Antelope Valley Transit Authority

Regular Meeting of the Board of Directors

Tuesday, May 27, 2025

10:00 a.m.

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

AGENDA

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

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

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

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

CALL TO ORDER

PLEDGE OF ALLEGIANCE

ROLL CALL:

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

APPROVAL OF AGENDA

PUBLIC BUSINESS– AGENDIZED AND NON-AGENDIZED ITEMS:

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

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

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

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

SRP 1 LEGISLATIVE REPORT FROM SENATOR SUZETTE VALLADARES' OFFICE – JACK DANIELSON

SRP 2 LEGISLATIVE REPORT FROM ASSEMBLYMEMBER TOM LACKEY'S OFFICE – ANNA ZARLEY

SRP 3 PRESENTATION TO AVTA EMPLOYEE OF THE MONTH FOR APRIL 2025 – CARLOS LOPEZ

SRP 4 PRESENTATION TO MV TRANSPORTATION EMPLOYEE AND OPERATOR OF THE MONTH FOR APRIL 2025 – GENIE MAXIE

SRP 5 PRESENTATION TO AV TRANSPORTATION SERVICES (AVTS) EMPLOYEE OF THE MONTH FOR MARCH AND APRIL 2025 – ART MINASYAN

SRP 6 AVTS MICROTRANSIT AND DIAL-A-RIDE KEY PERFORMANCE INDICATORS (KPI) REPORT FOR APRIL 2025 – ART MINASYAN

SRP 7 LEGISLATIVE REPORT FOR MAY 2025 – JUDY VACCARO-FRY

SRP 8 MAINTENANCE KPI REPORT FOR APRIL 2025 – JOSEPH SANCHEZ

SRP 9 OPERATIONS KPI REPORT FOR APRIL 2025 – GENIE MAXIE

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

CC 1 BOARD OF DIRECTORS MEETING MINUTES OF APRIL 22, 2025 - DEEANNA CASON

Recommendation: Approve the Board of Directors Regular Meeting Minutes of April 22, 2025.

CC 2 FINANCIAL REPORT FOR APRIL 2025 AND FISCAL YEAR (FY) 2024/2025 THIRD QUARTER TREASURER'S REPORT – VIANNEY MCLAUGHLIN

Recommendation: Receive and file the Financial Report for April 2025 and FY 2025 Third-Quarter Treasurer's Report, including Capital Reserve and Farebox Recovery information.

CC 3 RESOLUTION NO. 2025-001, LOCAL AGENCY INVESTMENT FUND (LAIF) INVESTMENTS FOR FISCAL YEAR 2025/2026 (FY 2026) – JUDY VACCARO-FRY

Recommendation: Adopt Resolution 2025-001, a Resolution appointing the Executive Director/CEO as Treasurer and the Chief Financial Officer as Controller; authorizing investment of monies in the LAIF for FY 2026 (July 1, 2025 through June 30, 2026) to the Treasurer; adopting a policy for the investment of surplus transit funds for FY 2026; and rescinding Resolution No. 2024-001.

CC 4 RESOLUTION NO. 2025-002, ANNUAL REVIEW AND UPDATE OF THE PUBLIC SAFETY TRANSPORTATION SAFETY PLAN FY 2026 – TISHA LANE

Recommendations:
1. Readopt the updated Public Transportation Agency Safety Plan (PTASP) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements for Fiscal Year 2025/2026 (FY 2026).
2. Adopt Resolution No. 2025-002, adopting the updated PTASP for FY 2026.

CC 5 AMEND THE AUTHORITY'S CLASSIFICATION AND SALARY SCHEDULE – AMBER JOHNSON

Recommendations: Approve to amend the Authority's Classification and Salary Schedule to consolidate the existing seventy-five salary ranges into twelve standardized ranges. The new schedule ensures compliance with current state minimum wage laws and CalPERS retirement reporting requirements, while streamlining compensation practices across the agency.

NEW BUSINESS (NB):

NB 1 FISCAL YEAR 2025/2026 (FY 2026) PROPOSED BUDGET – JUDY VACCARO-FRY

Recommendation: Approve the FY 2026 Proposed Budget.

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 June 24, 2025, 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 May 23, 2025, 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.

SRP 6

FY 2025 MONTHLY OPERATIONS
KEY PERFORMANCE INDICATORS

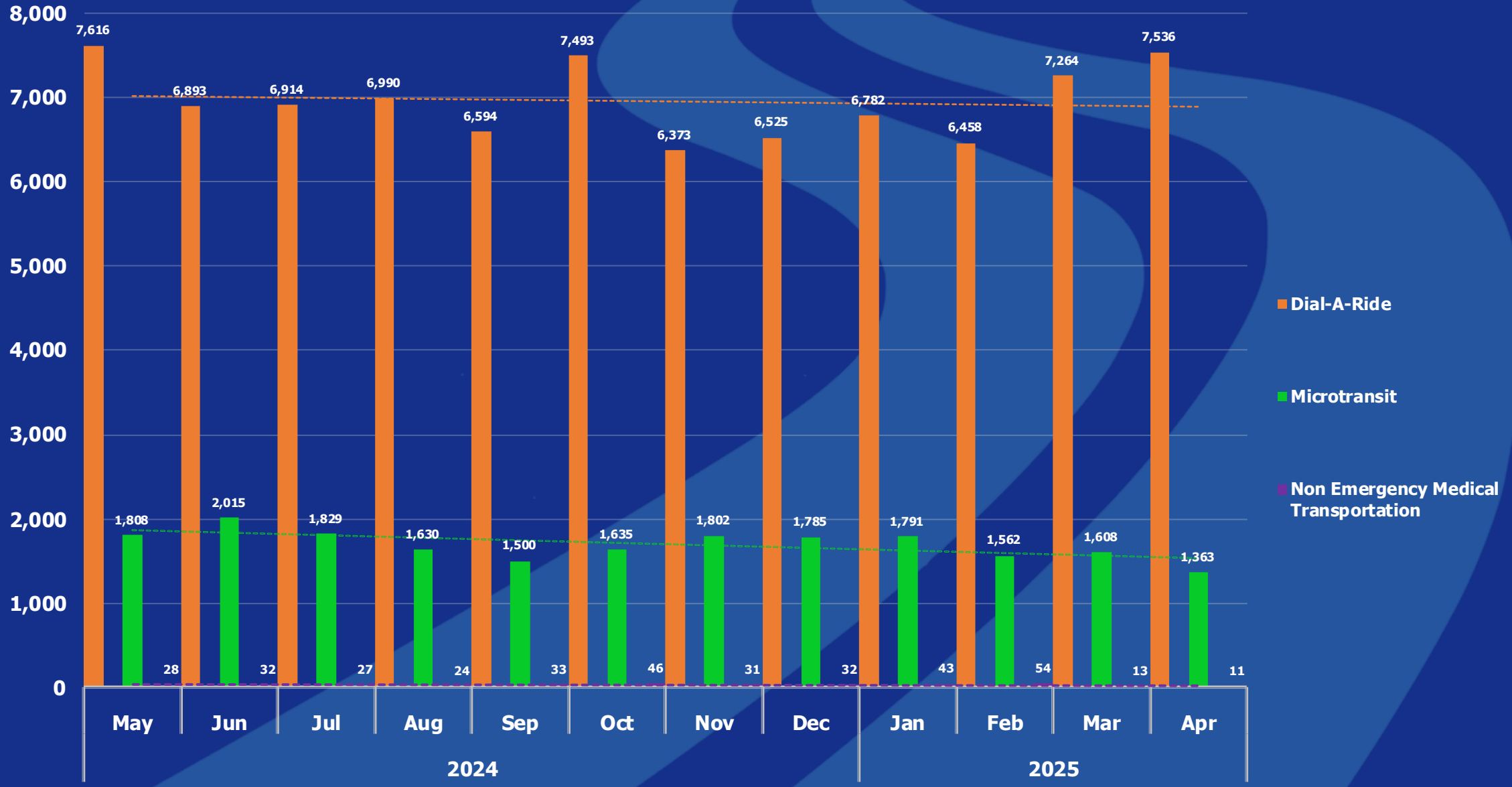
April

PRESENTATION BY ARTZRUN MINASYAN
TO THE AVTA BOARD OF DIRECTORS

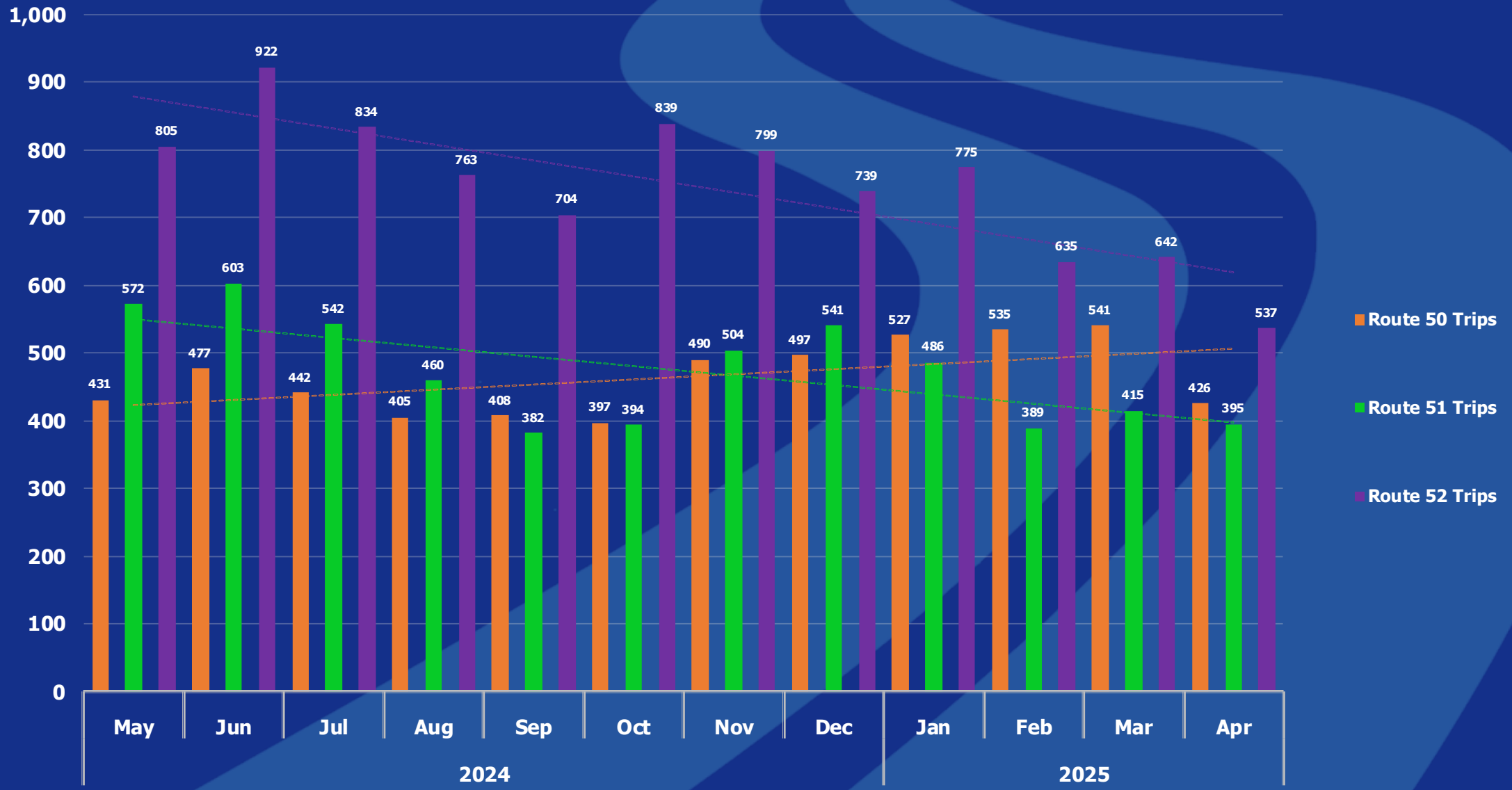
AV TRANSPORTATION SERVICES

MAY 27, 2025

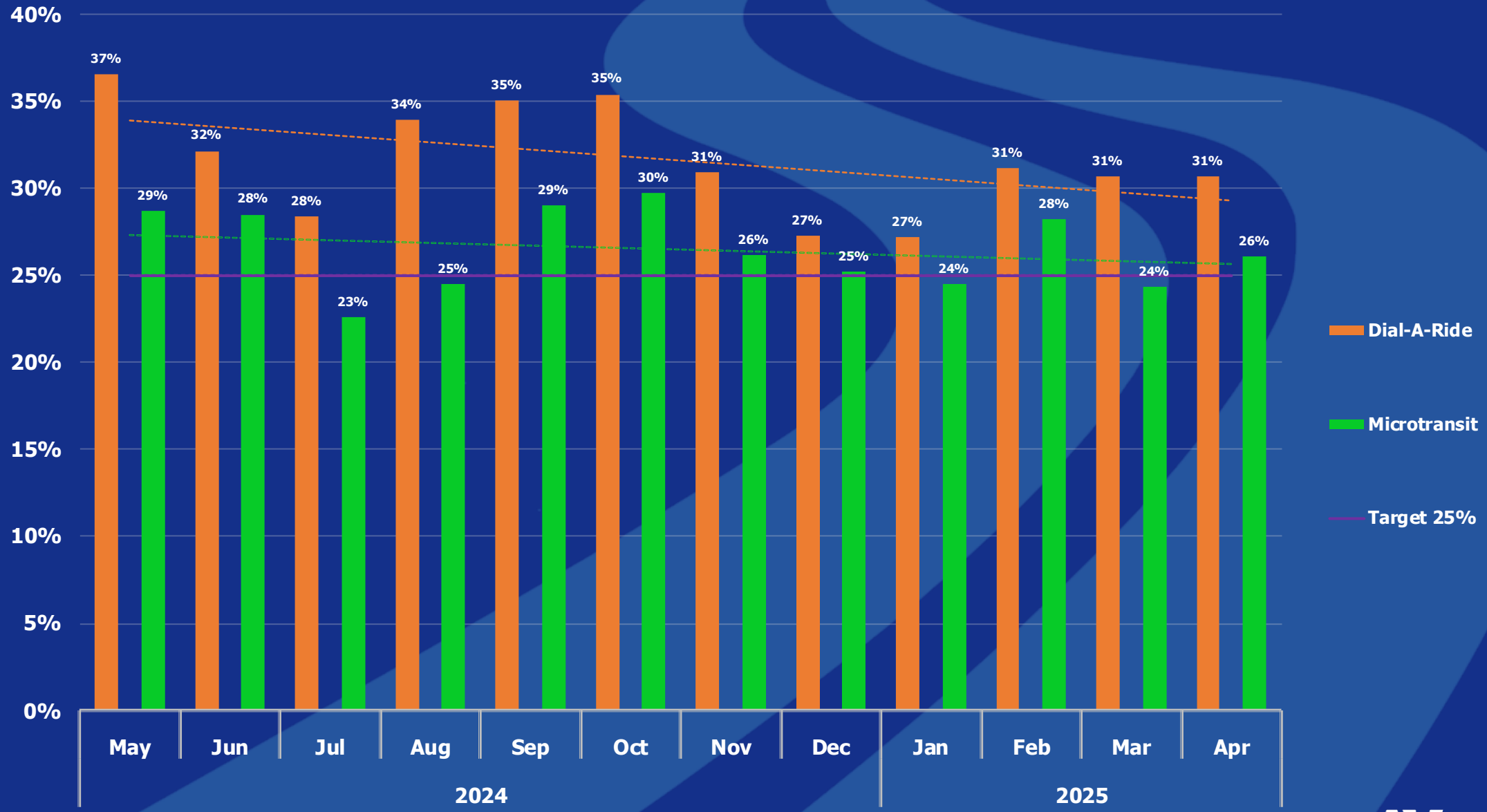
PASSENGER RIDERSHIP DATA



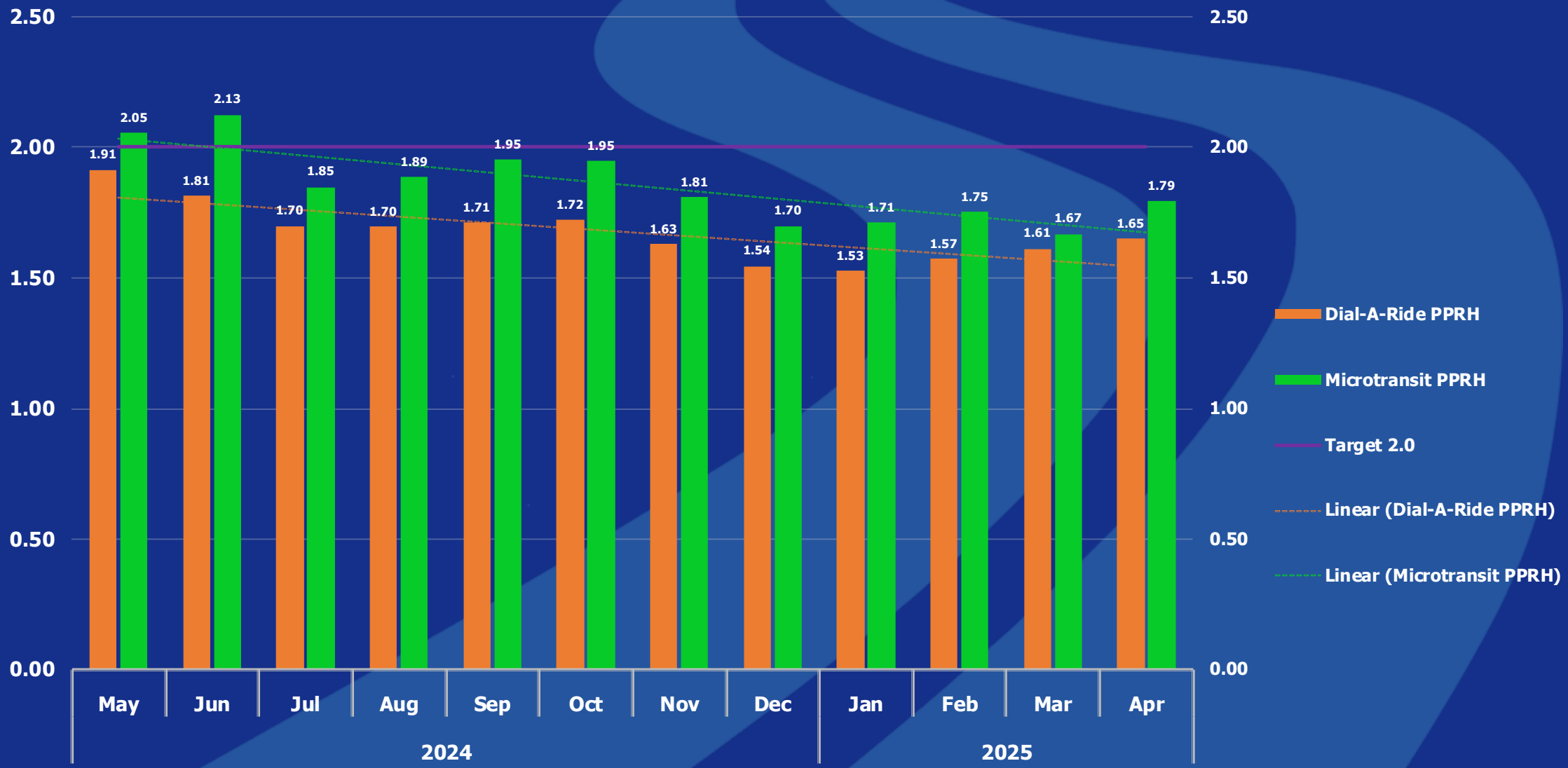
PASSENGER RIDERSHIP MT ROUTES 50, 51, 52



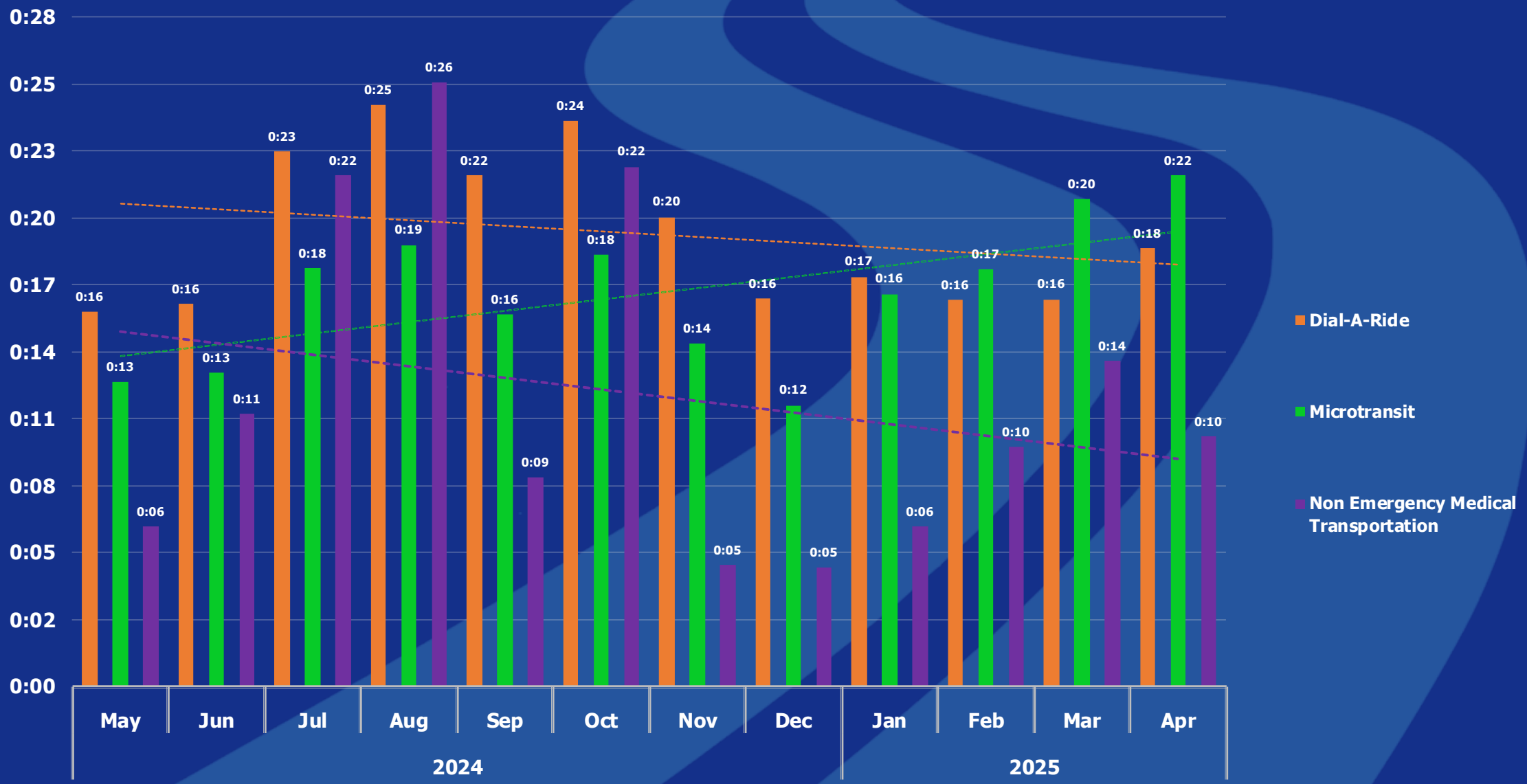
AVERAGE SHARED RIDE PERCENTAGE



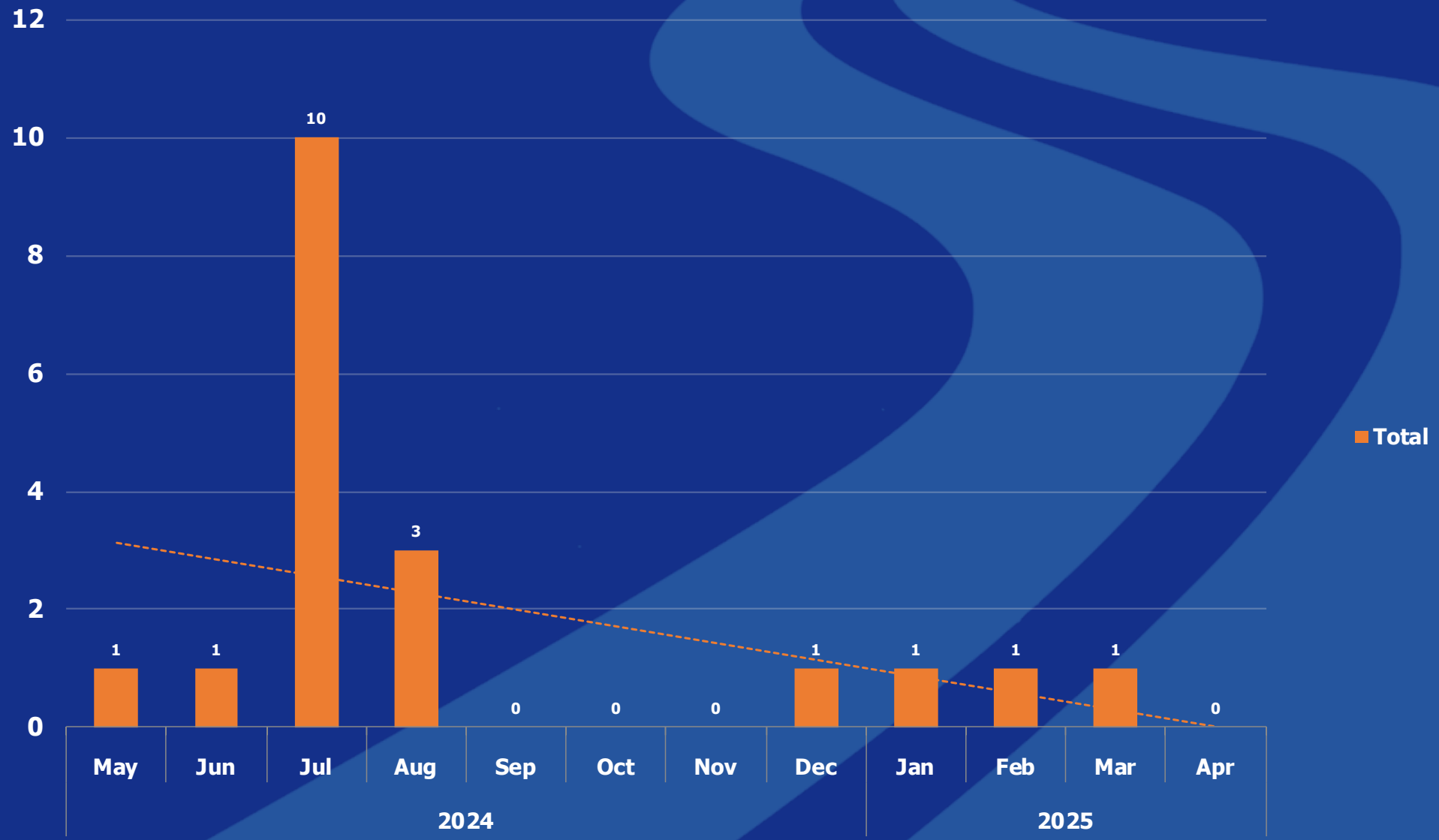
PASSENGERS PER REVENUE HOUR



PASSENGER WAIT TIME



ACCIDENTS


12
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May
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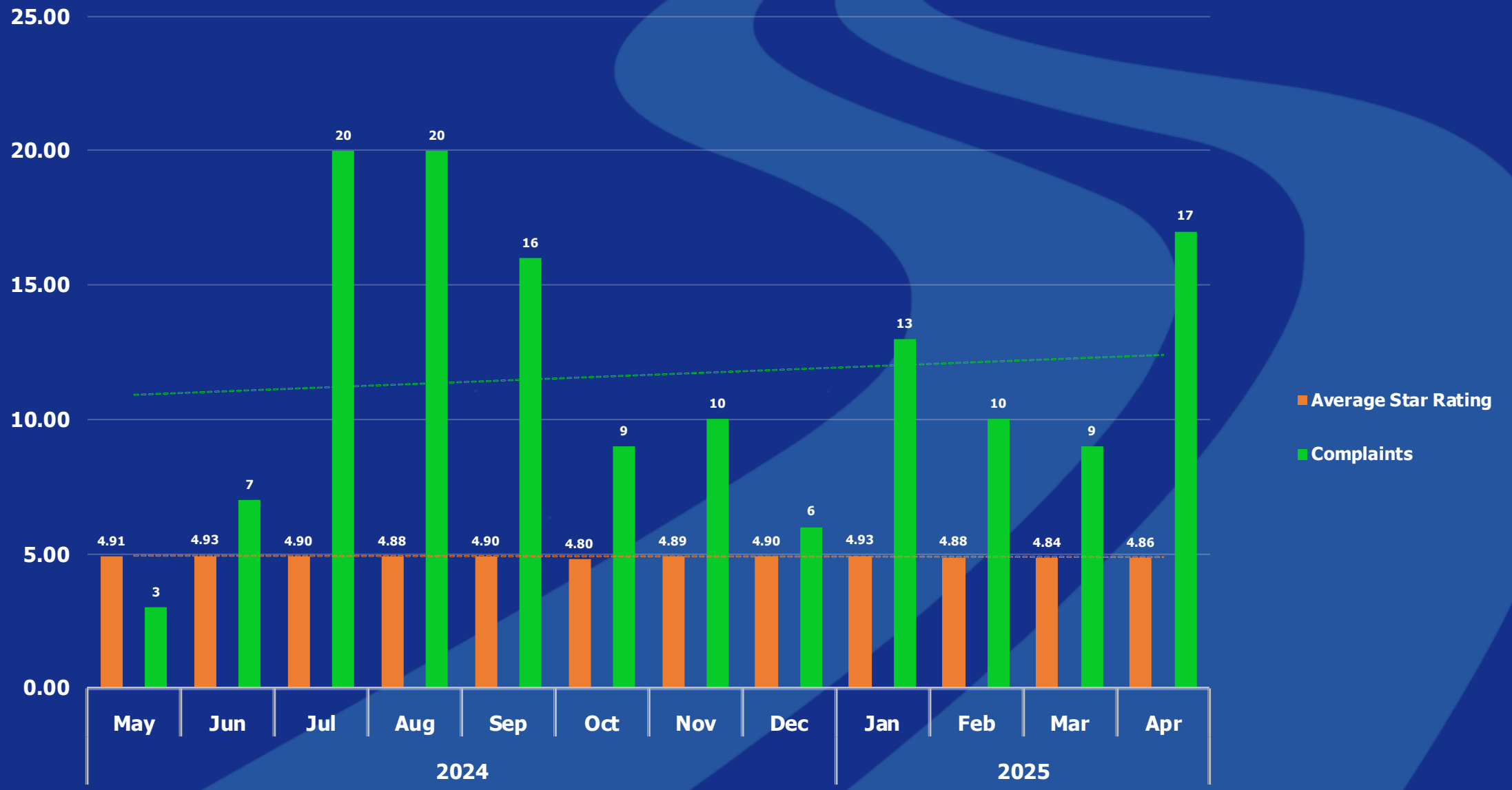
2024
2025
Total

PASSENGER FEEDBACK



ACCIDENTS AND COMPLAINTS SUMMARY

Accidents

No accidents for April

Complaints

13 – Late

1 – No Reservation Available

3 – Vehicle Did Not Show

Thank you!

AV TRANSPORTATION SERVICES

MAY 27, 2025

SRP 7

LEGISLATIVE UPDATE

Presentation to the Board of Directors
May 27, 2025

STATE

Antelope Valley Transit Authority

BUDGET - MAY REVISE

- $12 billion shortfall

Olympics

- $17.6 million in one-time funding from the State Highway Account to support transportation project planning

Greenhouse Gas Reduction Fund

- $1 billion provided for the High-Speed Rail Project
- $1.5 billion in Cal Fire for fire-related activities
- $60 billion to continue the California Climate Credit

Cap & Invest Plan

- Cap-and-Trade has been rebranded “Cap-and-Invest”
  - Set to expire in 2030; push to extend the program to 2045
  - Provides market certainty and attracts continued investment

BUDGET - MAY REVISE

Cap & Invest continued…

- Reduce the state's planned $1 billion investment in the formula-based TIRCP for FY 2025-26 to $812 million.
- Eliminate the state's planned $690 million investment in the formula based ZETCP for FY 2026-27 and FY 2027-28.
- Eliminate the state's planned $200 million investment in TIRCP Cycle 6, impacting existing grant awards.**
- Put at risk continuous appropriations to the TIRCP and LCTOP, impacting existing grant awards under TIRCP Cycle 5 and 7, and all future grant cycles.

To maintain this funding, the Governor and the Legislature will need to reach agreement to include it in the final "Cap and Invest" plan.

ASSEMBLY BILL SUMMARY

AB 861 - Community colleges: students public transportation
- Re-referred to Transportation Committee

AB 939 - The Safe, Sustainable, Traffic-Reducing Transportation Bond Act of 2026.
- No change since 3/24

AB 1237 - County of Los Angeles sporting events: ticket charge: public transit.
- 5/20 In Senate. Read first time. To Committee on rules for assignment.

HEARING CANCELLED AT THE REQUEST OF AUTHOR

AB 854 - Environmental quality: greenhouse gas emissions: permit streamlining.
AB 1070 - Transit districts: governing boards: compensation: nonvoting members

MOVED TO THE SUSPENSE FILE

AB 394 - Crimes: Public Transportation Providers
AB 314 - Affordable Housing and Sustainable Communities Program: project eligibility
AB 891 - Transportation: Quick-Build Project Pilot Program
AB 902 - Transportation planning and programming: barriers to wildlife movement

SENATE BILL SUMMARY

SB 71 California Environmental Quality Act: exemptions: transit projects.
- Set for hearing May 23

SB 79 Planning and zoning: housing development: transit-oriented development.
- Set for hearing May 23

SB 801 Greenhouse gases: reduction.
- NOW: Agricultural workers: wages, hours, and working conditions: definitions.

SB 220 - Los Angeles County Metropolitan Transportation Authority.
- April 28 hearing: Heard for testimony only.

SB 359 - Diesel Fuel Tax Law: exempt bus operation.
- Set for hearing May 23

SB 752 - Sales and use taxes: exemptions: California Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project: transit buses.
- Set for hearing May 23

SB 445 - Sustainable Transportation Project Permits and Cooperative Agreements.
- May 6 - Read second time. Ordered to third reading.

FEDERAL

Antelope Valley Transit Authority

GRANT OPPORTUNITIES

Low or No Emission Grant Program - 5339(c)

What's New

- On May 14, 2025, FTA announced the availability of $1.5 billion under the FY25 Notice of Funding Opportunity: Grants for Buses and Bus Facilities and Low or No Emission Program. Applications are due by July 14, 2025.
  - Of this, approximately $398 million in funding is authorized under the Grants for Buses and Bus Facilities Program.

United States Department of Transportation

U.S. DEPARTMENT OF TRANSPORTATION
BUILD AMERICA BUREAU

BULLETIN

Financing Infrastructure to Move America Forward

Bureau Bulletin Brief: May 8, 2025

Notice of Funding Opportunity: Regional Infrastructure Accelerators Grant Program

Up to $20 Million Available in No-Match Grants

The U.S. Department of Transportation's Build America Bureau (Bureau) recently issued a Notice of Funding Opportunity (NOFO) for up to $20 million in no-match grants for the Regional Infrastructure Accelerators Program (RIA). The program funds technical resources, planning, and project development to expedite regional transportation infrastructure through innovative financing and delivery methods, including public-

Antelope Valley Transit Authority

NATIONAL TRANSIT DATABASE

AVTA's FY24 National Transit Database report has been submitted with audited data, accepted and finalized.

AVTA requested a "Hold Harmless" waiver based on the reduced service experienced with the commuter mode; They stated our request was "not typical" and was denied.

	REVENUE SERVICE	WAIVER ESTIMATE	TOTAL
Hours	23,489.00	2,351.60	25,840.60
Miles	643,747.00	29,500.78	673,247.78
Passengers	150,613.00	7,476.00	158,089.00
Passenger Miles Traveled	9,232,393.00	458,278.80	9,690,671.80

FY25 FEDERAL APPORTIONMENTS

	FY25	FY24	FY23
Section 5307 FORMULA	$ 13,482,950	$ 12,888,176	$ 11,392,791
LA MTA - Access Services (FY25 estimate)	$ *(1,269,823)*	$ (1,109,331)	
Section 5337 - STATE OF GOOD REPAIR	$ 3,567,644	$ 3,482,514	$ 1,669,249
Section 5339(a) - BUS & BUS FACILITIES	$ 806,920	$ 760,118	$ 606,942
FTA Funds Apportioned to UZA	$ 17,857,514	$ 17,130,808	$ 13,668,982
AVTA FTA Funds Apportionments - estimated	**$ 16,587,691**	$ 16,021,477	

Section 5307 Max Operating	**FY 2025 Maximum Amount of Section 5307 Operating Assistance Allowed**
Palmdale-Lancaster, CA	$ 7,059,987
Santa Clarita, CA	$ 117,406
	$ 7,177,393

HIGHWAY TRUST FUND

On April 30, 2025, the House Committee on Transportation and Infrastructure adopted its budget reconciliation proposal.

The bill rescinds certain U.S. Department of Transportation (DOT) unobligated funds, and imposes annual registration fee of $250 for electric vehicles and a $100 for hybrid vehicles.

APTA LEGISLATIVE CONFERENCE

Questions?

Antelope Valley Transit Authority

SRP 8

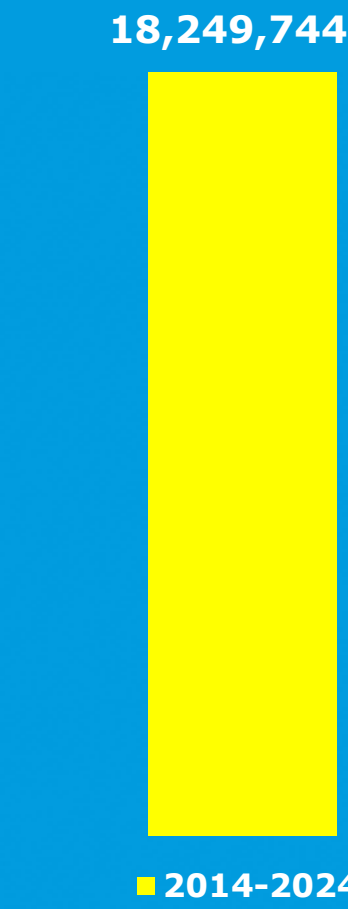
FY 25 Monthly Fleet Maintenance Key Performance Indicators

Presentation to the Board of Directors

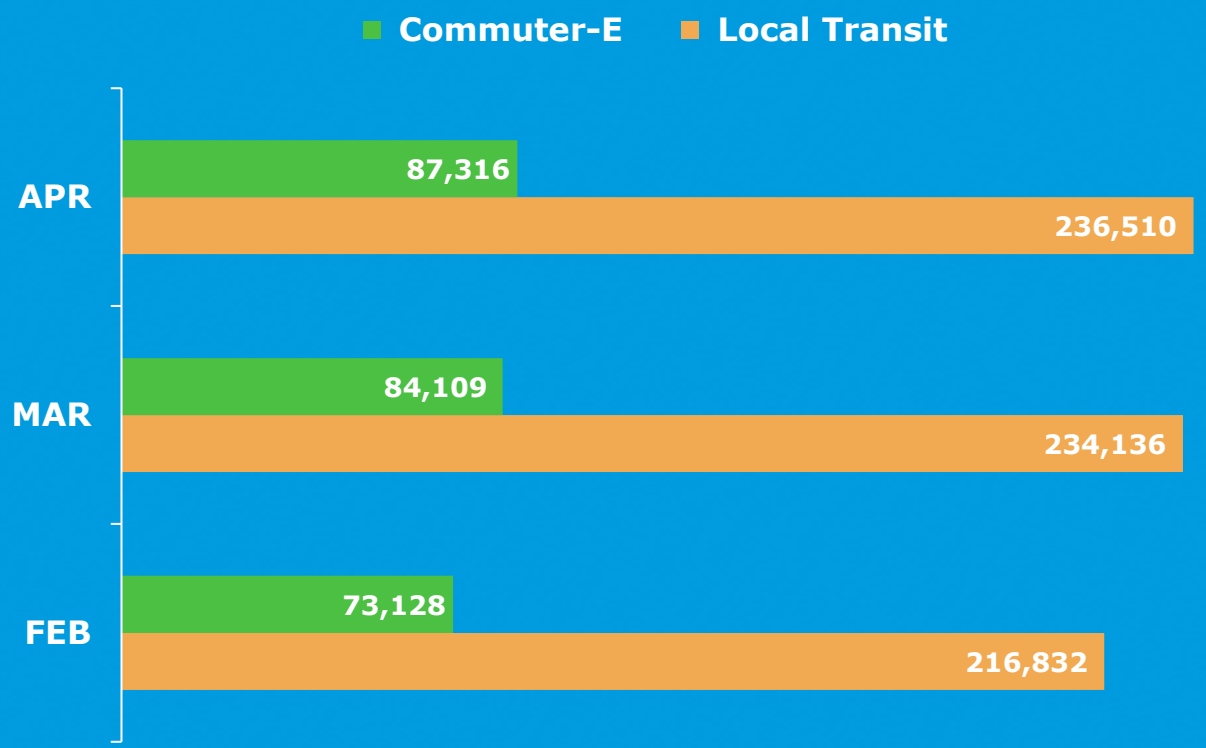
May 27, 2025

Antelope Valley Transit Authority

MILESTONES

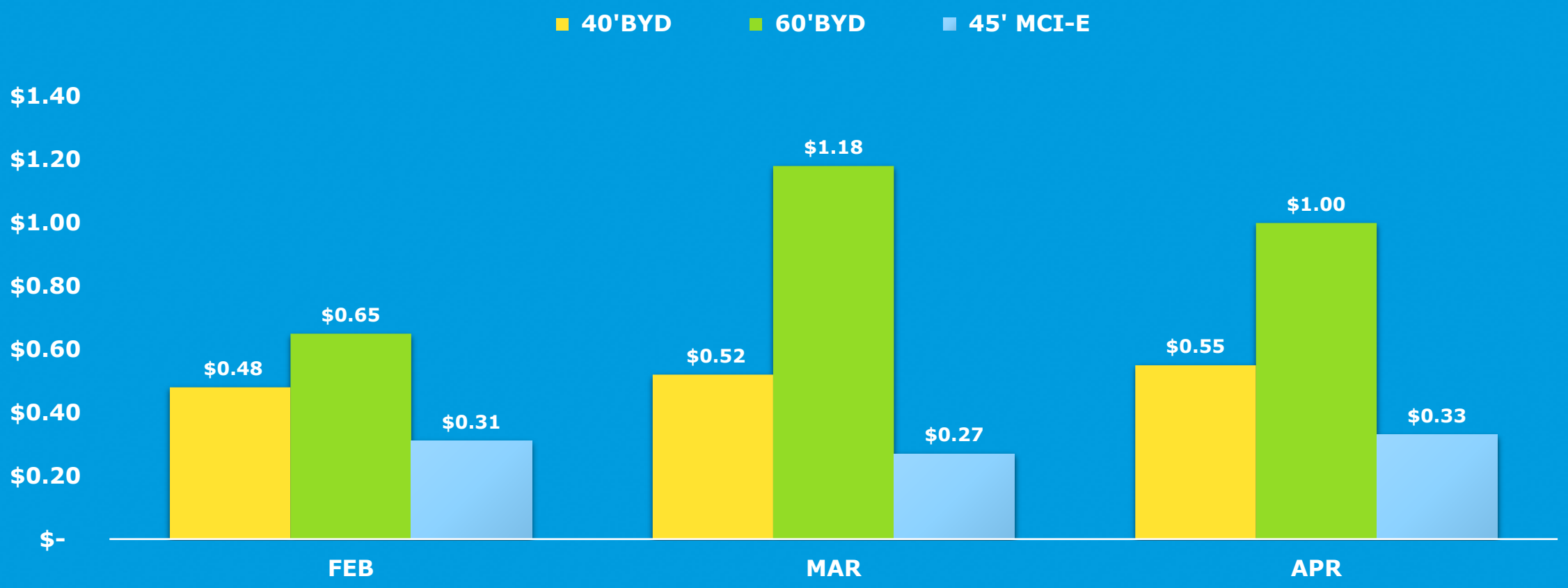


Cumulative Since Electrification



Antelope Valley Transit Authority

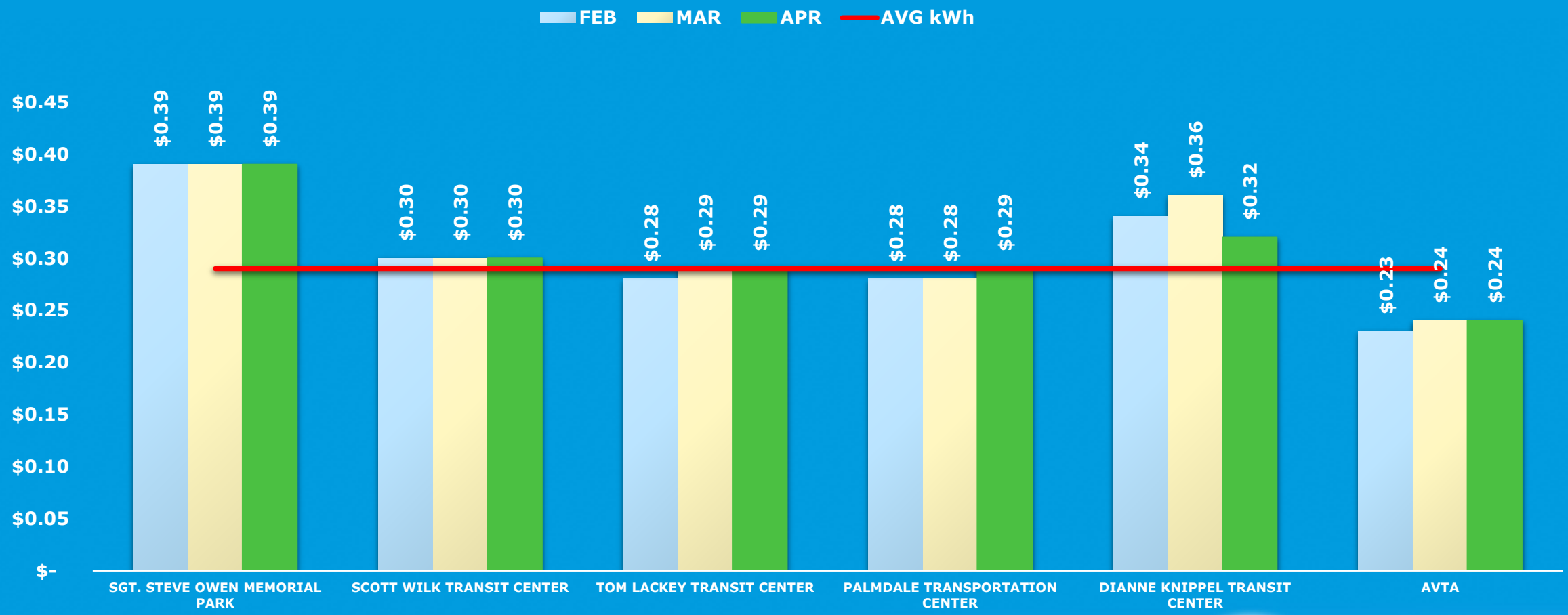
MAINTENANCE COST
PER MILE BY FLEET



Antelope Valley Transit Authority

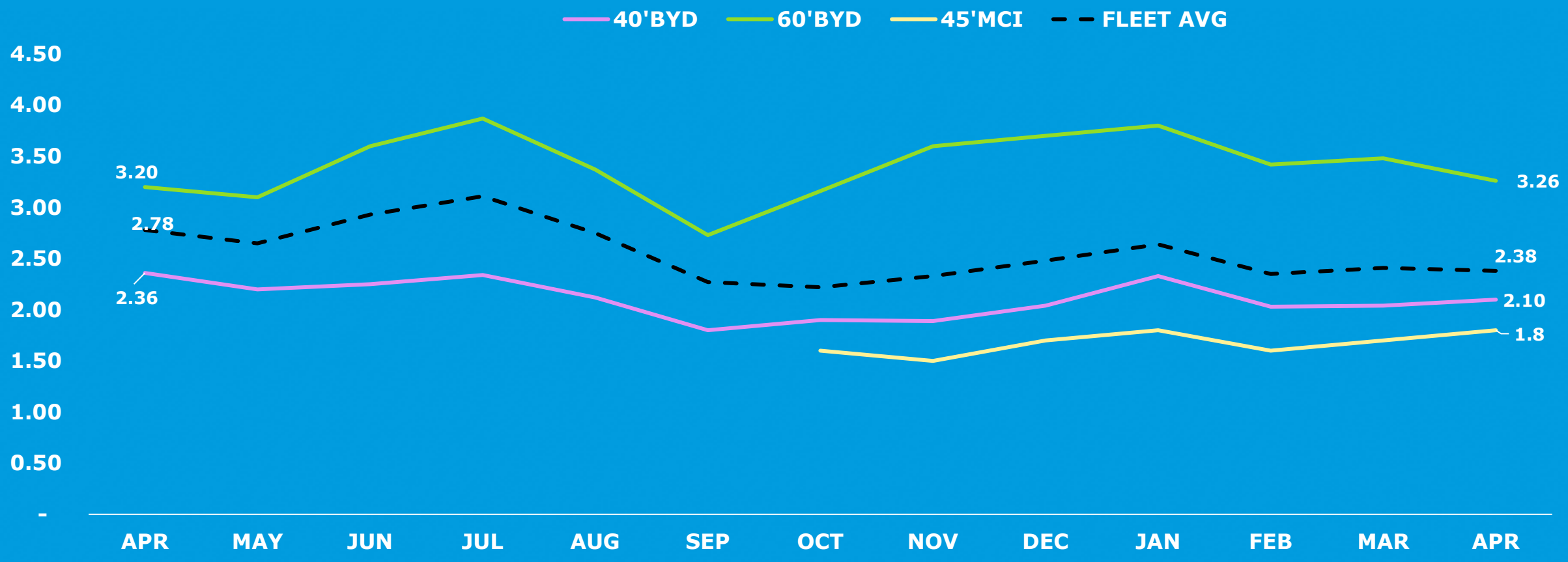
ENERGY DEPOTS

COST PER KWH



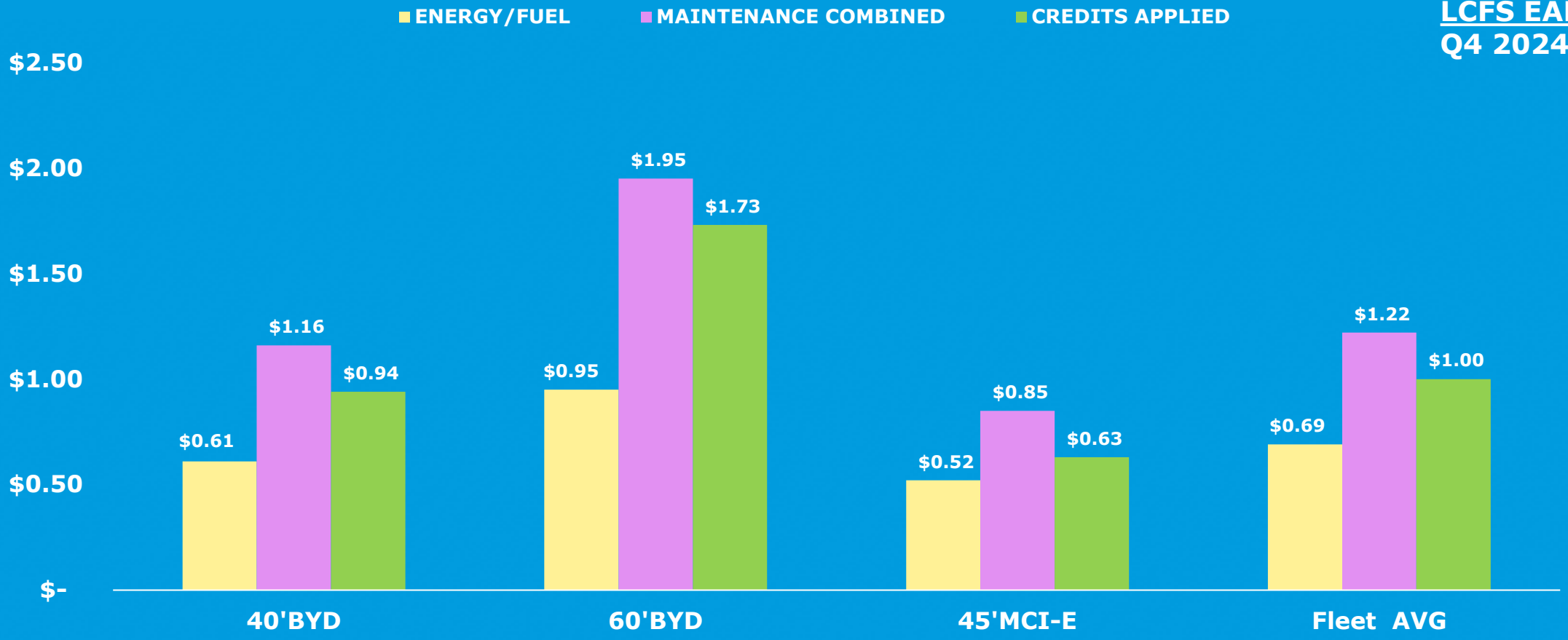
Antelope Valley Transit Authority

kWh EFFICIENCY PER MILE



Antelope Valley Transit Authority

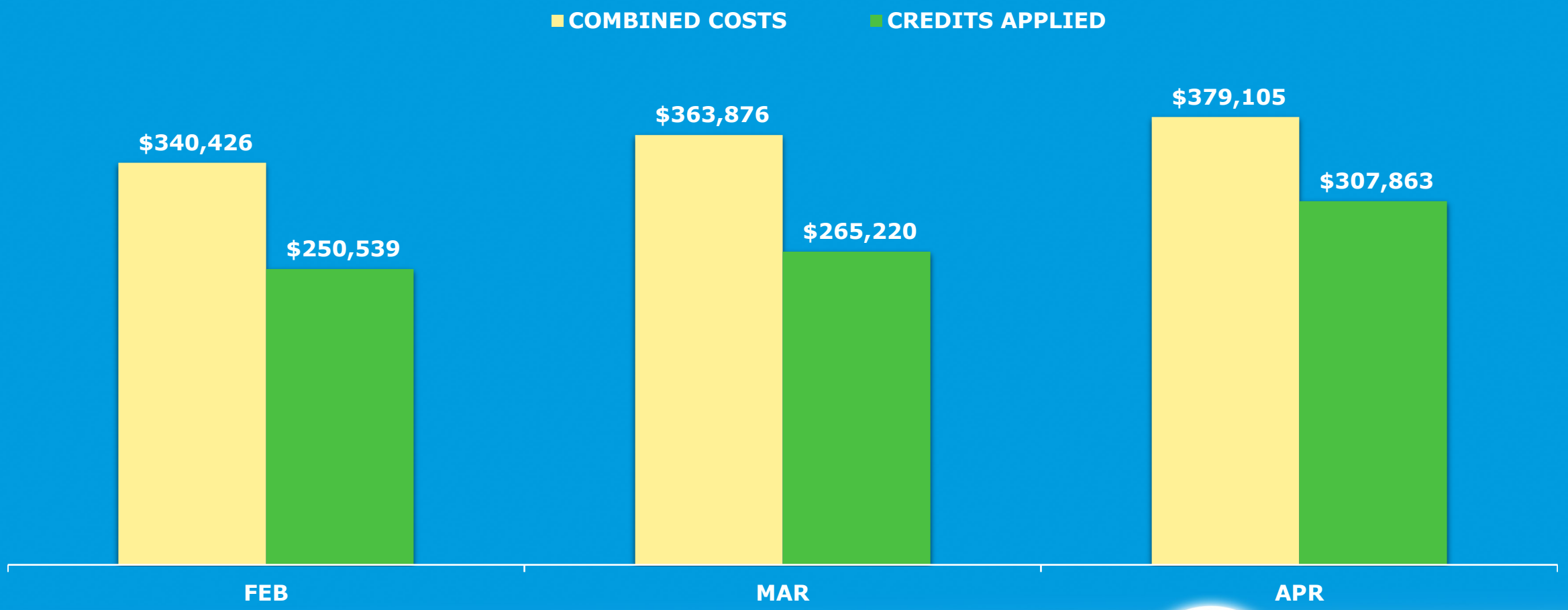
FLEET COSTS PER MILE
APRIL



LCFS EARNINGS
Q4 2024: $.22

Antelope Valley Transit Authority

FLEET OPERATING COSTS
ENERGY/FUEL AND MAINTENANCE



Antelope Valley Transit Authority

Thank you!

Antelope Valley Transit Authority

SRP 9

FY 2025 Monthly Operations Key Performance Indicators

Presentation to the Board of Directors

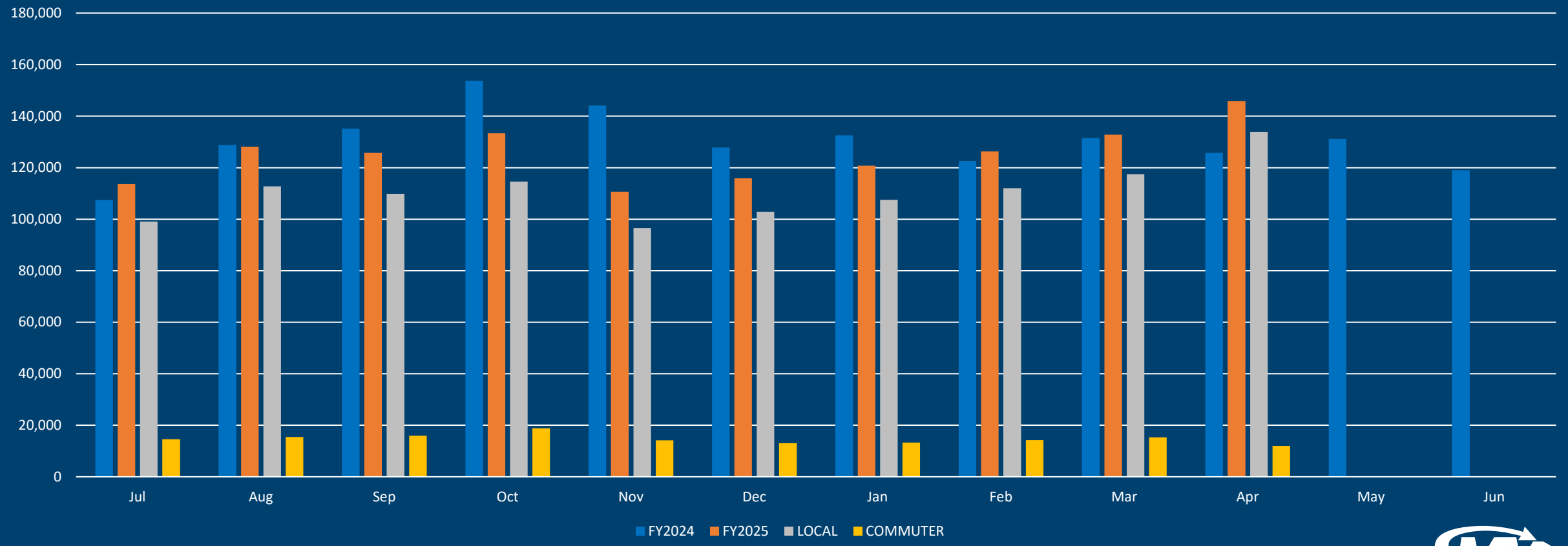
May 27, 2025

April 2025

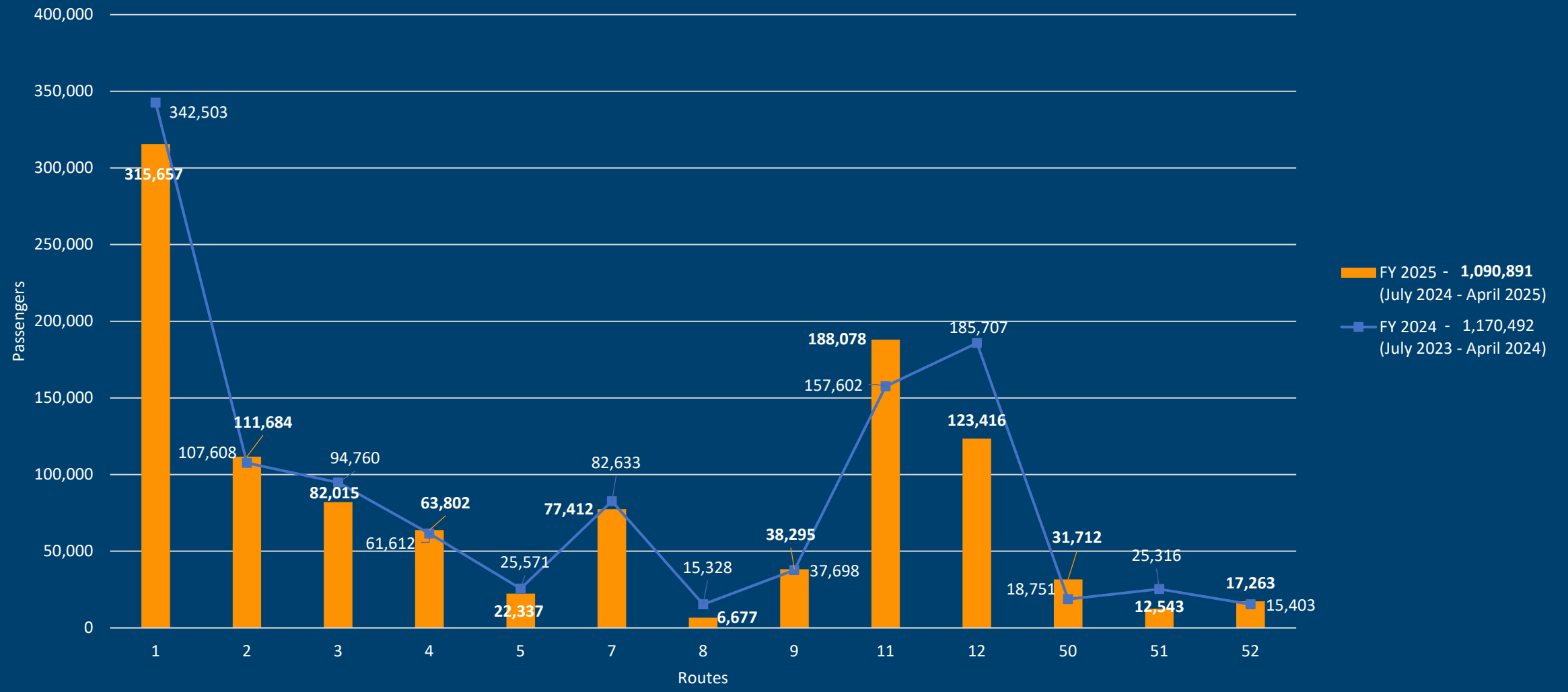
Genie Maxie

MONTHLY BOARDING ACTIVITY

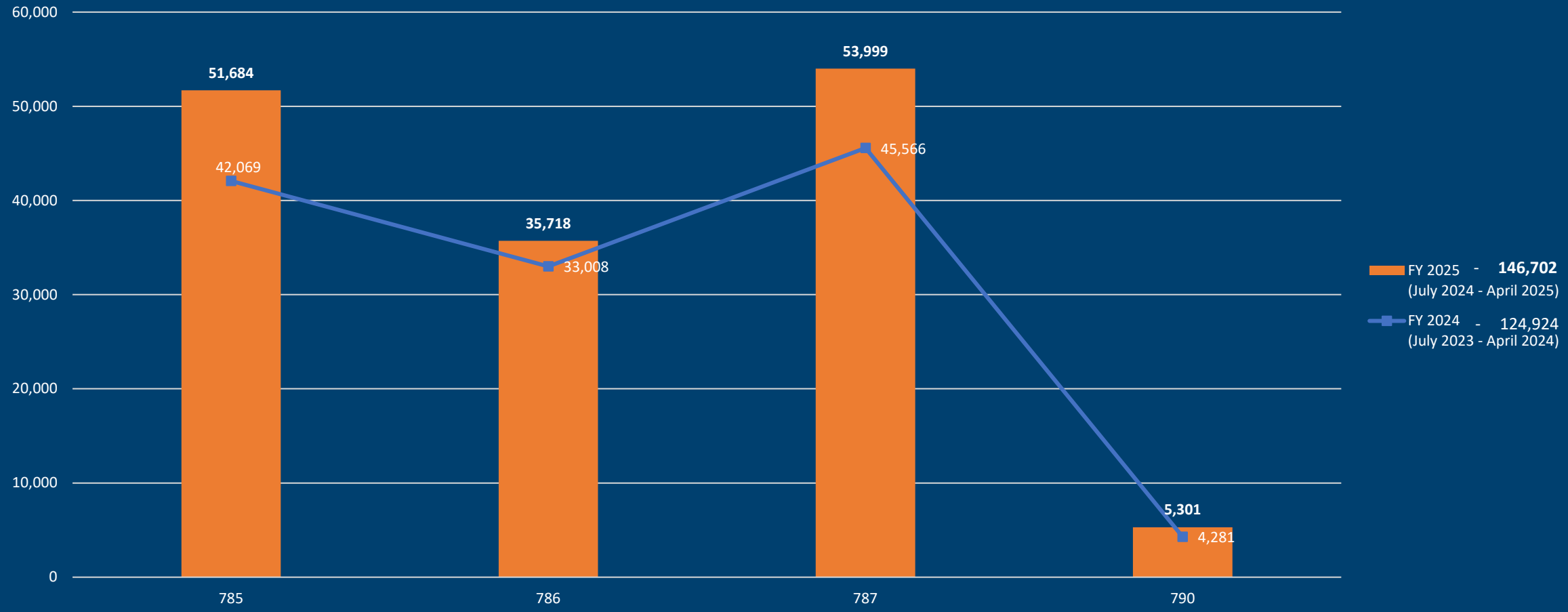
	April 2025 FY 2025	March 2025 FY 2025
System	145,919	132,792
Local	133,920	117,491
Commuter	11,999	15,301



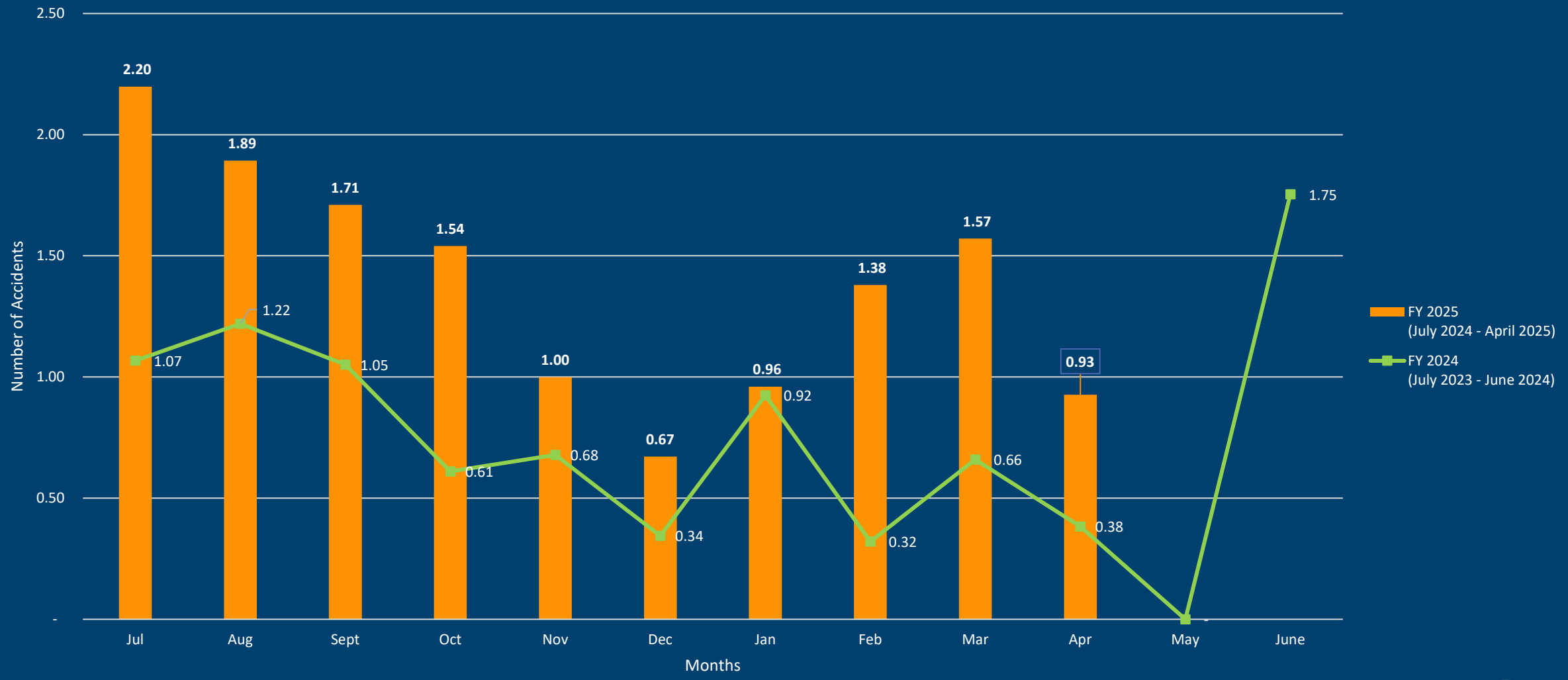
ANNUAL RIDERSHIP – LOCAL ROUTES



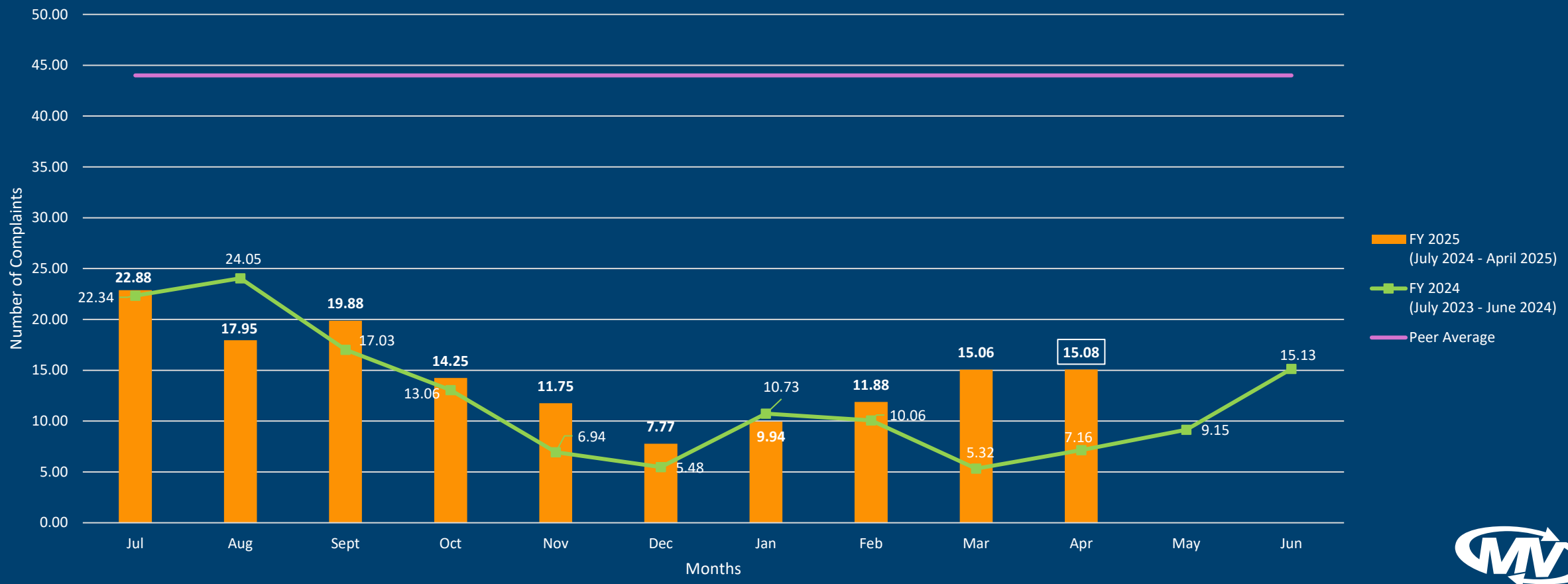
ANNUAL RIDERSHIP - COMMUTER ROUTES



PREVENTABLE ACCIDENTS /100,000 MILES
APRIL – SYSTEMWIDE AVERAGE: 0.93



COMPLAINTS / 100,000 BOARDINGS
APRIL - SYSTEM WIDE AVERAGE: 15.08
PEER AVERAGE: 44.00



Accidents and Complaints Summary

ACCIDENTS: (3 preventable)

- Bus came into contact with a fixed object (pole) at a bus stop.
- Bus made contact with curb at bus stop. (2)

*There were no injuries related to the above accidents

COMPLAINTS: (22 valid)

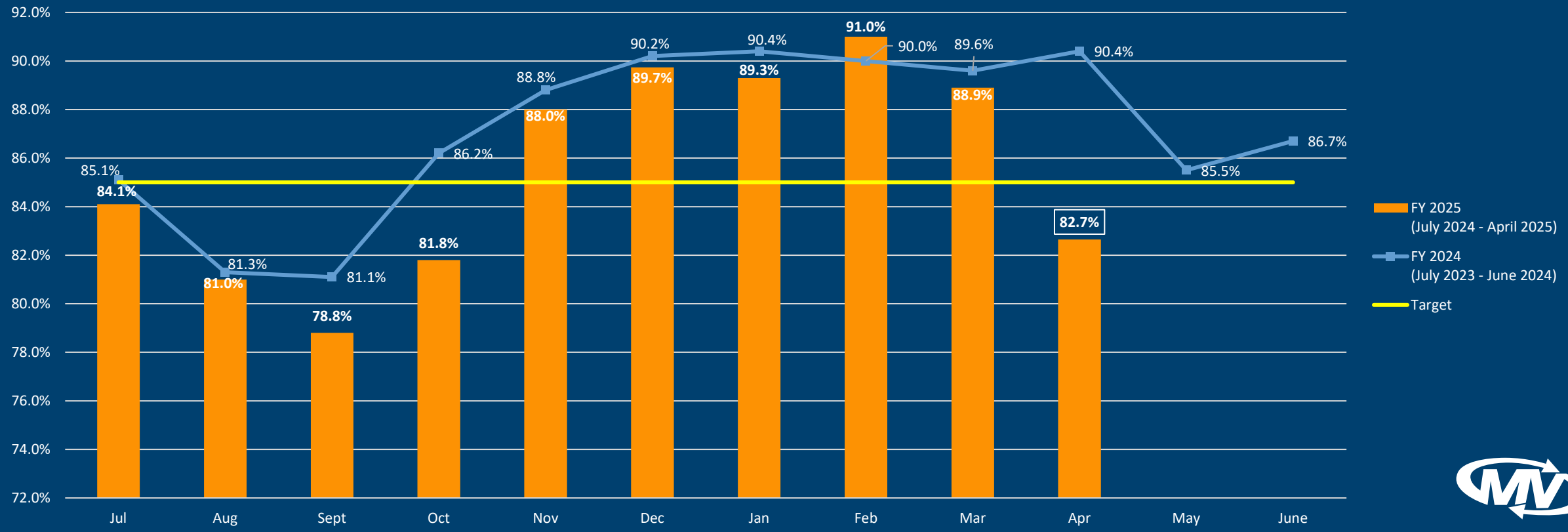
- Bus Did Not Show (1)
- Bus Running Early (2)
- Bus Running Late (2)
- Maintenance Related (5)
- Discourteous Operator (6)
- Passenger Disturbance (2)
- Passenger Passed Up at Stop (2)
- Undesignated Stop by Driver (1)
- Unsafe Driving (1)

ON-TIME PERFORMANCE

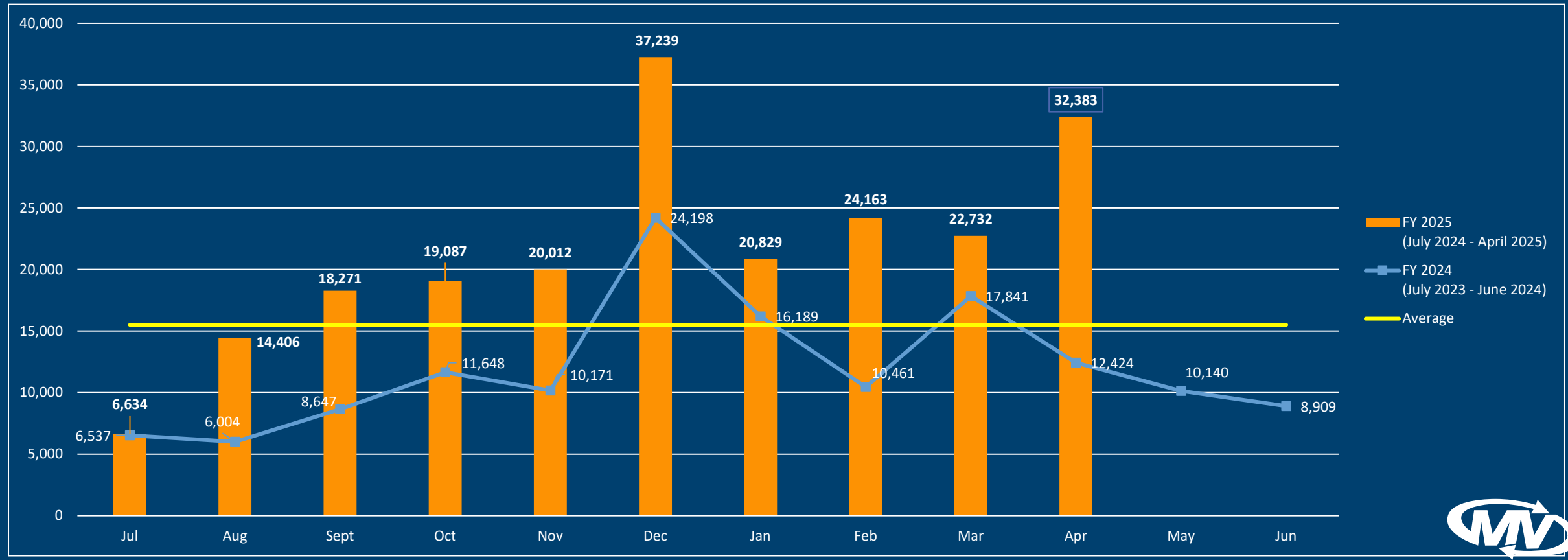
APRIL - SYSTEMWIDE AVERAGE – 82.7%

LOCAL – 85.6% COMMUTER –79.7%

TARGET: 85%



AVERAGE MILES BETWEEN ROADCALLS
APRIL - SYSTEM WIDE AVERAGE: 32,383
TARGET: 15,500



KEY PERFORMANCE INDICATORS

	AVTA Targets	April 2025 FY 2025	March 2025 FY 2025	April 2024 FY 2024
Boarding Activity		145,919	132,792	125,735
Complaints / 100,000 Boardings	≤ 44	15.08	15.06	7.16
Preventable Accidents / 100,000 Miles	≤ 1	0.93	1.57	0.38
On Time Performance	≥ 85%	82.7%	88.9 %	90.4%
Average Miles Between Roadcalls	≥ 15,500	32,383	22,732	12,424

WE ARE MVMNT

THANK YOU

Questions?

Antelope Valley Transit Authority

Regular Meeting of the Board of Directors
Tuesday, April 22, 2025
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 Royal led the Pledge of Allegiance.

ROLL CALL:

PRESENT
Chairman Marvin Crist, Vice Chair Dianne Knippel, Director Raj Malhi, Director Michelle Royal, Alternate Director Laura Bettencourt, Alternate Director Kathryn Mac Laren

APPROVAL OF AGENDA:

On a motion by Vice Chair Knippel and seconded by Director Royal, the Board of Directors approved the agenda, pulling item NB Item #2 - Consider Antelope Valley Transit Authority Board of Directors to Approve Membership in the First Public Hydrogen Authority (Fph_2).

Vote:	Motion carried (6-0-0-0)
Yays:	Chairman Crist, Vice Chair Knippel, Directors Malhi, Royal, and Alternate Directors Bettencourt and Mac Laren
Nays:	None
Abstain:	None
Absent:	None

PUBLIC BUSINESS– AGENDIZED AND NON-AGENDIZED ITEMS:

Milcah White stated that the operators on local service are inconsistent in enforcing the policies and securing the riders.

Fran Sereseres expressed that using the bus services to meet with other seniors for lunch is a pleasure.

Sue White voiced concerns regarding rude operators, unclean seats, incorrect bus headsigns, and safety issues with the windows not opening. Chairman Crist has directed Executive Director/CEO Martin Tompkins to follow up with Ms. White to address these concerns.

Dwight Schneider said booking a ride with the Dial-A-Ride (DAR) services is difficult. A round-trip ride takes six hours, and the DAR app's communications are still inconsistent.

Walter Woodward commended the DAR operators and staff for their excellent service. However, he raised concerns about the delayed arrival procedures and the challenges of entering and exiting the bus when wheelchairs are onboard. He suggested removing the seat behind the driver to provide more room.

Timothy McLaughlin expressed his gratitude to the operators and staff but added that he has issues scheduling rides.

Charlotte Baxter thanked the DAR and MV Transportation staff for helping her with calls.

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

SRP 1 LEGISLATIVE REPORT FROM SENATOR SUZETTE VALLADARES' OFFICE

Thomas Moreno, State Senator Valladares' deputy field representative, presented updates on SB 2 Low-carbon fuel standard: regulations, and SB 563 State parks: Off-highway Motor Vehicle Recreation: grants: eligible applicants. Senator Valladares recently visited the border and will work with staff to schedule a tour of the AVTA facility.

SRP 2 LEGISLATIVE REPORT FROM ASSEMBLYMEMBER TOM LACKEY'S OFFICE

The representative was unable to attend.

SRP 3 PRESENTATION TO EMMA CAMPOS, CUSTOMER SERVICE REPRESENTATIVE II, FOR 10 YEARS OF SERVICE

Customer Satisfaction Manager Carlos Lopez presented the award to Emma Campos, Customer Service Representative II, in recognition of 10 years of outstanding and dedicated service to the Authority.

SRP 4 PRESENTATION TO AVTA EMPLOYEE OF THE MONTH FOR MARCH 2025

Senior Finance Manager Vianney McLaughlin presented Karim Illescas, Accountant I, with the Employee of the Month award.

SRP 5 PRESENTATION TO MV TRANSPORTATION EMPLOYEE AND OPERATOR OF THE MONTH FOR MARCH 2025

MV Transportation General Manager Thomas Conlon presented Arthur Noriega with the Operator of the Month award and Frank Dominguez with the Employee of the Month award.

SRP 6 PRESENTATION TO AV TRANSPORTATION SERVICES (AVTS) EMPLOYEE OF THE MONTH FOR MARCH 2025

AV Transportation Services President Art Minasyan stated he would present the March Employee of the Month award at the May board meeting since the recipient could not attend the meeting.

SRP 7 AVTS MICROTRANSIT AND DIAL-A-RIDE KEY PERFORMANCE INDICATORS (KPI) REPORT FOR MARCH 2025

Mr. Minasyan presented the report. The board discussed the continued issues with the DAR app and the EV lifts and recommended removing the seat, as suggested. Mr. Minasyan replied that he is working with the AVTA team to address the accessibility issue and is working on improving the DAR app. He will provide a status report next month.

SRP 8 LEGISLATIVE REPORT FOR APRIL 2025

Chief Financial Officer Judy Vaccaro-Fry presented an update on the California Air Resource Board (CARB) Low Carbon Fuel Standard, various assembly and senate bills, an Executive Order titled "Protecting American Energy from State Overreach," Fiscal Year 2025 concurrent budget resolution, budget committee hearings, and the Safe Streets and Roads for All (SS4A) grant opportunity.

SRP 9 MAINTENANCE KPI REPORT FOR MARCH 2025

Operations Contract Compliance Manager Joseph Sanchez presented the report.

SRP 10 OPERATIONS KPI REPORT FOR MARCH 2025

MV Transportation Assistant General Manager Genie Maxie presented the report. The board discussed how the operators handled the four passenger disturbances. Ms. Maxie stated that the operators are trained to de-escalate the situation and request a deputy's assistance when necessary.

CONSENT CALENDAR (CC):

CC 1 BOARD OF DIRECTORS MEETING MINUTES OF MARCH 25, 2025

On a motion by Director Royal and seconded by Director Malhi, the Board of Directors approved item number CC 1 as comprised by the following vote:

Vote: Motion carried (5-0-1-0)
Yeas: Chairman Crist, Vice Chair Knippel, Directors Malhi, Royal, Alternate Director Mac Laren
Nays: None
Abstain: Alternate Director Bettencourt
Absent: None

CC 2 FINANCIAL REPORT FOR MARCH 2025

On a motion by Vice Chair Knippel and seconded by Director Royal, the Board of Directors approved item number CC 2 as comprised by the following vote:

Vote: Motion carried (6-0-0-0)
Yeas: Chairman Crist, Vice Chair Knippel, Directors Malhi, Royal, Alternate Directors Bettencourt and Mac Laren
Nays: None
Abstain: None
Absent: None

CC 3 FISCAL YEAR 2024/2025 (FY 2025) THIRD QUARTER LOS ANGELES COUNTY SHERIFF'S DEPARTMENT (LASD) REPORT (JANUARY 1 – MARCH 31, 2025)

Alternate Director Bettencourt stated that she needs to recuse herself since she works for the sheriff's department.

On a motion by Director Royal and seconded by Vice Chair Knippel, the Board of Directors approved item number CC 3 as comprised by the following vote:

Vote: Motion carried (5-0-1-0)
Yeas: Chairman Crist, Vice Chair Knippel, Directors Malhi, Royal, Alternate Director Mac Laren
Nays: None
Abstain: Alternate Director Bettencourt
Absent: None

NEW BUSINESS (NB):

NB 1 ELECTION OF BOARD OFFICERS FOR FISCAL YEAR 2025/2026 (FY 2026)

On a motion by Director Royal and seconded by Director Malhi, the Board of Directors nominated and elected Marvin Crist as Chairman and Dianne Knippel as Vice Chair for FY 2026.

Vote: Motion carried (6-0-0-0)
Yeas: Chairman Crist, Vice Chair Knippel, Directors Malhi, Royal, Alternate Directors Bettencourt and Mac Laren
Nays: None
Abstain: None
Absent: None

NB 3 AMENDMENT NO. 3 TO CONTRACT #2020-20 WITH AV TRANSPORTATION SERVICES, INC.

Executive Director/CEO Martin Tompkins presented the staff report and thanked MV Transportation Inc. and AV Transportation Services for being great partners. Chairman Crist asked about the effects of reducing service hours and trips. Mr. Tompkins responded that it could impact ridership, and that he would have a better recommendation in 12 to 18 months after a thorough service review.

On a motion by Vice Chair Knippel and seconded by Director Malhi, the Board of Directors authorized the Executive Director/CEO or designee to execute Amendment No. 3 to Contract #2020-20 with AV Transportation Services, Inc. (AVTS) exercising the two one-year options at an annual rate increase for FY 2026 and FY 2027 for Dial-A-Ride and On-Request Microtransit services.

Vote: Motion carried (6-0-0-0)
Yeas: Chairman Crist, Vice Chair Knippel, Directors Malhi, Royal, Alternate Directors Bettencourt and Mac Laren
Nays: None
Abstain: None
Absent: None

NB 4 FY 2026 PRELIMINARY BUDGET ASSUMPTIONS

Ms. Vaccaro-Fry presented the staff report, adding that decreased revenues, increased expenses, specifically purchased transportation costs, and the loss of toll credit are contributing factors to using funds from our reserve account. Capital contributions will remain consistent at FY 2025 levels since the required number and types of buses may be reduced if service is reduced, and no buses are due for replacement until FY 2028.

Chairman Crist requested that Mr. Tompkins send a letter to the jurisdictions notifying them that their jurisdiction contributions would increase significantly, thereby alleviating the need to use reserve funds. Vice Chair Knippel and Alternate Director Bettencourt concurred with Chairman Crist's recommendation to increase the jurisdictional shares as soon as possible. Chairman Crist stated that the alternative direction is to send a request to the jurisdictions for new jurisdictional shares.

On a motion by Vice Chair Knippel and seconded by Alternate Director Bettencourt, the Board of Directors approved providing an alternative plan to support the $9 million cost issue for each jurisdiction as part of the budget plan presented in NB 4.

Vote: Motion carried (6-0-0-0)
Yeas: Chairman Crist, Vice Chair Knippel, Directors Malhi, Royal, Alternate Directors Bettencourt and Mac Laren
Nays: None
Abstain: None
Absent: None

REPORTS AND ANNOUNCEMENTS (RA):

RA 1 REPORT BY THE EXECUTIVE DIRECTOR/CEO

There were no reports or announcements.

MISCELLANEOUS BUSINESS – NON-AGENDA BOARD OF DIRECTORS ITEMS:

No miscellaneous business items were presented.

ADJOURNMENT:

Chairman Crist adjourned the meeting at 11:15 a.m. to the Regular Meeting of the Board of Directors on May 27, 2025, at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6th Street West, Lancaster, CA.

PASSED, APPROVED, and ADOPTED this 27th day of MAY 2025.

_____
Marvin Crist, Chairman of the Board

ATTEST:

_____
DeeAnna Cason, Executive Assistant

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

DATE: **May 27, 2025**

TO: **BOARD OF DIRECTORS**

SUBJECT: **FINANCIAL REPORT FOR APRIL 2025 AND FISCAL YEAR (FY) 2024/2025 THIRD QUARTER TREASURER'S REPORT**

RECOMMENDATION

Receive and file the Financial Report for April 2025 and FY 2025 Third-Quarter Treasurer's Report, including Capital Reserve and Farebox Recovery information.

FISCAL IMPACT

	APRIL 2025
PAYROLL	$367,402.08
CASH DISBURSEMENTS	$5,384,889.89

FY 2025 Farebox Recovery Ratio

	Q1	**Q2**	**Q3**
Directly Generated Revenue	$882,140.15	$1,067,524,.67	$1,753,513.53
Operating Expenses	$8,832,122.00	$10,362,572.70	$10,833,945.67
Farebox Recovery Ratio	10%	10%	17%

Notes: Revenue includes Farebox, Advertisements and Gain on Sale, LCFS Credits and Investment Income.

BACKGROUND

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

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

Prepared by:	Submitted by:
_____	_____
Vianney Mclaughlin	Martin J. Tompkins
Sr. Finance Manager	Executive Director/CEO

Attachment: A – Third Quarter Treasurer's Report

ANTELOPE VALLEY TRANSIT AUTHORITY
Treasurer's Report
For the quarter ended March 31, 2025

Investment Type	Description	Beginning Balance 12/31/2024	Deposits & Transfers	Disbursements & Transfers	Interest	Ending Balance 03/31/2025
Cash and Investments Under the Direction of the Treasurer						
Local Agency Investment Fund (LAIF) - Cap & Op Reserve		$ 6,420,089.87			$ 70,748.68	$ 6,490,838.55
Mission Bank- Reserve Investments		$ 27,156,084.38	$ 7,500,000.00	$ 4,000,000.00	$ 305,487.93	$ 30,961,572.31
Mission Bank- Benefit Investments		$ 2,159,305.92			$ 22,706.67	$ 2,182,012.59
Mission Bank-Capital Reserve		$ 612,070.43	$ 244,336.08		$ 813.47	$ 857,219.98
Total Capital & Op. Reserves and Restricted Funds		**$ 36,347,550.60**	**$ 7,744,336.08**	**$ 4,000,000.00**	**$ 399,756.75**	**$ 40,491,643.43**
General Account- Mission Bank		$ 2,611,538.70	$ 19,319,853.75	$ 18,843,178.67	$ 11,328.89	$ 3,099,542.67
Stuff-a-Bus *		$ 3,539.79	$ 2,500.00	$ 5,190.32		$ 849.47
Petty Cash Balance		$ 750.00				$ 750.00
Operating Accounts Total		**$ 2,615,828.49**	**$ 19,322,353.75**	**$ 18,848,368.99**	**$ 11,328.89**	**$ 3,101,142.14**
TOTAL CASH AND INVESTMENTS		**$ 38,963,379.09**	**$ 27,066,689.83**	**$ 22,848,368.99**	**$ 411,085.64**	**$ 43,592,785.57**

I hereby certify that the investment portfolio of AVTA complies with its investment policy and the California Government Code Sections pertaining to the investment of local agency funds, Mission Bank. Pending any future actions by the AVTA Board or any and unforeseen occurrences, AVTA has cash flow adequate to meet its expenditure requirements for the next three months.

Prepared by:

Vianney Mclaughlin
Sr. Finance Manager

Submitted by:

Judy Vaccaro-Fry
Chief Finance Officer

DATE: **May 27, 2025**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Local Agency Investment Fund (LAIF) Investments for Fiscal Year 2025/2026 (FY 2026)**

RECOMMENDATION:

Adopt Resolution 2025-001 (Attachment A), a Resolution appointing the Executive Director/CEO as Treasurer and the Chief Financial Officer as Controller; authorizing investment of monies in the LAIF for FY 2026 (July 1, 2025, through June 30, 2026) to the Treasurer; adopting a policy for the investment of surplus transit funds for FY 2026; and rescinding Resolution No. 2024-001.

FISCAL IMPACT:

The proposed changes are administrative in nature and therefore have no financial impact.

BACKGROUND:

Prior to the commencement of each fiscal year, the Board of Directors authorizes the deposit and withdrawal of the Authority's Local Agency Investment Fund (LAIF) investments in the State Treasury in accordance with the provisions of Government Code Section 16429. The Investment Policy Statement for FY 2026 (Attachment A.1) fulfills the California Government Code Section 53646 requirement that each legislative body review and adopt an Investment Policy Statement on an annual basis.

The bulk of general banking is done with Mission Bank, in addition to one investment money market account: limited by law to an overall percentage of Authority's cash balances. All other available cash funds, including the operating and capital reserves, are invested in the Authority's LAIF investment account, in accordance with the Investment Policy Statement.

The Procedure (Attachment B) establishes the steps necessary to use the LAIF for investment purposes, to reconcile monthly activity to the general ledger, and to reconcile cash on the books with the cash in LAIF.

On an annual basis, the LAIF administration requests each member agency update their deposit/withdrawal authorization list. The purpose of the update is to ensure only duly authorized persons have access to the Authority's LAIF investments.

Prepared by:	Submitted by:
_____	_____
Judy Vaccaro-Fry	Martin J. Tompkins
Chief Financial Officer	Executive Director/CEO

Attachments: A – Resolution No. 2025-001
A.1 – Investment Policy Statement
(Exhibit A to Resolution No. 2025-001)
B – LAIF Procedures

RESOLUTION NO. 2025-001

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY APPOINTING THE EXECUTIVE DIRECTOR/CEO AS TREASURER AND THE CHIEF FINANCIAL OFFICER AS CONTROLLER, AUTHORIZING INVESTMENT OF MONIES IN THE LOCAL AGENCY INVESTMENT FUND (LAIF) FOR FISCAL YEAR 2025/2026 (FY 2026) TO THE TREASURER, ADOPTING A POLICY FOR THE INVESTMENT OF SURPLUS TRANSIT FUNDS FOR FY 2025, AND RESCINDING RESOLUTION NO. 2024-001

WHEREAS, pursuant to the Joint Exercise of Powers Agreement between the County of Los Angeles, the City of Palmdale and the City of Lancaster, the Antelope Valley Transit Authority (AVTA) is authorized under Section 6(i) to invest money that is not needed for immediate use, as the Board determines advisable, in the same manner and upon the same conditions as other local agencies in accordance with Section 53601 of the Government Code; and

WHEREAS, pursuant to Government Code Section 6505.6, AVTA may appoint one of its officers or employees to either or both of the positions of Treasurer or of Controller, and such person or persons shall comply with the duties and responsibilities of the office or offices as set forth in subdivisions (a) to (d), inclusive, of Government Code Section 6505.5; and

WHEREAS, pursuant to Government Code Section 53607, the Board of Directors of AVTA may delegate its investment authority to the Treasurer for a one-year period; and

WHEREAS, pursuant to Government Code Section 53646, the Board of Directors of AVTA have publicly considered a proposed annual statement of investment policy and desires to adopt that policy to guide the investments of the Treasurer; and

WHEREAS, the Local Agency Investment Fund is established in the State Treasury under Government Code section 16429.1 et. seq. for the deposit of money of a local agency for purposes of investment by the State Treasurer; and

WHEREAS, the Board of Directors hereby finds that the deposit and withdrawal of money in the Local Agency Investment Fund in accordance with Government Code section 16429.1 et. seq. for the purpose of investment as provided therein is in the best interests of the Antelope Valley Transit Authority.

NOW THEREFORE, BE IT RESOLVED, that the Board of Directors hereby authorizes the deposit and withdrawal of Antelope Valley Transit Authority monies in the Local Agency Investment Fund in the State Treasury in accordance with Government Code section 16429.1 et. seq. for the purpose of investment as provided therein.

BE IT FURTHER RESOLVED, DECLARED, DETERMINED AND ORDERED as follows:

Section 1. As authorized by Government Code Section 6505.6, the Board of Directors appoints the Executive Director/CEO as Treasurer and appoints the Chief Financial Officer as the Controller.

Section 2. As authorized by Government Code Section 53607, the Board of Directors delegates its investment authority to the Treasurer for FY 2026, who shall thereafter assume full responsibility for those investment transactions until the delegation of authority is revoked or expires, and shall make a quarterly report of those transactions, in accordance with Government Code Section 53646, to the Board of Directors.

Section 3. The following Antelope Valley Transit Authority officers holding the title(s) specified herein below **or their successors in office** are each hereby authorized to order the deposit or withdrawal of monies in the Local Agency Investment Fund and may execute and deliver any and all documents necessary or advisable in order to effectuate the purposes of this resolution and the transactions contemplated hereby:

1. Martin J. Tompkins, Executive Director/CEO (Treasurer)
2. Judy Vaccaro-Fry, Chief Financial Officer (Controller)

Section 4. As required by Government Code Section 53646, the Board of Directors has considered at a public meeting a statement of investment policy, and the Board of Directors hereby adopts that policy, in the form attached as Exhibit "A" to this resolution, to guide the investments of the Treasurer for FY 2026.

Section 5. Resolution No. 2024-001 is rescinded in its entirety.

Section 6. This resolution shall remain in full force and effect until rescinded by Board of Directors by resolution and a copy of the resolution rescinding this resolution is filed with the State Treasurer's Office.

Section 7. The Secretary of the Board shall certify to the adoption of this resolution.

PASSED, APPROVED AND ADOPTED, by the Board of Directors of the Antelope Valley Transit Authority; County of Los Angeles of the State of California on May 27, 2025, by the following vote:

AYES: _____

NAYS: _____

ABSTAIN: _____ ABSENT: _____

_____
Marvin Crist, Chairman

ATTEST:

APPROVED AS TO FORM:

_____
DeeAnna Cason
Executive Assistant

_____
Allison E. Burns
General Counsel

CERTIFICATION OF RESOLUTION
BOARD OF DIRECTORS

I, DeeAnna Cason, Executive Assistant of the Antelope Valley Transit Authority, do hereby certify that this is a true and correct copy of the original Resolution No. 2025-001, for which the original is on file in my office.

WITNESS MY HAND on this 27th day of May 2025.

_____
DeeAnna Cason, Executive Assistant

Exhibit A

Antelope Valley Transit Authority	**Local Agency Investment Fund (LAIF) Policy Statement**
	Revised Policy Effective Date: 7/1/2025 – 6/30/2026
	Approved by: Board of Directors: May 27, 2025

1. POLICY

It is the policy of AVTA to invest public funds in a manner which will provide maximum security with the highest investment return while meeting the daily cash flow demands of AVTA and conforming to all state and local statutes governing the investment of public funds.

2. SCOPE

This investment policy applies to the cash funds of AVTA, except for its employee's retirement system fund, which is administered separately by the California Public Employees' Retirement System ("CalPERS") and financial assets governed by bond indentures or bond resolutions.

These funds include Operating and Capital Funds.

3. OBJECTIVE

Investable funds shall be invested to the maximum extent feasible. The primary goal of the investment program is to maintain safety and liquidity of principal and interest while maximizing returns, minimizing risks and ensuring that funds are available to meet anticipated cash flow requirements.

In the investment of its funds, AVTA will be guided by the following principles in order of importance:

3(A) the primary objective is to safeguard investment principal.

- Safety

Safety and the minimizing of risk associated with investing refer to attempts to reduce the potential for loss of principal, interest or a combination of the two. The first level of risk control is found in state law which restricts the particular type of investments permissible to governmental entities. The second level of risk control is reduction of default risk by investing in instruments that appear upon examination to be the most credit worthy. The third level of risk control is reduction of market risk by investing in instruments that have maturities coinciding with planned dates of disbursement, thereby eliminating risk of loss from a forced sale.

3(B) the secondary objective is to maintain sufficient liquidity to ensure that funds are available to meet daily cash flow requirements.

- Liquidity

Liquidity refers to the ability to easily sell at any time with a minimal risk of losing some portion of principal or interest. Liquidity is an important quality for an investment to have, for at any time AVTA may have unexpected or unusual circumstances that result in larger disbursements than expected, and some investments may need to be sold to meet the contingency. The AVTA's investment portfolio shall remain sufficiently liquid to enable the AVTA to meet all operating requirements, which might be reasonably anticipated. Most investments of AVTA are highly liquid.

3(C) the third and last consideration is to achieve a reasonable rate of return or yield consistent with these objectives.

- Yield

Yield is the potential dollar earnings an investment can provide and also is sometimes described as the rate of return. AVTA attempts to obtain the highest yield possible when selecting an investment, provided that the criteria stated in the Investment Policy for safety and liquidity are met. AVTA's investment portfolio shall be designed with the objective of achieving a return on the funds under its control throughout budgetary and economic cycles, taking into account the AVTA's investment risk constraints and the cash flow characteristics of the portfolio.

4. DELEGATION OF AUTHORITY

The Board of Directors of the AVTA holds the authority to invest or reinvest funds of the AVTA or to sell or exchange securities so purchased. Pursuant to the California Government Code Section 53607, the Board of Directors may delegate this authority on a yearly basis to the Executive Director/CEO, as the Treasurer of AVTA, who shall thereafter assume full responsibility for those transactions until the delegation of authority is revoked or expires.

The Chief Financial Officer shall serve as the designated Investment Officer of the Authority and is responsible for investment decisions and activities, under the direction of the Executive Director/CEO. In the absence of the Chief Financial Officer, the Executive Director/CEO will designate a temporary Investment Officer.

5. RESPONSIBILITY OF INVESTMENT OFFICERS

Cash management and investment transactions are the responsibility of the Investment Officer. The Investment Officer, acting in accordance with written procedures and exercising due diligence, shall not be held personally responsible for a specific security's credit risk or market price changes,

provided that these deviations are reported immediately and that appropriate action is taken to control adverse developments.

6. INDIVIDUALS AUTHORIZED TO UNDERTAKE INVESTMENT TRANSACTIONS

The following officials are authorized to implement the cash management and investment transactions decisions of the Investment Officer by undertaking investment transactions on behalf of AVTA:

- Executive Director/CEO
- Chief Financial Officer

7. PRUDENCE

AVTA operates its cash investments subject to the "Prudent Investor Standard" which obligates a fiduciary to ensure that:

When investing, reinvesting, purchasing, acquiring, exchanging, selling, or managing public funds, a trustee shall act with care, skill, prudence, and diligence under the circumstances then prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the Agency, that a prudent person acting in the like capacity and familiarity with those matters would use in the conduct of funds of the like character and with like aims, to safeguard the principal and maintain the liquidity needs of the Agency.

Within the limitations of this standard and considering individual investments as part of an overall strategy, investments may be acquired as authorized by law.

8. SAFEKEEPING

The investment securities purchased by the Authority shall be held in safekeeping by designated financial institutions. Accounts are currently housed at the following recognized financial institutions:

- Mission Bank
- California State Investment Pool (Local Agency Investment Fund or "LAIF").

These institutions shall issue safekeeping receipts to the Agency listing the specific instrument, rate, maturity and other pertinent information.

Safekeeping procedures shall be reviewed annually by the independent auditor. The independent auditor shall conduct random audits of safekeeping and custodial systems.

9. ETHICS AND CONFLICTS

Officers and employees who are directly involved in the investment program shall refrain from personal business activity that could conflict with proper execution of the investment program or which could impair the ability to make impartial investment decisions.

10. MONITORING AND ADJUSTING THE PORTFOLIO

The Investment Officer will routinely monitor the contents of the portfolio, the available markets and the relative values of competing instruments, and will adjust the portfolio accordingly**.**

11. INTERNAL CONTROLS

Internal controls shall be reviewed annually by the independent auditor. The Investment Officer shall establish an annual process of independent review by the independent auditor. The controls shall be designed to prevent loss of public funds due to fraud, error, misrepresentation, unanticipated market changes or imprudent actions.

12. INVESTMENT PROCEDURES

The Finance Department is responsible for establishing separate investment procedures which adhere to and implement this Statement of Investment Policy.

13. REPORTING REQUIREMENTS

Under the direction of the Executive Director/CEO, the Investment Officer shall where applicable, generate a monthly report for management purposes which will include, but not be limited to:

- Type of investment
- Institution
- Date of maturity
- Amount of deposit or cost of security
- Rate of interest
- Statement relating the report to the Statement of Investment Policy
- Statement that there are sufficient funds to meet the next 30 days' obligations

14. SHORT-TERM VERSUS LONG-TERM PORTFOLIO

All funds invested for one day to six months shall be considered short-term. Funds invested for a period more than six months shall be considered long-term.

15. SHORT-TERM PORTFOLIO DIVERSIFICATION

The Agency will diversify use of investment instruments to avoid incurring unreasonable risk inherent in overinvesting in specific instruments, individual financial institutions or maturities.

Diversification by Instrument:

- U.S. Government Securities, or affiliates
- Small Business Administration Loans
- Bankers' Acceptance
- Commercial Paper
- Negotiable Certificates of Deposits
- Medium Term Notes
- Repurchase Agreements
- Local Agency Investment Fund (LAIF)
- California Asset Management Program (CAMP)
- California Local Agency Securities System (CLASS)

16. MATURITY SCHEDULING:

Investment maturities of operating funds shall be scheduled to coincide with projected cash flow needs, taking into account large routine expenditures (e.g. payroll, contractor's payments, lease payments, etc.) and considering sizeable blocks of anticipated revenue (e.g. LTF and Federal operating funds).

17. LONG-TERM PORTFOLIO DIVERSIFICATION

Instruments and diversification for the long-term portfolio shall be the same type as for the short-term portfolio, but with longer investment periods (over six months).

Maturity scheduling shall be timed according to anticipated needs.

18. AUTHORIZED INVESTMENTS (G.C. 53601)

The average maturity of AVTA's investments should not exceed two-and-one-half years, with no single investment being made for over five years, except with legislative approval as authorized under Section 53601 of the California Government Code. At no time should current cash flow requirements be jeopardized.

AVTA may invest in the following legal investments as defined in Section 53601 of the California Government Code: 53601. This section shall apply to a local agency that is a city, a district, or other local agency that does not pool money in deposits or investments with other local agencies, other than local agencies that have the same governing body. However, Section 53635 shall apply to all local agencies that pool money in deposits or investments with other local agencies that have separate governing bodies. The legislative body of a local

agency having money in a sinking fund or money in its treasury not required for the immediate needs of the local agency may invest any portion of the money that it deems wise or expedient in those investments set forth below. A local agency purchasing or obtaining any securities prescribed in this section, in a negotiable, bearer, registered, or nonregistered format, shall require delivery of the securities to the local agency, including those purchased for the agency by financial advisers, consultants, or managers using the agency's funds, by book entry, physical delivery, or by third-party custodial agreement. The transfer of securities to the counterparty bank's customer book entry account may be used for book entry delivery. For purposes of this section, "counterparty" means the other party to the transaction. A counterparty bank's trust department or separate safekeeping department may be used for the physical delivery of the security if the security is held in the name of the local agency. Where this section specifies a percentage limitation for a particular category of investment, that percentage is applicable only at the date of purchase. Where this section does not specify a limitation on the term or remaining maturity at the time of the investment, no investment shall be made in any security, other than a security underlying a repurchase or reverse repurchase agreement or securities lending agreement authorized by this section, that at the time of the investment has a term remaining to maturity in excess of five years, unless the legislative body has granted express authority to make that investment either specifically or as a part of an investment program approved by the legislative body no less than three months prior to the investment:

(a) Bonds issued by the local agency, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agency or by a department, board, agency, or authority of the local agency.

(b) United States Treasury notes, bonds, bills, or certificates of indebtedness, or those for which the faith and credit of the United States are pledged for the payment of principal and interest.

(c) Registered state warrants or treasury notes or bonds of this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the state or by a department, board, agency, or authority of the state.

(d) Bonds, notes, warrants, or other evidences of indebtedness of any local agency within this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agency, or by a department, board, agency, or authority of the local agency.

(e) Federal agency or United States government-sponsored enterprise obligations, participations, or other instruments, including those issued by or fully guaranteed as to principal and interest by federal agencies or United States government-sponsored enterprises.

(f) Bankers' acceptances, otherwise known as bills of exchange or time drafts that are drawn on and accepted by a commercial bank. Purchases of banker's acceptances may not exceed 180 days' maturity or 40 percent of the Authority's money that may be invested pursuant to this section. However, no more than 30 percent of the Authority's money may be invested in the banker's acceptances of any one commercial bank pursuant to this section.

This subdivision does not preclude a municipal utility district from investing any money in its treasury in any manner authorized by the Municipal Utility District Act (Division 6 (commencing with Section 11501) of the Public Utilities Code).

(g) Commercial paper of "prime" quality of the highest ranking or of the highest letter and number rating as provided for by a nationally recognized statistical-rating organization (NRSRO). The entity that issues the commercial paper shall meet all of the following conditions in either paragraph (1) or paragraph (2):

(1) The entity meets the following criteria:

(A) Is organized and operating in the United States as a general corporation.
(B) Has total assets in excess of five hundred million dollars ($500,000,000).
(C) Has debt other than commercial paper, if any, that is rated "A" or higher by a nationally recognized statistical-rating organization (NRSRO).

(2) The entity meets the following criteria:

(A) Is organized within the United States as a special purpose corporation, trust, or limited liability company.
(B) Has program wide credit enhancements including, but not limited to, over collateralization, letters of credit, or surety bond.
(C) Has commercial paper that is rated "A-1" or higher, or the equivalent, by a nationally recognized statistical-rating organization (NRSRO).

Eligible commercial paper shall have a maximum maturity of 270 days or less. Local agencies, other than counties or a city and county, may invest no more than 25 percent of their money in eligible commercial paper. Local agencies, other than counties or a city and county, may purchase no more than 10 percent of the outstanding commercial paper of any single issuer. Counties or a city and county may invest in commercial paper pursuant to the concentration limits in subdivision (a) of Section 53635.

(h) Negotiable certificates of deposit issued by a nationally or state-chartered bank, a savings association or a federal association (as defined by Section 5102 of the Financial Code), a state or federal credit union, or by a state-licensed branch of a foreign bank. Purchases of negotiable certificates of deposit may not exceed 30 percent of the agency's money which may be invested pursuant to this section. For purposes of this section, negotiable certificates of deposit do not come within Article 2 (commencing with Section 53630), except that the amount so invested shall be subject to the limitations of Section 53638. The legislative body of a local agency and the treasurer or other official of the local agency having legal custody of the money are prohibited from investing local agency funds, or funds in the custody of the local agency, in negotiable certificates of deposit issued by a state or federal credit union if a member of the legislative body of the local agency, or any person with investment decision-making authority in the budget office, Chief Financial Officer's office, or Treasurer's office of the local agency also serves on the Board of Directors, or any committee appointed by the Board of Directors, or the credit committee or the supervisory committee of the state or federal credit union issuing the negotiable certificates of deposit.

(i) (1) Investments in repurchase agreements or reverse repurchase agreements or securities lending agreements of any securities authorized by this section, as long as the agreements are subject to this subdivision, including the delivery requirements specified in this section.

(2) Investments in repurchase agreements may be made, on any investment authorized in this section, when the term of the agreement does not exceed one year. The market value of securities that underlay a repurchase agreement shall be valued at 102 percent or greater of the funds borrowed against those securities and the value shall be adjusted no less than quarterly. Since the market value of the underlying securities is subject to daily market fluctuations, the investments in repurchase agreements shall be in compliance if the value of the underlying securities is brought back up to 102 percent no later than the next business day.

(3) Reverse repurchase agreements or securities lending agreements may be utilized only when all of the following conditions are met:

(A) The security to be sold on reverse repurchase agreement or securities lending agreement has been owned and fully paid for by the local agency for a minimum of 30 days prior to sale.

(B) The total of all reverse repurchase agreements and securities lending agreements on investments owned by the local agency does not exceed 20 percent of the base value of the portfolio.

(C) The agreement does not exceed a term of 92 days, unless the

agreement includes a written codicil guaranteeing a minimum earning or spread for the entire period between the sale of a security using a reverse repurchase agreement or securities lending agreement and the final maturity date of the same security.

(D) Funds obtained or funds within the pool of an equivalent amount to that obtained from selling a security to a counterparty by way of a reverse repurchase agreement or securities lending agreement shall not be used to purchase another security with a maturity longer than 92 days from the initial settlement date of the reverse repurchase agreement or securities lending agreement, unless the reverse repurchase agreement or securities lending agreement includes a written codicil guaranteeing a minimum earning or spread for the entire period between the sale of a security using a reverse repurchase agreement or securities lending agreement and the final maturity date of the same security.

(4) (A) Investments in reverse repurchase agreements, securities lending agreements, or similar investments in which the local agency sells securities prior to purchase with a simultaneous agreement to repurchase the security may only be made upon prior approval of the governing body of the local agency and shall only be made with primary dealers of the Federal Reserve Bank of New York or with a nationally or state-chartered bank that has or has had a significant banking relationship with a local agency.

(B) For purposes of this chapter, "significant banking relationship" means any of the following activities of a bank:

(i) Involvement in the creation, sale, purchase, or retirement of a local agency's bonds, warrants, notes, or other evidence of indebtedness.
(ii) Financing of a local agency's activities.
(iii) Acceptance of a local agency's securities or funds as deposits.

(5) (A) "Repurchase agreement" means a purchase of securities by the local agency pursuant to an agreement by which the counterparty seller will repurchase the securities on or before a specified date and for a specified amount and the counterparty will deliver the underlying securities to the local agency by book entry, physical delivery, or by third-party custodial agreement. The transfer of underlying securities to the counterparty bank's customer book-entry account may be used for book-entry delivery.

(B) "Securities," for purpose of repurchase under this subdivision, means securities of the same issuer, description, issue date, and maturity.

(C) "Reverse repurchase agreement" means a sale of securities by the local agency pursuant to an agreement by which the local agency will repurchase the securities on or before a specified date and includes other comparable agreements.

(D) "Securities lending agreement" means an agreement under which a local agency agrees to transfer securities to a borrower who, in turn, agrees to provide collateral to the local agency. During the term of the agreement, both the securities and the collateral are held by a third party. At the conclusion of the agreement, the securities are transferred back to the local agency in return for the collateral.

(E) For purposes of this section, the base value of the local agency's pool portfolio shall be that dollar amount obtained by totaling all cash balances placed in the pool by all pool participants, excluding any amounts obtained through selling securities by way of reverse repurchase agreements, securities lending agreements, or other similar borrowing methods.

(F) For purposes of this section, the spread is the difference between the cost of funds obtained using the reverse repurchase agreement and the earnings obtained on the reinvestment of the funds.

(j) Medium-term notes, defined as all corporate and depository institution debt securities with a maximum remaining maturity of five years or less, issued by corporations organized and operating within the United States or by depository institutions licensed by the United States or any state and operating within the United States. Notes eligible for investment under this subdivision shall be rated "A" or better by a nationally recognized rating service. Purchases of medium-term notes shall not include other instruments authorized by this section and may not exceed 30 percent of the agency's money that may be invested pursuant to this section.

(k) (1) Shares of beneficial interest issued by diversified management companies that invest in the securities and obligations as authorized by subdivisions (a) to (j), inclusive, or subdivisions (m) or (n) and that comply with the investment restrictions of this article and Article 2 (commencing with Section 53630). However, notwithstanding these restrictions, a counterparty to a reverse repurchase agreement or securities lending agreement is not required to be a primary dealer of the Federal Reserve Bank of New York if the company's board of directors finds that the counterparty presents a minimal risk of

default, and the value of the securities underlying a repurchase agreement or securities lending agreement may be 100 percent of the sales price if the securities are marked to market daily.

(2) Shares of beneficial interest issued by diversified management companies that are money market funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. Sec. 80a-1 et seq.).

(3) If investment is in shares issued pursuant to paragraph (1), the company shall have met either of the following criteria:

(A) Attained the highest ranking or the highest letter and numerical rating provided by not less than two nationally recognized statistical rating organizations.

(B) Retained an investment adviser registered or exempt from registration with the Securities and Exchange Commission with not less than five years' experience investing in the securities and obligations authorized by subdivisions (a) to (j), inclusive, or subdivisions (m) or (n) and with assets under management in excess of five hundred million dollars ($500,000,000).

(4) If investment is in shares issued pursuant to paragraph (2), the company shall have met either of the following criteria:

(A) Attained the highest ranking or the highest letter and numerical rating provided by not less than two nationally recognized statistical rating organizations.

(B) Retained an investment adviser registered or exempt from registration with the Securities and Exchange Commission with not less than five years' experience managing money market mutual funds with assets under management in excess of five hundred million dollars ($500,000,000).

(5) The purchase price of shares of beneficial interest purchased pursuant to this subdivision shall not include any commission that the companies may charge and shall not exceed 20 percent of the agency's money that may be invested pursuant to this section. However, no more than 10 percent of the agency's funds may be invested in shares of beneficial interest of any one mutual fund pursuant to paragraph (1).

(l) Moneys held by a trustee or fiscal agent and pledged to the payment or security of bonds or other indebtedness, or obligations under a lease, installment sale, or other agreement of a local agency, or certificates of participation in those bonds, indebtedness, or lease installment sale, or other agreements, may be invested in accordance with the statutory

provisions governing the issuance of those bonds, indebtedness, or lease installment sale, or other agreement, or to the extent not inconsistent therewith or if there are no specific statutory provisions, in accordance with the ordinance, resolution, indenture, or agreement of the local agency providing for the issuance.

(m) Notes, bonds, or other obligations that are at all times secured by a valid first priority security interest in securities of the types listed by Section 53651 as eligible securities for the purpose of securing local agency deposits having a market value at least equal to that required by Section 53652 for the purpose of securing local agency deposits. The securities serving as collateral shall be placed by delivery or book entry into the custody of a trust company or the trust department of a bank that is not affiliated with the issuer of the secured obligation, and the security interest shall be perfected in accordance with the requirements of the Uniform Commercial Code or federal regulations applicable to the types of securities in which the security interest is granted.

(n) Any mortgage pass-through security, collateralized mortgage obligation, mortgage-backed or other pay-through bond, equipment lease-backed certificate, consumer receivable pass-through certificate, or consumer receivable-backed bond of a maximum of five years' maturity. Securities eligible for investment under this subdivision shall be issued by an issuer having an "A" or higher rating for the issuer's debt as provided by a nationally recognized rating service and rated in a rating category of "AA" or its equivalent or better by a nationally recognized rating service. Purchase of securities authorized by this subdivision may not exceed 20 percent of the agency's surplus money that may be invested pursuant to this section.

53601.1. The authority of a local agency to invest funds pursuant to Section 53601 includes, in addition thereto, authority to invest in financial futures or financial option contracts in any of the investment categories enumerated in that section.

53601.5. The purchase by a local agency of any investment authorized pursuant to Section 53601 or 53601.1, not purchased directly from the issuer, shall be purchased either from an institution licensed by the state as a broker-dealer, as defined in Section 25004 of the Corporations Code, or from a member of a federally regulated securities exchange, from a national or state-chartered bank, from a savings association or federal association (as defined by Section 5102 of the Financial Code) or from a brokerage firm designated as a primary government dealer by the Federal Reserve bank.

53601.6. (a) A local agency shall not invest any funds pursuant to this article or pursuant to Article 2 (commencing with Section 53630) in inverse floaters, range notes, or mortgage-derived, interest-only strips.

(b) A local agency shall not invest any funds pursuant to this article or pursuant to Article 2 (commencing with Section 53630) in any security

that could result in zero interest accrual if held to maturity. However, a local agency may hold prohibited instruments until their maturity dates. The limitation in this subdivision shall not apply to local agency investments in shares of beneficial interest issued by diversified management companies registered under the Investment Company Act of 1940 (15 U.S.C. Sec. 80a-1 et seq.) that are authorized for investment pursuant to subdivision (k) of Section 53601.

19. DESIGNATED AUTHORIZED INVESTMENTS

The listing shall be formally designated by AVTA and only investments from this designated list will be authorized.

California State Investment Pool (Local Agency Investment Fund or LAIF {Government Code Section 16429.1 – 16429.3}).

California Asset Management Program (CAMP {Government Code Section 6502; Section 53630; Section 53601 and/or 53635}).

California Local Agency Securities System (CLASS {Government Code Section 6502; Section 53630; Section 53601 and/or 53635}).

Whenever possible, bids and offers for any investment security shall be taken from a minimum of two security dealers/brokers, banks, and/or savings and loans. Awards shall be made to the highest responsible bidder or best offer.

All securities purchased must be held in safekeeping by AVTA's safekeeping agent, currently Mission Bank. The securities shall not be held by the dealer or broker from whom they are purchased. Confirmations for all investments will be reviewed for conformity with the actual transactions. All financial institutions, whether investment banks, dealers, commercial banks or savings and loan institutions must be licensed by the National Association of Security Dealers (NASD) and be approved by the Treasurer before they receive AVTA funds or are able to conduct business with AVTA. Prior to approval, each financial institution will be physically visited by the Treasurer and/or his/her designee to meet with the principals of the firm and to inspect their offices for stability and financial capabilities. Further, these visitations will continue periodically, preferably annually, on an ongoing basis to ensure eligibility (due diligence). All firms with whom AVTA does business will have a strong capital base and be deemed creditworthy before conducting business with such firms. The Treasurer or his/her designee will prescribe minimum standards by which these firms can be judged creditworthy.

Generally, losses are acceptable on a sale of securities prior to maturity and should be taken if (a) the sale proceeds will enhance the overall yield over the life of the new security, or (b) there is a potential imminent risk of principal due to a change in the creditworthiness of the issuer or other factors jeopardizing the propriety or safety and liquidity of public funds.

Where possible, AVTA investments shall be placed, confirmed, held, accounted for, and/or audited by different people.

The Chief Financial Officer/Investment Officer shall be individually responsible for a monthly review of the investment function. This review will consist of:

- Comparison of the investment records to the independent statements and confirmation notices received from brokers, dealers, banks and other financial institutions.
- Review of the contents of the investment portfolio to assure that it conforms to the provisions of this Statement of Investment Policy and the laws of the State of California.
- Review of the financial institutions with whom investments have been made to ensure that they have been approved by the Treasurer.

Antelope Valley Transit Authority	**Local Agency Investment Fund (LAIF) Procedures**
	Revised Policy Effective Date: 7/1/2025 – 6/30/2026
	Approved by: Board of Directors: May 27, 2025

PURPOSE

This procedure establishes the steps to use the Local Agency Investment Fund for investment purposes, to reconcile monthly activity to the General Ledger and to verify cash on the books with the cash invested with California State Investment Pool (Local Agency Investment Fund or "LAIF").

BACKGROUND

The Finance Department is responsible for maintaining proper accounting records regarding all AVTA accounts.

AVTA deposits funds with LAIF as an investment instrument.

This procedure provides appropriate documentation relating to the investment of funds in LAIF.

EXECUTIVE DIRECTOR/CEO AND CHIEF FINANCIAL OFFICER

The Executive Director/CEO, Chief Financial Officer, Board Chair, and Board Vice-Chair may approve the investment, withdrawal, or transfer of funds to/from LAIF. Financial institutions will be notified in writing and by phone, and immediately regarding the separation of employees formerly authorized.

In the absence of the Executive Director/CEO, the Chief Financial Officer will approve the investment or withdrawal of funds from LAIF and can make transfers to or from the LAIF account.

Accounting staff prepares a Funds Transfer Memo and provides it to the Chief Financial Officer for completion.

PROCEDURE

The institutions involved in inter-bank transfers are to be notified the day prior to the date of a request of a transfer of funds. The following procedures guarantee same day credit to LAIF or the appropriate AVTA account at Mission Bank.

Funds Transfer from LAIF to Mission Bank

1. The accounting staff prepares a Funds Transfer Memo and gives it to the Chief Financial Officer by 9:30 am.

2. For a LAIF withdrawal, LAIF is notified, and the information is recorded. **THE DEADLINE TO CALL LAIF IS 10:00 AM.**

Funds Transfer from Mission Bank to LAIF

1. The accounting staff prepares a Funds Transfer Memo and gives it to the Chief Financial Officer by 9:30 am.

2. LAIF is contacted at (916) 653-3001 advising them of the deposit and the source account it is coming from. Provide the PIN. AVTA will receive a confirmation number and the daily percentage yield. **THE DEADLINE TO CALL LAIF IS 10:00 AM.**

3. Contact Mission Bank to arrange the transfer to LAIF. The AVTA bank account number, LAIF confirmation number and date of deposit are provided to Mission Bank as part of the transfer process. **THE DEADLINE TO CALL MISSION BANK TO INITIATE A WIRE IS 1:30 PM.**

4. Mission Bank will give a verbal verification of transaction; written notes regarding the verbal verification should be included with the transfer documents to complete the transaction audit process.

Reconciliation

The accounting staff posts deposits and withdrawals to the LAIF Account (10161) and verifies that the LAIF statement and the General Ledger account reconcile properly.

ATTACHMENT: A – Sample LAIF Statement

ATTACHMENT A

MALIA M. COHEN

California State Controller

LOCAL AGENCY INVESTMENT FUND
REMITTANCE ADVICE

Agency Name	ANTELOPE VALLEY TRANS AUTH
Account Number	[redacted]

As of 4/15/2025, your Local Agency Investment Fund account has been directly credited with the interest earned on your deposits for the quarter ending 3/31/2025.

Earnings Ratio		0.00012266258268207
Interest Rate		4.48%
Dollar Day Total	$	576,774,762.58
Quarter End Principal Balance	$	6,420,089.87
Quarterly Interest Earned	$	70,748.68

DATE: **May 27, 2025**

TO: **BOARD OF DIRECTORS**

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

RECOMMENDATIONS:

1. Readopt the updated Public Transportation Agency Safety Plan (PTASP) (Attachment B - Exhibit 1) to comply with the Federal Transit Administration (FTA) bus transit safety plan requirements for FY 2025/2026.
2. Adopt Resolution No. 2025-002 (Attachment B) adopting the updated PTASP for FY 2026.

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 2025 PTASP with administrative changes for FY 2026 (Attachment A). Performance safety targets and management and operational recommendations remain the same for FY 2026 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:

_____
Tisha Lane
Director of Operations and Planning

Submitted by:

_____
Martin J. Tompkins
Executive Director/CEO

Attachments: A – Proposed PTASP Changes for FY 2025/2026
B – Resolution No. 2025-002
Exhibit 1 - Updated PTASP for FY 2025/2026

AVTA PTASP FY 2025-2026 Updates

CC 4 – ATTACHMENT A

PTASP Section	Title	Subsection	Authority/Requirement	Updates
2	PLAN DEVELOPMENT, APPROVAL, AND UPDATES	Accountable Executive (AE)	PTASP Final Rule for PTASP/SMS AE	Changed AE from Esteban Rodriguez, SDOP to Martin Tompkins, Executive Director/CEO throughout Updated PTASP
2	PLAN DEVELOPMENT, APPROVAL, AND UPDATES	Board Approval Process	PTASP Final Rule for PTASP Board Certification	Updated Board information, provided new signatures & inserted a new Board resolution
3	SAFETY PERFORMANCE TARGETS	Target Metrics	PTASP Final Rule for PTASP	Updated charts to reflect FY 2024-2025.Continued current safety performance targets for FY 2025-2026
5	SMS PILLAR I. SAFETY MANAGEMENT POLICY	5c. Authorities, Accountabilities, and responsibilities	PTASP Final Rule for PTASP	Replaced SDOP with PTASP Coordinator and designated position as CSO1
5	SMS PILLAR I. SAFETY MANAGEMENT POLICY	5d. Agency Leadership and Executive Management	PTASP Final Rule for PTASP	Updated personnel and position changes to Leadership and Executive Management.
5	SMS PILLAR I. SAFETY MANAGEMENT POLICY	5e. Other AVTA and Service Contractor Key Staff	PTASP Final Rule for PTASP	Updated positions for other AVTA and Service Contractor Key Staff
7	SMS PILLAR II. SAFETY RISK MANAGEMENT	7i. Addressing Assault on Transit Workers	FTA New PTASP Requirement	General Directive (24-1) to address the significant and continuing national-level safety risk related to assaults on transit workers.
7	SMS PILLAR II. SAFETY RISK MANAGEMENT	7k. SB 533 Workplace Violence Prevention	BIL New PTASP Requirement	Added California Senate Bill (SB) No. 553 (SB 553) requires employers to develop their own comprehensive workplace violence prevention plans (WVPP) as part of their Cal/OSHA Injury and Illness Prevention Plans (IIPP).
15	RECOMMENDED SAFETY ACTIONS FOR FY 2025-2026	SMS Implementation	PTASP Final Rule for SMS Implementation	Updated recommended activities for PTASP & SMS implementation for FY 2025-2026

BOARD OF DIRECTORS

ANTELOPE VALLEY TRANSIT AUTHORITY

RESOLUTION NO. 2025-002

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY READOPTING THE UPDATED PUBLIC TRANSPORTATION AGENCY SAFETY PLAN FOR FISCAL YEAR 2025/2026

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 27th day of May 2025 by the following vote:

AYES: _____

NAYS: _____

ABSTAIN: _____ ABSENT: _____

_____
Marvin Crist, Chairman

ATTEST:

_____
DeeAnna Cason, Executive Assistant

APPROVED AS TO FORM:

_____
Allison E. Burns, General Counsel

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)

FISCAL YEAR 2025-2026

Martin Tompkins
Executive Director/Chief Executive Officer
Antelope Valley Transit Authority

Martin Tompkins
AVTA PTASP Accountable Executive
Executive Director/Chief Executive 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

Updated May 15, 2025
Adopted May 27, 2025

TABLE OF CONTENTS

APPENDICES:

ADOPTED: **May 27, 2025**

LAST REVISED: **May 15, 2025**

AVTA REVIEWER (Accountable Executive): Martin Tompkins, Executive Director/CEO and PTASP Accountable Executive

AVTA BOARD DATE OF APPROVAL: May 27, 2025

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

May 27, 2025

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: Martin Tompkins, Executive Director/CEO

Accountable Executive Contact Information

Martin Tompkins, Executive Director/CEO
42210 6th Street West / Lancaster, CA 93534
661.279.2206
mtompkins@avta.com

AVTA Board of Directors Resolution of Adoption

Letter of Certification on Behalf of AVTA

AVTA Executive Director/Chief Executive Officer

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

Signature: _____ Date: _____

Martin J. Tompkins
Executive Director/CEO and AE
Antelope Valley Transit Authority

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)
FISCAL YEAR 2025-2026

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

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

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

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

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)
FISCAL YEAR 2025-2026 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, Executive Director/CEO
d)	**Name of Chief Safety Officer SMS Accountable Executive:**	Martin Tompkins, Executive Director/CEO
e)	**Mode(s) of Service Covered by This Plan:**	Local fixed route, commuter bus, general public dial-a-ride (DAR), micro transit, & non-emergency medical transportation (NEMT)
f)	**List All FTA Funding Types**:	Sections 5307, 5337 & 5339
g)	**Mode(s) of Service Provided by the Transit Agency Through Contract:**	Local fixed route and commuter bus by one contractor. General public Dial-A-Ride, Microtransit, and Non-emergency medical transportation (NEMT) by a second contractor.

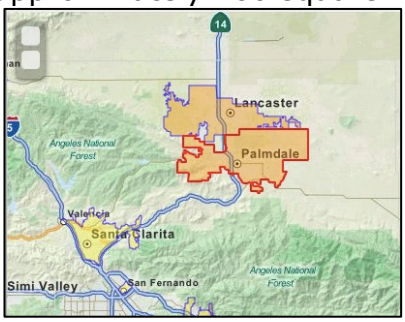

Local Fixed Route


Commuter Bus


DAR, Microtransit, NEMT

1a. Profile of AVTA Transit System

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



AVTA Antelope Valley Service Area

AVTA Local Fixed Route Service Area

AVTA Pilot Microtransit Route Service Area

AVTA operates five (5) modes of transit service:

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

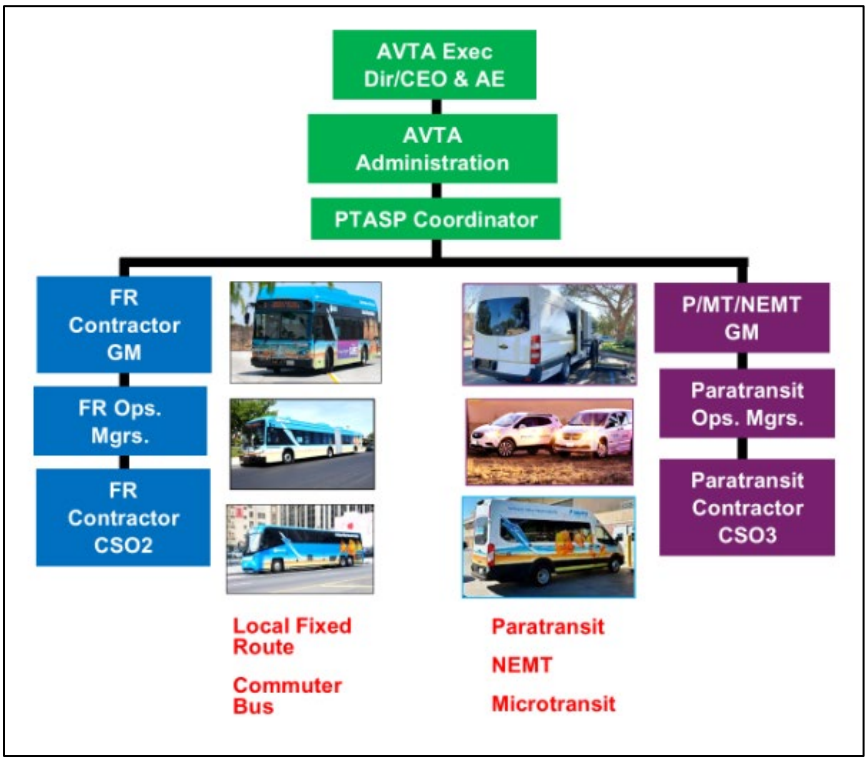


Exhibit 1a-1: Organization Chart of AVTA Contracted Transit Services With Oversight

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

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

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

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

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

Service Hours

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

AVTA Vehicle Fleet

AVTA operates a fleet of 24 commuter-route buses and 78 fixed-route buses, allocated as follows:

- Local fixed route service 78 (100%) – All electric-powered
- Commuter service 24 (100%) – All electric-powered

AVTA has also added Microtransit to its paratransit service and fleet. The On-Request Microtransit Ride Service connects passengers to and from the rural communities of Lake Los Angeles, Pearblossom, Littlerock, and Sun Village with the rest of AVTA's local transit system.

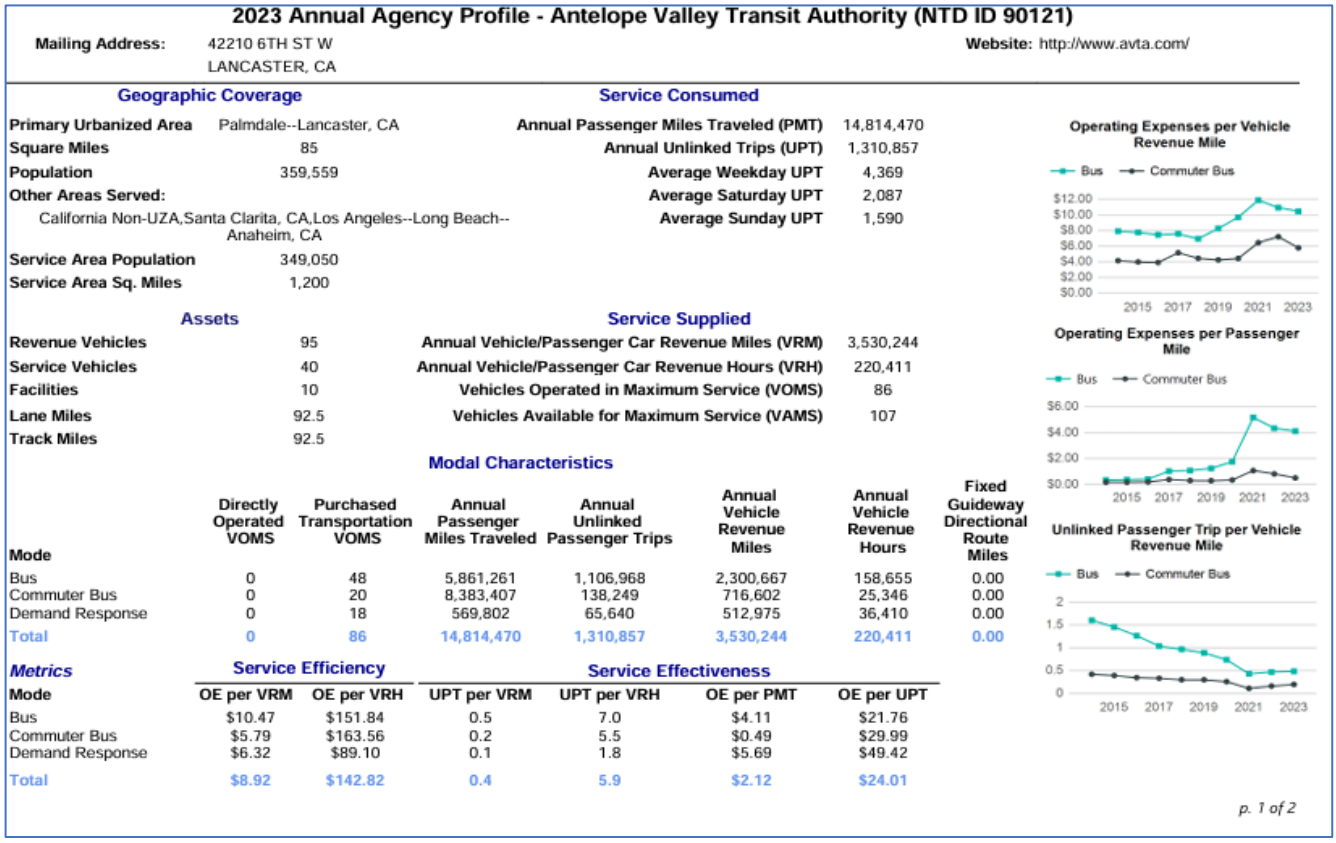
- Dial-A-Ride – ten (10) EV-Vans (100%) – All electric-powered
- Microtransit – nine (9) EV-Vans (100%) – All electric-powered

The Antelope Valley Transit Authority (AVTA) has moved towards a fresh new energy by employing electric vehicles in local fixed-route service. In 2016, the Board of Directors for the Antelope Valley Transit Authority (AVTA) set a goal of becoming the nation's first fully electric fleet, converting all of the agency's aging diesel buses to a 100% battery-electric bus fleet with up to 78 new all-electric buses.

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

1b. AVTA Transit System Operating Performance

The 2023 National Transit Database (NTD) Profile for AVTA indicates the following performance metrics:



2023 Annual Agency Profile - Antelope Valley Transit Authority (NTD ID 90121)

Mailing Address: 42210 6TH ST W, LANCASTER, CA **Website:** http://www.avta.com/

Geographic Coverage

Primary Urbanized Area	Palmdale--Lancaster, CA
Square Miles	85
Population	359,559
Other Areas Served:	California Non-UZA,Santa Clarita, CA,Los Angeles--Long Beach--Anaheim, CA
Service Area Population	349,050
Service Area Sq. Miles	1,200

Service Consumed

Annual Passenger Miles Traveled (PMT)	14,814,470
Annual Unlinked Trips (UPT)	1,310,857
Average Weekday UPT	4,369
Average Saturday UPT	2,087
Average Sunday UPT	1,590

Assets

Revenue Vehicles	95
Service Vehicles	40
Facilities	10
Lane Miles	92.5
Track Miles	92.5

Service Supplied

Annual Vehicle/Passenger Car Revenue Miles (VRM)	3,530,244
Annual Vehicle/Passenger Car Revenue Hours (VRH)	220,411
Vehicles Operated in Maximum Service (VOMS)	86
Vehicles Available for Maximum Service (VAMS)	107

Modal Characteristics

Mode	Directly Operated VOMS	Purchased Transportation VOMS	Annual Passenger Miles Traveled	Annual Unlinked Passenger Trips	Annual Vehicle Revenue Miles	Annual Vehicle Revenue Hours	Fixed Guideway Directional Route Miles
Bus	0	48	5,861,261	1,106,968	2,300,667	158,655	0.00
Commuter Bus	0	20	8,383,407	138,249	716,602	25,346	0.00
Demand Response	0	18	569,802	65,640	512,975	36,410	0.00
Total	0	86	14,814,470	1,310,857	3,530,244	220,411	0.00

Metrics

Mode	Service Efficiency: OE per VRM	Service Efficiency: OE per VRH	Service Effectiveness: UPT per VRM	Service Effectiveness: UPT per VRH	Service Effectiveness: OE per PMT	Service Effectiveness: OE per UPT
Bus	$10.47	$151.84	0.5	7.0	$4.11	$21.76
Commuter Bus	$5.79	$163.56	0.2	5.5	$0.49	$29.99
Demand Response	$6.32	$89.10	0.1	1.8	$5.69	$49.42
Total	$8.92	$142.82	0.4	5.9	$2.12	$24.01

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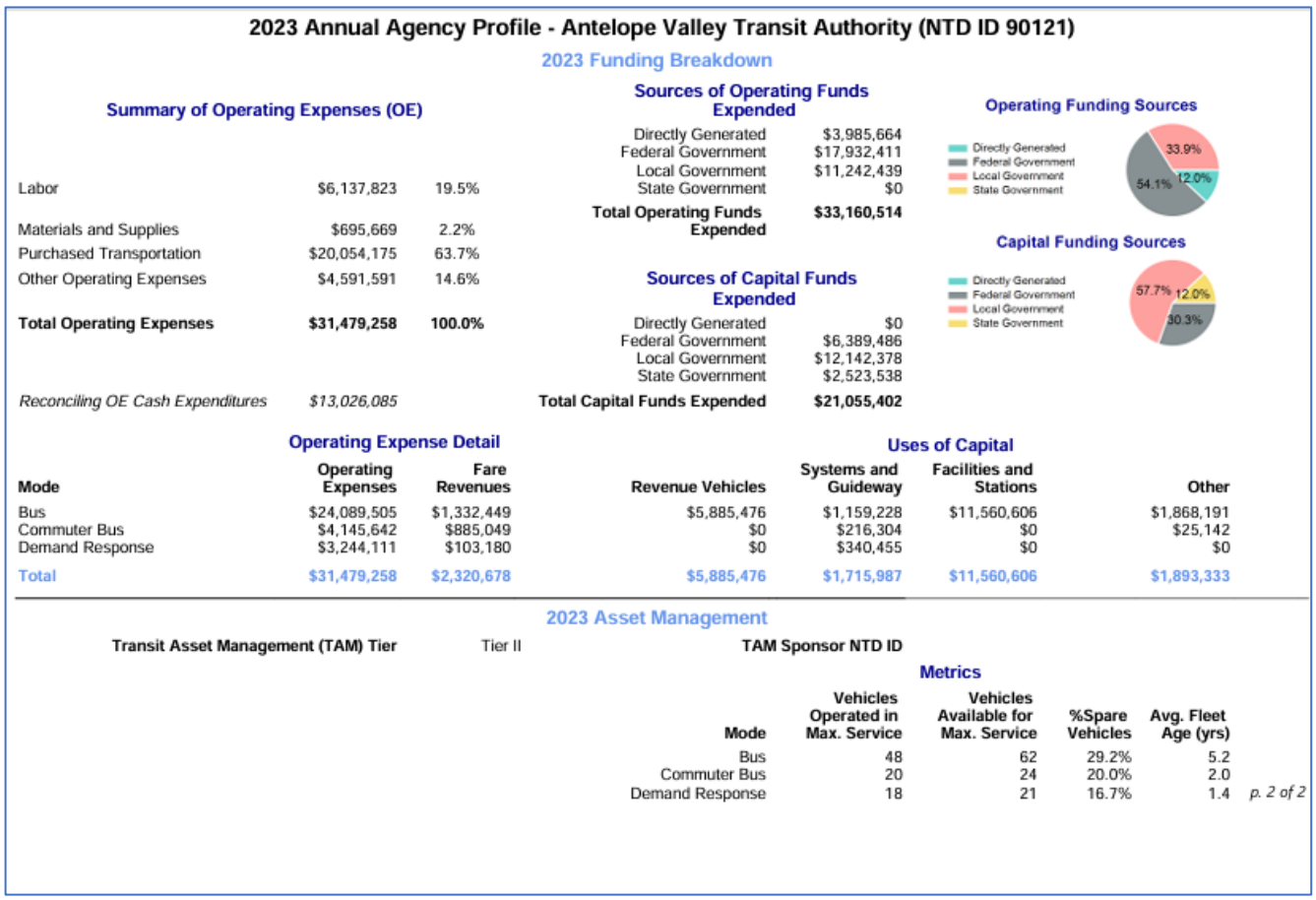
Exhibit S1-1, Page 1/2: NTD 2023 Profile for AVTA



2023 Annual Agency Profile - Antelope Valley Transit Authority (NTD ID 90121)

2023 Funding Breakdown

Summary of Operating Expenses (OE)

Labor	$6,137,823	19.5%
Materials and Supplies	$695,669	2.2%
Purchased Transportation	$20,054,175	63.7%
Other Operating Expenses	$4,591,591	14.6%
Total Operating Expenses	**$31,479,258**	**100.0%**
Reconciling OE Cash Expenditures	*$13,026,085*	

Sources of Operating Funds Expended

Directly Generated	$3,985,664
Federal Government	$17,932,411
Local Government	$11,242,439
State Government	$0
Total Operating Funds Expended	**$33,160,514**

Operating Funding Sources

Sources of Capital Funds Expended

Directly Generated	$0
Federal Government	$6,389,486
Local Government	$12,142,378
State Government	$2,523,538
Total Capital Funds Expended	**$21,055,402**

Capital Funding Sources

Operating Expense Detail

Mode	Operating Expenses	Fare Revenues
Bus	$24,089,505	$1,332,449
Commuter Bus	$4,145,642	$885,049
Demand Response	$3,244,111	$103,180
Total	$31,479,258	$2,320,678

Uses of Capital

Revenue Vehicles	Systems and Guideway	Facilities and Stations	Other
$5,885,476	$1,159,228	$11,560,606	$1,868,191
$0	$216,304	$0	$25,142
$0	$340,455	$0	$0
$5,885,476	$1,715,987	$11,560,606	$1,893,333

2023 Asset Management

Transit Asset Management (TAM) Tier: Tier II

TAM Sponsor NTD ID:

Metrics

Mode	Vehicles Operated in Max. Service	Vehicles Available for Max. Service	%Spare Vehicles	Avg. Fleet Age (yrs)
Bus	48	62	29.2%	5.2
Commuter Bus	20	24	20.0%	2.0
Demand Response	18	21	16.7%	1.4

p. 2 of 2

Exhibit S1-1, Page 2/2: NTD 2023 Profile for AVTA

2022-2023 NTD Profile Average Operating Performance

All Modes	2022	2023
Annual Operating Expense	$33,608,183	$33,265,652
Annual Vehicle Revenue Miles (VRM)	3,530,242	3,247,697
Annual Vehicle Revenue Hours (VRH)	205,428	220,411
Annual Passenger Miles (PMT)	12,175,905	14,814,470
Annual Unlinked Passenger Trips (UPT)	1,174,222	1,310,857
Vehicle Fleet by Mode: Commuter Buses	25	24
DAR Vans & Sedans	18	18
Local Fixed Route Buses	47	47
Total Vehicles	90	81

Commuter Bus Performance:	2022	2023	Diff.
• Operating Expense/Vehicle Revenue Mile	$7.35	$5.70	-1.56
• Operating Expense/Vehicle Revenue Hour	$209.79	$163.68	-$46.11
• Operating Expense/Passenger Mile	$0.81	$0.49	-$0.32
• Operating Expense/Unlinked Passenger Trip	$45.88	$30.01	-$15.87
• Unlinked Passenger Trip/Vehicle Revenue Mile	0.16	0.19	-0.03
• Unlinked Passenger Trip/Vehicle Revenue Hour	4.52	5.45	-0.93

	2022	2023	Diff.
Dial-A-Ride Performance:			
• Operating Expense / Vehicle Revenue Mile	$10.04	$9.56	-$0.48
• Operating Expense / Vehicle Revenue Hour	$123.89	$134.68	+$0.79
• Operating Expense / Passenger Mile	$8.22	$8.61	+$0.41
• Operating Expense / Unlinked Passenger Trip	$73.82	$74.71	+$0.89
• Unlinked Passenger Trip / Vehicle Revenue Mile	0.13	0.13	0.00
• Unlinked Passenger Trip / Vehicle Revenue Hour	1.68	1.80	+0.12

	2022	2023	Diff.
Local Fixed Route Performance:			
• Operating Expense / Vehicle Revenue Mile	$11.38	$10.52	+$0.86
• Operating Expense / Vehicle Revenue Hour	$166.07	$152.62	+$13.45
• Operating Expense / Passenger Mile	$4.44	$4.13	-$0.31
• Operating Expense / Unlinked Passenger Trip	$24.01	$21.87	+$2.14
• Unlinked Passenger Trip /Vehicle Revenue Mile	0.47	0.48	-0.01
• Unlinked Passenger Trip /Vehicle Revenue Hour	6.92	6.97	-0.06

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, who is AVTA's Executive Director/CEO, 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

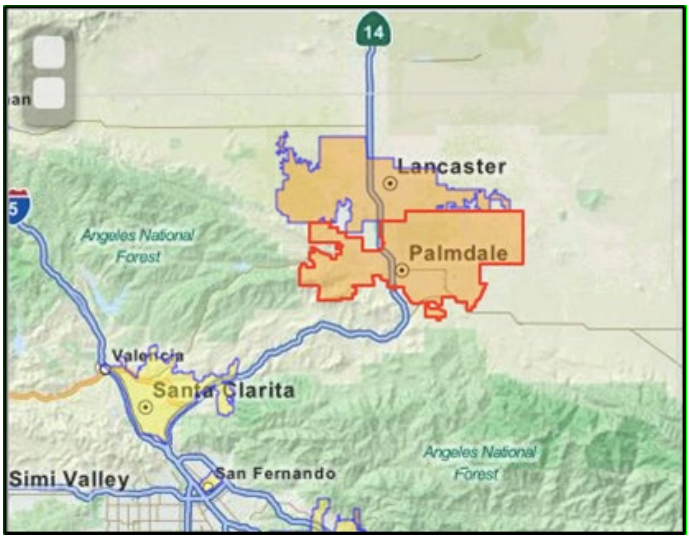
1c.2 Description of Arrangement(s):

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

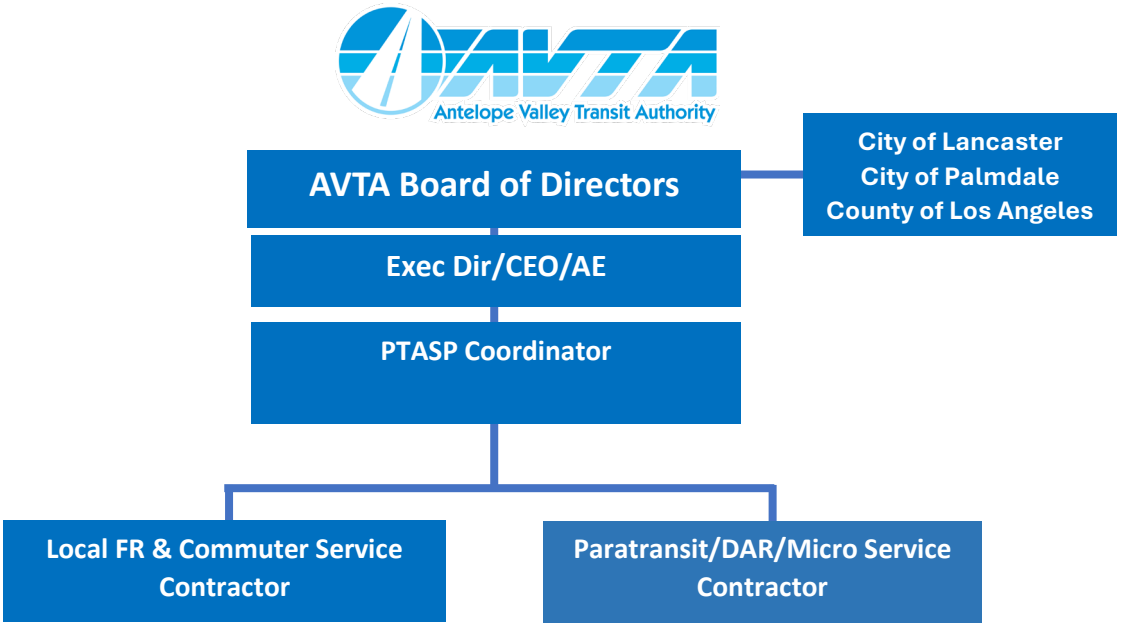


Exhibit S1-2: AVTA Transit Governing Structure

2. PLAN DEVELOPMENT, APPROVAL, AND UPDATES

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

2b. Signature by the Accountable Executive:

_____

Martin J. Tompkins
Executive Director/Chief Executive Officer (ED/CEO) of AVTA
Date: May 27, 2025

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

2c.1 Name of Individual/Entity that Approved Plan:
Name: AVTA Board of Directors
Date of Approval: **May 27, 2025**

2c.2 Relevant Documentation:

~~i.~~ Board Resolution No. No. 2025-002
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 Royal, County of Los Angeles
d. Director Eric Ohlsen, City of Palmdale
e. Director Richard Loa, City of Palmdale
f. Director Raj Malhi, City of Lancaster

2c.3 Certification of Compliance/1:

i. Name of Individual/Entity that Certified Plan
Name: Martin J. Tompkins, Executive Director/CEO
Date: **May 15, 2025**

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

iii. Relevant Documentation (title and location):
Document Title: AVTA Board Resolution
Date Filed with FTA: **July 1, 2025**

AVTA certifies that its PTASP for FY 2025-2026 meets the requirements of 49 U.S.C. § 5329(d)(1) and 49 CFR part 673 as part of the annual certifications and assurances for FTA grants and cooperative

agreements, with the implementation of planned changes will be accomplished before December 31, 2025.

Footnote for Subsection 2c

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

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

Version No.	Section/Pages Affected	Reason for Change	Date
a) Version 1	Entire PTASP Draft	Finalization for COO review	6/9/2020
b) Version 2	Entire PTASP Draft 2 FY 2020/2021	Final PTASP-Board Consideration	6/23/2020
c) Version 3	Section 3	Update Safety Performance Targets per SCAG	11/3/2020
d) Version 4	Entire FY 2021-2022 PTASP	Update administrative ref.	6/17/2021
e) Version 5	Entire FY 2022-2023 PTASP	Update administrative ref.	5/22/2022
f) Version 6	Entire FY 2022-2023 PTASP	Update administrative ref., organization charts, system profile, FTA PTASP new requirements	7/26/2022
g) Version 7	Entire FY 2023-2024 PTASP	Update administrative ref., organization charts, system profile, FTA PTASP new requirements	6/27/2023
h) Version 8	Entire FY 2024-2025 PTASP	Update administrative ref., organization charts, system profile, safety performance targets, FTA PTASP new requirements, including BIL and FTA Assault Directive provisions	6/14/2024
i) Version 9	Several pages amended- FTA Triennial	Administrative personnel changes and assignments	9/26/2024
j) Version 11	Update selected sections for FY 2025-2026	Updates include statistical metrics on the overall system performance consistent with NTD reporting, select exhibits, and further description of paratransit, micro-transit, NEMT service and safety, and safety performance targets.	3/31/2025
k) Version 10	Entire FY 2025-2026 PTASP	Update administrative ref., organization charts, system profile, safety performance targets, FTA	5/27/2025

		PTASP new requirements, including BIL and FTA Assault Directive provisions	

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

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

The PTASP will be updated and readopted on an annual basis. Prior to reconsideration by the Board, the staff has conducted a review of progress on the current PTASP's recommended actions (action plans) for implementing SMS with the service contractors and actions to improve overall safety risk management, reporting (including the employee safety reporting system), performance data management, safety assurance and safety promotions. AVTA's two (2) systemwide safety committees by mode (paratransit/micro-transit/NEMT safety committee and fixed route safety committee) have participated in and reviewed the updates for the FY 2025-2026 PTASP. The participation of the safety committees includes review of PTASP drafts, including proposed safety performance targets, and their recommendations for FY 2025-26 SMS implementation actions.

Based on the projected annual reported performance in the four target categories and the projected 2023-2024 revenue service miles, the safety performance targets will be reassessed and adjusted accordingly. The reassessment and adjustments will be reviewed by the SMS Coordinating and Safety Committee and recommended to the CSO1. The finalized targets will be included in the FY 2025-2026 PTASP for consideration by the AE and forwarded to the Board for adoption.

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

The FY 2025-2026 has been updated to include new requirements issued by FTA because of the Bipartisan Infrastructure Law (BIL). Those new requirements include:

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

AVTA; and (b) an equal number of management representatives from AVTA and its contractors [§5329(d)(5)(A)].

c. As an action item of the FY 2025-2026 PTASP, AVTA and its contractors will form and implement the MSC (See Exhibit S1-2) before July 31, 2025.
d. The MSC is described in Section 9d: Mode-specific Safety Committee Formation
e. The SSC will have until December 31, 2025, to participate in updating the AVTA PTASP and communicate certification to FTA by December 31, 2025.

2) Developing strategies to minimize exposure to infectious diseases.
   a. AVTA has updated PTASP's COVID-19 pandemic element to address all infectious diseases. Past practices during the COVID-19 pandemic remain viable strategies for infectious diseases.
   b. Those practices include:
      i. Following LA Public Health, state, and CDC recommendations and mandates.
      ii. Monitoring infectious disease conditions and employee health safety.
      iii. Providing PPE, materials, equipment, and information for training in infectious disease health safety.
3) Establishing a risk reduction program (RRP) and RRP performance targets (the latter as established in the future by FTA and the NPTSP.
4) Enhance the contractor's new hire and refresher training curriculum for all safety-sensitive and safety oversight personnel, including SMS awareness training.

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

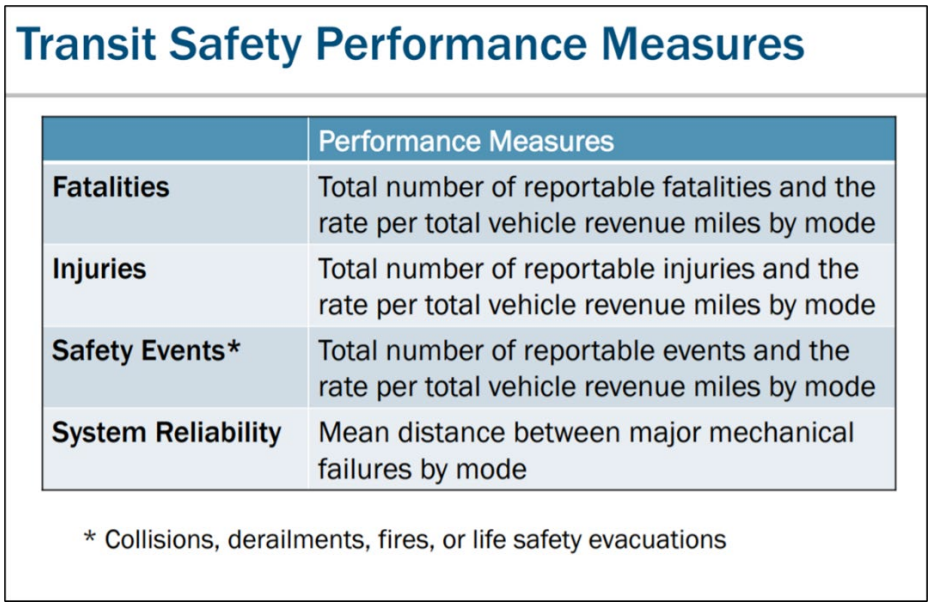
3. SAFETY PERFORMANCE TARGETS

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

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

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

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



Transit Safety Performance Measures

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

* Collisions, derailments, fires, or life safety evacuations

Exhibit 3a-1: National Safety Plan Safety Performance Measures

3b. AVTA FY 2025-2026 Safety Performance Targets

The FY 2025-2026 PTASP Safety Performance Targets (SPT) (Exhibit S3-1) are based on the metrics generated by AVTA's safety performance data in its TransTrack data management system. For the FY 2024-2025 PTASP, the SPTs were based on the last three (3) years of available data in the system and on data transmitted each year to the NTD.

Systemwide, there were no fatalities, 6 injuries, and 3 safety events (crashes). In terms of rates per 100,000 VRMs and for all modes, the rates are shown in Exhibit S3-1. The metrics for the SPT chart include the following:

a) Service Mode
b) Annual VRM Aver. Last 3 years
c) Projected VRM for FY 2025-2026
d) Total Fatalities FY 2024-2025 Basis
e) Fatalities/100k VRM Projected for FY 2025-2026
f) Total Injuries FY 2024-2025 Basis
g) Injuries/100k VRM Projected for FY2024-2025
h) Total Safety Events FY 2024-2025 Basis
i) Safety Events /100k VRM Projected for FY 2025-2026
j) System Reliability Average VRM Between Failures
k) System Reliability Failures /100k VRM (+10%) (See basis /1 Footnote.)

Service Mode	Annual VRM Aver. Last 3 yrs. /1	VRM 100k Factor	Total Fatalities	Fatalities /100k VRM	Total Injuries /2 FY2024-2025	Injuries / 100k VRM	Total Safety Events /3	Safety Events /100k VRM	Total System Reliability btwn. Failures /2	System Reliability Failures /100k VRM
Local FR	2,238,759	0	0	0	6	0.26	3	0.13	6,949	7,000
Commuter	682,146	0	0	0	0	0	1	0.15	8,091	7,000
Paratransit	425,369	0	0	0	0	0	0	0	11,213	8,000
NEMT	4,095	0	0	0	0	0	0	0	1,866	7,000
Micro-transit	254,412	0	0	0	0	0	0	0	6,197	

Exhibit S3-1: Projected Safety Performance Targets for FY 2025-2026

/1 Footnote

Breakdowns By Mode	FY22	FY23	FY24	Average Breakdowns By Mode	Average VRM Between Breakdowns
Local FR	283	446	280	336	**6,949**
Commuter	106	104	59	90	**8,091**
DAR	16	23	44	35	**11,213**
Microtransit	16	23	6	30	**10,410**
NEMT	16	23	0	0	**1,866**

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

As indicated in Exhibit S3-1, AVTA's safety performance targets for FY 2025-2026 are to reduce injuries, safety events, and breakdowns by 10% overall. The target for fatalities remains zero. The targeted system reliability for FY 2025-2026 is to increase the average VRM between breakdowns/failures by 10%.

3c. Assaults on Transit Workers

In addition, AVTA has tracked the number of assaults on transit workers for the same three (3) year period. As illustrated in Exhibit S3-3, the assaults were mostly on local fixed-route service. None of the assaults resulted in the need for medical transport. The safety performance target for FY 2025-2026 assaults on transit workers is a reduction of 10%. AVTA will require assault awareness and de-escalation training for all contractor employees and AVTA administrative staff. AVTA will continue to use mitigation measures such as driver shields, incident reporting, response, and visible presence by LA County Sheriff's Department officers assigned to AVTA and private security at transit centers. Again, AVTA's safety performance target for assaults against transit workers for FY 2025-2026 is to reduce adverse activity by 10% overall.

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

Exhibit S3-3 Assaults on Transit Workers

Local Fixed-Route

Commuter Bus

D-A-R, Microtransit, & NEMT

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: By July 31, 2025

- **MPO:** Southern California Association of Governments (SCAG)
  Date: By July 31, 2025

4. SAFETY MANAGEMENT SYSTEMS (SMS)

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

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

4a. FTA and SMS

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

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

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

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

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

4b. SMS Framework

Exhibit S4-1 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 work together to give SMS its strong foundation. The four pillars of SMS are (1) Safety Policies and Objectives, (2) Safety Risk Management, (3) Safety Assurance, and (4) Safety Promotion.

Exhibit S4-1: SMS Four Pillars and Principles

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

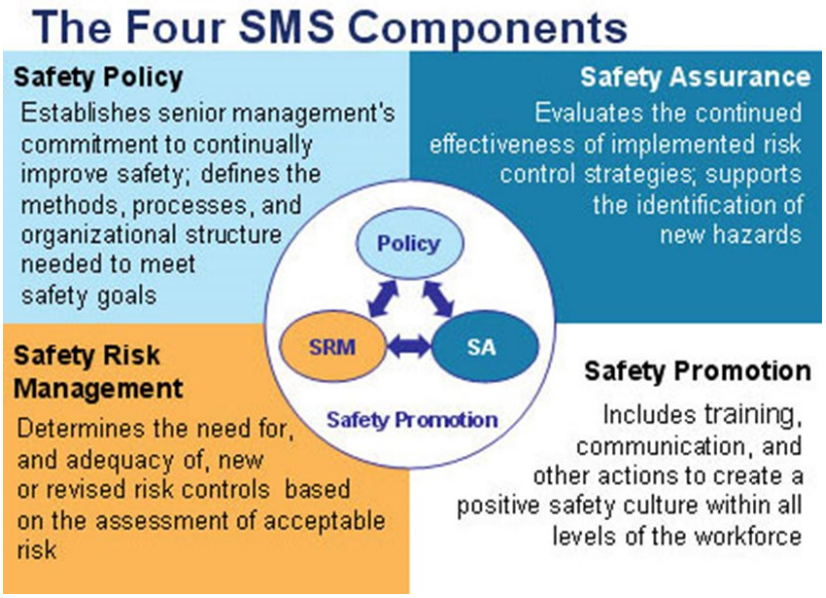


Exhibit -S4-2: The Four Components of SMS (Source: FAA)

4c. SMS Principles

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

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

4d. SMS and the PTASP

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

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

to manage safety risk systematically and to assure the effectiveness of safety risk mitigations. The definition's strategies include:

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

4e. SMS implementation

Refer to Section 14: Documentation and Recordkeeping and Section 15: Recommended Safety Actions for FY 2025-2026.

5. SMS PILLAR I. SAFETY MANAGEMENT POLICY

The first pillar of SMS establishes AVTA's senior management's commitment to continually improve safety and 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 AVTA to execute a safety management policy statement (SMPS). 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 the safety management policy that is agency and service-wide. It is not intended to be a policy statement that replaces AVTA's safety management and operating policies and procedures.

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

The PTASP provides an initial set of safety management goals for consideration and refinement by the Executive Director/CEO, AE, CSOs, and SMS Coordinating and Safety Committee. Appendix B: Safety Performance Guide for Goals, Objectives, and

Outcomes provides a template for refining AVTA's goals. The initial goals have been included in the recommended SMPS for AVTA.

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

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

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

5a.1 Recommended AVTA SMPS

AVTA Safety Management Policy Statement

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

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

All levels of AVTA, service contractor management, and frontline employees are accountable for delivering the highest level of safety performance. This accountability flows from the AVTA Board of Directors to the Executive Director/CEO/AE, to AVTA staff, and onto the employees of AVTA and its contractors. As a public transit system that employs 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 will adopt and operate under this safety management policy.

Our commitment is to:

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

from our operations or activities to a point that is as low as reasonably practicable.

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

_____ May 27, 2025

Martin J. Tompkins, AVTA Executive Director/CEO Date

5b. Safety Management Policy Communication

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

5c. Authorities, Accountabilities, and Responsibilities

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

AVTA is structured as a contracted transit service, where the day-to-day management and operation of the local fixed route, commuter bus, dial-a-ride, Microtransit, and NEMT services are operated by a private company under a service agreement with AVTA (Exhibit S4-3). AVTA serves as the contractee, and the private operator serves as the contractor. Employees of the fixed-route contractor serve the daily operation through a collective bargaining agreement (CBA) between the contractor and the labor unions. The AVTA PTASP Coordinator (aka Director of Operations and Planning and CSO1) manages the service contractors, oversees safety performance, and supports the implementation of the PTASP and SMS in the transit system.

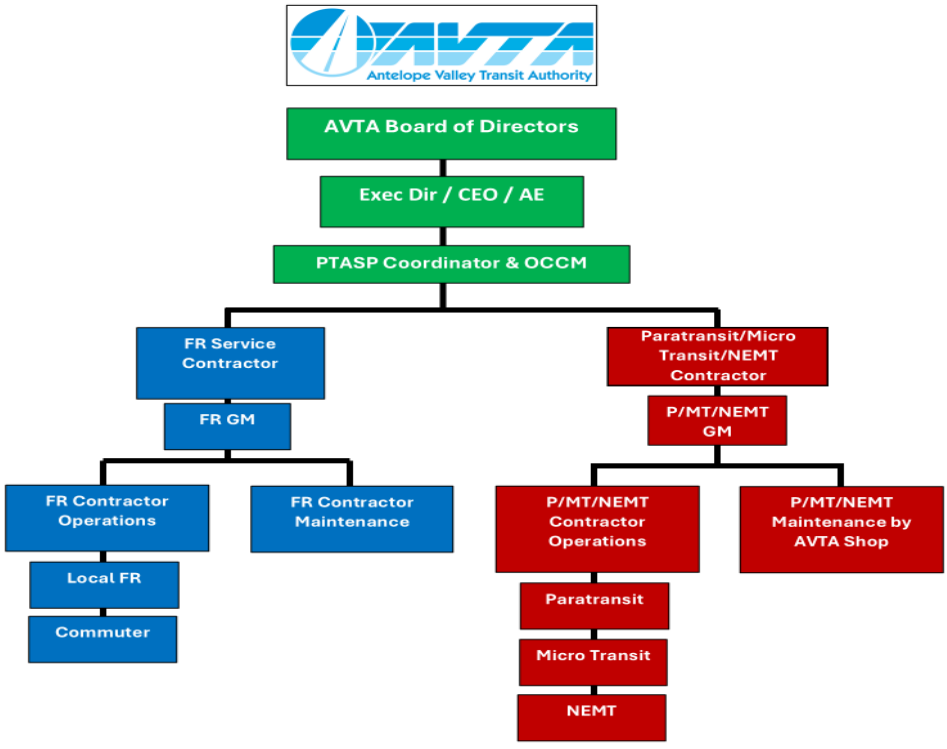


Exhibit S4-3: AVTA Governance and Service Delivery Model

As illustrated in Exhibit S4-3, the Executive Director/CEO (ED/CEO) also serves as the designated Accountable Executive (AE) for implementing the PTASP and SMS.

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 all individuals with AVTA, including AVTA staff and contractor staff, who have safety responsibilities and carry 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 the roles and responsibilities chart.

5c.2 AVTA Accountable Executive

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

- Implements AVTA's Safety Management Policy, including the ability to direct AVTA staff, service contractor staff, suppliers, 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 through the SMPS.
- Ensures that SMS is properly and effectively implemented by the service contractors on the day-to-day operational level and companywide.
- Assumes ultimate responsibility for carrying out AVTA's PTASP and implementation of SMS.
- Ensures that appropriate contract oversight and action are taken to address substandard performance in AVTA's PTASP and SMS programs.
- Assumes the authority as contractee to negotiate contract provisions and scope of work tasks related to the implementation of SMS throughout the operational and service level with the service contractor, including monitoring of each service contractor's contracted safety program.
- Responsible for overseeing AVTA's PTASP Coordinator and Transit Asset Management (TAM) Plan coordinator, which includes the state of good repair on all transit assets employed in the AVTA transit system.
- Ensures the PTASP coordinator conducts operational safety assurance tasks, including, but not limited to, safety observations, inspections, reviews, and comprehensive audits where warranted, in conjunction with the service contractor's duties.
- Provides safety assurance support to AVTA's Purchasing and Contracts Department in the development of specifications, bid documents, and bid reviews regarding the procurement of transit assets.
- Designates an adequately trained AVTA chief safety officer (CSO) who reports directly to the AE to carry out the duties and responsibilities referred to above.

5c.3 Chief Safety Officers

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

Due to the service delivery structure employed by AVTA, there are two separate contractors providing the agency's two service modes: fixed-route (local and commuter) and paratransit (including Paratransit, Microtransit, and Non-Emergency Medical Transportation). Since the implementation of SMS, its strategies have been carried out on the operational level, and a CSO is recommended for each contractor and their modes of operation. The fixed-route (FR) contractor safety manager is designated as CSO2, and the DAR contractor safety manager is designated as CSO3. See Exhibit S5-1.

In conjunction with the contractor CSOs, 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 establishing an FTA-compliant employee safety reporting program. The goal of the PTASP is to build a stronger safety culture within the entire AVTA transit system.

5c.3-1 SMS PTASP Coordinator Serving as CSO1

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

- Assures that the intentions and initiatives of the AVTA Safety Management Policy Statement are carried out, including top management's commitment to and leadership required for AVTA's implementation of SMS.
- Develops AVTA's PTASP and SMS priorities, initiatives, planned actions, and resulting policy and procedural mitigations in conjunction with CSO2 and CSO3 and recommends them to the systemwide safety committees for implementation.
- Serves as the direct liaison between AVTA and the contractor CSOs on safety management and PTASP. The service contractors' CSOs should serve as on-site safety managers and project managers for SMS implementation within their respective operating entities and service contracts.
- Oversees the SMS's implementation activities, communicates recommendations for mitigating identified hazards to the CEO/AE, develops action plans to carry out adopted mitigations, and coordinates with the AVTA departments on the oversight of contractor activities.
- Oversees AVTA's in-house Employee Safety Reporting Program (ESRP) and each service contractor's ESRPs in conjunction with the contractor's on-site general managers by utilizing AVTA's TransTrack safety data management system.

- Oversees the maintenance of all elements and the 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, including current safety assurance methods by the contractors.
- Keeps all AVTA managers informed on safety performance, safety efforts and campaigns, specific adverse safety events, emergencies, progress, and the overall status of the PTASP and SMS.
- Oversees AVTA's Transit Asset Management Plan's objectives for a state of good repair coincides with the safety goals of the PTASP.
- Identifies concerns of substandard performance (i.e., unsafe conditions and unsafe acts) in AVTA's transit system, and through SMS, works with the contractors to develop corrective actions and plans for approval by the AE.
- Ensures AVTA policies are consistent with AVTA's safety policy, goals, and objectives.
- Provides safety risk management (SRM) expertise, support, and training for other AVTA personnel who conduct and oversee safety assurance activities.
- Together with oversight staff, it ensures that contractors meet the standard of adequate safety training as stipulated by FTA's PTASP Requirements.

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

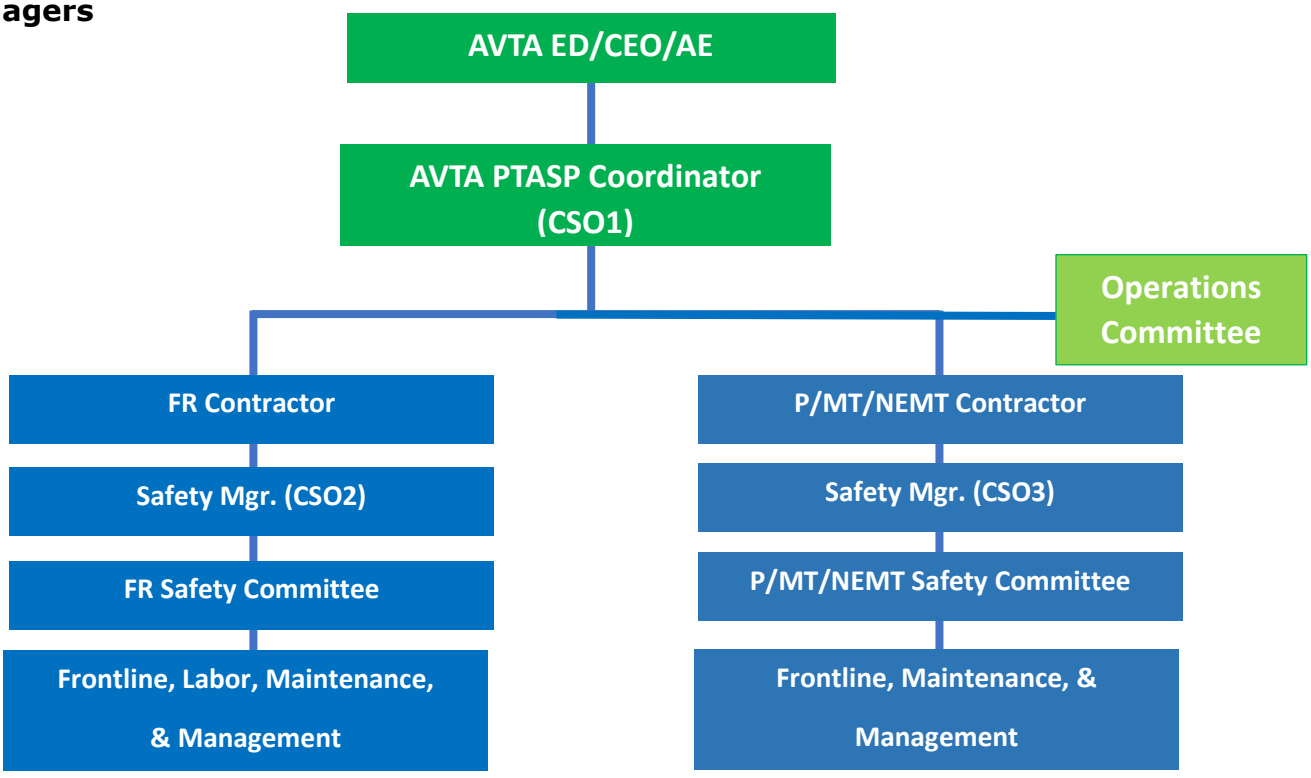


Exhibit S5-1: AVTA Safety Committee Structure

As illustrated in Exhibit S5-1, the General Manager of each service contractor will designate the CSO2 and CSO3 for their modes of service. i.e., fixed route and paratransit/microtransit/NEMT. The CSO can be the safety and training manager, director of operations, or senior supervisor, whichever is the most appropriate position to assume this role as determined by contractor senior management.

It is important to note that P/MT/NEMT is fundamentally different than fixed route in terms of vehicles employed, driver selection and training, compliance, driver assistance provided, policies and procedures, and customer service needs.

P/MT/NEMT functions as a demand-responsive service. Trips are requested by customers, and vehicle scheduling and routing varies.

Microtransit is a public transit service by AVTA that offers flexible, on-demand transportation, much like paratransit. It is a technology-enabled service where trips are requested by a customer through an internet application. The service typically utilizes shared vehicles to offer transportation upon request.

Non-emergency medical transportation (NEMT) is a service that helps people get to and from medical appointments when they cannot access public fixed-route transit.

Hazards identified by the contractor for P/MT/NEMT include, but are not limited to:

- Slips, trips, and falls, including falls from a wheelchair or fixed seat without a seatbelt
- Improper use of passenger lifts to load or unload customers with mobility aids.
- Long customer trips after certain medical treatments, e.g., dialysis and cancer treatments.
- Customer conditions can influence vehicle crashes.

Mitigations identified by P/MT/NEMT contractor have been employed:

- Providing all P/MT/NEMT drivers with Passenger Assistance, Safety, and Sensitivity training (PASS) and Sensitivity training, which can result in certification in the training programs for drivers and trainers.
- Close coordination between dispatchers and drivers in terms of identifying new road or customer hazards or behaviors, lack of curbs and gutter improvements in unincorporated areas, and flash floods.
- Appropriate response to community public health concerns, e.g., voluntarily wearing face covers, refresher training on public health concerns, and coordination with the Los Angeles County Health Department.
- The use of AVTA Transit Ambassadors to assist with some customer interface.

Operations Committee

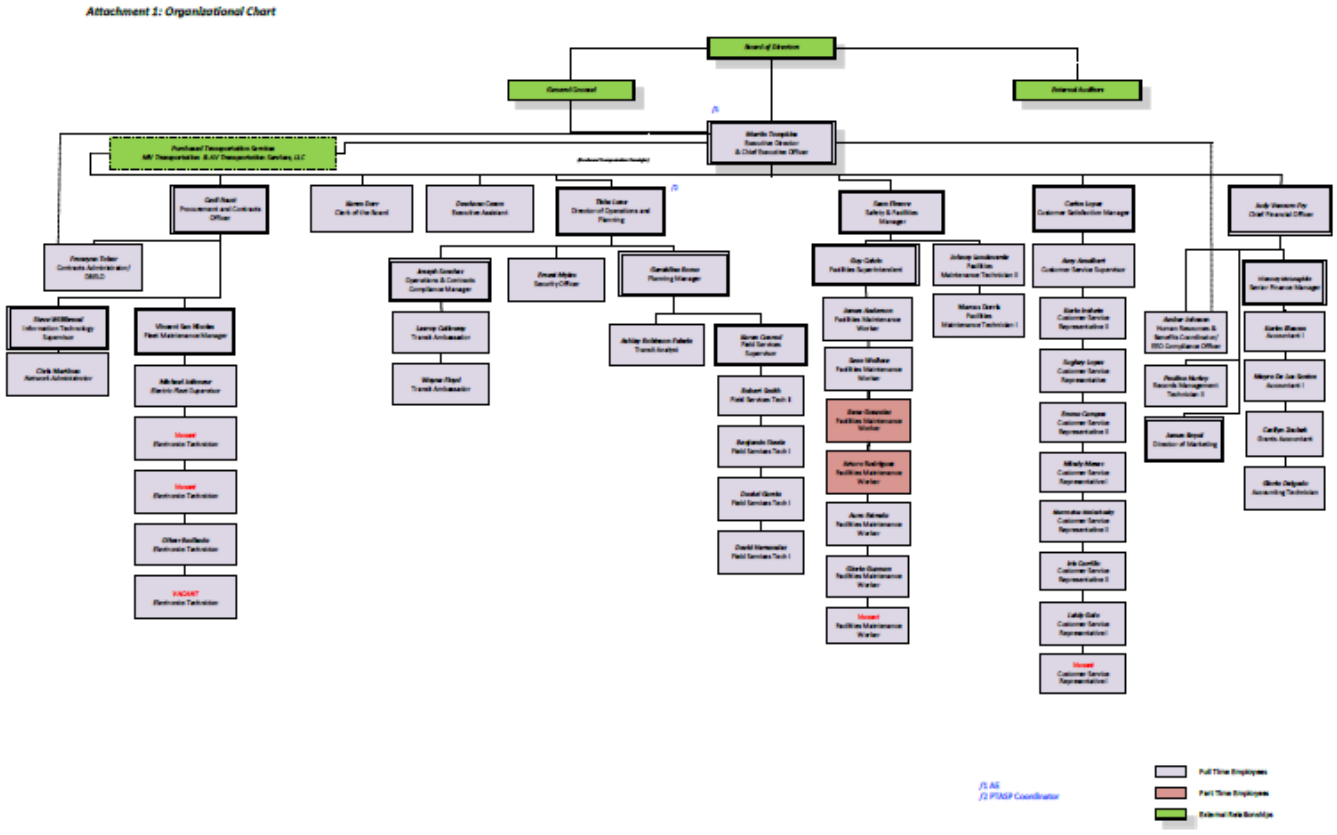
The AVTA Operations Committee is composed of the PTASP Coordinator, the GMs of each contractor, and supplemental contractor staff. It meets weekly to discuss the service's overall operational performance, including safety performance.

CSO2&3 Responsibilities and Accountabilities

The CSOs should have the following authorities, accountabilities, and responsibilities under this safety plan:

- Serves as the direct liaison between AVTA (the contractee) and the service contractor on the PTASP, SMS implementation, and general safety concerns.
- Conducts safety and training functions as required under the service agreement while adapting to the PTASP and SMS framework, including implementing a contractor-side employee safety reporting program as described in the PTASP.
- Actively participates in their respective safety committee along with AVTA staff and representatives of labor and local traffic enforcement, and accident investigation. (See Section 9c: SMS Coordinating and Safety Committee.)
- Works with CSO1 in developing AVTA's PTASP and SMS policies and procedures and recommends them to the Operations and SMS Coordinating Committee and senior management for consideration and action.
- Manages the contractor's employee safety reporting system in conjunction with the contractor's on-site general manager.
- Develops a uniform safety reporting system in collaboration and coordination with the CSO1 that includes the required categories of the PTASP's safety performance targets (fatalities, injuries, safety events and system reliability), maintains all accident related and insurance data, assures compliance with and maintains trend data from safety risk management, accident investigation and root cause analysis, and data safety assurance reporting on the operation. Each contractor is permitted to employ their internal safety reporting system and then integrate their safety data with the AVTA TransTrack management system.
- 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.
- Informs the general manager on safety performance, specific safety events, emergencies, 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.
- Ensure that the contractor's safety objectives are consistent with those of AVTA's mission statement and PTASP, including the AVTA Safety Management Policy Statement, the overall safety goals and objectives, policies, and service agreement.
- Provides Safety Risk Management (SRM) expertise and support for contractor personnel, especially those conducting safety assurance activities.
- Receives any needed safety training as stipulated by the PTASP Final Rule.

Exhibit S5-2: AVTA FY 2025-2026 Organization Chart illustrates the positions held by the AVTA Accountable Executive and AVTA Chief Safety Officer/PTASP Coordinator.



5d. Agency Leadership and Executive Management

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

- Executive Director/CEO (also serves as the PTASP AE)
- Chief Financial Officer
- Procurement and Contracts Officer
- Director of Operations and Planning (also serves as PTASP Coordinator and CSO1)
- DBE/EEO Compliance Officer (Contracts Administrator)

- Operations and Contract Compliance Manager
- Customer Satisfaction Manager
- Maintenance Compliance Analyst
- Clerk of the Board
- Safety & Facilities Manager

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

- Contract management and oversight of the contractor in accordance with the service agreement.
- Participate in AVTA's Safety Committees.
- Participate in awareness training on SMS and AVTA's PTASP elements.
- Oversee the execution of SMS in their respective departments.
- Modify departmental policies as necessary to ensure consistency with the implementation of SMS.
- Provide subject matter expertise to support implementation of the SMS as requested by the AE and CSO1, including safety risk management activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

5e. Other AVTA and Service Contractor Key Staff

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

A. AVTA
B. Director of Operations and Planning (also serves as PTASP Coordinator and CSO1)
C. For the Service Contractors (Refer to Exhibit S5-1):
    - General Manager
    - Maintenance Manager
    - Operations Manager
    - Operation Supervisors
    - Logistics Manager
    - Operations Coordinator
    - Quality Assurance Manager
    - Compliance Specialist
    - Quality Controllers and Dispatchers
    - Safety and Training Manager

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

- Utilize the existing AVTA Operation Management as the SMS Implementation Coordinating Committee.
- Complete training on *SMS Awareness* and AVTA's PTASP contents.
- Provide documented recommendations for the annual updates to the current and adopted PTASP

- Oversee and support the management of day-to-day operations and safety in their individual departments and work groups/shifts.
- Recommend modification of policies & procedures for functional areas consistent with system-wide implementation of the SMS, as necessary.
- Provide subject matter expertise by department specialty to support implementation of AVTA's SMS as requested by the AE or CSO1, including safety risk management activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

The existing AVTA service delivery structure also provides for the Executive Director/CEO/AE to designate the PTASP Coordinator to serve as CSO1 on behalf of AVTA. This arrangement complies with the SMS requirement that the CSO report directly to a member of AVTA executive management.

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

5f. Safety Training for Key Personnel

A major requirement for a Chief Safety Officer (CSO) is that the designated individuals have completed "adequate safety training" as stipulated by the PTASP Regulations. The training applies to the AVTA CSO1 and the contractor's CSO2 and CSO3. What constitutes "adequate safety training" is left to each transit agency and its 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 and CSO1 determine the desired level of safety training, reflecting the designated CSO's current level of experience and past safety training. A guide to making this determination is what is required of the CSOs, as described above, to perform their responsibilities, including implementing SMS.

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

6. EMPLOYEE SAFETY REPORTING

This section describes the process and protections for employees to report safety conditions and performance to senior management. It also addresses employee

behaviors that may result in disciplinary action (and, therefore, are excluded from disciplinary protection). The intent of an employee safety reporting program, available to all transit system employees, including contract employees, is to help the AE and other senior managers consider and communicate important safety information from across the transit agency, thereby better managing 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 encourage more employees to report unsafe conditions, contributing to improved organization-wide safety performance.

Employee safety reports and the data generated from these reports should be integrated into 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 in Section 6b.

6a. AVTA Employee Safety Reporting Process

In accordance with FTA's PTASP Rule (49 C.F.R. Part 673.23(b)), AVTA is required to establish an employee safety reporting program (ESRP) for the overall transit system. Since there are three entities managing and operating the AVTA transit system (AVTA and two contractors), each organization should develop its own internal ESRP. Contractors will report any incidents to AVTA and can use their regular internal employee safety reporting system and TransTrack.

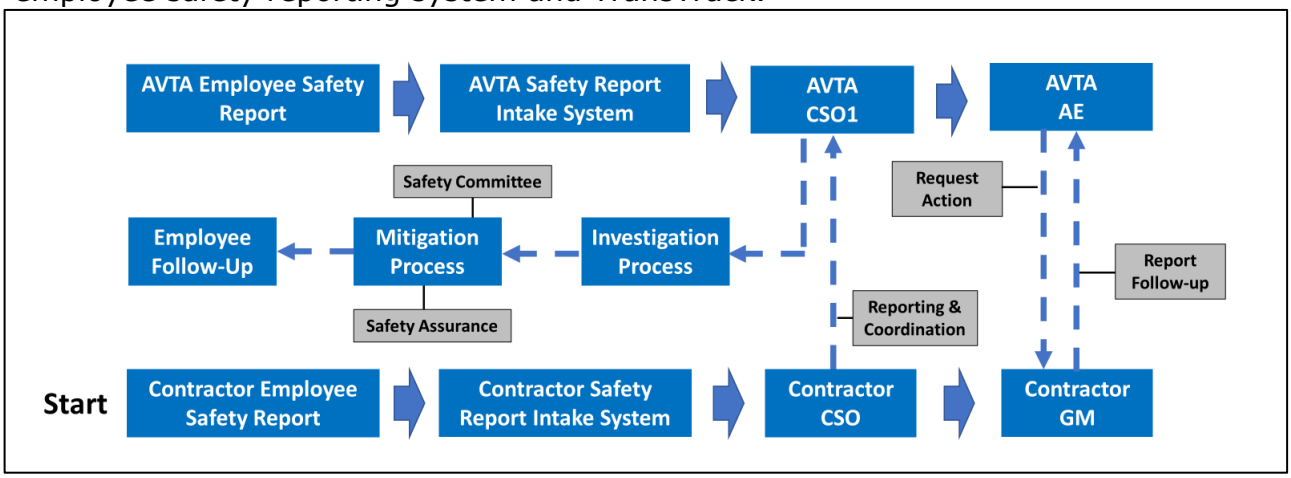


Exhibit S5-3: Process Flow for Employee Safety Reporting

Exhibit S5-3: Process Flow for Employee Safety Reporting illustrates the AVTA process of the Employee Safety Reporting Program.

In Exhibit S5-3, either an AVTA employee or an employee of the service contractor may make a confidential safety report as to any observed or experienced unsafe condition or unsafe act. The program allows for employee reports to be received by

CSO1 for AVTA and by CSO2 and CSO3 for the respective contractors. The CSOs will then collaborate, review reports, and coordinate follow-up in terms of investigation, direct mitigation, or referral to the SMS Coordinating and Safety Committee for recommendations and planned mitigation. The process will also include a response to the reporting employee. Parameters of the labor collective bargaining agreement (CBA) should also guide the development of program specifics.

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

The elements of the program are as follows:

- The employee reporting system, which includes both AVTA management and administration, as well as the contractor's worksite, will provide protection against punitive measures for those making safety reports.
- Employees of AVTA and the service contractor may utilize the following methods for taking employee safety reports:
  - Written paper forms and/or electronic forms for confidential reports.
  - Verbal with written documentation received during staff and 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 lockbox.
- 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, the general manager, and CSO2 shall maintain confidentiality and take no prohibited disciplinary action.
- The reported information may be generalized and combined with other training items for safety meetings.
- As to employee behaviors that may result in disciplinary action, any violations of AVTA or service contractor policies & procedures, preventable accidents, law enforcement traffic, and OSHA violations will be handled in accordance with the respective entity's employee handbook, agency policy or company policy.

6b. Close Call Reporting

Close calls (near misses) are defined as situations or circumstances that had the potential for safety consequences but did not result in an adverse safety event, such as a 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 enhance safety practices and foster a safer culture.

The primary purpose of an employee close-call safety reporting system is to enhance overall safety by encouraging employees to voluntarily report unsafe conditions or

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

7. SMS PILLAR II: SAFETY RISK MANAGEMENT

The Safety Risk Management Process is the second foundation or pillar of SMS. Safety risk management is a process for identifying hazards and analyzing, assessing, and mitigating safety risks. This process enables AVTA and its service contractors to take a proactive approach to managing safety. The process also helps identify areas of the highest safety risk or unacceptable safety risk to the transit system. Risks to the transit system evolve as the system itself undergoes changes over time, such as

service operating conditions due to land use development, construction, traffic conditions, demographic shifts, human behavior, and changes in ridership demand patterns.

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

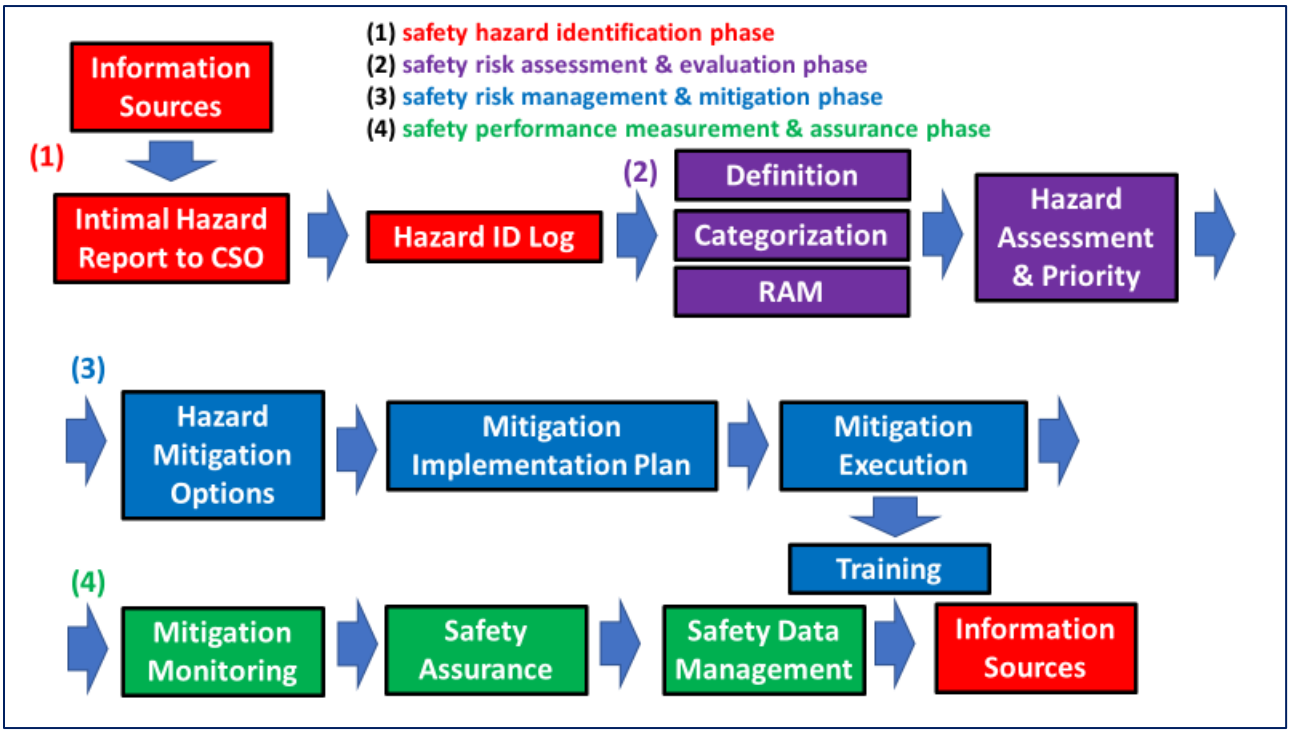


Exhibit S7-1: Hazard Identification and Hazard Mitigation Process Phases

7a. Phase 1- Safety Hazard Identification

Processes to identify hazards and consequences of the hazards.

- AVTA's service contractors may employ various methods to identify hazards or unsafe conditions and unsafe actions that may challenge the safe management and operations of the transit system. AVTA's service contractor should also analyze the potential consequences or potential losses that the hazards present to AVTA and their applicable level of risk (Exhibit S7-1).

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

AVTA Lancaster Management and Operations Facility

- The service contractors should routinely review and prioritize identified hazards with AVTA. The service contractors should also provide AVTA with action plans to address the prioritized hazards and potential consequences in conjunction with their respective safety committees. In turn, they make their recommendations to the AVTA systemwide safety committee for consideration. The hazard and consequences identification processes are illustrated in Exhibit S7-1: Hazard Identification and Mitigation Process Phases.

- In Phase 1, potential data and information sources, including reports /2 of an identified hazard, may generate an issue. AVTA and the contractors may have other sources in present use. Phase 1 includes the CSOs coordinating the development and maintenance of a hazard identification log. /3

7a. Footnotes:

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

7b. Phase 2 – Hazard Type Determination

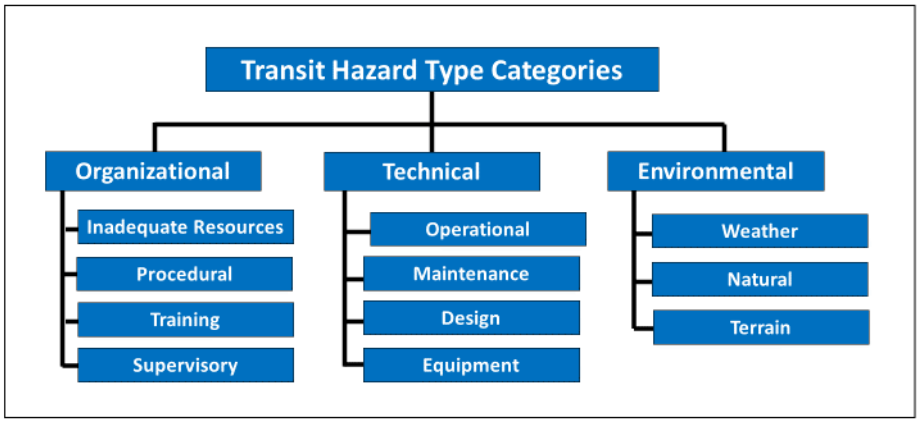


Exhibit S7-2 Safety Hazard Type Categories

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

7c. Phase 2 – Hazard and Safety Event Definitions

A Safety Risk Management Definition Checklist (Exhibit S7-3) can be used to determine if the condition is a hazard (i.e., a 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.

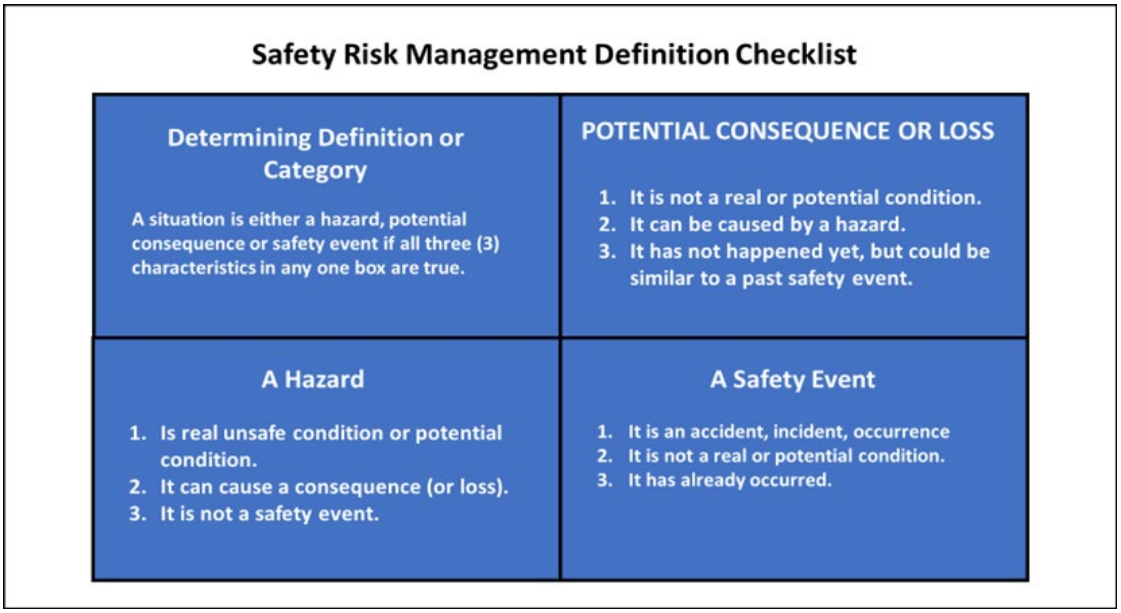


Exhibit S7-3: Safety Risk Management Definition Checklist

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

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

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

A Risk Assessment Matrix (RAM) is a chart that plots the severity or potential loss of an event occurring on one axis (horizontal) and the probability or likelihood of it occurring on the other axis (vertical). A risk assessment identifies and evaluates the hazards and risks of a specified situation. Given a potential hazard, the 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 and then deal with the consequences.

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

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

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

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

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

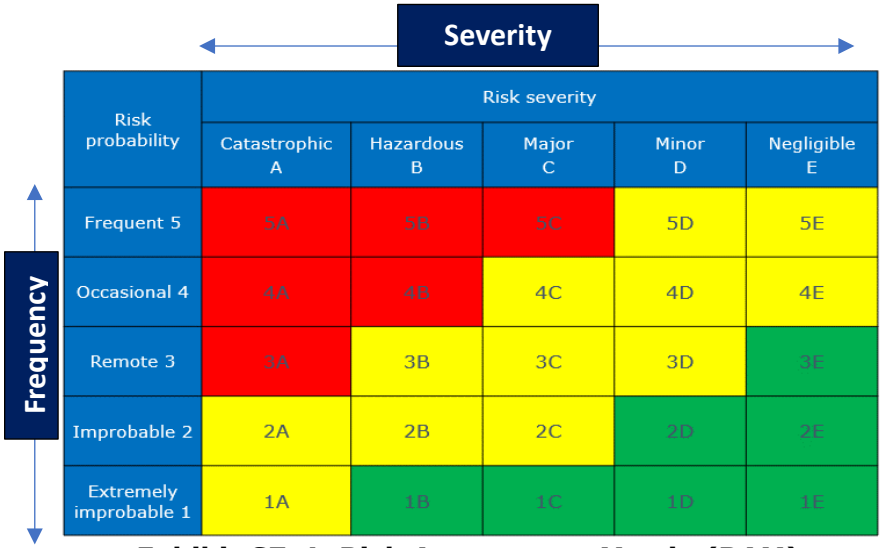


Exhibit S7-4: Risk Assessment Matrix (RAM)

7e. Phase 3 – Safety Hazard and Risk Mitigation

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

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

The process to identify mitigation options or strategies to address the identified and specific hazards and risks ranked against the 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 selected mitigation 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 from the affected employees as well. 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 the need for, safety data to make data-driven decisions that safeguard personnel and the transit system. To be effective, transit safety data must be a safety event and risk-based.

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

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

AVTA will utilize its current software, TransTrack Manager (Exhibit S7-5), to incorporate safety performance data and consolidate it with other transit system information sources, providing a comprehensive approach to managing safety data and performing safety analytics.

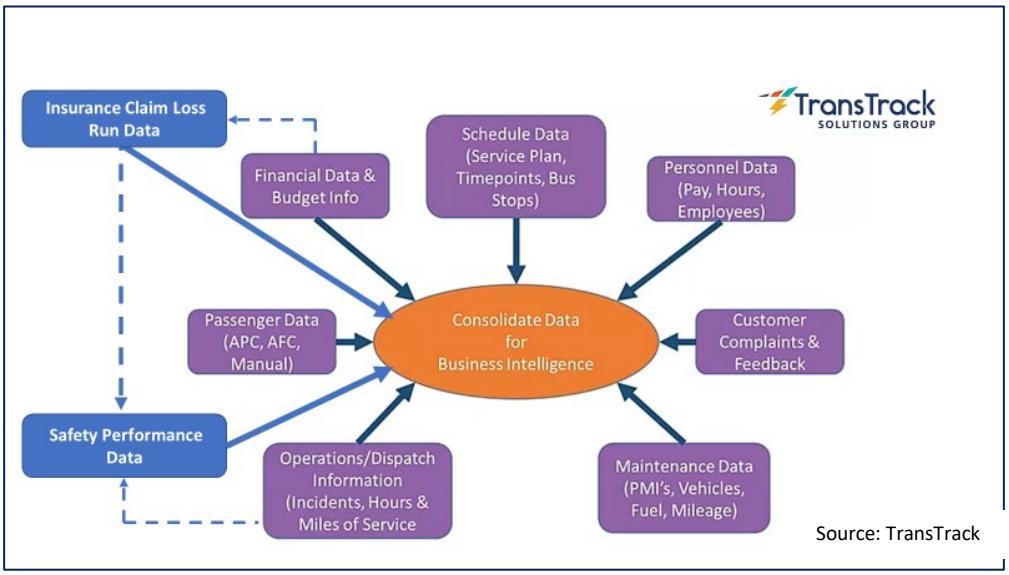


Exhibit S7-5: Integrating Safety Performance Data within *Transtrack Manager*

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

- Date of Report
- Date of Event
- Time of Event
- Injury Alert (Y/N)
- Collision Types
    - Other Vehicles
    - Fixed Objects

    - Pedestrians
    - Bicyclists
    - Close Call
    - Other
- FR Route #
- Vehicle #
- Transportation Mode
    - Local FR
    - Commuter
    - Paratransit - DAR
    - Paratransit - Micro Transit
    - Paratransit - Non-emergency Medical
    - Service Vehicle
    - Employee vehicle for business, or other
- Incident Types:
    - Slip-Trip-Fall
    - Mobility device securement
    - ADA Compliance
    - Mobility
    - Property Damage
    - Crime
    - Assault
    - Employee Injury
    - Vehicle fire
    - HazMat Spill
    - Emergency
    - Close Calls
    - Other
- Driver Name & Driver ID #
- Responding Field Supervisor Name
- Jurisdiction Traffic Enforcement Responded (Y/N)
- Safety Event Description
    - Injuries (Y/N)
    - CSO & Road Supervisor Notified Immediately (Y/N)
    - Vehicle Damage (Y/N)
    - Any Vehicle Towed (Y/N)
    - Drug Screen Required Due to Towing (Y/N)
    - Emergency Medical Care Called (Y/N)
    - Drug Screen Required Due to Medical care (Y/N)
- Location Details
    - Location (Cross Streets, Freeway No., etc.)
    - City or Other Jurisdiction
    - GPS Latitude & Longitude
- Post-Event Actions
    - Accident file Number
    - Driver Accident Report Filed (Y/N) & Date
    - Driver Close Call Report Filed with Precursors (Y/N)
    - Supervisor Accident Report Filed (Y/N) & Date
    - Police/Sheriff Accident Report Received (Y/N)

- Jurisdiction City or County
- Insurance Carrier Claims Dept. Notified (Y/N)
- Applied Type of Insurance (AL, GL, WC, Other)
- Client Agency Notified (Y/N), Date & Time
- Coaching or Review Performed (Y/N)
- Re-Training Type Assigned
- Discipline Issued
- Final Classification: Preventable or Non-Preventable
- SMS Required Data (count):
- Fatalities
- Injuries
- Safety Event
- Fire
- Crime/Assault
- HazMat Release
- System Reliability (failure to pull-out)

7g. Risk Reduction Program

As illustrated in Exhibit S7-6, AVTA will include a risk reduction program (RRP) within the SMS safety risk management process. The RRP will utilize its safety data management system, TransTrack, to monitor accidents and incidents and to monitor concerning trends. The process will also involve the safety committees in reviewing monthly safety data and trends and measuring identified risks against the Risk Assessment Matrix, Exhibit S7-4. The safety committees will also consider reviewing possible management and operation gaps contributing to these safety risks. The safety data system will serve as the primary driver for the risk reduction program, based on the observation of frequencies and severity of actual events and close calls. The safety committees will also follow the identification of hazards and risks.

As illustrated in Exhibit S7-6, the risk reduction program will address specifically identified hazards and their levels of assessed risk through hazard identification in Phase (2) (including from safety data and observation) and safety assurance in Phase (4). The initial risk assessment will occur in Phase 2 and will immediately become part of the risk reduction program, which links elements of Phases 3 and 4. The safety data management system will include monitoring all identified risks and efforts to mitigate them in a continuous loop.

Appendix L provides more details on the RRP process and employment by AVTA and its service contractors.

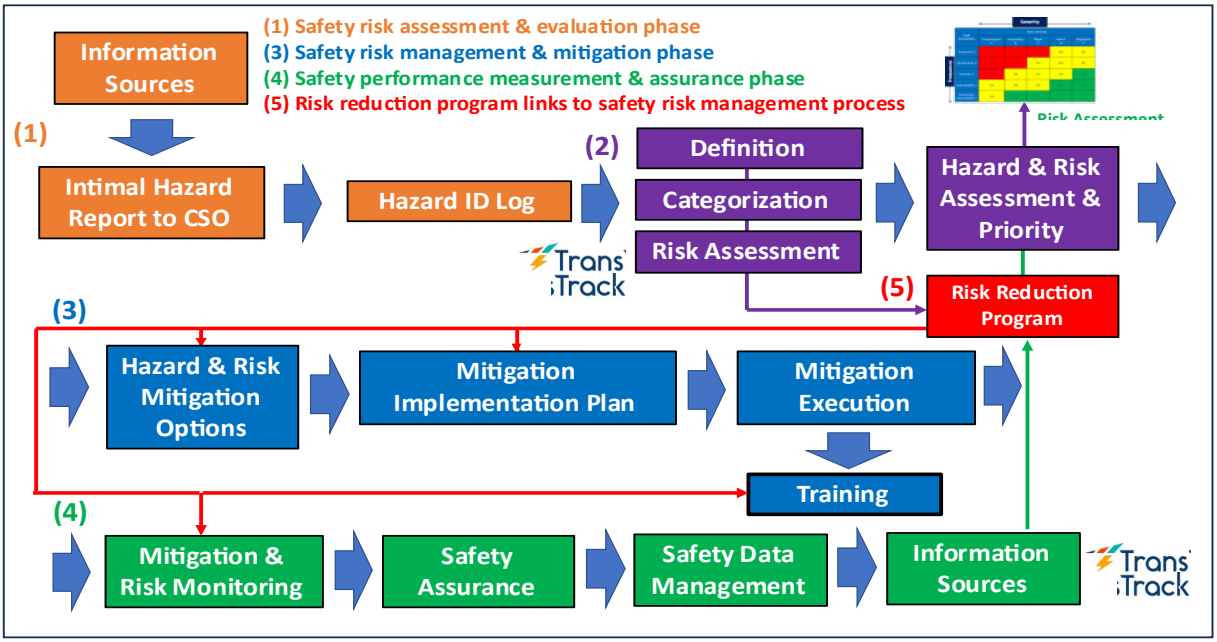


Exhibit S7-6: Hazard Identification, Hazard Mitigation Process with Risk Reduction Program

AVTA's risk reduction program should incorporate various management and operational tools to recognize changing conditions, e.g., community growth, industrial land development, road construction, resulting traffic congestion, and how transit safety can be affected. Exhibit S7-7 illustrates one such model for community risk reduction that safety committees can consider.

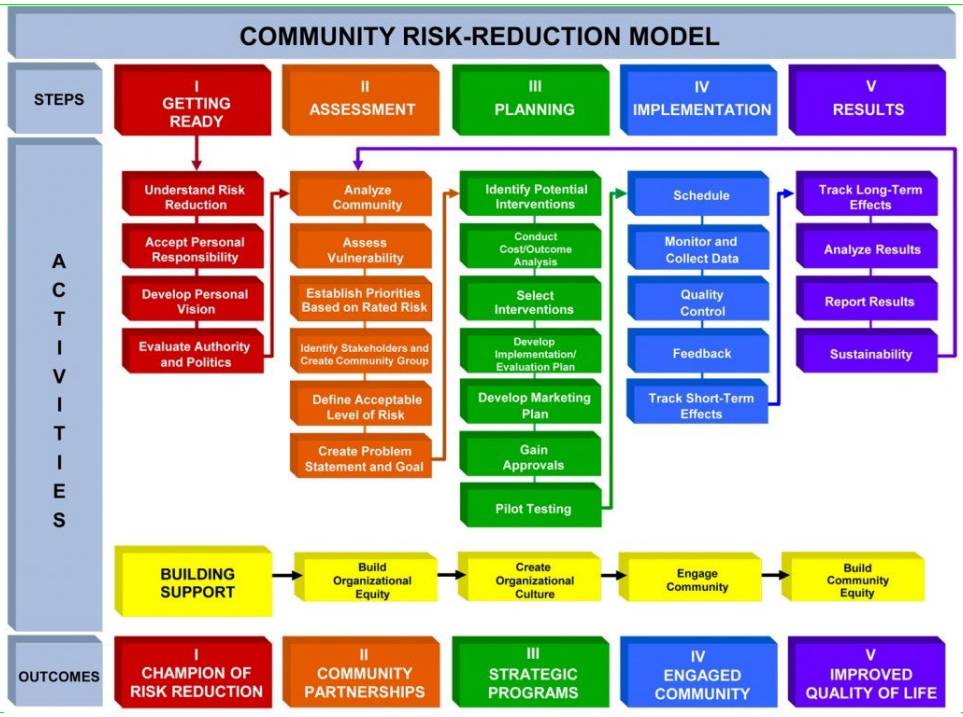
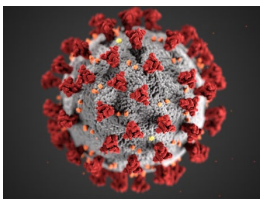


Exhibit S7-7 Community Risk-Reduction Model

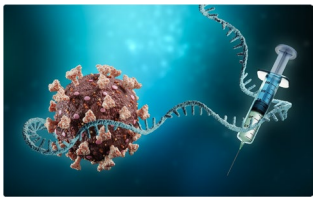
7h. Exposure to Infectious Disease Strategies



Coronavirus

Infections

PPE-Masking



Vaccines

The Bipartisan Infrastructure Law requires transit agencies to address strategies to minimize exposure to infectious diseases. AVTA's approach to this requirement is to update the PTASP section on Public Health to include all infectious diseases that may affect the AVTA transit system during the PTASP's timeframe.

As of the date of this PTASP, the CDC reports that current U.S. outbreaks include coronavirus disease 2019 (COVID-19), influenza, malaria, Lyme disease, listeria, respiratory syncytial virus (RSV), and measles. As of December 31, 2024, 33 state jurisdictions, including California, reported 285 measles cases and 16 outbreaks.

China has identified another infectious disease—a new bat coronavirus. China has raised concern over its discovery of another bat-borne coronavirus, HKU5-CoV. This latest concern underscores global concerns about the ongoing threat of animal diseases capable of sparking deadly human outbreaks.

The past COVID-19 infection reduction measures performed by AVTA continue to be effective against the current outbreak diseases. With the growing availability and continuous improvement in targeted vaccines, testing, drugs, non-vaccine biological products, and COVID-19 medical treatment devices, the overall level of infections is stable, and hospital admissions have been below crisis capability levels.

It is important to follow L.A. County Health Department and CDC guidance or mandates as conditions remain in flux.

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

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

- Face masking in all public transportation and indoor transportation hubs as ordered by Los Angeles County Public Health for employees and customers on a voluntary basis.
- Recommending social distancing where practical.
- Continued vehicle and facility cleaning and disinfection as directed by AVTA management as a best practice.
- AVTA and its contractors are required to report employee infections to AVTA's CSO1, who will, in turn, report to FTA as is also required.
- Utilize the safety committees to develop policies, procedures, and messaging to keep employees aware of public health and safety concerns and AVTA actions.
- Other infection prevention strategies, such as public health, are recommended by the FTA, California Department of Health (CDOH), Los Angeles County Public Health (LACPH), and the Centers for Disease Control and Prevention (CDC). Additional strategies may include the following as determined by AVTA management.

    - Develop an AVTA Infectious Disease Health and Safety Plan or enhancement of AVTA's Cal/OSHA IIPP (The IIPP is referenced as a resource to the PTASP.).
    - Continue personal hygiene recommendations to employees and customers.
    - Recommend physical distancing as practical.
    - Continue to disinfect hard surfaces touched by bus operators.
    - Stand ready to sanitize transit vehicles and facilities as required.
    - Maintain adequate supplies of PPE and employ use of PPE (including face masks).
    - Assess potential exposures in workplace assignments to public health hazards.
    - Promote voluntary masking and vaccinations with CDC, L.A. Public Health, and AVTA policy guidance for employees and customers.

Bus Interior Disinfection

PPE Stockpile

Continued Vigilance

7i. Addressing Assaults on Transit Workers

FTA has proposed General Directive identified as #24-1 to address the significant and continuing national-level safety risk related to assaults on transit workers. The General Directive requires each transit agency subject to FTA's Public Transportation Agency Safety Plans (PTASP) regulation to conduct the following:

(1) A safety risk assessment of assaults or workplace violence on transit workers, whether employed by AVTA or the contractors.

(2) Identification of safety risk mitigations or strategies to adequately address potential or actual assaults upon transit workers.

(3) Address the potential for assaults and provide refresher training with the safety committees by service mode.

(4) Provide information to FTA on assaults (physical, verbal, or threats) on how it is being assessed, mitigate, and monitor the safety risk associated with assaults on transit workers.

Altercations Outside

Altercations Inside

Bus Videos

Warning Signs

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

1. A safety risk assessment relies upon the following activities:
    a. Surveying employees during safety meetings, during training events, and during individual interviews.
    b. Analysis of safety performance data.
    c. Examination of incident reports from both contractors.
    d. Examination of adequacy of incident reporting procedures for assaults and their characteristics with AVTA system.
    e. Examination of transit industry literature on applicable approaches for AVTA
2. Identification of safety risk mitigations and strategies to protect transit workers from assault. AVTA and contractor structural, architectural, and program approaches will include, but are not limited to:
    a. Structural approaches:
        i. Use of current driver barriers.
        ii. Panic alert buttons
        iii. Security cameras
        iv. Vehicle doors
        v. Evaluation of the adequacy of current facility security
        vi. Other structural improvements
    b. Approaches of the Program

i. Zero-tolerance policy statements against assaults by management
ii. De-escalation training.
iii. Incorporating assaults training in emergency planning and training
iv. Coordination with local law enforcement for support and response to AVTA assaults
v. Employee training on assault definitions and characteristics, and strategic options depending on the issue or assault type.
vi. Customer communications on policies and warnings against assaults.
vii. Effective reporting and assault data management.
viii. Other program approaches

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

7j. Local Law Enforcement Support

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

7K. SB 553 and Workplace Violence Prevention Plan

California Senate Bill No. 553 (SB 553) requires employers to develop their own comprehensive workplace violence prevention plans (WVPP) as part of their Cal/OSHA Injury and Illness Prevention Plans (IIPP).

SB 553 became effective July 1, 2024. The law requires virtually every California employer to implement a comprehensive workplace violence prevention plan. In terms of AVTA, AVTA administration and its two (2) service contractors are required

to comply with SB 553 as separate employers. The new law does not have an implementation grace period.

While this PTASP is required to address and comply with FTA's directive for driver de-escalation training, SB 553 applies to an employer's entire workforce within AVTA transit system. AVTA personnel responsible for the IIPP have been designated as the lead department for the WVPP. Implementation of AVTA's PTASP and the AE and CSOs shall coordinate with the staff responsible for the IIPP for their respective organization.

Workplace violence is defined as any act or threat of physical violence, harassment, intimidation, or other threatening disruptive behavior that occurs at a work site or within the transit system. It ranges from threats and verbal abuse to physical assaults and even homicide. It can affect and involve employees, clients, customers, and visitors.

To comply with SB 553, AVTA and the two (2) contracted employers need to take several steps:

- Develop a Workplace Violence Prevention Plan (WVPP), which must be in writing and incorporated into each employer's Injury and Illness Prevention Program (IIPP).
- Each employer's WVPP is required to include:
  - Names or job titles of persons responsible for the WVPP.
  - Procedures for employee involvement.
  - Methods to coordinate with other employers.
  - Procedures for accepting and responding to reports of workplace violence.
  - Procedures to ensure employee compliance with the plan.
  - Communication methods regarding workplace violence.
  - Emergency response procedures.
  - Training programs for employees.
  - Procedures for identifying and evaluating workplace violence hazards.
  - Procedures for correcting identified hazards.
  - Procedures for post-incident response and investigation procedures.
  - Procedures for regular review and update of the plan.
- Maintain Records: Each employer must maintain records and other documentation related to workplace violence. This includes the violence incident log and other required records for specified periods. Information in the log must include the following:
  - Date, time, and location of the incident.
  - Workplace violence type.
  - Detailed description of the event
  - Classification of the offender, such as client, customer, family, friend, stranger, co-worker, supervisor, or other titles like these.
  - Classification of the circumstances, such as the employee finishing up job duties or working in a poorly lit area.
  - Classification of the incident's location, such as the workplace, parking lot, or some other area.
  - Type of violence, such as physical force or threat of physical force, use of a weapon, animal attack, or sexual assault or threat of sexual assault.

- Consequences of the incident, such as the use of law enforcement and any actions taken to protect the employees.
- Name and job title of the person who made the log entry, as well as the date completed.

- Provide Training: Initial and annual training must be provided to each employer's employees of their organization's WVPP. Workplace violence prevention training should be included in transit safety and security training for existing employees and new hires.
- The PTASP Coordinator should verify that the contractors as employers have IIPPs that comply with SB 553. AVTA administration does have an IIPP that is in compliance.

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 CSOs are responsible for AVTA safety assurance, with the 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 and well-being 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 2025-2026 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 safety performance monitoring. In Section 7e: Safety Risk Management,

data management and analysis are discussed. The section offers improvements to the accident and incident daily log by including more metrics for effective risk management by the CSOs. Together with insurance carrier loss runs, a more accurate picture of losses and safety happenings can be developed for the safety risk management process.

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

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

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

- Information from accident reporting.
- Accident investigation and root cause analysis.
- Traffic law enforcement (police and highway patrol) reports.
- Insurance claims and loss runs or histories.
- Coaching and retraining.
- Disciplinary and termination actions.
- Rate of employee turnover.
- Breakdown reporting.
- Repairs and replacement.

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

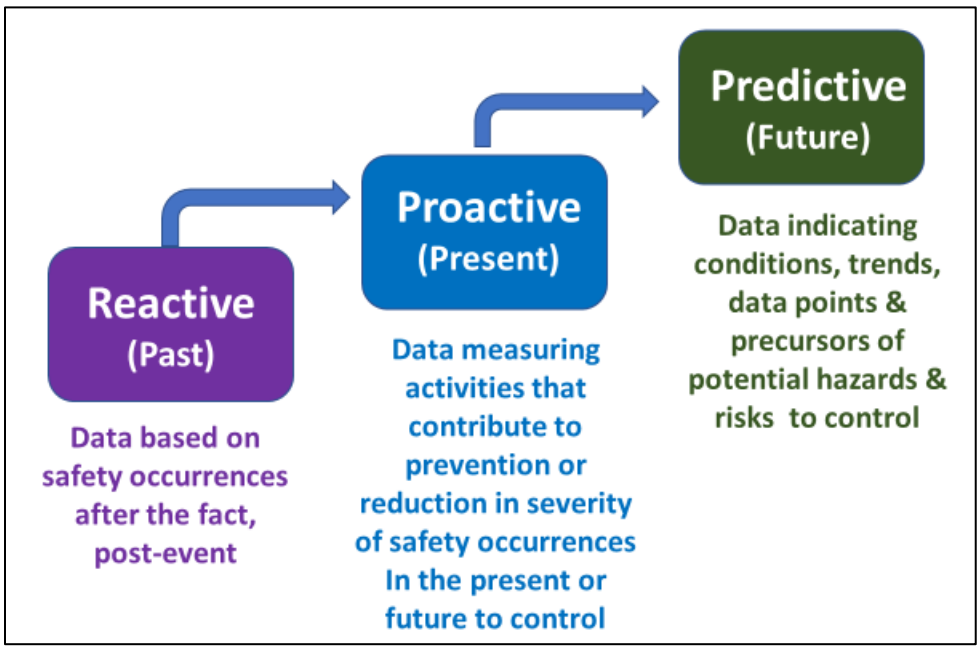


Exhibit S8-1: FTA & AVTA Desired Direction for Safety Performance

8b. Complying with Procedures for Operations and Maintenance

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

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

- The Operations and Contract Compliance Manager is the primary administrator who ensures compliance with the service contract with the contractors. The operating contract's scope of work, provisions, and standards establish the baseline for management, operations, maintenance, and safety-related compliance. Added to these provisions are those required or suggested in the adopted PTASP, including safety oversight by the contractors' CSO2 and implementation of SMS on an operational level.

- Monthly reporting on contract performance is included in the provisions and scope of work. Safety performance and SMS implementation reporting will be included.

- A regular weekly performance review between the OCCM/PTASP Coordinator, and the service contractors provides a current review of safety performance, identification of hazards, risks, and mitigation.

- On a monthly basis, the service contractors should review and update the various safety-related logs, including the following:
    - Employee hazard identification forms.
    - Collision / Incident / Event Report Logs.
    - Pre- and post-trip inspection reports.
    - Vehicle operator defect reports and corresponding maintenance department work orders
    - PMI, repairs, and quality control reports.
    - Road call reports, including system reliability reports, where a vehicle is unable to make pull out for scheduled revenue service.
    - Customer and public safety complaints.
    - Dispatch logs for safety events and breakdowns.
    - Insurance claims, including workers' compensation claims.
    - Employee safety reporting.
    - Close call reporting.
    - Practical drift.
    - Employee turnover rates.

- As listed above, the service contractors should also monitor *practical drift* as it applies to varying from established AVTA and contractor operating policies and procedures. Practical drift occurs when an employee gradually diverges from written policies, procedures, and training to the point where the employee's unsuitable behavior or drift becomes his or her norm in carrying out their required tasks.

- The service contractors should periodically audit pre-trip and post-trip inspection reports, defect reports, and corresponding maintenance work orders to ensure that procedures are being complied with. The audits and supporting observations will provide AVTA and the contractor's senior management and maintenance management with the information needed for achieving the "state-of-good-repair" (SGR) objective of the AVTA Transit Asset Management (TAM) Plan.

- The service contractors should also monitor the interface of PTASP objectives and the TAM Plan (including state of good repair) and report as may be required by AVTA.

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

8c. Addressing Ineffective Mitigations

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

Monitoring for ineffective mitigation activities and approaches should include:

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

8d. Identifying Causal Factors in Safety Incidents

Led by the CSOs, AVTA and its contractors should conduct events for the causal factors leading to the safety occurrence. Each investigative process will include the following questions:

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

- Define the Event: Please refer to Section 7 above for Exhibit S7-2: Safety Hazard Type Categories and Exhibit S7-3: Safety Risk Management Definition Checklist in order to categorize an event or identified hazard and accurately define the event or safety issue.
- Collect Data and Information: Review accident investigation reports, police reports, witness statements and/or other employee observations, and bus videos that involve collisions, on-board incidents, and employee workers' compensation claims for injuries, illnesses, or infections.
- Review: Employee safety reports, close call reports, and customer complaints.
- Review: Supervisory observations, safety reviews, safety audits, and 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 by Safety Committees

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

8e. Tracking Safety-Consequence Causal Factors

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

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

Root Cause Analysis Process for AVTA Safety Occurrences

- Step One: Define the adverse event.
    - What happened, when, where, and 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, and consequences occurred?
- Step Three: Identify contributing factors.
    - What sequence or chain of events lead to the event(s)?
    - What pre-conditions, precursors, and observations occurred just before the event?
    - What other conditions allowed the event or problem to occur?
    - What other problems surround the occurrence of the central problem?

- Step Four: Identify the root causes through root cause analysis procedures (See example below as Exhibit S8-2).
    - Why does the causal factor exist?
    - What employee behaviors and/or operating conditions contributed to the adverse event?
    - What is the root cause of the event or incident that occurred?
- Step Five: Recommend, implement, and monitor the mitigations.

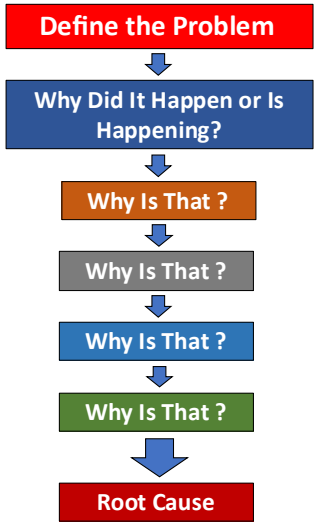


Exhibit S8-2: Five Whys Root Cause Analysis Method

8f. Monitoring Internal Safety Reporting

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

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

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

- Contractor CSOs review the TransTrack safety data and all safety-related reports and logs while also obtaining employee and other input or details of a safety event.

- Contractor CSOs update the TransTrack safety data from their internal safety reporting systems, maintain continuous accident/incident logs, and provide updated information to the contractor's location general managers.
- Contractor CSOs should report employee injuries and workers' compensation data to AVTA.
- AVTA will then integrate all employee injury and workers' compensation claim data within the TransTrack data system.
- General Managers and/or CSOs should provide the CSO1/PTASP Coordinator with written monthly reports and monthly performance reviews, including observations of internal safety reporting.
- Service contractor safety committees should review select internal reporting information.

9. SMS PILLAR IV. SAFETY PROMOTION

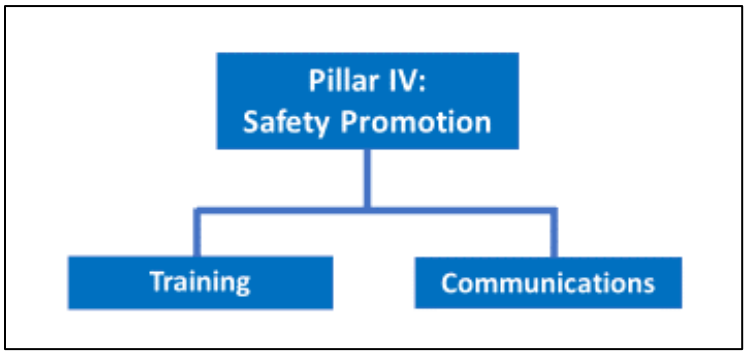


Exhibit S9-1: Safety Promotion Components

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

9a. Competencies and Training

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

Described below is the overall safety training program for the service contractor's drivers and field supervisors. While the curriculum focuses on new hire topics for drivers or vehicle operators, many of the topics are also 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 for those who have safety oversight responsibilities. Adequate safety training means full competency in safety management.

Required Safety Training for Safety Oversight

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

<u>Employee Driver/Vehicle Operator Training</u>

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, including the AVTA PTASP
- Federal and state regulations, including CalOSHA regulations, contractor's IIPP
- Local authority (city of Lancaster, City of Palmdale, and Los Angeles County) regulations
- Local traffic enforcement relations (new)
- Creating a drug and alcohol-free workplace
- Workplace violence
- Preventing harassment
- Discrimination and Title VI
- Fatigue and fit-for-duty management
- Wellness
- Whistleblower policy

Vehicle Operations:
- Professional driving overview
- Introduction to the buses
- Vehicle handling and certifications by vehicle types
- Pre-trip and post-trip inspections

- Defect reports for maintenance
- Defensive driving
- Intersection procedures
- Railroad crossing procedures.
- Following distance
- Turn-maneuvering.
- Mirror adjustments and reference points
- Blind spots
- Backing accident policies and prevention
- Merging, lane changing, and passing.
- Practical drift from policies and procedures (new)
- Hazard identification process
- Situational awareness and pre-incident avoidance
- Accident investigation
- Pedestrian and bicyclist awareness
- J-walking by passengers
- Location-specific 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 assistance, service, interface, and rider safety
- Current local hazard awareness, including road construction, detours, flash flooding, homelessness, intoxicated and substance abuse, and mentally challenged riders
- Current local hazard awareness, including road construction, detours, flash flooding, homelessness, intoxicated and substance abuse, and mentally challenged riders
- "Tailgate" pre-pull out and office/shop "toolbox" safety briefings
- Assault awareness and de-escalation training
- Conflict resolution

Fleet Maintenance:

- Cal/OSHA requirements for industrial safety, compliance, and inspections.
- Emergency and safety management overview.
- Facility safety and security inspections
- Facility and surrounding area hazards
- Maintenance shop and bus yard incidents
- Facility structure and infrastructure incidents
- Fire incidents
- Flood incidents
- Hazardous material incidents and storage
- Biohazard spill incidents
- Intentional criminal acts, vandalism, and other property damage

- Industrial accident investigation
- Emergency communication procedures
- Near-miss and after-action reporting
- Emergency evacuation operational plans
- Good housekeeping for safety
- Right tools for job safety
- Toolbox Work Assignment and Safety Meetings
- Vehicle equipment and after-market security devices
- Assault awareness and de-escalation training

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

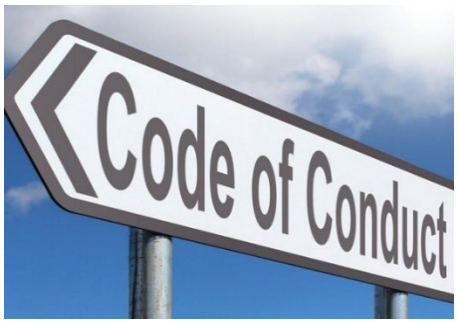
<u>All Employee SMS Training</u>
Under §5329(d)(1)(H) of the BIL provision for all PTASP, FTA requires that a grantee establish a comprehensive staff training program for bus operating, maintenance personnel, and staff personnel directly responsible for the safety of AVTA that includes:

(1) Approach to the required completion of a safety training program
   a. AVTA will continue to use its systemwide orientation and the new hire and refresher training of the service contractors.
   b. Safety orientation and training programs will be enhanced with SMS Awareness and the elements of AVTA's PTASP.
   c. c. CSOs will receive more in-depth training in the framework and principles of SMS and the elements of AVTA 's PTASP, including an introduction to the purpose, major elements, and select processes of SMS. This training will be equivalent to TSI's SMS Awareness course.

d. Train non-maintenance employees (e.g., office staff and drivers) that will interface with the maintenance area on OSHA requirements, facility safety procedures and industrial operational safety hazards.
e. Personnel subject to the enhanced safety training will include:
    i. AVTA's AE/CSO1, Operations and Contract Compliance Manager
    ii. Contractors' bus operators, dispatchers/controllers, maintenance managers and fore-persons, safety training supervisors, road supervisors, and safety data managers.

(2) As required continuing safety education and training, the AVTA PTASP approach to safety training will include:
a. Updates of SMS.
b. Updates of the PTASP.
c. Other FTA, local, state, and law enforcement changes to laws, regulations, and other requirements affecting transit management and operations.
d. Use and maintenance of employed safety technology.
e. Changes in the AVTA system, policies, procedures, or contractual scopes of work.
f. Changes in guidance for safety and security from outside resources, including but not limited to, FTA, TCRP, APTA, CalACT, Caltrans, NSC, and others.

(3) As required under provisions for confrontation de-escalation training:
a. Through a partnership with the L.A. County Sheriff partnership, training will include confrontation de-escalation, active-shooters response, and property damage.
b. Consideration of related sub-topics:
    i. De-escalation techniques and resources (e.g., be empathetic and non-judgmental, respecting personal space, keeping tone and body language neutral, avoiding overreaction, and setting boundaries).
    ii. Risk assessment analysis for the confrontation types by service mode, e.g., fare evasion or disputes, enforcement of AVTA's Code of Conduct, required wheelchair securement procedures, and addressing homeless riding the local fixed route service.
    iii. Tailoring de-escalation training for specific issues by service mode, i.e., fixed-route, paratransit.
    iv. Utilize the AVTA Code of Conduct in de-escalation training.



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 is not limited to, the procurement of new vehicles, changes to transit policies and/or procedures, the application of new or different federal, state, or local regulations, facility or system improvements, transit system design or operations, OSHA, and motor vehicle regulatory enforcement.

AVTA's communication efforts will also include educating customers and other stakeholders affected by system changes.

All Employee De-escalation Training

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

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

The training will be documented, and status reports will be made to the CSO1. The safety committees, the AVTA transit ambassadors, and contractor employees interacting with customers or the public should attend the training. The safety committees should also contribute to the development of the curriculum for systemwide assault awareness and de-escalation training, which can vary between fixed route service and paratransit service based on their different operating characteristics

9b. Safety Communications

This section describes the processes and activities related to SMS safety communications, which AVTA and the contractor will undertake to provide organization-wide, customer, and public safety information.

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

Safety Direction and Safety Performance

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

- Safety management written updates on monthly safety performance, the effectiveness of efforts to strengthen the safety cultures, and other safety communications, e.g., the mission statements which reinforce safety as the priority, ~~and~~ other safety awareness reminders and programs throughout the transit system whether in electronic memorandums, verbal encouragement, or employee newsletters and postings.
- Recognizing employees for positive safety performance, including, but not limited to, safety incentive programs, management verbal recognition, and recognition during organization safety meetings.

- Suggesting to executive and safety management of both AVTA and contractor organizations that they provide verbal recognition of employees (e.g., "*Thank you for your service*.") along with some safety reminders (e.g., "*Be safe out there.")* during encounters or when "walking the floor."
- Leading by example in being safe by all management and staff within operating facilities and in public.
- Conducting 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.
- Collaborating between AVTA and the contractors on strategies to increase employee safety awareness and providing feedback internally and externally for customers and other stakeholders. Such strategies may include visual, graphic, and audio messaging, as well as employee interaction with customers and the public.
- Reviewing existing and amended emergency communication policies and procedures in the event of collisions, incidents, other safety events, medical emergencies, and pandemic-related adverse situations between the contractor and AVTA, and internally within both contractors.
- Applying SMS safety assurance methods to continue contractor-proposed and delivered safety messaging and promotions.
- Establishing and mobilizing mode-specific safety committees involving frontline employees and management staff of all three organizations. Safety committees should report updates to all employees on safety projects, mitigations in response to identified hazards, policy and procedure changes, safety performance concerns, and safety management's openness to employee feedback.
- Promoting employee safety reporting program in various mediums and methods while assuring confidentiality and non-punitive responses.
- Utilizing various safety meeting formats, such as meeting agendas and minutes to deliver safety performance information, safety messaging, and training opportunities, 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 ("toolbox safety meetings) along with work schedules and assignments.
- Reviewing safety hazards and procedures prior to the undertaking of specific tasks, jobs, or assignments that may pose risks to the employees as safety reminders.
- Providing facility printed safety signage, safety posters, video playback of digital safety presentations, posting or other distribution of safety newsletters, OSHA notices, and other bulletin board safety memorandums based on a rotational placement plan and marketing principles for effectiveness and motivation.
- Outreaching to first responder agencies to build effective working relations, including the fire and police of Lawndale and Palmdale and the L.A. County Sheriff Department, especially traffic enforcement personnel who respond to bus accidents.
- Training drivers on providing verbal safety announcements or reminders to boarding and alighting customers (e.g., "*Please watch your step and use handrails."*).

- Providing safety and security marketing, messaging, and promotions for customer and public safety, such as:
    - Posting of interior advertising bus cards containing safety and security messages.
    - Posting decals or signage as safety reminders within the interior of buses.
    - Promoting safety and security by wearing safety vests while driving or assisting customers.
    - Providing customers with advertising specialties that promote safety and security.
    - Providing infectious disease warning and control signage.

9c. AVTA Operations Committee

AVTA management employs an operations committee to monitor weekly system performance. The Operations Committee consists of the AVTA Operations and Contract Compliance Manager/PTASP Coordinator and the general and operations managers of each service contractor. Other staff may also be included as required. The operations committee should also oversee and direct the implementation of SMS and the safety plan throughout the transit system. Exhibit S9-2: AVTA Operation and SMS Implementation Coordinating Committee illustrates the structure.

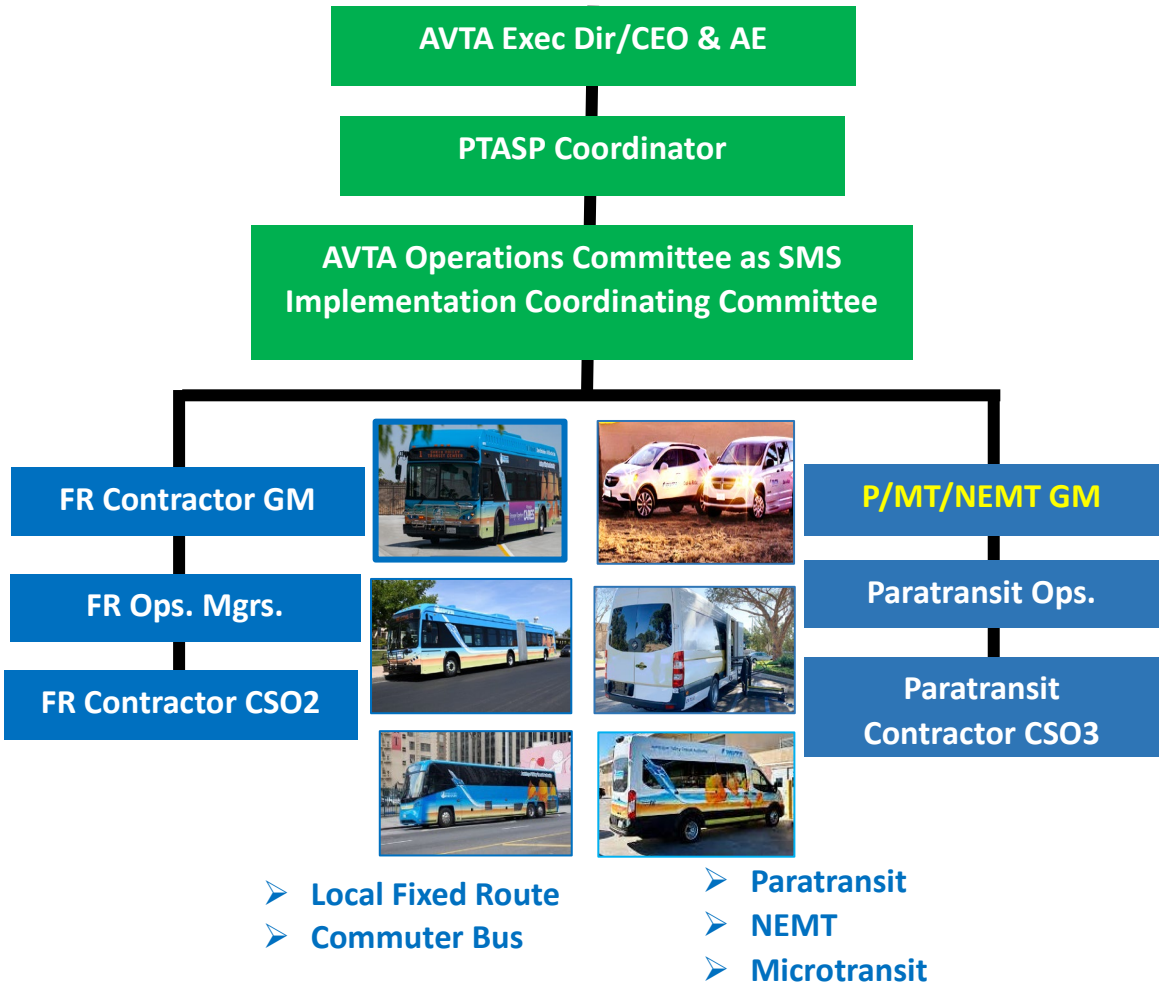


Exhibit S9-2: AVTA Operation & SMS Implementation Coordinating Committee

The Operation Committee's (Exhibit S9-2) responsibilities include serving as an advisory group for AVTA, the service contractor staff, and frontline employees. The committee should also serve as a technical advisor, reviewer, communication facilitator, and coordinator of planned SMS implementation activities. The ED/CEO/AE and CSO1 should serve as chairpersons of the operations committee

9d. Modal-Specific Safety Committees

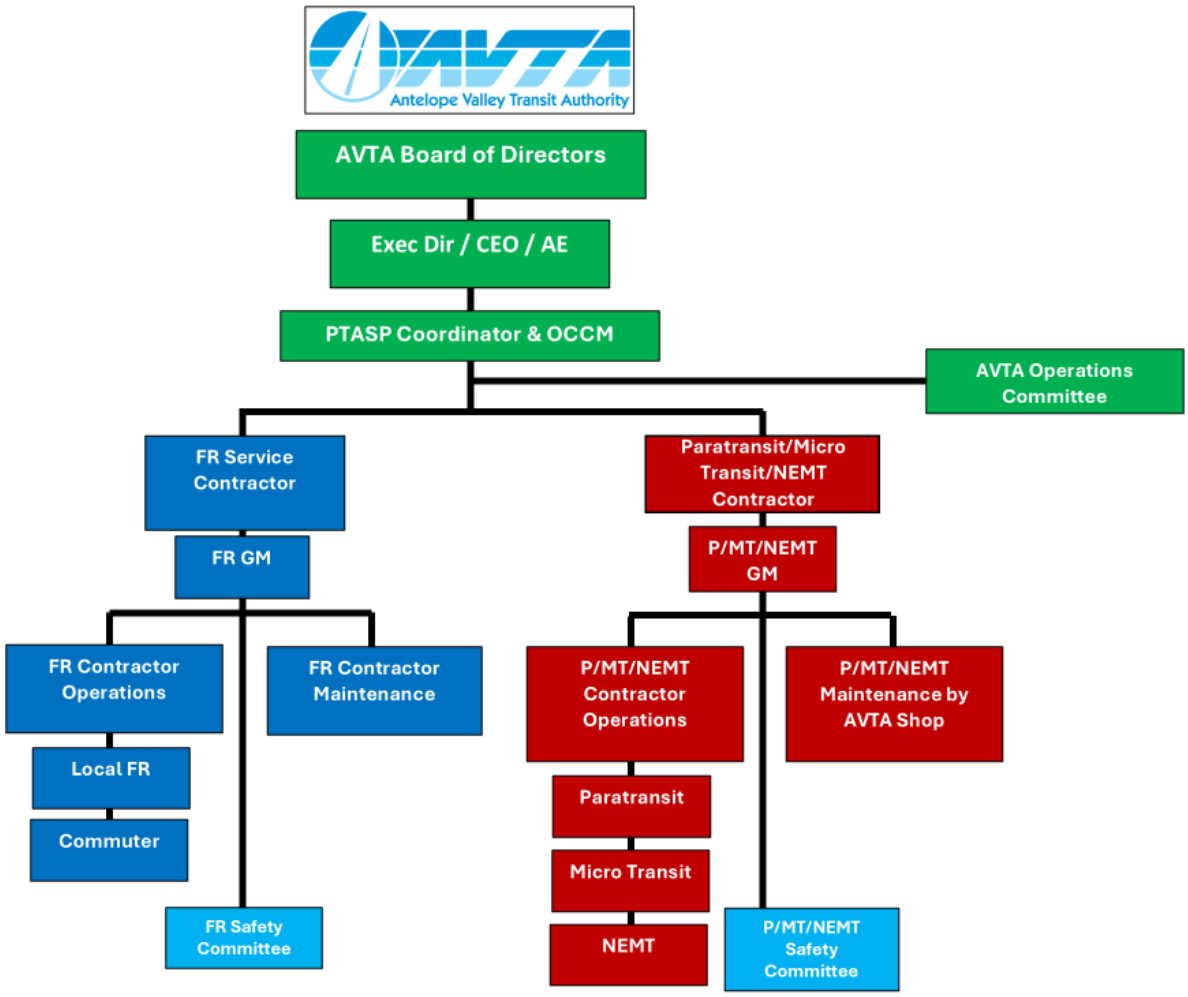


Exhibit S9-3: AVTA Operations and Safety Committees

AVTA safety committees are organized according to the modes of service. One safety committee represents the management and operations of fixed routes (local fixed-route and commuter bus). The other systemwide safety committee represents the day-to-day management and operations of paratransit, micro transit, and NEMT

Both safety committees should include an equal number of frontline employees and management. A representative of organized labor must also be on the fixed-route safety committee.

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

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

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

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

9d.1 FY 2025-2026 Safety Committee Membership

As stated above, the BIL requires safety committees to be evenly divided between managers and frontline employees. The FY 2025-2026 individual safety committee members for each service mode and their positions are listed in Exhibit S9-4.

Paratransit, Micro Transit, NEMT Safety Committee Membersby Job Titles	FR Safety Committee Member Job Titles
Safety & Training Manager	Operations Manager & Safety Manager
Safety & Training Supervisor	Operations Coordinator
Maintenance & Utility Representative	Logistics Manager
Commuter Driver (Union Stewart)	Operator
Commuter Driver	Operator
Transit Driver	Operator
Ops Dispatch Manage	Operator
Operations Dispatcher	Quality Assurance Manager
Road Supervisor	Compliance Specialist

Exhibit S9-4: FY 2025-2026 Modal Specific Safety Committee by Job Position

9e. Mode-Specific Operational Level Safety Committees

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

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

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

9f. Safety Committee Roles and Processes

Exhibits S9-2 and S9-3 illustrate the structure for the contractor safety committee's function relative to the AVTA Operations Committee. AVTA's two service contractors, one for all fixed-route services and a second contractor for demand-responsive

(paratransit) services, each have safety committees currently in place. Each of these safety committees will continue to focus on the safety and security of their contracted modes of service. Each of the two contractor committees has members representing frontline, maintenance, and management employees, including vehicle operators, mechanics, and administrative support personnel, e.g., dispatchers or customer service, depending on their agenda items.

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

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

1) Utilization of contractor-established or mode-specific safety committees:
    a. With operation and maintenance participation, frontline employees bring the perspective of street-level safety to one of two contractor safety committees, which are again modal-specific.
    b. Safety risk management process is employed from the committee's perspective
    c. Identification of safety concerns comes before the internal safety committees through:
        i. Employee safety reporting program by contractor
        ii. Hazard identification process by the contractor and mode
        iii. Customer safety complaints by contractor & mode
        iv. Safety data analysis: accident reports, root cause analysis, risk assessments, trend analysis
        v. PTASP planning process at the contractor level and mode
        vi. Safety meeting feedback
        vii. Recruitment, screening, hiring phase
        viii. Training
        ix. Other
2) CSO2 and CSO3 role:
    a. The CSO for each contractor's safety committee chair facilitates discussions and synthesizes the safety concerns for a report to be forwarded to CSO1.
    b. They also guide the committee to establish the goals and objectives, policy and procedure parameters, and loss control options for the concern being addressed.
    c. CSO 2 and CSO3 receive process support from AVTA contract administrators.
3) CSO1:
    a. Contractor staff should conduct investigations and fact-finding of safety events by including safety data analysis, risk assessment, inspections, and event safety reporting for Operations Committee considerations.
    b. CSO1 should refer any safety concern from contractors' safety committees to the AVTA Operations Committee, where concerns, recommendations, and risk severity are considered, addressed, and moved toward mitigation.
    c. The Operations committee conducts safety risk management for the mitigation development process and mitigation plan, where internal safety committees participate in developing, planning, and implementing

mitigations (operations, maintenance, organizational, technology, and other mitigations)
    d. ED/CEO Monitors progress
    e. Refer to CSOs for planning, implementation, communications, and training.
4) Management Operations Committee.
5) Safety Risk Management:
    a. Risk reduction program – loss control.
    b. Internal safety committee participation – causal factors, conditions, behaviors.
    c. Root causes examination.
    d. Options for mitigation or correction considered.
    e. Other functions:
        i. Hazard identification. This is the process of examining each work area and task to identify all the hazards that are "inherent in the job."
        ii. Risk identification.
        iii. Risk assessment.
        iv. Risk control.
        v. Documenting the process.
        vi. Monitoring and reviewing.
    f. Mitigation authorization
6) Contractor implementation
    a. CSO2 and CSO3 are responsible for implementing.
    b. Monitor and ensure mitigation performance.
    c. Measure internal safety committee satisfaction.
    d. Training of employees and supervisors

9g. Employee Safety Briefings and Meetings

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

Visitors doing business at the AVTA facilities, such as regular outside services (parts delivery, suppliers, equipment serving, and machinery repairs) and building contractors, should receive a safety briefing on AVTA safety policies and procedures as part of entering the facility and its ongoing services.

In addition to the monthly safety training meetings, the contractors should consider employing 5-minute periodic "tailgate meetings" with drivers prior to pullout. The tailgate meetings serve as quick safety briefings or bus talks prior to departure from the bus yard and provide the opportunity to refresh safety awareness. The topics may include any aspect of operational conditions for the day, previous close calls, and policies and procedures as reminders. Each attendee signs the attendance sheet

to indicate receipt of the briefing and acknowledgment of their understanding of the topic and as a reinforcement of safety awareness. The safety briefings should always end with a safety reminder or tip.

In the maintenance shop, a technique for reminding employees of safety first is through "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 toward the agency's safety goals and the proficiency of the agency's approach to safety.

10a. Safety Culture Concept

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

Exhibit S10-1: Elements of An Effective Safety Culture

10b. Interdependence Between Safety Culture and SMS

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

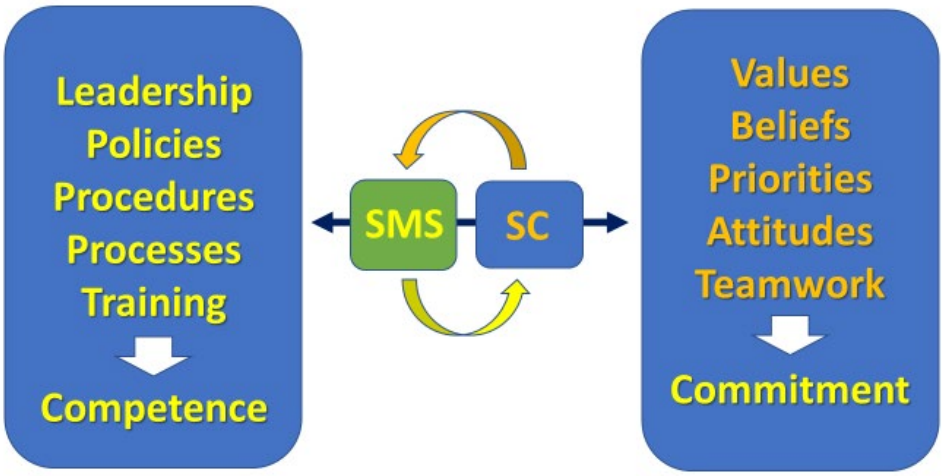


Exhibit S10-2: SMS-Safety Culture Symbiotic Relationship

10c. Major Safety Culture Characteristics

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

- Everyone is empowered and expected to stop and question or report when things 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 at AVTA.
- Teamwork is a requirement for working at AVTA.

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

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

Changes to the AVTA system can include the following examples:

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

12. CONTINUOUS IMPROVEMENT

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

example of continuous improvement is improving the—immediate quality of safety management and developing safety initiatives that contribute to strengthening the safety culture of the contractors.

A safety plan does not ensure a completely safe and secure transit system. Even with the implementation of all its recommended actions, including SMS, a safety plan is only the beginning. As part of continuous improvement, AVTA should develop and carry out action plans that address any identified safety deficiencies. To do this, AVTA can make use of the six (6) steps of 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, recurring issue, review of operational options related to attaining safety performance targets, etc.).

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

4) Analyze the issues, causal factors, and root causes and develop options for improving safety or mitigating a particular safety issue and continuously improving mitigations through the safety assurance process.

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

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

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

13. TAM PLAN & STATE OF GOOD REPAIR

In accordance with AVTA's Transit Asset Management (TAM) Plan, as required under 49 C.F.R. Part 625, AVTA should consider the results of its assets (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 RECORD KEEPING

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 broadly refers 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. These documents include actions that required appropriate authority under the AE or those in the form of Board resolutions, directives, and minutes with the Clerk of the Board. This requirement provides continuity in the phased implementation of AVTA SMS and for requests from FTA.

15. RECOMMENDED SAFETY ACTIONS FOR FY 2025 – 2026

15a. SMS Implementation

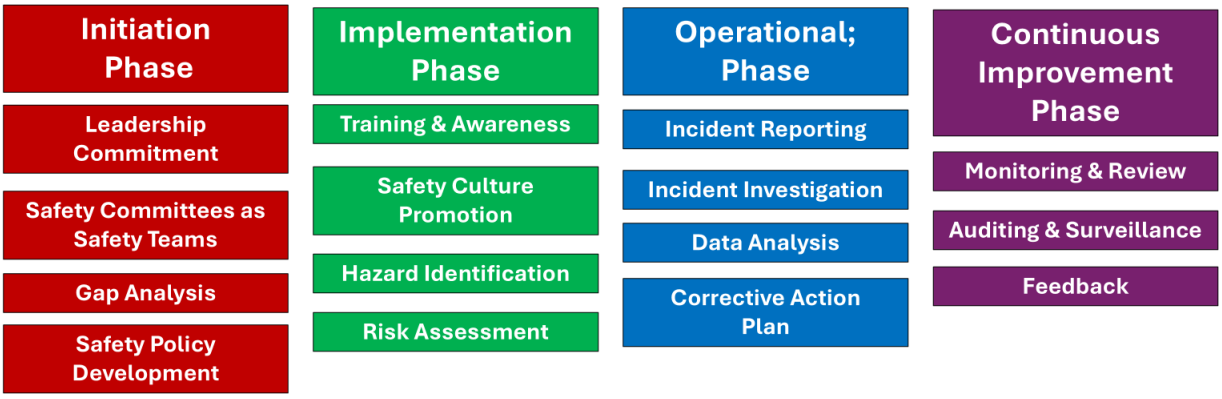


Exhibit S15–1: Key Activities in Implementing SMS at AVTA

When implementing a Safety Management System (SMS) within AVTA and by each of the service contractors, key safety activities and programs include:

- Designating a safety team or safety committees serving as safety teams.
- Conducting a gap analysis between SMS principles and actual practice.
- Continuing to apply established safety policies and procedures of both contractors in accordance with AVTA safety standards.

- Continuing to provide comprehensive safety training on SMS and safety policies and procedures for new hires and as refresher training.
- Promoting a safety culture through safety communications and aggressive safety awareness campaigns.
- Actively reporting and investigating safety incidents.
- Analyzing safety data and setting annual safety performance targets.
- Implementing corrective actions.
- Continuously monitoring and reviewing the SMS effectiveness.

All the key activities are aimed at proactively identifying and mitigating safety risks within AVTA. As outlined in this PTASP, the Safety Management System (SMS) is a structured framework for managing workplace safety and ensuring compliance with transit standards. Implementing SMS prevents accidents, protects employees and customers, and enhances operational efficiency. As outlined throughout this PTASP, below are some of the essential steps to develop and implement a robust SMS for AVTA and its contracted operations.

- Establish strong safety commitment through AVTA leadership and involvement.
- Develop and adopt a safety policy and plan (PTASP).
- Link the PTASP to AVTA's CalOSHA-required IIPP, and its TAM plan.
- Conduct hazard identification, risk assessment, and mitigation development.
- Establish clear safety objectives with an adopted safety management policy.
- Implement management and operational controls.
- Integrate effective safety management into daily operations.
- Ensure employee safety awareness and participation.
- Provide regular safety training and refresher training.
- Monitor and measure safety performance.
- Conduct regular safety inspections, observations, and in-depth reviews.
- Develop emergency preparedness and response plans.
- Review and improve AVTA's SMS.
- Strive for continuous improvement.

Exhibit S15-2: SMS Cycle by FTA

Exhibit S15-3 illustrates the status and recommended implementation actions for AVTA and its service contractors. It also summarizes the key phases and activities to conduct in implementing SMS at AVTA.

A. Initiation Phase
1) AVTA safety leadership
2) Contractor safety leadership
3) Gap analysis
4) Policy development

B. Implementation Phase
1) Training and safety awareness
2) Safety culture promotion
3) Hazard identification
4) Risk assessment

C. Operational Phase
1) Incident reporting
2) Incident investigation
3) Data analysis
4) Corrective action plans

D. Continuous Improvement Phase
1) Monitoring and review
2) Safety committee meetings
3) Uniform safety reports
4) Auditing and surveillance
5) Feedback loop

E. Important considerations
1) Tailored approach
2) Communication and engagement
3) Accountability

Exhibit S15-3
PTASP SMS Implementation Status and FY 2025-2026 Recommended Actions

A table in Appendix J: FY 2025-2026 Established & Recommended Action List provides an indication of the current status of those implementation activities listed in Exhibit S15-3.

Legend: A. Completed/Established B. Continuous/On-going C. In Progress D. Action Planned/Recommended

15b. SMS Implementation Plan

Refer to APPENDIX J: FY 2025-2026 Established & Recommended Action List

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

Elements of the SMSIP should include:

- Acceptance and commitment to the Safety Management Policy by key individuals involved in implementation.
- Review and prioritization of the PTASP's recommendations and how they establish key individual roles and responsibilities within SMS.
- Within the structured authorities of contract management and contractor operations (Exhibit S15-1), assigning responsibility for incorporating current or adapted safety activities and the implementation of new safety activities among key individuals.
- Direct lines of communication on safety and SMS matters among key individuals so that collaboration and cooperation are promoted.
- Conducting a gap analysis between existing and contracted SMS elements and PTASP-identified elements along the proposed activities or programs for safety policy, safety risk management, safety assurance, and safety promotion.
- Reviewing and ensuring the effectiveness of established policies and procedures related to safety, including consistency between AVTA and the contractor.
- Communicating safety matters to all employees and seeking employee involvement and input in making safety the priority.
- Develop 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 the Transtrack reporting system to include sufficient safety performance data to meet effective data-driven safety decision-making.
    - Developing a pandemic risk management plan for the FY 2024-2025.
    - Establishing a formal hazard identification and mitigation development process.
    - Assessing the transit system's current safety culture and identifying those safety cultural characteristics that need improvement or refinement.

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

15c. SMS Implementation Organizational Areas of Responsibility

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

1) The AE also serves as the ED/CEO for AVTA and, through the contractor's general manager, has oversight and immediate responsibility for the contractor's overall operating performance.
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 the implementation of the PTASP and SMS.
3) As AE, the ED/CEO is related to the contractor's GMs and CSOs in terms of putting into effect the PTASP and implementing SMS. CSO2 and CSO3 are the project managers for SMS implementation at the operational level, which includes developing and implementing action plans for aspects of SMS that are listed above and in Appendix J.
4) CSO1 serves as the chairperson of the system-wide SMS Implementation Coordinating Committee, which advises on SMS implementation matters and overall safety issues, including training. For this PTASP, this committee could consider all SMS components, safety performance, security, and related policies and procedures. Accident investigation and reviews, classification of an accident as preventable or non-preventable, discipline, and appeals remain 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 an SME.
6) Generally, representatives on the committee include the various functional areas of the transit system.
7) The contractors' Internal safety department, work center, or work shift committees are chaired by their company CSO, who provides input and receives feedback from the SMS Implementation Coordinating Committee to disseminate information within the operations.

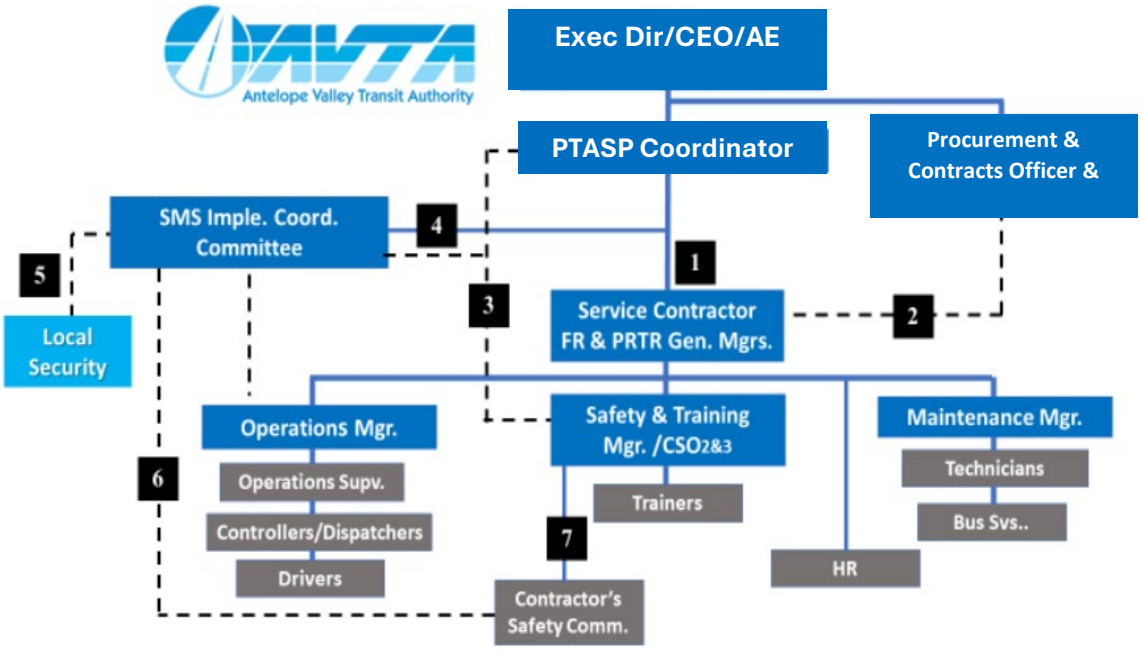


Exhibit S15-4: SMS Implementation Areas of Responsibility

16. ADDITIONAL INFORMATION

16.a. Supporting Documentation

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

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

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

17.a. Term	Definition
Cal/OSHA	The California Occupational Safety and Health Administration is a state regulatory department for workplace health and safety.
Commuter Bus	Fixed-route bus systems that primarily connect outlying areas with a central city and operate at least five miles of continuous closed-door service. This service may operate motor coaches (aka over-the-road buses) and usually feature peak time scheduling and limited stops in the destined central city.
Coronavirus/COVID-19	2020 global infectious virus pandemic
COVID-19 wave	Recurrence of the coronavirus pandemic after Winter 2020
CSO1	Chief Safety Officer for AVTA
CSO2	Chief Safety Officer for the fixed route contractor
CSO3	Chief Safety Officer for the paratransit contractor
Demand-Response, Dial-A-Ride, Microtransit, Non-Emergency Medical Transportation (NEMT)	Point-to-point transit service, where service is typically provided upon request and/or reservation when boarding and alighting locations are arranged—AVTA paratransit service modes.
Fixed-Route Bus	AVTA local, express, and/or rapid bus service that follows a fixed route and typically also a fixed schedule, including the AVTA Transporter, Lancaster and Palmdale local fixed route, and commuter bus. Passengers typically board and alight at fixed stops.
Pandemic	Global outbreak of infectious disease, i.e.,COVID-19/Coronavirus
Paratransit	Non-fixed-route transit services of AVTA, including Dial-A-Ride, Microtransit, Non-Emergency Medical Transportation.
Part 673	The Public Transportation Agency Safety Plan (PTASP) final rule (49 C.F.R. Part 673)
Practical Drift	The slow uncoupling of practice from written policies and procedures. Practical drift usually occurs to fit the needs of the individual, e.g., taking shortcuts in procedures or not conducting work as prescribed by training. In the absence of oversight, the needs of the individual will eventually trump the needs of the organization, process, or customers.

Risk Reduction Program	A safety risk management strategy consists of risk assessment analysis, development, and implementation of hazard or threat mitigations and corrective actions, which are interventions to improve transit system safety and security.
TrAMS	FTA's Transit Award Management System – grant management system
Transporter	AVTA commuter route between Antelope Valley and the City of Santa Clarita and their transit system.
TransTrack	AVTA's transit performance data management system, formerly known as TransTrack Transit Performance Manager.

LIST OF ACRONYMS USED IN THE AVTA SAFETY PLAN

17.b Acronym	**Word or Phrase**
AE	Accountable Executive for the PTASP
APTA	American Public Transportation Association
ASP	Agency Safety Plan
AVTA	Antelope Valley Transit Authority
CalACT	California Association for Coordinated Transportation
Caltrans	California Department of Transportation
CBA	Collective Bargaining Agreement
CDC	Centers for Disease Control and Prevention
CDPH	California Department of Public Health
CEO	Chief Executive Officer
COO	Chief Operating Officer
COVID-19	Name of the disease caused by the new coronavirus that is called SARS-CoV-2, or sometimes just "novel coronavirus". Here: same as Coronavirus.
CSO1	Chief Safety Officer of AVTA On the Agency Management Level
CSO2	Chief Safety Officer of the Fixed Route Service Contractor on the Operations Level

CSO3	Chief Safety Officer of the Paratransit Service Contractor on the Operations Level
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
IIPP	Cal/OSHA-required Injury and Illness and Prevention Plan
JPA	Joint Powers Authority
LA Metro	Los Angeles County Metropolitan Transportation Authority
LACPHD	Los Angeles County Public Health Department
MCI	Motor Coach Industries – a bus manufacturer
MPO	Metropolitan Planning Organization
NCHRP	National Cooperative Highway Research Program
NEMT	Non-Emergency Medical Transportation
NPTSP	National Public Transportation Safety Plan
NSC	National Safety Council
NTD	National Transit Database
PMT	Passenger Miles
PRMP	Pandemic Risk Management Plan
PRTR	Paratransit
PTASP	Public Transportation Agency Safety Plan
RRP	Risk Reduction Program
RSV	Respiratory syncytial virus - common, contagious virus that affects human respiratory systems.
SB 553	California Senate Bill 553 – Workplace Violence Prevention Program
SCAG	Southern California Association of Governments
SMPS	Safety Management Policy Statement
SME	Subject Matter Expert

SMS	Safety Management Systems
SPT	Safety Performance Target
TCRP	Transit Cooperative Research Project
UPT	Unlinked Passenger Trips
VRM	Vehicle Revenue Miles
VRH	Vehicle Revenue Hours

AVTA PTASP Appendices

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

APPENDIX A

PTASP Accountable Executive Certification Checklist for

Executive Director/CEO

AVTA AE Checklist for Bus Transit

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

Accountable Executive: Martin Tompkins, Executive Director/CEO
Agency: Antelope Valley Transit Authority (AVTA)
Location: Lancaster, CA - Antelope Valley
Due Date: May 27, 2025

FTA Requirements

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

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

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

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

1. **Bipartisan Infrastructure Law (BIL) Requirements for PTASP** (Amendment of February 17, 2022)

- ☒ Exposure to Infectious Diseases - *Each transit agency should consider identifying mitigations or strategies related to exposure to infectious diseases through the safety risk management process described in the agency's PTASP.*
- ☒ Risk reduction program element.
- ☒ Safety training to include maintenance personnel, recognizing that AVTA Maintenance provides fleet maintenance to AVTS,
- ☒ Safety committees to include frontline employees and representatives of labor.

2. Transit Agency Information

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

3. Plan Development, Approval, and Updates

- ☒ Name of the entity that drafted the Agency Safety Plan.
- ☒ The Accountable Executive's signature on the Agency Safety Plan and date of signature.
  Executed Date: May 27, 2025
- ☒ The Board of Directors or Equivalent Authority's approval of the Agency Safety Plan and date of approval. Board Adoption Date: May 27, 2025
- ☒ 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: May 27, 2025
- ☒ Process and timeline for conducting an annual review and update of the Agency Safety Plan, including the Agency Safety Plan version number and other relevant information.

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

4. Safety Performance Targets

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

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

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

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

☒ Performance targets are made available to the State to aid in the planning process. - N/A

☒ Agency notified State DOT opting-out of State's role in developing a plan for Agency.

☒ Performance targets are made available to the Metropolitan Planning Organization(s) (MPOs) to aid in the planning process, i.e., the Southern California Association of Governments (SCAG). Board Adoption Date: May 27, 2025

☒ 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: May 27, 2025

5. Safety Management Policy

☒ Written statement of Safety Management Policy (SMP), including the agency's safety objectives, i.e., the AVTA Safety Management Policy Statement (SMPS), PTASP Section 5, Element 5a.

☒ Employee safety reporting program, that includes:
- ☒ A process that allows employees to report safety conditions to senior management of AVTA and of each contractor.
- ☒ Protections for all AVTA and contractor employees who report safety conditions to senior management.
- ☒ A description of employee behaviors that may result in disciplinary action, and therefore are excluded from protection.

☒ Communication of the safety management policy throughout the agency's organization, including AVTA and its contractors.

☒ Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's Safety Management System (SMS), for the following individuals:
  - ☒ The Accountable Executive (also known as the Executive Director & CEO)
  - ☒ The PTASP Coordinator/Chief Safety Officer
  - ☒ Agency leadership and executive management
  - ☒ Key staff
  - ☒ The Chief Safety Officers for agency's service contractors

6. Safety Risk Management

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

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

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

☒ Risk reduction program: Methods or processes that include the identification and prioritization of risks, threats and hazards followed by the implementation and evaluation of strategies to lessen their impact.

7. Safety Assurance

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

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

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

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

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

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

8. Safety Promotion

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

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

9. Compliance with BIL New PTASP Requirements

☒ Implement safety committees by mode with frontline members and have this committee review, comment, and recommend additional elements for consideration in the updated FY 2025-2026 PTASP.

☒ After SCC action and Board consideration of any changes, certify to FTA that THE FY 2025-2026 PTASP is compliant with the PTASP regulation (49 CFR Part 673) on or before December 31, 2025.

☒ Provide for infectious disease strategies in FY 2025-2026 PTASP to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions, and consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority, minimize exposure to infectious diseases.

☒ Plan to establish a risk reduction program in the FY 2025-2026 PTASP within SMS Safety Risk Management activities, where AVTA shall certify that it has established a comprehensive agency safety plan that will implement a risk reduction program, which includes:

(1) A reduction of vehicular and pedestrian accidents involving buses that includes measures to reduce visibility impairments for bus operators that contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments [§5329(d)(1)(I)(i)].

(2) The mitigation of assaults on transit workers, including the deployment of assault mitigation infrastructure and technology on buses, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators when a risk analysis performed by the safety committee

determines that such barriers or other measures would reduce assaults on transit workers and injuries to transit workers [§5329(d)(1)(I)(ii)].

(3) Risk reduction performance targets that the SSC shall establish for the risk reduction program using a 3-year rolling average of the data submitted by the recipient to the National Transit Database [§5335 and §5329(d)(4)(A)] [Note: Performance targets for a risk reduction program are not required to be in place until FTA has updated the National Public Transportation Safety Plan to include applicable performance measures.]

☒ Implement a risk reduction program through AVTA's contractors to comply with the above requirements by 12/31/2025.

☒ Establish within the FY 2025-2026 PTASP comprehensive training, education, and safety awareness programs for transit workers and customers, including bus operating and maintenance personnel and personnel directly responsible for the safety of AVTA that includes:

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

☒ Identify additional safety training for AVTA service contractors, especially for the paratransit/micro transit/NEMT operator and more comprehensive de-escalation training desired by the fixed route contractor when requested or as directed by the PTASP Coordinator/CSO1.

☒ Implement any enhanced training programs for AVTA's contractors as outlined above before December 31, 2025.

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

Signature: _____ Date: _____

Martin J. Tompkins
Executive Director/CEO and PTASP Accountable Executive

PTASP FY 2025-2026
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 system (SMS) framework to identify safety hazards, mitigate risk, and reduce casualties and occurrences resulting from transit operations.

1. Objective/Outcome:
   Reduce the number of transit-related fatalities.
   a. *Metric: Number of fatalities per specified passenger miles traveled*
   b. *Baseline: Identify a baseline*
   c. *Target: Establish a reasonable measure using past and present performance data and trends*

2. Objective/Outcome:
   Reduce the number of transit-related injuries.
   a. *Metric: Number of injuries per specified passenger miles traveled*
   b. *Baseline: Identify a baseline*
   c. *Target: Establish a reasonable measure using past and present performance data and trends*

3. Objective/Outcome:
   Increase assessment and analysis of existing personnel, equipment, and procedures to identify and mitigate any potential safety hazards.
   a. *Metric: Number of safety audits, inspections, or assessments completed per specified time period*
   b. *Baseline: Identify a baseline*
   c. *Target: Establish a reasonable measure using past and present performance data and needs*

4. Objective/Outcome

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

a. *Metric: Percent of corrective action strategies complete per specified period*
b. *Baseline: Identify a baseline*
c. *Target: Establish a reasonable measure using past and present performance data and needs*

GOAL 2: STRENGTHEN SAFETY CULTURE

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

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

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

3. Objective/Outcome:
   Conduct regular transit employees and staff safety meetings (i.e., monthly safety meetings, pre-pull out safety briefings, and pre-assignment safety briefings). Such meetings and briefings will be comprised of the appropriate staff at varying levels, including executives, officers, managers, operators, and maintenance personnel as required.
   a. Metric: Number of meetings per specified period or number of meetings per incidents/occurrences
   b. Baseline: Identify a baseline
   c. Target: Establish a 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 by adding SMS Awareness to the new hire training program, attending available transit safety training, covering safety in all refresher training events, and covering required training due to changes in the operating system.
   a. *Metric: Number of employee safety training hours completed per specified period.*
   b. *Baseline: Identify a baseline*
   c. *Target: Establish a reasonable measure using past and present performance data and trends*
7. Objective/Outcome:
   Increase safety marketing outreach, including material distributed amongst employees and the public by developing and producing safety messaging and promotions internally to employees and customers and externally to the public that may interface with AVTA service.
   a. *Metric:*
      i. *Number of schedules, newsletters, safety brochures, posters or campaigns distributed per specified period.*
      ii. *Number of visits to the AVTA webpage and safety link*
      iii. *Number of outreach events to schools, senior organization, bicyclist*
   b. *Baseline: Identify baselines*
   c. *Target: Establish a reasonable measure using past and present performance data and trends*

GOAL 3: SYSTEMS/EQUIPMENT:

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

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

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

PTASP FY 2025-2026

APPENDIX C

STAFF SAFETY ROLES AND RESPONSIBILITIES CHART

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			
Field & Operations Supervisors			
Dispatch Supervisor/Controller			
Trainers			

Vehicle Operators			
Maintenance Mgr.			
SMS Coordinating & Safety Committee Members			

PTASP FY 2025-2026

APPENDIX D

SAFETY ASSESSMENT AND SYSTEM REVIEW FORM

Review Version Number: _____

The Safety Assessment and System Review should be completed semi-annually. 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 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 Executive Director/CEO Date of Review

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APPENDIX E

FACILITY SAFETY and SECURITY ASSESSMENT FORM

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**

PTASP FY 2025-2026

APPENDIX F

SAMPLE EMPLOYEE HAZARD IDENTIFICATION FORM

DATE OF REPORT: _____

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

EMPLOYEE NAME: _____

EMPLOYEE IDENTIFICATION NUMBER: _____

EMPLOYEE'S PROJECT DEPARTMENT: _____

EMPLOYEE'S SUPERVISOR: _____

HAZARD AREA: _____Street Operations _____Yard _____Office

_____Maintenance Shop _____Other:

Describe Other: _____

LOCATION/ADDRESS OF HAZARD:

_____

GPS Coordinates: _____ X _____

LANDMARKS:

_____

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

_____

_____

_____

EMPLOYEE'S COMMENTS AND SUGGESTIONS:

_____

_____

EMPLOYEE'S SIGNATURE: _____

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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 FY 2025-2026

APPENDIX H:

Risk Assessment Matrix (RAM) – Risk Level Assessment Chart

Identified Hazard:

Severity	Consequences: People	Consequences: Assets	Consequences: Environment	Consequences: Reputation	Likelihood 1: Practically impossible (never heard of in the industry)	Likelihood 2: Remote, not likely to occur	Likelihood 3: Could occur, or heard of it happening	Likelihood 4: Likely, known to occur or has happened before	Likelihood 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)

PTASP FY 2025-2026

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

PTASP FY 2025-2026

APPENDIX J

FY 2025-2026 Established & Recommended Action Item List

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

PTASP SMS Implementation Status and FY 2025-2026 Recommended Actions

Legend: **A. Completed/Established** **B. Continuous/On-going** **C. In Progress** **D. Action Planned/Recommended**

SMS Phases for FY 2025-2026	Status	#	Task/Activity
Initiation Phase	**A**	1.	**AVTA safety leadership:** AE and PTASP Coordinator should periodically reinforce AVTA's commitment and priority for system safety and its Mission Statement with internal public statements through verbal and written statements.
	A	2.	**Contractor safety leadership:** Company general managers, safety managers/CSOs, trainers, operation directors, and supervisors should continue to regularly make internal statements of the priority for safety and safety awareness,
	D	3.	**Gap analysis**: Assess the current safety practices against SMS requirements to identify areas for improvement.
	D	4.	**Policy development:** Continuously evaluate comprehensive safety policies and procedures for their alignment with the SMS framework and principles.

Implementation Phase	A&B	1.	**Training and safety awareness:** Continue to provide comprehensive SMS training to all employees at all levels, including the PTASP, principles of SMS in the work environment, operational safety, and safety reporting.
	A&B	2.	**Safety culture promotion:** Continue to foster a positive safety culture through open communication, employee engagement, and recognition programs.
	A&B	3.	**Hazard identification:** Continue to encourage proactive hazard identification through regular safety audits, inspections, and employee feedback mechanisms.
	A&B	4.	**Risk assessment:** Conduct thorough risk assessments to prioritize hazards based on severity and likelihood of occurrence. Assess risk conflicts in operational policies and procedures
Operational Phase	A&B	1.	**Incident reporting:** Continue to use safety system reporting of all safety incidents, near misses, and potential hazards, including through a formal Employee Safety Reporting Program (ESRP) as required by FTA. Continue to blend contractor-specific safety reporting with AVTA's TransTrack data management system.
	C&D	2.	**Incident investigation:** Reaffirm the use of effective accident investigation processes of the two contractors on all reported and significant incidents to identify trends, root causes, and corrective actions.
	C&D	3.	**Data analysis:** Require consideration and discussion of safety data by safety committees and monthly reports. CSO 2 & 3 and the safety committees should regularly analyze safety data to identify trends, patterns, and areas of risk.
	C&D	4.	**Corrective action plans:** Develop and implement effective corrective actions (mitigations) based on investigation findings.
Continuous Improvement Phase	D	1.	**Monitoring and review:** Establish regular monitoring of the effectiveness of the SMS through performance

			indicators and feedback mechanisms, especially with the safety performance targets.
	C&D	2.	**Safety committee meetings:** As expected for compliance, each mode-specific safety committee should meet monthly based on agendas, all-member participation, recording and posting minutes for employees to view, and make recommendations on safety items to the CSO1.
	C&D	3.	**Uniform safety reports:** Each safety committee should produce a written monthly safety report based on monthly safety events, identified hazards, close calls, received ESRP reports, mitigation methods to consider, accident and incident investigations, and recommendations to the CSO1. The paratransit, micro transit, NEMT service contractor offers a format and example of such a report for both contractors.
	D	4.	**Auditing and surveillance:** Conduct internal and external audits to ensure compliance with SMS requirements.
	C&D	5.	**Feedback loop:** Encourage continuous feedback from employees to identify areas for improvement and update SMS procedures.
Important considerations	A&B	1.	**Tailored approach:** Adapt SMS implementation to the specific needs and context of AVTA. This is especially applicable in different modes, i.e., fixed route vs. on-demand paratransit.
	C&D	2.	**Communication and engagement:** Ensure clear and consistent communication throughout the SMS implementation process to maintain employee engagement.
	A&B	3.	**Accountability:** Assign clear accountability for CSOs for safety performance at all levels of AVTA transit system and for both service contractors.

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 that 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. **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

RISK REDUCTION PROGRAM (RRP)

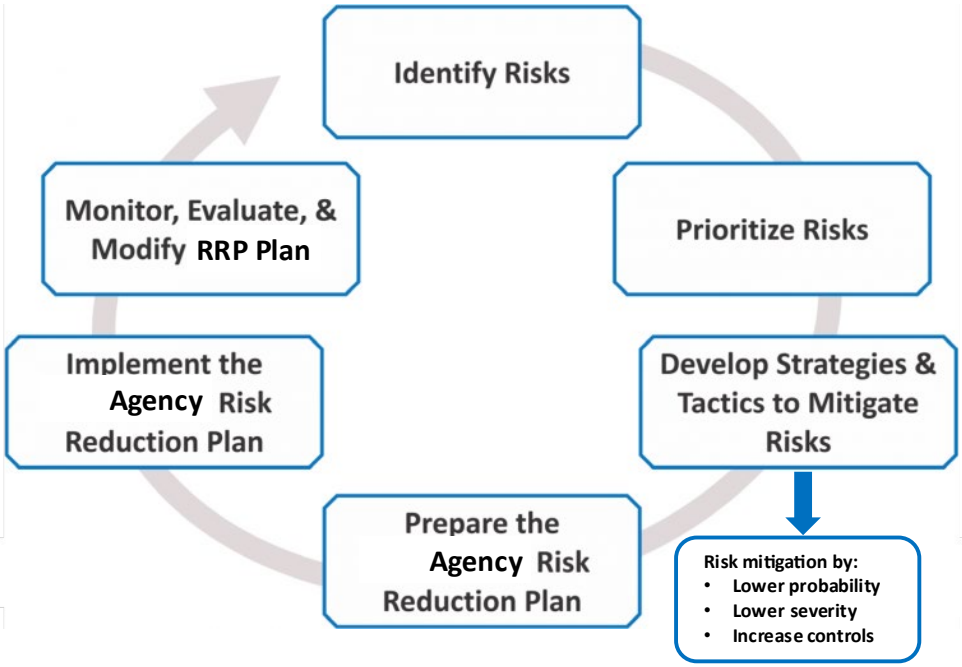
RRP Purpose: To deal with risk by preventing loss or reducing the chance that it will occur.

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

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

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

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



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

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

- Reducing the frequency of risk
- Reducing adverse consequences or severity.
- Combining the above.

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

Understanding SMS Safety Risk Management Principles and Risk Reduction Program

While both a risk reduction program and FTA's Safety Risk Management (SRM) within a SMS (See SMS's Principle II below) aim to reduce safety risks, the SRM process is a formal, organization-wide approach that encompasses continuous improvement, while a risk reduction program can be a more general, reactive approach.

- **Formal**
- **Organization-wide**
- **Systematic safety polices & procedures**
- **Proactive & continuous**

- **General safety**
- **Reactive**
- **Hazard-specific**
- **Correction-specific**

Risk Reduction Program

Detailed comparison:

FTA's Safety Risk Management (SRM) within SMS:

1. **Focus:** A comprehensive, systematic, and proactive approach to managing safety risks across an entire organization.
2. **Scope:** Encompasses all aspects of safety, from hazard identification and risk assessment to mitigation, monitoring, and continuous improvement.
3. **Approach:** Employs a structured, data-driven process to identify, assess, and mitigate risks, ensuring that safety performance is continuously monitored and improved.

4. **Key Components:**
   - Safety Policy: Establishing safety management policy, leadership commitment, assigned safety responsibilities and accountability.
   - Safety Risk Management (SRM): Identifying, analyzing, and mitigating safety risks.
   - Safety Assurance (SA): Evaluating the effectiveness of implemented risk controls and identifying new hazards.
   - Safety Promotion: Fostering a strong safety culture within the organization.
5. **FTA's Role:** The FTA uses its SRM process to assess and mitigate industry-wide safety risks using authorities specified in 49 U.S.C. Example**:** A transit agency implementing an SMS would use SRM to identify potential hazards like bus collisions or transit worker assaults, assess the risks, implement safety measures, and continuously monitor and improve the effectiveness of those measures.
6. **FTA's Most Recent Concerns:** Two of the most recent concerns of FTA are (1) assaults upon transit workers; and (2) Infectious diseases that may affect transit workers. Transit workers subject to these risks are when drivers come in contact to or interface with riders or the public.

Risk Reduction Program:

1. **Focus:** Identifying potential hazards and implementing safety measures to mitigate the impact of unexpected events.
2. **Scope:** Can be more reactive and focus on specific areas or risks.
3. **Approach:** May involve a less structured approach, with a focus on addressing immediate safety concerns, e.g., accident investigation and root cause analysis. Example: A company implementing a new safety protocol after an incident or implementing a new safety program to reduce the risk of workplace injuries.
4. **Relationship with SMS:** Risk reduction programs can be a component of an SMS, but an SMS is more than just a risk reduction program.
5. **Key Differences:**

Feature	Approach	Scope	Data-Driven	Continuous Improvement
FTA's SRM within SMS	Formal, organization-wide, proactive, systematic	Comprehensive, encompassing all aspects of safety	Yes, uses data to identify, assess, and mitigate risks	Yes, focuses on continuous improvement of safety performance
RRP	Reactive, focused on specific areas or risks	Can be more focused	May or may not be data-driven	May not focus on continuous improvement

AVTA's Compliance with Risk Reduction Program Implementation

AVTA and its service contractors will reduce risks within the transit system through a multi-faceted approach. This multi-faceted approach should include (1) identifying, assessing, and prioritizing responses to specific risks; (2) implementing controls, safeguards, and

other mitigations against the specific risk; and (3) developing action plans to mitigate or transfer the specific risk. All the while fostering a risk-awareness culture.

A more detailed breakdown of how AVTA should conduct its RRP follows:

1. Risk Identification and Assessment:
    a. Identify potential risks through reporting, safety data analysis, risk assessments, and operator feedback from safety events. Additionally, brainstorming.
    b. Analyze past incidents to pinpoint potential threats to the organization by the organization's CSOs and safety committees.
    c. Assess the likelihood and impact (severity of consequences) by evaluating the probability of each type of risk occurring and the potential consequences, including injuries, physical damage, and the cost if it does. This process helps prioritize which risks require the most attention.
2. Risk Management Strategies that AVTA and the service contractors may consider:
    a. Risk Avoidance - deciding not to engage in certain tasks, activities, or projects that pose unacceptable risks.
    b. Risk Reduction—implementing measures to minimize the likelihood or impact of a risk, such as controls, safeguards, and good industry practices.
    c. Risk Transfer - shifting the responsibility or financial burden of a risk to another party, often through insurance or contracts and terms, e.g., hold harmless provisions.
    d. Risk Acceptance - acknowledging that all or any one risk is unavoidable, or the cost of mitigation is too high and accepting the potential consequences with self-insurance or budget allocations.
3. Implementation and Monitoring - developing and implementing comprehensive risk management plans.
    a. Creating specific plans to address specific identified risks, e.g., installing and maintaining driver compartment shields or barriers to better control driver-customer interaction.
    b. Implementation of other mitigation strategies, e.g., de-escalation training and available L.A. County Sheriff Department response or assistance, contingency plans, and improved communication protocols.
    c. Implement controls and safeguards—Establish systems, procedures, and technologies to prevent or mitigate risks, such as security measures or procedures, quality control processes, and service continuity plans.
    d. Monitor and review risk management effectiveness—regularly assess the effectiveness of risk management strategies and make adjustments as needed. Utilize employee and safety committee input, suggestions, and feedback.
4. Foster a risk-aware or *Safety-First* culture.
    a. Train employees in risk management principles, including the SMS process. A "safety-first culture" emphasizes prioritizing safety above all else, fostering a transit system where employees feel empowered to identify, communicate, and address hazards and unsafe conditions and where safety is ingrained in daily operations, management, and frontline decision-making.
    b. Implementing and promoting the key elements of a safety-first culture through:

i. Prioritization of safety where safety is not just a policy, but a core value that guides all activities and decisions.
ii. Proving for employee empowerment where workers are encouraged to identify and report potential hazards, and their concerns are taken seriously.
iii. Attaining open communications that is fostered by a safe and open work environment where employees feel comfortable raising safety concerns without fear of retribution.
iv. Demonstrating leadership commitment to safety by modeling safe behaviors which actively promotes a safety-first culture .
v. Training and educating employes by including adequate training on safety procedures, hazards, risks, and their responsibilities.
vi. Committing continuous improvement by regularly reviewing safety performance, identifying areas for improvement, and implementing changes to enhance safety practices.
vii. Holding all employees, including management, accountable for upholding safety standards and procedures.
viii. Employing recognition and rewards to reinforce positive safety practices.
ix. Enhancing the psychological of safety by encouraging and demonstrating that employees can feel safe to speak up about concerns, mistakes, or near misses without fear of punishment or ridicule.
x. Proactively identifying and acting on potential hazards by implementing measures to mitigate risks.
xi. Learning from accidents and near misses by identifying root causes of such incidents and by implementing corrective actions to prevent recurrence.
xii. Integrating safety into daily operations where safety in all aspects of the transit system.

APPENDIX M

FTA DIRECTIVE 24-1 ASSAULTS ON TRANSIT WORKERS

UNITED STATES DEPARTMENT OF TRANSPORTATION

Federal Transit Administration

Proposed General Directive No. 24-1
General Directive Under 49 U.S.C. 5329 and 49 CFR Part 670
Required Actions Regarding Assaults on Transit Workers

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

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

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

(a) Conduct a Safety Risk Assessment
The transit agency must use the SRM process documented in its ASP as defined at 49 CFR § 673.25(c) to conduct a risk assessment related to assaults on transit workers on the public transportation system unless the agency has conducted a safety risk assessment related to assaults on transit workers in the twelve (12) months preceding the date of issuance of this General Directive.

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

(c) Submit Required Information to FTA
The transit agency must submit to FTA responses to the following questions:

1. Date of completed safety risk assessment
2. Hazard assessed: transit workers must interact with the public and, at times, must clarify or enforce agency policies.
3. Potential Consequence: Transit workers are assaulted on transit vehicles
   - Likelihood (choose the rating from FTA's scale that most closely matches your agency's scale)
   - Severity (choose the rating from FTA's scale that most closely matches your agency's scale)
4. Potential Consequence: Transit workers are assaulted in revenue facilities
   - Likelihood (choose the rating from FTA's scale that most closely matches your agency's scale)
   - Severity (choose the rating from FTA's scale that most closely matches your agency's scale)
5. Risk Rating (provide overall risk rating resulting from safety risk assessment)
6. For transit agencies serving a large, urbanized area, did the joint labor-management Safety Committee identify and recommend safety risk mitigations to reduce the likelihood and severity of the potential consequences of assaults on transit workers identified through the agency's safety risk assessment?
   - Yes
   - No
   - Agency serving a small, urbanized area not subject to requirement
7. If you answered no to Question 6, please explain.
8. Please share the safety risk mitigations the transit agency or Safety Committee (at agencies serving large, urbanized areas) has identified as a result of the agency's safety risk assessment to reduce the likelihood and/or severity of assaults on transit workers:
   - Operator Area Protective Barriers
   - Signage Informing Riders of Surveillance/Penalties
   - Personal Security Training
   - De-Escalation Training
   - Operating Policies and Procedures (e.g., policies governing operator barrier deployment; policies and procedures to permit discharging passengers between designated stops upon request; policies that operators should only state the agency fare policy once and not attempt to enforce fare payment; policies on response to interference; policies on taking de-escalatory action during incidents)
   - Video/Audio Surveillance
   - Covert/Overt Emergency Alarms (e.g., silent button to contact operations control center, a system for coded/covert operator communication with operations control center, exterior bus signage alerting the public to emergency onboard/call law enforcement)
   - Automatic Vehicle Location

- Patrol Strategies (e.g., fare enforcement, security, transit police, local law enforcement)
- Communication Protocols (e.g., only request fare payment once)
- Public Awareness Campaigns
- Other

9. Please provide any additional information that would help FTA understand the details of your mitigation.
10. Implementation status for each safety risk mitigation
    - Planned
    - In Progress
    - Complete
11. Safety risk mitigation implementation start date (actual or projected)
12. Safety risk mitigation implementation completion date (actual or projected)
13. If implementation is in progress, provide approximate percentage toward completion
14. Please provide any additional information that would help FTA understand the progress of your mitigation (e.g., any external rate-limiting factors affecting implementation)
15. Performance information or data that the agency is using or will use to make effectiveness determination
16. Effectiveness of safety risk mitigation
    - Effective
    - Ineffective
    - Not yet determined
17. If effectiveness of mitigation has been assessed by the agency or Safety Committee (at agencies serving large, urbanized areas), a statement explaining why mitigations are either effective or ineffective.

Transit agencies must submit the required information within 60 days of the issuance of this General Directive via the FTA Safety Risk Management Report (SRM Report) on the Transit Integrated Appian Development (TrIAD) Platform. Instructions on how to use the platform and submit the required information can be found at https://www.transit.dot.gov/ptasp .

Enforcement

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

Contact

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

APPENDIX N

CONTRACTOR SAFETY COMMITTEE PARTICIPATIONS, REVIEW, AND APPROVAL OF FY 2025-2026 PTASP UPDATE

Pursuant to the Bi-partisan Infrastructure Law (BIL), the mode-specific safety committee of AVTA has responsibilities in the update of the PTASP. Those responsibilities include the following:

The safety committee of a recipient shall have at a minimum, responsibility for:

- Receiving training on the PTASP and SMS.
- Identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment.
- Identifying mitigations or strategies that may be ineffective, inappropriate, or not implemented as intended.
- Identifying safety deficiencies for purposes of continuous improvement.
- Approve the agency safety plan and any updates to the agency safety plan.
- Refer the safety committee PTASP to the PTASP Coordinator and AE for recommendation to the AVTA Board of Directors for final and annual adoption.

APPENDIX N (continued)

SERVICE CONTRACTOR LETTERS OF APPROVAL FOR AVTA PTASP UPDATE FY 2025-2026

AV TRANSPORTATION SERVICES
Driving our community to mobile independence

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

Signature: _____ Date: 3/5/25
Henry Beausejour (Operations Manager)

Signature: _____ Date: 3/5/2025
Sergio Guyumjian (Logistics Manager)

Signature: _____ Date: 3/5/25
Zach Krauter (Operations Coordinator)

Signature: _____ Date: 3-5-2025
Amalia Rodriguez (Quality Assurance Manager)

Signature: _____ Date: 3/5/25
Jeremy Hargrove (Compliance Specialist)

Signature: _____ Date: 03-05-2025
Juan Cantillo (Operator)

Signature: _____ Date: 3/5/25
Abel Hernandez (Operator)

Signature: _____ Date: 3-5-25
Carnell Michaels (Operator)

Signature: _____ Date: 3-5-25
Fontrella Jones (Operator)

MV Transportation Inc.

March 4th, 2025

To: AVTA

From: MV Safety Committee

Re: Public Transportation Agency Safety Plan (PTASP)

MV Safety Committee has received and reviewed the Public Transportation Agency Safety Plan provided by AVTA and has no Objections or changes, therefore the Safety Committee approves the plan as published.

Safety Committee Name & Signature:

Name & Title:	Signature:	Date:
1. Thomas Conlon, General Manager		03/04/25
2. Genie Maxie, Assistant GM		03/04/25
3. Aitor U. Safety Manager		03/04/25
4. Melvin Washington, Union Rep.		03/04/25
5. Edwin Tomas, transit operator		03/04/25
6. Sergio Lomeli, Safety Supervisor		3/4/25
7.Christine Jones, Dispatch Manager		3/04/25
8.Jada Sanders, Dispatcher		3/04/25
9. Richard Smith, Road Sup		3/4/25
10.Ronald Flores, Commuter Operator		3/4/25

DATE: **May 27, 2025**

TO: **BOARD OF DIRECTORS**

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

RECOMMENDATIONS

Approve to amend the Authority's Classification and Salary Schedule (Attachment A) to consolidate the existing seventy-five salary ranges into twelve standardized ranges. The new schedule ensures compliance with current state minimum wage laws and CalPERS retirement reporting requirements, while streamlining compensation practices across the agency.

FISCAL IMPACT

This recommendation will result in zero financial impact to the agency. No immediate changes to employee compensation are proposed. Current employees will maintain their existing base salaries within the new range structure. The restructuring of the salary ranges does not result in increased salaries or additional budgetary adjustments. It is an administrative update for compliance and efficiency purposes. The primary adjustment is an extended timeline for employees to reach the maximum of their range which supports long-term financial planning without increasing agency expenditures.

The impact of any regular annual wage increases has previously been budgeted to assume the maximum allowable merit increase to the employee's wages each year. Annual increases will be reflected in the proposed FY 2025/2026 Budget and future proposed budgets.

BACKGROUND

The agency's current salary range schedule has not been comprehensively updated in several years. As a result, it has become outdated and misaligned with legal compliance standards and internal administrative efficiency. Specifically, several existing salary ranges fall below the state-mandated minimum wage thresholds, the proposed new ranges will meet or exceed California minimum wage requirements. CalPERS retirement reporting requires consistent and compliant salary schedules that our current structure does not fully support. The revised structure aligns with CalPERS reporting standards, ensuring continued compliance and audit readiness.

The existing salary ranges result in administrative inefficiencies and inconsistencies in position alignment and career progression. Reducing the number of ranges simplifies administration and improves internal equity and transparency.

The proposed salary schedule also includes recommendations to re-classify several positions to new titles with no impact to compensation. The following title changes are recommended:

Current Title	Proposed Title
Senior Director of Operations and Planning	Director of Operations and Planning
Contracts and Procurement Officer	Director of Contracts and Procurement
Information Technology Supervisor	Information Technology Manager
Human Resources and Benefits Coordinator	Human Resources and EEO Manager
Contracts Administrator	Contracts/DBE Administrator
Customer Satisfaction Manager	Customer Service Manager
Customer Satisfaction Supervisor	Customer Service Supervisor
Electronics Technician	High Voltage Technician

The proposed salary range update brings the agency into legal compliance, aligns with retirement reporting standards, and improves internal processes. It is a proactive measure that ensures fairness, transparency, and fiscal responsibility, all while maintaining current compensation levels.

Prepared and submitted by:

_____

Amber Johnson
Human Resources and Benefits Coordinator

Attachment: A – Authority's Classification and Salary Schedule

PROPOSED ANTELOPE VALLEY TRANSIT AUTHORITY SALARY TABLE AS OF: MAY 6, 2025

CC 5 - ATTACHMENT A

****** MONTHLY EARNINGS DISPLAYED- MULTIPLY BY 12 MONTHS/DIVIDE BY 2080 TO DETERMINE HOURLY RATE**

		MINIMUM														MAXIMUM	
		Step 0: Minimum of Range	Step 1: 3%	Step 2: 3%	Step 3: 3%	Step 4: 3%	Step 5: 3%	Step 6: 3%	Step 7: 3%	Step 8: 3%	Step 9: 3%	Step 10: 3%	Step 11: 3%	Step 12: 3%	Step 13: 3%	Step 14: 3%	Step 15: 3%	Proposed new Max Annual
	Executive Director/ Chief Executive Officer	$17,233.00	$17,749.99	$18,282.49	$18,830.96	$19,395.89	$19,977.77	$20,577.10	$21,194.42	$21,830.25	$22,485.16	$23,159.71	$23,854.50	$24,570.14	$25,307.24	$26,066.46	$26,848.45	$322,181.43
R1	Chief Operations Officer Chief Financial Officer	$ 12,319.00	$12,688.57	$13,069.23	$13,461.30	$13,865.14	$14,281.10	$14,709.53	$15,150.82	$15,605.34	$16,073.50	$16,555.71	$17,052.38	$17,563.95	$18,090.87	$18,633.59	$19,192.60	$230,311.21
R2	Director of Finance Director of Contracts and Procurement	$ 9,675.47	$9,965.73	$10,264.71	$10,572.65	$10,889.83	$11,216.52	$11,553.02	$11,899.61	$12,256.60	$12,624.29	$13,003.02	$13,393.11	$13,794.91	$14,208.75	$14,635.02	$15,074.07	$180,888.80
R3	Director of Operations and Planning Director of Marketing Senior Finance Manager Fleet Maintenance Manager Information Technology Manager Safety and Facilities Manager	$ 8,846.93	$9,112.34	$9,385.71	$9,667.28	$9,957.30	$10,256.02	$10,563.70	$10,880.61	$11,207.03	$11,543.24	$11,889.53	$12,246.22	$12,613.61	$12,992.01	$13,381.78	$13,783.23	$165,398.74
R4	Human Resources and EEO Manager Planning Manager	$ 8,089.47	$8,332.15	$8,582.12	$8,839.58	$9,104.77	$9,377.91	$9,659.25	$9,949.03	$10,247.50	$10,554.92	$10,871.57	$11,197.72	$11,533.65	$11,879.66	$12,236.05	$12,603.13	$151,237.57
R5	Operations & Contracts Compliance Manager Customer Service Manager	$ 7,165.60	$7,380.57	$7,601.99	$7,830.04	$8,064.95	$8,306.89	$8,556.10	$8,812.78	$9,077.17	$9,349.48	$9,629.97	$9,918.87	$10,216.43	$10,522.93	$10,838.61	$11,163.77	$133,965.26
R6	Clerk of the Board Senior Accountant- Vacant Network Administrator Facilities Superintendent Grants Accountant	$ 6,575.00	$6,772.25	$6,975.42	$7,184.68	$7,400.22	$7,622.23	$7,850.89	$8,086.42	$8,329.01	$8,578.88	$8,836.25	$9,101.34	$9,374.38	$9,655.61	$9,945.28	$10,243.64	$122,923.63
R7	Contracts/ DBE Administrator Executive Assistant Maintenance Compliance Analyst Accountant II- Vacant Electric Fleet Supervisor Field Services Supervisor	$ 5,899.63	$6,076.62	$6,258.92	$6,446.68	$6,640.09	$6,839.29	$7,044.47	$7,255.80	$7,473.47	$7,697.68	$7,928.61	$8,166.47	$8,411.46	$8,663.81	$8,923.72	$9,191.43	$110,297.18
R8	Customer Service Supervisor Transit Analyst Transit Ambassador Accountant I	$ 5,241.60	$5,398.85	$5,560.81	$5,727.64	$5,899.47	$6,076.45	$6,258.74	$6,446.51	$6,639.90	$6,839.10	$7,044.27	$7,255.60	$7,473.27	$7,697.47	$7,928.39	$8,166.24	$97,994.90
R9	High Voltage Technician Facilities Maintenance Technician II Records Management Technician Field Services Technician II Accounting Technician	$ 4,622.08	$4,760.74	$4,903.56	$5,050.67	$5,202.19	$5,358.26	$5,519.01	$5,684.58	$5,855.11	$6,030.77	$6,211.69	$6,398.04	$6,589.98	$6,787.68	$6,991.31	$7,201.05	$86,412.60
R10	Customer Services Representative II	$ 4,031.73	$4,152.68	$4,277.26	$4,405.58	$4,537.75	$4,673.88	$4,814.10	$4,958.52	$5,107.27	$5,260.49	$5,418.31	$5,580.86	$5,748.28	$5,920.73	$6,098.35	$6,281.30	$75,375.65
R11	Security Officer Facilities Maintenance Technician I Customer Services Representative Field Services Technician I	$ 3,501.04	$3,606.07	$3,714.25	$3,825.68	$3,940.45	$4,058.66	$4,180.42	$4,305.84	$4,435.01	$4,568.06	$4,705.11	$4,846.26	$4,991.65	$5,141.40	$5,295.64	$5,454.51	$65,454.07
R12	Facilities Maintenance Worker	$ 3,224.00	$3,320.72	$3,420.34	$3,522.95	$3,628.64	$3,737.50	$3,849.62	$3,965.11	$4,084.07	$4,206.59	$4,332.79	$4,462.77	$4,596.65	$4,734.55	$4,876.59	$5,022.89	$60,274.64

NB 1

DATE: **May 27, 2025**

TO: **BOARD OF DIRECTORS**

SUBJECT: **Proposed Fiscal Year 2025/2026 Budget**

RECOMMENDATION:

Approve the Proposed Fiscal Year 2025/2026 Budget.

FISCAL IMPACT:

The FY 2026 operating revenue totals $43,294,340, while the operating expenditure total is $47,163,114, producing a deficit of $3,868,774. The capital budget of $12,926,950 reflects large projects carried over from prior year such as the Solar Farm and Shared Charging Lot.

BACKGROUND:

The Authority will utilize FTA Sections 5307 and 5337 formula funds to allow continuous operations, preventive maintenance, and to serve our communities. Jurisdictional operating contributions have been calculated using updated methodology.

Prepared by:

Judy Vaccaro-Fry
Chief Financial Officer

Submitted by:

Martin J. Tompkins
Executive Director/CEO

	FY 2024-2025 Budget	FY 2025-2026 Budget	Increase (Decrease)
Revenue			
Fare Revenue	$ 2,264,000	$ 2,700,000	$ 436,000
Jurisdictional Contributions (Ops)	$ 5,388,985	$ 6,423,480	$ 1,034,495
Metro FAP	$ 18,221,518	$ 17,220,733	$ (1,000,785)
Other Revenue	$ 1,673,654	$ 1,942,748	$ 269,093
Federal Formula Grants	$ 12,668,815	$ 14,142,379	$ 1,473,564
Expense Reimb.	$ 1,720,000	$ 865,000	$ (855,000)
Revenue Total	**$ 41,936,972**	**$ 43,294,340**	**$ 1,357,368**
Expense			
Fuel/Electricity	$ 2,611,003	$ 2,894,493	$ 283,490
Gen & Admin Costs	$ 1,618,542	$ 1,655,877	$ 37,335
Leased Buses (MCI)	$ 2,865,000		$ (2,865,000)
Other Operating Costs	$ 1,970,987	$ 2,303,264	$ 332,277
Purchased Transportation	$ 28,964,097	$ 34,383,150	$ 5,419,053
Wages & Benefits	$ 5,770,881	$ 5,926,329	$ 155,449
Capital Outlay	$ 1,211,646		$ (1,211,646)
Expense Total	**$ 45,012,156**	**$ 47,163,114**	**$ 2,150,958**
Surplus/(Deficit)	**$ (3,075,183)**	**$ (3,868,774)**	**$ 793,590**

FY 2026 Operating Budget Details

	FY 2024-2025 Budget	FY 2025-2026 Budget	Increase (Decrease)
Revenue			
Fare Revenue			
Commuter One Way Fare	$ 224,479	$ 267,709	$ 43,230
Fare Revenue - Metrolink/EZ Reimbursement	$ 76,428	$ 91,147	$ 14,719
Fare Revenues - Com - 785 10-R FF	$ 75,021	$ 89,469	$ 14,448
Fare Revenues - Com - 785 10-R RF	$ 11,485	$ 13,697	$ 2,212
Fare Revenues - Com - 785 -EZ RF	$ 8,234	$ 9,820	$ 1,586
Fare Revenues - Com - 785 Mo RF	$ 47,239	$ 56,337	$ 9,098
Fare Revenues - Com - 786 10-R FF	$ 69,939	$ 83,408	$ 13,469
Fare Revenues - Com - 786 10-R RF	$ 4,105	$ 4,895	$ 790
Fare Revenues - Com - 786 -EZ FF	$ 6,525	$ 7,781	$ 1,256
Fare Revenues - Com - 786 -EZ RF	$ 3,073	$ 3,665	$ 592
Fare Revenues - Com - 786 Mo FF	$ 114,188	$ 136,178	$ 21,990
Fare Revenues - Com - 786 Mo RF	$ 17,506	$ 20,877	$ 3,371
Fare Revenues - Com - 787 10-R FF	$ 87,168	$ 103,955	$ 16,787
Fare Revenues - Com - 787 10-R RF	$ 9,444	$ 11,262	$ 1,818
Fare Revenues - Com - 787 -EZ FF	$ 300	$ 358	$ 58
Fare Revenues - Com - 787 -EZ RF	$ 1,978	$ 2,359	$ 381
Fare Revenues - Com - 787 Mo FF	$ 110,243	$ 131,473	$ 21,230
Fare Revenues - Com - 787 Mo RF	$ 21,577	$ 25,732	$ 4,155
Fare Revenues - Comm - 785 EZ FF	$ 322	$ 384	$ 62
Fare Revenues - Comm - 785 Mo FF	$ 35,955	$ 42,879	$ 6,924
Fare Revenues - DAR - Urban	$ 92,754	$ 110,616	$ 17,862
Fare Revenues - Local 4-Hr FF	$ 1,989	$ 2,372	$ 383
Fare Revenues - Local 4-Hr Rf	$ 15,896	$ 18,957	$ 3,061
Fare Revenues - Local Day FF	$ 465,885	$ 555,605	$ 89,720
Fare Revenues - Local Monthly FF	$ 271,622	$ 323,931	$ 52,309
Fare Revenues - Local Weekly FF	$ 20,254	$ 24,154	$ 3,900
Fare Revenues- 790 Transporter	$ 14,651	$ 17,473	$ 2,822
Fare Revenues- ORMRS	$ 7,907	$ 9,429	$ 1,522
S/D 4 Hour Pass	$ 100	$ -	$ (100)
S/D Annual Pass	$ 75,363	$ 89,877	$ 14,514
S/D Day Pass	$ 78	$ 93	$ 15
S/D Monthly Pass	$ 6,902	$ 8,231	$ 1,329
S/D One Way Trip	$ 85,797	$ 102,439	$ 16,642
S/D Weekly Pass	$ 378	$ 451	$ 73
Stored Value	$ 279,215	$ 332,986	$ 53,771
Fare Revenue Total	**$ 2,264,000**	**$ 2,700,000**	**$ 436,000**
Jurisdictional Contributions (Ops)			
Bus Stop Maintenance Lancaster	$ 91,848	$ 94,114	$ 2,266
Bus Stop Maintenance Palmdale	$ 96,439	$ 98,850	$ 2,411
Operating Contributions - LA County	$ 1,627,598	$ 1,763,402	$ 135,804
Operating Contributions - Lancaster	$ 1,786,550	$ 2,324,349	$ 537,799
Operating Contributions - Palmdale	$ 1,786,550	$ 2,142,765	$ 356,215
Jurisdictional Contributions (Ops) Total	**$ 5,388,985**	**$ 6,423,480**	**$ 1,034,495**

Continued on the next page

FY 2026 Operating Budget Details continued

	FY 2024-2025 Budget	FY 2025-2026 Budget	Increase (Decrease)
Metro FAP			
MTA Prop A DAR	$ 785,233	$ 1,155,120	$ 369,887
MTA: Fund Swap to Prop C from LCTOP	$ 368,054	$ 360,886	$ (7,168)
MTA:Prop A 95%/40% Discretionary	$ 7,081,309	$ 7,117,587	$ 36,278
MTA:PROP C 40%-BUS SRVC IMPRV	$ 55,338	$ 56,921	$ 1,583
MTA:PROP C 40%-FOOTHILL MITIG	$ 48,560	$ 50,474	$ 1,914
MTA:PROP C 40%-MOSIP	$ 1,422,622	$ 1,448,545	$ 25,923
MTA:PROP C 40%-TRANSIT SRVC EX	$ 436,008	$ 448,478	$ 12,470
MTA:PROP C 5%-BUS SECURITY ENH	$ 207,282	$ 181,227	$ (26,055)
MTA-Measure M	$ 3,900,972	$ 3,183,347	$ (717,625)
MTA-MEASURE R	$ 3,916,140	$ 3,218,148	$ (697,992)
Metro FAP Total	**$ 18,221,518**	**$ 17,220,733**	**$ (1,000,785)**
Other Revenue			
Advertising Revenue	$ 165,000	$ 165,000	$ -
AVSTA Charging Reimbursement	$ -	$ 10,000	$ 10,000
AVTA Charitable Events	$ 63,000	$ 146,703	$ 83,703
AVTA East Income	$ 65,654	$ 54,000	$ (11,654)
Gain on Sale of Disposal of Assets	$ 5,000	$ 5,000	$ -
Investment Income	$ 650,000	$ 975,000	$ 325,000
LCFS Credits	$ 700,000	$ 562,045	$ (137,955)
Other Revenues	$ 25,000	$ 25,000	$ -
Other Revenue Total	**$ 1,673,654**	**$ 1,942,748**	**$ 269,093**
Federal Formula Grants			
FTA: Section 5307 UZA Operating Assistance	$ 4,081,247	$ 4,131,156	$ 49,909
FTA: Section 5307 UZA Prev. Maint		$ 8,813,132	$ 8,813,132
FTA: Section 5337 HIMB (Commuter)	$ 1,198,092	$ 1,198,092	$ (0)
Federal Formula Grants Total	**$ 5,279,339**	**$ 14,142,379**	**$ 8,863,040**
Expense Reimb.			
MCI Reimbursement	$ 1,720,000	$ 865,000	$ (855,000)
Expense Reimb. Total	**$ 1,720,000**	**$ 865,000**	**$ (855,000)**
Revenue Total	**$ 34,547,496**	**$ 43,294,340**	**$ 8,746,844**

Continued on the next page

FY 2026 Operating Budget Details continued

	FY 2024-2025 Budget	FY 2025-2026 Budget	Increase (Decrease)
Expense			
Fuel/Electricity			
E-Bus Electricity- Blvd. Transfer Center	$ 97,847	$ 96,374	$ (1,473)
E-bus Electricity Depot Charging	$ 1,798,325	$ 2,367,250	$ 568,925
E-Bus Electricity PTC Clock Tower	$ 100,704	$ 61,693	$ (39,011)
E-Bus Electricity South Valley	$ 134,313	$ 111,674	$ (22,639)
E-bus Electricity SSOMP	$ 288,509	$ 133,779	$ (154,730)
E-Bus Electricity-AV College	$ 72,405	$ 15,033	$ (57,372)
E-Bus Electricity-AVTA East	$ 14,400	$ 74,500	$ 60,100
Fuel - Use Tax	$ 2,500	$ 2,912	$ 412
Fuel & Lubricants	$ 102,000	$ 31,278	$ (70,722)
Fuel/Electricity Total	**$ 2,611,003**	**$ 2,894,493**	**$ 283,490**
Gen & Admin Costs			
Audit Fees	$ 59,740	$ 60,935	$ 1,195
AVTA Charitable Events	$ 78,000	$ 155,000	$ 77,000
Bank Fees	$ 16,794	$ 19,478	$ 2,684
Classified Advertising	$ 5,000	$ 5,000	$ -
Consulting Fees	$ 310,000	$ 200,000	$ (110,000)
Development and Training	$ 42,000	$ 30,000	$ (12,000)
Employee Advertising & Recruitment	$ 5,000	$ 5,000	$ -
Employee Wellness Program	$ 4,500	$ 4,500	$ -
Employment Screening/ Audits	$ 7,797	$ 7,797	$ -
Legal Services	$ 225,000	$ 225,000	$ -
Marketing	$ 125,000	$ 125,000	$ -
Memberships	$ 57,000	$ 57,000	$ -
Miscellaneous Expenses	$ 2,000	$ 3,000	$ 1,000
Miscellaneous Special Events	$ 22,000	$ 22,000	$ -
Office Supplies	$ 20,000	$ 20,000	$ -
Other General &Administration Expense	$ 13,000	$ 13,000	$ -
Postage and delivery services	$ 3,000	$ 3,000	$ -
Printing Services	$ 15,000	$ 22,500	$ 7,500
Publications	$ 600	$ 400	$ (200)
Sales Expense for CPOS	$ 800	$ 800	$ -
Security	$ 454,961	$ 525,118	$ 70,157
Sponsorships	$ 85,850	$ 85,850	$ -
Tap card fee	$ 3,500	$ 3,500	$ -
Temporary Staffing	$ 5,000	$ 5,000	$ -
Travel and Meetings	$ 55,000	$ 55,000	$ -
Un-reconciled Items/Cash short/Over	$ 2,000	$ 2,000	$ -
Gen & Admin Costs Total	**$ 1,618,542**	**$ 1,655,877**	**$ 37,335**

Continued on the next page

FY 2026 Operating Budget Details continued

	FY 2024-2025 Budget	FY 2025-2026 Budget	Increase (Decrease)
Leased Buses (MCI)			
MCI Fuel for Replacement Lease Buses	$ 1,125,000		$ (1,125,000)
MCI Maintenance and Supplies for Replacement Le	$ 30,000		$ (30,000)
MCI Replacement Lease Buses	$ 1,710,000		$ (1,710,000)
Leased Buses (MCI) Total	**$ 2,865,000**		**$ (2,865,000)**
Other Operating Costs			
AVTA East Expense	$ 30,000	$ 30,000	$ -
Facility - Outside Services	$ 46,700	$ 35,594	$ (11,106)
Facility Maintenance & Supplies	$ 343,500	$ 275,000	$ (68,500)
Fleet Maintenance Supplies	$ 6,500	$ 99,270	$ 92,770
Fleet Outside Services	$ 4,500	$ 4,500	$ -
Fleet Wi-Fi	$ 13,200	$ 22,596	$ 9,396
I.T.--Maintenance - Parts & Supplies	$ 57,750	$ 29,518	$ (28,232)
I.T.--Software Agreements/Licenses	$ 561,793	$ 704,671	$ 142,878
Liability, Fire & Other Insurance	$ 480,458	$ 546,686	$ 66,228
Operating Permits	$ 15,450	$ 11,245	$ (4,205)
Rental / Lease Expense	$ 10,000	$ 10,000	$ -
SCE Rental Expense	$ 65,016	$ 65,023	$ 7
Tow Services	$ 5,000	$ 5,200	$ 200
Uniform Upkeep-AVTA (Non-Grantable)		$ -	$ -
Utilities - Electricity	$ 155,676	$ 279,601	$ 123,925
Utilities - Gas	$ 50,000	$ 55,576	$ 5,576
Utilities - Telephone & Fax	$ 85,000	$ 81,071	$ (3,929)
Utilities - Waste	$ 28,944	$ 31,885	$ 2,941
Utilities - Water	$ 11,500	$ 15,829	$ 4,329
Other Operating Costs Total	**$ 1,970,987**	**$ 2,303,264**	**$ 332,277**
Purchased Transportation			
Contract Services- DAR	$ 4,050,367	$ 5,361,199	$ 1,310,832
Contract Services- Local & Commuter	$ 23,373,348	$ 27,541,038	$ 4,167,690
Contract Services- NEMT	$ 49,113	$ 52,023	$ 2,910
Contract Services- ORMRS	$ 1,472,269	$ 1,419,390	$ (52,879)
Operator Incentives	$ 18,000	$ 9,000	$ (9,000)
Ride Share costs	$ 1,000	$ 500	$ (500)
Purchased Transportation Total	**$ 28,964,097**	**$ 34,383,150**	**$ 5,419,053**

Continued on the next page

FY 2026 Operating Budget Details continued

	FY 2024-2025 Budget	FY 2025-2026 Budget	Increase (Decrease)
Wages & Benefits			
AD & D	$ 1,440		$ (1,440)
Additional Compensation	$ 44,239	$ 44,239	$ -
CALPERS	$ 480,078	$ 479,177	$ (901)
CalPERS - GASB 68 Catch Up	$ 26,500	$ 61,546	$ 35,046
Dental - ER	$ 66,119	$ 49,598	$ (16,521)
Double Time Pay Holiday/Company-Wide	$ 18,622	$ 18,622	$ -
Group Life - FT	$ 10,320	$ 36,300	$ 25,980
Long-term Care - ER	$ 7,102		$ (7,102)
Long-term Disability	$ 20,400	$ 1,505	$ (18,895)
Medical - ER	$ 581,902	$ 613,322	$ 31,420
Medicare ER	$ 60,209	$ 60,726	$ 517
Over Time- Company-wide	$ 50,000	$ 50,000	$ -
Short-term Disability - FT	$ 8,280	$ 8,280	$ -
State UI - ER	$ 23,437	$ 23,437	$ -
Vacation Cash out	$ 35,000	$ 35,000	$ -
Vision - ER	$ 16,865	$ 5,902	$ (10,963)
Wage Expense - Company-wide	$ 4,152,315	$ 4,187,986	$ 35,671
Workers Comp costs plus payroll fees		$ 250,690	$ 250,690
Workers' Compensation	$ 168,052	$ -	$ (168,052)
Wages & Benefits Total	**$ 5,770,881**	**$ 5,926,329**	**$ 155,449**
Capital Outlay			
Grant--Local Match	$ 1,211,646		$ (1,211,646)
Capital Outlay Total	**$ 1,211,646**		**$ (1,211,646)**
Expense Total	**$ 45,012,156**	**$ 47,163,114**	**$ 2,150,958**
Surplus/(Deficit)	**$ (3,075,183)**	**$ (3,868,774)**	**$ 793,590**

FY 2026 *PROPOSED* Operating & Capital Budget

Presentation to AVTA Board of Directors
May 27, 2025

UPDATED FROM PRELIMINARY

OPERATING: $47,163,114

- Update to Jurisdictional Contributions

CAPITAL: $ 12,926,950

- Reduction of Support Vehicles ($100,000)

FY 2026 TOTAL: $60,090,064

Antelope Valley Transit Authority

2026 BUDGET SUMMARY

OPERATING

- Expenditures $47,163,114
- Revenues $43,294,340

DEFICIT: ($3,868,774)

Antelope Valley Transit Authority

REVENUES v. EXPENSES

	FY 2024-2025 Budget	FY 2025-2026 Budget	Increase (Decrease)
Revenue			
Fare Revenue	$ 2,264,000	$ 2,700,000	$ 436,000
Jurisdictional Contributions (Ops)	$ 5,388,985	$ 6,423,480	$ 1,034,495
Metro FAP	$ 18,221,518	$ 17,220,733	$ (1,000,785)
Other Revenue	$ 1,673,654	$ 1,942,748	$ 269,093
Federal Formula Grants	$ 12,668,815	$ 14,142,379	$ 1,473,564
Expense Reimb.	$ 1,720,000	$ 865,000	$ (855,000)
Revenue Total	**$ 41,936,972**	**$ 43,294,340**	**$ 1,357,368**
Expense			
Fuel/Electricity	$ 2,611,003	$ 2,894,493	$ 283,490
Gen & Admin Costs	$ 1,618,542	$ 1,655,877	$ 37,335
Leased Buses (MCI)	$ 2,865,000		$ (2,865,000)
Other Operating Costs	$ 1,970,987	$ 2,303,264	$ 332,277
Purchased Transportation	$ 28,964,097	$ 34,383,150	$ 5,419,053
Wages & Benefits	$ 5,770,881	$ 5,926,329	$ 155,449
Capital Outlay	$ 1,211,646		$ (1,211,646)
Expense Total	**$ 45,012,156**	**$ 47,163,114**	**$ 2,150,958**
Surplus/(Deficit)	**$ (3,075,183)**	**$ (3,868,774)**	**$ 793,590**

Antelope Valley Transit Authority

JURISDICTIONAL CONTRIBUTIONS

	PROPOSED FINAL COST / JURISDICTION		
	Lancaster	Palmdale	LA County
	37.31%	34.39%	28.30%
$ (6,230,516)	$ 2,324,349	$ 2,142,765	$ 1,763,402
	36.25%	32.44%	31.31%
Preliminary Budget	2,089,802	1,870,469	1,805,000
$ Difference	$ 234,547	$ 272,296	$ (41,598)
% Change	1.06%	1.95%	-3.01%

Antelope Valley Transit Authority

CHANGES APPLIED

Change in Expenses

- GASB Catch up provision.
- Significantly increased costs for contracted operations.
- Transit & Commuter expenses drive majority of expenses.

Change in Revenues

- Directly Generated Revenues – applied to all modes. New DAR vans are generating LCFS.
- FTA formula funds applied to *all* modes.

Change in FAP

- Revenues and expenses from the same fiscal year for consistency.
- FY24 audited + FY24 FAP used = FY26 Budget.

Lease Costs

- NTD - Lease costs are reportable based on contractual relationship.
  - DAR lease costs applied in NTD incorrectly. This rippled to NEMT and Microtransit.
  - MCI lease costs - Received reimbursement; not a direct cost.

Antelope Valley Transit Authority

MID-YEAR SNEEK PEAK

SB125 $2,499,459
***Applied for operations**

Tax Credits $982,500
***Qualified Commercial Clean Vehicles (§45W)**
***Alternative Refueling Property (EV Charging) (§30C)**

Overall deficit will be reduced to
($386,815)

Antelope Valley Transit Authority

Questions?

Antelope Valley Transit Authority

RECOMMENDATION

Approve AVTA's FY 2026 *PROPOSED* Operating & Capital Budget

Antelope Valley Transit Authority