



Regular Meeting of the Board of Directors

Tuesday, June 23, 2020

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 to speak. A three-minute time limit will be imposed on all speakers other than 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.

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 Steve Hofbauer, Director Raj Malhi, Director Michelle Flanagan, Director Richard Loa

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. Please complete a speaker card (available as you enter the Community Room) and provide it to the Clerk of the

Board. Speaking clearly, state and spell your name for the record. **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.** Each speaker is limited to three (3) minutes.

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 FOR MAY – JUDY VACCARO-FRY

SRP 2 OPERATIONS KEY PERFORMANCE INDICATORS (KPI) REPORT – MARTIN TOMPKINS

SRP 3 MAINTENANCE KPI REPORT – CECIL FOUST

CONSENT CALENDAR (CC): Items 1 through 6 are consent items that 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 26, 2020 – KAREN DARR

Recommended Action: Approve the Board of Directors Regular Meeting Minutes of May 26, 2020.

CC 2 FINANCIAL REPORT FOR MAY 2020 – JUDY VACCARO-FRY

Recommended Action: Receive and file the Financial Report for May 2020.

CC 3 RENEWAL OF AGREEMENT WITH LOS ANGELES COUNTY SHERIFF’S DEPARTMENT (LASD) FOR TRANSIT LAW ENFORCEMENT SERVICES RESERVE UNIT – LYLE BLOCK

Recommended Action: Authorize the Executive Director/CEO to renew the Letter of Understanding with the LASD for transit law enforcement services covering the term July 1, 2020 through June 30, 2021, as outlined in the letter to Sheriff Alex Villanueva.

CC 4 PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP) – MARTIN TOMPKINS

Recommended Action: 1) Approve the Public Transportation Agency Safety Plan (Attachment B) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements; and 2) Adopt Resolution 2020-005 (Attachment A), adopting the PTASP.

CC 5 CONTRACT #2020-48 TO FAST-TRACK CONSTRUCTION CORPORATION FOR ELECTRIC CHARGING STATIONS AT ANTELOPE VALLEY COLLEGE (AVC)– LYLE BLOCK

Recommended Action: Authorize the Executive Director/CEO to execute Contract #2020-48 with Fast-Track Construction Corporation, Culver City, CA for electric car and bus charging stations at AVC for the amount of \$607,520.25, plus applicable permit fees and sales tax.

CC 6 CONTRACT #2020-56 TO DUKE ENGINEERING FOR THE DESIGN BUILD OF THE AVTA EMPLOYEE WELLNESS CENTER – MACY NESHATI

Recommended Action: Authorize the Executive Director/CEO to execute Contract #2020-56 with Duke Engineering for the Design Build of the AVTA Employee Wellness Center at the AVTA facility in the amount of \$350,000, including applicable taxes and fees.

NEW BUSINESS (NB):

NB 1 FISCAL YEAR 2020/2021 (FY 2021) PROPOSED BUDGET – JUDY VACCARO-FRY

Recommended Action: Adopt the Proposed FY 2021 Budget.

NB 2 TITLE VI PROGRAM UPDATE FOR FISCAL YEARS 2020/2021-2022/2023 – KELLY MILLER

Recommended Action: 1) Approve AVTA’s Title VI Program Update for FY 2020/2021 through FY 2022/2023 as required by the Federal Transit Administration; and 2) Adopt Resolution No. 2020-006, adopting AVTA’s Title VI Program Update.

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 (one potential case)

- CS 2 Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(4)
Consideration of whether to initiate litigation (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 made or questions posed by the public, asking a question for clarification, making a brief announcement, or making a brief report on their own 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 28, 2020 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 18, 2020 at the entrance to the Antelope Valley Transit Authority, 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.

Legislative Update

Presentation to AVTA Board of Directors
June 23, 2020



STATE



State Update

No movement on three transit related bills since March.

NEW: SB-288 California Environmental Quality Act: exemptions.

This bill would revise exemptions and further exempt from the requirements of CEQA certain projects for the institution or increase of **bus rapid transit** and regional rail services on public rail or highway rights of way, as specified, whether or not it is presently used for public transit, as specified, and projects for the institution or increase of passenger or commuter service on high-occupancy vehicle lanes or existing roadway shoulders.

The bill would additionally exempt projects for rail, light rail, and **bus maintenance, repair, storage, administrative, and operations facilities**; and projects for the repair or rehabilitation of publicly-owned local, major or minor collector, or minor arterial or major arterial bridges, as specified.



State Budget Update

On June 15, the Legislature passed SB 74 (Mitchell), the Budget Act of 2020.

A \$142 billion general fund spending plan agreed to by the Senate and Assembly.

Action on this budget bill was necessary to meet the state's constitutional deadline of June 15 for passage of a balanced state budget.

The Legislature is expected to take final action in the coming weeks to approve several statutory relief measures through a budget trailer bill

Summer - budget adjustments will be made to reflect changes in state revenue projections and to approve the Legislature's Cap and Trade Expenditure Plan



FEDERAL



Low or No Emission Grant

| | Five 60 Foot Zero Emission Battery Electric Buses | Six 30 Foot Zero Emission Battery “Microtransit” Electric Buses | Charging Equipment | TOTAL |
|--|--|--|-------------------------------|---|
| FTA Grant request | \$4,094,204 | \$1,609,052 | \$550,000 | \$6,253,256 |
| AVTA match | AVTA: \$454,912 HVIP: \$875,000 Total: \$1,329,912 | AVTA: \$112,905 HVIP: \$480,000 Total: \$592,905 | \$55,000 | AVTA: \$622,817 HVIP: \$1,355,000 Total: \$1,977,817 |
| TOTAL (per project component) | \$5,424,116 | \$2,201,957 | \$605,000 | \$8,231,072 |

Low or No Emission Grant (LoNo)

FTA received 147 eligible proposals requesting \$513 million in federal funds.

- Total \$129,956,625 awarded
- 41 projects in 40 states and the District of Columbia.
- AVTA is the **ONLY** California grant recipient
- 3rd highest award overall
- AVTA is a repeat LoNo awardee; in 2017 = 1 bus.

Selected projects include the purchase or lease of buses powered by modern, efficient technologies, including hydrogen fuel cells, battery electric engines, and related infrastructure investments such as charging stations.



Surface Transportation Reauthorization

INVEST – “Investing in a New Vision for the Environment and Surface Transportation in America” Act

47% increase in overall transit funding. Most of the money runs through the formula.

New grant programs specific to zero emission vehicles and new bus garages for fleet expansion

\$600 million competitive program akin the TIGER/BUILD program

Low or No Emission program – only electric. Minimum award thresholds; 5 for small agencies, 10 for large agencies



Surface Transportation Reauthorization

Includes \$105 billion for public transportation. Focuses on:

- Emission reductions
- Service that will encourage more people to choose to ride
- Frequency and reliability of service v. lowering operating costs

Significant increases for Bus and Bus Facilities program. Grows from \$809 million to \$2.15 billion in the last year.



QUESTIONS?



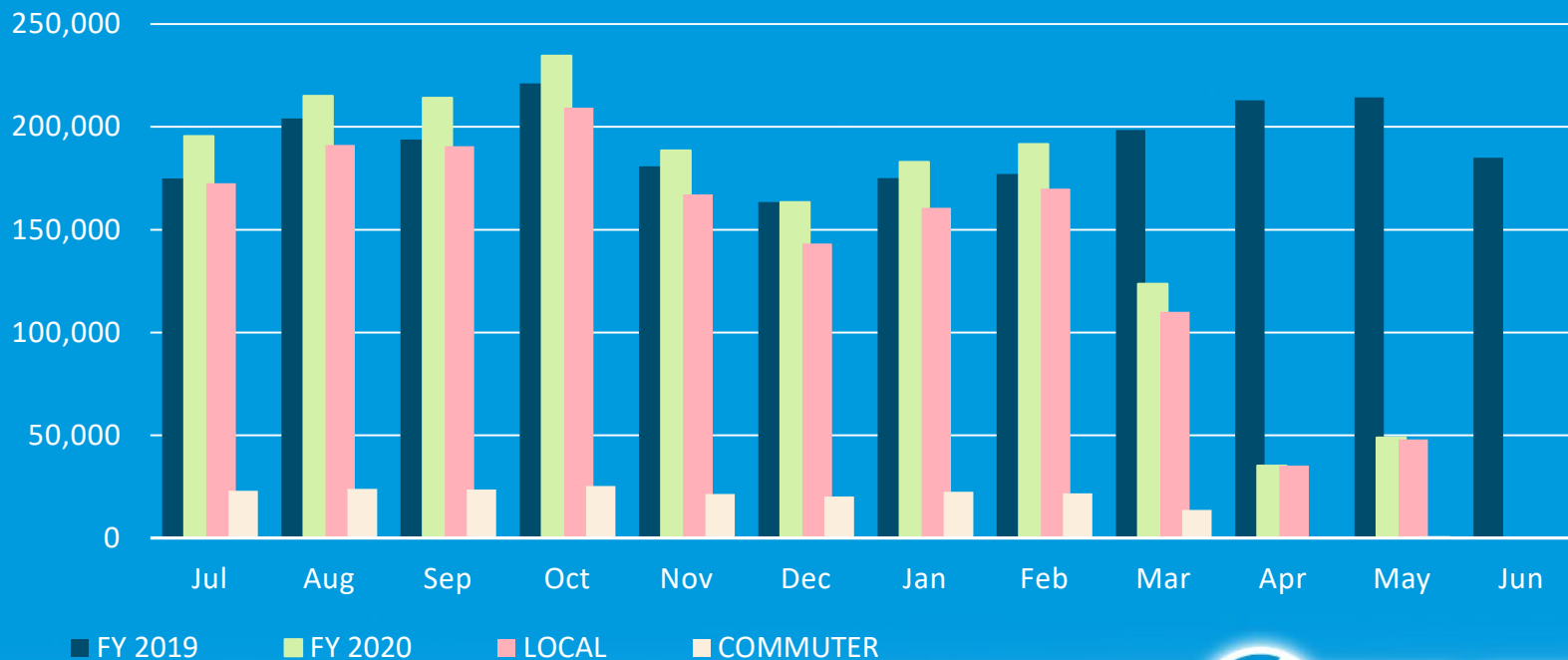
FY 2020 Monthly Operations Key Performance Indicators

Presentation to the Board of Directors
June 23, 2020

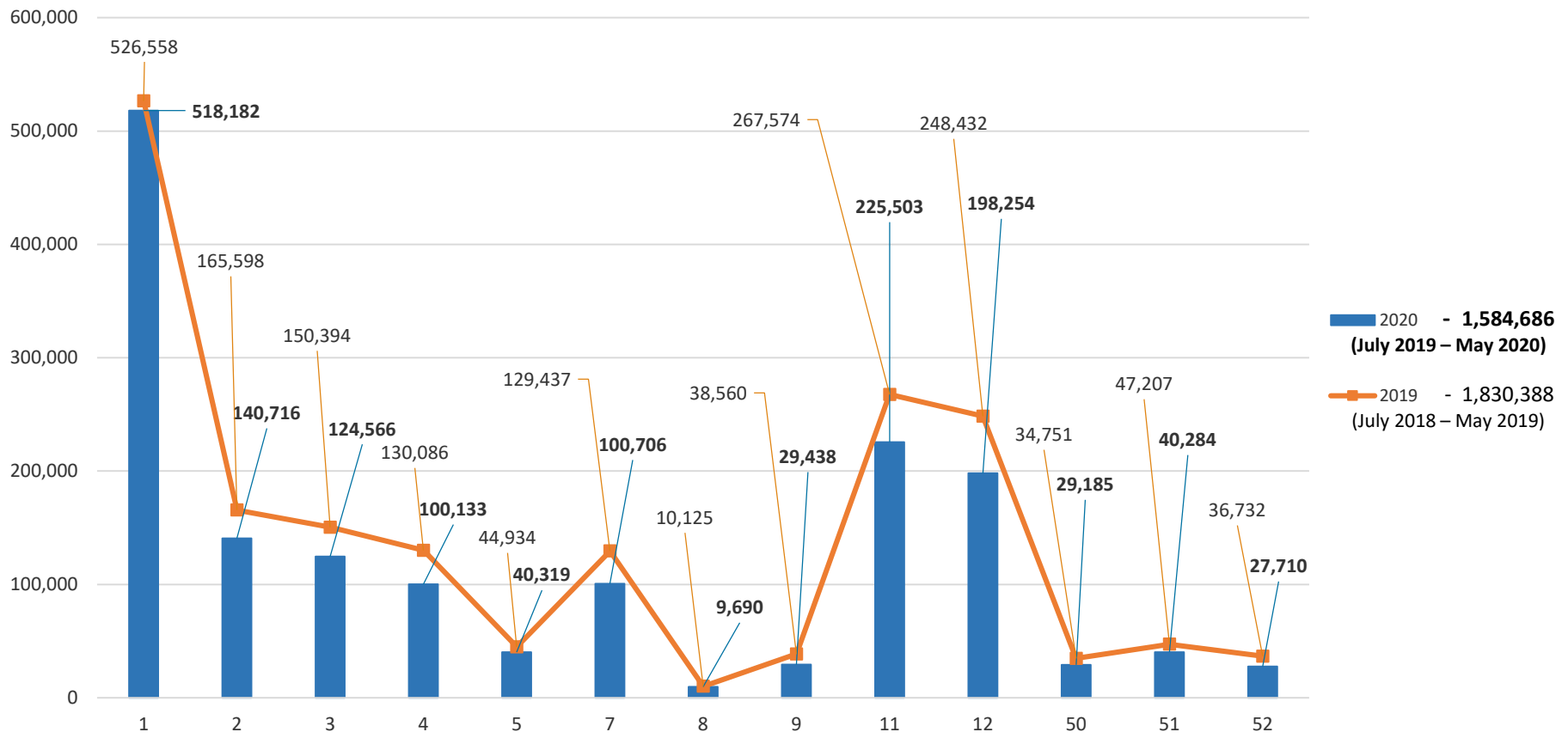


MONTHLY BOARDING ACTIVITY

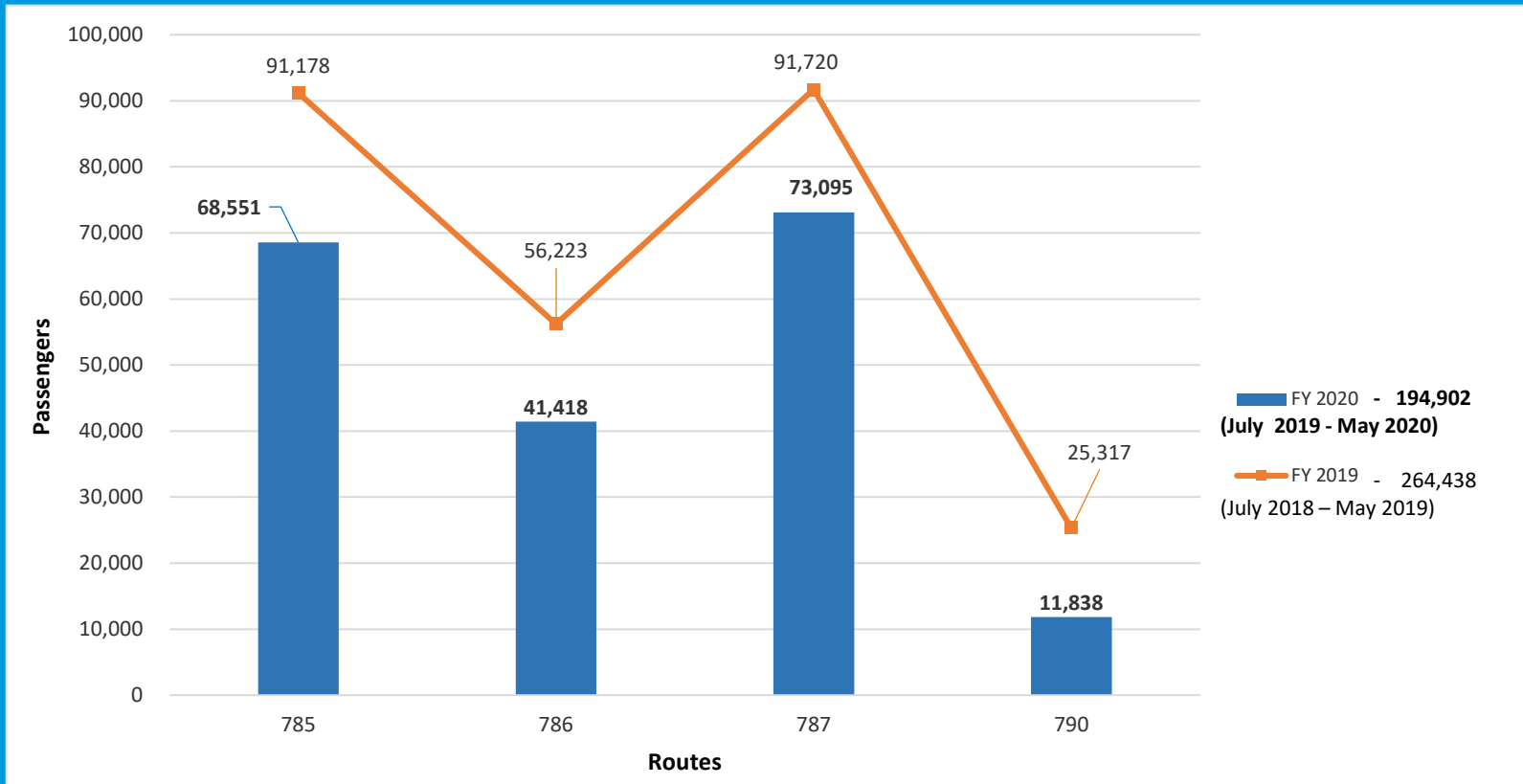
| | May FY 2020 | April FY 2020 |
|----------|-------------|---------------|
| System | 48,852 | 35,168 |
| Local | 47,897 | 35,168 |
| Commuter | 955 | - |



ANNUAL RIDERSHIP LOCAL ROUTES



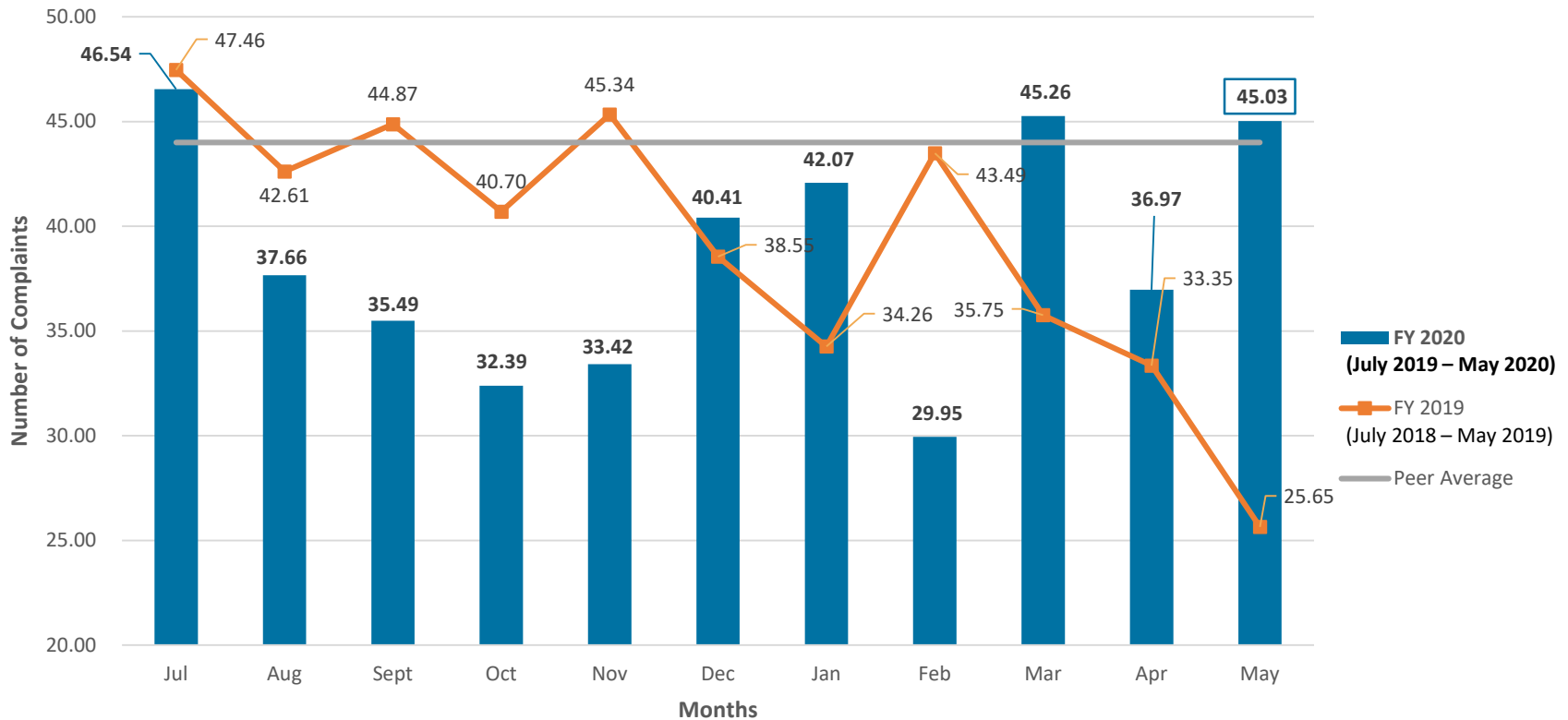
ANNUAL RIDERSHIP COMMUTER ROUTES



COMPLAINTS/100,000 BOARDINGS

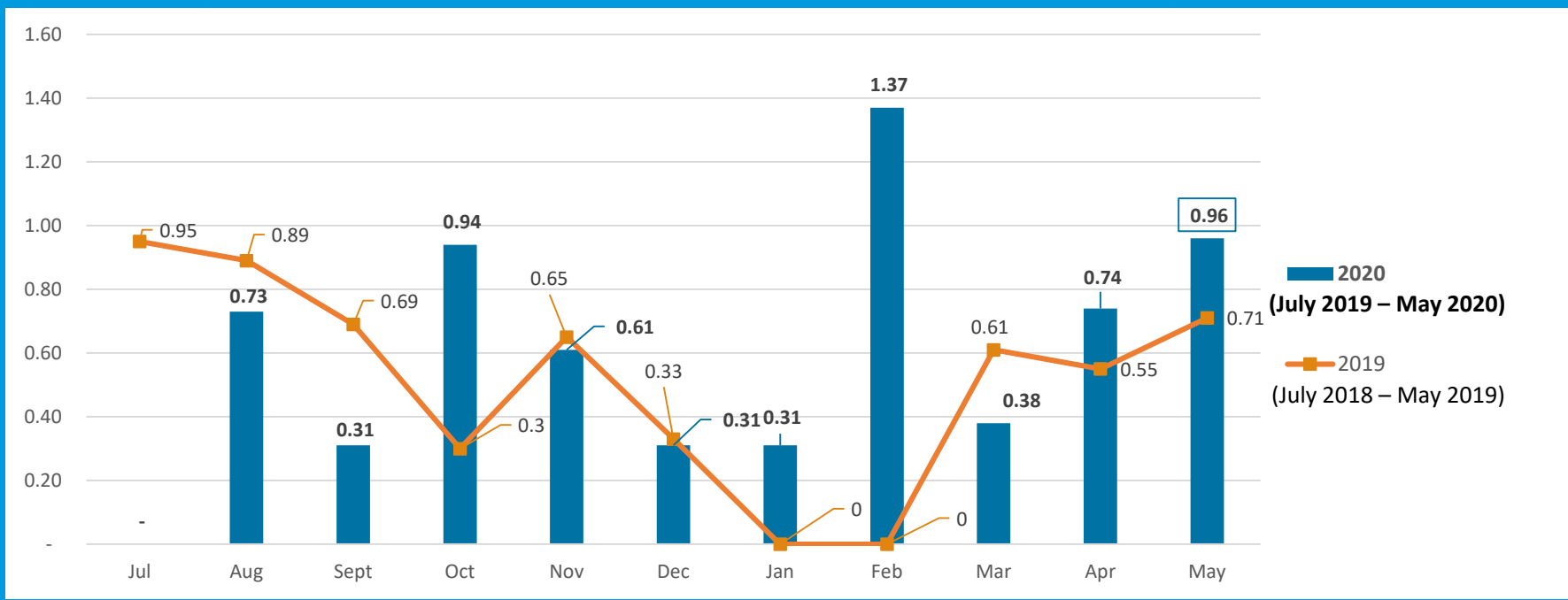
MAY - SYSTEM WIDE AVERAGE: 45.03

PEER AVERAGE: 44.00



PREVENTABLE ACCIDENTS/100,000 MILES

MAY - SYSTEM WIDE AVERAGE: 0.96



KEY PERFORMANCE INDICATORS

| | May FY 2020 | April FY 2020 | May FY 2019 |
|---------------------------------------|----------------|------------------|----------------|
| Boarding Activity | 48,852 | 35,168 | 214,424 |
| Complaints / 100,000 Boardings | 45.03 | 36.97 | 25.65 |
| Preventable Accidents / 100,000 Miles | 0.96 | 0.74 | 0.71 |

Thank you!

Questions?



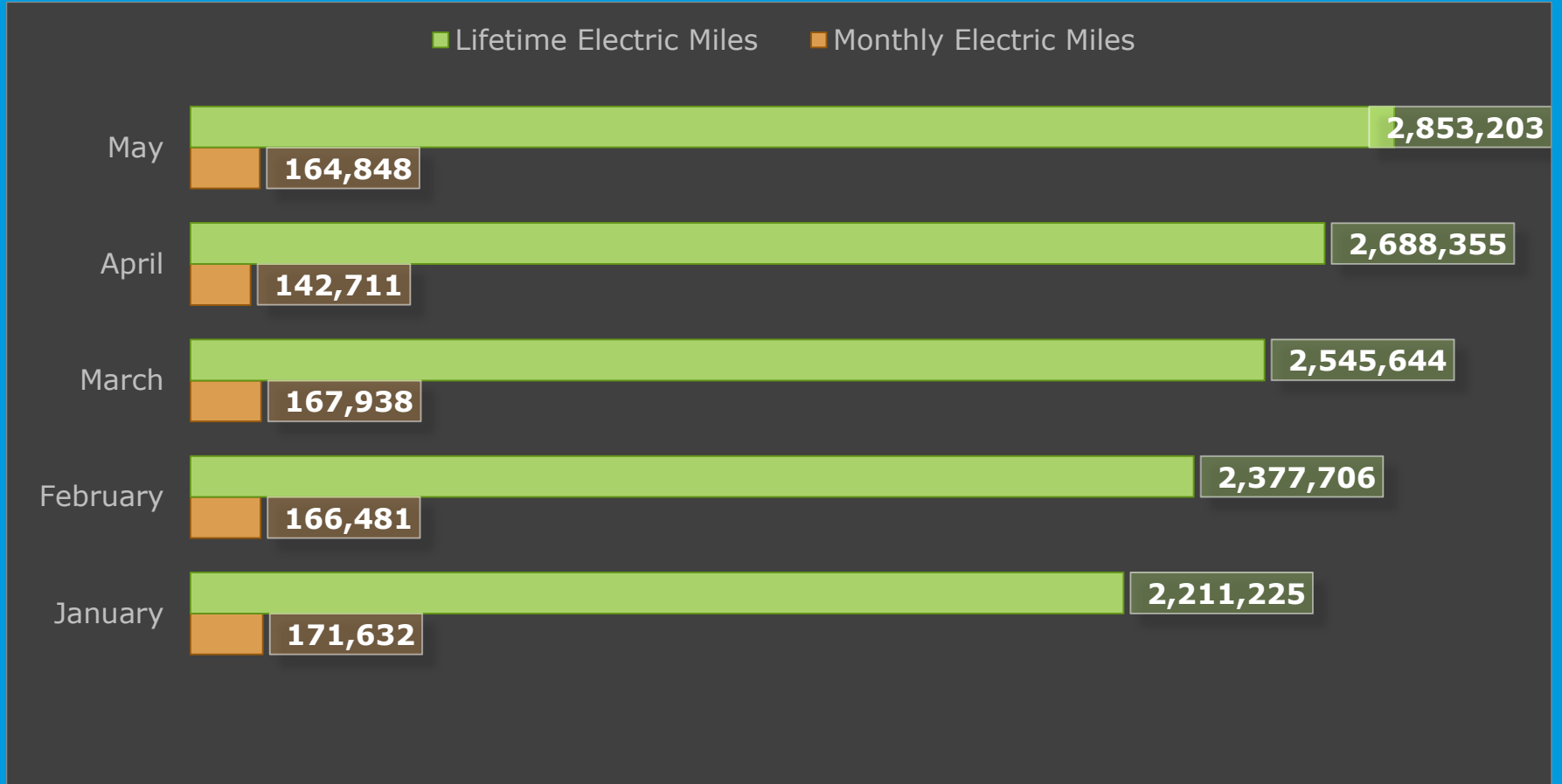
May 2020 Maintenance Key Performance Indicators

Presentation to the Board of Directors

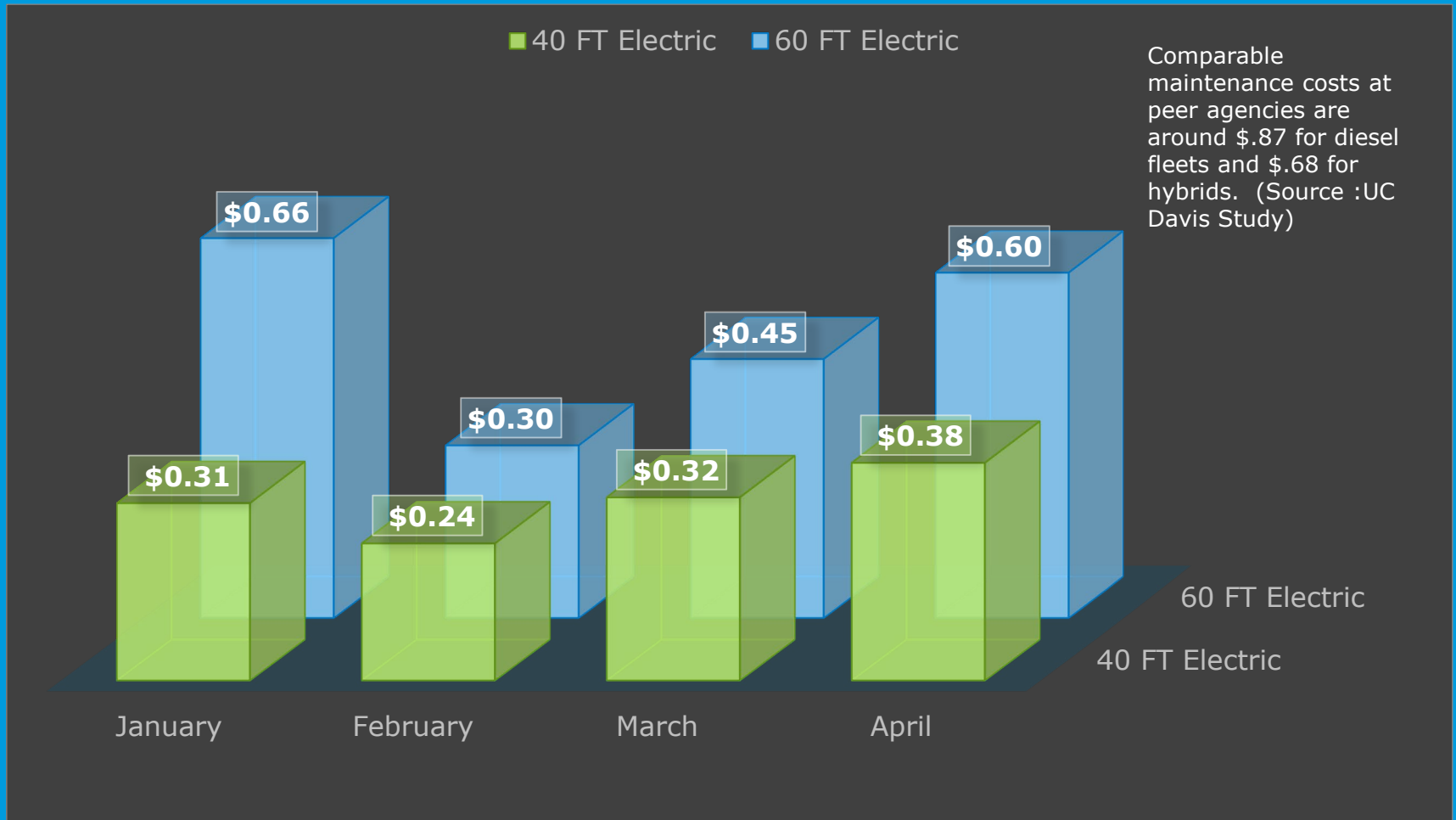
June 23, 2020



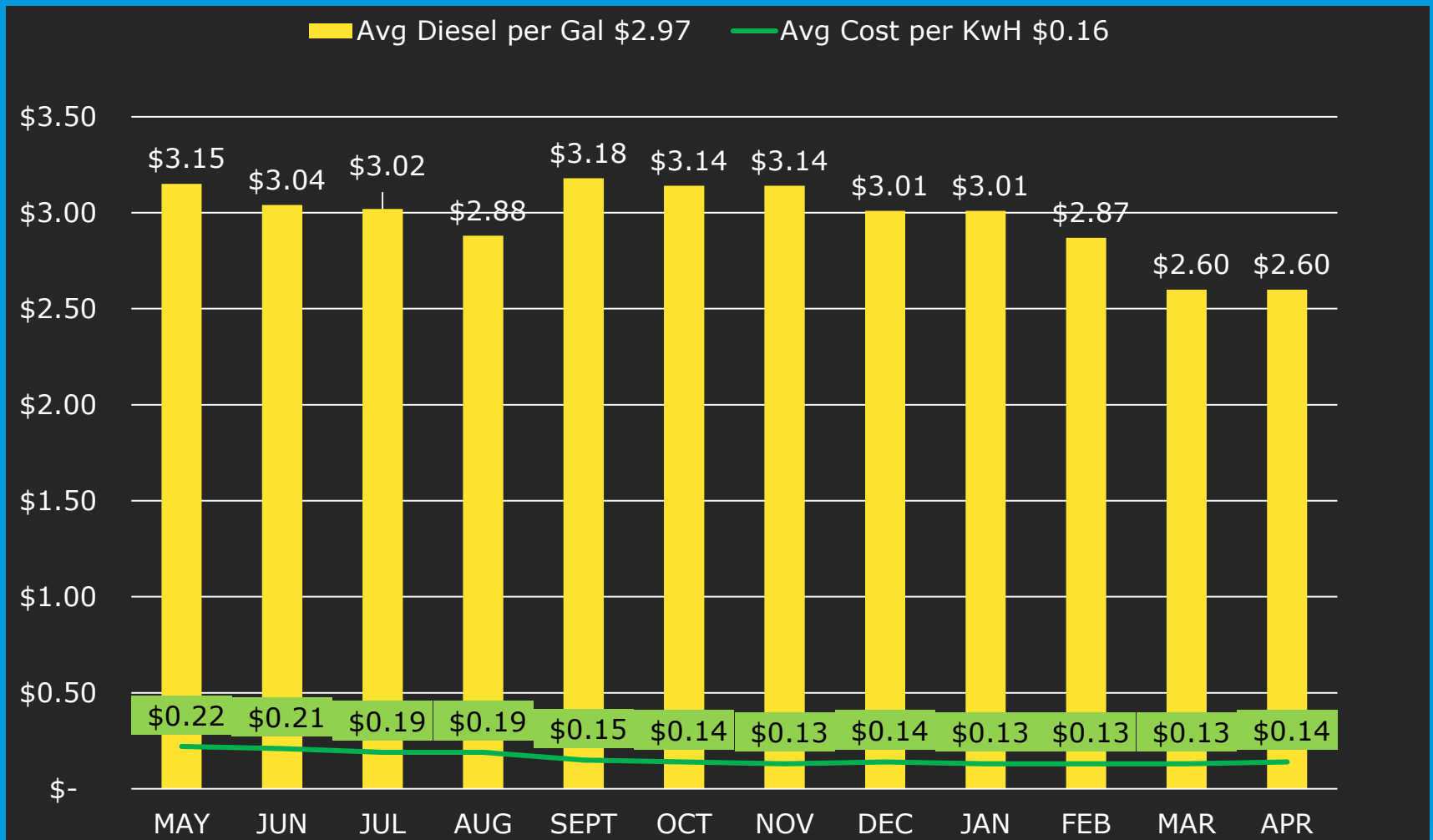
ELECTRIC MILES TRAVELED



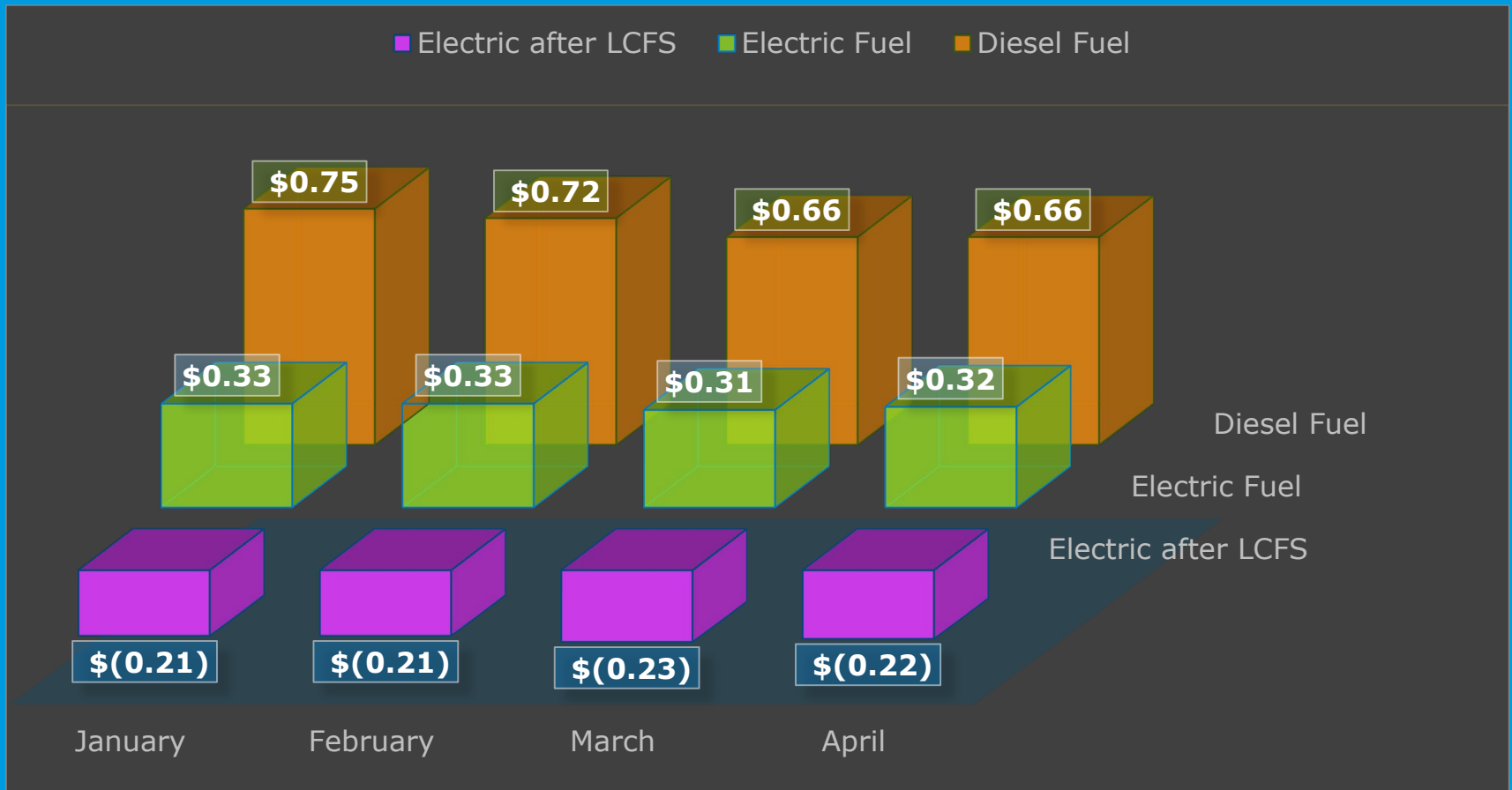
MAINTENANCE COST PER MILE BY FLEET



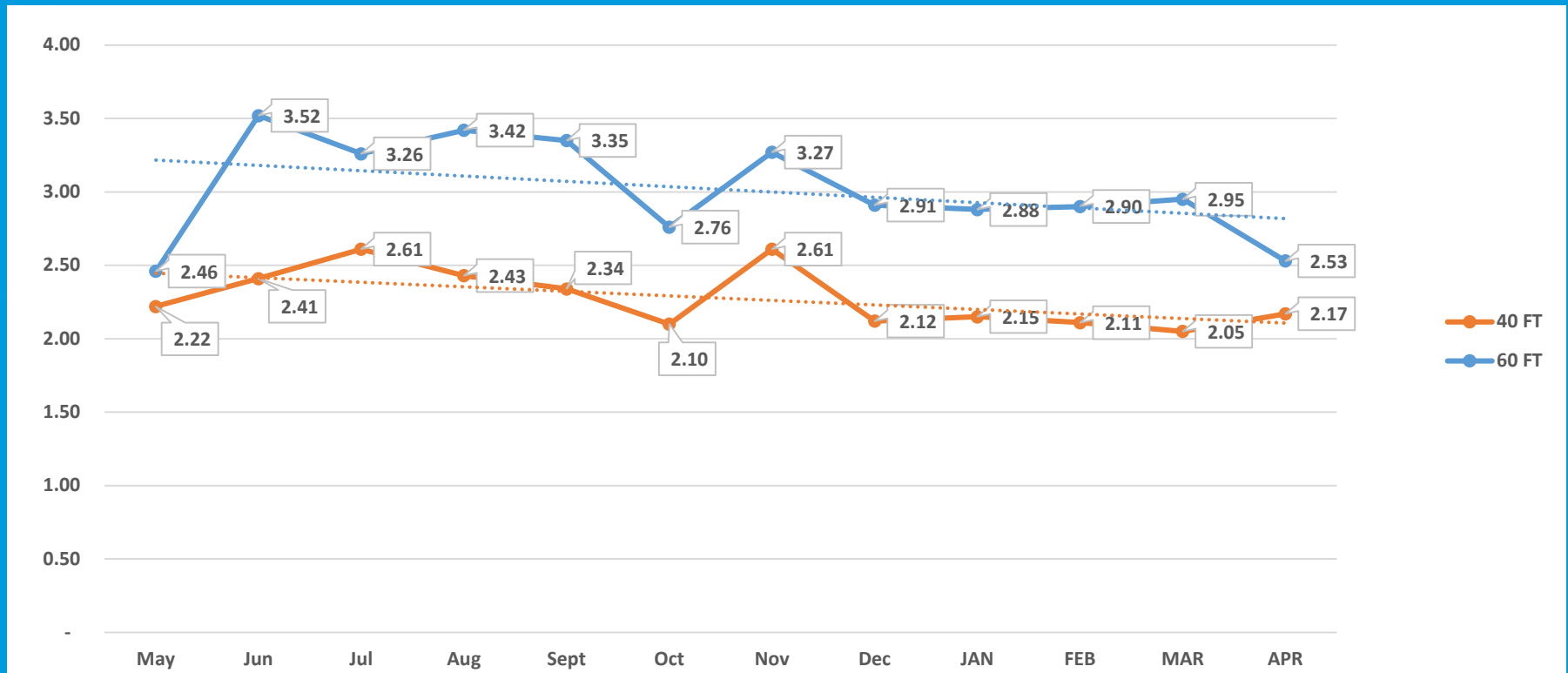
FUEL/ENERGY COST PRIOR 12 MONTHS



PROPULSION FUEL COST PER MILE w/LOW CARBON FUEL STANDARD (LCFS) OFFSET

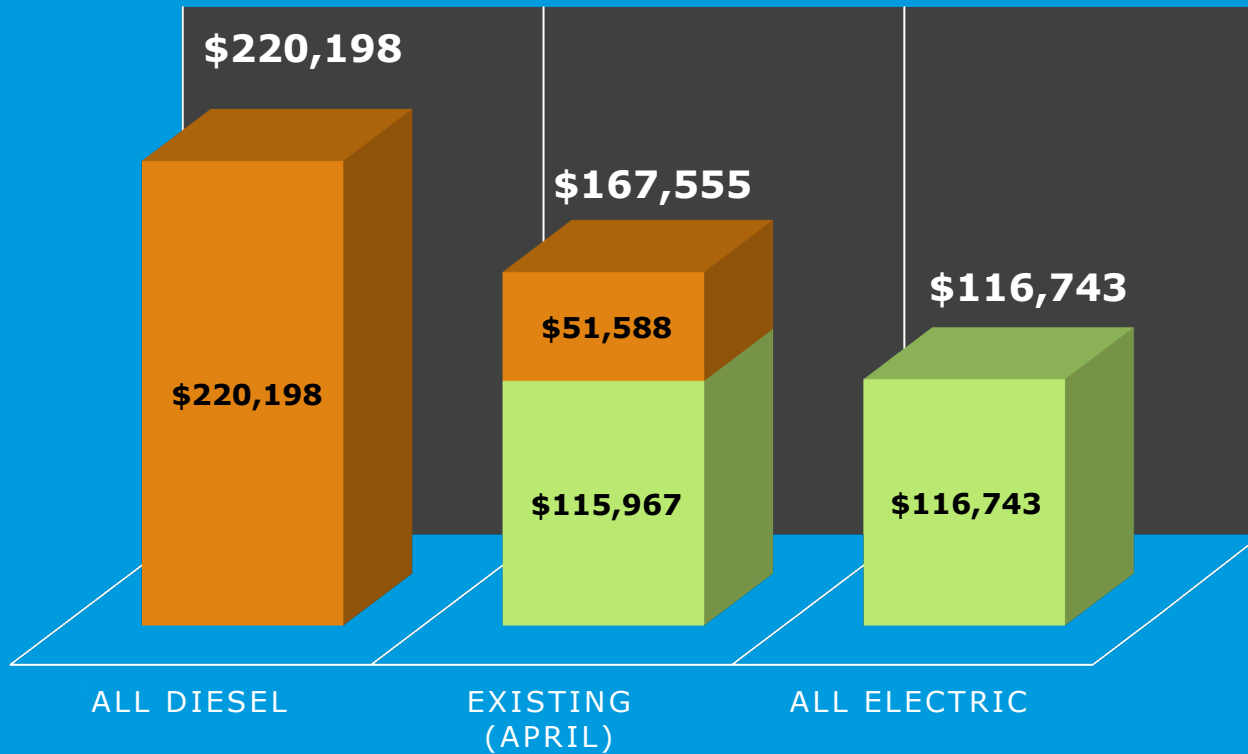


AVERAGE FUEL CONSUMPTION PER MILE (KWPM)



TOTAL FUEL & MAINTENANCE COST ASSUMPTIONS AT FULL BUILDOUT

■ Electric ■ Diesel

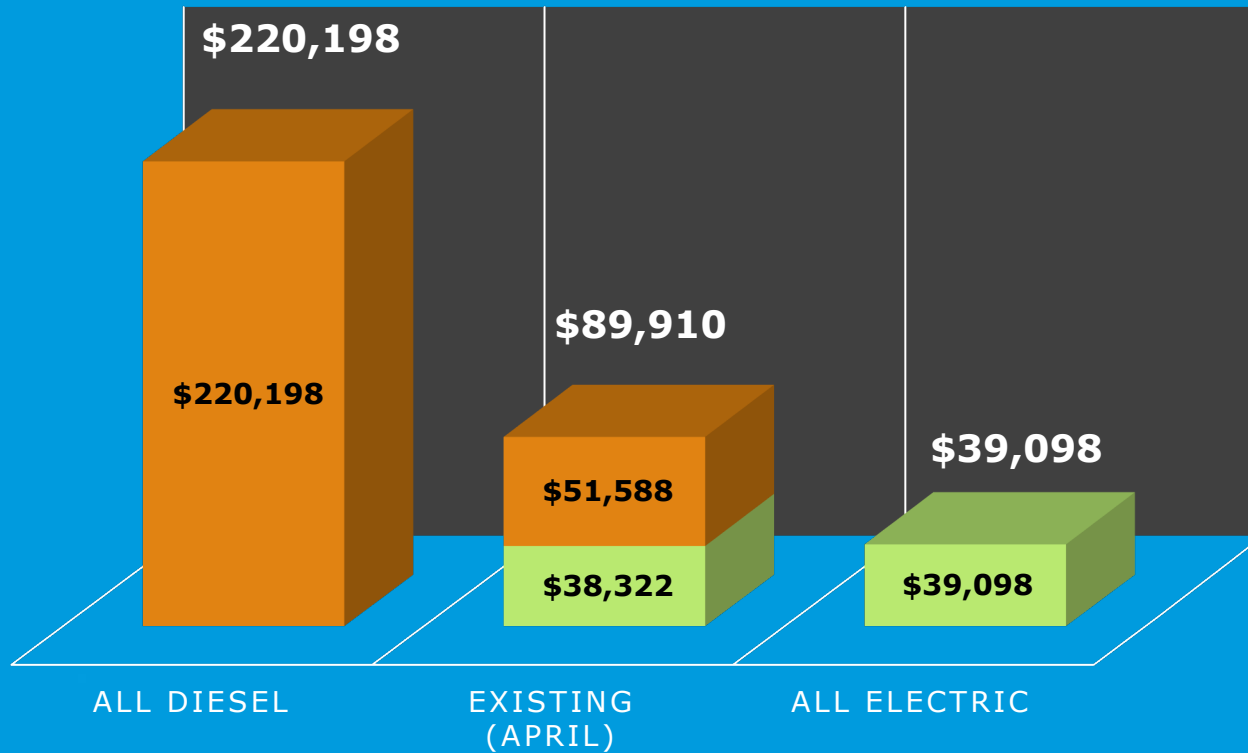


April Savings
\$52,643

Projected Savings
\$103,455

TOTAL FUEL & MAINTENANCE COST ASSUMPTIONS W/LCFS

■ Electric ■ Diesel

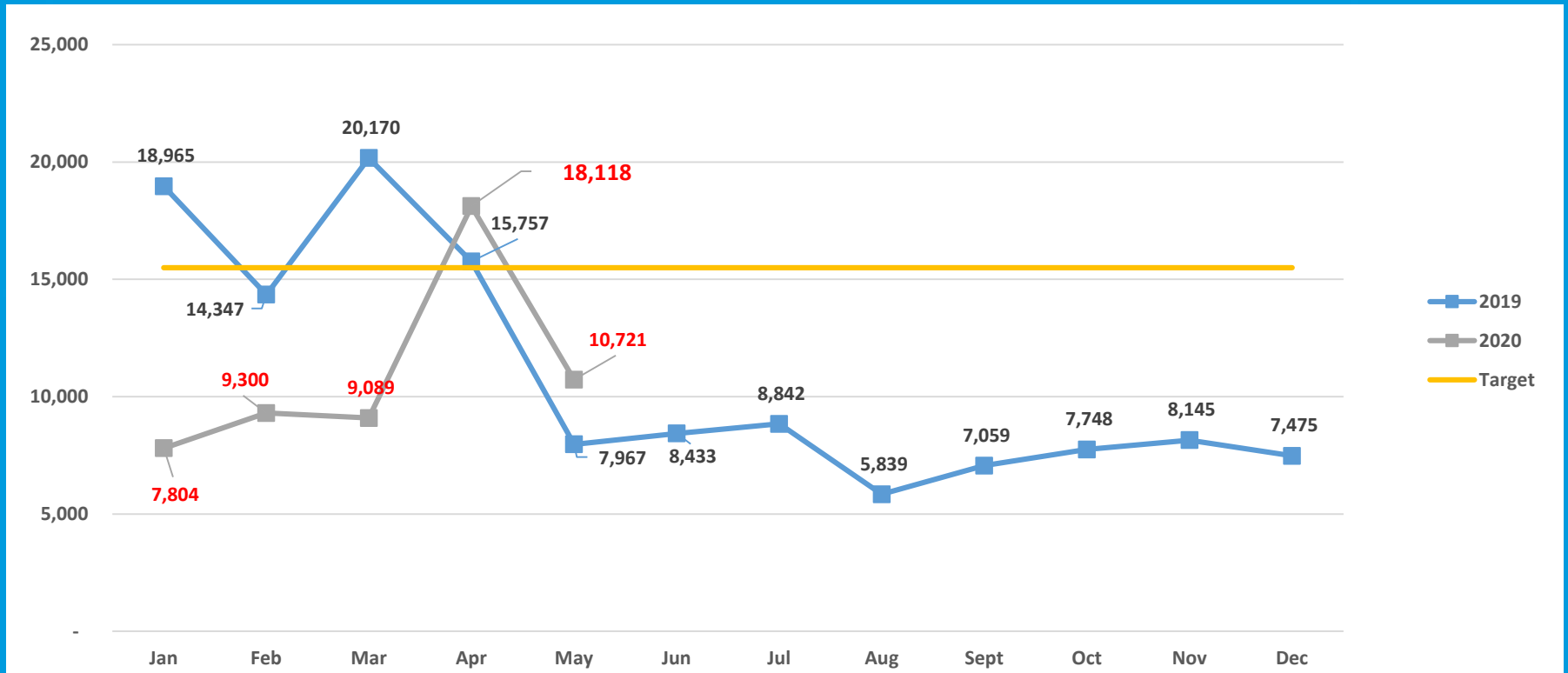


April Savings
\$130,288

AVERAGE MILES BETWEEN SERVICE INTERRUPTIONS

Peer Average: 11,206

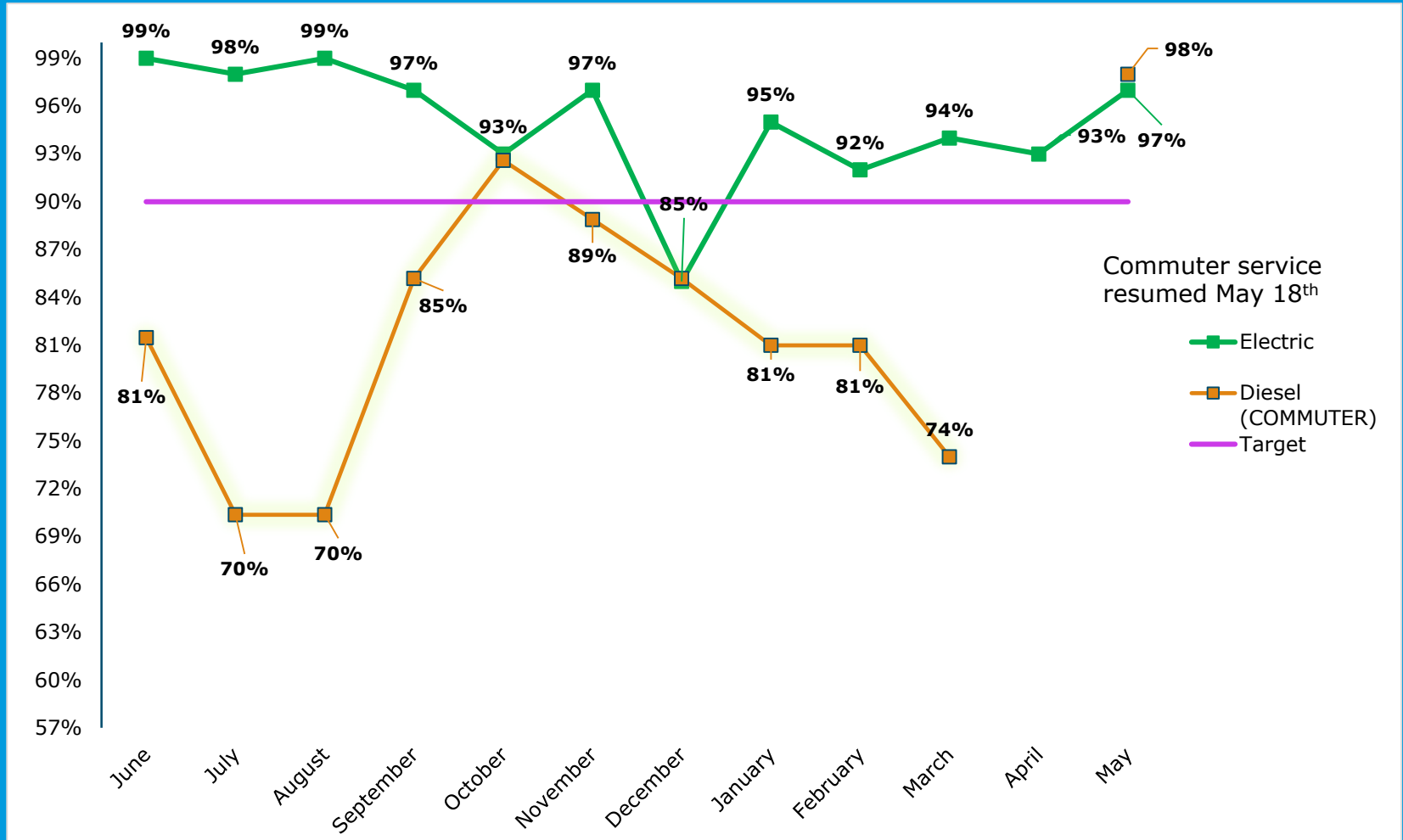
Target: 15,500



FLEET AVAILABILITY

Peer Average: 77%

Target 90%



Discussion/Questions?





Regular Meeting of the Board of Directors
ONLINE ZOOM MEETING PER GOVERNOR'S ORDER N-29-20

Tuesday, May 26, 2020

10:00 a.m.

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

UNOFFICIAL MINUTES

In response to Governor's Executive Order N-29-20, the meeting was conducted via Zoom Cloud meetings.

CALL TO ORDER

Chairman Crist called the meeting to order at 10:01 a.m.

ROLL CALL:

Present

Chairman Marvin Crist, Vice Chair Dianne Knippel, Director Steve Hofbauer, Director Angela Underwood-Jacobs, Director Michelle Flanagan, Director Richard Loa

APPROVAL OF AGENDA

Motion: Approve the agenda as comprised.

Moved by Vice Chair Knippel, seconded by Director Hofbauer

Ms. Darr conducted a roll call vote and stated the motion carried unanimously.

Vote: Motion carried (6-0-0-0)

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Underwood-Jacobs, Flanagan, Loa

Nays: None

Abstain: None

Absent: None

PUBLIC BUSINESS – AGENDIZED AND NON-AGENDIZED ITEMS:

There were no public business items presented.

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

SRP 1 LEGISLATIVE REPORT FOR MAY

Director of Finance and Administration Judy Vaccaro-Fry stated there has been no movement on Assembly Bill (AB) 1350: persons 18 years or under, AB 2012: persons 65 years of age or over, or AB 2176: persons attending the California Community Colleges, the California State University, or the University of California. However, the bills may be reintroduced during the next session.

Ms. Vaccaro-Fry also provided an update regarding the state's revised budget and H.R. 6800 – the Health and Economic Recovery Omnibus Emergency Solutions Act (Heroes Act), a bill in response to the COVID-19 pandemic and its impact on the economy, public health, state and local governments, individuals, and businesses. The Board discussed the state's proposed Cap and Trade budget. Ms. Vaccaro-Fry will verify the revised budget amount.

SRP 2 OPERATIONS KEY PERFORMANCE INDICATORS (KPI) REPORT

Chief Operating Officer Martin Tompkins presented the report and provided an update regarding the Authority's cleaning and disinfecting routine during the COVID-19 pandemic. The Board discussed how the agency is managing passengers when the buses reach 50% seating capacity.

SRP 3 MAINTENANCE KPI REPORT

Fleet Compliance Manager Cecil Foust presented the report.

CONSENT CALENDAR (CC):

CC 1 BOARD OF DIRECTORS MEETING MINUTES OF APRIL 28, 2020

Approve the Board of Directors Regular Meeting Minutes of April 28, 2020.

CC 2 FINANCIAL REPORT FOR APRIL 2020

Receive and file the Financial Report, including Quarterly Treasurer, Capital Reserve, and Farebox Recovery information, for April 2020.

CC 3 GRANT STATUS REPORT

Receive and file the Grant Status Report.

CC 4 AMENDMENT NO. 1 TO CONTRACT #2019-64 WITH BROWN ARMSTRONG ACCOUNTANCY CORPORATION FOR CPA FINANCIAL AUDITING SERVICES

Authorize the Executive Director/CEO to execute Amendment No. 1 to Contract #2019-64 with Brown Armstrong Accountancy Corporation, Bakersfield, CA for CPA financial auditing services for a one-year period not to exceed \$58,000 with three one-year optional renewal periods remaining.

CC 5 AMENDMENT NO. 1 TO CONTRACT #2019-35 WITH VINSA, INC. FOR WORKERS' COMPENSATION, PROPERTY AND CASUALTY INSURANCE POLICIES FOR FISCAL YEAR 2020/2021 (FY 2021)

Authorize the Executive Director/CEO to execute Amendment No. 1 to Contract #2019-35 with Vinsa, Inc., Lancaster, CA for workers' compensation, property and casualty insurance policies for FY 2021 for an estimated amount of \$435,932.

CC 6 LOCAL AGENCY INVESTMENT FUND (LAIF) INVESTMENTS FOR FY 2021

Adopt Resolution 2020-004, a Resolution appointing the Executive Director/CEO as Treasurer and the Director of Finance and Administration as Auditor-Controller; delegating investment authority to the Treasurer; adopting a policy for the investment of surplus transit funds for FY 2021 beginning July 1 2020 through June 30, 2021, and rescinding Resolution No. 2019-004.

CC 7 PORTABLE RESTROOMS

Approve the purchase of up to five commercial grade portable restroom trailers equivalent to Ameri-Can Engineering model 831 traditional with ADA lift room for an amount not to exceed \$380,000, plus applicable taxes and freight charges.

CC 8 EMERGENCY SOLE SOURCE CONTRACT #2020-39 WITH PEOPLEREADY, INC. FOR COVID-19 SANITIZING, DISINFECTING, AND STERILIZING BUS FLEET

Ratify Emergency Sole Source Contract #2020-39 with PeopleReady, Inc., Tacoma, WA to sanitize, disinfect, and sterilize the interior of AVTA's bus fleet for an amount not to exceed \$233,728, plus applicable sales tax.

Motion: Approve the Consent Calendar.

Moved by Vice Chair Knippel, seconded by Director Underwood-Jacobs

Ms. Darr conducted a roll call vote and stated the motion carried unanimously.

Vote: Motion carried (6-0-0-0)

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Underwood-Jacobs, Flanagan, Loa

Nays: None

Abstain: None

Absent: None

NEW BUSINESS (NB):

NB 1 ELECTION OF BOARD OFFICERS FOR FY 2021

Motion: Nominate Marvin Crist as Chair and Dianne Knippel as Vice Chair for FY 2021.

Moved by Director Flanagan, seconded by Director Underwood-Jacobs

Ms. Darr conducted a roll call vote and stated the motion carried unanimously.

Vote: Motion carried (6-0-0-0)

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Underwood-Jacobs, Flanagan, Loa

Nays: None

Abstain: None

Absent: None

NB 2 FY 2021 PRELIMINARY BUDGET ASSUMPTIONS

Ms. Vaccaro-Fry presented the staff report. The Board discussed the total amount for the operating and capital budgets for FY 2020.

Motion: Approve the FY 2021 Preliminary Budget Assumptions and provide direction to staff regarding fiscal priorities for the final FY 2021 Budget.

Moved by Vice Chair Knippel, seconded by Director Underwood-Jacobs

Ms. Darr conducted a roll call vote and stated the motion carried unanimously.

Vote: Motion carried (6-0-0-0)
Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Underwood-Jacobs, Flanagan, Loa
Nays: None
Abstain: None
Absent: None

NB 3 CONTRACT #2020-46 TO MOTOR COACH INDUSTRIES, INC. FOR 45-FOOT BATTERY ELECTRIC BUS PROJECT

Executive Director/CEO Macy Neshati presented the staff report.

Motion: Authorize the Executive Director/CEO to execute Contract #2020-46 with Motor Coach Industries, Inc., Des Plaines, IL, for a term of two years not to exceed an amount of 30,959,263.54, plus applicable sales tax.

Moved by Vice Chair Knippel, seconded by Director Flanagan

Ms. Darr conducted a roll call vote and stated the motion carried unanimously.

Vote: Motion carried (6-0-0-0)
Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Underwood-Jacobs, Flanagan, Loa
Nays: None
Abstain: None
Absent: None

NB 4 CONTRACT #2020-50 WITH COMPLETE COACH WORKS FOR RETRO-FIT OF EV STAR ADA SHUTTLE BUSES

Mr. Neshati presented the staff report.

Motion: Authorize the Executive Director/CEO to award Contract #2020-50 to Complete Coach Works, Riverside, CA to retro-fit eight EV Star ADA shuttle buses that will aid in loading and unloading of ADA passengers in a safe and effective manner for an amount not to exceed \$120,000.

Moved by Vice Chair Knippel, seconded by Director Loa

Ms. Darr conducted a roll call vote and stated the motion carried unanimously.

Vote: Motion carried (6-0-0-0)

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Underwood-Jacobs, Flanagan, Loa

Nays: None

Abstain: None

Absent: None

NB 5 PUBLIC SAFETY PROGRAMMING AGREEMENT NO. A-6992 BETWEEN THE ANTELOPE VALLEY TRANSIT AUTHORITY AND CITY OF PALMDALE

General Counsel Allison Burns stated New Business Items 5 and 6 can be address together. Mr. Neshati presented the staff report.

Motion: Approve Agreement No. A-6992, a Public Safety Programming Agreement between the City of Palmdale and the Antelope Valley Transit Authority and authorize the Executive Director/CEO to execute the agreement and all necessary documents.

Moved by Director Flanagan, seconded by Director Hofbauer

Ms. Darr conducted a roll call vote and stated the motion carried unanimously.

Vote: Motion carried (6-0-0-0)

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Underwood-Jacobs, Flanagan, Director Loa

Nays: None

Abstain: None

Absent: None

**NB 6 PUBLIC SAFETY PROGRAMMING AGREEMENT NO. 2020-53
BETWEEN THE ANTELOPE VALLEY TRANSIT AUTHORITY AND CITY
OF LANCASTER**

Motion: Approve Agreement No. 2020-53, a Public Safety Programming Agreement between the City of Lancaster and the Antelope Valley Transit Authority and authorize the Executive Director/CEO to execute the agreement and all necessary documents.

Moved by Director Flanagan, seconded by Director Hofbauer

Ms. Darr conducted a roll call vote and stated the motion carried unanimously.

Vote: Motion carried (6-0-0-0)

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Underwood-Jacobs, Flanagan, Director Loa

Nays: None

Abstain: None

Absent: None

MISCELLANEOUS BUSINESS – NON-AGENDA BOARD OF DIRECTORS ITEMS:

Chairman Crist stated he anticipates the Board will begin meeting in person at the June 23, 2020 Board meeting.

ADJOURNMENT:

Chairman Crist adjourned the meeting at 10:45 a.m. to the Regular Meeting of the Board of Directors on June 23, 2020 at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6th Street West, Lancaster, CA.

PASSED, APPROVED, and ADOPTED this 23rd day of JUNE 2020

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 the Clerk of the Board at (661) 729-2206 to arrange to review a recording.



DATE: June 23, 2020

TO: BOARD OF DIRECTORS

SUBJECT: Financial Report for May 2020

RECOMMENDATION

That the Board of Directors receive and file the financial report for May 2020.

FISCAL IMPACT

| | May |
|--------------------|-------------|
| PAYROLL | \$363,275 |
| CASH DISBURSEMENTS | \$3,945,497 |

BACKGROUND

To comply with the provisions required by Sections 37202, 37208 and 6505.5 of the Government Code, the Director of Finance and Administration in conjunction with the Controller, provides a monthly payroll total and cash disbursements. The Executive Director/CEO and Treasurer certify the availability of funds.

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

Prepared by:

Submitted by:

Judy Vaccaro-Fry
Director of Finance and Administration

Macy Neshati
Executive Director/CEO



DATE: June 23, 2020

TO: BOARD OF DIRECTORS

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

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to renew the Letter of Understanding with the LASD for transit law enforcement services covering the term July 1, 2020 through June 30, 2021, as outlined in the letter to Sheriff Alex Villanueva (Attachment A).

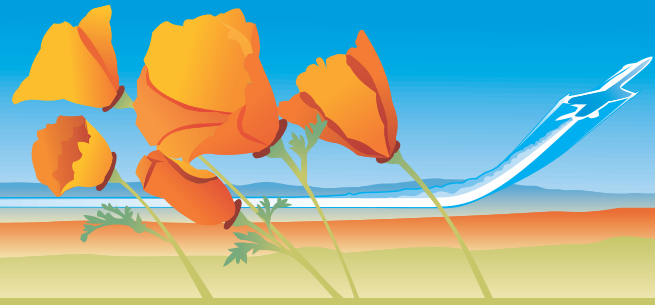
FISCAL IMPACT

Total reimbursement under this agreement will not exceed \$120,000. Funds for these services are included in the draft Fiscal Year 2020/2021 (FY 2021) 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;



CC 3 – ATTACHMENT A

Board of Directors

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

Chairman
Marvin Crist
City of Lancaster

June 24, 2020

Vice Chair
Dianne M. Knippel
County of Los Angeles

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

Director
Steven D. Hofbauer
City of Palmdale

Dear Alex Villanueva:

Director
Richard Loa
City of Palmdale

As approved by the Board of Directors on June 23, 2020, 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
Macy Neshati

AVTA is authorized to spend up to \$120,000 in FY 2021, beginning July 1, 2020 and ending June 30, 2021, 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) 729-2229.

Best Regards

Macy Neshati
Executive Director/CEO



Sheriff's Department
Public Entity Rates

| <u>Fiscal Year 2020-21</u> | Hourly Rate | Liability 3% | Total |
|--|-------------|--------------|----------|
| Deputy Sheriff - Generalist | \$83.11 | \$2.49 | \$85.60 |
| Deputy Sheriff - Bonus I | \$90.58 | \$2.72 | \$93.30 |
| Deputy Sheriff - Bonus II | \$108.89 | \$3.27 | \$112.16 |
| Deputy Sheriff - Bonus II Pilot | \$115.04 | \$3.45 | \$118.49 |
| Deputy Sheriff - Bonus II SEB/ESD | \$115.04 | \$3.45 | \$118.49 |
| Deputy Sheriff - Reserve | \$41.97 | \$1.26 | \$43.23 |
| Sergeant | \$109.77 | \$3.29 | \$113.06 |
| Sergeant Pilot | \$128.15 | \$3.84 | \$131.99 |
| Sergeant SEB/ESD | \$122.52 | \$3.68 | \$126.20 |
| Lieutenant | \$131.81 | \$3.95 | \$135.76 |
| Security Assistant | \$26.55 | \$2.79 | \$29.34 |
| Security Officer | \$42.10 | \$4.42 | \$46.52 |
| Custody Assistant | \$54.68 | \$1.64 | \$56.32 |
| Custody Assistant, Patrol | \$54.85 | \$1.65 | \$56.50 |
| Community Services Assistant | \$32.02 | \$0.96 | \$32.98 |
| Parking Control Officer | \$45.22 | \$4.75 | \$49.97 |
| Parking Control Officer, Supervising | \$52.29 | \$1.57 | \$53.86 |
| Criminalist | \$71.54 | \$2.15 | \$73.69 |
| Criminalist, Senior | \$96.41 | \$2.89 | \$99.30 |
| Criminalist, Supervising | \$101.79 | \$3.05 | \$104.84 |
| Criminalistics Lab Technician | \$48.10 | \$1.44 | \$49.54 |
| Digital Communications System Technician | \$72.85 | | \$72.85 |
| Helicopter Maintenance Inspector | \$85.55 | | \$85.55 |
| Helicopter Mechanic | \$77.23 | | \$77.23 |



DATE: June 23, 2020

TO: BOARD OF DIRECTORS

SUBJECT: Public Transportation Agency Safety Plan (PTASP)

RECOMMENDATION

That the Board of Directors 1) approve the Public Transportation Agency Safety Plan (Attachment B) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements; and 2) adopt Resolution 2020-005 (Attachment A), adopting the PTASP.

FISCAL IMPACT

There is no financial impact associated with the adoption of the PTASP. Funds will be required if AVTA elects to budget additional safety resources and needs to amend the contract with Transdev.

BACKGROUND

As a recipient of FTA funding, AVTA is 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).

AVTA has complied with this requirement with the PTASP presented for your consideration. The PTASP meets all of the requirements of the Final Rule, including the following elements:

- Designating the Accountable Executive as the Chief Safety Officer.
- Documenting AVTA SMS processes, including the agency's Safety Management Policy and the processes for Safety Risk Management, Safety Assurance, and Safety Promotion.
- Establishing a confidential and non-punitive employee safety reporting program.
- Establishing AVTA annual safety performance targets based on the classification measures established in FTA's National Public Transportation Safety Plan (NPTSP).

- Establishing criteria to address all applicable requirements and standards set forth in FTA's Public Transportation Safety Program and the NPTSP.
- Retaining and maintaining documents that set forth the PTASP, including those related to SMS implementation.
- Establishing a process and timeline for conducting an annual review and update of the safety plan.
- Certifying through FTA's Certifications and Assurances Process and FTA's Transit Award Management System (TrAMS) that AVTA's PTASP meets the requirements of the final rule by July 20, 2020.
- Applying the PTASP, its safety responsibilities, and the implementation of SMS to AVTA's service contractor.

Submitted by:

Submitted by:

Martin Tompkins
Chief Operating Officer

Macy Neshati
Executive Director/CEO

Attachments: A – Resolution No. 2020-005
 B – Public Transportation Agency Safety Plan

RESOLUTION NO. 2020-005

**A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY
TRANSIT AUTHORITY ADOPTING THE PUBLIC TRANSPORTATION
AGENCY SAFETY PLAN**

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 PTASP attached hereto as Exhibit "1."

PASSED, APPROVED and ADOPTED this 23rd of June, 2020 by the following vote:

AYES: _____

NOES: _____

ABSTAIN: _____ ABSENT: _____

Marvin Crist, Chairman

ATTEST:

APPROVED AS TO FORM:

Karen S. Darr, Clerk of the Board

Allison E. Burns, General Counsel



Public Transportation Agency Safety Plan

Fiscal Year 2020-2021

Macy Neshati

Executive Director/Chief Executive Officer
Antelope Valley Transit Authority

Martin Tompkins

AVTA PTASP Accountable Executive
Chief Operating Officer
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 9, 2020



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ADOPTED: _____ /1

LAST REVISED: _____

AVTA REVIEWER (Accountable Executive): Martin Tompkins, COO and PTASP AE

AVTA BOARD DATE OF APPROVAL: _____

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

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 and Chief Safety Officer: Martin Tompkins

The AVTA PTASP Accountable Executive also serves as the Agency’s Chief Safety Officer. The Chief Safety Officer is the individual designated to manage and implement the AVTA PTASP, including the implementation of FTA’s Safety Management System.

Accountable Executive and Chief Safety Officer Contact Information

Martin Tompkins, Chief Operating Officer
42210 6th Street West / Lancaster, CA 93534
661.945.9445
mtompkins@avta.com

/1 FTA 4/23/20

In response to COVID-19, the Federal Transit Administration announced that it will give transit agencies more time to meet the requirements of the Public Transportation Agency Safety Plan (PTASP) regulation. The regulation set July 20, 2020 as the deadline for transit agencies to certify that they have established a compliant agency safety plan. However, with today’s announcement, FTA is alerting transit agencies that it will provide relief by refraining from taking any enforcement action until December 31, 2020 against agencies that are unable to meet the July 20, 2020 deadline. More information about the PTASP requirement is available on FTA’s website, and further information about today’s announcement is available in the Notice of Enforcement Discretion.



AVTA Board of Directors Resolution of Adoption

Insert Copy of Board Resolution Here.



Letter of Certification on Behalf of AVTA

With the assurance of the Chief Operating Officer serving as the Accountable Executive (AE) and Chief Safety Officer (CSO1) for AVTA's Public Transportation Agency Safety Plan (PTASP) and based on the AE's review of this document (Exhibit A: AE Certification Checklist), I certify that AVTA PTASP meets the requirements of the Public Transportation Agency Safety Plan Final Rule (49 C.F.R. Part 673).

Signature: _____

Macy Neshati
Executive Director/CEO
Antelope Valley Transit Authority

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Public Transportation Agency Safety Plan (PTASP) Fiscal Year 2020-2021

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 NSP.
- 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 by July 20, 2020.



**Public Transportation Agency Safety Plan
Fiscal Year 2020-2021
PTASP Elements**

1. TRANSIT AGENCY INFORMATION

1a. 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:** Martin Tompkins, Chief Operating Officer
- d) **Name of Chief Safety Officer or SMS Executive:** Martin Tompkins, COO (also designated as CSO1)
- e) **Mode(s) of Service Covered by This Plan:** Local fixed route, commuter bus & general public dial-a-ride, and micro-transit & 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, and micro-transit & NEMT



Local Fixed Route



Commuter Bus



DAR, Micro-Transit, NEMT

Service Hours

- Local Fixed Route Bus Service:
 - Weekdays from 5:00 a.m. to 12:45 p.m.
 - Saturdays from 6:00 a.m. to 11:45 p.m.
 - Sundays from 6:30 a.m. to 8:45 p.m.
- Micro-Transit Bus Service:
 - Weekdays from TBD a.m. to TBD p.m.
 - Saturdays from TBD a.m. to TBD p.m.
 - Sundays from TBD a.m. to TBD p.m.
- Commuter Bus Service:
 - LA, Century City & San Fernando Valley Weekdays: from 3:45 a.m. to 7:40 p.m.
 - Transporter midday service connecting the Antelope Valley with the Santa Clarita Valley Weekdays: from 8:00 a.m. to 5:50 p.m.
- Dial-A-Ride Service
 - Weekdays 6:00 a.m. to 7:30 p.m.
 - Weekends 8:00 a.m. to 6:00 p.m.
- Non-Emergency Medical Transportation
 - Weekdays TBD a.m. to TBD p.m.
 - Saturdays TBD a.m. to TBD p.m.
 - Sundays TBD a.m. to TBD p.m.

AVTA Vehicle Fleet

AVTA operates a fleet of 85 fixed route buses allocated as follows:

- Local fixed route service 55 (64%) – All electric powered
- Commuter service 30 (36%)

The number of fixed route buses in service is changing as AVTA undergoes a changeover from diesel buses to new technology in the form of battery electric zero-emission buses. In September 2012, fifteen (15) new diesel hybrid buses were added to the local transit fleet, which replaced older buses that had reached or exceeded their useful life. Six (6) MCI commuter buses were also added to the fleet. Three (3) of the MCIs replaced aging commuter vehicles, leaving three (3) of the new ones to provide additional service to valley residents.

In 2014, two (2) all-electric zero-emission buses were added to the fleet, with the long range transit plan calling for aging local transit buses to be replaced with all electric vehicles by 2018 and commuter buses to be replaced with all electric vehicles by 2021. The first 60-foot all-electric articulated bus in the nation was delivered to AVTA in May 2017. The current peak requirement for local service is 38 vehicles and for commuter service is 25 vehicles. As of December 2019, AVTA operated 88 buses, over half of which are zero-emission buses. Those 48 BYD electric buses, manufactured in the Antelope Valley, completed two million miles of travel on December 24, 2019. The transition to electric bus technology coincides with AVTA goals of employing changing technology, sustainability, and environmental protection. With the same aims and with the support of FTA funding, the agency constructed an administration, operations, and maintenance facility in phases, starting in 2004 and completing in 2013. The facility includes a solar canopy in the parking area. AVTA's other major facilities include transfer centers in Lancaster and Palmdale.

Changes to the transit system will be addressed through the PTASP management of change process outlined in Section 11: Management of Change of this PTASP.



1c. AVTA Transit System Operating Performance

The 2018 National Database Profile for AVTA indicates the following performance metrics:

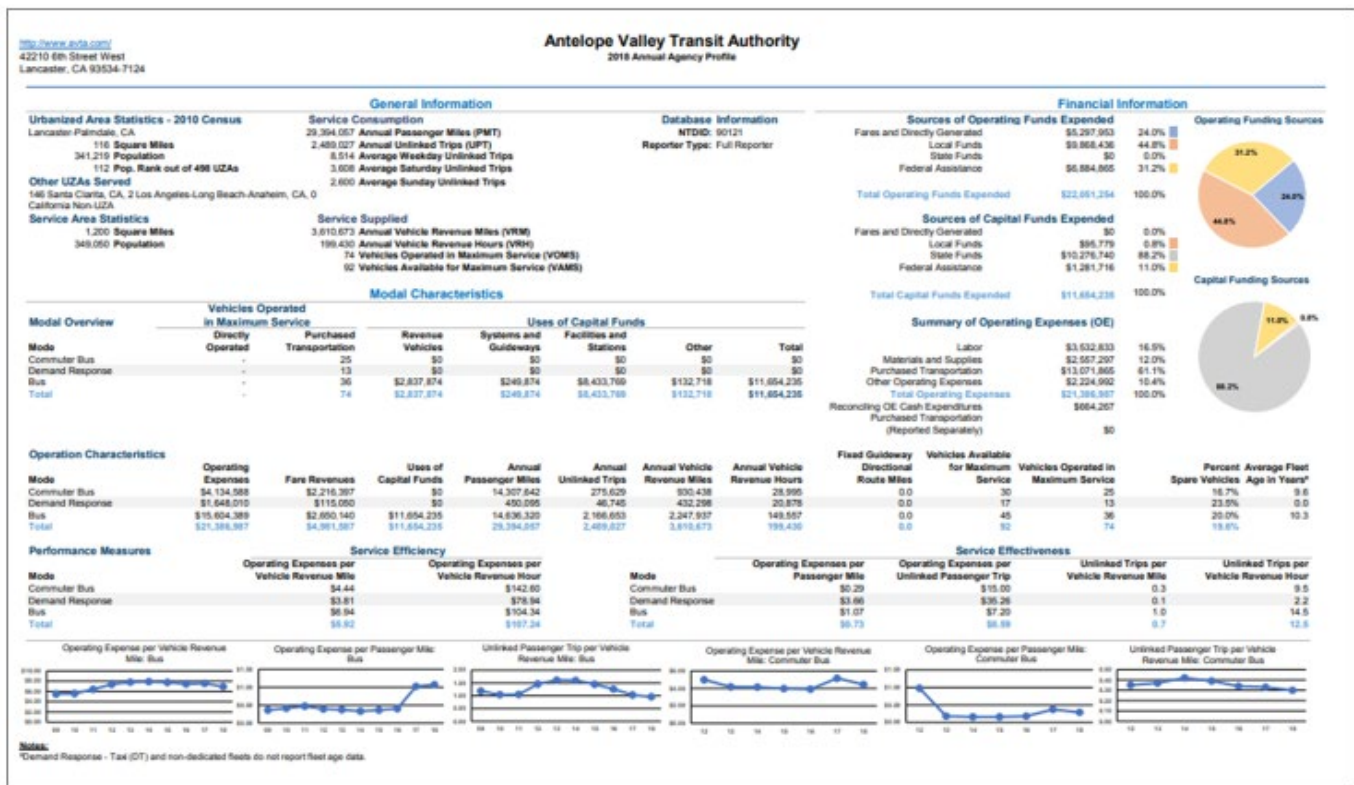


Exhibit 1: NTD 2018 Profile for AVTA

2018 & 2019 Average Operating Performance

| <u>All Modes:</u> | <u>2018 /1</u> | <u>2019</u> |
|---------------------------------------|----------------|--------------|
| Annual Operating Expenses | \$11,654,235 | \$25,258,211 |
| Annual Vehicle Revenue Miles (VRM) | 3,610,673 | 3,714,702 |
| Annual Vehicle Revenue Hours (VRH) | 199,430 | 208,043 |
| Annual Passenger Miles (PMT) | 29,394,027 | 30,689,552 |
| Annual Unlinked Passenger Trips (UPT) | 2,489,027 | 2,352,468 |
| Vehicle Fleet by Mode: | | |
| Commuter Buses | 25 | 30 |
| DAR Vans & Sedans | 13 | 18 |
| Local Fixed Route Buses | <u>36</u> | <u>54</u> |
| Total Vehicles | 74 | 102 |

| | <u>2018</u> | <u>2019</u> | <u>Diff.</u> |
|--|-------------|-------------|--------------|
| Commuter Bus Performance: | | | |
| • Operating Expense / Vehicle Revenue Mile | \$4.44 | \$4.31 | +\$0.13 |
| • Operating Expense / Vehicle Revenue Hour | \$142.80 | \$136.08 | -\$6.72 |
| • Operating Expense / Passenger Mile | \$0.29 | \$0.28 | -\$0.01 |
| • Operating Expense / Unlinked Passenger Trip | \$15.00 | \$14.58 | -\$0.42 |
| • Unlinked Passenger Trip / Vehicle Revenue Mile | 0.3 | 0.26 | -0.04 |
| • Unlinked Passenger Trip / Vehicle Revenue Hour | 9.5 | 9.33 | -0.17 |

| | <u>2018</u> | <u>2019</u> | |
|--|-------------|-------------|---------|
| Dial-A-Ride Performance: | | | |
| • Operating Expense / Vehicle Revenue Mile | \$3.81 | \$4.19 | +\$0.38 |
| • Operating Expense / Vehicle Revenue Hour | \$78.94 | \$87.52 | +\$8.58 |
| • Operating Expense / Passenger Mile | \$3.66 | \$4.26 | +\$0.60 |
| • Operating Expense / Unlinked Passenger Trip | \$35.26 | \$38.84 | +\$3.58 |
| • Unlinked Passenger Trip / Vehicle Revenue Mile | 0.1 | 0.11 | +0.01 |
| • Unlinked Passenger Trip / Vehicle Revenue Hour | 2.2 | 2.25 | +0.05 |

| | <u>2018</u> | <u>2019</u> | |
|--|-------------|-------------|----------|
| Local Fixed Route Performance: | | | |
| • Operating Expense / Vehicle Revenue Mile | \$6.94 | \$8.41 | +\$1.47 |
| • Operating Expense / Vehicle Revenue Hour | \$104.34 | \$123.40 | +\$19.06 |
| • Operating Expense / Passenger Mile | \$1.07 | \$1.25 | +\$0.18 |
| • Operating Expense / Unlinked Passenger Trip | \$7.20 | \$9.48 | +\$2.28 |
| • Unlinked Passenger Trip / Vehicle Revenue Mile | 1.0 | 0.89 | -0.11 |
| • Unlinked Passenger Trip / Vehicle Revenue Hour | 14.5 | 13.02 | -1.48 |

/1 Exhibit 1

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 Chief Operating Officer, is accountable for the PTASP and the implementation of SMS through the service contractors. Exhibit 2 illustrates this governing structure.

a) Does the agency provide transit services on behalf of another transit agency or entity?

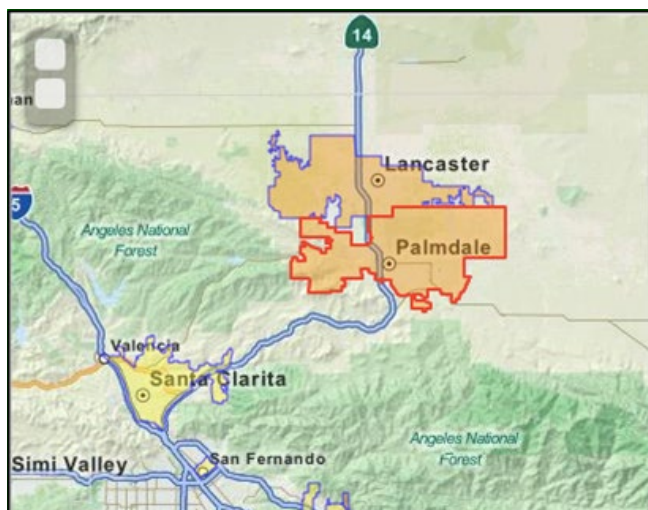
Yes

b) 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.

c) 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



b) 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 for paratransit dial-a-ride service. The following Exhibit 2 illustrates the delivery structure:

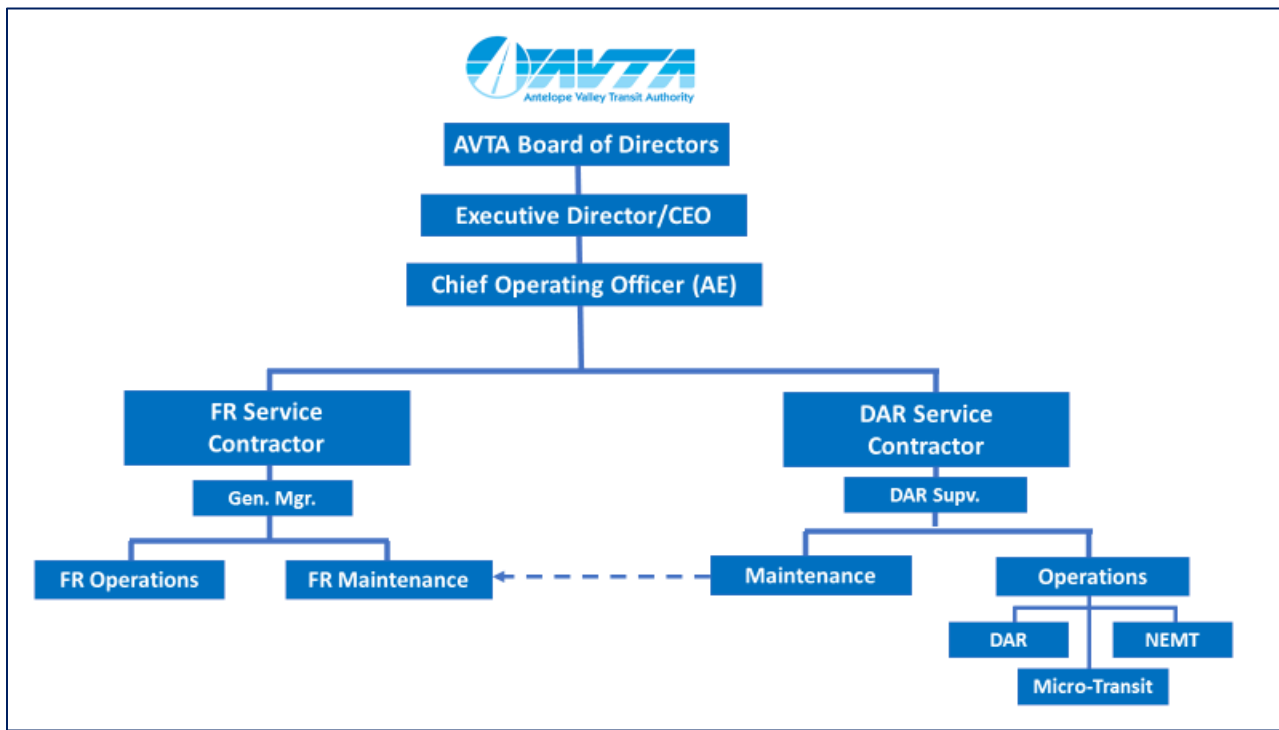


Exhibit 2: AVTA Organization Framework for Service Delivery and Oversight

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

 Martin Tompkins
 Chief Operating Officer of AVTA
 Date: _____

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

- **Name of Individual/Entity That Approved This Plan:**
 - i. **Name:** AVTA Board of Directors
 - ii. **Date of Approval:** _____

- **Relevant Documentation:**
 - i. **Board Resolution No.** No. _____
 - ii. **Resolution Title:** _____
 - 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 Steven Hofbauer, City of Palmdale
 - e. Director Angela Underwood-Jacobs, City of Lancaster
 - f. Director Richard Loa, City of Palmdale

- **Certification of Compliance /1**

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

- 1. **Name:** Martin Tompkins, COO

- 2. **Date:** _____

- ii. **Certification Documentation**

Annual certification is completed through FTA’s Certifications and Assurances process within TrAMS. Certification attests to the fact 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):**

- 1. **Document Title:** AVTA Board Resolution

- 2. **Date Filed with FTA:** _____

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.

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

| <u>Plan Version No.</u> | <u>Section/Pages Affected</u> | <u>Reason for Change</u> | <u>Date</u> |
|-------------------------|-------------------------------|--------------------------|-------------|
| a. Version 1 | n/a | New Document | 7/20/20 |
| b. Version 2 | | | |
| c. Version 3 | | | |
| d. Version 4 | | | |
| e. Version 5 | | | |

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. Two (2) months before reconsideration by the Board, the staff shall conduct 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. The safety performance targets will undergo monthly review based on current safety events activity. Based on the projected annual reported performance in the four target categories and the projected 2020-2021 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 2021-2022 PTASP for consideration by the AE and forwarded to the Board for adoption.

3. SAFETY PERFORMANCE TARGETS

The Public Transportation Agency Safety Plan (PTASP) regulation, at 49 C.F.R. Part 673, requires covered public transportation providers and State Departments of Transportation (DOT) to establish safety performance targets (SPTs) to address the safety performance measures (SPMs) identified in the National Public Transportation Safety Plan (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. Basis for AVTA Safety Performance Targets

The PTASP 2020-2021 Safety Performance Targets are based on the loss runs (histories) of AVTA's fixed-route service contractor over a five (5) year period that were provided by the contractor's insurer. The loss runs for the period examined including the DAR losses as well. Losses included claims due to vehicle collisions and operational incidents, as well as, employee workers' compensation claims

In the future data sources, other data will be reviewed to establish the next setting of safety performance targets, including, but not limited to, close call reporting, employee safety reporting, reports of practical drift from policies & procedures, accident investigation reports, safety data trend analysis, and operation's accident logs of all safety events insurance claims are made and those claims not made.

3b. Summary of Loss Runs

From 2014-2019, AVTA’s contractors for fixed-route and dial-a-ride services experienced various vehicle collisions, onboard and passenger stop incidents, and employee injury claims. The review of the contractor’s loss runs did not include a detailed examination or sampling review of accident and incident reports. The insurance lines of coverage that were reviewed were limited to auto liability, auto liability umbrella and workers’ compensation. The types of events that were covered included bodily injuries, collisions, property damage, and employee injuries.

The losses have been adjusted for a frequency of 100,000 VRM:

Total Revenue Miles from 2014-2019 = 16,463,673 VRM

Average per Year = 16,463,673 VRM / 5 = 3,292,735 VRM/Yr.

5-year average per 100,000VRM: 3,292,735/100,000 = 3.3

| Safety Performance Targets (SPT) – Actual Recorded Losses | | | | | | | |
|---|--------------------------|------------------------|-----------------------------|----------------------------------|--------------|--------------|--------------|
| <i>Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan. Based on 5 years of insurer loss runs</i> | | | | | | | |
| Mode of Transit Service | Fatalities /1 | Injuries /1 | Safety Events /1 | System Reliability /1 | Other | Other | Other |
| Losses – All Modes | 5 | 76 | 147 | 0 | | | |
| Loss/100,000 VRM | 1.5 | 23 | 44.5 | 0 | | | |
| FY 2020-2021 SPT | 0 | 20 /2 | 38 /2 | 0 | | | |

/1 See sub-section 3c for category definitions

/2 targets a 15% reduction

Exhibit 3: Projected Safety Performance Targets for FY 2020-2021



Local Fixed-Route



Local Fixed-Route



Commuter Bus



DAR/Micro Transit/NEMT

3c. NPTSP Safety Performance Targets (SPTs)

As described in the National Public Transportation Safety Plan (NPTSP), transit providers are required to establish by mode seven SPTs in four (4) categories. The data employed in providing safety performance targets for the PTASP relied solely on insurer loss runs, which are claims made.

However, the data does illustrate a generalized portrait of the last five (5) years of safety performance and provides a basis for setting safety performance targets for FY 2020-2021.

- Fatalities: Total number of fatalities reported to NTD and rate per total vehicle revenue miles (VRM) by mode.
 - Local Fixed-Route n/a
 - Commuter Bus n/a
 - Dial-A-Ride n/a
 - All Modes 5 (2.2%)

- Injuries: Total number of injuries due to collisions and incidents, includes workers' compensation claims at a rate per total VRM by mode.
 - Local Fixed-Route n/a
 - Commuter Bus n/a
 - Dial-A-Ride n/a
 - All Modes 76 (33%)

- Safety Events: Total number of safety events, which includes collisions, crime events, emergencies, and property damage at a rate per total VRM by mode.
 - Local Fixed-Route n/a
 - Commuter Bus n/a
 - Dial-A-Ride n/a
 - All Modes 147 (64%)

- System Reliability: Mean distance between major mechanical failures by mode
 - Local Fixed-Route n/a
 - Commuter Bus n/a
 - Dial-A-Ride n/a
 - All Modes 0

Total for all categories = 228 Events (100%) 2014-2018

3d. Safety Performance Target Coordination /3d.1

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: _____

- **MPO:** Los Angeles County Metropolitan Transportation Authority
LA Metro) and
Southern California Association of Governments (SCAG)

Date: _____

3d. Footnotes

/3d.1 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 (49 C.F.R. § 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 (49 C.F.R. § 673.5). Transit providers may choose to establish additional targets for the purpose of safety performance monitoring and measurement.

4. FTA'S 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 sector, 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.

4b. SMS Framework

Exhibit 4 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 Policy; (2) Safety Risk Management; (3) Safety Assurance; and (4) Safety Promotion.



Exhibit 4: SMS Four Pillars

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 5 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

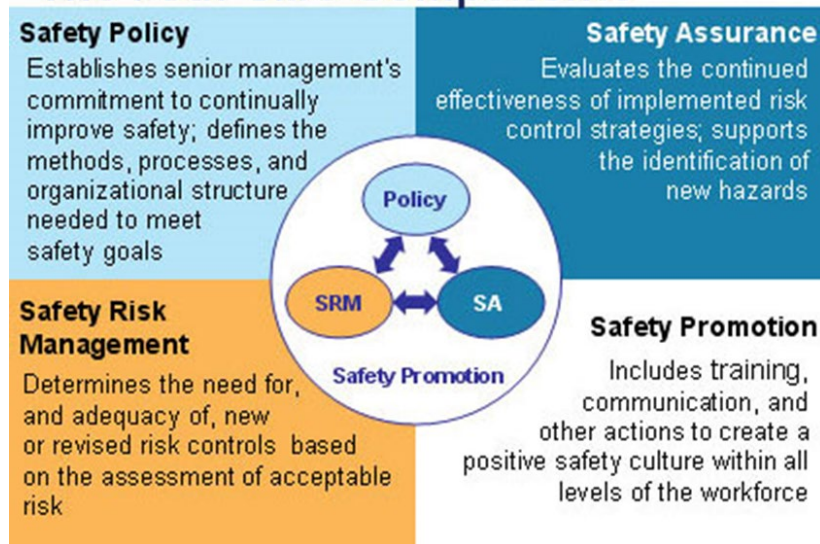


Exhibit 5: The Four Components of SMS (Source: FAA)

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 above in Exhibit 5.

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: Recommended Safety Action Plans



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. Exhibit B: Safety Performance Goals, Objectives and Outcomes provides for a template to refine the AVTA’s goals. The initial goals have been included in the recommended SMPS.

- GOAL 1: SMS Reduce Casualties/Occurrences
 - 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.
- GOAL 3: Manage Transit Assets

- 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.
- GOAL 4: Strengthen Safety Culture
 - 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
- AVTA safety objectives for targeted safety performance.
- An employee safety reporting program.
- Communication of the SMPS throughout the agency and its contractors.
- 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 first 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 management and all frontline employees are accountable for the delivery of this highest level of safety performance, starting with Executive Director/CEO of AVTA, followed by the Chief Operating Officer (COO) 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 COO/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 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 an 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 transit managers, supervisors, and employees.
- Clearly define for all 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 the transit agency's safety management processes and activities.
- Ensure that all transit 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 the transit system'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 our transit mission are delivered and that meet our safety performance standards.
- 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 management support for decisions made in the interest of safety while recognizing that intentional breaches of safety will not be tolerated.

Signature

Macy Neshati, 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. The transit service contractors will in turn be required to provide the SMPS to all its project location employees and to its corporate office. 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 and dial-a-ride services are operated by a private company under a service agreement with AVTA (Exhibit 7). 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. 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.

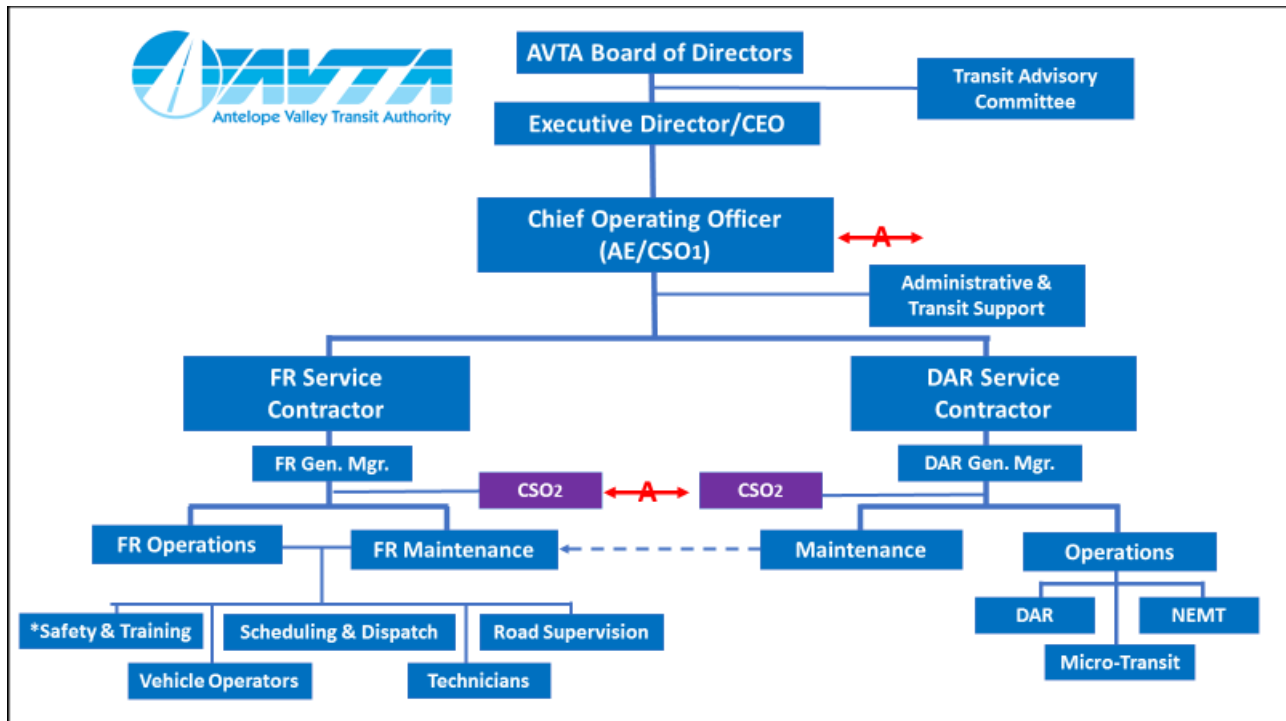


Exhibit 7: AVTA – Governance and Service Delivery Model

As illustrated above, the COO will serve as the designated AE. The existing AVTA organizational structure also provides for the COO/AE to serve as CSO1 as well. This arrangement complies with the SMS requirement that the CSO reports directly to a member of executive management.

The CSO1 is linked directly to the CSO2 within each contractor organization and mode of service by the symbol (←A→), to provide direct liaison, coordination, and oversight of contractors' operational safety management and SMS implementation.

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

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 described 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 Chief Operating Officer (Exhibit 7: 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 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.
- 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 SMS.
- Ensures that appropriate contract oversight and action are taken to address substandard performance in AVTA's SMS program.
- 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.
- Maintains responsibility for oversight of AVTA's Transit Asset Management (TAM) Plan in conjunction with the PTASP.
- Conducts operational safety assurance tasks, including, but not limited to, safety observations, inspections, reviews, and comprehensive audits and where warranted, in conjunction with the service contractor
- 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 chief safety officer (CSO) who reports directly to the AE to carry out the duties and responsibilities referred to above. In the case of AVTA, the AE will also serve as CSO1.

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 projects or activities. Duties also include hazard management, accident investigation, coordination and collaboration with other transit functional areas, 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 dial-a-ride. Since the implementation of SMS and its strategies are carried out on the operational level, a CSO is recommended for each contractor and mode of operation. Both contractor CSOs are designated as CSO2 in the safety plan and are illustrated in Exhibit 7, above.

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 CSO1, from SMS implementation planning to establish FTA-compliant employee safety reporting programs. The goal is to build a stronger safety culture within the entire transit system.

5c.3-1 AVTA CSO1 and SMS Accountable Executive

The COO/AE designates 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 (Page 27) are carried out, including top management's commitment to and leadership required for AVTA SMS.
- Develops AVTA's PTASP and SMS priorities, initiatives, planned actions and resulting policy and procedural mitigations in conjunction with CSO2 and recommends them to the SMS Safety or Coordinating Committee (and senior management for consideration and action).
- Serves as the direct liaison between AVTA and the contractor CSOs on safety management and the PTASP. The service contractors' CSOs serve on-site as safety managers and project managers for SMS implementation with their operating entity.
- Serves as chairperson for the AVTA SMS Coordinating and Safety Committee, which should include representatives from AVTA, the service contractors, labor and local traffic enforcement and accident investigation (Refer to Section 9c.).
- Coordinates the implementation activities of the SMS Coordinating and Safety Committee, communicates recommendations for mitigating identified hazards to the AE, develops action plans to carry out adopted mitigations, coordinates with the AVTA departments on oversight and with the contractor on action. (See Section 9c SMS Coordinating and Safety Committee.)
- Manages AVTA's Employee Safety Reporting System (ESRS) and oversees the service contractor's Employee Safety Reporting System (ESRS) in conjunction with the contractor's on-site general manager.
- 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 the Executive Director/CEO 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 substandard performance (i.e. unsafe conditions and unsafe acts) in AVTA's SMS and develops corrective action plans for approval by the AE. Ensures AVTA policies are consistent with AVTA's safety objectives.
- Provides Safety Risk Management (SRM) expertise and support for other AVTA personnel who conduct and oversee Safety Assurance activities.
- Continues to serve as the Chairperson for the COVID – 19 Task Force.
- Meets the standard of adequate safety training as stipulated by the PTASP Final Rule.

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

As illustrated in Exhibit 9 below, the General Manager of each service contractor will designate the CSO2 for their mode of service. i.e. fixed route, micro-transit, DAR or NEMT. For the fixed route service, it should be the Safety and Training Manager, the most appropriate position to assume this role. For the DAR operator, it can be a trainer. The CSO2 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 SMS Safety or Coordinating 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 SMS Coordinating and Safety Committee (Safety 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.
- Refer to Exhibit 8: AVTA Organization Chart, which also illustrates the positions held by the AVTA Accountable Executive and AVTA Chief Safety Officer.

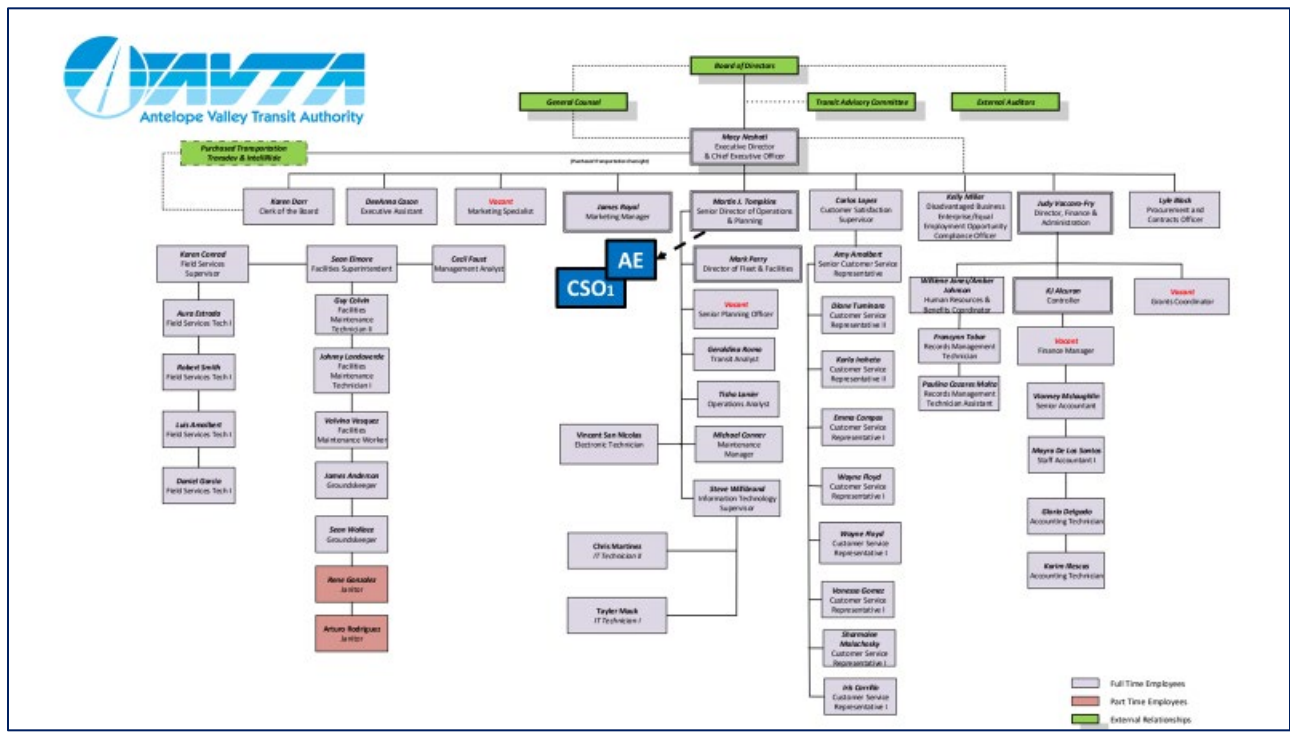


Exhibit 8: AVTA Policy and Management Organization Chart

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 8: AVTA Organization Chart, AVTA leadership and executive management include:

- Executive Director/CEO
- Chief Operating Officer
- Director of Finance and Administration

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 as members of AVTA's SMS Coordinating and Safety Committee (operations managers and supervisors will be rotated through the committee on assignment by the AE. (See Section 9c SMS Coordinating and Safety Committee.)
- Undergo SMS Awareness training on SMS and AVTA's PTASP elements.
- Oversee execution of SMS in their departments.
- Modify policies in their departments consistent with 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 authorities 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 contractor include:

- Customer Satisfaction Supervisor
- Facilities Superintendent
- Field Services Supervisor
- Maintenance Manager
- Marketing Manager
- Procurement and Contracts Officer

B. For the Service Contractor (Refer to Exhibit 9 below):

- 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:

- Participate as members of AVTA's SMS Coordinating and Safety Committee and/or the contractor's safety committee. (See Section 9c SMS Coordinating and Safety 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 the SMS as requested by the AE or CSO1 for AVTA and GM or CSO2 for the contractors, including SRM activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

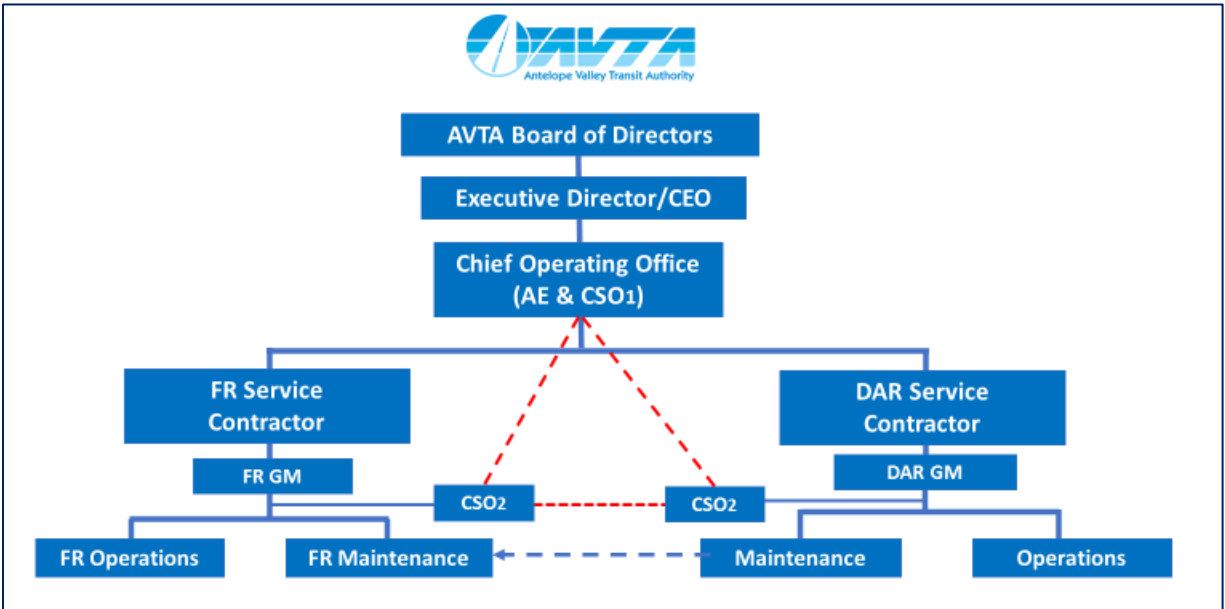


Exhibit 9: Contractor AVTA Transit Operations Organization

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 that 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.

6. EMPLOYEE SAFETY REPORTING

This section describes the process and protections for employees to report safety conditions to senior management. It also addresses employee behaviors that may result in disciplinary action (and therefore, are excluded from protection). The intent of an employee safety reporting program is that is available to all transit system employees, including contract employees, is to help the AE and other senior managers get 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 reported data 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

As required by FTA and the PTASP Final Rule (49 C.F.R. Part 673.23(b)), AVTA is to establish an employee safety reporting program for all employees of AVTA and the service contractor.

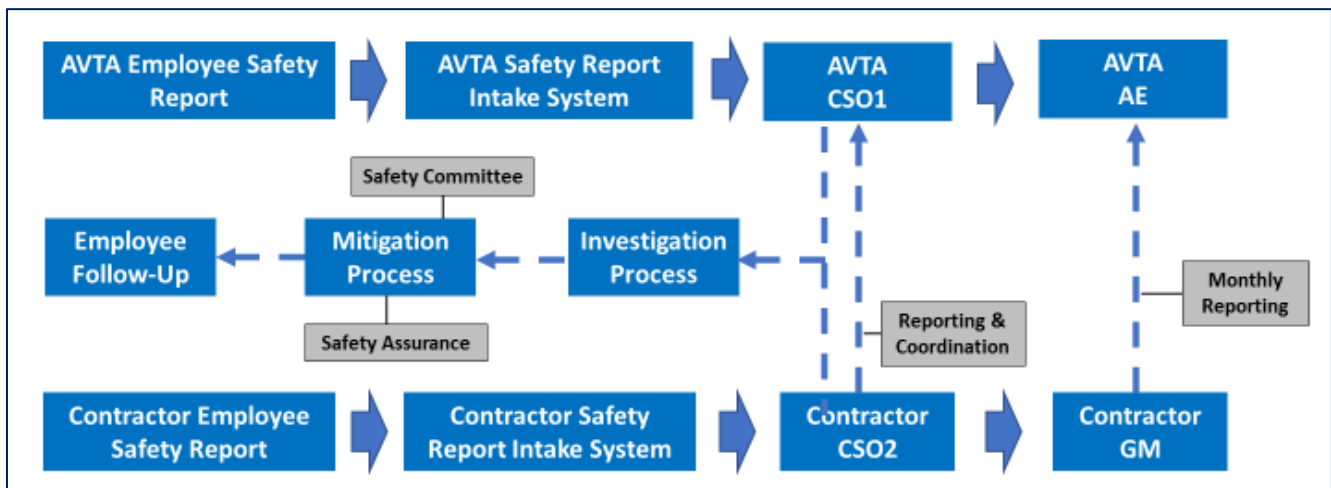


Exhibit 10: Process Flow for Employee Safety Reporting

The AVTA process of the Employee Safety Reporting Program is illustrated by the above Exhibit 10: 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 for the contractor. Both 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 CBA should also guide the development of program specifics.

Both the AE and 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 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 – systemwide safety.
- To be effective, all employees of AVTA and the contractor must work together to improve safety, and the 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. Utilize existing incident reporting processes, e.g. paper or electronic forms and lock boxes.
- The close call reporting element is a voluntary system meant to encourage all employees to report events that are noteworthy happenings 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 happening 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 2: 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 contractor 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 contractor 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 here:

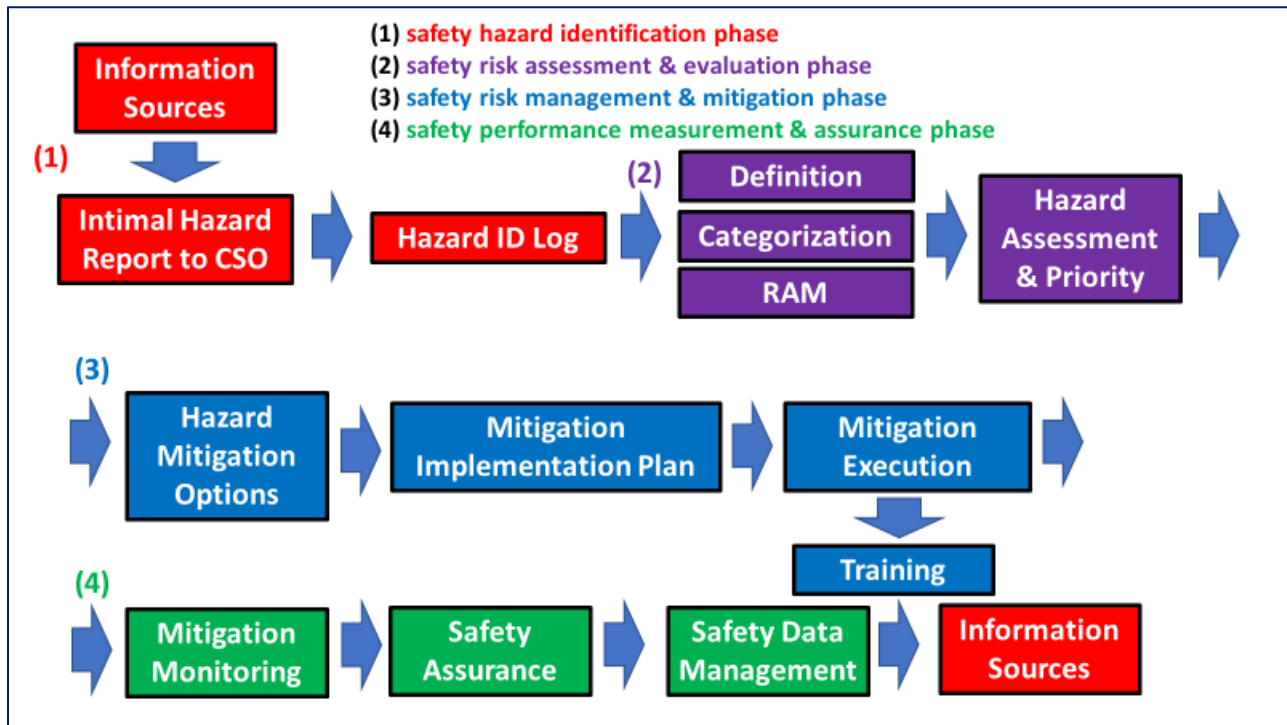


Exhibit 11: Hazard Identification and Mitigation Process

7a. Phase 1- Safety Hazard Identification

Processes to identify hazards and consequences of the hazards.

- The AVTA’s service contractor 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 11).
- 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 Operating Facility

- The service contractor should routinely review and prioritize identified hazards with AVTA. The service contractor should also provide AVTA with action plans to deal with the prioritized hazards and potential consequences. The hazard and consequences identification processes are illustrated by Exhibit 10: Hazard Identification and Mitigation Process above.
- In Phase 1, potential data, and information sources, including reports ^{/2} of an identified hazard, may generate an issue. AVTA and the contractor 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

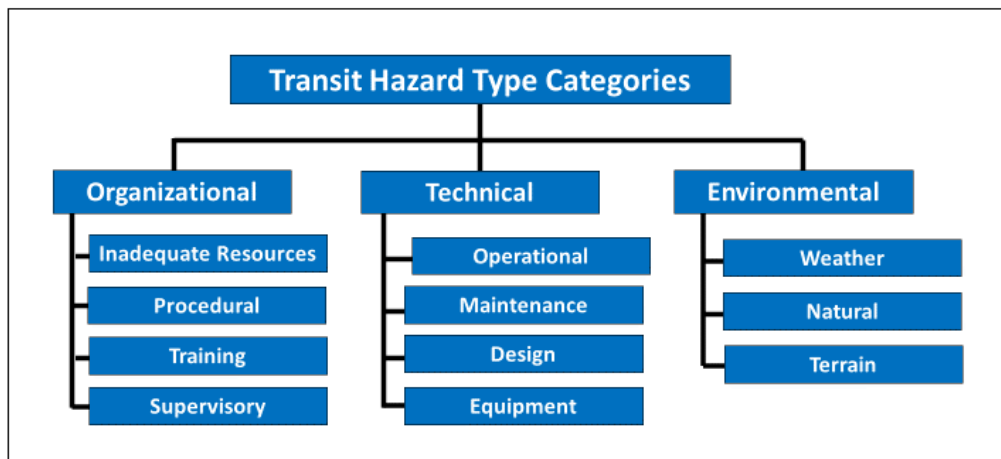


Exhibit 12: Safety Hazard Type Categories

The Hazard Identification and Mitigation Process, which may be employed by AVTA and the contractor is illustrated in Exhibit 11 above. 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 13) shown below 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>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>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>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>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 13: Safety Risk Management Definition Checklist

With the Safety Hazard Type Categories chart (Exhibit 12) and the Safety Risk Management Definition Checklist (Exhibit 13), 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 reliable 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 14).

7d. Phase 2 – Safety Risk Assessment

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 current safety committee, the general manager, the CSO2 can establish the probable level of risk for any identified hazard with the use of a RAM such as Exhibit 14 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 CSO2 and the contractor's safety committee should consider all hazards identified by employees, OSHA inspections, peer reviews, insurers, the Highway Patrol, 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 Committee.

7d Footnotes:

/1 See Appendix H: Sample Risk Assessment Matrix.

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

| | | Severity | | | | |
|------------------|------------------------|-------------------|----------------|------------|------------|-----------------|
| | | Risk severity | | | | |
| Risk probability | | 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 14 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 contractor 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 to not be performing as expected or inappropriate.

7f. 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, as discussed above in Section 7: Safety Risk Management.

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 14A), 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.

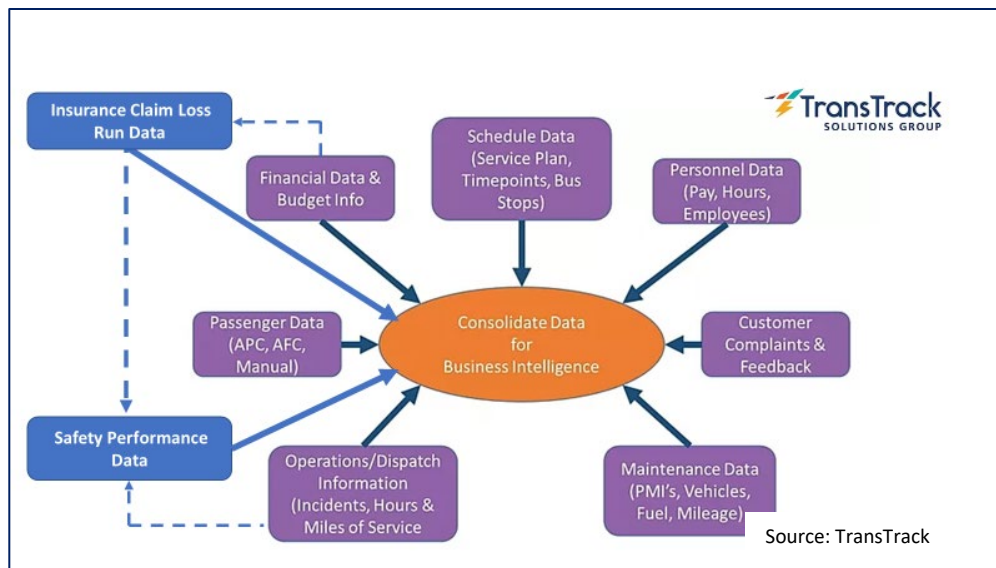


Exhibit 14A: Integrating Safety Performance Data within *TransTrack Manager*

The safety performance data metrics or KPIs that are recommended in maintaining 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
 - DAR
 - Service Vehicle
 - 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 & Field Supv. 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)



8. SMS PLILLAR 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 2020-2021 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 15: Safety Assurance and Timeframes). 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 conducted
- 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 to leading indicators are lagging indicators. They are reactive to the event. They include:

- Information from accident reporting
- Accident investigation
- Traffic law enforcement reports
- Insurance claims
- Coaching and retraining
- Discipline
- 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 15 illustrates the desired direction that AVTA should also embrace.

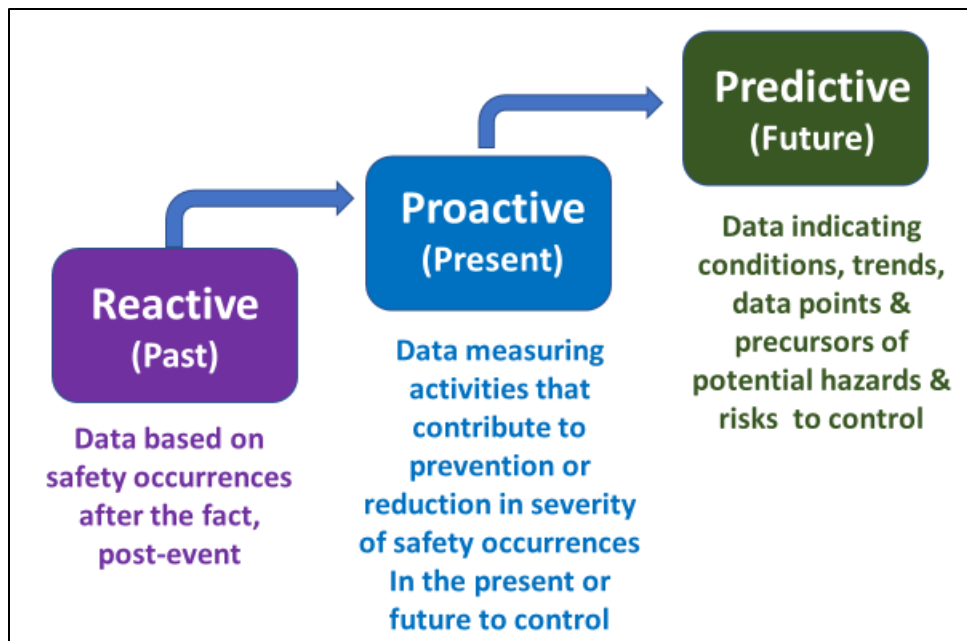


Exhibit 15: Safety Assurance Orientation

8b. Complying with Procedures for Operations and Maintenance

The monitoring of the transit system for compliance with procedures for operations and the established maintenance is currently performed through contract administration and management based on agreement and scope of work between AVTA and the service contractor. 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 8: AVTA Organization Chart in Section 8. They include the Chief Operating Officer (also serving as AE/CSO1), the Contracts and Procurement Officer, the Director of Finance and Administration, and the Customer Satisfaction Supervisor.

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

- The COO 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 are included in the provisions and scope of work. Safety performance and SMS implementation reporting will be included.
- A regular monthly performance review between the COO and the service contractors provides an extended review of safety performance, identification of hazards and risks and approaches to 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
- Employee safety reporting
- Close call reporting
- The service contractors should also monitor *practical drift* (taking short-cuts) as applied to established contractor operating policies and procedures.
- 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, as well as, providing senior management and maintenance management the information needed for achieving the “state-of-good-repair” (SGR) objective of the AVTA Transit Asset Management Plan (TAMP).
- The service contractors should monitor the interface of PTASP objectives and the TAM Plan and SGR and report as may be required by AVTA.
- The Safety Performance Guide for Goals, Objectives, and Outcomes (Appendix B) will allow 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 contractor will conduct activities to monitor transit operations to identify any implemented safety risk mitigations that may be ineffective, inappropriate, or not implemented as planned or intended. The CSOs will also monitor the status of mitigation action plans. The SMS Coordinating Safety Committee may also be charged with this responsibility as well.

Monitoring for ineffective mitigation activities and approaches will include:

- Performing mitigation performance by the CSOs and involving observations and recommendations from the SMS Coordinating 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 assets against desired standards.
- Monitoring the mitigating approach for any influence of practical drift from the procedures and standards and
- 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 safety mitigation.
- Monitoring accident, incident, and insurance claim data due to the mitigating approach.
- Conducting safety assurance activities to determine if new safety issues were created by the original mitigation.

8d. Tracing Safety Event Causal Factors

A causal factor is any major unplanned, unintended contributor to an adverse safety occurrence, accident, or undesirable 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.

AVTA and its service contractor will employ methodologies, such as a root cause analysis process to trace the origins of a safety occurrence (e.g. FTA's categories: fatality, injury, safety events and system reliability). AVTA will 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 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 Possible Causal Factors
 - What sequence 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 Cause(s)
 - Why does the causal factor exist?
 - What employee behaviors and/or operating conditions were observed?
 - What is the real reason the event or problem occurred?
- Step Five: Recommend and Implement Solutions

8e. Identifying Causal Factors

Led by the CSOs, AVTA and its contractor will conduct activities to investigate safety occurrences (accidents, safety events) for the causal factors leading to the event. 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 Exhibit 12 The Safety Hazard Type Categories and Exhibit 13: Safety Risk Management Definition Checklist to categorize an event or identified hazard and to define the event or safety problem.
- Establish the what, who, where, when and how of 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.).

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. CSO1 will then follow-up with the contractor-side CSO2 for discussions and action.

Employee safety reports will be received by CSO2 and routed directly to the general manager. The service agreement's provisions and scope of work provide for such internal reporting. The CSO2 will confer with CSO1 and coordinate follow-up action if required. Exhibit 10: 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 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 CSO2 reviews all safety related reports and logs, while also obtaining employee and other input or details of a safety event.
- Contractor CSO2 updates running accident/incident logs and provides updated information to the contractor's location general manager.
- General Manager and/or CSO2 provide the COO in written monthly reports and monthly performance reviews, which include observations of internal safety reporting.
- Service contractor's safety/SMS Committee also review select internal reporting information.



9. SMS PILLAR IV. SAFETY PROMOTION

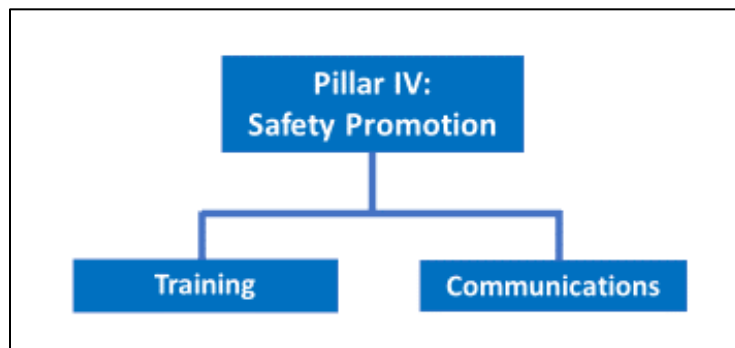


Exhibit 16: Safety Promotion Components

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 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, such as maintenance supervisors and managers, operational and field supervisors, lead dispatchers and trainers, will undertake safety training as described in Section 5d. 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 jurisdiction 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 type
- 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)
- 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
- Conflict/Aggression Management
- Tailgate Pre-Pull Out Safety Meetings

Fleet Maintenance:

- OSHA requirements for industrial safety and compliance
- 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
- Biohazard Spill Incidents
- Intentional Criminal Acts
- Emergency Communication Procedures
- Near Miss and After-Action Reporting
- Emergency Evacuation Plans and Procedures
- Good housekeeping for Safety
- Right Tools for the Job Safety
- Toolbox Work Assignment and Safety Meetings

General Safety and Security:

- Safety Management Systems Overview (new)
- Driver responsibilities under SMS (new)
- Hazard identification and reporting
- COVID-19 pandemic risk management (new)
- Vehicle video recording policies and procedures
- Close call reporting
- Employee safety reporting program (new)
- Safety good practices and situational awareness
- Myth of multi-tasking
- Blood borne pathogen procedures

- Driver distractions and risks
- Driver rushing risks
- Bus stops hazards
- Fare disputes and confrontations
- Safety event/accident investigation
- Importance of accident and incident reporting
- Crash and incident evidence preservation
- Accident and emergency policies and procedures
- Drivers serving as first responder (new)

All Employee SMS Training

All AVTA and contractor employees should be introduced to the purpose, major elements and select processes of SMS. This training will be the equivalent of TSI's *SMS Awareness* course at the minimum or as extensive as TSI's *SMS Principles and Framework* course.

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.

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 of customers and other stakeholders effected by system changes, will also take place under AVTA's communication efforts.

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 within both and between AVTA and the service contractor's organization. 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 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 contractor providing verbal recognition of employees (e.g. *“Thank you for your service.”*) along with some safety reminder (e.g. *“Be safe out there.”*) during casual 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 contractor 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 SMS Coordinating/Safety Committee involving employees and staff of both entities. Include updates to all employees on projects, purposes status and invitations for feedback.
- Promote the employee safety reporting program in various mediums and methods.
- 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 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 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 contractor 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 of decals or signage as safety reminders within the interior of buses.

- Promoting safety and security by wearing of safety vests while driving or assisting customers.
- Providing customers with advertising specialties that promote safety and security.
- Providing pandemic warning or control signage.

9c. SMS Coordinating and Safety Committee

AVTA's implementation structure for SMS is illustrated below as Exhibit 17. The AE/CSO₁, which is the COO, will oversee and support the development of a SMS implementation plan in cooperation with the contractor CSOs and the SMS Coordinating and Safety Committee.

The SMS Coordinating and Safety Committee is to serve as an advisory group for both AVTA and the service contractors. The committee should serve as a technical advisor, reviewer, communicator, and coordinator of planned SMS implementation activities for safety policy, safety risk management, safety assurance, safety training and safety communications. The CSO₁ is to serve as chairperson of the Committee. Ideally, the Committee also has representation from other AVTA staff, the contractors' staff (especially their CSOs), line employees and the LA County Sheriff Department.

The duties of the group will include activities of a traditional Safety Committee, such as:

- 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 for FTA's required key indicators of fatalities, injuries, safety events, major mechanical failures leading to or resulting from unsafe conditions, unsafe acts, or gaps in organizational safety management.
- 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 pandemic risk management for the next wave of influenza or COVID-19.
- Contributing to the development of annual safety goals, objectives, priorities and safety performance targets.
- Auditing safety training programs, including delivery of all-employee SMS Awareness.

AVTA should also consider including a member of local law enforcement's traffic investigation division from the City of Lancaster, the City of Palmdale or L.A. County Sheriff Department on the SMS Coordinating and Safety Committee. Including a sworn officer will provide technical input into the above responsibilities, but also build a stronger working relationship with both local jurisdictions in response to collisions and incidents.

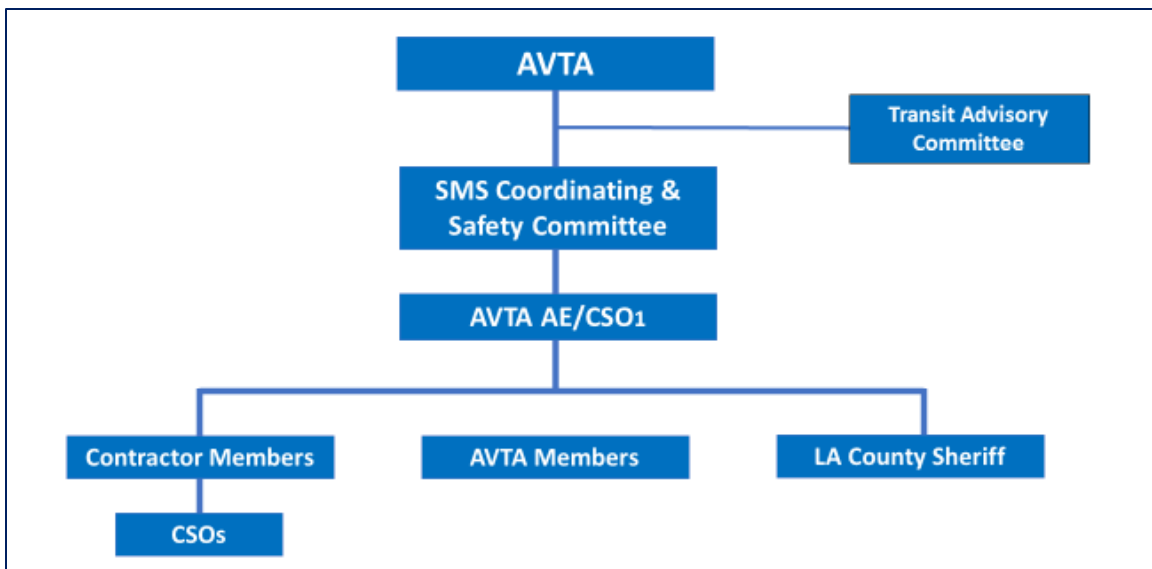


Exhibit 17: AVTA SMS Coordinating & Safety Committee Structure

9d. Employee Safety Meetings

The service contractors should continue conducting monthly safety training meetings for frontline employees as required in their agreement with AVTA. 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.

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 sessions are always ended 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.



10b. Interdependence Between Safety Culture and SMS

This PTASP and the adoption of SMS are effective tools for AVTA and its service contractor to strengthen and sustain its existing culture for safe and reliable transit service within Antelope Valley and Los Angeles County. Exhibit 18: SMS-Safety Culture Symbiotic Relationship illustrates the independency 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 the exhibit, safety culture is further strengthened by the use of 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.

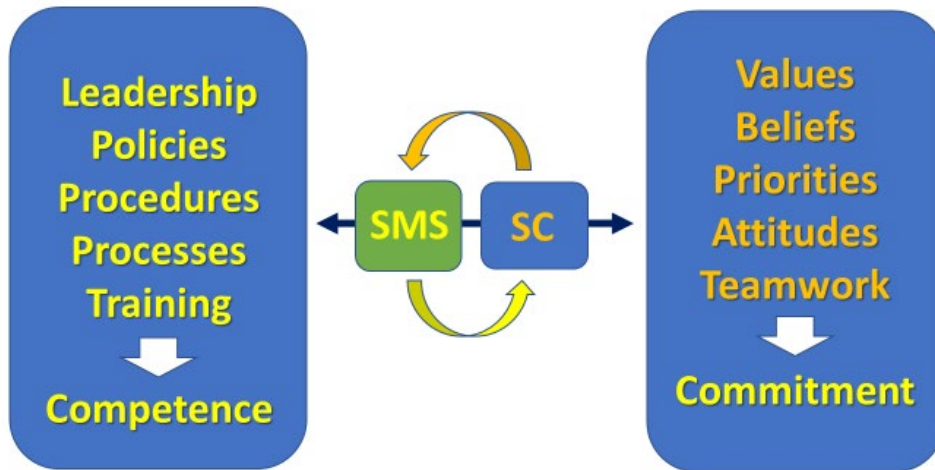


Exhibit 18: SMS-Safety Culture Symbiotic Relationship

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 can be used to assess the situation and answer the preceding question.

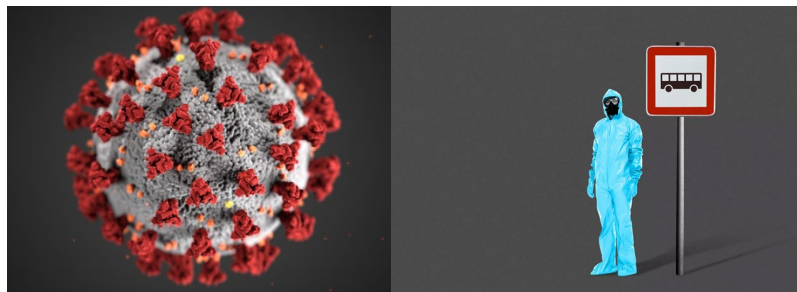
11. MANAGEMENT OF CHANGE

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. This PTASP identifies four current change agents relative to AVTA management and operations in FY 2020-2021. They include the COVID-19/coronavirus pandemic and expected winter wave, the transition to all-electric buses, scheduled facility expansion and the expected FTA triennial audit. Each of these situations could pose differing degrees of safety concern. There could be others, including changes in policies, procedures, the labor pool, as well as, the rising costs to live in the service area, even while out of the Metropolitan Los Angeles Basin.

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 and continuous safety management. 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, the jurisdictions being served and between AVTA and the contractor.

11a. COVID-19 pandemic

The sudden change in management and operations of the AVTA transit system brought about by the COVID-19 pandemic was substantial. Public transit is deemed as an essential service to enable users to get to work in other essential community services, e.g. medical care, utility services, emergency services and grocery outlets. Along with many other community services, transit agencies across the country were heavily impacted to continue some level of service, while adapting to the health-safety threat. Most systems had to learn on the go and adapt to the hazard with a high probability of infection among employees and without the benefit of advance planning for the pandemic.



Current projections are for a return of COVID-19 in the Winter of 2021 along with the annual influenza. To address this “new normal,” this PTASP recommends that AVTA use what it has learned from the first round (Appendix L: AVTA COVID-19 Responses in Winter – Spring 2020), as well as, those strategies learned throughout the public transit industry and continuing lessons to be learned up to the next wave. Given this experience, AVTA should consider developing a Pandemic Risk Management Plan (PRMP), including stated goals, objectives, customer interface protocols, safety strategies and response-oriented policies & procedures. The plan can consider the NCHRP Report 769: *A Guide for Public Transportation Pandemic Planning and Response* (2014) as a key resource. The NCHRP report can facilitate development of a 2021 PRMP by addressing the main question:

How prepared is AVTA for the next COVID-19 pandemic wave? The following elements should be considered in a PRMP along with current transit and paratransit COVID-19 experience:

- *Preparing strategically for a pandemic, timeline, and resources.*
- *Identifying organizational vulnerabilities during a pandemic (assessing prior efforts).*
- *Decision making and partnerships.*
- *Role of policy makers and JPA member policies.*
- *Data driven pandemic decision making.*
- *Working with other partners and stakeholders.*
- *Centralized emergency operations center for AVTA management and those of the contractors.*
- *Centralized monitoring of global, national, state, county, and city pandemic information, recommendations, guidance plans, policies and rules, and trends.*
- *Comprehensive information exchange procedures.*
- *Preventing the spread of disease education and training throughout the AVTA transit system.*
- *Procuring necessary mitigating supplies (PPE, tests, bus and facility shields, etc.).*
- *Making necessary adjustments to the service contractor agreements and to the contractor's labor agreements, as necessary.*
- *Non-pharmaceutical interventions.*
- *Cleaning and disinfection of transportation assets.*
- *Medical interventions and outside support and resources.*
- *Providing fixed route and DAR services during a pandemic and good operational practice.*
- *Effectiveness assessment of AVTA past (Winter-Spring 2020) good practices.*
- *Identifying essential functions to remain during pandemic.*
- *Service utilization changes and communications.*
- *Revisions of rider's guides, web site information and any rules for riding (e.g. required face coverings, reservation procedures and rider responsibilities for assuring their own safety).*
- *Customer service procedures.*
- *Services for ill passengers and coordination with first responders.*
- *Workforce and staffing essential workers, identification, and support.*
- *Coordination with service contractors in pandemic mitigating measures.*
- *Human resource administration during pandemic.*
- *Family preparedness and risk control.*
- *Health safety and mental wellness support for the essential workforce*
- *Crisis and emergency risk communication.*
- *Development of a dispatcher's emergency response guide on pandemic policies, procedures, and other information supporting the field.*
- *Assessment tools and checklists.*
- *Documentation of all pandemic-related directives, plan elements, procedures and notifications.*



Pandemic Safety Leadership



PPE Stockpile



AVTA Driver Barriers

In addition to the topics above, AVTA and the contractors should take into consideration of some of the lessons learned on the national level.

- Monitor local, state, and national Coronavirus news and recommendations that could or will affect AVTA.
- Review available safety, emergency, illness, or wellness documents for applicable content related to the pandemic risk management.
- Monitor and communicate with other transit operators regarding other health safety strategies and solutions.
- Assess what worked, what did not work as well and what can be improved in the providing essential bus service during the 2020 Winter This would include the posting of Coronavirus updates & rider alerts in the website and other means, installation of driver shields and signage, related marketing and informational materials, taping or roping-off the front area of the buses, rear boarding, no fares, limiting bus seating, driver each of PPE, frequent bus and facility cleaning and disinfection, training, and other requirements and instructions (including required masks or face coverings).
- Enhance new hire and refresher training curriculum regarding infection protection.
- Start planning early for the next wave, especially in procuring adequate supplies of necessary PPE (masks, gloves, safety glasses), personal disinfectants.
- Review insurance coverage for liability claims regarding Coronavirus infection by riders and employees.
- Increase training of all management staff and operating personnel that will remain on duty on the latest CDC, L.A. County Health Department, State Health Department directives and recommendations.
- Consider the needs of the personnel on duty and their families, as well as, temporary housing for those working in the system.

The responsibility for monitoring the next pandemic wave and pandemic risk planning can fall to the CSOs with the involvement of AVTA staff, contractor staff and the SMS Coordinating and Safety Committee.



Bus Interior Disinfection



Customer Instructions



Driver / General Public Separation Barrier

11b. Electric Vehicle Fleet Transition



The procurement of battery electric buses (BEBs) for AVTA local fixed-route service provides certain advantages. Battery electric buses offer zero-emission, quiet operation and better acceleration compared to some traditionally powered transit buses.

As in any changes in technology, operation and maintenance could present a need for safety assurance monitoring. Any PTASP required safety performance targets should be monitored, especially fleet safety reliability – ability to roll-out or responses to road calls. Any events should also be documented for the annual safety plan updates and again for the required performance safety targets (See Section 3.).

11c. Triennial audit by FTA

While not a direct safety issue itself, the triennial audit could identify safety plan, safety procedural, safety documentation or safety activities that the auditors feel need improvement, updating or completion for FTA compliance. Any preliminary findings should be addressed by senior management and the SMS Coordinating Safety Committee for compliance.

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 AVTA example is improving overall safety management and the organizational safety culture for contractor an AVTA management and contractor operations.

A safety plan does not assure a completely safe and secure transit system. Even with 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 second wave, 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 the issue or mitigating the issue.
- (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 assuring that the actions 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. SUMMARY OF RECOMMENDED SAFETY ACTIONS FOR FY 2020-2021

15a. SMS implementation

Implementation of AVTA SMS on the day-to-day management and operation level will be performed by its service contractor. Implementation will be directed by the contractor's CSO2, who will coordinate, collaborate, and take direction where required from AVTA's CSO1. The agency-wide SMS Coordinating and Safety Committee (chaired by CSO1) will also provide review, direction, and recommendations.

CSO2's 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 Coordinating and Safety Committee, including both CSOs, develop an implementation plan on a year 1 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), and planning partners (i.e. Cities of Lawndale and Palmdale) on the adoption of the SMS process and AVTA's PTASP.

15b. SMS Implementation Plan

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. The SMS implementation plan (SMSIP) is 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 you and your organization, but it makes progress measurable.

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 19), 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 establish 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 first 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 Winter of 2021.
 - 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.

16. ADDITIONAL INFORMATION

Supporting Documentation

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

AVTA System Security and Emergency Preparedness Plan, interim COVID-19 policies & procedures, service contractor agreement and amendments, and AVTA TAM Plan.

Contractor OSHA IIPP, Emergency Plan, Safety Policies and Procedures Handbook, Employee Handbook, Labor-Management CBA, interim COVID-19 policies & procedures, Code of Business Conduct.

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

| Term | Definition |
|------------------------------|--|
| Commuter Bus | Fixed-route bus systems that primarily connect outlying areas with a central city and operates 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 |
| Demand-Response, Dial-A-Ride | Point-to-point transit service where service typically is provided upon request and/or reservation, when boarding and alighting locations are arranged. |
| Fixed-Route Bus | Local, express, and/or rapid bus service that follows a fixed route and typically also a fixed schedule. Passengers typically board and alight at fixed stops. |
| Pandemic | Global outbreak of disease, i.e. COVID-19/Coronavirus |
| TrAMS | FTA's Transit Award Management System |
| Transporter | AVTA commuter route between Antelope Valley and the City of Santa Clarita and their transit system. |
| TransTrack Manager | A software application for key transit agency information analytics. |

LIST OF ACRONYMS USED IN THE AVTA SAFETY PLAN

| Acronym | Word or Phrase |
|---------|-------------------------------------|
| AE | Accountable Executive for the PTASP |

| | |
|----------|--|
| ASP | Agency Safety Plan |
| AVTA | Antelope Valley Transit Authority |
| 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 Service Contractor on the Operations Level |
| ESRP | Employee Safety Reporting Program |
| FTA | Federal Transit Administration |
| JPA | Joint Powers Authority |
| LA Metro | Los Angeles County Metropolitan Transportation Authority |
| 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 |
| NTD | National Transit Database |
| PMT | Passenger Miles |
| PRMP | Pandemic Risk Management Plan |
| PTASP | Public Transportation Agency Safety Plan |
| SCAG | Southern California Association of Governments |
| SMPS | Safety Management Policy Statement |
| SME | Subject Matter Expert |
| SMS | Safety Management Systems |
| SPT | Safety Performance Target |
| TSI | Transportation Safety Institute |

| | |
|-----|--------------------------|
| UPT | Unlinked Passenger Trips |
| VRM | Vehicle Revenue Miles |
| VRH | Vehicle Revenue Hours |



AVTA PTASP Appendices

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|--|------------------------|
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PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

Appendix A

PTASP Accountable Executive Certification Checklist

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: Martin Tompkins, COO

Agency: Antelope Valley Transit Authority (AVTA)

Location: Lancaster, CA - Antelope Valley

Due Date: July 20, 2020

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. 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)
 - CSO with Agency
 - CSO with contractor

2. 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 _____
- The Board of Directors' or Equivalent Authority's approval of the Agency Safety Plan and date of approval. Board Adoption Date _____
- 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 _____
- 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

3. 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. Board Adoption Date _____
- 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 _____

4. Safety Management Policy

- Written statement of Safety Management Policy (SMP), including the agency's safety objectives.
- Employee safety reporting program, that includes:
 - A process that allows employees to report safety conditions to senior management.
 - Protections for 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.
- 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

5. 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 as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards

6. 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.

7. 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.
- 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.

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

Signature:

Martin Tompkins
AE and COO

Date



PTASP FY2020-2021

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: Click here to enter text.

Last Updated: Click here to enter text.

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 time 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 Agency Chief Safety Officer (CSO) to manage the agency'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 AGENCY senior management, where safety performance and SMS implementation are included in the monthly report by the CSO.
 - a. *Metric: Number of meetings per specified time 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 time 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 time 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 general public by developing and producing safety messaging and promotions internally to employees and customers and externally to the public that may interface with AGENCY service.

- a. *Metric:*
 - i. *Number of schedules, newsletters, safety brochures, posters or campaigns distributed per specified time period*
 - ii. *Number of visits to the AGENCY 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:

AGENCY 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*



PTASP FY 2020-2021

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 |
|----------------------|-------------|

| 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 | | | |



PTASP FY 2020-2021

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: Click here to enter text. |
|---------------------|--|

| SECTION | REVIEW QUESTIONS | YES | NO | N/A |
|---|--|--------------------------|--------------------------|--------------------------|
| <i>Safety Policies:</i> | <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"/> |
| | | | | |
| <i>New Hire Employee Files:</i> | <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"/> |
| | | | | |
| <i>Post Hire Employee Files:</i> | <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"/> |
| | <ul style="list-style-type: none"> ➢ Previous employer request form? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> ➢ 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 General Manager

Date of Review



PTASP FY 2020-2021

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: Click here to enter text. | Date: Click here to enter text. |
|--|--|

| 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"/> |

| | | | | |
|------------------------------------|--|--------------------------|--------------------------|--------------------------|
| | <ul style="list-style-type: none"> Is this system always on or activated by motion sensors? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Non-Employee Access: | | | | |
| | <ul style="list-style-type: none"> Is access restricted to persons without proper credentials and clearance? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> Are supply deliverers required to show proper I.D. and sign-in a logbook? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> Are always all non-employees accompanied and/or observable? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Surrounding Environment: | | | | |
| | <ul style="list-style-type: none"> 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"/> |
| | <ul style="list-style-type: none"> 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"/> |
| | <ul style="list-style-type: none"> Are all outdoor storage areas adequately lighted and secured? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Material Storage: | | | | |
| | <ul style="list-style-type: none"> Are all hazardous and flammable materials properly identified? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> Are all materials properly labeled, stored, and secured? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Forms and Written Plans: | | | | |
| | <ul style="list-style-type: none"> Are emergency numbers (police, fire, ambulance, FBI) current and prominently displayed at each phone? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> Is a Chain of Command and emergency call list prominently displayed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> 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 | | | | |
| | <ul style="list-style-type: none"> Are there evacuation plans for this facility? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> Are staff members trained on this plan? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> 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"/> |
| | <ul style="list-style-type: none"> 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"/> |
| | <ul style="list-style-type: none"> Has the Emergency Evacuation Plan been reviewed, coordinated, and briefed to staff as appropriate? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Training: | | | | |
| | <ul style="list-style-type: none"> Is an orientation program in place for each new staff member? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> 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"/> |
| | <ul style="list-style-type: none"> Are periodic safety and security training and briefings completed with staff? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> 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: | | | | |
| | <ul style="list-style-type: none"> Is a record of emergency data on file for each staff? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> Have incident reporting format and procedures been established and staff briefed on them? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> 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"/> |
| | <ul style="list-style-type: none"> Are background checks conducted and verified on all prospective new hires? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Cash Handling and Transfer: | | | | |
| | <ul style="list-style-type: none"> 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"/> |

| | | | | |
|------------------------------------|---|--------------------------|--------------------------|--------------------------|
| | <ul style="list-style-type: none"> • Is cash transported by at least two individuals with cash divided between them? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> • 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: | <ul style="list-style-type: none"> • Are fire extinguishers installed in all appropriate locations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> • Are smoke and heat detectors installed, at least one on each floor? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> • Is a first aid kit present and maintained? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <ul style="list-style-type: none"> • 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"/> |
| | <ul style="list-style-type: none"> • 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"/> |
| | <ul style="list-style-type: none"> • 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"/> |
| | <ul style="list-style-type: none"> • 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 2020-2021

APPENDIX F

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: _____

SIGNATURE: _____



PTASP FY 2020-2021

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 |
| | | • | | | | • | • |
| | | • | | | | • | • |
| | | • | | | | • | • |
| | | • | | | | • | • |
| | | • | | | | • | • |
| | | • | | | | • | • |
| | | • | | | | • | • |
| | | • | | | | • | • |

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 |
| Consequences | | | | | | |
| Severity | People | Assets | Environment | Reputation | | |
| 1 | First aid or no injury | No/Slight damage | No/Slight effect | No/Slight impact | Low | Medium |
| 2 | Slight injury, medical treatment | Minor damage | Minor effect | Limited impact | Low | High |
| 3 | Serious injury, hospitalization more than 7 days | Moderate damage | Moderate effect | Local area impact | Low | High |
| 4 | Permanent total disability, or one fatality | Major damage, unit level | Major effect | Major statewide impact | Medium | High |
| 5 | Multiple fatalities | Major damage, multiple units | Massive effect | Major national impact | Medium | High |
| Risk Value: | | | | | | |

Assessed Risk Level: 0

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 2020-2021

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 | <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 |
| | EXAMPLE | | | | | |
| 2 | | • | • | • | • | |
| 3 | | • | • | • | • | |
| 4 | | • | • | • | • | |
| 5 | | • | • | • | • | |
| 6 | | • | • | • | • | |
| 7 | | • | • | • | • | |
| 8 | | • | • | • | • | |
| 9 | | • | • | • | • | |
| 10 | | • | • | • | • | |

Reviewer's Signature

Date

CSO Signature

Date of Update Review



PTASP FY 2020-2021

APPENDIX J

PTASP Adopted for FY 2020-2021 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 in the first year. 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.
- Designate the contractor's CSO2 as the project manager for implementing SMS for the management and operations level.
- At both agency and contractor levels, develop a phased implementation plan addressing all components of SMS.
- Conduct a gap analysis as a part of the implementation plan, where the gap analysis' purpose is to indicate what is needed between existing programs and processes and those required, suggested, or recommended by the PTASP and SMS.
- Designate a location for retention of all SMS implementation documentation as required by FTA.
- Notify LA Metro (as required) of AVTA's PTASP Safety Performance Annual Targets. And SCAG (if applicable) of the same.

2. SMS Safety Policy

- Communicate AVTA's Safety Management Policy Statement to all AVTA and contractor employees and other applicable stakeholders (e.g. Technical Advisory Committee).
- Provide awareness training on SMS to all AVTA and contractor employees.
- Provide an orientation to all staff and employees on the PTASP, including their safety roles, duties and responsibilities under the plan or SMS.
- Establish and communicate an Employee Safety Reporting Program (ESRP) for all AVTA and contractor employees, along with the procedures and training.
- 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.
- Plan and schedule for both CSOs to complete safety training required of their positions.
- Establish a system-wide SMS Coordinating and Safety Committee.
- Determine and arrange for the role that the AVTA Technical Advisory Committee can undertake in SMS effort.

3. SMS Safety Risk Management

- Establish a safety hazard identification program with a process to investigate, evaluate, analyze, and prioritize the hazards.
- 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; a implementation process (including a hazard-specific implementation plan); and monitoring process to assure effectiveness of the mitigation method.
- Develop new or convert existing safety reporting and safety management data system to meet the requirements of the PTASP and SMS.
- Prepare a COVID-19/Coronavirus Pandemic Risk Management Plan for the 2021 winter wave.

4. SMS Safety Assurance

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

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.
- Develop and insert an acceptable SMS Awareness module into new hire training curriculum equivalent to the TSI course.
- Train all current AVTA and contractor employees on SMS Awareness and their roles, duties, and responsibilities under SMS.
- 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.
- Employ the AVTA Mission Statement to emphasize safety in promotions in raise overall safety awareness.



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 COVID-19 Responses in Winter - Spring 2020

The AVTA COVID – 19 Task Force Update memorandum below includes a chronology of the actions and directives taken as of the date of this PTASP by AVTA and its JPA member jurisdictions to address the COVID-19 (Coronavirus) pandemic in the Spring 2020. The list of actions and directives can serve as a basis for further actions in advance of the next wave of the pandemic expected by authorities in Winter of 2021. The 2020 actions should be incorporated into an AVTA Pandemic Risk Management Plan (PRMP) from the date of PTASP adoption to the Winter of 2021, which includes continued collaboration, cooperation, and coordination among the AVTA JPA member jurisdictions.



M E M O R A N D U M

DATE: April 20, 2020
TO: Macy Neshati, Executive Director/CEO
FROM: Martin J. Tompkins, Senior Director of Operations and Planning
SUBJECT: COVID – 19 Task Force Update

BACKGROUND

The Centers for Disease Control and Prevention is responding to an outbreak of a respiratory disease caused by a coronavirus that was first detected in China and has now been detected in more than 100 locations internationally, including in the United States. The virus has been named "SARS-CoV-2" and the disease it causes has been named "coronavirus disease 2019" (COVID-19).

On January 30, 2020, the International Health Regulations Emergency Committee of the World Health Organization declared the outbreak a public health emergency of international concern. On January 31, 2020, Health and Human Services Secretary Alex M. Azar II declared a public health

emergency for the United States to aid the nation's healthcare community in responding to COVID-19. On March 11, 2020, the World Health Organization characterized COVID-19 as a pandemic.

On March 9, 2020, in response to the COVID-19 virus, the Authority established a Task Force to safeguard the health and safety of staff and the public. The information below details the actions the Task Force members have taken.

Bus Operations: Transdev

- The information below was distributed to employees and the flyers were posted throughout the operators' room and dispatch office.



TDV Safety Alert
Brochure 2020 v1.pcDisease



ISOSCoronavirus
2019A3 Info



2019-ncov-factsheet.pdf



TDV Handwashing
Flyer 2020 v1.pdf

- Informational flyers were posted on all the buses informing the public of the risks and countermeasures that should be taken. Additional schedule holders were also installed.
- LJ's Cleaning Solutions (5 additional staff) were hired to augment the diminished manpower at the service island.
- LJ's Cleaning Solutions is using Clorox Healthcare Fuzion Disinfectant. This is a spray-on contact cleaner that kills several strains of COVID-19.
- Disinfectant wipes are being used on all surfaces including handrails, drivers' area, fare boxes, and seats.
- Transdev ordered Purell sanitizing wipes, which were distributed to all staff.
- Transdev approved Lysol spray (Quat), as the cleaning solution staff is using for sanitation. Purell product in 32 oz. bottles was ordered and arrived on or around March 16.

AVTA Admin: Macy Neshati, Martin Tompkins, Karen Darr, DeeAnna Cason, Williene Jones, Amber Johnson, Judy Fry, James Royal, Lyle BLock and Kelly Miller.

- On March 9, 2020, a moratorium on business travel for all staff members was implemented.
- On March 11, 2020, James distributed a press release to the Board members, local media transportation partners, and posted it on the Authority's website. Martin shared this with Transdev General Manager Rene Alvarez.
- Mayra, Francynn, Karim, Geri, Tisha are on stand-by to answer phones when Customer Service is short staffed.
- IT staff installed an informational PowerPoint on the lobby monitors.



IntISOS
Coronavirus Disease

- Macy emailed the Board members on March 9, 2020, regarding the Authority's proactive steps to manage the impact of the COVID-19 virus.
- Kelly and James provided a script to Customer Service staff, Transdev operators and field supervision to answer riders' questions.
- Purell sanitizing wipes were distributed to AVTA and Transdev staff.
- Staff was directed to sanitize phones with eyeglass wipes, not Purell wipes.
- Williene distributed COVID-19 informational flyers on March 10-11, 2020.



2179_001.pdf



ISOSCoronavirus
Disease 2019A3 Info

Operations/Maintenance/Customer Service: Martin Tompkins, Carlos Lopez, Cecil Foust, Sean Elmore, Karen Conrad.

- Karen C. is printing additional informational flyers as needed.
- Hudson sprayers, HUSKY 814 QT disinfectant, single-use wipes, sanitizer dispensers, Purell refills, and generic antibacterial wipes were ordered and received. Electrostatic sprayers were ordered on March 9, 2020, but remain on back order with no estimated delivery date. In the meantime, manual misters were ordered and received.
- On March 10, 2020, the utility workers began using HUSKY 814 QT to disinfect the interior of the buses including the floor, dashboard, stanchion (pole), and seats. Smaller sprayers are used on the seats. The agency Dial-a-Ride vendor is following the same disinfecting procedures.
- Dispensers with hand sanitizer were installed in thirteen restrooms, the Transdev operators' lounge, administration, customer service, lobby, break room, dispatch, maintenance, utility areas, and transfer centers.
- Cases of gloves for customer service and money room staff were ordered and received.
- Additional surface cleaner was ordered and received.
- Additional Husky sanitizer was ordered and received.
- Eyeglass cleaner wipes were ordered and received.
- Special attention is to be given to Community Room, money room, counter tops, and customer service area. Counters, door knobs, etc. are being cleaned twice a day throughout facility.
- Anti-bacterial soap dispensers have been installed in the restrooms.
- Bus stop maintenance crew will assist facility staff when they are short staffed.
- Bus stop maintenance crew are using Hudson Sprayers with HUSKY 814 QT disinfectant daily on all bus stop amenities including shelters, benches and trash cans. The crew also disinfects the transfer centers at Sgt. Steve Owen Memorial Park (OMP) and the Palmdale Transportation Center (PTC) twice a day. Approximately three cases of disinfectant are being used daily.
- Restrooms throughout the facility are being sanitized twice a day with CDC approved disinfectant.
- Cecil is monitoring the supply of disinfectant and sanitizing products. Ten cases of HUSKY 814 QT and another ten cases of a replacement product have been ordered and received.
- The utility workers are disinfecting the charging gun handles at least once a day.
- On March 17, 2020, AVTA reduced seat capacity on buses to 50% to promote "Healthy personal space and social distancing". 40' Local Buses are at 16-rider capacity, 60' Local Buses are at 22-rider capacity, and Commuter Buses are at 27-rider capacity.
- On March 18, 2020, Macy and Martin attended a meeting at AV Fairgrounds. City of Lancaster hosted a meeting with other agencies – LACSD, AV Hospital, AV Fair staff, Salvation Army to discuss the conversion of the A.V. Fairgrounds (1-2 pavilions) into a makeshift hospital outfitted with up to 800 cots and other amenities. AVTA will provide up to 10 buses to move patients.
- On March 18, 2020, AVTA obtained temporary labor services (Ready Jobs) of five (5) workers, three for OMP and two for PTC, to conduct bus sanitizing from 8:00 am to 4:00 pm. All buses that come through both transfer locations are wiped down thoroughly. AVTA supplies all disinfectants, towels, masks and gloves. Geraldina Romo is managing this group.
- On March 19, 2020, four 20-gallon drums of disinfectant concentrate arrived and are being used on buses and bus stop amenities.
- On March 20, 2020, the AVTA Planning Department worked with Transdev to map out a Saturday schedule to operate seven (7) days and to cancel all commuter bus services during COVID-19. There were multiple discussions with the Union, which supports AVTA efforts.

- March 23, 2020, AVTA began operating on a Saturday schedule.
- March 23, 2020, AVTA officials participated in a TRANS-MAC (Transit Management Advisory Committee) call with 16 other agencies. All shared their current challenges, ideas, new policies, and ridership.
- March 23, 2020, AVTA released a Media Release – “Free Fares on Local Transit Boarding through Rear Doors Only.”
- March 24, 2020, the AVTA Rear Door Boarding and Free Fare policy went into effect.
- As of March 29, 2020, bus ridership was down 57% compared to February 2020.
- Staff is tracking every cost related to COVID-19, and documenting all meetings/webinars associated with COVID-19.
- Staff views FEMA website COVID-19 Rumors for up-to-date information.
- Transportation will continue until the governor or city leaders announce different procedures.
- Martin will speak to Valley Oasis Homeless Shelter on Avenue I and 60th W.
- Karen D. and Vanessa Gomez are working on merging AVTA and Riverside Pandemic Procedure information.
- If staff tests positive for the virus, management will quarantine person, sanitize area, and use Incident Command Center for dispatch, etc.
- Staff doing research for information on antibodies created for front line protection.
- Access Services will send Martin a copy of the letter they sent to essential personnel for staff to show if stopped by authorities while on company business.
- Karen/Vanessa will take extra breakfasts to Grace Resource Center and lunches to Valley Oasis Shelter Monday through end of May 2020.
- Martin will talk to Rene about delivering food and providing cleaning supplies on Saturdays and Sundays.
- Cecil will create three additional kits for Saturdays and Sundays. Facilities staff will inventory and order needed supplies.
- Passengers are noticing AVTA’s cleaning efforts on the buses, stops, and transit centers.
- April 2, 2020, AVTA, Transdev, and OPSEC staff coordinated to implement Temperature Reading Policy. OPSEC guards are testing all staff before allowing access to the building.
- The cleaning crew for buses are working seven (7) days per week.
- April 3, 2020, “Essential Work” letter emailed to employees to carry in vehicle and provide proof of the employee’s essential work status.
- April 7, 2020, Macy participated in Coronavirus Update: Tele briefing for Airports and Transit
- April 7, 2020, staff emailed Fred Porras (OPSEC Security) to code invoices: COVID-19 for additional security guard hours.
- April 13, 2020, AVTA ADA Procedures were emailed to staff.
- April 14, 2020, entry guards began using new iHealth thermometers for temperature readings.
- April 15, 2020, “Social Distancing/Face Covering Order” memo was emailed to employees.
- April 15, 2020, “Requirements of Social Distancing Protocol Mandated by the County of Los Angeles Department of Public Health” was emailed to employees.
- April 15, 2020 – AVTA facility is compliant with LA COUNTY’s mandate on social distancing signage, communications etc. See attached:



LA COUNTY Face Mask Requirement



LA COUNTY SOCIAL DISTANCING PROTO



LA COUNTY BUS POSTING.pdf



Social Distancing.msg



Postings Social Distancing .msg



Postings.msg

- April 16, 2020, Macy and Martin participated in APTA Webinar titled “Keeping Public Transit Workers and Riders Safe During the COVID-9 Pandemic”.

- April 16, 2020, Macy, Martin and Judy participated in FTA webinar on its COVID-19 response activities, including implementation of the CARES Act.
- April 16, 2020, Los Angeles County Face Mask Requirements were posted on buses (see attached)



2682_001.pdf

- April 20, 2020, Martin and Judy attend TRANSMAC call with 18 other transit agencies to share COVID-19 best practices. (Guest speaker – LA COUNTY OF EMERGENCY MANAGEMENT AND TSA)
- May 2020, the Task Force will meet on an as-needed basis.

CC: Task Force



Transdev Transportation recognizes AVTA leadership for handling of COVID-19 crisis May 26th, 2020

AVTA has increased the frequency of cleaning procedures and established cleaning and disinfecting teams at transportation centers, along with other measures to combat COVID-19.

Rene Alvarez, general manager, Transdev Transportation, presents a plaque to Martin Tomkins, COO, AVTA, and Macy Neshati, CEO AVTA.

Antelope Valley Transit Authority (AVTA) leadership was recognized by Transdev Transportation General Manager Rene' Alvarez for AVTA's handling of the COVID-19 crisis.

"AVTA, under the leadership of Macy Neshati, Martin Tompkins and the AVTA Board of Directors deserves to be recognized and thanked," said Alvarez. "The early protective steps taken, the innovative solutions and the compassionate approach to managing this crisis has likely contributed to the reason we have had no COVID-19 cases at this location."

AVTA says it acted early to take steps to promote a healthy environment for riders and employees. The authority increased the frequency of cleaning procedures, communicated with employees to address concerns and equipment needs, established cleaning and disinfecting teams at the transportation centers, reduced maximum capacity and instituted rear door boarding's and free fares in order to promote social distancing.

"We simply put people first," said AVTA CEO Macy Neshati. "We made the decisions necessary to protect people while making certain we could continue to get people where they needed to go."

Transdev Transportation held a meeting at the AVTA office in Lancaster, Calif., to Metro Magazine)

"We're not out of the woods yet," said Neshati. "The things you've learned over the past eight weeks, keep doing. Stay safe. Make good decisions. Social distance. Wash your hands." (Metro Magazine)



DATE: June 23, 2020

TO: BOARD OF DIRECTORS

SUBJECT: Contract #2020-48 to Fast-Track Construction Corporation for Electric Charging Stations at Antelope Valley College (AVC)

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to execute Contract #2020-48 with Fast-Track Construction Corporation, Culver City, CA, for electric car and bus charging stations at AVC for the amount of \$607,520.25, plus applicable permit fees and sales tax.

FISCAL IMPACT

Sufficient grant funds have been included in the FY 2021 Budget to pay for this project.

BACKGROUND

AVTA released a Request for Proposals (RFP) and awarded a subsequent contract to WAVE (Wireless Advanced Vehicle Electrification, Inc.) on May 24, 2016. Fifteen charging stations were under contract with WAVE. The Board approved the last WAVE infrastructure construction project at the Park & Ride located at the junction of Sierra Hwy and Jackman Street at their regular meeting held on October 24, 2019.

AVTA released this Invitation for Bids (IFB) on May 18, 2020 for the installation of two high-power 250kW chargers at 30th Street West and W. Ave J-12, within the City of Lancaster. The two WAVE charging infrastructure improvements include a water main relocation, underground electrical service, concrete pads for electrical equipment, transformer pad, electrical equipment installation, bus shelters and associated improvements. The awarded firm will provide project management, supervision, scheduling, equipment, labor, materials, freight, taxes and applicable

permits for this project. Prior to the issuance of the IFB, Board and Transit Advisory Committee members were notified and asked to submit any recommendations for potential vendors. The solicitation documents were posted to AVTA's procurement website and advertisements were placed in the Antelope Valley *Press* and the *Our Weekly Lancaster* newsletter. The local Chambers of Commerce and AV Board of Trade were also notified via their respective email lists. AVTA's procurement system provided the solicitation documents to 203 registered firms; eleven (11) from Lancaster, six (6) from Palmdale and an additional 186 firms outside of the Antelope Valley.

Staff conducted a mandatory pre-bid conference on May 28, 2020, with seven (7) firms attending. Two (2) addenda were released prior to the bid closing. The bid opening was held on June 15, 2020. Of the 203 firms that received notification of the IFB, only two (2) submitted bids. The firms that meet minimum requirements and their respective bid amounts are listed in the table below.

| Firm | Location | Price |
|-------------------------------------|-----------------|--------------|
| Fast-Track Construction Corporation | Culver City, CA | \$607,520.25 |
| Taft Electric Company | Ventura, CA | \$868,233.00 |

Under AVTA's procurement policy requirements, an IFB must be awarded to the lowest responsive and responsible bidder.

Based on procurement policy requirements, bids received were reviewed for requisite document submittal, staff found the lowest bid complete with pricing to be fair and reasonable. Therefore, staff is recommending the Board approve a contract with Fast-Track Construction Corporation. This project is anticipated to take approximately 150 days to complete from notice to proceed.

Prepared by:

Submitted by:

Lyle A. Block, CPPB
Procurement and Contracts Officer

Macy Neshati
Executive Director/CEO



DATE: June 23, 2020

TO: BOARD OF DIRECTORS

SUBJECT: Contract #2020-56 to Duke Engineering for the Design Build of the AVTA Employee Wellness Center

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to execute Contract #2020-56 with Duke Engineering for the Design Build of the AVTA Employee Wellness Center at the AVTA facility in the amount of \$350,000, including applicable taxes and fees.

FISCAL IMPACT

Sufficient grant funds have been included in the FY 2020 Budget to pay for this project.

BACKGROUND

AVTA has redeemed its first batch of Low Carbon Fuel Standard (LCFS) credits for \$955,000. The Board Chairman and Directors instructed staff to build a wellness center for the employees in recognition of everyone's dedication, commitment and hardwork in the successful transition of the AVTA fleet to zero emission battery electric buses.

The final layout of the exercise equipment is being finalized and a separate board action will be required to procure and install the equipment.

Prepared by:

Submitted by:

Lyle A. Block, CPPB
Procurement and Contracts Officer

Macy Neshati
Executive Director/CEO

Fiscal Year 2021 (FY 2021) Proposed Operating Budget

OPERATING REVENUE

- **CARES Act-** Very recent legislation has appropriated additional Federal funds to AVTA to assist with increased costs and lost revenue due to COVID-19. AVTA will use this to continue service and continue to promote steady commerce in our area.
- **Fare Revenue:** The long-term effects of COVID-19 on AVTA’s ridership is uncertain at this time. AVTA anticipates that ridership will slowly return to pre-COVID levels over the coming year. For this reason, AVTA has reduced anticipated fare revenue numbers by 10% for a total of \$4.5 million.
- **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 \$13 million in operating funds with a slight reduction of funds from FY 20 amounts. Below are original estimates from MTA’s proposed funding marks. Due to the COVID-19 pandemic, MTA has issued revised sales tax estimates, and funding allocations for partial FY 2020 and FY 2021. They have sought board approval for a continuing resolution to continue funding at the revised levels through September 2020, at which time revised FY 2021 funding marks will be issued. All changes to operating revenues will be reflected in the FY 2021 mid-year budget adjustment.

| Funding Source | FY 20 Final MTA Funding | FY 21 DRAFT MTA Funding | Increase (Decrease) from FY 20 to FY 21 |
|------------------------|------------------------------------|------------------------------------|--|
| Prop A 95% of 40% | \$ 5,640,301 | \$ 5,651,544 | \$ 11,243 |
| Foothill Mtg | \$ 46,261 | \$ 35,225 | \$ (11,036) |
| Trans Svs Exp | \$ 396,211 | \$ 405,324 | \$ 9,113 |
| BSIP Overcrowd relief | \$ 50,287 | \$ 51,444 | \$ 1,157 |
| Prop C 5% Bus Security | \$ 202,892 | \$ 199,119 | \$ (3,773) |
| Prop C MOSIP | \$ 1,302,315 | \$ 1,349,504 | \$ 47,189 |
| Measure R | \$ 3,035,273 | \$ 2,880,011 | \$ (155,262) |
| Prop A DAR | \$ 337,251 | \$ 337,251 | \$ - |
| Measure M | \$ 2,949,781 | \$ 2,849,481 | \$ (100,300) |
| TOTAL | \$ 13,960,572 | \$ 13,758,903 | \$ (201,669) |

- **Jurisdictional Operating Contributions:** In an effort to assist the local communities AVTA serves, the annual operating and capital contributions from the cities of Palmdale and Lancaster will be waived for FY 2021. LA County contributions will remain unchanged.

- **Other Operating Revenues:** Advertising revenue is budgeted at \$141K. LCFS (Low-Carbon Fuel Standard) credits are sold at market value and are conservatively estimated at \$250,000 interest/investment income is conservatively budgeted at \$60,000.

OPERATING EXPENDITURES

- **Transdev Contract:** Transdev's cost per revenue hour will increase 3.6% over prior year costs per the contract. The first half of the FY 2020 fiscal year will see costs of \$85.98 per revenue hour and \$89.08 per revenue hour beginning January 1, 2021. The budget includes revenue hours for on-route electric bus charging and additional service changes. Transdev's operations contract for local and commuter service is the largest single expenditure line for the agency.
- **AVTS Contract:** AVTS was awarded a new contract for DAR operations and future microtransit operations beginning April 2020. This differs from the former Intelliride contract significantly in that the charges are based on revenue-hour rather than per-trip charges. This change should yield significant savings for our DAR services. Per-hour costs with AVTS begin at \$58 per hour with a reduction anticipated in the second half of FY21 to approximately \$52 per hour based on AVTA providing new vehicles. Additionally, there are significant service additions that AVTS will be handling throughout FY 2021. These service additions include Microtransit, Late-night service, and non-emergency medical transportation (NEMT) and is one of the primary reasons for the increase in overall budget.
- **Bus Propulsion:** AVTA has completed the transition to an all-electric fleet on local transit routes. Plans are in place to transition the commuter fleet once buses are received. Fuel costs will see an 11% decrease while electricity costs will reflect a 15% increase. 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 staff has grown to a total of 50 employees with 48 full-time and 2 part-time. Increased personnel numbers are primarily in the customer service and facility maintenance departments. The FY 2021 personnel budget assumes the maximum possible merit rate increase for each employee and an annual cost of living commensurate with CPI at 1.6%.
 - **Benefits:** The current employee benefit structure will be maintained. However, costs for employee benefits are expected to increase. AVTA's health insurance agent is projecting a 10% rise in healthcare costs beginning during open enrollment in November. All other benefits are budgeted to increase 3-15% including workers' compensation coverage.
 - **Pension:** The employer share of CalPERS is up 1.5% to reach 10.5% for CalPERS Classic and climbs .5% to 7% for CalPERS Public Employee

Pension Reform Act (PEPRA). CalPERS calculates pension contributions based on payroll figures one year in arrears. The employee contribution share for CalPERS Classic is paid by AVTA.

- **Insurance:** Insurance coverage costs are estimated to increase 14% above prior year costs. Actual rates will likely be complete in June 2020 after the budget was completed and will be included in the mid-year review.
- **Capital Project Local Match:** The downtown Los Angeles parking facility regional partnership project is underway. The remaining \$170K from prior year budget will be carried forward in FY 2021. Funds for local match on federal grant monies cannot be from other federal funds, and therefore will be covered under operating costs for FY 2021.

Fiscal Year 2021 (FY 2021) Proposed
Capital Budget

The FY 2021 Capital Budget totals \$60,982,190. This budget fulfills and BUILDS upon all FY 2020 carryover projects that totaled \$31,507,328 that were reflected under “future grant / allocation”. The FY 2021 projects breakdown as follows:

- Replacement Vehicles \$7,975,824
- Expansion Vehicles \$28,719,590
- Vehicle Equipment \$2,565,200
- Facility Improvements \$12,110,170
- Transit Facilities Improvements \$9,154,106
- Information Technology \$262,500
- Fleet & Facility Equipment \$635,000
- Planning & Operating \$795,000

The above totals reflect slightly different amounts than the preliminary budget assumptions due to recent grant awards that allowed the acceleration of additional expansion buses. AVTA’s capital projects are funded by a combination of internal revenues and the following various outside funding sources:

| | |
|---|--|
| <p>Federal Transit Administration BUILD Program Low or No Emission Program Sect. 5307 Annual Formula Allocation Sect. 5337 State of Good Repair Sect. 5339 Bus & Bus Facilities</p> | <p>State of California Transit and Intercity Rail Capital Program Low Carbon Transit Operations Program SB1 State of Good Repair SB1 State Transit Assistance</p> |
| <p>Regional Los Angeles County Metropolitan Transportation Agency (LACMTA) LACMTA Bus Operator Subcommittee</p> | <p>Local Antelope Valley Air Quality Management District (AVAQMD)</p> |



FY21 DETAILED CAPITAL SOURCES AND SPENDING

| CAPITAL PROJECTS | | FY21 Capital/Grantable Budget Items | State Annual Allocations | State Grant Award | FTA Annual Allocation | FTA Grant Award | Local Grant Award | AVTA Internal Reserve | Future Grant / Allocation |
|---|--|---|-----------------------------|---------------------|--------------------------|----------------------|----------------------|--------------------------|------------------------------|
| VEHICLES | | | | | | | | | |
| Replacement Vehicles | | | | | | | | | |
| Commuter Coaches | Units #1 - 5 of 24 | \$ 6,064,236 | \$ 224,053 | \$ 1,821,236 | \$ 3,489,822 | \$ - | \$ - | \$ 529,125 | \$ - |
| Support Vehicles | 3 units | \$ 241,000 | \$ - | \$ - | \$ 241,000 | \$ - | \$ - | \$ - | \$ - |
| Local Transit Buses | 40 ft ZEB - 2 units | \$ 1,670,588 | \$ - | \$ - | \$ 1,420,000 | \$ - | \$ - | \$ 250,588 | \$ - |
| Replacement Vehicles Total | | \$ 7,975,824 | \$ 224,053 | \$ 1,821,236 | \$ 5,150,822 | \$ - | \$ - | \$ 779,713 | \$ - |
| Expansion Vehicles | | | | | | | | | |
| Expansion - Existing Routes - 46 units | | | | | | | | | |
| | 60 ft Articulated ZEB - 10 units | \$ 10,692,650 | \$ 267,928 | \$ 4,009,745 | \$ 1,069,264 | \$ 4,094,203 | \$ - | \$ 1,251,510 | \$ - |
| | 40 ft ZEB - 2 units | \$ 1,670,588 | \$ - | \$ - | \$ - | \$ 1,054,870 | \$ - | \$ 615,718 | \$ - |
| | 35 ft ZEB - 4 units | \$ 2,112,000 | \$ - | \$ 1,541,760 | \$ 570,240 | \$ - | \$ - | \$ - | \$ - |
| Edwards Air Force Base | 40 ft ZEB - 2 units | \$ 1,670,588 | \$ - | \$ 352,000 | \$ - | \$ 1,054,870 | \$ - | \$ 263,718 | \$ - |
| | 30 ft ZEB circulators - 5 units | \$ 3,055,000 | \$ - | \$ 730,000 | \$ - | \$ 1,860,000 | \$ - | \$ 465,000 | \$ - |
| Mojave Air & Space Port | 40 ft ZEB - 2 units | \$ 1,670,588 | \$ - | \$ 352,000 | \$ - | \$ 1,054,870 | \$ - | \$ 263,718 | \$ - |
| Plant 42 | 40 ft ZEB - 4 units | \$ 3,341,176 | \$ - | \$ - | \$ - | \$ 2,109,740 | \$ - | \$ 1,231,436 | \$ - |
| | 30 ft ZEB circulators - 5 units | \$ 3,055,000 | \$ - | \$ - | \$ - | \$ 1,860,000 | \$ - | \$ 1,195,000 | \$ - |
| DAR AVTS - 12 | 30 ft ZEB - 12 units | \$ 1,452,000 | \$ - | \$ - | \$ 1,161,600 | \$ - | \$ - | \$ 290,400 | \$ - |
| Expansion Vehicles Total | | \$ 28,719,590 | \$ 267,928 | \$ 6,985,505 | \$ 2,801,104 | \$ 13,088,553 | \$ - | \$ 5,576,500 | \$ - |
| Vehicle Equipment | | | | | | | | | |
| Wheelchair Retrofit | 8 units | \$ 120,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 120,000 | \$ - |
| Apollo EOL Video Upgrade | 53 units | \$ 660,000 | \$ - | \$ - | \$ 660,000 | \$ - | \$ - | \$ - | \$ - |
| Major Bus Components | | \$ 100,000 | \$ - | \$ - | \$ 100,000 | \$ - | \$ - | \$ - | \$ - |
| Farebox Upgrade Project | remaining 1/2 | \$ 450,000 | \$ - | \$ - | \$ - | \$ - | \$ 450,000 | \$ - | \$ - |
| Vehicles Equipment Total | | \$ 1,330,000 | \$ - | \$ - | \$ 760,000 | \$ - | \$ 450,000 | \$ 120,000 | \$ - |
| VEHICLES TOTAL | | \$ 38,025,414 | \$ 491,981 | \$ 8,806,741 | \$ 8,711,926 | \$ 13,088,553 | \$ 450,000 | \$ 6,476,213 | \$ - |
| FACILITIES | | | | | | | | | |
| AVTA FACILITY IMPROVEMENTS | | | | | | | | | |
| Headquarters - Facility Expansion | | | | | | | | | |
| | Bush Wash | \$ 100,000 | \$ - | \$ - | \$ 100,000 | \$ - | \$ - | \$ - | \$ - |
| | CS, Facility, Administrative Equipment | \$ 400,000 | \$ - | \$ - | \$ 400,000 | \$ - | \$ - | \$ - | \$ - |
| | Engineering | \$ 72,000 | \$ - | \$ - | \$ 72,000 | \$ - | \$ - | \$ - | \$ - |
| | Facility Expansion - Construction | \$ 7,000,000 | \$ - | \$ - | \$ 6,250,000 | \$ - | \$ - | \$ 750,000 | \$ - |
| | Land for Future Expansion | \$ 750,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 750,000 |
| | Project Management | \$ 500,000 | \$ - | \$ - | \$ 500,000 | \$ - | \$ - | \$ - | \$ - |
| | Rekey Facility | \$ 5,000 | \$ - | \$ - | \$ 5,000 | \$ - | \$ - | \$ - | \$ - |
| | Secured Facility Access - North Gate | \$ 150,000 | \$ - | \$ - | \$ 150,000 | \$ - | \$ - | \$ - | \$ - |
| | Security Camera Upgrade | \$ 300,000 | \$ - | \$ - | \$ 300,000 | \$ - | \$ - | \$ - | \$ - |
| | Swap Coolers - 5 units | \$ 20,000 | \$ - | \$ - | \$ 20,000 | \$ - | \$ - | \$ - | \$ - |
| Vehicle Chargers | WAVE Primary - 1 (#12) | \$ 313,170 | \$ 313,170 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Battery Energy Storage (Facility Adjacent) | Land | \$ 2,500,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 2,500,000 | \$ - |

| | | | | | | | | |
|---|----------------------|-------------------|-------------|---------------------|-------------|-------------|---------------------|-------------------|
| AVTA Facility Improvements Total | \$ 12,110,170 | \$ 313,170 | \$ - | \$ 7,797,000 | \$ - | \$ - | \$ 3,250,000 | \$ 750,000 |
|---|----------------------|-------------------|-------------|---------------------|-------------|-------------|---------------------|-------------------|

FY21 DETAILED CAPITAL SOURCES AND SPENDING

| CAPITAL PROJECTS | | FY21 GRANTABLE Budget Items | State Annual Allocation | State Grant Award | FTA Annual Allocation | FTA Grant Award | Local Grant Award | AVTA Internal Reserve | Future Grant / Allocation |
|---|--|------------------------------------|--------------------------------|--------------------------|------------------------------|------------------------|--------------------------|------------------------------|----------------------------------|
| TRANSIT FACILITIES IMPROVEMENTS | | | | | | | | | |
| Lancaster Metrolink North | | | | | | | | | |
| | Construction | \$ 1,202,734 | \$ - | \$ 1,202,734 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | Engineering | \$ 52,800 | \$ - | \$ - | \$ 52,800 | \$ - | \$ - | \$ - | \$ - |
| | Labor Compliance | \$ 28,000 | \$ - | \$ 28,000 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | Level III Chargers - 2 units | \$ 100,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 100,000 | \$ - |
| | Project Management | \$ 10,000 | \$ - | \$ 10,000 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | WAVE Primary - 2 units | \$ 626,340 | \$ - | \$ 626,340 | \$ - | \$ - | \$ - | \$ - | \$ - |
| Antelope Valley College Transit Center | | | | | | | | | |
| | Construction | \$ 1,200,000 | \$ - | \$ 1,200,000 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | Engineering | \$ 27,800 | \$ - | \$ - | \$ 27,800 | \$ - | \$ - | \$ - | \$ - |
| | Labor Compliance | \$ 28,000 | \$ - | \$ 28,000 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | Level III Chargers - 2 units | \$ 100,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 100,000 | \$ - |
| | Project Management | \$ 15,000 | \$ - | \$ 15,000 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | WAVE Primary - 2 units | \$ 626,340 | \$ 626,340 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| South Valley Transit Center | | | | | | | | | |
| | Construction | \$ 1,245,412 | \$ - | \$ 1,245,412 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | Engineering | \$ 16,800 | \$ - | \$ - | \$ 16,800 | \$ - | \$ - | \$ - | \$ - |
| | Labor Compliance | \$ 28,000 | \$ - | \$ 28,000 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | Level III Chargers - 2 units | \$ 100,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 100,000 | \$ - |
| | Project Management | \$ 5,000 | \$ - | \$ 5,000 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | WAVE Primary - 2 units | \$ 626,340 | \$ 626,340 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Sgt. Steve Owen Memorial Park & Ride | | | | | | | | | |
| | Engineering | \$ 10,800 | \$ - | \$ - | \$ 10,800 | \$ - | \$ - | \$ - | \$ - |
| | Level III Chargers - 2 units | \$ 100,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 100,000 | \$ - |
| | Project Management | \$ 9,600 | \$ - | \$ 9,600 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | Solar Parking Structures | \$ 750,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 750,000 |
| Palmdale Transportation Center | | | | | | | | | |
| | Engineering | \$ 10,800 | \$ - | \$ - | \$ 10,800 | \$ - | \$ - | \$ - | \$ - |
| | Labor Compliance | \$ 28,000 | \$ - | \$ 28,000 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | Level III Chargers - 2 units | \$ 100,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 100,000 | \$ - |
| | Project Management | \$ 10,000 | \$ - | \$ 10,000 | \$ - | \$ - | \$ - | \$ - | \$ - |
| | Solar Parking Structures | \$ 750,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 750,000 |
| | WAVE Primary - 2 units | \$ 626,340 | \$ 626,340 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Regional Partnership Projects | | | | | | | | | |
| | Level II Chargers - Lancaster, 2 units | \$ 50,000 | \$ - | \$ - | \$ - | \$ - | \$ 50,000 | \$ - | \$ - |
| | Construction + Bus Stop Amenities | \$ 500,000 | \$ - | \$ - | \$ 500,000 | \$ - | \$ - | \$ - | \$ - |
| DTLA Parking | | | | | | | | | |
| | Joint project | \$ 170,000 | \$ - | \$ - | \$ - | \$ - | \$ 170,000 | \$ - | \$ - |
| | Transit Facilities Improvements | \$ 9,154,106 | \$ 1,879,020 | \$ 4,436,086 | \$ 619,000 | \$ - | \$ 220,000 | \$ 500,000 | \$ 1,500,000 |
| | TOTAL FACILITIES | \$ 21,264,276 | \$ 2,192,190 | \$ 4,436,086 | \$ 8,416,000 | \$ - | \$ 220,000 | \$ 3,750,000 | \$ 2,250,000 |

| CAPITAL PROJECTS | | FY21 Capital/Grantable Budget Items | State Annual Allocation | State Grant Award | FTA Annual Allocation | FTA Grant Award | Local Grant Award | AVTA Internal Reserve | Future Grant / Allocation |
|--------------------------------|------------------------------|--|--------------------------------|--------------------------|------------------------------|------------------------|--------------------------|------------------------------|----------------------------------|
| CAPITAL ITEMS | | | | | | | | | |
| INFORMATION TECHNOLOGY | | | | | | | | | |
| Data and Communications | | | | | | | | | |
| | Cloud Service Implementation | \$ 50,000 | \$ - | \$ - | \$ 50,000 | \$ - | \$ - | \$ - | \$ - |
| | Domain Names | \$ 3,000 | \$ - | \$ - | \$ 3,000 | \$ - | \$ - | \$ - | \$ - |
| | Lobby TV Systems | \$ 14,000 | \$ - | \$ - | \$ 14,000 | \$ - | \$ - | \$ - | \$ - |
| | Network Switch Upgrade | \$ 80,000 | \$ - | \$ - | \$ 80,000 | \$ - | \$ - | \$ - | \$ - |
| | PA speakers - CS / IT | \$ 7,500 | \$ - | \$ - | \$ 7,500 | \$ - | \$ - | \$ - | \$ - |
| | Power Distribution Units | \$ 6,000 | \$ - | \$ - | \$ 6,000 | \$ - | \$ - | \$ - | \$ - |
| | Server Storage Upgrade | \$ 20,000 | \$ - | \$ - | \$ 20,000 | \$ - | \$ - | \$ - | \$ - |
| | Software | \$ 2,000 | \$ - | \$ - | \$ 2,000 | \$ - | \$ - | \$ - | \$ - |

| | | | | | | | | | |
|---|-------------------------------------|----------------------|---------------------|----------------------|----------------------|----------------------|-------------------|----------------------|---------------------|
| Workstation Replacements | Toughbooks - Maintenance | \$ 20,000 | \$ - | \$ - | \$ 20,000 | \$ - | \$ - | \$ - | \$ - |
| | Annual Replacement Program | \$ 40,000 | \$ - | \$ - | \$ 40,000 | \$ - | \$ - | \$ - | \$ - |
| | Conference Room Computers | \$ 20,000 | \$ - | \$ - | \$ 20,000 | \$ - | \$ - | \$ - | \$ - |
| | Information Technology Total | \$ 262,500 | \$ - | \$ - | \$ 262,500 | \$ - | \$ - | \$ - | \$ - |
| FLEET & FACILITIES EQUIPMENT | | | | | | | | | |
| Maintenance Equipment | | | | | | | | | |
| | Electric Forklift | \$ 20,000 | \$ - | \$ - | \$ 20,000 | \$ - | \$ - | \$ - | \$ - |
| | Power Wash Trailers | | | | | | | | |
| | 2 units | \$ 40,000 | \$ - | \$ - | \$ 40,000 | \$ - | \$ - | \$ - | \$ - |
| | ADA Portable Restrooms | | | | | | | | |
| | 5 units | \$ 375,000 | \$ - | \$ - | \$ 375,000 | \$ - | \$ - | \$ - | \$ - |
| | Maintenance Equipment | | | | | | | | |
| | Cordless Bus Lifts - 3 sets | \$ 100,000 | \$ - | \$ - | \$ 100,000 | \$ - | \$ - | \$ - | \$ - |
| | | \$ 100,000 | \$ - | \$ - | \$ 100,000 | \$ - | \$ - | \$ - | \$ - |
| | Maintenance Equipment Total | \$ 635,000 | \$ - | \$ - | \$ 635,000 | \$ - | \$ - | \$ - | \$ - |
| | CAPITAL ITEMS TOTAL | \$ 897,500 | \$ - | \$ - | \$ 897,500 | \$ - | \$ - | \$ - | \$ - |
| FY21 Capital Projects Total | | \$ 60,187,190 | \$ 2,684,171 | \$ 13,242,827 | \$ 18,025,426 | \$ 13,088,553 | \$ 670,000 | \$ 10,226,213 | \$ 2,250,000 |

FY21 DETAILED CAPITAL SOURCES AND SPENDING

| OPERATING PROJECTS | FY21 Capital/Grantable Budget Items | State Annual | | FTA Annual | | Local Grant Award | AVTA Internal Reserve | Future Grant / Allocation | |
|---|---|--------------|-------------------|-------------------|-------------------|----------------------|--------------------------|------------------------------|--|
| | | Allocation | State Grant Award | Allocation | FTA Grant Award | | | | |
| Planning & Operating Projects - Grantable | | | | | | | | | |
| Network Integration - Metrolink | \$ 250,000 | \$ - | \$ 250,000 | \$ - | \$ - | \$ - | \$ - | \$ - | |
| TRANSPORTer Operations (JARC) | \$ 375,000 | \$ - | \$ - | \$ 375,000 | \$ - | \$ - | \$ - | \$ - | |
| NEMT Microtransit Operations | | | | | | | | | |
| Year 1 of 2 - 5310 | \$ 87,500 | \$ - | \$ - | \$ 21,875 | \$ 65,625 | \$ - | \$ - | \$ - | |
| Senior/Disabled Microtransit/DAR Operations | | | | | | | | | |
| Year 1 of 2 - 5310 | \$ 57,500 | \$ - | \$ - | \$ 14,950 | \$ 42,550 | \$ - | \$ - | \$ - | |
| Regional Transit Plan | | | | | | | | | |
| | \$ 25,000 | \$ - | \$ 25,000 | \$ - | \$ - | \$ - | \$ - | \$ - | |
| Planning & Operating Projects Total | \$ 795,000 | \$ - | \$ 275,000 | \$ 411,825 | \$ 108,175 | \$ - | \$ - | \$ - | |
| PLANNING AND OPERATING PROJECTS TOTAL | \$ 795,000 | \$ - | \$ 275,000 | \$ 411,825 | \$ 108,175 | \$ - | \$ - | \$ - | |
| FY21 Planning and Grantable Operating Projects | \$ 795,000 | \$ - | \$ 275,000 | \$ 411,825 | \$ 108,175 | \$ - | \$ - | \$ - | |

| FY21 BUDGET SUMMARY | FY21 Capital/Grantable Budget Items | State Annual | | FTA Annual | | Local Grant Award | AVTA Internal Reserve | Future Grant / Allocation |
|--|---|---------------------|----------------------|----------------------|----------------------|----------------------|--------------------------|------------------------------|
| | | Allocations | State Grant Award | Allocation | FTA Grant Award | | | |
| FY21 Capital Projects Total | \$ 60,187,190 | \$ 2,684,171 | \$ 13,242,827 | \$ 18,025,426 | \$ 13,088,553 | \$ 670,000 | \$ 10,226,213 | \$ 2,250,000 |
| FY21 Planning and Grantable Operating Projects | \$ 795,000 | \$ - | \$ 275,000 | \$ 411,825 | \$ 108,175 | \$ - | \$ - | \$ - |
| TOTAL FY21 CAPITAL BUDGET | \$ 60,982,190 | \$ 2,684,171 | \$ 13,517,827 | \$ 18,437,251 | \$ 13,196,728 | \$ 670,000 | \$ 10,226,213 | \$ 2,250,000 |



DATE: June 23, 2020

TO: BOARD OF DIRECTORS

SUBJECT: Title VI Program Update for Fiscal Years (FY) 2020/2021 – 2022/2023

RECOMMENDATION

That the Board of Directors 1) approve AVTA's Title VI Program Update for FY 2020/2021 through FY 2022/2023 as required by the Federal Transit Administration (FTA) (Attachment B); and 2) adopt Resolution No. 2020-006 (Attachment A), adopting AVTA's Title VI Program Update.

FISCAL IMPACT

There is no financial impact associated with adoption of the AVTA Title VI Program Update. However, failure to adopt and submit a Title VI Program Update could cause AVTA to be ineligible to receive federal funding.

BACKGROUND

Title VI regulations mandate that no person in the United States shall, on the grounds of race, color or national origin, be excluded from participation in, or be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance from FTA. These guidelines were developed in accordance with the Civil Rights Act of 1964.

Since 1972, the FTA has required recipients of federal assistance to provide assessments of compliance with Title VI of the Civil Rights Act of 1964. An updated Title VI program must be submitted by grantees every three years. AVTA last submitted its Title VI Program Update to FTA in FY 2017/2018.

The Title VI Program has been updated to provide information on service added or modified since the last submittal, as well as an outline of public participation, minority representation on planning and advisory committees, and a set of route maps with demographic information based on the 2015 federal census data.

AVTA's Limited-English Proficiency (LEP) Plan was also updated reflective of the latest American Community Survey data and includes the mandated "Four-Factor Analysis" to ensure meaningful access to the benefits, services, information and other important activities for individuals who are limited in the English language. The plan identifies LEP individuals who need language assistance, programs for developing language assistance measures, staff training programs, methods for providing notice to LEP persons, and monitoring and updating the plan.

Prepared by:

Submitted by:

Kelly Miller
DBE/EEO Compliance Officer

Macy Neshati
CEO/Executive Director

Attachments: A – Resolution No. 2020-006
 B – AVTA Title VI Program Update for FY 2021-2023

NB 2 – ATTACHMENT A

ANTELOPE VALLEY TRANSIT AUTHORITY
BOARD OF DIRECTORS
RESOLUTION NO. 2020-006

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY ADOPTING THE TITLE VI PROGRAM UPDATE FOR FISCAL YEARS 2021 THROUGH 2023 AS REQUIRED BY FEDERAL AND STATE FUNDING AND REGULATORY AGENCIES

THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY RESOLVES AS FOLLOWS:

WHEREAS, the Antelope Valley Transit Authority will comply with Title VI of the Civil Rights Act of 1964, including the new provision detailed in the U.S. Department of Transportation’s FTA Circular 4702.1B, “Title VI Requirements and Guidelines for Federal Transit Administration Recipients”. Specifically, Title VI provides that:

No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

Section 1. The Board of Directors of the Antelope Valley Transit Authority hereby approves and adopts the Title VI Program Update for Fiscal Years 2021 through 2023 as required by Federal and State funding and regulatory agencies.

Section 2. The Secretary of the Board shall certify to the adoption of this resolution.

PASSED, APPROVED and ADOPTED this 23rd day of June, 2020 by the following vote:

AYES: _____

NOES: _____

ABSTAIN: _____ ABSENT: _____

Marvin Crist, Chairman

ATTEST:

APPROVED AS TO FORM:

Karen S. Darr, Clerk of the Board

Allison Burns, General Counsel

Antelope Valley Transit Authority

Fiscal Year 2021

NB 2 – ATTACHMENT B

TITLE VI

Program Update



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Chapter 1: Introduction

1.1 TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

This document was written in response to Federal Transit Administration (FTA) Circular 4702.1A. FTA requires transportation agencies to demonstrate compliance with Title VI of the Civil Rights Act of 1964 (Title VI) by submitting a program update every three years.

Title VI ensures that “No person in the United States shall, on the basis of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.”

The Title VI program update consists of supporting documentation that provides evidence of equitable distribution of services; promotion of full and fair participation in public transportation decision-making without regard to race, color, or national origin; and meaningful access to transit-related programs and activities by persons with limited English proficiency.

1.2 ANTELOPE VALLEY TRANSIT AUTHORITY

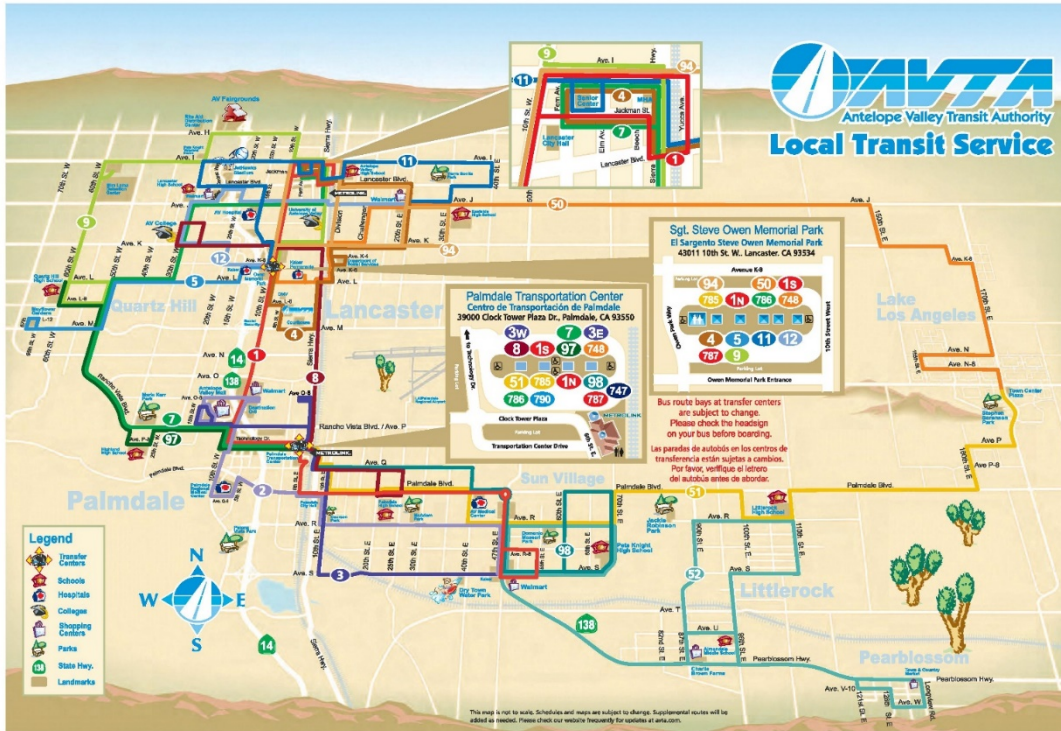
The Antelope Valley Transit Authority (AVTA) is a public entity created on July 1, 1992, pursuant to Section 6506 of the Government Code of the State of California. AVTA was formed under a Joint Exercise of Powers Agreement (JPA). Its members consist of the County of Los Angeles and the cities of Lancaster and Palmdale. The JPA members jointly contribute capital and operating funds to AVTA each year to assist in the provision of transit services to the Antelope Valley area.

The Antelope Valley Transit Authority (AVTA) is located in Southern California, approximately 70 miles north of Los Angeles. Its principal office and bus facility is situated in the City of Lancaster, California. AVTA was formed to provide and administer public transportation services for the citizens of Lancaster, Palmdale and certain unincorporated sections of the County of Los Angeles in the Antelope Valley area.

AVTA’s total service area covers approximately 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. AVTA includes a network of 15 local transit routes, three commuter routes, and the North County TRANSporter (NCT) service, which operates as a bridge service between the Santa Clarita and Antelope Valleys on weekdays. AVTA provides three supplemental route services to alleviate crowding on local routes during peak hours. The supplemental service operates two times a day. Local service is operated on weekdays from 5:00 a.m. to 12:36 a.m. Weekend service is operated from 6:00 a.m. to 11:45 p.m. Commuter routes and the NCT service operate Monday through Friday from 3:50 a.m. to 7:54 p.m.

AVTA also provides a complementary paratransit service, known as Dial-a-Ride, operated by Antelope Valley Transportation Services (AVTS). Service within the Urban Zone and Rural Zone 1 is available to elderly persons and persons with disabilities. Service within Rural Zone 2 is open to the general public, operating on weekdays from 6:00 a.m. to 7:30 p.m. and weekends from 8:00 a.m. to 6:00 p.m. Reservations may be placed between 8:00 a.m. and 5:00 p.m. any day of the week.

AVTA fixed-route, Dial-a-Ride and maintenance functions are provided under contract with Transdev Transportation and Antelope Valley Transportation Service (AVTS).



1.3 AVTA MISSION STATEMENT

AVTA Empowers Mobility – Getting people where they need to be safely, timely and cost-effectively.

Our 100% battery electric zero-emission buses run on clean, safe, sustainable energy that has many benefits, including improving air quality, reducing pollution, and positive contributions to the overall health of the Antelope Valley. The people who live and work here know that we care enough about them and the environment we live in to make this commitment.

Our service empowers our customers by giving them greater mobility, greater access to where they want and need to go, and discovery of new experiences. Discovering a better job, a new educational opportunity, a sporting event or even a better place to live, our customers have the power through AVTA to transform their rides into a better quality of life.

Chapter 2: General Requirements

2.1 TITLE VI NOTICE TO THE PUBLIC

The FTA requires that AVTA provide information to the public regarding the recipient's obligations under the Title VI regulations and explain to members of the public of their rights under Title VI.

The following information is made available to the public in both English and Spanish via AVTA's website and printed brochures, which are placed at our customer service center, located in the main lobby of AVTA's administrative offices. In addition, brochures are on all fixed-route buses and restocked on a daily basis. Our complete Title VI Program is also available upon request.

Title VI Public Notice

What is Title VI?

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving Federal financial assistance.

The Antelope Valley Transit Authority (AVTA) is committed to ensuring that no person is excluded from participation in, or denied the benefits of its transit services on the basis of race, color, or national origin, as protected by Title VI of the Civil Rights Act of 1964. If you believe you have been subjected to discrimination under Title VI, you may file a complaint.

Who can file a complaint?

Any person who believes that they have, individually, or as a member of any specific class of persons, been subjected to discrimination on the basis of race, color, or national origin may file a Title VI complaint with AVTA.

AVTA Title VI Policy

As a recipient of federal funds, the Antelope Valley Transit Authority (AVTA) has certified and provided assurances that it will fully comply with Title VI of the Civil Rights Act of 1964. AVTA is committed to ensuring that no person is excluded from participation in, or denied the benefits of its services, on the basis of race, color or national origin.

No person or group of persons shall be discriminated against with regard to the routing, scheduling, or quality of transportation service that AVTA furnishes on the basis of race, color, or national origin. Frequency of service, age and quality of vehicles assigned to routes, quality of stations serving different routes, and location of routes may not be determined on the basis of race, color or national origin.

How do I file a Title VI Complaint?

If you believe you have been discriminated against, you may file a signed, written complaint within 180 days of the date of alleged discrimination. The complaint should include the following information:

- a. Your name, address, and how to contact you (i.e., telephone number, email address, etc.)
- b. The location, names, and contact information of any witnesses. The complaint may be filed in writing with AVTA:

Antelope Valley Transit Authority 42210 6th Street West Lancaster, CA 93534
Attention: Title VI Officer

Complaint Assistance

AVTA will assist with writing a complaint if the complainant is unable to do so.

- Email: titlevi@avta.com
- Phone: 661.945-9445 Ext. 254
- Hearing Impaired: 1.888.880.3273 (TDD)

Complainants may also file a Title VI complaint with an external entity such as the FTA, other federal or state agency, or a federal or state court. However, should a complaint be filed with AVTA and an external entity simultaneously, the external complaint will supersede the AVTA complaint and AVTA's complaint procedures will be suspended pending the external entity's findings.

In addition to the complaint process at AVTA, a complainant may file a Title VI complaint with the:

U.S. Department of Transportation Federal Transit Administration Office of Civil Rights
Region IX
201 Mission Street, Suite 1650
San Francisco, California 94105-1839.

What happens to my complaint to AVTA?

All complaints alleging discrimination based on race, color or national origin in a service or benefit provided by AVTA will be recorded and immediately assigned a complaint number by AVTA Customer Service.

AVTA Customer Service will provide appropriate assistance to complainants, including those persons with disabilities, or who are limited in their ability to communicate in English. Complaints will be elevated to the appropriate management team responsible for Title VI compliance.

In instances where additional information is needed for assessment or investigation of the complaint, AVTA will contact the complainant in writing within 15 working days. Failure of the complainant to provide the requested information by a certain date may result in the administrative closure of the complaint.

AVTA will investigate the complaint and prepare a draft written response subject to review by AVTA. If appropriate, AVTA may administratively close the complaint.

AVTA will investigate a formal Title VI complaint within ten (10) working days of receiving the complaint. Based upon all of the information received, AVTA will prepare a draft written response subject to review by AVTA's CEO/Executive Director.

The CEO/Executive Director will determine if the complaint may be administratively closed after the draft is written, or if a final written response is needed. If a final written response is needed, AVTA will send the response to the complainant and advise the complainant of his/her right to file a complaint externally.

The complainant also will be advised of his/her right to appeal the response to federal and state authorities as appropriate. AVTA will use its best efforts to respond to a Title VI complaint within sixty (60) working days of its receipt of such a complaint, unless a complaint is filed with AVTA and an external entity simultaneously as noted previously.

How will I be notified of the outcome?

AVTA will send a final written response to the complainant and advise the complainant of his or her right to file a complaint externally. AVTA will use its best efforts to respond to Title VI complaints within 60 working days of its receipt of such complaints.

2.2 AVTA TITLE VI COMPLAINT FORM AND PROCEDURES

AVTA maintains an internally controlled comment tracking system (TransTrack) where customers are able to submit comments, suggestions or complaints through various channels, including in person at the AVTA's central facility, facsimile, and telephone or email communication.

Information on how to submit a comment, suggestion or complaint is also available in Spanish. Customers with Limited English Proficiency (LEP) can submit comments utilizing the same methods. Once a customer submits a complaint, the comment is categorized and sent to the appropriate departments and/or AVTA's Operations and Maintenance contractor.

Any complaints of discrimination on the basis of race, color, or national origin are placed in TransTrack under a specific Title VI category. These complaints are recorded and maintained in TransTrack, including the date the complaint was filed; a summary of the allegation; the status of the investigation; and any actions taken in response to the complaint as highlighted in AVTA's Notice of Customer Rights Under Title VI (Appendix A).

The AVTA Title VI Complaint Form (Appendix B) is available by e-mail, in print on request, and via PDF download on the AVTA website.

2.3 TITLE VI INVESTIGATIONS, COMPLAINTS AND LAWSUITS

All transit recipients shall prepare and maintain a list on any of the following that allege discrimination on the basis of race, color, or national origin:

- Active investigations conducted by the FTA;
- Lawsuits; and
- Complaints naming the Antelope Valley Transit Authority.

This list shall include the date that the transit-related Title VI investigation, lawsuit, or complaint was filed; a summary of the allegation(s); the status of the investigation, lawsuit, or complaint; and actions taken by the recipient in response, or final findings related to the investigation, lawsuit, or complaint. This list shall be included in AVTA Title VI Program submitted to the FTA every three years.

AVTA had zero lawsuits and two complaints alleging Title VI violations since the submittal of its 2018 Title VI Program update. The following table summarizes the two complaints received:

| Created On | Complaint Description | Status | Summary of Review and Action Taken |
|--------------|--|-----------------|--|
| Aug 18, 2017 | Complainant stated that he and his son boarded the bus with a five-dollar bill. The operator informed him that he must pay the fare with the five-dollar bill, as he was unable to make change. The complainant obtained correct change from another passenger and paid the fare, then proceeded to take his seat. He claimed that as he walked away the operator made a remark that he felt was unprofessional and racially motivated. | Unsubstantiated | AVTA and Transdev staff reviewed video recording of the incident. The complainant initiated further conversation with the operator after the fare was paid, to which the operator responded that he thought the rider was hoping he wouldn't have to pay. The operator's remarks, while inappropriate, were not found to violate any Title VI regulations. |
| Oct 6, 2017 | Complainant stated that she boarded the bus with her children and inserted \$3.00 into the fare box. She explained to the operator that she didn't have enough for the entire fare, but was told that she and her children couldn't ride unless they paid full fare. She stated that an African-American female waiting to board behind her told the operator that she didn't have any money, and the operator waived the fare for that passenger. | Unsubstantiated | AVTA and Transdev staff reviewed video recording of the incident. The operator did state \$4.50 for the fare for the complainant, but allowed another passenger behind her to ride for free. The complaint was found to be valid, but no Title VI regulations were found to have been violated. |

2.4 PUBLIC PARTICIPATION

The Federal Transit Administration (FTA) requires a locally developed process to consider public comment before raising fares or carrying out a major reduction in transportation service (Chapter 53, Section 5307). The public, as the primary customer and beneficiary of transit service, is given the opportunity for input and review through the public outreach process.

Actions such as the establishment of new service, fare adjustments, major modifications to existing service (25% or more), and elimination of any bus route include a formal process of review by AVTA, including meaningful public engagement conducted by AVTA staff. AVTA uses a broad range of outreach tools as documented in the AVTA Fare and Service Change Guidelines (Appendix C).

AVTA performs meaningful public engagement on a monthly basis, which includes public meetings in association with the following community and business organizations, among others;

- Lancaster Chamber of Commerce
- Palmdale Chamber of Commerce
- Antelope Valley Hispanic Chamber of Commerce
- Antelope Valley African-American Chamber of Commerce
- Greater Antelope Valley Economic Alliance
- Antelope Valley Board of Trade, and Transportation Committee
- Lancaster and Palmdale First 5 LA/Best Start Community meetings
- Health Neighborhood meetings facilitated by the County of Los Angeles Department of Mental Health
- Service Area Advisory Committee, organized by the County of Los Angeles Department of Mental Health.

AVTA is also in communication with many organizations throughout the region and often attends meetings and events sponsored by these groups. These groups include senior organizations, city and county partners, social service associations, and other organizations within AVTA's service area. Meetings and presentations include, but are not limited to:

07/25/18 – Latino Business Summit

07/31/18 – City of Palmdale National Night Out

08/2/18 – City of Lancaster National Night Out

10/25/18 – Community Connections Resource Fair

11/27/18 – Edwards Air Force Base Town Hall Meeting

01/10/19 – Edwards Air Force Base Community Partner Meeting

05/31/19 – Age Well, Drive Smart, sponsored by Senator Scott Wilk and CHP

08/10/19 – Grace Resources Veterans' Stand Down

08/24/19 – Veterans' Forum and Resource Fair

10/17/19 – High Desert Medical Group Senior Expo

10/17/19 – Latino Business Summit

11/04/19 – Disadvantaged Business Enterprise/Small Business Development Center Outreach

02/05/20 – Disadvantaged Business Enterprise/Small Business Development Center Outreach

02/15/20 – Grace Resources Veterans' Stand-Down

AVTA works with a select representative group of citizens (including those from disadvantaged neighborhoods or representing specific populations) and stakeholders that serve as a Community Advisory Group (CAG) to the agency. The CAG is engaged in input and feedback activities throughout the planning and implementation processes and will provide ongoing insights and critical evaluation of performance in carrying out planning activities and implementation of strategies. This group encourages minorities to participate through business networking, social media and community partnerships. The table below shows the diversity breakdown of the CAG members.

| Racial Breakdown of Community Advisory Group | |
|--|-----|
| Non-Minority | 69% |
| African-American (Black) | 15% |
| Hispanic | 8% |
| Other | 8% |

AVTA has also partnered with the First 5 LA/Best Start Palmdale Transportation Committee. Best Start is First 5 LA’s primary investment for engaging communities in a common vision and intention for children and families to thrive, working to strengthen community leadership and collaboration across sectors. The committee, comprised of community leaders, parents, residents and others, provides vital feedback and information that helps identify and address transportation needs and challenges, helping AVTA remove barriers and expand its services across a broader range. This group encourages minorities to participate through business networking, social media and community partnerships. The table below shows the diversity breakdown of the First 5 LA/Best Start Palmdale Transportation Committee.

| Racial Breakdown of Transportation Committee | |
|--|-----|
| Non-Minority | 11% |
| African-American (Black) | 39% |
| Hispanic | 38% |
| Other | 12% |

At each of the outlined meetings and committees, AVTA provides information on initiatives, travel training, and most importantly receives feedback on requested changes to local, commuter and paratransit services, as well as recommendations for new service, complaints from members of specific groups, etc.

In early 2019, AVTA procured the services of a consulting group to develop and prepare a public outreach plan. The purpose of the regional transit plan was to determine trends, gaps in, barriers to, and satisfaction with public transit that includes relationships to health, housing, economic, and environmental conditions. The participants included stakeholders, community members, community groups, special needs populations, disadvantaged neighborhoods, and across socio-economic groups; and used various methods that maximize public engagement participation.

The plan addressed key objectives across the AVTA service area with particular focus on disadvantaged areas (see attached graphic titled AVTA Disadvantaged Areas) to maximize service access, improve economic parity of resources, reduce health issues, further reduce pollutants and greenhouse gases, improve housing/transit balance, and integrate transportation into land-use policy. The community engagement activities were conducted with multi-language access, using locations and times that maximized the participation of persons living in disadvantaged areas and initiated strategies to maximize participation by those most affected by poverty, air pollution, and lack of access to transportation.

Phase 1 of the AVTA Regional Transit Plan, Mobility Forward, which included recommendations for changes to the local and commuter routes, was approved by the Board of Directors in February 2020. The Board discussed service areas designated as disadvantaged communities, the proposed on-request microtransit service, access to bus stops in existing neighborhoods surrounded by block walls, including bus stops and amenities in proposed residential and commercial developments, service to underserved areas (i.e. Ana Verde, Antelope Acres, etc.), coordinating AVTA's service with adjoining transit agencies, funding sources, and outreach efforts.

During any AVTA public meeting, if any special accommodation is desired or required, the attendee can call AVTA Customer Service 72 working hours prior to the meeting to arrange the proper accommodations. Upon request, AVTA will provide Spanish translation and can offer interpreters for other languages, including American Sign Language (ASL). All AVTA meetings and hearings provide reasonable accommodations in accordance with the Americans with Disabilities Act of 1990 and facilities are wheelchair accessible.

2.5 LIMITED ENGLISH PROFICIENCY (LEP) PLAN

Per the Title VI of the Civil Rights Act of 1964, the U.S. Department of Transportation (DOT) implementing regulations, and Executive Order 13166 "Improving Access to Services for Persons with Limited English Proficiency (65 FR 50121, Aug. 11, 2000)," AVTA is federally mandated to develop and implement a Language Assistance Plan by which Limited English Proficiency (LEP) persons can meaningfully access translations of written and oral information.

As such, AVTA must take reasonable steps to ensure meaningful access to the benefits, services, information and other important portions of their programs and activities for LEP persons.

The LEP Plan documents the Four-Factor analysis completed to identify appropriate language assistance measures needed to improve access to AVTA services and benefits for LEP persons. Under the analysis, it was determined that approximately 14.3% of the population within AVTA's service area has limited proficiency in the English language. The most predominate language spoken other than English is Spanish at 90.6% of all LEP individuals within our service area. The LEP analysis documents current measures used by AVTA to assist LEP populations including:

- Network with local human service organizations that provide services to LEP individuals and seek opportunities to provide information on programs and services.
- Provide a bilingual staff member at all community events and public hearings.
- Continue to survey bus drivers, dispatchers and customer service staff regarding their contacts with LEP persons during the previous year;
- Continue to post the AVTA Title VI notice and LEP Plan on the agency website, www.avta.com;
- Continue travel training for LEP persons with the assistance of bilingual staff;
- Include questions about whether an interviewee is bilingual on written questionnaires for bus driver and customer service staff during recruitment; and
- When an interpreter is needed for a language other than Spanish, in person or on the telephone, staff will attempt to access language assistance services from a professional translation service.

AVTA's Limited English Proficiency (LEP) Plan was updated for this Title VI Program and is attached in Appendix D.

2.6 MINORITY REPRESENTATION ON PLANNING AND ADVISORY BODIES

The FTA states that a recipient may not, on the grounds of race, color, or national origin, deny a person the opportunity to participate as a member of a planning, advisory, or similar body which is an integral part of our service development and planning program.

AVTA is governed by a six-member Board of Directors with governance responsibilities over all activities related to the AVTA. AVTA does not appoint or elect the members of the Board of Directors. Each member of the Board is appointed by the member jurisdictions, as defined in the Joint Exercise of Powers Agreement (JPA), Section 2, Paragraph B, item 1, which states, “The Cities shall each appoint two designated directors from their respective City Council members and one alternate director (who is not required to be a city council member). The Supervisor on the Los Angeles County Board of Supervisors who represents some or all of the Antelope Valley shall appoint to the Board two designated directors and one alternate director...” A CEO/Executive Director manages day-to-day operations and implements Board policy in accordance with the duties specified in the applicable sections of the Government Code of the State of California and the JPA.

| AVTA Board of Directors | | |
|-------------------------|-------------------------------|-----------------------|
| Member | Jurisdiction | Minority/Non-Minority |
| Marvin Crist | City of Lancaster | Non-Minority |
| Angela Underwood-Jacobs | City of Lancaster | African-American |
| Ken Mann | City of Lancaster (alternate) | Non-Minority |
| Raj Malhi | City of Lancaster (alternate) | Minority |
| Steven D. Hofbauer | City of Palmdale | Non-Minority |
| Richard Loa | City of Palmdale | Hispanic |
| Laura Bettencourt | City of Palmdale (alternate) | Non-Minority |
| Kathy Mac Laren | City of Palmdale (alternate) | Non-Minority |
| Dianne Knippel | Los Angeles County | Non-Minority |
| Michelle Flanagan | Los Angeles County | Non-Minority |

AVTA’s Transit Advisory Committee (TAC) was established in 1992 to provide input to the Board of Directors. TAC membership is composed of two representatives from each member jurisdiction appointed by the board member. The TAC meets in accordance with a schedule adopted by the Board, typically the second Tuesday of each month, two weeks prior to the AVTA Board meeting.

| Transit Advisory Committee | | |
|----------------------------|-------------------------------|-------------------------|
| Member | Jurisdiction | Minority / Non-Minority |
| Trolis Niebla | City of Lancaster (alternate) | Minority |
| Candice VanderHyde | City of Lancaster | Non-Minority |
| Sayne Redifer | City of Palmdale | Minority |
| Ruben Hovanesian | City of Palmdale | Minority |
| Jordan Cantanese | Los Angeles County | Minority |

Each year, AVTA meets with a Social Services Transit Advisory Committee (SSTAC) to solicit input and evaluate whether any unmet transit needs exist in the AVTA service area that may be reasonable to meet using Transportation Development ACT (TDA) Article 8 funds, a portion of the California Local Transportation Fund generated by ¼ of one cent of the state sales tax. This year's meeting of the SSTAC was held on April 23, 2020. AVTA and Metro encourage minorities to participate through business networking, social media and community partnerships. The list of the members and respective organization/groups are listed below.

| Member | Organization/Group |
|---------------------|-------------------------------|
| Laura Rice | Legacy Commons Senior Center |
| Cynthia Cole-Robles | AV Senior Center |
| Adrian Aguilar | City of Santa Clarita |
| Eric Haack | Access Services |
| Zach Krauter | AVTA |
| Macy Neshati | AVTA |
| Kelly Miller | AVTA |
| Fran Seraseras | Community Member |
| Juan Blanco | Coffee 4 Vets |
| Jeremy Johnson | Grace Resources |
| John Huang | Los Angeles County |
| Audra McDonald | Avalon |
| Damisha Jones | Child 360/Best Start Palmdale |

| Racial Breakdown | Social Services Transit Advisory Committee |
|--------------------------|--|
| Non-Minority | 62% |
| African-American (Black) | 15% |
| Hispanic | 15% |
| Other | 8% |

The TDA Article 8 hearing board consists of four representatives, one each from Palmdale, Lancaster, Los Angeles County, and Santa Clarita.

| TDA Article 8 Hearing Board | | |
|-----------------------------|-----------------------|------------------------|
| Member | Jurisdiction | Minority/ Non-Minority |
| David Perry | Los Angeles County | Non-Minority |
| Marvin Crist | City of Lancaster | Non-Minority |
| Steve Hofbauer | City of Palmdale | Non-Minority |
| Adrian Aguilar | City of Santa Clarita | Minority |

This year the process was concluded at a Hearing Board meeting held on April 28, 2020. The Hearing Board found that there were no unmet transit needs that were reasonable to meet using TDA Article 8 funds, and recommended that AVTA continue to monitor and evaluate all available funding sources.

2.7 MONITORING OF SUBRECIPIENTS AND CONTRACTORS

The Antelope Valley Transit Authority (AVTA) does not have any sub recipients. However, AVTA does contract out its transit operations and maintenance to Transdev Transportation and the Dial-a-Ride service to Antelope Valley Transportation Service (AVTS). As part of its efforts to ensure Transdev and AVTS comply with the requirements of Title VI, AVTA holds periodic meetings with representatives to discuss any potential Title VI issues that may arise or new updates in program.

AVTA requires all operations and maintenance contractors to be fully compliant with FTA Circular 4702.1B, Title VI Requirements and Guidelines for Federal Transit Administration Recipients.

2.8 FIXED FACILITY IMPACT ANALYSIS

The Title VI requires a Fixed Facility (transit centers, operations facility or yard) Impact Analysis for construction projects to assess any impacts to minority communities. If this information has been prepared as a result of an environmental impact statement, the application recipient or sub recipient should reference the relevant information by documenting page numbers and submission to the FTA.

A Title VI Equity Analysis should also be conducted during the planning stages to assess where a project is located or sited to ensure the location is selected without regard to race, color, or national origin. The recipient shall engage in outreach to persons potentially impacted by the placement of facilities. The Title VI equity analysis must compare the equity impacts of various site alternatives, and the analysis must occur before the selection of the preferred site. Additionally, environmental justice principles as reflected in the DOT Order on Environmental Justice (DOT Order 5610.2(a)), address Environmental Justice in Minority Populations and Low Income Populations. The order describes the process the Department and its modal administrations (including FTA) use to incorporate environmental justice principles into programs, policies, and activities.

As a result of FTA requirements, environmental impact analysis for fixed facilities shall include:

- A Title VI Equity Analysis conducted during planning stages to assess if or how the location will impact minority communities and provides alternatives analysis.
- A project history and background for each project or service plan within the document.
- A discussion of the potential impacts on minority communities and minority-owned businesses during and after construction.
- A discussion on all potential negative environmental impacts, such as traffic congestion, noise, air or water pollution.
- A list of minority owned businesses and household affected by construction projects.
- A description of other significant impacts on minority communities, such as: increased traffic, reduction in parking availability, etc.
- A description of the relocation program and/or other measures adopted by the applicant used to mitigate identified adverse social, economic or environmental effects of the proposed construction project or service plan all of which should include an environmental justice component.

During this Title VI triennial period, Antelope Valley Transit Authority did not undertake any new planning projects that required the Authority to complete a Fixed Facility Impact Analysis.

Chapter 3: Service Standards and Policies

3.1 MAJOR SERVICE CHANGE AND FARE POLICY

All transit providers that operate 50 or more fixed-route vehicles in peak service and are located in urbanized areas (UZA) of 200,000 or more people must conduct a Title VI equity analysis whenever they plan a fare change and/or major service change.

Federal guidelines and AVTA policy require that a public hearing be held when major service changes to the bus system are considered. Major service changes, as defined by AVTA, include the following:

- A change of 25% or more of service on any route.
- A change of 25% or more in the revenue vehicle miles made to any route.
- A new transit route is proposed.
- A poorly performing transit route is eliminated.

At the time of this Title VI Program Update, AVTA has a farebox recovery ratio target of 26.11%. AVTA reviews and reports the farebox recovery ratio compared to the target on a quarterly basis. Based on the analysis, AVTA may recommend fare adjustments as part of a range of solutions to maintain a sustainable long-term financial plan for the agency. All proposed fare changes require a Title VI Equity Analysis under the procedures established by this Title VI program.

AVTA's Service Change Guidelines and Policy is attached as Appendix C.

3.2 DISPARATE IMPACT AND DISPROPORTIONATE BURDEN POLICY

For any proposed change that requires an equity analysis as defined in Section 3.1, AVTA will determine if the change would create a disparate or disproportionate impact to minority and/or *low-income populations, respectively.

The determination of whether a proposed major service change has either disparate impact or disproportionate burden is based on whether the percentage of minority and/or low-income passengers on an affected transit route is greater than the transit system's percentage of minority and/or low-income riders.

Determination of whether a proposed fare adjustment has either a disparate impact or disproportionate burden is based on minority and/or low-income populations bearing a fare rate change of greater than ten (10) percentage points as compared to the non-minority and/or non-low-income populations.

*Low-income as defined by <https://aspe.hhs.gov/poverty-guidelines>

3.3 SERVICE EQUITY ANALYSIS

Transit providers that operate 50 or more fixed route vehicles in peak service and are located in a UZA of 200,000 or more in population are required to submit a service and/or fare equity analysis. This requirement is to comply with the Title VI regulations, which prohibit disparate impact discrimination, and therefore should document their policies and practices to ensure their service and fare changes do not result in disparate impacts on the basis of race, color or national origin.

Since the previous Title VI update, AVTA has made numerous realignments of routes through two service changes. Each of the service changes focused on minor adjustments to routes that did not require a Service Equity Analysis.

Nelson Nygaard conducted a Fare Equity Analysis in May 2015. Although the Fare Equity Analysis found that none of the 2015 fare changes would exceed the 10 percent disparate impact threshold, the report did recommend AVTA consider additional subsidies to LA Metro's Rider Relief Program (now known as LIFE, Low Income Fare is Easy). The LIFE program provides discounts on bus passes, up to 48% off a full regular fare product, to eligible applicants, based on income.

In 2020, AVTA will be working closely with Metro's contracted agencies, the FAME Corporation and IILA, to help facilitate participation of local residents in the LIFE Program on a broader scale by creating awareness through outreach events, social media and the AVTA website. AVTA will also assist in creating LIFE Enrollment Partners in the Antelope Valley, where applicants can register to participate in the program.

3.4 SERVICE STANDARDS

FTA requires that all fixed route transit providers develop quantitative standards for all fixed- route modes of operation for the indicators listed below. Providers of public transportation may set additional standards as appropriate or applicable to the type of service they provide.

VEHICLE LOAD

Vehicle load can be expressed as the ratio of passengers to the total number of seats on a vehicle. For example, on a 40-seat bus, a vehicle load of 1.3 means all seats are filled and there are approximately 12 standees (total number of people [52]/amount of seated people [40]). According to the FTA, the average of all loads during the peak operating period should not exceed a vehicle's achievable capacities.

AVTA has adopted the following policies with respect to vehicle loads:

- Peak Period Local Bus – 125% of seated capacity, with no rider required to stand for more than 20 minutes
- Off-Peak Local Bus – 100% of seated capacity
- Commuter Bus – 75% of seated capacity

If the recommended ratio is exceeded, it is the intention of AVTA to relieve any overcrowding by adding supplemental runs, or through routing changes. The table below identifies vehicle load factors by vehicle and service type.

| Vehicle Load Factor | | | |
|---------------------|----------------------------|-------|-----------------|
| Service Type | Year and Model | Seats | Max Load Factor |
| Local Transit | 40' BYD Low Floor Electric | 32 | 1.5 |
| Local Transit | 60' BYD Low Floor Electric | 43 | 1.5 |
| Commuter | 45' MCI Highway Coach | 53 | 1.0 |
| Microtransit | Green Power EV Van | 12 | 1.0 |

In FY15, AVTA implemented an Intelligent Transportation System (ITS) which included Automatic Passenger Counters (APCs) and Automatic Vehicle Locators (AVLs). This allows the Authority to collect essential data at the trip level. It allows stop-by-stop analysis which provides a precise understanding of customer boardings, loads, and travel patterns.

VEHICLE HEADWAY

AVTA operates 15 local fixed routes in the Antelope Valley. While service frequency and span (hours of operation) vary by route, local service generally operates every 15-120 minutes from 5:00 a.m. to 12:36 a.m. AVTA provides three supplemental route services to alleviate crowding on local routes during peak hours. The supplemental service operates two times a day. In addition, AVTA extended the area of service and it is now providing service to Edwards Air Force Base (Route 747) and to Mojave Air and Space Port (Route 748).

Commuter routes serve both Sgt. Steve Owen Memorial Park and the Palmdale Transportation Center. The number and frequency of trips offered varies by route. Commuter bus service begins earlier than 4:00 a.m. due to the Antelope Valley’s distance from the following destinations in Los Angeles County:

- Downtown Los Angeles,
- Century City/West Los Angeles/UCLA, and
- West San Fernando Valley/CSU-Northridge.

AVTA also operates the North County TRANSporter (790), a midday route that connects the Palmdale Transportation Center with the Newhall Metrolink Station and the McBean Regional Transit Center in Santa Clarita. This route bridges most of the midday service gap during which the Metrolink Antelope Valley Line does not operate north of Santa Clarita. It is also the only bus connection between the Antelope Valley and the Santa Clarita Valley.

Below is a table highlighting AVTA’s frequencies and span of service:

| Service Span | | | | | | | |
|--------------|--------------|--------------------------------|---------------------|-------------------|----------------|---------------------|-------------------|
| Route | Service Type | Span | Frequency (minutes) | | | | |
| | | | AM 5AM-8AM | Midday 8AM-3PM | PM 3PM- 6PM | Evening 6PM- 9PM | Night 9PM-12AM |
| 1 | Local | 5:00a – 12:36a | 30 | 15 | 30 | 30-60 | 60 |
| 2 | Local | 5:55a – 10:43p | 30 | 30 | 30 | 60 | 60 |
| 3 | Local | 5:55a – 10:44p | 30 | 30 | 30 | 60 | 60 |
| 4 | Local | 5:35a – 9:20p | 60 | 60 | 60 | 60 | 60 |
| 5 | Local | 6:00a – 10:03p | 70 | 70 | 70 | 70 | 60 |
| 7 | Local | 5:00a – 10:52p | 75 | 75 | 75 | 75 | 60 |
| 8 | Local | 6:35a – 6:45p | 90 | 90 | 90 | 90 | |
| 9 | Local | 6:15a – 8:05p | 90 | 90 | 90 | 90 | 90 |
| 11 | Local | 5:15a – 11:55p | 30 | 30 | 30 | 60 | 60 |
| 12 | Local | 5:05a – 11:38p | 30 | 30 | 30 | 60 | 60 |
| 50 | Rural | 5:20a – 11:12p | 120 | 120 | 120 | 120 | 120 |
| 51 | Rural | 5:30a – 10:33p | 120 | 120 | 120 | 120 | 120 |
| 52 | Local/Rural | 5:30a – 11:24p | 120 | 120 | 120 | 120 | 120 |
| 94 | Supplemental | 6:40a – 3:55p | 1 trip | N/A | 1 trip | N/A | N/A |
| 97 | Supplemental | 6:35a – 3:45p | 1 trip | N/A | 1 trip | N/A | N/A |
| 98 | Supplemental | 6:30a – 3:22p | 1 trip | N/A | 1 trip | N/A | N/A |
| 747 | Local | 5:15a – 6:45p | 4 trips | N/A | 4 trips | N/A | N/A |
| 748 | Local | 4:50a – 6:25p | 2 trips | N/A | 2 trips | N/A | N/A |
| 785 | Commuter | 3:50a – 8:55a 2:50p – 7:47p | 15-20 | N/A | 20-25 | N/A | N/A |
| 786 | Commuter | 4:00a – 8:14a 2:50p – 7:28p | 20-30 | N/A | 20-40 | N/A | N/A |
| 787 | Commuter | 4:00a – 8:58a 2:50p – 7:54p | 10-20 | N/A | 20-30 | N/A | N/A |
| 790 | Commuter | 7:50a – 5:50p | 2 trips | 6 trips | 2 trips | N/A | N/A |

ON-TIME PERFORMANCE

A vehicle is considered on time if it departs a scheduled time point zero (0) minutes early and no more than 5 minutes late. AVTA’s on-time performance target for fixed-route service is 85% or greater. AVTA monitors on-time performance and system-wide key performance indicators on a monthly basis. Trends are reported to the Board of Directors on a quarterly basis.

SERVICE AVAILABILITY

Like many urban areas, the Antelope Valley has multiple activity centers instead of a single central business district (CBD). Within the AVTA service area, there are vast areas of extremely low-density housing and employment sites. The AVTA attempts to link major trip generating sites and route vehicles along major commercial thoroughfares. This approach allows for better access to schools, shopping centers, government centers, parks, libraries, hospitals, and community and senior centers. AVTA intends to continue to route vehicles so that this type of access is preserved to these facilities.

Also, all local bus stops will be spaced no more than 0.25 miles apart in the denser areas and no more than .50 miles apart in the rural, less dense locations of the AVTA service area.

3.5 SERVICE POLICIES

The Federal Transportation Administration (FTA) requires that all providers of fixed-route public transportation develop qualitative policies for the following procedures: Vehicle Assignment and Transit Amenities. AVTA has adopted qualitative policies as summarized below. These policies were developed to help AVTA better achieve equity for all of its transit riders.

VEHICLE ASSIGNMENTS

Vehicle assignment refers to the allocation of transit vehicles to ensure that all communities receive the same quality of rolling stock benefits. Benefits include the vehicle age and standard on-board amenities such as air conditioning and upholstery.

AVTA’s average fleet age as of the adoption of this Title VI Program is 6.4 years old. In order to ensure equitable distribution of vehicles based on vehicle age, each route is randomly assigned buses without regard to the vehicle age, as maintenance and repair needs permit. Given the length of some routes, vehicle assignment of electric vehicles may also be dependent upon the availability of electric charging facilities along the route.

Listed below is the entire transit fleet breakdown and scheduled replacement year:

| Service Type | Number in Class | Year and Model | Scheduled Replacement |
|-----------------------------------|-----------------|----------------------------|-----------------------|
| Local Transit | 6 | 2014 40' BYD K9M Electric | FY 2026 |
| Local Transit | 21 | 2018 40' BYD K9M Electric | FY 2030 |
| Local Transit | 13 | 2019 40' BYD K9M Electric | FY 2031 |
| Local Transit | 13 | 2017 60' BYD K11M Electric | FY 2029 |
| <i>Total Local Transit</i> | 53 | | |
| Commuter | 13 | 2004 45' MCI Highway Coach | FY 2017 |
| Commuter | 6 | 2008 45' MCI Highway Coach | FY 2020 |
| Commuter | 6 | 2012 45' MCI Highway Coach | FY 2024 |
| Commuter | 5 | 2015 45' MCI Highway Coach | FY 2027 |
| <i>Total Commuter</i> | 30 | | |
| Microtransit | 8 | 2019 Green Power EV Van | FY2024 |
| <i>Total Microtransit</i> | 8 | | |
| <i>Total Active Fleet</i> | 91 | | |

TRANSIT AMENITIES

AVTA's emphasis on customer service includes the improvements of its "front door" – the bus stops. The Bus Stop Improvement Program (BSIP), also known as the Regional Partnership Program (RPP), began in FY11. The goal was to increase the attractiveness of bus stops by creating a full-time bus stop maintenance program. The bus stops maintenance program employs five technicians who provide general maintenance and minor repairs for bus stop amenities. Technicians track bus stop maintenance, graffiti history, and customer requests. All 874 active bus stops have been geo-coded and tracked through a bus stop database.

AVTA inventories existing amenities within the service area and determines where new or possible replacement facilities should be located based on bus stop boardings, waiting times, other nearby shelters and amenities, minority/non-minority census tract distribution, and ADA accessibility.

AVTA is currently in the process of improving bus stops within its service area by encouraging and assisting the local jurisdictions as they upgrade bus stops with new shelters, route information, and trash receptacles through the RPP. For FY2020, AVTA's approved budget includes \$2,665,000 in Federal Section 5307 funds for this program. Any construction expected to cross into FY2021, as well as new projects, will be covered in the FY2021 budget, with the amount to be determined.

Transit amenities refer to fixed items of comfort and convenience available to the general riding public such as bus stop benches and shelters. AVTA reviews and ensures amenities are placed in locations within each city without regard to race, color, national origin, or income considerations. Occasionally, unofficial amenities that are not owned or maintained by AVTA are placed without direction or control of the Authority.

Chapter 4: Demographics

FTA requires transit providers receiving federal assistance to provide demographic maps that shade census tracts where the percentage of total minority and low-income population reside in the service area. These maps and charts will help the transit provider determine whether and to what extent transit service is available to minority populations within the transit provider's service area. The maps and charts must be updated: 1) at least every three years, 2) after each Federal census data become available; and 3) when there are significant changes in the transit system.

Using American Community Survey (ACS) data, AVTA created map layers and created a visual display to show demographic information in relation to its service area.

4.1 MINORITY CHARACTERISTICS

The 2019 Greater Antelope Valley Economic Alliance Round Table Report estimated 406,916 residents in the census tracts within the defined AVTA service area. The service area's minority population includes Black, Hispanic, Asian, Native American, and Pacific Islander populations as well as those citing two or more races. In the AVTA service area, 69.55% (283,010) of the residents were designated as minority in 2019.

| Total Population | Minority | Non-Minority |
|------------------|----------|--------------|
| 406,916 | 283,010 | 123,906 |
| | 69.55% | 30.45% |

Appendix E shows the demographic map with census tracts where minorities reside within the AVTA service area. This map helps AVTA to determine that transit services are available to minority and non-minority populations equally within the AVTA Service area.

4.2 INCOME CHARACTERISTICS

According to results from the 2014-2018 ACS 5-year narratives, 19.47% of the population within the AVTA service area was living at or below the poverty line.

| Total Population | People Below Poverty Line | Low Income Percentage |
|------------------|---------------------------|-----------------------|
| 406,916 | 79,227 | 19.47% |

Appendix E shows the census tracts in the AVTA service area based on percentage of residents living at or below the poverty line. This map allowed AVTA to determine that transit services are available to low income and non-low income populations equally within the Authority's service area.

4.3 MINORITY & LOW INCOME CHARACTERISTICS

To better understand the minority and low-income population distribution patterns, each census tract in the AVTA service area is classified into one of the following two categories: Above Average Minority, Above Average Low Income.

Appendix E shows the distribution pattern maps of minority and low-income population in the Antelope Valley service area.

4.4 DEMOGRAPHICS

According to the AVTA's 2018 Limited English Proficiency (LEP) Plan, 31.2% of residents within the AVTA service area speak a language other than English. Of those residents, 86.6% are Spanish speakers (See Appendix D).

Every five years, Title VI requires agencies to conduct a ridership survey that collects demographic data. An online survey of AVTA passengers was conducted in June 2019 on all local and express routes. The local route survey featured 10 questions addressing trip purposes, resources used for trip planning, travel to and from stops, transfer activity, and priorities for service improvement. Participants were also asked to provide optional personal demographic information. The online survey was available in both English and Spanish. Current routes are represented in demographic maps provided in Appendices D, E, and F.

Passengers on commuter Routes 785, 786, 787, and 790 were given a slightly different version of the survey. The commuter route survey asked respondents to include the stops they were using in Los Angeles County. A total of 103 surveys were collected.

This current report includes data from the 2017 ACS 5-year estimates from Census Bureau, which is the most recent census data available. The Demographic Tables and Service Profile Maps included in Appendix G illustrate the relationship the demographic makeup of the service area.

4.5 MONITORING TRANSIT SERVICES

AVTA regularly monitors the service in its service area. Performance targets against five key agency goals are monitored. Nine performance indicators are evaluated on a monthly basis to determine if the established performance targets are being met. This evaluation includes passengers per service hour, cost per vehicle service hour, call response time, number of complaints, number of preventable accidents, service on-time performance, and farebox recovery ratio.

The U.S. Census provides demographic information by census tract and block level as identified in Section 4.3, in addition to population estimates, ethnicity, income and other quick facts. This report is used in AVTA's LEP plan and demographic maps and data to determine where minority and low-income residents live within the Authority's service area as illustrated in Appendix D and Appendix G.

4.6 CONCLUSION

This report fulfills the compliance reporting requirements for Title VI as detailed in FTA Circular 4702.1B. This report details AVTA's services, long-range planning efforts and general reporting requirements mentioned in the circular. The program-specific requirements were addressed with a demographic and service profile along with a description of AVTA's service standards and policies. Service changes and service monitoring were also described. The results demonstrate that AVTA serves a diverse population and supplies public transportation equitably to all classified races, ethnicities, and income levels.

Appendix A | Notice of Customer Rights

TITLE VI NOTIFICATION

NOTIFICACIÓN DE TÍTULO VI

The Antelope Valley Transit Authority (AVTA) ensures that no person on the basis of race, color, or national origin will be subjected to discrimination in the level and quality of transportation services and transit-related benefits.

If you feel you have experienced discrimination in the level and/or quality of transportation services and transit-related benefits that you have received, you may file a complaint with AVTA. For more information on AVTA's Title VI policy, you may call 661.945.9445 or visit avta.com. A complainant may file a complaint in writing at the following address: Antelope Valley Transit Authority, 42210 6th Street West, Lancaster, CA 93534, Attention: Customer Service. To download a complaint form, visit avta.com/title_vi_complaint.htm.

A complainant may file a Title VI complaint directly with the Federal Transit Administration by writing to the U.S. Department of Transportation, Federal Transit Administration, Office of Civil Rights, Region IX, 201 Mission Street, Suite 1650, San Francisco, CA 94105-1839.

El Antelope Valley Transit Authority (AVTA) asegura que ninguna persona por raza, color o origen nacional será objeto de discriminación en el nivel y calidad de los servicios de transporte y beneficios relacionados con el tránsito.

Si cree que ha experimentado discriminación en el nivel y / o la calidad de los servicios de transporte y los beneficios relacionados con el tránsito que ha recibido, puede presentar una queja ante AVTA. Para obtener más información sobre la política Título VI de AVTA, puede llamar al 661.945.9445 o visitar avta.com. Un reclamante puede presentar una queja por escrito en la siguiente dirección: Antelope Valley Transit Authority, 42210 6th Street West, Lancaster, CA 93534, Attention: Customer Service (Atención: Servicio al Cliente). Para descargar un formulario de queja, visite avta.com/title_vi_complaint.htm.

Un demandante puede presentar una queja de Título VI directamente con el Administración de Tránsito Federal escribiendo al U.S. Department of Transportation, Federal Transit Administration, Office of Civil Rights, Region IX, 201 Mission Street, Suite 1650, San Francisco, CA 94105-1839.



Appendix B | Title VI Complaint Form



Antelope Valley Transit Authority | 42210 6th Street West | Lancaster, California 93534 | 661.945.9445 | avta.com

Title VI Complaint Form

Title VI of the 1964 Civil Rights Act requires that "No person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance."

The following information is necessary to assist us in processing your complaint. Should you require any assistance in completing this form, please let us know.

Complete and return this form to Customer Service: Antelope Valley Transit Authority, 42210 6th Street West, Lancaster, CA 93534.

1. Complainant's Name _____
2. Address: _____
3. City: _____ State: _____ Zip Code: _____
4. Telephone Number (home): _____ (business) _____
5. Person discriminated against (if someone other than the complainant):
Name: _____
Address: _____
City: _____ State: _____ Zip Code: _____
6. Which of the following best describes the reason you believe the discrimination took place? Was it because of your:
a. Race
b. Color:
c. National Origin:
7. What date did the alleged discrimination take place?



Antelope Valley Transit Authority 42210 6th Street West | Lancaster, California 93534 | 661.945.9445 | avta.com

8. In your own words, describe the alleged discrimination. Explain what happened and whom you believe was responsible. Please use the back of this form if additional space is required.

9. Have you filed this complaint with any other federal, state, or local agency; with any federal or state court? Yes: [] No: []

If yes, check each box that applies:

Federal agency | Federal court | State agency []
State court | Local agency |

10. Please provide information about a contact person at the agency/court where the complaint was filed.

Name _____
Address: _____
City: _____ State: _____ Zip Code: _____
Telephone Number: _____

11. Please sign below. You may attach any written materials or other information that you think is relevant to your complaint.

Complainant's Signature _____ Date _____

Appendix C | AVTA Fare and Service Change Guidelines

Policy Statement

It is the policy of the AVTA Board of Directors to require service routes to be periodically evaluated to ensure bus service is responsive to the community's needs while remaining an efficient delivery system. Schedule changes are conducted to modify service based on patronage and/or budget fluctuations. Service changes follow an established timeline and process coinciding with the coach operators bid schedule in June and December.

All service changes and enhancements at AVTA are developed and evaluated by the planning staff and the operations team based on service improvement concepts recommended by customers and employees, service design studies, and performance monitoring results.

As our community grows, it becomes necessary to adjust our routes to serve new developments and adjust to the changing environment.

The evaluation process includes a formal public review of the proposals, a technical evaluation of ridership and resource impacts based on established service guidelines and standards, environmental considerations, and coordination with key stakeholders in the regional transit system.

Federal guidelines and AVTA policy require that, based on specific measures, a public hearing is held when major service changes to the transit system are considered. Before each proposed service adjustment is approved, the public is notified of the upcoming changes. AVTA conducts public hearings, public outreach, ride-a-longs on impacted lines, and rider surveys for public comments. We also make the proposed service change information easily available onboard AVTA buses and the AVTA website.

The Board has developed a process for receiving public testimony, which is utilized to evaluate proposed changes before any decision is approved by the Board. Once a program is reviewed and approved by the Board of Directors, new public timetables and bus operator work assignments are developed.

AVTA recommends fare policy changes based on the requirement of achieving minimum farebox recovery ratio objectives set for Fixed-Route and Commuter Services. AVTA is required by the Transportation Development Act to maintain a farebox recovery ratio of at least 20% for its general public services.

Service Change Timeline

| Key Activities | Required Lead Time* |
|--|---------------------|
| Planning Process Begins | 6 |
| Develop Preliminary Recommendations, Routing and Schedules | 5 |
| Impact Analysis on Proposed Changes | 3-4 |
| Public Review and Feedback | 3-4 |
| Finalize Program | 2 |
| Program Approval | 2 |
| Develop Operator Assignments | 2 |
| Print Public Schedules and Maps | 1 |

**Required Lead Time: Months prior to service implementation.*

Implementing Minor Changes on an Interim Basis

Minor service changes are generally route and/or schedule modifications that can be accommodated without impacting the vehicle or operator requirements of the service. AVTA can make minor route and/or schedule modifications (not requiring a public hearing) not to exceed an annual cost.

Service Change Measures

Federal guidelines and AVTA policy require that a public hearing be held when major service changes to the transit system are considered. Major Service Changes, as defined by AVTA, include the following:

- A change of 25% or more of service on any route.
- A change of 25% or more in the revenue vehicle miles made to any route.
- A new transit route is proposed.
- A transit route is eliminated.

Standard seasonal variations in transit service are exempt from public hearing requirements.

Emergency service changes may be instituted for 180 days or less without prior notification. A public hearing must be held during that time if the emergency service is to remain in effect for more than 180 days.

Impact Analysis for Proposed Changes

Prior to approval, service changes undergo a technical evaluation. The purpose of the evaluation is two-fold: 1) to define and evaluate the impact on riders; and 2) to develop appropriate mitigation measures if needed. Factors considered are: service performance, availability of alternatives and special mitigation strategies. As part of this evaluation process, resource impacts including in-service hours and vehicles are also tracked to ensure compliance with budget parameters.

Title VI Process for Major Service Changes

Title VI of the 1964 Civil Rights Act states that “No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.” Title VI bars intentional discrimination as well as disparate impact discrimination (i.e., a neutral policy or practice that has a disparate impact on protected groups).

Chapter V part 4 of the Federal Transit Administration Circular 4702.1A requires transit agencies serving large urbanized areas to evaluate significant system-wide service and fare changes at the planning and programming stages to determine whether proposed changes would have a discriminatory impact. For service changes, this requirement applies to “major service changes” only and the recipient should establish guidelines or thresholds for what it considers a “major service change” to be.

AVTA must ensure that there is Title VI consideration whenever there is a change in service that could impact minority communities. AVTA must describe significant service changes relating to hours or days of operation, headways or fares, and provide an analysis of the effect that any proposed changes may have on minority, Limited English Proficiency (LEP), and low-income communities.

All major service changes will be screened to determine if they have a disparate impact on minority and LEP communities, or place a disproportionate burden on low-income populations (target populations). The routing of those services, for which major changes are recommended, will be analyzed using U.S. Census information to determine if the route serves a large share of the target population(s). If it does, then the impacts of the change will be determined, and if they are significant, mitigation may be recommended, alternative services identified, and the change could be withdrawn. If the route does not serve a large share of the target populations, no further review will be required.

Public Hearing Process

After a service change has been developed by AVTA staff, a public hearing will be scheduled identifying the date, time, and location of the hearing. Information pertaining to the service change program will be summarized and presented in an informational report to the AVTA Board of Directors. The public hearing may be held at the conclusion of an outreach program of at least 30 days.

Public Outreach

Prior to the public hearing, a number of public outreach efforts are made so that the greatest number of patrons may respond to the changes at either a public hearing, or by submitting written comments via email, mail, or fax. The public outreach efforts include:

- Distribution of informational brochures on AVTA buses and at information centers, which include route number, route name and route changes.
- Placement of information cards in holders located behind the bus operator

- Public outreach at key transportation centers, bus stops, and on-board vehicles occurs up to one month before the public hearing is held. This effort reaches patrons who may not have time to attend a public hearing, and informs them of other communication methods available for filing public comments.

Public participation in the public hearing process is an important step in assisting staff in developing and approving final service changes. AVTA ensures that the needs of all minorities and LEP populations are considered by using the following procedures at all public participation activities:

- Bilingual staff representation at all outreach events
- Bilingual surveys at outreach events to assess needs and increase minority and LEP engagement
- Partnerships with local social-service and faith-based groups for greater opportunities to engage with the community.

Appendix D | AVTA Limited English Proficiency (LEP) Plan

Introduction

The Limited English Proficiency (LEP) Plan has been prepared to address the Antelope Valley Transit Authority's (AVTA) responsibilities as a recipient of federal financial assistance as they relate to the needs of individuals with limited English language skills. The plan has been prepared in accordance with Title VI of the Civil Rights Act of 1964 and its implementing regulations, which state that no person shall be subjected to discrimination on the basis of race, color or national origin. AVTA will take reasonable steps to ensure that all persons have meaningful access to its programs, service and information, at no additional cost.

Executive Order 13166, titled Improving Access to Services for Persons with Limited English Proficiency, indicates that differing treatment based upon a person's inability to speak, read, write or understand English is a type of national origin discrimination. It directs each federal agency to publish guidance for its respective recipients clarifying their obligation to ensure that such discrimination does not take place. This order applies to all state and local agencies that receive federal funds, including AVTA.

AVTA's goal is to take responsible steps to ensure meaningful access to benefits, services and information for LEP persons in the service area and eliminate language barriers as much as possible. All residents in this service area should be able to understand and utilize the transit services provided.

Plan Summary

AVTA has developed this Limited English Proficiency Plan to help identify reasonable steps for providing language assistance to persons with limited English proficiency (LEP) who wish to access services provided by AVTA. As defined in Executive Order 13166, LEP persons are those who do not speak English as their primary language and have limited ability to read, speak, write or understand English.

This plan outlines how to identify a person who may need language assistance, the ways in which assistance may be provided, staff training that may be required and how to notify LEP persons that assistance is available.

In order to prepare this plan, AVTA undertook the U.S. Department of Transportation's (U.S. DOT) Four-Factor LEP analysis, which considers the following factors:

1. The number and proportion of LEP persons served or encountered in the eligible service population.
2. The frequency with which LEP persons come in contact with AVTA programs, activities or services.
3. The nature and importance of services provided by AVTA to the LEP population.
4. The resources available to AVTA and overall cost to provide LEP assistance.

A summary of the results of AVTA’s Four-Factor analysis is outlined below.

Four-Factor Analysis

1. The number and proportion of LEP persons served or encountered in the eligible service population.

AVTA’s service area covers the Antelope Valley and a small portion of the Santa Clarita Valley. The Antelope Valley consists of the cities of Palmdale and Lancaster with some various unincorporated areas of Los Angeles County. For planning purposes, AVTA reviewed the 2011- 2015 American Community Survey 5-year estimates “Languages Spoken at Home” (B16001) by Census Tract for the AVTA service area (most current data as of this update).

The AVTA service area has a total population of 353,673 over five years of age. In this population, 68.8% speak only English. Of the 31.2% that speak a language other than English, approximately 50,664 residents, or 14.33%, indicated that they speak English “less than very well”. Of the 50,664 residents that would be considered LEP, (speak English “less than very well”) 45,902 or 91% are Spanish speakers.

Other languages spoken within the AVTA service area include Indo-European (Persian and Armenian), Asian and Pacific Island (Tagalog, Chinese, Cambodian, Korean, and Vietnamese) and all other languages (Arabic). The table below illustrates the number of LEP residents by language.

| AVTA Population with Limited English Proficiency | | |
|---|---------------------|--|
| Language | LEP Speakers | LEP Percent of Total Population |
| Spanish | 45,903 | 12.98% |
| Tagalog | 1,407 | 0.40% |
| Vietnamese | 620 | 0.18% |
| Korean | 617 | 0.17% |
| Arabic | 552 | 0.16% |
| Chinese | 525 | 0.15% |
| Armenian | 357 | 0.10% |
| Persian | 350 | 0.10% |
| Mon-Khmer/Cambodian | 333 | 0.09% |
| Total | 50,664 | 14.33% |

Source: 2015 ACS 5-year estimates

Based on the demographics outlined above, the primary focus of AVTA efforts is on the Spanish speaking segment of the LEP population.

2. The frequency with which LEP persons come in contact with AVTA programs, activities or services.

AVTA serves LEP persons daily via our fixed route and dial-a-ride services. The majority of our LEP persons are Spanish speaking. To date, the most frequent contact between LEP persons and our transit staff is with bus operators. To try to have more Spanish-language assistance available on our buses, we actively recruit for bilingual operators on our website and recruitment flyers. The second highest form of contact is through our customer service representatives, of which 60% speak Spanish fluently and have the ability to translate. The local language resources at AVTA had been sufficient to meet the needs of LEP persons. At this time, we do not track which calls or in-person visits are from LEP individuals. However, our call center phone system allows patrons to request to speak with a Spanish-speaking individual.

- LEP Attachment 1 provides the full 2010-2015 American Community Survey “Languages Spoken at Home” (S16001) by the Census Tract level of the service area.
- LEP Attachment 2 illustrates the service area and route maps with Spanish language densities.

3. The nature and importance of services provided by AVTA to the LEP population.

AVTA provides important transit services to the public through its fixed route and Dial-a-Ride services. AVTA is the only major public transportation provider in the Antelope Valley and provides commuter bus service between the Antelope Valley and the Los Angeles basin (Century City, San Fernando and Downtown Los Angeles). AVTA also provides service to Santa Clarita with the Route 790, dubbed the North County TRANSporter. AVTA provides residents, including LEP persons, transportation services for the purpose of commuting to work, shopping, recreational needs, personal errands, school and other services that are frequently accessed by the public.

4. The resources available to AVTA and overall cost to provide LEP assistance.

Providing translation services to allow LEP populations to participate in the development of AVTA’s core planning and investment policies is a routine practice for the Authority. AVTA’s customer service call center, which processes customer comments by phone, mail, email, and in-person, currently benefits from having staff members who speak, read, and write Spanish. Some of our Antelope Valley Transportation Services (AVTS) reservations specialists (who handle the Dial-A-Ride call center) also speak Spanish.

Documents translated into Spanish include rider alerts posted on our buses and at bus stops; fare and/or service change information; and current fare and pass information. AVTA currently provides a Spanish translator at all community events and has developed Spanish language marketing campaigns promoting the benefits of public transportation via Spanish newspapers, television and radio ads. AVTA’s website also provides a one-button/click solution for translation to Spanish. In addition, AVTA has developed 15 English and Spanish Travel Training videos as part of its mobility management program.

Based on the Four-Factor analysis, AVTA developed its LEP Plan as outlined in the following section.

Limited English Proficiency (LEP) Plan Outline

How AVTA and staff may identify an LEP person who needs language assistance:

1. Examine records to see if requests for language assistance were received in the past, either at meetings or over the phone, to determine whether language assistance might be needed at future events or meetings.
2. Have a bilingual staff person greet participants as they arrive to an AVTA sponsored events. By informally engaging participants in conversation, it is possible to gauge each attendee's ability to speak and understand English.
3. Consistently monitor the number of people that access the transit website in Spanish. In addition, continue to update the site wherever needed.
4. If a vehicle operator encounters a customer in need of assistance in a language other than English, vehicle operators are instructed to try to obtain their contact information and give this information to their manager for follow-up.
5. Automated phone tree is available in English and in Spanish. Callers are given the opportunity to speak directly to a Spanish-speaking staff person.

Language Assistance Measures

There are numerous language assistance measures available to LEP persons, including both oral and written language services. There are also various ways in which AVTA staff responds to LEP persons, whether in person, by telephone or in writing.

- Networking with local human service organizations that provide services to LEP individuals and seek opportunities to provide information on programs and services.
- Providing a bilingual staff member at all community events and public hearings.
- Continuing to survey bus operators, dispatchers and customer service staff, on their experience concerning any contacts with LEP persons during the previous year;
- Continuing to post the AVTA Title VI notice and LEP Plan on the agency website, www.avta.com;
- Continuing Travel Training to LEP persons with the assistance of bilingual staff;
- Including language "Spanish a plus" on bus operator and customer service staff recruitment flyers and onboard recruitment posters;
- When an interpreter is needed, for a language other than Spanish, in person or on the telephone, staff will attempt to access language assistance services from a professional translation service within the given time notice.

Staff Training

The following training is provided to all AVTA staff:

1. Information on the AVTA's Title VI procedures and LEP responsibilities
2. Documentation of language assistance requests
3. How to handle a potential Title VI/LEP complaint

All contractors or subcontractors performing work AVTA will be required to follow the Title VI and LEP guidelines.

Outreach Techniques

When staff prepares a document or schedules a meeting for which the target audience is expected to include LEP individuals, documents, meeting notices, flyers and agendas will also be printed in the alternative language based on the known LEP population (Spanish). Interpreters will also be available as needed. Other techniques include bilingual staff representation at all outreach events, bilingual surveys at outreach events to assess needs and increase minority/LEP engagement, and partnerships with local social-service and faith-based groups for greater opportunities to engage with the community.

Monitoring and Updating the LEP Plan

AVTA will update the LEP plan as required by the U.S. DOT. At minimum, the plan will be reviewed and updated every three years or when it is clear that higher concentrations of LEP individuals are present in the AVTA service area.

Updates will include the following:

- The number of documented LEP person contacts encountered annually
- How the needs of LEP persons have been addressed
- Determination of the current LEP population in the service area
- Determination as to whether the need for translation services has changed
- Determine whether local language assistance programs have been effective and sufficient to meet the need
- Determine whether AVTA's financial resources are sufficient to fund language assistance resources needed
- Determine whether AVTA has fully complied with the goals of this LEP plan
- Determine whether complaints have been received concerning AVTA's failure to meet the needs of LEP individuals

Dissemination of the Antelope Valley Transit Authority LEP Plan

A link to the AVTA LEP Plan and the Title VI Notice is included on the AVTA website at www.avta.com. Any person or agency with internet access will be able to access and download the plan. Alternatively, any person or agency may request a copy of the plan via telephone, fax, and mail or in person and shall be provided with a copy of the plan at no cost. LEP individuals may request translated copies of the plan, which AVTA will provide.

Questions or comments regarding the LEP Plan may be submitted to:

Title VI Officer

42210 6th Street West Lancaster, CA. 93534 Phone: (661) 729-2203

Fax: (661) 726-2615

Email: titlevi@avta.com

Attachment 1: AVTA Demographics Study
Limited English Proficiency Table

| Language Spoken at Home and Ability to Speak English | |
|--|-------|
| Language | Total |
| Spanish or Spanish Creole | 95421 |
| Speak English "very well" | 49518 |
| Speak English less than "very well" | 45903 |
| Asian | 8673 |
| Speak English "very well" | 4788 |
| Speak English less than "very well" | 3885 |
| Indo-European Languages | 4263 |
| Speak English "very well" | 2679 |
| Speak English less than "very well" | 1584 |
| All Other Languages | 1882 |
| Speak English "very well" | 1233 |
| Speak English less than "very well" | 649 |

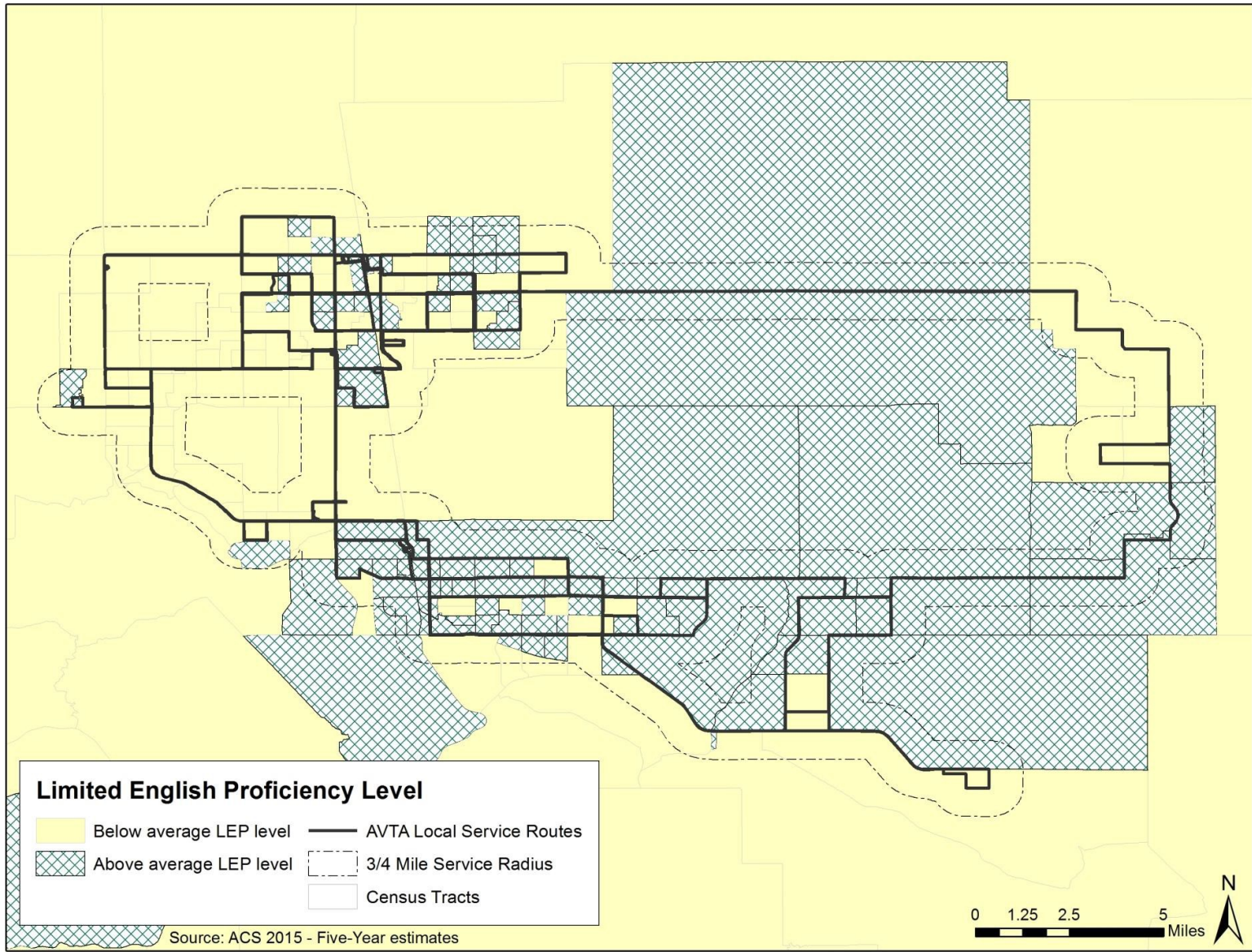
Source: 2015 ACS 5-year estimates

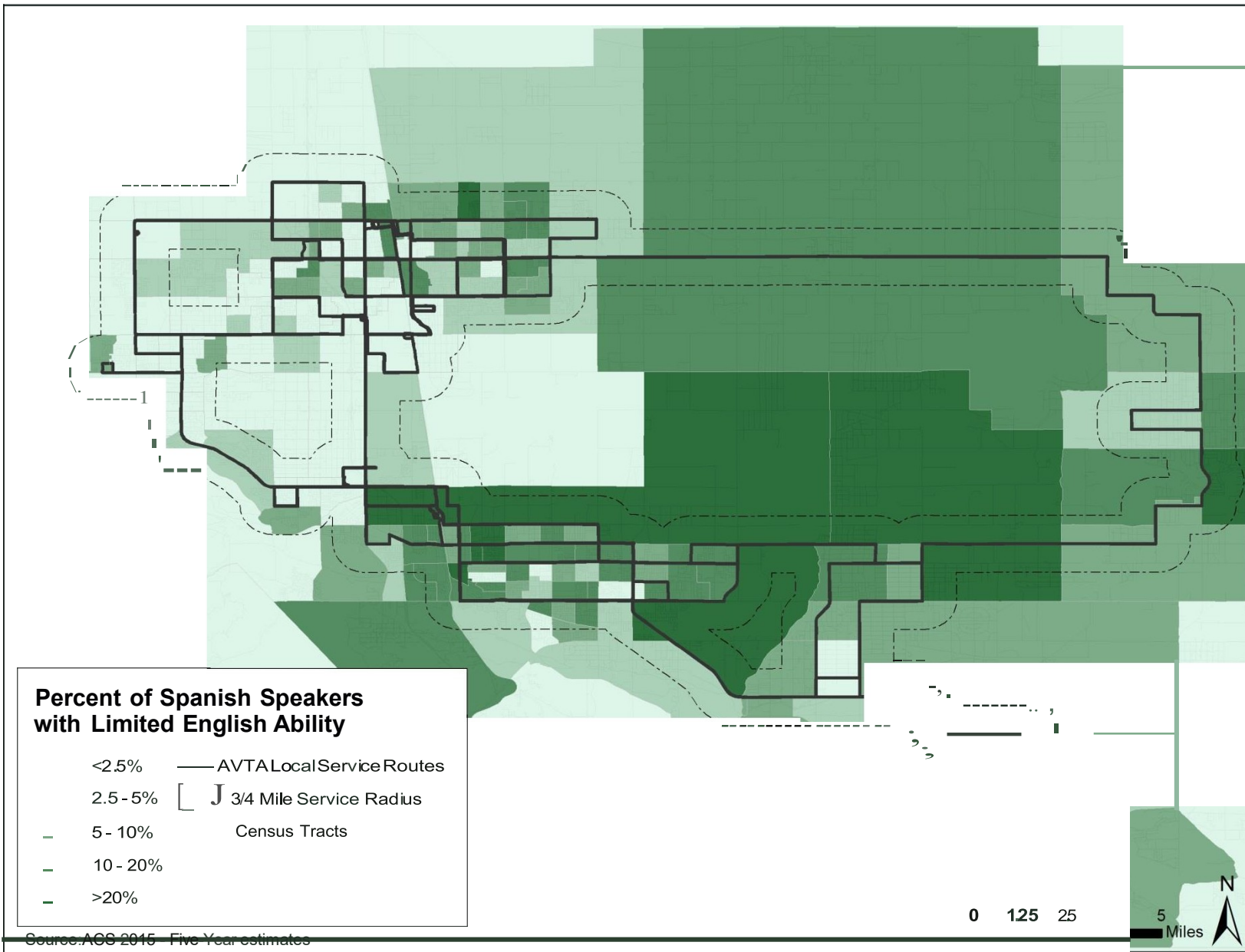
| AVTA Population with Limited English Proficiency | | |
|--|---------------|---------------------------------|
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| Tagalog | 1,407 | 0.40% |
| Vietnamese | 620 | 0.18% |
| Korean | 617 | 0.17% |
| Arabic | 552 | 0.16% |
| Chinese | 525 | 0.15% |
| Armenian | 357 | 0.10% |
| Persian | 350 | 0.10% |
| Mon-Khmer/Cambodian | 333 | 0.09% |
| Total | 50,664 | 14.33% |

Source: 2015 ACS 5-year estimates

| Language Spoken at Home | | Total | Language Spoken at Home | | Total |
|----------------------------------|-------------------------------------|-------|--------------------------------|-------------------------------------|-------|
| Spanish or Spanish Creole: | | 95421 | Other Slavic languages: | | 75 |
| | Speak English "very well" | 49518 | | Speak English "very well" | 65 |
| | Speak English less than "very well" | 45903 | | Speak English less than "very well" | 10 |
| French: | | 518 | Armenian: | | 722 |
| | Speak English "very well" | 371 | | Speak English "very well" | 365 |
| | Speak English less than "very well" | 147 | | Speak English less than "very well" | 357 |
| French Creole: | | 29 | Persian: | | 544 |
| | Speak English "very well" | 22 | | Speak English "very well" | 194 |
| | Speak English less than "very well" | 7 | | Speak English less than "very well" | 350 |
| Italian: | | 172 | Gujarati: | | 0 |
| | Speak English "very well" | 138 | | Speak English "very well" | 0 |
| | Speak English less than "very well" | 34 | | Speak English less than "very well" | 0 |
| Portuguese or Portuguese Creole: | | 92 | Hindi: | | 75 |
| | Speak English "very well" | 76 | | Speak English "very well" | 45 |
| | Speak English less than "very well" | 16 | | Speak English less than "very well" | 30 |
| German: | | 482 | Urdu: | | 48 |
| | Speak English "very well" | 389 | | Speak English "very well" | 38 |
| | Speak English less than "very well" | 93 | | Speak English less than "very well" | 10 |
| Yiddish: | | 4 | Other Indic languages: | | 471 |
| | Speak English "very well" | 4 | | Speak English "very well" | 199 |
| | Speak English less than "very well" | 0 | | Speak English less than "very well" | 272 |
| Other West Germanic languages: | | 139 | Other Indo-European languages: | | 372 |
| | Speak English "very well" | 102 | | Speak English "very well" | 325 |
| | Speak English less than "very well" | 37 | | Speak English less than "very well" | 47 |
| Scandinavian languages: | | 84 | Chinese: | | 928 |
| | Speak English "very well" | 72 | | Speak English "very well" | 403 |
| | Speak English less than "very well" | 12 | | Speak English less than "very well" | 525 |
| Greek: | | 93 | Japanese: | | 305 |
| | Speak English "very well" | 46 | | Speak English "very well" | 176 |
| | Speak English less than "very well" | 47 | | Speak English less than "very well" | 129 |
| Russian: | | 223 | Korean: | | 956 |
| | Speak English "very well" | 152 | | Speak English "very well" | 339 |
| | Speak English less than "very well" | 71 | | Speak English less than "very well" | 617 |
| Polish: | | 89 | Mon-Khmer, Cambodian: | | 556 |
| | Speak English "very well" | 58 | | Speak English "very well" | 223 |
| | Speak English less than "very well" | 31 | | Speak English less than "very well" | 333 |
| Serbo-Croatian: | | 31 | Hmong: | | 0 |
| | Speak English "very well" | 18 | | Speak English "very well" | 0 |
| | Speak English less than "very well" | 13 | | Speak English less than "very well" | 0 |

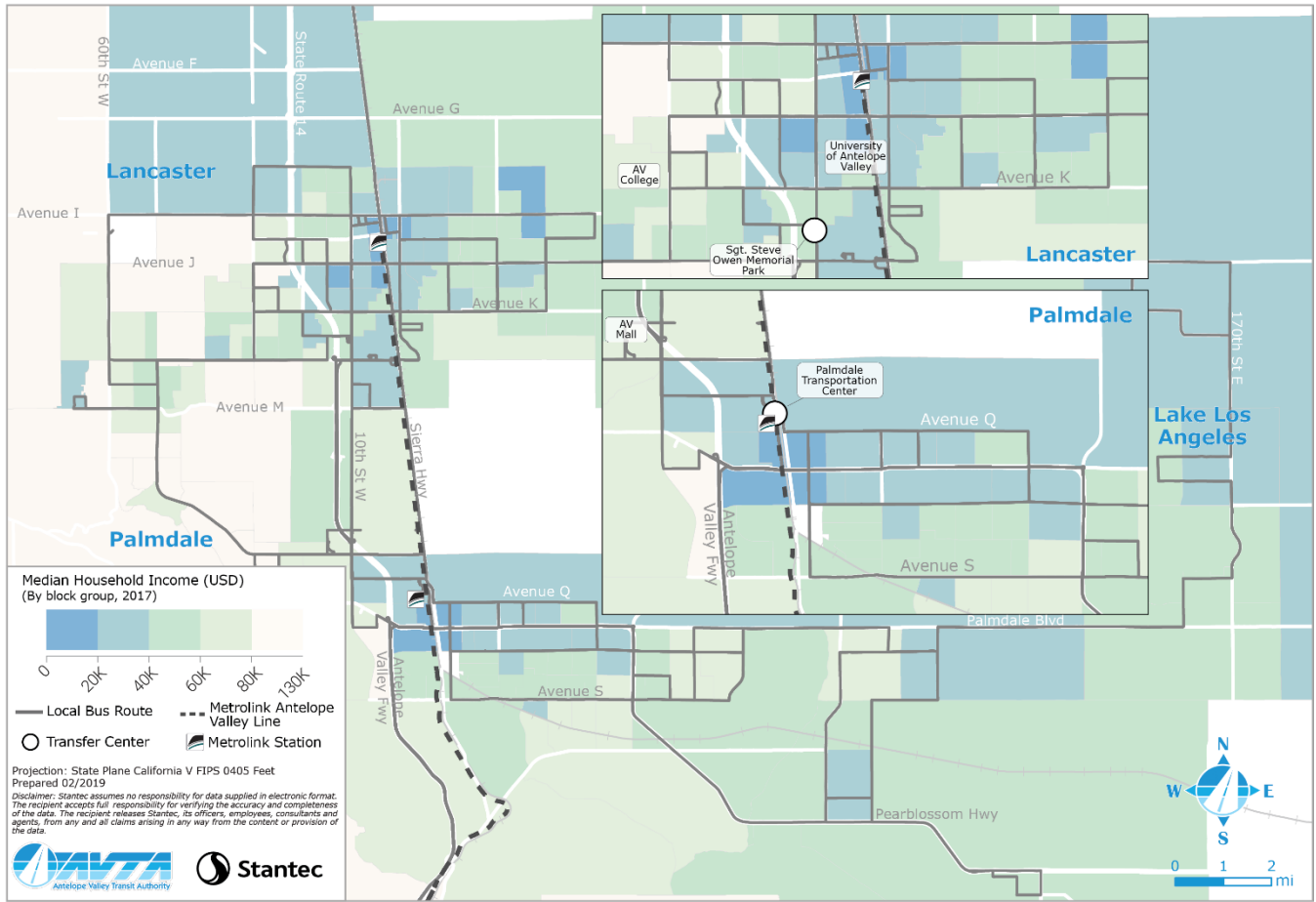
| Language Spoken at Home | | Total | Language Spoken at Home | | Total |
|---------------------------------|-------------------------------------|-------|--|-------------------------------------|-------|
| Thai: | | 195 | Other Native North American languages: | | 17 |
| | Speak English "very well" | 150 | | Speak English "very well" | 17 |
| | Speak English less than "very well" | 45 | | Speak English less than "very well" | 0 |
| Laotian: | | 53 | Hungarian: | | 17 |
| | Speak English "very well" | 26 | | Speak English "very well" | 9 |
| | Speak English less than "very well" | 27 | | Speak English less than "very well" | 8 |
| Vietnamese: | | 945 | Arabic: | | 1104 |
| | Speak English "very well" | 325 | | Speak English "very well" | 552 |
| | Speak English less than "very well" | 620 | | Speak English less than "very well" | 552 |
| Other Asian languages: | | 283 | Hebrew: | | 20 |
| | Speak English "very well" | 185 | | Speak English "very well" | 10 |
| | Speak English less than "very well" | 98 | | Speak English less than "very well" | 10 |
| Tagalog: | | 4109 | African languages: | | 262 |
| | Speak English "very well" | 2702 | | Speak English "very well" | 226 |
| | Speak English less than "very well" | 1407 | | Speak English less than "very well" | 36 |
| Other Pacific Island languages: | | 343 | Other and unspecified languages: | | 445 |
| | Speak English "very well" | 259 | | Speak English "very well" | 402 |
| | Speak English less than "very well" | 84 | | Speak English less than "very well" | 43 |
| Navajo: | | 17 | | | |
| | Speak English "very well" | 17 | | | |
| | Speak English less than "very well" | 0 | | | |



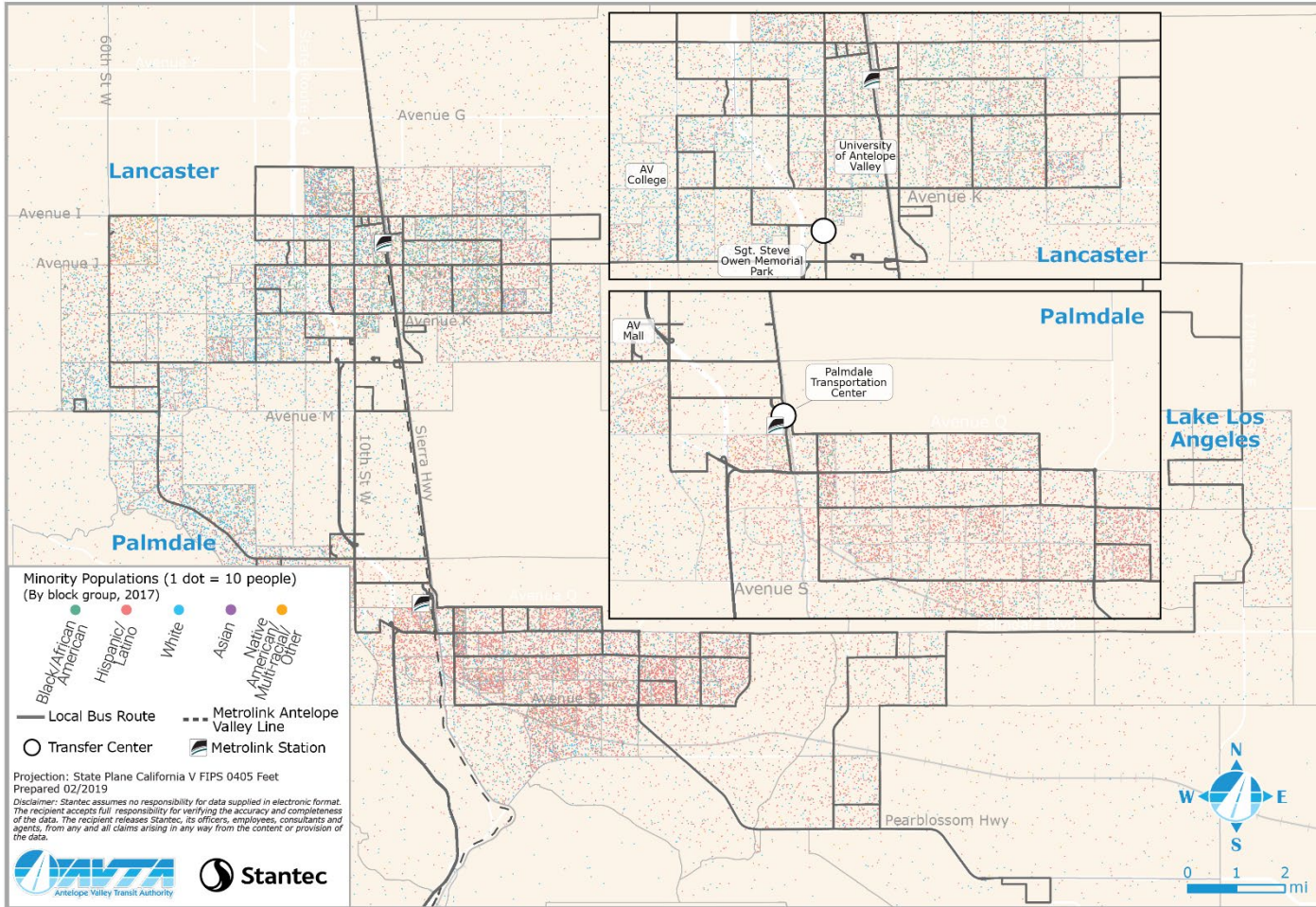


Appendix E | AVTA Low Income and Minority Levels

Antelope Valley Transportation Authority Median Household Income



Antelope Valley Transportation Authority Minority Populations



Appendix F | AVTA Demographics of Service Area Maps

