



Regular Meeting of the Board of Directors

Tuesday, June 25, 2024

10:00 a.m.

Antelope Valley Transit Authority Community Room
42210 6th Street West, Lancaster, California
www.avta.com

AGENDA

For record-keeping purposes, and if staff may need to contact you, we request that a speaker card located at the Community Room entrance be completed and deposited with the AVTA Clerk of the Board. This will then become public information. Please note that you do not have to complete this form or state your name. A three-minute time limit will be imposed on all speakers besides staff members.

In accordance with the Americans with Disabilities Act of 1990, if you require a disability-related modification or accommodation to attend or participate in this meeting, including auxiliary aids or services, please contact the Clerk of the Board at (661) 729-2206 at least 72 hours prior to the scheduled Board of Directors meeting. All accommodation requests will be handled swiftly and resolving all doubts in favor of access.

Translation services for Limited English Proficiency (LEP) persons are also available by contacting the Clerk of the Board at least 72 hours prior to the meeting.

Please turn off, or set to vibrate, cell phones, pagers, and other electronic devices for the duration of this meeting.

CALL TO ORDER

PLEDGE OF ALLEGIANCE

ROLL CALL:

Chairman Marvin Crist, Vice Chair Dianne Knippel, Director Richard Loa, Director Eric Ohlsen, Director Raj Malhi, Director Michelle Flanagan

APPROVAL OF AGENDA

PUBLIC BUSINESS– AGENDIZED AND NON-AGENDIZED ITEMS:

If you would like to address the Board on any agendized or non-agendized items, you may present your comments at this time. For record-keeping purposes and so that staff may contact you if needed, we request that a speaker card, located in the Community Room lobby, be completed and provided to the Clerk of the Board. This

will then become public information. Please note that you do not have to complete this form or state your name to speak.

State law generally prohibits the Board of Directors from taking action on or discussing non-agenda items; therefore, your matter will be referred to the authority's Executive Director/CEO for follow-up. A three-minute time limit will be imposed on all speakers other than staff members.

SPECIAL REPORTS, PRESENTATIONS, AND REQUESTS FOR DIRECTION (SRP): During this portion of the meeting, staff will present information not normally covered under regular meeting items. This information may include, but is not limited to budget presentations, staff conference presentations, or information from outside sources that relates to the transit industry. **Staff will seek direction as is necessary from the Board with regard to the following item(s).**

- SRP 1 LEGISLATIVE REPORT FROM SENATOR SCOTT WILK'S OFFICE – THOMAS MORENO
- SRP 2 LEGISLATIVE REPORT FROM ASSEMBLYMEMBER TOM LACKEY'S OFFICE – ANNA ZARLEY
- SRP 3 PRESENTATION TO AVTA EMPLOYEE OF THE MONTH FOR MAY 2024 – CECIL FOUST
- SRP 4 PRESENTATION TO AV TRANSPORTATION SERVICES (AVTS) EMPLOYEE OF THE MONTH FOR APRIL AND MAY 2024 – HENRY BEAUSEJOUR
- SRP 5 AVTS MICROTRANSIT AND DIAL-A-RIDE KEY PERFORMANCE INDICATORS (KPI) REPORT FOR MAY 2024 – HENRY BEAUSEJOUR
- SRP 6 LEGISLATIVE REPORT AND FINANCE UPDATE FOR JUNE 2024 – JUDY VACCARO-FRY
- SRP 7 MAINTENANCE KPI REPORT FOR MAY 2024 – JOSEPH SANCHEZ
- SRP 8 PRESENTATION TO MV TRANSPORTATION EMPLOYEE AND OPERATOR OF THE MONTH FOR MAY 2024 – GENIE MAXIE
- SRP 9 OPERATIONS KPI REPORT FOR MAY 2024 – GENIE MAXIE

CONSENT CALENDAR (CC): Consent items may be received and filed and/or approved by the Board in a single motion. If any member of the Executive Board wishes to discuss a consent item, please request that the item be pulled for further discussion and potential action.

CC 1 BOARD OF DIRECTORS MEETING MINUTES OF MAY 28, 2024 – KAREN DARR

Recommendation: Approve the Board of Directors Regular Meeting Minutes of May 28, 2024.

CC 2 FINANCIAL REPORT FOR MAY 2024 – JUDY VACCARO-FRY

Recommendation: Receive and file the Financial Report for May 2024.

CC 3 RENEWAL OF AGREEMENT WITH LOS ANGELES COUNTY SHERIFF'S DEPARTMENT (LASD) FOR TRANSIT LAW ENFORCEMENT SERVICES – RESERVE UNIT – CECIL FOUST

Recommendation: Authorize the Executive Director/CEO to renew the Letter of Understanding with the LASD for transit law enforcement services covering the term July 1, 2024 through June 30, 2025, as outlined in the letter to Sheriff Robert Luna.

Interested Party: Los Angeles County Sheriff's Department

CC 4 ANNUAL REVIEW AND UPDATE OF THE PUBLIC TRANSPORTATION AGENCY SAFETY PLAN – ESTEBAN RODRIGUEZ

Recommendations:

- 1. Readopt the updated Public Transportation Agency Safety Plan (PTASP) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements for Fiscal Year 2024/2025 (FY 2025).*
- 2. Adopt Resolution No. 2024-005, adopting the updated PTASP for FY 2025.*

CC 5 DESTRUCTION OF AVTA RECORDS – PAULINA HURLEY

Recommendation: In accordance with AVTA's Record Retention Policy, authorize the destruction of the on-site records (paper, electronic, audio, photographic, etc.) detailed on the Records Destruction list.

CC 6 AMENDMENT NO. 5 TO CONTRACT #2019-64 WITH BROWN ARMSTRONG ACCOUNTANCY CORPORATION FOR CPA FINANCIAL AUDITING SERVICES – CECIL FOUST

Recommendations:

- 1. Extend the maximum term of this contract from five to seven years.*
- 2. Authorize the Executive Director/CEO to execute Amendment No. 5 to Contract #2019-64 with Brown Armstrong Accountancy Corporation, Bakersfield, CA for*

CPA financial auditing services for a one-year period not to exceed \$53,000 with one additional period remaining.

Interested Party: Brown Armstrong Accountancy Corporation

- CC 7 SET PUBLIC HEARING FOR CONSIDERATION OF THE DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM AND GOAL-SETTING METHODOLOGY FOR FEDERAL FISCAL YEARS (FFY) 2025 - 2027 (OCTOBER 1, 2024 THROUGH SEPTEMBER 30, 2027) – FRANCYNN TOBAR

Recommended Action: Set a Public Hearing for consideration of the DBE Program Update and Goal for FFY 2025 through 2027.

NEW BUSINESS (NB):

- NB 1 FISCAL YEAR (FY) 2024/2025 PROPOSED – JUDY VACCARO-FRY

Recommendation: Approve the FY 2025 Proposed Budget.

- NB 2 PROPOSED SERVICE CHANGES – MARTIN TOMPKINS

Recommendation: Instruct the Executive Director/CEO to review efficiencies across all local transit routes in the cities of Lancaster, Palmdale and unincorporated areas of Los Angeles County and provide a recommendation to include reduction and or elimination of service hours.

CLOSED SESSION (CS):

PRESENTATION BY LEGAL COUNSEL OF ITEM(S) TO BE DISCUSSED IN CLOSED SESSION:

- CS 1 Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(2)
Significant exposure to litigation (two potential cases)
- CS 2 Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(4)
Consideration of whether to initiate litigation (one potential case)
- CS 3 Conference with Legal Counsel – Anticipated Litigation: Consideration of Initiation of Litigation Pursuant to Government Code Section 54956.9(D)(4)
(one potential case)

RECESS TO CLOSED SESSION

RECONVENE TO PUBLIC SESSION

REPORT BY LEGAL COUNSEL OF ACTION TAKEN IN CLOSED SESSION

REPORTS AND ANNOUNCEMENTS (RA):

RA 1 REPORT BY THE EXECUTIVE DIRECTOR/CEO

MISCELLANEOUS BUSINESS – NON-AGENDA BOARD OF DIRECTORS ITEMS:

During this portion of the meeting, Board Members may address non-agenda items by briefly responding to statements or questions posed by the public, asking a question for clarification, making a brief announcement, or making a brief report on their activities. **State law generally prohibits the AVTA Board of Directors from taking action on or discussing items not on the agenda.** Matters will be referred to the Executive Director/CEO for follow-up.

ADJOURNMENT:

Adjourn to the Regular Meeting of the Board of Directors on July 23, 2024, at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6th Street West, Lancaster, CA.

The agenda was posted by 6:00 p.m. on June 21, 2024, at the Antelope Valley Transit Authority entrance, 42210 6th Street West, Lancaster, CA 93534.

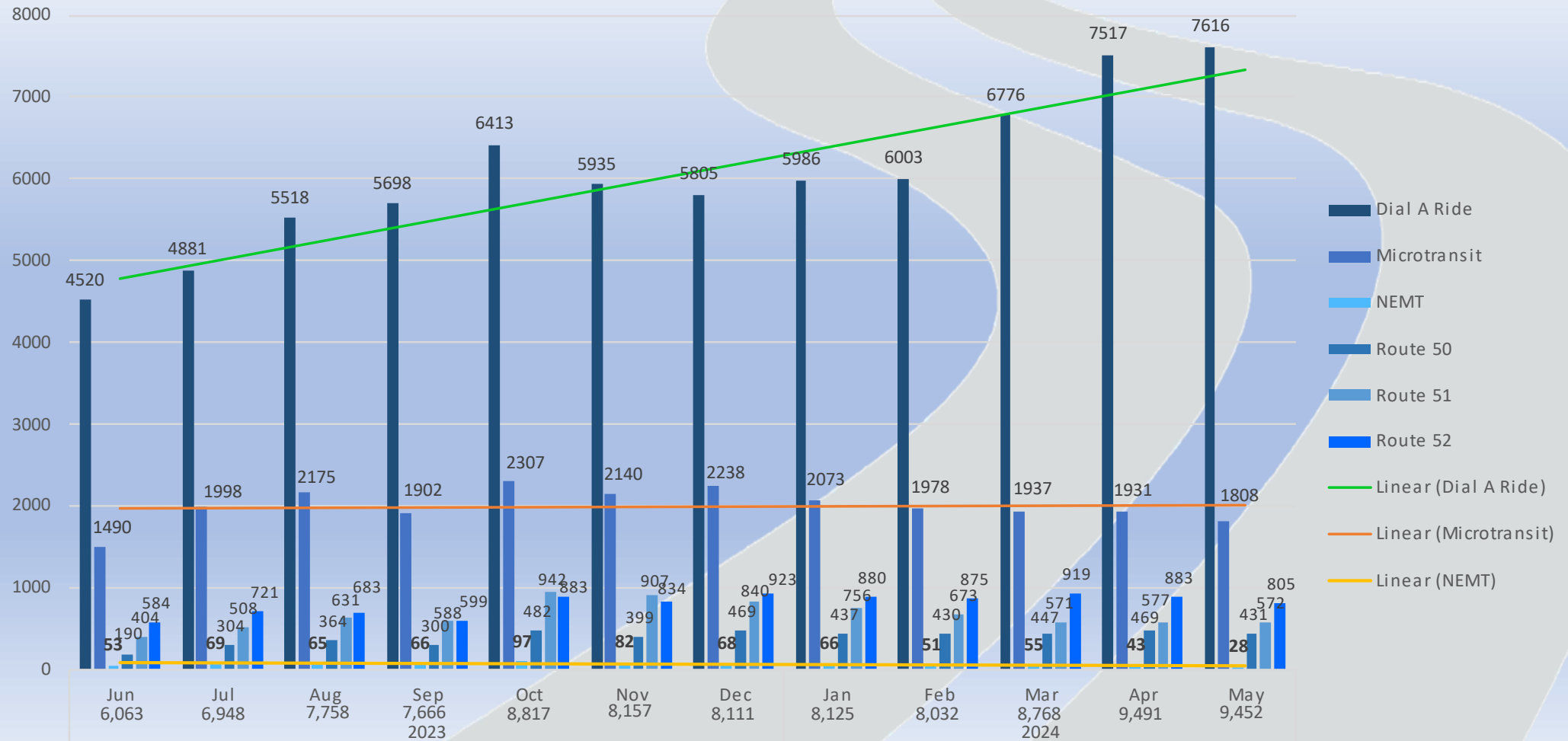
Copies of the staff reports and attachments or other written documentation relating to each proposed item of business on the agenda presented for discussion by the Board of Directors are on file in the Office of the Executive Director/CEO. Any disclosable public records related to an open session item on a regular meeting agenda and distributed by the AVTA to the Board of Directors less than 72 hours prior to that meeting are on file in the Office of the Executive Director/CEO. These documents are available for public inspection during regular business hours at the Customer Service window of the AVTA at 42210 6th Street West, Lancaster or by contacting the Clerk of the Board at (661) 729-2206.

May

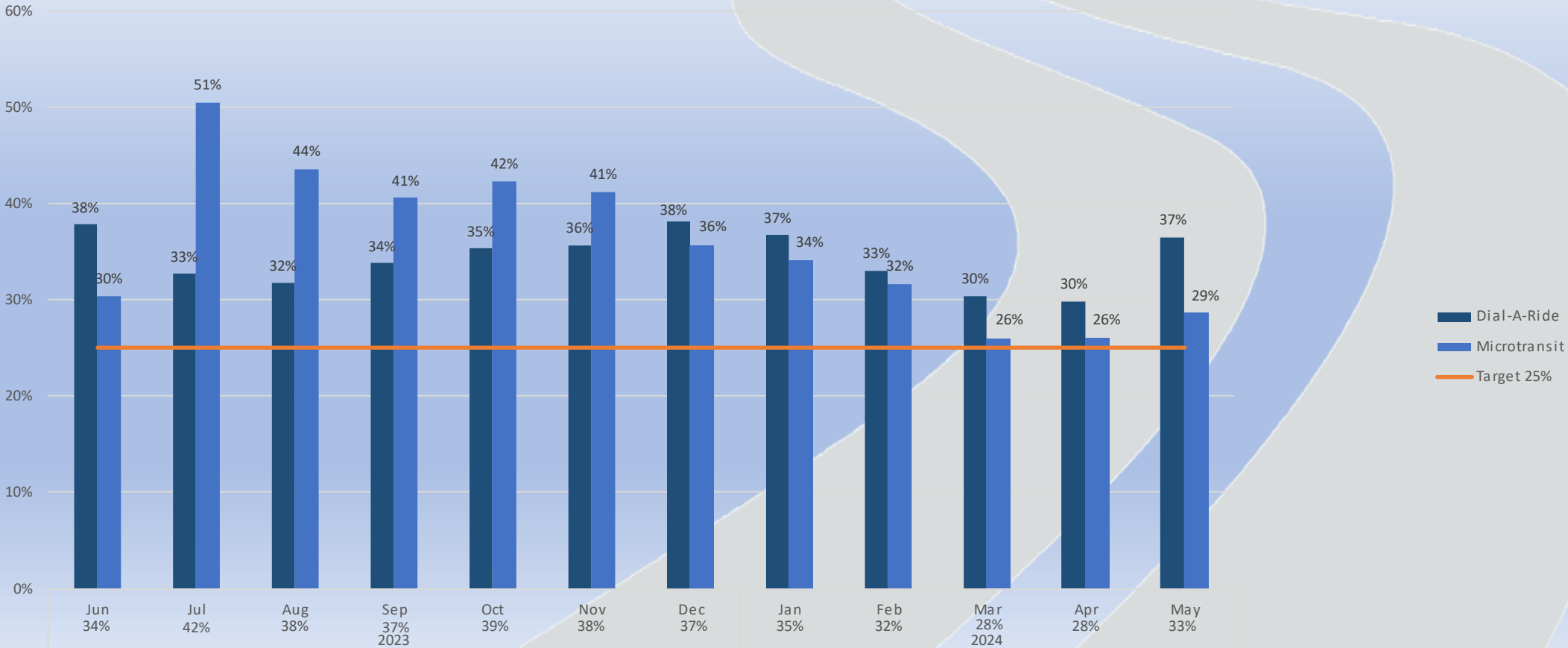
FY 2024 MONTHLY OPERATIONS KEY PERFORMANCE INDICATORS

Presentation to the
Board of Directors
June 25, 2024

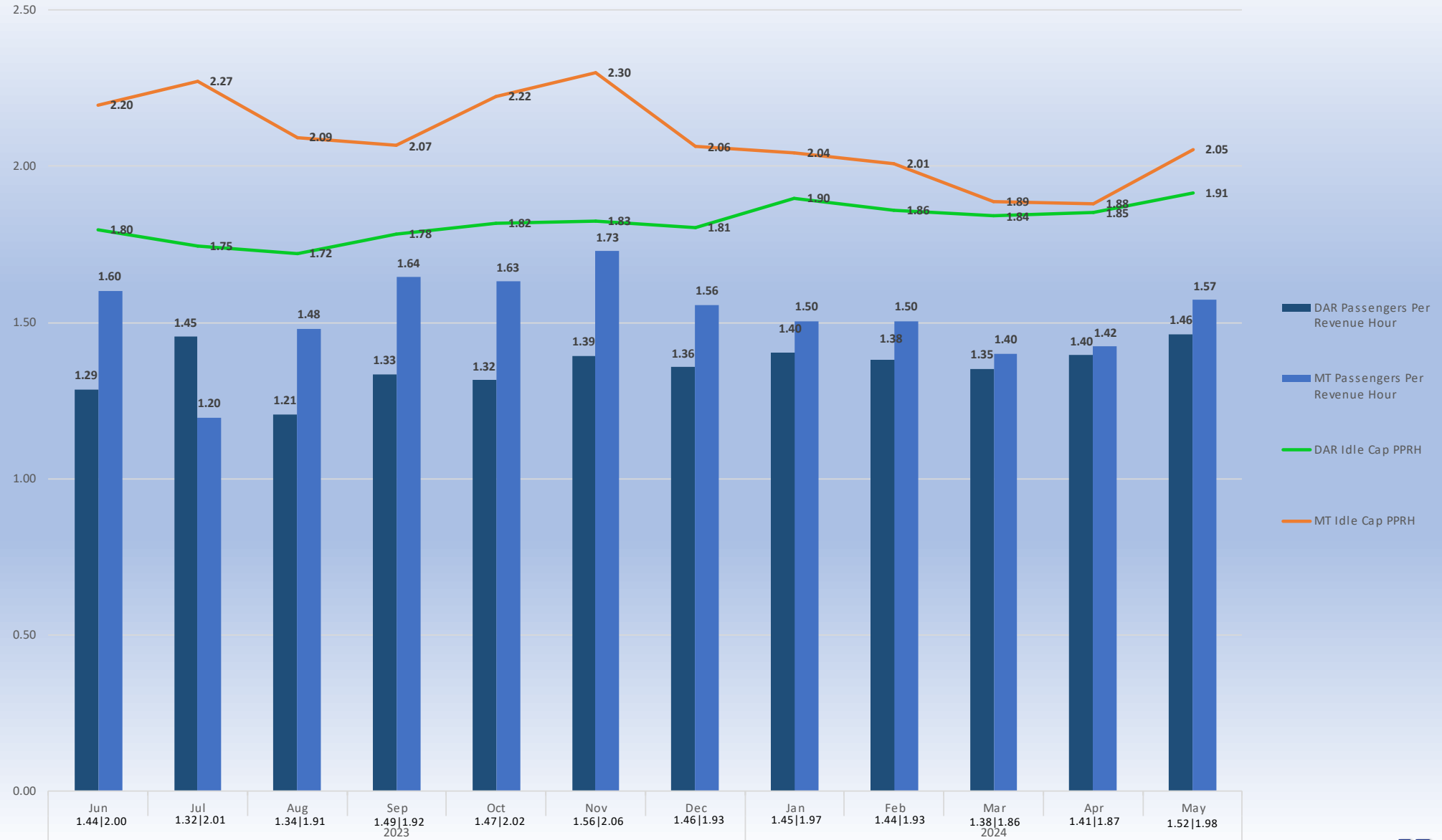
PASSENGER RIDERSHIP DATA



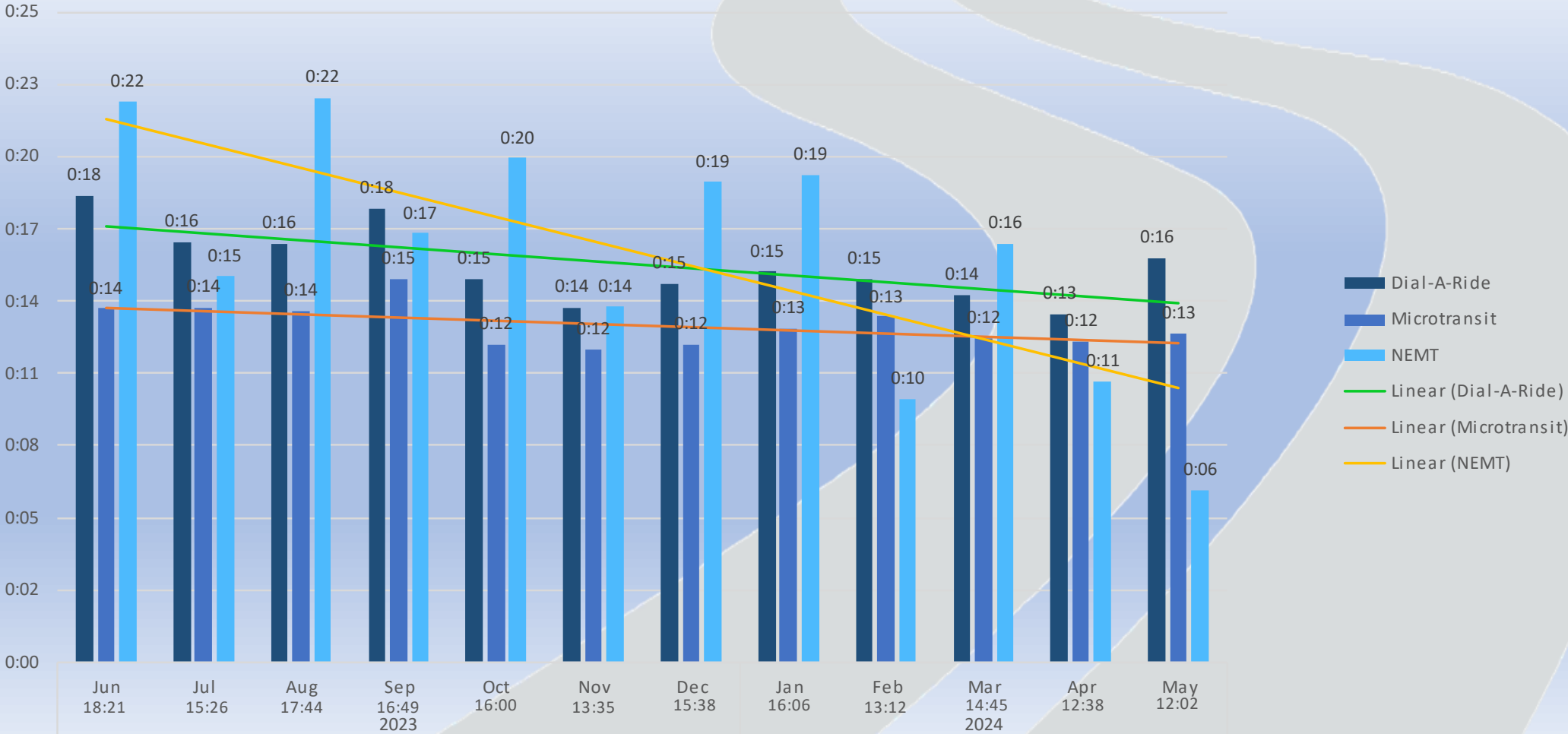
AVERAGE SHARED RIDE PERCENTAGE



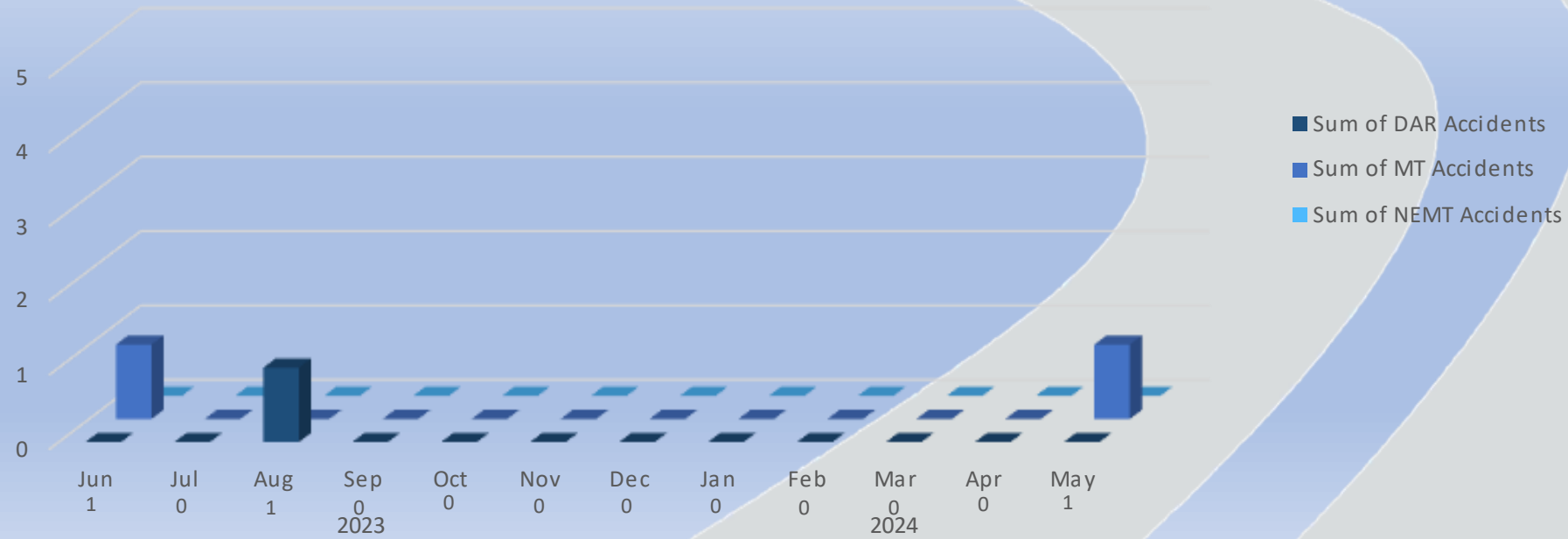
PASSENGERS PER REVENUE HOUR



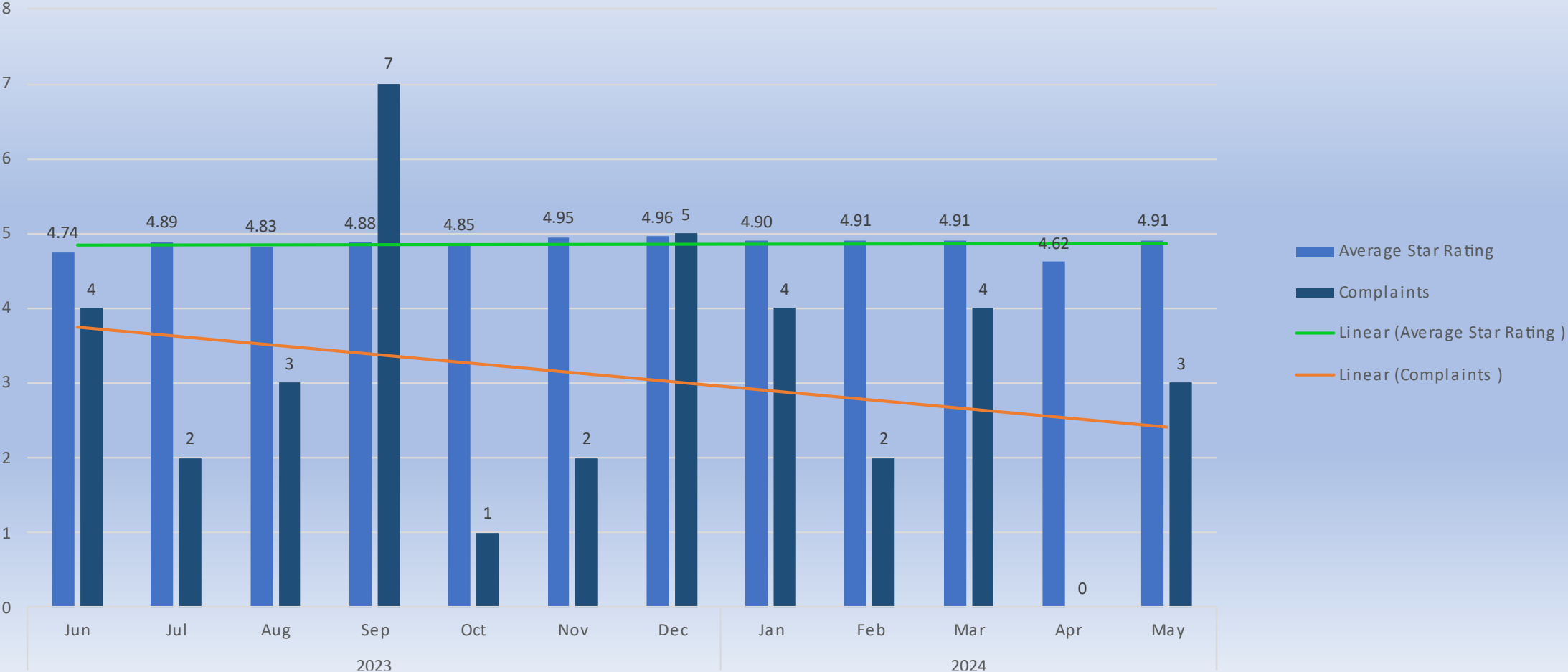
PASSENGER WAIT TIME



ACCIDENTS



PASSENGER FEEDBACK



May

FY 2024 MONTHLY OPERATIONS KEY PERFORMANCE INDICATORS

Thank You!

Questions?

LEGISLATIVE UPDATE

Presentation to the Board of Directors
June 25, 2024



STATE



ASSEMBLY



ASSEMBLY BILLS				
BILL #	TITLE		STATUS	Next Action
AB 1904	Yield Signs on Transit Buses.	5/30/2024	Ordered to third reading	6/20/2024
AB 1953	Vehicles: weight limits.	5/15/2024	Ordered to third reading	6/20/2024
AB 2553	Major Transit Stops	5/15/2024	Read second time and amended. Re-referred to Com. on HOUSING	7/2/2024
AB 2043	NMT and NEMT	6/13/2024	Re-referred to Com. on APPR	6/24/2024
AB 2697	<i>Transportation electrification: electric vehicle charging infrastructure.*</i>	6/16/2024	Re-referred to Com. on TRANS	6/25/2024
AB 2626	Advanced Clean Fleets Regulations: local governments.	3/4/2024	Referred to Committee on Transportation and Natural Resources	No Action
AB 2824	Enhanced Penalties for Transit Employee Assaults.	4/23/2024	In committee: Hearing postponed by committee	No Action
AB 2719	Commercial Vehicle Inspections	5/16/2024	In committee: Held under submission.	No Action
AB 3219	Advanced Clean Fleets Regulation: local governments.	3/12/2024	Re-referred to Committee on Transportation	No Action
AB 3177	Mitigation Fee Act: land dedications: mitigating vehicular traffic impacts.	6/13/2024	Read second time and amended. Re-referred to Com. on HOUSING	7/2/2024
AB 3238	Electrical infrastructure projects: endangered species: natural community conservation plans.	6/12/2024	Amend, and re-refer to committee. Read second time, amended, and re-referred to Com. on E., U. & C.	6/24/2024

*Assemblyman Carrillo

BOLD - Advanced to Senate

SENATE

SENATE BILLS				
BILL #	TITLE		STATUS	Next Action
SB 768	State Air Resources Board: vehicle miles traveled: study	6/11/2024	Re-referred to Com. on APPR	Not Listed
SB 960	Transit Priority Projects	6/3/2024	Referred to Com. on TRANS	7/1/2024
SB 961	Vehicles: safety equipment	6/19/2024	Re-referred to Com. on P. & C.P.	7/2/2024
SB 898	SB-898 Vehicle equipment: windows	5/21/2024	Read third time. Passed. (Ayes 26. Noes 9.) Ordered to the Assembly.	NOW: Criminal procedure: sexual assault resentencing
SB 1204	Planning and Zoning Law: electric vehicle charging stations	6/3/2024	Referred to Com. on L. GOV.	6/26/2024
SB 1325	Public contracts: best value procurement: goods	6/3/2024	3rd reading	6/26/2024
SB 1387	Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project: vehicle eligibility	6/14/2024	Ordered to special consent calendar.	June 17 set for first hearing canceled at the request of author.



STATE BUDGET



On June 13, the Legislature passed AB 107 (Gabriel), the main budget bill.

The bill maintains the state's commitment to provide the \$5.1 billion for public transit capital projects and services included in the Budget Act of 2023.

The Legislature has met its constitutional requirement to pass a balanced budget by June 15.

The final budget is expected to be adopted by June 30.

TRANSIT TRANSFORMATION TASK FORCE



The Task Force is reviewing "policy enablers" (i.e. statutory changes, regulatory amendments, and administrative improvements) necessary to achieve "transformational ridership," beginning with the following topics:

1. Service Improvements related to Increasing Frequency and Reliability through Transit Prioritization
 1. Fare Coordination between Agencies
 2. Service Improvements related to Coordinated Scheduling
 3. Safety and Cleanliness on and around Transit



The Task Force is charged with developing policy recommendations to grow transit ridership, improve the transit experience and address long-term operational needs.

FEDERAL



HOUSE FY 2025 SUBCOMMITTEE ALLOCATIONS



House FY 2025 302(b) Subcommittee Allocations (Million \$)			
	Original	Revised	Difference
Agriculture	25,873	25,873	0
Commerce-Justice-Science	80,310	78,288	-2,022
Defense	833,053	833,053	0
Energy and Water	59,190	59,190	0
Financial Services	23,608	23,608	0
Homeland Security	64,805	64,805	0
Interior/Environment	36,939	37,739	+800
Labor-HHS-Education	184,564	186,586	+2,022
Legislative Branch	7,125	7,125	0
Military Construction/Veterans	147,520	147,520	0
State/Foreign Operations	51,713	51,713	0
Transportation-HUD	91,200	90,400	-800
TOTAL, BASE	1,605,900	1,605,900	0

House Appropriations Committee formally approved the plan to subdivide \$1.6 trillion in discretionary funding authority for FFY 2025 between the panel's 12 subcommittees.

The committee cut the THUD Subcommittee's net funding total by \$800 million and gave it to Interior/Environment.

TRANSPORTATION, HOUSING & URBAN DEVELOPMENT



House Appropriations won't release the draft text of its FY 2025 Transportation-HUD bill for another month

Discretionary Appropriations in the Transportation-HUD Bill (Million \$\$)					
	Enacted <u>FY 2024</u>	Request <u>FY 2025</u>	House <u>FY 2025</u>	House FY 2025 Bill vs. <u>Last Year</u>	<u>Request</u>
Net Discretionary	89,484	91,823	90,400	+916	-1,423
Plus Funds Offset By:					
DOT Rescissions	175	0			
DOT Offsetting Fees	188	165	165		
HUD Rescissions	192	155			
HUD Offsetting Fees	5,431	8,357	8,357		
Emergency Designation	8,000	10,371	0		
Equals Gross Discretionary	103,470	110,871	98,922	-4,548	-11,949
				-4.4%	-10.8%
<u>Step 1: Protect Top 3 Priorities</u>					
FAA Operations	12,730	13,603	13,603	873	0
Tenant-Based Renewals	28,491	29,251	29,251	760	0
Project-Based Renewals	15,542	16,047	16,047	505	0
Gross Minus Top 3 Priorities	62,249	68,017	56,068	-6,181	-11,949
				-9.9%	-17.6%

TRANSPORTATION, HOUSING & URBAN DEVELOPMENT



UNITED STATES SENATE
COMMITTEE HEARING CHANNELS

Hearing entitled,
**Unlocking Department of Transportation Financing
for more Transit-Oriented Housing Development.**

Coverage begins at 10:00 am.

COMMITTEE ON APPROPRIATIONS
Subcommittee on Transportation, Housing
and Urban Development, and Related Agencies

00:05 01:34:58

The banner features a dark background with a repeating pattern of octagonal medallions. On the left, there is a blurred image of a gavel. The text is centered and presented in a clean, white, sans-serif font. A play button icon is overlaid on the main title text.

FFY 2025 FEDERAL BUDGET

“I write to urge you to honor the promise of the bipartisan Infrastructure Investment and Jobs Act (IIJA) and provide funding levels at least equal to the IIJA’s public transportation and passenger rail investments for Fiscal Year (FY) 2025.”



APTA is urging Congress:

- Provide at least \$21.9 billion for public transit in FY 2025.
- Provide the fully authorized amount of \$6 billion for (FTA) (CIG) program.
- Provisions to prohibit implementation of the Rostenkowski Test.
- A provision to allow public transit agencies to fund shared use micromobility projects and systems (e.g., bicycles, scooters) as “associated transit improvement” capital projects.
- Reject the cut the Federal share from 85 percent to not less than 50 percent to disincentivize vehicle customization.



Questions?



SRP 7

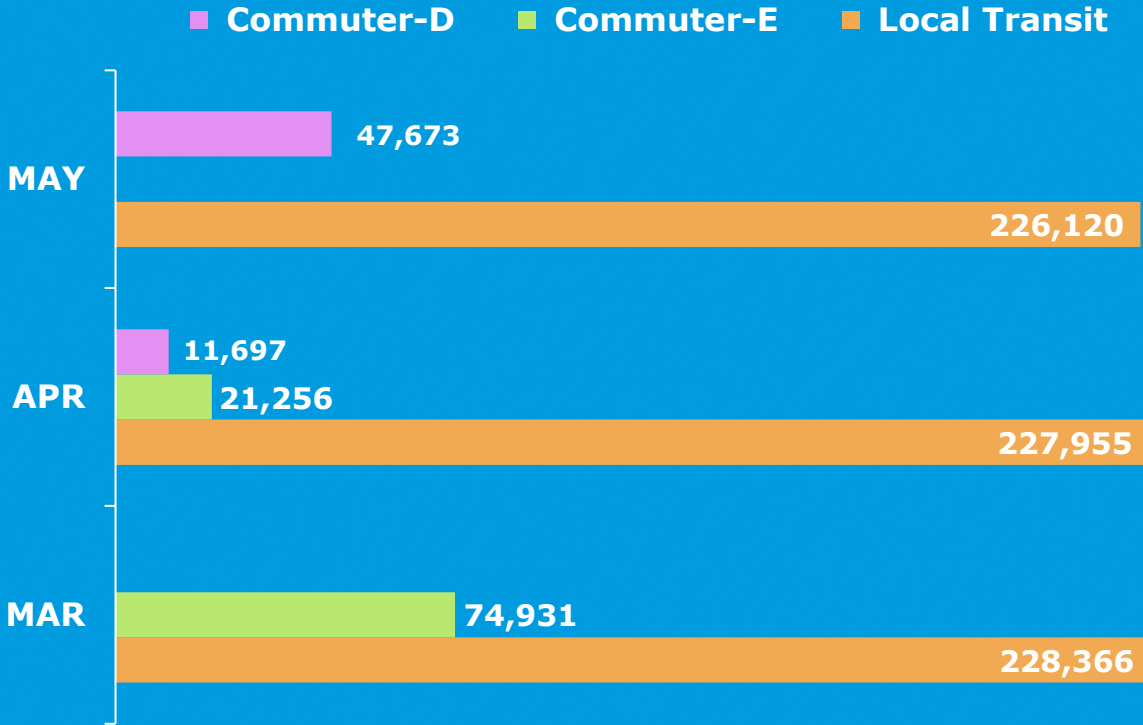
FY 2024 Monthly Fleet Maintenance Key Performance Indicators

Presentation to the Board of Directors

June 25, 2024

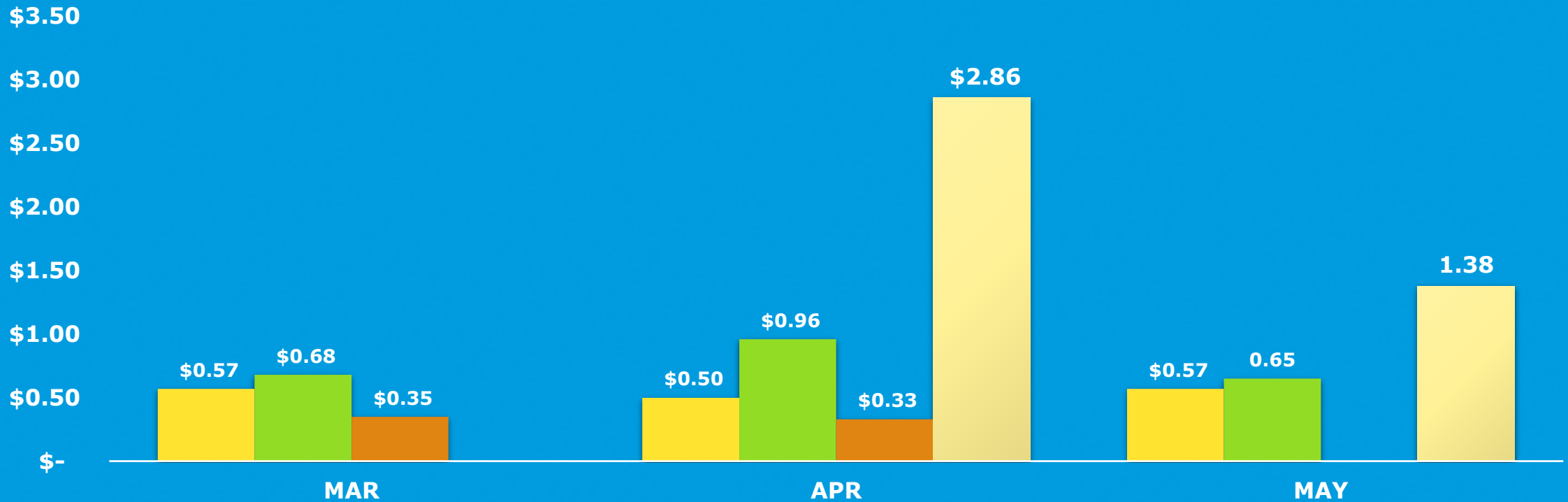


MILESTONES



MAINTENANCE COST PER MILE BY FLEET

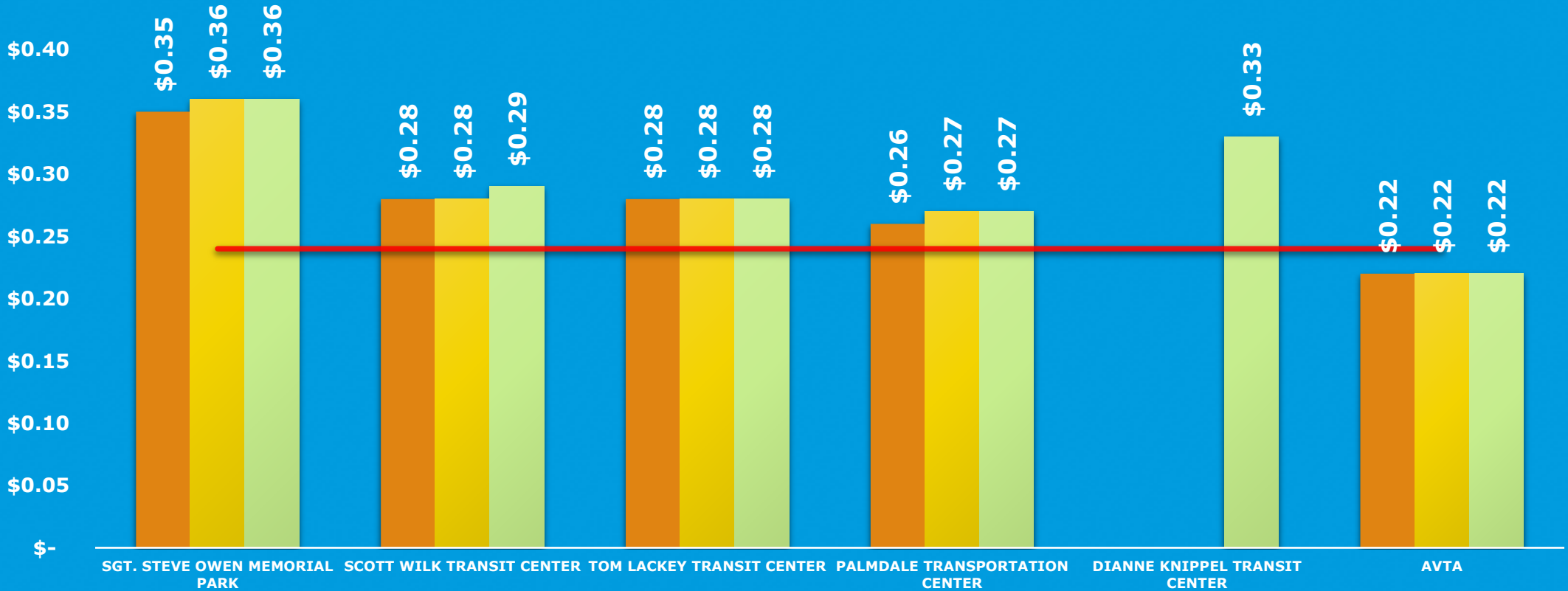
■ 40'BYD ■ 60'BYD ■ 45'MCI ■ 45'MCI-D



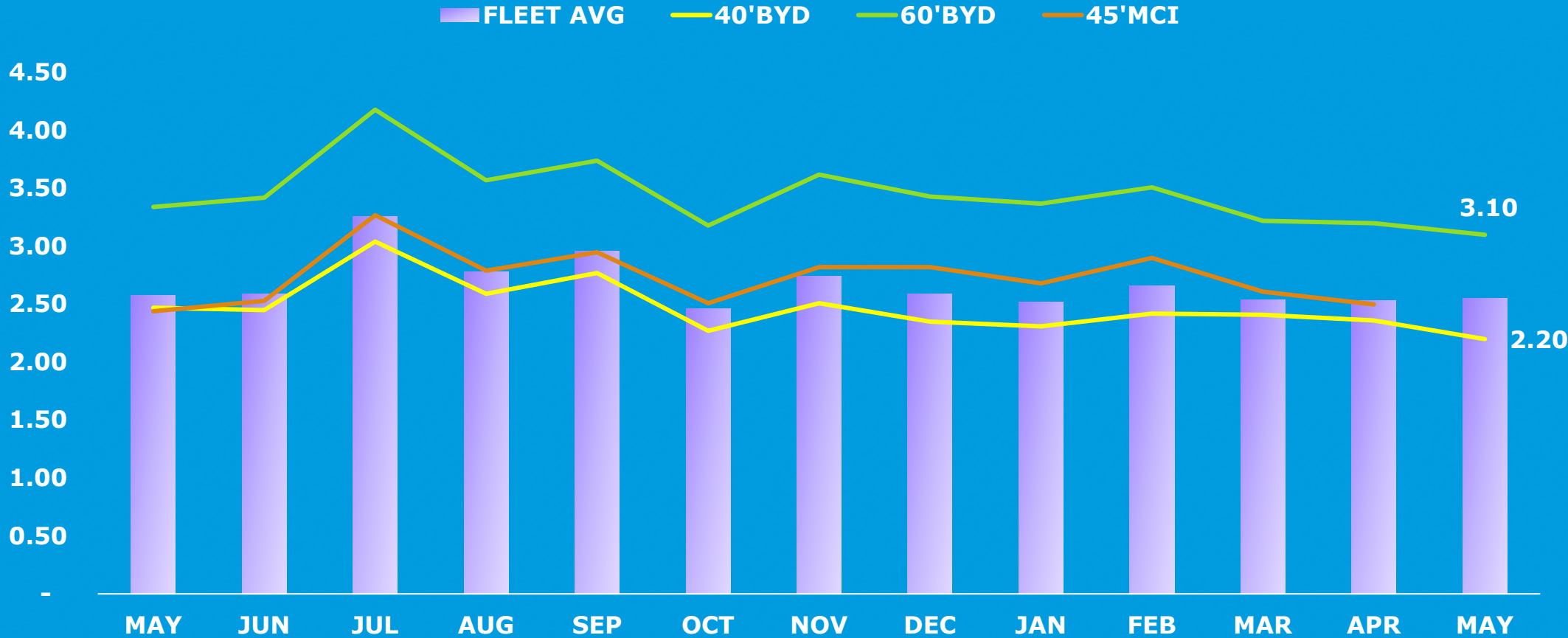
ENERGY DEPOTS

COST PER KWH

MARCH APRIL MAY AVG kWh



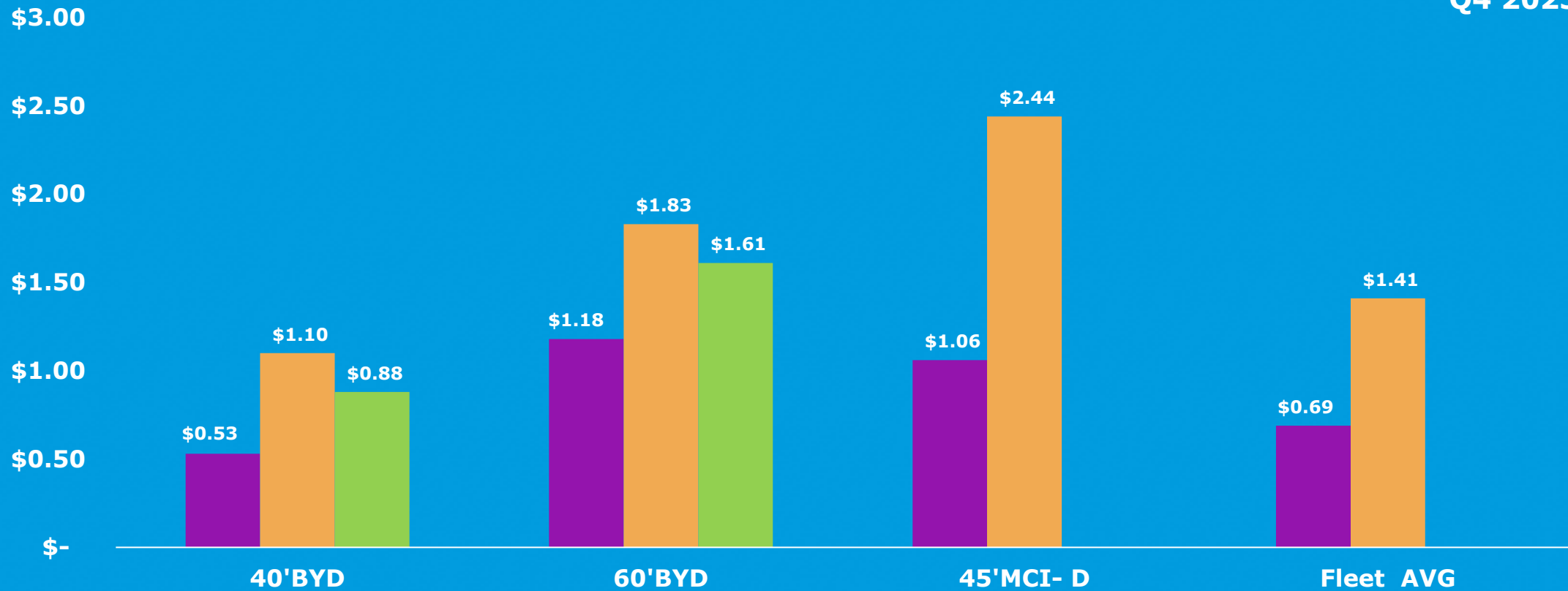
AVERAGE kWh CONSUMPTION PER MILE



FLEET COSTS PER MILE MAY

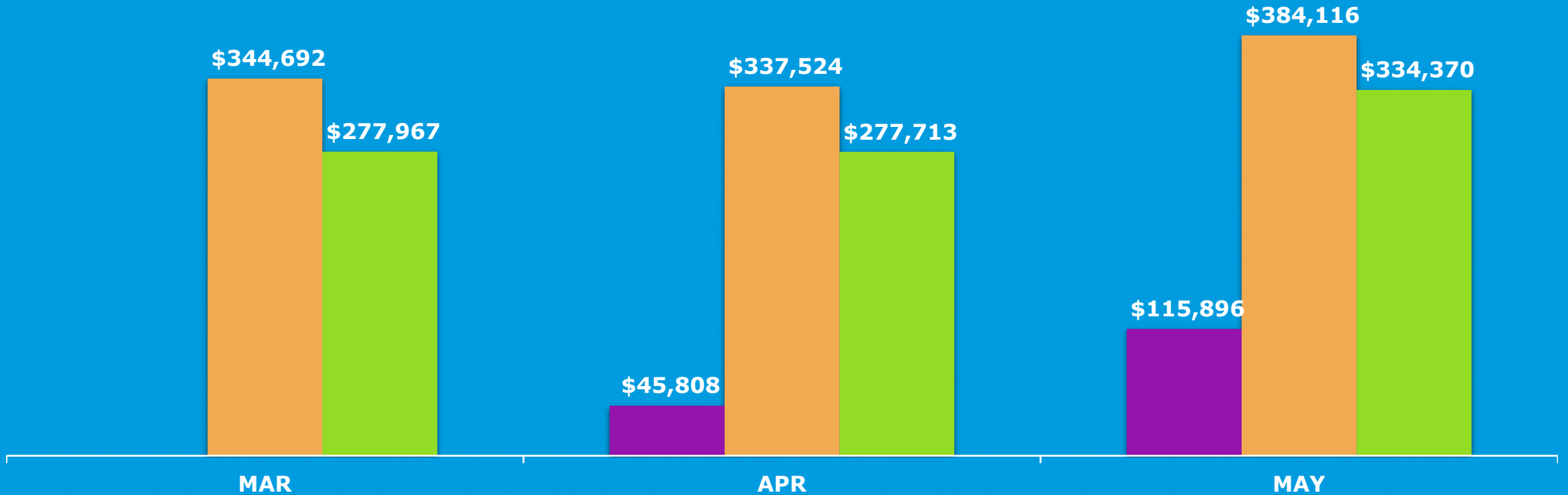
■ ENERGY/FUEL ■ MAINTENANCE COMBINED ■ CREDITS APPLIED

LCFS EARNINGS
Q4 2023: \$.22



COMBINED FLEET OPERATING COSTS ENERGY AND MAINTENANCE

■ DIESEL ■ COMBINED COSTS ■ CREDITS APPLIED



Thank you!

Questions?





SRP 9

FY 2024 Monthly Operations Key Performance Indicators

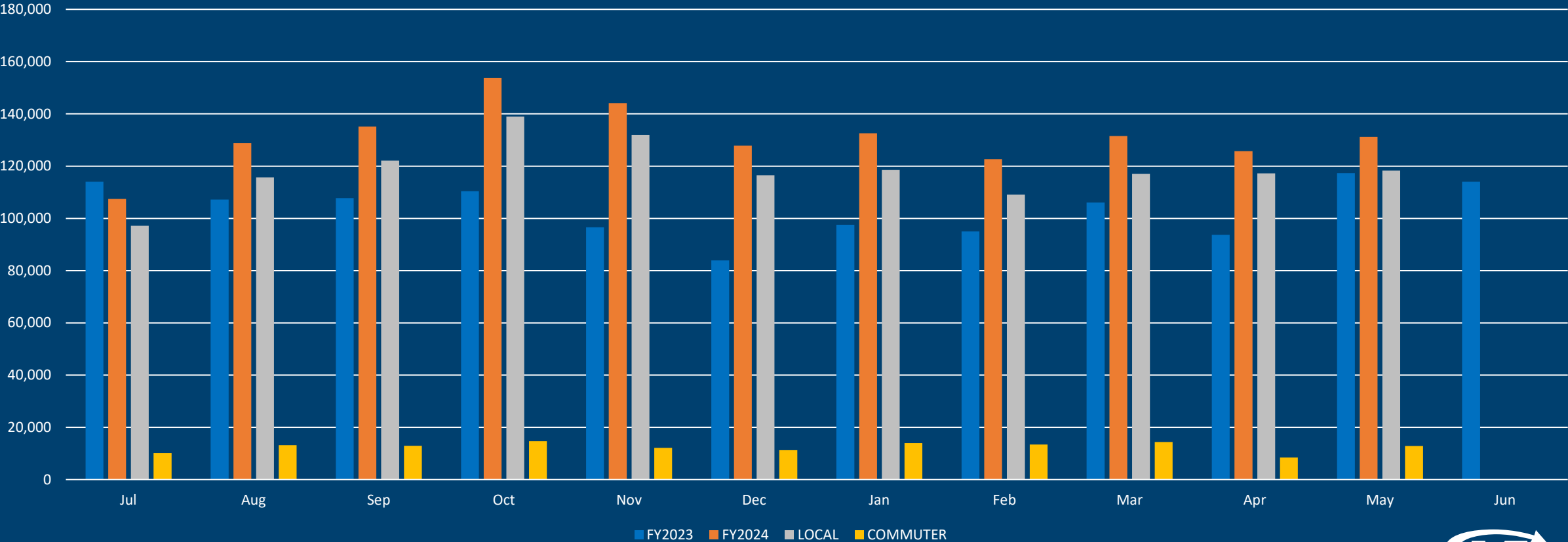
Presentation to the Board of Directors

May 2024

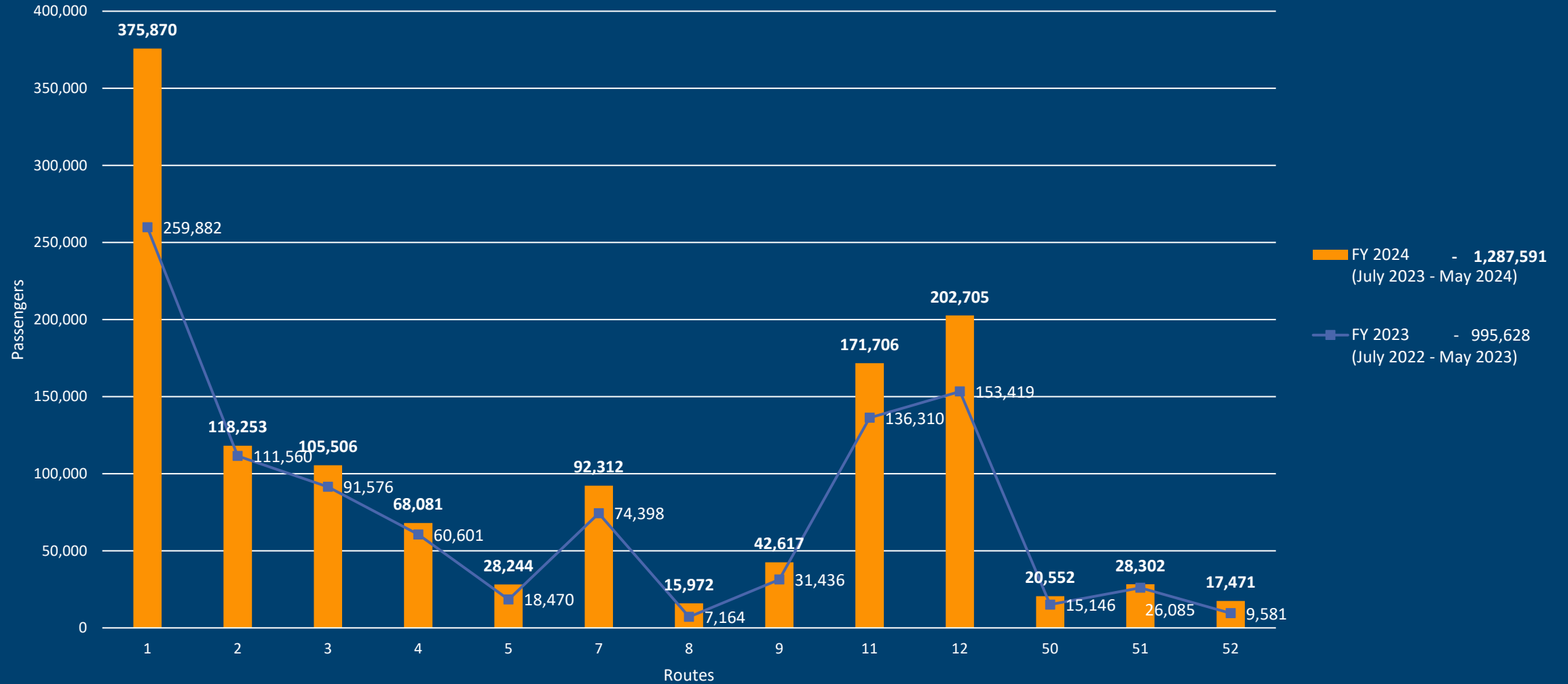
Genie Maxie

MONTHLY BOARDING ACTIVITY

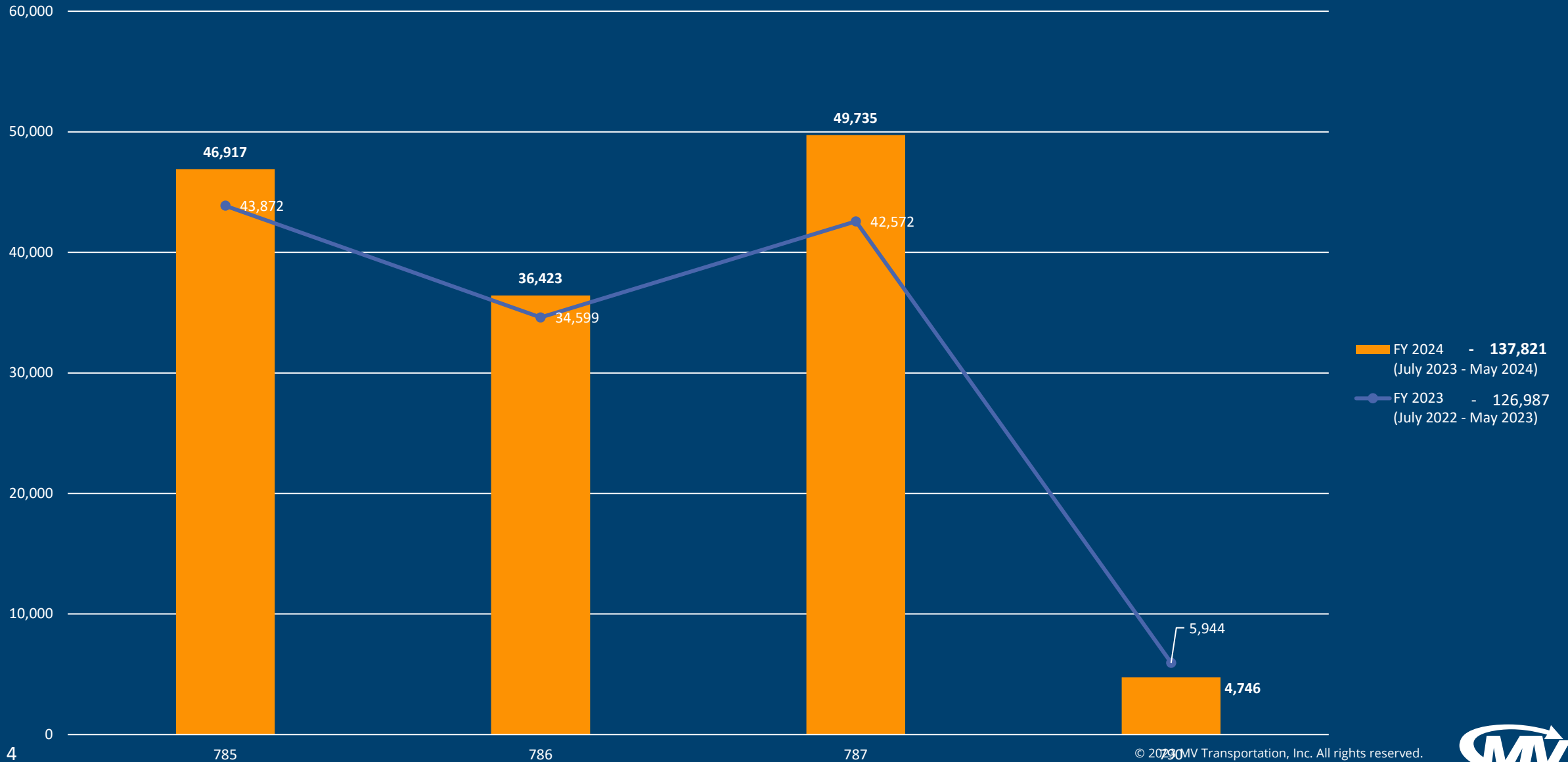
	May 2024 FY 2024	April 2024 FY 2024
System	131,175	125,735
Local	118,278	117,233
Commuter	12,897	8,502



ANNUAL RIDERSHIP – LOCAL ROUTES

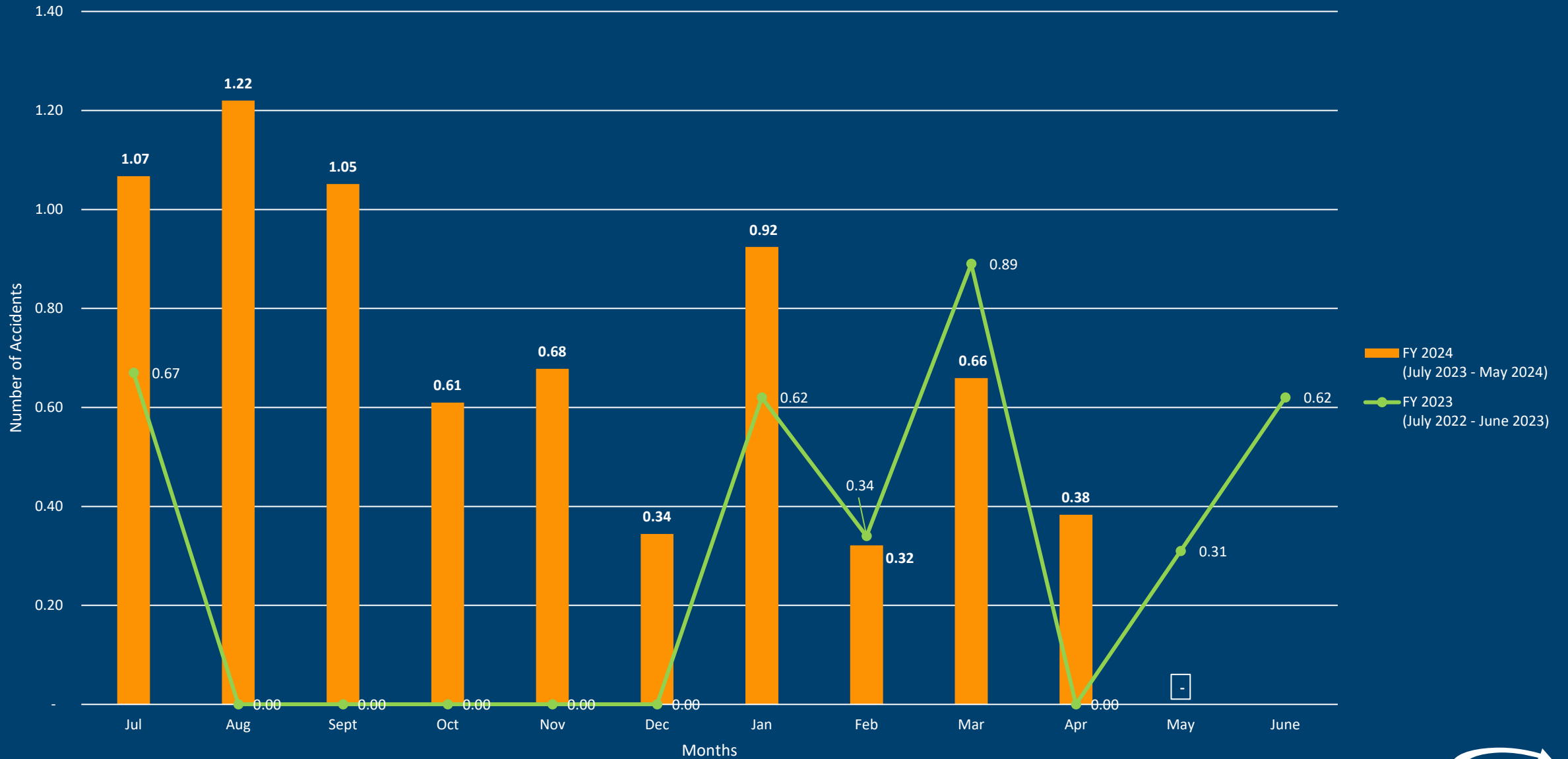


ANNUAL RIDERSHIP - COMMUTER ROUTES



PREVENTABLE ACCIDENTS /100,000 MILES

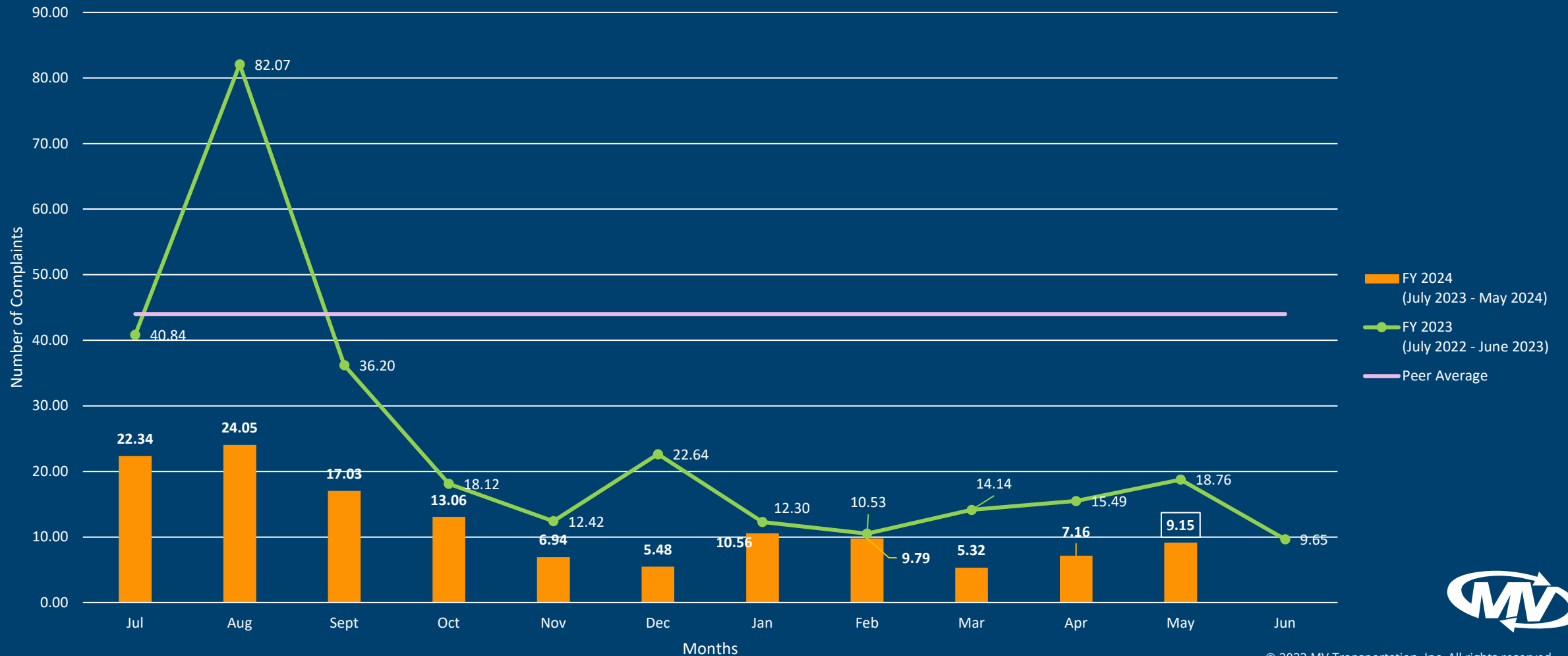
MAY – SYSTEM-WIDE AVERAGE: 0.0



COMPLAINTS / 100,000 BOARDINGS

MAY – SYSTEM WIDE AVERAGE: 9.15

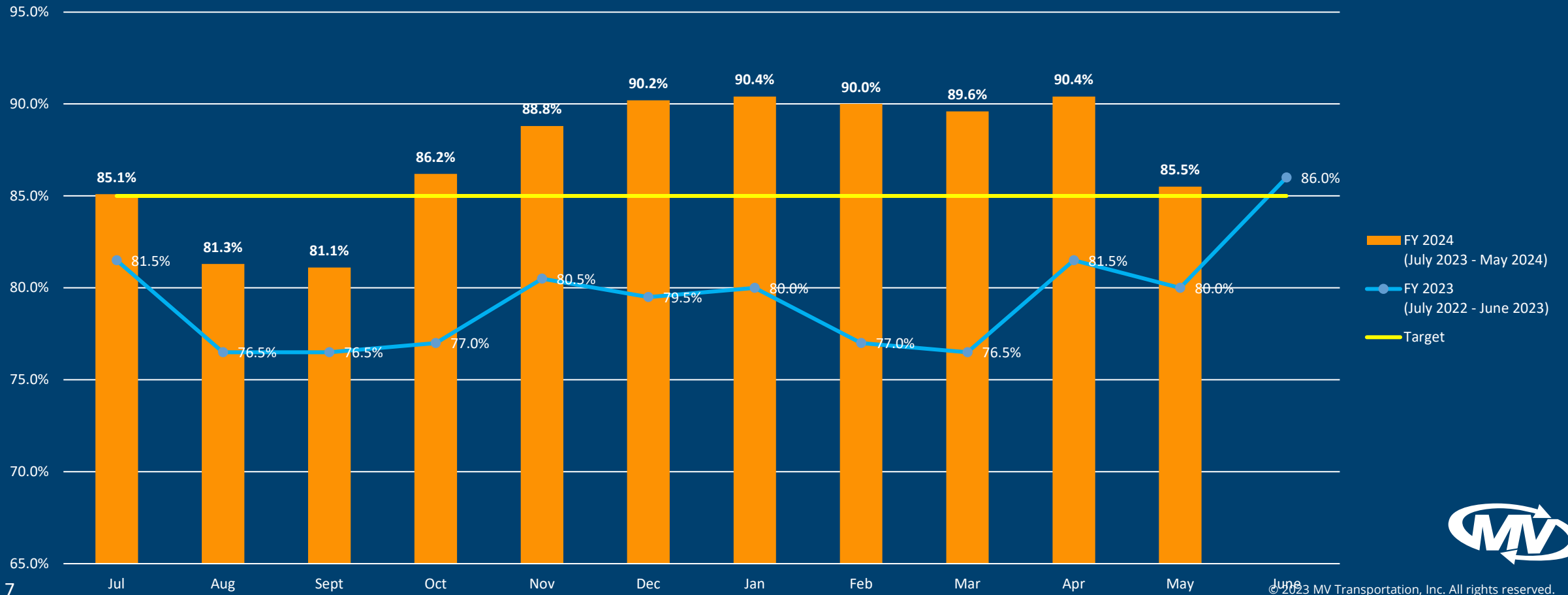
PEER AVERAGE: 44.00



ON-TIME PERFORMANCE

MAY – LOCAL 85.5%

TARGET: 85%



AVERAGE MILES BETWEEN ROADCALLS

MAY – SYSTEM WIDE AVERAGE: 10,140

TARGET: 15,500



KEY PERFORMANCE INDICATORS

	May 2024 FY 2024	April 2024 FY 2024	May 2023 FY 2023
Boarding Activity	131,175	125,735	117,277
Complaints / 100,000 Boardings	9.15	7.16	18.76
Preventable Accidents / 100,000 Miles	0.0	.38	.31
On Time Performance	85.5%	90.4%	80.0%
Average Miles Between Roadcalls	10,140	12,424	12,711





WE ARE MVMNT

**THANK
YOU**

Questions?



Regular Meeting of the Board of Directors

Tuesday, May 28, 2024

10:00 a.m.

Antelope Valley Transit Authority Community Room
42210 6th Street West, Lancaster, California
www.avta.com

UNOFFICIAL MINUTES

CALL TO ORDER

Chairman Crist called the meeting to order at 10:00 a.m.

PLEDGE OF ALLEGIANCE

Director Ohlsen led the Pledge of Allegiance.

ROLL CALL:

Present

Chairman Marvin Crist, Vice Chair Dianne Knippel, Director Richard Loa, Director Eric Ohlsen, Director Raj Malhi, Director Michelle Flanagan

APPROVAL OF AGENDA

On a motion by Vice Chair Knippel and seconded by Director Malhi, the Board of Directors approved the agenda.

Vote: Motion carried (6-0-0-0)
Yeas: Chairman Crist, Vice Chair Knippel, Directors Loa, Ohlsen, Malhi, Flanagan
Nays: None
Abstain: None
Absent: None

PUBLIC BUSINESS– AGENDIZED AND NON-AGENDIZED ITEMS:

Darlene Duquete spoke about the availability of the buses, wait times, and the cleanliness of several buses.

Charlotte Baxter spoke about the courteous Dial-A-Ride service she received on May 20th and 25th and the discourteous service she received on May 18, 2024.

Fran Sereseres stated that she had an issue with Access Services dropping her off at her normal AV Fairgrounds Hunter Building location. Executive Director/CEO Martin Tompkins will contact Access Services' staff.

SPECIAL REPORTS, PRESENTATIONS, AND REQUESTS FOR DIRECTION (SRP):

SRP 1 LEGISLATIVE REPORT FROM SENATOR SCOTT WILK'S OFFICE

Thomas Moreno, District Representative for State Senator Scott Wilk, provided updates on Senate Bill (SB) 1004 Income taxes: exclusions: wildfires, SB-1023 California State University: Antelope Valley or Victor Valley campus, SB-1233 University of California: Western University of Health Sciences: veterinary medicine: spay and neuter techniques, SB-1359 Illegal dumping, and SB-961 Vehicles: safety equipment. Mr. Moreno will provide additional information on SB 961 at the next Board meeting.

SRP 2 LEGISLATIVE REPORT FROM ASSEMBLYMEMBER TOM LACKEY'S OFFICE

Pamela Balch, District Director for Assemblymember Tom Lackey, was unable to attend the meeting.

SRP 3 PRESENTATION TO AVTA EMPLOYEE OF THE MONTH FOR APRIL 2024

Procurement and Contracts Officer Cecil Foust presented Fleet Maintenance Manager Vincent San Nicolas with the Employee of the Month award for April 2024.

SRP 4 PRESENTATION TO AV TRANSPORTATION SERVICES (AVTS) EMPLOYEE OF THE MONTH FOR APRIL 2024

The recipient was unable to attend.

SRP 5 AVTS MICROTRANSIT AND DIAL-A-RIDE KEY PERFORMANCE INDICATORS (KPI) REPORT FOR APRIL 2024

AV Transportation Services President Art Minasyan presented the report.

SRP 6 LEGISLATIVE REPORT AND FINANCE UPDATE FOR MAY 2024

Chief Financial Officer Judy Vaccaro-Fry presented an update on the state's excise gas tax, various assembly and senate bills, the Fiscal Year (FY) 2025 state budget, Transit and Intercity Rail Capital Program – Cycle

7, Public Transportation Agency Safety Plan (PTASP), and LACMTA GoPass Program.

SRP 7 MAINTENANCE KPI REPORT FOR APRIL 2024

Maintenance Compliance Analyst Joseph Sanchez presented the report. The Board discussed the status of the VW Mitigation credits AVTA received for the MCI electric buses.

SRP 8 PRESENTATION TO MV TRANSPORTATION EMPLOYEE AND OPERATOR OF THE MONTH FOR MARCH AND APRIL 2024

MV Transportation Assistant General Manager Genie Maxie presented awards to Guadalupe Coto, Operator of the Month for March 2024; Debra Williams, Operator of the Month for April 2024; and Christine Jones, Employee of the Month for April 2024.

SRP 9 OPERATIONS KPI REPORT FOR APRIL 2024

Ms. Maxie presented the report.

CONSENT CALENDAR (CC):

CC 1 BOARD OF DIRECTORS MEETING MINUTES OF APRIL 23, 2024

Approve the Board of Directors Regular Meeting Minutes of April 23, 2024.

CC 2 FINANCIAL REPORT FOR APRIL 2024 AND FISCAL YEAR (FY) 2023/2024 THIRD QUARTER TREASURER'S REPORT

Receive and file the Financial Report for April 2024 and FY 2024 Third-Quarter Treasurer's Report, including Capital Reserve and Farebox Recovery information.

CC 3 RESOLUTION NO. 2024-001, LOCAL AGENCY INVESTMENT FUND (LAIF) INVESTMENTS FOR FISCAL YEAR 2024/2025 (FY 2025)

Adopt Resolution 2024-001, a Resolution appointing the Executive Director/CEO as Treasurer and the Chief Financial Officer as Controller; authorizing investment of monies in the LAIF for FY 2025 (July 1, 2024 through June 30, 2025) to the Treasurer; adopting a policy for the investment of surplus transit funds for FY 2025; and rescinding Resolution No. 2023-004.

CC 4 RESOLUTION NOS. 2024-002 AND 2024-003, AUTHORIZING FUNDS FROM THE CALIFORNIA STATE TRANSIT ASSISTANCE PROGRAM TOWARD THE PHASE 3 – FACILITY MAINTENANCE UPGRADE PROJECT FOR FISCAL YEARS 2021/2022 AND 2022/2023

1. Adopt Resolution No. 2024-002, authorizing funds from the California State Transit Assistance Program toward the Phase 3 – Facility Maintenance Upgrade Project for FY 2022 in the amount of \$43,823
2. Adopt Resolution No. 2024-003, authorizing funds from the California State Transit Assistance Program toward the Phase 3 – Facility Maintenance Upgrade Project for FY 2023 in the amount of \$780,432.

CC 5 RESOLUTION NO. 2024-004, AUTHORIZING FUNDS FROM THE CALIFORNIA STATE OF GOOD REPAIR PROGRAM TOWARD THE PHASE 3 – FACILITY MAINTENANCE UPGRADE PROJECT FOR FISCAL YEAR 2022/2023

Adopt Resolution No. 2024-004, authorizing funds from the California State of Good Repair Program toward the Phase 3 – Facility Maintenance Upgrade Project for FY 2023 in the amount of \$350,597.

On a motion by Vice Chair Knippel and seconded by Director Ohlsen, the Board of Directors approved the Consent Calendar.

Vote: Motion carried (6-0-0-0)
Yeas: Chairman Crist, Vice Chair Knippel, Directors Loa, Ohlsen, Malhi, Flanagan
Nays: None
Abstain: None
Absent: None

NEW BUSINESS (NB):

NB 1 FISCAL YEAR (FY) 2024/2025 PRELIMINARY BUDGET ASSUMPTIONS

Ms. Vaccaro-Fry presented the staff report, adding that the decrease in fare revenues, disproportionate jurisdictional contributions, the MCI commuter buses, increased contractor costs, and the loss of toll credits are contributing factors to the budget deficit. She explained the VW Mitigation credits AVTA received for the MCI electric buses.

The Board discussed the jurisdictional contributions. Ms. Vaccaro-Fry provided an update regarding the meetings and documents pertaining to Los Angeles County’s jurisdictional share. The Chairman instructed General Counsel Burns to research removing Los Angeles County from the

JPA and Mr. Tompkins to provide options for reducing Los Angeles County service and increasing the jurisdictional shares for the cities of Palmdale and Lancaster.

On a motion by Director Loa and seconded by Vice Chair Knippel, the Board of Directors received and filed the FY 2025 Preliminary Budget Assumptions.

Vote: Motion carried (6-0-0-0)
Yeas: Chairman Crist, Vice Chair Knippel, Directors Loa, Ohlsen, Malhi, Flanagan
Nays: None
Abstain: None
Absent: None

CLOSED SESSION (CS):

PRESENTATION BY LEGAL COUNSEL OF ITEM(S) TO BE DISCUSSED IN CLOSED SESSION:

- CS 1 Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(2)
Significant exposure to litigation (two potential cases)
- CS 2 Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(4)
Consideration of whether to initiate litigation (one potential case)
- CS 3 Conference with Legal Counsel – Anticipated Litigation: Consideration of Initiation of Litigation Pursuant to Government Code Section 54956.9(D)(4)
(one potential case)

RECESS TO CLOSED SESSION

The Board recessed to Closed Session at 10:58 a.m.

RECONVENE TO PUBLIC SESSION

The Board reconvened to Public Session at 11:12 a.m.

REPORT BY LEGAL COUNSEL OF ACTION TAKEN IN CLOSED SESSION

General Counsel Allison Burns stated that the Board had discussed CS 2 and gave direction to staff and legal counsel. There was no reportable action.

ADJOURNMENT:

Chairman Crist adjourned the meeting at 11:13 a.m. to the Regular Meeting of the Board of Directors on June 25, 2024, at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6th Street West, Lancaster, CA.

PASSED, APPROVED, and ADOPTED this 25th day of JUNE 2024.

Marvin Crist, Chairman of the Board

ATTEST:

Karen S. Darr, Clerk of the Board

Audio recordings of the Board of Directors Meetings are maintained in accordance with state law and AVTA's Records Retention Policy. Please contact Karen Darr, Clerk of the Board at (661) 729-2206 to arrange to review a recording.



DATE: June 25, 2024

TO: BOARD OF DIRECTORS

SUBJECT: Financial Report for May 2024

RECOMMENDATION

Receive and file the Financial Report for May 2024.

FISCAL IMPACT

	May 2024
PAYROLL	\$348,689.16
CASH DISBURSEMENTS	\$7,514,135.98

BACKGROUND

To comply with the provisions required by Sections 37202, 37208, and 6505.5 of the Government Code, the Chief Financial Officer, in conjunction with the Senior Finance Manager, provides a monthly payroll total and cash disbursements. The Executive Director/CEO appointed as the Authority's Treasurer certifies the availability of funds.

I, Martin Tompkins, Executive Director/CEO of AVTA, declare that the above information is accurate.

Prepared by:

Submitted by:

Vianney McLaughlin
Senior Finance Manager

Martin J. Tompkins
Executive Director/CEO



DATE: June 25, 2024

TO: BOARD OF DIRECTORS

SUBJECT: Renewal of Agreement with Los Angeles County Sheriff's Department (LASD) for Transit Law Enforcement Services – Reserve Unit

RECOMMENDATION

Authorize the Executive Director/CEO to renew the Letter of Understanding with the LASD for transit law enforcement services covering the term July 1, 2024 through June 30, 2025, as outlined in the letter to Sheriff Robert Luna (Attachment A).

FISCAL IMPACT

Total reimbursement under this agreement will not exceed \$160,000. Funds for these services are included in the draft Fiscal Year 2024/2025 (FY 2025) Budget.

BACKGROUND

An agreement for transit law enforcement services was originally entered into between the AVTA and the Los Angeles County Sheriff's Department of Homeland Security in August 2008. The letter of agreement has been renewed annually since that time. Under the terms of the agreement, the LASD will provide the following services for the AVTA:

- Security services Monday through Friday with staggered shift times for increased presence;
- Random fare and ridership field audits of local and commuter services with two Security Assistants to assist with fare enforcement procedures;
- Random bomb and weapon checks of local and commuter services;
- Documentation of all activities, findings and actions;
- Training for both AVTA and Transdev staff regarding security issues and conflict resolution;
- Provide a presence on school trippers and other services where problematic behavior has been an issue;

Renewal of Agreement with LASD for Security Services

June 25, 2024

Page 2

- Provide training and outreach to schools regarding AVTA policies for transit riders;
- Interface with the local schools for incident follow-up;
- Provide a presence on and around the transit system to help improve quality of life issues; and
- Other duties as mutually agreed upon in writing.

Reports on security activities are presented to the Board of Directors on a quarterly basis. The security agreement has benefited AVTA by providing a presence at our transfer facilities, on the buses, at schools, and at our administration and maintenance facility. The transit deputies have improved the quality of service for our passengers and have provided support to Transdev operators. Deputies issue traffic citations, enforce public utility codes, and assist drivers and passengers as needed.

The LASD provides a reserve deputy with a significantly reduced hourly wage as compared to non-reserve sheriff's deputies, as shown in Attachment B. If the reserve deputy were to leave midway through a contract, the LASD would be unable to fulfill the existing terms with the available budget.

Prepared by:

Submitted by:

Cecil Foust
Procurement and Contracts Officer

Martin J. Tompkins
Executive Director/CEO

Attachments:

A – Letter of Request to Sheriff Robert Luna

B – LASD Private Entity, Public Entity and School District Rates FY 2024-25

LEVINE ACT

The Levine Act (Gov. Code Section 84308) prohibits AVTA officials from participating in certain decisions regarding licenses, permits, and other entitlements for use if the official has received a campaign contribution of more than \$250 from a party, participant, or agent of a party or participant in the previous 12 months. The Levine Act is intended to prevent financial influence on decisions that affect specific, identifiable persons or participants. For more information see the FPPC website: www.fppc.ca.gov/learn/pay-to-play-limits-and-prohibitions.html

SUBJECT TO THE LEVINE ACT

Permit, license, or entitlement for use

Contract or grant

EXEMPT FROM THE LEVINE ACT

Competitively bid contract

Labor or personal employment

General policy and legislative actions



Board of Directors

Mailed via U.S. Postal Service and E-mail

Chairman
Marvin Crist
City of Lancaster

June 25, 2024

Vice Chair
Dianne M. Knippel
County of Los Angeles

Sheriff Robert Luna
Los Angeles County Sheriff's Department
Contract Law Enforcement Bureau
Attn: Unit Commander
211 W. Temple Street, 7th Floor
Los Angeles, California 90012

Director
Richard Loa
City of Palmdale

Dear Robert Luna:

Director
Eric Ohlsen
City of Palmdale

As approved by the Board of Directors on June 25, 2024, the Antelope Valley Transit Authority (AVTA) desires to continue to contract with your office for transit law enforcement services. The scope of work shall include the following activities:

Director
Raj Malhi
City of Lancaster

- Security services Monday through Friday with staggered shift times for increased presence.
- Random fare and ridership field audits of local and commuter services with two Security Assistants to assist with fare enforcement procedures.
- Random bomb and weapon checks of local and commuter services.
- Documentation of all activities, findings, and actions.
- Training for both AVTA and Transdev staff regarding security issues and conflict resolution.
- Provide a presence on school trippers and other services where problematic behavior has been an issue.
- Provide training and outreach to schools regarding AVTA policies for transit riders.
- Interface with the local schools for incident follow-up.
- Provide a presence on and around the transit system to help improve quality of life issues; and
- Other duties as mutually agreed upon in writing.

Director
Michelle Flanagan
County of Los Angeles

Executive Director/CEO
Martin J. Tompkins

AVTA is authorized to spend up to \$160,000 in FY 2024-25, beginning July 1, 2024 and ending June 30, 2025, unless superseded by a new contract. It is anticipated that this effort would entail work being performed, Monday through Friday, depending on the specific tasks.

We appreciate the opportunity to work with your staff and look forward to continuing our contractual relationship for transit law enforcement services in the Antelope Valley. Should you have any questions, please feel free to contact me at (661) 729-2290.

Sincerely yours,

Martin J. Tompkins
Executive Director/CEO



EXHIBIT A - PUBLIC ENTITY CONTRACT - HOURLY OVERTIME RATES

PRIVATE ENTITY, PUBLIC ENTITY, AND SCHOOL DISTRICTS

LOS ANGELES COUNTY SHERIFF'S DEPARTMENT

Position	FY24-25 OT Hourly Rate	Liability 3%	Total
Deputy Sheriff - Generalist	\$111.15	\$3.33	\$114.48
Deputy Sheriff - Generalist Observer/Motor	\$117.43	\$3.52	\$120.95
Deputy Sheriff - Generalist Observer/Motor	\$117.43	\$3.52	\$120.95
Deputy Sheriff - Bonus I	\$121.01	\$3.63	\$124.64
Deputy Sheriff - Bonus I - SEB/ESD	\$127.85	\$3.84	\$131.69
Deputy Sheriff - Bonus I - MFTO	\$134.33	\$4.03	\$138.36
Deputy Sheriff - Bonus I Motorcycle	\$127.85	\$3.84	\$131.69
Deputy Sheriff - Bonus II	\$145.48	\$4.36	\$149.84
Deputy Sheriff - Bonus II Arson/Explosives	\$162.37	\$4.87	\$167.24
Deputy Sheriff - Bonus II HazMat	\$162.37	\$4.87	\$167.24
Deputy Sheriff - Bonus II Pilot	\$153.69	\$4.61	\$158.30
Deputy Sheriff - Bonus II SEB/ESD	\$153.69	\$4.61	\$158.30
Deputy Sheriff - Reserve	\$54.73	\$1.64	\$56.37
Deputy Sheriff - Sergeant	\$146.51	\$4.40	\$150.91
Deputy Sheriff - Sergeant Arson/Explosives	\$163.52	\$4.91	\$168.43
Deputy Sheriff - Sergeant HazMat	\$163.52	\$4.91	\$168.43
Deputy Sheriff - Sergeant Motorcycle	\$154.78	\$4.64	\$159.42
Deputy Sheriff - Sergeant Pilot	\$172.76	\$5.18	\$177.94
Deputy Sheriff - Sergeant SEB/ESD	\$154.78	\$4.64	\$159.42
Deputy Sheriff - Lieutenant	\$176.12	\$5.28	\$181.40
Captain	\$223.44	\$6.70	\$230.14
Commander	\$254.44	\$7.63	\$262.07
Assistant Director, Bureau Operations	\$173.80	\$5.21	\$179.01
Assistant Automotive Equipment Coordinator	\$78.98	\$2.37	\$81.35
Assistant Supervising Payroll Clerk	\$63.11	\$1.89	\$65.00
Civilian Investigator	\$88.47	\$2.65	\$91.12
Combo Truck Driver	\$57.76	\$1.73	\$59.49
Community Services Assistant	\$41.34	\$1.24	\$42.58
Crime Analyst	\$86.32	\$2.59	\$88.91
Criminalist	\$87.61	\$2.63	\$90.24
Criminalistics Lab Technician	\$62.80	\$1.88	\$64.68
Custodian	\$41.74	\$1.25	\$42.99
Custody Assistant	\$70.69	\$2.12	\$72.81
Custody Assistant, Patrol	\$74.69	\$2.24	\$76.93
Digital Communications System Technician	\$95.19	\$2.86	\$98.05
Electrician	\$96.15	\$2.88	\$99.03
Electrician Supervisor	\$110.57	\$3.32	\$113.89
Electronics Audio Technician	\$90.43	\$2.71	\$93.14
Electronics Communication Equip Installer	\$63.08	\$1.89	\$64.97
Electronics Communication Tech	\$95.19	\$2.86	\$98.05
Employment Services Assistant I	\$62.49	\$1.87	\$64.36
Employment Services Assistant II	\$77.63	\$2.33	\$79.96
Employment Services Assistant III	\$88.91	\$2.67	\$91.58
Evidence and Property Custodian I	\$52.72	\$1.58	\$54.30
Evidence and Property Custodian II	\$62.03	\$1.86	\$63.89
Evidence and Property Custodian III	\$65.49	\$1.96	\$67.45

Supervising Evidence & Property Custodian	\$72.99	\$2.19	\$75.18
Forensic Identification Specialist I	\$88.47	\$2.65	\$91.12
Forensic Identification Specialist II	\$106.96	\$3.21	\$110.17
Supervising Forensic Identification Specialist	\$111.83	\$3.35	\$115.18
General Maintenance Worker	\$56.63	\$1.70	\$58.33
Helicopter Maintenance Inspector	\$111.78	\$3.35	\$115.13
Helicopter Mechanic	\$100.91	\$3.03	\$103.94
Information Systems Analyst I	\$93.86	\$2.82	\$96.68
Information Systems Analyst II	\$100.82	\$3.02	\$103.84
Intermediate Clerk	\$46.37	\$1.39	\$47.76
Intermediate Stenographer	\$51.43	\$1.54	\$52.97
Intermediate Typist-Clerk	\$47.52	\$1.43	\$48.95
Inventory Control Assistant I	\$52.85	\$1.59	\$54.44
Law Enforcement Technician	\$63.42	\$1.90	\$65.32
Marshal's Dispatcher	\$58.76	\$1.76	\$60.52
Matron	\$35.43	\$1.06	\$36.49
Management Secretary V	\$89.79	\$2.69	\$92.48
Medium Truck Driver	\$51.81	\$1.55	\$53.36
Operations Assistant I	\$61.27	\$1.84	\$63.11
Operations Assistant II	\$76.12	\$2.28	\$78.40
Operations Assistant III	\$87.18	\$2.62	\$89.80
Parking Control Officer, Sheriff	\$58.47	\$1.75	\$60.22
Payroll Clerk I	\$56.63	\$1.70	\$58.33
Payroll Clerk II	\$61.42	\$1.84	\$63.26
Plumber	\$97.17	\$2.92	\$100.09
Power Equipment Technician	\$75.82	\$2.27	\$78.09
Procurement Assistant II	\$67.45	\$2.02	\$69.47
Public Response Dispatcher II	\$74.45	\$2.23	\$76.68
Public Response Dispatcher Specialist	\$80.56	\$2.42	\$82.98
Supervising Public Response Dispatcher	\$82.98	\$2.49	\$85.47
Records Systems Clerk I	\$50.18	\$1.51	\$51.69
Records Systems Clerk III	\$60.67	\$1.82	\$62.49
Refrigeration Mechanic	\$97.17	\$2.92	\$100.09
Secretary I	\$53.37	\$1.60	\$54.97
Secretary V	\$66.31	\$1.99	\$68.30
Security Assistant	\$35.11	\$1.05	\$36.16
Security Officer	\$54.43	\$1.63	\$56.06
Senior Application Developer	\$115.47	\$3.46	\$118.93
Senior Clerk	\$52.33	\$1.57	\$53.90
Senior Criminalist	\$125.86	\$3.78	\$129.64
Senior Electronic Communication Tech	\$99.95	\$3.00	\$102.95
Senior Equipment Maintenance Worker	\$68.13	\$2.04	\$70.17
Senior Helicopter Mechanic	\$111.87	\$3.36	\$115.23
Senior Information Systems Analyst	\$122.80	\$3.68	\$126.48
Senior Info Tech Support Analyst	\$99.10	\$2.97	\$102.07
Senior Secretary II	\$68.47	\$2.05	\$70.52
Senior Secretary V	\$80.56	\$2.42	\$82.98
Senior Operating Systems Analyst	\$125.56	\$3.77	\$129.33
Senior Typist-Clerk	\$53.64	\$1.61	\$55.25
Sheet Metal Worker	\$94.07	\$2.82	\$96.89
Sheriff's Station Clerk I	\$50.93	\$1.53	\$52.46

Sheriff's Station Clerk II	\$57.76	\$1.73	\$59.49
Student Professional Worker	\$24.59	\$0.74	\$25.33
Student Worker	\$22.35	\$0.67	\$23.02
Supervising Criminalist	\$131.58	\$3.95	\$135.53
Supervising Parking Control Officer	\$67.62	\$2.03	\$69.65
Supervising Payroll Clerk II	\$70.18	\$2.11	\$72.29
Supervising Sheriff Station Clerk	\$69.83	\$2.09	\$71.92
Telephone Operator	\$44.04	\$1.32	\$45.36
Warehouse Manager	\$71.04	\$2.13	\$73.17
Warehouse Worker II	\$58.90	\$1.77	\$60.67
Word Processor II	\$55.79	\$1.67	\$57.46



DATE: June 25, 2024
TO: BOARD OF DIRECTORS
SUBJECT: Public Transportation Agency Safety Plan (PTASP)

RECOMMENDATIONS:

1. Readopt the updated Public Transportation Agency Safety Plan (PTASP) (Attachment B - Exhibit 1) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements for FY 2024/2025.
2. Adopt Resolution No. 2024-005 (Attachment B) adopting the updated PTASP for FY 2025.

FISCAL IMPACT:

There is no financial impact associated with the readoption of the PTASP. Funds will be required if AVTA elects to budget additional safety resources and needs to amend the contract with our local and commuter fixed route service provider.

BACKGROUND:

As a recipient of FTA funding, AVTA was required to develop and adopt a Public Transportation Agency Safety Plan (PTASP). The PTASP Final Rule (49 C.F.R. Part 673) (Final Rule) requires certain transit operators to develop safety plans that include the processes and procedures necessary for implementing Safety Management Systems (SMS). The Board adopted the PTASP at the June 23, 2020 meeting, which met all the requirements of the Final Rule.

The staff has updated the adopted FY 2024 PTASP with administrative changes for FY 2025 (Attachment A). Performance safety targets and management and operational recommendations remain the same for FY 2025 as staff prepares to implement the safety plan with the service contractors. The planned implementation will include establishing safety management systems throughout the AVTA transit

system with the service contractors to improve overall safety risk management, reporting (including an employee safety-reporting program), performance data management, safety assurance and safety promotions.

Submitted by:

Submitted by:

Esteban Rodriguez
Senior Director of Operations and Planning

Martin J. Tompkins
Executive Director/CEO

Attachments: A – Proposed PTASP Changes for FY 2024/2025
 B – Resolution No. 2024-005
 Exhibit 1 - Updated PTASP for FY 2024/2025

LEVINE ACT

The Levine Act (Gov. Code Section 84308) prohibits AVTA officials from participating in certain decisions regarding licenses, permits, and other entitlements for use if the official has received a campaign contribution of more than \$250 from a party, participant, or agent of a party or participant in the previous 12 months. The Levine Act is intended to prevent financial influence on decisions that affect specific, identifiable persons or participants. For more information see the FPPC website: www.fppc.ca.gov/learn/pay-to-play-limits-and-prohibitions.html

SUBJECT TO THE LEVINE ACT

- Permit, license, or entitlement for use
- Contract or grant

EXEMPT FROM THE LEVINE ACT

- Competitively bid contract
- Labor or personal employment
- General policy and legislative actions

CC 4 – ATTACHMENT A

While the PTASP of FY2023-2024 addressed the FTA required changes shown below in Exhibit 1, the changes have been reinforced for FY2024-2025.

In 2023, the Bipartisan Infrastructure Law (BIL) required changes or enhancements in the requirements for the PTASP. The enhanced requirements included identification of risk reduction programs, training, employee and organized labor participation in updating the PTASP, and in the formation and membership in safety committees.

The requirement for cooperation with the CDC and the LA Department of Health on infectious diseases continuous in the updated PTASP for FY 2024-2025.

In 2024, the FTA issued a proposed directive concerning assaults on transit workers, where recipients of federal assistance are now required to perform three (3) specific duties:

1. Perform a safety risk assessment of the transit system to identify assault hazards and their risk to transit workers, primarily vehicle operators and anyone directly interfacing with the public, e.g., transit customers.
2. After identifying assault hazards and risks, identify recommended mitigation measures, including structural improvements, policies and procedures for avoiding potential assaults and response, organizational improvements, emphasizing incident reporting and including assaults in the AVTA safety data management system, new hire and existing employee refresher training in situational awareness and de-escalation, and customer education on awareness of rules against assaults or violence and the consequences. Implementing selected mitigations, periodically assessing their effectiveness, and assuring safety for transit workers.
3. Reporting to FTA on progress on assault prevention plans, implementation of mitigation and their effectiveness, and data management.

The FY 2024-2025 update of the AVTA PTASP includes implementation of the proposed FTA directive on assaults on transit workers, which are shown by check marks below on Exhibit 1.

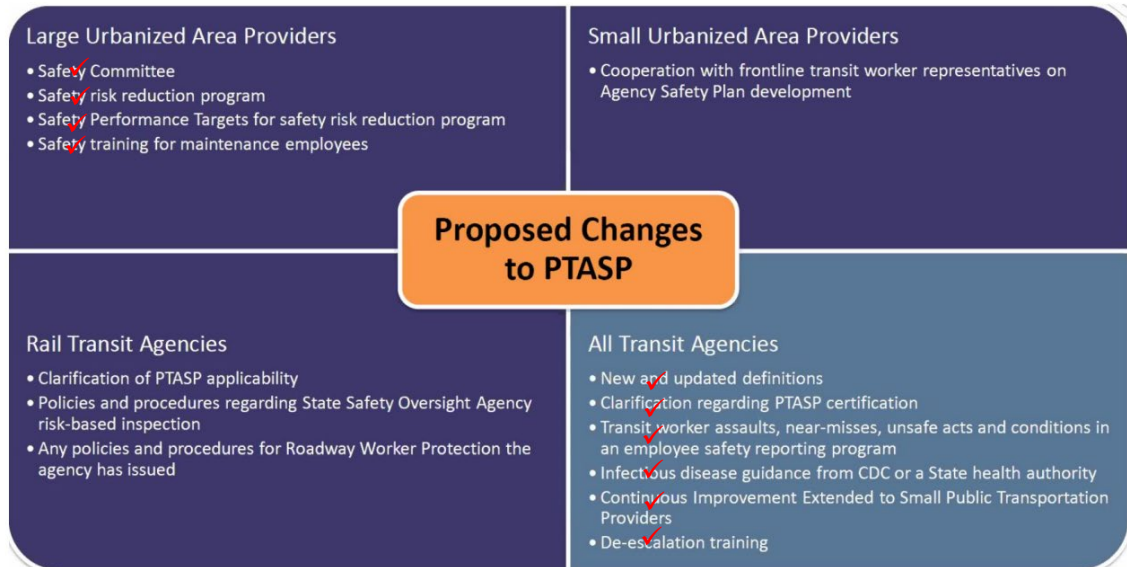


Exhibit 1: Chart of FTA Minimum Required Changes Issued in FY 2023.

Other Compliance Areas

1. Bipartisan Infrastructure Law (BIL) Change for Safety Committees:

As a Section 5307 recipient serving more than 200,000 population, AVTA’s FY2024-2025’s updated PTASP complies with the July 21, 2022, deadline to establish a Safety Committee as part of the Bipartisan Infrastructure Law changes to the PTASP requirements. The Safety Committee must have an equal number of frontline employee representatives and management representatives. Exhibit 2 below illustrates the organization of safety committees by modes of service (demand responsive services and fixed-route service), equal number of types of frontline vehicle operators, labor union representation, and staff to meet the requirement for equal number of representative classes.

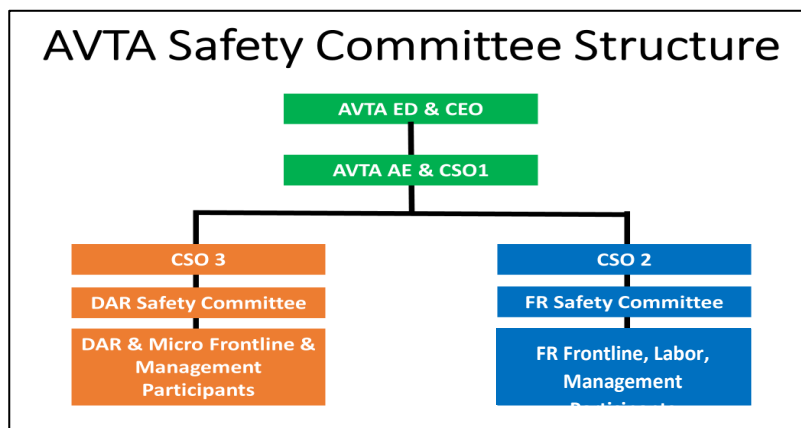


Exhibit 2: A1 Safety Committee Structure

The BIL requires the safety committees to approve an agency’s PTASP and any updates to the safety plan. This approval occurred before the AVTA Board considers and approves the PTASP and updates. AVTA’s safety committees executed their responsibilities to:

1. Identify and recommend risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment,
2. Identify mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended, and
3. Identify safety deficiencies for purposes of continuous improvement.

Examples of safety committee inputs include:

1. Maintaining driver shields past pandemic infection protection.
2. Monitoring of safety effectiveness through driver and supervisor feedback.
3. Audible safety messaging as customers board, alight, or being secured by wheelchair securement devices, including lap belts.
4. Maintaining data from incident or accident reporting to improve insight to implemented mitigation methods.

2. Compliance with Safety Performance Targets (SPT)

Transit providers are required to establish mode seven SPTs in four (4) categories (See Exhibit 3 below: AVTA has complied with this requirement.

Transit Safety Performance Measures	
	Performance Measures
Fatalities	Total number of reportable fatalities and the rate per total vehicle revenue miles by mode
Injuries	Total number of reportable injuries and the rate per total vehicle revenue miles by mode
Safety Events*	Total number of reportable events and the rate per total vehicle revenue miles by mode
System Reliability	Mean distance between major mechanical failures by mode

* Collisions, derailments, fires, or life safety evacuations

Exhibit 3: Required Transit System Performance Measures

The PTASP 2023-2024 Safety Performance Targets (Exhibit 4) are based on the metrics generated by AVTA’s safety performance data in its TransTrack data management system. For the 2024-2025 PTASP, the SPTs were based on the last three (3) years of available data in the system and on data transmitted each year to the NTD.

Systemwide, there were no fatalities, 51 injuries, and 10 safety events (crashes). In terms of rates per 100,000 VRMs and for all modes the rates are shown in Exhibit 4 below. The metrics for the SPT chart include the following:

AVTA 2024-2025 PTASP Update & Reoption

June 25, 2024

Page 4

- a) Service Mode
- b) Annual VRM Aver. Last 3 yrs.
- c) Projected VRM for FY2024-2025
- d) Total Fatalities FY2023-2024 Basis
- e) Fatalities/100k VRM Projected for FY2024-2025
- f) Total Injuries FY2023-2024 Basis
- g) Injuries/100k VRM Projected for FY2024-2025
- h) Total Safety Events FY2023-2024Basis
- i) Safety Events /100k VRM Projected for FY2024-2025
- j) System Reliability Average VRM Between Failures
- k) System Reliability Failures /100k VRM (+10%) (See basis /1 Footnote.)

(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
Service Mode	Annual VRM Aver. Last 3 yrs.	VRM for FY2024-2025	Total Fatalities FY2023-2024 Basis	Fatalities /100k VRM	Total Injuries FY2023-2024 Basis	Injuries /100k VRM	Total Safety Events FY2023-2024 Basis	Safety Events /100k VRM	System Reliability Average VRM Btwn Failures	System Reliability Failures /100k VRM (+10%) /1
Local FR	2,128,793	2,330,496	0	0	51	2.19	9	0.39	6,213	7,000
Commuter	706,287	713,956	0	0	0	0	1	0.14	6,277	7,000
Demand Responsive	220,451	317,102	0	0	0	0	0	0	7,142	8,000
Non-emergency Medical	238,665	238,665	0	0	0	0	0	0	n/a	n/a
Micro-transit	199,928	208,429	0	0	0	0	0	0	6,197	7,000
Totals/Average			0	0	51	2.19	10	0.53	6,457	7,250
FY2024-2025 SPTs			0	0	-10%		-10%		-10%	7,250

Exhibit 4: AVTA Transit System Performance Measures for FY 2024-2025

/1 Footnote

Breakdowns By Mode	FY21	FY22	FY23	Average Breakdowns By Mode	Average VRM Between Breakdowns
Local FR	328	283	446	352	6,213
Commuter	131	106	104	114	6,277
DAR	3	16	23	14	7,142
Microtransit	3	16	23	14	6,197
NEMT	3	16	23	14	n/a

Exhibit 5: Breakdowns by Mode & Average VRM Between Breakdowns

As indicated above, AVTA’ safety performance targets for 2024-2025 are to reduce injuries, safety events, and breakdowns by 10% overall. The target for fatalities remains zero. The targeted system reliability for 2024-2025 is to increase the average VRM between breakdowns/failures by 10%.

3. Compliance with Risk Reduction Program

Transit agencies that receive Section 5307 funding and serve a large, urbanized area (an urbanized area with a population of 200,000 or more) are required to develop and implement a risk reduction program for transit operations to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers based on data submitted to the National Transit Database.

AVTA strives to reduce of vehicular and pedestrian accidents involving buses, including measures to reduce visibility impairments for bus operators that may contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments.

As stipulated in the AVTA PTASP update, AVTA & its contractors will address visibility hazards by:

- Increasing driver awareness of the dangers posed by visibility hazards through training.
- Increasing incident reporting on close calls due to visibility hazards.
- Analyzing data on visibility hazards for trends, time of day/night, locations, and other metrics that lead to solutions or mitigations.
- Adding or retrofitting outside enunciators warning of bus approaching, pulling away, or turning.
- Adding pedestrian or bicycle rider proximity warning devices.
- Interior bus safety announcements to exiting riders.
- Enhanced training on mirror and camera scanning.
- Urgently repairing security cameras and enunciators identified in vehicle pre-trip inspections.
- Using bus flashers as approaching, at stops, and as departing.
- Others.

4. Compliance with Mitigating Assaults on Transit Workers

AVTA has increased its tracking and review of the number of assaults on AVTA transit workers for the last three (3) year period. As illustrated by Exhibit 6, the assaults were mostly on local fixed route service. None of the assaults resulted in the need for medical transport. The safety performance target for 2024-2025 assaults on transit workers is a reduction of 10%.

Service Mode	# Assaults on Transit Workers in Last 3 Yrs.	Aver. # Assaults / yr.	# Assaulted Transit Workers Transported for Immediate Medical Last 3 yrs.	Aver. Assaults & Medical Transport / yr.	SPT for Assaults
Local FR	13	4.3	0	0	-10%
Commuter	1	1	0	0	-10%
DAR	0	0	0	0	0
Microtransit	N/A	N/A	N/A	N/A	0

Exhibit 6 Assaults on AVTA Transit Workers

AVTA has initiated assault awareness and de-escalation training of all contractor employees and of AVTA administrative staff. AVTA will continue to use mitigation measures such as driver shields, incident reporting, response and visible presence by LA County Sheriff Dept. officers assigned to AVTA, and private security at transit centers. Again, AVTA’s safety performance target for assaults against transit workers for 2024-2025 is to reduce adverse activity by 10% overall.

The mitigation of assaults on transit workers, including the deployment of assault litigation and technology on buses, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators when a risk analysis performed by the recipient’s Safety Committee determines that such barriers or other measures would reduce assaults on transit workers and injuries to transit workers.

AVTA’s safety and operations committees will continue to monitor risks of assaults on and confrontations with bus drivers and administrative staff. AVTA will also continue to require contractors to perform de-escalation training for new hires and refresher training for existing drivers.

As required for the PTASP, AVTA will investigate and implement as applicable a written policy against assaults and confrontation with drivers (including with customers that may certain diminished acceptable behaviors), written procedures to pursue action, prosecute offenders, or prepare for litigation in cases of assaults on bus drivers and other employees. AVTA will strengthen its gathering and use of information on any assaults or rider confrontations including incident reporting, dispatcher log reporting, emergency procedures, silent alarms, security camera activation on all modes.

5. Continued Compliance with Public Health

AVTA's past strategies to minimize exposure to infectious diseases will be continued. Such practices will be consistent with the guidelines of the Centers for Disease Control and Prevention (CDC) and/or the LA County Department of Health.



Driver shields will remain in place for security and for health and safety. Recommendations for voluntary mask wearing and education efforts will continue as part of the PTASP. Safety officers or managers are continuously reminded of the need to understand their safety duties also include health-safety despite the lowered threat of the pandemic.

6. Maintenance Personnel Safety Training

AVTA's contractors performing fleet and facility maintenance will also receive comprehensive safety training, including employee safety reporting, facility security, safety assurance, de-escalation training, and the promotion of safety awareness and action.

7. Communication of Safety and Safety Performance Information

The AVTA PTASP continues to strengthen its Information on hazards and safety risks relevant to employees' roles and responsibilities; and safety actions taken in response to reports submitted through an employee safety reporting program. Such actions include:

- Safety training of maintenance personnel along with drivers or separate safety, security, and de-escalation training, e.g., CalOSHA recommended topics specific to industrial safety.
- Maintaining a list of current safety topics in safety, security, & emergency training.
- Documenting all safety training.
- Information on safety hazards will continue to be made available to all AVTA and contractor staff through daily safety briefings, monthly safety meetings by department or work team/shift, and safety committee meetings.

BOARD OF DIRECTORS

ANTELOPE VALLEY TRANSIT AUTHORITY

RESOLUTION NO. 2024-005

**A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY
TRANSIT AUTHORITY READOPTING THE UPDATED PUBLIC
TRANSPORTATION AGENCY SAFETY PLAN FOR FISCAL YEAR 2024/2025**

WHEREAS the Antelope Valley Transit Authority as the provider of transportation services for the City of Lancaster, City of Palmdale, and the County of Los Angeles is committed to implementing, maintaining, and improving processes to ensure that all operational and maintenance activities are supported by an appropriate allocation of organizational resources aimed at achieving the highest level of transit safety performance; and

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

WHEREAS the Final Rule applies to all operators of public transportation systems that are recipients or sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307). AVTA is a funding sub-recipient through an allocation of Section 5307 funds from the Los Angeles County Metropolitan Transportation Agency (LA Metro), which is the direct recipient for Los Angeles County; and

WHEREAS the PTASP includes a process and timeline for conducting an annual review and update of the plan, a comprehensive staff training program for the operations personnel, and processes and procedures necessary for implementing SMS.

NOW, THEREFORE, BE IT RESOLVED BY THE ANTELOPE VALLEY TRANSIT AUTHORITY BOARD OF DIRECTORS THAT

1. The Board of Directors hereby appoints the Executive Director/CEO or his or her designee as the Authority's Chief Safety Officer.
2. The Board of Directors hereby approves the updated PTASP attached hereto as Exhibit "1."

PASSED, APPROVED and ADOPTED this 25th day of June, 2024 by the following vote:

AYES: _____

NAYS: _____

ABSTAIN: _____ ABSENT: _____

Marvin Crist, Chairman

ATTEST:

APPROVED AS TO FORM:

Karen S. Darr, Clerk of the Board

Allison E. Burns, General Counsel

Exhibit 1



**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
(PTASP)**

FISCAL YEAR 2024-2025

Martin Tompkins

Executive Director/Chief Executive Officer
Antelope Valley Transit Authority

Esteban Rodriguez

AVTA PTASP Accountable Executive
Senior Director of Operations & Planning
Antelope Valley Transit Authority
42210 6th Street West / Lancaster, CA 93534



***AVTA Empowers Mobility-Getting People Where They Need to Be Safely,
Timely and Cost Effectively***

Last Updated June 6, 2024



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- Exhibit S3-1: Projected Safety Performance Targets for FY 2024-2025
- Exhibit S3-2: Breakdowns by Mode & Average VRM Between Breakdowns
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ADOPTED: June 25, 2024

LAST REVISED: June 13, 2024

AVTA REVIEWER (Accountable Executive): Esteban Rodriguez, Senior Director of Operations and Planning and PTASP Accountable Executive

AVTA BOARD DATE OF APPROVAL: June 25, 2024

The Antelope Valley Transit Authority (AVTA) Public Transportation Agency Safety Plan (PTASP) is hereby adopted and signed by:

June 25, 2024

Marvin Crist, Chairman, City of Lancaster

Date

Certifications & Assurances

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.

AVTA PTASP Accountable Executive: Esteban Rodriguez, Senior Director of Operations & Planning

Accountable Executive Contact Information

Esteban Rodriguez, Senior Director of Operations & Planning
42210 6th Street West / Lancaster, CA 93534
661.279.2251
erodriguez@avta.com



AVTA Board of Directors Resolution of Adoption

DRAFT



Letter of Certification on Behalf of AVTA
AVTA Executive Director/Chief Executive Officer

As the Senior Director of Operations & Planning and as the Accountable Executive (AE) for AVTA's Public Transportation Agency Safety Plan (PTASP) and upon my review of this document (Appendix A: CSO1 Certification Checklist), I certify that AVTA PTASP meets the requirements (as conditioned) of the Public Transportation Agency Safety Plan Final Rule (49 C.F.R. Part 673).

Signature: _____ Date: _____

Esteban Rodriguez
Senior Director of Operations & Planning and AE
Antelope Valley Transit Authority



PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP) FISCAL YEAR 2024-2025

PTASP PURPOSE

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). SMS is defined for purposes of FTA as *“the formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring the effectiveness of safety risk mitigations.”*

Development and adoption of a PTASP by the Antelope Valley Transit Authority (AVTA) incorporates the implementation and operation of SMS for the agency. The PTASP serves as the first step in implementing SMS within the AVTA transit system.

The Final 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). Of which, AVTA is such a funding sub-recipient through an allocation of Section 5307 funds from the Los Angeles County Metropolitan Transportation Agency (LA Metro), which is the direct recipient for Los Angeles County.

The AVTA PTASP must include, at a minimum the following elements:

- Approval by AVTA’s designated Accountable Executive (AE) and the AVTA Board of Directors.
- The designation of an AVTA Chief Safety Officer.
- The documented processes of the agency’s SMS, including the agency’s Safety Management Policy and the processes for Safety Risk Management, Safety Assurance, and Safety Promotion.
- A confidential and non-punitive employee safety-reporting program.
- Establishing AVTA safety performance targets based on the classification measures established in FTA’s National Public Transportation Safety Plan (NPTSP).
- Criteria to address all applicable requirements and standards set forth in FTA’s Public Transportation Safety Program and the NPTSP.
- Compliance with the Bipartisan Infrastructure Law Changes to Public Transportation Agency Safety Plan (PTASP) Requirements.
- Retention and maintenance of documents that set forth the PTASP, including those related to SMS implementation.
- A process and timeline for conducting an annual review and update of the safety plan.
- Annual certification through FTA’s Certifications and Assurances Process that AVTA’s PTASP meets the requirements of the final rule.



**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)
FISCAL YEAR 2024-2025
PTASP ELEMENTS**

1. TRANSIT AGENCY INFORMATION

AVTA Information

- a) **Transit Agency Name:** Antelope Valley Transit Authority (AVTA)
- b) **Transit Agency Address:** 42210 6th Street West
Lancaster, CA 93534
- c) **Name and Title of Accountable Executive:** Esteban Rodriguez, Senior Director of Operations and Planning
- d) **Name of Chief Safety Officer SMS Executive:** Esteban Rodriguez, Senior Director Operations and Planning (also designated as CSO1)
- e) **Mode(s) of Service Covered by This Plan:** Local fixed route, commuter bus, general public dial-a-ride (DAR), microtransit, & non-emergency medical transportation (NEMT).
- f) **List All FTA Funding Types:** Sections 5307, 5337 & 5339
- g) **Mode(s) of Service Provided by the Transit Agency (through contract):** Local fixed route, commuter bus, general public dial-a-ride, microtransit, and non-emergency medical transportation (NEMT).



Local Fixed Route



Commuter Bus



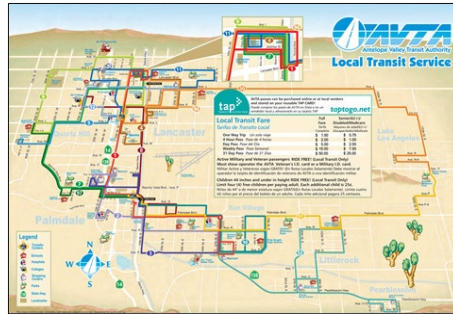
DAR, Microtransit, NEMT

1a. Profile of AVTA Transit System

The Antelope Valley Transit Authority (AVTA) began service in the Antelope Valley on July 1, 1992. AVTA currently serves a population of over 450,000 residents in the cities of Lancaster and Palmdale, as well as the unincorporated portions of northern Los Angeles County. Its total service area covers 1,200 square miles and is bounded by the Kern County line to the north, the San Bernardino County line to the east, the Angeles National Forest to the south, and Interstate 5 to the West. The fixed route service area consists of approximately 100 square miles as illustrated below.



AVTA Antelope Valley Service Area



AVTA Local Fixed Route Service Area



AVTA Pilot Microtransit Route Service Area

AVTA operates five (5) modes of transit service:

1. Local fixed-route bus
2. Microtransit Pilot Program
3. Commuter bus
4. Dial-A-Ride (DAR) paratransit
5. Non-emergency medical transportation (NEMT).

The AVTA fixed route transit system is a network of thirteen (13) local transit routes, three (3) micro-transit routes, four (4) commuter routes, and three (3) supplemental school routes. The local and school routes, as well as the Dial-A-Ride, serve the Cities of Lancaster and Palmdale and the adjacent unincorporated areas of Los Angeles County.

The four (4) commuter bus routes originate in the Antelope Valley to employment centers in Downtown Los Angeles, Century City/West Los Angeles, the West San Fernando Valley, and one (1) route into the Santa Clarita Valley.

AVTA also provides urban and rural dial-a-ride (DAR) offering demand responsive paratransit service. DAR service is structured to operate within separate service zones: (1) an urban area zone for senior citizens and persons with disabilities and (2) a rural area zone for the public.

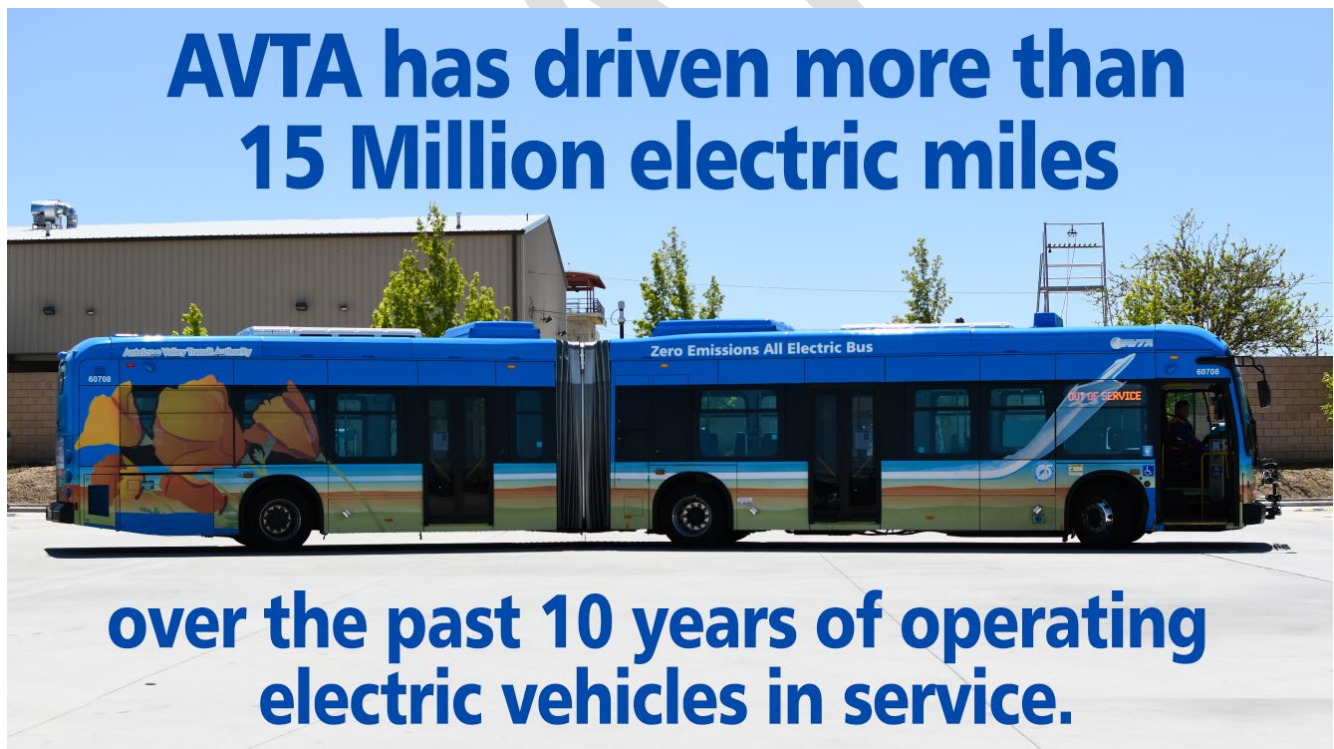
Non-emergency medical transportation provides transportation services to persons who are readmitted to a hospital or are unable to obtain follow-up care to treat or prevent chronic disease conditions.

The AVTA service area includes Palmdale, Lancaster, and LA County incorporated and unincorporated areas.

Service Hours

- Local Fixed Route Bus Service:
 - Weekdays from 5:00 a.m. to 12:28 a.m.
 - Saturdays from 6:00 a.m. to 10:55 p.m.
 - Sundays from 6:45 a.m. to 10:26 p.m.
- Microtransit Bus Service:
 - Weekdays from 5:00 a.m. to 9:00 p.m.
 - Saturdays from 5:00 a.m. to 9:00 p.m.
 - Sundays from 5:00 a.m. to 9:00 p.m.
- Commuter Bus Service:
 - LA, Century City & San Fernando Valley Weekdays: from 3:50 a.m. to 8:00 p.m.
 - Transporter midday service connecting the Antelope Valley with the Santa Clarita Valley Weekdays: from 8:00 a.m. to 4:50 p.m.
- Dial-A-Ride Service
 - Weekdays 5:00 a.m. to 8:00 p.m.
 - Weekends 8:00 a.m. to 6:00 p.m.
- Non-Emergency Medical Transportation
 - Available 24 hours (Transportation arrangements are made by medical facility.)

AVTA Vehicle Fleet



AVTA operates a fleet of 81 fixed-route buses allocated as follows:

- Local fixed route service 57 (71%) – All electric powered
- Commuter service 24 (29%) – All electric powered

AVTA has also added to its demand-responsive / paratransit service and fleet by implementing a micro-transit service on a demand-responsive basis.

- Dial-A-Ride – ten (10) EV-Vans
- Micro transit – nine (9) EV-Vans

The Antelope Valley Transit Authority (AVTA) has moved towards a fresh new energy by employing electric vehicles in local fixed route service. In 2016, The Board of Directors for the Antelope Valley Transit Authority (AVTA) set a goal of becoming the nation’s first fully electric fleet, converting all of the agency’s aging diesel buses to a 100% battery electric bus fleet with up to 85 new all-electric buses.

In April 2020, AVTA decommissioned the last diesel bus from service in their local fleet and became the nation’s first all-electric local bus fleet. By June, AVTA had reached three million electric miles. On August 24, 2021, AVTA christened the first of 24 battery-electric MCI commuter coaches, launching into service the first electric commuter coach in North America.

1b. AVTA Transit System Operating Performance

The 2022 National Transit Database (NTD) Profile for AVTA indicates the following performance metrics:

2022 Annual Agency Profile - Antelope Valley Transit Authority (NTD ID 90121)							
Mailing Address: 42210 6TH ST W LANCASTER, CA 93534-7124				Website: http://www.avta.com/			
Geographic Coverage			Service Consumed				
Primary Urbanized Area	Palmdale--Lancaster, CA		Annual Passenger Miles Traveled (PMT)	12,175,905			
Square Miles	85		Annual Unlinked Trips (UPT)	1,174,222			
Population	359,559		Average Weekday UPT	3,847			
Other Areas Served:	Santa Clarita, CA, Los Angeles--Long Beach--Anaheim, CA, California Non-UJA		Average Saturday UPT	2,054			
			Average Sunday UPT	1,551			
Service Area Population	349,050						
Service Area Sq. Miles	1,200						
Assets			Service Supplied				
Revenue Vehicles	114		Annual Vehicle/Passenger Car Revenue Miles (VRM)	3,290,764			
Service Vehicles	33		Annual Vehicle/Passenger Car Revenue Hours (VRH)	208,013			
Facilities	5		Vehicles Operated in Maximum Service (VOMS)	88			
Lane Miles	92.5		Vehicles Available for Maximum Service (VAMS)	115			
Track Miles							
Modal Characteristics							
	Directly Operated VOMS	Purchased Transportation VOMS	Annual Passenger Miles Traveled	Annual Unlinked Passenger Trips	Annual Vehicle Revenue Miles	Annual Vehicle Revenue Hours	Fixed Guideway Directional Route Miles
Mode							
Demand Response	0	19	542,832	60,468	444,365	36,033	0.00
Commuter Bus	0	20	6,212,922	109,871	696,838	24,637	0.00
Bus	0	49	5,420,151	1,003,883	2,149,561	147,343	0.00
Total	0	88	12,175,905	1,174,222	3,290,764	208,013	0.00
Metrics							
	Service Efficiency		Service Effectiveness				
Mode	OE per VRM	OE per VRH	UPT per VRM	UPT per VRH	OE per PMT	OE per UPT	
Demand Response	\$6.82	\$84.15	0.1	1.7	\$5.59	\$50.14	
Commuter Bus	\$7.20	\$203.75	0.2	4.5	\$0.81	\$45.69	
Bus	\$10.93	\$159.40	0.5	6.8	\$4.33	\$23.40	
Total	\$9.58	\$151.62	0.4	5.6	\$2.59	\$26.86	

Exhibit S1-1, Page 1/2: NTD 2022 Profile for AVTA

2022 Annual Agency Profile - Antelope Valley Transit Authority (NTD ID 90121)

2022 Funding Breakdown

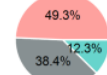
Summary of Operating Expenses (OE)

Labor	\$6,664,556	21.1%
Materials and Supplies	\$1,268,147	4.0%
Purchased Transportation	\$19,501,736	61.8%
Other Operating Expenses	\$4,103,946	13.0%
Total Operating Expenses	\$31,538,385	100.0%
Reconciling OE Cash Expenditures	\$1,509,349	

Sources of Operating Funds Expended

Directly Generated	\$4,062,857
Federal Government	\$12,690,389
Local Government	\$16,294,488
State Government	\$0
Total Operating Funds Expended	\$33,047,734

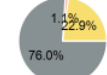
Operating Funding Sources



Sources of Capital Funds Expended

Directly Generated	\$0
Federal Government	\$28,378,326
Local Government	\$429,391
State Government	\$8,538,207
Total Capital Funds Expended	\$37,345,924

Capital Funding Sources



Operating Expense Detail

Mode	Operating Expense Detail		Uses of Capital			
	Operating Expenses	Fare Revenues	Revenue Vehicles	Systems and Guideway	Facilities and Stations	Other
Demand Response	\$3,032,085	\$77,827	\$4,881,736	\$62,441	\$0	\$223,855
Commuter Bus	\$5,019,709	\$688,175	\$5,865,345	\$71,275	\$0	\$145,359
Bus	\$23,486,591	\$1,191,069	\$18,040,735	\$211,112	\$7,418,789	\$425,277
Total	\$31,538,385	\$1,957,071	\$28,787,816	\$344,828	\$7,418,789	\$794,491

2022 Asset Management

Transit Asset Management (TAM) Tier	Tier II	TAM Sponsor NTD ID	Metrics			
Performance Measure - Asset - 2023 Target (% not in State of Good Repair)	Mode	Vehicles Operated in Max. Service	Vehicles Available for Max. Service	% Spare Vehicles	Avg. Fleet Age (yrs)	
Equipment - Automobiles - 0%; Equipment - Trucks and other Rubber Tire Vehicles - 0%; Facility - Administrative / Maintenance Facilities - 0%; Rolling Stock - AB - Articulated Bus - 0%; Rolling Stock - BR - Over-the-road Bus - 0%; Rolling Stock - BU - Bus - 0%; Rolling Stock - VN - Van - 0%	Demand Response	19	29	60.0%	1.2	
	Commuter Bus	20	32	52.6%	6.5	
	Bus	49	54	10.2%	4.1	

Exhibit S1-1, Page 2/2: NTD 2022 Profile for AVTA

2021-2022 NTD Profile Average Operating Performance

<u>All Modes</u>	<u>2021</u>	<u>2022</u>
Annual Operating Expense	\$33,809,011	\$33,608,183
Annual Vehicle Revenue Miles (VRM)	3,004,040	3,247,697
Annual Vehicle Revenue Hours (VRH)	185,453	205,428
Annual Passenger Miles (PMT)	9,259,334	12,175,905
Annual Unlinked Passenger Trips (UPT)	957,180	1,174,222
Vehicle Fleet by Mode: Commuter Buses	25	25
DAR Vans & Sedans	18	18
Local Fixed Route Buses	47	47
Total Vehicles	90	90

	<u>2021</u>	<u>2022</u>	<u>Diff.</u>
Commuter Bus Performance:			
• Operating Expense/Vehicle Revenue Mile	\$6.45	\$7.35	+0.90
• Operating Expense/Vehicle Revenue Hour	\$187.05	\$209.79	+\$22.74
• Operating Expense/Passenger Mile	\$1.06	\$0.81	-\$0.25
• Operating Expense/Unlinked Passenger Trip	\$60.01	\$45.88	-\$14.13
• Unlinked Passenger Trip/Vehicle Revenue Mile	0.10	0.16	+0.06
• Unlinked Passenger Trip/Vehicle Revenue Hour	3.10	4.52	+1.42

	<u>2021</u>	<u>2022</u>	<u>Diff.</u>
Dial-A-Ride Performance:			
• Operating Expense / Vehicle Revenue Mile	\$8.79	\$10.04	+\$1.25
• Operating Expense / Vehicle Revenue Hour	\$104.51	\$123.89	+\$19.38
• Operating Expense / Passenger Mile	\$7.39	\$8.22	+\$0.83
• Operating Expense / Unlinked Passenger Trip	\$65.44	\$73.82	+\$8.38
• Unlinked Passenger Trip / Vehicle Revenue Mile	0.10	0.13	+0.03
• Unlinked Passenger Trip / Vehicle Revenue Hour	1.60	1.68	+0.08

	<u>2021</u>	<u>2022</u>	<u>Diff.</u>
Local Fixed Route Performance:			
• Operating Expense / Vehicle Revenue Mile	\$11.88	\$11.38	-\$0.50
• Operating Expense / Vehicle Revenue Hour	\$174.67	\$166.07	-\$8.60
• Operating Expense / Passenger Mile	\$6.17	\$4.44	-\$1.73
• Operating Expense / Unlinked Passenger Trip	\$27.93	\$24.01	-\$3.92
• Unlinked Passenger Trip / Vehicle Revenue Mile	0.40	0.47	+0.07
• Unlinked Passenger Trip / Vehicle Revenue Hour	6.30	6.92	+0.62

1c. AVTA Governing Structure

The AVTA is a public entity established under a joint exercise powers agreement (JPA) by the City of Lancaster, the City of Palmdale, and the County of Los Angeles to provide public transit services within the Antelope Valley. The JPA members jointly provide capital and operating funds to AVTA for the joint transit service on an annual basis. The governing structure of AVTA is composed of six (6) representatives from each member jurisdiction. There are two (2) board members from each city and the county. The AVTA Executive Director/CEO manages the AVTA transit system, its staff, and contractors through the auspices of the Board. The AE, which is AVTA's Senior Director of Operations and Planning is accountable for the PTASP and the implementation of SMS through the service contractors. Exhibit 2 illustrates this governing structure.

1c.1 Does the agency provide transit services on behalf of another transit agency or entity? yes

1c.2 Description of Arrangement(s):

AVTA is a joint powers authority of the cities of Lancaster and Palmdale and the County of Los Angeles established to provide public transit service in the Antelope Valley's urbanized area of Lancaster and Palmdale and the adjacent unincorporated areas of Los Angeles County. According to the 2010 Census, the area encompasses 116 square miles and a population of 341,219, which is served by local fixed-route and dial-a-ride modes. The commuter bus mode serves this same area connecting the Lancaster-Palmdale urbanized area with the Los Angeles and Santa Clarita employment centers.

1c.3 Name and Address of Entity(ies) for Which Service Is Provided:

- **City of Lancaster:** 44933 Fern Ave, Lancaster, CA 93534
- **City of Palmdale:** 38300 Sierra Hwy Ste A, Palmdale, CA 93550
- **County of Los Angeles:** Public Works Dept. 900 S. Fremont Ave. Alhambra, CA 91803



1c.4 AVTA Transit Service Infrastructure:

Transit service is delivered by AVTA as a contractee through contractors for day-to-day management and operations of transit service. The delivery model is formed with contracts for fixed-route (local and commuter bus) and paratransit dial-a-ride service. Exhibit S1-2 illustrates the delivery structure:

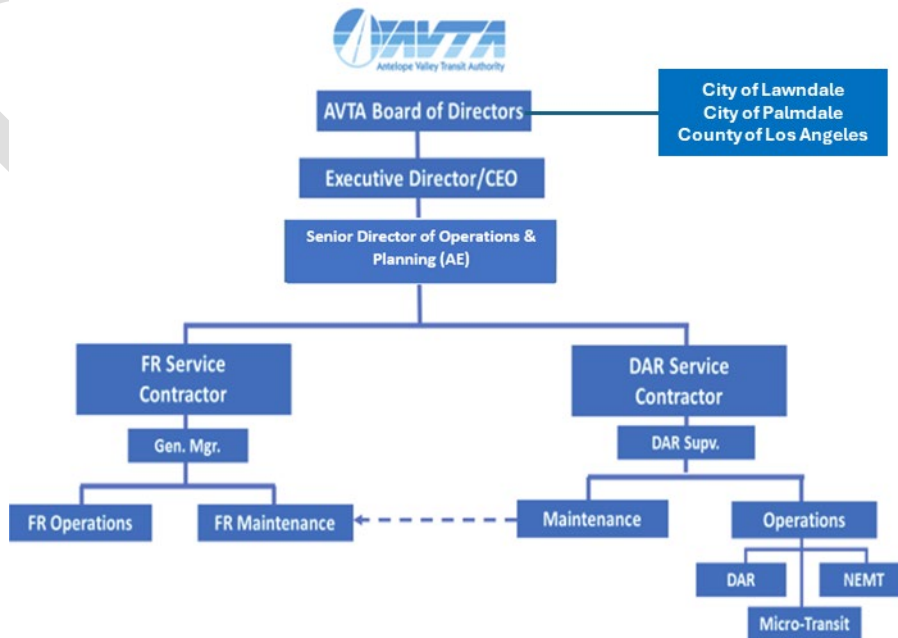


Exhibit S1-2: AVTA Organization Framework for Service Delivery and Oversight

2. PLAN DEVELOPMENT, APPROVAL, AND UPDATES

2a. **Name of Entity That Drafted This Plan:** Antelope Valley Transit Authority (AVTA)

2b. **Signature by the Accountable Executive**

Esteban Rodriguez
Senior Director of Operations & Planning of AVTA
Date: 06/25/2024

2c. **Approval by the Board of Directors or an Equivalent Authority:**

2c.1 **Name of Individual/Entity That Approved This Plan:**

Name: AVTA Board of Directors

Date of Approval: June 25, 2024

2c.2 **Relevant Documentation:**

i. **Board Resolution No.** No. 2024-005

ii. **Resolution Title:** Public Transportation Agency Safety Plan

iii. **Location:** Clerk of the AVTA Board

iv. **Current AVTA Board Members:**

- a. Chairman Marvin Crist, City of Lancaster
- b. Vice Chair Dianne Knippel, County of Los Angeles
- c. Director Michelle Flanagan, County of Los Angeles
- d. Director Eric Ohlsen, City of Palmdale
- e. Director Richard Loa, City of Palmdale
- f. Director Raj Malhi, City of Lancaster

2c.3 **Certification of Compliance /1**

i. **Name of Individual/Entity That Certified This Plan**

Name: Esteban Rodriguez, Senior Director of Operations & Planning

Date: 06/13/2024

ii. **Certification Documentation**

Annual certification is completed through FTA's Certifications and Assurances process within TrAMS. Certification attests to the fact that AVTA's safety plan meets the requirements of the PTASP Final Rule (49 C.F.R. Part 673). Refer to Appendix A: PTASP Accountable Executive Certification Checklist Sign Off. /1

iii. Relevant Documentation (title and location):

Document Title: AVTA Board Resolution

Date Filed with FTA: July 1, 2024

AVTA certifies that its PTASP for 2023-2024 that the plan meets the requirements of 49 U.S.C. § 5329(d)(1) and 49 CFR part 673 as part of the annual certifications and assurances for FTA grants and cooperative agreements, with the implementation of planned changes will be accomplished before December 31, 2022.

Footnote for Subsection 2c

/1 AVTA must make its certifications in FTA’s Transit Award Management System (TrAMS). TrAMS includes an electronic module for selecting and digitally signing the Certifications and Assurances. AVTA authorized representative and attorney must be registered in TrAMS and have a personal identification number (“PIN”) to submit Certifications and Assurances by this method. In some cases, particularly where an applicant relies on outside counsel for attorney services, it may be impractical for the applicant’s attorney to have a TrAMS account. In such cases, the applicant’s authorized representative may digitally sign as both the authorized representative and the attorney, and the applicant’s attorney may sign the attorney affirmation by hand and submit a copy to TrAMS as a Recipient Document. FTA intends to use its triennial oversight review programs to assess compliance with the requirements of the rule.

2d. PTASP Version Number and Updates (Record of the complete history of successive versions of this safety plan):

Version No.	Section/Pages Affected	Reason for Change	Date
a) Version 1	Entire PTASP Draft	Finalization for COO review	6/9/20
b) Version 2	Entire PTASP Draft 2	Final PTASP - Board Consideration	6/23/20
c) Version 3	Section 3 Safety Perf. Targets	Update Safety Perf. Targets per SCAG	11/3/20
d) Version 4	Entire FY 2020-2021 PTASP	Update administrative references	6/17/21
e) Version 5	Entire FY 2022-2023 PTASP	Update administrative references	5/22/22
f) Version 6	Entire FY 2022-2023 PTASP	Update administrative references, organization charts, system profile, FTA PTASP new requirements	7/26/22
g) Version 6	Entire FY 2023-2024 PTASP	Update administrative references, organization charts, system profile, FTA PTASP new requirements	6/27/23
h) Version 7	Entire FY 2024-2025 PTASP	Update administrative references, organization charts, system profile safety performance targets, FTA PTASP new requirements, including BIL and FTA Assault Directive provisions.	6/14/24

2e. Annual Review and Update of the Public Transportation Agency Safety Plan

This section describes the process and timeline for conducting an annual review and update of the AVTA PTASP.

The PTASP will be updated and readopted on an annual basis. Prior to reconsideration by the Board, the staff has conducted a review of progress on the current PTASP’s

recommended actions (action plans) for implementing SMS with the service contractors and actions to improve overall safety risk management, reporting (including the employee safety reporting system), performance data management, safety assurance and safety promotions. AVTA's two (2) systemwide safety committees (paratransit safety committee and fixed route safety committee) have participated in and reviewed the updates for the FY 2024-2025 PTASP.

Based on the projected annual reported performance in the four target categories and the projected 2023-2024 revenue service miles, the safety performance targets will be reassessed and adjusted accordingly. The reassessment and adjustments will be reviewed by the SMS Coordinating and Safety Committee and recommended made to the CSO1. The finalized targets will be made a part of the 2023-2024 PTASP for consideration by the AE and forwarded to the Board for adoption.

2f. PTASP and Compliance with the Changes Update Bipartisan Infrastructure Law

The FY 2023-2024 has been updated to include new requirements issued by FTA because of the Bipartisan Infrastructure Law (BIL). Those new requirements include:

- 1) Providing frontline employee participation in the agency safety committee (here known as the Systemwide Safety Committee [SSC]), including participation in PTASP updates and SMS implementation.
 - a. Since AVTA receives FTA Sec. 5307 funds for an urbanized area with a population of greater than 200,000, AVTA is required to develop and update the PTASP in cooperation with frontline employee representatives on the SSC.
 - b. The SSC shall (1) be convened by a joint labor-management process; and (2) consist of (a) an equal number of frontline employee representatives, selected by a labor organization representing the plurality of the frontline workforce employed by the service contractors of AVTA; and (b) an equal number of management representatives from AVTA and its contractors [§5329(d)(5)(A)].
 - c. As an action item of the FY 2023-2024 PTASP, AVTA and its contractors will form and implement the SSC (See Exhibit S1-2.) before July 31, 2022.
 - d. The SSC is described in Section 9d: Systemwide Safety Committee Formation
 - e. The SSC will have until December 31, 2022, to participate in updating the AVTA PTASP and communicate certification to FTA by December 31, 2022.
- 2) Developing strategies to minimize exposure to infectious diseases.
 - a. AVTA has updated PTASP's Covid-19 Pandemic element to address all infectious diseases. Past practices of the Covid-19 pandemic remain viable strategies for infectious diseases as well.
 - b. Those practices include:
 - i. Following LA Public Health, state, and CDC recommendations and mandates.
 - ii. Monitoring infectious disease conditions and employee health safety.
 - iii. Providing PPE, materials, equipment, and information for and training in infectious disease health safety.
- 3) Establishing a risk reduction program (RRP) and RRP performance targets (the latter as established in the future by FTA and the NPTSP).

- 4) Enhance contractor new hire and refresher training curriculums for all safety-sensitive and safety oversight personnel, including SMS awareness training.

Refer to Appendix A: PTASP Accountable Executive Certification Checklist for Executive Director & CEO and Section 9: Compliance with BIL New PTASP Requirements for the approaches to compliance with the above new PTASP requirements in a phased PTASP certification process.

3. SAFETY PERFORMANCE TARGETS

The Public Transportation Agency Safety Plan (PTASP) regulation, at 49 C.F.R. Part 673, requires covered public transportation providers, State Departments of Transportation (DOT), and Metropolitan Planning Organizations (SCAG for AVTA) to establish safety performance targets (SPTs) to address the safety performance measures (SPMs) identified in the National Public Transportation Safety Plan (NPTSP) (49 C.F.R. § 673.11(a)(3)).

A safety performance target is a quantifiable level of performance or condition expressed as a value for the measure related to safety management activities to be achieved within a set time (§ 673.5). A safety performance measure is a quantifiable indicator of performance or condition that is used to establish targets related to safety management activities, and to assess progress toward meeting the established targets (§ 673.5). Transit providers may choose to establish additional targets for the purpose of safety performance monitoring and measurement.

3a. National Public Transportation Safety Plan (NPTSP) Safety Performance Targets (SPTs)

As described in the NPTSP, transit providers are required to establish by mode seven SPTs in four (4) categories (See chart below: Transit Safety Performance Measures). AVTA has complied with this requirement.

Transit Safety Performance Measures	
	Performance Measures
Fatalities	Total number of reportable fatalities and the rate per total vehicle revenue miles by mode
Injuries	Total number of reportable injuries and the rate per total vehicle revenue miles by mode
Safety Events*	Total number of reportable events and the rate per total vehicle revenue miles by mode
System Reliability	Mean distance between major mechanical failures by mode

* Collisions, derailments, fires, or life safety evacuations

3b. AVTA 2024-2025 Safety Performance Targets

The PTASP 2023-2024 Safety Performance Targets (Exhibit S3-1) are based on the metrics generated by AVTA’s safety performance data in its TransTrack data management system. For the 2024-2025 PTASP, the SPTs were based on the last three (3) years of available data in the system and on data transmitted each year to the NTD.

Systemwide, there were no fatalities, 51 injuries, and 10 safety events (crashes). In terms of rates per 100,000 VRMs and for all modes the rates are shown in Exhibit S3-1 below. The metrics for the SPT chart include the following:

- a) Service Mode
- b) Annual VRM Aver. Last 3 yrs.
- c) Projected VRM for FY2024-2025
- d) Total Fatalities FY2023-2024 Basis
- e) Fatalities/100k VRM Projected for FY2024-2025
- f) Total Injuries FY2023-2024 Basis
- g) Injuries/100k VRM Projected for FY2024-2025
- h) Total Safety Events FY2023-2024Basis
- i) Safety Events /100k VRM Projected for FY2024-2025
- j) System Reliability Average VRM Between Failures
- k) System Reliability Failures /100k VRM (+10%) (See basis /1 Footnote.)

(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
Service Mode	Annual VRM Aver. Last 3 yrs.	VRM for FY2024-2025	Total Fatalities FY2023-2024 Basis	Fatalities /100k VRM	Total Injuries FY2023-2024 Basis	Injuries /100k VRM	Total Safety Events FY2023-2024 Basis	Safety Events /100k VRM	System Reliability Average VRM Btwn Failures	System Reliability Failures /100k VRM (+10%) /1
Local FR	2,128,793	2,330,496	0	0	51	2.19	9	0.39	6,213	7,000
Commuter	706,287	713,956	0	0	0	0	1	0.14	6,277	7,000
DAR	220,451	317,102	0	0	0	0	0	0	7,142	8,000
NEMT	238,665	238,665	0	0	0	0	0	0	n/a	n/a
Micro-transit	199,928	208,429	0	0	0	0	0	0	6,197	7,000
Totals/Average			0	0	51	2.19	10	0.53	6,457	7,250
FY2024-2025 SPTs			0	0	-10%		-10%		-10%	7,250

Exhibit S3-1: Projected Safety Performance Targets for FY 2024-2025

/1 Footnote

Breakdowns By Mode	FY21	FY22	FY23	Average Breakdowns By Mode	Average VRM Between Breakdowns
Local FR	328	283	446	352	6,213
Commuter	131	106	104	114	6,277
DAR	3	16	23	14	7,142
Microtransit	3	16	23	14	6,197
NEMT	3	16	23	14	n/a

Exhibit S3-2: Breakdowns by Mode & Average VRM Between Breakdowns

As indicated above, AVTA' safety performance targets for 2024-2025 is to reduce injuries, safety events, and breakdowns by 10% overall. The target for fatalities remains zero. The targeted system reliability for 2024-2025 is to increase the average VRM between breakdowns/failures by 10%.

3c. Assaults on Transit Workers

In addition, AVTA has tracked the number of assaults on transit workers for the same three (3) year period. As illustrated by Exhibit S3-2, the assaults were mostly on local fixed route service. None of the assaults resulted in the need for medical transport. The safety performance target for 2024-2025 assaults on transit workers is a reduction of 10%. AVTA will require assault awareness and de-escalation training of all contractor employees and of AVTA administrative staff. AVTA will continue to use mitigation measures such as driver shields, incident reporting, response and visible presence by LA County Sheriff Dept. officers assigned to AVTA, and private security at transit centers. Again, AVTA' safety performance target for assaults against transit workers for 2024-2025 is to reduce adverse activity by 10% overall.

Service Mode	# Assaults on Transit Workers in Last 3 Yrs.	Aver. # Assaults / yr.	# Assaulted Transit Workers Transported for Immediate Medical Last 3 yrs.	Aver. Assaults & Medical Transport / yr.	SPT for Assaults
Local FR	13	4.3	0	0	-10%
Commuter	1	1	0	0	-10%
DAR	0	0	0	0	0
Microtransit	N/A	N/A	N/A	N/A	0

Exhibit S3-3 Assaults on Transit Workers



Local Fixed-Route



Commuter Bus



D-A-R, Microtransit, & NEMT

3c. Safety Performance Target Coordination

The AVTA service area lies within the Los Angeles Metropolitan Planning Organization area and the Southern California Association of Governments region. Los Angeles County Metropolitan Transportation Authority (L.A. Metro) serves AVTA as the MPO. AVTA will transmit its safety performance targets as required by 49 C.F.R. Part 673 to the following agencies:

- **State:** California State Department of Transportation (Caltrans):
Division of Rail and Mass Transportation
POB 942874, MS 39
Sacramento, CA 94274-0001
(916) 654-8811
Email: hq.drmt@dot.ca.gov
Date: September 1, 2024
- **MPO:** Southern California Association of Governments (SCAG)
Date: September 1, 2024

4. SAFETY MANAGEMENT SYSTEMS (SMS)

This next section provides an overview of FTA's desired method of managing public transit safety in a more effective manner. A Safety Management System (SMS) is a comprehensive, collaborative approach to managing safety. It brings management and labor together to control risk better, detect and correct safety problems earlier, share and analyze safety data more effectively, and measure safety performance more precisely. SMS is defined as:

"The formal, top-down, organization-wide, collaborative, data-driven approach to managing safety risk and assuring the effectiveness of safety risk mitigations."

4a. FTA and SMS

FTA selected SMS as the desired method to improve the effectiveness of transit safety management based on three safety observations from the transit industry:

- Consistent accident themes among transit operators (e.g., distractions).
- Changing nature and complexity of public transportation (e.g., different operating modes).
- Identified organizational safety gaps and challenges (e.g., drifting from adopted policies and procedures).

SMS has long been used by other industry sectors, such as the airline industry and the nuclear energy industry. FTA has taken a proven approach and adapted it for the transit industry. FTA's definition of SMS illustrates the intent of FTA for grant recipients to achieve improved safety performance industry-wide by requiring and inspiring:

- Formal adoption of the PTASP, SMS and safety policy.
- Safety goals and achievable safety performance objectives.
- Safety commitment and leadership from the top.
- Organization-wide use of SMS and prioritizing of safety.
- Collaboration among the various functional areas of an organization on safety.
- Reporting and management of safety and related data for decision-making.
- Managing safety risk in a more systematic manner.
- Assuring the effectiveness of safety risk mitigations and programs.

With the adoption of AVTA’s PTASP, AVTA selects SMS and its processes and principles for effectively managing and improving safety throughout the transit system.

4b. SMS Framework

Exhibit S4-1 below illustrates the basic framework of SMS. The illustration depicts four (4) pillars (strategies, components) supporting the overall management system. Another way to view the four pillars is to view them as four (4) functional components that working together give SMS its strong foundation. The four pillars of SMS are (1) Safety Policies and Objectives; (2) Safety Risk Management; (3) Safety Assurance; and (4) Safety Promotion.



Exhibit S4-1: SMS Four Pillars and Principles

The essential idea of SMS is to provide a systematic approach to achieving acceptable levels of safety risk in transit operations and strengthening an organization’s safety culture. All four (4) pillars work in conjunction with each other to support SMS and the objectives of acceptable risk. Exhibit S4-2 illustrates the four (4) SMS components and their SMS principles. While not indicated in the exhibit, SMS also includes the intangible, but always critical, aspect of safety culture. The goal of a strong safety culture within AVTA is discussed in Section 10.

The Four SMS Components

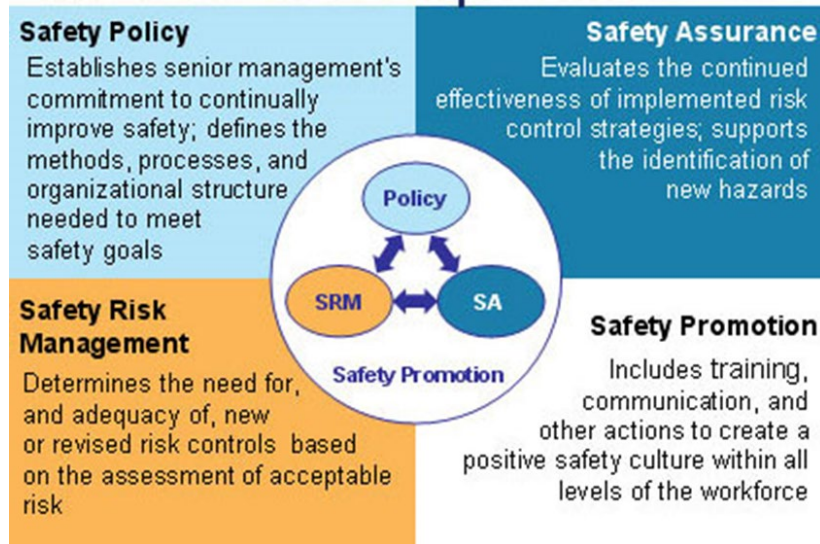


Exhibit -S4-2: The Four Components of SMS (Source: FAA)

4c. SMS Principles

The sub-sections that follow will describe the PTASP requirements and strategies that AVTA will follow and intimate as a part of the implementation of SMS. The strategies being offered follow the SMS principles illustrated in Exhibit S4-1.

SMS is structured to help transit agencies, such as AVTA, strategically apply agency resources to address operational risks and ensure that the agency has the organizational infrastructure to support safety decision-making at all levels regarding the assignment of resources. This includes the use of service contractors to manage and deliver day-to-day service.

4d. SMS and the PTASP

Operators of public transportation systems that are subject to the PTASP Final Rule are required to develop and implement SMS processes as part of their agency safety plans. The documented processes of the agency's SMS include the agency's Safety Management Policy and processes for Safety Risk Management, Safety Assurance, and Safety Promotion. SMS is FTA's selected methodology for improving safety throughout the public transportation industry.

SMS is defined for purposes of public transportation as "The formal, top-down, organization-wide, collaborative, data-driven approach to managing safety risk and assuring the effectiveness of safety risk mitigations." The PTASP provides the vehicle for adopting and implementing SMS by adopting strategies within its very definition to manage safety risk systematically and to assure the effectiveness of safety risk mitigations. The definition's strategies include:

- Formal adoption by and direction provided by the agency's policy body.
- Driving the SMS approach from the top with senior management commitment.
- Applying the SMS approach throughout the organization, including strengthening the agency's safety culture.
- Promoting collaboration among the working units and expanding expertise from within.

- Making agency decisions, including safety, based on data and facts.

4e. SMS implementation

Refer to Section 14: Documentation and Recordkeeping and Section 15: Recommended Safety Actions for FY 2024-2025.



5. SMS PILLAR I. SAFETY MANAGEMENT POLICY

The first pillar of SMS establishes AVTA’s senior management’s commitment to continually improve safety; defines the methods, processes, and organizational structure needed to meet safety goals.

5a. AVTA Safety Management Policy Statement

The Public Transportation Agency Safety Plan Final Rule (49 C.F.R. Part 673) and the adoption of SMS require execution of a safety management policy statement (SMPS) by AVTA. To that end, AVTA has incorporated a formal and executed SMPS as an integral element of this PTASP.

The SMPS is the foundation of an agency’s implementation and sustainability of its SMS. It includes information relevant to developing and carrying out the other SMS elements and focuses on safety management policy that is agency and service wide. It is not intended to be a policy statement that replaces AVTA’s safety management and operating policies and procedures.

The SMPS is supported by the AVTA mission statement to *Empower Mobility-Getting People Where They Need to Be Safely, Timely and Cost Effectively* and a recommended set of agency goals. Together, they provide the necessary direction for AVTA to proactively identify all hazards to mitigate them through their elimination, minimization of adverse impact, control, safety leadership and vision for improved safety performance.

The PTASP provides an initial set of safety management goals for consideration and refinement by the Executive Director/CEO, AE, CSOs and SMS Coordinating and Safety Committee. Appendix B: Safety Performance Guide for Goals, Objectives, and Outcomes provides a template to refine the AVTA’s goals. The initial goals have been included in the recommended SMPS for AVTA.

- GOAL 1: SMS Reduce Casualties/Occurrences
 - In conjunction with its service contractors, AVTA will utilize safety management systems (SMS) principles and its framework to identify safety hazards, mitigate risk, assure mitigation effectiveness, and promote safety management to reduce casualties and occurrences resulting from transit operations.
- GOAL 2: Employee Safety Reporting
 - AVTA will implement a confidential and non-punitive voluntary employee safety reporting program to enhance direct employee participation in improving system

safety for AVTA staff and the service contractor employees within their respective companies.

- GOAL 3: Manage Transit Assets
 - AVTA will provide a safe and efficient transit operation through its service contractors by ensuring that all vehicles, equipment, and facilities are regularly inspected, maintained in a state of good repair, and serviced as scheduled.
- GOAL 4: Strengthen Safety Culture
 - In conjunction with its service contractors, AVTA will foster agency-wide support for transit safety by establishing a safety culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

At a minimum, AVTA's SMPS articulates the agency's commitment to and management's support specific SMS elements:

- Adoption of SMS and annual updates.
- AVTA safety objectives for targeted safety performance.
- An employee safety reporting program.
- Communication of the SMPS throughout the agency and its contractors.
- Training of all AVTA and contractor employees on SMS Awareness.
- Establishment of authorities, accountabilities, and responsibilities of the PTASP and implementation of SMS.

5a.1 Recommended AVTA SMPS



AVTA Safety Management Policy Statement

The Mission of the Antelope Valley Transit Authority (AVTA) is to empower mobility by getting people where they need to be safely, in a timely manner and cost effectively. Safety is AVTA's highest priority in providing mobility.

To this end, the effective management of safety is a top responsibility of the AVTA transit. We are committed to implementing, maintaining, and constantly improving processes to ensure that all our operational and maintenance activities are supported by an appropriate allocation of organizational resources and aimed at achieving the highest level of transit safety performance.

All levels of AVTA and service contractor management and frontline employees are accountable for the delivery of the highest level of safety performance, starting with Executive Director/CEO of AVTA. The chain of accountability is followed immediately by the Senior Director of Operations and Planning (SDOP) as the designated Accountable Executive (AE) for the AVTA Public Transportation Agency Safety Plan (PTASP). This accountability flows from the AVTA Board of Directors to the Executive Director/CEO, to the SDOP/Accountable Executive, to AVTA staff and onto the employees of AVTA and its contractors. As a public transit system employing service contractors to provide day-to-day management and operations of the service, AVTA senior management assures the AVTA Board of Directors that the service contractors shall adopt and operate under this safety management policy.

Our commitment is to:

- Provide strong leadership towards the attainment of AVTA's safety goals of (1) achieving effective utilization of SMS to reduce casualties and safety occurrences; (2) establishing an employee safety reporting program to enhance safety management; (3) assuring safety of all customers and employees, transit management and operational systems and transit assets; and (4) fostering a strong safety culture throughout the AVTA organization and system.
- Support the management of safety by providing appropriate resources to support a system wide organizational culture that fosters safe operational practices, encourages effective safety reporting and communication, and actively manages safety with the same attention to results as that given to the other management systems of the transit agency.
- Integrate the management of safety as an explicit responsibility of all AVTA and contractor transit managers, supervisors, and employees.
- Clearly define for all AVTA and contractor transit managers, supervisors, and employees their accountabilities and responsibilities for the delivery of safe transit services and the performance of the AVTA safety management system.
- Establish and operate a safety-reporting program as a fundamental tool in support of AVTA's hazard identification and safety risk evaluation activities to eliminate or

mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point that is as low as reasonably practicable.

- Ensure that no action will be taken against any transit employee who discloses a safety concern through the employee safety reporting program, unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- Comply with and, wherever possible, exceed any applicable legislative and regulatory requirements and standards.
- Ensure that sufficiently trained and skilled personnel are available and assigned to implement AVTA's safety management processes and activities or those contractor safety processes aligned with AVTA's PTASP.
- Ensure that all AVTA personnel and those of service contractors are formally provided with adequate and appropriate safety management information, are competent in safety management system activities, and are assigned only safety related tasks commensurate with their skills.
- Establish and measure the transit system's agency safety performance against realistic safety performance indicators and safety performance targets.
- Continually improve AVTA's safety performance through effective management processes and leadership that ensure relevant safety action is taken in a timely fashion and is effective when carried out.
- Ensure contracted services that support AVTA's transit mission are delivered safely and comply with AVTA's PTASP and safety performance standards, and support implementation of SMS for AVTA.
- Comply with additional PTASP requirements that may be issued by FTA, including the Bipartisan Infrastructure Law.
- Promote a positive safety culture generated from the top-down where 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 AVTA Executive Director/CEO and as may be delegated or assigned to AVTA's service contractors, who must trust that they will have AVTA senior management support for decisions made in the interest of safety while recognizing that intentional breaches of safety will not be tolerated.

Martin J. Tompkins, AVTA Executive Director/CEO Date

5b. Safety Management Policy Communication

The AVTA Safety Management Policy Statement (SMPS) will be disseminated by the Executive Director and CEO to all members of AVTA Board of Directors and AVTA Transportation Advisory Committee, to AVTA departments and staff and to the service contractors through the AE. The transit service contractors will in turn be required to provide the SMPS to all its project location employees and to its corporate offices. All service contractor project location employees will also receive the SMPS through training, office postings and safety meetings. The SMPS will also be posted on the AVTA website for customers and other stakeholders.

5c. Authorities, Accountabilities, and Responsibilities

The following subsection describes the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).

AVTA is structured as a contracted transit service, where the day-to-day management and operation of the local fixed route, commuter bus, dial-a-ride, Microtransit, and nemt services are operated by a private company under a service agreement with AVTA (Exhibit S4-3). AVTA serves as the contractee, and the private operator serves as the contractor. Employees of the fixed-route contractor serve the daily operation through a collective bargaining agreement (CBA) between the contractor and the labor union. Employees of AVTA represent the accountable and responsible transit agency as contractee. AVTA employees are separate from those of the contractor service provider. Such employees of AVTA provide the contract management and administration over the service contractor, including safety oversight and implementation of the PTASP and SMS.

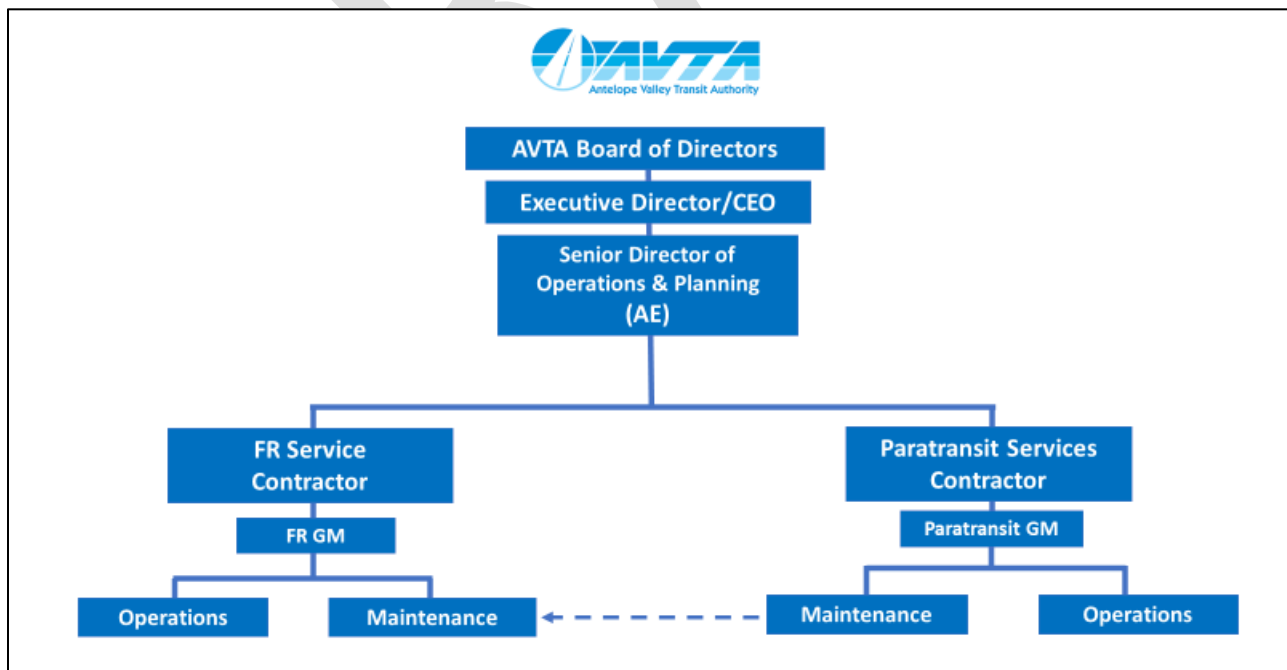


Exhibit S4-3: AVTA – Governance and Service Delivery Model

As illustrated above, the Senior Director of Operations and Planning (SDOP) also serves as the designated Accountable Executive (AE) for the PTASP and SMS implementation.

5c.1 Staff Safety Roles and Responsibilities Chart (Appendix C)

The Staff Safety Roles and Responsibilities Chart provides a structure for organizing the roles and responsibilities of everyone with AVTA – AVTA staff and contractor staff – that have safety responsibilities and for carrying out SMS activities. The chart can also be used to make others aware of each other's safety responsibilities.

The following detailed descriptions of agency and contractor positions describe the safety plan roles and responsibilities. The descriptions are also the information that would be inserted into roles and responsibilities chart.

5c.2 AVTA Accountable Executive

The AVTA Senior Director of Operations and Planning (Exhibit S4-3: AVTA – Governance and Service Delivery Model) is the designated Accountable Executive (AE) for the PTASP. As AE, the position will hold the following authorities, accountabilities, and responsibilities under this agency safety plan:

- Reports directly to the AVTA Executive Director/CEO on the execution of safety management, safety performance and the progress on implementing SMS.
- Implements AVTA's Safety Management Policy, including the ability to direct AVTA staff, service contractor staff, suppliers and vendors and other resources to support the Policy.
- Provides AVTA management and administrative support to implement both the PTASP and SMS, including human and capital resources needed to develop and sustain SMS efforts as authorized by the Executive Director/CEO of AVTA through the SMPS.
- Ensures that SMS is properly and effectively implemented by the service contractors on the day-to-day operational level and companywide.
- Assumes ultimate responsibility for carrying out AVTA's PTASP and implementation of SMS.
- Ensures that appropriate contract oversight and action are taken to address substandard performance in AVTA's PTASP and SMS programs.
- Assumes the authority as contractee to negotiate contract provisions and scope of work tasks related to the implementation of SMS throughout the operational and service level with the service contractor, including monitoring of each service contractor's contracted safety program.
- Maintains responsibility for oversight of AVTA's Transit Asset Management (TAM) Plan in conjunction with the PTASP, including the state of good repair on all transit assets employed in the AVTA transit system.
- Conducts operational safety assurance tasks, including, but not limited to, safety observations, inspections, reviews, and comprehensive audits where warranted, in conjunction with the service contractor duties.
- Provides safety assurance support to AVTA's Purchasing and Contracts Department in the development of specifications, bid documents and bid reviews regarding the procurement transit assets.

- Designates an adequately trained AVTA chief safety officer (CSO) who reports directly to the AE to carry out the duties and responsibilities referred to above.

5c.3 Chief Safety Officers

A CSO manages the transit agency's safety function such as compliance with federal, state, and local regulations, and overseeing safety requirements for transit assets, projects, or activities. Duties also include hazard identification, development and implementation mitigation measures, safety data management, accident investigation (including root cause analysis), coordination and collaboration with other transit functional areas or operational departments, and SMS training certifications.

Because of the service delivery structure employed by AVTA, there are two separate contractors providing the agency's two service modes of fixed-route (local and commuter) and paratransit (Dial-A-Ride, Microtransit, and Non-Emergency Medical Transportation). Since the implementation of SMS and its strategies are carried out on the operational level, a CSO is recommended for each contractor and their modes of operation. Both contractor CSOs are designated as CSO2 in the safety plan and are illustrated in Exhibit S5-1.

In conjunction with the contractor CSOs, the AE/CSO1 will direct safety management, implementation, and institutionalization of SMS in the agency's safety oversight role and responsibility. The contractor CSOs will collaborate, plan and coordinate SMS initiatives within their own operations with the AE/CSO1, from SMS implementation planning to establishing an FTA-compliant employee safety reporting program. The goal of the PTASP is to build a stronger safety culture within the entire AVTA transit system.

5c.3-1 SMS Accountable Executive Serving as CSO1

The AVTA AE has designated himself as AVTA'S Chief Safety Officer (CSO1). As such, the AVTA's CSO1 will have the following authorities, accountabilities, and responsibilities under this safety plan:

- Assures that the intentions and initiatives of the AVTA Safety Management Policy Statement are carried out, including top management's commitment to and leadership required for AVTA's implementation of SMS.
- Develops AVTA's PTASP and SMS priorities, initiatives, planned actions, and resulting policy and procedural mitigations in conjunction with CSO2 and CSO3 and recommends them to the systemwide safety committees for implementation.
- Serves as the direct liaison between AVTA and the contractor CSOs on safety management and the PTASP. The service contractors' CSOs shall serve as on-site as safety managers and project managers for SMS implementation with their operating entity and service contract.
- Oversees the implementation activities of the SMS, communicates recommendations for mitigating identified hazards to the CEO, develops action plans to carry out adopted mitigations, coordinates with the AVTA departments on oversight of contractor activities.

- Oversees AVTA's Employee Safety Reporting System (ESRS) the service contractor's Employee Safety Reporting System (ESRS) in conjunction with the contractor's on-site general manager by utilizing AVTA's safety data management system.
- Oversees the maintenance of all elements and required metrics of the safety performance/accident logs gathered, analyzed, and maintained by the contractor's CSO1.
- Develops, implements, assures compliance, and maintains documentation on AVTA's SMS safety risk management process and safety assurance monitoring tools, including safety observations, inspections, reviews, and audits.
- Oversees adaptation and compliance with SMS of current safety assurance methods by the contractors.
- Keeps all direct reports informed on safety performance, safety efforts and campaigns, specific adverse safety events, emergencies and progress and the overall status of the PTASP and SMS.
- Oversees that AVTA's Transit Asset Management Plan's objectives for a state of good repair coincides with the safety goals of the PTASP.
- Identifies concerns of substandard performance (i.e., unsafe conditions and unsafe acts) in AVTA's transit system and through SMS works with the contractors to develop corrective action plans for approval by the ED/CEO.
- Ensures AVTA policies are consistent with AVTA's safety policy, goals, and objectives.
- Provides Safety Risk Management (SRM) expertise, support, and training for other AVTA personnel who conduct and oversee Safety Assurance activities.
- Together with oversight staff, ensure that contractors meet the standard of adequate safety training as stipulated by the PTASP Final Rule.

5c.3-2 Service Contractors' Chief Safety Officers (CSO2&3) as SMS Project Managers

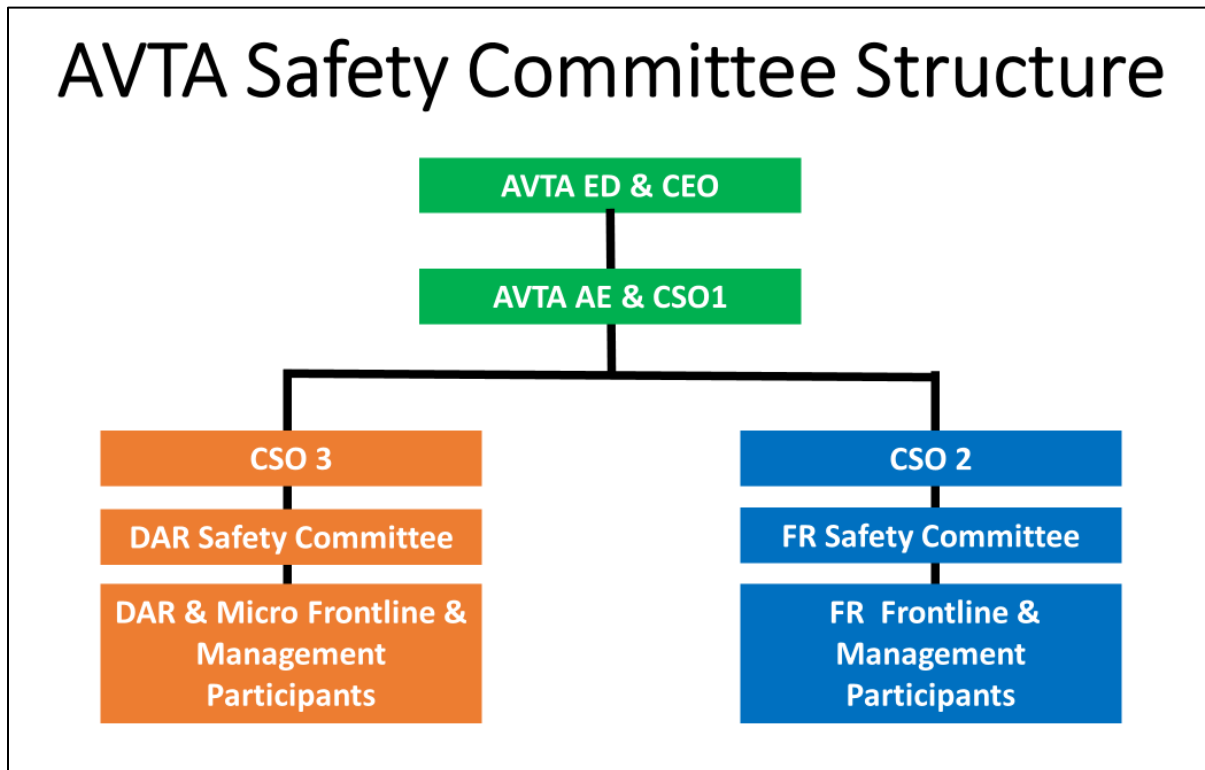


Exhibit S5-1: AVTA Safety Committee Structure

As illustrated in Exhibit S5-1, the General Manager of each service contractor will designate the CSO2 and CSO3 for their modes of service. i.e., fixed route and demand responsive paratransit. For the fixed route service (local fixed route and commuter, it can be the safety and training manager, director of operations, or senior supervisor, whatever is the most appropriate position to assume this role. For the DAR operator, it can be a trainer or operations supervisor. The CSOs should have the following authorities, accountabilities, and responsibilities under this safety plan:

- Serves as the direct liaison between AVTA (the contractee) and the service contractor on the PTASP, SMS implementation and general safety concerns.
- Conducts safety and training functions as required under the service agreement, while adapting to the PTASP and framework of SMS, including implementation of a contractor-side employee safety reporting program as described in the PTASP.
- Actively participates in the AVTA Systemwide Safety Committee along with AVTA staff and representatives of labor and local traffic enforcement and accident investigation. (See Section 9c: SMS Coordinating and Safety Committee.)
- Works with CSO1 in developing AVTA's PTASP and SMS policies and procedures and recommends them to the Operations and SMS Coordinating Committee and senior management for consideration and action.

- Manages the contractor's employee safety reporting system in conjunction with the contractor's on-site general manager.
- Develops a uniform safety reporting system in collaboration and coordination with the CSO1 that includes the required categories of the PTASP's safety performance targets (fatalities, injuries, safety events and system reliability), maintains all accident related and insurance data, assures compliance with and maintains trend data from safety risk management, accident investigation and root cause analysis, and safety assurance reporting on the operation.
- Develops and implements the above AVTA's SMS safety risk management and safety assurance monitoring tools in conjunction with the CSO1 and/or as may be adapted from current safety monitoring tools in use in the service contract.
- Keeps the general manager informed on safety performance, specific safety events, emergencies and progress and the overall status of the PTASP and SMS.
- Identifies substandard safety performance (i.e., unsafe conditions and unsafe acts) in operations and recommends improvements.
- Ensures that contractor's safety objectives are consistent with those of AVTA's mission statement and PTASP, including the AVTA Safety Management Policy Statement, the overall safety goals and objectives, policies, and service agreement.
- Provides Safety Risk Management (SRM) expertise and support for contractor personnel, especially those conducting safety assurance activities.
- Receives any needed safety training as stipulated by the PTASP Final Rule.

Exhibit S5-2: AVTA FY 2023-2024 Organization Chart illustrates the positions held by the AVTA Accountable Executive and AVTA Chief Safety Officer. Support for the AE/CSO1 in overseeing the implementation of the PTASP and SMS is provided by the operations analyst, the project manager, and the security officer.

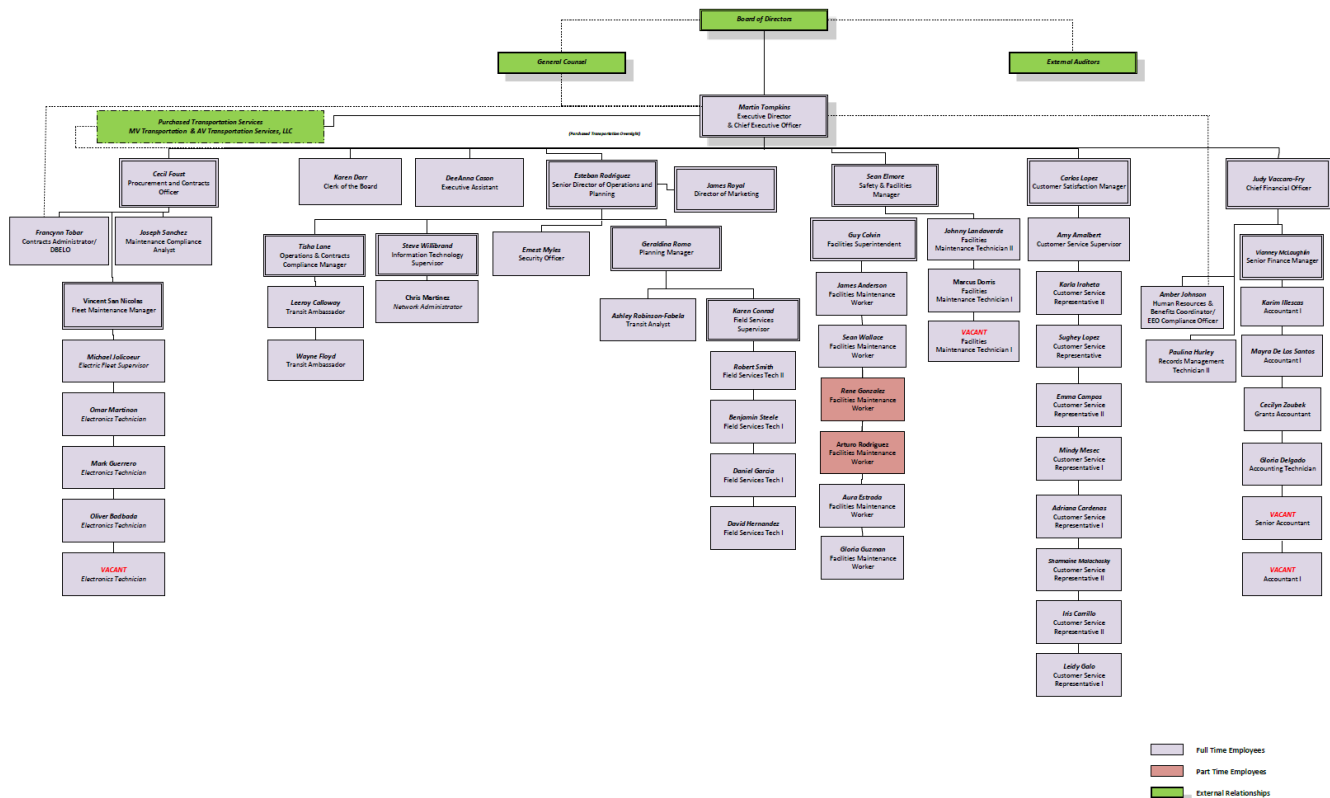


Exhibit S5-2: AVTA Policy and Management Organization Chart FY 2024-2025

5d. Agency Leadership and Executive Management

Agency leadership and executive management also have authorities and responsibilities for the overall SMS implementation and operation of AVTA’s SMS under this PTASP. As illustrated in Exhibit S5-2: AVTA Organization Chart, AVTA leadership and executive management include:

- Executive Director/CEO
- Senior Director of Operations & Planning (also serves as PTASP AE)
- Chief Financial Officer
- Procurement and Contracts Officer
- DBE/EEO Compliance Officer
- Customer Satisfaction Manager
- Maintenance Compliance Manager
- Clerk of the Board

AVTA leadership and executive management personnel have the following authorities, accountabilities, and responsibilities:

- Contract management and oversight of the contractor in accordance with the service agreement.
- Participate in AVTA’s Safety Committees.
- Undergo Awareness training on SMS and AVTA’s PTASP elements.

- Oversee execution of SMS in their respective departments.
- Modify policies in their departments consistent with the implementation of SMS, as may be necessary.
- Provide subject matter expertise to support implementation of the SMS as requested by the AE and CSO1, including safety risk management activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

5e. Other AVTA and Service Contractor Key Staff

Key management, supervisory and support staff will also have authority and responsibilities for day-to-day safety management, SMS implementation, and operation of AVTA's SMS. Key management, supervisory, and support staff of (A) AVTA and (B) the service contractors include:

A. AVTA

- Customer Satisfaction Manager
- Facilities Superintendent
- Field Services Supervisor
- Maintenance Manager
- Director of Marketing
- Procurement and Contracts Officer
- Transit Ambassadors
- LA County Sheriff Assigned Officers

B. For the Service Contractors (Refer to Exhibit S5-1):

- General Manager
- Maintenance Manager
- Operations Manager
- Operation Supervisors
- Quality Controllers and Dispatchers
- Safety and Training Manager

Key management, supervisory and support staffs of AVTA and the service contractors have the following authorities, accountabilities, and responsibilities:

- Utilizing the existing AVTA Operation Management as the SMS Implementation Coordinating Committee.
- Complete training on *SMS Awareness* and AVTA's PTASP contents.
- Provide documented recommendations for the annual updates to the PTASP.
- Oversee and support management of day-to-day operations and safety in their individual departments and work groups/shifts.
- Recommended modification of policies & procedures functional areas consistent with system-wide implementation of the SMS, as necessary.
- Provide subject matter expertise by department specialty to support implementation of AVTA's SMS as requested by the AE or CSO1, including safety risk management

activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

The existing AVTA service delivery structure also provides for the Senior Director of Operations and Planning, the AE, to also serve as CSO1 on behalf of AVTA as well. This arrangement complies with the SMS requirement that the CSO reports directly to a member of AVTA executive management.

The CSO1 is linked directly to the CSO2 and CSO3 within each contractor organization and mode of service to provide direct liaison, coordination, and oversight of contractors' operational safety management and SMS implementation.

5f. Safety Training for Key Personnel

A major requirement for a Chief Safety Officer (CSO) is that designated individuals have completed "adequate safety training" as stipulated by the PTASP Final Rule. The training applies to the AVTA CSO1 and the contractor's CSO2. What constitutes "adequate safety training" is left to each transit agency and their PTASP to determine. FTA has suggested that the "adequate safety training" curriculum could follow the required curriculum of the Transportation Safety Institute's (TSI) Transit Safety and Security Program Certificate. That curriculum contains the following four (4) courses:

- SMS Principles and Framework
- Bus System Safety
- Fundamentals of Bus Incident Investigations
- Emergency Management

FTA does not mean that a CSO must follow the exact material or timeframe of TSI, but rather undergo some equivalency of those topics. It is recommended that the AE determine the level of safety training desired and reflects the current level of experience and past safety training of the designated CSOs. A guide to making this determination is what is required of the CSOs as described above to perform their responsibilities, including implementing SMS.

However, it is recommended that each appointed CSO should experience SMS Principles and Framework training and blend this topic with their previous training and experience with bus system safety, bus incident (accident) investigations, and emergency management. It is recommended that CSOs receive SMS Principles and Framework training through TSI, their company, or other training sources.

6. EMPLOYEE SAFETY REPORTING

This section describes the process and protections for employees to report safety conditions and performance to senior management. It also addresses employee behaviors that may result in disciplinary action (and therefore, are excluded from disciplinary protection). The intent of an employee safety reporting program that is available to all transit system employees, including contract employees, is to help the AE and other senior managers consider and communicate important safety information from across the transit agency to better manage safety. The PTASP rules require that an agency must inform employees of

safety actions taken in response to reports submitted through an employee safety reporting program. Additionally, responding to employee reports can help to encourage more employee reporting and a better of organization wide safety performance.

Employee safety reports and the data generated from the reporting should become part of the overall safety data management system as a separate metric. The employee safety reporting should also include close call or near miss reports, i.e., reports of accidents where there are no injuries and/or no property damage. Together with employee safety reports of unsafe conditions and/or unsafe acts, close call reporting also encourages the reporting of general safety concerns, even if they have not yet resulted in an identified “event.” Close call reporting is described below. The overall safety data management system that is recommended is also further detailed below.

6a. AVTA Employee Safety Reporting Process

In accordance with FTA’s PTASP Final Rule (49 C.F.R. Part 673.23(b)), AVTA is required to establish an employee safety reporting program (ESRP) for the overall transit system. Since there are three entities managing and operating AVTA transit system (AVTA and two contractors), each organization should develop its own internal ESRP. Contractors will report any reports to AVTA through their respective channels for compilation for the overall transit system and follow-up action.

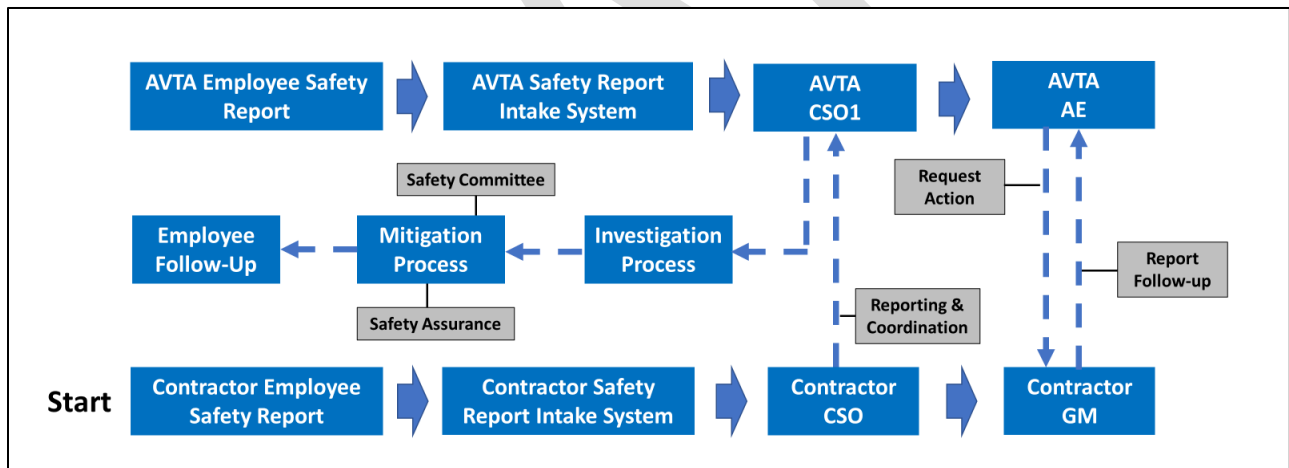


Exhibit S5-3: Process Flow for Employee Safety Reporting

The AVTA process of the Employee Safety Reporting Program is illustrated in Exhibit S5-4: Process Flow for Employee Safety Reporting.

In the above exhibit, either an AVTA employee or an employee of the service contractor may make a confidential safety report as to any observed or experienced unsafe condition or unsafe act. The program allows for employee reports to be received by CSO1 for AVTA and by CSO2&3 for the respective contractor. The CSOs will then collaborate, review reports, and coordinate follow-up in terms of investigation, direct mitigation or referral to the SMS Coordinating and Safety Committee for recommendations and planned mitigation. The process will also include a response to the reporting employee. Parameters of the labor

collective bargaining agreement (CBA) should also guide the development of program specifics.

Both the AE and the contractor's general manager will be kept informed on employee safety reports as a part of the monthly performance review.

The elements of the program are as follows:

- The employee reporting system at both AVTA management and administration and the contractor's worksite will provide protection against punitive measures for those making safety reports.
- Employees of AVTA and the service contractor may utilize the following methods for in taking employee safety reports:
 - Written paper forms and/or electronic forms for confidential reports.
 - Verbal with written documentation received during staff, safety meetings, pre-trip inspections and post-trip inspections.
 - Complaints or observations made by customers or reports from the public.
 - Electronic communications (i.e., email).
 - A safety tip lock box.
- The employee reporting system will provide protection against punitive measures for those making safety reports.
- Protection for reporting employees shall be provided through an AVTA and contractor policy of confidentiality, a policy of no retribution and training.
- Employees may make reports through their immediate supervisor, their department manager, directly to the AE or general manager and to their respective CSO. They may also report anonymously through a safety tip box.
- The employee's immediate supervisor, the department manager, the service contractor's on-site safety manager and the general manager & CSO2 shall maintain confidentiality and take no prohibited disciplinary action.
- The reported information may be generalized and combined with other training items for safety meetings.
- As to employee behaviors that may result in disciplinary action, any violations of AVTA or service contractor policies & procedures, preventable accidents, law enforcement traffic and OSHA violations will be handled in accordance with the respective entity's employee handbook, agency policy or company policy.

6b. Close Call Reporting

Close calls (near misses) are defined as situations or circumstances that had the potential for safety consequences, but did not result in an adverse safety event, e.g., collision. Close call reporting addresses happenings that can adversely affect safety or have the potential to adversely affect safety and become a safety event. Awareness of close calls presents an opportunity to improve safety practices and the safety culture.

The primary purpose of an employee close call safety reporting system is to improve the overall safety by encouraging employees to report unsafe conditions or acts voluntarily that would otherwise not be known or detected by AVTA or contractor safety management. A close call reporting system presents opportunities for the agency and contractor to improve a transit system's safety performance by producing safety-critical information that can lead to strategies and interventions to prevent accidents and injuries.

An employee safety reporting system that includes confidential and non-punitive close call reporting can help identify actual or potential problems, the pre-happening precursors for training, and potential solutions for those problems.

Guidelines for incorporating a close call reporting element in the employee safety reporting program for AVTA and its contractor should include the following:

- Events that do and do not qualify for close call safety reporting must be defined for employees by the agency and contractor.
- The close call reporting element offers another tool to identify and assess safety risks in transit operations, and at its best it is an opportunity for employees and management to collaborate in achieving a higher goal – system-wide safety.
- To be effective, all employees of AVTA and of the contractors must work together to improve safety; and the safety reporting system must make everyone feel comfortable reporting their concerns without fear of potential discipline, reprisal, dismissal, or legal discovery.
- The process of close call reporting may follow those described above for an employee safety reporting program, which is already meant to encourage the reporting of general safety concerns, even if they have not yet resulted in an identified “event”. AVTA and the contractors can utilize existing incident reporting processes, e.g., paper forms or electronic systems to report.
- The close call reporting element is a voluntary system meant to encourage all employees to report events that are noteworthy events that adversely affect safety or have the potential to adversely affect safety, and which would otherwise not have been discovered by management yet nonetheless could be symptoms of problems that could lead to more serious future events.
- Follow-up with systematic report analysis to identify precursors to the safety event that might otherwise have gone undetected or undocumented so that corrective measures can be developed and taken to eliminate or control potential losses with knowledge of and awareness the precursors in similar events.



7. SMS PILLAR II: SAFETY RISK MANAGEMENT

The Safety Risk Management Process is the second foundation or pillar of SMS. Safety risk management is a process for identifying hazards and analyzing, assessing, and mitigating safety risks. This process enables AVTA and its service contractors to take a proactive

approach to managing safety. The process also helps identify the areas of highest safety risk or of unacceptable safety risk to the transit system. Risks to the transit system change as does the system itself undergoes change over time, such as service operating conditions due to land use development, construction, traffic conditions, demographic shifts, human behavior, and ridership demand pattern changes.

In accordance with the adoption of SMS in the Safety Management Policy, AVTA and its service contractors will conduct the four (4) phases of the safety risk management process, including (1) safety hazard identification; (2) safety risk assessment and evaluation; (3) safety risk management and mitigation; and (4) safety performance measurement and assurance, as illustrated in Exhibit S7-1:

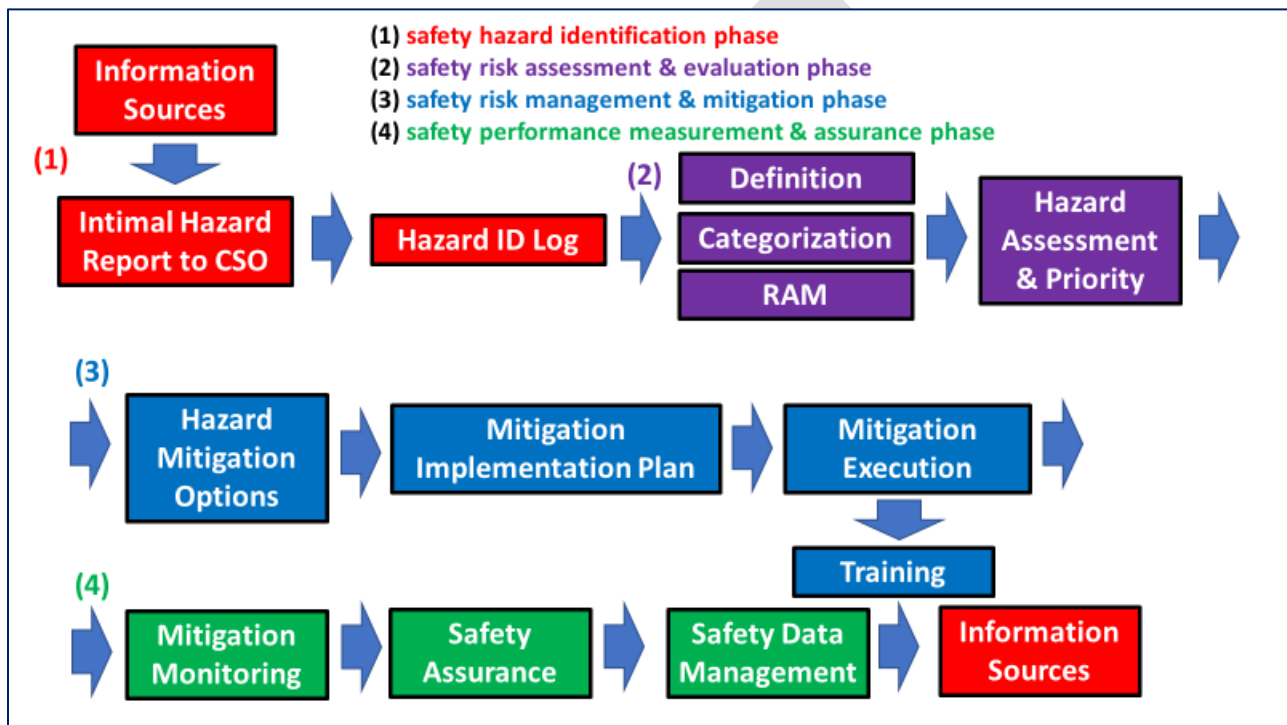


Exhibit S7-1: Hazard Identification and Hazard Mitigation Process Phases

7a. Phase 1- Safety Hazard Identification

Processes to identify hazards and consequences of the hazards.

- AVTA’s service contractors may employ various methods to identify hazards or unsafe conditions and unsafe actions that may challenge the safe management and operations of the transit system. The AVTA’s service contractor should also analyze the potential consequences or potential losses that the hazards and their applicable level of risk present to AVTA (Exhibit S7-1).
- Two useful methods to identify hazards are (1) the system-wide safety assessment process for all the functional areas of the transit system and the facility safety and security assessment process. The Appendix contains sample forms for these two safety assessment processes. /1



AVTA Lancaster Management and Operations Facility

- The service contractors should routinely review and prioritize identified hazards with AVTA. The service contractors should also provide AVTA with action plans to deal with the prioritized hazards and potential consequences in conjunction with their individual safety committees. And, in turn make their recommendations to the AVTA systemwide safety committee for consideration. The hazard and consequences identification processes are illustrated in Exhibit S7-1: Hazard Identification and Mitigation Process Phases.
- In Phase 1, potential data, and information sources, including reports /2 of an identified hazard, may generate an issue. AVTA and the contractors may have other sources in present use. Phase 1 includes the CSOs coordinating the development and maintenance of a hazard identification log. /3

7a. Footnotes:

- /1 See Appendix D: Safety Assessment and System Review Form and Appendix E: Facility Safety and Security Assessment Form
- /2 See Appendix F: Sample *Employee Hazard Identification Form* an example of hazard intake in hard copy form.
- /3 See Appendix G: *Hazard Identification and Risk Assessment Log*.

7b. Phase 2 – Hazard Type Determination

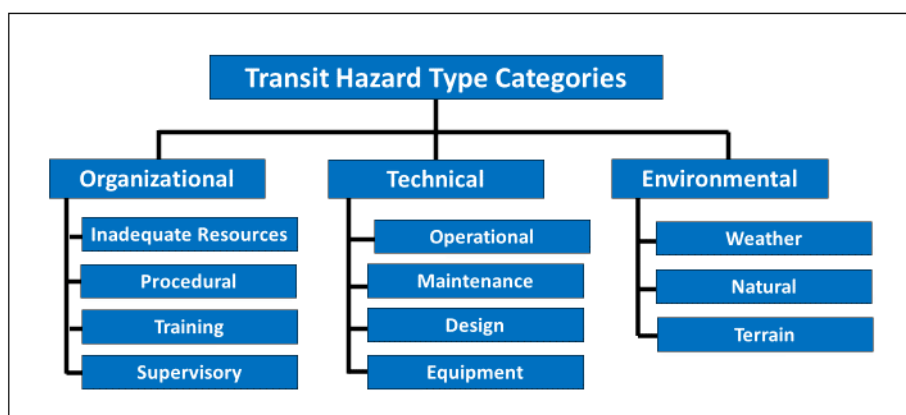


Exhibit S7-2 Safety Hazard Type Categories

The Hazard Identification and Mitigation Process Phases, which may be employed by AVTA, and the contractor is illustrated in Exhibit S7-1. The process allows a CSO to categorize an identified hazard and assign investigation and fact gathering from the most appropriate operating department or from the functional area most responsible of the category of the identified hazard.

7c. Phase 2 – Hazard and Safety Event Definitions

A Safety Risk Management Definition Checklist (Exhibit S7-3) can be used to determine if the condition is a hazard (i.e., condition that can cause a loss) or an actual safety event (e.g., accident, collision, or incident) that has already occurred. Determining the definition or category of a situation or happening is important to how a CSO addresses it under SMS and whether actions are reactive or proactive.

Safety Risk Management Definition Checklist	
<p style="text-align: center;">Determining Definition or Category</p> <p>A situation is either a hazard, potential consequence or safety event if all three (3) characteristics in any one box are true.</p>	<p style="text-align: center;">POTENTIAL CONSEQUENCE OR LOSS</p> <ol style="list-style-type: none"> 1. It is not a real or potential condition. 2. It can be caused by a hazard. 3. It has not happened yet, but could be similar to a past safety event.
<p style="text-align: center;">A Hazard</p> <ol style="list-style-type: none"> 1. Is real unsafe condition or potential condition. 2. It can cause a consequence (or loss). 3. It is not a safety event. 	<p style="text-align: center;">A Safety Event</p> <ol style="list-style-type: none"> 1. It is an accident, incident, occurrence 2. It is not a real or potential condition. 3. It has already occurred.

Exhibit S7-3: Safety Risk Management Definition Checklist

With the Safety Hazard Type Categories chart (Exhibit S7-2) and the Safety Risk Management Definition Checklist (Exhibit S7-3) the CSOs can determine the most appropriate category for the reported hazard and seek input on existing mitigations and priorities, as well as, proposals for additional solutions and options from the most responsible department, which consists of the most relatable SMEs.

The identified hazard is then classified as to its degree of risk (probability of occurrence and frequency) using an appropriate Risk Assessment Matrix (RAM) for the transit system (Exhibit S7-4).

7d. Phase 2 – Safety Risk Assessment-Risk Assessment Matrix

A Risk Assessment Matrix (RAM) is a chart that plots the severity or potential loss of an event occurring on one axis (horizontal), and the probability or the likely frequency (vertical) of it

occurring on the other. A risk assessment identifies and evaluates the hazards and risks of a specified situation. Given a potential hazard, a RAM allows a CSO to measure the degree of adverse impact given the risk probability or likelihood of occurrence and to either reduce the harm it causes or (ideally) prevent it completely than to deal with the consequences.

This systematic process can uncover glaring safety risks, gaps in procedures or training, and general staff and customer wellbeing before a loss. It can also mean the difference between a planned mitigation or project being a success or a re-do. The benefits of using a safety risk matrix include:

- Determining what is unacceptable and acceptable according to the AVTA's and Service contractor's risk tolerance.
- Providing a comparison of hazards faced by the transit service.
- Providing guidance to management in support of data-driven safety decision-making.
- Supporting a consistent assessment of hazards and changes in the hazard's level.

Acting in conjunction with the contractor's internal safety committee, the contractor general manager, the respective CSO can establish the probable level of risk for any identified hazard with the use of a risk assessment matrix (RAM) such as Exhibit S7-4 below or Appendix H /1, which measures consequences for people, transit assets, the environment and the agency's reputation. A RAM can also address four (4) FTA safety performance standards: fatalities, injuries, safety events and system reliability.

The contractor's CSO and internal safety committee should consider all hazards identified by employees, OSHA inspections, peer reviews, insurers, the Highway Patrol inspections, and other subject matter experts (SME) and prioritize the hazards by the level of risk being posed. Prioritizing for action and mitigation should be assigned a timeline along with identifying lead individuals to implement mitigation. The Prioritized Safety Risk Log /1 provides a format for prioritizing hazards and risks and a communication format with the system wide SMS Coordinating and Safety Committees.

7d Footnotes:

/1 See Appendix H: Sample Risk Assessment Matrix.

/2 See Appendix I: Sample Prioritized Safety Risk Log.

		Severity				
		Catastrophic A	Hazardous B	Major C	Minor D	Negligible E
Frequency	Frequent 5	5A	5B	5C	5D	5E
	Occasional 4	4A	4B	4C	4D	4E
	Remote 3	3A	3B	3C	3D	3E
	Improbable 2	2A	2B	2C	2D	2E
	Extremely improbable 1	1A	1B	1C	1D	1E

Exhibit S7-4: Risk Assessment Matrix (RAM)

7e. Phase 3 – Safety Hazard and Risk Mitigation

AVTA may use existing or adapted methods or processes to identify mitigations or strategies necessary because of safety risk assessment. A mitigation is a specific action, project, activity, program, policy, or process taken to reduce or eliminate risks to the transit system, including its people (employees, customers and public), its assets and property (financial, vehicles, equipment and facilities and its reputation from hazards and their impacts). The actions to reduce vulnerability to threats and hazards form the core of the PTASP and are a key outcome of the safety planning process.

The service contractors should be required to develop mitigating measures to address hazards and risks identified and documented in both the Hazard Identification and Risk Assessment Log (Appendix G) and the Prioritized Safety Risk Log (Appendix I).

The process to identify mitigation options or strategies to address the identified and specific hazards and risks ranked against a RAM should include the following:

- Having the functional area (department) of the transit system take the lead in both identifying department related hazards and options on how to best mitigate the safety issue, including employee participation in developing mitigations or strategies. Obtain input on the mitigating options from the affected employees.
- After analyzing and prioritizing the safety issue, the CSOs may consider researching documentation of good practices applied to the issue or hazard from the transit industry (e.g. LA Metro, Caltrans, TRB, TCRP, TSI, NRTAP, OSHA, insurers, suppliers, legal resources and other internet resources), as well as, seeking advice from other transit operators in the Los Angeles Region, elsewhere in the state or nation (using California Transit Association, CalACT, APTA, CTAA, NRTAP and SWTA for referrals). After synthesizing the input and research material the CSOs and SMS coordinating (safety) committee may be in a better position to decide on the most practical applications.

- Develop an implementation plan for the mitigation selected; and implement the safety improvements, including employee communications and related refresher training.
- Utilize safety assurance to monitor and report on the effectiveness and overall performance of the mitigating measures taken. Obtain feedback as well from the effected employees. Redo the mitigation process if the strategy taken is found not to be performing as expected or inappropriate.

7f. Phase 4 – Safety Data Management and Analysis

SMS relies on data to make risk-based decisions. The definition of SMS clearly addresses the role of or need for safety data to be able to make data-driven decisions that safeguard personnel and the transit system. To be effective, transit safety data must be safety event and risk based.

A safety data management approach is a major key to weaving safety into the very fabric of a transit organization. Safety data is both an indicator of how safely the employees do their jobs and the state of the organization’s safety culture. FTA’s emphasis on safety data and its analysis is intended to help:

- Control public transportation safety better.
- Detect and correct safety problems earlier.
- Become more proactive and predictive.
- Measure safety performance more precisely.
- Share and collaborate with others on safety data.
- Make data-driven decisions.

AVTA will utilize its current software, TransTrack Manager (Exhibit S7-5), to include safety performance data and consolidate the safety data with other transit system information sources for a very effective approach to managing safety data and performing safety analytics.

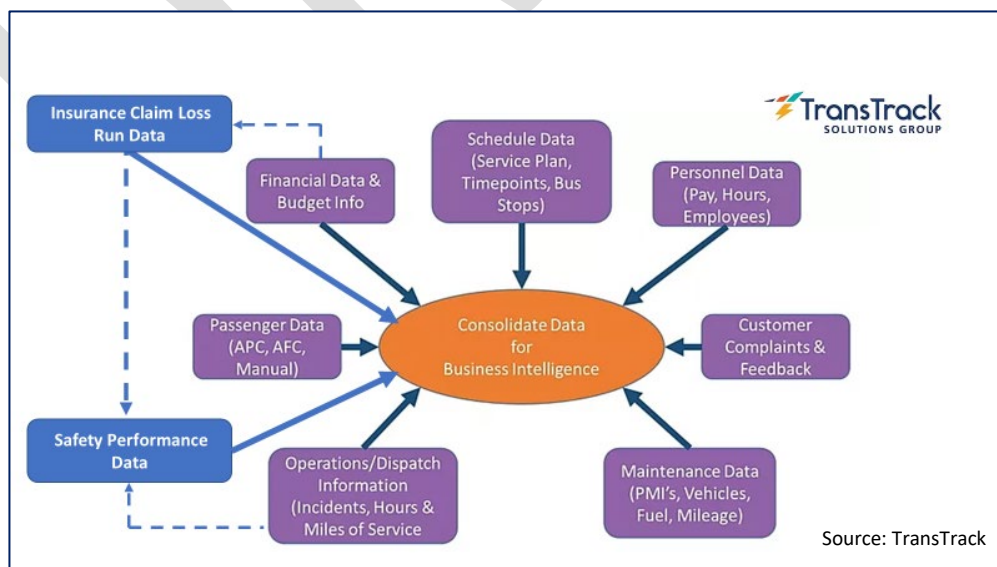


Exhibit S7-5: Integrating Safety Performance Data within *Transtack Manager*

The safety performance data metrics or KPIs that are recommended in maintenance by AVTA and/or by the contractors, including current metrics, are needed for in-depth risk management. The desired metrics will facilitate identification of casual or contributing factors, close calls and their precursors, root causes and assist in a more precise classification of preventable vs. non-preventable and in the development of mitigating measures. The recommended data that should be collected on an accident-incident log is listed below. The accident-incident log should then be used in combination with the dispatch logs and CSO safety event logs:

- Date of Report
- Date of Event
- Time of Event
- Injury Alert (Y/N)
- Collision Types
 - Other Vehicles
 - Fixed Objects
 - Pedestrians
 - Bicyclists
 - Close Call
 - Other
- FR Route #
- Vehicle #
- Transportation Mode
 - Local FR
 - Commuter
 - Paratransit - DAR
 - Paratransit - Micro Transit
 - Paratransit - Non-emergency Medical
 - Service Vehicle
 - Employee vehicle for business, or other
- Incident Types:
 - Slip-Trip-Fall
 - Mobility device securement
 - ADA Compliance
 - Mobility
 - Property Damage
 - Crime
 - Assault
 - Employee Injury
 - Vehicle fire
 - HazMat Spill
 - Emergency
 - Other
- Driver Name & Driver ID #
- Responding Field Supervisor Name
- Jurisdiction Traffic Enforcement Responded (Y/N)

- Safety Event Description
 - Injuries (Y/N)
 - CSO & Road Supervisor Notified Immediately (Y/N)
 - Vehicle Damage (Y/N)
 - Any Vehicle Towed (Y/N)
 - Drug Screen Required Due to Towing (Y/N)
 - Emergency Medical Care Called (Y/N)
 - Drug Screen Required Due to Medical care (Y/N)
- Location Details
 - Location (Cross Streets, Freeway No., etc.)
 - City or Other Jurisdiction
 - GPS Latitude & Longitude
- Post-Event Actions
 - Accident file Number
 - Driver Accident Report Filed (Y/N) & Date
 - Driver Close Call Report Filed with Precursors (Y/N)
 - Supervisor Accident Report Filed (Y/N) & Date
 - Police/Sheriff Accident Report Received (Y/N)
 - Jurisdiction City or County
 - Insurance Carrier Claims Dept. Notified (Y/N)
 - Applied Type of Insurance (AL, GL, WC, Other)
 - Client Agency Notified (Y/N), Date & Time
 - Coaching or Review Performed (Y/N)
 - Re-Training Type Assigned
 - Discipline Issued
 - Final Classification: Preventable or Non-Preventable
 - SMS Required Data (count):
 - Fatalities
 - Injuries
 - Safety Event
 - Fire
 - Crime/Assault
 - HazMat Release
 - System Reliability (failure to pull-out)

7g Risk Reduction Program

As illustrated in Exhibit S7-6, AVTA will also overlay the safety risk management process with a risk reduction program which utilizes its safety data management system, TransTrack, to monitor accidents and incidents and to monitor concerning trends. The process will also involve the safety committees in reviewing monthly safety data and measuring identified risks against the Risk Assessment Matrix, Exhibit S7-4. The safety committees will also consider review of management and operation gaps contributing to these safety risks. The safety data system will serve as the prime driver for the risk reduction program through the observation of frequencies and consequence severities of actual events and close calls. Identification of hazards and risks will also be followed by the safety committees.

As illustrated below, the risk reduction program will address identified hazards and their levels of risk through hazard identification in phase (2) (including from safety data and other reporting) and safety assurance in phase (4). Initial risk assessment will occur in phase (2) and immediately become a part of the risk reduction program, which links to elements of phase (3) and phase (4). The safety data management system will include monitoring all identified risks and efforts to mitigate them in a continuous loop.

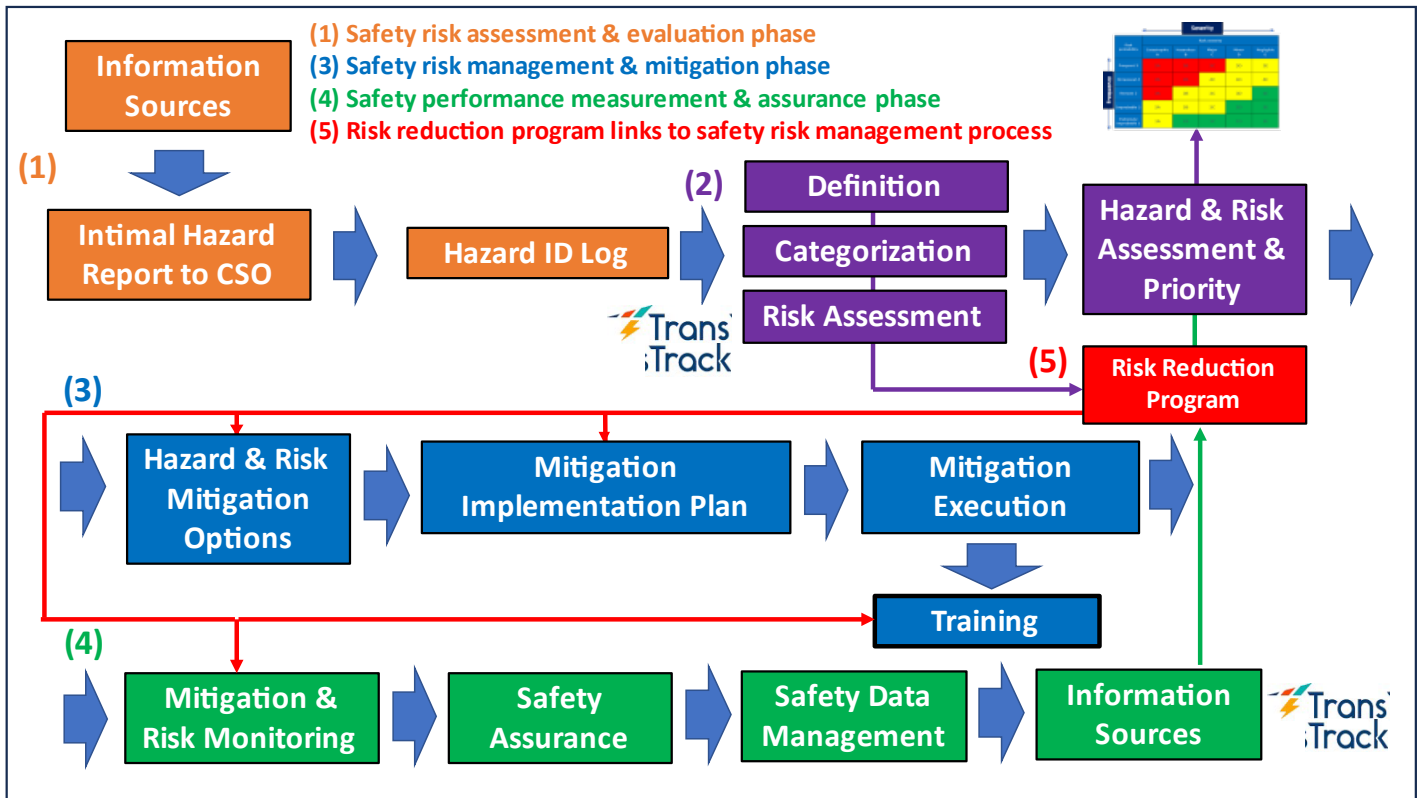


Exhibit S7-6: Hazard Identification, Hazard Mitigation Process with Risk Reduction Program

AVTA’s risk reduction will utilize the various management and operational tools and programs currently in place and as may be updated or added to. Such items are illustrated in Exhibit S7-7.

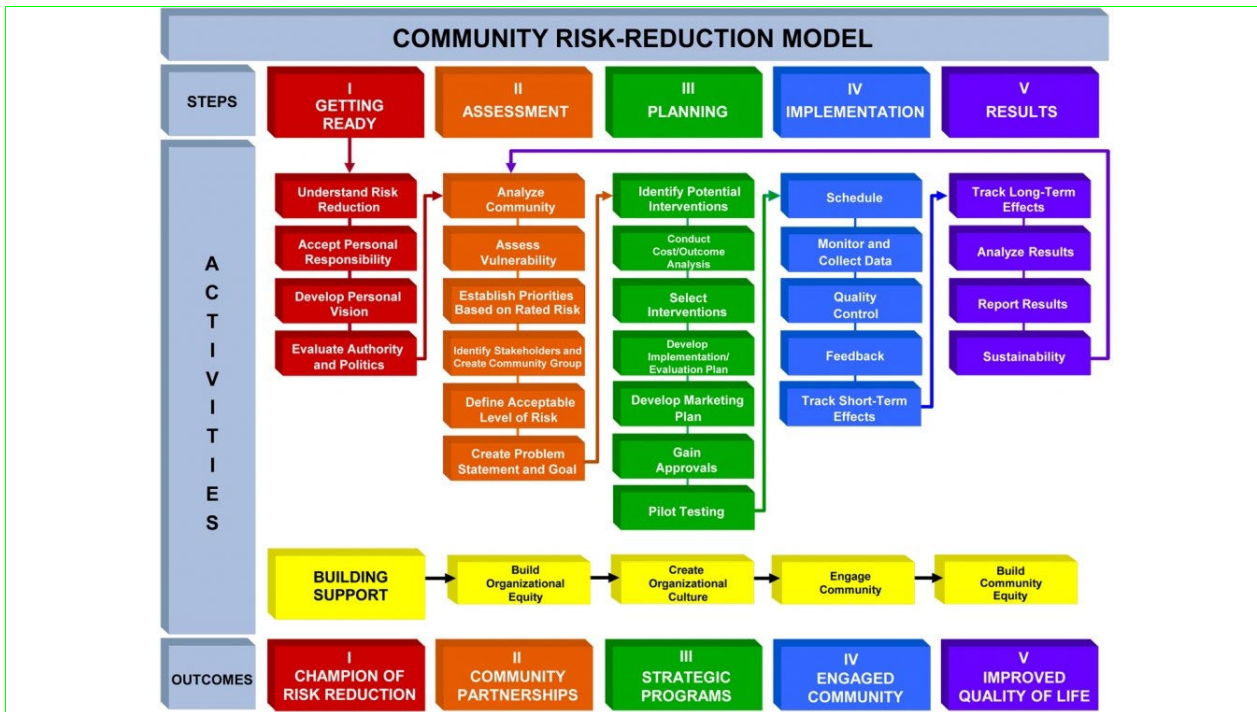
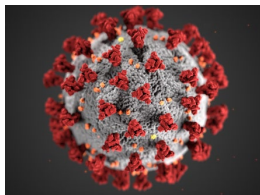


Exhibit S7-7 Community Risk-Reduction Model

7h Exposure to Infectious Disease Strategies



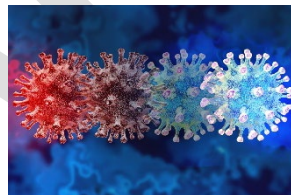
Covid-19 Start



Full PPE Measures



Mandate Cancellations



Covid-19 Variants



Re-masking

The Bipartisan Infrastructure Law requires transit agencies to address strategies to minimize exposure to infectious disease. AVTA’s approach to this requirement is to update the PTASP section on Covid-19 Pandemic to include all infectious diseases that may affect the AVTA transit system.

Currently identified infectious disease risks for FY 2024-2025 include the continuing Covid-19 pandemic with emerging new and highly infectious variants (i.e., JN.1, JN.1.13, and JN.1.18 variants and any other variants that may be identified by the CDC in the safety year) and other public health concerns.

Past Covid-19 infection reduction measures performed by AVTA continue to be effective against the variants. With the growing availability and continuous improvement in vaccines, testing, drugs, non-vaccine biological products, and covid medical treatment devices, the overall level of infections is stable and hospital admissions have been below crisis capability levels. It is important to follow L.A. County Health Department and CDC guidance or mandates as conditions remain in flux.

AVTA will remain prepared to utilize already identified mitigations or strategies related to exposure to infectious diseases through the safety risk management process and those procedures previously used to combat Covid-19.



AVTA will continue with the following supplemental infectious disease prevention strategies:

- Face masking in all public transportation and indoor transportation hubs as ordered by Los Angeles County Public Health for employees and customers.
- Recommending social distancing where practical.
- Vehicle and facility cleaning and disinfection as established by AVTA management.
- AVTA and its contractors will report employee infections to FTA as required.
- Other infection prevention strategies as recommended by FTA, California Department of Health (CDOH), Los Angeles County Public Health (LACPH) and the Centers for Disease Control and Prevention (CDC). Additional strategies may include the following as determined by AVTA management.
 - Development of an AVTA Infectious Disease Health and Safety Plan or enhancement of AVTA’s Cal/OSHA IIPP (The IIPP is referenced as a resource to the PTASP.).
 - Continuance of personal hygiene methods.
 - Recommendation for physical distancing as practical.
 - Disinfecting hard surfaces touched by bus operators.
 - Sanitizing transit vehicles and facilities.
 - Maintaining supplies and employing use of PPE (including face masks).
 - Assessing potential exposures in workplace assignments.
 - Promoting masking and vaccinations with CDC, L.A. Public Health, and AVTA policy guidance for employees and customers.



Bus Interior Disinfection



PPE Stockpile



Continued Vigilance

7i Addressing Assaults on Transit Workers

FTA is proposing a General Directive (# 24-1) to address the significant and continuing national-level safety risk related to assaults on transit workers. The General Directive would require each transit agency subject to FTA's Public Transportation Agency Safety Plans (PTASP) regulation to conduct (1) a safety risk assessment, (2) identify safety risk mitigations or strategies, and (3) provide information to FTA on how it is assessing, mitigating, and monitoring the safety risk associated with assaults on transit workers.

To comply with the final issuance of FTA General Directive and within the sixty-day time frame required by FTA, AVTA will conduct:

1. A safety risk assessment, which will rely upon the following activities:
 - a. Surveying employees during safety meetings, during training events, and individual interviews.
 - b. Analysis of safety performance data.
 - c. Examination of incident reports from both contractors.
 - d. Examination of adequacy of incident reporting procedures for assaults and their characteristics with AVTA system.
 - e. Examination of transit industry literature on applicable approaches for AVTA
2. Identification of safety risk mitigations and strategies to protect transit workers from assault. AVTA and contractor structural, architectural, and program approaches will include, but not limited to:
 - a. Structural approaches:
 - i. Use of current driver barriers.
 - ii. Panic alert buttons.
 - iii. Security cameras.
 - iv. Vehicle doors
 - v. Evaluation of the adequacy of current facility security
 - vi. Other structural improvements
 - b. Program approaches:
 - i. Zero-tolerance policy statements against assaults by management
 - ii. De-escalation training.
 - iii. Incorporating assaults training in emergency planning and training
 - iv. Coordination with local law enforcement for support and response to AVTA assaults
 - v. Employee training on assault definitions and characteristics, and strategic options depending on the issue or assault type.
 - vi. Customer communications on policies and warnings against assaults.
 - vii. Effective reporting and assault data management.
 - viii. Other program approaches
3. Provide information to FTA on how AVTA is assessing, mitigating, and monitoring the safety risk associated with assaults on transit workers.
 - a. Approaches by AVTA and its contractors:
 - i. Daily reporting of assault incidents to the TransTrack data management system

- ii. Monthly operational reporting to CSO1 on assault activity, mitigations, and safety training
 - iii. Analysis of assault incident reports or accident reports for crashes and injuries due to assaults.
 - iv. Monitoring of assault reports through each contractor's Employee Safety Reporting Program (ESRP)
 - v. Assessment of mental and physical injuries suffered by employees and referral for follow-up health treatments.
 - vi. Mental health counseling as requested or as assessed.
- b. AVTA reporting to FTA:
- i. Follow prescribed reporting requirements issued by FTA.
 - ii. Include assault hazard metrics in AVTA TransTrack reporting system.
 - iii. Identify assaults, types, routes, time, causation information, and driver name in TransTrack system.
 - iv. Safety committees are to continuously identify assaults hazards and develop recommended mitigations for AVTA management (CSO1 or AE)
 - v. Address assaults and data in the annual updating of the AVTA PTASP.

7j. Local Law Enforcement Support

Work closely with local law enforcement, including the Los Angeles Sheriff, City of Lancaster Public Safety, City of Palmdale Code Enforcement, City of Los Angeles Police Department, and other jurisdictions served by AVTA. Activities will include communications, coordination, emergency preparedness and response, training, and drills.



8. SMS PILLAR III. SAFETY ASSURANCE

Safety assurance is a means to demonstrate that agency safety measures and processes are properly applied and continue to achieve their intended mitigation of hazards and safety performance objectives. The primary task of safety assurance is risk control. This is achieved through safety performance monitoring and measurement, where the process by which the safety performance of AVTA is verified in comparison with its mission, safety plan, safety policy and approved safety goals and objectives.

Safety Assurance should not be simply an administrative or compliance exercise. The objective of AVTA safety assurance is to ensure that AVTA and the transit service contractor continuously exercise the safety programs and that their safety programs continue to remain effective even as their delivery system and operating environment may change.

The responsibility for AVTA safety assurance lies with the CSOs, with CSO1 ultimately responsible for system-wide assurance of safety performance.

8a. Safety Performance Monitoring and Measurement

In the delivery of AVTA transit service, the overall safety wellbeing of the system is achieved through safety performance monitoring and measurement. Safety monitoring and regular assessment provide important information for measuring the effectiveness and functioning of other SMS components, i.e. safety policy, safety risk management and safety promotion. AVTA and its contractor may consider various metrics or key performance indicators (KPIs) in establishing safety performance. Section 3 of this PTASP addresses AVTA's safety performance targets for FY 2024-2025 in terms of FTA's required indicators: fatalities, injuries, safety events and system reliability (failures of revenue vehicles to pull-out of the bus yard for service as scheduled).

This PTASP offers other KPIs for both AVTA and its contractor to consider for improving monitoring of safety performance. In Section 7e: of Safety Risk Management, data management and analysis are discussed. The section offers improvements to the accident and incident daily log by including more metrics for effective risk management by the CSOs. Together with insurance carrier loss runs, a more accurate picture of losses and safety happenings can be developed for the safety risk management process.

Such information is of course developed after safety adverse occurrences have taken place, in other words, the data and supporting information are lagging indicators. It is recommended that AVTA and the contractor attain safety performance data through a combination of lagging (reactive) and leading (proactive) indicators that can help the transit system be proactive and predictive (Refer to Exhibit S8-1: Safety Assurance Orientation). Lead indicators measure activities to prevent or reduce the severity of a safety occurrence in the present or future: Examples of leading indicators that may be considered for transit management and operations include the following:

- Number of employees that received SMS Awareness training.
- Number of employees attending monthly safety meetings.
- Number of tailgate safety meetings held.
- Number of new hires receiving full training.
- Safety reviews or audits completed.
- Rate of incomplete pre-trip checks.
- Safety inspections conducted.
- Driver turnover rate.
- PMI backlog

In contrast, leading indicators are lagging indicators. They are reactive to the event. They include:

- Information from accident reporting.
- Accident investigation and root cause analysis.
- Traffic law enforcement (police and highway patrol) reports.
- Insurance claims and loss runs or histories.
- Coaching and retraining.

- Disciplinary and termination actions.
- Rate of employee turnover.
- Breakdown reporting.
- Repairs and replacement.

FTA’s objective for adopting SMS as the approach to improving transit safety is to encourage transit agencies to be more proactive and eventually predictive in approaching potential hazards, developing mitigations, and improving overall safety. Exhibit S8-1 illustrates the desired direction that AVTA should also embrace, i.e., use all available safety and security reporting (including employee safety reporting program), data management, safety committee participation and input, to be more proactive and predictive.

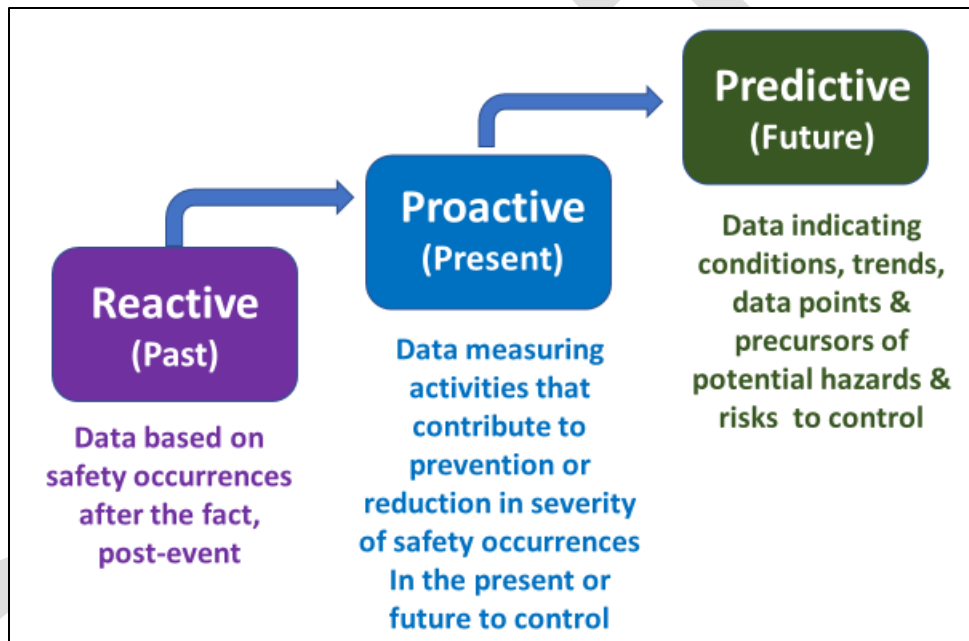


Exhibit S8-1: FTA & AVTA Desired Direction for Safety Performance

8b. Complying with Procedures for Operations and Maintenance

The monitoring of the transit system for compliance with procedures for operations and maintenance is currently performed through AVTA contract administration and management based on the agreement and scope of work between AVTA and its service contractors. Contract oversight, including safety performance, is conducted by several staff positions within AVTA. Those positions responsible for aspects of the current agreement are indicated in Exhibit S5-2 AVTA Organization Chart in Section 5. They include the Senior Director of Operations and Planning (also serving as AE/CSO1), the Contracts and Procurement Officer, the Chief Financial Officer, and the Customer Satisfaction Supervisor.

The SMS activities that will be employed to monitor compliance by the contractor-provided operations and maintenance include:

- The Director of Operations and Planning (DOAP) is the primary administrator that assures compliance with the service contract with the contractors. The operating contract's scope of work, provisions and standards establish the baseline for management, operations, maintenance, and safety-related compliance. Added to these provisions are those required or suggested in the adopted PTASP, including safety oversight by the contractors CSO2 and implementation of SMS on an operational level.
-
- Monthly reporting on contract performance is included in the provisions and scope of work. Safety performance and SMS implementation reporting will be included.
- A regular weekly performance review between the DOAP and the service contractors provides a current review of safety performance, identification of hazards, risks, and mitigation.
- On a monthly basis, the service contractors should review and update the various safety related logs including the following:
 - Employee hazard identification forms.
 - Collision / Incident / Event Report Logs.
 - Pre- and post-trip inspections reports.
 - Vehicle operator defect reports and corresponding maintenance department work orders
 - PMI, repairs, and quality control reports.
 - Road call reports, including system reliability reports, where a vehicle is unable to make pull out for scheduled revenue service.
 - Customer and public safety complaints.
 - Dispatch logs for safety events and breakdowns.
 - Insurance claims, including workers' compensation claims.
 - Employee safety reporting.
 - Close call reporting.
 - Practical drift.
 - Employee turnover rates.
- As listed above, the service contractors should also monitor *practical drift* as applies to varying from established AVTA and contractor operating policies and procedures. Practical drift occurs when an employee gradually diverges from written policies, procedures, and training to the point where the employee's unsuitable behavior or drift becomes his or her norm in carrying out their required tasks.
- The service contractors should periodically audit pre-trip and post-trip inspection reports, defect reports and corresponding maintenance work orders to assure that procedures are being complied with. The audits and supporting observations will provide AVTA and the contractor's senior management and maintenance management with the information needed for achieving the "state-of-good-repair" (SGR) objective of the AVTA Transit Asset Management (TAM) Plan.

- The service contractors should also monitor the interface of PTASP objectives and the TAM Plan and (including state of good repair) and report as may be required by AVTA.
- The Safety Performance Guide for Goals, Objectives, and Outcomes (Appendix B) allows AVTA to organize, monitor and evaluate identified safety goals and objectives/outcomes. Examples provided in this resource outline should be adjusted to AVTA's size and scale of operations. Not all examples will apply. Similarly, metrics should be adjusted depending on preference and/or scale of operations.

8c. Addressing Ineffective Mitigations

AVTA and the contractors will conduct activities to monitor transit operations to identify any implemented safety risk mitigation that may be ineffective, inappropriate, or not implemented as planned or intended. The CSOs will also monitor the status of mitigation action plans. The various safety committees may also be charged with this responsibility.

Monitoring for ineffective mitigation activities and approaches should include:

- Monitoring mitigation performance by the CSOs, including documented observations and recommendations for the systemwide safety committee.
- Monitoring and comparing implemented mitigating approaches against desired performance standards and objectives established during the mitigation's development process.
- Inspection of equipment, tooling, and other similar transit assets against desired standards.
- Monitoring the mitigating approaches for any influence of practical drift from the procedures and standards.
- Documenting performance of the mitigation's performance.
- Monitoring employee feedback on the mitigation's performance and their acceptance of the approach.
- Monitoring customer feedback on the implemented safety mitigation.
- Monitoring accidents, incidents, and insurance claim data due in comparison to the implemented mitigating approach.
- Conducting safety assurance activities to determine if new safety issues were created by the implemented mitigation.

8d. Identifying Causal Factors

Led by the CSOs, AVTA and its contractors will conduct activities to investigate safety occurrences (accidents, incidents, and safety events) for the causal factors leading to the safety occurrence. Each investigative process will include the following questions:

- ***What sequence of events lead to the problem?***
- ***What conditions allowed the problem to occur?***
- ***What other problems surround the occurrence of the central problem?***

Defining the Event

- Review Section 7 above for Exhibit S7-2: Safety Hazard Type Categories and Exhibit S7-3: Safety Risk Management Definition Checklist to categorize an event or identified hazard and to define the event or safety problem.

Collecting Data and Information

- Review accident investigation reports, police reports, witness statements and/or other employee observations, and bus videos involving collisions, on-board incidents, employee workers' compensation claims for injuries, illnesses, or infections.
- Review employee safety reports, close call reports, customer complaints.
- Review supervisory observation, safety reviews, safety audits, safety inspection records.
- Review basic training, coaching, refresher training and personnel records.
- Conduct employee interviews.
- Review applicable maintenance records and maintenance director observations.
- Review records of any customer complaints.
- Review insurance claims with the insurers risk management specialists for identified loss control factors and commonalities with other reported claims.

Identifying Possible Causal Factors

- Reconstruct chain of events and sequence of steps.
- Relook at similar event information for precursors.
- Establish the route, AVL data, related employee observations comments on the route and operating conditions.
- Make site visits and make observations of operational conditions.
- Refer event or problem for review, input, and recommendations from members of the SMS Coordinating Safety Committee.
- Review organizational gaps that could have led to the event or problem (e.g., lack of clarity with, understanding of or conflicts within agency policies & procedures, practical drift, distractions, employee expectations, etc.).

8e. Tracking Safety Consequence Causal Factors

A causal factor is any major unplanned, unintended contributor to an adverse safety occurrence, such as an accident (crash or incident) precursor or condition that if eliminated would have either prevented the related event or reduced its severity or frequency. Causal factors are such things as unsafe conditions or unsafe behaviors, including human error, equipment failure, or failed safeguard that led to an accident or other undesirable consequence.

AVTA and its service contractor will employ methodologies, such as a root cause analysis process to trace the origins of an undesirable consequence. AVTA should request that the contractors utilize the appropriate level of the root cause analysis method to (1) determine what happened; (2) determine why it happened; and (3) determine what to do to reduce the likelihood that it will happen again.

Root Cause Analysis Process for AVTA Safety Occurrences

- Step One: Define the adverse event.
 - What happened, when, where, with whom?

- What were the specific symptoms or precursors of the event or problem?
- Step Two: Collect data.
 - What event reporting and data exists?
 - Has the event occurred before?
 - How long have such events been occurring?
 - What impacts, losses, damages, consequences occurred?
- Step Three: Identify contributing factors.
 - What sequence or chain of events lead to the event(s)?
 - What pre-conditions, precursors, observations occurred just before the event?
 - What other conditions allowed the event or problem to occur?
 - What other problems surround the occurrence of the central problem?
- Step Four: Identify the root causes through root cause analysis procedures (See example below as Exhibit S8-2).
 - Why does the causal factor exist?
 - What employee behaviors and/or operating conditions contributed to the adverse event?
 - What is the root cause of the event or incident that occurred?
- Step Five: Recommend, implement, and monitor the mitigations.

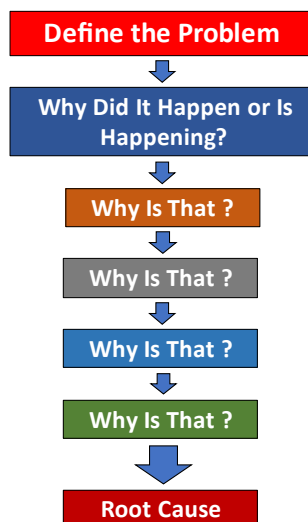


Exhibit S8-2: Five Whys Root Cause Analysis Method

8f. Monitoring Internal Safety Reporting

AVTA and its contractor will monitor safety information reported through internal safety reporting programs within the organizational structure (“chain of commands”) of both entities. Safety reporting from personal observations, inspections, reviews, field audits and complaints coming from AVTA employees will be referred to AVTA’s CSO1. The CSO1 will then follow up with the contractor-side CSOs for discussions and action.

Employee safety reports will be received by the CSOs and routed directly to the contractor's general manager. The articles of the service agreement and scope of work provide for such internal reporting as required by AVTA. The CSOs will confer with CSO1 and coordinate follow-up action if required. Exhibit S5-3: Process Flow for Employee Safety Reporting illustrates this process.

As for the specific employee safety reporting program addressed in Section 6, the intake process is the same using selected methods discussed in the section. Since the program is founded on confidentiality and a non-punitive policy, the monitoring will be between the CSOs, while keeping the Executive Director, AE and contractor's GM informed. Confidentiality will carry over to the SMS Coordinating and Safety Committee. Other monitoring aspects may include the following activities:

- Contractor CSOs review the TransTrack safety data and all safety related reports and logs, while also obtaining employee and other input or details of a safety event.
- Contractor CSOs update the TransTrack safety data and running accident/incident logs and provide updated information to the contractor's location general managers.
- Contractor CSOs report employee injuries and workers compensation data to AVTA.
- AVTA integrates all employee injury and workers' compensation claim data within the TransTrack data system.
- General Managers and/or CSOs provide the CSO1/ Senior Director of Operations & Planning with written monthly reports and monthly performance reviews, including observations of internal safety reporting.
- Service contractor safety committees review select internal reporting information.



9. SMS PILLAR IV. SAFETY PROMOTION

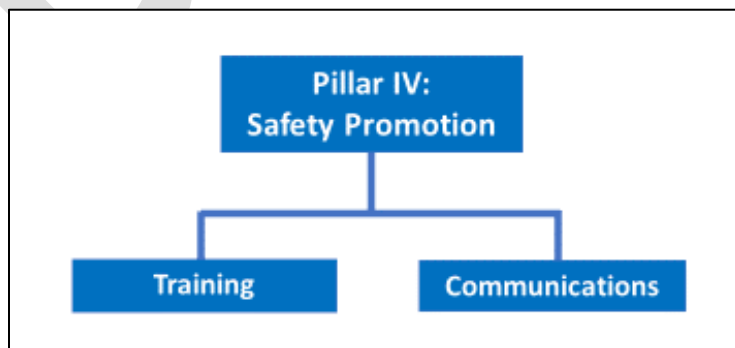


Exhibit S9-1: Safety Promotion Components

SMS Safety Promotions is composed of two (2) elements - training and communications. The later element consists of promotional activities to advance safety awareness, safety plans and activities, and the overall mission of delivering safe and reliable transit service. Examples of safety communications include incentive programs, messaging, recognition, tailgate and toolbox safety briefings, monthly safety meetings, planned management participation in frontline safety events, and established lines of communications among the various operating entities and especially among the CSOs.

9a. Competencies and Training

FTA's selection of SMS as a proven methodology for safety improvement relies heavily upon systematic employee training, customer education, and organizational communications (Exhibit S4-16).

Described below is the overall safety-training program for the service contractor's drivers and field supervisors. While the curriculum focuses on the new-hire topics is upon drivers or vehicle operators, many of the topics are relevant to AVTA administrative and contractor support and maintenance staff. The overall training program ranges from SMS Awareness for all employees to hazard-specific training who have safety oversight responsibilities. Adequate safety training means full competency in safety management.

Required Safety Training for Safety Oversight

The PTASP Final Rule requires that anyone with direct safety oversight of the transit system be qualified to oversee, implement, and manage execution of the PTASP and its SMS. To achieve this objective, both CSOs and others designated with safety oversight responsibilities for the contractors, such as maintenance supervisors and managers, operational and field supervisors, lead dispatchers and trainers, will undertake safety training as described in Section 5f. Safety Training for Key Personnel.

Employee Driver/Vehicle Operator Training

In general, driver or vehicle operator new hire training may include the following topics depending on prior experience:

Organization:

- Introduction to the AVTA and its services
- AVTA service policies and procedures
- Federal and state regulations
- Local authority regulations
- Local traffic enforcement relations (new)
- Creating a drug and alcohol-free workplace
- Preventing harassment
- Discrimination and Title VI
- Fatigue and fit-for-duty management
- Wellness

- Whistleblower policy

Vehicle Operations:

- Professional driving overview
- Introduction to the buses
- Vehicle handling and certifications by vehicle types
- Pre-trip and post-trip inspections
- Defect reports for maintenance
- Defensive driving
- Intersection procedures
- Railroad crossing procedures.
- Following distance
- Turn-maneuvering.
- Mirror adjustments and reference points
- Blind spots
- Backing accident polices and prevention.
- Merging, lane changing and passing.
- Practical drift from policies and procedures (new)
- Hazard identification process
- Accident investigation
- Pedestrian and bicyclist awareness
- J-walking by passengers
- Location special driving and operating conditions
- Dispatcher communications
- Field/road supervision role
- Mobile data terminals
- Map reading and GPS devices.
- Introduction to the ADA and major provisions
- Passenger assistance
- Service animal policies and procedures
- ADA mobility device lifts, ramps, and handling
- Mobility device and passenger securement
- Professional customer service and interface
- Tailgate pre-pull out safety briefings
- Assault awareness and de-escalation training
- Conflict resolution

Fleet Maintenance:

- Cal/OSHA requirements for industrial safety, compliance, and inspections.
- Emergency and safety management overview.
- Facility safety and security inspections
- Facility and surrounding area hazards
- Maintenance shop and bus yard incidents

- Facility structure and infrastructure incidents
- Fire incidents
- Flood incidents
- Hazardous material incidents and storage
- Biohazard spill incidents
- Intentional criminal acts, vandalism, and other property damage
- Industrial accident investigation
- Emergency communication procedures
- Near miss and after-action reporting
- Emergency evacuation operational plans
- Good housekeeping for safety
- Right tools for the job safety
- Toolbox Work Assignment and Safety Meetings
- Vehicle equipment and after-market security devices
- Assault awareness and de-escalation training

General Safety and Security:

- AVTA PTASP overview
- Safety Management Systems (SMS) Awareness
- Job function SMS applications
- Driver responsibilities under SMS
- Hazard identification and reporting process
- Infectious disease risk management
- Vehicle video recording policies and procedures
- Close call reporting
- Employee safety reporting program
- Safety good practices and situational awareness
- Myth of multi-tasking
- Bloodborne pathogens.
- Risks of driver distractions
- Risks of rushing
- Bus stop hazards and risks
- Risks of fare disputes and customer confrontations
- Assaults on transit workers
- Safety event/accident investigation procedures
- Learning from accident and incident reporting
- Importance of safety performance data
- Preserving crash and incident evidence
- Vehicle, facility, and emergency policies and procedures
- Drivers serving as first responders

All Employee SMS Training

Under §5329(d)(1)(H) of the BIL provision for a PTASP, FTA requires that a grantee establish a comprehensive staff training program for bus operating, maintenance personnel, and staff personnel directly responsible for safety of AVTA that includes:

- (1) Approach to the required completion of a safety training program,
 - a. AVTA will continue to use its systemwide orientation and the new hire and refresher training of the service contractors.
 - b. Safety orientation and training programs will be enhanced with SMS Awareness and the elements of AVTA's PTASP.
 - c. CSOs will receive more in-depth training in the framework and principles of SMS and the elements of AVTA 's PTASP, including introduction to the purpose, major elements and select processes of SMS. This training will be the equivalent to TSI's SMS Awareness course.
 - d. Train non-maintenance employees (e.g., office staff and drivers) that will interface with the maintenance area on OSHA requirements, facility safety procedures and industrial operational safety hazards.
 - e. Personnel subject to the enhanced safety training will include:
 - i. AVTA's AE/CSO1, operations analyst, project coordinator, NTD reporting manager.
 - ii. Contractors' bus operators, dispatchers/controllers, maintenance managers and fore-persons, safety training supervisors, road supervisors, and safety data managers.
- (2) As required continuing safety education and training, the AVTA PTASP approach to safety training will include:
 - a. Updates of SMS.
 - b. Updates of the PTASP.
 - c. Other FTA, local, state, and law enforcement changes to laws, regulations, and other requirements affecting transit management and operations.
 - d. Use and maintenance of employed safety technology.
 - e. Changes in the AVTA system, policies, procedures, or contractual scopes of work.
 - f. Changes in guidance for safety and security from outside resources, including but not limited to, FTA, TCRP, APTA, CalACT, Caltrans, NSC, and others.
- (3) As required under provisions for confrontation de-escalation training:
 - a. Through a partnership with the L.A. County Sheriff partnership, training will include confrontation de-escalation, active-shooters response, and property damage.
 - b. Consideration of related sub-topics:
 - i. De-escalation techniques and resources (e.g., be empathetic and non-judgmental, respecting personal space, keeping tone and body language neutral, avoiding overreaction, and setting boundaries).
 - ii. Risk assessment analysis for the confrontation types by service mode, e.g., fare evasion or disputes, enforcement of AVTA's Code of

- Conduct, required wheelchair securement procedures, and addressing homeless riding the local fixed route service.
- iii. Tailoring de-escalation training for specific issues by service mode, i.e., fixed-route, paratransit.



Change Management Training

Any changes to the transit system that require direction, instruction or explanation may generate the requirement for refresher or re-training of transit personnel. Such training may include, but not limited to, procurement of new vehicles; changes to transit policies and/or procedures; application of new or different federal, state, or local regulations; facility or system improvements; transit system design or operations, OSHA, and motor vehicle regulatory enforcements.

In addition, educating customers and other stakeholders affected by system changes will also take place under AVTA's communication efforts.

All Employee De-escalation Training

AVTA will provide assault awareness and de-escalation training for AVTA staff and will require both contractors to provide the same for their employees, including managers, supervisors, office staff, drivers, mechanics, and service workers.

The goal will be to increase use of communication or other techniques during an adverse interaction with customers to stabilize, slow, or reduce the intensity of a potentially violent situation without using physical force, or with a reduction in force.

The training will be documented, and status reports made to CSO1. The safety committees and the AVTA-assigned LA Sheriff officers will participate in the development of the curriculum for systemwide assault awareness and de-escalation training.

9b. Safety Communications

This section describes the processes and activities related to the safety communications to be undertaken by AVTA and the contractor to provide organization-wide, customer and public safety information.

Safety communications involve the flow of information between AVTA and the service contractor organizations. Whether formal or informal, verbal or written, vertical or horizontal, effective communications is the foundation of the safe and smooth functioning of the transit system and interface with stakeholders.

Safety Direction and Safety Performance

The processes and activities to communicate safety and safety performance information throughout the organizations should encompass the following activities:

- Safety management has written updates on safety performance, the mission statement and safety reminders throughout the two entities, whether in electronic memorandums or employee newsletters.
- Safety management recognition of those employees responsible for positive safety performance, including, but not limited to, safety incentive programs, management verbal recognition, safety meeting mention, visual and graphic notifications.
- Executive and safety management of both AVTA and contractors providing verbal recognition of employees (e.g., “*Thank you for your service.*”) along with some safety reminder (e.g., “*Be safe out there.*”) during encounters or when “walking the floor.”
- Leading by example by all management and staff.
- Safety awareness campaigns internally and externally focused on specific hazards, such as slips, trips and falls; running after the bus; illness and pandemic safety; good housekeeping; using the right tools for the job; safety customer service and interface; adjusting and using the bus mirrors (pre-trips); or bus yard safety.
- Collaboration between AVTA and the contractors on strategies to increase employee safety awareness and feedback internally and externally for customers and other stakeholders. Such strategies may include visual, graphic, and audio messaging, as well as employee interface with customers.
- Reviewing existing and amended emergency communication policies and procedures in the event of collisions, incidents, other safety events, medical emergencies, pandemic related adverse situations between the contractor and AVTA and internally within both entities.
- Apply SMS safety assurance methods to continuing contractor proposed and delivered safety messaging and promotions.
- Establish and mobilize a Systemwide Safety Committee involving frontline employees and staff of all three organizations. Include updates to all employees on projects, mitigations of hazards, policy and procedure purposes, safety performance status; and invite employee feedback.
- Promote the employee safety reporting program in various mediums and methods, while assuring confidentiality and non-punitive responses.
- Utilize various safety meeting formats to deliver safety performance information, safety messaging, and training, including monthly safety meetings by AVTA staff and the contractor employees; tailgate safety briefings for drivers prior to pull-out; and maintenance shop pre-shift safety briefings along with work schedules and assignments.

- Review safety hazards and procedures prior to the undertaking of tasks or jobs that may pose risks to the employees as safety reminders.
- Provide facility printed safety signage, safety posters, video playback of digital safety presentations, posted newsletters, OSHA notices and other bulletin board safety memorandums based on a rotational placement plan and marketing principles for effectiveness and motivation.
- Outreach to and build working relations with first responders (fire and police of Lawndale and Palmdale and L.A. County Sheriff Department, especially individuals of traffic enforcement that respond to bus accidents.
- Train drivers to provide oral safety announcements or reminders to boarding and alighting customers (e.g., *“Please watch your step and use handrails.”*).
- The contractors should consider providing safety and security, marketing, messaging and promotions for customer and public safety, such as:
 - Posting of interior advertising bus cards containing safety and security messages.
 - Posting decals or signage as safety reminders within the interior of buses.
 - Promoting safety and security by wearing safety vests while driving or assisting customers.
 - Providing customers with advertising specialties that promote safety and security.
 - Providing infectious disease warning and control signage.

9c. AVTA Operations Committee

AVTA management employs an operations committee to monitor weekly system performance. The Operations Committee consists of the SDOP/AE, AVTA operations analyst and project coordinator, and the general managers of each service contractor and their operations supervisors or other staff as required. The operations committee oversees and directs implementation of SMS features of this safety plan throughout the transit system. Exhibit S9- 2: AVTA Operation and SMS Implementation Coordinating Committee illustrates the structure.

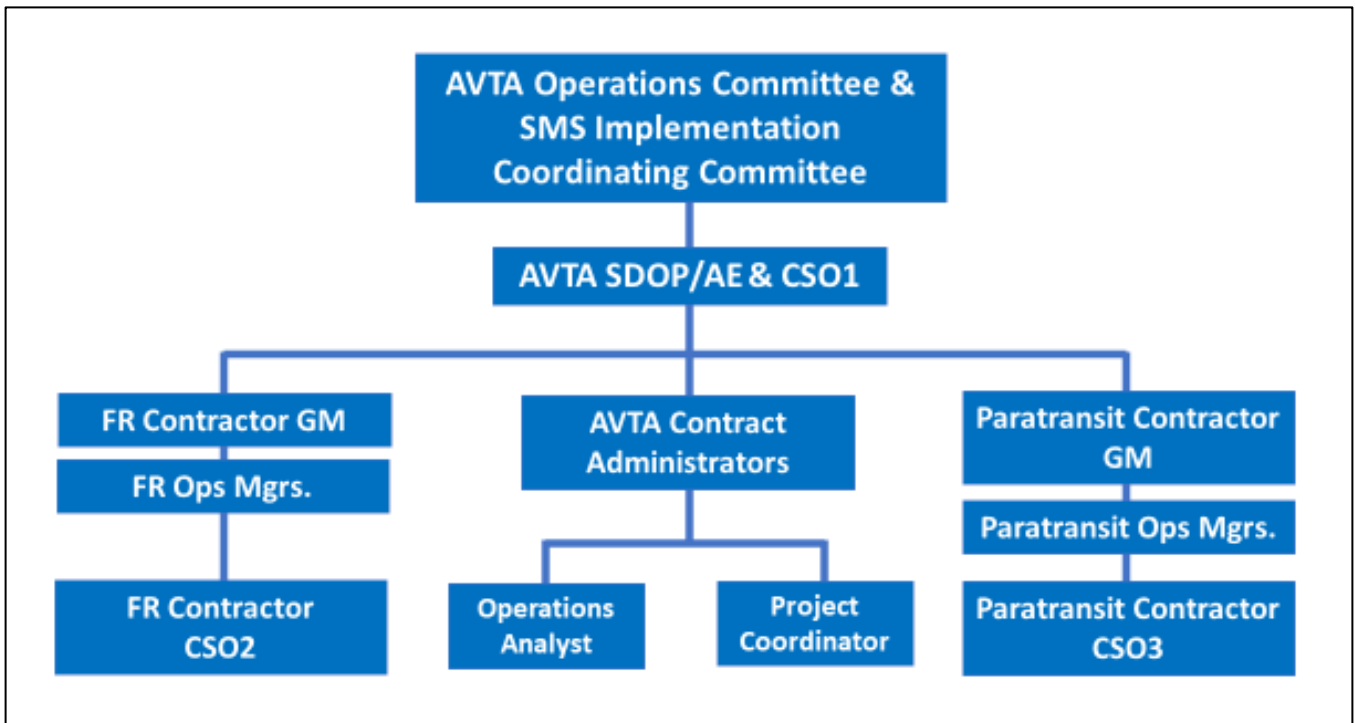


Exhibit S9-2: AVTA Operation & SMS Implementation Coordinating Committee

The responsibilities of the Operation and Implementation Coordinating Committee (Exhibit S9-2) include serving as an advisory group for both AVTA and the service contractor staff and frontline employees. The committee should serve as a technical advisor, reviewer, communication facilitator, and coordinator of planned SMS implementation activities. The SDOP/AE and CSO1 serves as chairperson of the committee.

9d. Systemwide Safety Committees

The systemwide safety committees are organized along modes of service. One safety committee represents fixed route (local fixed route and commuter bus) management and operations. The other systemwide safety committee represents the day-to-day management and operations of paratransit or demand-responsive services. The second committee includes dial-a-ride, non-emergency medical, and micro-transit.

Both safety committees include frontline employees and management. Membership in the fixed route safety committee includes a representative of organized labor.

The basic function of the systemwide safety committees is to encourage and maintain a safe work environment. Both safety committees have a role in fostering a sense of ownership by giving employees an opportunity to directly improve safety and reduce injuries within a company, while enhancing communication between management and employees.

The safety committees will be composed of an equal number of management representatives and frontline employees, where the frontline will reflect the plurality of the contractor labor force, organized labor, and represent operations and maintenance. Refer to Exhibit S9-2.

The duties of the safety committees will include activities of a traditional safety committee plus those required by the BIL, such as:

- Development, review, and recommendations as relates to the PTASP.
- Analyzing accident investigation reports, reviewing follow-ups, and reviewing the safety event's causal factors for the purpose of improving the transit system's overall safety.
- Monitoring FTA's required key indicators of fatalities, injuries, safety events and major mechanical failures leading to or resulting from unsafe conditions, unsafe acts, or gaps in organizational safety management.
- Monitoring other safety performance data indicators within the TransTrack data management system for more comprehensive safety analysis and trending.
- Monitoring and reviewing close calls for valuable risk management information.
- Monitoring safety reports and safety performance data for improved safety management.
- Monitoring epidemic or pandemic threats and developing recommendations for infectious disease risk management for the next wave of coronavirus, influenza, or other zoological-generated diseases.
- Monitor and follow health and disease management guidance provided by the CDC, CDPH, and LACPHD.
- Contributing to the development of annual safety policies, goals, objectives, priorities, and safety performance targets.
- Auditing safety training programs, including delivery of all-employee SMS Awareness, infectious disease risk management, and safety training for maintenance personnel.

9e. Contractor Operational Level Safety Committees

AVTA and its service contractors continuously work to improve safety across all modes of the AVTA transit system and every trip experience of their customers. To further ensure an organization-wide commitment to safety, the PTASP formalizes the AVTA systemwide safety committees to reflect FTA new requirements for frontline employee participation.

As illustrated in Exhibit S9-2, the safety committees are also supported by the individual contractor or departmental safety committees. The company internal safety committees have the capability of recognizing hazards and providing subject matter expertise and function-specific mitigation approaches for both the internal and systemwide safety committee to address. PTASP changes brought about by the Bipartisan Infrastructure Law (BIL) and 49 U.S.C. § 5329(d) are addressed in this safety plan. The BIL requires participation from frontline, labor representatives, maintenance personnel, and others with safety responsibilities on the systemwide and internal contractor safety committees.

AVTA will establish safety committees by service mode (Exhibit S9-1) with links to the contractor internal safety committees as illustrated in Exhibit S9-2. Together, the safety committees will work to review, comment, and provide input on the updated PTASP and on how AVTA approaches public and employee safety.

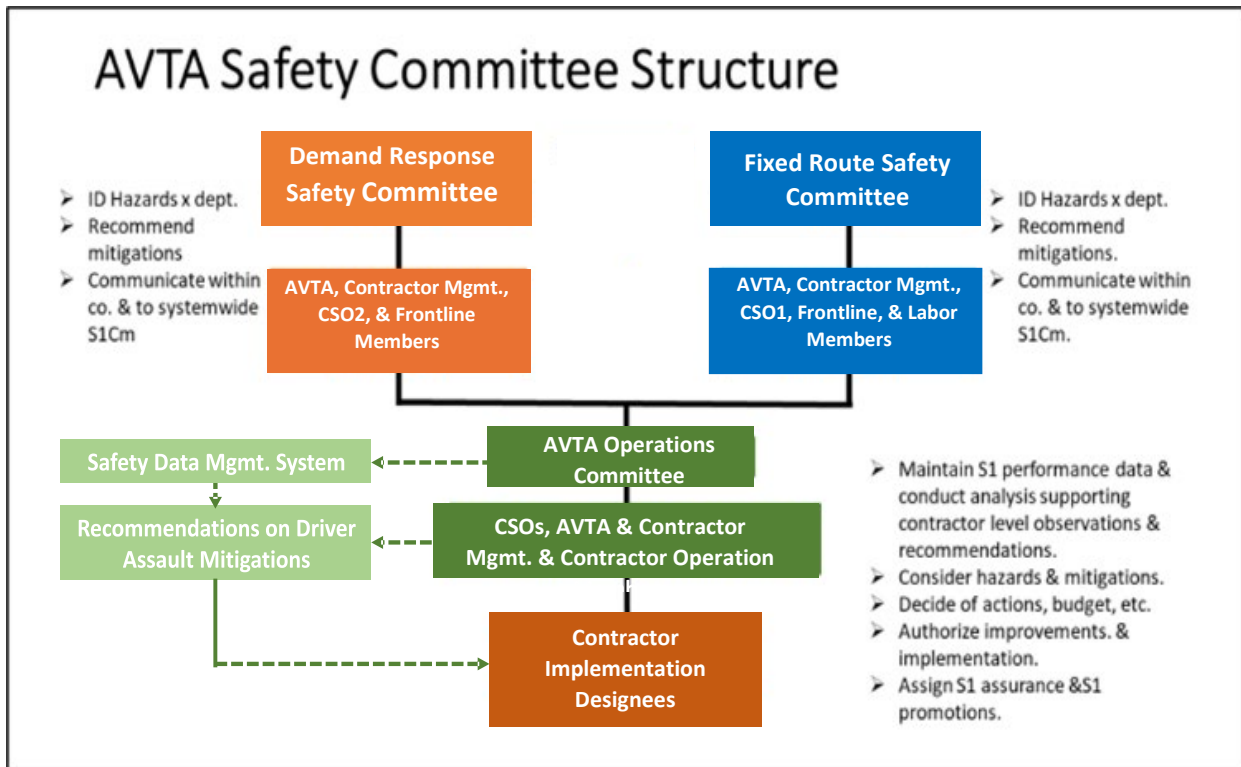


Exhibit S9-3: Contractor Safety Committees & Links to the Operations Committee

9f. Safety Committee Roles and Processes

Exhibits S9-2 and S9-3 illustrate the processes for the contractor safety committees' function relative to the AVTA Operations Committee. AVTA's two service contractors, one for all fixed route services and a second contractor for demand responsive (paratransit) services each have safety committees currently in place. Each of these safety committees will continue to focus on the safety and security of their contracted modes of service. Each of the two contractor committees have members representing both frontline, maintenance, and management employees, including vehicle operators, mechanics, and administrative support personnel, e.g., dispatchers or customer service depending on their agenda items.

The safety committee structure relies on the identification and mitigation of hazards or safety concerns on the operational service level that are mode specific. The recommended structure also allows initial frontline employees to consider and provide input on any identified safety hazard specific to their duties, responsibilities, and workspace.

As illustrated in Exhibit S9-3 above, the process' general phases are as follows:

- 1) Utilization of established contractor or mode-specific safety committees:
 - a. With operation & maintenance participation, frontline employees bring the perspective of street level safety to one of two contractor safety committees which are again modal specific.
 - b. Safety risk management process is employed from committee's perspective

- c. Identification of safety concerns come before the internal safety committees through:
 - i. Employee safety reporting program by contractor
 - ii. Hazard identification process by contractor & mode
 - iii. Customer safety complaints by contractor & mode
 - iv. Safety data analysis: accident reports, root cause analysis, risk assessments, trend analysis
 - v. PTASP planning process at contractor level & mode
 - vi. Safety meeting feedback
 - vii. Recruitment, screening, hiring phase
 - viii. Training
 - ix. Other
- 2) CSO2&3 role:
 - a. The CSO for each of the contractor's chairs of their safety committee, facilitate discussions, and synthesize the safety concerns for a report to be forwarded to CSO1.
 - b. They also guide the committee to establish the goals and objectives, policy and procedure parameters, and loss control options for the concern being addressed.
 - c. CSO2&3 receive process support from AVTA contract administrators.
- 3) CSO1:
 - a. Staff conducts investigations and fact finding with safety data analysis, risk assessment, formal reporting for full Operations Committee consideration.
 - b. CSO1 or delegated staff refer safety concerns from contractors' safety committees to AVTA Operations Committee, where concerns, recommendation, and risk severity are considered, addressed, and moved towards mitigation.
 - c. Operations committee conducts safety risk management for mitigation development process & mitigation plan, where internal safety committees participate in developing and planning implementing mitigations (operations, maintenance, organizational, technology, and other mitigations)
 - d. OC Monitors progress
 - e. Refer to CSOs for planning, & implementation, communications, and training.
- 4) Management Operations Committee.
- 5) Safety Risk Management:
 - a. Risk reduction program – loss control.
 - b. Internal safety committee participation – casual factors, conditions, behaviors.
 - c. Root causes examination.
 - d. Options for mitigation or correction considered.
 - e. Other functions:
 - i. Hazard identification. This is the process of examining each work area and work task for the purpose of identifying all the hazards which are "inherent in the job".
 - ii. Risk identification.
 - iii. Risk assessment.
 - iv. Risk control.
 - v. Documenting the process.

- vi. Monitoring and reviewing.
 - f. Mitigation authorization
- 6) Contractor implementation
- a. CSO2&3 responsibility to implement.
 - b. Monitor and ensure mitigation performance.
 - c. Measure internal safety committee satisfaction.
 - d. Training of employees and supervisors

9g. Employee Safety Briefings and Meetings

The service contractors will continue conducting monthly safety training meetings for frontline employees as required in their agreement with AVTA. Contractors will also conduct periodic safety tailgate meetings prior to pullouts. AVTA staff should also hold scheduled safety meetings with management and administrative staff, especially regarding training for building evacuation, fire, workplace violence, field activities, operating facility and maintenance area safety, OSHA requirements, health and illness safety and leading by example in terms of contractor employees, vendors, and suppliers. The safety meetings will also serve to communicate safety performance and data, current safety activities and campaigns and any refresher or change management training.

In terms of visitors doing business at the AVTA facilities, such as regular outside services (parts delivery, suppliers, equipment serving, and machinery repairs) and building contractors, etc. should receive a safety briefing on AVTA safety policies and procedures as a part of coming onto the AVTA facility and their ongoing services.

In addition to the monthly safety training meetings, the contractors should consider employing 5-minute periodic “tailgate meetings” with drivers prior to pullout. The tailgate meetings serve as quick safety briefings or bus talks prior to departure from the bus yard and the opportunity refresh safety awareness. The topics may include any aspect of operational conditions for the day, previous close calls and policies and procedures as reminders. Each attendee signs the attendance sheet to indicate receipt of the briefing and acknowledgment of their understanding of the topic and as a reinforcement of safety awareness. The safety briefings should always end with a safety reminder or tip.

In terms of the maintenance shop, a technique for reminding employee’s safety first is by “toolbox meetings.” Again, these briefings are short and incorporated into the regular morning or shift pre-work assignment briefings. They may include the work assignments per technician, reviews of earlier safety events and task-related safety issues. As in the case of the drivers, the sessions always end with a safety reminder and acknowledgment of receipt of the message.

10. SAFETY CULTURE

The goal of FTA is to facilitate the development of a strong and effective safety culture within each transit agency by adopting and implementing SMS – its desired method of improving safety within public transportation. A safety culture is the result of combined individual and group efforts toward common values for workplace safety and a group safety-positive attitude

towards the agency's safety goals and the proficiency of the same agency's approach to safety.

10a. Safety Culture Concept

A safety culture is the collection of the beliefs, perceptions, and values that employees share in relation to risks within an organization. In creating a safety culture, all levels of management are highly regarded on how they act toward employees and on a day-to-day basis.



Exhibit S10-1: Elements of An Effective Safety Culture

10b. Interdependence Between Safety Culture and SMS

This PTASP and the adoption of SMS are effective tools for AVTA and its service contractors to strengthen and sustain its existing culture for safe and reliable transit service within Antelope Valley and Los Angeles County. Exhibit S10-1: SMS-Safety Culture Symbiotic Relationship illustrates the interdependency of an agency's implementation and ongoing strengthening of SMS and the existing and potential its safety culture. To consider and adopt SMS, there needs to be the ability to recognize, adopt and implement the approach, i.e., a value for safety and a sense of the important role the tool can serve. In other words, the agency must have an appropriate level of a positive safety culture to desire, adopt and employ SMS – even if required by the PTASP rule. On the other side of Exhibit S10-1, safety culture is further strengthened using SMS to the extent that the individual and work group safety cultures – their personal value for safety, their beliefs in workplace safety, their ability to prioritize safety first in work tasks, their attitudes positively supporting safety and to collaborate and cooperate in assuring a safer workplace. This all leads to a strong commitment to safety and to the group's safety culture.

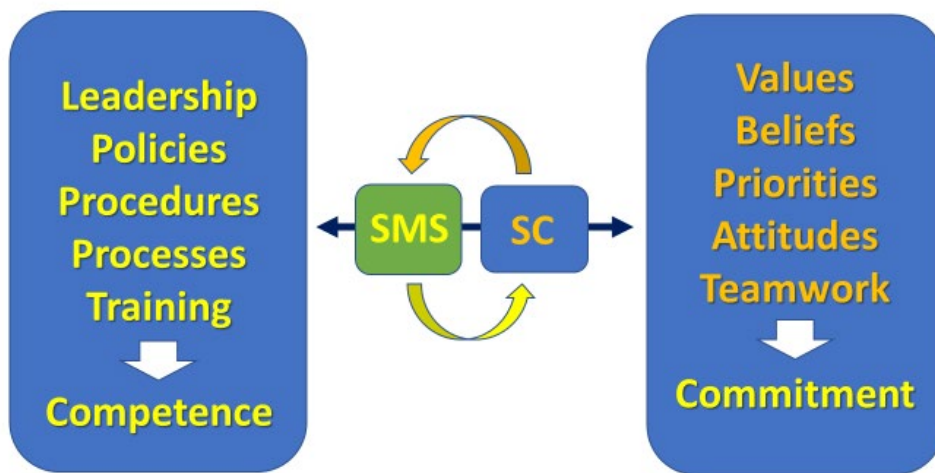


Exhibit S10-2: SMS-Safety Culture Symbiotic Relationship

10c. Major Safety Culture Characteristics

Four basic characteristics of a strong, sustainable, and effective safety culture for the AVTA transit system are the following:

- Everyone is empowered and expected to stop and question or report when things just do not seem right.



- Everyone is constantly aware of the risks inherent in what AVTA does and how it does it.
- Learning and continuous improvement are true values among all at AVTA.
- Teamwork is a requirement to work at AVTA.

If adopted, an implemented and fully utilized PTASP and SMS will facilitate the development of a stronger and more sustainable safety culture within AVTA.

10d. Employee Safety Culture Survey

Appendix K: Safety Culture Self-Assessment provides a tool to perform a self-assessment of the current safety culture of the overall transit agency, the AVTA management level and/or the contractor level. Organizations with strong safety cultures experience fewer workplace accidents (e.g., collisions and incidents), and vice versa. But how does AVTA know how robust its current safety culture is on a system-wide basis or within each component? Appendix K can be used to assess the situation and answer the preceding question.

11. MANAGEMENT OF CHANGE

Public transit is an industry, which is continuously subject to socio-economic and other forces of change. Public transit encounters a regular wave of changes, including available funding, laws and regulatory requirements, demographics, ridership, technology, labor and health and safety threats.

While not a required safety plan element for Tier II transit operators, Section 11: Management of Change has been included as a strategic consideration for safety planning, continuous safety management, and training. The purpose of this section of the PTASP is for AVTA to recognize that any change to the transit system can bring about an array of new safety hazards and the need to mitigate them. Management of change is also addressed from the standpoint of a need for collaboration and cooperation to address changes among the internal transit functional areas, stakeholders, labor, and the jurisdictions being served and between AVTA and the contractors.

Changes to the AVTA system can include the following examples:

- A change in service contractors, scopes of work, terms, and new labor agreements.
- A change in technologies for management and operations
- Infectious diseases and pandemics
- Major regional natural and man-made emergencies
- New service approaches, system design changes, new facility improvements.
- Changes in policies and procedures.

12. CONTINUOUS IMPROVEMENT

While not a requirement for AVTA as a Tier II transit operator, developing and maintaining a philosophy for continuous improvement is important. Continuous improvement is an ongoing effort to improve services and processes. Regarding workplace processes, a continuous improvement strategy is any policy or procedure that helps keep the focus on improving the way things are done on a regular basis. This could be through regular incremental improvements or by focusing on achieving larger process improvements. An example of continuous improvement is improving the immediate quality of safety management and developing safety initiatives that contribute to strengthening the safety culture of the contractors.

A safety plan does not assure a completely safe and secure transit system. Even with the implementation of all its recommended actions, including SMS, a safety plan is only the beginning. As part of continuous improvement, AVTA should develop and carry out action plans that address any identified safety deficiencies. To do this, AVTA can make use of the six (6) steps of the continuous improvement:

- (1) Continuously work to identify Improvement opportunities throughout the organization and the various processes used and select a challenge or problem to address.

- (2) Select and focus on the appropriate process for improvement (employee input, SMS Coordinating Committee identified issue, reoccurring issue, review of operational options related to attaining safety performance targets, etc.).
- 3) Plan for the future by considering system and operating condition changes or influences (e.g., COVID-19 pandemic surges, new infectious disease threats (e.g., monkeypox), industry adopted good practices or pending legislative compliance requirements).
- (4) Conduct an analysis of the issues, casual factors and root cause and develop options for improving safety or mitigating a particular safety issue. Continuously improving mitigations through the safety assurance process.
- (5) Act by planning to implement improvements or mitigating measures to correct the root cause (e.g., providing masks or face covering to riders while riding).
- (6) Study the results by ensuring that the actions are taken to achieve their intended results.



“Persistence, perseverance, and continuous improvement are the ingredients for forming a successful organization.”

13. TAM PLAN & STATE OF GOOD REPAIR

In accordance with AVTA’s Transit Asset Management (TAM) Plan, as required under 49 C.F.R. Part 625, AVTA should consider the results of its asset (revenue vehicles, equipment, and facilities) condition assessments while performing safety risk management and safety assurance activities. The safety risk management and safety assurance activities include safety inspections, observations, reviews, audits, routine monitoring, and maintenance quality control. The results of the condition assessments, and subsequent SMS analysis work to inform AVTA and its contractors of TAM Plan elements, specifically investment processes and agency priorities. The Accountable Executive has the ultimate responsibility for decision-making throughout this process.

Refer to AVTA Transit Asset Management Plan, which is incorporated into this PTASP.

14. DOCUMENTATION AND RECORDKEEPING

Under Part 673, AVTA is required to maintain documents that describe its Safety Plan, including those related to implementation and results from processes and activities. AVTA may have existing documentation that describes processes, procedures, and other information required in the final PTASP rule, in agency and/or contractor documents, such as emergency plans, operational and service manuals, service contracts and their scopes of work, employee handbooks, the collective bargaining agreement (CBA), etc. AVTA has broadly referred to these documents in its PTASP by specifying the document names and locations within the appropriate sections of the plan.

Documentation on the implementation of SMS must be retained and stored. The documents include such items as those actions that required the appropriate authority under the AE or those in the form of Board resolutions, directives, and minutes with the Clerk of the Board. The purpose of this requirement is to provide continuity in the phased implementation of AVTA SMS and for request from FTA.

15. RECOMMENDED SAFETY ACTIONS FOR FY 2024 - 2025

15a. SMS Implementation

Implementation of AVTA SMS on the day-to-day management and operation level will be performed by each service contractor. Implementation will be directed by the contractors' CSO2s who will coordinate, collaborate, and take direction where required from AVTA's CSO1. The Operations/SMS Implementation Coordinating (chaired by CSO1) will also provide review, direction, and recommendations.

CSO2 & 3 implementation tasks include carrying out selected strategies, activities, projects and programs that specifically execute the adopted PTASP and adopted method. To provide effective implementation, it is recommended that the SMS Implementation Coordinating Committee develop an implementation plan on a year one basis and a multi-year basis.

The following are recommended actions following the adoption of this safety plan:

- Start identifying SMS implementation roles and responsibilities for the appropriate staff from both AVTA management and contractor staff.
- Have senior management from both AVTA and the contractor designate key staff who will support SMS implementation.
- Ensure that key staff receive SMS training, including SMS Awareness and SMS Principles and Framework.
- Develop an SMS implementation plan and communicate it throughout both organizations.
- Brief the AVTA Board of Directors on the SMS process and core of the AVTA PTASP (during consideration of adoption of the PTASP or after in greater detail during board workshops).
- Brief also the oversight entities (i.e., LA Metro, SCAG, and the Cities of Lancaster and Palmdale) on the SMS process and AVTA's PTASP.

15b. SMS Implementation Plan

Refer also to APPENDIX J: PTASP Adopted for FY 2023-2024 Recommended Action List

Implementation and complete institutionalization of SMS within the AVTA transit system is a multi-year process that is best achieved through phases. As a first step, it is recommended that AVTA and the contractor collaborate and develop an implementation plan for incorporating SMS into contract oversight and day-to-day management and operations of AVTA's transit system. By establishing priorities, the SMS implementation plan (SMSIP) serves as a roadmap for integration of SMS into the transit system and its safety culture. The SMSIP demonstrates where AVTA is now, where it aims to go, and what steps are needed to be taken to achieve the goal. Not only does the plan provide a roadmap to success for AVTA, but it also makes progress measurable. The AVTA SMSIP will facilitate the work of the Operations and SMS Coordinating Committee.

Elements of the SMSIP should include:

- Acceptance and commitment to the Safety Management Policy by key individuals involved in implementation.
- Review and prioritization of recommendations from the PTASP and how they establish key individual roles and responsibilities within SMS.
- Within the structured authorities of contract management and contractor operations (Exhibit S15-1), assigning responsibility for incorporating current or adapted safety activities and the implementation of new safety activities among key individuals.
- Direct lines of communication on safety and SMS matters among key individuals so that collaboration and cooperation are promoted.
- Conducting a gap analysis between existing and contracted SMS elements and PTASP identified elements along the proposed activities or programs for safety policy, safety risk management, safety assurance and safety promotion.
- Reviewing and assuring the effectiveness of established policies and procedures related to safety, including consistency between AVTA and the contractor.
- Communicating safety matters to all employees and seeking employee involvement and input in making safety the priority.
- Development individual action plans for required or recommended elements of PTASP and SMS, including, but not limited to:
 - Establishing an FTA compliant employee safety reporting system.
 - Integrating safety related aspects of AVTA's TAM Plan with those of the PTASP (e.g., state of good repair and system reliability).
 - Revising existing employee training that incorporates SMS awareness.
 - Undertaking required safety management training by the CSOs.
 - Benchmarking the system and facility safety through periodic assessments.
 - Enhancing Transtrack reporting system to include sufficient safety performance data to meet effective data-driven safety decision making.
 - Developing a pandemic risk management plan for the FY 2024-2025.
 - Establishing a formal hazard identification and mitigation development process.
 - Assessing the transit system's current safety culture and identifying those safety cultural characteristics that need improvement or refinement.

- Identifying budget needs for SMS implementation and enhanced safety activities in the AVTA annual budgeting and contract process.
- Linking the TAM Plan adopted by AVTA and the development of a possible pandemic risk management plan with this PTASP.
- Enhance greater community stewardship of the transit system by developing a transit ambassador program that provides staff presence at AVTA facilities and on AVTA vehicles.
- Empower all safety committees to review AVTA's Customer Code of Conduct.
- Develop and implement an FTA-compliant Risk Reduction Program (RRP). A RRP is a safety risk management strategy consisting of risk assessment analysis and development and implementation of hazard or threat mitigations and corrective actions, which are interventions to improve transit system safety and security.

15c. SMS Implementation Organizational Linkages

Again, the SMS implementation structure is illustrated by Exhibit S15-1. The roles, duties, and responsibilities of key positions within the implementation structure are discussed in Section 5: SMS Pillar II. Safety Management Policy. The major and illustrated structural relationships for the implementation of SMS include:

- 1 The AE/CSO1 also serves as the Senior Director of Operations and Planning for AVTA and has oversight and immediate responsibility for the contractor's overall operating performance through the contractors' general manager.
- 2 The Purchasing and Contracts Officer is also linked to the contractor by virtue of the service agreement oversight and any adjustments to the scope of work related to implementation of the PTASP and SMS.
- 3 As AE/CSO1, the Sr. Director of Operations and Planning (SDOP) is related to the contractor's GMs and CSOs in terms of putting into effect the PTASP and implementing SMS. CSO2&3 are the project managers for SMS implementation at the operational level, which includes developing and implementing action plans for aspects of SMS that are listed above and in Appendix J.
- 4 The AE/CSO1 serves as the chairperson of the system-wide SMS Implementation Coordinating Committee, which advises on SMS implementation matters and overall safety issues, including training. For this PTASP, all SMS components, safety performance, security, and related policies and procedures could be considered by this committee. Accident investigation and reviews, classification of an accident as preventable or non-preventable, discipline, and appeals remain as the contractor's responsibility.
- 5 If not already a member of any AVTA safety committee, it is recommended that a member of a local traffic law enforcement or the AVTA-assigned L.A. County Sheriff Officer have a seat on the committee as a SME.
- 6 Generally, representatives on the committee include the various functional areas of the transit system.
- 7 Internal safety committees of the contractors are chaired by their company CSO and provide input and receive feedback from the SMS Implementation Coordinating Committee for dissemination of information within the operations.

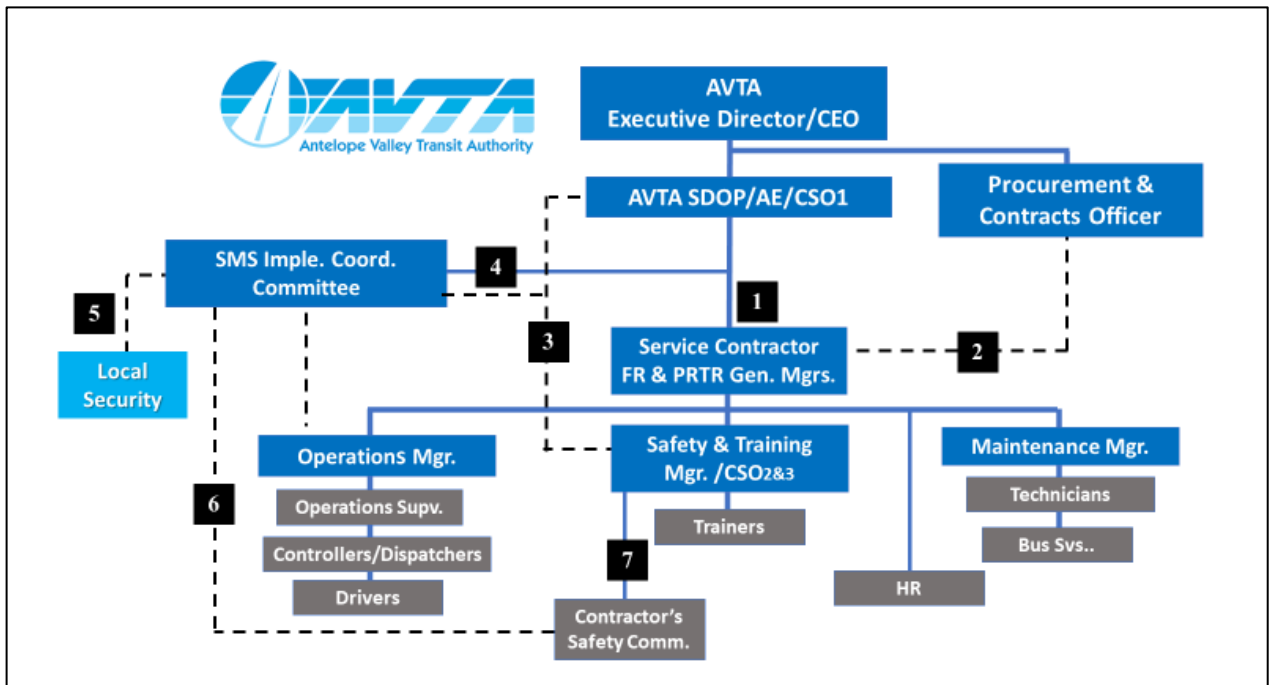


Exhibit S15-1: SMS Implementation Linkages

16. ADDITIONAL INFORMATION

16.a. Supporting Documentation

Include or reference documentation used to implement and carry out the Safety Plan that are not included elsewhere in this Plan.

1. AVTA System Security and Emergency Preparedness Plan.
2. AVTA infectious disease & pandemic polices & procedures.
3. AVTA TAM Plan
4. AVTA Cal/OSHA Injury and Illness Prevention Plan (IIPP)
5. Service contractor agreements and amendments, scopes of work, proposed safety programs adjusted for compliance with AVTA PTASP and/or SMS, emergency plans, policies and procedures handbooks, employee handbooks, labor-management CBAs, infectious disease or pandemic company polices & procedures, and codes of business conduct.

17. DEFINITIONS OF SPECIAL TERMS USED IN THE AVTA SAFETY PLAN

17.a. Term	Definition
Cal/OSHA	The California Occupational Safety and Health Administration, a state regulatory department for workplace health and safety.
Commuter Bus	Fixed-route bus systems that primarily connect outlying areas with a central city and operate at least five miles of continuous closed-door service. This service may operate motor coaches (aka over-the-road

	buses), and usually feature peak time scheduling and limited stops in the destined central city.
Coronavirus/COVID-19	2020 global infectious virus pandemic
COVID-19 wave	Recurrence of coronavirus pandemic after Winter 2020
CSO1	Chief Safety Officer for AVTA
CSO2	Chief Safety Officer for the fixed route contractor
CSO3	Chief Safety Officer for the paratransit contractor
Demand-Response, Dial-A-Ride, Microtransit, Non-Emergency Medical Transportation (NEMT)	Point-to-point transit service where service typically is provided upon request and/or reservation, when boarding and alighting locations are arranged – AVTA paratransit service modes.
Fixed-Route Bus	AVTA local, express, and/or rapid bus service that follows a fixed route and typically also a fixed schedule, including the AVTA Transporter, Lancaster and Palmdale local fixed route, and commuter bus. Passengers typically board and alight at fixed stops.
Pandemic	Global outbreak of infectious disease, i.e., COVID-19/Coronavirus
Paratransit	Non-fixed-route transit services of AVTA, including Dial-A-Ride, Microtransit, Non-Emergency Medical Transportation.
Part 673	The Public Transportation Agency Safety Plan (PTASP) final rule (49 C.F.R. Part 673)
Practical Drift	The slow uncoupling of practice from written policies and procedures. Practical drift usually occurs to fit the needs of the individual, e.g., taking short cuts in procedures or not conducting work as prescribed by training. In the absence of oversight, the needs of the individual will eventually trump the needs of the organization, process, or customers.
Risk Reduction Program	A safety risk management strategy consisting of risk assessment analysis, development and implementation of hazard or threat mitigations and corrective actions, which are interventions to improve transit system safety and security.
TrAMS	FTA's Transit Award Management System – grant management system
Transporter	AVTA commuter route between Antelope Valley and the City of Santa Clarita and their transit system.

TransTrack	AVTA’s transit performance data management system, formerly known as TransTrack Transit Performance Manager.
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LIST OF ACRONYMS USED IN THE AVTA SAFETY PLAN

17.b Acronym	Word or Phrase
AE	Accountable Executive for the PTASP
APTA	American Public Transportation Association
ASP	Agency Safety Plan
AVTA	Antelope Valley Transit Authority
CalACT	California Association for Coordinated Transportation
Caltrans	California Department of Transportation
CBA	Collective Bargaining Agreement
CDC	Centers for Disease Control and Prevention
CDPH	California Department of Public Health
CEO	Chief Executive Officer
COO	Chief Operating Officer
COVID-19	Name of the disease caused by the new coronavirus that is called SARS-CoV-2, or sometimes just “novel coronavirus”. Here: same as Coronavirus.
CSO1	Chief Safety Officer of AVTA On the Agency Management Level
CSO2	Chief Safety Officer of the Fixed Route Service Contractor on the Operations Level
CSO3	Chief Safety Officer of the Paratransit Service Contractor on the Operations Level
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
IIPP	Cal/OSHA-required Illness and Prevention Plan
JPA	Joint Powers Authority

LA Metro	Los Angeles County Metropolitan Transportation Authority
LACPHD	Los Angeles County Public Health Department
MCI	Motor Coach Industries – a bus manufacturer
MPO	Metropolitan Planning Organization
NCHRP	National Cooperative Highway Research Program
NEMT	Non-Emergency Medical Transportation
NPTSP	National Public Transportation Safety Plan
NSC	National Safety Council
NTD	National Transit Database
PMT	Passenger Miles
PRMP	Pandemic Risk Management Plan
PRTR	Paratransit
PTASP	Public Transportation Agency Safety Plan
RRP	Risk Reduction Program
SCAG	Southern California Association of Governments
SDOP	Senior Director of Operations and Planning
SMPS	Safety Management Policy Statement
SME	Subject Matter Expert
SMS	Safety Management Systems
SPT	Safety Performance Target
TCRP	Transit Cooperative Research Project
TSI	Transportation Safety Institute
UPT	Unlinked Passenger Trips
VRM	Vehicle Revenue Miles
VRH	Vehicle Revenue Hours



AVTA PTASP Appendices

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PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

Appendix A

PTASP Accountable Executive Certification Checklist for Executive Director & CEO

AVTA AE Checklist for Bus Transit

AVTA has adopted FTA's PTASP Checklist for Bus Transit to assure that the minimum requirements for a PTASP (49 CFR Part 673) have been met and that the AE can notify FTA of the agency's compliance.

Accountable Executive: Esteban Rodriguez, Senior Director of Operations and Planning

Agency: Antelope Valley Transit Authority (AVTA)

Location: Lancaster, CA - Antelope Valley

Due Date: June 25, 2024

FTA Requirements

The Federal Transit Administration (FTA) provided the Public Transportation Agency Safety Plan (PTASP) Checklist for Bus Transit to assist with the development of Agency Safety Plans (ASP) for bus transit modes. Use of this checklist was voluntary. The checklist is intended for use by States and operators of public transportation systems that are required to draft an ASP in accordance with 49 CFR Part 673.

The PTASP rule requires each transit operator to certify compliance with the safety plan requirements through its annual Certifications and Assurances to FTA. FTA will use its existing Certifications and Assurances process for this effort. FTA intends to use its triennial oversight review programs to assess compliance with the requirements of the rule.

FTA is committed to helping the transit industry comply with this rule and will continue its outreach, including providing webinars, guidance, and technical assistance. Beginning July 20, 2020, transit operators must certify compliance with the PTASP rule requirements to be eligible to receive Federal transit funds. Failure to comply with a requirement of the rule subjects a grantee to a range of FTA enforcement options depending upon the circumstances, including a transit operator being ineligible to receive FTA grant funds until the operator satisfies the requirements of the rule

The Agency Safety Plan (PTASP) specifies and/or describes the following elements as required by 49 CFR Part 673 (Part 673), which AVTA certifies that it has completed:

- 1. Bipartisan Infrastructure Law (BIL) Requirements for PTASP** (Amendment of February 17, 2022)
 - Exposure to Infectious Diseases - *Each transit agency should consider identifying mitigations or strategies related to exposure to infectious diseases through the safety risk management process described in the agency's PTASP.*
 - Risk reduction program element.
 - Safety training to include maintenance personnel.

- Safety committees to include frontline employees and representatives of labor.

2. Transit Agency Information

- Name and address of the transit agency adopting the Agency Safety Plan.
- Modes of transit service covered by the Agency Safety Plan.
- Modes of service provided by the transit agency (directly operated or contracted service).
- FTA funding types. (e.g., 5307, 5337, 5339)
- Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).
- An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).
- A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)
 - CS with Agency
 - CSO with contractors

3. Plan Development, Approval, and Updates

- Name of the entity that drafted the Agency Safety Plan.
- The Accountable Executive's signature on the Agency Safety Plan and date of signature. Executed Date: June 25, 2024
- The Board of Directors or Equivalent Authority's approval of the Agency Safety Plan and date of approval. Board Adoption Date: June 25, 2024
- Certification of compliance with Part 673, including the name of the individual or entity that certifies the Agency Safety Plan and date of certification. Certification Date: June 25, 2024
- Process and timeline for conducting an annual review and update of the Agency Safety Plan, including the Agency Safety Plan version number and other relevant information.
- The Agency Safety Plan addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan

4. Safety Performance Targets

- Fatalities: Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.
- Injuries: Total number of reportable injuries and rate per total vehicle revenue miles, by mode.

- Safety Events: Total number of reportable events and rate per total vehicle revenue miles by mode.
- System Reliability: Mean (or average) distance between major mechanical failures, by mode.
- Performance targets are made available to the State to aid in the planning process. - N/A
 - Agency notified State DOT opting-out of State's role in developing a plan for Agency.
- Performance targets are made available to the Metropolitan Planning Organization(s) (MPOs) to aid in the planning process, i.e., the Southern California Association of Governments (SCAG). Board Adoption Date: June 25, 2024
- Coordination with the State and MPO(s) in the selection of State and MPO safety performance targets, to the maximum extent practicable. Board Adoption Date: June 25, 2024

5. Safety Management Policy

- Written statement of Safety Management Policy (SMP), including the agency's safety objectives, i.e., the AVTA Safety Management Policy Statement (SMPS), PTASP Section 5, Element 5a.
- Employee safety reporting program, that includes:
 - A process that allows employees to report safety conditions to senior management of AVTA and of each contractor.
 - Protections for all AVTA and contractor employees who report safety conditions to senior management.
 - A description of employee behaviors that may result in disciplinary action, and therefore are excluded from protection.
- Communication of the safety management policy throughout the agency's organization, including AVTA and its contractors.
- Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's Safety Management System (SMS), for the following individuals:
 - The Accountable Executive
 - The Chief Safety Officer or SMS Executive
 - Agency leadership and executive management
 - Key staff

6. Safety Risk Management

- ☒ Safety hazard identification: Methods or processes to identify hazards and consequences of hazards, which includes data and information provided by an oversight authority and the FTA as sources for hazard identification.
- ☒ Safety risk assessment: Methods or processes to assess the safety risks associated with identified safety hazards. This must include assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.
- ☒ Safety risk mitigation: Methods or processes to identify mitigations or strategies necessary because of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards.
- ☒ Risk reduction program: Methods or processes that include the identification and prioritization of risks, threats and hazards followed by the implementation and evaluation of strategies to lessen their impact.

7. Safety Assurance

- ☒ Activities to monitor the transit agency's system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance. (Safety performance monitoring and measurement)
- ☒ Activities to monitor the transit agency's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. (Safety performance monitoring and measurement)
- ☒ Activities to conduct investigations of safety events, including the identification of causal factors. (Safety performance monitoring and measurement)
- ☒ Activities to monitor information reported through any internal safety reporting programs. (Safety performance monitoring and measurement)
- ☒ Management of change: A process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. These proposed changes must be evaluated through the agency's Safety Risk Management process.
- ☒ Continuous improvement: A process to assess the transit agency's safety performance. If the agency identifies safety deficiencies as part of its safety performance assessment, the agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies.

8. Safety Promotion

- ☒ A comprehensive safety training program for all transit agency employees and contractors designated as responsible for safety in the agency's public transportation system. This

program must include refresher training, as necessary. In addition, this program must also provide safety training for all maintenance personnel.

- Communication of safety and safety performance information throughout the transit agency's organization that conveys, at a minimum:
 - Information on hazards and safety risks relevant to employees' roles and responsibilities; and
 - Safety actions taken in response to reports submitted through an employee safety-reporting program.

9. Compliance with BIL New PTASP Requirements

- Implement safety committees by mode with frontline members and have this committee review, comment, and recommend additional elements for consideration in the updated FY 2024-2025 PTASP.
- After SCC action and Board consideration of any changes, certify to FTA that FY 2024-2025 PTASP is compliant with the PTASP regulation (49 CFR Part 673) on or before December 31, 2022.
- Provide for infectious disease strategies in FY 2024-2025 PTASP to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions, and consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority, minimize exposure to infectious diseases.
- Plan to establish a risk reduction program in the FY 2024-2025 PTASP within SMS Safety Risk Management activities, where AVTA shall certify that it has established a comprehensive agency safety plan that will implement a risk reduction program, which includes:
 - (1) A reduction of vehicular and pedestrian accidents involving buses that includes measures to reduce visibility impairments for bus operators that contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments [§5329(d)(1)(I)(i)].
 - (2) The mitigation of assaults on transit workers, including the deployment of assault mitigation infrastructure and technology on buses, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators when a risk analysis performed by the safety committee determines that such barriers or other measures would reduce assaults on transit workers and injuries to transit workers [§5329(d)(1)(I)(ii)].
 - (3) Risk reduction performance targets that the SSC shall establish for the risk reduction program using a 3-year rolling average of the data submitted by the recipient to the National Transit Database [§5335 and §5329(d)(4)(A)] [Note: Performance targets for a risk reduction program are not required to be in place until FTA has updated the National Public Transportation Safety Plan to include applicable performance measures.]
- Implement a risk reduction program through AVTA's contractors to comply with the above requirements by 12/31/2022. Completed.

Establish within the FY 2024-2025 PTASP comprehensive training, education, and safety awareness programs for transit workers and customers, including bus operating and maintenance personnel and personnel directly responsible for the safety of AVTA that includes:

- 1) SMS Awareness and safety training program for all transit workers.
- 2) Confrontation and de-escalation training for all transit workers.
- 3) Assault mitigation for all transit workers (FTA Directive 24-1)
- 4) Continuous rider safety education and safety promotion

Implement the enhanced training program through AVTA's contractors as outlined above before December 31, 2024.

Confirmed by Accountable Executive for Assurance of Compliance with 49 CFR Part 673 to Executive Director

Signature: _____

Date: June 13, 2024

Esteban Rodriguez
Senior Director of Operations & Planning

DRAFT



PTASP FY 2024-2025
APPENDIX B

Safety Performance Guide for AVTA Goals, Objectives and Outcomes

The Safety Performance Guide allows a transit agency to organize, monitor and evaluate identified safety goals and objectives or outcomes. Examples provided in this resource outline should be adjusted to the AGENCY's size and scale of operations. Not all examples will apply. Similarly, metrics should be adjusted depending on preference and/or scale of operations.

Completed by:

Last Updated:

GOAL 1: SMS TO REDUCE CASUALTIES/OCCURRENCES

AGENCY will utilize a safety management systems (SMS) framework to identify safety hazards, mitigate risk and reduce casualties and occurrences resulting from transit operations.

1. **Objective/Outcome:**

Reduce the number of transit related fatalities.

- a. *Metric: Number of fatalities per specified passenger miles traveled*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and trends*

2. **Objective/Outcome:**

Reduce the number of transit related injuries.

- a. *Metric: Number of injuries per specified passenger miles traveled*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and trends*

3. **Objective/Outcome:**

Increase assessment and analysis of existing personnel, equipment, and procedures to identify and mitigate any potential safety hazards.

- a. *Metric: Number of safety audits, inspections, or assessments completed per specified time period*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and needs*

4. **Objective/Outcome**

Develop a corrective action plan and mitigation strategies to address identified hazards.

- a. *Metric: Percent of corrective action strategies complete per specified period*

- b. *Baseline: Identify a baseline*
- c. *Target: Establish reasonable measure using past and present performance data and needs*

GOAL 2: STRENGTHEN SAFETY CULTURE

AGENCY will foster agency-wide support for transit safety by establishing a safety culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

1. Objective/Outcome:
Establish a dedicated staff person as the Transit AVTA Chief Safety Officer (CSO) to manage the AVTA's transit safety program, i.e., Chief Safety Officer.
 - a. *Metric: Number of years of transit safety experience*
 - b. *Baseline: Identify a baseline*
 - c. *Target: Establish reasonable measure using past and present performance data and trends*

2. Objective/Outcome:
Conduct monthly operating performance meetings with the AVTA senior management, where safety performance and SMS implementation are included in the monthly report by the CSO.
 - a. *Metric: Number of meetings per specified period or number of meetings per incidents/occurrences*
 - b. *Baseline: Identify a baseline*
 - c. *Target: Establish reasonable measure using past and present performance data and trends*

3. Objective/Outcome:
Conduct regular transit employee and staff safety meetings (i.e. monthly safety meetings, pre-pull out safety briefings and pre-assignment safety briefings). Such meetings and briefings will be comprised of the appropriate staff at varying levels, including executives, officers, managers, operators, and maintenance personnel as required.
 - a. *Metric: Number of meetings per specified period or number of meetings per incidents/occurrences*
 - b. *Baseline: Identify a baseline*
 - c. *Target: Establish reasonable measure using past and present performance data and trends*

4. Objective/Outcome:
Develop and promote a Non-Punitive Employee Safety Reporting Policy and Procedure
 - a. *Metrics: Percent of staff receiving Non-Punitive Reporting Policy*
 - i. *Number of employee safety reports (1) received; (2) investigated; (3) mitigated; and (4) communicated to reporting employee.*
 - ii. *Percent of staff receiving Non-Punitive Employee Safety Reporting Policy*
 - b. *Baseline: Identify baselines*
 - c. *Target: Establish reasonable measures using past and present performance data and trends*

5. Objective/Outcome:
Increase the reporting of close call occurrences and incidents that would otherwise go unreported.
 - a. *Metric: Number of close call occurrences/incidents reported per specified passenger-miles traveled or per specified period*
 - b. *Baseline: Identify a baseline*
 - c. *Target: Establish a reasonable measure using past and present performance data and trends*

6. Objective/Outcome:
Increase employee safety training opportunities and attendance through the addition of SMS Awareness in the new hire training program; attending available transit safety trainings; covering safety in all refresher training events and required training due to changes in the operating system.
 - a. *Metric: Number of employee safety training hours completed per specified period.*
 - b. *Baseline: Identify a baseline*
 - c. *Target: Establish a reasonable measure using past and present performance data and trends*

7. Objective/Outcome:
Increase safety marketing outreach, including material distributed amongst employees and the public by developing and producing safety messaging and promotions internally to employees and customers and externally to the public that may interface with AVTA service.
 - a. *Metric:*
 - i. *Number of schedules, newsletters, safety brochures, posters or campaigns distributed per specified period.*
 - ii. *Number of visits to the AVTA webpage and safety link*
 - iii. *Number of outreach events to schools, senior organization, bicyclist*
 - b. *Baseline: Identify baselines*
 - c. *Target: Establish a reasonable measure using past and present performance data and trends*

GOAL 3: SYSTEMS/EQUIPMENT:

AVTA will provide a safe and efficient transit operation by ensuring that all vehicles, equipment, and facilities are regularly inspected, maintained in a state of good repair and serviced as scheduled or as needed.

1. Objective/Outcome:
Reduce the number of vehicle/equipment/facility maintenance issues reported:
 - a. *Metric: number of vehicle/equipment/facility maintenance issues reported per specified time period*
 - b. *Baseline: Identify a baseline*
 - c. *Target: Establish a reasonable measure using past and present performance data and trends*

2. Objective/Outcome:

Increase scheduled preventative maintenance:

- a. *Metric: Number of preventative maintenance inspections completed per specified time period or specified vehicle mileage*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and trends*

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PTASP FY 2024-2025

APPENDIX C

STAFF SAFETY ROLES AND RESPONSIBILITIES

Define the safety roles and responsibilities of the AGENCY’S key positions with safety oversight responsibilities and share descriptions among those listed.

Completed by:	Date
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Position Title	Name of Staff Member	Position Description	Safety Responsibilities
General Manager			
Accountable Exec.			
Chief Safety Officer			
Operations Dir.			
Field & Operations Supervisors			
Dispatch Supervisor/Controller			

Trainers			
Vehicle Operators			
Maintenance Mgr.			
SMS Coordinating & Safety Committee Members			

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PTASP FY 2024-2025

Appendix D

SAFETY ASSESSMENT AND SYSTEM REVIEW

Review Version Number: _____

The Safety Assessment and System Review should be completed on a semi-annual basis. Its purpose is to identify potential safety hazards within the AVTA system. Data collected from this assessment is intended to guide resource allocations and focus priority needs appropriately. Not all questions will apply. Any service project or site-specific questions that are relevant to the service or contract may be added.

Completed by	Date:
---------------------	--------------

SECTION	REVIEW QUESTIONS	YES	NO	N/A
Safety Policies:	<ul style="list-style-type: none"> • Are all safety policies up to date and reviewed? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Is a Public Transit Agency Safety Plan (PTASP) or any other System Safety Plan written for the transit system? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Is the Drug and Alcohol Policy current and up to date? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
New Hire Employee Files:	<ul style="list-style-type: none"> • Was there a structured interview conducted and documented? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Is the applicant asking the questions relating to previous experience with drug and alcohol testing? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Is the offer of employment documented in writing? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Is there a pre-employment drug screen? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Is there a pre-employment physical exam? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Are safety sensitive responsibilities outlined in the job description? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Is there a completed Substance Abuse Policy and Drug Free Workplace Policy Acknowledgement form? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Is there a Current Policies and Procedures Acknowledgement Form? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Post Hire Employee Files:	<ul style="list-style-type: none"> • Is a current employee roster available? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Are the employee files maintained by the transit system? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Do existing employee files contain? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> ➤ Background check? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	➤ Previous employer request form?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Verification of current driver's license and CDL?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Current MVR?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ PARS Reports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Current copy of physical exam certificate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Signed Substance Abuse Policy Acknowledgement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Drug and Alcohol Testing Record with COC and authorization forms?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Record of annual supervisor ride checks and evaluations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Education and Training:	• Are operator certifications current and up to date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Have managers completed Safety Management Systems (SMS) training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are employees familiar with OSHA topics, including:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Hazard Communication?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Emergency Action Planning?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Blood borne Pathogens?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Lockout/Tag out?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Personal Protective Equipment (PPE)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Injury Prevention Planning?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Have all safety sensitive employees received Drug and Alcohol Training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do new mechanics receive classroom training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do existing mechanics receive ongoing training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safety Meetings:	• Is there an active Safety Committee at the transit agency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are safety meetings held on a regular basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are safety meetings and sign in sheets documented, with publicly posted agendas and minutes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do senior managers attend safety meetings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do vehicle operators attend safety meetings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do mechanics attend safety meetings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Incident and Accident Investigation Procedures:	• Are policies in place dictating which incidents are reported and which are not?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are incident report forms kept on board the vehicle?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are accident reports completed for all situations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are incident/accident reports used as pre-accident training material?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	• Are incident/accident reports used as post-accident training material?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are incident/accident reports used to identify potential hazards and analyzed in a Risk Assessment Matrix (RAM)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are complaint forms kept on all vehicles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all operators provided with safety vests on their vehicles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are incident/accident photos taken?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Substance Abuse:	• Is there a current and updated Drug and Alcohol Policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do all staff members understand the Drug and Alcohol Policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is random testing being completed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is reasonable suspicion testing being completed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Facility and Shop Inspections:	• Are monthly facility inspections conducted as scheduled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are facility inspection forms completed properly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are unsafe conditions or acts, regarding the facility corrected and documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are fire extinguishers up to date with annual servicing requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are fire extinguishers inspected on a monthly basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are routing inspections of the fire extinguishers documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are eye wash stations available with unobstructed access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are eye wash stations inspected on a scheduled basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is machine guarding in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are batteries stored safely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all containers marked with the contents clearly identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are floors clear of tripping hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are hazardous materials stored safely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are emergency exits clearly marked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are lights out?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are jack stands available for use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are jack stands used whenever a vehicle is elevated on a lift?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is a lock out tag out program in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asset Management (Vehicles):	• Is a current and updated list of vehicles readily available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is all maintenance activity completed on vehicles tracked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is a regular maintenance schedule written and followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are work order forms, service order forms and parts requested documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	• Are vehicle inspection forms completed on a regular basis and available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are habitual maintenance issues reported to CADOT?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are maintenance issues analyzed and used to forecast future vehicle needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are maintenance issues analyzed and used to identify potential hazards and evaluated in a Risk Assessment Matrix (RAM)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are pre-trip inspection forms completed daily?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are post-trip inspection forms completed daily?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Service Contractor's Project Manager & CSO Comments & Observations:

SIGNATURES:

Signature of Chief Safety Officer

Date of Survey

Signature of Accountable Executive

Date of Review

Signature of Executive Director/CEO

Date of Review



PTASP FY 2024-2025

APPENDIX E

FACILITY SAFETY and SECURITY ASSESSMENT

Review Number: _____ **Date:** _____

The Facility Safety and Security Assessment for AVTA should be completed on a semi-annual basis. Its purpose is to identify potential safety hazards with the AVTA system. Data collected from this assessment is intended to guide contract resource allocation and focus priority needs appropriately. Not all questions will apply. Any service project or site-specific questions that are relevant to the service or contract may be added.

Completed by: _____	Date: _____
----------------------------	--------------------

SECTION	REVIEW QUESTIONS	YES	NO	N/A
Buildings and Facility Grounds:	• Are facility grounds randomly and frequently patrolled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are daily security sweeps conducted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are smoke/fire/carbon monoxide detectors provided and working?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are distribution and number of keys known and controlled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all keys labeled as "DO NOT DUPLICATE"?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all unoccupied areas locked and secured?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lighting:	• Is entire perimeter of facility properly illuminated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is lighting mounted at approximately second story level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are lights provided over all entrance doors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is lighting provided in staff parking areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Entrance Doors and Windows:	• Are all doors:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Built of commercial grade with metal framing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Outside hinges hidden and protected from vandalism?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Provided with a commercial grade, one-sided lock?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Provided with push "panic" bar releases?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ In case of breakage or opening are all windows and doors connected to a central station alarm?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Electronic Surveillance:	• Is the entire perimeter of facility protected by a CCTV system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is this system monitored by management and/or a security company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is this system always on or activated by motion sensors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-Employee Access:	• Is access restricted to persons without proper credentials and clearance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are supply deliverers required to show proper I.D. and sign-in a logbook?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are always all non-employees accompanied and/or observable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surrounding Environment:	• Are there other non-City/County buildings connected to the facility that may be vulnerable to unauthorized entry to City/County property?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all utility components (power transformers, back-up generators) protected and secured from vandalism or attack?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all outdoor storage areas adequately lighted and secured?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Material Storage:	• Are all hazardous and flammable materials properly identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all materials properly labeled, stored, and secured?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forms and Written Plans:	• Are emergency numbers (police, fire, ambulance, FBI) current and prominently displayed at each phone?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is a Chain of Command and emergency call list prominently displayed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are employees trained and checklists provided on how to handle a physical threat or incident called in on the phone?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evacuation Plan/Procedures	• Are there evacuation plans for this facility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are staff members trained on this plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are assembly areas and alternate assembly areas identified, validated and coordinated with the County Emergency Management Office?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Have the primary and alternate assembly areas, evacuation sites, and evacuation routes been verified and coordinated with all appropriate agencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Has the Emergency Evacuation Plan been reviewed, coordinated, and briefed to staff as appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training:	• Is an orientation program in place for each new staff member?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do all staff members receive safety and security training appropriate to their position and level of responsibility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are periodic safety and security training and briefings completed with staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do all new staff members receive briefings on the City/County Evacuation Plan, the Disaster Preparedness Plan, and other security policies and procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Administrative Procedures:	• Is a record of emergency data on file for each staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Have incident reporting format and procedures been established and staff briefed on them?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all incident reports treated with confidentiality and transmitted by secure means to the appropriate City/County department?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are background checks conducted and verified on all prospective new hires?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cash Handling and Transfer:	• Has a secure method for receipt, transfer and storage of cash been established and have appropriate staff members been trained on them?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is cash transported by at least two individuals with cash divided between them?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do all staff members understand that in the event of a robbery they should never risk their lives to protect cash or other valuables?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fire and Electrical Safety:	• Are fire extinguishers installed in all appropriate locations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are smoke and heat detectors installed, at least one on each floor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is a first aid kit present and maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all electrical devices, outlets, circuit breakers and cords free of damage that may pose a shock hazard?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all electrical circuit, gas, and telephone boxes, if accessible from the outside, locked to prevent tampering?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do any non-employees have access from outside the building to any fire escapes, stairways, and/or the roof?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all outdoor trash containers and storage bins located away from the building in the event of a fire?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments & Other Observations:

SIGNATURES:

Printed Name of Reviewer

Date

Signature of CSO

Date



PTASP FY 2024-2025

APPENDIX F

SAMPLE EMPLOYEE HAZARD IDENTIFICATION FORM

DATE OF REPORT: _____

DATE OF OBSERVATION: _____ TIME OF DAY: _____ AM / PM

EMPLOYEE NAME: _____

EMPLOYEE IDENTIFICATION NUMBER: _____

EMPLOYEE'S PROJECT DEPARTMENT: _____

EMPLOYEE'S SUPERVISOR: _____

HAZARD AREA: ___ Street Operations ___ Yard ___ Office ___ Maintenance Shop ___ Other:

Describe Other: _____

LOCATION/ADDRESS OF HAZARD:

GPS Coordinates: _____ X _____

LANDMARKS:

IDENTIFIED SAFETY HAZARD (Unsafe Condition &/or Unsafe Actions): _____

EMPLOYEE'S COMMENTS AND SUGGESTIONS: _____

EMPLOYEE'S SIGNATURE: _____



PTASP FY 2024-2025

APPENDIX G

HAZARD IDENTIFICATION AND RISK ASSESSMENT LOG

The Hazard Identification and Risk Assessment Log is used to provide a record of the identified hazards and the actions that should be taken. The recommended action must be addressed by a specified individual, typically the appropriate line manager responsible for addressing that particular risk, and a target date for completion must be given. Entries in the log should not be cleared until the required action is completed. The hazard log and action completion records should be retained permanently by the Chief Safety Officer (CSO).

Completed by:	Last Updated:
----------------------	----------------------

Risk Type	Risk Description	Current Measures to Reduce Risk	Risk Rating Likelihood	Risk Rating Severity	Risk Rating Value (Likelihood x Severity)	Further Action Required to Reduce Risk	Staff Responsibility
Human Error	Non-compliance with agency maintenance protocol	<ul style="list-style-type: none"> • Minimum competency requirements • Effective safety culture in agency (maintenance department) • Effective task planning • Availability of procedures • Procedure reviews and simplification into tasks • Recurrent training 	5	4	20	<ul style="list-style-type: none"> • Introduce compliance monitoring • Effective supervision including work compliance assessment • Competency assessments • Maintenance policy to reinforce need for compliance 	<ul style="list-style-type: none"> • Safety Assurance • Line Manger • Maintenance Manager
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•

EXAMPLE

PTASP APPENDIX H: Risk Assessment Matrix (RAM) – Risk Level Assessment

Identified Hazard:		Likelihood				
		1	2	3	4	5
		Practically impossible (never heard of in the industry)	Remote, not likely to occur	Could occur, or heard of it happening	Likely, known to occur or has happened before	Common, or occurs frequently
		Low	Low	Low	Low	Medium
		Low	Low	Medium	Medium	High
		Low	Low	Medium	High	High
		Low	Medium	High	High	High
		Medium	Medium	High	High	High
Risk Value:						

Consequences		Assessed Risk Level:	
Assets	Environment	Reputation	0
No/Slight damage	No/Slight effect	No/Slight impact	
Minor damage	Minor effect	Limited impact	
Moderate damage	Moderate effect	Local area impact	
Major damage, multiple units	Major effect	Major statewide impact	
Major damage, multiple units	Massive effect	Major national impact	

Low Risk, continuous improvement	Medium Risk, monitor and control	High Risk, unacceptable/intolerable, immediately introduce further control measures
----------------------------------	----------------------------------	---

Instructions

1. Estimate potential consequences and severity (thought of as what could happen if hazard actually occurred)
2. Estimate likelihood of such consequences occurring (using historical evidence, data and experience)
3. Multiply the severity for each consequence by the likelihood of that consequence occurring. This is the risk value.
4. Sum the risk values for a total assessed risk level (out of 100)



PTASP FY 2024-2025

APPENDIX I

PRIORITIZED SAFETY RISK LOG

This Prioritized Safety Risk Log is to be used to organize identified safety risks facing AVTA. The Log should be updated frequently to demonstrate continual progress towards risk reduction through mitigation strategies. A timeline is used to highlight projected completion dates.

Completed by: Insert Reviewer Name	Last Updated: Insert Date
---	----------------------------------

Priority	Risk Description	Planned Mitigation Strategies	Outcomes of Planned Mitigation Strategies	Responsible Staff	Timeline	Status
1	Non-compliance with agency maintenance protocol EXAMPLE	<ul style="list-style-type: none"> • Introduce compliance monitoring • Effective supervision including work compliance assessment • Competency assessments • Maintenance policy to reinforce need for compliance 	•	<ul style="list-style-type: none"> • Safety Assurance • Line Manger • Maintenance Manager 	<ul style="list-style-type: none"> • Begin January 2015 • Complete August 2015 	Open
2		•	•	•	•	
3		•	•	•	•	
4		•	•	•	•	
5		•	•	•	•	
6		•	•	•	•	
7		•	•	•	•	
8		•	•	•	•	
9		•	•	•	•	
10		•	•	•	•	

Reviewer's Signature

Date

CSO Signature

Date of Update Review



PTASP FY 2024-2025

APPENDIX J

PTASP Adopted for FY 2024-2025 Recommended Action List

The following list of recommend actions in effectuating this PTASP and SMS is not meant to be all inclusive, but rather a start. As implementation efforts proceed, AVTA may likely identify other required actions and opportunities.

1. Implementation of SMS within AVTA

- Designate AVTA's CSO1 responsible for implementing SMS on the transit authority's level. (Completed)
- Designate the contractor's CSO2 and CSO3 as the project managers for implementing SMS for the management and operations level within their companies serving AVTA. (Completed)
- At both agency and contractor levels, develop a phased implementation plan addressing all components of SMS. (Completed)
- Conduct a gap analysis as a part of the implementation plan, where the gap analysis' purpose is to indicate what is needed between existing and proposed safety programs and processes and those required, suggested, or recommended by the PTASP and SMS. (Partially Completed)
- Designate a location for retention of all SMS implementation documentation as required by FTA. (Completed)
- Notify SCAG (as required) of AVTA's PTASP Safety Performance Annual Targets. (Link established for annual notification) (Partially Completed)
- Certify to FTA that AVTA PTASP has been completed for **2024-2025** in accordance with FTA. (Partially Completed)
- Train safety committees on adopted PTASP, direction of implementing SMS, and critical role of frontline employees. (Completed)

2. SMS Safety Policy

- Communicate AVTA's Safety Management Policy Statement to all AVTA and contractor employees and other applicable stakeholders. (Completed)
- Provide awareness training on SMS to all AVTA and contractor employees. (Completed)
- Provide an orientation to all staff and employees on the PTASP, including their safety roles, duties and responsibilities under the plan or SMS. (Completed)
- Establish and communicate an Employee Safety Reporting Program (ESRP) for all AVTA and contractor employees, along with the procedures and training. (Completed)
- Adjust or amend the current contractor's service agreement and scope of work to include responsibilities required or recommended in the PTASP and of SMS. (Completed)
- Plan and schedule for both CSOs to complete safety training required of their positions. (Completed)
- Establish a system-wide SMS Coordinating and Safety Committee. (Completed)

- Determine and arrange for the role that the AVTA Technical Advisory Committee can undertake in SMS effort. (Completed)
- CSO1 review contractor efforts to establish a safety policy and communicate such internal safety policy. (Completed)

3. SMS Safety Risk Management

- Establish a safety hazard identification program with a process to investigate, evaluate, analyze, and prioritize the hazards. (Completed)
- Establish a safety hazard mitigation process for the identified hazards, which includes participation by the organization-wide SMS Coordinating and Safety Committee; a mitigation development process; an implementation process (including a hazard-specific implementation plan); and monitoring process to assure effectiveness of the mitigation method. (Completed)
- Develop new or convert existing safety reporting and safety management data system to meet the requirements of the PTASP and SMS. (Completed)
- Prepare a COVID-19/Coronavirus Pandemic Risk Management Plan for the 2021 winter wave. (Completed)
- Enhance greater community stewardship of the transit system by developing a transit ambassador program that provides staff presence at AVTA facilities and on AVTA vehicles. (Completed)
- Empower all safety committees to review AVTA's Customer Code of Conduct. (Completed)
- Perform gap analysis of contract safety program documents against the PTASP. (Completed)
- Develop and implement an FTA-compliant Risk Reduction Program (RRP). A RRP is a safety risk management strategy consisting of risk assessment analysis and development and implementation of hazard or threat mitigations and corrective actions, which are interventions to improve transit system safety and security. (Completed)
- Encourage CSOs to review and apply FTA's *Sample Safety Risk Assessment Matrices for Bus Transit Agencies*, see <https://www.transit.dot.gov/regulations-and-guidance/safety/public-transportation-agency-safety-program/sample-safety-risk>. (Completed)

4. SMS Safety Assurance

- Conduct a safety assessment and system review and document. (Completed)
- Conduct a facility safety and security assessment and document. (Completed)
- Assess the extent, if any, of practical drift away from established policies and procedures in transit operations and maintenance and evaluate the casual factors. (Completed)
- Insert safety assurance into various management and operation functions of AVTA, including but not limited to procurement and construction of AVTA transit assets. (Completed)
- Schedule and conduct regular safety inspections of transit operational procedures and transit maintenance practices required by OSHA. (On-Going)
- Review contractor efforts to attain effective SMS Safety Assurance. (On-Going)

5. SMS Safety Promotion

- Establish communication links among members of the SMS Coordinating Safety Committee to promote collaboration and cooperation on safety issues and solutions. (Completed)

- Develop and insert an acceptable SMS Awareness module into new hire training curriculum equivalent to the TSI course. (Pending Completion)
- Train all current AVTA and contractor employees on SMS Awareness and their roles, duties, and responsibilities under SMS. (Completed)
- Develop ways to encourage or educate customers of AVTA's Code of Conduct. (On-Going)
- Review effectiveness and processes of AVTA and contractor safety communications (safety alerts, safety awareness messaging and promotions) for employees and customers and develop a safety promotions plan, including the ability to campaign against specific hazards. (Completed)
- Employ the AVTA Mission Statement to emphasize safety in promotions in raise overall safety awareness. (On-Going)
- Promote safety awareness and effective communications through available methods, including:
 - i. Distribute the PTASP and its SMPS. (Completed)
 - ii. Communicate hazards and safety risk relevant to employee roles and responsibilities. (Completed, On-Going)
 - iii. Communicate safety actions taken in response to reports submitted through the Employee Safety Reporting Program. (Completed)
 - iv. Message safety through outreach safety marketing and promotional efforts, including:
 - 1. Targeted safety campaigns. (On-Going)
 - 2. Dispatcher and road supervisor safety messaging to employees (On-Going)
 - 3. Provide bus operators safety messaging to customers (e.g., "Please watch you step and use handrails.") (On-Going)
 - 4. Bus operator reporting of identified hazards to dispatchers. (On-Going)
 - 5. Safety meetings, toolbox, and tailgate safety briefings. (On-Going)
 - 6. Pre-task safety reviews for hazard recognition. (On-Going)
 - 7. Mixed-media safety messaging – print, graphic electronic, audible, etc. (On-Going)
 - 8. Maintain or update AVTA's Code of Conduct for new hazards. (On-Going)
 - 9. Participate in Palmdale-Lancaster community events with the opportunity to promote transit safety and security. (On-Going)
 - v. Implementing contractor proposed safety programs as enhanced after a safety review or gap analysis. (On-Going)
 - vi. Formalize and practice the systemwide accident and emergency response notification system. (Completed, On-Going)



APPENDIX K

SAFETY CULTURE SELF- ASSESSMENT

Organizations with strong safety cultures experience fewer workplace accidents (collisions and incidents), and vice versa. But how do you know how robust your company's safety culture is?

WHAT IS A SAFETY CULTURE?

Your safety culture reflects the values, attitudes and behavior of your organization with regards to health and safety.

It is not just what safety systems you have in place.

In a positive safety culture:

- Everyone in the organization believes they have a right to work in a safe and healthy environment.
- Everyone accepts personal responsibility for ensuring the health and safety of themselves and of others.
- Supervisors and managers see safety as most important and promote it.
- Management behavior and actions demonstrate a commitment to health and safety.

WHY DO WE NEED A STRONG SAFETY CULTURE?

Your safety culture impacts on all areas of your tribal transit system, from service productivity to injury concerns, safety performance, absenteeism, turnover and staff morale.

A strong safety culture makes your employees feel safe and that the safety of others is important. It helps you to deliver results – through an empowered workforce, lower accident rates and lower costs.

WHAT DOES IT TAKE?

Genuine commitment to a strong safety culture means you:

- Commit time and resources to system safety.
- Consult with your employees and listen to what they have to say.
- Communicate your thoughts and reasons in a respectful way.
- Undertake effective training at all levels with a strong emphasis on safety.
- Develop and implement all necessary safety reporting systems, procedures analysis; and
- Establish a non-punitive employee safety reporting system.
- Ensure return to work and injury management programs for injured workers are in place.

WHERE DO I START?

This questionnaire was originally designed to measure safety culture by assessing the degree to which organizations optimally adhere to transit agency policies, procedures and practices. Regardless of your position in your transit system, from senior management to supervisors to drivers or mechanics, fill out this safety culture survey and see where you feel your organization stands. Once you understand your current safety culture, you can take steps to improve it.

The completed questionnaire should be scored as follows:

0-20%: 1 point 20-40%: 2 points 40-60%: 3 points 60-80%: 4 points 80-100%: 5 points.

The higher the total score for the workplace, the better the safety culture as you see it.

SAFETY PRACTICES: Indicate the percentage of time that each practice takes place in the workplace.

0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts.

1. Formal safety audits or reviews at regular intervals, such as once a year or once every two years, are a normal part of our operations. (For these purposes, an audit is a formal process of evaluating and reporting on how a company manages health and safety in accordance with a recognized standard.)
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____
2. Everyone at this organization values ongoing safety improvement in the organization
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____
3. My organization considers safety at least as important as production and quality in the way work is done.
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____
4. Workers and supervisors have the communications & information they need to work safely.
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____
5. Employees are always involved in decisions affecting their health and safety.
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____
6. Those in charge of safety have the authority to make the changes they have identified, as necessary.
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____
7. Those who act safely receive positive recognition.
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____
8. Everyone has the tools and/or equipment they need to complete their work safely.
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____
9. Employees freely document and report close calls (near accidents)
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____
10. Management & employees believe that my organization's priority is safety.
0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. → _____

Total Score _____

Organization's Safety Culture Observed Level

- | | |
|-------------------|-----------------------------------|
| 10 pts. – 20 pts. | Safety culture needs improvement. |
| 20 pts. – 30 pts. | Getting better |
| 30 pts. – 40 pts. | Good safety culture |
| 40 pts. – 50 pts. | Strong safety culture |



APPENDIX L

AVTA RISK REDUCTION PROGRAM (RRP)

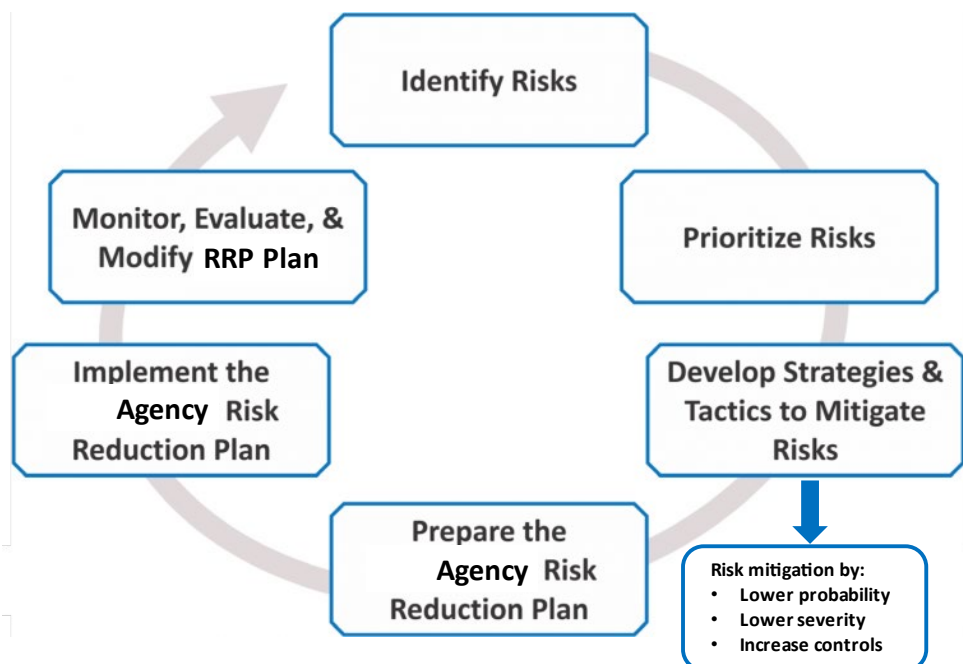
RRP Purpose: To deal with risk by preventing loss or reducing the chance that it will occur.

RRP Goal: To significantly alter major risk factors and causes for fatalities, injuries, property damage, disease, or other health-related conditions that could adversely affect the transit system, its employees, its customers, and the public.

Primary Objective of a Risk Management Program: The primary objective of the risk management process is to reduce the effect of a crisis or emergency. The managers and safety officers will analyze the safety performance data and supplemental information to regulate the probable cause for risk of adverse consequences. In addition, management will regulate the consequence to a tolerable or insignificant level.

Risk Reduction Plan: A RRP plan, created as part of a risk management process, wherein steps are determined which will address a particular program risk to reduce either its likelihood of occurrence, or the consequence of its occurrence, or both, such that there is a reduction in its potential impact to the program.

Risk Reduction Process: The safety committees can follow the process illustrated below in the model of the risk reduction process:



Risk Management Enables Achieving Safe and Secure a Transit Service: Employees can reduce the likelihood and severity of potential risks by identifying them early. If something does go wrong, there will already be an action plan and training in place to handle it. A RRP Plan will help employees prepare for any unexpected risk related to the transit system and advance efforts to act proactively.

Possible Risk Reduction Measures: Consideration will be given to a multifaceted approach to managing risk and aiming towards lowering or eliminating specific risks to the transit system. The available measures included the following:

- Frequency reducing.
- Consequence or severity reducing activities.
- Combination of above.

The measures may be of a technical, operational, and/or organizational nature. Choosing the measures will be the responsibility of the safety committees to develop the appropriate mitigations based on assessments of specific risks. Additionally, consideration will be given to the four basic risk management strategies: (1) risk avoidance; (2) risk acceptance or risk bearing; (3) risk transfer; and (4) risk control.

Examples of Risk Reduction and Practical Approaches to Consider:

- Performing risk assessments to identify the degree of exact risks and security gaps.
- Utilizing a less risky option such as detours.
- Preventing access to hazards such as barriers and security alarms.
- Organizing work to reduce exposure to the hazard.
- Issuing protective equipment, i.e., PPE.
- Utilizing correct maintenance tools for the task such as jack stands or lifts.
- Conducting pre-task safety briefings such as tailgate or toolbox safety briefings.
- Providing welfare facilities such as first-aid washing facilities, fire suppression.
- Involving and consulting with employees such as safety committees.
- Assessing progress through safety assurance monitoring & analysis.
- Creating work procedures for risky tasks.
- Monitoring practical drift from established policies and procedures.
- Involving employees in developing and implementing safety plans, policies, and procedures.



APPENDIX M

FTA DIRECTIVE 24-1 ASSAULTS ON TRANSIT WORKERS

UNITED STATES DEPARTMENT OF TRANSPORTATION

Federal Transit Administration

Proposed General Directive No. 24-1

General Directive Under 49 U.S.C. 5329 and 49 CFR Part 670

Required Actions Regarding Assaults on Transit Workers

Summary

FTA is issuing a General Directive to address the significant and continuing safety risk associated with assaults on transit workers. FTA has identified a national-level hazard that transit workers must interact with the public and, at times, must clarify or enforce agency policies, which can present a risk of transit workers being assaulted on transit vehicles and in revenue facilities.

Each transit agency that is required to have an Agency Safety Plan (ASP) under the PTASP regulation (49 CFR part 673) must use the Safety Risk Management (SRM) processes required by 49 CFR 673.25(c) and documented in its ASP to conduct a safety risk assessment related to assaults on transit workers on the public transportation system it operates unless the agency has conducted a safety risk assessment related to assaults on transit workers in the twelve months preceding the date of issuance of this General Directive. Each transit agency must use the SRM process documented in its ASP as defined at CFR 673.25(d) to identify safety risk mitigations or strategies necessary as a result of the agency's safety risk assessment. As required by the Bipartisan Infrastructure Law at 49 U.S.C. 5329(d)(5), the joint labor-management Safety Committee of each transit agency serving an urbanized area with a population of 200,000 or more (large urbanized area) is responsible for identifying and recommending safety risk mitigations to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment. Each covered transit agency must also provide information to FTA on how it is assessing, mitigating, and monitoring the safety risk associated with assaults on transit workers.

General Directive and Required Actions

In accordance with 49 U.S.C. 5329(f)(2), 49 CFR § 670.25, and Office of Management and Budget Control Number 2132-0580, FTA directs each transit agency that is required to have an ASP under the Public Transportation Agency Safety Plans (PTASP) regulation at 49 CFR part 673 to take the following actions within 60 days of the issuance of this General Directive:

(a) Conduct a Safety Risk Assessment

The transit agency must use the SRM process documented in its ASP as defined at 49

CFR § 673.25(c) to conduct a risk assessment related to assaults on transit workers on the public transportation system it operates unless the agency has conducted a safety risk assessment related to assaults on transit workers in the twelve (12) months preceding the date of issuance of this General Directive.

(b) Identify Safety Risk Mitigations

The transit agency must use the SRM process documented in its ASP as defined at 49 CFR § 673.25(d) to identify safety risk mitigations or strategies necessary as a result of the agency's safety risk assessment. As required by the Bipartisan Infrastructure Law at 49 U.S.C. 5329(d)(5), each transit agency serving a large urbanized area must involve the joint labor-management Safety Committee when identifying safety risk mitigations to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment.

(c) Submit Required Information to FTA

The transit agency must submit to FTA responses to the following questions:

1. Date of completed safety risk assessment
2. Hazard assessed: transit workers must interact with the public and, at times, must clarify or enforce agency policies
3. Potential Consequence: Transit workers are assaulted on transit vehicles
 - Likelihood (choose the rating from FTA's scale that most closely matches your agency's scale)
 - Severity (choose the rating from FTA's scale that most closely matches your agency's scale)
4. Potential Consequence: Transit workers are assaulted in revenue facilities
 - Likelihood (choose the rating from FTA's scale that most closely matches your agency's scale)
 - Severity (choose the rating from FTA's scale that most closely matches your agency's scale)
5. Risk Rating (provide overall risk rating resulting from safety risk assessment)
6. For transit agencies serving a large urbanized area, did the joint labor-management Safety Committee identify and recommend safety risk mitigations to reduce the likelihood and severity of the potential consequences of assaults on transit workers identified through the agency's safety risk assessment?
 - Yes
 - No
 - Agency serving a small urbanized area not subject to requirement
7. If you answered no to Question 6, please explain.
8. Please share the safety risk mitigations the transit agency or Safety Committee (at agencies serving large urbanized areas) has identified as a result of the agency's safety risk assessment to reduce the likelihood and/or severity of assaults on transit workers:
 - Operator Area Protective Barriers

- Signage Informing Riders of Surveillance/Penalties
- Personal Security Training
- De-Escalation Training
- Operating Policies and Procedures (e.g., policies governing operator barrier deployment; policies and procedures to permit discharging passengers between designated stops upon request; policies that operators should only state the agency fare policy once and not attempt to enforce fare payment; policies on response to interference; policies on taking de-escalatory action during incidents)
- Video/Audio Surveillance
- Covert/Overt Emergency Alarms (e.g., silent button to contact operations control center, a system for coded/covert operator communication with operations control center, exterior bus signage alerting the public to emergency onboard/call law enforcement)
- Automatic Vehicle Location
- Patrol Strategies (e.g., fare enforcement, security, transit police, local law enforcement)
- Communication Protocols (e.g., only request fare payment once)
- Public Awareness Campaigns
- Other

9. Please provide any additional information that would help FTA understand the details of your mitigation.

10. Implementation status for each safety risk mitigation

- Planned
- In Progress
- Complete

11. Safety risk mitigation implementation start date (actual or projected)

12. Safety risk mitigation implementation completion date (actual or projected)

13. If implementation is in progress, provide approximate percentage toward completion

14. Please provide any additional information that would help FTA understand the progress of your mitigation (e.g., any external rate-limiting factors affecting implementation)

15. Performance information or data that the agency is using or will use to make effectiveness determination

16. Effectiveness of safety risk mitigation

- Effective
- Ineffective
- Not yet determined

17. If effectiveness of mitigation has been assessed by the agency or Safety Committee (at agencies serving large, urbanized areas), a statement explaining why mitigations are either effective or ineffective

Transit agencies must submit the required information within 60 days of the issuance of this General Directive via the FTA Safety Risk Management Report (SRM Report) on the

Transit Integrated Appian Development (TriAD) Platform. Instructions on how to use the platform and submit the required information can be found at <https://www.transit.dot.gov/ptasp>.

Enforcement

FTA may take enforcement action for any violation of this General Directive or the terms of any written plan adopted pursuant to this General Directive in accordance with FTA's authorities under 49 U.S.C. 5329, including but not limited to (1) directing a recipient to use Federal financial assistance to correct safety deficiencies; and (2) withholding up to 25 percent of financial assistance to a recipient under 49 U.S.C. 5307.

Contact

For program matters, Stewart Mader, Senior Program Analyst for Safety Policy, FTA Office of System Safety, telephone (202) 366-9677 or Stewart.Mader@dot.gov; for legal matters, Heather Ueyama, Attorney-Advisor, telephone (202) 366-7374 or Heather.Ueyama@dot.gov

DRAFT

APPENDIX N

**CONTRACTOR LETTERS OF APPROVAL FOR AVTA PTASP
UPDATE FY 2024-2025.**



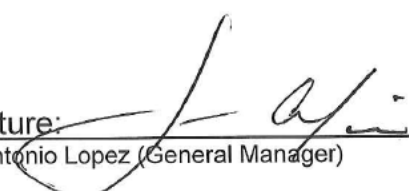
February 05, 2024

To: AVTA

From: MV

Re: Public Transportation Agency Safety Plan

MV has received and reviewed the Public Transportation Agency Safety Plan provided by AVTA and has no objections therefore approving the plan as published.

Signature:  _____
Juan Antonio Lopez (General Manager)

Date: 2/05/2024

Signature:  _____
Ronnaya Maxie (Dispatcher Manager)

Date: 2/5/2024



AVTS has received and reviewed the Public Transportation Agency Safety Plan provided by AVTA and has no objections therefore approving the plan as published.

Signature:  Date: 1/24/24
Henry Beausejour (Operations Manager)

Signature:  Date: 1/24/24
Sergio Guyumjian (Logistics Manager & Call Center Manager)

Signature:  Date: 1/24/24
Zach Krauter (Operations Coordinator)

DRY



DATE: June 25, 2024
TO: BOARD OF DIRECTORS
SUBJECT: Destruction of AVTA Records

RECOMMENDATION:

In accordance with AVTA’s Record Retention Policy, authorize the destruction of the on-site records (paper, electronic, audio, photographic, etc.) detailed on the Records Destruction list (Attachment A).

FISCAL IMPACT:

Costs associated with a secure destruction of documents are included in an annual monthly destruction contract.

BACKGROUND:

AVTA’s Records Management Department has the responsibility for the ongoing process of coordinating the identification of records within the various departments to determine which records have met the required retention for destruction.

After Board approval is obtained, the records department will supervise the destruction of the records on the attached list. Certification of destruction and a final list of documents that were destroyed will be maintained in a permanent file.

Prepared by:

Submitted by:

Paulina Hurley
Records Technician II

Martin J. Tompkins
Executive Director/CEO

Attachment: A – Q3 Records Destruction List

LEVINE ACT

The Levine Act (Gov. Code Section 84308) prohibits AVTA officials from participating in certain decisions regarding licenses, permits, and other entitlements for use if the official has received a campaign contribution of more than \$250 from a party, participant, or agent of a party or participant in the previous 12 months. The Levine Act is intended to prevent financial influence on decisions that affect specific, identifiable persons or participants. For more information see the FPPC website: www.fppc.ca.gov/learn/pay-to-play-limits-and-prohibitions.html

SUBJECT TO THE LEVINE ACT

Permit, license, or entitlement for use
 Contract or grant

EXEMPT FROM THE LEVINE ACT Competitively bid contract Labor or personal employment
 General policy and legislative actions

File Number	File Name (Line #1)	Description (Line #2)	Date (Line #3)	Retention Year	Triggering Event	Quarter	Responsible Party	Comments / Responsible Signature
0110-93	KEY PERFORMANCE INDICATORS		FY 2015/2016	2024	+8YRS	Q3	Martin Tompkins	
0115-93	MAINTENANCE KEY PERFORMANCE INDICATORS		FY 2015/2016	2024	+8YRS	Q3	Martin Tompkins	
0450-20	UNION BANK	APRIL 2017	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	AUGUST 2016	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	DECEMBER 2016	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	FEBRUARY 2017	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	JANUARY 2017	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	JULY 2016	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	JUNE 2017	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	MARCH 2017	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	MAY 2017	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	NOVEMBER 2016	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	OCTOBER 2016	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0450-20	UNION BANK	SEPTEMBER 2016	FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0460-20	BUDGET PROCESSES STRATEGY		FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0475-90	INVESTMENT POLICY/LAIF AUTHORIZATIONS	SUPERSEDED	FY 2016/2017	2024	SUPERSEDED +7YRS	Q3	Judy Fry	
0740-40	QUARTERLY REPORTS	LOS ANGELES COUNTY SHERIFFS DEPARTMENT	FY 2020/2021	2024	+3 YRS	Q3	Judy Fry	
0490-50	LONG TERM FINANCIAL PLAN		FROM FY 2007/2008 THRU FY 2016/2017	2024	FY+7 YRS	Q3	Judy Fry	
0210-10	VEHICLE #4338		FROM 06/01/2004 THRU 09/16/2020	2024	DISPOSITION +4YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4339		FROM 06/01/2004 THRU 09/16/2020	2024	DISPOSITION +4YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4340		FROM 06/01/2004 THRU 09/16/2020	2024	DISPOSITION +4YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4342		FROM 06/01/2004 THRU 09/16/2020	2024	DISPOSITION +4YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4347		FROM 06/02/2004 THRU 09/16/2020	2024	DISPOSITION +4YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4348		FROM 06/02/2004 THRU 09/16/2020	2024	DISPOSITION +4YRS	Q3	Joseph Sanchez	
0610-10	FACILITY USE AGREEMENTS		FY 2018/2019	2024	AC+5YRS	Q3	DeeAnna Cason	
0485-10	FAREBOX REFURBISH		FROM 09/12/2022 THRU 09/13/2022	2024	CANCELED AC+2YRS	Q3	Cecil Foust	
0610-10	GOTCHA	AVC KIOSK ADVERTISING	FROM 08/22/2016 THRU 08/18/2019	2024	AC+5YRS	Q3	Cecil Foust	
0610-10	I/O CONTROLS	UPGRADE SYSTEM TO 2.0	FROM 09/15/2022 THRU 09/15/2022	2024	CANCELED AC+2YRS	Q3	Cecil Foust	



DATE: June 25, 2024

TO: BOARD OF DIRECTORS

SUBJECT: Amendment No. 5 to Contract #2019-64 with Brown Armstrong Accountancy Corporation for CPA Financial Auditing Services

RECOMMENDATIONS:

1. Extend the maximum term of this contract from five to seven years.
2. Authorize the Executive Director/CEO to execute Amendment No. 5 to Contract #2019-64 with Brown Armstrong Accountancy Corporation, Bakersfield, CA for CPA financial auditing services for a one-year period not to exceed \$53,000 with one additional period remaining.

FISCAL IMPACT:

Sufficient funds have been included in the FY 2024, and future budgets to cover the cost of this service.

BACKGROUND:

In May 2019, the Board of Directors awarded Contract #2019-64 for a one-year term with combined renewals limited to five-years, and then subsequently awarded Amendment No. 1, Amendment No. 2, Amendment No. 3 and Amendment No. 4 in each of the subsequent years. The Brown Armstrong Accountancy Corporation was chosen for this contract due primarily to their understanding of AVTA's established processes, procedures, and practices, which will be beneficial when the Federal Transit Administration conducts its next Triennial Review.

The Brown Armstrong Accountancy Corporation has performed their duties diligently and worked as a cohesive partner with Authority staff. Therefore, staff recommends renewal of this year's contract renewal option for FY 2024/25.

Prepared by:

Submitted by:

Cecil Foust
Procurement and Contracts Officer

Martin J. Tompkins
Executive Director/CEO

Attachment A – Contract #2019-64-Amendment No. 5

LEVINE ACT

The Levine Act (Gov. Code Section 84308) prohibits AVTA officials from participating in certain decisions regarding licenses, permits, and other entitlements for use if the official has received a campaign contribution of more than \$250 from a party, participant, or agent of a party or participant in the previous 12 months. The Levine Act is intended to prevent financial influence on decisions that affect specific, identifiable persons or participants. For more information see the FPPC website: www.fppc.ca.gov/learn/pay-to-play-limits-and-prohibitions.html

SUBJECT TO THE LEVINE ACT

Permit, license, or entitlement for use
 Contract or grant

EXEMPT FROM THE LEVINE ACT

Competitively bid contract
 Labor or personal employment
 General policy and legislative actions

**ANTELOPE VALLEY TRANSIT AUTHORITY
LANCASTER, CALIFORNIA
PROFESSIONAL SERVICES CONTRACT AMENDMENT**

(Amendment to Change Contract Provisions During Contract Term)

CONTRACT NO. 2019-64 : AMENDMENT NO. 5

This Amendment No. 5 to the July 1, 2019, Professional Services Agreement, as amended by Amendment No. 1, Amendment No. 2, Amendment No. 3, and Amendment No. 4 (individually and collectively, "Agreement" or "Contract"), executed by and between **Antelope Valley Transit Authority**, 42210 6th St West, Lancaster, CA, 93534, ("Client"), and **Brown Armstrong Accountancy Corporation** (Consultant), 4200 Truxtun Avenue, STE 300, Bakersfield, CA 93309, a California corporation, with an effective date of July 1, 2023.

Recitals:

1. Client owns, operates and maintains a public transportation service serving the Antelope Valley.
2. On or about July 1, 2019, Client and Consultant entered into an agreement whereby Consultant would provide "CPA Financial Auditing Services."
3. On or about July 1, 2020, Client and Consultant added the first year renewal under Contract Amendment 1.
4. On or about July 1, 2021, Client and Consultant added the second year renewal under Contract Amendment 2.
5. On or about July 1, 2022, Client and Consultant added the third-year renewal under Contract Amendment 3.
6. On or about March 1, 2023, Client and Consultant added the third-year renewal under Contract Amendment 4.
7. The parties now desire to further amend the Agreement by adding additional funding and services.

THEREFORE, the parties hereto agree as follows:

1. The following changes are made to the above referenced contract number and shall be listed as Amendment Number 5:
 - a. Extend the total allowable contract years from five to seven
 - b. Add funding in the amount of: Fifty-three thousand dollars (\$53,000.00).
 - c. Add time period: July 1, 2024, to June 30, 2025.

2. In the event of any conflict between any provisions of this Amendment No. 5, the Agreement, or the Proposal, the provisions of this Amendment No. 5, then the Agreement, shall govern.

3. Except as otherwise expressly modified by this Amendment No. 5, all terms and conditions set forth in the Agreement shall continue in full force and effect. Nothing in Amendment No. 5, shall be deemed to excuse or waive any failure by consultant to satisfactorily perform all services required by the Agreement as it existed prior to the effective date of this Amendment No. 5.

CONSULTANT AUTHORIZED SIGNATURE

TO EFFECTUATE THIS Amendment Number 4, the parties have caused their duly authorized representatives to execute the same by signing below.

Signature

Title

Name (please print)

Date

Signature

Title

Name (please print)

Date

NOTE: Contractor/Consultant must sign above.
(Two (2) corporate signatures are required if a corporation)

ANTELOPE VALLEY TRANSIT AUTHORITY'S AUTHORIZED SIGNATURE

(This contract is not binding on AVTA until signed by the Board of Directors Chair or Executive Director/CEO or designee)

Approved:

Martin J. Tompkins, Executive Director/CEO or Designee**

Date



DATE: June 25, 2024

TO: BOARD OF DIRECTORS

SUBJECT: Set Public Hearing for Consideration of the Disadvantaged Business Enterprise (DBE) Program and Goal-Setting Methodology for Federal Fiscal Years (FFY) 2025 – 2027 (October 1, 2024 through September 30, 2027)

RECOMMENDATION

Set a Public Hearing for consideration of the DBE Program Update and Goal for FFY 2025 through 2027 on July 23, 2024.

FISCAL IMPACT

There is no direct fiscal impact.

BACKGROUND

AVTA receives federal financial assistance from the Department of Transportation (DOT) and, as a condition of receiving this assistance, AVTA has signed an assurance that it will comply with Title 49 CFR, Part 26, Participation by Disadvantaged Business Enterprises in DOT Financial Assistance Programs.

Every three years, staff reviews the Authority's DBE program and participation goal and updates where necessary to meet changing circumstances before submission to the FTA. The review requires a public hearing be opened to allow for outreach and public comment. The goal methodology and program has been posted on the AVTA website. In accordance with Public Participation Regulatory Requirements of Title 49 CFR Part 26, minority, women, local business associations, and community organizations within the AVTA market area are provided an opportunity to review the triennial goal analysis and provide input. The Authority has also published a notice in

the general circulation media. The public hearing would take place at the regularly scheduled AVTA Board meeting on July 23, 2024.

Prepared by:

Submitted by:

Francynn Tobar
Contract Administrator

Martin J. Tompkins
Executive Director/CEO

Attachment: A – DBE Program and Goal Methodology for FFY 2025 – 2027

LEVINE ACT

The Levine Act (Gov. Code Section 84308) prohibits AVTA officials from participating in certain decisions regarding licenses, permits, and other entitlements for use if the official has received a campaign contribution of more than \$250 from a party, participant, or agent of a party or participant in the previous 12 months. The Levine Act is intended to prevent financial influence on decisions that affect specific, identifiable persons or participants. For more information see the FPPC website: www.fppc.ca.gov/learn/pay-to-play-limits-and-prohibitions.html

SUBJECT TO THE LEVINE ACT

- Permit, license, or entitlement for use
- Contract or grant

EXEMPT FROM THE LEVINE ACT

- Competitively bid contract
- Labor or personal employment
- General policy and legislative actions



**42210 6TH STREET WEST
LANCASTER, CA 93534**

**Federal Transit Administration (FTA)
Overall Disadvantage Business Enterprise (DBE)
Goal-Setting Methodology**

Fiscal Federal Years (FFY) 2025-2027

Goal Period

August 1, 2024

Submitted in fulfillment of:

Title 49 Code of Federal Regulations Part 26

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DBE Goal Methodology

I. Introduction

Antelope Valley Transit Authority (AVTA) herein sets forth its Overall Disadvantaged Business Enterprise (DBE) Goal and corresponding federally prescribed goal-setting methodology for the three-year Federal Fiscal Year (FFY) goal period of 2025 – 2027 (October 1, 2024 through September 30, 2027), pursuant to Title 49 Code of Federal Regulations CFR) Part 26 "Participation by Disadvantaged Business Enterprises in U.S. Department of Transportation Programs." The purpose of the DBE goal-setting process is to level the playing field so that DBEs can compete fairly for Department of Transportation-assisted contracts, however, the program must be narrowly tailored in accordance with applicable law.

II. Background

AVTA is a recipient of U.S. Department of Transportation (USDOT), Federal Transit Administration (FTA), funding. As a condition of receiving this assistance, AVTA signed an assurance that it will comply with FTA's DBE requirements. In accordance with Title 49 CFR Part 26 provisions: Participation by DBEs in USDOT Programs, AVTA is required to develop and submit a Triennial Overall DBE Goal for its FTA-assisted projects.

AVTA herein presents its Overall DBE Goal Methodology for FFY 2025-2027.

III. FTA Assisted Contracting Program for FFY 2025-2027

Table 1 represents AVTA's FTA-assisted contracting program, which consists of projects considered in preparing this goal methodology. The projects, which include Construction, Professional Services and Materials/Supplies contracting opportunities, are anticipated to be awarded during the triennial period:

Table 1

Project	Amount	Federal share
Architectural & Engineering- North Lot	\$50,000.00	\$40,000.00
Construction- North Lot	\$2,500,000.00	\$2,000,000.00
Generator- 2 units -North Lot	\$1,300,000.00	\$1,040,000.00
DC Chargers + Installation-5 units-North Lot	\$651,125.00	\$520,900.00
Land- North Lot	\$500,000.00	\$100,000.00
Level III Chargers-11 units-North Lot	\$363,825.00	\$291,060.00
Project management- North Lot	\$24,000.00	\$19,200.00
Security Lighting- North Lot	\$100,000.00	\$80,000.00
Security Perimeter Fencing- North Lot	\$25,000.00	\$20,000.00

Security Perimeter Block Wall- North Lot	\$50,000.00	\$40,000.00
Switch Gear - North Lot	\$170,000.00	\$136,000.00
Land - Solar Farm	\$4,000,000.00	\$3,200,000.00
Communication & Server Room Upgrade- Facility Headquarters	\$100,000.00	\$80,000.00
Concrete Replacement- Maintenance Yard- Facility Headquarters	\$250,000.00	\$2,000,000.00
Courtyard Patio Cover- Facility Headquarters	\$150,000.00	\$120,000.00
Facility Access Upgrade- Facility Headquarters	\$50,000.00	\$40,000.00
Gate motors & Controls - Facility Headquarters	\$175,000.00	\$140,000.00
Maintenance Hillside & Renovation- Facility Headquarters	\$55,000.00	\$44,000.00
Pressure Wash Bay Renovation- Facility Headquarters	\$500,000.00	\$400,000.00
Restroom (admin) renovation	\$ 75,000.00	\$ 60,000.00
Resurface / restripe Asphalt -Parking Area- Facility Headquarters	\$300,000.00	\$240,000.00
Conduit Installation for Message Board & Lighting -South Valley Transit Center	\$300,000.00	\$240,000.00
Transit Center Amenities /Upgrade- Regional Partnership projects	\$200,000.00	\$160,000.00
Annual Communications Replacement Program (41)-Data and communications	\$71,000.00	\$56,800.00
Communications Equipment- Data and communications	\$25,000.00	\$20,000.00
Firewall Software Upgrade- Data and communications	\$25,000.00	\$20,000.00
Point of Sales Terminals (2) =Data and communications	\$1,000.00	\$800.00
Server Upgrade- Data and communications	\$195,000.00	\$156,000.00
Web Help Desk Upgrade- Data and communications	\$5,000.00	\$4,000.00
Website Redesign -Data and communications	\$50,000.00	\$40,000.00

Wi-Fi in Bus Yard- Data and communications	\$50,000.00	\$40,000.00
3D printer -Maintenance Equipment	\$10,000.00	\$8,000.00
Body Shop Shelving- Maintenance Equipment	\$30,000.00	\$24,000.00
DVIR Tablets and Software- Maintenance Equipment	\$31,000.00	\$24,800.00
Floor Scrubber- Maintenance Equipment	\$120,000.00	\$96,000.00
Key Café (2)- Maintenance Equipment	\$10,000.00	\$8,000.00
Radio Equipment- Maintenance Equipment	\$15,000.00	\$12,000.00
Shop Tools & Equipment- Maintenance Equipment	\$20,000.00	\$16,000.00
Tire Balancer- Maintenance Equipment	\$20,000.00	\$16,000.00
Tire Machine Replacement- Maintenance Equipment	\$30,000.00	\$20,000.00
Major Bus Components-OOW-Local Transit& Commuter	\$750,000.00	\$600,000.00
Charging Equipment-spare parts (WAVE, Heliox, ABB, BYD)- Local Transit& Commuter	\$400,000.00	\$320,000.00
Wraps & Logos- Local Transit& Commuter	\$100,000.00	\$80,000.00
Shop Truck Equipment-Support Fleet	\$30,000.00	\$24,000.00
transformers	\$200,000.00	\$160,000.00
2026		
Support Vehicles (3) -support vehicles	\$144,000.00	\$115,200.00
Transit Center Amenities/Upgrade-reginal partnership projects	\$250,000.00	\$200,000.00
Annual communications Replacement Program-Data and communications	\$75,000.00	\$60,000.00
Communications Equipment- Data and Communications	\$25,000.00	\$20,000.00
Radio equipment-Maintenance equipment	\$15,000.00	\$12,000.00
Shop tools Equipment- Maintenance equipment	\$20,000.00	\$16,000.00
Major Bus Components-OOW-Local Transit Commuter	\$750,000.00	\$600,000.00

Charging Equipment-spare parts (WAVE, Heliox, ABB, BYD)- Local Transit Commuter	\$200,000.00	\$160,000.00
Wraps & Logos- Local Transit Commuter	\$100,000.00	\$80,000.00
2027		
Support Vehicles (1) Vehicles	\$65,000.00	\$52,000.00
Transit Center Amenities /Upgrade-Regional Partnerships Program	\$250,000.00	\$200,000.00
Annual Communications Replacement Program- Data and communication	\$75,000.00	\$60,000.00
Communication Equipment-Data Communications	\$45,000.00	\$36,000.00
Radio Equipment-Maintenance Equipment	\$10,000.00	\$8,000.00
Shop Tools & Equipment- Maintenance Equipment	\$25,000.00	\$20,000.00
Major Bus Components -OOW-Local Transit Commuter	\$1,000,000.00	\$800,000.00
Charging Equipment-Spare parts (WAVE, Heliox, ABB, BYD) - Transit Commuter	\$300,000.00	\$240,000.00
Wraps &Logos - Transit Commuter	\$125,000.00	\$100,000.00
	\$17,550,950.00	\$15,536,760.00

AVTA does not pass any FTA funds to any subrecipients.

Table 2 provides a summary of the categories of work with estimated cost breakdown for each. Categories of work are groups utilizing comparable North American Industry Classification System (NAICS) codes for purposes of weighting the categories of work based on the staff estimates.

Table 2

Work Category	Amount	Federal share	NAICS Code	Commodity weight
Architectural & Engineering- North Lot	\$50,000.00	\$40,000.00	541300	0.3%
Construction	\$3,275,000.00	\$2,620,000.00	236220	17.0%
Generator- 2 units -North Lot	\$1,300,000.00	\$1,040,000.00	335312	6.8%
DC Chargers + Installation-5 units-North Lot	\$651,125.00	\$520,900.00	335999	3.4%
Land	\$4,500,000.00	\$3,300,000.00	237200	21.4%
Level III Chargers-11 units-North Lot	\$1,263,825.00	\$1,011,060.00	336320	6.6%
Project management- North Lot	\$24,000.00	\$19,200.00	541611	0.1%
Security Lighting- North Lot	\$100,000.00	\$80,000.00	335132	0.5%
Security Perimeter Fencing- North Lot	\$25,000.00	\$20,000.00	561621	0.1%
Security Perimeter Block Wall- North Lot	\$50,000.00	\$40,000.00	238190	0.3%
Switch Gear - North Lot	\$170,000.00	\$136,000.00	335313	0.9%

Communication & Server Room Upgrade- Facility Headquarters	\$100,000.00	\$80,000.00	237130	0.5%
Concrete Replacement- Maintenance Yard- Facility Headquarters	\$250,000.00	\$2,000,000.00	238110	13.0%
Courtyard Patio Cover- Facility Headquarters	\$150,000.00	\$120,000.00	327331	0.8%
Facility Access Upgrade- Facility Headquarters	\$50,000.00	\$40,000.00	561200	0.3%
Gate motors & Controls - Facility Headquarters	\$175,000.00	\$140,000.00	238290	0.9%
Maintenance Hillside & Renovation- Facility Headquarters	\$55,000.00	\$44,000.00	236118	0.3%
Pressure Wash Bay Renovation- Facility Headquarters	\$500,000.00	\$400,000.00	561790	2.6%
Resurface / restripe Asphalt - Parking Area- Facility Headquarters	\$300,000.00	\$240,000.00	324121	1.6%
2 units- transformers	\$200,000.00	\$20,000.00	335311	0.1%

Conduit Installation for Message Borad & Lighting -South Valley Transit Center	\$300,000.00	\$240,000.00	238210	1.6%
Annual Communications Replacement Program (41)-Data and communications	\$96,000.00	\$76,800.00	334200	0.5%
Firewall Software Upgrade- Data and communications	\$75,000.00	\$60,000.00	541511	0.4%
Data and communications	\$1,000.00	\$800.00	423420	0.0%
Server Upgrade- Data and communications	\$195,000.00	\$156,000.00	541519	1.0%
Web Help Desk Upgrade- Data and communications	\$5,000.00	\$4,000.00	519290	0.0%
Wi-Fi in Bus Yard- Data and communications	\$50,000.00	\$40,000.00	485113	0.3%
3D printer -Maintenance Equipment	\$10,000.00	\$8,000.00	811212	0.1%

Body Shop Shelving-Maintenance Equipment	\$30,000.00	\$24,000.00	811121	0.2%
DVIR Tablets and Software-Maintenance Equipment	\$31,000.00	\$24,800.00	423430	0.2%
Floor Scrubber- Maintenance Equipment	\$120,000.00	\$96,000.00	339994	0.6%
Key Café (2)- Maintenance Equipment	\$10,000.00	\$8,000.00	811310	0.1%
Maintenance Equipment	\$375,000.00	\$292,000.00	334220	1.9%
Major Bus Components-OOW-Local Transit& Commuter	\$2,500,000.00	\$2,004,000.00	336211	13.0%
Wraps & Logos- Local Transit& Commuter	\$325,000.00	\$260,000.00	541430	1.7%
Shop Truck Equipment-Support Fleet	\$30,000.00	\$24,000.00	333924	0.2%
Support Vehicles (3) -support vehicles	\$209,000.00	\$167,200.00	423110	1.1%

IV. Goal Methodology

a. Step 1: Determination of Base Figure (26.45)¹

To establish AVTA's Base Figure of the relative availability of DBEs relative to all comparable firms (DBE and Non-DBE) available to bid or submit proposals on AVTA's FTA-assisted contracting opportunities projected to be solicited during the triennial goal period, AVTA followed the prescribed federal methodology to determine relative availability. This was accomplished by assessing the California Unified Certification Program (CUCP) DBE Database of Certified Firms and the 2019 U.S. Census Bureau County Business Patterns Database within AVTA's market area, defined as Los Angeles and San Bernadino counties for each of the categories of work defined in Table 2.

¹ 26.45 represents Title 49 CFR Part 26 regulatory goal setting methodology reference.

The Federal DBE program requires agencies to implement the DBE program based on information from the relevant geographic market area-the area in which the agency spends the substantial majority of its contracting dollars.

AVTA's local market for contracts consists of a geographic area that:

- is where a large majority of contracting dollars is expended, and
- is where a substantial number of contractors and subcontractors are located and available to submit bids or quotes.

The AVTA’s bidder’s list was reviewed and it confirms this market area.

In accordance with the formula listed below, the Base Figure is derived by:

- dividing the number of ready, willing and able DBE firms identified for each NAICS work category by the number of all firms identified within AVTA's market area for each corresponding work category (relative availability),
- weighting the relative availability for each work category by the corresponding work category weight from Table 2 (weighted ratio), and
- adding the weighted ratio figures together.

$$\text{Base Figure} = \sum \frac{(\text{Number of Ready, willing and Able DBEs})}{(\text{Number of All Ready, willing and Able Firms})} \times \text{Weighted Ratio}$$

For the Numerator: CUPC Database of Certified Firms

For the denominator: 2019 U.S. Census Bureau County Business Patterns Database

A concerted effort was made to ensure that the scope of businesses included in the numerator were as close as possible to the scope included in the denominator.

The result of the Base Figure calculation is shown in Table 3 as follows:

Work Category	NAICS Code	Commodity weight	All Firms	DBEs	Relative availability	Weighted Ratio
Architectural & Engineering-North Lot	541300	0.3%	23	0	0%	0.0%
Construction	236220	17.0%	1127	203	18%	3.1%
Generator manufacture	335312	6.8%	8	0	0%	0.0%
DC Chargers + Installation-5 units-North Lot	335999	3.4%	34	10	29%	1.0%
Land	237200	21.4%	10	0	0%	0.0%
Level III Chargers-11 units-North Lot	336320	6.6%	19	3	16%	1.0%
Project management- North Lot	541611	0.1%	4079	825	20%	0.0%
Security Lighting- North Lot	335132	0.5%	210	20	10%	0.0%
Security Perimeter Fencing- North Lot	561621	0.1%	210	20	10%	0.0%
Security Perimeter Block Wall-North Lot	238190	0.3%	160	26	16%	0.0%

Switch Gear - North Lot	335313	0.9%	11	4	36%	0.3%
Communication & Server Room Upgrade- Facility Headquarters	237130	0.5%	56	36	64%	0.3%
Concrete Replacement- Maintenance Yard- Facility Headquarters	238110	13.0%	270	118	44%	5.7%
Courtyard Patio Cover- Facility Headquarters	327331	0.8%	7	3	43%	0.3%
Facility Access Upgrade- Facility Headquarters	561200	0.3%	179	16	9%	0.0%
Gate motors & Controls - Facility Headquarters	238290	0.9%	179	16	9%	0.1%
Maintenance Hillside & Renovation- Facility Headquarters	236118	0.3%	3500	61	2%	0.0%
Pressure Wash Bay Renovation- Facility Headquarters	561790	2.6%	333	35	11%	0.3%
Resurface / restripe Asphalt - Parking Area- Facility Headquarters	324121	1.6%	23	2	9%	0.1%
2 units- transformers	335311	0.1%	6	1	17%	0.0%
Conduit Installation for Message Borad & Lighting -South Valley Transit Center	238210	1.6%	2178	141	6%	0.1%
Computer programming services	334200	0.5%	2346	242	10%	0.1%
Firewall Software Upgrade- Data and communications	541511	0.4%	2346	242	10%	0.0%
Data and communications	423420	0.01%	441	2	0%	0.0%
Server Upgrade- Data and communications	541519	1.0%	260	24	9%	0.1%
Web Help Desk Upgrade- Data and communications	519290	0.03%	2346	242	10%	0.0%
Wi-Fi in Bus Yard- Data and communications	485113	0.3%	42	6	14%	0.0%
3D printer -Maintenance Equipment	811212	0.1%	175	0	0%	0.0%
Body Shop Shelving- Maintenance Equipment	811121	0.2%	1129	7	1%	0.0%
DVIR Tablets and Software- Maintenance Equipment	423430	0.2%	356	26	7%	0.0%
Floor Scrubber- Maintenance Equipment	339994	0.6%	5	0	0%	0.0%
Key Café (2)- Maintenance Equipment	811310	0.1%	421	12	3%	0.0%
Maintenance Equipment	334220	1.9%	32	2	6%	0.1%
Major Bus Components-OOW- Local Transit& Commuter	336211	13.0%	18	0	0%	0.0%

Wraps & Logos- Local Transit& Commuter	541430	1.7%	1181	22	2%	0.0%
Shop Truck Equipment-Support Fleet	333924	0.2%	9	0	0%	0.0%
Support Vehicles (3) -support vehicles	423110	1.1%	232	1	0%	0.0%
Base Figure						12.9%

b. Step 2: Adjusting the Base Figure

Upon establishing the Base Figure, AVTA reviewed and assessed other known evidence potentially impacting the relative availability of DBEs within the market area, in accordance with prescribed narrow tailoring provisions as set forth under 49 CFR Part 26.45: Step 2, DBE Goal Adjustment Guidelines.

Evidence considered in making adjustments to the Base Figure included Past DBE Goal Attainments and Other Evidence, as follows:

1) Past DBE Goal Attainments

Historical DBE participation attainments provide demonstrable evidence of DBE availability and capacity to perform on AVTA projects. The projects anticipated to be awarded during the triennial period are substantially similar to those awarded in the recent past. AVTA proceeded to calculate past DBE participation attainments for the three (3) federal fiscal years, for which DBE attainment data is available. The table below reflects the demonstrated capacity of DBEs (measured by actual historical DBE participation attainments) on FTA- assisted contracts awarded by AVTA within the last three (3) federal fiscal years.

Table 4

Federal Fiscal Year (FFY)	FTA DBE Goal Attainment %
2021	.87%
2022	3.0%
2023-2024	24%
Median DBE Attainment Within the Last Three (3) Years	3.0%

The median established for the past three years was derived from limited participation of DBEs in the market area, it is significantly lower than the Base Figure derived from Step 1. Therefore, an adjustment to the Base Figure based on AVTA's past DBE goal attainments has been made. The adjustment is calculated by averaging the Base Figure with the median DBE Past Attainment, as shown below.

Base Figure (A)	12.9%
Median DBE Attainment (B)	3.0%
Adjusted Base Figure [(A+B)/2]	7.95%

2) AVTA’s Bidder’s List

AVTA will continue to capture Bidders List information for the identification and potential use in meeting future DBE goal determinations.

3) Disparity Study

AVTA has reviewed the recent Los Angeles Metro disparity study. After careful consideration, AVTA has determined that the scope of work was substantially different than what AVTA provides. Therefore, AVTA has not adjusted the based figure due to a local disparity study.

AVTA uses a strictly race-neutral DBE program since the Western States decision. If AVTA fails to reach its goal for one more complete federal fiscal year, AVTA will we re-evaluate its DBE program to determine whether contract goals are necessary to achieve the overall goal. If after re-evaluation AVTA believes a race-conscious program is necessary, as required by Western States, AVTA will gather evidence to determine if discrimination in the transportation contracting industry is present. AVTA will make a determination at that time what type of evidence gathering is appropriate, based on DOT regulations and case law.

4) Other Available Evidence

AVTA is not in possession of other information that would have an impact on the DBE goal assessment.

V. Proposed Overall DBE Goal

The Final Proposed Overall DBE Goal for FFY 2025-2027 for AVTA's FTA-assisted contracts is 9%². The DBE Goal based on the federal share is a Race Neutral goal and AVTA will implement race neutral measures to achieve this goal, as generally described in the following section. As a part of the prescribed goal-setting methodology, AVTA must project the percentage of its Proposed Overall DBE Goal that can be met utilizing race-neutral and race-conscious measures.

Race-Conscious & Race-Neutral Projection

AVTA intends to continue to use race-neutral methods to meet the overall DBE goal of 9% for FFY 2025-2027 in accordance with Title 49 CFR Part 26.51.

Race/Gender-Conscious & Race/Gender-Neutral Projections	
Overall DBE Goal	8%
Race/Gender-Conscious Component	0%
Race/Gender-Neutral Component	8%

VI. Race-Neutral Implementation Measures

AVTA is currently implementing a number of race- and gender-neutral remedies to outreach and promote the participation of DBEs and small businesses in AVTA' FTA-assisted contracting program. AVTA plans to continue or implement the following race-neutral measures for FFY 2025-2027 and will continue to explore

² Rounded to a whole number

other options for consideration based on AVTA' success in meeting its overall DBE goals based on these efforts:

- AVTA will encourage DBE and other small business contracting community to register and receive solicitation notices through its on-line procurement website:
<https://www.planetbids.com/portal/portal.cfm?CompanyID=25014s> .
- AVTA will host and participate in workshops for the DBE and small business contracting community. AVTA will attend and participate in vendor fairs hosted by unrepresented groups and other public agencies.
- AVTA will unbundle solicitations, provide pre-bid/pre-proposal conferences to afford networking opportunities for primes and subcontractors. AVTA will promote and encourage teaming opportunities between prospective prime contractors and the DBE and small business contracting community. Arrange solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitate DBE and other small business participation.
- Structure solicitations to remove barriers such as the inability to obtain bonding or financing (e.g., by such means as simplifying the bonding process, reducing bonding requirements, eliminating the impact of surety costs from bids, and providing services to help DBEs, and other small businesses, obtain bonding and financing).
- AVTA will solicit DBEs and other small businesses participation by carrying out information programs through use of advertisement and other communication methods on contracting procedures and specific contract opportunities (e.g., ensuring the inclusion of DBEs, and other small businesses, on recipient mailing lists of bidders; ensuring the dissemination to bidders on prime contracts of lists of potential subcontractors; provision of information in languages other than English, where appropriate).
- As a supportive service to help develop and improve immediate and long-term business management, record keeping, and financial and accounting capability for DBEs and other small businesses, AVTA will actively promote the small business conferences, programs, and support services offered by other agencies that have established DBE and other small business programs. AVTA will also begin conducting “How to do Business with AVTA” and DBE workshops.
- AVTA will advise its contracting community of the online directory of certified DBEs, found at the California Unified Certification Program website:
http://www.dot.ca.gov/hq/bep/find_certified.htm.
- AVTA will also advise the contracting community of the available small businesses certified by the California Department of General Services (DGS) and found at:
<http://www.dgs.ca.gov/pd/Programs/eprocure.aspx> .
- AVTA will advise the DBE and small business community to participate in Caltrans’ related bidding/proposal opportunities at <http://www.dot.ca.gov/hq/esc/oe/>. AVTA will also encourage DBEs and small businesses to seek the assistance and training through the U.S. Small Business Administration at www.sba.gov .

Fostering Small Business Participation³

AVTA has implemented several strategies to foster small business participation in its contracting process. These include the following:

- Advertise and push out solicitation notifications thru AVTA’s new procurement system website.
- Conducting “How to do Business with AVTA” and DBE workshops.
- On larger prime contracts requiring the prime contractor to consider subcontracting opportunities of a size that small businesses, including DBEs, can reasonably perform, rather than self-performing all the work involved.
- Identifying alternative acquisition strategies and structuring procurements to facilitate the ability of consortia or joint ventures consisting of small businesses, including DBEs, to compete for and perform prime contracts.
- Ensuring that a reasonable number of prime contracts are of a size that small businesses, including DBEs, can reasonably perform.
- Provide outreach to current AVTA contractors or past AVTA contractors who may qualify for DBE-certification by encouraging them to seek and obtain DBE-certification.

VII. Public Participation and Facilitation

In accordance with Public Participation Regulatory Requirements of Title 49 CFR Part 26, minority, women, local business associations, and community organizations within the AVTA market area were consulted and provided an opportunity to review the triennial goal analysis and provide input.

AVTA issued a Public Notice on AVTA’s website (Attachment 1) publishing the AVTA Draft Proposed FTA Overall DBE Goal-Setting Methodology for FFY 2025-FFY 2027. The notice informed the public that the proposed goal and rationale were available for inspection at AVTA’ principal office during normal business hours and that AVTA would accept comments on the goal analysis for 45 days from the date of the Public Notice.

AVTA reached out to a total of 12 local minority, women, and community business organizations to provide them information on the AVTA DBE program and specifically the Draft Proposed FTA Overall DBE Goal-Setting Methodology for FFY 2025-2027. Each organization was contacted multiple times by telephone and email. A summary of all contact made in an attempt to receive input as a part of this process can be found in Attachment 2.

AVTA placed notices in the Antelope Valley Press and Our Weekly publications (Attachment 3) and conducted outreach meetings to provide opportunities for public comment.

No comments were received.

³ See Title 49 CFR Part 26 Section 26.39 “Fostering Small Business Participation”

Attachment 1: Website Notification

Attachment 2: Consultative Process Summary

Attachment 3: Publication/Outreach Meeting



DATE: June 25, 2024
TO: BOARD OF DIRECTORS
SUBJECT: Fiscal Year 2025 DRAFT Budget

RECOMMENDATION:

Approve the Fiscal Year 2025 DRAFT Budget.

FISCAL IMPACT:

The FY 2025 operating revenue totals \$39,629,384, while the operating expenditure total is \$43,349,745, producing a deficit of \$3,720,361. The capital budget of \$13,513,950 reflects large projects carried over from prior year such as the Solar Farm and Shared Charging Lot, along with several new projects.

BACKGROUND:

The Authority has exhausted all Coronavirus stimulus relief funds and will utilize FTA Sections 5307 and 5337 formula funds to allow continuous operations, preventive maintenance, and to serve our communities. Attachments A and B detail the DRAFT Operating and Capital Budgets.

Prepared by:

Submitted by:

Judy Vaccaro-Fry
Chief Financial Officer

Martin J. Tompkins
Executive Director/CEO

Attachments: A – FY 2025 DRAFT Operating Budget Details
B – FY 2025 DRAFT Capital Budget Details

LEVINE ACT

The Levine Act (Gov. Code Section 84308) prohibits AVTA officials from participating in certain decisions regarding licenses, permits, and other entitlements for use if the official has received a campaign contribution of more than \$250 from a party, participant, or agent of a party or participant in the previous 12 months. The Levine Act is intended to prevent financial influence on decisions that affect specific, identifiable persons or participants. For more information see the FPPC website: www.fppc.ca.gov/learn/pay-to-play-limits-and-prohibitions.html

SUBJECT TO THE LEVINE ACT

- Permit, license, or entitlement for use
- Contract or grant

EXEMPT FROM THE LEVINE ACT

- Competitively bid contract
- Labor or personal employment
- General policy and legislative actions

FISCAL YEAR 2025 (FY 2025)

PRELIMINARY OPERATING BUDGET ASSUMPTIONS

OPERATING REVENUE

- **FTA Formula Grants:** AVTA will use 5307 and 5337 FTA Formula Funds in FY 2025. AVTA will use \$7,311,543 of 5307 funding for Preventative Maintenance Costs and \$4,081,247 for Operations. AVTA will use an additional \$945,514 of 5337 FTA Formula Funds for Preventative Maintenance Costs.
- **Fare Revenue:** Ridership levels, although increasing, are not yet at pre-COVID levels. Additionally, due to unforeseen battery and charging challenges, AVTA temporarily transitioned to leased buses that do not have a fare box for the commuter routes. The anticipated loss in revenue due to this issue for FY 2025 is approximately \$236K. Therefore the projected revenue for FY 2025 is \$2,264,000 which is a 9.4% decrease from FY 2024 budgeted revenue.
- **Tax Revenue:** According to the most recent Transit Fund Allocations draft from the Los Angeles County Metropolitan Transportation Authority (LACMTA), the agency will receive a total of over \$18.2 million in operating funds. This represents an increase of 2.8% over FY 2024.
- **Jurisdictional Operating Contributions:** Contributions for FY 2025 will remain at the same rates as FY 2024 for the City of Lancaster, and the City of Palmdale. The 29% increase awarded from LA County in FY 2023 and 2024 was not approved for inclusion in the FY 2025 budget. Discussions between the jurisdictional partners have been ongoing, and we are confident a resolution will be reached in FY 2025. Any approved increases to jurisdictional contributions will be captured during the midyear budget adjustment process, or at the end of the fiscal year reconciliation.
- **Other Operating Revenues:** Advertising revenue is budgeted at \$165K. Low-Carbon Fuel Standard (LCFS) credits are sold at market value and are estimated at \$700K. Interest rates have risen significantly and so AVTA anticipates a raise in earnings. Interest/investment income is conservatively budgeted at \$700K. AVTA is also anticipating almost \$66k in property lease revenue.
- **Expense Reimbursement:** In the spring of calendar year 2024, AVTA experienced significant battery and charging challenges with several MCI commuter coaches. In the interest of customer safety, AVTA took all MCI commuter buses out of service and replaced them with leased diesel buses. AVTA anticipates receiving significant cost reimbursement from MCI during FY 2025.

OPERATING EXPENDITURES

- **Purchased Transportation:**

- **Fixed-Route:** FY 2025 is the third year MV will be AVTA's fixed-route purchased transportation provider. The new contract states a revenue hour rate increase from \$106.77 to \$112.01 in FY 2025. Additionally AVTA will add \$4 per revenue hour to offset MV's higher staffing costs. AVTA is budgeting as close to actual revenue hours as possible in FY 2025 and therefore anticipates just over 187K revenue hours during the fiscal year resulting in a cost increase of 9.2%.
- **Micro-transit, DAR, and NEMT:** AVTS provides service for these on-demand services. These services continue to gain popularity and ridership is increasing. The total budget for all these services in FY 2025 is just over \$5.5 million representing an increase of 39%.

- **Bus Propulsion:** The majority of AVTA's fleet is electric, however, due to the charging issues of MCI electric buses, AVTA will need to temporarily purchase diesel fuel at an estimated cost of over \$1.1 million for one year. Additionally, AVTA anticipates \$2.6 million in electric propulsion costs. AVTA is in the process of procuring a direct source for electricity, which would yield significant savings, however this budget does not assume that decrease at this time. Mid-year budget review will be used to make any needed adjustments.

- **Personnel:** AVTA plans to maintain the 54 person staff during FY 2025. The FY 2025 personnel budget assumes a 3.2% COLA enacted on July 1, and a maximum merit raise of 3%. AVTA anticipates a 1.6% increase in total personnel costs in FY 2025

- **Benefits:** The employee benefit structure has recently been modified for new hires with the Authority contributing 75% toward the employee, and 25% toward spouse and family. Employee benefit costs are expected to slightly decrease by 3%.
- **Pension:** The employer share of CalPERS has risen for FY 2025 to 11.88% from 11.44 % for CalPERS Classic. CalPERS Public Employee Pension Reform Act (PEPRA) employer contribution has risen to 7.87% from 7.68% the year prior. CalPERS calculates pension contributions based on payroll figures one year in arrears. The employee contribution share for CalPERS Classic employees is paid by AVTA.

FY 2025 Preliminary Operating Budget Assumptions

June 25, 2024

Page 3

- **Insurance:** Insurance coverage costs are estimated to increase 3% above prior year costs. Actual rates will likely be complete in June 2025 after the budget is completed and will be included in the mid-year review.
- **Capital Outlay:** FTA has discontinued the availability of Transportation Development Credits for the use of local match requirements on capital projects. Therefore AVTA has a significant increase in local match requirement of over \$1.7 million.
- **General and Administrative Costs:** AVTA anticipates an overall increase in costs of 11.7% with significant increases in legal fees.
- **Other Operating Costs:** AVTA anticipates an overall decrease in costs primarily due to the discontinued use of leased buses for fixed-route local services.
- **Leased Bus Expense:** AVTA anticipates significant costs to lease replacement buses totaling over \$2.8 million for one year. Fuel, Lease expense and parts are included in the total Leased Bus Expense amount.

	FY 2022-2023 Actual	FY 2023-2024 As Budgeted	FY 2024-2025 Proposed Budget	Total Amount over (under) FY 2024 Budget
Revenue				
Fare Revenue	\$ 2,320,679	\$ 2,500,000	\$ 2,264,000	\$ (236,000)
Jurisdictional Contributions (Ops)	\$ 3,514,477	\$ 3,514,638	\$ 3,333,974	\$ (180,664)
Metro FAP	\$ 15,666,427	\$ 17,718,624	\$ 18,221,518	\$ 502,894
Other Revenue	\$ 1,775,867	\$ 1,263,500	\$ 1,673,654	\$ 410,154
Federal Formula Grants	\$ 16,965,572	\$ 9,877,239	\$ 12,416,238	\$ 2,538,999
Expense Reimb.			\$ 1,720,000	\$ 1,720,000
Revenue Total	\$ 40,243,021	\$ 34,874,001	\$ 39,629,384	\$ 4,755,383
Expense				
Fuel/Electricity	\$ 2,297,353	\$ 2,211,409	\$ 2,611,003	\$ 399,594
Gen & Admin Costs	\$ 1,427,027	\$ 1,441,661	\$ 1,618,542	\$ 176,881
Leased Buses (MCI)			\$ 2,865,000	\$ 2,865,000
Other Operating Costs	\$ 1,640,643	\$ 2,104,761	\$ 1,970,987	\$ (133,774)
Purchased Transportation	\$ 20,994,881	\$ 23,306,511	\$ 27,325,687	\$ 4,019,176
Wages & Benefits	\$ 6,137,822	\$ 5,654,213	\$ 5,746,881	\$ 92,668
Capital Outlay	\$ -	\$ 155,446	\$ 1,211,646	\$ 1,056,200
Expense Total	\$ 32,497,726	\$ 34,874,001	\$ 43,349,745	\$ 8,475,744
Surplus/(Deficit)	\$ 7,745,296	\$ -	\$ (3,720,361)	\$ (3,720,361)
Asset Outlay			\$ 3,720,361	\$ 3,720,361

Surplus shown for FY 2023 is due to a change in draw down methodology for that fiscal year.



FACILITIES	
AVTA FACILITY IMPROVEMENTS	
Solar Farm	
Land	\$ 3,168,000
Shared Charging Infrastructure - North Lot	
Architectural & Engineering	\$ 50,000
Construction	\$ 2,500,000
Generator - 2 units	\$ 1,300,000
DC Chargers + Installation - 5 units	\$ 651,125
Land	\$ 500,000
Level III Chargers - 11 units	\$ 363,825
Project Management	\$ 24,000
Security Lighting	\$ 100,000
Security Perimeter Fencing	\$ 25,000
Security Perimeter Block Wall	\$ 50,000
Switch Gear	\$ 170,000
Transformers	
2 units	\$ 200,000
PHASE III Update - Facility Headquarters	
Breakroom/Office Renovations	\$ 175,000
Communication & Server Room Upgrade	\$ 100,000
Concrete Replacement - Maintenance Yard	\$ 250,000
Courtyard Patio Cover	\$ 150,000
Facility Access Upgrade	\$ 50,000
Gate Motors & Controls	\$ 175,000
Maintenance Hillside Renovation	\$ 55,000
Pressure Wash Bay Renovation	\$ 500,000
Restroom (Admin) Renovation	\$ 75,000
Resurface/Restripe Asphalt - Parking Areas	\$ 300,000
TRANSIT CENTER IMPROVEMENTS	
South Valley Transit Center	
Lighting - SSOMP Transit Center	\$ 200,000
Conduit Installation for Message Board & Lighting	\$ 300,000
AVTA FACILITY IMPROVEMENTS TOTAL	
	\$ 11,431,950

EQUIPMENT	
INFORMATION TECHNOLOGY	
Data and Communications	
Annual Communications Replacement Program (41)	\$ 71,000
Communications Equipment	\$ 25,000
Firewall Software Upgrade	\$ 25,000
Server Upgrade	\$ 195,000
Web Help Desk Upgrade	\$ 5,000
Website Redesign	\$ 50,000
Wi-Fi in Bus Yard (8)	\$ 50,000
FLEET & FACILITIES EQUIPMENT	
Maintenance Equipment	
3D Printer	\$ 10,000
Body Shop Shelving	\$ 30,000
DVIR Tablets	\$ 31,000
Floor Scrubber	\$ 120,000
Key Café (2)	\$ 10,000
Radio Equipment	\$ 15,000
Shop Tools & Equipment	\$ 20,000
Tire Balancer	\$ 20,000
Tire Machine Replacement	\$ 30,000
VEHICLE EQUIPMENT	
Local Transit & Commuter	
Charging Equipment (WAVE, Heliox, ABB, BYD)	\$ 400,000
Major Bus Components - OOW	\$ 750,000
Mobile Validators	\$ 95,000
Wraps & Logos	\$ 100,000
Support Fleet	
Shop Truck Equipment	\$ 30,000
EQUIPMENT TOTAL	\$ 2,082,000
AVTA FY25 CAPITAL PROJECTS TOTAL	\$ 13,513,950

FY 2025 *DRAFT* **Operating & Capital Budget**

Presentation to AVTA Board of Directors
June 25, 2024



UPDATED FROM PROPOSED

CAPITAL: \$13,513,950

- Reduction in Land Cost
- Added Lighting in Transit Center Improvements

OPERATING: \$43,349,745

- Reduction in Jurisdictional Contributions
- Reduction in Local Match needed

FY 2025 TOTAL: \$56,863,695



2025 BUDGET SUMMARY

OPERATING

❖ Revenues	\$39,629,384
❖ Expenditures	\$43,349,745

DEFICIT: (\$3,720,361)



YEAR OVER YEAR COMPARISON

ITEM	2017	2018	2019	2020	2021	2022	2023	2024	2025	TOTALS
OPERATING BUDGET	\$ 21,612,622	\$ 24,578,186	\$ 25,357,003	\$ 33,520,517	\$ 33,335,086	\$ 32,947,795	\$ 34,994,117	\$ 34,874,001	\$ 43,349,745	
+/- TOTAL	\$ (275,402)	\$ 2,965,564	\$ 778,817	\$ 8,163,514	\$ (185,431)	\$ (387,291)	\$ 2,046,322	\$ (120,116)	\$ 8,475,744	\$21,461,721

OPERATING BUDGET 2017 - 2025

TOTAL \$ INCREASE \$21,737,123

TOTAL % INCREASE 101%



FY 2025 OPERATING DETAIL



REVENUES v. EXPENSES

REVENUE / EXPENSE	FY 2023-2024 As Budgeted	FY 2024-2025 Proposed Budget	Total Amount + / - FY 2024 Budget
Revenue			
Fare Revenue	\$ 2,500,000	\$ 2,264,000	\$ (236,000)
Jurisdictional Contributions (Ops)	\$ 3,514,638	\$ 3,333,974	\$ (180,664)
Metro FAP	\$ 17,718,624	\$ 18,221,518	\$ 502,894
Other Revenue	\$ 1,263,500	\$ 1,673,654	\$ 410,154
Federal Formula Grants	\$ 9,877,239	\$ 12,416,238	\$ 2,538,999
Expense Reimbursement		\$ 1,720,000	\$ 1,720,000
Revenue Total	\$ 34,874,001	\$ 39,629,384	\$ 4,755,383
Expense			
Fuel/Electricity	\$ 2,211,409	\$ 2,611,003	\$ 399,594
Gen & Admin Costs	\$ 1,441,661	\$ 1,618,542	\$ 176,881
Leased Buses (MCI)		\$ 2,865,000	\$ 2,865,000
Other Operating Costs	\$ 2,104,761	\$ 1,970,987	\$ (133,774)
Purchased Transportation	\$ 23,306,511	\$ 27,325,687	\$ 4,019,176
Wages & Benefits	\$ 5,654,213	\$ 5,746,881	\$ 92,668
Capital Outlay	\$ 155,446	\$ 1,211,646	\$ 1,056,200
Expense Total	\$ 34,874,001	\$ 43,349,745	\$ 8,475,744



FY 2025 CAPITAL DETAIL



CAPITAL DETAILS

CAPITAL PROJECTS	Capital Budget
FACILITIES	
AVTA FACILITY IMPROVEMENTS	
Solar Farm	
Land	\$ 3,168,000
Shared Charging Infrastructure - North Lot	
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South Valley Transit Center	
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Conduit Installation for Message Board & Lighting	\$ 300,000
AVTA FACILITY IMPROVEMENTS TOTAL	\$ 11,431,950

CAPITAL:
\$13,513,950

- **FTA Funds**
\$ 9,067,645
- **State Funds**
\$ 3,390,105
- **AVTA Funds**
\$ 1,056,200

CAPITAL PROJECTS	Capital Budget
EQUIPMENT	
INFORMATION TECHNOLOGY	
Data and Communications	
Annual Communications Replacement Program (41)	\$ 71,000
Communications Equipment	\$ 25,000
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Shop Truck Equipment	\$ 30,000
EQUIPMENT TOTAL	\$ 2,082,000
AVTA FY25 CAPITAL PROJECTS TOTAL	\$ 13,513,950

2025 CAPITAL BUDGET

CAPITAL

❖ Expenditures \$13,513,950

<u>DEPARTMENT</u>		<u>TOTAL PROJECTS</u>
EXECUTIVE / PROCUREMENT	\$	3,718,000
MARKETING	\$	50,000
OPERATIONS	\$	595,000
INFORMATION TECHNOLOGY	\$	521,000
MAINTENANCE - FLEET	\$	6,799,950
MAINTENANCE - HEADQUARTERS	\$	1,830,000



Questions?

RECOMMENDATION

Approve AVTA's FY 2025 *DRAFT* Operating & Capital Budget





DATE: June 25, 2024
TO: BOARD OF DIRECTORS
SUBJECT: Proposed Service Changes

RECOMMENDATION

Instruct the Executive Director/CEO to review efficiencies across all local transit routes in the cities of Lancaster, Palmdale, and unincorporated areas of Los Angeles County and provide a recommendation to include reduction and or elimination of service hours.

- Micro Transit: Reduce the number of trips that generate within the above-described service areas.
- Route 50: Eliminate all service hours.
- Route 51: Eliminate all service hours.
- Route 52: Eliminate all service hours.
- Route efficiencies on routes: 1, 2, 3, 4, 5, 7, 8, 9. Routes 11, 12 and all commuter service will remain unchanged.

FISCAL IMPACT

The reduction and or elimination of these services will produce a savings of \$2,641,976.94. This proposed savings will reduce AVTA' s FY 24/25 projected deficit of \$3,720,361 down to \$1,078,384.06

BACKGROUND

As of 2016, AVTA added services within the jurisdictions of: the City of Lancaster, City of Palmdale, and unincorporated rural areas of Los Angeles County. Year after year, contracted operating costs continue to increase with the most recent contractor change that assumed a 32% increase in labor costs. Additionally, AVTA has permanently lost \$1,700,000 in state toll credit funding for FY 24/25 and forward. The increase in contracted operations and reduction in funding is no longer sustainable.

Proposed Service Changes

June 25, 2024

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As soon as the staff finalizes the changes and cuts, we will reach out to each jurisdictional partner with the recommendation and add this item to the July board agenda for review by the full Board of Directors.

Prepared and submitted by:

Martin J. Tompkins
Executive Director/CEO

LEVINE ACT

The Levine Act (Gov. Code Section 84308) prohibits AVTA officials from participating in certain decisions regarding licenses, permits, and other entitlements for use if the official has received a campaign contribution of more than \$250 from a party, participant, or agent of a party or participant in the previous 12 months. The Levine Act is intended to prevent financial influence on decisions that affect specific, identifiable persons or participants. For more information see the FPPC website: www.fppc.ca.gov/learn/pay-to-play-limits-and-prohibitions.html

SUBJECT TO THE LEVINE ACT

- Permit, license, or entitlement for use
- Contract or grant

EXEMPT FROM THE LEVINE ACT

- Competitively bid contract
- Labor or personal employment
- General policy and legislative actions