

NOTICE OF MEETING

Twin Cities Area Transportation Authority
Board Meeting
Wednesday, March 24, 2021
12:00 PM

Pursuant to Public Act 228, Sec. 3a. (a), the Twin Cities Area Transportation Authority (TCATA) will hold the TCATA Board meeting by phone for our public conference on **Wednesday, March 24, 2021 at 12:00 p.m.**

The agenda, public notice and additional information can be found on the web at this address:
<https://www.mywaythere.org/tcatameetings.asp>

Rules regarding public participation are unchanged, and members of the public are invited to participate during the public comment period.

JOIN ZOOM MEETING:

<https://zoom.us/j/95107274440?pwd=eFpzU2xXVkhMR3o4NTNwWE9xV0dRQT09>

Meeting ID: 951 0727 4440

Passcode: 463782

Dial by your location:

- +1 929 205 6099 US (New York)
- +1 301 715 8592 US (Washington DC)
- +1 312 626 6799 US (Chicago)

Find your local number: <https://zoom.us/j/95107274440?pwd=eFpzU2xXVkhMR3o4NTNwWE9xV0dRQT09>

For those unable to participate remotely, you may submit a written comment to be read during the Public Comment period to Paul Gillespie by **Tuesday, March 23, 2021 by 3:00 pm**

If you have technical difficulties joining the meeting, contact 269-927-2268 and we will make every effort to assist you.

NOTICE OF MEETING

*All public meetings held by TCATA are required to be accessible to persons with disabilities under Title II of the Americans with Disabilities Act (ADA). Accommodations are available upon request to persons with disabilities who require alternately formatted materials or auxiliary aids to ensure effective communication and access to public meetings or programs. For questions about accessibility or to request accommodations, please contact **Paul Gillespie** at 269-927-2268 or pgillespie@tcatabus.org. Providing at least 7 days advance notice will help to ensure availability.*

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Twin Cities Area Transportation Authority
(269) 927-2268 • Fax (269) 927-2310

275 East Wall Street, P.O. Box 837, Benton Harbor, MI 49023

MEMORANDUM

TO: TCATA Board Members

FROM: Paul Gillespie, Executive Director 

DATE: March 19, 2021

RE: TCATA Monthly Board Meeting

There is a TCATA board meeting scheduled for **Wednesday March 24, 2021 at 12:00 p.m.**

The monthly board meeting will be held **ON A ZOOM VIDEO CONFERENCE.**

Please find enclosed a **MEETING NOTICE** with additional information on how to connect to the video conference.

If any changes should occur, you will be notified by telephone on Tuesday March 23, 2021 or as soon as possible.

If there are any questions and/or instructions regarding this matter, please contact me at 269-927-2268.



Twin Cities Area Transportation Authority
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275 East Wall Street, P.O. Box 837, Benton Harbor, MI 49023

AGENDA

ROLL CALL – 03/24/21

APPROVAL OF AGENDA

SECRETARY'S REPORT

- 2) General Information – 03/24/21
- 3) Minutes – 11/25/20 & 12/23/20 & 2/24/21

CHAIRMAN'S REPORT

- 1) General Information – 03/24/21

DIRECTOR'S REPORT

- 1) Operation Summary,
Ridership & Farebox – 02/21
- 2) Driver of the Month – 02/21
- 3) General Information – 03/24/21
- 4) Approval of Directors Report – 03/24/21

ACCOUNTANT'S REPORT

- 1) Unpaid Bills Detail – 02/21
- 2) Check Detail – 02/21
- 3) Purchases by Vendor Detail – 02/21
- 4) Petty Cash – 02/21
- 5) Wire Transfer– 02/21
- 6) Trial Balance, Profit loss, Profit and
Loss Budget vs. Actual
& Balance Sheet – 02/21
- 7) Approval of Accountant Report – 03/24/21
- 8) Audit Report

OLD BUSINESS

- 1) TCATA Uniforms/Picnic

NEW BUSINESS

- 1) Drug & Alcohol Testing Policy
- 2) ADA Paratransit Plan
- 3) Agency Safety Plan
- 4) Vehicle Maintenance Plan
- 5) TCATA Procurement Guidelines

- 6) Schedule Special Meeting

PUBLIC COMMENTS

**TWIN CITIES AREA TRANSPORTATION AUTHORITY
REGULARLY SCHEDULED
BOARD MEETING
HELD February 24, 2021**

Board Members Present: Ms. Apollonia Williams, Treasurer
Mr. Jerry Edwards, Trustee
Ms. Lisa Varrie, Secretary

Board Members Absent: Mr. James Childs, Chairperson
Ms. Dorthoy Parker, Trustee

Staff Present: Mr. Paul Gillespie, Executive Director
Mr. TJ Taylor, Assistant Director
Ms. Chalexis Tyson-Bradley, Finance Director
Ms. Desha King, Grant/Procurement Manager

Staff Absent:

Public: Patricia Crayton
Eric Lester
Anthony Andrews

The board meeting was called to order by Mr. Edwards.

Agenda: A motion was requested by Ms. Varrie to approve the agenda of 2/24/21 as presented, supported by Ms. Williams. **MOTION CARRIED**

Secretary's Report: **General Information – NONE**

Minutes – A motion was requested by Ms. Varrie for the minutes of 11/25/20 & 12/23/20 to be tabled for review, supported by Ms. Williams. **MOTION CARRIED**

Minutes – A motion was requested by Ms. Varrie to approve the minutes of 1/27/21 as presented, supported by Ms. Williams. **MOTION CARRIED**

Chairperson's Report: **General information – NONE**

Director's Report: **General information** – Mr. Gillespie presented his report for the month of January 2021.

Operation Summary, Ridership & Fare box – Mr. Gillespie informed the board that the total Demand Response riders for the month of January was 8,217 of these 751 were senior riders and 2,528 were disabled riders, and 211 children, 4,390 regular riders, and Line Haul had 2,991 riders.

1,408.20 gallons of gasoline covering 8,124 miles an average of 5.8 miles per gallon. LP gas we used 6,825.90 gallons covering 31,534 miles an average of 4.6 miles per gallon. Total vehicle hours were 3,198 with an average of 2.6 passengers per vehicle hour.

Mr. Gillespie informed the board that the Ridership Comparison for FY2020 Year to Date was 58,694 passengers on the Demand Response and 23,735 passengers on the Fixed Route. FY2021 Year to Date was 34,189 passengers on the Demand Response and 13,451 passengers on the Fixed Route.

Driver of the month – Marvin Haywood with 726 passengers for the month of January 2021.

A motion was requested by Ms. Varrie to approve the Director’s Report as presented for the month of January 2021, supported by Ms. Williams.

MOTION CARRIED

Accountant’s Report:

Check Details, Purchases by Vendor Detail & Unpaid Bills – A motion was requested by Ms. Varrie to approve the check detail in the amount of \$80,445.51 for the month of January 2021, supported by Ms. Williams. **MOTION CARRIED**

A motion was requested by Ms. Varrie to approve the Purchases by Vendor in the amount of \$111,124.36 for the month of January 2021, supported by Ms. Williams. **MOTION CARRIED**

A motion was requested by Ms. Varrie to approve the Unpaid Bills Detail in the amount of \$21,038.02 for the month of January 2021, supported by Ms. Williams. **MOTION CARRIED**

Bank Card Activity, Wire Transfers, & Petty Cash – was reviewed 1/21

Trial Balance, Balance Sheet & Profit & Loss- Ms. Tyson-Bradley stated that TCATA’s net income/(loss) as of January 2021, was \$98,071.87.

A motion was requested by Ms. Varrie to approve the Profit & Loss Report for the month of January 2021, supported by Ms. Williams.

MOTION CARRIED

Old Business:

An employee asked a question about a grievance that was filed.

New Business:

Comments and ideas were made about a TCATA Picnic and Uniforms for employees. Topic will be discussed again at the next meeting.

Public Comments:

NONE

There being no further discussions, the board meeting was adjourned by Mr. Edwards.

Secretary

Date

dk

7,070,865

OPERATION SUMMARY

PASSENGERS TO DATE

19,367,839

FEB 2021

MILES TO DATE

	Date	Regular	Senior	Disable	Child	SR. Dis	Total	LINE		VEHICLE DATA			VEHICLE DATA LP			VEH.		PASS/
								HAUL	FUEL	MILES	MILES /GAL.	FUEL	MILES	M/GAL	HOURS	VEH.HR.		
MON	1	233	46	124	13	11	427	167	97.6	583	6.0	312.2	1334	4.3	159	2.7		
TUE	2	241	39	122	16	11	429	181	83.7	445	5.3	217.2	1514	7.0	149	2.9		
WED	3	277	61	120	15	20	493	214	91.5	551	6.0	282.1	1307	4.6	157	3.1		
THUR	4	280	52	113	6	9	460	149	60.9	497	8.2	225.1	1531	6.8	163	2.8		
FRI	5	234	36	73	6	9	358	112	90.4	443	4.9	285.4	1263	4.4	145	2.5		
SAT	6	134	20	67	12	11	244	91	91.7	496	5.4	73.2	447	6.1	71	3.4		
SUN																		
TOTAL		1399	254	619	68	71	2411	914	515.8	3015	5.8	1395.2	7396	5.3	844	2.9		
MON	8	201	39	141	13	12	406	151	99.6	575	5.8	282.1	1250	4.4	140	2.9		
TUE	9	218	28	115	8	14	383	125	93	801	8.6	158.4	1097	6.9	144	2.7		
WED	10	232	40	128	10	11	421	159	90.7	561	6.2	273.2	1348	4.9	145	2.9		
THUR	11	225	41	149	6	15	436	155	95.2	622	6.5	234.8	1270	5.4	145	3.0		
FRI	12	214	38	134	8	9	403	139	90.8	606	6.7	273.9	1361	5.0	157	2.6		
SAT	13	115	29	63	13	3	223	87	44.3	308	7.0	112.8	643	5.7	66	3.4		
SUN																		
TOTAL		1205	215	730	58	64	2272	816	513.6	3473	6.8	1335.2	6969	5.2	797	2.9		
MON	15	187	15	101	10	21	334	109	135.2	571	4.2	333.7	1225	3.7	161	2.1		
TUE	16	35	4	17	0	4	60	0	0	0	#DIV/0!	0.0	0	#DIV/0!	0	#DIV/0!		
WED	17	243	23	135	10	18	429	130	109.8	654	6.0	344.6	1422	4.1	165	2.6		
THUR	18	230	40	164	7	19	460	173	93.7	589	6.3	286.0	1364	4.8	145	3.2		
FRI	19	225	27	129	12	15	408	144	88.9	457	5.1	234.8	1395	5.9	154	2.6		
SAT	20	110	13	53	3	17	196	75	60	383	6.4	69.0	475	6.9	60	3.3		
SUN																		
TOTAL		1030	122	599	42	94	1867	631	487.6	2654	5.4	1268.1	5881	4.6	685	2.8		
MON	22	215	21	151	6	21	414	138	116.3	707	6.1	276.1	1259	4.6	154	2.7		
TUE	23	199	34	117	18	18	386	137	53.5	348	6.5	298.1	1652	5.5	148	2.6		
WED	24	245	27	115	8	18	413	144	97.6	429	4.4	365.4	1589	4.3	157	2.6		
THUR	25	239	42	138	6	16	441	176	56.9	517	9.1	308.9	1487	4.8	154	2.9		
FRI	26	242	23	106	6	10	387	137	56.5	346	6.1	313.5	1447	4.6	143	2.7		
SAT	27	146	23	82	10	13	244	105	43.8	279	6.4	122.7	681	5.6	68	3.6		
SUN																		
TOTAL		1256	170	709	54	96	2285	837	424.6	2626	6.2	1684.7	8115	4.8	824	2.8		
MON							0				#DIV/0!			#DIV/0!		#DIV/0!		
TUE							0				#DIV/0!			#DIV/0!		#DIV/0!		
WED							0				#DIV/0!			#DIV/0!		#DIV/0!		
THUR							0				#DIV/0!			#DIV/0!		#DIV/0!		
FRI							0				#DIV/0!			#DIV/0!		#DIV/0!		
SAT							0				#DIV/0!			#DIV/0!		#DIV/0!		
SUN																		
TOTAL		0	0	0	0	0	0	0	0.0	0	#DIV/0!	0	0	#DIV/0!	0	#DIV/0!		
MONTH TOTAL		4890	761	2657	222	325	8855	3198	1941.6	11768	6.1	5683.2	28361	5.0	3150	2.8		

weekday

378

Fiscal Year 2020

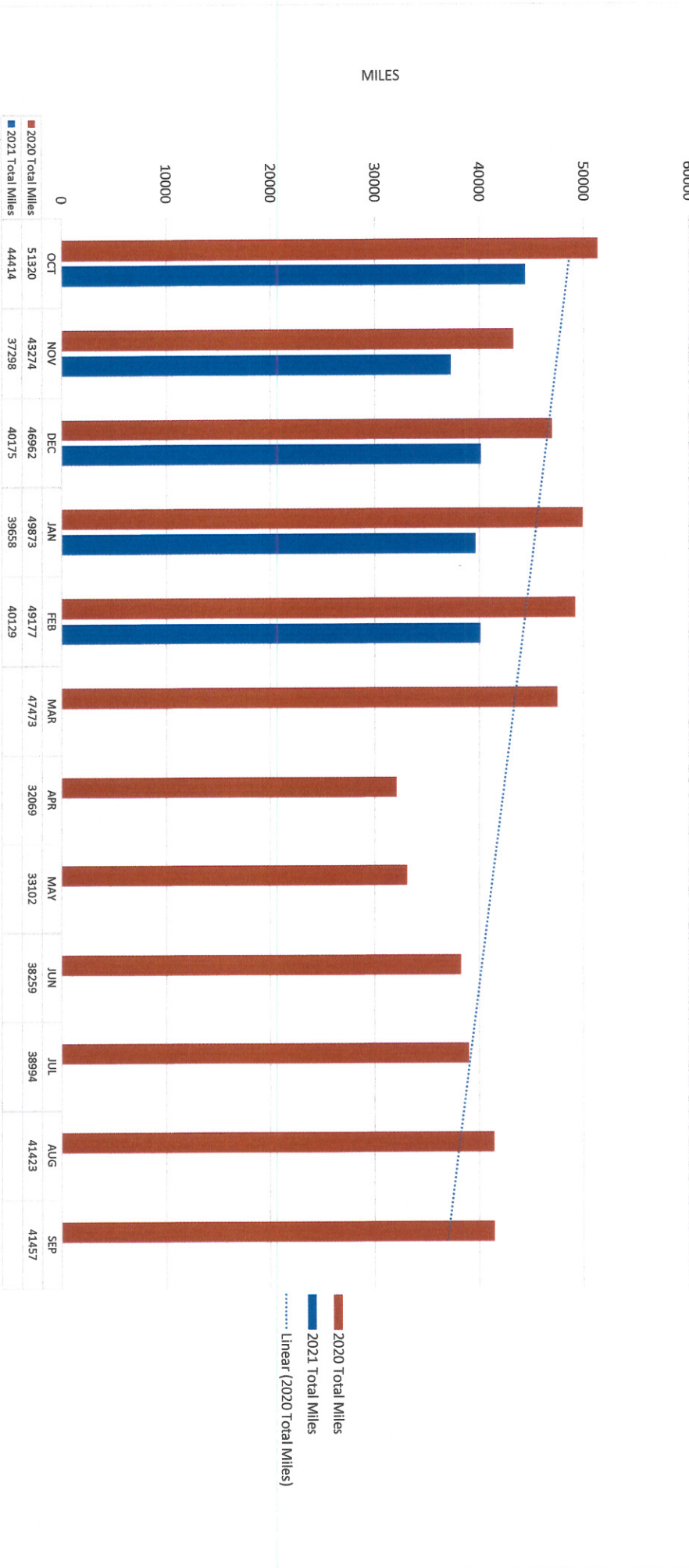
Date	Regular	Senior	Disable	Child	Sr. Dis	Total	HAUL	FUEL	MILES	/GAL.	Fuel	Miles	M/Gal	HOURS	VEH.HR.
10/19	8329	1714	4919	339	502	15803	5189	2788.1	16381	5.9	8125.6	34939	4.30	4333	3.6
11/19	8394	1085	3479	328	476	13762	7556	2264.5	13335	5.9	7339.3	29939	4.10	3802	3.6
12/19	6033	1541	4759	369	445	13147	4840	2073.1	12131	5.9	7915.2	34831	4.4	3986	3.3
01/20	10374	1016	3684	486	422	15982	6150	2726.8	14555	5.3	8253.73	35318	4.30	4301	3.7
02/20	7532	1409	4194	391	404	13930	4290	2280.6	13811	6.1	7714.8	35366	4.60	4224	3.3
Total	40662	6765	21035	1913	2249	72624	28025	12133.1	70213	5.8	39348.63	170393	4.33	20646	3.52

Ridership Comparison

Fiscal Year 2021

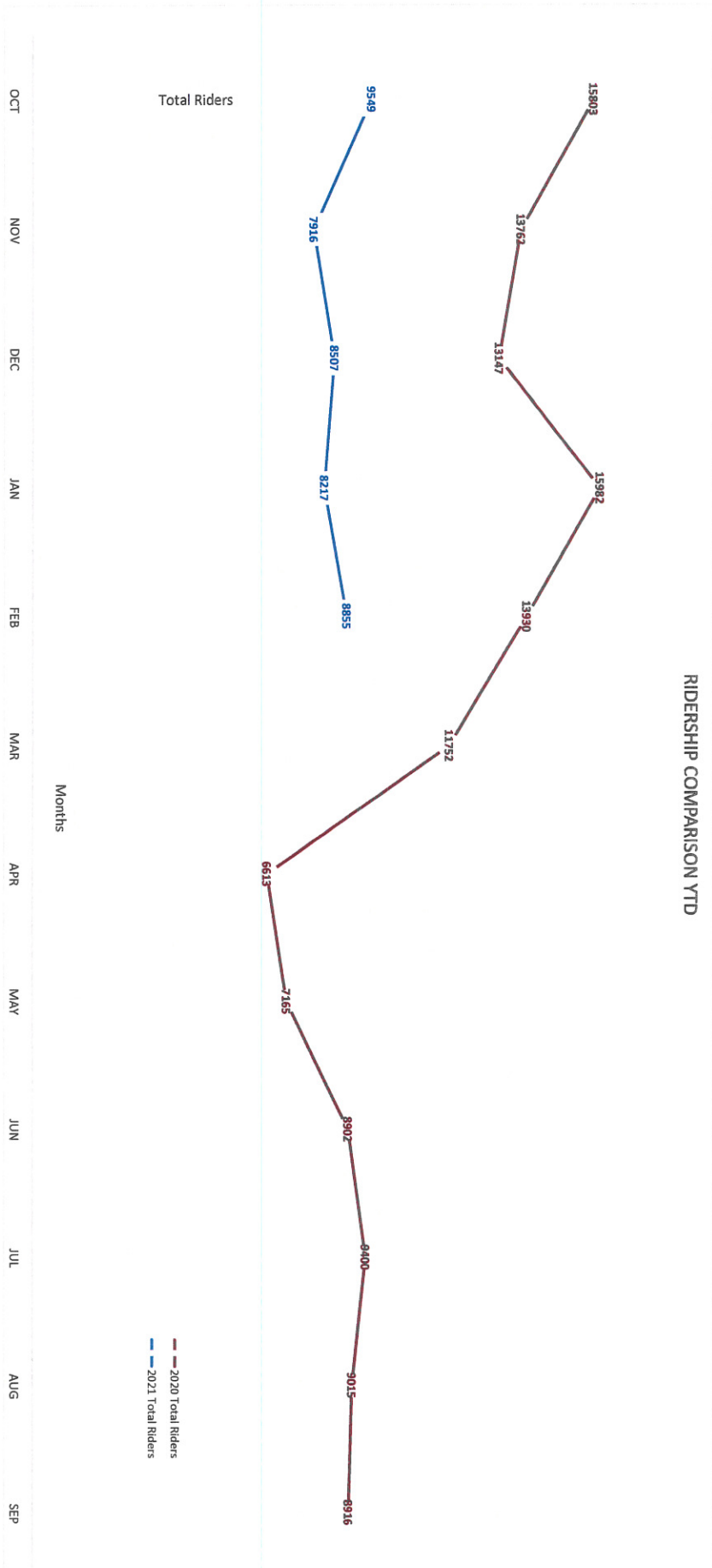
Date	Regular	Senior	Disable	Child	Sr. Dis	Total	HAUL	FUEL	MILES	/GAL.	Fuel	Miles	M/Gal	HOURS	VEH.HR.
10/20	4703	994	3181	275	396	9549	3942	1185.1	8622	7.3	6772	35792	5.3	3581	2.7
11/20	4189	826	2348	219	334	7916	3125	869.1	5701	6.6	6157	31597	5.1	3212	2.5
12/20	4438	983	2514	276	296	8507	3393	1062.2	6345	6.0	6802.1	33830	5.0	3508	2.4
01/21	4390	751	2528	211	337	8217	2991	1408.2	8124	5.8	6825.9	31534	4.62	3198	2.6
02/21	4890	761	2657	222	325	8855	3198	1941.6	11768	6.1	5683.2	28361	4.99	3150	2.8
Total	22610	4315	13228	1203	1688	43044	16649	6466.2	40560	6.3	32240.2	161114	5.00	16649	2.59
Change	-18052	-2450	-7807	-710	-561	-29580	-11376	-5666.9	-29653	0.5	-7108.4	-9279	0.67	-3997	-0.93
% Change	55.6%	63.8%	62.9%	62.9%	75.1%	59.3%	59.4%	53.3%	57.8%	108.4%	81.9%	94.6%	115.4%	80.6%	73.5%

Total Miles YTD



■ 2020 Total Miles
■ 2021 Total Miles
..... Linear (2020 Total Miles)

RIDERSHIP COMPARISON YTD



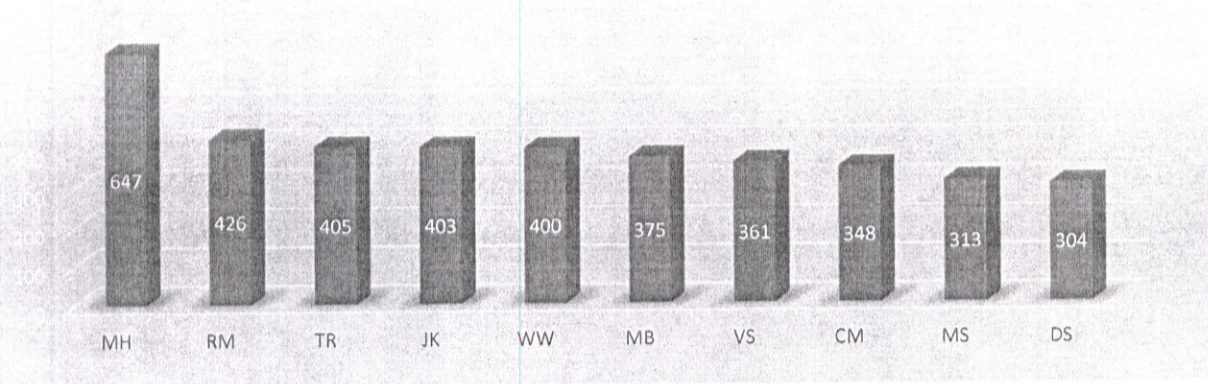
RIDERSHIP

	2020 FY Month Total	2020 FY Year to Date	2021 FY Month Total	2021 FY Year to Date	2021 FY Month Difference	YTD Difference	% Change
Oct	15,803	15,803	9,549	9,549	-6,254	-6,254	-39.57%
Nov	13,762	29,565	7,916	17,465	-5,846	-12,100	-40.93%
Dec	13,147	42,712	8,429	25,894	-4,718	-16,818	-39.38%
Jan	15,982	58,694	8,217	34,111	-7,765	-24,583	-41.88%
Feb	13,930	72,624	8,855	42,966	-5,075	-29,658	-40.84%
March							
April							
May							
June							
July							
Aug							
Sept							
TOTAL	72,624	72,624	42,966	42,966	-29,658	-29,658	-40.84%

FARES

	2020 FY	2020 FY	2021 FY	2021 FY	2021 FY	YTD	%
	Month	Year to	Month	Year to	Month	Difference	Change
	Total	Date	Total	Date	Difference	Difference	
Oct	\$ 26,140.87	\$ 26,140.87	\$ 15,734.72	\$ 15,734.72	\$ (10,406.15)	\$ (10,406.15)	-39.81%
Nov	\$ 17,371.76	\$ 43,512.63	\$ 12,913.28	\$ 28,648.00	\$ (4,458.48)	\$ (14,864.63)	-34.16%
Dec	\$ 23,215.30	\$ 66,727.93	\$ 11,487.23	\$ 40,135.23	\$ (11,728.07)	\$ (26,592.70)	-39.85%
Jan	\$ 18,757.33	\$ 85,485.26	\$ 10,711.29	\$ 50,846.52	\$ (8,046.04)	\$ (34,638.74)	-40.52%
Feb	\$ 19,521.10	\$ 105,006.36	\$ 13,894.34	\$ 64,740.86	\$ (5,626.76)	\$ (40,265.50)	-38.35%
March							
April							
May							
June							
July							
Aug							
Sept							
TOTAL	\$ 105,006.36	\$ 105,006.36	\$ 64,740.86	\$ 64,740.86	\$ (40,265.50)	\$ (40,265.50)	-38.35%

Driver of the Month FEBRUARY 2021



- | | |
|-----------------|--------|
| 1 M.Haywood | 647 MH |
| 2 R. Mckinney | 426 RM |
| 3 T. Rolfe | 405 TR |
| 4 J.King | 403 JK |
| 5 W. Wright | 400 WW |
| 6 M.Brown | 375 MB |
| 7 V.Smith | 361 VS |
| 8 C. Modelewski | 348 CM |
| 9 M. Simmons | 313 MS |
| 10 D.Sallie | 304 DS |

TOTAL 3982

Average passenger per month 398

	WEEKDAY	SATURDAY	TOTAL	LAST MONTH
BLUE	1374	220	1594	1520
BLUE JARC	616	70	686	709
RED JARC	701	68	769	740
YELLOW	91	0	91	104
TOTAL LINE HAULS	2782	358	3140	3073
LAST MONTH	2660	413	3073	
Difference	122	-55	67	

Check Detail

As of February 28, 2021

Date	Num	Name	Memo	Credit
10101 · TCF BANK				
02/02/2021	28914	Belle Tire	17259	2,846.82
02/02/2021	28915	Delta Dental	17248	1,788.51
02/02/2021	28916	Priority Health	17257	22,228.92
02/02/2021	28917	STAPLES	17261	172.00
02/02/2021	28918	WSJM Tower Operations	17238	561.64
02/04/2021	28919	Metro Business Interiors	17265	570.00
02/04/2021	28920	PARRETT BUSINESS	17260	35.45
02/09/2021	28921	IBID County Electric	111012	858.18
02/09/2021	28922	O'Reilly Auto Parts	17270	1,528.37
02/11/2021	28923	BILL PURVIS	17272	1,600.00
02/11/2021	28924	LE Barber	17273	21,497.50
02/15/2021	28925	Colonial Life & Accidental Ins. Co	JE 0210	177.12
02/15/2021	28926	MISDU	JE 0210	767.13
02/15/2021	28927	TRANSAMERICA	52411	729.44
02/15/2021	28928	UNION DUES	JE 0210	561.60
02/15/2021	28929	DONNEL KYLE	DK 021121	148.50
02/15/2021	28930	Kenneth Bragg	KB 021121	148.50
02/17/2021	28931	ADT	17264	66.15
02/17/2021	28932	Auto-Wares Group	17263	290.41
02/17/2021	28933	Car Brite Distributors	17266	269.55
02/17/2021	28934	CITY OF BH	17262	311.77
02/17/2021	28935	CLEMENT Communications Inc	17254	432.12
02/17/2021	28936	Gary Lutynski - Checkwriter	17243	599.00
02/17/2021	28937	Great Lakes Cleaning Systems	17255	7,868.30
02/17/2021	28938	Hanson Beverage Co.	17281	61.50
02/17/2021	28939	Indiana Michigan Power	17268	354.11
02/17/2021	28941	PETTY CASH	17283	206.68
02/23/2021	28942	AT&T	17288	357.50
02/23/2021	28944	Fence Masters	17258	259.00
02/23/2021	28945	Hanson Beverage Co.	17280	71.80
02/23/2021	28946	Jordan Automotive Group	17282	1,178.51
02/23/2021	28947	MICH GAS	17269	1,666.50
02/23/2021	28948	O'Reilly Auto Parts	17285	2,001.32
02/23/2021	28949	Orkin	17276	102.66
02/23/2021	28950	Pri Mar Petroleum	17287	334.90
02/23/2021	28951	TAYLOR RENTAL	512121	194.04
02/23/2021	28952	UniFirst Corp. 099	17277	421.32
02/25/2021	28953	Barbara Tsaturova	JE 021321	20.59
02/25/2021	28954	Colonial Life & Accidental Ins. Co	JE 021321	177.12
02/25/2021	28955	MISDU	JE 021321	767.13
02/25/2021	28956	TRANSAMERICA	JE 021321	729.44
Total 10101 · TCF BANK				74,961.10
TOTAL				74,961.10

Chairperson Approval _____

Date: _____

TWIN CITIES AREA TRANSPORTATION AUTHORITY
Purchases by Vendor Detail
February 2021

Memo	Amount
ADT	
503072 security	66.15
Total ADT	66.15
All Automotive	
503032 Maintenance Service	160.00
Total All Automotive	160.00
ALL CITIES OCCUPATIONAL	
503991	89.00
Total ALL CITIES OCCUPATIONAL	89.00
AT&T	
503031 Operation Service	357.50
Total AT&T	357.50
BEST WAY DISPOSAL	
503992 sanitation	162.00
Total BEST WAY DISPOSAL	162.00
BG of Michigan, Inc.	
504032 Maintenance Supplies	389.92
Total BG of Michigan, Inc.	389.92
BILL PURVIS	
Consulting Service 503993	1,600.00
Total BILL PURVIS	1,600.00
BROWNS LOCKSMITH	
503032 Maintenance Service	95.00
Total BROWNS LOCKSMITH	95.00
CITY OF BH	
17289	249.94
Total CITY OF BH	249.94
CITY PLUMBING	
503032 Maintenance Service	132.00
Total CITY PLUMBING	132.00
ComCast	
505053 administration telephone	86.54
505051 operations telephone	202.06
503033 Administration Service	97.75
Total ComCast	386.35
Cummins	
503032 Maintenance Service	1,002.48
Total Cummins	1,002.48
Delta Dental	
10403 prepaid health	1,788.51
Total Delta Dental	1,788.51
Hanson Beverage Co.	
512123 rental administration	76.95
Total Hanson Beverage Co.	76.95

TWIN CITIES AREA TRANSPORTATION AUTHORITY
Purchases by Vendor Detail
February 2021

Memo	Amount
HERALD PALLADIUM	
509013 - dues & subscriptions	435.98
Total HERALD PALLADIUM	435.98
Indiana Electronics & Communications	
503072 security	17,490.00
Total Indiana Electronics & Communications	17,490.00
Indiana Michigan Power	
505023 - Electric - Administration	178.15
505022 Electric - Maintenance	1,150.96
505021 Electric - Operation	41.09
Total Indiana Michigan Power	1,370.20
KOTZ SANGSTER WYSOCKI P.C.	
503033 Administration Service	2,687.50
Total KOTZ SANGSTER WYSOCKI P.C.	2,687.50
MICH GAS	
505033 gas administration	526.71
505032 gas maintenance	3,403.40
505031 gas operations	121.56
Total MICH GAS	4,051.67
Mich. Municipal League Work. Comp	
10402 prepaid workmans comp	5,941.00
Total Mich. Municipal League Work. Comp	5,941.00
Mich. Transit Pool - Liability Trust Fund	
10401 prepaid vehicle insurance	16,959.00
Total Mich. Transit Pool - Liability Trust Fund	16,959.00
Mike & Son, L.L.C.	
504032 Maintenance Supplies	300.00
Total Mike & Son, L.L.C.	300.00
O'Reilly Auto Parts	
504032 Maintenance Supplies	2,001.32
Total O'Reilly Auto Parts	2,001.32
Orkin	
503032 Maintenance Service	102.66
Total Orkin	102.66
PARRETT BUSINESS	
503052 Contract maintenance for maintenance	49.46
Total PARRETT BUSINESS	49.46
Petro Tank & Line Testing LLC	
503032 Maintenance Service	1,612.45
Total Petro Tank & Line Testing LLC	1,612.45
PETTY CASH	
504032 Maintenance Supplies	40.00
504033 Administration Supplies	60.00
504033 Administration Supplies	43.68
504033 Administration Supplies	3.00
504033 Administration Supplies	60.00
Total PETTY CASH	206.68

TWIN CITIES AREA TRANSPORTATION AUTHORITY
Purchases by Vendor Detail
February 2021

Memo	Amount
Pri Mar Petroleum	
504032 Maintenance Supplies	334.90
504032 Maintenance Supplies	334.90
Total Pri Mar Petroleum	669.80
Priority Health	
10403 prepaid health	24,604.46
Total Priority Health	24,604.46
Standard Insurance Company	
10403 prepaid health	1,174.19
Total Standard Insurance Company	1,174.19
TAYLOR RENTAL	
512122 maintenance rental	658.56
Total TAYLOR RENTAL	658.56
TCA-SynerTech, LLC	
503033 Administration Service	1,112.41
Total TCA-SynerTech, LLC	1,112.41
THAYER	
504032 Maintenance Supplies	636.45
504032 Maintenance Supplies	930.24
Total THAYER	1,566.69
VSP INSURANCE CO.	
10403 prepaid health	437.03
Total VSP INSURANCE CO.	437.03
WSJM Tower Operations	
512121 operations rental	561.64
Total WSJM Tower Operations	561.64
TOTAL	90,548.50

TWIN CITIES AREA TRANSPORTATION AUTHORITY
Unpaid Bills Detail
As of February 28, 2021

Type	Date	Num	Due Date	Aging	Open Balance
All Automotive Bill	02/28/2021	17308	02/28/2021		160.00
Total All Automotive					160.00
Auto-Wares Group Bill Pmt -Check	12/22/2020	28839			-0.09
Bill	11/25/2020	17181	12/25/2020	65	0.09
Total Auto-Wares Group					0.00
Hanson Beverage Co. Bill	02/28/2021	17304	02/28/2021		76.95
Total Hanson Beverage Co.					76.95
HERALD PALLADIUM Bill	02/28/2021	17303	02/28/2021		435.98
Total HERALD PALLADIUM					435.98
Indiana Michigan Power Bill	02/28/2021	17296	02/28/2021		1,370.20
Total Indiana Michigan Power					1,370.20
MICH GAS Bill	10/27/2020	17110	11/12/2020	108	646.10
Total MICH GAS					646.10
THAYER Bill	09/09/2020	17057	09/09/2020	172	0.50
Bill	10/30/2020	17119	11/07/2020	113	8.00
Total THAYER					8.50
TOTAL					2,697.73



Twin Cities Area Transportation Authority
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275 East Wall Street, P.O. Box 837, Benton Harbor, MI 49023

TCF BANK DEBIT CARD ACTIVITY

02/01 to 02/28/21

VENDORS

MEIJER

AMAZON

USPS

UPS STORE

LOWE'S

FAMILY FARM & HOME

RING CENTRAL

TRUE VALUE

Debit Card Amounts

\$	37.70
\$	555.09
\$	11.00
\$	3.71
\$	1,199.04
\$	109.99
\$	794.25
\$	40.26

TOTAL DEBIT CARD ACTIVITIES

\$ 2,751.04

February 2021 Debit Card Purchases

TJ'S CARD

Total: \$

DESHA'S CARD

Total: \$2,751.04

Meijer	\$37.70	Hand Soap, Spray, Tissue boxes
Amazon	\$15.96	Phone Cords
	\$308.67	Ink for Printers
	\$230.46	Ink for Printers, File Folders
USPS	\$11.00	Board Packets
UPS Store	\$3.71	Laminate Paper
Lowes	\$251.39	Window Squeegee, Glass cleaner, Ant Killer, Extension pole, mop bucket, tool set
	\$97.97	Saw Blade, screws, driver bit, socket adapter, Plywood Sheathing, Ant Bait
	\$762.84	Gloves, Tarp, Utility Trailer
	\$47.66	Padlocks, tool set
	\$39.18	Wire Strippers, cutting pliers
Family Farm & Home	\$109.99	Ball Mount Hitch
Ring Central	\$794.25	Test run on the application for our meetings (FULL REFUND)
True Value	\$40.26	Snow Salt



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TCF AUTOMATIC CLEARING HOUSE

DATE	FUEL	PRICE PER/GL	TOTAL AMOUNT
2/1/2021	CRYSTAL FLASH PROPANE	1.659	\$ 1,564.81
2/5/2021	CRYSTAL FLASH PROPANE	1.62	\$ 995.55
2/8/2021	CRYSTAL FLASH PROPANE	1.609	\$ 1,611.96
2/11/2021	CRYSTAL FLASH PROPANE	1.619	\$ 1,150.29
2/16/2021	CRYSTAL FLASH PROPANE	1.609	\$ 1,354.53
2/19/2021	CRYSTAL FLASH PROPANE	1.689	\$ 1,010.31
2/22/2021	CRYSTAL FLASH PROPANE	1.689	\$ 1,205.29

Total

\$ 8,892.74



Twin Cities Area Transportation Authority
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275 East Wall Street, P.O. Box 837, Benton Harbor, MI 49023

PETTY CASH

Prepared by Chalexis Tyson-Bradley

DATE	DESCRIPTION OF ITEMS	Debit	Credit	Balance
				\$ 208.39
			\$ 206.68	\$ 415.07
2-Feb	Stamps	\$ 55.00		\$ 360.07
5-Feb	Chicken Coop	\$ 28.61		\$ 331.46
12-Feb	2 Keys	\$ 8.00		\$ 323.46
				\$ 323.46
				\$ 323.46
				\$ 323.46
				\$ 323.46
				\$ 323.46
	Gas			
	Farebox	\$ -		
	Ofc supplies	\$ -		
	Admin supplies	\$ 63.00		
	Maint supplies	\$ -		
	Admin Meeting	\$ 28.61		
	Total	\$ 91.61		

TWIN CITIES AREA TRANSPORTATION AUTHORITY

Trial Balance

As of February 28, 2021

Accrual Basis

	Feb 28, 21	
	Debit	Credit
Fifth Third Bank Checking Acct	0.00	
TCF Money Market Acct.#5	0.00	
10101 · TCF BANK	155,220.28	
10103 · OVER / SHORTAGE	0.00	
10105 · TCF BANK MONEY MARKET		180.00
10107 · FIFTH THIRD BANK-MONEY MARKET	0.00	
10109 · FIFTH THIRD BANK - Line of Cred	0.00	
1200 · ACCOUNTS RECEIVABLE	17,187.75	
10102 · PETTY CASH	230.00	
10201 · DUE FROM BH MILLAGE	17,219.51	
10202 · DUE FROM BH OPER.	0.00	
10204 · DUE FROM PAYROLL PROCESSOR	0.00	
10205 · DUE FROM FED - OPER	454,155.07	
10206 · Due From FED - CMAQ	0.00	
10211 · DUE FROM STATE - CAPITAL	170.00	
10212 · DUE FROM FED - CAPITAL	680.00	
10213 · Due from State - Capital Exp	0.00	
10214 · Due from Fed - Capital Exp	0.00	
10215 · Due from State JARC blue	122,160.00	
10216 · Due from State JARC Red	164,099.00	
10218 · Due from U of M (NSF) Grant		15,123.00
10219 · DUE FROM STATE NEW SERVICE	0.00	
10220 · DUE FROM ST. OPER	591.00	
10221 · New Freedom Receivable	0.00	
10222 · DUE FROM STATE MARKETING	0.00	
10223 · DUE FROM WORKMAN COMP	0.00	
10224 · DUE FROM BANK	0.00	
10225 · DUE FROM EMPLOYEE	0.00	
10226 · DUE FROM VENDOR	0.00	
10227 · ALLOWANCE FOR DOUBTFUL ACCOUNTS	0.00	
10302 · FUEL INVENTORY	11,611.34	
10303 · Inventory Tires	0.00	
10401 · PREPAID VEHICLE INS.	30,117.92	
10402 · PREPAID WORKER COMP	1,979.00	
10403 · PREPAID HEALTH INS.	24,958.13	
10404 · PREPAID SECURITY INS	0.00	
10405 · PREPAID BUILDING INSURANCE	2,698.19	
10409 · PREPAID EXPENSE-OTHER	0.00	
1120 · Inventory Asset	0.00	
111011 · LAND	80,715.20	
111012 · FACILITY	1,739,794.06	
111012 · FACILITY:Original Cost	0.00	
111012 · FACILITY:111031 · Depreciation		1,640,564.75
111012 · FACILITY:111045 · Depreciation -local share	0.00	
111013 · REVENUE VEHICLES	2,087,502.71	
111013 · REVENUE VEHICLES:Original Cost	0.00	
111013 · REVENUE VEHICLES:111032 · Depreciation revenue vehicles		1,240,034.13
111013 · REVENUE VEHICLES:111041 · LOCAL CONTRIBUTION	0.00	
111014 · WRECKER/ OTHER VEHICLES	388,292.42	
111014 · WRECKER/ OTHER VEHICLES:Original Cost	0.00	
111014 · WRECKER/ OTHER VEHICLES:111033 · Depreciation		143,607.21
111015 · EQUIPMENT	545,453.19	
111015 · EQUIPMENT:Original Cost	0.00	
111015 · EQUIPMENT:111034 · Depreciation		411,669.58
111016 · OFFICE EQUIPMENT	0.00	
111016 · OFFICE EQUIPMENT:Original Cost	0.00	
111016 · OFFICE EQUIPMENT:111035 · Depreciation	0.00	
111017 · RADIOS	0.00	
111017 · RADIOS:Original Cost	0.00	
111017 · RADIOS:111036 · Depreciation	0.00	
111020 · SUPERVISORS VEHICLE	0.00	
111020 · SUPERVISORS VEHICLE:Original Cost	0.00	
111020 · SUPERVISORS VEHICLE:111038 · Depreciation	0.00	
111020 · SUPERVISORS VEHICLE:111047 · Depreciation - local share	0.00	

TWIN CITIES AREA TRANSPORTATION AUTHORITY

Trial Balance

As of February 28, 2021

Accrual Basis

	Feb 28, 21	
	Debit	Credit
111021 · GARAGE FLOOR WASHER	0.00	
111021 · GARAGE FLOOR WASHER:Original Cost	0.00	
111021 · GARAGE FLOOR WASHER:111039 · Depreciation	0.00	
111022 · ADA EQUIPMENT	0.00	
111022 · ADA EQUIPMENT:Original Cost	0.00	
111022 · ADA EQUIPMENT:111040 · Depreciation	0.00	
111023 · VENDING MACHINES	0.00	
111023 · VENDING MACHINES:Original Cost	0.00	
111023 · VENDING MACHINES:111042 · Depreciation	0.00	
111024 · ASSOCIATED CAPITAL	0.00	
111024 · ASSOCIATED CAPITAL:Original Cost	0.00	
111024 · ASSOCIATED CAPITAL:111043 · Depreciation	0.00	
111025 · WRECKER REHAB:Original Cost	0.00	
111025 · WRECKER REHAB:111044 · Depreciation	0.00	
111026 · Automatic Vehicle Locator	0.00	
111026 · Automatic Vehicle Locator:111048 · Depreciation of AVL	0.00	
111027 · Bike Racks	0.00	
111027 · Bike Racks:111049 · Depreciation bike rack	0.00	
111028 · Mobile Surveillance Camera	0.00	
111028 · Mobile Surveillance Camera:111050 · Depreciation Mobile Surveillanc	0.00	
111029 · Bus Shelters	0.00	
111029 · Bus Shelters:111052 · Depreciation Bus Shelters	0.00	
111030 · Dispatch Computer System	0.00	
111030 · Dispatch Computer System:111053 · Depreciation Dispatch Comp Sys	0.00	
2000 · Accounts Payable		103,161.11
20201 · ACCRUED PAYROLL	0.00	
20206 · ACCRUED FRINGE PAYABLE	0.00	
20207 · Accrued Expenses	0.00	
20211 · PAYROLL WITHHOLDING		10,616.38
20215 · Employer taxes Payable		6,774.78
20218 · MISCELLANIOUS PAYABLE	40.00	
20506 · DUE TO FED	0.00	
20507 · DUE TO VENETIAN FESTIVAL -FARE	0.00	
20508 · DUE TO EMPLOYEE	0.00	
20509 · Due to State -overpaid operatin	0.00	
20510 · Due to Customer	0.00	
20511 · Due to SEP	0.00	
2100 · Payroll Liabilities	4,383.36	
21101 · ADVANCE LOCAL GOV	0.00	
21102 · ADVANCE LOCAL MILLAGE	936.48	
21104 · ADVANCES STATE GOVER.	0.00	
21106 · Accrued Sick Days		18,040.20
21108 · Accrued Vacation Pay		42,192.56
3000 · Opening Bal Equity	0.00	
30400 · Contributed Capital -	0.00	
30401 · Contributed Capital - Federal	0.00	
30402 · Contributed Capital State	0.00	
30404 · Contribute Capital Local	0.00	
30501 · Closing depr	0.00	
3900 · Retained Earnings		2,054,467.61
40101 · FAREBOX		51,553.18
40102 · Punch Cards White		810.00
40103 · Fare box coin over and short	31.82	
40104 · Punch Cards Blue		1,652.00
40199 · FARES-TOKENS		693.00
40760 · Gains on the Sale of Cap. Equip		8,600.00
40799 · Other Non Transit Revenue		2,251.20
40801 · LOCAL SUBSIDY - MILLAGE		50,000.00
409991 · Punch Card white - local match		1,035.00
409992 · Punch Card Blue - Local Match		2,107.50
409993 · Tokes - Local Match		7,954.00
41101 · STATE SUBSIDY - OPER		350,901.00
411012 · JARC Blue oper		80,338.00
411013 · JARC Red Operating		108,137.00

TWIN CITIES AREA TRANSPORTATION AUTHORITY

Trial Balance

As of February 28, 2021

Accrual Basis

	Feb 28, 21	
	Debit	Credit
41301 · FEDERAL SUBSIDY - OPER		540,391.00
41360 · Cares ACT Lost Revenue Recovery		54,445.07
41401 · INTEREST INCOME		9.75
440000 · Refunds		15,987.49
501011 · OPERATORS WAGES	291,942.35	
501021 · OTHER WAGES - OPER	27,340.00	
501022 · OTHER WAGES - MAINT	47,827.41	
501023 · OTHER WAGES - ADMIN	96,678.78	
501031 · DISPATCHERS WAGES	76,398.74	
502031 · HEALTH INS - OPER	77,453.55	
502032 · HEALTH INS - MAINT	7,515.70	
502033 · HEALTH INSURANCE ADMIN	27,134.40	
502041 · SS & MED OPER	32,347.75	
502042 · SS & MED MAINT	3,853.43	
502043 · SS & MED ADMIN	7,464.25	
502071 · UNEMPLOYMENT - OPER	4,756.97	
502072 · UNEMPLOYMENT - MAINT	592.59	
502073 · UNEMPLOYMENT - ADMIN	1,152.94	
502081 · WORKERS COMP OPER	8,700.40	
502082 · WORKERS COMP MAINT	820.25	
502083 · WORKERS COMP ADMIN	384.35	
502091 · SICK LEAVE -OPER	6,328.52	
502092 · SICK LEAVE -MAINT.	445.28	
502093 · SICK LEAVE -ADMIN	462.00	
502101 · HOLIDAY - OPER	10,011.84	
502102 · HOLIDAY - MAINT	445.28	
502103 · HOLIDAY - ADMIN	545.60	
502111 · VACATION -OPER	11,584.92	
502112 · VACATION - MAINT	1,547.84	
502113 · VACATION - ADMIN	242.00	
503023 · ADVERTISING FEES	432.12	
503031 · SERVICE OPER	8,031.50	
503032 · SERVICE MAINT	77,334.48	
503033 · SERVICE ADMIN	27,024.72	
503052 · CONTRACT MAINT	49.46	
503053 · CONTRACT MAINT ADMIN	158.27	
503054 · Audit Costs	18,138.00	
503072 · SECURITY SERVICE	24,923.75	
503991 · DRUG TESTING OPER	933.00	
503992 · OTHER SERVICE	688.00	
503993 · OTHER SERVICE ADMIN	23,540.00	
504011 · FUEL OPER	66,460.37	
504012 · FUEL MAINT	105.60	
504013 · FUEL ADMIN	479.05	
504021 · TIRES	8,011.34	
504031 · SUPPLIES OPER	2,029.48	
504032 · SUPPLIES MAINT	28,528.72	
504033 · SUPPLIES ADMIN	13,228.35	
505021 · ELECTRIC OPER	399.07	
505022 · ELECTRIC MAINT	4,955.60	
505023 · ELECTRIC ADMIN	544.87	
505031 · GAS SERVICE OPER	321.91	
505032 · GAS SERVICE MAINT	6,747.65	
505033 · GAS SERVICE ADMIN	1,690.37	
505041 · WATER OPER	86.94	
505042 · WATER MAINT	2,434.26	
505043 · WATER ADMIN	376.73	
505051 · TELEPHONE OPER	1,761.56	
505053 · TELEPHONE ADMIN	754.78	
506031 · BUS INSURANCE OPER	32,074.58	
506043 · BUILDING INS	4,267.45	
509013 · DUES	591.98	
509021 · TRAVEL OPER	6,155.00	
512121 · RENTAL OPER	2,759.12	

TWIN CITIES AREA TRANSPORTATION AUTHORITY

Trial Balance

As of February 28, 2021

Accrual Basis

	Feb 28, 21	
	Debit	Credit
512122 · RENTAL MAINT	2,495.75	
512123 · RENTAL ADMIN	579.10	
TOTAL	<u>6,963,296.50</u>	<u>6,963,296.50</u>

TWIN CITIES AREA TRANSPORTATION AUTHORITY

Profit & Loss

February 2021

	Feb 21
Ordinary Income/Expense	
Income	
40101 · FAREBOX	10,875.30
40102 · Punch Cards White	337.50
40103 · Fare box coin over and short	-2.46
40104 · Punch Cards Blue	148.50
40199 · FARES-TOKENS	170.50
40801 · LOCAL SUBSIDY - MILLAGE	10,000.00
409991 · Punch Card white - local match	225.00
409992 · Punch Card Blue - Local Match	810.00
409993 · Tokes - Local Match	1,330.00
41101 · STATE SUBSIDY - OPER	86,653.00
411012 · JARC Blue oper	17,045.00
411013 · JARC Red Operating	23,246.00
41301 · FEDERAL SUBSIDY - OPER	110,395.00
41401 · INTEREST INCOME	2.05
440000 · Refunds	129.43
Total Income	261,364.82
Gross Profit	261,364.82
Expense	
501011 · OPERATORS WAGES	53,144.01
501021 · OTHER WAGES - OPER	4,496.88
501022 · OTHER WAGES - MAINT	7,365.68
501023 · OTHER WAGES - ADMIN	18,190.67
501031 · DISPATCHERS WAGES	16,018.98
502031 · HEALTH INS - OPER	21,084.45
502032 · HEALTH INS - MAINT	1,459.62
502033 · HEALTH INSURANCE ADMIN	5,309.54
502041 · SS & MED OPER	5,909.48
502042 · SS & MED MAINT	590.24
502043 · SS & MED ADMIN	1,413.79
502071 · UNEMPLOYMENT - OPER	2,626.43
502072 · UNEMPLOYMENT - MAINT	262.33
502073 · UNEMPLOYMENT - ADMIN	565.33
502081 · WORKERS COMP OPER	1,740.08
502082 · WORKERS COMP MAINT	164.05
502083 · WORKERS COMP ADMIN	76.87
502091 · SICK LEAVE -OPER	1,727.16
502092 · SICK LEAVE -MAINT.	116.64
502093 · SICK LEAVE -ADMIN	48.40
502111 · VACATION -OPER	1,872.44
502112 · VACATION - MAINT	233.28
502113 · VACATION - ADMIN	242.00
503031 · SERVICE OPER	357.50
503032 · SERVICE MAINT	3,104.59
503033 · SERVICE ADMIN	4,437.21
503052 · CONTRACT MAINT	49.46
503053 · CONTRACT MAINT ADMIN	0.00
503072 · SECURITY SERVICE	17,556.15
503991 · DRUG TESTING OPER	89.00
503992 · OTHER SERVICE	162.00
503993 · OTHER SERVICE ADMIN	1,600.00
504011 · FUEL OPER	14,024.51
504013 · FUEL ADMIN	81.43
504032 · SUPPLIES MAINT	6,317.02
504033 · SUPPLIES ADMIN	1,568.43
505021 · ELECTRIC OPER	41.09
505022 · ELECTRIC MAINT	1,150.96
505023 · ELECTRIC ADMIN	178.15
505031 · GAS SERVICE OPER	121.56
505032 · GAS SERVICE MAINT	3,403.40
505033 · GAS SERVICE ADMIN	526.71

TWIN CITIES AREA TRANSPORTATION AUTHORITY

Profit & Loss

February 2021

	Feb 21
505051 · TELEPHONE OPER	202.06
505053 · TELEPHONE ADMIN	86.54
506031 · BUS INSURANCE OPER	6,571.59
506043 · BUILDING INS	853.49
509013 · DUES	435.98
512121 · RENTAL OPER	561.64
512122 · RENTAL MAINT	658.56
512123 · RENTAL ADMIN	76.95
Total Expense	<u>208,874.33</u>
Net Ordinary Income	<u>52,490.49</u>
Net Income	<u><u>52,490.49</u></u>

Total Eligible Expenses	\$919,369.07
State Reimbursement Rate for 2020	36.79%
State of Michigan Subsidy Based on Expenses	<u>\$338,235.88</u>
State Revenue Recorded(41101)	<u>\$350,901.00</u>
Over/Under payment	\$12,665.12
Net Income from Profit & Loss Statement	<u>\$163,763.30</u>
State Adjustment	\$12,665.12
Income from Capital	\$0.00
Add back Ineligible Depreciation	\$0.00
Total Reduction in Income	<u>\$12,665.12</u>
Net Income After Adjustments	<u><u>\$151,098.18</u></u>
Net Income After Adjustments	<u><u>\$151,098.18</u></u>

TWIN CITIES AREA TRANSPORTATION AUTHORITY

Balance Sheet

As of February 28, 2021

Accrual Basis

	Feb 28, 21
ASSETS	
Current Assets	
Checking/Savings	
10101 · TCF BANK	155,220.28
10105 · TCF BANK MONEY MARKET	-180.00
Total Checking/Savings	155,040.28
Accounts Receivable	
1200 · ACCOUNTS RECEIVABLE	17,187.75
Total Accounts Receivable	17,187.75
Other Current Assets	
10102 · PETTY CASH	230.00
10201 · DUE FROM BH MILLAGE	17,219.51
10205 · DUE FROM FED - OPER	454,155.07
10211 · DUE FROM STATE - CAPITAL	170.00
10212 · DUE FROM FED - CAPITAL	680.00
10215 · Due from State JARC blue	122,160.00
10216 · Due from State JARC Red	164,099.00
10218 · Due from U of M (NSF) Grant	-15,123.00
10220 · DUE FROM ST. OPER	591.00
10302 · FUEL INVENTORY	11,611.34
10401 · PREPAID VEHICLE INS.	30,117.92
10402 · PREPAID WORKER COMP	1,979.00
10403 · PREPAID HEALTH INS.	24,958.13
10405 · PREPAID BUILDING INSURANCE	2,698.19
Total Other Current Assets	815,546.16
Total Current Assets	987,774.19
Fixed Assets	
111011 · LAND	80,715.20
111012 · FACILITY	
111031 · Depreciation	-1,640,564.75
111012 · FACILITY - Other	1,739,794.06
Total 111012 · FACILITY	99,229.31
111013 · REVENUE VEHICLES	
111032 · Depreciation revenue vehicles	-1,240,034.13
111013 · REVENUE VEHICLES - Other	2,087,502.71
Total 111013 · REVENUE VEHICLES	847,468.58
111014 · WRECKER/ OTHER VEHICLES	
111033 · Depreciation	-143,607.21
111014 · WRECKER/ OTHER VEHICLES - Other	388,292.42
Total 111014 · WRECKER/ OTHER VEHICLES	244,685.21
111015 · EQUIPMENT	
111034 · Depreciation	-411,669.58
111015 · EQUIPMENT - Other	545,453.19
Total 111015 · EQUIPMENT	133,783.61
Total Fixed Assets	1,405,881.91
TOTAL ASSETS	2,393,656.10
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
2000 · Accounts Payable	103,161.11
Total Accounts Payable	103,161.11

TWIN CITIES AREA TRANSPORTATION AUTHORITY
Balance Sheet

Accrual Basis

As of February 28, 2021

	Feb 28, 21
Other Current Liabilities	
20211 · PAYROLL WITHHOLDING	10,616.38
20215 · Employer taxes Payable	6,774.78
20218 · MISCELLANIOUS PAYABLE	-40.00
2100 · Payroll Liabilities	-4,383.36
21102 · ADVANCE LOCAL MILLAGE	-936.48
Total Other Current Liabilities	12,031.32
Total Current Liabilities	115,192.43
Long Term Liabilities	
21106 · Accrued Sick Days	18,040.20
21108 · Accrued Vacation Pay	42,192.56
Total Long Term Liabilities	60,232.76
Total Liabilities	175,425.19
Equity	
3900 · Retained Earnings	2,054,467.61
Net Income	163,763.30
Total Equity	2,218,230.91
TOTAL LIABILITIES & EQUITY	2,393,656.10

TWIN CITIES AREA TRANSPORTATION AUTHORITY
Profit & Loss Prev Year Comparison
October 2020 through February 2021

	Oct '20 - Feb 21	Oct '19 - Feb 20	\$ Change	% Change
Ordinary Income/Expense				
Income				
40101 · FAREBOX	51,553.18	77,668.73	-26,115.55	-33.6%
40102 · Punch Cards White	810.00	765.00	45.00	5.9%
40103 · Fare box coin over and short	-31.82	-64.07	32.25	50.3%
40104 · Punch Cards Blue	1,652.00	4,055.50	-2,403.50	-59.3%
40199 · FARES-TOKENS	693.00	571.00	122.00	21.4%
40760 · Gains on the Sale of Cap. Equip	8,600.00	0.00	8,600.00	100.0%
40799 · Other Non Transit Revenue	2,251.20	4,378.84	-2,127.64	-48.6%
40801 · LOCAL SUBSIDY - MILLAGE	50,000.00	60,000.00	-10,000.00	-16.7%
409991 · Punch Card white - local match	1,035.00	0.00	1,035.00	100.0%
409992 · Punch Card Blue - Local Match	2,107.50	8,318.00	-6,210.50	-74.7%
409993 · Tokes - Local Match	7,954.00	13,011.00	-5,057.00	-38.9%
41101 · STATE SUBSIDY - OPER	350,901.00	308,130.00	42,771.00	13.9%
411012 · JARC Blue oper	80,338.00	66,309.00	14,029.00	21.2%
411013 · JARC Red Operating	108,137.00	87,190.00	20,947.00	24.0%
41201 · Prior Year Adj -St,Fed.&Local	0.00	20,264.00	-20,264.00	-100.0%
41301 · FEDERAL SUBSIDY - OPER	540,391.00	369,536.00	170,855.00	46.2%
41360 · Cares ACT Lost Revenue Recovery	54,445.07	0.00	54,445.07	100.0%
41401 · INTEREST INCOME	9.75	560.30	-550.55	-98.3%
440000 · Refunds	15,987.49	0.00	15,987.49	100.0%
Total Income	1,276,833.37	1,020,693.30	256,140.07	25.1%
Gross Profit	1,276,833.37	1,020,693.30	256,140.07	25.1%
Expense				
501011 · OPERATORS WAGES	291,942.35	259,370.22	32,572.13	12.6%
501021 · OTHER WAGES - OPER	27,340.00	45,097.56	-17,757.56	-39.4%
501022 · OTHER WAGES - MAINT	47,827.41	39,235.88	8,591.53	21.9%
501023 · OTHER WAGES - ADMIN	96,678.78	73,373.51	23,305.27	31.8%
501031 · DISPATCHERS WAGES	76,398.74	29,795.55	46,603.19	156.4%
502031 · HEALTH INS - OPER	77,453.55	86,186.69	-8,733.14	-10.1%
502032 · HEALTH INS - MAINT	7,515.70	4,852.69	2,663.01	54.9%
502033 · HEALTH INSURANCE ADMIN	27,134.40	26,666.89	467.51	1.8%
502041 · SS & MED OPER	32,347.75	29,466.04	2,881.71	9.8%
502042 · SS & MED MAINT	3,853.43	3,340.08	513.35	15.4%
502043 · SS & MED ADMIN	7,464.25	6,047.05	1,417.20	23.4%
502071 · UNEMPLOYMENT - OPER	4,756.97	4,645.23	111.74	2.4%
502072 · UNEMPLOYMENT - MAINT	592.59	584.88	7.71	1.3%
502073 · UNEMPLOYMENT - ADMIN	1,152.94	988.79	164.15	16.6%
502081 · WORKERS COMP OPER	8,700.40	25,798.37	-17,097.97	-66.3%
502082 · WORKERS COMP MAINT	820.25	3,008.14	-2,187.89	-72.7%
502083 · WORKERS COMP ADMIN	384.35	9,726.49	-9,342.14	-96.1%
502091 · SICK LEAVE -OPER	6,328.52	11,357.97	-5,029.45	-44.3%
502092 · SICK LEAVE -MAINT.	445.28	44.96	400.32	890.4%
502093 · SICK LEAVE -ADMIN	462.00	904.80	-442.80	-48.9%
502101 · HOLIDAY - OPER	10,011.84	10,753.12	-741.28	-6.9%
502102 · HOLIDAY - MAINT	445.28	636.00	-190.72	-30.0%
502103 · HOLIDAY - ADMIN	545.60	556.80	-11.20	-2.0%
502111 · VACATION -OPER	11,584.92	12,195.03	-610.11	-5.0%
502112 · VACATION - MAINT	1,547.84	1,259.36	288.48	22.9%
502113 · VACATION - ADMIN	242.00	723.84	-481.84	-66.6%
503023 · ADVERTISING FEES	432.12	6,588.36	-6,156.24	-93.4%
503031 · SERVICE OPER	8,031.50	10,922.42	-2,890.92	-26.5%

TWIN CITIES AREA TRANSPORTATION AUTHORITY
Profit & Loss Prev Year Comparison
 October 2020 through February 2021

	Oct '20 - Feb 21	Oct '19 - Feb 20	\$ Change	% Change
503032 · SERVICE MAINT	77,334.48	51,568.39	25,766.09	50.0%
503033 · SERVICE ADMIN	27,024.72	22,468.73	4,555.99	20.3%
503052 · CONTRACT MAINT	49.46	0.00	49.46	100.0%
503053 · CONTRACT MAINT ADMIN	158.27	1,945.76	-1,787.49	-91.9%
503054 · Audit Costs	18,138.00	0.00	18,138.00	100.0%
503072 · SECURITY SERVICE	24,923.75	291.10	24,632.65	8,461.9%
503990 · NEW FREEDOM PROG CONTRACT	0.00	276.00	-276.00	-100.0%
503991 · DRUG TESTING OPER	933.00	1,377.00	-444.00	-32.2%
503992 · OTHER SERVICE	688.00	725.00	-37.00	-5.1%
503993 · OTHER SERVICE ADMIN	23,540.00	24,733.95	-1,193.95	-4.8%
504011 · FUEL OPER	66,460.37	75,366.58	-8,906.21	-11.8%
504012 · FUEL MAINT	105.60	2,840.65	-2,735.05	-96.3%
504013 · FUEL ADMIN	479.05	333.25	145.80	43.8%
504021 · TIRES	8,011.34	8,891.00	-879.66	-9.9%
504031 · SUPPLIES OPER	2,029.48	2,902.66	-873.18	-30.1%
504032 · SUPPLIES MAINT	28,528.72	15,737.99	12,790.73	81.3%
504033 · SUPPLIES ADMIN	13,228.35	9,410.39	3,817.96	40.6%
505021 · ELECTRIC OPER	399.07	161.79	237.28	146.7%
505022 · ELECTRIC MAINT	4,955.60	4,529.60	426.00	9.4%
505023 · ELECTRIC ADMIN	544.87	701.00	-156.13	-22.3%
505031 · GAS SERVICE OPER	321.91	170.83	151.08	88.4%
505032 · GAS SERVICE MAINT	6,747.65	4,783.18	1,964.47	41.1%
505033 · GAS SERVICE ADMIN	1,690.37	937.16	753.21	80.4%
505041 · WATER OPER	86.94	123.85	-36.91	-29.8%
505042 · WATER MAINT	2,434.26	3,468.24	-1,033.98	-29.8%
505043 · WATER ADMIN	376.73	339.86	36.87	10.9%
505051 · TELEPHONE OPER	1,761.56	1,160.30	601.26	51.8%
505053 · TELEPHONE ADMIN	754.78	235.19	519.59	220.9%
506031 · BUS INSURANCE OPER	32,074.58	50,515.75	-18,441.17	-36.5%
506033 · CAR INS	0.00	0.00	0.00	0.0%
506043 · BUILDING INS	4,267.45	3,531.65	735.80	20.8%
507003 · TAXES AND FEES	0.00	126.12	-126.12	-100.0%
509013 · DUES	591.98	0.00	591.98	100.0%
509021 · TRAVEL OPER	6,155.00	1,435.00	4,720.00	328.9%
509023 · TRAVEL ADMIN	0.00	1,581.01	-1,581.01	-100.0%
509141 · Obsolete DRUG TESTING OPER	0.00	0.00	0.00	0.0%
509993 · OTHER MISC ADMIN	0.00	41.00	-41.00	-100.0%
511023 · INTEREST EXPENSE	0.00	90.78	-90.78	-100.0%
512121 · RENTAL OPER	2,759.12	0.00	2,759.12	100.0%
512122 · RENTAL MAINT	2,495.75	278.88	2,216.87	794.9%
512123 · RENTAL ADMIN	579.10	234.00	345.10	147.5%
Total Expense	1,113,070.07	997,440.36	115,629.71	11.6%
Net Ordinary Income	163,763.30	23,252.94	140,510.36	604.3%
Net Income	163,763.30	23,252.94	140,510.36	604.3%

Twin Cities Area Transportation Authority

Drug & Alcohol Testing Policy

Safety Sensitive Employees

Effective

Approved by the Board of Directors

Date

(Chairman)

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SECTION I: PURPOSE

The Twin Cities Area Transportation Authority (hereafter referred to as "TCATA") provides public transit and paratransit services for the residents of Benton Harbor, Benton Township, Saint Joseph and parts of Saint Joseph Township. Part of our mission is to ensure that this service is delivered safely, efficiently, and effectively by establishing a drug and alcohol-free work environment, and to ensure that the workplace remains free from the effects of drugs and alcohol in order to promote the health and safety of employees and the general public. In keeping with this mission, TCATA declares that the unlawful manufacture, distribution, dispense, possession, or use of controlled substances or misuse of alcohol is prohibited for all employees. The testing policy rules for drug and alcohol testing are a condition of employment for each safety-sensitive employee.

Additionally, the purpose of this policy is to establish guidelines to maintain a drug and alcohol-free workplace in compliance with the Drug-Free Workplace Act of 1988, and the Omnibus Transportation Employee Testing Act of 1991. This policy is intended to comply with all applicable Federal regulations governing workplace anti-drug and alcohol programs in the transit industry. Specifically, the Federal Transit Administration (FTA) of the U.S. Department of Transportation has published 49 CFR Part 655, as amended, that mandates urine drug testing and breath alcohol testing for safety-sensitive positions, and prohibits performance of safety-sensitive functions when there is a positive test result. The U. S. Department of Transportation (USDOT) has also published 49 CFR Part 40, as amended, that sets standards for the collection and testing of urine and breath specimens.

Any provisions set forth in this policy that are included under the sole authority of TCATA and are not provided under the authority of the above named Federal regulations are *in italics*.

SECTION II: APPLICABILITY

This Drug and Alcohol Testing Policy applies to all safety-sensitive employees (full- or part-time) when performing safety sensitive duties. A safety-sensitive function is operation of mass transit service including the operation of a revenue service vehicle (whether or not the vehicle is in revenue service), maintenance of a revenue service vehicle or equipment used in revenue service, security personnel who carry firearms, dispatchers or person controlling the movement of revenue service vehicles and any other transit employee who is required to hold a Commercial Drivers License. Maintenance functions include the repair, overhaul, and rebuild of engines, vehicles and/or equipment used in revenue service. A list of safety-sensitive positions who perform one or more of the above mentioned duties is provided in Attachment A. Supervisors are only safety sensitive if they perform one of the above functions.

SECTION III: DEFINITIONS

Accident: An occurrence associated with the operation of a vehicle even when not in revenue service, if as a result:

- 1) An individual dies;
- 2) An individual suffers a bodily injury and immediately receives medical treatment away from the scene of the accident; or,
- 3) One or more vehicles incur disabling damage as the result of the occurrence and is transported away from the scene by a tow truck or other vehicle. For purposes of this definition, *disabling damage* means damage which precludes departure of any vehicle from the scene of the occurrence in its usual manner in daylight after simple repairs. Disabling damage includes damage to vehicles that could have been operated but would have been further damaged if so operated, but does not include damage which can be remedied temporarily at the scene of the occurrence without special tools or parts, tire disablement without other damage even if no spare tire is available, or damage to headlights, taillights, turn signals, horn, mirrors or windshield wipers that makes them inoperative.

In addition, the following criteria for testing, which exceeds the DOT 49 CFR, Part 655 Language of an accident, will apply:

Any occurrence involving a collision when a TCATA Vehicle, including lease vehicles and personal vehicles if being used to conduct TCATA business, strikes a non-authority vehicle that is not parked, which results in damage or injury, or any occurrence involving the movement of a TCATA vehicle when an individual is injured (i.e., employee, passenger, general public) will result in the testing of any employees who may have contributed in anyway to the accident, based on the best information available at the time.

Adulterated specimen: A specimen is considered adulterated if it contains a substance that is not a normal constituent or contains an endogenous substance at a concentration that is not a normal physiological concentration.

Alcohol: The intoxicating agent in beverage alcohol, ethyl alcohol, or other low molecular weight alcohol's contained in any beverage, mixture, mouthwash, candy, food, preparation or medication.

Alcohol Concentration: Expressed in terms of grams of alcohol per 210 liters of breath as measured by an evidential breath testing device (EBT).

Canceled Test: A drug test that has been declared invalid by a Medical Review Officer. A canceled test is neither positive nor negative.

Covered Employee: An employee who performs a safety-sensitive function including an applicant or transferee who is being considered for hire into a safety-sensitive function (See Attachment A for a list of covered employees).

Designated Employer Representative (DER): An employee authorized by the employer to take immediate action to remove employees from safety-sensitive duties and to make required decisions in testing. The DER also receives test results and other communications for the employer, consistent with the requirements of 49 CFR Parts 40 and 655.

Department of Transportation (DOT): Department of the federal government which includes the, Federal Transit Administration, Federal Railroad Administration, Federal Highway Administration, Federal Motor Carriers' Safety Administration, Research and Special Programs, and the Office of the Secretary of Transportation.

Dilute specimen: Diluted specimens have creatinine and specific gravity values that are lower than expected for human urine. The HHS has determined that specimens with creatinine levels greater than or equal to 2.0 mg/dL but less than 20.0 mg/dL and have a specific gravity greater than 1.0010 but less than 1.0030 are dilute. Individuals with creatinine levels greater than or equal to 2.0 mg/dL but less than 5.0 mg/dL are required to be retested under direct observation.

Disabling damage: Damage which precludes departure of any vehicle from the scene of the occurrence in its usual manner in daylight after simple repairs. Disabling damage includes damage to vehicles that could have been operated but would have been further damaged if so operated, but does not include damage which can be remedied temporarily at the scene of the occurrence without special tools or parts, tire disablement without other damage even if no spare tire is available, or damage to headlights, taillights, turn signals, horn, mirrors or windshield wipers that makes them inoperative.

Evidentiary Breath Testing Device (EBT): A Device approved by the NHTSA for the evidential testing of breath at the 0.02 and the 0.04 alcohol concentrations. Approved devices are listed on the National Highway Traffic Safety Administration (NHTSA) conforming products list.

Invalid: An invalid specimen is one that contains an unidentified adulterant, contains an unidentified interfering substance, has an abnormal physical characteristic, or has an endogenous substance at an abnormal concentration that prevents the laboratory from completing testing or obtaining a valid drug test result.

Medical Review Officer (MRO): A licensed physician (medical doctor or doctor of osteopathy) responsible for receiving laboratory results generated by the drug testing program who has knowledge of substance abuse disorders, and has appropriate medical training to interpret and evaluate an individual's confirmed positive test result, together with his/her medical history, and any other relevant bio-medical information.

Negative Dilute: A drug test result which is negative for the five drug/drug metabolites but has a specific gravity value lower than expected for human urine.

Negative test result: The verified presence of the identified drug or its metabolite below the minimum levels specified in 49 CFR Part 40, as amended. An alcohol concentration of less than 0.02 BAC is a negative test result.

Non-negative test result: A test result found to be adulterated, substitute, invalid, or positive for drug/drug metabolites.

Performing (a safety-sensitive function): A covered employee is considered to be performing a safety-sensitive function and includes any period in which he or she is actually performing, ready to perform, or immediately available to perform such functions.

Positive test result: A verified presence of the identified drug or its metabolite at or above the minimum levels specified in 49 CFR Part 40, as amended. A positive alcohol test result means a confirmed alcohol concentration as reflected in Section XVI(3)(4).

Prohibited drug: Identified as marijuana, cocaine, opiates, amphetamines, or phencyclidine at levels above the minimum thresholds specified in 49 CFR Part 40, as amended.

Revenue Service Vehicles: All transit vehicles that are used for passenger transportation service or that require a CDL to operate. Include all ancillary vehicles used in support of the transit system.

Safety-sensitive functions: Employee duties identified as:

- 1) The operation of a transit revenue service vehicle even when the vehicle is not in revenue service.
- 2) The operation of a non-revenue service vehicle by an employee when the operation of such a vehicle requires the driver to hold a Commercial Drivers License (CDL).
- 3) Maintaining a revenue service vehicle or equipment used in revenue service.
- 4) Controlling the movement of a revenue service vehicle and
- 5) Carrying a firearm for security purposes.

Substance Abuse Professional (SAP): A licensed physician (medical doctor or doctor of osteopathy) or licensed or certified psychologist, social worker, employee assistance professional, or addiction counselor (certified by the National Association of Alcoholism and Drug Abuse Counselors Certification Commission or by the International Certification Reciprocity Consortium/Alcohol and other Drug Abuse) with knowledge of and clinical experience in the diagnosis and treatment of drug and alcohol related disorders.

Substituted specimen: Substituted specimens have creatinine and specific gravity values that are so diminished or so divergent that they are not consistent with normal human urine. The HHS has determined that specimens with creatinine levels of less than 2.0 mg/dL are substituted.

Test Refusal: The following are considered a refusal to test if the employee:

1. Failure to appear for any test (except for pre-employment) within a reasonable time, as determined by the employer (*Note, TCATA requires a supervisor to escort employee to test site*);
2. Failure to remain at the testing site until the testing process is complete;
3. Failure to provide a urine specimen for any required drug test;
4. Failure to permit the observation or monitoring of the specimen collection when required to do so;
5. Failure to provide a sufficient amount of urine when directed and there is no adequate medical explanation for the failure;
6. Failure to take a second test when directed to do so by the employer or collector;
7. Failure to undergo a medical examination when directed to do so by the MRO or employer;
8. Failure to cooperate with any part of the testing process (e.g., refuse to empty pockets when directed by the collector, behave in a confrontational way that disrupts the collection process, fail to wash hands after being directed to do so by the collector).
9. Failure to follow the observer's instructions during an observed collection including instructions to raise your clothing above the waist, lower clothing and underpants, and to turn around to permit the observer to determine if you have any type of prosthetic or other device that could be used to interfere with the collection process;
10. Possess or wear a prosthetic or other device that could be used to interfere with the collection process; and
11. Admit to the collector or MRO that you adulterated or substituted the specimen.

Verified negative test: A drug test result reviewed by a medical review officer and determined to have no evidence of prohibited drug use above the minimum cutoff levels established by the Department of Health and Human Services (HHS).

Verified positive test: A drug test result reviewed by a medical review officer and determined to have evidence of prohibited drug use above the minimum cutoff levels specified in 49 CFR Part 40 as revised.

Validity testing: The evaluation of the specimen to determine if it is consistent with normal human urine. The purpose of validity testing is to determine whether certain adulterants or foreign substances were added to the urine, if the urine was diluted, or if the specimen was substituted.

SECTION IV: EDUCATION AND TRAINING

- 1) Every covered employee will receive a copy of this policy and will have ready access to the corresponding federal regulations including 49 CFR Parts 655 and 40, as amended. In addition, all covered employees will undergo a minimum of 60 minutes of training on the signs and symptoms of drug use including the effects and consequences of drug use on personal health, safety, and the work environment. The training also includes manifestations and behavioral cues that may indicate prohibited drug use.

- 2) All supervisory personnel or company officials who are in a position to determine employee fitness for duty will receive 60 minutes of reasonable suspicion training on the physical, behavioral, and performance indicators of probable drug use and 60 minutes of additional reasonable suspicion training on the physical, behavioral, speech, and performance indicators of probable alcohol misuse.
- 3) Information on the signs, symptoms, health effects, and consequences of alcohol misuse is presented in Attachment B of this policy.

SECTION V: PROHIBITED SUBSTANCES

Prohibited substances addressed by this policy include the following.

- a. Illegally Used Controlled Substance or Drugs Under the Drug-Free Workplace Act of 1988 any drug or any substance identified in Schedule I through V of Section 202 of the Controlled Substance Act (21 U.S.C. 812), and as further defined by 21 CFR 1300.11 through 1300.15 is prohibited at all times in the workplace unless a legal prescription has been written for the substance. This includes, but is not limited to: marijuana, amphetamines, opiates, phencyclidine (PCP), cocaine, ecstasy (MDMA), and heroin, as well as any drug not approved for medical use by the U.S. Drug Enforcement Administration or the U.S. Food and Drug Administration. Illegal use includes use of any illegal drug, misuse of legally prescribed drugs, and use of illegally obtained prescription drugs. Also, the medical use of marijuana, or the use of hemp related products, as which cause drug or drug metabolites to be present in the body above the minimum thresholds is a violation of this policy.
- b. Federal Transit Administration drug testing regulations (49 CFR Part 655) require that all covered employees be tested for marijuana, cocaine, amphetamines, opiates, and phencyclidine as described in Section VIII of this policy. Illegal use of these five drugs is prohibited at all times and thus, covered employees may be tested for these drugs anytime that they are on duty.
- c. Legal Drugs: The appropriate use of legally prescribed drugs and non-prescription medications is not prohibited. However, the use of any substance which carries a warning label that indicates that mental functioning, motor skills, or judgment may be adversely affected must be reported to a TCATA supervisor and the employee is required to provide a written release from his/her doctor or pharmacist indicating that the employee can perform his/her safety-sensitive functions. Prescription pain relievers are also known as prescription narcotics, narcotic analgesics, or opioids and are the most used and abused medications in use today. Commonly prescribed pain relievers include codeine, morphine, oxycodone, Percocet, hydrocodone and Vicodin. Morphine is one of the most effective drugs known for the relief of severe pain and is the standard against which new analgesics are measured. Oxycodone is a pain reliever that is twice as potent as morphine. When used as directed, these medications can relieve pain.

They also cause drowsiness, constipation, and slowed breath. In some people, pain relievers also cause euphoria or feelings of well being by affecting the brain regions that mediate pain. Prescription pain relievers should not be used with other substances that depress the central nervous system such as alcohol, antihistamines, barbiturates, benzodiazepines, or general anesthetics as the interaction may result in severe respiratory depression and death.

- d. Alcohol: The use of beverages containing alcohol (including any mouthwash, medication, food, candy) or any other substances such that alcohol is present in the body while performing safety-sensitive job functions is prohibited. An alcohol test can be performed on a covered employee under 49 CFR Part 655 just before, during, or just after the performance of safety-sensitive job functions.

SECTION VI: PROHIBITED CONDUCT

- 1) All covered employees are prohibited from reporting for duty or remaining on duty any time there is a quantifiable presence of a prohibited drug in the body above the minimum thresholds defined in 49 CFR PART 40, as amended.
- 2) Each covered employee is prohibited from consuming alcohol while performing safety-sensitive job functions or while on-call to perform safety-sensitive job functions. If the employee is required to report, the employee must be given the opportunity to acknowledge that he/she has used alcohol and is unable to perform his/her safety-sensitive function. If the employee acknowledges the use of alcohol but claims ability to perform his or her safety-sensitive function, the employee must take an alcohol test when reporting for duty.
- 3) The Transit Department shall not permit any covered employee to perform or continue to perform safety-sensitive functions if it has actual knowledge that the employee is using alcohol.
- 4) Each covered employee is prohibited from reporting to work or remaining on duty requiring the performance of safety-sensitive functions while having an alcohol concentration of 0.02 or greater regardless of when the alcohol was consumed.
- 5) No covered employee shall consume alcohol for eight (8) hours following involvement in an accident or until he/she submits to the post-accident drug/alcohol test, whichever occurs first.
- 6) No covered employee shall consume alcohol within four (4) hours prior to the performance of safety-sensitive job functions.
- 7) *BTMA under its own authority also prohibits the consumption of alcohol all times employee is on duty, or anytime the employee is in uniform.*

- 8) Consistent with the Drug-free Workplace Act of 1988, all TCATA employees are prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, or use of prohibited substances in the work place including TCATA Transit premises and vehicles.

SECTION VII: DRUG STATUTE CONVICTION

Consistent with the Drug Free Workplace Act of 1988, all employees are required to notify the TCATA management of any criminal drug statute conviction for a violation occurring in the workplace within five days after such conviction. Failure to comply with this provision shall result in disciplinary action as defined in Section XVI of this policy.

SECTION VIII: TESTING REQUIREMENTS

- 1) Analytical urine drug testing and breathe testing for alcohol will be conducted as required by 49CFR part 40 as amended. All covered employees shall be subject to testing prior to performing safety-sensitive duty, for reasonable suspicion, following an accident, and random as defined in Section XI, XII, XIII, and XIV of this policy, and return to duty/follow-up.
- 2) All covered employees who have tested positive for drugs or alcohol will be tested prior to returning to duty after completion of the Substance Abuse Professional's recommended treatment program and subsequent release to duty. Follow-up testing will also be conducted following return-to-duty for a period of one to five years, with at least six tests performed during the first year. The duration and frequency of the follow-up testing above the minimum requirements will be at the discretion of the Substance Abuse Professional.
- 3) A drug test can be performed any time a covered employee is on duty. An alcohol test can be performed just before, during, or after the performance of a safety-sensitive job function.
- 4) All covered employees will be subject to urine drug testing and breath alcohol testing as a condition of ongoing employment with TCATA. Any safety-sensitive employee who refuses to comply with a request for testing shall be removed from duty and subject to discipline as defined in Section XVI of this policy. Any covered employee who is suspected of providing false information in connection with a drug test, or who is suspected of falsifying test results through tampering, contamination, adulteration, or substitution will be required to undergo an observed collection. Verification of the above listed actions will be considered a test refusal and will result in the employee's removal from duty and disciplined as defined in Section XVI of this policy. Refer to Section XVI for behavior that constitutes a refusal to test.

SECTION IX: PROCEDURES

- 1) Testing shall be conducted in a manner to assure a high degree of accuracy and reliability and using techniques, equipment, and laboratory facilities which have been approved by the U.S. Department of Health and Human Service (HHS). All testing will be conducted consistent with the procedures set forth in 49 CFR Part 40, as amended. The procedures will be performed in a private, confidential manner and every effort will be made to protect the employee, the integrity of the drug testing procedure, and the validity of the test result.
- 2) The drugs that will be tested for include marijuana, cocaine, opiates, amphetamines, and phencyclidine. After the identity of the donor is checked using picture identification, a urine specimen will be collected using the split specimen collection method described in 49 CFR Part 40, as amended. Each specimen will be accompanied by a DOT Chain of Custody and Control Form and identified using a unique identification number that attributes the specimen to the correct individual. The specimen analysis will be conducted at a HHS certified laboratory. An initial drug screen and validity test will be conducted on the primary urine specimen. For those specimens that are not negative, a confirmatory Gas Chromatography/Mass Spectrometry (GC/MS) test will be performed. The test will be considered positive if the amounts of the drug(s) and/or its metabolites identified by the GC/MS test are above the minimum thresholds established in 49 CFR Part 40, as amended.
- 3) The test results from the HHS certified laboratory will be reported to a Medical Review Officer. A Medical Review Officer (MRO) is a licensed physician with detailed knowledge of substance abuse disorders and drug testing. The MRO will review the test results to ensure the scientific validity of the test and to determine whether there is a legitimate medical explanation for a confirmed positive, substitute, or adulterated test result. The MRO will attempt to contact the employee to notify the employee of the non-negative laboratory result, and provide the employee with an opportunity to explain the confirmed laboratory test result. The MRO will subsequently review the employee's medical history/medical records as appropriate to determine whether there is a legitimate medical explanation for a non-negative laboratory result. If no legitimate medical explanation is found, the test will be verified positive or refusal to test and reported to the TCATA Drug and Alcohol Program Manager (DAPM). If a legitimate explanation is found, the MRO will report the test result as negative to the DAPM and no further action will be taken.
- 4) If the test is invalid without a medical explanation, a retest will be conducted under direct observation.
- 5) Any covered employee who questions the results of a required drug test under Sections XII through XV of this policy may request that the split sample be tested. Employees do not have access to a test of their split specimen following an invalid result. The split sample test must be conducted at a second HHS-certified laboratory with no affiliation with the laboratory that analyzed the primary specimen. The test must be conducted on the split sample that was provided by the employee at the same time as the primary sample. The method of collecting, storing, and testing the split sample will be consistent with the procedures set forth in 49 CFR Part 40, as amended.

The employee's request for a split sample test must be made to the Medical Review Officer within 72 hours of notice of the original sample verified test result. Requests after 72 hours will only be accepted at the discretion of the MRO if the delay was due to documentable facts that were beyond the control of the employee. TCATA will ensure that the cost for the split specimen are covered in order for a timely analysis of the sample, *however TCATA will seek reimbursement for the split sample test from the employee only if the results are positive on the split sample.*

- 6) If the analysis of the split specimen fails to confirm the presence of the drug(s) detected in the primary specimen, if the split specimen is not able to be analyzed, or if the results of the split specimen are not scientifically adequate, the MRO will declare the original test to be canceled. If the split specimen is not able to be analyzed the MRO will advise TCATA to retest the employee under direct observation.
- 7) The split specimen will be stored at the initial laboratory until the analysis of the primary specimen is completed. If the primary specimen is negative, the split will be discarded. If the primary is positive, the split will be retained for testing if so requested by the employee through the Medical Review Officer. If the primary specimen is positive, it will be retained in frozen storage for one year and the split specimen will also be retained for one year.

8) Observed collections

Consistent with 49 CFR part 40, as amended, collection under direct observation (by a person of the same gender) with no advance notice will occur if:

- a) The laboratory reports to the MRO that a specimen is invalid, and the MRO reports to TCATA that there was not an adequate medical explanation for the result; or
 - b) The MRO reports to TCATA that the original positive, adulterated, or substituted test result had to be cancelled because the test of the split specimen could not be performed.
 - c) The collector observes materials brought to the collection site or the employee's conduct clearly indicates an attempt to tamper with a specimen or
 - d) The temperature on the original specimen was out of range.
- 9) In addition, TCATA may direct a collection under direct observation of an employee if the drug test is a return-to-duty test or a follow-up test.

SECTION X: ALCOHOL TESTING PROCEDURES

- 1) Tests for breath alcohol concentration will be conducted utilizing a National Highway Traffic Safety Administration (NHTSA)-approved Evidential Breath Testing device (EBT) operated by a trained Breath Alcohol Technician (BAT). Alcohol screening tests may be performed using a non-evidential testing device which is also approved by NHSTA. If the initial test indicates an alcohol concentration of 0.02 or greater, a second test will be performed to confirm the results of the initial test. The confirmatory test must occur on an EBT. The confirmatory test will be conducted at least fifteen minutes after the completion of the initial test. The confirmatory test will be performed using a NHTSA-approved EBT operated by a trained BAT. The EBT will identify each test by a unique sequential identification number. This number, time, and unit identifier will be provided on each EBT printout. The EBT printout, along with an approved alcohol testing form, will be used to document the test, the subsequent results, and to attribute the test to the correct employee. The test will be performed in a private, confidential manner as required by 49 CFR Part 40, as amended. The procedure will be followed as prescribed to protect the employee and to maintain the integrity of the alcohol testing procedures and validity of the test result.
- 2) An employee who has a confirmed alcohol concentration of 0.04 or greater will be considered a positive alcohol test and in violation of this policy. The consequences of a positive alcohol test are described in Section XVI(4) of this policy. Even though an employee who has a confirmed alcohol concentration of 0.02 to 0.039 is not considered positive, the employee shall still be removed from duty for at least eight hours *or for the duration of the work day whichever is longer* and will be subject to the consequences described in Section XVI(4)(b) of this policy. An alcohol concentration of less than 0.02 will be considered a negative test and subject to the provision in Section XVI(4)(a).
- 3) TCATA affirms the need to protect individual dignity, privacy, and confidentiality throughout the testing process. If at any time the integrity of the testing procedures or the validity of the test results is compromised, the test will be canceled. Minor inconsistencies or procedural flaws that do not impact the test result will not result in a cancelled test.
- 4) The alcohol testing form (ATF) required by 49 CFR Part 40 as amended, shall be used for all FTA required testing. Failure of an employee to sign step 2 of the ATF will be considered a refusal to submit to testing *under any testing authority*.

SECTION XI: PRE-EMPLOYMENT TESTING

All applicants for covered transit positions shall undergo urine drug testing *and breath alcohol testing* prior to performance of a safety-sensitive function.

- a) All offers of employment for covered positions shall be extended conditional upon the applicant passing a drug *and alcohol test*. An applicant shall not be placed into a safety-sensitive position unless the applicant takes a drug test with verified negative results, *and an alcohol concentration below 0.02*.

- b) A non-covered employee shall not be placed, transferred or promoted into a covered position until the employee takes a drug test with verified negative results *and an alcohol concentration below 0.02.*
- c) If an applicant fails a pre-employment drug or alcohol test, the conditional offer of employment shall be rescinded. *Failure of a pre-employment drug and/or alcohol test will disqualify an applicant for employment for a period of at least one year.* The applicant must provide the employer proof of having successfully completed a referral, evaluation and treatment plan as described in section 655.62 of subpart G. The cost for the assessment and any subsequent treatment will be the sole responsibility of the applicant.
- d) When an employee being placed, transferred, or promoted from a non-covered position to a covered position submits a drug test with a verified positive result, *and/or an alcohol concentration above 0.04* the employee shall be subject to disciplinary action in accordance with Section XVI herein.
- e) If a pre-employment/pre-transfer test is canceled, TCATA will require the applicant to take and pass another pre-employment drug test.
- f) In instances where a covered employee is on extended leave for a period of 90 days or more regardless of reason, and is not in the random testing pool the employee will be required to take a drug *and alcohol* test under 49 CFR Part 655 and have negative test results prior to the conduct of safety-sensitive job functions.
- g) *An applicant with a dilute negative test result will be required to immediately submit to an unobserved retest.*
- h) Applicants are required to report previous DOT covered employer drug and alcohol test results—Failure to do so will result in the employment offer being rescinded. If the applicant has tested positive or refused to test on a pre-employment test for a DOT covered employer. The applicant must provide TCATA proof of having successfully completed a referral, evaluation and treatment plan as described in section 655.62 of subpart G.

SECTION XII: REASONABLE SUSPICION TESTING

- 1) All TCATA covered employees will be subject to a reasonable suspicion drug and/or alcohol test when the employer has reasonable suspicion to believe that the covered employee has used a prohibited drug and/or engaged in alcohol misuse.

Reasonable suspicion shall mean that there is objective evidence, based upon specific, contemporaneous, articulable observations of the employee's appearance, behavior, speech or body odor that are consistent with possible drug use and/or alcohol misuse. Reasonable suspicion referrals must be made by one or more supervisors who are trained to detect the signs and symptoms of drug and alcohol use, and who reasonably concludes that an employee may be adversely affected or impaired in his/her work performance due to possible prohibited substance abuse or alcohol misuse.

A reasonable suspicion alcohol test can only be conducted just before, during, or just after the performance of a safety-sensitive job function. A reasonable suspicion drug test can be performed any time the covered employee is on duty.

- 2) *TCATA shall be responsible for transporting the employee to the testing site. Supervisors should avoid placing themselves and/or others into a situation which might endanger the physical safety of those present. The employee shall be placed on administrative leave pending disciplinary action described in Section XVI of this policy. An employee who refuses an instruction to submit to a drug/alcohol test shall not be permitted to finish his or her shift and shall immediately be placed on administrative leave pending disciplinary action as specified in Section XVI of this policy.*
- 3) *A written record of the observations, which led to a drug/alcohol test based on reasonable suspicion, shall be prepared and signed by the supervisor making the observation. This written record shall be submitted to the TCATA Human Resource Department and shall be attached to the forms reporting the test results.*
- 4) *When there are no specific, contemporaneous, articulable objective facts that indicate current drug or alcohol use, but the employee (who is not already a participant in a treatment program) admits the abuse of alcohol or other substances to a supervisor in his/her chain of command, the employee shall be referred to the SAP for an assessment. TCATA shall place the employee on administrative leave in accordance with the provisions set forth under Section XVI of this policy. Testing in this circumstance would be performed under the direct authority of the TCATA. Since the employee self-referred to management, testing under this circumstance would not be considered a violation of this policy or a positive test result under Federal authority. However, self-referral does not exempt the covered employee from testing under Federal authority as specified in Sections XII through XIV of this policy or the associated consequences as specified in Section XVI.*

SECTION XIII: POST-ACCIDENT TESTING

- 1) All covered employees will be required to undergo urine and breath testing if they are involved in an accident with a transit revenue service vehicle regardless of whether or not the vehicle is in revenue service that results in a fatality. This includes all surviving covered employees that are operating the vehicle at the time of the accident and any other whose performance cannot be completely discounted as a contributing factor to the accident. If based on the best available information at the time of the determination that the employee's performance could not have contributed to the accident and no testing is accomplished, this decision must be documented in detail, including the decision-making process used to reach the decision not to test.
- 2) In addition, a post-accident test will be conducted if an accident results in injuries requiring immediate transportation to a medical treatment facility; or one or more vehicles incurs disabling damage, unless the operator's performance can be completely discounted as a contributing factor to the accident. Disabling damage is defined as "damage that precludes departure of a motor vehicle from the scene of the accident in its usual manner in daylight after simple repair; or damage to any vehicle that could have been operated but which would have further damaged the vehicle if so operated."
 - a) As soon as practicable following an accident, as defined in this policy, the transit supervisor investigating the accident will notify the transit employee operating the transit vehicle and all other covered employees whose performance could have contributed to the accident of the need for the test. The supervisor will make the determination using the best information available at the time of the decision.
 - b) The appropriate transit supervisor shall ensure that an employee, required to be tested under this section, is tested as soon as practicable, but no longer than eight (8) hours of the accident for alcohol, and within 32 hours for drugs. If an alcohol test is not performed within two hours of the accident, the Supervisor will document the reason(s) for the delay. If the alcohol test is not conducted within (8) eight hours, or the drug test within 32 hours, attempts to conduct the test must cease and the reasons for the failure to test documented.
 - c) Any covered employee involved in an accident must refrain from alcohol use for eight (8) hours following the accident, or until he/she undergoes a post-accident alcohol test.
 - d) An employee who is subject to post-accident testing who fails to remain readily available for such testing, including notifying a supervisor of his or her location if he or she leaves the scene of the accident prior to submission to such test, may be deemed to have refused to submit to testing.
 - e) Nothing in this section shall be construed to require the delay of necessary medical attention for the injured following an accident, or to prohibit an employee from leaving the scene of an accident for the period necessary to obtain assistance in responding to the accident, or to obtain necessary emergency medical care.

- f) In the rare event that TCATA is unable to perform an FTA drug and alcohol test (i.e., employee is unconscious, employee is detained by law enforcement agency), TCATA may use drug and alcohol post-accident test results administered by local law enforcement officials in lieu of the FTA test. The local law enforcement officials must have independent authority for the test and the employer must obtain the results in conformance with local law.
- 3) *In addition to above FTA requirements, any occurrence involving a collision when a TCATA Vehicle, including lease vehicles and personal vehicles if being used to conduct TCATA business, strikes a non-authority vehicle that is not parked, which results in damage or injury, or any occurrence involving the movement of a TCATA vehicle when an individual is injured (i.e., employee, passenger, general public) will result in the testing of any employees who may have contributed in anyway to the accident, based on the best information available at the time.*

SECTION XIV: RANDOM TESTING.

- 1) All covered employees will be subjected to random, unannounced testing. The selection of employees shall be made by a scientifically valid method of randomly generating an employee identifier from the appropriate pool of safety-sensitive employees.
- 2) The dates for administering unannounced testing of randomly selected employees shall be spread reasonably throughout the calendar year, day of the week and hours of the day.
- 3) The number of employees randomly selected for drug/alcohol testing during the calendar year shall be not less than the percentage rates established by Federal regulations for those safety-sensitive employees subject to random testing by Federal regulations. The current random testing rate for drugs established by FTA equals twenty-five percent (25%) of the number of covered employees in the pool and the random testing rate for alcohol established by FTA equals ten percent (10%) of the number of covered employees in the pool.
- 4) Each covered employee shall be in a pool from which the random selection is made. Each covered employee in the pool shall have an equal chance of selection each time the selections are made. Employees will remain in the pool and subject to selection, whether or not the employee has been previously tested. There is no discretion on the part of management in the selection.
- 5) Covered transit employees that fall under the Federal Transit Administration regulations will be included in one random pool maintained separately from any other testing pool of employees that are included solely under TCATA authority.
- 6) Random tests can be conducted at any time during an employee's shift for drug testing. Alcohol random tests can be performed just before, during, or just after the performance of a safety sensitive duty. Testing can occur during the beginning, middle, or end of an employee's shift.

Employees are required to proceed *immediately* to the collection site upon notification of their random selection. *All TCATA employees will be taken to the collection site by a TCATA supervisor.*

SECTION XV: RETURN-TO-DUTY TESTING

TCATA *has a zero tolerance policy for drug use, but in the event that an employee is returned to duty who previously tested positive on a drug or alcohol test (0.04 or above, or 2nd positive of 0.02 – 0.039) or refused a test, and was terminated from employment in accordance with Section XVI, must test negative for drugs, alcohol (below 0.02 for alcohol), or both and be evaluated and released by the Substance Abuse Professional before returning to work. For an initial positive drug test a Return-to-Duty drug test is required and an alcohol test is allowed. For an initial positive alcohol test a Return-to-Duty alcohol is required and a drug test is allowed. Following the initial assessment, the SAP will recommend a course of rehabilitation unique to the individual. The SAP will recommend the return-to-duty test only when the employee has successfully completed the treatment requirement and is known to be drug and alcohol-free and there are no undo concerns for public safety.*

Covered employees will be required to undergo frequent, unannounced drug and/or alcohol testing following their return-to-duty. The follow-up testing will be performed for a period of one to five years with a minimum of six tests to be performed the first year. The frequency and duration of the follow-up tests (beyond the minimums) will be determined by the SAP reflecting the SAP's assessment of the employee's unique situation and recovery progress. Follow-up testing should be frequent enough to deter and/or detect a relapse. Follow-up testing is separate and in addition to the random, post-accident, reasonable suspicion and return-to-duty testing.

SECTION XVI: RESULT OF DRUG/ALCOHOL TEST

- 1) A drug test with the result of negative dilute *will* be retested immediately.
- 2) A positive drug and/or alcohol test will result in disciplinary action as specified herein.
 - a. As soon as TCATA receives notice of a verified positive drug test result under all testing situations, or a test refusal, the TCATA drug and Alcohol Program Manager will immediately have the employee cease performing any safety-sensitive function. *The employee will be suspended without pay, with subsequent termination from employment.* The employee will be referred to a Substance Abuse Professional.
 - b. *Refusal to submit to a drug-alcohol test shall be considered a positive test result and a direct act of insubordination and shall result in termination.* A test refusal includes the following circumstances.
 - (1) A covered employee who consumes alcohol within eight (8) hours following involvement in an accident without first having submitted to post-accident drug/alcohol tests.

- (2) A covered employee who leaves the scene of an accident without a legitimate explanation prior to submission to drug/alcohol tests.
- (3) A covered employee who provides false information in connection with a drug test.
- (4) A covered employee who provides an insufficient volume of urine specimen or breath sample without a valid medical explanation. The medical evaluation shall take place within 5 days of the initial test attempt.
- (5) A verbal or written declaration, obstructive behavior, or physical absence resulting in the inability to conduct the test within the specified time frame.
- (6) A covered employee whose urine sample has been verified by the MRO as substitute or adulterated.
- (7) A covered employee fails to appear for any test within a reasonable time, as determined by the employer, after being directed to do so by the employer
- (8) A covered employee fails to remain at the testing site until the testing process is complete;
- (9) A covered employee fails to provide a urine specimen for any drug test required by Part 40 or DOT agency regulations;
- (10) A covered employee fails to permit the observation or monitoring of a specimen collection
- (11) A covered employee fails or declines to take a second test the employer or collector has directed you to take;
- (12) A covered employee fails to undergo a medical examination or evaluation, as directed by the MRO as part of the verification process, or as directed by the DER as part of the "shy bladder" or "shy lung" procedures
- (13) A covered employee fails to cooperate with any part of the testing process (e.g., refuse to empty pockets when so directed by the collector, behave in a confrontational way that disrupts the collection process).
- (14) Failure to sign Step 2 of the Alcohol Testing form
- (15) Failure to follow the observer's instructions during an observed collection including instructions to raise your clothing above the waist, lower clothing and underpants, and to turn around to permit the observer to determine if you have any type of prosthetic or other device that could be used to interfere with the collection process;
- (16) Possess or wear a prosthetic or other device that could be used to interfere with the collection process; and;
- (17) Admit to the collector or MRO that you adulterated or substituted the specimen.

3. *If a new hire tests positive for alcohol (that is have a 0.02 alcohol concentration or higher) they will no longer be considered for hire unless a medical review officer confirms that the alcohol concentration may be a natural bodily occurrence.*
4. *If a transferee, or other safety-sensitive employee otherwise violates the provision of this policy and test positive for alcohol, the following will apply:*

- a) *If under any testing requirement a safety-sensitive employee tests between 0.001 and 0.0199 alcohol concentration, the test will be considered negative under FTA guidelines, but he/she will be referred to a Substance Abuse Professional (SAP) for evaluation under Twin Cities Area Transportation Authority.*
 - b) *The first time a safety-sensitive employee tests between 0.02 and 0.039 alcohol concentration, the employee must have a confirmation test conducted at least 15 minutes after the completion of the screening test.*
 - c) *If confirmation test is still within 0.02 and 0.039, the employee will be removed from safety-sensitive duties, without pay, and not allowed to return until the next regularly scheduled duty period, but not less than 8 hours. The employee will also be referred to a substance abuse professional for evaluation and must complete any recommended program as determined by the SAP to avoid termination. The cost of any treatment or rehabilitation services will be paid directly by the employee or their insurance provider. The employee will be permitted to take paid leave to participate in the SAP prescribed treatment program.*
 - d) *The second time a safety-sensitive employee tests 0.02 or above he/she will be immediately removed from their safety-sensitive function, suspended without pay, with subsequent termination from employment. The employee will be referred to a Substance Abuse Professional.*
 - e) *If alcohol concentration of 0.04 or higher under any and all of the required testing situations, he/she will be immediately removed from his or her safety-sensitive function, suspended without pay, with subsequent termination from employment. The employee will be referred to a Substance Abuse Professional.*
5. *In the instance of a self-referral, disciplinary action against the employee shall include:*
- a) *Mandatory referral to a Substance Abuse Professional for assessment, formulation of a treatment plan, and execution of a return to work agreement;*
 - b) *A Voluntary Referral does not shield an employee from the requirement to comply with drug and alcohol testing.*
 - c) *Failure to execute, or remain compliant with the return-to-work agreement shall result in termination from TCATA employment. Compliance with the return-to-work agreement means that the employee has submitted to a drug/alcohol test immediately prior to returning to work; the result of that test is negative; in the judgment of the SAP the employee is cooperating with his/her SAP recommended treatment program; and, the employee has agreed to periodic unannounced follow-up testing as defined in Section XV of this policy.*
 - d) *Refusal to submit to a periodic unannounced follow-up drug/alcohol test shall be considered a direct act of insubordination and shall result in termination.*
 - e) *A self-referral to the SAP that was not precipitated by a positive test result does not constitute a violation of the Federal regulations and will not be considered as a positive test result in relation to the progressive discipline defined in Section XVI of this policy.*
 - f) *Periodic unannounced follow-up drug/alcohol test conducted as a result of a self-referral which results in a verified positive shall be considered a positive test result in relation to the progressive discipline defined in Section XVI of this policy.*

6. *Failure of an employee to report within five days a criminal drug statue conviction for a violation occurring in the workplace shall result in termination.*

SECTION XVII: GRIEVANCE AND APPEAL

The consequences specified by 49 CFR Part 40.149 (c) for a positive test or test refusal is not subject to arbitration. The MRO is the only person permitted to change a verified test result. An arbitrator is not permitted to overturn the medical judgment of the MRO that the employee failed to present a legitimate medial explanation for a positive, adulterated, or substituted test result of his or her specimen.

SECTION XVIII: PROPER APPLICATION OF THE POLICY

TCATA is dedicated to assuring fair and equitable application of this substance abuse policy. Therefore, supervisors/managers are required to use and apply all aspects of this policy in an unbiased and impartial manner. Any supervisor/manager who knowingly disregards the requirements of this policy, or who is found to deliberately misuse the policy in regard to subordinates, shall be subject to disciplinary action, up to and including termination.

SECTION XIX: INFORMATION DISCLOSURE.

Drug/alcohol testing records shall be maintained by the TCATA Drug and Alcohol Program Manager and, except as provided below or by law, the results of any drug/alcohol test shall not be disclosed without express written consent of the tested employee.

- 1) The employee, upon written request, is entitled to obtain copies of any records pertaining to their use of prohibited drugs or misuse of alcohol including any drug or alcohol testing records. Covered employees have the right to gain access to any pertinent records such as equipment calibration records, and records of laboratory certifications. Employees may not have access to SAP referrals and follow-up testing plans.
- 2) Records of a verified positive drug/alcohol test result shall be released to the Drug and Alcohol Program Manager, Department Supervisor on a need to know basis.
- 3) Records will be released to a subsequent employer only upon receipt of a written request from the employee.
- 4) Records of an employee's drug/alcohol tests shall be released to the adjudicator in a grievance, lawsuit, or other proceeding initiated by or on behalf of the tested individual arising from the results of the drug/alcohol test. The records will be released to the decision-maker in the proceeding. The information will only be released with binding stipulation from the decision maker will make it available only to parties in the proceeding. Records will be released to the National Transportation Safety Board during an accident investigation.

- 5) Information will be released in a criminal or civil action resulting from an employee's performance of safety-sensitive duties, in which a court of competent jurisdiction determines that the drug or alcohol test information is relevant to the case and issues an order to the employer to release the information. The employer will release the information to the decision-maker in the proceeding with a binding stipulation that it will only be released to parties of the proceeding.
- 6) Records will be released to the DOT or any DOT agency with regulatory authority over the employer or any of its employees.
- 7) Records will be released if requested by a Federal, state or local safety agency with regulatory authority over TCATA or the employee.
- 8) If a party seeks a court order to release a specimen or part of a specimen contrary to any provision of Part 40 as amended necessary legal steps to contest the issuance of the order will be taken.
- 10) In cases of a contractor or sub-recipient of a state department of transportation, records will be released when requested by such agencies that must certify compliance with the regulation to the FTA.

SECTION XX: SYSTEM CONTACTS.

Contact Person(s): General Manager **Bill Purvis** (Telephone (269)927-2268) and Assistant Director, **TJ Taylor** ((Telephone (269)927-2268) have been designated as the Contact Persons for Twin Cities Area Transportation Authority, 275 East Wall St., Benton Harbor, Michigan 49022. Positive alcohol results will be released only to the above named contact persons.

Drug and Alcohol Program Manager

Name: TJ Taylor

Title: Assistant Director

Address: 275 East Wall St., Benton Harbor, Michigan

Telephone Number: 269-927-2268

ATTACHMENT A

A covered employee is considered to be performing a safety-sensitive function during any period in which he or she is actually performing, ready to perform, or immediately available to perform any safety-sensitive functions as described in the regulations and listed below:

1. Operating a revenue service vehicle, whether or not the vehicle is actually in revenue service.
2. Operating a non-revenue service vehicle when required to be operated by a holder of a CDL (i.e., employee whose job description requires a CDL).
3. Controlling the dispatch or movement of a revenue service vehicle.
4. Maintaining a revenue service vehicle or equipment used in revenue service.
(Contractors are exempt due to the population of our service area is under 200,000.)

Specific job titles covered under the above include the following:

Vehicle Operators
Mechanics (including Body Repair employees)
Service Workers (including Building & Grounds)
Operations Supervisor
Dispatchers
Route Supervisors
Safety & Training Officer
Vehicle Maintenance Supervisor
Vehicle Maintenance Foreman

ATTACHMENT B ALCOHOL FACT SHEET

Alcohol is a socially acceptable drug that has been consumed throughout the world for centuries. It is considered a recreational beverage when consumed in moderation for enjoyment and relaxation during social gatherings. However, when consumed primarily for its physical and mood-altering effects, it is a substance of abuse. As a depressant, it slows down physical responses and progressively impairs mental functions.

Signs and Symptoms of Use

- Dulled mental processes
- Lack of coordination
- Odor of alcohol on breath
- Possible constricted pupils
- Sleepy or stuporous condition
- Slowed reaction rate
- Slurred speech

(Note: Except for the odor, these are general signs and symptoms of any depressant substance.)

The chronic consumption of alcohol (average of three servings per day of beer [12 ounces], whiskey [1 ounce], or wine [6 ounce glass]) over time may result in the following health hazards:

Decreased sexual functioning

- Dependency (up to 10 percent of all people who drink alcohol become physically and/or mentally dependent on alcohol and can be termed "alcoholic")
- Fatal liver diseases
- Increased cancers of the mouth, tongue, pharynx, esophagus, rectum, breast, and malignant melanoma
- Kidney disease
- Pancreatitis
- Spontaneous abortion and neonatal mortality
- Ulcers
- Birth defects (up to 54 percent of all birth defects are alcohol related).

Social Issues

- Two-thirds of all homicides are committed by people who drink prior to the crime.
- Two to three percent of the driving population is legally drunk at any one time. This rate is doubled at night and on weekends.
- Two-thirds of all Americans will be involved in an alcohol-related vehicle accident during their lifetimes.
- The rate of separation and divorce in families with alcohol dependency problems is 7 times the average.
- Forty percent of family court cases are alcohol problem related

- Alcoholics are 15 times more likely to commit suicide than are other segments of the population.
- More than 60 percent of burns, 40 percent of falls, 69 percent of boating accidents, and 76 percent of private aircraft accidents are alcohol related.

- The Annual Toll
 - 24,000 people will die on the highway due to the legally impaired driver.
 - 12,000 more will die on the highway due to the alcohol-affected driver.
 - 15,800 will die in non-highway accidents.
 - 30,000 will die due to alcohol-caused liver disease.
 - 10,000 will die due to alcohol-induced brain disease or suicide.
 - Up to another 125,000 will die due to alcohol-related conditions or accidents.

- Workplace Issues
 - It takes one hour for the average person (150 pounds) to process one serving of an alcoholic beverage from the body.
 - Impairment in coordination and judgement can be objectively measured with as little as two drinks in the body.
 - A person who is legally intoxicated is 6 times more likely to have an accident than a sober person is.

ATTACHMENT C DRUG TESTING PANEL

The DOT testing at HHS-certified laboratories will continue to be a 5-panel drug test regimen.

This 5-panel regimen will remain:

- (1) Marijuana (THC)
- (2) Cocaine
- (3) Amphetamines
- (4) Opiates
- (5) Phencyclidine (PCP)

Broken out, here is what drug testing will look like effective October 1, 2010, with the new confirmatory testing being in **bold**. Please note that laboratories have always conducted confirmatory testing for 6-AM when appropriate.

- Marijuana(THC)
- Cocaine
- Amphetamines
 1. Amphetamine
 2. Methamphetamine
 3. MDMA
 4. MDA
 5. MDEA
- Opiates
 1. Codeine
 2. Morphine
 3. 6- AM (heroin)
- Phencyclidine (PCP)

ATTACHMENT D COLLECTION PROCEDURES

All urine drug testing will be performed in accordance with DOT regulations, consistent with 49 CFR Part 40, as amended, and Department of Health and Human Service Administration DHHS certified laboratory. The controlled substances testing will include the following five drugs: marijuana, cocaine, opiates, amphetamines and phencyclidine.

All urine samples will be collected in a location designated by the Authority and each sample will be separated into two (2) separate specimens, the primary and the split samples.

The following are the minimum requirements for the collection site:

- 1) Privacy enclosure for urination
- 2) Toilet or void receptacle
- 3) Clean writing surface
- 4) Water source for hand washing, outside privacy enclosure (to be done prior to collection)
- 5) Visually inspected prior to collection
- 6) Restricted access during collection
- 7) Bluing agent in receptacle water
- 8) Other water sources in privacy enclosure turned off or secured
- 9) Instructions for donors explaining their responsibilities in specimen collection
- 10) Secure storage location for specimens and specimen collection procedures

The following drug testing procedures will be followed:

- 1) The site collector verifies employee identity utilizing a picture ID
- 2) Donor checks outer garments within the collection site.
- 3) Collection site personnel inspects collection room before and after each specimen collection
- 4) Employee washes hands prior to collection
- 5) Employee selects wrapped single specimen collection cup
- 6) Employee is directed to privacy enclosure and asked to provide at least 45 milliliters of urine
- 7) The temperature of the specimen will be checked
- 8) The specimen will be visually examined for signs of tampering or adulteration
- 9) The specimen for DOT testing only will be split into two specimen bottles (30-ml primary sample). NonDOT specimens will not be split.
- 10) Both specimens will be labeled and sealed in full view of the employee
- 11) Employee must initial labels after labels are applied to bottles
- 12) The specimens will be labeled and the USDOT custody and control form completed for FTA tests only
- 13) Both specimens will be shipped in a single shipping container with the drug testing custody and control form

All urine samples will be sealed with tamper resistant tape, in the presence of the donor, to affirm integrity of the samples. A USDOT Chain of Custody and Control Form with a unique identification number will be used for both DOT and Non-DOT testing. These samples will be kept secure until shipped to the testing laboratory.

Observed collections: In order to guard against employee attempts to mask the testing process, the number of situations requiring direct observation has increased to include return-to-duty and follow-up testing with regards to employers that have second chance policies in place. The manner in which the observations will be conducted has also been redefined to ensure that prosthetic devices may not be successfully and easily employed to mask illicit drug use. Observed collections are required in the following circumstances:

1. All return-to-duty tests;
2. All follow-up tests;
3. Anytime the employee is directed to provide another specimen because the temperature on the original specimen was out of the accepted temperature range of 90-100 degrees F.
4. Anytime the employee is directed to provide another specimen because the original specimen appeared to have been tampered with;
5. Anytime a collector observes materials brought to the collection site or the employee's conduct clearly indicates an attempt to tamper with a specimen;
6. Anytime the employee is directed to provide another specimen because the laboratory reported to the MRO that the original specimen was invalid and the MRO determined that there was not an adequate medical explanation for the result;
7. Anytime the employee is directed to provide another specimen because the MRO determined that the original specimen was positive, adulterated or substituted, but had to be cancelled because the test of the split specimen could not be performed.

An immediate unobserved collection will be required following a negative dilute. Should this second test result in a negative dilute result, the test will be considered a negative and no additional testing will be required unless directed to do so by the MRO.

If observed collections are required, they must be made by individual of the same gender as the donor.

If the employee provides insufficient volume on initial specimen the following will be accomplished:

- 1) Original specimen (insufficient volume) will be discarded.
- 2) Individual remains at collection site until an adequate second specimen is given.
- 3) If a specimen is not provided within three (3) hours after consuming up to 40 ounces of water- the employee shall be referred for a medical examination.
- 4) Medical examination will look for ascertainable physiological conditions or documented pre-existing psychological disorders present at the time of the examination.

**ATTACHMENT E
MEDICAL REVIEW OFFICER (MRO)
RESPONSIBILITIES**

- 1) Notify employee of confirmed positive test result
- 2) Provide employee an opportunity to discuss/explain the confirmed test result
- 3) Review employee's medical history/medical records
- 4) Verify laboratory results
- 5) Notify employer of verified test result
- 6) MRO can verify test as positive if employee refuses to participate in verification process
- 7) Inform employee of right to request split specimen test. Split specimen results are reported to TCATA regardless of who pays for the test.
- 8) Process employee's request for a split sample (MRO/TCATA cannot deny the split specimen test if the employee request it-even if they can't pay for it)
- 9) Notify employer of when a retest is required
- 10) Notify employer of use of other performance deteriorating substances by a safety-sensitive employee.
- 11) MRO must report adulterated specimens directly to TCATA and not the employee- adulterated specimens are considered test refusals
- 12) Maintains all necessary records.

The Medical Review Officer may verify a test as positive without having communicated directly with the employee about the test in three circumstances:

- 1) The employee expressly declines the opportunity to discuss the test;
- 2) MRO must make three (3)-documented attempts in 24 hours to contact the employee. If unable to contact, the MRO will notify the DER and instruct them to contact the employee. The DER will instruct the employee, if able to contact, that he/she must contact the MRO immediately, but no later than 72 hours.
- 3) The DER has successfully made and documented a contact with the employee and instructed the employee to contact the MRO, and more than 72 hours has passed since the date the employee was successfully contacted by the designated employer representative; or
- 4) The DER cannot contact the employee within 24 hours of the MRO notification and the employee fails to contact the MRO within 10 days; or
- 5) There is no contact by the MRO or the DER for ten days.

If a test is verified positive under the circumstances specified above, the employee may present the MRO information documenting that serious illness, injury, or other circumstances unavoidably prevented the employee from being contacted by the MRO or designated employer representative or from contacting the MRO within the times provided. The MRO, on the basis of such information, may reopen the verification, allowing the employee to present information concerning a legitimate explanation for the confirmed positive test. If the MRO concludes that there is a legitimate explanation, the MRO declares the test to be negative. In the event of a positive drug test result, the MRO will notify the donor that he or she has 72 hours to request that the split sample be forwarded to another DHHS certified laboratory for analysis.

ADA PARATRANSIT PLAN

**Twin Cities Area Transportation
Authority
275 East Wall
Benton Harbor, MI 49022**

Contact person: Veronica Bragg

Telephone: 269-927-2268

Fax: 269-927-2310

E Mail: office@tcatabus.org

Board Approval Date _____

Chairperson's Signature _____

PURPOSE

The purpose of this plan is to implement the Twin Cities Area Transportation Authority (TCATA) Paratransit plan required by Federal Regulation, 49 CFP 37.135. This regulation is also referred to as the Americans with Disability Act of 1990.

TCATA had a Triennial Review July 15, 2011 and a deficiency in the ADA section in the triennial. This deficit was caused by the expansion of the line haul hours. A complimentary Paratransit plan is required because the Demand Response hours were not expanded to cover ADA passengers.

PLAN CONTENT

Chapter 1. Introduction

- Process

Chapter 2. Description of Current ADA Paratransit Service

Appendix A

Chapter 3. Current and Emerging Issues

Chapter 4. Description of Requirement, Current Policy New Policy ADA Paratransit Service.

- Service Area
- Eligibility
- Fares
- Hours of Service
- Reservations
- No- Show Policy
- Subscription Service
- Visitors

Appendix A- Appeals Process

Appendix B- Inventory

Appendix C- Fares

Appendix D- No Show Policy

Appendix E- Quick View

Chapter 1.Introduction

Twin Cities Area Transportation Authority (TCATA) is required by Federal Regulation, 49 CFR 37.135, to update the ADA Paratransit Plan in conjunction with Board approval changes to service.

Chapter 2.Description of Fixed Routes prior to November 23, 2011 and Current ADA Paratransit Services

Prior to November 23, 2011 the Fixed Routes ran the same hours as the Demand Response system ran so there were no ADA issues.

TCATA adopted a policy on that date to expand the fixed route hours to with four buses, all accessible. The Fixed Route expansion is funded by Job Access and Reverse Commute (JARC). TCATA is required to have an origin to destination ADA Paratransit Plan because no Demand Response is available during the JARC funded fixed route service.

Appendix A has the vehicle inventory.

Chapter 3. Current and Emerging Issues

A computer program will be designed to track the ADA eligible paratransit riders. This system will allow the riders information to be changed only at one location. This will insure the personal information and eligibility of the paratransit passengers is under one control.

Employee training is required to implement the Paratransit Plan.

Chapter 4. Description of Requirements and ADA Paratransit Service Plan.

SERVICE AREA

ADA REQUIREMENT

All areas within $\frac{3}{4}$ mile of fixed route bus line

TCATA'S ADA PLAN

TCATA hereby establishes the service area for paratransit service as the area included within $\frac{3}{4}$ of a mile of fixed route. This service area does not include the commuter route in Stevensville.

See appendix for of map of buffer zone $\frac{3}{4}$ miles from the fixed route.

See appendix for map of no service area.

ELIGIBILITY

ADA REQUIREMENT

Public entities required by 49 CFR PART 37.123 of this subpart to provide the service to the eligible ADA passengers unable to independently use Fixed Route base on a disability.

TCATA'S ADA PLAN

Paratransit service will be defined as service to persons with disabilities meeting the ADA requirements as defined in (49 CFR PART 37.123)

A physician or agency professional verification asks you to designate the health care or human service professional that is most familiar with your "ability to travel." The person you designate could be a doctor, physical or occupational therapist, an agency professional

who is very familiar with your mobility. TCATA may contact that person to verify your mobility limitations. If, by a date 21 days following the submission of a complete application, the entity has not made a determination of eligibility, the applicant shall be treated as eligible and provided service until and unless the entity denies the application. Your certification will expire after a 5-year time period. Two months prior to the end of that 5-year period, you will be notified and provided with a Certification Renewal form.

*Appendix A has Appeals Process

FARES*

ADA REQUIREMENT

No more than twice the Fixed Route fare. A personal care attendant rides free. Companions pay the same fare as eligible paratransit riders.

TCATA'S ADA PLAN

All customers on the paratransit service are required to pay the exact fare to receive service. The exact fare per trip can be a one-way fare, punch card, token or prepaid by an agency. The fare shall not exceed twice the fare that would be charged on TCATA's fixed route system. Personal care attendants ride free. Companions pay the same fare as the eligible paratransit rider.

*Appendix B has the fare structure and service hours.

HOURS of SERVICE *

ADA REQUIREMENT

The complementary paratransit service shall be available throughout the same hours and days as the entity's fixed route service.

TCATA'S ADA PLAN

ADA paratransit service is provided during the same days and hours of service as the fixed route service. Paratransit will also follow any abbreviated schedule as defined by the fixed route service on holidays or emergency closings. The service hours for the paratransit service will expand and contract if the fixed route days or hours of service are affected.

(Service hours are subject to change)

*Appendix C has the service hours.

RESERVATIONS

ADA REQUIREMENT

The ADA requires that TCATA schedule and provides service at least one day in advance.

Negotiate time no more than one hour before or after the request time

Operate calls center within the normal business hours or the organization.

TCATA'S ADA PLAN

The TCATA call center will operate at a minimum within the normal business hours of the organization. These hours are 6:00 a.m. to 6:00 p.m. Monday through Friday. Reservations are not necessary during normal business hours. Customers can call up to six days in advance to reserve their rides.

They are accepted up to 5 p.m. the day before the service is needed. The reservation number is 269-927-2268.

NO SHOW POLICY*

ADA REQUIREMENT

The entity may establish an administrative process to suspend, for a reasonable period of time the provision to complementary paratransit service to ADA eligible individuals who establish a pattern or practice of missing scheduled trips.

TCATA'S ADA PLAN

Operates a no-show policy that includes a suspension of service that will be addressed according to passenger usage. The suspension period progresses throughout the calendar year.

*See appendix D for no show policy

SUBSCRIPTION POLICY

ADA REQUIREMENT

Subscription service may not absorb more than 50% percent of the number of trips in any given time of a day, unless there is non-subscription capacity.

TCATA'S ADA PLAN

Capacity constraints are established. There are no trip purpose restrictions or prioritization considered in applying for subscription service. Subscriptions are reviewed on regular basis to maximize productivity and efficiency.

Subscriptions may be cancelled on designated holidays or emergency closings. Passengers who make the same trip on the same day and at the same time, at least once a week for 30 days may request a subscription service.

VISITORS

ADA REQUIREMENT

A visitor is one that does not reside in ones jurisdiction. All visitors that present documents shall be eligible. Visitors with disabilities that do not present documentation, the entity may require documentation of the place of residence and, if the disability is not apparent, of his or her disability.

TCATA'S ADA PLAN

Visitors that present documentation of their ADA paratransit eligibility will have complementary service.

SERVICE QUALITY

ADA REQUIREMENT

No limit on availability of paratransit service to eligible customers. No capacity on trips. No waiting list. No substantial number of: Denials or missed trips, significant late pick-ups, excessively long ride time, long hold times. TCATA designate the “base” level of rider assistance that they provide as origin to destination. TCATA will provide additional assistance beyond the curb if this is needed for eligible riders to complete their trips.

TCATA'S ADA PLAN

Provide paratransit service that maintains service quality requirements as it relates to on time performance, denials, ride times and telephone hold times that are comparable to the fixed route system and not excessive. ADA passenger ride time is defined as equal to the

time between origin and destination it takes to make the same trip by fixed route including ride time and walking to and from the bus stops and transfers.

APPENDIX A

APPEAL PROCESS

When TCATA receives your **completed** application, it will be reviewed for eligibility. You will be notified within 21 days if your application is approved, approved with conditions, or denied. If your application is approved with conditions or not approved, you have the right to appeal and have an opportunity to provide additional information for reconsideration. You will receive the appeal process with your letter.

APPENDIX B

TCATA VEHICLE INVENTORY

INV NO	BODY MAKE	YEAR	Accessible Vehicle	Mode of Operation
5	FORD	98	No	Demand
6	FORD	2007	Yes	Demand
7	FORD	2010	Yes	Demand
8	FORD	2010	Yes	Demand
9	Ford	2007	Yes	Demand
10	FORD	2007	Yes	Demand
11	Ford	2007	No	Demand
12	Ford	2006	Yes	Demand
14	FORD	2010	Yes	Demand
15	Ford	2006	Yes	Demand
16	Ford	2006	No	Demand
17	FORD	2010	Yes	Demand
18	FORD	2010	Yes	Fixed
19	FORD	2010	Yes	Demand
20	FORD	2010	Yes	Demand
21	FORD	2007	Yes	Demand
22	Ford	2006	Yes	Demand
23	FORD	2007	Yes	Demand
24	FORD	2010	Yes	Demand
25	FORD	2010	Yes	Demand
26	FORD	2010	Yes	Fixed
27	Ford	2007	Yes	Demand
28	Ford	2006	Yes	Demand
29	FORD	2010	Yes	Fixed
30	FORD	2010	Yes	Fixed

When bus 11 & 16 are eligible they will be replaced with accessible vehicles.

APPENDIX C

SERVICE HOURS

	Fixed Route	Demand Response
Weekday	6:00 A.M. to 10:00 P.M.	6:00 A.M. to 6:00 P.M.
Weekend	8:00 A.M. to 10:00 P.M.	8:00 A.M. to 5:00 P.M.

FARE STRUCTURE

	Demand Response		Royalton Township		
	Benton Harbor	Others	Benton Harbor	Others	
Regular	\$2.00	\$3.00	Regular	\$4.50	\$6.00
Seniors	1.00	1.50	Seniors	2.25	3.00
Medicare	1.00	1.50	Medicare	2.25	3.00
Disabled	1.00	1.50	Disabled	2.25	3.00
Children 1-11	1.25	2.00	Children 1-11	2.00	2.50

FIXED ROUTE SERVICE

Regular	\$1.00
Seniors	.50
Disabled	.50
ADA Eligible	.50
Children 1-11	.50

Purpose: to ensure the passenger is ready for pick-up upon the arrival of the transport vehicle

APPENDIX D

NO SHOW POLICY

Policy Statement: As Twin Cities Area Transportation Authority (TCATA) does coordinate specialized rides where possible and due to the fact that our TCATA public transportation has a schedule to adhere to, TCATA asks that all passengers are ready to leave at the scheduled departure time.

Guidelines:

1. Drivers are not responsible for any preparation of passengers for trips.
2. Passengers are responsible for being prepared for departure at the time agreed upon between TCATA and the passenger during scheduling.
3. The passenger should be prepared to board the vehicle up to five (5) minutes prior to and thirty (30) minutes after the scheduled pick-up time.

Consequences:

1. Failure to comply by a passenger may result in suspension of services.

Management Responsibilities:

TCATA management is responsible for monitoring and enforcing this policy. In addition, TCATA management is responsible for investigating all complaints of non-compliance fairly, thoroughly, and expeditiously and making decisions for or against disciplinary action in compliance with other TCATA policies.

APPENDIX E

QUICK VIEW

Service Area

$\frac{3}{4}$ mile of fixed route, not route to
Stevensville

Eligibility

ADA eligible of disability must decide in
twenty-one days

Fare

Disabled fare

Hours of Service

Same days and hours of fixed route

Reservations

Next day service accepted up to 5:00 pm for

Can call up to six days in advance

Not required during normal business hours

No Shows

Service suspension will be addressed according to passenger usage of not boarding vehicle, cancel at the door or cancellation one hour or less of scheduled trip.

Subscription

Subscription can be made to those who make same trip on the same day and at the same time at least once a week for thirty days. There are capacity constraints.

Visitors

Eligible ADA paratransit passengers with documentation example: other transit systems ADA cards.

Service Quality

Requirements as it relates to on time performance, denials, ride times and telephone hold times that are comparable to the fixed route system and not excessive.

TWIN CITIES AREA TRANSPORTATION AUTHORITY

AGENCY SAFETY PLAN

Accountable Executive _____

Board President _____

Date of Board Approval _____

Transit Agency Information

Transit Agency Name Twin Cities Area Transportation Authority
275 East Wall Street
Benton Harbor, MI 49022
(269) 927-2268

Name and Title of Paul Gillespie, Executive Director
Accountable Executive

Name of Chief Safety TJ Taylor, Assistant Director
Officer (CSO)

Modes of Service Fixed Route Bus; Demand Response Bus; Paratransit
Covered by this plan

FTA Funding Types 5307; 5339; CMAQ

TCATA does not provide transit services on behalf of another agency or entity.

Safety Performance Targets

According to the *Public Transportation Agency Safety Plan (49 CFR Part 673)* regulation, public transit agencies are required to set safety performance targets. These targets must be specific numerical targets set by agencies themselves. FTA has adopted four safety performance measures that TCATA will initially build a baseline for if none exists, and then set numerical goals for improvement, based on number of incidents per 100,000 vehicle revenue miles. The four areas are:

- **Fatalities.** TCATA has never had a fatality in its 45 years of operation and our target is to maintain this record.
- **Injuries.** TCATA currently has a limited baseline of injuries that are recorded through insurance and worker's compensation claims. Through our Safety Management System we will enhance the tracking of injuries and set future goals based on that data.
- **Safety Events and System Reliability.** TCATA does not currently have a system for tracking these two metrics but through our Safety Management System we will develop means to track accidents, incidents, and occurrences; as well as equipment breakdowns that require assets to be taken out of service.

Safety Management Policy Statement

The Managers and Board of Trustees of the Twin Cities Area Transportation Authority are committed to providing a safe working environment for all TCATA employees, a safe riding experience for TCATA passengers, and safe interactions with TCATA in all community engagements. Practices, procedures, and policies will be developed and implemented to attain these goals. Continuous evaluation and refinement will allow TCATA to create a culture of safety that extends throughout the agency. TCATA is committed to the following objectives regarding safety:

- **Communication** - TCATA management and safety related staff will communicate the purpose and benefit of our Safety Management System (SMS) to all personnel.
- **Reporting** - TCATA will establish mechanisms for the open reporting of all safety concerns. We will ensure that no action will be taken against any employee who submits a concern through the TCATA Employee Safety Reporting Program (ESRP), unless such disclosure indicates, beyond a reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- **Involvement** - TCATA will provide appropriate management involvement and the necessary resources to ensure that the ESRP process achieves its goal of encouraging employees to report and communicate unsafe work conditions, hazards, or at-risk behavior to the management team.
- **Identification** – TCATA staff will utilize the ESRP system and other means to identify hazards or unsafe working conditions and take steps to mitigate, improve, or eliminate risky behaviors or unsafe conditions.
- **Improvement** – TCATA will establish safety targets that are realistic, measurable, and data driven. Continually analyzing and improving our safety performance will ensure that our safety program is meeting our goals and targets.

Paul Gillespie, Twin Cities Area Transportation Authority, Executive Director and Accountable Executive

Annual Review and Update of the Safety Plan

The TCATA Safety Plan will be reviewed and updated as necessary by the Executive Director and Operations Manager/Chief Safety Officer by July 1st of each year. The Executive Director will approve any changes and sign the new TCATA Agency Safety Plan and forward to the Board of Trustees of TCATA for review and approval.

Safety Performance Target Coordination

The Accountable Executive worked closely with the Transportation Policy Director of the Southwest Michigan Planning Commission to develop the initial Agency Safety Plan (ASP), and will share and coordinate safety performance targets, ongoing staff safety efforts, and any revisions to the ASP with the MPO. The Accountable Executive of TCATA will provide a copy of our ASP to our Program Manager of the MDOT OPT. TCATA personnel will be available to coordinate and collaborate with MDOT or SWMPC staff upon request.

Safety Management Policy Communication

The TCATA Safety Management Policy will be distributed to all TCATA employees upon adoption by the Board. The SMP will be discussed at the annual TCATA in-service day. The SMP will be posted on all employee bulletin boards. The SMP will be incorporated into new-hire training and included in the employee handbook.

Authorities, Accountabilities, and Responsibilities

Accountable Executive-Paul Gillespie

The Executive Director of TCATA serves as the Accountable Executive under the Agency Safety Plan with the following authorities and responsibilities:

- Controls and directs human and capital resources needed to develop and maintain the ASP and SMS.
- Designates and supervises an adequately trained Chief Safety Officer.
- Ensures that TCATA's Safety Management System (SMS) is effectively implemented.
- Ensures action is taken to address substandard performance in TCATA's SMS.
- Assumes ultimate responsibility for carrying out TCATA's ASP and SMS.
- Maintains responsibility for carrying out the agency's Transit Asset Management Plan.
- Chairs and leads the TCATA Safety Committee.
- Reviews all ESRP documents.

Chief Safety Officer-TJ Taylor

The Assistant Director/Operations Manager of TCATA is the Chief Safety Officer of the agency with the following authorities and responsibilities:

- Develops TCATA's ASP and SMS policies and procedures.
- Oversees day-to-day operation of TCATA's SMS.
- Manages the TCATA ESRP.
- Serves on TCATA Safety Committee.
- Advises the Accountable Executive on SMS progress and status, identifies substandard performance in the SMS, and ensures TCATA policies are consistent with safety objectives.
- Provides Safety Risk Management (SRM) expertise and support for TCATA personnel who conduct Safety Assurance activities.

Agency Leadership and Management

Agency leadership and management also have authorities and responsibilities for day-to-day SMS implementation and operation:

- Dispatch Supervisor-Richard Lee
- Maintenance Coordinator-Ryan Douglas
- Office/HR Manager-Veronica Bragg

- Grant/Procurement Manager-Desha King

Authorities, accountabilities, and responsibilities include:

- Participate as members of the TCATA Safety Committee
- Complete training on SMS and ASP
- Oversee day to day operations of the SMS in their departments.
- Provide subject matter expertise to support SMS to the Accountable Executive.

Key Staff

Safety Committee

- TCATA will establish a Safety Committee to meet monthly to consider issues related to the SMS and ASP. Members will include the Accountable Executive, the Chief Safety Officer, and other managers and/or Union representatives as required.

Employee Safety Reporting Program

TCATA encourages employees who identify safety concerns in their day-to-day duties to report them to senior management in good faith without fear of retribution. Ways to report include:

- Fill out an Employee Safety Reporting Program form and submit it to the Dispatch office, Operations Manager, Executive Director, or Office Manager.
- To report anonymously, fill out ESRP form and drop it in the locked box in the employee break room.
- Report conditions online using their name or anonymously to either the Executive Director at pgillespie@tcatabus.org or the Chief Safety Officer at tjtaylor@tcatabus.org
- Report conditions directly to any supervisor, manager, or director.

Examples of information that might be included in an ESRP form:

- Concerns about safety in the operating environment. (For example, road conditions or vehicle or facility conditions.)
- Policies or procedures that are not working as intended. (For example, not enough time allowed to complete pre-trip inspection.)
- Events that senior managers might not otherwise know about.
- Information about why a safety event occurred.
- Ideas on how to make the agency safer.

Daily, the CSO will check all the different reporting methods. Issues of immediate concern (for instance, a sinkhole in the driveway,) are shared with the AE and are addressed immediately. Each report, whether paper or electronic, will be entered into the TCATA Safety Risk Register. On a monthly basis, the Safety Committee will address each report individually. The committee will recommend actions for the AE or CSO to take to address concerns. If the employee provided his or her name, the CSO or AE will follow up individually, describing what if any actions were taken to address or mitigate the problem.

TCATA encourages participation in the ESRP process by protecting employees that report safety conditions in good faith. However, TCATA may take disciplinary action if the report involves any of the following:

- Willful participation in illegal activity, such as assault or theft,
- Gross negligence, such as knowingly utilizing heavy equipment for purposes other than intended such that people or property are put at risk,

- Deliberate or willful disregard of proper work behavior, such as showing up for work intoxicated.

Safety Risk Management Process

The Safety Risk Management process at TCATA is how we ensure the safety of all operations, passengers, employees, vehicles, and equipment. Hazards are identified, assessed, and resolved. The SRM process allows us to examine what could cause harm and whether we have taken the necessary steps to minimize, eliminate, or mitigate the issue.

The CSO and AE work together with the Safety Committee to carry out the SRM process. Actions taken by the Safety Committee are documented in the Safety Risk Register.

In carrying out the SRM process, TCATA uses the following terms:

- Event-Any accident, incident, or occurrence.
- 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 belonging to TCATA; or damage to the environment.
- Risk-Composite of predicted severity and likelihood of the potential effect of a hazard.
- Risk Mitigation-Method(s) to eliminate or reduce the effects of hazards.
- Consequence-An effect of hazard involving injury, illness, death, or damage to TCATA property or the environment.

Safety Hazard Identification

The TCATA safety hazard identification process offers us the ability to identify hazards and potential consequences in the operation of our agency. Hazards can be identified through a variety of sources, including:

- ESRP forms
- Review of vehicle camera footage.
- Review of monthly performance data and safety performance targets.
- Supervisor observations.
- Maintenance reports.
- Comments from customers, passengers, vendors, and third parties, including the Michigan Transit Pool.
- TCATA safety committee, drivers, and In-service day training.
- Results of audits and inspections of vehicles and facilities.
- Results of training assessments.
- Investigations into safety events, incidents, and occurrences.

- Federal Transit Administration (FTA), Michigan Department of Transportation (MDOT), and other oversight authorities.

-

All safety concerns no matter the source are reported to the CSO. The procedures for reporting are reviewed by the Safety committee. All hazards identified are entered into the Safety Risk Register. In following up on identified hazards, the CSO may:

- Reach out to the reporting party, if available, to gather all known information about the reported hazard.
- Conduct a walkthrough of the identified area, assessing the possible hazardous condition, generating visual documentation such as photos or videos, and taking any measurements deemed necessary.
- Conduct interviews to gather relevant information on the hazard.
- Review any documents associated with the hazard.
- Contact other departments that may have association with or knowledge of the reported hazard.
- Review any past reported hazards of a similar nature.

Any identified hazard that poses a real threat to life, property, or the environment must be immediately brought to the attention of the AE and addressed either with or without the Safety committee for assessment and mitigation. In these cases the CSO believes immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of EPA or any State of Michigan environmental protection standards.

Safety Risk Assessment

TCATA assesses all identified safety hazards based on the likelihood (how often) and severity (how bad) of the consequences of the hazard.

Safety Risk Matrix:

Likelihood - High (1) Medium (2) Low (3)

Severity - High (A) Medium (B) Low(C)

- "High" hazard ratings will be considered unacceptable and require action from TCATA to mitigate the risk.
- "Medium" hazard ratings will be considered undesirable and require the TCATA safety committee to make a decision regarding their acceptability.
- "Low" hazard ratings may be accepted by the safety committee without further action or review.

The TCATA CSO schedules safety risk assessment of identified hazards at the monthly safety committee meeting. The CSO will facilitate completion of relevant sections of the Safety Risk Register. Relevant safety documents will be kept on file for a period of three years from the date of generation.

Safety Risk Mitigation

TCATA's AE and CSO review current methods of safety risk mitigation and establish methods or procedures to mitigate or eliminate safety risk based on recommendations of the Safety Committee. Prioritization of mitigation is based on safety risk assessment. In the Safety Risk Register, the CSO will document any specific measures or activities that will be conducted to monitor the effectiveness of mitigations once implemented.

Safety Assurance

The TCATA Safety Assurance process is intended to:

- Evaluate our compliance with our own procedures.
- Assess the effectiveness of our mitigation strategies.
- Investigate safety events to identify causes.
- Analyze information from all sources.

TCATA has a variety of sources to monitor and measure our safety performance.

- Safety audits
- Informal inspections
- Onboard camera footage.
- ESRP reports
- Regular vehicle inspections and preventative maintenance

The Chief Safety Officer works with the Safety Committee and the Accountable Executive to carry out and document all monitoring activities.

Safety Promotion

Safety Promotion involves the training, awareness, and communication that support safety. Part 673 requires each transit agency to establish competencies and training for all agency personnel directly responsible for safety, and to establish and maintain the means for communicating safety performance and safety management information.

In 2021, all TCATA employees will participate in the TAPTCO (Transit and Paratransit Company) *Transit Operator Development Course*. The 33 subjects are as follows:

1. Introduction to Professional Driving
2. Federal Regulations
3. Safety Best Practices
4. LLLC Defensive Driving
5. Hazard Identification and Mitigation
6. Introduction to the Bus
7. Pre and Post Trip Inspections
8. Mirror Adjustment and Reference Points
9. Preventing Rear End Collisions
10. Preventing Intersection Accidents
11. Railroad Crossings
12. Pedestrian and Bicycle Awareness
13. Preventing Backing Accidents
14. Merging, Lane Changing, and Passing
15. Adverse Driving Conditions
16. Operating Electric Powered Buses
17. Preventing Driver Fatigue
18. Preventing Driver Distractions
19. Hazards Communications
20. Injury Prevention-Slips, trips, and Falls
21. Using Maps and GPS
22. Employee Safety Reporting Program
23. Health and Wellness
24. Professionalism and Customer Service
25. Conflict and Aggression Management
26. ADA Compliance and Sensitivity
27. Mobility Devices
28. Whistleblower
29. Preventing Harassment

- 30. Drug and Alcohol Awareness
- 31. Bloodborne Pathogens
- 32. Emergency Evacuations
- 33. What to do in the Event of an Accident

Definition of Terms Used in the Safety Plan

TCATA incorporates all of FTA's definitions that are in 49 CFR 673.5 of the Public Transportation Agency Safety Plan regulation.

- **Accident** means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
- **Accountable Executive** means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, 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** means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.
- **Event** means any Accident, Incident, or Occurrence.
- **Hazard** means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
- **Incident** means an event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.
- **Investigation** means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.
- **National Public Transportation Safety Plan** means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
- **Occurrence** means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
- **Operator** of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302(14).
- **Performance measure** means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

- **Performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA).
- **Public Transportation Agency Safety Plan** means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.
- **Risk** means the composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk mitigation** means a method or methods to eliminate or reduce the effects of hazards.
- **Safety Assurance** means processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
- **Safety Management Policy** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and res-
- **Safety Management System (SMS)** means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
- **Safety Management System (SMS) Executive** means a Chief Safety Officer or an equivalent.
- **Safety performance target** means a Performance Target related to safety management activities.
- **Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
- **Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.
- **Safety Risk Management** means a process within a transit agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
- **Serious injury** means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
- **Small public transportation provider** means a recipient or 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 operate a rail fixed guideway public transportation system.
- **State** means a State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

- **State of good repair** means the condition in which a capital asset is able to operate at a full level of performance.
- **Transit agency** means an operator of a public transportation system.
- **Transit Asset Management Plan** means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

Commonly Used Acronyms

ADA	Americans with Disabilities Act of 1990
CEO	Chief Executive Officer
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
MDOT	Michigan Department of Transportation
MPO	Metropolitan Planning Organization
PTASP	Public Transportation Agency Safety Plan
SA	Safety Assurance
SMP	Safety Management Policy
SMS	Safety Management System
SRM	Safety Risk Management
SWMPC	Southwest Michigan Planning Commission
TCATA	Twin Cities Area Transportation Authority
U.S.C.	United States Code
VRM	Vehicle Revenue Miles

**Twin Cities Area
Transportation Authority**

Vehicle Maintenance Plan

Board Chairman _____

Approval Date _____

Twin Cities Area Transportation Authority

Vehicle Maintenance Plan

Maintenance Policy Statement

The goal of the Twin Cities Area Transportation Authority Vehicle Maintenance Policy is to ensure the safe and reliable operation of all vehicles entrusted to the agency, to provide a secure and dependable working environment for our drivers, and to promote a clean and comfortable experience for our passengers. We accomplish this goal through four primary ways:

- Daily Pre-Trip and Post-Trip Inspections
- Routine Service and Preventative Maintenance
- Semi-Annual Safety Inspections
- Accurate and Timely Record Keeping

Daily Inspections and Cleaning

The purpose of daily pre-trip and post trip inspections is to confirm the safe condition of all essential functions of the vehicle. An inspection will be performed each time a vehicle leaves the facility. These visual inspections are conducted by the driver both before and after their shift and recorded on a paper form (See attachment A). If a vehicle is found to have significant defects it will be scheduled for repair and held out of service until repairs are completed. The inspection form will be held in a maintenance office file dedicated to that vehicle. If any repairs are needed, the maintenance coordinator will create a work order and submit that along with the inspection form to the office for the vehicle's permanent record.

TCATA vehicles are cleaned both inside and out on a daily basis. The TCATA bus washer, under the supervision of the Maintenance Coordinator and Operations Manager, is responsible for exterior cleaning using the power washer and interior cleaning of all frequently touched surfaces daily and a more complete interior cleaning on a weekly basis.

Routine Service and Preventative Maintenance

Preventative Maintenance (PM) involves performing regularly scheduled maintenance services, adjustments, and inspections based on a predetermined interval of miles to ensure the safe operation of vehicles and to maximize the useful life of all FTA funded assets. Performing Multi-Point Inspections and oil changes are examples of preventative maintenance. TCATA maintenance staff conducts both monthly and every 7500 mile PM in accordance with manufacturer's recommended service intervals (See attachment B). Our methodology is to have TCATA office staff track the vehicle PM record and issue a PM checklist to the maintenance coordinator. These are issued when the scheduled service interval is 500 miles or less from the designated maintenance interval. The maintenance coordinator then schedules and conducts PM in a timely way that ensures that the work is done before the scheduled mileage and with a minimum of disruption to regular service. As part of our monthly PM, the wheelchair lift and bus security cameras undergo inspection and maintenance as required.

Regular, proactive preventative maintenance is the key to the success of our overall maintenance program. Making necessary repairs and adjustments promptly helps to prevent more expensive and significant damage later and helps us maintain vehicle safety. TCATA office staff is responsible for staying up to date on all necessary work to be done, the TCATA maintenance coordinator is responsible for making sure the work is completed, and the Operations Manager and Executive Director are responsible for regular oversight to make sure that work is being done in a cost effective and timely manner.

Semi-Annual Safety Inspections

The purpose of TCATA's Semi-Annual Safety Inspection is to regularly conduct a thorough, detailed, twice-a-year inspection of all our vehicle assets with the goal of making sure that every part and function of our vehicles is in good working order. The document that we use for this inspection is a 106-point checklist called the *Vehicle Safety Inspection Checklist* (See attachment C). Technicians who perform this work are required to be certified for the class of vehicles we use, so we subcontract out this work to D&S Heavy Duty Truck and Trailer Repair, Inc. of Sodus, Michigan. TCATA office staff identifies buses scheduled for safety inspections and notifies D&S who completes the work based on an existing contract. Inspection records are then kept in the vehicle maintenance file. The Operations Manager and Executive Director are responsible for regular oversight to ensure all buses are being inspected semi-annually.

Record Keeping

Keeping accurate, detailed, and complete vehicle maintenance records is essential to ensuring that TCATA's vehicles are being maintained properly. Each vehicle has its own maintenance file, and all vehicle maintenance becomes part of the vehicle's historical record. Each individual vehicle's file includes all daily inspections when an issue is identified, semi-annual safety inspections, and mileage based preventative maintenance records.

Warranties

A warranty is a manufacturer's assurance that a product will perform properly for a specific time or usage level. If a product fails to meet this assurance, the manufacturer is obligated to make restitution. This restitution usually consists of one or a combination of the following:

- Replace the defective item
- Repair the defective item
- Reimbursement for the cost of having item repaired
- Furnish a replacement part

The primary importance of a warranty program is that it partially offsets the cost to maintain a vehicle. Warranties cover new vehicles, many new/replacement parts, and most vendor's work. Any compensation from the manufacturer for costs incurred saves TCATA money.

TCATA office staff maintains a spreadsheet on all equipment that is covered under warranty. This information includes the name of the item, date of purchase, period of warranty, and what is covered under the warranty. Before any repair work is done or any item is repaired, TCATA office staff checks to make sure whether or not the work is covered under the warranty.

Training

Effective training is essential to the proper diagnosis of vehicle problems and their subsequent repair or replacement. As vehicles become increasingly complex and reliant upon electronic and computerized controls and monitoring systems, the need for adequate training becomes that much more important. TCATA management is committed to providing maintenance personnel the training that is required to do their jobs properly. Maintenance personnel attend the annual MDOT sponsored Transit Vehicle and Maintenance Seminar annually and additional training as required.

ATTACHMENT A

Daily Pre-trip and Post Trip Inspection

TWIN CITIES AREA TRANSPORTATION AUTHORITY

PRE/POST-TRIP INSPECTION FORM

This form is to be filled out at the beginning and end of each shift and then returned to dispatch office. Mark each line either OK or Needs Repair.

Driver _____ Bus# _____ Date _____

Starting Odometer _____ Ending Odometer _____

<u>Exterior</u>	<u>Pre-Trip</u>	<u>Post-Trip</u>	<u>Repair</u>	<u>Interior</u>	<u>Pre-Trip</u>	<u>Post-Trip</u>	<u>Repair</u>
Body Damage	___	___	___	Seat Belts	___	___	___
Tires	___	___	___	Wheelchair	___	___	___
Lug Nuts	___	___	___	Emerg. Exits	___	___	___
Cycle Lift	___	___	___	Horn	___	___	___
<u>Lights/Reflectors</u>				Wiper/Washer	___	___	___
Interior Lights	___	___	___	Fire Extinguisher	___	___	___
Headlights	___	___	___	Triangles	___	___	___
Turn Signals	___	___	___	Fuel Gauge	___	___	___
Brake Lights	___	___	___	Steering Play	___	___	___
Running/Clearance	___	___	___	Parking Brake	___	___	___
Stepwell Lights	___	___	___	Heater/AC	___	___	___
Hazard/4 way	___	___	___	2 Way Radio	___	___	___
Tail Lights	___	___	___	Cleanliness	___	___	___
Back-up Lights	___	___	___				

Driver Comments

Mechanic Comments (No action taken, repair pending, repair complete, work order#, etc.)

Mechanic Signature _____ Date _____

ATTACHMENT B
PREVENTATIVE MAINTENANCE CHECKLISTS

Twin Cities Area Transportation Authority

MONTHLY

Bus Preventative Maintenance Checklist

Requested by: Name _____ Date _____ Bus # _____

Serviced by: Name _____ Date _____ Odometer _____

___ Check engine oil Level.

___ Check function of all interior and exterior lights.

___ Check tires including spare for wear and proper pressure.

___ Check windshield washer fluid level.

___ Preventative Maintenance of Wheelchair Lifts (see checklist)

___ Preventative Maintenance of Bus Security Cameras (see checklist)

COMMENTS _____

Twin Cities Area Transportation Authority

MULTI-POINT INSPECTION CHECKLIST

(To be done at every scheduled maintenance)

Requested by: Name _____ Date _____ Bus # _____

Serviced by: Name _____ Date _____ Odometer _____

- Check accessory drive belt(s)**
- Check battery performance**
- Check engine air filter**
- Check exhaust system**
- Check exterior lamps and hazard warning system operation**
- Check fluid levels; fill if necessary**
(Brake, coolant recovery reservoir, automatic transmission, power steering and window washer)
- Check for oil and fluid leaks**
- Check horn operation**
- Check radiator, cooler, heater, and A/C hoses**
- Check suspension component for leaks or damage**
- Check steering and linkage**
- Check tires (including spare) for wear and proper pressure**
- Check windshield for cracks, chips, or pits**
- Check washer spray and wiper operation**

Twin Cities Area Transportation Authority

7,500/22,500/37,500/52,500/67,500/82,500/112,500/
127,500/142,500/157,500/172,500/187,500/202,500

Mile Bus Preventative Maintenance Checklist

(Circle One)

Requested by: Name _____ Date _____ Bus # _____

Serviced by: Name _____ Date _____ Odometer _____

___ Perform Multi-Point Inspection (Use multi point inspection checklist).

___ Change engine oil and filter.

___ Rotate front tires, inspect tire wear and measure tread depth.

___ Inspect wheels and related components for abnormal noise, wear,
Looseness, or drag.

COMMENTS _____

Twin Cities Area Transportation Authority

15,000/45,000/75,000/135,000/165,000/195,000

Mile Bus Preventative Maintenance Checklist

(Circle One)

Requested by: Name _____ Date _____ Bus # _____

Serviced by: Name _____ Date _____ Odometer _____

___ Perform Multi Point Inspection (Use multi point inspection checklist)

___ Change engine oil and filter.

___ Rotate front tires, inspect tire wear and measure tread depth.

___ Inspect wheels and related components for abnormal noise, wear, looseness, or drag.

___ Inspect automatic transmission fluid level.

___ Inspect brake pads, rotors, hoses, and parking brake.

___ Inspect engine cooling system strength and hoses.

___ Inspect exhaust system and heat shields.

___ Inspect steering linkages, ball joints, suspension, tie rod ends, driveshaft, and U-Joints.

Comments _____

TWIN CITIES AREA TRANSPORTATION AUTHORITY

30,000/90,000/120,000/180,000

Mile Preventative Maintenance Checklist

(Circle One)

Requested by: Name _____ Date _____ Bus # _____

Serviced by: Name _____ Date _____ Odometer _____

___ Perform Multi-Point Inspection (Use multi point inspection checklist).

___ Change engine oil and filter.

___ Rotate front tires, inspect tire wear and measure tread depth.

___ Inspect wheels and related components for abnormal noise, wear, looseness, or drag.

___ Inspect automatic transmission fluid level.

___ Inspect brake pads, rotors, hoses, and parking brake.

___ Inspect engine cooling system strength and hoses.

___ Inspect exhaust system and heat shields.

___ Inspect steering linkages, ball joints, suspension, tie rod ends, driveshaft, and U-joints

___ Replace engine air filter.

COMMENTS _____

Twin Cities Area Transportation Authority

60,000/120,000/180,000

Mile Bus Preventative Maintenance Checklist

(Circle One)

Requested by: Name _____ Date _____ Bus # _____

Serviced by: Name _____ Date _____ Odometer _____

Perform Multi Point Inspection (Use multi point inspection checklist)

Change engine oil and filter.

Rotate front tires, inspect tire wear and measure tread depth.

Inspect wheels and related components for abnormal noise, wear, looseness, or drag.

Inspect automatic transmission fluid level.

Inspect brake pads, rotors, hoses, and parking brake.

Inspect engine cooling system strength and hoses.

Inspect exhaust system and heat shields.

Inspect steering linkages, ball joints, suspension, tie rod ends, driveshaft, and U-Joints.

Replace engine air filter.

Change automatic transmission fluid and filter.

Replace front wheel bearing grease and grease seal if non-sealed bearings are used.

Comments _____

Twin Cities Area Transportation Authority

97,500

Mile Bus Preventative Maintenance Checklist

Requested by: Name _____ Date _____ Bus # _____

Serviced by: Name _____ Date _____ Odometer _____

___ Perform Multi Point Inspection (Use multi point inspection checklist).

___ Change engine oil and filter.

___ Rotate front tires, inspect tire wear and measure tread depth.

___ Inspect wheels and related components for abnormal noise, wear, looseness, or drag.

___ Replace spark plugs.

___ Replace rear axle fluid.

Comments _____

Twin Cities Area Transportation Authority

105,000

Mile Bus Preventative Maintenance Checklist

Requested by: Name _____ Date _____ Bus # _____

Serviced by: Name _____ Date _____ Odometer _____

___ Perform Multi Point Inspection (Use multi point inspection checklist)

___ Change engine oil and filter.

___ Rotate front tires, inspect tire wear and measure tread depth.

___ Inspect wheels and related components for abnormal noise, wear, looseness, or drag.

___ Inspect automatic transmission fluid level.

___ Inspect brake pads, rotors, hoses, and parking brake.

___ Inspect engine cooling system strength and hoses.

___ Inspect exhaust system and heat shields,

___ Inspect steering linkages, ball joints, suspension, tie rod ends, driveshaft, and U-Joints.

___ Change engine coolant.

___ Inspect accessory drive belts.

Comments _____

Twin Cities Area Transportation Authority

150,000

Mile Bus Preventative Maintenance Checklist

Requested by: Name _____ Date _____ Bus # _____

Serviced by: Name _____ Date _____ Odometer _____

- ___ Perform Multi Point Inspection (Use multi point inspection checklist).
- ___ Change engine oil and filter.
- ___ Rotate front tires, inspect tire wear and measure tread depth.
- ___ Inspect wheels and relate components for abnormal noise, wear, looseness, or drag.
- ___ Change automatic transmission fluid.
- ___ Change automatic transmission filter.
- ___ Replace accessory drive belts if not replaced within the last 100,000 miles.
- ___ Replace front wheel bearings and seals if non-sealed bearings are used.
- ___ Inspect brake pads, rotors, hoses, and parking brake.
- ___ Inspect engine cooling system strength and hoses.
- ___ Inspect exhaust system and heat shields.
- ___ Inspect steering linkages, ball joints, suspension, tierod ends, driveshaft, and U-Joints.
- ___ Replace engine oil filter.

Comments _____

ATTACHMENT C

Semi-Annual Vehicle Safety Inspection Checklist

Exhibit #3 - Sample Safety Inspection Form					
VEHICLE SAFETY INSPECTION CHECKLIST					
Vehicle safety inspections are required every six months.					
Put an X in the box for ok, O for needs attention, or NA for does not apply					
VEHICLE NO.		TRANSIT AGENCY			
MAKE	MODEL	YEAR	RELEASE	VIA	
TECHNICIAN SIGNATURE			MECHANIC CERTIFICATION NO.		INSPECTION DATE
A	GENERAL CONDITION	J	SAFETY EQUIPMENT		71. Volt/Amp Gauge
	1. Body, Bumpers, Trim		35. Flares/Reflector Triangles		72. Oil Pressure Gauge
B	TIRES/BATTERY	K	DRIVER'S SEAT		73. Engine Temperature Gauge
	2. Tread depth		37. firmly Mounted		74. Air System Pressure Gauge
	3. Tire Pressure		38. Adjusts & Latches		75. Low Air Pressure Light/Alarm
	4. Wheels & Lug Nuts		39. Seatbelt Operation		76. Speedometer/Odometer
	5. Battery Terminals & Compartment				77. Air Restriction Gauge/Induction System
C	FLUIDS	L	HEATER/DEFROSTER	Q	BRAKES
	6. Engine Oil Level		40. Fans Operate F/R		78. Parking Brake
	7. Coolant Level/Freeze Protection		41. Heaters Operate F/R		79. Brake Pedal Low Soft? Hard? Normal?
	8. Brake Fluid Level		42. Defroster Operation		80. Brakes Pull, Noisy
	9. Transmission Fluid Level		43. Air Conditioner System Operation		81. Air Chambers/Slack Adjusters
	10. Power Steering Fluid Level	M	LIGHTS, HORN		82. Air Lines/Tanks/Drains
	11. Windshield Washer Fluid Level		44. Stopwell	R	TRANSMISSION-DRIVE TRAIN
D	DOORS		45. Passenger Area		83. Holds in Park Position
	12. Open & Close Properly		46. High Beam Headlights & Indicator		84. Does Not Start in Gear
	13. Won't Open Accidentally		47. Low Beam Headlights		85. U-Joints
	14. Latches, Handles, Hinges		48. Dimmer Switch		86. Differential/Rear Axle
	15. Seals Out Puruses & Dust		49. Turn Signal Lights & Indicators	S	STEERING
E	FLOORS & STEPS		50. Hazard Flashers & Indicators		87. Free Play
	16. Clean & Free of Debris		51. Running Lights		88. Steering Force
	17. Loose Floor Covering/Weak Flooring		52. Reflectors		89. Pulls in Either Direction
	18. Step Tread Covers & Fasteners		53. Brake Lights		90. Power Steering Pump/Gear Box
F	SEATS		54. Tail Lights		91. Linkage/Ball Joints/King Pins
	19. Sharp Edges/Exposed Metals		55. License Plate Light	T	SUSPENSION/F/R
	20. Upholstery/Springs		56. Back-up Lights		92. Shocks/Mounts/Bushings
	21. Firm Mounting		57. Back-up Alarm		93. Springs/Clamps/Shockes
G	GRAB-RAIL STANCHIONS		58. Horn		94. Stabilizers/Tracking Bars/Bushings
	22. Padded Properly	N	WIPER/WASHER	U	EXHAUST SYSTEM
	23. Firmly Mounted		59. Arm Tension		95. Exhaust/Tail Pipes
	24. Other Padding		60. Blade Condition		96. Muffler/Catalytic Converter
H	WINDOWS		61. Wiper/Washer Switch w/Delay		97. Hangers/Clamps
	25. Safety Glass		62. Wiper Aim & Coverage	V	FUEL SYSTEM
	26. Vision Obstruction	O	MIRRORS		98. Lines/Fittings/Filter
	27. Operation		63. Mounted Firmly		99. Leaks
	28. Sun Visors		64. Interior View		100. Tank Mounts/Drain/Fill Cap
I	EMERGENCY EXITS		65. Exterior Front Rear View	W	LIFT/RAMP/SECUREMENTS
	29. Doors/Windows Work Properly		66. Exterior Corner Rear View		101. Remote Control
	30. Doors/Windows Latch Properly		67. Exterior Front Cross View		102. Wheelchair Steps/Handles
	31. Roof Hatch Operation	P	ENGINE OPERATION		103. Restraints/Tie Downs Operation
	32. Labeled Properly		68. Starting		104. Stop Request
	33. No Obstruction to EXITS		69. Excessive Smoking		105. Adequate Padding
	34. Door Alarm Warning Alarm		70. Instrument Warning Lights		106. Manual Lift Operation

REMARKS:

TWIN CITIES AREA TRANSPORTATION
AUTHORITY
PROCUREMENT GUIDELINES

Board Approval Date _____

Chairman's Signature _____

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POLICY STATEMENT

It is the intention of the Twin Cities Area Transportation Authority (TCATA) to procure necessary services, materials, supplies, equipment and other items in a fashion which affords for compliance with applicable Federal, State and local regulations standards. Further, TCATA requires that such procurement will be made in a manner that provides for the most economical expenditure of the limited funding available. To this end, these policies are intended to follow the standards of Federal Transit Administration (FTA) Circular 4220.1F, and applicable criteria in the FTA “Best Practices Procurement Manual”, common grant rule 49CFR part 18, FTA Master Agreement, related circular, i.e.; 9030.1E, in all procurement.

The Michigan Department of Transportation (MDOT) has an active role in TCATA’s procurements that use Federal funds or State matching funds, including review of various procurement activities. MDOT, in conjunction with the Michigan Department of Technology, Management and Budget, establishes contracts for revenue vehicles that follow FTA procurement requirements and TCATA purchases its vehicles off this contract. A copy of the complete MDOT Procurement Guidelines can be found at: https://www.michigan.gov/mdot/0,4616,7-151-9625_21607_86364---,00.html.

The state guidelines include a description of procurement requirements that follow the FTA Circular 4220.1F and variety of appendixes detailing steps for various methods of procurement and required contract clauses. A copy of the index to the procedures, appendixes, and other forms are on the last page of this document. When there is a conflict between FTA Circular 4220.1F and the Super Circular, the Super Circular supersedes C.4220.1F.

TCATA will maintain records and documents of all procurement history for three years after procurement is completed. Records of method of procurement, contract type, and reason for selection or rejection, basis of contract price are kept on all procurement. The size and complexity of the procurement will determine how much additional history is kept.

LEASE VS PURCHASE ANALYSIS

TCATA will review lease versus purchase alternatives for acquiring property and, if necessary, will obtain an analysis to determine the more economical alternative to obtain the best value. We will follow the requirements in FTA Circular 4220.1F, Chapter IV, Section 1.e (pIV-3) and 5010.1D, Chapter IV, Section J, (p. IV-211). TCATA shall obtain FTA review of the cost-effectiveness determination prior to entering into any capital lease. TCATA will reference Circular A-94 for cost-effectiveness calculations and to obtain the most recent discount rate for the purpose of calculating the net present value of a future benefit. TCATA’S Lease vs Cost Certification is Appendix C.

ETHICAL CONDUCT

TCATA's Executive Director will monitor the Ethical Conduct of the employees of the transit system. The Board of Directors will monitor the Executive Director.

I. TCATA will not allow employees, officers or agents engaged in the selection, award and administration of contract to participate in such selection, award or administration of a contract if a conflict of interest, real or apparent, would be involved. The following identifies where such a conflict may arise:

- (a) The employee, officer, or agent, or
- (b) Any member of his/her immediate family, or
- (c) His/her partner, or
- (d) An organization who employs, or is about to employ any of the above has a financial or other interest in a firm which may be selected for award.

II. TCATA will not allow its employees, officers or agents, or his or her immediate family member to solicit nor accept gratuities, favors, any organization that employ or is about to employ any of the forgoing from participating in the election, award, or administration of a contract supported with FTA assistance, or anything of monetary value from contractors, potential contractors, or parties to sub-agreements. Such acceptance of any of the above listed items shall be deemed a reason for disciplinary action up to, and including termination, as determined by the Authority's Board, the Federal Transit Administration, or the Michigan Department of Transportation, as well as possible legal sanctions as deemed appropriate under applicable statute.

III. TCATA will not allow its employees, officers or agents to engage in any activity which shall result in an unfair competitive advantage to any contractor's objectivity in performing contracted work.

BUY AMERICA

TCATA will ensure all procurements of steel, iron, and manufactured product, except of those subject to a waiver, contain Buy America provisions. Wavers are listed in Appendix B to 49 CFR 661.7 and include microcomputers equipment and software and purchases under the simplified acquisition threshold (currently \$150,000). TCATA will not split product to achieve the threshold as the threshold is based on the value of the procurement, not the price of each item. Buy America Clause will be included in all procurement that qualifies for the clause.

Buying from the MDOT MIDEAL must also follow the Buy America regulations.

PRE-AWARD AND POST-DELIVERY

A Pre-Award and Post-Delivery audit is performed when purchasing revenue service rolling stock even when using MDOT's MIDEAL. A copy of MDOT's third party contract for the revenue vehicle is kept in TCATA's file. When the revenue vehicle arrives at our facility a Post-Delivery audit is completed to ensure the bus meets the contract specifications. This consists of a mechanic making a visual inspection using a check list from MDOT and a road test. The bus is accepted when it's determined the bus meets the contract specifications.

ARCHITECTUAL AND ENGINEERING PROJECTS – BROOKS ACT

TCATA will use the Brooks Act on all qualified base process for architectural and engineering (A&E) projects. A&E are service for program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping and related services that lead to construction. Price must not be considered during the selection stage; qualifications of the firms is used to determine contract award. Price then can be negotiated with the qualifying firms. If an agreement can't be reached, then we go to the next qualifying firm until we have a fair and reasonable price.

This procurement process is only used on A&E projects. Non-A&E procurements must use the method appropriate for the project.

LOBBYING

Prohibition Against the use of Federal Funds for Lobbying – Regulations set forth in 49 CFR Part 20, prohibit the use of Federally appropriated funds to pay for influencing or lobbying with Federal government officials. Further, Federal grantees and contractors are required to certify compliance with prohibition **and** to disclose certain lobbying activities conducted with non-Federally appropriated funds. The TCATA will require that lobbying certifications be signed and submitted with any bid/proposal on a Federally funded contract exceeding \$100,000.

NOTIFICATION OF LEGAL MATTERS

Notification of current or prospective legal matters that may affect the Federal Government. The Contractor acknowledges that the provisions of the FTA Master Agreement, Section 39(b), apply to its actions pertaining to this project. Upon execution of the underlying contract, the Contractor certifies or affirms that if a current or prospective legal matter that may affect the Federal Government emerges, the Contractor must notify TCATA.

(1) The types of legal matters that require notification include, but are not limited to, a major dispute, breach, default, litigation, or naming the Federal Government as a party to litigation or a legal disagreement in any forum for any reason.

(2) Matters that may affect the Federal Government include, but are not limited to, the Federal Government's interest in the Award, the accompanying Underlying Agreement, and any Amendments thereto, or the Federal Government's administration or enforcement of federal laws, regulations, and requirements.

The Contractor agrees to include the above clause or similar clause in each subcontract financed in whole or in part with Federal assistance provided by FTA.

PROCUREMENT REQUESTS

I. TCATA's staff and management shall review, at least annually, any proposed procurement to avoid unnecessary or duplicate items. Such review shall give consideration to consolidation or breaking out procurement to obtain the most economical purchase. Lease consideration will be given to those items which may offer an economical advantage over a purchase.

II. TCATA's staff and management will consider use of other Federal, State or local surplus property in lieu of purchasing when such use is feasible and reduces project costs.

III. The Purchaser will make awards only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement. Consideration will be given to such items as contractor integrity, compliance with public policy, past performance, financial and technical resources.

IV. TCATA will maintain sufficient records to detail the history of a procurement. Such records shall include method of procurement, selection of contract type, contractor selection (or rejection), and the contract price.

V. TCATA will maintain good administrative practice and sound business judgment for the settlement of all contractual and administrative issues arising out of procurement. These issues include, but are not limited to, source evaluation, protests, disputes, claims as necessary. These practice and sound business guidelines shall be in accordance with applicable statute, including FTA management guidelines in Circular 5010.1D

VI. TCATA shall provide for bid protests or disputes to be submitted as identified in Appendix E with appealing to the Executive Director as the first administrative procedure. If a contractor, or potential contractor submits an appeal in writing, the Executive Director shall review the protests and appeal and base a decision on the submitted information. If the contractor or potential contractor so desires, they may

submit a protest of the TCATA's dispute procedures for review to FTA at the Regional office. TCATA will notify the FTA at the time of the protest and denial. Protest must be received within five (5) working days of the date when the protester has received actual or constructive notice of the recipient's final decision.

VII. TCATA will treat any prospective contractor or sub-contractor listed on a centralized State government debarment and suspension list as nonresponsible and ineligible for contract award.

V111. TCATA restricts or prohibits the following contract types:

- (a) Cost Plus a Percentage of Cost—Prohibited. The Common Grant Rules expressly prohibits the use of the cost plus a percentage of cost method of contracting.
- (b) Percentage of Construction Cost—Prohibited. The Common Grant Rules expressly prohibits the use of the percentage of construction cost method of contracting.
- (c) Time and Materials—Restricted. The Common Grant Rule for governmental recipients permits the use of time and material contracts only:
 - 1 When to Use. After determining that no other contract type is suitable; and
 - 2 Firm Ceiling Price. If the contract specifies a ceiling price that the contractor may not exceed except at its own risk.

COMPETITION

I. TCATA will conduct all procurement in a manner to provide full and open competition. Some situations considered to be restrictive of competition include, but are not limited to:

- (a) Placing unreasonable requirements on firms in order for qualification;
- (b) Requiring unnecessary experience and excessive bonding;
- (c) Noncompetitive pricing practices between firms and or between affiliated companies;
- (d) Noncompetitive awards to professionals and other consultants that are on retainer contracts;
- (e) Organizational conflicts of interest;

- (f) Specifying only a 'brand name' product instead of allowing 'an equal' product to be offered, and/or specifying performance or other salient characteristics of the brand name product;
- (g) Any arbitrary action in the procurement process;
- (h) Use of statutorily or administratively imposed "local" geographical preference;
- (i) Failure to incorporate a clear and accurate description of the technical requirements for the material, product or service to be procured. Such description shall not, in competitive procurement, contain features that unduly restrict competition.

II. TCATA will provide a clear and accurate description of all requirements that offerors must fulfill and all other factors to be used in evaluating bids or proposals. Such clear and accurate description shall include the description of the technical requirements of the material, product or service being sought.

DEBARMENT AND SUSPENSION

TCATA will treat any prospective contractor or sub-contractor listed on a centralized State government debarment and suspension list as non-responsible and ineligible for contract awards.

To see if a prospective contractor is eligible, we will look on the website www.SAM.gov and when the bid has been received.

INDEPENDENT COST ESTIMATE (ICE)

TCATA will complete an ICE on all procurements over the Federal threshold of \$150,000 and on lower cost purchases where one is indicated. We will use it to determine the reasonableness of the bid or proposal being evaluated. We will do the ICE if it is a simple budgetary estimate. If it's a complex procurement and we don't have the expertise, we will have someone who has the expertise perform the ICE.

Doing an ICE will alert us if any competitors are submitting unreasonably high or low-cost proposals.

COST ANALYST

I. The cost analyst helps to determine the reasonableness of the contract cost.

II. The offer or elements (that is, labor hours, overhead, materials, and so forth) of the estimated cost, (such as professional consulting and A&E contracts, and so forth). Will be considered.

III. TCATA will conduct a cost analysis when price competition is inadequate, when only a sole source is available, even if the procurement is a contract modification, or in the event of a change order.

PRICE ANALYST

I. When TCATA can justify price reasonableness of the proposed contract based on a catalog or market price of a commercial product sold in substantial quantities to the general public or based on prices set by law or regulation a cost analysis is no needed.

II. If TCATA determines that competition was adequate, a price analysis, rather than a cost analysis will be conducted to determine the reasonableness of the proposed contract price in Micro Purchases.

III. TCATA may use an abbreviated price analysis for small purchases in most cases. One method to record this price analysis is through the use of a preprinted form on which a contracting officer (or other responsible person) can annotate a finding of fair and reasonable pricing and check off the most common reasons why this would be so, such as catalog or market prices offered in substantial quantities to the general public, regulated prices (for example, for many utilities purchases), or a comparison with recent prices for similar goods and services.

CONTRACTING COST OR PRICE ANALYSIS

I. TCATA will perform a cost or price analysis in connection with every procurement action, including contract modification.

II. TCATA will negotiate profit as a separate element of the price for each contract in which there is not price competition, and in all cases where cost analysis is performed. To established fair and reasonable profit, consideration will be given to such things as the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance and industry profit rates for similar work.

III. TCATA will only allow costs or prices based on estimated costs for contracts under grants to the extent that costs incurred, or costs estimates included in negotiated prices are consistent with Federal cost principles.

IV. TCATA will not allow or contract under any "cost plus" or "cost plus a percentage" methods.

METHOD OF PROCUREMENT

I TCATA Will Use MDOT's Procurement Guidelines- Using procedures in Appendix A for supplies, materials and service.

II. Micro & Emergency Purchases – pursuant to FTA C 4220.1F and the MDOTs Appendix D, Fair and Reasonable Price Determination, TCATA may make micro purchases which do not exceed \$10,000.00 without competitive procurement quotations if the TCATA believes that the price is fair and reasonable. In addition, emergency situations which require repairs which are reasonably believed to be under \$10,000.00 may be authorized without competitive quotations.

- (a) A written determination as to why price is deemed fair and reasonable must be on file with each purchase made under this method of procurement using Micro-Purchase Price Reasonableness Determination Form Appendix B.
- (b) Splitting of procurements to avoid the competitive procurement requirements of federal and state statutes shall not be condoned.
- (c) MDOT's Procurement Appendix B with appropriate Federal Clauses must be submitted if Davis Bacon applies.

III. Small Purchase Procurement – for supplies, materials and services which shall be more than \$10,000 to \$250,000 in the aggregate. Such procurement shall be made in the following manner:

- (a) A minimum of two price or rate quotations shall be obtained from qualified sources;
- (b) The procurement will be made from the lowest priced qualified bid, if products or goods are equal;
- (c) MDOT requires for procurements under \$25,000.00. Included Procurement Appendix A, B, E, F, G, H or I and Vehicle Specification certification if applies.
- (d) MDOT requires for procurements over \$25,000.00 solicitations, including specifications and written selection procedures (lowest bids), Include Procurement Appendix A, F, G, H or I and Vehicle Specification certification if applies. Third Party Contracts with applicable clauses and bond documents must be included.

IV. Sealed Bid Procurement – for supplies, materials and services more than \$250,000 in the aggregated, or when sealed bid procurement will provide for the best competitive pricing for those procurement under \$250,000 in the aggregate. Such procurement shall be made if the following is available;

- (a) A complete, adequate, and realistic specification or description is available.
- (b) Two or more responsible bidders are willing and able to compete effectively for the business.
- (c) The Procurement lends itself to a firm fixed price contract and the selection of a successful bidder can be made principally on the basis of price.
- (d) MDOT requires specifications and written selection procedures Include Procurement Appendix A, E, G, H or I, J, K, L, M. Summary of evaluation criteria including identification of selection panel members. Third Party Contract with applicable clauses and bond documents must be included.

Sealed bids will be performed in the following manner:

- (a) The invitation for bids will be publicly advertised and bids shall be solicited from an adequate number of known suppliers, with sufficient time prior to the date set for bid opening;
- (b) The invitation for bids will include any and all specifications and pertinent attachments, and shall define the items or services sought in order that the bidders may properly respond;
- (c) All bids will be publicly opened at the time and place prescribed in the invitation for bids;
- (d) A fixed-price contract awards will be made in writing to the lowest responsive and responsible bidder. Where specified in the bidding documents, factors such as discounts, transportation costs, and life cycle costs shall be considered in determination of the lowest bid. Payment discounts will only be used to determine the low bid when prior experience indicates such discounts are usually taken advantage of;
- (e) Any or all bids may be rejected if there is a sound documented business reason.

V Competitive Proposal Procurement – for supplies, materials, and services with more than one source submitting a proposal, and either a fixed price or cost reimbursement type contract is to be awarded. This will generally be used when

conditions are not appropriate for the use of sealed bids. Competitive proposal shall be honored to the maximum extent practical;

- (a) Requests for proposals will be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals shall be honored to the maximum extent practical;
- (b) Proposals will be solicited from an adequate number of qualified sources when possible;
- (c) TCATA will make the evaluation and selection without negotiation with any offered. However, TCATA, if it decides to conduct negotiations, will negotiate with all offers in a complete range, i.e., all offerors that TCATA determines have a reasonable chance of selection for award based on cost or price and other specified factors of the solicitation;
- (d) The award will be made to the responsible firm whose proposals is most advantageous to TCATA's program with price and other factors considered;
- (e) TCATA will use competitive proposal procedures for qualifications-based procurement of architectural and engineering services, or related services such as program management, construction management, feasibility studies, preliminary engineering, design, surveying, mapping, or related service, and may use this procurement method for rolling stock.
- (f) TCATA will follow the guidelines of FTA Circular 4220.1F for qualifications of this type of procurement.
- (g) TCATA will use the Small Business Element of FTA Circular 49CFR26.39 to foster small business. Documentation of estimated cost will be used to ensure the small business price is competitive.

VI. Sole Source Procurement – may be use through solicitation or acceptance of a proposal from only one source, or after solicitation of a number of sources, competition is determined inadequate, or it is difficult to compare offers due to questions of quality of integral parts of the items for procurement. A contract amendment or change order that are not within the scope of an original contract is a sole source procurement, and therefore, must comply with the following:

- (a) Sole Source Procurement may be used only when the award of a contract Infeasible under small purchases procedures, sealed bids, or competitive proposal and at least one of the following circumstances applies;

- (1) The items is available only from a single source;
- (2) A public emergency for the requirement will not permit a delay resulting from competitive solicitation;
- (3) FTA authorized noncompetitive negotiations;
- (4) After solicitation of a number of sources, competition is inadequate;
- (5) The item is an associated capital maintenance item as defined in Section 9 (I) of the Federal Transit Act that is procured directly from the original manufacturer or supplier of the item to be replaced.
- (6) TCATA must first certify in writing to FTA (a) that such manufacturer or supplier is the only source for such item; and (b) that the price of such item is no higher than the price paid for such item by like customers.
- (7) Cost analysis, verifying the proposed cost data, the projections of the data, and the evaluation of the specific elements of costs and profit are completed as required under FTA Circular 4220.1F.

MDOT'S RULE ARE THE FOLLOWING:

Noncompetitive Proposals (Sole Source) – any dollar amount

Sole-source procurements are accomplished through solicitation or acceptance of a proposal from only one source, or after solicitation of a number of sources, competition is determined to be inadequate. A contract amendment or change order that is not within the scope of the original contract is considered sole-source procurement.

□ Procurement by noncompetitive proposals may be used only when the award of a contract is infeasible under small-purchase procedures, IFB or RFP and at least one of the following circumstances applies:

1. The item is available only from a single source;
2. The public urgency or emergency for the requirement will not permit a delay resulting from competitive solicitation;
3. FTA authorizes noncompetitive negotiations;
4. After solicitation of a number of sources, competition is determined inadequate; or
5. The item is an associated capital maintenance item as defined in 49 U.S.C. Section 5307(a) (1) that is procured directly from the original manufacturer or supplier of the item to be replaced. The grantee must first certify in writing to FTA: (1) that such manufacturer or supplier is the only source for such item; and (2) that the price of such item is no higher than the price paid for such item by like customers.

A detailed cost analysis must be prepared and approved by MDOT to verify the proposed cost data, the projections of cost data, and the evaluation of the specific elements of costs and profit is required. **This information must accompany the grantee's award recommendation and the recommended bid/proposal when it is submitted to MDOT for review and concurrence prior to the award being made.**

CONTRACTING WITH DBE, WBE, SMALL AND MINORITY FIRMS

TCATA will take all necessary affirmative steps to assure that minority firms, WBE, small business and labor surplus area firms are used when possible. TCATA will follow FTA Circulars 4220.1F and 4716.1A to assure that minority firms, DBE, WBE, Small Business and labor surplus area firms are utilized when possible.

Every three years our DBE Coordinator will complete a DBE plan that sets a goal for the percentage of participants. TCATA has adopted percentage goals for DBE participation which are consistent with TCATA's own spending patterns and with the amount of DBE participation that would be expected to be achievable in a RACE NEUTRAL marketplace. The rules and regulations require that goals be based upon demonstrable evidence of relative availability of DBE's in the TCATA geographical and product markets.

EVALUATIONS

- I. General.** When evaluating bids or proposals submitted, TCATA is to consider all evaluation factors specified in its solicitation documents, and evaluate the bids or offers only on the evaluation factors included in those solicitation documents. We will not modify its evaluation factors after bids or proposals have been submitted without re-opening the solicitation.
- II. Options.** In awarding the contract that will include options, the following standards apply:
- III. Evaluation Required.** We will value bids or offers for any option quantities or periods contained in a solicitation if it intends to exercise those options after the contract is awarded.
- IV. Evaluation Not Required.** We need not evaluate bids or offers for any option quantities when we determine that evaluation would not be in its best interests. An example of a circumstance that may support a recipient's determination not to evaluate bids or offers for option quantities is when is reasonably certain that funds will not be available to permit it to exercise the option.
- V. Evaluators.** In addition to evaluators with experience in technical or public policy matters related to the procurement, other evaluators may also include auditors and financial experts to the extent that we determine it would be necessary or helpful. If it is determined that we will need to contract for evaluation services, the procurement

standards of this circular will apply to those contracts and to those contractors selected to perform procurement evaluation functions on behalf of the recipient.

CONTRACT AWARD.

I. Award to Other Than the Lowest Bidder or Offeror. Federal transit law at 49 U.S.C. Section 5325(c) authorizes us to award a contract to other than the lowest bidder if the award furthers an objective consistent with the purposes of 49 U.S.C. Chapter 53, including improved long-term operating efficiency and lower long-term costs. We may also award a contract to other than the offeror whose proposal is lowest, when stated in the evaluation factors of the solicitation. In both cases will be included in our solicitation document reserving the right to award the contract to other than the low bidder or offeror.

II. Award Only to a Responsible Bidder or Offeror. Map21 updates amended 49 U.S.C. Section 5325 to require FTA assisted contract awards be made only to “responsible” contractors possessing the ability, willingness, and integrity to perform successfully under the terms and conditions of the contract. Responsibility is a procurement issue that is determined by the TCATA after receiving bids or proposals and before making contract award.

Advance Payments

Advance payments are payments made to a contractor before the contractor incurs contract costs. We could use its local share funds for advance payments. However, if there is no automatic preaward authority for its project, then advance payments made with local share funds before FTA assistance has been awarded, or before a letter of no prejudice has been issued or other preaward authority has been provided, or before FTA approval for the specific advance payment has been obtained, are ineligible for reimbursement. The following principles and restrictions apply:

1 Use of FTA Assistance Prohibited. We do not use FTA assistance to make payments to a third-party contractor before the contractor has incurred the costs for which the payments would be attributable.

2 Exceptions for Sound Business Reasons. Apart from advance payments that are customary, as discussed further, FTA does occasionally make exceptions to its advance payment prohibitions, if the recipient can provide sound business reasons for doing so and has obtained FTA’s advance written concurrence. If we seek to use FTA assistance to support advance payments, we will contact the regional office administering its project to obtain FTA concurrence.

a) Adequate Security for Advance Payments. FTA recognizes that advance payments may be needed for certain costs supported by sound business judgment. Adequate security for the advance payment is an essential pre-condition to FTA’s concurrence in the use of FTA or local share funds.

b) Customary Advance Payments. FTA recognizes that advance payments are typically required for, but are not limited to, public utility connections and services, rent, tuition, insurance premiums, subscriptions to publications, software licenses, construction mobilization costs, transportation, hotel reservations, and conference and convention registrations. Accordingly, the recipient may use FTA assistance to support or reimburse the costs of such acquisitions. FTA concurrence is required only when such advance payment or payments customarily required in the marketplace exceed \$150,000.

In summary, if there are sound business reasons justifying the advance payment and adequate security for the payment, FTA will generally concur in a written request for an exception.

OPTIONS

In awarding the contract that will include options, the following standards apply:

(1) Evaluation Required. In general, FTA expects the recipient to evaluate bids or offers for any option quantities or periods contained in a solicitation if it intends to exercise those options after the contract is awarded.

(2) Evaluation Not Required. The recipient need not evaluate bids or offers for any option quantities when the recipient determines that evaluation would not be in its best interests. An example of a circumstance that may support a recipient's determination not to evaluate bids or offers for option quantities is when the recipient is reasonably certain that funds will not be available to permit it to exercise the option.

POST-AWARD CONTRACT ADMINISTRATION

COMPLETED CONTRACT

A completed contract is one which is both physically and administratively complete, and in which all aspects of contractual performance have been accomplished, terminated or otherwise disposed of by contract modification. A final payment is made to the vendor.

(a) A contract is physically complete only after all articles and services called for under the contract, including such related items as reports, spare parts, and exhibits, have been delivered to and accepted by the Authority, including

those articles and services for which no specific compensation may have been stipulated; and

- (b) A contract is administratively complete when all payments have been made and administrative actions accomplished.

REVIEW OF CONTRACT FILE

The Purchasing Agent is responsible for review of the contract file and obtaining all necessary documentation to ensure that:

- (a) All deliverables and/or services (including any reports) required under the contract have been received and accepted;
- (b) The terms and conditions of the contract have been complied.

CONTRACT PERFORMANCE REPORT

I A Contract Performance Report (Appendix D) must be performed by the Purchasing Agent.

II The Contract Performance Report is reviewed by the Executive Director.

III If there is a legitimate issue on the contract performance a meeting will be held with the Executive Director, Purchasing Agent and Contractor. Minutes will be taken at this meeting.

IV. If the issue has not been resolved it will be taken to the Board of Directors for review. Minutes will be taken at this meeting.

**WHEN USING FEDERAL ASSISTANCE TO FINANCE ITS
PROCUREMENT OF NECESSARY SERVICES, MATERIALS,
SUPPLIES, EQUIPMENT AND OTHER ITEMS ALL FEDERAL
CLAUSES MUST BE FOLLOWED.**

**THEY CAN BE FOUND AT www.mywaythere.org.
>TCATA>BUSINESS OPPORTUNITIES**

APPENDIX A

MDOT Procurement Guidelines

- Procurement Guidelines for Grantee's Receiving Federal Transit Funds via MDOT
- MDOT Review of Procurements
- Davis-Bacon Act – Employee Rights
- Davis-Bacon Act – WH347 Certified Payroll Form

Appendices

- Appendix A – Method of Procurement Decision Matrix
- Appendix B – Certification of Compliance with Federal Clauses
- Appendix C – Written Record of Procurement History
- Appendix D – Fair and Reasonable Price Determination
- Appendix E – Independent Cost Estimate
- Appendix F – Quotations
- Appendix G – Fewer Than 3 Offers Received Evaluation
- Appendix H – Price Analysis
- Appendix I – Cost Analysis
- Appendix J – Responsibility Determination
- Appendix K – Advertisement and Solicitation
- Appendix L – Bid Opening
- Appendix M – Proposal Tabulation
- Appendix N – Price Analysis for MIDEal

Contract Clauses

- All Federal Clauses
- Total Vehicle Procurements greater than \$150,000
- Total Vehicle Procurements less than \$150,000
- Construction less than \$150,000
- Construction over \$150,000
- Materials & Supplies less than \$150,000
- Materials & Supplies over \$150,000
- Operations and Management less than \$150,000
- Operations and Management over \$150,000
- Professional A&E less than \$150,000
- Professional A&E over \$150,000
- Research & Development less than \$150,000
- Research & Development over \$150,000

Vehicle Purchase Specification Certification
Post-Delivery Audit Forms (A7-A12)
State Vehicle Contracts and Procurement
Third Party Contract Form
Appendix A - Prohibition Of Discrimination in State Contracts

APPENDIX B

Micro-Purchase Price Reasonableness Determination

The price(s) paid for items hereunder are determined to be fair and reasonable, based on:

- Adequate competition (two or more quotes received and award made to lowest, attach documentation.
- Current price lists or off-the-shelf pricing
- Catalog price
- Price(s) found reasonable on recent previous purchases
- Advertisements
- Similar items in a related industry
- Other (describe)

Initials: _____ Date: _____

APPENDIX C

LEASE VS PURCHASE ANALYSIS

This written cost comparison and the supporting cost calculations have been made in accordance with 49 CFR 639 - Subpart C - Cost-Effectiveness. Twin Cities Area Transportation Authority certifies pursuant to 49 CFR 639.21(a) (2) that leasing [Identify Asset] from [Lessor] is more cost-effective than purchasing and/or constructing those assets.

[Name and Title]

Twin Cities Area Transportation Authority

APPENDIX D

**TWIN CITIES AREA TRANSPORTATION AUTHORITY
CONTRACT PERFORMANCE REPORT**

This report is to confirm all deliverables and/ or services (including reports) has met Twin Cities Area Transportation requirement under the contract. A separate form is to be used when reporting on more than one contract or product. This office will use the information to improve our awards and contracts, where appropriate.

Contract Number _____

Contractor _____

Describe Product* (include item No., if available)

*Note: "Product" is defined as deliverable under any Bid or Contract, which may include commodities (including printing), services and/or technology. The term "Product" includes Licensed Software.

- Product meets you needs
- Product meets contract specifications
- Pricing
- Disadvantage Business Enterprise requirements

Comments: _____

Contractor Address:	Prepared by:
_____	Title _____
_____	Date _____
_____	Phone _____
_____	E-mail _____

Keep with other procurement documentations

APPENDIX E

TWIN CITIES AREA TRANSPORTATION AUTHORITY BID PROTEST PROCEDURE

1. Bid Protest Filed Must:

- a) Be a written protest.
- b) Be received within five (5) working days of the date when the protester has received actual or constructive notice of TCATA's final decision.
- c) Include:
 - 1) Date of bid.
 - 2) Subject of bid.
 - 3) Reason for protest
- d) Be addressed to:
 - Executive Director, Twin Cities Area Transportation Authority
 - 275 East Wall
 - Benton Harbor, MI. 49022

2. Bid Protest Will Be Answered:

- a) Within 30 days of receiving written protest.
- b) Answered by the Executive Director.
- c) Will be a written response.
- d) Send a report on the protest to the vendor.

3. Vendor Must Respond in Ten Days:

- a) Failure to file comments will result in dismissal of the protest.

4. Vendor Doesn't Agree with Finding:

a) Contact Federal Transit Administrations Regional Office:

Region 5 Office
Federal Transit Administration
200 West Adams Street
Suite 320
Chicago, IL 60606
United States
Phone: 312-353-2789
Fax: 312-886-0351
Business Hours:
8:30 a.m.-5 p.m. CT, M-F