



# NOTICE OF COMMISSION MEETING AND AGENDA

## DES MOINES AREA REGIONAL TRANSIT AUTHORITY

[Zoom](#)

Dial In - +1-312-626-6799/Access Code – 849 0334 4040#/Passcode - 597211

DECEMBER 1, 2020 – 12:00 PM

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	PAGE #
1. CALL TO ORDER	
2. ROLL CALL AND ESTABLISHMENT OF QUORUM	
3. NOTICE OF MEETING	
4. APPROVAL OF NOVEMBER 3, 2020 AGENDA	
5. PUBLIC COMMENT (Limit 3 minutes)	
6. TRANSIT RIDERS ADVISORY COMMITTEE (TRAC) UPDATE	2
7. CONSENT ITEMS	
A. Commission Meeting Minutes – November 3, 2020	3
B. Transit Riders Advisory Committee (TRAC) Membership	8
C. October 2020 Financials	11
8. ACTION ITEMS	
A. Public Transportation Agency Safety Plan Approval	13
B. Proterra Electric Bus Contract Amendment	76
C. 2021 State Legislative Priorities	98
9. DISCUSSION ITEMS	
A. FY2022 DART Budget Development	100
B. DART Business Partnerships Update	101
C. Art Shelter Plan Update	102
D. Performance Report – October 2020	106
10. DEPARTMENTAL MONTHLY REPORTS (BY EXCEPTION)	
A. Operations	112
B. Planning	114
C. External Affairs	115
D. Finance/IT/Procurement	119
E. Human Resources	121
F. Chief Executive Officer	123
11. RECEIVE AND FILE	
A. Disadvantaged Business Enterprise Goal (DBE)	124
12. FUTURE AGENDA ITEMS	125
13. COMMISSIONER ITEMS	
A. Nominating Committee Update	
14. NEXT MEETING: Annual DART Meeting - <b>Tuesday, January 5, 2021 – 12:00 P.M.</b>	
15. ADJOURN	

*Language, visual, hearing and transportation services are available at meetings upon request. For requests, please call DART at 515.283.8100 at least 48 hours in advance of the meeting.*



<b>6: Transit Riders Advisory Committee (TRAC) Update</b>
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**Resource:** *Hayley Anderson, TRAC Chair*

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A meeting of the Transit Riders Advisory Committee was held on Wednesday, November 11, 2020, via Zoom and a quorum was not met with some members absent.

**Service Planning Updates:**

Chief Planning Officer, Luis Montoya, provided an update on Service Planning and identified a timeline for the Transit Optimization Pilot.

**External Affairs Updates:**

*Marketing and Communications* - Senior Marketing Specialist, Megan Grandgeorge, updated the committee on the Safety Light campaign. The committee was also updated on MyDART app updates related using cash for mobile tickets at local retailers.

*Reduced Fare Pilot* - Business & Community Partnerships Manager, Matthew Harris shared the proposed changes and reduced fare pilot program and properly reviewed in accordance with Federal requirements as it relates to the Title VI.

**DART Leadership Updates:**

Chief Financial Officer, Kent Farver, and Finance Manager, Amber Dakan provided a financial overview of the budget and upcoming budget process.

**TRAC Membership Update:**

Mobility Coordinator, Catlin Curry, thanked outgoing committee members (Haley Anderson, Cindy Tonsfeldt, Al Root, and Jennifer Naber) for their service on the DART Transit Riders Advisory Committee and updated the committee on the recruitment efforts to fill their positions.

The next TRAC meeting is currently scheduled for Wednesday, January 13, 2021.



**DES MOINES AREA REGIONAL TRANSIT AUTHORITY  
COMMISSION MEETING MINUTES  
MEETING HOSTED BY ZOOM  
620 CHERRY STREET – DES MOINES, IOWA 50309  
NOVEMBER 3, 2020**



*[The above Commission Meeting was held via Zoom. The Commission determined that it is impossible and impractical for all members of the Commission, staff and members of the public to be physically present at this Commission meeting due to the Covid-19 pandemic, and that it is necessary to conduct this Commission meeting by electronic means.]*

**ROLL CALL**

Vern Willey (left at 1:57pm), Kelly Whiting (left at 1:57pm), Doug Elrod, Michael McCoy, Josh Mandelbaum, Jill Altringer, Jake Anderson, Paula Dierenfeld, Len Murray, Angela Connolly (left at 1:32pm), Bridget Montgomery and Russ Trimble

**Commissioners Absent:**

Ross Grooters and Joseph Jones

**CALL TO ORDER**

Chair, Russ Trimble, called the meeting to order at 12:03 p.m. Roll call was taken, and a quorum was present.

Notice of the meeting was duly published.

**APPROVAL OF AGENDA**

Chair, Russ Trimble requested a motion to approve the agenda as presented.

It was moved by Vern Willey and seconded by Kelly Whiting to approve the November 3, 2020 agenda. The motion carried unanimously.

**PUBLIC COMMENT**

None

**CONSENT ITEMS**

6A – Commission Meeting Minutes – October 6, 2020

6B – 2025 Surface Transportation Block Grant (STBG)

6C – Des Moines Public Schools Contract

6D - September 2020 Financials

6E – Quarterly Investment Report

It was moved by Bridget Montgomery and seconded by Josh Mandelbaum to approve the consent items as presented. The motion carried unanimously.



**ACTION ITEMS**

7A – Reduced Fare Task Force Pilot

Matt Harris, Business & Community Partnerships Manager provided the Commission with a brief background of how the reduced fare pilot program was developed and the goals that were outlined for this program. A proposed six-month pilot program would expand access to DART's half-fare program by allowing individuals who are connected to food assistance programs and/or trying to better their economic circumstances through workforce assistance or job training to enroll in DART's half-fare program upon proof of third-party eligibility. This would enable access to all fare media, including day, week, month and mobile half-fare passes. In addition, it was shared that the proposed changes would not have a disproportionate impact on racial minority or low-income customers according to DART's Fare Equity Policy and Federal regulations (Title VI Fare Equity Analysis was completed).

It was moved by Angela Connolly and seconded by Vern Willey to approve a six-month pilot program to run from January–June 2020 that would allow individuals who are connected to food assistance programs and/or trying to better their economic circumstances through workforce assistance or job training to enroll in DART's half-fare program upon proof of third-party eligibility. The motion carried unanimously.

7B – Security Services Contract

Mike Tiedens, Procurement Manager, provided a background to our security agreement and the procurement process. Due to the COVID-19 pandemic and the social unrest of the past 6 months, staff are recommending a six-month contract extension to thoroughly reassess security service needs before issuing a new RFP.

It was moved by Josh Mandelbaum and seconded by Michael McCoy to approve a six (6) month contract extension with American Security and Investigations, with a total not-to-exceed of \$95,000.00 for the six-month period. The motion carried unanimously.

7C – Federal Lobbying Contract

Mike Tiedens, Procurement Manager shared that DART is seeking firm to provide them representation at the federal level. Services include, but are not limited to developing a federal legislative agenda that addresses critical issues related to DART and public transportation, identify federal grant opportunities and assist DART staff with writing and reviewing grant applications, meet as needed with appropriate staff and the DART Commission, meet with appropriate members of Congress and their staff to advocate for DART, monitor the federal legislative process and alert DART staff to legislative developments. It was shared that Federal Lobbying Services were previously awarded in 2015 with a three-year contract with two (2), one (1) year options and it was terminated in March 2020. The procurement process and evaluation summary were outlined.

It was moved by Bridget Montgomery and seconded by Paula Dierenfeld to approve a three (3) year contract with two (2) individual, one (1) year options with Cardinal Infrastructure for Federal Lobbying Services for the amount Not to Exceed \$394,000 (5% Contingency for Extra Services). The motion carried unanimously.

**DES MOINES AREA REGIONAL TRANSIT AUTHORITY  
COMMISSION MEETING MINUTES – NOVEMBER 3, 2020**



7D – Flex Connect Pilot Extension

Luis Montoya, Chief Planning Officer, provided an update on DART's Flex Connect pilot. Since the pilot was initially successful, DART staff recommended extending the pilot for another year to continue to provide a useful service and to continue to help staff learn about how best to design such mobility on demand services.

It was moved by Doug Elrod and seconded by Bridget Montgomery to approve to extend the Flex Connect Pilot for one year, keeping the same service area and program design, but reserving the option to implement modifications to the program within the next year pending recommendations for other similar MOD pilots. The motion carried unanimously.

**DISCUSSION ITEMS**

8A – Transit Optimization Study Pilot Update

Luis Montoya, Chief Planning Officer provided an update on the Transit Optimization Study. He reviewed the potential mobility on demand pilots that staff have explored and a recommendation on which ones to pursue as well as next steps.

8B – Public Transportation Agency Safety Plan Review (PTASP)

Pat Daly, Safety Manager shared that on July 19, 2018, the FTA published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires operators of public transportation systems that receive federal funds to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). Transit agencies must certify they have a safety plan by December 31, 2020. The presentation also outlined the requirements of the plan and the benefits DART. The full PTASP will be brought to the December 2020 Commission meeting for approval.

8C - DART Property Tax Formula

Elizabeth Presutti, Chief Executive Officer provided an update on the DART Property Tax Formula Initiative. Since the October Commission meeting, she has met with the City of Des Moines Council Members and the City Manager. DART Staff have also met with our Lobbyists and some key stakeholders. She also presented the requests of the City of Des Moines to the phasing-in of the new formula as well as focusing legislative efforts on alternative funding sources other than property taxes. The Commission will have further discussion on these requests at a Commission Workshop to be held later in November.

8D – FY2022 DART Budget Development

Due to time, Chair, Russ Trimble, advised the Commission that the FY2022 DART Budget Development will be deferred to the December Commission meeting.

8E – Paratransit Update

Due to time, Chair, Russ Trimble, advised the Commission that the Paratransit Update presentation will be deferred to a future Commission meeting.

**DES MOINES AREA REGIONAL TRANSIT AUTHORITY  
COMMISSION MEETING MINUTES – NOVEMBER 3, 2020**



**QUARTERLY AND PERFORMANCE REPORTS**

9A – Performance Report – September 2020

9B – Quarterly Financial Report

9C – Quarterly Safety Report

Chair, Russ Trimble, referred the Commission to the packet to review the quarterly and September 2020 performance report.

**MONTHLY REPORTS**

Chair, Russ Trimble, referred the Commission to the packet to review department monthly reports.

10A – Operations

None

10B – Planning

None

10C - External Affairs

Erin Hockman, Chief External Affairs Officer, introduced Rick Pallister, Marketing Manager to the External Affairs team.

10D – Finance/IT/Procurement

None

10E – Human Resources

None

10F – Chief Executive Officer

Elizabeth Presutti, Chief Executive Officer provided an update on COVID-19 cases within the DART organization and the extra safety protocols we have in place.

**FUTURE AGENDA ITEMS**

None

**COMMISSIONER ITEMS**

None

**DES MOINES AREA REGIONAL TRANSIT AUTHORITY  
COMMISSION MEETING MINUTES – NOVEMBER 3, 2020**



**ADJOURN**

Chair, Russ Trimble, adjourned the meeting at 2:07 p.m.

\_\_\_\_\_  
Chair

\_\_\_\_\_  
Clerk

\_\_\_\_\_  
Date

**\*\*\*OFFICIAL NOTICE OF THE NEXT DART COMMISSION MEETING DATE IS HEREBY PUBLISHED:**

The next regular DART monthly Commission Meeting is scheduled for Tuesday, December 1, 2020 at 12:00 p.m. in the DART Multimodal Room at 620 Cherry Street, Des Moines, Iowa. (If the Administration offices at DART Central Station remain closed on December 1 and the Dart Commission determines that it is still impractical and impossible to have Commission members, staff and the public physically present for this Commission meeting, then the December 1 Commission meeting will again be hosted via a virtual platform such as Zoom. Participation directions for such the virtual meeting will be forthcoming)



## CONSENT ITEM



<b>7B:</b>	<b>Transit Riders Advisory Committee (TRAC) Membership</b>
<b>Action:</b>	<b>Approve the four recommended new TRAC members to commence their terms in January 2020</b>

**Staff Resource:** *Catlin Curry, Mobility Coordinator*

### BACKGROUND:

- Following the reconstitution of the DART Commission, the Transit Riders Advisory Committee (TRAC) was restructured to reflect these changes and now consists of 11 members who utilize DART Express Routes, Local Routes, Rideshare, and Paratransit services. The committee meets bi-monthly and seeks to represent key constituencies such as veterans, refugees, senior citizens, students and more. DART staff are seeking approval from the DART Commission of four (4) new members, four (4) alternates, the approval of one term extension, and one (1) member slot to be held open for additional recruitment.

### CURRENT MEMBERSHIP:

Name	Membership	City of Residence	Term Expiration
Nicholas Phillip	Express Route	Clive	12/31/2021
<b>Vacant</b>	<b>Express Route</b>		<b>TBD</b>
Carrie Kruse	Local Route	Windsor Heights	12/31/2022
Cecelia Martinez	Local Route	Des Moines	12/31/2021
<b>Vacant</b>	<b>Local Route</b>		<b>TBD</b>
Zacharey Bradley	At-large	Des Moines	12/31/2022
Susan Wells	At-large	Des Moines	12/31/2022
<b>Vacant</b>	<b>At-large</b>		<b>TBD</b>
Emmanuel Smith	Paratransit	West Des Moines	12/31/2020
<b>Vacant</b>	<b>Paratransit</b>		<b>TBD</b>
<b>Vacant</b>	<b>Rideshare</b>		<b>TBD</b>

### APPLICATION PROCESS:

- Online and paper applications were available during the month of September and October.
- To determine a recommended slate, staff took into consideration strategic needs to ensure TRAC reflects a broad cross-section of DART customers, member communities and key constituencies.





**CONSENT ITEM**

**7B: Transit Riders Advisory Committee (TRAC) Membership**

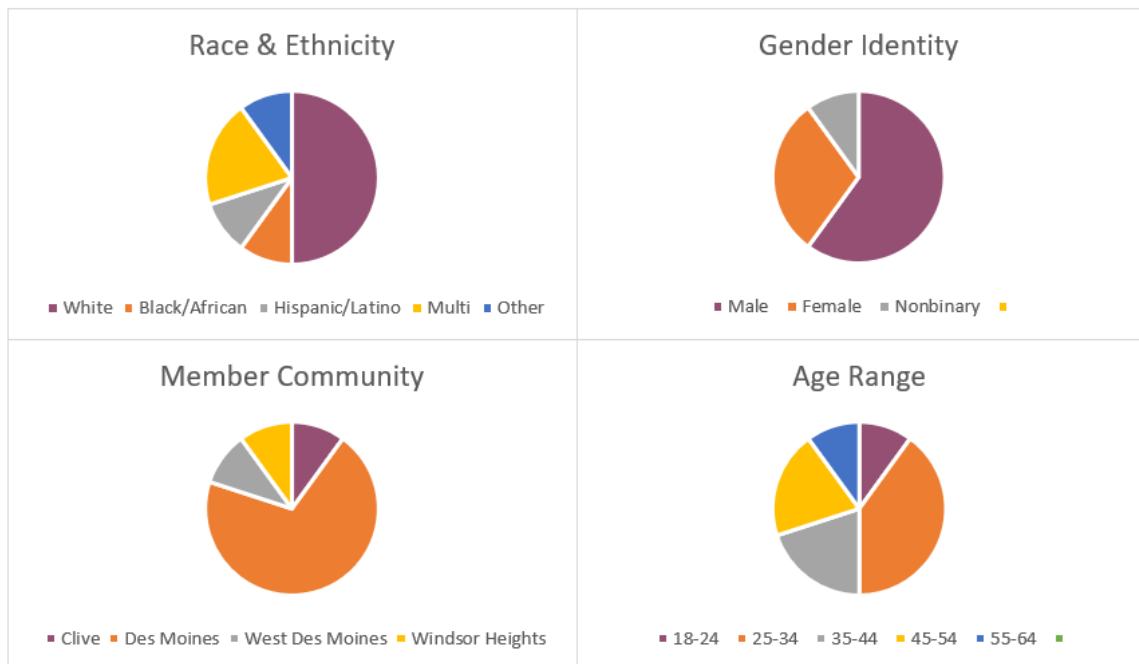
**SUMMARY OF APPLICATIONS:**

- DART received 15 applications, including:
  - 12 Local Route, 2 Express Route applicants, 1 Paratransit applicant
  - 13 Des Moines, 1 West Des Moines, 1 Windsor Heights
  - Gender: 11 Male, 3 Female, 1 Unanswered
  - Race: 11 White, 1 Black, 1 Hispanic, 2 Other
  - Years of Age: 1 (25-34), 2 (35-44), 4 (45-54), 4 (55-64), 4 (65+)

**PROPOSED NEW TRAC MEMBERS AND ALTERNATES:**

First Name	Last Name	City	Representation	Slate
James	Hanold	West Des Moines	Express Route	Proposed New Member
Kaylynn	Strain	Des Moines	Local Route	Proposed New Member
Brandon	Paulson	Des Moines	At large	Proposed New Member
Justin	Bates	Des Moines	Paratransit	Proposed New Member
Emmanuel	Smith	Des Moines	Paratransit	Term Extension
OPEN			Rideshare	Hold open for additional recruitment
Kirk	Gustafson	Des Moines	Express Route	Proposed Alternate
Kevin	Allen	Windsor Heights	Local Route	Proposed Alternate
Richard	Zepeda	Des Moines	At large	Proposed Alternate

**COMMITTEE BREAK DOWN INCLUDING NEW MEMBER SLATE:**





**CONSENT ITEM**

**7B: Transit Riders Advisory Committee (TRAC) Membership**

**RECOMMENDATION:**

- Approve the four recommended new TRAC members to commence their two-year terms in January 2020 and one term extension for a current member to serve an additional term until December 2022.



## CONSENT ITEM



**7C: October FY2021 Consolidated Financial Report**

**Action: Approve the October 2020 Consolidated Financial Report**

**Staff Resource: Amber Dakan, Finance Manager**

### Year-to-Date Budget Highlights:

#### **Revenue:**

- Fixed Route Operating revenue is 40% below budget projections year to date. D-Line Funding under Other Contracted Services is the only category seeing above budget levels currently. Cash Fares, School Funding, and Mobile Ticketing Passes are seeing the most negative impacts due to COVID-19 conditions.
- Fixed Route Non-Operating revenue is ahead of budget by 19.2%. The largest factor is CARES Funding drawn down in the amount of \$2 million to cover anticipated revenue gaps. Additionally, State Operating Assistance and State Backfill are both currently outpacing budget levels.
- Paratransit Operating revenue is under budget by 80.3%. All areas have been impacted by COVID-19 as many programs have been limited or suspended.
- Paratransit Non-Operating revenue is 2.9% under budget primarily resulting from the 5310 grant fund being limited from less eligible expenses in the current environment.
- Rideshare revenues are 61.7% below budget. The program has been significantly impacted by COVID-19.

#### **Operating Expense:**

- Fixed Route Budget Summary – Operating expenses are 18.2% below budget projections. Nearly all categories are seeing savings with the exception of Purchased Transportation and Miscellaneous (where COVID-19 specific expenses are shown). Salaries, Wages, & Fringes, Services, and Fuel & Lubricants are seeing the most savings years to date.
- Paratransit Budget Summary – Operating expenses are 33.57% under budget year to date. Nearly all categories are seeing savings which is reflective of the reduced ridership levels. The exceptions to this are Services (where the Paratransit Analysis is shown) and Supplies & Materials.
- Rideshare Budget Summary – Rideshare has a budget savings of 37.44% year to date. All but the Local Match and Utilities are seeing savings.

#### **Recommendation:**

- Approve the October 2020 Consolidated Financial Report.

#### **\*\* TOTAL Un-Audited Performance of October FY2021 Year to Date as Compared to Budget:**

Fixed Route	\$	2,931,570	Reserve for Accidents (See Balance Sheet):
Paratransit	\$	22,350	\$217,705
Rideshare	\$	<u>(66,735)</u>	
Total	\$	2,887,184	

**FY2021 Financials:**

**October 2020**

<b>FIXED ROUTE</b>	<b>October 2020</b>			<b>Year-To-Date-(4) Months Ending 10/31/2020</b>		
	<b>Actual</b>	<b>Budgeted</b>	<b>Variance</b>	<b>Actual</b>	<b>Budgeted</b>	<b>Variance</b>
Operating Revenue	282,971	477,438	(194,467)	1,144,738	1,909,753	(765,016)
Non-Operating Revenue	2,426,710	2,236,001	190,709	10,663,023	8,944,003	1,719,019
Subtotal	2,709,681	2,713,439	(3,758)	11,807,760	10,853,757	954,004
Operating Expenses	1,980,941	2,713,439	732,498	8,876,190	10,853,757	1,977,566
Gain/(Loss)	728,740	-	728,740	2,931,570	-	2,931,570

<b>PARATRANSIT</b>	<b>October 2020</b>			<b>Year-To-Date-(4) Months Ending 10/31/2020</b>		
	<b>Actual</b>	<b>Budgeted</b>	<b>Variance</b>	<b>Actual</b>	<b>Budgeted</b>	<b>Variance</b>
Operating Revenue	26,829	110,792	(83,963)	87,277	443,167	(355,890)
Non-Operating Revenue	181,603	187,270	(5,667)	727,106	749,080	(21,974)
Subtotal	208,432	298,062	(89,629)	814,383	1,192,247	(377,864)
Operating Expenses	193,667	298,062	104,395	792,033	1,192,247	400,213
Gain/(Loss)	14,765	-	14,765	22,350	-	22,350

<b>RIDESHARE</b>	<b>October 2020</b>			<b>Year-To-Date-(4) Months Ending 10/31/2020</b>		
	<b>Actual</b>	<b>Budgeted</b>	<b>Variance</b>	<b>Actual</b>	<b>Budgeted</b>	<b>Variance</b>
Operating Revenue	27,317	67,917	(40,600)	104,047	271,667	(167,620)
Non-Operating Revenue	-	333	(333)	-	1,333	(1,333)
Subtotal	27,317	68,250	(40,933)	104,047	273,000	(168,953)
Operating Expenses	44,796	68,250	23,454	170,782	273,000	102,218
Gain/(Loss)	(17,479)	-	(17,479)	(66,735)	-	(66,735)

<b>SUMMARY</b>	<b>October 2020</b>			<b>Year-To-Date-(4) Months Ending 10/31/2020</b>		
	<b>Actual</b>	<b>Budgeted</b>	<b>Variance</b>	<b>Actual</b>	<b>Budgeted</b>	<b>Variance</b>
Operating Revenue	337,117	656,147	(319,029)	1,336,061	2,624,587	(1,288,525)
Non-Operating Revenue	2,608,313	2,423,604	184,709	11,390,129	9,694,417	1,695,712
Subtotal	2,945,430	3,079,751	(134,321)	12,726,190	12,319,003	407,187
Operating Expenses	2,219,404	3,079,751	860,347	9,839,006	12,319,003	2,479,997
Gain/(Loss)	726,026	-	726,026	2,887,184	-	2,887,184



# ACTION ITEM



<b>8A:</b>	<b>Public Transportation Agency Safety Plan Approval</b>
<b>Action:</b>	<b>Approve DART's 2020 Public Transportation Agency Safety Plan as required by the July 19, 2018, Federal Transit Administration (FTA) published Public Transportation Agency Safety Plan (PTASP) Final Rule.</b>

**Staff Resource:** *Pat Daly, DART Safety Manager*

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**Background:**

- On July 19, 2018, the Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).
- The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307).
- Large bus operators (operating more than 100 vehicles in peak revenue service) to whom the PTASP rule applies must draft and implement their own safety plans.
- Transit agencies must certify they have a safety plan in place meeting the requirements of the rule by December 31, 2020. The plan must be updated and certified by the transit agency annually.
- This final rule also requires that DART to designate an individual to serve as the Accountable Executive as well as an individual to serve as a Chief Safety Officer. For DART these individuals will be:
  - Elizabeth Presutti, DART CEO will serve as the Accountable Executive
  - Pat Daly, DART Safety Manager will serve as the Chief Safety Officer
- DART's 2020 Public Transportation Agency Safety Plan is attached.
- Upon approval by the DART Commission, staff will work to implement the plan along with training other staff members on the plan and associated expectations.

**Requirements of the PTASP:**

- There are several general and specific requirements of the PTASP:
  - Be approved by DART CEO and the Commission
  - Conduct an annual review and update of the plan.
  - Compliance with the Public Transportation Safety Program/National Safety Plan
  - Appointment of a Safety Management System (SMS) Executive to implement and maintain the PTASP.
  - Contain all elements of DART's SMS



## **ACTION ITEM**

### **8A: Public Transportation Agency Safety Plan Update**

- Contain Safety Performance Targets
- Provide for a Confidential Employee Safety Reporting Program
- Address the following elements: Safety Management Policy, Safety Risk Management, Safety Assurance and Safety Promotion

#### **PTASP Certification:**

- FTA is requiring that each transit agency annually self-certify that they have a PTASP that meet the requirements of this rule. FTA will use its existing Certifications and Assurances process for this effort.
- FTA will use the triennial oversight review programs to assess compliance with the requirements of the rule.

#### **Recommendation:**

- Approve DART's 2020 Public Transportation Agency Safety Plan as required by the July 19, 2018, Federal Transit Administration (FTA) published Public Transportation Agency Safety Plan (PTASP) Final Rule.



# PUBLIC TRANSPORTATION AGENCY SAFETY PLAN



Submitted by:

**Des Moines  
Area Regional  
Transit Authority**

**Recipient ID: 1831**

Submitted to:

**Federal Transit Administration  
Region 7**

**DECEMBER 1, 2020**



## Plan Development, Approval, and Updates

### Name of Entity or Individual that Drafted This Plan

Patrick Daly, DART Safety Manager

### Signature of Accountable Executive

Elizabeth Presutti, DART Chief Executive Officer:

\_\_\_\_\_

### DART Commission Approval

Commission Meeting Date of Approval:

December 1, 2020





<b>Version Number and Updates</b>			
<i>Record the complete history of successive versions of this plan.</i>			
<b>Version Number</b>	<b>Section/Pages Affected</b>	<b>Reason for Change</b>	<b>Date Issued</b>
1		Original	December 2020



## Table of Contents

<b>Signature of Accountable Executive</b> .....	i
<b>DART Commission Approval</b> .....	i
<b>Abbreviations</b> .....	vi
<b>Definitions</b> .....	viii
<b>1. Organizational Overview</b> .....	1
<b>2. Agency Safety Plan Goals and Objectives</b> .....	2
<b>3. Annual Review and Update</b> .....	5
<b>4. Safety Performance Targets</b> .....	6
<b>5. Safety Performance Target Coordination</b> .....	7
<b>6. Safety Management Policy</b> .....	8
6.1. Safety Management Policy Statement.....	8
6.2. Safety Management Policy Communication .....	10
6.3. Authorities, Accountabilities and Responsibilities .....	11
6.3.1. Overview of DART Organizational Structure .....	11
6.3.2. Accountable Executive, Chief Executive Officer (CEO) .....	11
6.3.3. Chief Human Resources Officer (CHRO) .....	11
6.3.4. Deputy CEO and Chief Operations Officer (COO).....	11
6.3.5. Safety Manager .....	12
6.3.6. Safety and Training Specialist.....	13
6.3.7. DART Management .....	14
6.3.8. DART Operations and Maintenance Supervisors .....	14
6.3.9. All DART Employees .....	14
6.3.10. Responsibilities Summary.....	16
6.4. Employee Safe Reporting Program .....	17
6.5. Emergency Management and Local Coordination .....	17
6.5.1. Emergency Management .....	17
6.5.2. Coordination with External Agencies.....	18
6.5.3. Emergency Preparedness Planning .....	19
6.5.4. Emergency Drills .....	19
6.5.5. Implementation of Findings .....	19
6.5.6. Emergency Familiarization.....	20
6.5.7. Emergency Preparedness Training .....	20
6.5.8. Emergency Preparedness Exercises .....	21
6.5.9. Emergency Response Training .....	21



<b>7.</b>	<b>Safety Risk Management</b> .....	22
7.1.	Safety Risk Management Process.....	22
7.1.1.	Safety Department Activities.....	22
7.1.2.	General Safety Related Activities.....	24
7.1.3.	Planning Department Activities.....	24
7.1.4.	IT Department Activities.....	24
7.1.5.	External Affairs Department Activities.....	25
7.1.6.	Human Resources Department Activities.....	25
7.1.7.	Procurement Department Activities.....	26
7.1.8.	Executive Leadership Team Activities.....	27
7.1.9.	Transportation Operations Activities.....	27
7.1.10.	Facility Maintenance Activities.....	28
7.1.11.	Vehicle Maintenance Department Activities.....	28
7.1.12.	Risk Management Activities.....	29
7.1.13.	Security Activities.....	29
7.1.14.	Labor & Employee Relations Activities.....	30
7.2.	Safety Hazard Identification, Assessment, and Mitigation.....	30
7.2.1.	Hazard Identification and Analysis.....	31
<b>8.</b>	<b>Safety Assurance</b> .....	38
8.1.	Rules and Procedures Review.....	38
8.1.1.	Safety Related Operations and Maintenance Documents.....	38
8.1.2.	Rule Books.....	38
8.1.3.	Proficiency Testing – Operators.....	38
8.1.4.	Proficiency Testing Test Records and Trend Analysis.....	38
8.1.5.	Transit Asset Management.....	39
8.2.	Notification Thresholds.....	39
8.2.1.	State and Federal Notification.....	39
8.2.2.	Safety Department Notifications.....	40
8.2.3.	Accident Investigation, Notification, Reporting and Corrective Action Plans.....	40
8.3.	Internal Safety Audit Program.....	40
8.4.	Procurement and System Modifications.....	40
8.4.1.	Contractor Safety Coordination.....	42
<b>9.</b>	<b>Safety Promotion</b> .....	43
9.1.	Training.....	43
9.1.1.	Bus Operator Training.....	44
9.1.2.	Bus Maintenance Technician Training.....	44
9.1.3.	All Employee Training.....	44



- 9.1.4. Training Records ..... 45
- 9.1.5. Compliance with Training and Certification Requirements ..... 46
- 9.1.6. Compliance with Local, State, and Federal Safety Requirements ..... 46
- 9.2. Safety Communication ..... 48
  - 9.2.1. Marketing and Media Relations Tasks ..... 48
  - 9.2.2. Maintenance Toolbox Talks ..... 48
  - 9.2.3. Safety Bulletins ..... 48
  - 9.2.4. Break Room Monitors..... 49
  - 9.2.5. Safety Posters..... 49
  - 9.2.6. Work Assignment Job Safety Briefings ..... 49
  - 9.2.7. Safety Awareness..... 49
  - 9.2.8. Safety Performance Awards ..... 49
  - 9.2.9. Hazard, Employee Safe Reporting, and Safety Suggestion Box Feedback ..... 50
- Appendix A – DART Organization Chart..... 51**



## Abbreviations

AARs	After Action Reports
ADA	Americans with Disabilities Act
APTA	American Public Transportation Association
ASP	Agency Safety Plan – shortened version of PTASP
CAP	Corrective Action Plan
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
CHRO	Chief Human Resources Officer
COO	Chief Operations Officer
DART	Des Moines Area Regional Transit Authority
DMPS	Des Moines Public Schools
DR DO	Demand Response – Directly Operated
DT PT	Demand Response Taxi – Purchased Transportation
EAP	Employee Assistance Program
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
ERP	Emergency Response Plan
ERT	Emergency Response Team
FEMA	Federal Emergency Management Agency
FMLA	Family and Medical Leave Act
FTA	Federal Transit Authority
HESSP	Homeland Security Exercise and Evaluation Program
HSPDs	Homeland Security Presidential Directives
IC	Incident Command
ICS	Incident Command System
IHR	Initial Hazard Rating
IOWA DOT	Iowa Department of Transportation
JHA	Job Hazard Analysis
MB DO	Motor Bus – Directly Operated
MPO	Metropolitan Planning Organization
NACTO	National Association of City Transportation Officials
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NTD	National Transit Database
NTSB	National Transportation Safety Board
OSHA	Occupational Safety and Health Administration
POC	Point of Contact
PTASP	Public Transportation Agency Safe Plan
SDS	Safety Data Sheets
SMS	Safety Management System
SOP	Standard Operating Procedure
VP DO	Van Pool – Directly Operated



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## Definitions

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

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

**Event** - Any Accident, Incident, or Occurrence.

**FTA** - The Federal Transit Administration, and operating administration within the United States Department of Transportation.

**Hazard** - 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** - 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** - 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** - The plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.

**Occurrence** - 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** - A provider of transportation as defined under 49 U.S.C. 5302(14).

**Performance measure** - An expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress towards meeting the established targets.

**Performance target** - A quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA).

**Public Transportation Agency Safety Plan** - The documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part (673.5).

**Public Transportation Safety Certification Training Program** - Either the certification training program for Federal and State employees, or other designated personnel, who conduct safety audits and examinations of public transportation systems, and employees of public transportation agencies directly responsible for safety oversight, established through interim



provisions in accordance with 49 U.S.C. 5329(c ) (2), or the program authorized by 49 U.S.C. 5339 (c )(1).

**Risk** - The composite of predicted severity and likelihood of the potential effect of a hazard.

**Risk mitigation** - A method or methods to eliminate or reduce the effects of hazards.

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

**Safety Management Policy** - 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)** - 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 systemic procedures, practices, and policies for managing risks and hazards.

**Safety Management System (SMS) Executive** - the Chief Safety Officer or an equivalent.

**Safety Performance Target** - A Performance Target related to safety management activities.

**Safety Promotion** - 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** - 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** - A process within a transit agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.

**Serious injury** - Any injury which: (1) requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhage, 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** - A recipient or subrecipient 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 operated a railed fixed guideway public transportation system.

**State** - 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** - The condition in which a capital asset is able to operate at a full level of performance.

**State Safety Oversight Agency** - An agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329€ and the regulations set forth in 49 CFR Part 674.

**Transit Agency** - An operator of a public transportation system.

**Transit Asset Management Plan** - 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.





## 1. Organizational Overview

The Des Moines Area Regional Transit Authority (DART) is the transportation resource for the Greater Des Moines region, offering the largest network of buses in the State of Iowa as well as resources for those who vanpool, walk or bike. The Greater Des Moines region has changed dramatically in recent decades with a growing reputation and vision for competing on a global level. A significant part of our community's ability to compete is tied to the workforce, infrastructure, and economic vitality.

Transportation is a critical component of a region's competitiveness - vibrant, growing communities have strong public transit systems at the heart of their infrastructure to connect citizens with jobs, education, shopping and more. The DART Commission and staff have worked diligently to improve the regional transit system since it was formed in 2006. In October 2017, DART's governance structure was reconstituted to establish a Board of Commissioners with one representative for each of its member governments.

DART's current member governments include Altoona, Ankeny, Bondurant, Clive, Des Moines, Grimes, Johnston, Pleasant Hill, unincorporated Polk County, Urbandale, West Des Moines, and Windsor Heights.

Approximately 4.5 million rides per year are provided on DART's fixed route, paratransit, and vanpool services. DART has a fleet of 150 fixed route, on-call, and paratransit vehicles and 112 rideshare vans. DART provides its services from one transit hub, one operations and maintenance facility, 1,780 bus stops, more than 20 Park and Ride locations, and 33 bus stop shelters.

DART's administrative offices and transit hub are located at 620 Cherry St, Des Moines, Iowa 50309, and its operations and maintenance facility is located at 1100 Dart Way, Des Moines, Iowa 50309.

DART is funded by a combination of local property taxes, public-private partnerships, fares, a variety of grants, and FTA programs, including 5307, 5310, 5311, and 5339.

DART partners with the Des Moines Public School (DMPS) system to assist with transportation needs of middle and high school students. Service consists of additional morning and afternoon trippers that are open to the public and serve DMPS middle and high schools. In addition to transporting students to and from school, DART contracts with the district to provide free rides to all DMPS middle and high school students, with a valid student ID, after 4:30 p.m. on school days and all-day during weekends, holidays, and whenever school is not in session.



## 2. Agency Safety Plan Goals and Objectives

The DART Public Transportation Agency Safety Plan (ASP) establishes formal structure and processes to be used by DART to identify, assess, track, control, minimize, and resolve hazards associated with DART bus service delivery. The ASP will be used as a means of preventing injuries, incidents, system disruption, accidents, environmental damage, and other losses.

The ASP also demonstrates DART's commitment to safety and compliance through loss prevention programs. Furthermore, the ASP applies to the planning, design, procurement, construction, operations, and maintenance functions of the DART bus system. The ASP is approved by the DART Commission and implemented by the Safety Manager under the Chief Executive Officer.

DART's ASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan. In addition, DART embraces and participates with the Iowa Department of Transportation in achieving the statewide goal of zero traffic fatalities.

The focus in the development of the DART ASP is to provide safe and reliable movement of passengers throughout the transit system. The passengers and the general public must be confident that the DART transit system is a safe system. To achieve this, it is necessary to design, construct and maintain a system that is free from recognized hazards with the safety of passengers and the general public in mind. DART's objectives will be met by drawing information from system observation, local and state codes, federal guidelines, and specific DART requirements into a unified document to ensure a safe transportation system.

The goal of DART's ASP is to utilize and achieve the highest practical level of safety in order to protect passengers, employees, emergency responders, contractors, invitees, and property. At a minimum, the ASP ensures the following processes are incorporated into DART's system safety programs, plans, processes, and practices to achieve its goals to:

- ▶ Identify hazards or undesired events by examining historical data, causes, and contributing factors.
- ▶ Provide a level of safety that is consistent with transit bus standards.
- ▶ Assess risks by balancing the potential frequency of a hazard occurring against the severity of the event and quantify the event into acceptable or unacceptable categories.
- ▶ Eliminate, mitigate, or control unacceptable or undesirable hazards to acceptable levels.
- ▶ Determine if DART's goals and objectives were achieved.
- ▶ Monitor hazard resolution effectiveness and determine if there are unexpected hazards.
- ▶ Comply with federal, state, and local rules and regulations.
- ▶ Continually improve and evaluate system safety design.
- ▶ Ensure that all customers perceive the system is safe and secure by maintaining a high level of safety comparable to other transit systems as measured by maintaining a good safety record, and by maintaining the system in a state of good repair.



The Chief Executive Officer along with the Safety Manager, the Chief Human Resources Officer and Chief Operating Officer are responsible for the development of goals for the ASP. The Safety Manager is responsible to report directly to the CEO on compliance with the ASP.

The ASP's intent is to:

- ▶ Establish a clearly defined safety structure with lines of authority and responsibility to implement the program, processes, and policies that integrates safety into all aspects of DART functions.
- ▶ Provide means of measuring and achieving DART safety goals and initiatives, and compliance with rules and regulations.
- ▶ Provide multiple pathways for employees to report safety concerns, hazard, near misses and security concerns.
- ▶ Set procedures for review, approval, and documentation of system modifications to existing systems, vehicles, facilities, and equipment.
- ▶ Set processes to address safety issues for activation of new systems and modifications to existing systems, facilities, and vehicles prior to initiation of service.
- ▶ Establish standards for emergency preparedness and management.
- ▶ Ensure compliance to safety rules and regulations that impact operations or maintenance.
- ▶ Conduct an ongoing maintenance inspections program of vehicles, equipment, facilities, and maintenance cycles, with documentation and the integration of identified safety concerns into the hazard management process.
- ▶ Set safety training standards for employees and contractors.
- ▶ Establish a configuration management control process for modifications during operations.
- ▶ Establish standards for and compliance with the hazardous materials program, drug and alcohol program as well as procurement processes.
- ▶ Conduct continual internal reviews, and inspections to evaluate ASP compliance.

### ***Integrating Safety into all Aspects of DART***

The objective of safety at DART is the continual improvement of our processes and operations to maximize safety to the highest practicable level. This effort is undertaken by providing continual opportunities for employees to be reminded of safety, incorporate safe practices into their operations and multiple means for each employee to identify potential hazards.

The DART safety team accomplishes this through monthly safety meetings for bus operators and the maintenance department, safety committee meetings, weekly safety messages, safety poster campaigns, identification and mitigation of hazards, proactive reviews and inspections to identify potential hazards.

Within the different departments, multiple means of incorporating safety are presented. As examples:

- ▶ The planning department consults with Safety when implementing new bus routes, adding or moving service stops, adding or moving shelters, etc.



Des Moines Area Regional Transit Authority  
Public Transportation Agency Safety Plan



- ▶ Safety is a member of the Technology committee.
- ▶ Safety works with the External Affairs department on bus wraps, on-board signage, and on-board PSAs
- ▶ Safety works with the Procurement department to review safety related language in contracts and safety related features of vehicles being considered for purchase.



### 3. Annual Review and Update

The DART Public Transportation Agency Safety Plan is reviewed at least annually, and updated to reflect organizational, process, and other safety program changes. The PTASP is also updated on an as-required, event-driven basis, all of which is intended to promote continuous improvement within the plan.

The responsibility to review the Plan annually, assess its effectiveness, develop and propose changes, solicit internal and external reviews, implement and control the revisions and distribute the changes rests with the Safety Manager. Throughout the year, the Safety Manager in consultation with the Transportation Manager, Maintenance Manager, HR Manager, and the Safety and Training Specialist will keep a record of PTASP performance and make notes regarding any omissions, corrections, additions, and clarifications that should be addressed in the annual review.

The review and necessary revisions include, but are not limited to the following:

- ▶ Accident investigations
- ▶ Changing trends in accident/incident data
- ▶ New, extended, or upgraded service or routes
- ▶ New or retrofitted rolling stock or non-revenue vehicles and equipment
- ▶ New or rehabilitated facilities
- ▶ New or revised emergency operating procedures
- ▶ Change in management or organizational change and reassignment of functional responsibilities which affect operations and/or safety
- ▶ Change in safety policies, goals or objectives
- ▶ Change in regulatory requirements; or reporting requirements
- ▶ At the request of DART Leadership
- ▶ As a result of internal or external audit findings
- ▶ Iowa DOT on-site reviews or upon written notification of the Iowa DOT

DART intends to achieve continuous improvement within the performance targets as well as in improving processes and procedures that reduce safety risk, training programs that improve skills, knowledge and abilities, and engineering and administrative controls that mitigate or eliminate hazards. This will be accomplished, for example, through lessons learned, in addition to risk-based internal safety reviews.

The Safety Manager coordinates proposed revisions to the PTASP with appropriate department managers and executive team members. The DART CEO approves all updates to the plan. The PTASP is maintained in electronic format and available to personnel on the intranet located under the Safety Management Systems tab along with other Minimum Standards for Safety documents.

Annual revision of the PTASP will be completed by January 31 of each year and submitted to the DART Commission for approval no later than the March Commission meeting of that year.



## 4. Safety Performance Targets

The following Performance Targets are aligned with the National Public Transportation Safety Plan supporting the 4 measures; Fatalities, Injuries, Safety Events & System Reliability.

<b>Safety Performance Targets (FY 2021)</b>							
<b>Mode of Transit Service</b>	<b>Fatalities</b>	<b>Fatalities per 100/K miles</b>	<b>Injuries</b>	<b>Injuries per 100/K miles</b>	<b>Safety Events</b>	<b>Safety Events per 100/k miles</b>	<b>System Reliability</b>
<b>Fixed Route Bus (MB DO)</b>	0	0	13.0	2.0	15.0	3.0	8,500
<b>Paratransit Bus (DR DO)</b>	0	0	2.0	1.0	3.0	1.0	21,000
<b>Rideshare (VP DO)</b>	0	0	1.0	1.0	1.0	1.0	138,000
<b>Taxi (DT PT)</b>	0	0	1.0	1.0	1.0	1.0	7,400

System reliability is the mean distance between major mechanical failures, by mode of transit service.



## 5. Safety Performance Target Coordination

DART works in accordance with its local Metropolitan Planning Organization (MPO), the Des Moines Area Metropolitan Planning Organization (MPO). DART's Planning Department communicates all performance targets to the MPO.

DART will select safety performance targets on an annual basis and makes this information available to the MPO, as required under the Mobilizing Tomorrow 2050 long-range plan and the most recent Transportation Improvement Program (TIP). DART will also submit this to the Iowa Department of Transportation under the requirements of State Safety Oversight. The MPO strategically utilizes this information in order to make investment and policy decisions to achieve national performance goals. It establishes safety performance measure requirements for the purpose of carrying out the State's Highway Safety Improvement Plan and to assess fatalities and serious injuries on all public roads.

<b>Safety Performance Target Coordination with local Metropolitan Planning Organizations (MPO) and State Agencies</b>		
<b>Safety Performance Targets Transmitted</b>	<b>MPO or State Agency Name</b>	<b>Date Targets Transmitted</b>
	Des Moines Area MPO	March 31, 2020
	Iowa Department of Transportation – Office of Public Transit	March 31, 2020



## 6. Safety Management Policy

### 6.1. Safety Management Policy Statement

The Des Moines Area Transit Authority (DART) mission is to enrich lives, connect communities and expand opportunities for those we serve. As we work to fulfill our mission, safety is a key component to our overall strategy and decision-making process. Safety affects all aspects of the DART organization including operations, maintenance, planning, design, procurement, and training. Therefore, all DART staff members are charged with the responsibility of promoting the safety and security of customers, fellow employees, and the general public who interact with the DART system.

The safety and security of our customers and our employees are DART's greatest responsibilities. In addition, all DART employees and contractors are expected to conduct their duties in a safe manner that will prevent collisions, reduce injuries, and avoid property damage.

Each employee must operate safely by using equipment, tools, and materials properly, and be familiar with work rules and procedures for their areas of responsibility. Each employee shall take an active role in the identification and reporting of hazards. Supervisors shall actively participate in the assessment and resolution of hazards and cooperate with DART safety staff to eliminate or control hazards throughout the DART system.

DART management will provide leadership in promoting safety throughout the organization. The CEO and the executive leadership team will be continually and directly involved in formulating, reviewing, and revising the Safety Management Policies and safety goals and objectives. DART management will provide the authority and support to establish and maintain high safety standards in operations, maintenance, and training.

Every DART employee and contractor shall comply with the provisions of the Agency Safety Plan and shall fully cooperate with Safety staff in achieving DART's safety goals and objectives.

As part of its commitment to safety, DART will:

- ▶ Instill a just safety culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention as those applied to the other management systems of the organization.
- ▶ Integrate the management of safety as a prime responsibility of all managers and employees.
- ▶ Support safety efforts with the appropriate financial resources.
- ▶ Establish a culture whereby management leads by example.
- ▶ Clearly define for all staff, managers, employees and contractors alike, their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of our safety management system.
- ▶ Establish and operate hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance.





- ▶ Ensure that no retaliatory action is taken against any employee who discloses a safety concern through the employee safety reporting program.
- ▶ Comply with, and whenever possible exceed, legislative and regulatory requirements and standards.
- ▶ Ensure that skilled and trained staff are available to implement safety management processes.
- ▶ Ensure that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated tasks commensurate with their skills.
- ▶ Establish and measure safety performance against realistic and data-driven safety performance indicators and safety performance targets.
- ▶ Continually improve safety performance through management processes that ensure appropriate safety management action is taken and is effective.
- ▶ Ensure externally supplied systems and services to support operations are provided to meet internal safety performance standards, regulatory requirements and industry best practices.

December 1, 2020

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Elizabeth Presutti, Chief Executive Officer  
Accountable Executive

DATE



## 6.2. Safety Management Policy Communication

The safety management policy is communicated throughout the organization via new employee on-boarding, yearly review at Bus Operator and Maintenance Department monthly safety meetings, administrative employee quarterly meeting, and is posted in visible locations throughout DART facilities.

The ability to communicate safety information in a timely and professional manner is important for DART's Public Transportation Agency Safety Plan to function as intended. The Safety Management Policy Statement and this Public Transportation Agency Safety Plan will be printed in manual form and distributed across the organization to be referenced by management, union leadership and others.

Documents that set forth the DART Public Transportation Agency Safety Plan and the implementation of the Safety Management System (SMS) will be stored on the shared drive accessed only by members of the Safety Department and backed up according to information systems procedures.

The DART Public Transportation Agency Safety Plan will be communicated throughout the organization in the following ways:

- ▶ DART employee communication platforms
  - ▷ Bulletin board postings
  - ▷ Greenshades, a human resources management system
  - ▷ SharePoint, a file-sharing system that provides regular organizational updates
- ▶ New employee onboarding
- ▶ Bus Operator and Maintenance safety meetings
- ▶ Maintenance Toolbox meetings
- ▶ Administrative quarterly meetings
- ▶ DART Committee meetings
  - ▷ Labor Management
  - ▷ Accident review
  - ▷ Safety Committee



## 6.3. Authorities, Accountabilities and Responsibilities

### 6.3.1. Overview of DART Organizational Structure

The Organizational chart shown in **Appendix A** shows the management structure for DART including the DART Commission, Chief Executive Officer, Executive Leadership Team, Safety Manager and department, as well as Chief Operations Officer and operations department.

### 6.3.2. Accountable Executive, Chief Executive Officer (CEO)

The Chief Executive Officer is the designated Accountable Executive for SMS. The Accountable Executive for the Safety Management System is responsible for ensuring the following:

- ▶ Champions the Public Transportation Agency Safety Plan, SMS, and the promotion of safety culture and requires that all relevant safety-related information be communicated and used in decision-making processes.
- ▶ Reviews and accepts DART's Public Transportation Agency Safety Plan.
- ▶ Ensures the implementation of DART's Safety Management Policy Statement in Section 1.0. as well as DART's Safety Management Systems (SMS) throughout the DART transit system.
- ▶ Ensures action is taken to address substandard performance in DART's SMS.
- ▶ Allocates staff time and resources to carry out the provisions of this plan.
- ▶ Provides the DART Commission with an accurate and ongoing assessment of safety performance and culture at DART.

### 6.3.3. Chief Human Resources Officer (CHRO)

The Chief Human Resources Officer has direct oversight over DART's safety program and holds a direct line of reporting to the Accountable Executive. The Chief Human Resources Officer oversees the strategic plan initiatives related to safety culture and safety performance. This individual also provides guidance to the Safety Manager and the Safety Department, champions SMS and PTASP, and promotes a positive safety culture.

### 6.3.4. Deputy CEO and Chief Operations Officer (COO)

The Deputy CEO and Chief Operations Officer (COO) is responsible for the safety of all DART operations and implementing the SMS within the Transportation and Maintenance Departments. The COO is responsible for:

- ▶ Promoting the safety culture.
- ▶ Allocating staff time and resources necessary to carry out the provisions of this plan.
- ▶ Providing operations and maintenance input for system safety activities.
- ▶ Collaborating with the safety team to develop and implement corrective action plans for safety issues and ongoing changes/modifications to the system.
- ▶ Reviewing and staying current with all safety rules and procedures governing operation and maintenance transit bus systems.



- ▶ Ensuring maintenance of Standard Operating Procedures and Emergency Operating Procedures.
- ▶ Requiring the Transportation and Maintenance Managers to establish and maintain clear and unambiguous lines of authority and responsibility for ensuring safety measures and procedures are in place for meeting safety performance targets.
- ▶ Ensuring that all relevant safety-related information be communicated and used in decision-making.
- ▶ Reporting safety concerns/hazards via any and all means available, to include the Safety Committee, Safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster CAD/AVL Incident Report.

### 6.3.5. Safety Manager

In order to maintain DART's reporting hierarchy and satisfy the PSTAP requirement that the Safety Department be independent of Operations, DART's Safety Department reports to the Chief Human Resources Officer (CHRO). The Safety Manager provides oversight of the safety team, directs the investigation of accidents and evaluates DART facilities for compliance with federal, state and local safety standards. The Safety Manager oversees the utilization of the Safety Management System and implementation of the PTASP. The Safety Manager promotes safety campaigns and safety award/incentive programs to reduce passenger, employee and vehicle accidents, injuries and illnesses. The Safety Manager facilitates the activities of the Safety Committee and other committees such as the accident review committee. The Safety Manager is expected to address serious safety concerns and all other safety issues requiring the involvement of the CEO.

The Safety Manager meets the requirements set forth in U.S.C. 49 and the is the designated SMS Executive and is responsible for:

- ▶ Advocating for a safety culture.
- ▶ Managing and updating SMS & ASP policies, processes and procedures based on experiences and lessons learned.
- ▶ Reviewing and updating this SMS and Implementation Plan at least annually.
- ▶ Providing additional guidance material (as required) to further strengthen and clarify the SMS processes.
- ▶ Managing the Safety Risk Management and Safety Assurance processes and outputs.
- ▶ Facilitating coordination of Safety Risk Management, evaluations and investigations, and controls with special attention to cross-organizational impacts.
- ▶ Monitoring the safety performance of DART operations and activities through formal data collection and analysis.
- ▶ Establishing and maintaining safety risk register and safety event log to monitor and analyze trends in hazards, occurrences, incidents and accidents.
- ▶ Tracking safety-critical issues and corrective actions to conclusion, using appropriate tracking systems.
- ▶ Federal Transit Authority and Occupational Health and Safety Administrative issues.



- ▶ Investigating, analyzing and identifying the cause or probable cause of all hazards, incidents or accidents at DART.
- ▶ Administration and continuing improvement of the company Safety Program.
- ▶ Administration and coordination of continuing improvement of DART's Emergency Operations Plan.
- ▶ Coordinating DART's activities and support capabilities with local emergency response agencies.
- ▶ Reporting safety concerns/hazards via all means available, to include the Safety Committee, Safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster Incident Report.

### 6.3.6. Safety and Training Specialist

The Safety and Training Specialist is responsible for system safety functions including, but not limited to:

- ▶ Design reviews and incorporation of safety requirements into contract documents.
- ▶ Implementation and administration of the PTASP with other DART departments.
- ▶ Occupational safety and health and fire safety inspections and audits.
- ▶ Life safety evacuation drills.
- ▶ Review of operations and maintenance reports for safety impact and hazard identification.
- ▶ Incorporation of safety requirements into operating plans, procedures, and training programs.
- ▶ Participation on safety committees and boards on behalf of the Safety Manager.
- ▶ Defining and proposing required safety policies, plans, rules and procedures.
- ▶ Maintenance of the PTASP.
- ▶ Safety inspections and audits throughout DART departments related to facilities, equipment, personnel and procedures.
- ▶ Routing safety data and identified hazards for review and analysis.
- ▶ Investigation of accidents.
- ▶ Performing DART safety audits, ride checks and field observations.
- ▶ Serving as an advisor to local safety committees and supporting executive safety committee meetings with safety information updates.
- ▶ Tracking, analyzing and interpreting statistical data concerning occupational illnesses, injuries and accidents to identify trends and recommending appropriate corrective actions.
- ▶ Facilitating the tracking status of safety critical open items and corrective actions to closure and performing assurance audits throughout DART as directed.
- ▶ Coordinating hazard reporting, performance measures, job hazard analysis, and Toolbox Talk Sessions.



- ▶ Providing guidance and input on training matters of occupational safety, health and fire protection to all DART departments.
- ▶ Overseeing that safety precautions are taken when working with and disposing of hazardous substances and waste.

### 6.3.7. DART Management

All DART managers are accountable and responsible for:

- ▶ Implementing the safety risk management, safety assurance, and safety training and communication protocols of their department.
- ▶ Ensuring safety performance within their functional areas.
- ▶ Ensuring procedures are consistent with the SMS.
- ▶ Determining and implementing countermeasures required to counteract safety risks and manage issues that negatively impact DART safety performance.
- ▶ Supporting and requiring employees within their department to participate in safety training activities.
- ▶ Integrating Safety Risk Management (SRM) into existing processes.
- ▶ Reporting safety concerns/hazards via any and all means available, to include the Safety Committee, safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster Incident Report.

### 6.3.8. DART Operations and Maintenance Supervisors

DART Operations and Maintenance Supervisors are accountable and responsible for:

- ▶ The safety performance of all personnel and equipment under their supervision.
- ▶ Implementing and maintaining safety-related control measures/mitigations.
- ▶ Familiarizing employees with the safety requirements and hazards associated with the work to be performed.
- ▶ Documenting and Responding to identified hazards that may impact safety performance.
- ▶ Sharing lessons learned from incidents.
- ▶ Implementing and adhering to SMS procedures and processes within their span of control.
- ▶ Reporting safety concerns/hazards via any and all means available, to include the Safety Committee, safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster CAD/AVL Incident Report.

### 6.3.9. All DART Employees

All DART employees are responsible for:

- ▶ Becoming familiar with the safety procedures for their assigned work activity.



- ▶ Performing their work safely.
- ▶ Following procedures and rules.
- ▶ Reporting mishaps and incidents to their supervisor and DART Safety department in accordance with established requirements for the protection of themselves, co-workers, customers, facilities, and equipment.
- ▶ Reporting safety concerns/hazards via any and all means available, to include the Safety Committee, safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster CAD/AVL Incident Report.



### 6.3.10. Responsibilities Summary

#### Roles at the Executive, Director, Manager, and Safety Department Levels

RESPONSIBILITIES	ROLES													
	CEO	Deputy CEO, COO	CFO	CHRO	Safety Manager	Training Manager	Maintenance Manager	Transportation Manager	Human Resources Manager	Procurement Manager	IT Director	Chief Planning Officer	Safety and Training Specialist	Business Analyst Manager
Goals and Objectives	P	S	S	S	S	S	S	S	S	S	S	S	S	S
SMS Control and Update	S	S	S	S	P								P	
Hazard Management Process	S	S	S	S	P	S	S	S	S	S	S	S	S	
Safety Data and Acquisition	S	S	S	S	P	S	S	S	S		P	S	P	P
Accident Investigation and Reporting	S	S	S	S	P	S	S	P	S		S		P	
Accident Retraining/Skills Development	S	S	S	S	S	P		P					P	
Emergency Management	P	P	S	P	P	S	S	S	S	S	S	S	S	S
Security	S	S	S	S	P	S	P	S	S	S	S	S	S	S
Cybersecurity	S	S	S	S	S	S	S	S	S	S	P	S	S	S
Internal Review/Audit	S	P	S	P	P	S	S	S	S	S	S	S	P	S
Rules Compliance	S	S		S	P	P	P	P	P	S	S		S	
Facilities Inspection and Maintenance	S	P			S		P						S	
Equipment Inspection and Maintenance	S	P			S		P						S	
Training Program	S	S	S	P	S	P	P	S	S				S	
Asset Management	S	P	S		P		P							
Local, State, and Federal Requirements	S	P	S	S	P	P	P	S	S	S	S	S	P	
Procurement	S	S	P		S		S	S		P	S			
Hours of Service	P	S	S	S	S		S	S		S		S		S

**Legend:**

“P” Denotes primary responsibility for an aspect the topic of the line

“S” Denotes support responsibility





## 6.4. Employee Safe Reporting Program

In order to encourage employees to assume a proactive role in hazard identification and reporting and fostering a safety culture in which employees feel safe from punitive actions when reporting safety concerns, DART has, as a part of the PTASP and SMS, adopted an Employee Safe Reporting System. While employees may submit their safety concerns, suggestions, and recommendations anonymously – they are encouraged to provide their contact information so that, in the event further details are required, they can be contacted.

Employees should feel secure from punitive action for reporting a safety violation provided the safety violation was not the result of:

- ▶ Intentional reckless actions that caused physical injury and/or damage to property.
- ▶ Criminally illegal action.
- ▶ Gross negligence.
- ▶ A demonstrated inability to learn from past events and act to prevent reoccurrence.

Employees from all departments are encouraged to report safety concerns via the following methods:

- ▶ Safety Suggestion boxes located in the operators' lounge at the bus garage and in the operators' breakroom at DART Central Station.
- ▶ Email, telephone call, or speaking directly to the Safety and Training Specialist, the Safety Manager, an on-duty dispatcher, or an on-duty supervisor.

## 6.5. Emergency Management and Local Coordination

### 6.5.1. Emergency Management

DART has developed this Emergency Response Plan (ERP) plan with the goal of providing safe transportation service to our customers, the citizens of our service area, and the employees of our company.

The DART Emergency Response Plan (ERP) provides a structured guide during periods of an emergency, whether natural or manmade disasters, as well as when disasters are forecasted or imminent. DART has adopted the protocols defined in the National Incident Management System and has formed an Emergency Response Team.

The Emergency Response Team (ERT) will be the key to the success of our emergency response actions. The ERT team will provide overall direction of the emergency response activities. With the decision-makers at one location, key personnel and resources can be utilized more efficiently. The coordination of emergency response activities will ensure that all tasks are accomplished with little or no duplication of effort.

The ERP will help us to:

- ▶ Provide a superior level of safety in our transit operations.
- ▶ Identify the succession plan and responsibilities for DART.
- ▶ Maximize our resources during an emergency or crisis.



- ▶ Continue our continuity of operations during emergencies.
- ▶ Comply with all agencies at the local, state and federal levels to minimize the impact during emergencies and to meet applicable requirements of regulatory agencies.
- ▶ Reinforce a culture that promotes safety as being the responsibility of every employee.

During many different types of emergencies, the role of DART is to support the efforts of police, fire and rescue workers. Transit equipment and personnel may be used for evacuations, to transport emergency workers or for warming/cooling areas at the scene of an incident. Normal transit services may need to be modified during such emergencies, but DART remains committed to providing transportation to the public to the greatest extent possible.

DART's emergency planning process includes the following categories:

- ▶ Transit Related Accidents
- ▶ Severe Weather
- ▶ High velocity winds and tornadoes
- ▶ Flooding
- ▶ Fire
- ▶ Pandemics
- ▶ Grade crossing accidents
- ▶ Derailments and collisions (mass casualties)
- ▶ Medical Emergency
- ▶ Hazardous Material Spill
- ▶ Acts of Violence
- ▶ Civil Unrest
- ▶ Acts of Terrorism
- ▶ Hazardous Materials
- ▶ Earthquakes
- ▶ Hijacking or hostage situation
- ▶ Terrorist attacks
- ▶ Chemical/Biological - Inside vehicle
- ▶ Chemical/Biological - Outside vehicle
- ▶ Bomb threats or explosives (includes weapons of mass destruction (WMD))

### **6.5.2. Coordination with External Agencies**

DART staff attends first responder meetings throughout the year and other emergency response meetings as required to coordinate and plan emergency response and proactive processes. Agencies represented at these meetings including local police, state police, FBI, Attorney General's office, fire departments, emergency medical service, county emergency management and public utilities.



DART also coordinates with the emergency responders in the municipalities in our service area as well as with other supporting agencies for planning, training and exercises to ensure comprehensive response to any adverse event on the system.

DART and the Polk County Emergency Management Agency (PCEMA) have a Memo of Understanding (MOU) whereby any municipality and /or emergency response agency may contact PCEMA to request DART resources to help prepare for an emergency, provide aid during an emergency, and assist with recovery from a natural disaster. Services that DART may provide include but are not limited to:

- ▶ Provide shelter at the scene of a building evacuation.
- ▶ Provide a heated or cooled space for first responders.
- ▶ Provide transportation for large numbers of people from uninhabitable dwellings.
- ▶ Provide transportation for people stranded due to accidents, weather events, or other such incidents.
- ▶ Provide the use of DART buses for responder training scenarios.
- ▶ Provide local first responders with training and familiarization opportunities for any new DART equipment and facilities.

### **6.5.3. Emergency Preparedness Planning**

DART's emergency management planning and preparation is consistent with the objectives outlined in the Homeland Security Presidential Directives (HSPDs) requiring implementation of the National Response Plan (NRP), the National Incident Management System (NIMS), the National Infrastructure Protection Plan (NIPP), and the National Preparedness Goal. The System Security Plan (SSP) provides additional details about DART's response to terrorist events.

### **6.5.4. Emergency Drills**

Emergency preparedness drills are planned and conducted with police, fire and emergency response personnel from Des Moines. On new extensions, extra tabletop exercises and drills are held to familiarize the departments with DART operations, its equipment and facilities, and procedures. In addition, facility emergency preparedness drills are conducted semi-annually. Emergency preparedness drills can include evacuation and severe weather sheltering. DART follows the Homeland Security Exercise and Evaluation Program (HSEEP) protocol.

### **6.5.5. Implementation of Findings**

After Action Reports (AARs) are developed following the completion of emergency drills and exercise scenarios. The ESSC reviews the After Action Reports and develops and implements appropriate actions to respond to the After Action Report recommendations. Discrepancies found as a result of corrective training or drills are corrected in the procedures developed by the appropriate department with the assistance of the Safety Department.



### 6.5.6. Emergency Familiarization

#### *Fire Departments*

Familiarization training is provided to local fire departments. Training is conducted and coordinated with DART Facilities and Safety departments. Included in the training is:

- ▶ Procedures for notification, control, and degree of responsibility on-site.
- ▶ Levels of service (equipment, personnel, etc.) to be delivered in response to various types of transit emergencies.
- ▶ Appropriate methods for communication and transfers of command.
- ▶ Familiarization with DART's equipment and facilities.
- ▶ Use of tools, equipment, and DART personnel to assist as necessary.
- ▶ Procedures to remove and restore power.
- ▶ Scheduled drills and exercises annually.

#### *Police Departments*

Familiarization training is also provided to local and regional police and law enforcement organizations including those law enforcement personnel specifically assigned off-duty officers employed by DART. Law enforcement training is conducted and coordinated with DART Facilities and Safety departments. Included in the training is:

- ▶ Procedures for notification, control, and degree of responsibility on-site.
- ▶ Familiarization with DART equipment and facilities.
- ▶ Scheduled drills and exercises annually.

### 6.5.7. Emergency Preparedness Training

DART incorporates emergency management training through various safety, public safety, and operations training programs in order to achieve the following objectives:

- ▶ Applicable management, operations, and maintenance rules, procedures, and plans are effectively documented and conveyed to those responsible for their implementation.
- ▶ Oversight to ensure DART personnel responsible for dispatching and controlling assets to administer, operate, and maintain the system's safety and security equipment and facilities.
- ▶ Safety-related rules and procedures for management, operations, and maintenance personnel are documented and effectively implemented by all employees as required.
- ▶ Emergency procedures have been developed, documented and are successfully implemented by all personnel as required, including public safety personnel (if appropriate).
- ▶ Transportation personnel and local emergency responders understand the hazards of the transportation environment.
- ▶ An adequate level of preparation is maintained for a possible emergency.



Additional training typically addresses rules, policies, and procedures, as well as many of the hazards in the transportation environment (e.g., high voltage power, roadway safety, hazardous materials and alternate fuels, medical emergencies or blood-borne pathogen awareness, personal safety, and injury prevention). NIMS and Incident Command System (ICS) orientation and training activities are ongoing. All employees participate in the DART Emergency Response Plan training.

#### **6.5.8. Emergency Preparedness Exercises**

At a minimum, one emergency tabletop or field exercise is planned and conducted annually to ensure the adequacy of emergency plans and procedures and the ability of DART personnel to respond under emergency conditions. These exercises are evaluated through the use of an after-action debriefing. The results of the debriefing will be analyzed to document the lessons learned and what actions are needed to improve DART emergency operations capabilities.

#### **6.5.9. Emergency Response Training**

All front-line DART transportation and maintenance personnel will be trained in emergency response to ensure they have a complete understanding of what their roles and responsibilities are during an emergency incident. The extent of the training will be based on their anticipated role during the incident. The minimum training that will be provided on the emergency plans and procedures will be to the level that the employee can reasonably be expected to respond to. Training to familiarize with fire, rescue and other emergency service personnel with special transit system requirements is coordinated through the Safety Department.



## 7. Safety Risk Management

The second pillar of the Agency Safety Plan is Safety Risk Management, describing how DART identifies, evaluates, tracks and mitigates hazards and risk in the organization and on the transit system.

### 7.1. Safety Risk Management Process

The Safety Department collaborates with all DART departments to ensure adequate safety control measures are incorporated into daily and special operations, and that efforts are taken to resolve significant safety issues.

#### 7.1.1. Safety Department Activities

The Safety Department is responsible for conducting comprehensive investigations of collisions, passenger and employee injuries/illnesses and fatalities, major fires, and other serious incidents that may occur. In addition, Safety conducts formalized hazard assessments of systems, facilities and equipment. The DART Safety Committee assists the Safety Department in safety reviews and audits, processing Hazard Reporting Forms and hazard identification throughout the DART system.

The Safety Department is responsible for the development and implementation of a health and safety program to protect DART employees in the work environment and passengers in the transit system's environment. This function is focused primarily on facilities, construction, maintenance, operating procedures, and the avoidance of hazards through compliance with instruction and the use of prescribed safety devices. Therefore, it conducts activities that concentrate on passenger and employee protection efforts, personal safety attitudes, and accident/incident data collection and analysis.

Another responsibility is minimizing hazards in the design and operation of the DART system. The Safety Department activities are focused on the identification and resolution of system safety hazards and on the inclusion of system safety requirements in the design and development of system elements such as facilities, buses, systems, equipment, procedures and training.

The following summarizes the general responsibilities of the DART Safety Department:

- ▶ Defines system safety requirements.
- ▶ Identifies and assists in investigating and resolving hazards with the system, including those related to maintenance, operation, and accident/incident investigation.
- ▶ Evaluates identified hazards and design action to eliminate or minimize and control the hazards.
- ▶ Incorporates safety into operation and maintenance procedures.
- ▶ Develops safety design criteria for incorporation into service design.
- ▶ Conducts hazard analyses of plans and specifications for new equipment and construction.
- ▶ Maintains system safety records in accordance with the Records Retention Schedule.
- ▶ Manages and implements the Public Transportation Agency Safety Plan.



- ▶ Performs or participates in accident and/or incident investigations, in accordance with DART procedures. These could include: collisions, non-revenue vehicle collisions, passenger or employee injuries or fatalities, fires, major equipment damage, and other major incidents and accidents that occur.
- ▶ Conducts safety assurance audits.
- ▶ Assures awareness of and monitors compliance with pertinent federal, state, and local safety codes and regulations, legislations and inspection requirements.
- ▶ Promotes employee motor vehicle safety and accident prevention.
- ▶ Recommends and monitors uses of equipment, tools and personal protective equipment.
- ▶ Supports fire prevention and control and emergency preparedness.
- ▶ Monitors for adequate lighting and noise levels in the facilities.
- ▶ Inspects facility cleanliness and housekeeping practices.
- ▶ Maintains a system to monitor the license status for all employees.
- ▶ Compiles and analyzes occupational accident information; design and implement programs to reduce incidence and severity of occupational injuries.
- ▶ Maintains electronic files of Safety Data Sheets (SDS).
- ▶ Coordinates safety-related activities to ensure that safety information is passed to all sections of the organization. Examples of information include collision and passenger accident data, occupational injury and illness loss data, safety committee meeting minutes, and safety inspection reports.
- ▶ Represents DART at professional safety meetings and seminars and ensures that the information gained at these outside events is shared with other divisions of DART as appropriate.
- ▶ Exchanges safety data with other transit systems.
- ▶ Reviews maintenance records to ensure that proper documentation is being recorded.
- ▶ Develops corrective actions and recommendations related to accidents, unacceptable hazardous conditions, and other safety issues uncovered through analyses and failure report data.
- ▶ Participates in training activities to ensure that safety elements are part of the curriculum, and that safety information is disseminated to all affected employees.
- ▶ Provides liaison with outside emergency response organizations and assists in such activities as familiarization training and emergency preparedness drills.
- ▶ Develops/updates safety rules/ procedures and emergency preparedness plans in cooperation with other departments and outside agencies as appropriate.
- ▶ Evaluates new projects and proposed system modifications from a safety perspective.
- ▶ Develops and manages incentive and safety award programs for DART employees.



### 7.1.2. General Safety Related Activities

The general safety-related tasks of DART Departments other than the Safety Department are outlined below. The listing of safety-related tasks recognizes the fact that the functional responsibilities at DART are not always vertically assigned but are distributed across departmental and divisional boundaries.

The development of specifications and design related responsibilities are spread amongst DART departments based on function:

- ▶ Rolling stock design, engineering and specifications for DART vehicles, including safety characteristics (flammability, smoke emission, braking, crash worthiness, doors) is the responsibility of the Maintenance and Procurement Departments.
- ▶ Facilities design (egress, construction, fire prevention and protection) is the combined responsibility of Maintenance and Safety department depending upon the project.
- ▶ Communication systems (radio) design and administration is the responsibility of the IT Director. Maintenance of the radio system is the responsibility of the Maintenance Department.
- ▶ Specifications for the procurement of materials, including safety characteristics, are the responsibility of the department user, in coordination with the Procurement Department. The Safety Department is consulted on the procurement of all hazardous substances. The Procurement Department reports to the Chief Financial Officer.

The following are functions of the Dispatch Center at DART:

- ▶ The Transportation Department Dispatchers are responsible for the control of all bus movements (Fixed Route and Paratransit) responding to radio calls for assistance and monitoring service performance throughout the service day. Service alerts, detour instructions, weather updates, and safety information is communicated between Dispatch Center and Bus Operators via the TransitMaster CAD/AVL text messaging system and radio-telephone interface.
- ▶ The Operations Road Supervisors are responsible for proficiency checks, field supervision; assistance in bus collision and personal injury incident investigations; schedule adherence; responding to customer service issues, equipment breakdown, or passenger issues; and determining detour needs.

### 7.1.3. Planning Department Activities

The Planning Department is responsible for service scheduling and service planning

Furthermore, employees in the Planning Department are also empowered to identify hazards in their work area and report them to the Safety department

### 7.1.4. IT Department Activities

The IT department was established to meet the increasing need for software management. The Department goal is to standardize software management, enhance training, create uniform job descriptions and establish a department that would acquire future/non-managed systems.





Additional tasks include:

- ▶ Maintaining the radio system (towers, portables, base stations, consoles) used in Dispatch.
- ▶ Maintaining the Trapeze software responsible for tracking Operator attendance and performance.
- ▶ Maintaining the TransitMaster System used to interface text messaging with Operators as well as the Incident Reporter platform used to log all incidents.
- ▶ Setting up new technology platforms, upgrading and updating software and license agreements with external providers, and providing training to users of the systems.

### 7.1.5. External Affairs Department Activities

The External Affairs Department is responsible for marketing, passenger communications, community outreach, business partnerships, media relations and public records requests. The safety responsibilities for the External Affairs Department include, but are not limited to:

- ▶ Coordinating and disseminating DART's safety messages to local, state, and federal governments and the general public.
- ▶ Interfacing with DART's Safety Manager in developing safety campaign ideas and identifying marketing budget resources for safety messages as needed.
- ▶ Creating, modifying and otherwise amending a Crisis Communications Management Plan.
- ▶ Ensuring data or statistics published by DART are vetted prior to release to the media or in other materials.
- ▶ Being aware of upcoming drills, exercises, other scheduled activities in which there may be public involvement or public perception of a crisis, or other media worthy activity.
- ▶ Ensuring that safety information is up to date and available on vehicles, the DART website, and at DART Central Station.
- ▶ Ensuring that safety information provided through social media (i.e. Twitter and Facebook) and alerts are also posted to DART alert subscribers.

### 7.1.6. Human Resources Department Activities

The Human Resources Department is responsible for reviewing and updating hiring standards to assure that safety critical skills and qualifications are included in the selection process. Additionally, the Human Resources Department:

- ▶ Coordinates with DART staff to develop formal standards and procedures for the evaluation and certification of probationary employees.
- ▶ Verifies previous employment record.
- ▶ Verifies required licenses and certifications prior to hiring.
- ▶ Ensures new hires receive safety training during orientation.
- ▶ Maintains training records and ensures on-going and refresher training is conducted based on job descriptions, the outcome of gap analyses, and recommendations from audits and investigations.



- ▶ Establishes a regular system of employee performance evaluation that includes evaluation of compliance with safety rules and procedures.
- ▶ Monitors the evaluation process to assure timeliness and inclusion of safety items.
- ▶ Reviews and modifies position descriptions to reflect safety responsibilities and new functions as they occur.
- ▶ Establishes a system for prioritizing the filling of vacant positions that, if not timely, may impact the safety of the DART system.
- ▶ Establishes formal pass/fail standards for each employee classification.
- ▶ Coordinates medical evaluations in relation to CDL license renewal.
- ▶ Administers DART's Drug and Alcohol Programs and other health/medical related policies (i.e. FMLA, Employee Immunizations, Independent Medical Exams, Medical Questionnaires, EAP and Hearing Exams).

### 7.1.7. Procurement Department Activities

The Procurement Department ensures that materials, equipment, construction and services are obtained in a timely, efficient and economical fashion, adhering to principles of good administrative practices, sound business judgment within the parameters of federal, state, and DART requirements. All purchases shall be conducted in a manner that provides maximum open and free competition and not unduly restrict or eliminate competition. The Procurement Department shall include the Safety Department for all RFP panels that include the purchases of chemicals and rolling stock and shall forward Safety Data Sheets (SDS), for chemicals not previously approved, to the Safety Department for review and approval prior to award.

Purchasing goods and services for DART must be a cooperative effort, and it shall be the responsibility of all DART staff involved in the purchasing process to employ sound judgment and appropriate standards of ethics and fairness in carrying out their individual responsibilities and tasks.

Procurement reviews each proposed contract for safety implications, including whether safety performance standards should be specified. It assigns responsibility for monitoring the safety provisions of each contract to the contract administrator who, in turn, coordinates with the Safety Department. Procurement verifies that contracts include provisions for federal, state and local regulatory compliance.

For construction related procurements and projects the procurement department will:

- ▶ Maintain as-built drawings and configuration management for systems, equipment, and facilities.
- ▶ Review contracts to assure inclusion of safety design criteria.
- ▶ Establish procedures for verification of system safety and construction safety requirements in contracts.
- ▶ Establish procedures for construction/contract monitoring to assure compliance with safety requirements.
- ▶ Conduct construction inspections.



### 7.1.8. Executive Leadership Team Activities

Members of the Executive Leadership Team are responsible for establishing policies and procedures for conducting accident investigations and documenting findings and results. The Executive Leadership Team establishes formal policies for the usage of vehicles, accident reporting, responsibility for safe operation and compliance with operating procedures and preventive maintenance program. Furthermore, Executive Leadership establishes policy for an employee safety program, and assigns responsibility for program management to include:

- ▶ Safety awareness information.
- ▶ Safety incentives with joint labor management design (Awards & Recognition Committee).
- ▶ Periodic evaluation.

The Executive Leadership Team establishes and assigns responsibility for managing a loss prevention program for DART by:

- ▶ Establishing policy for hazard identification, assigning responsibility and establishing procedures for program implementation.
- ▶ Assigning responsibilities to conduct safety analyses on new construction, engineering change proposals, and hazard analyses.
- ▶ Establishing safety goals and objectives for each department.

### 7.1.9. Transportation Operations Activities

Transportation Operations tasks include but are not limited to the following:

- ▶ Develop, evaluate and update operating procedures.
- ▶ Develop procedures for abnormal and failure recovery conditions, including Continuity of Operations Plans.
- ▶ Familiarize personnel with safety equipment, use and location.
- ▶ Identify unsafe practices and procedures throughout the transit system.
- ▶ Investigate unsafe practices and procedures as well as accidents and injuries.
- ▶ Conduct analyses of operational data to identify trends and determine if additional procedures should be developed to mitigate operational problems.
- ▶ Help establish disciplinary actions for unsafe acts, practices and rule violations (incorporated as part of the union contract).
- ▶ Supervise all operations in accordance with applicable safety rules and procedures.
- ▶ Oversee the post-accident testing program and vehicle procedures.
- ▶ Finalize incident report forms and recording any additional information needed for a thorough investigation.
- ▶ Help establish safety-training requirements for various positions.
- ▶ Participate in drills and simulations to validate procedures and training.
- ▶ Establish requisite tests and inspections.



- ▶ Ensure that safety performance is a part of employee evaluation and promote a positive safety culture.

### 7.1.10. Facility Maintenance Activities

DART Facility Maintenance tasks include:

- ▶ Establish policies and procedures for daily/shift inspection of safety critical items.
- ▶ Establish preventive maintenance program for key equipment and facility components to assure employee safety and loss prevention.
- ▶ Establish policies and procedures for tagging defective equipment, and work-around procedures where appropriate.
- ▶ Help define support equipment, personnel and procedures for responding to an emergency and facility alarm situation.
- ▶ Help define safety-training requirements related to maintenance of facilities and mechanical equipment (HVAC, emergency ventilation, pumps, fire suppression, etc.).
- ▶ Identify and investigate unsafe practices and procedures throughout facilities.
- ▶ Establish disciplinary actions for unsafe acts, practices, or rule violations (part of union contract).
- ▶ Define safety critical elements and establish maintenance priorities for them.
- ▶ Perform monthly inspections of all Underground Storage Tanks (USTs) and maintain a current environmental compliance evidence binder containing CITME records of monthly UST inspections, monthly Veeder Root compliance reports, annual UST inspection reports, UST permits & insurance certificates, and EPA required training documentation to operate and maintain the USTs.
- ▶ Acquire and maintain current hazardous substances permits for such items as propane, acetylene, used oil and the underground storage of fuels.
- ▶ Complete recommendations submitted by the fire insurance carrier.
- ▶ Perform inspections of hazardous waste storage and correct any deficiencies. Also ensure proper labeling on hazardous, universal and nonhazardous waste.

### 7.1.11. Vehicle Maintenance Department Activities

DART Vehicle Maintenance Department tasks include:

- ▶ Ensure required equipment is available on vehicles and establishes a checklist procedure to assure compliance.
- ▶ Adhere to preventive maintenance inspection guidelines for each vehicle type, monitors and controls compliance to assure timely completion.
- ▶ Maintain the maintenance records for all DART vehicles, monitoring vehicle condition and maintaining preventive maintenance program.
- ▶ Monitors and leads vehicle maintenance activities, which includes supervising vehicle inspection processes performed by employees and external contractors and monitoring compliance with applicable FTA regulations.
- ▶ Oversees new vehicle acceptance and in-service inspection processes.



- ▶ Monitors and participates in the evaluation of components for vehicles and specialty equipment; determines operational needs for new vehicle specifications.
- ▶ Defines support equipment, personnel and procedures for responding to emergencies as well as abnormal or failure recovery conditions.
- ▶ Identifies and investigates unsafe practices and procedures throughout the systems.
- ▶ Helps investigate accidents and incidents.
- ▶ Establishes disciplinary actions for unsafe acts, practices, or rule violations (part of union contract).
- ▶ Defines safety critical elements and establishes maintenance priorities for them.
- ▶ Helps establish safety-training requirements for critical maintenance activities including but not limited to the following:
  - Participates in drills and simulations to validate procedures and training.
  - Develops and verifies that maintenance procedures are in place for vehicle maintenance activities.
  - Ensures adequate tracking of all chemicals used in respective paint booths to demonstrate de minimus emissions status during potential air quality inspections.

#### **7.1.12. Risk Management Activities**

The Safety Department in coordination with the Finance Department is responsible for risk management activities that:

- ▶ Compile and maintain records of claims and related costs.
- ▶ Prepare and distribute regular management reports.
- ▶ Coordinate the accident data compilation process providing DART-wide statistics and data used by management and the safety committee to develop plans of action for continual improvement in the experience of preventable collisions, employee injuries, passenger accidents and asset protection.

#### **7.1.13. Security Activities**

The Safety Department and Maintenance departments are responsible for security tasks that include:

- ▶ Establish reporting systems for security issues.
- ▶ Establish, maintain, and implement the System Security Program Plan.
- ▶ Establish, maintain, and implement the Emergency Operations Plan in partnership with the Safety Department.
- ▶ In concert with affected departments establish, maintain and practice emergency procedures for accidents, intentional incidents and acts of nature that impact the safety and security of DART.



### 7.1.14. Labor & Employee Relations Activities

The Human Resources Department and the Operations Department are responsible for negotiating labor contracts that:

- ▶ Identify management rights for assigning work, establish work rules of acceptable performance standards, and provide a performance management system for recognizing, coaching, and formally disciplining employees.
- ▶ Establish a process for developing management strategies for labor contract changes that address bus operations and employee safety issues and provide support for front-line staff in effectively enforcing safety rules and procedures.
- ▶ Provide assistance with conflict resolution techniques to resolve labor/management conflicts in a way that does not disrupt safe operating procedures.

## 7.2. Safety Hazard Identification, Assessment, and Mitigation

The management of identified hazards is a vital component of the DART Safety Management System. A hazard is defined as a condition or set of conditions, internal or external to DART, which when activated could cause injury or death or damage or loss of equipment or property. An unacceptable hazard is a condition that may endanger human life or property or result in system loss. This includes harm to passengers, employees, contractors, equipment and to the general public. These hazardous conditions must be mitigated. Hazards are identified in several different internal and external sources. Hazards may be observed in the operating environment, through procedures, during system modifications and capital projects, accidents, extensions or operational changes.

DART has implemented the guidance as outlined in FTA's Clarification Letter September 6, 2007 on the hazard management requirements. The Hazard Management Program applies to all DART employees and obligates everyone to constantly observe hazards in their work areas and report them to their Safety Committee, the Safety Department, or to their supervisor or manager. The overall hazard management program incorporates a system-wide hazard identification process, including activities for:

- ▶ Identification
- ▶ Investigation
- ▶ Evaluation and analysis
- ▶ Control and elimination
- ▶ Tracking
- ▶ Ongoing communication to DART Leadership relating to hazard management activities and status

The following Hazard Management Program overview lays out an overall description of how hazards are identified, evaluated, analyzed, controlled or eliminated, tracked and reported to the DART Leadership team.

- ▶ The Safety Department is the primary point of contact (POC) for the Hazard Management Program.
- ▶ The Safety Department will enter identified hazards into the electronic hazard reporting system. The Safety Department, in conjunction with the applicable department



manager, will develop a Corrective Action Plan (CAP) for each unacceptable and undesirable hazard entry and identify a point of contact or owner of the hazard and places this information within the hazard reporting system for tracking purposes.

- ▶ CAPs may also be identified as a result of an incident and investigation.
- ▶ Safety Committee members also participate in the evaluation and control or elimination of the hazard.
- ▶ Hazards must be mitigated at the lowest level possible. However, when a hazard is identified as having a mitigation that involves multiple departments or requires cost or changes beyond the safety committee or department abilities or budgets, the hazard will be elevated to the CEO.
- ▶ Recommendations from the review, testing, industrial or environmental sampling results requiring corrective actions will be placed in the hazard log for follow up and possible need for retesting for compliance with safety or environmental requirements.
- ▶ If mitigation or control of a hazard is not achieved the hazard mitigation process may be elevated to the CEO for final resolution.

### 7.2.1. Hazard Identification and Analysis

#### *Hazard or Risk Assessments*

DART has adopted a system for assessing the level of risk for each identified hazard to determine what action(s) must be taken to correct or document the hazard risk. This assessment system has been incorporated into the formal system safety analysis which enable the Safety Department and/or Safety Committees to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, cost, operations) to reduce the hazard to an acceptable level.

Identification of hazards is the responsibility of all DART employees and contractors. The continuous identification, monitoring, and elimination of hazards is key to an effective hazard management program. Hazard identification methods include, but are not limited to the following:

- ▶ Observation, inspection, and interaction of all DART employees and contractors
- ▶ Reports from safety committee members, passengers, customer service, and field personnel
- ▶ Evaluation of accidents, incidents, near misses, to include data trends and projections
- ▶ Preliminary Hazard Analysis (PHA) of a design or new construction
- ▶ Safety certification, system integration testing, pre-revenue testing, system modification, configuration management verification, and inspection processes
- ▶ Internal and external safety reviews, inspections, observations, defects, findings, observations, violations, and reviews
- ▶ Training feedback and "lessons learned" inputs
- ▶ Review of applicable regulatory codes and standards
- ▶ NTSB, FTA, OSHA, safety recommendations, guidance, initiatives, and alerts

Examples of observed hazards may include:

- ▶ An uneven garage floor joint that could cause a trip and fall





- ▶ Opening in a section of fencing which allows access of a trespasser
- ▶ A forklift that has an oil or hydraulic leak
- ▶ Ice formation on stairway
- ▶ Missing fire extinguisher in a maintenance shop
- ▶ A large pothole
- ▶ New construction that impedes access to or from a bus stop or shelter

The DART Hazard Log is managed by the Safety Department. Hazards identified by an employee to his/her supervisor may be resolved by the employee and supervisor. For example, a discharged fire extinguisher may be identified by an employee and brought to the attention of his/her supervisor and the supervisor gives the employee authorization to order a newly charged extinguisher from the supply room for a replacement. If the supervisor is unable to solve the identified hazard, he/she will forward the hazard to the Safety Department to be brought to the Safety Department for resolution. The Safety Department will review the hazard and assign an Initial Hazard Rating (IHR) and place the hazard into the hazard reporting system to be tracked. All reported hazards that are not closed will be reviewed by the Safety Department and the Safety Committee.

#### ***Hazard Investigation, Evaluation, and Analysis***

Safety concerns should be identified and corrected at the lowest level (employee/department) as soon as practicable. Safety concerns that are not eliminated at this level are reported to the Safety Department. Reported concerns will be assessed by the Safety Department and or Safety Committee to determine if a safety hazard exists and assign an IHR.

#### ***Accident Evaluation and Root Cause Analysis***

Hazards are investigated as they are identified through evaluating accidents, incidents, and near misses. Hazards originating from accidents are reviewed by the Safety Department, respective department involved, and the Safety Committee; though the Safety Committee focus is on trends as opposed to single incidents. As part of evaluating accidents and incidents, root cause analysis using the "FIVE Why?" methodology is used to help focus on the bottom-line fundamental cause and determine the most effective solutions to mitigating hazards.

The primary purpose of the accident evaluation process is to determine root causes of potential hazards that may have contributed to an incident. A third-party expert may be used to assist with an investigation if deemed necessary. This will be determined based upon DART hazard assessments that are determined to be frequent and high.

#### ***Hazard Analysis Matrix***

The DART Hazard Analysis Matrix is shown below. The hazard ratings are labeled as HIGH, SERIOUS, MEDIUM, LOW, and ELIMINATED.

Hazard severity is a subjective measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies and/or system, subsystem, or component failure or malfunction.





The likelihood of a particular event or a specific hazard occurring may be defined as a non-dimensional ratio of the number of times that a specific event occurs to the total number of trials in which this event will occur during the planned life expectancy of a system.

DART Risk Assessment Matrix		SEVERITY			
		1. Catastrophic	2. Critical	3. Marginal	4. Negligible
PROBABILITY	A. Frequent	High	High	Serious	Medium
	B. Probable	High	High	Serious	Medium
	C. Occasional	High	Serious	Medium	Low
	D. Remote	Serious	Medium	Medium	Low
	E. Improbable	Medium	Medium	Medium	Low
	F. Eliminated	Eliminated			

Resolution Requirements		
High *	Unacceptable	Correction required
Serious	Undesirable	Correction may be required, management decision
Medium	Acceptable w/review	With review and documentation by management
Low	Acceptable	Without review
Eliminated	Acceptable	No action required

The risks that fall into the Medium spectrum as are those risks that become acceptable after mitigation strategies are put in place and the risks become **As Low As Reasonably Practicable**.

### Hazard Severity

Hazard severity is a subjective determination of the worst case that could be anticipated to result from human error, design inadequacies, component failure or malfunction. The categories of hazards based on the modified MIL-STD-882 are as follows:

- ▶ Category 1 Catastrophic - Operating conditions are such that human error, design deficiencies, element, subsystem or component failure or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.
- ▶ Category 2 Critical - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies may cause severe injury, severe occupational illness or major system damage and require immediate corrective action.
- ▶ Category 3 Marginal - Operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.
- ▶ Category 4 Negligible - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies will result in less than minor injury, occupational illness or system damage.

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



RISK SEVERITY					
Severity Level		Injury or Occupational Illness	Other than death or injury		
			Property Damage (PD)	System Disruptions (SD)	Evacuation
1	Catastrophic	Death (does not include suicides, or death by natural causes)	> \$250,000	> 24 hrs.	Fire/Life Evacuation
2	Critical	Fracture, Severe Bleeding, Paralysis, Brain injury, Dismemberment	\$250,000 - \$100,000	12 - 24 hrs.	
3	Marginal	Bruising, Abrasions, Bleeding, Sprains/Strains (Ambulance Transport)	\$100,000 - \$25,000	4 - 12 hrs.	
4	Negligible	Bruising, Abrasions, Bleeding, Sprains/Strains (No Ambulance Transport)	> \$25,000	<4 hrs.	

**Hazard Likelihood**

The likelihood of a particular event or a specific hazard occurring may be defined as a non-dimensional ratio of the number of times that a specific event occurs to the total number of trials in which this event will occur during the planned life expectancy of a system. Generally, hazard likelihood is described qualitatively in potential occurrences per units of time, miles, trips/runs or passengers carried.

A hazard likelihood may be derived from the analysis of transit system operating experience, evaluation of DART safety data, the analysis of reliability and failure data, or from historical safety data from other bus systems.

LIKELIHOOD of OCCURANCE					
Probability Level		Likely hood of event in life of a specific item	MTBE* in Operating Hours	Occurrence within Fleet or Inventory	MTBE in days
<b>A</b>	<b>Frequent</b>	Will occur frequently	< 1,000 OH	Continuously experienced	1 / month
<b>B</b>	<b>Probable</b>	Will occur several times	1,000 – 100,000 oh	Will occur frequently	1 / year
<b>C</b>	<b>Occasional</b>	Likely to occur sometimes	100,000 – 1,000,000 oh	Will occur several times	1 / 2 years
<b>D</b>	<b>Remote</b>	Unlikely but possible to occur	1,000,000 – 100,000,000 oh	Unlikely, but can be expected to occur	1 / 5 years
<b>E</b>	<b>Improbable</b>	So unlikely, assumed occurrence may not be experienced	>100,000,000 oh	Unlikely to occur, but possible	1 / 10 years
<b>F</b>	<b>Eliminated</b>	Actions taken to remove the hazard/conflict	Never	Will not occur	N/A



**\*Mean Time Between Events:** The likelihood that hazards will be experienced during the planned life expectancy of the system can be estimated in potential occurrences per unit of time, events, population, items, or activity. The probability may be derived from research analysis, and evaluation of historical safety data.

### ***Hazard Control, Elimination, and Tracking***

Safety critical hazards that have been identified must be controlled or eliminated so that the hazard does not continue to pose a danger. This may be done in a temporary manner as long as the hazard is controlled. The process of controlling, tracking, and eliminating hazards is recorded in the hazard log.

All hazard log entries may require a Corrective Action Plan (CAP), a tracking number, a brief description, a projected completion date, and an initial hazard rating (IHR) using the DART Hazard Analysis Matrix. A CAP may be marked as N/A if the hazard was resolved in the course of regular operations.

### ***Corrective Action Plan (CAP)***

Corrective Action Plans are utilized within DART for hazards that meet certain criteria. The following hazards require the usage of a Corrective Action Plan:

- ▶ Unacceptable hazards with a Risk Assessment Code of 1A, 2A, 1B, 2B, or 1C (High Hazards)
- ▶ Review findings from regulatory agencies resulting in non-conformance (DNR, FTA, OSHA)
- ▶ Corrective action resulting from accident investigations
- ▶ When warranted by the Safety Department

CAPs are assigned a specific tracking number by the Electronic Hazard Reporting System and are linked with its associated hazard. CAPs must contain at a minimum:

- ▶ A person responsible for the corrective action and for developing the Plan of Action for the correction
- ▶ A proposed completion date
- ▶ Plan approval when applicable

### ***Corrective Action Plan Development***

Corrective Action Plans are developed by department managers/designee in conjunction with the Safety Department. The Safety Department will ensure that the CAP process is followed and properly tracked until it is closed.

### ***Risk Mitigation***

Risk mitigation is defined as the analysis and subsequent actions taken to reduce to the lowest level practical, the risk associated with an identified hazard. Risk mitigation is not synonymous with hazard elimination. In a transit environment, there are some hazards that are impossible to eliminate and others that are highly impractical to eliminate. Reduction of risk to the lowest practical level can be accomplished in a variety of ways from protective and warning devices to special procedures.

- ▶ To the extent permitted by cost and practicality, identified hazards will be eliminated or controlled by the design of equipment, systems and facilities.



- ▶ Hazards that cannot reasonably be eliminated or controlled through design will be controlled to the extent practicable to an acceptable level through the use of fixed, automatic, or other protective safety design features or devices. Provisions will be made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.
- ▶ When design and safety devices cannot reasonably nor effectively eliminate or control an identified hazard, safety warning devices will be used (to the extent practicable) to alert persons to the hazards.
- ▶ Where it is impossible to reasonably eliminate or adequately control a hazard through design or the use of safety warning devices, procedures and training will be used to control the hazard.

### ***Job Safety Briefing***

Hazards that are identified in the work area will be recorded on the hazard log, which is maintained by the Safety Department. All employees are encouraged to identify and control or resolve hazards at the lowest management level possible. Employees that perform job tasks are required to discuss job tasks and identified hazards that are associated with those tasks or job steps during job safety briefings. Identified hazards that cannot be controlled with personal protective equipment (PPE) or procedures must be resolved or mitigated through the hazard management program.

### ***System Safety Inspections and Reviews***

The Safety Department will conduct periodic inspections and safety reviews. Maintenance and Administrative facilities are inspected monthly to ensure compliance with occupational safety regulations and local fire codes. Any deviations from required activities or identified safety hazards are resolved through a formal reporting process.

### ***Collection and Analysis and Reporting of System Safety Data, and Maintenance of Records***

System safety data is collected through a variety of sources including near miss information, accident investigation reports, internal safety reviews, employee hazard reporting system, safety committee meetings, occupational injury reports, incident reports, use of an accident matrix, system monitoring including testing and inspection records, and the hazard management program.

The information collected from these sources is analyzed for potential safety impacts. Identified areas of concern are reported to appropriate personnel in the form of specific project reports, memos, and recommendations from the Safety Committee and/or Safety Department. Records of system safety data are maintained by the Safety Department.

The types and severity of accidents will be tracked and monthly the Safety Department will issue a report as to the previous month's accidents by mode, type, preventability, operator tenure, and location. Throughout the month, when the Safety, Transportation, or Maintenance Managers notice a trend in accidents, they may take immediate steps to investigate the reason(s) behind the trend and take appropriate corrective action.

### ***Management of Change***

Management of Change is a key component of a successful ASP. Changes in service or equipment being considered by DART must be subjected to a review using the Risk



Management process to determine whether those changes would result in introducing new hazards or have a negative impact on safety performance. The change may be permanent, temporary long term, or short term. Examples of the types of changes subjected to review include but are not limited to:

- ▶ A different style bus, i.e. electric versus diesel
- ▶ The installation or moving of a bus stop location
- ▶ The installation of a bus shelter at a new location
- ▶ The implementation of a new bus route
- ▶ The addition of service hours
- ▶ The addition or removal of safety features on a bus
- ▶ Long term route detour (generally not initially reviewed)
- ▶ Short term route detour (generally not reviewed)

Occasionally, change is introduced by outside forces. These types of changes generally are the result of municipal projects such as the addition of bike lanes, streetscape projects that reduce street travel lanes, street calming projects, etc. When these changes are introduced, the Safety and Planning departments work together to implement a migration that balances service to our customers with safety.

Additionally, management of change in the Maintenance department is crucial to keeping employees safe and equipment in serviceable condition. When new equipment is introduced to the Maintenance department, the Maintenance Manager will work with the Safety department to ensure that supervisors, maintenance technicians and service personnel are thoroughly instructed in the safety procedures to follow when working with the new equipment. The new or amended procedures will be documented in the Maintenance Standard Operating Procedures.

### ***Continuous Improvement***

As defined by the FTA, continuous improvement is defined as a process by which a transit agency examines safety performance to identify safety deficiencies and carry out a plan to address the identified safety deficiencies.

The system safety data will be analyzed for trends and opportunities to improve DART's system safety performance. When a trend that negatively effects safety is defined, the Safety Department, Maintenance and/or Transportation Manager, and Safety Committee will investigate the trend and determine various methods to reverse the trend.

Likewise, when a positive trend is identified, it will be analyzed for the underlying factors supporting the trend and staff in the respective departments will be encouraged to adopt any behaviors responsible for the trend.



## 8. Safety Assurance

The third pillar of the Public Transportation Agency Safety Plan is Safety Assurance which describes how DART will measure and review its processes to ensure that it remains in compliance with established standards. These processes and reports will allow DART leadership to know whether the organization and system is functioning to an acceptable level of safety. The reviews, inspections, rules, checks and compliance verification procedures are described, required schedules set and acceptable measures established.

### 8.1. Rules and Procedures Review

#### 8.1.1. Safety Related Operations and Maintenance Documents

The DART Bus Operator Handbook, Paratransit Operator Handbook, Standard Operating Procedures, Dispatch Procedures, Emergency Operating Procedures all govern bus operating procedures during normal and abnormal conditions and are considered minimum standards for safety. Additionally, the DART Maintenance Standard Operating Procedures govern maintenance practices.

#### 8.1.2. Rule Books

The Bus Operator Handbook and the Paratransit Operator Handbook are both a procedures manual and a rule book. Both are designed to be an instructive guide to promote safety and efficiency in day-to-day operations. The subjects covered do not address all possible situations or circumstances that are encountered but attempt to cover those encountered often.

#### 8.1.3. Proficiency Testing – Operators

The Operational Safety Checks Program serves as the foundation for observing, correcting, and documenting safety related behaviors and activities. It is also used to re-enforce positive safety behaviors. Operations Supervisors, Training Instructors and the Safety and Training Specialist are responsible for conducting periodic field and on-board bus and rail operations safety checks. Operations Supervisors and Training Instructors board buses to observe and evaluate adherence to rules, policies and procedures, verbal or written instructions, reroutes, and speed limit compliance. Safety checks are recorded on “In-Service Evaluation Sheets/Bus Safety Ride Check” forms. Operations Supervisors and Training Instructors are authorized to take appropriate and immediate actions if indicated by the situation.

The results of the safety ride checks are forwarded to the appropriate Transportation Manager and Training Manager for review and follow-up to correct any identified deficiencies.

#### 8.1.4. Proficiency Testing Test Records and Trend Analysis

Records of Bus Operator proficiency tests are kept by the Training Department. The results of Proficiency Testing serve as a data source in the Hazard Management Process. Trend analyses of all operational safety ride check activities and proficiency tests are performed in order to determine revisions needed to the training and safety program activities and other areas requiring improvement. The analyses are reviewed at Safety Committee meetings.



### 8.1.5. Transit Asset Management

Consistent with its mission of “enriching lives, connecting communities, expanding opportunities,” DART offers a wide array of mobility options for the central Iowa region. To fulfill the agency's mission and address safety objectives and strategic priorities, DART must effectively manage and maintain assets in a State of Good Repair (SGR). As part of MAP-21 and the subsequent Fixing America's Surface Transportation (FAST) Act, the Federal Transit Authority (FTA) enacted regulations that require transit service providers to establish asset management performance measures, performance targets, and to develop a Transit Asset Management (TAM) plan.

The final TAM Rule was published on July 26, 2016 and went into effect on October 1, 2016. The rule itself amended the United States (U.S.) Code of Federal Regulations (CFR) Title 49 Parts 625 and 630, which relate to TAM and the National Transit Database (NTD) respectively. FTA requires transit providers to update TAM Plans in their entirety at least once every four years. DART's asset management approach is consistent with current FTA's regulations and provides a direction for compliance given the level of available funding.

DART's Transit Asset Management Plan was adopted on October 2, 2018 and can be viewed at: <https://www.ridedart.com/sites/default/files/about-dart/about-dart/DART%20-%20TAM%20Plan.pdf>

## 8.2. Notification Thresholds

### 8.2.1. State and Federal Notification

Notification requirements are provided in federal regulations, and additional guidance has been provided by FTA:

- ▶ Federal Regulation – 49 CFR Part 674.7 and 674.33
- ▶ FTA Guidance – Two-Hour Accident Notification Guide, <https://www.transit.dot.gov/regulations-and-guidance/safety/two-hour-accident-notification-guide-0>
- ▶ NTD Safety & Security (S&S) Reporting Manual, <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/ntd/69096/2018-safety-and-security-policy-manual.pdf> The Safety Department will immediately, (within 2 hours) notify Iowa DOT by telephone, followed by a fax report, of any incident resulting in the following:

DART Reportable Event Notification Process: If the safety event is reportable to the FTA (49 CFR Part 674), DART will notify FTA with initial information, as required by FTA.

Notification Topics	FTA
Fatalities	One or more fatalities within 30 days of safety event
Injuries	One or more serious injuries
Property Damage	Substantial damage only for collisions with a person, object, or at a grade crossing





### 8.2.2. Safety Department Notifications

DART Dispatch notifies the Safety Department of all injury and collision accidents as soon as reasonably possible. Events that meet the following thresholds are reported immediately:

- ▶ Any accident or injury event that is NTD reportable
- ▶ Any pedestrian contact, no matter the severity
- ▶ Any violent assault involving a weapon or causing physical harm
- ▶ Any incident that attracts media attention
- ▶ Any incident or issue causing significant delays or disruptions of service

The Safety Department will then initiate the DART Major Incident Phone Tree and notify Executive leadership.

### 8.2.3. Accident Investigation, Notification, Reporting and Corrective Action Plans

Formal investigations shall be conducted for all bus accidents. All accidents are investigated by either Operations Supervisor, Maintenance Supervisor, Transportation Manager, Maintenance Supervisor, or Safety Manager. If the bus accident damage is minor, personnel are unavailable or certain weather conditions exist, operators may be instructed by Dispatch or law enforcement personnel to complete an accident report and an Operations Supervisor will be assigned to complete the accident investigation. Accident investigations are to be completed in accordance with DART Standard Operating Procedures – Accident Investigation.

Serious bus accidents will be investigated by the Accident Investigation Team consisting of the following members: Lead Supervisor, Lead Dispatcher, Finance Manager, Training Manager, Transportation Manager, Maintenance Manager, Safety and Training Specialist, and the Safety Manager.

Lessons learned and information gathered from accident investigations is compared against DART Standard Operating Procedures, Bus Operator Training Manuals (Fixed Route and Paratransit) and the Behind the Wheel training program guidelines to determine if there was deviation from DART training and guidance or whether the accident was the result of some other cause either controllable or not controllable by the bus operators. Should it be determined that a change in procedure or training is required to prevent a similar accident from reoccurring, a Corrective Action Plan will be issued.

## 8.3. Internal Safety Audit Program

DART will establish procedures to audit all aspects of the ASP.

## 8.4. Procurement and System Modifications

Modifications to the system may be proposed by any user or department within DART, or may be initiated by DART Management, including Safety. A coordinated process of safety review (design, plan and procedure review) is required prior to any changes and modifications to the DART transportation system. This applies to all modifications, including but not limited to the following:





- ▶ New, extended, or upgraded service or routes.
- ▶ New or retrofitted rolling stock, or non-revenue vehicles and equipment.
- ▶ New or refurbished facilities.
- ▶ New or revised emergency operating procedures.
- ▶ Safety-related policies and procedures.

DART does not have its own engineering or design department. All safety reviews of system modifications, which involve design of new systems, facilities, and facilities equipment or major changes to existing systems, facilities, and facilities equipment are coordinated with external subject matter experts and procured through the procurement department. Safety reviews of minor system modifications for projects or equipment are coordinated by the Maintenance and Procurement Departments with the Safety Department.

Safety assurance of new systems and equipment begin with the basic designs, and in the development of specifications to ensure that safety requirements and standards are incorporated. Safety reviews are held to ensure that proposed designs meet safety requirements. Consideration is given to such items as system interfaces, human factors, environmental conditions, isolation of energy sources, materials compatibility, use and long-term storage of critical material, emergency response capability, including emergency egress and rescue paths, fire sources and measures for protection, equipment layout, lighting requirements, and maintenance requirements. In these reviews maximum use is made of existing data, reliability analyses, and other applicable design analyses and information.

Testing is performed on critical components and assemblies as indicated in safety reviews to identify and eliminate potential hazards. The inherent safety of equipment and its impact on DART systems are demonstrated during system test and demonstration efforts. A formal process of hazard identification, analysis and resolution is conducted during the safety review.

The review cycle shall include but not be limited to the members of DART's Safety Committee, as applicable to their areas of responsibility, the scope and nature of proposed change, and the affected system elements (facilities, equipment, etc.). In all cases the review cycle for system modification includes, at a minimum, the appropriate representative from the:

- ▶ Safety Department
- ▶ Maintenance Department
- ▶ Planning Department
- ▶ Procurement Department
- ▶ Training Department

External review of system modifications by outside agencies such as FTA, APTA, and Iowa DOT, are coordinated by the Safety Manager, as required.

Comments from the internal and external review process are implemented or resolved prior to system modification and kept on file with disposition and supporting rationale. Unresolved comments and exceptions to proposed modifications of the system offered by the reviewers, are addressed by the Safety Manager, Maintenance Manager, Chief Planning Officer, or the Procurement Manager, as applicable. Additionally, all major modifications to DART systems require approval and sign-off by the Chief Executive Officer.



### **8.4.1. Contractor Safety Coordination**

DART expects all contractors to perform their work in a safe manner, comply with all environmental safety and health requirements of the contract documents as issued by DART, and comply with all applicable laws, codes, ordinances, rules, regulations, and lawful orders of all public authorities.



## 9. Safety Promotion

The fourth pillar of the Public Transportation Agency Safety plan is Safety Promotion. Training is a major area of concentration for DART and DART has developed a number of programs and/or opportunities to address the need for safety training.

### 9.1. Training

Training tasks include but are not limited to the following:

- ▶ Integrate safety requirements into training programs.
- ▶ Provide feedback to various departments on procedures, rules, designs, and operating conditions as a result of training experiences.
- ▶ Help validate safety training effectiveness to assure that training objectives have been met.
- ▶ Identify training objectives and participate in safety drills and simulations.
- ▶ Design and conduct new operator training/qualification training to ensure that all operators are aware of hazards in the system, are familiar with emergency procedures, and meet operating performance standards.
- ▶ Review and update training materials at least every three years to comply with operating policies and procedures and results of safety analysis.
- ▶ Contribute to information in operating and maintenance manuals and Emergency Operations Procedures (EOPs).
- ▶ Establish selection standards for instructors that include safety performance and knowledge of safety policies and procedures.
- ▶ Establish formal procedures for evaluating student understanding of safety rules and procedures as well as actual demonstration of correct techniques at an acceptable level of performance.
- ▶ Develop and maintain a short-range and long-range training plan that identifies what programs will be provided and to how many personnel.
- ▶ Design and conduct new and continuing staff training to ensure that all maintenance staff are familiar with shop safety rules and procedures, oriented to the location of safety equipment in their assigned facility, and aware of preventive maintenance and repair procedures.
- ▶ Facilitate training on DART's safety program to all new employees.
- ▶ Assist with providing safety training for outside agencies and contractors.
- ▶ Includes special training for responding to the needs of elderly and disabled riders as part of training programs for all operating and support personnel.
- ▶ Design and implement a basic defensive driving program required for all DART employees who may be assigned to operate non-revenue equipment.
- ▶ Establish procedures for safety certifications that include identifying who is authorized to do training and set proficiency standards.



Training and certifications required for mechanics is controlled during the hiring process, with minimum requirements, background checks, and testing verifying employee training and competence. All entry-level mechanics undergo DART mechanical training to ensure competence for DART maintenance tasks. Testing is required to demonstrate proficiency for advanced mechanics positions such as HVAC or electrical mechanics.

A Facility Maintenance training program is currently being implemented to improve the skills and knowledge of the facilities staff and ensure that all employees are provided the training and resources required to complete their jobs efficiently and effectively. Currently, Facility Maintenance personnel are only provided DART safety training.

The Human Resources Department monitors employee driver's license status. The Human Resources Department is required to verify that each employee has a valid driver's license. The Human Resources Department checks licenses for all employees on a regular basis.

### **9.1.1. Bus Operator Training**

Bus operators must complete a five- to seven-week training program. The program includes segments on DART rules and general operating guidelines, the Smith System defensive driving course, familiarization with the various models of buses and related equipment and all bus routes before entering service. During the classroom portion of training, a series of written tests are given to judge the candidates progress. If needed, DART provides training for the candidate in order for them to obtain the required CDL.

The keystone in any program for safe bus operations is the training of bus operators. Several of the bus operations training practices are described here in some detail.

Bus Operator training consists of in-class instruction with DART's Training Manager along with assistance from behind-the-wheel trainers. Their responsibilities are to train all new and current bus operators. Safety-related issues and procedures are covered throughout training. The instructors regularly develop training materials and routinely obtain and review information from other bus transit systems.

Refresher training is done for Operators on a biennial basis. This is a two-day class that is changed every 2 years. The bus instructors also provide training for certain non-operator bus employees. Classes are given for initial job training, new equipment/procedures, or refresher training. Training for supervisors varies according to need. CDL training is provided for Mechanics, Service Personnel and Facilities Maintenance personnel.

### **9.1.2. Bus Maintenance Technician Training**

The Bus Maintenance Technician Program is described in the DART Vehicle Maintenance Technician Program document.

### **9.1.3. All Employee Training**

All DART personnel will receive training to become familiar with Safety Management Systems. The training will include:

- ▶ Safety Management Systems Overview
- ▶ Safety Reporting



- ▶ Risk Management
- ▶ Safety Assurance Practices
- ▶ Employee Roles and Responsibilities

DART employees and contractor personnel, whether construction or service contractors, are required to be in compliance with applicable DART rules and standard operating procedures as well as local, state, and federal safety regulations. Service contractors who perform specific jobs under contract are required to be in compliance with specific safety or environmental laws that are or may be affected by their work.

To comply with OSHA regulations, the Safety Department develops safety policies and procedures for occupational safety in compliance with OSHA guidelines. Regular training sessions are conducted with affected employees based on job hazard analysis.

Annual refresher training is conducted for high hazard areas such as confined spaces and lockout/tagout (LOTO). Safety staff conducts the training.

The Safety Department also develops policies for environmental compliance. Contractors are responsible to train their employees on OSHA-required training prior to performing DART projects. Other related training that contract and DART employees will be current on include the following:

- ▶ Hazard communication
- ▶ Blood-borne pathogen awareness
- ▶ Hazardous energy control (LOTO) general safety awareness
- ▶ Work-required training for safety sensitive employees and contractors

#### 9.1.4. Training Records

The Safety Department will maintain paper and/or electronic training records for the following items:

- ▶ Blood borne pathogens
- ▶ Hazardous communications
- ▶ Lockout tag out
- ▶ Forklift certification

Records of all training, except as noted above, conducted by DART are maintained by the Training Department.

Safety specific training is tracked by the Training Department to ensure all employees receive the safety training required for their job classification.

The Human Resources Department tracks the status of Operator medical cards and CDL status as required by the U.S. DOT.



### 9.1.5. Compliance with Training and Certification Requirements

The Safety Department conducts audits of training and certification requirements.

The following employee job classifications perform work that requires safety training and/or certification:

- ▶ Bus Operator
- ▶ Vehicle Maintenance
- ▶ Vehicle Service
- ▶ Facility Maintenance
- ▶ Operations Supervisor
- ▶ Dispatchers

DART recognizes the FTA Transportation Safety Institute (TSI) to administer Transit Safety and Security Program (TSSP) certification for all safety department staff at DART. All safety staff will complete the TSSP within the first two years of their safety assignment. This certification involves the successful completion of the Transit Safety and Security Program Certificate as outlined by TSI training manual. Courses required are:

- ▶ Transit Bus System Safety
- ▶ Bus Incident Investigation
- ▶ Transit System Security
- ▶ Effectively Managing Transit Emergencies

### 9.1.6. Compliance with Local, State, and Federal Safety Requirements

#### *Safety Program for Employees and Contractors*

DART is committed to the safety and health of its employees and contractors who work within the DART system. DART has developed an Occupational Safety and Health Program and Construction Safety Program in conformance with applicable local, state, and federal regulations. The programs emphasize the recognition, evaluation, and control of hazards arising from the occupational and construction project environments.

#### *Occupational Safety and Health Program*

The Occupational Safety and Health Program is directed toward achieving a safe working environment for employees and minimizing the likelihood of occupational related injuries and illnesses. The program is based on, and complies with applicable Federal, State, and Local safety codes and regulations, including OSHA. Procedures have been established for the control of operating hazards, including but not limited to electrical, chemicals, noise, falls from heights, cut and abrasion injuries, and strain and sprain injuries. On-the-job training of DART employees is emphasized to recognize hazards and to promote occupational safety and health practices.

Attention is given to the need for, and proper use of, PPE and clothing as required by the work being performed as well as adherence to standard operating procedures, routine comprehensive industrial hygiene surveys and industrial safety inspections are conducted by the



Safety Department to ensure that health and safety hazards in the workplace are identified and controlled.

### ***Construction Safety Program***

Construction Safety is administered in accordance with contract specifications, and applicable Federal (OSHA), state and local safety requirements. DART does not have a dedicated engineering or construction department. Dependent on the scope of the project, DART may employ a third-party as a subject matter expert (SME) for construction project safety management. DART Rules and Procedures are included in each construction contract. Compliance with these rules and procedures is required of all contractors performing work on the operating system. Contractors are required to comply with all local, state, and applicable OSHA construction standards for the safety of their own employees as well as to safeguard DART employees, contractors, passengers and the public.

Procurement and Buildings and Grounds Departments approve the contractor's safety program plan and supporting documentation, with the concurrence of the Safety Department. Emphasis is placed on work that may affect DART operations, passengers, facilities, and personnel audits of the contractors are conducted to assure compliance with federal and state law, and DART requirements.

### ***Fire Protection***

Fire protection testing is coordinated by the Maintenance Manager. Life safety requirements for DART facilities are coordinated by the Safety and Maintenance Departments. Fire protection testing results and conformance with the life safety requirements are reviewed by the Safety Department. Compliance with fire protection requirements is audited through emergency drills, inspections, incident investigations and periodic testing of fire protection and fire suppression systems. Training activities are monitored for content and accomplishment and the fire insurance carrier also conducts tests of water supplies for fire protection and monitors physical conditions and compliance with related procedures to minimize both the probability and severity of potential fire.

### ***Hazardous Substances Program***

DART's objective is to provide the safest product available and minimize the risks associated with hazardous substances. Accordingly, DART has established a comprehensive program for the control of hazardous substances used, including the disposal of waste, in accordance with IOWA DNR and environmental requirements. The DART Hazard Communication Program details the process for purchasing, receiving, and using hazardous substances at DART.

Such information is provided in the Safety Department's Hazard Communication Standard Operating Procedures, Hazard Communication Compliance Assessment, and Safety Data Sheets. The Safety Department approves Safety Data Sheets for all chemicals and other potentially hazardous substances that are being considered for purchase and use.

Follow-up is conducted on the field use of approved products to ensure safe/proper handling methods are utilized. Additionally, all employees who may use hazardous substances receive training and toolbox talks on the safe use and disposal of the products. Follow-up is conducted on the field use of approved products to ensure safe/proper handling methods are utilized. An electronic database of SDSs is maintained on-line for all affected personnel and for compliance to the OSHA Standard. Some hazardous substances require permits on a 3-year cycle by the City of Des Moines. Facility Maintenance management ensure these permits are kept current.



## 9.2. Safety Communication

Information about hazards and safety risks that arise after an employees' initial training is conveyed in multiple ways, using a variety of media. Among those methods are:

- ▶ Bus Operator Safety Meetings
- ▶ Maintenance, Service, and Buildings and Grounds Safety Meetings
- ▶ Maintenance Toolbox Talks
- ▶ Texts to Buses
- ▶ Safety Campaigns
- ▶ Flyers
- ▶ Video Monitors in Lounges and Breakrooms

Safety performance reports are submitted by the Safety Manager, on request by the CEO or Commission, as well as being an agenda item at Bus Operators Safety Meetings, Maintenance Department Safety meetings, Operations Department staff meetings, Human Resources Department staff meetings, and quarterly Administrative Staff meetings.

### 9.2.1. Marketing and Media Relations Tasks

The External Affairs Department coordinates news releases regarding safety, including accidents and incidents, with the Safety Department. Additional tasks include:

- ▶ Coordinating user education programs for regular and special need riders on how to use the transit system and safety features with the Safety Department and Bus operations staff.
- ▶ Establishing standard public notification procedures about temporary service changes, new boarding locations, etc.
- ▶ Providing press releases and human-interest stories about positive safety events and incentive program recipients.

### 9.2.2. Maintenance Toolbox Talks

Maintenance Toolbox Talks are safety-driven information sessions that are provided on at least a monthly basis to front-line personnel. The purpose of these sessions is to educate employees on important safety topics, such as PPE requirements, wellness incentives, workplace illnesses, and hazard awareness, among others. District supervisors utilize monthly subjects distributed by the Safety Department as well as their own subjects relevant to the specifics of the work.

### 9.2.3. Safety Bulletins

Safety Bulletins are short newsletters drafted by the Safety Department that detail safety particulars of immediate concern. Examples of safety bulletins include hazards, product safety recalls, procedures, emergency information and more. Safety bulletins are created on an as-needed basis and are distributed internally.





#### **9.2.4. Break Room Monitors**

Both the DART Way and DART Central Station break rooms are equipped with large computer monitors. These monitors act as mechanisms for DART management to communicate important safety information to their personnel. The monitors can display safety-related videos, safety bulletins, safety data, safety meeting summaries, and other general news. Statistics on preventable collisions, on-the-job injuries, and other pertinent statistics are updated on a monthly basis.

#### **9.2.5. Safety Posters**

The Safety Department provides safety posters on a rotating basis to address seasonal and annual safety and emergency response information. Also displayed may be poster relating to new safety GOGs, initiatives, equipment, and or procedures.

#### **9.2.6. Work Assignment Job Safety Briefings**

Work Assignment Job Safety Briefings are used to ensure that all employees assigned to perform a specific task understand the hazards associated with the work to be performed. These are critical to conducting work in a safe manner. These briefings may be conducted in the field or other designated areas prior to commencing any work, regardless if the work is considered routine or if it is considered complicated. Supervisory staff are responsible for conducting these briefings, and employees are responsible for ensuring that the work plans are carried out as described in the briefings. The Safety Department provides the Work Assignment Job Safety Briefing Standard Operating Procedure.

#### **9.2.7. Safety Awareness**

All employees are responsible for system security through general awareness and accountability. Employees are encouraged to report all suspicious activities at passenger and operations facilities, and to be cognizant of individuals trailing them into restricted areas. Terrorist Awareness Recognition and Reaction Training and Active Shooter Training are part of the general safety training provided to all employees.

#### **9.2.8. Safety Performance Awards**

Individual bus operator, maintenance technician, and service personnel safe driving is recognized in two ways:

- ▶ At the annual safety banquet:
  - ▷ Measured on the fiscal year, staff that had no preventable accidents for the fiscal year are recognized.
  - ▷ Staff that have had no preventable accident for 10 consecutive years or more are recognized.
- ▶ At monthly safety meetings
  - ▷ Bus Operators are recognized for accumulated years of safe driving with no preventable accidents. This is based on a rolling 12-month period beginning on their hire date. The date resets to the date of any preventable accident.



### 9.2.9. Hazard, Employee Safe Reporting, and Safety Suggestion Box Feedback

The status and disposition of hazard reports, employee safety reporting, and safety suggestions submitted will be updated monthly and will be available for employees to view in the following methods:

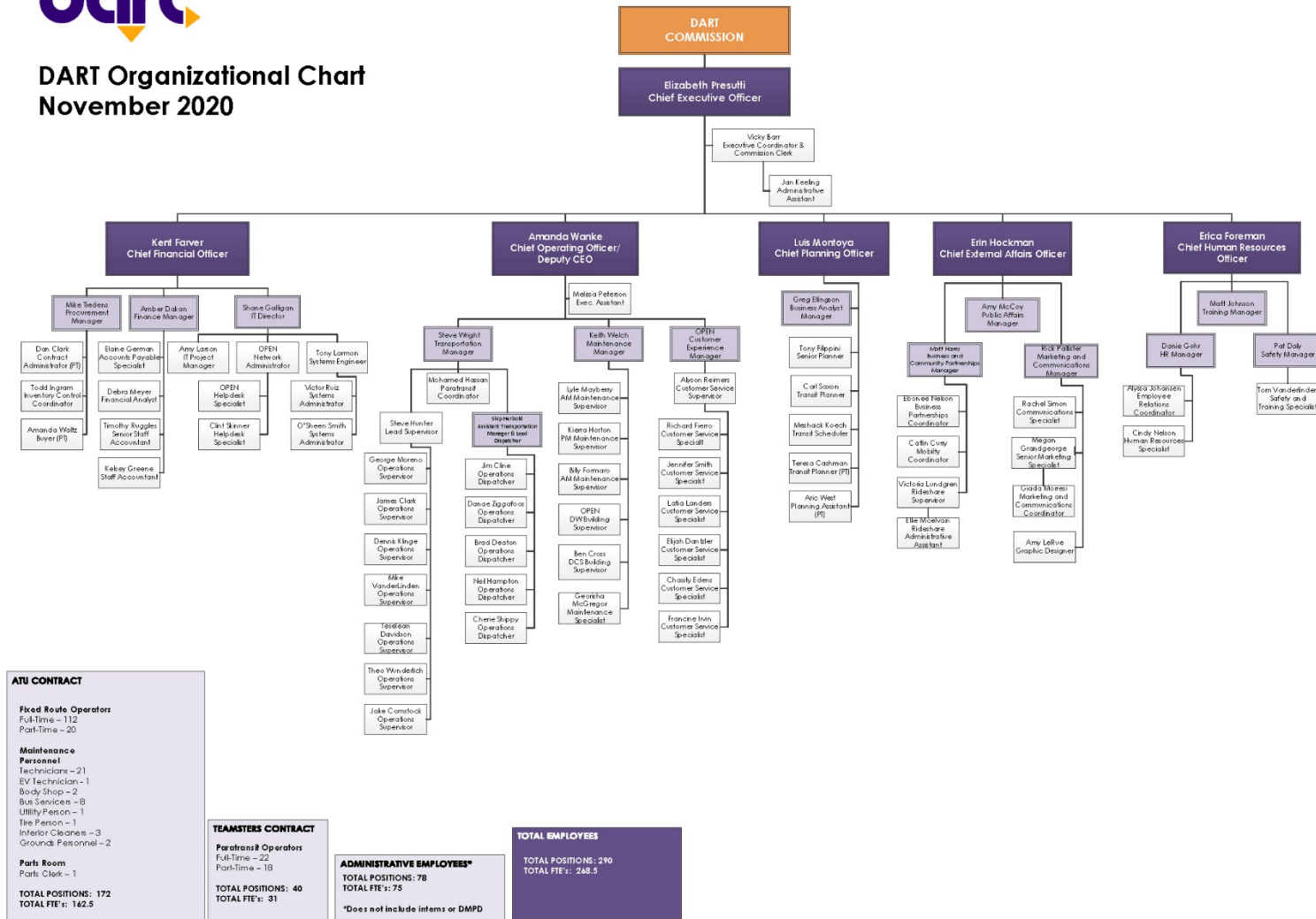
- ▶ Hazard Reports
  - ▷ An electronic status file will be placed on the computers available in the DART Way operators lounge.
  - ▷ A printout of status will be placed on the shelf above the run sheets at DART Way
  - ▷ A .pdf copy will be emailed to all administrative employees
- ▶ Employee Safety Reporting
  - ▷ The outcome and findings will be discussed with the individual employee. If appropriate, lessons learned, guidelines and/or policy changes resulting from the report will be communicated via the methods outlined at the beginning of this section.
- ▶ Safety Suggestions
  - ▷ Once the safety committee picks the monthly safety suggestion winner, all the safety suggestion received for the month, along with a picture of the employee that submitted the winning suggestion will be posted on the Safety Board at DART Way.



# Appendix A – DART Organization Chart



## DART Organizational Chart November 2020





## CONSENT ITEM



**8B: Proterra Electric Bus Contract Amendment**

**Action: Approve the Proposed Proterra Contract Amendment for certain additional warranties related to Bus No. 2**

**Staff Resource:** *Kent Farver, Chief Financial Officer*

---

**Background:**

- DART and Proterra entered into a contract dated July 30, 2018 for the purchase of seven 40-foot battery electric buses and seven associated charging stations
- Upon receipt of Bus No. 2 (VIN 7JZTH13J0LL000276), an electrical incident occurred due to an issue with the headsign that raised concerns about potential future electrical issues with the bus.
- Proterra and DART desire to amend the terms of the original contract in order to set forth certain additional warranties, as more specifically set forth below:
  - For a period of five (5) years from the date of acceptance of Proterra Bus No. 2, Proterra shall replace, at its sole expense, any Failed Electrical Component on Proterra Bus No. 2. The term "Failed Electric Component" shall mean any malfunctioning electrical component connected to a 24v power circuit located in the front wheel-well box or forward on Proterra Bus No. 2, including, but not limited to, the head sign, door actuator and controller, ramp controller, vehicle controller, and multiplex modules on Proterra Bus No. 2.
  - For a period of twelve (12) years from the date of acceptance of Proterra Bus No. 2, Proterra shall replace, at its sole expense, any Failed Electrical Harness. The term "Failed Electrical Harness" shall mean any malfunctioning electrical harness connected, directly or indirectly, through an electric module to the head sign in Proterra Bus No. 2.
- The amendment does not impact the rights and remedies of DART under the original contract. Except as specified in the amendment, all other terms, conditions, and other provisions of the original contract are still in effect.
- There are no cost implications related to this amendment.

**Recommendation:**

- Approve the Proposed Proterra Contract Amendment for certain additional warranties related to Bus No. 2.

**FIRST AMENDMENT TO  
CONTRACT BETWEEN  
DES MOINES AREA REGIONAL TRANSIT AUTHORITY  
AND  
PROTERRA, INC.**

**THIS FIRST AMENNDMENT TO CONTRACT** (this “Contract Amendment”) is made \_\_\_\_\_, 2020 (“Effective Date”) by and between Des Moines Area Regional Transit Authority, an entity created pursuant to Chapter 28E of the Iowa Code (“DART”), whose address is 620 Cherry Street, Des Moines, Iowa 50309, and Proterra, Inc., a Delaware corporation, with its principal place of business at 1 Whitlee Court, Greenville, SC 29607 (“Contractor”).

**RECITALS**

- A. DART and Contractor entered into that certain Contract dated July 30, 2018 for the purchase and sale of seven (7) 40-foot battery electric buses and seven (7) associated charging stations (the “Original Contract”);
- B. Contractor and DART desire to amend the terms of the Original Contract in order to set forth certain additional warranties, as more specifically set forth below;

NOW, THEREFORE, in consideration of the promises herein and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the parties hereby agree as follows:

**AMENDMENT**

- 1. The following shall be inserted after Section 57 of the Original Contract:

**58. ADDITIONAL WARRANTIES FOR PROTERRA BUS NO. 2**

DART and Contractor agree and acknowledge that Proterra Electric Bus, VIN 7JZTH13J0LL000276 (“Proterra Bus No. 2”) experienced certain electrical issues and irregularities after delivery of Proterra Bus No. 2 to DART and prior to DART’s acceptance of Proterra Bus No. 2 (“Initial Electrical Issue”). As such, and notwithstanding anything contained herein or in that certain Proterra Service, Parts and Warranty Manual attached hereto as Exhibit A (the “Warranty Manual”), DART and Contractor agree that the following warranties shall apply to Proterra Bus No. 2:



- A. For a period of five (5) years from the date of acceptance of Proterra Bus No. 2, Contractor shall replace, at its sole expense, any Failed Electrical Component (as defined below) on Proterra Bus No. 2, provided that the cause of the Failed Electrical Component shall, in DART's sole discretion, be reasonably attributed to the Initial Electrical Issue. For the avoidance of doubt, the cause of the Failed Electrical Component shall not, in DART's sole discretion, be reasonably attributed to any misuse, accident or other event that is unrelated to the Initial Electrical Issue. [The term "Failed Electric Component" shall mean any malfunctioning electrical component connected to a 24v power circuit located in the front wheel-well box or forward on Proterra Bus No. 2, including, but not limited to, the head sign, door actuator and controller, ramp controller, vehicle controller, and multiplex modules on Proterra Bus No. 2.]
  - B. For a period of twelve (12) years from the date of acceptance of Proterra Bus No. 2, Contractor shall replace, at its sole expense, any Failed Electrical Harness (as defined below), provided that the cause of the Failed Electrical Harness shall, in DART's sole discretion, be reasonably attributed to the Initial Electrical Issues. For the avoidance of doubt, the cause of the Failed Electrical Harness shall not, in DART's sole discretion, be reasonably attributed to any misuse, accident or other event that is unrelated to the Initial Electrical Issue. [The term "Failed Electrical Harness" shall mean any malfunctioning electrical harness connected, directly or indirectly, through an electric module to the head sign in Proterra Bus No. 2.]
2. The parties agree that this Amendment does not affect the rights and remedies DART has under the Original Contract or applicable law relating to Proterra Bus No. 2, including, but not limited to DART's right to terminate the Original Contract, and/or seek damages from Contractor due to the condition of Proterra Bus No. 2.
  3. Except as specifically changed by this Amendment, all other terms, conditions, and other provisions of the Original Contract remain in full force and effect. In the event of any conflict between the Original Contract or the Warranty Manual and this Amendment, the terms of this Amendment shall govern.

[REMAINDER OF PAGE LEFT INTENTIONALLY BLANK; SIGNATURE PAGE FOLLOWS]



**IN WITNESS WHEREOF**, the authorized signatories named below have executed this Amendment on behalf of the parties as of the Effective Date.

**CONTRACTOR:**

**DART:**

By: \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_



**EXHIBIT A**

Warranty Manual

[Please see attached.]





# PROTERRA

## Service, Parts & Warranty Manual



- CATALYST BUS NEW VEHICLE LIMITED WARRANTY
- BATTERY PACK LIMITED WARRANTY
- PCS CHARGING SYSTEM LIMITED WARRANTY

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**CONTENTS**

**CATALYST BUS NEW VEHICLE LIMITED WARRANTY ..... 3**

    Warranty Terms Section A – Standard New Vehicle Limited Warranty Coverage ..... 4

    Warranty Terms Section B - Extended Component Coverage..... 5

    WHAT IS NOT COVERED: ..... 6

    Low Voltage 12/24 Battery Policy ..... 6

**BATTERY PACK LIMITED WARRANTY ..... 7**

    Battery Pack Limited Warranty Terms ..... 7

    Components Included in Battery Pack Limited Warranty ..... 8

    WHAT IS NOT COVERED ..... 8

**POWER CONTROL SYSTEM (PCS) CHARGING SYSTEM LIMITED WARRANTY ..... 9**

    Power Control System (PCS) Warranty Term ..... 9

    WHAT IS NOT COVERED ..... 10

**ACTIVATION OF WARRANTY ..... 11**

    Delayed Warranty Starts ..... 11

**WARRANTY PROCESSING AND CLAIMS MANAGEMENT ..... 12**

    Warranty Policies ..... 12

    Prior Authorization – Obtaining Prior Authorization Codes (PAC) ..... 12

    Filing Warranty Claims ..... 12

    Reimbursement for Labor Hours during Warranty Repairs ..... 13

    Reimbursement for Warranty Parts ..... 13

    Replacement Parts Warranty ..... 13

    Parts Retention Requirements ..... 13

    Part Return Process ..... 14

    Return Part Freight Routing INstructions ..... 14

    Parcel Shipments ..... 14

    Parcel Max Limits ..... 14

    Freight Shipments ..... 15

    Required Details for ALL Shipments ..... 15

    Proterra Service Administrative Support ..... 16

    Filing Warranty Claims ..... 16

    Michelin Tire Warranty Information ..... 17

        What Michelin Covers and for How Long: ..... 17

        What is Not Covered by Michelin’s Warranty ..... 17

**Non-Warranty Service Support ..... 17**



## CATALYST BUS NEW VEHICLE LIMITED WARRANTY

Proterra, Inc. (“**Proterra**”) warrants to the original purchaser/lessee (“**Customer**”) that its Catalyst battery electric bus will be free from defects in material and workmanship under normal use and when properly serviced. Proterra agrees to repair or replace defective parts with either new, or re-certified parts when available, subject to the terms and conditions set forth herein.

**NOTE:** This Warranty does not include Proterra High Voltage Battery Packs. Please refer to the [Battery Pack Limited Warranty](#) section.

The final determination of required repairs or parts replacement shall be the sole discretion of Proterra. This Catalyst Bus New Vehicle Limited Warranty (“**Warranty**”) is a limited warranty subject to the terms and conditions stated in the sections below.

This Warranty is comprised of two sections; Section **A** applies to the Complete Bus, Main Composite Monocoque Structure, Structural Systems, and Rust-Through Corrosion. **Section B** applies to the Major Components listed below.

Proterra will reimburse the customer for the parts and labor as published in the Proterra Standard Repair Time Guide (“**SRT**”) and shall follow local ordinances as necessary and if applicable in accordance with the terms of this warranty and the purchase/lease agreement, along with associated freight costs to provide required replacement parts during the warranty time period identified below.

Warranty repairs may be performed by the Customer, an authorized warranty provider, or Proterra only and must adhere to the terms and conditions outlined in the following statement of warranty. All components replaced under the warranty are exclusive property of Proterra Inc. and must be returned following the procedures set forth in the “Part Return” section of this manual.

Proterra, at its sole discretion or as part of a Proterra Service Plan, may perform warranty repairs at the Customer location. Costs associated with these repairs will be at the expense of Proterra during standard operating hours. Emergency afterhours warranty support may be performed at the request of the Customer for a fee.

At Proterra, safety is of the utmost importance for our customers and our employees. Therefore, we require our customers to have and maintain the necessary safety equipment, in accordance with state and local OSHA regulations, for the use of any Proterra employee, or authorized provider, that may be performing or assisting with repairs at the Customer’s location. This includes but is not limited to, fall restraints, proper lifting equipment and jack stands. Proterra employees will not be permitted to perform any repairs without the necessary safety equipment being provided.



# PROTERRA

## WARRANTY TERMS SECTION A – STANDARD NEW VEHICLE LIMITED WARRANTY COVERAGE

This section includes manufactured or assembled components and systems, including some purchased assemblies listed below.

<p><b>Catalyst Bus New Vehicle Limited Warranty</b>  <b>1 Year / 50,000 Miles, whichever occurs first.</b>  (1 Year / 80,467 Kilometers, whichever occurs first).</p>	<p>Covers all factory-provided components.</p> <p><b>Excludes:</b></p> <ol style="list-style-type: none"> <li>1) Normal maintenance items or wearable items including, but not limited to, brake pads, filters, light bulbs, fuses, circuit breakers, bushings, or any consumable items that are the sole responsibility of the Customer</li> <li>2) Provided Customer Equipment, including but not limited to, cameras, fare boxes, counters, and ITS components.</li> <li>3) Adjustments, Alignments and/or loose hardware after the first 90 days following vehicle acceptance.</li> </ol>
<p><b>Structural System</b>  <b>3 Year / 150,000 Miles, whichever occurs first.</b>  (3 Year / 241,401 Kilometers, whichever occurs first).</p>	<p>Structural Systems is defined as the structural elements of the suspension and powertrain cradle.</p>
<p><b>Main Composite Monocoque Structure</b>  <b>12 Year / 500,000 Miles, whichever occurs first.</b>  (12 Year / 804,672 Kilometers, whichever occurs first).</p>	<p>Main Composite Monocoque is defined as the main composite body structure.</p> <p>NOTE: Proterra does not offer coverage for painted or wrapped bodies in conjunction with this warranty.</p> <p><b>Excludes:</b>  <b>Non-structural members.</b></p>
<p><b>Rust Through Corrosion Warranty</b>  <b>12 Year/500,000 Miles, whichever occurs first.</b>  (12 Year / 804,672 Kilometers, whichever occurs first).</p>	<p>The components indicated in the Structural System and Main Composite Monocoque Structure are covered for structural failure due to rust through corrosion.</p> <p><b>Excludes:</b></p> <ol style="list-style-type: none"> <li>1) Surface and non-structural corrosion, oxidation, or patina</li> <li>2) Corrosion caused by high-pressure washing, severe wash solutions, cleaning solvents or detergents</li> <li>3) Corrosion caused by acid rain or other industrial fallout</li> <li>4) Corrosion caused by excessive Road Salt or Calcium Chloride, or any other such product.</li> <li>5) Corrosion due to improper prevention measures during storage or use</li> <li>6) Corrosion due to environmental damage (including ocean spray); airborne fallout (chemicals, tree sap, etc.) or other atmospheric conditions or act of nature</li> <li>7) Corrosion due to improper use, misuse or abuse including insufficient maintenance.</li> </ol>



# PROTERRA

## WARRANTY TERMS SECTION B - EXTENDED COMPONENT COVERAGE

This section includes major components purchased and installed by Proterra and listed below and is guided by the manufacture warranty. Each item listed in Section B is covered for 2 years or 100,000 miles (160,934 Kilometers), whichever occurs first.

<b>Propulsion System Warranty</b>	System Components including but not limited to; Traction Motor, Traction Motor Inverter, Transmission, Drive Shaft, Output Flange
<b>High Voltage Electronics and HV Cooling Warranty</b>	System Components including but not limited to, VFD, DC-DC, EMP Pump, HV Junction Box, Radiator, Coolant Pump
<b>HVAC Warranty</b>	System Components including but not limited to, HVAC Unit, Blower Fan, Ducting, Thermostat/Thermistor, VFD  <b>Excludes: Filters</b>
<b>Control Systems Warranty</b>	System Components including but not limited to, ZR Vehicle Controller, Multiplex, Powertrain Controller, DMUX, Charge Controller, WCCM (Pantograph), Data Logger, Ride Height Controller, Body Controller, ABS Controller, Fire Suppression System  <b>Excludes Fire Suppression Bottle Maintenance</b>
<b>Chassis Warranty</b>	System Components including but not limited to, Front Suspension/Axle Assembly, Rear Suspension/Axle Assembly, Air Bags/Shocks, Ride Height Linkage/Sensors, Ride Height Controller, Ride Height Manifold, Air Compressor, Air Dryer, Brake Calipers, Wheel Speed Sensors, Power Steering Motor and Pump  <b>Excludes Air Filter &amp; Oil Separator Maintenance and Filter Cartridge.</b>
<b>Auxiliary Heater Warranty</b>	System Components including but not limited to, Defroster, Ducting, Auxiliary Heater Assembly, Aux. Fuel Sending Unit, Blower Fan, Thermistor
<b>ADA Ramp Warranty</b>	System Components including but not limited to, Wheelchair Access Ramp and related components.  <b>Excludes Improper Use or Overloading and/or any physical damage</b>
<b>Door Systems and Windows Warranty</b>	System Components including but not limited to, Actuators, Door Controller, Electromotor, Sensors, Switches, Solenoids, Cylinder, Bearings, Bushings, Sensitive Edge Seal, & Sealing Frame. Window Seals, Frames, Latches, Catches, Locks, Hinges.  <b>Excludes Glass Breakage</b>

**WHAT IS NOT COVERED:**

The following conditions are not covered by this Warranty:

- Alteration or modification of any part of the Product with any third-party item,
- Misuse or negligent use of the bus, including but not limited to Customer's, or a third-party's, failure to follow Proterra's Operating Manual,
- Intentional or accidental collision and/or other physical damage.
- Acts of Nature,
- Neglect or Failure to perform the Preventative Maintenance as outlined in the maintenance documentation for the Product,
- Unauthorized use or operation outside of the terms and conditions of the applicable lease contract,
- Improper maintenance and repair, or
- Intentional acts of destruction, tampering or vandalism.
- Adjustments and Alignments past the first 90 days after the bus is delivered to the Customer's site.
- Normal maintenance items or wearable items including, but not limited to, brake pads, filters, light bulbs, fuses, circuit breakers, bushings, or any consumable items.
- Oil, coolant, refrigerant and other fluids are not covered except when used in conjunction with a covered repair as identified in the Proterra Service Manual.
- Any physical damage to Product while in transit to Customer site. This includes shipping damage by carrier delivering a bus. Any damage incurred while in transit will require a claim being filed to the transportation company.
- Body paint and/or vehicle wraps are not covered by this Warranty. Proterra will not honor claims for paint or wraps after the point of initial Vehicle Acceptance.

**LOW VOLTAGE 12/24 BATTERY POLICY**

Proterra warrants the original 12/24V low voltage batteries during the first 90-day period upon delivery of the Catalyst Bus and is not extendable. No claims for these batteries will be accepted after the original 90-day period.

For approved low voltage battery replacements during the Warranty period, Customer shall acquire battery at their local vendor and submit for reimbursement through the Warranty Claim submission process outlined within this manual. Customer is advised to contact their local battery vendor for replacement low voltage batteries when required. Proterra will not sell nor ship low voltage batteries through its Service Parts Operation.

Any subsequent battery failures will be subject to the warranty terms provided from the local battery vendor.





## BATTERY PACK LIMITED WARRANTY

Subject to the terms, conditions and limitations set forth in this Battery Pack Limited Warranty (the “Warranty”), including, without limitation, the Approved Use Conditions, Proterra, Inc. (“Proterra”) warrants to the original purchaser or lessee (individually or collectively, the “Customer”) that its high voltage battery pack (the “Battery Pack”) for the Catalyst XR / E2 / E2 Max-series battery-electric bus will be free from defects in materials and workmanship.

This Warranty covers the parts, labor (if applicable and in accordance with the terms of this Warranty and/or any purchase or lease agreement), and freight costs incurred during the Warranty Period.

The Battery Pack may not be serviced by the Customer, or any third-party maintenance provider, without having completed the proper factory training and have successfully been certified by Proterra to service the Battery Pack. Any servicing of the Battery Pack by the Customer, or any third-party maintenance provider, without having become Proterra-Certified will void the Warranty. Proterra, or a Proterra-Certified technician, will perform all necessary repairs to the Battery Pack.

**NOTE:** For Low Voltage 12/24V batteries, please see [Low Voltage 12/24V Battery Coverage](#) section within the Catalyst Bus New Vehicle Limited Warranty.

## BATTERY PACK LIMITED WARRANTY TERMS

As it pertains to this section, the following terms are defined:

“**Gross Discharge Throughput**” means the total energy discharged through the Battery Pack during its life, including energy from external chargers and energy recuperated from regenerative braking. The Gross Discharge Throughput will be tracked by the BMS at the Battery Pack level and reported through the onboard vehicle telemetry system.

“**Nameplate Energy**” means the amount of energy stated in the specifications, bid proposal, and/or contract, divided by the number of Battery Packs (e.g., 4 Battery Packs at 400 kWh would have 100 kWh nameplate energy per Battery Pack).

“**Available Energy**” means the amount of energy available between 0% state of charge (“SOC”) - This information can be obtained using the Proterra diagnostic tool and a snapshot thereof must accompany any battery claims.

<b>Battery Pack Material and Workmanship Warranty</b> <b>12 Years / Unlimited Mileage</b>	Coverage to include all materials, components and workmanship of the Battery Pack to be free of defects.
<b>Battery Packs with Nameplate energy of 110 kWh</b> <b>6 Years / 200,000 kWh</b>	For Battery Packs with 110 kWh of Nameplate Energy and the Available Energy of 97 kWh in new condition, Proterra warrants Available Energy of 70 kWh per Battery Pack for 6 years, or 200,000 kWh of Gross Discharge Throughput per Battery Pack, whichever comes first.
<b>Battery Packs with 73 kWh Nameplate Energy</b> <b>6 Years / 133,333 kWh</b>	For Battery Packs with 73 kWh of Nameplate Energy and the Available Energy of 65 kWh in new condition, Proterra warrants Available Energy of 47 kWh per Battery Pack for 6 years, or 133,333 kWh of Gross Discharge Throughput per Battery Pack, whichever comes first.



## COMPONENTS INCLUDED IN BATTERY PACK LIMITED WARRANTY

This Warranty includes the following Battery Pack components:

- Battery Modules
- Battery Management System (BMS)
- Battery Cooling System
- Battery Pack Enclosure
- Electrical, Mechanical, and Thermal Interfaces
- Manual Service Disconnect (MSD)

## WHAT IS NOT COVERED

The following conditions are not covered by the Battery Pack Limited Warranty:

- Battery Packs that have been serviced by a non-Proterra-Certified technician without prior authorization by Proterra.
- Alteration or modification of any part of the Product with any third-party item
- Misuse or negligent use of the bus, including but not limited to Customer's, or a third-party's, failure to follow Proterra's Operating Manual
- Intentional or accidental collision and/or other physical damage
- Acts of Nature
- Neglect or Failure to perform the Preventative Maintenance as outlined in the maintenance documentation for the Product
- Unauthorized use or operation outside of the terms and conditions of the applicable lease contract,
- Improper maintenance and repair
- Intentional acts of destruction, tampering or vandalism





## POWER CONTROL SYSTEM (PCS) CHARGING SYSTEM LIMITED WARRANTY

Proterra Inc. (“Proterra”) warrants to the original purchaser/lessee that its Power Control System (“PCS”) will be free from defects in material and workmanship under normal use and when properly serviced. Proterra agrees to repair or replace defective parts at no additional cost to the purchaser/lessee subject to the terms and conditions set forth herein. Such repair or replacement shall be the sole and exclusive remedy for any breach of warranty contained herein. This is a limited warranty subject to the terms and conditions stated below.

The Power Control System (PCS) Charging Systems Limited Warranty (the “Warranty”) covers the parts, assemblies, and components in the charge system listed below. This warranty covers 100% of the parts, labor reimbursement (if applicable in accordance with the terms of this warranty and the sales agreement) and any associated freight costs during the warranty time period identified below.

### POWER CONTROL SYSTEM (PCS) WARRANTY TERM

Coverage Period: Power Control System (PCS) and Charge Dispenser - 2 years from the Date of Commissioning, or in accordance with the purchase agreement.

The “Charging System”, as referred to in this document, is comprised of the following components and related materials:

- 60kW or 125 kW Power Control System (PCS) Hardware
- Charge Dispenser(s)
- Power cabling
- Conduit between PCS and Dispenser IF installed by Proterra, or Proterra managed contractors
- Pedestal mount, wall and overhead mounting brackets, cable hanger, and cable reel IF installed by Proterra, or Proterra managed, contractors

## WHAT IS NOT COVERED

Items and components NOT covered by the Warranty include, but are not limited to, the following:

- Switchgear
- Data communication link from Customer and/or Customer designee
- Transformers upstream of the Switchgear
- Facility related items, including but not limited to, buildings, enclosures, concrete pads, and HVAC
- Power cabling and conduit between charger and dispenser NOT installed by Proterra, or Proterra managed contractors

The Warranty does NOT cover malfunction or failure of the charge system due to the following events:

- Alteration or modification of any part of the Charging System or assembly or combination of the Charging System with a system that is not authorized in writing by the manufacturer or performed by the manufacturer
- Misuse or negligent use of the Charging System, including but not limited to, purchaser/lessee or maintenance provider's failure to follow Proterra's operating manual
- Damaged caused by Road Salt or other Corrosive material intrusion
- Intentional or accidental collision, destruction, tampering or vandalism
- Acts of Nature
- Neglect, or Failure, to perform the Preventative Maintenance outlined in the PCS Operating Manual
- Unauthorized use or operation outside the terms and conditions of the applicable sales/lease agreement
- Improper maintenance or repair by purchase or any third-party servicer
- Charger cord and connector failures due to wear, physical damage, or improper stowage
- Preventive Maintenance items as outlined in the Operating Manual

## ACTIVATION OF WARRANTY

The Warranty term starts on the Date of Acceptance for each Product in accordance with the terms of the applicable purchasing contract.

**EXCEPT FOR THE OBLIGATIONS, WARRANTIES AND REPRESENTATIONS SPECIFIED HEREIN, PROTERRA MAKES NO REPRESENTATIONS OR WARRANTIES, EXPRESS OR IMPLIED, AND SPECIFICALLY DISCLAIMS ANY REPRESENTATION OR WARRANTY OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, TITLE OR NON-INFRINGEMENT, AND SPECIFICALLY DISCLAIMS ANY WARRANTY ARISING BY USAGE OF TRADE OR BY COURSE OF DEALING.**

Proterra administers the warranty process, and all warranty claim approvals are at the sole and absolute discretion of Proterra.

In connection with any claim brought under this Warranty, the Customer must submit a completed Proterra Warranty Claim Form along with a copy of their internal work order, showing technician punch times, and any additional applicable documentation. Customer is required to retain any parts related to a Warranty transaction for thirty (30) days from the date that the claim has been approved. Proterra reserves the right to request any removed parts be returned at any time during the 30-day period.

Customer also has thirty (30) days to return any parts that are identified as “Core” parts or will be charged the applicable “Core Charge”. Proterra may perform an inspection of the failed component and supporting documentation to make a claim determination. Proterra will not provide any compensation, labor, repairs, or replacement part to the Customer without the above documentation.

Proterra reserves the right to adjust the approved amount to align with the current published SRT guide if excess amounts are claimed without prior authorization from Proterra.

**NOTE:** Towing coverage is only reimbursed during the initial *Catalyst Bus New Vehicle Limited Warranty* for 1 Year/ 50,000 miles, whichever occurs first. All towing claims must be accompanied the warranty repair order and the towing invoice from the provider. Proterra will not pay mark-up on any sublet claims.

Any transportation damage as a result of towing is not covered. This includes any damage to the body, or as a result from improper hooking of the vehicle.

## DELAYED WARRANTY STARTS

A Delayed Warranty Start may be granted for the Customer to ready the Product for revenue service. This Delayed Warranty Start period shall not exceed 30 days after the Date of Acceptance for each Product and must be approved in writing by Proterra.

This period will allow for Customer to install any necessary equipment, have graphics applied, or any other service readiness activities.

For Delayed Warranty Start approval, the Customer must apply for this added time as part of the Purchase Agreement for the Product, or by submitting the Delayed Warranty Start Application included in the Forms Section of the Appendix.

## WARRANTY PROCESSING AND CLAIMS MANAGEMENT

For assistance with any warranty claim transactions, please email [warranty@proterra.com](mailto:warranty@proterra.com) for support. Please include vehicle VIN, current odometer, unit number, claim number and/or invoice in your correspondence.

## WARRANTY POLICIES

1. Standard Repair Times (SRT) are published within the Proterra Maintenance Manual. For an updated copy, please email request to [warranty@proterra.com](mailto:warranty@proterra.com).
2. Preventive Maintenance items and consumables are not covered by this Warranty.
3. Loose hardware, seams and clamps are only covered for the first 30 days after Warranty Activation.
4. All claims are to be filed with Proterra within 30 days of the completion of the repairs. Claims received after 30 days are subject to a 25% filing penalty and will not be accepted after 90 days.
5. All removed parts and materials during a warranty transaction must be labeled and retained for a minimum of thirty (30) days from the claim approval date.
  - a. Parts will be requested by issuing a Return Material Authorization (RMA) to the repair facility.
  - b. Proterra has the right to request parts at any time within the 30 days.
  - c. Parts and materials not requested after 30 days may be scrapped.
  - d. All parts and materials being returned must follow the Proterra Part Return Process below.

## PRIOR AUTHORIZATION – OBTAINING PRIOR AUTHORIZATION CODES (PAC)

1. Customer must contact Proterra for approval on any claim that:
  - a. Customer is requesting more time than allowed in the Proterra Standard Repair Time (SRT) Manual.
  - b. Customer is requesting more than the 1.5 hours of diagnostic time.
  - c. Total claim amount is greater than \$1,000.00 USD. Please note that this empowerment can be revoked without notice by Proterra if a Customer does not follow the policies stated within this Manual.
2. To obtain approvals for additional time, please contact your Proterra Field Service Representative for further information and guidance.
3. Your Proterra Field Service Representative will issue a Prior Authorization Code (PAC) that must be clearly stated on your Warranty Claim form. Claims without PAC's are subject to rejection.

## FILING WARRANTY CLAIMS

To file a claim, the Warranty Claim Form must be completed. All claims are subject to the review and approval by the Proterra Warranty Department. All claims must be in accordance with this Agreement. Allowances for parts and labor are published in the Proterra Standard Repair Time (SRT) Manual. Claims requiring additional parts and labor outside of the allowances must have pre-approval from Proterra.

Each claim must have a completed claim form (Appendix A) and needs to include the following information:

- Supporting documentation for all claimed labor hours allowed per the Standard Repair Times (SRT)
- Provide complete contact information.
- Include the Bus or Charger VIN / Serial Number.
- Provide the failure date and mileage.
- Provide detailed description of the issue.
- Provide a detailed description of the resolution.
- Include all parts and miscellaneous expenses associated with the repair.
- Include a copy of the Shop Work Order and any applicable supporting documentation.
- Return all required parts per Parts Return Process, retain non-return parts for 30 days

#### REIMBURSEMENT FOR LABOR HOURS DURING WARRANTY REPAIRS

Proterra will reimburse the Customer for labor spent conducting approved repairs under this Warranty at Customer's approved Warranty Labor Rate with the following provisions:

NOTE: Customer's Warranty Labor Rate does NOT automatically increase with Customer's normal rate increases without prior approval from Proterra.

Customer must provide an initial Warranty Labor Rate Application (refer to Forms Section in the Appendix of this document). Future increases of the Customer Warranty Labor Rate must be justified in writing and a new application submitted. It is at Proterra's sole discretion to allow the increase based on market value of like services in the area.

Reimbursement for all claimed labor hours must be within the specified allowances as published in the Proterra Standard Repair Time (SRT) Manual. This also will include any necessary materials and/or shop supplies used in the conjunction with the Warranty repair.

#### REIMBURSEMENT FOR WARRANTY PARTS

Proterra reserves the right to provide replacement parts for covered repairs at no charge. If the Customer had purchased the required parts for the job and/or used a part from their inventory, Customer will be able to claim the purchase price of the part, or will receive a new component in return, unless otherwise specified in the terms and conditions of the Sales Order or Contract. Proterra reserves the right to send remanufactured, or recertified, components when available.

For questions regarding coverage, please email [Warranty@Proterra.com](mailto:Warranty@Proterra.com).

For questions regarding parts stocking or availability, please email [ServiceParts@Proterra.com](mailto:ServiceParts@Proterra.com).

#### REPLACEMENT PARTS WARRANTY

Proterra warrants all parts purchased from Proterra Parts for 90 days from the date of purchase, unless otherwise specified in writing.

The following components carry a 12-month guarantee on the part-only. No labor coverage provided past 90 days.

- Traction Motor
- Traction Motor Inverter
- Transmission
- Rear Axle Assembly

Claims must be filed in accordance with the guidelines within this Warranty Manual.

#### PARTS RETENTION REQUIREMENTS

For all approved claims under this Warranty, any components replaced during the repair must be retained for a minimum of 30 days following claim approval. Proterra reserves the right to request parts and materials to be returned during this 30-day period.

If Proterra does not request these parts and materials within 30 days of claim approval, Customer is permitted to self-scrap the parts and materials. The part must be rendered inoperable and ensure that it cannot be reinstalled on a Product.

Customers are expected to follow the Part Return Process listed in the next section.

**NOTE:** Proterra reserves the right to charge the Customer back for claims where a returned part passed inspection and was deemed as "No Problem Found".

**PARTS OBSOLESCENCE GUARANTEE FOR CUSTOMER INVENTORY**

To provide Customers a risk-free way to maintain a larger inventory for their Proterra fleet, Proterra will provide 100% credit on all parts returned after a minimum of 12 months from the date of receipt. Credit will be issued to the Customer's parts account in the form of a spare-parts credit for future parts orders. No cash refunds will be provided.

This program applies to parts purchases as part of a Proterra Stocking Program and will not apply to parts that are special ordered or provided Next-Day Air.

Parts returned for this credit must be in new condition with unopened/reusable packaging. Shipping charges will be at the Customer's expense. No credit will be issued for damaged parts/packaging or parts removed from a bus or charger.

**PART RETURN PROCESS**

1. Return all items using the original packaging received with the replacement part, unless otherwise instructed.
2. Choose a "Return Reason" and add a description of the defect.
3. Include the Original Parts Sales Order number.
4. Add return shipment tracking information, when available.
5. Fill out the Contact Information section on the parts tag.
6. Include a copy of the warranty claim and/or any related paperwork with the return parts or material.
7. Tag all items with the following information:
  - a. Fleet/Customer Name
  - b. Bus/Charger Serial #
  - c. Bus/Charger Fleet ID# (Unit #)
  - d. Bus Odometer
  - e. Part Number and/or Serial #
  - f. Part Description
  - g. Repair Date
  - h. Choose "Warranty" on the parts return tag
  - i. Ensure any and all fluids are drained prior to returning, if applicable.

**RETURN PART FREIGHT ROUTING INSTRUCTIONS**

**PROTERRA FACILITIES:**

Battery Returns:

Proterra, Inc.  
 Attn: Service/Warranty MRB  
 1815 Rollins Rd.  
 Burlingame, CA 94010

All Other Materials:

Proterra, Inc.  
 Attn: Service/Warranty MRB  
 1 Whitlee Ct.  
 Greenville, SC 29607

**PARCEL SHIPMENTS**

Preferred Carrier **UPS** (*Unless otherwise noted*):

- Please include a **Proterra Part Return Form** that includes all the required information for each vehicle referenced. Tag each part with a Part Return Tag when available.

**PARCEL MAX LIMITS:**

- UPS has established specific weight and size limits for the packages that you send with all UPS services. The restrictions below only pertain to individual packages. There are no limits to the total weight of your shipment or the total number of packages in your shipment.
  - Packages can be up to 150 lbs.



# PROTERRA

- Packages can be up to 165 inches in length and girth combined.
- Packages can be up to 108 inches in length.
- For shipments that exceed those limits, please defer to our “Freight Shipments” instructions below and/or work directly with your Proterra Buyer for solutions.

UPS ACCOUNT NUMBERS	
TO: BURLINGAME, CA 94010	TO: GREENVILLE, SC 29607
<b>2FX095</b>	<b>88767W</b>

**NOTE:** Please DO NOT send any shipments via Air or Priority transit unless you have a documented direct request from a Proterra representative. An approved documented request must come in the form of an email that clearly specifies the required delivery date (i.e. NEED BY DATE) to the respective Proterra facility.

THE USE OF UPS EXPRESS PLUS, UPS EARLY AM, FEDEX INTERNATIONAL FIRST OR FEDEX FIRST OVERNIGHT ARE SERVICE LEVEL'S NO LONGER AVAILABLE FOR USE UNDER ANY PARCEL ACCOUNT, PLEASE DO NOT ATTEMPT TO USE.

**NOTE: Customers who do not adhere to our “Return Part Freight Routing Instructions,” or select an unapproved expedited service, will be billed directly for the full amount of the freight bill**

### FREIGHT SHIPMENTS

Customer to contact Proterra Parts department for new materials, or core returns.

Contact the Proterra Warranty department for Warranty Part Returns.

### REQUIRED DETAILS FOR ALL SHIPMENTS

All shipments to Proterra will require the following:

- Shipping contact information such as email and phone numbers
- Weight of package in lbs.
- Quantity of packages
- Shipping container i.e. pallet, box
- Size of container if not a standard pallet or box
- Full ship from address
- Full ship to address
- Freight class
- Pick up window (date/time)
- Requested Delivery Date
- Customer’s Shipping & Receiving Hours
- Packing Slips when provided
- Special shipping instructions of any kind (i.e. hazmat, lift gate required, appointment, etc), if applicable

**NOTE:** Please include a **Proterra Part Return Form** that includes all the required information for each vehicle referenced. Tag each part with a Part Return Tag when available.



## PROTERRA SERVICE ADMINISTRATIVE SUPPORT

Should you have any questions, comments or concerns regarding our logistics process, please contact the corresponding department below:

- For Parts Related Returns: [Serviceparts@proterra.com](mailto:Serviceparts@proterra.com)
- For Warranty Parts Returns: [Warranty@proterra.com](mailto:Warranty@proterra.com)

**NOTE: Customers who do not adhere to our “Return Part Freight Routing Instructions,” or select an unapproved expedited service, will be billed directly for the full amount of the freight bill.**

## FILING WARRANTY CLAIMS

To file a claim, the Warranty Claim Form must be completed. All claims are subject to the review and approval by the Proterra Warranty Department. All claims must be in accordance with this Agreement. Allowances for parts and labor are published in the Proterra Standard Repair Time (SRT) Manual. Claims requiring additional parts and labor outside of the allowances must have pre-approval from Proterra.

Each claim must have a completed claim form (Appendix A) and needs to include the following information:

- Supporting documentation for all claimed labor hours allowed per the Standard Repair Times (SRT)
- Provide complete contact information.
- Include the Bus or Charger VIN / Serial Number.
- Provide the failure date and mileage.
- Provide detailed description of the issue.
- Provide a detailed description of the resolution.
- Include all parts and miscellaneous expenses associated with the repair.
- Include a copy of the Shop Work Order and any applicable supporting documentation.
- Return all required parts per Parts Return Process, retain non-return parts for 30 days



## MICHELIN TIRE WARRANTY INFORMATION

As the original purchaser of a MICHELIN® brand truck tire, you are covered by all the benefits and conditions (subject to the maintenance recommendations and safety warnings) contained in this booklet. To ensure your understanding of and compliance with the terms and conditions of this warranty, please read it carefully. It is essential that you also read and understand the Safety and Maintenance Recommendations for your tires.

### WHAT MICHELIN COVERS AND FOR HOW LONG:

#### **Workmanship and Materials:**

Except as limited below, MICHELIN® Truck Tires bearing the Michelin name and complete serial or identification numbers, used according to the instructions contained in this Operator's Manual, are covered by this limited warranty against defects in workmanship and materials for original tread life or 7 years from the date of purchase, whichever occurs first. If no proof of purchase is available, coverage will be based on the date of manufacture as referenced in Definitions below. At that time, all warranties, express or implied, expire.

#### **Definitions:**

The life of the original usable tread is the original tread down to the level of the tread wear indicators – 2/32<sup>nd</sup> of an inch (1.6 mm) of tread remaining.\* Date of purchase is documented by new vehicle registration or tire sales invoice. If no proof of purchase is available, coverage will be based on the date of manufacture, as molded on the sidewall. (This would be the Proterra Acceptance Date)

The date of manufacture is based on the original Michelin DOT\*\* number molded on the tire sidewall. The mileage received will be based on fleet records. Replacement will be made in accordance with the terms and conditions described under "*HOW REPLACEMENT CHARGES ARE CALCULATED*".

A Tire Registration Card may be found at [www.michelinman.com/US/en/register.html](http://www.michelinman.com/US/en/register.html)

### WHAT IS NOT COVERED BY MICHELIN'S WARRANTY:

Tires which become unserviceable due to:

- Road hazard injury (e.g., a cut, snag, bruise, impact damage or puncture);
- Incorrect mounting of the tire, tire/wheel imbalance, improper retread or improper repair;
- Misapplication, improper maintenance, racing, overload, under inflation, over inflation or other abuse resulting in casing damage or fatigue;
- Accident, fire, chemical corrosion, contamination, tire alteration or vandalism;
- Flat spotting caused by improper storage;
- The addition of liquid, solid or gaseous materials other than air, nitrogen or carbon dioxide;
- Uses other than long haul service for any extended casing guarantee claims;
- Uneven or rapid wear caused by mechanical irregularity in the vehicle, such as wheel misalignment or worn/damaged suspension components, resulting in damage to the under-tread, carcass or steel belts

Contact your local Michelin representative if additional information is needed.

## NON-WARRANTY SERVICE SUPPORT

If repairs required are not covered by this Warranty, and Customer would like to have Proterra conduct the repairs, Proterra will invoice the customer for onsite support at the current labor rate for Non-Warranty repairs and may include applicable travel expenses to Customer's site. For questions about services that are not covered by this Warranty, or how to obtain onsite support for Non-Warranty items, please contact your assigned Proterra Field Service Representative.



## ACTION ITEM



**8C: 2021 State Legislative Priorities**

**Action: Approve the 2021 State Legislative Priorities**

**Staff Resource:** *Erin Hockman, Chief External Affairs Officer*  
*Elizabeth Presutti, Chief Executive Officer*

### Proposed Legislative Agenda:

1. **Funding Diversification** - DART is aggressively pursuing other potential revenue sources that could replace or reduce DART's property tax levy. As potential funding solutions arise, staff and lobbyists will bring these options to the Executive Committee for approval before moving forward and will update the DART Commission accordingly.

- o **Background:** When DART was formed by the Iowa Legislature in 2006, the DART Commission was given the authority to collect a transit levy from residential and commercial taxpayers in its member communities, up to \$0.95 per \$1,000 of taxable valuation. As the region and transportation needs have grown since 2006, several of DART's member communities are at or nearing the property tax cap.

For its part, the DART Commission has worked through changes to the property tax formula over the last year. In doing so, it became very clear that continuing to fund a regional transit system for a region projected to reach nearly 1 million people by 2040 would result in significant property tax increases that are not sustainable. As a result, the DART Commission is focusing all of its legislative efforts on diversifying funding sources that will replace or significantly reduce the DART property tax levy.

2. **Medicaid** - DART is seeking a legislative fix to ensure that the cost of transportation for trips previously funded by Medicaid are not transferred to local transit authorities, and thereby, local property taxpayers. DART supports amending the language in Iowa Code Chapter 324A.4 that would include "Iowa Medicaid Enterprise and their agents" in the entities required to coordinate or consolidate funding and resulting service, to the maximum extent possible, with the urban or regional transit system.

- o **Background:** Prior to Medicaid modernization, DART worked directly with Medicaid to recover the full cost of a Paratransit trip, which at the time was \$24.29 per passenger. Since Medicaid privatization, DART Medicaid revenue has decreased by nearly \$700,000 per year even though DART is still providing about the same number of Paratransit trips. As a result, DART had to increase its property tax levy for fiscal year 2020 to cover the loss in revenue. This means local taxpayers are paying state taxes for Medicaid as well as paying more in local property taxes to offer the same number of Paratransit trips as previously provided.



## ACTION ITEM

### 8C: 2021 State Legislative Priorities

3. **Property Tax Backfill** - DART strongly supports maintaining the property tax backfill to avoid potentially significant property tax increases for DART's member communities.
  - o **Background:** The elimination of the property tax backfill would mean an annual loss in revenue of \$780,000 for DART. This would result in a property tax levy increase for all of DART's member communities. The rate of increase would vary for each community but would be somewhere in the range of 1-5 cents.

#### **Recommendation:**

- Approve the 2021 State Legislative Priorities.



## DISCUSSION ITEM



**9A: FY 2022 DART Budget Development Update**

**Staff Resource: Kent Farver, Chief Financial Officer**

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- Staff will provide an update regarding DART's upcoming FY 2022 Budget Development.



## DISCUSSION ITEM



<b>9A: Business Partnerships Update</b>
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***Staff Resource: Matt Harris, Business & Community Partnerships Manager***

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- Staff will provide an update on the status of DART's business partnerships.



## DISCUSSION ITEM



### 9B: Art Shelter Plan Update

**Staff Resource:** *Matt Harris, Business & Community Partnerships Manager*

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#### **Background:**

- In August 2018, DART staff shared a vision with the DART Commission for increasing the number of shelters at the busiest bus stops, key transfer locations and nodes. Part of that idea included the opportunity to upgrade the standard shelter design at select locations by incorporating two-dimensional art into the glass of DART bus shelters.
- Major funding partnerships to date include a \$250,000 allocation from Bravo Greater Des Moines and a \$200,000 Transportation Alternatives Program grant awarded from the Des Moines Area Metropolitan Planning Organization.
- In January 2020, the DART Commission approved a Memorandum of Understanding between DART and Bravo Greater Des Moines to support art-related shelter expenses. A project plan was submitted to Bravo on June 30, 2020 that prioritizes the first 50 percent of Bravo funding toward shelter installation projects where there is a high degree of confidence for planning or installation being completed between July 1, 2020 and June 30, 2021. The plan indicated that DART would:
  - conduct outreach to member communities to confirm participation;
  - adhere to shelter specifications, art standards and process guidelines;
  - coordinate with the Greater Des Moines Public Art Foundation, local public art commissions and public art stakeholders;
  - monitor impact of COVID-19 on ridership at select locations proposed for shelters;
  - collaborate with Bravo on a contingency strategy to fund alternative shelter locations as needed;
  - submit an updated project plan for the remaining 50 percent of Bravo funding by December 31, 2020.

#### **Staff Update:**

- Art concepts are either complete or in progress for DART's first 16 art shelters, including pilot projects along the 6<sup>th</sup> Avenue Corridor (12 shelters), Drake University (2 shelters) as well as the Roosevelt Cultural District (2 shelters), with installation of the first 9 of these shelters expected in 2021 following initial delays in production due to COVID-19.
- A Phase 2 art shelter plan will be submitted to Bravo Greater Des Moines by December 31, 2020 and prioritizes the remaining 50 percent of Bravo funding toward viable shelter locations where there is a high degree of confidence for planning or installation to occur between July 1, 2021 and June 30, 2022. A copy of the Phase 2 plan update is included in the December Commission packet for reference.



# Art Shelter Project Plan Update



Submitted to Bravo Greater Des Moines | December 2020

## Introduction

The Des Moines Area Regional Transit Authority (DART) continues to make progress toward its vision of a regional network of shelters that enhance the rider experience, enliven streetscapes and support regional connectivity by serving as visual landmarks and moments of creative inspiration that reinforce a positive image of public transportation.

Investment in DART's art shelter initiative aligns with a variety of regional planning efforts that address expanded mobility, neighborhood and corridor improvement, age-friendly livability as well as increased access to public art.

## Project Goals

- Enhance the rider experience
- Increase the visibility of public transportation
- Invest in a long-term, positive image of transit
- Reinforce regional connectivity of neighborhoods
- Enliven key transportation corridors through public art

## An Essential Service for Challenging Times

DART is committed to investing in the needs of riders and the infrastructure that supports access to convenient and affordable mobility options. Partnership with Bravo Greater Des Moines helps DART honor its commitment to member communities who are being tested as never before due to COVID-19. The goal of expanding access to every day, everywhere art remains more important now than ever as communities eagerly await a return to sharing and celebrating creative expression.

## Project Updates

Art concepts are complete or in progress for DART's first 16 art shelters, representing 30% of shelter locations identified for public art. These include pilot projects along the **6<sup>th</sup> Avenue Corridor** (12 shelters), **Drake University** (2 shelters) as well as the **Roosevelt Cultural District** (2 shelters). Installation of the first 9 shelters is expected in 2021 following initial delays in production due to COVID-19. The image shown is a rendering by artist Sheena Rose for shelters to be installed as part of the 6<sup>th</sup> Avenue Corridor art shelter pilot project.

### Image Credit:

Greater Des Moines Public Art Foundation



1 Shelter A Perspective SCALE



# Art Shelter Project Plan Update



Submitted to Bravo Greater Des Moines | December 2020

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## Fundraising Status

To augment Bravo funding and a \$200,000 Transportation Alternatives Program grant awarded by the Des Moines Area Metropolitan Planning Organization, DART launched a consultant-led fundraising study to gauge private-sector interest and capacity for supporting shelter projects. A steering committee of nearly a dozen community stakeholders identified a roster of more than 40 civic and philanthropic leaders to engage in the fundraising study process.

However, out of respect to the pressing needs of the community as a result COVID-19, DART made the decision to pause the fundraising study process and revisit it in 2021 to determine whether there is need for additional fundraising or individual philanthropic support at that time. The use and expenditure of Bravo funding is not contingent on the status or outcomes of the fundraising study.

## Revised Timeline

Planning and implementation for art shelters has continued despite timeline adjustments resulting from the ongoing impact of COVID-19. An overview of recent and upcoming FY 2021 project milestones follows:

- July 2020** Shelter Plan reviewed by full DART Commission
- Sept 2020** Fundraising study paused due to increased community need from COVID-19
- Nov 2020** Outreach to member community city managers finalized
- Dec 2020** Documentation of Phase 1 funding drawdown, Phase 2 planning update submitted to Bravo Greater Des Moines
- Jan 2021** Launch art processes in Windsor Heights, West Des Moines, Ingersoll, East Grand
- Feb 2021** Anticipated installation of Drake University art shelter pilot project (2 shelters)
- April 2021** Anticipated installation of Phase 1 6<sup>th</sup> Avenue art shelter pilot project (5 shelters)
- May 2021** Anticipated installation of Roosevelt Cultural District art shelter project (2 shelters)
- June 2021** Final determination of viable suburban shelter locations
- July 2021** Shelter project planning and installation activity continues
- June 2022** Second half of funding drawdown submitted to Bravo Greater Des Moines
- Sept 2022** Final report submitted to Bravo Greater Des Moines





# Art Shelter Project Plan Update

Submitted to Bravo Greater Des Moines | December 2020

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## Implementation Update

DART continues to see reduced ridership throughout its service network due to COVID-19, particularly along suburban Express Routes that serve commuters working for major employers still operating in an indefinite remote capacity. With the long-term effects from COVID-19 on public transit still playing out, it is uncertain how long it will take for certain routes and stops to return to more normal ridership.

DART recognizes ridership at some locations originally identified for shelters may not recover to the point where they would warrant the infrastructure investment and ongoing maintenance an art shelter represents. DART will continue to monitor these locations in question through June 30, 2021 and then make a final determination as to which locations remain viable for shelter investment and which ones will be removed from shelter consideration for the time being.

While DART is confident that its art shelter implementation plan will serve a variety of member communities, any contingency strategies that seek to ensure a wider regional footprint than shelter locations can support will be developed in consultation with Bravo.

## Phase 2 Funding Allocation

DART will allocate the remaining half of Bravo funding toward the most viable shelter projects where there is a high degree of confidence for planning or installation activity to occur between July 1, 2021 and June 30, 2022. These include up to 21 shelter locations in the communities listed below.

- \*Altoona (1)
- \*Ankeny (2)
- \*Clive (1)
- Des Moines (13)
- \*Grimes (1)
- Johnston (1)
- \*Pleasant Hill (1)
- West Des Moines (1)

Planning efforts will prioritize those locations where ridership is expected to recover soonest and/or in full. Of the shelter locations listed, six\* currently remain below the preferred ridership threshold for shelter investment and will be subject to consideration for future shelter investment or alternative infrastructure enhancements. Once a final determination of shelter viability is made by June 30, 2021, DART will recommend allocation of Bravo funding from non-viable locations to art shelter projects in the City of Des Moines.

## Thank You

DART greatly appreciates the Bravo Greater Des Moines staff and board of directors for their continued partnership and support and looks forward to recognizing Bravo Greater Des Moines among other major project partners throughout implementation of its art shelter plan.



## MONTHLY REPORT



**9D: Monthly Performance Report - October 2020**

**Staff Resource: Greg Ellingson, Business Analyst Manager**

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### **Summary of October 2020 Monthly Performance:**

- Total October ridership was down 62% compared to October 2019. Fixed route was down 61.8%, Paratransit was down 56.4%, and RideShare was down 67.9%. From September 2020 to October 2020, weekday fixed route ridership rose 0.2% and weekday paratransit ridership rose 4.3%. Rideshare ridership increased 8.2% from September to October. Notably, fixed route and paratransit ridership declined slightly towards the end of October as the public health statistics worsened.
- Preventable accidents per 100,000 miles are 14.2% lower fiscal year-to-date than last year and meeting our goal of 1 preventable accident per 100,000 miles. Non-preventable accidents per 100,000 miles have decreased by 6% fiscal year-to-date.
- On-Time Performance has continued to exceed internal benchmarks and previous performance and was 86.8% this month. This is 5.7% higher compared to October 2019 and is 10.6% higher this fiscal year overall compared to last.
- The farebox recovery ratio was 14.8% in October. This is down 18.2% from October 2019 with reduced revenue from the ridership decline. Fare revenue directly from passengers has been consistent over the past three months. Increases in partnership and school revenue in October led to a 53.6% increase from September 2020.
- Fixed Route operating costs per revenue hour have been below our target of \$150 per revenue hour over the past four months. This cost ratio was 10% better this year in October compared to last year.
- Road Calls per 100,000 miles, where our buses need service while in operation, are down 31.4% fiscal year-to-date compared to last year.

### **November Ridership Outlook:**

As of 11/19, fixed route ridership has increased slightly thus far in November compared to October. Factors driving the increase are a substantial ridership increase on election day when free rides were offered and the return of middle and high school service for Des Moines Public Schools. As the schools returned to remote learning, fixed route ridership has declined. Average weekday ridership for fixed route is up 3% thus far in November compared to October. Average weekday paratransit ridership has decreased about 4.5% thus far in November compared to October.



# Performance Summary - October 2020

11/1/2019 10/31/2020

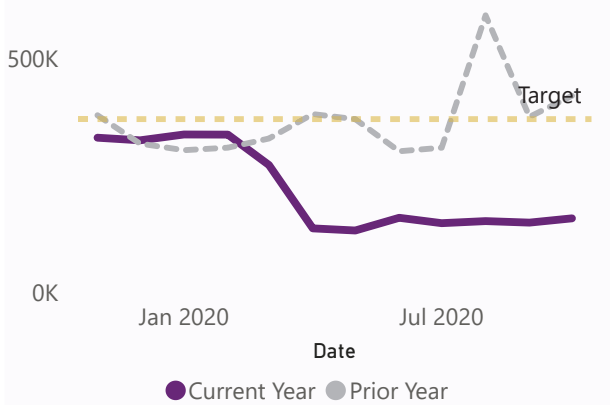
## Ridership

Monthly  
**160,588**

FY20: 422,255 (-61.97%)

YTD  
**617,020**

FY20: 1,704,977 (-63.81%)



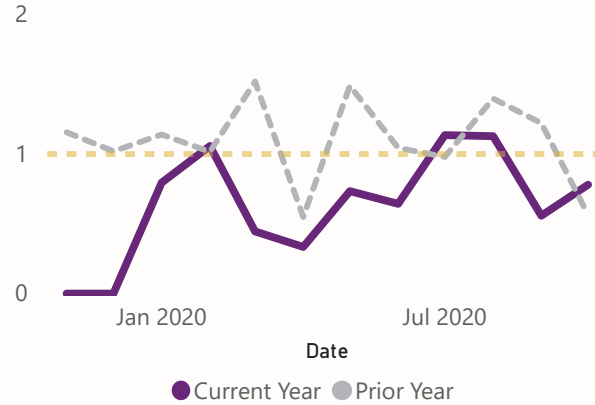
## Preventable Accidents/100k Miles

Monthly  
**0.78**

FY20: 0.56 (-38.09%)

YTD  
**0.90**

FY20: 1.05 (+14.2%)



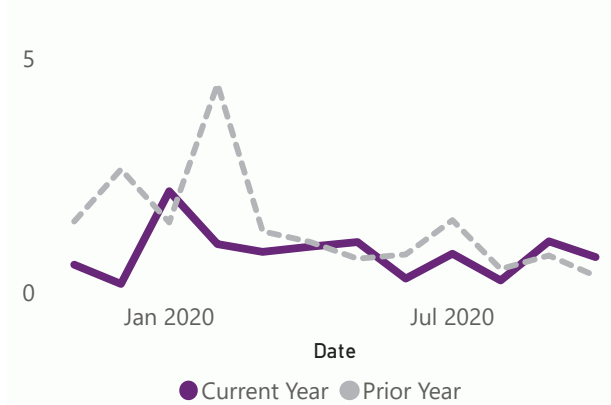
## Non-Preventable Accidents/100k

Monthly  
**0.78**

FY20: 0.38 (-107.14%)

YTD  
**0.76**

FY20: 0.81 (+6.04%)



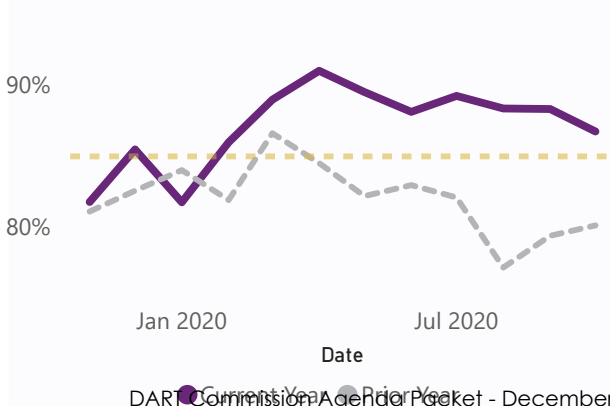
## On-Time Performance

Monthly  
**86.76%**

FY20: 82.08% (+5.7%)

YTD  
**88.18%**

FY20: 79.71% (+10.62%)



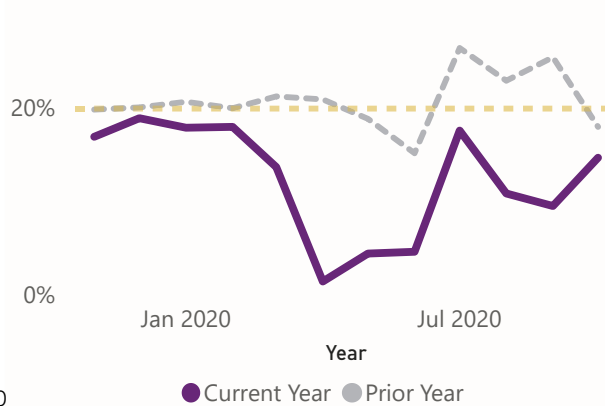
## Farebox Recovery Ratio

Monthly  
**14.76%**

FY20: 18.05% (-18.22%)

YTD  
**13.23%**

FY20: 23.23% (-43.04%)



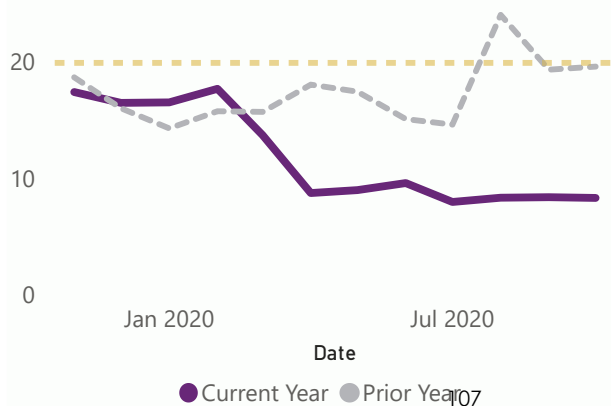
## FR Passengers/ Revenue Hour

Monthly  
**8.42**

FY20: 19.68 (-57.23%)

YTD  
**8.35**

FY20: 19.72 (-57.67%)





# Fixed Route Performance

4/1/2020 10/31/2020

## Ridership

Monthly

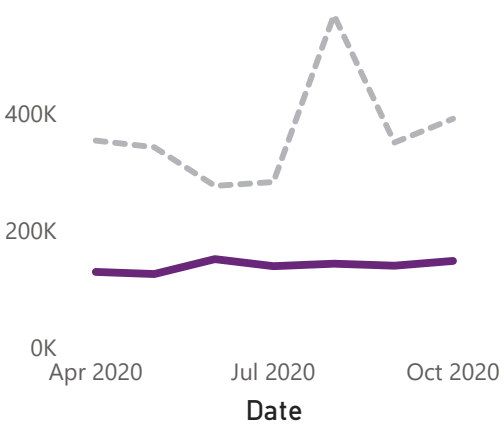
149,732

FY20: 391,943 (-61.8%)

YTD

577,144

FY20: 1,595,918 (-63.84%)



● Current Year ● Prior Year

## On-Time Performance

Monthly

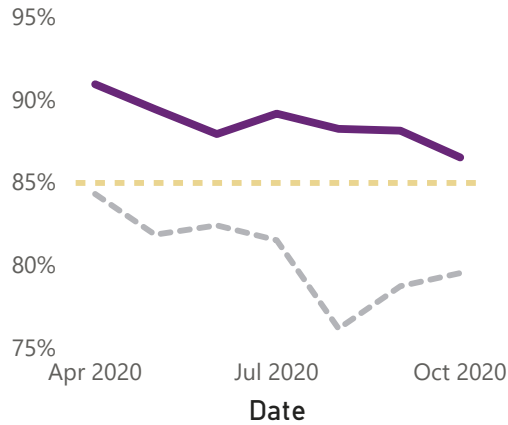
86.54%

FY20: 79.57% (+8.76%)

YTD

88.02%

FY20: 79.05% (+11.34%)



● Current Year ● Prior Year

## Operating Cost/Rev. Hour

Monthly

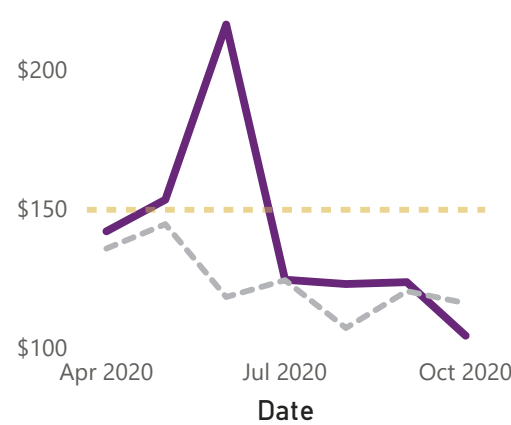
\$104.72

FY20: \$116.40 (+10.03%)

YTD

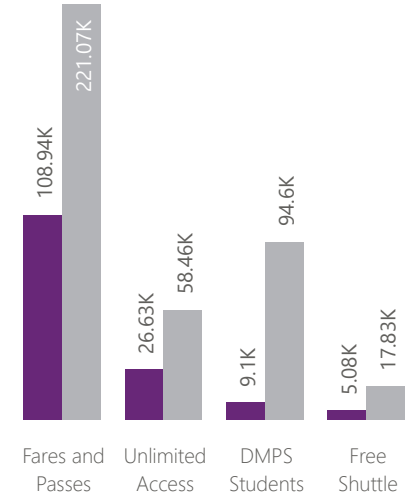
\$119.07

FY20: \$116.75 (-1.99%)



● Current Year ● Prior Year

## Monthly Ridership by Fare Group



● Current Year ● Prior Year

## Preventable Acc./100k

Monthly

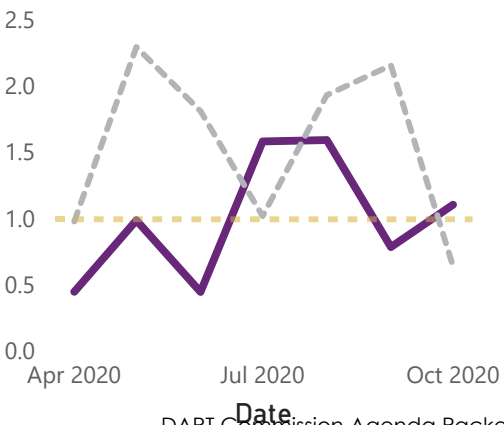
1.11

FY20: 0.65 (-71.63%)

YTD

1.27

FY20: 1.45 (+12.59%)



● Current Year ● Prior Year

## Non-Preventable Acc./100k

Monthly

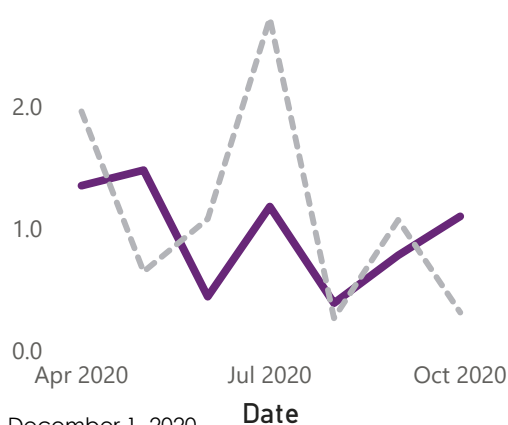
1.11

FY20: 0.32 (-243.25%)

YTD

0.88

FY20: 1.05 (+16.21%)



● Current Year ● Prior Year

## Road Calls/100k Miles

Monthly

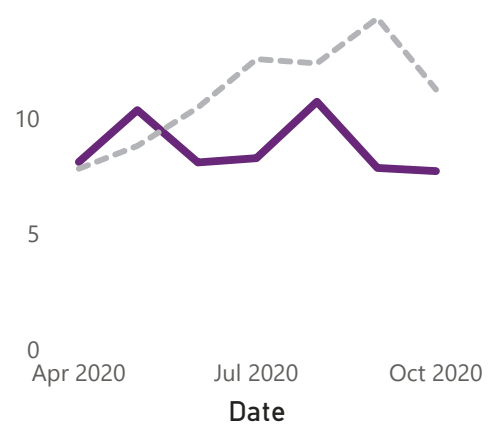
7.77

FY20: 11.31 (+31.35%)

YTD

8.68

FY20: 12.64 (+31.39%)



● Current Year ● Prior Year

## Complaints/100k Miles

Monthly

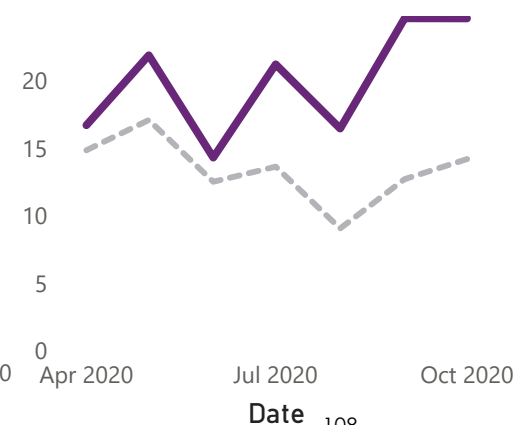
24.71

FY20: 14.29 (-72.95%)

YTD

21.83

FY20: 12.03 (-81.47%)



● Current Year ● Prior Year



# Paratransit Performance

4/1/2020 10/31/2020

## Ridership

Monthly

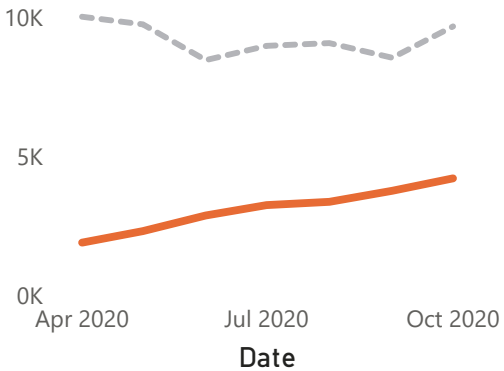
**4,232**

FY20: 9,695 (-56.35%)

YTD

**14,675**

FY20: 36,357 (-59.64%)



● Current Year ● Prior Year

## On-Time Performance

Monthly

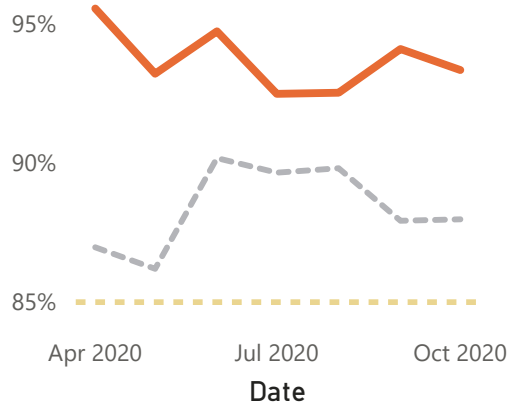
**93.35%**

FY20: 87.98% (+6.1%)

YTD

**93.15%**

FY20: 88.84% (+4.85%)



● Current Year ● Prior Year

## Operating Cost/Passenger

Monthly

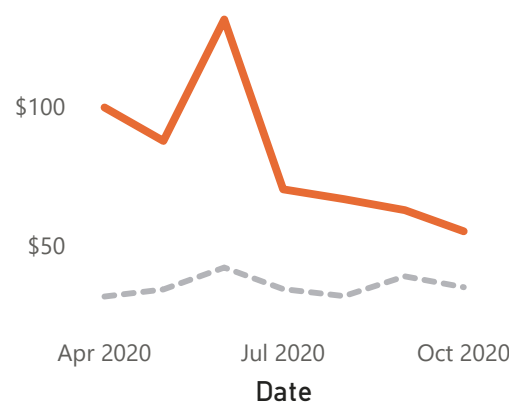
**\$55.51**

FY20: \$35.40 (-56.82%)

YTD

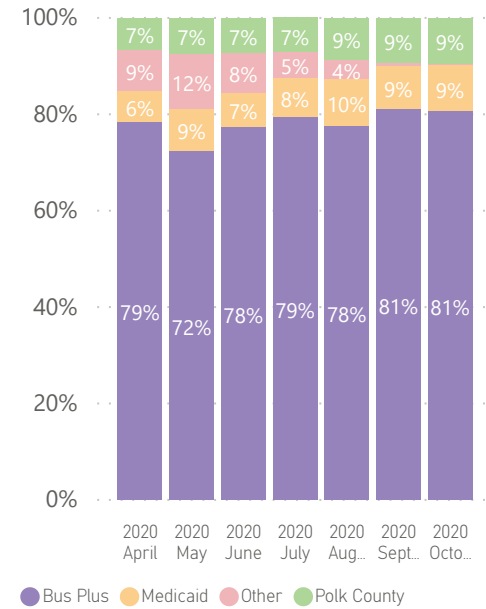
**\$63.51**

FY20: \$35.35 (-79.66%)



● Current Year ● Prior Year

## Paratransit Customer Type Breakdown



● Bus Plus ● Medicaid ● Other ● Polk County

## Preventable Acc./100k

Monthly

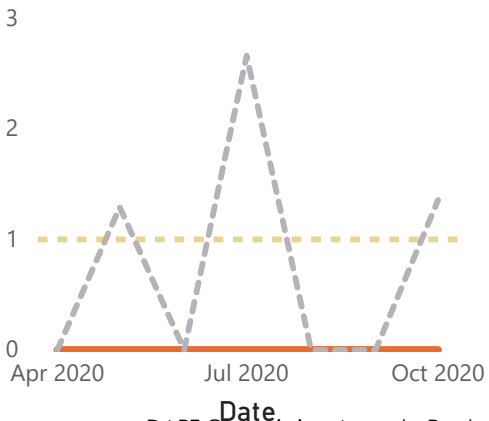
**0.00**

FY20: 1.36 (+100%)

YTD

**0.00**

FY20: 1.02 (+100%)



● Current Year ● Prior Year

## Non-Preventable Acc./100k

Monthly

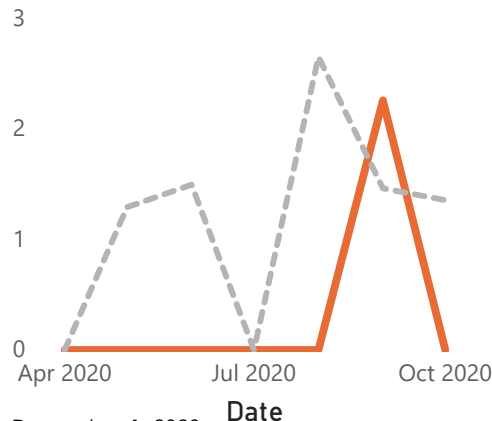
**0.00**

FY20: 1.36 (+100%)

YTD

**0.58**

FY20: 1.37 (+57.47%)



● Current Year ● Prior Year

## RideShare - Ridership

Monthly

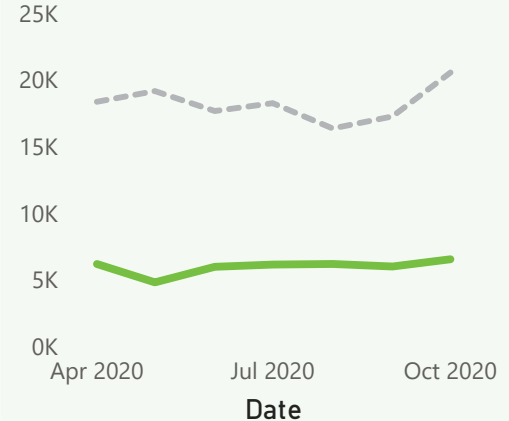
**6,624**

FY20: 20,617 (-67.87%)

YTD

**25,201**

FY20: 72,702 (-65.34%)



● Current Year ● Prior Year

## RideShare - Op. Cost/Passenger

Monthly

**\$9.77**

FY20: \$5.69 (-71.79%)

YTD

**\$10.14**

FY20: \$6.02 (-68.49%)



● Current Year ● Prior Year



# Route Details

Month

October 2020

Program	Route	Month Ridership	Month Last Year	YTD Ridership	Last Year YTD Ridership	YTD Change	YTD Change %	YTD Passengers/Revenue Hour	YTD On-Time Performance
1. Local	▲ #1 - Fairgrounds	6,372	20,658	22,217	320,511	-298,294	-93.1%	7.72	85.38%
	#3 - University	19,468	37,384	79,105	139,869	-60,764	-43.4%	10.89	87.49%
	#4 - E. 14th	7,514	18,514	26,112	66,899	-40,787	-61.0%	8.69	90.24%
	#5 - Franklin Ave/Johnston	3,955	13,429	14,889	41,679	-26,790	-64.3%	5.04	85.48%
	#6 - Indianola	10,201	34,468	39,679	111,050	-71,371	-64.3%	10.29	90.14%
	#7 - SW 9th St.	16,764	41,710	64,686	134,390	-69,704	-51.9%	13.06	93.02%
	#8 - Fleur Dr.	1,012	4,217	3,332	12,098	-8,766	-72.5%	5.42	85.71%
	#10 - East University	463	2,811	2,299	11,663	-9,364	-80.3%	3.91	86.99%
	#11 - Ingersoll/Valley Junction	1,008	2,167	3,662	7,834	-4,172	-53.3%	5.33	88.76%
	#13 - Evergreen	280	6,544	462	15,402	-14,940	-97.0%	3.00	71.80%
	#14 - Beaver Ave.	7,712	21,406	28,045	67,787	-39,742	-58.6%	8.76	88.53%
	#15 - 6th Ave.	8,849	29,743	35,808	93,723	-57,915	-61.8%	10.72	90.40%
	#16 - Douglas Ave.	17,560	37,398	66,857	131,719	-64,862	-49.2%	9.76	87.91%
	#17 - Hubbell Ave.	12,239	24,319	49,214	87,777	-38,563	-43.9%	9.00	88.41%
	#50 - Euclid	3,434	5,670	14,517	21,743	-7,226	-33.2%	5.35	94.83%
	#52 - Valley West/Jordan Creek	6,980	13,383	24,713	51,350	-26,637	-51.9%	6.76	90.33%
	#60 - Ingersoll/University	15,125	37,424	59,429	127,921	-68,492	-53.5%	9.87	91.16%
	#72 - West Des Moines Loop	2,906	4,039	11,732	14,733	-3,001	-20.4%	3.49	81.82%
	#74 - NW Urbandale	195	781	835	2,513	-1,678	-66.8%	1.54	85.68%
	2. Shuttle	Link Shuttle	223	661	471	3,226	-2,755	-85.4%	0.73
Downtown Shuttle		4,730	16,117	19,392	63,286	-43,894	-69.4%	8.54	85.15%
3. Express	#92 - Hickman	334	2,880	1,103	9,781	-8,678	-88.7%	1.64	77.54%
	#93 - NW 86th	315	3,123	1,171	11,181	-10,010	-89.5%	1.85	84.81%
	#94 - Westtown	263	976	1,190	3,995	-2,805	-70.2%	4.31	78.09%
	#95 - Vista	122	920	583	3,675	-3,092	-84.1%	2.34	82.99%
	#96 - E.P. True	281	3,065	1,108	9,965	-8,857	-88.9%	2.46	77.92%
	#98 - Ankeny	936	6,512	2,891	23,591	-20,700	-87.7%	2.46	80.69%
	#99 - Altoona	381	1,398	1,237	5,028	-3,791	-75.4%	2.41	81.38%
4. Flex	#73 - Flex: Urbandale / Windsor Heights		66		640	-640	-100.0%		
5. On Call	#76 - Deer Ridge Shuttle		1		30	-30	-100.0%		
	Ankeny	98	112	379	393	-14	-3.6%	3.06	79.74%
	NW Johnston / Grimes		47		400	-400	-100.0%		
	Regional	12		31	67	-36	-53.7%	4.73	55.56%
Cab	Paratransit: Taxi	259	661	783	2,349	-1,566	-66.7%	4.14	
Paratransit	Paratransit: Bus/Van	3,973	9,027	13,892	34,007	-20,115	-59.1%	1.51	93.15%
RideShare	RideShare	6,624	20,617	25,201	72,702	-47,501	-65.3%	4.34	
<b>Total</b>		<b>160,588</b>	<b>422,248</b>	<b>617,025</b>	<b>1,704,977</b>	<b>-1,087,952</b>	<b>-63.8%</b>	<b>7.32</b>	<b>88.18%</b>

## DART Performance Report Metric Guide

Statistic	Definition	Data Source
<b>Ridership</b>	Total number of passenger trips across all DART service	Farebox, Paratransit Manifest, RideShare Manifest
<b>Preventable Accidents/100k Miles</b>	Total number of accidents deemed preventable per 100,000 miles of service across all DART service	TransitMaster Incident Reports, Route schedule, Paratransit Manifest, RideShare Manifest
<b>Non-Preventable Accidents/100k Miles</b>	Total number of accidents deemed non-preventable per 100,000 miles of service across all DART service	TransitMaster Incident Reports, Route schedule, Paratransit Manifest, RideShare Manifest
<b>On-Time Performance</b>	The percentage of fixed route and paratransit trips performed on time. Fixed route trips performed within 5 minutes of schedule. Paratransit trips performed within 30 minutes.	TransitMaster AVL Stop Adherence, Paratransit Manifest
<b>Farebox Recovery Ratio</b>	Total incidents deemed accidents and non-preventable in TransitMaster incidents	GP Financials
<b>Passengers per Revenue Hour</b>	Total ridership divided by the total hours of service across all DART service	Farebox, Paratransit Manifest, RideShare Manifest, Route schedule
<b>Operating Cost per Revenue Hour</b>	Total operating costs divided by the total hours of service across all DART service	GP Financials, Farebox, Paratransit Manifest, RideShare Manifest, Route schedule
<b>Road Calls/100k Miles</b>	Total number of road calls for maintenance per 100,000 miles of service across all DART service	Trapeze EAM Asset Works, Route schedule, Paratransit Manifest, RideShare Manifest
<b>Complaints/100k Miles</b>	Total number of complaints per 100,000 miles of service across all DART service	Trapeze Customer Feedback, Route schedule, Paratransit Manifest, RideShare Manifest
<b>Operating Cost per Passenger</b>	Total operating costs divided by ridership	GP Financials, Farebox, Paratransit Manifest, RideShare Manifest



<b>10A:</b>	<b>Operations Team Report</b>
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**Staff Resources:** *Amanda Wanke, Chief Operations Officer and Deputy Chief Executive Officer*

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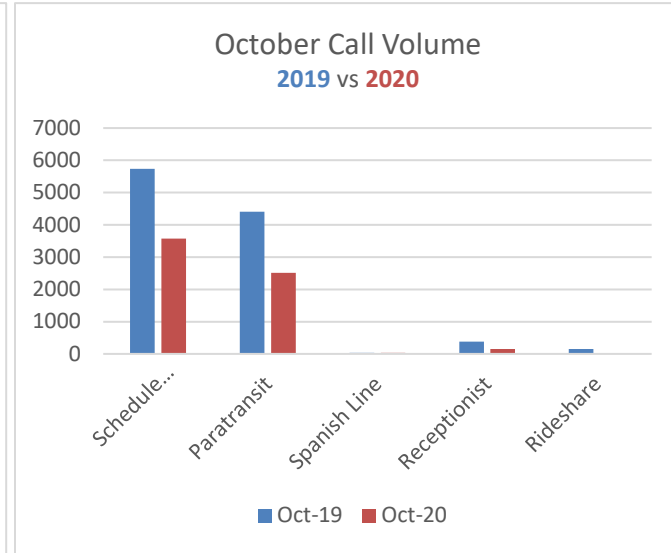
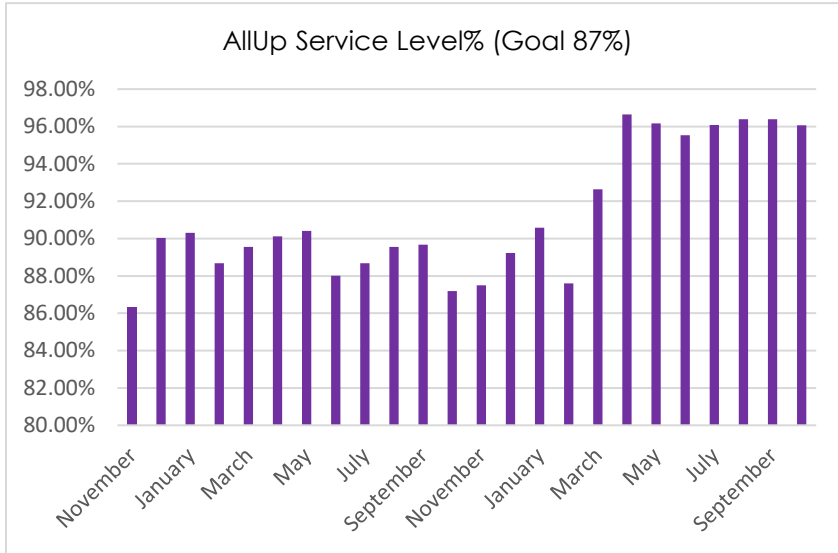
- **COVID Impacts to Paratransit Staffing:** Earlier this year, the Commission heard from staff regarding the decrease in paratransit ridership due to COVID-19. Given the expectation for a long-term recovery in ridership and the long-term costs of recruiting and training, staff implemented a plan to keep paratransit operators employed through a variety of tactics including unpaid leaves and other duties such as cleaning and sanitizing. Since that last update, paratransit ridership continues to slowly improve. Given this improvement along with potential new partnership opportunities that may quickly require operators, operator attrition, and the continued need for additional sanitizing and cleaning, staff are staying status quo with the plan to keep paratransit operators employed through the tactics of unpaid leaves and other duties such as cleaning and sanitizing.
- **Paratransit Deep Dive:** Staff are working with McCloud Transportation & Associates to finalize the recommendations of a Paratransit Comprehensive Analysis that aims to ensure DART's ADA complementary paratransit program and services are as efficient and effective and meet all federal requirements, and that the paratransit program as a whole is set to evolve further to meet future community needs. Recommendations are expected to be brought to the Commission in early 2021.
- **Operations Supervisor Initiative:** Finalizing coaching training initiative with HR and Training departments for December rollout. The two new hires have been received very well by peers and partners alike and have a strong grasp already of the job.
- **New Flyer Buses:** DART has five 40' New Flyer buses on order and have started their builds, buses beginning to arrive at DART at the end of December.
- **Electric Bus Update:** DART has now received all 7 electric buses. Staff are well underway training maintenance staff and operators, as well as area emergency responders, on all aspects of these new buses. The "make-ready" process of adding components such as the farebox, radio, etc. are also on track, and staff expect the first buses to be put into revenue service in the coming weeks.



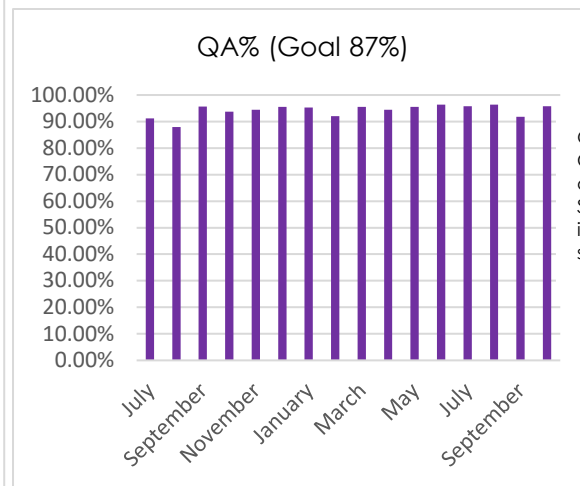
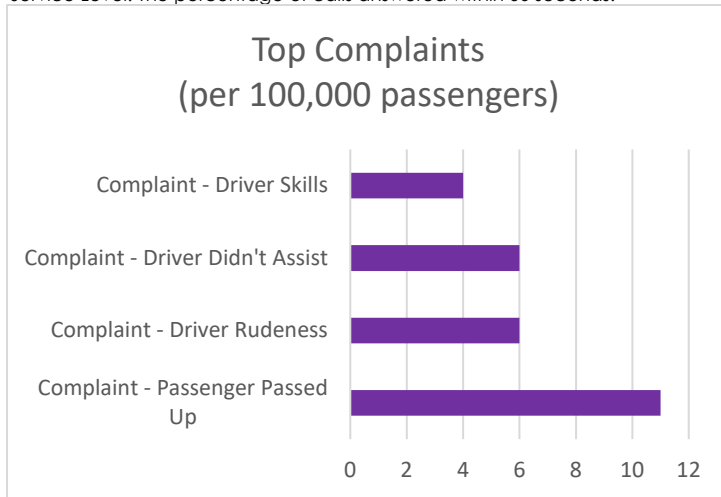
**MONTHLY REPORT**  
**10A: Operations**



**Customer Experience – Stephen Wright, Customer Experience Manager**



Service Level: The percentage of calls answered within 60 seconds.



Quality Assurance: Measures Customer Service representatives average scores for the month. Scoring includes accuracy of information and appropriate soft skills used with customers.



<b>10B: Planning Team Report</b>
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**Staff Resources:** *Luis Montoya, Chief Planning Officer*

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- **Service Planning:** A service change was implemented on November 15<sup>th</sup>, in which Route 17 was extended into Bondurant to serve the new Amazon warehouse. All DMPS services were running briefly in November, before the district decided to switch back to an all virtual model. We remain ready to provide school service as needed.
- **Transit Optimization Study:** Two pilot projects are planned to demonstrate the concepts in the TOS and learn about their opportunities and constraints. A pilot in Urbandale will replicate the Flex Connect model in which DART partners with Uber to transport customers to and from bus stops. A pilot in Ankeny will test microtransit, a door-to-door on-demand service operated by DART in a medium duty transit vehicle. DART staff are meeting with staff in the effected member communities and preparing customer and general public communications.
- **Strategic Planning:** The DART Leadership Team is overseeing the implementation of the FY 21 Business Plan. The focus is on continuing to respond to COVID-19 and the resultant ridership and financial impacts, while still making progress on priority projects and ensuring a high-functioning workforce. Additionally, the Planning team is looking further ahead to identify long-term needs and strategic initiatives to aid in capital and resource planning.



## MONTHLY REPORT



**10C: External Affairs Team**

**Staff Resources:** *Erin Hockman, Chief External Affairs Officer*

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**Marketing and Communications – Rick Pallister, Marketing and Communications Manager**

- **Electric bus promotion:** Electric buses will be in service in early December on Route 60. A virtual ribbon cutting event, combined with other virtual initiatives are tentatively planned for December 8. With the buses going into service, the electric bus advertising campaign will transition into a ridership campaign focused on increasing Route 60 ridership.
- **Reduced Fare Task Force:** Communication efforts have started to promote the pilot project for DART's reduced fare program. These changes will expand the pool of riders applicable to participate in the program. New promotions began in early December and will continue throughout the month and into 2021.
- **Transit Optimization Study Pilot:** Communications are starting to promote several virtual meetings for riders of Route 74 to learn more about the proposed pilot to replace the Fixed Route with a mobility-on-demand service, similar to Flex Connect. Staff will hear questions and gather feedback through Facebook Live, a Zoom meeting, online surveys and by calling or emailing Customer Service.
- **Awareness advertising campaign:** Work continues on a digital advertising campaign to drive awareness around the concept that transit is safe. The first phase will begin in late December or early January, aimed at current riders. The second phase of the campaign will focus on non-riders, with timing dependent upon the state of the pandemic in Spring 2021.
- **Holiday video projects:** DART created two videos to communicate holiday messages. First, a Thanksgiving video was crafted to share with staff, with clips shared externally on DART's social media channels ahead of the holiday. The second video is a holiday message that will be shared with stakeholders and riders in December. This video showcases several DART accomplishments throughout the past year.



**Marketing Analytics Report**

Metric	May 2020	June 2020	July 2020	August 2020	Sept 2020	Oct 2020	Oct 2019	Year Prior
MyDART App Accounts	21,148	21,419	21,868	22,630	22,743	23,097	17,791	23%
Website Unique Visitors	11,159	13,495	12,595	12,668	12,895	15,052	39,894	-193%
Facebook Likes	4,675	4,700	4,704	4,704	4,740	4,769	4,357	9%
Twitter Followers	2,356	2,348	2,358	2,376	2,387	2,398	2,268	5%
Instagram Followers	1,324	1,332	1,346	1,350	1,353	1,360	1,235	9%
LinkedIn Followers	441	455	475	483	501	508	329	36%
Email Subscribers	16,450	16,470	16,628	16,610	14,410	14,419	14,810	-3%
Trip Plans	12,353	15,223	14,359	16,048	19,109	18,915	42,821	-125%
Real-time Map	7,787	10,125	9,867	10,971	12,390	12,165	29,913	-143%
Next DART Bus	106,403	127,362	106,465	100,159	134,175	137,448	####	-88%
SMS Text Messaging		122,291	116,533	108,614	118,311	110,687	####	-52%
IVR Phone Calls	3,842	3,845	4,506	4,963	4,640	4,744	9,309	-98%

**MyDART App Report**

Metric	May 2020	June 2020	July 2020	Aug. 2020	Sept. 2020	Oct. 2020	TOTAL
Downloads	472	544	699	690	604	624	29,554
iOS	101	135	185	217	146	166	9,096
Android	371	409	514	473	458	458	20,423
Accounts Created	228	271	449	492	383	354	23,097
Orders Placed	0	85	1,865	1,881	2,066	2,267	90,786
Passes Purchased	0	149	2,555	2,516	2,778	3,223	134,431
Revenue	\$0	\$1,823	\$13,505	\$14,148	\$14,117	\$15,118	547,227

**DART in the NEWS**

**Top Stories**

[Bravo, partners use art to bring social issues out of the shadows](#)

[Transportation During Hybrid – Des Moines Public Schools](#)

[DART's electric bus unveiling touts environmental benefits of zero-emission buses](#)

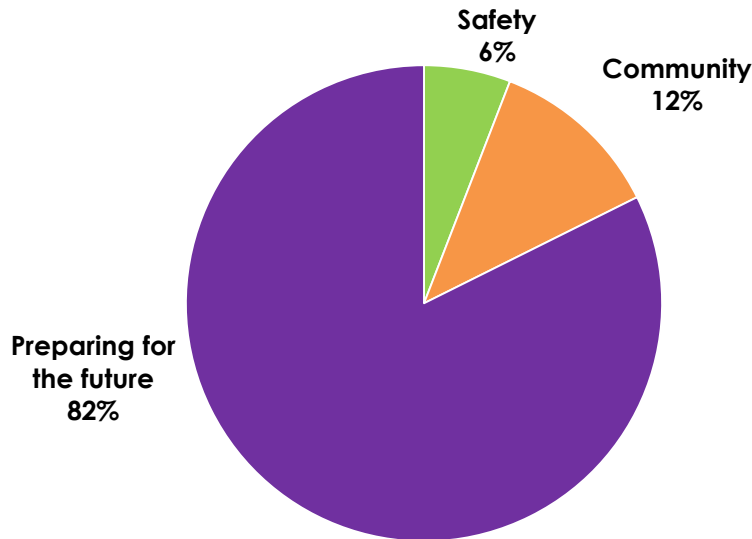
[Iowa's first electric buses are in Polk County. Here's what DART hopes to learn from them.](#)

**Total Reach**

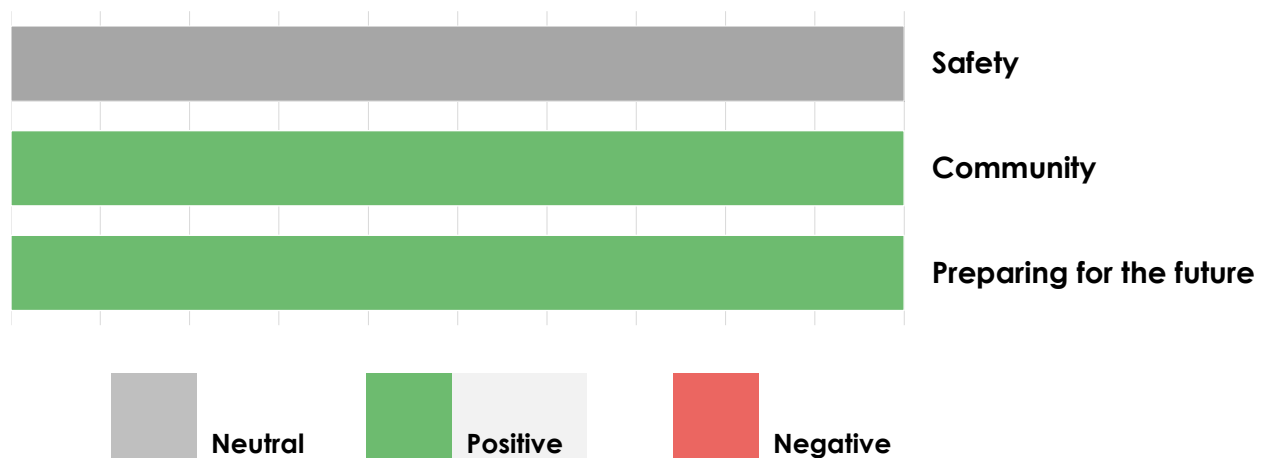
Online	19,627,313
Broadcast	1,508,939
<b>Total Reach</b>	<b>21,136,252</b>



DART News Coverage by Topic



DART News and Social Media Sentiment by Topic



**RideShare – Victoria Lundgren, RideShare Supervisor**

- **New vanpool partnerships:** Contracts are pending for new vanpool partnership with employers in Ankeny and Chariton, with a partnership proposal requested from an employer in Indianola.
- **New systems RFI:** DART is seeking to identify and recommend a system to more efficiently manage RideShare customer and fleet maintenance information to create administrative and customer-facing efficiencies that will help position the program for future success. Responses were received from 10 firms and are currently under review by staff.
- **Fare structure review:** Staff have begun evaluating the current vanpooling fare structure to ensure it can effectively support the future needs of the program and remain attractive to prospective riders and partners to support post-pandemic recovery.



**Business & Community Partnerships – Matt Harris, Business & Community Partnerships Manager**

- **New Unlimited Access Partnership:** Newbury Living will become DART's latest Unlimited Access partner in January 2021 when residents of select properties will be offered free access to DART fixed route services through a new pilot program. The initial properties included in the pilot program include Plymouth Place, Elsie Mason Manor, Corinthian Gardens, Ligutti Tower and the forthcoming project, The James. With more than 50 apartment communities throughout Iowa, Newbury Living specializes in repositioning affordable housing communities.
- **Partner Retention:** To ensure retention of business partnerships throughout the pandemic and subsequent economic recovery, DART is focused on monitoring partner resiliency, fostering partner relationships, and promoting contract renewal. DART's Unlimited Access partnerships with Principal Financial Group and Grand View University were recently renewed, with a requested renewal pending for Ruan Transportation. Unlimited Access partnerships coming up for renewal through March 2021 include Wellmark Blue Cross Blue Shield, Davis Brown Law Firm and Drake University.
- **Art Shelters:** Art concepts are complete for DART's first 16 art shelters, including pilot projects along the 6<sup>th</sup> Avenue Corridor (12 shelters), Drake University (2 shelters) as well as the Roosevelt Cultural District (2 shelters), with installation of at least 9 of these shelters expected in 2021. A phase 2 art shelter plan will be submitted to Bravo Greater Des Moines by December 31, 2020 and is included in the December Commission packet for reference.
- **Reduced Fare Task Force:** Implementation planning is underway for a reduced fare pilot program that was approved by the DART Commission at their November 3 meeting. The proposed pilot program will run from January through June 2021 and allow individuals who are connected to food assistance programs and/or trying to better their economic circumstances through workforce assistance or job training to enroll in DART's half-fare program upon proof of third-party eligibility, which would enable access to day, week, month and mobile half fare passes.
- **Mobility Coordination Outreach:** DART monthly rider trainings have resumed in a virtual format. Participation in regular mobility stakeholder meetings is ongoing. Staff are responding to human service agencies and medical organizations who are looking to DART to help facilitate efficient transportation service in response to COVID-19.

FY2021 Mobility Coordination Training & Outreach Totals	July 2020	Aug 2020	Sept 2020	Oct 2020	FY2021 YTD
Education/Schools	-	-	22	-	22
General Public	-	-	-	-	-
Human Services	30	19	12	16	78
Re-Entry	31	16	10	13	70
Refugee	-	-	-	-	-
Senior	-	-	-	-	-
<b>Total Participants</b>	<b>61</b>	<b>35</b>	<b>44</b>	<b>29</b>	<b>170</b>
<b>Stakeholder Convenings</b>	<b>6</b>	<b>3</b>	<b>4</b>	<b>11</b>	<b>24</b>



## MONTHLY REPORT



**10D: Finance, IT & Procurement Team Report**

**Staff Resources:** *Kent Farver, Chief Financial Officer*

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### **Finance Department – Amber Dakan, Finance Manager**

- **FY2020 Audit** – Staff are in the final stages of completing the FY2020 Financial Audit which will be presented at the January commission meeting. Baker Tilly, our audit firm, is awaiting final guidance on CARES Act testing and reporting in order to complete which is anticipated to be available late November.
- **Budget Planning for FY2022** – Department budget meetings will be held the first week in December.
- **Chart of Accounts Project** – The Finance Team continues to work on revamping of the agency's chart of accounts in order to gain more flexibility of reporting as well as separating of federal and local funding.
- **Year End Reporting** – The Finance Team is preparing for year end payroll processing of W-2's and working with the updates made to 1099 filing requirements.

### **IT Department – Shane Galligan, IT Director**

- **OPS Sign-In Terminal Project:** DART staff has been working closely with Trapeze and the Operations team to deploy the Sign In Terminals for Operators. The project is now in the parallel testing phase as we had a successful launch of the software platforms into production on Sunday, 10/18/20.
- **FY20 PC Replacements and Monitor Updates:** Helpdesk personnel have continued to replace desktop and laptop computers throughout the organization to ensure that those devices that are out of warranty get replaced with newer hardware. In addition, we have replaced older monitors with monitors with built-in speakers, cameras, and microphones to support remote meetings for required users.
- **New Bus Rollout (Gillig and Proterra):** IT has worked with our 3<sup>rd</sup> party vendors and our internal maintenance department to upfit the new buses with all appropriate communication hardware. We continue to work with our vendors to ensure that all new buses are communicating as expected and are "road ready" as soon as possible.
- **Update from Skype for Business:** We have rolled out a number of different platforms to allow for more remote meetings for staff members in order to communicate internally and with external stakeholders. While we were able to support the temporary roll-out of some of these platforms, we have also been developing the formal process for transitioning from Skype for Business to Microsoft Teams to support a seamless transition of our phone, chat, and internal meeting platform.

**MONTHLY REPORT**  
**10D: Finance/IT/Procurement**



**Procurement Department – Mike Tiedens, Procurement Manager**

***Upcoming Projects and Procurements:***

- **Benefits Broker Services** – DART is soliciting responses from contractors to provide benefits services to DART staff. Services include but are not limited to, health insurance, prescriptions, dental, vision, life, disability, wellness program, analysis, reporting and consulting.
  - Request for Proposals to be published in December 2020
- **Bus Shelter Installation Services (Update)** – DART is soliciting responses from contractors to provide transit bus shelter installation services. Services include installation, repair, removal, and/or relocation of bus shelters. The contracted services will be on-call in nature.
  - Request for Proposals published in October 2020
    - Update – DART has only received 1 proposal in response to the RFP, so we will re-assess the RFP itself, the timing, and the efforts to attract more potential contractors; intend to re-solicit later in the winter when the market is stronger

***Contracts and Task Orders Approved Recently:***

- **SHPO/Section 106 Requirements Task Order (O&M Facility)** – DART has approved a task order with Substance Architecture through the existing contract to provide a sub-consultant to complete the FTA required SHPO and NHPA Section 106 documentation for the potential Operations and Maintenance Facility site. The task order was approved for the not-to-exceed amount of \$83,944.00.
- **Parts Washer Service** – DART solicited quotes for a vendor to supply service and components for the parts washers. Safety Kleen submitted the lowest responsive and responsible bid.
- **Boiler Preventative Maintenance Services** – DART is utilizing the State of Iowa's competitively awarded contract awarded to Tim Hildreth Company Inc. to provide preventative service on its boilers.

***Other Initiatives:***

- **Medicare qualified provider** – The DART Procurement team has been researching the requirements to become a qualified Medicare transportation provider. Legality, feasibility, efficiency, staff effort and a business case are all being assessed.
- **Vanpool System RFI** – DART is received ten (10) proposals submitted in response to its Request for Information on vanpool management applications or software systems which will enable the agency to perform various functions related to the RideShare vanpool program including, but not limited to, fleet management, rider management, invoicing, reporting, etc. The system shall maintain and document compliance with all applicable laws, rules, and regulations.

***Future Procurements:***

- Benefits Brokerage Services
- Light Duty/Medium Duty Buses
- Printing Services
- Vanpool Management System
- Flex Connect Zones
- E-Procurement System
- Financial Advisory Services
- Outdoor Signage Displays
- Marketing Support Services
- Mini Fleet Services





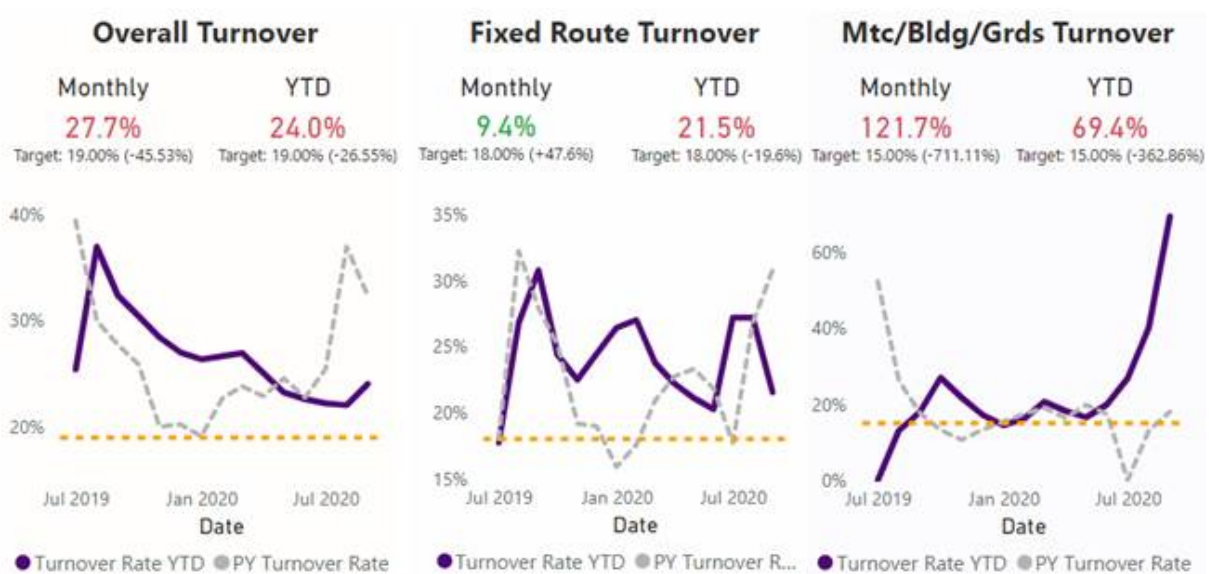
**10E: Human Resources, Training & Safety Team Report**

**Staff Resource:** *Erica Foreman, Chief Human Resources Officer*

**Human Resources – Danie Gohr, HR Manager /Erica Foreman, CHRO**

- **Compensation Study Update:** DART's compensation study is complete with a recommendation for salary structure and pay grades. Final approval with leadership team of the salary structure and compensation philosophy was completed. A communication and implementation strategy have been developed.
- **Launching Diversity, Equity and Inclusion Initiative:** Human Resources is helping to launch a DEI initiative. A DEI survey is being sent to all employees to gain feedback on how diversity, equity and inclusion is viewed at DART and what strategies we could implement to give focus.
- **United Way Campaign:** Our theme for 2020 is "Better Together". We have extended our campaign to cross over a three-week period so we could offer more ways to give. Our primary focus was on impacting Central lowans and our very own DART employees with their specific needs. Some of our events included a needs drive for our employees and it was a huge success. We also volunteered time to put together literacy kits and encouragement cards for kids in our community. We held a backpack drive to donate dollars towards food for kids in need. Pledges will be accepted through November 30, 2020.
- **Recruitment Update:** The HR team is currently recruiting and interviewing for 5 open positions in the areas of IT, Maintenance, and Customer Service.
- **COVID-19 Update:** We had an uptick in COVID cases since the end of October. This was predominately from a non-company gathering held by employees. We have tested all employees to help reduce exposure. Currently we have 62 positive cases with 635 negative cases.
- **Sign-In Terminal Testing:** Testing for this project was successfully completed. Throughout November they conducted parallel testing to work out kinks and ensure the program was effective.
- **Turnover and Vacancy Rate:** Turnover last year was 30.4% and this year is 24%. Of that percentage, 17% has been voluntary turnover. 5.7% has been involuntary turnover. Our goal this fiscal year was to have an overall turnover rate of 19%. As mentioned last month, we can take a dive into these numbers and suspect that some factors that have led to the decrease could include, overall market instability with COVID related layoffs encouraging people to stay, internal culture shifts in operations resulting in more coaching, re-training and flexibility to our operators, and internal shifts on the administrative teams resulting in a more flexible workplace for our team members. Vacancy has increased since this time last year. After this month, you are likely to see administrative and maintenance roles get closer to the targeted number of employees. We continue to halt the hiring of Operators as the need is not there. When we return to full service, we anticipate the need to increase as well. You can expect that both fixed route and paratransit will remain at similar vacancy rates until ridership improves. We are comfortable at this current vacancy rate given the climate we are in.

**MONTHLY REPORT**  
**10E: Human Resources and Safety**



**Training – Matt Johnson, Training Manager**

- November Service Change:** DART Training updated training materials for operators to reflect route changes as part of the November 15<sup>th</sup> service change. Training also produced a route video as a resource for the new Amazon extension route.

**Safety – Pat Daly, Safety Manager**

- DART Safety Plan:** Incorporated FTA draft review comments, recommendations, and observations and prepared final plan for Commission approval.
- Hiring for a replacement Safety & Training Specialist:** Interviewed four candidates for the position. We narrowed the pool to two finalists and conducted an additional interview. The leading candidate was offered the position and they accepted. They will start on November 30, 2020.



## MONTHLY REPORT



**10F: Chief Executive Officer**

**Staff Resource: Elizabeth Presutti, Chief Executive Officer**

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- **DART Executive Committee: DART Executive Committee:** The DART Executive Committee met on Friday, November 20, 2020. The discussion items presented during the meeting included:
  - DART Compensation Study
  - 2021 Legislative Priorities
  - Property Tax Formula Update
  - Operations and Maintenance Facility Update

The next DART Executive Committee meeting is scheduled for Friday, December 18, 2020.

- **Executive Series for Racial Equity** – During the month of November, myself and our Leadership team have been participating in a series of online executive sessions hosted collaboratively with The Business Record, Urban Dreams and Tero International. The ongoing pandemic, economic uncertainty and discourse around racial equity have created unprecedented changes and challenges which is causing many nationwide and in Iowa to explore new visions and appropriate guiding strategies for this mercurial business and civic landscape. These sessions have helped to provide relevant and interactive information and providing a haven for executives to create racial equity in their workspaces.



## RECEIVE AND FILE



### 11A: FY 21-23 Disadvantaged Business Enterprise Program & Goal

**Staff Resource:** *Kent Farver, Chief Financial Officer*

As a recipient of FTA funds, DART must comply with multiple Civil Rights Requirements, one of which is the US DOT's Disadvantaged Business Enterprise (DBE) regulations. The purpose of DART's DBE program is to ensure nondiscrimination in the award and administration of FTA assisted contracts.

The objectives of DART's DBE program include the following:

- Maximize participation opportunities
- Create a level playing field
- Ensure that only firms that fully meet eligibility standards are permitted to participate as DBEs
- Help remove barriers to the participation of DBEs in FTA assisted contracts

To be certified as a DBE, a firm must be a small business owned and controlled by socially and economically disadvantaged individuals. The firm must be for-profit and must be at least 51% owned (or 51% stock owned) by one or more individuals who are socially and economically disadvantaged. They must be managed and controlled daily by one or more individuals of the disadvantaged owners. Any individual who is not a member of a protected minority group may provide evidence showing social disadvantage to qualify. The Iowa DOT is the Unified Certification Program for the State of Iowa.

DART attempts to solicit firms listed in the DBE Directory that is published and updated by the Iowa DOT when procuring items. Other ways in which we attempt to interact with DBE firms is to list projects with competition restricted to DBEs, and outreach to DBE's through the DBE Forum hosted by the Iowa DOT.

DART has responsibility for monitoring and enforcement of DBE participation and is required to provide a monitoring and enforcement mechanism. DART also tracks actual payments to DBE firms for work committed and submits semiannual reports to FTA that identify their participation.

DART's DBE Program Policy can be found at <https://www.ridedart.com/business-center/dbe-program>.

DART must submit participation goals to FTA on a triennial basis. Our current goals are set for FY 2021 – FY 2023. In accordance with regulations of the U.S. Department of Transportation, 49 CFR, Part 26, our FY 2021-2023 goal is 3.3% for Disadvantaged Business Enterprise (DBE) participation on Federal Transit Administration (FTA) assisted contracts, purchases, and services.



## FUTURE DART COMMISSION ITEMS



### Future Agenda Items:

<b>January 5, 2021 – 12:00 P.M. (Annual Meeting)</b>	
<b>Action Items</b>	<b>Information Items</b>
<ul style="list-style-type: none"> <li>• Winter Service Change</li> <li>• Rideshare Van Donation</li> <li>• DART Property Tax Formula Initiative</li> <li>• Audited FY20 Financials</li> <li>• 30' Heavy Duty Bus Purchase Order</li> </ul>	<ul style="list-style-type: none"> <li>• Transit Optimization Study Update</li> <li>• FY2022 DART Budget Development Update</li> <li>• Operations and Maintenance Facility Update</li> <li>• Compensation Study</li> </ul>
<b>February 2, 2021 – 12:00 P.M.</b>	
<b>Action Items</b>	<b>Information Items</b>
<ul style="list-style-type: none"> <li>• FY 2022 Budget Public Hearing Date</li> <li>• Bus Shelter Purchase</li> </ul>	<ul style="list-style-type: none"> <li>• Transit Riders Advisory Committee Update</li> <li>• Transit Optimization Study Pilot Update</li> <li>• Marketing Update</li> <li>• RideShare Update</li> <li>• Quarterly Investment Report</li> <li>• Quarterly Financial Update</li> <li>• Quarterly Safety Report</li> </ul>
<b>March 2, 2020 – 12:00 P.M.</b>	
<b>Action Items</b>	<b>Information Items</b>
<ul style="list-style-type: none"> <li>• Van Donation Program Recipients</li> <li>• Benefits Broker Services Contract</li> <li>• MOD Contract Approvals</li> </ul>	<ul style="list-style-type: none"> <li>• Reduced Fare Pilot Update</li> </ul>

### Upcoming DART Meetings:

<b>MEETING</b>	<b>DATE</b>	<b>TIME</b>	<b>LOCATION</b>
<b>DART Executive Committee</b>	December 18, 2020	7:30 am	Zoom Meeting