



Regular Meeting of the Board of Directors

Tuesday, July 26, 2022

10:00 a.m.

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

AGENDA

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

In accordance with the Americans with Disabilities Act of 1990, if you require a disability-related modification or accommodation to attend or participate in this meeting, including auxiliary aids or services, please contact the Clerk of the Board at (661) 729-2206 at least 72 hours prior to the scheduled Board of Directors meeting. 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 Steve Hofbauer, Director Richard Loa, 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 PRESENTATION TO AVTA EMPLOYEE OF THE FOURTH QUARTER FOR FISCAL YEAR 2021/2022 (APRIL 1 – JUNE 30, 2022) – SEAN ELMORE
- SRP 2 PRESENTATION TO ANTELOPE VALLEY TRANSPORTATION SERVICES EMPLOYEE OF THE MONTH – ART MINASYAN
- SRP 3 MICROTRANSIT AND DIAL-A-RIDE KEY PERFORMANCE INDICATORS (KPI) REPORT – ART MINASYAN
- SRP 4 LEGISLATIVE FINANCE REPORT FOR JULY 2022 – JUDY VACCARO-FRY
- SRP 5 OPERATIONS KPI REPORT – ESTEBAN RODRIGUEZ
- SRP 6 MAINTENANCE KPI REPORT – JOSEPH SANCHEZ

CONSENT CALENDAR (CC): Consent items may be received and filed, and 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 JUNE 28, 2022 – KAREN DARR

Recommended Action: Approve the Board of Directors’ Regular Meeting Minutes of June 28, 2022.

CC 2 FINANCIAL REPORT FOR JUNE 2022 – JUDY VACCARO-FRY

Recommended Action: Receive and file the Financial Report for June 2022.

CC 3 FISCAL YEAR 2021/2022 (FY 2022) FOURTH-QUARTER LOS ANGELES COUNTY SHERIFF’S DEPARTMENT (LASD) REPORT (APRIL 1 – JUNE 30, 2022) – KELLY MILLER

Recommended Action: Receive and file the FY 2022 Fourth Quarter LASD report for the period covering April 1 through June 30, 2022.

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

Recommended Action: Adopt the updated Public Transportation Agency Safety Plan (PTASP) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements; and adopt Resolution 2022-010, adopting the updated PTASP.

CC 5 RESOLUTION NO. 2022-012, AUTHORIZING THE EXECUTIVE DIRECTOR/CEO AND/OR CHIEF FINANCIAL OFFICER TO EXECUTE AGREEMENTS NECESSARY FOR THE BUS REPLACEMENT PROJECT WITH FUNDS FROM THE CALIFORNIA STATE OF GOOD REPAIR PROGRAM FOR FISCAL YEAR 2022/2023 (FY 2023) – JUDY VACCARO-FRY

Recommended Action: Adopt Resolution No. 2022-012, authorizing the Executive Director/CEO and/or Chief Financial Officer to execute agreements necessary for the Bus Replacement project with funds from the California State of Good Repair Program for FY 2023.

NEW BUSINESS (NB):

- NB 1 CHANGE ORDER NO. 3 TO CONTRACT #2022-06 WITH TONEMAN DEVELOPMENT CORP. FOR BATTERY-ELECTRIC SUPPORT VEHICLE CHARGING INFRASTRUCTURE – CECIL FOUST

Recommended Action: Authorize the Executive Director/CEO to execute an AVTA initiated, no mark-up, Change Order No. 3 to Contract #2022-06 with Toneman Development Corp. for an amount not to exceed \$106,000 to provide battery-electric support vehicle charging infrastructure. The infrastructure will include twelve 50A receptacles, a 112.5 KVA transformer, and an exterior mounted panel board, with other associated improvements.

- NB 2 CONTRACT #2022-49 TO AZ BUS SALES, INC. FOR 19 BATTERY-ELECTRIC ADA-COMPLIANT VANS – LYLE BLOCK

Recommended Action: Authorize the Executive Director/CEO to execute Contract #2022-49 with AZ Bus Sales, Inc., Colton, CA, to purchase 19 battery-electric ADA-compliant vans for an amount not to exceed \$3,992,000, including applicable sales tax.

- NB 3 RENTAL AGREEMENT FOR SIX (6) DAR/MICROTRANSIT VEHICLES – JUDY VACCARO-FRY

Recommended Action: Authorize the Executive Director/CEO to execute a pass-through rental agreement with AVTS for up to one year, for a quantity of six (6) vehicles, at an amount not to exceed \$16,740 per month, or \$200,880 for a one-year term.

- NB 4 RESOLUTION NO. 2022-013, AMENDMENT TO SECTION 3.30 OF THE ANTELOPE VALLEY TRANSIT AUTHORITY BYLAWS – ALLISON BURNS

Recommended Action: Adopt Resolution No. 2022-013, amending the Bylaws to add language regarding the compensation for Board members under Section 3.30 entitled "Compensation and Benefits".

- NB 5 AMENDED AND RESTATED EXECUTIVE DIRECTOR/CEO EMPLOYMENT AGREEMENT – ALLISON BURNS

Recommended Action: Approve the Amended and Restated Executive Director/CEO Employment Agreement.

CLOSED SESSION (CS):

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

- CS 1 Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(2)
Significant exposure to litigation (two potential cases)
- CS 2 Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(4)
Consideration of whether to initiate litigation (one potential case)
- CS 3 Public Employee Performance Evaluation – Pursuant to Government Code Sections 54954.5 (e) and 54957(b))
Title: Executive Director/CEO

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 August 23, 2022, at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6th Street West, Lancaster, CA.

The agenda was posted by 6:00 p.m. on July 22, 2022, at the entrance to the Antelope Valley Transit Authority, 42210 6th Street West, Lancaster, CA 93534.

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

June

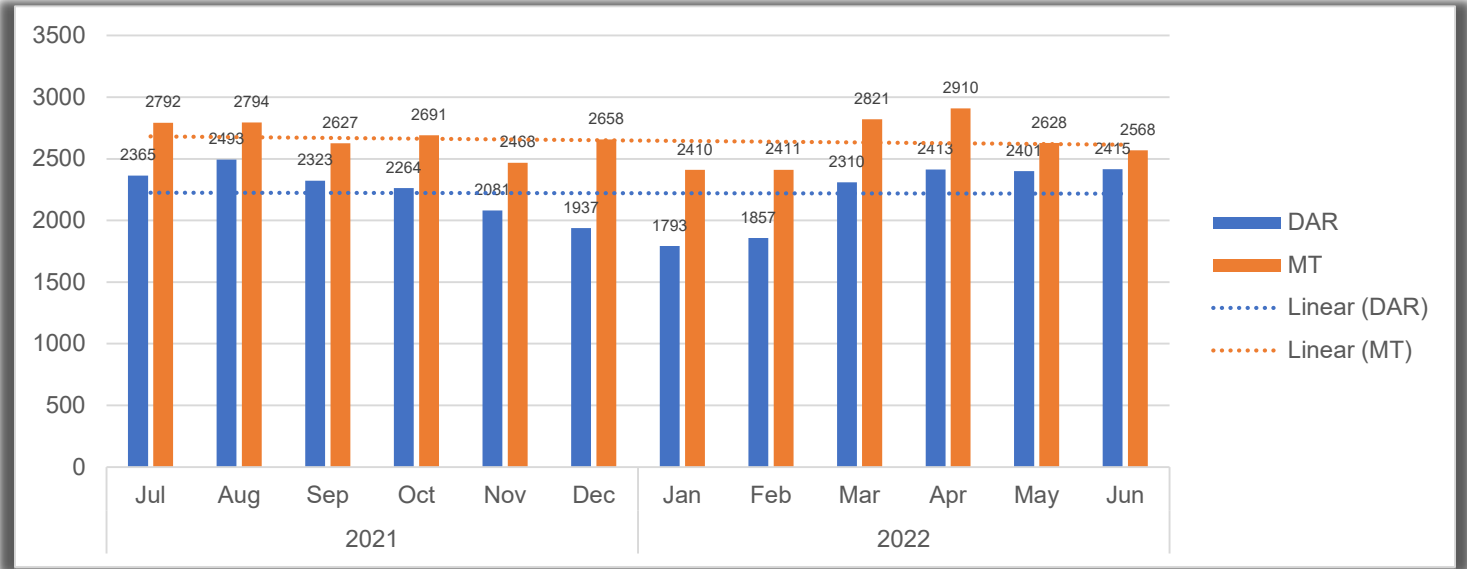
FY 2023 MONTHLY OPERATIONS KEY PERFORMANCE INDICATORS

Presentation to the Board of Directors

July 26, 2022



RIDERSHIP DATA: TOTAL PASSENGERS

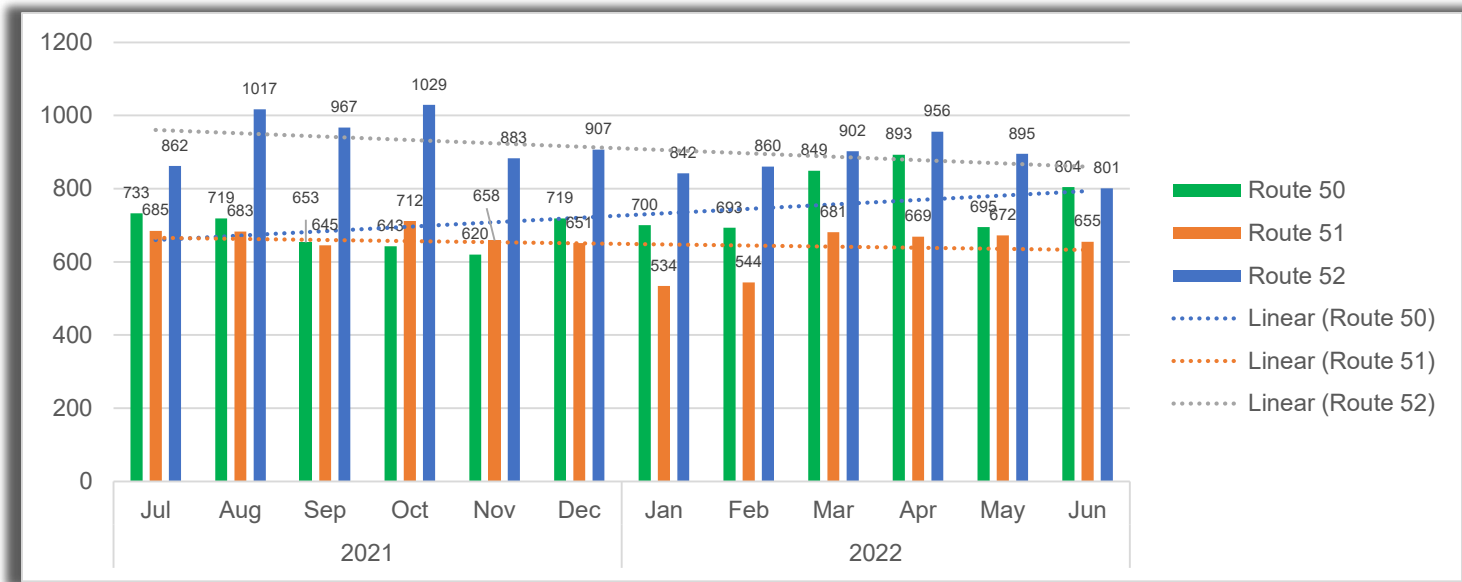


June Trip Accommodation
90.14%

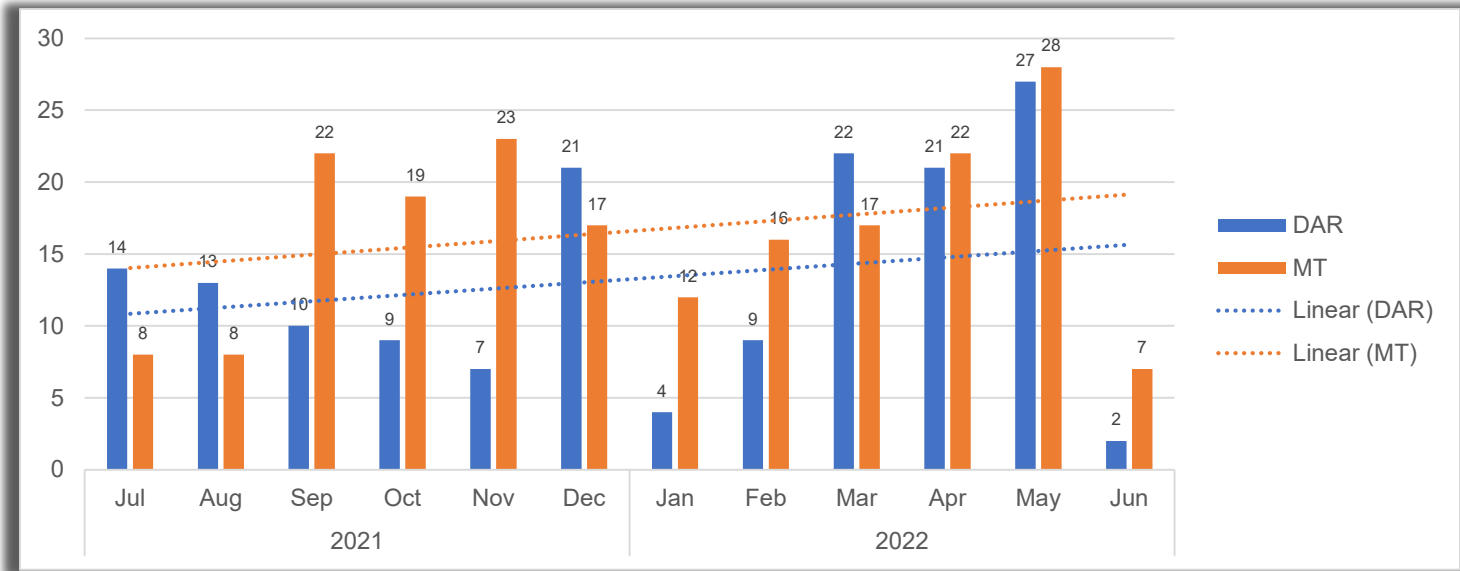
June Total Trips
4,422



MT PICKUPS WITHIN SERVICE AREA ROUTES



REBOOKED TRANSPORTS



June Trips switched to "Rebooked" Status

9

June Total Trips

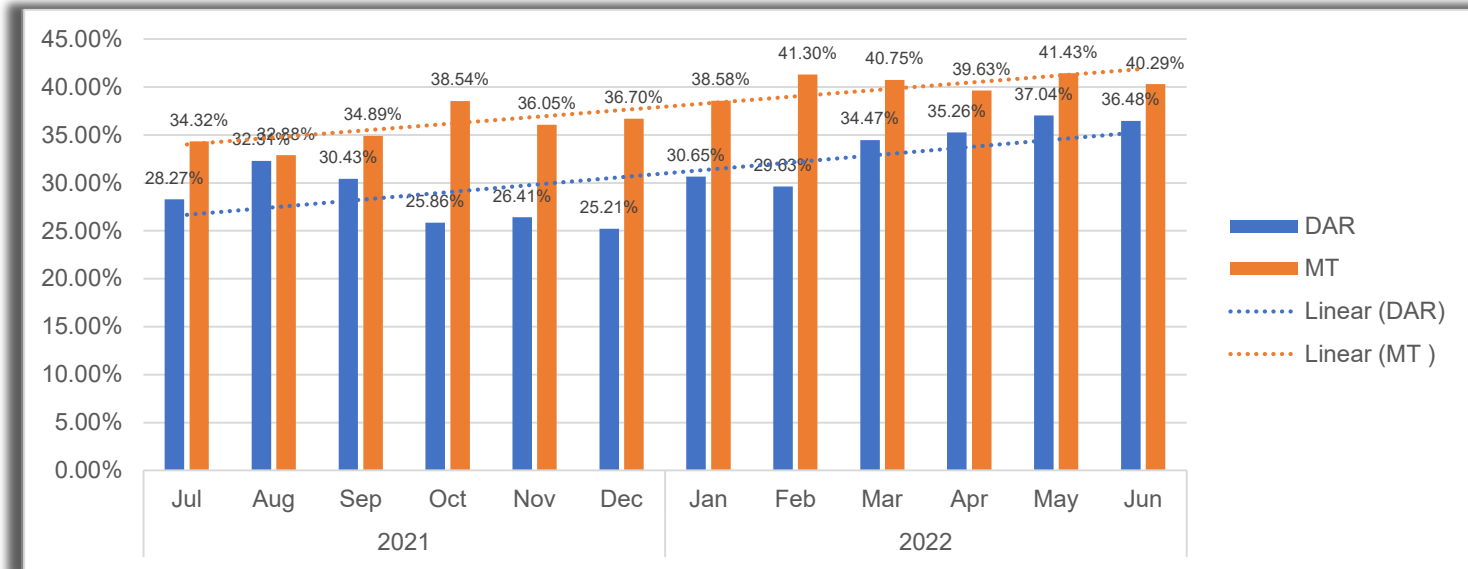
4,422

June % of System Rebooks

0.20%



AVERAGE SHARED RIDE PERCENTAGE



June Daily Average Shared Rides

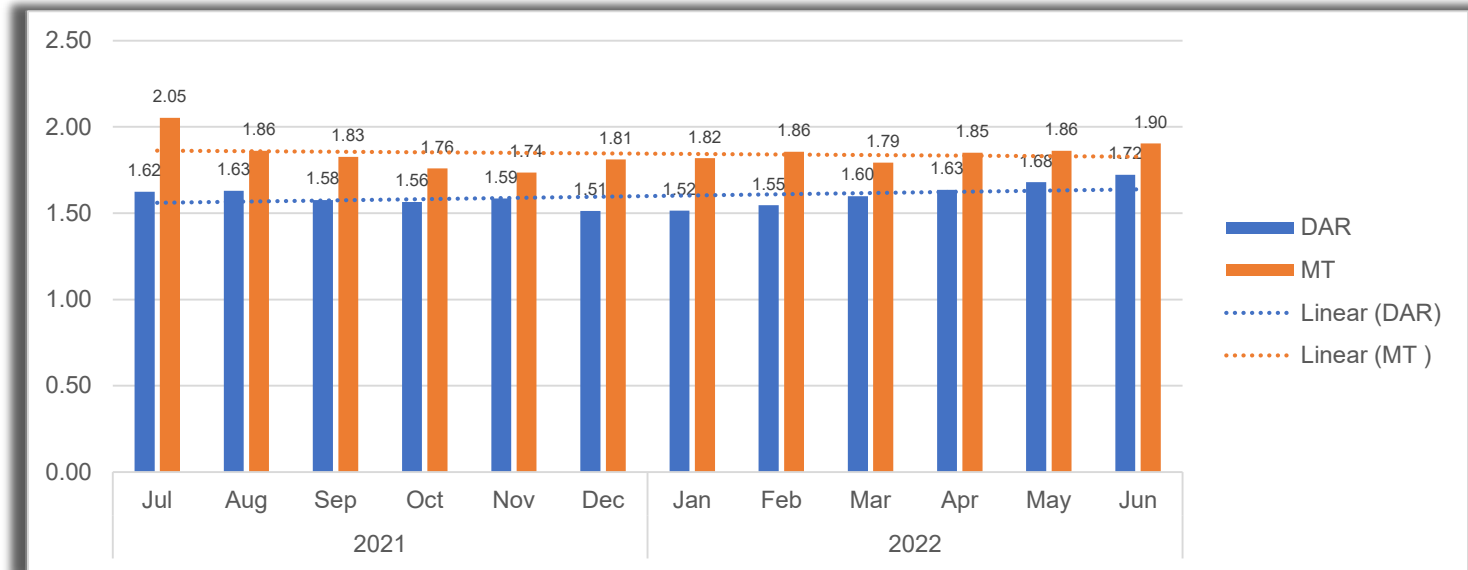
29.42

June Daily Average Rides

147.40



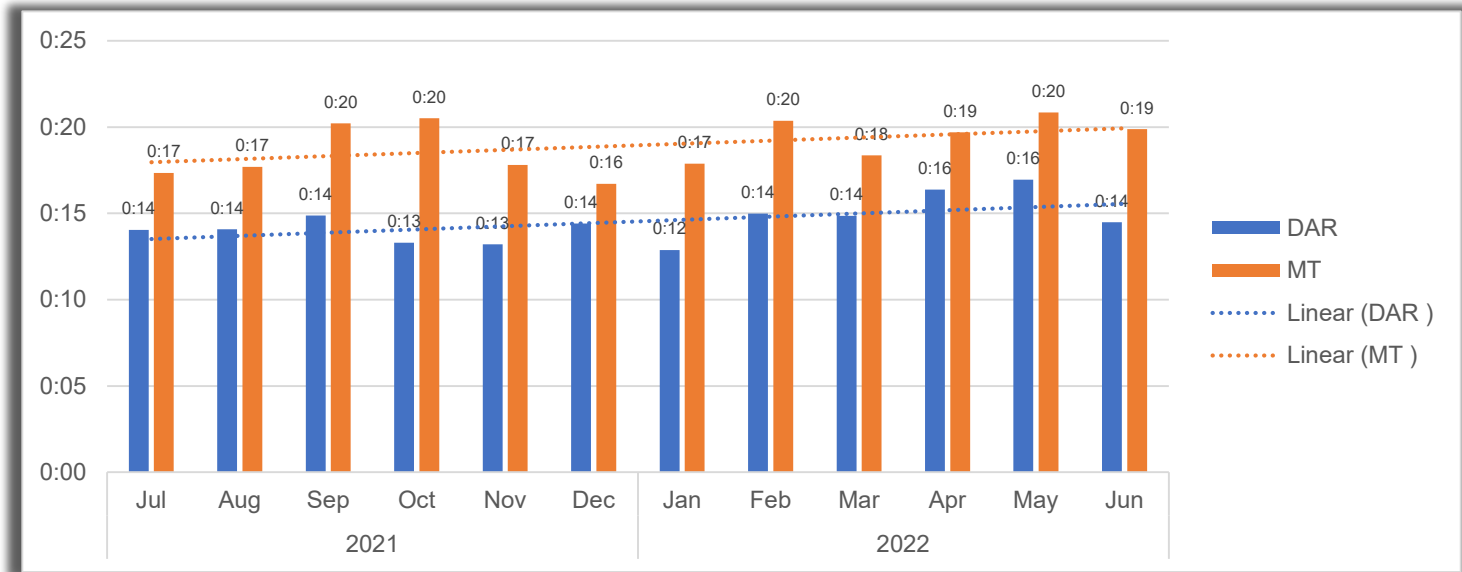
PASSENGERS PER REVENUE HOUR



June Average Passengers
per Revenue Hour

1.81

PASSENGER WAIT TIME

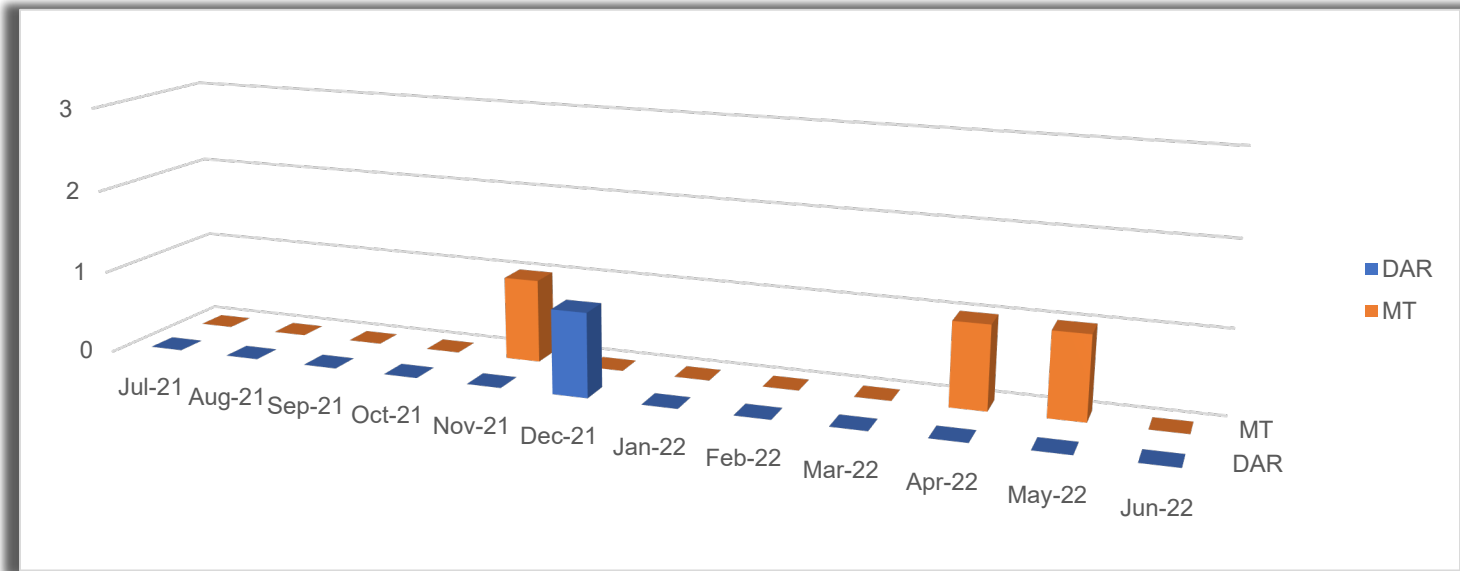


June Average Passenger Wait Time

17:01



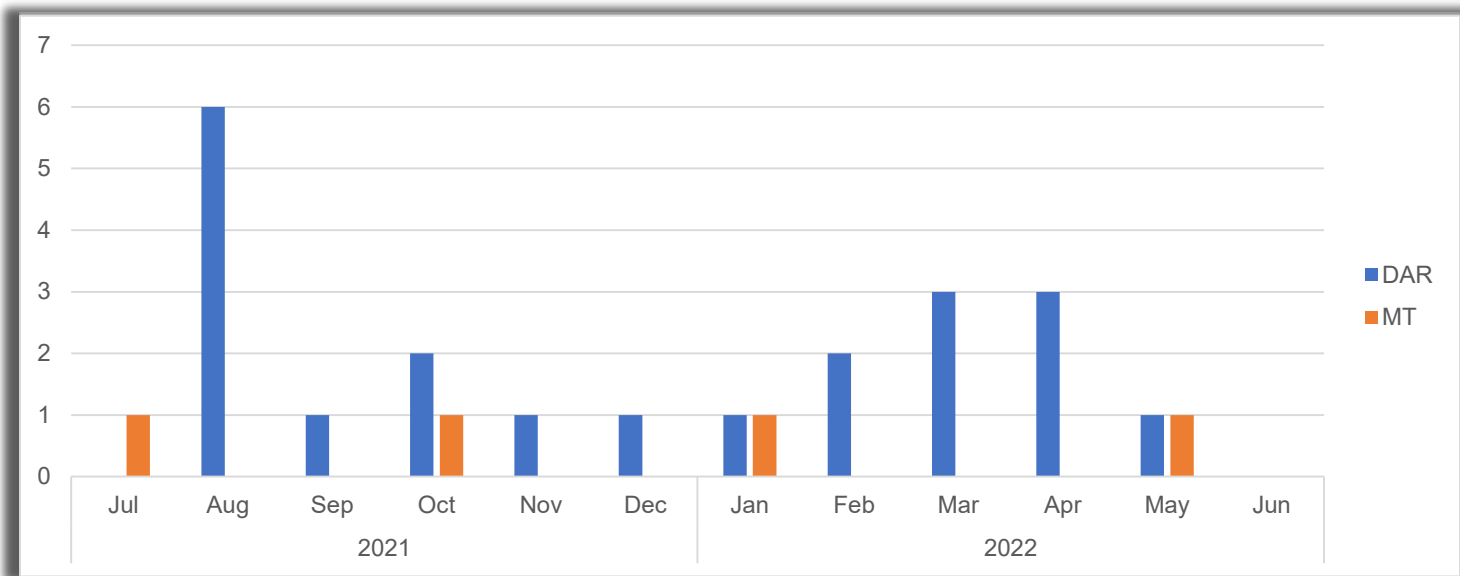
ACCIDENTS



June Accidents
0



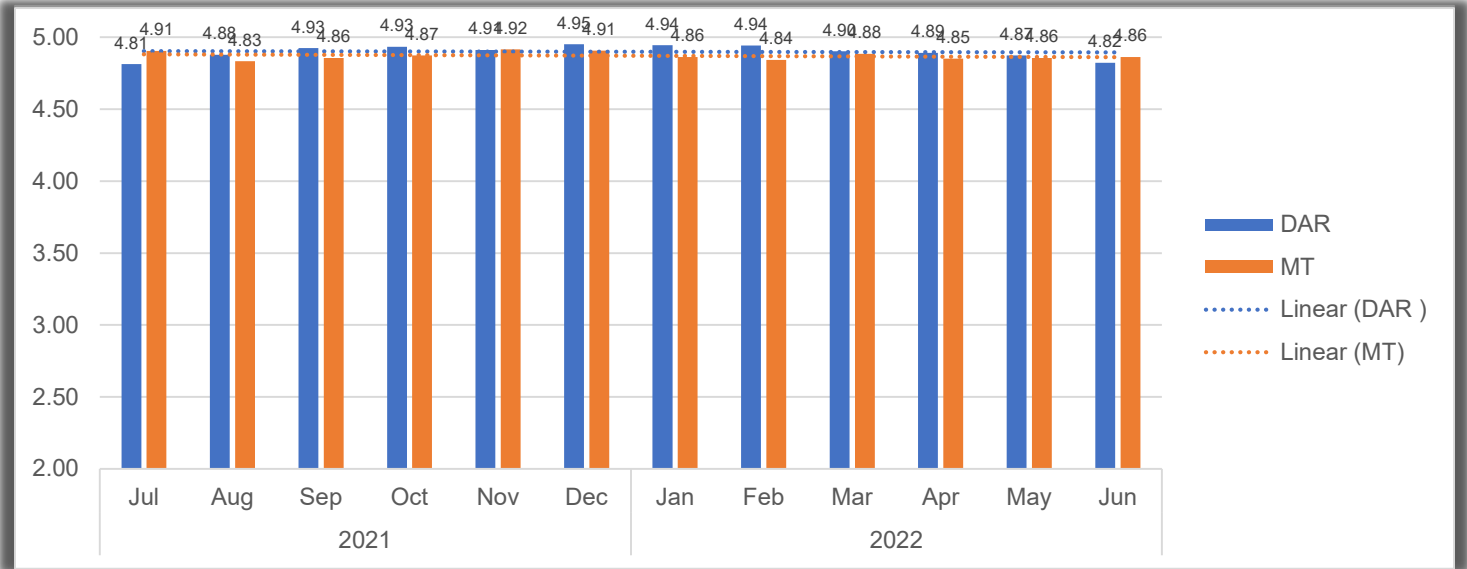
PASSENGER FEEDBACK: COMPLAINTS



June Complaints
0



PASSENGER FEEDBACK: RATINGS



June Average Ratings

4.84



June

FY 2023 MONTHLY OPERATIONS KEY PERFORMANCE INDICATORS

Thank You!

Questions?



Note: Data accurate as of July 1st

LEGISLATIVE & FINANCE UPDATE

Presentation to
AVTA Board of Directors
July 26, 2022



STATE



Remember March 2022....

TIRCP 5

Sweet Home Antelope Valley; Where the Skies are so Blue



Sweet Home Antelope Valley;
Where the Skies are so Blue

Transit & Intercity Rail Capital Program - Cycle 5 BUDGET	Budgeted Costs	TIRCP5 REQUEST	Federal Sect. 5307 Capital	Low Carbon Fuel Standard Credits	AVTA Capital Reserve	EnerJLIZE	HVIP	Local Match = 56%
AVTA Headquarters - Shared Charging & Bus Expansion Project		44%	27%	1%	8%	5%	14%	TOTAL
AVTA - Six (6) ZE Microtransit Buses	\$ 1,620,000	\$ 861,000	\$ 324,000	\$ -	\$ 75,000	\$ -	\$ 360,000	\$ 1,620,000
AVSTA - Six (6) ZE School Buses	\$ 2,400,000	\$ 1,212,000	\$ -	\$ -	\$ -	\$ -	\$ 1,188,000	\$ 2,400,000
Land for Solar Farm	\$ 3,000,000	\$ -	\$ 2,500,000	\$ -	\$ 500,000	\$ -	\$ -	\$ 3,000,000
Land - Shared Charging Infrastructure (Parcel 6)	\$ 450,000	\$ 400,000	\$ -	\$ 50,000	\$ -	\$ -	\$ -	\$ 450,000
Construction	\$ 1,700,000	\$ 1,360,000	\$ -	\$ -	\$ 340,000	\$ -	\$ -	\$ 1,700,000
Depot Chargers	\$ 1,496,505	\$ 996,505	\$ -	\$ -	\$ -	\$ 500,000	\$ -	\$ 1,496,505
Two (2) Transformers	\$ 200,000	\$ -	\$ 160,000	\$ 40,000	\$ -	\$ -	\$ -	\$ 200,000
Totals:	\$ 10,866,505	\$ 4,829,505	\$ 2,984,000	\$ 90,000	\$ 915,000	\$ 500,000	\$ 1,548,000	\$ 10,866,505



SUCCESS!

FOR IMMEDIATE RELEASE

July 7, 2022

Contact: media@calsta.ca.gov

Twitter: [@ca_trans_agency](https://twitter.com/ca_trans_agency)

California State Transportation Agency Awards Nearly \$800 Million for Transit and Intercity Rail Projects

Recently enacted state budget to invest additional \$7.65 billion over next three years

SACRAMENTO – The California State Transportation Agency today awarded nearly \$800 million to 23 projects statewide to expand transit and intercity rail service and reduce greenhouse gas emissions.

The fifth cycle of Transit and Intercity Rail Capital Program (TIRCP) grants kicks off a period of historic investment to improve and expand public transportation throughout California while positioning the state to strongly compete for significant new federal funding through the Infrastructure Investment and Jobs Act. In addition to the \$796.1 million awarded today, the recently enacted 2022-23 state budget includes \$7.65 billion in TIRCP funding from the General Fund over the next three years.

“Under Governor Gavin Newsom’s leadership, California is making historic investments in transit and intercity rail, and the transformative projects receiving funding today are leading the way to a cleaner, safer, more connected and more equitable transportation system,” California State Transportation Agency Secretary Toks Omishakin said. “I congratulate all the TIRCP grant recipients as we work together to rapidly cut pollution from the transportation sector with faster, more frequent, more affordable and more reliable transit service that increases ridership and reduces our dependence on driving.”

With a total budget of nearly \$2 billion consisting of federal, state and local funding, the 23 projects will directly benefit disadvantaged communities and reduce greenhouse gas emissions by an estimated 4.3 million metric tons – the equivalent of taking more than 930,000 gas-powered cars off the road.

Projects receiving funding come from all regions of the state – from Humboldt and Sonoma counties in the north to Riverside and San Diego counties in the south – and will result in the purchase of 393 zero-emission buses, 51 zero-emission shuttles or microtransit vehicles, eight new light rail vehicles and two zero-emission ferries.



STATE BUDGET

The final \$300 billion spending plan reflects a \$97 billion budget surplus.

- \$3.65 billion for transit capital projects to be administered through the Transit and Intercity Rail Capital Program.
- \$4 billion for transit capital projects statewide, allocated via population-based formula.
- \$4.2 billion in funding for the California high-speed rail project.
- \$1.049 billion for the Active Transportation Program.
- \$198 million for local climate adaptation projects.
- \$350 for grade separation projects.
- \$3.53 billion for zero-emission vehicle deployment and charging/refueling infrastructure, with \$100 million allocated for zero-emission transit buses and supporting infrastructure.



FY 2022-23 Budget – Transportation Funding Package

- **\$3.65 billion** for transit capital projects to be administered through the Transit and Intercity Rail Capital Program
 - **\$1.8315 billion** for high-priority Southern California transit projects
 - **\$1.4985 billion** for high-priority transit projects in other geographical regions in California
 - **\$300 million** for rail realignment capital projects related to sea-level rise
- **\$4 billion** in FY 2023-24 and FY 2024-25 for transit capital projects statewide, allocated via population-based formula
- **\$1.049 billion** starting in FY 2021-22 for the Active Transportation Program



FY 2022-23 Budget – Transportation Funding Package *(Cont.)*

- **\$198 million** starting in FY 2021-22 for local climate adaptation projects
 - \$148 million will be allocated through the Local Transportation Infrastructure Climate Adaptation Project program
 - \$50 million will be allocated through the Transportation Infrastructure Climate Adaptation Strategy Grant Program
- **\$350 million** starting in FY 2021-22 for grade separation projects
- **\$4.2 billion** for the high-speed rail project from Proposition 1A and several oversight provisions, including the creation of an Inspector General
- **\$3.53 billion** in FY 2022-23 to fund zero-emission vehicle deployment and charging/refueling infrastructure
- Includes a partial sales and use tax exemption for diesel fuel from October 1, 2022 through October 1, 2023



STATE BUDGET

- o No less than \$900 million of the \$1.4985 billion shall be administered as a General Fund set-aside for an "Existing TIRCP Projects Leveraging Federal & Local Funds Reserve" and shall be available for multi-year grants to support the delivery of capital projects that have previously received grants from the Transit and Intercity Rail Capital Program and that can demonstrate that a supplemental state grant would leverage or maintain an identified source of significant local or federal investment, including through the federal Capital Investment Grant Program, Expedited Project Delivery Program, or other such federal funding source.

2. \$4 billion (SB/AB 198 Section 15) in FYs 2023-24 and 2024-25 for transit capital projects statewide, allocated via population-based formula.

- a. Of this total \$2 billion shall be available for each fiscal year, for the 2023-24 and 2024-25 fiscal years for transit and intercity rail capital projects. Each recipient of funding described in subdivision (a) of Section 99313 of the Public Utilities Code will receive a minimum allocation of three hundred thousand dollars (\$300,000) from Transit and Intercity Rail Capital Program funds described in this section, with the balance of the Transit and Intercity Rail Capital Program funds described in this section allocated on a population-based formula to each recipient of funding described in subdivision (a) of Section 99313 of the Public Utilities Code. It is the intent of the Legislature that these funds will be used consistent with the uses identified Item 0521-131-0001 of Section 2.00 of the Budget Act of 2021.



PENDING BILLS

SB 922 (Wiener) California Environmental Quality Act:

Would extend CEQA exemptions for certain clean transportation projects.

SB 942 (Newman) Low Carbon Transit Operations Program:

Would allow public transit agencies to use funds from the Program to subsidize an ongoing free or reduced fare transit program.

AB 2622 (Mullin) Sales and Use Taxes: Exemptions: California Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project: Transit Buses.

Would extend, from January 1, 2024 to January 1, 2026, the partial sales and use tax exemption for zero-emission buses.

AB 1919 (Holder) Fare Free:

Would require every transit agency to provide fare free transit service to individuals age 25 and under in order to receive funding.



Gas Tax Suspension

States who have suspended their gas tax:

1. Connecticut .25 through June 30
2. Florida .253 starting October 1
3. Georgia .291 / .326 through July 14
4. Maryland .43 through September
5. New York .16 through December
6. Puerto Rico .16 through July 29



States who have suspended gas tax increases:

1. Colorado .02/gallon through April 1, 2023
2. Illinois .024/gallon through April 1, 2023
3. Kentucky .02/gallon through January 2023

California

July 1, 2022 +5.6% = .028 cents



FEDERAL



NEW GRANT OPPORTUNITY

Strengthening Mobility and Revolutionizing Transportation (SMART) Grants Program

The [Bipartisan Infrastructure Law](#) (BIL) established the Strengthening Mobility and Revolutionizing Transportation (SMART) discretionary grant program with \$100 million appropriated annually for fiscal years (FY) 2022-2026.



The SMART program was established to provide grants to eligible public sector agencies to conduct demonstration projects focused on advanced smart community technologies and systems in order to improve transportation efficiency and safety.

The FY22 Notice of Funding Opportunity (NOFO) will open in September 2022



FEDERAL HAPPENINGS

The week of July 18th, the House took up six of the FFY2023 Appropriations bills, including Transportation, Housing & Urban Development.

Senate and House leadership are trying to revive a slimmed down version of the Budget Reconciliation bill.

July 12th hearing “Advancing Public Transportation Under the Bipartisan Infrastructure Law” gave senators a chance to question FTA Administrator Fernandez about the most pressing issues facing public transit agencies.



GGH EMISSION STANDARDS



The Federal Highway Administration announced a proposed regulation requiring states and local planning agencies to measure greenhouse gas emissions from travel on the National Highway System.

Guidance published in the Federal Register July 15th.

The new regulation also requires states and MPOs to set targets for emission reduction.



LOCAL



LACMTA TRANSIT AMBASSADORS

A \$122 million Transit Ambassador pilot program will place up to 300 uniformed workers on trains and buses starting this fall.

The ambassadors will help with directions, alert police of a threat, point people to homeless services, keep an eye on vulnerable people and check that seats are clean and passengers are safe.

Some workers will be at fixed stops, while others will roam the system. None will be armed or give out tickets.

The effort is part of a package of reforms aimed at shifting funds to homeless outreach and finding alternatives to armed law enforcement.





U.S. Secretary of Transportation, FTA Administrator Nuria Fernandez, Los Angeles County Metropolitan Transportation Authority (LA Metro) CEO Stephanie N. Wiggins and L.A. Mayor and Metro Board Member Eric Garcetti joined local dignitaries recently to dedicate LA Metro's K Line Expo/Crenshaw Station.



FINANCE



Grant Update

SUBMITTED TO DEPARTMENT OF LABOR:

✓ FY20 Low or No Emission Bus #D2020-LWNO-004	\$6,253,255
✓ 5307 Capital Expenses	\$17,281,828
✓ Sect. 5339 Commuter Bus Replacement	\$809,256
✓ FY21 CRRSAA Operating Expenses	\$7,204,258
✓ FY21 ARPA Operating Expenses	<u>\$7,887,502</u>

TOTAL: \$39,436,099

GRANTS CLOSED:

CA-90-Y968	Originally Awarded: August 17, 2012
CA-2019-123	Originally Awarded: August 9, 2019
CA-2021-147	Originally Awarded: August 9, 2021

FY23 MTA FUNDING

Annual apportionment invoices submitted July 13, 2022



REWIND < MAY 2022...

CALIFORNIA STATE TRANSPORTATION AGENCY
GAVIN NEWSOM, GOVERNOR

California Department of Transportation

DIVISION OF PROCUREMENT AND CONTRACTS
1723 30TH STREET, MS 65 | SACRAMENTO, CA 95816-7005
(916) 227-6000 | TTY 711
<https://dot.ca.gov/programs/procurement-and-contracts>

April 14, 2022

ANTELOPE VALLEY TRANSIT AUTHORITY
42210 6TH ST WEST
LANCASTER, CA 93534

RE: Contractor and Grantee Compliance with Economic Sanctions Imposed in Response to Russia's Actions in Ukraine

Dear Contractor:




On March 4, 2022, Governor Gavin Newsom issued Executive Order N-6-22 (EO) regarding sanctions in response to Russian aggression in Ukraine. The EO is located at <https://www.gov.ca.gov/wp-content/uploads/2022/03/3.4.22-Russia-Ukraine-Executive-Order.pdf>.

The EO directs all agencies and departments that are subject to the Governor's authority to take certain immediate steps, including notifying all contractors and grantees of their obligations to comply with existing economic sanctions imposed by the U.S. government in response to Russia's actions in Ukraine, as well as any sanctions imposed under state law.

This correspondence serves as a notice under the EO that as a contractor or grantee, compliance with the economic sanctions imposed in response to Russia's actions in Ukraine is required, including with respect to, but not limited to, the federal executive orders identified in the EO and the sanctions identified on the U.S. Department of the Treasury website (<https://home.treasury.gov/policy-issues/financial-sanctions/sanctions-programs-and-country-information/ukraine-russia-related-sanctions>). Failure to comply may result in the termination of contracts or grants, as applicable.

Please note that for any agreements or grants valued at \$5 million or more, a separate notification will be sent outlining additional requirements specified under the EO.

Sincerely,
David Prizmich
DAVID L. PRIZMICH
Chief



AUDITS / REVIEWS

A133 Annual Single Audit

2022 MTA Consolidated Audit



Questions?



FY 2022 Monthly Operations Key Performance Indicators

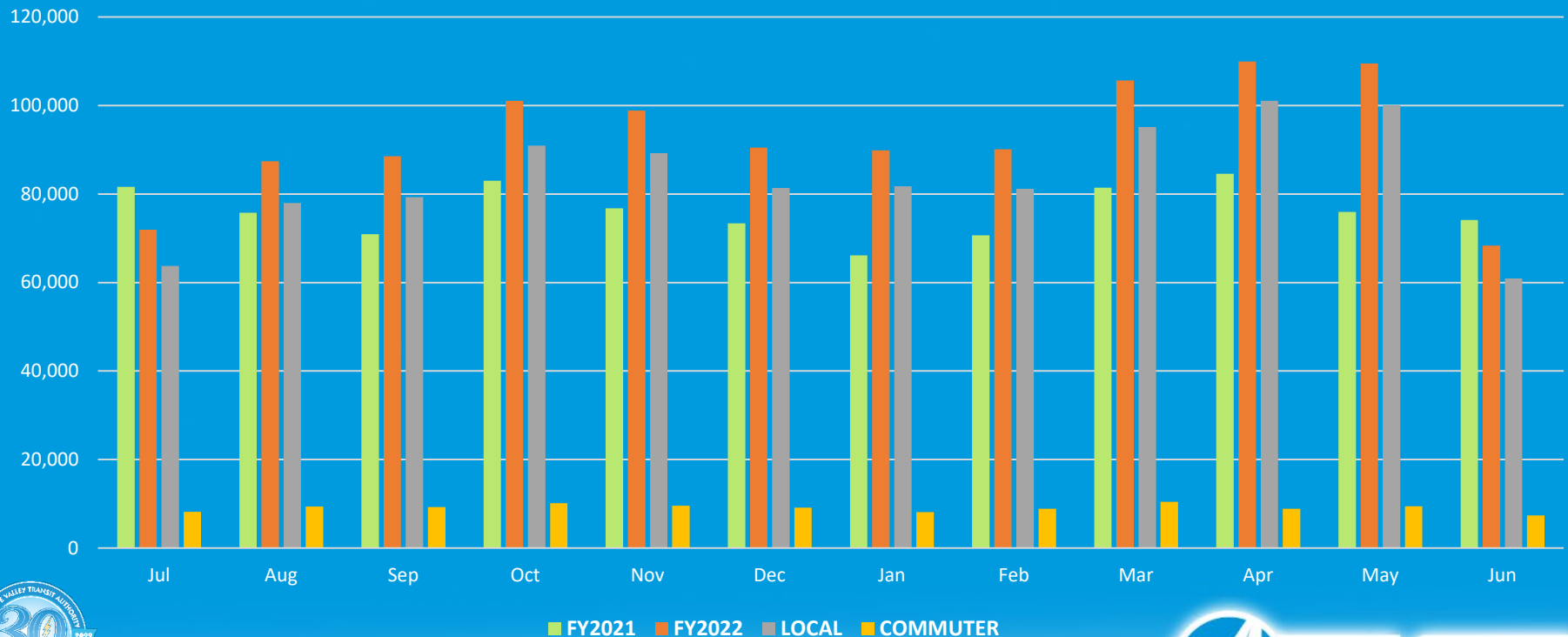
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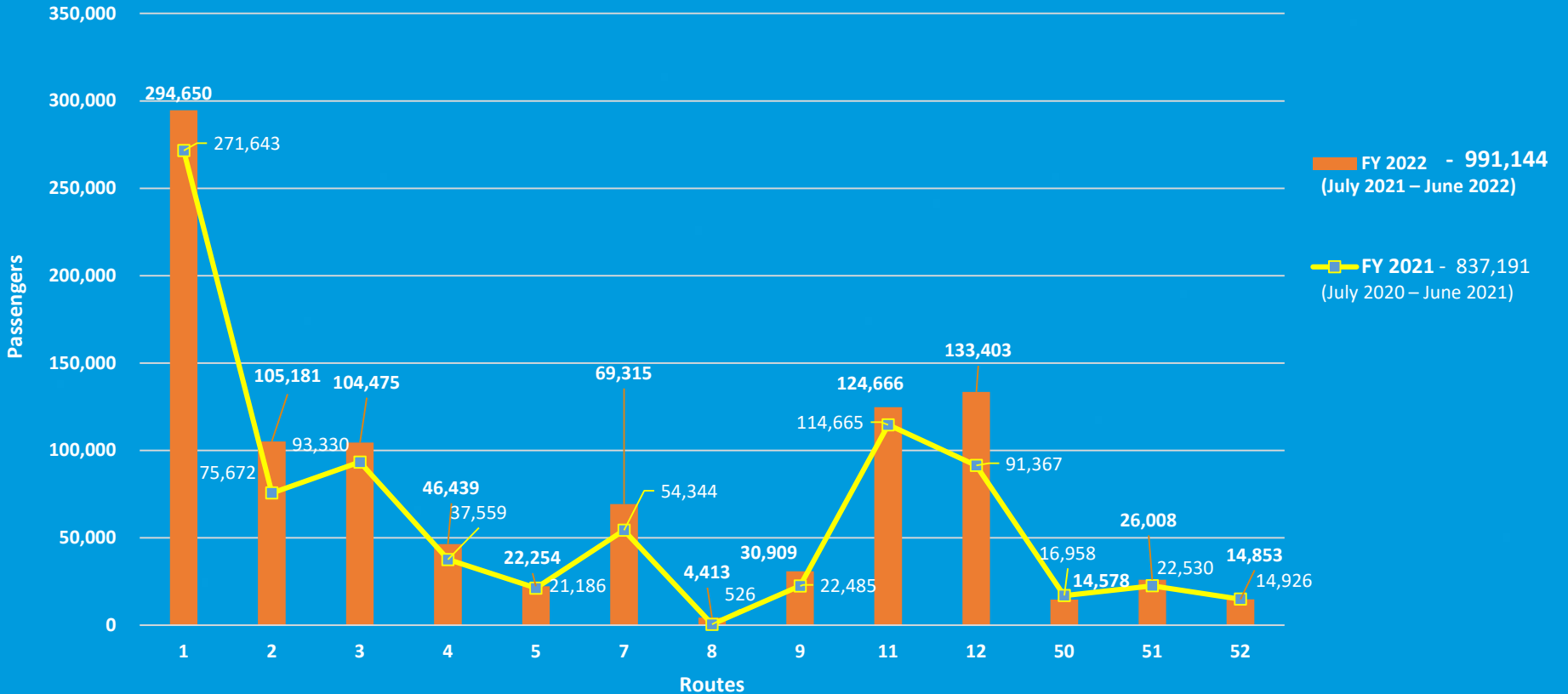


MONTHLY BOARDING ACTIVITY

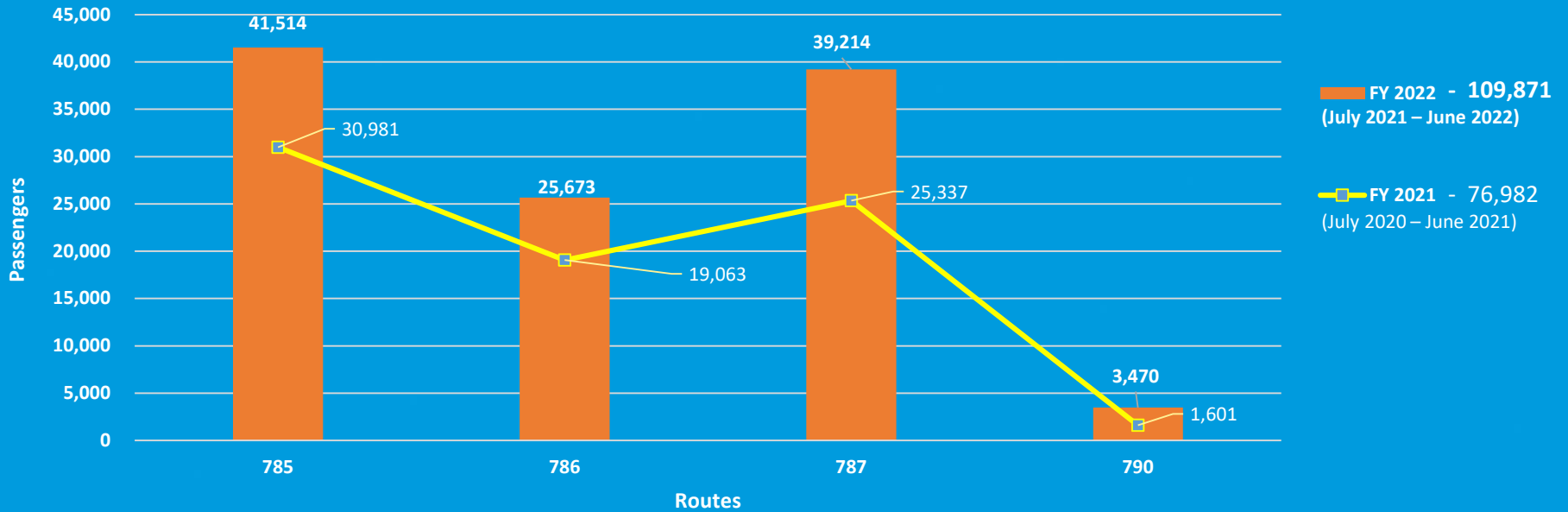
	June 2022 FY 2022	May 2022 FY 2022
System	68,348	109,493
Local	60,945	100,045
Commuter	7,403	9,448



ANNUAL RIDERSHIP LOCAL ROUTES



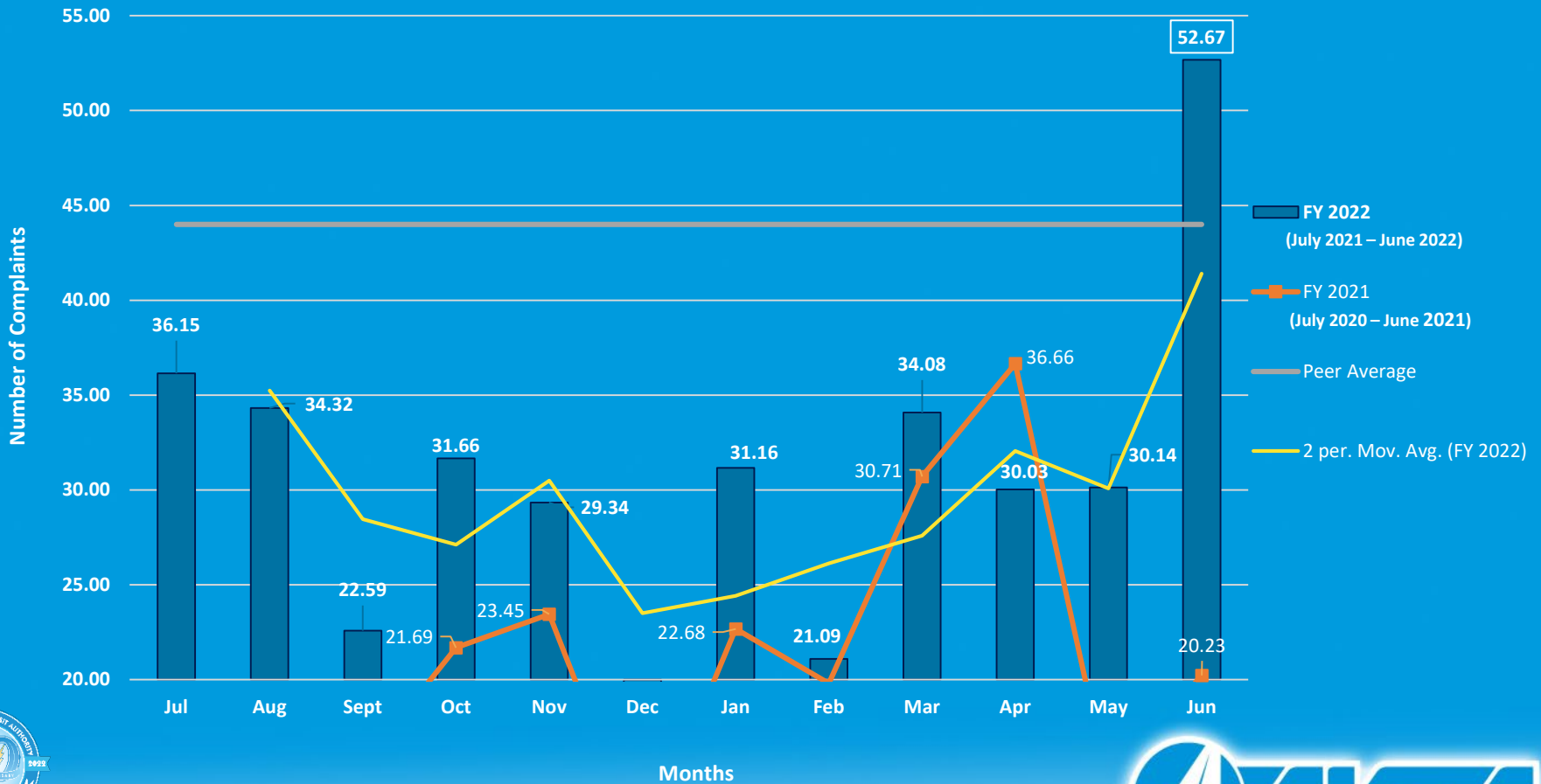
ANNUAL RIDERSHIP COMMUTER ROUTES



COMPLAINTS/100,000 BOARDINGS

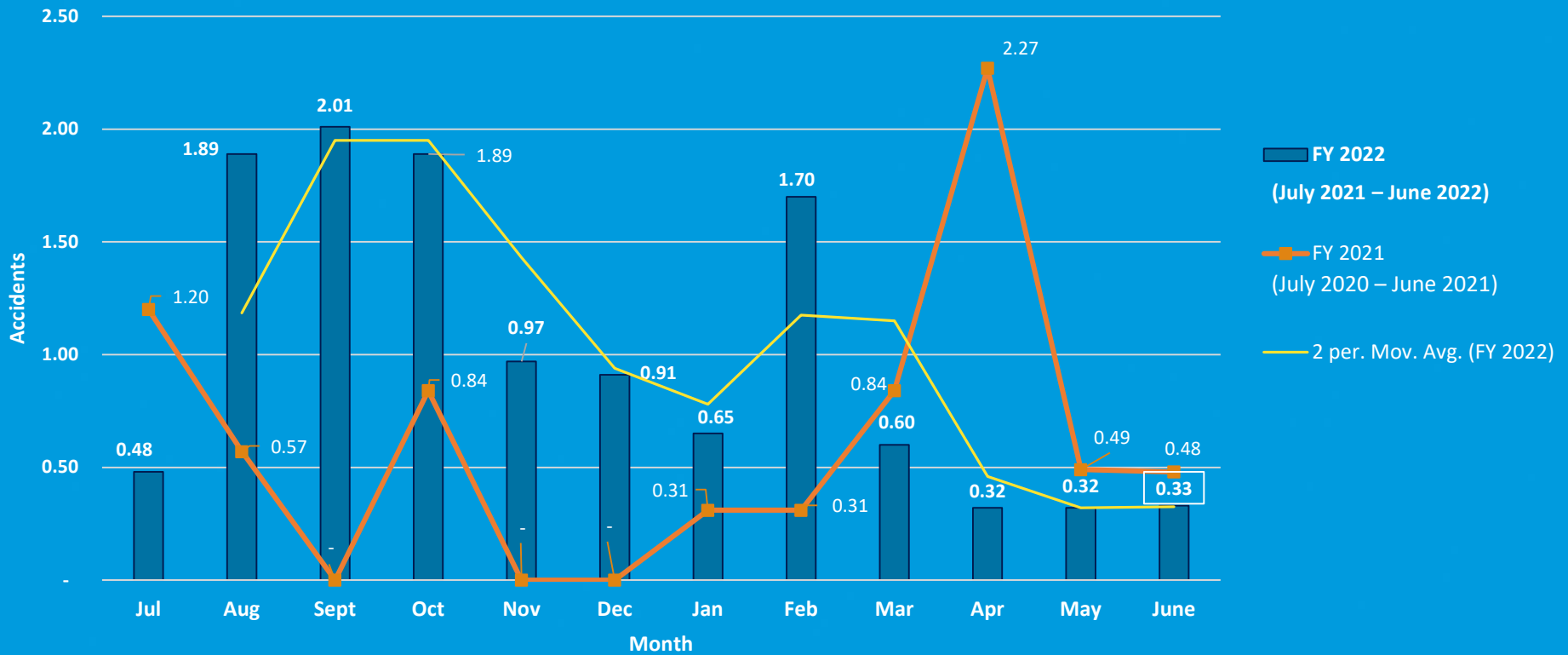
JUNE - SYSTEM WIDE AVERAGE: 52.67

PEER AVERAGE: 44.00



PREVENTABLE ACCIDENTS/100,000 MILES

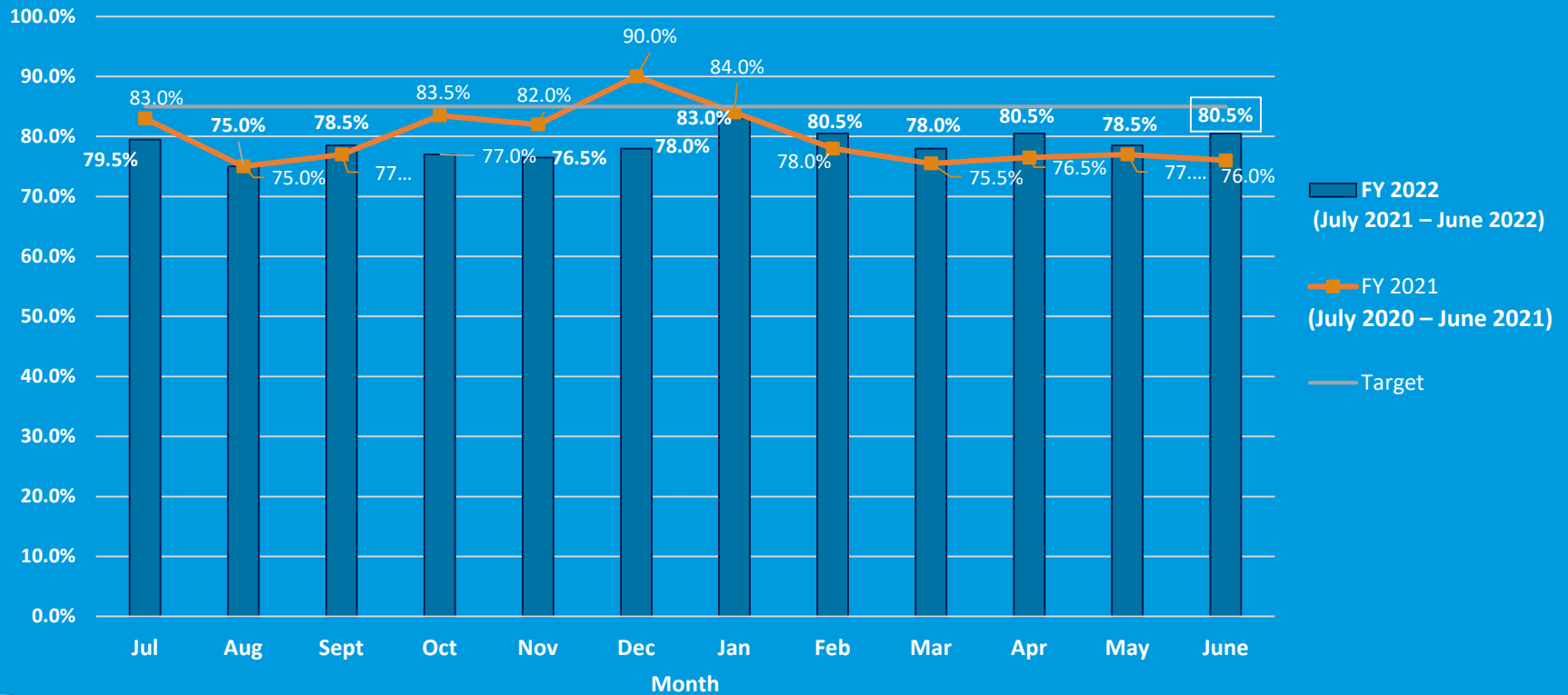
JUNE - SYSTEM WIDE AVERAGE: 0.33



ON TIME PERFORMANCE

JUNE – SYSTEM WIDE AVERAGE: 80.5%

TARGET: 85%



KEY PERFORMANCE INDICATORS

	June 2022 FY 2022	May 2022 FY 2022	June 2021 FY 2021
Boarding Activity	68,348	109,493	74,135
Complaints / 100,000 Boardings	52.67	30.14	20.23
Preventable Accidents / 100,000 Miles	0.33	0.32	0.48
On Time Performance	80.5%	78.5%	76%



Thank you!

Questions?



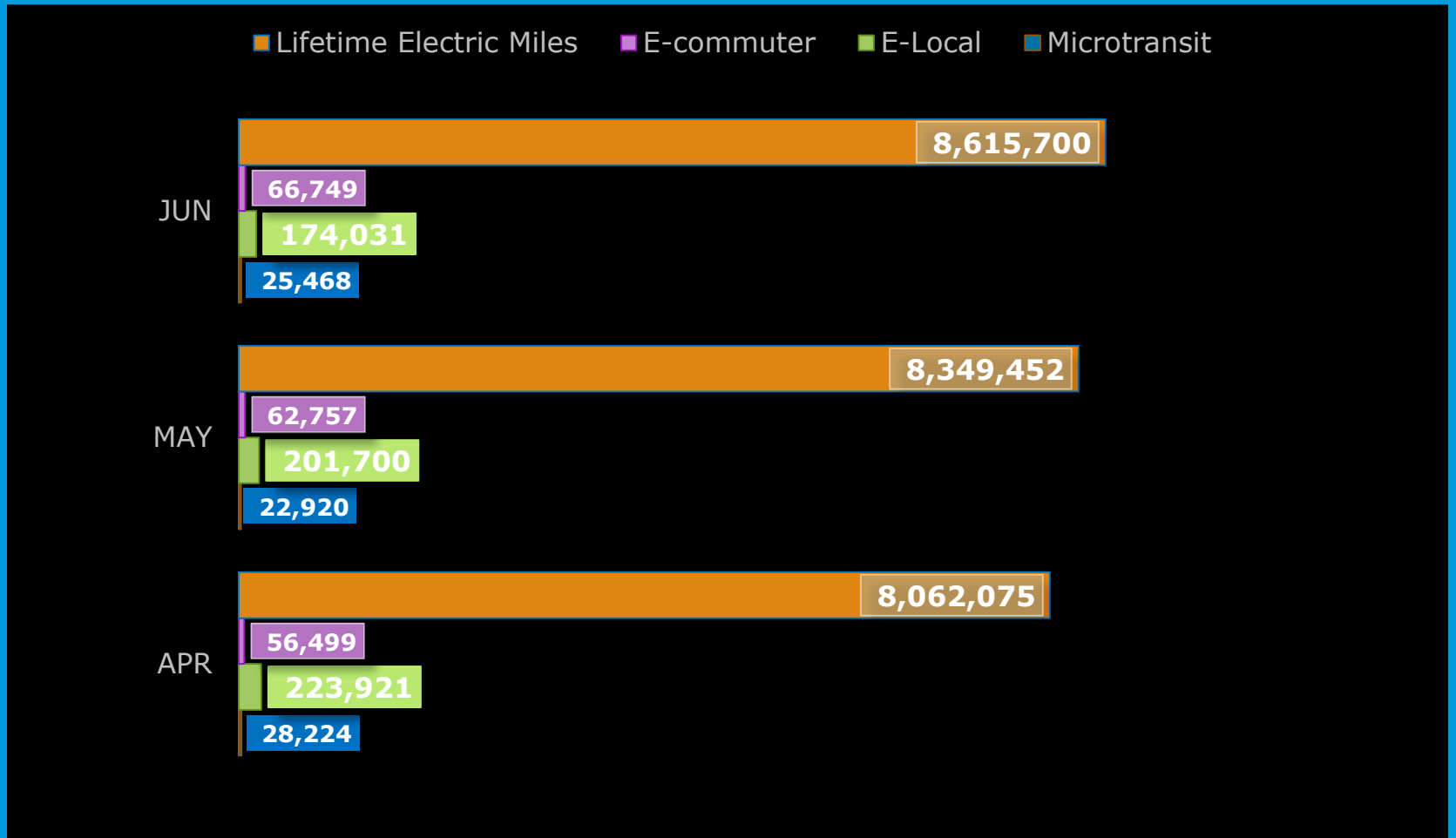
FY 2022 Monthly Maintenance Key Performance Indicators

Presentation to the Board of Directors

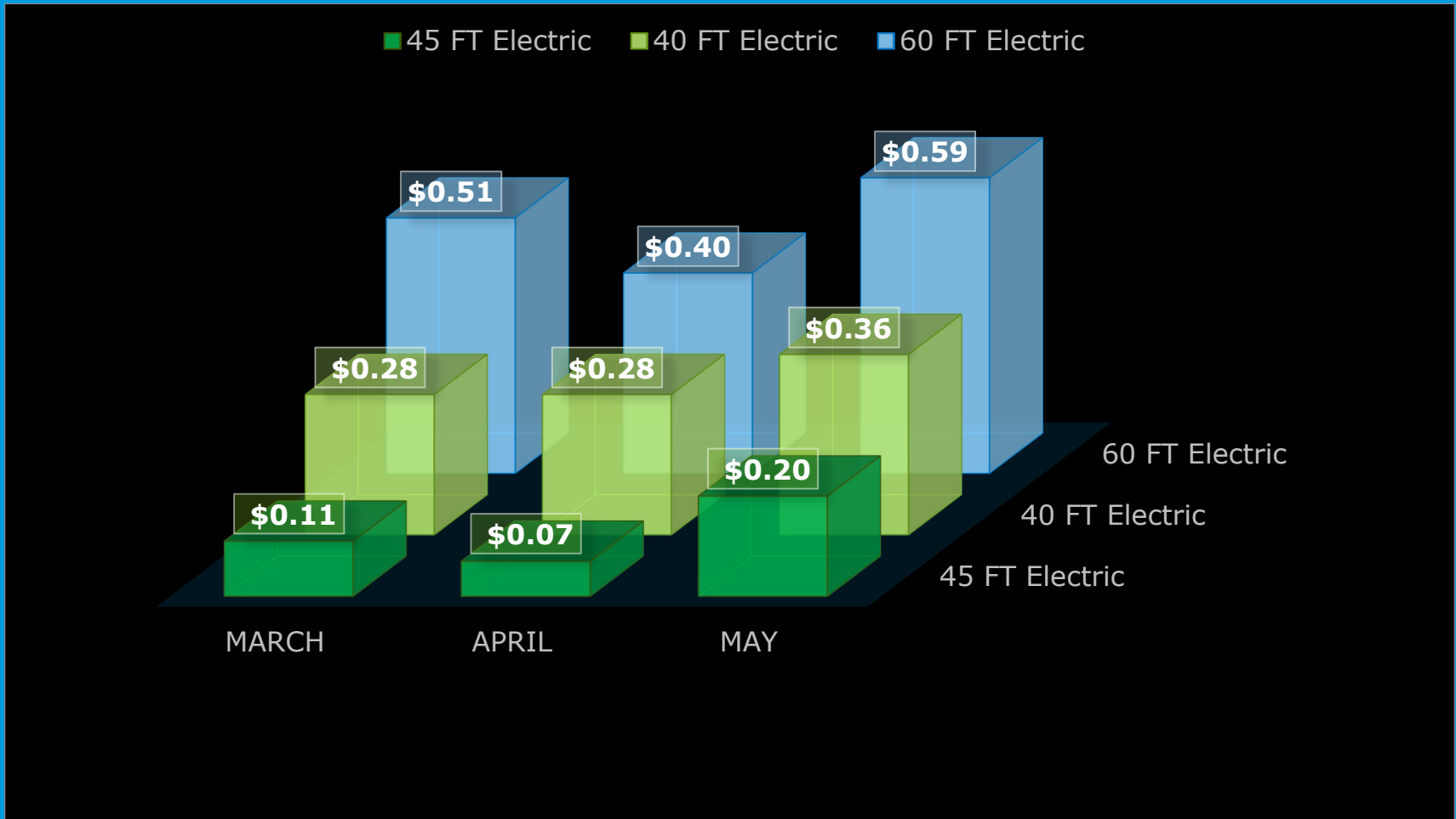
July 26, 2022



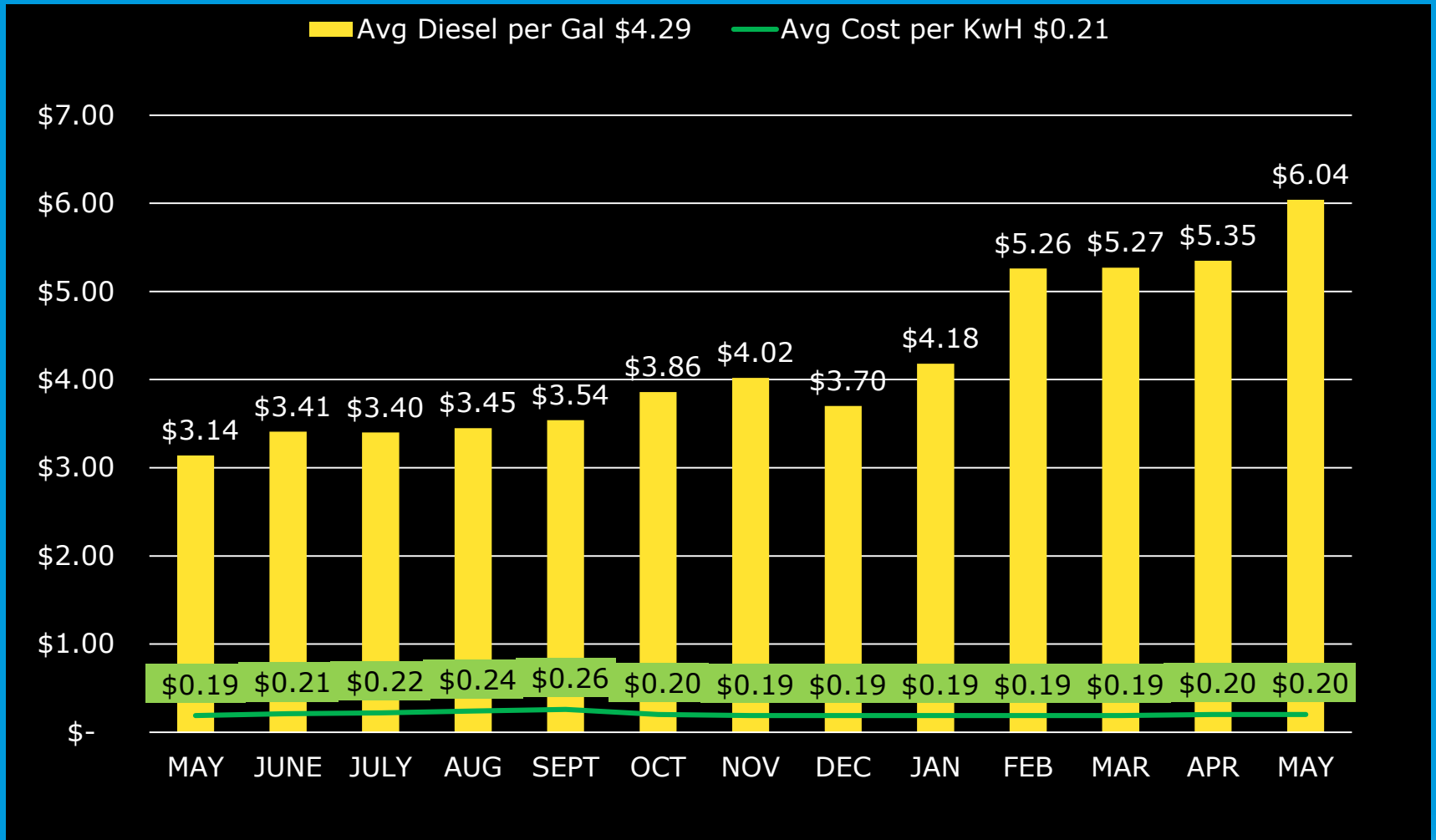
ELECTRIC MILES TRAVELED



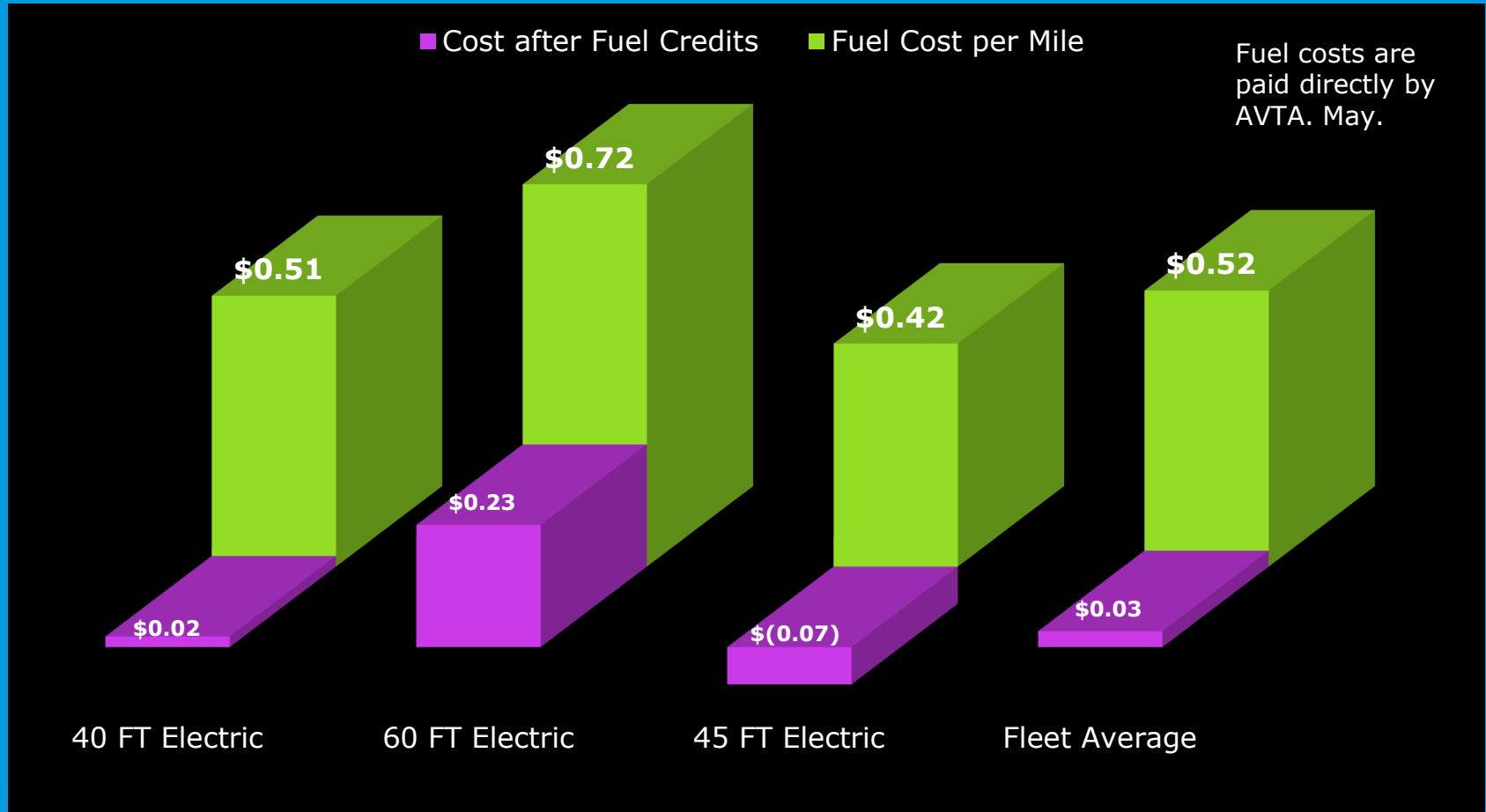
MAINTENANCE COST PER MILE BY FLEET



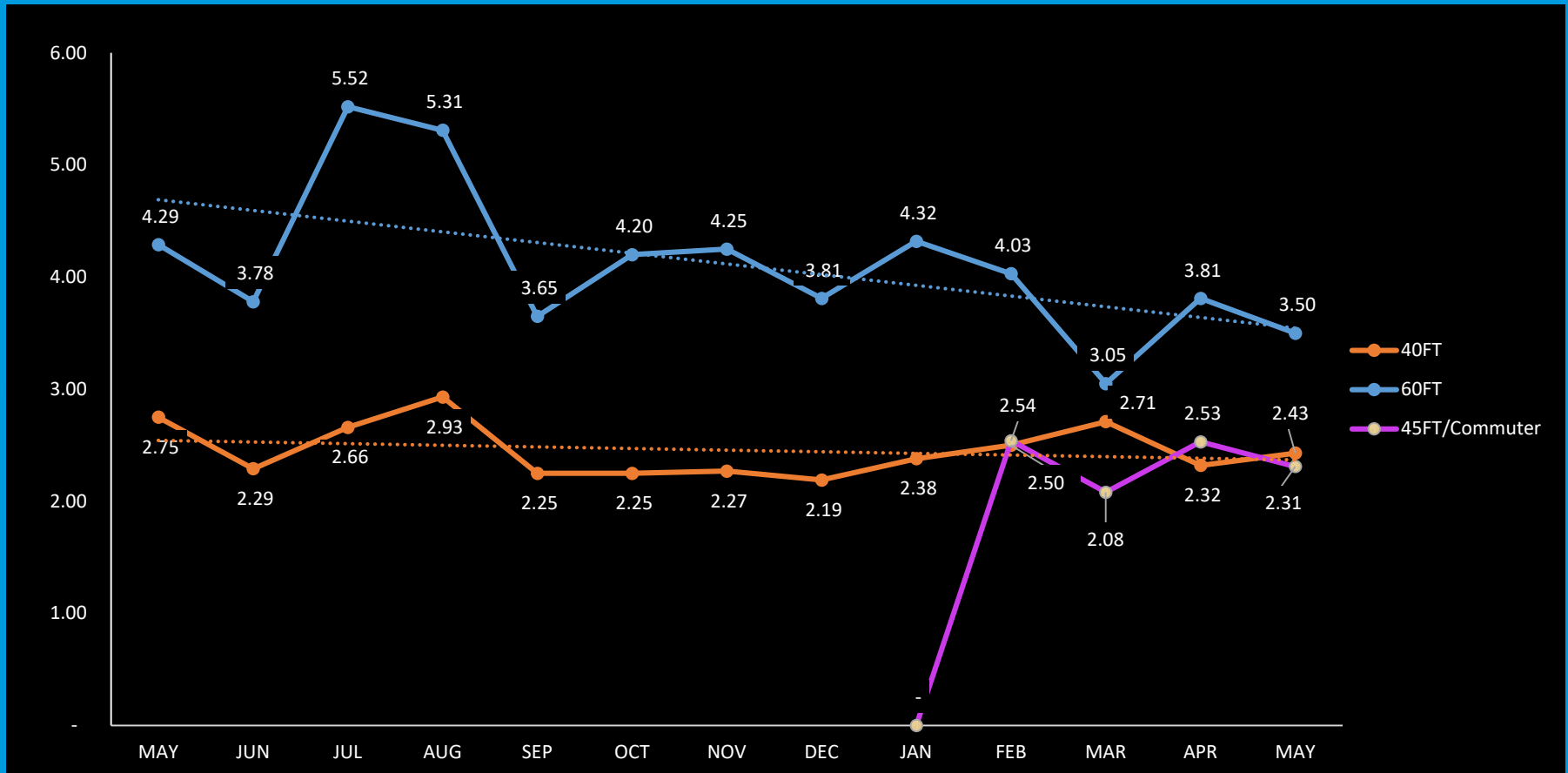
FUEL/ENERGY COST PRIOR 12 MONTHS



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

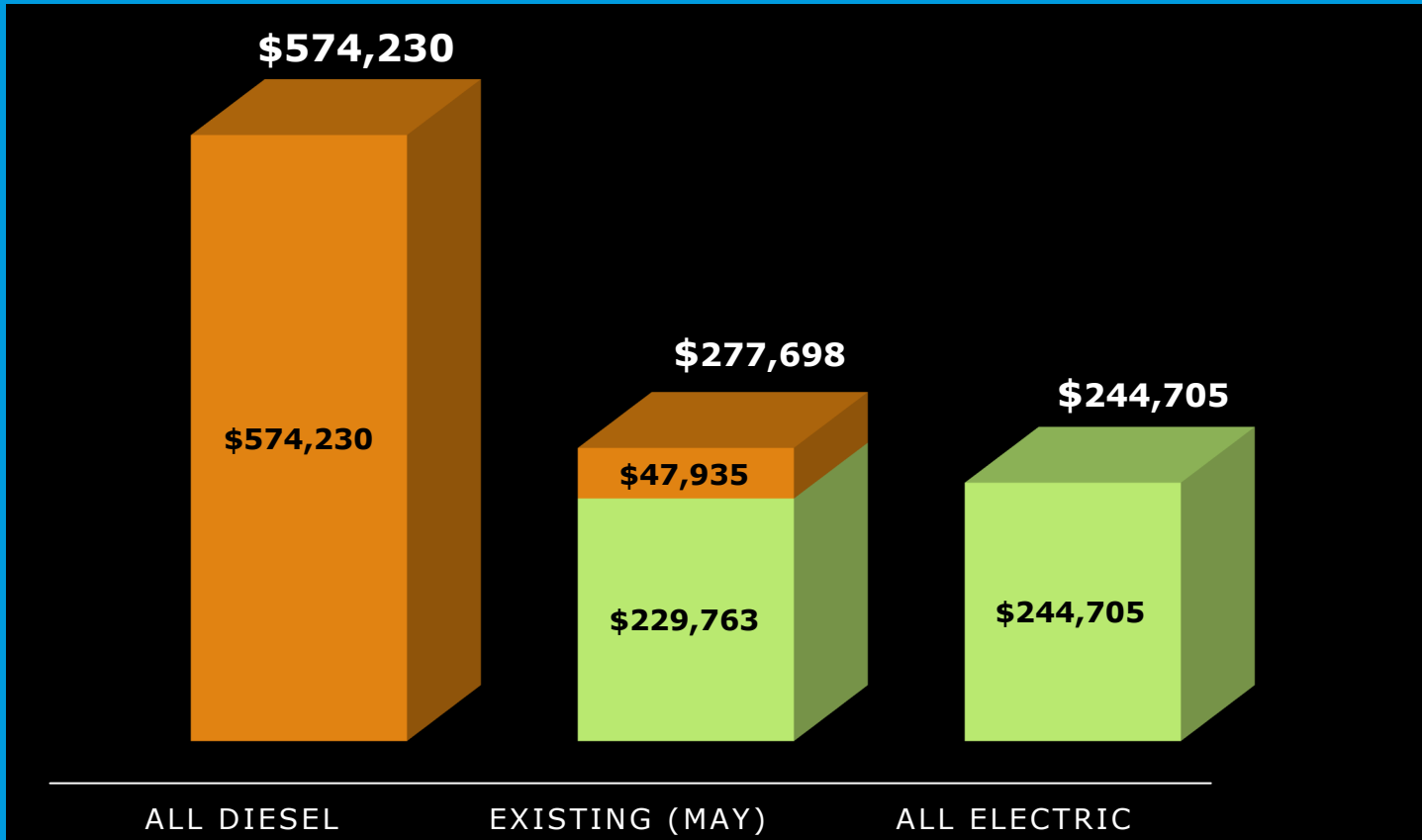


AVERAGE FUEL CONSUMPTION PER MILE (KWPM)



TOTAL FUEL & MAINTENANCE COST ASSUMPTIONS

■ Electric ■ Diesel



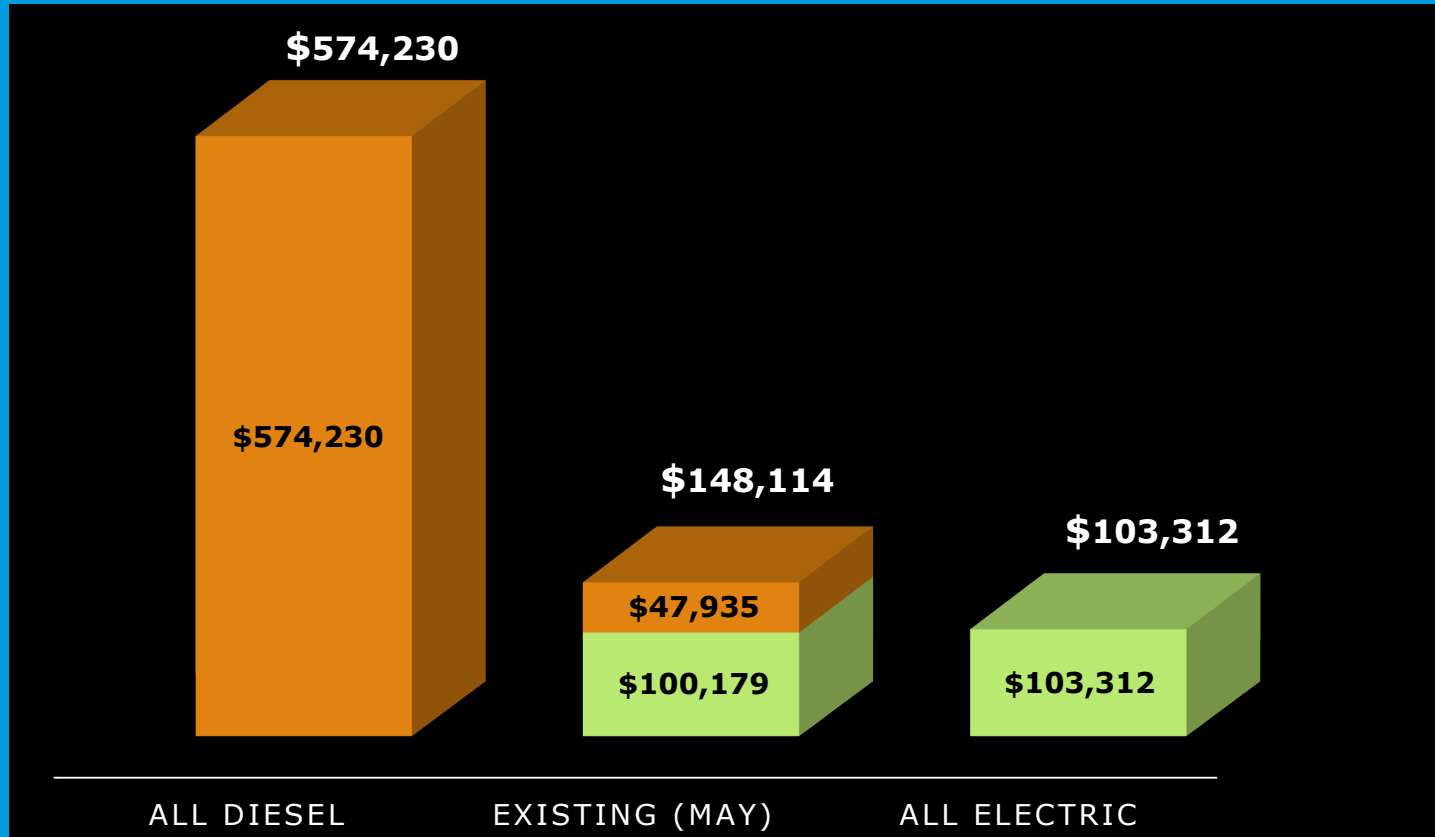
May
Fuel and
Maintenance
Savings
\$296,532

Projected
Savings
\$311,996



TOTAL FUEL & MAINTENANCE COST ASSUMPTIONS W/LCFS

■ Electric ■ Diesel



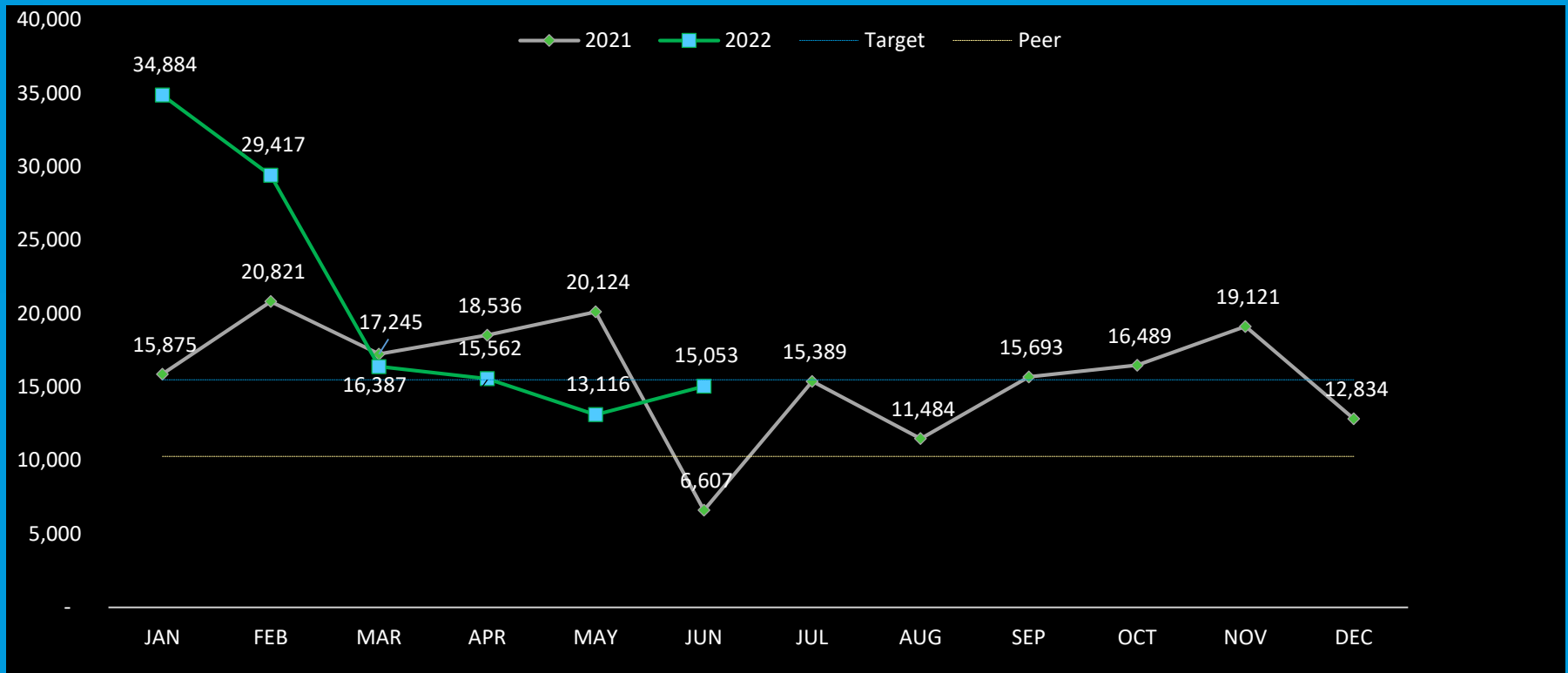
May
Fuel and
Maintenance
Savings
W/LCFS
\$426,116



AVERAGE MILES BETWEEN SERVICE INTERRUPTIONS

Peer Average: 11,206

Target: 15,500



Discussion/Questions?





Regular Meeting of the Board of Directors

Tuesday, June 28, 2022

10:00 a.m.

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

UNOFFICIAL MINUTES

CALL TO ORDER

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

PLEDGE OF ALLEGIANCE

Director Flanagan led the Pledge of Allegiance.

ROLL CALL:

Present

Chairman Marvin Crist, Vice Chair Dianne Knippel, Director Steve Hofbauer, Director Richard Loa, Director Raj Malhi, Director Michelle Flanagan

APPROVAL OF AGENDA

Motion: Approve the agenda as comprised.

Moved by Director Hofbauer, seconded by Vice Chair Knippel

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

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Loa, Malhi, Flanagan

Nays: None

Abstain: None

Absent: None

PUBLIC BUSINESS – AGENDIZED AND NON-AGENDIZED ITEMS:

Michael Rives complimented the AVTA on the bus wraps and its relationship with the Antelope Valley College (AVC). He requested that AVC informational brochures be placed on the buses. Chairman Crist directed Mr. Rives to coordinate with the Los Angeles County representatives, Vice Chair Knippel or Director Flanagan.

Anjie Preston expressed concerns with the Microtransit Pilot Program, including cancelled and rebooked rides, issues with passenger pickups and drop-offs, and

long wait times. She requested deferring the discontinuation of Routes 50, 51, and 52 until improvements have been made to the program. She thanked the staff members who met with her to resolve her concerns.

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

SRP 1 PRESENTATION TO ANTELOPE VALLEY TRANSPORTATION SERVICES EMPLOYEE OF THE MONTH

AV Transit Management President Art Minasyan presented the award to Luis Amalbert.

SRP 2 MICROTRANSIT AND DIAL-A-RIDE KEY PERFORMANCE INDICATORS (KPI) REPORT

Mr. Minasyan presented the report. The Board discussed why trips are rebooked, average customer wait times and types of complaints.

SRP 3 LEGISLATIVE REPORT FOR JUNE 2022

Chief Financial Officer Judy Vaccaro-Fry reported on pending state legislation, California's Fiscal Year (FY) 2022/2023 Budget, available Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP) funding, proposed federal gas tax holiday, FY 2022/2023 federal appropriations, and FY 2021/2022 Los Angeles County Metropolitan Transportation Authority's appropriations for the AVTA.

SRP 4 OPERATIONS KPI REPORT

Director of Operations and Maintenance Esteban Rodriguez presented the report. The Board discussed complaints, on-time performance, and the impact on AVTA's ridership following the recent work stoppage.

SRP 5 MAINTENANCE KPI REPORT

Operations Analyst Joseph Sanchez presented the report. The Board discussed the maintenance cost per mile by fleet and the bus type that is most economical to operate. A peer average line will be added to the graph showing the average miles between service interruptions.

CONSENT CALENDAR (CC):

CC 1 BOARD OF DIRECTORS MEETING MINUTES OF MAY 24, 2022

Approve the Board of Directors Regular Meeting Minutes of May 24, 2022.

CC 2 FINANCIAL REPORT FOR MAY 2022

Receive and file the Financial Report for May 2022.

CC 3 AMENDMENT NO. 1 FOR SOLE SOURCE CONTRACT #2021-35 WITH PINNACLE PETROLEUM FOR BULK FUEL SUPPLY AND DELIVERY

Authorize the Executive Director/CEO to execute Amendment No. 1 for Sole Source Contract #2021-35 with Pinnacle Petroleum, Inc., of Huntington Beach, CA, for an additional amount of \$100,000 and a six-month time extension to complete AVTA's conversion of its diesel fleet to a battery-electric fleet.

Motion: Approved the Consent Calendar.

Moved by Vice Chair Knippel, seconded by Director Malhi

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Loa, Malhi, Flanagan
Nays: None
Abstain: None
Absent: None

NEW BUSINESS (NB):

NB 1 FY 2023 PROPOSED BUDGET

Ms. Vaccaro-Fry presented the staff report. The Board discussed the average cost per kilowatt to charge the buses through Lancaster Choice Energy.

Motion: Approve the FY 2023 Proposed Budget.

Moved by Vice Chair Knippel, seconded by Director Loa

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

NB 2 LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY (LACMTA) TRIENNIAL PERFORMANCE REVIEW FINAL REPORT FOR FISCAL YEARS 2018/2019, 2019/2020, 2020/2021

Ms. Vaccaro-Fry presented the staff report.

Motion: Receive and file the LACMTA Triennial Performance Review Final Report for the period covering July 1, 2018 through June 30, 2021 (FY 2019 – FY 2021).

Moved by Vice Chair Knippel, seconded by Director Flanagan

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

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Loa, Malhi, Flanagan

Nays: None

Abstain: None

Absent: None

NB 3 RATIFY SOLE RESPONDENT CONTRACT #2022-56 TO ANTELOPE VALLEY CHEVROLET FOR FOUR BATTERY ELECTRIC SUPPORT VEHICLES

Procurement and Contracts Officer Lyle Block presented the staff report.

Motion: Authorize the Executive Director/CEO to ratify Sole Respondent Contract #2022-56 with Antelope Valley Chevrolet, Lancaster, CA, to purchase four battery-electric support vehicles for an amount not to exceed \$145,999.28, including applicable sales tax.

Moved by Vice Chair Knippel, seconded by Director Flanagan

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

Ayes: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Loa, Malhi, Flanagan

Nays: None

Abstain: None

Absent: None

NB 4 LEASE AGREEMENT FOR THREE (3) 40-FOOT BYD BUSES

Mr. Block presented the staff report.

Motion: Authorize the Executive Director/CEO to execute a lease agreement with BYD for a quantity of three 2017 40-foot buses for a period of three years.

Moved by Vice Chair Knippel, seconded by Director Flanagan

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

NB 5 SOLE SOURCE CONTRACT #2022-53 TO GFI GENFARE AND #2022-54 TO CUBIC TRANSPORTATION SYSTEMS, INC. FOR FAREBOX EQUIPMENT AND PARTS

Fleet Maintenance Manager Vincent San Nicolas presented the staff report. Executive Director/CEO Martin Tompkins explained the cost-savings procurement that Mr. San Nicolas orchestrated to purchase used farebox shells saving the AVTA over \$200,000. The Board directed Mr. Tompkins to develop an Employee Cost-Savings Incentive Program.

Motion: Authorize the Executive Director/CEO to execute two contracts: 1) #2022-53 with GFI Genfare (Attachment A), for an amount of \$24,304.80, plus applicable taxes and freight; and 2) #2022-54 with CUBIC Transportation Systems, Inc. (Attachment B), for an amount of \$358,732.50, plus applicable taxes and freight. These combined contracts will provide the necessary equipment and parts to produce 25 operational fareboxes, which will be placed into new buses.

Moved by Vice Chair Knippel, seconded by Director Loa

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

NB 6 JURISDICTIONAL CONTRIBUTIONS

Mr. Tompkins presented the staff report. Los Angeles County Representative Dianne Knippel agreed that the county supported the study; however, county staff has some concerns and questions regarding the resolution of the recommendation and takes a few exceptions to the results of the study. She added the county agreed to increase its share for the next fiscal year but wants to work with the AVTA staff during the year to understand the details of the calculation.

Chairman Crist stated that AVTA spent \$55,000 on a study at the county's request, which resulted in a favorable outcome for the cities of Lancaster and Palmdale. He added that county staff tried to meet with the contractor without AVTA staff in attendance and suggested they tried to intimidate him into changing his opinion. Vice Chair responded that she could not substantiate this statement since she was not privy to those conversations.

Chairman Crist stated the county would be receiving about \$7.5 million through the state's Transportation Development Act Article 8 funds from LA Metro. He asked them to contribute some of those funds for transportation needs to make it an even split amongst the Board. He added that the county votes on an equal share basis but does not participate financially on an equal share basis.

Vice Chair Knippel responded that county staff is willing to work during the next year to address this concern adding that the original JPA did not specify a dollar value of fair shares. The county will participate this year based on some of the study's recommendations. After that, if there is a true fair share change, the JPA will require updating.

Director Hofbauer noted that AVTA has put a lot of effort toward increasing services in the unincorporated east Antelope Valley. He expressed his constituents' frustration that, on a daily basis, they are getting back about 25 cents on the dollar for their taxes and fees paid to the county that go over the hill and end up in the abyss. Waiting another year is not tolerable.

Chairman Crist stated the county pays the City of Santa Clarita \$3.1 million for 200 county miles compared to \$653,708 for 1,200 miles paid in the Antelope Valley, which is six times the jurisdictional miles that Santa Clarita has but receives six times less. The Stantec report recommends that the jurisdictions meet at the end of the year, figure out the cost for the AVTA to run, make a recommendation to the jurisdictions and send them the bill.

There was no response when Chairman Crist asked if anyone from the county wanted to speak.

Motion: Accept, adopt and implement Stantec Consulting Services’ findings and recommendation that the Los Angeles County’s jurisdictional share be increased for a one-year period effective July 1, 2022 through June 30, 2023.

Moved by Director Loa, seconded by Director Malhi

Clerk of the Board Karen Darr conducted a roll call vote and stated the motion carried with 4 ayes and 2 abstentions.

Vote: Motion carried (4-0-2-0)
Ayes: Chairman Crist, Directors Hofbauer, Loa, Malhi
Nays: None
Abstain: Vice Chair Knippel and Director Flanagan
Absent: None

CLOSED SESSION (CS):

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

General Counsel Allison Burns presented the items to be discussed in Closed Session.

- CS 1 Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(2)
Significant exposure to litigation (two potential cases)
- CS 2 Conference with Legal Counsel – Pursuant to Government Code Section 54956.9(d)(4)
Consideration of whether to initiate litigation (one potential case)
- CS 3 Public Employee Performance Evaluation – Pursuant to Government Code Sections 54954.5 (e) and 54957(b))
Title: Executive Director/CEO

RECESS TO CLOSED SESSION

The Board recessed to Closed Session at 11:19 a.m.

RECONVENE TO PUBLIC SESSION

The Board reconvened to Public Session at 11:46 a.m.

REPORT BY LEGAL COUNSEL OF ACTION TAKEN IN CLOSED SESSION

General Counsel Burns stated the Board discussed CS 3 and gave direction; there was no reportable action.

REPORTS AND ANNOUNCEMENTS (RA):

RA 1 REPORT BY THE EXECUTIVE DIRECTOR/CEO

Mr. Tompkins provided an update regarding the transition from Transdev Services, Inc. to MV Transportation Inc. for contracted transit operations and maintenance services. He thanked the Board members, General Counsel Burns, and staff for their assistance during the transition.

MISCELLANEOUS BUSINESS – NON-AGENDA BOARD OF DIRECTORS ITEMS:

There were no miscellaneous business items presented.

ADJOURNMENT:

Chairman Crist adjourned the meeting at 11:51 a.m. to the Regular Meeting of the Board of Directors on July 26, 2022, at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6th Street West, Lancaster, CA.

PASSED, APPROVED, and ADOPTED this 26th day, of JULY 2022.

Marvin Crist, Chairman of the Board

ATTEST:

Karen S. Darr, Clerk of the Board

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



DATE: July 26, 2022

TO: BOARD OF DIRECTORS

SUBJECT: Financial Report for June 2022

RECOMMENDATION

That the Board of Directors receive and file the Financial Report for June 2022.

FISCAL IMPACT

	June
PAYROLL	\$336,021
CASH DISBURSEMENTS	\$3,222,196

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 Controller, provides a monthly payroll total and cash disbursements. The Chief Financial Officer and Senior Finance Manager certify the availability of funds.

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

Prepared by:

Submitted by:

Judy Vaccaro-Fry
Chief Financial Officer

Martin J. Tompkins
Executive Director/CEO



DATE: July 26, 2022

TO: BOARD OF DIRECTORS

SUBJECT: Fiscal Year 2021/2022 (FY 2022) Fourth Quarter Los Angeles County Sheriff's Department Report (April 1 - June 30, 2022)

RECOMMENDATION

That the Board of Directors receive and file the FY 2022 Fourth Quarter Los Angeles County Sheriff's Department Report for the period covering April 1 through June 30, 2022.

FISCAL IMPACT

No fiscal impact at this time.

DISCUSSION

Deputy Maselli and his K-9 partner Doc worked a total of 630 hours during the fourth quarter of FY 2022.

At the beginning of each shift, Deputy Maselli contacted bus operators to ascertain if there were any concerns or problems to report, as well as anything that was reported from the previous day. On average, Deputy Maselli made contact with an estimated 25-30 buses/bus operators per day.

Deputy Maselli monitored various locations that had reported problems. These locations included: Sgt. Steve Owen Memorial Park (OMP), Lancaster Senior Center, 6th Street East & Palmdale Boulevard, Palmdale Transportation Center (PTC) and the Lancaster Metrolink Station.

Deputy Maselli and Doc conducted high visibility K-9 terrorism and explosives deterrence sweeps at the Antelope Valley Transit Authority (AVTA) office, AVTA transfer centers, on AVTA buses and at random bus stop locations throughout the Antelope Valley.

On April 6, Deputy Maselli responded to AVTA bus 60705 at 10th Street West/Avenue K, Lancaster regarding a “Business-Disturbance” call. Disturbing party deboarded the bus. No evidence of crime was observed.

On May 5, Deputy Maselli provided security for Metro/AVTA regarding life (Low-Income Fare is Easy) program at OMP.

On June 29, Deputy Maselli responded to 10th Street West/Avenue K-8 (OMP) regarding a “Disturbance-Business, Battery” call. No battery, verbal disturbance only.

The following is a list of misdemeanors, infractions and arrest warrants included on citations issued from April 1 through June 30, 2022. All citations were issued at transit centers or at bus stops in the AVTA service area.

Citations	Apr 22	May 22	Jun 22
Suspended or Unlicensed Driver	0	0	0
Expired Registration	0	0	0
Registration Not in Vehicle	0	0	0
No Proof of Insurance	0	0	0
Drinking in Public (Bus Stops)	0	0	0
Failure to Have Both License Plates on Vehicle	0	0	0
Failure to Obey Posted Signs at Transit Centers	0	0	0
Impounded Vehicle	0	0	0
Outstanding Warrant Arrest	0	0	0
Driver License Not in Possession	0	0	0
Using Cell Phone/Texting While Operating Vehicle	0	0	0
Conducting Business Without License	0	0	0
No Smoking Allowed	0	0	0
Non-Aggravated Assault Arrest	0	0	0

During the month of April, Deputy Maselli monitored all routes and warned/advised several persons regarding disobeying posted signs, smoking in prohibited areas, and traffic related incidents at OMP and PTC.

During the month of May, Deputy Maselli monitored all routes and warned/advised several persons regarding disobeying posted signs, smoking in prohibited areas, and traffic related incidents at OMP and (PTC).

During the month of June Deputy Maselli monitored all routes and warned/advised several persons regarding disobeying posted signs, smoking in prohibited areas, and traffic related incidents at OMP and PTC.

Prepared by:

Submitted by:

Kelly Miller
DBE/EEO Compliance Officer

Martin J. Tompkins
Executive Director/CEO



DATE: July 26, 2022

TO: BOARD OF DIRECTORS

SUBJECT: Public Transportation Agency Safety Plan (PTASP)

RECOMMENDATION

That the Board of Directors 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 2022/2023; and 2) adopt Resolution 2022-010 (Attachment C) adopting the updated PTASP for FY 2023.

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 2021 PTASP with administrative changes for FY 2023. Performance safety targets and management and operational recommendations remain the same for FY 2023 as staff prepares to implement the safety plan with the service contractors. The planned implementation will include

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

Submitted by:

Submitted by:

Esteban Rodriguez
Senior Director of Operations and Planning

Martin J. Tompkins
Executive Director/CEO

Attachments: A – Update Chart for FY 2022/2023
 B – Updated PTASP for FY 2022/2023
 C – Resolution No. 2022-010

AVTA PTASP FY 2022-2023 Updates as of 7/14/22

CC 4 – ATTACHMENT A

PTASP Section	Title	Subsection	Authority/Requirement	Updates
1	TRANSIT AGENCY INFORMATION	1a. Profile of AVTA Transit System	PTASP Final Rule for PTASP	Updated AVTA transit system profile services & metrics
2	PLAN DEVELOPMENT, APPROVAL, AND UPDATES	Accountable Executive (AE)	PTASP Final Rule for PTASP/SMS AE	Change AE from Martin Tompkins, COO to Esteban Rodriguez, Senior Director for Operations & Planning (SDOP) throughout Updated PTASP
2	PLAN DEVELOPMENT, APPROVAL, AND UPDATES	Board Approval Process	PTASP Final Rule for PTASP Board Certification	Updated Board information, provided new signatures & inserted a new Board resolution
3	SAFETY PERFORMANCE TARGETS	Target Metrics	PTASP Final Rule for PTASP	Continued current safety performance targets for FY 2022-2023 because of FR contractor transition to new company & integration of safety data into TransTrack system
3	SAFETY PERFORMANCE TARGET COORDINATION	Referral Agencies	PTASP Final Rule for PTASP	Elect to send safety performance only to SCAG
5	SMS PILLAR I. SAFETY MANAGEMENT POLICY	5a. Recommended AVTA SMPS	PTASP Final Rule for PTASP	Updated SMPS to reflect BIL new requirements
7	SMS PILLAR II. SAFETY RISK MANAGEMENT	Exposure to Infectious Disease Risk and Strategies	BIL New PTASP Requirement	Broaden AVTA health safety strategies to manage the Covid-19 pandemic to cover all infectious diseases
7	SMS PILLAR II. SAFETY RISK MANAGEMENT	Risk Reduction Program	BIL New PTASP Requirement	Define specifics of risk reduction (loss control) approach to safety risk management
9	SMS PILLAR IV. SAFETY PROMOTION	9a. Competencies & Training	BIL New PTASP Requirement	Clarify that employee training will include operations & maintenance employees under each service contractor, with AE staff oversight
9	SMS PILLAR IV. SAFETY PROMOTION	Operations Safety Committee	BIL New PTASP Requirement	Change systemwide management level safety committee to Operations & SMS Implementation Coordinating Committee, meeting weekly with SDOP/AE
9	SMS PILLAR IV. SAFETY PROMOTION	Frontline Safety Committees	BIL New PTASP Requirement	Establish the role of contractor safety committees to include frontline operation, maintenance & support employees by service mode (fixed route & paratransit)
11	MANAGEMENT OF CHANGE	Electrical vehicle fleet transition	PTASP Final Rule for PTASP Change Management	Remove electrical vehicle transition – completed; to monitor system changes
15	RECOMMENDED SAFETY ACTIONS FOR FY 2021-2022	SMS Implementation	PTASP Final Rule for SMS Implementation	Updated recommended activities for PTASP & SMS implementation for FY 2022-2023



PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)

FISCAL YEAR 2022-2023

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 **July 18, 2022**



TABLE OF CONTENTS

<u>PREFACE</u>	<u>PAGE</u>
i. ADOPTED & LAST REVISED	<u>67</u>
ii. AVTA BOARD OF DIRECTORS RESOLUTION OF ADOPTION	<u>78</u>
iii. AVTA LETTER OF CERTIFICATION OF COMPLETION	<u>810</u>
iv. PTASP PURPOSE	<u>944</u>
<u>AVTA PTASP ELEMENTS</u>	
SECTION 1: TRANSIT AGENCY INFORMATION	<u>104</u>
1a. Profile of AVTA Transit System	
1b. AVTA Transit System Operating Performance	
1c. AVTA Governing Structure	
1) Provision of Transit Services for Other Entities	
2) Description of Arrangement	
3) Name and Address of Entities	
4) AVTA Transit Service Infrastructure	
SECTION 2: PLAN DEVELOPMENT, APPROVAL, AND UPDATES	<u>168</u>
2a. Name of Entity That Drafted This Plan	
2b. Signature by the Accountable Executive	
2c. Approval by the Board of Directors or an Equivalent Authority	
1) Name of Individual/Entity That Approved This Plan	
2) Relevant Documentation	
3) Certification of Compliance	
2d. PTASP Version Number and Updates	
2e. Annual Review and Update of the PTASP Log	
2f. Bipartisan Infrastructure Law PTASP Compliance	
SECTION 3: SAFETY PERFORMANCE TARGETS	<u>1920</u>
3a. Basis for AVTA Safety Performance Targets	
3b. Summary of Loss Runs	
3c. National Public Transportation Safety Plan Safety Performance Targets (SPTs)	
3d. Safety Performance Target Coordination	

SECTION 4: FTA'S SAFETY MANAGEMENT SYSTEMS (SMS)

2324

- 4a. FTA and SMS
- 4b. SMS Framework
- 4c. SMS Principles
- 4d. SMS and the PTASP
- 4e. SMS Implementation

SECTION 5: SMS PILLAR I. SAFETY MANAGEMENT POLICY

2627

- 5a. AVTA Safety Management Policy Statement
 - 1) Recommended AVTA SMPS
- 5b. Safety Management Policy Communication
- 5c. Authorities, Accountabilities, and Responsibilities
 - 1) Staff Safety Roles and Responsibilities Chart
 - 2) AVTA Accountable Executive
 - 3) Chief Safety Officers
 - 1 AVTA CSO1 and SMS Accountable Executive
 - 2 Service Contractors' Chief Safety Officers (CSO2) as SMS Project Managers
- 5d. Agency Leadership and Executive Management
- 5e. Other AVTA and Service Contractor Key Staff
- 5f. Safety Training for Key Personnel

SECTION 6: EMPLOYEE SAFETY REPORTING PROGRAM

3839

- 6a. Employee Safety Reporting Process
- 6b. Close Call Reporting

SECTION 7: SMS PILLAR II. SAFETY RISK MANAGEMENT

41

- 7a. Phase 1 – Safety Hazard Identification
- 7b. Phase 2 – Hazard Type Determination
- 7c. Phase 2 – Hazard and Safety Event Definitions
- 7d. Phase 2 – Safety Risk Assessment - Risk Assessment Matrix
- 7e. Phase 3 – Safety Hazard and Risk Mitigation
- 7f. Phase 4 – Safety Data Management and Analysis
- 7g. Exposure to Infectious Disease Risk and Strategies

SECTION 8: SMS PILLAR III. SAFETY ASSURANCE

5051

- 8a. Safety Performance Monitoring and Measurement
- 8b. Complying with Procedures for Operations and Maintenance
- 8c. Addressing Ineffective Mitigations
- 8d. Tracing Safety Event Causal Factors
- 8e. Identifying Causal Factors
- 8f. Monitoring Internal Safety Reporting

	SECTION 9: SMS PILLAR IV. SAFETY PROMOTION	<u>56</u>57
	9a. Competencies and Training	
	9b. Safety Communications	
	9c. Operations/SMS Coordinating Committees	
	9d. Systemwide Safety Committee Formation	
	9e. Employee Safety Meetings	
	SECTION 10: SAFETY CULTURE	<u>67</u>68
	10a. Safety Culture Concept	
	10b. Interdependence Between Safety Culture and SMS	
	10c. Major Safety Culture Characteristics	
	10d. Employee Safety Culture Survey	
	SECTION 11: MANAGEMENT OF CHANGE	<u>69</u>70
	11a. Change Management and AVTA	
	11b. FTA Triennial Audit Preparation	
	SECTION 12: CONTINUOUS IMPROVEMENT	<u>69</u>70
	SECTION 13: TAM PLAN AND STATE OF GOOD REPAIR	<u>70</u>71
	SECTION 14: DOCUMENTATION AND RECORDKEEPING	<u>71</u>72
	SECTION 15: RECOMMENDED SAFETY ACTIONS FOR FY 2021-2022	<u>71</u>72
	15a. SMS Implementation	
	15b. SMS Implementation Plan	
	15c. SMS Implementation Organizational Linkages	
	SECTION 16: ADDITIONAL INFORMATION	<u>74</u>75
	16a. Supporting Documentation	
	SECTION 17: DEFINITIONS OF SPECIAL TERMS	<u>75</u>75
	17a. Terms	
	17b. Acronyms	
	EXHIBITS:	
	Exhibit 1: NTD 2020 Profile for AVTA	
	Exhibit 2: AVTA Organization Framework for Service Delivery and Oversight	
	Exhibit 3: Projected Safety Performance Targets for FY 2022-2023	
	Exhibit 4: SMS Four Pillars	
	Exhibit 5: The Four Components of SMS (Source: FAA)	
	Exhibit 7: AVTA – Governance and Service Delivery Model	
	Exhibit 8: AVTA Contractor Transit Operations Organization & CSO Linkage	
	Exhibit 9: AVTA Policy and Management Organization Chart FY 2022-2023	
	Exhibit 10: Process Flow for Employee Safety Reporting	
	Exhibit 11: Hazard Identification and Mitigation Process	

- Exhibit 12: Safety Hazard Type Categories
- Exhibit 13: Safety Risk Management Definition Checklist
- Exhibit 14: Risk Assessment Matrix (RAM)
- Exhibit 14a: Integrating Safety Performance Data within AVTA's *TransTrack Manager*
- Exhibit 15: Safety Assurance Orientation
- Exhibit 16: Safety Promotion Components
- Exhibit 17a: AVTA Operation & SMS Implementation Coordinating Committee
- Exhibit 17b: Systemwide Safety Committee
- Exhibit 18: SMS-Safety Culture Symbiotic Relationship
- Exhibit 19: SMS Implementation *Linkages*

APPENDICES:

- APPENDIX A: PTASP Accountable Executive Certification Checklist
- APPENDIX B: Safety Performance Guide for Goals, Objectives, and Outcomes
- APPENDIX C: Staff Safety Roles and Responsibilities Chart
- APPENDIX D: Safety Assessment and System Review Form
- APPENDIX E: Facility Safety and Security Assessment Form
- APPENDIX F: Sample Employee Hazard Identification Form
- APPENDIX G: Hazard Identification and Risk Assessment Log
- APPENDIX H: Risk Assessment Matrix (RAM) – Risk Level Assessment Chart
- APPENDIX I: Prioritized Safety Risk Log
- APPENDIX J: PTASP FY 2022-2023 Action Item List Form
- APPENDIX K: Safety Culture Self-Assessment
- ~~APPENDIX L: COVID—19 Task Force Update~~



ADOPTED: July 26, 2022/1

LAST REVISED: July 18, 2022

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

AVTA BOARD DATE OF APPROVAL: July 26, 2022

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

July 26, 2022
Date
Marvin Crist, Chairman, City of Lancaster

Certifications & Assurances

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

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

Accountable Executive Contact Information

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



AVTA Board of Directors Resolution of Adoption

RESOLUTION NO. 2020-005

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

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

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

Insert new Board resolution for 2022 -2023

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

Resolution No. 2020-005, Approving the Public Transportation Agency Safety Plan
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 PTASP attached hereto as Exhibit "1."

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

AYES: Crist, Flanagan, Mac Laren, Malhi

INAUDIBLE: Knippel, Hofbauer NOES: None

ABSTAIN: None ABSENT: None

Marvip Crist, Chairman

APPROVED AS TO FORM:

ATTEST:

Karen S. Darr, Clerk of the Board

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: *Esteban Rodriguez* Date: July 18, 2022

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



PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP) FISCAL YEAR ~~2021-2022~~ 2022-2023

PTASP PURPOSE

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

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

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

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

- Approval by AVTA’s designated Accountable Executive (AE) and the AVTA Board of Directors.
- The designation of an AVTA Chief Safety Officer.
- The documented processes of the agency’s SMS, including the agency’s Safety Management Policy and the processes for Safety Risk Management, Safety Assurance, and Safety Promotion.
- A confidential and non-punitive employee safety-reporting program.
- Establishing AVTA safety performance targets based on the classification measures established in FTA’s National Public Transportation Safety Plan (NPTSP).
- Criteria to address all applicable requirements and standards set forth in FTA’s Public Transportation Safety Program and the ~~NSP~~ 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. ~~By December 31, 2020.~~



**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)
FISCAL YEAR ~~2021-2022~~ 2022-2023
PTASP ELEMENTS**

1. TRANSIT AGENCY INFORMATION

AVTA Information

- a) **Transit Agency Name:** Antelope Valley Transit Authority (AVTA)
- b) **Transit Agency Address:** 42210 6th Street West / Lancaster, CA 93534
- c) **Name and Title of Accountable Executive:** Esteban Rodriguez, Senior Director of Operations and Planning
- d) **Name of Chief Safety Officer or SMS Executive:** Esteban Rodriguez, Director of 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

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. In January 2022, 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:

- 1,750,000 gallons of diesel fuel avoided
- \$2,362,500 Net Savings
- 41.58 million pounds of CO2 reduced

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 20th 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 2020 National Transit Database (NTD) Profile for AVTA indicates the following performance metrics:

Antelope Valley Transit Authority
2020 Annual Agency Profile

www.avta.com
42210 67th St W
Lancaster, CA 93534-7124

Mr. Martin Tompkins
(661) 729-2250

General Information				Database Information				Financial Information				Performance Measure Targets - 2021											
Urbanized Area Statistics - 2010 Census Lancaster-Palmdale, CA 116 Square Miles 341,219 Population 112 Pop. Rank out of 498 UZAs Other UZAs Served 140 Santa Clara, CA, 2 Los Angeles-Long Beach-Anaheim, CA, 0 California Non-UZA Service Area Statistics 1,200 Square Miles 349,050 Population				Service Consumption 23,870,738 Annual Passenger Miles (PMT) 1,947,200 Annual Unlinked Trips (UPT) 6,573 Average Weekday Unlinked Trips 2,974 Average Saturday Unlinked Trips 2,115 Average Sunday Unlinked Trips				Assets Revenue Vehicles 105 Service Vehicles 20 Facilities 5 Track Miles - Lane Miles -				Sources of Operating Funds Expended Fares and Directly Generated \$4,768,965 17.0% Local Funds \$11,527,627 49.3% State Funds \$0 0.0% Federal Assistance \$11,834,549 42.0% Total Operating Funds Expended \$28,161,141 100.0%				Sources of Capital Funds Expended Fares and Directly Generated \$0 0.0% Local Funds \$1,150,885 6.9% State Funds \$10,090,009 65.9% Federal Assistance \$4,542,250 27.2% Total Capital Funds Expended \$16,698,234 100.0%				Performance Measure - Asset Type - Target % not in State of Good Repair Equipment - Automobiles - 74% Equipment - Trucks and other Rubber Tire Vehicles - 23% Facility - Administrative / Maintenance Facilities - 0% Rolling Stock - AB - Articulated Bus - 0% Rolling Stock - BR - Over-the-road Bus - 68% Rolling Stock - BU - Bus - 0% Rolling Stock - VN - Van - 0%			
Modal Characteristics																							
Modal Overview Vehicles Operated in Maximum Service Mode: Directly Operated, Purchased Transportation, Revenue Vehicles, Systems and Guideways, Facilities and Stations, Other, Total Commuter Bus: 25, \$0, \$0, \$0, \$0, \$0 Demand Response: 20, \$0, \$0, \$0, \$0, \$0 Bus: 46, \$11,230,390, \$189,837, \$4,858,336, \$419,671, \$16,698,234 Total: 91, \$11,230,390, \$189,837, \$4,858,336, \$419,671, \$16,698,234																							
Operation Characteristics Mode: Operating Expenses, Fare Revenues, Capital Funds, Annual Passenger Miles, Annual Unlinked Trips, Annual Revenue Miles, Annual Revenue Hours, Fixed Guideway Directional Route Miles, Vehicles Available for Maximum Service, Vehicles Operated in Maximum Service, Percent Average Fleet Spare Vehicles, Age in Years* Commuter Bus: \$3,479,754, \$1,493,895, \$0, 12,414,552, 109,690, 786,226, 25,238, 0.0, 30, 25, 20.0%, 11.6 Demand Response: \$1,438,817, \$108,997, \$0, 392,125, 44,426, 365,543, 19,235, 0.0, 20, 20, 0.0%, 0.0 Bus: \$22,495,025, \$2,006,912, \$16,698,234, 12,870,031, 1,702,664, 2,316,360, 156,628, 0.0, 53, 46, 15.2%, 2.6 Total: \$27,413,596, \$3,601,794, \$16,698,234, 23,676,708, 1,847,206, 3,479,149, 201,691, 0.0, 103, 91, 11.7%																							
Performance Measures Service Efficiency: Operating Expenses per Vehicle Revenue Mile, Operating Expenses per Vehicle Revenue Hour, Mode, Operating Expenses per Passenger Mile, Operating Expenses per Unlinked Passenger Trip, Unlinked Trips per Vehicle Revenue Mile, Unlinked Trips per Vehicle Revenue Hour Commuter Bus: \$4.43, \$137.88, Commuter Bus: \$0.33, \$17.41, 0.3 Demand Response: \$3.94, \$74.60, Demand Response: \$3.07, \$32.30, 0.1 Bus: \$0.70, \$143.62, Bus: \$1.75, \$13.21, 0.7 Total: \$7.90, \$136.32, Total: \$1.16, \$14.08, 0.6																							
Notes: *Demand Response - Taxi (DT) and non-dedicated fleets do not report fleet age data.																							

Exhibit 1: NTD 2020 Profile for AVTA

2019 & 2020 Average Operating Performance

<u>All Modes:</u>	<u>2019</u>	<u>2020</u>
Annual Operating Expenses	\$25,258,211	\$28,161,141
Annual Vehicle Revenue Miles (VRM)	3,714,702	3,470,149
Annual Vehicle Revenue Hours (VRH)	208,043	201,101
Annual Passenger Miles (PMT)	30,689,552	23,676,738
Annual Unlinked Passenger Trips (UPT)	2,352,468	2,352,468
Vehicle Fleet by Mode:		
Commuter Buses	30	30
DAR Vans & Sedans	18	20
Local Fixed Route Buses	<u>54</u>	<u>53</u>
Total Vehicles	102	103

	<u>2019</u>	<u>2020</u>	<u>Diff.</u>
Commuter Bus Performance:			
• Operating Expense / Vehicle Revenue Mile	\$4.31	\$4.43	+\$0.12
• Operating Expense / Vehicle Revenue Hour	\$136.08	\$137.88	+\$1.8
• Operating Expense / Passenger Mile	\$0.28	\$0.33	+\$0.05
• Operating Expense / Unlinked Passenger Trip	\$14.58	\$17.41	+\$2.83
• Unlinked Passenger Trip / Vehicle Revenue Mile	0.26	0.30	+0.04
• Unlinked Passenger Trip / Vehicle Revenue Hour	9.33	7.90	-1.43

	<u>2019</u>	<u>2020</u>	
Dial-A-Ride Performance:			
• Operating Expense / Vehicle Revenue Mile	\$4.19	\$3.94	-\$0.25
• Operating Expense / Vehicle Revenue Hour	\$87.52	\$74.80	-\$12.72
• Operating Expense / Passenger Mile	\$4.26	\$4.26	-\$0.59
• Operating Expense / Unlinked Passenger Trip	\$38.84	\$32.39	-\$6.45
• Unlinked Passenger Trip / Vehicle Revenue Mile	0.11	0.10	-0.01
• Unlinked Passenger Trip / Vehicle Revenue Hour	2.25	2.30	+0.05

	<u>2019</u>	<u>2020</u>	
Local Fixed Route Performance:			
• Operating Expense / Vehicle Revenue Mile	\$8.41	\$9.70	+\$1.29
• Operating Expense / Vehicle Revenue Hour	\$123.40	\$143.62	+\$20.22
• Operating Expense / Passenger Mile	\$1.25	\$1.75	+\$0.50
• Operating Expense / Unlinked Passenger Trip	\$9.48	\$13.21	+\$3.73
• Unlinked Passenger Trip / Vehicle Revenue Mile	0.89	0.70	-0.19
• Unlinked Passenger Trip / Vehicle Revenue Hour	13.02	10.09	-2.93

/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.

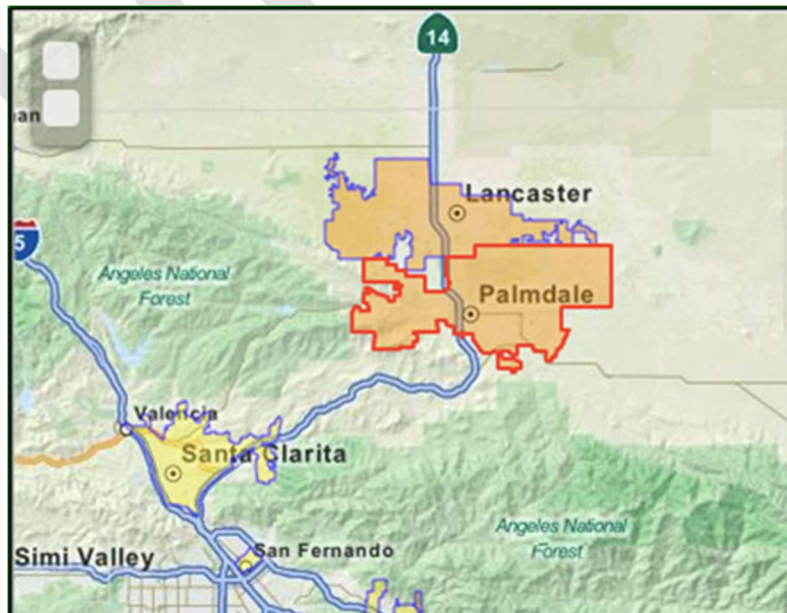
1c.1 Does the agency provide transit services on behalf of another transit agency or entity? Yes

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 2 illustrates the delivery structure:

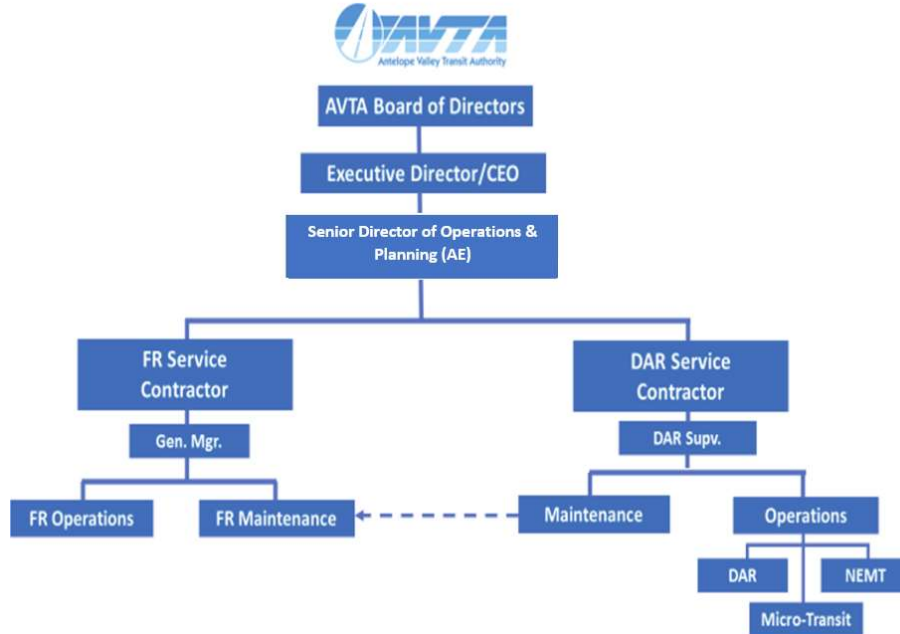


Exhibit 2: AVTA Organization Framework for Service Delivery and Oversight

2. PLAN DEVELOPMENT, APPROVAL, AND UPDATES

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

2b. Signature by the Accountable Executive

Esteban Rodriguez

Esteban Rodriguez
Senior Director of Operations & Planning of AVTA
Date: 07/18/2022

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

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

i. Name: AVTA Board of Directors
Date of Approval: July 26, 2022

2c.2 Relevant Documentation:

- i. **Board Resolution No.** No. 2022-010
- ii. **Resolution Title:** Public Transportation Agency Safety Plan
- ii. **Location:** Clerk of the AVTA Board
- iii. **Current AVTA Board Members:**
 - a. Chairman Marvin Crist, City of Lancaster
 - b. Vice Chair Dianne Knippel, County of Los Angeles
 - c. Director Michelle Flanagan, County of Los Angeles
 - d. Director Steven Hofbauer, City of Palmdale
 - e. Director 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

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

Date: 07/18/2022

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 22, 2021~~ July 31, 2022

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

Footnote for Subsection 2c

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

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

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

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

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

The PTASP will be updated and readopted on an annual basis. ~~Two (2) months before~~ 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 ~~will undergo monthly review 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 **2022-2023** 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 2022-2023 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 2022-2023 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 2022-2023 PTASP, AVTA and its contractors will form and implement the SSC (See Exhibit 17b.) 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 the 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 as 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 and State Departments of Transportation (DOT) to establish safety performance targets (SPTs) to address the safety performance measures (SPMs) identified in the National Public Transportation Safety Plan (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. Basis for AVTA Safety Performance Targets

The PTASP ~~2021-2022~~ 2022-2023 Safety Performance Targets are based on the loss runs (histories) of AVTA's fixed-route service contractor over a five (5) year period that were provided by the contractor's insurer, **AVTA Transtrack performance reporting system, and reports to the National Transit Data (NTD) system**. The loss runs for the period examined include the DAR losses as well. Losses included claims due to vehicle collisions and operational incidents, **as well as** employee workers' compensation claims.

In the future, data sources, other data will be reviewed to establish the next setting of safety performance targets, including, but not limited to, close call reporting, employee safety reporting, reports of practical drift from policies & procedures, accident investigation reports, safety data trend analysis, and operation's accident logs of all safety events insurance claims are made and those claims not made. The available safety performance data is provided in the form of metrics required by the FTA and the National Public Transportation Safety Plan. The effort to establish the PTASP SPTs for FY 2021-2022 indicates the need for AVTA to **fully implement its Transtrack data management system to support safety reporting** ~~develop a uniform safety performance database and reporting format used by~~ for both fixed route and dial-a-ride/micro transit contractors. **This effort is a recommended action for 2022-2023.**

3b. Summary of Loss Runs

From 2014-2019, AVTA's contractors for fixed-route and dial-a-ride services experienced various vehicle collisions, onboard and passenger stop incidents, and employee injury claims. The review of the contractor's loss runs did not include a detailed examination or sampling review of accident and incident reports. The insurance lines of coverage that were reviewed were limited to auto liability, auto liability umbrella and workers' compensation. The types of events that were covered included bodily injuries, collisions, property damage, and employee injuries. The existing safety data formats provided by the contractors did not adequately separate or align with the FTA-required safety performance metrics illustrated above and in Exhibit 3 below. **Given the conversion of safety performance data to AVTA's Transtrack data management system and the onboarding of a new fixed-route service contractor, the safety performance for 2022-2023 remain the same. The safety performance targets will be updated as the Transtrack system generates up-to-date safety data in 2022-2023 and forward.**

Mode	Total Fatalities	Fatalities/1 00k VRM	Total Injuries	Injuries/ 100k VRM	Total Safety Events	Safety Events/100 k VRM	Total System Reliability Failures	System Reliability Failures <i>Footnote /9</i>	Annual VRM Projected for 2021
Local Fixed Route (LFR)	5	0.02 <i>Footnote /5</i>	N/Av <i>Footnote /1</i>	N/Av	N/Av	N/Av	1,416	12,000	2,454,768 <i>Footnote /2</i>
Commuter Bus (CB)	0	0.0	N/Av	N/Av	N/Av	N/Av	500	11,000	1,055,118 <i>Footnote /3</i>
Both Fixed Route Modes	5	0.14 <i>Footnote /6</i>	76	2.2 <i>Footnote /7</i>	147	4.2 <i>Footnote /8</i>	1,916	9,200	3,509,886 <i>Footnote /4</i>
Dial-a-Ride	0	0	0	0	1	0.2 <i>Footnote /2</i>	91	6,000 <i>Footnote /9</i>	507,937 <i>Footnote /1</i>

Exhibit 3: Projected Safety Performance Targets for FY 2022-2023

Footnotes:

/1 N/Av = Data not available in desired format.

/2 Expected VRM for 2021-2022 for LFR: Using 2019 NTD Profile VRM = 2,269,571 \square assuming for 2021-2022 using NTD Profile VRM = 2,269,571 + 4% projected = 2,360,354 VRM (w/o COVID-19 service level) plus 2021 NTD Profile VRM = 2,360,354 + 4% projected = 2,454,768 VRM for FY ~~2021-2022~~ 2022-2023.

/3 Expected VRM for 2021-2022 for CB: 2019 NTD Profile VRM = 975,516 - assuming 2021-2022 NTD Profile VRM = 975,516 + 4% projected = 1,014,537 VRM (w/o COVID-19 service level) plus 2021 NTD Profile VRM = 1,014,537 VRM + 4% projected = 1,055,118 VRM for FY ~~2021-2020~~ 2022-2023.

/4 Expected VRM for both FRs = 2,454,768 VRM + 1,055,118 VRM = 3,509,886 VRM.

/5 Fatalities for LFR = 5 Fatality x 100,000 VRM = 500,000 / 2,454,768 = 0.004 fatalities/1000,000 VRM.

/6 Fatalities for both FRs = 1 Fatality x 100,000 VRM = 100,000 / 3,509,886 VRM = 0.003 fatalities/1000,000 VRM

/7 Injuries for both FRs = 76 Injuries x 100,000 VRM = 7,600,000 / 3,509,886 VRM = 2.2

/8 Safety Events for both FRs = 147 Safety Events x 100,000 = 14,700,000 / 3,509,886 VRM = 4.2

/9 System Reliability Failures (breakdowns & road calls) = Mean distance between major mechanical breakdowns for each mode as failures/VRM:

(a) LFR - 2,454,768 VRM / (1,416/5 Average Breakdowns per Year or 283/Year) = 12,092 Mean VRM/Breakdown = 12,000 VRM.

(b) CB - 1,055,118 VRM/500 Breakdowns / 5 Years or (100/Year) = 10,552 Mean VRM/Breakdown = 11,000 VRM.

(c) Both FRs – 3,509,886 / (1,916/ 5 Year Average or 383) = 9,159 VRM/Breakdown = 9,200 VRM.

(d) DAR - 507,937 VRM / 91 Breakdowns in 1 Year = 5,582 VRM/Breakdown = 6,000 VRM.



Local Fixed-Route



Local Fixed-Route



Commuter Bus



DAR/Micro Transit/NEMT

3c. 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). The data employed in providing safety performance targets for the PTASP relied solely on insurer loss runs, which are claims made. However, the data does illustrate a generalized portrait of the last five (5) years of safety performance and provides a basis for setting safety performance targets for FY ~~2021-2022~~ 2022-2023.

Transit Safety Performance Measures

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

* Collisions, derailments, fires, or life safety evacuations

- Fatalities:** Total number of fatalities reported to NTD and rate per total vehicle revenue miles (VRM) by mode.

Local Fixed-Route	<u>5</u>
Commuter Bus	<u>0</u>
Dial-A-Ride	<u>0</u>
Microtransit	N/Av
Non-emerg Medical	N/Av
All Modes	<u>5 (2% of all incidents) & 0.14 / 100k VRM</u>
- Injuries:** Total number of injuries due to collisions and incidents, including workers' compensation claims at a rate per total VRM by mode.

Local Fixed-Route	} n/a-N/Av
Commuter Bus	
Dial-A-Ride	76 combined FR
Dial-A-Ride	0 (based on 1 year of data)
Microtransit	N/Av
Non-emerg Medical	N/Av
All Modes	76 (33% of all incidents) & 2.2 / 100k VRM
- Safety Events:** Total number of safety events, which includes collisions, crime events, emergencies, and property damage at a rate per total VRM by mode.

Local Fixed-Route	} n/a-N/Av
Commuter Bus	
Dial-A-Ride	n/a-147 combined FR & 0.2 / 100k VRM
Dial-A-Ride	n/a-1 (based on 1 year of data) & 4.2 / 100k VRM
Microtransit	N/Av
Non-emerg Medical	N/Av
All Modes	147 (64%) - 148 (65% of all incidents)
- System Reliability:** Mean (average) distance between major mechanical failures by mode

Local Fixed-Route	n/a-12,000 VRM
Commuter Bus	n/a-11,000 VRM
Non-emerg Medical	N/Av

- **Microtransit** –N/Av
- **Dial-A-Ride** 6,000 VRM

Total for all categories = 228 Events (100%) 5 years of data (2014-2019)

- Performance targets for a risk reduction program at 49 U.S.C. § 5329(d)(4) are not required until FTA has updated the National Public Transportation Safety Plan to include these performance measures. However, nothing precludes an AVTA from implementing a risk reduction program in advance and updating it once the performance measures are updated.

3d. Safety Performance Target Coordination

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

- **State:** California State Department of Transportation (Caltrans):
Division of Rail and Mass Transportation
POB 942874, MS 39
Sacramento, CA 94274-0001
(916) 654-8811
Email: hq.drmt@dot.ca.gov

Date: ~~October 21, 2020~~ **September 1, 2022**

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

Date: ~~October 21, 2020~~ **September 1, 2022**

3d. Footnotes

A safety performance target is a quantifiable level of performance or condition expressed as a value for the measure related to safety management activities to be achieved within a set time (49 C.F.R. § 673.5). A safety performance measure is a quantifiable indicator of performance or condition that is used to establish targets related to safety management activities, and to assess progress toward meeting the established targets (49 C.F.R. § 673.5). Transit providers may choose to establish additional targets for the purpose of safety performance monitoring and measurement.

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



Exhibit 4: SMS Four Pillars

The essential idea of SMS is to provide a systematic approach to achieving acceptable levels of safety risk in transit operations and strengthening an organization’s safety culture. All four (4) pillars work in conjunction with each other to support SMS and the objectives of acceptable risk. Exhibit 5 illustrates the four (4) SMS components and their SMS principles. While not indicated in the exhibit, SMS also includes the intangible, but always critical, aspect of safety culture. The goal of a strong safety culture within AVTA is discussed in Section 10.

The Four SMS Components

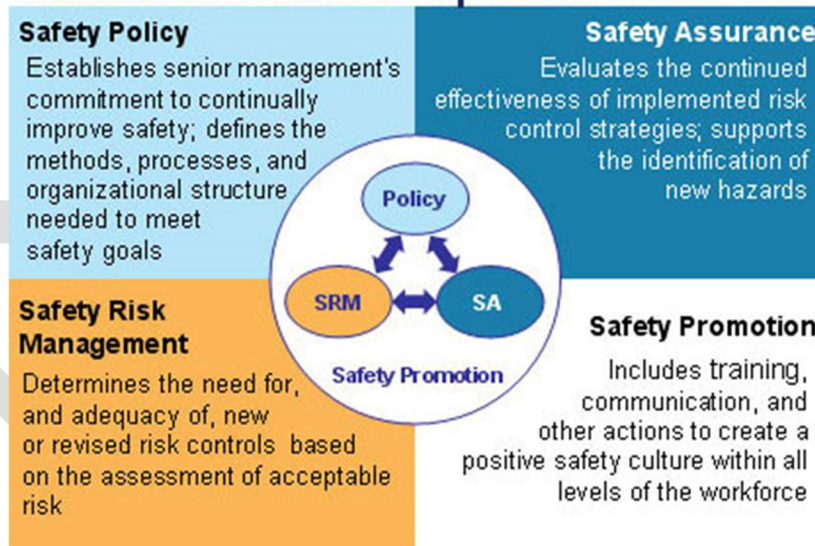


Exhibit 5: The Four Components of SMS (Source: FAA)

4c. SMS Principles

The sub-sections that follow will describe the PTASP requirements and strategies that AVTA will follow and intimate as a part of the implementation of SMS. The strategies being offered follow the SMS principles illustrated above in Exhibit 5.

SMS is structured to help transit agencies, such as AVTA, strategically apply agency resources to address operational risks and ensure that the agency has the organizational infrastructure to support

safety decision-making at all levels regarding the assignment of resources. This includes the use of service contractors to manage and deliver day-to-day service.

4d. SMS and the PTASP

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

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

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

4e. SMS implementation

Refer to Section 14: Documentation and Recordkeeping and Section 15: Recommended Safety Actions for FY ~~2021-2022~~ 2022-2023.

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.

5a.1 Recommended AVTA SMPS



AVTA Safety Management Policy Statement

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

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

All levels of AVTA and service contractor management and all frontline employees are accountable for the delivery of this 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 ~~an~~ 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 ~~the transit agency's~~ AVTA's safety management processes and activities **or those contractor safety processes aligned with AVTA's PTASP.**
- Ensure that all ~~transit~~ 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 ~~the transit system's~~ 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 ~~our~~ AVTA's transit mission are delivered **safely** and **that comply with meet our 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.

Signature

Martin [J. Tompkins](#), AVTA Executive Director/CEO

July 26, 2022

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, ~~and dial-a-ride~~, and **microtransit services** are operated by a private company under a service agreement with AVTA (Exhibit 7). AVTA serves as the **contractee**, and the private operator serves as the **contractor**. Employees of the fixed-route contractor serve the daily operation through a collective bargaining agreement (CBA) between the contractor and the labor union. Employees of AVTA represent the accountable and responsible transit agency 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.

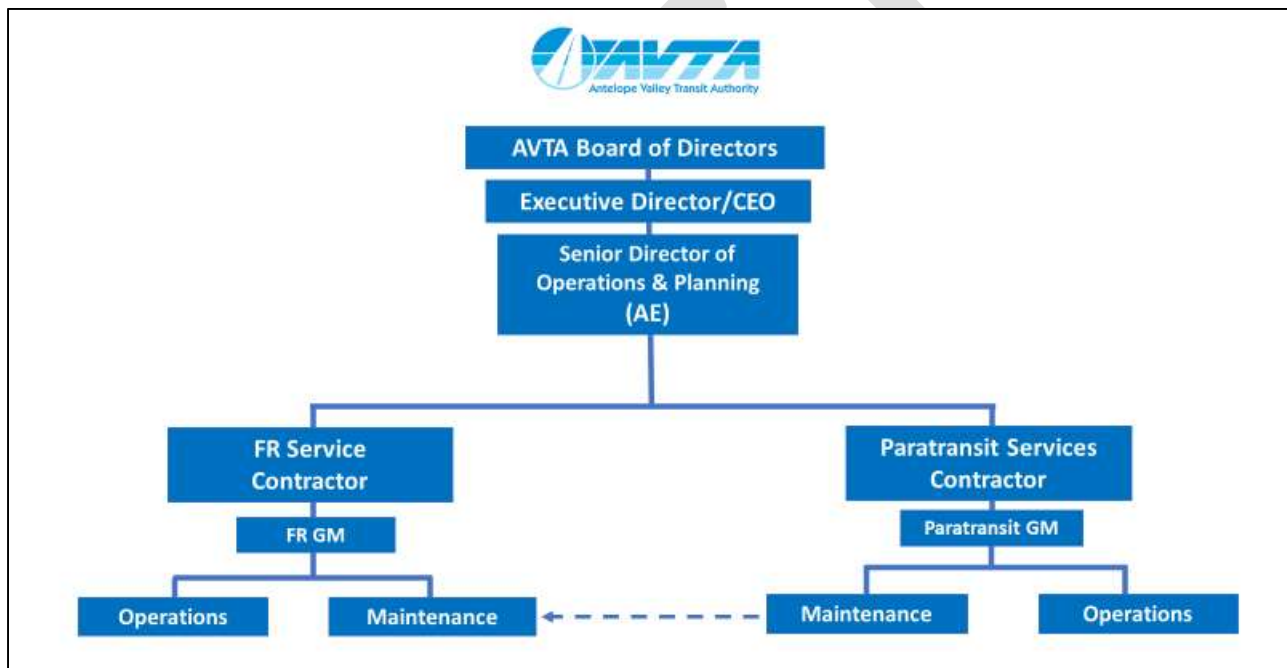


Exhibit 7: AVTA – Governance and Service Delivery Model

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

~~The existing AVTA organizational 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 within each contractor organization and mode of service by the symbol (←A→), to provide direct liaison, coordination, and oversight of contractors' operational safety management and SMS implementation.~~

5c.1 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 7: AVTA – Governance and Service Delivery Model) is the designated Accountable Executive (AE) for the PTASP. As AE, the position will hold the following authorities, accountabilities, and responsibilities under this agency safety plan:

- Reports directly to the **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 ~~and~~ 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. ~~In the case of AVTA, the AE will also serve as CSO.~~

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 7.

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 AVTA CSO1 and SMS Accountable Executive Serving as CSO1

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

- Assures that the intentions and initiatives of the AVTA Safety Management Policy Statement (~~Page 27-28~~) 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 ~~Safety or~~ 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 ~~and Safety~~ 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

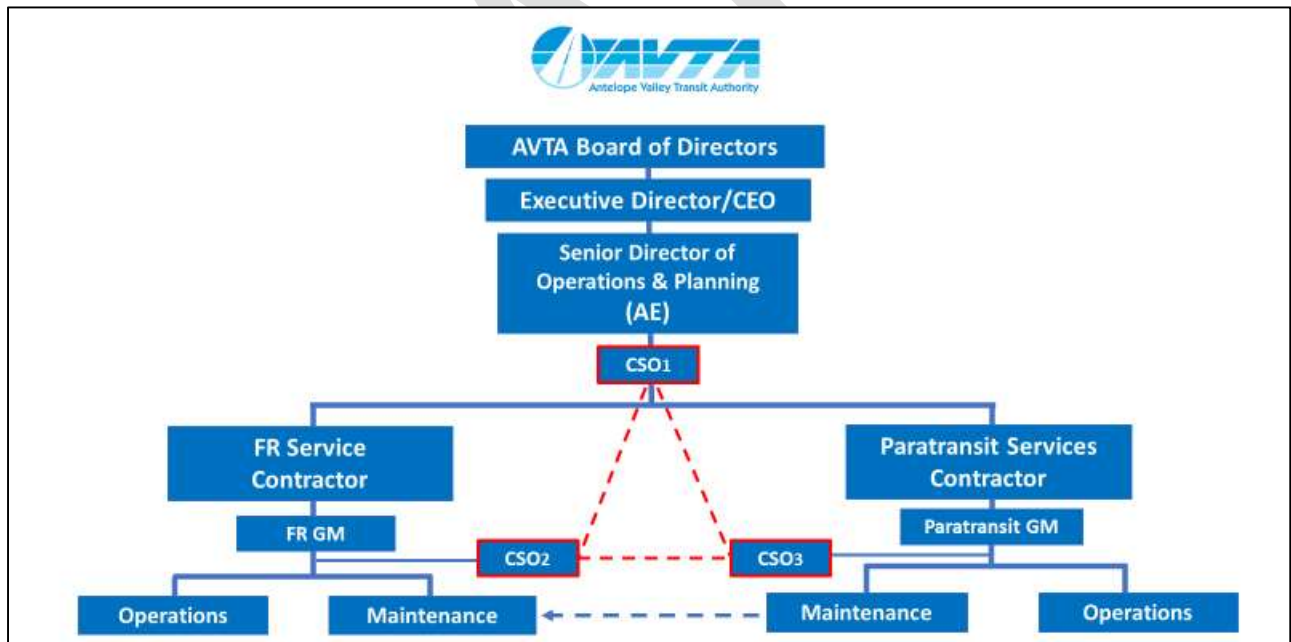


Exhibit 8: AVTA Contractor Transit Operations Organization & CSO Linkage

As illustrated in **Exhibit 8**, 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 9: AVTA FY 2022-2023 Organization Chart illustrates the positions held by the AVTA Accountable Executive and AVTA Chief Safety Officer. Support for the AE/CSO1 in overseeing the implementation of the PTASP and SMS is provided by the operations analyst, the project manager, and the security officer.

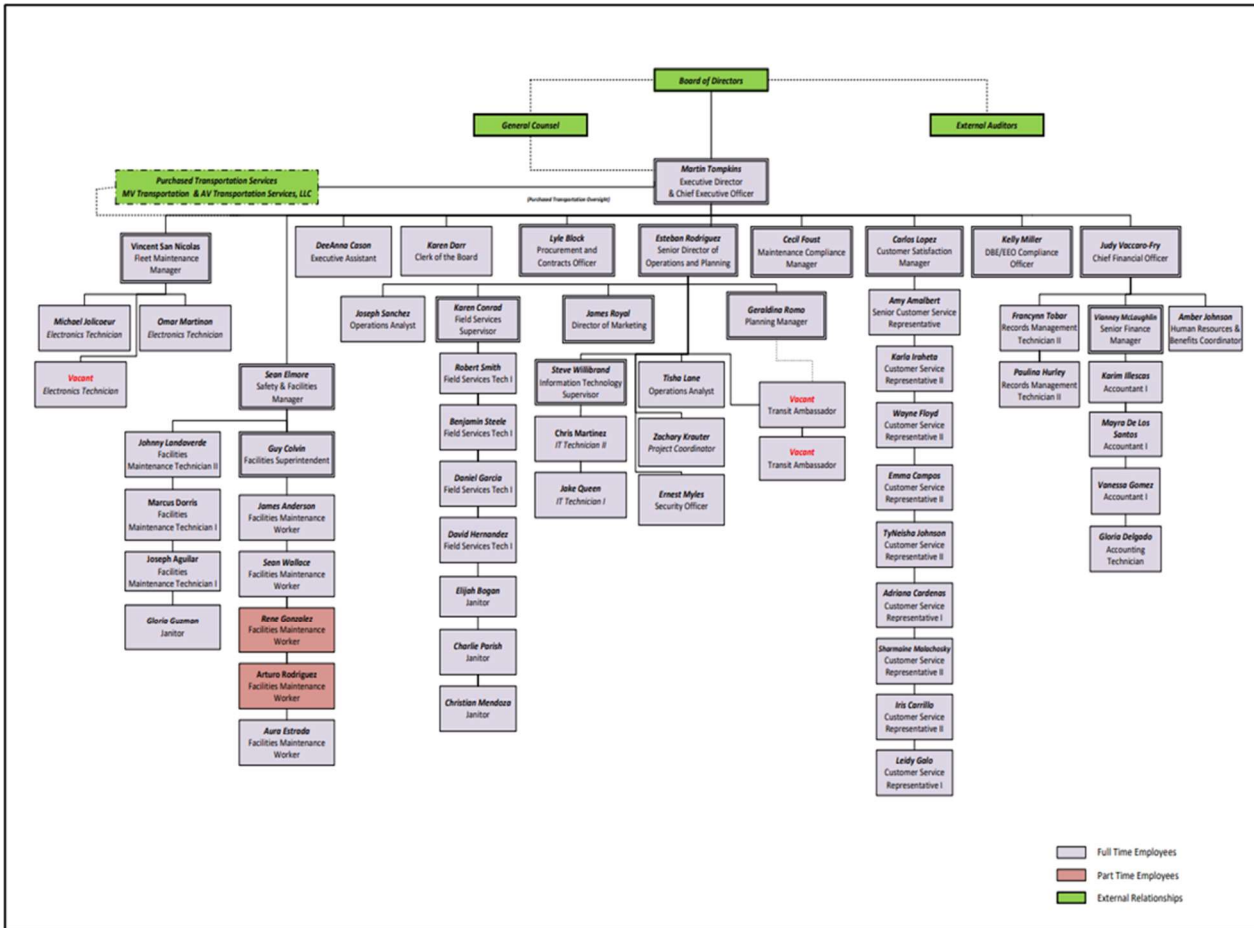


Exhibit 9: AVTA Policy and Management Organization Chart FY 2022-2023

5d. Agency Leadership and Executive Management

Agency leadership and executive management also have authorities and responsibilities for the overall SMS implementation and operation of AVTA’s SMS under this PTASP. As illustrated in Exhibit 8: AVTA Organization Chart, AVTA leadership and executive management include:

- Executive Director/CEO
- 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 contractor include:

A. AVTA

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

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

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

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

- Participate as members of **AVTA's Operations and SMS Implementation Coordinating Committee, and/or AVTA's Systemwide Safety Committee**, and/or the contractor's safety committee. (~~See Section 9c: SMS Coordinating and Safety Committee.~~)
- Complete training on *SMS Awareness* and AVTA's PTASP contents.
- Provide documented recommendations for the annual updates to the PTASP.
- Oversee and support management of day-to-day operations and safety in their individual departments and work groups/shifts.
- Recommended modification of policies & procedures functional areas consistent with system-wide implementation of the SMS, as necessary.

- Provide subject matter expertise by department specialty to support implementation of the SMS as requested by the AE or CSO1 for AVTA and GM or CSO2 for the contractors, including SRM activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

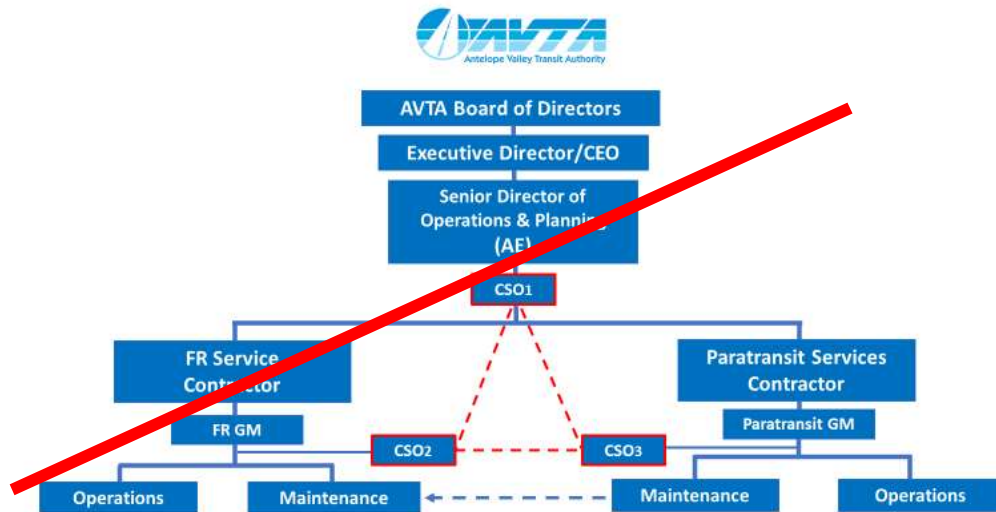


Exhibit 9: Contractor AVTA Transit Operations Organization & CSO Linkage

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 10: Process Flow for Employee Safety Reporting

The AVTA process of the Employee Safety Reporting Program is illustrated in Exhibit 10: Process Flow for Employee Safety Reporting.

In the above exhibit, either an AVTA employee or an employee of the service contractor may make a confidential safety report as to any observed or experienced unsafe condition or unsafe act. The program allows for employee reports to be received by CSO1 for AVTA and by CSO2&3 for the **respective** contractor. ~~Both~~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 ~~contractor's~~ **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 ~~happenings~~ 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 ~~happening~~ 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 2: SAFETY RISK MANAGEMENT

The Safety Risk Management Process is the second foundation or pillar of SMS. Safety risk management is a process for identifying hazards and analyzing, assessing, and mitigating safety risks. This process enables AVTA and its service **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 11:

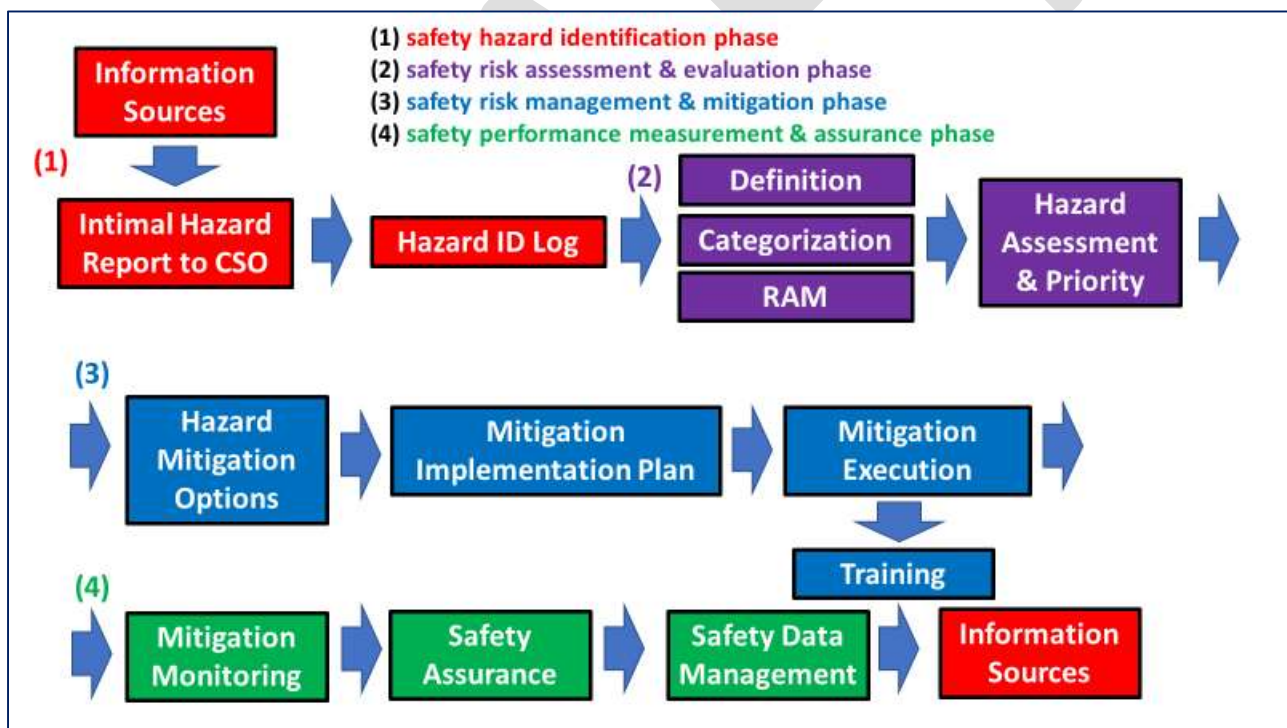


Exhibit 11: Hazard Identification and Mitigation Process

7a. Phase 1- Safety Hazard Identification

Processes to identify hazards and consequences of the hazards.

- ~~The~~ AVTA's service **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 11).

- Two useful methods to identify hazards are (1) the system-wide safety assessment process for all the functional areas of the transit system and the facility safety and security assessment process. The Appendix contains sample forms for these two safety assessment processes. /1



AVTA Lancaster Management and Operating Facility

- The service **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. The hazard and consequences identification processes are illustrated in Exhibit 11: Hazard Identification and Mitigation Process.
- 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

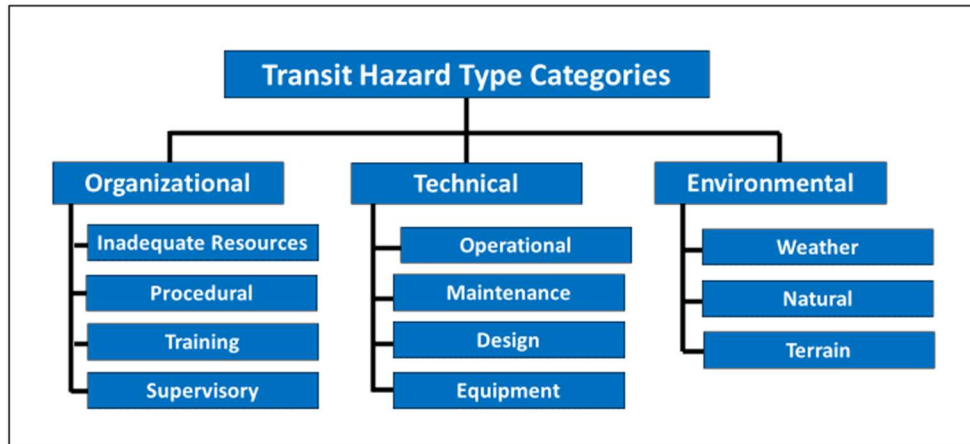


Exhibit 12: Safety Hazard Type Categories

The Hazard Identification and Mitigation Process, which may be employed by AVTA, and the contractor is illustrated in Exhibit 11. The process allows a CSO to categorize an identified hazard and assign investigation and fact gathering from the most appropriate operating department or from the functional area most responsible of the category of the identified hazard.

7c. Phase 2 – Hazard and Safety Event Definitions

A Safety Risk Management Definition Checklist (Exhibit 13) can be used to determine if the condition is a hazard (i.e. condition that can cause a loss) or an actual safety event (e.g. accident, collision, or incident) that has already occurred. Determining the definition or category of a situation or happening is important to how a CSO addresses it under SMS and whether actions are reactive or proactive.

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

Exhibit 13: Safety Risk Management Definition Checklist

With the Safety Hazard Type Categories chart (Exhibit 12) and the Safety Risk Management Definition Checklist (Exhibit 13), the CSOs can determine the most appropriate category for the reported hazard and seek input on existing mitigations and priorities, as well as, proposals for additional solutions and options from the most responsible department, which consists of the most 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 14).

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 ~~current internal~~ safety committee, the ~~contractor~~ general manager, ~~the CSO~~~~2~~ ~~the respective CSO~~ can establish the probable level of risk for any identified hazard with the use of a RAM such as Exhibit 14 below or Appendix H /1, which measures consequences for people, transit assets, the environment and the agency's reputation. A RAM can also address four (4) FTA safety performance standards: fatalities, injuries, safety events and system reliability.

The ~~CSO~~~~2~~ ~~and the~~ contractor's ~~CSO~~ ~~and internal~~ safety committee should consider all hazards identified by employees, OSHA inspections, peer reviews, insurers, the Highway Patrol ~~inspections~~, and other subject matter experts (SME) and prioritize the hazards by the level of risk being posed. Prioritizing for action and mitigation should be assigned a timeline along with identifying lead individuals to implement mitigation. The Prioritized Safety Risk Log /1 provides a format for prioritizing hazards and risks and a communication format with the system wide SMS Coordinating and Safety ~~Committees~~.

7d Footnotes:

/1 See Appendix H: Sample Risk Assessment Matrix.

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

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

Exhibit 14 Risk Assessment Matrix (RAM)

7e. Phase 3 – Safety Hazard and Risk Mitigation

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

The service 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, CTA, 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, as discussed above in Section 7: Safety Risk Management.

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

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

AVTA will utilize its current software, Transtrack Manager (Exhibit 14A), to include safety performance data and consolidate the safety data with other transit system information sources for a very effective approach to managing safety data and performing safety analytics.

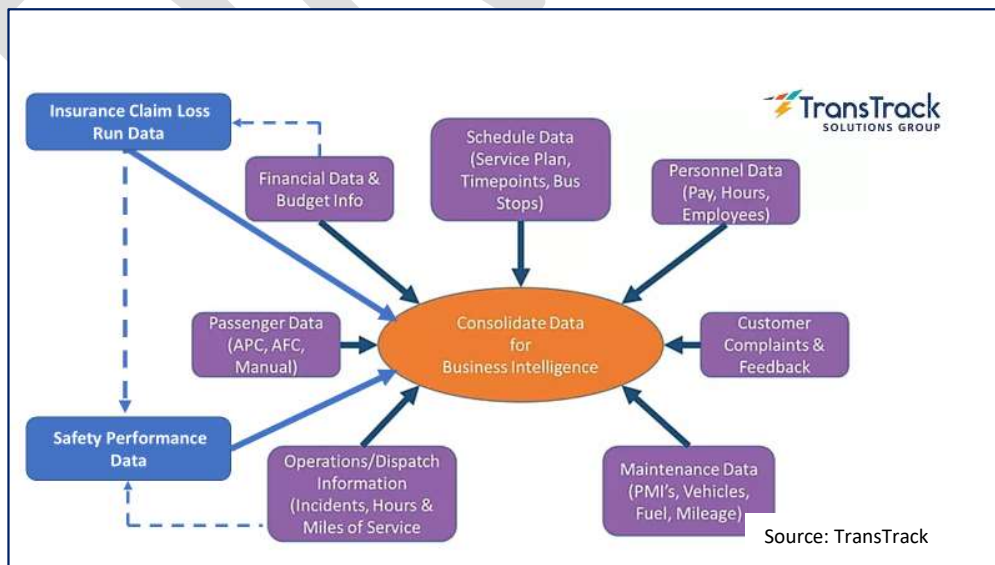


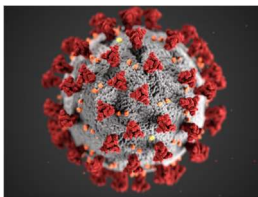
Exhibit 14A: Integrating Safety Performance Data within *Transtrack Manager*

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

- Date of Report
- Date of Event
- Time of Event
- Injury Alert (Y/N)
- Collision Types
 - Other Vehicles
 - Fixed Objects
 - Pedestrians
 - Bicyclists
 - Close Call
 - Other
- FR Route #
- Vehicle #
- Transportation Mode
 - Local FR
 - Commuter
 - 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 Exposure to Infectious Disease Strategies



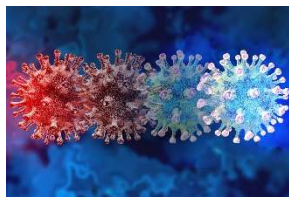
Covid-19 Start



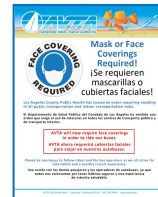
Full PPE Measures



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 2022-2023 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 in 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, Los Angeles County Public Health 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
 - Continuance of personal hygiene methods
 - Physical distancing
 - 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 vaccinations with CDC, L.A. Public Health, and AVTA policy guidance



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 2021-2022 in terms of FTA's required indicators: fatalities, injuries, safety events and system reliability (failures of revenue vehicles to pull-out of the bus yard for service as scheduled).

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

Such information is of course developed after safety adverse occurrences have taken place, in other words, the data and supporting information are lagging indicators. It is recommended that AVTA and the contractor attain safety performance data through a combination of lagging (reactive) and leading (proactive) indicators that can help the transit system be proactive and predictive (Refer to Exhibit 15: Safety Assurance 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 conducted
- Number of new hires receiving full training
- Safety reviews or audits completed
- Rate of incomplete pre-trip checks
- Safety inspections conducted
- Driver turnover rate
- PMI backlog

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

- Information from accident reporting
- Accident investigation
- Traffic law enforcement reports
- Insurance claims
- Coaching and retraining
- Discipline
- Repairs and replacement

FTA's objective for adopting SMS as the approach to improving transit safety is to encourage transit agencies to be more proactive and eventually predictive in approaching potential hazards, developing mitigations, and improving overall safety. Exhibit 15 illustrates the desired direction that AVTA should also embrace.

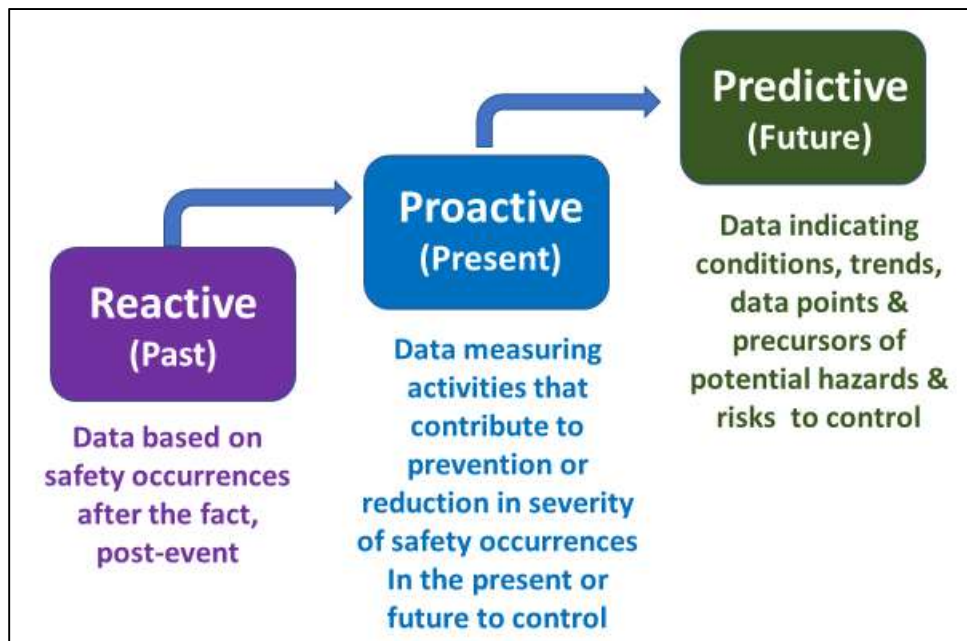


Exhibit 15: Safety Assurance Orientation

8b. Complying with Procedures for Operations and Maintenance

The monitoring of the transit system for compliance with procedures for operations and the established maintenance is currently performed through contract administration and management based on agreement and scope of work between AVTA and the service contractor. Contact 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 9: AVTA Organization Chart](#) in Section 8. They include the [Senior Director of Operations and Planning](#) [Chief Operating Officer](#) (also serving as AE/CSO1), the Contracts and Procurement Officer, the [Chief Financial Officer](#) [Director of Finance and Administration](#), and the Customer Satisfaction Supervisor.

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

- The COO is the primary administrator that assures compliance with the service contract with the contractors. The operating contract's scope of work, provisions and standards establish the baseline for management, operations, maintenance, and safety-related compliance. Added to these provisions are those required or suggested in the adopted PTASP, including safety oversight by the contractors CSO2 and implementation of SMS on an operational level.
- Monthly reporting on contract performance are included in the provisions and scope of work. Safety performance and SMS implementation reporting will be included.
- A regular monthly performance review between the COO and the service contractors provides an extended review of safety performance, identification of hazards and risks and approaches to mitigation.
- On a monthly basis, the service contractors should review and update the various safety related logs including the following:
 - Employee hazard identification forms
 - Collision / Incident / Event Report Logs

- Pre- and post-trip inspections reports
- Vehicle operator defect reports and corresponding maintenance department work orders
- PMI, repairs, and quality control reports
- Road call reports, including System Reliability reports, where a vehicle is unable to make pull out for scheduled revenue service
- Customer and public safety complaints
- Dispatch logs for safety events and breakdowns
- Insurance claims
- Employee safety reporting
- Close call reporting
- The service contractors should also monitor *practical drift* (taking short-cuts) as applied to established contractor operating policies and procedures.
- The service contractors should periodically audit pre-trip and post-trip inspection reports, defect reports and corresponding maintenance work orders to assure that procedures are being complied with, as well as, providing senior management and maintenance management the information needed for achieving the “state-of-good-repair” (SGR) objective of the AVTA Transit Asset Management (TAM) Plan.
- The service contractors should 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 SMS Coordinating **Safety** Committee may also be charged with this responsibility as well.

Monitoring for ineffective mitigation activities and approaches **should** include:

- **Performing-Monitoring** mitigation performance by the CSOs, **including documented** observations and recommendations **for the SMS Coordinating 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 accident, incident, and insurance claim data due to the mitigating approach.
- Conducting safety assurance activities to determine if new safety issues were created by the implemented mitigation.

8d. Tracing Safety Event Causal Factors

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

AVTA and its service contractor will employ methodologies, such as a root cause analysis process to trace the origins of a safety occurrence (e.g., FTA's categories: fatality, injury, safety events and system reliability). AVTA will utilize the appropriate level of the root cause analysis method to (1) determine what happened; (2) determine why it happened; and (3) determine what to do to reduce the likelihood that it will happen again.

Root Cause Analysis Process for AVTA Safety Occurrences

- Step One: Define the Event
 - What happened, when, where, with whom?
 - What were the specific symptoms or precursors of the event or problem?
- Step Two: Collect Data
 - What event reporting and data exists?
 - Has the event occurred before?
 - How long have such events been occurring?
 - What impacts, losses, damages, consequences occurred?
- Step Three: Identify Possible Causal Factors
 - What sequence of events lead to the event(s)?
 - What pre-conditions, precursors, observations occurred just before the event?
 - What other conditions allowed the event or problem to occur?
 - What other problems surround the occurrence of the central problem?
- Step Four: Identify the Root Cause(s)
 - Why does the causal factor exist?
 - What employee behaviors and/or operating conditions were observed?
 - What is the real reason the event or problem occurred?
- Step Five: Recommend and Implement Solutions

8e. Identifying Causal Factors

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

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

Defining the Event

- Review Exhibit 12: Safety Hazard Type Categories and Exhibit 13: Safety Risk Management Definition Checklist to categorize an event or identified hazard and to define the event or safety problem.
- Establish the what, who, where, when and how of the event or safety problem.

Collecting Data and Information

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

Identifying Possible Causal Factors

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

8f. Monitoring Internal Safety Reporting

AVTA and its contractor will monitor safety information reported through internal safety reporting programs within the organizational structure ("chain of commands") of both entities. Safety reporting from personal observations, inspections, reviews, field audits and complaints coming from AVTA employees will be referred to AVTA's CSO1. CSO1 will then follow-up with the contractor-side CSO2 for discussions and action.

Employee safety reports will be received by the CSO2 and routed directly to the general manager. The service **agreement** provisions and scope of work provide for such internal reporting. The CSO2 will confer with CSO1 and coordinate follow-up action if required. Exhibit 10: Process Flow for Employee Safety Reporting illustrates this process.

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

- Contractor CSO2 reviews all safety related reports and logs, while also obtaining employee and other input or details of a safety event.
- Contractor CSO2 updates running accident/incident logs and provides updated information to the contractor's location general manager.
- General Manager and/or CSO2 provide the COO in written monthly reports and monthly performance reviews, which include observations of internal safety reporting.
- Service contractor's safety/SMS Committee also review select internal reporting information.

9. SMS PILLAR IV. SAFETY PROMOTION

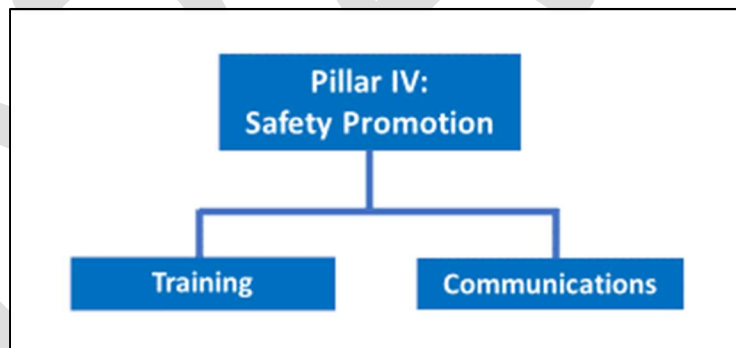


Exhibit 16: Safety Promotion Components

9a. Competencies and Training

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

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

training who have safety oversight responsibilities. Adequate safety training means full competency in safety management.

Required Safety Training for Safety Oversight

The PTASP Final Rule requires that anyone with direct safety oversight of the transit system be qualified to oversee, implement, and manage execution of the PTASP and its SMS. To achieve this objective, both CSOs and others designated with safety oversight responsibilities **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
- Conflict/Aggression Management
- Tailgate Pre-Pull Out Safety Meetings

Fleet Maintenance:

- OSHA requirements for industrial safety and compliance
- Emergency and Safety Management Overview.
- Facility Safety and Security Inspections
- Facility and Surrounding Area Hazards
- Maintenance Shop and Bus Yard Incidents
- Facility Structure and Infrastructure Incidents
- Fire Incidents
- Flood Incidents
- Hazardous Material Incidents
- Biohazard Spill Incidents
- Intentional Criminal Acts
- **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

General Safety and Security:

- **AVTA PTASP overview**
- Safety Management Systems (SMS) Awareness (new)
- Driver responsibilities under SMS (new)

- Hazard identification and reporting [process](#)
- ~~COVID-19 pandemic risk management~~ [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 procedures
- Driver distractions and risks
- Driver rushing risks
- Bus stops hazards
- Fare disputes and confrontations
- Safety event/accident investigation
- Importance of accident and incident reporting
- Crash and incident evidence preservation
- Accident and emergency policies and procedures
- Drivers serving as first responder (new)

All Employee SMS Training

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 use of 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 effecting 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 over-reaction, setting boundaries).
 - ii. Risk assessment analysis for the confrontation types by service mode (e.g., fare evasion or disputes, violations of AVTA 's Code of Conduct [including drug use], wheelchair securement, and service animals), addressing homeless.
 - 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 effected by system changes will also take place under AVTA's communication efforts.

9b. Safety Communications

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

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

Safety Direction and Safety Performance

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

- Safety management written updates on safety performance, the mission statement and safety reminders throughout the two entities, whether in electronic memorandums or employee newsletters.
- Safety management recognition of those employees responsible for positive safety performance, including, but not limited to, safety incentive programs, management verbal recognition, safety meeting mention, visual and graphic notifications.
- **Executive and safety management of both AVTA and 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 casual encounters or when “walking the floor.”**
- Leading by example by all management and staff.
- Safety awareness campaigns internally and externally focused on specific hazards, such as slips, trips and falls; running after the bus; illness and pandemic safety; good housekeeping; using the right tools for the job; safety customer service and interface; adjusting and using the bus mirrors (pre-trips); or bus yard safety.
- Collaboration between AVTA and the **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 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 of decals or signage as safety reminders within the interior of buses.
 - Promoting safety and security by wearing of safety vests while driving or assisting customers.
 - Providing customers with advertising specialties that promote safety and security.
 - Providing pandemic warning or control signage.

9c. AVTA Operations Committee

AVTA management employs an operations committee to monitoring 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 17a: AVTA Operation and SMS Implementation Coordinating Committee illustrates the committee structure.

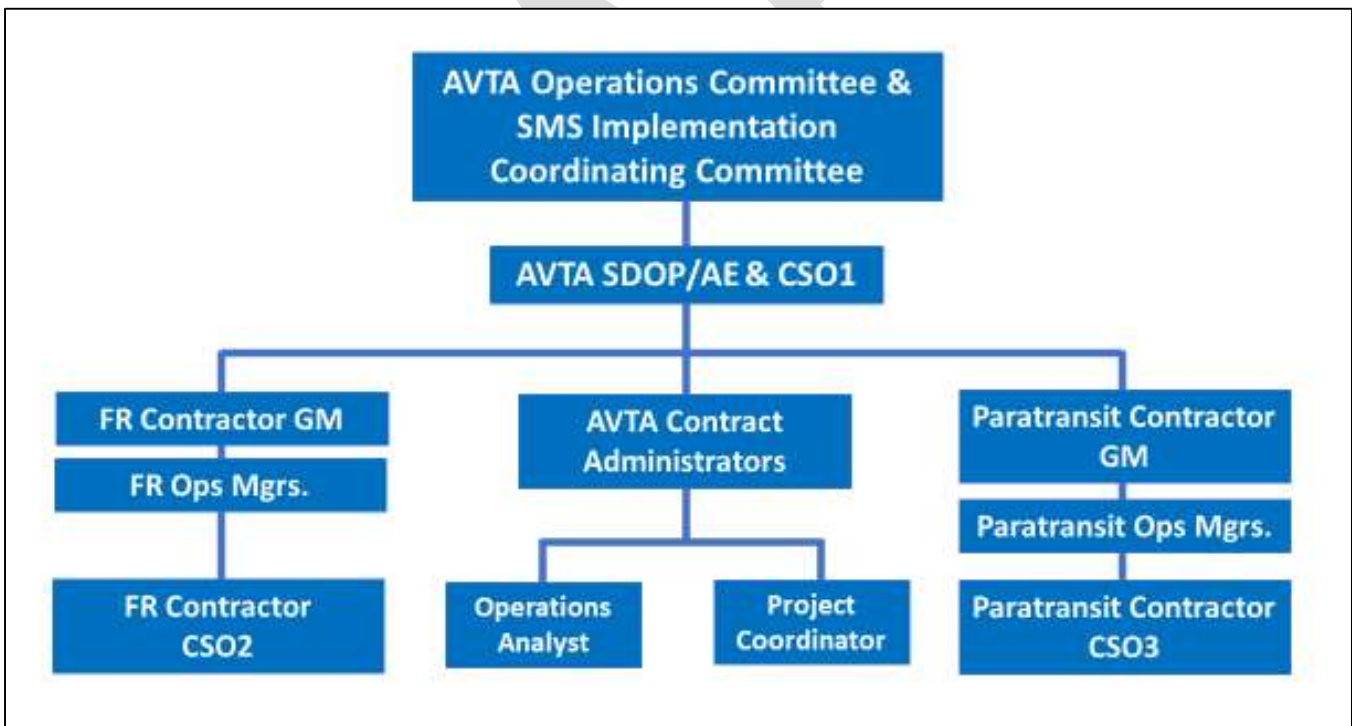


Exhibit 17a: AVTA Operation & SMS Implementation Coordinating Committee

The SMS responsibilities of the Operation and Implementation Coordinating and Safety Committee (Exhibit 17a) is to serve 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 for safety policy,

~~safety risk management, safety assurance, safety training and safety communications. The DOW/CSO1 is to serve as chairperson of the committee. Ideally, the Committee also has representation from other AVTA staff, the contractors' staff (especially their GSOs), line employees and the LA County Sheriff Department or equivalent law enforcement agency.~~

9d. System wide Safety Committee Formation

The basic function of the AVTA safety committee 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 17b.

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 for 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 and reviewing close calls for valuable risk management information.
- Monitoring safety reports and safety performance data for improved safety management.
- Monitoring epidemic or pandemic threats and developing recommendations for pandemic risk management for the next wave of influenza or COVID-19.
- Contributing to the development of annual safety goals, objectives, priorities and safety performance targets.
- Auditing safety training programs, including delivery of all-employee SMS Awareness.

AVTA 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 17b: Systemwide Safety Committee, the SSC is also supported by the individual or departmental internal safety committees of each contractor. The internal 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) includes 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 17c), which will work to review, comment, and provide input on how the agency approaches public and employee safety on its system by July 31, 2022.

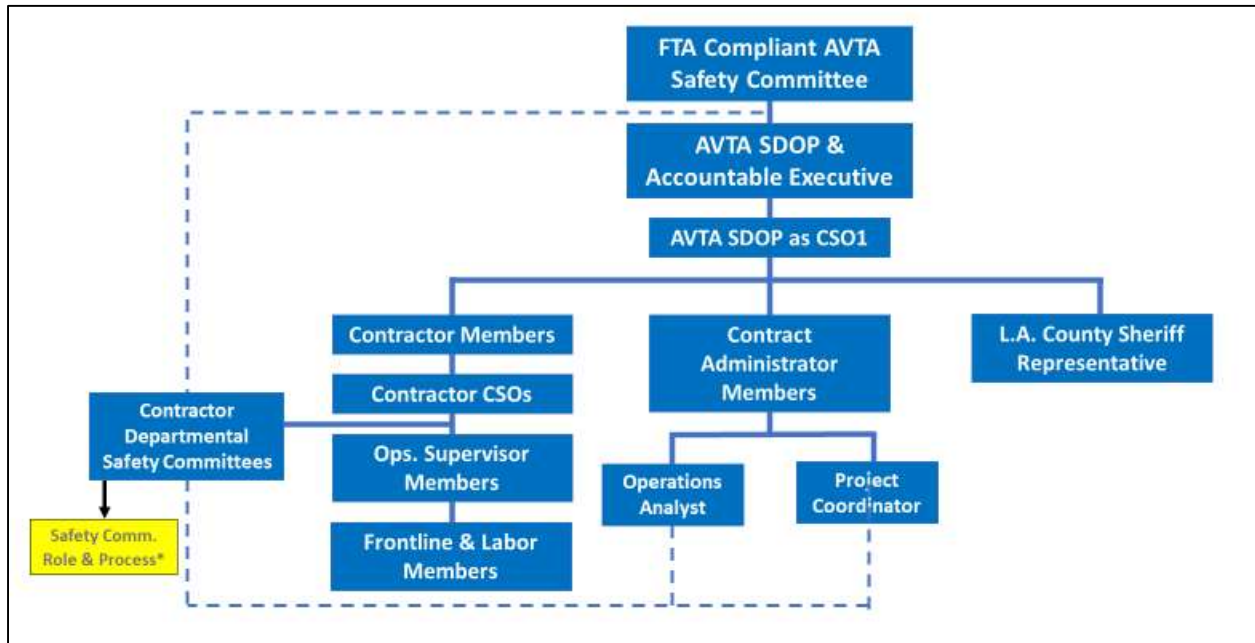


Exhibit 17b: Systemwide Safety Committee

***Safety Committee Role and Process**

Exhibit 17c below illustrates the process for the internal contractor's safety committees' function within the Systemwide Safety Committee. AVTA's two service contractors for fixed route and paratransit each have in place. Each of these two safety committees focus on safety and security of their contracted modes. Each of the two contractor committees have members representing both frontline 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 and use of the contractor's internal safety committees to initiate the identification and mitigation of hazards or safety concerns on the operational service level. The recommended structure also allows initial frontline employees to consider and discuss any identified safety hazard specific to the modes managed by a contractor.

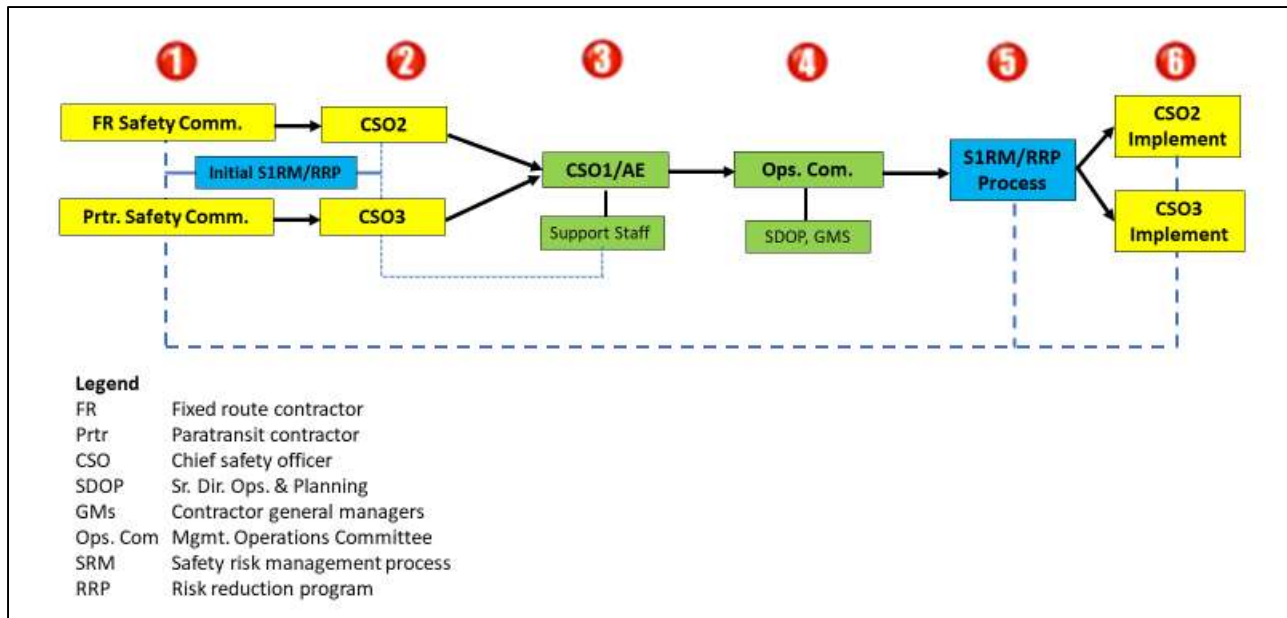


Exhibit 17c: SSC Using Contractor Internal Safety Committees as Catalyst for Systemwide Safety

The process' general phases are as follows:

- 1) Utilization of established contractor and 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 contractors chairs 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 concern 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 back to CSOs for planning & implementation, communications, 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 assure mitigation performance
 - c. Measure internal safety committee satisfaction
 - d. Training of employees and supervisors

9e. Employee Safety 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 sessions are always ended with a safety reminder or tip.

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

10. SAFETY CULTURE

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

10a. Safety Culture Concept

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



10b. Interdependence Between Safety Culture and SMS

This PTASP and the adoption of SMS are effective tools for AVTA and its service contractor to strengthen and sustain its existing culture for safe and reliable transit service within Antelope Valley and Los Angeles County. Exhibit 18: SMS-Safety Culture Symbiotic Relationship illustrates the independency of an agency's implementation and ongoing strengthening of SMS and the existing and potential its safety culture. To consider and adopt SMS, there needs to be the ability to recognize, adopt and implement the approach, *i.e.*, a value for safety and a sense of the important role the tool can serve. In other words, the agency must have an appropriate level of a positive safety culture to desire, adopt and employ SMS – even if required by the PTASP rule. On the other side of Exhibit 18, 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.

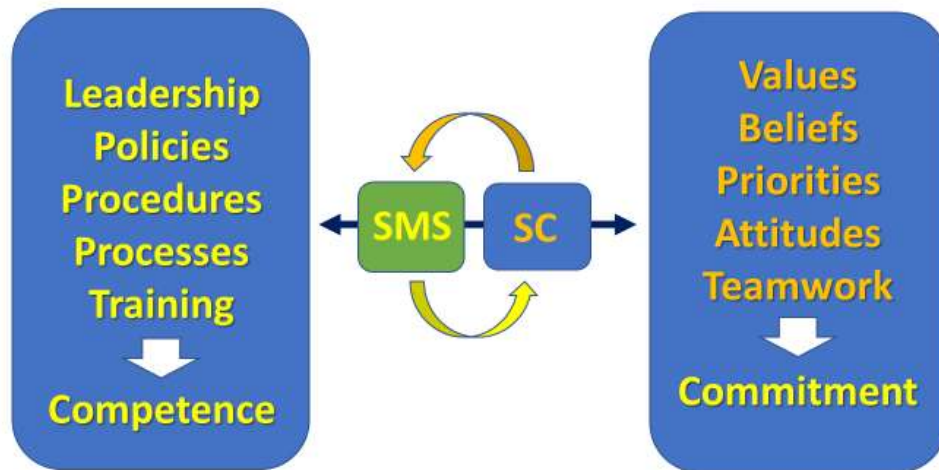


Exhibit 18: SMS-Safety Culture Symbiotic Relationship

10c. Major Safety Culture Characteristics

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

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



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

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

10d. Employee Safety Culture Survey

Appendix K: Safety Culture Self-Assessment provides a tool to perform a self-assessment of the current safety culture of the overall transit agency, the AVTA management level and/or the contractor

level. Organizations with strong safety cultures experience fewer workplace accidents (e.g. collisions and incidents), and vice versa. But how does AVTA know how robust its current safety culture is on a system-wide basis or within each component? Appendix 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 AVTA example is improving overall safety management and the organizational safety culture for contractor an AVTA management and contractor operations.

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

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

- (2) Select and focus on the appropriate process for improvement (employee input, SMS Coordinating Committee identified issue, reoccurring issue, review of operational options related to attaining safety performance targets, etc.).
- 3) Plan for the future by considering system and operating condition changes or influences (e.g., COVID-19 pandemic **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 assuring that the actions taken to achieve their intended results.



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

13. TAM PLAN & STATE OF GOOD REPAIR

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

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

14. DOCUMENTATION AND RECORDKEEPING

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

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

15. RECOMMENDED SAFETY ACTIONS FOR FY 2021-2022

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 1 basis and a multi-year basis.

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

- Start identifying SMS implementation roles and responsibilities for the appropriate staff from both AVTA management and contractor staff.
- Have senior management from both AVTA and the contractor designate key staff who will support SMS implementation.
- Ensure that key staff receive SMS training, including SMS Awareness and SMS Principles and Framework.
- Develop an SMS implementation plan and communicate it throughout both organizations.
- Brief the AVTA Board of Directors on the SMS process and core of the AVTA PTASP (during consideration of adoption of the PTASP or after in greater detail during board workshops).
- Brief also the oversight entities (i.e., LA Metro, 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 2022-2023 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) ~~is~~ **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 ~~you and your organization~~ **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 19), assigning responsibility for incorporating current or adapted safety activities and the implementation of new safety activities among key individuals.
- Direct lines of communication on safety and SMS matters among key individuals so that collaboration and cooperation are promoted.
- Conducting a gap analysis between existing and contracted SMS elements and PTASP identified elements along the proposed activities or programs for safety policy, safety risk management, safety assurance and safety promotion.
- Reviewing and assuring the effectiveness of establish policies and procedures related to safety, including consistency between AVTA and the contractor.
- Communicating safety matters to all employees and seeking employee involvement and input in making safety the 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 2021-2022.
 - 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 19 below. 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. CSO_{2&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 component, 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.

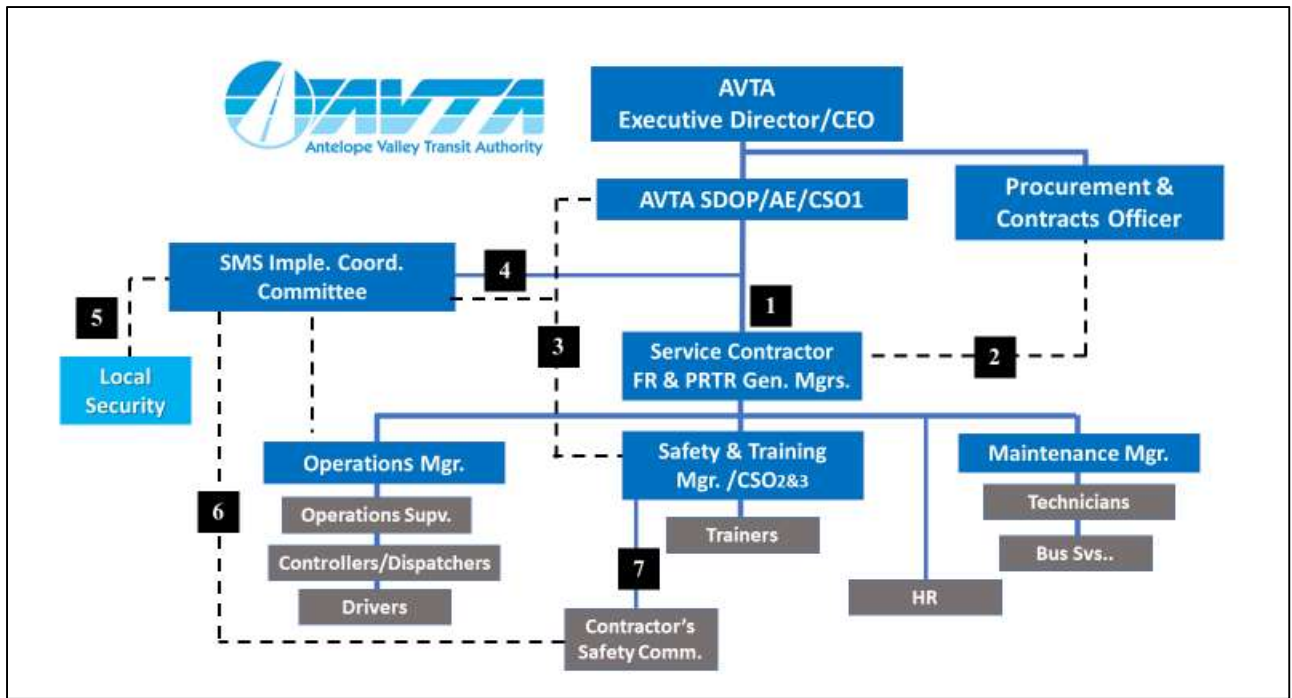


Exhibit 19: SMS Implementation Linkages

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. 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
Commuter Bus	Fixed-route bus systems that primarily connect outlying areas with a central city and operates at least five miles of continuous closed-door service. This service may operate motor coaches (aka over-the-road buses), and usually feature peak time scheduling and limited stops in the destined central city.
Coronavirus/COVID-19	2020 global infectious virus pandemic
COVID-19 wave	Recurrence of coronavirus pandemic after Winter 2020
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 Manager	A software application for key transit agency information analytics.

LIST OF ACRONYMS USED IN THE AVTA SAFETY PLAN

17.b Acronym	Word or Phrase
AE	Accountable Executive for the PTASP
ASP	Agency Safety Plan
AVTA	Antelope Valley Transit Authority
CDC	Centers for Disease Control and Prevention
CEO	Chief Executive Officer
COO	Chief Operating Officer
COVID-19	Name of the disease caused by the new coronavirus that is called SARS-CoV-2, or sometimes just “novel coronavirus”. Here: same as Coronavirus.
CSO1	Chief Safety Officer of AVTA On the Agency Management Level
CSO2	Chief Safety Officer of the Service Contractor on the Operations Level
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
JPA	Joint Powers Authority
LA Metro	Los Angeles County Metropolitan Transportation Authority
LA Public Health	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
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
TSI	Transportation Safety Institute
UPT	Unlinked Passenger Trips
VRM	Vehicle Revenue Miles
VRH	Vehicle Revenue Hours



AVTA PTASP Appendices

<u>Appendix Title</u>	<u>Appendices Page</u>
APPENDIX A: PTASP Accountable Executive Certification Checklist for ED/CEO	79 78
APPENDIX B: Safety Performance Guide for AVTA Goals, Objectives, and Outcomes	84 83
APPENDIX C: Staff Safety Roles and Responsibilities Chart	87 86
APPENDIX D: Safety Assessment and System Review Form	89 88
APPENDIX E: Facility Safety and Security Assessment Form	93 92
APPENDIX F: Sample Employee Hazard Identification Form	96 95
APPENDIX G: Hazard Identification and Risk Assessment Log	97 96
APPENDIX H: Risk Assessment Matrix (RAM) – Risk Level Assessment Chart	98 97
APPENDIX I: Prioritized Safety Risk Log	99 98
APPENDIX J: PTASP FY 2022-2023 Recommended Action Item List Form	100 99
APPENDIX K: Safety Culture Self-Assessment	103 102
APPENDIX L: AVTA COVID-19 Responses in FY 2020-2021	104

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 17, 2021~~ July 18, 2022 - 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 ASP. See*

- Name

- Name
- Name

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) ~~(ER-confirm FTA funding)~~
- Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).
- An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).
- A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)
 - CSO with Agency
 - CSOs 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 18~~ July 22, 2022
- The Board of Directors' or Equivalent Authority's approval of the Agency Safety Plan and date of approval. Board Adoption Date: ~~June 22~~ July 26, 2022
- 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 17~~ July 26, 2022
- 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 22 July 26, 2022](#)
- 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 22 July 26, 2022](#)

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, above.*
- 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 as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards

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.
- ☒ 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.

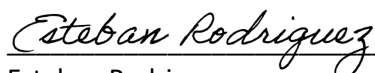
9. Compliance with BIL New PTASP Requirements

- ☐ Implement new SSC with frontline members and have this committee review, comment, and recommend additional elements for consideration in the updated FY 2022-2023 PTASP.

- After SCC action and Board consideration of any changes, certify to FTA that FY 2022-2023 PTASP is compliant with the PTASP regulation (49 CFR Part 673) on or before December 31, 2022.
- Provide for infectious disease strategies in FY2022-2023 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 2022-2023 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, 2022.
- Establish within the FY 2022-2023 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.
 - (2) Confrontation de-escalation training.
 [§5329(d)(1)(H)]
- Implement the enhanced training program through AVTA's contractors as outlined above before December 31, 2022.

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

Signature:


 Esteban Rodriguez
 Senior Director of Operations & Planning

Date: ~~June 17~~ July 18, 2022



PTASP FY ~~2021-2022~~ 2022-2023
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 Agency Chief Safety Officer (CSO) to manage the agency's transit safety program, i.e. Chief Safety Officer.

- a. *Metric: Number of years of transit safety experience*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish reasonable measure using past and present performance data and trends*

2. Objective/Outcome:

Conduct monthly operating performance meetings with the AGENCY senior management, where safety performance and SMS implementation are included in the monthly report by the CSO.

- a. *Metric: Number of meetings per specified time period or number of meetings per incidents/occurrences*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish reasonable measure using past and present performance data and trends*

3. Objective/Outcome:

Conduct regular transit employee and staff safety meetings (i.e. monthly safety meetings, pre-pull out safety briefings and pre-assignment safety briefings). Such meetings and briefings will be comprised of the appropriate staff at varying levels, including executives, officers, managers, operators and maintenance personnel as required.

- a. *Metric: Number of meetings per specified time period or number of meetings per incidents/occurrences*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish reasonable measure using past and present performance data and trends*

4. Objective/Outcome:

Develop and promote a Non-Punitive Employee Safety Reporting Policy and Procedure

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

5. Objective/Outcome:

Increase the reporting of close call occurrences and incidents that would otherwise go unreported

- a. *Metric: Number of close call occurrences/incidents reported per specified passenger-miles traveled or per specified period*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and trends*

6. Objective/Outcome:

Increase employee safety training opportunities and attendance through the addition of SMS Awareness in the new hire training program; attending available transit safety trainings; covering safety in all refresher training events and required training due to changes in the operating system.

- a. *Metric: Number of employee safety training hours completed per specified time period*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and trends*

7. Objective/Outcome:

Increase safety marketing outreach, including material distributed amongst employees and the general public by developing and producing safety messaging and promotions internally to employees and customers and externally to the public that may interface with AGENCY service.

a. *Metric:*

i. *Number of schedules, newsletters, safety brochures, posters or campaigns distributed per specified time period*

ii. *Number of visits to the AGENCY webpage and safety link*

iii. *Number of outreach events to schools, senior organization, bicyclist*

b. *Baseline: Identify baselines*

c. *Target: Establish a reasonable measure using past and present performance data and trends*

GOAL 3: SYSTEMS/EQUIPMENT:

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

1. Objective/Outcome:

Reduce the number of vehicle/equipment/facility maintenance issues reported

a. *Metric: number of vehicle/equipment/facility maintenance issues reported per specified time period*

b. *Baseline: Identify a baseline*

c. *Target: Establish a reasonable measure using past and present performance data and trends*

2. Objective/Outcome:

Increase scheduled preventative maintenance

a. *Metric: Number of preventative maintenance inspections completed per specified time period or specified vehicle mileage*

b. *Baseline: Identify a baseline*

c. *Target: Establish a reasonable measure using past and present performance data and trends*



PTASP FY ~~2021-2022~~ ~~2022-2023~~

APPENDIX C

STAFF SAFETY ROLES AND RESPONSIBILITIES

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

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

Vehicle Operators			
Maintenance Mgr.			
SMS Coordinating & Safety Committee Members			

DRAFT



PTASP FY ~~2021-2022~~ 2022-2023

Appendix D

SAFETY ASSESSMENT AND SYSTEM REVIEW

Review Version Number: _____

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

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

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

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

	• Are pre-trip inspection forms completed daily?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are post-trip inspection forms completed daily?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

SIGNATURES:

Signature of Chief Safety Officer

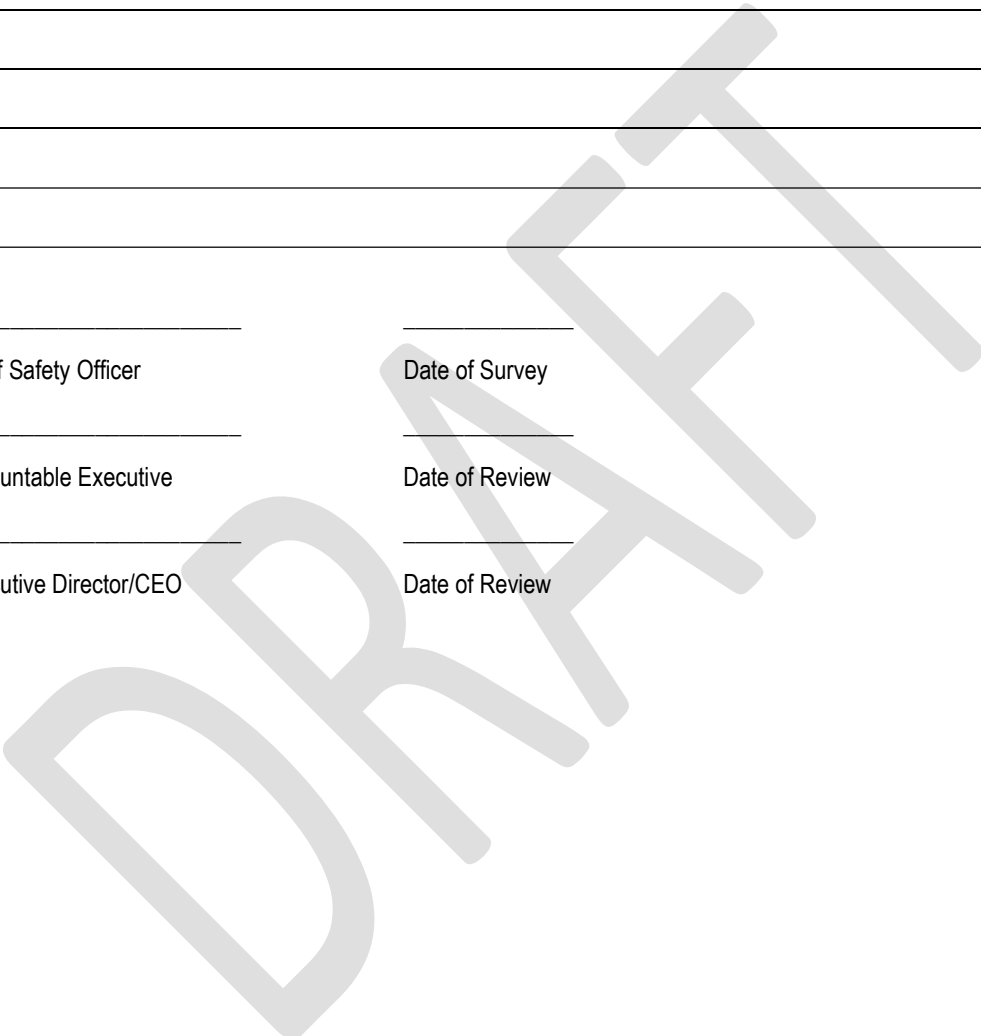
Date of Survey

Signature of Accountable Executive

Date of Review

Signature of Executive Director/CEO

Date of Review





PTASP FY ~~2021-2022~~ 2022-2023

APPENDIX E

FACILITY SAFETY and SECURITY ASSESSMENT

Review Number: _____ Date: _____

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

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

	<ul style="list-style-type: none"> Is this system always on or activated by motion sensors? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-Employee Access:	<ul style="list-style-type: none"> Is access restricted to persons without proper credentials and clearance? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are supply deliverers required to show proper I.D. and sign-in a logbook? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are always all non-employees accompanied and/or observable? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surrounding Environment:	<ul style="list-style-type: none"> Are there other non-City/County buildings connected to the facility that may be vulnerable to unauthorized entry to City/County property? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are all utility components (power transformers, back-up generators) protected and secured from vandalism or attack? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are all outdoor storage areas adequately lighted and secured? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Material Storage:	<ul style="list-style-type: none"> Are all hazardous and flammable materials properly identified? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are all materials properly labeled, stored, and secured? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forms and Written Plans:	<ul style="list-style-type: none"> Are emergency numbers (police, fire, ambulance, FBI) current and prominently displayed at each phone? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Is a Chain of Command and emergency call list prominently displayed? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are employees trained and checklists provided on how to handle a physical threat or incident called in on the phone? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evacuation Plan/Procedures	<ul style="list-style-type: none"> Are there evacuation plans for this facility? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are staff members trained on this plan? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are assembly areas and alternate assembly areas identified, validated and coordinated with the County Emergency Management Office? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Have the primary and alternate assembly areas, evacuation sites, and evacuation routes been verified and coordinated with all appropriate agencies? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Has the Emergency Evacuation Plan been reviewed, coordinated, and briefed to staff as appropriate? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training:	<ul style="list-style-type: none"> Is an orientation program in place for each new staff member? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Do all staff members receive safety and security training appropriate to their position and level of responsibility? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are periodic safety and security training and briefings completed with staff? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Do all new staff members receive briefings on the City/County Evacuation Plan, the Disaster Preparedness Plan, and other security policies and procedures? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Administrative Procedures:	<ul style="list-style-type: none"> Is a record of emergency data on file for each staff? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Have incident reporting format and procedures been established and staff briefed on them? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are all incident reports treated with confidentiality and transmitted by secure means to the appropriate City/County department? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are background checks conducted and verified on all prospective new hires? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cash Handling and Transfer:	<ul style="list-style-type: none"> Has a secure method for receipt, transfer and storage of cash been established and have appropriate staff members been trained on them? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	<ul style="list-style-type: none"> • Is cash transported by at least two individuals with cash divided between them? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Do all staff members understand that in the event of a robbery they should never risk their lives to protect cash or other valuables? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fire and Electrical Safety:	<ul style="list-style-type: none"> • Are fire extinguishers installed in all appropriate locations? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Are smoke and heat detectors installed, at least one on each floor? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Is a first aid kit present and maintained? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Are all electrical devices, outlets, circuit breakers and cords free of damage that may pose a shock hazard? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Are all electrical circuit, gas, and telephone boxes, if accessible from the outside, locked to prevent tampering? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Do any non-employees have access from outside the building to any fire escapes, stairways, and/or the roof? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Are all outdoor trash containers and storage bins located away from the building in the event of a fire? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments & Other Observations:

SIGNATURES:

Printed Name of Reviewer

Date

Signature of CSO

Date



PTASP FY ~~2021-2022~~ 2022-2023

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 ~~2021-2022~~ 2022-2023

APPENDIX G

HAZARD IDENTIFICATION AND RISK ASSESSMENT LOG

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

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

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

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

Assessed Risk Level: 0

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

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



PTASP FY ~~2021-2022~~ 2022-2023

APPENDIX I

PRIORITIZED SAFETY RISK LOG

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

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

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

Reviewer's Signature

Date

CSO Signature

Date of Update Review



PTASP FY ~~2021-2022~~ 2022-2023

APPENDIX J

PTASP Adopted for FY ~~2021-2022~~ 2022-2023 Recommended Action List

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

1. Implementation of SMS within AVTA

- Designate AVTA's CSO1 responsible for implementing SMS on the transit authority's level. **(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 2022-2023 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. ~~(e.g. Transit Advisory Committee).~~
- Provide awareness training on SMS to all AVTA and contractor employees.
- Provide an orientation to all staff and employees on the PTASP, including their safety roles, duties and responsibilities under the plan or SMS.
- Establish and communicate an Employee Safety Reporting Program (ESRP) for all AVTA and contractor employees, along with the procedures and training.
- Adjust or amend the current contractor's service agreement and scope of work to include responsibilities required or recommended in the PTASP and of SMS.
- Plan and schedule for both CSOs to complete safety training required of their positions.
- Establish a system-wide SMS Coordinating and Safety Committee.

- Determine and arrange for the role that the AVTA Technical Advisory Committee can undertake in SMS effort.
- 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 COVID-19 Responses in FY ~~2021-2022~~ 2022-2023

The AVTA COVID—19 Task Force Update memorandum below includes a chronology of the actions and directives taken as of the date of this PTASP by AVTA and its JPA member jurisdictions to address the COVID-19 (Coronavirus) pandemic in the Spring of 2020. This list of actions and directives can serve as a basis for further actions in advance of a possible surge due to variants of COVID-19 or by unvaccinated individuals. The FY 2020-2021 pandemic actions should be incorporated into an AVTA Pandemic Risk Management Plan (PRMP) in coordination with the PTASP, which includes continued collaboration, cooperation, and coordination among the AVTA JPA member jurisdictions.

For the FY2022-2023 PTASP, the actions below reflect those actions that may be continued as needed, as recommended, as required by outside public health authorities, or as directed by the AVTA Board of Directors to assure the safe operation of the transit service and the prevention of infectious diseases that may impact AVTA and its service communities. The highlighted (**bolded**) actions listed in the 2020 memorandum are appropriate in the continuation of the Covid-19 pandemic, considering the variants, and with the current public health strategies. The Covid-19 task force should be reconstituted to FTA BIL new requirement for infectious diseases to the AVTA Infectious Disease Task Force.



MEMORANDUM

DATE: — April 20, 2020

~~TO: Macy Neshati, Executive Director/CEO~~
~~FROM: Martin J. Tompkins, Senior Director of Operations and Planning~~
~~SUBJECT: COVID-19 Task Force Update~~

BACKGROUND

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

~~On January 30, 2020, the International Health Regulations Emergency Committee of the World Health Organization declared the outbreak a public health emergency of international concern. On January 31, 2020, Health and Human Services Secretary Alex M. Azar II declared a public health emergency for the United States to aid the nation's healthcare community in responding to COVID-19. On March 11, 2020, the World Health Organization characterized COVID-19 as a pandemic.~~

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

Bus Operations: FR contractor Contractors

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



~~TDV Safety Alert
Brochure 2020 v1.pdf~~



~~ISOSCoronavirus
2019A3 Info~~



~~2019-ncov-factsheet.pdf~~



~~TDV Handwashing
Flyer 2020 v1.pdf~~

~~**Informational flyers** were posted on all the buses informing the public of the risks and countermeasures that should be taken. Additional schedule holders were also installed.~~

~~LJ's **Cleaning Solutions** (5 additional staff) were hired to augment the diminished manpower at the service island.~~

~~LJ's Cleaning Solutions is using Clorox Healthcare Fuzion Disinfectant. This is a spray-on contact cleaner that kills several strains of COVID-19.~~

~~**Disinfectant wipes** are being used on all surfaces including handrails, drivers' area, fare boxes, and seats.~~

~~FR contractor ordered **Purell sanitizing wipes**, which were distributed to all staff.~~

FR contractor approved Lysol spray (Quat) as the cleaning solution staff is using for sanitation. Purell product in 32-oz. bottles was ordered and arrived on or around March 16.

~~**AVTA Admin: Macy Neshati, Martin Tompkins, Karen Darr, DeeAnna Cason, Williene Jones, Amber Johnson, Judy Fry, James Royal, Lyle Block, Kelly Miller, Mayra De Los Santos, Francynn Tobar, Karim Illescas, Geraldina Romo and Tisha Lane**~~

On March 9, 2020, a ~~**moratorium on business travel for all staff**~~ members was implemented.

On March 11, 2020, James distributed a ~~**press release**~~ to the Board members, local media and transportation partners, and posted it on the Authority's website. Martin shared this with FR contractor General Manager Rene Alvarez.

Mayra, Francynn, Karim, Geri, Tisha are on ~~**stand-by to answer phones**~~ when Customer Service is short staffed.

IT staff installed the ~~**informational PowerPoint**~~ below on the lobby monitors.



IntISOS
Coronavirus Disease

Macy emailed the Board members on March 9, 2020 regarding the Authority's ~~**proactive steps to manage the impact of the COVID-19 virus.**~~

Kelly and James provided a script to Customer Service staff, FR contractor operators and field supervision to ~~**answer riders' questions.**~~

Purell sanitizing wipes were distributed to AVTA and FR contractor staff.

Staff was directed to ~~**sanitize phones with eyeglass wipes**~~, not Purell wipes.

Williene distributed the ~~**COVID-19 or other infectious disease informational flyers**~~ below on March 10 and 11, 2020.



2179_001.pdf



ISOSCoronavirus
Disease 2019A3 Info

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

Karen C. is ~~**printing additional informational flyers as needed.**~~

~~**Hudson sprayers, HUSKY 814 QT disinfectant**~~, single use wipes, sanitizer dispensers, Purell refills, and generic antibacterial wipes were ordered and received. Electrostatic sprayers were ordered on March 9, 2020, but remain on back order with no estimated delivery date. In the meantime, manual misters were ordered and received.

On March 10, 2020, the utility workers began using HUSKY 814 QT to disinfect the interior of the buses including the floor, dashboard, stanchion (pole), and seats. Smaller sprayers are used on the seats. The agency **Dial-a-Ride vendor is following the same disinfecting procedures.**

Dispensers with hand sanitizer were installed in thirteen restrooms, the FR contractor operators' lounge, administration, customer service, lobby, break room, dispatch, maintenance, utility areas, and transfer centers.

Cases of **gloves for customer service and money room staff** were ordered and received.

Additional surface cleaner was ordered and received.

Additional Husky sanitizer was ordered and received.

Eyeglass cleaner wipes were ordered and received.

Special attention is be given to **Community Room, money room, counter tops, and customer service area. Counters, door knobs, etc.** are being cleaned twice a day throughout facility.

Anti-bacterial soap dispensers have been installed in the restrooms.

Bus stop maintenance crew will assist facility staff when they are short staffed — **planned back-up staffing**

Bus stop maintenance crew is using Hudson Sprayers with HUSKY 814 QT **disinfectant daily on all bus stop amenities** including shelters, benches and trash cans. The crew also disinfects the transfer centers at Sgt. Steve Owen Memorial Park (OMP) and the Palmdale Transportation Center (PTC) twice a day. Approximately three cases of disinfectant are being used daily.

Restrooms throughout the facility are being sanitized twice a day with CDC approved disinfectant.

Cecil is **monitoring the supply of disinfectant and sanitizing products**, as well as PPE. Ten cases of HUSKY 814 QT and another ten cases of a replacement product have been ordered and received.

The utility workers are **disinfecting the charging gun handles** at least once a day.

On March 17, 2020, AVTA reduced seat capacity on buses to 50% to **promote "Healthy personal space and social distancing"**. The 40' Local Buses are at 16 rider capacity, 60' Local Buses are at 22 rider capacity, and Commuter Buses are at 27 rider capacity.

On March 18, 2020, Macy and Martin attended a meeting at AV Fairgrounds. The City of Lancaster hosted a meeting with other agencies — LACSD, AV Hospital, AV Fair staff and Salvation Army to discuss the conversion of the A.V. Fairgrounds (1-2 pavilions) into a makeshift hospital outfitted with up to 800 cots and other amenities. AVTA will provide up to 10 buses to move patients — **maintain stakeholder communications.**

On March 18, 2020, AVTA obtained **temporary labor services** (Ready Jobs) of five (5) workers, three for OMP and two for PTC, to conduct bus sanitizing from 8:00 am to 4:00 pm. All buses that come through both transfer locations are wiped down thoroughly. AVTA supplies all disinfectants, towels, masks and gloves. Geraldina Romo is managing this group.

On March 19, 2020, four 20-gallon drums of disinfectant concentrate arrived and are being used on buses and bus stop amenities.

On March 20, 2020, the AVTA Planning Department worked with FR contractor to **map out** a Saturday **schedule** to operate seven (7) days and to cancel all commuter bus services during COVID-19. There were multiple discussions with the Union, which supports AVTA efforts.

March 23, 2020, AVTA began operating on a Saturday schedule.

March 23, 2020, AVTA officials participated in a **TRANS-MAC (Transit Management Advisory Committee) call with 16 other agencies**. All shared their current challenges, ideas, new policies, and ridership.

March 23, 2020, AVTA released a Media Release—"Free Fares on Local Transit Boarding through Rear Doors Only."

March 24, 2020, the AVTA **Rear Door Boarding** and Free Fare policy went into effect.

As of March 29, 2020, bus ridership was down 57% compared to February 2020.

Staff is **tracking every cost related to COVID-19, and documenting all meetings/webinars associated with COVID-19**.

Staff views **FEMA website** COVID-19 Rumors for up-to-date information.

Transportation will continue until the governor or city leaders announce different procedures.

Martin will speak to Valley Oasis Homeless Shelter on Avenue I and 60th W.

Karen D. and Vanessa Gomez are working on **merging AVTA and Riverside Pandemic Procedure information**.

If **staff tests positive** for the virus, management will quarantine person, sanitize area, and use **Incident Command Center for dispatch**, etc.

Staff is doing research for information on **antibodies created for front line protection**.

Access Services will send Martin a copy of the **letter** they sent to **essential personnel** for staff to show if stopped by authorities while on company business.

Karen D. and Vanessa will take extra breakfasts to Grace Resource Center and lunches to Valley Oasis Shelter Monday through end of May 2020.

Martin will talk to Rene about **delivering food and providing cleaning supplies** on Saturdays and Sundays.

Cecil will create three additional kits for Saturdays and Sundays. **Facilities staff will inventory and order needed supplies.**

Passengers are noticing AVTA's cleaning efforts on the buses, stops, and transit centers.

April 2, 2020, AVTA, FR contractor, and OPSEC staff coordinated to implement Temperature Reading Policy. OPSEC guards are testing all staff before allowing access to the building.

The cleaning crew for buses are working seven (7) days per week.

~~April 3, 2020, "Essential Work" letter~~ emailed to employees to carry in vehicle and provide proof of the employee's essential work status.

~~April 7, 2020, Macy participated in Coronavirus Update:~~ Tele briefing for Airports and Transit

~~April 7, 2020, staff emailed Fred Porras (OPSEC Security) to code invoices: COVID-19 for additional security guard hours.~~

~~April 13, 2020, AVTA ADA Procedures~~ were emailed to staff.

~~April 14, 2020, entry guards began using new iHealth thermometers for temperature readings:~~

~~April 15, 2020, "Social Distancing/Face Covering Order"~~ memo was emailed to employees.

~~April 15, 2020, "Requirements of Social Distancing Protocol Mandated by the County of Los Angeles Department of Public Health"~~ was emailed to employees.

~~April 15, 2020, AVTA facility is compliant with LA County's mandate on social distancing signage, communications etc. See below:~~



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

~~➤ April 16, 2020, Macy, Martin and Judy participated in FTA webinar on its COVID-19 response activities, including implementation of the CARES Act.~~

~~➤ April 16 2020, Los Angeles County Face Mask Requirements were posted on buses (see attached)~~



~~2682_001.pdf~~

~~➤ April 20, 2020, Martin and Judy participated in a TRANSMAC call with 18 other transit agencies to share COVID-19 best practices. (Guest speaker—LA COUNTY OF EMERGENCY MANAGEMENT AND TSA)~~

~~➤ May 2020, the Task Force will meet on an as-needed basis.~~

~~CC: Task Force~~

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.

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 26th day of July, 2022 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: July 26, 2022

TO: BOARD OF DIRECTORS

SUBJECT: Resolution No. 2022-012, Authorizing the Executive Director/CEO and/or Chief Financial Officer to Execute Agreements Necessary for the Bus Replacement Project with Funds from the California State of Good Repair Program for Fiscal Year 2022/2023 (FY 2023)

RECOMMENDATION

That the Board of Directors adopt Resolution No. 2022-012, authorizing the Executive Director/CEO and/or Chief Financial Officer to execute agreements necessary for the Bus Replacement project with funds from the California State of Good Repair Program for FY 2023.

FISCAL IMPACT

Adopting Resolution No. 2022-012 would authorize the Executive Director/CEO and/or Chief Financial Officer to enter contractual agreements and authorize any other required documents, on behalf of AVTA and the Board of Directors, to expand AVTA's bus fleet.

BACKGROUND

AVTA receives annual apportionments from the California Department of Transportation. The AVTA Board is required to adopt Resolution No. 2022-012 in order to approve the Bus Replacement project and receive the FY 2023 allocation of \$350,597.

Prepared by:

Submitted by:

Judy Vaccaro-Fry
Chief Financial Officer

Martin J. Tompkins
Executive Director/CEO

Attachment: A – Resolution No. 2022-012

RESOLUTION #2022-012

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY AUTHORIZING THE EXECUTIVE DIRECTOR/CEO AND/OR CHIEF FINANCIAL OFFICER TO EXECUTE AGREEMENTS NECESSARY FOR THE BUS REPLACEMENT PROJECT WITH FUNDS FROM THE CALIFORNIA STATE OF GOOD REPAIR PROGRAM FOR FISCAL YEAR 2022/2023

WHEREAS, the **ANTELOPE VALLEY TRANSIT AUTHORITY** is an eligible project sponsor and may receive State Transit Assistance funding from the State of Good Repair Account (SGR) now or sometime in the future for transit projects; and

WHEREAS, the statutes related to state-funded transit projects require a local or regional implementing agency to abide by various regulations; and

WHEREAS, Senate Bill 1 (2018) named the Department of Transportation (Department) as the administrative agency for the SGR; and

WHEREAS, the Department has developed guidelines for the purpose of administering and distributing SGR funds to eligible project sponsors (local agencies); and

WHEREAS, the **ANTELOPE VALLEY TRANSIT AUTHORITY** wishes to delegate authorization to execute these documents and any amendments thereto to the Executive Director/Chief Executive Officer and/or the Chief Financial Officer.

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the Antelope Valley Transit Authority that the fund recipient agrees to comply with all conditions and requirements set forth in the Certification and Assurances document and applicable statutes, regulations and guidelines for all SGR funded transit projects.

NOW THEREFORE, BE IT FURTHER RESOLVED that the Executive Director/Chief Executive Officer and/or the Chief Financial Officer be authorized to execute agreements necessary for Bus Replacement with funds from the California State of Good Repair Program for Fiscal Year 2022/2023 in the amount of \$350,597.

PASSED, APPROVED AND ADOPTED this 26th day of July 2022.

AYES: _____

NAYS: _____ ABSTAIN: _____ ABSENT: _____

Marvin Crist, Chairman of the Board

ATTEST:

APPROVED AS TO FORM:

Karen S. Darr, Clerk of the Board

Allison E. Burns, General Counsel



DATE: July 26, 2022

TO: BOARD OF DIRECTORS

SUBJECT: Change Order No. 3 to Contract #2022-06 with Toneman Development Corp. for Battery-Electric Support Vehicle Charging Infrastructure

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to execute an AVTA initiated, no mark-up, Change Order No. 3 to Contract #2022-06 with Toneman Development Corp. for an amount not to exceed \$106,000 to provide battery-electric support vehicle charging infrastructure. The infrastructure will include twelve 50A receptacles, a 112.5 KVA transformer and an exterior mounted panel board, with other associated improvements.

FISCAL IMPACT

Federal funding will be allocated during the Fiscal Year FY 2022/2023 Mid-Year Budget adjustments.

BACKGROUND

As the first all-electric transit fleet in North America, AVTA has now started the conversion of its support vehicles to battery electric as well. At the June 28, 2022 meeting, the Board approved the purchase of four new battery-electric support vehicles. The future purchase of three additional battery-electric support vehicles, which are budgeted in FY 2023, will bring the combined total to seven. This project will be located adjacent to the dispatch area, would allow us to keep support vehicles in their current location, and provide for future growth without creating additional infrastructure.

Change Order No. 3 Contract #2022-06 for Battery-Electric Support Vehicle
Charging Infrastructure
July 26, 2022
Page 2

The proposal received was reviewed for accuracy and completeness with pricing found to be fair and reasonable. Therefore, staff is recommending the Board approve Change Order No. 3 to Contract #2022-06 with Toneman Development Corporation. This project is anticipated to take approximately 60 business days to complete from the issuance of the notice to proceed.

Prepared by:

Submitted by:

Cecil Foust
Maintenance Compliance Manager

Martin J. Tompkins
Executive Director/CEO



DATE: July 26, 2022

TO: BOARD OF DIRECTORS

SUBJECT: Contract #2022-49 to AZ Bus Sales, Inc. for 19 Battery-Electric ADA-Compliant Vans

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to execute Contract #2022-49 with AZ Bus Sales, Inc., Colton, CA, to purchase 19 battery-electric ADA-compliant vans for an amount not to exceed \$3,992,000, plus applicable sales tax.

FISCAL IMPACT

Sufficient grant funds are included in the Fiscal Year 2022/2023 Budget.

BACKGROUND

In January 2016, the Board of Directors adopted a goal to procure and operate a 100% battery-electric fleet. Since that time, staff has been committed to pursuing all funding opportunities to acquire battery-electric vehicles. The next step of this process is to add 19 battery-electric ADA compliant vans for our On-Request Microtransit Ride Service in outlying areas. To this end, staff developed and circulated a Request for Proposals (RFP).

AVTA released a Request for Proposals (RFP) on May 13, 2022. The solicitation documents were posted to AVTA's website and advertisements were placed in the *Antelope Valley Press* and *Our Weekly Lancaster* newsletter. The local Chambers of Commerce were also notified via their respective newsletters and email lists, with 138 firms being notified via email with RFP instructions for downloading procurement documents. Fourteen firms registered and downloaded the RFP. On May 23, 2022, an optional pre-proposal meeting was held with ten firms attending. One addendum was issued and posted on June 14, 2022.

Two (2) proposals were submitted on June 14, 2022, in response to the RFP. Two AVTA staff members and two staff members from our partnering JPA membership evaluated and ranked the submitted proposals on the following two-part criteria:

PART 1 – Technical Response: proposed solution (30%), similar projects (10%), proposer’s information (10%), project schedule/benchmarks (10%) and warranty (20%); and PART 2 – Pricing Response: project budget (20%). There were 400 total possible points available.

Submitted proposals were received from the following firm:

PART 1 – Technical Response		
Firm	Location	Score (400 Max)
AZ Bus Sales, Inc.	Colton, CA	309
RO Bus Sales	Corona, CA	178
PART 2 – Pricing Response		
Firm	Location	Score (100 Max)
AZ Bus Sales, Inc.	Colton, CA	93
RO Bus Sales	Corona, CA	60
(400 Total Points Available) Combined Total Score		
Firm	Location	Score (500 Max)
AZ Bus Sales, Inc.	Colton, CA	402
RO Bus Sales	Corona, CA	238

AZ Bus Sales, Inc., Colton, CA, respondent’s proposal, earned a higher score from the evaluation committee. In addition to their fair and reasonable pricing, they provided the best overall solution for AVTA. It was obvious that their past in-depth transit agency experience gave them a clear insight into our requirements and mission. Staff is confident AZ Bus Sales, Inc. will provide an excellent vehicle.

Prepared by:

Submitted by:

 Lyle A. Block, CPPB
 Procurement and Contracts Officer

 Martin J. Tompkins
 Executive Director/CEO



DATE: July 26, 2022

TO: BOARD OF DIRECTORS

SUBJECT: Rental Agreement for Six (6) DAR/Microtransit Vehicles

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to execute a pass-through rental agreement with AVTS for up to one year, for a quantity of six (6) vehicles, at an amount not to exceed \$16,740 per month, or \$200,880 for a one-year term.

FISCAL IMPACT

Sufficient funds are available to the Authority through annual federal appropriations and will be included in the FY 2022/2023 Mid-Year Budget adjustment to pay for this project.

BACKGROUND

A new operating contract for DAR and On Request Microtransit Ride Service was signed in 2019 between Antelope Valley Transit Authority (AVTA) and Antelope Valley Transportation Services (AVTS). The contract included language stating AVTA would provide new vehicles after the first year and renegotiate the operating rate. As of today, our partnership is entering its third year of contracted operations, the replacement vehicles are on this month's agenda for approval, and the existing vehicles have proven to be distressingly unreliable.

The existing Green Power vehicles have suffered repeated failures and spend more time in the maintenance shop than in revenue service. In order to maintain levels of service, our contracted operating partner has rented replacement vehicles at his expense, resulting in a significant fiscal impact, and while AVTA's Microtransit services becomes more and more unreliable.

AVTA is unwilling to suffer continued unreliability that negatively impacts our customers and community. Together, we must fix this long endured inadequacy and provide solutions toward the Agency's purpose: to empower

mobility. Getting People Where They Need to Be Safely, Timely and Cost Effectively.

Funding was long ago grant awarded for replacement vehicles and after approval of this Board item, we will immediately place the order for 27 ft., ADA accessible, electric vans. This proposed vehicle rental project will allow continuity of reliable operations, and preservation of the Authority's reputation while we await delivery of the replacement vehicles. Additional financial analysis is being performed and contract terms are under review. We anticipate bringing a recommendation to the board in the next 60 days, but this challenge is urgent and could no longer wait.

Prepared by:

Submitted by:

Judy Vaccaro-Fry
Chief Financial Officer

Martin J. Tompkins
Executive Director/CEO



DATE: July 26, 2022

TO: BOARD OF DIRECTORS

SUBJECT: Resolution No. 2022-013, Amendment to Section 3.30 of the Antelope Valley Transit Authority Bylaws

RECOMMENDATION

That the AVTA Board of Directors ("Board") adopt Resolution No. 2022-013 (Attachment A), amending the Bylaws to add language regarding the compensation for Board members under Section 3.30 entitled "Compensation and Benefits" (Attachment B).

FISCAL IMPACT

The fiscal impact for this increase will be incorporated into the Fiscal Year 2022/2023 Mid-Year Budget adjustment.

BACKGROUND

At the September 24, 2019 meeting, the Board adopted Resolution No. 2019-007 amending the Bylaws to (1) remove Section 4.60 entitled "Compensation" regarding the compensation of Board members, and reposition the language therein as new Section 3.30; and (2) change the heading of proposed new Section 3.30 to read "Compensation and Benefits" and add language to proposed new Section 3.30 to provide health care coverage for Board members.

The Bylaws do not presently provide compensation to Board members if they must attend meetings in addition to their one regular monthly meeting. The proposed amendment would add language to compensate Board members when their attendance is required at additional meetings during the month.

The proposed Section 3.30 would read:

3.30 Compensation and Benefits

Directors of AUTHORITY shall serve without compensation except as set forth in this Section 3.30.

Directors may receive travel expenses as BOARD shall from time to time approve.

Designated Directors (not alternates) will ~~also~~ be eligible to receive ~~either~~ health insurance coverage at the same cost as other AVTA employees; ~~with AVTA contributing will contribute monthly premium a \$200 monthly premium reductions as set forth below, or if they opt out of the insurance coverage, they shall receive a stipend in the amount of two hundred dollars (\$200.00) per month.~~

Designated Directors (not alternates) will be eligible for health insurance premium reductions, or if they opt out of the insurance coverage, they shall receive payment in the following amounts:

- \$200 for attendance at Regular Board meetings at which they are present and answer in the affirmative to the roll call;
- \$200 for attendance at Executive Committee or other committee meetings called by the Chairman of the Board or the Executive Director/CEO;
- \$200 for attendance at meetings called by the Executive Director/CEO;
- No compensation shall be compensated for attendance at regularly scheduled Director briefings;
- No Director (or alternate) shall be compensated for more than ten (10) meetings in any calendar month.

Alternate Directors will receive \$200 per Board meeting (regular or special) at which they are seated as the board member and answer in the affirmative to the roll call.

Prepared by:

Submitted by:

Judy Vaccaro-Fry
Chief Financial Officer

Martin J. Tompkins
Executive Director/CEO

Attachment: A - Resolution No. 2022-013
B - Redlined Bylaws

RESOLUTION NO. 2022-013

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY AMENDING THE AUTHORITY'S BYLAWS TO AMEND LANGUAGE REGARDING THE COMPENSATION FOR BOARD MEMBERS UNDER SECTION 3.30 ENTITLED "COMPENSATION AND BENEFITS".

WHEREAS, the Board of Directors of the Antelope Valley Transit Authority desires to amend its Bylaws to modify monthly stipend amounts for Board members; and

NOW, THEREFORE, THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY DOES HEREBY RESOLVE AS FOLLOWS:

1. Amend language to Section 3.30 to modify monthly stipend amounts for Board members.

3.30 Compensation and Benefits

Directors of AUTHORITY shall serve without compensation except as set forth in this Section 3.30.

Directors may receive travel expenses as BOARD shall from time to time approve.

Designated Directors (not alternates) will be eligible to receive health insurance coverage at the same cost as other AVTA employees; AVTA will contribute monthly premium reductions as set forth below.

Designated Directors (not alternates) will be eligible for health insurance premium reductions, or if they opt out of the insurance coverage, they shall receive payment in the following amounts:

- \$200 for attendance at Regular Board meetings at which they are present and answer in the affirmative to the roll call;
- \$200 for attendance at Executive Committee or other committee meetings called by the Chairman of the Board or the Executive Director/CEO;
- \$200 for attendance at meetings called by the Executive Director/CEO;
- No compensation shall be compensated for attendance at regularly scheduled Director briefings;
- No Director (or alternate) shall be compensated for more than ten (10) meetings in any calendar month.

Alternate Directors will receive \$200 per Board meeting (regular or special) at which they are seated as the Board member and answer in the affirmative to the roll call.

PASSED, APPROVED and ADOPTED this 26th day of July, 2022 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

PROPOSED

BYLAWS
OF THE
ANTELOPE VALLEY TRANSIT AUTHORITY

1.0 NAME OF AUTHORITY

The name of the authority shall be Antelope Valley Transit Authority (hereinafter "AUTHORITY").

2.0 PURPOSES AND POWERS

The general purpose of the AUTHORITY shall be to provide, either directly or indirectly through contract, public transportation services on behalf of its member jurisdictions, hereinafter referred to as "MEMBER". The purposes and powers of the AUTHORITY are more fully set forth in the Joint Powers Agreement (hereinafter referred to as "AGREEMENT").

3.0 BOARD OF DIRECTORS

3.10 Membership

The membership eligibility and selection process for the Board of Directors (hereinafter referred to as "BOARD") and alternates is established in Section 2B of the AGREEMENT.

3.20 Term of Office

The term of office for each BOARD member shall be determined by the governing body which appointed that member.

3.30 Compensation and Benefits

Directors of AUTHORITY shall serve without compensation except as set forth in this Section 3.30.

Directors may receive travel expenses as BOARD shall from time to time approve.

Designated Directors (not alternates) will ~~also~~ be eligible to receive ~~either~~ health insurance coverage at the same cost as other AVTA employees; ~~with AVTA contributing will contribute monthly premium a \$200 monthly premium reductions as set forth below, or if they opt out of the insurance coverage, they shall receive a stipend in the amount of two hundred dollars (\$200.00) per month.~~

Designated Directors (not alternates) will be eligible for health insurance premium reductions, or if they opt out of the insurance coverage, they shall receive payment in the following amounts:

- \$200 for attendance at Regular Board meetings at which they are present and answer in the affirmative to the roll call;
- \$200 for attendance at Executive Committee or other committee meetings called by the Chairman of the Board or the Executive Director/CEO;
- \$200 for attendance at meetings called by the Executive Director/CEO;
- No compensation shall be compensated for attendance at regularly scheduled Director briefings;
- No Director (or alternate) shall be compensated for more than ten (10) meetings in any calendar month.

Alternate Directors will receive \$200 per Board meeting (regular or special) at which they are seated as the board member and answer in the affirmative to the roll call.

4.0 MEETINGS

4.10 Regular Meetings

BOARD shall have regular meetings at least once every quarter. The dates for such meetings shall be determined by BOARD.

4.20 Special Meetings

Special meetings may be called at the discretion of the Chairperson, Vice-Chairperson, or by a majority vote of the members of BOARD.

4.30 Quorum

A majority of the members of BOARD or alternates present at a meeting shall constitute a quorum for the conducting of business, except that less than a quorum may adjourn a meeting.

4.40 Minutes

BOARD shall keep or cause to be kept written minutes of its proceedings, except executive sessions.

4.50 Officers

The BOARD shall at its April meeting, nominate and elect from its membership a Chair and Vice Chair, each from a different member agency, to take office as of July 1. The term of the Chair and Vice Chair shall be one (1) year.

If the Chair position is vacated for any reason before the full term is served, the Vice Chair becomes Chair and a new Vice Chair shall be nominated and elected. If the Vice Chair position is vacated for any reason before the full term is served, a new Vice Chair shall be selected from the jurisdiction of the departing Vice Chair to fill the remainder of the term.

4.60. [INTENTIONALLY OMITTED]

4.70 Order of Business

The order of business for BOARD meetings shall be determined by the Chairperson in consultation with the Executive Director/Chief Executive Officer (CEO).

4.80 Agenda Changes

Untimed items may be taken out of order at the request of the BOARD Chairperson, with majority concurrence.

4.90 Roberts Rules of Order

All rules not herein provided shall be determined by Robert's Rules of Order.

4.92 Voting

Voting shall be by members or alternate present. There shall be no proxy vote. The voting shall be by voice vote, except that any member or alternate may call for a roll call vote.

4.94 Notice

Notice of meetings shall comply with the requirements of the Ralph M. Brown Act, Government Code Sections 54950, et. seq.

5.0 [INTENTIONALLY OMITTED]

6.0 STAFF/ORGANIZATION CHART

The organization chart outlined in Appendix A is hereby established for AUTHORITY.

Pursuant to Section 7 of the AGREEMENT, the Board shall appoint an Executive Director/CEO who shall serve at the pleasure of the Board. The Executive Director/CEO, or his/her designee, shall serve as the Secretary of the Board of Directors and shall be responsible to keep its minutes, resolutions, and official papers.

BOARD may hire additional staff, or contract for additional professional services, as required.

7.0 BUDGETARY PROCESS

7.10 Preliminary Jurisdiction Contribution Estimates

The Executive Director/CEO shall propose the amounts for each of the jurisdictions' upcoming fiscal year operating and capital contributions to BOARD on or before March 1 of the current fiscal year.

7.20 Final Budgets

The Executive Director/CEO shall propose the upcoming fiscal year's final operating and capital budget to BOARD on or before June 30 of the current fiscal year, which shall incorporate applicable and reasonable Article 8 unmet needs recommendations. Final operating and capital budgets shall be adopted by a majority of BOARD on or before June 30 of each year.

7.30 Budget Conflicts

If BOARD should fail to adopt the final budget by the deadline set forth above, or by such other time as may be set by the majority vote of MEMBER agencies, the Executive Director/CEO shall present the unadopted final budget to the governing body of each MEMBER. Upon adoption by a majority of governing bodies to AUTHORITY, the budget shall become the AUTHORITY'S budget.

7.40 Budgetary Changes

Budgetary changes during the year shall be made in accordance with Section 9E of AGREEMENT.

8.0 EXECUTIVE DIRECTOR/CEO EXPENDITURE LIMITS

The Executive Director/CEO is authorized to approve the following expenditures:

Service Contract Payments - Those expenditure limits authorized through executed agreements with the AUTHORITY.

Change orders/supplemental Agreements to contracts payments - Those expenditures which do not exceed 10 percent of the approved contract costs or \$50,000, whichever is less.

Other purchases - Purchases up to \$75,000 per purchase requisition.

All other purchases over \$75,000 per purchase requisition, and the purchase of any fixed asset over \$75,000, shall be subject to BOARD approval.

9.0 AUTHORITY SERVICE DESCRIPTION, COST ALLOCATIONS

The AUTHORITY shall provide local, commuter, dial-a-ride and special event transportation services (hereinafter referred to as "SERVICES") to member agencies consisting of certain routes, headways, and hours of operation within an established service area as defined in Appendix B, which is attached and incorporated herein.

MEMBER agencies shall be responsible for their share of operating and capital costs associated with AUTHORITY service, based on the formula outlined in Appendix C.

Changes in SERVICES shall be the responsibility of AUTHORITY and not the responsibility of MEMBER agencies except as provided in AGREEMENT.

10.0 SERVICE PERFORMANCE STANDARDS

BOARD shall develop and approve the transportation service performance standards of AUTHORITY.

11.0 AMENDMENT

These Bylaws may be amended upon the majority vote of the full BOARD membership.

12.0 AUTHORITY INSURANCE

AUTHORITY shall assure that all services operated by AUTHORITY are adequately insured with general liability and automobile liability coverage, property damage and physical damage coverage, fidelity coverage, Directors' liability coverage and other coverage selected by BOARD.

AUTHORITY reserves the right to provide such coverages through direct insurance purchases, establishing contractual requirements, joining insurance pooling programs, establishing reserves, or any other methodology approved by BOARD.

13.0 INSURANCE BY OTHER PARTIES

All parties which operate buses and other equipment owned by AUTHORITY shall provide general and automobile liability coverage for all activities associated with the use of such assets, naming AUTHORITY as additional insured, and shall hold harmless and indemnify the AUTHORITY for all claims associated with the use of said equipment. The levels of required coverage shall be determined by the BOARD.

All parties which operate buses and other equipment owned by AUTHORITY shall also repair and/or replace such equipment, at their expense, if it is damaged or destroyed prior to the termination of its scheduled useful life.

14.0 DEFINITIONS

The following definitions shall apply to transit services provided:

"Vehicle Service Hours" are hours when a vehicle is being used in revenue service and do not include deadhead, training, vehicle testing, and other non-service hours.

"Vehicle Service Miles" are miles when a vehicle is being used in revenue service and

do not include deadhead, training, vehicle testing, and other non-service miles.

"Deadhead" means miles or hours in which a vehicle is driven while out of service to and from vehicle in-service runs.

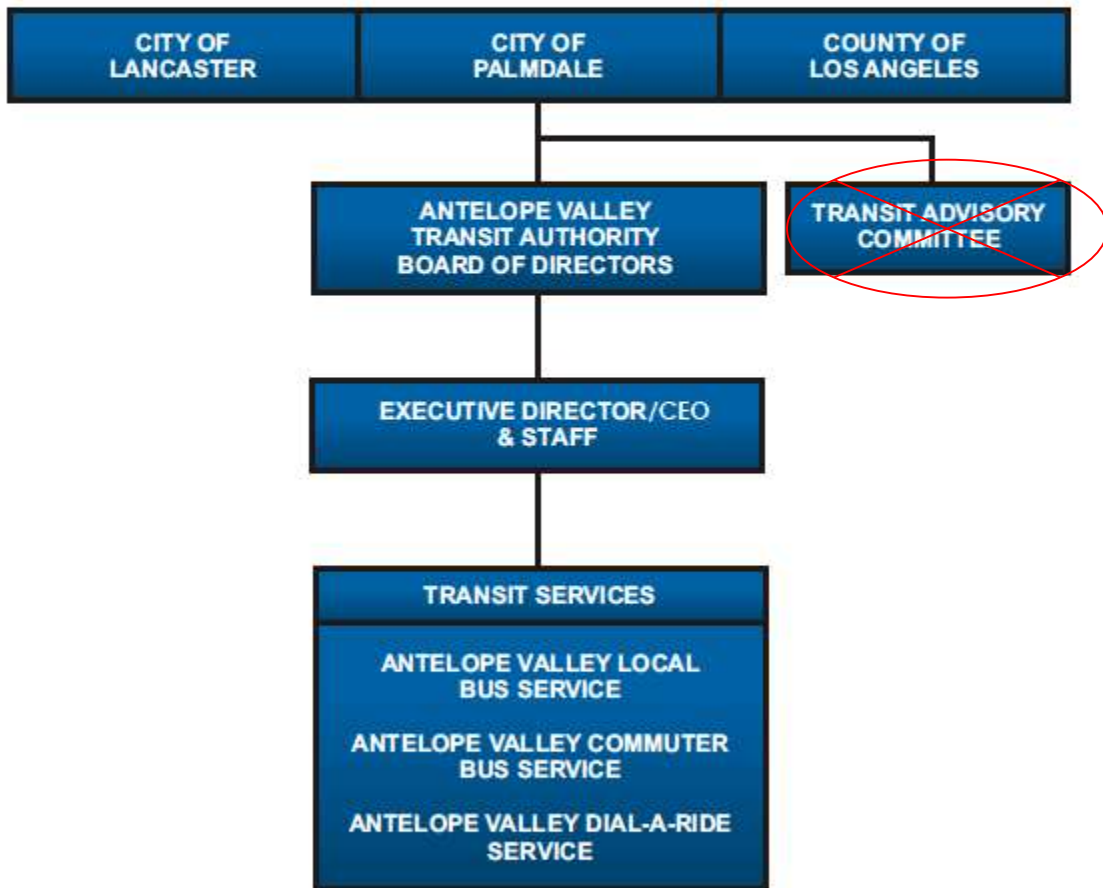
"Vehicle Service" refers to service in which fare-paying passengers can be transported and does not include deadheading, training, or vehicle testing.

"Route" refers to the streets traveled by a public transportation vehicle while it is in vehicle service.

PROPOSED

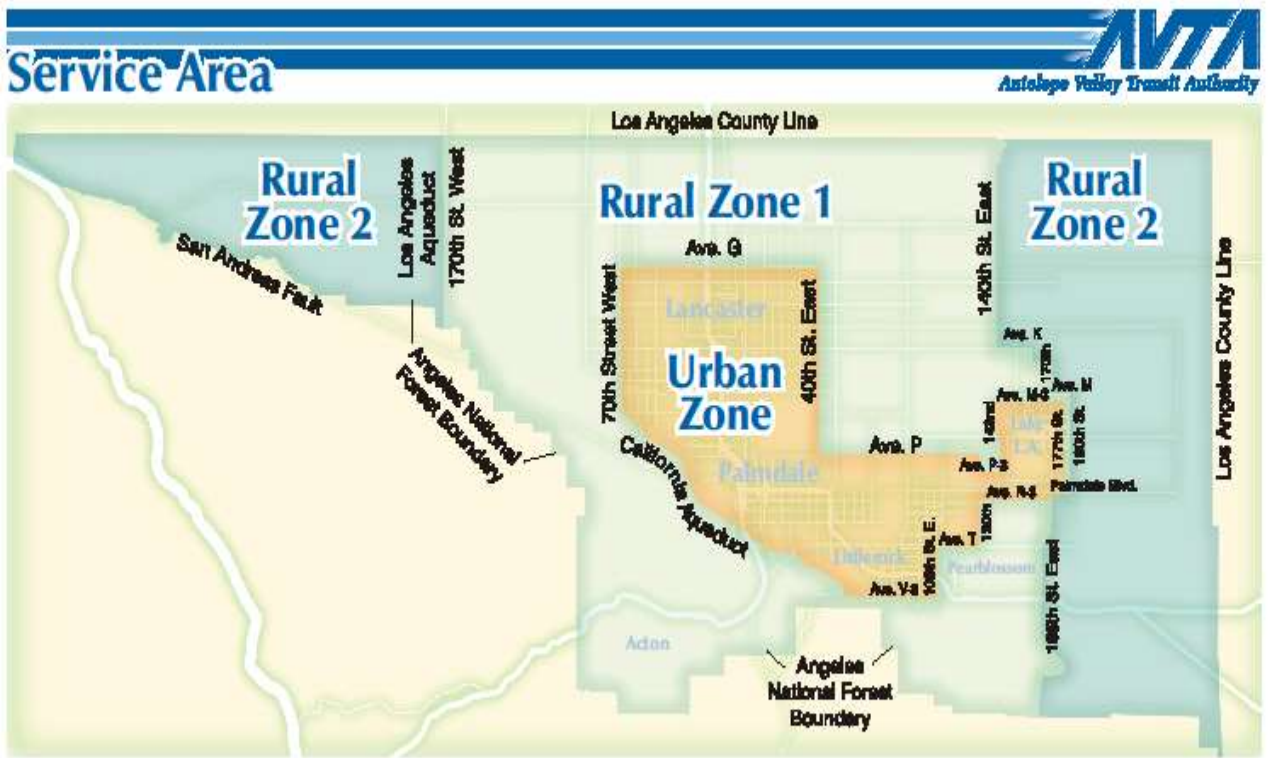


APPENDIX A ANTELOPE VALLEY TRANSIT AUTHORITY ORGANIZATION CHART



APPENDIX B

SERVICE AREA MAP



APPENDIX C

ANTELOPE VALLEY TRANSIT AUTHORITY COST ALLOCATION FORMULA

Commuter Bus Service

The capital and operational cost of the service will be allocated to each jurisdiction based on the percent ridership of each jurisdiction.

Local Fixed-Route Service

The capital and operational cost of the service will be allocated to each jurisdiction based on the percent revenue miles operated in each jurisdiction.

Paratransit and General Public Dial-A-Ride Service

The capital and operational cost of the service will be allocated to each jurisdiction based on the percent ridership of each jurisdiction.

Facilities

Capital and operational costs for operating facilities will be allocated based on the weighted average of the above service costs for each jurisdictional share.

Administration and Other

The administration and other costs provided to the Authority will be allocated based on the weighted average of the above service costs for each jurisdiction share.

Special Event Transportation Service

Jurisdictions requesting special event transportation service utilizing Authority-owned vehicles will pay the Authority an applicable per mile depreciation cost as well as the contractor's operational costs.



DATE: July 26, 2022

TO: BOARD OF DIRECTORS

SUBJECT: First Amendment to Executive Director/CEO Employment Agreement

RECOMMENDATION

That the Board of Directors approve the First Amendment to Executive Director/CEO Employment Agreement.

FISCAL IMPACT

Funding for this item will be included in future Budgets.

BACKGROUND

The Executive Director/CEO's employment agreement was originally executed effective January 1, 2022 through December 31, 2022, with provision for a six-month review and modification. The Board has conducted the six-month review of the Executive Director/CEO and directed preparation of an amendment with (i) a salary increase of 5% and one-time incentive payment of \$5,000; and (ii) extension of the term of the agreement to June 30, 2026. The remaining terms and conditions of the employment agreement will remain the same. A copy of the First Amendment to Executive Director/CEO Employment Agreement is available upon request to the board clerk.

Prepared and Submitted by:

Allison E. Burns
General Counsel, AVTA