



## Yuma County Intergovernmental Public Transportation Authority

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Fax: 928-783-0309, email: [info@ycipta.az.gov](mailto:info@ycipta.az.gov), Web: [www.yciptaz.gov](http://www.yciptaz.gov)

### NOTICE AND AGENDA OF THE REGULAR MEETING THE BOARD OF DIRECTORS OF THE YUMA COUNTY INTERGOVERNMENTAL PUBLIC TRANSPORTATION AUTHORITY

Pursuant to A.R.S. §38-431.02, notice is hereby given to the members of the Board of Directors of the Yuma County Intergovernmental Public Transportation Authority ("YCIPTA") and to the general public that the Board of Directors will hold a meeting on:

**Please note: Due to the COVID-19 Pandemic, the Yuma County Intergovernmental Public Transportation Authority will hold this month's regular meeting via Global GoToMeeting to ensure the safety of the public, board members and staff. See meeting login information below. This meeting is open to the public.**

#### VIA GOTOMEETING

**YCIPTA BOD Meeting**  
**Mon, Dec 14, 2020 1:30 PM - 3:30 PM (MST)**

**Please join my meeting from your computer, tablet or smartphone.**

<https://global.gotomeeting.com/join/662608501>

**You can also dial in using your phone.**

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Unless otherwise noted, meetings held at the above location are open to the public.

The Board of Directors may vote to go into executive session during the noticed meeting concerning any of the agenda items mentioned below. If authorized by the requisite vote of

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**Yuma County Intergovernmental Public Transportation Authority Board Of Directors**  
Susan M. Zambrano – Chairperson - Arizona Western College, Dr. Michael Sabath – Vice Chairman - Northern Arizona University, Jerry Cabrera - City of Somerton Secretary/Treasurer, Philip Rodriguez – City of Yuma, Larry Killman – Town of Wellton Brian Golding, Sr.-Quechan Tribe, Ralph Velez - City of San Luis, Paul Soto – Cocopah Tribe, Susan Thorpe – Yuma County

Shelly Kreger, Transit Director

the Directors, the executive session will be held immediately after the vote and will not be open to the public. The executive session, if held, will be at the same meeting location set forth above. The discussion may relate to confidential matters permitted pursuant to A.R.S. §§ 38-431.03(A)(1)-(7). The Chairman or other presiding officer shall instruct the persons present at the executive session regarding the confidentiality requirements of the Open Meeting Laws.

**Pursuant to the Americans with Disabilities Act, reasonable accommodation requests may be made by contacting the Transit Director at 928-539-7076, ext 101 (TTY/TDD - Arizona Relay Service 711). Requests should be made as early as possible to allow time to arrange the accommodation.**

The agenda for the meeting is as follows:

**CALL TO ORDER**

**PLEDGE OF ALLEGIANCE**

**CALL TO PUBLIC:** The public is invited to speak on any item or any area of concern that is within the jurisdiction of the YCIPTA Board of Directors. The Board is prohibited by the Arizona Open Meeting Law from discussing, considering or acting on items raised during the call to the public, but may direct the staff to place an item on a future agenda. Individuals are limited to a five-minute presentation.

**CONSENT CALENDAR:** The following items listed under the Consent Calendar will be considered as a group and acted upon by one motion with no separate discussion, unless a board member so requests. In that event, the item will be removed for separate discussion and action.

1. Adopt the November 2, 2020 regular session minutes. Pg. 4

**DISCUSSION & ACTION ITEMS:**

1. Discussion and or action regarding the YCIPTA Public Transportation Agency Safety Plan (PTASP) Action required. Pg. 9
2. Discussion and or action regarding the Community Transportation Committee. No action required.
3. Discussion and or action regarding the YCAT Maintenance Updates. No action required. **Placeholder on agenda – No Updates at this time.**

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4. Discussion and or action regarding the YCIPTA Shelter and Bus Stop Permit status report. No action required. **Placeholder on agenda – No Updates at this time.**
5. Discussion and or action regarding the Transit Director's Annual Review. Action Required.

Upon vote of the Directors, the Chairman recesses the Regular Session and convenes Executive Session.

**EXECUTIVE SESSION:**

1. Discussion regarding the Transit Director's Annual Review. This matter is brought in executive session pursuant to A.R.S. § 38-431.03(A)(1).

Chairman adjourns Executive Session and reconvenes Regular Session.

6. Discussion and or action regarding the Transit Director's Annual Review. Action required.

**PROGRESS REPORTS:**

1. Operations Manager Report – Oliver Cromwell, General Manager – RATP Dev. *No action required.* Pg. 63
2. Transit Director Report – Shelly Kreger, YCIPTA Transit Director. *No action is required.* Pg. 67
3. Transit Ridership and Marketing Update – Carol Perez, Transit Operations Manager. *No action is required.* Pg. 68
4. Financial Report – Chona Medel, YCIPTA Financial Services Operations Manager. *No action is required.* Pg. 70

**SCHEDULE NEXT MEETING DATE AND IDENTIFY AGENDA ITEMS:**

January 25, 2020

**ADJOURNMENT**

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**Yuma County Intergovernmental Public Transportation Authority Board Of Directors**  
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Shelly Kreger, Transit Director

The Yuma County Intergovernmental Public Transportation Authority (YCIPTA) met in Regular Board Meeting on Monday, November 2, 2020 virtual meeting via Global GoToMeeting. The Chair, Ms. Zambrano called the meeting to order at 1:33 p.m.

**Members Present:**

Susan M. Zambrano/Arizona Western College/Chairperson  
Michael Sabath/Northern Arizona University/Vice Chair  
Jerry Cabrera/City of Somerton/Secretary/Treasurer  
Susan Thorpe/Yuma County  
Brian Golding, Sr./Quechan Tribe  
Larry Killman/Town of Wellton  
Philip Rodriguez/City of Yuma  
Paul Soto/Cocopah Tribe

**Members Excused:**

Ralph Velez/City of San Luis

**Others Present:**

Shelly Kreger/YCIPTA/Transit Director  
Chona Medel/YCIPTA/Financial Service Operation Manager  
Carol Perez/YCIPTA/Transit Operations Manager  
Marty Padilla/YCIPTA/Quality Assurance Officer  
Oliver Cromwell/RATP Dev/General Manager

The Pledge of Allegiance was led by Ms. Zambrano.

**CALL TO PUBLIC:**

No comments were made. No action required; no action taken.

**CONSENT CALENDAR:**

**No. 1: Adopt the September 28, 2020 regular session minutes.**

**Motion** (Cabrera/Killman): To approve as presented.

**Voice Vote:** Motion Carries, (7-0) with Mr. Velez and Mr. Soto being excused.

**DISCUSSION & ACTION ITEMS:**

**No.1: Discussion and or action regarding the YCIPTA Strategic Planning Services RFP and Contract Award. Action required.**

Ms. Kreger presented the item as contained in the member packet.

Ms. Kreger stated that nine proposals were received, all were considered responsible responses. There were four reviewers to score the requests for proposals (RFP). Ms. Kreger proposed to accept TransPro's proposal.

Dr. Sabath noted that there was little difference in the scoring between the top three proposals. Dr. Sabath stated that he would hope that there would be a more substantial difference in the scores. Dr. Sabath further stated that perhaps there was something wrong with the criteria.

Ms. Kreger stated that TransPro was in the top three across all four scores for the reviewers. Ms. Kreger further stated that TransPro was not a “one-man band” type service and had more transit experience. Ms. Kreger stated that she would attempt to negotiate a lower cost.

Ms. Zambrano was concerned about the cost and inquired how much lower Ms. Kreger could negotiate the cost to.

Ms. Kreger stated that she was unsure at the moment.

Mr. Cabrera inquired if the RFP was reviewed by YCIPTA’s legal counsel.

MS. Kreger stated that the RFP was reviewed and approved by our legal counsel.

Mr. Soto joined the meeting at 1:43 PM

Mr. Rodriguez stated he did not understand why the scoring between the RFPs were so close.

Discussion ensued regarding it whether it should have been done as an RFP or RFQ

Mr. Golding stated that the issue with the scoring could be due to the fact that there was no meeting before hand to determine what constituted a perfect score.

Mr. Golding noted that the respondents fell into one of two categories; *strategic planning firms that had little to no inhouse transit planning so they needed a consultant and therefore the price grew or Transit firms extensive experience but not specific in strategic planning.*

Mr. Golding stated that from his point of view S Brand was highly experienced in strategic planning and group facilitation but no super experienced in transit and was single person team. Mr. Golding further stated that he felt like this project needed a team of 2-3 people to accomplish. Mr. Golding stated that TransPro had both strategic experience and transit experience.

**Motion** (Thorpe/Sabath): To approve as presented.

**Voice Vote:** Motion Carries, (8-0) with Mr. Velez being excused.

Dr. Sabath stated that perhaps it would be good to discuss whether to issue an RFP or RFQ for the next project.

Ms. Zambrano agreed and stated that perhaps an adjustment in the process would be needed next time.

Ms. Kreger stated that it would be a great idea discuss prior to issuing an RFP or RFQ.

**No.2: Discussion and or action regarding the Community Transportation Committee.  
No action required.**

Ms. Kreger asked each entity to assist in identifying people to create the Community Transportation Committee (CTC). Ms. Kreger further stated that it was important to get committee up and going.

Ms. Thorpe inquired if creating a CTC was a legal requirement.

Ms. Kreger stated that it was not required by law but most agencies have a CTC and it would be helpful to have a sounding board.

Dr. Sabath stated that he spoke to Mr. Gene Dalby and that he was provided the application. Dr. Sabath further stated that Mr. Dalby was having issues completing the application and may have to mail it in.

Ms. Zambrano stated that she has one more person in mind that has provided feedback previously.

No action required. No action taken.

**No. 3: Discussion and or action regarding CARES Act funding. Possible action required.**

Ms. Kreger provided the background information for this item as contained in the member packet.

Ms. Kreger stated that staff proposes to purchase four (4) Gillig buses with the CARES Act funding. Ms. Kreger further stated that this would be a great time to purchase the buses; if they receive the purchase order this month, the turnaround would be 10 months instead of 18 months. Ms. Kreger also stated that planned on purchasing three (3) cutaways using Surface Transportation Program (STP) funding.

Mr. Rodriguez inquired regarding what was included in the 3.8 million.

Ms. Kreger stated it was mostly comprised of contractor costs, maintenance, operations, and drivers.

Ms. Thorpe inquired if Federal Transit Agency (FTA) grants were available.

Ms. Kreger stated that FTA has strongly advised all agencies to spend CARES Act funding first.

Discussion ensued regarding the availability of FTA funding.

Ms. Medel stated that 5307 FTA grant funding is reimbursable 80/20 percent but some of our other grants are 50/50. Ms. Medel further stated that the CARES Act is 100 percent reimbursable; it is a better benefit to the agency to use the CARES Act funding in lieu of a grant that requires 50/50 match.

Ms. Thorpe stated that it seemed like more buses could be purchased than the ones requested. Ms. Thorpe further stated that YCIPTA would be better off purchasing buses than spending on operations.

Mr. Rodriguez inquired if there was a fleet replacement plan or are buses typically purchased when funding is available.

Ms. Kreger stated that YCIPTA did have a fleet plan but it also depends on grants that are available and on how much cash match we have; a mix of life of the vehicle and funding.

Mr. Rodriguez inquired if we were behind on the fleet replacement plan.

Ms. Kreger stated that we were behind; many vehicles beyond the 500,000 miles.

**Motion** (Thorpe/Rodriguez): To approve pending amendment to total four million for bus replament.

**Voice Vote:** Motion Carries, (8-0) with Mr. Velez being excused.

**No. 4: Discussion and or action regarding the YCAT Maintenance Updates. No action required. Placeholder on agenda – No Updates at this time**

**No.5: Discussion and or action regarding the YCIPTA Shelter and Bus Stop Permit status report. No action required. Placeholder on agenda – No Updates at this time.**

#### **PROGRESS REPORTS:**

**No. 1: Operations Manager Report – Oliver Cromwell, General Manager – RATP Dev. *No action required.***

Mr. Cromwell presented the report as contained in the member packet.  
No action required; no action taken.

**No.2: Transit Director Report – Shelly Kreger, YCIPTA Transit Director. *No action is required.***

Ms. Kreger presented the report as contained in the member packet.

Ms. Zambrano inquired if there were any updates for the “third wave of COVID-19.

Ms. Kreger stated that there was a recent increase in service but would decrease service if need be. Ms. Kreger stated that YCIPTA was looking into installing driver shields.

No action required; no action taken.

**No. 3: Transit Ridership– Carol Perez, Transit Operations Manager. *No action is required.***

Ms. Kreger presented the report as contained in the member packet.  
No action required; no action taken.

**No. 4: Financial Report – Chona Medel, YCIPTA Financial Services Operations Manager. *No action is required.***

*Do not include September billing for contractor, just received bill late October.*

Ms. Medel presented the report as contained in the member packet.  
No action required; no action taken.

#### **SCHEDULE NEXT MEETING DATE AND IDENTIFY AGENDA ITEMS:**

November 23, 2020 - Thanksgiving week, suggest either change the meeting to November 30<sup>th</sup> or combine November and December’s meeting into one. December 7<sup>th</sup> or 14<sup>th</sup>.

**Motion** (Golding/Killman): To schedule the next board meeting on December 14<sup>th</sup>.

**Voice Vote:** Motion Carries, (8-0) with Mr. Velez being excused.

**ADJOURNMENT**

There being no further business to come before the Authority, the meeting was adjourned at 2:22 p.m.

YUMA COUNTY INTERGOVERNMENTAL TRANSPORTATION AUTHORITY

Adopted this \_\_\_\_\_, 2020, Agenda Item \_\_\_\_\_.

\_\_\_\_\_  
Carol Perez, Board Secretary





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December 11, 2020

### Discussion and Action Item 1

To: Yuma County Intergovernmental Public Transportation Authority  
Board of Directors  
From: Shelly Kreger, Transit Director  
Subject: Discussion and or action regarding the Yuma County  
Intergovernmental Public Transportation Authority Public  
Transportation Safety Plan (PTASP)

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**Requested Action:** Staff recommends that the Yuma County Intergovernmental Public Transportation Authority (YCIPTA) Board of Directors approve the YCIPTA PTASP for submittal to the Federal Transit Administration.

**Background and Summary:** On July 19, 2018, FTA published the [Public Transportation Agency Safety Plan \(PTASP\) Final Rule](#), which requires certain operators of public transportation systems that receive federal funds under FTA's [Urbanized Area Formula Grants](#) to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).

- The PTASP rule became effective on July 19, 2019.
- FTA published a Notice of Enforcement Discretion on April 22, 2020 effectively extending the PTASP compliance deadline from July 20, 2020 to December 31, 2020.
- FTA published an additional Notice of Enforcement Discretion on December 11, 2020 effectively extending the PTASP deadline to July, 20, 2021.

The plan must include safety performance targets. Find additional guidance on planning and target setting on FTA's [Performance-Based Planning](#) pages. Transit operators also must certify they have a safety plan in place meeting the requirements of the rule by December 31, 2020. The plan must be updated and certified by the transit agency annually.

The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307). However, FTA is deferring applicability of this requirement for operators that only receive funds through FTA's [Enhanced Mobility of](#)

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[Seniors and Individuals with Disabilities Formula Program](#) (Section 5310) and/or [Rural Area Formula Program](#) (Section 5311).

With the FTA being YCIPTA's cognizant agency we are required to prepare our own and not rely on the state DOT, same as it was with the Transit Asset Management Plan (TAMP).

Recommended Motion: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority (YCIPTA) Board of Directors approve the YCIPTA PTASP for submittal to the Federal Transit Administration

Fiscal Impact: None

Legal Counsel Review: N/A

Attachments: Draft PTASP and Fact Sheet

For information on this staff report, please contact Shelly Kreger, Transit Director via email at [skreger@ycipta.az.gov](mailto:skreger@ycipta.az.gov) or call 928-539-7076, extension 101.

Approved for Submission



Shelly Kreger, Transit Director

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Shelly Kreger, Transit Director



# Public Transportation Agency Safety Plan (PTASP)

# REVISIONS

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<i>Revision Number</i>	<i>Date</i>	<i>Revision Description</i>	<i>Initials</i>
1	12/11/2020	Update for YCAT	OC

**YCIPTA Approval**

Authorized by:

\_\_\_\_\_ Date \_\_\_\_\_

*Transit Director/YCIPTA*

\_\_\_\_\_ Date \_\_\_\_\_

*General Manager*

\_\_\_\_\_ Date \_\_\_\_\_

*Safety and Security Officer*

\_\_\_\_\_ Date \_\_\_\_\_

*Maintenance Manager*

**Yuma County Intergovernmental Public Transportation Authority Approval**

Approved by:

\_\_\_\_\_ Date \_\_\_\_\_

# Overview

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Per 49 United States Code (U.S.C) 5329 – Public Transportation Safety Program, applicable transit agencies are required to develop a documented comprehensive agency safety plan. In a formal sense, the Federal Transit Administration (FTA) refers to the comprehensive agency safety plan as a Public Transportation Agency Safety Plan (PTASP).

This PTASP has been developed by Yuma County Intergovernmental Public Transportation Authority (YCIPTA) and Contractor (RATP Dev, LLC) who administer, plan, operate and maintain public transit services throughout Yuma County, including within the political jurisdictional boundaries of the Cities of Yuma, San Luis, Somerton, Town of Wellton and the unincorporated Yuma County areas, also known as Yuma County Area Transit (YCAT). This security plan emphasizes YCIPTA and Contractor’s commitment to protecting the safety of its customers and employees and the security of its vehicles, equipment, facilities and other properties.

# Agency Overview

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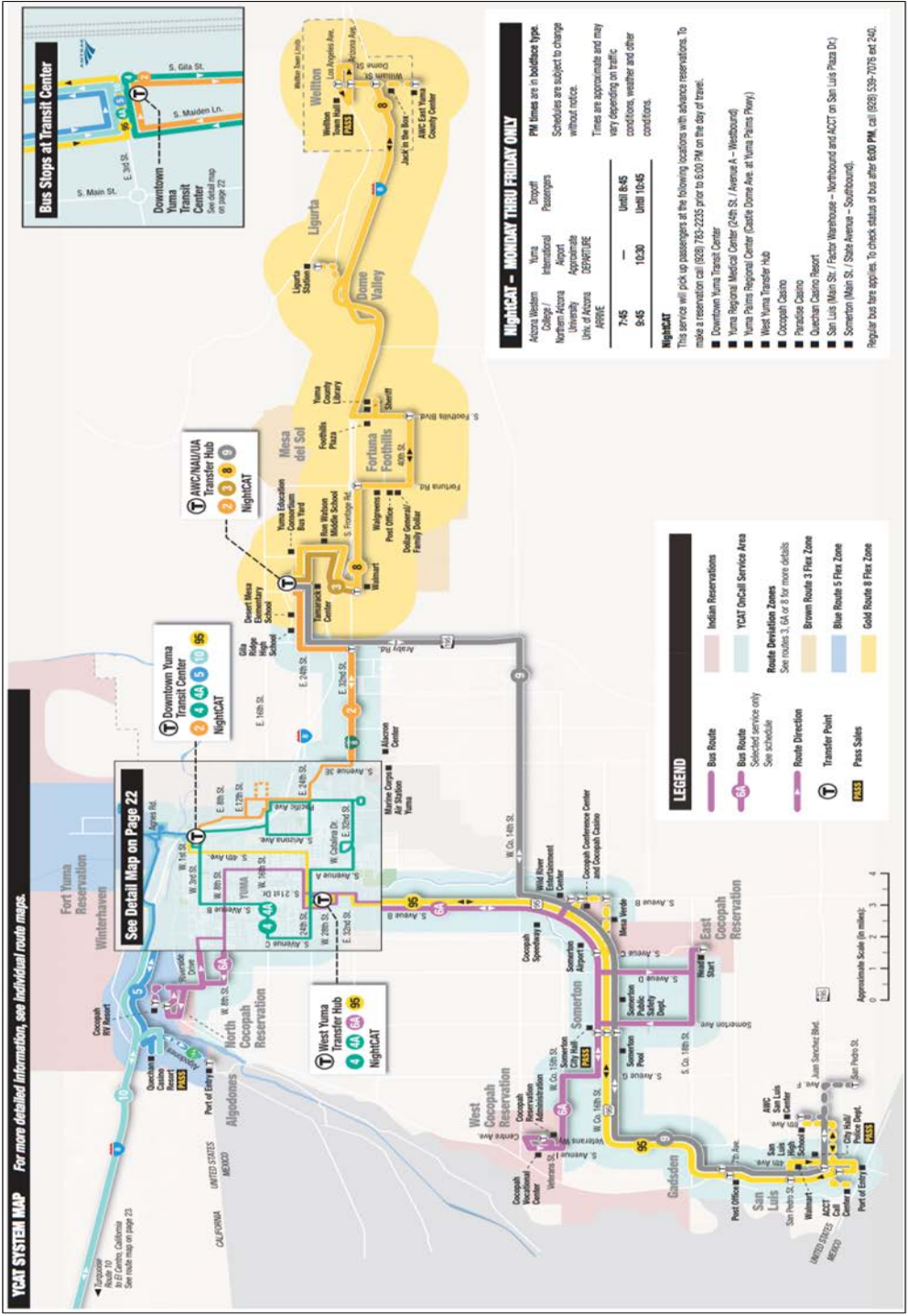
## Agency Overview

### YCAT

Yuma County Area Transit (YCAT) has been providing services for 20 years to include 13 routes serving Yuma County, Cocopah Indian Reservation, Fort Yuma Reservation (Quechan Indian Reservation), Winterhaven and El Centro, California. YCAT has a fleet of 28 revenue vehicles that travel a million miles per year transporting in excess of half a million passenger trips on fixed route, paratransit and vanpool.

YCIPTA owns all revenue and support vehicles and contracts the operation and maintenance services with RATP Dev, LLC (Contractor)

YCAT Route Map



YCAT Route Map



# Document Organization

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This Public Transportation Agency Safety Plan (PTASP) is organized into the following chapters, each of which addresses a particular set of requirements:

- ◆ **Chapter 1: Subpart A – General**
  - ❖ **Applicability (§673.1)**
  - ❖ **Policy (§673.3)**
  - ❖ **Definitions (§673.5)**
  
- ◆ **Chapter 2: Subpart B – Safety Plan**
  - ❖ **General Requirements (§673.11)**
  - ❖ **Certification of Compliance (§673.13)**
  - ❖ **Coordination with Metropolitan, Statewide, and Non-Metropolitan Planning Processes (§673.15)**
  
- ◆ **Chapter 3: Subpart – C – Safety Management System (SMS)**
  - ❖ **General Requirements (§673.21)**
    1. **Safety Management Policy (§673.23)**
    2. **Safety Risk Management (§673.25)**
    3. **Safety Assurance (§673.27)**
    4. **Safety Promotion (§673.29)**
  
- ◆ **Chapter 4: Subpart – D – Safety Plan Documentation and Recordkeeping**
  - ❖ **Safety Plan Documentation (§673.31)**

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# Chapter 1

## Subpart A - General

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### Applicability (§673.1)

Per [49 CFR Part 673](#) – Public Transportation Agency Safety Plans, the Federal Transit Administration (FTA) requires that any State, local governmental authority, and any other operator of a public transportation system that receives Federal financial assistance under 49 U.S.C. Chapter 53 (excluding public transportation systems that only receive Federal financial assistance under 49 U.S.C. 5310, 49 U.S.C. 5311 or both 49 U.S.C. 5310 and 49 U.S.C. 5311) develop a PTASP.

As an FTA grantee, the YCIPTA and Contractor are cognizant of their responsibility to have in place and comply with all FTA regulations, inclusive of those under the purview of 49 CFR Part 673.

All of the assets relevant to the YCAT transit system are owned by the YCIPTA. However, the YCIPTA contracts with a transit management company (i.e. RATP Dev) to manage and operate both transit modes YCAT (fixed route) and YCAT OnCall (paratransit). YCIPTA's is required to develop, implement, and annually update the PTASP per the requirements of 49 CFR Part 673.

Annually, per the filing of the FTA's Certifications and Assurances, the YCIPTA self-certifies compliance with a myriad of regulations. Included in the annual Certifications and Assurances is the commitment to comply with 49 U.S.C. § 5329(d) (public transportation agency safety plan). As with all FTA regulations, the YCIPTA provides contract and regulatory compliance oversight to confirm both the terms of the contract are being met and all regulations are being followed accordingly.

### Policy (§673.3)

The Federal Transit Administration (FTA) has adopted the principles and methods of Safety Management Systems (SMS) as the basis for enhancing the safety of public transportation in the United States. FTA will follow the principles and

methods of SMS in its development of rules, regulations, policies, guidance, best practices, and technical assistance administered under the authority of 49 U.S.C. 5329. This part sets standards for the Public Transportation Agency Safety Plan, which will be responsive to FTA's Public Transportation Safety Program, and reflect the specific safety objectives, standards, and priorities of each transit agency. Each Public Transportation Agency Safety Plan will incorporate SMS principles and methods tailored to the size, complexity, and scope of the public transportation system and the environment in which it operates.

### Definitions (§673.5) (as used in this part)

**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.

**Safety Officer** - means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

**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.

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

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

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

**Investigation** - means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.

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

**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 responsibilities of its employees in regard to safety.

**Safety Management System (SMS)** - means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.

**Safety Management System (SMS) Executive** - means a 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.

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

**Transit agency** - means an operator of a public transportation system.

**Transit Asset Management Plan** - means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

# Chapter 2

## Subpart B – Agency Safety Plan

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### 1. GENERAL REQUIREMENTS (§673.11)

- (1) The PTASP and subsequent updates must be signed by the Accountable Executive and approved by the agency’s Board of Directors, or an Equivalent Authority.
- (2) The PTASP must document the processes and activities related to Safety Management Systems (SMS) implementation, as required by Subpart C of this part.
- (3) The PTASP must include performance measures established under the National Public Transportation Safety Plan.
- (4) The PTASP must address all applicable requirements and standards as set forth in FTA’s PTASP and National Public Transportation Safety Plan.
- (5) Each transit agency must establish a process and timeline for conducting an annual review and update of the PTASP.

### 2. CERTIFICATION OF COMPLIANCE (§673.13)

- (a) Per ADOT’s State Safety Oversight Program Standard, ADOT has reviewed this PTASP, pursuant to the requirements of 49 CFR Part 673.
- (b) Additionally, on an annual basis, the YCIPTA (direct recipient) certifies that this PTASP complies with 49 CFR Part 673.

### 3. COORDINATION WITH METROPOLITAN, STATEWIDE, AND NON-METROPOLITAN PLANNING PROCESSES (§673.15)

- (a) To aid in the planning process, the YCIPTA will make its safety performance targets available to the State of Arizona (via ADOT) and to its metropolitan planning organization (MPO).
- (b) To the maximum extent practicable, the YCIPTA will coordinate with ADOT in the selection of State and MPO safety performance targets.



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# Chapter 3

## Subpart C – Safety Management System

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YCIPTA and Contractor's Safety Management System (SMS) is their formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of their safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards. SMS is about applying resources to risk and is based on ensuring that the transit system has the organizational infrastructure to support decision-making at all levels regarding the assignment of resources. Some key parts of SMS include:

- Defined roles and responsibilities
- Strong executive safety leadership
- Formal safety accountabilities and communication
- Effective policies and procedures
- Active employee involvement

### GENERAL REQUIREMENTS (§673.21)

Per Part 673, YCIPTA and Contractor must establish a safety management system (SMS). SMS must include the following elements:

1. Safety Management Policy
2. Safety Risk Management
3. Safety Assurance
4. Safety Promotion

### 1.0 SAFETY MANAGEMENT POLICY

**1.1** YCIPTA and has developed a Safety Policy Statement for its agencies (YCAT and YCAT OnCall), written by the Transit Director. The Safety Policy Statement must be posted in a conspicuous location in a common area frequented by all employees. Each newly hired employee will receive a copy of the Safety Policy Statement, and a copy will also be made available to any employee who requests it.

### 1.1.1 YCIPTA Safety Policy Statement:

People are our most important asset – their safety and security our greatest responsibility. It is our policy that every YCIPTA and Contractor employee is entitled to a safe and healthful place to work. When people join our team, they have the right to expect that they will be provided with a proper place in which to work, proper machines and tools with which to perform their jobs, and that they will be able to devote their energies to their work without undue dangers.

It is a basic responsibility for all of us to make the safety and security of our employees a part of our daily and hourly concern. The responsibility must be accepted by each one who conducts the affairs of the company, no matter in what capacity he or she may function.

The safety and security programs are the responsibility of the YCIPTA Quality Assurance Officer and the Contractors Safety and Security Officer, Director. The YCIPTA Quality Assurance Officer reports directly to the Transit Director and the Contractor's Safety and Security Officer report directly to the General Manager. The Human Resource department oversees the employee wellness offerings and activities. Operating departments have the primary responsibility for the safety and security for their personnel. Each employee is responsible for working safely, and each supervisor is responsible for the safe performance of all work under his or her supervision.

Employees are expected to use the safety equipment provided. Rules that govern the safety and security of our employees shall always be observed. Safety equipment must not be abused or destroyed.

YCIPTA and the Contractor have combined Safety Committees consisting of employees and management from both agencies. The active participation of this group will ensure that safe working conditions, safe work practices, and accident-free performances are of paramount importance.

The Agencies consider the safety and security of our personnel as a primary goal and asks your full cooperation in making this Public Transportation Agency Safety Plan (PTASP) effective. The PTASP has been prepared to inform you of your safety and security responsibilities, and to assist you in fulfilling these responsibilities. All of the subjects covered in the Plan and its references deserve the attention of all personnel.

Shelly Kreger  
Transit Director, YCIPTA

**1.2** YCIPTA and its Contractor is committed to Safety Management as a systematic and comprehensive approach to identifying safety hazards and risks associated with transit system operations and related maintenance activities. YCIPTA and Contractor have adopted a Safety Management Systems (SMS) framework as an explicit element of the agency's responsibility by establishing safety policy; identifying hazards and controlling risks; goal setting, planning and measuring performance. Furthermore, YCIPTA and Contractor have adopted SMS as means by which to foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

To ensure transit safety and in order to comply with Federal Transit Administration (FTA) requirements, YCIPTA and Contractor have developed and adopted this Public Transportation Agency Safety Plan (PTASP) to comply with FTA regulations established by Section 5329(d) of the Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) Act signed into law by President Barack Obama on July 6, 2012.

The Management Executive for YCIPTA and the Contractor, in cooperation with the Arizona Department of Transportation (ADOT), has reviewed the Public Transportation Agency Safety Plan and assures that its content has met the requirements of Section 5329(d) of MAP-21 through the establishment of a comprehensive Safety Management Systems (SMS) framework. Fundamental safety beliefs guiding our approach include:

1. Safety is a core business value;
2. Safety excellence is a key component of our mission;
3. Safety is a source of our competitive advantage; our business will be strengthened by making safety excellence an integral part of all our public transportation activities; and
4. Accidents and serious incidents are preventable and do not occur out of the blue; they are preceded by precursors (events, behaviors, and conditions) are identified, assessed and mitigated through physical, administrative and behavioral defense strategies.

Basic elements of our safety approach include:

- Top Management Commitment to Safe Operations
- Responsibility and Accountability of all Employees
- Clearly Communicated Safety Goals
- Safety Assurance and Performance Measurement for Improvement

**1.3** YCIPTA and Contractor is committed to the safest transit operating standards possible. To achieve this, it is imperative that YCIPTA and Contractor have uninhibited reporting of all incidents and occurrences which may compromise the safe conduct of our operations. To this end, every employee is responsible for the communication of any information that may affect the integrity of transit safety. Such communication must be completely free of any form of reprisal.

YCIPTA and Contractor will not take disciplinary action against any employee who immediately discloses an incident or occurrence involving transit safety. This policy shall not apply to information received by YCIPTA or Contractor from a source other than the employee, or which involves an illegal act, or a deliberate or willful disregard of established regulations or procedures.

Employees are required by the Code of Conduct to immediately report accidents and injury events from the scene of occurrence while operating a Company vehicle.

If an employee has a safety concern that does not fall under the Code of Conduct guidelines for reporting, the following methods have been established to encourage reporting and ensure anonymity of the reporter, if so desired:

- Written reports submitted to any Supervisor or Manager
- Via email submitted to [brandy.brookins@ratpdev.com](mailto:brandy.brookins@ratpdev.com)
- Employee safety hotline: (928)539-7076 ext 212
- In person to supervisory or management personnel

The primary responsibility for transit safety rests with the Transit Operators and Safety Officers; however transit safety is everyone's concern.

YCIPTA and Contractors method of collecting, recording and disseminating information obtained from transit safety reports has been developed to protect, to the extent permissible by law, the identity of any employee who provides transit safety information. Information shall be submitted either in person, by phone or via email. The process of gathering this information for tracking purposes will be the responsibility of the supervisor who will include all pertinent information received. Once all information has been documented it will be forwarded to the Transit Director or General Manager for review. The Regional Safety Director will meet with the General Manager and Assistant General Managers monthly to discuss any necessary corrective actions.

**1.4** Positive safety culture must be generated from the top-down. The actions, attitudes, and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility of each employee with the ultimate responsibility for safety resting with the YCIPTA Transit Director and Contractor General Manager. Employees must trust that they will have management support for decisions made in the interest of safety while recognizing that intentional breaches of safety will not be tolerated.

The primary goal of safety promotion is to develop a positive safety culture that allows SMS to succeed. A positive safety culture at is defined as one which is:

**A. An Informed Culture**

- Employees understand the hazards and risks involved in their areas of operation;
- Employees are provided with the necessary knowledge, training and resources; and
- Employees work continuously to identify and overcome threats to safety.

**B. A Just Culture**

- Employees know and agree on what is acceptable and unacceptable behavior; and
- Human errors must be understood but negligence and willful violations will not be tolerated.

**C. A Reporting Culture**

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

**D. A Learning Culture**

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

**1.5** The agency must establish the necessary safety authorities, accountabilities, and responsibilities for the management of safety amongst the following roles

within its organization as they relate to the development and management of the SMS:

**1.5.1** Accountable Executive – YCIPTA Transit Director and/or Contractor General Manager

**1.5.2** Safety Officer – Safety and Training Officer

**1.5.3** See Appendix B.

An organizational chart for YCIPTA and Contractor is included in Appendix B of this plan.

## 2.0 SAFETY RISK MANAGEMENT (§673.25)

### 2.1 Safety Risk Management Process

#### 2.1.1 Safety Hazard Identification

2.1.1.1 Establishing effective hazard identification programs is fundamental to safety management. Hazard identification is reactive or proactive in nature. Occurrence reporting, incident investigation and trend monitoring are essentially reactive. Other hazard identification methods actively seek feedback by observing and analyzing day-to-day operations. Common hazard identification activities include:

- Safety assessments;
- Trend monitoring;
- Hazard and incident reporting;
- Safety surveys;
- Safety audits; and
- Evaluating customer suggestions and complaints.

The number of near-miss incidents, known as precursors, is significantly greater than the number of accidents for comparable types of events. The practice of reporting and learning from accident precursors is a valuable complement to other hazard identification practices. To be successful, hazard identification must take place within a non-punitive and just safety culture. YCIPTA and Contractor employs systematic safety improvements by discovering and learning of potential weaknesses in the system's safety.

2.1.1.2 YCIPTA and Contractor must consider, as a source for hazard identification, data and information provided by an oversight authority and the FTA.

#### 2.1.2 Safety Risk Assessment

2.1.2.1 Once hazards have been identified, YCIPTA and Contractor will conduct an assessment to determine their potential consequences. Factors to be considered are the likelihood of occurrence, the severity of the consequences should there be an occurrence, and the level of exposure to the hazard. YCIPTA and Contractor will assess risks subjectively by experienced personnel using a **Risk Assessment Matrix**. Results of the risk assessment process will help determine whether the risk is being



appropriately managed or controlled. If the risks are acceptable, the hazard will simply need monitoring. If the risks are unacceptable, steps will be taken by YCIPTA and Contractor to lower the risk to an acceptable or tolerable level, or to remove or avoid the hazard.

A risk assessment includes an assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on safety risk.

DESCRIPTIVE WORD	LEVEL	SPECIFIC INDIVIDUAL ITEM	FLEET OR INVENTORY
Frequent	A	Likely to occur frequently	Continuously experienced
Reasonably Probable	B	Will occur several times in life of an item	Will occur frequently
Occasional	C	Likely to occur sometime in life of an item	Will occur several times
Remote	D	Unlikely, but possible to occur in life of an item	Unlikely, but can reasonably be expected to occur
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced	Unlikely to occur, but possible

HAZARD FREQUENCY	CATEGORY I	CATEGORY II	CATEGORY III	CATEGORY IV
Frequent (A)	1A	2A	3A	4A
Probable (B)	1B	2B	3B	4B
Occasional (C)	1C	2C	3C	4C
Remote (D)	1D	2D	3D	4D
Improbable (E)	1E	2E	3E	4E

HAZARD FREQUENCY	HAZARD SEVERITY			
	CATEGORY I (Catastrophic)	CATEGORY II (Critical)	CATEGORY III (Serious)	CATEGORY IV (Minor)
Frequent (A)	1A	2A	3A	4A
Probable (B)	1B	2B	3B	4B
Occasional (C)	1C	2C	3C	4C
Remote (D)	1D	2D	3D	4D
Improbable (E)	1E	2E	3E	4E
Eliminated (F)	ELIMINATED			

Risk Assessment Matrix (Military Standard 882-E)

1A, 1B, 1C, 2A, 2B, 3A	Unacceptable
1D, 2C, 2D, 3B, 3C	Undesirable
1E, 2E, 3D, 3E, 4A, 4B	Acceptable with review
4C, 4D, 4E	Acceptable without review
Eliminated (F)	Hazard has been eliminated. No risk present.

### 2.1.3 Safety Risk Mitigation

2.1.3.1 The assessment process may indicate that certain hazards have an acceptable level of risk, while others require mitigation to an acceptable or tolerable level. YCIPTA and Contractor will further manage risk by completing a **Hazard Identification and Risk Assessment Log** that will help prioritize safety risks. The level of risk is lowered by reducing the severity of the potential consequences, by reducing the likelihood of occurrence and/or by reducing the exposure to that risk.

Risk Type	Risk Description	Current Measures to Reduce Risk	Risk Rating Likelihood	Risk Rating Severity	Further Action Required to Reduce Risk	Staff Responsibility

Hazard Identification and Risk Assessment Log Template

In general, YCIPTA and Contractor will take the following safety actions to mitigate risk. These actions are categorized into three broad categories, including:

**Physical Defenses:**

These include objects and technologies that are engineered to discourage, or warn against, or prevent inappropriate action or mitigate the consequences of events (e.g. traffic control devices, fences, safety restraining systems, transit controls/signals, transit monitoring systems, etc.)

**Administrative Defenses:**

These include procedures and practices that mitigate the likelihood of accident/incident (e.g. safety regulations, standard operating procedures, personnel proficiency, supervision inspection, training, etc.) and

**Behavioral Defenses:**

These include behavioral interventions through education and public awareness campaigns aimed at reducing risky and reckless behavior of motorists, passengers and pedestrians; factors outside the control of the agency. Examples include the LLLC and “Rock and Roll” campaigns.

Once hazards have been identified and risk levels assessed, YCIPTA and Contractor will prioritize safety risks. A **Prioritized Safety Risk Log** will be used to organize the system’s safety risks. The Prioritized Safety Risk Log will identify the priority level for safety risks, a description of the risk, planned mitigation strategies to address the risk, the outcome of the planned mitigation strategies, responsible staff, a timeline of the planned mitigation strategies, and the status of the prioritized safety risk. The Prioritized Safety Risk Log will be updated frequently to ensure continual progress towards risk reduction.

Priority	Risk Description	Planned Mitigation Strategies	Desired Outcomes	Responsible Staff	Timeline	Status

Prioritized Safety Risk Log Template

## 3.0 SAFETY ASSURANCE (§673.27)

### 3.1 Safety Assurance Process

Safety assurance provides the necessary feedback to ensure that the SMS is functioning effectively and that YCIPTA and Contractor are meeting or exceeding its safety objectives. Safety assurance requires a clear understanding of how safety performance will be evaluated, or in other words, what metrics will be used to assess system safety and determine if the safety management system is working properly. Having decided on the metrics by which success will be measured; safety management requires embedding these metrics in the organizational culture and encouraging their use for ongoing performance improvement.

### 3.2 Safety Performance Monitoring

**3.2.1** Setting safety goals and objectives is part of strategic planning and establishing the safety policy for YCIPTA and Contractor. Clearly defining safety goals is the first part in creating a safety performance measurement system.

**Safety goals** are general descriptions of desirable long-term impacts. For example, a general safety goal might be, *"Foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety."*

**Safety objectives or outcomes** are more specific statements that define measurable results. For example, a specific safety objective for the goal stated above might be, *"Establish regular transit safety meetings comprised of staff at varying levels, including executives, officers, managers, operators and maintenance personnel."*

The safety objective/outcome will then be measured by defining specific performance metrics, including a baseline and target that YCIPTA and Contractor will determine is reasonable.

**3.2.2** Performance measurement is the regular systematic collection, analysis and reporting of data that track resources used, work produced and whether specific outcomes were achieved. In other words, it is a tool to quantify and improve performance, and engage and communicate with YCIPTA and Contractor staff and external stakeholders. The two core functions of performance measurement include monitoring and

evaluating progress. Performance is measured in terms of inputs, outputs, outcomes, and efficiency among many other criteria.

YCIPTA and Contractor will utilize these basic principles of performance measurement, including:

- Stakeholder involvement and acceptance
- Focus on agency goals and activities
- Clarity and precision
- Creditability and robustness
- Variety of measures
- Number of measures
- Hierarchy of measures
- Forward-looking measures
- Integration into agency decision-making
- Timely reporting
- Understand agency specifics, including context and scale of operations
- Realism of goals and targets

**3.2.3** Once safety goals, objectives/outcomes and measures have been defined, they will be organized into a **Safety Performance Matrix**. Organizing information, particularly in a matrix, will allow YCIPTA and Contractor to continuously monitor safety performance and evaluate results. Used in conjunction with the Prioritized Safety Risk Log, targets can be compared against assessed risks and planned mitigations to evaluate the effectiveness of those mitigations. YCIPTA and Contractor will evaluate safety performance and update documentation at least semi-annually and provide its Safety Performance Targets to the YCIPTA on an annual basis. YCIPTA and Contractor's Safety Goals and Safety Performance Matrix and can be found in Appendix A of this plan.

**3.2.4** Upon receiving a report of a safety event (an accident, incident, injury, etc.) a Safety and Training Officer will be assigned to respond and investigate the event utilizing established company procedures. Documentation of the event will then be forwarded to YCIPTA and Contractor's Regional Safety Director for further evaluation. The Regional Safety Director will review and assess all factors that played a part in the event and determine which of those factors will be addressed within the system. All reported safety events, regardless of severity, will be investigated and subject to a hazard and/or risk analysis to determine the probability of future occurrence. Records of all investigations will be kept on file by the Director of Risk Management.

**3.2.5** The Regional Safety Director is responsible for monitoring and addressing information reported through internal safety reporting programs and maintaining a database of the reported incidents, investigative results, and corrective actions.

### **3.3 Management of Change**

**3.3.1** YCIPTA and Contractor understands that change is a necessity of doing business, but also understands that changes within the system may lead to new hazards. YCIPTA and Contractor safety personnel will coordinate early on with those involved in the procurement process to evaluate the proposed changes and assess their hazard risks utilizing a risk/hazard assessment matrix that incorporates the best available information available at the time of the assessment.

Whenever change is introduced into the system, YCIPTA and Contractor will ensure that all relevant employees receive the appropriate information and training on how to integrate the change into their daily work routine. Safety personnel will be on hand for these informational/training sessions to address any questions or concerns, and to note any areas that may require further evaluation.

**3.3.2** When an agreed upon change is introduced into the system, safety personnel will continue to monitor its potential effects on safety utilizing data obtained by relevant personnel interacting with the new addition, evaluate the new addition's contribution to any safety events that occur following its introduction, and perform routine checks on the addition(s) to evaluate any hitherto unforeseen problems that may pose future issues if not mitigated.

### **3.4 Continuous Improvement**

**3.4.1** YCIPTA and Contractor is committed to using the data collected and information learned to inform decision making and instill positive change. The main objective is the continuous improvement of transit system safety. When performance goals are not met, YCIPTA and Contractor will work to identify why such goals were not met and what actions will be taken to minimize the gap in achieving defined goals. However, when goals are easily achieved, action will be taken to exceed expectations and re-establish a reasonable baseline. Processes to ensure continuous improvement include:

- Conducting in-depth investigations when performance gaps are identified to determine what performance problems exist.

- Involving safety personnel to make informed resource allocation decisions that balance efficiency with safe operations.
- Utilizing data to identify the need for additional staff training or technical assistance.
- Motivating employees to continue making program improvements by communicating the implemented changes resultant from their input and the benefits those changes have had on system safety.

**3.4.2** If YCIPTA and Contractor identifies any deficiencies as part of its safety performance assessment, then the transit agency will develop and carry out, under the direction of the Accountable Executive, a plan to address identified safety deficiencies.

### 3.5 PTASP Annual Review

YCIPTA and Contractor will conduct an annual review of its PTASP to assess effectiveness and enact any necessary changes. The PTASP may also be updated at any time during the course of the year, specifically if a revision is required due to address specific issues based on implementation and compliance to MAP-21, Part 673 Safety Management System (SMS).

#### 3.5.1 PTASP Review Schedule

The PTASP is subject to an annual review. In the event that YCIPTA and Contractor conducts its annual PTASP review and determines that an update is necessary for the year, the Safety Officer will submit a revised PTASP to the ADOT Compliance Coordinator by **January 31**. As appropriate, referenced materials affected by the revision(s) must also be submitted with the PTASP.

At the beginning of the annual review, the Regional Safety Director will notify the YCIPTA and Contractor General Manager, the ADOT Compliance Coordinator, and all departments with safety responsibility of the requirement to review their section of the PTASP. Department Managers are responsible for appointing representatives from their respective areas to ensure that their sections of the PTASP are reviewed and updated as necessary. A Signature Concurrence Sheet is used by the Regional Safety Director to ensure that sections submitted by the respective departments have been reviewed and approved.

Changes to the PTASP may be made at any time with ADOT Compliance Coordinator and YCIPTA and Contractor Regional Safety Director approvals and signature authority from the YCIPTA and Contractor General Manager and ADOT Director of Transportation. The YCIPTA and

Contractor Regional Safety Director coordinates the reviews of the PTASP with the ADOT Compliance Coordinator and provides current plans to all other recipients as necessary.

For an update of any kind, as appropriate, referenced materials affected by the revision(s) will also be submitted. Each revised PTASP submitted to ADOT Compliance Coordinator/ADOT SSSO PM by the YCIPTA and Contractor Regional Safety Director will include a text or tabular summary that identifies and explains proposed changes and includes a time frame for completion of the associated activities. If, at any time during the document update process, the ADOT Compliance Coordinator determines that a working session regarding the document would be beneficial, the ADOT Compliance Coordinator may schedule such a working session with the Chief Safety Officer and any other personnel necessary to adequately address ADOT's concerns.

In the event that YCIPTA and Contractor conducts its annual PTASP review and determines that an update is not necessary for that year, the Regional Safety Director will prepare and submit by **January 31 of every year** formal correspondence notifying the ADOT Compliance Coordinator. If ADOT Compliance Coordinator wishes to object to this determination, the ADOT Compliance Coordinator will notify the Regional Safety Director within **30 calendar days**.

In the event of an update necessitated by implementation and compliance to MAP-21, Part 673, Safety Management System (SMS) and /or the ADOT Program Standard or procedures, the ADOT Compliance Coordinator will notify YCIPTA and Contractor of the requirement for an update, which will initiate the update process.

### **3.5.2 PTASP Change Management**

After receipt, review, and approval are completed, the Regional Safety Director has the responsibility to incorporate any proposed changes into the overall PTASP. The revised plan is then forwarded for management approval. Upon the completion of all required approvals, the Regional Safety Director will distribute the new plan within YCIPTA and Contractor and ADOT through YCIPTA and Contractor document control.

## **4.0 safety promotion (§673.29)**

### **4.1 Competencies and training**



YCIPTA and Contractor employees learn about SMS principles during the following training sessions and safety meetings:

- New hire employee training
- Monthly Maintenance safety meetings
- Refresher training and post-accident training
- Remedial training for employees with frequent concerns or issues
- Semi-annual Company-wide safety meetings

Employees are trained on the principles of SMS, its importance to safe operations at each transit facility, and its ease of use. They are also trained on the need for consistent, thorough reporting of safety issues and assured of the confidentiality of those reports. Through SMS training, employees are informed of how – when properly used – SMS improves safety culture throughout the organization.

The SMS training will be primarily taught and reinforced by employees occupying the following positions at YCIPTA and Contractor:

- General Manager
- Director of Risk Management
- Quality Assurance Officer
- Training Manager
- Maintenance Manager
- Operations Manager
- Maintenance and Operations Supervisors

The above mentioned staff has either attended or is encouraged to attend the following courses, webinars, and conferences:

- 1.) Transportation Safety Institute (TSI) – SMS Awareness.
- 2.) TSI – SMS Safety Assurance.
- 3.) TSI – Transit Bus System Safety
- 4.) NTI – National Transit Database (NTD) reporting.
- 5.) American Public Transportation Association (APTA) – meetings and conferences
- 6.) Arizona Transit Association (AZTA) – meetings and conferences.

***Safety Management Training Topics Include:***

**A. Initial Safety Training for All Staff**

1. Basic principles of safety management including the integrated nature of SMS, risk management, safety culture, etc.;

2. Corporate safety philosophy, safety goals and objectives, safety policy, and safety standards
3. Importance of complying with the safety policy and SMS procedures, and the approach to disciplinary actions for different safety issues;
4. Organizational structure, roles and responsibilities of staff in relation to safety;
5. YCIPTA and Contractor's safety record, including areas of systemic weakness;
6. Requirement for ongoing internal assessment of organization safety performance (e.g. employee surveys, safety audits, and assessments);
7. Reporting accidents, incidents, and perceived hazards;
8. Lines of communication for safety managers;
9. Feedback and communication methods for the dissemination of safety information; and
10. Safety promotion and information dissemination.

#### **B. Safety Training for Operations Personnel**

1. Unique hazards facing operational personnel;
2. Seasonal safety hazards and procedures (e.g. summer monsoon operations);
3. Procedures for hazard reporting;
4. Procedures for reporting accidents and incidents; and
5. Emergency procedures.

#### **C. Safety Training for Management**

1. Principles of the SMS;
2. Management responsibilities and accountabilities for safety; and
3. Legal issues (e.g. liability).

#### **D. Training for the Safety Officer**

1. Familiarization with different transit modes, types of operation, types of vehicles and routes.
2. Understanding the role of human performance in accident causation and prevention;
3. Operation of SMS;
4. Investigating safety occurrences;
5. Crisis management and emergency response planning;
6. Safety promotion;
7. Communication skills;
8. Performing safety audits and assessments;
9. Monitoring safety performance; and NTD incident reporting requirements.

## 4.2 Safety communication

YCIPTA and Contractor believes safety communication and promotion are critical to the success of SMS by ensuring that the entire organization fully understands and trusts the SMS policies, procedures, and structure. It involves establishing a culture that recognizes safety as a core value, training employees in safety principles, and allowing open communications of safety issues.

The primary goal of safety communication and promotion at YCIPTA and Contractor is to develop a positive safety culture that allows SMS to succeed. A positive safety culture at YCIPTA and Contractor is defined as one which is:

### **A. An Informed Culture**

- Employees understand the hazards and risks involved in their areas of operation;
- Employees are provided with the necessary knowledge, training and resources;
- Employees are informed of safety action updates through Safety Meetings, one-on-one interactions, and/or informational postings in common areas; and
- Employees work continuously to identify and overcome threats to safety.

### **B. A Just Culture**

- Employees know and agree on what is acceptable and unacceptable behavior; and
- Human errors must be understood but negligence and willful violations will not be tolerated.

### **C. A Reporting Culture**

- Employees are encouraged to voice safety concerns and to share critical safety information without the threat of punitive action;
- When safety concerns are reported they are analyzed and appropriate action is taken; and
- Employees are informed on the outcomes of hazard investigations and mitigation strategies.

### **D. A Learning Culture**

- Learning is valued as a lifetime process beyond basic-skills training;
- Employees are encouraged to develop and apply their own skills and knowledge to enhance safety and to share that knowledge

with their fellow employees, as well as supervisory and management staff;

- Employees are updated on safety issues by management and safety reports are fed back to staff so that everyone learns the pertinent lessons.

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# Chapter 4

## Safety Plan Documentation and Recordkeeping

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### **SAFETY PLAN DOCUMENTATION AND RECORDKEEPING (§673.31)**

At all times, YCIPTA and Contractor will maintain documents that set forth their PTASP, including those related the implementation of its Safety Management System (SMS) and results from its SMS processes and activities.

YCIPTA and Contractor will maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that they use to carry out their PTASP.

All documents related this PTASP shall be made available, upon request by the FTA, and other Federal entity, and/or ADOT's State Safety Oversight Agency staff.

All PTASP documents shall be maintained for a minimum of three (3) years after they are created.

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# Appendix A

## Safety Performance Targets

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### Appendix A.1 – YCIPTA and Contractor Safety Performance Targets

YCAT Safety Performance Targets								
Fiscal Year	Fatalities Total	Fatalities Rate	Injuries Total	Injuries Rate	Preventable Accidents Total	Preventable Accidents Rate	Safety Events Total	Safety Events Rate
Baseline per 100,000 service miles								
2020	0	0	5	0.56	9	0.94	29	3.52
Goals per 100,000 service miles								
2021	0	0	4	0.42	7	0.76	25	2.61
2022	0	0	4	0.42	6	0.63	22	2.31
2023	0	0	3	0.31	5	0.52	20	2.1
2024	0	0	3	0.31	4	0.42	18	1.89
2025	0	0	2	0.21	4	0.42	15	1.57



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Appendix A.2 Safety Performance Matrix

<b>GOAL 1: SMS TO REDUCE FATALITIES</b>			
YCIPTA and Contractor will utilize a safety management systems framework to identify safety hazards, mitigate risk, and reduce casualties and occurrences resulting from transit operations.			
OBJECTIVE/OUTCOME	METRICS	BASELINES	TARGETS
Reduce the number of transit-related fatalities.	Zero fatalities per 100,000 miles.	Zero fatalities.	1.) Continue to promote safety awareness utilizing safe behaviors posters placed throughout Sun Tran facility. 2.) Provide one-on-one retraining to Operators who have been observed engaging in unsafe activity, whether or not it resulted in an accident.

<b>GOAL 2: SMS TO REDUCE INJURIES</b>			
YCIPTA and Contractor will utilize a safety management systems framework to identify safety hazards, mitigate risk, and reduce injuries and occurrences resulting from transit operations.			
OBJECTIVE/OUTCOME	METRICS	BASELINES	TARGETS
Reduce the number of transit-related passenger injuries.	52 passenger injuries in the next fiscal year, and a 10% reduction each following fiscal year.	58	1) Develop and implement system safety campaigns. 2) Investigate injury incidents to determine root cause and implement mitigations to prevent recurrence.
Reduce the number of employee injuries.	115 work-related injuries in the next fiscal year, and a 10% reduction each following fiscal year.	122	1.) Develop and implement system safety campaigns. 2.) Root cause analysis to identify unsafe work practices.

<b>GOAL 3: SMS TO REDUCE SAFETY EVENTS</b>			
YCIPTA and Contractor will utilize a safety management systems framework to identify safety hazards, mitigate risk, and reduce safety events resulting from transit operations.			
OBJECTIVE/OUTCOME	METRICS	BASELINES	TARGETS
Increase assessment and analysis of existing personnel, equipment and procedures to identify and mitigate and potential safety hazards.	1) Perform ride checks on each Operator twice a year. 2) Review one (1) random vehicle video each week. 3) Investigate 95% of service reports within ten (10) days.	1) Ride checks performed once per year per Operator 2) Zero (0) random video reviews per week. 3) 90% of service reports investigated within ten (10) days.	1.) Perform ride checks on all Operators yearly. 2.) Perform random video reviews of Coach Operators. 3.) Review customer service reports daily to ensure reported potential safety hazards are mitigated.
Develop a corrective action plan and mitigation strategies to address identified hazards.	1) Perform corrective case interviews following 100% of all safety-related issues. 2) Perform retraining within fifteen (15) days following 100% of any incidents, accidents, or injuries. 3) Apply progressive discipline when necessary	1) Corrective case interviews performed following 90% of safety-related issues. 2) Retrainings performed on 90% of Operators within 45 days of incidents, accidents, or injuries. 3) Adhere to Code of Conduct when issuing progressive discipline.	Continue to promote safety awareness utilizing safe behaviors information posted throughout the Sun Tran facility.

<b>GOAL 4: SYSTEMS/EQUIPMENT</b>			
<b>YCIPTA and Contractor</b> will provide safe and efficient transit operation by ensuring that all vehicles, equipment, and facilities are regularly inspected, maintained and serviced.			
<b>OBJECTIVE/OUTCOME</b>	<b>METRICS</b>	<b>BASELINES</b>	<b>TARGETS</b>
Reduce the number of vehicle/equipment/facility maintenance issues reported.	13,000 miles between road calls per fiscal year, increase by 10% each following fiscal year.	11,000 miles between road calls.	1.) Perform all required PMs 2.) Ensure quality maintenance and repairs
Increase scheduled preventative maintenance.	Perform 100% of required PMs per fiscal year.	100% of required PMs performed.	1.) Perform all required PMs 2.) Ensure quality maintenance and repairs
Improve On-Time Performance	On-Time Performance at 95% or better.	92%	1.) Identify and counsel Operators with a pattern of running early (apply disciplinary process if applicable). 2.) Evaluate scheduling efficiency on routes with poor on-time performance and make adjustments as needed.

<b>GOAL 5: SAFETY CULTURE</b>			
<b>YCIPTA and Contractor</b> will foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.			
<b>OBJECTIVE/OUTCOME</b>	<b>METRICS</b>	<b>BASELINES</b>	<b>TARGETS</b>
Establish regular transit safety meetings comprised of staff at various levels, including executive leadership, officers, managers, operators and maintenance personnel.	1.) Two (2) employee safety meetings per year 2.) Monthly maintenance meetings. 3.) Monthly Management/Labor meetings. 4.) Executive/Director meetings twice a month. 5.) Assault Prevention Committee meeting once per month.	1.) Two (2) employee safety meetings per year 2.) Monthly maintenance meetings. 3.) Monthly Management/Labor meetings. 4.) Executive/Director meetings twice a month. 5.) Assault Prevention Committee meeting once per month.	Maintain current schedule.
Develop and promote a Non-Punitive reporting Policy.	5% of reported incidents and occurrences self-reported.	Employees report near miss occurrences via radio.	1.) Develop non-punitive log. 2.) Encourage employees to self-report near misses and other safety incidents.
Increase employee safety training opportunities and attendance.	100 hours of training per month.	1.) Accident, incident, or injury training as needed. 2.) Refresher training as needed. 3.) Monthly maintenance safety meetings.	1.) Accident, incident, and injury training after event. 2.) Refresher training when available. 3.) Continued maintenance training as scheduled.
Increase safety material distributed among employees and to the general public.	Weekly or monthly.	1.) Material developed as needed. 2.) Weekly safety message posted on safety board. 3.) Keep OIG updated for employees.	Establish reasonable measure using past and present performance data and trends.

# Appendix B

## Staff Safety Roles and Responsibilities

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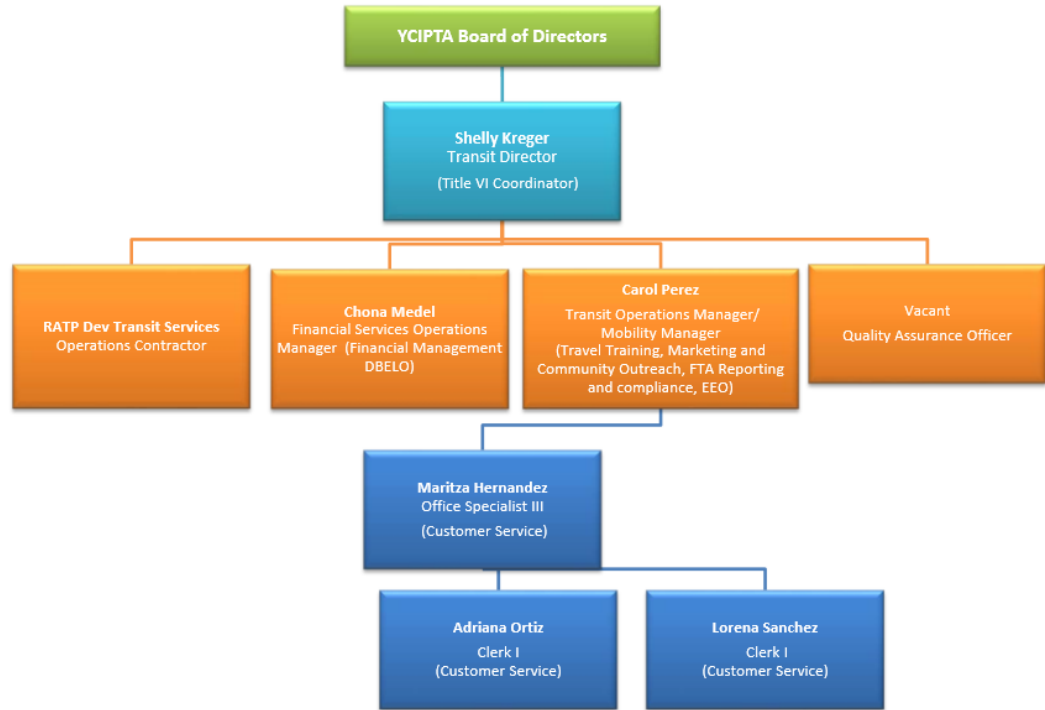
### Appendix B.1 Staff Safety Roles and Responsibilities for YCIPTA and Contractor

Position Title	Position Description	Safety Responsibilities
Director of Risk Management	Ensure coordinated development and implementation of the PTASP	<ul style="list-style-type: none"> <li>• Promoting safety awareness throughout the organization;</li> <li>• Ensuring that safety documentation is current and accessible to all employees;</li> <li>• Communicating changes in safety documents to all personnel;</li> <li>• Monitoring the effectiveness of corrective actions;</li> <li>• Providing periodic reports on safety performance;</li> <li>• Rendering independent advice to the GM, senior managers, and other personnel on safety-related matters; and</li> <li>• Ensuring that safety management has a high priority throughout the organization</li> </ul>
Transit Supervisors	Supervisors are responsible for communicating the transit agency's safety policies to all employees.	<ul style="list-style-type: none"> <li>• Having full knowledge of all standard and safety operating procedures</li> <li>• Ensuring that drivers make safety a primary concern when on the job</li> <li>• Listening and acting upon any safety concerns raised by the drivers</li> <li>• Immediately reporting safety concerns to the SM</li> <li>• Provide leadership and direction to employees during security incidents</li> <li>• Handle minor non-threatening rule violations</li> <li>• Defuse minor arguments</li> <li>• Determine when to call for assistance</li> <li>• Respond to fare disputes and service complaints</li> <li>• Respond to security related calls with police officers when required, rendering assistance with crowd control, victim/witness information gathering, and general on-scene assistance</li> <li>• Complete necessary security related reports</li> <li>• Take photographs of damage and injuries</li> <li>• Coordinate with all outside agencies at incident scenes</li> </ul>
Bus Operators	Drivers are responsible for exercising maximum care and good judgment in identifying and reporting suspicious activities, in managing security incidents, and in responding to emergencies.	<ul style="list-style-type: none"> <li>• Take charge of a hazard incident scene until the arrival of supervisory or emergency personnel</li> <li>• Collect fares in accordance with agency policy</li> <li>• Be familiar with YCIPTA and Contractor Employee Manual and Procedures</li> <li>• Attempt to handle minor non-threatening rule violations</li> <li>• Respond verbally to complaints</li> <li>• Attempt to defuse minor arguments</li> <li>• Determine when to call for assistance</li> <li>• Maintain control of the vehicle</li> <li>• Report all safety incidents to Supervisor on duty</li> <li>• Complete all necessary safety related reports</li> </ul>
Maintenance Employees	Requires the ability to understand all training manuals and communication	<ul style="list-style-type: none"> <li>• Be familiar with YCIPTA and Contractor Employee Manual and Procedures</li> </ul>

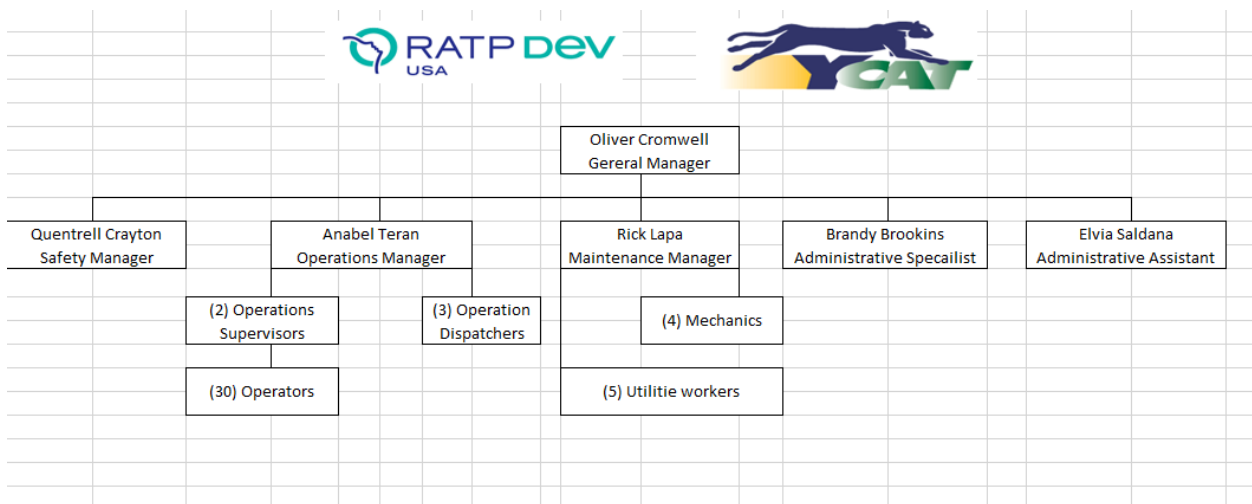
	skills. The ability to operate a variety of power and hand tools is required. The job requires considerable physical skill and sustained periods of physical effort.	<ul style="list-style-type: none"> <li>• Be familiar with vehicle and equipment manuals and procedures</li> <li>• Respond verbally to complaints</li> <li>• Attempt to defuse minor arguments</li> <li>• Maintain control of the vehicle</li> <li>• Report all safety incidents to Supervisor on duty</li> <li>• Complete all necessary safety related reports</li> </ul>
Safety Training Supervisor	Conducts classroom training for new drivers as outlined in the company training procedures and meets Federal, state and local requirements. Updates training materials, as required. Coordinates on-going operator training. Coordinates CDL training to include CDL training. Coordinates and ensures that all driver ride checks are completed accurately and timely. Coordinates the safety award program. Assists in accident investigations and accident review boards. Maintains accurate training and safety records for all bargaining unit personnel. Participates in monthly pullout inspections. Schedules safety committee meetings. Performs other duties as required.	<ul style="list-style-type: none"> <li>• Listening and acting upon any safety concerns raised by the drivers;</li> <li>• Promoting safety awareness throughout the organization;</li> <li>• Communicating changes in safety documents to all personnel;</li> <li>• Coordinate and conduct post-accident and injury training;</li> <li>• Ensuring that safety management has a high priority throughout the organization</li> </ul>
Training Manager	The purpose of this position is to develop, implement and manage training for bus operators, maintenance and administrative staff. This is accomplished by interviewing and selecting new coach operators; managing the five-week training program; tracking performance; and determining which current employees require training. Other duties include conducting monthly maintenance safety meetings, facilitating travel arrangements for administrative staff, assisting with ADA training and completing other duties as assigned.	<ul style="list-style-type: none"> <li>• Promoting safety awareness throughout the organization;</li> <li>• Listening to employees, being responsive to them by promptly answering their questions, and resolving their safety concerns;</li> <li>• Responsible for ensuring employees receive training, including SMS;</li> <li>• Ensuring that safety documentation is current and accessible to all employees;</li> <li>• Communicating changes in safety documents to all personnel;</li> <li>• Fostering a positive, professional, safe and courteous learning environment;</li> <li>• Ensuring that safety management has a high priority throughout the organization</li> </ul>
Assistant General Manager Maintenance Facilities Information Technology	The purpose of this position is to plan, organize, and direct the operations of the maintenance, facilities, IT departments. This is accomplished by managing the department; maintaining safety; and supervising employees.	<ul style="list-style-type: none"> <li>• Promoting safety awareness throughout the organization;</li> <li>• Ensuring that safety documentation is current and accessible to all employees;</li> <li>• Communicating changes in safety documents to all personnel;</li> <li>• Monitoring the effectiveness of corrective actions;</li> <li>• Ensuring that safety management has a high priority throughout the organization</li> </ul>
Maintenance Supervisor	Supervisors are responsible for communicating the transit agency's safety policies to all employees.	<ul style="list-style-type: none"> <li>• Having full knowledge of all standard and safety operating procedures</li> <li>• Ensuring that Maintenance employees make safety a primary concern when on the job</li> </ul>

		<ul style="list-style-type: none"> <li>• Ensuring Maintenance employees wear proper PPE when working on vehicles</li> <li>• Listening and acting upon any safety concerns raised by the Maintenance employees</li> <li>• Immediately reporting safety concerns to the SM</li> <li>• Provide leadership and direction to employees during security incidents</li> <li>• Handle minor non-threatening rule violations</li> <li>• Defuse minor arguments</li> <li>• Determine when to call for assistance</li> <li>• Complete necessary security related reports</li> <li>• Take photographs of damage and injuries</li> </ul>
Assistant General Manager Operations	The purpose of this position is to perform the daily management coordination of YCIPTA and Contractor. This is accomplished by managing and supervising operations personnel and monitoring of day-to-day activities.	<ul style="list-style-type: none"> <li>• Promoting safety awareness throughout the organization;</li> <li>• Ensuring that safety documentation is current and accessible to all employees;</li> <li>• Communicating changes in safety documents to all personnel;</li> <li>• Monitoring the effectiveness of corrective actions;</li> <li>• Ensuring that safety management has a high priority throughout the organization</li> </ul>
Operations Manager	The purpose of this position is to perform the daily management coordination of YCIPTA and Contractor. This is accomplished by managing and supervising operations personnel and monitoring of day-to-day activities. Other duties include coordinating special events service and managing personnel.	<ul style="list-style-type: none"> <li>• Promoting safety awareness throughout the organization;</li> <li>• Ensuring that safety documentation is current and accessible to all employees;</li> <li>• Communicating changes in safety documents to all personnel;</li> <li>• Monitoring the effectiveness of corrective actions;</li> <li>• Ensuring that safety management has a high priority throughout the organization</li> </ul>
Maintenance Manager	The purpose of this position is to plan, organize, and direct the operations of the maintenance department. This is accomplished by managing the department; maintaining safety; and supervising employees. Other duties include participating in special events and committees.	<ul style="list-style-type: none"> <li>• Promoting safety awareness throughout the organization;</li> <li>• Ensuring that safety documentation is current and accessible to all employees;</li> <li>• Communicating changes in safety documents to all personnel;</li> <li>• Monitoring the effectiveness of corrective actions;</li> <li>• Ensuring that safety management has a high priority throughout the organization</li> </ul>

## Appendix B.2 – Organizational Chart



YCIPTA Organization Chart FY 2020-21





# Appendix C

## Hazard Identification and Risk Assessment Log

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### YCIPTA and Contractor Hazard Identification and Risk Assessment Log

Risk Type	Risk Description	Current Measures to Reduce Risk	Risk Rating Likelihood	Risk Rating Severity	Further Action Required to Reduce Risk	Staff Responsibility
Human Error	Not properly restraining passengers and securing mobility devices	<ul style="list-style-type: none"> <li>• Minimum competency requirements such as willingness and ability</li> <li>• Effective safety culture in agency</li> <li>• Discuss the ADA and its elements</li> <li>• ADA training conducted which includes discussion, demonstration, and observe the employee</li> <li>• Availability of procedures</li> <li>• Resources provided</li> <li>• Recurrent training</li> </ul>	5	4B	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Competency assessments</li> <li>• Refresher training and feedback</li> <li>• Progressive discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> </ul>
Human Error	Making contact with stationary objects	<ul style="list-style-type: none"> <li>• Policies and procedures</li> <li>• Safety best practices</li> <li>• LLLC</li> <li>• Driving Training</li> <li>• Safety posters and messages</li> <li>• Retraining</li> <li>• Ride checks</li> </ul>	1	5A	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Root cause analysis</li> <li>• Encourage the employee to avoid distraction</li> <li>• Post-accident retraining and feedback</li> <li>• Progressive discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> </ul>
Human Error	Rear-end collisions	<ul style="list-style-type: none"> <li>• Policies and procedures</li> </ul>	2	4B	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> </ul>

		<ul style="list-style-type: none"> <li>• Safety best practices</li> <li>• LLLC</li> <li>• Driving Training</li> <li>• Safety posters and messages</li> <li>• Ride checks</li> </ul>			<ul style="list-style-type: none"> <li>• Effective supervision including work compliance assessment</li> <li>• Root cause analysis</li> <li>• Encourage employee to avoid unsafe behavior patterns</li> <li>• Post-accident retraining and feedback</li> <li>• Progressive discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> </ul>
Human error	Slip, trips and falls	<ul style="list-style-type: none"> <li>• Policies and procedures</li> <li>• Safety best practices</li> <li>• Preventing Slip, Trip, and Fall training</li> </ul>	3	4C	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Root cause analysis</li> <li>• Post-injury retraining and feedback</li> <li>• Progressive discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> <li>• Maintenance Manager</li> <li>• Maintenance Supervisor</li> </ul>
Human error	Employees speeding in company vehicles	<ul style="list-style-type: none"> <li>• Policies and procedures</li> <li>• Safety best practices</li> <li>• Driving Training</li> </ul>	2	3C	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Root cause analysis</li> <li>• Progressive discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> <li>• Maintenance Manager</li> <li>• Maintenance Supervisor</li> </ul>
Human error	Employees not wearing PPE	<ul style="list-style-type: none"> <li>• Policies and procedures</li> <li>• Safety best practices</li> <li>• PPE availability in work areas</li> <li>• Supervisor checks</li> <li>• Workplace inspections</li> <li>• Safety posters and messages</li> <li>• Toolbox talks</li> <li>• Safety meetings</li> </ul>	4	3D	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Root cause analysis</li> <li>• Progressive discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> <li>• Maintenance Manager</li> <li>• Maintenance Supervisor</li> </ul>
Human error	Not allowing proper following distance	<ul style="list-style-type: none"> <li>• Policies and procedures</li> <li>• Safety best practices</li> <li>• Coach employees not to exceed their</li> </ul>	3	4D	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Root cause analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> </ul>

		performance capabilities <ul style="list-style-type: none"> <li>• Driving Training</li> <li>• LLLC Training</li> <li>• Encourage not to engage in unsafe behaviors</li> </ul>				
Human error	Not practicing defensive driving	<ul style="list-style-type: none"> <li>• Policies and procedures</li> <li>• Safety best practices</li> <li>• Driving Training</li> <li>• LLLC Training</li> </ul>	4	4D	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Root cause analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> </ul>
Human Error	Not allowing passengers enough time to sit	<ul style="list-style-type: none"> <li>• Policies and procedures</li> <li>• Customer Service Training</li> <li>• Safety best practices</li> <li>• Encourage coach operators to check their mirrors before accelerating from a bus stop</li> </ul>	2	4C	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Root cause analysis</li> <li>• Post-injury training</li> <li>• Progressive discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> </ul>
Human Error	Checking mirrors and surroundings when closing doors	<ul style="list-style-type: none"> <li>• Policies and procedures</li> <li>• Safety best practices</li> <li>• Customer Service training</li> </ul>	2	4C	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Root cause analysis</li> <li>• Post-injury training</li> <li>• Progressive discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Operations Manager</li> <li>• Safety Training Coordinator</li> <li>• Training Manager</li> </ul>

# Appendix D

## Prioritized Safety Risk Logs

### YCIPTA and Contractor Prioritized Safety Risk Log

PRIORITIZED SAFETY RISK LOG						
Priority	Risk Description	Planned Mitigation Strategies	Desired Outcomes	Responsible Staff	Timeline	Status
1	Failure to properly secure passengers and mobility devices.	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Competency assessments; Refresher training and feedback; Progressive discipline.	Eliminate passenger injuries; Improve customer service; Reduce liability costs.	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open
2	Failure to practice defensive driving.	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Root cause analysis.	Reduce near-miss incidents; Reduce preventable accidents; Improve customer experience.	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open
3	Failure to observe proper following distance.	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Root cause analysis.	Reduce near-miss incidents; Reduce preventable accidents; Improve customer experience.	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open
4	Employees failing to wear PPE.	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Root cause analysis; Disciplinary action.	Reduce workplace injuries; Protect employees; Foster a safe work environment.	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open
5	Slips, trips, and falls	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Root cause analysis; Post-injury retraining and feedback; Disciplinary action.	Reduce workplace injuries; Protect employees; Foster a safe work environment.	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open
6	Failing to allow passengers adequate time to sit before	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Root cause analysis; Post-incident retraining and feedback; Disciplinary action.	Eliminate passenger injuries; Improve customer service; Reduce liability costs; Improve customer experience.	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open
7	Failure to check mirrors and surroundings when closing doors and departing from stops.	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Root cause analysis; Post-incident retraining and feedback; Disciplinary action.	Reduce near-miss incidents; Reduce preventable accidents; Improve customer experience.	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open
8	Rear-end collisions involving transit revenue vehicles.	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Root cause analysis; Discourage unsafe behavior patterns; Post-incident retraining and feedback; Disciplinary action.	Reduce preventable accidents; Reduce liability costs; Improve customer experience.	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open
9	Employees speeding while operating a Company vehicle.	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Root cause analysis; Disciplinary action.	Reduce near-miss incidents; Reduce preventable accidents;	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open
10	Fixed object collisions.	Introduce compliance monitoring; Effective supervision, including work compliance assessments; Root cause analysis; Discourage distracted driving behaviors; Post-incident retraining and feedback; Disciplinary action.	Reduce near-miss incidents; Reduce preventable accidents; Improve customer experience; Improve on-time performance.	Operations Manager Safety Training Coordinator Training Manager	Begin January 2020 Complete August 2020	Open

# Public Transportation Agency Safety Plan Final Rule

## Fact Sheet



### Overview

The Public Transportation Agency Safety Plan (PTASP) final rule (49 C.F.R. Part 673) requires certain operators of public transportation systems that are recipients or sub-recipients of FTA grant funds to develop safety plans that include the processes and procedures necessary for implementing Safety Management Systems (SMS).

### Effective Date

The final rule becomes effective on July 19, 2019. Each transit operator is required to certify that it has a safety plan meeting the requirements of the rule by July 20, 2020.

### To Whom Does the PTASP Rule Apply?

The rule **applies** to:

- Recipients or sub-recipients of financial assistance under 49 U.S.C. § 5307 that operate a public transportation system.
- Operators of rail systems subject to FTA's State Safety Oversight Program.

The rule **does not apply** to:

- Commuter rail service that is regulated by the Federal Railroad Administration.
- Passenger ferry service that is regulated by the U.S. Coast Guard.
- An operator of a public transportation system that only receives financial assistance under the Formula Grants for Enhanced Mobility of Seniors and Individuals with Disabilities Program (49 U.S.C. § 5310) and/or Formula Grants for Rural Areas Program (49 U.S.C. § 5311).

### General Requirements for PTASPs

Each safety plan must include, at a minimum:

- An approval by the agency's Accountable Executive and Board of Directors (or an equivalent authority);
- The designation of a Chief Safety Officer;
- The documented processes of the agency's SMS, including the agency's Safety Management Policy and processes for Safety Risk Management, Safety Assurance, and Safety Promotion;
- An employee reporting program;
- Performance targets based on the safety performance measures established in FTA's National Public Transportation Safety Plan (NSP);
- Criteria to address all applicable requirements and standards set forth in FTA's Public Transportation Safety Program and the NSP; and
- A process and timeline for conducting an annual review and update of the safety plan.

A rail transit agency's safety plan also must include or incorporate by reference an emergency preparedness and response plan or procedures.

### Who Develops and Implements a Safety Plan?

- Rail transit agencies to whom the PTASP rule applies must develop and implement their own safety plans.
- Small public transportation providers\* that do not operate rail transit systems and to whom the PTASP rule applies may have their states draft safety plans on their behalf, or they may opt to draft their own safety plans. In either case, the small bus operator must implement the safety plan.
- Large bus operators (operating more than 100 vehicles in peak revenue service) to whom the PTASP rule applies must draft and implement their own safety plans.

\*A small public transportation provider operates 100 or fewer vehicles in peak revenue service across all non-rail fixed route modes, or in any one non-fixed route mode.



## Who Approves a Safety Plan?

- Each safety plan must be signed by an operator's Accountable Executive.
- Each safety plan must be approved by its Board of Directors or an equivalent authority (such as a mayor, county executive, or grant manager).
- State Safety Oversight Agencies (SSOAs) must approve the safety plans of the rail transit agencies they oversee.

## Certification of Compliance

- Each transit agency must annually certify via FTA's [Certifications and Assurances](#) process that its safety plan meets the requirements of the final rule.
- States must certify safety plans on behalf of small public transportation providers that operate 100 or fewer vehicles in peak revenue service within their states, unless providers opt to certify their own safety plans upon notification to the state.

## Documentation and Recordkeeping

- A transit agency must maintain documents that set forth its safety plan, including those related to SMS implementation.
- These documents must be made available upon request by FTA and other agencies with safety jurisdiction, such as the National Transportation Safety Board (NTSB) and SSOAs.
- A transit agency must maintain these documents for a minimum of three years after they are created.

## PTASP and the National Public Transportation Safety Plan (NSP)

Under the PTASP rule, an operator is required to set safety performance targets based on the safety performance measures in the [NSP](#).

The NSP safety performance measures are:

- Fatalities
- Injuries
- Safety Events
- System Reliability (State of Good Repair)

## SMS Components of a Safety Plan

### **Safety Management Policy**

- Safety objectives
- Confidential employee reporting program
- Organizational accountabilities and safety responsibilities
- Designation of a Chief Safety Officer

### **Safety Risk Management**

- Processes for hazard identification
- Risk assessment
- Mitigation development

### **Safety Assurance**

All operators develop processes for:

- Safety performance monitoring and measurement

Rail and large bus operators develop processes for:

- Management of change
- Continuous improvement

### **Safety Promotion**

- Comprehensive safety training program
- Safety communication

## Relationship to [Transit Asset Management](#)

- A transit agency should consider the results of its asset condition assessments while performing safety risk management and safety assurance activities.
- The results of the condition assessments and subsequent SMS analysis should inform an operator's investment priorities.

## Contact

For more information, please email [PTASP\\_OA@dot.gov](mailto:PTASP_OA@dot.gov).



Monthly YCIPTA board meeting report RatpDev

Oliver Cromwell GM

11/14/2020

This monthly report is intended to summarize any route operations, maintenance, management or finance operations or actions that fall outside of normal operations for YCAT public transit.

COVID 19.

- Increased routes and times have been in effect since November 9<sup>th</sup> due to demand. Safety precautions are implemented to protect our operators and the public, entry in rear door only unless wheelchair ramp is needed, reduced passenger capacity, some seats blocked off to increase passenger distance. Current fixed route services will remain in effect until further notice.
- In addition to our normal cleaning and sanitizing we also sanitize all vehicles nightly in addition to sanitizing vehicles enroute at transfer points.
- Driver shields have been ordered for all revenue vehicles the first rough fitment will be the second week of January completion ETA is unknown at this time.



Date: 12/14/2020

From: Oliver Cromwell GM YCAT

## YCAT Maintenance KPI's (November 2020)

PMI Completed.....	(18)
PMI On Time Percentage.....	(94.7%)
Road Calls.....	(30)
Road Calls as Defined by the NTD.....	(7)
Miles Between Road Calls.....	(October 1,869. November's errors being corrected)

Guideline/Minimum standards.

- PMI on time percentages FTA/ADOT minimum 80%. YCIPTA minimum 90%





## PMIs COMPLETED

Period: 11/1/2020 - 11/30/2020

Bus #	Interval	Mileage at Previous PMI	Mileage at PMI	Miles Since Last PMI	On-Time	PMI
117	4000 miles	379,078	383,028	3,950	On Time	A-5
123	4000 miles	302,213	305,840	3,627	On Time	A-2
130	5000 miles	498,365	503,092	4,727	On Time	A-5
132	5000 miles	550,368	555,502	5,134	On Time	A-1
134	4000 miles	79,374	83,003	3,629	On Time	A-9
138	6000 miles	149,106	154,566	5,460	On Time	A-2
202	6000 miles	100,820	106,397	5,577	On Time	A-1
203	6000 miles	110,561	116,525	5,964	On Time	A-6
204	6000 miles	92,435	98,395	5,960	On Time	A-4
205	6000 miles	94,310	100,005	5,695	On Time	B
300	4000 miles	101,370	105,467	4,097	On Time	A-8
301	4000 miles	82,733	86,263	3,530	Early	A-6
301	4000 miles	86,263	90,115	3,852	On Time	A-7
302	4000 miles	33,676	37,471	3,795	On Time	B-2
303	4000 miles	0	2,765	0	N/A	A-1
350	4000 miles	0	2,023	0	N/A	A-1
351	4000 miles	0	2,373	0	N/A	A-1
1100	4000 miles	11,532	15,135	3,603	On Time	A-4
1101	4000 miles	39,982	43,591	3,609	On Time	A-9

**PMIs Completed: 19**

<b>On Time: 18</b>	<b>94.7%</b>
<b>Early: 1</b>	<b>5.3%</b>
<b>Late: 0</b>	<b>0.0%</b>

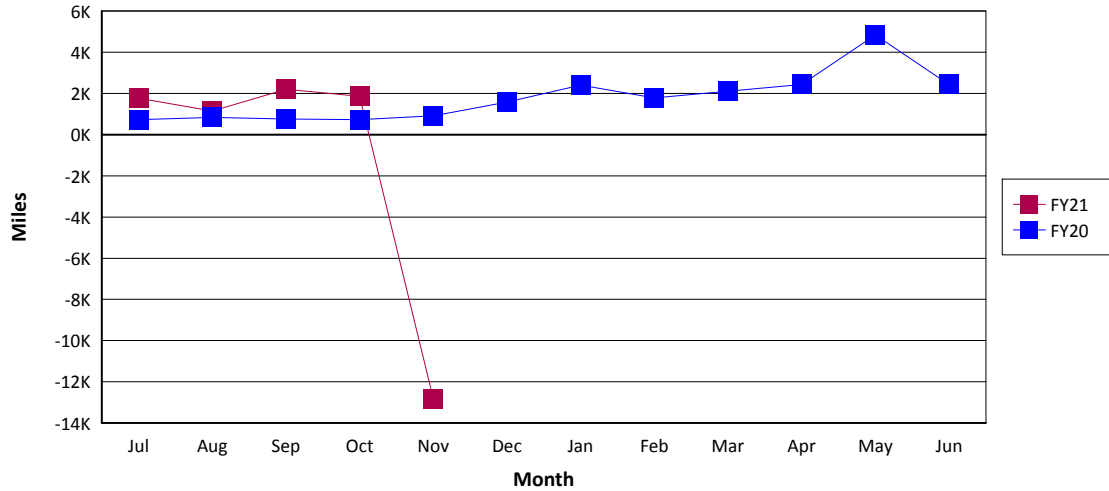
Note: "On Time" is based on mileage not days.



# MILES BETWEEN ROADCALLS Fleetwide

## Miles Between Roadcalls

FY2021 vs FY2020



Month	Mileage FY21	Roadcalls FY21	Miles Between Roadcalls
Jul	49,425	28	1,765
Aug	61,124	53	1,153
Sep	70,558	32	2,205
Oct	74,775	40	1,869
Nov	(89,937)	7	(12,848)
Dec			
Jan			
Feb			
Mar			
Apr			
May			
Jun			
<b>Year-To-Date:</b>	<b>255,882</b>	<b>160</b>	<b>1,599</b>



## Yuma County Intergovernmental Public Transportation Authority

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2715 East 14<sup>th</sup> Street, Yuma, AZ 85365-1900, Telephone: 928-539-7076

Fax: 928-783-0309, email: [info@ycipta.az.gov](mailto:info@ycipta.az.gov), Web: [www.yciptaz.gov](http://www.yciptaz.gov)

### Transit Directors Report November 2020

- Bi-weekly meetings regarding the Hotel Del Sol project with the City of Yuma, SPS+ Architects and other stakeholders. Discussing design and structural elements.
- Bi-weekly meeting regarding the Short-Range Transit Plan. Two rounds of stakeholder and public engagement has taken place which included 8 meetings each round. Draft document to be scheduled for review mid-January.
- Bi-weekly meetings regarding the Strategic Planning Process. The first workshop for me and my staff will be held on December 17<sup>th</sup> from 9 am – 2 pm. I will be sending out a Doodle to the Board for each of you to set up a 30 minute one on one discussion with the consultants in the next week or so.
- 10 Bus Shelters are scheduled to arrive on December 15<sup>th</sup> and are to be stored at the City of Yuma facility until they are to be installed.
- CARES grant amendment has been completed and is in final concurrence with FTA. Should be finalized any day.
- Staff will be posting the Quality Assurance Officer position after the holidays.

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#### Yuma County Intergovernmental Public Transportation Authority Board Of Directors

Susanna M. Zambrano – Chairperson - Arizona Western College, Dr. Michael Sabath – Vice Chairman - Northern Arizona University, Jerry Cabrera - City of Somerton Secretary/Treasurer, Philip Rodriguez – City of Yuma, Larry Killman – Town of Wellton, Brian Golding, Sr.-Quechan Tribe, Ralph Velez - City of San Luis, Paul Soto – Cocopah Tribe, Susan Thorpe – Yuma County

Shelly Kreger, Transit Director



## RIDERSHIP AND FARES

Period: 11/1/2019 to 11/30/2019

Route	Cash Fares			Day Passes Sold		Passes Accepted				Free				Special Revenues					Statistics			Total Pax
	Basic Cash	Disc Cash	Deviations	Day Passes	Disc Day	Day Passes	31-Day Passes	1& 10 Ride	Paper Passes	< 5 & PCAs	Greyhound	Promo	On Call ID	Aztec	YPIC	Colleges	Cocopa-h	Vista	WC	Bikes	Guides	
Orange 2	932	444	1	43	38	407	356	15	6	34	7	63	13	49	28	1,505	58	63	16	64	9	4,061
Brown 3	105	113	58	26	37	166	72	1	5	0	1	2	9	0	0	161	0	17	3	16	3	715
Green 4	306	326	0	51	82	468	292	25	5	34	5	49	29	111	65	262	111	947	4	33	12	3,168
Green 4A	235	290	0	41	92	375	204	37	3	7	62	33	10	35	124	381	66	814	11	33	1	2,809
Blue 5	381	239	0	60	89	378	194	12	0	58	18	55	5	9	5	56	105	4	17	24	8	1,668
Purple 6	395	342	1	39	51	226	117	48	12	167	7	93	13	194	11	105	2,380	90	96	104	2	4,290
Gold 8	39	22	15	22	20	40	26	0	1	2	0	3	3	0	0	93	0	25	0	2	0	296
Silver 9	94	19	0	4	0	7	116	6	0	0	0	5	0	0	2	1,253	1	12	7	0	0	1,519
Turquoise 10	199	0	0	0	0	0	0	0	0	2	0	0	0	0	0	0	0	0	16	6	3	201
Yellow 95	7,464	5,576	0	575	335	1,926	1,988	224	79	119	62	359	63	607	259	1,732	558	623	78	288	45	22,549
Specials	3	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	0	0	0	0	6
<b>Grand Total:</b>	<b>10,153</b>	<b>7,372</b>	<b>75</b>	<b>861</b>	<b>744</b>	<b>3,993</b>	<b>3,365</b>	<b>368</b>	<b>111</b>	<b>423</b>	<b>162</b>	<b>662</b>	<b>145</b>	<b>1,005</b>	<b>494</b>	<b>5,548</b>	<b>3,281</b>	<b>2,595</b>	<b>248</b>	<b>570</b>	<b>83</b>	<b>41,282</b>

### REVENUE:

Total Revenue: \$33,465.38  
 Unclassified Revenue: \$1,764.14  
 As a % of Total: 5.27%



# RIDERSHIP AND FARES

Period: 11/1/2020 to 11/30/2020

Route	Cash Fares			Day Passes Sold		Passes Accepted				Free				Special Revenues					Statistics			Total Pax
	Basic Cash	Disc Cash	Deviations	Day Passes	Disc Day	Day Passes	31-Day Passes	1& 10 Ride	Paper Passes	< 5 & PCAs	Greyhound	Promo	On Call ID	Aztec	YPIC	Colleges	Cocopah	Vista	WC	Bikes	Guides	
Orange 2	0	0	0	0	0	0	0	0	0	1,817	1	3	0	1	0	0	0	1	4	49	0	1,823
Brown 3	0	0	0	0	0	0	0	0	0	498	1	0	0	0	1	1	0	0	7	5	0	501
Green 4	0	0	0	0	0	0	0	0	0	2,122	0	0	1	0	0	0	0	1	17	131	0	2,124
Blue 5	0	0	0	0	0	0	0	0	0	940	0	1	0	0	0	0	0	0	18	44	0	941
Purple 6	0	0	0	0	0	0	0	0	0	1,307	0	0	0	0	0	0	0	0	28	33	0	1,307
Gold 8	0	0	0	0	0	0	0	0	0	148	0	0	0	0	1	0	0	0	2	6	0	149
Silver 9	0	0	0	0	0	0	0	0	0	278	0	0	0	0	0	0	0	0	2	2	0	278
Turquoise 10	0	0	0	0	0	0	0	0	0	175	0	0	0	0	0	0	0	0	9	3	0	175
Yellow 95	1	0	0	0	0	0	0	0	0	12,814	3	24	0	0	1	0	0	1	45	392	0	12,844
<b>Grand Total:</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>20,099</b>	<b>5</b>	<b>28</b>	<b>1</b>	<b>1</b>	<b>3</b>	<b>1</b>	<b>0</b>	<b>3</b>	<b>132</b>	<b>665</b>	<b>0</b>	<b>20,142</b>

## REVENUE:

Total Revenue: \$2.00  
 Unclassified Revenue: \$2.00  
 As a % of Total: 100.00%



## Yuma County Intergovernmental Public Transportation Authority

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### Summary Financial Report for October and November 2020

This report is a summary for the period October and November 2020. The attached monthly profit and loss statements are unaudited figures. Expenses do not include November service billing for fixed and on call routes.

Reconciled account balances for YCIPTA checking accounts held at 1<sup>st</sup> Bank Yuma for the following months are as follows:

#### **November 2020**

Greyhound	\$2,204.34
General	\$78,685.23
Payroll	\$23,905.05
Fare Revenue	\$286.93

#### **November 2020**

YC Treasurer	\$17,619.86
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#### **Greyhound sales by Month**

October 2020	\$ 3,363.00
November 2020	\$ 3,697.00

#### **Fare Revenue by Month**

##### **October 2020**

YCAT	\$0.00
On Call	\$0.00

##### **November 2020**

YCAT	\$0.00
On Call	\$0.00

*Accounts payable* as of November 30, 2020 was \$638,288.01

*Accounts receivable* as of November 30, 2020 was \$1,017,443.52

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#### **Yuma County Intergovernmental Public Transportation Authority Board Of Directors**

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Shelly Kreger, Transit Director

**Yuma County Intergovernmental Public Transportation Auth.  
Executive Board P&L**

4:48 PM

12/11/2020

**October 2020**

Accrual Basis

	Oct 20	Jul - Oct 20	YTD Budget	\$ Over Budget	% of Budget
<b>Ordinary Income/Expense</b>					
<b>Income</b>					
<b>40000 · Intergovernmental</b>					
<b>40700 · Miscellaneous Revenues</b>					
40799-3 · Advertising Sales	0.00	0.00	16,000.00	-16,000.00	0.0%
40799-4 · Greyhound Commisions - YCIPTA	-564.30	840.36	26,400.00	-25,559.64	3.18%
40799-5 · Interest	0.00	518.76	1,200.00	-681.24	43.23%
40799-6 · Miscellaneous Revenues	0.00	715.90	2,000.00	-1,284.10	35.8%
40700 · Miscellaneous Revenues - Other	0.00	15.00			
<b>Total 40700 · Miscellaneous Revenues</b>	<b>-564.30</b>	<b>2,090.02</b>	<b>45,600.00</b>	<b>-43,509.98</b>	<b>4.58%</b>
<b>40900 · Local Funding</b>					
40900-2 · Local Transit Dues	0.00	516,739.00	516,739.00	0.00	100.0%
40900-4 · Contributions Public Entities	45,170.36	223,864.32	702,757.00	-478,892.68	31.86%
<b>Total 40900 · Local Funding</b>	<b>45,170.36</b>	<b>740,603.32</b>	<b>1,219,496.00</b>	<b>-478,892.68</b>	<b>60.73%</b>
<b>41101 · State Grants</b>					
41101-1 · ADOT 5311	0.00	553,059.65	3,299,242.00	-2,746,182.35	16.76%
41101-2 · ADOT 5310	0.00	0.00	35,384.00	-35,384.00	0.0%
<b>Total 41101 · State Grants</b>	<b>0.00</b>	<b>553,059.65</b>	<b>3,334,626.00</b>	<b>-2,781,566.35</b>	<b>16.59%</b>
<b>41300 · Federal Grant Revenue</b>					
41399-1 · FTA 5307	0.00	1,140,128.00	11,363,548.00	-10,223,420.00	10.03%
41399-4 · STP Capital Grant	0.00	0.00	277,974.00	-277,974.00	0.0%
<b>Total 41300 · Federal Grant Revenue</b>	<b>0.00</b>	<b>1,140,128.00</b>	<b>11,641,522.00</b>	<b>-10,501,394.00</b>	<b>9.79%</b>
<b>Total 40000 · Intergovernmental</b>	<b>44,606.06</b>	<b>2,435,880.99</b>	<b>16,241,244.00</b>	<b>-13,805,363.01</b>	<b>15.0%</b>
<b>41000 · Charges for Service</b>					
<b>40100 · Fare Revenue</b>					
40101 · YCAT Fares	0.00	0.00	341,810.00	-341,810.00	0.0%
40190 · On Call Fares	0.00	0.00	2,700.00	-2,700.00	0.0%
<b>Total 40100 · Fare Revenue</b>	<b>0.00</b>	<b>0.00</b>	<b>344,510.00</b>	<b>-344,510.00</b>	<b>0.0%</b>
<b>Total 41000 · Charges for Service</b>	<b>0.00</b>	<b>0.00</b>	<b>344,510.00</b>	<b>-344,510.00</b>	<b>0.0%</b>
<b>Total Income</b>	<b>44,606.06</b>	<b>2,435,880.99</b>	<b>16,585,754.00</b>	<b>-14,149,873.01</b>	<b>14.69%</b>
<b>Gross Profit</b>	<b>44,606.06</b>	<b>2,435,880.99</b>	<b>16,585,754.00</b>	<b>-14,149,873.01</b>	<b>14.69%</b>
<b>Expense</b>					
<b>50100 · Salaries and Wages</b>					
50102 · Regular Salaries and Wage	24,527.17	85,403.51	380,780.00	-295,376.49	22.43%
50104 · Regular Salaries Paid Leave	3,369.21	31,543.73			
<b>Total 50100 · Salaries and Wages</b>	<b>27,896.38</b>	<b>116,947.24</b>	<b>380,780.00</b>	<b>-263,832.76</b>	<b>30.71%</b>
<b>50200 · Fringe Benefits</b>					
50201 · FICA- SS & Medicare	2,116.78	10,154.07	32,024.00	-21,869.93	31.71%
50202 · ASRS	3,408.92	15,308.59	46,531.00	-31,222.41	32.9%
50203 · Health Insurance	4,875.85	19,390.35	59,640.00	-40,249.65	32.51%
50204 · FUTA	0.00	0.00	600.00	-600.00	0.0%

	Oct 20	Jul - Oct 20	YTD Budget	\$ Over Budget	% of Budget
50205 · Life Insurance	78.40	313.60	840.00	-526.40	37.33%
50207 · State Unemployment	0.00	0.00	1,500.00	-1,500.00	0.0%
50208 · Workers Compensation Ins	0.00	1,690.00	3,000.00	-1,310.00	56.33%
<b>Total 50200 · Fringe Benefits</b>	<b>10,479.95</b>	<b>46,856.61</b>	<b>144,135.00</b>	<b>-97,278.39</b>	<b>32.51%</b>
<b>50300 · Services</b>					
50301-1 · ADA Paratransit	8,956.53	32,354.25	145,836.00	-113,481.75	22.19%
50301-2 · Accounting & Audit	0.00	16,872.50	38,000.00	-21,127.50	44.4%
50301-3 · Vanpool Subsidy	10,500.00	42,000.00	126,000.00	-84,000.00	33.33%
50302 · Advertising	3,731.29	16,823.38	80,000.00	-63,176.62	21.03%
50303-1 · Legal Services	1,225.00	6,297.50	36,000.00	-29,702.50	17.49%
50303-2 · Cash Handel/Payroll Processing	159.40	705.93	24,000.00	-23,294.07	2.94%
50303-3 · IT Support/Web Development	2,070.00	8,390.00	36,000.00	-27,610.00	23.31%
50304 · Temporary Help	0.00	0.00	3,000.00	-3,000.00	0.0%
50305-0 · Bus Contractor	281,656.84	1,109,006.15	3,307,396.00	-2,198,389.85	33.53%
50305-1 · Contract Costs	2,083.33	11,616.95	100,000.00	-88,383.05	11.62%
50305-2 · Equipment Maintenance	0.00	3,402.68	20,000.00	-16,597.32	17.01%
50305-3 · Office Equip Repair	3,426.34	4,246.34	3,000.00	1,246.34	141.55%
50305-4 · Vehicle Repair & Maintance	15,889.14	17,523.85	231,747.00	-214,223.15	7.56%
50305-5 · Building Repairs & Maintance	1,107.49	4,102.53	12,000.00	-7,897.47	34.19%
50305-6 · Communications/Radio Service	0.00	19,021.05	130,000.00	-110,978.95	14.63%
50305-7 · Grounds Keeping/Pest Control	0.00	0.00	1,500.00	-1,500.00	0.0%
50305-8 · Software Updates/Maintenance	2,997.54	3,973.42	55,000.00	-51,026.58	7.22%
50306-1 · Bus Cleaning Services	11,607.00	35,503.00	72,000.00	-36,497.00	49.31%
50307 · Security Services	0.00	330.00	1,000.00	-670.00	33.0%
<b>Total 50300 · Services</b>	<b>345,409.90</b>	<b>1,332,169.53</b>	<b>4,422,479.00</b>	<b>-3,090,309.47</b>	<b>30.12%</b>
<b>50400 · Materials and Supplies</b>					
50401 · Fuel, Oil, Lubricants	21,075.77	78,751.42	460,000.00	-381,248.58	17.12%
50499-1 · Office Supplies	412.42	960.92	20,000.00	-19,039.08	4.81%
50499-2 · Postage	66.60	334.98	1,500.00	-1,165.02	22.33%
50499-3 · Printing	1,534.53	2,427.79	30,000.00	-27,572.21	8.09%
50499-4 · Misc Materials & Supplies	297.92	8,021.20	130,000.00	-121,978.80	6.17%
<b>Total 50400 · Materials and Supplies</b>	<b>23,387.24</b>	<b>90,496.31</b>	<b>641,500.00</b>	<b>-551,003.69</b>	<b>14.11%</b>
<b>50500 · Utilities</b>					
50501 · Electricy	1,289.89	5,644.94	20,000.00	-14,355.06	28.23%
50502-1 · Refuse Disposal	253.09	1,010.54	4,000.00	-2,989.46	25.26%
50502-2 · Water - Offices	155.07	710.86	2,500.00	-1,789.14	28.43%
<b>Total 50500 · Utilities</b>	<b>1,698.05</b>	<b>7,366.34</b>	<b>26,500.00</b>	<b>-19,133.66</b>	<b>27.8%</b>
<b>50600 · Casualty and Liability Insuranc</b>					
50608-1 · Gen Liab Insurance	0.00	1,670.00	4,000.00	-2,330.00	41.75%
50608-2 · Prof. Liability Insurance	0.00	4,596.53	3,500.00	1,096.53	131.33%
50608-3 · Automobile Insurance	0.00	3,256.00	4,500.00	-1,244.00	72.36%
<b>Total 50600 · Casualty and Liability Insuranc</b>	<b>0.00</b>	<b>9,522.53</b>	<b>12,000.00</b>	<b>-2,477.47</b>	<b>79.35%</b>
<b>50900 · Miscellaneous Expenses</b>					
50901 · Memberships/Dues/Subcriptions	0.00	1,273.80	20,000.00	-18,726.20	6.37%



	Oct 20	Jul - Oct 20	YTD Budget	\$ Over Budget	% of Budget
50902 · Travel Expenses	0.00	6,000.00	30,000.00	-24,000.00	20.0%
50906 · Finance Charges/Penalties	22.00	51,222.60	20,000.00	31,222.60	256.11%
50999-1 · License and Permits	0.00	105.00	300.00	-195.00	35.0%
50999-2 · Training/Education	0.00	414.00	71,797.00	-71,383.00	0.58%
50999-3 · Other Misc Expense	17.99	307.50	8,000.00	-7,692.50	3.84%
50999-5 · Telephone/Internet	680.67	2,715.67	10,000.00	-7,284.33	27.16%
50900 · Miscellaneous Expenses - Other	0.00	0.00			
<b>Total 50900 · Miscellaneous Expenses</b>	<b>720.66</b>	<b>62,038.57</b>	<b>160,097.00</b>	<b>-98,058.43</b>	<b>38.75%</b>
51200 · Leases and Rentals					
51212-1 · Building Lease	8,800.00	21,400.00	50,400.00	-29,000.00	42.46%
<b>Total 51200 · Leases and Rentals</b>	<b>8,800.00</b>	<b>21,400.00</b>	<b>50,400.00</b>	<b>-29,000.00</b>	<b>42.46%</b>
51600 · Capital Outlay					
51600-3 · Buildings/Mutli Modal Center	0.00	0.00	2,896,632.00	-2,896,632.00	0.0%
51600-4 · Land	0.00	363,879.47			
51600-5 · Automobiles	0.00	239,194.00			
51600-6 · Furniture and Equipment	0.00	45,608.30	677,652.00	-632,043.70	6.73%
<b>Total 51600 · Capital Outlay</b>	<b>0.00</b>	<b>648,681.77</b>	<b>3,574,284.00</b>	<b>-2,925,602.23</b>	<b>18.15%</b>
<b>Total Expense</b>	<b>418,392.18</b>	<b>2,335,478.90</b>	<b>9,412,175.00</b>	<b>-7,076,696.10</b>	<b>24.81%</b>
<b>Net Ordinary Income</b>	<b>-373,786.12</b>	<b>100,402.09</b>	<b>7,173,579.00</b>	<b>-7,073,176.91</b>	<b>1.4%</b>
<b>Net Income</b>	<b>-373,786.12</b>	<b>100,402.09</b>	<b>7,173,579.00</b>	<b>-7,073,176.91</b>	<b>1.4%</b>

**Yuma County Intergovernmental Public Transportation Auth.  
Executive Board P&L**

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12/11/2020

**October 2019**

Accrual Basis

	Oct 19	Jul - Oct 19	YTD Budget	\$ Over Budget	% of Budget
<b>Ordinary Income/Expense</b>					
<b>Income</b>					
<b>40000 - Intergovernmental</b>					
<b>40700 - Miscellaneous Revenues</b>					
40799-3 - Advertising Sales	0.00	0.00	16,000.00	-16,000.00	0.0%
40799-4 - Greyhound Commisions - YCIPTA	1,637.34	5,753.73	26,400.00	-20,646.27	21.79%
40799-5 - Interest	97.61	1,258.32	1,200.00	58.32	104.86%
40799-6 - Miscellaneous Revenues	4.51	268.51	2,000.00	-1,731.49	13.43%
<b>Total 40700 - Miscellaneous Revenues</b>	<b>1,739.46</b>	<b>7,280.56</b>	<b>45,600.00</b>	<b>-38,319.44</b>	<b>15.97%</b>
<b>40900 - Local Funding</b>					
40900-2 - Local Transit Dues	0.00	516,739.00	516,739.00	0.00	100.0%
40900-4 - Contributions Public Entities	58,235.72	189,854.02	557,628.00	-367,773.98	34.05%
<b>Total 40900 - Local Funding</b>	<b>58,235.72</b>	<b>706,593.02</b>	<b>1,074,367.00</b>	<b>-367,773.98</b>	<b>65.77%</b>
<b>41101 - State Grants</b>					
41101-1 - ADOT 5311	95,091.42	350,140.64	1,157,552.00	-807,411.36	30.25%
41101-2 - ADOT 5310	0.00	14,140.44	25,000.00	-10,859.56	56.56%
<b>Total 41101 - State Grants</b>	<b>95,091.42</b>	<b>364,281.08</b>	<b>1,182,552.00</b>	<b>-818,270.92</b>	<b>30.81%</b>
<b>41300 - Federal Grant Revenue</b>					
41399-1 - FTA 5307	0.00	222,487.00	6,046,633.00	-5,824,146.00	3.68%
41399-4 - STP Capital Grant	0.00	0.00	301,240.00	-301,240.00	0.0%
<b>Total 41300 - Federal Grant Revenue</b>	<b>0.00</b>	<b>222,487.00</b>	<b>6,347,873.00</b>	<b>-6,125,386.00</b>	<b>3.51%</b>
<b>Total 40000 - Intergovernmental</b>	<b>155,066.60</b>	<b>1,300,641.66</b>	<b>8,650,392.00</b>	<b>-7,349,750.34</b>	<b>15.04%</b>
<b>41000 - Charges for Service</b>					
<b>40100 - Fare Revenue</b>					
40101 - YCAT Fares	43,195.80	153,066.63	455,748.00	-302,681.37	33.59%
40190 - On Call Fares	108.54	458.54	3,600.00	-3,141.46	12.74%
<b>Total 40100 - Fare Revenue</b>	<b>43,304.34</b>	<b>153,525.17</b>	<b>459,348.00</b>	<b>-305,822.83</b>	<b>33.42%</b>
<b>Total 41000 - Charges for Service</b>	<b>43,304.34</b>	<b>153,525.17</b>	<b>459,348.00</b>	<b>-305,822.83</b>	<b>33.42%</b>
<b>Total Income</b>	<b>198,370.94</b>	<b>1,454,166.83</b>	<b>9,109,740.00</b>	<b>-7,655,573.17</b>	<b>15.96%</b>
<b>Gross Profit</b>	<b>198,370.94</b>	<b>1,454,166.83</b>	<b>9,109,740.00</b>	<b>-7,655,573.17</b>	<b>15.96%</b>
<b>Expense</b>					
<b>50100 - Salaries and Wages</b>					
50102 - Regular Salaries and Wage	26,167.20	101,958.01	368,376.00	-266,417.99	27.68%
<b>Total 50100 - Salaries and Wages</b>	<b>26,167.20</b>	<b>101,958.01</b>	<b>368,376.00</b>	<b>-266,417.99</b>	<b>27.68%</b>
<b>50200 - Fringe Benefits</b>					
50201 - FICA- SS & Medicare	2,001.80	8,691.95	75,591.00	-66,899.05	11.5%
50202 - ASRS	3,131.55	14,293.96	44,610.00	-30,316.04	32.04%
50203 - Health Insurance	3,014.26	11,186.24	44,988.00	-33,801.76	24.87%
50204 - FUTA	27.62	66.17	500.00	-433.83	13.23%
50205 - Life Insurance	60.55	237.10	768.00	-530.90	30.87%
50207 - State Unemployment	0.00	0.00	3,000.00	-3,000.00	0.0%

	Oct 19	Jul - Oct 19	YTD Budget	\$ Over Budget	% of Budget
50208 · Workers Compensation Ins	1,948.00	2,755.00	2,500.00	255.00	110.2%
<b>Total 50200 · Fringe Benefits</b>	<b>10,183.78</b>	<b>37,230.42</b>	<b>171,957.00</b>	<b>-134,726.58</b>	<b>21.65%</b>
<b>50300 · Services</b>					
50301-1 · ADA Paratransit	9,921.72	31,355.70	129,324.00	-97,968.30	24.25%
50301-2 · Accounting & Audit	0.00	0.00	38,000.00	-38,000.00	0.0%
50301-3 · Vanpool Subsidy	10,500.00	41,700.00	126,000.00	-84,300.00	33.1%
50302 · Advertising	2,921.23	16,457.41	80,000.00	-63,542.59	20.57%
50303-1 · Legal Services	1,440.00	4,533.75	25,800.00	-21,266.25	17.57%
50303-2 · Cash Handel/Payroll Processing	650.37	2,768.18	15,000.00	-12,231.82	18.46%
50303-3 · IT Support/Web Development	2,295.00	28,440.23	20,800.00	7,640.23	136.73%
50304 · Temporary Help	0.00	2,441.12	3,000.00	-558.88	81.37%
50305-0 · Bus Contractor	253,174.23	806,339.30	3,209,107.00	-2,402,767.70	25.13%
50305-1 · Contract Costs	2,083.33	8,333.32	100,000.00	-91,666.68	8.33%
50305-2 · Equipment Maintenance	0.00	153.06	20,000.00	-19,846.94	0.77%
50305-3 · Office Equip Repair	0.00	844.87	3,000.00	-2,155.13	28.16%
50305-4 · Vehicle Repair & Maintance	11,932.22	18,728.51	231,747.00	-213,018.49	8.08%
50305-5 · Building Repairs & Maintance	301.06	1,856.96	12,000.00	-10,143.04	15.48%
50305-6 · Communications/Radio Service	0.00	0.00	20,000.00	-20,000.00	0.0%
50305-7 · Grounds Keeping/Pest Control	39.00	156.00	1,500.00	-1,344.00	10.4%
50305-8 · Software Updates/Maintenance	0.00	2,911.22	55,000.00	-52,088.78	5.29%
50306-1 · Bus Cleaning Services	0.00	0.00			
50307 · Security Services	0.00	110.00	500.00	-390.00	22.0%
<b>Total 50300 · Services</b>	<b>295,258.16</b>	<b>967,129.63</b>	<b>4,090,778.00</b>	<b>-3,123,648.37</b>	<b>23.64%</b>
<b>50400 · Materials and Supplies</b>					
50401 · Fuel, Oil, Lubricants	39,450.69	154,703.25	458,700.00	-303,996.75	33.73%
50499-1 · Office Supplies	626.37	2,662.66	3,000.00	-337.34	88.76%
50499-2 · Postage	60.00	387.69	1,500.00	-1,112.31	25.85%
50499-3 · Printing	35.22	6,587.71	20,000.00	-13,412.29	32.94%
50499-4 · Misc Materials & Supplies	203.90	440.54	35,400.00	-34,959.46	1.24%
<b>Total 50400 · Materials and Supplies</b>	<b>40,376.18</b>	<b>164,781.85</b>	<b>518,600.00</b>	<b>-353,818.15</b>	<b>31.77%</b>
<b>50500 · Utilities</b>					
50501 · Electricity	1,339.07	5,825.80	17,000.00	-11,174.20	34.27%
50502-1 · Refuse Disposal	217.04	839.91	2,000.00	-1,160.09	42.0%
50502-2 · Water - Offices	127.19	492.68	1,500.00	-1,007.32	32.85%
<b>Total 50500 · Utilities</b>	<b>1,683.30</b>	<b>7,158.39</b>	<b>20,500.00</b>	<b>-13,341.61</b>	<b>34.92%</b>
<b>50600 · Casualty and Liability Insuranc</b>					
50608-1 · Gen Liab Insurance	0.00	8,127.53	4,000.00	4,127.53	203.19%
50608-2 · Prof. Liability Insurance	0.00	2,196.67	3,500.00	-1,303.33	62.76%
50608-3 · Automobile Insurance	0.00	0.00	4,500.00	-4,500.00	0.0%
<b>Total 50600 · Casualty and Liability Insuranc</b>	<b>0.00</b>	<b>10,324.20</b>	<b>12,000.00</b>	<b>-1,675.80</b>	<b>86.04%</b>
<b>50900 · Miscellaneous Expenses</b>					
50901 · Memberships/Dues/Subscriptions	4,000.00	7,663.80	15,000.00	-7,336.20	51.09%
50902 · Travel Expenses	2,178.06	10,477.97	30,000.00	-19,522.03	34.93%
50906 · Finance Charges/Penalties	9,277.82	17,772.88	5,000.00	12,772.88	355.46%

	<b>Oct 19</b>	<b>Jul - Oct 19</b>	<b>YTD Budget</b>	<b>\$ Over Budget</b>	<b>% of Budget</b>
50999-1 · License and Permits	0.00	0.00	300.00	-300.00	0.0%
50999-2 · Training/Education	80.00	2,280.00	75,044.00	-72,764.00	3.04%
50999-3 · Other Misc Expense	10.84	480.56			
50999-5 · Telephone/Internet	644.12	2,496.60	8,000.00	-5,503.40	31.21%
<b>Total 50900 · Miscellaneous Expenses</b>	<b>16,190.84</b>	<b>41,171.81</b>	<b>133,344.00</b>	<b>-92,172.19</b>	<b>30.88%</b>
<b>51200 · Leases and Rentals</b>					
51212-1 · Building Lease	4,200.00	16,800.00	50,400.00	-33,600.00	33.33%
<b>Total 51200 · Leases and Rentals</b>	<b>4,200.00</b>	<b>16,800.00</b>	<b>50,400.00</b>	<b>-33,600.00</b>	<b>33.33%</b>
<b>51600 · Capital Outlay</b>					
51600-3 · Buildings/Mutli Modal Center	0.00	0.00	2,933,711.00	-2,933,711.00	0.0%
51600-5 · Automobiles	0.00	0.00	163,224.00	-163,224.00	0.0%
51600-6 · Furniture and Equipment	93,759.02	93,793.77	646,850.00	-553,056.23	14.5%
<b>Total 51600 · Capital Outlay</b>	<b>93,759.02</b>	<b>93,793.77</b>	<b>3,743,785.00</b>	<b>-3,649,991.23</b>	<b>2.51%</b>
<b>Total Expense</b>	<b>487,818.48</b>	<b>1,440,348.08</b>	<b>9,109,740.00</b>	<b>-7,669,391.92</b>	<b>15.81%</b>
<b>Net Ordinary Income</b>	<b>-289,447.54</b>	<b>13,818.75</b>	<b>0.00</b>	<b>13,818.75</b>	<b>100.0%</b>
<b>Net Income</b>	<b>-289,447.54</b>	<b>13,818.75</b>	<b>0.00</b>	<b>13,818.75</b>	<b>100.0%</b>

November 2020

Accrual Basis

	Nov 20	Jul - Nov 20	YTD Budget	\$ Over Budget	% of Budget
<b>Ordinary Income/Expense</b>					
<b>Income</b>					
<b>40000 - Intergovernmental</b>					
<b>40700 - Miscellaneous Revenues</b>					
40799-3 - Advertising Sales	0.00	0.00	16,000.00	-16,000.00	0.0%
40799-4 - Greyhound Commissions - YCIPTA	835.17	1,675.53	26,400.00	-24,724.47	6.35%
40799-5 - Interest	9.54	528.30	1,200.00	-671.70	44.03%
40799-6 - Miscellaneous Revenues	0.00	715.90	2,000.00	-1,284.10	35.8%
40700 - Miscellaneous Revenues - Other	0.00	15.00			
<b>Total 40700 - Miscellaneous Revenues</b>	<b>844.71</b>	<b>2,934.73</b>	<b>45,600.00</b>	<b>-42,665.27</b>	<b>6.44%</b>
<b>40900 - Local Funding</b>					
40900-2 - Local Transit Dues	0.00	516,739.00	516,739.00	0.00	100.0%
40900-4 - Contributions Public Entities	0.00	223,864.32	702,757.00	-478,892.68	31.86%
<b>Total 40900 - Local Funding</b>	<b>0.00</b>	<b>740,603.32</b>	<b>1,219,496.00</b>	<b>-478,892.68</b>	<b>60.73%</b>
<b>41101 - State Grants</b>					
41101-1 - ADOT 5311	0.00	553,059.65	3,299,242.00	-2,746,182.35	16.76%
41101-2 - ADOT 5310	0.00	0.00	35,384.00	-35,384.00	0.0%
<b>Total 41101 - State Grants</b>	<b>0.00</b>	<b>553,059.65</b>	<b>3,334,626.00</b>	<b>-2,781,566.35</b>	<b>16.59%</b>
<b>41300 - Federal Grant Revenue</b>					
41399-1 - FTA 5307	0.00	1,140,128.00	11,363,548.00	-10,223,420.00	10.03%
41399-4 - STP Capital Grant	0.00	0.00	277,974.00	-277,974.00	0.0%
<b>Total 41300 - Federal Grant Revenue</b>	<b>0.00</b>	<b>1,140,128.00</b>	<b>11,641,522.00</b>	<b>-10,501,394.00</b>	<b>9.79%</b>
<b>Total 40000 - Intergovernmental</b>	<b>844.71</b>	<b>2,436,725.70</b>	<b>16,241,244.00</b>	<b>-13,804,518.30</b>	<b>15.0%</b>
<b>41000 - Charges for Service</b>					
<b>40100 - Fare Revenue</b>					
40101 - YCAT Fares	0.00	0.00	341,810.00	-341,810.00	0.0%
40190 - On Call Fares	0.00	0.00	2,700.00	-2,700.00	0.0%
<b>Total 40100 - Fare Revenue</b>	<b>0.00</b>	<b>0.00</b>	<b>344,510.00</b>	<b>-344,510.00</b>	<b>0.0%</b>
<b>Total 41000 - Charges for Service</b>	<b>0.00</b>	<b>0.00</b>	<b>344,510.00</b>	<b>-344,510.00</b>	<b>0.0%</b>
<b>Total Income</b>	<b>844.71</b>	<b>2,436,725.70</b>	<b>16,585,754.00</b>	<b>-14,149,028.30</b>	<b>14.69%</b>
<b>Gross Profit</b>	<b>844.71</b>	<b>2,436,725.70</b>	<b>16,585,754.00</b>	<b>-14,149,028.30</b>	<b>14.69%</b>
<b>Expense</b>					
<b>50100 - Salaries and Wages</b>					
50102 - Regular Salaries and Wage	23,815.86	109,219.37	380,780.00	-271,560.63	28.68%
50104 - Regular Salaries Paid Leave	6,345.56	37,889.29			
<b>Total 50100 - Salaries and Wages</b>	<b>30,161.42</b>	<b>147,108.66</b>	<b>380,780.00</b>	<b>-233,671.34</b>	<b>38.63%</b>
<b>50200 - Fringe Benefits</b>					
50201 - FICA- SS & Medicare	2,297.70	12,451.77	32,024.00	-19,572.23	38.88%
50202 - ASRS	3,408.92	18,717.51	46,531.00	-27,813.49	40.23%
50203 - Health Insurance	4,875.85	24,266.20	59,640.00	-35,373.80	40.69%
50204 - FUTA	0.00	0.00	600.00	-600.00	0.0%

	Nov 20	Jul - Nov 20	YTD Budget	\$ Over Budget	% of Budget
50205 · Life Insurance	78.40	392.00	840.00	-448.00	46.67%
50207 · State Unemployment	0.00	0.00	1,500.00	-1,500.00	0.0%
50208 · Workers Compensation Ins	0.00	1,690.00	3,000.00	-1,310.00	56.33%
<b>Total 50200 · Fringe Benefits</b>	<b>10,660.87</b>	<b>57,517.48</b>	<b>144,135.00</b>	<b>-86,617.52</b>	<b>39.91%</b>
<b>50300 · Services</b>					
50301-1 · ADA Paratransit	0.00	32,354.25	145,836.00	-113,481.75	22.19%
50301-2 · Accounting & Audit	0.00	16,872.50	38,000.00	-21,127.50	44.4%
50301-3 · Vanpool Subsidy	10,210.00	52,210.00	126,000.00	-73,790.00	41.44%
50302 · Advertising	409.90	17,233.28	80,000.00	-62,766.72	21.54%
50303-1 · Legal Services	1,000.00	7,297.50	36,000.00	-28,702.50	20.27%
50303-2 · Cash Handel/Payroll Processing	159.40	865.33	24,000.00	-23,134.67	3.61%
50303-3 · IT Support/Web Development	2,070.00	10,460.00	36,000.00	-25,540.00	29.06%
50304 · Temporary Help	0.00	0.00	3,000.00	-3,000.00	0.0%
50305-0 · Bus Contractor	0.00	1,109,006.15	3,307,396.00	-2,198,389.85	33.53%
50305-1 · Contract Costs	20,153.87	31,770.82	100,000.00	-68,229.18	31.77%
50305-2 · Equipment Maintenance	0.00	3,402.68	20,000.00	-16,597.32	17.01%
50305-3 · Office Equip Repair	0.00	4,246.34	3,000.00	1,246.34	141.55%
50305-4 · Vehicle Repair & Maintance	0.00	17,523.85	231,747.00	-214,223.15	7.56%
50305-5 · Building Repairs & Maintance	0.00	4,102.53	12,000.00	-7,897.47	34.19%
50305-6 · Communications/Radio Service	0.00	19,021.05	130,000.00	-110,978.95	14.63%
50305-7 · Grounds Keeping/Pest Control	0.00	0.00	1,500.00	-1,500.00	0.0%
50305-8 · Software Updates/Maintenance	0.00	3,973.42	55,000.00	-51,026.58	7.22%
50306-1 · Bus Cleaning Services	9,959.00	45,462.00	72,000.00	-26,538.00	63.14%
50307 · Security Services	0.00	330.00	1,000.00	-670.00	33.0%
<b>Total 50300 · Services</b>	<b>43,962.17</b>	<b>1,376,131.70</b>	<b>4,422,479.00</b>	<b>-3,046,347.30</b>	<b>31.12%</b>
<b>50400 · Materials and Supplies</b>					
50401 · Fuel, Oil, Lubricants	17,418.73	96,170.15	460,000.00	-363,829.85	20.91%
50499-1 · Office Supplies	0.00	960.92	20,000.00	-19,039.08	4.81%
50499-2 · Postage	62.10	397.08	1,500.00	-1,102.92	26.47%
50499-3 · Printing	85.77	2,513.56	30,000.00	-27,486.44	8.38%
50499-4 · Misc Materials & Supplies	114.40	8,135.60	130,000.00	-121,864.40	6.26%
<b>Total 50400 · Materials and Supplies</b>	<b>17,681.00</b>	<b>108,177.31</b>	<b>641,500.00</b>	<b>-533,322.69</b>	<b>16.86%</b>
<b>50500 · Utilities</b>					
50501 · Electricy	1,048.22	6,693.16	20,000.00	-13,306.84	33.47%
50502-1 · Refuse Disposal	253.09	1,263.63	4,000.00	-2,736.37	31.59%
50502-2 · Water - Offices	145.27	856.13	2,500.00	-1,643.87	34.25%
<b>Total 50500 · Utilities</b>	<b>1,446.58</b>	<b>8,812.92</b>	<b>26,500.00</b>	<b>-17,687.08</b>	<b>33.26%</b>
<b>50600 · Casualty and Liability Insuranc</b>					
50608-1 · Gen Liab Insurance	166.00	1,836.00	4,000.00	-2,164.00	45.9%
50608-2 · Prof. Liability Insurance	0.00	4,596.53	3,500.00	1,096.53	131.33%
50608-3 · Automobile Insurance	0.00	3,256.00	4,500.00	-1,244.00	72.36%
<b>Total 50600 · Casualty and Liability Insuranc</b>	<b>166.00</b>	<b>9,688.53</b>	<b>12,000.00</b>	<b>-2,311.47</b>	<b>80.74%</b>
<b>50900 · Miscellaneous Expenses</b>					
50901 · Memberships/Dues/Subcriptions	3,440.00	4,713.80	20,000.00	-15,286.20	23.57%

	Nov 20	Jul - Nov 20	YTD Budget	\$ Over Budget	% of Budget
50902 · Travel Expenses	0.00	6,000.00	30,000.00	-24,000.00	20.0%
50906 · Finance Charges/Penalties	41.05	51,263.65	20,000.00	31,263.65	256.32%
50999-1 · License and Permits	0.00	105.00	300.00	-195.00	35.0%
50999-2 · Training/Education	0.00	414.00	71,797.00	-71,383.00	0.58%
50999-3 · Other Misc Expense	3,056.41	3,363.91	8,000.00	-4,636.09	42.05%
50999-5 · Telephone/Internet	670.44	3,386.11	10,000.00	-6,613.89	33.86%
50900 · Miscellaneous Expenses - Other	0.00	0.00			
<b>Total 50900 · Miscellaneous Expenses</b>	<b>7,207.90</b>	<b>69,246.47</b>	<b>160,097.00</b>	<b>-90,850.53</b>	<b>43.25%</b>
51200 · Leases and Rentals					
51212-1 · Building Lease	0.00	21,400.00	50,400.00	-29,000.00	42.46%
<b>Total 51200 · Leases and Rentals</b>	<b>0.00</b>	<b>21,400.00</b>	<b>50,400.00</b>	<b>-29,000.00</b>	<b>42.46%</b>
51600 · Capital Outlay					
51600-3 · Buildings/Mutli Modal Center	0.00	0.00	2,896,632.00	-2,896,632.00	0.0%
51600-4 · Land	0.00	363,879.47			
51600-5 · Automobiles	0.00	239,194.00			
51600-6 · Furniture and Equipment	0.00	45,608.30	677,652.00	-632,043.70	6.73%
<b>Total 51600 · Capital Outlay</b>	<b>0.00</b>	<b>648,681.77</b>	<b>3,574,284.00</b>	<b>-2,925,602.23</b>	<b>18.15%</b>
<b>Total Expense</b>	<b>111,285.94</b>	<b>2,446,764.84</b>	<b>9,412,175.00</b>	<b>-6,965,410.16</b>	<b>26.0%</b>
<b>Net Ordinary Income</b>	<b>-110,441.23</b>	<b>-10,039.14</b>	<b>7,173,579.00</b>	<b>-7,183,618.14</b>	<b>-0.14%</b>
<b>Net Income</b>	<b>-110,441.23</b>	<b>-10,039.14</b>	<b>7,173,579.00</b>	<b>-7,183,618.14</b>	<b>-0.14%</b>

**Yuma County Intergovernmental Public Transportation Auth.  
Executive Board P&L**

5:00 PM

12/11/2020

**November 2019**

Accrual Basis

	Nov 19	Jul - Nov 19	YTD Budget	\$ Over Budget	% of Budget
<b>Ordinary Income/Expense</b>					
<b>Income</b>					
<b>40000 - Intergovernmental</b>					
<b>40700 - Miscellaneous Revenues</b>					
40799-3 - Advertising Sales	0.00	0.00	16,000.00	-16,000.00	0.0%
40799-4 - Greyhound Commissions - YCIPTA	-2,557.27	3,196.46	26,400.00	-23,203.54	12.11%
40799-5 - Interest	406.19	1,664.51	1,200.00	464.51	138.71%
40799-6 - Miscellaneous Revenues	1.00	269.51	2,000.00	-1,730.49	13.48%
<b>Total 40700 - Miscellaneous Revenues</b>	<b>-2,150.08</b>	<b>5,130.48</b>	<b>45,600.00</b>	<b>-40,469.52</b>	<b>11.25%</b>
<b>40900 - Local Funding</b>					
40900-2 - Local Transit Dues	0.00	516,739.00	516,739.00	0.00	100.0%
40900-4 - Contributions Public Entities	54,725.86	244,579.88	557,628.00	-313,048.12	43.86%
<b>Total 40900 - Local Funding</b>	<b>54,725.86</b>	<b>761,318.88</b>	<b>1,074,367.00</b>	<b>-313,048.12</b>	<b>70.86%</b>
<b>41101 - State Grants</b>					
41101-1 - ADOT 5311	100,896.86	451,037.50	1,157,552.00	-706,514.50	38.97%
41101-2 - ADOT 5310	0.00	14,140.44	25,000.00	-10,859.56	56.56%
<b>Total 41101 - State Grants</b>	<b>100,896.86</b>	<b>465,177.94</b>	<b>1,182,552.00</b>	<b>-717,374.06</b>	<b>39.34%</b>
<b>41300 - Federal Grant Revenue</b>					
41399-1 - FTA 5307	104,548.00	327,035.00	6,046,633.00	-5,719,598.00	5.41%
41399-4 - STP Capital Grant	88,415.00	88,415.00	301,240.00	-212,825.00	29.35%
<b>Total 41300 - Federal Grant Revenue</b>	<b>192,963.00</b>	<b>415,450.00</b>	<b>6,347,873.00</b>	<b>-5,932,423.00</b>	<b>6.55%</b>
<b>Total 40000 - Intergovernmental</b>	<b>346,435.64</b>	<b>1,647,077.30</b>	<b>8,650,392.00</b>	<b>-7,003,314.70</b>	<b>19.04%</b>
<b>41000 - Charges for Service</b>					
<b>40100 - Fare Revenue</b>					
40101 - YCAT Fares	37,061.48	190,128.11	455,748.00	-265,619.89	41.72%
40190 - On Call Fares	320.00	778.54	3,600.00	-2,821.46	21.63%
<b>Total 40100 - Fare Revenue</b>	<b>37,381.48</b>	<b>190,906.65</b>	<b>459,348.00</b>	<b>-268,441.35</b>	<b>41.56%</b>
<b>Total 41000 - Charges for Service</b>	<b>37,381.48</b>	<b>190,906.65</b>	<b>459,348.00</b>	<b>-268,441.35</b>	<b>41.56%</b>
<b>Total Income</b>	<b>383,817.12</b>	<b>1,837,983.95</b>	<b>9,109,740.00</b>	<b>-7,271,756.05</b>	<b>20.18%</b>
<b>Gross Profit</b>	<b>383,817.12</b>	<b>1,837,983.95</b>	<b>9,109,740.00</b>	<b>-7,271,756.05</b>	<b>20.18%</b>
<b>Expense</b>					
<b>50100 - Salaries and Wages</b>					
50102 - Regular Salaries and Wage	26,640.49	128,598.50	368,376.00	-239,777.50	34.91%
<b>Total 50100 - Salaries and Wages</b>	<b>26,640.49</b>	<b>128,598.50</b>	<b>368,376.00</b>	<b>-239,777.50</b>	<b>34.91%</b>
<b>50200 - Fringe Benefits</b>					
50201 - FICA- SS & Medicare	2,037.98	10,729.93	75,591.00	-64,861.07	14.2%
50202 - ASRS	3,226.17	17,520.13	44,610.00	-27,089.87	39.27%
50203 - Health Insurance	3,593.34	14,779.58	44,988.00	-30,208.42	32.85%
50204 - FUTA	26.95	93.12	500.00	-406.88	18.62%
50205 - Life Insurance	60.55	297.65	768.00	-470.35	38.76%
50207 - State Unemployment	0.00	0.00	3,000.00	-3,000.00	0.0%



	<b>Nov 19</b>	<b>Jul - Nov 19</b>	<b>YTD Budget</b>	<b>\$ Over Budget</b>	<b>% of Budget</b>
<b>50208 · Workers Compensation Ins</b>	0.00	2,755.00	2,500.00	255.00	110.2%
<b>Total 50200 · Fringe Benefits</b>	8,944.99	46,175.41	171,957.00	-125,781.59	26.85%
<b>50300 · Services</b>					
<b>50301-1 · ADA Paratransit</b>	12,950.39	44,306.09	129,324.00	-85,017.91	34.26%
<b>50301-2 · Accounting &amp; Audit</b>	0.00	0.00	38,000.00	-38,000.00	0.0%
<b>50301-3 · Vanpool Subsidy</b>	10,500.00	52,200.00	126,000.00	-73,800.00	41.43%
<b>50302 · Advertising</b>	4,202.72	20,660.13	80,000.00	-59,339.87	25.83%
<b>50303-1 · Legal Services</b>	1,080.00	5,613.75	25,800.00	-20,186.25	21.76%
<b>50303-2 · Cash Handel/Payroll Processing</b>	582.22	3,350.40	15,000.00	-11,649.60	22.34%
<b>50303-3 · IT Support/Web Development</b>	2,070.00	30,510.23	20,800.00	9,710.23	146.68%
<b>50304 · Temporary Help</b>	0.00	2,441.12	3,000.00	-558.88	81.37%
<b>50305-0 · Bus Contractor</b>	257,930.06	1,064,269.36	3,209,107.00	-2,144,837.64	33.16%
<b>50305-1 · Contract Costs</b>	3,953.12	12,286.44	100,000.00	-87,713.56	12.29%
<b>50305-2 · Equipment Maintenance</b>	1,886.00	2,039.06	20,000.00	-17,960.94	10.2%
<b>50305-3 · Office Equip Repair</b>	0.00	844.87	3,000.00	-2,155.13	28.16%
<b>50305-4 · Vehicle Repair &amp; Maintance</b>	7,183.06	25,911.57	231,747.00	-205,835.43	11.18%
<b>50305-5 · Building Repairs &amp; Maintance</b>	0.00	1,856.96	12,000.00	-10,143.04	15.48%
<b>50305-6 · Communications/Radio Service</b>	110.71	110.71	20,000.00	-19,889.29	0.55%
<b>50305-7 · Grounds Keeping/Pest Control</b>	39.00	195.00	1,500.00	-1,305.00	13.0%
<b>50305-8 · Software Updates/Maintenance</b>	0.00	2,911.22	55,000.00	-52,088.78	5.29%
<b>50306-1 · Bus Cleaning Services</b>	0.00	0.00			
<b>50307 · Security Services</b>		110.00	500.00	-390.00	22.0%
<b>Total 50300 · Services</b>	302,487.28	1,269,616.91	4,090,778.00	-2,821,161.09	31.04%
<b>50400 · Materials and Supplies</b>					
<b>50401 · Fuel, Oil, Lubricants</b>	32,145.45	186,848.70	458,700.00	-271,851.30	40.73%
<b>50499-1 · Office Supplies</b>	3,730.47	6,393.13	3,000.00	3,393.13	213.1%
<b>50499-2 · Postage</b>	60.00	447.69	1,500.00	-1,052.31	29.85%
<b>50499-3 · Printing</b>	2,086.58	8,674.29	20,000.00	-11,325.71	43.37%
<b>50499-4 · Misc Materials &amp; Supplies</b>	1,305.02	1,745.56	35,400.00	-33,654.44	4.93%
<b>Total 50400 · Materials and Supplies</b>	39,327.52	204,109.37	518,600.00	-314,490.63	39.36%
<b>50500 · Utilities</b>					
<b>50501 · Electricy</b>	1,086.37	6,912.17	17,000.00	-10,087.83	40.66%
<b>50502-1 · Refuse Disposal</b>	217.04	1,056.95	2,000.00	-943.05	52.85%
<b>50502-2 · Water - Offices</b>	98.75	591.43	1,500.00	-908.57	39.43%
<b>Total 50500 · Utilities</b>	1,402.16	8,560.55	20,500.00	-11,939.45	41.76%
<b>50600 · Casualty and Liability Insuranc</b>					
<b>50608-1 · Gen Liab Insurance</b>	0.00	8,127.53	4,000.00	4,127.53	203.19%
<b>50608-2 · Prof. Liability Insurance</b>	0.00	2,196.67	3,500.00	-1,303.33	62.76%
<b>50608-3 · Automobile Insurance</b>	0.00	0.00	4,500.00	-4,500.00	0.0%
<b>Total 50600 · Casualty and Liability Insuranc</b>	0.00	10,324.20	12,000.00	-1,675.80	86.04%
<b>50900 · Miscellaneous Expenses</b>					
<b>50901 · Memberships/Dues/Subscriptions</b>	100.00	7,763.80	15,000.00	-7,236.20	51.76%
<b>50902 · Travel Expenses</b>	3,213.62	13,691.59	30,000.00	-16,308.41	45.64%
<b>50906 · Finance Charges/Penalties</b>	0.00	17,772.88	5,000.00	12,772.88	355.46%

	<b>Nov 19</b>	<b>Jul - Nov 19</b>	<b>YTD Budget</b>	<b>\$ Over Budget</b>	<b>% of Budget</b>
<b>50999-1 · License and Permits</b>	18.00	18.00	300.00	-282.00	6.0%
<b>50999-2 · Training/Education</b>	0.00	2,280.00	75,044.00	-72,764.00	3.04%
<b>50999-3 · Other Misc Expense</b>	8,500.13	8,980.69			
<b>50999-5 · Telephone/Internet</b>	635.36	3,131.96	8,000.00	-4,868.04	39.15%
<b>Total 50900 · Miscellaneous Expenses</b>	<b>12,467.11</b>	<b>53,638.92</b>	<b>133,344.00</b>	<b>-79,705.08</b>	<b>40.23%</b>
<b>51200 · Leases and Rentals</b>					
<b>51212-1 · Building Lease</b>	4,200.00	21,000.00	50,400.00	-29,400.00	41.67%
<b>Total 51200 · Leases and Rentals</b>	<b>4,200.00</b>	<b>21,000.00</b>	<b>50,400.00</b>	<b>-29,400.00</b>	<b>41.67%</b>
<b>51600 · Capital Outlay</b>					
<b>51600-3 · Buildings/Mutli Modal Center</b>	0.00	0.00	2,933,711.00	-2,933,711.00	0.0%
<b>51600-4 · Land</b>	10,000.00	10,000.00			
<b>51600-5 · Automobiles</b>	89,959.00	89,959.00	163,224.00	-73,265.00	55.11%
<b>51600-6 · Furniture and Equipment</b>	123.33	93,917.10	646,850.00	-552,932.90	14.52%
<b>Total 51600 · Capital Outlay</b>	<b>100,082.33</b>	<b>193,876.10</b>	<b>3,743,785.00</b>	<b>-3,549,908.90</b>	<b>5.18%</b>
<b>Total Expense</b>	<b>495,551.88</b>	<b>1,935,899.96</b>	<b>9,109,740.00</b>	<b>-7,173,840.04</b>	<b>21.25%</b>
<b>Net Ordinary Income</b>	<b>-111,734.76</b>	<b>-97,916.01</b>	<b>0.00</b>	<b>-97,916.01</b>	<b>100.0%</b>
<b>Net Income</b>	<b>-111,734.76</b>	<b>-97,916.01</b>	<b>0.00</b>	<b>-97,916.01</b>	<b>100.0%</b>