Regular Meeting of the Board of Directors

Tuesday, June 22, 2021

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. Please complete a speaker card (available as you enter the Community Room) and provide it to the Clerk of the Board. Speaking clearly, state and spell your name for the record. **State law generally prohibits the Board of Directors from taking action on or discussing non-agenda items; therefore, your matter will be referred to the Authority's Executive Director/CEO for follow-up**. Each speaker is limited to three (3) minutes.

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

SRP 1 PRESENTATION TO TRANSDEV OPERATOR AND EMPLOYEE OF THE MONTH FOR MAY 2021 – TRACY CRAGHEAD

SRP 2 PRESENTATION TO ANTELOPE VALLEY TRANSPORTATION SERVICES EMPLOYEE OF THE MONTH FOR MAY 2021 – ART MINASYAN

SRP 3 LEGISLATIVE REPORT FOR JUNE – JUDY VACCARO-FRY

SRP 4 OPERATIONS KEY PERFORMANCE INDICATORS (KPI) REPORT – MARTIN TOMPKINS

SRP 5 MAINTENANCE KPI REPORT – CECIL FOUST

SRP 6 ESTIMATING THE NATIONAL IMPACT OF GOING ELECTRIC– CECIL FOUST

CONSENT CALENDAR (CC): Items 1 through 7 are consent items that may be received and filed and/or approved by the Board in a single motion. If any member of the Executive Board wishes to discuss a consent item, please request that the item be pulled for further discussion and potential action.

CC 1 BOARD OF DIRECTORS MEETING MINUTES OF MAY 25, 2021 – KAREN DARR

Recommended Action: Approve the Board of Directors Regular Meeting Minutes of May 25, 2021.

CC 2 FINANCIAL REPORT FOR MAY 2021 – JUDY VACCARO-FRY

Recommended Action: Receive and file the Financial Report for May 2021.

CC 3 SOLE SOURCE CONTRACT #2021-76 TO WEIDEMAN GROUP, INC. FOR CALIFORNIA GOVERNMENT RELATIONS CONSULTANT/ADVOCACY SERVICES – JUDY VACCARO-FY

Recommended Action: Authorize the Executive Director/CEO to execute Sole Source Contract #2021-76 for California Government Relations Consultant/Advocacy Services to Weideman Group, Inc., Sacramento, CA, for a one (1) year period for an amount of $90,000.

CC 4 ANNUAL REVIEW AND UPDATE OF THE PUBLIC TRANSPORTATION AGENCY SAFETY PLAN – MARTIN TOMPKINS

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 2021-007, adopting the updated PTASP.

CC 5 AMENDMENT NO. 2 TO CONTRACT #2020-37 WITH COMPLETE COACH WORKS FOR TRANSIT BUS DRIVER PROTECTION BARRIERS – LYLE BLOCK

Recommended Action: Authorize the Executive Director/CEO to execute Amendment No. 2 to Contract #2020-37 with Complete Coach Works, Riverside, CA, to purchase ten (10) additional transit bus driver protection barriers, that will aid in protecting our drivers from COVID-19, for an amount not to exceed $63,906.30, plus applicable sales tax.

CC 6 RESOLUTION NO. 2021-008, AUTHORIZING THE EXECUTIVE DIRECTOR/CEO AND/OR THE CHIEF FINANCIAL OFFICER TO EXECUTE ALL REQUIRED DOCUMENTS OF THE FEDERAL TRANSIT ADMINISTRATION (FTA) AS REQUIRED BY THE DEPARTMENT OF TRANSPORTATION'S (DOT) PROGRAM FOR FISCAL YEAR 2021/2022 (FY 2022) – JUDY VACCARO-FRY

Recommended Action: Adopt Resolution No. 2021-008, a Resolution authorizing the Executive Director/CEO and/or the Chief Financial Officer to execute all required documents of the FTA as required by the DOT's Program for FY 2022.

CC 7 RESOLUTION NO. 2021-009, AUTHORIZING THE EXECUTIVE DIRECTOR/CEO AND/OR THE CHIEF FINANCIAL OFFICER TO EXECUTE ALL REQUIRED DOCUMENTS OF THE STATE OF CALIFORNIA (CALTRANS) AS REQUIRED BY THE DEPARTMENT OF TRANSPORTATION'S (DOT) PROGRAM FOR FISCAL YEAR 2021/2022 (FY 2022) – JUDY VACCARO-FRY

Recommended Action: Adopt Resolution No. 2021-001, a Resolution authorizing the Executive Director/CEO, and/or the Chief Financial Officer to execute all

required documents of Caltrans as required by the State's DOT Program for FY 2022.

NEW BUSINESS (NB):

NB 1 FY 2022 PROPOSED BUDGET – JUDY VACCARO-FRY

Recommended Action: Approve the FY 2022 Proposed Budget.

NB 2 RESOLUTION NO. 2021-006, AMENDING BYLAWS – REMOVAL OF TRANSIT ADVISORY COMMITTEE – MACY NESHATI

Recommended Action: Adopt Resolution No. 2021-006, amending the Bylaws to: (1) remove Section 5.0 entitled "TRANSIT ADVISORY COMMITTEE" establishing the Transit Advisory Committee; and (2) revise Sections 7.10 and 7.30 to delete references to the Transit Advisory Committee.

NB 3 SOLE RESPONDENT CONTRACT #2021-60 TO BYD COACH AND BUS LLC FOR FOUR (4) USED 35-FOOT BATTERY ELECTRIC LOCAL TRANSIT BUSES – LYLE BLOCK

Recommended Action: Authorize the Executive Director/CEO to execute Sole Respondent Contract #2021-60 with BYD Coach and Bus LLC, Los Angeles, CA, to purchase outright four (4) 35-foot battery electric buses for an amount not to exceed $1,885,051.96, plus applicable sales tax.

NB 4 LEVEL III ELECTRIC CHARGERS FOR AVTA'S PROPERTY LOCATED AT 40235 170TH ST. E., LANCASTER, CA 93591 (AVTA EAST) – LYLE BLOCK

Recommended Action: Authorize the Executive Director/CEO to execute multiple contracts for breakroom, installation of Level III electric chargers and security fencing for AVTA's property located at 40235 170th St. E., Lancaster, CA 93591 (AVTA East) for an amount not to exceed $280,000.

CLOSED SESSION (CS):

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

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

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

RECESS TO CLOSED SESSION

RECONVENE TO PUBLIC SESSION

REPORT BY LEGAL COUNSEL OF ACTION TAKEN IN CLOSED SESSION

REPORTS AND ANNOUNCEMENTS (RA):

RA 1 REPORT BY THE EXECUTIVE DIRECTOR/CEO

MISCELLANEOUS BUSINESS – NON-AGENDA BOARD OF DIRECTORS ITEMS:

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

ADJOURNMENT:

Adjourn to the Regular Meeting of the Board of Directors on July 27, 2021 at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6th Street West, Lancaster, CA.

The agenda was posted by 6:00 p.m. on June 17, 2021 at the entrance to the Antelope Valley Transit Authority, 42210 6th Street West, Lancaster, CA 93534.

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

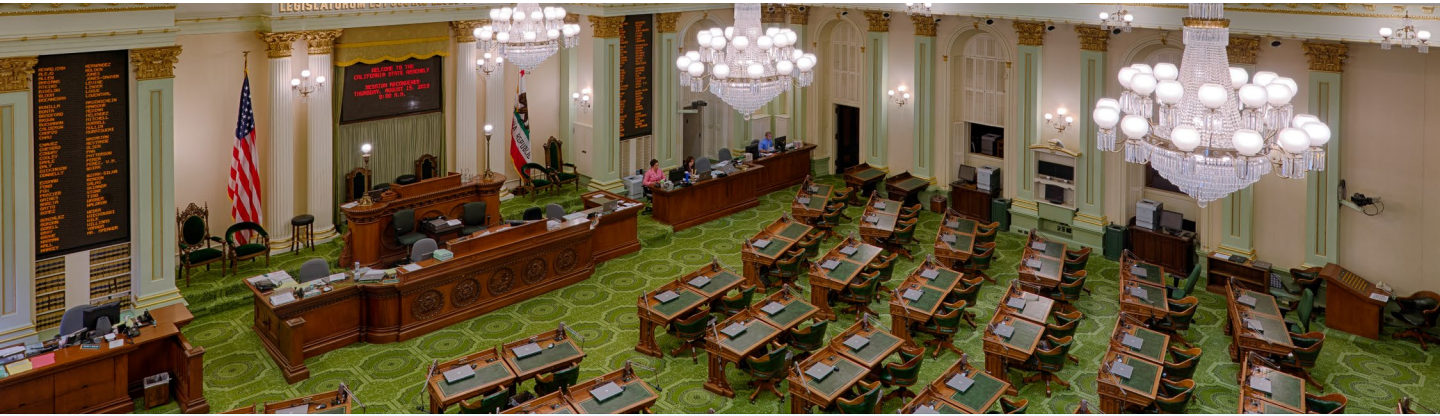
Legislative Update

June 22, 2021

Presentation to

AVTA Board of Directors

STATE


WELCOME TO THE
CALIFORNIA STATE ASSEMBLY
SESSION RECONVENES
THURSDAY, AUGUST 15, 2013
9:00 A.M.

State Budget

Senate and Assembly approved the Legislature's FY 2022 state budget.

- $3 billion in funding for transportation infrastructure and active transportation projects;
- $2.7 billion to support zero-emission vehicle deployment ($3.9 billion over three years);
- $1.4 billion in Cap-and-Trade Expenditures;
- $10 million for UC ITS; and,
- Placeholder language to provide continued statutory relief to California transit agencies.

Antelope Valley Transit Authority

The Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP) opened to new voucher requests on June 8. Half of the available funds for FY20-21 have now been requested, totaling $84 million, funding over 900 vehicles.

The remaining funds, up to $83 million, will be available on a first-come, first-served basis starting at 10 a.m. Pacific on August 10.

AVTA has applied for the 10 new articulated buses = $1,380,000

FEDERAL

Surface Transportation Reauthorization INVEST in America Act – H.R. 3684

On June 10th the House Transportation & Infrastructure Committee approved a five-year, $548 billion surface transportation reauthorization bill.

"By July 1st will should see the House vote on H.R. 3684, the INVEST in America Act, to grow our economy and create good jobs for American workers by modernizing our nation's roads, bridges, rail and transit."

This week the House Rules Committee will post a revised version of H.R. 3684 that will also includes the missing parts from the Ways and Means Committee (Trust Fund) and the Energy and Commerce Committee (NHTSA vehicle safety)

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Surface Transportation Reauthorization INVEST in America Act – H.R. 3684

HOUSE

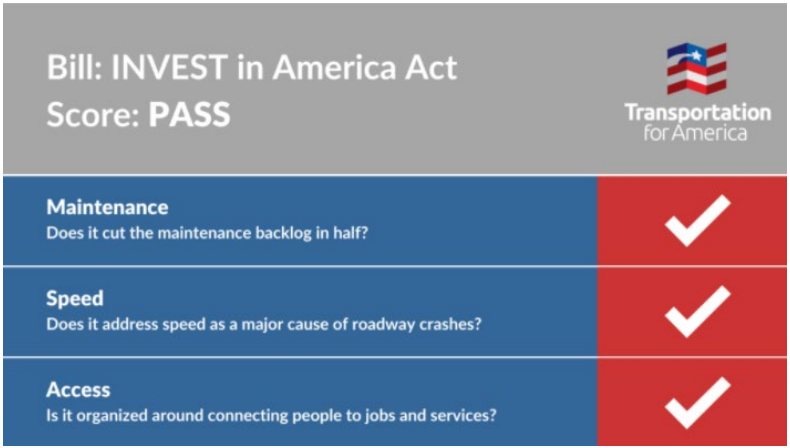
- +$1.3 billion CMAQ
- + $1.5 billion to National Highway Freight
- Creates 4 new apportioned programs + $20.2 billion
- +$8.6 for General Purpose

SENATE

- + $4.4 billion overall
- +$7.4 billion to National Highway Performance
- Creates 2 new apportioned programs – similar to House bills + $13.7 billion

Antelope Valley Transit Authority

Surface Transportation Reauthorization INVEST in America Act – H.R. 3684



1) Prioritizes maintenance first in nearly every program
2) Institutes a comprehensive approach to safety
3) States and metro area planners must determine how well their system connects people to jobs—drivers and non-drivers alike

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FTA CHALLENGE

Program promotes how transit agencies can reduce greenhouse gas (GHG) emissions.

Encourages transit agencies to take bold actions and investments to cut GHG emissions.

In 2019, 18 percent of the nation's bus fleet was hybrid-electric, from only 1 percent in 2005, and the number of electric buses continues to grow.

On Earth Day 2022, FTA will showcase the impact of the challenge and transit agency success stories toward reducing their GHG emissions.

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AMERICA JOBS PLAN

Will it be part of the Budget Reconciliation??

Will it be part of the new Surface Transportation Bill??

Will it be a stand alone bill??

What's the definition of infrastructure??

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REGIONAL

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LACMTA – Fareless System Initiative

May Board Meeting = 6 ½ hours

The final recommendation presses pauses and asks for MTA to bring back a funding plan.

LACMOA reiterated their request to incoming CEO Stephanie Wiggins - a 50% reimbursement of fare loss v. 35% as proposed.

Antelope Valley Transit Authority

CARES Act + CRRSAA Stimulus Funds

LA County CARES Act Total = **$1,387,405**

- Phase 1 = $475,588
- Phase 2 = $911,817

LA County CRRSAA = **1,245,570**

ARPA - TBD

Antelope Valley Transit Authority

Questions?

Thank you

Antelope Valley Transit Authority

SRP 4

FY 2021 Monthly Operations Key Performance Indicators

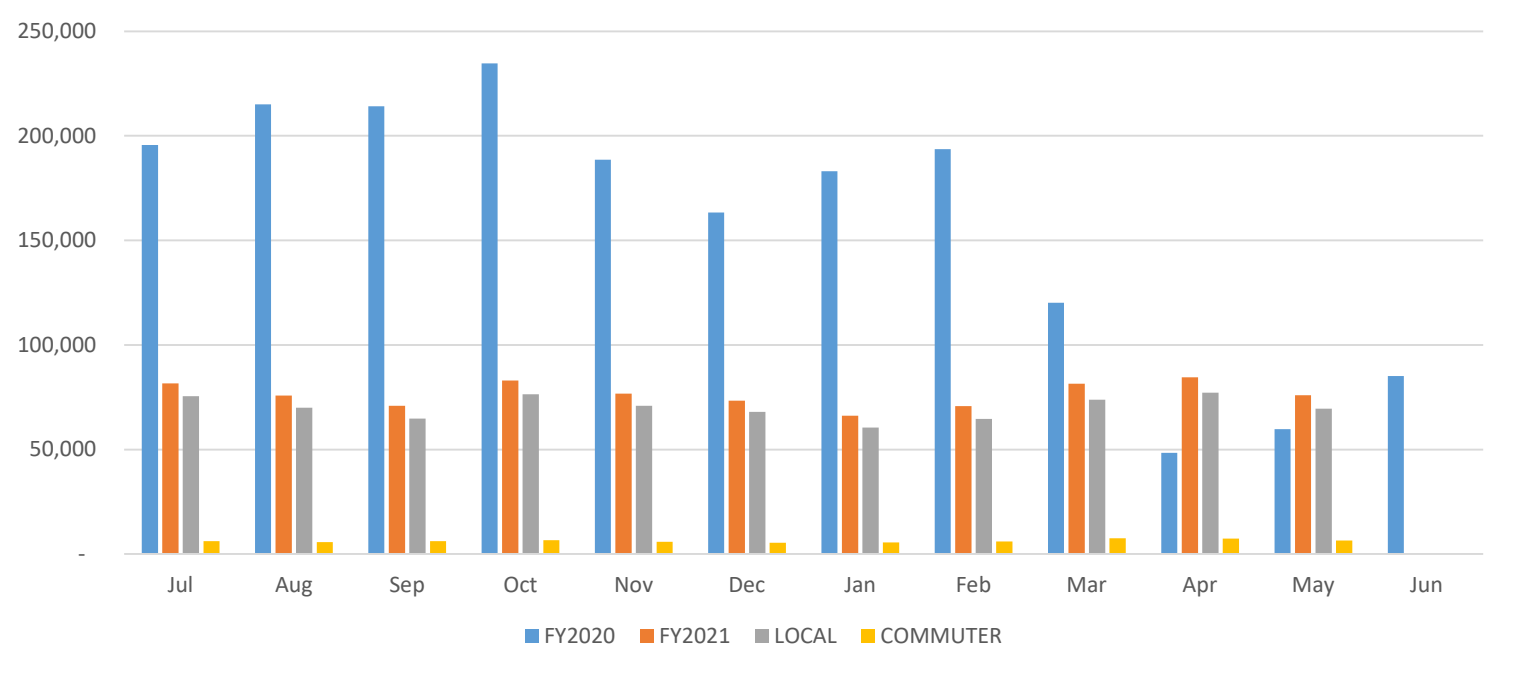
Presentation to the Board of Directors

June 22, 2021

Antelope Valley Transit Authority

MONTHLY BOARDING ACTIVITY

	May FY 2021	April FY 2021
System	75,978	84,550
Local	69,499	77,202
Commuter	6,479	7,348



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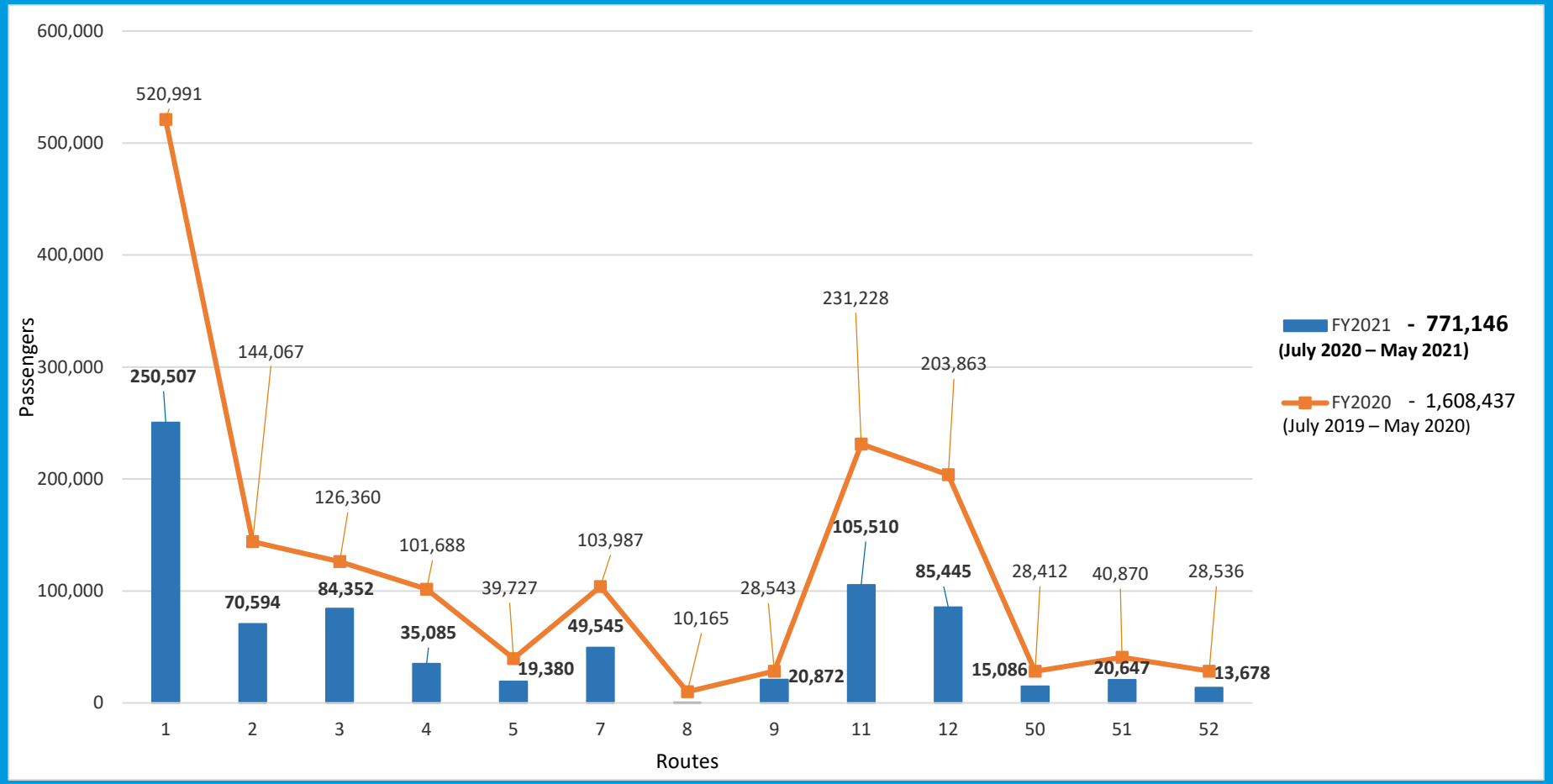
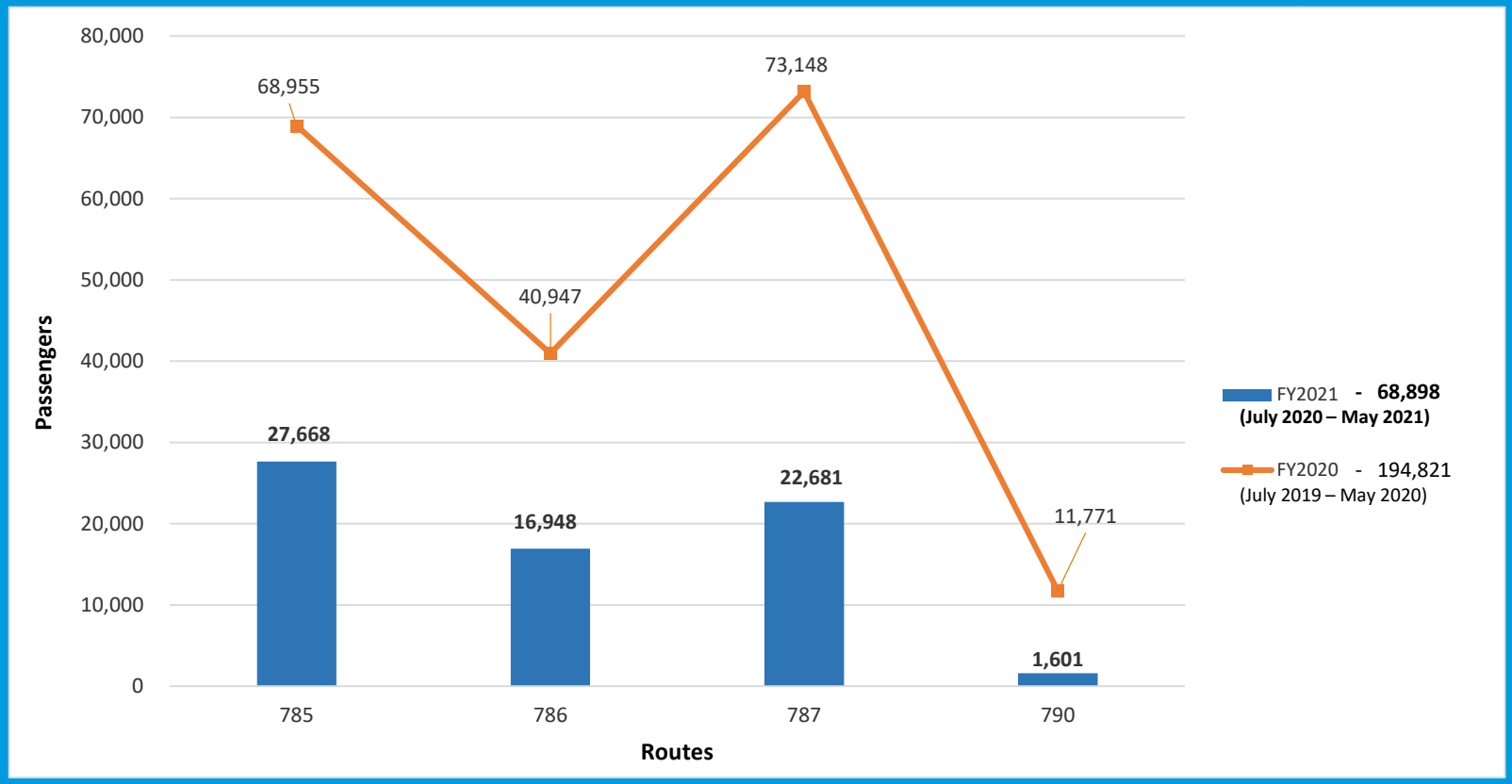
ANNUAL RIDERSHIP LOCAL ROUTES



Antelope Valley Transit Authority

ANNUAL RIDERSHIP COMMUTER ROUTES



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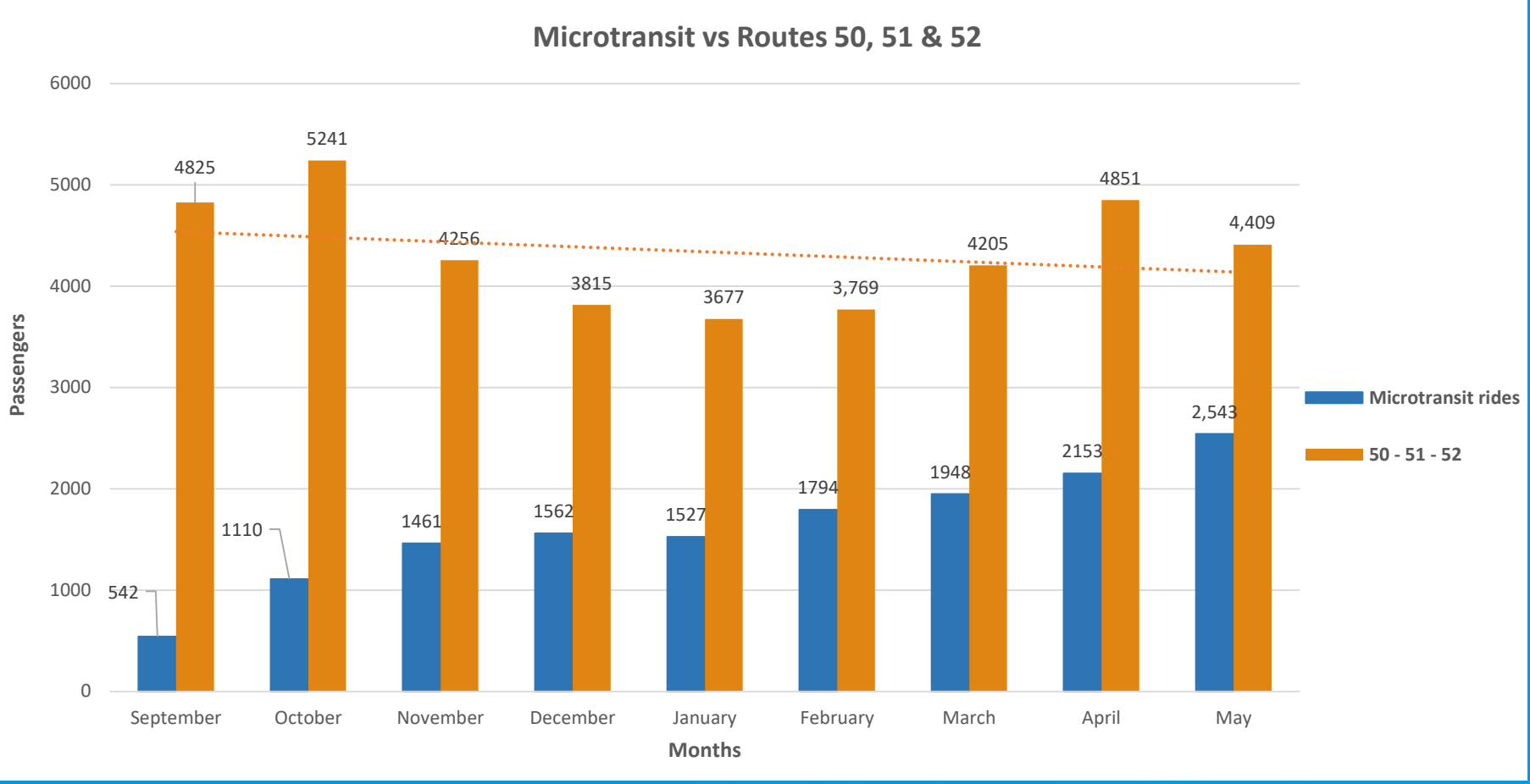
MICROTRANSIT RIDERSHIP ACTIVITY PILOT PROGRAM



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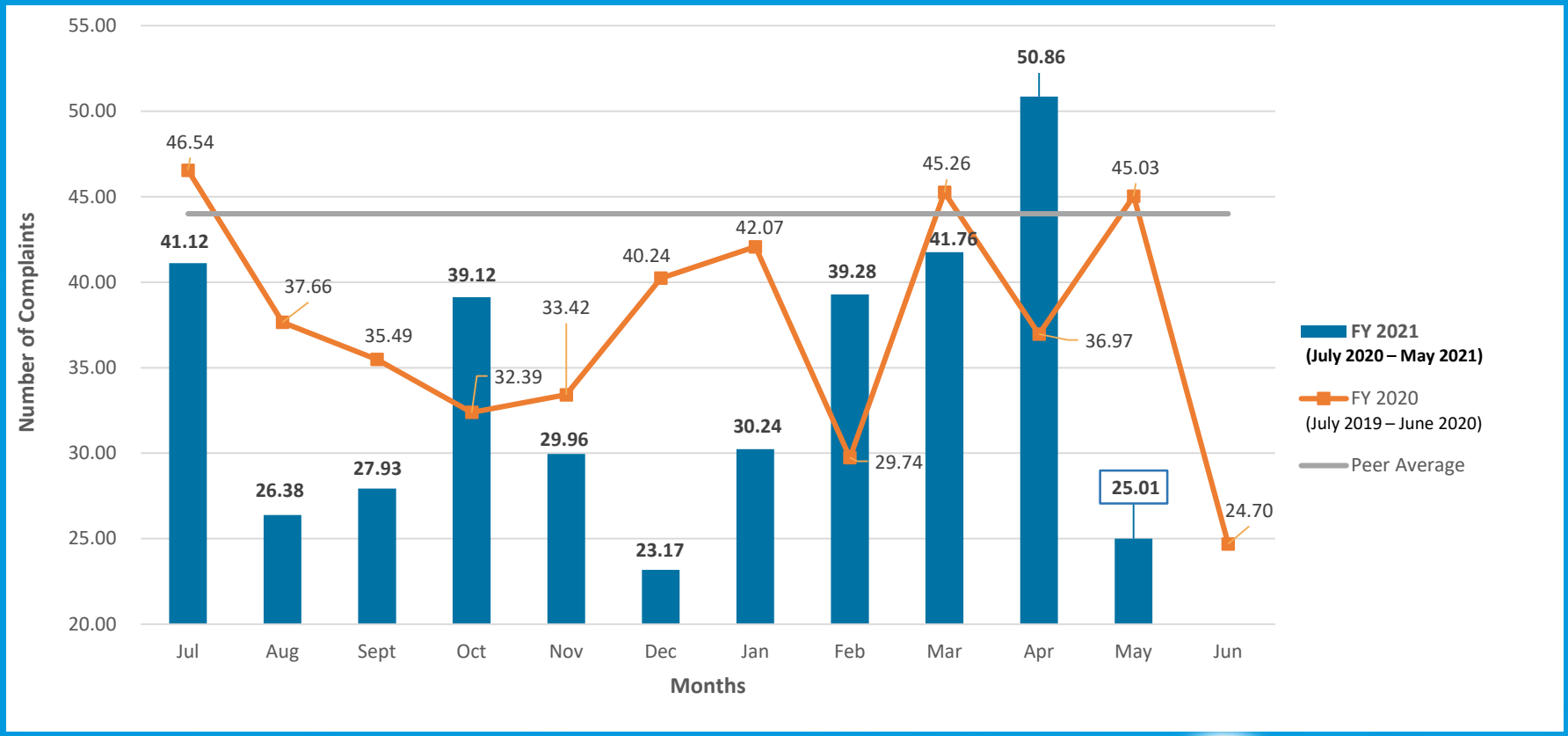
COMPLAINTS/100,000 BOARDINGS

MAY - SYSTEM WIDE AVERAGE: 25.01

PEER AVERAGE: 44.00



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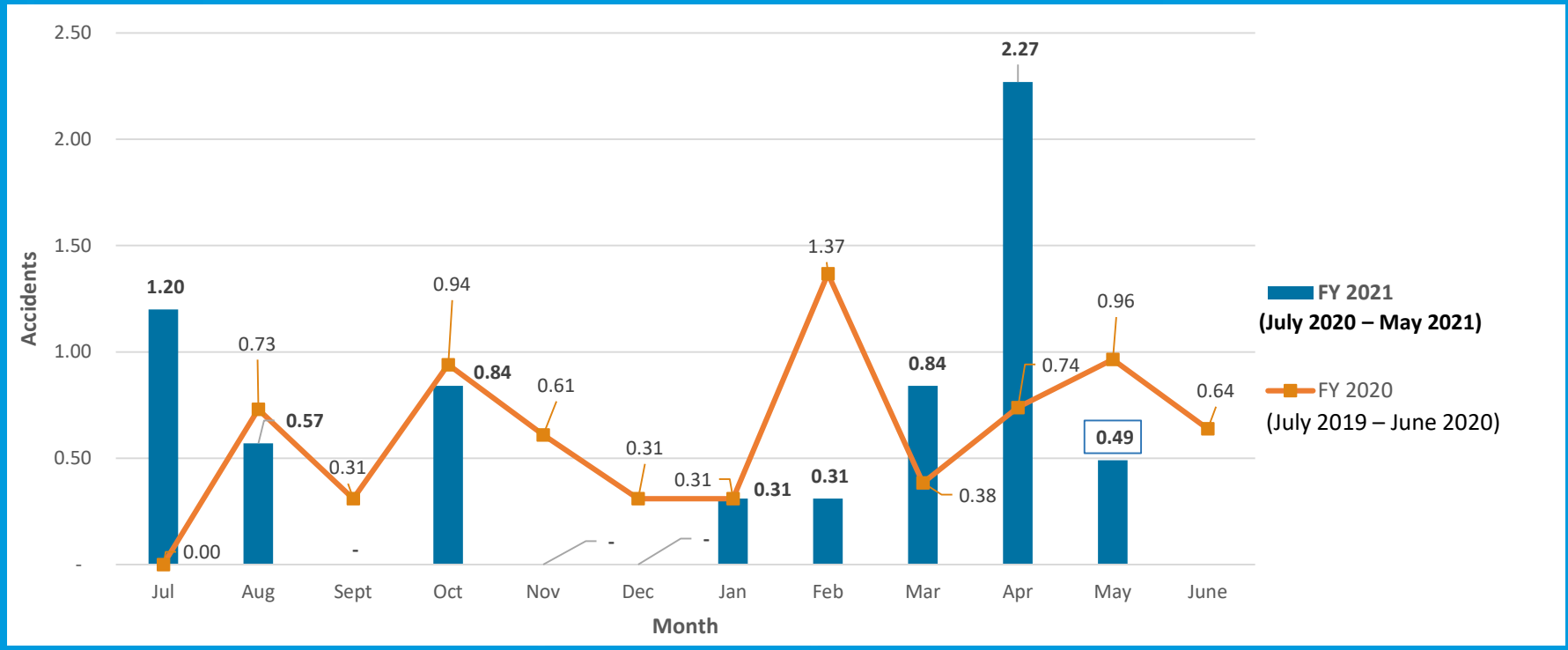
PREVENTABLE ACCIDENTS/100,000 MILES

MAY - SYSTEM WIDE AVERAGE: 0.49



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KEY PERFORMANCE INDICATORS

	May FY 2021	April FY 2021	May FY 2020
Boarding Activity	75,978	84,550	48,852
Complaints / 100,000 Boardings	25.01	50.86	45.03
Preventable Accidents / 100,000 Miles	0.49	2.27	0.96

Antelope Valley Transit Authority

Thank you!

Questions?

SRP 5

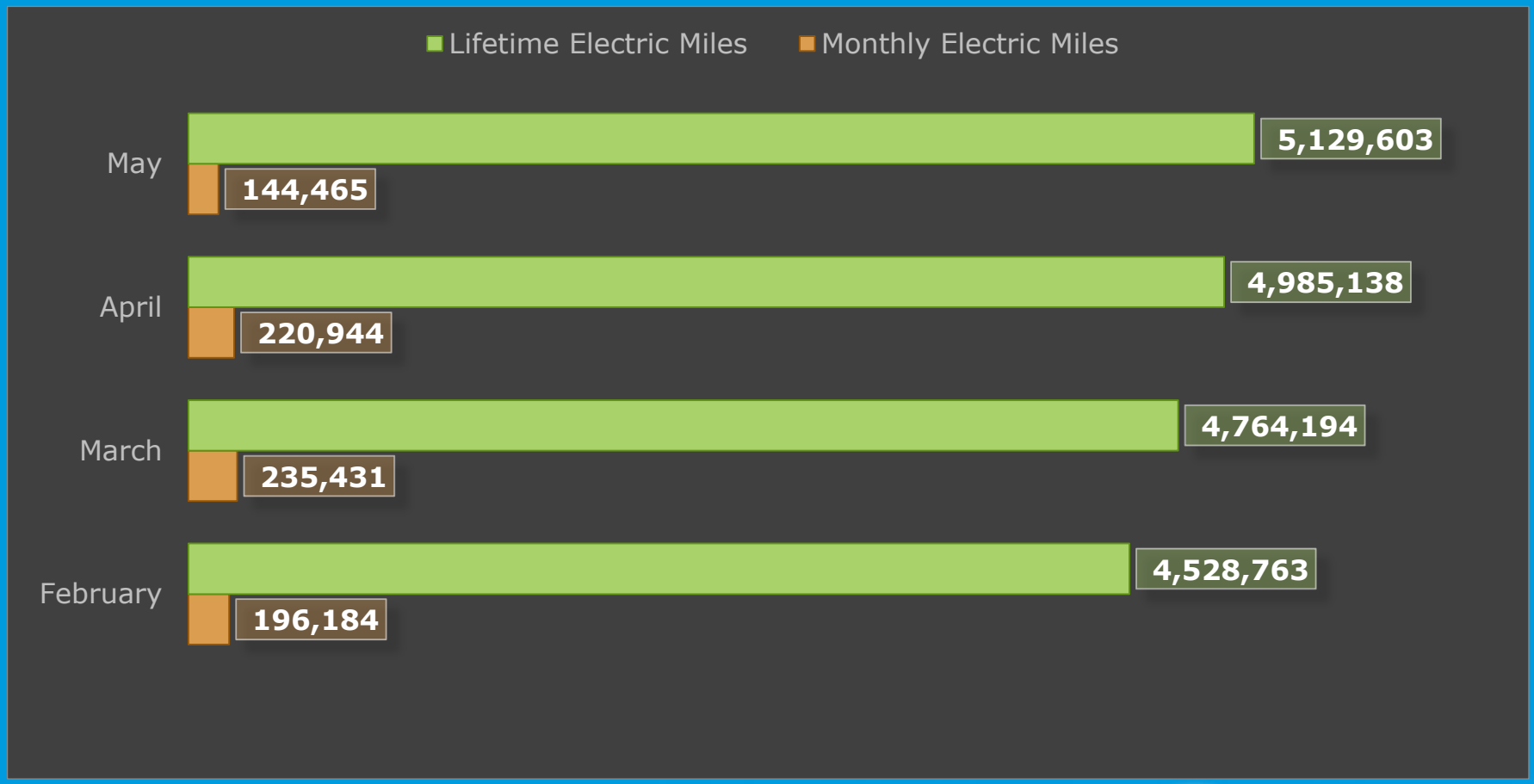
FY 2021 Monthly Maintenance Key Performance Indicators

Presentation to the Board of Directors

June 22, 2021

Antelope Valley Transit Authority

ELECTRIC MILES TRAVELED



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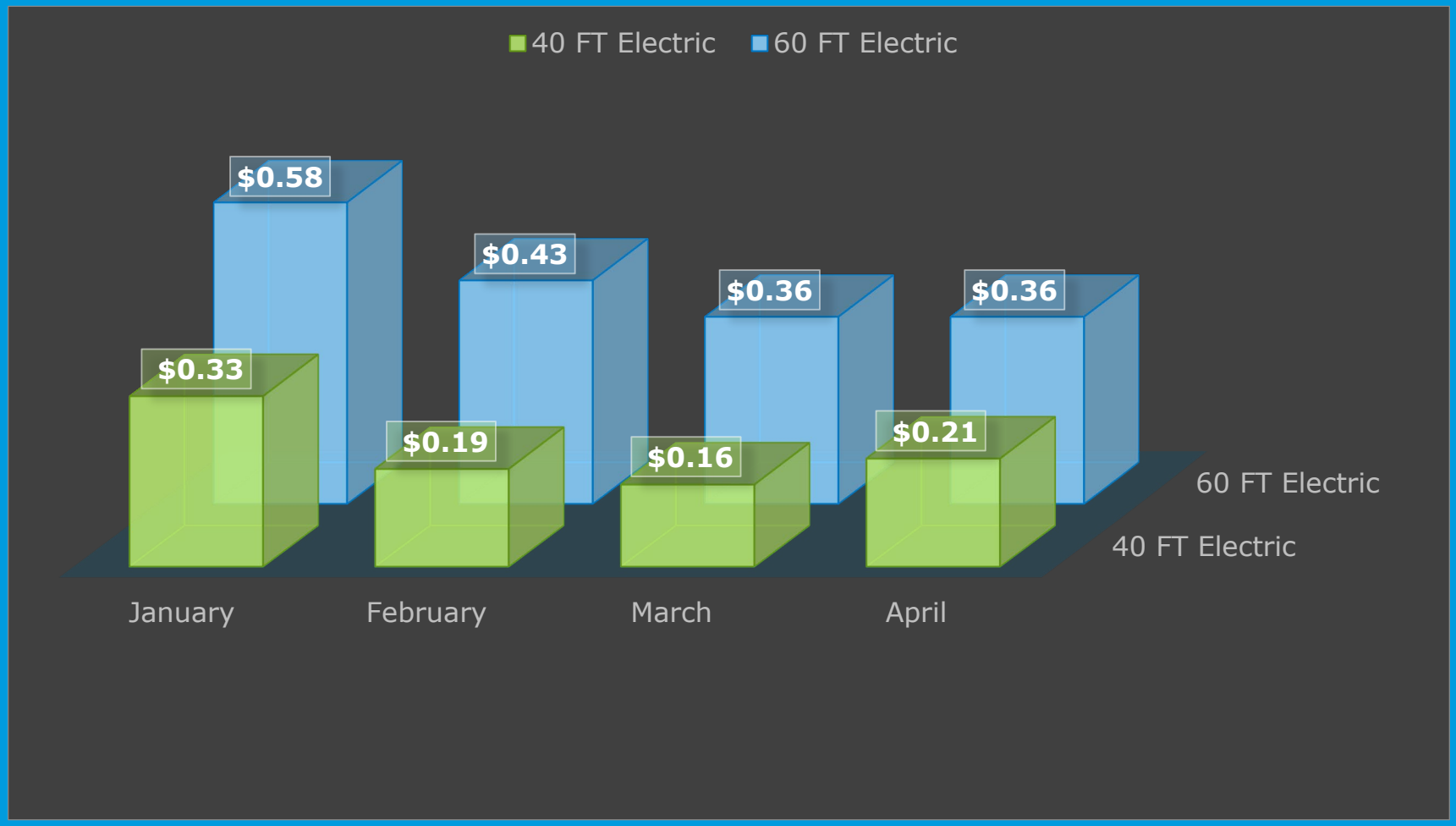
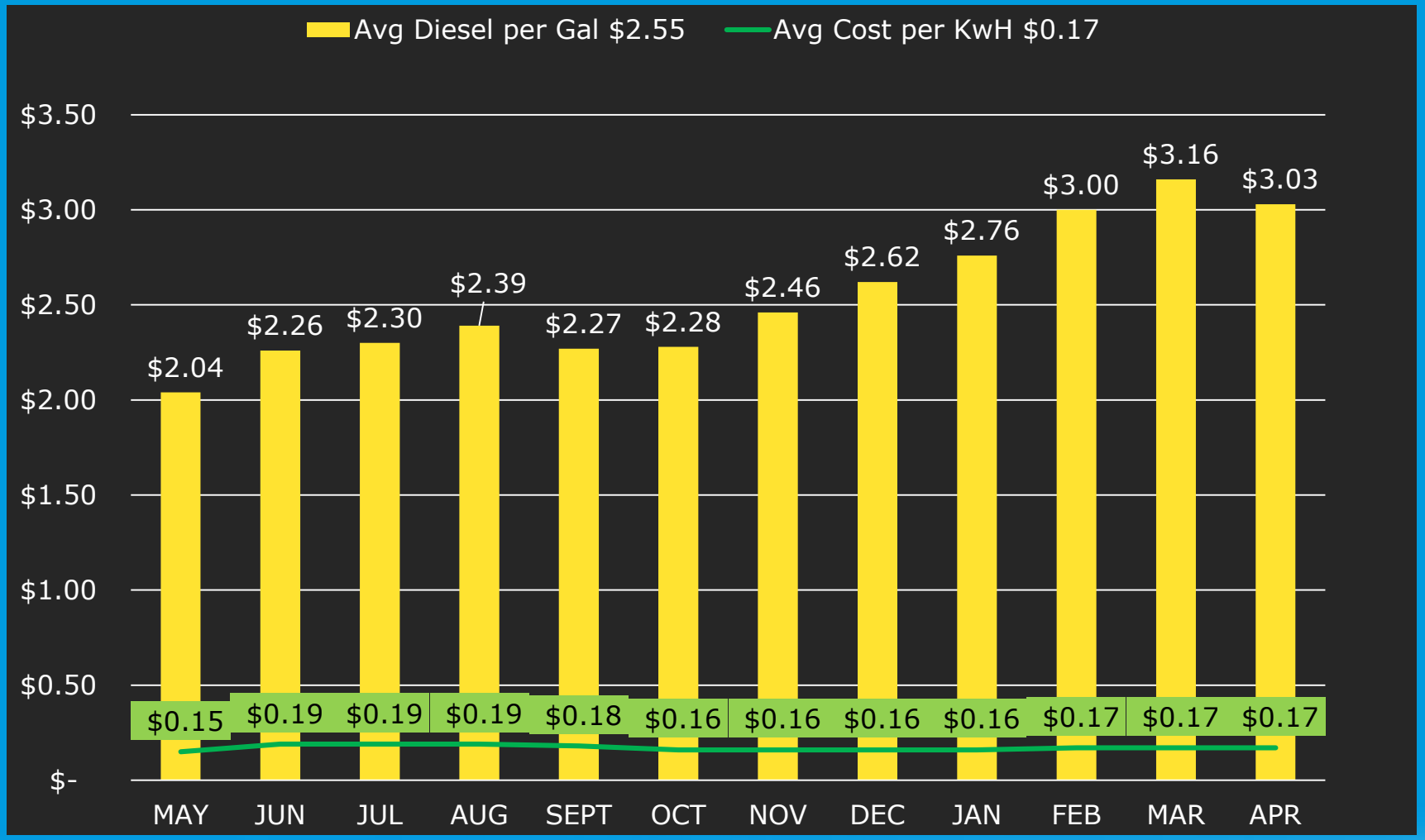
MAINTENANCE COST PER MILE BY FLEET



FUEL/ENERGY COST PRIOR 12 MONTHS



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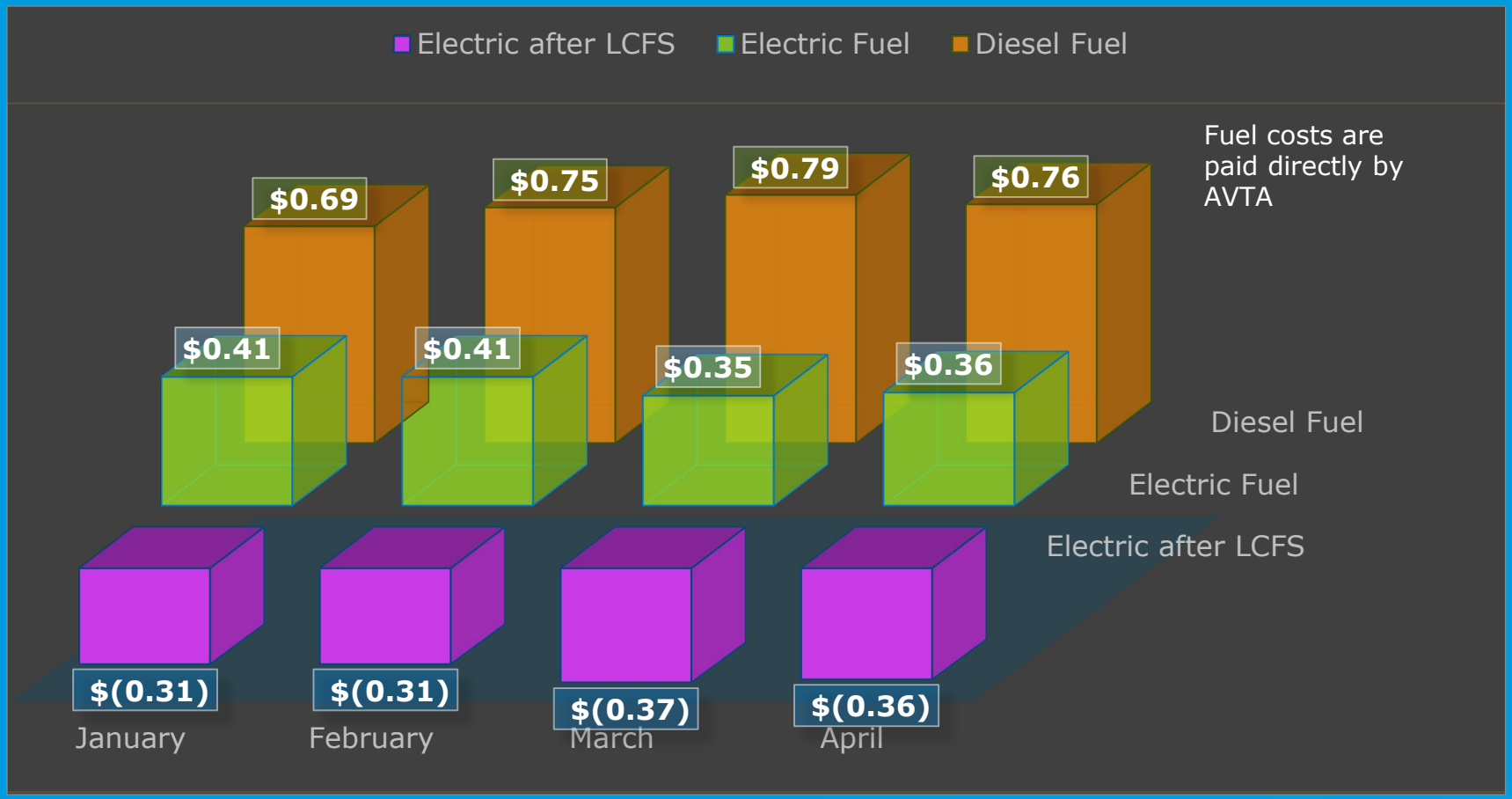
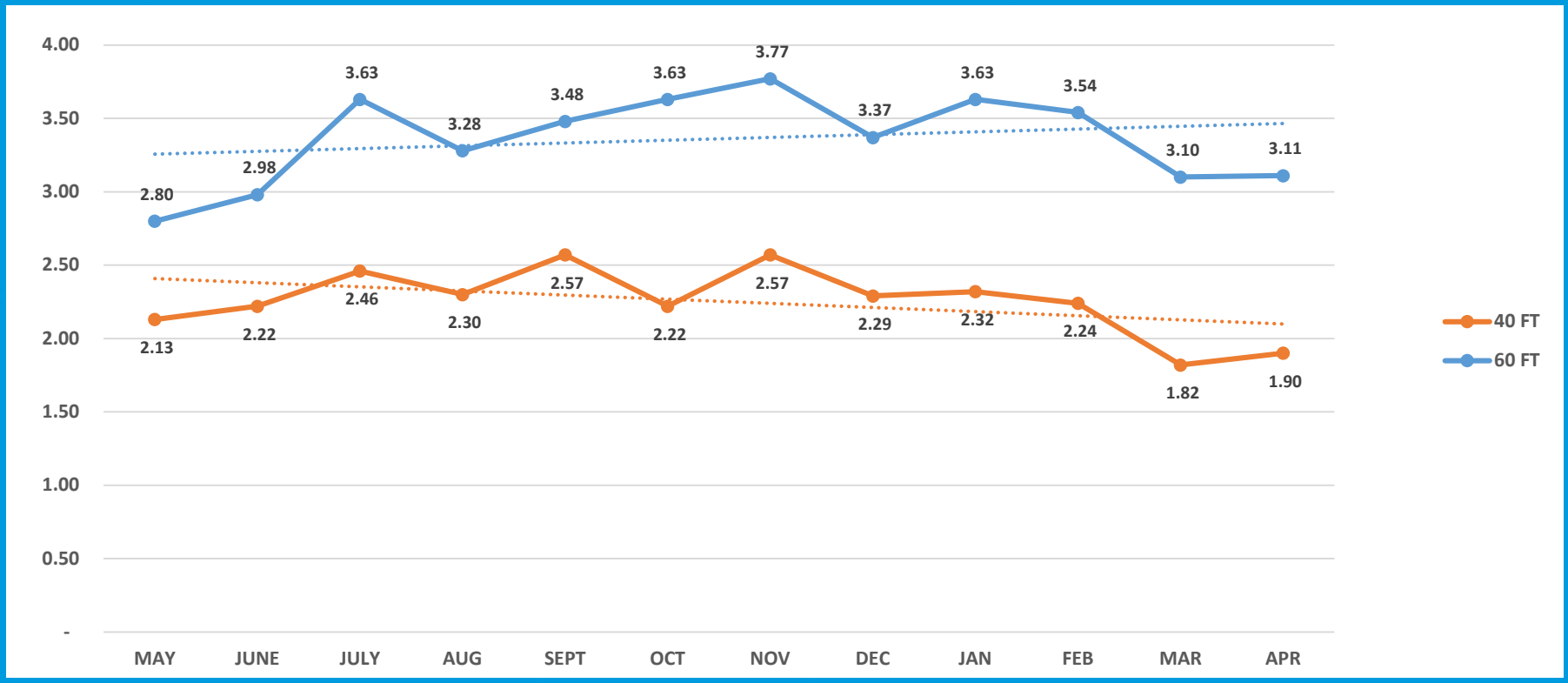
PROPULSION FUEL COST PER MILE w/LOW CARBON FUEL STANDARD (LCFS) OFFSET



AVERAGE FUEL CONSUMPTION PER MILE (KWPM)



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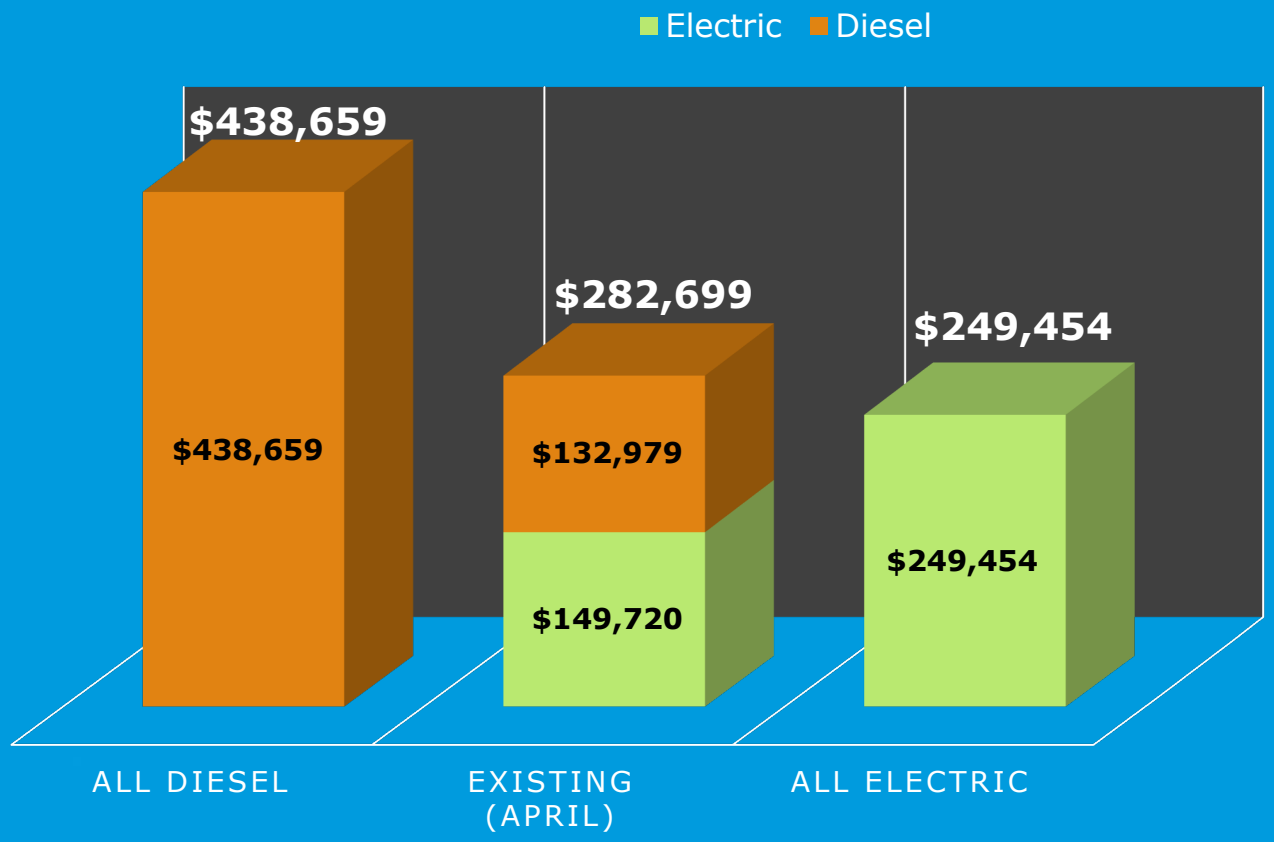
TOTAL FUEL & MAINTENANCE COST ASSUMPTIONS



April Fuel and Maintenance Savings $155,960

Projected Savings $189,205

AVTA Fuel Only $53,494

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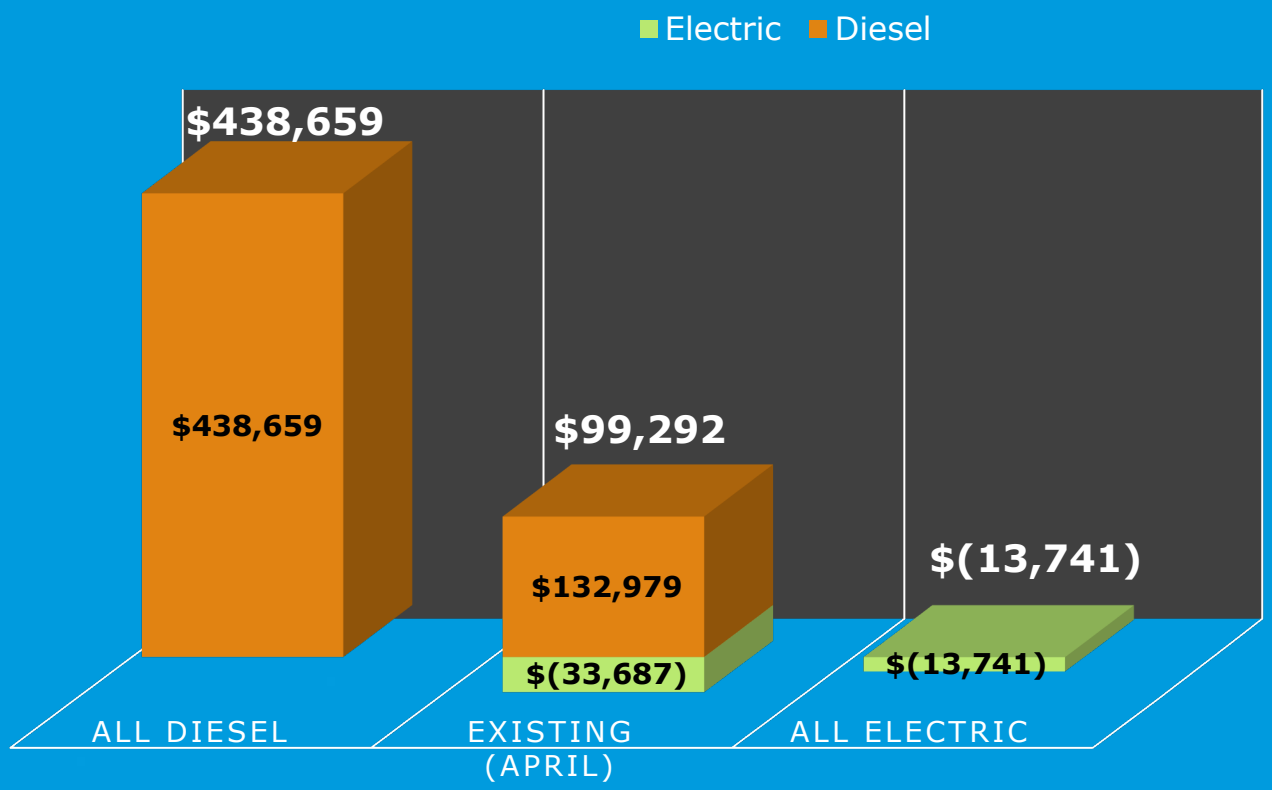
TOTAL FUEL & MAINTENANCE COST ASSUMPTIONS W/LCFS



April Total Fuel and Maintenance Savings $339,367

AVTA Fuel Savings plus LCFS $236,901

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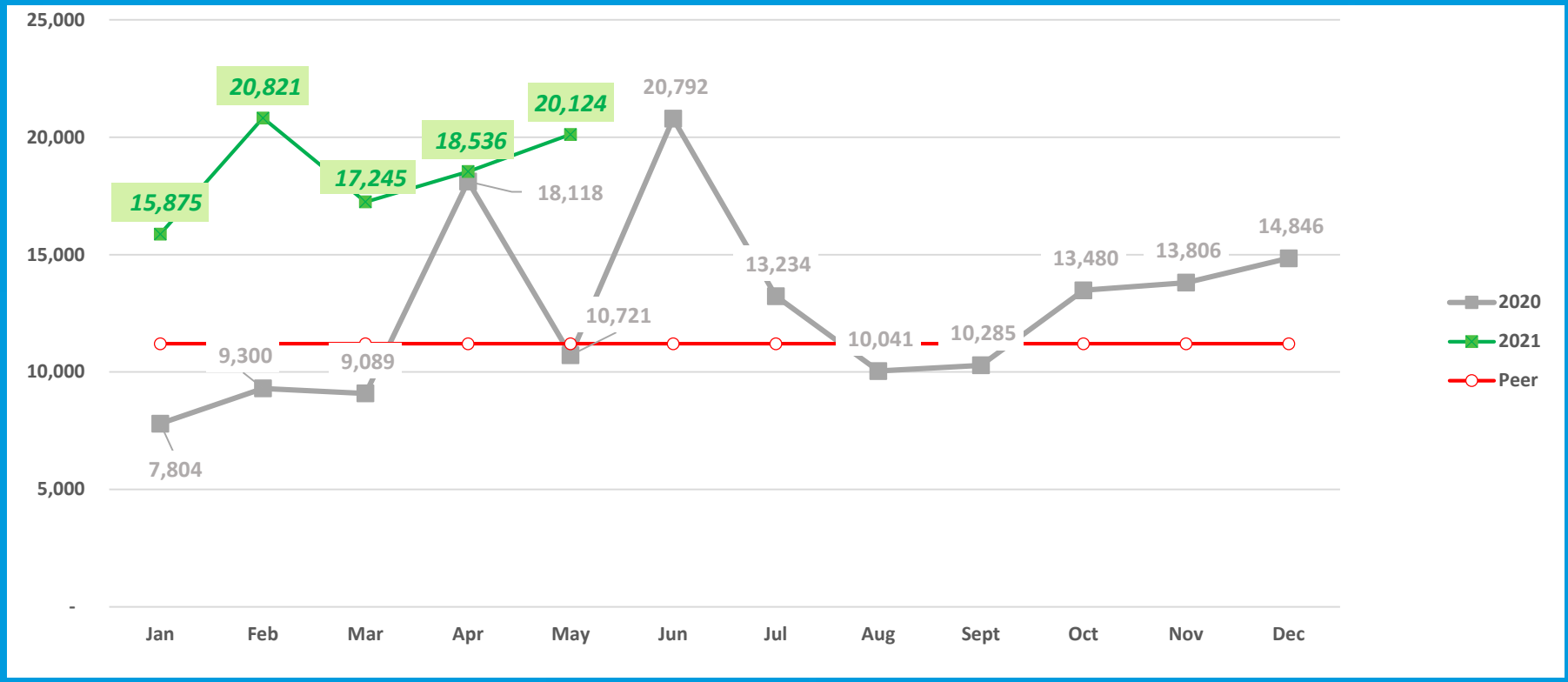
AVERAGE MILES BETWEEN SERVICE INTERRUPTIONS

Peer Average: 11,206 Target: 15,500



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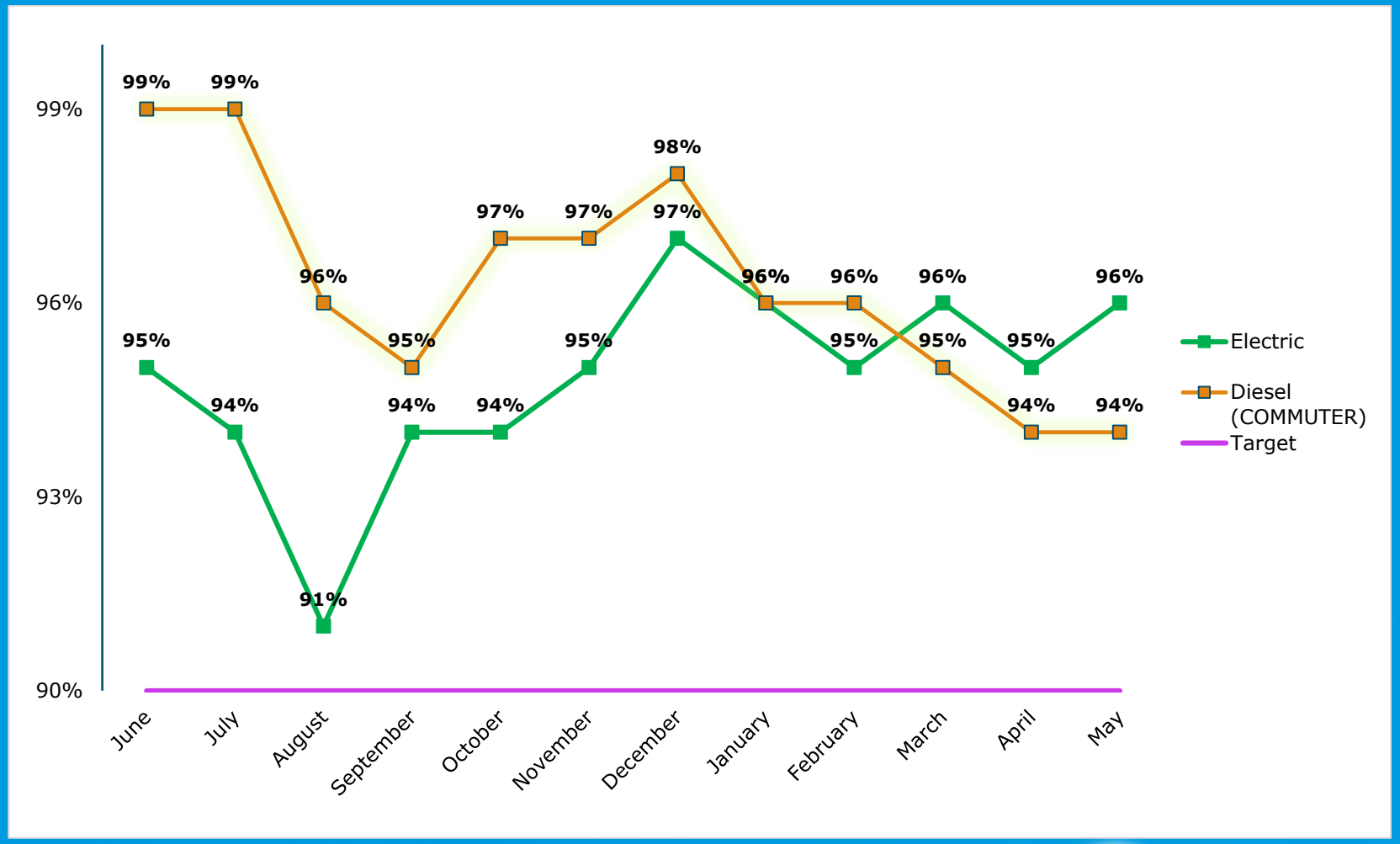
FLEET AVAILABILITY

Peer Average: 77% Target 90%



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Discussion/Questions?

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SRP 6

Estimating the National Impact of Going Electric

Fleet Estimates from the Data reported by the NTD in 2019.

Only HD buses 30’ and over were analyzed

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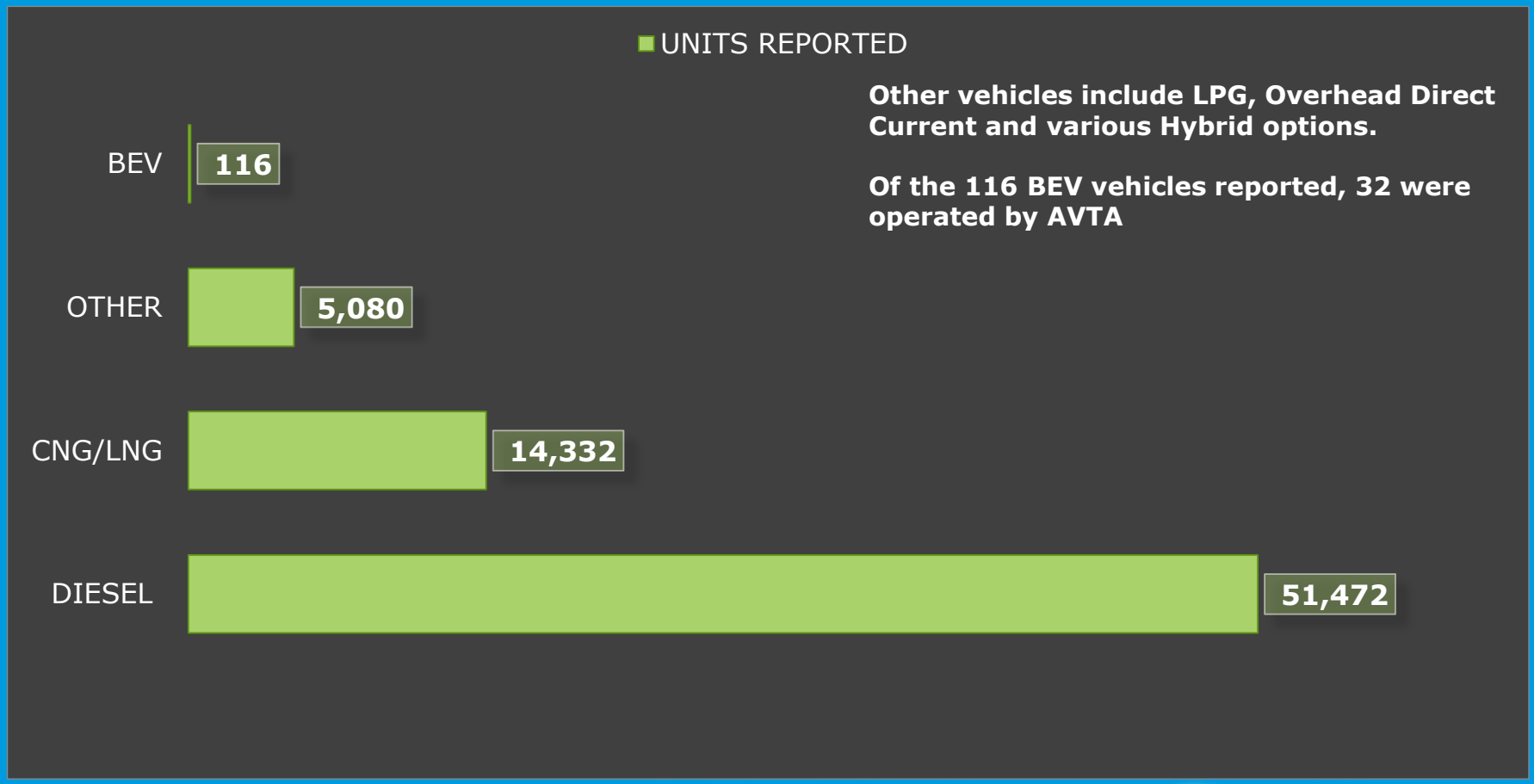
Fleet Makeup



Other vehicles include LPG, Overhead Direct Current and various Hybrid options.

Of the 116 BEV vehicles reported, 32 were operated by AVTA

Antelope Valley Transit Authority

Things Known/Estimated

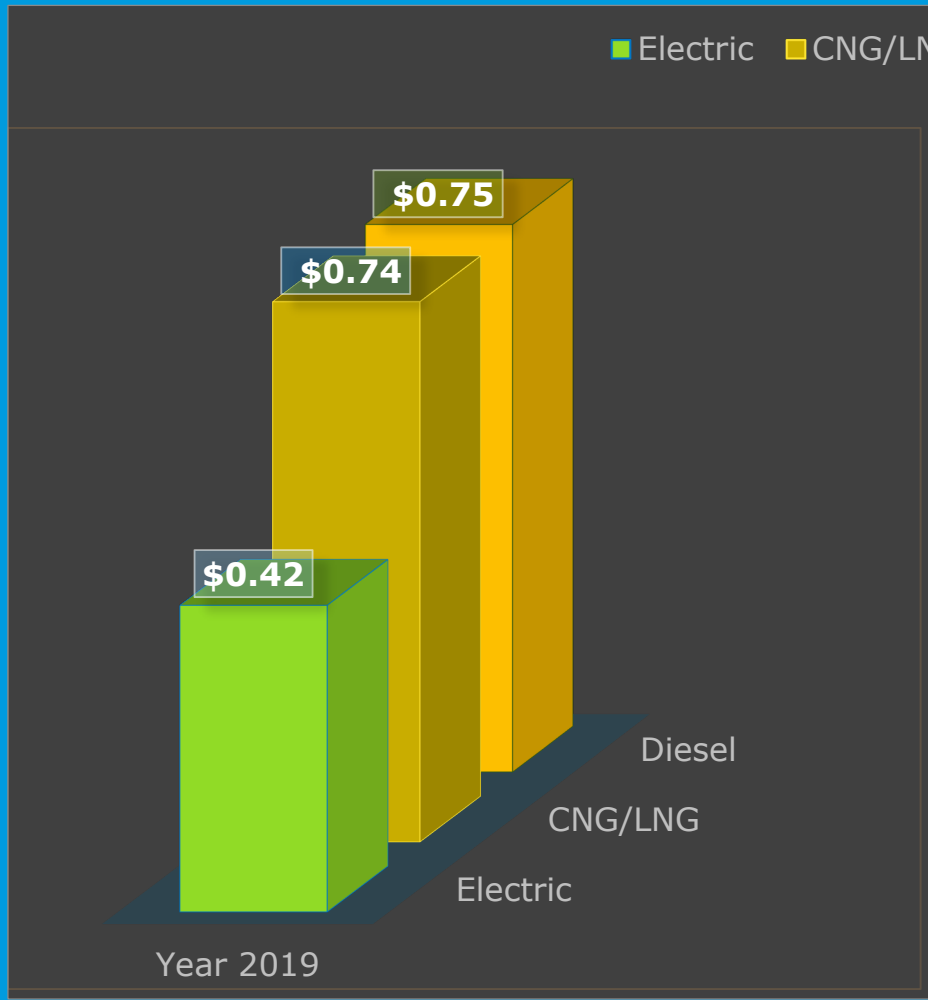
360,304,000 Gallons of diesel was consumed
133,765,333 Gallons of LNG/CNG was consumed
Diesel and Natural gas buses logged 1,842,512,000 miles

The average diesel bus will perform at 4 mpg
The average Electric bus will perform at 3KWpM or better
The average CNG/LNG will perform at 3mpg (national avg.)

Only Diesel and CNG/LNG were considered
Maintenance costs were not considered

Antelope Valley Transit Authority

PROPULSION FUEL COST PER MILE



2019 average fuel cost

Diesel was $3.00 per gallon
Electric was $.14 pKWh (avg.)
CNG/LNG was $2.22 per gallon

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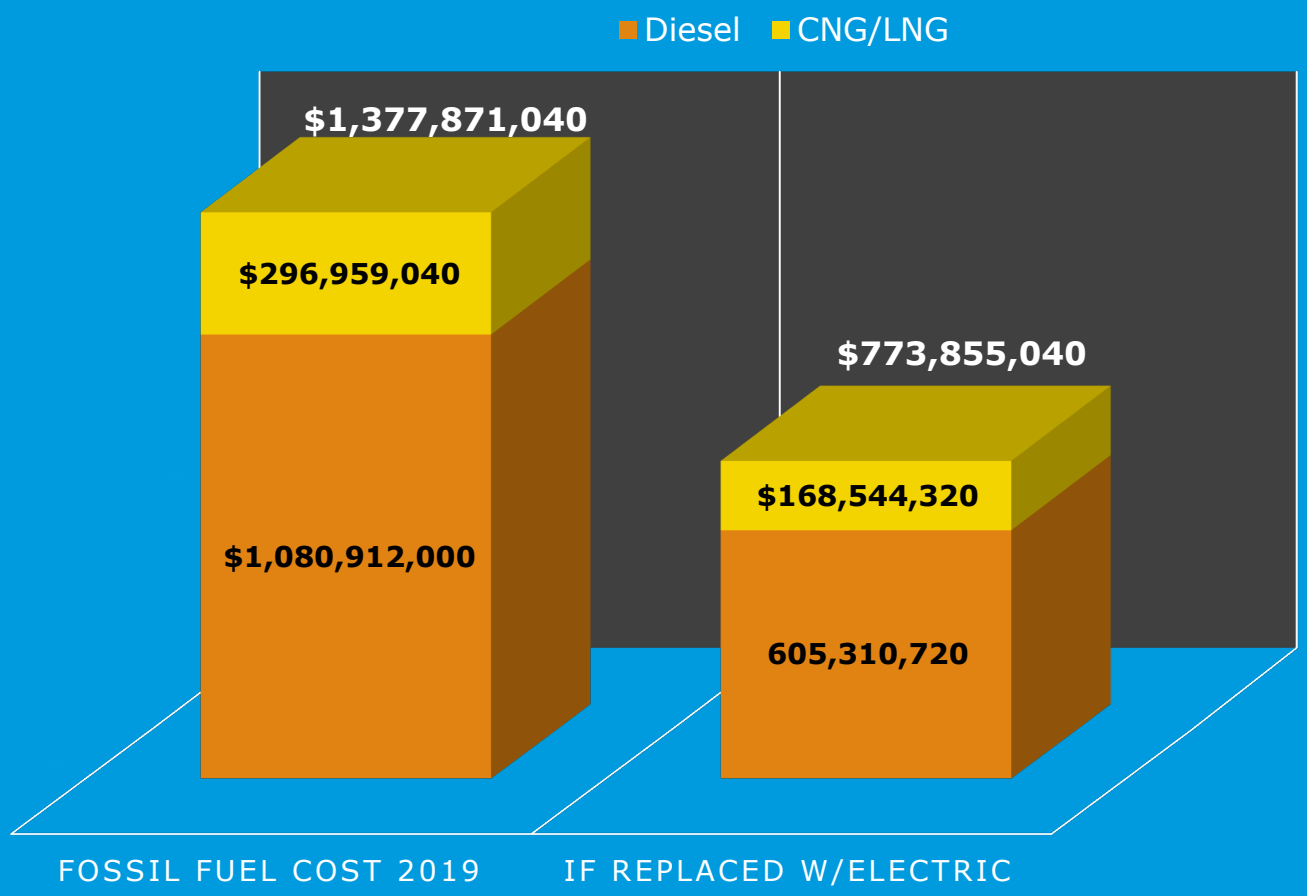
FUEL COST ASSUMPTIONS



CNG/LNG Fuel Savings
$128,414,720

Diesel Savings
$475,601,280

Combined Savings
$604,016,000

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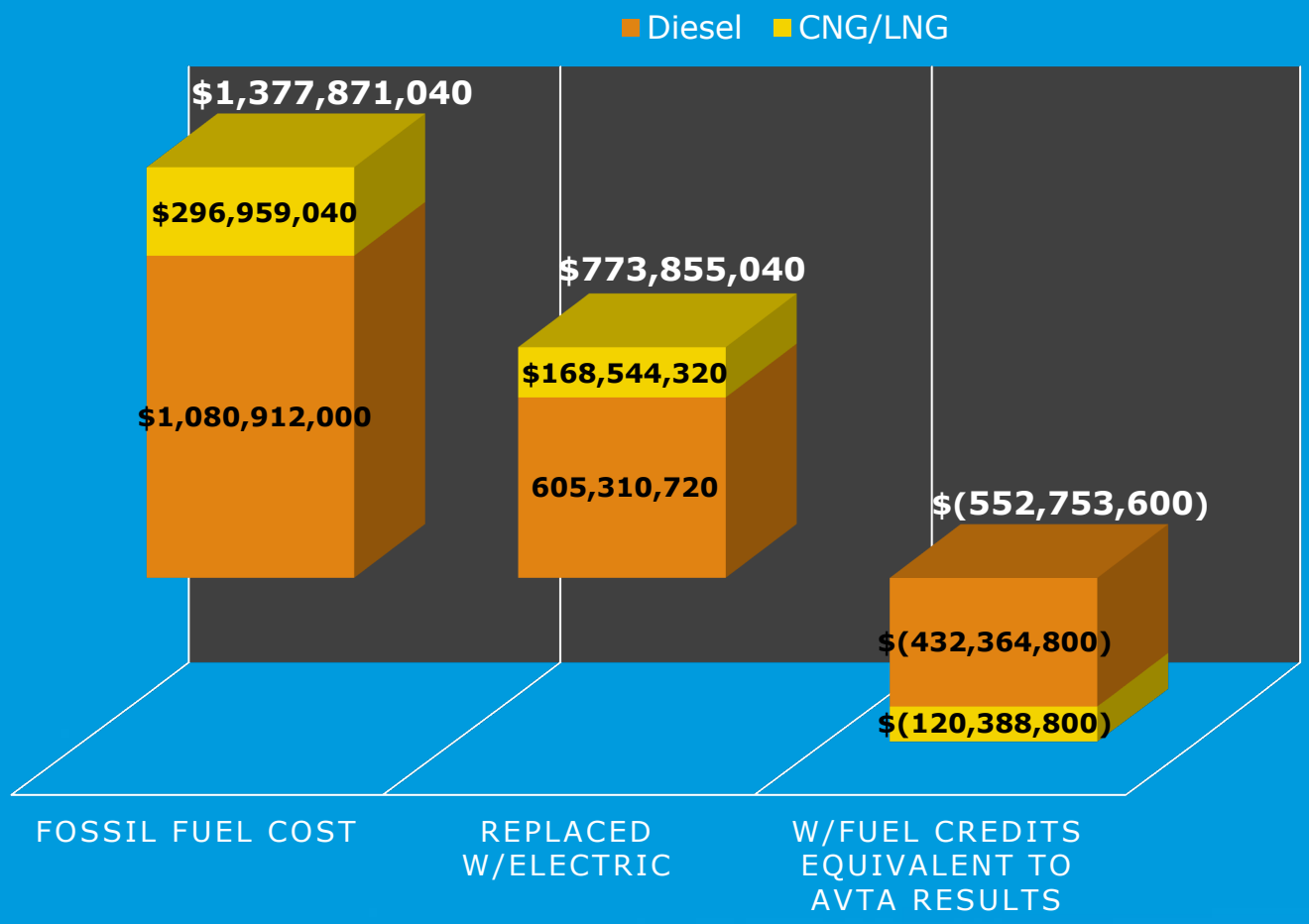
FUEL COST ASSUMPTIONS w/Fuel credits (just for fun)



CNG/LNG Fuel Savings $128,414,720

Diesel Savings $475,601,280

Combined Savings $604,016,000

Fuel Credits would create a surplus of $552,753,600

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Environmental Impact

WOULD HAVE BEEN AVOIDED

12,088,696,435 POUNDS OF CO_2

378,006 POUNDs OF CH_4 (methane)

62,201 POUNDS OF NOX

34,531,488 POUNDS OF PM 2.5

WE ALL KNOW ABOUT GREENHOUSE GASES AND CLIMATE CHANGE

BUT, WHAT IS PM 2.5?

Hint: It is bad..... Not only for what it contributes to the future of the environment, but also, for what it does right now.

Antelope Valley Transit Authority

Particulate Matter

PM stands for particulate matter (also called particle pollution): the term for a mixture of solid particles and liquid droplets found in the air. Some particles, such as dust, dirt, soot, or smoke, are large or dark enough to be seen with the naked eye. Others are so small they can only be detected using an electron microscope.

Particulate matter can be broken down into 2 types:

PM10 : inhalable particles, with diameters that are generally 10 micrometers and smaller; This type of particulate matter has been greatly reduced with Clean Diesel technology.

PM2.5 : fine inhalable particles, with diameters that are generally 2.5 micrometers and smaller; This type of particulate poses the greatest health risk and is still emitted in large quantities.

How small is 2.5 micrometers? Think about a single hair from your head. The average human hair is about 70 micrometers in diameter – making it 30 times larger than the largest fine particle.

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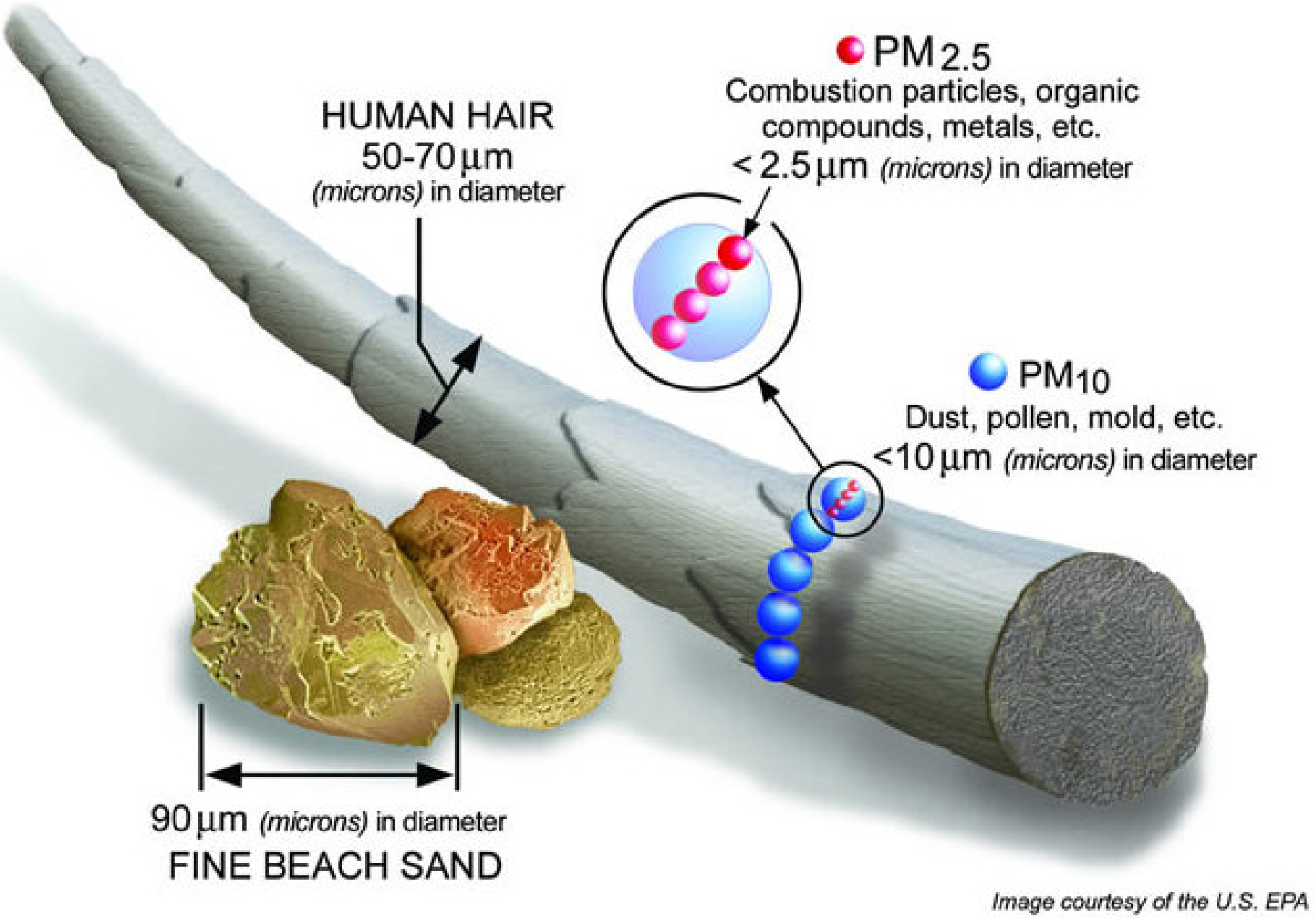
HUMAN HAIR
50-70 µm
(microns) in diameter
PM2.5
Combustion particles, organic
compounds, metals, etc.
< 2.5 µm (microns) in diameter
PM10
Dust, pollen, mold, etc.
<10 µm (microns) in diameter
90 µm (microns) in diameter
FINE BEACH SAND
Image courtesy of the U.S. EPA

What are the Harmful Effects of PM2.5?

Environmental damage

Particles can be carried over long distances by wind and then settle on ground or water. Depending on their chemical composition, the effects of this settling may include:

making lakes and streams acidic

changing the nutrient balance in coastal waters and large river basins

depleting the nutrients in soil

damaging sensitive forests and farm crops

affecting the diversity of ecosystems

contributing to acid rain effects

Fine particles (PM 2.5) are the main cause of reduced visibility (haze) in many parts of the United States.

PM can also stain and damage stone and other materials, including culturally important objects such as statues and monuments.

Antelope Valley Transit Authority

What are the Harmful Effects of PM2.5? (cont.)

Health Effects

The size of particles is directly linked to their potential for causing health problems. Small particles less than 10 micrometers in diameter pose the greatest problems, because they can get deep into your lungs, and some may even get into your bloodstream.

Exposure to such particles can affect both your lungs and your heart. Numerous scientific studies have linked particle pollution exposure to a variety of problems, including:

premature death in people with heart or lung disease

nonfatal heart attacks

irregular heartbeat

aggravated asthma

decreased lung function

increased respiratory symptoms, such as irritation of the airways, coughing or difficulty breathing.

People with heart or lung diseases, children, and older adults are the most likely to be affected by particle pollution exposure.

Antelope Valley Transit Authority

Discussion/Questions?

Antelope Valley Transit Authority

Antelope Valley Transit Authority

Regular Meeting of the Board of Directors

Tuesday, May 25, 2021

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 Raj Malhi, Director Michelle Flanagan, Alternate Director Kathryn Mac Laren

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, Malhi, Flanagan, Alternate Director Mac Laren
Nays: None
Abstain: None
Absent: None

PUBLIC BUSINESS – AGENDIZED AND NON-AGENDIZED ITEMS:

Fran Sereseres commented on the professionalism of the Dial-A-Ride (DAR) operators. She asked whether the DAR and Access Services' operators were able to use the breakroom at the Boulevard Transit Center and if the Fareless System Initiative would apply to DAR and Access Services' riders.

Robert Credle spoke about the current reduced service schedule and operators not lowering the wheelchair lift adequately to allow him to exit the bus safely. He also explained the difficulty he has viewing the bus schedules on his phone due to his visual challenge. Chairman Crist directed Transdev General Manager Tracy Craghead to assist Mr. Credle with his wheelchair lift issue and Marketing Manager James Royal to coordinate DAR services. Chairman Crist explained that once the shortage of operators is addressed, the current reduced service schedule will resume to regular service.

Mikey Eugenia White spoke about the lack of signage at the Palmdale Transportation Center informing passengers that the Transporter service was discontinued or that the stop on Lancaster Blvd. and Sierra Highway was changed to a COVID-19 vaccine service, and the challenges she faces with the operators when she is boarding the bus with her electric bicycle.

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

SRP 1 PRESENTATION TO TRANSDEV OPERATOR AND EMPLOYEE OF THE MONTH FOR APRIL 2021

Transdev General Manager Tracy Craghead announced that the Employee of the Month is Cresencio Ortega. Operations Manager Clarence Shipp accepted the award on behalf of Mr. Ortega who was unable to attend the meeting. Mr. Craghead presented an award to the Operator of the Month Delirious Lewis and an Excellence in Customer Service award to Roy Lopez.

SRP 2 PRESENTATION TO ANTELOPE VALLEY TRANSPORTATION SERVICES (AVTS) EMPLOYEE OF THE MONTH FOR APRIL 2021

AVTS Operations Manager Henry Beausejour presented the Employee of the Month award to Rodney Devilson. Mr. Beausejour also shared a letter the company received from passenger Cheryl Pagliaro praising the outstanding service provided by Vehicle Operators Juan Cantillo and Brian Brill, and Customer Service Agent Candis Dixon.

SRP 3 LEGISLATIVE REPORT FOR MAY

Chief Financial Officer Judy Vaccaro-Fry presented an update regarding California's proposed FY 2021/2022 budget, Zero Emission Vehicle Investment Plan, America Jobs Plan, CTA – Federal Legislative Committee requests from the Federal Transit Administration and the proposed Fareless System Initiative (FSI) for K-12 students, community college students and low-income riders. The Board briefly discussed the FSI pilot program.

SRP 4 OPERATIONS KEY PERFORMANCE INDICATORS (KPI) REPORT

Chief Operating Officer Martin Tompkins presented the report. Mr. Craghead updated the Board regarding the measures Transdev's management continues to implement to reduce customer complaints, particularly their employee incentive program and contracting with Insight Strategies, Inc. to assist with customer service training.

SRP 5 MAINTENANCE KPI REPORT

Maintenance Compliance Manager Cecil Foust presented the report.

CONSENT CALENDAR (CC):

CC 1 BOARD OF DIRECTORS MEETING MINUTES OF APRIL 27, 2021
Approve the Board of Directors Regular Meeting Minutes of April 27, 2021.

CC 2 FINANCIAL REPORT FOR APRIL 2021
Receive and file the Financial Report, including Quarterly Treasurer, Capital Reserve, and Farebox Recovery information, for April 2021.

CC 3 GRANT STATUS REPORT
Receive and file the Grant Status Report.

CC 4 RENEWAL OF AGREEMENT WITH LOS ANGELES COUNTY SHERIFF'S DEPARTMENT (LASD) FOR TRANSIT LAW ENFORCEMENT SERVICES RESERVE UNIT
Authorize the Executive Director/CEO to renew the Letter of Understanding with the LASD for transit law enforcement services covering the term July 1, 2021 through June 30, 2022, as outlined in the letter to Sheriff Alex Villanueva.

CC 5 FISCAL YEAR 2021/2022 (FY 2022) WORKERS' COMPENSATION, PROPERTY AND CASUALTY INSURANCE POLICIES UNDER CONTRACT #2021-50 WITH VINSA, INC.
Authorize the Executive Director/CEO to purchase required Workers' Compensation, Property and Casualty Insurance Policies for FY 2022, for an amount not to exceed $500,000 under Contract #2021-50 with Vinsa, Inc., Lancaster, CA.

CC 6 LOCAL AGENCY INVESTMENT FUND (LAIF) INVESTMENTS FOR FY 2022
Adopt Resolution 2021-005, a Resolution appointing the Executive Director/CEO as Treasurer and the Chief Financial Officer as Controller, delegating investment authority to the Treasurer, adopting a policy for the

investment of surplus transit funds for FY 2022 beginning July 1 2021 through June 30, 2022, and rescinding Resolution No. 2020-004.

CC 7 SET PUBLIC HEARING FOR CONSIDERATION OF THE DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM AND GOAL-SETTING METHODOLOGY FOR FEDERAL FISCAL YEARS (FFY) 2022 - 2024 (OCTOBER 1, 2021 THROUGH SEPTEMBER 30, 2024)

Set a Public Hearing for consideration of the DBE Program Update and Goal for FFY 2022 through 2024 and authorize staff to advertise to the public to solicit comments on the plan and draft goal.

Motion: Approve the Consent Calendar.
Moved by Director Hofbauer, seconded by Vice Chair Knippel

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

NEW BUSINESS (NB):

NB 1 FY 2022 PRELIMINARY BUDGET ASSUMPTIONS

Ms. Vaccaro-Fry presented the staff report and provided an update regarding student and senior bus pass sales. The Board discussed improvements at the transit centers and Antelope Valley Mall bus stops. Director Hofbauer requested staff to re-examine AVTA managing purchased transportation in-house as opposed to contracting for the service and provide an analysis.

Motion: Approve the FY 2022 Preliminary Budget Assumptions and provide direction to staff regarding fiscal priorities for the final FY 2022 Budget.
Moved by Director Hofbauer, seconded by Vice Chair Knippel

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

NB 2 ELECTION OF BOARD OFFICERS FOR FY 2022

The Board waived the presentation of the staff report.

Motion: Nominate Marvin Crist as the Chair and Dianne Knippel as the Vice Chair for FY 2022.
Moved by Director Flanagan, seconded by Director Malhi

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

REPORTS AND ANNOUNCEMENTS (RA):

RA 1 REPORT BY THE EXECUTIVE DIRECTOR/CEO EXECUTIVE DIRECTOR/CEO MACY NESHATI

- Stated that transit agencies nationwide are experiencing an operator shortage and ensured the Board that AVTA is closely monitoring this issue.
- Provided the financial and environmental benefits AVTA has realized since its conversion from diesel to zero-emission buses.
- Provided the energy cost savings if transit operators nationwide converted to electric vehicles.

MISCELLANEOUS BUSINESS – NON-AGENDA BOARD OF DIRECTORS ITEMS:

There were no miscellaneous business items presented.

ADJOURNMENT:

Chairman Crist adjourned the meeting at 11:30 a.m. to the Regular Meeting of the Board of Directors on June 22, 2021 at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6th Street West, Lancaster, CA.

PASSED, APPROVED, and ADOPTED this 22nd day of JUNE 2021

_____
Marvin Crist, Chairman of the Board

ATTEST:

_____
Karen S. Darr, Clerk of the Board

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

DATE: **June 22, 2021**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Financial Report for May 2021**

RECOMMENDATION

That the Board of Directors receive and file the Financial Report for May 2021.

FISCAL IMPACT

	May
PAYROLL	$350,765
CASH DISBURSEMENTS	$2,408,698

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 Executive Director/CEO and Treasurer certify the availability of funds.

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

Prepared by:

Judy Vaccaro-Fry
Chief Financial Officer

Submitted by:

Macy Neshati
Executive Director/CEO

CC 3

DATE: **June 22, 2021**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Sole Source Contract #2021-76 to Weideman Group, Inc. for California Government Relations Consultant/Advocacy Services**

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to execute Sole Source Contract #2021-76 for California Government Relations Consultant/Advocacy Services to Weideman Group, Inc., Sacramento, CA, for a one (1) year period for an amount of $90,000.

FISCAL IMPACT

Sufficient funds have been included in the FY 2021/2022 Budget for these services.

BACKGROUND

Since June 2016, AVTA has awarded several contracts for consulting/advocacy services. The COVID-19 pandemic has stretched staff's ability to plan for this service. This short-term contract will allow staff to complete on-going grant applications and provide sufficient time to draft a Request for Quotes for these services. Staff is confident that Weideman Group, Inc., will perform their duties diligently.

Prepared by:

Judy Vaccaro-Fry
Chief Financial Officer

Submitted by:

Macy Neshati
Executive Director/CEO

DATE: **June 22, 2021**

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 A) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements for FY 2021/2022; and 2) adopt Resolution 2021-007 (Attachment B) adopting the updated PTASP for FY 2022.

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 2022. Performance safety targets and management and operational recommendations remain the same for FY 2022 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:

_____
Martin Tompkins
Chief Operating Officer

Submitted by:

_____
Macy Neshati
Executive Director/CEO

Attachments: A – Updated PTASP for FY 2022
B – Resolution No. 2021-007

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)

FISCAL YEAR 2021-2022~~2020-2021~~

Macy Neshati
Executive Director/Chief Executive Officer
Antelope Valley Transit Authority

Martin Tompkins
AVTA PTASP Accountable Executive
Chief Operating Officer
Antelope Valley Transit Authority
42210 6th Street West / Lancaster, CA 93534

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

Last Updated ~~June 9, 2020~~June 16, 2021

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ADOPTED: ~~June 23, 2020~~/1

LAST REVISED: N/A

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

AVTA BOARD DATE OF APPROVAL: ~~June 23, 2020~~

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

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

Certifications & Assurances

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

AVTA PTASP Accountable Executive and Chief Safety Officer: Martin Tompkins

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

Accountable Executive and Chief Safety Officer Contact Information

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

/1 FTA 4/23/20
In response to COVID-19, the Federal Transit Administration announced that it will give transit agencies more time to meet the requirements of the Public Transportation Agency Safety Plan (PTASP) regulation. The regulation set July 20, 2020 as the deadline for transit agencies to certify that they have established a compliant agency safety plan. However, with today's announcement, FTA is alerting transit agencies that it will provide relief by refraining from taking any enforcement action until December 31, 2020 against agencies that are unable to meet the July 20, 2020 deadline. More information about the PTASP requirement is available on FTA's website, and further information about today's announcement is available in the Notice of Enforcement Discretion.

AVTA Board of Directors Resolution of Adoption

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Antelope Valley Transit Authority

Letter of Certification on Behalf of AVTA

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

Signature: _____ June 17, 2021

Macy Neshati
Executive Director/CEO
Antelope Valley Transit Authority

Date

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)
FISCAL YEAR ~~2020-2021~~ 2021-2022

PTASP PURPOSE

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

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

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

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

- Approval by AVTA's designated Accountable Executive (AE) and the AVTA Board of Directors.
- The designation of an AVTA Chief Safety Officer.
- The documented processes of the agency's SMS, including the agency's Safety Management Policy and the processes for Safety Risk Management, Safety Assurance, and Safety Promotion.
- A confidential and non-punitive employee safety-reporting program.
- Establishing AVTA safety performance targets based on the classification measures established in FTA's National Public Transportation Safety Plan (NPTSP).
- Criteria to address all applicable requirements and standards set forth in FTA's Public Transportation Safety Program and the NSP.
- Retention and maintenance of documents that set forth the PTASP, including those related to SMS implementation.
- A process and timeline for conducting an annual review and update of the safety plan.
- Annual certification through FTA's Certifications and Assurances Process that AVTA's PTASP meets the requirements of the final rule by December 31, 2020.

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)
FISCAL YEAR ~~2020-2021~~ 2021-2022
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:	Martin Tompkins, Chief Operating Offiicer (COO)
d) Name of Chief Safety Officer or SMS Executive:	Martin Tompkins, COO (also designated as CSO1)
e) Mode(s) of Service Covered by This Plan:	Local fixed route, commuter bus & general public Dial-A-Ride (DAR), and micro-transit & NEMT
f) List All FTA Funding Types:	Sections 5307, 5337 & 5339
g) Mode(s) of Service Provided by the Transit Agency (through contract):	Local fixed route, commuter bus & general public dial-a-ride, and micro-transit & NEMT

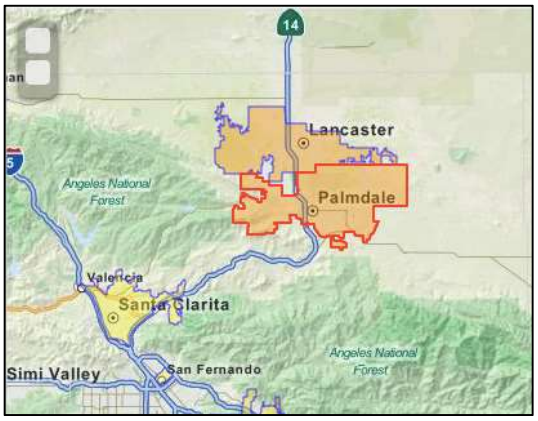
Local Fixed Route


Commuter Bus


DAR, Micro-Transit, NEMT

1a. Profile of AVTA Transit System

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



AVTA Antelope Valley Service Area

AVTA Local Fixed Route Service Area

AVTA operates five (5) modes of transit service:

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

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

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

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

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

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

Service Hours

- Local Fixed Route Bus Service:
  - Weekdays from 5:00 a.m. to 12:45 a.m.
  - Saturdays from 6:00 a.m. to 11:30 p.m.
  - Sundays from 6:30 a.m. to 8:45 p.m.
- Micro-Transit 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 3:45 a.m. to 7:40 p.m.
  - Transporter midday service connecting the Antelope Valley with the Santa Clarita Valley Weekdays: from 8:00 a.m. to 5:50 p.m.
- Dial-A-Ride Service
  - Weekdays 6:00 a.m. to 7:30 p.m.
  - Weekends 8:00 a.m. to 6:00 p.m.
- Non-Emergency Medical Transportation
  - Available 24 hours (Transportation arrangements are made by medical facility.)

AVTA Vehicle Fleet

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

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

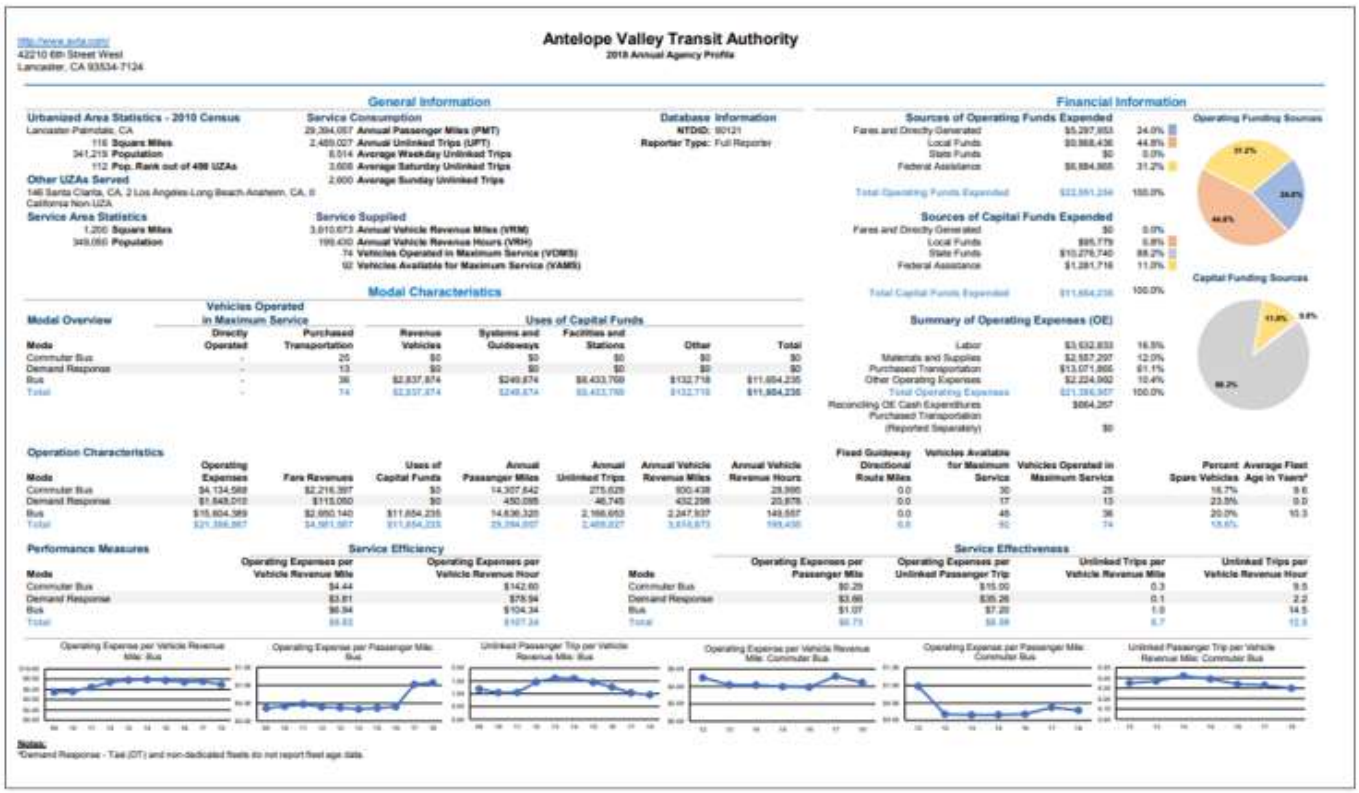
The number of fixed route buses in service is changing as AVTA undergoes a changeover from diesel buses to new technology in the form of battery electric zero-emission buses. In September 2012, fifteen (15) new diesel hybrid buses were added to the local transit fleet, which replaced older buses that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

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

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

1b. AVTA Transit System Operating Performance

The 2018 National Transit Database (NTD) Profile for AVTA indicates the following performance metrics:



Antelope Valley Transit Authority
2018 Annual Agency Profile

42210 6th Street West
Lancaster, CA 93534-7124

General Information

Urbanized Area Statistics - 2010 Census
Lancaster-Palmdale, CA
116 Square Miles
341,215 Population
112 Pop. Rank out of 498 UZAs

Other UZAs Served
146 Santa Clarita, CA
2 Los Angeles-Long Beach-Anaheim, CA, II
California Non-UZA

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

Service Consumption
29,394,057 Annual Passenger Miles (PMT)
2,469,027 Annual Unlinked Trips (UPT)
8,014 Average Weekday Unlinked Trips
3,606 Average Saturday Unlinked Trips
2,000 Average Sunday Unlinked Trips

Service Supplied
3,610,673 Annual Vehicle Revenue Miles (VRM)
199,430 Annual Vehicle Revenue Hours (VRH)
74 Vehicles Operated in Maximum Service (VOMS)
92 Vehicles Available for Maximum Service (VAMS)

Database Information
NTDID: 90121
Reporter Type: Full Reporter

Financial Information

Sources of Operating Funds Expended

Fares and Directly Generated	$5,297,953	24.0%
Local Funds	$9,868,436	44.8%
State Funds	$0	0.0%
Federal Assistance	$6,884,865	31.2%
Total Operating Funds Expended	$22,051,254	100.0%

Sources of Capital Funds Expended

Fares and Directly Generated	$0	0.0%
Local Funds	$85,779	0.8%
State Funds	$10,276,740	88.2%
Federal Assistance	$1,281,716	11.0%
Total Capital Funds Expended	$11,654,235	100.0%

Operating Funding Sources

Capital Funding Sources

Modal Characteristics

Modal Overview

Mode	Vehicles Operated in Maximum Service: Directly Operated	Vehicles Operated in Maximum Service: Purchased Transportation
Commuter Bus	-	25
Demand Response	-	13
Bus	-	36
Total	-	74

Uses of Capital Funds

Mode	Revenue Vehicles	Systems and Guideways	Facilities and Stations	Other	Total
Commuter Bus	$0	$0	$0	$0	$0
Demand Response	$0	$0	$0	$0	$0
Bus	$2,837,874	$249,874	$8,433,769	$132,718	$11,654,235
Total	$2,837,874	$249,874	$8,433,769	$132,718	$11,654,235

Summary of Operating Expenses (OE)

Labor	$3,632,833	16.5%
Materials and Supplies	$2,657,297	12.0%
Purchased Transportation	$13,071,866	61.1%
Other Operating Expenses	$2,224,992	10.4%
Total Operating Expenses	$21,386,907	100.0%
Reconciling OE Cash Expenditures	$664,257	
Purchased Transportation (Reported Separately)	$0	

Operation Characteristics

Mode	Operating Expenses	Fare Revenues	Uses of Capital Funds	Annual Passenger Miles	Annual Unlinked Trips	Annual Vehicle Revenue Miles	Annual Vehicle Revenue Hours	Fixed Guideway Directional Route Miles	Vehicles Available for Maximum Service	Vehicles Operated in Maximum Service	Percent Spare Vehicles	Average Fleet Age in Years*
Commuter Bus	$4,134,589	$2,216,397	$0	14,307,642	275,629	500,438	28,995	0.0	30	25	16.7%	9.6
Demand Response	$1,849,010	$115,050	$0	450,095	46,745	432,298	20,875	0.0	17	13	23.5%	9.0
Bus	$15,804,589	$2,980,140	$11,654,235	14,836,320	2,166,653	2,247,937	149,567	0.0	45	36	20.0%	10.3
Total	$21,386,907	$3,561,587	$11,654,235	29,394,057	2,469,027	3,610,673	199,436	0.0	92	74	19.6%	

Performance Measures

Service Efficiency

Mode	Operating Expenses per Vehicle Revenue Mile	Operating Expenses per Vehicle Revenue Hour
Commuter Bus	$4.44	$142.60
Demand Response	$3.81	$75.94
Bus	$6.94	$104.34
Total	$5.92	$107.24

Service Effectiveness

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	$0.29	$15.00	0.3	9.5
Demand Response	$3.66	$35.26	0.1	2.2
Bus	$1.07	$7.28	1.0	14.5
Total	$0.73	$8.66	0.7	12.3

Operating Expense per Vehicle Revenue Mile: Bus

Operating Expense per Passenger Mile: Bus

Unlinked Passenger Trip per Vehicle Revenue Mile: Bus

Operating Expense per Vehicle Revenue Mile: Commuter Bus

Operating Expense per Passenger Mile: Commuter Bus

Unlinked Passenger Trip per Vehicle Revenue Mile: Commuter Bus

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

Exhibit 1: NTD 2018 Profile for AVTA

2018 & 2019 Average Operating Performance

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

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

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

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

/1 Exhibit 1

1c. AVTA Governing Structure

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

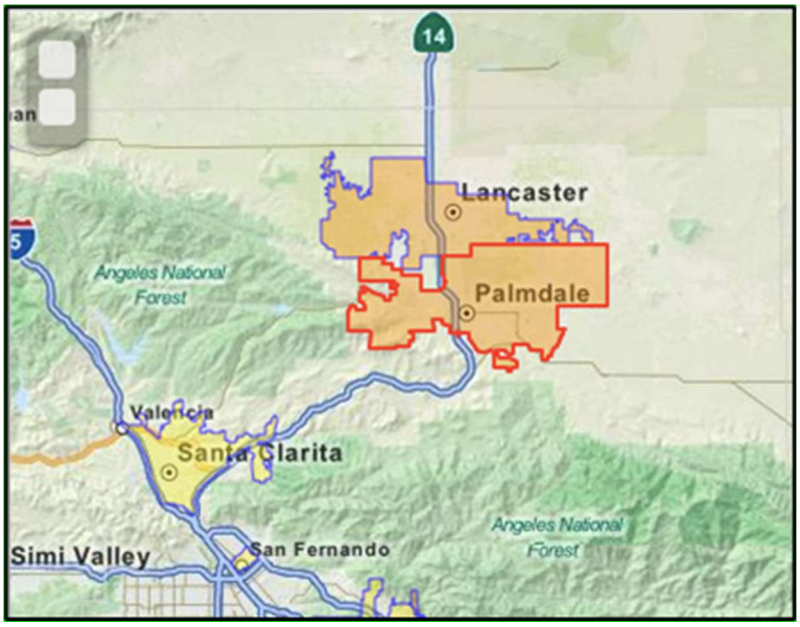
1c.1 Does the agency provide transit services on behalf of another transit agency or entity? Yes

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:

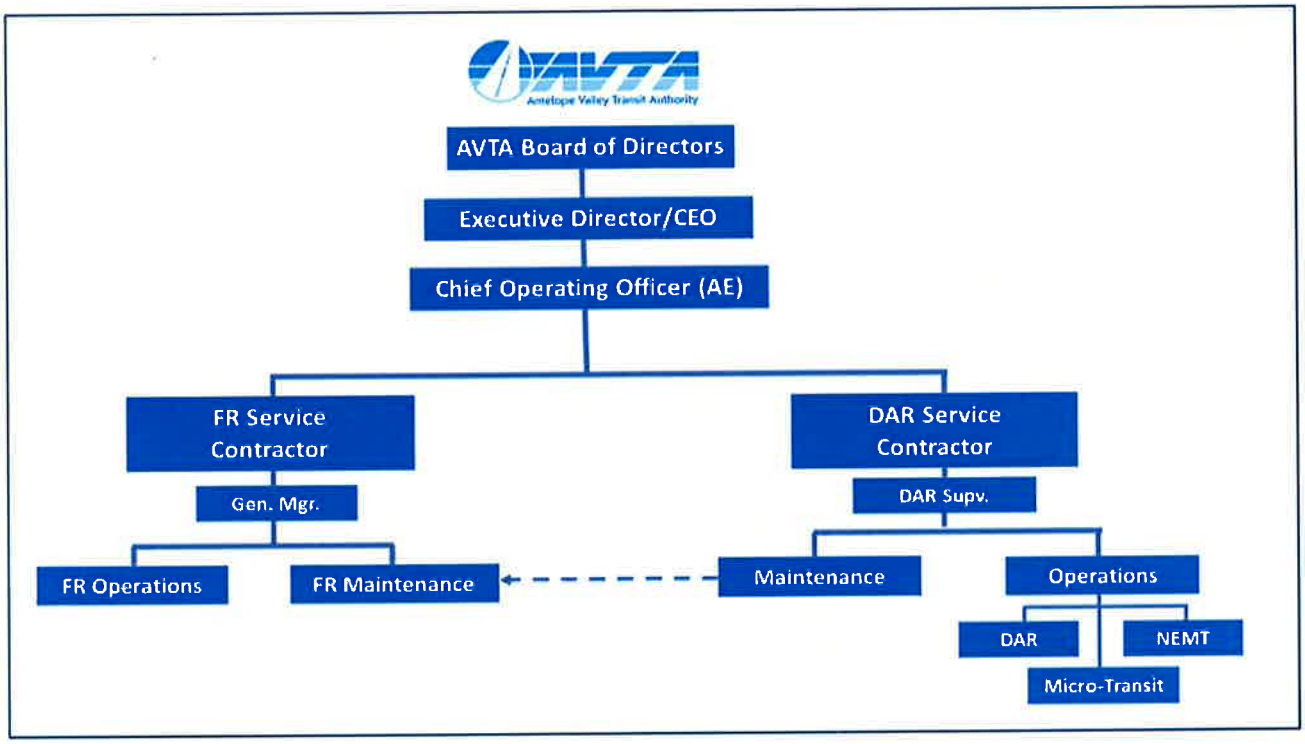


Exhibit 2: AVTA Organization Framework for Service Delivery and Oversight

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

Martin Tompkins
Chief Operating Offiicer of AVTA
Date: 6/17/2021

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
ii. **Date of Approval:** ~~June 23, 2020~~

2c.2 Relevant Documentation:

i. **Board Resolution No**. No. ~~2020-005~~ 2021-007
ii. **Resolution Title**: Public Transportation Agency Safety Plan
iii. **Location:** Clerk of the AVTA Board
iv. **Current AVTA Board Members:**
   a. Chairman Marvin Crist, City of Lancaster
   b. Vice Chair Dianne Knippel, County of Los Angeles
   c. Director Michelle Flanagan, County of Los Angeles
   d. Director 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:** Martin Tompkins, COO
   2. **Date:** ~~7/23/2020~~

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

iii. **Relevant Documentation (title and location):**
   1. **Document Title:** AVTA Board Resolution
   2. **Date Filed with FTA:** ~~October 21, 2020~~

Footnote for Subsection 2c

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

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

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

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

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

The PTASP will be updated and readopted on an annual basis. Two (2) months before reconsideration by the Board, the staff shall conduct a review of progress on the current PTASP's recommended actions (action plans) for implementing SMS with the service contractors and actions to improve overall safety risk management, reporting (including the employee safety reporting system), performance data management, safety assurance and safety promotions. The safety performance targets will undergo monthly review based on current safety events activity. Based on the projected annual reported performance in the four target categories and the projected 2020-2021 revenue service miles, the safety performance targets will be reassessed and adjusted accordingly. The reassessment and adjustments will be reviewed by the SMS Coordinating and Safety Committee and recommended made to the CSO1. The finalized targets will be made a part of the 2021-2022 PTASP for consideration by the AE and forwarded to the Board for adoption.

3. SAFETY PERFORMANCE TARGETS

The Public Transportation Agency Safety Plan (PTASP) regulation, at 49 C.F.R. Part 673, requires covered public transportation providers and State Departments of Transportation (DOT) to establish safety performance targets (SPTs) to address the safety performance measures (SPMs) identified in the National Public Transportation Safety Plan (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 ~~2020-2021~~ 2021-2022Safety Performance Targets are based on the loss runs (histories) of AVTA's fixed-route service contractor over a five (5) year period that were provided by the contractor's insurer. The loss runs for the period examined ~~including~~ 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 develop a uniform safety performance database and reporting format used by both fixed route and dial-a-ride/micro transit contractors.

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.

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

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

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

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

~~**Safety Performance Targets (SPT) – Actual Recorded Losses**~~

~~*Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.* Based on 5 years of insurer loss runs~~

~~**Mode of Transit Service**~~	~~**Fatalities** /1~~	~~**Injuries** /1~~	~~**Safety Events** /1~~	~~**System Reliability** /1~~	~~**Other**~~	~~**Other**~~	~~**Other**~~
~~**Losses – All Modes**~~	~~**5**~~	~~**76**~~	~~**147**~~	~~**0**~~	~~——~~	~~——~~	~~——~~
~~**Loss/100,000 VRM**~~	~~**1.5**~~	~~**23**~~	~~**44.5**~~	~~**0**~~	~~——~~	~~——~~	~~——~~
~~**FY 2020-2021 SPT**~~	~~**0**~~	~~**20** /2~~	~~**38** /2~~	~~**0**~~			

~~/1 See sub-section 3c for category definitions~~

~~/2 targets a 15% reduction~~

AVTA PTASP Safety Performance Targets for FY 2021-2022

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

Exhibit 3: Projected Safety Performance Targets for FY ~~2020-2021~~2021-2022

- /2 Expected VRM for 2021-2022 for LFR: Using 2019 NTD Profile VRM = 2,269,571 ? 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.
- /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.

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 ~~2020-2021~~2021-2022.

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 ~~n/a~~5
  - Commuter Bus ~~n/a~~0
  - Dial-A-Ride ~~n/a~~0
  - All Modes 5 ~~(2. 2%)~~ 2% of all incidents) & 0.14 / 100k VRM
- Injuries: Total number of injuries due to collisions and incidents, includes workers' compensation claims at a rate per total VRM by mode.
  - Local Fixed-Route n/a

- Commuter Bus ~~n/a~~ 76 combined FR
- Dial-A-Ride ~~n/a~~0 (based on 1 year of data)
- 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
  - Commuter Bus 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
  - 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
  - Dial-A-Ride n/a 6,000 VRM
  - ~~All Modes 0~~

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

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

- **MPO:** Los Angeles County Metropolitan Transportation Authority
  LA Metro) and
  Southern California Association of Governments (SCAG)
  Date: October 21, 2020

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 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.

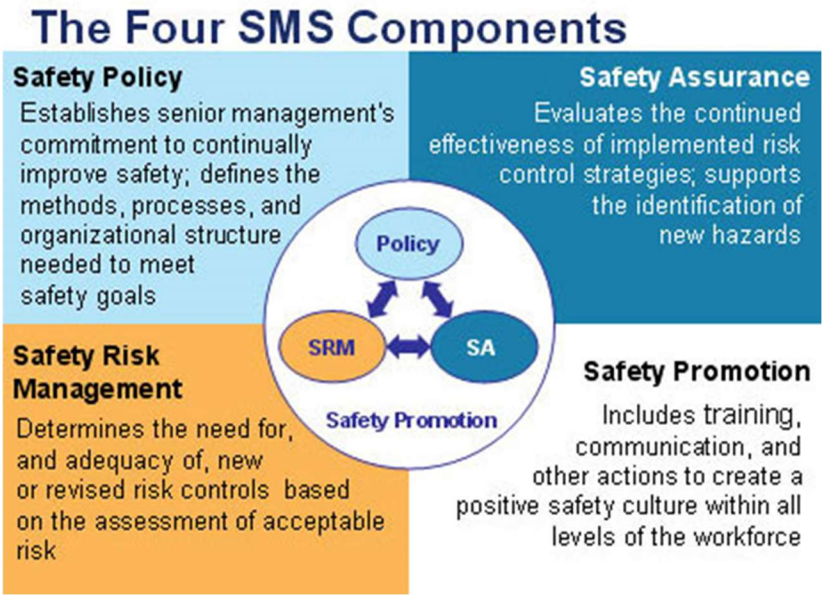


Exhibit 5: The Four Components of SMS (Source: FAA)

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 ~~2020-2021~~2021-2022.

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.

- GOAL 1: SMS Reduce Casualties/Occurrences
    - AVTA will utilize safety management systems (SMS) principles and its framework to identify safety hazards, mitigate risk, assure mitigation effectiveness, and promote safety management to reduce casualties and occurrences resulting from transit operations.
- GOAL 2: Employee Safety Reporting
    - AVTA will implement a confidential and non-punitive voluntary employee safety reporting program to enhance direct employee participation in improving system safety.
- GOAL 3: Manage Transit Assets
    - AVTA will provide a safe and efficient transit operation by ensuring that all vehicles, equipment, and facilities are regularly inspected, maintained in a state of good repair, and serviced as scheduled.

- GOAL 4: Strengthen Safety Culture
    - AVTA will foster agency-wide support for transit safety by establishing a safety culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

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

- Adoption of SMS
- AVTA safety objectives for targeted safety performance.
- An employee safety reporting program.
- Communication of the SMPS throughout the agency and its contractors.
- Establishment of authorities, accountabilities, and responsibilities of the PTASP and implementation of SMS.

5a.1 Recommended AVTA SMPS

AVTA Safety Management Policy Statement

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

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

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

Our commitment is to:

- Provide strong leadership towards attainment of AVTA's safety goals of (1) achieving effective utilization of SMS to reduce casualties and safety occurrences; (2) establishing an employee safety reporting program to enhance safety management; (3) assuring safety of all customers

and employees, transit management and operational systems and transit assets; and (4) fostering a strong safety culture throughout the AVTA organization and system.

- Support the management of safety by providing appropriate resources to support an organizational culture that fosters safe operational practices, encourages effective safety reporting and communication, and actively manages safety with the same attention to results as that given to the other management systems of the transit agency.
- Integrate the management of safety as an explicit responsibility of all transit managers, supervisors, and employees.
- Clearly define for all transit managers, supervisors, and employees their accountabilities and responsibilities for the delivery of safe transit services and the performance of the AVTA safety management system.
- Establish and operate a safety-reporting program as a fundamental tool in support of AVTA's hazard identification and safety risk evaluation activities to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point that is as low as reasonably practicable.
- Ensure that no action will be taken against any transit employee who discloses a safety concern through the employee safety- reporting program, unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- Comply with and, wherever possible, exceed any applicable legislative and regulatory requirements and standards.
- Ensure that sufficiently trained and skilled personnel are available and assigned to implement the transit agency's safety management processes and activities.
- Ensure that all transit personnel and those of service contractors are formally provided with adequate and appropriate safety management information, are competent in safety management system activities, and are assigned only safety related tasks commensurate with their skills.
- Establish and measure the transit system's agency safety performance against realistic safety performance indicators and safety performance targets.
- Continually improve the transit system's safety performance through effective management processes and leadership that ensure relevant safety action is taken in a timely fashion and is effective when carried out.
- Ensure contracted services that support our transit mission are delivered and that meet our safety performance standards.
- Promote a positive safety culture generated from the top-down where the actions, attitudes, and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility of each employee with the ultimate responsibility for safety resting with the AVTA Executive Director/CEO and as may be delegated or assigned to AVTA's service contractors, who must trust that they will have AVTA management support for decisions made in the interest of safety while recognizing that intentional breaches of safety will not be tolerated.

_____ _____

Signature Date

Macy Neshati, Executive Director/CEO

5b. Safety Management Policy Communication

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

5c. Authorities, Accountabilities, and Responsibilities

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

AVTA is structured as a contracted transit service, where the day-to-day management and operation of the local fixed route, commuter bus and dial-a-ride services are operated by a private company under a service agreement with AVTA (Exhibit 7). AVTA serves as the *contractee* and the private operator serves as the *contractor*. Employees of the fixed-route contractor serve the daily operation through a collective bargaining agreement (CBA) between the contractor and the labor union. Employees of AVTA represent the accountable and responsible transit agency. AVTA employees are separate from those of the contractor service provider. Such employees of AVTA provide the contract management and administration over the service contractor, including safety oversight and implementation of the PTASP and SMS.

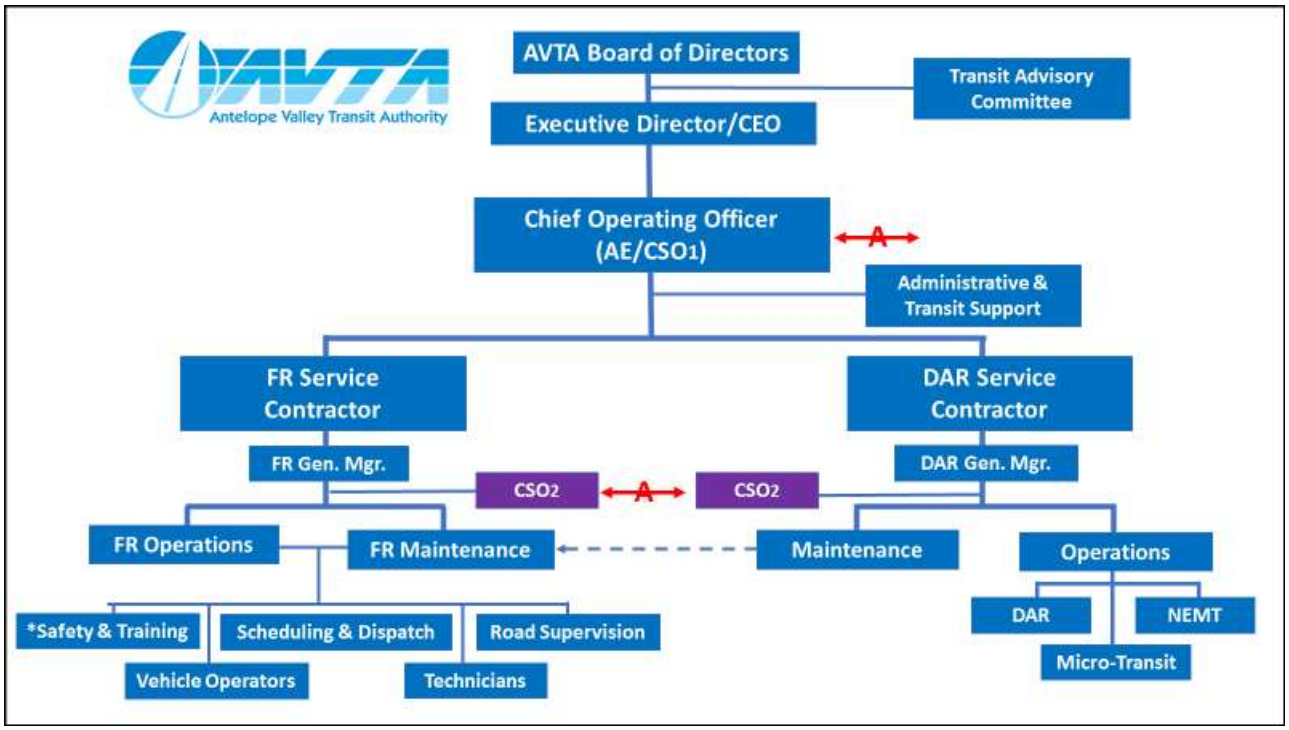


Exhibit 7: AVTA – Governance and Service Delivery Model

As illustrated above, the COO will serve as the designated AE. The existing AVTA organizational structure also provides for the COO/AE to serve as CSO_1 as well. This arrangement complies with the SMS requirement that the CSO reports directly to a member of executive management.

The CSO_1 is linked directly to the CSO_2 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 Chief Operating Officer (Exhibit 7: AVTA – Governance and Service Delivery Model) is the designated Accountable Executive (AE) for the PTASP. As AE, the position will hold the following authorities, accountabilities, and responsibilities under this agency safety plan:

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

- Designates an adequately trained chief safety officer (CSO) who reports directly to the AE to carry out the duties and responsibilities referred to above. In the case of AVTA, the AE will also serve as CSO1.

5c.3 Chief Safety Officers

A CSO manages the transit agency's safety function such as compliance with federal, state, and local regulations, and overseeing safety requirements for transit projects or activities. Duties also include hazard management, accident investigation, coordination and collaboration with other transit functional areas, and SMS training certifications.

Because of the service delivery structure employed by AVTA, there are two separate contractors providing the agency's two service modes of fixed-route (local and commuter) and dial-a-ride. Since the implementation of SMS and its strategies are carried out on the operational level, a CSO is recommended for each contractor and mode of operation. Both contractor CSOs are designated as CSO2 in the safety plan and are illustrated in Exhibit 7.

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

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

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

- Assures that the intentions and initiatives of the AVTA Safety Management Policy Statement (Page 2~~7~~8) are carried out, including top management's commitment to and leadership required for AVTA SMS.
- Develops AVTA's PTASP and SMS priorities, initiatives, planned actions and resulting policy and procedural mitigations in conjunction with CSO2 and recommends them to the SMS Safety or Coordinating Committee (and senior management for consideration and action.
- Serves as the direct liaison between AVTA and the contractor CSOs on safety management and the PTASP. The service contractors' CSOs serve on-site as safety managers and project managers for SMS implementation with their operating entity.
- Serves as chairperson for the AVTA SMS Coordinating and Safety Committee, which should include representatives from AVTA, the service contractors, labor and local traffic enforcement and accident investigation (Refer to Section 9c.).
- Coordinates the implementation activities of the SMS Coordinating and Safety Committee, communicates recommendations for mitigating identified hazards to the AE, develops action plans to carry out adopted mitigations, coordinates with the AVTA departments on oversight and with the contractor on action. (See Section 9c SMS Coordinating and Safety Committee.)
- Manages AVTA's Employee Safety Reporting System (ESRS) and oversees the service contractor's Employee Safety Reporting System (ESRS) in conjunction with the contractor's on-site general manager.
- Oversees the maintenance of all elements and required metrics of the safety performance/accident logs gathered, analyzed, and maintained by the contractor's CSO1.

- Develops, implements, assures compliance, and maintains documentation on AVTA's SMS safety risk management process and safety assurance monitoring tools, including safety observations, inspections, reviews, and audits.
- Oversees adaptation and compliance with SMS of current safety assurance methods by the contractors.
- Keeps the Executive Director/CEO informed on safety performance, safety efforts and campaigns, specific adverse safety events, emergencies and progress and the overall status of the PTASP and SMS.
- Oversees that AVTA's Transit Asset Management Plan's objectives for a state of good repair coincides with the safety goals of the PTASP.
- Identifies substandard performance (i.e. unsafe conditions and unsafe acts) in AVTA's SMS and develops corrective action plans for approval by the AE. Ensures AVTA policies are consistent with AVTA's safety objectives.
- Provides Safety Risk Management (SRM) expertise and support for other AVTA personnel who conduct and oversee Safety Assurance activities.
- Continues to serve as the Chairperson for the COVID – 19 Task Force.
- Meets the standard of adequate safety training as stipulated by the PTASP Final Rule.

5c.3-2 Service Contractors' Chief Safety Officers (CSO_2) and SMS Project Managers

As illustrated in Exhibit 9, the General Manager of each service contractor will designate the CSO_2 for their mode of service. i.e., fixed route, micro-transit, DAR or NEMT. For the fixed route service, it should be the Safety and Training Manager, the most appropriate position to assume this role. For the DAR operator, it can be a trainer. The CSO_2 should have the following authorities, accountabilities, and responsibilities under this safety plan:

- Serves as the direct liaison between AVTA (the contractee) and the service contractor on the PTASP, SMS implementation and general safety concerns.
- Conducts safety and training functions as required under the service agreement, while adapting to the PTASP and framework of SMS, including implementation of a contractor-side employee safety reporting program as described in the PTASP.
- Actively participates in the AVTA SMS Safety or Coordinating Committee along with AVTA staff and representatives of labor and local traffic enforcement and accident investigation. (See Section 9c: SMS Coordinating and Safety Committee.)
- Works with CSO_1 in developing AVTA's PTASP and SMS policies and procedures and recommends them to SMS Coordinating and Safety Committee (Safety Committee) and senior management for consideration and action.
- Manages the contractor's employee safety reporting system in conjunction with the contractor's on-site general manager.
- Develops a uniform safety reporting system in collaboration and coordination with the CSO_1 that includes the required categories of the PTASP's safety performance targets (fatalities, injuries, safety events and system reliability), maintains all accident related and insurance data, assures compliance with and maintains trend data from safety risk management, accident investigation and root cause analysis, and safety assurance reporting on the operation.

- Develops and implements the above AVTA's SMS safety risk management and safety assurance monitoring tools in conjunction with the CSO1 and/or as may be adapted from current safety monitoring tools in use in the service contract.
- Keeps the general manager informed on safety performance, specific safety events, emergencies and progress and the overall status of the PTASP and SMS.
- Identifies substandard safety performance (i.e. unsafe conditions and unsafe acts) in operations and recommends improvements.
- Ensures that contractor's safety objectives are consistent with those of AVTA's mission statement and PTASP, including the AVTA Safety Management Policy Statement, the overall safety goals and objectives, policies, and service agreement.
- Provides Safety Risk Management (SRM) expertise and support for contractor personnel, especially those conducting safety assurance activities.
- Receives any needed safety training as stipulated by the PTASP Final Rule.
- Refer to Exhibit 8: AVTA Organization Chart, which also illustrates the positions held by the AVTA Accountable Executive and AVTA Chief Safety Officer.

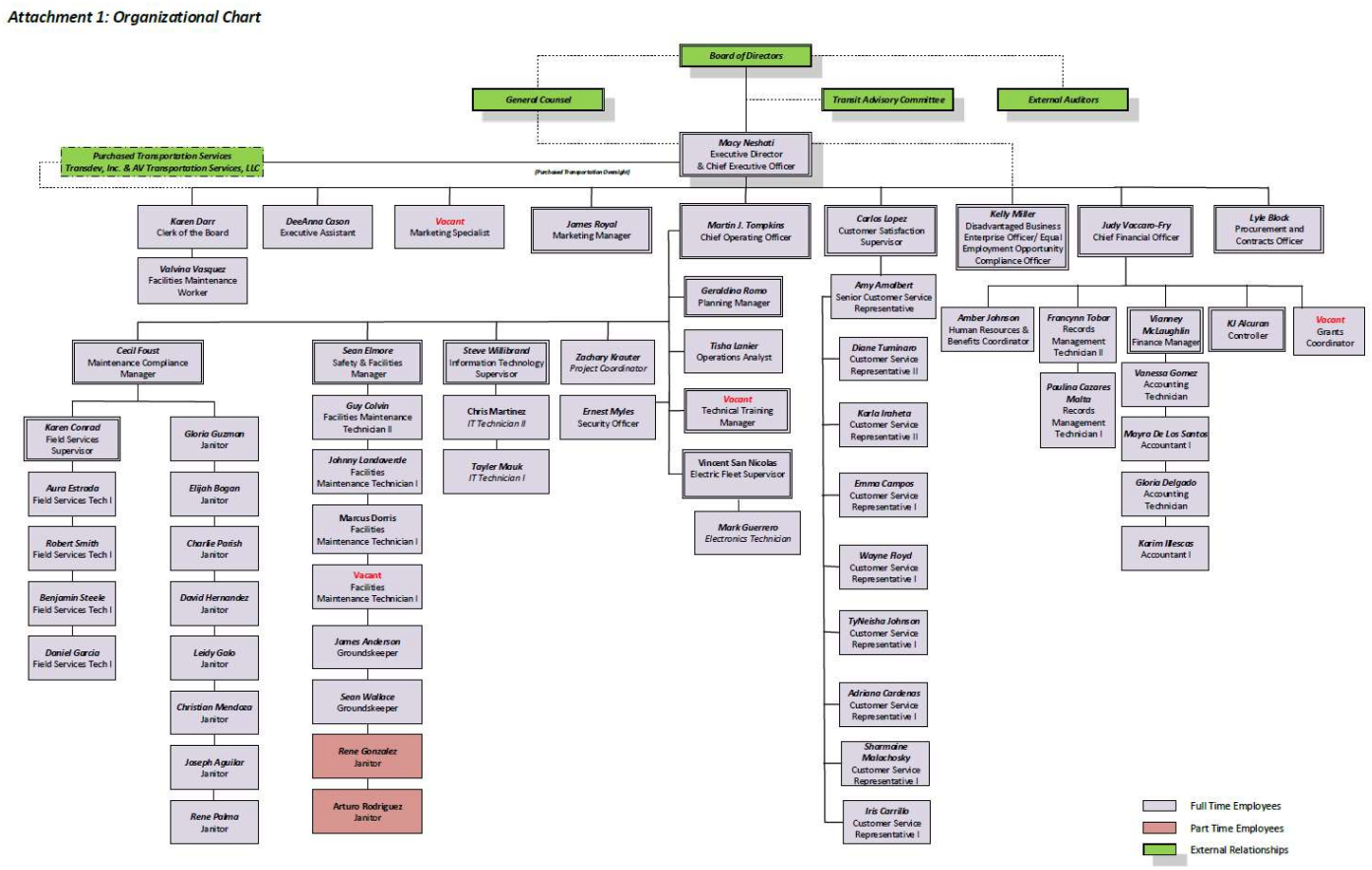


Exhibit 8: AVTA Policy and Management Organization Chart FY 2021-2022

5d. Agency Leadership and Executive Management

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

- Executive Director/CEO
- Chief Operating Officer
- Chief Financial Officer

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 SMS Coordinating and Safety Committee and/or the contractor's safety committee. (See Section 9c: SMS Coordinating and Safety Committee.)
- Complete training on *SMS Awareness* and AVTA's PTASP contents.
- Provide documented recommendations for the annual updates to the PTASP.
- Oversee and support management of day-to-day operations and safety in their individual departments and work groups/shifts.
- Recommended modification of policies & procedures functional areas consistent with system-wide implementation of the SMS, as necessary.
- Provide subject matter expertise by department specialty to support implementation of the SMS as requested by the AE or CSO_1 for AVTA and GM or CSO_2 for the contractors, including SRM activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

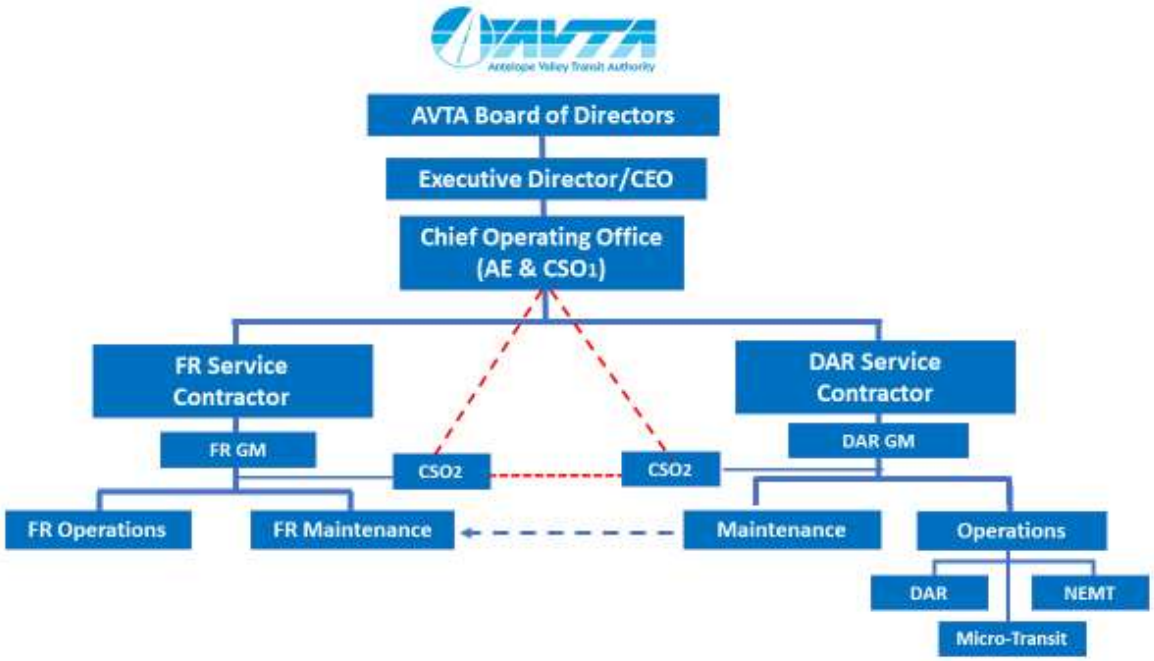


Exhibit 9: Contractor AVTA Transit Operations Organization

5f. Safety Training for Key Personnel

A major requirement for a Chief Safety Officer (CSO) is that designated individuals have completed "adequate safety training" as stipulated by the PTASP Final Rule. The training applies to the AVTA CSO_1 and the contractor's CSO_2. 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.

6. EMPLOYEE SAFETY REPORTING

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

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

6a. AVTA Employee Safety Reporting Process

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

Exhibit 10: Process Flow for Employee Safety Reporting

The AVTA process of the Employee Safety Reporting Program is illustrated 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 CSO_1 for AVTA and by CSO_2 for the contractor. Both CSOs will then collaborate, review reports, and coordinate follow-up in terms of investigation, direct mitigation or referral to the SMS Coordinating and Safety Committee for recommendations and planned mitigation. The process will also include a response to the reporting employee. Parameters of the labor CBA should also guide the development of program specifics.

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

The elements of the program are as follows:

- The employee reporting system at both AVTA management and administration and the contractor worksite will provide protection against punitive measures for those making safety reports.
- Employees of AVTA and the service contractor may utilize the following methods for in taking employee safety reports:

    - Written paper forms and/or electronic forms for confidential reports.
    - Verbal with written documentation received during staff, safety meetings, pre-trip inspections and post-trip inspections.
    - Complaints or observations made by customers or reports from the public.
    - Electronic communications (i.e. email).
    - A safety tip lock box.

- The employee reporting system will provide protection against punitive measures for those making safety reports.
- Protection for reporting employees shall be provided through an AVTA and contractor policy of confidentiality, a policy of no retribution and training.
- Employees may make reports through their immediate supervisor, their department manager, directly to the AE or general manager and to their respective CSO. They may also report anonymously through a safety tip box.
- The employee's immediate supervisor, the department manager, the service contractor's on-site safety manager and the general manager & CSO_2 shall maintain confidentiality and take no prohibited disciplinary action.
- The reported information may be generalized and combined with other training items for safety meetings.
- As to employee behaviors that may result in disciplinary action, any violations of AVTA or service contractor policies & procedures, preventable accidents, law enforcement traffic and OSHA violations will be handled in accordance with the respective entity's employee handbook, agency policy or company policy.

6b. Close Call Reporting

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

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

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

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

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

7. SMS PILLAR 2: SAFETY RISK MANAGEMENT

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

In accordance with the adoption of SMS in the Safety Management Policy, AVTA and its service contractor will conduct the four (4) phases of the safety risk management process, including (1) safety hazard identification; (2) safety risk assessment and evaluation; (3) safety risk management and mitigation; and (4) safety performance measurement and assurance, as illustrated in Exhibit 11:

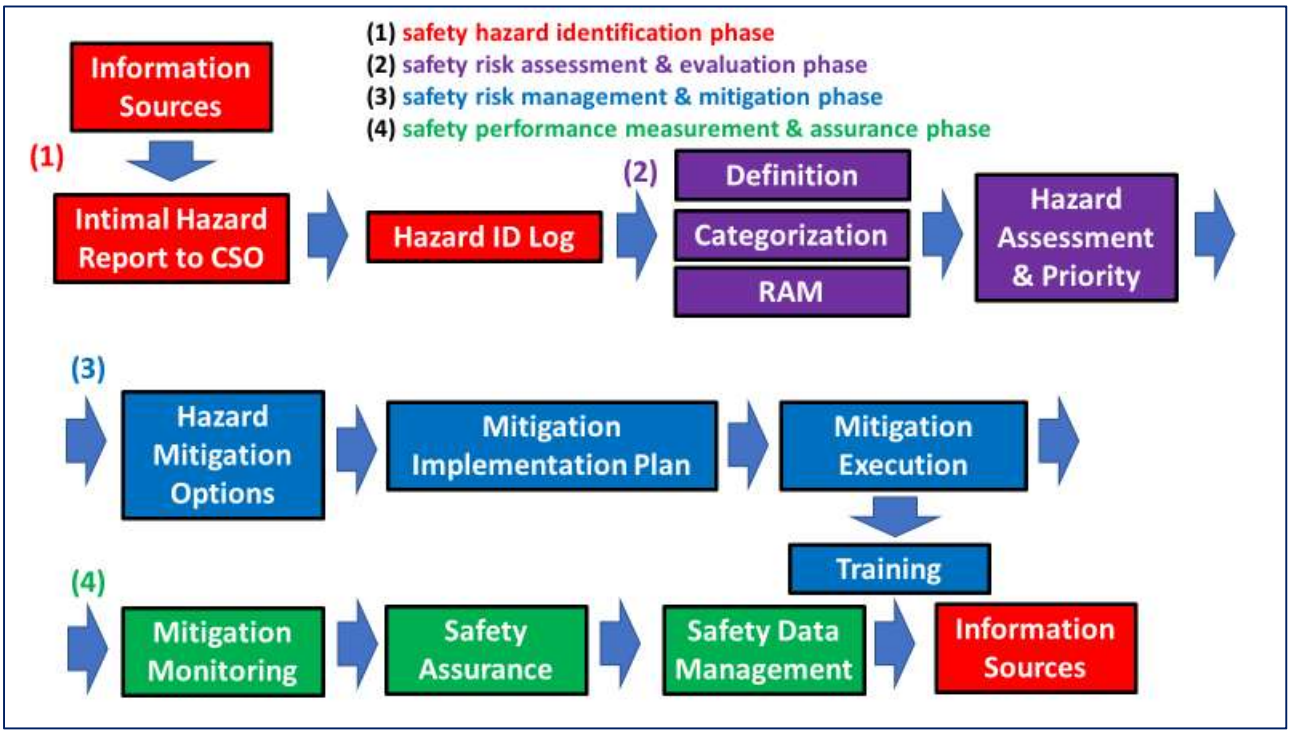


Exhibit 11: Hazard Identification and Mitigation Process

7a. Phase 1- Safety Hazard Identification

Processes to identify hazards and consequences of the hazards.

- The AVTA's service contractor may employ various methods to identify hazards or unsafe conditions and unsafe actions that may challenge the safe management and operations of

the transit system. The AVTA's service contractor should also analyze the potential consequences or potential losses that the hazards and their applicable level of risk present to AVTA (Exhibit 11).

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

AVTA Lancaster Management and Operating Facility

- The service contractor should routinely review and prioritize identified hazards with AVTA. The service contractor should also provide AVTA with action plans to deal with the prioritized hazards and potential consequences. The hazard and consequences identification processes are illustrated 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 contractor may have other sources in present use. Phase 1 includes the CSOs coordinating the development and maintenance of a hazard identification log. /3

7a. Footnotes:

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

7b. Phase 2 – Hazard Type Determination

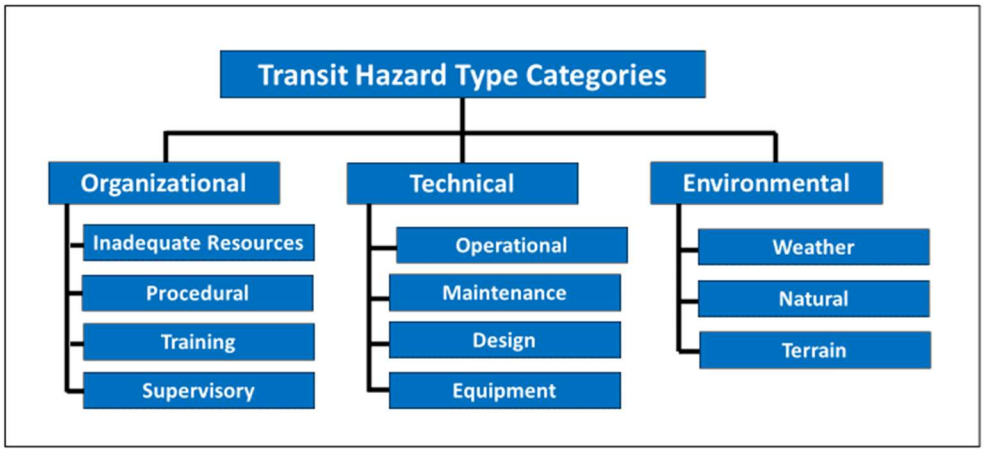


Exhibit 12: Safety Hazard Type Categories

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

7c. Phase 2 – Hazard and Safety Event Definitions

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

Safety Risk Management Definition Checklist

Determining Definition or Category	POTENTIAL CONSEQUENCE OR LOSS
A situation is either a hazard, potential consequence or safety event if all three (3) characteristics in any one box are true.	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.
A Hazard	**A Safety Event**
1. Is real unsafe condition or potential condition. 2. It can cause a consequence (or loss). 3. It is not a safety event.	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 safety committee, the general manager, the CSO2 can establish the probable level of risk for any identified hazard with the use of a RAM such as Exhibit 14 below or Appendix H /1, which measures consequences for people, transit assets, the environment and the agency's reputation. A RAM can also address four (4) FTA safety performance standards: fatalities, injuries, safety events and system reliability.

The CSO2 and the contractor's safety committee should consider all hazards identified by employees, OSHA inspections, peer reviews, insurers, the Highway Patrol, and other subject matter experts (SME) and prioritize the hazards by the level of risk being posed. Prioritizing for action and mitigation should be assigned a timeline along with identifying lead individuals to implement mitigation. The Prioritized Safety Risk Log /1 provides a format for prioritizing hazards and risks and a communication format with the system wide SMS Coordinating and Safety Committee.

7d Footnotes:
/1 See Appendix H: Sample Risk Assessment Matrix.
/2 See Appendix I: Sample Prioritized Safety Risk Log.

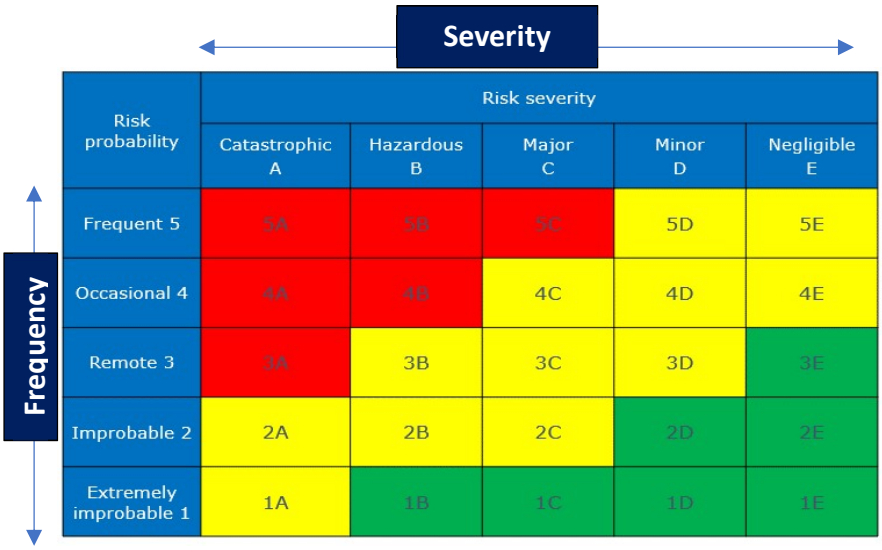


Exhibit 14 Risk Assessment Matrix (RAM)

7e. Phase 3 – Safety Hazard and Risk Mitigation

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

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

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

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

- Utilize safety assurance to monitor and report on the effectiveness and overall performance of the mitigating measures taken. Obtain feedback as well from the effected employees. Redo the mitigation process if the strategy taken is found 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.

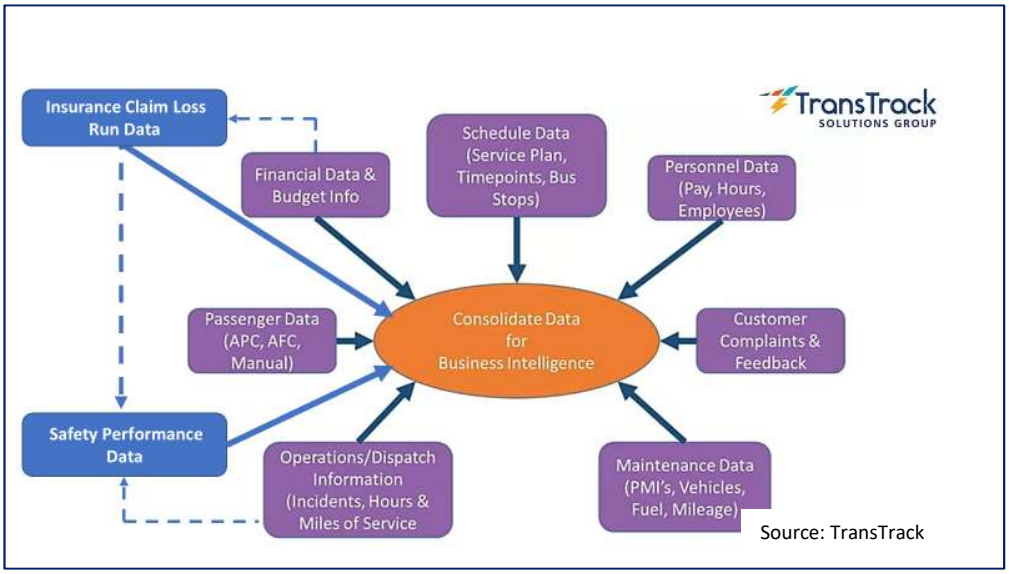


Exhibit 14A: Integrating Safety Performance Data within *TransTrack Manager*

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
    - DAR
    - Service Vehicle
    - Other
- Incident Types:
    - Slip-Trip-Fall
    - Mobility device securement
    - ADA Compliance
    - Mobility
    - Property Damage
    - Crime
    - Assault
    - Employee Injury
    - Vehicle fire
    - HazMat Spill
    - Emergency
    - Other
- Driver Name & Driver ID #
- Responding Field Supervisor Name
- Jurisdiction Traffic Enforcement Responded (Y/N)
- Safety Event Description
    - Injuries (Y/N)
    - CSO & Field Supv. Notified Immediately (Y/N)
    - Vehicle Damage (Y/N)
    - Any Vehicle Towed (Y/N)
    - Drug Screen Required Due to Towing (Y/N)
    - Emergency Medical Care Called (Y/N)
    - Drug Screen Required Due to Medical care (Y/N)

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

8. SMS 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 ~~2020-2021~~ 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.

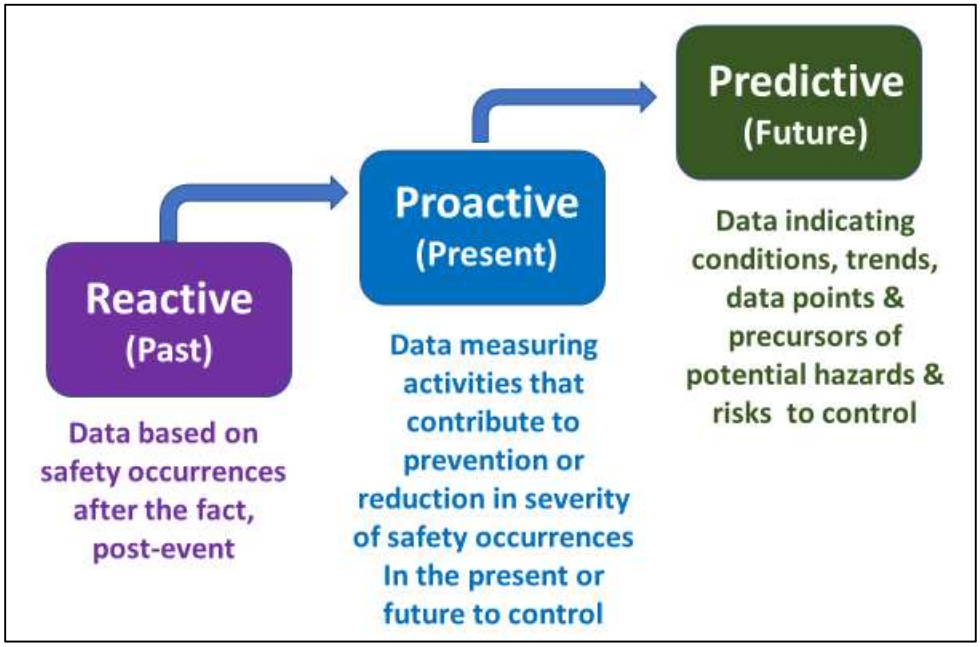


Exhibit 15: Safety Assurance Orientation

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 8: AVTA Organization Chart in Section 8. They include the Chief Operating Officer (also serving as AE/CSO1), the Contracts and Procurement Officer, the Director of Finance and Administration, and the Customer Satisfaction Supervisor.

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

- The COO is the primary administrator that assures compliance with the service contract with the contractors. The operating contract's scope of work, provisions and standards establish the baseline for management, operations, maintenance, and safety-related compliance. Added to these provisions are those required or suggested in the adopted PTASP, including safety oversight by the contractors CSO2 and implementation of SMS on an operational level.
- Monthly reporting on contract performance are included in the provisions and scope of work. Safety performance and SMS implementation reporting will be included.

- A regular monthly performance review between the COO and the service contractors provides an extended review of safety performance, identification of hazards and risks and approaches to mitigation.
- On a monthly basis, the service contractors should review and update the various safety related logs including the following:
    - Employee hazard identification forms
    - Collision / Incident / Event Report Logs
    - Pre- and post-trip inspections reports
    - Vehicle operator defect reports and corresponding maintenance department work orders
    - PMI, repairs, and quality control reports
    - Road call reports, including System Reliability reports, where a vehicle is unable to make pull out for scheduled revenue service
    - Customer and public safety complaints
    - Dispatch logs for safety events and breakdowns
    - Insurance claims
    - Employee safety reporting
    - Close call reporting
- The service contractors should also monitor *practical drift* (taking short-cuts) as applied to established contractor operating policies and procedures.
- The service contractors should periodically audit pre-trip and post-trip inspection reports, defect reports and corresponding maintenance work orders to assure that procedures are being complied with, as well as, providing senior management and maintenance management the information needed for achieving the “state-of-good-repair” (SGR) objective of the AVTA Transit Asset Management (TAM) Plan.
- The service contractors should monitor the interface of PTASP objectives and the TAM Plan and SGR and report as may be required by AVTA.
- The Safety Performance Guide for Goals, Objectives, and Outcomes (Appendix B) will allow AVTA to organize, monitor and evaluate identified safety goals and objectives/outcomes. Examples provided in this resource outline should be adjusted to AVTA’s size and scale of operations. Not all examples will apply. Similarly, metrics should be adjusted depending on preference and/or scale of operations.

8c. Addressing Ineffective Mitigations

AVTA and the contractor will conduct activities to monitor transit operations to identify any implemented safety risk mitigations that may be ineffective, inappropriate, or not implemented as planned or intended. The CSOs will also monitor the status of mitigation action plans. The SMS Coordinating Safety Committee may also be charged with this responsibility as well.

Monitoring for ineffective mitigation activities and approaches will include:

- Performing mitigation performance by the CSOs and involving observations and recommendations from the SMS Coordinating Safety Committee.
- Monitoring and comparing implemented mitigating approaches against desired performance standards and objectives establish during the mitigation’s development process.
- Inspection of equipment, tooling, and other similar assets against desired standards.
- Monitoring the mitigating approach for any influence of practical drift from the procedures and standards and

- Documenting performance of the mitigation's performance.
- Monitoring employee feedback on the mitigation's performance and their acceptance of the approach.
- Monitoring customer feedback on the safety mitigation.
- Monitoring accident, incident, and insurance claim data due to the mitigating approach.
- Conducting safety assurance activities to determine if new safety issues were created by the original mitigation.

8d. Tracing Safety Event Causal Factors

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

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

Root Cause Analysis Process for AVTA Safety Occurrences

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

8e. Identifying Causal Factors

Led by the CSOs, AVTA and its contractor will conduct activities to investigate safety occurrences (accidents, safety events) for the casual 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 CSO_1. CSO_1 will then follow-up with the contractor-side CSO_2 for discussions and action.

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

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

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

9. SMS PILLAR IV. SAFETY PROMOTION

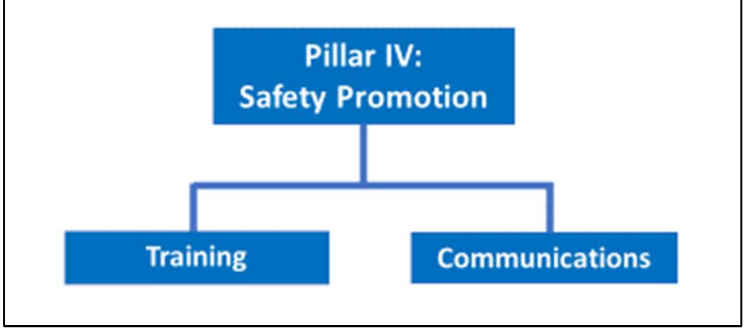


Exhibit 16: Safety Promotion Components

9a. Competencies and Training

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

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

The overall training program ranges from SMS Awareness for all employees to hazard-specific training who have safety oversight responsibilities. Adequate safety training means full competency in safety management.

Required Safety Training for Safety Oversight

The PTASP Final Rule requires that anyone with direct safety oversight of the transit system be qualified to oversee, implement, and manage execution of the PTASP and its SMS. To achieve this objective, both CSOs and others designated with safety oversight responsibilities, such as maintenance supervisors and managers, operational and field supervisors, lead dispatchers and trainers, will undertake safety training as described in Section 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 jurisdiction regulations
- Local traffic enforcement relations (new)
- Creating a drug and alcohol-free workplace
- Preventing harassment
- Discrimination and Title VI
- Fatigue and fit-for-duty management
- Wellness
- Whistleblower policy

Vehicle Operations:

- Professional driving overview
- Introduction to the buses
- Vehicle handling and certifications by type
- Pre-trip and post-trip inspections
- Defect reports for maintenance
- Defensive driving
- Intersection procedures
- Railroad crossing procedures
- Following distance
- Turn maneuvering
- Mirror adjustments and reference points
- Blind spots
- Backing accident polices and prevention

- Merging, lane changing and passing
- Practical drift from policies and procedures (new)
- Pedestrian and bicyclist awareness
- J-walking by passengers
- Location special driving and operating conditions
- Dispatcher communications
- Field/road supervision role
- Mobile data terminals
- Map reading and GPS devices
- Introduction to the ADA and major provisions
- Passenger assistance
- Service animal policies and procedures
- ADA mobility device lifts, ramps, and handling
- Mobility device and passenger securement
- Professional Customer Service and interface
- Conflict/Aggression Management
- Tailgate Pre-Pull Out Safety Meetings

Fleet Maintenance:

- OSHA requirements for industrial safety and compliance
- Emergency and Safety Management Overview.
- Facility Safety and Security Inspections
- Facility and Surrounding Area Hazards
- Maintenance Shop and Bus Yard Incidents
- Facility Structure and Infrastructure Incidents
- Fire Incidents
- Flood Incidents
- Hazardous Material Incidents
- Biohazard Spill Incidents
- Intentional Criminal Acts
- Emergency Communication Procedures
- Near Miss and After-Action Reporting
- Emergency Evacuation Plans and Procedures
- Good housekeeping for Safety
- Right Tools for the Job Safety
- Toolbox Work Assignment and Safety Meetings

General Safety and Security:

- Safety Management Systems Overview (new)
- Driver responsibilities under SMS (new)
- Hazard identification and reporting
- COVID-19 pandemic risk management (new)
- Vehicle video recording policies and procedures
- Close call reporting

- Employee safety reporting program (new)
- Safety good practices and situational awareness
- Myth of multi-tasking
- Blood borne pathogen procedures
- Driver distractions and risks
- Driver rushing risks
- Bus stops hazards
- Fare disputes and confrontations
- Safety event/accident investigation
- Importance of accident and incident reporting
- Crash and incident evidence preservation
- Accident and emergency policies and procedures
- Drivers serving as first responder (new)

All Employee SMS Training

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

Train non-maintenance employees (e.g. office staff and drivers) that will interface with the maintenance area on OSHA requirements, facility safety procedures and industrial operational safety hazards.

Change Management Training

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

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

9b. Safety Communications

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

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

Safety Direction and Safety Performance

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

- Safety management written updates on safety performance, the mission statement and safety reminders throughout the two entities, whether in electronic memorandums or employee newsletters.
- Safety management recognition of those employees responsible for positive safety performance, including, but not limited to, safety incentive programs, management verbal recognition, safety meeting mention, visual and graphic notifications.
- Executive and safety management of both AVTA and contractor providing verbal recognition of employees (e.g. "*Thank you for your service*.") along with some safety reminder (e.g. "*Be safe out there.")* during casual encounters or when "walking the floor."
- Leading by example by all management and staff.
- Safety awareness campaigns internally and externally focused on specific hazards, such as slips, trips and falls; running after the bus; illness and pandemic safety; good housekeeping; using the right tools for the job; safety customer service and interface; adjusting and using the bus mirrors (pre-trips); or bus yard safety.
- Collaboration between AVTA and the contractor on strategies to increase employee safety awareness and feedback internally and externally for customers and other stakeholders. Such strategies may include visual, graphic, and audio messaging, as well as, employee interface with customers.
- Reviewing existing and amended emergency communication policies and procedures in the event of collisions, incidents, other safety events, medical emergencies, pandemic related adverse situations between the contractor and AVTA and internally within both entities.
- Apply SMS safety assurance methods to continuing contractor proposed and delivered safety messaging and promotions.
- Establish and mobilize a SMS Coordinating/Safety Committee involving employees and staff of both entities. Include updates to all employees on projects, purposes status and invitations for feedback.
- Promote the employee safety reporting program in various mediums and methods.
- Utilize various safety meeting formats to deliver safety performance information, safety messaging, and training, including monthly safety meetings by AVTA staff and the contractor employees; tailgate safety briefings for drivers prior to pull-out; and maintenance shop pre-shift safety briefings along with work schedules and assignments.
- Review safety hazards and procedures prior the undertaking of tasks or jobs that may pose risks to the employees as safety reminders.
- Provide facility printed safety signage, safety posters, video playback of digital safety presentations, posted newsletters, OSHA notices and other bulletin board safety memorandums based 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 contractor should consider providing safety and security, marketing, messaging and promotions for customer and public safety, such as:
    - Posting of interior advertising bus cards containing safety and security messages.
    - Posting of decals or signage as safety reminders within the interior of buses.
    - Promoting safety and security by wearing of safety vests while driving or assisting customers.
    - Providing customers with advertising specialties that promote safety and security.
    - Providing pandemic warning or control signage.

9c. SMS Coordinating and Safety Committee

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

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

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

- Analyzing accident investigation reports, reviewing follow-ups, and reviewing the safety event's causal factors for the purpose of improving the transit system's overall safety.
- Monitoring for FTA's required key indicators of fatalities, injuries, safety events 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 should also consider including a member of local law enforcement's traffic investigation division from the City of Lancaster, the City of Palmdale or L.A. County Sheriff Department on the SMS Coordinating and Safety Committee. Including a sworn officer will provide technical input into the above responsibilities, but also build a stronger working relationship with both local jurisdictions in response to collisions and incidents.

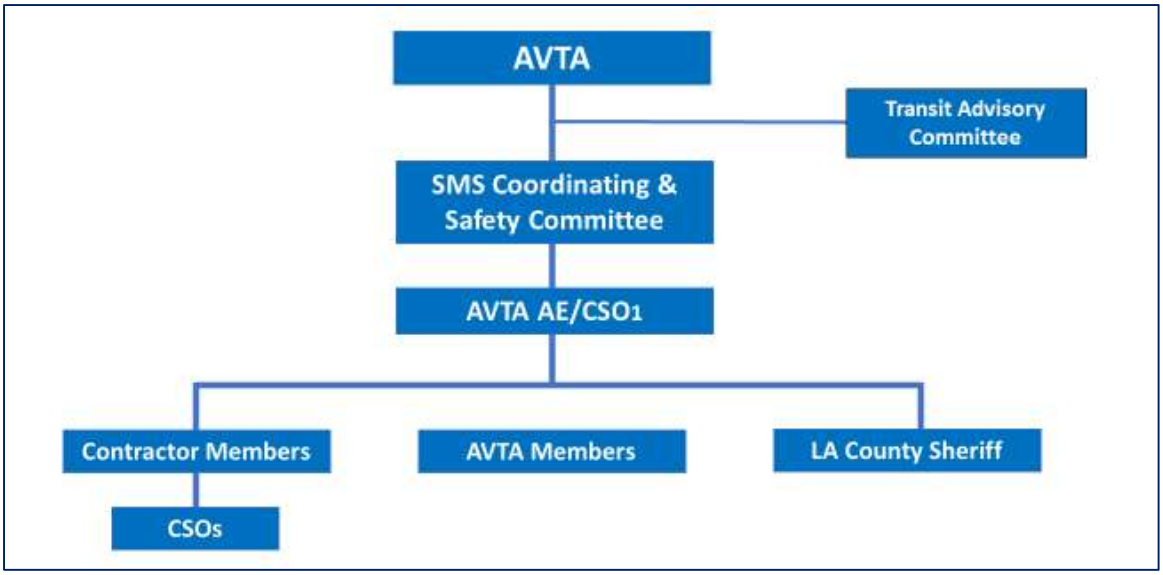


Exhibit 17: AVTA SMS Coordinating & Safety Committee Structure

9d. Employee Safety Meetings

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

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

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

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

10. SAFETY CULTURE

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

10a. Safety Culture Concept

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

10b. Interdependence Between Safety Culture and SMS

This PTASP and the adoption of SMS are effective tools for AVTA and its service contractor to strengthen and sustain its existing culture for safe and reliable transit service within Antelope Valley and Los Angeles County. Exhibit 18: SMS-Safety Culture Symbiotic Relationship illustrates the independency of an agency's implementation and ongoing strengthening of SMS and the existing and potential its safety culture. To consider and adopt SMS, there needs to be the ability to recognize, adopt and implement the approach, i.e. a value for safety and a sense of the important role the tool can serve. In other words, the agency must have an appropriate level of a positive safety culture to desire, adopt and employ SMS – even if required by the PTASP rule. On the other side of Exhibit 18, safety culture is further strengthened by the use of SMS to the extent that the individual and work group safety cultures – their personal value for safety, their beliefs in workplace safety, their ability to prioritize safety first in work tasks, their attitudes positively supporting safety and to collaborate and cooperate in assuring a safer workplace. This all leads to a strong commitment to safety and to the group's safety culture.

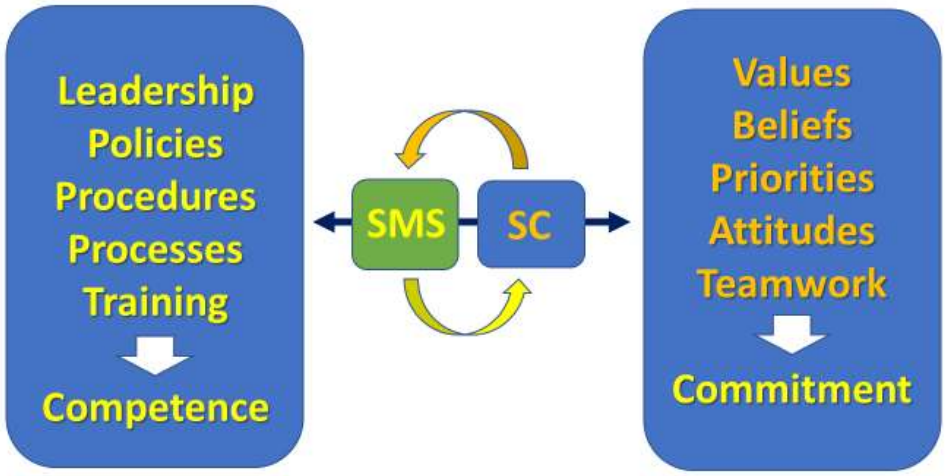


Exhibit 18: SMS-Safety Culture Symbiotic Relationship

10c. Major Safety Culture Characteristics

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

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

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

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

10d. Employee Safety Culture Survey

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

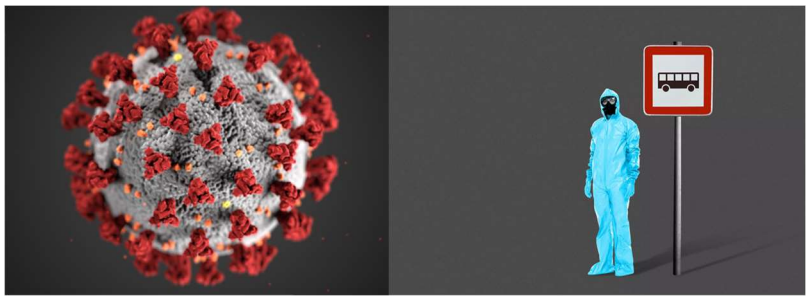
11. MANAGEMENT OF CHANGE

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

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

11a. COVID-19 Pandemic

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



Current projections are for a return of COVID-19 in the Winter of 2021 and 2022 along with the annual influenza. To address this “new normal,” this PTASP recommends that AVTA use what it has learned from the first round (Appendix L: AVTA COVID-19 Responses in Winter – Spring 2020), as well as, those strategies learned throughout the public transit industry and continuing lessons to be learned up to the next wave. Given this experience, AVTA should consider developing a Pandemic Risk Management Plan (PRMP), including stated goals, objectives, customer interface protocols, safety strategies and response-oriented policies & procedures. The plan can consider the NCHRP Report 769: *A Guide for Public Transportation Pandemic Planning and Response* (2014) as a key

resource. The NCHRP report can facilitate development of a 2021 PRMP by addressing the main question: How prepared is AVTA for the next COVID-19 pandemic wave or other Coronavirus pandemic? The following elements should be considered in a PRMP along with current transit and paratransit COVID-19 experience:

- *Preparing strategically for a pandemic, timeline, and resources.*
- *Identifying organizational vulnerabilities during a pandemic (assessing prior efforts).*
- *Decision-making and partnerships.*
- *Role of policy makers and JPA member policies.*
- *Data driven pandemic decision-making.*
- *Working with other partners and stakeholders.*
- *Centralized emergency operations center for AVTA management and those of the contractors.*
- *Centralized monitoring of global, national, state, county, and city pandemic information, recommendations, guidance plans, policies and rules, and trends.*
- *Comprehensive information exchange procedures.*
- *Preventing the spread of disease education and training throughout the AVTA transit system.*
- *Procuring necessary mitigating supplies (PPE, tests, bus and facility shields, etc.).*
- *Making necessary adjustments to the service contractor agreements and to the contractor's labor agreements, as necessary.*
- *Non-pharmaceutical interventions.*
- *Cleaning and disinfection of transportation assets.*
- *Medical interventions and outside support and resources.*
- *Providing fixed route and DAR services during a pandemic and good operational practice.*
- *Effectiveness assessment of AVTA's past (~~Winter-Spring 2020~~) measures of protection against COVID-19 and good practices.*
- *Identifying essential functions to remain during pandemic.*
- *Service utilization changes and communications.*
- *Revisions of rider's guides, web site information and any rules for riding (e.g. required face coverings, reservation procedures and rider responsibilities for assuring their own safety).*
- *Customer service procedures.*
- *Services for ill passengers and coordination with first responders.*
- *Workforce and staffing essential workers, identification, and support.*
- *Coordination with service contractors in pandemic mitigating measures.*
- *Human resource administration during pandemic.*
- *Family preparedness and risk control.*
- *Heath safety and mental wellness support for the essential workforce*
- *Crisis and emergency risk communication.*
- *Development of a dispatcher's emergency response guide on pandemic policies, procedures, and other information supporting the field.*
- *Assessment tools and checklists.*
- *Documentation of all pandemic-related directives, plan elements, procedures and notifications.*

Pandemic Safety Leadership

PPE Stockpile

AVTA Driver Barriers

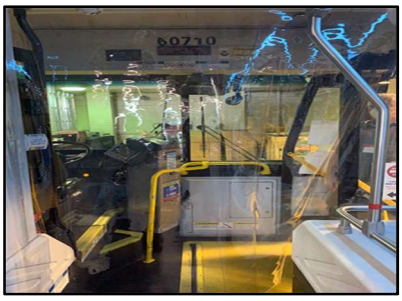
In addition to the topics above, AVTA and the contractors should take into consideration of some of the lessons learned on the national level.

- Monitor local, state, and national Coronavirus news and recommendations that could or will affect AVTA.
- Review available safety, emergency, illness, or wellness documents for applicable content related to the pandemic risk management.
- Monitor and communicate with other transit operators regarding other health safety strategies and solutions.
- Assess what worked, what did not work as well and what can be improved in providing essential bus service during the ~~2020 Winter~~ 2020-2021 pandemic period. This would include posting Coronavirus updates and rider alerts on the website and other means, installation of driver shields and signage, related marketing and informational materials, taping or roping off the front area of the buses, rear boarding, no fares, limiting bus seating, providing each driver with personal protection equipment (PPE), frequent bus and facility cleaning and disinfection, training, and other requirements and instructions (including required masks or face coverings).
- Enhance new hire and refresher training curriculum regarding infection protection.
- Start planning early for the next wave, especially in procuring adequate supplies of necessary PPE (masks, gloves, safety glasses), personal disinfectants.
- Review insurance coverage for liability claims regarding Coronavirus infection by riders and employees.
- Increase training of all management staff and operating personnel that will remain on duty on the latest CDC, L.A. County Health Department, State Health Department directives and recommendations.
- Consider the needs of the personnel on duty and their families, as well as, temporary housing for those working in the system.

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

Bus Interior Disinfection

Customer Instructions



Driver / General Public Separation Barrier

11b. Electric Vehicle Fleet Transition

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

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

11c. Triennial Audit by FTA

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

12. CONTINUOUS IMPROVEMENT

While not a requirement for AVTA as a Tier II transit operator, developing and maintaining a philosophy for continuous improvement is important. Continuous improvement is an ongoing effort to improve services and processes. Regarding workplace processes, a continuous improvement strategy is any policy or procedure that helps keep the focus on improving the way things are done on

a regular basis. This could be through regular incremental improvements or by focusing on achieving larger process improvements. An AVTA example is improving overall safety management and the organizational safety culture for contractor an AVTA management and contractor operations.

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

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

(2) Select and focus on the appropriate process for improvement (employee input, SMS Coordinating Committee identified issue, reoccurring issue, review of operational options related to attaining safety performance targets, etc.).

3) Plan for the future by considering system and operating condition changes or influences (e.g., COVID-19 pandemic second wave, industry adopted good practices or pending legislative compliance requirements).

(4) Conduct an analysis of the issues, casual factors and root cause and develop options for improving the issue or mitigating the issue.

(5) Act by planning to implement improvements or mitigating measures to correct the root cause (e.g., providing masks or face covering to riders while riding).

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

PERSISTENCE, PERSEVERANCE, AND CONTINUOUS IMPROVEMENT ARE THE INGREDIENTS FOR FORMING A SUCCESSFUL ORGANIZATION.

13. TAM PLAN & STATE OF GOOD REPAIR

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

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

14. DOCUMENTATION AND RECORDKEEPING

Under Part 673, AVTA is required to maintain documents that describe its Safety Plan, including those related to implementation and results from processes and activities. AVTA may have existing documentation that describes processes, procedures, and other information required in the final PTASP rule, in agency and/or contractor documents, such as emergency plans, operational and service manuals, service contracts and their scopes of work, employee handbooks, the collective barging 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 ~~2020-2021~~ FY 2021-2022

15a. SMS Implementation

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

CSO2's implementation tasks include carrying out selected strategies, activities, projects and programs that specifically execute the adopted PTASP and adopted method. To provide effective implementation, it is recommended that the SMS Coordinating and Safety Committee, including both CSOs, develop an implementation plan on a year 1 basis and a multi-year basis.

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

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

15b. SMS Implementation Plan

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

Elements of the SMSIP should include:

- Acceptance and commitment to the Safety Management Policy by key individuals involved in implementation.
- Review and prioritization of recommendations from the PTASP and how they establish key individual roles and responsibilities within SMS.
- Within the structured authorities of contract management and contractor operations (Exhibit 19), assigning responsibility for incorporating current or adapted safety activities and the implementation of new safety activities among key individuals.
- Direct lines of communication on safety and SMS matters among key individuals so that collaboration and cooperation are promoted.
- Conducting a gap analysis between existing and contracted SMS elements and PTASP identified elements along the proposed activities or programs for safety policy, safety risk management, safety assurance and safety promotion.
- Reviewing and assuring the effectiveness of establish policies and procedures related to safety, including consistency between AVTA and the contractor.
- Communicating safety matters to all employees and seeking employee involvement and input in making safety the first priority.
- Development individual action plans for required or recommended elements of PTASP and SMS, including, but not limited to:
    - Establishing an FTA compliant employee safety reporting system.
    - Integrating safety related aspects of AVTA's TAM Plan with those of the PTASP (e.g. state of good repair and system reliability).
    - Revising existing employee training that incorporates SMS awareness.
    - Undertaking required safety management training by the CSOs.
    - Benchmarking the system and facility safety through periodic assessments.
    - Enhancing TransTrack reporting system to include sufficient safety performance data to meet effective data-driven safety decision making.
    - Developing a pandemic risk management plan for the ~~Winter of 2021~~ 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.

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 Chief Operating Officer for AVTA and has oversight and immediate responsibility for the contractor's overall operating performance through the contractor's 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 COO is related to the contractor's CSO2 in terms of putting into effect the PTASP and implementing SMS. The CSO2 is the project manager 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 Coordinating and Safety 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 CSO and provide input and receive feedback from the SMS Coordinating and Safety Committee for dissemination of information within the operations.

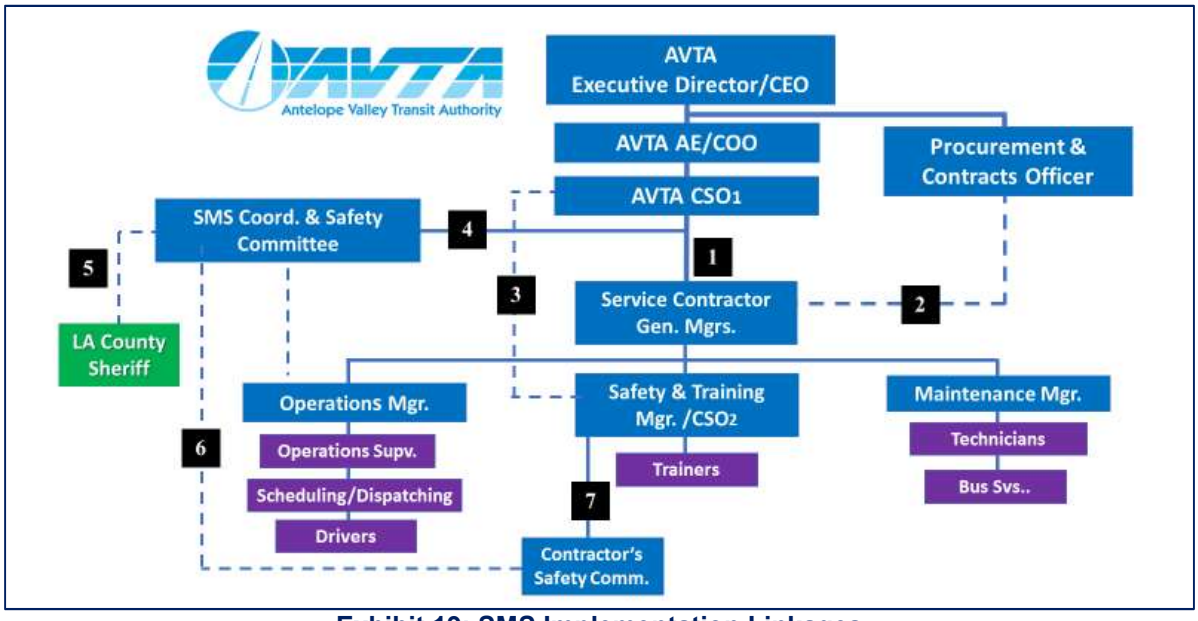


Exhibit 19: SMS Implementation Linkages

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.*
AVTA System Security and Emergency Preparedness Plan, interim COVID-19 polices & procedures, service contractor agreement and amendments, and AVTA TAM Plan. Contractor OSHA IIPP, Emergency Plan, Safety Policies and Procedures Handbook, Employee Handbook, Labor-Management CBA, interim COVID-19 polices & procedures, Code 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
Demand-Response, Dial-A-Ride, Micro-Transit, 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.
Fixed-Route Bus	Local, express, and/or rapid bus service that follows a fixed route and typically also a fixed schedule. Passengers typically board and alight at fixed stops.
Pandemic	Global outbreak of disease, i.e. COVID-19/Coronavirus
TrAMS	FTA's Transit Award Management System
Transporter	AVTA commuter route between Antelope Valley and the City of Santa Clarita and their transit system.
TransTrack Manager	A software application for key transit agency information analytics.

LIST OF ACRONYMS USED IN THE AVTA SAFETY PLAN

17.b Acronym	Word or Phrase
AE	Accountable Executive for the PTASP
ASP	Agency Safety Plan
AVTA	Antelope Valley Transit Authority
CEO	Chief Executive Officer
COO	Chief Operating Officer
COVID-19	Name of the disease caused by the new coronavirus that is called SARS-CoV-2, or sometimes just “novel coronavirus”. Here: same as Coronavirus.
CSO_1	Chief Safety Officer of AVTA On the Agency Management Level
CSO_2	Chief Safety Officer of the Service Contractor on the Operations Level
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
JPA	Joint Powers Authority
LA Metro	Los Angeles County Metropolitan Transportation Authority
MCI	Motor Coach Industries – a bus manufacturer
MPO	Metropolitan Planning Organization
NCHRP	National Cooperative Highway Research Program
NEMT	Non-Emergency Medical Transportation
NPTSP	National Public Transportation Safety Plan
NTD	National Transit Database
PMT	Passenger Miles
PRMP	Pandemic Risk Management Plan
PTASP	Public Transportation Agency Safety Plan
SCAG	Southern California Association of Governments
SMPS	Safety Management Policy Statement

SME	Subject Matter Expert
SMS	Safety Management Systems
SPT	Safety Performance Target
TSI	Transportation Safety Institute
UPT	Unlinked Passenger Trips
VRM	Vehicle Revenue Miles
VRH	Vehicle Revenue Hours

AVTA PTASP Appendices

Appendix Title	Appendices Page
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APPENDIX B: Safety Performance Guide for Goals, Objectives, and Outcomes	7~~8~~6
APPENDIX C: Staff Safety Roles and Responsibilities Chart	81~~7~~9
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PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

Appendix A

PTASP Accountable Executive Certification Checklist

AVTA AE Checklist for Bus Transit

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

Accountable Executive: Martin Tompkins, COO
Agency: Antelope Valley Transit Authority (AVTA)
Location: Lancaster, CA - Antelope Valley
Due Date: ~~December 31, 2020~~ June 17, 2021

FTA Requirements

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

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

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

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

1. Transit Agency Information

- ☒ Name and address of the transit agency adopting the Agency Safety Plan.
- ☒ Modes of transit service covered by the Agency Safety Plan.
- ☒ Modes of service provided by the transit agency (directly operated or contracted service).
- ☒ FTA funding types. (e.g., 5307, 5337, 5339)

☒ Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).

☒ An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).

☒ A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)
☒ CSO with Agency
☒ CSO with contractor

2. Plan Development, Approval, and Updates

☒ Name of the entity that drafted the Agency Safety Plan.

☒ The Accountable Executive's signature on the Agency Safety Plan and date of signature.
Executed Date: June 23, 2020

☒ The Board of Directors' or Equivalent Authority's approval of the Agency Safety Plan and date of approval. Board Adoption Date: June 23, 2020

☒ 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: July 23, 2020

☒ Process and timeline for conducting an annual review and update of the Agency Safety Plan, including the Agency Safety Plan version number and other relevant information.

☒ The Agency Safety Plan addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan

3. Safety Performance Targets

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

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

☒ Safety Events: Total number of reportable events and rate per total vehicle revenue miles by mode.

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

☐ Performance targets are made available to the State to aid in the planning process. - N/A
☒ Agency notified State DOT opting-out of state's role in developing a plan for Agency.

☒ Performance targets are made available to the Metropolitan Planning Organization(s) (MPOs) to aid in the planning process. Board Adoption Date: June 23, 2020

☒ 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 23, 2020

4. Safety Management Policy

☒ Written statement of Safety Management Policy (SMP), including the agency's safety objectives.

☒ Employee safety reporting program, that includes:

- ☒ A process that allows employees to report safety conditions to senior management.
- ☒ Protections for employees who report safety conditions to senior management.
- ☒ A description of employee behaviors that may result in disciplinary action, and therefore are excluded from protection.

☒ Communication of the safety management policy throughout the agency's organization.

☒ Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's Safety Management System (SMS), for the following individuals:

- ☒ The Accountable Executive
- ☒ The Chief Safety Officer or SMS Executive
- ☒ Agency leadership and executive management
- ☒ Key staff

5. Safety Risk Management

☒ Safety hazard identification: Methods or processes to identify hazards and consequences of hazards, which includes data and information provided by an oversight authority and the FTA as sources for hazard identification.

☒ Safety risk assessment: Methods or processes to assess the safety risks associated with identified safety hazards. This must include assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.

☒ Safety risk mitigation: Methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards

6. Safety Assurance

☒ Activities to monitor the transit agency's system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance. (Safety performance monitoring and measurement)

☒ Activities to monitor the transit agency's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. (Safety performance monitoring and measurement)

☒ Activities to conduct investigations of safety events, including the identification of causal factors. (Safety performance monitoring and measurement)

☒ Activities to monitor information reported through any internal safety reporting programs. (Safety performance monitoring and measurement)

☒ Management of change: A process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. These proposed changes must be evaluated through the agency's Safety Risk Management process.

☒ Continuous improvement: A process to assess the transit agency's safety performance. If the agency identifies safety deficiencies as part of its safety performance assessment, the agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies.

7. Safety Promotion

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

☒ Communication of safety and safety performance information throughout the transit agency's organization that conveys, at a minimum:

- ☒ Information on hazards and safety risks relevant to employees' roles and responsibilities; and
- ☒ Safety actions taken in response to reports submitted through an employee safety-reporting program.

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

Signature:

Martin Tompkins
AE and COO

June 17, 2021
Date

PTASP FY~~2020-2021~~ 2021-2022

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 ~~2020-2021~~2021-2022

APPENDIX C

STAFF SAFETY ROLES AND RESPONSIBILITIES

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

Completed by:	Date

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

Vehicle Operators			
Maintenance Mgr.			
SMS Coordinating & Safety Committee Members			

PTASP FY ~~2020-2021~~2021-2022

Appendix D

SAFETY ASSESSMENT AND SYSTEM REVIEW

Review Version Number: _____

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

Completed by	**Date:**

SECTION	REVIEW QUESTIONS	YES	NO	N/A
Safety Policies:	• Are all safety policies up to date and reviewed?	☐	☐	☐
	• Is a Public Transit Agency Safety Plan (PTASP) or any other System Safety Plan written for the transit system?	☐	☐	☐
	• Is the Drug and Alcohol Policy current and up to date?	☐	☐	☐
New Hire Employee Files:	• Was there a structured interview conducted and documented?	☐	☐	☐
	• Is the applicant asking the questions relating to previous experience with drug and alcohol testing?	☐	☐	☐
	• Is the offer of employment documented in writing?	☐	☐	☐
	• Is there a pre-employment drug screen?	☐	☐	☐
	• Is there a pre-employment physical exam?	☐	☐	☐
	• Are safety sensitive responsibilities outlined in the job description?	☐	☐	☐
	• Is there a completed Substance Abuse Policy and Drug Free Workplace Policy Acknowledgement form?	☐	☐	☐
	• Is there a Current Policies and Procedures Acknowledgement Form?	☐	☐	☐
Post Hire Employee Files:	• Is a current employee roster available?	☐	☐	☐
	• Are the employee files maintained by the transit system?	☐	☐	☐
	• Do existing employee files contain?	☐	☐	☐
	➢ Background check?	☐	☐	☐
	➢ Previous employer request form?	☐	☐	☐

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

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

	• Are pre-trip inspection forms completed daily?	☐	☐	☐
	• Are post-trip inspection forms completed daily?	☐	☐	☐

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

SIGNATURES:

_____ _____

Signature of Chief Safety Officer Date of Survey

_____ _____

Signature of Accountable Executive Date of Review

_____ _____

Signature of General Manager Date of Review

APPENDIX E

FACILITY SAFETY and SECURITY ASSESSMENT

Review Number: _____ Date: _____

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

Completed by:	**Date:**

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

	• Is this system always on or activated by motion sensors?	☐	☐	☐
Non-Employee Access:	• Is access restricted to persons without proper credentials and clearance?	☐	☐	☐
	• Are supply deliverers required to show proper I.D. and sign-in a logbook?	☐	☐	☐
	• Are always all non-employees accompanied and/or observable?	☐	☐	☐
Surrounding Environment:	• Are there other non-City/County buildings connected to the facility that may be vulnerable to unauthorized entry to City/County property?	☐	☐	☐
	• Are all utility components (power transformers, back-up generators) protected and secured from vandalism or attack?	☐	☐	☐
	• Are all outdoor storage areas adequately lighted and secured?	☐	☐	☐
Material Storage:	• Are all hazardous and flammable materials properly identified?	☐	☐	☐
	• Are all materials properly labeled, stored, and secured?	☐	☐	☐
Forms and Written Plans:	• Are emergency numbers (police, fire, ambulance, FBI) current and prominently displayed at each phone?	☐	☐	☐
	• Is a Chain of Command and emergency call list prominently displayed?	☐	☐	☐
	• Are employees trained and checklists provided on how to handle a physical threat or incident called in on the phone?	☐	☐	☐
Evacuation Plan/Procedures	• Are there evacuation plans for this facility?	☐	☐	☐
	• Are staff members trained on this plan?	☐	☐	☐
	• Are assembly areas and alternate assembly areas identified, validated and coordinated with the County Emergency Management Office?	☐	☐	☐
	• Have the primary and alternate assembly areas, evacuation sites, and evacuation routes been verified and coordinated with all appropriate agencies?	☐	☐	☐
	• Has the Emergency Evacuation Plan been reviewed, coordinated, and briefed to staff as appropriate?	☐	☐	☐
Training:	• Is an orientation program in place for each new staff member?	☐	☐	☐
	• Do all staff members receive safety and security training appropriate to their position and level of responsibility?	☐	☐	☐
	• Are periodic safety and security training and briefings completed with staff?	☐	☐	☐
	• Do all new staff members receive briefings on the City/County Evacuation Plan, the Disaster Preparedness Plan, and other security policies and procedures?	☐	☐	☐
Administrative Procedures:	• Is a record of emergency data on file for each staff?	☐	☐	☐
	• Have incident reporting format and procedures been established and staff briefed on them?	☐	☐	☐
	• Are all incident reports treated with confidentiality and transmitted by secure means to the appropriate City/County department?	☐	☐	☐
	• Are background checks conducted and verified on all prospective new hires?	☐	☐	☐
Cash Handling and Transfer:	• Has a secure method for receipt, transfer and storage of cash been established and have appropriate staff members been trained on them?	☐	☐	☐

	• Is cash transported by at least two individuals with cash divided between them?	☐	☐	☐
	• Do all staff members understand that in the event of a robbery they should never risk their lives to protect cash or other valuables?	☐	☐	☐
Fire and Electrical Safety:	• Are fire extinguishers installed in all appropriate locations?	☐	☐	☐
	• Are smoke and heat detectors installed, at least one on each floor?	☐	☐	☐
	• Is a first aid kit present and maintained?	☐	☐	☐
	• Are all electrical devices, outlets, circuit breakers and cords free of damage that may pose a shock hazard?	☐	☐	☐
	• Are all electrical circuit, gas, and telephone boxes, if accessible from the outside, locked to prevent tampering?	☐	☐	☐
	• Do any non-employees have access from outside the building to any fire escapes, stairways, and/or the roof?	☐	☐	☐
	• Are all outdoor trash containers and storage bins located away from the building in the event of a fire?	☐	☐	☐

Comments & Other Observations:

SIGNATURES:

_____ _____

Printed Name of Reviewer **Date**

_____ _____

Signature of CSO **Date**

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APPENDIX F

EMPLOYEE HAZARD IDENTIFICATION FORM

DATE OF REPORT: _____

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

EMPLOYEE NAME: _____

EMPLOYEE IDENTIFICATION NUMBER: _____

EMPLOYEE'S PROJECT DEPARTMENT: _____

EMPLOYEE'S SUPERVISOR: _____

HAZARD AREA: ____**Street Operations** ____**Yard** ____**Office** ____**Maintenance Shop** ____**Other:**

Describe Other: _____

LOCATION/ADDRESS OF HAZARD: _____

GPS Coordinates: _____ **X** _____

LANDMARKS: _____

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

_____

_____

_____

_____

EMPLOYEE'S COMMENTS AND SUGGESTIONS: _____

_____

_____

SIGNATURE: _____

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APPENDIX G

HAZARD IDENTIFICATION AND RISK ASSESSMENT LOG

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

Completed by:	**Last Updated:**

Risk Type	Risk Description	Current Measures to Reduce Risk	Risk Rating Likelihood	Risk Rating Severity	Risk Rating Value (Likelihood x Severity)	Further Action Required to Reduce Risk	Staff Responsibility
Human Error **EXAMPLE**	Non-compliance with agency maintenance protocol	• 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	• Introduce compliance monitoring • Effective supervision including work compliance assessment • Competency assessments • Maintenance policy to reinforce need for compliance	• Safety Assurance • Line Manger • Maintenance Manager
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•
		•				•	•

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

Identified Hazard:

Severity	Consequences				Likelihood				
	People	Assets	Environment	Reputation	1 Practically impossible (never heard of in the industry)	2 Remote, not likely to occur	3 Could occur, or heard of it happening	4 Likely, known to occur or has happened before	5 Common, or occurs frequently
1	First aid or no injury	No/Slight damage	No/Slight effect	No/Slight impact	Low	Low	Low	Low	Medium
2	Slight injury, medical treatment	Minor damage	Minor effect	Limited impact	Low	Low	Medium	Medium	High
3	Serious injury, hospitalization more than 7 days	Moderate damage	Moderate effect	Local area impact	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
5	Multiple fatalities	Major damage, multiple units	Massive effect	Major national impact	Medium	Medium	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)

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APPENDIX I

PRIORITIZED SAFETY RISK LOG

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

Completed by: Insert Reviewer Name	Last Updated: Insert Date

Priority	Risk Description	Planned Mitigation Strategies	Outcomes of Planned Mitigation Strategies	Responsible Staff	Timeline	Status
1	Non-compliance with agency maintenance protocol **EXAMPLE**	• Introduce compliance monitoring • Effective supervision including work compliance assessment • Competency assessments • Maintenance policy to reinforce need for compliance	•	• Safety Assurance • Line Manger • Maintenance Manager	• Begin January 2015 • Complete August 2015	Open
2		•	•	•	•	
3		•	•	•	•	
4		•	•	•	•	
5		•	•	•	•	
6		•	•	•	•	
7		•	•	•	•	
8		•	•	•	•	
9		•	•	•	•	
10		•	•	•	•	

_____ _____

Reviewer's Signature Date

_____ _____

CSO Signature Date of Update Review

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APPENDIX J

PTASP Adopted for FY ~~2020-2021~~ 2021-2022 Recommended Action List

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

1. **Implementation of SMS within AVTA**
   - □ Designate AVTA's CSO1 responsible for implementing SMS on the transit authority's level.
   - □ Designate the contractor's CSO2 as the project manager for implementing SMS for the management and operations level.
   - □ At both agency and contractor levels, develop a phased implementation plan addressing all components of SMS.
   - □ Conduct a gap analysis as a part of the implementation plan, where the gap analysis' purpose is to indicate what is needed between existing programs and processes and those required, suggested, or recommended by the PTASP and SMS.
   - □ Designate a location for retention of all SMS implementation documentation as required by FTA.
   - □ Notify LA Metro (as required) of AVTA's PTASP Safety Performance Annul Targets. And SCAG (if applicable) of the same.

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

3. **SMS Safety Risk Management**
    - □ Establish a safety hazard identification program with a process to investigate, evaluate, analyze, and prioritize the hazards.
    - □ Establish a safety hazard mitigation process for the identified hazards, which includes participation by the organization-wide SMS Coordinating and Safety Committee; a mitigation development process; a implementation process (including a hazard-specific implementation plan); and monitoring process to assure effectiveness of the mitigation method.
    - □ Develop new or convert existing safety reporting and safety management data system to meet the requirements of the PTASP and SMS.
    - □ Prepare a COVID-19/Coronavirus Pandemic Risk Management Plan for the 2021 winter wave.
4. **SMS Safety Assurance**
    - □ Conduct a safety assessment and system review and document.
    - □ Conduct a facility safety and security assessment and document.
    - □ Assess the extent, if any, of practical drift away from established policies and procedures in transit operations and maintenance and evaluate the casual factors.
    - □ Insert safety assurance into various management and operation functions of AVTA, including but not limited to procurement and construction of AVTA transit assets.
    - □ Schedule and conduct regular safety inspections of transit operational procedures and transit maintenance practices required by OSHA.

5. **SMS Safety Promotion**
    - □ Establish communication links among members of the SMS Coordinating Safety Committee to promote collaboration and cooperation on safety issues and solutions.
    - □ Develop and insert an acceptable SMS Awareness module into new hire training curriculum equivalent to the TSI course.
    - □ Train all current AVTA and contractor employees on SMS Awareness and their roles, duties, and responsibilities under SMS.
    - □ Review effectiveness and processes of AVTA and contractor safety communications (safety alerts, safety awareness messaging and promotions) for employees and customers and develop a safety promotions plan, including the ability to campaign against specific hazards.
    - □ Employ the AVTA Mission Statement to emphasize safety in promotions in raise overall safety awareness.

APPENDIX K

SAFETY CULTURE SELF- ASSESSMENT

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

WHAT IS A SAFETY CULTURE?

Your safety culture reflects the values, attitudes and behavior of your organization with regards to health and safety.
It is not just what safety systems you have in place.
In a positive safety culture:

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

WHY DO WE NEED A STRONG SAFETY CULTURE?

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

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

WHAT DOES IT TAKE?

Genuine commitment to a strong safety culture means you:

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

WHERE DO I START?

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

The completed questionnaire should be scored as follows:

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

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

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

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

1. Formal safety audits or reviews at regular intervals, such as once a year or once every two years, are a normal part of our operations. (For these purposes, an audit is a formal process of evaluating and reporting on how a company manages health and safety in accordance with a recognized standard.)
   0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

2. Everyone at this organization values ongoing safety improvement in the organization
   0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

3. My organization considers safety at least as important as production and quality in the way work is done.
   0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

4. Workers and supervisors have the communications & information they need to work safely.
   0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

5. Employees are always involved in decisions affecting their health and safety.
   0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

6. Those in charge of safety have the authority to make the changes they have identified, as necessary.
   0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

7. Those who act safely receive positive recognition.
   0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

8. Everyone has the tools and/or equipment they need to complete their work safely.
   0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

9. Employees freely document and report close calls (near accidents)
   0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

10. Management & employees believe that my organization's priority is safety.
    0-20% = 1 Pt. 20-40% = 2 Pts. 40-60% = 3 Pts. 60-80% = 4 Pts. 80-100% = 5 Pts. ➔ _____

Total Score _____

Organization's Safety Culture Observed Level

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

APPENDIX L

AVTA COVID-19 Responses in ~~Winter - Spring 2020~~ FY 2020-2021

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 next wave of the pandemic expected by authorities in Winter of 2021~~. The ~~2020~~FY 2020-2021 pandemic actions should be incorporated into an AVTA Pandemic Risk Management Plan (PRMP) in coordination with ~~from the date of~~ the PTASP ~~adoption to the Winter of 2021~~, which includes continued collaboration, cooperation, and coordination among the AVTA JPA member jurisdictions.

M E M O R A N D U M

DATE: April 20, 2020

TO: Macy Neshati, Executive Director/CEO

FROM: Martin J. Tompkins, Senior Director of Operations and Planning

SUBJECT: COVID – 19 Task Force Update

BACKGROUND

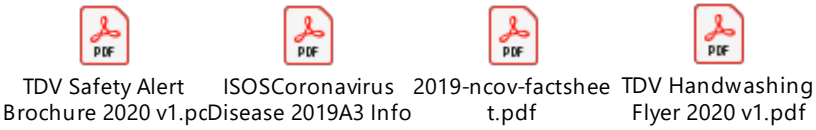
The Centers for Disease Control and Prevention is responding to an outbreak of a respiratory disease caused by a coronavirus that was first detected in China and has now been detected in more than 100 locations internationally, including in the United States. The virus has been named "SARS-CoV-2" and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

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

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

Bus Operations: Transdev

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



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

AVTA Admin: Macy Neshati, Martin Tompkins, Karen Darr, DeeAnna Cason, Williene Jones, Amber Johnson, Judy Fry, James Royal, Lyle Block, 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 Transdev General Manager Rene Alvarez.
- Mayra, Francynn, Karim, Geri, Tisha are on stand-by to answer phones when Customer Service is short staffed.
- IT staff installed the informational PowerPoint below on the lobby monitors.

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

- Kelly and James provided a script to Customer Service staff, Transdev operators and field supervision to answer riders' questions.
- Purell sanitizing wipes were distributed to AVTA and Transdev staff.
- Staff was directed to sanitize phones with eyeglass wipes, not Purell wipes.
- Williene distributed the COVID-19 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 Transdev operators' lounge, administration, customer service, lobby, break room, dispatch, maintenance, utility areas, and transfer centers.
- Cases of gloves for customer service and money room staff were ordered and received.
- Additional surface cleaner was ordered and received.
- Additional Husky sanitizer was ordered and received.
- Eyeglass cleaner wipes were ordered and received.
- Special attention is be given to Community Room, money room, counter tops, and customer service area. Counters, door knobs, etc. are being cleaned twice a day throughout facility.
- Anti-bacterial soap dispensers have been installed in the restrooms.
- Bus stop maintenance crew will assist facility staff when they are short staffed.
- Bus stop maintenance crew 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. 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.
- On March 18, 2020, AVTA obtained temporary labor services (Ready Jobs) of five (5) workers, three for OMP and two for PTC, to conduct bus sanitizing from 8:00 am to 4:00 pm. All buses

that come through both transfer locations are wiped down thoroughly. AVTA supplies all disinfectants, towels, masks and gloves. Geraldina Romo is managing this group.

- On March 19, 2020, four 20-gallon drums of disinfectant concentrate arrived and are being used on buses and bus stop amenities.
- On March 20, 2020, the AVTA Planning Department worked with Transdev to map out a Saturday schedule to operate seven (7) days and to cancel all commuter bus services during COVID-19. There were multiple discussions with the Union, which supports AVTA efforts.
- March 23, 2020, AVTA began operating on a Saturday schedule.
- March 23, 2020, AVTA officials participated in a TRANS-MAC (Transit Management Advisory Committee) call with 16 other agencies. All shared their current challenges, ideas, new policies, and ridership.
- March 23, 2020, AVTA released a Media Release – "Free Fares on Local Transit Boarding through Rear Doors Only."
- March 24, 2020, the AVTA Rear Door Boarding and Free Fare policy went into effect.
- As of March 29, 2020, bus ridership was down 57% compared to February 2020.
- Staff is tracking every cost related to COVID-19, and documenting all meetings/webinars associated with COVID-19.
- Staff views FEMA website COVID-19 Rumors for up-to-date information.
- Transportation will continue until the governor or city leaders announce different procedures.
- Martin will speak to Valley Oasis Homeless Shelter on Avenue I and 60th W.
- Karen D. and Vanessa Gomez are working on merging AVTA and Riverside Pandemic Procedure information.
- If staff tests positive for the virus, management will quarantine person, sanitize area, and use Incident Command Center for dispatch, etc.
- Staff 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, Transdev, and OPSEC staff coordinated to implement Temperature Reading Policy. OPSEC guards are testing all staff before allowing access to the building.
- The cleaning crew for buses are working seven (7) days per week.
- April 3, 2020, "Essential Work" letter emailed to employees to carry in vehicle and provide proof of the employee's essential work status.
- April 7, 2020, Macy participated in Coronavirus Update: Tele briefing for Airports and Transit
- April 7, 2020, staff emailed Fred Porras (OPSEC Security) to code invoices: COVID-19 for additional security guard hours.
- April 13, 2020, AVTA ADA Procedures were emailed to staff.
- April 14, 2020, entry guards began using new iHealth thermometers for temperature readings.
- April 15, 2020, "Social Distancing/Face Covering Order" memo was emailed to employees.
- April 15, 2020, "Requirements of Social Distancing Protocol Mandated by the County of Los Angeles Department of Public Health" was emailed to employees.
- April 15, 2020, AVTA facility is compliant with LA County's mandate on social distancing signage, communications etc. See below:

LA COUNTY Face Mask Requirement .pdf | LA COUNTY SOCIAL DISTANCING PROTO.pdf | LA COUNTY BUS POSTING.pdf | Social Distancing.msg | Postings Social Distancing .msg | Postings.msg

- April 16, 2020, Macy and Martin participated in APTA Webinar titled "Keeping Public Transit Workers and Riders Safe During the COVID-9 Pandemic".
- April 16, 2020, Macy, Martin and Judy participated in FTA webinar on its COVID-19 response activities, including implementation of the CARES Act.
- April 16, 2020, Los Angeles County Face Mask Requirements were posted on buses (see attached)

2682_001.pdf

- April 20, 2020, Martin and Judy 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

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

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

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

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

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

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

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

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

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

BOARD OF DIRECTORS

ANTELOPE VALLEY TRANSIT AUTHORITY

RESOLUTION NO. 2021-007

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY READOPTING THE UPDATED PUBLIC TRANSPORTATION AGENCY SAFETY PLAN FOR FISCAL YEAR 2021/2022

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 22nd day of June, 2021 by the following vote:

AYES: _____

NOES: _____

ABSTAIN: _____ABSENT:_____

_____
Marvin Crist, Chairman

ATTEST:

_____
Karen S. Darr, Clerk of the Board

APPROVED AS TO FORM:

_____
Allison E. Burns, General Counsel

DATE: **June 22, 2021**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Amendment No. 2 to Contract #2020-37 with Complete Coach Works for Transit Bus Driver Protection Barriers**

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to execute Amendment No. 2 to Contract #2020-37 to Complete Coach Works, Riverside, CA, to purchase ten (10) additional transit bus driver protection barriers that will aid in protecting our drivers from COVID-19 for an amount not to exceed $63,906.30, plus applicable sales tax.

FISCAL IMPACT

Sufficient funds to be included in the Fiscal Year 2021/2022 Budget to pay for this service.

BACKGROUND

One of highest priorities established by the Board of Directors during this COVID-19 pandemic has been the safety and protection of AVTA's bus drivers. To this end, staff developed and circulated an RFP. In April 2020, the Board of Directors authorized the award and purchase of a fleet-wide barrier protection system. Since that time, AVTA has been awarded additional grant funding for the purchase of new buses.

In March and April of 2021, the Board of Directors authorized two (2) purchases for a combined total of ten (10) additional 60-foot articulated BYD buses. Amendment No. 2 will add the barrier protection system to these recently procured buses. This purchase will continue to support the safety and protection protocols AVTA has implemented for its drivers. Staff has confirmed the lowest bid contract pricing to be valid, fair and reasonable and is recommending the Board approve Amendment No. 2 with Complete Coach Works.

Prepared by:

Lyle A. Block, CPPB
Procurement and Contracts Officer

Submitted by:

Macy Neshati
Executive Director/CEO

DATE: **June 22, 2021**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Resolution No. 2021-008, Authorizing the Executive Director/CEO and/or the Chief Financial Officer to Execute all Required Documents of the Federal Transit Administration (FTA) as Required by the Department of Transportation's (DOT) Program for Fiscal Year 2021/2022 (FY 2022)**

RECOMMENDATION

That the Board of Directors adopt Resolution No. 2021-008, a Resolution authorizing the Executive Director/CEO and/or the Chief Financial Officer to execute all required documents of the FTA as required by the DOT's Program for FY 2022.

FISCAL IMPACT

Adopting Resolution No. 2021-008 would authorize the Executive Director/CEO and/or the Chief Financial Officer to sign, on behalf of AVTA and the Board of Directors, all required documents as it relates to the Department of Transportation's Federal Transit Administration's grant programs.

BACKGROUND

AVTA receives annual apportionments from the FTA Grant Program. The AVTA Board is required to adopt Resolution No. 2021-008 in order to receive any federal grant awards in FY 2022. The Resolution will certify that the Board authorizes the Executive Director/CEO and/or the Chief Financial Officer are to execute all necessary documents related to this funding source.

Prepared by:

Judy Vaccaro-Fry
Chief Financial Officer

Submitted by:

Macy Neshati
Executive Director/CEO

Attachment: A – Resolution No. 2021-008

BOARD OF DIRECTORS

ANTELOPE VALLEY TRANSIT AUTHORITY

RESOLUTION NO. 2021-008

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY AUTHORIZING THE EXECUTIVE DIRECTOR/CEO AND/OR THE CHIEF FINANCIAL OFFICER TO EXECUTE ALL REQUIRED DOCUMENTS OF THE FEDERAL TRANSIT ADMINISTRATION AS REQUIRED BY THE DEPARTMENT OF TRANSPORTATION'S PROGRAM FOR FISCAL YEAR 2021/2022

WHEREAS, the Secretary of Transportation is authorized to make grants for mass transportation projects; and

WHEREAS, all contracts for financial assistance will impose certain obligations upon the applicant, including the provision by the contract of the project(s)' local share costs.

NOW THEREFORE, BE IT RESOLVED BY THE ANTELOPE VALLEY TRANSIT AUTHORITY (AVTA):

1. That the Executive Director/CEO and/or the Chief Financial Officer are authorized to execute and file all applications on behalf of the AVTA with the U.S. Department of Transportation, to aid in the financing of all capital, training, preventive maintenance, and/or operating assistance projects.

2. That the Executive Director/CEO and/or the Chief Financial Officer are authorized to execute and file with such applications an assurance or any other document required by the U.S. Department of Transportation effectuating the purposes of the proposed projects.

3. That the Executive Director/CEO and/or the Chief Financial Officer are designated to furnish such additional information as the U.S. Department of Transportation may require in connection with all applications.

4. The Executive Director/CEO and/or the Chief Financial Officer are hereby authorized to execute all grant applications on behalf of the Authority.

PASSED, APPROVED, AND ADOPTED this 22nd day of June 2022, by the following vote:

AYES: _____

NAYS: _____ ABSTAIN: _____

ABSENT: _____

_____
Marvin Crist, Chairman of the Board
Antelope Valley Transit Authority

ATTEST:

_____
Karen Darr, Clerk of the Board

APPROVED AS TO FORM:

_____
Allison E. Burns, General Counsel

DATE: **June 22, 2021**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Resolution No. 2021-009, Authorizing the Executive Director/CEO and/or the Chief Financial Officer to Execute all Required Documents of the State of California (Caltrans) as Required by the Department of Transportation's (DOT) Program for Fiscal Year 2021/2022 (FY 2022)**

RECOMMENDATION

That the Board of Directors adopt Resolution No. 2021-001, a Resolution authorizing the Executive Director/CEO, and/or the Chief Financial Officer to execute all required documents of Caltrans as required by the State's DOT Program for FY 2022.

FISCAL IMPACT

Adopting Resolution No. 2021-009 would authorize the Executive Director/CEO, and/or the Chief Financial Officer to sign, on behalf of AVTA and the Board of Directors, all required documents as it relates to the Department of Transportation's grant programs.

BACKGROUND

AVTA can apply for annual apportionments from the State of California's Grant Programs. The AVTA Board is required to adopt Resolution No. 2021-009 in order to receive any state or federal pass through grant awards in FY 2022. The Resolution will certify that the Board authorizes the Executive Director/CEO, and/or the Chief Financial Officer to execute all necessary documents related to this funding source.

Prepared by:

Judy Vaccaro-Fry
Chief Financial Officer

Submitted by:

Macy Neshati
Executive Director/CEO

Attachment: A – Resolution No. 2021-009

BOARD OF DIRECTORS

ANTELOPE VALLEY TRANSIT AUTHORITY

RESOLUTION NO. 2021-009

Authorizing Resolution for FTA Funds
State of California
Division of Rail and Mass Transportation

RESOLUTION AUTHORIZING THE FEDERAL FUNDING UNDER FTA SECTION 5311 (49 U.S.C. SECTION 5311) WITH CALIFORNIA DEPARTMENT OF TRANSPORTATION

WHEREAS, the U. S. Department of Transportation is authorized to make grants to states through the Federal Transit Administration to support capital/operating assistance projects for non-urbanized public transportation systems under Section 5311 of the Federal Transit Act (**FTA C 9040.1G**); and

WHEREAS, the California Department of Transportation (Department) has been designated by the Governor of the State of California to administer Section 5311 grants for transportation projects for the general public for the rural transit and intercity bus; and

WHEREAS, *Antelope Valley Transit Authority (AVTA)* desires to apply for said financial assistance to permit operation of service/purchase of capital equipment in *Los Angeles County*; and

WHEREAS, the *Antelope Valley Transit Authority* has, to the maximum extent feasible, coordinated with other transportation providers and users in the region (including social service agencies).

NOW, THEREFORE, BE IT RESOLVED AND ORDERED that the *Antelope Valley Transit Authority's Board of Directors* does hereby Authorize *AVTA's Executive Director/CEO and/or Chief Financial Officer,* to file and execute applications on behalf of with the Department to aid in the financing of capital/operating assistance projects pursuant to Section 5311 of the Federal Transit Act (**FTA C 9040.1G**), as amended.

That *AVTA's Executive Director/CEO and/or Chief Financial Officer, are* authorized to execute and file all certification of assurances, contracts or agreements or any other document required by the Department.

That *AVTA's Executive Director/CEO and/or Chief Financial Officer, are* authorized to provide additional information as the Department may require in connection with the application for the Section 5311 projects.

That *AVTA's Executive Director/CEO and/or Chief Financial Officer,* are authorized to submit and approve request for reimbursement of funds from the Department for the Section 5311 project(s).

PASSED AND ADOPTED by the *Antelope Valley Transit Authority's Board of Directors* of *Los Angeles County,* State of California, held on this 22nd day of June 2021, the by the following vote:

AYES: _____

NAYS: _____ ABSTAIN: _____

ABSENT: _____

_____
Marvin Crist, Chairman of the Board
Antelope Valley Transit Authority

ATTEST:

_____
Karen Darr, Clerk of the Board

APPROVED AS TO FORM:

_____
Allison E. Burns, General Counsel

NB 1

DATE: **June 22, 2021**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Fiscal Year 2021/2022 (FY 2022) DRAFT Budget**

RECOMMENDATION

That the Board of Directors adopt the DRAFT FY 2022 Budget.

FISCAL IMPACT

The Fiscal Year 2022 Budget revenue and operating expenditures are down $4.5 million from FY 2021 for a total of $33.1 million. The FY 2022 Budget includes federal operating funds, Coronavirus Aid, Relief, and Economic Security (CARES) Act and regular 5307 allocation totaling $8.9 million.

BACKGROUND

CARES Act funding continues to contribute significantly toward continued operations and increased services. This funding will keep AVTA's operations intact in order to best serve our communities.

Attachments A and B detail the DRAFT Operating and Capital Budgets.

Prepared by:

Judy Vaccaro-Fry
Chief Operating Officer

Submitted by:

Macy Neshati
Executive Director/CEO

KJ Alcuran
Controller

Attachments:
A - FY 2022 DRAFT Operating Budget
B - FY 2022 DRAFT Capital Budget
C - FY 2022 DRAFT Salary Ranges with Titles

NB 1

FY 2022
DRAFT BUDGET

Presentation to AVTA Board of Directors June 22, 2021

Antelope Valley Transit Authority

2022 BUDGET SUMMARY

TOTAL: **$110,352,792**

OPERATING: **$33,122,141**
CAPITAL: **$77,230,651**

Antelope Valley Transit Authority

CAPITAL PROJECTS

FACILITIES		
AVTA FACILITY IMPROVEMENTS		
Headquarters - Facility Expansion		
CS, Facility, Administrative Equipment	$	500,000
Facility Expansion - Engineering & Construction	$	4,200,000
Project Management	$	50,000
Secured Facility Access - North Gate	$	150,000
Security Camera Upgrade	$	150,000
Solar Farm/Battery Energy Storage		
Land	$	3,500,000
Transformer		
	$	100,000
AVTA East - Facility Improvements		
	$	350,000
AVTA Facility Improvements Total	$	9,000,000

Antelope Valley Transit Authority

Proposed Capital Changes

Facility Improvements

- Reduced from $11,872,000 to $9,000,000

AVTA East

- Added $350,000

Antelope Valley Transit Authority

2022 CAPITAL PROJECTS

Replacement Vehicles	$32,231,767
Expansion Vehicles	$28,385,524
Facility Improvements	$*9,000,000**
Transit Facilities Improvements	$5,365,360
Vehicle Equipment	$910,000
Information Technology	$483,000
Fleet & Facility Equipment	$460,000
Planning & Operating	$395,000

Antelope Valley Transit Authority

RECOMMENDATION

Approve the FY 2022 Draft Budget

Antelope Valley Transit Authority

OPERATING BUDGET ASSUMPTIONS - ATTACHMENT A

Budget Summary	Sum of BUDGET 2020-2021	Sum of BUDGET 2021-2022	
Expense			
Class Group: 0900 - Purchased Transportation	$22,297,384	$21,512,400	
Class Group: 0940 - Other Operating Costs	$2,488,357	$1,902,640	
Class Group: 0950 - General and Administrative Costs	$5,517,626	$1,431,930	
Class Group: 0970 - Salaries & Benefits	$4,767,895	$5,665,724	
Class Group: 0990 - Capital outlay	$170,446	$155,446	
Class Group: 0920 - Fuel/Electricity	$2,468,000	$2,454,000	
Expense Total	$37,709,708	$33,122,141	$ 4,587,567
Revenue			
Class Group: 0610 - Member Contributions - Operation	$657,708	$3,306,164	
Class Group: 0620 - Other Operating Revenues	$1,359,752	$2,214,988	
Class Group: 0700 - Grants - Federal	$20,859,065	$8,966,082	
Class Group: 0720 - Sales Tax Revenue via Metro	$12,317,683	$17,070,906	
Class Group: 0740 - Grants - State of California	$7,500		
Class Group: 0790 - Other Non Operating Revenues	$12,000	$64,000	
Class Group: 0600 - Transit Fare Revenue	$2,496,000	$1,500,000	
Revenue Total	$37,709,708	$33,122,141	

Antelope Valley Transit Authority

APPENDIX B: FY22 DETAILED CAPITAL PROJECTS - SOURCES AND SPENDING

CAPITAL PROJECTS	FY22 Capital/Grantable Budget Items	FY21 CARRYOVER PROJECT	State Annual Allocations	State Grant Award + HVIP	FTA Annual Allocation	FTA Grant Award	Local Grant Award	AVTA Reserves
VEHICLES								
Replacement Vehicles								
Commuter Coaches - 24 units								
	$ 30,321,179	**$ 30,321,179**	$ 466,252	$ 6,263,306	$ 21,578,110	$ 717,399		$ 1,296,112
Local Transit Buses - 2 units								
40 ft ZEB - 2 units (MA)	**$ 1,670,588**	**$ 1,670,588**	$ -	$ -	$ 1,420,000	$ -	$ -	$ 250,588
Support Vehicles								
	$ 240,000	**$ 240,000**	$ -	$ -	$ 240,000	$ -	$ -	$ -
Replacement Vehicles Total	**$ 32,231,767**	**$ 32,231,767**	**$ 466,252**	**$ 6,263,306**	**$ 23,238,110**	**$ 717,399**	**$ -**	**$ 1,546,700**
Expansion Vehicles								
Existing Routes - 30 units								
60 ft ZEB - 10 units	**$ 11,659,408**		$ -	$ 4,369,204	$ -	$ 5,569,204	$ -	$ 1,721,000
40 ft ZEB - 8 units	**$ 6,737,064**	**$ 6,737,064**	$ -	$ -	$ -	$ 4,143,056	$ -	$ 2,594,008
30 ft ZEB - 6 units	**$ 3,852,000**	**$ 3,852,000**	$ -	$ -	$ -	$ 1,377,000	$ -	$ 2,475,000
30 ft ZEV - 6 units	**$ 2,159,052**	**$ 2,159,052**	$ -	$ 960,000	$ -	$ 1,020,000	$ -	$ -
DAR AVTS - 13 units								
ZEV - 13 units	**$ 3,978,000**	**$ 3,978,000**	$ 1,202,829	$ -	$ -	$ 2,466,360	$ -	$ 487,863
Expansion Vehicles Total	**$ 28,385,524**	**$ 16,726,116**	**$ 1,202,829**	**$ 5,329,204**	**$ -**	**$ 14,575,620**	**$ -**	**$ 7,277,871**
Vehicle Equipment								
Apollo EOL Video Upgrade								
	$ 660,000	**$ 660,000**	$ -	$ -	$ 660,000	$ -	$ -	$ -
I/O Upgrade								
	$ 250,000		$ 230,984	$ -	$ 19,016	$ -	$ -	$ -
Vehicles Equipment Total	**$ 910,000**	**$ -**	**$ 230,984**	**$ -**	**$ 679,016**	**$ -**	**$ -**	**$ -**
VEHICLES TOTAL	**$ 61,527,291**	**$ 48,957,883**	**$ 1,900,065**	**$ 11,592,510**	**$ 23,917,126**	**$ 15,293,019**	**$ -**	**$ 8,824,571**

CAPITAL PROJECTS	FY22 Capital/Grantable Budget Items	FY21 CARRYOVER PROJECT	State Annual Allocation	State Grant Award	FTA Annual Allocation	FTA Grant Award	Local Grant Award	AVTA Internal Reserve
FACILITIES								
AVTA FACILITY IMPROVEMENTS								
Headquarters - Facility Expansion								
CS, Facility, Administrative Equipment	**$ 500,000**	**$ 300,000**	$ -	$ -	$ 500,000	$ -	$ -	$ -
Facility Expansion - Engineering & Construction	**$ 4,200,000**	**$ 4,200,000**	$ -	$ -	$ 4,200,000	$ -	$ -	$ -
Project Management	**$ 50,000**	**$ 50,000**	$ -	$ -	$ 50,000	$ -	$ -	$ -
Secured Facility Access - North Gate	**$ 150,000**	**$ 150,000**	$ -	$ -	$ 150,000	$ -	$ -	$ -

Security Camera Upgrade	$ 150,000	$ 150,000	$ -	$ -	$ 150,000	$ -	$ -	$ -
Solar Farm/Battery Energy Storage								
Land	$ 3,500,000	$ 3,500,000	$ -	$ -	$ -	$ -	$ -	$ 3,500,000
Transformer								
	$ 100,000		$ -	$ -	$ 100,000	$ -	$ -	$ -
AVTA East - Facility Improvements								
	$ 350,000	$ -	$ -	$ -	$ -	$ -	$ -	$ 350,000
AVTA Facility Improvements Total	**$ 9,000,000**	**$ 8,350,000**	**$ -**	**$ -**	**$ 5,150,000**	**$ -**	**$ -**	**$ 3,850,000**

APPENDIX B: FY22 DETAILED CAPITAL PROJECTS - SOURCES AND SPENDING

CAPITAL PROJECTS	FY22 Capital/Grantable Budget Items	FY21 CARRYOVER PROJECT	State Annual Allocation	State Grant Award	FTA Annual Allocation	FTA Grant Award	Local Grant Award	AVTA Internal Reserve
TRANSIT FACILITIES IMPROVEMENTS								
Antelope Valley College Transit Center								
Construction	$ 1,200,000	$ 1,200,000	$ -	$ 1,200,000	$ -	$ -	$ -	$ -
Engineering	$ 27,800	$ 27,800	$ -	$ -	$ 27,800	$ -	$ -	$ -
Labor Compliance	$ 28,000	$ 28,000	$ -	$ 28,000	$ -	$ -	$ -	$ -
Level III Chargers - 2 units	$ 100,000	$ 100,000	$ -	$ -	$ -	$ -	$ 100,000	$ -
Project Management	$ 15,000	$ 15,000	$ -	$ -	$ 15,000	$ -	$ -	$ -
WAVE Primary - 2 units	$ 626,340	$ 626,340	$ -	$ -	$ 626,340	$ -	$ -	$ -
Palmdale Transportation Center								
Engineering	$ 10,800	$ 10,800	$ -	$ -	$ 10,800	$ -	$ -	$ -
Labor Compliance	$ 28,000	$ 28,000	$ -	$ 28,000	$ -	$ -	$ -	$ -
Level III Chargers - 2 units	$ 100,000	$ 100,000	$ -	$ -	$ -	$ -	$ 100,000	$ -
Project Management	$ 10,000	$ 10,000	$ -	$ -	$ 10,000	$ -	$ -	$ -
WAVE Primary - 2 units	$ 626,340	$ 626,340	$ -	$ -	$ 626,340	$ -	$ -	$ -
Sgt. Steve Owen Memorial Park & Ride								
Engineering	$ 10,800	$ 10,800	$ -	$ -	$ 10,800	$ -	$ -	$ -
Level III Chargers - 2 units	$ 100,000	$ 100,000	$ -	$ -	$ -	$ -	$ 100,000	$ -
Replace 50w WAVE - 2 units	$ 626,340		$ -	$ -	$ 626,340	$ -	$ -	$ -
Project Management	$ 9,600	$ 9,600	$ -	$ -	$ 9,600	$ -	$ -	$ -
South Valley Transfer Center								
WAVE Primary - 2 units	$ 626,340		$ -	$ -	$ 501,072	$ -	$ -	$ 125,268
Construction + Charging Lot	$ 500,000		$ -	$ -	$ 400,000	$ -	$ -	$ 100,000
Regional Partnership Projects								
Level II Chargers - Lancaster, 2 units	$ 50,000	$ 50,000	$ -	$ -	$ -	$ -	$ 50,000	$ -
Construction + Bus Stop Amenities	$ 500,000		$ -	$ -	$ 500,000	$ -	$ -	$ -
DTLA Parking								
Joint project w/Foothill + LA DOT	$ 170,000	$ 170,000	$ -	$ -	$ -	$ -	$ 170,000	$ -
Transit Facilities Improvements	**$ 5,365,360**	**$ 3,112,680**	**$ -**	**$ 1,256,000**	**$ 3,364,092**	**$ -**	**$ 520,000**	**$ 225,268**
TOTAL FACILITIES	**$ 14,365,360**	**$ 11,462,680**	**$ -**	**$ 1,256,000**	**$ 8,514,092**	**$ -**	**$ 520,000**	**$ 4,075,268**

CAPITAL PROJECTS	FY22 Capital/Grantable Budget Items	FY21 CARRYOVER PROJECT	State Annual Allocation	State Grant Award	FTA Annual Allocation	FTA Grant Award	Local Grant Award	AVTA Internal Reserve
CAPITAL ITEMS								
INFORMATION TECHNOLOGY								
Data and Communications								
Cloud Service Implementation	$ 50,000	$ 50,000	$ -	$ -	$ 50,000	$ -	$ -	$ -
Domain Names	$ 3,000	$ 3,000	$ -	$ -	$ 3,000	$ -	$ -	$ -
Network Fiber Backbone Upgrade	$ 60,000		$ -	$ -	$ 60,000	$ -	$ -	$ -
Network Switch Upgrade	$ 100,000	$ 80,000	$ -	$ -	$ 100,000	$ -	$ -	$ -
Server Storage Upgrade	$ 20,000	$ 20,000	$ -	$ -	$ 20,000	$ -	$ -	$ -
Toughbooks - Maintenance	$ 20,000	$ 20,000	$ -	$ -	$ 20,000	$ -	$ -	$ -
Wi-Fi AP Upgrade (Int + Ext)	$ 70,000		$ -	$ -	$ 70,000	$ -	$ -	$ -
Workstation Replacements								
Annual Replacement Program	$ 40,000		$ -	$ -	$ 40,000	$ -	$ -	$ -
Facility Copiers	$ 70,000		$ -	$ -	$ 70,000	$ -	$ -	$ -
Community Room Equipment	$ 50,000		$ -	$ -	$ 50,000	$ -	$ -	$ -
Information Technology Total	**$ 483,000**	**$ 173,000**	**$ -**	**$ -**	**$ 483,000**	**$ -**	**$ -**	**$ -**
FLEET & FACILITIES EQUIPMENT								
Maintenance Equipment								
Electric Forklift	$ 20,000		$ -	$ -	$ 20,000	$ -	$ -	$ -
Power Wash Trailers								
2 units	$ 40,000		$ -	$ -	$ 40,000	$ -	$ -	$ -
Maintenance Equipment	$ 100,000		$ -	$ -	$ 100,000	$ -	$ -	$ -
Bus Lifts	$ 300,000		$ -	$ -	$ 300,000	$ -	$ -	$ -
Maintenance Equipment Total	**$ 460,000**	**$ -**	**$ -**	**$ -**	**$ 460,000**	**$ -**	**$ -**	**$ -**
CAPITAL ITEMS TOTAL	**$ 943,000**	**$ 173,000**	**$ -**	**$ -**	**$ 943,000**	**$ -**	**$ -**	**$ -**
FY22 Capital Projects Total	**$ 76,835,651**	**$ 60,593,563**	**$ 1,900,065**	**$ 12,848,510**	**$ 33,374,218**	**$ 15,293,019**	**$ 520,000**	**$ 12,899,839**

APPENDIX B: FY22 DETAILED CAPITAL PROJECTS - SOURCES AND SPENDING

OPERATING PROJECTS	FY22 Capital/Grantable Budget Items	FY21 CARRYOVER PROJECT	State Annual Allocation	State Grant Award	FTA Annual Allocation	FTA Grant Award	Local Grant Award	AVTA Internal Reserve
Planning & Operating Projects - Grantable								
Network Integration - Metrolink	$ 250,000	$ 250,000	$ -	$ 250,000	$ -	$ -	$ -	$ -
Senior/Disabled Microtransit/DAR Operations								
Year 2 of 2 - 5310	$ 57,500		$ -	$ -	$ 57,500	$ -	$ -	$ -
NEMT Microtransit Operations								
Year 2 of 2 - 5310	$ 87,500		$ -	$ -	$ -	$ 65,625	$ -	$ 21,875

Planning & Operating Projects Total	$ 395,000	$ 250,000	$ -	$ 250,000	$ 57,500	$ 65,625	$ -	$ 21,875
PLANNING AND OPERATING PROJECTS TOTAL	$ 395,000	$ 250,000	$ -	$ 250,000	$ 57,500	$ 65,625	$ -	$ 21,875
FY22 Planning and Grantable Operating Projects	$ 395,000	$ 250,000	$ -	$ 250,000	$ 57,500	$ 65,625	$ -	$ 21,875

FY22 BUDGET SUMMARY	FY22 Capital/Grantable Budget Items	FY21 CARRYOVER PROJECT	State Annual Allocations	State Grant Award + HVIP	FTA Annual Allocation	FTA Grant Award	Local Grant Award	AVTA Reserves
FY22 Capital Projects Total	$ 76,835,651	$ 60,593,563	$ 1,900,065	$ 12,848,510	$ 33,374,218	$ 15,293,019	$ 520,000	$ 12,899,839
FY22 Planning and Grantable Operating Projects	$ 395,000	$ 250,000	$ -	$ 250,000	$ 57,500	$ 65,625	$ -	$ 21,875
TOTAL FY22 CAPITAL BUDGET	$ 77,230,651	$ 60,843,563	$ 1,900,065	$ 13,098,510	$ 33,431,718	$ 15,358,644	$ 520,000	$ 12,921,714

Antelope Valley Transit Authority
Fiscal Year 2022 Salary Ranges and Classifications Schedule

	Range	Annual Salary Range-FY 2022			Monthly Salary Range-FY 2022			Bi-Weekly Salary Range-FY 2022			Hourly Salary Range-FY 2022		
		Min	Mid	Max	Min	Mid	Max	Min	Mid	Max	Min	Mid	Max
Groundskeeper	1	26,070	29,980	33,891	$2,172	$2,498	$2,824	$1,003	$1,153	$1,303	$12.53	$14.41	$16.29
Janitor	1	26,070	29,980	33,891	$2,172	$2,498	$2,824	$1,003	$1,153	$1,303	$12.53	$14.41	$16.29
	2	26,721	30,730	34,738	$2,227	$2,561	$2,895	$1,028	$1,182	$1,336	$12.85	$14.77	$16.70
	3	27,389	31,498	35,606	$2,282	$2,625	$2,967	$1,053	$1,211	$1,369	$13.17	$15.14	$17.12
	4	28,075	32,285	36,497	$2,340	$2,690	$3,041	$1,080	$1,242	$1,404	$13.50	$15.52	$17.55
	5	28,776	33,092	37,409	$2,398	$2,758	$3,117	$1,107	$1,273	$1,439	$13.83	$15.91	$17.98
	6	29,495	33,920	38,344	$2,458	$2,827	$3,195	$1,134	$1,305	$1,475	$14.18	$16.31	$18.43
	7	30,233	34,768	39,302	$2,519	$2,897	$3,275	$1,163	$1,337	$1,512	$14.54	$16.72	$18.90
	8	30,988	35,637	40,285	$2,582	$2,970	$3,357	$1,192	$1,371	$1,549	$14.90	$17.13	$19.37
	9	31,763	36,528	41,293	$2,647	$3,044	$3,441	$1,222	$1,405	$1,588	$15.27	$17.56	$19.85
Facilities Maintenance Worker	10	32,558	37,442	42,325	$2,713	$3,120	$3,527	$1,252	$1,440	$1,628	$15.65	$18.00	$20.35
	11	33,371	38,377	43,383	$2,781	$3,198	$3,615	$1,284	$1,476	$1,669	$16.04	$18.45	$20.86
	12	34,206	39,336	44,467	$2,850	$3,278	$3,706	$1,316	$1,513	$1,710	$16.45	$18.91	$21.38
	13	35,061	40,320	45,580	$2,922	$3,360	$3,798	$1,348	$1,551	$1,753	$16.86	$19.38	$21.91
	14	35,938	41,328	46,719	$2,995	$3,444	$3,893	$1,382	$1,590	$1,797	$17.28	$19.87	$22.46
	15	36,835	42,361	47,887	$3,070	$3,530	$3,991	$1,417	$1,629	$1,842	$17.71	$20.37	$23.02
Customer Service Representative I	16	37,756	43,420	51,142	$3,146	$3,618	$4,262	$1,452	$1,670	$1,967	$18.15	$20.88	$24.59
Field Services Technician I	17	38,700	44,506	50,311	$3,225	$3,709	$4,193	$1,488	$1,712	$1,935	$18.61	$21.40	$24.19
Facilities Maintenance Technician I	18	39,668	45,619	51,568	$3,306	$3,802	$4,297	$1,526	$1,755	$1,983	$19.07	$21.93	$24.79
Security Officer	18	39,668	45,619	51,568	$3,306	$3,802	$4,297	$1,526	$1,755	$1,983	$19.07	$21.93	$24.79
	19	40,660	46,759	52,858	$3,388	$3,897	$4,405	$1,564	$1,798	$2,033	$19.55	$22.48	$25.41
Customer Service Representative II	20	41,677	47,928	54,180	$3,473	$3,994	$4,515	$1,603	$1,843	$2,084	$20.04	$23.04	$26.05
	21	42,718	49,126	55,534	$3,560	$4,094	$4,628	$1,643	$1,889	$2,136	$20.54	$23.62	$26.70
	22	43,787	50,354	56,922	$3,649	$4,196	$4,744	$1,684	$1,937	$2,189	$21.05	$24.21	$27.37
Administrative Assistant	23	44,881	51,613	58,345	$3,740	$4,301	$4,862	$1,726	$1,985	$2,244	$21.58	$24.81	$28.05
Accounting Technician	24	46,003	52,903	59,804	$3,834	$4,409	$4,984	$1,769	$2,035	$2,300	$22.12	$25.43	$28.75
Fleet & Facilities Administrative Technician	24	46,003	52,903	59,804	$3,834	$4,409	$4,984	$1,769	$2,035	$2,300	$22.12	$25.43	$28.75
Records Management Assistant	24	46,003	52,903	59,804	$3,834	$4,409	$4,984	$1,769	$2,035	$2,300	$22.12	$25.43	$28.75
Senior Customer Service Representative	24	46,003	52,903	59,804	$3,834	$4,409	$4,984	$1,769	$2,035	$2,300	$22.12	$25.43	$28.75
Facilities Maintenance Technician II	25	47,153	54,226	61,299	$3,929	$4,519	$5,108	$1,814	$2,086	$2,358	$22.67	$26.07	$29.47
Field Services Technician II	25	47,153	54,226	61,299	$3,929	$4,519	$5,108	$1,814	$2,086	$2,358	$22.67	$26.07	$29.47
	26	48,332	55,581	62,831	$4,028	$4,632	$5,236	$1,859	$2,138	$2,417	$23.24	$26.72	$30.21
	27	49,540	56,971	64,402	$4,128	$4,748	$5,367	$1,905	$2,191	$2,477	$23.82	$27.39	$30.96
	28	50,779	58,395	66,012	$4,232	$4,866	$5,501	$1,953	$2,246	$2,539	$24.41	$28.07	$31.74
IT Technician I	29	52,048	59,856	67,662	$4,337	$4,988	$5,639	$2,002	$2,302	$2,602	$25.02	$28.78	$32.53
Records Management Technician	29	52,048	59,856	67,662	$4,337	$4,988	$5,639	$2,002	$2,302	$2,602	$25.02	$28.78	$32.53
Electronic Technician	30	53,349	61,352	69,354	$4,446	$5,113	$5,780	$2,052	$2,360	$2,667	$25.65	$29.50	$33.34
	31	54,683	62,886	71,087	$4,557	$5,240	$5,924	$2,103	$2,419	$2,734	$26.29	$30.23	$34.18
Accountant I	32	56,050	64,458	72,865	$4,671	$5,372	$6,072	$2,156	$2,479	$2,802	$26.95	$30.99	$35.03
Customer Service Supervisor	33	57,451	66,069	74,687	$4,788	$5,506	$6,224	$2,210	$2,541	$2,873	$27.62	$31.76	$35.91
Grants Coordinator	33	57,451	66,069	74,687	$4,788	$5,506	$6,224	$2,210	$2,541	$2,873	$27.62	$31.76	$35.91

Antelope Valley Transit Authority
Fiscal Year 2022 Salary Ranges and Classifications Schedule

	Range	Annual Salary Range-FY 2022			Monthly Salary Range-FY 2022			Bi-Weekly Salary Range-FY 2022			Hourly Salary Range-FY 2022		
		Min	Mid	Max	Min	Mid	Max	Min	Mid	Max	Min	Mid	Max
IT Technician II	33	57,451	66,069	74,687	$4,788	$5,506	$6,224	$2,210	$2,541	$2,873	$27.62	$31.76	$35.91
Operations Analyst	33	57,451	66,069	74,687	$4,788	$5,506	$6,224	$2,210	$2,541	$2,873	$27.62	$31.76	$35.91
Transit Analyst	33	57,451	66,069	74,687	$4,788	$5,506	$6,224	$2,210	$2,541	$2,873	$27.62	$31.76	$35.91
	34	58,887	67,721	76,554	$4,907	$5,643	$6,379	$2,265	$2,605	$2,944	$28.31	$32.56	$36.80
	35	70,652	69,414	78,468	$5,888	$5,784	$6,539	$2,717	$2,670	$3,018	$33.97	$33.37	$37.72
Accountant II	36	61,869	71,149	80,430	$5,156	$5,929	$6,702	$2,380	$2,737	$3,093	$29.74	$34.21	$38.67
Executive Assistant	37	63,416	72,928	82,441	$5,285	$6,077	$6,870	$2,439	$2,805	$3,171	$30.49	$35.06	$39.63
Management Analyst	37	63,416	72,928	82,441	$5,285	$6,077	$6,870	$2,439	$2,805	$3,171	$30.49	$35.06	$39.63
	38	65,001	74,751	84,501	$5,417	$6,229	$7,042	$2,500	$2,875	$3,250	$31.25	$35.94	$40.63
Community Outreach Specialist	39	66,626	76,620	86,614	$5,552	$6,385	$7,218	$2,563	$2,947	$3,331	$32.03	$36.84	$41.64
Customer Service Manager	39	66,626	76,620	86,614	$5,552	$6,385	$7,218	$2,563	$2,947	$3,331	$32.03	$36.84	$41.64
DBE/EEO Compliance Manager (OLD)	39	66,626	76,620	86,614	$5,552	$6,385	$7,218	$2,563	$2,947	$3,331	$32.03	$36.84	$41.64
Graffic Designer	39	66,626	76,620	86,614	$5,552	$6,385	$7,218	$2,563	$2,947	$3,331	$32.03	$36.84	$41.64
Planning Manager	40	68,292	78,536	88,779	$5,691	$6,545	$7,398	$2,627	$3,021	$3,415	$32.83	$37.76	$42.68
Field Services Supervisor	41	69,998	80,498	90,998	$5,833	$6,708	$7,583	$2,692	$3,096	$3,500	$33.65	$38.70	$43.75
	42	71,749	82,512	93,273	$5,979	$6,876	$7,773	$2,760	$3,174	$3,587	$34.49	$39.67	$44.84
Clerk of the Board (OLD)	43	73,543	84,574	95,605	$6,129	$7,048	$7,967	$2,829	$3,253	$3,677	$35.36	$40.66	$45.96
Project Coordinator	43	73,543	84,574	95,605	$6,129	$7,048	$7,967	$2,829	$3,253	$3,677	$35.36	$40.66	$45.96
Facilities Superintendent	44	75,381	86,688	97,995	$6,282	$7,224	$8,166	$2,899	$3,334	$3,769	$36.24	$41.68	$47.11
Finance Supervisor	45	77,266	88,856	100,446	$6,439	$7,405	$8,370	$2,972	$3,418	$3,863	$37.15	$42.72	$48.29
Electric Fleet Supervisor	45	77,266	88,856	100,446	$6,439	$7,405	$8,370	$2,972	$3,418	$3,863	$37.15	$42.72	$48.29
Human Resources and Benefits Coordinator	46	79,198	91,077	102,957	$6,600	$7,590	$8,580	$3,046	$3,503	$3,960	$38.08	$43.79	$49.50
Clerk of the Board	46	79,198	91,077	102,957	$6,600	$7,590	$8,580	$3,046	$3,503	$3,960	$38.08	$43.79	$49.50
Maintenance Compliance Manager	47	81,178	93,354	105,530	$6,765	$7,780	$8,794	$3,122	$3,591	$4,059	$39.03	$44.88	$50.74
Safety and Facilities Manager	47	81,178	93,354	105,530	$6,765	$7,780	$8,794	$3,122	$3,591	$4,059	$39.03	$44.88	$50.74
	48	83,206	95,688	108,169	$6,934	$7,974	$9,014	$3,200	$3,680	$4,160	$40.00	$46.00	$52.00
Senior Accountant	49	85,286	98,080	110,872	$7,107	$8,173	$9,239	$3,280	$3,772	$4,264	$41.00	$47.15	$53.30
	50	87,419	100,532	113,644	$7,285	$8,378	$9,470	$3,362	$3,867	$4,371	$42.03	$48.33	$54.64
Grants Coordinator	51	89,605	103,045	116,486	$7,467	$8,587	$9,707	$3,446	$3,963	$4,480	$43.08	$49.54	$56.00
DBE/EEO Compliance Manager	51	89,605	103,045	116,486	$7,467	$8,587	$9,707	$3,446	$3,963	$4,480	$43.08	$49.54	$56.00
Information Technology Supervisor	51	89,605	103,045	116,486	$7,467	$8,587	$9,707	$3,446	$3,963	$4,480	$43.08	$49.54	$56.00
Marketing Specialist	51	89,605	103,045	116,486	$7,467	$8,587	$9,707	$3,446	$3,963	$4,480	$43.08	$49.54	$56.00
Procurement and Contracts Officer	51	89,605	103,045	116,486	$7,467	$8,587	$9,707	$3,446	$3,963	$4,480	$43.08	$49.54	$56.00
	52	91,844	105,621	119,397	$7,654	$8,802	$9,950	$3,532	$4,062	$4,592	$44.16	$50.78	$57.40
Finance Manager	53	94,141	108,262	122,383	$7,845	$9,022	$10,199	$3,621	$4,164	$4,707	$45.26	$52.05	$58.84
Fleet Maintenance Manager	53	94,141	108,262	122,383	$7,845	$9,022	$10,199	$3,621	$4,164	$4,707	$45.26	$52.05	$58.84
Marketing Manager	53	94,141	108,262	122,383	$7,845	$9,022	$10,199	$3,621	$4,164	$4,707	$45.26	$52.05	$58.84
	54	96,494	110,968	125,442	$8,041	$9,247	$10,453	$3,711	$4,268	$4,825	$46.39	$53.35	$60.31
	55	98,907	113,743	128,579	$8,242	$9,479	$10,715	$3,804	$4,375	$4,945	$47.55	$54.68	$61.82
	56	101,379	116,587	131,793	$8,448	$9,716	$10,983	$3,899	$4,484	$5,069	$48.74	$56.05	$63.36
Director of Operations and Maintenance	57	103,636	119,501	135,088	$8,636	$9,958	$11,257	$3,986	$4,596	$5,196	$49.83	$57.45	$64.95

Antelope Valley Transit Authority
Fiscal Year 2022 Salary Ranges and Classifications Schedule

	Range	Annual Salary Range-FY 2022			Monthly Salary Range-FY 2022			Bi-Weekly Salary Range-FY 2022			Hourly Salary Range-FY 2022		
		Min	Mid	Max	Min	Mid	Max	Min	Mid	Max	Min	Mid	Max
	58	106,512	122,488	138,464	$8,876	$10,207	$11,539	$4,097	$4,711	$5,326	$51.21	$58.89	$66.57
	59	109,174	125,551	141,927	$9,098	$10,463	$11,827	$4,199	$4,829	$5,459	$52.49	$60.36	$68.23
	60	111,904	128,690	145,474	$9,325	$10,724	$12,123	$4,304	$4,950	$5,595	$53.80	$61.87	$69.94
	61	114,701	131,906	149,112	$9,558	$10,992	$12,426	$4,412	$5,073	$5,735	$55.14	$63.42	$71.69
	62	117,568	135,205	152,839	$9,797	$11,267	$12,737	$4,522	$5,200	$5,878	$56.52	$65.00	$73.48
Controller	63	120,508	138,585	156,660	$10,042	$11,549	$13,055	$4,635	$5,330	$6,025	$57.94	$66.63	$75.32
Director of Communications	63	120,508	138,585	156,660	$10,042	$11,549	$13,055	$4,635	$5,330	$6,025	$57.94	$66.63	$75.32
Director of Finance and Administration	63	120,508	138,585	156,660	$10,042	$11,549	$13,055	$4,635	$5,330	$6,025	$57.94	$66.63	$75.32
Director of Fleet & Facilities	63	120,508	138,585	156,660	$10,042	$11,549	$13,055	$4,635	$5,330	$6,025	$57.94	$66.63	$75.32
Director of Marketing	63	120,508	138,585	156,660	$10,042	$11,549	$13,055	$4,635	$5,330	$6,025	$57.94	$66.63	$75.32
	63	120,508	138,585	156,660	$10,042	$11,549	$13,055	$4,635	$5,330	$6,025	$57.94	$66.63	$75.32
	64	123,520	142,049	160,577	$10,293	$11,837	$13,381	$4,751	$5,463	$6,176	$59.38	$68.29	$77.20
	65	126,609	145,600	164,591	$10,551	$12,133	$13,716	$4,870	$5,600	$6,330	$60.87	$70.00	$79.13
	66	129,774	149,240	168,706	$10,814	$12,437	$14,059	$4,991	$5,740	$6,489	$62.39	$71.75	$81.11
Senior Director of Operations and Planning	67	133,018	152,971	172,923	$11,085	$12,748	$14,410	$5,116	$5,884	$6,651	$63.95	$73.54	$83.14
	68	136,344	156,796	177,247	$11,362	$13,066	$14,771	$5,244	$6,031	$6,817	$65.55	$75.38	$85.21
	69	139,752	160,716	181,678	$11,646	$13,393	$15,140	$5,375	$6,181	$6,988	$67.19	$77.27	$87.35
Chief Financial Officer	70	143,246	164,734	186,220	$11,937	$13,728	$15,518	$5,509	$6,336	$7,162	$68.87	$79.20	$89.53
Chief Operating Officer	71	146,828	168,852	190,876	$12,236	$14,071	$15,906	$5,647	$6,494	$7,341	$70.59	$81.18	$91.77
	72	150,498	173,074	195,647	$12,541	$14,423	$16,304	$5,788	$6,657	$7,525	$72.35	$83.21	$94.06
	73	154,261	177,400	200,538	$12,855	$14,783	$16,712	$5,933	$6,823	$7,713	$74.16	$85.29	$96.41
	74	158,117	181,835	205,552	$13,176	$15,153	$17,129	$6,081	$6,994	$7,906	$76.02	$87.42	$98.82
Executive Director/CEO	75	162,070	186,381	227,115	$13,506	$15,532	$18,926	$6,233	$7,169	$8,735	$77.92	$89.61	$109.19
*Based on 2020 Classification and Compensation Study Schedule + 1.3%													

NB 2

DATE: **June 22, 2021**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Resolution No. 2021-006, Amending Bylaws – Removal of Transit Advisory Committee**

RECOMMENDATION

That the AVTA Board of Directors adopt Resolution No. 2021-006 (Attachment A), amending the Bylaws to: (1) remove Section 5.0 entitled "TRANSIT ADVISORY COMMITTEE" establishing the Transit Advisory Committee; and (2) revise Sections 7.10 and 7.30 to delete references to the Transit Advisory Committee (Attachment B).

FISCAL IMPACT

The direct fiscal impact will be $12,000-$15,000 annual savings as well as a gain in staff time and organizational efficiency.

BACKGROUND

Pursuant to current Section 5 of the Bylaws, the Transit Advisory Committee (TAC) was established to provide advisory input to the Executive Director/CEO and the Board on public transportation issues. For the last two years, AVTA staff has sent a monthly email to the TAC Members asking for their agenda items for a meeting and have received no agenda items, resulting in the cancellation of the meeting.

Accordingly, it is now appropriate to disband the TAC. In the event additional input is needed, the Executive Director/CEO recommends an Ad Hoc Citizens Advisory committee be formed as needed to provide input to the Executive Director/CEO regarding how AVTA can better serve the community.

Prepared by: Submitted by:

Karen Darr
Clerk of the Board

Macy Neshati
Executive Director/CEO

Attachments: A – Resolution No. 2021-006
B – Redlined Bylaws

BOARD OF DIRECTORS
ANTELOPE VALLEY TRANSIT AUTHORITY

RESOLUTION NO. 2021-006

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY AMENDING THE AUTHORITY'S BYLAWS TO REMOVE SECTION 5 ESTABLISHING THE TRANSIT ADVISORY COMMITTEE AND REVISING SECTIONS 7.10 AND 7.30 TO DELETE REFERENCES TO THE TRANSIT ADVISORY COMMITTEE

WHEREAS, the Board of Directors of the Antelope Valley Transit Authority desires to amend its Bylaws to remove the Transit Advisory Committee and references thereto.

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

1. Remove Section 5 (Transit Advisory Committee) establishing the Transit Advisory Committee.

2. Revise Section 7.10 to read as follows:

   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.

3. Revise Section 7.30 to read as follows:

   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.

PASSED, APPROVED and ADOPTED this 22nd day of June, 2021 by the following vote:

AYES: _____

NOES: _____

ABSTAIN: _____ ABSENT: _____

_____
Marvin Crist, Chairman

ATTEST:

_____
Karen S. Darr, Clerk of the Board

APPROVED AS TO FORM:

_____
Allison E. Burns, General Counsel

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 ~~3~~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 a $200 monthly premium reduction, 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.

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 TRANSIT ADVISORY COMMITTEE~~

~~There is hereby established a Transit Advisory Committee ("TAC") for the purpose of providing advisory input to the Executive Director/CEO and the Board on public transportation issues. The Board shall determine the TAC's meeting frequency. The TAC shall consist of two representatives from each member agency, upon recommendation of that member agency's City Manager (Lancaster and Palmdale) or Director of Public Works (Los Angeles County). The representatives on the TAC will be responsible for the administration of the City Councils' and Board of Supervisors' transit funding and for coordination with the Authority. The Board shall establish other advisory committees as it deems fit.~~

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 ~~and Transit Advisory Committee~~ 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 Transit Advisory Committee members or~~ 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.

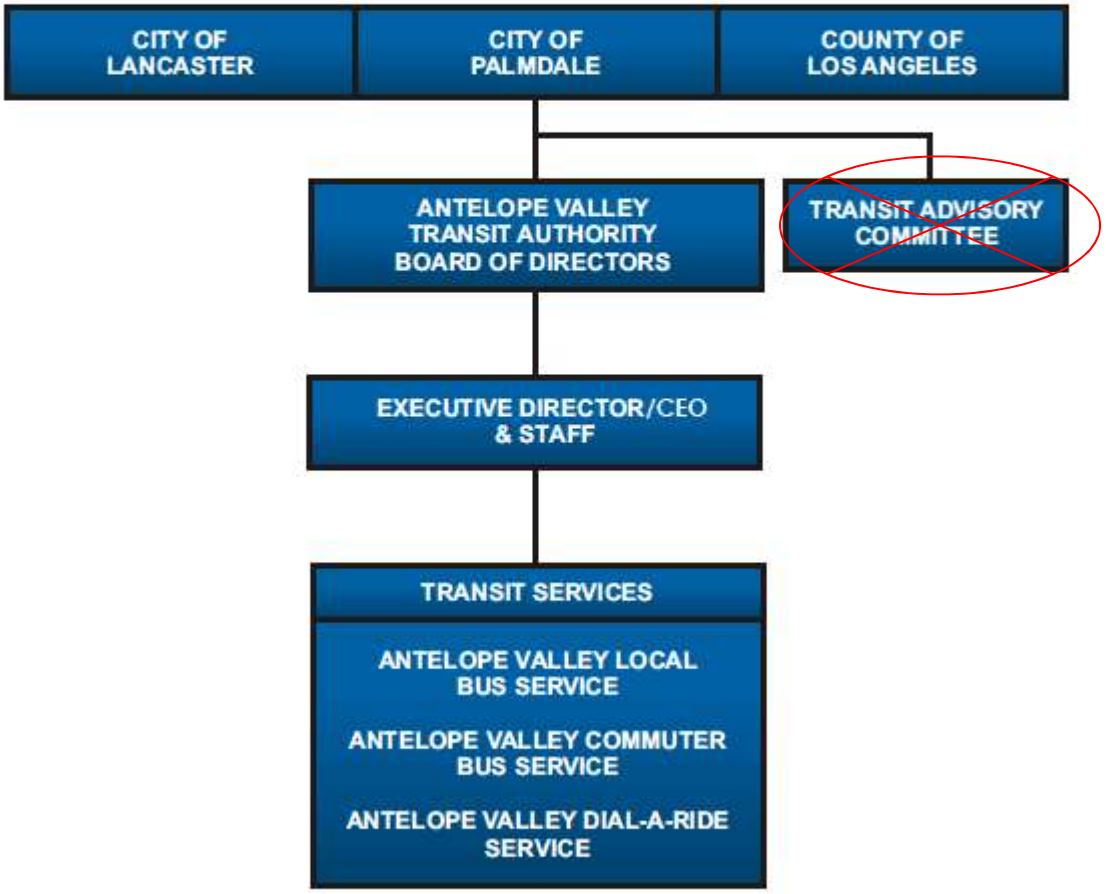
"Vehicle Service Miles" are miles when a vehicle is being used in revenue service and do not include deadhead, training, vehicle testing, and other non-service miles.

"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.

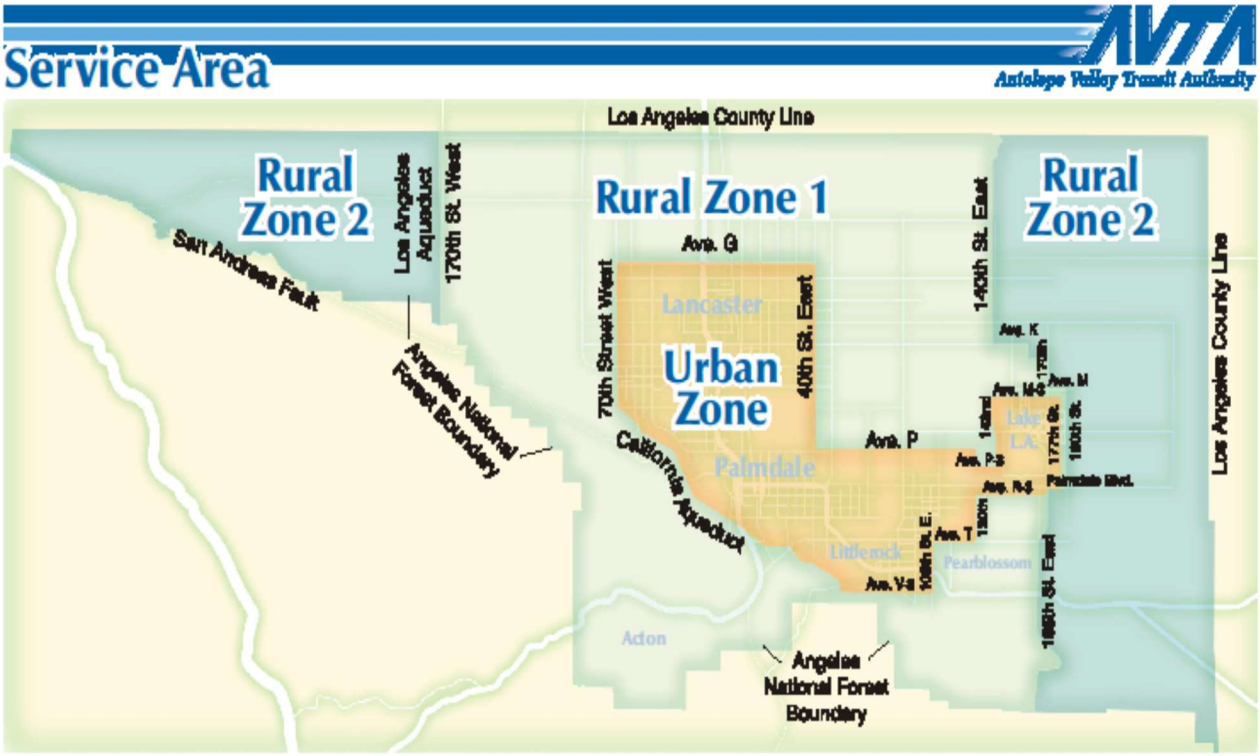
"Route" refers to the streets traveled by a public transportation vehicle while it is in vehicle service.

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.

Antelope Valley Transit Authority

NB 3

DATE: **June 22, 2021**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Sole Respondent Contract #2021-60 to BYD Coach and Bus LLC for Four (4) Used 35-Foot Battery Electric Local Transit Buses**

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to execute Sole Respondent Contract #2021-60 with BYD Coach and Bus LLC, Los Angeles, CA, to purchase outright four (4) 35-foot battery electric buses for an amount not to exceed $1,885,051.96, plus applicable sales tax.

FISCAL IMPACT

Sufficient funds to be included in the Fiscal Years 2021 Budget to pay for this purchase.

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 buses. The next step of this process is to add four (4) used 35-foot battery electric local transit buses for our less populated routes. To this end, staff developed and circulated a Request for Proposals (RFP).

AVTA released a Request for Proposals (RFP) on April 30, 2021. 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, and 45 firms were notified via email with RFP instructions for downloading. Four (4) firms registered and downloaded the RFP. Two (2) addenda were issued with the last posting on May 14, 2021.

One (1) proposal was submitted on May 24, 2021, in response to the RFP. Three staff members evaluated and ranked the submitted proposal 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 300 total possible points available.

Submitted proposal were received from the following firm:

PART 1 – Technical Response		
Firm	Location	Score (240 Max)
BYD Coach and Bus, LLC	Los Angeles, CA	228
PART 2 – Pricing Response		
Firm	Location	Score (60 Max)
BYD Coach and Bus, LLC	Los Angeles, CA	56
(300 Total Points Available) Combined Total Score		284

BYD Coach and Bus LLC, of Los Angeles, CA, sole respondent proposal, earned a high score from the evaluation committee. In addition to their fair and reasonable pricing, they provided the best 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 BYD Coach and Bus LLC, of Los Angeles, CA, will provide an excellent product.

Prepared by:

Lyle A. Block, CPPB
Procurement and Contracts Officer

Submitted by:

Macy Neshati
Executive Director/CEO

DATE: **June 22, 2021**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Level III Electric Chargers for AVTA's Property Located at 40235 170th St. E., Lancaster, CA 93591 (AVTA East)**

RECOMMENDATION

That the Board of Directors authorize the Executive Director/CEO to execute multiple contracts for breakroom, installation of Level III electric chargers and security fencing for AVTA's property located at 40235 170th St. E., Lancaster, CA 93591 (AVTA East) for an amount not to exceed $280,000.

FISCAL IMPACT

Total amount of contracts not to exceed an amount of $280,000, with funding being included in the FY 2021/2022 Budget.

BACKGROUND

On March 23, 2021, the Board of Directors authorized acquisition of the property located at 40235 170th St. E., Lancaster, CA 93591, for a charging site and operators' break room for the eastern portion of AVTA's service area. The Executive Director/CEO is seeking authorization to develop an operator's breakroom, install four (4) Level III electric chargers and security fencing, including miscellaneous work. The breakroom, concrete saw cutting, demolition, trenching, electrical, commercial fencing and gates, concrete, block walls and other project-related work to be completed within 120 days.

Prepared by:

Lyle A Block
Procurement and Contracts Officer

Submitted by:

Macy Neshati
Executive Director/CEO