



**Regular Meeting of the Board of Directors**

**Tuesday, June 27, 2023**

**10:00 a.m.**

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

**AGENDA**

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

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

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

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

**CALL TO ORDER**

**PLEDGE OF ALLEGIANCE**

**ROLL CALL:**

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

**APPROVAL OF AGENDA**

**PUBLIC BUSINESS– AGENDIZED AND NON-AGENDIZED ITEMS:**

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

Community Room lobby, be completed and provided to the Clerk of the Board. This will then become public information. Please note that you do not have to complete this form or state your name to speak.

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

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

- SRP 1 LEGISLATIVE REPORT FROM CONGRESSMAN MIKE GARCIA'S OFFICE – JACQUELINE OWENS
- SRP 2 LEGISLATIVE REPORT FROM SENATOR SCOTT WILK'S OFFICE – SHAWN CANNON
- SRP 3 LEGISLATIVE REPORT FROM ASSEMBLYMAN TOM LACKEY'S OFFICE – PAMELA BALCH
- SRP 4 LEGISLATIVE REPORT FROM ASSEMBLYMAN JUAN CARRILLO'S OFFICE – JUAN BLANCO
- SRP 5 PRESENTATION TO MAYRA DE LOS SANTOS, ACCOUNTANT I, FOR 15 YEARS OF OUTSTANDING AND DEDICATED SERVICE – JUDY VACCARO-FRY
- SRP 6 PRESENTATION TO MV TRANSPORTATION EMPLOYEE AND OPERATOR OF THE MONTH –MIKE SHERRILL
- SRP 7 PRESENTATION TO AV TRANSPORTATION SERVICES EMPLOYEE OF THE MONTH – ART MINASYAN
- SRP 8 MICROTRANSIT AND DIAL-A-RIDE KEY PERFORMANCE INDICATORS (KPI) REPORT – ART MINASYAN
- SRP 9 LEGISLATIVE REPORT AND FINANCE UPDATE FOR JUNE 2023 – JUDY VACCARO-FRY
- SRP 10 MAINTENANCE KPI REPORT – JOSEPH SANCHEZ

SRP 11 OPERATIONS KPI REPORT – MIKE SHERRILL

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

CC 1 BOARD OF DIRECTORS MEETING MINUTES OF MAY 23, 2023 – KAREN DARR

*Recommendation: Approve the Board of Directors Regular Meeting Minutes of May 23, 2023.*

CC 2 FINANCIAL REPORT FOR MAY 2023 – VIANNEY MCLAUGHLIN

*Recommendation: Receive and file the Financial Report for May 2023.*

CC 3 ANNUAL REVIEW AND UPDATE OF THE PUBLIC TRANSPORTATION AGENCY SAFETY PLAN – ESTEBAN RODRIGUEZ

*Recommendations:*

- 1. Readopt the updated Public Transportation Agency Safety Plan (PTASP) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements for Fiscal Year 2023/2024 (FY 2024).*
- 2. Adopt Resolution No. 2023-008, adopting the updated PTASP for FY 2024.*

*Interested Party: AVTA*

CC 4 DESTRUCTION OF AVTA RECORDS – PAULINA HURLEY

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

*Interested Party: AVTA*

CC 5 APPROVE MASTER CONTRACT #2024-02 AND FUNDING AUTHORIZATION LETTER WITH LOS ANGELES COUNTY SHERIFF’S DEPARTMENT (LASD) FOR TRANSIT LAW ENFORCEMENT SERVICES – CECIL FOUST

*Recommendations: Authorize the Executive Director/CEO to execute two documents for LASD for Transit Law Enforcement Services:*

- 1. Master Contract No. 2024-02, for five term starting July 1, 2023, through June 30, 2028; and*
- 2. Funding Authorization Letter in the amount of \$160,000 for Fiscal Year 2023/2024.*

*Interested Party: Los Angeles County Sheriff’s Department*

**CC 6 AMEND AUTHORITY’S CLASSIFICATION AND SALARY SCHEDULE – MARTIN TOMPKINS**

*Recommendation: Approve amending the Authority’s Classification and Salary Schedule to reclassify the two current Operations Analyst positions to a Maintenance Compliance Analyst and an Operations and Contract Compliance Manager.*

**NEW BUSINESS (NB):**

**NB 1 FY 2023/2024 PROPOSED BUDGET – JUDY VACCARO-FRY**

*Recommendation: Approve the FY 2024 Proposed Budget.*

**NB 2 ADOPTION OF RESOLUTIONS AND ORDINANCE FOR NEW PROCUREMENT POLICY – ALLISON BURNS**

*Recommendations:*

- 1) Establish a purchasing Ordinance in accordance with the Uniform Public Construction Cost Accounting Act (Section 22000, et seq. of the Public Contract Code) (Ordinance No. 001).*
- 2) Adopt Resolution No. 2023-005, that the Antelope Valley Transit Authority hereby elects under California Public Contract Code Section 22030 to become subject to the uniform public construction cost accounting procedures set forth in the Uniform Public Construction Cost Accounting Act and to the California Uniform Public Construction Cost Accounting Commission’s policies and procedures manual and cost accounting review procedures, as they may each from time to time be amended.*
- 3) Adopt Resolution No. 2023-006, adopting the Procurement Policy.*
- 4) Adopt Resolution No. 2023-007, amending the Bylaws to accommodate the limits allowed by the Executive Director as stated in the Procurement Policy.*

*Interested Party: AVTA*

**CLOSED SESSION (CS):**

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

**CS 1** Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(2)  
Significant exposure to litigation (two potential cases)

**CS 2** Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(4)  
Consideration of whether to initiate litigation (one potential case)

**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 25, 2023, at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6<sup>th</sup> Street West, Lancaster, CA.

**The agenda was posted by 6:00 p.m. on June 23, 2023, at the entrance to the Antelope Valley Transit Authority, 42210 6<sup>th</sup> 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 6<sup>th</sup> Street West, Lancaster or by contacting the Clerk of the Board at (661) 729-2206.

# MAY

## FY 2023 MONTHLY OPERATIONS KEY PERFORMANCE INDICATORS

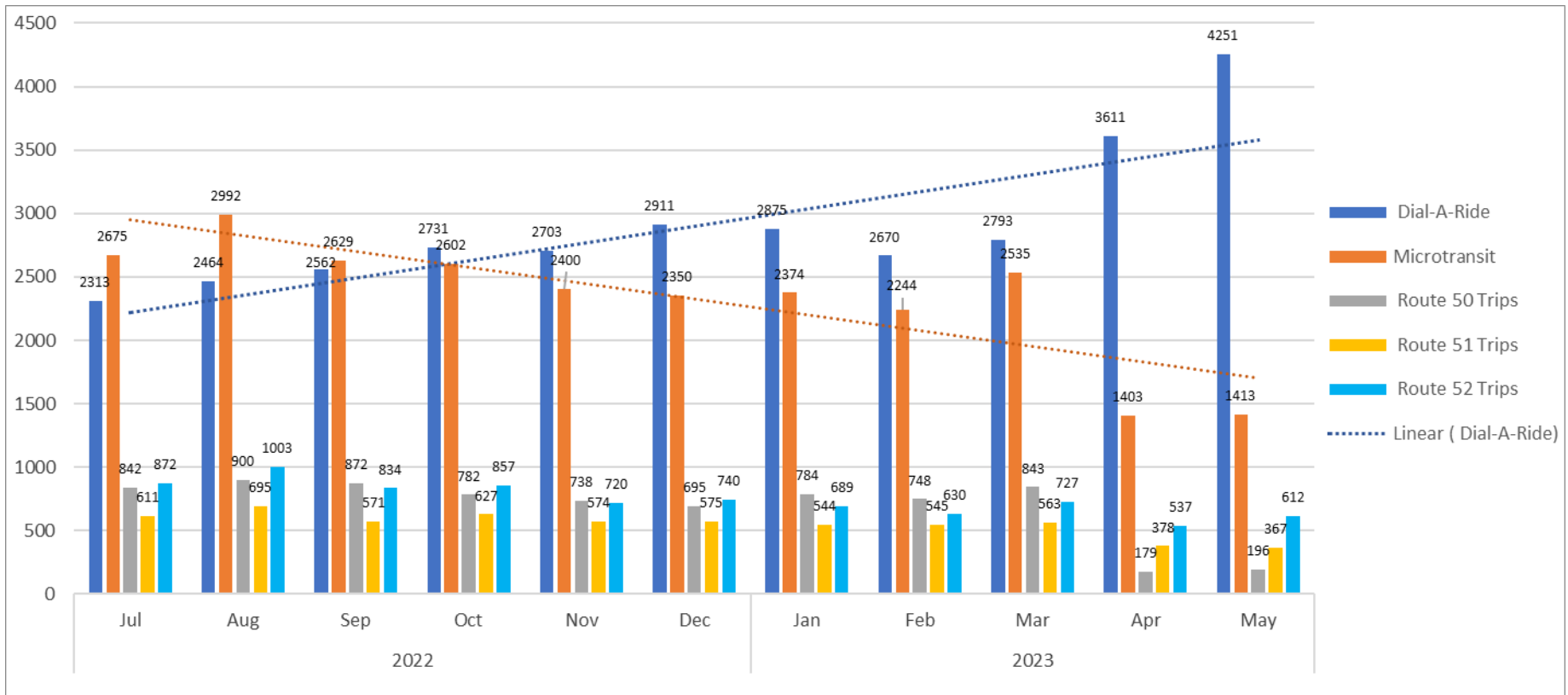
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Presentation to the  
Board of Directors  
June 27, 2023

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# PASSENGER RIDERSHIP DATA



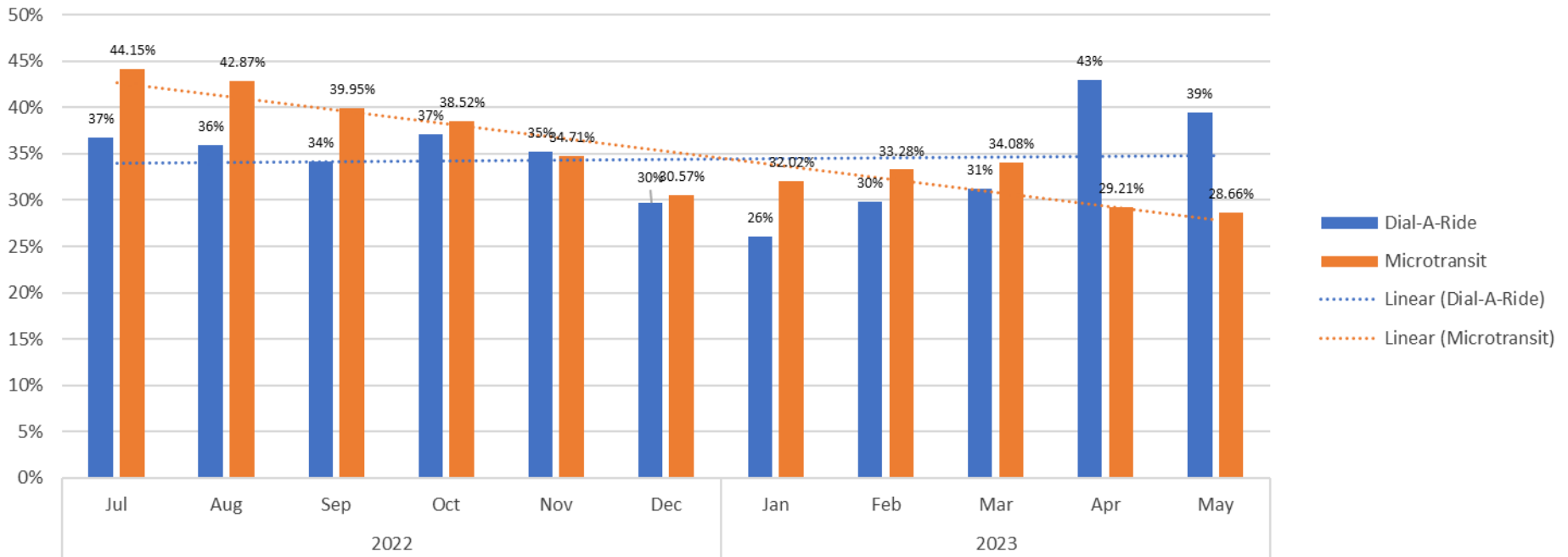
May Ride Accommodation

91.91 %

May Total Rides

4,880

# AVERAGE SHARED RIDE PERCENTAGE

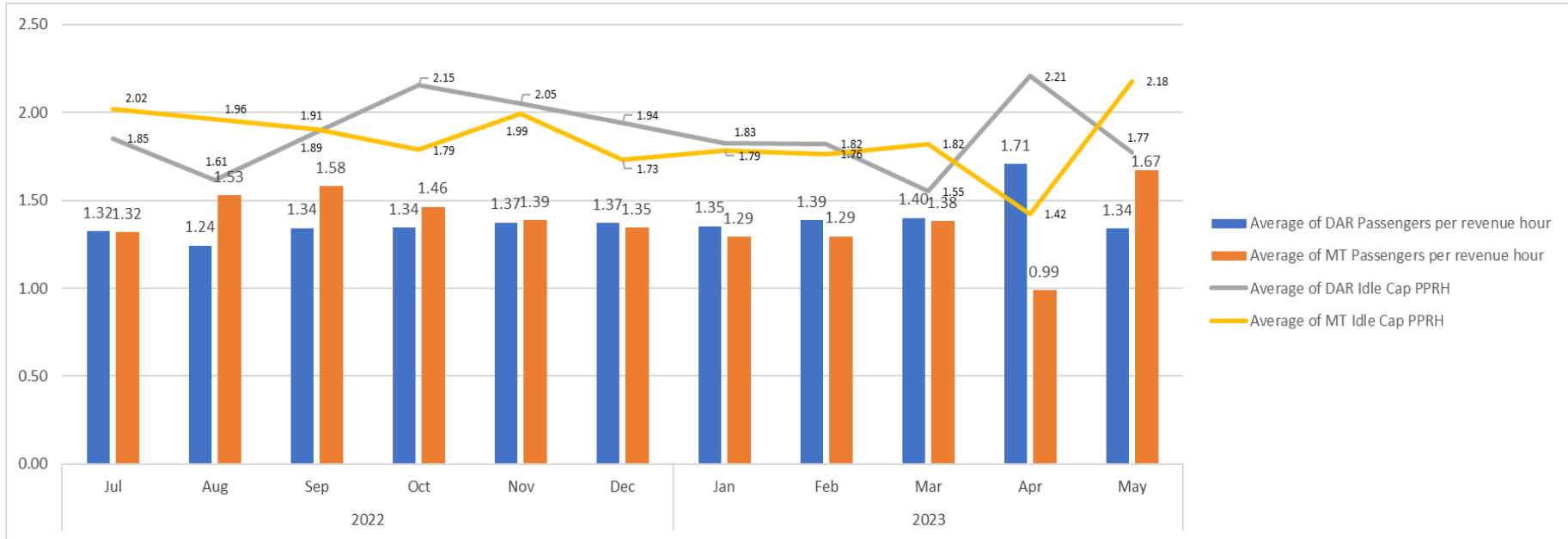


May Daily Average Shared Rides  
63.56

May Daily Average Rides  
162.67



# PASSENGERS PER REVENUE HOUR



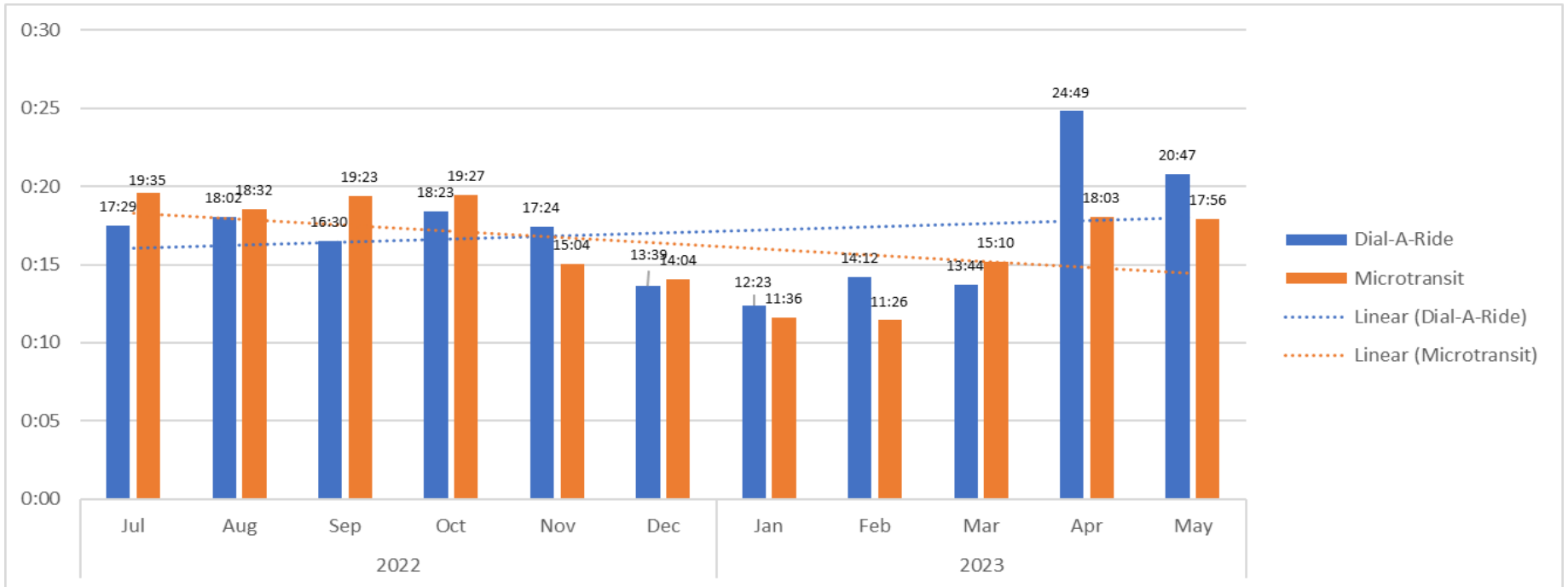
May Average PPRH (Billable)

1.5

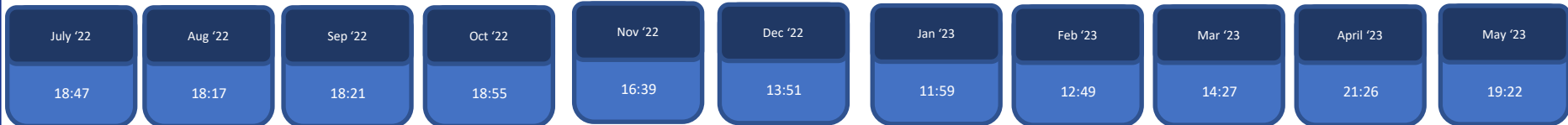
May Average PPRH (NTD Hours)

1.98

# PASSENGER WAIT TIME



## MONTHLY AVERAGE WAIT TIME

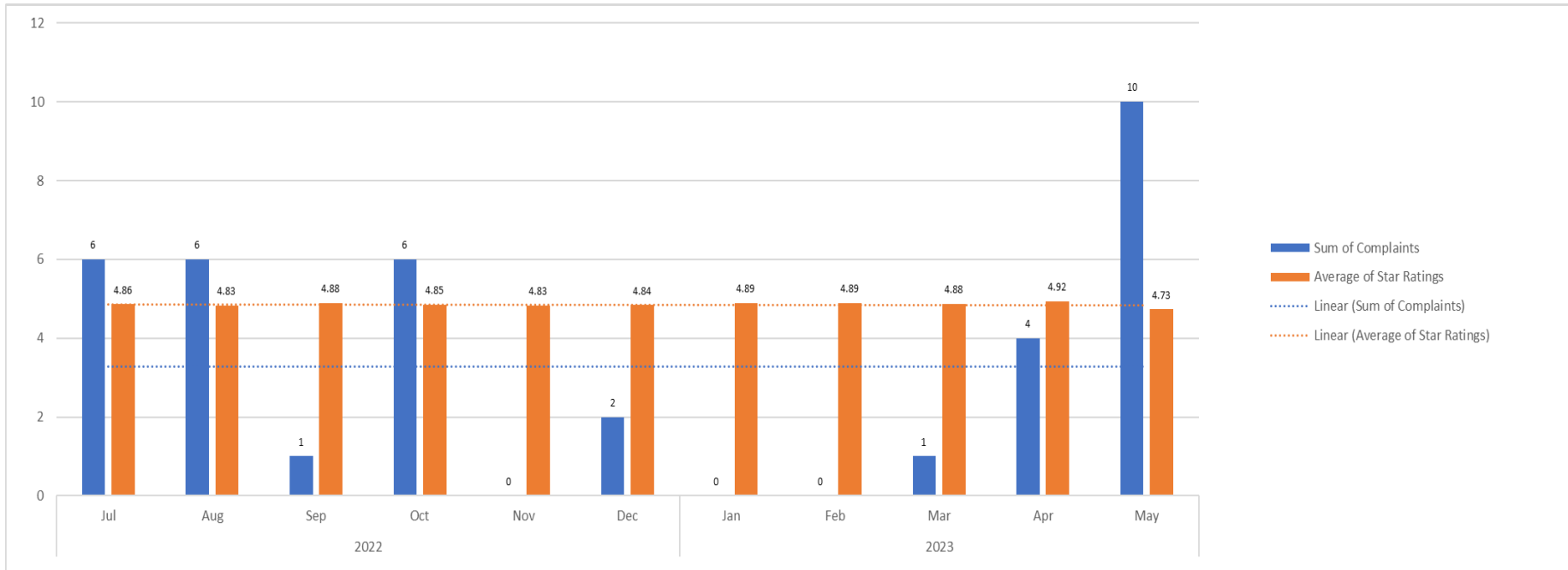


# ACCIDENTS



May Accidents  
0

# PASSENGER FEEDBACK



May Complaints  
10

May % Complaints  
0.2%

May Average Ratings  
4.73

# MAY

## FY 2023 MONTHLY OPERATIONS KEY PERFORMANCE INDICATORS

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Thank You!

Questions?

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# FY 2023 Monthly Fleet Maintenance Key Performance Indicators

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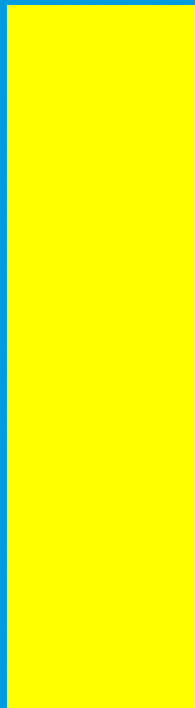
Presentation to the Board of Directors

June 27, 2023



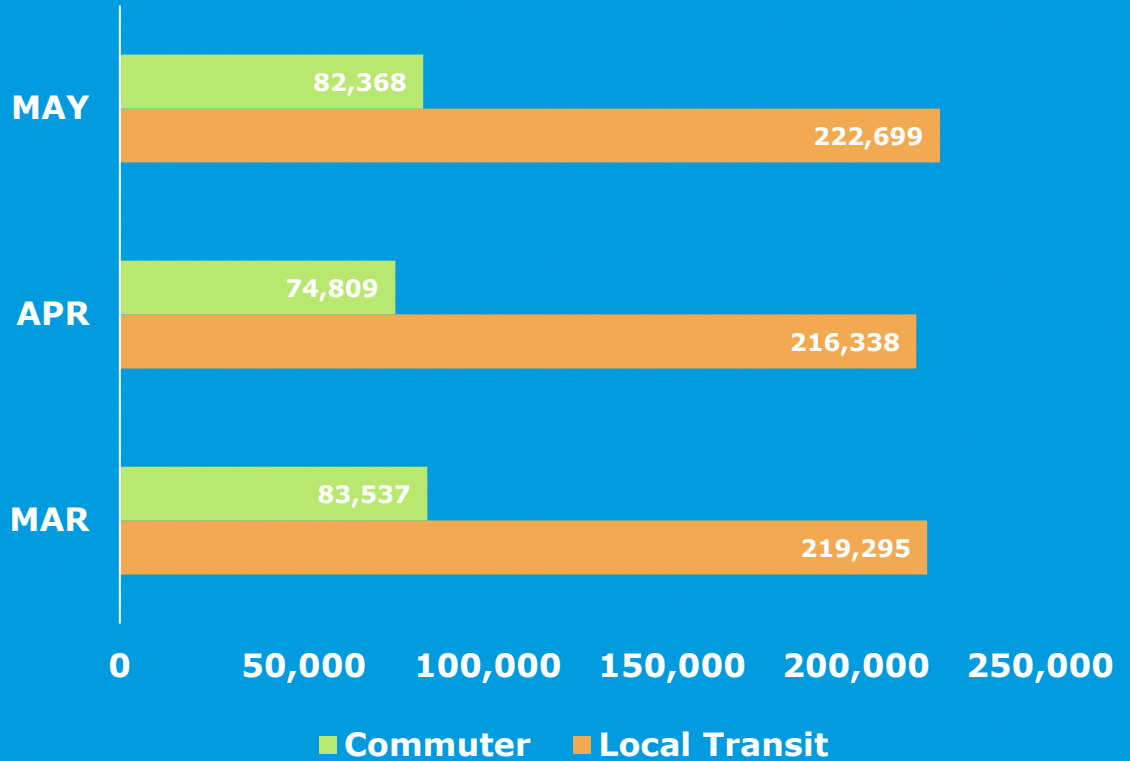
# ELECTRIC MILESTONES

11,768,421



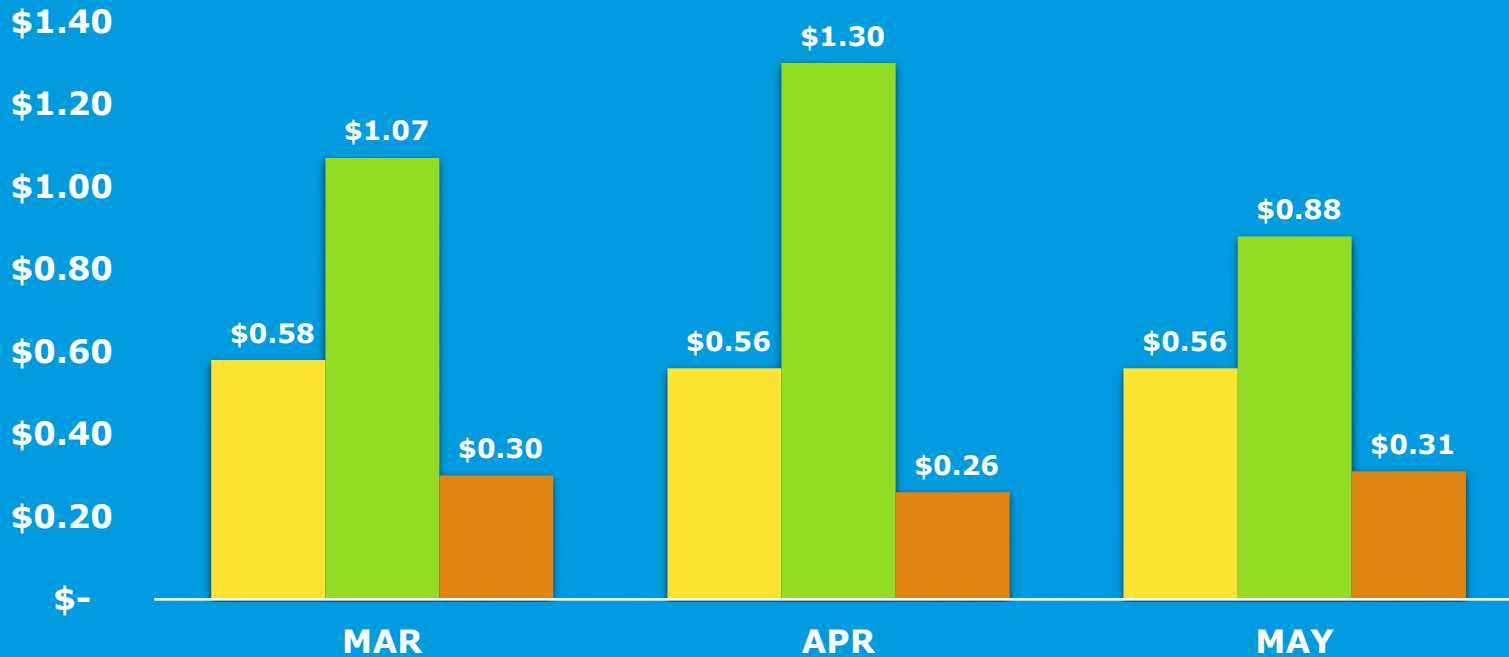
■ 2018-2023

Cumulative Tally



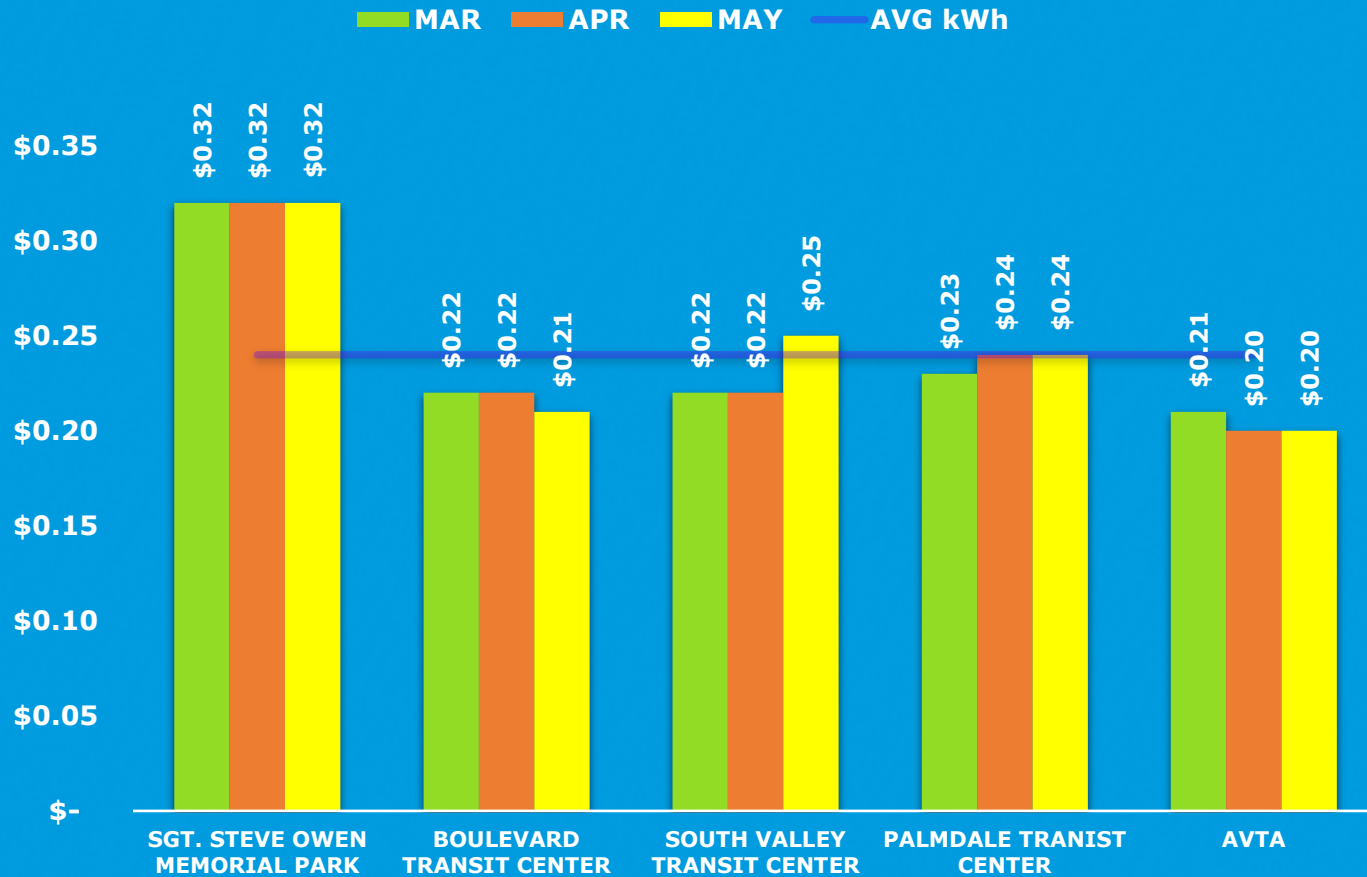
# MAINTENANCE COST PER MILE BY FLEET

■ 40'BYD ■ 60'BYD ■ 45'MCI

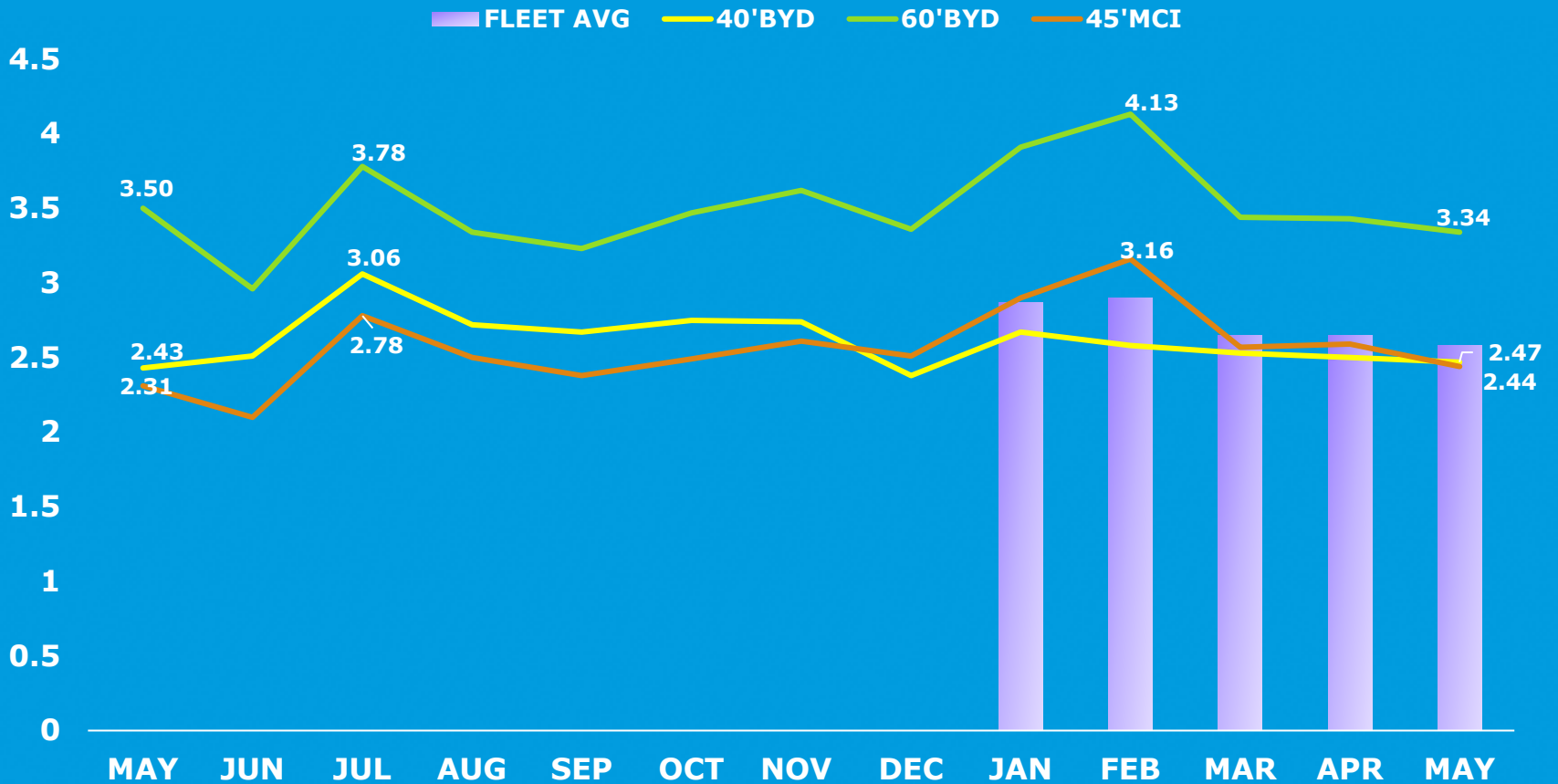




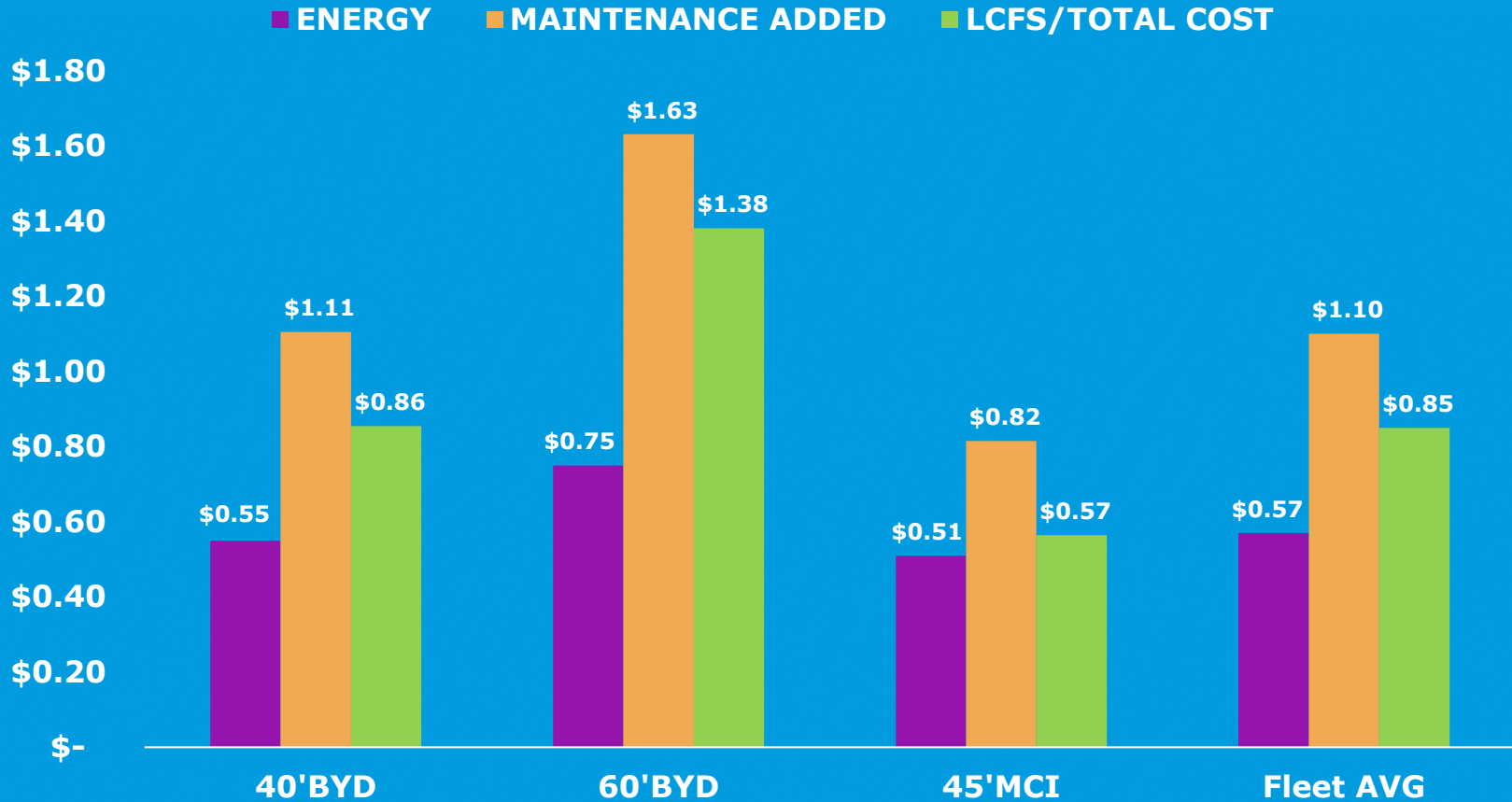
# ENERGY DEPOTS COST PER KWH



# AVERAGE kWh CONSUMPTION PER MILE

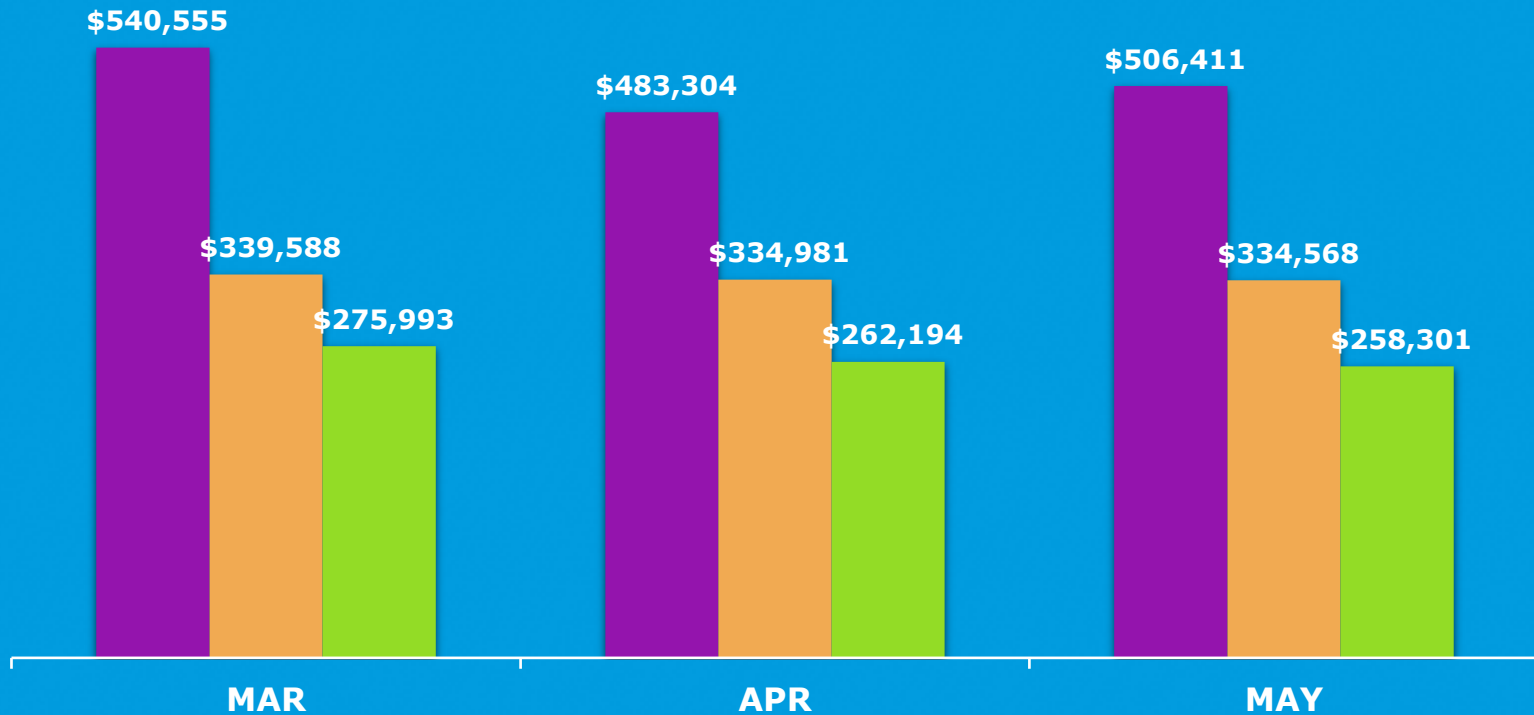


# FLEET COSTS PER MILE



# COMBINED FLEET COSTS ENERGY AND MAINTENANCE

■ Diesel ■ Combined Costs ■ LCFS Applied



# Discussion/Questions?



# FY 2023 Monthly Operations Key Performance Indicators

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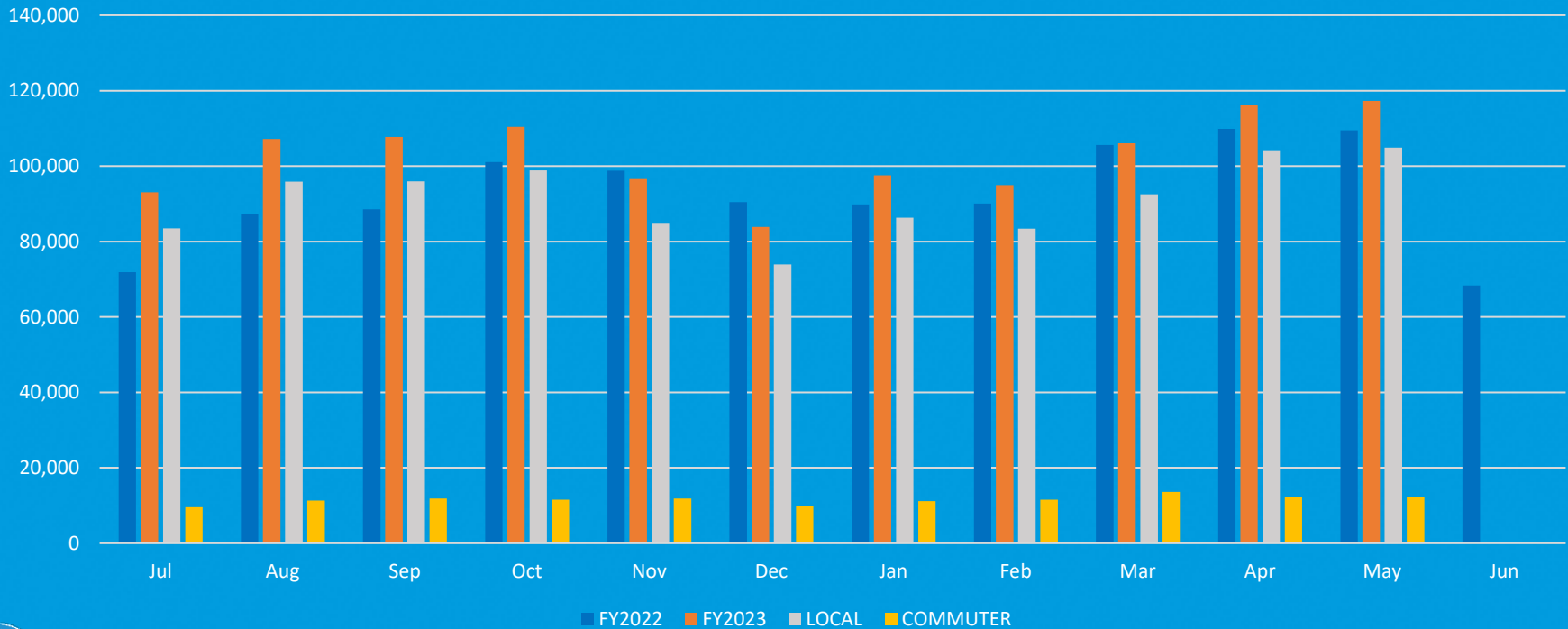
Presentation to the Board of Directors

June 27, 2023

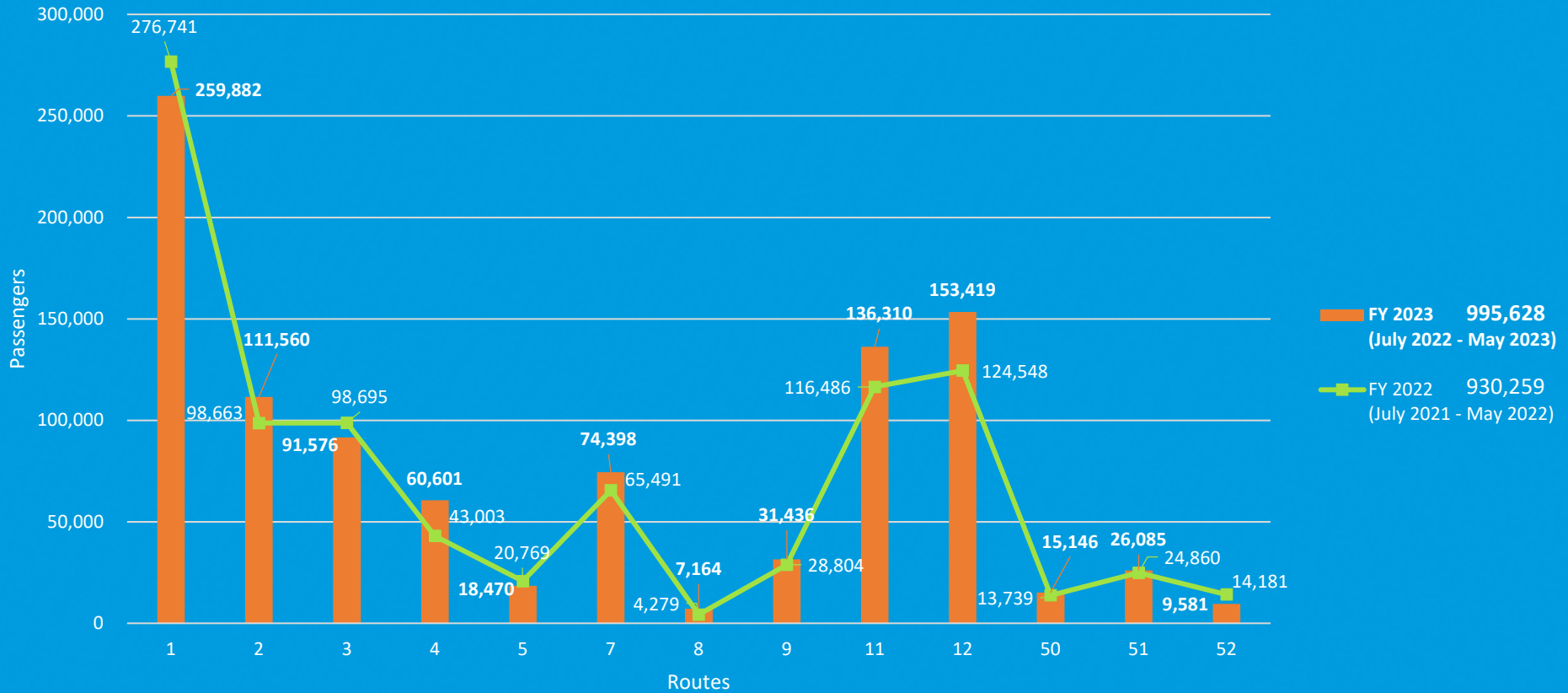


# MONTHLY BOARDING ACTIVITY

	May 2023 FY 2023	April 2023 FY 2023
System	117,277	116,241
Local	104,944	103,997
Commuter	12,333	12,244

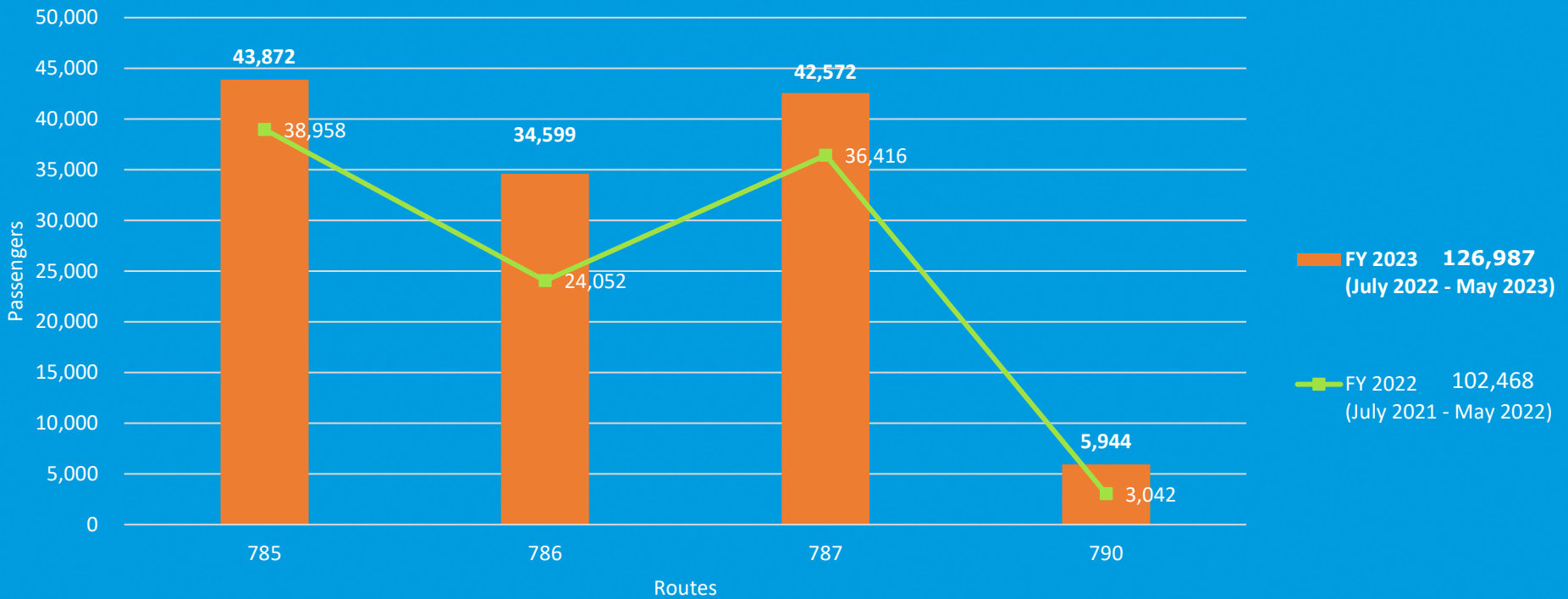


# ANNUAL RIDERSHIP LOCAL ROUTES





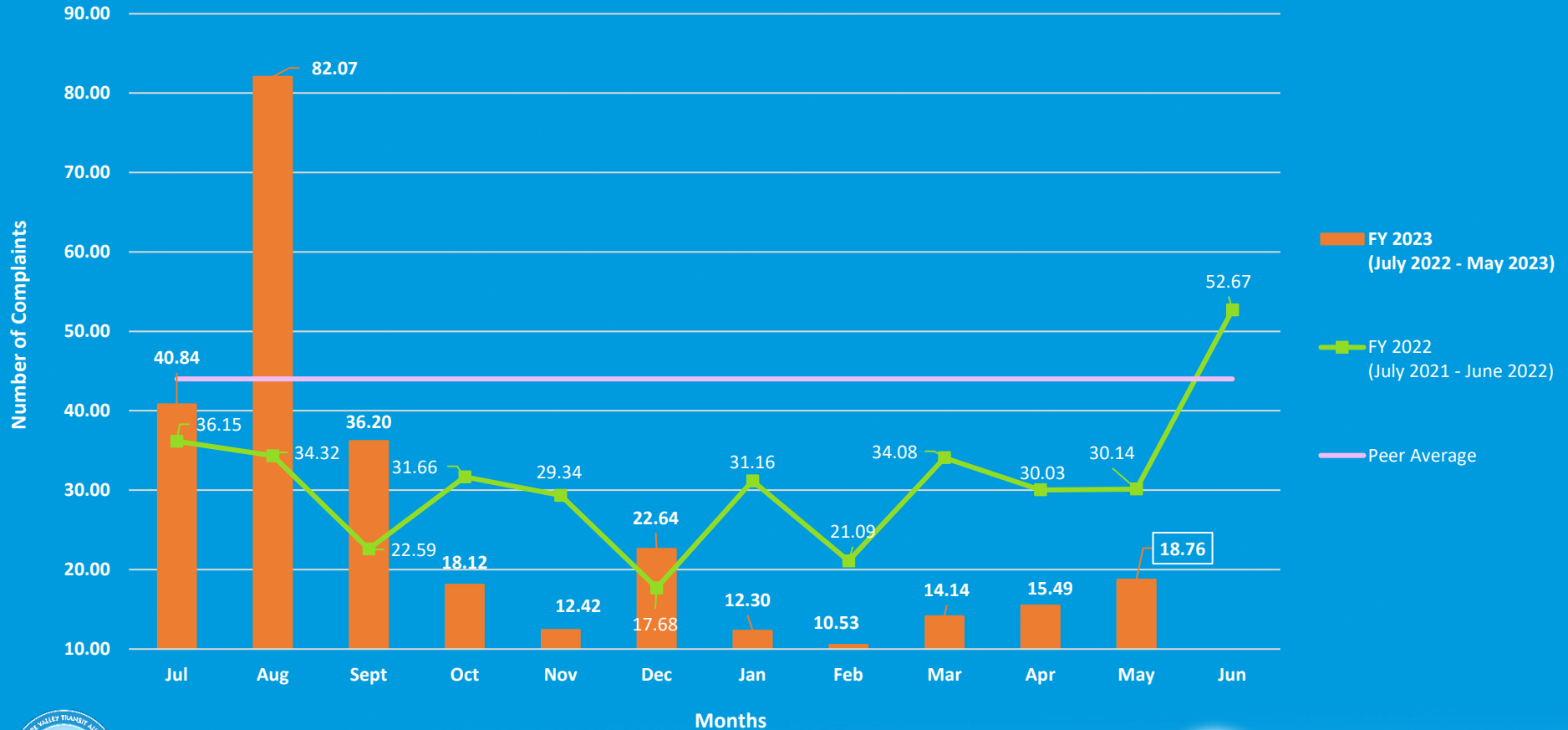
# ANNUAL RIDERSHIP COMMUTER ROUTES



# COMPLAINTS/100,000 BOARDINGS

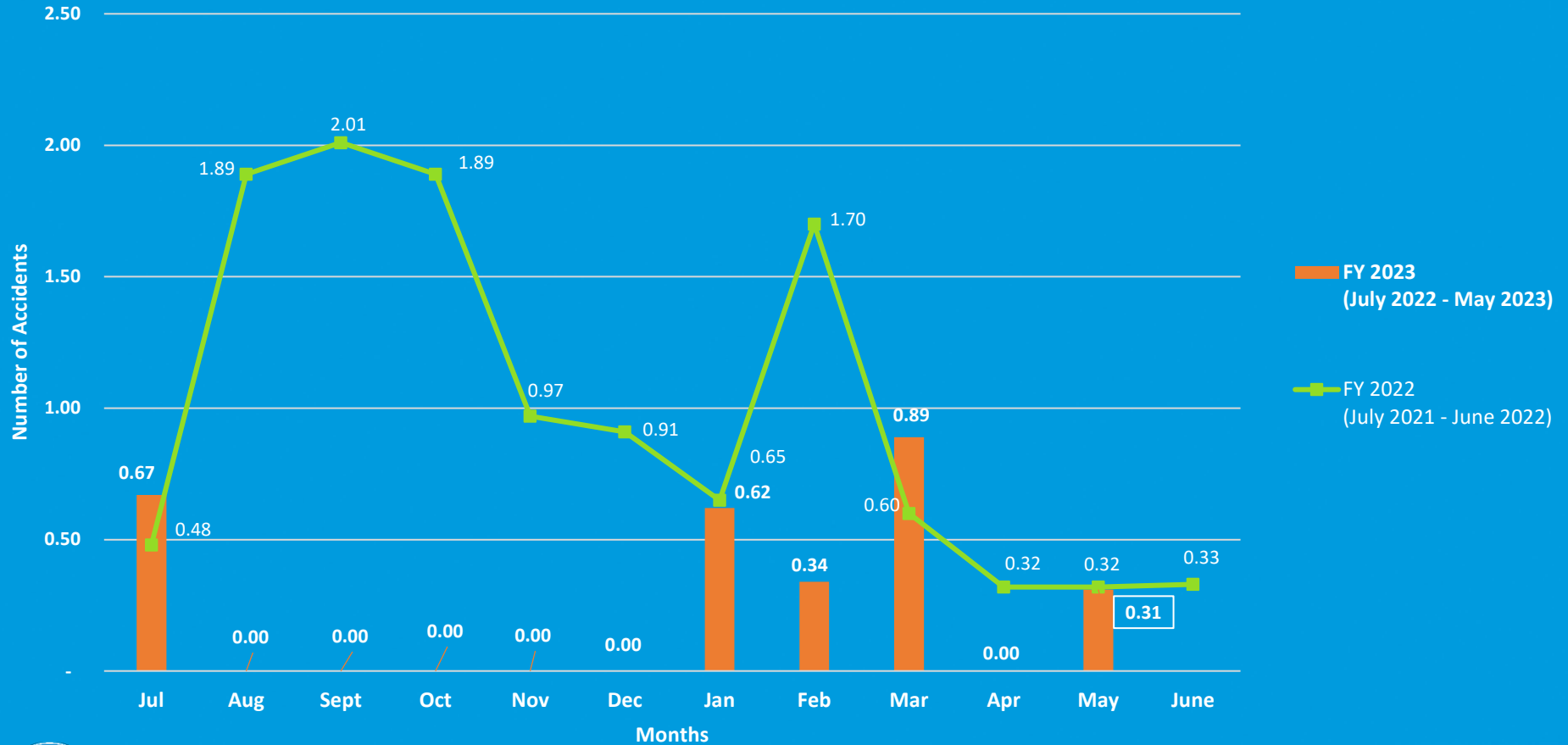
## MAY - SYSTEM WIDE AVERAGE: 18.76

## PEER AVERAGE: 44.00



# PREVENTABLE ACCIDENTS/100,000 MILES

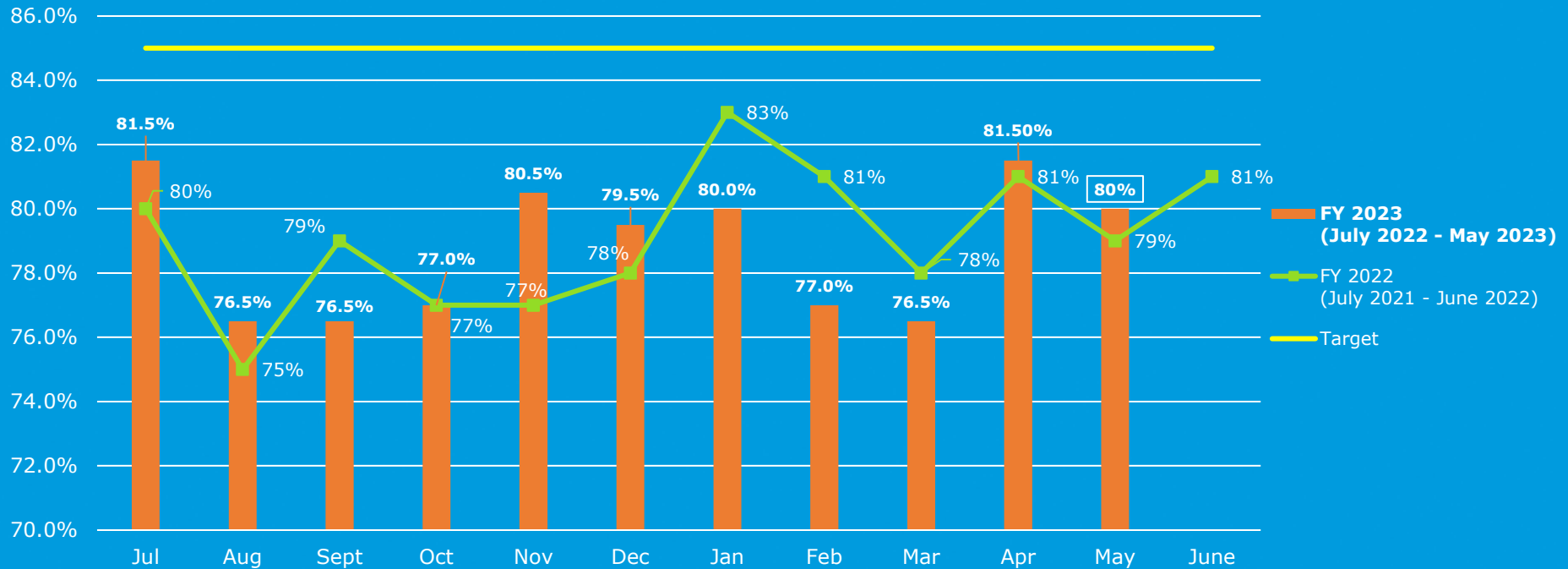
## MAY – SYSTEM-WIDE AVERAGE: .31



# ON TIME PERFORMANCE

MAY – SYSTEM WIDE AVERAGE: 80%

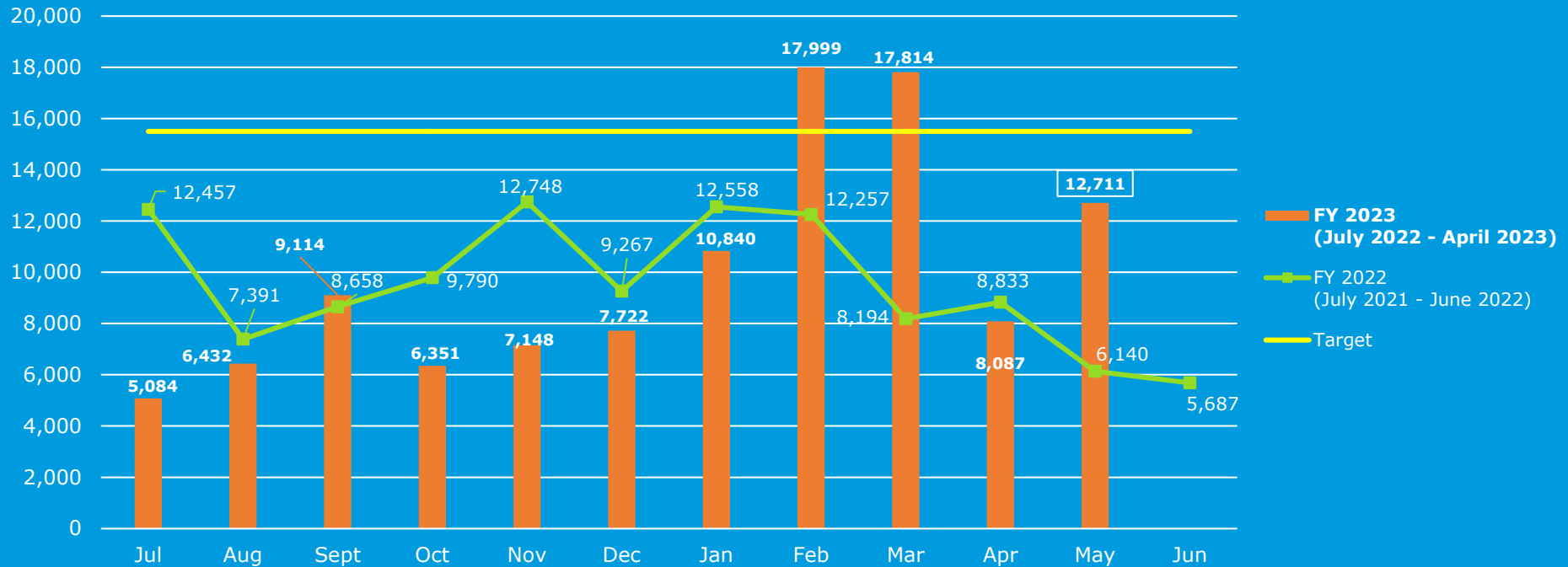
TARGET: 85%



# AVERAGE MILES BETWEEN ROADCALLS

## MAY - SYSTEM WIDE AVERAGE: 12,711

### Target: 15,500



# KEY PERFORMANCE INDICATORS

	May 2023 FY 2023	April 2023 FY 2023	May 2022 FY 2022
<b>Boarding Activity</b>	117,277	116,241	109,493
<b>Complaints / 100,000 Boardings</b>	18.76	15.49	30.14
<b>Preventable Accidents / 100,000 Miles</b>	0.31	2.55	.32
<b>On Time Performance</b>	80%	81.5%	78.5%
<b>Average Miles Between Roadcalls</b>	12,711	8,087	13,116



Thank you!

Questions?





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**Regular Meeting of the Board of Directors**

**Tuesday, May 23, 2023**

**10:00 a.m.**

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

**UNOFFICIAL MINUTES**

**CALL TO ORDER**

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

**PLEDGE OF ALLEGIANCE**

Vice Chair Knippel led the Pledge of Allegiance.

**ROLL CALL:**

Present

Chairman Marvin Crist

Vice Chair Dianne Knippel

Director Raj Malhi

Alternate Director Kathryn Mac Laren (Representative for Director Richard Loa)

Absent

Director Richard Loa

Director Eric Ohlsen

Director Michelle Flanagan

**APPROVAL OF AGENDA**

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

Vote: Motion carried (4-0-0-2)

Yeas: Chairman Crist, Vice Chair Knippel, Director Malhi, Alternate Director Mac Laren

Nays: None

Abstain: None

Absent: Directors Ohlsen and Flanagan



**PUBLIC BUSINESS– AGENDIZED AND NON-AGENDIZED ITEMS:**

Charlotte Baxter – complimented the Routes 1 and 12 operators, who automatically lower the ramp when she’s boarding the bus, and asked about the Authority’s funding grants.

Thomas Aquinaga – Senior Director of Operations and Planning Esteban Rodriguez, spoke on behalf of Mr. Aguinaga, who expressed concerns regarding the air conditioners, fareboxes, and disabled seating on the buses. He also noted that he is no longer experiencing issues with the operators. They are great and polite. Executive Director /CEO Martin Tompkins will research his concerns.

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

**SRP 1 LEGISLATIVE REPORT FROM CONGRESSMAN MIKE GARCIA’S OFFICE**

Jacqueline Owens, Field Representative for Congressman Mike Garcia CA-27, was unable to attend the meeting.

**SRP 2 LEGISLATIVE REPORT FROM SENATOR SCOTT WILK’S OFFICE**

Shawn Cannon, Field Representative for Senator Scott Wilk, provided a brief report.

**SRP 3 LEGISLATIVE REPORT FROM ASSEMBLYMAN TOM LACKEY’S OFFICE**

Pamela Balch, District Director for Assemblyman Lackey, reported on Assembly Bill (AB)-56 Victims compensation: emotional injuries, AB-782 Gambling Control Act: limited liability companies: licensure, AB-1126 Cannabis: citation and fine, AB-610 Student Transit Pass Pilot Program: free student transit passes, AB-971 Vehicles: transit-only traffic lanes, AB-1435 Department of the California Highway Patrol: officers: age limit, AB-645 Vehicles: speed safety system pilot program, and bills in the Assembly Appropriations Committee that address juvenile justice, children’s health and welfare, the backlog of untested sexual assault evidence kits, peace officer shortage, and illicit cannabis grow sites.

**SRP 4 LEGISLATIVE REPORT FROM ASSEMBLYMAN JUAN CARRILLO’S OFFICE**

Juan Blanco, Field Representative for Assemblyman Juan Carrillo, had no updates to report.

**SRP 5 PRESENTATION TO MV TRANSPORTATION EMPLOYEE AND OPERATOR OF THE MONTH**

MV Assistant General Manager Terrance Gore presented the awards to the Employee of the Month, Thomas Zamudio, and Operator of the Month, Brenda Jones.

**SRP 6 PRESENTATION TO AV TRANSPORTATION SERVICES EMPLOYEE OF THE MONTH**

AV Transportation Services President Art Minasyan presented the Employee of the Month award to Kylin Stevenson.

**SRP 7 MICROTRANSIT AND DIAL-A-RIDE KEY PERFORMANCE INDICATORS (KPI) REPORT**

Mr. Minasyan presented the report. The Board discussed ride accommodations for April.

**SRP 8 LEGISLATIVE REPORT AND FINANCE UPDATE FOR MAY 2023**

Chief Financial Officer Judy Vaccaro-Fry reported on the debt ceiling, the end of COVID-19 relief funding, revisions to the State’s Fiscal Year 2022-23 budget, California’s zero-emission vehicles goal, various Assembly and Senate bills, and AVTA’s FY 2023 FTA Section 5310 funding. Ms. Vaccaro-Fry announced that Karim Illescas, Accountant I, and Tisha Lane, Operations Analyst, recently graduated from Antelope Valley College.

**SRP 9 MAINTENANCE KPI REPORT**

Operations Analyst Joseph Sanchez presented the report.

**SRP 10 OPERATIONS KPI REPORT**

Mr. Gore presented the report. The Board discussed Route 12 and discourteous operators.

**CONSENT CALENDAR (CC):**

**CC 1 BOARD OF DIRECTORS MEETING MINUTES OF APRIL 25, 2023**

Approve the Board of Directors Regular Meeting Minutes of April 25, 2023.

**CC 2 FINANCIAL REPORT FOR APRIL 2023 AND FISCAL YEAR 2022/2023 (FY 2023) THIRD QUARTER TREASURER’S REPORT**

Receive and file the Financial Report for April 2023 and FY 2023 Third Quarter Treasurer’s report, including Capital Reserve and Farebox Recovery information.

**CC 3 RESOLUTION NO. 2023-004, LOCAL AGENCY INVESTMENT FUND (LAIF) INVESTMENTS FOR FISCAL YEAR 2023/2024 (FY 2024)**

Adopt Resolution 2023-004, a Resolution appointing the Executive Director/CEO as Treasurer and the Chief Financial Officer as Controller; authorizing investment of monies in the LAIF for FY 2024 (July 1, 2023 through June 30, 2024) to the Treasurer; adopting a policy for the investment of surplus transit funds for FY 2024; and rescinding Resolution Nos. 2021-005 and 2022-008.

**CC 4 AMENDMENT NO. 5 TO CONTRACT #2013-02-001 WITH AVAIL TECHNOLOGIES, INC., FOR ONGOING SUPPORT WITH AVTA'S INTELLIGENT TRANSPORTATION SYSTEM (ITS)**

Authorize the Executive Director/CEO to execute Amendment No. 5 to Contract #2013-02-001 with Avail Technologies, Inc., for a five-year period with annual payments as follows: FY 2023/2024 - \$207,501, FY 2024/2025 - \$214,764, FY 2025/2026 - \$222,280, FY 2026/2027- \$228,949, and FY 2027/2028- \$235,817.

On a motion by Alternate Director Mac Laren and seconded by Vice Chair Knippel, the Board of Directors approved the Consent Calendar as comprised.

Vote: Motion carried (4-0-0-2)

Yeas: Chairman Crist, Vice Chair Knippel, Director Malhi, Alternate Director Mac Laren

Nays: None

Abstain: None

Absent: Directors Ohlsen and Flanagan

**NEW BUSINESS (NB):**

**NB 1 FY 2023/2024 PRELIMINARY BUDGET ASSUMPTIONS**

Ms. Vaccaro-Fry presented the staff report.

On a motion by Vice Chair Knippel and seconded by Alternate Director Mac Laren, the Board of Directors approved the FY 2024 Preliminary Budget Assumptions.

Vote: Motion carried (4-0-0-2)

Yeas: Chairman Crist, Vice Chair Knippel, Director Malhi, Alternate Director Mac Laren

Nays: None

Abstain: None

Absent: Directors Ohlsen and Flanagan

**NB 2 TITLE VI PROGRAM UPDATE FOR FISCAL YEARS (FY) 2023/2024, 2024/2025, 2025/2026**

Planning Manager Geraldina Romo presented the staff report.

On a motion by Vice Chair Knippel and seconded by Director Malhi, the Board of Directors approved AVTA's Title VI Program Update for FY 2023/2024 through FY 2025/2026 as required by the Federal Transit Administration (FTA) and adopted Resolution No. 2023-003, adopting AVTA's Title VI Program Update.

Vote: Motion carried (4-0-0-2)  
Yeas: Chairman Crist, Vice Chair Knippel, Director Malhi, Alternate Director Mac Laren  
Nays: None  
Abstain: None  
Absent: Directors Ohlsen and Flanagan

**NB 3 AMENDMENT NO. 1 TO CONTRACT #2020-05 WITH AVAIL TECHNOLOGIES, INC., FOR EQUIPMENT AND SERVICES WITH AVTA'S INTELLIGENT TRANSPORTATION SYSTEM (ITS) EQUIPMENT UPGRADES ENHANCEMENT PROJECT**

Procurement and Contract Officer Cecil Foust presented the staff report.

On a motion by Vice Chair Knippel and seconded by Alternate Director Mac Laren, the Board of Directors authorized the Executive Director/CEO to execute Amendment No. 1 to Contract #2020-05 with Avail Technologies, Inc. for additional equipment and services with AVTA's ITS Equipment Upgrades for the additional fleet for an additional amount not to exceed \$284,943.64 and time extension until April 30, 2028.

**[Contract #2020-05, as referenced in the agenda packet, should have been Contract #2022-05.]**

Vote: Motion carried (4-0-0-2)  
Yeas: Chairman Crist, Vice Chair Knippel, Director Malhi, Alternate Director Mac Laren  
Nays: None  
Abstain: None  
Absent: Directors Ohlsen and Flanagan

**REPORTS AND ANNOUNCEMENTS (RA):**

**RA 1 REPORT BY THE EXECUTIVE DIRECTOR/CEO**

Executive Director/CEO Martin Tompkins reported on the Solar Farm Project and Employee Appreciation Luncheon that will be held on May 31, 2023.

**MISCELLANEOUS BUSINESS – NON-AGENDA BOARD OF DIRECTORS ITEMS:**

There were no Miscellaneous Business – Non-Agenda Items presented.

**ADJOURNMENT:**

Chairman Crist adjourned the meeting at 10:57 a.m. to the Regular Meeting of the Board of Directors on June 27, 2023, at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6<sup>th</sup> Street West, Lancaster, CA.

PASSED, APPROVED, and ADOPTED this 27<sup>th</sup> day of JUNE 2023.

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Marvin Crist, Chairman of the Board

ATTEST:

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



**DATE:** June 27, 2023

**TO:** BOARD OF DIRECTORS

**SUBJECT:** Financial Report for May 2023

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**RECOMMENDATION:**

Receive and file the Financial Report for May 2023.

**FISCAL IMPACT:**

	<b>May 2023</b>
PAYROLL	\$375,175.34
CASH DISBURSEMENTS	\$4,313,834.72

**BACKGROUND:**

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

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

Prepared by:

Submitted by:

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Vianney McLaughlin  
Senior Finance Manager

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Martin J. Tompkins  
Executive Director/CEO



**DATE:** June 27, 2023

**TO:** BOARD OF DIRECTORS

**SUBJECT:** Public Transportation Agency Safety Plan (PTASP)

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**RECOMMENDATIONS:**

1. Readopt the updated Public Transportation Agency Safety Plan (PTASP) (Attachment B) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements for FY 2023/2024.
2. Adopt Resolution No. 2023-008 (Attachment C) adopting the updated PTASP for FY 2024.

**FISCAL IMPACT:**

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

**BACKGROUND:**

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

The staff has updated the adopted FY 2023 PTASP with administrative changes for FY 2024 (Attachment A). Performance safety targets and management and operational recommendations remain the same for FY 2024 as staff prepares to

implement the safety plan with the service contractors. The planned implementation will include establishing safety management systems throughout the AVTA transit system with the service contractors to improve overall safety risk management, reporting (including an employee safety-reporting program), performance data management, safety assurance and safety promotions.

Submitted by:

Submitted by:

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Esteban Rodriguez  
Senior Director of Operations and Planning

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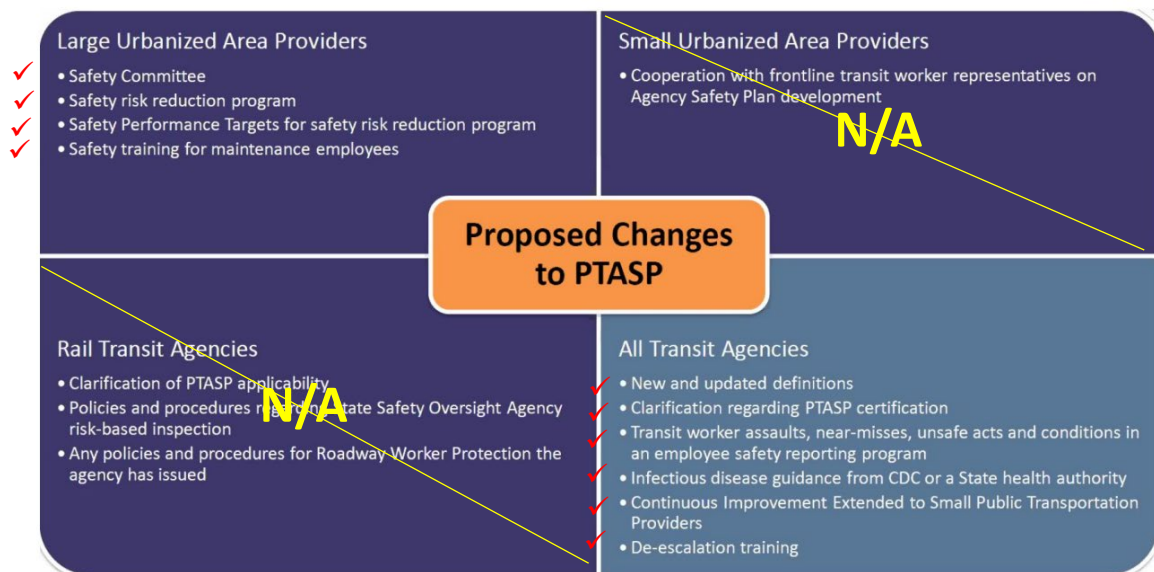
Martin J. Tompkins  
Executive Director/CEO

Attachments:

- A – Proposed PTASP Changes for FY 2023/2024
- B – Updated PTASP for FY 2023/2024
- C – Resolution No. 2023-008



AVTA 2023-2024 PTASP Update & Readoption  
Using FTA Current PTASP Checklist



**Safety Committee**

**1. BIL Change for Safety Committees:**

From the updated guidance from FTA, I do not think that the AVTA 2022-23 PTASP’s systemwide safety committee meets the intent of the FTA or BIL. The PTASP currently calls for a structure using each of the contractor’s own safety committees and that they be composed of frontline and organized labor representatives to meet the BIL requirement. Then representatives of each contractor safety committee are represented in AVTA’s management level operations committee serving also in the capacity of a systemwide safety committee. This may do for the current plan and could for 2023-2024 if you are confident that labor and frontline are participating at the contractor level and that any feedback or input comes to the operations committee level. We can repeat this structure and state for 2023-24 that AVTA will continue to restructure a systemwide safety committee focused on all modes and all employee levels.

- *Transit agencies that receive Section 5307 funding and serve a large, urbanized area have until **Sunday, July 31, 2022** to establish a Safety Committee as part of the Bipartisan Infrastructure Law changes to the Public Transportation Agency Safety Plan (PTASP) requirements. This compliance date will not be extended.*
- *The Safety Committee must have an equal number of frontline employee representatives and management representatives.*
- *FTA expects the Safety Committee to approve an update to the agency’s Agency Safety Plan, incorporating the applicable PTASP requirements by **December 31, 2022**.*
- *For more information on the requirements, please refer to the Dear Colleague Letter or the Bipartisan Infrastructure Law Frequently Asked Questions webpage.*

All FTA Bipartisan Infrastructure Law updates are available on [www.transit.dot.gov/BIL](http://www.transit.dot.gov/BIL). See below:

**Q1: What is the role of the safety committee?**

**A1:** The Bipartisan Infrastructure Law requires the safety committee to approve an agency's Agency Safety Plan (ASP) and any updates to the ASP. This approval must occur before the agency's board of directors approves the ASP or update.

The safety committee also is responsible for, at a minimum:

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

**Q2: Our agency already has a joint labor-management committee. Can this committee assume the responsibilities of the safety committee required by the Bipartisan Infrastructure Law changes to Public Transportation Agency Safety Plan (PTASP) requirements, or do we need to establish an entirely new committee?**

**A2:** It depends. If the existing joint labor-management committee is compliant with the Bipartisan Infrastructure Law changes, that committee is sufficient to meet this requirement. However, if the joint labor-management committee has not met the statutory requirements, the agency must establish a compliant safety committee.

**Q3: Does the Bipartisan Infrastructure Law require that a certain number of employee representatives and management representatives be members of the safety committee?**

**A3:** The new Bipartisan Infrastructure Law requires that an agency's safety committee must have an equal number of frontline employee representatives and management representatives. Each agency should determine the appropriate size of its safety committee.

**Q4: Our agency does not have a large number of employees, and the frontline employees are not represented by a labor organization. Does the safety committee requirement pertain to our agency?**

**A4:** If your agency receives Section 5307 funds and serves an urbanized area with a population of 200,000 or more, then it must establish a safety committee compliant with the Bipartisan Infrastructure Law changes. If a labor organization does not represent your frontline workforce, your agency may determine how frontline employee representatives will be selected.

**Q5: What does "plurality of the frontline workforce" mean in the context of safety committees?**

**A5:** Frontline employee representatives must be selected by a labor organization that represents the plurality of the agency's frontline workforce employed by the agency or a contractor, to the extent labor organizations represent the frontline workforce. For transit agencies with multiple labor organizations whose membership includes frontline workers, the labor organization that represents the greatest number of frontline workers employed by the agency or contractor selects frontline employee representatives to serve on the safety committee. This labor organization may select frontline employee representatives for the safety committee throughout the organization, rather than only from their membership.

**Q6: My agency's frontline workforce includes agency employees and contractors. How should frontline employee representatives be chosen for my agency's safety committee?**

**A6:** Frontline employee representatives must be selected by a labor organization representing the plurality of the agency's frontline workforce employed by the agency or a contractor (the largest number of frontline workers), to the extent labor organizations represent the frontline workforce. This labor organization may select frontline employee representatives for the safety committee from throughout the organization, not just from within their membership.

**Q7: Our agency has more than one labor union, and our frontline workforce includes union and non-union employees. How do we form our safety committee?**

**A7:** If an agency has more than one union representing frontline transit workers, or a mix of union and non-union frontline transit workers, the labor organization that represents the greatest number of frontline workers employed by the agency or contractor selects frontline employee representatives to serve on the safety committee. This labor organization may select frontline employee representatives for the safety committee from throughout the organization, not just from within their own membership.

**Q8: Our agency has two Agency Safety Plans (ASP): one for our bus modes and one for our rail modes. Can we have two safety committees?**

**A8:** Yes. Transit agencies operating under two ASPs may establish one safety committee for each ASP, so long as both Committees are compliant with the Bipartisan Infrastructure Law changes to Public Transportation Agency Safety Plan (PTASP) requirements.

**Q9: Our agency is a Section 5307 recipient that oversees several Section 5307 subrecipients who operate service on behalf of our agency. Does our agency need to form a safety committee, or does each subrecipient need to form its own safety committee?**

**A9:** It depends. If a Section 5307 recipient or subrecipient is required to have an Agency Safety Plan (ASP) under the Public Transportation Agency Safety Plans (PTASP) regulation and serves a large urbanized area (an urbanized area with a population of 200,000 or more), it must establish its own safety committee. If, however, a Section 5307 recipient or subrecipient is not required to have an ASP under the PTASP regulation or does not serve a large, urbanized area, it is not required to establish a safety committee.

**2. Safety Performance Targets – Need AVTA VRM current information. See table below.**

**Add notation that SPTs set annually and current for FY 2023-24**

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

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

3-c. Safety Events: Total number of reportable events and rate per total vehicle revenue miles, by mode. (Event, as defined in § 673.5)

3-d. System Reliability: Mean (or average) distance between major mechanical failures, by mode.

NTD Profiles 2020 & 2021 (see below), & 2022 (n/a)

Year	Mode	Total VRM/Year/Mode	Average VRM Between Road Calls/Mode
2022	Local Fixed Route	Need	Need
	Commuter Bus		
	Dial-A-Ride		
	Micro-transit		
2021	Local Fixed Route	1,968,466	Need
	Commuter Bus	716,169	
	Dial-A-Ride	319,405	

AVTA 2023-2024 PTASP Update & Readoption  
 June 27, 2023  
 Page 4

	Micro-transit	n/a	
2020	Local Fixed Route	2,318,380	Need ↓
	Commuter Bus	786,226	
	Dial-A-Ride	365,543	
	Micro-transit	n/a	

90121 2021 Agency Profile

1 / 1 | 90% +

Antelope Valley Transit Authority  
2021 Annual Agency Profile

Urbanized Area Statistics - 2010 Census  
 Lancaster-Palmdale, CA  
 116 Square Miles  
 341,210 Population  
 112 Pop. Rank out of 498 UZAs  
 Other UZAs Served: 0 California Non-UZA, 148 Santa Clarita, CA, 2 Los Angeles-Long Beach-Anaheim, CA

Service Area Statistics  
 1,200 Square Miles  
 349,050 Population

General Information  
 Service Consumption: 9,239,331 Annual Passenger Miles (PMT)  
 957,190 Annual Unlinked Trips (UPT)  
 3,095 Average Weekly Unlinked Trips  
 1,877 Average Saturday Unlinked Trips  
 1,379 Average Sunday Unlinked Trips

Database Information  
 NTDD: 90121  
 Reporter Type: Full Reporter  
 Asset Type: Tier II  
 Sponsor NTDD:

Assets  
 Revenue Vehicles: 110  
 Service Vehicles: 29  
 Facilities: 5  
 Track Miles: -  
 Lane Miles: 92.50

Financial Information  
 Sources of Operating Funds Expended  
 Fares and Directly Generated: \$1,246,343 (9.9%)  
 Local Funds: \$10,899,745 (33.3%)  
 State Funds: \$0 (0.0%)  
 Federal Assistance: \$18,934,480 (56.8%)  
 Total Operating Funds Expended: \$32,745,568 (100.0%)

Sources of Capital Funds Expended  
 Fares and Directly Generated: \$0 (0.0%)  
 Local Funds: \$2,092,525 (16.2%)  
 State Funds: \$10,001,993 (77.2%)  
 Federal Assistance: \$855,825 (6.6%)  
 Total Capital Funds Expended: \$12,950,343 (100.0%)

Performance Measure Targets - 2022  
 Performance Measure - Asset Type - Target % not in State of Good Repair  
 Equipment - Automobiles - 0%  
 Equipment - Trucks and other Rubber Tire Vehicles - 50%  
 Facility - Administrative / Maintenance Facilities - 0%  
 Rolling Stock - AB - Articulated Bus - 0%  
 Rolling Stock - BB - Overhead Bus - 0%  
 Rolling Stock - BU - Bus - 0%  
 Rolling Stock - VN - Van - 0%

Modal Overview  
 Mode: Commuter Bus, Demand Response, Bus  
 Total: Revenue \$1,008,918, Purchased Vehicles \$288,128, Systems and Facilities \$11,331,988, Other \$321,309, Total \$12,950,343

Operation Characteristics  
 Mode: Commuter Bus, Demand Response, Bus  
 Total: Operating Expenses \$30,814,324, Fare Revenue \$55,085, Capital Funds \$12,950,343, Annual Passenger Miles 9,239,331, Annual Unlinked Trips 957,190, Annual Vehicle Revenue Miles 3,004,940, Annual Vehicle Revenue Hours 185,453

Performance Measures  
 Mode: Commuter Bus, Demand Response, Bus  
 Total: Operating Expense per Vehicle Revenue Mile Bus \$116.26, Operating Expense per Passenger Mile Bus \$174.67, Unlinked Passenger Trip per Vehicle Revenue Mile Bus 1.66, Operating Expense per Vehicle Revenue Mile Commuter Bus \$116.26, Operating Expense per Passenger Mile Commuter Bus \$174.67, Unlinked Passenger Trip per Vehicle Revenue Mile Commuter Bus 1.66

Notes:  
 \*Demand Response - Taxi (DRTX) and non-dedicated fleets do not report fleet age data.  
 \*Vehicle data for a contract with another reporter.  
 \*This agency has a purchased transportation relationship in which they buy service from Transdev (NTDD: Entity that Does Not Report to NTDD), and in which the data are captured in this report for mode CBPT.  
 \*This agency has a purchased transportation relationship in which they buy service from TFI Transportation Services, LLC (NTDD: Entity that Does Not Report to NTDD), and in which the data are captured in this report for mode DRPT.  
 \*This agency has a purchased transportation relationship in which they buy service from Transdev (NTDD: Entity that Does Not Report to NTDD), and in which the data are captured in this report for mode MBPT.

90121 2020 Agency Profile

1 / 1 | 80% +

Antelope Valley Transit Authority  
2020 Annual Agency Profile

Urbanized Area Statistics - 2010 Census  
 Lancaster-Palmdale, CA  
 116 Square Miles  
 341,210 Population  
 112 Pop. Rank out of 498 UZAs  
 Other UZAs Served: 0 California Non-UZA, 148 Santa Clarita, CA, 2 Los Angeles-Long Beach-Anaheim, CA

Service Area Statistics  
 1,200 Square Miles  
 349,050 Population

General Information  
 Service Consumption: 23,816,792 Annual Passenger Miles (PMT)  
 1,947,256 Annual Unlinked Trips (UPT)  
 6,574 Average Weekly Unlinked Trips  
 2,974 Average Saturday Unlinked Trips  
 2,170 Average Sunday Unlinked Trips

Database Information  
 NTDD: 90121  
 Reporter Type: Full Reporter  
 Asset Type: Tier II  
 Sponsor NTDD:

Assets  
 Revenue Vehicles: 105  
 Service Vehicles: 29  
 Facilities: 5  
 Track Miles: -  
 Lane Miles: -

Financial Information  
 Sources of Operating Funds Expended  
 Fares and Directly Generated: \$4,748,965 (17.0%)  
 Local Funds: \$11,527,027 (46.0%)  
 State Funds: \$0 (0.0%)  
 Federal Assistance: \$11,834,549 (42.0%)  
 Total Operating Funds Expended: \$28,110,541 (100.0%)

Sources of Capital Funds Expended  
 Fares and Directly Generated: \$0 (0.0%)  
 Local Funds: \$1,158,885 (6.9%)  
 State Funds: \$10,998,099 (65.9%)  
 Federal Assistance: \$4,542,255 (27.2%)  
 Total Capital Funds Expended: \$16,699,234 (100.0%)

Performance Measure Targets - 2021  
 Performance Measure - Asset Type - Target % not in State of Good Repair  
 Equipment - Automobiles - 1%  
 Equipment - Trucks and other Rubber Tire Vehicles - 23%  
 Facility - Administrative / Maintenance Facilities - 0%  
 Rolling Stock - AB - Articulated Bus - 0%  
 Rolling Stock - BB - Overhead Bus - 100%  
 Rolling Stock - BU - Bus - 0%  
 Rolling Stock - VN - Van - 0%

Modal Overview  
 Mode: Commuter Bus, Demand Response, Bus  
 Total: Revenue \$1,120,360, Purchased Vehicles \$189,837, Systems and Facilities \$4,698,338, Other \$419,671, Total \$16,699,234

Operation Characteristics  
 Mode: Commuter Bus, Demand Response, Bus  
 Total: Operating Expenses \$27,495,025, Fare Revenue \$2,006,912, Capital Funds \$16,699,234, Annual Passenger Miles 23,816,792, Annual Unlinked Trips 1,947,256, Annual Vehicle Revenue Miles 3,470,119, Annual Vehicle Revenue Hours 247,611

Performance Measures  
 Mode: Commuter Bus, Demand Response, Bus  
 Total: Operating Expense per Vehicle Revenue Mile Bus \$116.26, Operating Expense per Passenger Mile Bus \$174.67, Unlinked Passenger Trip per Vehicle Revenue Mile Bus 1.66, Operating Expense per Vehicle Revenue Mile Commuter Bus \$116.26, Operating Expense per Passenger Mile Commuter Bus \$174.67, Unlinked Passenger Trip per Vehicle Revenue Mile Commuter Bus 1.66

Notes:  
 \*Demand Response - Taxi (DT) and non-dedicated fleets do not report fleet age data.

### **3. Risk Reduction Program**

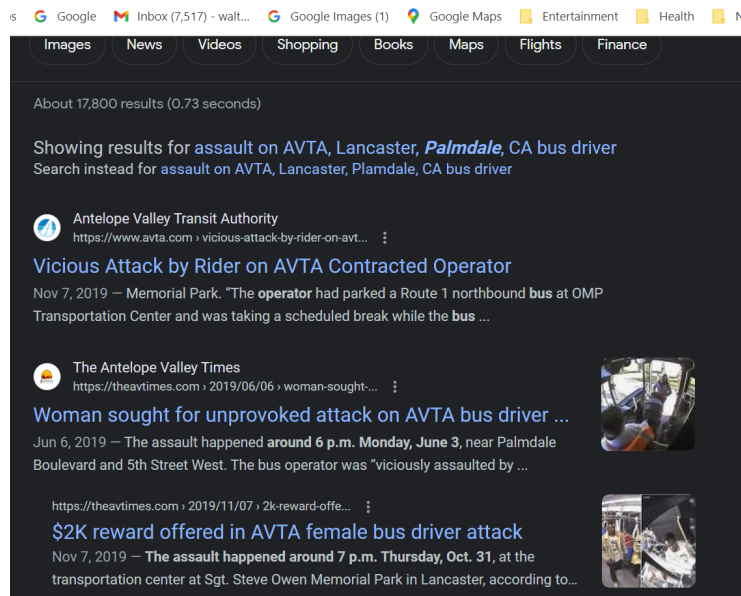
□4-a. Transit agencies that receive Section 5307 funding and serve a large, urbanized area (an urbanized area with a population of 200,000 or more): Risk reduction program for transit operations to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers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

□4-a-1. A reduction of vehicular and pedestrian accidents involving buses that includes measures to reduce visibility impairments for bus operators that contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments.

- Have any of the AVTA commuter, fixed route, or paratransit buses that were involved in crashes or incidents were due to “reduced visibility impairments” either directly or indirectly?
- Have “reduced visibility impairments” been eliminated or reduced with bus retrofits of devices?
- Does AVTA have plans for enhancing visibility for the drivers by specifications calling for visual improvements cited above?
- What other ways can or will AVTA &/or its contractors improve visibility issues for drivers, such as the following examples of added equipment or enhanced procedures?
  - Addition or retrofit with outside enunciators warning of bus approaching, pulling away, or turning.
  - Pedestrian or bicycle rider proximity warning devices.
  - Interior bus safety announcements to exiting riders.
  - Enhanced training on mirror and camera scanning.
  - Use of bus flashers as approaching, at stops, and as departing.
  - Other.
- Has AVTA set aside funding for risk reduction efforts or are their requirements in each of the contractor’s scopes of work to do so? Have the contractors identified their risk reduction efforts for the PTASP?
  - BIL Question: *Is an agency only required to set aside funds for safety-related projects if the agency does not meet its risk reduction performance targets?*
  - FTA Response: *No. Each urbanized area grant recipient serving a large, urbanized area (an urbanized area with a population of 200,000 or more) must allocate at least 0.75 percent of its Section 5307 funds for safety-related projects eligible under Section 5307. If a recipient of Section 5307 funds does not meet its risk reduction performance targets required by the Bipartisan Infrastructure Law changes, then it must allocate funds for safety-related projects that are reasonably likely to assist the recipient in meeting the performance targets. However, performance targets for a risk reduction program are not required until FTA has updated the National Public Transportation Safety Plan to include these performance measures.*

□4-a-2. The mitigation of assaults on transit workers, including the deployment of assault litigation infrastructure and technology on buses, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators when a risk analysis performed by the recipient’s Safety Committee determines that such barriers or other measures would reduce assaults on transit workers and injuries to transit workers.

- Has the operations/safety committee performed a risk assessment of assaults on & confrontations with bus drivers?
- Have there been any driver assault issues on AVTA bus service in the last three (3) years that are included in the NTD reporting? More recent than 2019 as shown below.



- Do AVTA contractors include de-escalation training for new hires and refresher training for existing drivers?
- Does AVTA have written procedures in place to pursue action, prosecute offenders, or prepare for litigation in cases of assaults on bus drivers and other employees? Are there procedures for acquiring information on any assaults or rider confrontations in place, e.g., incident reporting, emergency procedures, silent alarms, security camera activation on all modes?

#### 4. Public Health

□5-a. Strategies to minimize exposure to infectious diseases, consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority. (Recipients of Urbanized Area Formula grants will certify that agency safety plans are consistent with Centers for Disease Control and Prevention and state health authority guidelines to minimize exposure to infectious disease.) → Update pandemic sections, reduce text to current situations.



- As in 2 above, are the driver shields still in place for security and for health and safety?
- Are drivers still required to wear face masks or as a voluntary precaution?
- Do the CSOs understand that their safety duties now include health-safety besides operational safety after the Covid pandemic?

□10-a-1. Transit agencies that receive Section 5307 funding and serve a large, urbanized area (an urbanized area with a population of 200,000 or more): The comprehensive safety training program includes maintenance personnel and de-escalation training.

□10-b. 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.

- Do maintenance personnel receive safety training with drivers?
- Do maintenance personnel receive separate safety, security, and de-escalation training?
- Please send the list of safety topics in the mechanic's safety, security, & emergency training.
- Is it correct to assume that all safety, emergency, and security training of drivers, maintenance technicians, & staff is documented?
- How is information on safety hazards made available to all AVTA and contractor staff, e.g., daily safety briefings, monthly safety meetings by department or work team/shift?
- Has the FTA-required employee safety reporting program (ESRP) been instituted for AVTA staff, AVTS employees, & MV employees?
- Is there procedural documentation on each of the ESRP programs, including the non-punitive provisions?



# PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)

**FISCAL YEAR 2023-2024**

**Martin Tompkins**

Executive Director/Chief Executive Officer  
Antelope Valley Transit Authority

**Esteban Rodriguez**

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



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

**Last Updated June 9, 2023**





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**ADOPTED:** July 26, 2022/1

**LAST REVISED:** June 9, 2023

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

**AVTA BOARD DATE OF APPROVAL:** June 27, 2023

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

June 27, 2023

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**Marvin Crist, Chairman, City of Lancaster**

**Date**

### **Certifications & Assurances**

Certification of Compliance - Each transit agency must annually certify via FTA's Certifications and Assurances process that its safety plan meets the requirements of the final rule.

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

### **Accountable Executive Contact Information**

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



# AVTA Board of Directors Resolution of Adoption

**BOARD OF DIRECTORS**

**ANTELOPE VALLEY TRANSIT AUTHORITY**

**RESOLUTION NO. 2022-010**

**A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY READOPTING THE UPDATED PUBLIC TRANSPORTATION AGENCY SAFETY PLAN FOR FISCAL YEAR 2022/2023**

**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.

**Insert new Board resolution for 2023 -2024**

Resolution No. 2022-010  
July 26, 2022  
Page 2

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

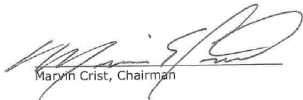
1. The Board of Directors hereby appoints the Executive Director/CEO or his or her designee as the Authority's Chief Safety Officer.
2. The Board of Directors hereby approves the updated PTASP attached hereto as Exhibit "1."


PASSED, APPROVED and ADOPTED this 26<sup>th</sup> day of July, 2022 by the following vote:


AYES: Crist, Kuppel, Lee, Malhi, MacLennan

NAYS: None ABSTAIN: None

ABSENT: Managon

  
Marvin Crist, Chairman

ATTEST:  
  
Karen S. Darr, Clerk of the Board

APPROVED AS TO FORM:  
  
Allison E. Burns, General Counsel



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

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

Signature: \_\_\_\_\_

Date: June 27, 2023

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



## **PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP) FISCAL YEAR 2023-2024**

### **PTASP PURPOSE**

The Public Transportation Agency Safety Plan (PTASP) final rule (49 C.F.R. Part 673) requires certain operators of public transportation systems that are recipients or sub-recipients of FTA grant funds to develop safety plans that include the processes and procedures necessary for implementing Safety Management Systems (SMS). SMS is defined for purposes of FTA as *“the formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring the effectiveness of safety risk mitigations.”*

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

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

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

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





**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)  
FISCAL YEAR 2023-2024  
PTASP ELEMENTS**

**1. TRANSIT AGENCY INFORMATION**

**AVTA Information**

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



Local Fixed Route



Commuter Bus



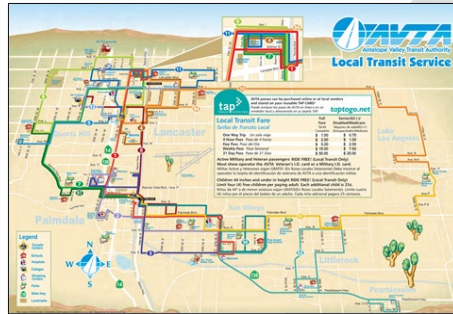
DAR, Microtransit, NEMT

## 1a. Profile of AVTA Transit System

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



AVTA Antelope Valley Service Area



AVTA Local Fixed Route Service Area



AVTA Pilot Microtransit Route Service Area

AVTA operates five (5) modes of transit service:

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

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

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

AVTA also provides urban and rural Dial-A-Ride (DAR) offering demand responsive paratransit service. DAR service is structured within operating zones: an urban area zone for senior citizens and persons with disabilities and a rural area zone for the public.

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

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

Service Hours

- Local Fixed Route Bus Service:
  - Weekdays from 5:00 a.m. to 12:28 a.m.
  - Saturdays from 6:00 a.m. to 10:55 p.m.
  - Sundays from 6:45 a.m. to 10:26 p.m.
- Microtransit Bus Service:
  - Weekdays from 5:00 a.m. to 9:00 p.m.
  - Saturdays from 5:00 a.m. to 9:00 p.m.
  - Sundays from 5:00 a.m. to 9:00 p.m.
- Commuter Bus Service:
  - LA, Century City & San Fernando Valley Weekdays: from 3:50 a.m. to 8:00 p.m.
  - Transporter midday service connecting the Antelope Valley with the Santa Clarita Valley Weekdays: from 8:00 a.m. to 4:50 p.m.
- Dial-A-Ride Service
  - Weekdays 6:00 a.m. to 7:30 p.m.
  - Weekends 8:00 a.m. to 6:00 p.m.
- Non-Emergency Medical Transportation
  - Available 24 hours (Transportation arrangements are made by medical facility.)

AVTA Vehicle Fleet

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

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

The Antelope Valley Transit Authority (AVTA) is bringing a fresh new energy to public transportation in the Antelope Valley! In 2016, The Board of Directors for the Antelope Valley Transit Authority (AVTA) set a goal of becoming the nation’s first fully electric fleet, converting all of the agency’s aging diesel buses to a 100% battery electric bus fleet with up to 85 new all-electric buses.

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

<p><b>January 2022</b> - Antelope Valley Transit Authority celebrated the significant milestone of achieving seven million miles driven by its all-electric zero emission fleet. Those seven million electric miles represent:</p>	<p><b>January 2023</b> - Antelope Valley Transit Authority celebrated the significant milestone of achieving 10 million miles driven by its all-electric zero emission fleet. Those 10 million electric miles represent:</p>
<ul style="list-style-type: none"> <li>• 1,750,000 gallons of diesel fuel avoided</li> <li>• \$2,362,500 net savings</li> <li>• 41.58 million pounds of CO2 reduced</li> </ul>	<ul style="list-style-type: none"> <li>• 2.5 million gallons of diesel avoided</li> <li>• \$3,375,000 net savings</li> <li>• 59.4 million pounds of CO2 reduced</li> </ul>

On March 16, 2022, the Antelope Valley Transit Authority Board of Directors, along with the California Air Resources Board (CARB), hosted a celebration recognizing AVTA becoming the first all-electric transit agency in North America. Antelope Valley Transit Authority received their 20<sup>th</sup> electric MCI coach for their commuter routes. The addition of these buses to AVTA's fleet of BYD zero-emission buses; enables the agency to place into service a 100% zero-emission transit fleet.

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.



## 1b. AVTA Transit System Operating Performance

The 2021 National Transit Database (NTD) Profile for AVTA indicates the following performance metrics:

Antelope Valley Transit Authority  
2021 Annual Agency Profile

Mr. Martin Tompkins  
(951) 728-2299

General Information				Database Information				Financial Information				Performance Measure Targets - 2022							
<b>Service Consumption</b> 6,250,334 Annual Passenger Miles (APM) 957,102 Annual Unlinked Trips (UT) 3,037 Average Weekly Unlinked Trips 1,877 Average Saturday Unlinked Trips 3,373 Average Sunday Unlinked Trips				<b>NTDID: 00121</b> Reporter Type: Full Reporter Asset Type: Tier II Sponsor NTDID:				<b>Sources of Operating Funds Expended</b> Fares and Directly Generated: \$3,249,343 (5.9%) Local Funds: \$10,893,740 (33.3%) State Funds: \$0 (0.0%) Federal Assistance: \$18,554,480 (58.8%) Total Operating Funds Expended: \$32,743,563 (100.0%)				<b>Operating Funding Sources</b> Performance Measure Asset Type - Target % net in State of Good Repair Equipment - Automobiles - 0% Equipment - Trucks and other Rubber Tire Vehicles - 50% Facility - Administrative / Maintenance Facilities - 0% Rolling Stock - All - Articulated Bus - 0% Rolling Stock - All - Overhead Bus - 0% Rolling Stock - BU - Bus - 0% Rolling Stock - VN - Van - 0%							
<b>Service Area Statistics</b> 1,200 Square Miles 340,000 Population				<b>Service Supplied</b> 2,004,040 Annual Vehicle Revenue Miles (VRM) 155,453 Annual Vehicle Revenue Hours (VRH) 90 Vehicles Operated in Maximum Service (VOMS) 114 Vehicles Available for Maximum Service (VAMS)				<b>Sources of Capital Funds Expended</b> Fares and Directly Generated: \$0 (0.0%) Local Funds: \$2,062,525 (16.2%) State Funds: \$10,287,069 (77.2%) Federal Assistance: \$955,825 (6.6%) Total Capital Funds Expended: \$12,950,343 (100.0%)				<b>Capital Funding Sources</b> Labor: \$5,355,420 (17.2%) Materials and Supplies: \$600,911 (2.1%) Purchased Transportation: \$1,177,236 (8.2%) Other Operating Expenses: \$7,955,137 (25.5%) Total Operating Expenses: \$15,029,444 (100.0%) Reconciling OE Cash Expending (Reported Separately): \$0				<b>Summary of Operating Expenses (OE)</b> Labor: \$5,355,420 (17.2%) Materials and Supplies: \$600,911 (2.1%) Purchased Transportation: \$1,177,236 (8.2%) Other Operating Expenses: \$7,955,137 (25.5%) Total Operating Expenses: \$15,029,444 (100.0%) Reconciling OE Cash Expending (Reported Separately): \$0			
<b>Modal Characteristics</b> Mode: Commuter Bus, Demand Response, Bus Total: 30				<b>Uses of Capital Funds</b> Revenue Vehicles: 110 Service Vehicles: 29 Facilities: 5 Track Miles: 92.50 Lane Miles: 92.50				<b>Summary of Operating Expenses (OE)</b> Labor: \$5,355,420 (17.2%) Materials and Supplies: \$600,911 (2.1%) Purchased Transportation: \$1,177,236 (8.2%) Other Operating Expenses: \$7,955,137 (25.5%) Total Operating Expenses: \$15,029,444 (100.0%) Reconciling OE Cash Expending (Reported Separately): \$0				<b>Performance Measure Targets - 2022</b> Performance Measure Asset Type - Target % net in State of Good Repair Equipment - Automobiles - 0% Equipment - Trucks and other Rubber Tire Vehicles - 50% Facility - Administrative / Maintenance Facilities - 0% Rolling Stock - All - Articulated Bus - 0% Rolling Stock - All - Overhead Bus - 0% Rolling Stock - BU - Bus - 0% Rolling Stock - VN - Van - 0%							
<b>Modal Overview</b> Mode: Commuter Bus, Demand Response, Bus Total: 30				<b>Uses of Capital Funds</b> Revenue Vehicles: 110 Service Vehicles: 29 Facilities: 5 Track Miles: 92.50 Lane Miles: 92.50				<b>Summary of Operating Expenses (OE)</b> Labor: \$5,355,420 (17.2%) Materials and Supplies: \$600,911 (2.1%) Purchased Transportation: \$1,177,236 (8.2%) Other Operating Expenses: \$7,955,137 (25.5%) Total Operating Expenses: \$15,029,444 (100.0%) Reconciling OE Cash Expending (Reported Separately): \$0				<b>Performance Measure Targets - 2022</b> Performance Measure Asset Type - Target % net in State of Good Repair Equipment - Automobiles - 0% Equipment - Trucks and other Rubber Tire Vehicles - 50% Facility - Administrative / Maintenance Facilities - 0% Rolling Stock - All - Articulated Bus - 0% Rolling Stock - All - Overhead Bus - 0% Rolling Stock - BU - Bus - 0% Rolling Stock - VN - Van - 0%							
<b>Operation Characteristics</b> Mode: Commuter Bus, Demand Response, Bus Total: 30				<b>Uses of Capital Funds</b> Revenue Vehicles: 110 Service Vehicles: 29 Facilities: 5 Track Miles: 92.50 Lane Miles: 92.50				<b>Summary of Operating Expenses (OE)</b> Labor: \$5,355,420 (17.2%) Materials and Supplies: \$600,911 (2.1%) Purchased Transportation: \$1,177,236 (8.2%) Other Operating Expenses: \$7,955,137 (25.5%) Total Operating Expenses: \$15,029,444 (100.0%) Reconciling OE Cash Expending (Reported Separately): \$0				<b>Performance Measure Targets - 2022</b> Performance Measure Asset Type - Target % net in State of Good Repair Equipment - Automobiles - 0% Equipment - Trucks and other Rubber Tire Vehicles - 50% Facility - Administrative / Maintenance Facilities - 0% Rolling Stock - All - Articulated Bus - 0% Rolling Stock - All - Overhead Bus - 0% Rolling Stock - BU - Bus - 0% Rolling Stock - VN - Van - 0%							
<b>Performance Measures</b> Mode: Commuter Bus, Demand Response, Bus Total: 30				<b>Uses of Capital Funds</b> Revenue Vehicles: 110 Service Vehicles: 29 Facilities: 5 Track Miles: 92.50 Lane Miles: 92.50				<b>Summary of Operating Expenses (OE)</b> Labor: \$5,355,420 (17.2%) Materials and Supplies: \$600,911 (2.1%) Purchased Transportation: \$1,177,236 (8.2%) Other Operating Expenses: \$7,955,137 (25.5%) Total Operating Expenses: \$15,029,444 (100.0%) Reconciling OE Cash Expending (Reported Separately): \$0				<b>Performance Measure Targets - 2022</b> Performance Measure Asset Type - Target % net in State of Good Repair Equipment - Automobiles - 0% Equipment - Trucks and other Rubber Tire Vehicles - 50% Facility - Administrative / Maintenance Facilities - 0% Rolling Stock - All - Articulated Bus - 0% Rolling Stock - All - Overhead Bus - 0% Rolling Stock - BU - Bus - 0% Rolling Stock - VN - Van - 0%							

**Notes:**  
 \*Special Response - Toll (DRPT) and non-deductible fees do not report fee age data.  
 \*Includes data for a contract with another reporter.  
 \*This agency has a purchased transportation relationship in which they buy service from Transdev (NTDID: Entity that Does Not Report to NTD), and in which the data are captured in this report for mode DRPT.  
 \*This agency has a purchased transportation relationship in which they buy service from AV Transportation Services, LLC (NTDID: Entity that Does Not Report to NTD), and in which the data are captured in this report for mode DRPT.  
 \*This agency has a purchased transportation relationship in which they buy service from Transdev (NTDID: Entity that Does Not Report to NTD), and in which the data are captured in this report for mode MBPT.

Exhibit S1-1: NTD 2021 Profile for AVTA

## 2020 & 2021 Average Operating Performance

<u>All Modes:</u>	<u>2020</u>	<u>2021</u>
Annual Operating Expenses	\$28,161,141	\$232,743,568
Annual Vehicle Revenue Miles (VRM)	3,470,149	3,004,040
Annual Vehicle Revenue Hours (VRH)	201,101	185,453
Annual Passenger Miles (PMT)	23,676,738	9,259,334
Annual Unlinked Passenger Trips (UPT)	1,947,206	957,180
Vehicle Fleet by Mode: Commuter Buses	30	25
DAR Vans & Sedans	20	18
Local Fixed Route Buses	46	47
Total Vehicles	91	90

	<u>2020</u>	<u>2021</u>	<u>Diff.</u>
<b>Commuter Bus Performance:</b>			
• Operating Expense/Vehicle Revenue Mile	\$4.43	\$6.45	+\$2.02
• Operating Expense/Vehicle Revenue Hour	\$137.88	\$187.05	+\$49.17
• Operating Expense/Passenger Mile	\$0.33	\$1.06	+\$0.73
• Operating Expense/Unlinked Passenger Trip	\$17.41	\$60.01	+\$42.60
• Unlinked Passenger Trip/Vehicle Revenue Mile	0.30	0.10	-0.20
• Unlinked Passenger Trip/Vehicle Revenue Hour	7.90	3.10	-4.80

	<u>2020</u>	<u>2021</u>	
<b>Dial-A-Ride Performance:</b>			
• Operating Expense / Vehicle Revenue Mile	\$3.94	\$8.79	+\$4.85
• Operating Expense / Vehicle Revenue Hour	\$74.80	\$104.51	+\$29.71
• Operating Expense / Passenger Mile	\$3.67	\$7.39	+\$3.72
• Operating Expense / Unlinked Passenger Trip	\$32.39	\$65.44	+\$33.05
• Unlinked Passenger Trip / Vehicle Revenue Mile	0.10	0.10	=0.00
• Unlinked Passenger Trip / Vehicle Revenue Hour	2.30	1.60	-0.70

	<u>2020</u>	<u>2021</u>	
<b>Local Fixed Route Performance:</b>			
• Operating Expense / Vehicle Revenue Mile	\$9.70	\$11.88	+\$2.18
• Operating Expense / Vehicle Revenue Hour	\$143.62	\$174.67	+\$31.05
• Operating Expense / Passenger Mile	\$1.75	\$6.17	+\$4.42
• Operating Expense / Unlinked Passenger Trip	\$13.21	\$27.93	+\$14.72
• Unlinked Passenger Trip / Vehicle Revenue Mile	0.70	0.40	-0.30
• Unlinked Passenger Trip / Vehicle Revenue Hour	10.90	6.30	-4.60

/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 Senior Director of Operations and Planning is accountable for the PTASP and the implementation of SMS through the service contractors. Exhibit 2 illustrates this governing structure.

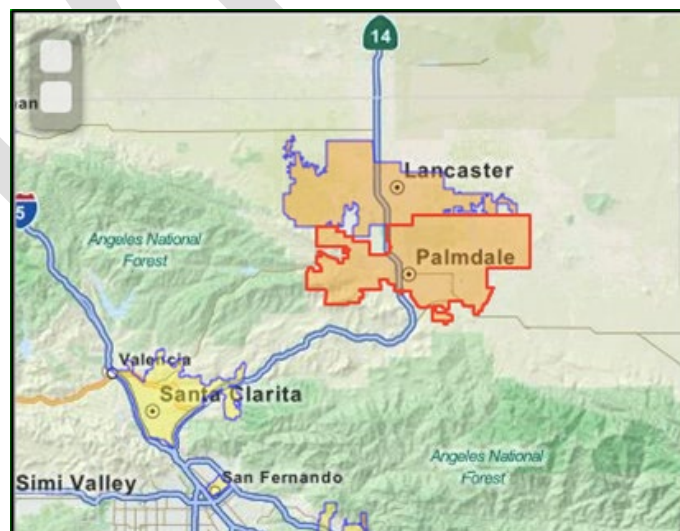
**1c.1 Does the agency provide transit services on behalf of another transit agency or entity? Yes**

**1c.2 Description of Arrangement(s):**

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

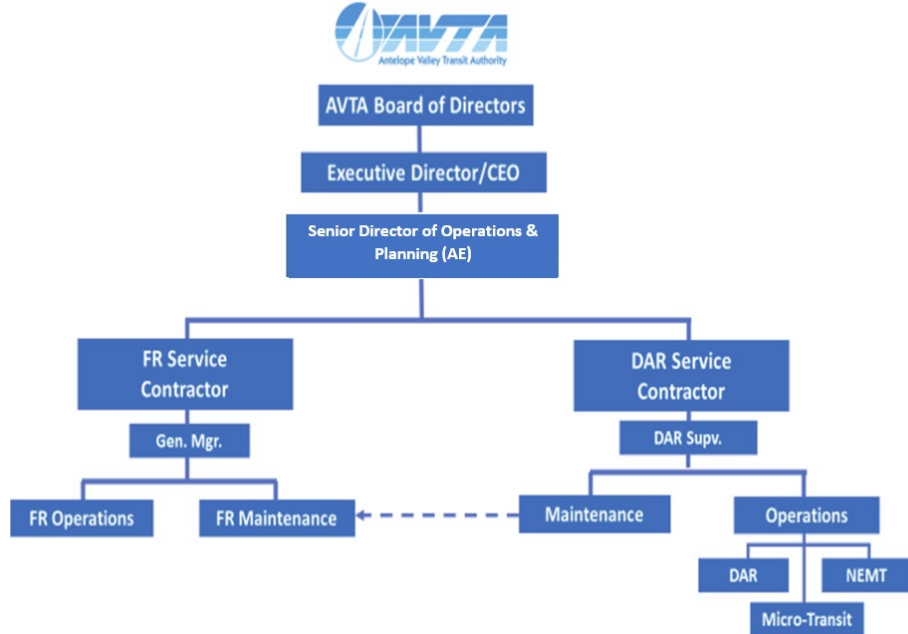
**1c.3 Name and Address of Entity(ies) for Which Service Is Provided:**

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



**1c.4 AVTA Transit Service Infrastructure:**

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



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

**2. PLAN DEVELOPMENT, APPROVAL, AND UPDATES**

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

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

---

Esteban Rodriguez  
 Senior Director of Operations & Planning of AVTA  
**Date: 06/27/2023**

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

**2c.1 Name of Individual/Entity That Approved This Plan:**  
**Name:** AVTA Board of Directors  
**Date of Approval:** June 27, 2023

## 2c.2 Relevant Documentation:

- i. **Board Resolution No.** No. 2023-08
- ii. **Resolution Title:** Public Transportation Agency Safety Plan
- iii. **Location:** Clerk of the AVTA Board
- iv. **Current AVTA Board Members:**
  - a. Chairman Marvin Crist, City of Lancaster
  - b. Vice Chair Dianne Knippel, County of Los Angeles
  - c. Director Michelle Flanagan, County of Los Angeles
  - d. Director Eric Ohlsen, City of Palmdale
  - e. Director Richard Loa, City of Palmdale
  - f. Director Raj Malhi, City of Lancaster

## 2c.3 Certification of Compliance /1

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

**Name:** Esteban Rodriguez, Senior Director of Operations & Planning

**Date:** 06/27/2023

### ii. Certification Documentation

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

### iii. Relevant Documentation (title and location):

**Document Title:** AVTA Board Resolution

**Date Filed with FTA:** **June 27, 2023**

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

### Footnote for Subsection 2c

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



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

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

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

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

The PTASP will be updated and readopted on an annual basis. Prior to reconsideration by the Board, the staff 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 AVTA Operations Committee shall review safety performance targets during their weekly meetings based on current safety events activity. Based on the projected annual reported performance in the four target categories and the projected 2023-2024 revenue service miles, the safety performance targets will be reassessed and adjusted accordingly. The reassessment and adjustments will be reviewed by the SMS Coordinating and Safety Committee and recommended made to the CSO1. The finalized targets will be made a part of the 2023-2024 PTASP for consideration by the AE and forwarded to the Board for adoption.

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

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

- 1) Providing for frontline employee participation in the agency safety committee (here known as the Systemwide Safety Committee [SSC]), including participation in PTASP updates and SMS implementation.
  - a. Since AVTA receives FTA Sec. 5307 funds for an urbanized area with a population of greater than 200,000, AVTA is required to develop and update the PTASP in cooperation with frontline employee representatives on the SSC.
  - b. The SSC shall (1) be convened by a joint labor-management process; and (2) consist of (a) an equal number of frontline employee representatives, selected by a labor organization representing the plurality of the frontline workforce

- employed by the service contractors of AVTA; and (b) an equal number of management representatives from AVTA and its contractors [§5329(d)(5)(A)].
- c. As an action item of the FY 2023-2024 PTASP, AVTA and its contractors will form and implement the SSC (See Exhibit S1-2.) before July 31, 2022.
- d. The SSC is described in Section 9d: Systemwide Safety Committee Formation
- e. The SSC will have until December 31, 2022, to participate in updating the AVTA PTASP and communicate certification to FTA by December 31, 2022.
- 2) Developing strategies to minimize exposure to infectious diseases.
  - a. AVTA has updated PTASP’s Covid-19 Pandemic element to address all infectious diseases. Past practices of the Covid-19 pandemic remain viable strategies for infectious diseases as well.
  - b. Those practices include:
    - i. Following LA Public Health, state, and CDC recommendations and mandates.
    - ii. Monitoring infectious disease conditions and employee health safety.
    - iii. Providing PPE, materials, equipment, and information for and training in infectious disease health safety.
- 3) Establishing a risk reduction program (RRP) and RRP performance targets (the later as established in the future by FTA and the NPTSP).
- 4) Enhance contractor new hire and refresher training curriculums for all safety-sensitive and safety oversight personnel, including SMS awareness training.

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

### **3. SAFETY PERFORMANCE TARGETS**

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

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

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

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

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

\* Collisions, derailments, fires, or life safety evacuations

### 3b. AVTA 2023-2024 Safety Performance Targets

The PTASP 2023-2024 Safety Performance Targets (Exhibit S3-1) are based on the metrics generated by AVTA’s safety performance data in its TransTrack data management system. For the 2023-2024 PTASP, the SPTs were based on three (3) years of available data in the system and on data transmitted each year to the NTD. Systemwide, there were no fatalities, 252 injuries, and 97 safety events (crashes). In terms of rates per 100,000 VRMs and for all modes the rates are shown in Exhibit S3-1 below:

#### AVTA PTASP 2023-2024 Safety Performance Target Calculations

Service Mode	Annual VRM Aver. Last 3 yrs. /1	Total Fatalities	Fatalities /100k VRM	Total Injuries /2 (non-security)	Injuries / 100k VRM	Total Safety Events /2	Safety Events /100k VRM	Total System Reliability Failures /3	System Reliability Failures /100k VRM
Local FR	2,134,696	0	0	241	11.29	70	3.28	5842	273.67
Commuter	729,495	0	0	8	1.10	24	3.29	6,944	951.89
DAR	294,489	0	0	2	0.68	1	0.34	6,777	2,301.2
Microtran	239,586	0	0	1	0.42	2	0.83	4,473	1,866.9
<b>Totals</b>		<b>0</b>		<b>252</b>		<b>97</b>			
<b>Aver./yr. 23-24 SPTs</b>			<b>0</b>	<b>-10%</b>		<b>-10%</b>		<b>-10%</b>	

Exhibit S3-1: Projected Safety Performance Targets for FY 2023-2024

As indicated above, AVTA’ safety performance target for 2023-2024 is to reduce adverse activity by 10% overall.

Table Footnotes:

/1 For years 2020, 2021, & 2022.

/2 For AVTA performance, safety events include primarily vehicle crashes with or without damage, no bus or facility fires & evacuations.

/3 Figures represent mileage between breakdowns or road calls.

In addition, AVTA has tracked the number of assaults on transit workers for the same three (3) year period. As illustrated by Exhibit S3-2, the assaults were mostly on local fixed route service. None of the assaults resulted in the need for medical transport. The SPT for 2023-2024 assaults on transit workers is a reduction of 10%. AVTA will require assault awareness and de-escalation training of all contractor employees and of AVTA administrative staff. AVTA will continue to use mitigation measures such as driver shields, incident reporting, response and visible presence by LA County Sheriff Dept. officers assigned to AVTA, and private security at transit centers. AVTA' safety performance target for assaults against transit workers for 2023-2024 is to reduce adverse activity by 10% overall.

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

Exhibit S3-2 Assaults on Transit Workers



Local Fixed-Route



Local Fixed-Route



Commuter Bus



DAR/Micro Transit/NEMT

**3c. Safety Performance Target Coordination**

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

- State:** California State Department of Transportation (Caltrans):  
 Division of Rail and Mass Transportation  
 POB 942874, MS 39  
 Sacramento, CA 94274-0001  
 (916) 654-8811

Email: [hq.drmt@dot.ca.gov](mailto:hq.drmt@dot.ca.gov)

Date: **September 1, 2023**

- **MPO:** Southern California Association of Governments (SCAG)  
Date: **September 1, 2023**

#### **4. FTA'S APPROACH TO IMPROVED TRANSIT SAFETY - Safety Management Systems (SMS)**

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

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

##### **4a. FTA and SMS**

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

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

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

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

##### **4b. SMS Framework**

Exhibit S4-1 below illustrates the basic framework of SMS. The illustration depicts four (4) pillars (strategies, components) supporting the overall management system. Another way to

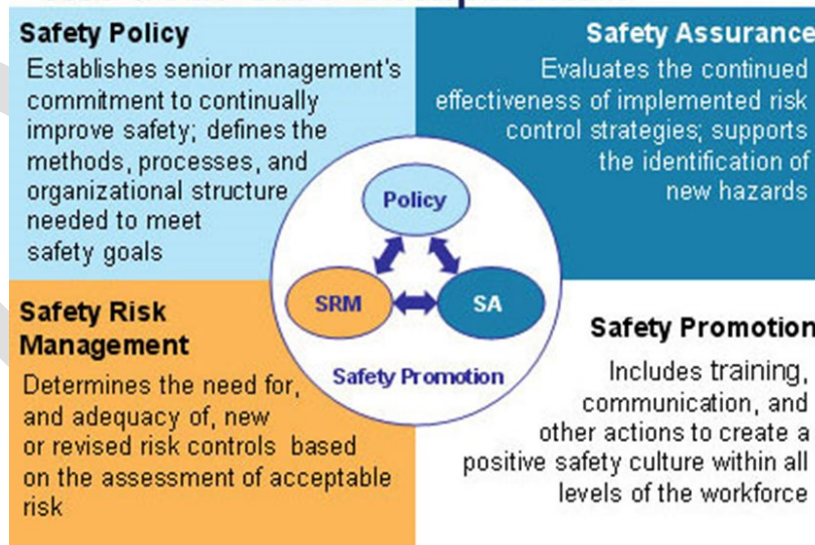
view the four pillars is to view them as four (4) functional components that working together give SMS its strong foundation. The four pillars of SMS are (1) Safety Policies and Objectives; (2) Safety Risk Management; (3) Safety Assurance; and (4) Safety Promotion.



**Exhibit S4-1: SMS Four Pillars**

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

### The Four SMS Components



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

#### 4c. SMS Principles

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

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

#### 4d. SMS and the PTASP

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

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

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

#### 4e. SMS implementation

Refer to Section 14: Documentation and Recordkeeping and Section 15: Recommended Safety Actions for FY 2023-2024.



### 5. SMS PILLAR I. SAFETY MANAGEMENT POLICY

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

## 5a. AVTA Safety Management Policy Statement

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

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

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

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

- GOAL 1: SMS Reduce Casualties/Occurrences
  - In conjunction with its service contractors, AVTA will utilize safety management systems (SMS) principles and its framework to identify safety hazards, mitigate risk, assure mitigation effectiveness, and promote safety management to reduce casualties and occurrences resulting from transit operations.
- GOAL 2: Employee Safety Reporting
  - AVTA will implement a confidential and non-punitive voluntary employee safety reporting program to enhance direct employee participation in improving system safety for AVTA staff and the service contractor employees within their respective companies.
- GOAL 3: Manage Transit Assets
  - AVTA will provide a safe and efficient transit operation through its service contractors by ensuring that all vehicles, equipment, and facilities are regularly inspected, maintained in a state of good repair, and serviced as scheduled.
- GOAL 4: Strengthen Safety Culture
  - In conjunction with its service contractors, AVTA will foster agency-wide support for transit safety by establishing a safety culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

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



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

DRAFT

## **5a.1 Recommended AVTA SMPS**



### **AVTA Safety Management Policy Statement**

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

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

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

Our commitment is to:

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

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

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

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Signature

Martin J. Tompkins, AVTA Executive Director/CEO

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Date

## 5b. Safety Management Policy Communication

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

## 5c. Authorities, Accountabilities, and Responsibilities

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

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

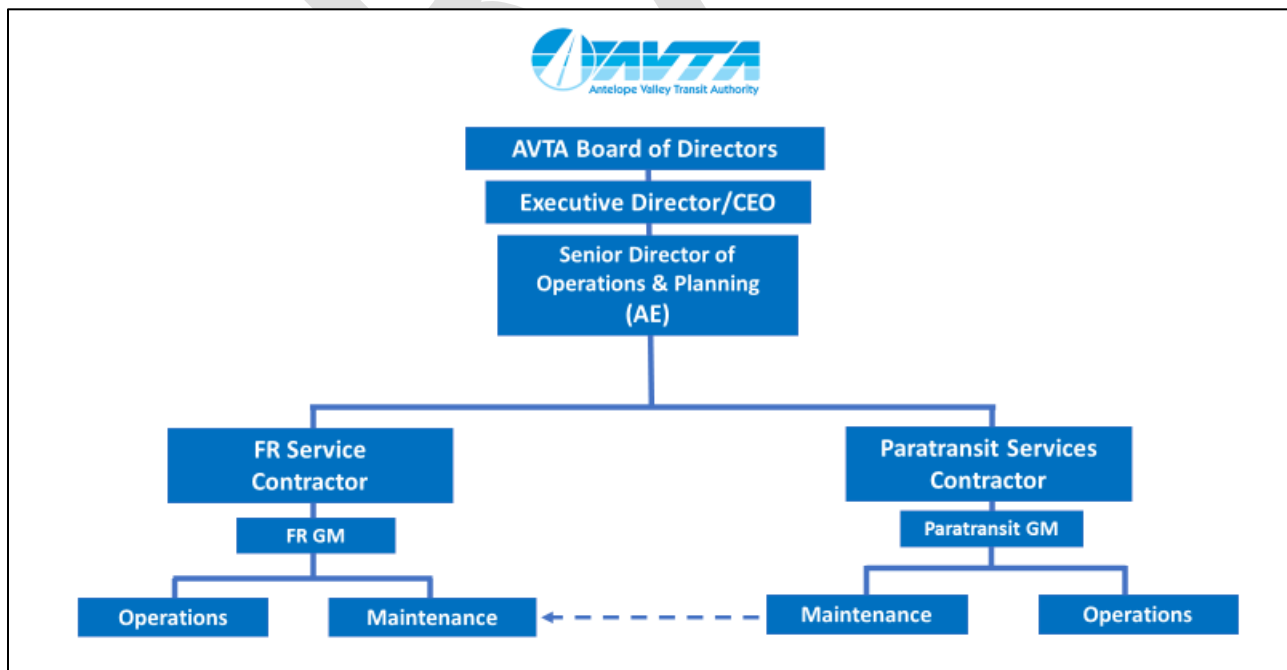


Exhibit S4-3: AVTA – Governance and Service Delivery Model

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

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

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

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

### **5c.2 AVTA Accountable Executive**

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

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

- Provides safety assurance support to AVTA's Purchasing and Contracts Department in the development of specifications, bid documents and bid reviews regarding the procurement transit assets.
- Designates an adequately trained AVTA chief safety officer (CSO) who reports directly to the AE to carry out the duties and responsibilities referred to above.

### **5c.3 Chief Safety Officers**

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

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

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

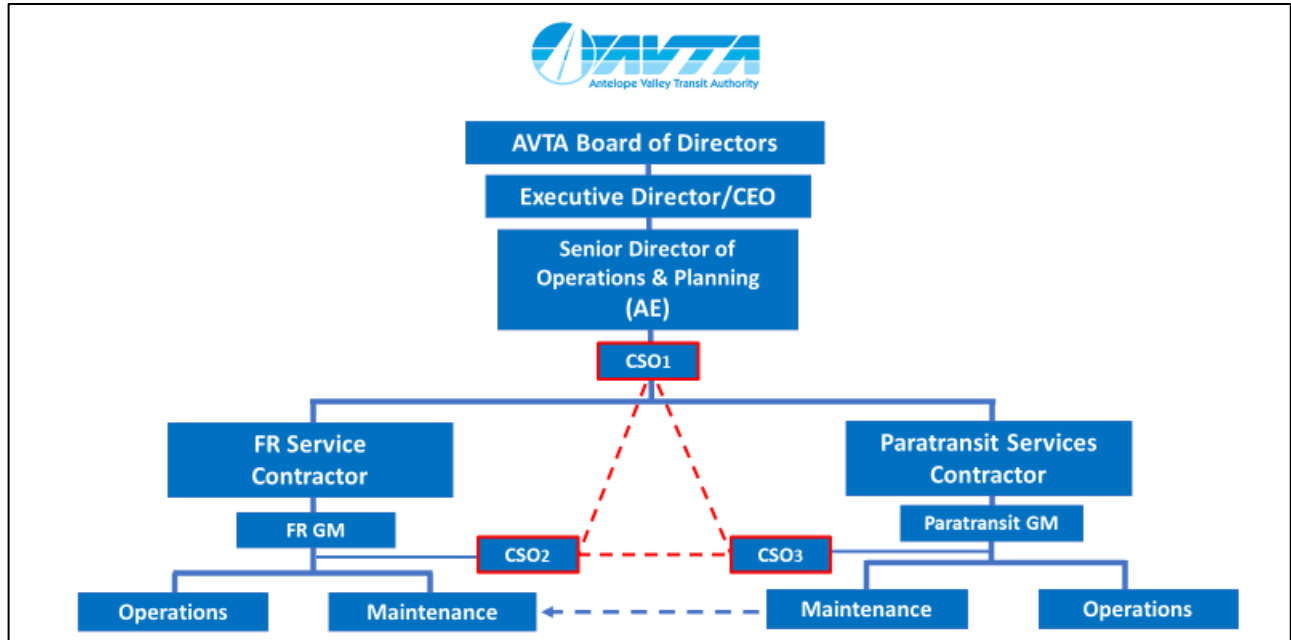
#### **5c.3-1 SMS Accountable Executive Serving as CSO1**

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

- Assures that the intentions and initiatives of the AVTA Safety Management Policy Statement are carried out, including top management's commitment to and leadership required for AVTA's implementation of SMS.
- Develops AVTA's PTASP and SMS priorities, initiatives, planned actions, and resulting policy and procedural mitigations in conjunction with CSO2 and CSO3 and recommends them to the SMS Coordinating Committee and AVTA 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 shall serve as on-site as safety managers and project managers for SMS implementation with their operating entity and service contract.

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

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



**Exhibit S5-1: AVTA Contractor Transit Operations Organization & CSO Linkage**

As illustrated in Exhibit S5-1, the General Manager of each service contractor will designate the CSO2 for their modes of service. i.e., fixed route, Microtransit, DAR or NEMT. For the fixed route service, it can be the safety and training manager, director of operations, or senior supervisor, whatever is the most appropriate position to assume this role. For the DAR operator, it can be a trainer or operations supervisor. The 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 Systemwide Safety Committee along with AVTA staff and representatives of labor and local traffic enforcement and accident investigation. (See Section 9c: SMS Coordinating and Safety Committee.)
- Works with CSO1 in developing AVTA's PTASP and SMS policies and procedures and recommends them to the Operations and SMS Coordinating Committee and senior management for consideration and action.
- Manages the contractor's employee safety reporting system in conjunction with the contractor's on-site general manager.
- Develops a uniform safety reporting system in collaboration and coordination with the CSO1 that includes the required categories of the PTASP's safety performance targets (fatalities, injuries, safety events and system reliability), maintains all accident related and insurance data, assures compliance with and maintains trend data from safety risk management, accident investigation and root cause analysis, and safety assurance reporting on the operation.



- Develops and implements the above AVTA's SMS safety risk management and safety assurance monitoring tools in conjunction with the CSO1 and/or as may be adapted from current safety monitoring tools in use in the service contract.
- Keeps the general manager informed on safety performance, specific safety events, emergencies and progress and the overall status of the PTASP and SMS.
- Identifies substandard safety performance (i.e., unsafe conditions and unsafe acts) in operations and recommends improvements.
- Ensures that contractor's safety objectives are consistent with those of AVTA's mission statement and PTASP, including the AVTA Safety Management Policy Statement, the overall safety goals and objectives, policies, and service agreement.
- Provides Safety Risk Management (SRM) expertise and support for contractor personnel, especially those conducting safety assurance activities.
- Receives any needed safety training as stipulated by the PTASP Final Rule.

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

Attachment 1: Organizational Chart

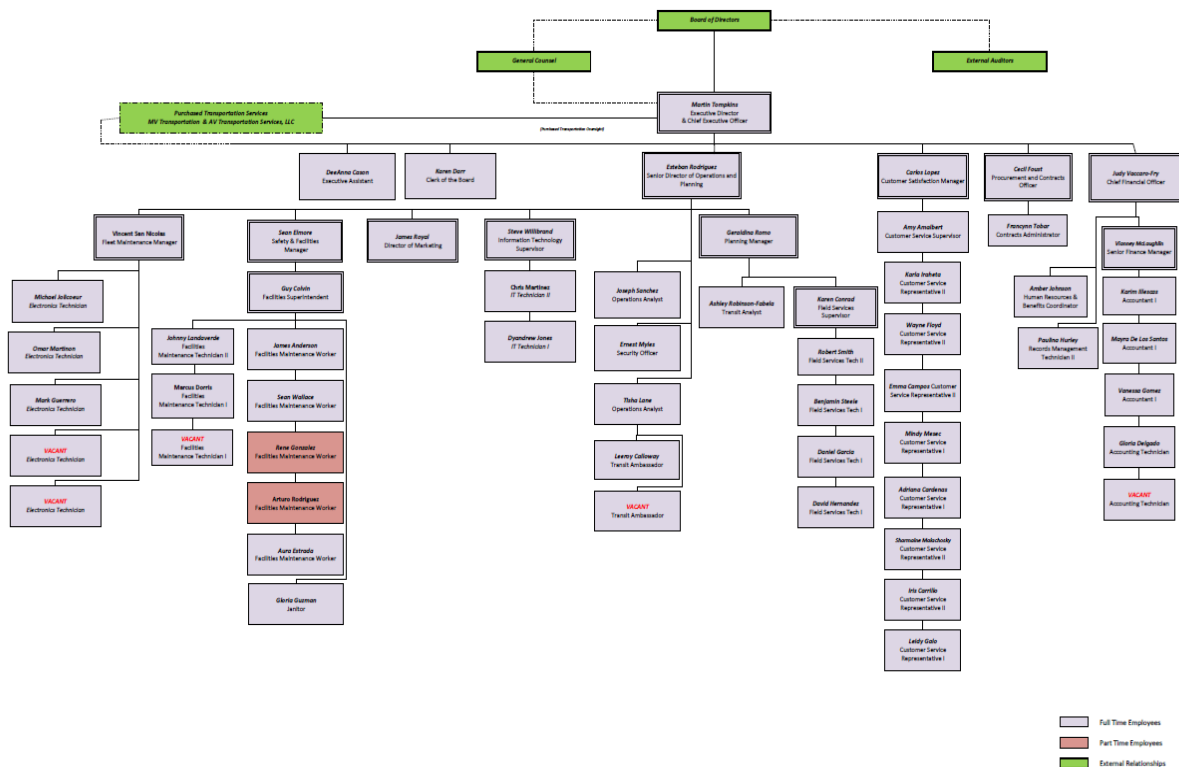


Exhibit S5-2: AVTA Policy and Management Organization Chart FY 2023-2024

## **5d. Agency Leadership and Executive Management**

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

- Executive Director/CEO
- Senior Director of Operations & Planning
- Chief Financial Officer
- Procurement and Contracts Officer
- DBE/EEO Compliance Officer
- Customer Satisfaction Manager
- Maintenance Compliance Manager
- Clerk of the Board

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

- Contract management and oversight of the contractor in accordance with the service agreement.
- Participate 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 contractors include:

### **A. AVTA**

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

- Transit Ambassadors
- LA County Sheriff Assigned Officers

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

- General Manager
- Maintenance Manager
- Operations Manager
- Operation Supervisors
- Quality Controllers and Dispatchers
- Safety and Training Manager
- LA County Sheriff Assigned Officers

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 Operations and SMS Implementation Coordinating Committee, and/or AVTA's Systemwide Safety Committee, and/or the contractor's 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.

The existing AVTA service delivery structure also provides for the SDOP/AE to designate an authorized staff member to serve as CSO1 on behalf of AVTA as well. This arrangement complies with the SMS requirement that the CSO reports directly to a member of AVTA executive management.

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

### **5f. Safety Training for Key Personnel**

A major requirement for a Chief Safety Officer (CSO) is that designated individuals have completed "adequate safety training" as stipulated by the PTASP Final Rule. The training applies to the AVTA CSO1 and the contractor's CSO2. What constitutes "adequate safety training" is left to each transit agency and their PTASP to determine. FTA has suggested that the "adequate safety training" curriculum could follow the required curriculum of the

Transportation Safety Institute's (TSI) Transit Safety and Security Program Certificate. That curriculum contains the following four (4) courses:

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

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

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

## **6. EMPLOYEE SAFETY REPORTING**

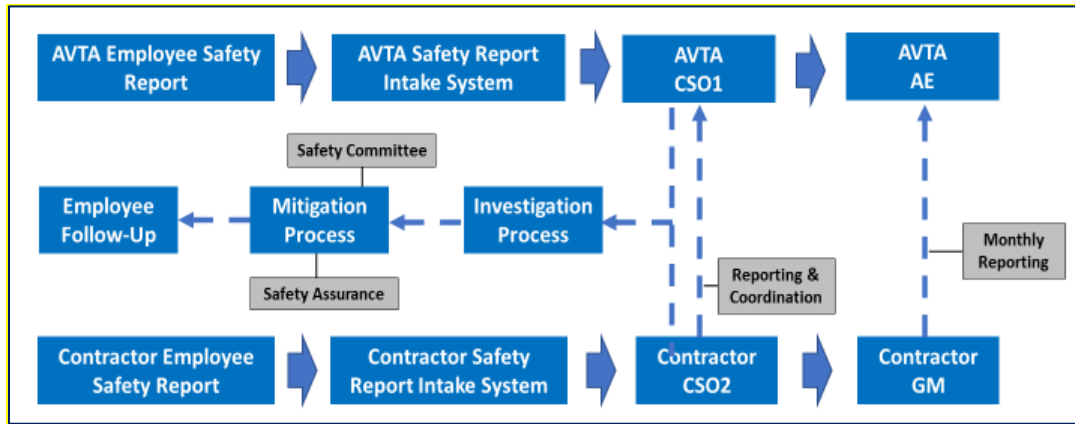
This section describes the process and protections for employees to report safety conditions and performance to senior management. It also addresses employee behaviors that may result in disciplinary action (and therefore, are excluded from disciplinary protection). The intent of an employee safety reporting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

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

### **6a. AVTA Employee Safety Reporting Process**

In accordance with FTA's PTASP Final Rule (49 C.F.R. Part 673.23(b)), AVTA is required to establish an employee safety reporting program (ESRP) for the overall transit system. Since there are three entities managing and operating AVTA transit system (AVTA and two

contractors), each organization should develop its own internal ESRP. Contractors will report any reports to AVTA through their respective channels for compilation for the overall transit system and follow-up action.



**Exhibit S5-4: Process Flow for Employee Safety Reporting**

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

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

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

The elements of the program are as follows:

- The employee reporting system at both AVTA management and administration and the contractor's worksite will provide protection against punitive measures for those making safety reports.
- Employees of AVTA and the service contractor may utilize the following methods for in taking employee safety reports:
  - Written paper forms and/or electronic forms for confidential reports.
  - Verbal with written documentation received during staff, safety meetings, pre-trip inspections and post-trip inspections.
  - Complaints or observations made by customers or reports from the public.
  - Electronic communications (i.e., email).
  - A safety tip lock box.

- The employee reporting system will provide protection against punitive measures for those making safety reports.
- Protection for reporting employees shall be provided through an AVTA and contractor policy of confidentiality, a policy of no retribution and training.
- Employees may make reports through their immediate supervisor, their department manager, directly to the AE or general manager and to their respective CSO. They may also report anonymously through a safety tip box.
- The employee's immediate supervisor, the department manager, the service contractor's on-site safety manager and the general manager & CSO2 shall maintain confidentiality and take no prohibited disciplinary action.
- The reported information may be generalized and combined with other training items for safety meetings.
- As to employee behaviors that may result in disciplinary action, any violations of AVTA or service contractor policies & procedures, preventable accidents, law enforcement traffic and OSHA violations will be handled in accordance with the respective entity's employee handbook, agency policy or company policy.

## **6b. Close Call Reporting**

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

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

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

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

- Events that do and do not qualify for close call safety reporting must be defined for employees by the agency and contractor.
- The close call reporting element offers another tool to identify and assess safety risks in transit operations, and at its best it is an opportunity for employees and management to collaborate in achieving a higher goal – system-wide safety.
- To be effective, all employees of AVTA and of the contractors must work together to improve safety; and the safety reporting system must make everyone feel comfortable

reporting their concerns without fear of potential discipline, reprisal, dismissal, or legal discovery.

- The process of close call reporting may follow those described above for an employee safety reporting program, which is already meant to encourage the reporting of general safety concerns, even if they have not yet resulted in an identified “event”. AVTA and the contractors can utilize existing incident reporting processes, e.g., paper forms or electronic systems to report.
- The close call reporting element is a voluntary system meant to encourage all employees to report events that are noteworthy events that adversely affect safety or have the potential to adversely affect safety, and which would otherwise not have been discovered by management yet nonetheless could be symptoms of problems that could lead to more serious future events.
- Follow-up with systematic report analysis to identify precursors to the safety event that might otherwise have gone undetected or undocumented so that corrective measures can be developed and taken to eliminate or control potential losses with knowledge of and awareness the precursors in similar events.



## 7. SMS PILLAR II: SAFETY RISK MANAGEMENT

The Safety Risk Management Process is the second foundation or pillar of SMS. Safety risk management is a process for identifying hazards and analyzing, assessing, and mitigating safety risks. This process enables AVTA and its service contractors to take a proactive approach to managing safety. The process also helps identify the areas of highest safety risk or of unacceptable safety risk to the transit system. Risks to the transit system change as does the system itself undergoes change over time, such as service operating conditions due to land use development, construction, traffic conditions, demographic shifts, human behavior, and ridership demand pattern changes.

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

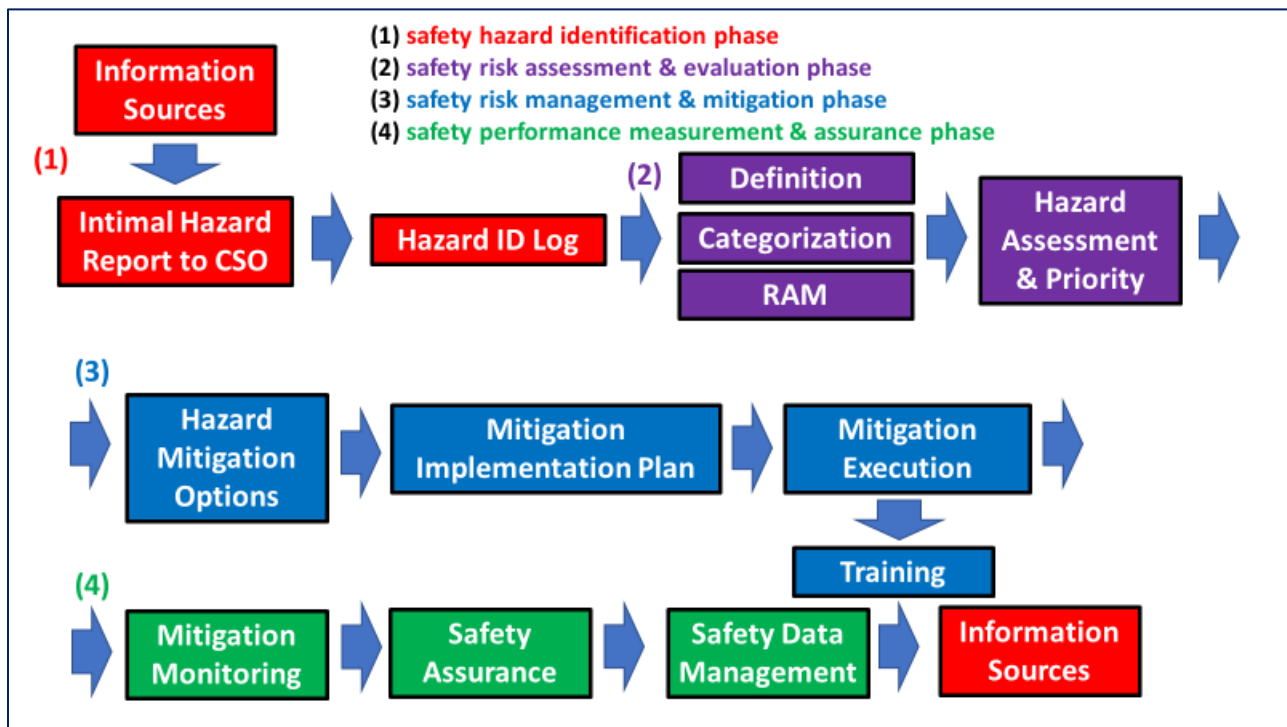


Exhibit S7-1: Hazard Identification and Hazard Mitigation Process Phases

## 7a. Phase 1- Safety Hazard Identification

Processes to identify hazards and consequences of the hazards.

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



AVTA Lancaster Management and Operating Facility

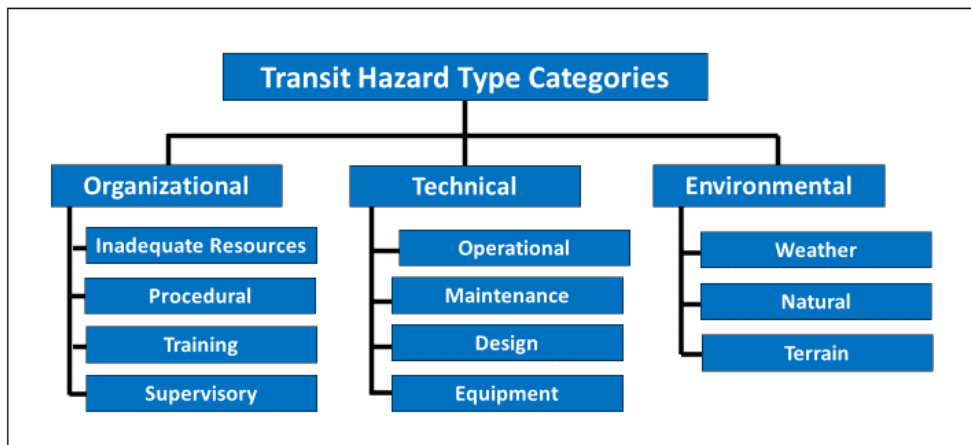


- The service contractors should routinely review and prioritize identified hazards with AVTA. The service contractors should also provide AVTA with action plans to deal with the prioritized hazards and potential consequences in conjunction with their individual safety committees. And, in turn make their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

7a. Footnotes:

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

**7b. Phase 2 – Hazard Type Determination**



**Exhibit S7-2 Safety Hazard Type Categories**

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

## 7c. Phase 2 – Hazard and Safety Event Definitions

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

<b>Safety Risk Management Definition Checklist</b>	
<b>Determining Definition or Category</b>  A situation is either a hazard, potential consequence or safety event if all three (3) characteristics in any one box are true.	<b>POTENTIAL CONSEQUENCE OR LOSS</b>  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.
<b>A Hazard</b>  1. Is real unsafe condition or potential condition. 2. It can cause a consequence (or loss). 3. It is not a safety event.	<b>A Safety Event</b>  1. It is an accident, incident, occurrence 2. It is not a real or potential condition. 3. It has already occurred.

**Exhibit S7-3: Safety Risk Management Definition Checklist**

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

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

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

A Risk Assessment Matrix (RAM) is a chart that plots the severity or potential loss of an event occurring on one axis (horizontal), and the probability or the likely frequency (vertical) of it occurring on the other. A risk assessment identifies and evaluates the hazards and risks of a specified situation. Given a potential hazard, a RAM allows a CSO to measure the degree of adverse impact given the risk probability or likelihood of occurrence and to either reduce the harm it causes or (ideally) prevent it completely than to deal with the consequences.

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

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

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

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

7d Footnotes:

/1 See Appendix H: Sample Risk Assessment Matrix.

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

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

**Exhibit S7-4: Risk Assessment Matrix (RAM)**

## **7e. Phase 3 – Safety Hazard and Risk Mitigation**

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

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

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

- Having the functional area (department) of the transit system take the lead in both identifying department related hazards and options on how to best mitigate the safety issue, including employee participation in developing mitigations or strategies. Obtain input on the mitigating options from the affected employees.
- After analyzing and prioritizing the safety issue, the CSOs may consider researching documentation of good practices applied to the issue or hazard from the transit industry (e.g. LA Metro, Caltrans, TRB, TCRP, TSI, NRTAP, OSHA, insurers, suppliers, legal resources and other internet resources), as well as, seeking advice from other transit operators in the Los Angeles Region, elsewhere in the state or nation (using California Transit Association, CalACT, APTA, CTAA, NRTAP and SWTA for referrals). After synthesizing the input and research material the CSOs and SMS coordinating (safety) committee may be in a better position to decide on the most practical applications.
- Develop an implementation plan for the mitigation selected; and implement the safety improvements, including employee communications and related refresher training.
- Utilize safety assurance to monitor and report on the effectiveness and overall performance of the mitigating measures taken. Obtain feedback as well from the effected employees. Redo the mitigation process if the strategy taken is found not to be performing as expected or inappropriate.

## **7f. Phase 4 – Safety Data Management and Analysis**

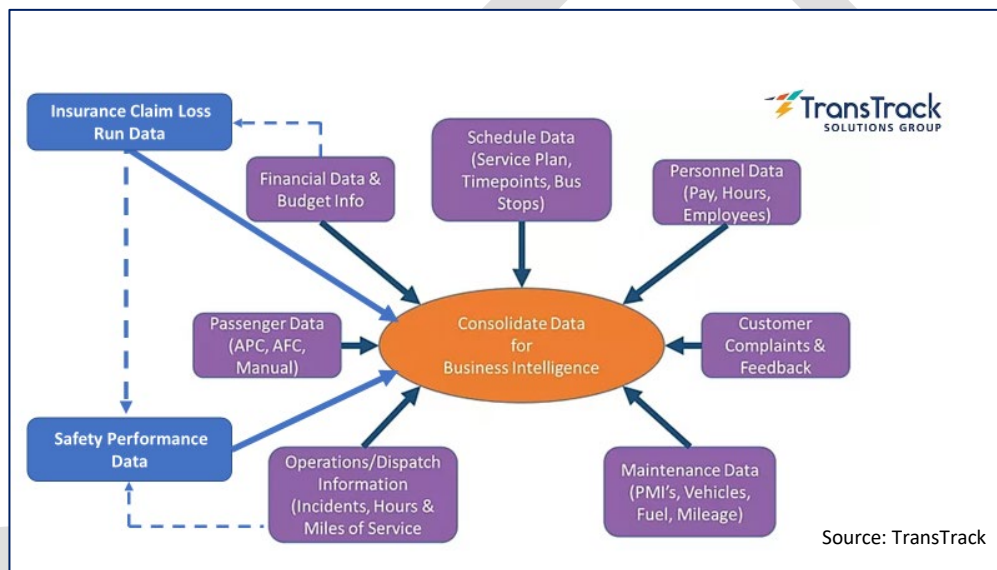
SMS relies on data to make risk-based decisions. The definition of SMS clearly addresses the role of or need for safety data to be able to make data-driven decisions that safeguard personnel and the transit system. To be effective, transit safety data must be safety event and risk-based.

A safety data management approach is a major key to weaving safety into the very fabric of a transit organization. Safety data is both an indicator of how safely the employees do their jobs

and the state of the organization's safety culture. FTA's emphasis on safety data and its analysis is intended to help:

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

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



**Exhibit S7-5: Integrating Safety Performance Data within *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
  - Paratransit - DAR
  - Paratransit - Micro Transit
  - Paratransit - Non-emergency Medical
  - Service Vehicle
  - Employee vehicle for business, or other
- Incident Types:
  - Slip-Trip-Fall
  - Mobility device securement
  - ADA Compliance
  - Mobility
  - Property Damage
  - Crime
  - Assault
  - Employee Injury
  - Vehicle fire
  - HazMat Spill
  - Emergency
  - Other
- Driver Name & Driver ID #
- Responding Field Supervisor Name
- Jurisdiction Traffic Enforcement Responded (Y/N)
- Safety Event Description
  - Injuries (Y/N)
  - CSO & 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)

## **7g Risk Reduction Program**

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

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

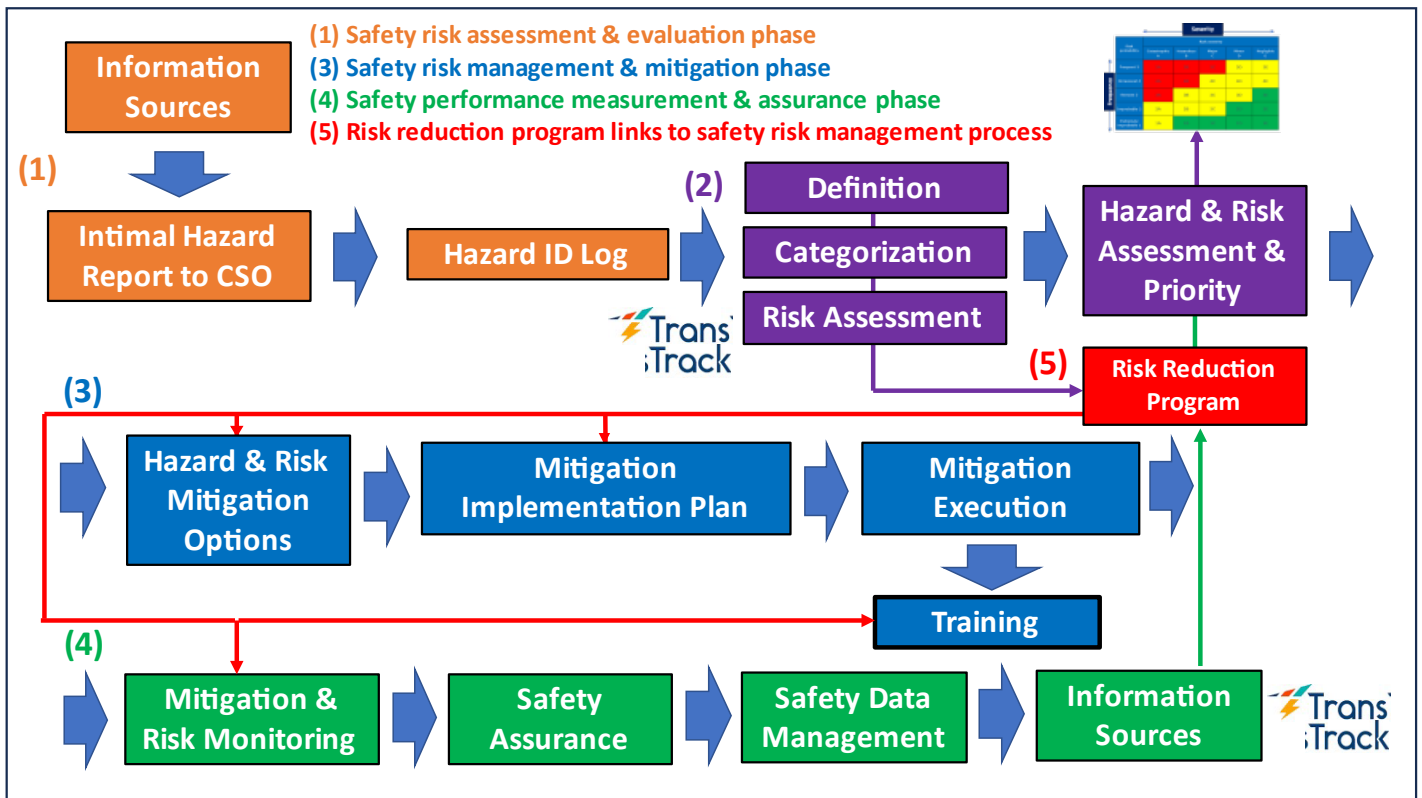


Exhibit S7-6: Hazard Identification, Hazard Mitigation Process with Risk Reduction Program

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

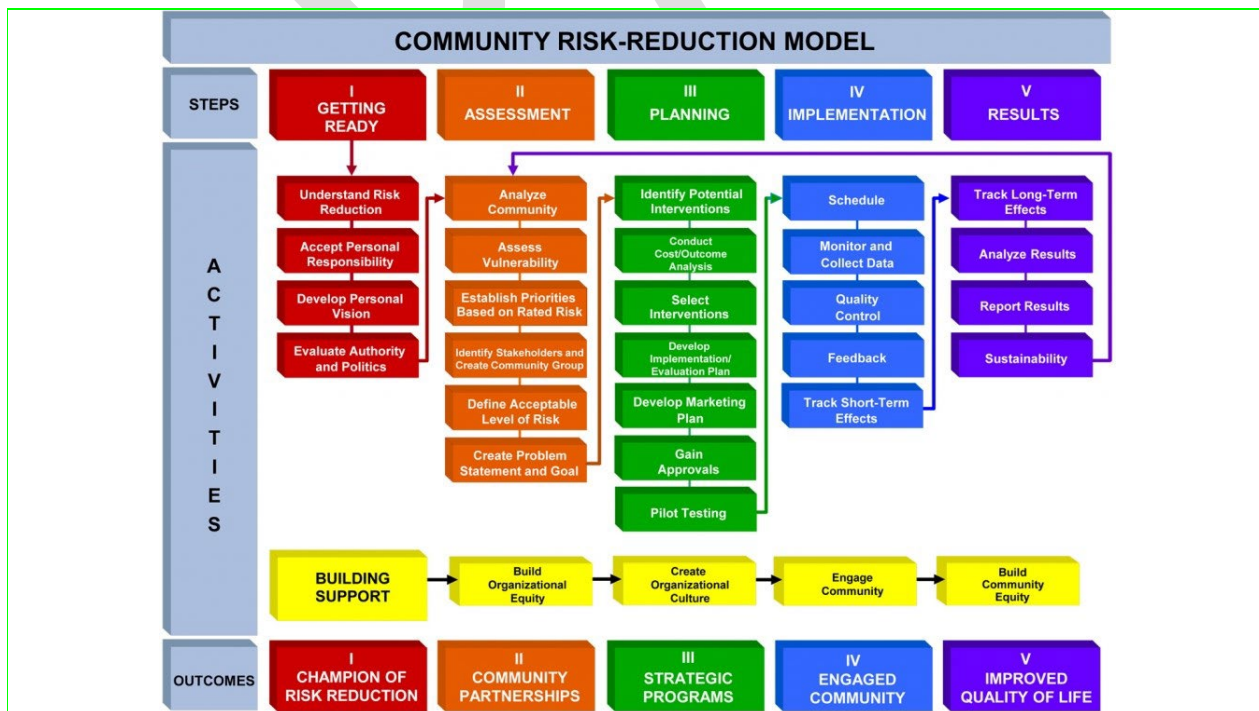
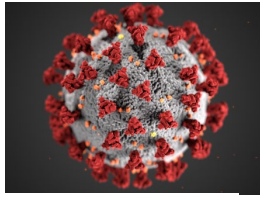


Exhibit S7-7 Community Risk-Reduction Model



## 7h Exposure to Infectious Disease Strategies



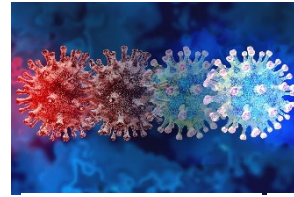
Covid-19 Start



Full PPE Measures



Mandate Relaxation



Covid-19 Variants



Re-masking

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

Currently identified infectious disease risks for FY 2023-2024 include the continuing Covid-19 pandemic with emerging new and highly infectious variants (i.e., B.4 and B.5 variants) and the growing infections in the Country from monkeypox.

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

Monkeypox is still a rare (but possible risk for Antelope Valley) but potentially serious disease caused by the monkeypox virus. It is typically characterized by a new, unexplained rash and skin lesions. Other early symptoms of monkeypox include fever, chills, and swollen lymph nodes. As of the date of this PTASP, L.A. County has experienced under 100 infections. A vaccine for monkeypox is available through L.A. County Health Department.

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



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

- Face masking in all public transportation and indoor transportation hubs as ordered by Los Angeles County Public Health for employees and customers.

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



Bus Interior Disinfection



PPE Stockpile



Continued Vigilance



## 8. SMS PILLAR III. SAFETY ASSURANCE

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

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

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

## **8a. Safety Performance Monitoring and Measurement**

In the delivery of AVTA transit service, the overall safety wellbeing of the system is achieved through safety performance monitoring and measurement. Safety monitoring and regular assessment provide important information for measuring the effectiveness and functioning of other SMS components, i.e. safety policy, safety risk management and safety promotion. AVTA and its contractor may consider various metrics or key performance indicators (KPIs) in establishing safety performance. Section 3 of this PTASP addresses AVTA's safety performance targets for FY 2023-2024 in terms of FTA's required indicators: fatalities, injuries, safety events and system reliability (failures of revenue vehicles to pull-out of the bus yard for service as scheduled).

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

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

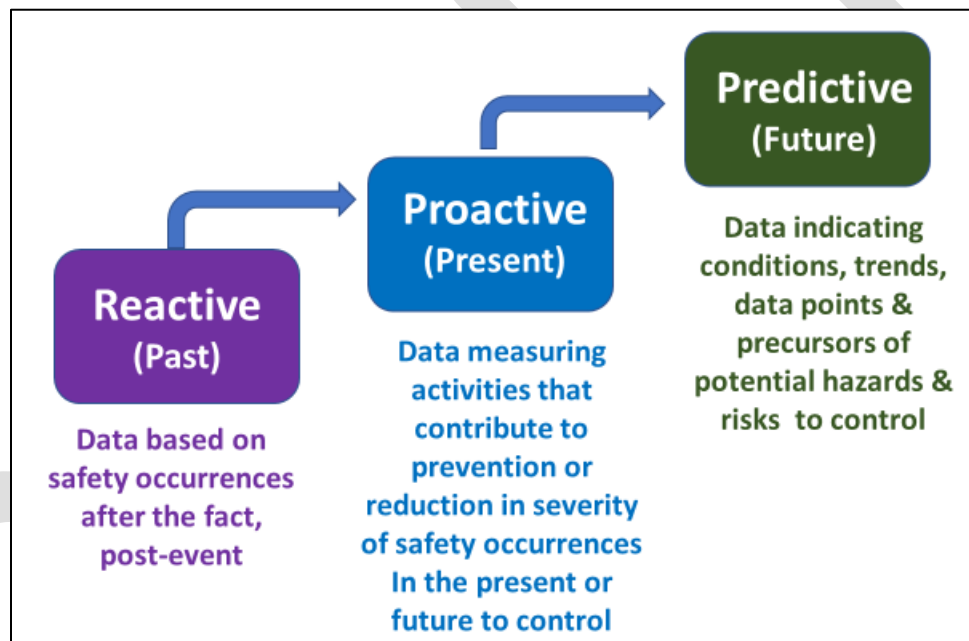
- Number of employees that received SMS Awareness training.
- Number of employees attending monthly safety meetings.
- Number of tailgate safety meetings held.
- Number of new hires receiving full training.
- Safety reviews or audits completed.
- Rate of incomplete pre-trip checks.
- Safety inspections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

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

- Information from accident reporting.
- Accident investigation and root cause analysis.
- Traffic law enforcement (police and highway patrol) reports.

- Insurance claims and loss runs or histories.
- Coaching and retraining.
- Disciplinary and termination actions.
- Rate of employee turnover.
- Breakdown reporting.
- Repairs and replacement.

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



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

### **8b. Complying with Procedures for Operations and Maintenance**

The monitoring of the transit system for compliance with procedures for operations and the established maintenance is currently performed through contract administration and management based on agreement and scope of work between AVTA and its 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 S5-2 AVTA Organization Chart in Section 5. They include the Senior Director of Operations and Planning (also serving as AE/CSO1), the Contracts and Procurement Officer, the Chief Financial Officer, and the Customer Satisfaction Supervisor.

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

- The 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 is 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, including workers' compensation claims.
  - Employee safety reporting.
  - Close call reporting.
  - Practical drift.
  - Employee turnover rates.
- As listed above, the service contractors should also monitor *practical drift* as applies to varying from established AVTA and contractor operating policies and procedures. Practical drift occurs when an employee gradually diverges from written policies, procedures, and training to the point where the employee's unsuitable behavior or drift becomes his or her norm in carrying out their required tasks.
- The service contractors should periodically audit pre-trip and post-trip inspection reports, defect reports and corresponding maintenance work orders to assure that procedures are being complied with. The audits and supporting observations will provide AVTA and contractor senior management and maintenance management the information needed for achieving the "state-of-good-repair" (SGR) objective of the AVTA Transit Asset Management (TAM) Plan.
- The service contractors should also monitor the interface of PTASP objectives and the TAM Plan and (including state of good repair) and report as may be required by AVTA.

- The Safety Performance Guide for Goals, Objectives, and Outcomes (Appendix B) allows AVTA to organize, monitor and evaluate identified safety goals and objectives/outcomes. Examples provided in this resource outline should be adjusted to AVTA's size and scale of operations. Not all examples will apply. Similarly, metrics should be adjusted depending on preference and/or scale of operations.

### 8c. Addressing Ineffective Mitigations

AVTA and the contractors will conduct activities to monitor transit operations to identify any implemented safety risk 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 safety committees may also be charged with this responsibility as well.

Monitoring for ineffective mitigation activities and approaches should include:

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

### 8d. Identifying Causal Factors

Led by the CSOs, AVTA and its 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 Section 7 above for Exhibit S7-2: Safety Hazard Type Categories and Exhibit S7-3: Safety Risk Management Definition Checklist to categorize an event or identified hazard and to define the event or safety problem.
- Establish 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.).

## **8e. Tracking Safety Consequence Causal Factors**

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

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

### Root Cause Analysis Process for AVTA Safety Occurrences

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

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

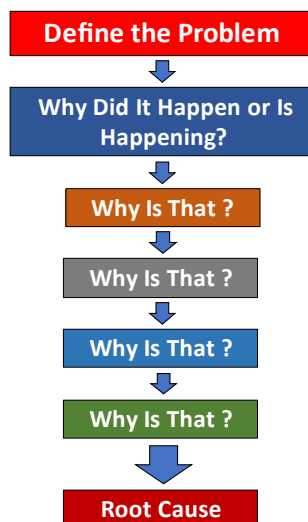


Exhibit S8-2: Five Whys Root Cause Analysis Method

## 8f. Monitoring Internal Safety Reporting

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



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

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

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



## 9. SMS PILLAR IV. SAFETY PROMOTION

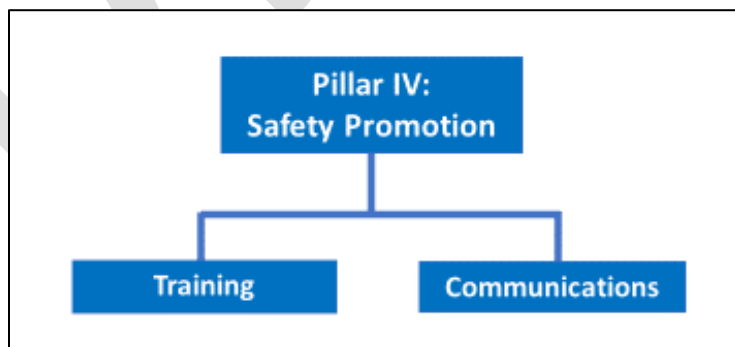


Exhibit S9-1: Safety Promotion Components

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

## **9a. Competencies and Training**

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

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

### Required Safety Training for Safety Oversight

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

### Employee Driver/Vehicle Operator Training

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

#### Organization:

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

- Wellness
- Whistleblower policy

#### Vehicle Operations:

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

#### Fleet Maintenance:

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

- Maintenance shop and bus yard incidents
- Facility structure and infrastructure incidents
- Fire incidents
- Flood incidents
- Hazardous material incidents and storage
- Biohazard spill incidents
- Intentional criminal acts, vandalism, and other property damage
- Industrial Accident Investigation
- Emergency communication procedures
- Near miss and after-action reporting
- Emergency Evacuation Plans and Procedures
- Good housekeeping for Safety
- Right Tools for the Job Safety
- Toolbox Work Assignment and Safety Meetings
- Vehicle equipment and after-market security devices
- Assault awareness and de-escalation training

#### General Safety and Security:

- AVTA PTASP overview
- Safety Management Systems (SMS) Awareness (new)
- Job function SMS applications
- Driver responsibilities under SMS (new)
- Hazard identification and reporting process
- Infectious disease 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 handling
- Risks of driver distractions
- Risks of rushing
- Bus stop risks
- Risks of fare disputes and customer confrontations
- Safety event/accident investigation procedures
- Learning from accident and incident reporting
- Crash and incident evidence preservation
- Accident, facility, and emergency policies and procedures
- Drivers serving as first responder (new)

## All Employee SMS Training

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

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

- iii. Tailoring de-escalation training for specific issues by service mode, i.e., fixed-route, paratransit.



### Change Management Training

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

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

### All Employee De-escalation Training

AVTA will provide assault awareness and de-escalation training for AVTA staff and will require both contractors to provide the same for their employee, including managers, supervisors, office staff, drivers, mechanics, and service workers. Such training will be documented, and status reports made to CSO1. The safety committees and the AVTA-assigned LA Sheriff officers will participate in the development of the curriculum for systemwide assault awareness and de-escalation training.

## **9b. Safety Communications**

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

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

## Safety Direction and Safety Performance

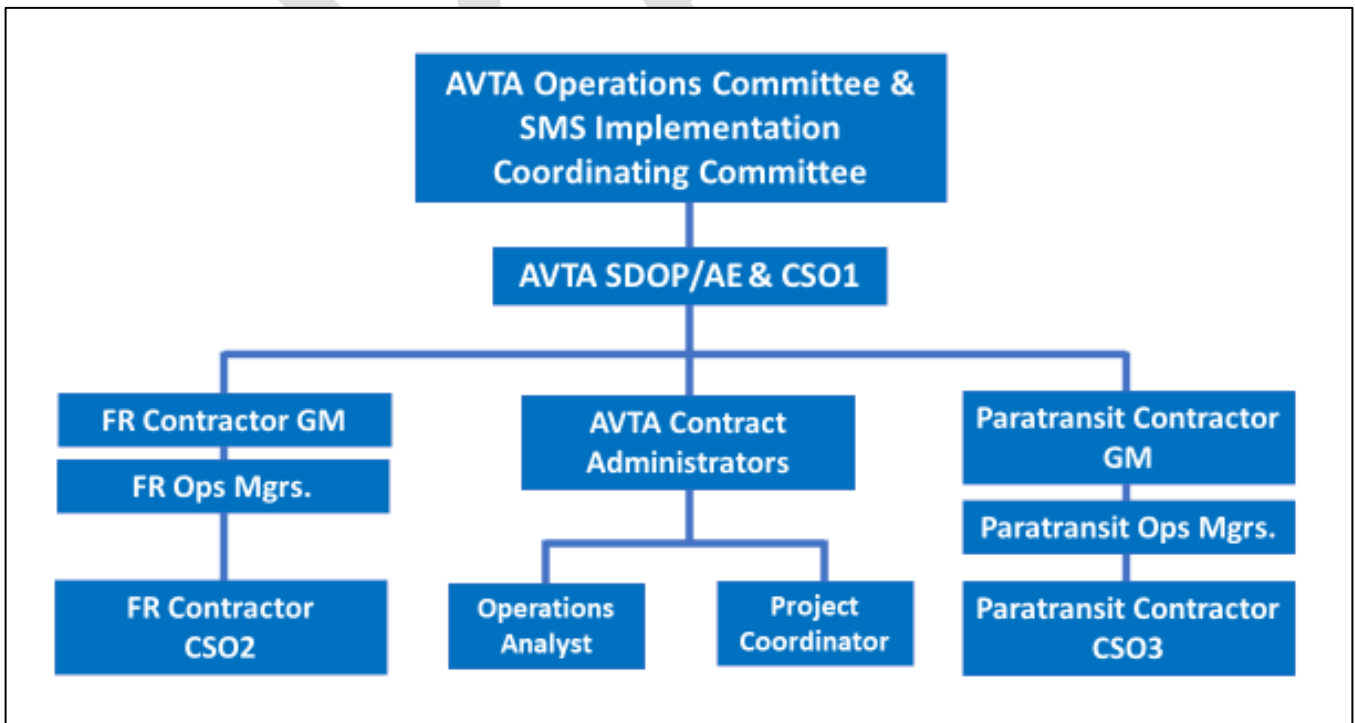
The processes and activities to communicate safety and safety performance information throughout the organizations should encompass the following activities:

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

- Outreach to and build working relations with first responders (fire and police of Lawndale and Palmdale and L.A. County Sheriff Department, especially individuals of traffic enforcement that respond to bus accidents).
- Train drivers to provide oral safety announcements or reminders to boarding and alighting customers (e.g., “*Please watch your step and use handrails.*”).
- The contractors should consider providing safety and security, marketing, messaging and promotions for customer and public safety, such as:
  - Posting of interior advertising bus cards containing safety and security messages.
  - Posting decals or signage as safety reminders within the interior of buses.
  - Promoting safety and security by wearing safety vests while driving or assisting customers.
  - Providing customers with advertising specialties that promote safety and security.
  - Providing infectious disease warning and control signage.

**9c. AVTA Operations Committee**

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



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



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

#### **9d. Systemwide Safety Committee**

The basic function of the AVTA systemwide safety committee (SSC) is to encourage and maintain a safe work environment. A safety committee should foster a sense of ownership by giving employees an opportunity to directly improve safety and reduce injuries within a company, while enhancing communication between management and employees.

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

AVTA should also consider including the AVTA Security Officer, or 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.

The duties of the SSC will include activities of a traditional Safety Committee plus those required of the BIL, such as:

- Development, review, and recommendations as relates to the PTASP.
- Analyzing accident investigation reports, reviewing follow-ups, and reviewing the safety event's causal factors for the purpose of improving the transit system's overall safety.
- Monitoring FTA's required key indicators of fatalities, injuries, safety events and major mechanical failures leading to or resulting from unsafe conditions, unsafe acts, or gaps in organizational safety management.
- Monitoring other safety performance data indicators within the TransTrack management system for more comprehensive safety analysis and trending.
- Monitoring and reviewing close calls for valuable risk management information.
- Monitoring safety reports and safety performance data for improved safety management.
- Monitoring epidemic or pandemic threats and developing recommendations for pandemic infectious disease risk management for the next wave of influenza or COVID-19 coronavirus, influenza, or other zoonotic generated diseases.
- Monitor and follow health and disease management guidance provided by the CDC, CDPH, and LACPHD.
- 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, infectious disease risk management, and safety training for maintenance personnel.

## 9e. Contractor Operational Level Safety Committees

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

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

AVTA will establish a Systemwide Safety Committee (Exhibit S9-1) with links to the contractor safety committees again as illustrated in Exhibit S9-2. Together, the safety committees will work to review, comment, and provide input on the updated PTASP and on how AVTA approaches public and employee safety on its system by July 31, 2022.

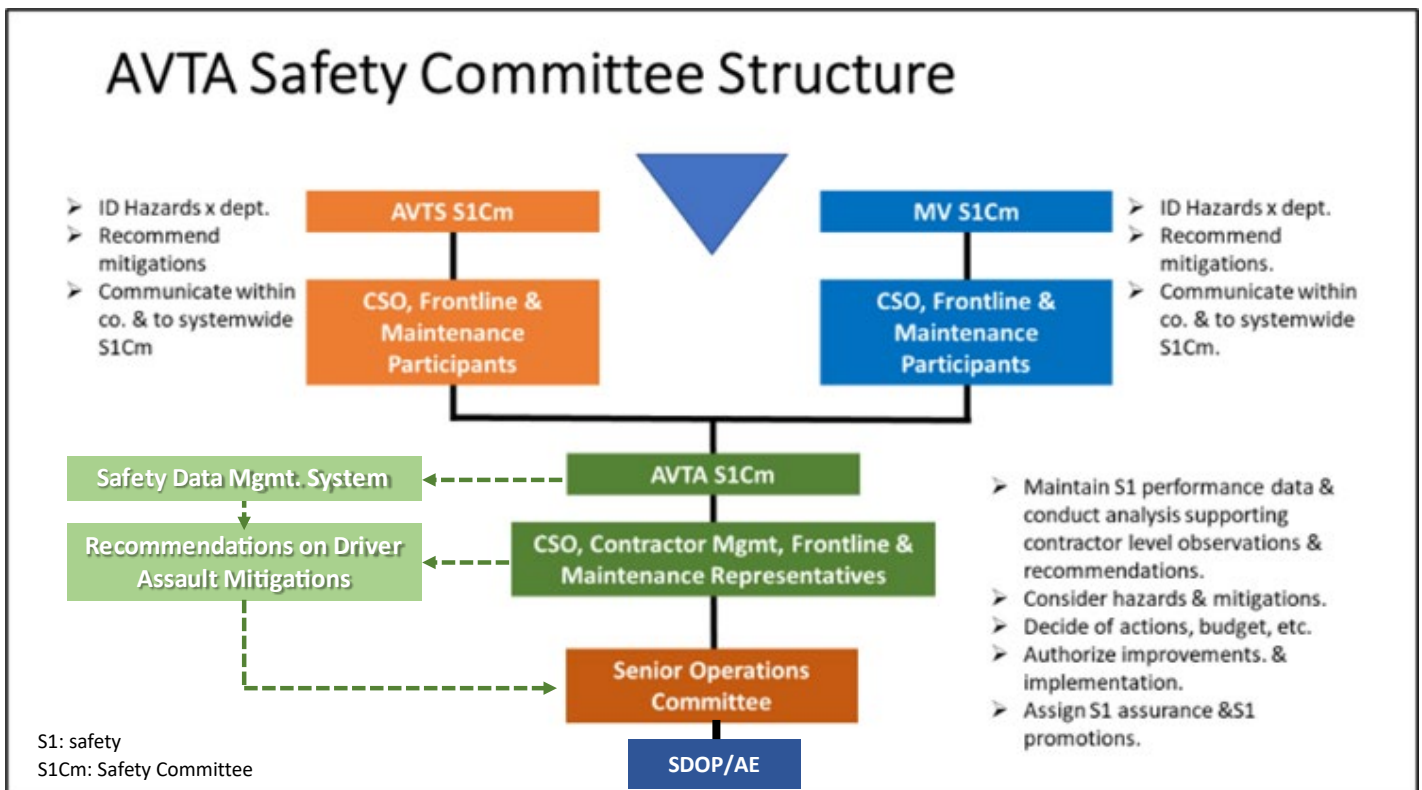
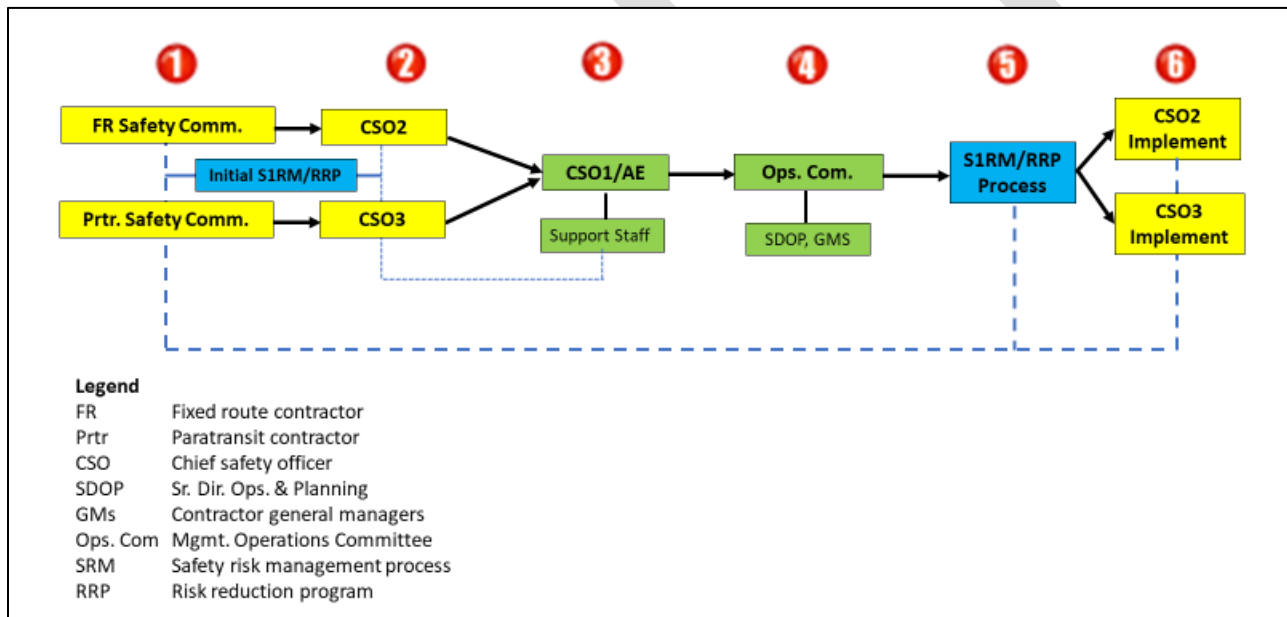


Exhibit S9-3: Contractor Safety Committees & Links to SOC & SDOP/AE

## 9f. Safety Committee Roles and Processes

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

The safety committee structure illustrated by Exhibits 17b and 17c relies on the identification and mitigation of hazards or safety concerns on the operational service level that are mode specific and timely. The recommended structure also allows initial frontline employees to consider and provide input on any identified safety hazard specific to their duties, responsibilities, and workspace.



**Exhibit S9-4: Safety Committees as Catalyst for Systemwide Safety**

The process' general phases are as follows:

- 1) Utilization of established contractor or mode-specific safety committees:
  - a. With operation & maintenance participation, frontline employees bring the perspective of street level safety to one of two contractor safety committees which are again modal specific.
  - b. Safety risk management process is employed from committee's perspective
  - c. Identification of safety concerns come before the internal safety committees through:
    - i. Employee safety reporting program by contractor
    - ii. Hazard identification process by contractor & mode
    - iii. Customer safety complaints by contractor & mode

- iv. Safety data analysis: accident reports, root cause analysis, risk assessments, trend analysis
- v. PTASP planning process at contractor level & mode
- vi. Safety meeting feedback
- vii. Recruitment, screening, hiring phase
- viii. Training
- ix. Other

2) CSO2&3 role:

- a. The CSO for each of the contractor's chairs of their safety committee, facilitate discussions, and synthesize the safety concerns for a report to be forwarded to CSO1.
- b. They also guide the committee to establish the goals and objectives, policy and procedure parameters, and loss control options for the concern being addressed.
- c. CSO2&3 receive process support from AVTA contract administrators.

3) CSO1:

- a. Staff conducts investigations and fact finding with safety data analysis, risk assessment, formal reporting for full Operations Committee consideration.
- b. CSO1 or staff refer safety concerns from contractor s' safety committees to AVTA Operations Committee, where concerns, recommendation, and risk severity are considered, addressed, and moved towards mitigation.
- c. Operations committee conducts safety risk management for mitigation development process & mitigation plan, where internal safety committees participate in developing and planning implementing mitigations (operations, maintenance, organizational, technology, and other mitigations)
- d. OC Monitors progress
- e. Refer to CSOs for planning, & implementation, communications, and training.

4) Management Operations Committee.

5) Safety Risk Management:

- a. Risk reduction program – loss control.
- b. Internal safety committee participation – casual factors, conditions, behaviors.
- c. Root causes examination.
- d. Options for mitigation or correction considered.
- e. Other functions:
  - i. Hazard identification. This is the process of examining each work area and work task for the purpose of identifying all the hazards which are “inherent in the job”.
  - ii. Risk identification.
  - iii. Risk assessment.
  - iv. Risk control.
  - v. Documenting the process.
  - vi. Monitoring and reviewing.
- f. Mitigation authorization

6) Contractor implementation

- a. CSO2&3 responsibility to implement.
- b. Monitor and ensure mitigation performance.

- c. Measure internal safety committee satisfaction.
- d. Training of employees and supervisors

## **9g. Employee Safety Briefings and Meetings**

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

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

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

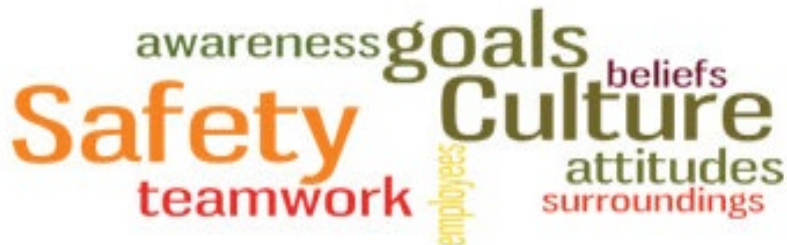
In terms of the maintenance shop, a technique for reminding employee’s safety first is by “toolbox meetings.” Again, these briefings are short and incorporated into the regular morning or shift pre-work assignment briefings. They may include the work assignments per technician, reviews of earlier safety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

## **10. SAFETY CULTURE**

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

## 10a. Safety Culture Concept

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



## 10b. Interdependence Between Safety Culture and SMS

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

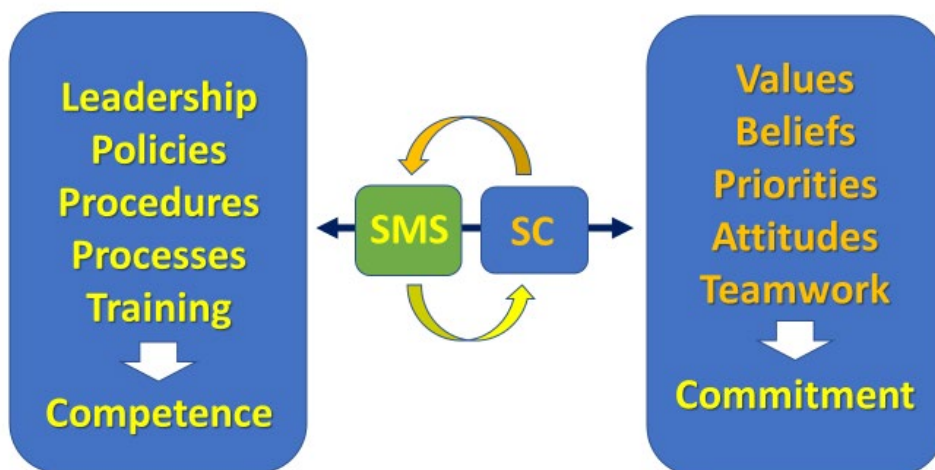


Exhibit S10-1: SMS-Safety Culture Symbiotic Relationship

### 10c. Major Safety Culture Characteristics

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

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



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

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

### 10d. Employee Safety Culture Survey

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

## 11. MANAGEMENT OF CHANGE

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

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

internal transit functional areas, stakeholders, labor, and the jurisdictions being served and between AVTA and the contractors.

Changes to the AVTA system can include the following examples:

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

## **12. CONTINUOUS IMPROVEMENT**

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

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

- (1) Continuously work to identify Improvement opportunities throughout the organization and the various processes used and select a challenge or problem to address.
- (2) Select and focus on the appropriate process for improvement (employee input, SMS Coordinating Committee identified issue, reoccurring issue, review of operational options related to attaining safety performance targets, etc.).
- 3) Plan for the future by considering system and operating condition changes or influences (e.g., COVID-19 pandemic surges, new infectious disease threats (e.g., monkeypox), industry adopted good practices or pending legislative compliance requirements).
- (4) Conduct an analysis of the issues, casual factors and root cause and develop options for improving safety or mitigating a particular safety issue. Continuously improving mitigations through the safety assurance process.
- (5) Act by planning to implement improvements or mitigating measures to correct the root cause (e.g., providing masks or face covering to riders while riding).



(6) Study the results by ensuring that the actions are taken to achieve their intended results.



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

### **13. TAM PLAN & STATE OF GOOD REPAIR**

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

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

### **14. DOCUMENTATION AND RECORDKEEPING**

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

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

## **15. RECOMMENDED SAFETY ACTIONS FOR FY 2023-2024**

### **15a. SMS Implementation**

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

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

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

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

### **15b. SMS Implementation Plan**

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

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

Elements of the SMSIP should include:

- Acceptance and commitment to the Safety Management Policy by key individuals involved in implementation.
- Review and prioritization of recommendations from the PTASP and how they establish key individual roles and responsibilities within SMS.
- Within the structured authorities of contract management and contractor operations (Exhibit S15-1), assigning responsibility for incorporating current or adapted safety activities and the implementation of new safety activities among key individuals.
- Direct lines of communication on safety and SMS matters among key individuals so that collaboration and cooperation are promoted.
- Conducting a gap analysis between existing and contracted SMS elements and PTASP identified elements along the proposed activities or programs for safety policy, safety risk management, safety assurance and safety promotion.
- Reviewing and assuring the effectiveness of established policies and procedures related to safety, including consistency between AVTA and the contractor.
- Communicating safety matters to all employees and seeking employee involvement and input in making safety the priority.
- Development individual action plans for required or recommended elements of PTASP and SMS, including, but not limited to:
  - Establishing an FTA compliant employee safety reporting system.
  - Integrating safety related aspects of AVTA's TAM Plan with those of the PTASP (e.g., state of good repair and system reliability).
  - Revising existing employee training that incorporates SMS awareness.
  - Undertaking required safety management training by the CSOs.
  - Benchmarking the system and facility safety through periodic assessments.
  - Enhancing Transtrack reporting system to include sufficient safety performance data to meet effective data-driven safety decision making.
  - Developing a pandemic risk management plan for the FY 2023-2024.
  - Establishing a formal hazard identification and mitigation development process.
  - Assessing the transit system's current safety culture and identifying those safety cultural characteristics that need improvement or refinement.
- Identifying budget needs for SMS implementation and enhanced safety activities in the AVTA annual budgeting and contract process.
- Linking the TAM Plan adopted by AVTA and the development of a possible pandemic risk management plan with this PTASP.
- Enhance greater community stewardship of the transit system by developing a transit ambassador program that provides staff presence at AVTA facilities and on AVTA vehicles.
- Empower all safety committees to review AVTA's Customer Code of Conduct.
- Develop and implement an FTA-compliant Risk Reduction Program (RRP). A RRP is a safety risk management strategy consisting of risk assessment analysis and development and implementation of hazard or threat mitigations and corrective actions, which are interventions to improve transit system safety and security.

### **15c. SMS Implementation Organizational Linkages**

Again, the SMS implementation structure is illustrated by Exhibit S15-1. The roles, duties, and responsibilities of key positions within the implementation structure are discussed in

Section 5: SMS Pillar II. Safety Management Policy. The major and illustrated structural relationships for the implementation of SMS include:

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

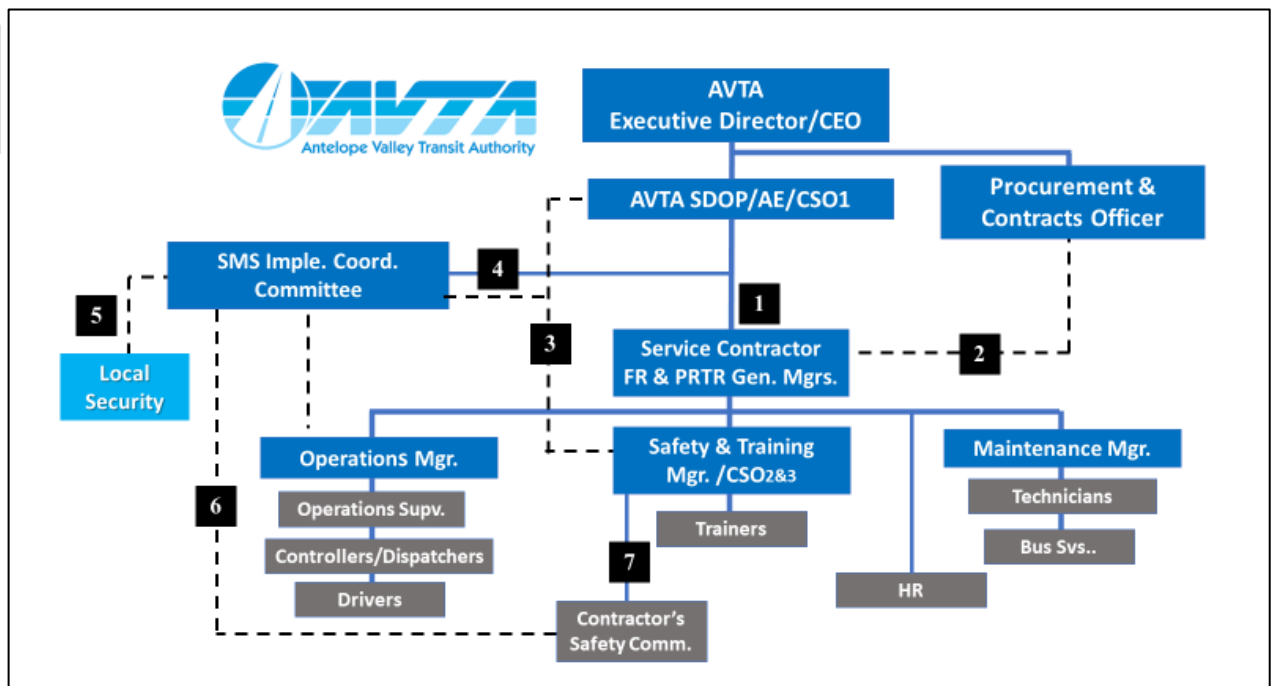


Exhibit S15-1: SMS Implementation Linkages

## 16. ADDITIONAL INFORMATION

### 16.a. Supporting Documentation

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

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

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

17.a. Term	Definition
Cal/OSHA	The California Occupational Safety and Health Administration, a state regulatory department for workplace health and safety.
Commuter Bus	Fixed-route bus systems that primarily connect outlying areas with a central city and operate at least five miles of continuous closed-door service. This service may operate motor coaches (aka over-the-road buses), and usually feature peak time scheduling and limited stops in the destined central city.
Coronavirus/COVID-19	2020 global infectious virus pandemic
COVID-19 wave	Recurrence of coronavirus pandemic after Winter 2020
CSO1	Chief Safety Officer for AVTA
CSO2	Chief Safety Officer for the fixed route contractor
CSO3	Chief Safety Officer for the paratransit contractor
Demand-Response, Dial-A-Ride, Microtransit, Non-Emergency Medical Transportation (NEMT)	Point-to-point transit service where service typically is provided upon request and/or reservation, when boarding and alighting locations are arranged – AVTA paratransit service modes.

Fixed-Route Bus	AVTA local, express, and/or rapid bus service that follows a fixed route and typically also a fixed schedule, including the AVTA Transporter, Lancaster and Palmdale local fixed route, and commuter bus. Passengers typically board and alight at fixed stops.
Pandemic	Global outbreak of infectious disease, i.e., COVID-19/Coronavirus
Paratransit	Non-fixed-route transit services of AVTA, including Dial-A-Ride, Microtransit, Non-Emergency Medical Transportation.
Part 673	The Public Transportation Agency Safety Plan (PTASP) final rule (49 C.F.R. Part 673)
Practical Drift	The slow uncoupling of practice from written policies and procedures. Practical drift usually occurs to fit the needs of the individual, e.g., taking short cuts in procedures or not conducting work as prescribed by training. In the absence of oversight, the needs of the individual will eventually trump the needs of the organization, process, or customers.
Risk Reduction Program	A safety risk management strategy consisting of risk assessment analysis, development and implementation of hazard or threat mitigations and corrective actions, which are interventions to improve transit system safety and security.
TrAMS	FTA's Transit Award Management System – grant management system
Transporter	AVTA commuter route between Antelope Valley and the City of Santa Clarita and their transit system.
TransTrack	AVTA's transit performance data management system, formerly known as TransTrack Transit Performance Manager.

#### **LIST OF ACRONYMS USED IN THE AVTA SAFETY PLAN**

<b>17.b Acronym</b>	<b>Word or Phrase</b>
AE	Accountable Executive for the PTASP
APTA	American Public Transportation Association
ASP	Agency Safety Plan
AVTA	Antelope Valley Transit Authority
CalACT	California Association for Coordinated Transportation
Caltrans	California Department of Transportation

CBA	Collective Bargaining Agreement
CDC	Centers for Disease Control and Prevention
CDPH	California Department of Public Health
CEO	Chief Executive Officer
COO	Chief Operating Officer
COVID-19	Name of the disease caused by the new coronavirus that is called SARS-CoV-2, or sometimes just “novel coronavirus”. Here: same as Coronavirus.
CSO1	Chief Safety Officer of AVTA On the Agency Management Level
CSO2	Chief Safety Officer of the Fixed Route Service Contractor on the Operations Level
CSO3	Chief Safety Officer of the Paratransit Service Contractor on the Operations Level
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
IIPP	Cal/OSHA-required Illness and Prevention Plan
JPA	Joint Powers Authority
LA Metro	Los Angeles County Metropolitan Transportation Authority
LACPHD	Los Angeles County Public Health Department
MCI	Motor Coach Industries – a bus manufacturer
MPO	Metropolitan Planning Organization
NCHRP	National Cooperative Highway Research Program
NEMT	Non-Emergency Medical Transportation
NPTSP	National Public Transportation Safety Plan
NSC	National Safety Council
NTD	National Transit Database

PMT	Passenger Miles
PRMP	Pandemic Risk Management Plan
PRTR	Paratransit
PTASP	Public Transportation Agency Safety Plan
RRP	Risk Reduction Program
SCAG	Southern California Association of Governments
SDOP	Senior Director of Operations and Planning
SMPS	Safety Management Policy Statement
SME	Subject Matter Expert
SMS	Safety Management Systems
SPT	Safety Performance Target
TCRP	Transit Cooperative Research Project
TSI	Transportation Safety Institute
UPT	Unlinked Passenger Trips
VRM	Vehicle Revenue Miles
VRH	Vehicle Revenue Hours





## AVTA PTASP Appendices

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## PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

### Appendix A

#### PTASP Accountable Executive Certification Checklist for Executive Director & CEO

##### AVTA AE Checklist for Bus Transit

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

**Accountable Executive:** Martin J. Tompkins, Executive Director/CEO

**Agency:** Antelope Valley Transit Authority (AVTA)

**Location:** Lancaster, CA - Antelope Valley

**Due Date:** June 27, 2023 SDOP

#### FTA Requirements

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

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

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

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

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

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

## 2. Transit Agency Information

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

## 3. Plan Development, Approval, and Updates

- Name of the entity that drafted the Agency Safety Plan.
- The Accountable Executive's signature on the Agency Safety Plan and date of signature. Executed Date: June 27, 2023
- The Board of Directors' or Equivalent Authority's approval of the Agency Safety Plan and date of approval. Board Adoption Date: June 27, 2023
- Certification of compliance with Part 673, including the name of the individual or entity that certifies the Agency Safety Plan and date of certification. Certification Date: June 27, 2023
- Process and timeline for conducting an annual review and update of the Agency Safety Plan, including the Agency Safety Plan version number and other relevant information.
- The Agency Safety Plan addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan

## 4. Safety Performance Targets

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

- Injuries: Total number of reportable injuries and rate per total vehicle revenue miles, by mode.
- Safety Events: Total number of reportable events and rate per total vehicle revenue miles by mode.
- System Reliability: Mean (or average) distance between major mechanical failures, by mode.
- Performance targets are made available to the State to aid in the planning process. - N/A
  - Agency notified State DOT opting-out of state's role in developing a plan for Agency.
- Performance targets are made available to the Metropolitan Planning Organization(s) (MPOs) to aid in the planning process, i.e., the Southern California Association of Governments (SCAG). Board Adoption Date: June 27, 2023
- Coordination with the State and MPO(s) in the selection of State and MPO safety performance targets, to the maximum extent practicable. Board Adoption Date: June 27, 2023

## 5. Safety Management Policy

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

## 6. Safety Risk Management

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

## 7. Safety Assurance

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

## 8. Safety Promotion

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

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

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

#### **9. Compliance with BIL New PTASP Requirements**

- Implement new Safety Security Committee (SSC) with frontline members and have this committee review, comment, and recommend additional elements for consideration in the updated FY 2023-2024 PTASP.
- After SCC action and Board consideration of any changes, certify to FTA that FY 2023-2024 PTASP is compliant with the PTASP regulation (49 CFR Part 673) on or before December 31, 2022.
- Provide for infectious disease strategies in FY 2023-2024 PTASP to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions, and consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority, minimize exposure to infectious diseases.
- Plan to establish risk reduction program in the FY 2023-2024 PTASP within SMS Safety Risk Management activities, where AVTA shall certify that it has established a comprehensive agency safety plan that will implement a risk reduction program, which includes:
  - (1) A reduction of vehicular and pedestrian accidents involving buses that includes measures to reduce visibility impairments for bus operators that contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments [§5329(d)(1)(I)(i)].
  - (2) The mitigation of assaults on transit workers, including the deployment of assault mitigation infrastructure and technology on buses, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators when a risk analysis performed by the safety committee determines that such barriers or other measures would reduce assaults on transit workers and injuries to transit workers [§5329(d)(1)(I)(ii)].
  - (3) Risk reduction performance targets that the SSC shall establish for the risk reduction program using a 3-year rolling average of the data submitted by the recipient to the National Transit Database [§5335 and §5329(d)(4)(A)] [Note: Performance targets for a risk reduction program are not required to be in place until FTA has updated the National Public Transportation Safety Plan to include applicable performance measures.]
- Implement a risk reduction program through AVTA's contractors to comply with the above requirements by December 31, 2023

- Establish within the FY 2023-2024 PTASP a comprehensive staff training program for bus operating and maintenance personnel and personnel directly responsible for safety of AVTA that includes:

- (1) the completion of a safety training program.
- (2) continuing safety education and training.
- (3) Confrontation de-escalation training.

[§5329(d)(1)(H)]

- Implement the enhanced training program through AVTA's contractors as outlined above before December 31, 2023.

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

Signature:

Date: June 27, 2023

\_\_\_\_\_  
Esteban Rodriguez  
Senior Director of Operations & Planning



**PTASP FY 2023-2024**  
**APPENDIX B**

**Safety Performance Guide for AVTA Goals, Objectives and Outcomes**

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

**Completed by:**

**Last Updated:**

---

**GOAL 1: SMS TO REDUCE CASUALTIES/OCCURRENCES**

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

1. **Objective/Outcome:**

Reduce the number of transit related fatalities.

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

2. **Objective/Outcome:**

Reduce the number of transit related injuries.

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

3. **Objective/Outcome:**

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

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

4. **Objective/Outcome**

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



- a. *Metric: Percent of corrective action strategies complete per specified 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 AVTA Chief Safety Officer (CSO) to manage the AVTA's transit safety program, i.e., Chief Safety Officer.
  - a. *Metric: Number of years of transit safety experience*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish reasonable measure using past and present performance data and trends*
  
2. Objective/Outcome:  
Conduct monthly operating performance meetings with the AVTA senior management, where safety performance and SMS implementation are included in the monthly report by the CSO.
  - a. *Metric: Number of meetings per specified period or number of meetings per incidents/occurrences*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish reasonable measure using past and present performance data and trends*
  
3. Objective/Outcome:  
Conduct regular transit employee and staff safety meetings (i.e. monthly safety meetings, pre-pull out safety briefings and pre-assignment safety briefings). Such meetings and briefings will be comprised of the appropriate staff at varying levels, including executives, officers, managers, operators, and maintenance personnel as required.
  - a. *Metric: Number of meetings per specified period or number of meetings per incidents/occurrences*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish reasonable measure using past and present performance data and trends*
  
4. Objective/Outcome:  
Develop and promote a Non-Punitive Employee Safety Reporting Policy and Procedure
  - a. *Metrics: Percent of staff receiving Non-Punitive Reporting Policy*
    - i. *Number of employee safety reports (1) received; (2) investigated; (3) mitigated; and (4) communicated to reporting employee.*
    - ii. *Percent of staff receiving Non-Punitive Employee Safety Reporting Policy*
  - b. *Baseline: Identify baselines*
  - c. *Target: Establish reasonable measures using past and present performance data and trends*

5. Objective/Outcome:  
Increase the reporting of close call occurrences and incidents that would otherwise go unreported.
  - a. *Metric: Number of close call occurrences/incidents reported per specified passenger-miles traveled or per specified period*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish a reasonable measure using past and present performance data and trends*
  
6. Objective/Outcome:  
Increase employee safety training opportunities and attendance through the addition of SMS Awareness in the new hire training program; attending available transit safety trainings; covering safety in all refresher training events and required training due to changes in the operating system.
  - a. *Metric: Number of employee safety training hours completed per specified period.*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish a reasonable measure using past and present performance data and trends*
  
7. Objective/Outcome:  
Increase safety marketing outreach, including material distributed amongst employees and the public by developing and producing safety messaging and promotions internally to employees and customers and externally to the public that may interface with AVTA service.
  - a. *Metric:*
    - i. *Number of schedules, newsletters, safety brochures, posters or campaigns distributed per specified period.*
    - ii. *Number of visits to the AVTA webpage and safety link*
    - iii. *Number of outreach events to schools, senior organization, bicyclist*
  - b. *Baseline: Identify baselines*
  - c. *Target: Establish a reasonable measure using past and present performance data and trends*

### **GOAL 3: SYSTEMS/EQUIPMENT:**

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

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

2. Objective/Outcome:

Increase scheduled preventative maintenance:

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

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**PTASP FY 2023-2024**

**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.

<b>Completed by:</b>	<b>Date</b>
----------------------	-------------

<b>Position Title</b>	<b>Name of Staff Member</b>	<b>Position Description</b>	<b>Safety Responsibilities</b>
<b>General Manager</b>			
<b>Accountable Exec.</b>			
<b>Chief Safety Officer</b>			
<b>Operations Dir.</b>			
<b>Field &amp; Operations Supervisors</b>			
<b>Dispatch Supervisor/Controller</b>			

<b>Trainers</b>			
<b>Vehicle Operators</b>			
<b>Maintenance Mgr.</b>			
<b>SMS Coordinating &amp; Safety Committee Members</b>			

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**PTASP FY 2023-2024**

**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.

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

	➤ Background check?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Previous employer request form?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Verification of current driver's license and CDL?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Current MVR?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ PARS Reports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Current copy of physical exam certificate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Signed Substance Abuse Policy Acknowledgement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Drug and Alcohol Testing Record with COC and authorization forms?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➤ Record of annual supervisor ride checks and evaluations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Education and Training:</b>	• 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"/>
<b>Safety Meetings:</b>	• 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"/>
<b>Incident and Accident Investigation Procedures:</b>	• 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"/>
<b>Substance Abuse:</b>	• 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"/>
<b>Facility and Shop Inspections:</b>	• 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"/>
<b>Asset Management (Vehicles):</b>	• 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:*

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SIGNATURES:

_____ Signature of Chief Safety Officer	_____ Date of Survey
_____ Signature of Accountable Executive	_____ Date of Review
_____ Signature of Executive Director/CEO	_____ Date of Review



**PTASP FY 2023-2024**

**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.

<b>Completed by:</b>	<b>Date:</b>
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SECTION	REVIEW QUESTIONS	YES	NO	N/A
<b><i>Buildings and Facility Grounds:</i></b>	• 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"/>
<b><i>Lighting:</i></b>	• 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"/>
<b><i>Entrance Doors and Windows:</i></b>	• 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"/>

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

<b>Administrative Procedures:</b>	<ul style="list-style-type: none"> <li>Is a record of emergency data on file for each staff?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Have incident reporting format and procedures been established and staff briefed on them?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are all incident reports treated with confidentiality and transmitted by secure means to the appropriate City/County department?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are background checks conducted and verified on all prospective new hires?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Cash Handling and Transfer:</b>	<ul style="list-style-type: none"> <li>Has a secure method for receipt, transfer and storage of cash been established and have appropriate staff members been trained on them?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Is cash transported by at least two individuals with cash divided between them?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Do all staff members understand that in the event of a robbery they should never risk their lives to protect cash or other valuables?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Fire and Electrical Safety:</b>	<ul style="list-style-type: none"> <li>Are fire extinguishers installed in all appropriate locations?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are smoke and heat detectors installed, at least one on each floor?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Is a first aid kit present and maintained?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are all electrical devices, outlets, circuit breakers and cords free of damage that may pose a shock hazard?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are all electrical circuit, gas, and telephone boxes, if accessible from the outside, locked to prevent tampering?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Do any non-employees have access from outside the building to any fire escapes, stairways, and/or the roof?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are all outdoor trash containers and storage bins located away from the building in the event of a fire?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Comments & Other Observations:**

**SIGNATURES:**

\_\_\_\_\_  
Printed Name of Reviewer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of CSO

\_\_\_\_\_  
Date



**PTASP FY 2023-2024**

**APPENDIX F**

**SAMPLE EMPLOYEE HAZARD IDENTIFICATION FORM**

DATE OF REPORT: \_\_\_\_\_

DATE OF OBSERVATION: \_\_\_\_\_ TIME OF DAY: \_\_\_\_\_ AM / PM

EMPLOYEE NAME: \_\_\_\_\_

EMPLOYEE IDENTIFICATION NUMBER: \_\_\_\_\_

EMPLOYEE'S PROJECT DEPARTMENT: \_\_\_\_\_

EMPLOYEE'S SUPERVISOR: \_\_\_\_\_

HAZARD AREA:     Street Operations     Yard     Office     Maintenance Shop     Other:

Describe Other: \_\_\_\_\_

LOCATION/ADDRESS OF HAZARD:

\_\_\_\_\_

GPS Coordinates: \_\_\_\_\_ X \_\_\_\_\_

LANDMARKS:

\_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

EMPLOYEE'S COMMENTS AND SUGGESTIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

EMPLOYEE'S SIGNATURE: \_\_\_\_\_



**PTASP FY 2023-2024**

**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).

<b>Completed by:</b>	<b>Last Updated:</b>
----------------------	----------------------

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"> <li>• Minimum competency requirements</li> <li>• Effective safety culture in agency (maintenance department)</li> <li>• Effective task planning</li> <li>• Availability of procedures</li> <li>• Procedure reviews and simplification into tasks</li> <li>• Recurrent training</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Competency assessments</li> <li>• Maintenance policy to reinforce need for compliance</li> </ul>	<ul style="list-style-type: none"> <li>• Safety Assurance</li> <li>• Line Manger</li> <li>• Maintenance Manager</li> </ul>
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•

**EXAMPLE**





**PTASP FY 2023-2024**

**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.

<b>Completed by: Insert Reviewer Name</b>	<b>Last Updated: Insert Date</b>
---	----------------------------------

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

\_\_\_\_\_  
Reviewer's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
CSO Signature

\_\_\_\_\_  
Date of Update Review





## **PTASP FY 2023-2024**

### **APPENDIX J**

#### **PTASP Adopted for FY 2023-2024 Recommended Action List**

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

#### **1. Implementation of SMS within AVTA**

- Designate AVTA's CSO1 responsible for implementing SMS on the transit authority's level. (Completed)
- Designate the contractor's CSO2 and CSO3 as the project managers for implementing SMS for the management and operations level within their companies serving AVTA. (Completed)
- At both agency and contractor levels, develop a phased implementation plan addressing all components of SMS.
- Conduct a gap analysis as a part of the implementation plan, where the gap analysis' purpose is to indicate what is needed between existing and proposed safety programs and processes and those required, suggested, or recommended by the PTASP and SMS. (Partially Completed)
- Designate a location for retention of all SMS implementation documentation as required by FTA.
- Notify SCAG (as required) of AVTA's PTASP Safety Performance Annual Targets.
- Certify to FTA that AVTA PTASP has been completed for 2023-2024 in accordance with FTA.
- Train safety committees on adopted PTASP, direction of implementing SMS, and critical role of frontline employees.

#### **2. SMS Safety Policy**

- Communicate AVTA's Safety Management Policy Statement to all AVTA and contractor employees and other applicable stakeholders.
- 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.
- CSO1 review contractor efforts to establish a safety policy and communicate such internal safety policy.

### 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.
- Enhance greater community stewardship of the transit system by developing a transit ambassador program that provides staff presence at AVTA facilities and on AVTA vehicles.
- Empower all safety committees to review AVTA's Customer Code of Conduct.
- Perform gap analysis of contract safety program documents against the PTASP.
- Develop and implement an FTA-compliant Risk Reduction Program (RRP). A RRP is a safety risk management strategy consisting of risk assessment analysis and development and implementation of hazard or threat mitigations and corrective actions, which are interventions to improve transit system safety and security.
- Encourage CSOs to review and apply FTA's *Sample Safety Risk Assessment Matrices for Bus Transit Agencies*, see <https://www.transit.dot.gov/regulations-and-guidance/safety/public-transportation-agency-safety-program/sample-safety-risk>.

### 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.
- Review contractor efforts to attain effective SMS Safety Assurance.

## 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.
- Develop ways to encourage or educate customers of AVTA's Code of Conduct
- 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.
- Promote safety awareness and effective communications through available methods, including:
  - i. Distribute the PTASP and its SMPS.
  - ii. Communicate hazards and safety risk relevant to employee roles and responsibilities
  - iii. Communicate safety actions taken in response to reports submitted through the Employee Safety Reporting Program
  - iv. Message safety through outreach safety marketing and promotional efforts, including:
    - 1. Targeted safety campaigns
    - 2. Dispatcher and road supervisor safety messaging to employees
    - 3. Provide bus operators safety messaging to customers (e.g., "Please watch you step and use handrails.")
    - 4. Bus operator reporting of identified hazards to dispatchers.
    - 5. Safety meetings, toolbox, and tailgate safety briefings
    - 6. Pre-task safety reviews for hazard recognition
    - 7. Mixed-media safety messaging – print, graphic electronic, audible, etc.
    - 8. Maintain or update AVTA's Code of Conduct for new hazards
    - 9. Participate in Palmdale-Lancaster community events with the opportunity to promote transit safety and security
  - v. Implementing contractor proposed safety programs as enhanced after a safety review or gap analysis
  - vi. Formalize and practice the systemwide accident and emergency response notification system.



## **APPENDIX K**

### **SAFETY CULTURE SELF- ASSESSMENT**

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

#### **WHAT IS A SAFETY CULTURE?**

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

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

In a positive safety culture:

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

#### **WHY DO WE NEED A STRONG SAFETY CULTURE?**

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

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

#### **WHAT DOES IT TAKE?**

Genuine commitment to a strong safety culture means you:

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

#### **WHERE DO I START?**

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

The completed questionnaire should be scored as follows:

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

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

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

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

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

**Total Score \_\_\_\_\_**

Organization's Safety Culture Observed Level

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



## APPENDIX L

### AVTA RISK REDUCTION PROGRAM (RRP)

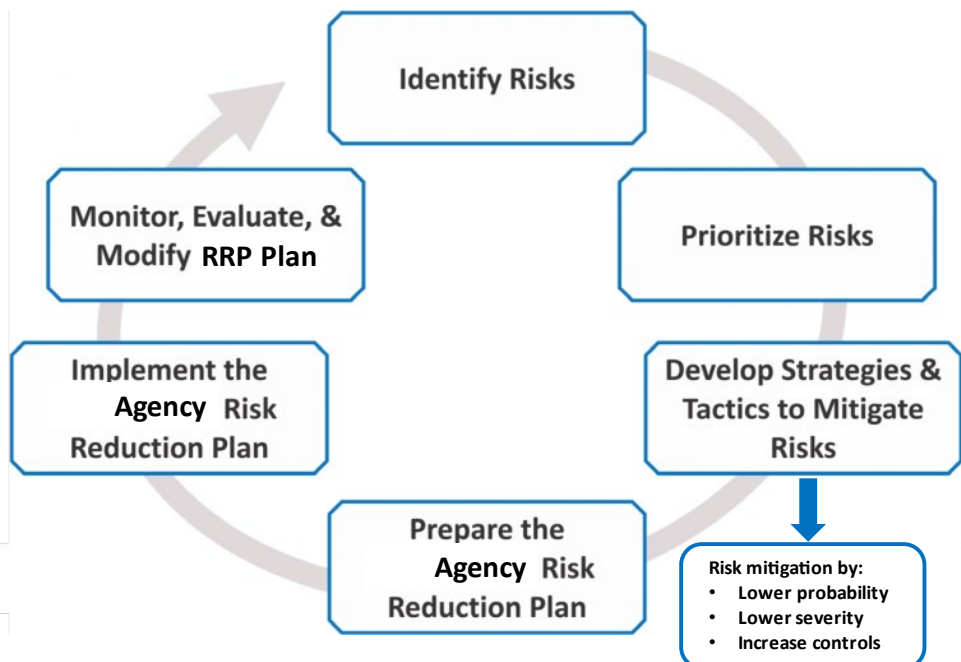
**RRP Purpose:** To deal with risk by preventing loss or reducing the chance that it will occur.

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

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

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

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



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

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

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

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

**Examples of Risk Reduction and Practical Approaches to Consider:**

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

**BOARD OF DIRECTORS**

**ANTELOPE VALLEY TRANSIT AUTHORITY**

**RESOLUTION NO. 2023-008**

**A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY  
TRANSIT AUTHORITY READOPTING THE UPDATED PUBLIC  
TRANSPORTATION AGENCY SAFETY PLAN FOR FISCAL YEAR 2023/2024**

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

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

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

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



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

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

PASSED, APPROVED and ADOPTED this 27<sup>th</sup> day of June, 2023 by the following vote:

AYES: \_\_\_\_\_

NAYS: \_\_\_\_\_ ABSTAIN: \_\_\_\_\_

ABSENT: \_\_\_\_\_

\_\_\_\_\_  
Marvin Crist, Chairman

ATTEST:

APPROVED AS TO FORM:

\_\_\_\_\_  
Karen S. Darr, Clerk of the Board

\_\_\_\_\_  
Allison E. Burns, General Counsel



**DATE:** June 27, 2023  
**TO:** BOARD OF DIRECTORS  
**SUBJECT:** Destruction of AVTA Records

---

**RECOMMENDATION:**

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

**FISCAL IMPACT:**

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

**BACKGROUND:**

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

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

Prepared by:

Submitted by:

---

Paulina Hurley  
Records Technician II

---

Martin J. Tompkins  
Executive Director/CEO

Attachment: A – Q3 Records Destruction List

CC 4 - ATTACHMENT A

File Number	File Name (Line #1)	Description (Line #2)	Date (Line #3)	Retention Year	Triggering Event	Quarter 3	Responsible Party	Approval Signature
0110-93	KEY PERFORMANCE INDICATORS		FY 2014/2015	2023	+8YRS	Q3	Martin Tompkins	
0160-20	TDA ARTICLE 8		FY 2012/2013	2023	10Y	Q3	Martin Tompkins	
0660-05	JONES BRENT		12/24/2012 (CLOSED 09/19/2013)	2023	FR +10YRS	Q3	Martin Tompkins	
0660-05	LEAKES YOLANDA		11/07/2011 (CLOSED 07/16/2013)	2023	FR +10YRS	Q3	Martin Tompkins	
0660-05	WILSON MICHAEL		02/07/2012 (CLOSED 07/18/2013)	2023	FR +10YRS	Q3	Martin Tompkins	
0740-40	QUARTERLY REPORTS	LOS ANGELES COUNTY SHERIFFS DEPARTMENT	FY 2019/2020	2023	3YRS	Q3	Martin Tompkins	
0660-05	BROWN DENNIS		08/06/2007 (CLOSED 12/31/2011)	2021	FR +10 years	Q4 CY 2021	Martin Tompkins	
0660-30	STENBECK KATHLEEN	GUARDIAN FOR LILIANNA JUAREZ	10/20/2006 (CLOSED 08/06/2009)	2019	FR +10 years	Q3 CY 2019	Martin Tompkins	
0410-78	CAPITAL RESERVES REPORTS		FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0420-20	AIRDRAULICS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AIRDRAULICS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AIRGAS		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AIRGAS WEST		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AIRGAS WEST		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	ALS LABORATORY GROUP		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	ANTELOPE VALLEY FORD		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	APPLE		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	ARAMARK		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	ATR TRANSMISSION REMANUFACTURING		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AUTO GLASS 2000		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AUTO GLASS 2000		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AV AUTO PAINT & SUPPLIES		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AV AUTO PAINT & SUPPLIES		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AV AUTO PAINT & SUPPLIES		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AV PRESS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	AXES FIRE PROTECTION		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	BELL STEEL		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	BEST SOURCE DISTRIBUTING		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	BOERNER		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	BOOT BARN		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	BULBS.COM		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	

File Number	File Name (Line #1)	Description (Line #2)	Date (Line #3)	Retention Year	Triggering Event	Quarter 3	Responsible Party	Approval Signature
0420-20	BULBS.COM		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	BUSWEST		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	BUSWEST		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	C M OVERHEAD DOORS		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	CAL STATE AUTO PARTS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	CALIFORNIA AIR SYSTEM		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	CALIFORNIA TOOL WELDING		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	CARQUEST AUTO PARTS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	CARRIER TRANSCOLD OF S CALIFORNIA		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	COMPLETE COACH WORKS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	CREATIVE BUS SALES		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	CUMMINS CAL PACIFIC		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	DALES HITCHIN STATION		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	DALES HITCHIN STATION		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	DAN BOYLE		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	DIESEL & AUTO MACHINE SHOP		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	EVAULT		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	FLEET PRIDE		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	FLEET PRIDE	VOL 1 OF 2	FY 2011/2012 (JULY-DEC)	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	G&M CLEANERS		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	GEOGRAPHIC DATA & MANAGEMENT SOLUTIONS		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	GFI GENFARE		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	GFI GENFARE		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	GOLDEN STATE LABOR COMPLIANCE		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	GRAFFITI GUARDS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	GRAINGER		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	GRAINGER		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	GREENE EUGENE		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	H&H WHOLESALE		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	H&H WHOLESALE		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	HAAKER EQUIPMENT		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	

File Number	File Name (Line #1)	Description (Line #2)	Date (Line #3)	Retention Year	Triggering Event	Quarter 3	Responsible Party	Approval Signature
0420-20	HD INDUSTRIES		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	HG MAKELIM		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	HG MAKELIM		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	HIGH POINT DISTRIBUTION		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	HOME DEPOT CREDIT SERVICES		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	HOME DEPOT CREDIT SERVICES		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	HSBC BUSINESS SOLUTIONS	NORTHERN TOOL	FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	HSBC BUSINESS SOLUTIONS	NORTHERN TOOL	FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	HSBC BUSINESS SOLUTIONS-NORTHERN TOOL		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	INSIGHT		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	INSIGHT PUBLIC SECTOR		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	INTERSTATE BATTERY SYSTEM OF AV		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	INTERSTATE BATTERY SYSTEM OF AV		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	JOHNSTONE SUPPLY		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	JOHNSTONE SUPPLY		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	JOHNSTONE SUPPLY		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	KEYS ROBERT		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	KIMBALL MIDWEST		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	KIOSKPROS		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	KONECRANES		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	KWIK KEY		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	LIBERTY MOTOR SPORTS & RADIATOR		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	LIFTU		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	LOS ANGELES FREIGHTLINER		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MAR CO EQUIPMENT		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MAR CO EQUIPMENT		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MATRIX AUDIO VISUAL DESIGNS		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MCI PARTS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MCI SERVICE PARTS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MCI SERVICE PARTS		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MCMaster CARR		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	

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0420-20	MCMASTER CARR		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MICHELSON LABORATORIES		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MORE PREPARED		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MOTION INDUSTRICS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MOTION INDUSTRIES		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MOTION INDUSTRIES		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	MUNCIE TRANSIT SUPPLY		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	N/S		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	NABI		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	NAPA AUTO PARTS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	NAPA AUTO PARTS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	NELSON NYGAARD		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	NETWORK HARDWARE RESALE		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	NEWARK		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	OLS SERVICE		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	ORANGE COAST PETROLEUM EQUIPMENT		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	OVERLAND CUSTOM COACH		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PARKHOUSE TIRE	VOL 1 OF 2	FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PARKHOUSE TIRE	VOL 2 OF 2	FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PARKHOUSE TIRE	VOL 2 OF 4	FY 2011/2012 (OCT-DEC)	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PATTON SALES		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PATTON SALES		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PB AMERICAS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PERFORMANCE ALLISON		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PERFORMANCE ALLISON		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PETER BARRON STARK		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PETER BARRON STARK		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PETERSON HYDRAULICS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PETERSON HYDRAULICS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PETERSON HYDRAULICS		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	PETRO LOCK		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	

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0420-20	PREMIERE INDUSTRIES		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	QUINTE PLASTICS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	RADIATOR DEPOT		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	RALLY AUTO GROUP		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	RALLY AUTO GROUP		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	RED MOUNTAIN		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	RITEWAY ALTERNATOR & STARTER		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	RITEWAY ALTERNATOR & STARTER		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SAFETYKLEEN		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SAFETYKLEEN		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SAMYS CAMERA		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SAMYS CAMERA		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SCMH		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SHI SOFTWARE HARDWARE INTEGRATION		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SHI SOFTWARE HARDWARE INTEGRATION		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SIGN WAREHOUSE		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SULLY & SON HYDRAULICS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	SUPERIOR AUTO INTERIORS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TCW SYSTEMS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TCW SYSTEMS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TENNANT SALES		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TIRE XPRESS		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TK SERVICES		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TOM JOHNS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TRAFFIC CONTROL SERVICE		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TRANSIT TALENT		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TRANSIT TALENT		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TYLER TECHNOLOGIES		FY 2009/2010	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TYLER TECHNOLOGIES		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	TYLER TECHNOLOGIES		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	UNITED PARCEL SERVICE		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	

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0420-20	UNITED RENTALS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	UNITED STATES OF AMERICA	FEDERAL TRANSIT ADMINISTRATION	FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	URBAN RESTORATION GROUP		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	US BANK		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	VALLEY POWER SYSTEMS		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	VALLEY POWER SYSTEMS	VOL 1 (JULY - OCT)	FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	VALLEY POWER SYSTEMS	VOL 3 (MAR - JUNE)	FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	VALLEY POWER SYSTEMS	VOL 2 OF 4	FY 2011/2012 (OCT-DEC)	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	VALLEY POWER SYSTEMS		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	VALLEY POWER SYSTEMS	VOL 2 (NOV - FEB)	FY 2020/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	VALLEY PRESS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	VOLANTIS		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	WALSMA OIL		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	WASTE MANAGEMENT LAMPTRACKER		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	WATTCO		FY 2013/2014	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	WAXIE SANITARY SUPPLY		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	WAXIE SANITARY SUPPLY		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	WESTERN PACIFIC ROOFING		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	WHEEL CHECK		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	WINZER		FY 2010/2011	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	WINZER		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	ZONAR SYSTEMS		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	ZONES		FY 2011/2012	2023	GRANT+3 YRS	Q3	Judy Fry	
0420-20	ZONES		FY 2012/2013	2023	GRANT+3 YRS	Q3	Judy Fry	
0450-20	UNION BANK	APRIL 2016	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK	AUGUST 2015	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK	DECEMBER 2015	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK	FEBRUARY 2016	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK	JANUARY 2016	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK	JUNE 2016	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK	MARCH 2016	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	



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0450-20	UNION BANK	MAY 2016	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK	NOVEMBER 2015	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK	OCTOBER 2015	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK	SEPTEMBER 2015	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0450-20	UNION BANK / BANK OF AMERICA	JULY 2015	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0460-20	BUDGET 5 YEAR COMPARATIVE PROJECTION	WITH MAINTENANCE & WITHOUT	FROM FY 2010/11 THRU FY 2015/16	2023	FY+7YRS	Q3	Judy Fry	
0460-20	BUDGET PROCESSES STRATEGY	& WORKING CALENDAR	FY 2015/2016	2023	FY+7YRS	Q3	Judy Fry	
0475-90	INVESTMENT POLICY/LAIF AUTHORIZATIONS	SUPERSEDED	FY 2015/2016	2023	Superseded+7YRS	Q3	Judy Fry	
0490-93	INVENTORY	PHYSICAL COUNTS	CY 2015	2022	FY+7Y	Q3	Judy Fry	
0490-93	INVENTORY	PHYSICAL COUNTS	CY 2016	2023	FY+7Y	Q3	Judy Fry	
0670-40	VINSA	AUTO INSURANCE CLAIMS	CY 2015	2023	FY+7Y	Q3	Judy Fry	
0210-10	VEHICLE #209	2010 FORD	FROM 12/01/2009 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #211	2010 FORD	FROM 12/01/2009 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #303		FROM 07/01/1992 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #304		FROM 07/01/1992 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #305		FROM 07/01/1992 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #308		FROM 07/01/1992 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #309		FROM 07/01/1992 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #3331		FROM 12/01/2003 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #3332		FROM 12/01/2003 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #3333		FROM 12/01/2003 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #3334		FROM 12/01/2003 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #3335		FROM 12/01/2003 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #3336		FROM 12/01/2003 THRU 08/17/2019	2023	DISPOSITION +4 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4355		FROM 06/23/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4356		FROM 09/18/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4357		FROM 09/18/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4358		FROM 09/19/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4359		FROM 09/19/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4360		FROM 10/22/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4361		FROM 10/22/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	

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0210-10	VEHICLE #4362		FROM 10/23/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4363		FROM 10/23/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4364		FROM 10/23/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4365		FROM 10/23/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4366		FROM 10/25/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4367		FROM 10/25/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4368		FROM 10/25/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0210-10	VEHICLE #4369		FROM 10/25/2012 THRU 09/27/2019	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Joseph Sanchez	
0610-10	N AMERICAN BUS INDUSTRIES (NABI)	40 FT BUSES LOW FLOOR (6) VOL 1 OF 2	CY 2003	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Cecil Foust	
0610-10	N AMERICAN BUS INDUSTRIES (NABI)	40 FT BUSES LOW FLOOR (6) VOL 2 OF 2	CY 2003	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Cecil Foust	
0610-10	GILLIG	PURCHASE (15) BUSES THRU LYNX	FROM 06/10/2011 THRU 11/28/2012	2023	DISPOSITION+4	Q3	Cecil Foust	
0485-10	COMPREHENSIVE OPERATIONAL ANALYSIS	AND TEN-YEAR SERVICE PLAN	FROM 08/28/2013 THRU 09/26/2013	2023	GRANT+3 YRS	Q3	Cecil Foust	
0485-10	ON CALL TEMPORARY STAFFING		FROM 07/01/2013 THRU 07/18/2013	2023	AC+5YRS	Q3	Cecil Foust	
0485-10	SERVICE CHANGE SCHEDULES		FROM 08/06/2018 THRU 08/08/2018	2023	AC+5YRS	Q3	Cecil Foust	
0485-10	UNDERHOOD AIR COMPRESSOR SYSTEM		FROM 07/09/2015 THRU 07/15/2015	2023	GRANT+3 YRS	Q3	Cecil Foust	
0485-90	PROCUREMENT POLICY/PROCEDURES MANUAL	SUPERSEDED	08/26/2014	2023	AC+7Y	Q3	Cecil Foust	
0610-10	AMERICAN BUSINESS MACHINES	DIGITAL COLOR PRODUCTION PRINTING PRESS C700	FROM 06/22/2015 THRU 09/08/2016	2023	GRANT+3 YRS	Q3	Cecil Foust	
0610-10	BARRINGTON STAFFING	TEMP STAFF - ACCOUNTANT	FROM 07/19/2013 THRU 07/18/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	DOUGLASS TRUCK BODIES	UNDERHOOD AIR COMPRESSOR SYSTEM	FROM 07/16/2015 THRU 09/09/2015	2023	GRANT+3 YRS	Q3	Cecil Foust	
0610-10	FACILITY USE AGREEMENTS		FY 2017/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	GCAP SERVICES	DBE GOAL & METHODOLOGY	FROM 04/10/2018 THRU 08/10/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	HANKA ADVISOR	GRANT WRITING CONSULTANT	FROM 01/01/2017 THRU 08/29/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	ALCURAN KELLY J	ON-CALL BUDGET CONSULTING	FROM 03/05/2018 THRU 08/31/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	LANCASTER JETHAWKS	ADVERTISING 2018	FROM 04/24/2018 THRU 09/08/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	LEHR AUTO ELECTRIC	EMERGENCY AND WORK LIGHTING SYSTEM	FROM 07/16/2015 THRU 09/24/2015	2023	GRANT+3 YRS	Q3	Cecil Foust	
0610-10	SAGE STAFFING	TEMPORARY - RECORDS/COUNT ROOM	FROM 07/19/2013 THRU 07/18/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	SINCLAIR PRINTING	SERVICE CHANGE SCHEDULES	FROM 08/08/2018 THRU 08/16/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	VISION INTERNET	WEBSITE REDESIGN & MAINTENANCE	FROM 08/10/2017 THRU 08/30/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	VISION INTERNET	MAINTENANCE SERVICES	FROM 05/21/2013 THRU 08/30/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	VISION INTERNET PROVIDERS	WEBSITE HOSTING	FROM 02/11/2013 THRU 08/30/2018	2023	AC+5YRS	Q3	Cecil Foust	
0610-10	N AMERICAN BUS INDUSTRIES (NABI)	40 FT BUSES LOW FLOOR (6) VOL 1 OF 2	CY 2003	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Cecil Foust	

File Number	File Name (Line #1)	Description (Line #2)	Date (Line #3)	Retention Year	Triggering Event	Quarter 3	Responsible Party	Approval Signature
0610-10	N AMERICAN BUS INDUSTRIES (NABI)	40 FT BUSES LOW FLOOR (6) VOL 2 OF 2	CY 2003	2023	DISPOSITION+4 YRS GRANT+3 YRS	Q3	Cecil Foust	
0610-10	BYD MOTORS	30FT BUSES GA STATE	FROM THRU 07/21/2021	2023	CANCELED AC+2YRS	Q3	Cecil Foust	
0610-25	AT&T	CALNET 3 - STATEWUDE CONTRACT	FROM 01/29/2015 THRU 06/30/2018	2023	AC+5Yrs	Q2	Cecil Foust	
0610-10	EVAULT	BACKUP DEVICE - SERVICES	FROM 02/28/2023 THRU 02/27/2018	2023	GRANT+3 YRS	Q1	Cecil Foust	
0610-10	FACILITY USE AGREEMENTS		FY 2017/2018	2023	AC+5 YRS	Q3	Cecil Foust	
0610-10	GDMS	AUTODESK MAINTENANCE	FROM 06/22/2016 THRU 06/21/2018	2023	GRANT+3 YRS	Q2	Cecil Foust	
0670-93	WORKERS COMP REPORTS		FY 2017	2023	6YRS	Q3	Amber Johnson	



**DATE:** June 27, 2023

**TO:** BOARD OF DIRECTORS

**SUBJECT: Approve Master Contract #2024-02 and Funding Authorization Letter with Los Angeles County Sheriff's Department (LASD) for Transit Law Enforcement Services**

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**RECOMMENDATIONS:**

Authorize the Executive Director/CEO to execute two documents for LASD for Transit Law Enforcement Services:

1. Master Contract No. 2024-02, for five term starting July 1, 2023, through June 30, 2028 (Attachment A); and
2. Funding Authorization Letter in the amount of \$160,000 for Fiscal Year 2023/2024 (Attachment B).

**FISCAL IMPACT:**

Funds for these services were included in the FY 2024 Business Plan.

**BACKGROUND:**

Since 2008, Sheriff's services have been providing transit law enforcement through an annual letter of agreement. Since 2015, the Los Angeles County Board of Supervisors (BOS) has required LASD to execute contracts for all agreements over \$100,000. The Board of Directors approved the last master contract during its May 2018 regular meeting, which now ends June 30, 2023.

AVTA staff contacted a representative from the LASD to process a new five-year master agreement for the period beginning on July 1, 2023, through June 30, 2028. An executed agreement will provide indemnification for AVTA and liability protection for both agencies. In addition, AVTA will process an annual Funding Authorization Letter. Under the terms of the agreement, the LASD will provide the following services for the AVTA:

- Security presence Monday through Friday with staggered shifts for increased presence.
- Random fare and ridership audits on local and commuter services with two Security Assistants to assist with fare enforcement.
- A presence in and around the transit system.



**TRANSIT LAW ENFORCEMENT SERVICES AGREEMENT  
BY AND BETWEEN  
COUNTY OF LOS ANGELES  
AND  
ANTELOPE VALLEY TRANSIT AUTHORITY**

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**TRANSIT LAW ENFORCEMENT SERVICES AGREEMENT  
BY AND BETWEEN  
COUNTY OF LOS ANGELES  
AND  
ANTELOPE VALLEY TRANSIT AUTHORITY**

This Transit Law Enforcement Services Agreement ("Agreement") is entered into this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ by and between the County of Los Angeles ("County") and the Antelope Valley Transit Authority ("Authority").

**RECITALS**

- (a) Whereas, the Authority is desirous of contracting with the County for the performance of the transit law enforcement functions described herein by the Los Angeles County Sheriff's Department ("Sheriff's Department"); and
- (b) Whereas, the County is agreeable to rendering such services on the terms and conditions set forth in this Agreement; and
- (c) Whereas, such Agreement is authorized and provided for by the provisions of Section 56-3/4 of the Charter of the County of Los Angeles and Section 51301 of the California Government Code; and
- (d) Whereas, the County is agreeable to rendering such transit law enforcement services, as available, on the terms and conditions set forth in this Agreement.

NOW THEREFORE, in consideration of the mutual covenants contained herein, and for good and valuable consideration, the parties mutually agree as follows:

**1.0 SCOPE OF SERVICES**

- 1.1 The County agrees, as available, through the Sheriff's Department, to provide transit law enforcement services to the Authority during the term of this Agreement to the extent and in the manner set forth herein. The classification and approximate numbers of personnel provided by the County will be determined and mutually agreed upon in writing between the Sheriff's Department and Authority. The hours of duty performed by County employees will be established and agreed upon in writing in accordance with the requested services.

- 1.2. The request for services shall be a written request on official Authority letterhead. For the purpose of performing said services, County shall furnish and supply, as available, all necessary labor, supervision, personnel, equipment, communications, fuel, and supplies necessary to provide the services to be rendered hereunder. Notwithstanding the foregoing, the Authority may provide additional resources for the County to utilize in performance of the services. The request shall be signed by a representative of the Authority who is duly authorized to enter into such agreements for law enforcement services. The request shall be submitted to the Los Angeles County Sheriff's Department's Contract Law Enforcement Bureau located at 211 W. Temple Street, 7<sup>th</sup> Floor, Los Angeles, California 90012.
- 1.3. The Sheriff intends to exercise jurisdiction and provide law enforcement services, occurring on-board buses, related to the special policing concerns of the Authority. These duties may include but are not limited to, enforcement of transit fares, conducting investigations of vandalism, routine transit patrol, and general law enforcement activities related to public transportation within the limit of the County and neighboring counties related to the Authority's bus lines.
- 1.4. Except as otherwise specifically set forth in this Agreement, transit law enforcement services shall encompass duties and functions of the type coming within the jurisdiction of and customarily rendered by the Sheriff under the Charter of the County and the statutes of the State of California.

## **2.0 ADMINISTRATION OF PERSONNEL**

- 2.1 In the event of a dispute between the parties to this Agreement as to the extent of the duties and functions to be rendered hereunder, or the minimum level or manner of performance of such service, the Authority shall be consulted and a mutual determination thereof shall be made by both the Sheriff of the County and the Authority's Executive Director.
- 2.2 The rendition of the services performed by the Sheriff's Department, the discipline of officers, and other matters incident to the performance of such services and the control of personnel so employed shall remain with the County.



- 2.3 With regard to Paragraphs 2.1 and 2.2 above, the Sheriff's Department, in an unresolved dispute over the minimum level of performance of services, shall have final and conclusive determination as between the parties hereto.
- 2.4 All Authority employees who work in conjunction with the Sheriff's Department pursuant to this Agreement shall remain employees of the Authority and shall not have any claim or right to employment, civil service protection, salary, or benefits or claims of any kind from the County based on this Agreement. No Authority employees shall become employees of the County.
- 2.5 For the purpose of performing services and functions pursuant to this Agreement and only for the purpose of giving official status to the performance thereof, and not to establish an agency relationship, every County officer and/or employee engaged in performing any such service and function shall be deemed to be an officer or employee of the Authority while performing such service for the Authority, as long as the service is within the scope of this Agreement and is an Authority function.
- 2.6 The Authority shall not be called upon to assume any liability for the direct payment of any Sheriff's Department salaries, wages, or other compensation to any County personnel performing services hereunder for said Authority. Except as herein otherwise specified, the Authority shall not be liable for compensation or indemnity to any County employee or agent of the County for injury or sickness arising out of his/her employment as a contract employee of the Authority.
- 2.7 As part of its compliance with all applicable laws and regulations relating to employee hiring, the County agrees that the County Civil Service Rules to which it is subject and which prohibit discrimination on the basis of non-merit factors, shall for purposes of this Agreement be read and understood to prohibit discrimination on the basis of sexual orientation.

### **3.0 INDEMNIFICATION**

- 3.1 Subject to the limitations stated in this Section 3.0, Indemnification, or elsewhere, the County shall indemnify, defend and hold harmless Authority, and

its officers, directors, employees and agents (collectively, "Indemnified Parties") from and against any and all liability, expense (including but not limited to defense costs and attorney's fees), claims, causes of action, and lawsuits for damages, including, but not limited to, bodily injury, death, personal injury or property damage (including property of the County) arising from or connected with any negligent, intentional or reckless act or omission of the County, its officers, directors, employees, agents, subcontractors, or suppliers while providing services under this Agreement.

- 3.2 Notwithstanding anything contained herein or stated elsewhere, the County shall have no obligation or liability, including any obligation to indemnify or defend any Indemnified Party (a) for a failure to prevent any crime or tortious act, (b) for any injury, loss or damage caused directly or indirectly by a criminal or tortious act of anyone other than the County, its officers, directors, employees, agents, subcontractors or suppliers while providing services under this Agreement, or (c) for any injury, loss or damage caused by any means whatsoever except as the result of a failure by the County its officers, directors, employees, agents, subcontractors, or suppliers to perform the services under this Agreement.
- 3.3 The Authority understands and agrees that the law enforcement services provided hereunder are not intended or expected to accomplish patrolling or law enforcement at any particular location, more than a few times a day or less, or to prevent crime or wrongdoing from occurring at any particular place or time. The County shall have no obligation to patrol or provide law enforcement at any specific location at any particular time(s) except under a written schedule provided in advance by the Authority and agreed to by the County.
- 3.4 Notwithstanding anything contained herein, the County's obligations hereunder to the Authority or any Indemnified Party shall be limited by any immunity of freedom from suit or liability provided by law, including but not limited to those stated in California Government Code sections 818.2 and 845, as if such immunity or legal provision were incorporated in full in this Agreement and made applicable to the Authority and all Indemnified Parties.

- 3.5 Any obligation by the County or the Authority to provide defense or indemnity hereunder shall not arise until it has been finally determined by competent judicial authority that such indemnity is owed under the provisions of this Section 3.0.
- 3.6 The Authority shall indemnify, defend and hold harmless the County, and its officers, directors, employees and agents from and against any and all liability, expense (including, but not limited to defense costs and attorneys' fees), claims, causes of action, and lawsuits for damages of any nature whatsoever, including but not limited to bodily injury, death, personal injury or property damage (including property of the Authority) arising from or connected with any alleged act and/or omission of the Authority, its officers, directors, employees, agents, sub-contractors, or suppliers.
- 3.7 It is the intent of the parties to this Agreement that nothing herein shall impose, nor shall be interpreted to impose, on the County any liability for injuries or death to any County employee greater than the liability imposed pursuant to the provisions of the worker's compensation laws.
- 3.8 This Section 12, Indemnification, shall survive termination of this Agreement and/or final payment thereunder.

#### **4.0 TERM OF AGREEMENT**

The term of this Agreement shall commence July 1, 2023 and shall terminate on June 30, 2028, unless sooner terminated or extended in whole or in part as provided for herein.

#### **5.0 RIGHT OF TERMINATION**

- 5.1 Either party may terminate this Agreement with or without cause by giving not less than sixty (60) calendar days advance written notice to the other party.
- 5.2 Notwithstanding the foregoing, the Sheriff's Department may cancel the provision of services with only ten (10) calendar days advance notice, or less in the event of exigent circumstances, if the Sheriff's Department concludes that there are insufficient personnel to provide the agreed upon services and still perform other Sheriff's Department duties as required by law.

5.3 In the event of a termination, each party shall fully discharge all obligations owed to the other party accruing prior to the date of such termination, and, except as otherwise provided herein, each party shall be released from all obligations, which would otherwise accrue subsequent to the date of termination.

## **6.0 BILLING RATES**

6.1 For and in consideration of the rendition of the transit law enforcement services to be performed by the County for the Authority under this Agreement, the Authority shall pay County for said services provided by County under the terms of this Agreement at the appropriate and prevailing billing rates set forth on Exhibit A, Public Entity Contract – Hourly Overtime Rates, as established by the County Auditor-Controller. The billing rates listed shall be readjusted annually by the County Auditor-Controller effective July 1 of each year to reflect the cost of such service. In such case, the annual rate readjustment shall be attached to this Agreement as an Amendment consistent with Section 8.0, Amendments, of this Agreement to reflect the change in billing rates each fiscal year.

6.2 The billing rates depicted on Exhibit A, Public Entity Contract – Hourly Overtime Rates, are developed by the County Auditor-Controller to reflect the County's actual costs in the compensation of employees at premium overtime rates (hourly rates for Deputy Sheriff - Reserves), the administration of workers' compensation benefits, and the overhead of the County attributable to the provision of services pursuant to this Agreement. The foregoing rates are adjusted annually pursuant to the policies and practices adopted by the Los Angeles County Board of Supervisors governing the determination of such actual costs.

## **7.0 PAYMENT PROCEDURES**

7.1 The County, through the Sheriff's Department, shall render to the Authority a summarized invoice which covers all services performed during said month, and the Authority shall pay County for all undisputed amounts within sixty (60) calendar days after date of said invoice.

7.2 If such payment is not delivered to the County office, which is described on said invoice, within sixty (60) calendar days after the date of the invoice, the County is

entitled to recover interest thereon. For all disputed amounts, the Authority shall provide the County with written notice of the dispute including the invoice date, amount, and reasons for dispute within ten (10) calendar days after receipt of the invoice. The parties shall memorialize the resolution of the dispute in writing. For any disputed amounts, interest shall accrue if payment is not received within sixty (60) calendar days after the dispute resolution is memorialized.

7.3 Said interest shall be at a rate of ten percent (10%) per annum or any portion thereof, calculated from the date payment was due pursuant to Sections 7.1 and 7.2 above.

7.4 Notwithstanding the provisions of California Government Code section 907, if such payment is not delivered to the County office which is described on said invoice within sixty (60) days of the invoice, or in the case of disputed amounts, from the date the resolution is memorialized, the County may satisfy such indebtedness, including interest thereon, from any funds of the Authority on deposit with the County without giving further notice to Authority of County's intention to do so.

## **8.0 AMENDMENTS**

All changes, modifications, or amendments to this Agreement must be in the form of a written Amendment duly executed by authorized personnel of the County and the Authority.

## **9.0 ASSIGNMENT, DELEGATION, AND SUBCONTRACTING**

A party shall not assign its rights and/or subcontract, or otherwise delegate, its duties under this Agreement, either in whole or in part, without the prior written consent of the other party, and any attempted assignment or delegation without such consent shall be null and void.

## **10.0 AUTHORIZATION WARRANTY**

The Authority represents and warrants that the person executing this Agreement for the Authority is an authorized agent who has actual authority to bind the Authority to each and every term, condition, and obligation of this Agreement and that all requirements of the Authority have been fulfilled to provide such actual authority.

## **11.0 GOVERNING LAW, JURISDICTION, AND VENUE**

This Agreement shall be governed by, and construed in accordance with, the laws of the State of California. The parties agree and consent to the exclusive jurisdiction of the courts of the State of California for all purposes regarding this Agreement and further agree and consent that venue of any action brought hereunder shall be exclusively in the County of Los Angeles.

## **12.0 NOTICES**

12.1 Unless otherwise specified herein, all notices or demands required or permitted to be given or made under this Agreement shall be in writing and shall be hand delivered with signed receipt or mailed by first class registered or certified mail, postage prepaid, addressed to the parties at the following addresses and to the attention of the person named. Addresses and persons to be notified may be changed by either party by giving ten (10) calendar days prior written notice thereof to the other party.

12.2 Notices to the County shall be addressed as follows:

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

12.3 Notices to the Authority shall be addressed as follows:

Antelope Valley Transit Authority  
Attn: Executive Director or Designee  
42210 6<sup>th</sup> Street West  
Lancaster, California 93534

## **13.0 VALIDITY**

If any provision of this Agreement or the application thereof to any person or circumstance is held invalid, the remainder of this Agreement and the application of such provision to other persons or circumstances shall not be affected thereby.

#### **14.0 WAIVER**

No waiver by the parties of any breach of any provision of this Agreement shall constitute a waiver of any other breach or of such provision. Failure of the parties to enforce at any time, or from time to time, any provision of this Agreement shall not be construed as a waiver thereof.

#### **15.0 ENTIRE AGREEMENT**

This Agreement, including Exhibit A, and any executed Amendments hereto or thereto, constitute the complete and exclusive statement of understanding of the parties which supersedes all previous agreements, written or oral, and all communications between the parties relating to the subject matter of this Agreement. No change to this Agreement shall be valid unless prepared pursuant to Section 8.0, Amendments, of this Agreement and signed by both parties.





EXHIBIT A - PUBLIC ENTITY CONTRACT - HOURLY OVERTIME RATES

**PRIVATE ENTITY, PUBLIC ENTITY, AND SCHOOL DISTRICTS**

LOS ANGELES COUNTY SHERIFF'S DEPARTMENT

Position	FY23-24 OT Hourly Rate	Liability 3%	Total
Deputy Sheriff - Generalist	\$111.15	\$3.33	\$114.48
Deputy Sheriff - Generalist Observer/Motor	\$117.43	\$3.52	\$120.95
Deputy Sheriff - Generalist Observer/Motor	\$117.43	\$3.52	\$120.95
Deputy Sheriff - Bonus I	\$121.01	\$3.63	\$124.64
Deputy Sheriff - Bonus I - SEB/ESD	\$127.85	\$3.84	\$131.69
Deputy Sheriff - Bonus I - MFTO	\$134.33	\$4.03	\$138.36
Deputy Sheriff - Bonus I Motorcycle	\$127.85	\$3.84	\$131.69
Deputy Sheriff - Bonus II	\$145.48	\$4.36	\$149.84
Deputy Sheriff - Bonus II Arson/Explosives	\$162.37	\$4.87	\$167.24
Deputy Sheriff - Bonus II HazMat	\$162.37	\$4.87	\$167.24
Deputy Sheriff - Bonus II Pilot	\$153.69	\$4.61	\$158.30
Deputy Sheriff - Bonus II SEB/ESD	\$153.69	\$4.61	\$158.30
Deputy Sheriff - Reserve	\$54.73	\$1.64	\$56.37
Deputy Sheriff - Sergeant	\$146.51	\$4.40	\$150.91
Deputy Sheriff - Sergeant Arson/Explosives	\$163.52	\$4.91	\$168.43
Deputy Sheriff - Sergeant HazMat	\$163.52	\$4.91	\$168.43
Deputy Sheriff - Sergeant Motorcycle	\$154.78	\$4.64	\$159.42
Deputy Sheriff - Sergeant Pilot	\$172.76	\$5.18	\$177.94
Deputy Sheriff - Sergeant SEB/ESD	\$154.78	\$4.64	\$159.42
Deputy Sheriff - Lieutenant	\$176.12	\$5.28	\$181.40
Captain	\$223.44	\$6.70	\$230.14
Commander	\$254.44	\$7.63	\$262.07
Assistant Director, Bureau Operations	\$173.80	\$5.21	\$179.01
Assistant Automotive Equipment Coordinator	\$78.98	\$2.37	\$81.35
Assistant Supervising Payroll Clerk	\$63.11	\$1.89	\$65.00
Civilian Investigator	\$88.47	\$2.65	\$91.12
Combo Truck Driver	\$57.76	\$1.73	\$59.49
Community Services Assistant	\$41.34	\$1.24	\$42.58
Crime Analyst	\$86.32	\$2.59	\$88.91
Criminalist	\$87.61	\$2.63	\$90.24
Criminalistics Lab Technician	\$62.80	\$1.88	\$64.68
Custodian	\$41.74	\$1.25	\$42.99
Custody Assistant	\$70.69	\$2.12	\$72.81
Custody Assistant, Patrol	\$74.69	\$2.24	\$76.93
Digital Communications System Technician	\$95.19	\$2.86	\$98.05
Electrician	\$96.15	\$2.88	\$99.03
Electrician Supervisor	\$110.57	\$3.32	\$113.89
Electronics Audio Technician	\$90.43	\$2.71	\$93.14
Electronics Communication Equip Installer	\$63.08	\$1.89	\$64.97
Electronics Communication Tech	\$95.19	\$2.86	\$98.05
Employment Services Assistant I	\$62.49	\$1.87	\$64.36
Employment Services Assistant II	\$77.63	\$2.33	\$79.96
Employment Services Assistant III	\$88.91	\$2.67	\$91.58
Evidence and Property Custodian I	\$52.72	\$1.58	\$54.30
Evidence and Property Custodian II	\$62.03	\$1.86	\$63.89
Evidence and Property Custodian III	\$65.49	\$1.96	\$67.45



**Board of Directors**

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

**Chairman**

Marvin Crist  
City of Lancaster

June 27, 2023

**Vice Chair**

Dianne M. Knippel  
County of Los Angeles

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

**Director**

Richard Loa  
City of Palmdale

Dear Robert Luna:

**Director**

Eric Ohlsen  
City of Palmdale

As approved by the Board of Directors on June 27, 2023, the Antelope Valley Transit Authority (AVTA) desires to continue to contract with your office for transit law enforcement services. The scope of work shall include the following activities:

**Director**

Raj Malhi  
City of Lancaster

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

**Director**

Michelle Flanagan  
County of Los Angeles

**Executive Director/CEO**

Martin J. Tompkins

AVTA is authorized to spend up to \$160,000 in FY 2023-24, beginning July 1, 2023 and ending June 30, 2024, unless superseded by a new contract. It is anticipated that this effort would entail work being performed, Monday through Friday, depending on the specific tasks.

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

Sincerely yours,

Martin J. Tompkins  
Executive Director/CEO



**DATE:** June 27, 2023

**TO:** BOARD OF DIRECTORS

**SUBJECT:** Amend Authority's Classification and Salary Schedule

---

### **RECOMMENDATIONS**

Approve amending the Authority's Classification and Salary Schedule to reclassify the two current Operations Analyst positions to a Maintenance Compliance Analyst and an Operations and Contract Compliance Manager.

### **FISCAL IMPACT**

The Maintenance Compliance Analyst position will be established at Range 37 (Min. \$65,318 Max. \$ 89,914) and the Operations and Contract Compliance Manager position will be established at Range 40 (Min. \$70,341 Max. \$91,442).

The total impact of the eliminated position and both reclassified positions is a net savings of \$69,074 and has been budgeted to assume the maximum allowable merit increase to the employee's wages. The increase will be reflected in the proposed FY 2023/2024 Budget and future fiscal year proposed budgets.

### **BACKGROUND**

The recommendation to reclassify both positions is based on existing and future workload demands and the need to clearly manage those areas to maintain and enhance organizational performance measures. The Project Coordinator position has been eliminated and those additional duties will be assigned to the reclassified positions. The Authority's Classification and Salary Schedule does not include the Maintenance Compliance Analyst or Operations and Contract Compliance Manager and, therefore, will need to be added. The eliminated position and reclassifications reduce the Authority's total headcount by one.

Prepared and submitted by:

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Martin J. Tompkins  
Executive Director/CEO



**NB 1**

**DATE: June 27, 2023**

**TO: BOARD OF DIRECTORS**

**SUBJECT: Proposed Fiscal Year 2023/2024 (FY 2024) Budget**

---

**RECOMMENDATION:**

Approve the FY 2024 Proposed Budget.

**FISCAL IMPACT:**

The FY 2024 operating revenue and expenditures total \$34,874,001 for a balanced budget. The proposed capital budget of \$37,892,393 reflects large projects such as the completion of the headquarters facility and transit facility upgrades and expansion buses.

**BACKGROUND:**

The balance of coronavirus response stimulus funding will allow AVTA to continue operations. This funding will keep AVTA's operations intact in order to serve our communities. Attachment A details the Proposed Operating and Capital Budget.

Prepared by:

Submitted by:

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Judy Vaccaro-Fry  
Chief Financial Officer

---

Martin J. Tompkins  
Executive Director/CEO

Attachment: A – FY 2024 Proposed Operating and Capital Budget

# ***FY24 Proposed Capital & Operating Budget***

Presentation to  
**AVTA Board of Directors**  
June 27, 2023



# 2024 BUDGET SUMMARY

**CAPITAL: \$37,892,393**

**OPERATING: \$34,874,001**

**TOTAL: \$72,766,394**

**FY23 Capital Carryover: \$27,780,768**



# FY COMPARISON

## FY 2023

**TOTAL:**  
**\$77,108,434**

**OPERATING:**  
**\$34,994,117**

**CAPITAL:**  
**\$42,114,317**

## FY 2024

**TOTAL:**  
**\$72,766,394**

**OPERATING:**  
**\$34,874,001**

**CAPITAL:**  
**\$37,892,393**





# FY 2024 OPERATING DETAIL



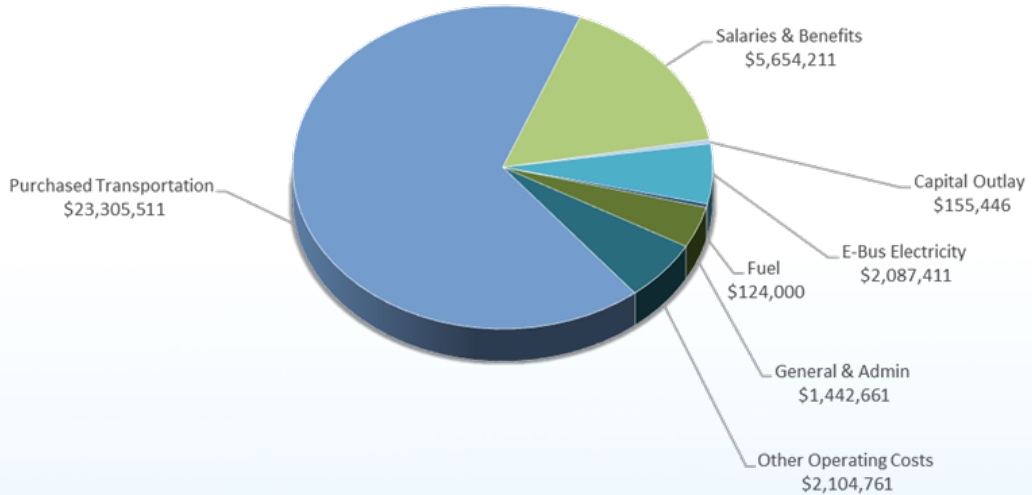
# REVENUES v. EXPENSES

	FY 2022-2023 Budget	FY 2023-2024 Budget	Increase/(Decrease)
<b>Expense</b>			
Capital Outlay	\$ 155,446	\$ 155,446	\$ -
E-Bus Electricity	\$ 1,634,916	\$ 2,087,411	\$ 452,495
Fuel	\$ 274,000	\$ 124,000	\$ (150,000)
General & Admin	\$ 1,359,636	\$ 1,442,661	\$ 83,025
Other Operating Costs	\$ 1,895,563	\$ 2,104,761	\$ 209,198
Purchased Transportation	\$ 23,998,700	\$ 23,305,511	\$ (693,189)
Salaries & Benefits	\$ 5,675,856	\$ 5,654,211	\$ (21,645)
<b>Expense Total</b>	<b>\$ 34,994,117</b>	<b>\$ 34,874,001</b>	<b>\$ (120,116)</b>
<b>Revenue</b>			
Fare Revenue	\$ 2,000,000	\$ 2,500,000	\$ 500,000
Federal Operating Grants	\$ 12,337,823	\$ 9,877,239	\$ (2,460,584)
Juris. Op. Contributions	\$ 3,320,690	\$ 3,514,638	\$ 193,948
Other Operating Revenue	\$ 1,669,177	\$ 1,263,500	\$ (405,677)
Tax Revenue Via Metro	\$ 15,666,427	\$ 17,718,624	\$ 2,052,197
<b>Revenue Total</b>	<b>\$ 34,994,117</b>	<b>\$ 34,874,001</b>	<b>\$ (120,115)</b>



# OPERATING

## FY 2024 Expenses



# INSURANCE

## **General Liability**

+ 20%

## **Employee Benefits Liability**

+/- 0%

## **Automobile**

+ 12.8%

## **Umbrella**

*TBD*

## **Crime**

+/- 0%

## **Pollution**

*TBD*

## **Workers Compensation**

+ 9%

## **Cyber Liability**

+ 22.7%

## **Employment Practices**

+ 10.6%

## **Property & Inland Marine**

+ 17.7%

## **Boiler & Machinery**

+ 15%

## **Difference in Conditions**

+ 46.9%

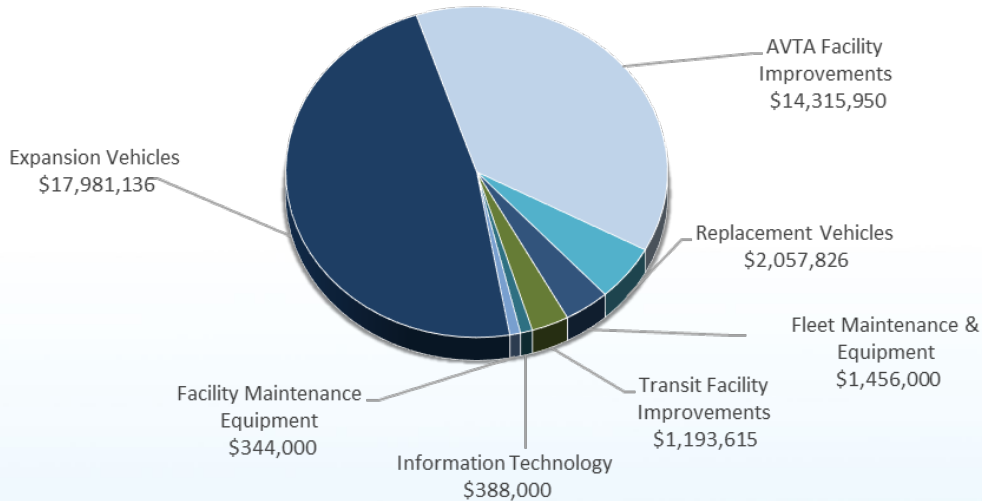


# FY 2024 CAPITAL DETAIL



# CAPITAL PROJECTS

## FY 2024 Capital Projects



# CAPITAL FUNDING

## **STATE OF CALIFORNIA**

- Heavy Duty Vehicle Incentive Program
- VW Mitigation Funds
- Low Carbon Fuel Standard Credits
- Low Carbon Transit Operations Program
- SB1 State of Good Repair
- SB1 State Transit Assistance
- Transit and Intercity Rail Capital Program

## **FTA**

- BUILD Grant Program
- Low or No Emission Grant Program
- Sect. 5307 UZA Formula
- Sect. 5337 UZA Formula
- Sect. 5339 UZA Formula



# RECOMMENDATION

Approve the FY 2024 *Proposed* Capital & Operating Budget





# Antelope Valley Transit Authority

## FY 2024 Capital & Operating Budgets



# Leading the way...

Prepared by:  
Judy Vaccaro-Fry  
*Chief Financial Officer*

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## About AVTA

The Antelope Valley Transit Authority (AVTA) is a public entity established on April 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 providing transit services to the Antelope Valley area.

AVTA is governed by a six-member Board of Directors with governance responsibilities over all activities related to AVTA. The Board is comprised of two directors from each participating jurisdiction and meets on the fourth Tuesday of each month. The Executive Director/CEO 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.

The Board of Directors is comprised of the following members:

### Board of Directors



**Marvin Crist**  
Chairman

**Raj Malhi**  
Director



**Richard Loa**  
Director

**Erik Ohlsen**  
Director



**Dianne Knippel**  
Vice-Chair

**Michelle Flanagan**  
Director

## History

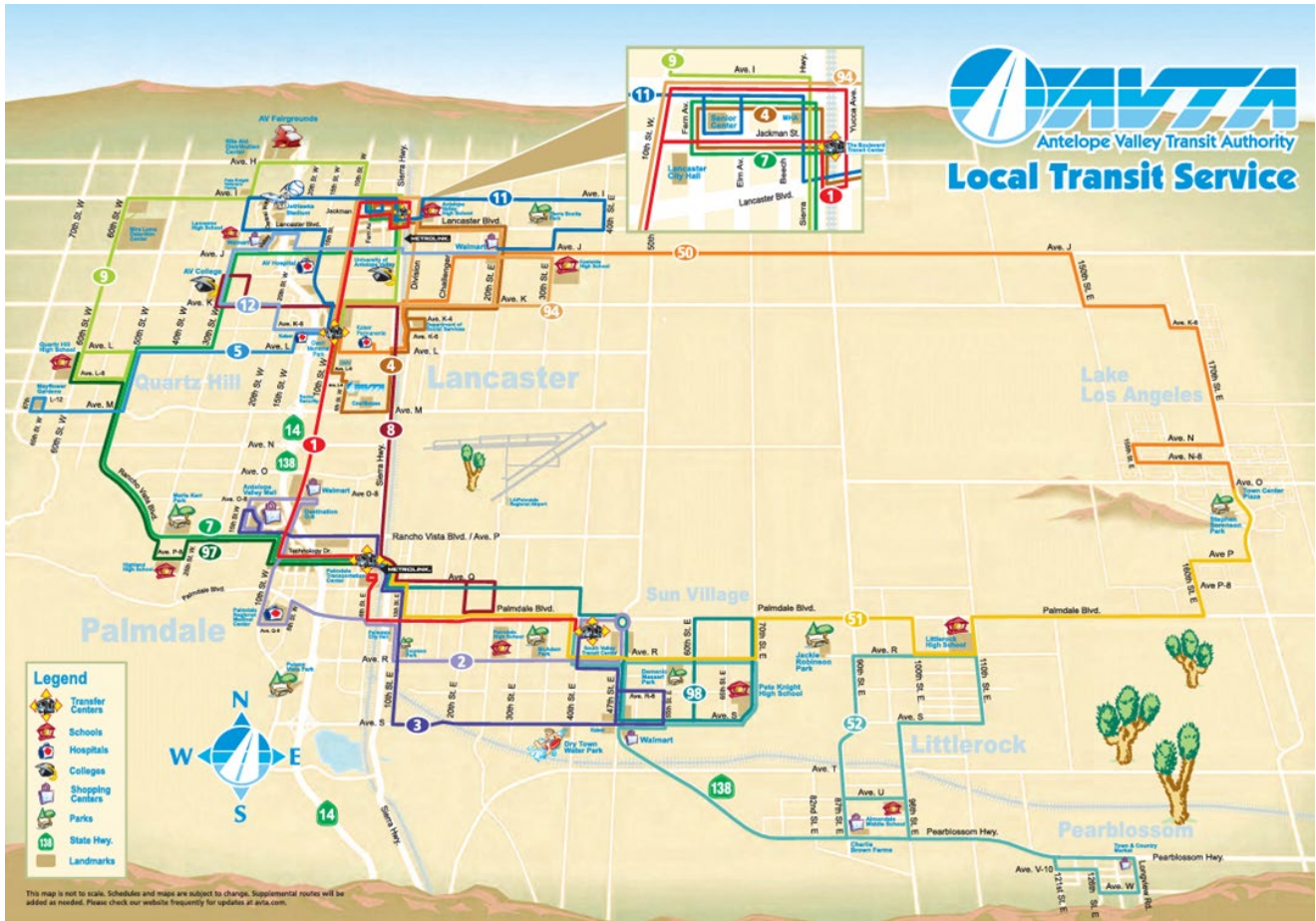
The Antelope Valley Transit Authority (AVTA) is located in Southern California, approximately 70 miles north of Los Angeles. The main administrative and maintenance facilities are headquartered in Lancaster, California, with a new satellite customer service center in Lake Los Angeles.

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. The Greater Antelope Valley area encompasses over 3,000 square miles, includes both Northern Los Angeles County and Eastern Kern County, and is home to approximately 500,000 residents. The Antelope Valley provides a thriving environment for economic growth and offers a wide range of benefits to businesses seeking to relocate or expand their operations.

AVTA began operations with three services: Transit, Commuter, and Dial-A-Ride. AVTA's total service area covers 1,200 square miles and is bounded by the Kern County line to the north, the San Bernardino County line to the east, the Angeles National Forest to the south, and Interstate 5 to the west. In September 2020, AVTA added two new service options: On-Request Microtransit Ride Service and Non-Emergency Medical Transport.

### Local Service Routes

AVTA local service operates on weekdays from 5:05 a.m. to 11:47 p.m. and Saturdays and Sundays from 5:50 a.m. to 9:45 p.m. There is no service provided on the following holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, and Christmas Day. AVTA's local routes are described on the following map.



**Route 1:** This line connects Lancaster and Palmdale via 10th Street West and Palmdale Blvd. Northbound, the route begins at South Valley Transit Center, located on Palmdale Blvd & 40th St. E., travels west along Palmdale Blvd, turns north to serve the Palmdale Transportation Center via 6th Street East, and then travels on Technology Drive until 10th Street West. On 10th St. W., the route serves the Antelope Valley Mall, Sgt. Steve Owen Memorial Park, and central Lancaster, terminating at the Boulevard Transit Center, located on Sierra Hwy & Jackman St. Route 1 provides 15-minutes frequency during in-peak service and 30-minute frequency in off-peak service.

**Route 2:** This line operates within Palmdale, connecting the Antelope Valley Mall to the South Valley Transit Center on Palmdale Blvd & 40th St. E. Major destinations served by this route include the Antelope Valley Mall, Palmdale Regional Medical Center, Avenue R, Antelope Valley Medical Center, and 47th St. E. & Avenue R retail corridor. Route 2 provides service in a 30-minute frequency and is interlined with Route 3.

**Route 3:** Like Route 2, this line provides service throughout Palmdale, connecting the west and east areas of the city. Route 3 provides service every 30 minutes through the Avenue S corridor. The service area includes the 47th St. E. and

Avenue S retail corridors, Palmdale City Hall, the Palmdale Transportation Center, and the Antelope Valley Mall.

**Route 4:** This line provides service within Lancaster, operating every 60 minutes. Single transfer connections can be made with most AVTA local and commuter lines at Sgt. Steve Owen Memorial Park. Other major stops include the Los Angeles County Social Services offices, the Lancaster Metrolink Station, the AVTA Operations and Maintenance Facility, and the Michael D. Antonovich Courthouse.

**Route 5:** Connecting Quartz Hill to Lancaster, Route 5 runs hourly and provides connections along Avenue L to the shopping centers and businesses along that corridor, terminating at the Sgt. Steve Owen Memorial Park. The main passenger generators are the Mayflower Gardens senior housing complex, the 50th St. W. and Avenue M (Columbia Way) retail corridor, and the Kaiser Permanente Facility on 15th St. W.

**Route 7:** Operating on a 60-minute frequency, this line connects passengers to the west side of both Lancaster and Palmdale. Route 7 originates at The Boulevard Transit Center and travels south on Sierra Hwy. to Avenue J, where it then travels west to 30th St. W. The route continues south on 30th St. W., heads over to Avenue L, and then turns south onto 50th St. W., to Rancho Vista Blvd. to serve the residential areas of Rancho Vista and Quartz Hill. The route terminates at the Palmdale Transportation Center. The main passenger generators are the Antelope Valley Mall, the retail centers along 10th Street West and Rancho Vista Blvd., and the Antelope Valley College.

**Route 8:** The College Connector travels a continuous loop between the main Antelope Valley Campus in Lancaster and the Palmdale site. Route 8 operates every 80-minutes.

**Route 9:** Route 9 provides service to the northwestern portion of the Antelope Valley, between Quartz Hill and Lancaster. Route 9 is the only route to offer service to the University of Antelope Valley, the Mira Loma Detention Center, and Antelope State Prison. Route 9 offers major transfer points in Lancaster at Sgt. Steve Owen Memorial Park, and The Boulevard Transit Center, providing transfers to Routes 1, 4, 7, and 11. This route also provides service to Quartz Hill High School at its western terminus and operates on a 90-minute frequency.

**Route 11:** This line provides service throughout Lancaster, connecting the west and east sides of the city. Route 11 serves Avenue J from 20th St. E. to 30th St. W. on 30-minute frequencies. After stops along Valley Central Way, the route continues south on 30th St. W., turns eastbound on Avenue K, south on 17th St W., and finally turns east on Avenue K-8 to the Sgt. Steve Owen Memorial Park. The main passenger generators are Antelope Valley College and the businesses

along Valley Central Way. Connections to the Lancaster Metrolink Station can also be made from this line.

**Route 12:** Similar to Route 11, Route 12 operates on 30-minute frequencies while provides passenger connectivity between the west and east areas of Lancaster. This line provides service along the Avenue I corridor traveling west and heads south along 30th St. W. to Lancaster Blvd., turning east on 15th St. W. The route continues south on 15th St. W. to Avenue K, contines eastbound to 10th St. W. then south to the Sgt. Steve Owen Memorial Park. Main passenger generators are businesses along Avenue I, Antelope Valley Hospital, the Lancaster Senior Center, and the Employment Development Department offices.

**Route 50:** This line connects Lancaster to the Lake Los Angeles community. Route 50 is one of the two routes providing service, mainly along Avenue J, to Lake Los Angeles. It offers multiple intermediary stops between Sgt. Steve Owen Memorial Park, Town Center Plaza along Avenue J, Avenue L, Avenue K-8, and Avenue N-4, providing access to grocery stores, shopping centers, and the Kaiser Permanente Butterfly Medical Facility. Route 50 provides service to the more rural areas of the Antelope Valley with a service frequency adequate due to the low population and employment density of the Lake Los Angeles area. This route operates on variable 60 to 120-minute frequencies.

**Route 51:** Much like Route 50, Route 51 provides service to Lake Los Angeles from Palmdale. Starting at the South Valley Transit Center, the route travels east, predominately along Palmdale Blvd., to the Town Center Plaza in Lake Los Angeles. Unlike Route 50, this route provides more stops along the way, predominately in the southeastern areas of Palmdale, where stops provide access to Little Rock High School, Lake Los Angeles Elementary School, and 47<sup>th</sup> St. E. & Avenue R retail shopping areas. This route operates on variable 60 to 120-minute frequencies.

**Route 52:** This line provides service to the communities of Littlerock and Pearblossom in the southeastern portion of the Antelope Valley, utilizing Pearblossom Highway as its main traveling corridor and utilizing 90th St. E. to service Avenue T. While predominately a local line serving Littlerock, Pearblossom, and Sun Village, Route 52 also provides connections to the Routes 1, 2, 3 and 51 at the South Valley Transit Center. Route 52 provides several stops with access to multiple shopping centers, grocery stores, Keppel Academy, Pearblossom Elementary School, Littlerock High School, and Pete Knight High School. This route operates on variable 60 to 120-minute frequencies.

#### **Supplemental Local Service**

The following supplemental routes operate during peak morning and afternoon hours, alleviating passenger overcrowding caused by increases in student ridership. Service is open to all patrons.



**Route 94:** This line provides tripper service that includes Eastside and Antelope Valley High Schools, supporting Route 1 on the 10th St. W. corridor and terminating at the Sgt. Steve Owen Memorial Park.

**Route 97:** This line provides tripper service that includes Quartz Hill and Highland High Schools, supporting Route 7 on the Rancho Vista and 50th St. W. corridor and terminating at the Palmdale Transportation Center, with available transfers to local routes, commuter routes, and Metrolink.

**Route 98:** This line provides tripper service for Pete Knight High School and Shadow Hills Middle School, terminating at the Palmdale Transportation Center utilizing Palmdale Blvd. and Avenue R.

## Fares

### Local Fare Structure

Each AVTA service mode has its own fare structure, Local, Commuter, Dial-A-Ride, On-Request Microtransit Ride Service, and Non-Emergency Medical Services. This section outlines the fares for each type of service.

AVTA's fares for local services are summarized in the following table:

Local Service Fare Table

Regular Cash Fare	\$1.50
4-Hour Ticket	\$2.00
One Day Pass	\$5.00
Weekly Pass	\$15.00
31-Day Pass	\$50.00
Senior/Disabled – Regular Cash Fare	\$0.75
Senior/Disabled - 4-Hour Ticket	\$1.00
Senior/Disabled - One Day Pass	\$2.50
Senior/Disabled - Weekly Pass	\$7.50
Senior/Disable - 31-Day Pass	\$25.00
Active and Retired Military	FREE

### Commuter Service

AVTA provides commuter service from the Antelope Valley to Downtown Los Angeles, Century City, and the West San Fernando Valley. Sgt. Steve Owen Memorial Park and the Palmdale Transportation Center are the designated morning pick-up and evening drop-off locations for commuter services. All commuter fares are discounted by 50% for senior and disabled passengers. For consistency, travel times on the commuter express service are refined to

accurately match the travel time required between time points for each trip made during the day.

**Route 785 to Los Angeles**

This line operates 14 daily trips, carrying passengers to the downtown business district of Los Angeles, between First and 8th Streets on the north and south, and from Main to Figueroa Streets on the east and west. There are seven morning departures from the Antelope Valley between 3:50 a.m. and 6:00 a.m. and seven afternoon departures from Los Angeles between 2:50 p.m. and 5:40 p.m. Trip times average two hours each way.

785 A.M. Runs Southbound to Downtown Los Angeles						Monday-Friday Only P.M. Runs Northbound to Palmdale/Lancaster					
Depart Owen Memorial Park	Depart Palmdale Transportation Center	Spring St. & Temple St.	Flower St. & 5th St.	6th St. & Spring St.	Arrive Union Station	Depart 8th St. & Spring St.	Figueroa St. & 5th St.	Main St. & Temple St.	Union Station	Arrive Palmdale Transportation Center	Arrive Owen Memorial Park
		A	B	C	D		E	F	G	D	
3:50	4:05	5:20	5:26	5:31	5:39	RUN 1	2:50	2:57	3:07	3:12	4:34
4:10	4:25	5:40	5:47	5:52	6:00	RUN 2	3:20	3:27	3:37	3:42	5:13
4:35	4:50	6:05	6:12	6:17	6:25	RUN 3	3:45	3:52	4:02	4:07	5:42
4:55	5:10	6:30	6:37	6:42	6:50	RUN 4	4:15	4:22	4:32	4:37	6:12
5:20	5:35	6:55	7:02	7:07	7:15	RUN 5	4:40	4:47	4:57	5:10	6:45
5:40	5:55	7:25	7:32	7:37	7:45	RUN 6	5:10	5:17	5:27	5:37	7:12
6:00	6:15	7:45	7:52	7:57	8:05	RUN 7	5:40	5:47	5:57	6:10	7:45

**Morning stop locations:** Owen Memorial Park; Palmdale Transportation Center; Spring & Temple; Spring & 1st; 1st & Hill; Hope & 1st; Flower & 3rd; Flower & 5th; 6th & Flower; 6th & Grand; 6th & Olive; 6th & Spring; Union Station.

**Afternoon stop locations:** 8th & Spring; 8th & Olive; 8th & Grand; Figueroa & 7th; Figueroa & 6th; Figueroa & 5th; Hope & 3rd; Hope & 1st; 1st & Hill; Main & 1st; Main & Temple; Union Station; Palmdale Transportation Center; Owen Memorial Park.

**Route 785 Fare**

	Full Fare	Seniors (62+), Disabled, and Medicare cardholding passengers must show valid I.D.
One-Way Trip	\$ 9.25	\$ 4.50
10-Trip	\$ 85.00	\$ 42.50
Monthly Pass	\$ 296.00	\$ 148.00
EZ Transit Pass	\$ 330.00	\$ 165.50
	Zone 10	Zone 13

Passes of higher value may be used on routes with a lesser monthly pass value or are subject to an upcharge.

AVTA passes can be purchased online or at local vendors and stored on your reusable TAP CARD! [taptogo.net](http://taptogo.net)

Current fares for Route 785 are outlined in the following table:

Route 785 Fare Table

One-Way Cash/Tap Fare	\$ 9.25
Ten-Trip Ticket	\$85.00
Monthly Pass	\$296.00
EZ Transit Pass (Zone 10)	\$330.00

**Route 786 to West LA and Century City**

This line operates eight daily trips, traveling from the Antelope Valley to West Los Angeles, completing stops in Century City and along Wilshire Blvd., Santa Monica Blvd., and the University of California, Los Angeles (UCLA). There are four morning departures from 4:00 a.m. to 5:20 a.m. and four afternoon departures from Century City, from 2:50 p.m. to 4:05 p.m., with the last trip of the day servicing the VA Medical Center.

786
Monday-Friday Only  
PM times in bold

A.M. Runs Southbound to Century City / West L.A.								P.M. Runs Northbound to Palmdale/Lancaster										
Depart	Owen Memorial Park	Depart Palmdale Transportation Center	Gayley & Strathmore (UCLA)	Westwood & Lindbrook	Santa Monica Blvd. & Century Park E.	Wilshire Blvd. & Camden Dr.	Wilshire Blvd. & La Jolla Ave.	La Brea Ave. & Santa Monica Blvd.	West LA V.A. Medical Center	West LA V.A. Medical Center	Santa Monica Blvd. & La Brea Ave.	Wilshire Blvd. & La Jolla Ave.	Wilshire Blvd. & Rodeo Dr.	Century Park E. & Constellation	Westwood & Lindbrook	Gayley & Strathmore (UCLA)	Arrive Palmdale Transportation Center	Arrive Owen Memorial Park
			<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>F</b>	<b>G</b>	<b>G</b>	<b>F</b>	<b>E</b>	<b>D</b>	<b>C</b>	<b>B</b>	<b>A</b>		
4:00	4:15	5:35	5:41	5:51	5:56	6:03	6:11			<b>4:05</b>	<b>4:50</b>	<b>5:09</b>	<b>5:18</b>	<b>5:26</b>	<b>5:38</b>	<b>5:45</b>	5:20	5:35
4:25	4:40	6:00	6:06	6:16	6:21	6:28	6:36				<b>3:25</b>	<b>3:41</b>	<b>3:50</b>	<b>3:58</b>	<b>4:09</b>	<b>4:15</b>	5:55	6:10
4:50	5:05	6:25	6:31	6:41	6:46	6:53	7:01				<b>4:05</b>	<b>4:25</b>	<b>4:34</b>	<b>4:42</b>	<b>4:53</b>	<b>4:59</b>	6:39	6:54
5:20	5:35	7:15	7:21	7:31	7:36	7:43	7:51	8:26									7:10	7:25

**Morning stop locations:** Owen Memorial Park; Palmdale Transportation Center; Gayley & Strathmore - UCLA; Gayley & Landfair Ave; Le Conte Ave & Westwood; Westwood & Weyburn Ave; Westwood & Lindbrook; Santa Monica Blvd & Century Park East; Santa Monica Blvd & Wilshire; Wilshire & Camden Dr; Wilshire & Rexford; Wilshire & Doheny; Wilshire & La Peer; Wilshire & Robertson; Wilshire & La Cienega; Wilshire & La Jolla; Wilshire & Spaulding; Wilshire & Masselin; La Brea & 6th; La Brea & Beverly; La Brea & Melrose; La Brea & Santa Monica.

A.M. Run 4 will also service the West LA V.A. Medical Center.

**Afternoon stop locations:** Santa Monica & La Brea; La Brea & Melrose; La Brea & Beverly; Wilshire & Cloverdale; Wilshire & Masselin; Wilshire & Fairfax; Wilshire & La Jolla; Wilshire & La Cienega; Wilshire & Robertson; Wilshire & La Peer; Wilshire & Doheny; Wilshire & Rodeo; Santa Monica & Wilshire; Century Park East & Santa Monica; Century Park East & Constellation; Century Park West & Solar Way; Westwood & Lindbrook; Gayley & Landfair; Galey & Strathmore-UCLA; Palmdale Transportation Center; Owen Memorial Park.

P.M. Run 4 will also service the West LA V.A. Medical Center.

Route 786 Fare		Senior (62+), Disabled, and Medicare cardholding passengers must show valid I.D.
	Full Fare	Senior (62+)/Disabled/Medicare cardholder
One-Way Trip	\$ 10.75	\$ 5.25
10-Trip	\$ 99.00	\$ 49.50
Monthly Pass	\$ 344.00	\$ 172.00
EZ Transit Pass	\$ 352.00	\$ 175.00
	Zone 11	Zone 14

AVTA passes can be purchased online or at local vendors and stored on your reusable TAP CARD!  
[taptogo.net](http://taptogo.net)

Seniors (62+), Disabled, and Medicare cardholding passengers must show valid I.D.  
 Passes of higher value may be used on routes with a lesser monthly pass value or are subject to an upcharge.

Current fares for Route 786 are outlined in the following table:

Route 786 Fare Table

One-Way Cash/TAP Fare	\$10.75
Ten-Trip Ticket	\$99.00
Monthly Pass	\$344.00
EZ Pass (Zone 11)	\$352.00

#### Route 787 to San Fernando Valley

This line operates 14 daily trips, carrying passengers to the West San Fernando Valley business districts along Plummer St., Desoto Ave, Victory Blvd., Canoga Avenue, and the Cal State University Northridge (CSUN) Transit Center. There are seven morning departures from 4:00 a.m. to 6:00 a.m. and seven afternoon departures from San Fernando Valley from 3:00 p.m. to 5:40 p.m.

# 787

Monday-Friday Only  
PM times in bold

## A.M. Runs Southbound to Northridge / W. San Fernando

## P.M. Runs Northbound to Palmdale/Lancaster

Depart	Reseda & Devonshire	CSUN Transit Center	Plummer & Corbin	De Soto & Plummer	De Soto & Sherman Way	Canoga & Victory	Burbank & Canoga (Warner Ctr.)	Reseda & Ventura (Tarzana)		Ventura & Reseda (Tarzana)	Burbank & Canoga (Warner Ctr.)	Canoga & Victory	De Soto & Sherman Way	De Soto & Plummer	Plummer & Corbin	CSUN Transit Center	Reseda & Devonshire	Arrive Palmdale Transportation Center	Arrive Owen Memorial Park	
	A	B	C	D	E	F	G	H		H	G	F	E	D	C	B	A			
4:00	4:15	5:05	5:10	5:15	5:20	5:28	5:33	5:38	5:48	<b>RUN 1</b>	3:00	3:14	3:18	3:23	3:32	3:36	3:41	3:46	4:51	5:06
4:20	4:35	5:25	5:30	5:35	5:40	5:48	5:53	5:58	6:08	<b>RUN 2</b>	3:25	3:39	3:43	3:48	3:57	4:01	4:08	4:13	5:23	5:38
4:40	4:55	5:45	5:50	5:55	6:00	6:08	6:13	6:18	6:28	<b>RUN 3</b>	3:55	4:09	4:13	4:18	4:27	4:31	4:38	4:43	5:53	6:08
5:00	5:15	6:20	6:25	6:30	6:35	6:43	6:48	6:53	7:03	<b>RUN 4</b>	4:20	4:34	4:38	4:43	4:52	4:56	5:03	5:08	6:13	6:28
5:20	5:35	6:40	6:45	6:50	6:55	7:03	7:08	7:13	7:23	<b>RUN 5</b>	4:50	5:04	5:08	5:14	5:23	5:27	5:34	5:39	6:44	6:59
5:40	5:55	7:00	7:05	7:10	7:15	7:23	7:28	7:33	7:43	<b>RUN 6</b>	5:15	5:27	5:31	5:37	5:46	5:50	5:57	6:02	7:07	7:22
6:00	6:15	7:20	7:25	7:30	7:35	7:43	7:48	7:53	8:03	<b>RUN 7</b>	5:40	5:52	5:56	6:02	6:11	6:15	6:22	6:27	7:32	7:47

**Morning stop locations:** Reseda & Devonshire; Plummer & Reseda; Plummer & Tampa; Plummer & Corbin; Plummer & Winnetka; Plummer & Mason; Desoto & Plummer; Desoto & Nordhoff; Desoto & Roscoe; Desoto & Saticoy; Desoto & Sherman Way; Desoto & Vanowen; Victory & Variel; Canoga & Victory; Canoga & Trillium; Canoga & Erwin; Canoga & Oxnard; Canoga & Burbank; Northrup; Kaiser; Ventura & Kelvin; Ventura & Winnetka; Ventura & Tampa; Ventura & Reseda.

**Afternoon stop locations:** Ventura & Reseda; Ventura & Tampa; Ventura & Winnetka; Ventura & Kelvin; Kaiser; Northrup; Canoga & Burbank; Canoga & Oxnard; Canoga & Erwin; Canoga & Trillium; Canoga & Victory; Victory & Variel; Desoto & Vanowen; Desoto & Sherman Way; Desoto & Saticoy; Desoto & Roscoe; Desoto & Nordhoff; Desoto & Plummer; Plummer & Mason; Plummer & Winnetka; Plummer & Corbin; Plummer & Tampa; Plummer & Reseda; Reseda & Devonshire.

AVTA passes can be purchased online or at local vendors and stored on your reusable TAP CARD!

[taptogo.net](http://taptogo.net)

### Route 787 Fare

	Fall Fare	Senior(62+)/Disabled/Medicare cardholder
One-Way Trip	\$ 8.75	\$ 4.25
10-Trip	\$ 80.00	\$ 40.00
Monthly Pass	\$280.00	\$140.00
EZ Transit Pass	\$308.00	\$156.00

Zone 9      Zone 12

Seniors (62+), Disabled, and Medicare cardholding passengers must show valid I.D.

Passes of higher value may be used on routes with a lesser monthly pass value or are subject to an upcharge.


Current fares for Route 787 are outlined in the following table:

**Route 787 Fare Table**

<b>One-Way Cash/TAP Fares</b>	<b>\$ 8.75</b>
<b>Ten-Trip Ticket</b>	<b>\$80.00</b>
<b>Monthly Pass</b>	<b>\$280.00</b>
<b>EZ Pass</b>	<b>\$308.00</b>

**Route 790 – North County TRANSPORTER**

The North County TRANSPORTER is designed to connect transportation services between the Santa Clarita and Antelope Valleys during off-peak hours, Monday through Friday. The North County TRANSPORTER provides 10-weekday trips between the Newhall Metrolink Station and the Palmdale Transportation Center. The service is intended to connect TRANSPORTER passengers with Metrolink trains, with schedules coinciding to make travel convenient. The North County TRANSPORTER will also connect to the Santa Clarita Transit's 757 North Hollywood ("NoHo") Express service.

 <span style="float: right;">Monday-Friday PM times in bold</span>						
Southbound to Newhall Metrolink Station			Northbound to Palmdale Transportation Center			
Depart Palmdale Transportation Center	Newhall Metrolink Station	Metrolink Train Connection	Metrolink Train Connection	Newhall Metrolink Station	Vincent Grade/ Acton Station	Arrive Palmdale Transportation Center
8:00	8:50	9:29	8:32	9:00	On Request	9:50
3:00	3:50	4:29	3:32	4:00		4:50

Metrolink schedules may be subject to change. For the latest Metrolink schedules, please visit [www.metrolinktrains.com/schedules](http://www.metrolinktrains.com/schedules)  
 Los horarios de Metrolink pueden estar sujetos a cambios. Para estar al tanto de los últimos horarios de Metrolink, visite [www.metrolinktrains.com/schedules](http://www.metrolinktrains.com/schedules)

## TRANSPORTER Fares

<b>One Way Trip</b>	<b>\$ 5.00</b>	<b>Senior (62+) and disabled Mayores(62+) y discapacitados</b> <b>\$ 2.50</b>
<b>Transfer</b> Santa Clarita Transit	<b>\$ 0.25</b>	

**Seniors (62+) must show I.D. Disabled passengers must show a valid reduced fare TAP card.**  
 Las personas mayores (62+) deben mostrar indentificación. Los pasajeros discapacitados deben presentar una tarjeta TAP de reducida válida.

**Where's the bus? Donde está el autobús?**  
 Find out NOW with AVTAs | Averigüalo AHORA con AVTAs

**track it**  
 BUS LOCATOR LOCALIZADOR DE AUTOBUSES

• TEXT "AVbus stop #!" to 321123  
 Mande texto "AV" y su número de parada de autobús a 321123  
 • Download the "myStop" app. Click "Set Alert" to be notified of departures  
 Descargue la aplicación myStop a su iPhone de la tienda iTunes  
 • Go online | En página web

[track-it.avta.com](http://track-it.avta.com)

Current fares for the 790 are outlined in the following table:

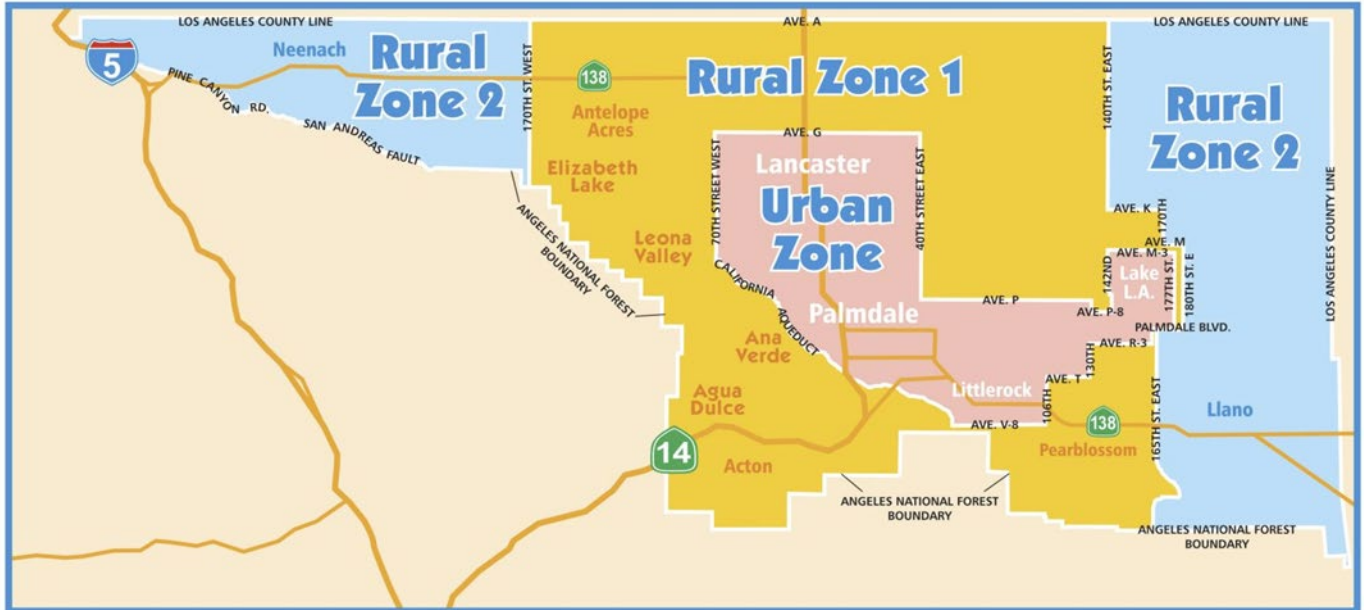
**Route 790 Fare Table**

<b>One-way Cash/ TAP Fare</b>	<b>\$5.00</b>
<b>Senior/Disabled/Medicare</b>	<b>\$2.50</b>
<b>Valid Metrolink Ticket</b>	<b>FREE</b>
<b>Monthly Pass</b>	<b>\$150.00</b>
<b>Senior/Disabled</b>	<b>\$75.00</b>
<b>EZ Pass</b>	<b>\$286.00</b>
<b>Senior/Disabled</b>	<b>\$118.00</b>

**Dial-A-Ride Service (DAR)**

AVTA provides supplemental Dial-A-Ride demand response service to residents of Lancaster, Palmdale, and the unincorporated portions of Los Angeles County within the Antelope Valley. The boundaries for the Antelope Valley DAR service area are the Kern County Line to the north, the San Bernardino County Line to the east, the Angeles National Forest boundary to the south, and Interstate 5 on the west. AVTA Dial-A-Ride is supplemental to the service provided by Access Services, the agency responsible for delivering complementary ADA paratransit services for Los Angeles County.

Effective April 1, 2020, DAR service is provided by AVTA's subcontractor, Antelope Valley Transportation Services (AVTS). They provide origin-to-destination service in designated urban and rural areas within the AVTA service area. The DAR service operates seven days a week in rural areas and serves the general public. DAR service is available seven days a week in urban areas to seniors (62 and over) and Persons with Disabilities. The urban boundaries of DAR service are Avenue G to the north, 180th St. E., 70th St. W. and Mt. Emma Rd. to the south.



The fare structure is detailed in the following table:

**Dial-A-Ride Fare Table**

<b>Urban Zone:</b>	
<b>One Way</b>	\$3.00
<b>Group Rate (3+)</b>	\$1.25/person
<b>Rural Zone One:</b>	
<b>One-Way</b>	\$3.50
<b>Group Rate (3+)</b>	\$1.75/person
<b>Rural Zone Two:</b>	
<b>One-Way</b>	\$6.00
<b>Group Rate (3+)</b>	\$3.00/person

**On-Request Microtransit Ride Service**

AVTA's On-Request Microtransit Ride Service is a new pilot program offering an On-Request ride service along routes 50, 51, and 52. The On-Request Microtransit Ride Service connects passengers to and from the rural communities of Lake Los Angeles, Pearblossom, Littlerock, and Sun Village to the rest of AVTA's local transit system. Fares for AVTA's On-Request Microtransit Ride Service are the same as AVTA's local transit system.

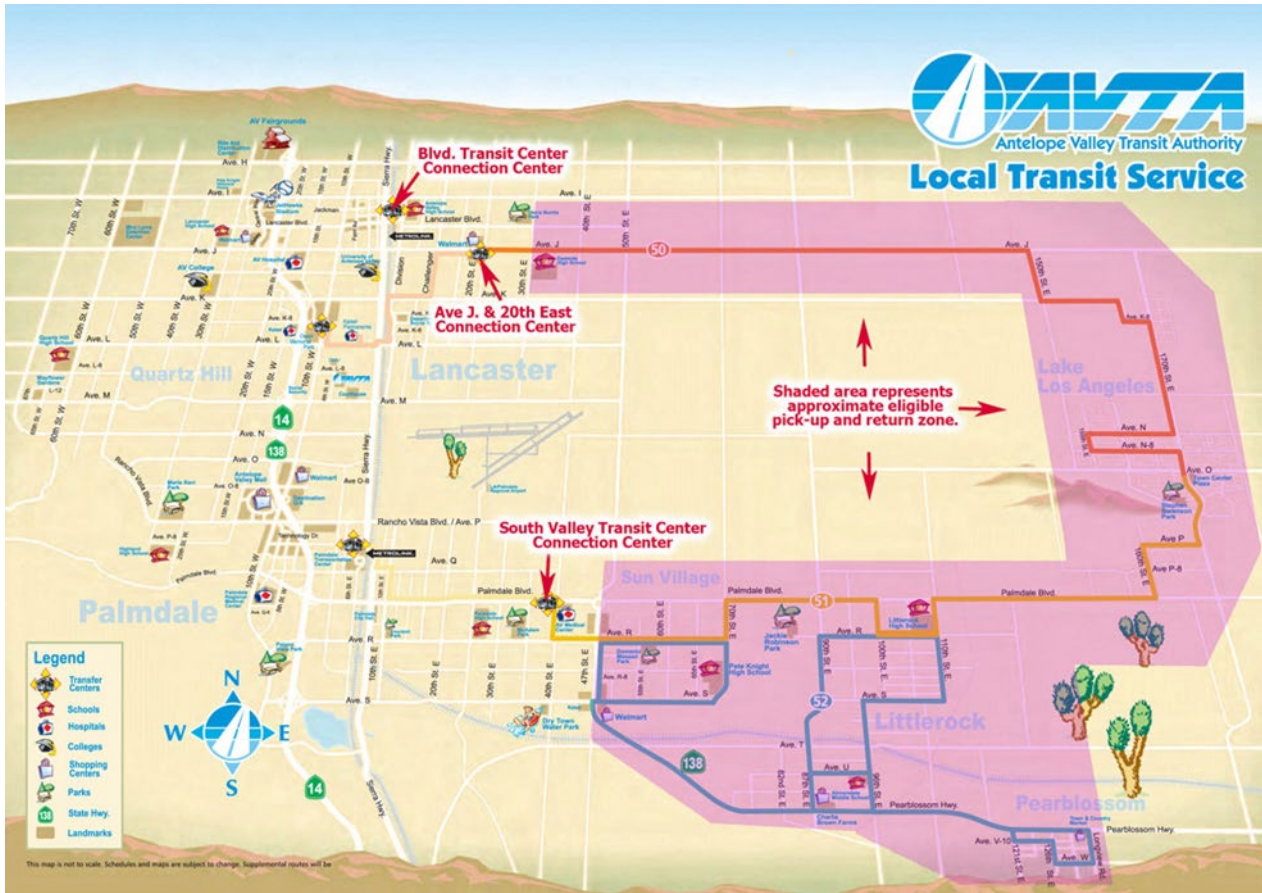


The On-Request Microtransit Ride Service uses a smartphone application (or app) called "AVTA Empowered Mobility App" that can be downloaded from Apple and Android app stores for free. AVTA Empowered Mobility App users can reserve a ride from any eligible pickup location along Routes 50, 51, & 52 during eligible hours. Eligible hours are Monday - Friday, 5 a.m. to 9 p.m., Saturday, 6 a.m. to 9 p.m., and Sunday, 7 a.m. to 9 p.m.

The "eligible pick-up and return zone" consists of locations within one mile of bus stops along Routes 50, 51, and 52 that are located east of Avenue J and 20th St. E. (along Route 50) and east of the South Valley Transit Center in Palmdale at Palmdale Blvd. and 40th St. E. (along Route 51 and all stops along Route 52). These locations are the AVTA Microtransit Connection Centers, connecting riders to the rest of the AVTA local transit system. The Boulevard Transit Center in Lancaster on Sierra Hwy. can also serve as a connection center for the On-Request Microtransit Ride Service.

Passengers from Lake Los Angeles, Pearblossom, Littlerock, and Sun Village requesting rides must select a destination that is:

- Within the pick-up and return zone (locations within one mile of any Route 50, 51, or 52 bus stops located east of the two Connection Centers)
- At the Connection Center in Lancaster at Avenue J and 20th St. E.
- At The Boulevard Transit Center Connection Center in Lancaster on Sierra Hwy.
- At the Connection Center in the South Valley Transit Center in Palmdale at Palmdale Blvd. and 40th St. E.



The On-Request Microtransit Ride Service does not pick up and deliver rides between the Lancaster and Palmdale Connection Centers. Passengers picked up at Connection Centers must be delivered back to Lake Los Angeles, Pearblossom, Littlerock, and Sun Village communities (see the "eligible pick-up and return zone" shaded area on the map). Passengers wishing to return to Lake Los Angeles, Pearblossom, Littlerock, and Sun Village, must travel from the three AVTA Microtransit Connection Centers in Lancaster and Palmdale to the pick-up and return zone.

## **Overall System Performance**

### **FY 2023 Initiatives Completed**

#### **EXECUTIVE SERVICES**

- Transitioned to new Operations and Maintenance contractor for local transit and commuter services.
- Improved the new satellite location in Lake Los Angeles to assist our rural communities.
- Held food drives in conjunction with community partners.
- Organized record-setting Stuff-A-Bus campaign.
- Executive Director/CEO elected to President of AV EDGE.
- Awarded two FTA Section 5310 discretionary grants for NEMT and DAR vehicles and NEMT operations.
- Award of a Transit & Intercity Rail Capital grant toward the future High Desert Connector commuter project.
- Completed and approved the Authority's Title VI Program Update for FY 2023/2024 through FY 2025/2026 as required by the Federal Transit Administration.

#### **OPERATIONS & MAINTENANCE**

- Took delivery of five expansion 60-ft articulated buses.
- Completed dispatch area upgrades.
- Installed plastic barriers in all commuter coaches.
- Completed the LACMTA Maintenance Audit with no findings or questioned costs.

#### **FINANCE AND ADMINISTRATION**

- Completed the FY 2022 Single Audit Report with no findings or questioned costs.
- Completed the FY2022 Audit of the Financial Statements with no findings or questioned costs.
- Completed the FY 2022 LACMTA Prop A and EZ Pass Audit with no findings or questioned costs.
- Exhausted CARES Act grant funds.

#### **INFORMATION TECHNOLOGY**

- Created and implemented Microsoft 365 agency-wide.
- Completed community Room upgrades.

## **FY 2024 Initiatives Planned**

- Completion of the Compensation and Classification Study.
- Complete transit center construction, and WAVE installation and Level III chargers at the Antelope Valley College transit center.
- Purchase 43 acres of undeveloped land for the future solar farm, battery energy storage, and shared charging lot projects.
- Obtain all FTA required approvals and break ground on aforementioned projects.
- Complete installation of two-Level II chargers at Lancaster Metrolink Park and Ride transit center.
- Complete installation of additional WAVE charger at Metrolink North Transit Center.
- Complete installation of additional WAVE charger at South Valley Transit Center.
- Complete installation of additional charging infrastructure at AVTA headquarters.
- Replace two original BYD demonstration buses.
- Take delivery of 19 expansion vehicles.
- Take delivery of 19 replacement On-Request Microtransit vans.
- Take delivery of 3 replacement support vehicles.
- Adoption of new 3-year Disadvantaged Business Enterprise (DBE) Goal.

## **Facility**



**AVTA's Operations and Maintenance Headquarters, Lancaster, CA**

## FY 2024 Operating Budget Summary

AVTA's Fiscal Year 2024 budget reflects total revenue and expenditures of \$34.9 million. The following pages will summarize revenues and expenditures into general categories. Full account details for operating accounts can be found in Appendix A.

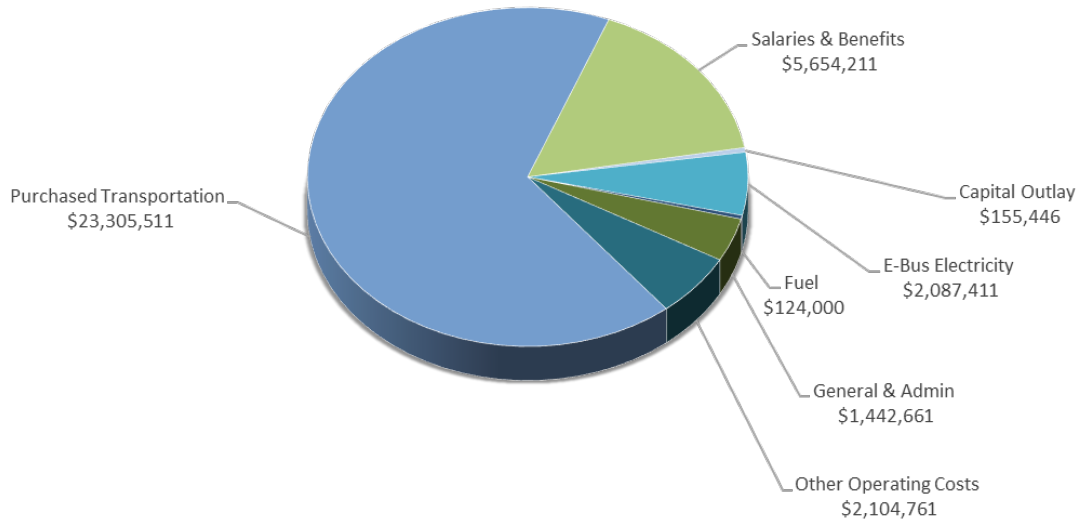
### Operating Revenue Summary

FY 2024 Operating Revenue Summary		
Revenue		
Tax Revenue Via Metro	\$	17,718,624
Federal Grants	\$	9,877,239
Juris. Operating Contributions	\$	3,514,638
Transit Fare Revenue	\$	2,500,000
Other Operating Revenue	\$	1,263,500
<b>Revenue Total</b>	<b>\$</b>	<b>34,874,001</b>

### Notes on Operating Revenue

- CRRSAA and ARPA:** AVTA will use Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA) funds and American Rescue Plan Act of 2021 (ARPA) funds designated for the Authority for expenses and lost revenue due to COVID-19.
- Fare Revenue:** Ridership levels, although increasing, are not yet at pre-COVID levels. for FY 2024. AVTA has elected to project \$2.5 million in total fare revenue, a 25% increase over the prior year's budget.
- Tax Revenue:** According to the most recent Transit Fund Allocations draft from the Los Angeles County Metropolitan Transportation Authority (LACMTA), the agency will receive over \$17 million in operating funds.
- Jurisdictional Operating Contributions:** Contributions for FY 2024 will remain at the same rates as FY 2023 for the cities of Lancaster and Palmdale. Los Angeles County will increase contributions 29% over FY 2022.
- Other Operating Revenues:** Advertising revenue is budgeted at \$209K. Low-Carbon Fuel Standard (LCFS) credits are sold at market value and are estimated at \$700K, a decrease from FY23. Interest rates have risen significantly; therefore, AVTA anticipates a rise in earnings. Interest/investment income is conservatively budgeted at \$250K. AVTA is also expecting almost \$48k in lease revenue.

## FY 2024 Expenses



## Tax Revenue - Year Over Year Comparison

Funding Source	2022-2023 Final MTA Funding	2023-2024 Draft MTA Funding	FY 23/ FY24 Increase (Decrease)
Prop A DAR	\$ 693,960	\$ 649,937	\$ (44,023)
Prop A 95%/40% DISCRETIONARY	\$ 5,840,121	\$ 6,367,820	\$ 527,699
PROP C 40%-BUS SRVC IMPRV	\$ 51,804	\$ 53,726	\$ 1,922
PROP C 40%-FOOTHILL MITIG	\$ 29,840	\$ 36,150	\$ 6,310
PROP C 40%-MOSIP	\$ 1,295,847	\$ 1,349,382	\$ 53,535
PROP C 40%-TRANSIT SRVC EXP	\$ 408,166	\$ 423,309	\$ 15,143
PROP C 5%-BUS SECURITY ENH	\$ 198,045	\$ 227,362	\$ 29,317
MEASURE M	\$ 3,571,518	\$ 4,303,648	\$ 732,130
MEASURE R	\$ 3,577,126	\$ 4,307,290	\$ 730,164
<b>Total</b>	<b>\$ 15,666,427</b>	<b>\$ 17,718,624</b>	<b>\$ 2,052,197</b>

## Operating Reserve

Beginning in FY 2013, a separate operating reserve was established with a beginning balance of \$250,000. The goal was to maintain a reserve equivalent to three months of operating expenses to be set aside and used in the event of an emergency to maintain operations. This operating reserve achieved total funding of \$9 million at the close of FY 2021. In FY 2022, AVTA increased the total reserve amount due to increased contracted operations costs and the addition of the new

AVTA East satellite office. The balance of the operating reserve at the close of FY 2023 is \$10 million.

## **Capital vs. Operating Funding**

AVTA's funding is classified as Capital or Operating.

Transportation subsidies are allocated by the Regional Transportation Planning entity (LA Metro) to Los Angeles County fixed-route transit operators through the Formula Allocation Procedure (FAP) and the Capital Allocation Procedure (CAP). The FAP uses vehicle service miles and passenger revenues to apportion the available revenues into percentage shares. The CAP uses total vehicle miles and active fleet size (National Transportation Database data) to apportion the shares. The sources of funds are discussed in the following sections:

## **Los Angeles County Resources**

### **Proposition A 40% Sales Tax Funds**

Proposition A is a transit operations voter-approved one-half cent Los Angeles County local sales tax ordinance. These funds may be used for bus operations or capital, with AVTA applying all Proposition A funds toward operations.

### **Proposition C 40% Discretionary Sales Tax Funds**

Proposition C is a 1990 voter-approved one-half cent Los Angeles County sales tax ordinance. The funds are allocated through the following LA Metro Board adopted programs: 1) Municipal Operator Service Improvement Program (MOSIP); 2) Bus System Improvement Plan Overcrowding Relief 3) Transit Service Expansion; and 4) Base Restructuring. The Prop C 40% funds are eligible for transit operations and capital.

### **Proposition C 5% Transit Security**

These funds are specifically intended to improve transit security. They are distributed based on total unlinked passenger trips. AVTA applies these funds to the Los Angeles County Sheriff's Department and OPSEC Security contracts.

### **Measure R Bus Operations & Clean Fuels**

Measure R is a 2008 voter-approved Los Angeles County sales tax ordinance. These funds are eligible for bus operating and capital expenses, with AVTA applying Measure R clean fuels funds toward capital projects and operating funds toward purchased transportation.

## **Measure M 20% Bus Operations**

Measure M is a 2016 voter-approved Los Angeles County sales tax ordinance. These funds are eligible for bus operating and capital expenses, with AVTA applying all Measure M funds towards operations.

## **State Resources**

### **State Transit Assistance Funds (STA)**

STA is a statewide excise tax on fuel. The funds are eligible for use on transit capital and operating expenses, with AVTA applying STA funds towards both capital and operating.

### **SB-1 (State of Good Repair Program)**

The Road Repair and Accountability Act of 2017, Senate Bill (SB) 1 (Chapter 5, Statutes of 2017), signed by the Governor on April 28, 2017, includes a program providing revenues for transit infrastructure repair and service improvements. SB 1 emphasizes the importance of accountability and transparency in the delivery of California's transportation programs. This investment is referred to as the State of Good Repair Program. This program provides funding annually to the State Transit Assistance (STA) Account. The funds are distributed throughout the State according to the STA formula. These funds are available for eligible transit maintenance, rehabilitation, and capital projects, with AVTA applying STA funds toward both capital and operating expenses.

### **Low Carbon Transit Operations Program (LCTOP)**

LCTOP is funded by auction proceeds from the California Air Resource Board's (ARB) Cap-and-Trade Program and deposited into the Greenhouse Gas Reduction Fund (GGRF). This program is a component of the State of California budget (by Senate Bill 852 and Senate Bill 862) to reduce greenhouse gas emissions. These funds are eligible for transit operating and capital projects that reduce greenhouse emissions. These funds are swapped for a Prop A equivalent with LACMTA and applied toward operating costs.

### **Transit and Intercity Rail Capital Program (TIRCP)**

TIRCP is a discretionary grant program created by Senate Bill 862 (Chapter 36, Statutes of 2014) and modified by Senate Bill 9 (Chapter 710, Statutes of 2015). The program provides grants from the Greenhouse Gas Reduction Fund for transformative and modernized capital improvements such as California's intercity, commuter, and urban rail systems, and bus and ferry transit systems to reduce emissions of greenhouse gases by reducing congestion and vehicle miles traveled throughout California.



## **Federal Resources**

### **Coronavirus Response and Relief Supplemental Appropriations Act (CRRSA)**

The Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA) was signed into law on December 27, 2020. The bill included \$14 billion allocated to public transit throughout the United States. The supplemental funding is provided at 100% federal share, with no local match required. AVTA applies these funds toward operation expenses.

### **The American Rescue Plan Act of 2021 (ARPA)**

ARPA supports the nation's public transportation systems as they continue to respond to the COVID-19 pandemic. ARPA funds are eligible at 100% federal share for operating expenses. AVTA applies these funds toward operation expenses.

### **Federal Urban Area Formula Program (Section 5307)**

The Federal Transit Administration allocates these funds based on a formula consisting of total vehicle miles, number of vehicles, unlinked boardings, passenger revenue, and base fare. Funds are used for capital and operating expenses and require a 20% local match.

### **Federal Buses and Bus Facilities and Low-or No-Emission Program (Section 5339)**

The Buses and Bus Facilities program (49 U.S.C. 5339) allocates federal resources to direct recipients to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities, including technological changes or innovations, to modify low or no-emission vehicles or facilities. Funding is provided through formula allocations and competitive grants. A sub-program, the Low-or-No-Emission Vehicle Program, provides competitive grants for bus and bus facility projects that support low and zero-emission vehicles and require a 20% local match.

### **Federal State of Good Repair Program (Section 5337)**

State of Good Repair funds must be used either to maintain system infrastructure for buses or rail operating on exclusive transportation right-of-way or to maintain buses operating on lanes not fully reserved for public transportation. These funds are allocated through the CAP. They are capital funds used to maintain, replace and rehabilitate vehicles and transportation equipment and require a 20% local match.

### **Transportation Development Credits**

Transportation Development Credits do not allocate actual money toward project expenses. A 100% federal share can be reflected where credits are applied.

## FY 2024 Operating Expense Summary

FY 2024 Operating Expense Summary		
Expense		
Capital Outlay	\$	155,446
E-Bus Electricity	\$	2,087,411
Fuel	\$	124,000
General & Admin	\$	1,442,661
Other Operating Costs	\$	2,104,761
Purchased Transportation	\$	23,305,511
Salaries & Benefits	\$	5,654,211
<b>Expense Total</b>	<b>\$</b>	<b>34,874,001</b>

AVTA spends nearly three-quarters of its revenue on operating and maintaining the fleet of vehicles for all services. AVTA contracts with MV Transportation to provide operations and maintenance of AVTA's fixed-route fleet. Additionally, AVTA partners with Antelope Valley Transit Services (AVTS), headquartered on "The Blvd" in Lancaster, to operate both AVTA's DAR and On-Request Microtransit Ride Service (ORMRS). The ORMRS service is growing in popularity, and, hopefully, many more riders will try it out in FY 2024.

Another notable change includes some personnel changes to better prepare for AVTA's long-term financial health. Most notable this fiscal year is the change in the amount paid by the employer for benefit coverage such as medical, dental, and vision insurance. This change will only apply to new employees. Current employees will retain the former split of employer-paid benefits.

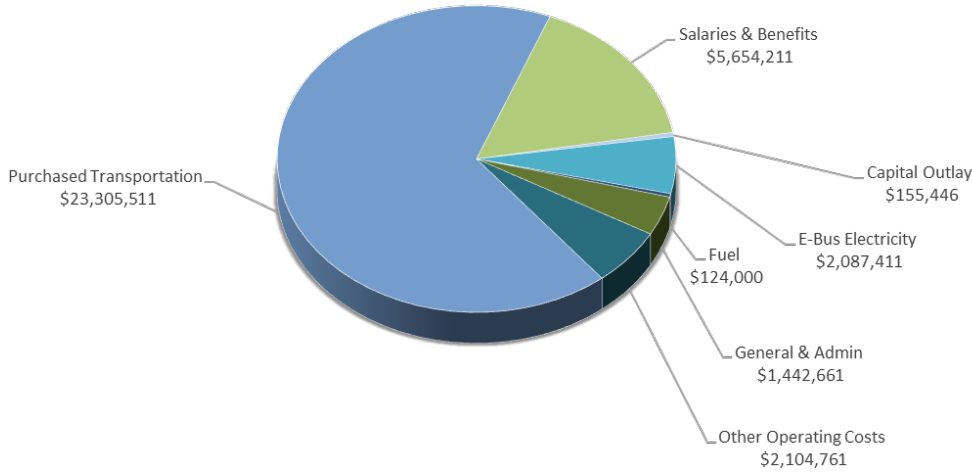
AVTA is proud to be all-electric and has recognized significant operations savings for fuel. This year, AVTA will see another reduction in fuel costs and no longer takes delivery of diesel fuel. AVTA is also working to expand the solar grid at its property. This solar grid expansion is expected to significantly reduce reliance on electricity provided by Southern California Edison, thereby reducing electricity expenses in future years

### OPERATING EXPENDITURES

- Purchased Transportation:** MV is AVTA's purchased transportation provider. The new contract states a revenue hour rate increase from \$103.60 in year one to \$106.77 in year two of the contract. AVTA is budgeting as close to actual revenue hours as possible in FY 2024 and therefore anticipates just under 185K revenue hours during the fiscal year representing a budget decrease of total revenue hours of approximately 8%.

- **AVTS Contract:** AVTS provides AVTA's DAR, Microtransit, and non-emergency medical transportation (NEMT) services. Ridership is increasing due to their increased popularity . Total budget for of these services in FY 2024 is just over \$3.3 million.
- **Bus Propulsion:** AVTA has completed the transition to an all-electric fleet! Fuel costs will see a 55% decrease, while electricity costs will reflect a 28% 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. Adjustments will be made during the mid-year budget review.
- **Personnel:** AVTA staff is currently at 54 employees, and plans to add four new positions in the maintenance, operations, and finance departments. The FY 2024 personnel budget assumes a 3% maximum possible merit rate increase for each employee. COLA adjustments will be evaluated in concurrence with the Compensation and Classification study currently in development. This study is expected to yield results incorporating the most updated market conditions.
  - **Benefits:** The employee insurance benefit structure has recently been modified for new hires, with the Authority contributing 75% toward the employee and 25% toward spouse and family. Additionally, AVTA will reduce the current vacation cash-out benefit to once per year at a maximum of 40 hours. However, costs for other employees' benefits are expected to increase. All other benefits, including worker's compensation coverage, are budgeted to increase 1%.
  - **Pension:** The employer share of CalPERS has risen for FY 2024 to 11.84% from 10.32% for CalPERS Classic employees. CalPERS Public Employee Pension Reform Act (PEPRA) employer contribution has risen to 7.68% from 7.47%. 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 3% above prior year costs. Actual rates will likely be completed in June 2024 after the budget is finalized and will be included in the mid-year budget review.
- **Capital Project Local Match:** The downtown Los Angeles parking facility regional partnership project for Commuter bus parking is progressing. The remaining \$155K from the prior year's budget will be carried forward in FY 2024. Funds for the local match portion for federal grant monies cannot be from other federal funds and therefore, will be covered under operating costs for FY 2024.
- **Other General and Administrative Costs:** AVTA anticipates an overall increase of \$83K with small increases in several accounts, including Travel and Meetings, Security, and Marketing.

### FY 2024 Expenses



## FY 2024 Capital Budget Summary

### Capital Revenues

AVTA's FY 2024 Capital Spending Plan has a few carryover projects from FY 2023. Funding is composed of the State of California State Transportation Agency's Transit and Intercity Rail Capital Project (TIRCP), Low Carbon Transit Operations Program (LCTOP), Federal Transit Administration funds, and other matching and internal reserve sources, including the Authority's dedicated Capital Reserve Fund that provides matching funds for fleet replacement. The delivery of expansion vehicles included in the FY 2024 Capital Budget will exhaust all existing funds in the capital reserve. The Authority will start planning annual set-asides to accumulate the required local match portion of bus replacements beyond FY 2024.

The Federal Transit Administration (FTA) provides funding to urbanized areas for transit capital and operating assistance as part of the Urbanized Area Formula Program (Section 5307). An urbanized area (UZA) is an incorporated area with a population of 50,000 or more as designated by the U.S. Department of Commerce, Bureau of the Census. AVTA serves as the transit agency for the Lancaster/Palmdale UZA. Additionally, AVTA generates funding allocations from the Greater Los Angeles/Long Beach and Santa Clarita UZA's through Los Angeles County Metropolitan Transportation Authority's (LACMTA) formula process.

Funding for capital expenditures in FY 2024 comes from the projected carryover of FY 2023 FTA Section 5307 Funds and associated transportation development credits, which funds supporting operating expenses. Additional funds will be

provided by grants from Transit and Inner-City Rail Capital Program, Low Carbon Transit Operating Program, FTA's BUILD and Low or No Emission, Proposition A 40% Discretionary sales tax revenues, Jurisdictional Capital payments, and internal funds reserved for capital spending support purposes.

## Capital Expenditure Plan

The chart below shows the capital projects planned for FY 2024 of \$37.7 million.

A total of \$2 million will be spent on replacement vehicles, \$18 million for service expansion vehicles, \$14.3 million for facility improvements, \$1.2 million for transit facility improvement projects, \$388,000 on information technology, \$2.2 million on fleet and facility equipment, and \$155,866 for operating projects.

## FY 2024 Capital Expenditures

### Funding Source Summary

Project Summary	State Grant	FTA Grant	FTA Annual Allocation	AVTA Reserves	Total
Expansion Vehicles	\$ 4,825,003	\$ 9,333,879	\$ 2,021,611	\$ 1,800,643	\$ 17,981,136
AVTA Facility Improvements	\$ 3,306,505	\$ -	\$ 11,009,445	\$ -	\$ 14,315,950
Replacement Vehicles	\$ -	\$ -	\$ 1,880,588	\$ 177,238	\$ 2,057,826
Fleet Maintenance & Equipment	\$ -	\$ -	\$ 1,456,000	\$ -	\$ 1,456,000
Transit Facility Improvements	\$ 549,540	\$ 155,000	\$ 489,075	\$ -	\$ 1,193,615
Information Technology	\$ -	\$ -	\$ 388,000	\$ -	\$ 388,000
Facility Maintenance Equipment	\$ -	\$ -	\$ 344,000	\$ -	\$ 344,000
<b>Total</b>	<b>\$ 8,681,048</b>	<b>\$ 9,488,879</b>	<b>\$ 17,588,719</b>	<b>\$ 1,977,881</b>	<b>\$ 37,736,527</b>

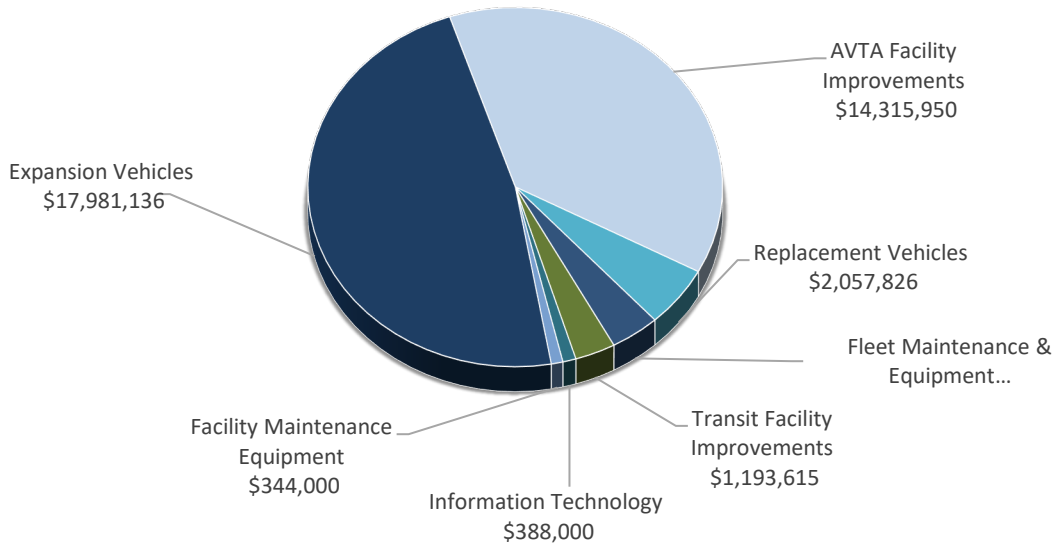
## FY 2023 Capital Funds Carryover

The FY 2024 Capital Budget includes projects approved from prior fiscal years that have not been completed and are thus carried over to the current fiscal year. Funds remaining at the conclusion of the projects are reallocated through the budget process and programmed in the Transportation Improvement Program (TIP) for inclusion in future grants. Any carryover will be applied to future capital spending plans and operating support.

## Federal Funding by Urbanized Area

The Authority's FTA funding comes from three sources: the Palmdale-Lancaster UZA, the Los Angeles/Long Beach/Anaheim UZA, and the Santa Clarita UZA. The Lancaster/Palmdale UZA funds come directly from FTA, while the Los Angeles/Long Beach/Anaheim and Santa Clarita UZA funds are received and allocated through Los Angeles County Metropolitan Transportation Authority.

## FY 2024 Capital Projects



### Capital Projects Details

The capital plan for Fiscal Year 2024 has been developed in a manner that consolidates all anticipated project funding sources and associated grant numbers. Appendix B details the total funding by project.

### Capital Improvement Program

AVTA's capital budget contains FTA funds authorized in H.R. 3684 Infrastructure Investment and Jobs Act as part of Bipartisan Infrastructure Law, which provided billions in advance appropriations. This historic investment builds upon the Surface Transportation Reauthorization Act of 2021. Discretionary programs grant funds are offered throughout the year. The Authority will continue to research and apply for all grants that will aid the Authority in completing its annual capital programs while planning for future operations and projects.

### Capital Reserves

In FY 2013, AVTA set up a separate, interest-bearing account for capital reserve contributions received from each member jurisdiction, where funds are deposited in accordance with the AVTA's Local Agency Investment Fund Policy.

The operating support and capital reserve contribution amounts have remained unchanged since the Authority's inception, with few exceptions: a one-year holiday for the cities of Lancaster and Palmdale during FY 2021 due to the COVID-19 pandemic and the expected loss of sales tax revenues; and a 29% increase

over FY 2022 in LA County contributions. The use of capital reserve funds is limited to providing capital matching funds for new buses. These capital reserve funds provide local match funds for bus purchases, and the balance will be depleted with the completion of the planned expansion buses in this budget. The Authority will again begin accruing the capital reserve for funds to cover match requirements toward future expansion and replacement buses.

\* \* \*

## Appendix A - Operating Budget Account Detail

FY 24 Budget Projection	
Revenue	
Fare Revenue	
Commuter One Way Fare	\$262,358
Fare Revenue - Metrolink/EZ Reimbursement	\$85,666
Fare Revenues - Com - 785 10-R FF	\$87,445
Fare Revenues - Com - 785 10-R RF	\$13,481
Fare Revenues - Com - 785 -EZ RF	\$10,223
Fare Revenues - Com - 785 Mo RF	\$54,102
Fare Revenues - Com - 786 10-R FF	\$79,162
Fare Revenues - Com - 786 10-R RF	\$5,785
Fare Revenues - Com - 786 -EZ FF	\$8,227
Fare Revenues - Com - 786 -EZ RF	\$3,214
Fare Revenues - Com - 786 Mo FF	\$100,605
Fare Revenues - Com - 786 Mo RF	\$20,569
Fare Revenues - Com - 787 10-R FF	\$102,068
Fare Revenues - Com - 787 10-R RF	\$10,217
Fare Revenues - Com - 787 -EZ FF	\$514
Fare Revenues - Com - 787 -EZ RF	\$2,344
Fare Revenues - Com - 787 Mo FF	\$136,038
Fare Revenues - Com - 787 Mo RF	\$24,834
Fare Revenues - Comm - 785 Mo FF	\$43,798
Fare Revenues - DAR - Urban	\$101,418
Fare Revenues - Local 4-Hr FF	\$2,155
Fare Revenues - Local 4-Hr Rf	\$16,815
Fare Revenues - Local Day FF	\$528,587
Fare Revenues - Local Monthly FF	\$275,308
Fare Revenues - Local Weekly FF	\$26,034
Fare Revenues- 790 Transporter	\$13,423
Fare Revenues- ORMRS	\$7,761
S/D Annual Pass	\$77,631
S/D Monthly Pass	\$8,180
S/D One Way Trip	\$94,255
S/D Weekly Pass	\$260
Stored Value	\$297,525
<b>Fare Revenue Total</b>	<b>\$2,500,000</b>
Federal Operating Grants	
FTA: CRRSAA	\$3,871,415
FTA: ARPA	\$5,312,888
5311 CRRSAA** New Account	\$692,936
<b>Federal Operating Grants Total</b>	<b>\$9,877,239</b>
Juris. Op. Contributions	
Bus Stop Maintenance Lancaster	\$85,290
Bus Stop Maintenance Palmdale	\$94,086
Operating Contributions - LA County	\$843,283
Operating Contributions - Lancaster	\$1,307,148
Operating Contributions - Palmdale	\$1,184,831



<b>Juris. Op. Contributions Total</b>	<b>\$3,514,638</b>
Other Operating Revenue	
Advertising Revenue	\$209,000
AVTA East Income	\$48,000
Contributions for Charity (Stuff-A-Bus)	\$26,500
Gain on Sale of Disposal of Assets	\$5,000
Investment Income	\$250,000
LCFS Credits	\$700,000
Other Revenues	\$25,000
<b>Other Operating Revenue Total</b>	<b>\$1,263,500</b>
Tax Revenue Via Metro	
MTA Prop A DAR	\$649,937
MTA:Prop A 95%/40% Discretionary	\$6,367,820
MTA:PROP C 40%-BUS SRVC IMPRV	\$53,726
MTA:PROP C 40%-FOOTHILL MITIG	\$36,150
MTA:PROP C 40%-MOSIP	\$1,349,382
MTA:PROP C 40%-TRANSIT SRVC EX	\$423,309
MTA:PROP C 5%-BUS SECURITY ENH	\$227,362
MTA-Measure M	\$4,303,648
MTA-MEASURE R	\$4,307,290
<b>Tax Revenue Via Metro Total</b>	<b>\$17,718,624</b>
<b>Revenue Total</b>	<b>\$34,874,001</b>

## Appendix B – Capital Budget Account Detail



### APPENDIX B: FY24 DETAILED CAPITAL PROJECTS - SOURCES AND SPENDING

CAPITAL PROJECTS	FY24 Budget	
	Items	FY23 Carryover
<b>VEHICLES</b>		
<b>EXPANSION VEHICLES</b>		
<b>Local Transit Service</b>		
40 ft ZEB - 8 units	\$ 6,737,064	\$ 6,737,064
35 ft ZEB - 3 units	\$ 2,769,531	\$ -
30 ft ZEB - 8 units	\$ 3,930,204	\$ 3,930,204
<b>On Request Microtransit Ride Service</b>		
27 ft. ZEV - 19 units	\$ 4,209,222	\$ 3,978,000
<b>NEMT - 5310 Senior &amp; Individuals with Disabilities</b>		
27 ft. ZEV - 1 unit	\$ 232,615	\$ -
Bariatric Gurney Vehicle - 1 unit	\$ 102,500	\$ -
<b>Expansion Vehicles Total</b>	<b>\$ 17,981,136</b>	<b>\$ 14,645,268</b>
<b>Replacement Vehicles</b>		
<b>Support Vehicles</b>		
ZE Replacement vehicles - 3 units	\$ 210,000	\$ -
<b>Local Transit Buses</b>		
40 ft ZEB - 2 units (MA)	\$ 1,847,826	\$ 1,670,588
<b>Replacement Vehicles Total</b>	<b>\$ 2,057,826</b>	<b>\$ 1,670,588</b>
<b>VEHICLES TOTAL</b>	<b>\$ 20,038,962</b>	<b>\$ 16,315,856</b>

CAPITAL PROJECTS	FY24 Budget	
	Items	FY23 Carryover
<b>FACILITIES</b>		
<b>AVTA FACILITY IMPROVEMENTS</b>		
<b>PHASE III Update - Facility Headquarters</b>		
A/C units - 6	\$ 1,200,000	\$ -
Bus Wash	\$ 1,200,000	\$ 687,847
Charger Infrastructure - 21 80kw units	\$ 100,000	\$ -
Charger Infrastructure - 2 ABB Chargers + Install	\$ 125,000	\$ -
Main Gate - Concrete	\$ 225,000	\$ -
Offices/Breakroom/Improvements/WC Buildout	\$ 600,000	\$ -
Outside Lighting	\$ 100,000	\$ 100,000
Security Camera Upgrade	\$ 112,000	\$ 95,000
<b>Solar Farm/Battery Energy Storage</b>		
Land	\$ 4,000,000	\$ 3,000,000
<b>Shared Charging Infrastructure - North Lot</b>		
Architectural & Engineering	\$ 50,000	\$ 50,000
Construction	\$ 3,000,000	\$ 3,000,000
Generator - 2 units	\$ 1,300,000	\$ 1,300,000
DC Chargers + Installation - 5 units	\$ 651,125	\$ 651,125
Land	\$ 500,000	\$ 500,000
Level III Chargers - 11 units	\$ 363,825	\$ 363,825
Project Management	\$ 24,000	\$ 24,000
Security Lighting	\$ 100,000	\$ 100,000
Security Perimeter Fencing	\$ 25,000	\$ 25,000
Security Perimeter Block Wall	\$ 50,000	\$ 50,000
Switch Gear	\$ 170,000	\$ 170,000
80 kwh Charging Primaries - 21 units	\$ 420,000	\$ 420,000
<b>AVTA Facility Improvements Total</b>	<b>\$ 14,315,950</b>	<b>\$ 10,536,797</b>

<b>CAPITAL PROJECTS</b>		<b>FY24 Budget</b>	
		<b>Items</b>	<b>FY23 Carryover</b>
<b>TRANSIT FACILITIES IMPROVEMENTS</b>			
<b>Downtown LA</b>			
DTLA Layover Parking Lot - Partnership	\$	155,000	\$ -
<b>Palmdale Transportation Center</b>			
Charger Upgrade to WAVE 250 kwh + Installation - 1 unit	\$	415,315	\$ 415,315
Heliox Charger + Installation	\$	134,225	\$ 109,225
<b>Regional Partnership Projects</b>			
Bus Stop Improvement Program	\$	300,000	\$ 300,000
Dedication Plaques: Four Transit Centers	\$	20,000	\$ 20,000
Solar Illumination for Bus Shelters	\$	35,500	\$ -
Communication Boards - The Blvd Transit Center	\$	50,000	\$ 50,000
Route Display Screens + Installation - The Blvd	\$	83,575	\$ 33,575
<b>Transit Facilities Improvements</b>	<b>\$</b>	<b>1,193,615</b>	<b>\$ 928,115</b>
<b>TOTAL FACILITIES</b>	<b>\$</b>	<b>15,509,565</b>	<b>\$ 11,464,912</b>
<b>CAPITAL PROJECTS</b>		<b>FY24 Budget</b>	
		<b>Items</b>	<b>FY23 Carryover</b>
<b>CAPITAL ITEMS</b>			
<b>INFORMATION TECHNOLOGY</b>			
Annual Replacement Program (Computer, Monitor, Printer)	\$	65,000	\$ -
Avigilon Surveillance Camera Repair and Replace	\$	85,000	\$ -
Firewall Upgrade	\$	30,000	\$ -
Website Redesign	\$	48,000	\$ -
Network Infrastructure Upgrade	\$	160,000	\$ -
<b>Information Technology Total</b>	<b>\$</b>	<b>388,000</b>	<b>\$ -</b>
<b>FLEET &amp; FACILITIES EQUIPMENT</b>			
<b>Fleet Maintenance &amp; Equipment</b>			
Automatic Passenger Counters - 82 units	\$	246,000	\$ -
Logos & Wraps	\$	80,000	\$ -
ZEB Major Bus Components - OOW	\$	1,000,000	\$ -
Shop Tools	\$	50,000	\$ -
<b>Fare Collection</b>			
Mobile Validators - 20 units	\$	80,000	\$ -
<b>Fleet Maintenance &amp; Equipment Total</b>	<b>\$</b>	<b>1,456,000</b>	<b>\$ -</b>
<b>Facility Maintenance Equipment</b>			
Avail & Fleetnet Bib	\$	11,000	\$ -
ZE Forklift	\$	65,000	\$ -
Koni Post Lifts - set of 6	\$	125,000	\$ -
Mobile Tire Wheel Lift	\$	12,000	\$ -
Scissor Lift	\$	25,000	\$ -
Storage Rack	\$	6,000	\$ -
Charging - 80kw spare parts - ABB charger gun replacement	\$	100,000	\$ -
<b>Facility Maintenance Equipment Total</b>	<b>\$</b>	<b>344,000</b>	<b>\$ -</b>
<b>CAPITAL ITEMS TOTAL</b>	<b>\$</b>	<b>2,188,000</b>	<b>\$ -</b>
<b>FY24 Capital Projects Total</b>	<b>\$</b>	<b>37,736,527</b>	<b>\$ 27,780,768</b>



**DATE: June 27, 2023**

**TO: BOARD OF DIRECTORS**

**SUBJECT: Adoption of Resolutions and Ordinance for New Procurement Policy**

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## **RECOMMENDATIONS**

- 1) Establish a purchasing Ordinance in accordance with the Uniform Public Construction Cost Accounting Act (Section 22000, et seq. of the Public Contract Code) (Ordinance No. 001 – Attachment A).
- 2) Adopt Resolution No. 2023-005 (Attachment B), that the Antelope Valley Transit Authority hereby elects under California Public Contract Code Section 22030 to become subject to the uniform public construction cost accounting procedures set forth in the Uniform Public Construction Cost Accounting Act and to the California Uniform Public Construction Cost Accounting Commission’s policies and procedures manual and cost accounting review procedures, as they may each from time to time be amended.
- 3) Adopt Resolution No. 2023-006 (Attachment C), adopting the Procurement Policy appended hereto as **Exhibit A**.
- 4) Adopt Resolution No. 2023-007 (Attachment D), amending the Bylaws to accommodate the limits allowed by the Executive Director as stated in the Procurement Policy.

## **FISCAL IMPACT**

It is not anticipated that any of the actions being proposed will cause an increase in costs to AVTA.

## **BACKGROUND**

As AVTA prepares to streamline and centralize procurement, staff reviewed our current procurement policy. It was found that much of the policy was outdated and did not allow AVTA to exercise many procurement options available to us by our funding sources. The policy offered only a very narrow pathway to successful and

compliant procurement and was far more restrictive and cumbersome than our funding requires. The policy also had elements that addressed items that were replaced by later resolutions adopted by the board with no update to the procurement policy and that are better managed as stand-alone policies.

The desired purpose of these proposed actions is to allow AVTA to streamline the procurement policy and to allow the policy to change as the rules and regulations that govern our procurement activities change or are updated from time to time.

Additional benefits of adopting the new policy include:

1. Better opportunities for Disadvantaged Business Enterprise (DBE) and small businesses to compete for AVTA business through the Informal Bidding Process.
2. Allow AVTA to more readily take advantage of intergovernmental and cooperative agreements.
3. Establish an Emergency Contracts procedure.
4. Establish an official policy for the disposal of surplus property.
5. Bring the approval limits of the Executive Director/CEO to a level more adequate to respond to the needs of operating an all-electric fleet and the increased costs of daily operations efficiently and promptly. The current limits were established over ten years ago.

Staff members are confident that the proposed policy will better serve AVTA and its community while still allowing us to remain compliant with the rules and regulations that govern our procurement activities.

Prepared by:

Submitted by:

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Cecil Foust  
Procurement and Contracts Officer

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Martin J. Tompkins  
Executive Director/CEO

Attachments:      A – Ordinance No. 001  
                            B – Resolution No. 2023-005  
                            C – Resolution No. 2023-006  
                                    Procurement Policy (Exhibit A to Resolution No. 2023-006)  
                            D – Resolution No. 2023-007

**ORDINANCE NO. 001**

**AN ORDINANCE OF THE BOARD OF DIRECTORS OF  
THE ANTELOPE VALLEY TRANSIT AUTHORITY  
PURSUANT TO THE UNIFORM PUBLIC  
CONSTRUCTION COST ACCOUNTING ACT (SECTION  
22000, ET SEQ. OF THE PUBLIC CONTRACT CODE)**

**WHEREAS**, the Antelope Valley Transit Authority ("AVTA") is a Joint Powers Authority ("JPA") providing comprehensive public transit services to incorporated and unincorporated communities within the Antelope Valley.

**WHEREAS**, the AVTA is a joint powers authority formed and operating pursuant to the Joint Exercise of Powers Act (Cal. Gov't Code § 6500 et seq.); and

**WHEREAS**, AVTA is governed by the AVTA Board of Directors which, pursuant to the JPA, authorizes the AVTA to acquire such property, facilities, equipment, materials, and supplies as may be deemed necessary to carry out its duties; and

**WHEREAS**, the AVTA Board of Directors has determined that it is in the public interest and welfare to establish a purchasing ordinance in accordance with the Uniform Public Construction Cost Accounting Act (Section 22000, et seq. of the Public Contract Code).

NOW, THEREFORE, THE BOARD OF DIRECTORS OF AVTA DOES ORDAIN AS FOLLOWS:

Section 1. Informal Bidding Procedures for District Projects. Except as otherwise provided herein, the provisions of the Section 22000, et seq., of the Public Contract Code shall be controlling.

(1) Public projects, as defined by the Uniform Public Construction Cost Accounting Act and in accordance with limits listed in Section 22032 of the Public Contract Code, may be let to contract by informal procedures as set forth in Section 22032, et seq., of the Public Contract Code.

(2) A list of contractors shall be developed and maintained in accordance with the provisions of Section 22034 of the Public Contract Code and criteria promulgated from time to time by the California Uniform Construction Cost Accounting Commission.

(3) Where a public project is to be performed which is subject to the provisions of this Ordinance, a notice inviting informal bids shall be mailed to all contractors for the category of work to be bid, as shown on the list developed in accordance with Section 22030 et seq of the Public Contract Code, and to all construction trade journals as specified by Section 22036 of the Public Contract Code. Additional contractors and/or construction trade journals may be notified at the discretion of the District, provided, however, if there is no list of qualified

contractors maintained by the District for the particular category of work to be performed, the notice inviting bids shall be sent only to the construction trade journals specified by the Commission.

(4) If the product or service is proprietary in nature such that it can be obtained only from a certain contractor or contractors, the notice inviting informal bids may be sent exclusively to such contractor or contractors.

(5) The mailing of notices to contractors and construction trade journals shall be completed not less than ten calendar days before bids are due.

(6) The notice inviting informal bids shall describe the project in general terms, how to obtain more detailed information about the project, and state the time and place for the submission of bids.

(7) Authority to award informal contracts is hereby delegated to the Executive Director/CEO.

(8) In accordance with Section 22034(d) of the Public Contract Code, or its statutory successor, if all bids received are in excess of two hundred thousand dollars (\$200,000), the board may, by adoption of a resolution by a four-fifths vote, award the contract at two hundred twelve thousand five hundred dollars (\$212,500), or less to the lowest responsible bidder, if it determines the cost estimate of the Executive Director/CEO was reasonable.

Section 2. Any ordinance previously adopted by the Board of Directors of AVTA shall be and hereby is repealed if and to the extent inconsistent with this Ordinance; provided, however, that each such ordinance shall otherwise remain in full force and effect.

Section 3. If any section, subsection, sentence, clause, phrase or portion of this Ordinance is held for any reason to be invalid or unconstitutional by the decision of any court of competent jurisdiction, such decision shall not affect the validity of the remaining portions of this Ordinance. The Board of Directors of AVTA hereby declares that it would have adopted this Ordinance and each section, subsection, sentence, clause, phrase, or portion thereof, irrespective of the fact that any one or more sections, subsections, sentences, clauses, phrases or portions be declared invalid or unconstitutional.



Section 4. The Chairman of the Board of Directors shall sign, and the Clerk of the Board shall certify to the passage and adoption of this Ordinance and shall cause the same to be published and posted pursuant to the provisions of law in that regard, and this Ordinance shall take effect 30 days after adoption.

I, Karen S. Darr, Clerk of the Board of the Antelope Valley Transit Authority, do hereby certify that the foregoing ordinance was regularly introduced and placed upon its first reading on the \_\_\_\_\_ day of \_\_\_\_\_, 2023, and placed upon its second reading and adopted at a regular meeting of the Antelope Valley Transit Authority on the \_\_\_\_\_ day of \_\_\_\_\_, 2023 by the vote:

PASSED, APPROVED, and ADOPTED this 27<sup>th</sup> day of June 2023 by the following vote:

YEAS: \_\_\_\_\_

NAYS: \_\_\_\_\_

ABSTAIN: \_\_\_\_\_ ABSENT: \_\_\_\_\_

ATTEST:

APPROVED:

\_\_\_\_\_  
Karen S. Darr  
Clerk of the Board

\_\_\_\_\_  
Marvin Crist  
Chairman

**RESOLUTION NO. 2023-005**

**A RESOLUTION OF THE BOARD OF DIRECTORS OF  
THE ANTELOPE VALLEY TRANSIT AUTHORITY  
ELECTING TO BE SUBJECT TO THE UNIFORM PUBLIC  
CONSTRUCTION COST ACCOUNTING PROCEDURES**

**WHEREAS**, prior to the passage of Assembly Bill No. 1666, Chapter 1054, Statutes of 1983, which added Chapter 2, commencing with Section 22000, to Part 3 of Division 2 of the California Public Contract Code, existing law did not provide a uniform cost accounting standard for construction work performed or contracted by local public agencies; and

**WHEREAS**, California Public Contract Code Section 22000 et seq., the Uniform Public Construction Cost Accounting Act (the "Act"), establishes such a uniform cost accounting standard; and

**WHEREAS**, the Commission established under the Act has developed uniform public construction cost accounting procedures for implementation by local public agencies in the performance of or in the contracting for construction of public projects; and

NOW, THEREFORE, THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY, CALIFORNIA, DOES RESOLVE, DECLARE, DETERMINE AND ORDER AS FOLLOWS:

**Section 1.** That the Antelope Valley Transit Authority, hereby elects under California Public Contract Code Section 22030 to become subject to the uniform public construction cost accounting procedures set forth in the Uniform Public Construction Cost Accounting Act and to the California Uniform Public Construction Cost Accounting Commission's policies and procedures manual and cost accounting review procedures, as they may each from time to time be amended.

**Section 2.** That this Resolution shall take effect upon its adoption.

**Section 3.** That the Clerk of the Board shall certify to the passage and adoption of this Resolution and enter it into the book of original Resolutions.

**Section 4.** That the Clerk of the Board shall notify the State Controller forthwith of this election.

PASSED, APPROVED, and ADOPTED this 27<sup>th</sup> day of June 2023 by the following vote:

YEAS: \_\_\_\_\_

NAYS: \_\_\_\_\_

ABSTAIN: \_\_\_\_\_ ABSENT: \_\_\_\_\_

APPROVED:

\_\_\_\_\_  
Marvin Crist, Chairman

ATTEST:

APPROVED AS TO FORM:

\_\_\_\_\_  
Karen S. Darr, Clerk of the Board

\_\_\_\_\_  
Allison Burns, General Counsel

CERTIFICATION OF RESOLUTION  
BOARD OF DIRECTORS

I, \_\_\_\_\_, Clerk of the Board of the Antelope Valley Transit Authority, do hereby certify that this is a true and correct copy of the original Resolution No. \_\_\_\_\_, for which the original is on file in my office.

WITNESS MY HAND on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
CLERK OF THE BOARD

**RESOLUTION NO. 2023-006**

**A RESOLUTION OF THE BOARD OF DIRECTORS OF  
THE ANTELOPE VALLEY TRANSIT AUTHORITY  
ADOPTING PROCUREMENT POLICY**

**WHEREAS**, Since 1994, the AVTA has had in place a Board-adopted Procurement Manual that sets forth implementing guidelines and procedures consistent with applicable law, best procurement practices, and the Procurement Policy; and

**WHEREAS**, The Procurement Manual, as most recently amended on January 22, 2019, has become outdated and duplicative of state and federal law; and

**WHEREAS**, In order to efficiently conduct the business of AVTA in accordance with State and Federal laws, rules and regulations, as well as the FTA Best Practices Procurement Manual, Caltrans Local Assistance Procedures Manual, American Public Transit Association guidelines and standards, and/or other well accepted external references, the Board of Directors desires to adopt a streamlined procurement policy incorporating by reference such standards.

NOW, THEREFORE, THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY, CALIFORNIA, DOES RESOLVE, DECLARE, DETERMINE AND ORDER AS FOLLOWS:

**Section 1.** That the Antelope Valley Transit Authority hereby adopts the Procurement Policy appended hereto as **Exhibit A**.

**Section 2.** That this Resolution shall take effect upon its adoption.

**Section 3.** That the Clerk of the Board shall certify to the passage and adoption of this Resolution and enter it into the book of original Resolutions.

**Section 4.** That the Clerk of the Board shall notify the State Controller forthwith of this election.

PASSED, APPROVED, and ADOPTED this 27<sup>th</sup> day of June 2023 by the following vote:

YEAS: \_\_\_\_\_

NAYS: \_\_\_\_\_

ABSTAIN: \_\_\_\_\_ ABSENT: \_\_\_\_\_

APPROVED:

\_\_\_\_\_  
Marvin Crist, Chairman

ATTEST:

APPROVED AS TO FORM:

\_\_\_\_\_  
Karen S. Darr, Clerk of the Board

\_\_\_\_\_  
Allison Burns, General Counsel

CERTIFICATION OF RESOLUTION  
BOARD OF DIRECTORS

I, Karen S. Darr, Clerk of the Board of the Antelope Valley Transit Authority, do hereby certify that this is a true and correct copy of the original Resolution No. 2023-006, for which the original is on file in my office.

WITNESS MY HAND on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

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CLERK OF THE BOARD

**EXHIBIT A**

**PROCUREMENT POLICY  
ANTELOPE VALLEY TRANSIT AUTHORITY**

The Antelope Valley Transit Authority ("AVTA") is a Joint Powers Authority ("JPA") providing comprehensive public transit services to incorporated and unincorporated communities within the Antelope Valley. The AVTA is governed by the AVTA Board of Directors, which, pursuant to the JPA, authorizes the AVTA to acquire such property, facilities, equipment, materials, and supplies as may be deemed necessary to carry out its duties.

The procedures governing AVTA procurements derive from state and federal law. By accepting state and federal funding, AVTA is also obligated to comply with certain regulations in its procurement of goods and services. More specifically, certain standards, regulations, and other requirements for grants to local governments issued by the United States Department of Transportation, and specific contractual actions provided by OMB Circular A-102, and FTA Circular 4220.1F, (as the same may be revised from time to time), apply to AVTA in connection with contracts financed in whole or in part with federal funds. In the event of a conflict between AVTA's Procurement Policy and state or federal law, such state or federal law shall govern.

This Procurement Policy provides a broad overview of the standards and methods which will guide AVTA in obtaining goods and services. Wherever in this Procurement Policy the Executive Director/CEO is designated authority, such authority shall be understood to include the designee of the Executive Director/CEO.

**A. Fundamental Principles of Ethical Procurement**

The AVTA's procurement practices reflect its commitment to fundamental principles of ethical procurement, which are as follows:

1. Foster maximum open and free competition for AVTA's Contracts.
2. Promote the greatest economy and efficiency in AVTA procurements.
3. Ensure adherence to proper standards of conduct by AVTA Board Members, officers, and employees.
4. Maintain procurement policies and procedures that guarantee compliance with applicable state and federal laws and regulations.
5. Establish and maintain an arm's length relationship with all Contractors.
6. Treat all prospective Contractors, Consultants, and vendors, including Disadvantaged Business Enterprises ("DBEs") and small businesses, in an equal and equitable manner.



7. Provide guidance for remedy and resolution of Contract claims or disputes.

Based on these fundamental principles of ethical procurement and the general standards of public sector procurement, the following set of procurement and contracting policies have been developed.

## **B. Conflicts of Interest**

No director, officer, employee or agent of the AVTA shall participate in any procedure, task, or decision relative to initiation, evaluation, award, or administration of a contract if a conflict of interest, real or apparent, exists. Such a conflict of interest arises when (a) the director, officer, employee or agent, (b) any member of his or her immediate family, (c) his or her business associate, or (d) an organization which employs, or which is about to employ, any of the above described individuals has a financial or other interest in a firm that participates in an AVTA procurement process or that is selected for an award. The standards governing the determination as to whether such an interest exists are set forth in the Political Reform Act (Section 81000 *et seq.* of the California Government Code) and in Sections 1090, 1091, and 1091.5 of the California Government Code.

## **C. Methods of Procurement**

1. All purchases and contracts, whether by informal bidding, formal bidding or proposals, shall be made on a competitive basis to the greatest extent practicable.
2. The method of procurement, such as small purchases, informal bids or proposals, formal competitive bidding, requests for proposals, etc., shall be appropriate for the type of project or procurement and shall be in the best interest of AVTA.
3. Formal competitive bidding must be used for construction, repair, maintenance, alteration, and similar work whenever the estimated expenditure for such work exceeds \$200,000, or the current threshold set forth in California Public Contract Code section 22032(c), whichever is lower. Alternative methods of procurement, such as a design-build approach, may be utilized if authorized by state law and in full compliance with all applicable requirements.

Federally funded procurements will comply with all applicable federal requirements. The latest version of the Federal Transit Administration published report titled "Best Practices Procurement & Lessons Learned Manual" (*FTA Report No.105*) will be the guiding document for all Federally funded procurements.

Informal competitive procedures, as set forth in this Procurement Policy, may be used for construction, repair, maintenance, alteration, and similar work whenever the estimated expenditure is more than \$60,000 (or the current threshold set forth in California Public Contract Code section 22032(a), whichever is lower) and up to \$200,000 (or the current threshold set forth in California Public Contract Code section 22032(b), whichever is lower). Award will be made to the lowest responsible bidder. (Public Contract Code § 22038). For construction, repair, maintenance, alteration, and similar work where the estimated expenditure is \$60,000 (or the current threshold set forth in California Public Contract Code section 22032(a), whichever is lower) or less, AVTA may use a negotiated contract or a purchase order.

4. Formal competitive bidding should be used when purchasing equipment, supplies, services, or materials over \$150,000, but a "best value" approach may be used in circumstances where it is determined and documented to be in the best interest of AVTA. "Best value" means a process in which the overall combination of quality, price, and other elements such as reliability, standardization, vendor qualifications, warranty, life cycle costs, and sustainability issues are considered together to determine which proposal provides the greatest overall benefit to AVTA. On a case-by-case basis, and when a procurement involves a combination of goods and services, the AVTA Procurement Office, in consultation with the Project Manager or the department issuing the solicitation, shall make the determination of whether a "best value" approach is in the best interest of AVTA. In such circumstances, the determination will be documented in writing and a formal competitive proposal process will be utilized.
5. An informal procurement method may be utilized for the purchase of materials, equipment, services or supplies when the estimated expenditure is between \$10,000 and \$150,000. To the extent practicable, such a method shall involve obtaining a minimum of three written or published quotations, that permit prices and other terms to be compared. AVTA will undertake adequate outreach to ensure open and free competition, and that small businesses, including Disadvantaged Business Enterprises, are afforded opportunities to submit quotations. To the extent practicable, AVTA will strive to obtain at least one of the required of three quotations from a small or DBE business. AVTA will utilize interested vendors based upon a review of trade sources, lists of certified DBEs and small businesses that have registered with the State, and vendors that have registered with AVTA to receive notice of contract opportunities. When appropriate to ensure satisfaction of the Fundamental Principles of Ethical Procurement set forth in Section A of this Policy, such solicitations shall be advertised by AVTA. The AVTA's informal bidding procedures, using a lowest responsible bidder standard for bid comparison, will serve as the typical standard on which to base the purchase of materials, equipment, services, or supplies, unless it is determined in writing that it is in AVTA's best interest to apply a "best value" approach, in which event,

qualitative factors such as those set forth in paragraph C.4. above, in addition to price may be considered in making an award.

6. Formal competitive proposals, which consider and evaluate factors in addition to price, will be used to retain professional and non-professional services when the estimated expenditure exceeds \$150,000. Specialized State and Federal laws will apply to the procurement of architectural and engineering services as defined by applicable laws and regulations, regardless of the estimated expenditure.
7. The use of appropriate intergovernmental and cooperative agreements is encouraged in order to reduce duplicative effort and to achieve cost economies.
8. AVTA may purchase items on the open market under the following conditions: (a)(i) if AVTA rejects bids received in connection with a procurement of materials, supplies, services, and equipment requiring formal competitive bidding, and (ii) the Board of Directors determines and declares by a majority vote of all its members that in its opinion the supplies, equipment, services, and materials may be purchased at a lower price in the open market; or (b) if the Board of Directors, or the Executive Director/CEO, within the Executive Director/CEO's procurement authority, has exercised discretion to waive the competitive process when permissible under applicable law and consistent with the fundamental principles of procurement set forth in this Policy, or (c) if no bids or proposals are received in response to a formal solicitation and market research indicates another procurement for the supplies, equipment, services and materials will not render a different outcome.

#### **D. Procurement Documentation and Consideration of Bids and Proposals**

1. Formal competitive bidding requires preparation of bid documents that clearly set forth all requirements which must be fulfilled in order for the bid to be responsive, advertisement in accordance with the law, and, once bids are received, an award, if made, to the lowest responsive and responsible bidder.
2. Formal competitive proposals, including the "best value" approach, require issuance of Requests for Proposals, which clearly set forth all the requirements, and state the qualitative factors, in addition to price, which will be used to evaluate and rank the Proposals. An award, if made, will be to the proposer receiving the highest consensus ranking, subject to successful negotiations with AVTA.
3. All bids, quotes or proposals may be rejected by AVTA if it is in AVTA's best interest to do so.

4. AVTA may only contract with persons, firms, or entities not disbarred per FTA and that are qualified and possess the ability to perform successfully under the terms and conditions of the proposed procurement.

#### **E. Execution of Contract Documents**

1. All AVTA contracts and amendments will be in writing and executed prior to beginning performance under the contract.
2. The Executive Director/CEO may execute all contracts on behalf of AVTA that are duly approved by the Board of Directors or are within the Executive Director/CEO's authority.

#### **F. Disadvantaged Business Enterprise Program**

AVTA is committed to supporting Disadvantaged Business Enterprises ("DBE") and ensuring DBEs have the opportunity to participate in AVTA contracting opportunities in accordance with 49 Code of Federal Regulations (CFR) Part 26, effective June 22, 2001, as may be amended. It is the policy of AVTA to ensure nondiscrimination on the basis of race, color, sex or national origin in the award and administration of U.S. Department of Transportation assisted and AVTA contracts. It is the intention of AVTA to create a level playing field on which DBEs can compete fairly for contracts and subcontracts to provide the AVTA's public works, supplies, equipment, materials and services.

#### **G. Protest Procedures**

Bidders may protest contracts that are let through informal bidding, formal competitive bidding or competitive negotiations. The Executive Director/CEO, or designee, is authorized to review and determine protests concerning contracts awarded within the Executive Director/CEO's procurement authority. Protests for contracts not within the Executive Director/CEO's procurement authority will first be reviewed and determined by the Executive Director/CEO, or designee. Appeals of such determinations will be reviewed and acted upon by the Board of Directors upon recommendation by the Executive Director/CEO and the General Counsel. All protests will be processed in accordance with the written procedures set forth in the Procurement Manual.

#### **H. Executive Director/CEO's Procurement Authority**

1. The Executive Director/CEO is authorized to purchase supplies, equipment, services and materials and to arrange for work in a manner consistent with this Procurement Policy and written procedures as may be developed from time to time. The Executive Director/CEO is authorized to execute agreements and

expend funds for procurements and activities included within AVTA's approved annual budget as follows: (1) up to \$150,000 for equipment, supplies, materials, or services and (2) up to \$200,000 or the current threshold set forth in California Public Contract Code section 22032(b), whichever is lower for construction, repair, maintenance, alteration, and similar work.

The Executive Director/CEO is authorized to modify and otherwise administer all contracts on behalf of AVTA. For all contracts, the Executive Director/CEO is authorized to issue contract change orders or amendments within any Board approved contingency. If the Board does not establish a contingency, the Executive Director/CEO is authorized to issue contract change orders or amendments up to \$150,000 or up to 10% (cumulative) of the Contract Amount, whichever is greater. The "Contract Amount" is defined as the original contract amount, plus any Board-exercised or approved options, plus any Board-approved amendments.

2. The Executive Director/CEO is authorized to designate staff to oversee and monitor procurements and may delegate its contracting authority set forth in the paragraph above. Such delegation(s) must be in writing, documented by the Procurement and Contracts Officer, and must specify defined monetary limits.
3. Only the Board may award (a) contracts for materials, supplies and equipment or services over \$150,000, and (b) contracts for construction, repair, maintenance, alteration and similar work over \$200,000, or the current threshold set forth in California Public Contract Code section 22032(c), whichever is lower. When the Board awards such contracts, it also delegates to the Executive Director/CEO the authority to execute the resulting agreement.

## **I. Emergency Contracts**

For procurements requiring competitive bidding and/or Board approval, in case of any sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services, the Board hereby designates the Executive Director/CEO to take all necessary and proper measures in emergency conditions to maintain AVTA's systems in operation. The Board also grants the Executive Director/CEO the authority to determine that there is insufficient time for competitive bidding and that public interest and necessity demand the immediate expenditure of public money to safeguard life, health, or property. If the Executive Director/CEO makes such a determination, the Executive Director/CEO may expend or enter into a contract involving the expenditure of any sum needed in such emergency without observance of the provisions requiring contracts, bids or notice. The Executive Director/CEO shall promptly

report on the reasons and necessity for proceeding without a competitive solicitation for construction, repair, maintenance, alteration and similar work which exceeds \$200,000, or the current threshold set forth in California Public Contract Code section 22032(c), whichever is lower and for all other goods and services which exceed \$150,000, to the Board of Directors within 7 days of the action or at the next Board of Directors meeting, provided that the Executive Director/CEO reports to the Board no later than 14 days after taking such emergency action. Upon hearing the Executive Director/CEO's report, the Board shall determine, by a majority vote, whether or not there is a need to continue the emergency action. The Board shall continue to evaluate the emergency action, determining whether or not the emergency procurement is still required, at every regularly scheduled meeting thereafter until the action is terminated.

#### **J. Cooperative Purchasing Agreements**

To foster greater economy and efficiency, AVTA may avail itself of federal, state and local intergovernmental agreements for procurement or use of common goods and services. Joint procurements, state cooperative purchasing programs, and assignment of existing contract rights ("piggyback" procurements) with other public agencies may be used when consistent with applicable state and federal statutory or grant requirements.

#### **K. Discretion to Waive the Competitive Process**

The Board of Directors or the Executive Director/CEO in the case of procurements within the Executive Director/CEO's procurement authority, may waive the requirements for formal competitive bidding or other procedures set forth in this Policy when (1) permissible under applicable law, (2) a determination is made that the best interests of AVTA are served thereby, and provided there is adequate documentation of the need for such material, supplies, equipment, public works or services; and (3) a determination is made that following competitive procedures would be unavailing and not in furtherance of the purposes of the competitive bidding statutes and AVTA's procurement policy. These circumstances shall be evaluated on a case-by-case basis, in consultation with the legal staff, keeping in mind the Fundamental Principles of Ethical Procurement set forth in this Policy. The findings justifying the waiver must be documented in writing.

Regardless of the estimated cost of the procurement, AVTA is not required to engage in the competitive bidding process when procuring materials, equipment, supplies, or services for which there exists only a sole source of supply. If more than one distributor of a product is available, the product is not exempt from competitive bidding as a sole source but may be exempt from competitive bidding as a single source with appropriate justification. A sole source decision is not permitted merely upon the grounds that the source demonstrates technical or administrative superiority, is the most convenient, or shows superior performance potential at lower costs. In all cases, staff must verify that the particular

procurement meets the definition of a single or sole source and a cost or price analysis must be performed to determine the fairness and reasonableness of the price. The single or sole source findings will be reviewed by the Procurement & Contracts Officer in consultation with legal staff, as needed. A written determination of the findings will be provided to the requestor for inclusion in the contract record.

#### **L. Contract Administration**

AVTA shall administer all contracts to ensure that contractors conform with the terms, conditions, and specifications of all contracts and to ensure all purchases are received in a timely manner. Contract administration files shall contain documentation concerning the solicitation, contract costs, modifications and final disposition. All significant formal and informal communications on all contracts must be committed to written memoranda and promptly included in the contract file.

#### **M. Disposal of Surplus Property**

1. The Procurement and Contracts Officer shall approve the manner of disposition of surplus supplies, equipment and materials. The Board of Directors shall approve the disposition of any item having a fair market value greater than \$150,000. In the event the surplus item to be disposed of was purchased with federal funds, AVTA will comply with federal disposition requirements.
2. The method of sale or disposition of any surplus or scrap items shall depend upon the nature of the items and the funds used to procure. Such methods shall include: (1) transfer or sale to other public agencies, (2) trade-in as part of a new procurement, (3) sale by auction, advertisement for sealed bids, or negotiation, or (4) where appropriate, proper recycling, donation to a non-profit agency, or disposal.

#### **N. Revenue Generating Contracts/Concessions**

To the extent they are not otherwise governed by AVTA policies, concession agreements are contracts where AVTA grants permission to use AVTA facilities or property to vendors to sell products or services, for which AVTA receives a percentage of the proceeds and/or a flat rate of compensation. Generally, these arrangements are at no direct cost to AVTA.

Where it is determined that a number of potential vendors are available to provide similar products or services, a competitive negotiations procedure should be followed, and award made to the highest ranked proposer, taking into consideration the economic return to AVTA, quality of the product, service and experience of the vendor.

The Board of Directors shall approve revenue generating/concessions contracts that exceed \$150,000 in value.

**O. Implementation**

This Policy sets forth the standards and methods to be followed by AVTA in obtaining goods, materials, equipment and services. Changes that represent a deviation from this Policy must be approved by the Board of Directors. All AVTA staff with responsibility for procurement activities shall reference and adhere to this Policy, the Uniform Public Construction Cost Accounting Ordinance, and the FTA Best Practices Procurement Manual.



**NB 2 – ATTACHMENT D  
RESOLUTION NO. 2023-007**

**A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY  
TRANSIT AUTHORITY TO AMEND SECTION 8.0 OF THE BYLAWS ENTITLED  
"EXECUTIVE DIRECTOR/CEO EXPENDITURE LIMITS" TO ACCOMMODATE THE  
LIMITS ALLOWED BY THE EXECUTIVE DIRECTOR AS STATED IN THE  
PROCUREMENT POLICY**

WHEREAS, the Board of Directors of the Antelope Valley Transit Authority desires to amend its Bylaws to accommodate the limits allowed by the Executive Director/CEO as stated in the Procurement Policy.

NOW, THEREFORE, THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY DOES HEREBY RESOLVE AS FOLLOWS:

1. Revise Section 8 – Executive Director/CEO Expenditure Limits to read as follows:

8.0 EXECUTIVE DIRECTOR/CEO EXPENDITURE LIMITS

The Executive Director/CEO is authorized to approve the following expenditures:

Service Contract Payments - Up to \$150,000 per service contractor.

Change orders/supplemental Agreements to contracts payments - Those expenditures which do not exceed 10 percent of the approved contract costs or \$150,000, whichever is less.

Construction, repair, maintenance, alteration and similar work: up to \$200,000 or the current threshold set forth in California Public Contract Code section 22032(b), whichever is lower.

Other purchases - Purchases up to \$150,000 per purchase requisition.

All other purchases over \$150,000 per purchase requisition, and the purchase of any fixed asset over \$150,000, shall be subject to BOARD approval.

PASSED, APPROVED and ADOPTED this 27<sup>th</sup> day of June, 2023 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