMPLOYMENT BACKGROUND CHECK SERVICES**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a three (5) year contract with ClearStar, Inc. for pre-employment background checks, at a total cost not to exceed \$450,168.

By roll call, the Board approved the resolution.

**PROPOSED RESOLUTION 2023-51: APPROVAL OF CONTRACT AWARD FOR PUBLIC ANNOUNCEMENT REPLACEMENT AT QUEENSGATE AND BOND HILL**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a three (1) year contract with Security 101 for new facilities public announcement system, at a total cost not to exceed \$358,800.

By roll call, the Board approved the resolution.

**PROPOSED RESOLUTION 2023-52: APPROVAL OF CONTRACT AWARD FOR SERVICE QUALITY MONITORING**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a three (3) year contract with C Robinson Associates, Inc. for service quality monitoring, at a total cost not to exceed \$174,750.

By roll call, the Board approved the resolution.

**PROPOSED RESOLUTION 2023-53: APPROVAL OF CONTRACT AWARD FOR BUS PUSHER VEHICLES**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a three (4) year contract with Kirk's Automotive, Inc. for bus pusher vehicles, at a total cost not to exceed \$239,345.

By roll call, the Board approved the resolution.

**PROPOSED RESOLUTION 2023-54: APPROVAL OF CONTRACT AWARD FOR ONBOARD CUSTOMER SURVEY**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a three (9 month) contract with C Robinson Associates, Inc. for onboard customer survey, at an additional cost of \$30,000 bringing the total cost not to exceed \$118,400.

By roll call, the Board approved the resolution.

**PROPOSED RESOLUTION 2023-55: APPROVAL OF CONTRACT AWARD FOR ELECTRICAL SERVICES JOB ORDER CONTRACT**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a three (3) year contract with Cincy Electrical Solutions, LLC. for electrical services, at a total cost not to exceed \$2,573,206.

By roll call, the Board approved the resolution.

**PROPOSED RESOLUTION 2023-56: APPROVAL OF VEHICLE DIGITAL DISPLAY SIGNS**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a three (3) year contract with Message Point Media for vehicle digital display signs, at a total cost not to exceed \$3,579,230.

By roll call, the Board approved the resolution.

**PROPOSED RESOLUTION 2023-57: APPROVAL OF CONTRACT AWARD FOR STREET SWEEPER SERVICE VEHICLE**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a contract with TYMCO Inc. for a street sweeper service vehicle, at a total cost not to exceed \$137,084.

By roll call, the Board approved the resolution.

**PROPOSED RESOLUTION 2023-58: APPROVAL OF CONTRACT AWARD FOR RADIO TOWER LEASE**

Mr. Keesse moved for adoption and Mr. Hinton seconded the motion. This resolution approves a three (25) year contract with Crown Castle International for a radio tower lease, at a total cost not to exceed \$270,000.

By roll call, the Board approved the resolution.

**EMPLOYEE RELATIONS COMMITTEE**

Ms. Robinson reported on the Employee Relations Committee meeting held on October 17<sup>th</sup> 2023, and there were items(s) to present for Board Approval.

**PARATRANSIT COORDINATION COMMITTEE**

Mr. Keesee reported on the Paratransit Coordination Committee meeting held on October 19<sup>th</sup> 2023, and there were items(s) to present for Board Approval.

**LABOR COMMITTEE**

Mr. Keesee reported on the Labor Committee meeting held on October 19<sup>th</sup> 2023, and there were items(s) to present for Board Approval.

**FINANCIAL REPORTS AS OF SEPTEMBER 30<sup>ST</sup>, 2023**

Mr. Aiello presented the September financial results. Total revenues were \$24.1 million, which was favorable to budget by \$3.3 million. Total expenses were \$11.8 million, which is favorable to budget by \$954,000. Surplus/Deficit was \$12.4 million, which was favorable to budget by \$5.2 million. Ridership was 1.206 million, which is favorable to budget by 224 thousand. Mr. Aiello then reviewed the contributing factors to these variances.

The SORTA Board accepted the report as presented.

**METRO ON THE MOVE REPORT**

Mr. Haley presented the Metro on the Move report. His report included: The Survey Says, Operator Recruitment Up, Metro Awarded ODOT Grant, Free Rides on Election Day, Honors & Recognitions and Driving What Matters. He then concluded his report.

**NEW BUSINESS**

N/A

**ADJOURNMENT**

The meeting adjourned at 6:48 p.m.

**NEXT MEETING**

The next regular meeting of the SORTA Board of Trustees has been scheduled for  
**November 14<sup>th</sup>, 2023, at 6:00 P.M.**  
the SORTA/Metro Board Room, at 525 Vine Street, Cincinnati, Ohio.

APPROVED:



Kreg Keesee  
Chair, SORTA Board

ATTESTED:



Darryl Haley  
CEO/General Manager/Secretary-Treasurer



**Investment of Funds Report**  
**October 31, 2023**

	Principal Amount	10/31/2023 Yield	Security Days	Days to Maturity
<u>Overnight Investments</u>				
STAR Ohio	\$151,606,271	5.57%		
Fifth Third Bank Concentration Account	\$262,679	0.00%		
Subtotal Overnight Investments / Average Rate	<u>\$151,868,950</u>	5.56%		
<u>Securities &amp; CD's</u>				
Fifth Third Bank Custody Account:				
Agency Bond	\$12,479,613	2.40%		
Certificate of Deposit	\$992,327	0.76%		
U.S. Treasury Bond	\$4,535,851	2.18%		
U.S. Treasury Note	\$16,296,850	1.44%		
Subtotal Securities & CD's / Weighted Yield / Maturity	<u>\$34,304,641</u>	1.87%	610	646
<b>Total All Securities (10/31/2023) / Weighted Yield</b>	<u><b>\$186,173,591</b></u>	4.91%		
<b>Total All Securities (9/30/2023) / Weighted Yield</b>	<u><b>\$188,515,448</b></u>	4.87%		
Funds provided by (required for) Operations during October	(\$1,714,611)		Monthly Investment Income \$	808,547
Funds provided by (required for) Capital during October	<u>(\$627,246)</u>		Year to Date Investment Income \$	5,917,242
Change in Cash during October 2023	<u><u>(\$2,341,857)</u></u>			

Note: Total All Securities (10/31/2022) \$119,264,750

Reviewed and Approved by:

Darryl Haley  
Chief Executive Officer



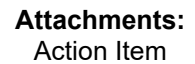
**Infrastructure Investment of Funds Report**  
**October 31, 2023**

	Principal Amount	10/31/2023 Yield	Sec Days	Days to Maturity
<u><b>Overnight Investments</b></u>				
STAR Ohio	\$66,495,997	5.57%		
Trust Account/Fed Govt Oblig Issue Money Market Fund	\$69,940	5.22%		
Fifth Third Bank Infrastructure Account	\$42,552	0.00%		
Subtotal Overnight Investments / Average Rate	<u>\$66,608,489</u>	<u>5.57%</u>		
<u><b>Securities &amp; CD's</b></u>				
Fifth Third Bank Custody Account:				
Agency Bond	15,129,357.45	3.79%		
Commercial Paper	\$957,857	5.89%		
U.S. Treasury Bond	\$5,235,693	1.82%		
U.S. Treasury Note	\$12,539,047	3.65%		
Subtotal Securities & CD's / Weighted Yield / Maturity	<u>\$33,861,954</u>	<u>3.43%</u>	485	515
<b>Total All Securities (10/31/2023) / Weighted Yield / Maturity</b>				
	<u><u>\$100,470,443</u></u>	4.85%		
<b>Total All Securities (9/30/2023) / Weighted Yield / Maturity</b>				
	<u><u>\$97,361,963</u></u>	4.75%		
Funds provided by (required for) Tax Receipts during October	\$ 3,627,922		Monthly Investment Income \$	448,678
Funds provided by (required for) Payouts during October	<u>\$ (519,442)</u>		Year to Date Investment Income \$	3,241,608
Change in Cash during October 2023	<u><u>\$ 3,108,480</u></u>			

Note: Total All Securities (10/31/2022) \$65,261,426

Reviewed and Approved by:

Darryl Haley  
 Chief Executive Officer



MOVED BY:	Blake Ethridge	SECOND BY:	Pete Metz
VOTE Aye:	Mr. Driehaus, Mr. Ethridge, Mr. Harris, Mr. Hinton, Mr. Keesee, Mr. Metz, Ms. Robinson, Ms. Sheets and KZ Smith		
Nay:	None		
Abstain:	None		
ABSENT AT THE TIME:	Ms. Clark, Ms. Beridon, and Ms. Taylor		
PRESENT NON-VOTING MEMBERS:	Mr. Ememeker		
ABSENT NON-VOTING MEMBERS AT THE TIME:	Mr. Bedi and Mr. Freeman		
APPROVED:	November 14 <sup>th</sup> , 2023		



## **BOARD OF TRUSTEES ACTION ITEM**

---

**DATE:** November 7, 2023

**FROM:** Julia Beard, Director of Accounting

**PROJECT NO.:** 30-2023 Property & General Liability Insurance 2023 Coverages – Ohio Transit Risk Pool (OTRP)

**REQUEST:** Contract Modification

---

### **BACKGROUND**

SORTA has a program in place for liability insurance covering: general liability, automobile liability, public officials' liability, cyber liability, and crime with OTRP. This policy is effective December 1, 2022 – November 30, 2023. As part of this coverage OTRP has also been settling claims for SORTA for current and prior years that are still unresolved.

Insurance coverage has been provided by Ohio Transit Risk Pool for the past year.

### **BUSINESS PURPOSE**

OTRP has been working diligently to settle any outstanding claims from current and prior years. They have been able to settle as of August 31, 2023, over \$566,000 worth of claims which exceeds our budgeted amount for 2023. Additional funding is needed to fund these settlements for part of third quarter (June – August 2023) and all of the fourth quarter (September – November 2023).

### **PROJECT FINANCING**

The not-to-exceed amount for the claims settlements for this policy was approved at \$480,000, a budgeted local operating expense. The modification amount of \$500,000 is an unbudgeted local operating expense. This modification would cover actual claims for the third quarter and projected claims for the fourth quarter.

### **PROJECT PROCUREMENT**

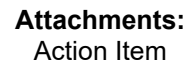
Section 306.43 of the Ohio revised Code authorizes SORTA to contract for the provision of goods and services.

### **PROJECT DIVERSITY**

As this is a modification to an existing contract for insurance coverage, no vendor diversity analysis has been performed and no goal established.

### **RECOMMENDED BOARD ACTION**

Staff recommends the Board of Trustees approve a resolution authorizing the CEO/General manager/Secretary-Treasurer or the Senior Director of Procurement to execute a modification to Contract No. 30-2023 on behalf of SORTA with OTRP, increasing the total not to exceed value from \$1,706,185.72 to \$2,206,185.72, an increase of \$500,000.



MOVED BY:	Blake Ethridge	SECOND BY:	Pete Metz
VOTE Aye:	Mr. Driehaus, Mr. Ethridge, Mr. Harris, Mr. Hinton, Mr. Keesee, Mr. Metz, Ms. Robinson, Ms. Sheets and KZ Smith		
Nay:	None		
Abstain:	None		
ABSENT AT THE TIME:	Ms. Clark, Ms. Beridon, and Ms. Taylor		
PRESENT NON-VOTING MEMBERS:	Mr. Ememeker		
ABSENT NON-VOTING MEMBERS AT THE TIME:	Mr. Bedi and Mr. Freeman		
APPROVED:	November 14 <sup>th</sup> , 2023		

---

**BOARD OF TRUSTEES ACTION ITEM**

---

**DATE:** November 7, 2023  
**FROM:** Julia Beard, Director of Accounting  
**PROJECT NO.:** 2024 Property, General Liability, Riverfront Transit Center Insurance Coverages and Shock Loss Funding – Ohio Transit Risk Pool (OTRP)  
**REQUEST:** Contract Award

---

**BACKGROUND**

SORTA is required to have a program in place for liability insurance covering: General Liability, Automobile Liability, Public Officials' Liability, Cyber Liability, and Crime. In an effort to mitigate identified risks, SORTA requires property insurance with coverage for direct physical loss or damage. SORTA also has the responsibility to provide Flood Insurance coverage for the Riverfront Transit Center. SORTA is also required to maintain a Shock Loss Fund as a member of OTRP equal to one year of contributions.

SORTA has been a member of OTRP for the last 2 years.

**BUSINESS PURPOSE**

In an effort to mitigate identified risks, SORTA staff is requesting continuing membership in the Ohio Transit Risk Pool for a liability program covering these areas: General Liability, Automobile Insurance, Public Officials Liability, Cyber Liability and Crime, Property, and Flood Insurance for Riverfront Transit Center. SORTA staff is also requesting additional monies to fully fund our OTRP revised Shock Loss Fund amount for 2024. OTRP will also provide a detailed actuarial study on our Claim Reserves during 2024.

**PROJECT FINANCING**

The budget for this Annual Coverage, Claims Settlements, Actuarial Study, and Shock Loss Funding is \$1,828,937.65 and covers the period of December 1, 2023 – November 30, 2024

The Liability Insurance Coverage is a twelve (12) month program with coverage for General Liability (includes Cyber and Crime), Automobile Liability, Riverfront Transit Center Flood Insurance, and Public Officials' Liability with a total expenditure of \$1,283,986.69. Riverfront Transit Center Flood Insurance will be reimbursed by the City of Cincinnati as part of operating expenses.

The Property Insurance coverage is for physical loss, or damaged at a total cost not to exceed \$483,345.00.

Shock Loss Funding for the twelve (12) month program will be at a total cost not to exceed \$53,605.96.

Actuarial Study of Claim Reserves will be \$8,000.00.

The expenditures have been budgeted for 2024 and will be funded with local funds.

**PROJECT PROCUREMENT**

Section 306.43 of the Ohio revised Code authorizes SORTA to contract for the provision of goods and services.

**PROJECT DIVERSITY**

No vendor diversity analysis has been performed and no goal established.

**RECOMMENDED BOARD ACTION**

Staff recommends the Board of Trustees approve resolution authorizing the CEO/General Manager to execute a one (1) year policy with the Ohio Transit Risk Pool on behalf of SORTA for General liability insurance, and Flood Insurance for Riverfront Transit Center for the period of December 1, 2023 – November 30, 2024, at a cost not to exceed \$1,283,986.69, in addition to Property Insurance for the same period not to exceed \$ 483,345.00. We also request approval for funding for Shock Loss Contribution and Actuarial Study performed by OTRP not to exceed \$50,000.00 and \$8,000.00 respectively.

[illegible]



# RISK

2024 Ohio Transit Risk Pool Draft Budget

As of: 12/1/2023

## Invoicing Summary

### Southwest Ohio Regional Transit Authority

Member since 2020

#### Deductible Summary

<u>Liability</u>	<u>APD &amp; Commercial Property</u>	<u>Crime</u>
\$1,000,000.00	\$25,000.00	\$1,000.00

#### Regular Contributions<sup>1</sup>

Date	Invoice	Amount
12/1/2023	Excess Coverage	\$ 505,347.69
12/1/2023	Actuarial Work	\$ 8,000.00
12/1/2023	Flood RTC	\$ 50,000.00
12/1/2023	Quarter 1 Contribution	\$ 182,996.00
3/1/2024	Quarter 2 Contribution	\$ 182,996.00
6/1/2024	Quarter 3 Contribution	\$ 182,996.00
9/1/2024	Quarter 4 Contribution	\$ 182,996.00
Total		\$ 1,295,331.69

Please indicate to staff if you wish to be invoiced monthly

#### Estimated<sup>2</sup> Deductible Invoicing

Date	Amount
2/28/2024	\$ 120,000.00
5/31/2024	\$ 120,000.00
8/31/2024	\$ 120,000.00
11/30/2024	\$ 120,000.00
Estimated Total	\$ 480,000.00

#### Estimated<sup>3</sup> Shock Loss Contributions for 2024

Current Balance	Minimum Required	Maximum Allowed
\$ 1,181,418	\$ 1,237,332	\$ 7,423,990

Payment Plan: \$ 53,605.96

## Estimated Total Cost for 2024: \$ 1,828,937.65

<sup>1</sup>OTRP is required to pay some amounts in a single payment to carriers. All other amounts are accrued by OTRP throughout the year and are thereby invoiced quarterly to our members to match.

<sup>2</sup>Deductible invoices are dependent upon claims occurring within a member's deductible liabilities. Actual claim experience will be invoiced during the fiscal year. The numbers shown herein are provided as a convenience for budgeting purposes and are based upon your selected deductible structure and prior claims paid.

<sup>3</sup>OTRP has adopted a surplus policy requiring members to keep 1 time their annual contribution but may keep up to 6 times on account. This estimate is based upon your current balance within shock loss desired additional funding or pre-approved payment plan.

BOARD OF TRUSTEES  
SOUTHWEST OHIO REGIONAL TRANSIT AUTHORITY  
MOTION

APPROVAL OF APPOINTMENT TO OKI BOARD

I move that Darryl Haley be appointed as SORTA's representative to the OKI Board of Trustees and Khaled Shammout as the alternate.

\*\*\*\*\*

MOVED BY:	Blake Ethridge	SECOND BY:	Pete Metz
VOTE Aye:	Mr. Driehaus, Mr. Ethridge, Mr. Harris, Mr. Hinton, Mr. Keesee, Mr. Metz, Ms. Robinson, Ms. Sheets and KZ Smith		
Nay:	None		
Abstain:	None		
ABSENT AT THE TIME:	Ms. Clark, Ms. Beridon, and Ms. Taylor		
PRESENT NON-VOTING MEMBERS:	Mr. Ememeker		
ABSENT NON-VOTING MEMBERS AT THE TIME:	Mr. Bedi and Mr. Freeman		
APPROVED:	November 14 <sup>th</sup> , 2023		



---

## BOARD OF TRUSTEES ACTION ITEM

---

**DATE:** November 2023

**FROM:** Andy Aiello, Chief of Staff

**PROJECT NO.:**

**REQUEST:** Approval of Appointment to OKI Board

---

### **BACKGROUND**

The Ohio-Kentucky-Indiana Regional Council of Governments (OKI) is a council of local governments, businesses and community groups that develop strategies to improve the quality of life and the economic vitality in the region.

### **BUSINESS PURPOSE**

The term of SORTA's current representative on the Ohio-Kentucky-Indiana Regional Council of Government (OKI)'s Board of Directors for 2023 expire upon convening the Board of Directors of the Council in January 2024.

The OKI Articles of Agreement require that persons representing counties, cities, townships, or planning agencies must be selected by the governing body of that organization.

Representatives on the OKI Board of Directors is not a commitment to fund OKI. The purpose of location representation on OKI is to assure that work on behalf of the region is responsive to local needs.

### **PROJECT FINANCING**

None

### **PROJECT PROCUREMENT**

None

### **PROJECT DIVERSITY**

None

### **RECOMMENDED BOARD ACTION**

Approval of a motion that appoints Darryl Haley as SORTA's representative to the OKI Board of Trustees and Khaled Shammout as the alternate.

BOARD OF TRUSTEES  
SOUTHWEST OHIO REGIONAL TRANSIT AUTHORITY  
MOTION

APPROVAL OF AGENCY SAFETY PLAN

I move that the SORTA Board approve the Agency Safety Plan.

\*\*\*\*\*

MOVED BY: Blake Ethridge

SECOND BY: Pete Metz

VOTE Aye: Mr. Driehaus, Mr. Ethridge, Mr. Harris, Mr. Hinton, Mr. Keesee, Mr. Metz, Ms. Robinson, Ms. Sheets and KZ Smith

Nay: None

Abstain: None

ABSENT AT THE  
TIME: Ms. Clark, Ms. Beridon, and Ms. Taylor

PRESENT NON-  
VOTING  
MEMBERS:

Mr. Ememeker

ABSENT NON-  
VOTING  
MEMBERS AT  
THE TIME:

Mr. Bedi and Mr. Freeman

APPROVED: November 14<sup>th</sup>, 2023



Southwest Ohio Regional Transit Authority

Agency Safety Plan

525 Vine Street, Suite 500, Cincinnati Ohio 45202



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 2 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

### Approvals

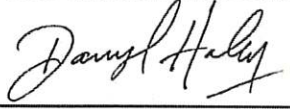
#### Approval by the Joint Safety Committee

This plan was approved by the **Safety Committee** for the Southwest Ohio Regional Transit Authority on **10/11/2023** and reflected in the official approved Safety Committee Minutes. A copy of the Minutes is available in the safety office.

#### Approval by the Board of Trustees

This plan was approved by the **Board of Trustees** for the Southwest Ohio Regional Transit Authority on **11/??/2023** and reflected in the official, approved board minutes. A copy of the Board Action Item is contained in the Appendices.

#### Signature by the Accountable Executive

CEO, Name  Date 10/30/23



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 3 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

### Change Record

Revision Number	Date	Responsible Person	Description of Change
0	12/17/19	TJ Thorn	New document
1	12/28/20	TJ Thorn	Annual review, updated physical address of headquarters, updated header from "Issue date" to "Original issue date", updated Section 1.1 Background including board makeup, updated Table 3-1 SPT (reliability & safety), revised references to hazard log to incorporate "risk register", replaced Hazard Management Plan reference with Safety Risk Management Plan reference, corrected various typos
2	12/16/21	Mike Weil	Section 3.1 Safety Performance Targets updated, "Original Issue Date" to "Issue Date" for sake of annual review. Section 4.3 Employee Safety Reporting System updated to include <a href="mailto:safety@go-metro.com">safety@go-metro.com</a>
3	11/9/22	Mike Weil	Updated to reflect changes in the Bipartisan Infrastructure Law / Infrastructure and Investment Jobs Act (IIJA), 49 CFR 673 – Final Rule. ASE training modules and receive .40 cents per hour additional pay for each ASE certification achieved.
4	10/9/23	Mike Weil	Annual review and updated issue date. 1.1 Updated fleet size, 1.7 added Metro-Now, 3.1 NTD Safety Performance Targets.



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 4 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

--	--	--	--

## Table of Contents

1	Transit Agency Information .....	7
1.1	Background.....	7
1.2	Applicability.....	7
1.3	Policy .....	8
1.4	Transition from SSPP to ASP.....	8
1.5	Safety Management System (SMS) Implementation.....	8
1.6	Accountable Executive, Board of Trustees and Safety Committee approvals.....	9
1.7	Modes Covered by this Plan.....	9
2	Safety Plan Development, Update and Certification .....	9
2.1	ASP Review Schedule .....	9
2.2	ASP Control and Update Procedure .....	10
2.3	ASP Review and Approval by SORTA Board of Trustees .....	10
2.4	ASP Change Management.....	10
2.5	Compliance.....	10
3	Safety Performance Targets .....	10
3.1	Development.....	10
3.2	Coordination with the Metropolitan Planning Organization (MPO) and non-metropolitan planning organizations.....	11



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 5 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

4	Safety Management Policy .....	11
4.1	Safety Management Policy Statement.....	12
4.2	Safety Management Policy Communication .....	12
4.3	Employee Safety Reporting System .....	12
4.4	Authorities, Accountabilities, and Responsibilities.....	13
4.4.1	Accountable Executive.....	13
4.4.2	Chief Safety Officer .....	13
4.4.3	Agency Leadership and Executive Management.....	13
4.4.4	Key Staff .....	14
4.4.5	Safety Security Review Committee.....	14
4.4.6	Safety Committee .....	14
5	Safety Risk Management (SRM) .....	14
5.1	Safety Hazard Identification .....	15
5.2	Safety Risk Assessment .....	15
5.3	Safety Risk Mitigation.....	16
6	Safety Assurance.....	16
6.1	Safety Performance Monitoring and Measurement.....	16
6.1.1	Roles and Responsibilities.....	16
6.1.2	Data Acquisition process.....	17
6.1.3	Data Analysis .....	17
6.1.4	Reports.....	17
6.1.5	Procedures Monitoring and Measuring.....	18
6.1.6	Safety Risk Mitigation Monitoring and Measurement .....	18



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 6 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

6.1.7	Safety Event Investigations .....	18
6.1.8	Internal Programs Monitoring and Measurement .....	18
6.2	Management of Change .....	19
6.3	Continuous Improvement .....	19
7	Safety Promotion .....	20
7.1	Training and Certification Program .....	20
7.2	Bus Operators .....	20
7.3	Maintenance .....	20
7.4	Refresher Training .....	21
7.5	Contractor Training .....	21
7.6	Safety Communication .....	21
8	Recordkeeping .....	22
9	References .....	22
10	Appendices .....	22
10.1	Definitions of Special Terms Used in the Safety Plan .....	22
10.2	List of Acronyms Used in the Safety Plan .....	26
10.3	Board Action Item .....	27
10.4	Safety Management Policy Statement (signed) .....	27



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 7 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

## 1 Transit Agency Information

### 1.1 Background

SORTA, which operates Metro Fixed Route Bus service and Access Paratransit service is governed by a 16-member volunteer citizens' board of trustees. Seven trustees are appointed by Hamilton County and six by the City of Cincinnati and include representation from Metro bus riders, the business community, and organized labor. Three non-voting members represent Butler, Clermont, and Warren counties where SORTA operates commuter services. SORTA's primary funding source is derived from the Hamilton County sales tax levy approved by voters in May 2020.

Metro is Southwest Ohio's fixed-route bus service, which serves Hamilton County residents in addition to providing commuter routes from Clermont, Butler, and Warren counties into Cincinnati. Metro is a non-profit, tax-funded public service of the Southwest Ohio Regional Transit Authority (SORTA), providing about 12.1 million rides per year in the Greater Cincinnati area. Metro operates approximately 310 buses out of two operating divisions, Queensgate on the west side of Cincinnati and Bond Hill to the east.

Access is a shared-ride public transportation service, providing origin-to-destination transportation in small buses for people whose disabilities prevent them from riding Metro buses. Access operates approximately 50 Access vehicles and 14 Metro Now vehicles out of our garage located on the border of Norwood and the City of Cincinnati. Access and Metro operate 7 days per week.

### 1.2 Applicability

As a recipient of funds under 49 U.S.C. 5307 the Southwest Ohio Regional Transit Authority (SORTA) is required to develop a Public Transit Agency Safety Plan or ASP. This document will serve as the ASP for SORTA.



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 8 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

### 1.3 Policy

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

### 1.4 Transition from SSPP to ASP

The Southwest Ohio Regional Transit Authority previously utilized a System Safety Program Plan (SSPP), which documented the overall safety program for Metro fixed route bus service. That SSPP was previously approved by the Board of Trustees and was constituted by 21 elements which 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, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). The 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 rule by July 20, 2020. The plan must be updated and certified by the transit agency annually.

As of approval and certification of this Plan SORTA 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 Safety Management System, the Authority has taken a four-phase approach based upon a continuous improvement cycle of Plan, Do, Check, Act. Within these four phases, there are 29 identified tasks. To aid in implementation and annual reviews, SORTA has created an Excel Workbook for the Gap Analysis Tool for Implementing SMS (G.A.T.I.S.). 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



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 9 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

Implementation Plan tab. The Safety & Security Department is responsible for leading implementation with assistance from the Safety Security Review Committee (SSRC) which also serves as the SMS implementation team.

### 1.6 Accountable Executive, Board of Trustees and Safety Committee approvals

In accordance with 49 U.S.C. 5329(d)(1)(A) the Accountable Executive, SORTA Board of Trustees and the SORTA Safety Committee must approve this plan. This will be accomplished via signature of the Accountable Executive, which will be affixed to this Plan, by formal Board of Trustees Motion and majority vote of the Safety Committee. A copy of that Motion and Safety Committee minutes will be included in the Appendices of this document. Additionally, the ASP will be submitted for approval to the Accountable Executive, Board of Trustees and Safety Committee annually.

### 1.7 Modes Covered by this Plan

This ASP covers Metro Fixed Route Bus, Access Paratransit service and Metro Now.

## 2 Safety Plan Development, Update and Certification

This Plan was developed by the Safety Department of SORTA in accordance with 49 U.S.C. 5329(d)(1)(A) (including the bipartisan infrastructure bill) and will be certified as compliant 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 SORTA Board of Trustees.

### 2.1 ASP Review Schedule

The ASP will be reviewed annually and submitted to the SORTA Board of Trustees and SORTA Safety Committee for review and approval prior to December 31.



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 10 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

### 2.2 ASP Control and Update Procedure

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

### 2.3 ASP Review and Approval by SORTA Board of Trustees

In accordance with 49 U.S.C. 5329 (d)(1)(A) the SORTA Board of Trustees and SORTA Safety Committee is required to review and approve the ASP as well as any updates to the ASP.

### 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 changes for submittal to the Board of Trustees annually.

### 2.5 Compliance

This Plan is certified compliant to the requirements of 49 CFR Part 673 by the Southwest Ohio Regional Transit Authority by signature and date of the Accountable Executive and by approval by the Board of Trustees and SORTA Safety Committee.

## 3 Safety Performance Targets

### 3.1 Development

Safety Performance Measures aid SORTA in monitoring performance. Safety performance measures also focus on improving safety performance through the reduction of safety events, including vehicular and pedestrian accidents, fatalities, injuries, and assaults on transit workers as outlined in the bipartisan infrastructure law. It should be noted that these performance targets are set using a 3-year rolling average based on data submitted to the National Transit Database (NTD) and in accordance with the National Public Transportation Safety Plan.



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 11 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

Table 3-1 SPT

Mode of Transit Service	Fatalities (Total)	Fatalities (Rate)	Injuries (Total)	Injuries (Rate)	Safety Events (Total)	Safety Events (Rate)	Assaults (Rate)
Fixed Route	0	.000	37	.301	49	.398	*NA
Paratransit	0	0.00	5	.346	7	.485	*NA

\*NTD started defining/collecting assault data in 2023.

Failure to meet performance targets will result in a "Safety Set Aside". This set aside will amount to 0.75 percent of those assistance funds for safety related projects eligible under 5307, including projects likely to assist in meeting performance targets, such as modifications to rolling stock and de-escalation training. These funds will be applied to the next fiscal year.

Note: Rates are calculated as occurring per 100,000 revenue miles.

### 3.2 Coordination with the Metropolitan Planning Organization (MPO) and non-metropolitan planning organizations

Annually the Southwest Ohio Regional Transit Authority will create Safety Performance and State of Good Repair Measures and Targets for Metro Bus Fixed Route service and Access paratransit service based upon the principle of continuous improvement. To aid in the planning process for both the State of Ohio and the local Metropolitan Planning Organization, these measures and targets will be available upon request and transmitted to the MPO via electronic communication to the Ohio Kentucky Indiana (OKI) Regional Council of Governments and Ohio Department of Transportation (ODOT) Office.

## 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



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 12 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

functions. Furthermore, it provides direction for effective safety risk management, assurance, and promotion. Lastly, it helps ensure sufficient resources are provided

#### 4.1 Safety Management Policy Statement

The overarching safety goal of the Southwest Ohio Transit Authority (SORTA) is to provide the safest possible environment for our employees, passengers, and the public with which we interact. To accomplish this, we will dedicate the needed resources to ensure the safest possible service delivery to our community. All levels of management and all employees (and contractors) are accountable for delivering the highest level of safety performance, starting with the Board of Trustees, Executives, Directors, Managers, Supervisors, employees, and contractors.

SORTA 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 dangers and risks can be mitigated or eliminated. To that end, SORTA 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 ever be disciplined for reporting safety hazards or events.

#### 4.2 Safety Management Policy Communication

This Safety Management Policy Statement is communicated to the Board of Trustees and SORTA Safety Committee via the annual review and approval process. It is also communicated to employees using communication boards located at each of the facilities, as well as on our website at [www.go-metro.com](http://www.go-metro.com). An employee may also request a printed copy through the Metro Safety Department. A signed copy of the Safety Management Policy Statement is contained in the Appendices.

#### 4.3 Employee Safety Reporting System

SORTA 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 Condition Report,



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 13 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

Employee Safety Concern form, and via electronic communication directly to the Metro Safety Department [safety@go-metro.com](mailto:safety@go-metro.com). The Public may report concerns to the customer service department, who will notify Metro Safety and log the concerns in their communications log software. To close the feedback loop, SORTA 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 Chief Executive Officer/General Manager serves as the Accountable Executive for the Southwest Ohio Regional Transit Authority 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 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, Board of Directors and SORTA Safety Committee on SMS implementation progress; and planning safety management training. The Chief Safety Officer will be adequately trained, continuing safety training, and training in de-escalation. Adequate training is defined as having completed or in the process of completing the Public Transportation Safety Certification Training Program (PTSCTP) for Bus and be a graduate of an accredited University or College.

### 4.4.3 Agency Leadership and Executive Management

In addition to the CEO/GM, who serves as the Accountable Executive, and the Senior Director of Safety and Security, who serves as the Chief Safety Officer, the SORTA Executive Management Team have authority and responsibility for day-to-day implementation of the Safety Management System for the Authority.



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 14 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

#### 4.4.4 Key Staff

The Safety and Security 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, engineering, planning, operations, and maintenance. The committee chair is the Chief Safety Officer, and the co-chair is the Manager of Security. For more detailed information about the SSRC, please refer to the SORTA Safety Security Review Committee procedure.

#### 4.4.6 Safety Committee

The safety committee consists of an equal number of management employees appointed by the CFO and frontline employees selected by the union. The committee is tasked with identifying and recommending risk-based mitigations to reduce the likelihood and severity of consequences identified through the safety risk assessment. The committee will also identify strategies that may be ineffective, inappropriate, or not implemented as intended for the purpose of continuous improvement.

## 5 Safety Risk Management (SRM)

SRM is an essential process within SORTA's SMS for identifying hazards and analyzing, assessing, and mitigating safety risks including strategies to minimize the exposure of the public, personnel, and property to communicable diseases. SORTA complies with all guidelines from the CDC and state health authorities to minimize exposure. 49 CFR Part 673 requires SORTA to develop and implement an SRM process for all system modes. Part 673 also requires the following three elements to establish and implement a process for managing safety risk:



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 15 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

Hazard identification, Risk assessment, and Risk mitigation. Descriptions of those elements are in the following subsections.

### 5.1 Safety Hazard Identification

Sources of Effective Hazard Identification include training on proper identification, 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), equipment condition assessments, 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.

SORTA has established a Risk Register reflecting the consolidation of information in the SRM process. The Risk Register will contain all hazards identified through the methods applied by SORTA. In addition to the Risk Register, SORTA 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 hazard. For more information, see the Safety Risk Management Plan (OSS-SOP-2002)

### 5.2 Safety Risk Assessment

To assess risk, SORTA has adopted an assessment process based on Military Standard 882-E. The process codifies the hazard severity, probability of occurrence, and the cost of eliminating or controlling the hazard and rates each element using established hazard rating tables. The process then determines which hazards are unacceptable or undesirable based on their severity and probability of occurrence. The hazard severity, probability, and cost combination for unacceptable and undesirable risk are ranked on a Hazard Priority Rating Table. Subsequently, Management can prioritize and allocate the resources available to eliminate or correct the unacceptable and undesirable hazards. For information about the safety risk assessment process, see the Safety Risk Management Plan.



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 16 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

### 5.3 Safety Risk Mitigation

To reduce the likelihood and severity of consequences related to hazards, SORTA will employ the following risk mitigation strategies as appropriate: hazard elimination, reduction of risk through alteration, incorporation of engineered features or devices, provision of warning devices or the incorporation of signage, procedures, training, and personal protective equipment. This includes measures to reduce visibility impairments contributing to accidents, including pedestrian accidents, and barriers to reduce operator assaults. Safety risk mitigation may include more than one measure to achieve the most acceptable result. Management will monitor any employed risk mitigation monitor for its effectiveness. Additionally, management regularly review performance measures and event reports to determine reoccurrence and (or) trends.

## 6 Safety Assurance

Safety Assurance, in SMS, gives SORTA the ability to know if and how well our mitigations are working by providing critical 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 involve continuous monitoring of our activities to understand safety performance. Safety Performance is accomplished through monitoring and evaluating adherence to operational and maintenance procedures, risk mitigations, and safety event investigation to identify causal factors and monitoring internal safety reporting programs.

#### 6.1.1 Roles and Responsibilities

The Safety and Security Department is responsible for monitoring 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



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 17 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

and Security Department personnel, public; potentially hazardous equipment failures; unacceptable hazardous conditions, and rules and procedure violations. The Safety and Security Department established a closed-loop reporting system for identifying and monitoring safety-related items. The Chief Safety Officer or his/her designee will verify safety activities and review and audit the results to close out each incident.

### 6.1.2 Data Acquisition process

The Safety and Security Department is responsible for information regarding accidents, incidents, hazardous conditions, and operations which are obtained from several different reporting mechanisms. These include but are not limited to: Email and (or) ENP text messages from the RCC, accident/incident reports, daily operations reports, and 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

Data is tracked to identify trends, including:

1. Incident and accident reports
2. Workplace inspection reports
3. Any assault reports and/or statistics that management assembles
4. Reports that workers submit to management via any safety reporting program or system
5. Summaries of data that management reports to the FTA via the National Transit Database
6. Anything else that the Safety Committee finds to be necessary to understand and address the hazards that exist within the transit system

These trends are further analyzed and/or investigated to determine causal factors. The Safety and Security Department and the Safety Committee will identify hazards which are submitted. The committee will review and take corrective action recommendations or a request for corrective action development.

### 6.1.4 Reports

The Safety and Security Department will provide performance trend and analysis reports to the Safety Security Review Committee for review and discussion. All other departments receive safety trend and analysis reports relative to their areas of interest. The safety trend and analysis



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 18 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

reports are also the basis for the annual safety performance report to the Accountable Executive, Board of Trustees and SORTA Safety Committee. 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 achieving the stated safety and security objectives

#### 6.1.5 Procedures Monitoring and Measuring

Procedures for monitoring and measuring are initiated through the capture of safety event data, which includes collisions, injuries (employee and passengers) and near-miss occurrences for both operations and maintenance. Examples of procedures for monitoring and measuring include, but are not limited to the mandatory turn procedure, 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

To determine if safety risk mitigations are effective, appropriate, and implemented as intended, the following activities will take place: 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 Claims Adjusters to administer protection of liability. The Safety Department evaluates the collision based upon preventability and root cause of the event. In similar manner employee injuries, whether in service or while maintaining facilities or equipment, is investigated by the Workers Compensation Claims Adjuster to determine compensability. The Safety Department investigates the event, in coordination with the department supervisor, to determine root cause to prevent reoccurrence

#### 6.1.8 Internal Programs Monitoring and Measurement

The monitoring and measurement of internal safety reporting programs is accomplished through the review and analysis of accident/incident reports, ENP notices, employee injury



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 19 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

reports and employee safety reporting. Any new hazard identified through this activity will be addressed by the Safety Risk Management Process.

### 6.2 Management of Change

Change management is an activity through which SORTA ensures that any changes or proposed changes doesn't introduce new hazards, and if changes have introduced new hazards, measures to mitigate their potential consequences are instituted.

The process for identifying and assessing changes is contained in the SORTA Configuration Management Plan (SYS-SOP-0029). The purpose of configuration management plan is to ensure that changes to safety-critical systems and subsystems are reviewed prior to implementation. This assures there are a set of practices and procedures of identifying all components and their relationship in a dynamic and continually evolving system for the purpose of maintaining integrity, traceability, and control over change throughout the cradle-to-grave lifecycle of the component. These practices will ensure that appropriate personnel have been provided accurate reference documentation for maintaining components and any modifications to components are properly and systematically documented. A change in configuration refers to a modification that may result in a change to physical and/or operational features of any asset. For additional information see the Configuration Management Plan, SYS-SOP-0029.

### 6.3 Continuous Improvement

Continuous improvement is accomplished through monitoring and evaluation of SMS performance to ensure we meet our safety performance targets. Annually, the Metro Safety Department will conduct a safety performance analysis and report the results of that analysis to the Chief Executive Officer. Included in that report will be any identified deficiencies and a safety improvement plan, which will developed in collaboration with the affected department stakeholders and will include safety objectives, safety performance indicators (SPIs) and safety performance targets (SPTs). Safety improvement plan activities will be carried out under the direction of the Chief Executive Officer and monitored through the safety assurance process and communicated through periodic status updates.



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 20 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

## 7 Safety Promotion

Safety Promotion improves safety performance by increasing awareness through communication and training. It also displays continuous management commitment to communication. In fact, 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

The Southwest Ohio Regional Transit Authority utilizes the Department of Transportation Safety Institute's program for bus operator training. Training is conducted by the Metro Operating Training Department where Bus Operators receive up to 10 weeks of initial training depending upon their division assignment. Training culminates in a final trial trip, which starts the 95-day probationary period. After the probationary period they become regular bus operators.

### 7.3 Maintenance

Maintenance personnel receive occupational safety training on various topics including, but not limited to, hazard communication, powered industrial trucks, and the control of hazardous energy (lockout /tagout). All mechanics are encouraged to complete up to (6) ASE training modules and receive .40 cents per hour additional pay for each ASE certification achieved. They also receive OSHA-required training including but not limited to: the control of hazardous energy, hazardous communications, fall protection, and bloodborne pathogens.



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 21 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

### 7.4 Refresher Training

All employees receive some form of ongoing refresher training. Bus Operators may receive up to 16 hours of refresher training including but not limited to: customer service, emergency egress, bloodborne pathogen awareness, defensive driving, and fare box operation and mobility device securement. Maintenance personnel receive refresher training in equipment and OSHA-required subjects on an annual basis. Special training may occur on an as-needed basis such as coach operation around the Cincinnati Streetcar, 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 prior to beginning work. Other requirements may apply as outlined in the SORTA Contractor Safety Program (SYS-PGM-0008) and (or) SORTA Procurement guidelines.

### 7.6 Safety Communication

Communication of safety and safety performance information is accomplished via safety-dedicated bulletin boards called "Safety Communication Boards" located in common areas at each of the divisions as well as computer monitors located throughout all facilities. On those safety communication boards, we have general and security bulletins, and those bulletins are posted monthly. We have a topic of the month and with the topic of the month, it's based on the incidents, inspections and audits that have been done at those work locations. 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; plug ticket messages, awareness activities such as Safety Improvement Plan (SIP) 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. Safety messages are also regularly included in company newsletters distributed both digitally and in print.



## Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 22 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

## 8 Recordkeeping

Per 49 CFR Part 673.31 SORTA 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. SORTA 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 entity, or the Ohio Department of Transportation State Safety Oversight. All these documents require a minimum retention of three years after creation.

## 9 References

49 CFR 673 – Final Rule

Safety Security Review Committee procedure

Configuration Management Change Procedure

Safety Risk Management Plan

Internal Audit Plan

Corrective Action Plan (CAP) Development, Tracking and Closeout Procedure Review and Approval Plan

## 10 Appendices

### 10.1 Definitions of Special Terms Used in the Safety Plan

**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 Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 23 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

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 like 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, for the purpose of preventing recurrence and mitigating risk.

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



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 24 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

**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 established targets.

**Performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a 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.

**Rail fixed guideway public transportation system** means any fixed guideway system that uses rail, is operated for public transportation, is within the jurisdiction of a State, and is not subject to the jurisdiction of the Federal Railroad Administration, or any such system in engineering or construction. Rail fixed guideway public transportation systems include but are not limited to rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway.

**Rail transit agency** means any entity that provides services on a rail fixed guideway public transportation system.

**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



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 25 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

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/or allows 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 in regard to 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 risk.

**Serious injury** means any injury which:

- (1) Requires hospitalization for more than 48 hours, commencing within 7 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);



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 26 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

(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 set forth 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, 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.

## 10.2 List of Acronyms Used in the Safety Plan

ASP – Agency Safety Plan

ENP – Emergency Notification Protocol

SSRC – Safety Security Review Committee

SORTA – Southwest Ohio Regional Transit Authority



### Agency Safety Plan

Metro Policy Number: SYS-PGM-0022	Description: Safety Program
Revision Number: 4	Page Number: Page 27 of 27
Prepared by: Mike Weil	Approved by: CEO/BT/JSC
Issued by: Mike Weil	Issue date: 10/9/2023

MPO – Metropolitan Planning Organization

OKI – Ohio Kentucky Indiana council of governments

### 10.3 Board Action Item

Attached

### 10.4 Safety Management Policy Statement (signed)

Attached


### Safety Management Policy Statement

The overarching safety goal of the Southwest Ohio Transit Authority (SORTA) 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 (and contractors) are accountable for the delivery of the highest level of safety performance, starting with the Board of Trustees, Executives, Directors, Managers, Supervisors, employees, and contractors.

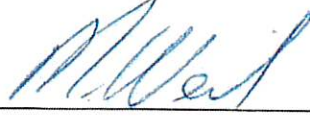
SORTA is committed to supporting the reporting of identified safety hazards and risks in day-to-day duties by employees to senior management without fear of reprisal, so that the hazards and risks can be mitigated or eliminated. To that end, SORTA encourages all employees to participate in the Safety Reporting System (SRS) without fear of retaliation. With the exception of illegal activities or intentional disregard for regulations, policies, or procedures, no employee will ever be disciplined for reporting safety hazards or events.

This Safety Management Policy Statement is communicated to the Board of Trustee via the annual review and approval process. It is also communicated through the use of communication boards, located at each of the facilities, as well as on our website at [www.go-metro.com](http://www.go-metro.com). An employee may also request a printed copy through the Metro Safety Department.

Signature by the Accountable Executive

Name, Title  Date 10/30/23

Signature by the Chief Safety Officer

Name, Title  Date 10/17/23

Project	Method	Vendor	Award	Term	Funding
132-2023 Enterprise Backup System	Request for Proposals (RFP)	Altafiber/CBTS	\$380,400	5 years Dec 2023 – Nov 2028	Budgeted Local Operating
138-2023 Bus Stop Maintenance	Request for Proposals (RFP)	BrightView Landscape Services, Inc.	\$3,159,473	5 years Dec 2023 – Nov 2028	Budgeted Local Operating
146-2023-SS Fleet Card Program	Sole Source Award (SS) / State of Ohio Contract	US Bank National Association	\$621,380	5 years Dec 2023 – Nov 2028	Budgeted Local Operating

Total Awards for Month

\$4,160,853

YTD Diversity Spend  
\$8.4 M



BOARD OF TRUSTEES  
SOUTHWEST OHIO REGIONAL TRANSIT AUTHORITY  
RESOLUTION NO. 2023-61

APPROVAL OF CONTRACT NO. 132-2023 FOR ENTERPRISE BACKUP SOLUTION

WHEREAS:

1. Metro has multiple enterprise-level systems that operate in tandem with one another that are critical to daily operations.
2. Metro has a duty to ensure that the agency data is maintained in accordance with records retention policies and data security best practices.
3. To ensure a continuity of operations, Metro requires a solution that will backup, restore and replicate functions for all systems to include protecting virtual and physical servers along with SQL databases.
4. Staff recommends the SORTA Board Trustees approve a (5 year) contract with Altafiber/CBTS, in the amount of \$380,400.
5. This project will be funded with budgeted local operating funds.

THEREFORE, BE IT RESOLVED:

6. The SORTA Board of Trustees approves a (5 year) contract with Altafiber/CBTS, at a total cost not to exceed \$380,400.
7. The Board authorizes the CEO/General Manager/Secretary-Treasurer or the Senior Director of Procurement to execute a contract with Altafiber/CBTS on behalf of SORTA.

\*\*\*\*\*

MOVED BY: Blake Ethridge  VOTE Aye: Mr. Driehaus, Mr. Ethridge, Mr. Harris, Mr. Hinton, Mr. Keesee, Mr. Metz, Ms. Robinson, Ms. Sheets and KZ Smith  Nay: None  Abstain: None  ABSENT AT THE TIME: Ms. Clark, Ms. Beridon, and Ms. Taylor  PRESENT NON-VOTING MEMBERS: Mr. Ememeker  ABSENT NON-VOTING MEMBERS AT THE TIME: Mr. Bedi and Mr. Freeman  APPROVED: November 14 <sup>th</sup> , 2023	SECOND BY: Rod Hinton
--	-----------------------



## BOARD OF TRUSTEES ACTION ITEM

---

**DATE:** November 7, 2023  
**FROM:** John Edmondson, Sr. Director of Procurement  
Patrick Giblin, Chief Information Officer  
**PROJECT NO.:** 132-2023 Enterprise Backup Solution  
**REQUEST:** Contract Award

---

### **BACKGROUND**

Metro deploys multiple enterprise-level systems that operate often operate in tandem with one another. Each of these systems is critical to daily business operations. In addition, Metro has a duty to ensure that all agency data is maintained in accordance with records retention policies and data security best practices.

### **BUSINESS PURPOSE**

To ensure business continuity of operations, Metro requires a solution that performs backup, restore, and replication functions for all systems. The backup must be capable of protecting and backing up virtual and physical servers along with SQL databases. The system must also provide full server recovery along with file level restoration.

### **PROJECT FINANCING**

The approved budget for this project is \$92,568 per year for 5 years (2024 – 2028) for a total of \$462,840. The final cost of the project is \$76,080 per year for 5 years for a total project cost of \$380,400, which is **favorable to budget by \$82,440**.

The project will be funded using local operating funds. The operating expense for each year will be included in the annual budget review and approval process.

### **PROJECT PROCUREMENT**

Given the variability of potential solutions, Procurement staff determined that a Request for Proposals (RFP) methodology was best.

In addition to publicly announcing the open solicitation via Metro's e-procurement platform, staff sourced 13 vendors known to be capable of providing the requirements of the solicitation and asked each to submit a response. 34 vendors downloaded solicitation materials and 7 submitted responses.

Each response was evaluated based on specific criteria described in the solicitation. The results of the evaluation and the price proposal for each response is listed below:



Vendor Scores by Evaluation Criteria

Vendor	Design and Maintenance/Support (Subjective) Points Based 475 Points (47.5%)	Firm and Staffing Qualifications (Subjective) Points Based 375 Points (37.5%)	Price (Objective) Reward Low Cost 150 Points (15%)	Total Score (Max Score 1000)
Advizex	435	358.3	39.1	832.39
Altafiber	441.7	358.3	33.2	833.17
Avalon Technologies, Inc.	338.3	253.3	36.6	628.29
CDW Government LLC	475	350	21.6	846.62
Innovative Global Technology Group	340	303.3	150	793.33
NetX Information Systems	306.7	183.3	9.5	499.53
RCAL (RUBENSKY LLC)	383.3	325	5.7	714.01

Enterprise Backup Solution				Advizex	Altafiber	Avalon	CDW-G	IGTG	NetX	RCAL
Line Item	Description	QTY	Unit of Measure	Grand Total	Grand Total	Grand Total	Grand Total	Grand Total	Grand Total	Grand Total
1	Year1	1	Year	\$213,216.00	\$83,796.00	\$358,000.00	\$56,292.63	\$9,130.00	\$432,166.30	\$402,820.48
2	Year2	1	Year	\$0.00	\$83,796.00	\$0.00	\$118,444.92	\$9,130.00	\$254,863.26	\$414,905.09
3	Year3	1	Year	\$0.00	\$83,796.00	\$0.00	\$118,444.92	\$9,130.00	\$254,863.26	\$427,352.25
4	Year4	1	Year	\$0.00	\$83,796.00	\$0.00	\$118,444.92	\$9,130.00	\$254,863.26	\$440,172.81
5	Year5	1	Year	\$0.00	\$83,796.00	\$0.00	\$118,444.92	\$9,130.00	\$254,863.26	\$453,378.00
6	Core System:	1	Each	\$145,816.00	\$3,784.00	\$24,900.00	\$118,444.92	\$47,825.00	\$20,000.00	\$329,998.52
<b>Total</b>				<b>\$359,032.00</b>	<b>\$422,764.00</b>	<b>\$382,900.00</b>	<b>\$648,517.23</b>	<b>\$93,475.00</b>	<b>\$1,471,619.34</b>	<b>\$2,468,627.15</b>

Metro received adequate competition in response to the solicitation; therefore no polling of non-responding vendors was completed.

Based on the evaluation of all proposals, Altafiber/CBTS was determined to have proposed the solution most valuable to Metro. Staff were able to **negotiate a cost savings of \$42,364** on this award.

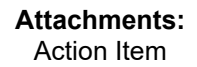
The award will be a firm fixed price contract for a term of 5 years, ending on November 30, 2028.

### **PROJECT DIVERSITY**

No vendor diversity goal was set for this project. Staff determined that there are an insufficient number of certified XBE vendors capable of providing the requirements of the solicitation. The NAICS codes analyzed were overly broad and encompass a wide variety of IT related functions. In addition, the project does not have subcontracting opportunities.

### **RECOMMENDED BOARD ACTION**

Staff recommends the Board of Trustees approve a resolution authorizing the CEO/General Manager/Secretary-Treasurer or the Senior Director of Procurement to execute Contract No. 132-2023, on behalf of Metro with Altafiber/CBTS, with a not to exceed value of \$380,400.



MOVED BY:	Blake Ethridge	SECOND BY:	Rod Hinton
VOTE Aye:	Mr. Driehaus, Mr. Ethridge, Mr. Harris, Mr. Hinton, Mr. Keesee, Mr. Metz, Ms. Robinson, Ms. Sheets and KZ Smith		
Nay:	None		
Abstain:	None		
ABSENT AT THE TIME:	Ms. Clark, Ms. Beridon, and Ms. Taylor		
PRESENT NON-VOTING MEMBERS:	Mr. Ememeker		
ABSENT NON-VOTING MEMBERS AT THE TIME:	Mr. Bedi and Mr. Freeman		
APPROVED:	November 14 <sup>th</sup> , 2023		



## BOARD OF TRUSTEES ACTION ITEM

---

**DATE:** November 7, 2023

**FROM:** John Edmondson, Sr. Director of Procurement  
 Jeff Mundstock, Director of Fleet & Facilities  
 Steve Anderson, Sr. Director of Transit Development & Innovation

**PROJECT NO.:** 138-2023 Bus Stop Maintenance

**REQUEST:** Contract Award

---

### **BACKGROUND**

Metro currently makes more than 3,700 bus stops throughout the county-wide service area. Stop amenities range from a simple sign attached to a pole to a fully enclosed shelter complete with bench and trash receptacle.

### **BUSINESS PURPOSE**

In order to improve services and the overall customer experience, each bus stop requires routine cleaning and maintenance.

### **PROJECT FINANCING**

This is the first contract of its kind for Metro, meaning limited information from which to complete a full cost estimate. Peer systems polled returned little data that could be used to inform the estimate. In many instances, bus stop maintenance is a combination of in-house and outsourced services.

As such, the approved budget for this project is \$1,476,455 over 5 years, or approximately \$295,000 per year.

The final contract award is \$2,872,248, or approximately \$575,000 per year, which is **unfavorable to budget by \$1,395,793**. The project will also include a 10% contingency of \$287,225 for a total project cost of \$3,159,473.

Each contract year will be included in the annual budget review and approval process.

The project will be funded with local operating funds.

### **PROJECT PROCUREMENT**

Given the number of variable approaches to service delivery, reporting, etc., Procurement staff determined that a Request for Proposals (RFP) would be the most appropriate methodology.

Staff directly sourced 8 firms to be targeted for solicitation in addition to the open advertisement and broadcast on Metro's e-procurement platform. 19 firms downloaded solicitation materials and 6 submitted responses. Each proposal was evaluated on a combination of criteria including project approach, firm/staff qualifications, and inclusion of certified XBE subcontractors. The results of the evaluation and price proposals are in the tables below:



Vendor	Project Approach (Subjective)	Firm and Staffing Qualifications (Subjective)	Price (Objective)	Small and Disadvantaged Business Utilization	Total Score
Academic Support Services, LLC	157.67	83.33	40.55	50	331.55
Brighter Day Outdoor Services LLC.	296.67	180.67	58.64	50	585.98
BrightView Landscape Services, Inc	351.33	227	63.28	25	666.61
Crown Paris Janitorial	170.67	109.33	300	50	630
Kept Companies DBA FLEETWASH	324	194.67	43.41	0	562.08
Oberson's Nursery & Landscapes, LLC	316.67	188	44.81	0	549.48

Academic Support Services, LLC	Brighter Day Outdoor Services LLC.	BrightView Landscape Services,	Crown Paris Janitorial	Kept Companies DBA FLEETWASH	Oberson's Nursery & Landscapes, LLC
\$4,482,720.00	\$3,099,468.00	\$2,872,248.00	\$605,856.00	\$4,186,852.44	\$4,055,808.00

The contract will be a firm fixed price contract with a 5-year term, expiring on October 31, 2028.

### **PROJECT DIVERSITY**

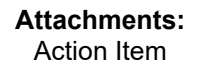
Based on the number of prime vendors capable of performing the work, Metro did not set a required participation goal for this award.

Staff communicated directly with more than 170 certified prime vendors requesting a response to the solicitation. 3 certified XBE firms submitted proposals.

The contract award does not include significant XBE participation (less than 1% of contract value) as the bulk of the work will be performed by employees of the vendor; however, ongoing negotiations with the successful vendor will include increasing the subcontracting work awarded to certified firms.

### **RECOMMENDED BOARD ACTION**

Staff recommends the Board of Trustees approve a resolution authorizing the CEO/General Manager/Secretary-Treasurer or the Senior Director of Procurement to execute Contract No. 138-2023, on behalf of Metro with BrightView Landscape Services, Inc., with a not to exceed value of \$3,159,473.



MOVED BY:	Blake Ethridge	SECOND BY:	Rod Hinton
VOTE Aye:	Mr. Driehaus, Mr. Ethridge, Mr. Harris, Mr. Hinton, Mr. Keesee, Mr. Metz, Ms. Robinson, Ms. Sheets and KZ Smith		
Nay:	None		
Abstain:	None		
ABSENT AT THE TIME:	Ms. Clark, Ms. Beridon, and Ms. Taylor		
PRESENT NON-VOTING MEMBERS:	Mr. Ememeker		
ABSENT NON-VOTING MEMBERS AT THE TIME:	Mr. Bedi and Mr. Freeman		
APPROVED:	November 14 <sup>th</sup> , 2023		



## BOARD OF TRUSTEES ACTION ITEM

---

**DATE:** November 7, 2023  
**FROM:** John Edmondson, Sr. Director of Procurement  
Jeff Mundstock, Director of Fleet & Facilities  
**PROJECT NO.:** 146-2023 Fuel Fleet Card Program  
**REQUEST:** Contract Award

---

### **BACKGROUND**

Metro currently operates approximately 70 gasoline vehicles without an on-site fueling station. These vehicles, along with approximately 20 diesel vehicles, require fueling from local filling stations.

### **BUSINESS PURPOSE**

A fleet fueling program credit card is needed to capture appropriate data such as the employee making the transaction, the number of gallons consumed, odometer readings, and other data necessary to analyze fuel consumption patterns for each vehicle.

### **PROJECT FINANCING**

The budget for this project is \$124,276 per year for 5 years, for a total project budget of \$621,380.

The project will be funded as a local operating expense. The operating expense for each year will be included in the annual budget review and approval process.

The contract is a blanket purchase order, allowing for the delivery of fuel (via local gas pumps) from multiple locations on multiple dates from multiple cardholders. The total purchase order cost is \$621,380, which is flat to budget.

### **PROJECT PROCUREMENT**

The project was awarded from State of Ohio Contract No. CSP901222 as a sole source award. The State of Ohio Division of Administrative Service conducted a competitive process before selecting the vendor.

The contract will be a blanket purchase order with a 5-year term, expiring on November 30, 2028.

### **PROJECT DIVERSITY**

As this award is a sole source award issued to a State of Ohio selected vendor, there are no subcontracting opportunities and no vendor diversity goal established.

### **RECOMMENDED BOARD ACTION**

Staff recommends the Board of Trustees approve a resolution authorizing the CEO/General Manager/Secretary-Treasurer or the Senior Director of Procurement to execute Contract No. 146-2023-SS, on behalf of Metro with US Bank National Association, with a not to exceed value of \$621,380.

# Southwest Ohio Regional Transit Authority

Financial Summary - October 2023

Report Out Date – October 14, 2023



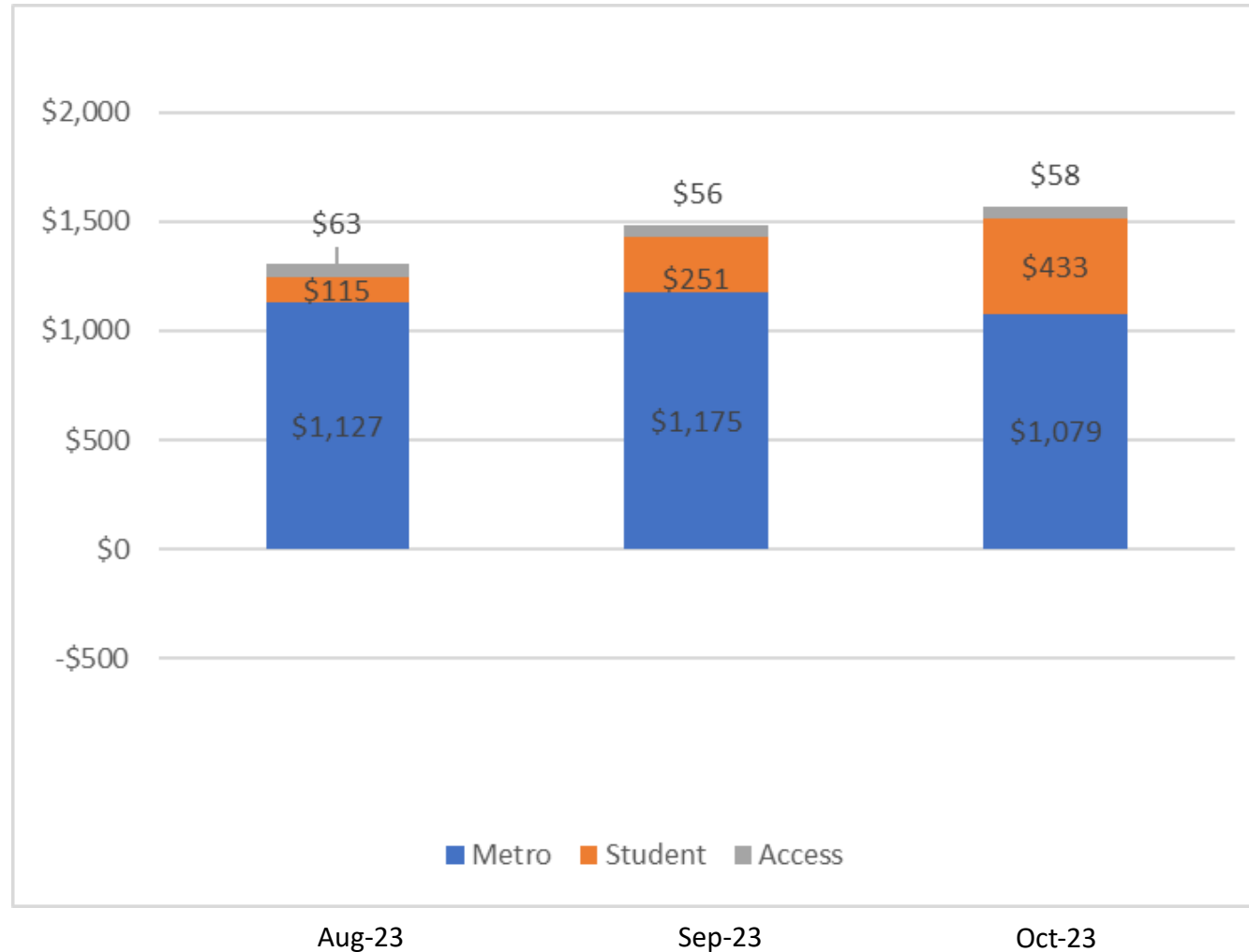


## Agenda – Financial Summary

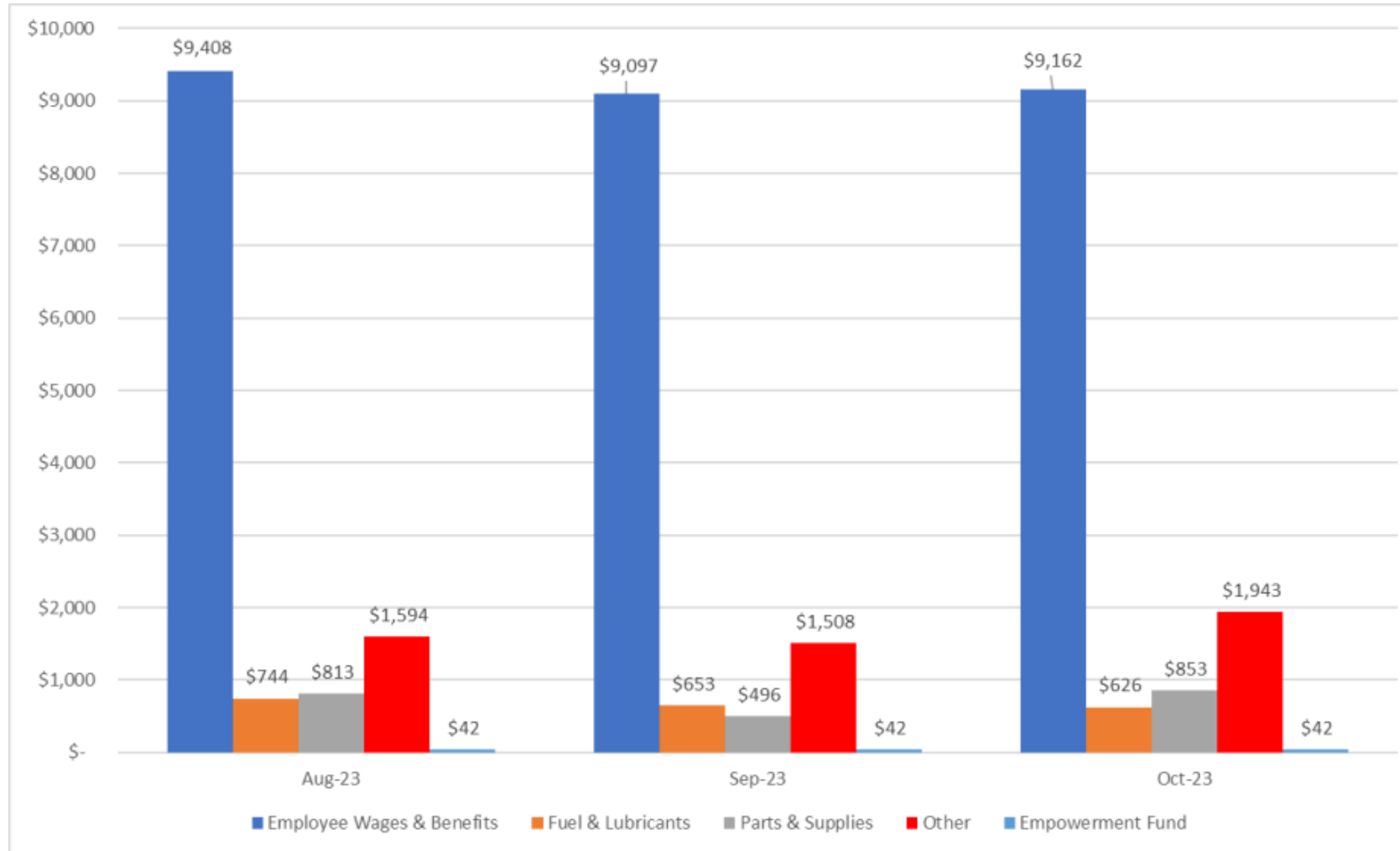
- Statement of Operations for October '23
  - Revenue Chart
  - Expense Chart
  - Key Drivers
  - Detail Profit & Loss Statement
- Investment Funds Reserve Summary
- Fuel Hedging Report
- Investment Balance Update ( separate attachment )



# STATEMENT OF OPERATIONS



Note: Number of Weekdays within  
each corresponding month as follows:  
Aug 23, Sep 22, Oct 22







Page 62 of 66

1973  2023

Overnight Investments	\$151,868,950
Securities & CD's	\$34,304,641

### Current Capital Reserve Obligations

Total BRT	\$90,000,000
-----------	--------------

Local Match - FTA and ODOT Grants	\$7,314,693
-----------------------------------	-------------

100% Local Projects ( <i>Prior Years Open + Current Year</i> )	\$42,732,321
--	--------------

2 Months of Operating Expenses	\$24,000,000
--------------------------------	--------------

All Other Obligations	\$6,500,000
-----------------------	-------------

<b>Total Current Capital Reserve Obligations</b>	<b>\$170,547,014</b>
--	----------------------

<b>Net Unrestricted Securities Available</b>	<b>\$15,626,577</b>
--	---------------------

2023 Operating Budget Surplus (Deficit) Nov - Dec	\$1,038,887
---	-------------

<b>Net Unrestricted Securities + '23 Operating Budget Surplus</b>	<b>\$16,665,463</b>
---	---------------------

Southwest Ohio Regional Transit Authority  
Diesel Fuel Hedging Report  
As of October 31, 2023

	YTD @ Oct ME <u>Total</u>	<u>Per Gallon</u>	YTD @ Jul ME <u>Total</u>	<u>Per Gallon</u>
Fuel Purchased	\$6,769,730	\$2.90	\$4,395,657	\$2.77
Hedging Gains / (Losses)	749,958	\$0.32	\$236,253	\$0.15
Net Fuel Cost	<u>6,019,772</u>	\$2.58	<u>\$4,159,404</u>	\$2.62
Budget	6,212,609	\$2.55	\$4,294,737	\$2.54
Variance Favorable / (Unfavorable)	<u><u>\$192,837</u></u>	3.1%	<u><u>\$135,333</u></u>	3.2%

<u>Future Hedges:</u>	<u>Gallons Hedged Total</u>	<u>Percent</u>	<u>Average Cost per Gallon</u>	<u>Unrealized Gain/(Loss)</u>
2023	378,000	76%	\$2.25	\$371,531
2024	2,604,000	90%	\$2.49	\$522,227
				<u><u>\$893,758</u></u>

<u>Hedging Policy</u>	<u>Policy</u>	<u>Hedged</u>	<u>Prior Qtr Hedged</u>
0 - 12 Months	90%	89%	88%
13 - 24 Months	90%	20%	24%
25 - 36 Months	50%	0%	0%

Historical Performance

	<u>Fuel Purchased</u>	<u>Realized Gain / (Loss)</u>	<u>Net</u>	<u>Budget</u>	<u>Variance</u>
2018	6,325,084	845,763	5,479,321	5,229,423	(249,898)
2019	5,534,869	150,141	5,384,728	5,355,630	(29,098)
2020	2,913,009	(1,638,748)	4,551,757	5,289,298	737,541
2021	5,348,585	901,598	4,446,987	4,799,366	352,379
2022	6,526,165	1,948,380	4,577,785	4,937,186	359,401
2023YTD	6,769,730	\$749,958	6,019,772	6,212,609	192,837



November 2023

The cool air of fall provides us with a welcome reminder to pause and reflect on the many blessings in our lives.

Here at Metro we have had an incredible year. We celebrated 50 years of service to our community, launched a brand new type of service with MetroNow!, invested more than \$30 million in transit infrastructure projects in our community, and distributed more than a half million dollars to 80 social service and charitable non-profit organizations in our community through the Everybody Rides Metro program.

We've celebrated our team members for their excellence in service to our community, from our Two Million Mile Award recipients with 30+ years of accident-free driving to our CLIMB Award recipient for strengthening our DBE business and vendor partnerships – we have much to be proud of!

The impact of our efforts are being felt across the region. Our ridership continues to outpace the national average and we are one of only a few transit systems who have exceeded our pre-pandemic ridership. Our strategies and efforts are being watched not only across the country, but internationally as well.

Ultimately, this means more people in our region are getting to better paying jobs, medical appointments, school and other quality of life destinations; communities are becoming safer and more ADA accessible with improvements to streets, sidewalks and bridges and Greater Cincinnati is becoming a more connected destination to live, work and play. And, we are just getting started.

**Shop & Ride with Metro:** All Metro fixed routes, Access and MetroNow! service will be FREE to ride on Black Friday, Nov. 24. We're encouraging the community to give our service a try and discover just how easy it is to get around to their favorite shopping destinations on Metro this holiday season. No need to worry about crowded parking lots or congested roads as you check off your holiday gift list.

**Winter service change:** Effective Sunday, Dec. 3, Metro's winter service change will go into effect with two new crosstown routes, the Rt. 22 Glenway Transit Center – Madisonville Crosstown and the Rt. 36 Price Hill – Norwood Crosstown which will operate 7 days a week. The Rt. 5 Oakley-Sharonville Crosstown has been realigned to serve Summit Park and residences and retail in the Blue Ash community. The Rt. 24 Anderson-Uptown has been extended to serve the Northside Transit Center and will provide faster connections from the Eastside of town to the Northwest areas of the county. The Rt. 67 Kemper Crosstown has been realigned to serve the Sharonville Convention Center and hotel district.

**Engaging our elected officials:** Last month, we presented updates to Hamilton County Commissioners on the impact of the Transit Infrastructure Fund in neighborhoods throughout the county with before and after photos of completed projects. Yesterday, we presented before Cincinnati's City Council on the success of the Reinventing Metro plan thus far, including MetroNow!, BRT and Zero emission vehicles. We were also pleased to have State Representative Sedrick Denson and Joyce Powdrill, Southwest Regional Director for U.S. Senator Sherrod Brown, join us for a ride along on the new MetroNow! service this past month.

As we prepare for the holidays, we are grateful for the dedication each of you bring as board trustees on our journey towards building the best possible public transit system for our region.

We wish each of you a very joyous and relaxing Thanksgiving holiday with family and friends.

Thank you,

A handwritten signature in cursive script, reading "Darryl Haley".

Darryl Haley  
CEO/General Manager/Secretary-Treasurer