



REVISED Agenda

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

9:00 a.m.

Meeting will be held via webinar

To request an agenda in an alternative format or to request accommodations to facilitate meeting participation, please email the Clerk of the Board, ClerkoftheBoard@sdmts.com at least two working days prior to the meeting. Meeting webinar/teleconference instructions can be accessed under '[Meeting Link and Webinar Instructions](#).' Click the following link to access the meeting: <https://zoom.us/j/98288032362>

Para solicitar la agenda en un formato alternativo o para solicitar acomodaciones de participación, por favor mande un correo a la Secretaria de la Junta, ClerkoftheBoard@sdmts.com al menos dos días hábiles antes de la reunión. Instrucciones para ingresar a la junta virtual están disponibles bajo '[Meeting Link and Webinar Instructions](#).' Use este enlace para acceder la reunión virtual: <https://zoom.us/j/98288032362>

ACTION RECOMMENDED

1. Roll Call
2. [Approval of Minutes - January 20, 2022](#) Approve
3. Public Comments - Limited to five speakers with three minutes per speaker. Others will be heard after Board Discussion items. If you have a report to present, please give your copies to the Clerk of the Board.



CONSENT ITEMS

6. [Authorization of Remote Teleconferenced Meetings](#) Approve
Action would authorize remote teleconferenced meetings for any public meetings held by MTS, including all Brown Act committees, for the next thirty (30) days pursuant to Assembly Bill (AB) 361 and make the following findings: 1) The MTS Board has considered the current circumstances of the COVID-19 pandemic and its impact in San Diego County; and 2) State or local officials continue to recommend measures to promote social distancing. On September 23, 2021, County of San Diego Public Health Officer, Wilma J. Wooten, M.D., M.P.H., issued a recommendation supporting the use of teleconferencing for attendance at public meetings as “a social distancing measure that may help control transmission of the SARS-CoV-2 virus.”
7. [Investment Report – Quarter Ending December 31, 2021](#) Informational
8. [MTS Excess Liability and Workers' Compensation Insurance Renewals](#) Approve
Action would 1) Authorize the Chief Executive Officer (CEO) to purchase an Excess Liability Program, effective March 1, 2022, that results in a not to exceed amount of \$2,938,804 based on the expiring coverage structure of \$70M excess of a \$5M Self Insured Retention (SIR). (See Discussion); and 2) Approve a new two-year rate commitment from Arch Insurance for MTS Excess Workers' Compensation program, effective March 1, 2022 for a first-year premium of \$253,211.

CLOSED SESSION

24. a) CLOSED SESSION – CONFERENCE WITH REAL PROPERTY NEGOTIATORS PURSUANT TO CALIFORNIA GOVERNMENT CODE SECTION 54956.8 – TWO PROPERTIES Possible Action
- Property 1:** 9805 Prospect Avenue and 8547 Cuyamaca Street, Santee, CA (APNs 384-190-44 and 384-190-74)
Agency Negotiators: Sharon Cooney, Chief Executive Officer; Karen Landers, General Counsel; Heather Furey, Director of Capital Projects; Sean Myott, Manager of Real Estate Assets; Chip Willett, Bender Rosenthal Inc.
Negotiating Parties: Creighton Companies, LLC (represented by Wendell Hindley, RetailSiteExperts)
Under Negotiation: Price and Terms of Payment and
- Property 2:** 8606 Cuyamaca Street, Santee, CA (APN 384-311-38-00) (Vacant Land)
Agency Negotiators: Sharon Cooney, Chief Executive Officer; Karen Landers, General Counsel; Heather Furey, Director of Capital Projects; Sean Myott, Manager of Real Estate Assets; Chip Willett, Bender Rosenthal Inc.
Negotiating Parties: KMSP Inc (represented by Matt LoPiccolo, CBRE); and Fred A Jajou (represented by Aidan James, Inland Pacific)
Under Negotiation: Price and Terms of Payment

- | | | |
|----|---|-----------------|
| b) | CLOSED SESSION – CONFERENCE WITH LEGAL COUNSEL – EXISTING LITIGATION Pursuant to California Government Code Section 54956.9(d)(1)
<u>One Case</u> : Anna Avenue Associates, LLC, et al., v. SANDAG, et al., San Diego Superior Court Case No. 37-2018-00000231-CU-EI-CTL (Consolidated with Case No. 37-2016-00009321-CU-EI-CTL) | Possible Action |
|----|---|-----------------|

NOTICED PUBLIC HEARINGS

25. None.

DISCUSSION ITEMS

- | | | |
|-----|--|---------------|
| 30. | <u>San Diego Transit Corporation (SDTC) Pension Investment Status (Jeremy Miller, Representative with RVK Inc. and Larry Marinesi)</u> | Informational |
| 31. | <u>San Diego Transit Corporation (SDTC) Employee Retirement Plan's Actuarial Valuation as Of July 1, 2021 (Anne Harper And Alice Alsberghe With Cheiron Inc. And Larry Marinesi)</u>
Action would receive the SDTC Employee Retirement Plan's (Plan) Actuarial Valuation as of July 1, 2021 (Attachment A), and adopt the pension contribution amount of \$17,901,804 for fiscal year 2023. | Approve |
| 32. | <u>Social Equity Listening Tour – Contract Award (Stacie Bishop)</u>
Action would authorize the Chief Executive Officer (CEO) to execute MTS Doc. No. G2529.0-22 (in substantially the same format as Attachment A) with Pueblo Planning, LLC (Pueblo Planning) for the purposes of a Social Equity Listening Tour for a one (1) year base period for \$186,275.00. | Approve |

REPORT ITEMS

- | | | |
|-----|---|---------------|
| 45. | <u>MTS Safety Performance Annual Review (David Bagley And Jared Garcia)</u> | Informational |
| 46. | <u>Fiscal Year (FY) 2022 Mid-Year Performance Monitoring Report (Denis Desmond)</u> | Informational |
| 47. | <u>Operations Budget Status Report for December 2021 (Gordon Meyer)</u> | Informational |

OTHER ITEMS

- | | | |
|-----|---|---------------|
| 60. | <u>Chair Report</u> | Informational |
| 61. | <u>Chief Executive Officer's Report</u> | Informational |
| 62. | <u>Board Member Communications</u> | Informational |

63. Additional Public Comments Not on the Agenda
If the limit of 5 speakers is exceeded under No. 3 (Public Comments) on this agenda, additional speakers will be taken at this time. If you have a report to present, please furnish a copy to the Clerk of the Board. Subjects of previous hearings or agenda items may not again be addressed under Public Comments.
64. Next Meeting Date: March 10, 2022.
65. Adjournment

MINUTES

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

January 20, 2022

[Clerk's note: Except where noted, public, staff and board member comments are paraphrased. Note that the meeting was conducted via webinar to comply with public health orders].

1. Roll Call

Chair Fletcher called the Board meeting to order at 9:03 a.m. A roll call sheet listing Board member attendance is attached.

2. Approval of Minutes

Chair Fletcher moved to approve the minutes of the December 16, 2021, MTS Board of Directors meeting. Board Member Hall seconded the motion, and the vote was 15 to 0 in favor.

3. Public Comment

There were no Public Comments.

4. Elect Vice Chair, Chair Pro Tem, and Committee Appointments (Sharon Cooney)

Action would appoint an Ad Hoc Nominating Committee to make recommendations to the Board with respect to the appointment of the Vice Chair, Chair Pro-Tem as well as MTS and non-MTS committees for 2022.

Action on Recommended Consent Items

Chair Fletcher moved to elect Board Member Sotelo-Solis as Vice Chair and Board Member Salas as Chair Pro-Tem, and approve the appointment of representatives to MTS and non-MTS committees for 2022 as proposed by the Ad Hoc Nominating Committee. Board Member Sandke seconded the motion, and the vote was 15 to 0 in favor.

CONSENT ITEMS:

6. Authorization of Remote Teleconferenced Meetings

Action would authorize remote teleconferenced meetings for any public meetings held by MTS, including all Brown Act committees, for the next thirty (30) days pursuant to Assembly Bill (AB) 361 and make the following findings: 1) The MTS Board has considered the current circumstances of the COVID-19 pandemic and its impact in San Diego County; and 2) State or local officials continue to recommend measures to promote social distancing. On September 23, 2021, County of San Diego Public Health Officer, Wilma J. Wooten, M.D., M.P.H., issued a recommendation supporting the use of teleconferencing for attendance at public meetings as "a social distancing measure that may help control transmission of the SARS-CoV-2 virus."

7. Janitorial Services – Contract Amendments

Action would 1) Ratify Amendment 19 to MTS Doc. No. G1931.0-16 with NMS Management Inc. (NMS), a Disadvantaged Business Enterprise (DBE), in the amount of \$91,451.67; 2) Ratify Amendment 20 to MTS Doc. No. G1931.0-16 with NMS, in the amount of \$8,316.74; and 3) Authorize the Chief Executive Officer (CEO) to execute Amendment 21 to MTS Doc. No. G1931.0-16 with NMS, in the amount of \$84,207.00 (in substantially the same format as.

8. Ultrasonic Rail Testing Services – Contract Award
Action would authorize the Chief Executive Officer (CEO) to execute MTS Doc. No. L1602.0-22 with Smith-Emery Laboratories, Inc., for \$691,600.00, for the provision of ultrasonic rail testing services for five (5) years beginning on January 16, 2022.
9. Anti-Graffiti Window Film (Installation and Materials) – Contract Award
Action would authorize the Chief Executive Officer (CEO) to execute MTS Doc. No. L1599.0-22 with Graffiti Shield, Inc., at \$2,606,784.48, for the provision of anti-graffiti window film installation and materials, for seven (7) years beginning on January 1, 2022.
10. Pronto Operations Technical Support – Contract Amendment
Action would authorize the Chief Executive Officer (CEO) to execute Amendment 9 to MTS Doc. No. G1923.0-16, a Sole Source extension, with Jacobs Engineering Group Inc. (formerly CH2M Hill, Inc.), to provide operations technical support services for the PRONTO fare payment system, in the amount of \$495,963.00 from January 1, 2022 to June 30, 2023.
11. Beyer Blvd Track and Slope – Fund Transfer
Action would authorize the Chief Executive Officer (CEO) to execute Addendum 17, Scope of Work 101.1 to the Memorandum of Understanding (MOU) between the San Diego Association of Governments (SANDAG) and MTS for the Beyer Blvd. Slope Repair project.
12. Construction Management (CM) Services for South Bay Zero Emission Bus (ZEB) Overhead (OH) Charging Infrastructure Installation
Action would authorize the Chief Executive Officer (CEO) to execute Work Order WOA2501-CM01 under MTS Doc. No. G2501.0-21, with TRC Engineers Inc. (TRC), for CM services for the ZEB OH Charging Infrastructure Construction Project in the amount of \$796,363.18.
13. Fleet and Ancillary Equipment Inspections, Maintenance and Repair Services – Contract Award
Action would authorize the Chief Executive Officer (CEO) to execute MTS Doc. No. L1594.0-22 with M Power Truck and Diesel Repair (M Power), for \$457,837.71, for the provision of fleet and ancillary equipment inspections, maintenance and repair services for five (5) years from January 1, 2022 to December 31, 2026.
14. Green Line Imperial Avenue Transit (IMT) Double Track Construction – Contract Award
Action would the Chief Executive Officer (CEO) to execute MTS Doc. No. PWL337.0-21, with WCGG, a Joint Venture (WCGG) for the IMT Double Track Project in the amount of \$11,458,978.00 plus 10% contingency.
15. Service and Maintenance of the In-Ground Light Rail Vehicles (LRV) Hoists - Sole Source Contract Award
Action would authorize the Chief Executive Officer (CEO) to execute MTS Doc. No. PWL346.0-22, a sole source award to BBM Railway Equipment, for annual inspection, service and maintenance of the In-Ground LRV Hoists in the amount of \$133,090.00 for a period of five (5) years from January 1, 2022 to December 31, 2026.

16. South Bay Zero Emission Bus (ZEB) Overhead (OH) Charging Infrastructure Construction – Contract Award
Action would authorize the Chief Executive Officer (CEO) to execute MTS Doc. No. PWB333.0-21, with Palm Engineering Construction, for the ZEB OH Charging Infrastructure Construction Project in the amount of \$8,398,242.92 plus 10% contingency.
17. Douglas Fir Railroad Wood Ties – Contract Award
Action would authorize the Chief Executive Officer (CEO) to execute MTS Doc. No. L1608.0-22, with Gemini Forest Products (Gemini), for Douglas Fir Railroad Wood Ties as detailed in the scope of work, in the amount of \$112,869.45, effective January 1, 2022.
18. San Diego Metropolitan Transit System (MTS) Clean Natural Gas (CNG) Fueling Station Operation and Maintenance (O&M) Services and Equipment Replacement – Contract Award
Action would authorize the Chief Executive Officer (CEO) to: 1) Execute MTS Doc. No. B0729.0-21, with Trillium USA Company, LLC (Trillium), for CNG Fueling Station O&M Services and Equipment Replacement and upgrades for a six (6) year base period with two 2-year options inclusive of a 10% contingency on equipment, exercisable at MTS's sole discretion, in the amount of \$13,644,795.35; and 2) Exercise the option periods at CEO's discretion, if deemed to be in the best interest of MTS.
19. Copley Park Division (CPD) Building Revisions – Work Order
Action would authorize the Chief Executive Officer (CEO) to execute Work Order MTSJOC324-08 under Job Order Contract (JOC) to MTS Doc. No. PWG324.0-21, with ABC General Contractor, Inc. (ABCGC), in the amount of \$184,985.01, for CPD building updates including paint, lighting upgrades, and building modifications.
20. On-Call Services, On-Call Appraisal and General Right-Of-Way (ROW) Management Services – Contract Award
Action would 1) Ratify the Chief Executive Officer's (CEO) execution of Partial Assignment 1 of San Diego Association of Governments (SANDAG) Capacity for On-Call Appraisal and General ROW Services to MTS in the amount of \$100,000.00; 2) Ratify the CEO's execution of master agreement MTS Doc No. G2541.0-22 with Bender Rosenthal Incorporated (BRI) pursuant to the assignment of contract capacity from SANDAG to MTS in the amount of \$100,000.00; 3) Authorize the CEO to execute an additional assignment of SANDAG Capacity for On-Call Appraisal and General ROW Services to MTS in the amount of \$200,000.00; and 4) Authorize the CEO to execute Amendment 1 to master agreement MTS Doc No. G2541.0-22 with BRI pursuant to the assignment of contract capacity from SANDAG to MTS in the amount of \$200,000.00.
21. Centralized Train Control (CTC) System Maintenance Agreement – Sole Source Contract Award
Action would 1) Authorize the Chief Executive Officer (CEO) to execute MTS Doc. No. L1607.0-22, a Sole Source agreement, with ARINC Incorporated, a part of Collins Aerospace (Collins), in the amount of \$1,568,916.00 for the provision of CTC System Maintenance Services for five (5) years effective January 1, 2022; and 2) Authorize the CEO to execute Work Order Agreement No. 1 (WOA No. 1) to MTS Doc. No. L1607.0-22, with Collins, in an amount not-to-exceed \$452,000.00.

22. Security Services – Contract Amendment
Action would approve Amendment No. 1 to MTS Doc. No. G2359.0-20 with Inter-Con Security Services, to authorize the Chief Executive Officer (CEO) to allow On-The-Job Training for Year 1 be a billable expense to MTS.
- 23 Update to Board Policy No. 30, Investment Policy
Action would approve and adopt the updated Board Policy No. 30, Investment Policy.

Action on Recommended Consent Items

Board Member Goble moved to approve Consent Agenda Item Nos. 6 to 23. Board Member Hall seconded the motion, and the vote was 15 to 0 in favor.

NOTICED PUBLIC HEARINGS

25. None.

DISCUSSION ITEMS:

30. TransNet Revenues, Shortfalls, Proposed Solutions

Sharon Cooney, MTS Chief Executive Officer, and Larry Marinesi, MTS Chief Financial Officer, presented on TransNet Revenues, Shortfalls, and Proposed Solutions. She outlined the following items: SANDAG TransNet Extension ordinance, TransNet-funded capital projects, 8.1% TransNet operating support fund – shortfall impacts, current scenario, shortfalls response, service considerations, options for transit operators, regional solutions, and preliminary recommendations.

Chair Fletcher highlighted the shortfalls would equate to 10% of the agency's total budget. He acknowledged that the shortfalls could lead to service cuts across the system. He was optimistic about a compromise to be reached with SANDAG on regional priorities. While the agency's goal is to grow ridership, some new challenges include reassessing resources to fund the operating deficit. He emphasized that the shortfall would affect the agency's ridership and budget. He announced that there will be inter-agency conversations to move forward on a new plan for available funding.

Board Member Whitburn advocated for more transportation infrastructure with reliable funding. He was disheartened that the agency and region are in this situation. He supported the recommendations and hoped SANDAG can both build and operate infrastructure for future projects.

Board Member Salas was concerned about revenue divides based on population. She acknowledged that sales tax or population density initiatives favor populations with higher disposable incomes, which could exclude South Bay communities. She acknowledged that cutting service across the system and not considering ridership concentrations would be unfair. She stated that as a member of the SANDAG Board, she has advocated for funding existing infrastructure before pursuing new projects.

Chair Fletcher agreed with Board Member Salas' thoughts and acknowledged the Board needed a strong position to lobby SANDAG and assess priorities and total funding.

Vice Chair Sotelo-Solis asked about the agencies' strategy to increase ridership, beyond pre-pandemic levels. Ms. Cooney clarified that if funding is not identified, the agency will not see growth in ridership due to significant service cuts. She acknowledged that certain areas would lose access to transit altogether.

Vice Chair Sotelo-Solis asked about an estimated timeline for the deficit to affect the agency. Ms. Cooney stated that impacts would be visible in six to eight years. SANDAG will propose a sales tax forecast based on the latest economic reports, and the agency received higher than anticipated sales tax receipts. Mr. Marinesi clarified that while sales tax revenues are higher, it would not make up the anticipated funding shortfall.

Vice Chair Sotelo-Solis asked about strategies to increase ridership and using that revenue to assist in the shortfall. She also asked about additional funding opportunities at the agency.

Chair Fletcher clarified that increased ridership has been the Board's focus. The agency will need to assess the amount and length of funding that can offset the deficit. He acknowledged that longer term discussions will resolve these issues. The Board is now tasked to assess various tactics to attain the maximum certainty for the longest amount of time to fully fund existing programs.

Vice Chair Sotelo-Solis urged the Board to formalize a plan and pause to assess the situation.

Board Member Elo-Rivera asked for clarity on the recommendation's reference to "new programs."

Ms. Cooney referenced a change in the TransNet ordinance that would add more funding to the bike program in order to fast track the bike and pedestrian programs. She continued to explain the funding distribution and cited several programs recently passed at SANDAG that would affect the agency's funding levels.

Board Member Elo-Rivera asked if the recommendations listed were MTS's recommendations to SANDAG. Ms. Cooney clarified that the recommendations listed were her recommendations to the Board for SANDAG. She acknowledged the importance for SANDAG to talk about existing programs when they assess new plans.

Board Member Elo-Rivera clarified that he was not in favor of service cuts and suggested that SANDAG representatives be available for the Board to engage with them. He was curious about whether the Social Equity Group was aware of the service impacts. He agreed that the agency should prepare to offset losses and subsidies.

Chair Fletcher clarified the language adding: encourage SANDAG and MTS to facilitate engagement with equity groups and community-based organizations; and MTS focus on long term funding strategies for future operations to the motion and Board Member Whitburn approved the edit.

Board Member Goble asked about alternative programs that may save the agency money. Ms. Cooney stated that transit-oriented development may create a revenue stream, but will not offset the cost. New programs would draw from available operating revenue.

Board Member Sandke acknowledged that various funding modes administered by SANDAG are running out of funding. While he praised the Board for removing the revenue burden away from riders to other sources of funding, he stated that the agency should not be surprised when

the alternative sources no longer exist. He claimed that there is seemingly not enough funding to address all the proposed SANDAG projects. He acknowledged the direct financial pressure to the agency and stated that the percentage that goes to operations is the only way forward. He discouraged the Board from moving forward with a population or weighted vote for regional governance. He stated that one of the only solutions may be to raise transportation fees in order to keep current services operational.

Ms. Cooney stated that bike and pedestrian capital dollars are better equipped to be funded by the Infrastructure Bill so that the Federal and State funding can offset the cost.

Board Member Sandke re-stated that an off the top dollar amount to fund operations for existing infrastructure would benefit the region. He suggested revisiting the TransNet ordinance from an operational perspective rather than an aspirational one.

Board Member Shu hoped to work towards a compromise solution in his new role as a Board Member. He stated that transit shortfalls have been volatile for years and that funding ideas should be protected, if not invested in to protect transit dependent riders and increase choice riders. He asked if SANDAG would be willing to increase the TransNet funding share for transit operations. Ms. Cooney noted that staff has not asked for that type of proposal. Board Member Shu suggested doing so as a potential strategy. He asked about short-term and long-term solutions and noted land capture recovery and alternative transit solutions such as parking. He suggested referencing case studies from other agencies as examples. He noted that TransNet funding could fund the agency, but operations would need to be reprioritized.

Board Member Moreno acknowledged that the region depends on MTS to host transportation services with enough quality to attract ridership. She discouraged the Board to cancel the Youth Opportunity Pass program and Early Action Plan because of the dispute. She asked Board Member Whitburn to amend the second recommendation to state the three agencies' collaboration to find a solution and not affect new programs.

Board Member Whitburn kept the motion intact and explained the second recommendation so that MTS could have a conversation with SANDAG and does not become a binding action to cancel any new programs. Board Member Moreno stated she would not support the motion if it was not amended.

Board Member Montgomery Steppe clarified that the impacts to the agency would be significant. She believes it is the agency's duty to fight for funding that was promised. She advocated for a Transportation Development Act Reform task force as a tool for the agency's ridership strategy and clarified the responsibility to subsidize operations. She agreed that a weighted vote does not capture accurate population sizes and also advocated for increased system ridership. She expressed her continued commitment to Youth Opportunity Passes as a responsibility to fulfil the agency's equity mission.

Chair Fletcher expressed the agency's historical fixation on long-term structural financing, followed by post COVID ridership rebuilding and now this issue. He noted that recommendations for long-term financial sustainability were built into the recommendation to SANDAG.

Board Member Aguirre agreed that programs should not be cut. She noted that farebox recovery was built off ridership and is why the agency's commitment to equity has implemented

a diversion program. She urged the agency to find innovative ways to fund the system and proposed the revised amendment.

Board Member Galvez urged the agency to look for innovative solutions and cited the City of Chula Vista's free electric shuttle service as an example of its effects on ridership. She noted the agency would benefit for creating destination hubs along the rail line and not only housing development.

Board Member Gastil clarified that he is supportive of the Youth Opportunity Pass program. He acknowledged that the motion alluded to taking on more projects rather than advocating for retroactive change and asked that the language be revised.

Chair Fletcher proposed revising the wording of the second bullet to reassess the creation of new programs that don't immediately increase transit ridership until a strategy is evolved for resolving the funding shortfall; restated the proposed revised motion and asked if the maker of the motion would be willing to support a revision.

Board Member Whitburn supported the revised motion and made a motion.

Action Taken

Board Member Whitburn moved to recommend: 1) SANDAG act as the appropriate lead on these discussions as the TransNet implementing agency; 2) Reassess the creation of new programs that don't immediately increase transit ridership until a strategy is evolved for resolving the funding shortfall; 3) Recognize that continuing current TransNet services may require a "plus up" of the 8.1%, either through diversion of TransNet from other sources, or identification of other funding streams; 4) Encourage SANDAG and MTS to facilitate engagement with equity groups and community-based organizations; and 5) MTS focus on long term funding strategies for future operations. Chair Fletcher seconded the motion, and the vote was 15 to 0 in favor.

REPORT ITEMS:

45. Bus on Shoulder (BOS) Pilot Project Update (Michael Daney)

Michael Daney, MTS Director of Contract Operations and Passenger Facilities, presented on the BOS Pilot Project Update. He outlined: Project Overview, Demonstration Project Objectives, Freeway Shoulder Improvements, Advanced Driver Assist System (ADAS), On-Vehicle System Architecture, Operator Training, Outreach Marketing Efforts, Social Media and Connections.

Board Member Goble praised the program for its low capital costs and maximization of the infrastructure.

Vice Chair Sotelo-Solis asked if the agency could create a more noticeable visual to alert drivers when a bus is approaching while minimizing distractions. Chair Fletcher asked if her concern was that drivers would not see the bus on the road. Vice Chair Sotelo-Solis was concerned that drivers would be confused why the bus was on their shoulder. Chair Fletcher made clear that the designated bus lanes were marked for bus use only.

Mr. Daney clarified that the lanes were striped and the infrastructure change was advertised through billboards and radio programming. Ms. Cooney clarified that the pedestrian sign was only for driver use and was not signage for the public.

Vice Chair Sotelo-Solis asked when the corridor was last striped. Mr. Daney answered July of 2020.

Vice Chair Sotelo-Solis asked that language about the bus merging on designated lanes be placed in the rear of the bus rather than advertisements.

Board Member Sandke asked about Caltrans' commitment to keeping the lane clear of debris. Mr. Daney replied that Caltrans has scheduled clearance once a week and an on-call emergency response.

Board Member Montgomery Steppe agreed that this project optimized existing infrastructure. She asked if the rider survey data for coverage of frequency continues to be used to inform additional initiatives. Ms. Cooney stated that the agency works closely with Caltrans on improvements to maximize the infrastructure's use. She cited similar cross agency initiatives to maximize infrastructure and case studies for jurisdictions across the nation.

Board Member Shu expressed his excitement for the project. He asked that the savings from previous highway infrastructure projects be redirected to MTS and fund public transportation services. While monitoring the project, he urged the agency to prioritize regular travel lanes if off shoulder roadways do not work. He also asked for time savings predictions for the route.

Board Member Whitburn asked how that lane would accommodate drivers who experience an emergency. Mr. Daney replied that the driver assistive bus technology, low speeds and driver training would allow the driver to make an informed response to avoid a conflict.

Board Member Moreno commended the inter-agency collaboration efforts. She listed several benefits including transit options and the use of existing infrastructure. She commended the agency for good use of tax payer dollars.

Board Member Elo-Rivera commended the community advocates who rallied to ensure the project was implemented.

PUBLIC COMMENT

Randy Torres Van Vleck – Representing City Height CDC verbal statement to the Board during the meeting. Van Vleck noted excitement about the project and cited historical strides for this project and listed various community benefits.

Action Taken

No action taken. Informational item only.

46. Operations Budget Status Report for October 2021 (Gordon Meyer)

Gordon Meyer, MTS Operating Budget Supervisor, presented on Operations Budget Status Report for October 2021. He outlined the consolidated MTS operations comparison to budget – October 31, 2021 - FY 2022: federal stimulus funding, total operating revenues, total operating expenses and total operating activities.

Action Taken

No action taken. Informational item only.

OTHER ITEMS:

60. Chair Report

There was no Chair report.

61. Chief Executive Officer's Report

There was no Chief Executive Officer's Report.

62. Board Member Communications

There were no Board Member communications.

63. Additional Public Comments on Items Not on the Agenda

There were no additional public comments.

64. Next Meeting Date

The next regularly scheduled Board meeting is February 10, 2022.

CLOSED SESSION (ITEMS TAKEN OUT OF ORDER):

24. Closed Session Items

The Board convened to Closed Session at 10:49 a.m.

- a. CLOSED SESSION – CONFERENCE WITH LEGAL COUNSEL – EXISTING LITIGATION
Pursuant to California Government Code Section 54956.9(d)(1) David Maldonado & Angel Navarro v San Diego Metropolitan Transit System et al. San Diego Superior Court Lead Case No. 37-2019-00041849-CU-PA-NC
- b. CLOSED SESSION – CONFERENCE WITH LEGAL COUNSEL – EXISTING LITIGATION
Pursuant to California Government Code Section 54956.9(d)(1) Ten Cases (consolidated):
Veronica Doyle, et al. v Vault PK, San Diego Sports Entertainment, San Diego Metropolitan Transit System et al., and all related cross-actions and consolidated actions San Diego Superior Court (SDSC) Lead Case No. 37-2018-00016374-CU-PO-CTL Consolidated w/ Case Nos. 37-2018-00036972-CU-PO-CTL; 37-2018-00042686-CU-PO-CTL; 37-2018-00043106-CU-PO-CTL; 37-2018-00045331-CU-PO-CTL; 37-2018-00056499-CU-PO-CTL; 37-2018-56507-CU-PO-CTL; 37-2018-00055615-CU-PO-CTL; 37-2019-00034764-CU-PO-CTL; and 37-2020-00012795-CU-PO-CTL

The Board reconvened to Open Session at 11:25 a.m.

Oral Report of Final Actions Taken in Closed Session

Karen Landers, General Counsel, reported the following:

- a. The Board received a report and gave instructions to legal counsel.
- b. The Board received a report from legal counsel.

65. Adjournment

The meeting was adjourned at 11:30am.

/S/ Nathan Fletcher

Chairperson
San Diego Metropolitan Transit System

Filed by:

Approved as to form:

/S/ Dalia Gonzalez

Clerk of the Board
San Diego Metropolitan Transit System

/S/ Karen Landers

General Counsel
San Diego Metropolitan Transit
System

Attachment: Roll Call Sheet

SAN DIEGO METROPOLITAN TRANSIT SYSTEM
BOARD OF DIRECTORS
ROLL CALL

MEETING OF (DATE): January 20, 2022 CALL TO ORDER (TIME): 9:03am
 RECESS: _____ RECONVENE: _____
 CLOSED SESSION: 10:49am RECONVENE: 11:25am
 PUBLIC HEARING: _____ RECONVENE: _____
 ORDINANCES ADOPTED: _____ ADJOURN: 11:30am

BOARD MEMBER		(Alternate)		PRESENT (TIME ARRIVED)	ABSENT (TIME LEFT)
FLETCHER	<input checked="" type="checkbox"/>	(Vargas)	<input type="checkbox"/>	9:03am	11:25am
SOTELO-SOLIS	<input checked="" type="checkbox"/>	(Bush)	<input type="checkbox"/>	9:03am	11:25am
AGUIRRE	<input checked="" type="checkbox"/>	(Leyba-Gonzalez)	<input type="checkbox"/>	9:03am	11:25am
ELO-RIVERA	<input checked="" type="checkbox"/>	(LaCava)	<input type="checkbox"/>	9:03am	11:25am
FRANK	<input checked="" type="checkbox"/>	(Mullin)	<input type="checkbox"/>	9:03am	11:25am
GALVEZ	<input checked="" type="checkbox"/>	(Cardenas)	<input type="checkbox"/>	9:03am	11:25am
GASTIL	<input checked="" type="checkbox"/>	(Mendoza)	<input type="checkbox"/>	9:06 am	11:25am
GLORIA	<input type="checkbox"/>	(Whitburn)	<input checked="" type="checkbox"/>	9:03am	11:25am
GOBLE	<input checked="" type="checkbox"/>	(Ortiz)	<input type="checkbox"/>	9:03am	11:25am
HALL	<input checked="" type="checkbox"/>	(McNelis)	<input type="checkbox"/>	9:03am	11:25am
MONTGOMERY STEPPE	<input checked="" type="checkbox"/>	(Von Wilpert)	<input type="checkbox"/>	9:03am	11:25am
MORENO	<input checked="" type="checkbox"/>	(Campillo)	<input type="checkbox"/>	9:03am	11:25am
SALAS	<input checked="" type="checkbox"/>	(Cardenas)	<input type="checkbox"/>	9:03am	11:25am
SANDKE	<input checked="" type="checkbox"/>	(Bailey)	<input type="checkbox"/>	9:03am	11:25am
SHU	<input checked="" type="checkbox"/>	(Arapostathis)	<input type="checkbox"/>	9:03am	11:25am

SIGNED BY THE CLERK OF THE BOARD:

/S/ Dalia Gonzalez

IN - MEETING PUBLIC COMMENT

Tasha Williamson provided a live public comment for agenda item #3. Williamson's statement will be reflected in the minutes.

IN - MEETING PUBLIC COMMENT

Francine Maxwell provided a live public comment for agenda item #3. Maxwell's statement will be reflected in the minutes.



Agenda Item No. 6

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

SUBJECT:

AUTHORIZATION OF REMOTE TELECONFERENCED MEETINGS

RECOMMENDATION:

That the San Diego Metropolitan Transit System (MTS) Board of Directors authorize remote teleconferenced meetings for any public meetings held by MTS, including all Brown Act committees, for the next thirty (30) days pursuant to Assembly Bill (AB) 361 and make the following findings:

- 1) The MTS Board has considered the current circumstances of the COVID-19 pandemic and its impact in San Diego County; and
- 2) State or local officials continue to recommend measures to promote social distancing. On September 23, 2021, County of San Diego Public Health Officer, Wilma J. Wooten, M.D., M.P.H., issued a recommendation supporting the use of teleconferencing for attendance at public meetings as “a social distancing measure that may help control transmission of the SARS-CoV-2 virus.” (Attachment A)

Budget Impact

None with this action.

DISCUSSION:

On March 17, 2020, Governor Newsom issued Executive Order N-29-20, suspending the teleconferencing rules set forth under the Ralph M. Brown Act (Brown Act), Government Code Section 54950 et seq. On June 11, 2021, Governor Newsom issued Executive Order N-08-21, clarifying the suspension of the teleconferencing rules set forth in the Brown Act, noting that those provisions would remain suspended through September 30, 2021. On September 16, 2021, Governor Newsom signed AB 361, which allows legislative bodies subject to the Brown Act to continue meeting by teleconference, provided they make certain findings, including that meeting in person would present imminent risks to the health or safety of attendees. AB 361 requires that certain findings be made by the legislative body every 30 days.



The purpose of this agenda item is for the MTS Board of Directors to make findings supporting the continuation of a teleconference option for Board or committee members and for teleconference attendance by members of the public at MTS Board and committee meetings consistent with the requirements of AB 361.

AB 361 added subdivision (e) to Government Code section 54953 (emphasis added), providing for streamlined teleconference attendance at public meetings subject to the Brown Act, subject to the governing board making specified findings:

(e) (1) A local agency may use teleconferencing without complying with the requirements of paragraph (3) of subdivision (b) if the legislative body complies with the requirements of paragraph (2) of this subdivision in any of the following circumstances:

(A) The legislative body holds a meeting during a proclaimed state of emergency, and state or local officials have imposed or recommended measures to promote social distancing.

(B) The legislative body holds a meeting during a proclaimed state of emergency for the purpose of determining, by majority vote, whether as a result of the emergency, meeting in person would present imminent risks to the health or safety of attendees.

(C) The legislative body holds a meeting during a proclaimed state of emergency and has determined, by majority vote, pursuant to subparagraph (B), that, as a result of the emergency, meeting in person would present imminent risks to the health or safety of attendees.

(2) A legislative body that holds a meeting pursuant to this subdivision shall do all of the following:

(A) The legislative body shall give notice of the meeting and post agendas as otherwise required by this chapter.

(B) The legislative body shall allow members of the public to access the meeting and the agenda shall provide an opportunity for members of the public to address the legislative body directly pursuant to Section 54954.3. In each instance in which notice of the time of the teleconferenced meeting is otherwise given or the agenda for the meeting is otherwise posted, the legislative body shall also give notice of the means by which members of the public may access the meeting and offer public comment. The agenda shall identify and include an opportunity for all persons to attend via a call-in option or an internet-based service option. This subparagraph shall not be construed to require the legislative body to provide a physical location from which the public may attend or comment.

(C) The legislative body shall conduct teleconference meetings in a manner that protects the statutory and constitutional rights of the parties and the public appearing before the legislative body of a local agency.

(D) In the event of a disruption which prevents the public agency from broadcasting the meeting to members of the public using the call-in option or internet-based service option, or in the event of a disruption within the local agency's control which prevents members of the public from offering public comments using the call-in option or internet-based service option, the body shall take no further action on items appearing on the meeting agenda until public access to the meeting via the call-in option or internet-based service option is restored. Actions taken on agenda items during a disruption which prevents the public agency from broadcasting the meeting may be challenged pursuant to Section 54960.1.

(E) The legislative body shall not require public comments to be submitted in advance of the meeting and must provide an opportunity for the public to address the legislative body and offer comment in real time. This subparagraph shall not be construed to require the legislative body to provide a physical location from which the public may attend or comment.

(F) Notwithstanding Section 54953.3, an individual desiring to provide public comment through the use of an internet website, or other online platform, not under the control of the local legislative body, that requires registration to log in to a teleconference may be required to register as required by the third-party internet website or online platform to participate.

(G) (i) A legislative body that provides a timed public comment period for each agenda item shall not close the public comment period for the agenda item, or the opportunity to register, pursuant to subparagraph (F), to provide public comment until that timed public comment period has elapsed.

(ii) A legislative body that does not provide a timed public comment period, but takes public comment separately on each agenda item, shall allow a reasonable amount of time per agenda item to allow public members the opportunity to provide public comment, including time for members of the public to register pursuant to subparagraph (F), or otherwise be recognized for the purpose of providing public comment.

(iii) A legislative body that provides a timed general public comment period that does not correspond to a specific agenda item shall not close the public comment period or the opportunity to register, pursuant to subparagraph (F), until the timed general public comment period has elapsed.

(3) If a state of emergency remains active, or state or local officials have imposed or recommended measures to promote social distancing, in order to continue to teleconference without compliance with paragraph (3) of subdivision (b), the legislative body shall, not later than 30 days after teleconferencing for the first time pursuant to subparagraph (A), (B), or (C) of paragraph (1), and every 30 days thereafter, make the following findings by majority vote:

(A) The legislative body has reconsidered the circumstances of the state of emergency.

(B) Any of the following circumstances exist:

(i) The state of emergency continues to directly impact the ability of the members to meet safely in person.

(ii) State or local officials continue to impose or recommend measures to promote social distancing.

(4) For the purposes of this subdivision, “state of emergency” means a state of emergency proclaimed pursuant to Section 8625 of the California Emergency Services Act (Article 1 (commencing with Section 8550) of Chapter 7 of Division 1 of Title 2).

The circumstances set forth in Government Code section 54953(e)(1)(A) and (e)(3) still apply and support the continuation of a teleconference option for Board or committee members and for teleconference attendance by members of the public at MTS Board and committee meetings for the upcoming 30-day period. Staff recommends that the Board make the following findings:

- 1) The MTS Board has considered the current circumstances of the COVID-19 pandemic and its impact in San Diego County; and
- 2) State or local officials continue to recommend measures to promote social distancing. On September 23, 2021, County of San Diego Public Health Officer, Wilma J. Wooten, M.D., M.P.H., issued a recommendation supporting the use of teleconferencing for attendance at public meetings as “a social distancing measure that may help control transmission of the SARS-CoV-2 virus.” (Attachment A)

/S/ Sharon Cooney
Sharon Cooney
Chief Executive Officer

Key Staff Contact: Julia Tuer, 619.557.4515, Julia.Tuer@sdmts.com

Attachment: A. September 23, 2021 County of San Diego Health Officer Teleconferencing Recommendation



County of San Diego

NICK MACCHIONE, FACHE
AGENCY DIRECTOR

HEALTH AND HUMAN SERVICES AGENCY
PUBLIC HEALTH SERVICES

WILMA J. WOOTEN, M.D.
PUBLIC HEALTH OFFICER


HEALTH OFFICER TELECONFERENCING RECOMMENDATION

COVID-19 disease prevention measures, endorsed by the Centers for Disease Control and Prevention, include vaccinations, facial coverings, increased indoor ventilation, handwashing, and physical distancing (particularly indoors).

Since March 2020, local legislative bodies—such as commissions, committees, boards, and councils—have successfully held public meetings with teleconferencing as authorized by Executive Orders issued by the Governor. Using technology to allow for virtual participation in public meetings is a social distancing measure that may help control transmission of the SARS-CoV-2 virus. Public meetings bring together many individuals (both vaccinated and potentially unvaccinated), from multiple households, in a single indoor space for an extended time. For those at increased risk for infection, or subject to an isolation or quarantine order, teleconferencing allows for full participation in public meetings, while protecting themselves and others from the COVID-19 virus.

Utilizing teleconferencing options for public meetings is an effective and recommended social distancing measure to facilitate participation in public affairs and encourage participants to protect themselves and others from the COVID-19 disease. This recommendation is further intended to satisfy the requirement of the Brown Act (specifically Gov't Code Section 54953(e)(1)(A)), which allows local legislative bodies in the County of San Diego to use certain available teleconferencing options set forth in the Brown Act.

September 23, 2021


Wilma J. Wooten, M.D., M.P.H.
Public Health Officer
County of San Diego



Agenda Item No. 7

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

SUBJECT:

INVESTMENT REPORT – QUARTER ENDING DECEMBER 31, 2021

INFORMATIONAL ONLY

Budget Impact

None.

DISCUSSION:

Attachment A comprises a report of the San Diego Metropolitan Transit System (MTS) investments as of December 31, 2021. The combined total of all investments has increased quarter to quarter from \$152.3 million to \$156.7 million. This \$4.4 million increase is attributable to \$39.4 million in American Rescue Plan Act of 2021 (ARPA) funding, partially offset by \$31.3 million in capital expenditures, \$3.0 million in debt service payments pertaining to the Pension Obligation Bonds, as well as normal timing differences between other payments and receipts.

The first column provides details about investments restricted for capital improvement projects.

The second column, unrestricted investments, reports the working capital for MTS operations allowing payments for employee payroll and vendors' goods and services.

MTS remains in compliance with Board Policy 30 and is able to meet expenditure requirements for a minimum of the next six months as required.

/S/ Sharon Cooney

Sharon Cooney
Chief Executive Officer

Key Staff Contact: Julia Tuer, 619.557.4515, Julia.Tuer@sdmts.com

Attachment: A. Investment Report for the Quarter Ending December 31, 2021



**San Diego Metropolitan Transit System
Investment Report
December 31, 2021**

Institution / Issuer	Function	Investment Type	Restricted	Unrestricted	Total	Avg. Rate of Return	Benchmark
J.P. Morgan Chase	Operating Funds	Depository Bank	-	50,717,872	50,717,872	0.02%	* 0.070% WSJ Money Market
U.S. Bank - Retention Trust Account	Restricted for Capital Support	Depository Bank	8,531,874	-	8,531,874	N/A	** -
San Diego County Treasurer's Office	State Grant Funds	Investment Pool	19,768,539	-	19,768,539	0.680%	0.170% S&P US T-Bill 0-3 Mth Index
Subtotal: Restricted for Capital Support			28,300,412	-	28,300,412		
Local Agency Investment Fund (LAIF)	Investment of Surplus Funds	Investment Pool	1,643,609	50,233,012	51,876,621	0.212%	0.170% S&P US T-Bill 0-3 Mth Index
San Diego County Treasurer's Office	Investment of Surplus Funds	Investment Pool	-	25,787,165	25,787,165	0.680%	0.170% S&P US T-Bill 0-3 Mth Index
Subtotal: Investment Surplus Funds			1,643,609	76,020,177	77,663,786		
Grand Total Cash and Investments			\$ 29,944,022	\$ 126,738,048	\$ 156,682,070		

*-The .02% is an annual percentage yield on the average daily balance that exceeds \$30 million

** - Per trust agreements, interest earned on retention account is allocated to trust beneficiary (contractor)



Agenda Item No. 8

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

SUBJECT:

MTS EXCESS LIABILITY AND WORKERS' COMPENSATION INSURANCE RENEWALS

RECOMMENDATION:

That the San Diego Metropolitan Transit System (MTS) Board of Directors:

- 1) Authorize the Chief Executive Officer (CEO) to purchase an Excess Liability Program, effective March 1, 2022, that results in a not to exceed amount of \$2,938,804 based on the expiring coverage structure of \$70M excess of a \$5M Self Insured Retention (SIR); and
- 2) Approve a new two-year rate commitment from Arch Insurance for MTS Excess Workers' Compensation program, effective March 1, 2022 for a first year premium of \$253,211.

Budget Impact

The approximate annual breakdown of insurance cost between MTS agencies for both options is as noted within the table below:

COMBINED TOTAL EXCESS LIABILITY COST ALLOCATION					
AGENCY	MTS	SDTC	SDTI	SD&AE	TOTAL
\$5M SIR	\$352,656	\$1,307,767	\$1,248,992	\$29,389	\$2,938,804

This results in a \$760,127 increase in cost over the expiring 2021-22 excess liability program – a 35% increase. The \$253,211 premium for excess workers' compensation coverage represents a \$38,680 increase over the 2021-22 workers' compensation excess insurance costs – an 18% increase.

DISCUSSION:

Each year MTS purchases insurance to protect against various risks. Today's proposed action addresses our insurance policies for general liability and workers' compensation. These



policies renew on March 1 every year. The nature of the insurance market and negotiations for new policies is such that insurance companies and their underwriters generally will not provide a policy quote to MTS's brokers, Alliant Insurance Services, until shortly before the renewal date. Often, this process takes place in the final two weeks before a new policy commences. This year's renewal discussion has been complicated by complex claims matters currently under settlement negotiations.

General Liability Insurance (Excess Liability)

MTS's general liability insurance policy covers various areas of potential risk to MTS and its wholly owned entities (San Diego Transit Corp (SDTC), San Diego Trolley, Inc. (SDTI), and San Diego & Arizona Eastern Railway (SD&AE)). Primarily, this includes bodily injury, property damage and other damage claims that are inherent in the operation of our bus and rail transit services. Historically, MTS's insurance coverage has been structured so that MTS is directly responsible for a self-insured layer, the amount of which has varied over the years based on insurance market conditions and our own independent actuarial projections of the ultimate expected cost in the retained layer. Only if a lawsuit or claim exceeds, or is reasonably expected to exceed this \$5M SIR does MTS's excess liability coverage step in. The MTS Risk Department internally manages and resolves liability claims, either directly or by overseeing litigation handled by outside counsel.

Coverage limits purchased have also varied over the years based on insurance market conditions, third party requirements, and perceptions of a reasonable maximum foreseeable loss. Currently, MTS purchases \$70M in insurance limits for its operations. No single insurer will provide these limits, so coverage is purchased in a "layered and quota share" arrangement with numerous insurers both domestic and abroad (London/Bermuda). The total \$75M (\$70M plus \$5M retention) upper limit is set by MTS's Shared Use Agreement with North County Transit District (NCTD) and Burlington Northern Santa Fe Railroad (BNSF), which governs the shared light and heavy rail operations on the railroad right-of-way between Santa Fe Depot and Oceanside. Under that agreement, MTS is required to maintain its limits, NCTD is required to maintain \$295M, and BNSF is required to maintain \$200M in coverage. The difference in limits is based on the difference in risk between MTS's light rail operations and the heavy rail operations of NCTD, Amtrak (Amtrak operates under NCTD's rights), and BNSF.

While MTS is under no obligation to carry a specific limit of coverage for its bus (or other) operational activities, historically it has carried the same limits of coverage as rail, for the sake of consistency, and as it has been financially efficient to do so.

The Excess Insurance Market for Transit Risks

Rates for the excess liability coverage are generally based on a combination of passenger counts, revenue miles, operating revenue, construction costs, loss history, self-insured retention, and current market conditions.

Beginning in 2020, unfavorable insurance market conditions (catastrophic weather-related losses and extreme jury verdicts) began causing widespread disruptions in the availability of commercial insurance. For MTS, and other public transit agencies, the difficult market conditions have been felt most notably in the Excess Liability Market. Demand for limits of coverage outstrips supply relative to past market cycles. While there is evidence of increased

capacity becoming available over the past twelve months in response, recent claims activity in MTS's program has provided continued price pressure from underwriters.

In addition to price pressure, some excess markets seek to limit coverage by narrowing the professional liability and sexual molestation coverage in the tower relative to the expiring program. The existing program narrows these coverages attaching at \$35M, and the concern is that this narrowing may need to occur as low as \$10M in order to complete the program. This narrowing is in the manner of switching the coverage trigger for these two coverage parts from an "occurrence" basis, to a "claims made" basis, if they can offer these coverage parts at all. Further, the cost of any available reinstatements of limits, if exhausted through claims, may move from being "included". Instead, they may come with a charge. MTS has never needed to reinstate limits, as such an occurrence is an outlier event.

Our broker, Alliant, is vigorously combatting both the price increase and the narrowing of the aforementioned terms and conditions of coverage.

2021-2022 Expiring Program				
	MTS Retention	Limits	Total Program Limits	Total Cost
Excess Liability Program	\$5,000,000	\$70,000,000	\$75,000,000	\$2,178,676

2022-2023 Not to Exceed Renewal Program				
	MTS Retention	Limits	Total Program Limits	Total Cost
Excess Liability Program	\$5,000,000	\$70,000,000	\$75,000,000	\$2,938,803

The "not to exceed" figure represents a conservative 35% increase over the expiring program. It is driven by continued supply/demand pressure in the insurance market, and claims activity unique to MTS.

Workers' Compensation

There is presently more stability in the workers' compensation insurance market. MTS is currently completing year 2 of a two-year rate agreement that saw rates remaining flat from the prior year to the current. For the renewal, MTS's longtime insurer, Arch, is proposing a new two-year rate commitment that staff and our broker Alliant views as favorable. The following is a snapshot of the renewal relative to the expiring program:

Excess Workers' Compensation	2021-22	2022-23	\$ Change	% Change
Payroll	\$96,116,211	\$106,034,711	\$9,918,500	10%
Limit	Statutory	Statutory	-	0%
Rate Per \$100	0.2232	0.2232	.016	7%
Self-Insured Retention	\$1,000,000	\$1,000,000	-	0%
Premium	\$214,531	\$253,211	\$38,680	18%
*Final Premium subject to payroll audit conducted at end of policy term.				

The rate commitment of no more than 3% for the 2023-24 policy period comes with the standard limitations surrounding MTS losses, significant changes in MTS operations or financial conditions, and market conditions that are entirely out of Arch's control.

Therefore, staff recommends that the MTS Board of Directors:

- 1) Authorize the Chief Executive Officer (CEO) to purchase an Excess Liability Program, effective March 1, 2022, that results in a not to exceed amount of \$2,938,804 based on the expiring coverage structure of \$70M excess of a \$5M Self Insured Retention (SIR); and
- 2) Approve a new two-year rate commitment from Arch Insurance for MTS Excess Workers' Compensation program, effective March 1, 2022 for a first year premium of \$253,211.

/S/ Sharon Cooney

Sharon Cooney
Chief Executive Officer

Key Staff Contact: Julia Tuer, 619.557.4515, Julia.Tuer@sdmts.com



Agenda Item No. 30

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

SUBJECT:

SAN DIEGO TRANSIT CORPORATION (SDTC) PENSION INVESTMENT STATUS (JEREMY MILLER, REPRESENTATIVE WITH RVK INC. AND LARRY MARINESI)

INFORMATIONAL ONLY

Budget Impact

None at this time.

DISCUSSION:

The SDTC Employee Retirement Plan (Plan) has a pool of investments to fund the current and future pension benefit of the plan members. The Plan's investment advisor, Jeremy Miller from RVK, will provide the Board of Directors with an update as to the performance of the Plan as well as general capital market performance. RVK's pension investment performance analysis (Attachment A) for the Plan as of June 30, 2021 includes assets with a market value of \$205.1 million. During fiscal year 2021, the Plan's assets increased by approximately \$38.6 million, primarily due to strong market investment performance. This resulted from a net investment gain of \$35.1 million, a \$7.8 million one-time Board-approved contribution to the Plan for the impact of COVID-19 on market returns, partially offset by a net payout of benefits and expenses less contributions of \$4.3 million.

The Plan's ten products achieved a combined investment return of 21.3% for the year. The Plan's returns over the past three, five and ten years were 8.8%, 8.2% and 5.9% respectively. Since inception (10/1/1982), the Plan's investments have returned 9.0%. The current actuarial target for the Plan is 6.0%.

/S/ Sharon Cooney

Sharon Cooney
Chief Executive Officer

Key Staff Contact: Julia Tuer, 619.557.4515, Julia.Tuer@sdmts.com

Attachment: A. RVK Pension Investment Performance Analysis





Monthly Investment Performance Analysis

San Diego Transit Corporation

Employees Retirement Plan

Period Ended: June 30, 2021

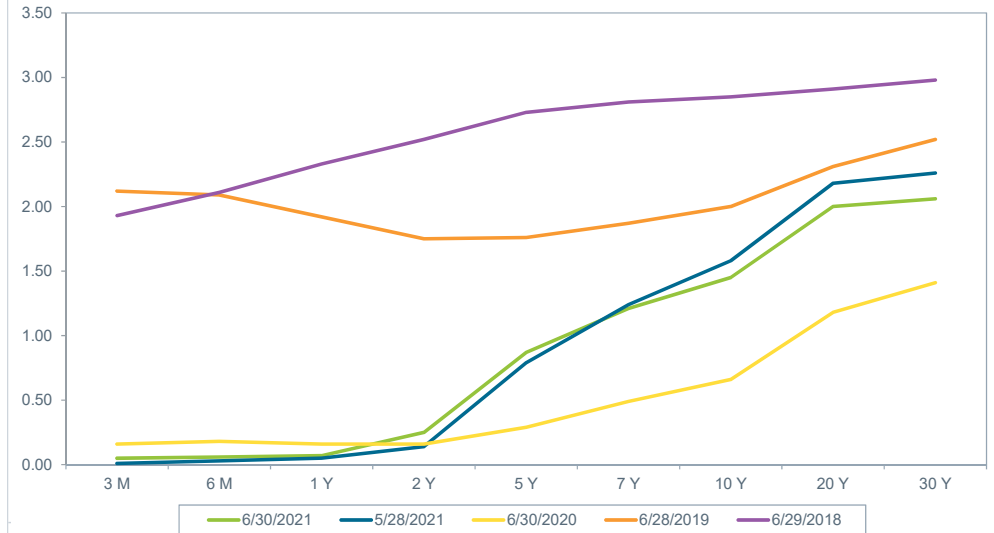


General Market Commentary

- Equity markets finished June with mixed results. US equity markets generally outperformed international equity markets, and growth stocks vastly outperformed value stocks both in the US and abroad. The S&P 500 and technology-heavy Nasdaq Composite finished June at record highs after another consecutive monthly gain.
- Markets reacted positively to the Federal Reserve's announcement that it would begin to slowly wind down its \$13.7 billion corporate bond position it initiated during the height of the COVID-19 pandemic to stabilize investment grade bond markets. However, some uncertainty following the Fed's June meeting limited the upside in the month. While no change in monetary policy was announced, Fed officials now expect to raise rates by the end of 2023.
- Inflation continues to weigh on investors' minds as the Consumer Price Index (CPI) increased 5% in May on a year-over-year basis, the largest increase in CPI since August 2008. The 5% increase outpaced economists projections of a 4.7% YoY increase.
- Equity markets posted mixed returns in June as the S&P 500 (Cap Wtd) Index returned 2.33% and the MSCI EAFE (Net) Index returned -1.13%. Emerging markets returned 0.17% as measured by the MSCI EM (Net) Index.
- The Bloomberg US Aggregate Bond Index returned 0.70% in June, outperforming the -0.07% return by the Bloomberg US Treasury Intermediate Term Index. International fixed income markets returned -2.10%, as measured by the FTSE Non-US World Gov't Bond Index.
- Public real estate, as measured by the FTSE NAREIT Eq REITs Index (TR), returned 2.61% in June and 6.31% over the trailing five-year period.
- The Cambridge US Private Equity Index returned 48.11% for the trailing one-year period and 17.51% for the trailing five-year period ending March 2021.
- Absolute return strategies, as measured by the HFRI FOF Comp Index, returned 0.54% for the month and 18.31% over the trailing one-year period.
- Crude oil's price increased by 10.78% during the month, and has increased by 87.09% YoY.

Economic Indicators	Jun-21		May-21	Jun-20	10 Yr	20 Yr
Federal Funds Rate (%)	0.08	▲	0.05	0.08	0.63	1.37
Breakeven Inflation - 5 Year (%)	2.50	▼	2.60	1.17	1.74	1.83
Breakeven Inflation - 10 Year (%)	2.34	▼	2.45	1.34	1.93	2.02
Breakeven Inflation - 30 Year (%)	2.28	▼	2.34	1.56	2.04	2.24
Bloomberg US Agg Bond Index - Yield (%)	1.50	—	1.50	1.25	2.28	3.39
Bloomberg US Agg Bond Index - OAS (%)	0.32	▲	0.30	0.68	0.51	0.61
Bloomberg US Agg Credit Index - OAS (%)	0.77	▼	0.79	1.42	1.28	1.43
Bloomberg US Corp: HY Index - OAS (%)	2.68	▼	2.96	6.26	4.65	5.33
Capacity Utilization (%)	75.38	▲	75.08	68.68	76.50	76.51
Unemployment Rate (%)	5.9	▲	5.8	11.1	5.9	6.1
PMI - Manufacturing (%)	60.6	▼	61.2	52.2	54.0	53.1
Baltic Dry Index - Shipping	3,383	▲	2,596	1,366	1,153	2,319
Consumer Conf (Conf Board)	128.90	▲	120.00	98.30	98.28	90.48
CPI YoY (Headline) (%)	5.4	▲	5.0	0.6	1.8	2.1
CPI YoY (Core) (%)	4.5	▲	3.8	1.2	2.0	2.0
PPI YoY (%)	9.4	▲	8.7	-2.3	1.3	2.1
M2 YoY (%)	12.20	▼	13.9	22.9	8.2	7.1
US Dollar Total Weighted Index	112.85	▲	111.03	120.78	106.07	103.17
WTI Crude Oil per Barrel (\$)	73	▲	66	39	67	63
Gold Spot per Oz (\$)	1,770	▼	1,904	1,781	1,420	1,048

Treasury Yield Curve (%)

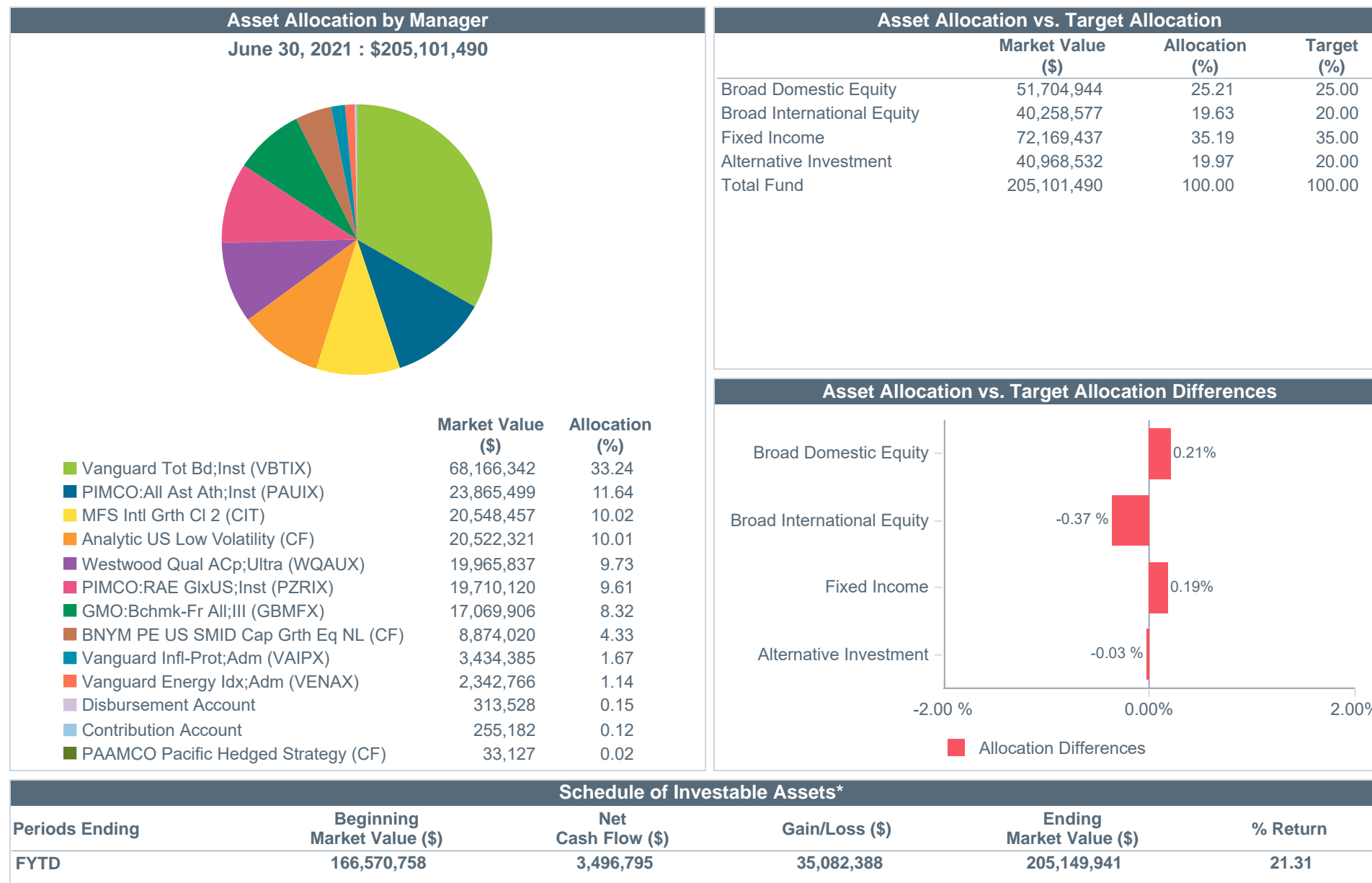


Treasury Yield Curve (%)	Jun-21	May-21		Jun-20	Jun-19	Jun-18		
3 Month	0.05	0.01		0.16	2.12	1.93		
6 Month	0.06	0.03		0.18	2.09	2.11		
1 Year	0.07	0.05		0.16	1.92	2.33		
2 Year	0.25	0.14		0.16	1.75	2.52		
5 Year	0.87	0.79		0.29	1.76	2.73		
7 Year	1.21	1.24		0.49	1.87	2.81		
10 Year	1.45	1.58		0.66	2.00	2.85		
20 Year	2.00	2.18		1.18	2.31	2.91		
30 Year	2.06	2.26		1.41	2.52	2.98		
Market Performance (%)	MTD	QTD	CYTD	1 Yr	3 Yr	5 Yr	7 Yr	10 Yr
S&P 500 (Cap Wtd)	2.33	8.55	15.25	40.79	18.67	17.65	14.10	14.84
Russell 2000	1.94	4.29	17.54	62.03	13.52	16.47	11.39	12.34
MSCI EAFE (Net)	-1.13	5.17	8.83	32.35	8.27	10.28	4.96	5.89
MSCI EAFE SC (Net)	-1.65	4.34	9.04	40.98	8.40	12.03	7.75	8.38
MSCI EM (Net)	0.17	5.05	7.45	40.90	11.27	13.03	6.35	4.29
Bloomberg US Agg Bond	0.70	1.83	-1.61	-0.34	5.34	3.03	3.28	3.39
ICE BofAML 3 Mo US T-Bill	0.00	0.00	0.02	0.09	1.34	1.17	0.87	0.63
NCREIF ODCE (Gross)	3.93	3.93	6.12	8.02	5.52	6.57	8.40	9.60
FTSE NAREIT Eq REITs Index (TR)	2.61	12.02	21.96	38.02	10.10	6.31	8.39	9.41
HFRI FOF Comp Index	0.54	2.89	4.97	18.31	6.33	6.13	4.09	3.86
Bloomberg Cmdty Index (TR)	1.85	13.30	21.15	45.61	3.90	2.40	-4.13	-4.44

NCREIF performance is reported quarterly; MTD and QTD returns are shown as "N/A" on interim-quarter months and until available. Data shown is as of most recent quarter-end. Treasury data courtesy of the US Department of the Treasury. Economic data courtesy of Bloomberg Professional Service.

San Diego Transit Corporation Employees Retirement Plan
AA by Manager, AA vs. Target, and Schedule of Investable Assets

Att. A, AI 30, 2/10/22
As of June 30, 2021



Performance shown is gross of fees. Market values and performance are preliminary and subject to change. Allocations shown may not sum up to 100% exactly due to rounding. Fiscal year ends 06/30. The market value shown for PAAMCO represents illiquid special purpose vehicle (SPV) assets.

*Schedule of Investable Assets values provided by SDTC based off of audited financial statements and may not match RVK values.



**San Diego Transit Corporation Employees Retirement Plan
Asset Allocation & Performance**

	Allocation		Performance (%)												
	Market Value (\$)	%	MTD	QTD	CYTD	FYTD	1 Year	3 Years	5 Years	10 Years	2020	2019	2018	Since Incep.	Inception Date
San Diego Transit Total Fund	205,101,490	100.00	0.01	4.03	6.79	21.31	21.31	8.84	8.21	5.93	8.88	16.17	-4.93	9.01	10/01/1982
Policy Index			0.82	4.78	6.08	21.70	21.70	10.75	9.38	6.74	13.05	19.02	-5.00	9.30	
Difference			-0.81	-0.75	0.71	-0.39	-0.39	-1.91	-1.17	-0.81	-4.17	-2.85	0.07	-0.29	
Domestic Equity	51,704,944	25.21	0.25	4.88	10.81	35.81	35.81	13.01	12.73	11.86	13.11	28.24	-7.70	8.73	03/01/2005
Russell 3000 Index			2.47	8.24	15.11	44.16	44.16	18.73	17.89	14.70	20.89	31.02	-5.24	10.51	
Difference			-2.22	-3.36	-4.30	-8.35	-8.35	-5.72	-5.16	-2.84	-7.78	-2.78	-2.46	-1.78	
International Equity	40,258,577	19.63	-1.11	5.85	11.85	39.30	39.30	10.82	12.80	6.91	9.68	22.67	-11.76	5.31	03/01/2005
MSCI ACW Ex US Index (USD) (Net)			-0.65	5.48	9.16	35.72	35.72	9.38	11.08	5.45	10.65	21.51	-14.20	5.84	
Difference			-0.46	0.37	2.69	3.58	3.58	1.44	1.72	1.46	-0.97	1.16	2.44	-0.53	
Fixed Income	72,169,437	35.19	0.75	2.02	-1.50	0.00	0.00	5.37	3.07	3.41	7.74	8.66	0.07	4.89	03/01/2005
Bloomberg US Agg Bond Index			0.70	1.83	-1.61	-0.34	-0.34	5.34	3.03	3.39	7.51	8.72	0.01	4.16	
Difference			0.05	0.19	0.11	0.34	0.34	0.03	0.04	0.02	0.23	-0.06	0.06	0.73	
Alternative Investment	40,968,532	19.97	-0.32	4.13	10.14	23.31	23.31	6.43	5.54	3.19	2.11	9.71	-3.90	3.06	05/01/2007
Alternative Investment Custom Index			0.44	4.94	5.89	23.58	23.58	10.70	8.24	5.03	14.05	18.55	-3.69	3.19	
Difference			-0.76	-0.81	4.25	-0.27	-0.27	-4.27	-2.70	-1.84	-11.94	-8.84	-0.21	-0.13	

Performance shown is gross of fees. Market values and performance are preliminary and subject to change. Fiscal year ends 06/30. Inception dates shown represent the first full month following initial funding. The Alternative Investment performance shown is a blend of gross and net of fees, due to gross of fees performance for PAAMCO Pacific Hedged Strategy (CF) being unavailable.

San Diego Transit Corporation Employees Retirement Plan
Comparative Performance

	MTD	QTD	CYTD	FYTD	1 Year	3 Years	5 Years	10 Years	2020	2019	2018	Since Incep.	Inception Date
San Diego Transit Total Fund	0.01	4.03	6.79	21.31	21.31	8.84	8.21	5.93	8.88	16.17	-4.93	9.01	10/01/1982
Policy Index	0.82	4.78	6.08	21.70	21.70	10.75	9.38	6.74	13.05	19.02	-5.00	9.30	
Difference	-0.81	-0.75	0.71	-0.39	-0.39	-1.91	-1.17	-0.81	-4.17	-2.85	0.07	-0.29	
Westwood Qual ACp;Ultra (WQAUX)	-1.75	4.18	14.02	44.71	44.71	12.87	13.43	11.58	9.02	28.56	-9.63	10.99	07/01/1986
Russell 3000 Val Index (2)	-1.11	5.16	17.67	45.40	45.40	12.23	11.99	11.53	2.87	26.26	-8.58	10.17	
Difference	-0.64	-0.98	-3.65	-0.69	-0.69	0.64	1.44	0.05	6.15	2.30	-1.05	0.82	
Vanguard Energy Idx;Adm (VENAX)	5.27	12.83	49.16	57.51	57.51	-6.54	N/A	N/A	-32.93	9.45	-19.82	-0.56	08/01/2016
MSCI US IM Energy 25/50 Index (Gross)	5.27	12.82	49.13	57.40	57.40	-6.59	-0.98	-0.75	-33.03	9.42	-19.80	-0.60	
Difference	0.00	0.01	0.03	0.11	0.11	0.05	N/A	N/A	0.10	0.03	-0.02	0.04	
Analytic US Low Volatility (CF)	0.17	5.06	8.68	23.94	23.94	12.43	10.04	N/A	6.63	28.79	-4.85	11.98	10/01/2012
MSCI US Min Vol Index (USD) (Net)	1.78	6.71	9.04	22.97	22.97	13.14	11.40	12.64	5.09	27.09	0.87	12.64	
Difference	-1.61	-1.65	-0.36	0.97	0.97	-0.71	-1.36	N/A	1.54	1.70	-5.72	-0.66	
Russell 1000 Index	2.51	8.54	14.95	43.07	43.07	19.16	17.99	14.90	20.96	31.43	-4.78	15.81	
Difference	-2.34	-3.48	-6.27	-19.13	-19.13	-6.73	-7.95	N/A	-14.33	-2.64	-0.07	-3.83	
BNYM PE US SMID Cap Grth Eq NL (CF)	5.51	5.72	2.23	39.22	39.22	27.34	26.92	18.72	70.19	40.61	-0.86	21.14	04/01/2009
Russell 2500 Grth Index	5.37	6.04	8.67	49.63	49.63	20.15	20.68	14.83	40.47	32.65	-7.47	19.13	
Difference	0.14	-0.32	-6.44	-10.41	-10.41	7.19	6.24	3.89	29.72	7.96	6.61	2.01	
PIMCO:RAE GlxUS;Inst (PZRIX)	-2.05	4.45	15.00	45.77	45.77	7.37	10.47	N/A	2.30	16.57	-14.44	7.03	03/01/2012
FTSE RAFI Dvl'd Ex US 1000 Index	-2.26	5.06	14.19	43.08	43.08	7.59	11.05	5.59	3.61	18.85	-14.55	7.17	
Difference	0.21	-0.61	0.81	2.69	2.69	-0.22	-0.58	N/A	-1.31	-2.28	0.11	-0.14	
MSCI ACW Ex US Index (USD) (Net)	-0.65	5.48	9.16	35.72	35.72	9.38	11.08	5.45	10.65	21.51	-14.20	6.58	
Difference	-1.40	-1.03	5.84	10.05	10.05	-2.01	-0.61	N/A	-8.35	-4.94	-0.24	0.45	
MFS Intl Grth CI 2 (CIT)	-0.18	7.31	8.27	32.15	32.15	13.63	15.06	N/A	16.51	28.56	-7.99	10.11	03/01/2013
MSCI ACW Ex US Grth Index (USD) (Net)	0.39	6.60	6.52	33.68	33.68	13.23	13.37	7.28	22.20	27.34	-14.43	8.72	
Difference	-0.57	0.71	1.75	-1.53	-1.53	0.40	1.69	N/A	-5.69	1.22	6.44	1.39	
Vanguard Tot Bd;Inst (VBTIX)	0.79	2.02	-1.66	-0.34	-0.34	5.45	3.06	N/A	7.80	8.77	0.04	3.06	07/01/2016
Vanguard Spl B US Agg Flt Adj Index	0.77	1.96	-1.67	-0.33	-0.33	5.44	3.07	3.44	7.75	8.87	-0.08	3.07	
Difference	0.02	0.06	0.01	-0.01	-0.01	0.01	-0.01	N/A	0.05	-0.10	0.12	-0.01	
Vanguard Infl-Prot;Adm (VAIPX)	0.70	3.14	1.76	6.57	6.57	6.53	4.13	3.44	11.07	8.32	-1.31	3.83	08/01/2010
Bloomberg US Trsy US TIPS Index	0.61	3.25	1.73	6.51	6.51	6.53	4.17	3.40	10.99	8.43	-1.26	3.80	
Difference	0.09	-0.11	0.03	0.06	0.06	0.00	-0.04	0.04	0.08	-0.11	-0.05	0.03	

Performance shown is gross of fees, preliminary and subject to change. Manager inception dates shown represent the first full month following initial funding. Fiscal year ends 06/30. Please see Addendum for more information regarding custom hybrids denoted with a number in parentheses.

San Diego Transit Corporation Employees Retirement Plan
Comparative Performance

	MTD	QTD	CYTD	FYTD	1 Year	3 Years	5 Years	10 Years	2020	2019	2018	Since Incep.	Inception Date
PIMCO:All Ast Ath;Inst (PAUIX)	0.93	6.79	13.45	30.65	30.65	8.16	7.62	4.62	5.58	8.62	-5.25	5.34	06/01/2008
All Asset Custom Index (EqI Wtd) (3)	0.74	3.25	3.72	13.30	13.30	8.11	7.07	5.54	9.89	12.97	-1.62	5.29	
Difference	0.19	3.54	9.73	17.35	17.35	0.05	0.55	-0.92	-4.31	-4.35	-3.63	0.05	
HFRI FOF: Cnsvt Index	0.34	2.17	5.84	15.01	15.01	5.32	5.06	3.48	6.47	6.30	-0.87	2.13	
Difference	0.59	4.62	7.61	15.64	15.64	2.84	2.56	1.14	-0.89	2.32	-4.38	3.21	
Consumer Price Index+5%	1.34	3.83	6.88	10.66	10.66	7.67	7.55	6.96	6.43	7.40	7.01	6.83	
Difference	-0.41	2.96	6.57	19.99	19.99	0.49	0.07	-2.34	-0.85	1.22	-12.26	-1.49	
GMO:Bchmk-Fr All;III (GBMFX)	-2.01	0.78	6.05	14.72	14.72	4.28	5.64	N/A	-1.60	12.53	-4.49	3.65	04/01/2014
60% MSCI ACW (Net)/40% Bbrg US Agg Idx	1.07	5.15	6.57	22.18	22.18	11.23	10.13	7.52	13.49	19.41	-5.52	7.67	
Difference	-3.08	-4.37	-0.52	-7.46	-7.46	-6.95	-4.49	N/A	-15.09	-6.88	1.03	-4.02	
HFRI FOF: Cnsvt Index	0.34	2.17	5.84	15.01	15.01	5.32	5.06	3.48	6.47	6.30	-0.87	3.54	
Difference	-2.35	-1.39	0.21	-0.29	-0.29	-1.04	0.58	N/A	-8.07	6.23	-3.62	0.11	
Consumer Price Index+5%	1.34	3.83	6.88	10.66	10.66	7.67	7.55	6.96	6.43	7.40	7.01	7.04	
Difference	-3.35	-3.05	-0.83	4.06	4.06	-3.39	-1.91	N/A	-8.03	5.13	-11.50	-3.39	

Performance shown is gross of fees, preliminary and subject to change. Manager inception dates shown represent the first full month following initial funding. Fiscal year ends 06/30. Please see Addendum for more information regarding custom hybrids denoted with a number in parentheses.

**San Diego Transit Corporation Employees Retirement Plan
Fee Schedule**

	Fee Schedule	Market Value As of 06/30/2021 (\$)	Estimated Annual Fee (\$)	Estimated Annual Fee (%)
Westwood Qual ACp;Ultra (WQAUX)	0.75 % of Assets	19,965,837	149,744	0.75
Vanguard Energy Idx;Adm (VENAX)	0.10 % of Assets	2,342,766	2,343	0.10
Analytic US Low Volatility (CF)	0.40 % of First \$20 M 0.30 % of Next \$80 M 0.20 % Thereafter	20,522,321	81,567	0.40
BNYM PE US SMID Cap Grth Eq NL (CF)	0.90 % of First \$25 M 0.75 % Thereafter	8,874,020	79,866	0.90
PIMCO:RAE GlxUS;Inst (PZRIX)	0.59 % of Assets	19,710,120	116,290	0.59
MFS Intl Grth CI 2 (CIT)	0.75 % of Assets	20,548,457	154,113	0.75
Vanguard Tot Bd;Inst (VBTIX)	0.04 % of Assets	68,166,342	23,858	0.04
Vanguard Infl-Prot;Adm (VAIPX)	0.10 % of Assets	3,434,385	3,434	0.10
PIMCO:All Ast Ath;Inst (PAUIX)	0.94 % of Assets	23,865,499	224,336	0.94
GMO:Bchmk-Fr All;III (GBMFX)	0.96 % of Assets	17,069,906	163,871	0.96
Contribution Account	0.15 % of Assets	255,182	383	0.15
Disbursement Account	0.15 % of Assets	313,528	470	0.15
San Diego Transit Total Fund		205,101,490	1,000,607	0.49

Mutual fund fees are sourced from Morningstar and/or the investment manager. The expense ratio for Vanguard Tot Bd;Inst (VBTIX) is 0.035%.

San Diego Transit Corporation Employees Retirement Plan Addendum

Performance Related and Miscellaneous Comments

- Performance is gross of fees.
- Performance is annualized for periods greater than one year.
- Manager inception dates shown represent the first full month following initial funding.
- Fiscal year ends 06/30.
- The Alternative Investment performance shown is a blend of gross and net of fees, due to gross of fees performance for PAAMCO Pacific Hedged Strategy (CF) being unavailable.
- PIMCO:All Ast Ath;Inst (PAUIX) performance prior to 08/2011 is represented by PIMCO:All Asset;Inst (PAAIX).
- PIMCO:RAE GlxUS;Inst (PZRIX) performance prior to 06/2015 is represented by Research Affiliates Global AC Ex-US, LP (CF).
- Effective 01/02/2019, The Boston Company was rebranded under the Mellon Corporation.
- Vanguard Infl-Prot;Adm (VAIPX) performance prior to 05/2019 is represented by Vanguard Infl-Prot;Inst (VIPIX). Prior to 06/2012, performance is represented by Vanguard Infl-Prot;Adm (VAIPX).

Custom Hybrid Comments

- The Policy Index is calculated monthly and currently consists of 25% Russell 3000 Index, 20% MSCI ACW Ex US Index (USD) (Net), 35% Bloomberg US Agg Bond Index and 20% of the 60% MSCI ACW (Net)/40% Bbrg Gbl Agg Idx. Prior to 05/2020, consisted of 25% Russell 3000 Index, 20% MSCI ACW Ex US Index (USD) (Net), 32.50% Bloomberg US Agg Bond Index and 22.50% of the 60% MSCI ACW (Net)/40% Bbrg Gbl Agg Idx.
- Performance shown for Alternative Investment Custom Index represents 60% MSCI ACW (Net)/40% Bbrg Gbl Agg Idx from 07/2018 through present; and prior to 07/2018, consists of the HFRI FOF: Cnsvt Index.
- Performance shown for Westwood All Cap Val (CF) (1) represents Westwood All Cap Val (CF) from 08/2011 through present; beginning of month market value weighted average of Westwood LargeCap Value (CF) and Westwood SMidCap Equity (CF) from 07/2008 through 07/2011; Westwood LargeCap Value (CF) from 10/2004 through 06/2008; beginning of month market value weighted average of Westwood LargeCap Value (CF) and Westwood SmallCap Growth (CF) from 01/1997 through 09/2004; and Westwood LargeCap Value (CF) from 07/1986 through 12/1996.
- Performance shown for Russell 3000 Val Index (2) represents Russell 3000 Val Index from 08/2011 through present; beginning of month market value weighted average of Westwood LargeCap Value (CF) and Westwood SMidCap Equity (CF) applied to the Russell 1000 Val Index and Russell 2500 Val Index, respectively, from 07/2008 through 07/2011; Russell 1000 Val Index from 10/2004 through 06/2008; beginning of month market value weighted average of Westwood LargeCap Value (CF) and Westwood SmallCap Growth (CF) applied to the Russell 1000 Val Index and Russell 2000 Grth Index, respectively, from 01/1997 through 09/2004; and Russell 1000 Val Index from 01/1986 through 12/1996.
- Performance shown for All Asset Custom Index (EqI Wtd) (3) represents All Asset Custom Index (EqI Wtd) from 01/2014 through present; and All Asset Composite Index from 10/1997 through 12/2013.
- The All Asset Custom Index (EqI Wtd) is an equal-weighted hybrid created independently by RVK specifically for PIMCO's All Asset strategies, and it consists of the following benchmarks:

1. *Short Term Strategies*: ICE BofAML 1 Yr T-Bill Index
2. *US Core and Long Maturity Bond Strategies*: Bloomberg US Agg Bond Index
3. *EM and Gbl Bond Strategies*: PIMCO GLADI Index*
4. *Crdt Strategies*: ICE BofAML US Hi Yld Master II Index
5. *Inflation Related Strategies*: Bloomberg US Trsy US TIPS Index
6. *US Equity Strategies*: Russell 3000 Index
7. *Global Equity Strategies*: MSCI ACW Index (USD) (Net)
8. *Alternative Strategies*: ICE BofAML 3 Mo US T-Bill Index+3%

* Performance for the PIMCO Gbl Advantage Bond Index (London Close) prior to 01/01/2004 consists of the JPM EMBI Gbl Dvf'd Index (USD) (TR).

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RVK



San Diego Transit Corporation

Investment Manager Fiscal Year 2021 Update

February 10, 2022



Investment Structure as of 6/30/2021

Asset Allocation vs. Target Allocation			
	Market Value (\$)	Allocation (%)	Target (%)
Broad Domestic Equity	51,704,944	25.21	25.00
Broad International Equity	40,258,577	19.63	20.00
Fixed Income	72,169,437	35.19	35.00
Alternatives (Multi-Asset)	40,968,731	19.97	20.00
Total Fund	205,101,689	100.00	100.00

- Plan is diversified across four broad asset classes
- Goal is to maximize return, while assuming a prudent risk level
 - Closed Plan to non-management participants (2011/2012)
 - Risk Profile as measured by Volatility (higher % = riskier portfolio)
 - 6/30/2011: 3-Year Plan Risk = 16% (Percentile Rank: 31st of 100)
 - 6/30/2021: 3-Year Plan Risk = 10% (Percentile Rank: 88th of 100)
- Liability structure (mature plan, with net outflows) would suggest an Asset structure that is more conservative, diversified and liquid
 - Assets exist to satisfy the Liabilities, as capital preservation is necessary in mature plan, and thus less emphasis on equity allocation
 - Management fees reduced significantly through passive investing

Investment Details as of 6/30/2021

Asset Allocation Detail					
Fund	Asset Class	Strategy	Market Value (\$)	Allocation (%)	Target (%)
Westwood All Cap Value	US Equity	Active	19,965,837	9.73	
Vanguard Energy Index	US Equity	Passive	2,342,766	1.14	
Analytic US Low Volatility	US Equity	Active	20,522,321	10.01	
BNYM US SMID Growth	US Equity	Active	8,874,020	4.33	
Total US Equity			51,704,944	25.21	25.00
PIMCO RAE	Int'l Equity	Active	19,710,120	9.61	
MFS Int'l Growth	Int'l Equity	Active	20,548,457	10.02	
Total International Equity			40,258,577	19.63	20.00
Vanguard Total Bond	Fixed Income	Passive	68,166,342	33.24	
Vanguard Inflation-Protection	Fixed Income	Active	3,434,385	1.67	
Contribution Account	Fixed Income	NA	255,182	0.12	
Disbursement Account	Fixed Income	NA	313,528	0.15	
Total Fixed Income			72,169,437	35.19	35.00
PIMCO All Asset All Auth	GTAA	Active	23,865,499	11.64	
GMO Benchmark-Free	GTAA	Active	17,069,906	8.32	
PAAMCO Pacific Hedge*	Hedge Fund	NA	33,326	0.02	
Total Alternatives			40,968,731	19.97	20.00
TOTAL FUND			205,101,689	100.00	100.00

* PAAMCO market value is residual illiquid SPV assets.

- Assets are allocated across 10 different products
- Product diversification reduces overall portfolio risks
- Allocation sizes for active managers are controlled, reducing concentration risks

FY 2021 Performance

- Significant market outperformance following the “COVID Crash”
 - Outperformance was led primarily by US large-cap growth stocks
- All four quarters of FY 2021 provided positive returns for the Plan
 - Q3 2020: 3.6% Q4 2020: 9.7% Q1 2021: 2.7% Q2 2021: 4.0%
- CARES Act funds contribution of \$7.8M in February 2021 resulted in a positive net cash flow for FY 2021

Schedule of Investable Assets (\$ millions)					
Beginning Market Value	Net Cash Flow	COVID-19 CARES Contribution	Gain / Loss	Ending Market Value	Return (%)
\$ 166.6	\$ (4.3)	\$ 7.8	\$ 35.1	\$ 205.1	21.31%

- Plan returned **21.31%** over the 2021 fiscal year
- Assumed Actuarial annual rate of return is 6.00%
- Outperformed the Actuarial rate by 15.31% in fiscal year 2021

Long Term Performance Details

As of 6/30/2021

	Allocation		Performance (%)				
	Market Value (\$)	%	1 Year	5 Years	10 Years	39 Year	Inception Date
San Diego Transit Total Fund	205,101,689	100%	21.31	8.21	5.93	9.01	10/01/1982
Domestic Equity	51,704,944	25.21%	35.80	12.73	11.86		
International Equity	40,258,577	19.63%	39.30	12.80	6.91		
Fixed Income	72,169,437	35.19%	0.00	3.07	3.41		
Alternative Investment	40,968,731	19.97%	23.31	5.54	3.19		

- Year to year returns will fluctuate significantly, some years above and some years below the Actuarial rate of return, but over the long-run the SDTC portfolio has consistently outperformed the 6.00% Actuarial return hurdle

Investment Structure Summary

- Plan is well diversified across a variety of managers and broad asset classes
- Asset Allocation is more conservative by design given that the Plan is closed
 - Focus is on satisfying liabilities
 - Balance capital appreciation vs. capital preservation
- Management fees are kept low with the use of passive investments
- Portfolio is well positioned for the future given the liability structure of the Plan

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Agenda Item No. 31

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

SUBJECT:

SAN DIEGO TRANSIT CORPORATION (SDTC) EMPLOYEE RETIREMENT PLAN'S
ACTUARIAL VALUATION AS OF JULY 1, 2021 (ANNE HARPER AND ALICE ALSBERGHE
WITH CHEIRON INC. AND LARRY MARINESI)

RECOMMENDATION:

That the San Diego Metropolitan Transit System (MTS) Board of Directors receive the SDTC Employee Retirement Plan's (Plan) Actuarial Valuation as of July 1, 2021 (Attachment A), and adopt the pension contribution amount of \$17,901,804 for fiscal year 2023.

Budget Impact

Board adoption would result in the annual pension contribution of \$17,901,804 for fiscal year 2023, consisting of both employer and employee contributions.

DISCUSSION:

The Actuarial Valuation of the Plan as of July 1, 2021 was completed in December 2021 by Cheiron, Inc., and the entire report is included as Attachment A. This report was subsequently produced after the Actuarial Experience Study was approved by the MTS Board of Directors in November 2021 and incorporates all of the actuarial assumption changes approved at that meeting (including investment return assumptions decreasing from 6.75% to 6.00%). The purpose of the actuarial valuation is to measure, describe, and identify the following as of the valuation date:

- The financial condition of the Plan,
- Past and expected trends in the financial progress of the Plan, and
- Compute the total annual pension contribution amount.

The Plan's funding policy is to contribute an amount equal to the sum of:

- The normal cost,
- Expected administrative expenses, and
- Amortization of the unfunded actuarial liability.

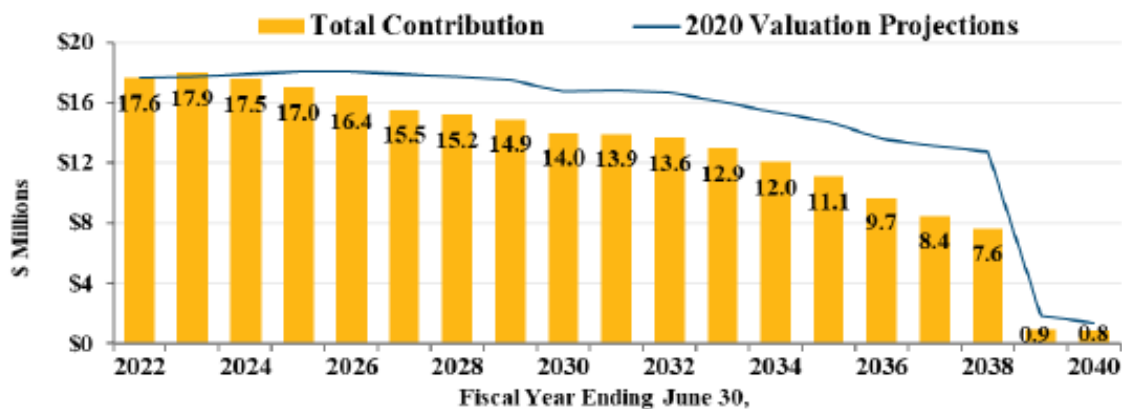


This valuation has calculated a total contribution of \$17,901,804, an increase of 1.8% from fiscal year 2022, which would be used for the fiscal year 2023 budget.

As reflected in the following table, contributions are increasing year over year by approximately \$316,000.

Total Contribution Reconciliation	
Fiscal Year 2021-2022, middle of the year	17,585,592
Change due to assumption changes	1,017,256
Change due to CARES additional funding	(842,925)
Changed due to effect of closed plan on benefits earned	(171,806)
Change due to actuarial investment experience	(90,340)
Change due to liability experience	404,290
Change due to other miscellaneous factors	(263)
Fiscal Year 2022-2023, middle of the year	17,901,804

Given the updated projected rates of return and the closed nature of the Plan, the Plan contributions are projected to continue to stabilize over the next few years, and the Unfunded Actuarial Liability will be fully paid off by fiscal year 2038.



Anne Harper and Alice Alsberghe of Cheiron, Inc. will provide an overview of the report in more detail and be available for any questions.

/S/ Sharon Cooney
Sharon Cooney
Chief Executive Officer

Key Staff Contact: Julia Tuer, 619.557.4515, Julia.Tuer@sdmts.com

Attachment: A. Actuarial Validation Report



Retirement Plans of San Diego Transit Corporation

Actuarial Valuation Report as of July 1, 2021

Produced by Cheiron

December 2021

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Via Electronic Mail

December 28, 2021

Mr. Larry Marinesi
San Diego Transit Corporation
1255 Imperial Avenue, Suite 1000
San Diego, California 92101-7490

Dear Mr. Marinesi:

At your request, we have conducted an actuarial valuation of the Retirement Plans of San Diego Transit Corporation ("Plan," "SDTC") as of July 1, 2021. This report contains information on the Plan's assets, liabilities, and contribution levels. It also contains an assessment and disclosures of the Plan's risks. In the Foreword, we refer to the general approach employed in the preparation of this report.

The purpose of this report is to present the results of the annual actuarial valuation of the Plans. This report is for the use of the Retirement Board and the San Diego Metropolitan Transit System ("MTS") Board and its auditors in preparing financial reports in accordance with applicable law and accounting requirements.

In preparing our report, we relied on information (some oral and some written) supplied by the plan administrator. This information includes, but is not limited to, the Plan provisions, employee data, and financial information. We performed an informal examination of the obvious characteristics of the data for reasonableness and consistency in accordance with Actuarial Standard of Practice No. 23.

The assumptions used in calculating the liabilities found in this report reflect the results of an Experience Study approved by the Budget Development Committee in October 2021 and the San Diego Metropolitan Transit System's (MTS) Board of Directors in November 2021.

Future results may differ significantly from the current results presented in this report due to such factors as the following: plan experience differing from that anticipated by the assumptions; changes in assumptions; changes in methods; and changes in plan provisions or applicable law.

This report and its contents have been prepared in accordance with generally recognized and accepted actuarial principles and our understanding of the Code of Professional Conduct and applicable Actuarial Standards of Practice set out by the Actuarial Standards Board as well as applicable law and regulations. Furthermore, as credentialed actuaries, we meet the Qualification Standards of the American Academy of Actuaries to render the opinion contained in this report. This report does not address any contractual or legal issues. We are not attorneys, and our firm does not provide any legal services or advice.

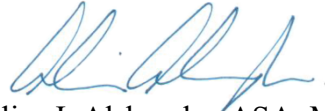
Mr. Larry Marinesi
San Diego Transit Corporation
December 28, 2021

This report was prepared exclusively for the Retirement Board and MTS Board for the purposes described herein. Other uses of this valuation report are not intended users as defined in the Actuarial Standards of Practice, and Cheiron assumes no duty or liability to any other user.

Sincerely,
Cheiron



Anne D. Harper, FSA, MAAA, EA
Principal Consulting Actuary



Alice I. Alsberghe, ASA, MAAA, EA
Consulting Actuary

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

FOREWORD

Cheiron has performed the actuarial valuation of the Retirement Plans of San Diego Transit Corporation as of July 1, 2021. The valuation report is organized as follows:

- In Section I, the **Executive Summary**, we describe the purpose of an actuarial valuation, summarize the key results found in this valuation, and disclose important trends.
- The **Main Body** of the report presents details on the Plan's:
 - Section II – Assessment and Disclosure of Risk
 - Section III – Assets
 - Section IV – Liabilities
 - Section V – Contributions
- In the **Appendices**, we conclude our report with detailed information describing plan membership (Appendix A), actuarial assumptions and methods employed in the valuation (Appendix B), a summary of pertinent plan provisions (Appendix C), and a glossary of key actuarial terms (Appendix D).

Cheiron utilizes ProVal, an actuarial valuation application leased from Winklevoss Technologies (WinTech), to calculate liabilities and project benefit payments. We have relied on WinTech as the developer of ProVal. We have reviewed ProVal and have a basic understanding of it and have used ProVal in accordance with its original intended purpose. We have not identified any material inconsistencies in assumptions or output of ProVal that would affect this report. The deterministic and stochastic projections shown in this report were developed using R-Scan, our proprietary stochastic projection tool for assessing probabilities of different outcomes. We have relied on Cheiron colleagues who developed the tool, and we have used the tool in accordance with its purpose.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

The primary purpose of the actuarial valuation and this report is to measure, describe, and identify the following as of the valuation date:

- The financial condition of the Plan,
- Past and expected trends in the financial progress of the Plan, and
- The total contribution amount (employer and employee) to be made during Fiscal Year 2022-2023.

In the balance of this Executive Summary, we present (A) the basis upon which this year's valuation was completed, (B) the key results of this valuation including a summary of all key financial results, (C) changes in Plan cost, (D) an examination of historical trends, and (E) the future expected financial trends for the Plan.

A. Valuation Basis

This valuation determines total employer and employee contributions for the plan year.

The Plan's funding policy is to contribute an amount equal to the sum of:

- The normal cost under the Entry Age Normal Cost Method,
- Expected administrative expenses, and
- Amortization of the Unfunded Actuarial Liability (UAL) based on level dollar payments.

The employee will contribute according to the Plan schedules below. Member contribution rates in the future may change in response to collective bargaining. It will be the responsibility of the employer to contribute the remaining portion of the total contribution determined in this report.

- IBEW members contribute 8% of compensation (since April 2016)
- ATU drivers and clerical members contribute 8% of compensation (since December 2017)
- Non-contract members hired before July 1, 2013 contribute 8% of compensation (since January 2017)
- PEPRAs: New Members must contribute half of the normal cost of the Plan, rounded to the nearest 0.25%. Currently, PEPRAs are contributing 6.25% of pay and the employer pays the remaining cost of the Plan. For the July 1, 2021 valuation, the PEPRAs member rate has increased to 7.75% of compensation as a result of the actuarial assumption changes. The development of the PEPRAs member rate can be found in Section V in the body of this report.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

An actuarial experience study was performed for the period July 1, 2015 through June 30, 2020. The Budget Development Committee adopted the recommended assumption changes in October 2021 and the San Diego Metropolitan Transit System's (MTS) Board of Directors adopted the assumption changes in November 2021. Please refer to the actuarial experience study report for the rationale for each assumption change. A description of the new assumptions can be found in Appendix B – Actuarial Assumptions and Methods of this report. The most notable changes were decreasing the investment return assumption from 6.75% to 6.00% and updating both the base mortality tables and future mortality improvements.

The SDTC Plans are closed to new entrants, except for Non-Contract members. A closed plan has very different dynamics as active plan membership declines and grows older and a larger portion of the Plan's liability shifts to payees. This dynamic shortens the investment horizon thus mitigating investment risk becomes more important. If the asset mix changes to reflect the expected pattern of benefit payments, it will become more conservative and the expected return on plan assets will decrease. Thus, adjusting the Plan's investment rate of return to be consistent with the expected trending decrease of future asset returns should continue to be monitored.

The true cost of the Plan is a function of actual Plan experience, not the actuarial assumptions. It is important to set realistic assumptions to mitigate the risk of Plan contribution volatility. In Section II of this report, we provide a detailed assessment and disclosure of the Plan's risks.

This valuation was prepared based on the Plan provisions as summarized in Appendix C. There have been no changes in plan provisions since the prior valuation. The results of this valuation do not include members participating in the defined contribution plans.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

B. Key Results of this Valuation

The key results of the July 1, 2021 actuarial valuation are as follows:

- The actuarial contribution shown in this report is the total contribution required from both the employer and the employees. The total contribution increased from \$17,585,592 to \$17,901,804, an increase of about \$316,000 from the July 1, 2020 valuation. This increase is primarily due to the actuarial assumption changes partially offset by favorable asset experience for June 30, 2021, and the additional contribution of \$7,800,000 made due to CARES funding. See Table I-2 for a reconciliation of the contribution cost from last year to this year that includes all components of the change.
- The change in assumptions increased the Actuarial Liability by \$10,215,184 and the total contribution by \$1,017,256 primarily due to the decrease in the assumed rate of return from 6.75% to 6.00%.
- During the plan year ending June 30, 2021, the return on Plan assets was 20.65% based on the Market Value of Assets (MVA) compared to the 6.75% assumed rate of return. A return over 6.75% would result in an actuarial gain, and a return lower than 6.75% would result in an actuarial loss. The actual market rate of return was higher than expected, resulting in unexpected earnings of \$23,336,248 which is an actuarial gain.
- The Actuarial Value of Assets (AVA) recognizes 20% of the difference between the expected and actual return, referred to as “Unexpected Earnings”, on the Market Value of Assets (MVA) for each of the prior five years. The AVA experienced a return of 7.23%. See Table III-3 and III-4 for the detailed calculations.
- The Actuarial Liability was more than expected by \$3,560,873. The liability experience loss was primarily driven by retiree COLA increases and active member salary increases that were higher than expected.
- The Plan’s funded ratio, the ratio of actuarial (smoothed) assets over the Actuarial Liability, increased from 56.3% last year to 58.7% as of July 1, 2021. Additionally, the funded ratio based on the Market Value of Assets increased significantly from 52.6% to 61.7%, over 9%. Both funded ratio increases are a result of the favorable asset experience during FYE June 30, 2021.
- The Unfunded Actuarial Liability (UAL) is the excess of the Plan’s Actuarial Liability over the Actuarial Value of Assets. The Plan’s UAL decreased from \$137,726,531 to \$136,971,026 as of July 1, 2021.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

Below we present Table I-1, which summarizes all the key results of the valuation with respect to membership, assets and liabilities, and contributions. The results are presented and compared for both the current and prior plan year.

**Table I-1
Summary of Principal Plan Results**

<u>Participant Counts</u>	July 1, 2020	July 1, 2021	% Change
Active Participants	389	355	-8.7%
Participants Receiving a Benefit	1,028	1,048	1.9%
Inactive Participants	<u>217</u>	<u>192</u>	-11.5%
Total	1,634	1,595	-2.4%
Projected Plan Member Payroll ¹ for Fiscal Year 2021 and 2022	\$ 23,766,459	\$ 23,223,335	-2.3%
<u>Assets and Liabilities</u>			
Actuarial Liability (AL)	\$ 315,167,505	\$ 331,267,043	5.1%
Actuarial Value of Assets (AVA)	<u>177,440,974</u>	<u>194,296,017</u>	9.5%
Unfunded Actuarial Liability (UAL)	\$ 137,726,531	\$ 136,971,026	-0.5%
Market Value of Assets (MVA)	\$ 165,921,800	\$ 204,471,831	23.2%
Funded Ratio (AVA)	56.3%	58.7%	2.4%
Funded Ratio (MVA)	52.6%	61.7%	9.1%
<u>Contributions</u>	FY 2021-2022	FY 2022-2023	
Total Normal Cost ²	\$ 3,489,689	\$ 4,002,415	14.7%
Total UAL Contribution	<u>14,095,903</u>	<u>13,899,389</u>	-1.4%
Total Contribution (middle of year)	\$ 17,585,592	\$ 17,901,804	1.8%

¹ Based on valuation data projected using half-year of salary increases but excludes payroll for members expected to leave employment or retire during the year.

² Includes assumed administrative expenses as of the beginning of the valuation year of \$289,801 and \$275,122 for July 1, 2020 and July 1, 2021, respectively.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

C. Changes in Plan Cost

Table I-2 below summarizes the impact of actuarial experience on Plan cost.

Table I-2	
Total Contribution Reconciliation	
Fiscal Year 2021-2022, middle of year	\$ 17,585,592
Change due to assumption changes	1,017,256
Change due to CARES additional funding	(842,925)
Change due to effect of closed plan on benefits earned	(171,806)
Change due to actuarial investment experience	(90,340)
Change due to liability experience	404,290
Change due to other miscellaneous factors	<u>(263)</u>
Fiscal Year 2022-2023, middle of year	\$ 17,901,804

An analysis of the cost **changes from the prior valuation** reveals the following:

- The assumption changes from the experience study increased the contribution by \$1,017,256. The most notable changes were decreasing the investment return assumption from 6.75% to 6.00% which was partially offset by updating both the base mortality tables and future mortality improvements.
- An additional contribution of \$7,800,00 was made to the Plan from the CARES Act. Based on the Plan's funding policy, this additional contribution is treated as an actuarial gain to the Plan which is amortized over a 15-year period and decreased the Plan contribution by \$842,925.
- Closing the Plan to most new entrants decreases the total amount of benefits that are being earned as members continue to leave employment through retirements, terminations, disabilities, and death, and thus cease to earn additional benefits. This decreased the Plan contribution by \$171,806.
- The Actuarial Value of Assets recognizes the annual unexpected gains or losses in the Market Value of Assets over a 5-year period. Actuarial gains and losses are based on the assumed rate of return. The actual return on Actuarial Value of Assets (AVA) was 7.23%, compared to the expected return of 6.75%, resulting in an actuarial gain of \$863,716 and a decrease to the total contribution of \$90,340.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

Only 1/5th of the significant actuarial gains on the Market Value of Assets (MVA) for June 30, 2021, were recognized in this valuation which decreased the total contribution by approximately \$490,000. However, the previous four years' average annual return on the MVA was only 4.7%, below the 6.75% target, which resulted in deferred asset losses. Partial recognition of these deferred losses in this valuation accounted for an increase in the total contribution of \$400,000.

There are \$10.2 million in deferred asset gains as of July 1, 2021, that will be recognized in the Actuarial Value of Assets over the next four years.

- Actual demographic experience will always differ from the actuarial assumptions. Salary experience, Cost-of-Living Adjustment (COLA) experience, and demographic experience of the Plan – rates of retirement, death, disability, and termination – were different than expected based on the actuarial assumptions, causing an increase in the contribution of \$404,290. The liability experience loss was primarily driven by retiree COLA increases higher than expected.
- Closing the Plan to most new entrants decreases the total amount of benefits that are being earned as members continue to leave employment through retirements, terminations, disabilities, and death, and thus cease to earn additional benefits. This decreased the Plan contribution by \$171,806.
- The net effect of other miscellaneous factors, including administrative expenses experience, decreased the Plan contributions by \$263.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

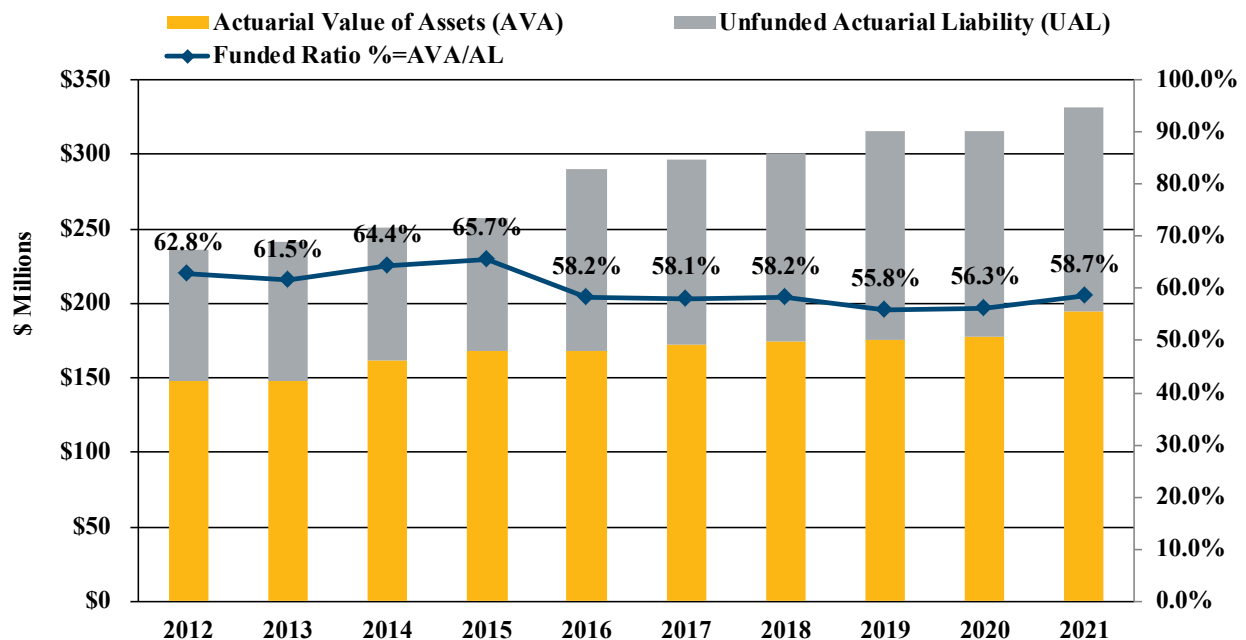
D. Historical Trends

Despite the fact that for most retirement plans the greatest attention is given to the current valuation results – in particular the size of the current Unfunded Actuarial Liability (UAL) and the total contribution – it is important to remember that each valuation is merely a snapshot in the long-term progress of a pension fund. It is important to judge a current year's valuation results relative to historical trends, as well as trends expected into the future.

Assets and Liabilities

The chart below presents the Actuarial Value of Assets (gold bars), Unfunded Actuarial Liability (gray bars), and Funded Ratio (navy line). The top of the bars (sum of gold and gray bars) depicts the total Actuarial Liability. Over the ten-year period shown, both the Actuarial Liability and Actuarial Value of Assets have been increasing, however, the Actuarial Liability has increased over 40% while the Actuarial Value of Assets has increased by just over 30%. It is important to note that the assumed rate of return at the beginning of the period was 7.50% and has been gradually reduced over the ten-year period to 6.00% as of July 1, 2021, which has been a major source of the decrease in the funded ratio.

The funded ratio increased from 62.8% in 2012 to 65.7% in 2015, primarily due to favorable asset returns from 2010 to 2014 after the Great Recession. The decreases in the funded ratio in 2016 and 2019 were a result of reductions in the assumed rate of return, as well as increased expected longevity in 2016. The funded ratio increased by 2.4% to 58.7% in 2021 even though the assumed rate of return was reduced from 6.75% to 6.00%. The significant return on assets as of June 30, 2021, and an additional \$7.8 million contribution from the CARES Act more than offset the impact of the assumption changes.



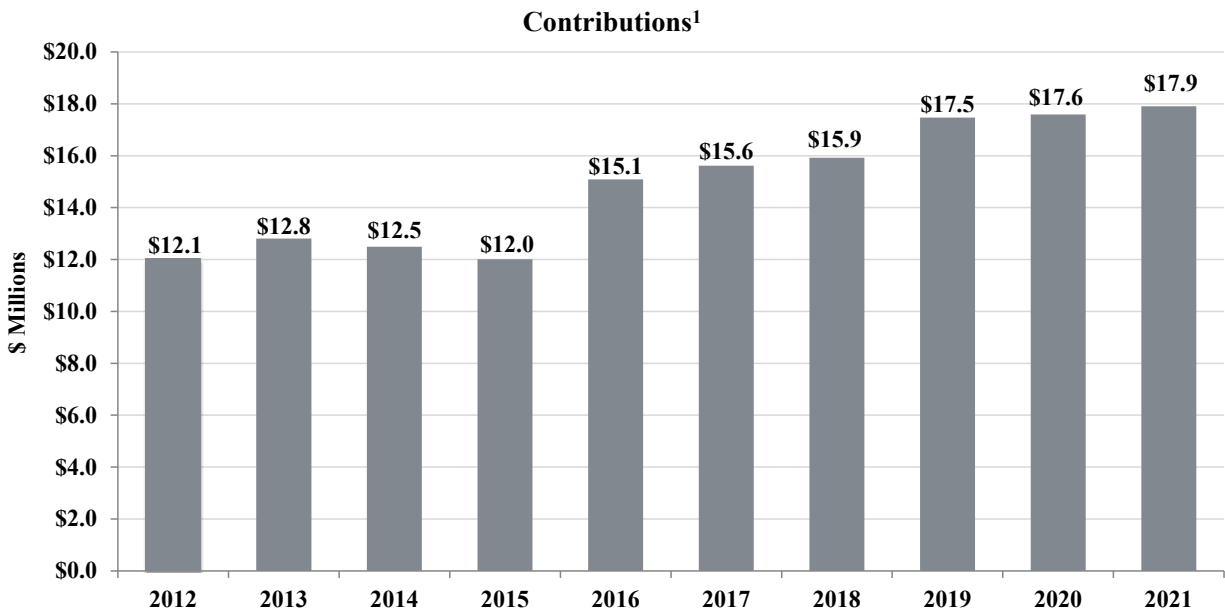
**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

Contributions

The chart below shows a history of the Plan’s actuarially determined total contribution. The contributions were relatively stable 2012 to 2015. In 2016, the investment rate of return was reduced from 7.50% to 7.00% and mortality assumptions were updated for improved life expectancy. Investment experience on the AVA has been the primary source of the contribution increases for the next four years. However, in 2019, there was a further reduction in the assumed rate of return to 6.75% which also increased the contribution level to \$17.5 million. In 2021, the assumption changes were the primary source for the increase in the total contribution but were partially offset by the additional CARES Act contribution and favorable investment experience.

A reconciliation of the contributions from the 2020 to 2021 valuations can be found in Table I-2 of this report.



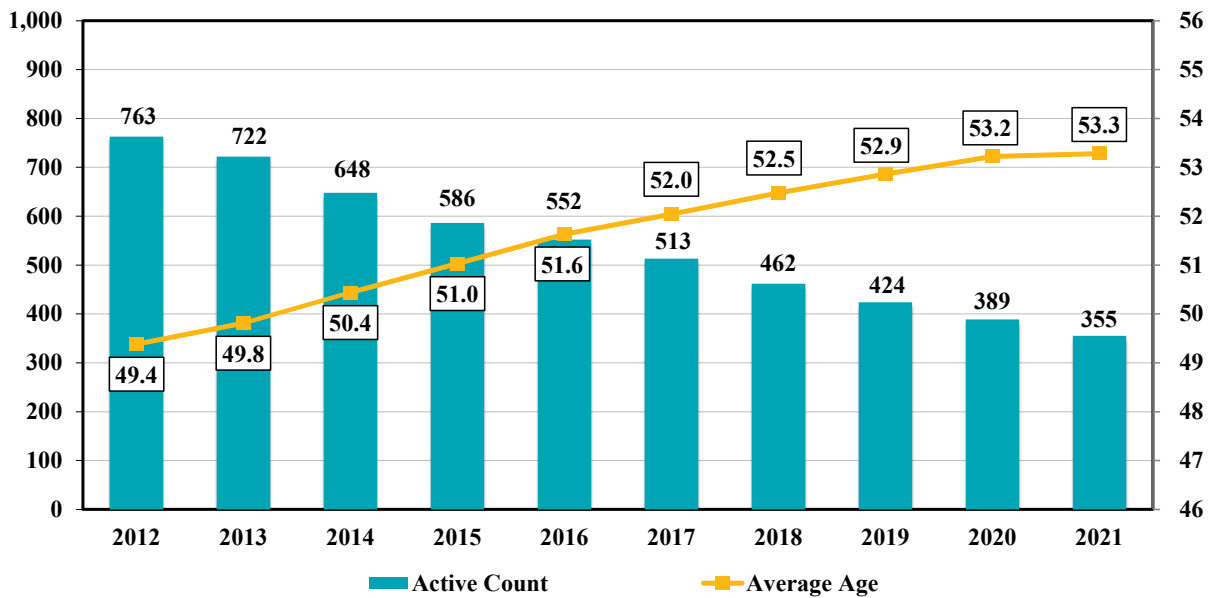
¹ Beginning with 2015, contribution amounts are mid-year values for the upcoming fiscal year.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

Active Participant Trends

The number and average age of active Plan members for the last 10 years is shown in the chart below. Since the plan has been mostly closed to new entrants since 2012, the membership has declined by 53% from 763 to 355 actives over the period. In addition, the average age of an active member has increased by almost four years during the period shown. These trends are expected to continue, as most new employees participate instead in the defined contribution plan.



**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

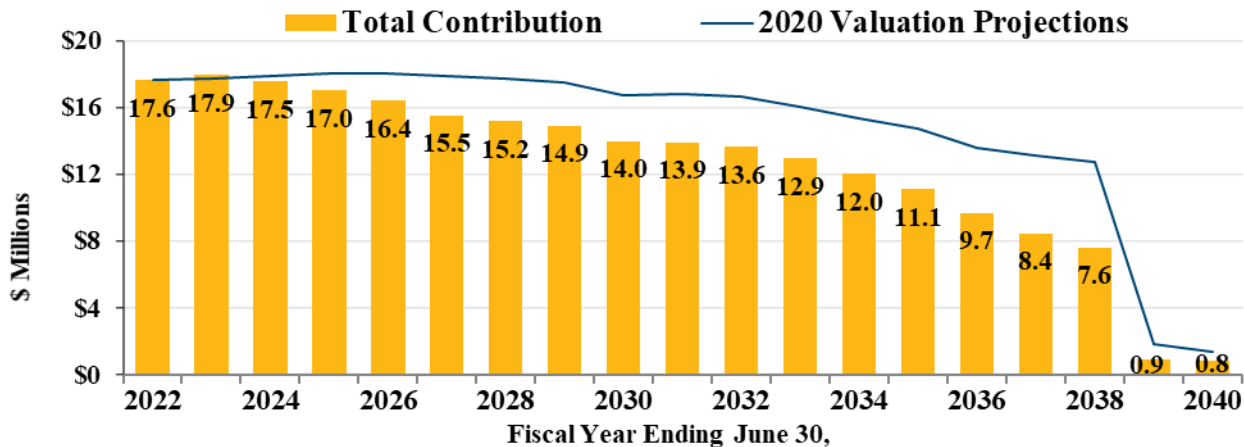
SECTION I – EXECUTIVE SUMMARY

E. Future Expected Financial Trends

The analysis of projected financial trends is an important component of this valuation. In this section, we present our assessment of the implications of the July 1, 2021 valuation results in terms of benefit security (assets over liabilities) and contributions over the next 19 years.

The projections in this section assume that the Plan will exactly achieve the 6.00% investment return assumption and all other actuarial assumptions will be met each year, which is highly unlikely. We assume the current funding method and amortization policy will remain in place throughout the projection period.

Contributions are shown for the Fiscal Year End that they are expected to be made. For example, the actuarial determined contribution from the July 1, 2021 valuation of \$17.9 million is expected to be made during the period July 1, 2022 through June 30, 2023.



The graph shows that the Plan's contribution are expected to steadily decline over the next four years from \$17.9 million to \$15.5 million in FYE 2027 as the \$10.2 million in deferred asset gains are recognized. The gradual decline in the contribution is also due to the decrease in the annual benefits that are earned as the number of active members decline since the Plan is closed to most new entrants.

The blue line represents the contribution projections from the July 1, 2020 actuarial valuation for comparison. The favorable investment experience on the market value of assets and the additional CARES Act contribution are the reason the current year's valuation projections are significantly lower than last years.

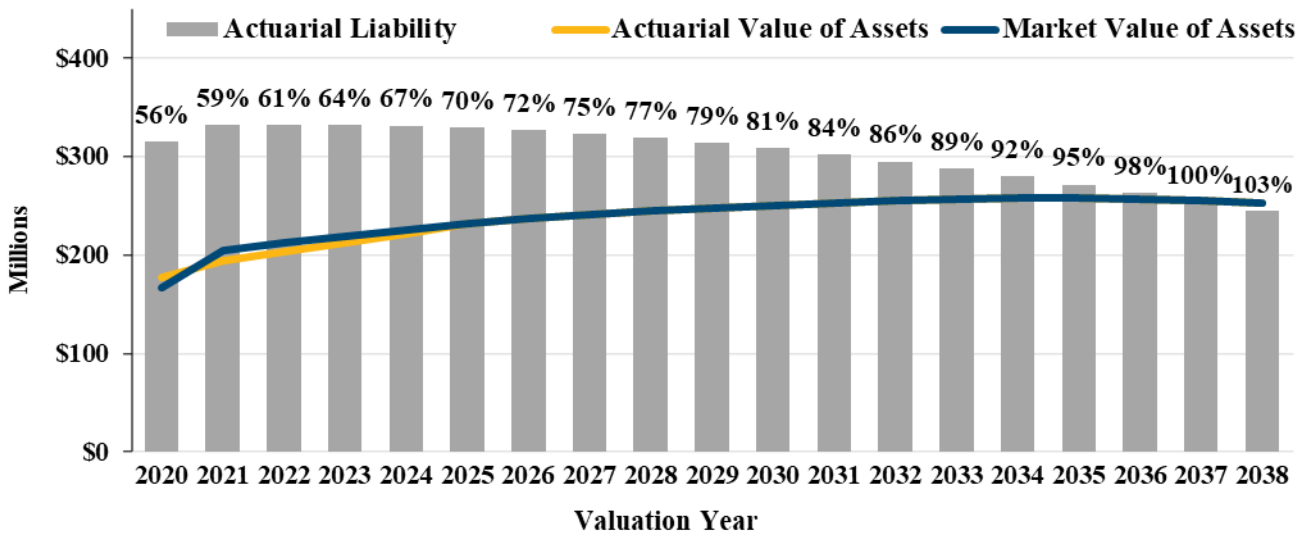
During Fiscal Year 2037-38 (based on results from the July 1, 2036 valuation), the last payment for the Plan's expected UAL will be made. After that point, employer contributions are expected to stabilize and are based on the normal cost since the UAL is paid off. PEPPRA mandates that employers must continue to contribute at least the normal cost portion unless the plan is 120% funded and has met certain legal requirements as well.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION I – EXECUTIVE SUMMARY

Asset and Liability Projections:

The following graph shows the projection of assets and liabilities assuming that assets will earn the 6.00% assumption each year during the projection period. The percentages at the top of the graph represent the funded ratio based on the Actuarial Value of Assets.



The funded status is expected to gradually increase over the projection period. The Plan is projected to be fully funded with the July 1, 2037 valuation, assuming the actuarial assumptions are achieved. The projected funded status increases over 100% funded to 103% because of the aforementioned minimum contribution requirement of the normal cost. However, it is the actual return on Plan assets that will determine the future funding status and contributions to the Plan.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION II – ASSESSMENT AND DISCLOSURE OF RISK

Actuarial valuations are based on a set of assumptions about future economic and demographic experience. These assumptions represent a reasonable estimate of future experience, but actual future experience will undoubtedly be different and may be significantly different. This section of the report is intended to identify the primary risks to the plan, provide some background information about those risks, and provide an assessment of those risks.

Identification of Risks

The fundamental risk to a pension plan is that the contributions needed to pay the benefits become unaffordable. While we believe it is unlikely that the Plan by itself would become unaffordable, the contributions needed to support the Plan may differ significantly from expectations. While there are a number of factors that could lead to contribution amounts deviating from expectations, we believe the primary sources are:

- Investment risk,
- Inflation risk, and
- Contribution risk.

Other risks that we have not identified may also turn out to be important.

Investment Risk is the potential for investment returns to be different than expected. Lower investment returns than anticipated will increase the Unfunded Actuarial Liability (UAL) necessitating higher contributions in the future unless there are other gains that offset these investment losses. In contrast, higher investment returns than anticipated may create a potentially significant surplus that could be difficult to use until all benefits have been paid. Expected future investment returns and their potential volatility are determined by the Plan's asset allocation.

Inflation risk is the potential for actual inflation to be different than expected. Retirement benefits under the plan for the Non-Contract retirees who retired on or after June 30, 1999, are potentially increased annually for inflation with certain caps. Higher inflation than expected could result in the payment of greater benefits, and lower inflation than expected could result in the payment of lower benefits.

Contribution risk is the potential for actual future actuarially determined contributions to deviate from expected future contributions to an extent that they become unaffordable. The Plan's funding policy is to determine an Actuarially Determined Contribution (ADC) equal to the sum of the normal cost, amortization of the UAL, and the Plan's expected administrative expenses. The UAL is amortized in level dollar payments with several layers with differing amortization periods. The UAL is currently expected to be fully paid for as of the July 1, 2037 actuarial valuation. However, as 2037 gets closer and the Plan's remaining amortization period shortens, a significant loss or change in assumption may cause a large increase in the ADC. While the funding policy can be changed when such a situation occurs, any reduction in the ADC will result in a slower recovery in funded status.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION II – ASSESSMENT AND DISCLOSURE OF RISK

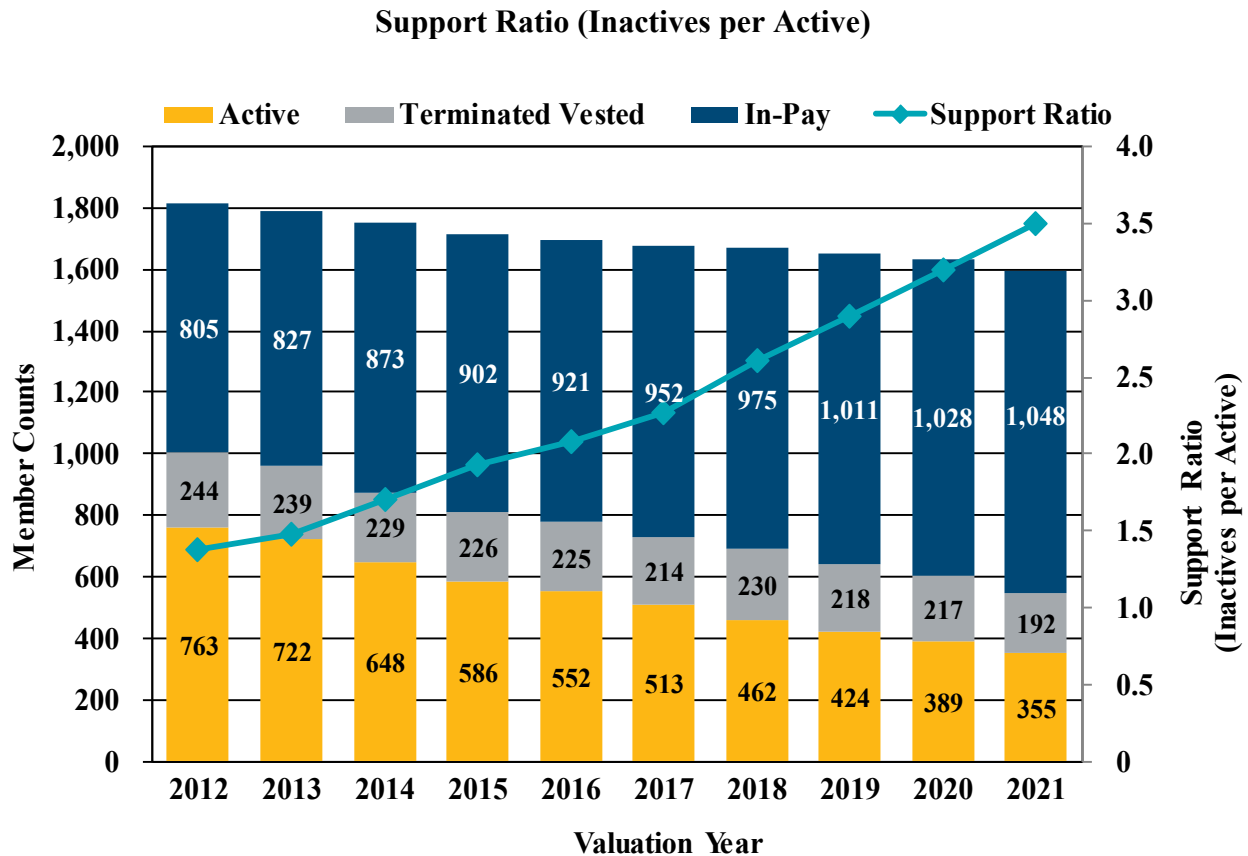
Plan Maturity Measures

The future financial condition of a mature pension plan is more sensitive to each of the risks identified above than a less mature plan. Before assessing each of these risks, it is important to understand the maturity of the plan.

Plan maturity can be measured in a variety of ways, but they all get at one basic dynamic – the larger the plan is compared to the contribution or revenue base that supports it, the more sensitive the plan will be to risk. Given that the Plan has been closed to most new entrants since 2012, measures specific to the Plan show significant increases in maturity while maturity measures in context of Metropolitan Transit System as a whole show declining maturity.

Support Ratio (Inactives per Active)

One simple measure of plan maturity is the ratio of the number of inactive members (those receiving benefits or entitled to a deferred benefit) to the number of active members. For a closed plan, the Support Ratio is expected to increase significantly as the active members retire or terminate and there are no new entrants replacing them. The chart below shows the growth in the Support Ratio for the Plan for the past 10 years.



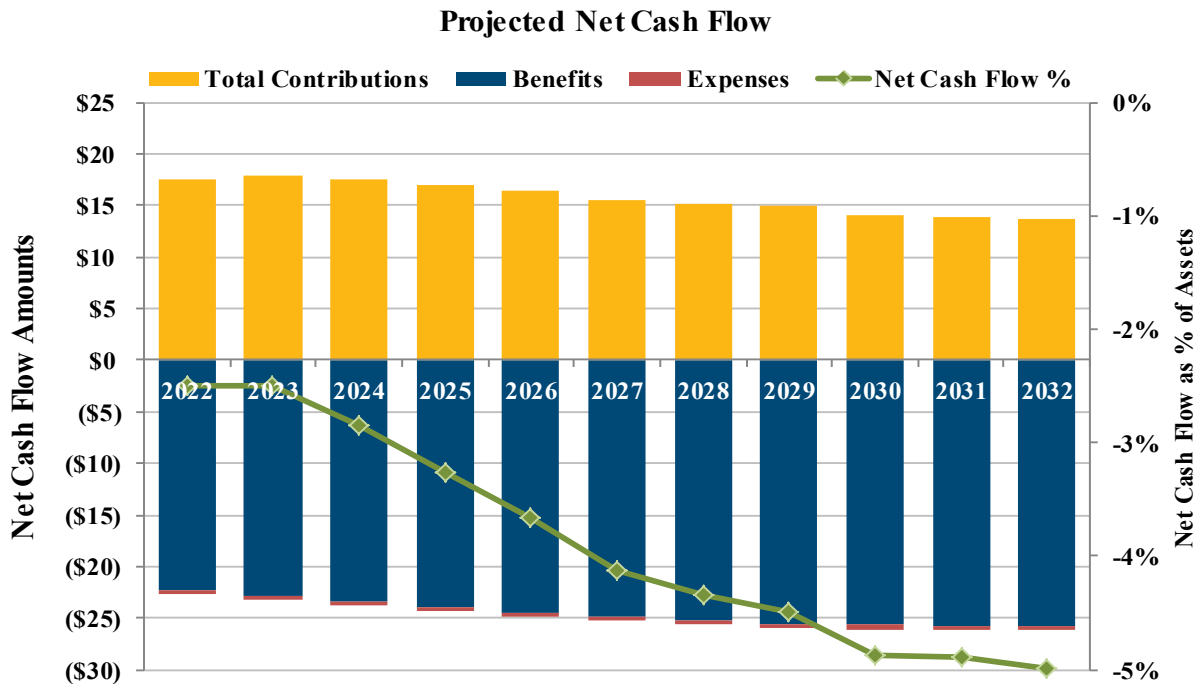
RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
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SECTION II – ASSESSMENT AND DISCLOSURE OF RISK

Net Cash Flow

The net cash flow of the plan as a percentage of the beginning of year assets indicates the sensitivity of the plan to short-term investment returns. Net cash flow is equal to contributions less benefit payments and administrative expenses. Mature plans can have large amounts of benefit payments compared to contributions, particularly if they are well funded.

The chart below shows the projected net cash flow for the next 10 fiscal years. The bars represent the dollar amounts of the different components of the projected net cash flow, and the line represents the net cash flow as a percentage of the assets as of the beginning of the fiscal year.



The net cash flow has been negative since at least 2013. The net cash flow is expected to become increasingly negative as benefit payments grow, the Plan becomes better funded and contributions are reduced.

The first issue the negative cash flow presents to the Plan is a need for liquidity in the investments so that benefits can be paid. When the cash flow was positive or close to neutral, benefits could be paid out of contributions without liquidating investments. As net cash flow becomes increasingly negative, the benefit payments will require liquidation of some investments (at least to the extent the bond portfolio doesn't generate sufficient cash income).

The other change of note is the sensitivity to short-term investment returns. Investment losses in the short term are compounded by the net withdrawal from the plan leaving a smaller asset base to try to recover from the investment losses. On the other hand, large investment gains in the short term also tend to have a longer beneficial effect as any future losses are relative to a smaller liability base due to the negative cash flow.

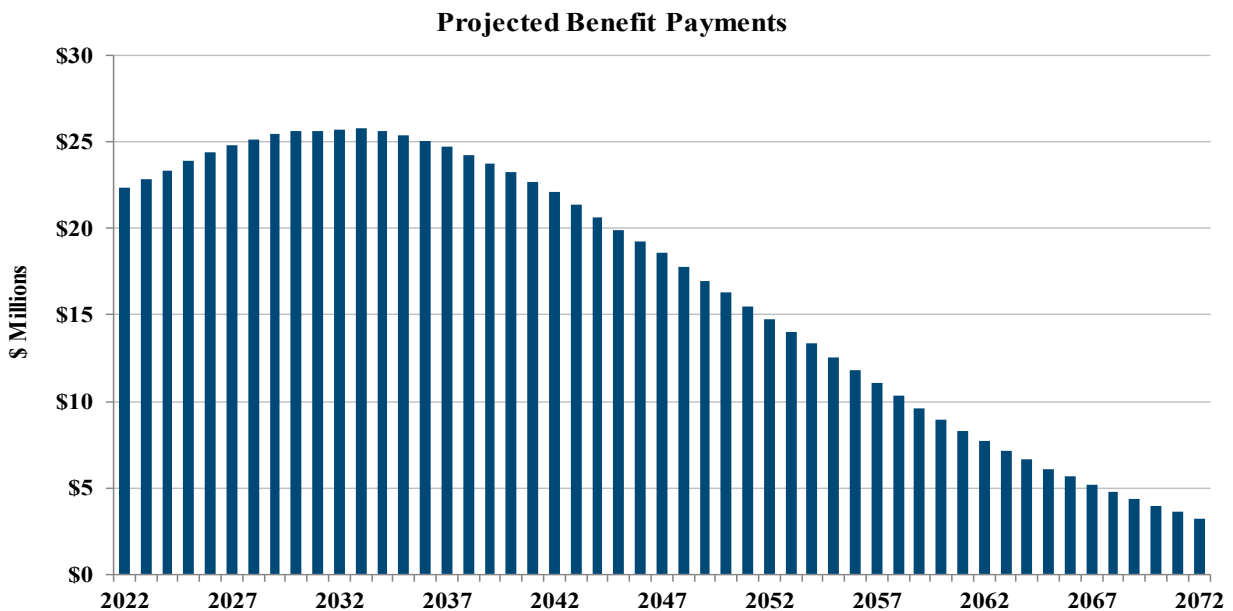
**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION II – ASSESSMENT AND DISCLOSURE OF RISK

Assessing Costs and Risks

A closed pension plan will ultimately either end up with excess assets after all benefits have been paid or run out of assets before all benefits have been paid. If the Plan develops surplus assets, it may be able to reduce the risk in its investment portfolio, immunize investments, or purchase annuities to settle the remaining obligation. However, such an approach may not be the objective for MTS, and if the surplus assets exceed the additional amounts needed to purchase annuities or immunize the portfolio, it is not clear how they could be used until all benefits have been paid.

If the Plan, on the other hand, were to run out of assets, MTS would be forced to pay benefits directly on a pay-as-you-go basis. As long as MTS can afford the pay-as-you-go costs, benefits would remain secure. The chart below shows a projection of expected benefit payments for the closed plan.

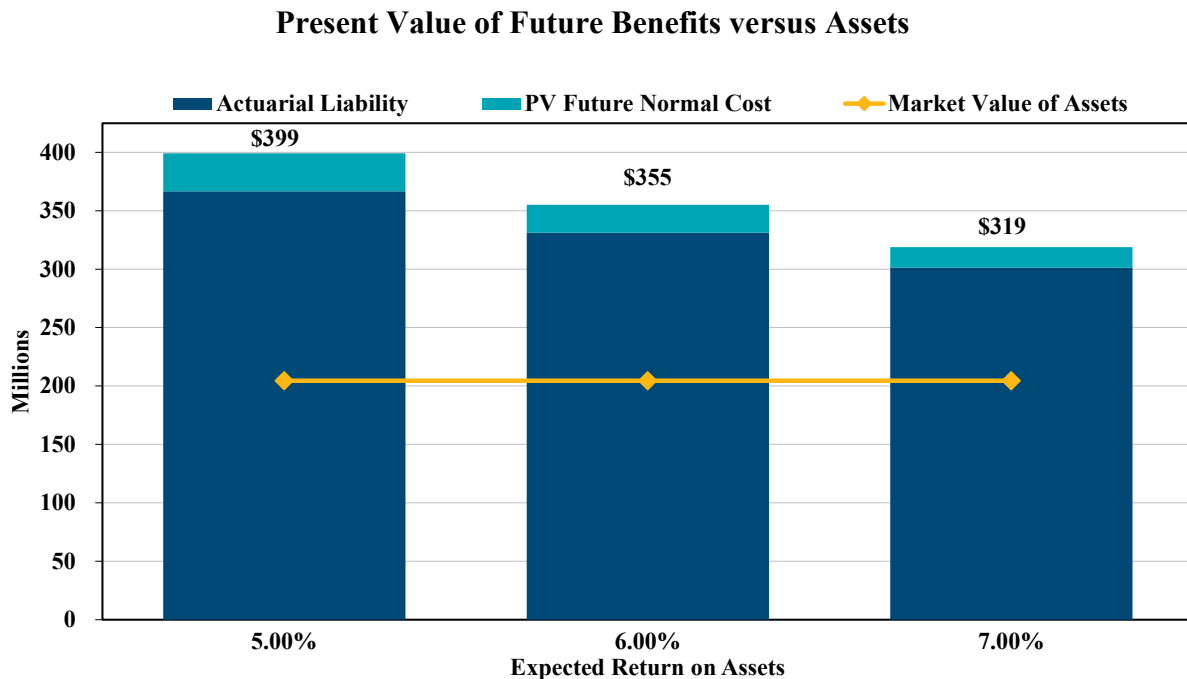


**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION II – ASSESSMENT AND DISCLOSURE OF RISK

Sensitivity to Investment Returns

The chart below compares assets to the present value of all projected future benefits discounted at the current expected rate of return and at investment return 100 basis points above and below the expected rate of return. The present value of future benefits is shown as a bar with the portion attributable to past service in dark blue (Actuarial Liability) and the portion attributable to future service in teal (Present Value of Future Normal Costs). The Market Value of Assets is shown by the gold line.



If investments return 6.00% annually, the Plan would need approximately \$355 million in assets today to pay all projected benefits compared to current assets of \$204 million. If investment returns are only 5.00%, the Plan would need approximately \$399 million in assets today, and if investment returns are 7.00%, the Plan would need approximately \$319 million in assets today.

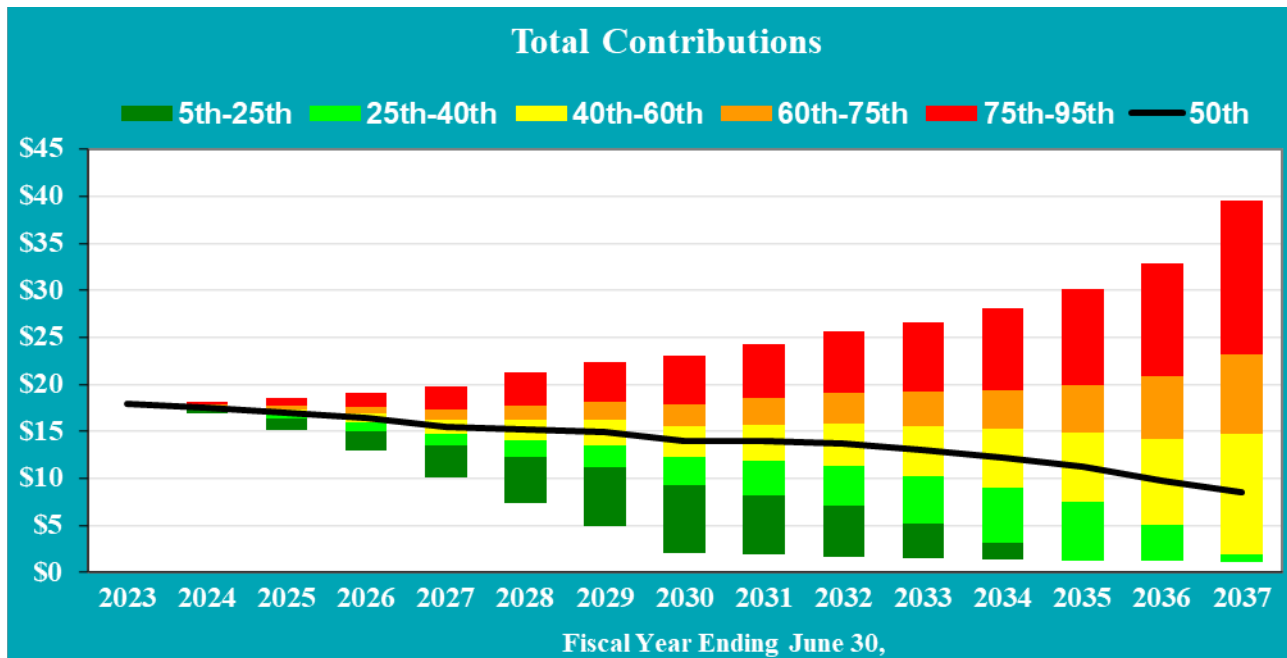
**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
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SECTION II – ASSESSMENT AND DISCLOSURE OF RISK

Stochastic Projections

Stochastic projections serve to show the range of probable outcomes of various measurements. The charts on the following pages show the projected range of the total contributions and of the funded ratio on an actuarial value of assets basis. The range in both scenarios is driven by the volatility of investment returns (a 9.5% standard deviation of annual returns from RVK's Asset Allocation Study dated February 2021). The stochastic projections of investment returns are based on an assumption that each future year's investment return is independent from all other years and is identically distributed according to a lognormal distribution. This assumption may result in an unrealistically wide range of compound investment returns over longer periods of time.

Stochastic Projection of Total Contributions (in millions)

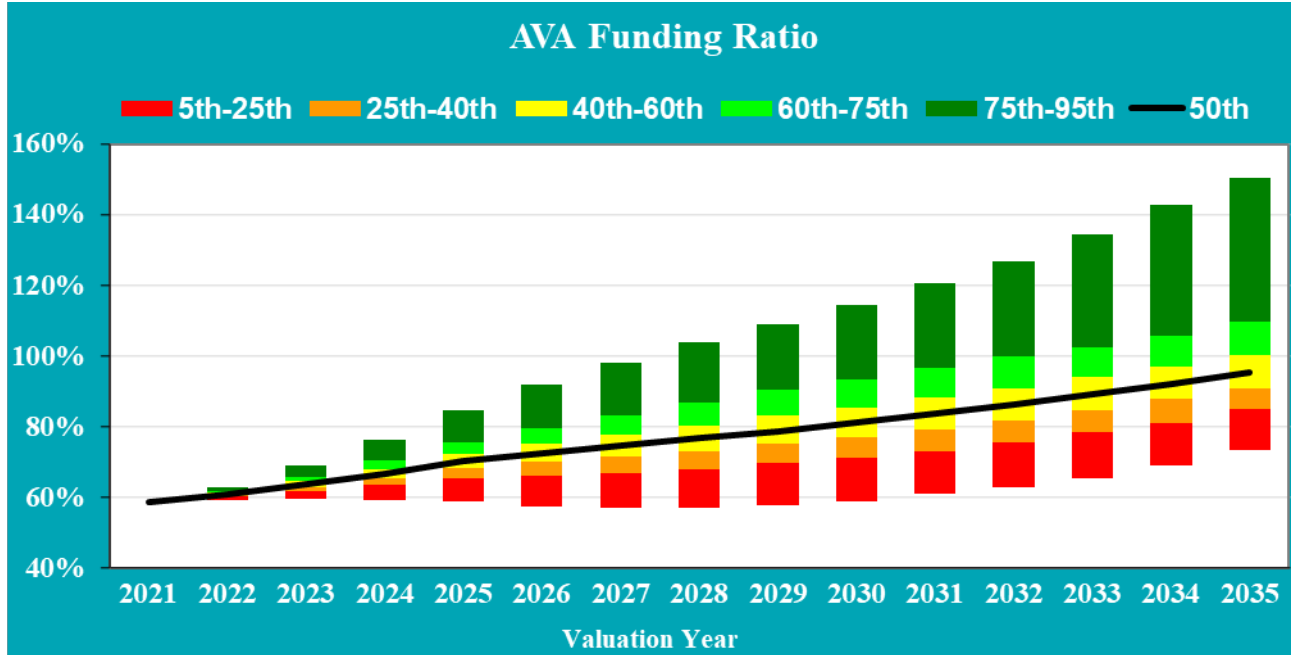


The stochastic projection of contributions shows the probable range of future contributions. The baseline contributions (black line), which is based on the median simulations using an average return of 6.00%, aligns with the projections discussed in Subsection E of the Executive Summary of this report. In the most pessimistic scenario shown, the 95th percentile, the projected contributions are almost \$40 million in FYE 2037. Conversely, in the most optimistic scenario shown, the 5th percentile, the projected contribution amount declines to about \$1 million in FYE 2037.

RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021

SECTION II – ASSESSMENT AND DISCLOSURE OF RISK

Stochastic Projection of Funded Ratio based on the Actuarial Value of Assets



While the baseline funded ratio (black line) is projected to be around 95% at the end of the 15-year period shown here, there is a wide range of potential outcomes. Good investment returns have the likelihood of bringing the funded ratio well over 100%. Due to the sound funding policy of the Plan, even in scenarios with unfavorable investment returns, the Plan is projected to remain around 60% funded, as long as actuarially determined contributions continue to be made.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION III – ASSETS

Pension Plan assets play a key role in the financial operation of the Plan and in the decisions the Board may make with respect to future deployment of those assets. The level of assets, the allocation of assets among asset classes, and the methodology used to measure assets will likely impact benefit levels, contributions, and the ultimate security of participants' benefits.

In this section, we present detailed information on Plan assets including:

- **Disclosure** of Plan assets as of June 30, 2020 and June 30, 2021,
- Statement of the **changes** in market values during the year,
- Development of the **Actuarial Value of Assets**.

Disclosure

There are two types of asset values disclosed in the valuation, the Market Value of Assets, and the Actuarial Value of Assets. The market value represents a snapshot value that provides the principal basis for measuring financial performance from one year to the next. Market values, however, can fluctuate widely with corresponding swings in the marketplace. As a result, market values are usually not as suitable for long-range planning as are the Actuarial Value of Assets that reflect smoothing of annual investment returns.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION III – ASSETS

Table III-1 discloses and compares each component of the Market Value of Assets as of June 30, 2020 and June 30, 2021.

Table III-1 Statement of Assets at Market Value		
	June 30, 2020	June 30, 2021
Investments		
Common Stock	\$ 74,754,591	\$ 89,616,904
Mutual Funds	35,576,950	43,252,362
Corporate Debt / Bond Funds	52,340,391	68,165,562
Closely Held Instruments	79,902	33,419
US Treasury Obligations	3,225,688	3,434,282
Short-Term Investments	<u>593,192</u>	<u>647,402</u>
Total Investments	\$ 166,570,714	\$ 205,149,931
Receivables		
Dividends and Interest	\$ 44	\$ 10
Other Receivables	<u>0</u>	<u>0</u>
Total Receivables	\$ 44	\$ 10
Payables		
Due to Plan Sponsor	\$ 496,232	\$ 525,090
Other Payables	<u>152,726</u>	<u>153,020</u>
Total Payables	\$ 648,958	\$ 678,110
Market Value of Assets	\$ 165,921,800	\$ 204,471,831

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION III – ASSETS

Changes in Market Value

The components of asset change are:

- Contributions (employer and employee)
- Investment income (realized and unrealized), net of investment expenses
- Benefit payments
- Administrative Expenses

Table III-2 shows the components of a change in the Market Value of Assets during FYE 2020 and FYE 2021.

Table III-2 Changes in Market Values		
	June 30, 2020	June 30, 2021
Contributions		
Employer's Contribution	14,709,528	23,718,402
Members' Contributions	<u>2,017,164</u>	<u>1,950,898</u>
Total Contributions	16,726,692	25,669,300
Investment Income		
Interest	9,374	123
Dividends	3,514,044	4,648,015
Miscellaneous	25,247	0
Realized & Unrealized Gain/(Loss)	(3,182,117)	30,434,250
Investment Expenses	<u>(341,882)</u>	<u>(417,438)</u>
Net Investment Income	24,666	34,664,950
Disbursements		
Benefit Payments	(20,712,755)	(21,531,678)
Administrative Expenses	<u>(256,420)</u>	<u>(252,541)</u>
Total Disbursements	(20,969,175)	(21,784,219)
Net Increase (Decrease)	(4,217,817)	38,550,031
Net Assets Held in Trust for Benefits		
Beginning of Year	<u>170,139,617</u>	<u>165,921,800</u>
End of Year	<u>165,921,800</u>	<u>204,471,831</u>
Approximate Return	0.01%	20.65%

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION III – ASSETS

Actuarial Value of Assets (AVA)

The Actuarial Value of Assets represents a “smoothed” value developed by the actuary to reduce the volatile results, which could develop due to short-term fluctuations in the Market Value of Assets. For this Plan, the Actuarial Value of Assets is calculated on a modified market-related value. The Market Value of Assets is adjusted to recognize, over a five-year period, investment earnings which are greater than (or less than) the assumed investment return. The actuarial value is constrained to fall within 20% of the market value.

**Table III-3
Development of Actuarial Value of Assets
as of June 30, 2021**

	(a)	(b)	(c) = (b) – (a)	(d)	(c) x (d)
	Expected	Actual	Unexpected	Phase-In	Phase-In
<u>Plan Year</u>	<u>Earnings</u>	<u>Earnings</u>	<u>Earnings</u>	<u>Factor</u>	<u>Adjustment</u>
2016 -17	10,584,363	12,216,936	1,632,573	0%	0
2017 -18	11,170,341	8,792,300	(2,378,041)	20%	(475,608)
2018 -19	11,481,373	8,415,801	(3,065,572)	40%	(1,226,229)
2019 -20	11,343,578	24,666	(11,318,912)	60%	(6,791,347)
2020 -21	11,328,702	34,664,950	23,336,248	80%	18,668,998
1. Total Unrecognized Asset Gains/(Losses)					10,175,814
2. Market Value of Assets as of June 30, 2021					204,471,831
3. Actuarial Value of Assets as of June 30, 2021: [(2) - (1)]					194,296,017
4. Ratio of Actuarial Value to Market Value [(3) ÷ (2)]					95.0%

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION III – ASSETS

Investment Performance

The following table calculates the investment related gain/loss for the plan year on both a market value and an actuarial value basis. The market value gain/loss is an appropriate measure for comparing the actual asset performance to the valuation's long-term assumption. The rate of return assumption was 6.75% for the July 1, 2020 actuarial valuation. This rate of return assumption decreased to 6.00% for the July 1, 2021 actuarial valuation.

Table III-4 Asset Gain/(Loss)		
	Market Value	Actuarial Value
As of June 30, 2020	\$ 165,921,800	\$ 177,440,974
Employer Contributions	23,718,402	23,718,402
Employee Contributions	1,950,898	1,950,898
Benefit Payments	(21,531,678)	(21,531,678)
Administrative Expenses	(252,541)	(252,541)
Expected Investment Earnings at 6.75%	11,328,702	12,106,246
Expected Value as of June 30, 2021	\$ 181,135,583	\$ 193,432,301
Actuarial Gain/(Loss) on Assets	23,336,248	863,716
Actual Value as of June 30, 2021	\$ 204,471,831	\$ 194,296,017
Return	20.65%	7.23%
Variance from Expected Return of 6.75%	13.90%	0.48%

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION IV – LIABILITIES

In this section, we present detailed information on Plan liabilities including:

- **Disclosure** of Plan liabilities at July 1, 2020 and July 1, 2021,
- Statement of **changes** in these liabilities during the year.

Disclosure

Several types of liabilities are calculated and presented in this report. Each type is distinguished by the people ultimately using the figures and the purpose for which they are using them. Note that these liabilities are not appropriate for settlement purposes, including the purchase of annuities and the payment of lump sums.

- **Present Value of Future Benefits:** Used for measuring all future Plan obligations; the obligations of the Plan earned as of the valuation date and those to be earned in the future by current Plan participants, under the current Plan provisions.
- **Actuarial Liability:** Used for funding calculations, this liability is calculated taking the total Present Value of Future Benefits and subtracting all future normal costs. The method used for this Plan is called the Entry Age Normal (EAN) funding method.
- **Unfunded Actuarial Liability:** The excess of the Actuarial Liability over the Actuarial Value of Assets.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION IV – LIABILITIES

Table IV-1 discloses each of these liabilities for the current and prior valuations.

Table IV-1		
Liabilities and Unfunded Actuarial Liability		
	July 1, 2020	July 1, 2021
1. Present Value of Future Benefits		
Active Participant Benefits		
ATU/Drivers	\$ 55,153,993	\$ 55,826,704
IBEW/Mechanics	27,063,653	29,056,184
ATU/Clerical	2,220,396	2,287,345
Non-Contract/Admin ¹	<u>23,474,231</u>	<u>25,266,909</u>
Total	\$ 107,912,273	\$ 112,437,142
2. Inactive Actuarial Liability		
ATU/Drivers	\$ 122,833,980	\$ 125,691,062
IBEW/Mechanics	30,516,899	32,562,591
ATU/Clerical	4,833,198	5,175,729
Non-Contract/Admin	<u>68,168,114</u>	<u>79,294,340</u>
Total	\$ 226,352,191	\$ 242,723,722
3. Active Actuarial Liability		
ATU/Drivers	\$ 45,350,009	\$ 43,715,761
IBEW/Mechanics	22,225,926	23,246,960
ATU/Clerical	1,975,305	1,980,025
Non-Contract/Admin ¹	<u>19,264,074</u>	<u>19,600,575</u>
Total	\$ 88,815,314	\$ 88,543,321
4. Total Actuarial Liability, [(2) + (3)]	\$ 315,167,505	\$ 331,267,043
5. Plan Assets (Actuarial Value)	<u>177,440,974</u>	<u>194,296,017</u>
6. Unfunded Actuarial Liability (UAL), [(4) - (5)]	\$ 137,726,531	\$ 136,971,026

¹ Includes PEPRAs members.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

SECTION IV – LIABILITIES

Table IV-2 below analyzes the increases or decreases in the liabilities since the last valuation.

Changes in Liabilities

Each of the liabilities disclosed in the prior table are expected to change at each valuation. The components of that change (as shown in Table IV-2 below), depending upon which liability is analyzed, can include:

- Benefits accrued since the last valuation
- Plan amendments changing benefits
- Passage of time which adds interest to the prior liability
- Benefits paid to retirees since the last valuation
- Actuarial gains or losses from participants retiring, terminating, or dying at rates different than expected
- A change in actuarial assumptions
- A change in the actuarial funding method or software

Table IV-2		
Changes in Actuarial Liability		
Actuarial Liability at July 1, 2021	\$	331,267,043
Actuarial Liability at July 1, 2020	\$	<u>315,167,505</u>
Liability Increase (Decrease)	\$	16,099,538
Change due to:		
Assumption Changes		10,215,184
Accrual of Benefits		3,087,757
Actual Benefit Payments		(21,531,678)
Interest		20,767,402
Actuarial (Gain)/Loss		<u>3,560,873</u>
Liability Increase (Decrease)	\$	16,099,538

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
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SECTION IV – LIABILITIES

Unfunded liabilities will change (as shown in Table IV-3 below) because of the changes in liabilities on the previous page, and also due to changes in Plan assets resulting from:

- Contributions different than expected
- Investment earnings different than expected
- Expenses different than expected

**Table IV-3
Development of Actuarial Gain / (Loss)**

1. Unfunded Actuarial Liability (UAL) at Start of Year (not less than zero)	\$ 137,726,531
2. Expected UAL Payment	(13,642,971)
3. Interest on (1) and (2) to End of Year	8,375,640
4. Increase in UAL due to Assumption Change	<u>10,215,184</u>
5. Expected Unfunded Actuarial Liability at End of Year, [(1) + (2) + (3) + (4)]	\$ 142,674,384
6. Actual Unfunded Actuarial Liability at End of Year (not less than zero)	\$ 136,971,026
7. Actuarial Gain/(Loss), [(5) – (6)]	\$ 5,703,358
(a) Liability Gain/(Loss)	(3,560,873)
(b) Asset Gain/(Loss) on Actuarial Value	863,716
(c) Gain due to CARES additional funding (including assumed interest)	8,058,952
(d) Contribution Timing Delay Gain/(Loss)	293,126
(e) Administrative Expenses Less than Expected	48,437

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
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SECTION V – CONTRIBUTIONS

In the process of evaluating the financial condition of any pension plan, the actuary analyzes the assets and liabilities to determine what level (if any) of contributions are needed to properly maintain the funding status of the Plan. Typically, the actuarial process will use a funding technique that will result in a pattern of contributions that are both stable and predictable.

Based on the assumptions and cost method, Plan assets are currently below the target level of assets determined by the cost method; consequently, there is an Unfunded Actuarial Liability. As a result, the required Plan contribution consists of three components: The normal cost, the amortization of the Unfunded Actuarial Liability (UAL) and assumed administrative expenses.

The normal cost represents the cost of the additional benefits earned during the plan year by active Plan members. The amortization of the unfunded liability represents a payment designed to bring the Plan's assets up to the target level set by the actuarial cost method. Currently, the amortization of UAL represents about three-fourths of the total contribution.

As the UAL is paid over time, the Plan contribution is expected to decrease to a level near the normal cost plus administrative expenses. The normal cost itself will be changing since the Plan is closed to new members other than non-contract employees.

The table below presents the total Plan contributions (both employer and employee) for the current and prior valuations.

Table V-1 Development of Annual Contribution		
	July 1, 2020	July 1, 2021
1. Total Actuarial Liability	\$ 315,167,505	\$ 331,267,043
2. Plan Assets (Actuarial Value)	\$ <u>177,440,974</u>	\$ <u>194,296,017</u>
3. Unfunded Actuarial Liability (UAL), [(1) - (2)]	\$ 137,726,531	\$ 136,971,026
4. UAL Amortization Payment	\$ 13,642,971	\$ 13,500,280
5. Total Plan Normal Cost	\$ 3,087,757	\$ 3,612,367
6. Expected Administrative Expenses	\$ <u>289,801</u>	\$ <u>275,122</u>
7. Total Cost (beginning of year), [(4) + (5) + (6)]	\$ 17,020,529	\$ 17,387,769
8. Total Cost (interest adjusted to middle of year)	\$ 17,585,592	\$ 17,901,804

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
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SECTION V – CONTRIBUTIONS

Table V-2 presents the calculation of the UAL payments for the Plan under the amortization policy adopted in 2012.

Table V-2 Development of the Amortization Payment (BOY) as of July 1, 2021						
Type of Base	Date Established	Initial Balance	Initial Amortization	Outstanding Balance	Remaining Amortization	Amortization Amount
Initial Unfunded						
1. Actuarial Liability	7/1/2012	\$ 87,613,245	25	\$ 71,250,631	16	\$ 6,651,323
2. Actuarial Loss	7/1/2013	6,555,553	15	3,890,386	7	657,457
3. Actuarial Gain	7/1/2014	(2,132,368)	15	(1,399,847)	8	(212,666)
4. Actuarial Loss	7/1/2015	740,624	15	529,659	9	73,464
5. Assumption Changes	7/1/2016	29,699,872	21	25,854,342	16	2,413,531
6. Actuarial Loss	7/1/2016	4,978,340	15	3,832,232	10	491,205
7. Actuarial Loss	7/1/2017	5,880,935	15	4,833,489	11	578,163
8. Method Changes	7/1/2018	(640,322)	19	(584,375)	16	(54,552)
9. Actuarial Loss	7/1/2018	5,453,907	15	4,748,166	12	534,290
10. Assumption Changes	7/1/2019	7,536,766	18	7,067,331	16	659,743
11. Actuarial Loss	7/1/2019	9,988,472	15	9,150,710	13	975,156
12. Actuarial Loss	7/1/2020	3,425,437	15	3,286,476	14	333,562
13. Assumption Changes	7/1/2021	10,215,184	15	10,215,184	16	953,598
14. Actuarial Gain	7/1/2021	(5,703,358)	15	<u>(5,703,358)</u>	15	<u>(553,994)</u>
TOTAL				\$ 136,971,026		\$ 13,500,280
				Total UAL Payment, Middle of Year		\$ 13,899,389

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
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SECTION V – CONTRIBUTIONS

Table V-3 presents the development of the PEPRA Member Contribution Rate. PEPRA Members must contribute half of the total normal cost rate of the Plan, rounded to the nearest 0.25%, as shown in the table below.

Table V-3 Development of the PEPRA Member Contribution Rate		
Valuation Date	July 1, 2020	July 1, 2021
Effective Date	FY 2021-2022	FY 2022-2023
Assumed Rate of Return	6.75%	6.00%
Total Normal Cost Rate	12.59%	15.32%
50/50 Cost Sharing Rate for Members	6.30%	7.66%
Member Contribution Rate <i>(rounded to nearest quarter %)</i>	6.25%	7.75%
Active PEPRA Membership Statistics		
Number	19	24
Average Age	45.8	47.3
Average Service	5.2	7.4
Average Age at Hire Date	40.6	39.9

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
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APPENDIX A – MEMBERSHIP INFORMATION

Data pertaining to active and inactive Members and their beneficiaries as of the valuation date was supplied by the Plan Administrator on electronic media. As is usual in studies of this type, Member data was neither verified nor audited; however, it was reviewed to ensure that it complies with generally accepted actuarial standards.

Summary of Participant Data

Active Participants

Non-Contract/Admin	July 1, 2020	July 1, 2021
Number	52	45
Average Age	52.5	52.3
Average Service	18.2	18.5
Average Pay	\$ 77,409	\$ 80,643
Non-Contract/PEPRA	July 1, 2020	July 1, 2021
Number	19	24
Average Age	45.8	47.3
Average Service	5.2	7.4
Average Pay	\$ 64,895	\$ 68,718
ATU/Clerical	July 1, 2020	July 1, 2021
Number	11	10
Average Age	53.6	54.0
Average Service	16.9	17.6
Average Pay	\$ 51,783	\$ 52,166
ATU/Drivers	July 1, 2020	July 1, 2021
Number	208	185
Average Age	54.7	54.8
Average Service	16.9	17.7
Average Pay	\$ 62,312	\$ 65,620
IBEW/Mechanics	July 1, 2020	July 1, 2021
Number	99	91
Average Age	51.9	52.3
Average Service	20.5	21.1
Average Pay	\$ 64,980	\$ 69,484
Total	July 1, 2020	July 1, 2021
Number	389	355
Average Age	53.2	53.3
Average Service	17.4	17.9
Average Pay	\$ 64,838	\$ 68,345

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

Summary of Participant Data

Deferred Participants

Terminated Vested	July 1, 2020	July 1, 2021
Number	217	192
Average Age	54.8	54.9
Average Annual Benefit	\$ 8,753	\$ 8,925

In-Pay Participants

Service Retired	July 1, 2020	July 1, 2021
Number	789	798
Average Age	70.8	71.0
Average Annual Benefit	\$ 23,357	\$ 23,807
Beneficiaries	July 1, 2020	July 1, 2021
Number	163	174
Average Age	71.4	72.4
Average Annual Benefit	\$ 11,030	\$ 11,416
Disabled	July 1, 2020	July 1, 2021
Number	76	76
Average Age	71.1	70.9
Average Annual Benefit	\$ 9,837	\$ 9,915
Total	July 1, 2020	July 1, 2021
Number	1,028	1,048
Average Age	70.9	71.2
Average Annual Benefit	\$ 20,403	\$ 20,742

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

Data Summary as of July 1, 2021

Active Participants	<u>Non-Contract/Administrative</u>			ATU/ Clerical	ATU/ Drivers	IBEW/ Mechanics	Total
	Non-PEPRA	PEPRA	Sub-Total				
Number	45	24	69	10	185	91	355
Average Age	52.3	47.3	50.6	54.0	54.8	52.3	53.3
Average Service	18.5	7.4	14.6	17.6	17.7	21.1	17.9
Average Pay	\$80,643	\$68,718	\$76,495	\$52,166	\$65,620	\$69,484	\$68,345

Inactive Participants	Non-Contract/Administrative			ATU/ Clerical	ATU/ Drivers	IBEW/ Mechanics	Total
	Non-PEPRA	PEPRA	Sub-Total				
Service Retired							
Number	134	n/a	134	30	512	122	798
Average Age	69.7	n/a	69.7	72.6	71.2	71.0	71.0
Average Annual Benefit	\$39,899	n/a	\$39,899	\$14,445	\$20,386	\$22,792	\$23,807
Beneficiaries							
Number	35	n/a	35	5	104	30	174
Average Age	70.1	n/a	70.1	74.1	73.1	72.1	72.4
Average Annual Benefit	\$20,569	n/a	\$20,569	\$7,854	\$9,680	\$7,347	\$11,416
Disabled							
Number	2	n/a	2	2	62	10	76
Average Age	71.7	n/a	71.7	79.4	70.7	70.2	70.9
Average Annual Benefit	\$9,562	n/a	\$9,562	\$5,300	\$9,642	\$12,607	\$9,915
Terminated Vested							
Number	19	n/a	19	11	122	40	192
Average Age	51.9	n/a	51.9	52.8	55.6	54.6	54.9
Average Annual Benefit	\$18,462	n/a	\$18,462	\$4,890	\$8,675	\$6,266	\$8,925

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

**Status Reconciliation - All Divisions
Changes in Plan Membership as of July 1, 2021**

	Active	Terminated Vested	Disabled	Retired	Beneficiaries	Total
Participant count as of July 1, 2020	389	217	76	789	163	1,634
New Entrants	2					2
Rehires						0
Disabilities		(3)	3			0
Retirements/ Domestic Relations Order (DRO)	(30)	(13)		43	1	1
Vested Terminations	(6)	6				0
Died, with Beneficiaries' Benefit Payable				(16)	16	0
Transfers						0
Died, without Beneficiary, and Other Terminations		(15)	(3)	(18)	(1)	(37)
Beneficiary Deaths					(5)	(5)
Data Corrections						0
Total Change	(34)	(25)	0	9	11	(39)
Participant count as of July 1, 2021	355	192	76	798	174	1,595

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

**Status Reconciliation - Non-Contract/Administrative¹
Changes in Plan Membership as of July 1, 2021**

	Active	Terminated Vested	Disabled	Retired	Beneficiaries	Total
Participant count as of July 1, 2020	71	22	2	129	32	256
New Entrants	2					2
Rehires						0
Disabilities						0
Retirements/ Domestic Relations Order (DRO)	(5)	(3)		8		0
Vested Terminations						0
Died, with Beneficiaries' Benefit Payable				(3)	3	0
Transfers	1					1
Died, without Beneficiary, and Other Terminations						0
Beneficiary Deaths						0
Data Corrections						0
Total Change	(2)	(3)	0	5	3	3
Participant count as of July 1, 2021	69	19	2	134	35	259

¹ Includes 24 active individuals participating in PEPRAs.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
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APPENDIX A – MEMBERSHIP INFORMATION

**Status Reconciliation - Clerical
Changes in Plan Membership as of July 1, 2021**

	Active	Terminated Vested	Disabled	Retired	Beneficiaries	Total
Participant count as of July 1, 2020	11	12	3	32	3	61
New Entrants						0
Rehires						0
Disabilities						0
Retirements/ Domestic Relations Order (DRO)	(1)			1		0
Vested Terminations						0
Died, with Beneficiaries' Benefit Payable				(2)	2	0
Transfers						0
Died, without Beneficiary, and Other Terminations		(1)	(1)	(1)		(3)
Beneficiary Deaths						0
Data Corrections						0
Total Change	(1)	(1)	(1)	(2)	2	(3)
Participant count as of July 1, 2021	10	11	2	30	5	58

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

**Status Reconciliation - ATU/Drivers
Changes in Plan Membership as of July 1, 2021**

	Active	Terminated Vested	Disabled	Retired	Beneficiaries	Total
Participant count as of July 1, 2020	208	137	62	514	98	1,019
New Entrants						0
Rehires						0
Disabilities		(2)	2			0
Retirements/ Domestic Relations Order (DRO)	(18)	(7)		25	1	1
Vested Terminations	(5)	5				0
Died, with Beneficiaries' Benefit Payable				(10)	10	0
Transfers						0
Died, without Beneficiary, and Other Terminations		(11)	(2)	(17)	(1)	(31)
Beneficiary Deaths					(4)	(4)
Data Corrections				0		0
Total Change	(23)	(15)	0	(2)	6	(34)
Participant count as of July 1, 2021	185	122	62	512	104	985

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

**Status Reconciliation - IBEW/Mechanics
Changes in Plan Membership as of July 1, 2021**

	Active	Terminated Vested	Disabled	Retired	Beneficiaries	Total
Participant count as of July 1, 2020	99	46	9	114	30	298
New Entrants						0
Rehires						0
Disabilities		(1)	1			0
Retirements/ Domestic Relations Order (DRO)	(6)	(3)		9		0
Vested Terminations	(1)	1				0
Died, with Beneficiaries' Benefit Payable				(1)	1	0
Transfers	(1)					(1)
Died, without Beneficiary, and Other Terminations		(3)				(3)
Beneficiary Deaths					(1)	(1)
Data Corrections						0
Total Change	(8)	(6)	1	8	0	(5)
Participant count as of July 1, 2021	91	40	10	122	30	293

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

**Age / Service Distribution Of Active Participants - Non-Contract/Administrative¹ (Counts)
As of July 1, 2021**

Age	Service												Total
	Under 1	1 to 2	2 to 3	3 to 4	4 to 5	5 to 9	10 to 14	15 to 19	20 to 24	25 to 29	30 to 34	35 & up	
Under 20	0	0	0	0	0	0	0	0	0	0	0	0	0
20 to 24	0	0	0	0	0	0	0	0	0	0	0	0	0
25 to 29	1	0	0	0	0	0	0	0	0	0	0	0	1
30 to 34	0	0	0	1	0	0	0	0	0	0	0	0	1
35 to 39	0	0	1	1	0	5	4	2	0	0	0	0	13
40 to 44	0	0	0	0	0	4	2	1	2	0	0	0	9
45 to 49	0	0	0	0	0	2	3	0	2	1	0	0	8
50 to 54	0	1	0	0	0	3	1	3	1	1	0	0	10
55 to 59	0	0	1	0	0	3	3	1	1	0	2	1	12
60 to 64	0	0	0	0	1	2	3	1	1	3	0	2	13
65 to 69	0	0	0	0	0	0	1	1	0	0	0	0	2
70 & up	0	0	0	0	0	0	0	0	0	0	0	0	0
Total	1	1	2	2	1	19	17	9	7	5	2	3	69

¹ Includes 24 active individuals participating in PEPRAs.

**Age / Service Distribution Of Active Participants - Non-Contract/Administrative¹ (Average Salary)
As of July 1, 2021**

Age	Service												Total
	Under 1	1 to 2	2 to 3	3 to 4	4 to 5	5 to 9	10 to 14	15 to 19	20 to 24	25 to 29	30 to 34	35 & up	
Under 20	0	0	0	0	0	0	0	0	0	0	0	0	\$0
20 to 24	0	0	0	0	0	0	0	0	0	0	0	0	\$0
25 to 29	40,997	0	0	0	0	0	0	0	0	0	0	0	\$40,997
30 to 34	0	0	0	66,435	0	0	0	0	0	0	0	0	\$66,435
35 to 39	0	0	62,005	63,877	0	75,633	79,991	76,513	0	0	0	0	\$75,156
40 to 44	0	0	0	0	0	69,340	78,810	84,032	86,632	0	0	0	\$76,920
45 to 49	0	0	0	0	0	58,839	81,180	0	87,450	86,590	0	0	\$77,838
50 to 54	0	47,008	0	0	0	76,045	69,784	69,486	65,811	54,619	0	0	\$67,381
55 to 59	0	0	81,578	0	0	63,511	73,464	68,207	93,172	0	79,606	84,053	\$74,762
60 to 64	0	0	0	0	86,512	59,701	78,180	74,264	112,486	101,362	0	120,773	\$90,218
65 to 69	0	0	0	0	0	0	69,171	65,770	0	0	0	0	\$67,471
70 & up	0	0	0	0	0	0	0	0	0	0	0	0	\$0
Total	\$40,997	\$47,008	\$71,791	\$65,156	\$86,512	\$69,014	\$77,354	\$72,640	\$88,519	\$89,059	\$79,606	\$108,533	\$76,495

¹ Includes 24 active individuals participating in PEPRAs.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

**Age / Service Distribution Of Active Participants - ATU/Clerical (Counts)
As of July 1, 2021**

Age	Service												Total
	Under 1	1 to 2	2 to 3	3 to 4	4 to 5	5 to 9	10 to 14	15 to 19	20 to 24	25 to 29	30 to 34	35 & up	
Under 20	0	0	0	0	0	0	0	0	0	0	0	0	0
20 to 24	0	0	0	0	0	0	0	0	0	0	0	0	0
25 to 29	0	0	0	0	0	0	0	0	0	0	0	0	0
30 to 34	0	0	0	0	0	0	0	0	0	0	0	0	0
35 to 39	0	0	0	0	0	0	1	0	0	0	0	0	1
40 to 44	0	0	0	0	0	1	0	1	0	0	0	0	2
45 to 49	0	0	0	0	0	0	0	0	0	0	0	0	0
50 to 54	0	0	0	0	0	1	1	1	0	0	0	0	3
55 to 59	0	0	0	0	0	0	0	1	0	0	0	0	1
60 to 64	0	0	0	0	0	0	0	0	0	1	0	1	2
65 to 69	0	0	0	0	0	0	0	0	0	0	0	0	0
70 & up	0	0	0	0	0	0	1	0	0	0	0	0	1
Total	0	0	0	0	0	2	3	3	0	1	0	1	10

**Age / Service Distribution Of Active Participants - ATU/Clerical (Average Salary)
As of July 1, 2021**

Age	Service												Total
	Under 1	1 to 2	2 to 3	3 to 4	4 to 5	5 to 9	10 to 14	15 to 19	20 to 24	25 to 29	30 to 34	35 & up	
Under 20	0	0	0	0	0	0	0	0	0	0	0	0	\$0
20 to 24	0	0	0	0	0	0	0	0	0	0	0	0	\$0
25 to 29	0	0	0	0	0	0	0	0	0	0	0	0	\$0
30 to 34	0	0	0	0	0	0	0	0	0	0	0	0	\$0
35 to 39	0	0	0	0	0	0	50,946	0	0	0	0	0	\$50,946
40 to 44	0	0	0	0	0	63,334	0	46,986	0	0	0	0	\$55,160
45 to 49	0	0	0	0	0	0	0	0	0	0	0	0	\$0
50 to 54	0	0	0	0	0	46,706	46,557	46,807	0	0	0	0	\$46,690
55 to 59	0	0	0	0	0	0	0	62,373	0	0	0	0	\$62,373
60 to 64	0	0	0	0	0	0	0	0	0	60,788	0	48,342	\$54,565
65 to 69	0	0	0	0	0	0	0	0	0	0	0	0	\$0
70 & up	0	0	0	0	0	0	48,820	0	0	0	0	0	\$48,820
Total	\$0	\$0	\$0	\$0	\$0	\$55,020	\$48,774	\$52,055	\$0	\$60,788	\$0	\$48,342	\$52,166

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

**Age / Service Distribution Of Active Participants - ATU/Drivers (Counts)
As of July 1, 2021**

Age	Service												Total
	Under 1	1 to 2	2 to 3	3 to 4	4 to 5	5 to 9	10 to 14	15 to 19	20 to 24	25 to 29	30 to 34	35 & up	
Under 20	0	0	0	0	0	0	0	0	0	0	0	0	0
20 to 24	0	0	0	0	0	0	0	0	0	0	0	0	0
25 to 29	0	0	0	0	0	0	0	0	0	0	0	0	0
30 to 34	0	0	0	0	0	1	1	0	0	0	0	0	2
35 to 39	0	0	0	0	0	8	4	1	0	0	0	0	13
40 to 44	0	0	0	0	0	1	6	5	2	0	0	0	14
45 to 49	0	0	0	0	0	2	7	8	1	0	0	0	18
50 to 54	0	0	0	0	0	6	15	9	8	1	0	0	39
55 to 59	0	0	0	0	0	3	15	8	11	6	4	0	47
60 to 64	0	0	0	0	0	1	11	4	8	4	5	0	33
65 to 69	0	0	0	0	0	1	5	1	4	3	3	1	18
70 & up	0	0	0	0	0	0	0	0	0	0	0	1	1
Total	0	0	0	0	0	23	64	36	34	14	12	2	185

**Age / Service Distribution Of Active Participants - ATU/Drivers (Average Salary)
As of July 1, 2021**

Age	Service												Total
	Under 1	1 to 2	2 to 3	3 to 4	4 to 5	5 to 9	10 to 14	15 to 19	20 to 24	25 to 29	30 to 34	35 & up	
Under 20	0	0	0	0	0	0	0	0	0	0	0	0	\$0
20 to 24	0	0	0	0	0	0	0	0	0	0	0	0	\$0
25 to 29	0	0	0	0	0	0	0	0	0	0	0	0	\$0
30 to 34	0	0	0	0	0	80,099	52,254	0	0	0	0	0	\$66,177
35 to 39	0	0	0	0	0	57,175	64,238	64,210	0	0	0	0	\$59,889
40 to 44	0	0	0	0	0	56,529	59,260	65,122	71,227	0	0	0	\$62,868
45 to 49	0	0	0	0	0	54,473	65,426	60,773	67,956	0	0	0	\$62,282
50 to 54	0	0	0	0	0	62,759	66,596	65,232	69,668	72,717	0	0	\$66,478
55 to 59	0	0	0	0	0	63,611	66,704	71,506	69,941	72,638	68,104	0	\$68,958
60 to 64	0	0	0	0	0	55,562	66,609	66,975	65,870	62,317	64,243	0	\$65,261
65 to 69	0	0	0	0	0	57,840	62,251	60,501	69,162	68,508	70,676	52,254	\$65,336
70 & up	0	0	0	0	0	0	0	0	0	0	0	64,278	\$64,278
Total	\$0	\$0	\$0	\$0	\$0	\$60,164	\$65,097	\$65,654	\$68,845	\$68,810	\$67,138	\$58,266	\$65,620

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX A – MEMBERSHIP INFORMATION

**Age / Service Distribution Of Active Participants - IBEW/Mechanics (Counts)
As of July 1, 2021**

Age	Service												Total
	Under 1	1 to 2	2 to 3	3 to 4	4 to 5	5 to 9	10 to 14	15 to 19	20 to 24	25 to 29	30 to 34	35 & up	
Under 20	0	0	0	0	0	0	0	0	0	0	0	0	0
20 to 24	0	0	0	0	0	0	0	0	0	0	0	0	0
25 to 29	0	0	0	0	0	0	0	0	0	0	0	0	0
30 to 34	0	0	0	0	0	0	9	0	0	0	0	0	9
35 to 39	0	0	0	0	0	1	6	2	1	0	0	0	10
40 to 44	0	0	0	0	0	0	1	1	2	0	0	0	4
45 to 49	0	0	0	0	0	0	1	0	5	3	0	0	9
50 to 54	0	0	0	0	0	0	3	1	4	2	5	0	15
55 to 59	0	0	0	0	0	0	4	1	5	2	6	3	21
60 to 64	0	0	0	0	0	0	2	4	5	1	2	2	16
65 to 69	0	0	0	0	0	0	3	1	0	0	1	0	5
70 & up	0	0	0	0	0	0	1	0	1	0	0	0	2
Total	0	0	0	0	0	1	30	10	23	8	14	5	91

**Age / Service Distribution Of Active Participants - IBEW/Mechanics (Average Salary)
As of July 1, 2021**

Age	Service												Total
	Under 1	1 to 2	2 to 3	3 to 4	4 to 5	5 to 9	10 to 14	15 to 19	20 to 24	25 to 29	30 to 34	35 & up	
Under 20	0	0	0	0	0	0	0	0	0	0	0	0	\$0
20 to 24	0	0	0	0	0	0	0	0	0	0	0	0	\$0
25 to 29	0	0	0	0	0	0	0	0	0	0	0	0	\$0
30 to 34	0	0	0	0	0	0	73,341	0	0	0	0	0	\$73,341
35 to 39	0	0	0	0	0	78,948	59,172	78,948	78,948	0	0	0	\$67,082
40 to 44	0	0	0	0	0	0	78,948	78,948	74,766	0	0	0	\$76,857
45 to 49	0	0	0	0	0	0	70,585	0	68,856	76,160	0	0	\$71,483
50 to 54	0	0	0	0	0	0	50,955	70,585	70,515	74,766	73,930	0	\$68,313
55 to 59	0	0	0	0	0	0	58,786	78,948	70,434	74,766	70,459	78,948	\$70,257
60 to 64	0	0	0	0	0	0	66,027	70,396	66,938	78,948	78,948	74,766	\$70,919
65 to 69	0	0	0	0	0	0	64,142	45,215	0	0	70,585	0	\$61,645
70 & up	0	0	0	0	0	0	45,215	0	53,105	0	0	0	\$49,160
Total	\$0	\$0	\$0	\$0	\$0	\$78,948	\$64,078	\$71,318	\$69,338	\$75,812	\$72,920	\$77,275	\$69,484

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX B – ACTUARIAL ASSUMPTIONS AND METHODS

Actuarial Method

For the Retirement Plans of San Diego Transit Corporation (the Plan), the actuarial funding method used to determine the normal cost and the Unfunded Actuarial Liability is the individual entry age to final decrement cost method. This method is consistent with the method required under the GASB accounting statements.

Under this cost method, the normal cost is calculated as the amount necessary to fund Members' benefits as a level percentage of total payroll over their projected working lives. At each valuation date, the Actuarial Liability is equal to the difference between the liability for the Members' total projected benefit and the present value of future normal cost contributions. The total normal cost is calculated as the sum of the individual normal costs for each active member (individual entry age method).

The excess of the Actuarial Liability over the smoothed value of Plan assets is the Unfunded Actuarial Liability (UAL); the initial Unfunded Actuarial Liability as of July 1, 2012 is amortized in level dollar payments over a 25-year period ending June 30, 2037.

Changes in the Unfunded Actuarial Liability due to Plan amendments, changes in actuarial assumptions or methods will be amortized in level dollar payments over a separate period that ends on June 30, 2037, consistent with the amortization of the remaining June 30, 2012 UAL.

Changes in the Unfunded Actuarial Liability due to actuarial gains and losses are amortized over closed separate 15-year periods in level dollar payments.

Though, the Retirement Board may make exceptions, in general, the intent is to follow the guidelines published by the California Actuarial Advisory Panel and the Government Finance Officers' Association.

The total Plan cost is the sum of the normal cost, assumed administrative expenses, and the amortization of the Unfunded Actuarial Liability. The employer is responsible for contributing the difference between the total cost and member contributions.

Actuarial Value of Plan Assets

The Actuarial Value of Assets (AVA) is determined using an adjusted market value. Under this method, a preliminary AVA is determined as the Market Value of Assets on the valuation date less a decreasing fraction ($4/5$, $3/5$, $2/5$, $1/5$) of the gain or loss in each of the preceding four years. The gain or loss for a given year is the difference between the actual investment return (on a market-to-market basis) and the assumed investment return based on the Market Value of Assets at the beginning of the year and actual cash flow. The AVA is adjusted, if necessary, to remain between 80% and 120% of the market value.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX B – ACTUARIAL ASSUMPTIONS AND METHODS

Actuarial Assumptions

The economic and demographic assumptions are based on the experience study covering the period from July 1, 2015 through June 30, 2020 that was adopted at the MTS Board of Directors Meeting in November 2021. The rationale for all the assumptions can also be found in the experience study report dated September 2021. All assets and liabilities are computed as of the valuation date, July 1, 2021.

1. Rate of Return

The annual rate of return on all Plan assets is assumed to be 6.00% net of investment expenses.

2. Cost of Living

The cost of living as measured by the Consumer Price Index (CPI) will increase at the rate of 2.50% per year.

3. Post Retirement COLA

Benefits for Non-Contract retirees assumed to increase after retirement at the rate of 2.0% per year.

4. Pay for Benefits

In most cases, pay for benefits is based on a two-year average of each Participant's pay during the two years preceding the valuation date. Special procedures are used in some cases, as noted for full-time Participants.

<u>Unit</u>	<u>Pay for Continuing Participants</u>	<u>Pay for New Participants</u>
Drivers	The larger of gross pay or 1,800 hours times the member's hourly rate	
Mechanics	2,150 hours times the Participant's hourly rate	
Clerical	Gross pay	The larger of gross pay or 2,100 hours times the Participant's hourly rate
Non-Contract	Gross pay	The larger of gross pay or 2,080 hours times the Participant's hourly rate

Part-time Participants are assumed to work 1,040 hours in the calculations shown above.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX B – ACTUARIAL ASSUMPTIONS AND METHODS

5. Merit Pay (Longevity and Promotion) Increases

Assumed pay increases for active Participants consist of increases due to inflation (cost-of-living adjustments) and those due to longevity and promotion. Based on an analysis of pay levels and service, we developed the following assumptions:

Longevity and Promotion Increases				
Service	ATU Drivers	IBEW Mechanics	Clerical	Non-Contract
0	6.00%	7.50%	10.00%	3.50%
1	6.00%	7.50%	10.00%	3.50%
2	6.00%	7.50%	0.25%	3.50%
3	6.00%	7.50%	0.25%	3.50%
4	6.00%	7.50%	0.25%	3.50%
5	6.00%	7.50%	0.25%	3.50%
6	6.00%	7.50%	0.25%	3.50%
7	6.00%	7.50%	0.25%	3.50%
8	0.50%	7.50%	0.25%	3.50%
9	0.50%	7.50%	0.25%	3.50%
10+	0.50%	0.50%	0.25%	0.25%

In addition, annual adjustments in pay due to inflation will equal the CPI, for an additional annual increase of 2.50%. The combination of rates is compounded rather than using an additive method.

6. Active Participant Mortality

Rates of mortality for all active ATU and IBEW Participants are given by Cheiron's ATU Non-Annuitant mortality with generational improvements from the base year 2016 using Scale MP-2020.

Rates of mortality for all active Clerical and Non-Contract Participants are given by 2010 Public General Employee mortality with generational improvements from the base year 2010 using Scale MP-2020.

7. Healthy Inactive Participant and Beneficiary Mortality

Rates of mortality for healthy inactive ATU and IBEW Participants, spouses, and surviving spouses are given by Cheiron's ATU Healthy-Annuitant mortality with generational improvements from the base year 2016 using Scale MP-2020.

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Rates of mortality for healthy inactive Clerical and Non-Contract Participants, spouses, and surviving spouses are given by 2010 Public General Healthy Annuitant Amount Weighted mortality with generational improvements from the base year 2010 using Scale MP-2020.

8. Disabled Participant Mortality

Rates of mortality for disabled members are given by Cheiron's ATU Disabled Annuitant mortality with generational improvements from the base year 2016 using Scale MP-2020.

9. Mortality Improvement

Mortality is assumed to improve in future years in accordance with the MP-2020 generational improvement tables.

10. Disability

Among ATU Drivers and IBEW Mechanics uses the standard CalPERS Public Agency Table, with sample rates below. Disabled Participants are assumed not to return to active service. No disability is assumed for Clerical and Non-Contract Participants.

Disability	
Age	Rate
25	0.015%
30	0.020%
35	0.057%
40	0.130%
45	0.198%
50	0.217%
55	0.211%
60	0.200%
65	0.187%
70	0.164%
75+	0.136%

11. Plan Expenses

Plan administrative expenses of \$282,000 are included in the annual cost calculated, increasing each year with the assumed rate of inflation. This is equivalent to \$275,122 payable at the beginning of the year.

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12. Family Composition

100% of active Participants are assumed married. Male spouses are assumed four years older than their wives are.

13. Service Retirement

Rates of service retirement among Participants eligible to retire are given by the following table:

Age	ATU Drivers	IBEW Mechanics	Clerical/Non Contract
52 ¹	0%	0%	0%
53-54	0%	0%	7.5%
55	10%	5%	7.5%
56-59	7.5%	5%	10%
60-61	10%	10%	10%
62	15%	10%	30%
63	15%	10%	25%
64	20%	15%	25%
65-66	40%	45%	25%
67-69	25%	20%	25%
70 and older	100%	100%	100%

¹ Non-Contract retirement assumption at age 52 is for PEPRAs participants only, 0% otherwise.

14. Termination

Service-based or age-based termination rates are shown below by group. For all Participants, termination rates are assumed zero once a participant is eligible for retirement.

Termination for ATU Driver, IBEW Mechanic, and Non-Contract Participants are assumed to occur in accordance with the service-based rates shown in the following table:

Service	ATU Driver	IBEW Mechanic	Non- Contract
0	10.0%	10.0%	5.0%
1-6	4.0%	4.0%	5.0%
7 +	3.0%	3.0%	5.0%

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Termination for Clerical Participants is assumed to occur in accordance with the age-based rates shown in the following table:

Clerical	
Age	Rate
20-24	25.0%
25-29	15.0%
30-34	13.0%
35-39	11.0%
40-44	10.0%
45-49	9.0%
50 and older	9.0%

15. Employment Status

No future transfers among Participant groups are assumed.

16. Changes in Actuarial Methods and Assumptions since the Prior Valuation

For complete details of the assumption changes since the prior valuation, please refer to the experience study report dated September 2021.

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APPENDIX C – SUMMARY OF PLAN PROVISIONS

A. Definitions

Average Monthly

Final Earnings: Average Monthly Final Earnings means the average monthly compensation during the consecutive months that produces a Participant's highest average compensation, computed by dividing the Compensation Earnable for such period by the number of months in such period.

- For ATU, IBEW, and Clerical Participants, the averaging period is 36 consecutive months.
- For Non-Contract Participants, the number of consecutive months is 12.
- Public Employees' Pension Reform Act (PEPRA): For Non-Contract Participants hired on and after July 1, 2013, the number of consecutive months is 36.
- Those months during which the Participant did not receive compensation from the Employer equivalent to one-half the regular working days will be excluded. The average is then based on that portion of the averaging period remaining after the excluded months.
- PEPRA: It is possible that exclusions for months in which the Participant did not work full-time may be subject to change.
- Use the total of the Periodic Pensionable Earnings from the highest three calendar (payroll) years. These years need not be consecutive years. There shall be no skips and drops within the three calendar (payroll) years. Add the total Periodic Pensionable Earnings to Terminal Earnings and then divide by 36.

Compensation: Compensation means the remuneration for services paid by the Employer. The monetary value of board, lodgings, fuel, car allowance, laundry, or other advantages furnished to a Participant is not included.

PEPRA: For Participants joining the Plan on or after July 1, 2013, only base compensation up to the Social Security-integrated PEPRA compensation limit (\$128,059 for 2021 and \$126,291 for 2020) will count for computing Plan benefits and employee and employer contributions; in particular, all or most overtime will be excluded.

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Compensation

Earnable: Compensation Earnable is the compensation actually received by a Participant during a period of employment. For ATU and Non-Contract Participants, any bonus or retroactive wage increases are treated as compensation when received rather than when the services are performed. For IBEW Participants, Compensation Earnable is limited to 2,140 hours of straight time equivalent hours in any 12-month period.

In addition, the value of any vacation or sick leave accumulated but unused when benefits begin is excluded from Compensation Earnable and from Average Monthly Final Earnings.

PEPRA: For Participants joining the Plan on and after July 1, 2013, it is likely that some sources of compensation, such as those underlined above, may be excluded from benefit and contribution computations for these new Participants.

**Credited Years
Of Service:**

In general, Credited Years of Service is continuous service with the San Diego Transit Corporation and its predecessor company from the last date of employment through the date of retirement, death, disability, or other termination of service.

As of November 10, 1997, part-time ATU employees receive one Credited Year of Service for every 2,080 hours of service worked as a part-time employee after December 1, 1990.

For Non-Contract Participants, Credited Years of Service includes any year commencing on or after July 1, 1982 in which the Participant completes at least 1,000 Hours of Service. In addition, Credited Years of Service for Non-Contract Participants will exclude any period of service after the Participant's Normal Retirement Date.

A Participant who is disabled and recovers from disability and reenters the Plan as an active Participant will not receive Credited Years of Service for the period of disability.

B. Membership

All full-time and certain part-time IBEW employees hired prior to May 1, 2011, will become Participants on their date of hire. IBEW employees hired on and after May 1, 2011, will become Participants of a separate defined contribution plan and will not be Participants of this Plan.

All full-time and certain part-time ATU employees hired prior to November 1, 2012, will become Participants on their date of hire. ATU employees hired on and after November 1, 2012, will become Participants of a separate defined contribution plan and will not be Participants of this Plan.

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All Non-Contract employees become Participants after earning one Credited Year of Service.

PEPRA: Any Participant joining the Plan for the first time on or after January 1, 2013, is a New Participant.

C. Retirement Benefit

Eligibility: Clerical and Non-Contract Participants are eligible for normal service retirement upon attaining age 63 and completing five or more Credited Years of Service and eligible for early service retirement upon attaining age 53 and completing five or more Credited Years of Service.

ATU and IBEW Participants are eligible for normal service retirement upon attaining age 63 (65 for IBEW) and completing five or more Credited Years of Service and eligible for early service retirement upon attaining age 55 and completing five or more Credited Years of Service.

PEPRA: New Participants are eligible to retire upon attaining age 52 and completing five or more Credited Years of Service.

Benefit Amount: The monthly service retirement benefit is the Participant's Average Monthly Final Earnings multiplied by the percentage figures shown in the tables below.

- For ATU and Clerical Participants terminating prior to October 1, 2005, ATU/Clerical Table A-1 is used; for ATU and Clerical Participants terminating on and after October 1, 2005, ATU/Clerical Table A-2 is used. Prior to July 1, 2006, the benefit from the table is limited to 60%.
- For IBEW Participants terminating prior to January 1, 2007, IBEW Table A-1 is used; for IBEW Participants terminating on and after January 1, 2007, IBEW Table A-2 is used.
- For Non-Contract participants terminating prior to July 1, 2000, Non-Contract Table A-1 is used; for Non-Contract participants terminating on and after July 1, 2000, Non-Contract Table A-2 is used.

For Participants with fractions of a year of age or service, the Participant's age or service will be rounded to the completed quarter year, and the percentage multiplier will be computed from the table using interpolation.

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ATU participants who are active from November 10, 1997, to December 31, 1998, and from November 10, 1997, to December 31, 1999, receive an additional 2.5% and 2.5%, respectively. However, the multiplier from Table A-1 or A-2, as augmented by the additional 2.5% increments, is still limited to 60% prior to July 1, 2006 and 70% thereafter.

Non-Contract Participants who are active as of July 1, 1994, and July 1, 1995, receive an additional 6% and 2%, respectively. However, the benefit multiplier, as augmented by the additional 6% and 2% increments, is still limited to 60% under Table A-1 and 70% under Table A-2.

A Participant who is disabled and recovers from disability and reenters the Plan as an active Participant will have this benefit amount reduced by the actuarial equivalent of the benefits paid during the period of disability.

PEPRA: For New Participants, the benefit multiplier will be 1% at age 52, increasing by 0.1% for each year of age to 2.5% at 67. In between exact ages, the multiplier will increase by 0.025% for each quarter year increase in age.

Form of Benefit: The normal form of benefit is an annuity payable for the life of the Participant, with no continuation of benefits to a beneficiary after death. The retirement benefit will be paid as a 50% Joint and Survivor benefit actuarially equivalent to the normal form for participants who have been married for at least one year. Otherwise, the normal form will be paid.

Because Participants will be making employee contributions, the Participant's beneficiaries may be eligible to receive a refund of accumulated contributions that exceed the benefits paid out to the Participant (if any) upon death.

The ATU and IBEW benefits have been amended from time to time to remove the actuarial reduction in benefits for previously retired Participants whose spouses have died before them. However, these adjustments are retroactive only, and they do not apply to benefits paid to currently active Participants.

ATU and IBEW Participants may elect an Alternative Retirement Formula if they terminate employment before early retirement but after 10 Credited Years of Service or were hired between April 1, 1968, and March 31, 1971, and desire to retire at their Normal Retirement Date. These Participants are eligible for a deferred benefit commencing at age 65 based on Table B.

Tables A-1 and A-2 for each employee group, as well as Table B, can be found at the end of Appendix C herein.

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D. Disability Retirement Benefit

Eligibility: A Participant is eligible for a Disability Retirement Benefit if:

- The Participant has earned five Credited Years of Service (ATU, IBEW, Clerical and Non-Contract), and
- The Participant is unable to perform the duties of his or her job with the Corporation, cannot be transferred to another job with the Corporation, and has submitted satisfactory medical evidence of permanent disqualification from his or her job.

Benefit Amount: The Disability Retirement Benefit is a monthly benefit equal to the lesser of:

1. 1.5% times Credited Years of Service at Disability Retirement Date times the Participant's Average Monthly Final Earnings; and,
2. The Normal Retirement Benefit calculated using the Average Monthly Final Earnings at Disability Retirement Date and the projected Credited Years of Service to Normal Retirement Date.

The benefit is reduced by 50% of the amount of any earned income from other sources in excess of 50% of the Participant's Average Monthly Earnings during the 12 months prior to disability; this reduction applies to all IBEW and Non-Contract Participants, but only to ATU Participants hired after June 30, 1983.

PEPRA: Note that the Disability Retirement Benefit for New Participants is based on the new definition of Compensation, which is subject to a maximum and excludes overtime.

Form of Benefit: The normal form of benefit is an annuity commencing at disability and payable for the life of the Participant, with no continuation of benefits to a beneficiary after death. The Disability Retirement Benefit will be paid as a 50% Joint and Survivor benefit actuarially equivalent to the normal form for participants who have been married for at least one year. Otherwise, the normal form will be paid.

Because Participants will be making employee contributions, the Participant's beneficiaries may be eligible to receive a refund of accumulated contributions that exceed the benefits paid out to the Participant (if any) upon death.

The ATU and IBEW benefits have been amended from time to time to remove the actuarial reduction in benefits for previously retired Participants whose spouses have died before them. However, these adjustments are retroactive only, and they do not apply to benefits paid to currently active Participants.

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E. Pre-Retirement Death Benefit

Eligibility: A vested Participant is entitled to elect coverage of a pre-retirement spouse's benefit.

For years, a Participant is age 55 or under, the cost of the coverage is paid by the Company. For the years, a Participant is over age 55 and has elected this coverage, the cost of this coverage is paid by the Participant in the form of a reduced benefit upon retirement. The reduction is 3.5¢ per \$10 of monthly benefit for each year of coverage.

There is no cost for this benefit for any ATU, Clerical, or Non-Contract Participant whose monthly benefit commences after November 27, 1990. There is no cost for this benefit for any IBEW Participant whose monthly benefit commences after December 3, 1996.

In order for the spouse to be eligible for this benefit, the participant must be married to the spouse for one year prior to death, unless death occurs from accidental causes.

Benefit Amount: For a Participant who is eligible to retire at death, the pre-retirement death benefit is 50% of the benefit that would have been payable had the Participant retired immediately prior to his or her death and elected to receive a 50% Joint and Survivor annuity.

For a Participant who dies before being eligible to retire, the pre-retirement death benefit is 50% of the benefit that would have been payable had the Participant survived to his or her earliest retirement date, retired, elected to receive a 50% Joint and Survivor annuity, and died immediately.

PEPRA: Note that the Pre-Retirement Death Benefit for New Participants is based on the new definition of compensation, which is subject to a maximum and excludes overtime.

Form of Benefit: For a Participant who is eligible to retire at death, the death benefit begins when the Participant dies and continues for the life of the surviving spouse.

For a Participant who dies before being eligible to retire, the death benefit begins when the Participant would have reached his or her earliest retirement date and continues for the life of the surviving spouse.

Because Participants will be making employee contributions, the Participant's beneficiaries may be eligible to receive a refund of accumulated contributions that exceed the benefits paid out to the Participant or spouse (if any) upon death.

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F. Termination Benefit

Eligibility: A Participant is eligible for a termination benefit after earning five Credited Years of Service.

Benefit Amount: The termination benefit is computed in the same manner as the Normal Retirement Benefit, but it is based on Credited Years of Service and Average Monthly Final Earnings on the date of termination.

Effective July 1, 2000, Non-Contract participants who terminate prior to eligibility for early service retirement will have their benefits actuarially reduced if they begin receiving benefits before Normal Retirement Age.

PEPRA: For New Participants, the benefit multiplier will be 1% at age 52, increasing by 0.1% for each year of age to 2.5% at 67. In between exact ages, the multiplier will increase by 0.025% for each quarter year increase in age. Note also that the Termination Benefit for New Participants is based on the new definition of compensation, which is subject to a maximum and excludes overtime.

We assume a refund of employee contributions, with no interest, if termination occurs before five years of service.

Form of Benefit: The Participant will be eligible to commence benefits at the later of termination and earliest retirement eligibility age.

The normal form of benefit is an annuity payable for the life of the Participant, with no continuation of benefits to a beneficiary after death. The retirement benefit will be paid as a 50% Joint and Survivor benefit actuarially equivalent to the normal form for participants who have been married for at least one year. Otherwise, the normal form will be paid.

Because Participants will be making employee contributions, the Participant's beneficiaries may be eligible to receive a refund of accumulated contributions that exceed the benefits paid out to the Participant (if any) upon death.

The ATU and IBEW benefits have been amended from time to time to remove the actuarial reduction in benefits for previously retired Participants whose spouses have died before them. However, these adjustments are retroactive only, and they do not apply to benefits paid to currently active Participants.

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G. Cost-of-Living Adjustments

Eligibility: An annual Cost-of-Living Adjustment (COLA) has been added for Non-Contract Participants who were actively employed on or after June 30, 1999. One time only (ad hoc) COLAs were granted to ATU and IBEW Participants in 1991 and 1992.

Benefit Amount: For Non-Contract Participants, the cumulative COLA is the increase in the Consumer Price Index (CPI) since the Participant began receiving benefits.

The COLA is subject to the following limits for Non-Contract Participants:

- The cumulative COLA cannot exceed 2% compounded annually for all years since the Participant's benefits began;
- The annual COLA is zero if the CPI increase in that year is less than 1%;
- The annual COLA is limited to 6% of the initial benefit amount in any year; and,
- A Participant's benefit cannot be reduced below the benefit level when payments commenced.

H. Voluntary Early Retirement Program

The Plan provided enhanced benefits to ATU participants who voluntarily elected early retirement during the window period from July 1, 1998 through February 20, 1998.

The Plan provided enhanced benefits to certain IBEW participants who voluntarily elected early retirement during the window period from July 1, 2004, through December 31, 2004.

I. DROP Program

The Plan provided DROP benefits to a number of ATU participants who elected retirement from July 1, 2002, through December 31, 2002.

J. Funding

- IBEW members contributed 3% of compensation to the Plan in April 2013 and 4% of compensation in April 2014. The contribution rate increased to 6% of compensation in April 2015 and increased to 8% of compensation in April 2016.

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- ATU drivers and clerical members contributed 3% of compensation in July 2013. The contribution rate increased to 5% of compensation in July 2014, to 6% in July 2015, and to 7% of compensation in July 2016. The contribution rate increased to 8% of compensation in December 2017.
- Non-contract members hired before July 1, 2013, contributed 2% of compensation to the Plan prior to January 2014. The Non-contract member contributions increased to 4% of compensation in January 2014, to 6% of in January 2015, and increased to 7% of compensation on January 1, 2016. As of January 1, 2017, the member contribution rate increased to 8% of compensation.
- New members under PEPRA must contribute half of the normal cost of the Plan, rounded to the nearest 0.25%. PEPRA members have been paying 6.25% of pay and the employer has been paying the remaining cost of the Plan. The PEPRA employee contribution rate increases to 7.75% of pay based on the results of this July 1, 2021 valuation.

The Corporation pays the actuarial cost of the Plan as reduced by Member contributions. Member contribution rates in the future may change in response to collective bargaining.

K. Changes in Plan Provisions since the Prior Valuation

PEPRA employee contributions increased from 6.25% of pay to 7.75% of pay.

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ATU/Clerical Table A-1: Retirement Benefit Multipliers

Credited Years Of Service	Age at Retirement								
	55	56	57	58	59	60	61	62	63+
5	5.9%	6.3%	6.7%	7.2%	7.8%	8.3%	8.9%	9.5%	10.1%
6	7.1%	7.5%	8.1%	8.7%	9.3%	10.0%	10.7%	11.4%	12.1%
7	8.2%	8.8%	9.4%	10.1%	10.9%	11.7%	12.4%	13.3%	14.1%
8	9.4%	10.1%	10.8%	11.6%	12.4%	13.3%	14.2%	15.1%	16.1%
9	10.6%	11.3%	12.1%	13.0%	14.0%	15.0%	16.0%	17.0%	18.1%
10	11.8%	12.6%	13.5%	14.4%	15.5%	16.7%	17.8%	18.9%	20.1%
11	12.9%	13.8%	14.8%	15.9%	17.1%	18.3%	19.5%	20.8%	22.2%
12	14.1%	15.1%	16.2%	17.3%	18.6%	20.0%	21.3%	22.7%	24.2%
13	15.3%	16.3%	17.5%	18.8%	20.2%	21.7%	23.1%	24.6%	26.2%
14	16.5%	17.6%	18.9%	20.2%	21.7%	23.3%	24.9%	26.5%	28.2%
15	17.6%	18.9%	20.2%	21.7%	23.3%	25.0%	26.7%	28.4%	30.2%
16	18.8%	20.1%	21.5%	23.1%	24.8%	26.7%	28.4%	30.3%	32.2%
17	20.0%	21.4%	22.9%	24.5%	26.4%	28.3%	30.2%	32.2%	34.3%
18	21.2%	22.6%	24.2%	26.0%	27.9%	30.0%	32.0%	34.1%	36.3%
19	22.3%	23.9%	25.6%	27.4%	29.5%	31.7%	33.8%	36.0%	38.3%
20	23.5%	25.2%	26.9%	28.9%	31.0%	33.3%	35.5%	37.9%	40.3%
21	24.7%	26.4%	28.3%	30.3%	32.6%	35.0%	37.3%	39.7%	42.3%
22	25.9%	27.7%	29.6%	31.8%	34.1%	36.7%	39.1%	41.6%	44.3%
23	27.0%	28.9%	31.0%	33.2%	35.7%	38.3%	40.9%	43.5%	46.3%
24	28.2%	30.2%	32.3%	34.6%	37.2%	40.0%	42.6%	45.4%	48.4%
25	29.4%	31.4%	33.7%	36.1%	38.8%	41.7%	44.4%	47.3%	50.4%
26	30.6%	32.7%	35.0%	37.5%	40.3%	43.3%	46.2%	49.2%	52.4%
27	31.7%	34.0%	36.4%	39.0%	41.9%	45.0%	48.0%	51.1%	54.4%
28	32.9%	35.2%	37.7%	40.4%	43.4%	46.7%	49.8%	52.0%	56.4%
29	34.1%	36.5%	39.1%	41.9%	45.0%	48.3%	50.0%	55.0%	58.4%
30	35.3%	37.7%	40.4%	43.4%	46.5%	50.0%	51.0%	55.5%	60.0%
31	36.5%	39.0%	41.7%	44.8%	48.1%	51.0%	51.5%	56.0%	60.0%
32	37.6%	40.2%	43.1%	46.2%	49.6%	51.5%	52.0%	56.5%	60.0%
33	38.8%	41.5%	44.4%	47.6%	50.0%	52.0%	52.5%	57.0%	60.0%
34	40.0%	42.8%	45.8%	49.1%	51.0%	52.5%	53.0%	57.5%	60.0%
35 or more	41.2%	44.0%	47.1%	50.0%	51.5%	53.0%	53.5%	58.0%	60.0%

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ATU/Clerical Table A-2: Retirement Benefit Multipliers

Credited Years Of Service	Age at Retirement										
	Clerical										
	53	54	55	56	57	58	59	60	61	62	63+
5	8.71%	9.33%	10.00%	10.26%	10.52%	10.78%	11.05%	11.31%	11.57%	11.83%	12.09%
6	10.45%	11.20%	12.00%	12.31%	12.62%	12.94%	13.26%	13.57%	13.88%	14.20%	14.51%
7	12.19%	13.06%	14.00%	14.36%	14.73%	15.09%	15.47%	15.83%	16.20%	16.56%	16.93%
8	13.94%	14.93%	16.00%	16.42%	16.83%	17.25%	17.68%	18.10%	18.51%	18.93%	19.34%
9	15.68%	16.79%	18.00%	18.47%	18.94%	19.40%	19.89%	20.36%	20.83%	21.29%	21.76%
10	17.42%	18.66%	20.00%	20.52%	21.04%	21.56%	22.10%	22.62%	23.14%	23.66%	24.18%
11	19.16%	20.53%	22.00%	22.57%	23.14%	23.72%	24.31%	24.88%	25.45%	26.03%	26.60%
12	20.90%	22.39%	24.00%	24.62%	25.25%	25.87%	26.52%	27.14%	27.77%	28.39%	29.02%
13	22.65%	24.26%	26.00%	26.68%	27.35%	28.03%	28.73%	29.41%	30.08%	30.76%	31.43%
14	24.39%	26.12%	28.00%	28.73%	29.46%	30.18%	30.94%	31.67%	32.40%	33.12%	33.85%
15	26.13%	27.99%	30.00%	30.78%	31.56%	32.34%	33.15%	33.93%	34.71%	35.49%	36.27%
16	27.87%	29.86%	32.00%	32.83%	33.66%	34.50%	35.36%	36.19%	37.02%	37.86%	38.69%
17	29.61%	31.72%	34.00%	34.88%	35.77%	36.65%	37.57%	38.45%	39.34%	40.22%	41.11%
18	31.36%	33.59%	36.00%	36.94%	37.87%	38.81%	39.78%	40.72%	41.65%	42.59%	43.52%
19	33.10%	35.45%	38.00%	38.99%	39.98%	40.96%	41.99%	42.98%	43.97%	44.95%	45.94%
20	34.84%	37.32%	40.00%	41.04%	42.08%	43.12%	44.20%	45.24%	46.28%	47.32%	48.36%
21	36.58%	39.19%	42.00%	43.09%	44.18%	45.28%	46.41%	47.50%	48.59%	49.69%	50.78%
22	38.32%	41.05%	44.00%	45.14%	46.29%	47.43%	48.62%	49.76%	50.91%	52.05%	53.20%
23	40.07%	42.92%	46.00%	47.20%	48.39%	49.59%	50.83%	52.03%	53.22%	54.42%	55.61%
24	41.81%	44.78%	48.00%	49.25%	50.50%	51.74%	53.04%	54.29%	55.54%	56.78%	58.03%
25	43.55%	46.65%	50.00%	51.30%	52.60%	53.90%	55.25%	56.55%	57.85%	59.15%	60.45%
26	45.29%	48.52%	52.00%	53.35%	54.70%	56.06%	57.46%	58.81%	60.16%	61.52%	62.87%
27	47.03%	50.38%	54.00%	55.40%	56.81%	58.21%	59.67%	61.07%	62.48%	63.88%	65.29%
28	48.78%	52.25%	56.00%	57.46%	58.91%	60.37%	61.88%	63.34%	64.79%	66.25%	67.70%
29	50.52%	54.11%	58.00%	59.51%	61.02%	62.52%	64.09%	65.60%	67.11%	68.61%	70.00%
30	52.26%	55.98%	60.00%	61.56%	63.12%	64.68%	66.30%	67.86%	69.42%	70.00%	70.00%
31	54.00%	57.85%	62.00%	63.61%	65.22%	66.84%	68.51%	70.00%	70.00%	70.00%	70.00%
32	55.74%	59.71%	64.00%	65.66%	67.33%	68.99%	70.00%	70.00%	70.00%	70.00%	70.00%
33	57.49%	61.58%	66.00%	67.72%	69.43%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%
34	59.23%	63.44%	68.00%	69.77%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%
35 or more	60.97%	65.31%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX C – SUMMARY OF PLAN PROVISIONS

IBEW Table A-1: Retirement Benefit Multipliers

Credited Years Of Service	Age at Retirement										
	55	56	57	58	59	60	61	62	63	64	65+
5	5.2%	5.5%	5.9%	6.3%	6.7%	7.2%	7.8%	8.3%	8.9%	9.5%	10.1%
6	6.2%	6.6%	7.1%	7.5%	8.1%	8.7%	9.3%	10.0%	10.7%	11.4%	12.1%
7	7.2%	7.7%	8.2%	8.8%	9.4%	10.1%	10.9%	11.7%	12.4%	13.3%	14.1%
8	8.2%	8.8%	9.4%	10.1%	10.8%	11.6%	12.4%	13.3%	14.2%	15.1%	16.1%
9	9.3%	9.9%	10.6%	11.3%	12.1%	13.0%	14.0%	15.0%	16.0%	17.0%	18.1%
10	10.2%	11.0%	11.8%	12.6%	13.5%	14.4%	15.5%	16.7%	17.8%	18.9%	20.1%
11	11.2%	12.1%	12.9%	13.8%	14.8%	15.9%	17.1%	18.3%	19.5%	20.8%	22.2%
12	12.3%	13.2%	14.1%	15.1%	16.2%	17.3%	18.6%	20.0%	21.3%	22.7%	24.2%
13	13.3%	14.3%	15.3%	16.3%	17.5%	18.8%	20.2%	21.7%	23.1%	24.6%	26.2%
14	14.4%	15.4%	16.5%	17.6%	18.9%	20.2%	21.7%	23.3%	24.9%	26.5%	28.2%
15	15.4%	16.5%	17.6%	18.9%	20.2%	21.7%	23.3%	25.0%	26.7%	28.4%	30.2%
16	16.4%	17.6%	18.8%	20.1%	21.5%	23.1%	24.8%	26.7%	28.4%	30.3%	32.2%
17	17.5%	18.7%	20.0%	21.4%	22.9%	24.5%	26.4%	28.3%	30.2%	32.2%	34.3%
18	18.5%	19.8%	21.2%	22.6%	24.2%	26.0%	27.9%	30.0%	32.0%	34.1%	36.3%
19	19.6%	20.9%	22.3%	23.9%	25.6%	27.4%	29.5%	31.7%	33.8%	36.0%	38.3%
20	20.6%	22.0%	23.5%	25.2%	26.9%	28.9%	31.0%	33.3%	35.5%	37.9%	40.3%
21	21.6%	23.1%	24.7%	26.4%	28.3%	30.3%	32.6%	35.0%	37.3%	39.7%	42.3%
22	22.7%	24.2%	25.9%	27.7%	29.6%	31.8%	34.1%	36.7%	39.1%	41.6%	44.3%
23	23.7%	25.3%	27.0%	28.9%	31.0%	33.2%	35.7%	38.3%	40.9%	43.5%	46.3%
24	24.8%	26.4%	28.2%	30.2%	32.3%	34.6%	37.2%	40.0%	42.6%	45.4%	48.4%
25	25.8%	27.5%	29.4%	31.4%	33.7%	36.1%	38.8%	41.7%	44.4%	47.3%	50.4%
26	26.9%	28.6%	30.6%	32.7%	35.0%	37.5%	40.3%	43.3%	46.2%	49.2%	52.4%
27	27.9%	29.7%	31.7%	34.0%	36.4%	39.0%	41.9%	45.0%	48.0%	51.1%	54.4%
28	29.0%	30.9%	32.9%	35.2%	37.7%	40.4%	43.4%	46.7%	49.8%	52.0%	56.4%
29	30.0%	32.0%	34.1%	36.5%	39.1%	41.9%	45.0%	48.3%	50.0%	55.0%	58.4%
30	31.1%	33.1%	35.3%	37.7%	40.4%	43.4%	46.5%	50.0%	51.0%	55.5%	60.0%
31	32.1%	34.2%	36.5%	39.0%	41.7%	44.8%	48.1%	51.0%	51.5%	56.0%	60.0%
32	33.2%	35.3%	37.6%	40.2%	43.1%	46.2%	49.6%	51.5%	52.0%	56.5%	60.0%
33	34.3%	36.5%	38.8%	41.5%	44.4%	47.6%	50.0%	52.0%	52.5%	57.0%	60.0%
34	35.4%	37.6%	40.0%	42.8%	45.8%	49.1%	51.0%	52.5%	53.0%	57.5%	60.0%
35 or more	36.5%	38.7%	41.2%	44.0%	47.1%	50.0%	51.5%	53.0%	53.5%	58.0%	60.0%

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX C – SUMMARY OF PLAN PROVISIONS

IBEW Table A-2: Retirement Benefit Multipliers

Credited Years Of Service	Age at Retirement								
	55	56	57	58	59	60	61	62	63+
5	10.00%	10.26%	10.52%	10.78%	11.05%	11.31%	11.57%	11.83%	12.09%
6	12.00%	12.31%	12.62%	12.94%	13.26%	13.57%	13.88%	14.20%	14.51%
7	14.00%	14.36%	14.73%	15.09%	15.47%	15.83%	16.20%	16.56%	16.93%
8	16.00%	16.42%	16.83%	17.25%	17.68%	18.10%	18.51%	18.93%	19.34%
9	18.00%	18.47%	18.94%	19.40%	19.89%	20.36%	20.83%	21.29%	21.76%
10	20.00%	20.52%	21.04%	21.56%	22.10%	22.62%	23.14%	23.66%	24.18%
11	22.00%	22.57%	23.14%	23.72%	24.31%	24.88%	25.45%	26.03%	26.60%
12	24.00%	24.62%	25.25%	25.87%	26.52%	27.14%	27.77%	28.39%	29.02%
13	26.00%	26.68%	27.35%	28.03%	28.73%	29.41%	30.08%	30.76%	31.43%
14	28.00%	28.73%	29.46%	30.18%	30.94%	31.67%	32.40%	33.12%	33.85%
15	30.00%	30.78%	31.56%	32.34%	33.15%	33.93%	34.71%	35.49%	36.27%
16	32.00%	32.83%	33.66%	34.50%	35.36%	36.19%	37.02%	37.86%	38.69%
17	34.00%	34.88%	35.77%	36.65%	37.57%	38.45%	39.34%	40.22%	41.11%
18	36.00%	36.94%	37.87%	38.81%	39.78%	40.72%	41.65%	42.59%	43.52%
19	38.00%	38.99%	39.98%	40.96%	41.99%	42.98%	43.97%	44.95%	45.94%
20	40.00%	41.04%	42.08%	43.12%	44.20%	45.24%	46.28%	47.32%	48.36%
21	42.00%	43.09%	44.18%	45.28%	46.41%	47.50%	48.59%	49.69%	50.78%
22	44.00%	45.14%	46.29%	47.43%	48.62%	49.76%	50.91%	52.05%	53.20%
23	46.00%	47.20%	48.39%	49.59%	50.83%	52.03%	53.22%	54.42%	55.61%
24	48.00%	49.25%	50.50%	51.74%	53.04%	54.29%	55.54%	56.78%	58.03%
25	50.00%	51.30%	52.60%	53.90%	55.25%	56.55%	57.85%	59.15%	60.45%
26	52.00%	53.35%	54.70%	56.06%	57.46%	58.81%	60.16%	61.52%	62.87%
27	54.00%	55.40%	56.81%	58.21%	59.67%	61.07%	62.48%	63.88%	65.29%
28	56.00%	57.46%	58.91%	60.37%	61.88%	63.34%	64.79%	66.25%	67.70%
29	58.00%	59.51%	61.02%	62.52%	64.09%	65.60%	67.11%	68.61%	70.00%
30	60.00%	61.56%	63.12%	64.68%	66.30%	67.86%	69.42%	70.00%	70.00%
31	62.00%	63.61%	65.22%	66.84%	68.51%	70.00%	70.00%	70.00%	70.00%
32	64.00%	65.66%	67.33%	68.99%	70.00%	70.00%	70.00%	70.00%	70.00%
33	66.00%	67.72%	69.43%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%
34	68.00%	69.77%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%
35 or more	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX C – SUMMARY OF PLAN PROVISIONS

Non-Contract Table A-1: Retirement Benefit Multipliers

Credited Years Of Service	Age at Retirement										
	53	54	55	56	57	58	59	60	61	62	63+
5	5.2%	5.5%	5.9%	6.3%	6.7%	7.2%	7.8%	8.3%	8.9%	9.5%	10.1%
6	6.2%	6.6%	7.1%	7.5%	8.1%	8.7%	9.3%	10.0%	10.7%	11.4%	12.1%
7	7.2%	7.7%	8.2%	8.8%	9.4%	10.1%	10.9%	11.7%	12.4%	13.3%	14.1%
8	8.2%	8.8%	9.4%	10.1%	10.8%	11.6%	12.4%	13.3%	14.2%	15.1%	16.1%
9	9.3%	9.9%	10.6%	11.3%	12.1%	13.0%	14.0%	15.0%	16.0%	17.0%	18.1%
10	10.2%	11.0%	11.8%	12.6%	13.5%	14.4%	15.5%	16.7%	17.8%	18.9%	20.1%
11	11.2%	12.1%	12.9%	13.8%	14.8%	15.9%	17.1%	18.3%	19.5%	20.8%	22.2%
12	12.3%	13.2%	14.1%	15.1%	16.2%	17.3%	18.6%	20.0%	21.3%	22.7%	24.2%
13	13.3%	14.3%	15.3%	16.3%	17.5%	18.8%	20.2%	21.7%	23.1%	24.6%	26.2%
14	14.4%	15.4%	16.5%	17.6%	18.9%	20.2%	21.7%	23.3%	24.9%	26.5%	28.2%
15	15.4%	16.5%	17.6%	18.9%	20.2%	21.7%	23.3%	25.0%	26.7%	28.4%	30.2%
16	16.4%	17.6%	18.8%	20.1%	21.5%	23.1%	24.8%	26.7%	28.4%	30.3%	32.2%
17	17.5%	18.7%	20.0%	21.4%	22.9%	24.5%	26.4%	28.3%	30.2%	32.2%	34.3%
18	18.5%	19.8%	21.2%	22.6%	24.2%	26.0%	27.9%	30.0%	32.0%	34.1%	36.3%
19	19.6%	20.9%	22.3%	23.9%	25.6%	27.4%	29.5%	31.7%	33.8%	36.0%	38.3%
20	20.6%	22.0%	23.5%	25.2%	26.9%	28.9%	31.0%	33.3%	35.5%	37.9%	40.3%
21	21.6%	23.1%	24.7%	26.4%	28.3%	30.3%	32.6%	35.0%	37.3%	39.7%	42.3%
22	22.7%	24.2%	25.9%	27.7%	29.6%	31.8%	34.1%	36.7%	39.1%	41.6%	44.3%
23	23.7%	25.3%	27.0%	28.9%	31.0%	33.2%	35.7%	38.3%	40.9%	43.5%	46.3%
24	24.8%	26.4%	28.2%	30.2%	32.3%	34.6%	37.2%	40.0%	42.6%	45.4%	48.4%
25	25.8%	27.5%	29.4%	31.4%	33.7%	36.1%	38.8%	41.7%	44.4%	47.3%	50.4%
26	26.9%	28.6%	30.6%	32.7%	35.0%	37.5%	40.3%	43.3%	46.2%	49.2%	52.4%
27	27.9%	29.7%	31.7%	34.0%	36.4%	39.0%	41.9%	45.0%	48.0%	51.1%	54.4%
28	29.0%	30.9%	32.9%	35.2%	37.7%	40.4%	43.4%	46.7%	49.8%	52.0%	56.4%
29	30.0%	32.0%	34.1%	36.5%	39.1%	41.9%	45.0%	48.3%	50.0%	55.0%	58.4%
30	31.1%	33.1%	35.3%	37.7%	40.4%	43.4%	46.5%	50.0%	51.0%	55.5%	60.0%
31	32.1%	34.2%	36.5%	39.0%	41.7%	44.8%	48.1%	51.0%	51.5%	56.0%	60.0%
32	33.2%	35.3%	37.6%	40.2%	43.1%	46.2%	49.6%	51.5%	52.0%	56.5%	60.0%
33	34.3%	36.5%	38.8%	41.5%	44.4%	47.6%	50.0%	52.0%	52.5%	57.0%	60.0%
34	35.4%	37.6%	40.0%	42.8%	45.8%	49.1%	51.0%	52.5%	53.0%	57.5%	60.0%
35 or more	36.5%	38.7%	41.2%	44.0%	47.1%	50.0%	51.5%	53.0%	53.5%	58.0%	60.0%

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX C – SUMMARY OF PLAN PROVISIONS

Non-Contract Table A-2: Retirement Benefit Multipliers

Credited Years Of Service	Age at Retirement										
	53	54	55	56	57	58	59	60	61	62	63+
5	8.71%	9.33%	10.00%	10.26%	10.52%	10.78%	11.05%	11.31%	11.57%	11.83%	12.09%
6	10.45%	11.20%	12.00%	12.31%	12.62%	12.94%	13.26%	13.57%	13.88%	14.20%	14.51%
7	12.19%	13.06%	14.00%	14.36%	14.73%	15.09%	15.47%	15.83%	16.20%	16.56%	16.93%
8	13.94%	14.93%	16.00%	16.42%	16.83%	17.25%	17.68%	18.10%	18.51%	18.93%	19.34%
9	15.68%	16.79%	18.00%	18.47%	18.94%	19.40%	19.89%	20.36%	20.83%	21.29%	21.76%
10	17.42%	18.66%	20.00%	20.52%	21.04%	21.56%	22.10%	22.62%	23.14%	23.66%	24.18%
11	19.16%	20.53%	22.00%	22.57%	23.14%	23.72%	24.31%	24.88%	25.45%	26.03%	26.60%
12	20.90%	22.39%	24.00%	24.62%	25.25%	25.87%	26.52%	27.14%	27.77%	28.39%	29.02%
13	22.65%	24.26%	26.00%	26.68%	27.35%	28.03%	28.73%	29.41%	30.08%	30.76%	31.43%
14	24.39%	26.12%	28.00%	28.73%	29.46%	30.18%	30.94%	31.67%	32.40%	33.12%	33.85%
15	26.13%	27.99%	30.00%	30.78%	31.56%	32.34%	33.15%	33.93%	34.71%	35.49%	36.27%
16	27.87%	29.86%	32.00%	32.83%	33.66%	34.50%	35.36%	36.19%	37.02%	37.86%	38.69%
17	29.61%	31.72%	34.00%	34.88%	35.77%	36.65%	37.57%	38.45%	39.34%	40.22%	41.11%
18	31.36%	33.59%	36.00%	36.94%	37.87%	38.81%	39.78%	40.72%	41.65%	42.59%	43.52%
19	33.10%	35.45%	38.00%	38.99%	39.98%	40.96%	41.99%	42.98%	43.97%	44.95%	45.94%
20	34.84%	37.32%	40.00%	41.04%	42.08%	43.12%	44.20%	45.24%	46.28%	47.32%	48.36%
21	36.58%	39.19%	42.00%	43.09%	44.18%	45.28%	46.41%	47.50%	48.59%	49.69%	50.78%
22	38.32%	41.05%	44.00%	45.14%	46.29%	47.43%	48.62%	49.76%	50.91%	52.05%	53.20%
23	40.07%	42.92%	46.00%	47.20%	48.39%	49.59%	50.83%	52.03%	53.22%	54.42%	55.61%
24	41.81%	44.78%	48.00%	49.25%	50.50%	51.74%	53.04%	54.29%	55.54%	56.78%	58.03%
25	43.55%	46.65%	50.00%	51.30%	52.60%	53.90%	55.25%	56.55%	57.85%	59.15%	60.45%
26	45.29%	48.52%	52.00%	53.35%	54.70%	56.06%	57.46%	58.81%	60.16%	61.52%	62.87%
27	47.03%	50.38%	54.00%	55.40%	56.81%	58.21%	59.67%	61.07%	62.48%	63.88%	65.29%
28	48.78%	52.25%	56.00%	57.46%	58.91%	60.37%	61.88%	63.34%	64.79%	66.25%	67.70%
29	50.52%	54.11%	58.00%	59.51%	61.02%	62.52%	64.09%	65.60%	67.11%	68.61%	70.00%
30	52.26%	55.98%	60.00%	61.56%	63.12%	64.68%	66.30%	67.86%	69.42%	70.00%	70.00%
31	54.00%	57.85%	62.00%	63.61%	65.22%	66.84%	68.51%	70.00%	70.00%	70.00%	70.00%
32	55.74%	59.71%	64.00%	65.66%	67.33%	68.99%	70.00%	70.00%	70.00%	70.00%	70.00%
33	57.49%	61.58%	66.00%	67.72%	69.43%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%
34	59.23%	63.44%	68.00%	69.77%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%
35 or more	60.97%	65.31%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%	70.00%

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX C – SUMMARY OF PLAN PROVISIONS

Table B: Alternate Retirement Formula Multipliers

Credited Years Of Service	Percentage
10	20.1%
11	22.2%
12	24.2%
13	26.2%
14	28.2%
15	30.2%
16	32.2%
17	34.3%
18	36.3%
19	38.3%
20	40.3%
21	42.3%
22	44.3%
23	46.3%
24	48.4%
25	50.4%
26	52.4%
27	54.4%
28	56.4%
29	58.4%
30	60.4%
31	62.5%
32	64.5%
33	66.5%
34	68.5%
35 or more	70.5%

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX D – GLOSSARY

1. Actuarial Assumptions

Assumptions as to the occurrence of future events affecting pension costs such as mortality, withdrawal, disability, retirement, changes in compensation, and rates of investment return.

2. Actuarial Cost Method

A procedure for determining the actuarial present value of pension plan benefits and expenses and for developing an allocation of such value to each year of service, usually in the form of a normal cost and an Actuarial Liability.

3. Actuarial Gain (Loss)

The difference between actual experience and that expected based upon a set of actuarial assumptions during the period between two actuarial valuation dates, as determined in accordance with a particular actuarial cost method.

4. Actuarial Liability

The portion of the actuarial present value of projected benefits, which will not be paid by future normal costs. It represents the value of the past normal costs with interest to the valuation date.

5. Actuarial Present Value (Present Value)

The value as of a given date of a future amount or series of payments. The actuarial present value discounts the payments to the given date at the assumed investment return and includes the probability of the payment being made.

6. Actuarial Valuation

The determination, as of a specified date, of the normal cost, Actuarial Liability, Actuarial Value of Assets, and related actuarial present values for a pension plan.

7. Actuarial Value of Assets

The value of cash, investments, and other property belonging to a pension plan as used by the actuary for the purpose of an actuarial valuation. The purpose of an Actuarial Value of Assets is to smooth out fluctuations in market values.

8. Actuarially Equivalent

Of equal actuarial present value, determined as of a given date, with each value based on the same set of actuarial assumptions.

**RETIREMENT PLANS OF SAN DIEGO TRANSIT CORPORATION
ACTUARIAL VALUATION REPORT AS OF JULY 1, 2021**

APPENDIX D – GLOSSARY

9. Amortization Payment

The portion of the pension plan contribution that is designed to pay interest and principal on the Unfunded Actuarial Liability in order to pay for that liability in a given number of years.

10. Entry Age Normal Actuarial Cost Method

A method under which the actuarial present value of the projected benefits of each individual included in an actuarial valuation is allocated on a level basis over the earnings of the individual between entry age and assumed exit ages.

11. Funded Ratio

The ratio of the Actuarial Value of Assets to the Actuarial Liabilities.

12. Normal Cost

That portion of the actuarial present value of pension plan benefits and expenses, which is allocated to a valuation year by the actuarial cost method.

13. Projected Benefits

Those pension plan benefit amounts which are expected to be paid in the future under a particular set of actuarial assumptions, taking into account such items as increases in future compensation and service credits.

14. Unfunded Actuarial Liability

The excess of the Actuarial Liability over the Actuarial Value of Assets.



Classic Values, Innovative Advice

Actuarial Valuation Results as of July 1, 2021

February 10, 2022

Anne D. Harper, FSA, MAAA, EA
Alice I. Alsberghe, ASA, MAAA, EA

Today's Discussion



- Significant Developments
- Plan Cost for Fiscal Year 2022-2023 based on 2021 Actuarial Valuation
- Plan History
- Plan Projections

Assumption Changes



- Experience study covering the period from July 1, 2015, through June 30, 2020, was performed by Cheiron
- Changes to economic and demographic assumptions, based on the findings of the experience study, were adopted at the MTS Board of Directors Meeting in November 2021
- Overview of assumption changes:
 - Assumed rate of investment return was lowered from 6.75% to 6.00%, based on considerably lower future return expectations from investment consultants
 - Expected future mortality improvements decreased since prior study, still projected to improve just not as much

CARES Act Additional Funding



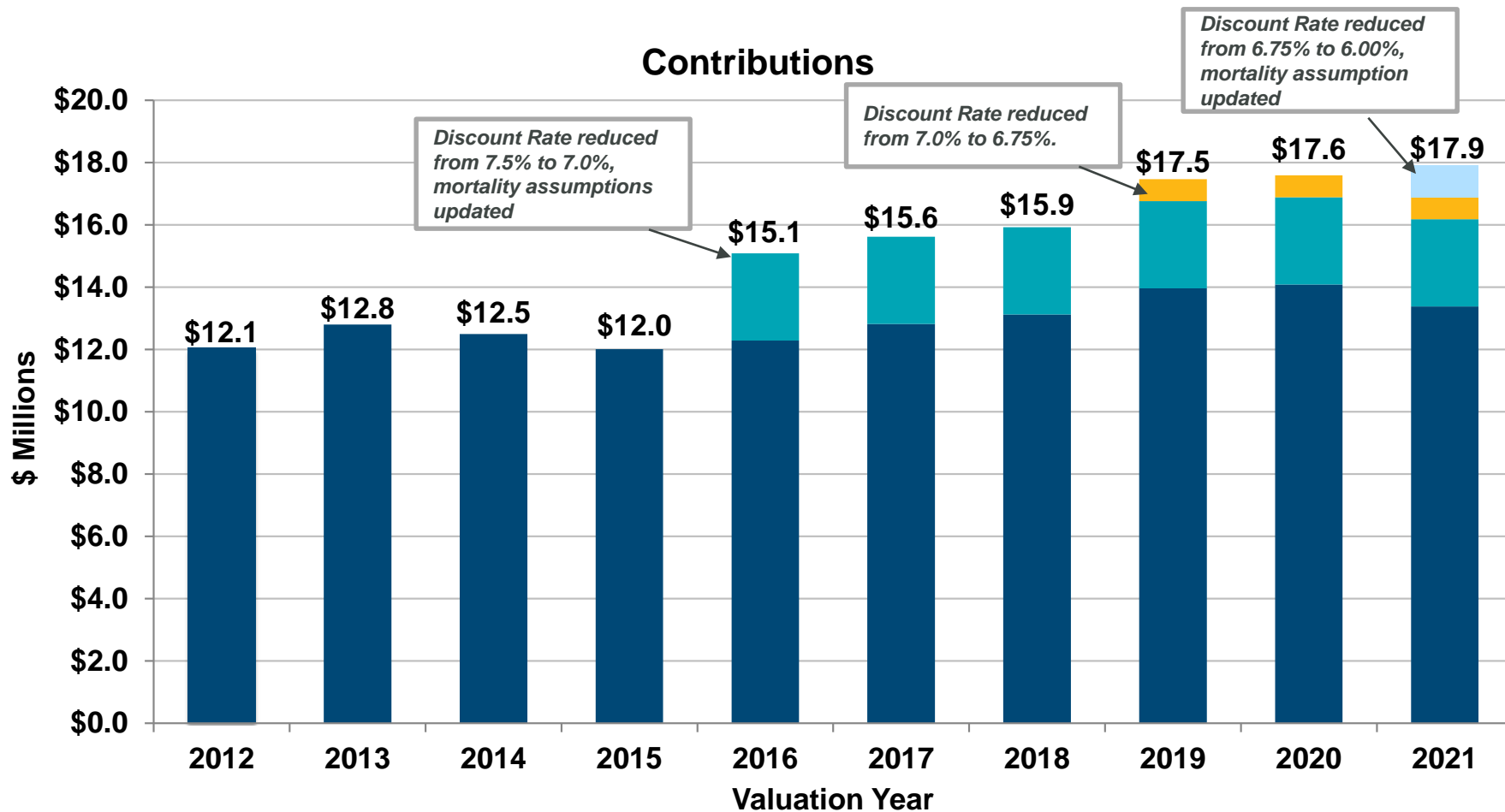
- Due to the pandemic impact on market returns for FYE 2020, the MTS Board authorized an additional \$7.8 million contribution to the Plan, funded by CARES Act
- Per Plan's funding policy, this additional contribution is treated as an actuarial gain to the Plan, amortized over a 15-year period
- Results in a decrease to Plan contributions of approximately \$843,000

Plan Cost – Changes

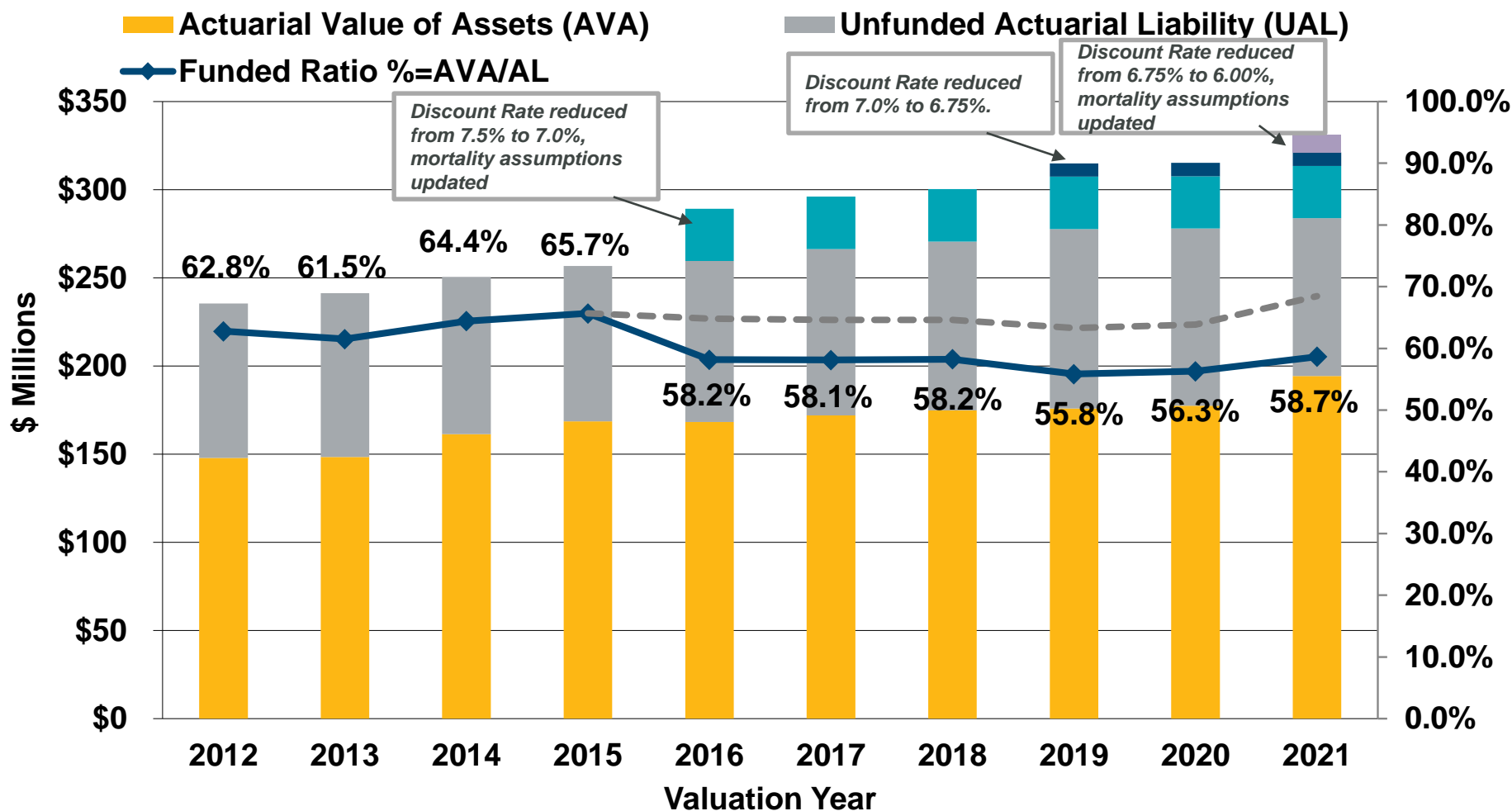


Total Contribution Reconciliation	
Fiscal Year 2021-2022	\$ 17,586,000
Experience Study assumption changes (MTS Board Approved)	1,017,000
CARES Act additional funding	(843,000)
Fewer benefits earned by active membership due to closed plan	(172,000)
Actuarial investment experience	(90,000)
Demographic, salary and COLA experience, and other miscellaneous factors	404,000
Fiscal Year 2022-2023	\$ 17,902,000

Plan History – Contributions

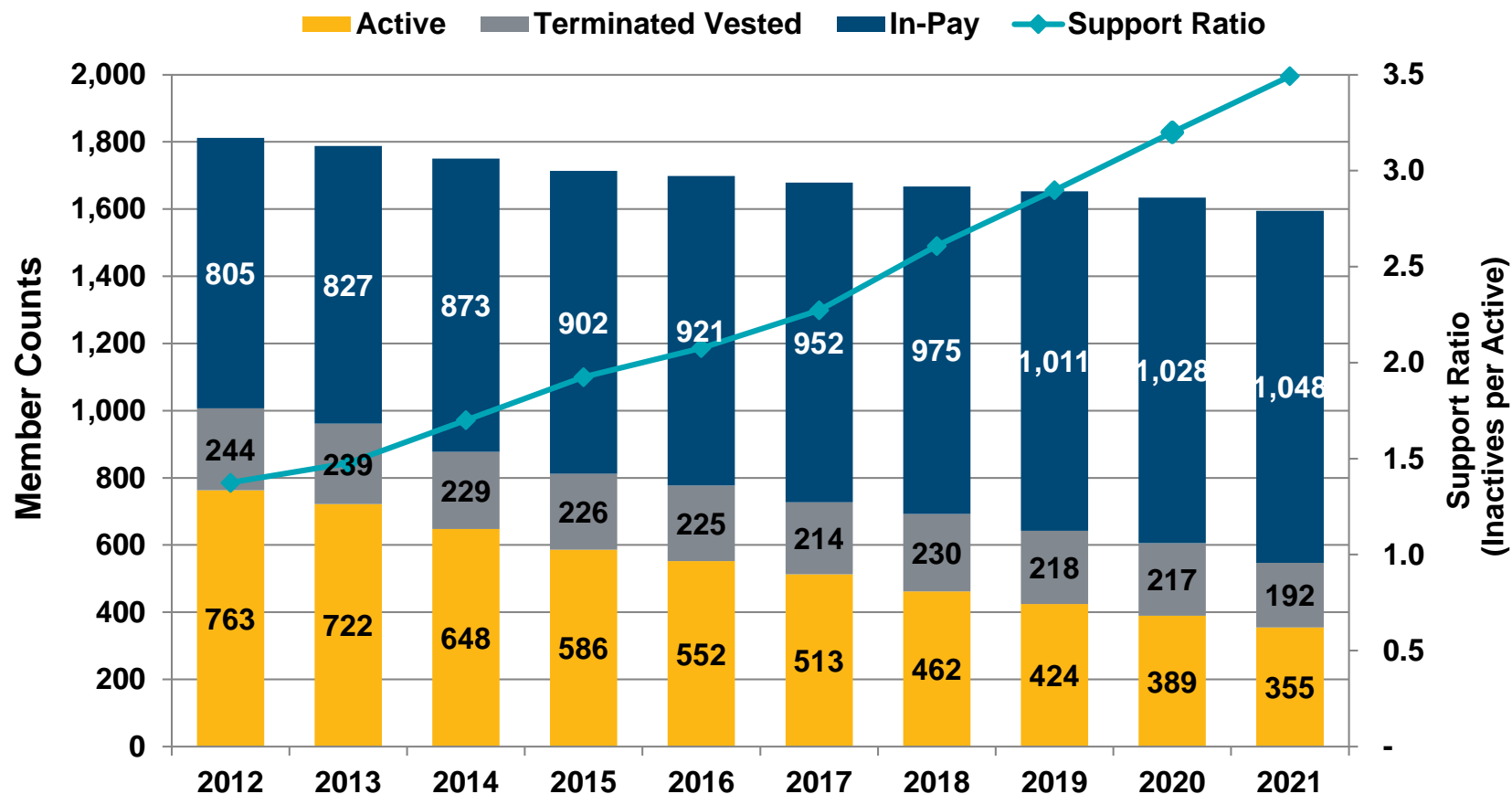


Plan History – Funding



Note: As of July 1, 2021, the Funded Ratio based on the Market Value of Assets is 61.7%.

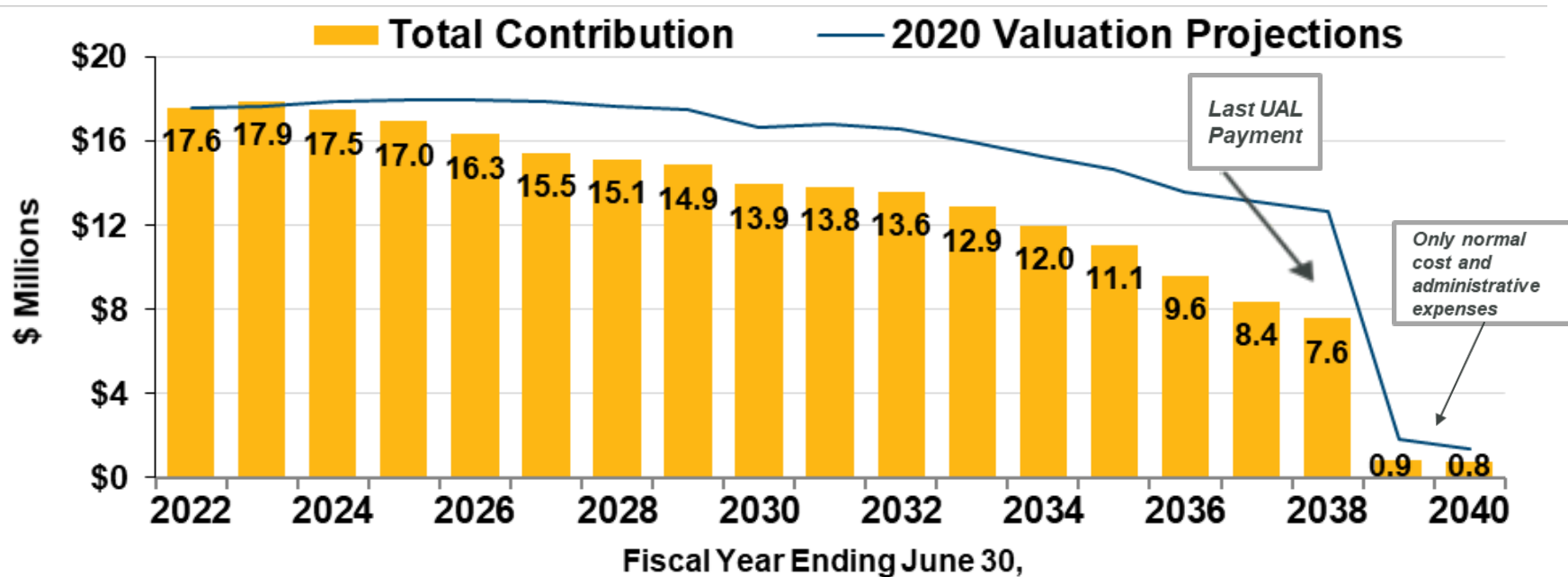
Membership & Support Ratio



Active	763	722	648	586	552	513	462	424	389	355
Term Vested	244	239	229	226	225	214	230	218	217	192
In-Pay	805	827	873	902	921	952	975	1,011	1,028	1,048
Total	1,812	1,788	1,750	1,714	1,698	1,679	1,667	1,653	1,634	1,595

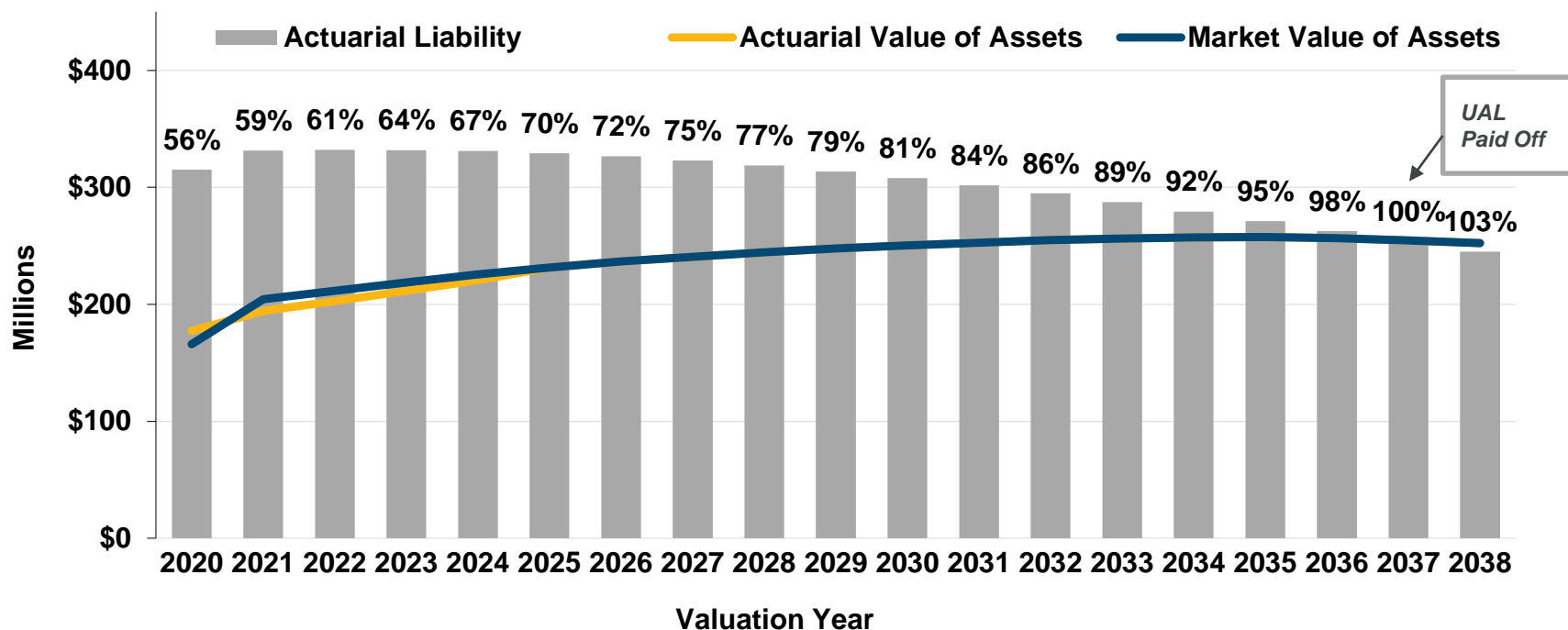
Total membership has decreased by 12.0% over the past decade.

Projected Total Contributions



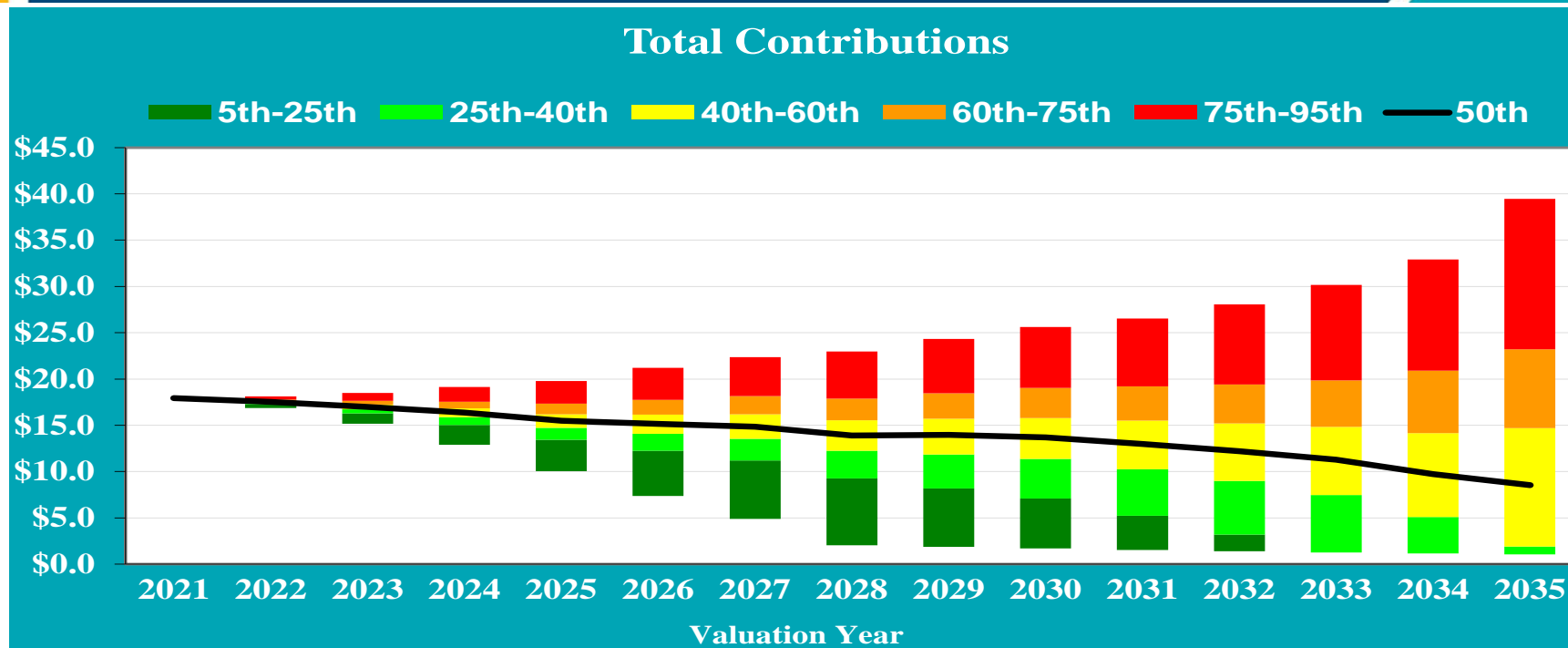
- Substantially lower projected contributions than 2020 valuation due to:
 - 20.7% asset return for FYE 2021
 - \$7.8 million in CARES additional contribution
- Total contribution is expected to decline:
 - As deferred asset gains are recognized over the next four years
 - As number of active members declines since Plan is closed to most new entrants

Projected Funded Ratio



- Funded ratio is expected to gradually increase over the projection period shown
- Plan is projected to be fully funded by 2037 valuation

Stochastic Projection of Contributions



Based on current SDTC funding and amortization policies; future actuarial investment gains or losses are amortized over a 15-year period but not to extend beyond the 2036 valuation

Valuation	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035
Actives	334	302	271	242	215	192	170	150	132	117	103	91	80	71	63
Inactives	1240	1216	1192	1166	1139	1111	1081	1051	1020	987	954	920	885	849	812
Total Members	1574	1518	1463	1408	1354	1303	1251	1201	1152	1104	1057	1011	965	920	875

Reliance



The purpose of this presentation is to discuss the July 1, 2021 actuarial valuation results for the Retirement Plans of San Diego Transit Corporation.

In preparing this presentation, we relied on information (some oral and some written) supplied by the plan administrator. This information includes, but is not limited to, the Plan provisions, employee data, and financial information. We performed an informal examination of the obvious characteristics of the data for reasonableness and consistency in accordance with Actuarial Standard of Practice No. 23.

Cheiron utilizes ProVal, an actuarial valuation application leased from Winklevoss Technologies (WinTech) to calculate liabilities and project benefit payments. We have relied on WinTech as the developer of ProVal. We have a basic understanding of ProVal and have used ProVal in accordance with its original intended purpose. We have not identified any material inconsistencies in assumptions or output of ProVal that would affect this valuation.

Deterministic projections in this presentation were developed using P-scan, a proprietary tool used to illustrate the impact of changes in assumptions, methods, plan provisions, or actual experience (particularly investment experience) on the future financial status of the System. P-scan uses standard roll-forward techniques that implicitly assume a stable active population.

Future results may differ significantly from the current results presented herein due to such factors as the following: plan experience differing from that anticipated by the assumptions; changes in assumptions; and changes in Plan provisions or applicable law. The future outcomes become increasingly uncertain over time, and therefore the general trends and not the absolute values should be considered in the review of these projections.

This presentation has been prepared in accordance with generally recognized and accepted actuarial principles and practices and our understanding of the Code of Professional Conduct and applicable Actuarial Standards of Practice set out by the Actuarial Standards Board as well as applicable law and regulations. Furthermore, as credentialed actuaries, we meet the Qualification Standards of the American Academy of Actuaries to render the opinion contained in this presentation. This presentation does not address any contractual or legal issues. We are not attorneys, and our firm does not provide any legal services or advice.

This presentation was prepared exclusively for the Retirement Board and MTS Board for the purposes described herein. Other users of this presentation are not intended users as defined in the Actuarial Standards of Practice, and Cheiron assumes no duty or liability to any other user.

Anne D. Harper, FSA, MAAA, EA
Principal Consulting Actuary

Alice I. Alsberghe, ASA, MAAA, EA
Consulting Actuary



Agenda Item No. 32

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

SUBJECT:

SOCIAL EQUITY LISTENING TOUR – CONTRACT AWARD (STACIE BISHOP)

RECOMMENDATION:

That the San Diego Metropolitan Transit System (MTS) Board of Directors authorize the Chief Executive Officer (CEO) to execute MTS Doc. No. G2529.0-22 (in substantially the same format as Attachment A) with Pueblo Planning, LLC (Pueblo Planning) for the purposes of a Social Equity Listening Tour for a one (1) year base period for \$186,275.00.

Budget Impact

The total budget for this project shall not exceed \$186,275.00. The project is funded by the Marketing Department Operations Budget 551010-571140.

DISCUSSION:

The Social Equity Listening Tour is a public engagement effort to:

- a. Understand community narratives around equity, public transit and MTS;
- b. Identify areas of concern for MTS audiences as it relates to equity at-large (housing, food access, medical care, etc.); and
- c. Identify top transportation system priorities for communities within MTS's service area.

Pueblo Planning will be responsible to collect 400 responses from the MTS service area, with a focus on communities of concern, through workshops, pop-up outreach events and surveying. Pueblo Planning will develop a comprehensive report on community narratives and findings to present back to MTS staff and the Board of Directors in approximately six months. MTS expects to allocate \$3 million of spending from the FY 2023 Capital Improvement Program (CIP) towards outcomes and recommendations from the Social Equity Listening Tour.



On August 3, 2021, MTS issued a Request for Proposals (RFP) for Social Equity Listening Tour. Eight (8) proposals were received by the due date of September 3, 2021 from the following:

#	Firm Name	Certifications
1	CRA Consultancy Group	Minority Business Enterprise (MBE), Woman Business Enterprise (WBE), Small Business (SB)
2	Cubizm, LLC	SB
3	Luzbulb Designs, Inc. dba Mercado & Co.	SB
4	McCormick-Busse Inc., dba MBI Media	Disadvantaged Business Enterprise (DBE), WB, SB
5	Method Campaign Services, LLC dba Method Campaigns	Disabled Veteran Business Enterprise (DVBE), SB
6	Pueblo Planning, LLC	N/A
7	Slalom, LLC	N/A
8	The Urban Collaborative Project	N/A

All eight proposals were deemed responsive and responsible and were evaluated by a committee comprised of representatives from the MTS Executive, Finance, Marketing and Planning departments. The proposals were evaluated on the following:

1. Qualifications, Related Experience, Staffing and References of Proposers	40%
2. Work Plan and Technical Approach	30%
3. Cost and Price Proposal	<u>30%</u>
Total	100%

The following table illustrates the initial total scores and ranking of each:

Proposer	TOTAL AVG TECH SCORE	TOTAL COST	TOTAL AVG COST SCORE	TOTAL AVG SCORE (TOTAL POSSIBLE: 100)	RANKING
MBI Media	56.0	\$99,817.89	27.0	83.0	1
Pueblo Planning	59.2	\$232,500.00	20.4	79.6	2
Method Campaign	50.2	\$288,700.00	19.2	69.4	3
Luzbulb	46.0	\$180,000.00	19.8	65.8	4
Cubizm	40.8	\$51,750.00	18.0	58.8	5
Slalom	49.0	\$428,000.00	6.0	55.0	6
The Urban Collaborative	32.4	\$21,230.75	14.4	46.8	7
CRA Consultancy	28.8	\$196,700.00	14.4	43.2	8

After the initial review, staff reached out to all eight (8) firms to provide an updated scope, timeline and complete a revised cost form. The evaluation committee also took this opportunity to ask firms for additional clarifications. Only seven (7) firms responded, Luzbulb did not move on to the next phase of the evaluation due to no response received. The evaluation committee re-evaluated the information provided.

The following table illustrates the second evaluation total scores and rankings:

Proposer	TOTAL AVG TECH SCORE	TOTAL COST	TOTAL AVG COST SCORE	TOTAL AVG SCORE (TOTAL POSSIBLE: 100)	RANKING
MBI Media	56.0	\$64,487.10	23.8	79.8	1
Pueblo Planning	59.2	\$189,675.00	19.8	79.0	2
Method Campaign	50.2	\$249,625.00	16.2	66.4	3
Cubizm	40.8	\$58,050.00	15.6	56.4	4
Slalom	49.0	\$387,820.00	6.6	55.6	5
CRA Consultancy	28.8	\$196,700.00	15.6	44.4	6
The Urban Collaborative	32.4	\$15,362.40	8.8	41.2	7

As a result of the second evaluations, two firms were determined to be within the competitive range (MBI and Pueblo Planning). MTS invited these two firms to participate in the interview process, which was held on January 19, 2022. Based on the information gained during the interviews, the evaluation committee met and rescored the proposals with the final scores and rankings reflected below:

Proposer	TOTAL AVG TECH SCORE	TOTAL COST	TOTAL AVG COST SCORE	TOTAL AVG SCORE TOTAL POSSIBLE: 100	RANKING
Pueblo Planning	63	\$189,675.00	19.8	82.8	1
MBI Media	56	\$64,487.10	23.8	79.8	2

Based on the final scores, Pueblo Planning was deemed as highest-ranked proposer. MTS identified items that required further discussions and requested for a Best and Final Offer (BAFO) from Pueblo Planning.

After negotiations and further clarifications, staff was able to reduce Pueblo Planning's proposal by \$3,400 (from \$189,675.00 to \$186,275).

Based on the objectives of this procurement, consideration of the evaluation criteria and Pueblo Planning's technical and cost proposals, the evaluation committee determined Pueblo Planning presented the best overall value to MTS.

Therefore, staff recommends that the MTS Board of Directors authorize the CEO to execute MTS Doc. No. G2529.0-22 with Pueblo Planning for the purposes of a Social Equity Listening Tour for a one (1) year base period for \$186,275.00.

/S/ Sharon Cooney

Sharon Cooney
Chief Executive Officer

Key Staff Contact: Julia Tuer, 619.557.4515, Julia.Tuer@sdmts.com

Attachments: A. Draft MTS Doc. No. G2529.0-22
B. Cost Proposal



Metropolitan Transit System

STANDARD AGREEMENT FOR MTS DOC. NO. G2529.0-22

THIS AGREEMENT is entered into this _____ day of _____, 2022 in the State of California by and between San Diego Metropolitan Transit System ("MTS"), a California public agency, and the following, hereinafter referred to as "Contractor":

Name: Pueblo Planning, LLC Address: 1345 Gregory Street
San Diego CA 92102
 Form of Business: S Corporation City State Zip
 (Corporation, Partnership, Sole Proprietor, etc.) Email: monique@puebloplanning.com
 Telephone: 619-602-3903

Authorized person to sign contracts	<u>Monique G. Lopez</u>	<u>Planning Director, Social Justice Planner</u>
	<u>Name</u>	<u>Title</u>

The Contractor agrees to provide services as specified in the conformed Scope of Work/Technical Specification (Exhibit A), Contractor's Cost/Pricing Form (Exhibit B), and in accordance with the Standard Agreement, including Standard Conditions (Exhibit C), Forms (Exhibit D), and Policy 44C Travel Guidelines for Contractors (Exhibit E).

The contract term is for up to (1) year effective February 21, 2022 through February 20, 2023.

Payment terms shall be net 30 days from invoice date. The total cost of this contract shall not exceed \$186,275.00 without the express written consent of MTS.

SAN DIEGO METROPOLITAN TRANSIT SYSTEM	PUEBLO PLANNING, LLC
By: _____ Sharon Cooney, Chief Executive Officer	By _____
Approved as to form:	
By: _____ Karen Landers, General Counsel	Title: _____



Exhibit B
Cost Form

Att.B, AI 32, 02/10/22

FIRM: PUEBLO PLANNING		TASKS	TASK 1		TASK 2		TASK 3		TOTAL (YEAR 1)	
			Develop Community Outreach/Engagement Plan		Coordinate & Implement Qualitative and Quantitative Info Gathering		Reporting			
CLASSIFICATION	NAME OF STAFF	LOADED HOURLY RATE	HOURS	AMOUNT	HOURS	AMOUNT	HOURS	AMOUNT	HOURS	AMOUNT
DIRECT LABOR:										
Social Justice Planner	Monique G. López	175.00	53	9,275.00	96	16,800.00	70	12,250.00	219	38,325
Relationship Cultivator	Araceli Medina	150.00	43	6,450.00	96	14,400.00	60	9,000.00	199	29,850
Design Justice Coordinator	J Ordaz	150.00	28	4,200.00	96	14,400.00	60	9,000.00	184	27,600
		0.00		0.00		0.00		0.00	0	0
		0.00		0.00		0.00		0.00	0	0
SUBTOTAL (LABOR)			124	19,925.00	288	45,600.00	190	30,250.00	602	95,775.00
OTHER DIRECT COSTS (ESTIMATED)*		UNIT COST	QTY	AMOUNT	QTY	AMOUNT	QTY	AMOUNT	QTY	AMOUNT
Language & Disability Justice		0.00	0	0.00	0	5,000.00	0	0.00	0.00	5,000.00
Non-Print Workshop/Pop-Up Materials (MTS will cover printing)		0.00	0	0.00	0	1,500.00	0	0.00	0	1,500.00
Community Stipends and Survey Incentives		0.00	0	0.00	0	11,000.00	0	0.00	0	11,000.00
4 CBO Stipends		0.00	0	8,000.00	0	32,000.00	0	8,000.00	0	48,000.00
		0.00	0	0.00	0	0.00	0	0.00	0	0.00
SUBTOTAL (ODCs)				8,000.00		49,500.00		8,000.00		65,500.00
TOTAL PRIME COST				27,925.00		95,100.00		38,250.00		161,275.00

CLASSIFICATION	NAME OF STAFF	LOADED HOURLY RATE	HOURS	AMOUNT	HOURS	AMOUNT	HOURS	AMOUNT	HOURS	AMOUNT
SUB-CONSULTANT 1- City Heights CDC										
DIRECT LABOR:										
Director of Policy & Planning	Randy Torres-Van Vleck	150.00	35	5,250.00	40	6,000.00	7	1,050.00	82	12,300
Transportation & Planning Manager	Haneen Mohamed	125.00	16	2,000.00	30	3,750.00	14	1,750.00	60	7,500
Community Engagement Coordinator	Jesse Ramirez	100.00	14	1,400.00	30	3,000.00	8	800.00	52	5,200
SUBTOTAL (LABOR)			65	8,650.00	100	12,750.00	29	3,600.00	194	25,000.00
OTHER DIRECT COSTS (ESTIMATED)*		UNIT COST	QTY	AMOUNT	QTY	AMOUNT	QTY	AMOUNT	QTY	AMOUNT
		0.00	0	0.00	0	0.00	0	0.00	0	0.00
		0.00	0	0.00	0	0.00	0	0.00	0	0.00
		0.00	0	0.00	0	0.00	0	0.00	0	0.00
		0.00	0	0.00	0	0.00	0	0.00	0	0.00
SUBTOTAL (ODCs)			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL SUB-CONSULTANT 1 COST				0.00		0.00		0.00		25,000.00

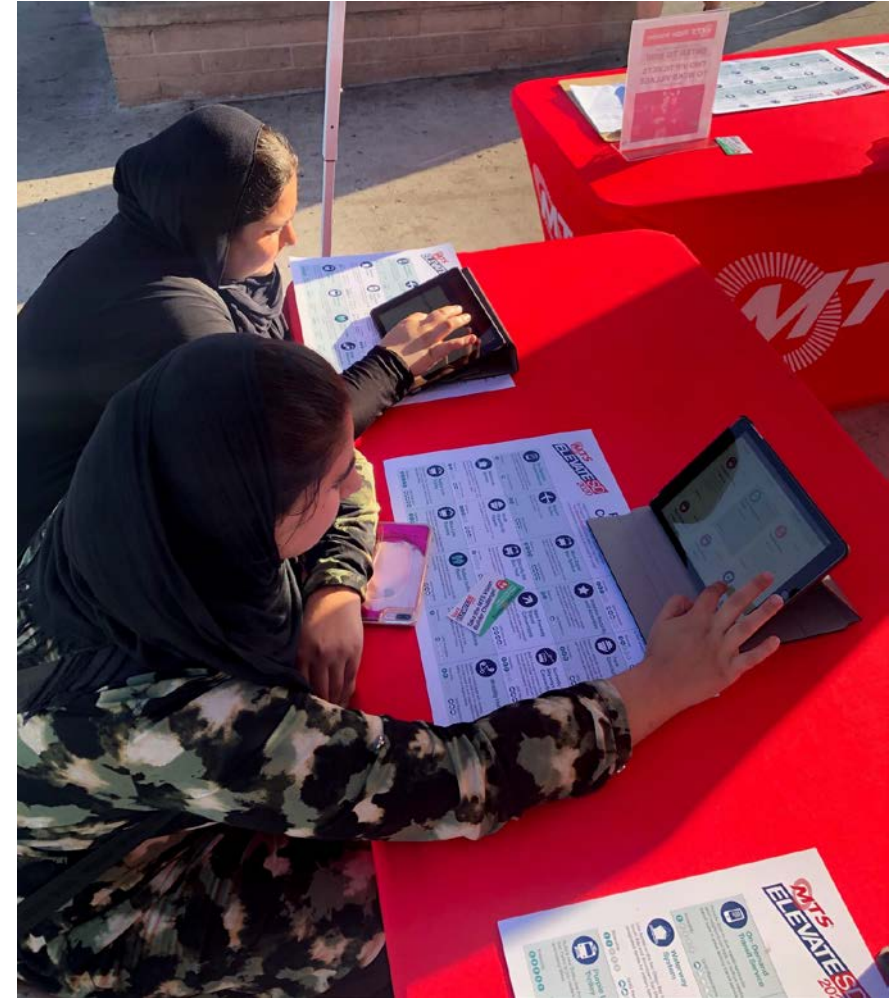
PROJECT COST (YEAR 1):								HOURS	AMOUNT
								796	186,275.00

Social Equity Listening Tour

Project Overview and Approval of Contract Award

MTS Board of Directors
February 10, 2022

Social Equity Listening Tour



Objectives & Priorities

Objectives:

- a) Understand community narratives around equity, public transit and MTS
- b) Identify areas of concern for MTS audiences as it relates to equity at-large (housing, food access, medical care, etc.); and
- c) Identify top transportation system priorities for communities within MTS's service area

Questions for Community Members:

- What are priorities on a smaller scale?
- What are pressing equity concerns within communities and service area as a whole?
- How do riders feel MTS is doing in regards to building and running and equitable system?

Project Concept Plan

- Work with a qualified vendor to conduct a public engagement project:
 - Demonstrated experience in working with communities of concern
 - Strategic and thoughtful approach to public engagement
- Responsible for plan development, implementation and reporting
 - Expected to be a 6 month process
- Collect a minimum of 400 participant responses through workshops and/or surveys throughout MTS service area
- MTS recommendation of \$3 million in FY 2023 Capital Improvement Program budget to findings that arise from this effort

Procurement Process

- On August 3, 2021 MTS issued a Request for Proposals (RFP) to solicit proposals from interested firms to work on a Social Equity Listening Tour
- On September 3, 2021 MTS received 8 proposals from potential firms
- An Evaluation committee consisting of representatives from the MTS Executive, Finance, Marketing and Planning departments met to review and score proposals.

Evaluation Criteria

- MTS used an evaluation scale system for rating each proposal against the evaluation factors below:

• Qualifications, Related Experience, Staffing and References of Proposers	40%
• Work Plan and Technical Approach	30%
• Cost and Price Proposal	30%
Total:	100%

Initial Review

Proposer	TOTAL AVG TECH SCORE	TOTAL COST	TOTAL AVG COST SCORE	TOTAL AVG SCORE (TOTAL POSSIBLE: 100)	RANKING
MBI Media	56.0	\$99,817.89	27.0	83.0	1
Pueblo Planning	59.2	\$232,500.00	20.4	79.6	2
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Luzbulb	46.0	\$180,000.00	19.8	65.8	4
Cubizm	40.8	\$51,750.00	18.0	58.8	5
Slalom	49.0	\$428,000.00	6.0	55.0	6
The Urban Collaborative	32.4	\$21,230.75	14.4	46.8	7
CRA Consultancy	28.8	\$196,700.00	14.4	43.2	8

Second Evaluation

As a result of the second evaluation and clarifications, scores were updated below.

Proposer	TOTAL AVG TECH SCORE	TOTAL COST	TOTAL AVG COST SCORE	TOTAL AVG SCORE (TOTAL POSSIBLE: 100)	RANKING
MBI Media	56.0	\$64,487.10	23.8	79.8	1
Pueblo Planning	59.2	\$189,675.00	19.8	79.0	2
Method Campaign	50.2	\$249,625.00	16.2	66.4	3
Cubizm	40.8	\$58,050.00	15.6	56.4	4
Slalom	49.0	\$387,820.00	6.6	55.6	5
CRA Consultancy	28.8	\$196,700.00	15.6	44.4	6
The Urban Collaborative	32.4	\$15,362.40	8.8	41.2	7

Interviews

- Based on the scores, the evaluation committee determined that MBI Media and Pueblo Planning are within the competitive range and were invited to participate in an interview.
- Interviews were held on January 19, 2022. After consideration of the information gained during the interviews, the evaluation committee rescored the proposals which resulted in the final scores below:

Proposer	TOTAL AVG TECH SCORE	TOTAL COST	TOTAL AVG COST SCORE	TOTAL AVG SCORE TOTAL POSSIBLE: 100	RANKING
Pueblo Planning	63	\$189,675.00	19.8	82.8	1
MBI Media	56	\$64,487.10	23.8	79.8	2

PUEBLO



**MONIQUE G.
LÓPEZ**

(they/he/she)

Social Justice Planner
& Ethnographic Artist



ARACELI MEDINA

(she/her/hers)

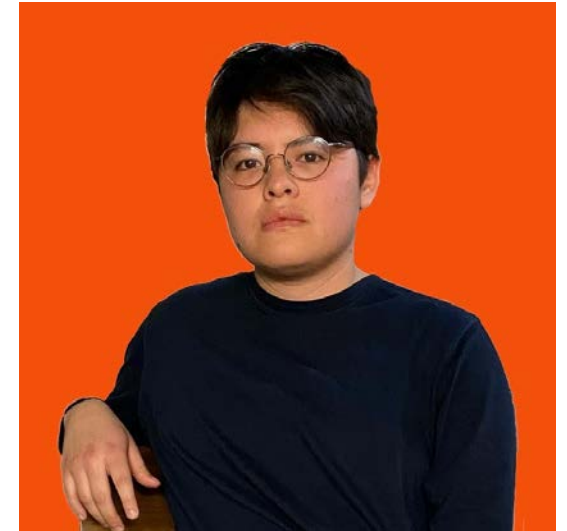
Relationship Cultivator



ADONIA LUGO

(she/her/hers)

Urban Anthropologist



J. ORDAZ

(they/them)

Design Justice
Coordinator

PUEBLO

Why Pueblo?

- a) Have substantial experience working with other public transportation agencies
- b) Clearly identified their thought process and considerations for priority communities
- c) Will be working with a panel of community based organizations
- d) Proposed a mix of engagement strategies
- e) Will provide both a narrative and an analytical summary



Staff Recommendation

That the MTS Board of Directors authorize the CEO to execute MTS Doc. No. G2529.0-22 with Pueblo Planning, LLC for the purposes of a Social Equity Listening Tour for a one (1) year base period for \$186,275.00.

Next Steps

1. Plan development
 - a) Identify CBO partners
 - b) Development of workshop content
 - c) Development of survey and engagement tools
 - d) Outreach plan
2. Conduct community outreach
3. Create reports
4. Report out findings and recommendations to staff and Board
5. MTS staff to work with department directors and staff on proposed project budgets and timelines
6. Present proposed CIP project list to Board for approval

IN - MEETING PUBLIC COMMENT

Tasha Williamson provided a live public comment for agenda item #32. Williamson's statement will be reflected in the minutes.

IN - MEETING PUBLIC COMMENT

Tripp provided a live public comment for agenda item #32. Tripp's statement will be reflected in the minutes.

IN - MEETING PUBLIC COMMENT

Indigo Curtis provided a live public comment for agenda item #32. Curtis's statement will be reflected in the minutes.

IN - MEETING PUBLIC COMMENT

Francine Maxwell provided a live public comment for agenda item #32. Maxwell's statement will be reflected in the minutes.

IN - MEETING PUBLIC COMMENT

Michelle provided a live public comment for agenda item #32. Michelle's statement will be reflected in the minutes.

IN - MEETING PUBLIC COMMENT

Malcolme provided a live public comment for agenda item #32. Malcolme's statement will be reflected in the minutes.

IN - MEETING PUBLIC COMMENT

Darwin Fisherman provided a live public comment for agenda item #32. Fisherman's statement will be reflected in the minutes.

IN - MEETING PUBLIC COMMENT

Heval provided a live public comment for agenda item #32. Heval's statement will be reflected in the minutes.



Agenda Item No. 45

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

SUBJECT:

MTS SAFETY PERFORMANCE ANNUAL REVIEW (DAVID BAGLEY AND JARED GARCIA)

INFORMATIONAL ONLY

Budget Impact

None.

DISCUSSION:

On July 19, 2018, the Federal Transit Administration (FTA) published Final Rule (49 CFR Part 673), which requires public transportation agencies who receive Federal funding to certify that it has established and implemented a comprehensive Public Transportation Agency Safety Plan (PTASP).

The MTS Board of Directors approved the Agency Safety Plan on July 30, 2020. 49 CFR Part 673 requires transit agencies to report annually to its Board of Directors on the status of the agency's PTASP, established performance targets and any modifications made to the plan in the preceding year. The Rail Safety Plan was revised in January 2022 to reflect the opening of the Mid-Coast Extension. All other aspects of the Agency Safety Plan remain unchanged.

Staff will provide a report at the Board meeting.

/S/ Sharon Cooney

Sharon Cooney
Chief Executive Officer

Key Staff Contact: Julia Tuer, 619.557.4515, Julia.Tuer@sdmts.com

Attachment: A. MTS Agency Safety Plan





Metropolitan Transit System

Agency Safety Plan

(Public Transportation Agency Plan pursuant to 49 CFR 673)

SAN DIEGO METROPLITAN TRANSIT SYSTEM
SAN DIEGO TROLLEY, INC.
SAN DIEGO TRANSIT CORP.





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**MTS Agency Safety Plan
Approvals**

The approvals for the 2020 MTS Agency Safety Plan are as follows:

I. Approval by the Accountable Executive for the MTS Agency:


Sharon Cooney
Chief Executive Officer
San Diego Metropolitan Transit System

7/30/20
Date

II. Approval by the MTS Board of Directors:


Nathan Fletcher
Chair of the Board of Directors
San Diego Metropolitan Transit System

7/30/20
Date

**MTS Agency Safety Plan
Overview**

On July 19, 2018, Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Final Rule (49 C.F.R. Part 673), which requires certain operators of public transportation systems that receive Federal financial assistance (49 U.S.C. § 5307) to develop a PTASP.

The PTASP Final Rule intends to improve public transportation safety by implementing an approach that provides an effective and proactive way to manage safety risks. Transit agencies must develop and implement safety plans that establish processes and procedures to the support the implementation of Safety Management System (SMS). SMS is a comprehensive, collaborative approach to managing safety and addressing safety risks.

Specifically, the PTASP Final Rule requires the following minimum standards to be included in safety plans: the identification, assessment, and mitigation of risks and strategies to minimize exposure to hazards, a safety training program, safety performance targets, and a process and timeline for conducting an annual review and update of the safety plan.

The following MTS Agency Safety Plan has been developed to comply with the PTASP Final Rule.

**MTS Agency Safety Plan
SMS Policy Statement**

The San Diego Metropolitan Transit System (MTS) has established this SMS Policy Statement to emphasize its overall commitment to the safety of our passengers, our operators, our staff and the general public. This SMS Policy Statement provides direction for MTS's safety program, which applies to every facet of MTS operations.

The management of safety is MTS's highest priority. MTS is committed to safety throughout the entire organization, from the Board of Directors to the front line employees.

MTS will ensure that all transit service delivery activities take place under a balanced allocation of organizational resources to achieve the highest level of safety performance and meeting established standards. MTS is committed to developing, implementing, maintaining, and constantly improving our processes. As evidence of our commitment to safety, every MTS policy shall be guided by and every employee shall perform their duties in furtherance of the following safety goals:

- Supporting safety through the provision of appropriate resources that fosters a safety culture;
- Integrating the management of safety among the primary responsibilities of all managers and employees;
- Clearly defining managers and employees' responsibilities in relation to the performance of our SMS;
- Conducting hazard identification and evaluating safety risks, which includes an employee safety reporting program, in order to eliminate or mitigate safety risks;
- Ensuring that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- Complying with, and wherever possible exceeding, legislative and regulatory requirements and standards;
- Ensuring that sufficiently skilled and trained employees are available to implement safety management processes;
- Ensuring that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are assigned only tasks for which they are adequately trained;
- Establishing and measuring our safety performance against realistic and data-driven safety performance indicators and safety performance targets;



- Continually improving our safety performance by ensuring appropriate safety management action is taken and is effective; and
- Ensuring externally supplied systems and services that support our operations are delivered to meet our safety performance standards.

Sharon Cooney
Chief Executive Officer
San Diego Metropolitan Transit System

Nathan Fletcher
Chair of Board of Directors
San Diego Metropolitan Transit System

7/30/2020

Date

7/30/2020

Date



MTS Agency Safety Plan Safety Responsibilities – Description

Each MTS employee is required to carry out specific safety responsibilities consistent with their position. Safety does not begin and end with MTS' front-line employees. All levels of management are accountable for the delivery of safe transit service and safe work environments. Employees must have a clear definition of their individual responsibilities relative to the Safety Management System (SMS). The information provided below describes the safety responsibilities of employees and the applicable reporting structure.

Position:	MTS Agency Safety Plan Designations:	Reports to:	SMS Responsibilities:
Board of Directors		General Public	Approves the SMS Policy Statement and Agency Safety Plan; Promotes the Safety Management Policy Objectives to External Stakeholders and the General Public; and Provides Overall Accountability of and Support to Chief Executive Officer for Addressing the Objectives of the SMS Policy.



Public Transportation Agency Plan

Att. A, AI 45, 2/10/22
Revision 0
July 2020

Position:	MTS Agency Safety Plan Designations:	Reports to:	SMS Responsibilities:
Chief Executive Officer	Board of Directors Designates the Chief Executive Officer as the Accountable Executive for the MTS Agency	Board of Directors	Develops and Upholds Safety Objectives; Ensures Safety Objectives are Prioritized in Budget Planning Process and Allocation of Resources; Directs the Capital and Financial Resources Needed to Maintain the Agency Safety Plan; Informs and Educates the Board of Directors on Implementation of Safety Objectives and Identification of Significant Safety Risks; Promotes the SMS Policy and a Positive Safety Culture throughout the Agency; and Retains the Ultimate Responsibility for the Performance of SMS and Approves the MTS Agency Safety Plan.
General Counsel		Chief Executive Officer; and Board of Directors	Advises and Recommends Actions to Reduce Legal Risks and Liabilities; and Oversees Risk, Workers' Compensation and Insurance.
Chief Operating Officer of Transit	Chief Executive Officer designates the Chief Operating Officer of Transit as the Accountable Executive for Transit	Chief Executive Officer	Manages Day to Day Operations and Maintenance for Transit; Directs the Implementation of SMS for Transit; Establishes SMS as a Core Value for Transit; and Evaluates the Performance of SMS for Transit.



Public Transportation Agency Plan

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Revision 0
July 2020

Position:	MTS Agency Safety Plan Designations:	Reports to:	SMS Responsibilities:
Chief Operating Officer of Trolley	Chief Executive Officer designates the Chief Operating Officer of Trolley as the Accountable Executive for Trolley	Chief Executive Officer	Manages Day to Day Operations and Maintenance for Trolley; Directs the Implementation of SMS for Trolley; Establishes SMS as a Core Value for Trolley; and Evaluates the Performance of SMS for Trolley.
Safety Manager of Bus	Chief Executive Officer designates the System Safety Manager of Bus as the Chief Safety Officer for Bus	Chief Operating Officer – Transit; and Chief Executive Officer as necessary	Coordinates Implementation and Operation of SMS for Bus.
Safety Manager of Trolley	Chief Executive Officer designates the Safety Manager of Trolley as the Chief Safety Officer for Trolley	Chief Operating Officer – Trolley; and Chief Executive Officer as necessary	Coordinates Implementation and Operation of SMS for Trolley.
Chief Financial Officer		Chief Executive Officer	Oversees Budgeting and Procurement of All Goods and Services Necessary for Implementation of Safety Objectives.
Director of Transit Enforcement/Security		Chief Executive Officer	Oversees Security and Law Enforcement Efforts In Preparation for and in Response to Safety and Security Incidents.
Director of Human Resources and Labor Relations		Chief Executive Officer	Oversees the Hiring and Employment of Qualified Employees that Demonstrate Safety Effectiveness.
Director of Capital Projects		Chief Executive Officer	Oversees Implementation of Design and Construction Projects to Address Identified Safety Action Items.



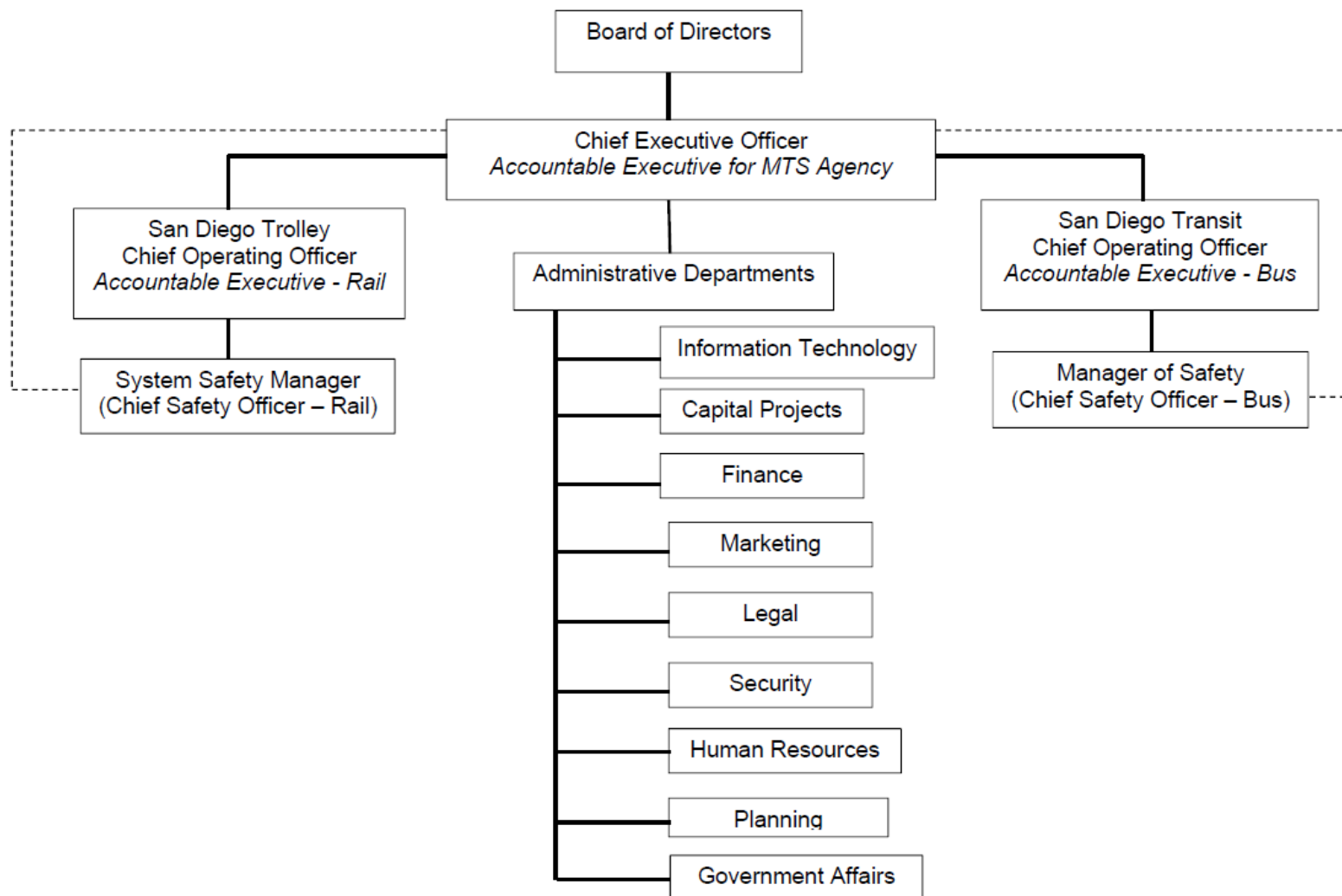
Public Transportation Agency Plan

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Revision 0
July 2020

Position:	MTS Agency Safety Plan Designations:	Reports to:	SMS Responsibilities:
Director of Marketing and Communications		Chief Executive Officer	Oversees the Communication and Distribution of Information Regarding Safety and Security Practices to the Agency and the Public.
Director of Planning		Chief Executive Officer	Oversees Internal Planning Efforts and Coordinates with External Stakeholders to Ensure Safety Concerns are Addressed in Design and Location of Facilities and Transit Amenities.
Manager of Government Affairs		Chief Executive Officer	Oversees the Legislative and Lobbying Efforts to Facilitate Identified Safety Goals.
Director of Information Technology		Chief Executive Officer	Oversees the Management of Technology and Computer Systems that Support SMS.
Environmental Health and Safety Specialist		Chief Operating Officer – Transit and Chief Operating Officer – Trolley, as applicable	Oversees Compliance with Environmental and Occupational Health and Safety Regulations.
Operations and Maintenance		Chief Operating Officer – Transit or Chief Operating Officer – Trolley, as applicable	Adheres to Policies and Procedures on Established Safety Goals, Responsibilities, and Objectives; and Reports Safety Hazards and Concerns to Management.
Administration		Applicable Management	Supports the Agency's Mission in Achieving a Safe Operating Environment; and Reports Safety Hazards and Concerns to Management.

Safety Responsibilities – Organization Chart

SAN DIEGO METROPOLITAN TRANSIT SYSTEM MTS AGENCY SAFETY PLAN (PTASP) ORGANIZATIONAL CHART



**MTS Agency Safety Plan
SMS Documentation and Records**

MTS's SMS is supported by further policies and procedures developed by the Departments responsible for the management of safety. MTS's Agency Safety Plan is organized by mode, which include bus and light rail service. Bus service is operated directly through the San Diego Transit Corporation (SDTC), as well as through contracts with private operators. Light rail service is operated directly through San Diego Trolley, Inc. (SDTI). The Bus Agency Safety Plan and Rail Agency Safety Plan comply with the objectives and goals of the SMS Policy Statement and are readily available and communicated throughout MTS. The following framework is documented within the Bus Safety Plan and the Rail Safety Plan:

I. Safety Management System (SMS) Policy

- Safety Performance Goals and Objectives
- Organizational Structure and the Specific Employee Responsibilities for Safety
- Employee Safety Reporting Program
- Coordination with both External Organizations and other Internal Departments to Manage Emergencies and other Public Safety Incidents

II. Safety Risk Management

- Safety Hazard Identification
- Safety Risk Assessment
- Safety Risk Mitigation

III. Safety Assurance

- Developing Safety Performance Targets
- Monitoring and Measuring Safety Performance
- Managing Changes In Operations
- Continuously Improving Processes

IV. Safety Promotion

- Communicating Safety Performance on Hazards and Safety Risks Relevant to an Employees' Roles and Responsibilities
- Establishing a Comprehensive Safety Training Program for MTS Employees and Contractors Directly Responsible for the Management of Safety

The Chief Executive Officer will annually review the MTS Agency Safety Plan and the corresponding Policies and Procedures implementing the SMS and update as necessary. The Board of Directors will approve the MTS Agency Safety Plan on an annual basis, if updates. The MTS Agency Safety Plan will be maintained for a minimum of three (3) years after approval.



Attachments

I. Rail Agency Safety Plan

II. Bus Agency Safety Plan

- San Diego Transit Corp. (SDTC) Safety Plan
- Private Contractor Transdev Safety Plan
- Private Contractor First Transit Safety Plan



San Diego Trolley, Inc.
1255 Imperial Avenue, Suite 900
San Diego, CA 92101-7492
(619) 595-4949 • FAX (619) 238-4182

January 21, 2022

Stephen Artus
Program and Project Supervisor
Rail Safety Division
California Public Utilities Commission
505 Van Ness Avenue
San Francisco, CA, 94102

Subject: Public Transportation Agency Safety Plan (Rail)

Dear Mr. Artus,

San Diego Trolley, Inc. (SDTI) has reviewed the San Diego Metropolitan Transit System (MTS) Public Transportation Agency Safety Plan (PTASP) in accordance with 49 CFR Part 673 and California Public Utilities Commission (CPUC) General Order 164-E - Section 3.1.

On January 20, 2022, SDMTS management staff met with Joey Bigornia, California Public Utilities Commission (CPUC), Rail Transit Safety Division representative to conduct a review of the PTASP; utilizing the checklist that was provided by the CPUC. The Safety Management Systems (SMS) Policy Statement and the safety management processes defined in the plan remain current and do not require modification at this time. Commission staff verified and concurred that the updates contained in the plan adequately addressed changes specific to the Mid-Coast Corridor Transit Extension Project, which began revenue service on November 21, 2021.

For further information regarding the PTASP, please feel free to contact David Bagley, System Safety Manager at (619) 595-4946.

Sincerely,

Sharon Cooney
Chief Executive Officer

cc: Wayne Terry, Chief Operating Officer - Rail
David Bagley, System Safety Manager - Rail
Fabeann Soberg, Assistant System Safety Manager - Rail
Daren Gilbert, Ainsley Kung, and Joey Bigornia, CPUC Rail Safety Division



**Metropolitan
Transit
System**

Rail Safety Plan

San Diego Trolley, Inc.

(Public Transportation Agency Plan pursuant to 49 CFR 673)





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1.0 SAFETY MANAGEMENT POLICY

POLICY STATEMENT

The San Diego Metropolitan Transit System (MTS) has established this Safety Management System Policy Statement to emphasize its overall commitment to the safety of its passengers, operators, staff, and the general public. This Safety Management System Policy Statement provides direction for MTS's safety program, which applies to every facet of MTS operations.

The management of safety is MTS's highest priority. MTS is committed to safety throughout the entire organization, from the Board of Directors to the frontline employees. MTS will ensure that all transit service delivery activities take place under a balanced allocation of organizational resources to achieve the highest level of safety performance and meeting established standards. MTS is committed to developing, implementing, maintaining, and constantly improving its processes.

As evidence of MTS's commitment to safety, every MTS policy shall be guided by and every employee shall perform their duties in furtherance of the following safety goals and objectives:

1. Supporting safety through the provision of appropriate resources that fosters a safety culture;
2. Integrating the management of safety among the primary responsibilities of all managers and employees;
3. Clearly defining managers' and employees' responsibilities in relation to the performance of MTS's safety management system;
4. Conducting hazard identification and evaluating safety risks, which includes an employee safety reporting program, in order to eliminate or mitigate safety risks;
5. Ensuring that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
6. Complying with, and wherever possible exceeding, legislative and regulatory requirements and standards;
7. Ensuring that sufficiently skilled and trained employees are available to implement safety management processes;
8. Ensuring that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are assigned only tasks for which they are adequately trained;
9. Establishing and measuring MTS's safety performance against realistic and data-driven safety performance indicators and safety performance targets;



10. Continually improving MTS's safety performance by ensuring appropriate safety management action is taken and is effective; and
11. Ensuring externally supplied systems and services that support MTS's operations are delivered to meet its safety performance standards.




Chief Executive Officer, MTS

Date: 7/30/20



Chairperson of MTS Board of Directors

Date: 7/30/20



Chief Operations Officer, MTS Rail

Date: 7/30/20

1.1 AUTHORITY, PURPOSE, GOALS AND OBJECTIVES

MTS is a California transit district that operates multiple modes of transit: light rail transit (Rail) and fixed route/ADA complementary paratransit bus operations (Transit). The agency has three major divisions: Administration, Rail¹ and Transit. The MTS Chief Executive Officer (CEO) is responsible for managing all aspects of the agency, with direction from the Board of Directors. Because of the distinct differences in operations, MTS has prepared a Safety Plan for each individual division: Rail and Transit. This is MTS's Rail Agency Safety Plan.

San Diego Trolley, Inc. (SDTI) is a wholly owned subsidiary of San Diego Metropolitan Transit System (MTS), with administrative offices located at 1255 Imperial Avenue, Suite 1000, San Diego California 92101. The SDTI System Safety Manager, reporting directly to the Chief Operating Officer-Rail (COO-Rail) and the CEO as necessary, is empowered to develop and administer a comprehensive Public Transportation Agency Safety Plan (ASP) for rail transportation within San Diego Trolley, Inc. (SDTI). It is the duty of all employees to cooperate with, and provide information to, the System Safety Manager with respect to safety-related matters. All employees and any outside contractor agencies or organizations working on SDTI property must fully comply with the orders set forth in the ASP. The program applies to:

- Design, construction, inspection, testing, start-up, operation, and maintenance activities that affect the SDTI system
- Fixed facilities, vehicles, and system equipment

The MTS Board of Directors has designated the CEO as the Accountable Executive for the MTS Agency. The CEO designated the COO-Rail as the Accountable Executive for Rail. The Accountable Executive for Rail is responsible for the following:

- Approving the ASP and any updates
- Implementing and maintaining the Safety Management System (SMS)
- Making decisions over the human and capital resources needed to develop and maintain the SDTI's Transit Asset Management Plan
- Having the ability to make budgetary, operational and capital program decisions to address safety and asset management concerns
- Relying on outputs of SMS processes and activities to ensure that SDTI's strategic planning is informed and transparent with regard to the role of safety in decision-making
- Ensuring that action is taken to address substandard performance in the agency's SMS

The Accountable Executive the MTS Agency (CEO) has designated the System Safety Manager as the Chief Safety Officer (CSO). The System Safety Manager is an adequately trained individual with responsibility for safety who reports directly to the Accountable Executive (COO-Rail). The System Safety Manager is responsible for day-to-day implementation and operation of the agency's SMS and does not serve in other operational or maintenance capacities.

¹ Historically, the Rail division was run by a separate entity, San Diego Trolley, Inc. (SDTI). SDTI is a wholly-owned subsidiary of MTS. While some operations continue under the SDTI entity (e.g. legacy property ownership or agreements), in practical terms it is operated as the Rail division of MTS.

SDTI supports the development and growth of its internal SMS processes. To this end, SDTI conducted a gap analysis of the agency's SMS activities (April 2017). This analysis has been instrumental in implementing SMS throughout SDTI.

This ASP has been developed in accordance with Safety Management System principles, as defined by the FTA. It has been prepared in accordance with guidelines established by the American Public Transportation Association Rail Transit Safety Management System Guide (2016), the Federal Transit Administration (FTA) Moving Ahead for Progress in the 21st Century Act (2012), the FTA requirements for Agency Safety Plans under 49 Code of Federal Regulations (CFR) Part 673 and the California Public Utilities Commission (CPUC) General Order 164-E (2018). The CPUC is designated as the State Safety Oversight Agency (SSOA) and must review and approve the MTS Agency Safety Plan. The CPUC's SSOA Program was approved and certified by the FTA in accordance with the requirements of Federal Public Transportation Safety Law 49 U.S.C 5329 (e) and FTA's SSO regulation 49 CFR Part 674 on October 23, 2018.

This plan has also been prepared in a manner prescribed by the State of California Occupational Safety and Health Administration (Cal/OSHA) and mandated by California Labor Code (Section 6401.7).

The System Safety Manager administers the ASP on a day-to-day basis with specific tasks monitored by appropriate management personnel. All SDTI, MTS, and SANDAG project-implementation staffs are, as applicable, responsible for undertaking the relevant safety efforts described in this plan.

1.1.1 Purpose and Scope

The ASP provides a formal and documented plan wherein safety goals, objectives, responsibilities, and procedures are established and monitored to ensure compliance with state and federal regulatory requirements, as well as to ensure the agency observes industry best practices in all areas of the operation.

The ASP encompasses all rail system elements of SDTI, including employees, contractors, and relationships with external agencies. All departments involved in safety tasks should have a clear definition of their individual responsibilities relative to the SMS. The relationship of the safety unit to operations should be clearly defined.

SDTI has established safety as a core value, where top management are tasked with overseeing the establishment of organizational factors necessary to achieve improved safety and to lead others in the effective implementation of SMS principles within SDTI.

The FTA's definition of SMS is the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices and policies for managing risks and hazards.

The purpose of the SDTI SMS is to provide a comprehensive, collaborative approach that brings management and labor together to build a safety program.

SMS builds upon SDTI's existing safety programs to provide the means to accomplish the following:

- Control safety risk better
- Detect and correct safety problems earlier
- Share and analyze safety data more effectively
- Measure safety performance more carefully

There are four components to SDTI's Safety Management System:

1. Safety Management Policy
2. Safety Risk Management
3. Safety Assurance
4. Safety Promotion

1.1.2 Goals

The overall goal of the SDTI Safety Management System is to experience continuous improvement in safety performance. To accomplish this, SDTI will identify, eliminate, minimize and/or control safety hazards and their attendant operational risks by establishing control requirements, lines of authority, and levels of responsibility and methods of documentation for the organization. Safety is SDTI's top priority in alignment with SDTI's mission. Top management's role is to ensure that these safety goals and safety policies are implemented within SDTI.

It is the goal of SDTI's ASP to ensure that all employees, patrons, and the public are provided the safest environment possible while on the SDTI system and within its facilities. Additionally, SDTI through the ASP:

- promotes the philosophy of safety to all employees, patrons, and contract personnel
- provides a method of implementing goals and objectives relating to safety
- provides a method for recommending appropriate corrective action to mitigate potential hazards and maintain oversight to ensure safety remains at the optimum level
- promotes and maintains safety and training programs mandated by federal and state regulatory agencies and required to implement the SMS
- maximizes the safety of future operations by affecting the design and procurement processes

1.1.3 Objectives

The ASP objectives provide a mechanism to ensure the ASP goals are attainable, provide a method of measuring the safety program effectiveness and support the goal of continuous improvement in safety performance. The ASP objectives are:

1. Safety shall be the first consideration during SDTI involvement in system design, construction, and operation

2. Safety hazards are identified and either eliminated, mitigated or controlled throughout the life cycle of the system
3. Verify that all aspects of the operation adhere to SDTI safety policies and procedures, and state and federal regulatory requirements
4. Meet or exceed industry safety requirements in rail operations and maintenance
5. Meet or exceed SDTI performance targets for safety and state of good repair
6. Investigate all major accidents / incidents by identifying and documenting primary causes, contributing factors, and implementing corrective action to prevent a recurrence, and verifying implementation through configuration management procedures
7. Evaluate the implications of all proposed modifications prior to implementation as they relate to safety
8. Maintain association with federal, state, and local agencies to obtain safety-related agreement permits, and approvals where applicable

1.1.4 Policies

The following policies are set forth to attain the ASP objectives:

- All phases of construction activity under SDTI's influence require the highest safety standards and practices for major public works projects. The public shall not be exposed to extraordinary safety hazards.
- Operational systems shall meet all safety-related codes and regulations issued by appropriate federal, state, and local authorities.
- Health and safety provisions for SDTI passengers and personnel shall be equal to, or exceed those required by federal, state, and local regulatory authorities.
- Goals and objectives shall be considered throughout all phases of the operation and maintenance of the SDTI system.
- Annual internal safety audits shall be conducted to ensure compliance with the ASP. Recommendations shall be implemented following configuration management procedures.
- Department Superintendents and Managers shall ensure distribution of the ASP to all personnel directly responsible for meeting its goals, carrying out its objectives, and enforcing its policies.

1.2 SAFETY ACCOUNTABILITIES AND RESPONSIBILITIES

1.2.1 System Description

1.2.1.1 History

The Metropolitan Transit Development Board (MTDB), created by state law (Mills, SB 101) in 1975, was empowered to design, engineer, and build fixed-guideway facilities within San Diego County. MTDB created the SDTI in August 1980 as a wholly owned subsidiary responsible for operation and maintenance of the LRT system.

Effective January 1, 2003, SB 1703, the San Diego Regional Transportation Consolidation Act, directed consolidation of two main functions among SANDAG, MTDB (San Diego Metropolitan Transit System) and the North County Transit District (NCTD): (1) planning and programming, and (2) engineering and construction. Planning, design, and construction of the LRT system is coordinated with SDTI management and in compliance with the MTS LRT design criteria. SANDAG engineering staff administers regional construction contracts for, and under the direction of, the MTS Board and executive staff. MTS contractors and MTS staff administers local and minor improvement projects.

1.2.1.2 Scope of Services

The SDTI system spans 65 track miles in length and is serviced by the Blue Line, the Orange Line, the Green Line, and the Silver Line.

BLUE LINE

Revenue service began on the Blue Line on July 26, 1981. The Blue Line extends 30 miles from the San Ysidro station at the International Border to University Town Center. Of the total 30 miles, 1.4 miles (C Street & India to 12th & Imperial) are operated on city streets; and 14 miles (12th & Imperial to San Ysidro) are operated on semi-exclusive right-of-way. The Blue Line comprises 32 stations, sharing six stations with the Orange and Silver Lines downtown and five with the Green Line. The Blue Line operates through four jurisdictions: the cities of San Diego, National City, Chula Vista and an unincorporated area of San Diego County.

ORANGE LINE

Revenue service on the first phase of the Orange Line from Imperial Transfer to the Euclid Station began on March 23, 1986. The line was extended to El Cajon in 1989 and to Santee in 1995. In April 2018, the both Orange Line terminals were changed. The Orange Line currently extends 17.7 miles from the Courthouse Station in downtown San Diego (via the C St. corridor and downtown San Diego) to Arnele Avenue Station in El Cajon. Of the total 17.7 miles, 3.1 miles (C Street & India to Commercial & 32nd) are operated on the city streets; and 14.6 miles are operated on semi-exclusive right-of-way from 32nd and Commercial to Arnele Avenue. The Orange Line is comprised of 19 stations, sharing five with the Blue and Silver Lines downtown and five with the Green Line (one in downtown and four in East County). The Orange Line operates through four jurisdictions: the cities of San Diego, Lemon Grove, La Mesa and El Cajon.

GREEN LINE

Revenue service began on the Green Line on July 10, 2005. The Green Line extends 23.8 miles from the 12th & Imperial along the bayside to Old Town Transit Center through Mission Valley to Santee Town Center, including a 0.7-mile subway tunnel under San Diego State University (SDSU). The Green Line is comprised of twenty-seven stations, sharing five with the Orange Line (two in downtown and three in East County), one with the Blue Line downtown, and four with the Silver Line downtown. The Green line operates through four jurisdictions: the cities of San Diego, La Mesa, El Cajon and Santee.



Figure 1: SDTI System Map

SILVER LINE

Revenue service on the Silver Line began in August 2011. The Silver Line is a 2.7-mile loop in downtown San Diego along Harbor Drive, C Street, and Park Blvd, completing its loop at 12th & Imperial, and is host to restored 1940's era Presidential Conference Committee (PCC) streetcars. The Silver Line is comprised of nine stations, sharing six with both the Blue and Orange Lines, and three with the Green Line.



Figure 2: Silver Line Map

1.2.1.3 Rail Fixed Guideway

Trains operate on-site in segments of the system that do not have automatic block signals and are primarily in non-exclusive right-of-way. Maximum speeds vary between 25mph (in the downtown area) to 55mph. Trains are governed by automatic block signaling (ABS) on semi exclusive right-of-way. The ABS system consists of a series of consecutive blocks of defined track limits equipped with interlocked wayside signal circuits that monitor the status and control movements of key elements of the signaling system and ensure the safe movement of light rail and freight trains.

1.2.1.4 Traction Power Substations

SDTI trains are electrically propelled using high-voltage DC power, which is fed via an overhead catenary system (OCS) from traction power substations located along the right-of-way. Isolated OCS sections can be de-energized by opening appropriate circuit breakers in the substations or via pole-mounted sectionalizing switches. SDTI utilizes seventy (70) substation locations throughout the system. These substations are equipped with a rotating blue trouble light that indicates a malfunction associated with the substation. When observed, a Train Operator reports the trouble light to the Operations Control Center, Line Supervisor, or

maintenance crew. Only trained and qualified employees (including Line Supervisors) may remove power in emergencies.

1.2.1.5 Overhead Contact System

A power distribution system known as an Overhead Contact System (OCS) provides electrical power to the LRVs. The minimum contact wire height above the top of the rail in areas of light rail vehicle usage is nineteen feet, except in exclusive and semi exclusive right-of-way. The CPUC granted an exemption to General Order 95 (Overhead Electric Line Construction) and allowed the minimum contact wire height above the top of the joint-usage track rail reduced to 22 feet. The contact wire profile is as low as 14 feet Gillespie Field and Lindbergh Field Airport glide paths; Grape, Hawthorn, and 70th Streets; Morena Boulevard; and San Diego State University tunnels). Segments of track throughout the downtown area (C Street, Park Boulevard, Commercial Street, Harbor Drive and in the Yard) have fixed-termination OCS where operating speeds are lower. In all other areas of the right-of-way, a constant-tension catenary system allows for higher operating speeds.

1.2.1.6 Stations

SDTI has sixty-two barrier-free passenger stations that provide circulation between street, bus/auto connections, and platform/track areas. There are fifty-one stations outside the "Centre City" zone shown on MTS System map. Many stations outside the Centre City zone have adjacent parking, pick-up/drop-off zones, and bus pull-in areas to accommodate patrons. All stations are equipped with a public address system to notify patrons of service changes. Key stations are equipped with changeable message signs that display the same information, which broadcasts over the public address system.

1.2.1.7 Light Rail Vehicles

The SDTI fleet currently consists of Light Rail Vehicles (LRVs) manufactured by the Siemens Corporation and Presidential Conference Committee cars (PCC) manufactured by the St. Louis Car Company (reference Figure 3: SDTI Fleet). LRVs have an articulated center and operating cabs on each end. There is no access between LRVs when coupled. Safety features include a fire extinguisher, a mobile radio equipped with a silent alarm button mounted in each operating cab, a fail-safe system to prevent movement of the train in the event doors are not fully closed, and an onboard CCTV system. A Train Operator (T/O), who performs all operational functions, controls trains manually.

Model:	U2	SD-100	SD-7	SD-8	SD-9	PCC
Fleet Size:	01	39	11	65	45	02
Length:	80 feet	80 feet	90 feet	80 feet	80 feet	45 feet
Weight:	40 tons	40 tons	48 tons	40 tons	40 tons	25 tons
Max Speed:	50 mph	55 mph	55 mph	55 mph	55 mph	25 mph

Figure 3: SDTI Fleet

1.3 ORGANIZATIONAL STRUCTURE

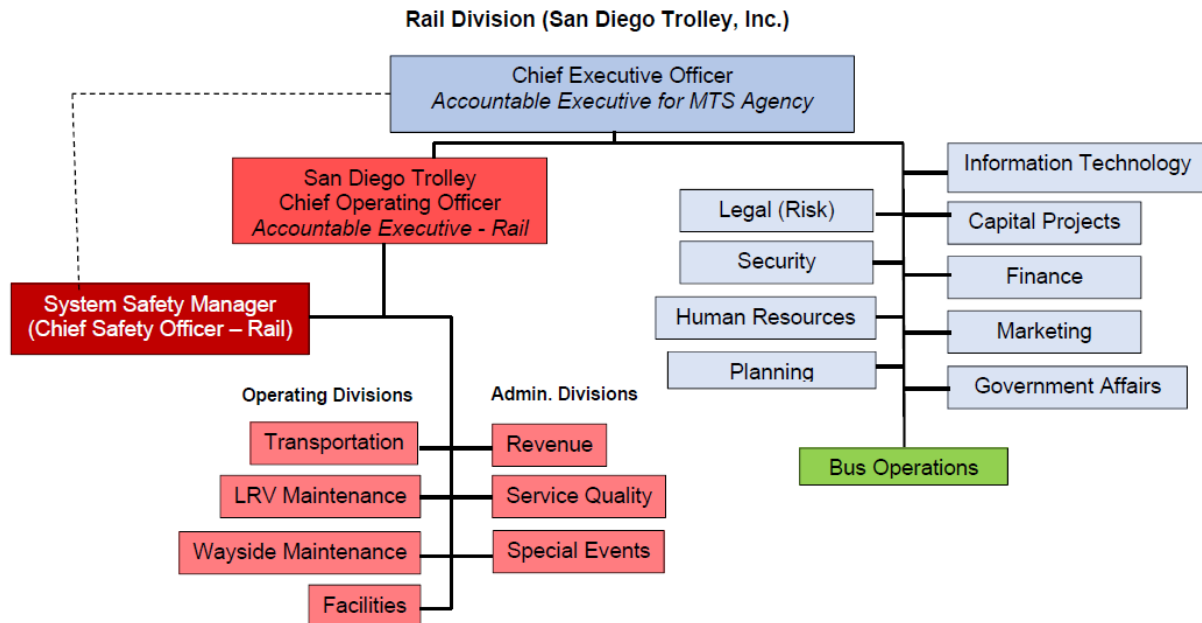


Figure 4: Organization Chart for MTS Rail Transit Operations

MTS has three (3) major divisions: Administration, Rail and Transit. The MTS CEO is responsible for managing all aspects of the agency, with direction from the Board of Directors. The CEO has designated the COO-Rail to manage Rail operations.

The COO-Rail reports to the MTS CEO. For the Rail division, administrative and operational functions consist of departments directed by the COO-Rail. The administrative functions are responsible for the daily management of system-support requirements provided by the Facilities, Revenue (fare vending machine maintenance and collection/processing), Engineering, Purchasing, Stores, Claims Administration, and Accounting Departments. The operational functions consist of the Transportation, Light Rail Vehicle (LRV) Maintenance, and Wayside Departments. The Superintendents of these sub departments are responsible for establishing and implementing the ASP safety requirements.

1.3.1 Board of Directors

The Board of Directors is responsible for setting policy for SDTI. They are required to approve the ASP initial document and all updates. The Board of Directors receives periodic safety briefings from SDTI.

1.3.2 Accountable Executive

The Accountable Executive of the MTS Agency is the CEO who has ultimate responsibility for safety within the MTS organization. The MTS CEO designated the COO of Rail (SDTI) as the Accountable Executive for Rail.

The Accountable Executive- Rail is responsible for establishing and implementing the Safety Management System for Rail operations. The COO-Rail

directs and provides support for all rail operations functions and is responsible for decisions regarding safety risks. The COO-Rail will elevate relevant safety discussions to the CEO's attention. The COO-Rail will support and encourage an open dialogue between the System Safety Manager (CSO) and the CEO.

1.3.3 System Safety Manager/Chief Safety Officer (CSO)

The System Safety Manager (CSO) is responsible for managing the SMS on a day-to-day basis. The System Safety Manager oversees safety within SDTI and provides technical support to the CEO and COO-Rail, and to the Board of Directors regarding safety. The System Safety Manager is responsible for the chairing safety committees; providing safety input to operations, procedures, rules and training; internal audits; accidents/incidents/near-miss investigations and reporting; safety input for major extensions and rehabilitations of the transit system; and hazard analyses.

The CSO must be adequately trained and is responsible for ensuring compliance with requirements as set forth in 49 CFR 672, which provides minimum training requirements to enhance the proficiency of transit safety oversight professionals. This training shall meet the requirement as outlined in Appendix A to 49 CFR 672, and include the required annual refresher training. The CSO must be enrolled in the 49 CFR Part 672 – Public Transportation Safety Certification Training Program (PTSCTP) and must complete the training within the three (3) year prescribed timeframe.

The CSO reports to the COO- Rail. The CSO works with the COO-Rail to implement the Agency Safety Plan.

The CSO has a dual reporting role with the COO-Rail and the CEO. As necessary to implement the Safety Plan and discuss relevant issues, the CSO has a duty and right to report directly to and consult with the CEO. The CSO will have direct access to the CEO at all times regarding all safety related issues.

1.3.4 Facilities Department

The Superintendent of Facilities reports directly to the COO-Rail. The Facilities Manager is responsible for the maintenance and operation of all fixed facilities and equipment, including all trolley stations, shelters, canopies, signage, equipment, parking lots, landscaping, related right-of-way maintenance and all irrigation systems. Scheduled weekly maintenance includes maintenance of stations, facilities/buildings and grounds, as well as vehicle inspections. Bimonthly maintenance is performed on the LRV car wash and sludge/drain system and stations and facilities maintenance is conducted annually and as needed. In accordance with SMS principles, a supervisor ensures that corrective actions are implemented and closed out in a timely manner and reviews inspection and trouble reports. The Superintendent of Facilities writes specifications, initiates, monitors contract maintenance services, and ensures that all designated facilities are maintained in a safe, operational, and presentable state.

1.3.5 Revenue Department

The Revenue Lead Supervisors report directly to the COO-Rail/Fare Systems Administrator. The Fare Systems Administrator oversees revenue administration, reporting and management functions. The Revenue Lead Supervisors oversee Ticket Vending Machine (TVM) revenue collection and recovery process, security, maintenance and accuracy of fare collection equipment, revenue accounting and analysis, auditing, reporting functions and armored transport and banking functions performed in accordance with MTS policies. The Fare Systems Administrator implements policies and procedures to ensure that revenues are handled in a safe and secure manner; researches, analyzes, and monitors all phases of fare-collection process, and develop findings and appropriate recommendations.

1.3.6 Stores Department

The Manager of Inventory Operations reports to the Director of Supply Chain & Operations and is responsible for all MTS warehouses, including departments within SDTI, SDTC (bus operations) and MTS administration.

All warehouse personnel are responsible for the management of functions associated in ensuring the availability, upkeep and distribution of all items stored in each warehouse that include but not limited to maintenance spares, tooling, consumable and commercial items. In addition, the warehouse is also responsible for the management of disposals across inventory and company assets.

Included in the Manager Inventory Operations role is the establishment of strategic direction and tactical delivery for the department. The Manager will work alongside safety and environmental departments to facilitate and ensure a safe and risk-free environment for each employee. In delivering exceptional performance, each warehouse employee will be adequately trained to attain a high level of understanding across the role of a storekeeper and to provide exceptional customer service through the efficient discharge of their duties.

1.3.7 Engineering Department

The Director of Capital Projects reports directly to the CEO and is responsible for the coordination of all engineering and construction activities of the organization. The Director of Capital Projects provides regular updates to the COO-Rail.

1.3.8 Transportation Department

The Superintendent of Transportation reports directly to the COO-Rail. The Superintendent of Transportation is responsible for the operational planning and overall supervision of all employees involved in the transportation discipline of SDTI, including mainline and yard service and the operation of all trains in accordance with the approved timetables. The Superintendent of Transportation is also in close and continuing association with the initial and subsequent installation, testing and preoperational system check-out of various systems

comprising the light rail system and must be sufficiently knowledgeable and experienced to render timely and effective assistance in establishing and coordinating applicable operating and safety procedures. The Superintendent of Transportation is responsible for promulgating operating rules, regulations and related procedures, as well as the enforcement of safety policies and the review of problem areas to determine the need for changes to improve operating and safety procedures. The Superintendent of Transportation ensures that contingency plans are up-to-date and readily available in the event of an emergency, including accidents and system delays in general. The Superintendent of Transportation ensures that properly trained personnel and appropriate equipment are available to respond on a timely basis to rectify the problem(s) and restore normal operations.

Both SDTI and San Diego & Imperial Valley Railroad (SD&IV) trains operate under the authority of the Operations Control Center (OCC). The OCC is staffed twenty-four hours a day, seven days a week and provides twenty-four hour emergency response for SDTI employees and local emergency-response agencies. An integrated fire management panel monitors/controls the emergency ventilation system and traction power emergency trip switches in the event of a fire or other emergency within the tunnel or platform areas integrated within the SDSU Station. Ventilation of the tunnels and station platform are also controlled through a computer program in the OCC interfaced with high-powered reversible fans and air dampers throughout the underground structure. A trespasser intrusion system will also activate an alarm at the OCC if a person or other detectible object smaller than an LRV enters a tunnel segment at either the station platform or the portal entrance from either end. The MTS Transit Security emergency contact number is posted on public information signs and passenger timetables for public knowledge.

The primary functions established for the OCC Facility and personnel are:

- Provide for the safety and security of SDTI personnel and passengers
- Maintain system-wide supervisory control by monitoring train operations and facilities that support the system
- Document incidents that result in system delays, injuries, or damages
- Maintain detailed reports on operational status items and reported defects
- Create unusual occurrence reports and various daily statistical summaries for dissemination
- Supervise personnel, direct operations, and maintain established service levels
- Execute corrective actions to optimize service levels and minimize adverse system-wide impact
- Monitor fire management panel and remain conversant with the emergency ventilation operation panel and trespasser intrusion system

The Controller on duty is responsible for all operational activities and must ensure that train movements (mainline and within yard limits) and any work performed on or about SDTI property is conducted in accordance with all safety requirements mandated by the CPUC, the FRA, and SDTI policies and procedures. Controllers also monitor SDSU tunnels via CCTV.

Train movements are controlled through:

- Speed restrictions, slow orders, and advisories printed daily on an Operating Clearance Form
- Verbal train orders communicated over a two-way radio system

All SDTI personnel and contractors working on the property perform their duties in a safe manner in accordance with written instructions and are verified through:

- Verbal two-way radio communications
- Field oversight (Line Supervisors and Employee-in-Charge/Flagperson who inform the Controller of personnel adherence and progress)
- Operating clearances

In addition, train movements on signalized track are governed by automatic block signals (ABS). Special operations are conducted on an as-required basis for construction or maintenance needs. Authorization for special operations must receive approval from the Superintendent of Transportation.

1.3.9 Wayside Maintenance Department

The Superintendent of Wayside Maintenance reports directly to the COO-Rail. The Superintendent of Wayside Maintenance coordinates with subordinate staff and other department superintendents and managers to handle elements associated with the administration and maintenance responsibilities of the Wayside Division of the Maintenance Department. The Superintendent of Wayside Maintenance is responsible for directing, planning and scheduling inspections, maintenance and repairs of traction power, signals and switches, crossing gates, guideway structures, pumping stations, lighting and station electrical service and component devices (PA system, message signs, etc.).

The Maintenance-of-Way Department is responsible for the maintenance and repair of wayside equipment, including signals, grade-crossing protection, traction power, switches, track and substructures, as well as SDTI back-up generators. Wayside Department staff includes Shift Supervisors, Track Supervisors, Electro Mechanics, Linemen, Assistant Linemen, and Track Maintenance Personnel.

Shift Supervisor Responsibilities

Shift Supervisors' responsibilities include the following activities:

- Ensure that work site areas have safety and hazardous material inspections performed within required time frame
- Conduct and document scheduled safety meetings held with employees
- Ensure safety inspections and safety maintenance cycles performed on equipment and specialized facilities are appropriately scheduled and documented
- Verify that personal protective equipment (PPE) is available and in good working order

- Ensure that employees under their control follow the established safe-work practices and use the required personal protective equipment
- Confirm that the Hazard Communication Program Plan and MSDS binders are available to all maintenance employees
- Monitor personnel and verify that safety training was conducted and tasks are performed safely
- Ensure that all affected personnel receive training to ensure the component is used in a safe manner when a new process, procedure, chemical, or piece of equipment is introduced into the workplace
- Assure proper forms are completed prior to the personnel's tour of work begins

1.3.10 Light Rail Vehicle (LRV) Maintenance Department

The Superintendent of LRV Maintenance reports directly to the COO-Rail. The Superintendent of LRV Maintenance establishes, implements, and monitors new or revised policies and guidelines for the LRV Maintenance Department. The Superintendent of LRV Maintenance administers policies and programs, and plans, coordinates, schedules, and implements these into day-to-day activities as they relate to the efficient operation and maintenance of light rail vehicles. The Superintendent of LRV Maintenance ensures that all light rail vehicle maintenance meets regulatory agencies' and internal standards, with special consideration given to the safety of patrons and employees. The Superintendent of LRV Maintenance supervises the enforcement of safety policies for all LRV Maintenance work areas.

- Ensure monthly work area safety inspections and weekly hazard material (hazmat) inspections are performed and documented on checklists
- Conduct and document scheduled monthly safety meetings with employees
- Ensure the performance and documentation of safety inspections and safety maintenance cycles of vehicles and equipment meet schedule requirements
- Verify that personal protective equipment (PPE) is available, in good working order, and used in compliance with established safety practices
- Ensure that the Hazard Communication Program Plan and Material Safety Data Sheets (MSDS) are available to all LRV Maintenance employees for review upon request
- Monitor that employees perform assigned task(s) in a safe manner
- Ensure that training on proper use and operation of any new processes, procedures, chemicals, or equipment, including necessary safety precautions, is conducted

The LRV Maintenance Department is responsible for the maintenance, repair, and cleaning of all Light Rail Vehicles. Personnel include LRV Supervisors, Electro Mechanics, Linemen, and Assistant Linemen.

LRV Supervisor Responsibilities

- Ensure monthly work area safety inspections and weekly hazard material (hazmat) inspections are performed and documented on checklists

- Conduct and document scheduled monthly safety meetings with employees
- Ensure the performance and documentation of safety inspections and safety maintenance cycles of vehicles and equipment meet schedule requirements
- Verify that personal protective equipment (PPE) is available, in good working order, and used in compliance with established safety practices
- Ensure that the Hazard Communication Program Plan and Material Safety Data Sheets (SDS) are available to all LRV maintenance employees for review upon request
- Monitor that employees perform assigned task(s) in a safe manner
- Ensure that training on proper use and operation of any new processes, procedures, chemicals, or equipment, including necessary safety precautions, is conducted

1.3.11 Risk Department

The Manager of Risk and Claims reports directly to the General Counsel. The General Counsel reports directly to the CEO and the MTS Board of Directors as necessary. The Manager of Risk and Claims directs and manages the liability claims and workers' compensation functions of MTS and ensures that all claims and workers' compensation activities are properly processed and reported in accordance with state and federal regulations. The Manager of Risk and Claims manages and tracks claims and incidents, evaluates mitigation and insurance strategies, and facilitates the annual placement of MTS's excess liability, excess workers' compensation property, crime, and fiduciary liability insurance. The Manager of Risk and Claims coordinates activities, policies, and procedures with third-party administrators and insurance brokers on contract and insurance issues.

1.3.12 Transit Enforcement Department

The MTS Chief of Police/Director of Transit Enforcement reports directly to the CEO. This department is staffed through contracted services and in-house Code Compliance Inspectors (CCIs). The Transit Enforcement Department conducts ongoing Security Risk Analyses for the system to maintain a secure environment for passengers, employees and facilities through identification of emerging significant security risks and to formulate solutions and mitigations.

1.3.13 Transit Asset Manager

The MTS Transit Asset Manager reports directly to the Chief Financial Officer. The Chief Financial Officer reports directly to the CEO. The Transit Asset Manager is responsible for developing and coordinating new Transit Asset Management policies, data collection and FTA reporting for bus and rail. The Transit Asset Manager is also responsible for the agency's Capital Improvement Program and Capital budget.

1.4 INTEGRATION WITH PUBLIC SAFETY AND EMERGENCY MANAGEMENT

The System Safety Manager, in conjunction with representatives from Transit Enforcement and other departments are responsible for coordinating all rail system-wide emergency response planning. Prior to opening new segments of the rail system, training sessions and familiarization exercises are conducted for all emergency-response agencies in the new segment.

SDTI's progressive exercise program has the commitment of internal staff and emergency-response agencies to utilize a building block approach in which training and activities focus on specific capabilities in a cycle of escalating complexity. This program allows the collective community to achieve and maintain competency in executing the transportation and local-emergency response plans. MTS has a Continuity of Operations Plan to ensure that critical functions continue following an emergency.



SDTI's emergency-response policies and procedures are reviewed annually and updated as needed. The System Safety Manager is responsible for coordinating this review and producing updated policies and procedures with input from SDTI staff.

1.4.1 Exercises and Drills

The Safety and Transit Enforcement Departments organize major emergency response drills and exercises that simulate terrorist activities and catastrophic incidents requiring multijurisdictional response. These aid the agency in assessing and validating policies, plans, procedures, training, equipment, assumptions, and interagency agreements. MTS uses the Homeland Security Exercise and Evaluation Program (HSEEP) as it provides a standardized policy, methodology, and terminology for exercise design, development, execution, evaluation, and improvement planning.

Emergency drills are held periodically and are scenario based when identifying locations on the system. Prior to any drill, meetings with external agencies regarding the emergency-management program are held. The FTA provides funding to SDTI to develop and conduct major drills. Typical drills may include mass casualties, fires, derailments, active shooters, or suspicious devices. Drills are designed to exercise competency in emergency situations.

Following a drill, a post-drill debriefing is convened with representatives from all participating agencies to review the performance of the drill and to identify lessons learned. These findings are documented in drill reports or after-action reports and matrices. The post-drill briefing comments are included in a final summary report to management that includes areas needing fire and life-safety improvements and corrective actions. The SDTI Safety and Security Departments track corrective actions to resolution.

1.4.2 Internal Emergency Training

MTS's emergency preparedness program focuses on staff development and training using drills and exercises to assess current practices and procedures. MTS hosts US Department of Transportation (USDOT) Transportation Safety Institute (TSI) and National Transit Institute (NTI) courses and encourages staff participation to the extent possible and appropriate. As necessary, MTS also partners with contractors to facilitate advanced training, exercises, and drills. All emergency-response procedures are found in the Operating Rules and Standard Operating Procedures Manual and in the MTS Emergency Management Plan. These procedures are included in the Transportation Department's Standard Operating Procedures Manual. These documents are distributed to employees as they are updated. The following situations are addressed in the above-referenced documents:

- Emergency occurrences
- Emergency shuttle bus service
- Operation of LRV silent alarm
- Earthquake emergency procedures
- Hazardous materials
- Emergency radio calls
- Emergency call list
- Fire on a train
- Derailment
- Hijacking
- Passenger emergency alarm
- Civil unrest
- Sick person on or near SDTI property
- Collisions and accidents
- Emergency removal of power
- Fire on or near track
- Bomb threat
- Criminal incidents
- SDSU fire management panel, emergency ventilation operation panel, and trespasser intrusion system

1.4.3 Emergency Responder Familiarization

SDTI performs safety training with personnel from emergency-response agencies within jurisdictions through which the trolley operates. First responder personnel, such as fire and law enforcement, from the County of San Diego and the cities of San Diego, La Mesa, El Cajon, Santee, National City, and Chula Vista are provided with basic information of the SDTI system, equipment, and operations during the training provided by the System Safety Manager and the Transportation Training Department. Function-specific training and exercises are also provided, including:

- Active shooter/tubular assault/sniper (SWAT)
- Heavy lift/extraction (fire departments, urban search and rescue)
- San Diego State University familiarization (fire departments in proximity to the university)

- Field canine enforcement (US Customs and Border Patrol)

This training is available year-round to these agencies, and annual participation is encouraged. Additionally, Maintenance-of-Way Department personnel provide San Diego Fire Department with on-site orientation for unique stations, such as San Diego State University.

1.4.4 Fire Protection

All fire protection systems are verified for conformance with fire protection requirements through the use of emergency drills, inspections, incident investigations, and routine testing of fire protection and fire-suppression systems.

1.5 SMS DOCUMENTATION AND RECORDS

1.5.1 Annual Plan Review

The ASP is assessed annually and updated to include corrections and modifications. The System Safety Manager is responsible for coordinating review and revisions.

1.5.2 Revisions and Change Control

Updates to the ASP include changes to operating procedures or environment, or procedures, instructions, or rules affecting safety. These changes are made by the System Safety Manager. The methods and procedures contained in the ASP are applicable to all phases of the rail transit system: planning, design, construction, inspection, preoperational testing, start-up, and revenue service.

1.5.3 Responsible Parties

The System Safety Manager is responsible for initiating and developing the ASP in cooperation with SDTI departments, and MTS and SANDAG project implementation staff, as applicable, with oversight by the CPUC. All changes are approved by the COO-Rail, CEO, and the Board of Directors. Existing SMS processes and procedures are evaluated and modified as necessary in the ASP update.

The current version of the ASP is available to all employees and contractors via the MTS Intranet. The System Safety Officer issues a bulletin to all employees when updates are available.

1.5.4 Regulatory Oversight and Acknowledgement

SDTI will submitted its initial Public Transportation Agency Safety Plan (ASP) to the CPUC for review and approval (in accordance with the requirements of CPUC General Order 164-E) before the FTA's July 20, 2020, deadline for submittal of the agency's ASP. SDTI incorporated CPUC comments and issue the revised ASP for CPUC approval. After receiving CPUC approval of the ASP,

CPUC/SDTI will submitted the ASP to the FTA in compliance with 49 CFR Part 673, so that The FTA’s Certification and Assurance process could be completed on or before the FTA established deadline.

The revised ASP is submitted annually on or before February 15th to meet requirements set forth by the CPUC in GO 164-E. The System Safety Manager is responsible for notifying the CPUC representative of any changes or modifications to the ASP or any significant safety issues. The CPUC representative is responsible for reviewing the ASP to ensure the plan meets the requirements of GO 164-E. All CPUC recommendations to enhance or modify changes in the ASP will be considered and the ASP will be revised accordingly.

1.5.5 Plan Implementation

The ASP focuses on the activities that are required to provide a high level of safety. The ASP elements include the long-term approach to implement Safety Management Systems within SDTI. The ASP also delineates activities to be performed by the Safety Committee to ensure its involvement on a continuing basis.

This ASP outlines the methods to assure that safety is an integral and continuous part of planning, specification, design, test operation, construction, procurement, and disposal activities of rail transit systems. The ASP complies with all state and federal laws and mandates by systematically monitoring all phases of the operation.

MTS has an intranet that includes information on various functions within the agency including safety. A sample page from the Rail Safety Intranet is shown in Figure 5. The MTS Rail Safety Intranet contains a description of policies and procedures that apply to the Safety Management System, including the Safety Management Policy. The intranet is the prime method of communication of how updates or revisions to the Safety Management Policy are communicated to employees.

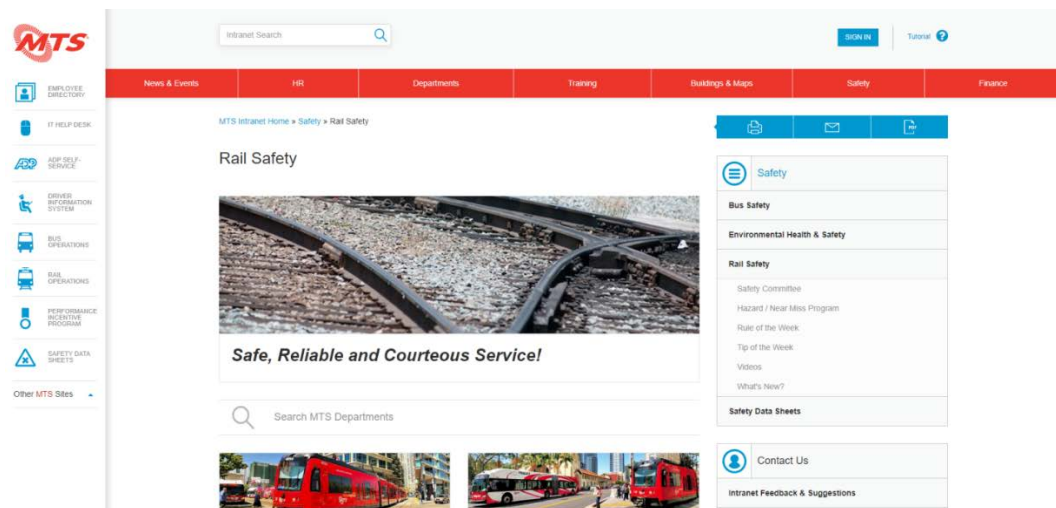


Figure 5: MTS Safety Intranet Page 1

1.5.6 Program Administration

The System Safety Manager has the functional authority, under direction of the COO-Rail, to ensure all employees comply with the ASP and that all operations and maintenance related functions are performed with the intent to conform to safety requirements, including:

- Analysis of rules, procedures, and practices to ensure adequate hazard control including employee safety reporting systems
- Participation in design reviews and planning sessions to ensure that safety concerns and issues are addressed and resolved
- Collection and dissemination of applicable information/practices from other transit properties
- Investigation of serious incidents or accidents and assigning responsibility, when applicable, for the purpose of retraining and/or disciplinary action
- Periodic safety inspections
- Determination of cause and recommendation of corrective action to prevent recurrence
- Verification of implementation and effectiveness of corrective action
- Emergency-response agency interface on safety-related matters, including familiarization sessions with SDTI equipment/facilities
- Participation on internal committees (Major Incident Review Committee, Derailment Committee, etc.)
- Interface with NTSB, CPUC, Cal/OSHA, FTA, FRA, and other regulatory agencies

When unsafe conditions or practices exist, the System Safety Manager has the authority, granted by the COO-Rail, to immediately order such conditions corrected or unsafe practices halted. This includes the interruption of revenue service if conditions warrant. The System Safety Manager reviews and evaluates the ASP for program effectiveness. This includes ensuring all departments comply with elements contained herein, adding or deleting work tasks commensurate with the project(s) schedule and budget, and delegating responsibilities, accordingly.

1.5.7 Current Operational Systems

Verification of compliance with SDTI, manufacturer, federal, state, and local requirements is accomplished through:

- Review of accident/incident reports
- Performance to established safety goals and safety performance targets
- Investigations of cause and corrective action when appropriate
- Inspection of facilities and equipment
- Management procedures
- Review of operating procedures
- Review of safety rules
- Review of emergency drills
- Occupational safety and health inspections
- Inspection and testing of fire protection equipment

1.5.8 Safety Committee

The Safety Committee is made up of both hourly and supervisory personnel from each of the departments within SDTI. The committees' primary function is to act as a communication channel on safety-related matters between employees and upper management and to provide a forum to discuss issues which impact safety.

Safety Committee members solicit recommendations from employees of their respective departments regarding proposed improvements to enhance safety in the work environment. The Safety Committee discusses, evaluates, and determines if such recommendations are practical and require follow-up. Any suggestions that require fund expenditure is referred to the appropriate department head who, in turn, advises the COO-Rail whether the recommendation should be acted upon. Recommendations are reviewed for possible implementation and the Safety Committee is advised of the decision reached by the COO-Rail. Safety Committee meeting minutes are distributed and posted on all SDTI Bulletin Boards.

1.5.9 Monthly CEO Safety Briefing

Every month the System Safety Manager provides a rail safety briefing to the SDTI CEO. Topics include, but are not limited to accidents, outside inspections, recent CPUC activity, training, Safety Committee meetings, Rail Operation and Regulatory (ROAR) Committee, major projects, regular duties, right-of-way, security, and any high-level safety risks and/or safety meetings that have been conducted or are ongoing. In addition, on a case-by-case basis, the CEO will meet with the CSO to discuss individual incidents, policies, or other concerns and programs related to safety.

1.5.10 Weekly Executive Safety Briefing

Every week the System Safety Manager provides a rail safety briefing to the MTS COO-Rail. Topics include, but are not limited to:

- CPUC activity
- Safety Committee update
- Accident/incident investigative follow-up

1.5.11 General Awareness Program

SDTI, in cooperation with SANDAG, may develop and conduct safety-awareness programs for local schools, community groups, and the media. These programs increase public awareness of issues related to safety on the system.

1.5.12 Incentive and Correctional Programs

A safety award program and an employee excellence award program has been established to reward employees annually based on safe behavior, accident-free

operation, personal injuries, and attendance. Award recipients are invited to a public ceremony.

1.5.13 Documentation and Retention of SMS Documentation

The documents required to implement the SMS program are maintained within MTS for a period of no less than four years. The SMS documents contain record of revision as applicable and are maintained within individual department record systems.

During the course of developing the SMS there may be additional processes and procedures required that are not included or referenced in the ASP. The processes and procedures will be further developed by the responsible parties designated within the agency with the involvement and participation of representatives assigned to the safety department. As applicable new SMS policies and procedures will be included or referenced in the revised ASP during the annual review.

Upon request the CPUC, FTA, and other Federal entities will have access to review any SMS documentation that is maintained MTS.

2.0 SAFETY RISK MANAGEMENT

Safety is integrated into design, specification preparation, equipment selection, construction, procedures, and operations. The Safety Risk Management process is intended to verify that identified hazards have been satisfactorily documented, tracked, and resolved through a risk mitigation and resolution process. Hazards are continually identified during the development of a project and during ongoing rail operations. As specified in a project's safety and security certification plan (see Section 3.2.2), SDTI, MTS, and SANDAG project implementation staff (under the direction of SDTI and CPUC), as applicable, apply methods of hazard identification, assessment, and resolution to minimize or eliminate accidents and injuries. The Safety Risk Management process also applies to SDTI's existing operations and maintenance procedures, changes to the existing SDTI rail public transportation system, new operations of service to the public, new operations or maintenance procedures, and any organizational changes.



Figure 6: Safety Risk Management Process

SDTI, MTS, and SANDAG project staffs, as applicable, work to identify areas and situations prone to a high frequency of incidents and accidents through existing system inspections and evaluation, reviewing trends, comparative analysis, and evaluating available data. Safety analyses are part of a formalized process to identify, eliminate, and/or control hazards. Safety analyses provide for:

- Identification of hazards
- Assessment of the severity and probability of occurrence of the hazard
- Timely awareness of hazards for those who must resolve them
- Traceability and control of hazards through all phases of a system's life cycle

Analysis results assist team members in understanding the causes of occurrences and ensure appropriate corrective action. Variables determined as significant contributing factors to the frequency of accidents or incidents become a focal point for review and evaluation to determine appropriate corrective action.

Safety Risk Management is performed using a decentralized process. Hazards are assessed and evaluated by the operating departments (transportation and maintenance) with assistance from the System Safety Manager.

The Safety Risk Management process feeds into the Safety Assurance process so that safety risk mitigations are evaluated for effectiveness over time. Feedback between the two processes is essential to ensure that risk mitigation does not introduce additional hazards. MTS uses safety data acquisition to monitor what occurs within the system. If the hazard reoccurs, then the mitigation will be adjusted.

2.1 SAFETY HAZARD IDENTIFICATION

2.1.1 Hazard Identification

Defining the physical and functional characteristics of a project creates the foundation of the hazard identification process. These characteristics are presented in terms of the major elements that comprise the project, such as personnel, facilities, systems, equipment, procedures, the public, and the environment. The perceived hazards are identified using several techniques, including the following:

- Historical hazard or accident data
- Operational experience and lessons learned
- Identification of credible hazard scenarios
- Checklists of potential hazards
- Hazard analyses
- Employee Safety Reporting System
- Data provided by the FTA
- Data provided by the CPUC
- Input from vendors, suppliers, and subcontractors
- Input from project staff and engineering/construction consultants
- Other methods as appropriate.

Identified hazards are tracked in the Hazard Management Master File (an Excel database). Information collected includes the following:

- Date reported
- Reported by
- Form completed
- Reported to
- Hazard description
- Severity
- Probability
- Responsible party

- Potential mitigation(s)
- Final mitigation(s)
- Risk score after mitigation
- Completed by
- Completion date

2.1.2 Safety Risk Assessment

A hazard analysis should be performed on all facility modifications and new construction projects. Hazard analysis is a risk assessment of the safety and security of a project with regard to known hazards. The purpose of hazard analysis is to assess the severity and probability of the risk associated with each identified hazard. Severity and probability generally are determined based on qualitative rather than quantitative analyses. The results and conclusions of the analyses of identified hazards, assessed in terms of severity or consequence and the probability of occurrence, are presented by the responsible party in accordance with standard methods (such as MIL-STD-882D, MTS ASP, FTA Hazard Analysis Guidelines, and 49 Code of Federal Regulations Part) and as specified in contract documents.

To classify the assessment, hazards identified in formal hazard analyses receive a classification based on the definitions that follow. Unacceptable and undesirable hazards are mitigated to an acceptable level by one or more of the above-described methods.

Hazards identified in the Hazard Management Master File also receive a classification based on the definitions that follow.

2.2 SAFETY RISK MITIGATION

Hazard assessments determine whether assuming some or all of the risk associated with a particular hazard is acceptable and whether corrective action is called for. Hazard assessment involves hazard severity, hazard probability, and risk assessment. The following definitions are used to establish Hazard Severity and the Probability of Occurrence. The Risk Assessment Matrix is used to categorize hazards as acceptable, acceptable with certain conditions applied, undesirable, or unacceptable.

2.2.1 Hazard Evaluation

Hazard severity is a subjective measure of the worst credible mishap expected to result from human error, environmental conditions, design inadequacies, subsystem or component failure or malfunction, and/or procedural deficiencies. The categories of hazards are as follows:

Table 1: Hazard Severity

CATEGORY	DESCRIPTION
1. Catastrophic	Death or system loss
2. Critical	Severe injury, severe occupational illness, or major system damage
3. Marginal	Minor injury, minor occupational illness, or minor system damage
4. Negligible	So small or of so little consequence that it requires little to no attention

Hazard probability is the likelihood that a specific hazard will occur during the planned life expectancy of the system element, subsystem, or component described subjectively in potential occurrences per unit of time, events, population, items, or activity. The Hazard Probability in Table 2 is derived from research, analysis, or evaluation of historical data.

Table 2: Hazard Probability

DESCRIPTION	LEVEL	LIKELIHOOD	EXAMPLE OF FREQUENCY
Frequent	A	Continuously experienced	One or more times per week during a four week period
Probable	B	Occurs or may occur often	One or more times per month during a four month period
Occasional	C	Will likely occur several times during the system's lifecycle	One or more times per year on an annual basis
Remote	D	Potential to occur during the system's lifecycle	Once per decade
Improbable	E	Is unlikely to occur, but possible	Less frequently than once per decade

After hazard severity and probability are determined, associated risks are assessed by project implementation staff and the Safety & Security Review Committee (see Section 3.2.2.7). A risk assessment determines the level of risk associated with a hazard. It enables understanding the risk in relation to the costs (in dollars or operational impact) that may be incurred. The Risk Assessment Matrix in Table 3 identifies the risk assessment based on hazard severity and probability.

Table 3: Risk Assessment Matrix

FREQUENCY OF OCCURRENCE	CATASTROPHIC (1)	CRITICAL (2)	MARGINAL (3)	NEGLIGIBLE (4)
Frequent (A)	1A	2A	3A	4A
Probable (B)	1B	2B	3B	4B
Occasional (C)	1C	2C	3C	4C
Remote (D)	1D	2D	3D	4D
Improbable (E)	1E	2E	3E	4E

Table 4 relays the criticality of implementing corrective measures to reduce the hazard to an acceptable level. Projects use this index to prioritize hazardous conditions and to focus resources on the most serious hazards requiring resolution.

Table 4: Criticality Index

RISK INDEX	CRITERIA	CORRECTIVE ACTION
1A, 1B, 1C 2A, 2B, 3A	Unacceptable	Hazard cannot remain as is; must be mitigated.
1D, 2C, 2D, 3B, 3C	Undesirable – decision required	The hazard should be mitigated, if at all possible, within fiscal constraints. This level of risk must involve a documented decision by executive management, and it may be mitigated at a later time.
1E, 2E, 3D, 3E, 4A, 4B	Acceptable - with review	The Safety & Security Review Committee must determine if the hazard may remain.
4C, 4D, 4E	Acceptable - without review	The hazard may remain.

2.2.2 Hazard Mitigation

The Hazard Resolution and Control process involves the analysis and corrective action(s) taken to reduce the risk of an identified hazard to the lowest practical level. The order of precedence, which follows, are used for satisfying system safety requirements and resolving identified hazards.

Design for Minimum Risk	Design new facilities and equipment to eliminate hazards. If an identified hazard cannot be eliminated, reduce its associated risks to an acceptable level through the design selection.
Incorporate Safety Devices	If an identified hazard cannot be eliminated or its associated risk cannot be reduced through design selection, reduce that risk to an acceptable level by using protective safety features or devices. Provide, and issue procedures for, periodic inspection and functional checks of safety devices.
Provide Warning Devices	When neither design nor safety devices can effectively eliminate identified hazards or reduce risk to an acceptable level, use warning devices to detect the condition and produce an adequate warning signal to alert individuals to the hazard. Standardized warning devices minimize the probability of persons reacting incorrectly to these warnings.
Develop Special Procedures	When it is impossible or impractical to eliminate hazards through design selection or adequately reduce associated risks through safety or warning devices, then use approved procedures and special training programs. Procedures may include the use of personal protective equipment. Precautionary notations and warning signs must be standardized. Employees who perform safety-critical tasks require certification of proficiency and periodic recertification.

Typically, hazards are controlled by more than one corrective method. The use of warning, caution, and other forms of written advisories alone to control Category I (Catastrophic) and Category II (Critical) hazards will be carefully reviewed to ensure that no other additional measures are possible.

If a new light rail extension or capital improvement project is determined not to contain significant hazards, the SANDAG Project Director may request a determination of “no significant potential for hazard” for the segment(s) from the COO-Rail. The COO-Rail may approve or deny the request.

Hazards identified by employees are tracked in the Hazard Management spreadsheet. Proposed mitigations are discussed in monthly Safety Committee meetings and documented in meeting minutes. The minutes posted on company bulletin boards and the agency intranet provide feedback on hazard mitigation and strategy.

2.3 HAZARD NOTIFICATION TO CPUC

If the System Safety Manager determines that an unacceptable hazardous condition exists (according to the Criticality Index), the System Safety Manager will notify the CPUC staff within two hours as required by GO164-E. The System Safety Manager or designee maintains a hazard tracking spreadsheet that identifies the hazard, status of hazard (open or closed), recommendations for corrective action, person or department responsible for corrective actions, and scheduled date of completion. The System Safety Manager is responsible for tracking open status items to resolution as required by GO164-E.

MTS will also submit any CAPs developed to minimize, mitigate, control, correct, or eliminate the identified risks and hazards. The CAPs will include description, immediate mitigation (if needed), origin of hazard, the proposed actions, permanent hazard resolution, or temporary mitigation if necessary, the responsible individual or department, and the schedule for implementing those actions for the identified hazard, including date the hazard was identified and closed, and hazard resolution verification/follow-up activities, all in accordance with Commission GO 164-E, Section 9.

3.0 SAFETY ASSURANCE

Safety assurance ensures that MTS implements appropriate and effective mitigations and monitors the safety performance of SDTI. Safety assurance also helps assess changes to see if the changes affect the safety of operations.

Safety assurance includes three subcomponents:

1. Safety Performance Monitoring and Measurement
2. Management of Change
3. Continuous Improvement

3.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT

There are many ways that SDTI monitors safety performance including:

- Monitor service delivery activities
- Monitor employee safety reporting programs
- Monitor operations and maintenance data
- Conduct safety audits, studies, reviews and inspections
- Conduct safety investigations
- Conduct safety surveys
- Evaluate data and information from external agencies

The FTA, in the National Transportation Safety Plan, has established safety performance criteria and state of good repair standards that all transit agencies must meet. This Agency Safety Plan includes safety performance objectives that meet or exceed the required safety performance criteria and state of good repair standards.

SDTI currently produces many forms of indicators that get reported to levels within MTS and SDTI and also to the CPUC and the FTA. In accordance with the requirements of the FTA's National Public Transportation Safety Plan, SDTI addresses safety performance in the following four categories:

- Fatalities: the total number of reportable fatalities and rate per total unlinked passenger trips by mode
- Injuries: the total number of reportable injuries and rate per total unlinked passenger trips by mode
- Safety Events: the total number of reportable events and rate per total vehicle miles by mode
- System Reliability: mean distance between failures by mode

SDTI's monitoring and assessment programs enable the agency to identify any safety risk mitigations that are ineffective, inappropriate or have not been implemented as originally intended. The System Safety Manager works with the appropriate departments to reassess and document inadequate safety risk mitigations. New proposed mitigations are discussed with the Accountable Executive, and implemented. The System Safety Manager informs the CPUC of these actions.

3.1.1 Safety Performance Measurement

3.1.1.1 Safety Performance Measure: Fatalities

SDTI is committed to reducing the number of fatalities to zero and partners with community outreach efforts to attain this goal. The calendar year (CY) performance target for total fatalities and total fatalities rate per 100,000 revenue miles is to achieve a reduction compared to the previous three CY average. A National Transit Database (NTD) reportable fatality is a death due to: collision (including suicides), derailment, fire, hazardous material spill, acts of God, system or personal security event (including suicides), or other safety event. An NTD reportable fatality does not include: fatalities that occur because of illnesses or other natural causes (including individuals who are found deceased).

3.1.1.2 Safety Performance Measure: Injuries

Any harm to persons that requires immediate medical attention away from the scene because of a reportable event is considered to be a reportable injury. SDTI reports to the National Transit Database (NTD) anytime a person is transported away from the scene for medical attention as an injury, whether or not the person appears to be injured.

In addition to injuries requiring transport from the scene, injuries defined as serious are automatically reportable. Individuals with serious injuries may or may not have been transported away from the scene for medical attention. A serious injury is one that:

- Requires hospitalization for more than 48 hours within 7 days of the event
- Results in a fracture of any bone (except simple fractures of fingers, toes, or nose)
- Causes severe hemorrhages, or nerve, muscle, or tendon damage;
- Involves an internal organ
- Involves second- or third-degree burns, or any burns affecting more than five percent of the body surface

The CY performance target for total number of injuries and injury rate per 100,000 revenue miles is to achieve a reduction compared to the previous three CY average.

3.1.1.3 Safety Performance Measure: Safety Events

The safety events measure captures events meeting NTD reporting thresholds occurring on SDTI right-of-way or infrastructure, at a revenue or maintenance facility, rail yard, during the performance of maintenance activities or involving a transit revenue vehicle. The NTD reporting thresholds include fatalities, injuries requiring immediate medical attention away from the scene, derailment, substantial damage, and evacuation for life safety reasons.

The CY performance target for total number of safety events and safety events rate per 100,000 revenue miles is to achieve a reduction compared to the previous three CY average.

3.1.1.4 Safety Performance Measure: System Reliability

The system reliability measure expresses the relationship between safety and asset condition. The rate of vehicle failures in service, defined as mean distance between major mechanical failures, is measured as vehicle revenue miles operated divided by the number of major mechanical failures. SDTI continues to invest and plan for a highly reliable, safe operation of its public transportation system. As SDTI introduces new vehicles, there is a burn-in period for the vehicles that may result in a decrease of reliability. As such, SDTI will strive to maintain current system reliability targets during this time period.

The CY performance target for system reliability rate is to achieve a reduction compared to the previous three calendar years' average. SDTI system reliability targets are calculated using a three-year average of the mean distance between failures per 100,000 revenue miles.

3.1.1.5 Safety Performance Measure: Other

SDTI also develops specific performance targets for individual functional areas, including various departments within the agency (administration, facilities, LRV maintenance, maintenance of wayside, track, rail operations, transportation, safety, environmental health).

These include, but are not limited to:

- Safety related rule infractions
- Roadway worker protection violations
- Workplace inspection findings
- Near miss report frequency
- Employees attending safety meetings

SDTI also produces an emergency brake log.

These indicators and targets are developed jointly with safety working with each involved department and with the approval of the Accountable Executive of Rail. These performance targets and indicators are included in weekly COO Rail briefings by the Safety Department and in monthly CEO safety briefings, as well as to relevant members of the Board of Directors.

3.1.1.6 Safety and State of Good Repair

The State of Good Repair (SoGR) standards are defined by the National Safety Program and National Transit Asset Management (TAM) System, found in 49 CFR Part 625. These set forth conditions when safety risk analysis must be performed on capital assets such as equipment, rolling stock, infrastructure, and facilities. SDTI documents safety performance objectives in the TAM plan based

on this definition and makes informed investments in order to strive for a SoGR for all assets.

3.1.2 Annual Safety Performance Report and Coordination with Stakeholders

SDTI disseminates and makes available safety performance targets to the FTA, CPUC, SANDAG (MPO) and other stakeholders to aid in the planning process. SDTI coordinates safety performance targets with stakeholders to the maximum extent practicable to assist with the selection of safety performance targets.

3.1.3 Safety Data Acquisition and Analysis

3.1.3.1 Safety Data Analysis

The System Safety Manager analyzes data to assist in maintaining a safe work environment for all employees. Analysis of data may result in a recommendation for corrective action. The principal approach used in achieving ASP goals and objectives are accomplished by charging all SDTI personnel with safety and the implications of their decisions. SDTI uses a proactive approach that stresses review of systems and the proposal of modifications to these systems from a safety perspective before losses occur. The ASP also requires employees to examine the affect that their actions may have on safety of other interrelated systems. All personnel are responsible for ensuring that safety-related tasks meet and are in compliance with the guidelines set forth in the ASP.

All SDTI personnel are responsible for working safely and following established rules, procedures, policies, and safe-work practices. The intent of this section is to provide a description of ASP responsibilities that, when fulfilled, will assist SDTI's efforts in achieving optimal safety. Specific procedures and responsibilities are listed in procedure manuals, rule books, plans, program manuals, policies, and other controlling documents. Each SDTI department is responsible for implementing and maintaining the procedures of the ASP pertaining to that department.

Personal Injuries

Personal injury reports are completed by Line Supervisors or Controllers and submitted to the System Safety Manager for inclusion in the Personal Injury Master Database.

The following elements of every injury are tracked:

- Date
- Line segment
- Location and location type
- Individual type (passenger, employee, trespasser, other)
- Area(s) injured
- Action (means of injury)
- If the injured party was transported

- If there was a fatality
- Train operator involved, if applicable, for evaluating potential trends with operating style

Personal injury reports are collected for on-train accidents, such as fall on start/stop, boarding/alighting, etc.; in transit facility accidents including slips, trips, and falls; along with collision reports; and in nonrevenue facility accidents, such as on the right-of-way or on SDTI property (maintenance facilities or yard).

Accidents/Incidents

If an LRV collides with vehicles, people, or objects, accident reports are completed by a Line Supervisor. Accident investigation information is discussed in detail in Section 3.1.2. As with personal injuries, collision reports are submitted to the System Safety Manager to be entered into the Master Accident Database.

The following elements of every incident are tracked to the extent possible based on available information:

- Date and time
- Train operator
- Location
- Incident type
- Highway user (auto, motorcycle, bicycle, pedestrian, other)
- Position (red light, stop sign, left turn, stopped and then proceeded, did not stop, around/through gate, fouling tracks, intentional, into path, coupler related, other)
- Circumstance (highway user struck train, train struck highway user)
- Risk assessment
- Number of injured parties or fatalities
- Video locator
- Line segment
- Direction (eastbound, westbound)
- Consist (LRV #s)
- Primary involved (generally lead) LRV and cost of repairs
- Secondary involved LRV, if applicable, and cost of repairs
- CPUC crossing number
- Geolocations (latitude, longitude)
- Fiscal year
- Investigating supervisor
- Weather conditions (clear, rainy, fog, windy, dry, wet, slick)
- Visibility (dawn, daylight, dusk, dark, street lights)
- Traffic control/protection (traffic signal, control zone, crossing gates, stop sign)
- Horn(s) used (LRV horn, federal horn, or no time for horn)
- Brake (dynamic, emergency, no time for brake)
- LRV lights (auxiliary, bright, dim)
- Designated and estimated speeds
- System check
- Operator 10-58

- Fire suppression
- Passenger evacuation
- 2+ injured on train
- Transported for treatment
- Regulatory reporting (CPUC, FRA, FTA/NTD)
- Days since last accident

Emergency Brake Applications

When an emergency brake application occurs, it is logged by Central Control. As with accidents/incidents, emergency brake application logs are submitted to the System Safety Manager to be entered into the Emergency Brake Log Master Database. The following elements of every application are tracked to the extent possible based on available information:

- Date and time
- Train operator involved, if applicable, for evaluating potential trends with operating style
- Train #
- Line segment
- Direction (eastbound, westbound)
- Consist (LRV #s)
- Geolocations (latitude, longitude)
- Highway user (auto, bicycle, pedestrian, child, animal, object, other)
- Reason (red light, stop sign, left turn, stopped and then proceeded, did not stop, around/through gate, fouling tracks, intentional, into path, coupler rider or similar, penalty)

This information is evaluated to determine trends in location, cause, and train operator. This information may also be used in accident reviews.

Comparisons of Monthly, Annual, and Historic Accident Rates

A monthly accident summary is distributed to management personnel and posted on company bulletin boards. Annual and historic statistics including cause, location, and highway user, are posted on company bulletin boards and used internally. This information is also available in map form (thermal, by type, maps).

Near-Miss and Hazardous Conditions

SDTI Rules and Instructions for Employees require all employees to report hazards to their supervisor or employee-in-charge (whether they were involved in, or observed, the event or condition) on the same day or as soon as practicable. Employees should report these on the Hazard/Near-Miss Form. The supervisor or employee-in-charge will attempt to immediately correct any hazard that is within their ability to affect. The System Safety Manager, in conjunction with the appropriate department head(s), conducts a subsequent investigation. All incidents are tracked for analysis and identification of trends.

Near-miss reporting allows employees an opportunity to report near-miss incidents involving employees or contractors working along the right-of-way. This program is for all employees, particularly operations personnel. Reports of near-miss incidents and other safety concerns allow management to identify, evaluate, correct, or avoid hazardous conditions, procedures, or equipment that may adversely affect the safety of all employees.

3.1.3.2 Accident/Incident Notification, Investigation, and Reporting

When notifications are necessary, the following information should be included:

- a. The time and date of the accident/incident
- b. The location of the accident/incident, including the Commission highway-rail grade-crossing number, if applicable
- c. The number of fatalities and/or injuries
- d. The rail transit vehicles involved in the accident/incident, if any
- e. The factor that makes the accident/incident immediately reportable
- f. Narrative description of the accident/incident, as known at the time of reporting; and
- g. The emergency-response organizations at the scene of the accident/incident
- h. Description of the service impact

3.1.3.2.1 SDTI Notifications

Transportation Department Standard Operating Procedure (SOP) 108.10, Emergency Call List identifies all personnel that are notified. The System Safety Manager shall be notified immediately by the Operations Control Center Supervisor or designee of all rail accidents/incidents. The System Safety Manager responds and investigates accidents/incidents whenever practicable in accordance with SDTI accident investigation procedures.

3.1.3.2.2 Accident, Derailment, Power Failure, Serious Injury, Fatality

In the event of a train accident, derailment, or long-term power failures resulting in major service loss, serious personal injury or fatality, SDTI or SD&IV related, the following notifications must be made immediately:

1. MTS CEO (only be made for those incidents involving significant property damage or fatal injuries, or as directed by the COO-Rail or Superintendent of Transportation)
2. COO-Rail
3. Superintendent of Transportation
4. Superintendent of LRV Maintenance
5. Superintendent of Wayside Maintenance
6. Assistant Superintendent of Transportation
7. Assistant Superintendent of LRV Maintenance
8. Assistant Superintendent of Wayside Maintenance
9. System Safety Manager
10. Central Control Supervisor
11. Director of Transit System Security

- 12. Assistant Central Control Supervisor
- 13. MTS Risk Management

3.1.3.2.3 Minor Accident/Injury

When accident or injury is of a minor nature and occurs after normal business hours or on weekends, the same notifications must be made, but discretion must be used as to the time such calls are made.

3.1.3.2.4 Regulatory Notifications

The following identifies the thresholds that incidents must meet to be reported to regulatory agencies.

California Public Utilities Commission

CPUC staff is notified within two hours of rail accidents that meet the immediately reportable thresholds, as defined in GO 164-E Section 7.2 as follows:

- a. A fatality (occurring at the scene or within 30 calendar days following the accident)
- b. One or more persons suffering serious injury
- c. A collision involving a rail transit vehicle and any other vehicle, object, or individual
- d. A derailment of any rail transit vehicle at any location, at any time, whatever the cause
- e. An evacuation for life safety reasons
- f. A runaway train

Federal Transit Administration/Federal Railroad Administration

The Federal Transit Administration (FTA) requires concurrent notification for all immediately reportable accidents as outlined in GO 164-E Section 7.4.

The Federal Railroad Administration (FRA) is notified within two hours of rail accidents that occur on joint or shared use segments and meet the established criteria as follows:

- a. An incident that results in a fatality or fatalities
- b. Causes serious injury to a number of people
- c. Results in a major disruption to SDTI service
- d. A threat that may cause injury to patrons or destruction of facilities

The FTA Region IX office and FRA Region VII headquarters must also be notified using the above criteria as well as any other incident that could impact transit and/or generate public or media attention.

National Transportation Safety Board

Train accidents and incidents meeting the following established criteria must be reported within two hours:

- Fatalities or injuries of a critical nature (requiring hospitalization) or two (2) or more employees or passengers
- Fatalities at grade crossing (trespassers not included)
- Evacuation of passengers resulting from an onboard fire or other hazardous condition that would require the dispatching of a fire-suppression unit to mitigate

3.1.3.2.5 Incident Investigations

The incident investigation and review process involves the following, as appropriate:

- Interviews and questioning of persons directly or indirectly involved in the accident
- Visual examinations, measurements, and test of light rail vehicle, track, switches, signals, and other similar items
- Operational reenactments simulating conditions that applied when the accident happened
- Review of results of drug and alcohol tests
- Examination of employee training, certification, and re-certification records
- Assessment of employee hours of service records
- Review of light rail vehicle maintenance records
- Examination of wayside equipment maintenance records
- Evaluation of Train Operator and Controller communication recordings
- Review of light rail vehicle and wayside data/event recorder logs
- Examination of operating rules, general notices, procedures, and bulletins
- Review of law enforcement and coroner reports, including reports of similar accidents

3.1.3.2.6 Securing Evidence for Investigation

Standard Operating Procedure (SOP) 106.11: Accident Investigations Involving LRV/Auto or LRV/Pedestrian identifies the duties and responsibilities when an accident occurs as follows:

- Train Operator distributes witness cards and makes an initial effort to identify other individuals, either onboard or in immediate proximity, who may have witnessed the incident.
- After arrival at the scene, the Line Supervisor should arrange to mark the point of impact (POI), uncontrolled point of rest (POR) of the train and other party, photograph property damage of all vehicles or fixed structures involved; the license plate of any non-trolley vehicle involved, and any other relevant items. The Supervisor should arrange to obtain the Train Operator's name and employee number, and other information as may be helpful in completing an appropriate accident report, i.e., direction of travel, train and car numbers, speed at time of accident, etc. In all

cases, the Line Supervisor will complete an internal accident report using the above information.

In order to maintain the preservation and integrity of evidence, the Line Supervisor should include the following methods of collection:

Photography	Debris collection
Interview of personnel and witnesses	Drug test for involved employees
Measurements and drawings	

3.1.3.2.7 Causative Factors

The following causative factors are evaluated at the scene:

Equipment and infrastructure	Annunciators
Human factors	Track wheels
Weather conditions	Emergency brakes
Geography	Sand
Position and status of signals	Point of rest of involved vehicle
Switches	

3.1.3.2.8 Minor Property Damage (No Injuries)

Law enforcement, as normal procedure, will not generally respond to a noninjury accident. They are, however, notified. This notification is reflected on the Unusual Occurrence Report. Law enforcement should be requested if the collision involves a government vehicle, a hit-and-run incident, if the driver appears to be intoxicated, or if injuries are reported.

3.1.3.2.9 Minor Injuries

In collisions involving minor injuries to the occupants or pedestrians and/or property damage only, the Line Supervisor arriving at the scene represents SDTI in the exchange of information between the involved parties and ensures that any statements regarding the collision are recorded in written form from all involved parties or witnesses.

If law enforcement has not arrived by the time all pertinent information is obtained, the Line Supervisor has authority to release the train. If law enforcement personnel arrive after this time, the Line Supervisor represents SDTI by providing or exchanging any additional information.

3.1.3.2.10 Moderate or Severe Injuries

In collisions involving moderate or severe injuries, responding law enforcement may conduct full accident investigations or file incident reports. The responding Line Supervisor prepares a detailed accident report regardless of the actions of law enforcement, but takes all steps necessary to work in unison with responding

agencies in the exchange of information, and respects potential crime scenes as under authority of law enforcement.

3.1.3.2.11 California Public Utilities Commission Participation in Investigations

The CPUC has primary responsibility within the State of California for oversight of SDTI accident investigations and the System Safety Manager is the primary contact for the CPUC-designated representative assigned SDTI. The System Safety Manager is responsible for providing CPUC staff an opportunity to participate to the fullest extent possible in all aspects of the accident investigation, including providing advanced notification of interviews, inspections, examinations, tests, and meetings with consultants, review boards, etc. to review and analyze accident-related information.

In the event that the CPUC produces an investigation report, SDTI will review the report and identify any areas of dissent and agrees to provide a response to the CPUC within prescribed timelines as defined in GO 164-E.

3.1.3.2.12 Reviews

The System Safety Manager is responsible for ensuring that the following activities are performed. When reviewing an accident that resulted in a fatality or serious injury, notice shall be given to the CPUC whenever an accident investigation team or panel is convened to perform interviews, inspections, examinations, or tests to determine the cause of the accident. The investigation shall be documented in a written report that identifies the most probable cause and any contributing causes of the accident or unacceptable hazardous condition. The report shall also contain or reference a corrective action plan and schedule to prevent a recurrence of the accident or to mitigate the unacceptable hazardous condition.

3.1.3.2.13 Accident Review Committee

In an attempt to minimize accidents, SDTI conducts post-accident debriefings with each Train Operator involved in an LRV/auto accident or LRV/pedestrian accident. Safety concerns and defensive driving techniques are reinforced through discussion of individual train-handling techniques, physical characteristics/increase of accidents at the location, and previous accidents involving the Train Operator. The Accident Review Committee typically consists of two Train Operators, one Supervisor, a Transportation Training Supervisor or designee, and the System Safety Manager. This review provides an avenue by which the Accident Review Committee and involved Train Operator learn how similar types of incidents may be avoided. Employees found to have violated specific safety rules may be subject to disciplinary measures assessed by the Superintendent of Transportation.

3.1.3.2.14 Major Incident Review Committee

In the event of any unusual occurrence resulting in significant property damage, such as a derailment, significant injuries, or impact to system operations, the

Major Incident Review Committee (MIRC) examines the evidence, determines the cause, and evaluates the response by SDTI. Chaired by the System Safety Manager, MIRC members may include personnel from any relevant departments. The Committee examines the effectiveness of current methods to prevent or minimize the potential of a recurrence and, if necessary, recommendations are made on the modification of policies, procedures, or equipment maintenance and operation. If the extent of the accident requires the expertise of outside consultants, a review board, such as American Public Transit Association (APTA), may be called upon to perform the accident review on behalf of SDTI.

3.1.3.2.15 Reports and Documentation

The System Safety Manager is responsible for conducting investigations and preparing investigation reports.

California Public Utilities Commission Reporting

SDTI investigates, on behalf of the CPUC, all reportable accidents involving a rail transit vehicle or taking place on rail transit-controlled property. SDTI submits written accident reports on forms prescribed by the CPUC within 30 calendar days after the last day of the month in which the accident occurred. The Safety Department produces one of two different types of reports for CPUC reportable accidents, an investigative report or a 60-Day Minor Incident Report. These reports contain findings of the investigation, the most probable cause of the accident, contributing factors, and recommendations for corrective action to prevent a recurrence of the accident. As part of an agreement made by the CPUC and the ROAR Committee in Fall 2007, which was documented in the ROAR Committee Meeting minutes, the Table 5: CPUC Incident Reporting Thresholds was established to identify which of the above two reports will be submitted based on the incident thresholds.

The CPUC has primary responsibility for oversight of the design, engineering, construction, and operation of fixed guideway systems within the state of California. State-mandated rules and regulations which are applicable to safety-related matters are contained in GOs 22-B, 26-D, 33-B, 72-B, 75-D, 88-B, 95, 108, 110, 118, 127, 128, 135, 143-B, 161, 164-E, 172 and 175. SDTI rail segments with shared- or joint-use heavy rail operation and rail segments with light rail-exclusive usage each have a set of general orders applicable to their unique operational characteristics. The System Safety Manager is responsible for confirming that staffs who work on the SDTI system are familiar with all applicable GOs.

Table 5: CPUC Incident Reporting Thresholds

Investigative Report	60-Day EZ
<ul style="list-style-type: none"> • Fatality (including suicides) • Serious injury to one or more people (does not include persons onboard the train). Serious injury is any injury or illness that requires inpatient hospitalization for a period in excess of 24 hours for other than medical observation, loss of any member 	<ul style="list-style-type: none"> • Two (2) or more injuries onboard the train that are transported for medical attention away from the scene

of the body, or serious degree of permanent disfigurement.

- Collision minor/no injury
- Yard collisions
- Damage less than \$25,000
- Mainline derailment
- Mainline collision between rail vehicles
- Evacuation due to life safety
- Damage in excess of \$25, 000

- Collision minor/no injury
- Yard collisions
- Damage less than \$25,000

SDTI also submits a Form V (Monthly Service Record, Accident, Hazard, and Corrective Action Summary Report) regardless of the number of reportable accidents or unacceptable hazardous conditions. These reports are provided to the CPUC representative. The System Safety Manager reports to the CPUC representative.

If an accident is ruled as "suicide" or "attempted suicide," the investigation report shall identify this based upon the review of the Train Operator's report, witness statements, law enforcement reports, and/or coroner's reports.

If an MIRC is convened to investigate the accident, all team members including CPUC staff shall receive a copy of the final report in draft form. In cases where disagreement exists between team members regarding any aspect of the report, the System Safety Manager exercises ultimate authority. The final report is a Safety Department document.

A corrective action plan is also submitted to the CPUC office for accidents that require a recommendation other than internal defensive-driving reinstruction. Corrective actions from accidents, MIRC committee meetings, and investigations are confidential and kept with the Safety Department files.

If an accident investigation takes longer than 60 days, status reports will be submitted to the CPUC each month. The first status report is due 60 days after the rail accident.

If the final investigative report is acceptable to the CPUC a formal letter is issued approving the report as consistent with best industry investigation procedures and in furtherance of the public's interest in system safety and security. If it not acceptable, the CPUC shall identify within six months from the date of the submittal, the areas in the report requiring correction. If SDTI does not agree with the rejection, the CPUC shall either conduct its own investigation, or communicate its disagreement with the findings of the accident investigation to SDTI. The CPUC will then meet with SDTI in an effort to reach a mutually-agreed upon solution. If a mutually agreed upon solution is not reached, SDTI's report and the CPUC's statement of disagreement shall be filed with the CPUC.

No investigation report or recommendation of the CPUC or other investigation report of SDTI's that is filed with the CPUC shall be admissible as evidence in any action for damages based on or arising out of matters covered therein pursuant to Public Utilities Code Section 315.

Federal Railroad Administration Reporting

The Statement of Agency Policy, 49 CFR 42526 and 42529, dated July 10, 2000, requires that rail transit agencies report accidents that meet reporting thresholds that occur on shared- or joint-use heavy-rail segments be reported. These reports are submitted by the System Safety Manager.

Table 6: FRA Reporting Thresholds

Form 6180.56	Annual Report of Employee Hours Worked and Casualties By State <ul style="list-style-type: none"> Submitted every year with the December submission
Form 6180.55	Railroad Injury and Illness Summary <ul style="list-style-type: none"> Submitted each month even if there were no reportable accidents/incidents during the month
Form 6180.57	Highway-Rail Grade Crossing Accident/Incident Report <ul style="list-style-type: none"> Train accidents on crossings and corridors shared with heavy rail operations under the jurisdiction of the Federal Railroad Administration
Form 6180.55a	Railroad Injury and Illness Summary (continuation sheet) <ul style="list-style-type: none"> Completed for each injury reported on Form 6180.57
Form 6180.54	Rail Equipment Accident/Incident Report <ul style="list-style-type: none"> Should damage to MTS equipment, track, or other property exceed the FRA damage threshold, Form 6180.54 must also be submitted. The calculation of damage includes labor costs and all other costs to repair or replace in-kind, damaged on-track equipment, signals, track, track structures, or roadbed. Reportable damage does not include the cost of clearing a wreck; however, additional damage to the above-listed items caused while clearing the wreck is to be included in the damage estimate.

NOTE: All signed forms shall be emailed to RSISAIREPORTS@dot.gov

National Transit Database Reporting

The National Transit Database (NTD) records transit-related Safety and Security data and incidents that meet certain thresholds. These reports are submitted within 30 days by the System Safety Manager through the NTD reporting website based on the following criteria:

1. A personal injury that is not a serious injury;
2. One or more injuries requiring medical transportation away from the event; and
3. Damage to facilities, equipment, rolling stock or infrastructure that disrupts the operations of a rail transit agency.

Table 7: NTD Quick Reporting Reference Guide (CY 2019)

2020 NTD Safety & Security Quick Reference Guide – Non-Rail Mode Reporting

Reportable Event: A safety or security event occurring: on transit right-of-way or infrastructure, at a transit revenue facility, at a maintenance facility, during a transit related maintenance activity, or involving a transit revenue vehicle. Excluded from this event reporting requirement are: events that occur off transit property where affected persons, vehicles, or objects come to rest on transit property after the event, OSHA events in administrative buildings, deaths that are a result of illness or other natural causes, other events (assault, robbery, non-transit vehicle collisions, etc.) occurring at bus stops or shelters that are not on transit-owned property (unless boarding/alighting at the time), collisions that occur while travelling to or from a transit-related maintenance activity, collisions involving a supervisor car, or other transit service vehicle operating on public roads.)

S&S-40 Major Event Report	S&S-50 Non-Major Monthly Summary
<p>MAJOR THRESHOLDS</p> <p>An event meeting the reportable event definition AND meeting <u>one or more</u> of the following reporting thresholds:</p> <ul style="list-style-type: none"> • A fatality confirmed within 30 days (including suicide) • An injury requiring transport away from the scene for medical attention for one or more persons (partial exception in the case of Other Safety Events) • Estimated property damage equal to or exceeding \$25,000 • An evacuation for life safety reasons • Collisions involving transit roadway revenue vehicles that require towing away of a transit roadway vehicle or other non-transit roadway vehicle <p>Reports are due within 30 days of the date of the event.</p>	<p>NON-MAJOR THRESHOLDS</p> <p>Less severe Other Safety Occurrence Not Otherwise Classified (OSONOC) injuries meeting the reportable event definition that are NOT a result of a collision, evacuation, security event, hazmat spill, or Act of God; and non-major fires.</p> <p>Other Safety Occurrence Not Otherwise Classified (OSONOC):</p> <ul style="list-style-type: none"> • Single injury event requiring transport away from the scene for medical attention (<i>do not report "minor" collisions on S&S-50</i>) <p>Fires:</p> <ul style="list-style-type: none"> • Requiring suppression that do not meet a major incident reporting threshold <i>injury, fatality, evacuation, or property damage of \$25,000 or more</i>. <p>Reports due by the end of the following month (e.g., January data due by end of February).</p>
<p>EVENT TYPES</p> <ul style="list-style-type: none"> • Collision (including suicide/attempted suicide) • Fire • Hazardous material spill (requires <i>specialized</i> clean-up) • Acts of God (nature) • System security: <ul style="list-style-type: none"> ○ Arson ○ Bomb threat/bombing ○ Burglary / Vandalism ○ Chemical/biological/radiological/nuclear release ○ Cyber security event ○ Hijacking ○ Sabotage ○ Suspicious package ○ Other security event (shots fired, projectiles, etc.) • Personal Security: <ul style="list-style-type: none"> ○ Assault ○ Homicide ○ Suicide or Attempted Suicide (no transit vehicle involved) ○ Robbery ○ Larceny/theft ○ Motor vehicle theft ○ Rape ○ Other personal security events (perpetrator tazing) • Other Safety Occurrences Not Otherwise Classified (OSONOC) (two injuries and/or another threshold) <ul style="list-style-type: none"> ○ Miscellaneous events that meet a threshold 	<p>EVENT TYPES</p> <p>Other Safety Occurrence Not Otherwise Classified (OSONOC):</p> <p>Injury due to:</p> <ul style="list-style-type: none"> • Slip/Trip • Fall <ul style="list-style-type: none"> ○ Including person making contact with a non-moving transit vehicle • Injury to maintenance workers • Boarding/alighting • Abrupt or evasive transit vehicle maneuvers • Mobility device (e.g. wheelchair) securement issues • Injury sustained on a mobility device lift • Stairs/elevator/escalator injury <p>Fire:</p> <ul style="list-style-type: none"> • Requires suppression but no major threshold is met <ul style="list-style-type: none"> ○ Small fire on in transit station ○ Small engine fire on transit vehicle

Reportable incidents include events that occur in transit centers or parking lots of transit centers. Incidents occurring in the maintenance department of a transit agency or related to maintenance activities are excluded from the reportable incident category, as are incidents involving an on-duty transit vehicle operator not engaged in directly performing his/her operator duties.

3.1.4 Infrastructure Maintenance and Inspection

3.1.4.1 Facilities and Equipment Inspections

The Facilities Department is responsible for the maintenance and cleaning of fixed facilities, including stations, parking areas, irrigation, weed control, and exterior cleaning of nonrevenue vehicles. Scheduled weekly maintenance includes maintenance of stations, facilities/buildings and grounds, as well as vehicle inspections. Bimonthly maintenance is performed on the LRV car wash and sludge/drain system, and stations and facilities maintenance are conducted annually and as needed. A Supervisor ensures that corrective actions are implemented and closed out in a timely manner and reviews inspection and trouble reports. On-site facilities are inspected monthly for unsafe and unhealthy conditions and are documented utilizing building inspection checklists. The results of these inspections are reported to the appropriate department so that the condition can be corrected and/or operational changes can be made.

3.1.4.2 Maintenance Inspection Program

Wayside Maintenance Department

Preventive maintenance is performed for both track and signals in accordance with FRA Regulations, Part 213 for Track, FRA Part 234 for Grade Crossing and FRA Part 236 for Signals. SDTI internal Standard Operating Procedures schedule maintenance for other equipment not covered by FRA rules, such as traction power substations, OCS, overpasses, bridges, and tunnels.

The inspection interval is time-based, and nonrevenue vehicles are scheduled by mileage. A list of Wayside scheduled maintenance programs designed to examine both the safety and efficiency of the operating equipment follows:

DAILY	WEEKLY
<ul style="list-style-type: none"> • Station lighting • Rights-of-way • Maintenance facilities • Non-revenue vehicles 	<ul style="list-style-type: none"> • Track (twice weekly) • Track bonds • Street switches • SDSU emergency lighting/walkway for tunnel • SDSU tunnel structure integrity (completed during track inspections)

MONTHLY	QUARTERLY
<ul style="list-style-type: none"> Substation batteries Switch inspections per FRA rules Gates and crossing protection equipment FRA inspections: 103, 104, 107 	<ul style="list-style-type: none"> SDSU wet standpipes (under maintenance contract with Simplex/Grinnell) Substations SDSU under car deluge test
ANNUALLY	5-YEAR
<ul style="list-style-type: none"> OCS, trees and shrubs for interference with overhead wires and pedestrian walkways, FRA inspections: 106, 108, 109 Preventive maintenance for portable equipment and rail-bound maintenance equipment, with recertification provided bi-annually by a designated contractor. Emergency vent fans Sump pumps SDSU underground phones Annual bridge inspections by a designated contractor 	<ul style="list-style-type: none"> Overpasses, bridges and tunnels

3.1.5 Vehicle Maintenance, Inspection, and Repair

3.1.5.1 LRV Scheduled Maintenance

Scheduled maintenance is performed periodically on the basis of time intervals, mileage intervals, and manufacturer's specifications. Each inspection targets a specific area along with a visual check of all subsystems to ensure nothing is overlooked. A list of LRV scheduled maintenance programs that are designed to examine both the safety and efficiency of the operating equipment follows:

U2	SD-100
<ul style="list-style-type: none"> Daily Inspection Daily Cleaning Procedures for LRVs 6 Month Inspection Annual Inspection 6 Month Oil Change 	<ul style="list-style-type: none"> Daily Inspection 7.5K Inspection 22K Inspection 1 Year Inspection
SD-7/SD-8/SD-9	PCC
<ul style="list-style-type: none"> Daily Inspection 7.5K Inspection 15K Inspection 30K Inspection 60K Inspection 	<ul style="list-style-type: none"> Daily Inspection 30 Day Inspection 6 Month Inspection 12 Month Inspection

3.2 MANAGEMENT OF CHANGE

3.2.1 Configuration Management

System modifications are carefully evaluated and considered from concept to design and implementation to determine how the change might affect the safety of the system. MTS, SDTI, and SANDAG staffs, as applicable, working under the direction of SDTI, evaluate the proposed modification for its potential to create additional hazards or to reduce the effectiveness of existing hazard controls. MTS, SDTI, and SANDAG staffs, as applicable, coordinate the integration of new equipment, system expansion, modification, and system rehabilitation from the design and procurement effort through construction, inspection, testing, and start-up. GO-164-E requires a Safety Certification Plan be developed and submitted to the CPUC for review and approval during the project preliminary design phase. The Safety Certification Plan purpose is to ensure extensions and the new capital and new capital projects are reviewed for compliance with safety requirements and to ensure the system satisfies operational readiness to enter revenue service.

3.2.1.1 Regional Project Implementation

Regional Projects are administered by SANDAG project implementation staff under the direction of SDTI, MTS, and SANDAG management. The SANDAG project implementation team develops contract documents (plans and specifications) and organizes review meetings with SDTI, SANDAG, consultants, and other agency staff, as needed. The project is constructed in accordance with the contract documents and contract change orders, and contract work built by the contractors is tested and inspected.

3.2.1.2 Change Control

The purpose of configuration management is to establish standard procedures and policy for the control of changes to transit systems and facilities. The configuration management process is applied to any changes or modifications to the system that may affect operational safety. The process is followed for creation of construction plans and specifications, specification and procurement of vehicles and components, and contract change orders. The SANDAG project engineer shall solicit input from SDTI staff during the scoping, design, and construction phases of a project. The SANDAG project engineer is responsible for carefully reviewing and coordinating SDTI input and shall evaluate all possible impacts to the system before recommending a project scope and design to the COO-Rail for approval.

Modifications to safety critical subsystems like tracks, structures, grade crossings, or vehicles must be designed by professional engineers and then managed by professional construction managers. Once construction is complete and safety certification is verified, revenue operation may start. Any changed conditions are recorded on as-built documents then addressed in operations and maintenance manuals, procedures, and by training.

The process establishes and documents the authority needed to make configuration changes, the process for incorporating these changes in all appropriate documentation, and the process for ensuring that all necessary business units are aware of such changes. A systematic and comprehensive review and approval process will occur before changes are made.

Configuration Management ensures that:

- The primary and secondary impacts of all system changes are adequately addressed during the scoping phase of a project or procurement
- A careful, systematic, and comprehensive review and approval occur during the design and construction phase of a project or procurement
- Revision records are maintained with the document
- Only the latest approved document is distributed
- The completed modifications are properly incorporated into the existing system

Thorough configuration records and controls are in effect to ensure that an audit trail exists, tracking the current facility or equipment configuration back to its inception, and that only the current approved set of documents is released for construction and operations. All completed documentation concerning changes or updates of as-built documents are maintained and/or filed at the SANDAG engineering offices, as applicable.

3.2.1.3 New Systems

SDTI staff will review project design documents (plans and specifications, failure and critical analysis reports), equipment submittals, test procedures and reports, operations and maintenance manuals, and other related documents as needed. An inspection of the finished system ensures compliance with all SDTI, manufacturer, federal, state, and local requirements.

3.2.2 Safety and Security Certification Process

The Safety Certification Program verifies that safety-related requirements are incorporated into rail transit projects. The goal is to verify that safety standards are met or exceeded in the design, construction, and start-up of these projects. SANDAG self-certifies regional SDTI rail transit projects, subject to the safety oversight of the CPUC. The CPUC requirements for safety certification are identified in General Order 164-E, which SDTI adheres to. The SANDAG Director of Engineering and Construction is responsible for overseeing the activities of the safety certification plan as applied to regional SDTI rail transit projects. A safety certification plan identifies all project elements considered safety-critical that must be verified prior to incorporation into the system.

3.2.2.1 Purpose of Safety and Security Certification

The purpose of the safety certification process is to:

- Identify the processes to verify and document that the design, construction, and installation of facilities, systems, and equipment are in compliance with design criteria, conformed contract specifications, and applicable safety and security requirements
- Hazards are identified, analyzed, and resolved
- Contractor training and operations and maintenance manuals are provided to SDTI staff
- Rules and procedures are written
- Operations personnel are trained in rules and procedures
- Emergency services personnel are trained on rail systems and facilities
- Emergency drills are conducted
- Safety and security documentation is properly maintained

3.2.2.2 Goals of Safety and Security Certification

The goals of the safety certification process are that:

- All SANDAG rail transit projects meet or exceed acceptable safety levels
- Verification of safety standards are documented
- A consistent manner to certify projects is established and followed

3.2.2.3 Objectives of Safety and Security Certification

Safety certification covers the design, construction, testing, training, and operational safety and security of the following:

- System Safety: Elimination, minimization, or control of potential hazards to patrons, the general public, employees, contractors, and property to the most practical level through effective use of available design, engineering, and/or procedural measures
- Fire/Life Safety: Elimination, minimization, or control of potential hazards to patrons, employees, emergency response personnel, property, and the general public caused by fire, smoke, explosion, or resulting panic to the most practical level through effective use of available design, engineering, and/or procedural measures
- Occupational Safety: Elimination, minimization, or control of potential hazards to employees, contractors, and emergency response personnel to the most practical level through effective use of available design, engineering, and/or procedural measures during revenue service
- System Security: Elimination, minimization, or control of potential security threats and vulnerabilities to patrons, the general public, contractors, and property to the most practical level through the effective use of available design, engineering, and/or procedural measures

3.2.2.4 Elements of Safety and Security Certification

Safety certification verifies that safety-critical subsystems, plans, procedures, and training programs are reviewed for compliance with safety requirements prior to the start of revenue service.

- The safety features required by the technical specifications are properly included in the finished product(s)
- Subsystems are tested and inspected to verify that the safety features perform as the design intended
- The hazard identification analysis and resolution process is performed
- Plans, procedures, and training programs are developed, reviewed, and implemented prior to the start of revenue service
- Responsible program participants verify that the above are completed to document a traceable history of the safety certification process
- Security certification coordination for maintenance elements and major capital projects is included in the safety certification process as it pertains to those facilities

3.2.2.5 Safety and Security Certification Process

As applicable, SANDAG is responsible for self-certifying and has overall responsibility for the safe and dependable design, construction, and pre-revenue operation of safety-critical projects. The following steps typically comprise the safety certification process:

- Step 1: Identify certifiable elements
- Step 2: Develop safety and security design criteria
- Step 3: Develop and complete design criteria conformance checklist
- Step 4: Perform construction specification conformance
- Step 5: Identify additional safety and security test requirements
- Step 6: Perform testing and validation in support of safety certification
- Step 7: Manage integrated tests for safety certification
- Step 8: Manage open items in the safety certification program
- Step 9: Verify operational readiness
- Step 10: Conduct final determination of project readiness and issue a Safety Certification Verification Report

If complications arise that render a safety-critical system element incomplete or temporarily unavailable, the deficiency can be mitigated by establishing operating restrictions, general notices or bulletins are issued to all affected departments. Compliance with the general notice or bulletin dealing with an exception is monitored constantly to ensure compliance.

3.2.2.6 Safety and Security Certification Verification Report

The final step of safety certification before a new project, modified system, equipment, or facility may enter revenue service is the preparation of the Safety Certification Verification Report (SCVR). The SCVR provides an executive summary of certifiable elements prior to revenue service. The SCVR includes

safety certification letters documenting signature sign-off by department heads and the COO-Rail. The SCVR provides documentation as follows:

- Design and construction reviews
- Certificates of safety compliance
- Testing
- Plans, rules, and procedures
- Emergency drills (if necessary)
- Maintenance training
- Operations training
- Operations and maintenance manuals
- Hazard identification and resolution
- Audits
- Security certification
- Exceptions list

The SCVR is transmitted by the CEO to the CPUC Rail Safety Division Director at least 15 days prior to revenue service requesting final authority to approve the project for revenue service. An approval letter from the CPUC is required prior to commencement of revenue service.

3.2.2.7 Roles and Responsibilities

SDTI Participation

SDTI and SANDAG, as applicable, are responsible for ensuring the design review process for new equipment, system expansion, and system modifications comply with the requirements specified under the Configuration Management Plan, and any hazards associated with system expansions or modifications are included in the hazard identification analysis and resolution process.

SDTI staff's participation in the project implementation phases of planning, design, construction, and start-up and testing is required to ensure the system is designed and constructed in compliance with the operational and maintenance needs.

Chief Executive Officer

The MTS CEO will provide input and direction during project implementation.

Chief Operating Officer-Rail

The SDTI COO-Rail will be a member of the Rail Activation Committee and may chair a pre-revenue operations subcommittee.

Superintendent of Transportation

The SDTI Superintendent of Transportation, under direction of the COO-Rail, will provide input on operating plans, train timetables, train-consist configurations,

fleet and equipment needs, operational characteristics, and other operational requirements.

Superintendent of Wayside Maintenance

The SDTI Superintendent of Wayside Maintenance, under direction of the COO-Rail, will provide input to the project team on wayside and system maintenance issues.

Superintendent of LRV Maintenance

The SDTI Superintendent of LRV Maintenance, under direction of the COO-Rail, will provide input to the project team on vehicle issues.

MTS Chief of Police

The MTS Chief of Police manages the MTS Transit Enforcement Department. The Chief of Police, with Transit Enforcement Department staff as needed, will coordinate closely and participate in the Safety and Security Review and Fire Life Safety and Security Committees with emphasis on operational and construction security issues.

System Safety Manager

The SDTI System Safety Manager coordinates closely with the COO-Rail and may chair the Safety and Security Review and Fire Life Safety and Security Committees, as appropriate.

Safety and Security Certification Committees

Multiple committees may be established in support of project certification programs, including the Safety & Security Review and the Fire Life Safety & Security Committees. Membership on these committees may change as the projects enter different phases.

Safety and Security Review Committee

The Safety and Security Review Committee (SSRC) is a multidisciplinary working group that serves as a high-level committee to address all safety and security issues for projects. This committee oversees the implementation of each project's Safety and Security Certification Plan.

Fire/Life Safety and Security Committee

The Fire/Life Safety and Security Committee (FLSSC) membership consists of SANDAG and MTS staff, along with representatives from fire, police, emergency services, and local building code agencies. The FLSSC is to review requirements that relate to fire life safety and obtain concurrence from local authorities having jurisdiction that the proposed designs meet code requirements. The FLSSC also reviews security requirements.

CPUC Participation

CPUC GO 164-E requires that the Safety Certification Plan be developed and submitted to the CPUC for review and approval during the preliminary design phase of safety critical projects. The CPUC formally approves the Safety Certification Plan prior to the project final engineering phase.

3.3 CONTINUOUS IMPROVEMENT

MTS is committed to evaluating the effectiveness of its procedures for operations and maintenance. Various methods are routinely used to perform this assessment including, but not limited to the following: internal safety reviews, employee performance observation reports, efficiency testing. Additionally, external safety reviews are periodically conducted by established federal, state and local oversight agencies.

3.3.1 Safety Assessment

3.3.1.1 Internal Safety Management Reviews

Annual internal safety audits are conducted by the System Safety Manager and agency staff (reviewers) to ensure that compliance is maintained and objectives are met. If the System Safety Manager is responsible for the audit checklist under review, agency staff independent of the safety function will complete the checklist. Additionally, reviewers must be independent from the first line of supervision responsible for the checklist under review. Internal safety audits required by the FTA Oversight Rule 49 CFR Part 674 for Fixed Guideway Systems are witnessed by a CPUC-designated representative. Should there be a disagreement on findings, the responsible party and reviewers will meet with the COO-Rail. If no resolution can be reached by the COO-Rail, then the internal auditor and CEO will review and issue a final determination. The System Safety Manager provides monthly progress reports to the CPUC-designated representative on the status of the open items/recommendations, as well as to the COO-Rail for review and comment on the status of recommendations and corrective actions.

Table 8: Process for Conducting Reviews

Task	Deadlines (no later than)
1 Ensure checklist reference sheets are up-to-date	Prior to next step
2 Notify reviewers and CPUC of audit checklists and audit dates via memo and meeting invitation	30 days prior to beginning of audit
3 Complete audit of checklists	December 31 of audit year

4	Review findings of each checklist reviewed with COO-Rail and responsible departments. Draft corrective action plan, if necessary.	January 31 of following year
5	Submit final internal safety audit including findings and corrective action plan, to CPUC	February 15 of following year

The CPUC also conducts periodic safety audits. Audits may include review of equipment, procedures and programs, inspection of documents and records relative to operations and maintenance, and tracking and resolving open defects during inspections.

Results from the annual internal safety audit are documented in a report submitted to the CPUC annually by February 15 as required by 49 CFR Part 674 and GO 164-E. This annual audit includes elements scheduled on a rotation to ensure that all twenty-one elements are completed during the three-year cycle. This schedule is included with the Internal Safety Audit Report.

The report summarizes the results of the internal safety audit. Any deficiencies or instances of noncompliance are brought to the attention of the responsible department by the System Safety Manager. During this discussion, a corrective action plan (CAP) is created and it is determined that any disagreement or discrepancy found is resolved. The correction action plan contains the identification of the required action needed to minimize, control, correct or eliminate the identified risk and hazard; the schedule for taking these actions and identifies responsible party. Documentation of corrective action progress and resolution is given to the System Safety Manager by each department for review and final closure. The System Safety Manager is responsible for tracking all corrective actions to completion and submits progress reports monthly to the CPUC.

3.3.1.2 External Safety Management Resources

A compliance safety management review is available when it is determined that verification of compliance to policies, plans, procedures, milestones, or other predetermined requirements need to be made. These compliance safety management reviews indicate whether requirements are met (yes or no) or partial compliance.

Peer reviews are a valuable resource to SDTI for assessing all aspects of transit operations and functions. Highly experienced rail transit personnel who are selected on the basis of their subject matter expertise conduct the peer reviews on-site. Through the benefits of on-site interviews of SDTI staff and review of relevant documents, the peer review panel concludes its review with a summary of observations and recommendations as needed.

DEPARTMENTS SUBJECT TO REVIEW

Task	Department
1 Policy Statement	Safety
2 Purpose, Goals, and Objectives	Safety
3 RTA Management Structure	Safety
4 Interdepartmental/Interagency Coordination	Safety
5 Plan Implementation, Plan Review, and Modification	Safety
6 Hazard Management Program	Safety
7 Safety Certification Process	SANDAG Project Management
8 Safety Data Acquisition	Safety
9 Incident Notification, Investigation, and Reporting	Safety
10 Emergency Management Program	Safety
11 Internal Safety and Security Audit Program	Safety
12 Rules Compliance	Transportation LRV Maintenance Wayside Maintenance Facilities
13 Facilities and Maintenance Inspections	Facilities LRV Maintenance Wayside Maintenance
14 Maintenance Audit and Inspection Program	Wayside Maintenance
15 Training and Certification Program	Transportation LRV Maintenance Wayside Maintenance Facilities
16 Configuration Management Process	SANDAG Project Management
17 Compliance with Local, State, and Federal Safety Requirements	Safety
18 Hazardous Materials Program	Safety
19 Drug and Alcohol Program	Human Resources
20 Procurement	SANDAG/MTS Procurement
21 <u>Security (five elements over three years)</u> <u>S-1: Identify Policies, Goals and Objectives</u> <u>S-2: Process for Management of Threat Vulnerabilities</u> <u>S-3: Identification Concepts for Passenger and Employee Security</u> <u>S-4: Process for Internal Security Audits</u> <u>S-5: Process for Generating Security Plans</u>	Security



Task	2020	2021	2022	2023
1 Policy Statement		2021		
2 Purpose, Goals, and Objectives		2021		
3 RTA Management Structure		2021		
4 Interdepartmental/Interagency Coordination	2020			2023
5 Plan Implementation, Plan Review, and Modification	2020			2023
6 Hazard Management Program	2020			2023
7 Safety Certification Process (SANDAG)			2022	
8 Safety Data Acquisition			2022	
9 Incident Notification, Investigation, and Reporting	2020			2023
10 Emergency Management Program	2020			2023
11 Internal Safety and Security Audit Program		2021		
12 Rules Compliance			2022	
13 Facilities and Maintenance Inspections		2021		
14 Maintenance Audit and Inspection Program		2021		
15 Training and Certification Program			2022	
16 Configuration Management Process (SANDAG)				
17 Compliance with Local, State and Federal Safety Requirements		2021		
18 Hazardous Materials Program	2020			2023
19 Drug and Alcohol Program		2021		
20 Procurement (SANDAG)			2022	
21 Security (five elements over three years)	2020	2021	2022	2023
S-1: Identify Policies, Goals and Objectives	2020			2023
S-2: Process for Management of Threat Vulnerabilities	2020			2023
S-3: Identification Concepts for Passenger and Employee Security		2021		
S-4: Process for Internal Security Audits			2022	
S-5: Process for Generating Security Plans			2022	

ISA Master Schedule based on GO 164-E requirements effective May 3, 2007

3.3.1.3 External Safety Management

Compliance safety management review focuses on verification of compliance to policies, plans, procedures, milestones, or other predetermined requirements. These compliance safety management reviews indicate whether requirements are met (yes or no) or partial compliance.

Peer reviews are a valuable resource to SDTI for assessing all aspects of transit operations and functions. Highly experienced rail transit personnel who are selected on the basis of their subject matter expertise conduct the peer reviews

on-site. Through the benefits of on-site interviews of SDTI staff and review of relevant documents, the peer review panel concludes its review with a summary of observations and recommendations.

3.3.1.4 Safety Culture Assessment

It is important for SDTI to continually assess its effectiveness on overall safety. Since safety culture is not “visible,” assessment is not simple. Types of assessment instruments may include the following:

- Surveys of employee attitudes, opinions, and perceptions
- Written questionnaires
- Face-to-face interviews
- Focus group interviews
- Ability of the organization to focus on long term performance
- How SDTI handles conflicts
- How SDTI views errors and mistakes
- Ability of the organization to focus on improving safety defenses instead of assigning blame
- SDTI’s proactive stance toward safety

4.0 SAFETY PROMOTION

Safety promotion has two subcomponents:

1. Safety Communication
2. Competencies and Training

Safety promotion provides increased safety awareness through safety training and communications. This process helps employees have the skills needed to perform their job safely and to have shared ownership of MTS's safety program. Management commitment is demonstrated through visibility of safety throughout MTS.

4.1 SAFETY COMMUNICATION

An effective SMS includes a positive safety culture where there is a two-way feedback loop between frontline employees and management about safety information. This communication fosters an environment where hazards and safety risks are routinely discussed and employees feel encouraged to report safety concerns. Management commitment is essential to ensure an effective SMS.

SDTI uses the intranet to communicate safety activities and events throughout the agency including updates to critical documents, such as the Public Transportation Agency Safety Plan. SDTI also uses bulletins communicating safety activities and events. These bulletins are placed on display boards throughout the SDTI workplace.

4.1.1 Workplace Safety Programs

4.1.1.1 Industrial /Occupational Safety Program

SDTI has developed and implemented an Injury and Illness Prevention Program (IIPP) to maintain a self and healthful workplace for employees. The IIPP Manual includes the following:

- Management Commitment/Assignment of Responsibilities
- Safety Communications
- Hazard Assessment and Control
- Accident Investigation
- Safety Planning, Rules, and Work Procedures
- Safety and Health Training

SDTI's IIP is designed to have input from employees and coordination with labor unions and their local representatives. Contractors are also required to conform to industrial and occupational safety program requirements.

4.1.1.2 Fitness for Duty Program

SDTI is committed to ensuring that employees and contractor personnel are fit for duty. Many factors can affect their overall fitness, including drugs and alcohol, fatigue, prescription drugs, and cognitive distractions.

4.1.1.3 Drug and Alcohol Program

MTS is committed to a drug- and alcohol-free workplace. All MTS employees are issued, and acknowledge receipt (signature to employee file in the Human Resources Department) of the MTS Drug and Alcohol Policy. All guidelines of this policy are prepared according to 49 CFR Parts 653, 654, and 655; Drug-Free Workplace Act, effective August 1, 2001. Policy application is monitored and recorded by the Human Resources Manager, including physical examinations and post-accident test results. Violation of the policy subjects the employee to immediate termination from SDTI.

4.1.1.4 Fatigue Program

Fatigue can contribute to hazardous operations. SDTI has implemented countermeasures to manage this risk potential. These measures include the following:

- Hours of service rules
- Medical evaluations for sleeping disorders
- Awareness training for employees and contractors

4.1.1.5 Medical Monitoring Program

MTS has medical standards that apply to safety sensitive positions which include pre-employment medical examinations and periodic examinations to identify any physical or mental deterioration of employees below thresholds established for safe performance of their duties.

4.1.1.6 Critical Incident Follow-up- Post Traumatic Stress

After significant incidents, such as major accidents, SDTI offers involved employees referral to the Employee Assistance Program (EAP).

After-action reports are prepared that include the following elements:

- Review interagency relationships to minimize interagency misunderstandings
- Ensure that a formal review of problems encountered is performed
- Learn from innovations developed during incidents
- Aid personnel in coping with the stresses of complex traumatic events

Transit personnel and emergency responders often face emotional trauma from serious incidents (post-traumatic stress disorder [PTSD]). SDTI provides access to health professionals to help counteract PTSD.

4.1.1.7 Cognitive Distraction and Attentional Error

Cognitive distraction refers to an employee or contractor taking his or her mind off the job. One major cause of cognitive distraction is the increased use of personal electronic devices, such as cell phones. SDTI has implemented a zero

tolerance for cell phone use while on the job except in designated areas on SDTI property (see section 4.2.5).

4.1.2 Procurement

SANDAG/MTS procurement staff is responsible for planning, solicitation, award, administration, and documentation of contracts. SANDAG/MTS uses procurement procedures that reflect applicable state and local laws and regulations and, when applicable, federal law. All procurements and contracts must be approved in accordance with SANDAG/MTS Board Policies and delegation of authority. All completed documentation is kept on-file at SANDAG/MTS offices concerning procurements and policies.

SANDAG/MTS engineering staff is responsible for ensuring the material supplied conforms to procurement specifications. Per policy and procedures set forth in the Configuration Management Plan product submittals, design drawings, and change orders must be reviewed and approved. Through the efforts of SANDAG/MTS construction management contractors, inspection and quality-assurance measures are implemented to ensure unacceptable material is rejected and discarded.

All employees, agents, and contractors who are permitted to work on SDTI property must adhere to the provisions required by the MTS Agency Safety Plan.

The Safety Data Sheet (SDS) Program has established specific procedures for the acquisition and dissemination of information regarding hazardous materials. All operations and maintenance departments must meet applicable state, federal, and local regulations for the proper labeling, storage, handling, and disposal of hazardous materials, including documentation and recordkeeping requirements.

SDTI Stores Department procedures regarding procurement include:

- Procurement process complies with established procedures for evaluating materials and products for use by SDTI
- Safety Data Sheet requirements are met and copies maintained for all materials and that the materials undergo an evaluation by the Industrial Hygiene and Environmental Safety Section prior to use
- Develop, maintain, and utilize a list of hazardous materials and equipment; enforce procurement restrictions and other procurement procedures
- Follow safety procedures related to hazardous substance acquisition, handling, labeling, storage, disposal, and recordkeeping

4.1.3 Hazardous Materials Program

Procedures are in place to control hazards associated with procurement, storage, transfer, use, and disposal of hazardous substances. These procedures also address recordkeeping and reporting requirements. Hazardous Material Plans are developed for each facility and comply with 40 CFR 372 and SARA Title III Section 313.

The Hazard Communication standards orientation includes training and/or information on:

- OSHA Hazard Communication Standards
- Material Safety Data Sheets (MSDS)
- Physical health effects of hazardous materials used at SDTI
- Steps that SDTI has applied to minimize exposure to these materials
- Methods to determine presence or release of hazardous chemicals
- Emergency procedures for exposure to hazardous chemicals

4.1.4 Public Safety Programs

SDTI provides ongoing passenger and public safety programs to rail transit patrons and the general public. This outreach affects all aspects of the agency. During rail extensions, SANDAG provides outreach during all phases of the project starting with design and culminating in revenue service operations. MTS outreach programs include rail operations and major rail rehabilitation projects.

4.2 COMPETENCIES AND TRAINING

There are many different kinds of training involved in safety promotion. They include the following:

- Training of the Board of Directors on its role in transit safety during regular scheduled Board of Directors meeting
- Training of all employees on their role and responsibilities as they relate to safety performance
- Development of safety competencies at the frontline employee level: formal training on the contents of an effective employee safety reporting system
- At safety management level, training should develop safety data management competencies, how to analyze safety data, extract information from safety data, and turn safety information into safety intelligence

MTS has a very progressive agency-wide training program. All new employees are given safety training, which includes an overview of SMS. Many of the MTS employees have taken safety courses (including SMS) from the FTA's Transportation Safety Institute (TSI). MTS has hosted many TSI classes to enable more MTS employees to attend. Several MTS employees are also TSI instructors.

Accidents, incidents, and near misses are used in training to educate personnel on how to prevent future occurrences.

4.2.1 Rules and Procedures Review

MTS identifies operating and maintenance procedures that affect safety. These operating and maintenance rules and procedures that affect safety are reviewed for their effectiveness, and MTS determines when they would require updates or revisions.

4.2.1.1 Rules and Instructions for Employees

Rules and Instructions for Employees establishes the rules of personal conduct, instructions in the safe operation of trains, signals and interlocking, special operations, electric power systems, and general communications. The Human Resources Manager issues the rulebook to all employees who certify by signed receipt that they have received a copy that they agree to comply with the provisions therein and understand that their failure to comply with such provisions may subject the employee to disciplinary action, up to and including discharge.

4.2.1.2 Standard Operating Procedures

Standard Operating Procedures (SOPs) are issued to employees in each department on an as-needed basis. SOPs cover specific guidelines and instructions on how to perform related duties with the intent to ensure operational and maintenance safety. Departments that are affected by the same procedures are identified on the SOP distribution list. The department heads are responsible for issuing and updating their department's SOPs and distributing to employees within their department.

4.2.1.3 Compliance with Operating and Maintenance Rules and Procedures

The System Safety Manager has the functional authority, under direction of the COO-Rail, to ensure that all employees comply with the ASP and that all operations and maintenance-related functions are performed with the intent to provide safety duties.

Line Supervisors conduct efficiency testing to document inspections of train operator performance. An efficiency test is an inspection of employee performance that is unobserved, unannounced, and unexpected by the train operator. An efficiency test is completed on each train operator every quarter. The efficiency testing program is administered by the System Safety Manager. The supervision and tracking of the efficiency testing program is carried out by Transportation Department training staff.

Line Supervisors also conduct work-site inspections to verify that the work sites and employees are in compliance with the Roadway Worker Protection Program. A representative sample is monitored and logged by the Central Control Supervisor or designee as well as reviewed when there is a derailment, collision, complaint against an operator, report of noncompliance with personal electronic device policy, security events, or to augment efficiency testing or any other event deemed necessary.

4.2.2 Training and Certification Programs

MTS provides agency-wide safety training programs to all employees. All new employees are given safety training, which includes an overview of Safety Management Systems. In addition, MTS sponsors ongoing Transportation Safety Institute (TSI) safety and security training courses to be held either on site in San

Diego or, alternatively, sponsors employees to take TSI training at other locations.

4.2.2.1 Transportation Department Training

The Training Supervisor is responsible for all aspects of training within the department and interdepartmental training for on-track and roadway worker operating qualifications. The Training Supervisor develops programs, conducts classroom/field training for many job classifications, and is responsible for instructional activities for Supervisors, Train Operators, Flagpersons, and LRV Maintenance and Maintenance-of-Way personnel.

The Training Supervisor is responsible for the development of training requirements, initial instruction of new employees, and follow-up training and recertification. The Training Supervisor maintains employee records relative to training sessions, safety-related and defensive operating programs, accident investigation, field exercises and public/customer relations as well as emergency procedures pertaining to a variety of scenarios.

The Transportation Standard Operating Procedures issued to employees include all departmental operating procedures (including safety and emergency procedures) as well as the Rules and Instructions for Employees Handbook. Train Operators and Supervisors (control, yard, and line) are required to demonstrate qualifications on these procedures during initial training. Additionally, training and recertification is required for each Train Operator and Supervisor biennially (after initial qualification) to ensure their current understanding of all safety-related matters and procedures. The System Safety Manager reviews the recertification programs to verify compliance with regulatory requirements.

Train Operators

The 440-hour initial training and biennial 24-hour recertification programs include classroom training, field exercises, and written and practical examinations pertaining to:

- Defensive driving/accident prevention
- Passenger sensitivity
- LRV troubleshooting techniques
- Emergency situation instruction
- Roadway worker safety

Supervisors

The 120-hour initial training and biennial 16-hour recertification programs include:

- Accident investigation
- Equipment operation and troubleshooting
- Emergency situations instruction
- Administrative policy
- Roadway worker safety

Controllers

The 320-hour Controller training and recertification programs include orientation with the Wayside Maintenance, Track, and Security, as well as:

- System failure recovery techniques
- Manual block operations and instructions
- Interdepartmental and interagency communications
- Risk management
- Accident investigation
- Equipment operation and troubleshooting
- Emergency situations instruction
- Administrative policy
- Roadway worker safety

4.2.2.2 Wayside Maintenance Department Training

New employees are instructed on company policies, safety rules, safety programs, and emergency procedures. Each maintainer is registered with the State of California to participate in a four-year Apprenticeship Program. Under this program, personnel must complete college-level training in electricity and electronics and participate in on-the-job and in-house training classes before becoming Journeyman certified. New personnel with experience that demonstrate their knowledge of subject have the option of taking apprenticeship program (AP) examinations. If the new employee is successful in passing all required AP examinations, they qualify to be a Lineman.

Maintenance training is conducted continually. Track personnel participate in the "Track Training Program II" administered by the Railway Educational Bureau of Omaha, Nebraska and supported by SDTI. Qualification is required for main line operation of hi-rail track and rail-bound maintenance equipment. Qualification is required for main line operation of hi-rail track equipment with recertification provided biennially. Roadway Worker Protection Program qualification is required for Wayside Maintenance and Track Department employees with annual recertification.

Safety Meetings conducted by Supervisors cover a variety of subjects that relate to specific job duties such as:

- Hazardous material disposal
- State right-to-know laws
- Electrical safety
- Defensive driving

As part of their daily routine, Shift Supervisors will observe workers' actions to:

- Identify potential hazards and initiate corrective action
- Look for unsafe work habits or improper use of equipment
- Ensure that safety equipment is properly and appropriately used

4.2.2.3 LRV Maintenance Training

Each LRV Supervisor is responsible for providing employee orientation and training, and verifying performance of required safety program activities during their shift. In addition, each maintainer is registered with the State of California to

participate in a four-year Apprenticeship Program. Under this program, an employee must complete college-level training in electricity and electronics and go through on-the-job and in-house training classes before finally receiving certification as a Journeyman by the State of California. All LRV Maintainers are certified on:

- Yard operation of LRVs (limited qualification)
- OSHA forklift operation
- Hazardous communication/blood-borne pathogens

Monthly safety meetings conducted by Shift Supervisors cover topics including:

- Hazardous materials disposal
- Electrical safety
- Shop power red tag/blue flag procedures
- Preventive maintenance for re-rail equipment
- Yard and shop safety
- Safe working habits, ergonomics, and PPE

4.2.2.4 Revenue Department Training

Safety is a vital element in the Revenue Department training program. Revenue Collector/Processors must be alert to the threat of armed robbery, and they are potentially subject to injuries from carrying and lifting heavy coin vaults. Job duties may require driving on congested highways, city streets, and pedestrian-active parking areas. Each employee is issued a company handbook that includes all safety instructions. New employees in the Revenue department are registered with the State of California to participate in a four-year Apprenticeship Program. Maintainers in the program must receive college-level training in electricity and electronics, participate in on-the-job and in-house training classes, and pass all requirements before obtaining Journeyman certification. Individual and group safety meetings are held on a monthly basis within the Revenue Department.

4.2.2.5 Facilities Department Training

New employees are instructed on the Rules and Instructions for Employees Handbook, company policies, safety programs, Drug and Alcohol Policy, Hazard Communication Program, and emergency procedures. Roadway Worker Protection Program qualification is required for Wayside Maintenance and Track Department employees, with annual recertification.

Toolbox meetings conducted by Shift Supervisors cover topics including:

- State right-to-know laws
- Proper use and disposal of cleaning chemicals, pesticides, and other hazardous materials
- Forklift and man-lift operating safety
- Power tool safety
- Hazard communication

4.2.2.6 Board of Directors Safety Training

In accordance with FTA requirements, MTS has developed a safety presentation for the Board of Directors. This presentation explains the principles of Safety Management Systems and the role of the Board of Directors in the review and approval of the Public Transportation Agency Safety Plan.

4.2.2.7 Emergency Services Training

The purpose of this program is to familiarize San Diego-area emergency-response personnel and other organizations with the operating characteristics of the San Diego Trolley system and equipment.

Key training elements covered include but are not limited to:

- Brief Introduction to SDTI
- Roadway/Main Line and Yard Safety
- Traction Power
- Electrical Safety
- Communication with OCC or SDTI
- Railroad Response Protocol
- Cell phone usage on SDTI property
- Front Line Supervisor Identification
- Vehicle Familiarization
- Vehicle Access

The expectation of this exposure to SDTI's environment and procedures is to generate knowledge and awareness among personnel in emergency response agencies and to mitigate the risk of potential dangers to responding personnel, SDTI employees, and its patrons.

4.2.3 Roadway Worker Protection

It is SDTI's mission to provide safe, reliable, and courteous service. The Safety Department is responsible for compliance with federal, state, and local regulatory requirements.

4.2.3.1 Roadway Worker Protection Plan

A roadway worker is any person who is fouling or has the potential to foul the track, including an employee of a railroad or a contractor to a railroad whose duties include inspection, construction, maintenance, or repair of railroad track, bridges, roadway, signal and communication systems, electric traction systems, roadway facilities, or roadway machinery on or near track or with the potential of fouling a track.

Employees, contractors and other non-railroad employees who perform work fouling any track or occupying the right-of-way must attend roadway worker safety training and maintain a copy of the Roadway Worker Protection Plan at the work site. It is the responsibility of SDTI to:

- Properly train every roadway worker.
- Guarantee each employee the right to challenge, in good faith, whether the on-track safety procedures to be applied at a work site comply with the Roadway Worker Protection Plan and SDTI Rules and Instructions for Employees.
- Follow proper procedures to resolve challenges promptly and equitably.

4.2.3.2 Roadway Worker Safety Program Management

Under the direction of the Superintendent of Transportation, the development, revision, and scheduling of initial roadway worker training and recertification will be the responsibility of the Transportation Department Training Supervisor and are conducted in compliance with Section 1.3 of the SDTI Rules and Instructions for Employees and the Roadway Worker Protection Plan. All classroom training modules will be conducted by the Transportation Department Training Supervisor or their designee. Program outline and individual modules will include the date of last revision.

4.2.3.3 Roadway Worker Safety Training

Recertification is conducted annually for all roadway workers and biennially for employees who may interface with roadway workers, including train operators, controllers, and supervisors. This training covers, but is not limited to:

- Identification of the right-of-way and the limits in which roadway worker protection (RWP) is required
- Recognition of railroad tracks and understanding of the space surrounding them
- Hazards associated with working on or near railroad tracks, including review of on-track safety rules and procedures
- Hazard/near-miss program and reporting procedures
- Understanding of hazards through a representative field setting
- The functions and responsibilities of various persons involved with on-track safety procedures
- Proper compliance with on-track safety instructions given by person responsible for on-track safety
- Train approach warning signals given by watchperson/lookout and the proper procedures upon receiving a train approach warning

The safety card issued by SDTI upon completion of roadway worker safety training must be carried at all times while on SDTI property or railroad right-of-way. Additionally, numbered RWP stickers issued by SDTI to contractor employees upon completion of roadway worker safety training must be visible on each roadway worker's hard hat while on SDTI property or railroad right-of-way. Roadway worker training records are maintained for a minimum of three years within employee's department or with the contracted third-party training provider in the case of contractors.

Federal and state government agencies are involved with the safe design, construction, maintenance, and operation of the SDTI system. The System

Safety Manager, under the direction of the COO-Rail, is the primary contact person for all matters concerning safety at SDTI.

4.2.4 Contractor Safety Program

SANDAG contracts work for regional rail construction and capital improvement projects. The contractor personnel are not directly under the jurisdiction of SDTI but follow the requirements specified in SANDAG bid documents as to the roles and responsibilities of contractors. A SANDAG project engineer is responsible for providing scope of work orientation to the contractor in pre-bid meetings. All contractor personnel are instructed on the Roadway Worker Protection Program, which identifies responsibilities and restrictions on or near the right-of-way. Contractor training records are maintained by the MTS Right-of-Way Engineer. Contractor personnel are not allowed to enter the right-of-way until a right-of-entry permit is submitted to the Superintendent of Transportation for notice of intent to enter the right-of-way, location of work, equipment used on right-of-way, and nature of work. The Superintendent of Transportation reviews and approves all requests. SANDAG must coordinate any contractor work performed on the right-of-way that may impact revenue operations with MTS.

4.2.5 Personal Electronic Device Use

SDTI maintains a zero-tolerance policy, which prohibits the use of personal electronic devices (PEDs). This policy is in accordance with the requirements of CPUC General Order 172, Section 5. The policy mitigates the use of PEDs by employees and contractor personnel responsible for operating or controlling revenue and nonrevenue vehicles or performing work on or near the SDTI right-of-way.

SDTI Rule 1.4.9 (Restrictions on Use of Personal Cell Phones) and Standard Operating Procedure 101.27 (Use of Personal Electronic Devices While On-Duty) provides instructions and outlines policy regarding the use of PEDs. One incident of noncompliance with the established rules and procedures will result in employee termination.

SDTI uses a video-based monitoring system in the operating cabs and other areas of each LRV. This system supplements the random monitoring and enforcement of its operating rules, policies, and procedures, including those that govern the use of electronic devices in compliance with General Order 172. A representative sample is monitored and logged by Central Control Supervisor or designee as well as reviewed when there is a derailment, collision, complaint against the operator, a report of noncompliance with personal electronic device policy, security events, to augment efficiency testing, or any other event deemed necessary. The video-based enforcement and monitoring log will be maintained for a period of three (3) years.

5.0 ABBREVIATIONS AND DEFINITIONS

ACCEPTABLE RISK	A determination made that the probability of an incident or scenario occurring is unlikely and the severity of its consequence is negligible.
ACCIDENT	Any event involving the operation or maintenance of the SDTI system which results in: (1) a loss of life; (2) a report of a serious injury to a person; (3) a collision of public transportation vehicles; (4) a runaway train; (5) an evacuation for life safety reasons; (6) any derailment of a rail transit vehicle at any location, at any time, whatever the cause.
ACCOUNTABLE EXECUTIVE	Single, identifiable person who has the ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control and direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329 (d) and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. 5326.
CHIEF SAFETY OFFICER	An adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer.
CONTRACTOR	An entity that performs tasks required by this part on behalf of the oversight or rail transit agency.
CORRECTIVE ACTION PLAN	A plan developed by the rail transit agency that describes the actions the rail transit agency will take to minimize, control, correct, and/or eliminate hazards. Further, it includes the schedule for implementing for those actions.
EVENT	Any accident, incident or occurrence.
FTA	Federal Transit Administration, an operating administration within the United States Department of Transportation.
HAZARD	Any real or potential condition that can cause injury, illness or death; damage to or loss of the facilities, equipment, rolling stock or infrastructure of a public transportation system; or damage to the environment.
HIGHWAY RAIL GRADE CROSSING	(1) a location where a public highway, road, or street, or a private roadway, including associated sidewalks, crosses one or more railroad tracks at grade; or (2) a

location where a pathway is dedicated for the use of non-vehicular traffic, including pedestrians, bicyclists, and others, that is not associated with a public highway, road, or street, or a private roadway, crosses one or more railroad tracks at grade.

HIGHWAY USER

Automobiles, buses, trucks, motorcycles, bicycles, farm vehicles, pedestrians, or any other mode of surface transportation motorized and un-motorized.

INCIDENT

An event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency

INDIVIDUAL

A passenger, employee, contractor, other rail transit facility worker, pedestrian, trespasser, or any other person on RTA property.

INVESTIGATION

The process of determining the causal and contributing factors of an accident, incident or hazard, for the purpose of preventing recurrence and mitigating risk.

LIGHT RAIL VEHICLE (LRV)

The rail transit agency's rolling stock, including, but not limited to passenger and maintenance vehicles.

NATIONAL PUBLIC TRANSPORTATION SAFETY PLAN

The plan to improve the safety of all public transportation systems that receive federal financial assistance under 49 U.S.C. Chapter 53.

OCCURRENCE

An event without any personal injury in which any damage to facilities, equipment, rolling stock or infrastructure does not disrupt the operations of a transit agency.

OVERSIGHT AGENCY

The entity, other than the rail transit agency, designated by the state or several states to implement this part.

PASSENGER

A person who is onboard or in the process of boarding or alighting from a rail transit vehicle.

PERFORMANCE MEASURE

An expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

PERFORMANCE TARGET

Quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.



PROGRAM STANDARD	A written document developed and adopted by the oversight agency, that describes the policies, objectives, responsibilities, and procedures used to provide rail transit agency safety and security oversight.
PROPERTY	Property that is used by SDTI and may be owned, leased, or maintained by SDTI.
PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (ASP)	Documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and 49 CFR 673.
RAIL FIXED GUIDEWAY SYSTEM	As determined by FTA, any light, heavy, or rapid rail system, monorail, inclined plane, funicular, trolley, or automated guideway that: (1) Is not regulated by the FRA (2) Is included in FTA's calculation of fixed guideway route miles or receives funding under FTA's formula program for urbanized areas (49 U.S.C. 5336); or (3) Has submitted documentation to FTA indicating its intent to be included in FTA's calculation of fixed guideway route miles to receive funding under FTA's formula program for urbanized areas (49 U.S.C. 5336).
RAIL TRANSIT AGENCY (RTA) RISK	An entity that operates a rail fixed guideway system. Composite of predicted severity and likelihood of the potential effect of a hazard.
RISK MITIGATION	A method or methods to eliminate or reduce the effects of hazards.
SAFETY ASSURANCE	Processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
SAFETY MANAGEMENT POLICY	A transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
SAFETY MANAGEMENT SYSTEM (SMS)	Formal, top-down organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices and policies for managing risks and hazards.
SAFETY MANAGEMENT SYSTEM EXECUTIVE	Chief Safety Officer or equivalent.

SAFETY PERFORMANCE TARGET	A performance target related to safety management activities.
SAFETY PROMOTION	Combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
SAFETY RISK ASSESSMENT	Formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.
SAFETY RISK MANAGEMENT	Process within a transit agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing and mitigating safety risk.
SANDAG	San Diego Association of Governments.
SERIOUS INJURY	Any injury which (1) requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; (2) results in a fracture of any bone (except simple fractures of fingers, toes or noses); (3) causes a severe hemorrhage, nerve, muscle or tendon damage; involves an internal organ; or (5) involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
STATE	A state of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.
STATE OF GOOD REPAIR	Condition in which a capital asset is able to operate at a full level of performance.
STATE SAFETY OVERSIGHT AGENCY	An agency established by a state that meets the requirements and performs the functions specified by 49 U.S.C. 5329 (e) and the regulations set forth in 49 CFR part 674.
TRANSIT AGENCY	Operator of a public transportation system.
TRANSIT ASSET MANAGEMENT PLAN	Strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation as required by 49 U.S.C. 5326 and 49 CFR part 625.
UNACCEPTABLE RISK	A determination made that a condition or hazard that will inevitably promote accidents continuously or frequently with critical or catastrophic effects.



6.0 REVISION TABLE

Revision No.	Issue Date
0	July 2020 (First Issue)
1	January 2022 - Section 1.2.1 System Description: Mid-Coast Extension (Revenue Service November 2021)

7.0 REGULATORY REFERENCE DOCUMENTS

Document Reference Number	Title
49 CFR 42526 and 42529	Statement of Agency Policy Requires That Rail Transit Agencies Report Accidents Which Meet Reporting Thresholds That Occur on Shared- Or Joint-Use Heavy Rail Segments Be Reported
49 USC 5329 (b)	Reports of Accidents on Railroads
49 CFR 670	National Public Transportation Safety Plan
49 CFR Part 672	Public Transportation Safety Certification Training Program
49 CFR Part 673	Public Transportation Agency Safety Plan
49 CFR Part 674	State Safety Oversight Program
General Order 22-B	Regulations Governing Reports of Accidents on Railroads
General Order 26-D	Clearances On Railroads And Street Railroads With Reference To Side And Overhead Structures, Parallel Tracks, Crossings Of Public Roads, Highways, and Streets
General Order 33-B	Construction, Reconstruction, Maintenance and Operation of Interlocking Plants at Crossings, Junctions, Drawbridges, in Yards and at Sidings of Railroads and Street Railroads
General Order 72-B	Construction and Maintenance of Crossings at Grade of Railroads with Public Streets, Roads and Highways
General Order 75-D	Standards for Warning Devices for At-Grade Highway-Rail Crossings
General Order 88-B	Rules for Altering Public Highway-Rail Crossings
General Order 95	Overhead electric line construction
General Order 108	Filing of Railroad Operating Department Rules
General Order 110	Radio Communications in Railroad Operations
General Order 118-A	Construction, Reconstruction and Maintenance of Walkways and Control, of Vegetation Adjacent to Railroad Tracks
General Order 127	Maintenance and Operation of Automatic Train Control Systems-Rapid Transit Systems
General Order 128	Construction or Underground Electric Supply and Communication Systems
General Order 135	Occupancy of Public Grade Crossings by Railroads
General Order 143-B	Design, Construction and Operation of Light Rail Transit systems
General Order 161	Transportation of Hazardous Materials by Rail
General Order 164-E	State Safety Oversight of Rail Fixed Guideway Systems
General Order 172	Use Of Personal Electronic Devices By Employees Of Rail Transit Agencies And Rail Fixed Guideway Systems
General Order 175-A	Roadway Worker Protection Provided by Rail Transit Agencies and Rail Fixed Guideway Systems



Metropolitan Transit System

Bus Safety Plan

San Diego Transit Corp

(Public Transportation Agency Plan pursuant to 49 CFR 673)





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Appendices

Bus Safety Plans – Contract Operators

A – Transdev Bus Safety Plan (ECBMF and SBMF)

B – First Transit Safety Plan (CPMF)

**Acronyms**

ADA	Americans with Disabilities Act
Caltrans	California Department of Transportation
CBA	Collective Bargaining Agreements
CEO	Chief Executive Officer
CHP	California Highway Patrol
COO	Chief Operating Officer
CSO	Chief Safety Officer
EH&S	Environmental Health and Safety
EPN	Employer Pull Notice
KPI	Key Performance Indicators
NTD	National Transit Database
OEM	Original Equipment Manufacturer
PIP	Performance Incentive Program
PPE	Personal Protective Equipment
PUC	Public Utilities Commission
SANDAG	San Diego Association of Governments
SOS	Service Operations Supervisor
SPT	Safety Performance Targets
SRC	Safety Review Committee

1 Bus Agency Safety Plan Overview

1.1 Agency Information

The purpose of this Bus Agency Safety Plan discusses how safety is managed for San Diego Metropolitan Transit System (MTS) directly operated fixed route bus transportation services. 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.

MTS is a California transit district that operates multiple modes of transit: light rail transit (Rail) and fixed route/ADA complementary paratransit bus operations (Transit). The agency has three major divisions: Administration, Rail and Transit¹. The MTS Chief Executive Officer (CEO) is responsible for managing all aspects of the agency, with direction from the Board of Directors. Because of the distinct differences in operations, MTS has prepared a Safety Plan for each individual division: Rail and Transit. This is MTS's Bus Agency Safety Plan (Table 1).

Table 1: Agency Information

Agency Information	
Transit Agency Name	MTS
Transit Agency Address	1255 Imperial Ave Suite 1000, San Diego, CA 92101
Name and Title of Accountable Executive	Sharon Cooney, Chief Executive Officer (CEO)
Name of Chief Safety Officer (CSO) or Safety Management System (SMS) Executive	Jared Garcia, Manager of Safety
Modes of Service Covered By This Plan	Directly Operated Fixed Route Bus
List Of All Funding Types:	5307, 5337, 5339
Mode(s) of Service Provided by the Transit Agency (Directly Operated or Contracted Service)	Directly Operated Light Rail, Directly Operated Fixed Route Bus, Contracted Fixed Route Bus, Contracted Commuter

¹ Historically, the Bus division was run by a separate entity, San Diego Transit Corporation (SDTC). SDTC is a wholly-owned subsidiary of MTS. While some operations continue under the SDTC entity (e.g. legacy property ownership or agreements), in practical terms it is operated as the Bus division of MTS.

	Bus, Contracted Paratransit, Contracted Paratransit Taxi
Does the agency provide transit services on behalf of another transit agency or entity?	No
Description of Arrangement(s)	N/A

MTS operates in southern San Diego County with a fleet of approximately 800 buses. MTS operates Rapid Express, Rapid, Express, Urban Frequent, Urban Standard, Community Circulator, Rural and ADA complementary paratransit. Service is directly operated by SDTC and operated by private contractors, First Transit and Transdev (Table 2).

Table 2: Services Operated

Service Types Operated By Each Entity			
Service Type	MTS/SDTC	First Transit	Transdev
Fixed Route	X		X
Commuter			X
Rural			X
Fixed Route Mini		X	
Paratransit		X	

MTS Bus operates over a 716 square-mile service area, with a combined population of more than two million people within the cities of San Diego, Chula Vista, Coronado, El Cajon, Imperial Beach, La Mesa, National City, Lemon Grove, Poway and Santee, as well as the County of San Diego. Service is provided seven days a week on most routes. Routes serve approximately 4,200 bus stops.

MTS Bus has five bus fleet operating divisions, all of which include operations, maintenance and fueling functions: Imperial Avenue Division (IAD); Kearny Mesa Division (KMD); South Bay Bus Maintenance Facility (SBMF); East County Bus Maintenance Facility (ECBMF); and Copley Park Maintenance Facility (CPMF). IAD and KMD are operated by SDTC. SBFM and ECBMF are operated by private contractor Transdev. CPMF is operated by private contractor First Transit.

Service began in 1886 as the San Diego Streetcar Company. Over the years, this and several other entities were merged into the San Diego Electric Railway (later, the San Diego Transit Corporation (SDTC)). The City of San Diego purchased SDTC from private ownership in 1967, and transferred it to the Metropolitan Transit Development Board (MTDB) in 1985. In 2002, Senate Bill 1703 merged MTDB's planning, financial programming, project development and construction functions into the region's metropolitan planning organization, the San Diego Association of Governments (SANDAG). In 2005, MTDB changed its name to the San Diego Metropolitan Transit System (MTS). The MTS Board of Directors is composed of






members representing the cities of San Diego, Chula Vista, Coronado, El Cajon, Imperial Beach, La Mesa, National City, Lemon Grove, Poway and Santee, and the County of San Diego.

1.2 Bus Agency Safety Plan Approvals

The Bus Agency Safety Plan has been approved by the Accountable Executive and the MTS Board of Directors (Table 3).

Table 3: Bus Agency Safety Plan Approvals

Bus Agency Safety Plan Approvals		
Name of Entity That Drafted This Plan	San Diego Metropolitan Transit System	
Accountable Executive Signature	Signature of Accountable Executive	Date of Signature
		7/30/20
Approval by the MTS Board of Directors	Signature of Chairperson of the MTS Board of Directors	Date of Approval
		7/30/20
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
		7/30/20

1.3 Annual Review, Update, and Safety Performance Assessment

1.3.1 Annual Review of the Bus Agency Safety Plan

This plan will be reviewed and updated annually during the month of January by the Chief Safety Officer. Proposed changes are reviewed with the Accountable Executive, Executive Management and Key Staff. The Accountable Executive will review and approve any changes, sign the updated plan, and then forward the plan to the Board of Directors for final review and approval. Updates to this plan may be made when there are:

- Changes to: safety performance targets, safety management policy, safety risk management, safety assurance, and safety promotion;
- Changes to: the Accountable Executive, COO, or CSO;
- Significant changes to service delivery;
- Significant changes to the organizational structure;
- New process/procedures are introduced that impact safety;
- Changes to available resources or priorities that support SMS; and
- Changes required by the Federal Transit Administration (FTA), California Public Utilities Commission (CPUC), California Department of Transportation (Caltrans), San Diego Association of Governments (SANDAG), etc. or other similar oversight agency.

1.3.2 Annual Safety Performance Assessment

MTS conducts an annual safety performance assessment in conjunction with the annual review. This assessment includes a review of the prior year's performance involving the Safety Performance Targets, Key Performance Indicators and applicable Performance Incentive Program (PIP) goals. The assessment may also include reviewing identified safety deficiencies, or other areas involving safety performance.

Updates made to the Bus Agency Safety Plan will be documented (Table 4).

Table 4: Version Number and Update History of Transit Safety Plan

Version Number and Update History of Bus Agency Safety Plan			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1.0	All	N/A	TBD

1.4 Documentation and Recordkeeping

This Bus Agency Safety Plan and documents related to this plan will be maintained for three (3) years after date of creation and be made available upon request by the FTA or other applicable agency having jurisdiction.

2 Safety Performance Targets

2.1 Safety Performance Targets

As required by 49 CFR 673.11(a) (3), this Bus Agency Safety Plan must include performance targets associated with revenue service that are based on the safety performance measures established under the National Public Transportation Safety Plan.

MTS may adjust performance targets over time, as data is collected and as SMS implementation matures. MTS performance targets for fatalities have been chosen to represent an aspirational goal (Table 5). MTS performance targets for injuries, safety events and system reliability have been chosen to represent improvement over the current baseline safety performance levels (used previous two calendar years, CY-18, CY-19) (Table 5). The safety performance targets are evaluated for each calendar year (January 1 – December 31).

Table 5: Safety Performance Targets

Bus Safety Performance Targets (Evaluated Per Calendar Year)							
Mode of Transit Service	Fatalities (Total)	Fatalities (Rate) Per 100K	Injuries (Total)	Injuries (Rate) Per 100K	Safety Events (Total)	Safety Events (Rate) Per 100K	System Reliability (Rate) Failures/Rev Miles
Fixed Route Directly Operated	0	0	64	0.65	65	0.66	4,700
Fixed Route Contracted	0	0	68	0.65	69	0.66	6,000
Fixed Route Mini Bus Contracted	0	0	4	0.34	4	0.34	7,500
Paratransit Contracted	0	0	4	0.09	5	0.11	32,000
Total	0	0	133	0.51	143	0.55	6,600

2.2 Safety Performance Target Definitions

Definitions are based on the 2020 NTD Safety and Security Policy Manual.

Fatality – Death confirmed within 30 days of the event (including suicides). Fatalities that occur because of illnesses or other natural causes (including individuals who are found deceased) are not reportable.

Injury - Any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event must be reported as an injury. MTS reports each person transported away from the scene for medical attention as an injury, whether or not the person appears to be injured.

Safety Events – Collisions that meet NTD thresholds for injuries, fatalities, property damage, or evacuation; vehicle towed from the scene involving a transit revenue vehicle; fires; hazardous materials spills, acts of God; evacuations for life safety reasons; other safety events listed in NTD policy manual.

System Reliability - mean distance between major mechanical failures, is measured as revenue miles operated divided by the number of major mechanical failures.

2.3 Safety Performance Target Coordination

Safety Performance Targets are made available to state of California including the Public Utilities Commission (CPUC), Caltrans, and the San Diego Association of Governments (SANDAG), MTS's Metropolitan Planning Organization (MPO), to aid in the planning process. Coordination with these agencies, in the selection of safety performance targets is accomplished to the maximum extent practicable. MTS officially transmits its targets in writing to the State and MPO following the annual review and certification. This transmission will take place in February of each year.

Targets Transmitted to the State ²	State Entity Name	Date Transmitted
	California Public Utilities Commission (CPUC)	See Footnote 2
	California Department of Transportation (Caltrans)	See Footnote 2
Targets Transmitted to the MPO	MPO Name	Date Transmitted
	San Diego Association of Governments (SANDAG)	7/7/2020

3 Safety Management Policy

3.1 Safety Management Policy Statement

The Safety Management Policy Statement, signed by the Accountable Executive and approved by the MTS Board of Directors, establishes the agency's safety objectives, and documents the organizational authorities, accountabilities and responsibilities (Figure 1).

² Although MTS has offered to share Bus Safety Performance Targets with CPUC and Caltrans, both have stated it is not necessary to send Bus Safety Performance Targets for their review. As required per 49 CFR 673.15, MTS will coordinate and share Bus Safety Performance Targets with state entities to the maximum extent practicable.

Figure 1: Safety Management Policy Statement

San Diego Metropolitan Transit System Safety Management Policy Statement

The San Diego Metropolitan Transit System (MTS) has established this Safety Management System Policy Statement to emphasize its overall commitment to the safety of our passengers, our operators, our staff and the general public. This Safety Management System Policy Statement provides direction for MTS's safety program, which applies to every facet of MTS operations.

The management of safety is MTS's highest priority. MTS is committed to safety throughout the entire organization, from the Board of Directors to the front line employees.

MTS will ensure that all transit service delivery activities take place under a balanced allocation of organizational resources to achieve the highest level of safety performance and meeting established standards. MTS is committed to developing, implementing, maintaining, and constantly improving our processes. As evidence of our commitment to safety, every MTS policy shall be guided by and every employee shall perform their duties in furtherance of the following safety goals:

- Supporting safety through the provision of appropriate resources that fosters a safety culture;
- Integrating the management of safety among the primary responsibilities of all managers and employees;
- Clearly defining managers and employees' responsibilities in relation to the performance of our safety management system;
- Conducting hazard identification and evaluating safety risks, which includes an employee safety reporting program, in order to eliminate or mitigate safety risks;
- Ensuring that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- Complying with, and wherever possible exceeding, legislative and regulatory requirements and standards;
- Ensuring that sufficiently skilled and trained employees are available to implement safety management processes;
- Ensuring that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are assigned only tasks for which they are adequately trained;
- Establishing and measuring our safety performance against realistic and data-driven safety performance indicators and safety performance targets;
- Continually improving our safety performance by ensuring appropriate safety management action is taken and is effective; and
- Ensuring externally supplied systems and services that support our operations are delivered to meet our safety performance standards.



Chief Executive Officer
San Diego Metropolitan Transit System

July 30, 2020
Date



Chair of Board of Directors
San Diego Metropolitan Transit System

July 30, 2020
Date

3.2 Goals

MTS Transit Services is committed to providing the safest transportation possible for our employees, customers, the citizens of San Diego, and the communities we serve. We will:

- Provide and maintain a safe and healthy working environment
- Provide a safe and courteous transit system
- Follow best practices that will safeguard employees, customers, and persons interacting with transit property and equipment

Accidents are the result of unsafe acts committed by people and the existence of hazards or unsafe conditions, both of which are controllable and must be prevented to the maximum extent practicable in order to achieve MTS' commitment.

Our Safety Policy and our commitment to safety are at all times guided by the following principles:

- Safety is the responsibility of each and every employee
- Management has the responsibility to train all employees to work safely and to assure all employees work in a safe manner
- Preventing accidents, injuries, and incidents is good business
- Operating risks, hazards, and exposures can be safeguarded with active and effective safety practices
- Injuries and occupational illnesses can be prevented

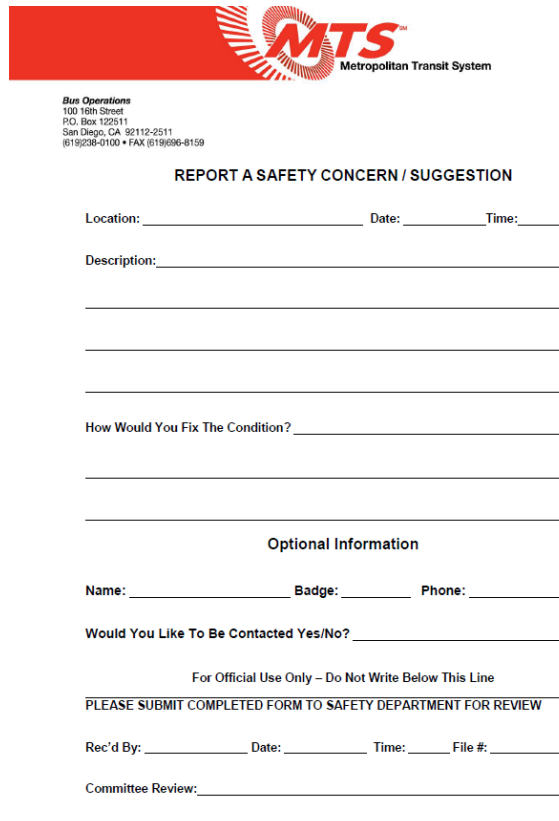
3.3 Employee Reporting Program

Employees and contractors are empowered to report safety hazards, unsafe conditions, and near misses to management. No action will be taken against an employee through the reporting program as long as the report or act was not illegal, negligent, willful, or a violation of company policy/procedure. Employees have multiple means of communicating their concerns which include:

- Verbally to their direct supervisor or other member of management;
- By use of phone/radio;
- Through their union representative;
- Completing an anonymous online form via the intranet (Figure 2); and
- Through the Employee Safety Committee.

Hazards that cannot be adequately mitigated at the time of reporting are reported to the CSO and entered into a software database (Industry Safe or equivalent) for further assessment and mitigation (see Safety Risk Management).

Figure 2: Sample Online Reporting Form



MTS
Metropolitan Transit System

Bus Operations
100 16th Street
P.O. Box 122511
San Diego, CA 92112-2511
(619)238-0100 • FAX (619)696-6159

REPORT A SAFETY CONCERN / SUGGESTION

Location: _____ Date: _____ Time: _____

Description: _____

How Would You Fix The Condition? _____

Optional Information

Name: _____ Badge: _____ Phone: _____

Would You Like To Be Contacted Yes/No? _____

For Official Use Only – Do Not Write Below This Line

PLEASE SUBMIT COMPLETED FORM TO SAFETY DEPARTMENT FOR REVIEW

Rec'd By: _____ Date: _____ Time: _____ File #: _____

Committee Review: _____

3.4 Safety Management Policy Communication

The Safety Management Policy Statement is communicated to all employees and contractors throughout the organization including: employees, managers, executives and the Board of Directors. This policy is communicated through:

- Employee Handbooks;
- Bulletin Boards;
- Newsletters; and
- Company Intranet.

3.5 Authorities, Accountabilities, and Responsibilities

3.5.1 Board of Directors

The Board of Directors (Board) is responsible for setting policy for MTS, including Transit Services. The Board is required to approve the ASP initial document and all updates. At its regular meetings, the Board receives periodic safety briefings from Bus Operations. The Board has delegated agency management to the CEO, subject to various adopted Board policies and legal requirements.

3.5.2 Accountable Executive

The Board of Directors has designated the CEO as the Accountable Executive for the Agency. The Accountable Executive has ultimate responsibility for ensuring that SMS is effectively implemented and that action is taken, as necessary, to address substandard performance throughout the Agency. These responsibilities include:

- Establishing, implementing, and promoting the Safety Policy Statement;
- Authority over financial and human resources;
- Authority over all activities and operations;
- Authority over final risk assessment ranking;
- Authority over final mitigation(s) of hazards/unsafe conditions;
- Briefing the Board of Directors; and
- Responsibility for carrying out the Transit Asset Management (TAM) Plan.

The CEO has delegated the authority and the day-to-day responsibilities of the agency safety plan for Transit Services to the Chief Operating Officer (COO) of Transit Services.

3.5.3 Chief Operating Officer (COO)

The COO reports directly to the CEO and is responsible for ensuring that SMS is effectively implemented and that action is taken, as necessary, to address substandard performance throughout Transit Services. These responsibilities include:

- Implementing, and promoting the Safety Policy Statement;
- Authority over financial and human resources within Transit Services;
- Authority over all activities and operations within Transit Services;
- Authority over the risk assessment ranking within Transit Services;
- Authority over final mitigation(s) of hazards/unsafe conditions within Transit Service; and

- Briefing the Board of Directors on SMS related activities within Transit Services, as requested by the CEO.

The COO will support and encourage an open dialogue between the Chief Safety Officer and the CEO.

3.5.4 Chief Safety Officer

The Chief Safety Officer (CSO) is the Manager of Safety for Transit Services. The CSO has a dual reporting role with the COO and the CEO. As necessary to implement the Bus Agency Safety Plan and discuss relevant issues, the CSO has a duty and a right to report directly to and consult with the CEO. The CSO has independent and direct access to the CEO as needed regarding all safety related issues. The CSO has regularly scheduled safety briefings with the CEO and COO. The CSO also reports to the COO on a day-to-day basis. The CSO is responsible for:

- Developing and maintaining SMS programs including the Bus Agency Safety Plan;
- Managing the Employee Reporting Program;
- Performing analysis of incidents, trends, and causes and making recommendations to reduce or eliminate the potential for recurrence;
- Assisting other departments with the development of training programs and procedures;
- Managing the review and analysis of all accidents, incidents and safety events to determine preventability and any other causal or contributing factors;
- Providing monitoring and follow-up with employees after preventable accidents;
- Serving as the Chair of the Employee Safety Committee;
- Coordinating with external emergency response agencies, including police, fire and emergency management agencies, regarding emergency response training, familiarization and review of emergency occurrences and Transit Services emergency preparedness plans; and
- Managing the Department of Motor Vehicles (DMV) Pull Notice Program and assuring all licenses, permits and certifications are in compliance.

3.5.5 Other Agency Leadership, Executive Management and Key Staff

3.5.5.1 Director of Fleet and Facility Maintenance

The Director of Fleet and Facility Maintenance directly reports to the COO and is responsible for:

- Directing, organizing, developing and planning all directly operated bus and facility maintenance functions;
- Providing oversight, contract compliance and support for all of MTS's contracted service fleet and facility maintenance operations;
- Directing, coordinating and supervising the development, implementation and administration of capital plans and contracts for fleet replacement, as well as service contracts providing maintenance for all MTS bus facilities and fleets;
- Overseeing the administration of applicable Collective Bargaining Agreement (CBA);
- Overseeing maintenance employee training, including the apprenticeship program; and
- Providing expertise and advice regarding staffing decisions in Fleet and Facilities, including recommendations for hiring, promotion and termination; evaluation and the implementation of discipline and other remedial measures.

3.5.5.2 Director of Transportation

The Director of Transportation directly reports to the COO and is responsible for:

- Organizing, developing, planning and directing all of San Diego Transit's transportation functions;
- Overseeing the development and management of all transportation employee training programs, including new employee and drivers training, refresher courses, safety-related training and all required safety/certifications/licensing; providing expertise for the development and coordination of new training programs.
- Overseeing the management of both Radio/Communications and Service Operations Supervisor teams, including developing standard operating procedures, setting expectations for professional interactions with customers and other employees. Guiding opportunities to improve supervisor skillsets through training, mentoring and professional development;

- Overseeing the administration of applicable CBA; and
- Providing expertise and advice regarding staffing decisions in Transportation Department, including recommendations for hiring, promotion and termination and the implementation of discipline and other remedial measures.

3.5.5.3 Manager of Contract Operations and Passenger Facilities

The Manager of Contract Operations and Passenger Facilities directly reports to the COO and is responsible for:

- Providing day-to-day oversight of contractor compliance with the agency safety plan;
- Providing contract oversight of the Agency's multi-year transit operations contracts;
- Monitoring ongoing facility maintenance activities dictated by Agency service contracts;
- Planning, directing, coordinating and reviewing Contract Services' staff;
- Assisting with transportation activities and coordinating schedules, projects and programs as needed to ensure Contract Service quality and continuity with Agency goals and objectives;
- Overseeing the coordination of bus stop maintenance and other transit amenities, including administration of various vendor contracts;
- Working with appropriate staff to develop fleet capital replacement program; and
- Supporting Finance Department staff on discretionary and programmed grants applications.

3.5.5.4 Manager of Paratransit and Mini Bus

The Manager of Paratransit and Mini Bus directly reports to the COO and is responsible for:

- Providing day-to-day oversight of contractor compliance with the agency safety plan;
- Organizing, developing, planning and directing all of MTS' Paratransit and Mini Bus functions and ensuring alignment of these functions with the goals and critical business outcomes of MTS;

- Ensuring the MTS ADA Paratransit Program is in full compliance with ADA regulations with respect to operations, client certification, call center operations and revenue service;
- Managing the fixed route “Mini Bus” program and overseeing the operations and management contract between MTS and the service provider(s); and
- Preparing operating and capital budgets, monitoring service performance, conducting community outreach, representing MTS on advocacy and transportation committees, and evaluating existing and proposed transit services.

3.5.5.5 Environmental Health & Safety Specialist

The Environmental Health & Safety Specialist reports directly to the COO and is responsible for:

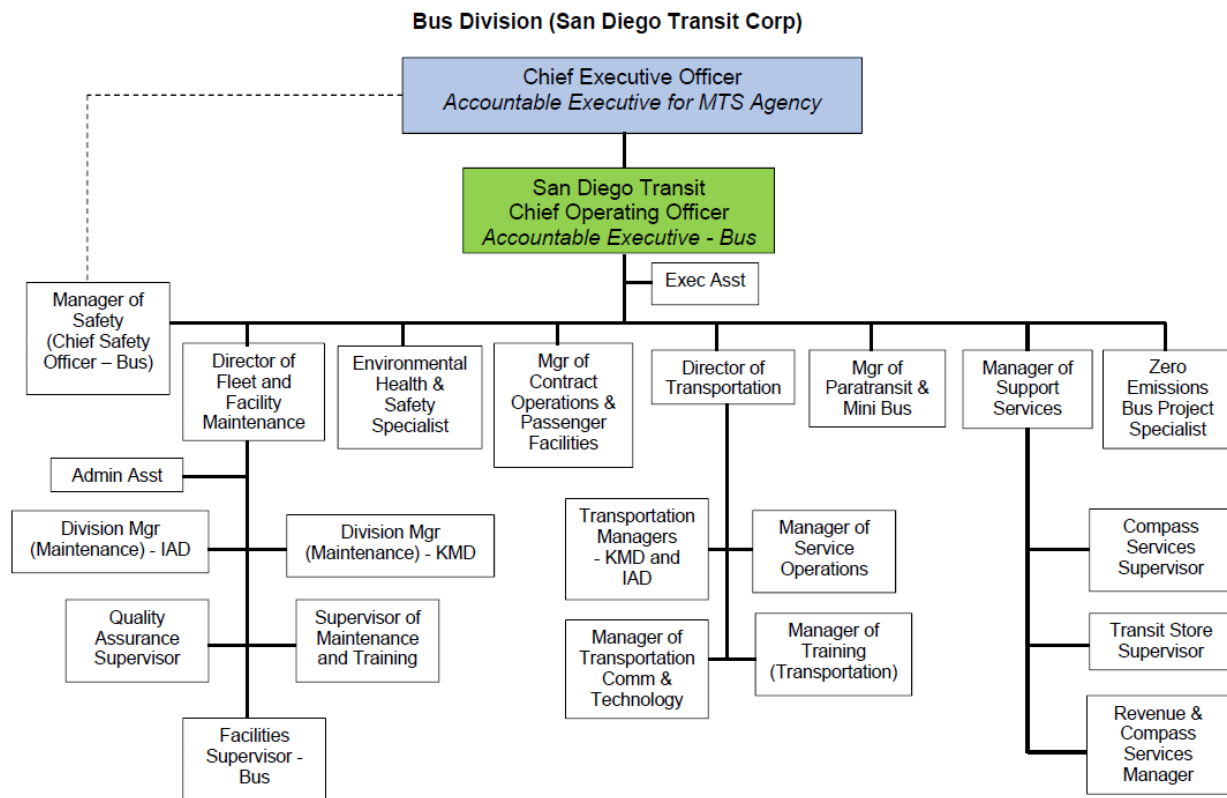
- Developing, implementing, and overseeing Environmental Health and Safety policies and procedures;
- Developing, coordinating and participating in industrial hygiene and environmental safety programs;
- Developing comprehensive environmental and occupational safety and health inspection checklists and protocols, conducting inspections of facilities, and escorting regulatory inspectors during inspections;
- Interfacing with government agencies to maintain regulatory compliance with Federal, State, regional, and local environmental laws and regulations by preparing permit applications and renewal documents and negotiating permit conditions and developing corrective action plans; and
- Reviewing and approving chemical products used in relation to environmental and industrial hygiene impacts.

3.6 Contract-Operations Oversight

Various MTS employees are charged with oversight of contractors as it relates to safety and other matters. Such responsibilities are noted where applicable. In addition, each of the contractor safety plans (See Appendices) also describe oversight functions.

4 Organization Chart

Figure 3: Organization Chart



5 Meetings

5.1 CEO Safety Briefings

The CEO, COO, and CSO meet on a regular basis to review and discuss monthly safety performance. These topics include but are not limited to:

- Accidents & Injuries
- Hazard mitigation strategies
- Training activities
- Policy & Procedures
- Committee meetings
- Contract management
- Project updates

5.2 Transit Services Executive Staff Meetings

The CSO and other agency leadership within Transit Services meet together on a weekly basis with the COO to review and discuss updates from each department. These topics include but are not limited to:

- Accidents & Injuries
- Hazard mitigation strategies
- Training activities
- Policy & Procedures
- Committee meetings
- Contract management
- Project updates

5.3 Transit Services Safety Committee

The safety committee meets monthly and is comprised of representatives from both bargaining units (ATU, IBEW) as well as management representatives from the Maintenance, Safety, Security, and Transportation Departments. The purpose of the safety committee is to: create, improve, promote and maintain a heightened safety culture within the organization; inform, educate and influence employees through awareness campaigns and training activities designed to prevent and reduce accidents and injuries; and to provide a forum for employees to actively participate in safety programs that address and resolve safety issues in a timely manner.

5.4 Risk Department Meetings

Agency leadership within Transit Services meets with the Risk Department on a quarterly basis. These topics include but are not limited to:

- Open & recently closed claims
- Workers comp claims
- Litigation updates
- Hazard mitigation strategies
- Training activities
- Policy & Procedures

5.5 Emergency Preparedness and Response

5.5.1 Employee Training

Employees receive varying levels of emergency response training during the initial onboarding process depending on job position. Employees also receive applicable refresher training throughout the year through training programs and topics outlined in the Safety Promotion and Safety Communication sections of this document. Topics covered for emergency training include:

- Accident/Injury reporting
- Inspection protocols
- Passenger evacuations
- Road calls/Breakdowns
- Fire suppression
- Spill prevention, control and countermeasures (SPCC)
- Hazardous waste, operations, and emergency response (HAZWOPER)
- Conflict resolution and de-escalation techniques
- CPR/AED

5.5.2 Emergency Responder Training & Coordination

Transit Services participates in external agency emergency trainings and exercises whenever requested/invited by local municipal, county, state, or federal entities. These events include emergency events specific to the transit system as well as supporting other agencies with available resources (vehicles) to aid in external emergency response. Typical training events and exercises include:

- Vehicle familiarization
- Bus hijacking/SWAT
- Rescue/heavy lift extraction
- Homeland Security canine training
- Community based evacuations & temporary shelter
- Tabletop exercises

5.5.3 Vehicle Safety Equipment

Fixed route buses are equipped with the following safety features to reduce to the likelihood/severity of an emergency:

- Two way radio
- GPS tracking
- Security cameras

- Discreet panic button
- Fire extinguisher
- Engine fire detection & suppression system (excludes battery electric buses)
- Interlock device(s)
- Fuel leak detection alarm (CNG buses only)
- Emergency exit windows & roof hatches
- Low air pressure alarm

6 Safety Risk Management

Safety Risk Management is a decision making process that involves the identification, evaluation, and mitigation of hazards and unsafe conditions throughout the system. Hazards are to be eliminated or mitigated to lowest practical level with consideration given to financial and operational constraints. Transit Services utilizes a decentralized process where each department is responsible for managing the hazards that exist within their department.

6.1 Safety Hazard Identification

All employees are responsible for identifying and reporting hazards and unsafe conditions to their immediate supervisor/manager. The supervisor/manager is responsible for the initial evaluation and mitigation of a reported hazard. If the supervisor/manager is unable to eliminate the hazard or effectively mitigate the hazard to an acceptable level, the hazard must be reported to the CSO. The CSO is responsible for documenting the reported hazard.

Hazards are generally identified through:

- Employee Reporting Program;
- Employee Safety Committee;
- Routine inspections;
- Training activities;
- Direct observation by supervisors, managers and/or safety personnel;
- Accident and incident investigations;
- Customer Service reports;
- Daily operations activity reports;
- Safety data analysis;
- Audits;
- Data and info provided by FTA or other oversight authority;
- Design/Planning process for capital projects;
- Procurement of goods and services; and
- New service implementation.

6.2 Safety Risk Assessment

The CSO is responsible for assessing safety risks. Analyzing hazards is subjective. Two reasonable people could assess the same hazard and determine a different probability or severity of an unfavorable outcome. Hazards are analyzed using the probability/severity matrix within this section (Table 6, Table 7, Table 8, and Table 9). The criteria listed in the severity and probability charts are intended to be guidelines only. Each hazard is unique. Therefore, in addition to the severity and probability charts, the CSO should also consider common sense, similar prior/existing hazards, historical data, and their professional experience when conducting the assessment. Hazards that are “unacceptable”, “undesirable”, or “acceptable with review by management” are entered into the Risk Register by the CSO. Hazards that are “acceptable without review” are not required to be entered into the Risk Register. The CSO is responsible for informing the Accountable Executive of the MTS Agency of any hazard that is “unacceptable” or “undesirable”.

Table 6: Severity

Severity		
Description	Category	Criteria (worst likely credible outcome)
Catastrophic	1	Could likely result in death, permanent total disability, severe property damage or irreversible environmental damage.
Critical	2	Could likely result in permanent partial disability, injuries or occupational illness that may result in hospitalization, or reversible significant property/environmental damage.
Marginal	3	Could likely result in injury or occupational illness resulting in one or more lost work days(s), reversible moderate property/environmental damage.
Negligible	4	Could likely result in injury or illness not resulting in a lost work day, minimal property/environmental impact.

Table 7: Likelihood

Likelihood		
Description	Level	Specific Individual Item (Example of Frequency)

Frequent	A	Likely to occur frequently or continuously. (Weekly, 100K miles)
Probable	B	Likely to occur several times. (Monthly, 1 million miles)
Occasional	C	Likely to occur sometime. (Yearly, 10 million miles)
Remote	D	Unlikely but reasonable or possible to occur. (Decade, 100 million miles)
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced.
Eliminated	F	This level is used when potential hazards are identified and later eliminated.

Table 8: Hazard Assessment Matrix

Hazard Assessment Matrix				
	1 - Catastrophic	2 - Critical	3 - Marginal	4 - Negligible
A - Frequent	1A	2A	3A	4A
B - Probable	1B	2B	3B	4B
C - Occasional	1C	2C	3C	4C
D - Remote	1D	2D	3D	4D
E - Improbable	1E	2E	3E	4E
F - Eliminated	N/A	N/A	N/A	N/A

Table 9: Acceptability Levels

Acceptability Levels	
High	Unacceptable
Serious	Undesirable with management decision

Medium	Acceptable with review by management
Low	Acceptable without review

6.3 Safety Risk Mitigation

After a risk assessment has been conducted, the CSO will identify parties responsible for mitigating the hazard. The responsible parties are generally department heads, those most knowledgeable about the hazard (subject matter experts), or those with the most adequate resources to mitigate the hazard.

The following are common methods and processes responsible parties typically use to mitigate hazards:

- Eliminate hazards by repair/replacement;
- Eliminate hazards through design/change of service;
- Incorporate engineered features or devices;
- Provide warning devices, signage and alarms;
- Establish written policy and procedures to address the hazard;
- Implement training activities;
- Use of personal protective equipment (PPE); and
- Communication of hazard with employees, passengers, and general public.

Responsible parties are required to update the CSO on mitigation progress in a timely manner. The CSO is then responsible for updating the Accountable Executive and the Risk Registry in Industry Safe. The Risk Registry is reviewed quarterly by the Accountable Executive, CSO, and responsible parties. The Accountable Executive has the ultimate authority when deciding mitigations and the final assessment of a hazard. Hazards that remain at an unacceptable/undesirable level will continue to be monitored and revisited during the annual budget and capital improvement process.

7 Safety Assurance

7.1 Safety Performance Monitoring and Measurement

MTS has established several activities to monitor operations and maintenance for compliance with procedures. These processes are also used to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. Non-compliance with procedures is generally addressed through counseling, training, and other management oversight activities. Insufficient procedures are addressed through safety risk management activities.

Supervisors are responsible for upholding established policies and procedures covered in documents such as CBAs, employee handbooks, training manuals, bulletins, memos, California Vehicle Code sections, etc. Supervisors typically utilize direct observations, job briefings, facility inspections, radio communications, and investigations to determine compliance. Employees who are not compliant with these procedures may receive in-person counseling, written observation letters, re-training, and/or progressive discipline depending on the severity of the event and the employee's work record.

7.1.1 Investigations

All employees are required to immediately report safety related events to their direct supervisor or the Bus Control Center/radio room and complete a written accident/incident report. The Supervisor on duty is responsible for ensuring the appropriate response to the scene (dependent on available resources) and determining if a drug and alcohol test is required.

A Service Operations Supervisor (SOS) should be sent to the scene to investigate whenever a person is injured/claiming injury or there is a collision involving a bus or other mass transit vehicle. The SOS will gather statements from persons involved/witnesses, collect insurance and other contact information, take photos of the scene, etc., and complete a written report.

Following the event, the Transportation Service Quality Specialist will collect video from the bus camera system and facility camera system if available. The video is generally stored in either the camera system server or a shared network drive and preserved for at least one year after the event and may be stored longer as dependent on available storage space. The CSO will collect and review all information and forward all written materials to the Risk Department and/or the Safety Review Committee (SRC).

The SRC is responsible for reviewing events involving: vehicle collisions, claims of injury, wheelchair ramp use, and certain braking events. The SRC is chaired by the CSO and also includes a member from the Training Department and a member from the Transportation Department. The SRC meets weekly and reviews all available information to determine preventability and any other causal or contributing factors. The CSO informs applicable management and other involved employees of the SRC's findings.

The CSO is responsible for entering safety related information in MTS's Enterprise Resource Program (SAP) for tracking purposes and data analysis. The CSO is responsible for entering hazards that require management review and/or a decision by management (High/Serious/Medium risk levels) in Industry Safe for tracking the mitigation of hazards. The CSO is also responsible for reporting this data to the Accountable Executive on a monthly basis. The CSO is

also responsible for reporting applicable required information to the National Transit Database (NTD) on a monthly basis.

7.1.2 Drug & Alcohol Program

MTS is a drug and alcohol-free workplace and has an established drug and alcohol policy that is compliant with 49 CFR parts 40 and 655. Every employee receives training upon initial hiring. Supervisor/managers receive two hours of additional training every two years that includes a minimum of 60 minutes on the effects of drug use and 60 minutes of training on the effects alcohol use and the agency policy. Drug and alcohol testing is conducted under the following circumstances:

- Pre-Employment;
- Reasonable Suspicion;
- Post-Accident;
- Random;
- Assuming Safety Sensitive Duties; and
- Return to Duty / Follow-Up

7.1.3 Driving Hours and On-Duty Time

Bus operators' schedules are assigned on a daily basis by an Operations Supervisor. The Operations Supervisor checks hours of service before scheduling upcoming work days. The following records for all bus operators are generated, tracked, and stored in the system:

- The scheduled assignment of all drivers including regular work days, day off work, overtime, vacations, holidays, absences, outside employment hours;
- The time the driver reports for duty each day;
- The time the driver is released from duty each day;
- The total number of hours the driver is on duty each day;
- The total scheduled driving time each day;
- The delay time at the end of each work piece; and
- The total time for the preceding seven days for drivers used for the first time or intermittently.

Title 13 of the California Code of Regulations subsection 1212 and 1212.5 establish the following limits on commercial bus operating hours:

- Drivers must have at least 8 hours off between work shifts;
- Maximum 10 hours driving time per day;

- Maximum 15 hours of on duty time; and
- Maximum 80 hours of on duty time for any consecutive 8 days.

In addition to state law, the applicable CBA establishes the following limits on scheduling and work hours:

- Drivers have at least 10 hours off between bid-in and scheduled work shifts; and
- Scheduled on-duty/spread work day limited to 12.5 hours.

7.1.4 DMV Pull Notice

MTS enrolls all employees in the California Employer Pull Notice (EPN) program. The program is required for all commercial drivers as a means for employers to electronically verify and monitor driving records. Employees are enrolled upon hire and removed upon termination. Records indicate license type, expiration date, special certificates, endorsements, restrictions. Notices are also sent annually and when there is a change to license status including a ticket, accident, or suspension. MTS uses a web based software solution company to manage the EPN program.

The CSO is responsible for monitoring the records of all commercial drivers and union employees. The CSO is responsible for notifying each department of status changes to the employee's eligibility to operate a bus or other vehicle. Each department is responsible for notifying the employee in their department of status changes, collecting documentation, and preventing them from operating a vehicle if they are not eligible to drive.

The Human Resources Department is responsible for checking a prospective employee's three (3) year driving record during the application and interview process. The Human Resources Department is responsible for monitoring the records of all management employees who do not have a commercial license.

The California Highway Patrol (CHP) performs an audit of the EPN program during the annual terminal inspection.

7.1.5 Customer Complaint Investigation

Customer complaints are managed overall by Support Services Department. Customers can submit a complaint by mail, in-person at MTS's administrative through the call center, through the MTS website or through MTS's mobile application.

All customer's comments or complaints are entered into the Customer Review Module in SAP. The comments then investigated by the responsible department. Investigation measures may include interviewing staff and/or collecting video if

appropriate. Final resolution is handled by department managers. The findings of the investigation are then entered into the Customer Review Module.

7.1.6 Ride Checker Program

MTS has two (2) anonymous part-time employees that conduct both directed and random rides that monitor a driver's performance while in revenue service. The ride checker completes a four-page "Ride Monitor Observation Listing" report for each ride. The report includes both yes/no questions and comment fields for various categories (Table 10).

Table 10: Ride Monitor Observation Listing

Ride Monitor Observation Listing		
Employee Information	Safety Observations	Bus Stop
Operator Appearance	Speed & Clearance	Turning Intersections
Departure / Arrival	ADA Compliance	Customer Service
Fare Collection	Railroad Crossing	Bus Appearance

The report is verified by the Support Services Analyst, and emailed to a management distribution group. The Division Managers are responsible for final resolution of the reports.

7.1.7 Vehicle Pre-Trip Inspections

Pre-trip inspections are conducted in accordance with State and Federal law. Pre-trip inspections are completed by bus operators in the bus yard before the bus goes into revenue service. The pre-trip inspections also occur when bus operators make a relief on the road (excluding air brake test).

7.1.8 Vehicle Preventative Maintenance

Preventative maintenance and inspection is carried out at a minimum in accordance with the Original Equipment Manufacturer (OEM) recommendations. This process occurs based on miles and varies in the complexity based on the mileage interval. Inspections include:

- Brake inspection;
- Lube and oil filter;
- General inspection;
- Wheelchair ramp;
- Air conditioner;

- Electrical;
- Cooling;
- Compressed Natural Gas (CNG) and fire suppression;
- Farebox;
- Transmission; and
- Differential and diaphragms.

All inspections are documented and kept for the life of the vehicle. Specific details on the preventative maintenance program are explained further in the Maintenance Manual that is maintained by the Maintenance Department. The California Highway Patrol (CHP) conducts an independent audit of the preventative maintenance program annually.

7.1.9 Internal Safety Reporting Programs

The CSO routinely reviews safety data from various sources including: employee safety reports, safety meetings, the employee reporting program, customer service complaints, OSHA logs, and other safety communication channels that track safety performance information. The CSO will review and assess the data, conduct further investigations, and use established safety risk management process as needed to ensure safety risk mitigations are effective.

7.2 Management of Change

Changes that may introduce new hazards or impact the agency's safety performance are assessed through various processes. These changes include but are not limited to:

- Procurement of new goods/equipment;
- Changes to route design and special event detours;
- Operations/Maintenance procedure changes;
- Introduction of new technology;
- New regulatory requirements;
- Changes to operating environment including city/regional planning;
- Design and construction of capital projects; and
- Organizational changes.

If management determines that a change may impact safety performance, the proposed change should be evaluated using the Safety Risk Management Process, which includes hazard identification, risk assessment, and risk mitigation. Any change that may introduce new hazards to the system should include the safety department. Please refer to the Safety Risk Management section of this document or contact a member of the safety department for more information regarding this process. If the safety department is not consulted and engaged during the decision

making process of the change, the project manager or individual who is approving/implementing the change is responsible for ensuring adequate safety risk management is conducted prior to making any changes.

7.3 Continuous Improvement

MTS establishes Safety Performance Targets, Key Performance Indicators and PIP goals annually. These goals are tracked and reported on a monthly and annual basis. The CSO meets with the CEO, COO, executive management and other key staff regularly to review and evaluate the agency's performance. Any identified deficiencies are addressed with a plan, under the direction of the Accountable Executive or their designee.

8 Safety Promotion

8.1 Safety Communication

Management promotes and communicates safety performance throughout the entire organization. This communication includes information on hazards and safety risk relevant to employees' roles and responsibilities. Employees are also informed of safety actions that are taken in response to reports submitted through the safety reporting program. The methods of communication include but are not limited to:

- Training Activities;
- Safety Committee;
- Meetings;
- Handbooks;
- Policies;
- Memos;
- Bulletins;
- Newsletters;
- Company Intranet;
- Job Briefings; and
- Department Information Monitors.

8.2 Competencies and Training

8.2.1 Chief Safety Officer Training Program

The CSO participates in the Voluntary Bus Safety Certification Program as outlined in 49 CFR Part 672. This training includes the following courses:

- SMS Awareness;
- SMS Safety Assurance;

- SMS Principles For Transit;
- Transit Bus System Safety;
- Fundamentals of Bus Collision Investigation; and
- Effectively Managing Transit Emergencies.

The CSO training also includes:

- Drug and Alcohol;
- Harassment Prevention; and
- Management Development

8.2.2 Servicer Training Program

All servicers complete a comprehensive training program. This program includes passing a written and behind the wheel test for a commercial driver license. Other major topics covered in the training program include: Code of Safe Practices, CNG fueling procedures, electric bus charging, bloodborne pathogen control program, Spill Prevention & Control Program (SPCC), and Maintenance Department policies and procedures.

Servicer refresher training includes but is not limited to:

- Toolbox training sessions;
- SPCC refresher training;
- Behind the wheel evaluations; and
- Preventable Accident remediation

8.2.3 Mechanic Apprenticeship Program

All mechanics complete a three (3) to four (4) year (depending on specialty) state certified apprenticeship program. The training starts with 40 days of in-house classroom instruction followed by on-the-job training with a mentor throughout the program. Apprentices must also complete nine (9) required college courses through Miramar Community College. In addition to the apprentice program, mechanics also receive the training program outlined in the servicer training program. Mechanics also receive Hazardous Waste Operations and Emergency Response (HAZWOPER) training as well as forklift certification.

Mechanic refresher training includes but is not limited to:

- Toolbox training sessions
- SPCC annual refresher training
- HAZWOPER annual refresher training
- Forklift recertification every 3 years

- Behind the wheel evaluations
- Preventable accident remediation

8.2.4 Foreman and Maintenance Managers

Foreman and Maintenance Managers training includes, but is not limited to, the following:

- Drug and Alcohol;
- Harassment Prevention;
- Management Development;
- Toolbox training sessions;
- SPCC;
- HAZWOPER;
- Forklift recertification;
- Behind the wheel evaluations;
- Preventable accident remediation; and
- Cardiopulmonary Resuscitation (CPR).

8.2.5 Bus Operator Training Program

All bus operators complete a nine (9) week training program prior to operating a bus in revenue service on their own. The training program is comprised of both classroom and behind the wheel driving. Operators are required to receive and maintain a class B commercial driving license, with a passenger and air brake endorsement. Operators are also required to have a valid medical certificate and Verification of Transit Training (VTT) certificate. Training topics includes, but are not limited to, the following:

- Bus operation and defensive driving;
- Destination signs;
- Radio communication;
- Customer service;
- ADA;
- Emergency procedures; and
- Route training.

Bus Operator refresher training includes, but is not limited to, the following:

- VTT annual training;
- Accident remediation;
- Defensive driving;

- Conflict resolution;
- Policy and procedures; and
- Behind the wheel evaluations.

8.2.6 Transportation Supervisors and Managers

Supervisors and Transportation Managers training includes, but is not limited to, the following:

- Drug and Alcohol;
- Harassment Prevention;
- Management Development;
- VTT;
- CPR; and
- Preventable accident remediation.



Metropolitan Transit System

APPENDIX A

Bus Safety Plan

(Public Transportation Agency Plan pursuant to 49 CFR 673)



**MTS Contract-Operator at South Bay Maintenance Facility
(SBMF) and East County Maintenance Facility (ECMF)**





APPENDIX A

TRANSDEV BUS SAFETY PLAN

**Contract Operations at
East County Maintenance Facility
and
South Bay Maintenance Facility**

1 Bus Agency Safety Plan Overview

1.1 Agency Information

This Bus Agency Safety Plan discusses how safety is managed for Transdev, in operating the fixed route contract for the San Diego Metropolitan Transit System (MTS). 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.

Transdev operates Fixed-Route Urban, Local, Express, Rural and Bus Rapid Transit (BRT) bus services in the San Diego Metropolitan Transit System (MTS) service area of San Diego. Services are provided under a contract agreement, to operate Fixed-Route service from the South Bay Division and East County Division, which operate a combined fleet of approximately 332 buses on approximately 56 Routes.




Table 1: Agency Information

Agency Information	
Transit Agency Name	MTS
Transit Agency Address	1255 Imperial Ave Suite 1000, San Diego, CA 92101
Name and Title of Accountable Executive	Sharon Cooney, Chief Executive Officer (CEO)
Name of Chief Safety Officer (CSO) or Safety Management System (SMS) Executive	Jared Garcia, Manager of Safety
Modes of Service Covered By This Plan	Contracted Fixed Route Bus
List Of All Funding Types:	5307, 5337, 5339
Mode(s) of Service Provided by the Transit Agency (Directly Operated or Contracted Service)	Contracted Fixed Route Bus
Does the agency provide transit services on behalf of another transit agency or entity?	No
Description of Arrangement(s)	N/A

1.2 Bus Agency Safety Plan Approvals

The Bus Agency Safety Plan has been approved by the Accountable Executive and the MTS Board of Directors (Table 2).

Table 2: Bus Agency Safety Plan Approvals

Bus Agency Safety Plan Approvals		
Name of Entity That Drafted This Plan	San Diego Metropolitan Transit System	
Accountable Executive Signature	Signature of Accountable Executive	Date of Signature
		7/30/20
Approval by the MTS Board of Directors	Signature of Chairperson of the MTS Board of Directors	Date of Approval
		7/30/20
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
		7/30/20

1.3 Annual Review, Update, and Safety Performance Assessment

1.3.1 Annual Review of the Bus Agency Safety Plan

This plan will be reviewed and updated annually during the month of January by the Chief Safety Officer. Proposed changes are reviewed with the Accountable Executive, Executive Management and Key Staff. The Accountable Executive will review and approve any changes, sign the updated plan, and then forward the plan to the Board of Directors for final review and approval. Updates to this plan may be made when there are:

- Changes to: safety performance targets, safety management policy, safety risk management, safety assurance, and safety promotion;
- Changes to: The Accountable Executive, COO, or CSO;
- Significant changes to service delivery;
- Significant changes to the organizational structure;
- New process/procedures are introduced that impact safety;
- Changes to available resources or priorities that support SMS; and
- Changes required by the Federal Transit Administration (FTA), California Public Utilities Commission (CPUC), California Department of Transportation (Caltrans), San Diego Association of Governments (SANDAG), etc. or other similar oversight agency.

1.3.2 Annual Safety Performance Assessment

MTS conducts an annual safety performance assessment in conjunction with the annual review. This assessment includes a review of the prior year's

performance involving the Safety Performance Targets, Key Performance Indicators and applicable Performance Incentive Program (PIP) goals. The assessment may also include reviewing identified safety deficiencies, or other areas involving safety performance.

Updates made to the Bus Agency Safety Plan will be documented (Table 3).

Table 3: Version Number and Update History of Transit Safety Plan

Version Number and Update History of Bus Agency Safety Plan			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1.0	All	N/A	TBD

1.4 Documentation and Recordkeeping

This Bus Agency Safety Plan and documents related to this plan will be maintained for three (3) years after date of creation and be made available upon request by the FTA or other applicable agency having jurisdiction.

2 Safety Performance Targets

2.1 Safety Performance Targets

As required by 49 CFR 673.11(a) (3), this Bus Agency Safety Plan must include performance targets associated with revenue service that are based on the safety performance measures established under the National Public Transportation Safety Plan.

MTS may adjust performance targets over time, as data is collected and as SMS implementation matures. MTS performance targets for fatalities have been chosen to represent an aspirational goal (Table 4). MTS performance targets for injuries, safety events and system reliability have been chosen to represent improvement over the current baseline safety performance levels (used previous two calendar years, CY-18, CY-19) (Table 4). The safety performance targets are evaluated for each calendar year (January 1 – December 31).

Table 4: Safety Performance Targets

Bus Safety Performance Targets (Evaluated Per Calendar Year)							
Mode of Transit Service	Fatalities (Total)	Fatalities (Rate) Per 100K	Injuries (Total)	Injuries (Rate) Per 100K	Safety Events (Total)	Safety Events (Rate) Per 100K	System Reliability (Rate) Failures/ Rev Miles
Fixed Route Contracted	0	0	68	0.65	69	0.66	6,000

2.2 Safety Performance Target Definitions

Definitions are based on the 2020 NTD Safety and Security Policy Manual.

Fatality – Death confirmed within 30 days of the event (including suicides). Fatalities that occur because of illnesses or other natural causes (including individuals who are found deceased) are not reportable.

Injury - Any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event must be reported as an injury. MTS reports each person transported away from the scene for medical attention as an injury, whether or not the person appears to be injured.

Safety Events – Collisions that meet NTD thresholds for injuries, fatalities, property damage, or evacuation; vehicle towed from the scene involving a transit revenue vehicle; fires; hazardous materials spills, acts of God; evacuations for life safety reasons; other safety events listed in NTD policy manual.

System Reliability - mean distance between major mechanical failures, is measured as revenue miles operated divided by the number of major mechanical failures.

2.3 Safety Performance Target Coordination

Safety Performance Targets are made available to state of California including the Public Utilities Commission (CPUC), Caltrans, and the San Diego Association of Governments (SANDAG), MTS's Metropolitan Planning Organization (MPO), to aid in the planning process. Coordination with these agencies, in the selection of safety performance targets is accomplished to the maximum extent practicable. MTS officially transmits its targets in writing to the State and MPO following the annual review and certification. This transmission will take place in February of each year.



Targets Transmitted to the State ¹	State Entity Name	Date Transmitted
	California Public Utilities Commission (CPUC)	See Footnote 1
	California Department of Transportation (Caltrans)	See Footnote 1
Targets Transmitted to the MPO	MPO Name	Date Transmitted
	San Diego Association of Governments (SANDAG)	7/7/2020

3 Safety Management Policy

3.1 Safety Management Policy Statement

The Safety Management Policy Statement, signed by the Accountable Executive and approved by the MTS Board of Directors, establishes the agency's safety objectives, and documents the organizational authorities, accountabilities and responsibilities (Figure 1).

¹ Although MTS has offered to share Bus Safety Performance Targets with CPUC and Caltrans, both have stated it is not necessary to send Bus Safety Performance Targets for their review. As required per 49 CFR 673.15, MTS will coordinate and share Bus Safety Performance Targets with state entities to the maximum extent practicable

Figure 1: Safety Management Policy Statement

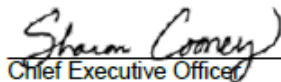
San Diego Metropolitan Transit System Safety Management Policy Statement

The San Diego Metropolitan Transit System (MTS) has established this Safety Management System Policy Statement to emphasize its overall commitment to the safety of our passengers, our operators, our staff and the general public. This Safety Management System Policy Statement provides direction for MTS's safety program, which applies to every facet of MTS operations.

The management of safety is MTS's highest priority. MTS is committed to safety throughout the entire organization, from the Board of Directors to the front line employees.

MTS will ensure that all transit service delivery activities take place under a balanced allocation of organizational resources to achieve the highest level of safety performance and meeting established standards. MTS is committed to developing, implementing, maintaining, and constantly improving our processes. As evidence of our commitment to safety, every MTS policy shall be guided by and every employee shall perform their duties in furtherance of the following safety goals:

- Supporting safety through the provision of appropriate resources that fosters a safety culture;
- Integrating the management of safety among the primary responsibilities of all managers and employees;
- Clearly defining managers and employees' responsibilities in relation to the performance of our safety management system;
- Conducting hazard identification and evaluating safety risks, which includes an employee safety reporting program, in order to eliminate or mitigate safety risks;
- Ensuring that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- Complying with, and wherever possible exceeding, legislative and regulatory requirements and standards;
- Ensuring that sufficiently skilled and trained employees are available to implement safety management processes;
- Ensuring that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are assigned only tasks for which they are adequately trained;
- Establishing and measuring our safety performance against realistic and data-driven safety performance indicators and safety performance targets;
- Continually improving our safety performance by ensuring appropriate safety management action is taken and is effective; and
- Ensuring externally supplied systems and services that support our operations are delivered to meet our safety performance standards.


Shaun Cooney
Chief Executive Officer

San Diego Metropolitan Transit System

July 30, 2020
Date


Nathan Fletcher
Chair of Board of Directors

San Diego Metropolitan Transit System

July 30, 2020
Date



At Transdev, safety is our credo—our core belief, our deepest conviction and our highest priority. Our responsibility and accountability for safety extends to all Transdev North America employees as we care for our customers, passengers, the general public such as motorists, cyclists and pedestrians, and each other.

Operational safety shall serve as the guiding principle and paramount priority at all times when developing any Transdev North America operational policies, practices and procedures. All decisions need to be viewed through the lens of safety.

The prevention of accidents, injuries, unsafe incidents and illness is the responsibility of every Transdev North America employee. All employees, from the Chief Executive Officer to the frontline employee, are expected to lead by example and:

- Provide a safe and healthy working environment;
- Abide by all safety policies, rules and regulations;
- Expect and insist upon a total commitment to safety from fellow employees; and
- Immediately raise any safety concerns to his or her supervisor or safety representative.

“
All decisions
need to be
viewed through
the lens of safety.
”




Yann Leriche
Chief Executive Officer
Transdev North America

3.2 Goals

Transdev, on behalf of MTS Transit Services, is committed to providing the safest transportation possible for our employees, customers, the citizens of San Diego, and the communities we serve. We will:

- Provide and maintain a safe and healthy working environment
- Provide a safe and courteous transit system
- Follow best practices that will safeguard employees, customers, and persons interacting with transit property and equipment

Accidents are the result of unsafe acts committed by people and the existence of hazards or unsafe conditions, both of which are controllable and must be prevented to the maximum extent practicable in order to achieve Transdev's and MTS' commitment.

Our Safety Policy and our commitment to safety are at all times guided by the following principles:

- Safety is the responsibility of each and every employee
- Management has the responsibility to train all employees to work safely and to assure all employees work in a safe manner
- Preventing accidents, injuries, and incidents is good business
- Operating risks, hazards, and exposures can be safeguarded with active and effective safety practices
- Injuries and occupational illnesses can be prevented

3.3 Employee Reporting Program

Employees and contractors are empowered to report safety hazards, unsafe conditions, and near misses to management. No action will be taken against an employee through the reporting program as long as the report or act was not illegal, negligent, willful, or a violation of company policy/procedure. Employees have multiple means of communicating their concerns which include:

- Verbally to their direct supervisor or other member of management;
- By use of phone/radio;
- Through their union representative;
- Completing an anonymous paper form and
- Through the Employee Safety Committee.

Hazards that cannot be adequately mitigated at the time of reporting are reported to the CSO and entered into a software database (Industry Safe or equivalent) for further assessment and mitigation (see Safety Risk Management).

Figure 2: Sample Paper Reporting Form

	
SAFETY SUGGESTION / HAZARD ID FORM	
EMPLOYEE NAME: _____	DATE: _____
PHONE #: _____	EMAIL: _____
NAME AND CONTACT INFORMATION IS OPTIONAL	
HAZARD LOCATION: _____	
TIME OF HAZARD ID: _____	DATE OF HAZARD ID: _____
SAFETY SUGGESTION/DETAILS OF HAZARD: _____ _____ _____ _____ _____ _____ _____ _____ 	
RECOMMENDED ACTIONS: _____ _____ _____ _____ _____ _____ _____ 	
USE OTHER SIDE TO ADD ADDITIONAL DETAILS	
DO NOT WRITE BELOW THIS LINE	
HAZARD REPORT RECEIVED BY SAFETY: _____ <div style="display: flex; justify-content: space-around; width: 100%;"> NAME DATE </div>	
SAFETY MANAGER SIGNATURE _____	
AFTER RECEIPT OF REPORT, SAFETY COMMITTEE WILL REVIEW THE HAZARD AND REPORT TO EMPLOYEE ON ACTIONS TAKEN TO MITIGATE THE HAZARD	
ACTIONS TAKEN: _____ _____ _____ _____ _____ _____ _____ 	

3.4 Safety Management Policy Communication

The Safety Management Policy Statement is communicated to all employees and contractors throughout the organization including: employees, managers, executives and the Board of Directors. This policy is communicated through:

- Employee Handbooks;
- Bulletin Boards;
- Newsletters; and
- Company Intranet

3.5 Authorities, Accountabilities, and Responsibilities

3.5.1 Board of Directors

The Board of Directors (Board) is responsible for setting policy for MTS, including Transit Services. The Board is required to approve the ASP initial document and all updates. At its regular meetings, the Board receives periodic safety briefings from Bus Operations. The Board has delegated agency management to the CEO, subject to various adopted Board policies and legal requirements.

3.5.2 Accountable Executive

The Board of Directors has designated the CEO as the Accountable Executive for the Agency. The Accountable Executive has ultimate responsibility for ensuring that SMS is effectively implemented and that action is taken, as necessary, to address substandard performance throughout the Agency. These responsibilities include:

- Establishing, implementing, and promoting the Safety Policy Statement;
- Authority over financial and human resources;
- Authority over all activities and operations;
- Authority over final risk assessment ranking;
- Authority over final mitigation(s) of hazards/unsafe conditions;
- Briefing the Board of Directors; and
- Responsibility for carrying out the Transit Asset Management (TAM) Plan.
-

The CEO has delegated the authority and the day-to-day responsibilities of the agency safety plan for Transit Services to the Chief Operating Officer (COO) of Transit Services.

3.5.3 Chief Operating Officer (COO)

The COO reports directly to the CEO and is responsible for ensuring that SMS is effectively implemented and that action is taken, as necessary, to address substandard performance throughout Transit Services. These responsibilities include:

- Implementing, and promoting the Safety Policy Statement;
- Authority over financial and human resources within Transit Services;
- Authority over all activities and operations within Transit Services;
- Authority over the risk assessment ranking within Transit Services;
- Authority over final mitigation(s) of hazards/unsafe conditions within Transit Service; and
- Briefing the Board of Directors on SMS related activities within Transit Services, as requested by the CEO.

The COO will support and encourage an open dialogue between the Chief Safety Officer and the CEO.

3.5.4 Chief Safety Officer

The Chief Safety Officer (CSO) is the Manager of Safety for Transit Services. The CSO has a dual reporting role with the COO and the CEO. As necessary to implement the Bus Agency Safety Plan and discuss relevant issues, the CSO has

a duty and a right to report directly to and consult with the CEO. The CSO has independent and direct access to the CEO as needed regarding all safety related issues. The CSO has regularly scheduled safety briefings with the CEO and COO. The CSO also reports to the COO on a day-to-day basis. The CSO is responsible for:

- Developing and maintaining SMS programs including the Bus Agency Safety Plan;
- Managing the Employee Reporting Program;
- Performing analysis of incidents, trends, and causes and making recommendations to reduce or eliminate the potential for recurrence;
- Assisting other departments with the development of training programs and procedures;
- Managing the review and analysis of all accidents, incidents and safety events to determine preventability and any other causal or contributing factors;
- Providing monitoring and follow-up with employees after preventable accidents;
- Serving as the Chair of the Employee Safety Committee;
- Coordinating with external emergency response agencies, including police, fire and emergency management agencies, regarding emergency response training, familiarization and review of emergency occurrences and Transit Services emergency preparedness plans; and
- Managing the Department of Motor Vehicles (DMV) Pull Notice Program and assuring all licenses, permits and certifications are in compliance.

3.5.5 Other Agency Leadership, Executive Management and Key Staff

3.5.5.1 Manager of Contract Operations and Passenger Facilities

The Manager of Contract Operations and Passenger Facilities directly reports to the COO and is responsible for:

- Providing day-to-day oversight of contractor compliance with the agency safety plan;
- Providing contract oversight of the Agency's multi-year transit operations contracts;
- Monitoring ongoing facility maintenance activities dictated by Agency service contracts;
- Planning, directing, coordinating and reviewing Contract Services' staff;
- Assisting with transportation activities and coordinating schedules, projects and programs as needed to ensure Contract Service quality and continuity with Agency goals and objectives;

- Overseeing the coordination of bus stop maintenance and other transit amenities, including administration of various vendor contracts;
- Working with appropriate staff to develop fleet capital replacement program; and
- Supporting Finance Department staff on discretionary and programmed grants applications.

3.5.5.2 Transit Operations Specialists

Transit Operations Specialists directly report to the Manager of Contract Operations and Passenger Facilities and are responsible for overseeing the MTS Bus Operations and BRT contract at East County and South bay Divisions. Transit Operations Specialists are responsible for overseeing Contractors efforts in:

- Implementing, promoting and monitoring compliance of the Safety Plan;
- Mitigation(s) of hazards/unsafe conditions within East County and South bay Contract Service Divisions;
- Analysis of incidents, trends, and causes, as well as recommendations to reduce or eliminate the potential for recurrence;
- Post-accident review and reporting;
- Coordinating with external emergency response agencies, including police, fire and emergency management agencies, regarding emergency response training, familiarization and review of emergency occurrences and Contractor's Transit Services emergency preparedness plans; and
- Providing monthly progress reports, as well as statistical and analytical support data.

3.5.5.3 Transdev Leadership, Executive Management and Key Staff

3.5.5.3.1 General Manager

The General Manager is Transdev's Top Executive for East County and South Bay Contract Service Divisions. Transdev's General Manager is responsible for ensuring that SMS is effectively implemented and that action is taken, as necessary, to address substandard performance throughout the East County and South Bay Contract Service Divisions. These responsibilities include:

- Establishing, implementing, and promoting MTS' and Transdev's Safety Policy Statement;
- Authority over Transdev's financial and human resources;
- Authority over all of Transdev's activities and operations;
- Authority over Transdev's final risk assessment ranking;

- Authority over Transdev's final mitigation(s) of hazards/unsafe conditions; and
- Briefing the Manager of Contract Operations and Passenger Facilities.

The General Manager has delegated the authority and the day-to-day responsibilities of the Transdev agency safety plan to the East County and South Bay Division Managers.

3.5.5.3.2 East County and South Bay Division Managers

The East County and South Bay Division Managers directly report to the General Manager, and are responsible for ensuring that SMS is effectively implemented and that action is taken, as necessary, to address substandard performance throughout East County and South Bay Contract Service Divisions. These responsibilities include:

- Directly overseeing and managing the MTS contract at East County and South bay Contract Service Divisions.
- Implementing, and promoting the Transdev Safety Policy Statement;
- Authority over financial and human resources within East County and South bay Contract Service Divisions.
- Authority over all activities and operations within East County and South bay Contract Service Divisions.
- Authority over the risk assessment ranking within East County and South bay Contract Service Divisions.
- Authority over final mitigation(s) of hazards/unsafe conditions within East County and South bay Contract Service Divisions; and
- Briefing the CSO and the Manager of Contract Operations and Passenger Facilities.

3.5.5.3.3 Director of Safety and Training

The Director of Safety and Training of East County and South Bay Contract Service Divisions is the designated Safety representative for Transdev. The Director of Safety and Training directly reports to the South Bay Division Manager, but is responsible for providing routine updates directly to the CSO of MTS and Administrative Staff overseeing the Transdev Contract. As necessary to implement the Transdev's Bus Agency Safety Plan and discuss relevant issues, the Director of Safety and Training has a duty and a right to report directly to and consult with the South Bay Division Manager. The Director of Safety and Training has independent and direct access to the South Bay Division Manager and MTS and Administrative Staff overseeing the Transdev Contract, as needed regarding all safety related issues. The Director of Safety and

Training has regularly scheduled safety briefings with the South Bay Division Manager and MTS and Administrative Staff overseeing the Transdev Contract. The Director of Safety and Training also reports to the South Bay Division Manager on a day-to-day basis. The Director of Safety and Training is responsible for:

- Developing and maintaining SMS programs including Transdev's Bus Agency Safety Plan;
- Managing Transdev's Employee Reporting Program;
- Performing analysis of Transdev's incidents, trends, and causes and making recommendations to reduce or eliminate the potential for recurrence;
- Assisting Transdev's other departments with the development of training programs and procedures;
- Managing the review and analysis of all Transdev's accidents, incidents and safety events, to determine preventability and any other causal or contributing factors;
- Providing monitoring and follow-up with Transdev's employees after preventable accidents;
- Serving as the Chair of Transdev's Employee Safety Committee;
- Coordinating with external emergency response agencies, including police, fire and emergency management agencies, regarding emergency response training, familiarization and review of emergency occurrences and Transdev's emergency preparedness plans; and
- Managing Transdev's Department of Motor Vehicles (DMV) Pull Notice Program and assuring all licenses, permits and certifications are in compliance.

3.5.5.3.4 Director of Maintenance

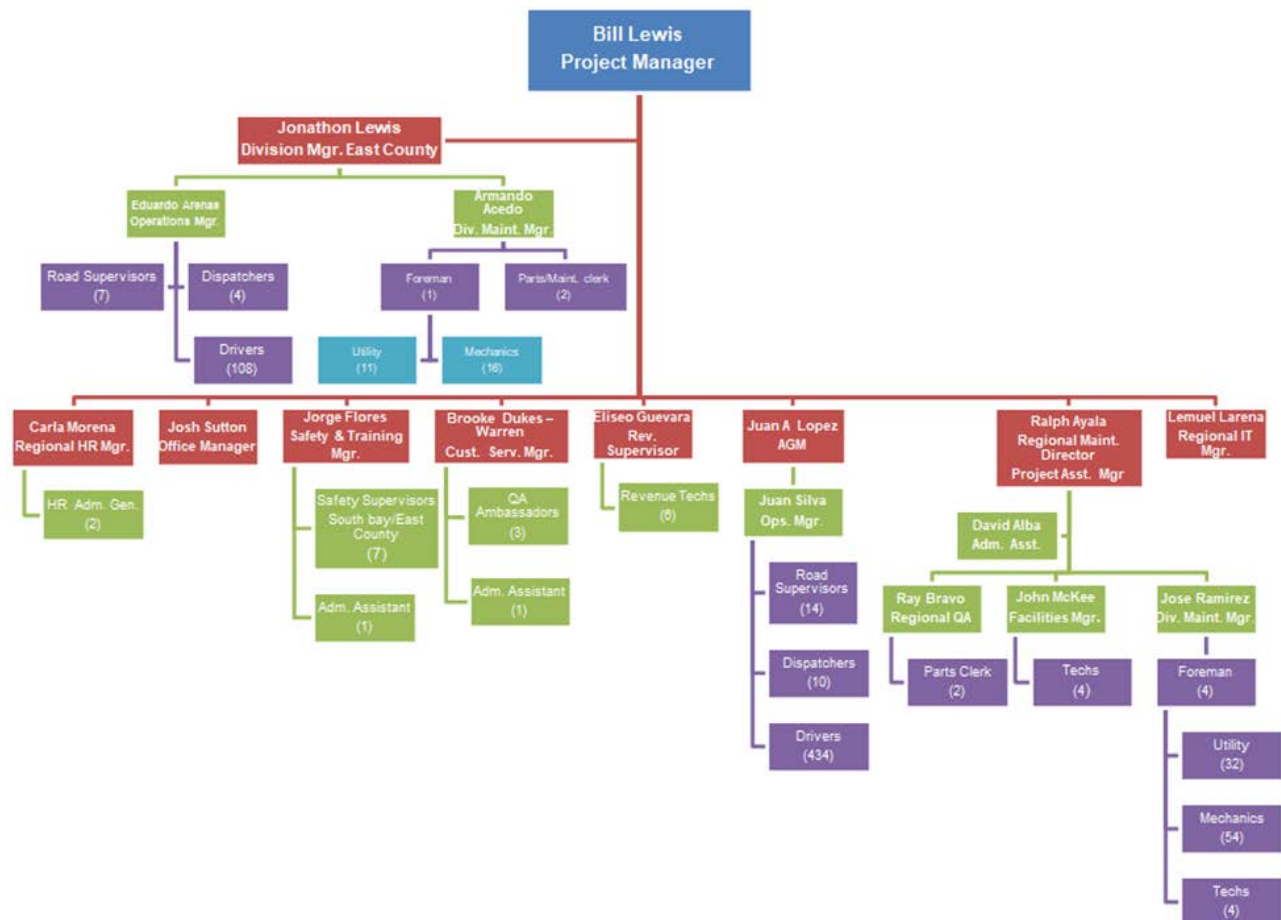
The Director of Maintenance directly reports to the General Manager and is responsible for:

- Directing, organizing, developing and planning all Transdev's directly operated bus and facility maintenance functions;
- Providing oversight, contract compliance and support for all of Transdev's contracted service fleet and facility maintenance operations;
- Directing, coordinating and supervising the development, implementation and administration of capital plans and contracts for Transdev's fleet replacement, as well as service contracts providing maintenance for all Transdev's bus facilities and fleets;
- Overseeing the administration of applicable Transdev's Collective Bargaining Agreement (CBA);

- Overseeing Transdev's maintenance employee training, including the mentoring program; and
- Providing expertise and advice regarding Transdev's staffing decisions in Fleet and Facilities, including recommendations for hiring, promotion and termination; evaluation and the implementation of discipline and other remedial measures.

4 Organization Chart

Figure 3: Organization Chart



5 Meetings

5.1 CEO Safety Briefings

The CEO, COO, and CSO meet on a regular basis to review and discuss monthly safety performance. These topics include but are not limited to:

- Accidents & Injuries
- Hazard mitigation strategies
- Training activities
- Policy & Procedures
- Committee meetings
- Contract management
- Project updates

5.2 Transit Services Executive Staff Meetings

The CSO and other agency leadership within Transit Services meet together on a weekly basis with the COO to review and discuss updates from each department. These topics include but are not limited to:

- Accidents & Injuries
- Hazard mitigation strategies
- Training activities
- Policy & Procedures
- Committee meetings
- Contract management
- Project updates

5.3 COO Meetings with Contract Services and Transdev Leadership

The COO, CSO, and Manager of Contract Operations and Passenger Facilities meet on a monthly basis with Transdev Leadership to review and discuss updates regarding safety performance, safety risk management, safety assurance, and safety promotion. These topics include but are not limited to:

- Accidents & Injuries
- Existing hazards and mitigation techniques
- Training activities
- Policy & Procedures
- Committee meetings
- KPI goals
- Contract management
- Project updates
- Staffing levels

5.4 Transdev and MTS Contract Services Management Staff Meetings

The Director of Safety and Training and other leadership within Transdev's Executive Management Staff, meet together on a monthly basis with the Manager of Contract Operations and Passenger Facilities as well as other leadership within

Contract Services to review and discuss updates from each department. These topics include but are not limited to:

- Accidents & Injuries
- Hazard mitigation strategies
- Training activities
- Policy & Procedures
- Committee meetings
- Contract management
- Project updates
- KPI goals

5.5 Transdev's Employee Safety Committee

Transdev's Employee Safety Committee meets monthly and is comprised of representatives from both bargaining units (ATU, IBT), MTS Contract Services Management Staff, as well as Transdev's management representatives from the Maintenance, Safety, and Operations Departments. The purpose of the safety committee is to: create, improve, promote and maintain a heightened safety culture within the organization; inform, educate and influence employees through awareness campaigns and training activities designed to prevent and reduce accidents and injuries; and to provide a forum for employees to actively participate in safety programs that address and resolve safety issues in a timely manner.

5.6 Transdev's Claims Review Meetings

Transdev Management meets with the Transdev Risk Department on a Bi-monthly basis. Topics include but are not limited to:

- Open & recently closed claims
- Workers comp claims
- Litigation updates
- Hazard mitigation strategies
- Training activities
- Policy & Procedures

5.7 Regional Safety Meetings

Transdev Management meets with Transdev Regional Managers on a Bi-weekly basis. Topics include but are not limited to:

- Open & recently closed claims
- Workers comp claims
- Hazard mitigation strategies
- Training activities

- Policy & Procedures
- DriveCam Performance
- KPI reviews

5.8 Emergency Preparedness and Response

5.8.1 Employee Training

Employees receive varying levels of emergency response training during the initial onboarding process depending on job position. Employees also receive applicable refresher training throughout the year through training programs and topics outlined in the Safety Promotion and Safety Communication sections of this document. Topics covered for emergency training include:

- Accident/Injury reporting
- Inspection protocols
- Passenger evacuations
- Road calls/Breakdowns
- Fire suppression
- Spill prevention, control and countermeasures (SPCC)
- Hazardous waste, operations, and emergency response (HAZWOPER)
- Conflict resolution and de-escalation techniques

5.8.2 Emergency Responder Training & Coordination

Transit Services participates in external agency emergency trainings and exercises whenever requested/invited by local municipal, county, state, or federal entities. These events include emergency events specific to the transit system as well as supporting other agencies with available resources (vehicles) to aid in external emergency response. Typical training events and exercises include:

- Vehicle familiarization
- Bus hijacking/SWAT
- Rescue/heavy lift extraction
- Homeland Security canine training
- Community based evacuations & temporary shelter
- Tabletop exercises

5.8.3 Vehicle Safety Equipment

Fixed route buses are equipped with the following safety features to reduce to the likelihood/severity of an emergency:

- Two-way radio
- GPS tracking

- Security cameras
- Discreet panic button
- Fire extinguisher
- Engine fire detection & suppression system (excludes battery electric buses)
- Interlock device(s)
- Fuel leak detection alarm (CNG buses only)
- Emergency exit windows & roof hatches
- Low air pressure alarm

6 Safety Risk Management

Safety Risk Management is a decision-making process that involves the identification, evaluation, and mitigation of hazards and unsafe conditions throughout the system. Hazards are to be eliminated or mitigated to lowest practical level with consideration given to financial and operational constraints. Transdev utilizes a decentralized process where each department is responsible for managing the hazards that exist within their department.

6.1 Safety Hazard Identification

All Transdev employees are responsible for identifying and reporting hazards and unsafe conditions to their immediate supervisor/manager. The supervisor/manager is responsible for the initial evaluation and mitigation of a reported hazard. If the supervisor/manager is unable to eliminate the hazard or effectively mitigate the hazard to an acceptable level, the hazard must be reported to the Director of Safety and Training. The Director of Safety and Training is responsible for documenting the reported hazard.

Hazards are generally identified through:

- Employee Reporting Program;
- Employee Safety Committee;
- Routine inspections;
- Training activities;
- Direct observation by supervisors, managers and/or safety personnel;
- Accident and incident investigations;
- Customer Service reports;
- Daily operations activity reports;
- Safety data analysis;
- Audits;
- Data and info provided by FTA or other oversight authority;
- Design/Planning process for capital projects;
- Procurement of goods and services; and
- New service implementation

6.2 Safety Risk Assessment

The Director of Safety and Training is responsible for assessing safety risks. Analyzing hazards is subjective. Two reasonable people could assess the same hazard and determine a different probability or severity of an unfavorable outcome. Hazards are analyzed using the probability/severity matrix within this section (Table 5, Table 6, Table 7, and Table 8). The criteria listed in the severity and probability charts are intended to be guidelines only. Each hazard is unique. Therefore, in addition to the severity and probability charts, the Director of Safety and Training should also consider common sense, similar prior/existing hazards, historical data, and their professional experience when conducting the assessment. Hazards that are “unacceptable”, “undesirable”, or “acceptable with review by management” are entered into the Risk Register by the Director of Safety and Training. Hazards that are “acceptable without review” are not required to be entered into the Risk Register. The Director of Safety and Training is responsible for informing the South Bay Division Manager, and Transdev’s Accountable Executive of any hazard that is “unacceptable” or “undesirable”.

Table 5: Severity

Severity		
Description	Category	Criteria (worst likely credible outcome)
Catastrophic	1	Could likely result in death, permanent total disability, severe property damage or irreversible environmental damage.
Critical	2	Could likely result in permanent partial disability, injuries or occupational illness that may result in hospitalization, or reversible significant property/environmental damage.
Marginal	3	Could likely result in injury or occupational illness resulting in one or more lost work days(s), reversible moderate property/environmental damage.
Negligible	4	Could likely result in injury or illness not resulting in a lost work day, minimal property/environmental impact.

Table 6: Likelihood

Likelihood		
Description	Level	Specific Individual Item (Example of Frequency)
Frequent	A	Likely to occur frequently or continuously. (Weekly, 100K miles)
Probable	B	Likely to occur several times. (Monthly, 1 million miles)
Occasional	C	Likely to occur sometime. (Yearly, 10 million miles)
Remote	D	Unlikely but reasonable or possible to occur. (Decade, 100 million miles)
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced.
Eliminated	F	This level is used when potential hazards are identified and later eliminated.

Table 7: Hazard Assessment Matrix

Hazard Assessment Matrix				
	1 - Catastrophic	2 - Critical	3 - Marginal	4 - Negligible
A - Frequent	1A	2A	3A	4A
B - Probable	1B	2B	3B	4B
C - Occasional	1C	2C	3C	4C
D - Remote	1D	2D	3D	4D
E - Improbable	1E	2E	3E	4E
F - Eliminated	N/A	N/A	N/A	N/A

Table 8: Acceptability Levels

Acceptability Levels	
High	Unacceptable
Serious	Undesirable with management decision
Medium	Acceptable with review by management
Low	Acceptable without review

6.3 Safety Risk Mitigation

After a risk assessment has been conducted, the Director of Safety and Training will identify parties responsible for mitigating the hazard. The responsible parties are generally department heads, those most knowledgeable about the hazard (subject matter experts), or those with the most adequate resources to mitigate the hazard.

The following are common methods and processes responsible parties typically use to mitigate hazards:

- Eliminate hazards by repair/replacement;
- Eliminate hazards through design/change of service;
- Incorporate engineered features or devices;
- Provide warning devices, signage and alarms;
- Establish written policy and procedures to address the hazard;
- Implement training activities;
- Use of personal protective equipment (PPE); and
- Communication of hazard with employees, passengers, and general public

Responsible parties are required to update the Director of Safety and Training Manager. The Director of Safety and Training Manager is then responsible for updating Leadership within Transdev as well as recording the mitigation progress in the Risk Registry in Industry Safe. The Risk Registry is reviewed at the monthly COO Meetings with Contract Services and Transdev Leadership. The MTS Accountable Executive has the ultimate authority when deciding mitigations and the final assessment of a hazard. Hazards that remain at an unacceptable/undesirable level will continue to be monitored and revisited during the annual budget and capital improvement process.

7 Safety Assurance

7.1 Safety Performance Monitoring and Measurement

MTS and Transdev have established several activities to monitor operations and maintenance for compliance with procedures. These processes are also used to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. Non-compliance with procedures is generally addressed through counseling, training, and other management oversight activities. Insufficient procedures are addressed through safety risk management activities.

Transdev Management and Supervisors are responsible for upholding established policies and procedures covered in documents such as CBAs, employee handbooks, training manuals, bulletins, memos, California Vehicle Code sections, etc. Supervisors/Managers typically utilize direct observations, job briefings, facility inspections, radio communications, and investigations to determine compliance. Employees who are not compliant with these procedures may receive in-person counseling, written observation letters, re-training, and/or progressive discipline depending on the severity of the event and the employee's work record.

7.1.1 Investigations

All employees are required to immediately report safety related events to their direct supervisor or the Bus Control Center/Radio room and complete a written accident/incident report. The Transdev Manager on duty is responsible for ensuring the appropriate response to the scene (dependent on available resources) and determining if a drug and alcohol test is required.

A Road Supervisor (RS) should be sent to the scene to investigate whenever a person is injured/claiming injury or there is a collision involving a bus or other mass transit vehicle. The RS will gather statements from persons involved/witnesses, collect insurance and other contact information, take photos of the scene, etc., and complete a written report.

Following the event, the Quality Assurance Supervisors will collect video from the bus camera system and facility camera system if available. The video is generally stored in either the camera system server or a shared network drive and preserved for at least one year after the event and may be stored longer as dependent on available storage space. The Director of Safety and Training will collect and review all information and forward all written materials to Transdev's Risk Department and/or Transdev's Safety Team).

Transdev's Safety Team is responsible for reviewing events involving: vehicle collisions, claims of injury, wheelchair ramp use, and certain braking events. The Safety Team is chaired by the Director of Safety and Training and also includes members from the Training Department and members from the Safety

Department. The Safety Team meets regularly and reviews all available information to determine preventability and any other causal or contributing factors. The Director of Safety and Training informs applicable management and other involved employees of the Safety Team's findings.

The Director of Safety and Training is responsible for entering safety related information in MTS's TransTrack Manager for tracking purposes and data analysis. The Director of Safety and Training is responsible for entering hazards that require management review and/or a decision by management (High/Serious/Medium risk levels) in Industry Safe for tracking the mitigation of hazards. The Director of Safety and Training is also responsible for reporting all safety related data (entered into TransTrack Manager as well as Industry Safe) to the South Bay Division Manager, MTS Administrative Staff overseeing the Transdev Contract and Transdev's Accountable Executive on a monthly basis. MTS Administrative Staff overseeing the Transdev Contract will provide a summary of the data to the COO on a monthly basis. The CSO is responsible for reporting applicable required information to the National Transit Database (NTD) on a monthly basis.

7.1.2 Drug & Alcohol Program

Transdev is a drug and alcohol-free workplace and has an established drug and alcohol policy that is compliant with 49 CFR parts 40 and 655. Every employee receives training upon initial hiring. Supervisor/managers receive two hours of additional training every two years that includes a minimum of 60 minutes on the effects of drug use and 60 minutes of training on the effects alcohol use and the agency policy. Drug and alcohol testing is conducted under the following circumstances:

- Pre-Employment;
- Reasonable Suspicion;
- Post-Accident;
- Random;
- Assuming Safety Sensitive Duties; and
- Return to Duty / Follow-Up

7.1.3 Driving Hours and On-Duty Time

Bus operators' schedules are assigned on a daily basis by an Operations Supervisor. The Operations Supervisor checks hours of service before scheduling upcoming work days. The following records for all bus operators are generated, tracked, and stored in the system:

- The scheduled assignment of all drivers including regular work days, day off work, overtime, vacations, holidays, absences, outside employment hours;

- The time the driver reports for duty each day;
- The time the driver is released from duty each day;
- The total number of hours the driver is on duty each day;
- The total scheduled driving time each day;
- The delay time at the end of each work piece; and
- The total time for the preceding seven days for drivers used for the first time or intermittently

Title 13 of the California Code of Regulations subsection 1212 and 1212.5 establish the following limits on commercial bus operating hours:

- Drivers must have at least 8 hours off between work shifts;
- Maximum 10 hours driving time per day;
- Maximum 15 hours of on duty time; and
- Maximum 80 hours of on duty time for any consecutive 8 days

In addition to state law, the applicable CBA establishes the following limits on scheduling and work hours:

- Drivers have at least 10 hours off between bid-in and scheduled work shifts; and
- Scheduled on-duty/spread work day limited to 12.5 hours.

7.1.4 DMV Pull Notice

Transdev enrolls all employees in the California Employer Pull Notice (EPN) program. The program is required for all commercial drivers as a means for employers to electronically verify and monitor driving records. Employees are enrolled upon hire and removed upon termination. Records indicate license type, expiration date, special certificates, endorsements, restrictions. Notices are also sent annually and when there is a change to license status including a ticket, accident, or suspension. MTS uses a web-based software solution company to manage the EPN program.

The Director of Safety and Training is responsible for monitoring the records of all Transdev commercial drivers and union employees. The Director of Safety and Training is responsible for notifying each department of status changes to the employee's eligibility to operate a bus or other vehicle. Each department is responsible for notifying the employee in their department of status changes, collecting documentation, and preventing them from operating a vehicle if they are not eligible to drive.

Transdev's Human Resources Department is responsible for checking a prospective employee's three (3) year driving record during the application and interview process. Transdev's Human Resources Department is responsible for

monitoring the records of all management employees who do not have a commercial license.

The California Highway Patrol (CHP) performs an audit of t Transdev's EPN program during the annual terminal inspection.

7.1.5 Customer Complaint Investigation

Customer complaints are managed overall by Support Services Department. Customers can submit a complaint by mail, in-person at MTS's and Transdev's administrative offices, through the call center, through the MTS website or through MTS's mobile application. All customer's comments or complaints are entered into the Customer Review Module in SAP. The comments then investigated by the responsible department. Investigation measures may include interviewing staff and/or collecting video if appropriate. Final resolution is handled by department managers. The findings of the investigation are then entered into the Customer Review Module.

7.1.6 Operator Evaluation

Transdev's Behind the Wheel Trainers (BTWs), Road Supervisors (RS), Safety Supervisors and Managers conduct both directed and random ride evaluations that monitor a driver's performance while in revenue service. Evaluations are performed 7 day, 30 days, 45 days, and Quarterly, after operators are released into revenue service. The above-mentioned staff members complete a two-page "Operator Evaluation Form" report for each ride. The report includes; Meets Expectations, Needs Improvement or N/A check boxes and comment fields for various categories (Table 9).

Table 9: Operator Evaluation Categories

Operator Evaluation Categories		
Pre-Trip Inspection	Turning Skills	Engine/Transmission Skills
Preparing To Drive	Intersections	Hill and Mountain Driving
Passenger Management	Braking	Post-Trip Inspection
Radio Procedures	Passenger Pick up/Drop off	Professional Appearance
Defensive Driving	Railroad Crossing	
Backing Skills	Wheelchair Procedures	

The report is verified by the Safety Supervisor and/or The Director of Safety and Training, and emailed to the Employee's direct Supervisor for appropriate

disciplinary action if deemed necessary. Coaching and/or retraining is conducted by the Safety and Training Department. The Division Managers are responsible for final resolution of the reports

7.1.7 Vehicle Pre-Trip Inspections

Pre-trip inspections are conducted in accordance with State and Federal law. Pre-trip inspections are completed by bus operators in the bus yard before the bus goes into revenue service. The pre-trip inspections also occur when bus operators make a relief on the road (excluding air brake test).

7.1.8 Vehicle Preventative Maintenance

Preventative maintenance and inspection is carried out at a minimum in accordance with the Original Equipment Manufacturer (OEM) recommendations. This process occurs based on miles and varies in the complexity based on the mileage interval. Inspections include:

- Brake inspection;
- Lube and oil filter;
- General inspection;
- Wheelchair ramp;
- Air conditioner;
- Electrical;
- Cooling;
- Compressed Natural Gas (CNG) and fire suppression;
- Farebox;
- Transmission; and
- Differential and diaphragms

All inspections are documented and kept for the life of the vehicle. Specific details on the preventative maintenance program are explained further in the Maintenance Manual that is maintained by the Maintenance Department. The California Highway Patrol (CHP) conducts an independent audit of the preventative maintenance program annually.

7.1.9 Internal Safety Reporting Programs

The Director of Safety and Training routinely reviews safety data from various sources including: employee safety reports, safety meetings, the employee reporting program, customer service complaints, OSHA logs, and other safety communication channels that track safety performance information. The Director of Safety and Training will review and assess the data, conduct further investigations, and use established safety risk management process as needed to ensure safety risk mitigations are effective.

7.2 Management of Change

Changes that may introduce new hazards or impact the agency's safety performance are assessed through various processes. These changes include but are not limited to:

- Procurement of new goods/equipment;
- Changes to route design and special event detours;
- Operations/Maintenance procedure changes;
- Introduction of new technology;
- New regulatory requirements;
- Changes to operating environment including city/regional planning;
- Design and construction of capital projects; and
- Organizational changes

If management determines that a change may impact safety performance, the proposed change should be evaluated using the Safety Risk Management Process, which includes hazard identification, risk assessment, and risk mitigation. Any change that may introduce new hazards to the system should include the safety department. Please refer to the Safety Risk Management section of this document or contact a member of the safety department for more information regarding this process. If the safety department is not consulted and engaged during the decision-making process of the change, the project manager or individual who is approving/implementing the change is responsible for ensuring adequate safety risk management is conducted prior to making any changes.

7.3 Continuous Improvement

MTS establishes Safety Performance Targets, Key Performance Indicators and PIP goals annually. These goals are tracked and reported on a monthly and annual basis. The CSO meets with the CEO, COO, executive management and other key staff regularly to review and evaluate the agency's performance. Any identified deficiencies are addressed with a plan, under the direction of the Accountable Executive or their designee.

8 Safety Promotion

8.1 Safety Communication

Management promotes and communicates safety performance throughout the entire organization. This communication includes information on hazards and safety risk relevant to employees' roles and responsibilities. Employees are also informed of safety actions that are taken in response to reports submitted through the safety reporting program. The methods of communication include but are not limited to:

- Training Activities;

- Safety Committee;
- Meetings;
- Handbooks;
- Policies;
- Memos;
- Bulletins;
- Newsletters;
- Company Intranet;
- Job Briefings; and
- Department Information Monitors

8.2 Competencies and Training

8.2.1 Director of Safety and Training - Training Program

The Director of Safety and Training participates in the Voluntary Bus Safety Certification Program as outlined in 49 CFR Part 672. This training includes the following courses:

- SMS Awareness;
- SMS Safety Assurance;
- SMS Principles for Transit;
- Transit Bus System Safety;
- Fundamentals of Bus Collision Investigation; and
- Effectively Managing Transit Emergencies.

The Director of Safety and Training also includes:

- Drug and Alcohol;
- Harassment Prevention; and
- Management Development

8.2.2 Servicer Training Program

All servicers complete a comprehensive training program. This program includes: Code of Safe Practices, CNG fueling procedures, electric bus charging, bloodborne pathogen control program, Spill Prevention & Control Program (SPCC), and Maintenance Department policies and procedures.

Servicer refresher training includes but is not limited to:

- SPCC annual refresher training
- Injury Illness prevention Program
- Maintenance Safety Handbook
- Blood borne Pathogen Program

- CNG Policies and Procedures
- OSHA Training
- Hazardous Energies Lockout/Tagout
- Haz-Com Globally harmonized system
- Behind the wheel evaluations
- Preventable accident remediation

8.2.3 Mechanic Training Program

All mechanics complete an Initial 48 hours of in-house classroom training to be completed in 4 to 5 weeks, followed by 1 to 1 ½ months of on-the-job training with a mentor depending on each Mechanics previous level experience and skill set. In addition to the above mentioned, mechanics also receive the training program outlined in the servicer training program. Mechanics also receive Hazardous Waste Operations and Emergency Response (Haz-Com GHS)) training as well as forklift certification.

Mechanic refresher training includes but is not limited to:

- SPCC annual refresher training
- Injury Illness prevention Program
- Maintenance Safety Handbook
- Blood borne Pathogen Program
- CNG Policies and Procedures
- OSHA Training
- Hazardous Energies Lockout/Tagout
- Haz-Com Globally harmonized system
- Forklift recertification every 3 years
- Behind the wheel evaluations
- Preventable accident remediation

8.2.4 Foreman and Maintenance Managers

Foreman and Maintenance Managers training includes, but is not limited to, the following:

- Drug and Alcohol;
- Harassment Prevention;
- Management Development;
- Toolbox training sessions;
- SPCC;
- HAZWOPER;
- Forklift recertification;
- Behind the wheel evaluations; and
- Preventable accident remediation.

8.2.5 Bus Operator Training Program

All bus operators complete a 176-hour training program prior to operating a bus in revenue service on their own. The training program is comprised of both classroom and behind the wheel driving. Operators are required to receive and maintain a class B commercial driving license, with a passenger and air brake endorsement. Operators are also required to have a valid medical certificate and Verification of Transit Training (VTT) certificate. Training topics includes, but are not limited to, the following:

- Bus operation and defensive driving;
- Destination signs;
- Radio communication;
- Customer service;
- ADA;
- Emergency procedures; and
- Route training

Bus Operator refresher training includes, but is not limited to, the following:

- VTT annual training;
- Accident remediation;
- Defensive driving;
- Conflict resolution;
- Policy and procedures; and
- Behind the wheel evaluations

8.2.6 Operations Supervisors and Managers

Supervisors and Transportation Managers training includes, but is not limited to, the following:

- Drug and Alcohol;
- Harassment Prevention;
- Management Development;
- VTT;
- CPR; and
- Preventable accident remediation

**Acronyms**

ADA	Americans with Disabilities Act
Caltrans	California Department of Transportation
CBA	Collective Bargaining Agreements
CEO	Chief Executive Officer
CHP	California Highway Patrol
COO	Chief Operating Officer
CSO	Chief Safety Officer
EH&S	Environmental Health and Safety
EPN	Employer Pull Notice
KPI	Key Performance Indicators
NTD	National Transit Database
OEM	Original Equipment Manufacturer
PIP	Performance Incentive Program
PPE	Personal Protective Equipment
PUC	Public Utilities Commission
SANDAG	San Diego Association of Governments
RS	Road Supervisor
SPT	Safety Performance Targets



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APPENDIX B

Bus Safety Plan (Public Transportation Agency Plan pursuant to 49 CFR 673)



MTS Contract-Operator at Copley Park Maintenance Facility (CPMF)





First Transit Agency Safety Plan

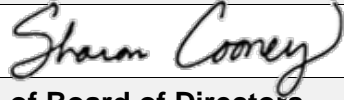


1. Transit Agency Information

Transit Agency Name	San Diego Metropolitan Transit System (MTS)		
Transit Agency Address	1255 Imperial Ave Suite 1000, San Diego CA. 92101-7490		
Name and Title of Accountable Executive	Sharon Cooney, CEO MTS		
Name of Chief Safety Officer or SMS Executive	Jared Garcia, Manager of Safety MTS		
Mode(s) of Service Covered by This Plan	Contracted Fixed Route Bus, Contracted Paratransit, Contracted Paratransit Taxi	List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307, 5310, 5337, 5339
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Directly Operated Light Rail, Directly Operated Fixed Route Bus, Contracted Fixed Route Bus, Contracted Commuter Bus, Contracted Paratransit, Contracted Paratransit Taxi		
Does the agency provide transit services on behalf of another transit agency or entity?	Yes	No X	Description of Arrangement(s)
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	San Diego Metropolitan Transit System 1255 Imperial Ave Suite 1000 San Diego CA 92101		



2. Plan Development, Approval, and

Updates

Name of Entity That Drafted This Plan <i>(Location Code)</i>	First Transit: 55826	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
		7/30/2020
Approval by the Board of Directors or an Equivalent Authority	Signature of Board of Directors	Date of Approval
		7/30/2020
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
		7/30/2020

Version Number and Updates <i>Record the complete history of successive versions of this plan.</i>			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
Original	All pages are original version	First Official version of Safety Plan	TBD

<p>Annual Review and Update of the Public Transportation Agency Safety Plan <i>Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.</i></p> <p>This plan will be reviewed and updated annually during the month of January by the Chief Safety Officer. Proposed changes are reviewed with the Accountable Executive, Executive Management and Key Staff. The Accountable Executive will review and approve any changes, sign the updated plan, and then forward the plan to the Board of Directors for final review and approval. Updates to this plan may be made when there are:</p> <ul style="list-style-type: none"> Changes to: safety performance targets, safety management policy, safety risk management, safety assurance, and safety promotion;



- Changes to: The Accountable Executive, COO, or CSO;
- Significant changes to service delivery;
- Significant changes to the organizational structure;
- New process/procedures are introduced that impact safety;
- Changes to available resources or priorities that support SMS; and
- Changes required by the Federal Transit Administration (FTA), California Public Utilities Commission (CPUC), California Department of Transportation (Caltrans), San Diego Association of Governments (SANDAG), etc. or other similar oversight agency.

MTS conducts an annual safety performance assessment in conjunction with the annual review. This assessment includes a review of the prior year's performance involving the Safety Performance Targets, Key Performance Indicators and applicable Performance Incentive Program (PIP) goals. The assessment may also include reviewing identified safety deficiencies, or other areas involving safety performance.

Updates made to the Bus Agency Safety Plan will be documented in the version number and updates of this plan.

At First Transit, review of safety practices is an ongoing process, not one limited to scheduled reviews. As policies/procedures and training techniques change throughout the year they are updated and communicated throughout the organization. All changes are reviewed and approved by the Senior Director of Safety and the Vice President of Safety – First Transit.

Prior to the beginning of each fiscal year, First Transit's Safety Plan is reviewed by Executive management and revised based on the safety data collected and analyzed, and changes to policies and procedures made throughout the year. The revised plan is then disseminated to San Diego location for implementation.

3. Safety Performance Targets

Safety Performance Targets

Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan. (Evaluated per calendar year.)

MTS may adjust performance targets over time, as data is collected and as SMS implementation matures. MTS performance targets for fatalities have been chosen to represent an aspirational goal. MTS performance targets for injuries, safety events and system reliability have been chosen to represent improvement over the current baseline safety performance levels (used previous two calendar years, CY-18, CY-19) (Table 4). The safety performance targets are evaluated for each calendar year (January 1 – December 31).

Definitions

Definitions are based on the 2020 NTD Safety and Security Policy Manual.

Fatality – Death confirmed within 30 days of the event (including suicides). Fatalities that occur because of illnesses or other natural causes (including individuals who are found deceased) are not reportable.

Injury - Any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event must be reported as an injury. MTS reports each person transported away from the scene for medical attention as an injury, whether or not the person appears to be injured.



Safety Events – Collisions that meet NTD thresholds for injuries, fatalities, property damage, or evacuation; vehicle towed from the scene involving a transit revenue vehicle; fires; hazardous materials spills, acts of God; evacuations for life safety reasons; other safety events listed in NTD policy manual.

System Reliability - mean distance between major mechanical failures, is measured as revenue miles operated divided by the number of major mechanical failures.

Mode of Transit Service	Fatalities (Total)	Fatalities (Rate) Per 100K	Injuries (Total)	Injuries (Rate) Per 100K	Safety Events (Total)	Safety Events (Rate) Per 100K	System Reliability (Rate) Per 100K
Fixed-Route	0	0	4	0.34	4	0.34	7,500
Demand Response	0	0	4	0.09	5	0.11	32,000
Taxi Contracted	0	0	1	0.09	1	0.11	32,000

Safety Performance Target Coordination

Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.

Safety Performance Targets are made available to state of California including the Public Utilities Commission (CPUC), Caltrans, and the San Diego Association of Governments (SANDAG), MTS's Metropolitan Planning Organization (MPO), to aid in the planning process. Coordination with these agencies, in the selection of safety performance targets is accomplished to the maximum extent practicable. MTS officially transmits its targets in writing to the State and MPO following the annual review and certification. This transmission will take place in February of each year.

Targets Transmitted to the State ¹	State Entity Name	Date Targets Transmitted
	California Public Utilities Commission (CPUC)	See Footnote 1
	California Department of Transportation (Caltrans)	See Footnote 1
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	San Diego Association of Governments (SANDAG)	7/7/2020

¹ Although MTS has offered to share Bus Safety Performance Targets with CPUC and Caltrans, both have stated it is not necessary to send Bus Safety Performance Targets for their review. As required per 49 CFR 673.15, MTS will coordinate and share Bus Safety Performance Targets with state entities to the maximum extent practicable



4. Safety Management Policy

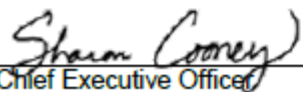
San Diego Metropolitan Transit System Safety Management Policy Statement

The San Diego Metropolitan Transit System (MTS) has established this Safety Management System Policy Statement to emphasize its overall commitment to the safety of our passengers, our operators, our staff and the general public. This Safety Management System Policy Statement provides direction for MTS's safety program, which applies to every facet of MTS operations.

The management of safety is MTS's highest priority. MTS is committed to safety throughout the entire organization, from the Board of Directors to the front line employees.

MTS will ensure that all transit service delivery activities take place under a balanced allocation of organizational resources to achieve the highest level of safety performance and meeting established standards. MTS is committed to developing, implementing, maintaining, and constantly improving our processes. As evidence of our commitment to safety, every MTS policy shall be guided by and every employee shall perform their duties in furtherance of the following safety goals:

- Supporting safety through the provision of appropriate resources that fosters a safety culture;
- Integrating the management of safety among the primary responsibilities of all managers and employees;
- Clearly defining managers and employees' responsibilities in relation to the performance of our safety management system;
- Conducting hazard identification and evaluating safety risks, which includes an employee safety reporting program, in order to eliminate or mitigate safety risks;
- Ensuring that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- Complying with, and wherever possible exceeding, legislative and regulatory requirements and standards;
- Ensuring that sufficiently skilled and trained employees are available to implement safety management processes;
- Ensuring that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are assigned only tasks for which they are adequately trained;
- Establishing and measuring our safety performance against realistic and data-driven safety performance indicators and safety performance targets;
- Continually improving our safety performance by ensuring appropriate safety management action is taken and is effective; and
- Ensuring externally supplied systems and services that support our operations are delivered to meet our safety performance standards.



Chief Executive Officer
San Diego Metropolitan Transit System

July 30, 2020
Date



Chair of Board of Directors
San Diego Metropolitan Transit System

July 30, 2020
Date



At First Transit, safety is more than a policy statement. Management believes that working safely promotes quality, productivity, and profitability. Prevention of collisions and personal injuries is of critical importance to everyone. Management is committed to providing a safe workplace, the proper training, protective equipment, and a work environment conducive to safe practices and policies.

All employees are required to perform their duties safely and with concern for the safety of our passengers, other employees and the public. **First Transit will not perform any service, nor transport or use a product, unless it can be done safely.**

First Transit employs a company-wide safety concept, “**BeSafe**”. The main purpose of BeSafe is to reduce collisions and injuries by increasing the communications between employees and managers about safety related issues. As part of this process, employees of all levels are encouraged to initiate reports of any near miss, route and security hazards, or any unsafe condition. When a report about a safety or security concern is filed, it is investigated, which includes follow-up with the reporting employee regarding the resolution of the report.

First Transit will not retaliate against nor impose any other form of retribution on any employee because of his or her good faith reporting of a safety issue/concern, another person’s suspected violation of Company policies or guidelines, or any alleged violations of federal, state or local laws.

To ensure that each employee understands and performs their job functions in the BeSafe manner, the **BeSafe Handbook**, is issued to each employee and sized to fit in the safety lanyard or vest, which each employee must wear while on duty.

The **BeSafe Principles** provide the basic truths and fundamentals about working safely in our workplace and on our vehicles. All First Transit employees are expected to adopt these principles and put them into practice. Together a safe work environment is created, free from injury to each other and our passengers.

The motto for the BeSafe Principles is: “**Think Safe, Act Safe, BeSafe.**” This motto is each employee’s instruction to work safely at all times.

If an employee feels they cannot perform a task safely, they don’t perform the task. The employee has been trained and encouraged to stop work and immediately advise management of issues preventing them from working safely and what would be required to perform the task safely.

The BeSafe Principles include:

- **Prevent injury to myself and others.**
 - Be aware of any hazardous condition or practice that may cause injury to people, damage to property, or the environment.
 - Use the BeSafe Handbook to record and report.
- **Perform all necessary safety checks and risk assessments of the work area and job to be performed before any work begins.**
 - Speak to management **before** work is started if unsure of the required safety and risk assessments.
- **Follow all safety procedures, signs and instructions.**



- If these are not understood, speak to management before work begins.

- **Keep work area clean and tidy at all times.**
 - Untidy areas could cause injury to the employee or their colleagues and waste time and energy.
- **Wear protective clothing and equipment (PPE) as required.**
 - Keep PPE in good working order, wear it correctly and ask for a replacement if it becomes damaged or unfit for use.
- **Use only the correct tools and equipment authorized and trained to use for the job.**
 - Check that they are in good condition before use and use them safely.
- **Only adjust and repair any piece of work equipment trained on and authorized to do so.**
 - Never modify any equipment that changes the designed use of the equipment or alters a safety feature.
- **Assess any load and capability to move it before lifting.**
 - Get help with any heavy or awkward items and follow the correct lifting techniques.
- **Report all injuries, incidents and near misses to management.**
 - Seek help immediately and first aid (if necessary).
- **Tell management of any suggestions to prevent injuries in the workplace**
 - Note suggestions made and discuss with management.

Safety Management Policy Communication

Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.

Communication of Local Safety Concerns

The Location Safety Manager is at the center of the local safety communication process and is responsible for compiling safety reports to include the following:

- Accident and injury data for previous month
- Security incident data
- Safety and security audit data and recommendations
- Safety Solutions Team (SST) meeting minutes
- BeSafe near miss and hazard reporting

This person reports directly to the Location General Manager (LGM) and routinely meets formally with the LGM, one-on-one, to provide updates on safety issues, safety priorities, and hazard management. The Location Safety Manager (LSM) also meets informally with the LGM to provide updates on safety issues on an as-needed basis.

The Location Safety Manager also participates in the Safety Solutions Team (SST) meetings to discuss safety priorities, safety issues, and hazard management, and to communicate safety-related information across all departments.

- The LSM and the LGM have the authority to correct or suspend work for conditions determined to be unsafe, or pose a hazard to customers, employees, contractor employees, the general public,



or endangers the safe passage of vehicles, until the unsafe condition or hazard can be mitigated or corrected.

The Region Safety Managers also conduct regular internal reviews of local operations. They are to ensure that each location is audited at least every two to three years, with high risk locations audited annually for compliance using the risk-based **Location Safety Review**.

Location Safety Review	
Category	Description
Scope of Safety Reviews	First Transit locations are selected based upon risk-based criterion. Individual locations receive a review every 2-3 years
Risk-Based Selection Criterion	Locations selected based on declining 3-year reviews; sites with new location managers; high collision/injury Accident Frequency Rate (AFR); prior year failing score
Review Format	More narrow and focused audit template which includes a balance of compliance assurance as well as location-specific risks and safety performance.
Findings and Follow-Up	<p>Action plans are developed in conjunction with location staff and use a red/yellow/blue/green method to prioritize. All action items are entered, and incomplete action items are tracked within the Safety Toolbox.</p> <div> <div>Strong</div> <div>Highly Effective</div> <div>Some Improvement Needed</div> <div>Much Improvement Needed</div> </div>
Escalation Process	Items requiring escalation to Senior Director of Safety/Vice President of Safety – First Transit remain intact. Through the use of Safety Toolbox, unresolved actions are designed to escalate to the Location General Manager/Region Safety Manager.



Visibility

Review results and action items are routinely shared with the Location General Manager/Region Safety Manager/Executive Management. This is augmented by the escalation process for unresolved action items as noted above.

Corporate Communication of Safety Concerns

Executive Safety Meetings are routinely held where each department discusses their concerns and progress in the area of safety and safety related concerns. Recommendations are considered, and necessary changes implemented. All complaints by departments are addressed immediately.

Minutes from the Executive Safety meeting are distributed to and posted at each location. Action items are addressed at the following meeting.

Executive safety meetings are conducted in the following formats.

First Group Executive Safety Committee (ESC)

- Consists of President, COO, and Safety Vice President of each operating group
- Discussions include safety performance, trend analysis, program oversight

First Group Safety Council

- Consists of Vice Presidents of Safety for all operating divisions
- Discussions include safety performance, trend analysis, and safety oversight

First Group America Safety Council

- Consists of Safety Senior Directors and Safety Vice Presidents
- Discussions include safety performance, trend analysis, best practices, and program oversight

Performance Review Management (PRM)

- Consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, Region Director of Maintenance, Region Directors of Safety and Region Safety Managers
- Discussions include regions safety performance

Safety Advisory Committee

- Consists of a sampling of Location General Managers, Region Directors of Operations, Region Safety Directors and Region and Local Safety Managers
- Discussions include review of policy and procedures, training, and safety awareness



Authorities, Accountabilities, and Responsibilities	
Board of Directors	<p>The Board of Directors (Board) is responsible for setting policy for MTS, including Transit Services. The Board is required to approve the ASP initial document and all updates. At its regular meetings, the Board receives periodic safety briefings from Bus Operations. The Board has delegated agency management to the CEO, subject to various adopted Board policies and legal requirements.</p>
Accountable Executive	<p>The Board of Directors has designated the CEO as the Accountable Executive for the Agency. The Accountable Executive has ultimate responsibility for ensuring that SMS is effectively implemented and that action is taken, as necessary, to address substandard performance throughout the Agency. These responsibilities include:</p> <ul style="list-style-type: none">• Establishing, implementing, and promoting the Safety Policy Statement;• Authority over financial and human resources;• Authority over all activities and operations;• Authority over final risk assessment ranking;• Authority over final mitigation(s) of hazards/unsafe conditions;• Briefing the Board of Directors; and• Responsibility for carrying out the Transit Asset Management (TAM) Plan. <p>The CEO has delegated the authority and the day-to-day responsibilities of the agency safety plan for Transit Services to the Chief Operating Officer (COO) of Transit Services.</p> <p>The COO reports directly to the CEO and is responsible for ensuring that SMS is effectively implemented and that action is taken, as necessary, to address substandard performance throughout Transit Services. These responsibilities include:</p> <ul style="list-style-type: none">• Implementing, and promoting the Safety Policy Statement;• Authority over financial and human resources within Transit Services;• Authority over all activities and operations within Transit Services;• Authority over the risk assessment ranking within Transit Services;• Authority over final mitigation(s) of hazards/unsafe conditions within Transit Service; and• Briefing the Board of Directors on SMS related activities within Transit Services, as requested by the CEO. <p>The COO will support and encourage an open dialogue between the Chief Safety Officer and the CEO.</p>



Chief Safety Officer or SMS Executive	<p>The Chief Safety Officer (CSO) is the Manager of Safety for Transit Services. The CSO has a dual reporting role with the COO and the CEO. As necessary to implement the Bus Agency Safety Plan and discuss relevant issues, the CSO has a duty and a right to report directly to and consult with the CEO. The CSO has independent and direct access to the CEO as needed regarding all safety related issues. The CSO has regularly scheduled safety briefings with the CEO and COO. The CSO also reports to the COO on a day-to-day basis. The CSO is responsible for:</p> <ul style="list-style-type: none">• Developing and maintaining SMS programs including the Bus Agency Safety Plan;• Managing the Employee Reporting Program;• Performing analysis of incidents, trends, and causes and making recommendations to reduce or eliminate the potential for recurrence;• Assisting other departments with the development of training programs and procedures;• Managing the review and analysis of all accidents, incidents and safety events to determine preventability and any other causal or contributing factors;• Providing monitoring and follow-up with employees after preventable accidents;• Serving as the Chair of the Employee Safety Committee;• Coordinating with external emergency response agencies, including police, fire and emergency management agencies, regarding emergency response training, familiarization and review of emergency occurrences and Transit Services emergency preparedness plans; and• Managing the Department of Motor Vehicles (DMV) Pull Notice Program and assuring all licenses, permits and certifications are in compliance.•
MTS Executive Management Leadership and Key Staff	<p>Manager of Paratransit and Mini Bus</p> <p>The Manager of Paratransit and Mini Bus directly reports to the COO and is responsible for:</p> <ul style="list-style-type: none">• Organizing, developing, planning and directing all of MTS' Paratransit and Mini Bus functions and ensuring alignment of these functions with the goals and critical business outcomes of MTS• Manages the MTS Americans with Disabilities Act ("ADA") Paratransit program, and ensures full compliance with ADA regulations with respect to operations, client certification, call center operations and revenue service.• Manages the fixed route "Mini Bus" program and oversees the operations and management contract between MTS and the service provider(s).• Prepares operating and capital budgets, monitors service performance, conducts community outreach, represents MTS on disabled advocacy and transportation committees, and evaluates existing and proposed transit services.• Serves as the primary contact for paratransit and minibus service and consultant contracts.



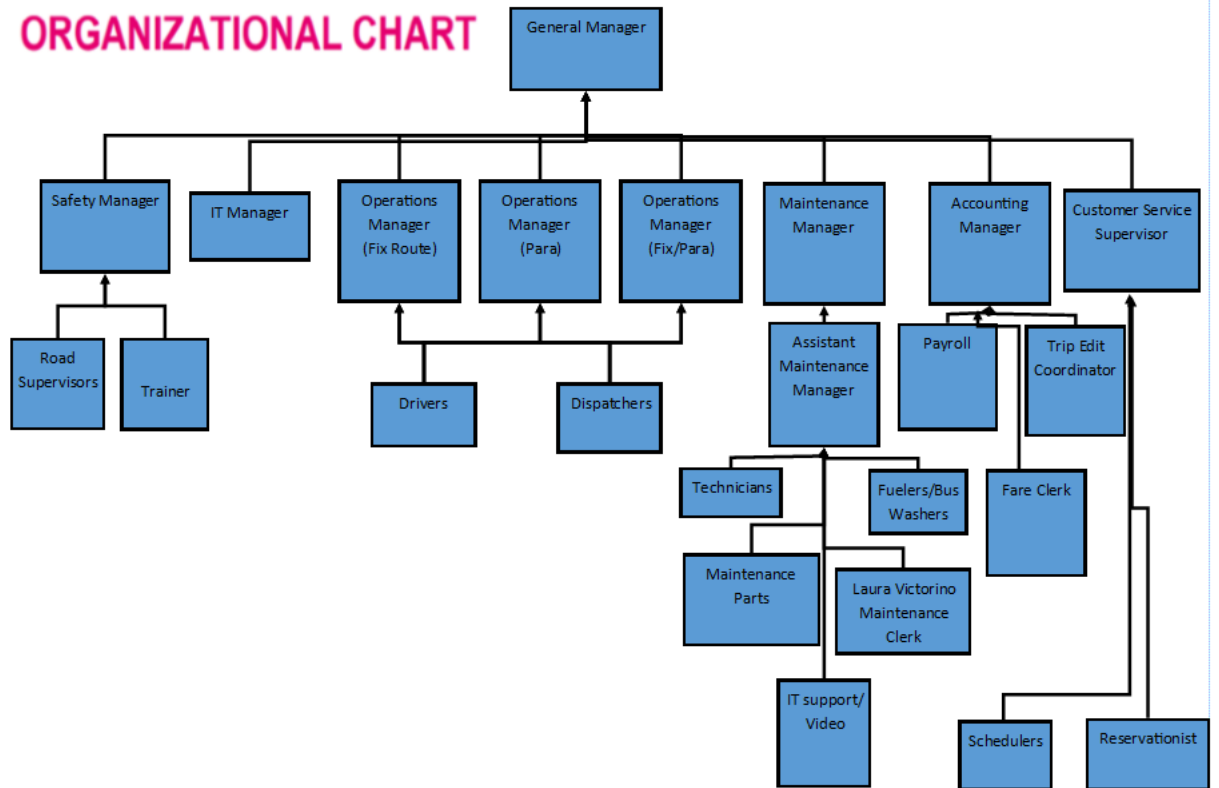
	<p>Supervisor of Paratransit and Minibus</p> <p>The Supervisor of Paratransit and Minibus directly report to the Manager of Paratransit and Minibus and is responsible for overseeing the MTS Fixed Route Minibus and Paratransit contract at the Copley Park Division. The Supervisor of Paratransit and Minibus is responsible for overseeing Contractors efforts in:</p> <ul style="list-style-type: none">• Implementing, promoting and monitoring compliance of the Safety Plan;• Mitigation(s) of hazards/unsafe conditions within the Copley Park Division;• Analysis of incidents, trends, and causes, as well as recommendations to reduce or eliminate the potential for recurrence;• Post-accident review and reporting;• Coordinating with external emergency response agencies, including police, fire and emergency management agencies, regarding emergency response training, familiarization and review of emergency occurrences and Contractor's Transit Services emergency preparedness plans; and• Providing monthly progress reports, as well as statistical and analytical support data
<p>First Transit Executive Management Leadership and Key Staff</p>	<p><u>Region Staff</u></p> <ul style="list-style-type: none">• Senior Vice President: Works closely with the region staff to ensure quality service at the location. He ensures that the location adheres closely to First Transit's safety mission and vision.• Region Vice President: is responsible for making certain all region management members to maintain quality service and client satisfaction. He provides direction and assistance to location managers, including P&L, budgets, and personnel He is responsible for hiring and training new managers at the location.• Region Director of Operations: is responsible for overseeing daily operations, system performance, location safety, budget preparation, and location staffing levels.• Region Safety Manager: The Region Safety Manager ensures management services are provided according to policies, as well as maintaining quality and client satisfaction, and that the location has the current safety programs in place.• Region Director of Maintenance: provides oversight, technical assistance, training, and "best practices" for the location. <p><u>Location Staff</u></p> <ul style="list-style-type: none">• General Manager: Participates fully with the client to ensure the operation is running effectively and acts as mediator when safety related problems arise. The GM is also responsible for ensuring implementation of the National Safety Program.



- Operations Manager/Assistant General Manager: Supervises the day-to-day operations of Access, MiniBus and the SVCC operations. Other important roles include team building, training, client relations, and employee relations.
- Safety Manager: The SM routinely is in contact with the operation and is responsible for ensuring their locations have the current safety programs in place; auditing local safety efforts; reviewing all accident and injury claims; reviewing safety statistics; and coordinating corporate assets to address specific deficiencies found on the local level.
- Accounting Manager: Responsible for financial oversight such as budgeting, accounting and payroll. Implements policies and procedures related to accounting, budgeting, payroll and fare collection.
- IT Manager: Reviews drivers' pre- and post-trip inspections from the night before, looking for technological issues. Responsible for all IT-related functions including setting up new user accounts, maintaining fare box technology, maintaining Apollo technology and installations on new vehicles, and system trouble-shooting.
- Maintenance Manager: Provides oversight of maintenance functions, carefully monitoring maintenance standards, departmental efficiencies, and maintenance training programs. He ensures that all scheduled and unscheduled vehicle repairs and general maintenance at the facility are completed on time.
- Operations Manager Paratransit: Responsible for instituting new policies and procedures to ensure safe, cost effective, on-time performance of the Access operation. Bill is also the point of contact for the investigation and documentation of customer complaints for MTS Access.
- Operations Manager Fixed-route: Manages the day-to-day operations of MTS MiniBus/SVCC, instituting new approaches and procedures to ensure safe, cost-effective, and on-time performance of the MiniBus/SVCC operations.



ORGANIZATIONAL CHART





Additional Accountability (Local Staff Responsibility)	<p>To ensure safety responsibility and accountability throughout the organization from local operations to corporate management, First Transit uses the following Safety Responsibility and Task Matrix. Responsibilities are assigned at the local level.</p> <p>The responsibilities and tasks are assigned to Maintenance, Operations, or Human Resources and the responsible person for each is identified for each First Transit location.</p> <p>This process ensures that the pertinent safety items are covered, and that each person knows his or her areas of responsibility.</p>					
	Safety Responsibility and Task Matrix					
	Responsibilities and Tasks	OPS	MNT	HR	OTHER	Responsible Personnel
	Establish annual safety objectives for submission to the GM at the beginning of each fiscal year				x	Safety Manager
	Submit a report on the safety performance at the end of each fiscal period				x	Safety Manager
	Submit the following: period operations and safety data; accident and incident reports; and site safety review results				x	Safety Manager
	The GM or their designee has the authority to direct that work or conditions have been determined to be unsafe or pose a hazard to customers, employees, contractor employees, the general public, or endangers the safe passage of buses be suspended or restricted until the unsafe condition or hazard can be mitigated or corrected	x				Operations Manager
	Management of system safety, occupational health				x	Safety Manager



		and safety, accident and incident investigation, environmental protection and monitoring the implementation of the Safety Management System (SMS) Program Plan					
		Review of all safety aspects of departmental procedures including: First Transit policies/instructions; Standard Operating Procedures; HR policies; safety and health policies	x	x	x	x	All Managers
		SMS Review and Modification				x	Safety Manager
		Safety Solutions Team Meetings	x			x	Operations and Safety
		Daily Safety & Health Walkthrough	x			x	Operations and Safety
		Safety related reports to external agencies				x	Safety Manager
		Near miss and route hazard report investigations	x			x	Operations and Safety
		Investigation of safety related trends				x	Safety Manager
		Coordination with United States and State Departments of Labor and Occupational Safety and Health Administration (OSHA)				x	Safety Manager
		Environmental Management Oversight				x	Safety Manager
		Hazard Management Process		x		x	Operations and Safety
		Managing Safety Validation of Change Process				x	Safety Manager



	Safety Data Reporting				x	Safety Manager
	Investigations				x	Safety Manager
	Advise to update SOPs, Rules, and Emergency Plans				x	Safety Manager
	Emergency Response	x	x	x	x	All Managers
	Fire Protection	x	x	x	x	All Managers
	Shop Safety Hazardous Tools Inspections		x			Maintenance
	Review Vehicle Maintenance and Failure Data		x			Maintenance
	Perform Vehicle Maintenance Inspections/Audits		x			Maintenance
	Training, Certification, Review, and Audit		x		x	Maintenance and Safety
	Personal Protective Equipment Review		x		x	Maintenance and Safety
	Hazardous Materials Management		x		x	Maintenance and Safety
	Drug and Alcohol Abuse Program				x	Safety Manager
	Procurement				x	Safety Manager

Meetings & Oversight	
CEO Safety Briefings	<p>The CEO, COO, and CSO meet on a regular basis to review and discuss monthly safety performance. These topics include but are not limited to:</p> <ul style="list-style-type: none"> • Accidents & Injuries • Hazard mitigation strategies • Training activities • Policy & Procedures • Committee meetings • Contract management • Project updates
Transit Services Executive	<p>The CSO and other agency leadership within Transit Services meet together on a weekly basis with the COO to review and discuss updates from each department. These topics include but are not limited to:</p>



Staff Meetings	<ul style="list-style-type: none"> • Accidents & Injuries • Hazard mitigation strategies • Training activities • Policy & Procedures • Committee meetings • Contract management • Project updates
COO Meetings with Contract Services and First Transit Leadership	<p>The COO, CSO, and Manager of Paratransit and Minibus meet on a monthly basis with First Transit Leadership to review and discuss updates regarding safety performance, safety risk management, safety assurance, and safety promotion. These topics include but are not limited to:</p> <ul style="list-style-type: none"> • Accidents & Injuries • Existing hazards and mitigation techniques • Training activities • Policy & Procedures • Committee meetings • KPI goals • Contract management • Project updates • Staffing levels
First Transit and MTS Contract Services Management Staff Meetings	<p>The Director of Safety and Training and other leadership within First Transit's Executive Management Staff, meet together on a monthly basis with the Manager of Paratransit and Minibus as well as other leadership within Contract Services to review and discuss updates from each department. These topics include but are not limited to:</p> <ul style="list-style-type: none"> • Accidents & Injuries • Hazard mitigation strategies • Training activities • Policy & Procedures • Committee meetings • Contract management • Project updates • KPI goals
First Transit's Safety Solution Team (SST) Meeting	<p>First Transit's Safety Solution Team meets on the 2nd Thursday of each month. The team representatives are from Maintenance, Safety, Trainer, Operations Departments, Road Supervisors, Call Center, drivers and General Manager. The purpose of the SST is to: create, improve, promote and maintain a heightened safety culture within the organization; inform, educate and influence employees through awareness campaigns and training activities designed to prevent and reduce accidents and injuries; and to provide a forum for employees to actively participate in safety programs that address and resolve safety issues in a timely manner.</p>



First Transit's Claims Review Meetings	<p>First Transit Local and Regional team meet on a monthly basis. Topics include but are not limited to:</p> <ul style="list-style-type: none">• Open & recently closed claims• Workers comp claims• Litigation updates• Hazard mitigation strategies• Training activities• Policy & Procedures• Review trends• Create resolutions• Create action plans
Regional Safety Meetings	<p>First Transit Management meets with First Transit Regional Managers on a monthly basis. Topics include but are not limited to:</p> <ul style="list-style-type: none">• Open claims• Workers comp claims• Hazard mitigation strategies• Training activities• Policy & Procedures• Review trends and resolutions• Touch Points



Employee Safety Reporting Program

Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).

First Transit is committed to conducting business with honesty and integrity. Employees are encouraged to speak up and raise questions and concerns promptly about any situation that may violate our safety protocols, policies and procedures, the laws, rules, and regulations that govern our business operations.

Employees are expected to tell others when witnessing unsafe work practices or conditions. When employees are not comfortable discussing these unsafe conditions with fellow employees, they are encouraged to discuss the situation with management or report it in writing.

However, where the matter is more serious, or the employee feels that management has not addressed the concern, or they are not comfortable reporting to their immediate manager, they can report it to the next level manager, or the Region Safety Manager or Human Resources Manager. Employees may also directly file a written or verbal complaint by calling the confidential Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534); contacting the Hotline intake site at ethicsfirst.ethicspoint.com; or emailing Compliance@firstgroup.com.

Retaliation against anyone who, in good faith, reports observations of unsafe or illegal activities; or who cooperates in any investigation of such report, is strictly prohibited and is not tolerated, regardless of the outcome of the complaint.

In other words, employees are protected for speaking up in good faith under this Policy. Any manager, or co-worker who retaliates against a complaining employee or anyone involved in an investigation of a complaint is subject to discipline and/or termination.

Managers are charged with assuring that they and their staff comply with the whistleblower protections and that no retaliation occurs because of a reported safety related issue.





Reporting Options

Near Miss and Hazard Reporting

In the interest of employee and passenger safety, each First Transit employee is issued a “**Near Miss and Hazard Reporting**” pad for documenting and reporting safety, route, and security concerns; and is encouraged to report any near miss incidents and hazards.

If an employee is involved in a near miss or determines something they see to be a hazard, we ask for their help in reporting the event so we all may learn the lessons from it and perhaps prevent a collision or injury from occurring in the future.

Near miss: An event you witnessed where no harm was caused, but there was the potential to cause injury or ill health; a dangerous occurrence

Hazard: Anything that may cause harm in the near future

If the safety or security hazard requires immediate attention, dispatch is notified immediately. If immediate attention is not required, the employee is encouraged to submit the information to management by the end of their workday. Our managers then initiate conversations with employees about their observations of both safe and unsafe behaviors.

The employee’s contribution to the cause of the injury or collision is considered in disciplinary action, up to and including termination. If after analysis it has been determined that the incident resulted from an overt decision, disciplinary action is indicated. If not, then the appropriate counseling and/or training is indicated.

SOP #806 – Near Miss & Hazard Reporting describes the reporting process

Threatening or Suspicious Activity

First Transit encourages anyone who sees, hears, or learns of any conduct or statement that seems threatening or suspicious, and/or any weapons on company premises or in company vehicles, to immediately report such conduct or statement, either to his/her Supervisor or Manager, to the Human Resources Department, FirstGroup America Security, and/or to the confidential Ethics and Compliance Hotline at 1.877.3CALLFG, (1.877.322.5534), contact the Hotline intake site at ethicsfirst.ethicspoint.com, or email Compliance@firstgroup.com.

If there is an immediate risk or imminent threat of violence, serious harm, or life-threatening conduct, employees should immediately call 911, local police, or other law enforcement.

Open-Door Policy

A workplace where employees are treated with respect and one that is responsive to their concerns is important to each of us. At First Transit, we recognize that employees may have suggestions for improving our workplace, as well as complaints about the workplace. We feel that the most satisfactory solution to a

The form is titled "Near miss and hazard reporting" and features the BeSafe logo. It includes fields for Date, Name, Location, and Observation(s). There are checkboxes for "Near miss report" and "Hazard report". A section for "Actions required" has multiple lines for text. Below that, a field asks "Who is to complete the action(s)?" followed by checkboxes for Contractor, Employee, Visitor, and Other. The First Transit logo is at the bottom right.



job-related problem or concern is usually reached through a prompt discussion with an employee's manager. Each employee is encouraged to do so.

If the matter cannot be resolved with one's immediate manager, the employee may:

- Speak with their Location General Manager or Region Safety Manager who will attempt to facilitate a solution.
- If an employee is unable to resolve the matter through the management chain of command in their location, the employee may choose to speak directly to anyone in division management or Human Resources.

First Transit's Open-Door Policy also allows employees to voice their concerns anonymously.

- If an employee would like to submit an anonymous concern, they may contact the Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534), contacting the Hotline intake site at ethicsfirst.ethicspoint.com, or emailing Compliance@firstgroup.com.

This Open-Door Policy applies to every employee not covered by a collective bargaining agreement. It also extends to contractors and subcontractors.

In situations involving discrimination or harassment, employees should follow the Complaint Procedure described in the Discrimination, Harassment and Retaliation Reporting Procedure section of their First Transit Employee Handbook without fear of reprisal and should not follow this Open-Door Policy complaint process.

In situations requiring immediate attention, an employee may bypass the chain of command, which begins with his or her manager, and contact any level of management or Human Resources directly, without fear of reprisal, and without the need to follow this Open-Door Policy complaint process.

- This may be done in person, by direct contact, phone call, letter, or email message or by utilizing the Ethics and Compliance Hotline. The Ethics and Compliance Hotline can be reached by calling 1.877.3CALLFG, (1.877.322.5534) or emailing Compliance@firstgroup.com.

Accidents/Incidents

First Transit finds accidents and incidents to be a very serious matter and a valuable learning opportunity to improve safety. **SOP #700 – Accident & Safety Data Acquisition and Reporting**, and the supporting **SOP's, 700a – Auto and General Liability Claim Form; 700b – Courtesy Card; 700c – Operator Incident Report**; ensure that the appropriate actions happen at the scene for the safety and security of First Transit passengers and employees; and that the appropriate data is collected to evaluate the incident, determine preventability and any other causal or contributing factors; and develop actions to limit or eliminate the possibility of the incident occurring in the future.

Accidents

Operators are to report all accidents and collisions to Dispatch immediately upon occurrence. When reporting to Dispatch, the employee must state that he or she is reporting an accident and then answer any questions asked by Dispatch.

Additionally, **SOP #700c – Operator Incident Report** and **SOP #700a – Auto & General Liability Claim Form**, must be completed by the Operator involved and location management for accidents, possible claims of accidents, damage to equipment, injury and possible injury not later than one hour after completion of shift on the day of occurrence. Any vehicle defects that may have contributed to an accident shall be included in the report. To help ensure that this deadline is met, employees are paid to complete the form.



Employees who fail to report an accident may be subject to disciplinary action up to and including termination.

Employees must provide transit management with any additional accident information immediately upon request.

Incidents

Incidents with passengers involving slips and falls on or near the vehicle, fights, police action, or removal of a passenger, must be reported to Dispatch immediately; and require a **SOP #700a – Auto & General Liability Claim Form** to be completed by management before going off duty for the workday.

All other incidents and occurrences out of the norm, no matter how slight, are to be reported to Dispatch upon return to the yard.

The following are examples of incidents that must be reported:

- Broken or cracked windows from unknown causes,
- Cut seats,
- Service delays,
- Passing up passengers,
- Insufficient or excessive running time in schedule,
- Overloads, etc.

If in doubt, immediately contact Dispatch.

Operators Witnessing an Accident shall notify Dispatch immediately, even though their vehicle may not be involved.

Required Courtesy Cards

In the event of an accident or an incident, Operators must distribute **SOP #700b – Courtesy Cards** then retrieve as many as possible from passengers and persons in the immediate area of the accident or incident who may have witnessed the event.

Duty to Report Wrongdoing

First Transit is committed to investigating all good faith claims of wrongdoing so that corrective action may be taken. To that purpose, First Transit encourages any employee, contractor or vendor to report wrongdoing or illegal acts to location management so long as they are not believed to be involved in the fraud, waste or abuse being reported. Management within First Transit ensures the matter is reported to Group Security and First Transit will investigate and take appropriate steps to correct the wrongdoing or potential violation.

Alternatively, reports may be made anonymously using the FGA Ethics & Compliance line at 1.877.3CALLFG, (1.877.322.5534) or by emailing Compliance@firstgroup.com. You may also contact the Healthcare Compliance Officer directly.

Self-Reporting

Self-reporting is also encouraged. Anyone who reports his/her own violation will receive due consideration regarding disciplinary action that may be taken.

Duty to Report Law Enforcement Actions

Employees are required to report any arrests, indictments or convictions to their immediate manager or Human Resources immediately, but no later than prior to the next scheduled work shift, to the extent permitted by applicable law. If the circumstances and the offense charged, in our judgment, present a



potential risk to the safety and/or security of our customers, employees, premises and/or property, such events may result in disciplinary or other appropriate action to the extent permitted by applicable law.

Operators and safety sensitive employees are required to report all Driving Under the Influence (DUI) or Driving While Intoxicated (DWI) related charges, vehicular collisions, and any moving violation citations received in any vehicle immediately if possible, but no later than prior to their next scheduled work shift, consistent with applicable law.

Possible Disciplinary Actions

First Transit uses a tiered approach to determine possible disciplinary actions. Infractions that lead to disciplinary action are categorized into four categories;

- Class 1 – Dischargeable Offenses, the most serious and unacceptable behavior
- Class 2 – Serious violations of the First Transit performance code
- Class 3 – Secondary violations of the First Transit performance code
- Class 4 – Lesser violations of the First Transit performance code that may result in disciplinary action depending on the circumstances or repeated violations

Applying Disciplinary Actions

Although employment may be terminated at-will by either the employee or First Transit at any time in accordance with applicable law, without following any formal system of discipline or warning, First Transit may exercise discretion to utilize forms of discipline that are less severe than termination.

Whenever an employee is subject to discipline, the employee's work record, including violations occurring in the relevant time period, is reviewed before determining penalty. The chart below describes how disciplinary actions are applied.

Class of Infraction	Discharge	Suspension	Written Warning
1	1st Offense	-----	-----
2	2nd Offense*	1st Offense	-----
3	3rd Offense*	2nd Offense*	1st Offense
4	4th Offense*	3rd Offense*	1st & 2nd Offense*

*Within 12 months of first offense, 36 months for safety

Additionally, First Transit may use the following criteria to determine discipline specific to any type of traffic violation or preventable accident.



Major Offenses	Action
One violation	Discharge
Serious Violations	Action
One violation	Written warning
Two violations within any 36-month period	Discharge
Moving Violations	Action
Two violations within any 36-month period	Three-day Suspension
Three violations within any 36-month period	Discharge
Two violations within any 12-month period	Discharge
Preventable Vehicle Accidents	Action
One preventable accident	Written warning
Two preventable accidents within any 36-month period	Five-day Suspension
Three preventable accidents within any 36-month period	Discharge
Two preventable accidents within any 12-month period	Discharge

Details of First Transit's reporting requirements, infractions of company policy, and disciplinary actions that may be taken are described in more detail in the **First Transit Employee Handbook**.

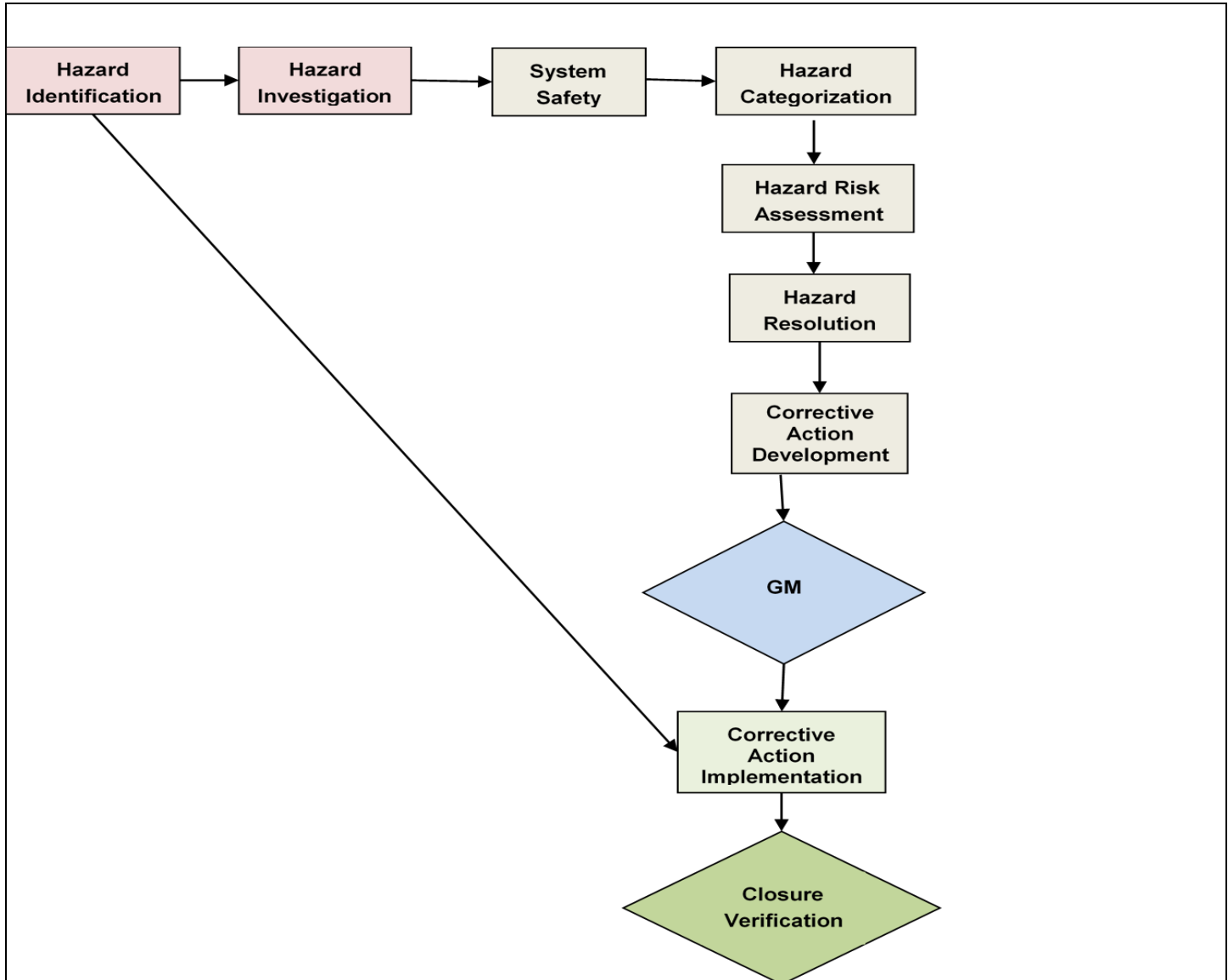
5. Safety Risk Management

Safety Risk Management Process

Describe the Safety Risk Management process, including:

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards*
- *Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards*
- *Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment*

Safety management is at the core of everything done at First Transit. All employees are responsible for performing their jobs in a safe manner, which includes identifying safety risks and participating in developing and implementing effective mitigation techniques. The process for managing hazards, from identification through corrective action and closure, is illustrated by the following flowchart.



As described earlier, a corporate structure exists to address all safety concerns. To ensure safety at the local levels, each location is required to form a Safety Solutions Team (SST), Accident Review Committee (ARC), and a Local Client Liaison Committee. To ensure consistency at each location, **SOP's #803; #803a; #803b Safety Solutions Team**, and **SOP #702 – Accident Review Committee** describe the procedures which are to be followed in creating and operating a Safety Solutions Team and Accident Review Committee.

These groups are responsible for reviewing safety related accidents and incidents to determine culpability; identify the causes associated with each event; and develop mitigation measures to reduce the risk of the events occurring in the future. Having these groups at each location provides a way for employees to report safety risks in a timely manner and to teams that understand the conditions associated with each specific location. Additionally, the opportunity exists for more timely, appropriate, and effective mitigation measures.

Several tools are used by the Region Safety Managers, Region Safety Directors and the Senior Director of Safety to monitor the local risks and risk management. Among them are Safety Data Reports which outline



the monthly and Year to Date safety performance statistics. Also used is a Target & Goal Worksheet to track and analyze the data collected and to target reactive and proactive performance improvement measures.

Safety Hazard Identification

This process is a vital component in First Transit's efforts to reduce safety risks and improve overall delivery of service. Safety Hazard Identification data from internal sources such as employee reporting, customer feedback, maintenance records; and external sources such as the Federal Transit Administration and local oversight authority is used to implement immediate corrective actions and to proactively identify hazards and potential consequences before they cause future accidents or incidents.

The objective of hazard identification is to identify those conditions that can cause an accident or create an unsafe condition and determine possible consequences if the unsafe condition is not corrected. First Transit routinely analyzes records from our operation and external sources as they become available to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspection of established prevention processes are routinely performed.

First Transit also takes an additional proactive step with its **SOP #208 – Safety Validation of Change** to identify hazards and consequences **PRIOR** to implementing any changes to operations.

First Transit relies on employees to assist in the hazard identification and resolution process. Working with the location safety personnel and through a structured process, employees help:

- Identify Critical Factors in Mitigation of safety risk
- Develop and Recommend an Action Plan
- Implement Action Plan
- Measure Performance Against Safety Objectives
- Monitor the Process
- Modify the Process
- Secure Outside Assistance (when needed)
- Audit for Compliance

Several tools exist for hazard identification. Among them are:

- **SOP #802 and #802a - Daily Safety & Health Walkthrough and Checklist**
 - A routine safety and health check walkthrough to promptly identify hazardous conditions at our facilities and notify employees of the hazards identified and mitigation measures to help protect them from personal injury.
- **SOP #804 - Positive Check-In Procedures & Reasonable Suspicion**
 - Positive Check-In procedures are to ensure our operators reporting to work are fit-for-duty.
- **SOP #900 – Facility Hazard Recognition Manual**
 - This Hazard Recognition Manual is intended to be a tool for recognizing potential hazards that may be present at First Transit facilities. Although it does not represent all conditions that could exist, the photos and narrative provide:
 - A reference guide for conducting safety inspections at a facility, and
 - A training document to educate and train employees to conduct effective safety inspections.
- **Vehicle Maintenance Risk Assessment**



- All employees who perform maintenance and repairs to vehicles within transit centers and bus yards or on road calls complete a risk assessment using **SOP #503a – Vehicle Maintenance Risk Assessment Form** prior to performing any work on a vehicle.
- The Risk Assessment process, **SOP #503 – Vehicle Maintenance Risk Assessment**, requires employees about to perform a maintenance task to confirm they possess the training, skills, knowledge, abilities, tools, and equipment to safely perform the task at hand. The assessment includes determining the following.
 - Are You Properly Trained to Perform the Task?
 - If Task Requires Lifting, Are Lifts Secured, Are Jack Stands Used Correctly?
 - Are You Wearing the Appropriate Personal Protective Equipment (PPE)?
 - Have You Performed the Proper Lock-Out/Tag-Out (LOTO) procedures?
 - Are You Aware of the Potential Risks of Performing this Repair?
- If the answer is “NO” to any of the above assessments the technician is to immediately contact their manager.
- **Pre-Survey Job Hazard Analysis**
 - Prior to beginning a job hazard analysis, a pre-survey of the working conditions, using **SOP #503b – Pre-Survey Job Hazard Analysis Form**, under which the job is performed is conducted to evaluate the general conditions. A few of the potential hazards being considered include:
 1. Are there tripping hazards in the job vicinity?
 2. Is the lighting adequate for work conditions?
 3. Are there explosive hazards associated with the job?
 4. Are there electrical hazards associated with the job?
 5. Are tools associated with the job in good condition?
 6. Is the noise level excessive (below 85-dba)?
- **Facility Parking Risk Management Assessment**
 - Inadequate turning areas, blind corners, uneven walking surfaces can all cause collisions or employee injury in parking areas. **SOP #501 - Facility Parking Risk Assessment** will help identify and prevent these types of collisions for both buses and personal vehicles.
 - The Location Manager must ensure compliance with all provisions of this SOP.
 - The risk of each facility is assessed as follows:
 - Annually
 - Unscheduled – Whenever a significant vehicle collision or a pedestrian strike occurs in the bus yard or on company premises
 - Start-up locations – Before operating out of the new location.
 - **SOP #501a – Facility Parking Risk Assessment Guide**, and
 - **SOP #501b – Facility Parking Risk Assessment Form** are tools to help with this assessment.

Accident/Incident Hazard Identification

Procedures exist and are followed regarding resolution of accidents and incidents and capturing data. Although this information is used proactively, First Transit takes advantage of these opportunities to determine which, if any hazards existed that may have contributed to the accident or incident and develop mitigation measures to reduce the risk of a recurrence.

There are five (5) main areas reviewed in this Hazard Identification process:

1. Environment

- a. Weather
- b. Road Surface Condition
- c. Visibility



2. Transit Service Characteristics and Agency Policies

- a. Incentives for Safe Driving
- b. Equipment Maintenance Policies
- c. Stop Intervals
- d. Route Design
- e. Driver Scheduling
- f. Passenger Demand Schedules

3. Operator

- a. Experience
- b. Physical Ability
- c. Personality
- d. Psychological Condition
- e. Physical Condition

4. Road Layout

- a. Width
- b. Speed Limit
- c. Geometric Design
- d. Traffic Volume
- e. Capacity
- f. Parking
- g. Adjacent Lane Use
- h. Street Lighting
- i. Pedestrian Volume

5. Hazard Identification – Accident Prevention/Resolution

- 1st: Identify the Hazard
- 2nd: Remove the Hazard
- 3rd: When the Hazard cannot be removed, Train for the Hazard as a “known condition”

▪ On-Board Video Technology

- **SOP #704 – On-Board Video Technology** provides a summary of the on-board video system and Company standards that all First Transit employees must follow when operating a company or customer vehicle equipped with onboard video technology.
- This technology is a valuable resource and another tool that helps First Transit instill positive driving behaviors by providing opportunities to view recorded driving events, driver history and company trends.
- The goal of this in-cab camera technology is to proactively identify unsafe behaviors and improve those identified behaviors through coaching, retraining and, if necessary, disciplinary measures in accordance with the provisions of the Employee Handbook and applicable Collective Bargaining Agreements.

Information learned from this identification process is used to improve training and reduce or eliminate the underlying causes.



Safety Risk Assessment

Once the hazard has been identified, they are categorized into the following severity levels. The categorization of hazards is consistent with risk-based criteria for severity; it reflects the principle that not all hazards pose an equal amount of risk to personal safety.

Category 1 – Catastrophic: operating conditions are such that human error, design deficiencies, element, subsystem or component failure, or procedural deficiencies may cause death or major system loss.

Category 2 – Critical: operating conditions are such that human error, subsystem or component failure, or procedural deficiencies may cause severe injury, severe occupational illness, or major system damage.

Category 3 – Marginal: operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures.

Category 4 – Negligible: operating conditions are such that human error, subsystem, or component failure or procedural deficiencies will result in less than minor injury, occupational illness, or system damage.

The next step in assessing the hazard is to determine the probability of it occurring. Probability is determined based on the analysis of transit system operating experience, evaluation of First Transit safety data, the analysis of reliability and failure data, and/or from historical safety data from other passenger bus systems. The following chart describes the probability categories.

Likelihood Per FTA review guidance of Occurrence of a Hazard			
Description	Probability Level	Frequency for Specific Item	Selected Frequency for Fleet or Inventory
Frequent	A	Likely to occur frequently	Continuously experienced
Probable	B	Will occur several times in the life of the item	Will occur frequently in the system
Occasional	C	Likely to occur sometime in the life of an item	Will occur several times in the system
Remote	D	Unlikely but possible to occur in life of an item	Unlikely but can be expected to occur
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced	Unlikely to occur but possible

Identified hazards are placed into the following Risk Assessment Matrix to enable the decision makers to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, cost, operations) to reduce the hazard to an acceptable level.

Hazard Frequency	Severity Category 1	Severity Category 2	Severity Category 3	Severity Category 4
Frequent (A)	1A	2A	3A	4A
Probable (B)	1B	2B	3B	4B
Occasional (C)	1C	2C	3C	4C
Remote (D)	1D	2D	3D	4D
Improbable (E)	1E	2E	3E	4E



Based on company policy and the analysis of historical data, MTS and First Transit has made the following determinations regarding risk acceptance.

Hazard Risk Index	Criteria by Index
1A, 1B, 1C, 2A, 2B, 3A	Unacceptable
1D, 2C, 2D, 3B, 3C	Undesirable (Management decision)
1E, 2E, 3D, 3E, 4A, 4B	Acceptable with Management Review
4C, 4D, 4E	Acceptable without Management Review

Safety Risk Mitigation

Mitigation Determination

After the assessment has been completed, the follow-up actions will be implemented as follows.

- **Unacceptable:** The hazard must be mitigated in the most expedient manner possible before normal service may resume. Interim corrective action may be required to mitigate the hazard to an acceptable level while the permanent resolution is in development.
- **Undesirable:** A hazard at this level of risk must be mitigated unless the Location General Manager and Location Safety Manager issue a documented decision to manage the hazard until resources are available for full mitigation.
- **Acceptable with review:** The Location General Manager and Location Safety Manager must determine if the hazard is adequately controlled or mitigated as is.
- **Acceptable without review:** The hazard does not need to be reviewed by the management team and does not require further mitigation or control.

Hazard Resolution

Safety hazard resolution or mitigation consists of reducing the risk to the lowest practical level. Not all safety risks can be eliminated completely. Resolution of hazards will utilize the results of the risk assessment process. The objectives of the hazard resolution process are to:

1. Identify areas where hazard resolution requires a change in the system design, installation of safety devices or development of special procedures.
2. Verify that hazards involving interfaces between two or more systems have been resolved.
3. Verify that the resolution of a hazard in one system does not create a new hazard in another system.

The SST, who was identified earlier in this plan as the team responsible for local safety review, uses the following methodologies to assure that system safety objectives are implemented through design and operations, and hazards are eliminated or controlled:

1. Design to eliminate or minimize hazard severity. To the extent permitted by cost and practicality, identified hazards are eliminated or controlled by the design of equipment, systems and facilities
2. Hazards that cannot reasonably be eliminated or controlled through design are controlled to the extent practicable to an acceptable level through the use of fixed, automatic, or other protective safety design features or devices.
3. Provisions are made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.



4. When design and safety devices cannot reasonably nor effectively eliminate or control an identified hazard, safety warning devices are used (to the extent practicable) to alert persons to the hazard.
5. Where it is impossible to reasonably eliminate or adequately control a hazard through design or the use of safety and warning devices, procedures and training are used to control the hazard.
6. Precautionary notation is standardized, and safety-critical issues require training and certification of personnel.

Mitigation of Safety Risk Management and Tracking

Resolution of identified hazards are managed by the Location General Manager and/or the Location Safety Manager. The mitigation of safety risk process is managed through the “**Safety Toolbox**”, which is an online tool used by management, from Road Supervisors to Executive Management, to record the occurrence of safety-related events, review safety critical data, and track corrective actions as necessary.

The Safety Toolbox is a powerful tool to help understand the work area’s safety environment. This includes:

- Understanding and improving observations of safety critical behaviors
- Reviewing recorded debriefs to ensure that the “BeSafe” process is in place and working.
- Reviewing findings from BeSafe tours and determine if tasks/actions have been closed out

The Safety Toolbox includes information regarding:

- BeSafe (BeSafe Debriefs, BeSafe Tours, BeSafe Touchpoints)
 - Debrief meetings conducted in order to assure quality.
 - Safety Critical Behavior is the main focus of touchpoints; and shared and discussed during debrief meetings.
- Contacts (e.g. Near Misses, Hazard reports, Commendation, Safety Issue)
 - **Near Misses.** Reporting an event that occurred and could have caused injury.
 - **Hazard Reports.** Reporting an event that occurred and could have caused injury.
 - **Commendation.** A report of commendable safety actions/conduct performed by a colleague within the business.
 - **Safety issues.** A report on any safety issue that has a specific cause – i.e. maintenance, housekeeping, environment and behavior etc.
- Safety Leadership Activities (e.g. Participate in safety meetings, risk assessment, section observation)
 - **Participation in a Safety meeting.** Actively leading or participating in the location in-service safety meeting.
 - **Intersection observation or risk assessment.** Risk assessment or driver observations conducted at nearby intersections, and delivery of positive reinforcement or coaching as indicated.
 - **Rail section observation or risk assessment.** Risk assessment or driver observations conducted at rail crossing(s), and delivery of positive reinforcement or coaching as indicated.
 - **Planned general inspections.** A systematic inspection where a location is forewarned.
 - **High interest driver.** A report of a driver's performance that has indicated a level of risk taking through observations, review scores, and skills evaluations.

Additional documentation, such as corrective action plans, are developed for those hazards requiring complex and multifaceted resolutions.

First Transit will provide MTS a monthly update on Safety Performance Goals, Collision and Passenger Injury Trends and updates of any Critical Events occurring during the month.



6. Safety Assurance

Safety Performance Monitoring and Measurement

Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.

As discussed in Section 1 of this plan, First Transit employs a Resident Management Team at each operation location. This team consists of a Location General Manager and a Location Safety Manager, who oversee the safety of the operation.

Additionally, each location employs Street Supervisors, Dispatchers, and Instructors; all of whom are responsible for oversight of the daily operations and training. All safety risks identified are reported to the Location General Manager and Location Safety Manager. Any risks that can be addressed immediately are corrected but still reported. Each location also establishes a Safety Solutions Team (SST), described in Section 5: Safety Risk Management of this plan, which uses the following methodologies to ensure a proactive approach to safety at each location.

- Routine hazard management
- Accident and incident investigation
- Safety data collection and analysis
- Routine internal safety audits
- Facility, equipment, systems and vehicle inspections
- Routine proficiency checks for all vehicle operators and maintenance employees
- Compliance evaluations including onsite inspections
- Regularly communicating safety and hazard data to all employees

A higher level of oversight is conducted by Region management, which includes the Region Safety Manager, Region Safety Director, Region Maintenance Director, and the Region Vice President. From this level, any identified risks and mitigations are shared with other Region local operations as a proactive means to reduce risks.

The last “local level” review comes from the Vice President of Safety and the Vice President of Maintenance. These are corporate level positions that share the identified risks and mitigations throughout the organization as a proactive means to reduce risks. Additionally, the Vice President of Safety and Vice President of Maintenance assist executive level management in using this information to impact operational and budget decisions.

Describe activities to conduct investigations of safety events to identify causal factors.

First Transit has a “zero” tolerance for preventable injuries and collisions. Elimination of preventable injuries and collisions is our number one goal.

Any injury, collision or incident that occurs is investigated to determine preventability or non-preventability. Investigations include all instances in which:

- a vehicle was damaged
- a vehicle leaves the traveled roadway
- a passenger is injured or
- an employee is injured

SOP #700-Accident & Safety Data Acquisition describes the data collection process including



- Defining the Event & What to Do
- Accidents – Defining the Accident
- “Five Cardinal Rules That Apply to an Accident”
- Operator Responsibility
- Dispatcher on Duty Accident Investigation Responsibility

SOP #700 also describes the Operators and the Dispatchers responsibilities for protecting the customers and managing the scene.

The groups described in **SOP #702 – Accident Review Committee (ARC)**, and **SOP #803 – Safety Solutions Team (SST)**, review the data collected to determine if the accident/incident was preventable or non-preventable,(ARC); and identify measures to reduce the risk of the accident/incident occurring in the future (SST).

Describe activities to monitor information reported through internal safety reporting programs.

The Location Safety Manager (LSM) and/or Location General Manager (LGM) routinely reviews all location safety and hazard data, which includes searching for repetitive events that might have safety implications. When accident/incident reports and statistics indicate repetitive accidents/incidents, the LSM and LGM investigate to determine the root cause.

The following chart describes how the hazard data flows and is monitored by First Transit; from each operating location, to Region management, to corporate and parent company management.



Information Collected Daily	Location	Third Party Data Collected	Risk Dept	Safety Dept	Location	MTS
Collisions/ Injuries/ Workers Comp	Incident Occurs, claim report created, then sent to Third Party Data Collector via website, phone, fax.	Report received from Location.	Information from Third Party Data Collector created as weekly report then sent to Region Safety.	Weekly reports are reviewed and distributed for weekly management oversight conference calls.	Review data with Senior Region Leadership during weekly teleconference.	MTS Administrative Staff overseeing the First Transit Contract meeting with First Transit Management on a monthly basis; MTS Administrative Staff will provide a summary of the data to the COO on a monthly basis; The CSO is responsible for reporting applicable required information to the National Transit Database (NTD) on a monthly basis
	Risk Dept	Shared Services Dept	Region Safety Managers	Shared Safety Services Dept		
Collisions/ Injuries/ Workers Comp	Send all raw risk data gathered from weekly reports to the Shared Safety Services Dept.	Reorganizes raw data regionally then distributes to Region Safety Dept.	Review period data and distribute to locations.	Develops company, region, and location specific performance measures and distributes through Target & Goal Spreadsheet.		



Period Data Analysis								
	Shared Services Dept	UK	Safety Dept	First Group Executive Safety Committee (ESC)	First Group Safety Council	First Group America Safety Council	Performance Review Management (PRM)	Safety Advisory Committee
Collisions/ Injuries/ Workers Comp	Final reports sent to UK and Directors of Safety for each business group.	Processes data; analyzes; creates reports; categorizes risk factors; and gathers commentary from First Group companies for trend analysis.	Processes data; analyzes; creates reports; categorizes risk factors; and creates commentary for trend analysis.	This committee consists of President, COO, and Safety Vice President of each operating group. Discussions include safety performance, trend analysis, program oversight.	This committee consists of Vice Presidents of Safety for all operating divisions. Discussions include safety performance, trend analysis, and safety oversight.	This committee consists of Safety Senior Directors and Safety Vice Presidents. Discussions include safety performance, trend analysis, best practices, and program oversight.	This review consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, and Region Safety Managers. Discussions include regions safety performance.	This committee consists of Location General Managers, Region Directors of Operations, and Region and Local Safety Managers. Discussions include review of policy and procedures, training, and safety awareness.

Management of Change

Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.

First Transit employs a proactive process, **SOP #208 – Safety Validation of Change**, that addresses the procedures to be followed to evaluate the risk of any changes proposed at all levels of the organization. The overall purpose of this process is to provide assurance that any proposed changes which impact operations will not increase safety risk; or where additional risk is identified, that controls are put in place **prior to the changes being implemented**.

Changes to organizational structure; the nature or extent of operations; or to facility or equipment assets; as well as mergers and acquisitions of new businesses are proactively managed through this process to avoid introducing or increasing safety risks.

- The resources required to complete the validation process, in terms of people, finance and materials is included in this validation process.
- The allocation of responsibilities considers the competence of the individuals that are required to carry out the safety validation roles.
- All employees who may be affected by the proposed changes are consulted as part of the process.

The extent and scope of safety validation applied to any change proposal is proportional to the risks (safety, operational, and other risks) associated with its introduction. *(For example, a major change, such as a reorganization of Region Executive roles and responsibilities or start-up of a large new bus operation, requires a more rigorous safety validation than a minor change.)*

In the case of smaller, less complex or well understood changes, the safety validation of change process may be implemented as part of normal operations, using existing organizational arrangements and meeting structures to deliver the required level of assurance.

The process is generally described in the following chart.

Safety Validation of Change Process			
Main Steps	Key Activities	Checklists & Guidance	Completed By
1. Identify Proposal for Change	<ul style="list-style-type: none"> • Raise change proposal (including Capital Expenditure Approval) • Inform relevant functional Director(s) and Manager(s) 	<ul style="list-style-type: none"> • Complete SOP #208a – Safety Validation of Change Form, Section A1 	Change proposer

2. Determine Classification of Change Significance	<ul style="list-style-type: none"> Classify level of safety validation required Ensure the extent and scope of validation is proportional to the level of risk 	<ul style="list-style-type: none"> Complete SOP #208a – Safety Validation of Change Form, Section A2 	Category A: Group Safety Director Category B: Divisional head of Safety Category C: Location head of Safety
3. Allocate Roles & Responsibilities	<ul style="list-style-type: none"> Formally allocate change sponsor and change authorizer Identify other required resources and roles for consultation 	<ul style="list-style-type: none"> Complete SOP #208a – Safety Validation of Change Form, Section A3 	Change proposer (with guidance)
Submit Change Proposal Form			Change proposer
Decide whether safety validation should proceed			Change proposer
4. Prepare Safety Validation of Change Case	<ul style="list-style-type: none"> Prepare safety validation documentation Complete risk assessment of proposed change Submit for review Revise and finalize documentation 	<ul style="list-style-type: none"> Complete risk assessment and document findings Complete Safety Validation of Change as described in SOP #208 – Safety Validation of Change Complete SOP #208a – Safety Validation of Change Form 	Change proposer
Submit Safety Validation Checklist with supporting documentation			Change proposer
Approve and Implement, or Reject Change			Change authorizer (or delegated representative)
5. Monitoring and Review	<ul style="list-style-type: none"> Monitor implementation of change and safety performance 	<ul style="list-style-type: none"> Check compliance as part of Region Safety Monitoring Review effectiveness 	Location Safety Manager Corporate Safety Management



		<ul style="list-style-type: none"> Review performance process 	of the process as part of Region oversight	Vice President of Safety - First Transit
<p>Changes proposed at the Corporate level typically have an impact on the Region and Local levels. To ensure the risks associated with any change consider all levels of the organization, each level must complete SOP #208 – Safety Validation of Change as part of the process to ensure specific safety concerns have been identified and addressed.</p> <p>Similarly, changes proposed at the Region level will typically have an impact on the Local level. Consequently, the Local level must also complete SOP #208 – Safety Validation of Change as part of the process to ensure specific safety concerns have been identified and addressed.</p> <p>Additional responsibilities in the Safety Validation of Change process include:</p> <ul style="list-style-type: none"> The Region Safety Management team provides safety expertise/support to those carrying out the safety validation. The Senior Director of Safety: <ul style="list-style-type: none"> Reviews and approves each Region's safety validation of change process Decides on the level of safety validation required (consulting with other functional heads as necessary) for Category A changes Is consulted on any Category B change proposal Provides safety expertise/support to Region Safety Managers and Vice President of Safety – First Transit during safety validation activities as required. Provides safety expertise/support to those carrying out the safety validation for Category A changes. <p>An electronic log of all proposed changes, whether approved or not, are maintained by the Region Safety Director.</p> <p>Communication of changes to policies/procedures regarding safety issues comes from Executive Leadership. This information is then carried down through the Vice President of Safety – First Transit, Senior Director of Safety, Region Safety Directors, Region Safety Managers, Location General Managers, Location Safety Managers, and employees. Notification to the client is communicated through the Location General Manager.</p>				
<p>Continuous Improvement</p> <p><i>Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.</i></p> <p>The process described previously in this section for monitoring safety data incorporates continuous improvement. As safety risk is identified, then reported on, a determination is made as to whether the risk can be mitigated immediately or requires more time and resources.</p> <p>Risk mitigations that can address the safety concerns immediately are carried out but still reported. The reporting of these concerns includes the mitigation steps that have been taken. Monitoring of the risk continues to ensure that the mitigation strategy is effective.</p> <p>Section 5 of this plan, Safety Risk Management, describes the risk assessment and mitigation procedures used that determine how to proceed with improvement strategies that require more time and resources.</p>				



Which improvement strategies to implement for longer term issues is based on severity and probability of risk occurrence. Additionally, safety hazard identification data is used to implement immediate corrective actions and to proactively identify hazards before they cause future accidents or incidents.

The objective of hazard identification is to distinguish those conditions that can cause an accident or create an unsafe condition. First Transit routinely analyzes records from our operation to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspections of established prevention processes are routinely performed.

The Risk/Safety Data Flow Chart previously described in this section, illustrates how this information is shared throughout the organization.

7. Safety Promotion

Competencies and Training

Describe the safety training program for all agency employees and contractors directly responsible for safety.

The education and training process at First Transit is a highly regimented and professionally developed program built around a curriculum featuring learning opportunities in two major domains:

- Knowledge (education)
- Skills (training)

Various delivery mechanisms such as classroom, multimedia presentations, closed course, observation and behind-the-wheel skills building are used to support the learning process. Learning is evaluated through written quizzes, driving tests and customer service skills evaluations.

Driver Instructors

Successful new operator training starts with selecting and certifying good instructors.

1. Classroom Instructor:

The classroom instructor is responsible for facilitating the classroom portion of New Operator Training. Classroom training requires the development of lesson plans.

2. Behind-the-Wheel Instructor:

The Behind-the-Wheel (BTW) Instructor is responsible for conducting closed course exercises and behind the wheel instruction. The New Operator Training program consists of instructional DVDs, which are accompanied by facilitator guides and participant study guides. The BTW Instructor uses the Operator Proficiency Workbook to document each trainee's progress.

**New Instructor Candidates can obtain certification as both a Classroom Instructor and a Behind-the-Wheel Instructor.*

3. Master:

The Master Instructor, along with the Regional Director of Safety and Region Safety Manager(s), is responsible for training the Safety Supervisors. The Master Instructor is also responsible for the certification programs for Behind-the-Wheel and Classroom Instructors and the ongoing Train-the-Trainer workshops.



Training the Instructor is a process by which a Certified Instructor works with the selected New Instructor Candidate. During this time, the Certified Instructor conducts a review of all state laws, First Transit policies and procedures, local policies, and client-specified programs and requirements.

The Certified Instructor also provides a review of the Behind-the-Wheel Manual, Classroom Manual, and all First Transit video-based courses.

In addition to the above training, the New Instructor Candidate must complete the Instructor Development Curriculum, which includes the following three self-directed courses:

1. How to Train
2. Coaching the Adult Learner
3. Learning Basics

There are three types of Instructor Certification:

1. Temporary
2. Certified
3. Master

1. Temporary (Silver)

Temporary certificates are issued at the local level. A temporary certificate is issued to a New Instructor Candidate upon successful completion of the New Instructor training program at his or her location, conducted by a certified trainer at that location. Certificates are issued throughout the year prior to the annual Train-the-Trainer program.

Temporary certificates are valid for one year, and one year only, from the date of issue. Temporary certification is accompanied by silver achievement emblems for Classroom, BTW or both.

To continue in the program, a New Instructor must obtain Gold Certification.

2. Certified (Gold)

The Certified Instructor certificate is issued to a New Instructor who has successfully completed the annual Train-the-Trainer program, conducted by a Master Trainer. The annual Train-the-Trainer program combines all elements of the temporary certification, with the exception of the classroom evaluation. At the annual Train-the-Trainer program, Classroom Instructor Candidates are required to develop a lesson plan and give a presentation.

Prior to attending the annual Train-the-Trainer program, all New Instructors must complete the "Safety Leadership" course and pass the final exam with a grade of 90% or above.

The Senior Director of Safety is the only person authorized to approve and issue a Certified Instructor certificate with gold achievement emblems for Classroom, BTW, or both.

3. Master

The Master Instructor Certification program ensures that First Transit Policies and Procedures are correctly implemented throughout the company.

Master Instructor Certification is required for all area safety managers and above.

The Master Instructor:

- Provides support to the Location General Manager and the Region Safety Manager,
- Is involved with training new Safety and Training Supervisors, and re-training current Safety and Training Supervisors if required,
- Conducts the annual Train-the-Trainer program for BTW and Classroom Instructor Certification



- Conducts Safety and Training audits in the region and reports the findings to the Region Safety Manager, if required.

Employee Training

Training employees to assess risks and recognize and avoid hazards in the workplace is critical to the overall safety of the workplace. Every First Transit employee is trained in “BeSafe” and “Safe Work Methods”, which are described later in this section.

“BeSafe” is our company-wide approach to safety management. This program takes our safety performance to the next level through behavioral change. “BeSafe” is inclusive, collaborative and focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement such as debriefs, tours, and touchpoints. All employees are trained in the principles of “BeSafe”

The “BeSafe” concept is described in the following brochure.

Near miss and hazard reporting

In the interest of keeping you, your colleagues and our passengers safe, it's your responsibility to report any near miss incidents and hazards.

Please record these in the 'Near miss and hazard reporting' pad and hand it in to the nearest supervisor / manager.



Near miss:
An event you witnessed where no harm was caused, but there was the potential to cause injury or ill health – a dangerous occurrence.

Hazard:
Anything that may cause harm in the near future.

Personal emergency details

In an emergency, please be aware of the following:

Name _____

Home Tel. No. _____

Mobile Tel. No. _____

Emergency contact No. _____

Blood type _____

Allergies _____

Medical condition(s) _____

Please inform your HR department of any medical conditions that might prevent you from doing your job safely.

Work environment

A positive, safe environment is important to our passengers, our staff and our business.

If you are concerned about anything at work, aware of a security issue or have suspicions about anything from bullying to fraud – report it.

If it is an emergency
Tell the police. Then, tell your manager.

If it is not an emergency
Tell your manager or Group Security, or use the confidential hotline or ethics portal.

Confidential hotline
UK 0800 234 5291
North America 877-322-5534
Greyhound Operations Support Center 800-487-6996
Panama 000-000-000-0000
India 000-000-000-0000

Make a report
www.ethicfirst.ethicpoint.com



My Handbook



Be Safe What is it?

Be Safe is our Group-wide safety commitment, taking our safety performance to the next level through behavioural change.

It builds on our compliance with existing policies and safety management systems. Be Safe, whilst not ignoring unsafe acts, harnesses the power achieved where positive behaviour and habits are shown and recognised.

Be Safe is inclusive, collaborative and focuses on recognising and acknowledging safe behaviour and actions through positive reinforcement.

Be Safe Our objectives

Be Safe has three clear objectives:

1. To make progress on our way to “Zero Harm”.
2. To make safety a personal core value through behaviour change.
3. To improve business performance.

Everyone in FirstGroup takes ownership for safety in the workplace and encourages colleagues to do the same.

We have a personal stake in safety for ourselves, our colleagues and our customers.

By sharing the right attitude, skills and knowledge we will create the best safety environment to achieve our objectives and Be Safe.

Be Safe principles

These principles all support our Group value of being Dedicated to Safety.

Knowledge

Our greatest efforts will be directed at the key safety behaviours that will help reduce incidents.

Recognition

Whilst not ignoring actions that undermine safety, the focus will be on acknowledging colleagues “doing it right” and positively reinforcing these actions.

Openness

Regular positive coaching interactions, or “touchpoints” will take place and communication at “debriefs” will be open and honest.

Learning

Reporting of incidents and near misses will be seen as learning opportunities to continuously improve work place safety.

Courage

We are all empowered to accept responsibility for our own safety and the safety of our colleagues and customers. If you assess something to be unsafe, you should have the courage to stop and find a safer way of doing things.



First Transit's "**Safe Work Methods**" is designed to educate employees on how to identify conditions and actions posing risks to their well-being and that of their coworkers. This training is to be used:

1. In training new hire employees
2. In leading supervisors in identifying root causes of workplace injuries
3. In retraining injured workers so that re-occurrences are avoided
4. To supplement First Transit's First Occupational Rehabilitation Management (F.O.R.M.) light duty and return to work management program, in controlling workers compensation losses

The "Safe Work Methods" training curriculum includes:

- **New Hire Training**

New hire training is designed to educate the new employee to the hazards commonly found in the transportation environments including in vehicle maintenance shops, bus yards, fuel islands, wash bays, and office environments. The program also makes employees aware of injuries that can result from physical activities such as entering and exiting vehicles, assisting persons with disabilities, and handling mobility devices.

- PPE program including requirements for appropriate
 - Safety eyewear
 - Safety footwear
 - Safety hand wear
 - Hi-Vis vests
 - Disposal contaminated materials
- Risk Assessment and Injury Avoidance
 - Walking & Climbing
 - Lifting, Carrying, Holding, and Lowering Objects
 - Pushing, Pulling, & Twisting
 - Burns, Scalds
 - Exposed Fluids, Chemicals, Smoke
 - Cuts, Punctures, Abrasions, Lacerations
 - Mobility Device Lifts/Ramps

1. Requirements for Operator Training

Applicants are required to successfully complete a comprehensive training program prior to transporting passengers. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training. The Operator training program combines instructor-led sessions, video instruction, facilitated discussion, and opportunities for the trainees to practice what they have learned. Training topics include:

Classroom Training

The first part of Operator training at First Transit, classroom training, begins the process of instilling the safety culture into each Operator. Helping the student Operators understand the importance of keeping themselves and each passenger safe; and their responsibilities in maintaining a safe environment, is a theme integrated throughout.

- **Unit 1 - Introduction**

- Welcome and Introduction
- Title VI Civil Rights Act 1964
- Employee Handbook
- BeSafe - Making Safety Personal
- Hazardous Communication
- Bloodborne Pathogens



- **Unit II - Fundamentals**
 - Safe Work Methods
 - Basics of Safety
 - Managing Emergencies
 - Security Awareness
 - Map Reading
 - Communication Devices
 - Navigation and Fare Policies
 - Smith System
- **Unit III - The Operator**
 - Drug and Alcohol Awareness
 - Distracted Driving
 - Fatigue and Sleep Apnea Awareness
- **Unit IV - Transporting Passengers with Disabilities**
 - Transporting Passengers with Disabilities
 - Interacting with Passengers
 - Diffusing Conflict
 - Passenger Care While Loading and Unloading
 - Mobility Aids and Devices
- **Unit V - Driving Fundamentals**
 - Driving Fundamentals I
 - Driving Fundamentals II
 - Roadway Types
 - Railroad Crossings

Behind-the-Wheel Training

Behind-the-Wheel training is conducted in three phases. Since most people coming to work as a Bus Operator have not been exposed to driving the types of vehicle used at First Transit, the first part of behind-the-wheel training takes place on a closed course. This provides the opportunity for the Instructors to evaluate the skill levels of each employee; and gives each employee the opportunity to make and learn from their mistakes in a safe environment.

The next phase of Behind-the-Wheel training takes place on the road, but in a controlled manner. During the road phase of the training, each student Operator works one-on-one with a First Transit Instructor. The road work begins with the basics; intersections, service stops, and backing. The next advanced stage of the road work addresses roadways, highway driving, and continues the instruction on intersections and service stops. The "Smith Driving System" principles are incorporated throughout the entire Behind-the-Wheel training phase.

- **Closed Course (Group Work)**
 - Vehicle Orientation
 - Pre-Trip Inspection
 - Seat Adjustment
 - Mirror Adjustment
 - Braking, Accelerating, and Transmission
 - Wheelchair Securement
 - Reference Points
 - Lane Position
 - Right Side / Left Side
 - Backing Point
 - Forward Stop



- Pivot Points
 - Turning Points
 - Vehicle Control
 - Straight in Lane
 - Left Turn
 - Right Turn
 - Lane Changing - Moving Right or Left
- **One on One Instruction Behind the Wheel**
 - **Basic Road Work**
 - “Smith System”
 - Intersections
 - Service Stops
 - Backing
- **Advanced Road Work**
 - “Smith System” Commentary Driving
 - Roadways
 - Expressway / Highway Driving
 - Intersections
 - Service Stops
- **Final Evaluation**

Upon completion of the training program, before an Operator can be placed into service, they must successfully demonstrate their mastery of the skills and practices learned during the training program.
- **Cadet Training**

Once a new Operator has been placed into service there is period of observation where an experienced Operator, Instructor, or Supervisor periodically rides-along to ensure the skills learned in training have successfully transferred to providing service. This includes the securement and transportation of a person with a disability.

2. Requirements for Maintenance Training

Maintenance personnel are trained in shop safety, OSHA standards, and vehicle maintenance, in addition to receiving training in driving techniques and safety. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training.

Maintenance training includes:

- Introduction to First Transit policies & procedures
- Injury prevention and risk assessment
- Substance Abuse Policy
- Defensive Driving
- “Smith System”
- NTI - Security Awareness Warning Signs
- Shop Safety Handbook
- Maintenance Lift Safety
- Driver Vehicle Inspection (DVI) Procedures
- SafeWork Methods
- Wheel Torque Specifications
- Workplace Violence
- OSHA (R-T-K / SDS / PPE Training)



Servicer Training Program

All servicers complete a comprehensive training program. This program includes passing a written and behind the wheel test for a commercial driver license. Other major topics covered in the training program include: Code of Safe Practices, LPG fueling procedures, electric bus charging, bloodborne pathogen control program, Spill Prevention & Control Program (SPCC), Maintenance Dept. policies & procedures.

Servicer refresher training includes but is not limited to:

- Weekly during toolbox safety flyers
- SPCC annual refresher training
- Hazard Communication Training
- Behind the wheel evaluations
- Preventable Accident remediation

Mechanic

All mechanics hired are to be ASE certified with two years of maintenance work experience, mechanics also receive the training program outlined in the servicer training program. Mechanics also receive Hazardous Waste Operations and Emergency Response (HAZWOPER) training as well as forklift certification before operating.

Mechanic refresher training includes but is not limited to:

- Weekly during toolbox safety flyers
- SPCC annual refresher training
- Hazard Communication Training
- Forklift recertification every 3 years (if operating)
- Behind the wheel evaluations
- Preventable accident remediation

Foreman and Maintenance Managers

Foreman and Maintenance Managers training includes but is not limited to:

- Drug and Alcohol
- Harassment Prevention
- Management Development
- Toolbox training sessions
- SPCC
- HAZWOPER
- Forklift recertification
- Behind the wheel evaluations
- Preventable accident remediation



3. Requirements for Staff Training

Staff personnel are trained in Safety Leadership and "BeSafe" (described in item #1)

- **Safety Leadership**

This is an interactive CD-ROM course consisting of 5 CD's and leaders guides which are designed to educate all levels of First Transit management on the behaviors surrounding accidents. Every level of management takes the course and successfully pass an online test, found on the Safety Resource Center (SRC), with a passing grade of 90% or better.

The course outline is as follows:

- Safety Leadership
 - Accidents
 - Behavior
 - Leadership
- Supervisor Development
 - The Role of the Supervisor
 - Communication
 - Building Trust
 - Conflict Resolution
 - Performance Management
 - Decisions
- **Additional Safety Training**
 - Drug and Alcohol
 - Supervisor's Report of Reasonable Suspicion
 - Code of Conduct
 - Customer Service
 - OSHA Requirements
 - Hazard Abatement FORM – CA Only
 - TSI – Introduction to Paratransit
 - TSI – Vehicle Operations
 - TSI – Managing Emergencies
 - TSI – Customer Relations
 - SMS – First Transit Safety Policy
 - SMS – First Be Safe Principles
 - SMS – Be Safe
 - SMS – Personal Protective Equipment
 - SMS – Parking
 - SMS – Personal Safety
 - SMS – Risk Assessment
 - SMS – Prevention of Workplace Violence

4. Requirements for Continuing Training and Evaluations

First Transit provides ongoing employee training and evaluations.

The objective of ongoing evaluations is met through a broad spectrum of regularly scheduled management activities including:

- road observations,
- ride along evaluations, and



- daily safety contacts.

Where evaluations and observations identify unsafe acts or conditions, retraining is provided to improve skill levels in accordance with corporate standards.

In addition to First Transit's formal employee training program, the following safety training is also conducted.

Safety Meetings

- Twelve (12) safety meetings are issued to the locations annually with required topics identified by the location and region safety management
- Each meeting is to be a minimum of one (1) hour in length unless otherwise required by state, client or local regulations
- A required topic along with a safety campaign including posters and DVD is sent to each location for presentation to all employees
- Attendance is a condition of employment and is mandatory for all Operators, Management, Operational staff, and Maintenance personnel. *(Unless stated otherwise in the CBA.)*
 - Failure to attend all meetings will result in disciplinary actions up to and including termination.
- Client/Contract requirements may require safety meetings to be conducted on a more frequent basis than the First Transit minimum standards

Retraining

First Transit has a "zero" tolerance for preventable injuries and collisions, elimination of preventable injuries and collisions is our number one goal.

An employee involved in a preventable injury or collision is placed on administrative leave pending completion of the investigation and completion of any required retraining.

Safety Communication

Describe processes and activities to communicate safety and safety performance information throughout the organization.

Safety Awareness Programs

Establishing and maintaining a culture that demands safe behavior at all times is at the core of First Transit's safety plan. This is done, in part, by providing a regular flow of positive information and recognizing those who are performing safely.

This is where our "**BeSafe**" program provides the structure and foundation for communicating safety messages and inspiring safe job performance at all levels. "BeSafe" takes safety to a more personal level. It is a company-wide commitment to safety, with the objective of continuous improvement by making safety a personal goal and incorporating behavioral change as a mitigation measure.

"BeSafe" focuses on positive change through routine personal "touchpoints" and coaching interactions between front-line employees and management. To reinforce the touchpoints, discussions and feedback sessions are conducted as needed.




This program inspires safe behavior among employees at all levels by;


- Generating system-wide participation in safety issues through positive reinforcement
- Encouraging all employees to “take ownership” for safety results
- Communicating safety policies, procedures and processes
- Engaging executives and managers at all levels, encouraging their active participation in safety management and communication
- Sharing safety results at the individual, project, region and national levels by celebrating success stories
 - **Individual Motivators – Individual Achievement Awards:** The “cultural carrot” to help affect individual safety improvement through the use of personal recognition awards. Currently established safety awards for First Transit employees are:
 - Annual Safe Driver Awards
 - Safety Solutions Team Recognition
- **A Safety Leadership Group - The Safety Solution Team (SST):** Four to 10 location teammates dedicated to making safety “top-of-mind” by identifying and resolving safety issues.
 - SST
 - Review the safety concerns they have worked on and improvements that have been implemented
 - Record and distribute SST meeting minutes
 - GM
 - Review “Daily Safety & Health Walkthrough”
 - GM and SST
 - Recognize individuals who have earned years of safe driving
 - Pins and Certificates
 - Include bullets from SST Meeting minutes
- **A Communication Tool:** “First Transit Connect” employee app, a peer to peer safety communication tool offering safety tips, best practices, recognition, offering ideas on “What Works”, Safety Happenings, and Safety Pep Rallies




Your new employee app is here!




With the CONNECT app you can...



...get the latest news and info from your location



...keep up with what's happening nationally across First Transit




...give feedback, ask questions, and submit ideas

Available FREE! for iPhone and Android!
Download in the App store or Google Play




How to Get Started:

1. Go to your app store and find First Transit Connect.
2. Click *Get* or *Install* to download.
3. Open the app and register. (*Hint: Register is at bottom of screen. Your employee ID is on the right side of your paycheck or stub. You can also find it on your pay statement on the ADP self-serve website.*)
4. Once you've registered, you have access to all the features on First Transit Connect!



Download today and get connected!

Search your app store for
First Transit Connect
or ask your manager for more information
Need More Help? Email us at
FirstTransitConnect@firstgroup.com





Additional Information

Supporting Documentation

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

Numerous standard operating procedures (SOP's), in addition to those mentioned in this plan, have been developed and incorporated into the operating practices at each First Transit location.

The SOP's have been designed to create operational consistency, increase awareness of risks and hazards, and provide easily duplicated processes for identifying and mitigating the risks associated with providing transit service. Some of those SOP's are as follows.

- High Interest Driver SOP's #206; #206a; #206b; #206c; #206d
- SOP #207 - Railroad Crossing Assessment
- SOP #502 – Sub-Contractors Working on Company Property
- Fire Prevention Plan SOP's #504; #504a; #504b; #504c; #504d
- Winter Safety – Snow Removal Action Plan SOP's #505; #505a; #505b; #505c
- Vehicle Fueling Spill Control SOP's #506; #506a; #506b; #506c; #506d
- SOP #507 - Pedestrian Visibility and Movement on Company Property
- SOP # 508 - Service Truck & Service Vehicle Visibility
- Emergency Action Plan SOP's #806; #806a; #806b; #806c; #806d
- First Transit Shop Safety Handbook
- Safety & Security Planning Manual



List of Acronyms Used in the Safety Plan

Acronym	Word or Phrase
ARC	Accident Review Committee
BTW	Behind-the-Wheel
DOT	Department of Transportation
DUI	Driving Under the Influence
DWI	Driving While Intoxicated
ESC	Executive Safety Committee
FGA	First Group America
F.O.R.M.	First Occupational Rehabilitation Management
FTA	Federal Transit Administration
HR	Human Resources
LGM	General Manager
LOTO	Lock-Out/Tag-Out
LSM	Location Safety Manager
MNT	Maintenance
OPS	Operations
OSHA	Occupational Safety & Health Administration
PPE	Personal Protective Equipment
PRM	Performance Review Management
SMS	Safety Management System
SOP	Standard Operating Procedure
SRC	Safety Resource Center
SST	Safety Solutions Team
UK	United Kingdom
VP	Vice President

MTS SAFETY PERFORMANCE ANNUAL REVIEW



Board of Directors Meeting
February 10, 2022



David Bagley
System Safety Manager
Metropolitan Transit System - Rail
San Diego, California

Serve as the System Safety Manager for the Rail Division of the Metropolitan Transit System (MTS) and have been with the organization for 26 years.

Manage MTS rail programs to ensure compliance with applicable local, state and federal codes and regulations.

Concurrently serve as the Safety and Security Manager for the Mid-Coast Corridor Transit Project of San Diego Association of Governments (SANDAG), 11 mile extension.

Appointed in 2022 as the Chair of the Rail Operations and Regulatory (ROAR) Committee, which provides a forum for CA RTA's and the CPUC to exchange information concerning rail systems regulatory matters.

Public Transportation Agency Safety Plan - Update

- 49 CFR 673 - Public Transportation Agency Safety Plan (PTASP)
- Effective Date: July 19, 2019 - Compliance Extended to July 20, 2021 due to COVID-19 impact
- MTS Board of Directors approved the PTASP on July 30, 2020
- MTS (SDTI) PTASP January 2022 Revision 1: Section 1.2.1 System Description to include the Mid-Coast Extension

This rules apply to: Recipients or sub-recipients of financial assistance under 49 U.S.C. § 5307 that operate a public transportation system

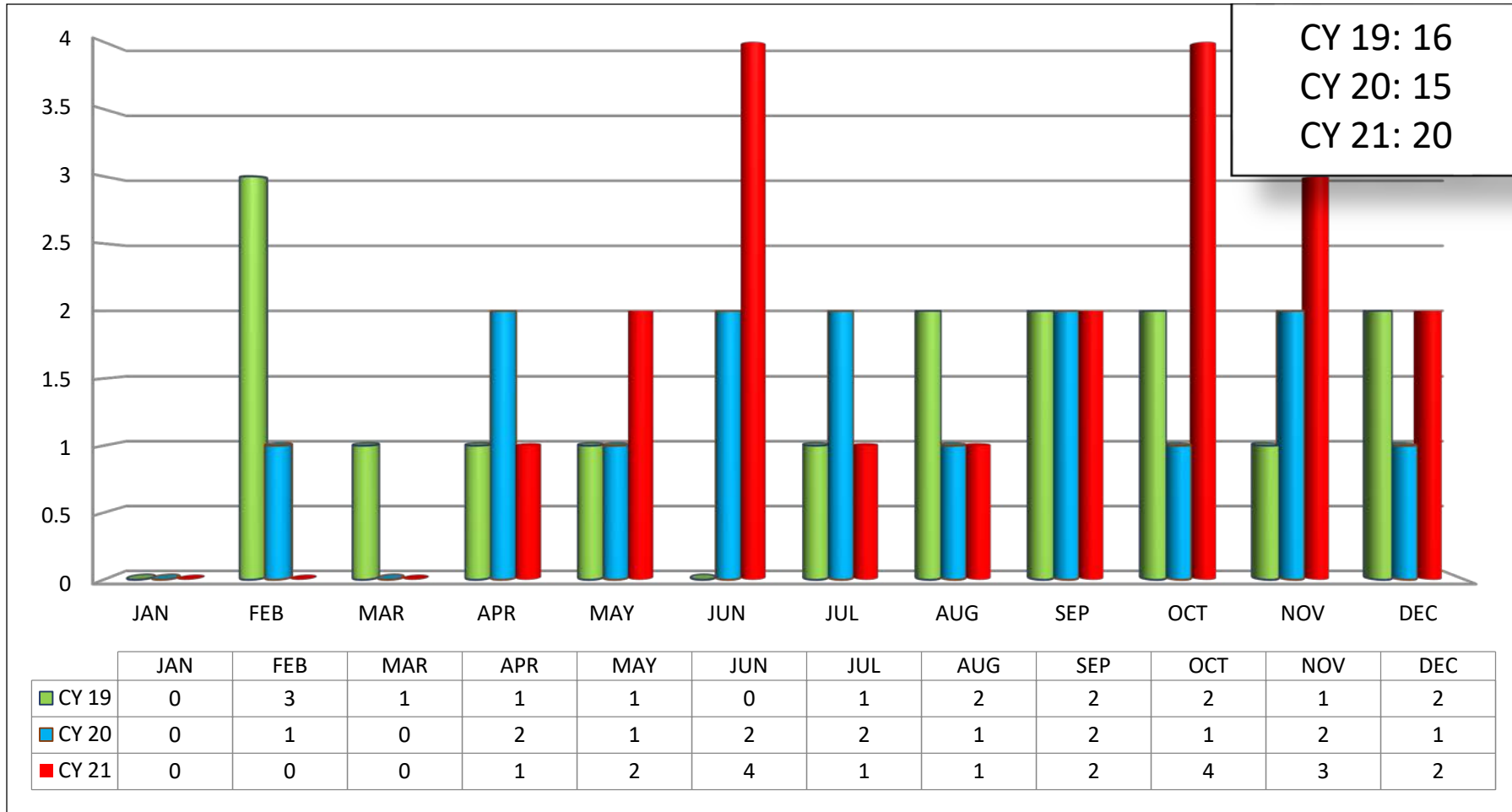


Federal Transit Administration



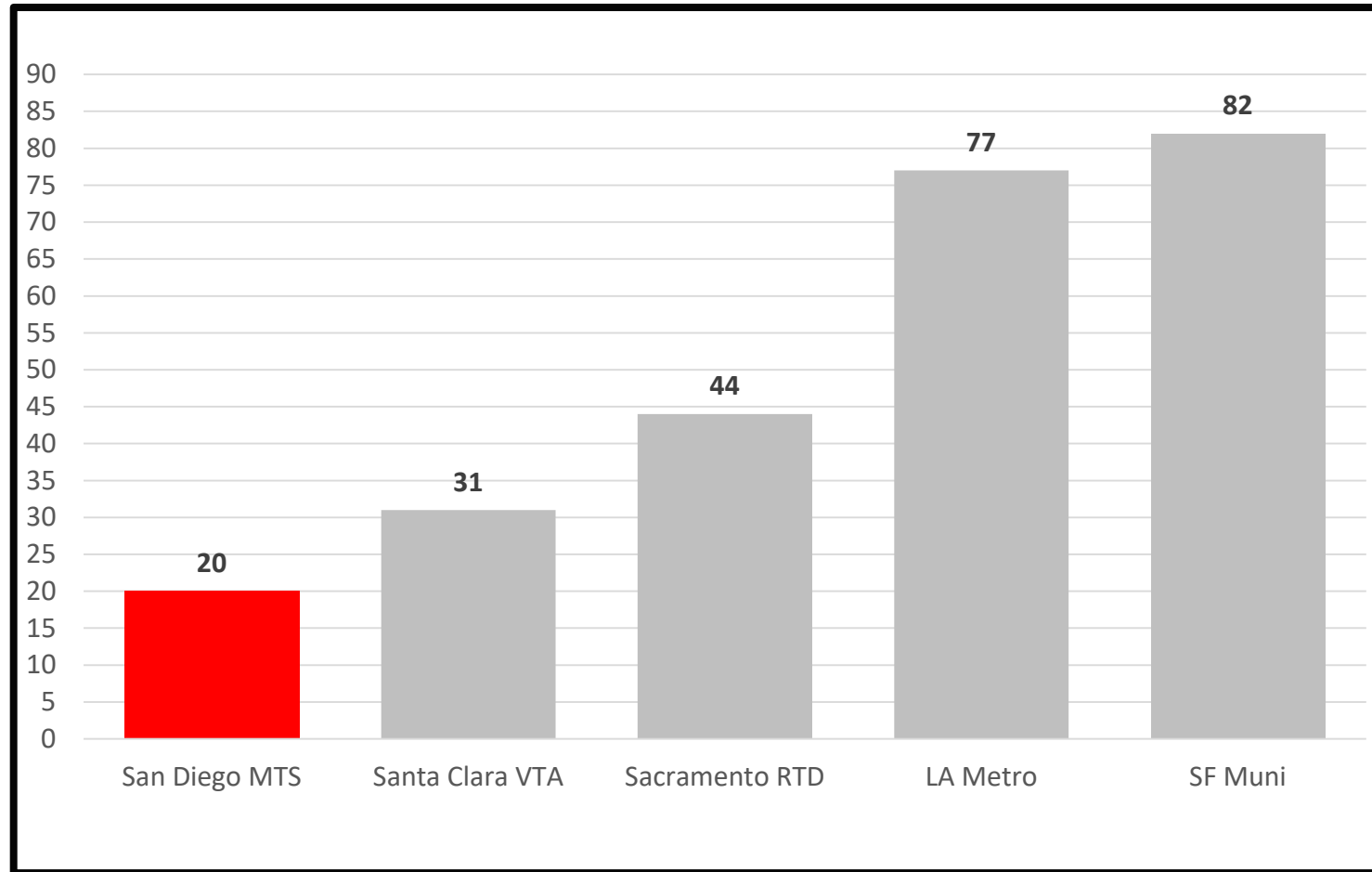
MTS-Rail Accidents by Month

Calendar Years 2019-2021



Statewide Rail Accidents

CY 2021



Safety Performance Measures

3.1.1.1 Safety Performance Measure: Fatalities

- Aspirational target of zero (0) fatalities
- The calendar year (CY) performance target for total fatalities and total fatalities rate per 100,000 revenue miles is to achieve a reduction compared to the previous three Calendar Year average.

YEAR RANGE	TARGET	ACTUAL
2017-2019	Establish Base Line	0.12
2018-2020	< 0.12	0.11
2019-2021	< 0.11	0.08

Safety Performance Measures

3.1.1.2 Safety Performance Measure: Injuries

- The CY performance target for total number of injuries and injury rate per 100,000 revenue miles is to achieve a reduction compared to the previous three CY average.

YEAR RANGE	TARGET	ACTUAL
2017-2019	Establish Base Line	3.47
2018-2020	< 3.47	3.14
2019-2021	< 3.14	2.86

Safety Performance Measures

3.1.1.3 Safety Performance Measure: Safety Events

- The CY performance target for total number of safety events and safety events rate per 100,000 revenue miles is to achieve a reduction compared to the previous three CY average.

YEAR RANGE	TARGET	ACTUAL
2017-2019	Establish Base Line	3.55
2018-2020	< 3.55	3.45
2019-2021	< 3.45	3.33

Safety Performance Measures

3.1.1.4 Safety Performance Measure: System Reliability

- The CY performance target for system reliability rate is to achieve a reduction compared to the previous three calendar years' average. SDTI system reliability targets are calculated using a three-year average of the mean distance of train operations between failures.

YEAR RANGE	TARGET	ACTUAL
2017-2019	Establish Base Line	10,259
2018-2020	> 10,259	11,530
2019-2021	> 11,530	13,463


Safety Performance Measures


3.1.1.5 Safety Performance Measure: Other

- Emergency Brake Log - The CY performance target for total number of “Emergency Brake Applications” rate per 100,000 revenue miles is to achieve a reduction compared to the previous three CY average.

YEAR RANGE	TARGET	ACTUAL
2017-2019	Establish Base Line	11.51
2018-2020	< 11.51	11.19
2019-2021	< 11.19	10.97

SYSTEM-WIDE SAFETY CAMPAIGN

 Metropolitan Transit System



Think FAST

Fun And Safe Transit

Safety Reminders for Riders

It's easy to stay safe when riding MTS Buses and Trolleys, just **Think FAST (Fun And Safe Transit)**. Keep yourself, your friends and your family safe with these important tips when waiting, boarding and riding MTS.

Think **FAST** Fun And Safe Transit



WHILE AT A STATION OR STOP

**Stay Alert**
Look both ways before crossing the tracks or street. Never move around a vehicle that blocks your visibility.

**Use Crosswalks**
Always use designated crosswalks at transit centers, and designated crossing areas on Trolley tracks.

**Remove Headphones on Platforms**
Please wear headphones while riding, but remove them when on platforms or near buses.

**Stay Behind the Line**
When waiting for the Trolley or bus, be sure to stay behind the line.

**No Jumping or Climbing between Trolleys**
Crossing between Trolley cars may cause serious injury.

**Walk, Don't Ride**
Walk your bike, scooter or skateboard on platforms or sidewalks for your safety and those around you.

**Keep Off Tracks**
Do not trespass in any area not meant for the public. Stay off the train tracks at all times, except when crossing in designated crosswalks.

**Don't Chase a Moving Vehicle**
Do not run after or touch a moving vehicle. Doing so may cause serious injury.

**Watch the Gates**
Pay attention to crossing gates. If the gate is moving down, wait until all trains clear and the gates return to the up position.

**Use Accessibility Ramp**
Press the blue ADA button on Trolley doors to use the ramp for boarding and exiting. On board Trolley, press button (or ADA seat pull) before arriving at your stop. On buses, please ask the operator to deploy ramp.

WHEN RIDING

**Always Hold On**
Hold on to a hand rail at all times as vehicles start, stop and change directions frequently.

**Remain Seated**
If seated, wait until the vehicle comes to a complete stop before getting up from your seat.

**Keep Aisles Clear and Don't Block Doors**
Keep vehicle aisles clear of personal belongings so other riders can move through the vehicle. Keep doorways clear to allow other passengers to board and exit freely.

**Stay Awake**
Do not sleep while riding. Falling asleep may cause you to lose your balance while on board.

2021 Internal Safety & Security Audit

Eight elements were reviewed based on 49 CFR Part 673 requirements for the Public Transportation Agency Safety Plan (PTASP) , MTS System Security Plan, and General Order 164-E. The elements scheduled for review from the PTASP Safety and Security Master Audit Schedule were:

- Checklist 01: Policy Statement
- Checklist 02: Purpose Goals and Objectives
- Checklist 03: RTA Management Structures
- Checklist 11: Internal Safety and Security Audit Program
- Checklist 13: Facilities and Maintenance Inspections
- Checklist 14: Maintenance Audit and Inspection Program
- Checklist 17: Compliance with Local, State and Federal Requirements
- Checklist 19: Drug and Alcohol Program
- Checklist S-3: Identification Concepts for Passenger and Employee Security

CPUC Oversight Activities

- Formal review acceptance of Safety Certification Verification Reports for the Mid-Coast Corridor Transit Project and LRV Procurement
- CY2021 annual review and certification of Rail Agency Safety Plan, System Security Plan, and Internal Safety and Security Audit
- On-Site Light Rail Vehicle (LRV) accident documentation and video reviews
- Formal acceptance and closure process of LRV accident investigations
- On-Site “Scheduled and Unscheduled” CPUC Inspections (Operations/Maintenance)

Mid-Coast Extension System and Vehicle Familiarization

Outside Agency Personnel Training (Bus & Rail)



RAIL DIVISION


Emergency Responder Training

2021



Metropolitan Transit System





Light Rail Vehicle Fleet




The SDTI fleet currently consists of Light Rail Vehicles (LRVs) manufactured by the Siemens Corporation and two Presidential Conference Committee (PCC) cars manufactured by the St. Louis Car Company. LRVs seat 64 passengers with a maximum capacity of 200 and PCCs seat 53 with a maximum capacity of 110. LRVs are articulated at the center with an operating cab on each end. There is no access between cars when they are coupled together. Safety features include a fire extinguisher mounted in each operating cab, a mobile radio equipped with a silent alarm button mounted in each operating cab, a fail-safe system to prevent movement of the train in the event doors are not fully closed, and an onboard CCTV system. A train operator performs all operational functions and controls the train manually.

SD-100 LRV
Series 2000: 52 vehicles
 Produced: 1994-1995
 Length: 80 feet
 Weight: 40 tons
 Max Speed: 55 mph

S70 LRV
Series 3000: 11 vehicles
 Produced: 2004-2005
 Length: 90 feet
 Weight: 48 tons
 Max Speed: 55 mph


Series 4000: 65 vehicles
 Produced: 2011-2013
 Length: 80 feet
 Weight: 48 tons
 Max Speed: 55 mph

PCC
Series 500: 2 vehicles
 Produced: 1937-1945
 Length: 47 feet
 Weight: 19 tons
 Max Speed: 45 mph

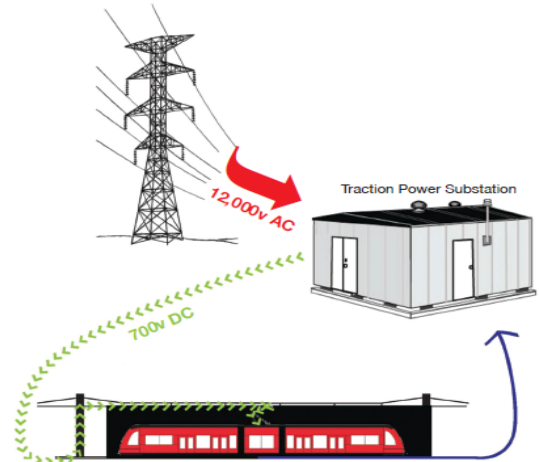
5 Operations Control Center • (619) 595-4960

Flow of Power



TRACTION POWER SUBSTATIONS

SDTI trains are electrically propelled using high voltage DC power, which is fed via an overhead catenary system (OCS) from traction power substations located along the right-of-way. Isolated OCS sections can be de-energized by opening appropriate circuit breakers in the substations or via pole-mounted sectionalizing switches. SDTI utilizes fifty-three substation locations throughout the system. These substations are equipped with a rotating blue trouble light that indicates a malfunction associated with the substation. When observed, an employee should report the trouble light to the Operations Control Center. Only trained and qualified employees (including Line Supervisors) may remove power in emergencies.



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Outside Agency Personnel Training & Emergency Drills


Agency	Date	Topic
San Diego City Fire Rescue	October 25, 2021	Mid-Coast Alignment Tours
San Diego City Fire Rescue	October 18, 2021	Mid-Coast Alignment Tours
San Diego City Police SWAT	July 16, 2021	LRV/Bus Active Shooter Drill
San Diego City Police SWAT	July 13, 2021	LRV/Bus Active Shooter Drill
San Diego City Police SWAT	July 7, 2021	LRV/Bus Vehicle Familiarization
San Diego City Fire Rescue	April 22, 2021	System Safety/Heavy Lifting
San Diego City Fire Rescue	April 20, 2021	System Safety/Heavy Lifting
San Diego City Fire Rescue	March 25, 2021	System Safety/Heavy Lifting
San Diego City Fire Rescue	March 23, 2021	System Safety/Heavy Lifting
US Navy EOD	February 25, 2021	Radioactive Element Detection

Employee Recognition and Appreciation




Accident Free Record, Operating Safety Awards and Mid-Coast Extension Efforts

MTS won APTA Safety Gold Award for COVID-19 Response

**Metropolitan
Transit
System**

**2021 AGENCY
COVID-19 SAFETY
AWARD SUBMISSION**



THE CHALLENGE

Swift and unrelenting harm. That's what COVID-19 has done to the world, and to the transit industry. It forced transit agencies to dramatically cut service, layoff workforce, strand passengers from essential trips for food and medicine. Federal stimulus funding helped soften the blow, but COVID-19 has shaken the industry to the core.

THE SOLUTION


The San Diego Metropolitan Transit System has been delivered the same calamities as other transit agencies. But rather than just counting the losses, the agency has used the pandemic as an agent for adaptation, creativity and recovery through a safety campaign called **CLEAN RIDE**.


THE GOALS


The underlying principles for MTS Clean Ride COVID-19 safety campaign focuses on:

- **DEPENDABILITY:** Limit ridership reductions, improve on-time performance and accident rates
- **SAFE & CLEAN RIDES:** Double down on methods to sanitize the transit system to keep COVID-19 infection rates low, and demonstrate publicly the commitment to safe transportation
- **PUBLIC EDUCATION:** Use paid and earned media tactics to educate the public about new and improved safety policies and procedures for sanitizing the system
- **EMPLOYEE SAFETY:** Keep employees healthy and infection rates low with improved workspace configuration, robust communication, PPE, on-site testing, and vaccine distribution.

CERTIFICATION OF ACCURACY


Sharon Cooney
Chief Executive Officer
San Diego Metropolitan Transit System


Wayne Terry
Chief Operating Officer, Rail Division
San Diego Metropolitan Transit System


Mike Wygant
Chief Operating Officer, Transit Services
San Diego Metropolitan Transit System



**Chair
Nathan Fletcher**

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MTS wins National Award for COVID-19 Response

Bus – Performance Targets

- Goal is to improve upon established baseline from 2018-2020:
 - Aspirational target of zero (0) fatalities
 - Reduce number and rate of injuries and safety events
 - Improve system reliability
- Performance targets do not consider crimes or fault/preventability
- Rates are based on vehicle revenue miles
- Over 23 million revenue miles travelled in CY 2021

Bus – Performance Targets

Fatalities CY 2021:

Rate per 100,000 vehicle revenue miles

Mode	Target Total	Actual Total	Target Rate	Actual Rate
Fixed (MTS)	0	2*	0	0.02
Fixed (Transdev)	0	0	0	0
Fixed Mini (First)	0	0	0	0
Paratransit (First)	0	0	0	0
Total	0	0	0	0

Fatality - Death confirmed within 30 days of the event (including suicides).

*Law enforcement determined MTS not at fault for both accidents.

Bus – Performance Targets

Injuries CY 2021:

Rate per 100,000 vehicle revenue miles

Mode	Target Total	Actual Total	Target Rate	Actual Rate
Fixed (MTS)	64	51	0.65	0.53
Fixed (Transdev)	68	39	0.65	0.38
Fixed Mini (First)	4	4	0.34	0.33
Paratransit (First)	4	0	0.09	0.00
Total	133	94	0.51	0.41

Injury - Any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event must be reported as an injury, whether or not the person appears to be injured.

Bus – Performance Targets

Safety Events CY 2021:

Rate per 100,000 vehicle revenue miles

Mode	Target Total	Actual Total	Target Rate	Actual Rate
Fixed (MTS)	65	53	0.66	0.55
Fixed (Transdev)	69	45	0.66	0.44
Fixed Mini (First)	4	2	0.34	0.17
Paratransit (First)	5	0	0.11	0.00
Total	143	100	0.55	0.43

Safety Event - Collisions that meet NTD thresholds for injuries, fatalities, property damage, or evacuation; vehicle towed from the scene involving a transit revenue vehicle; fires; hazardous materials spills, acts of God; evacuations for life safety reasons; other safety events listed in NTD policy manual.

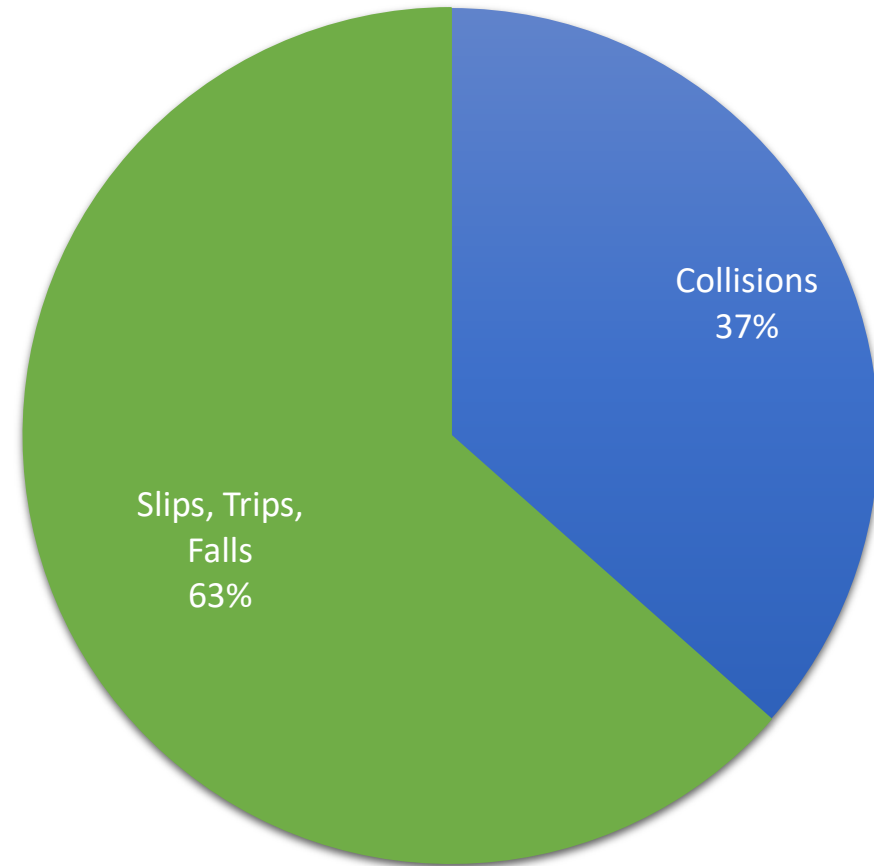
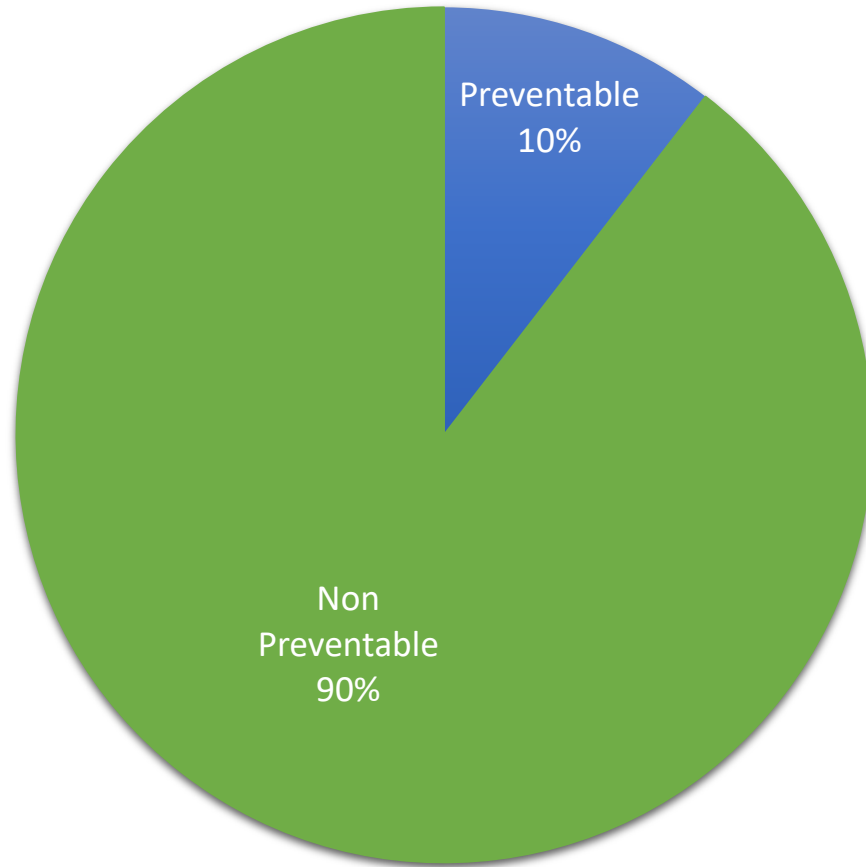
Bus – Performance Targets

System Reliability CY 2021:

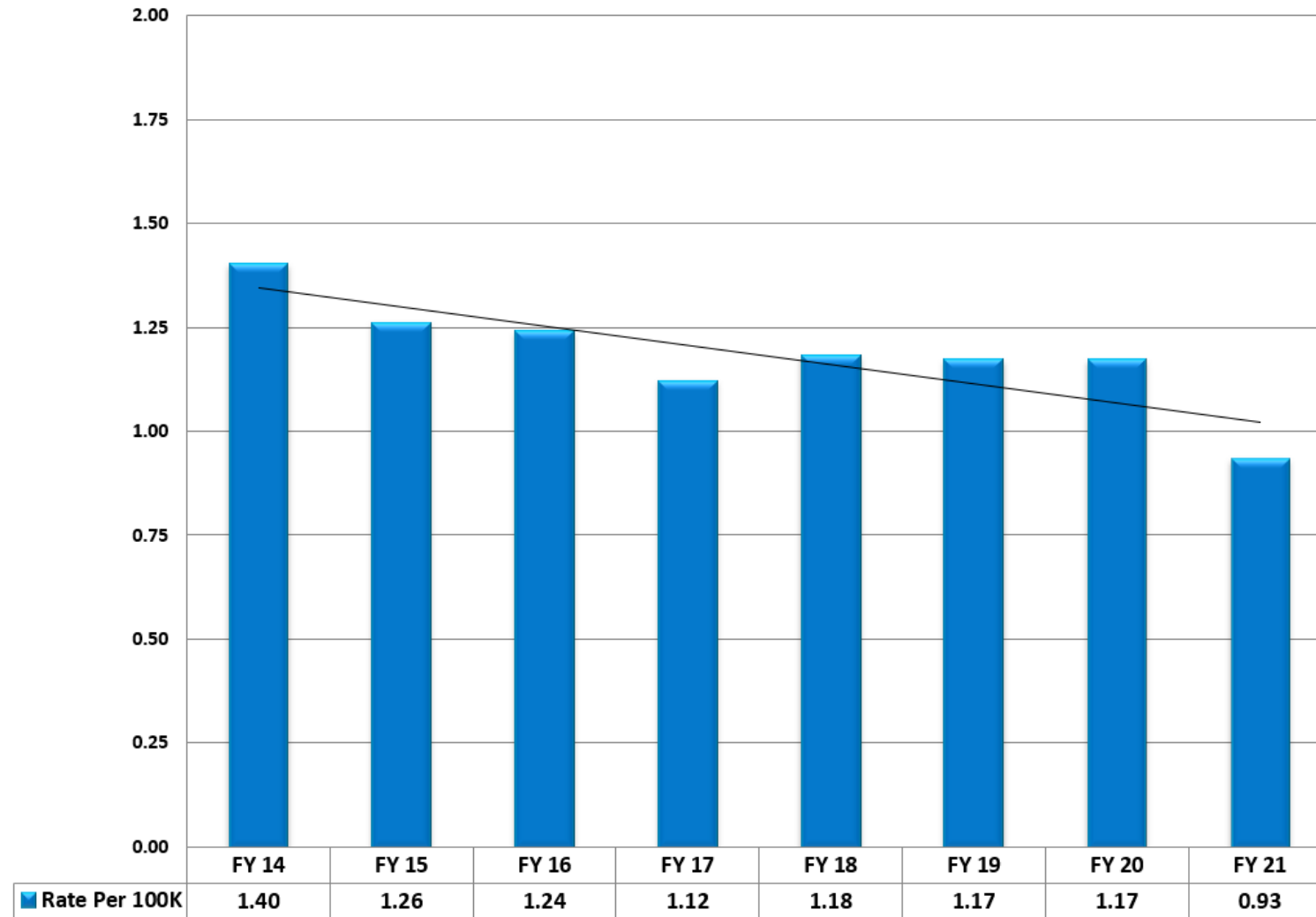
Mode	Target Rate	Actual Rate
Fixed (MTS)	4,700	6,982
Fixed (Transdev)	6,000	8,336
Fixed Mini (First)	7,500	8,654
Paratransit (First)	32,000	50,365
Total	6,600	8,271

System Reliability - Distance between major mechanical failures, is measured as revenue miles operated divided by the number of major mechanical failures.

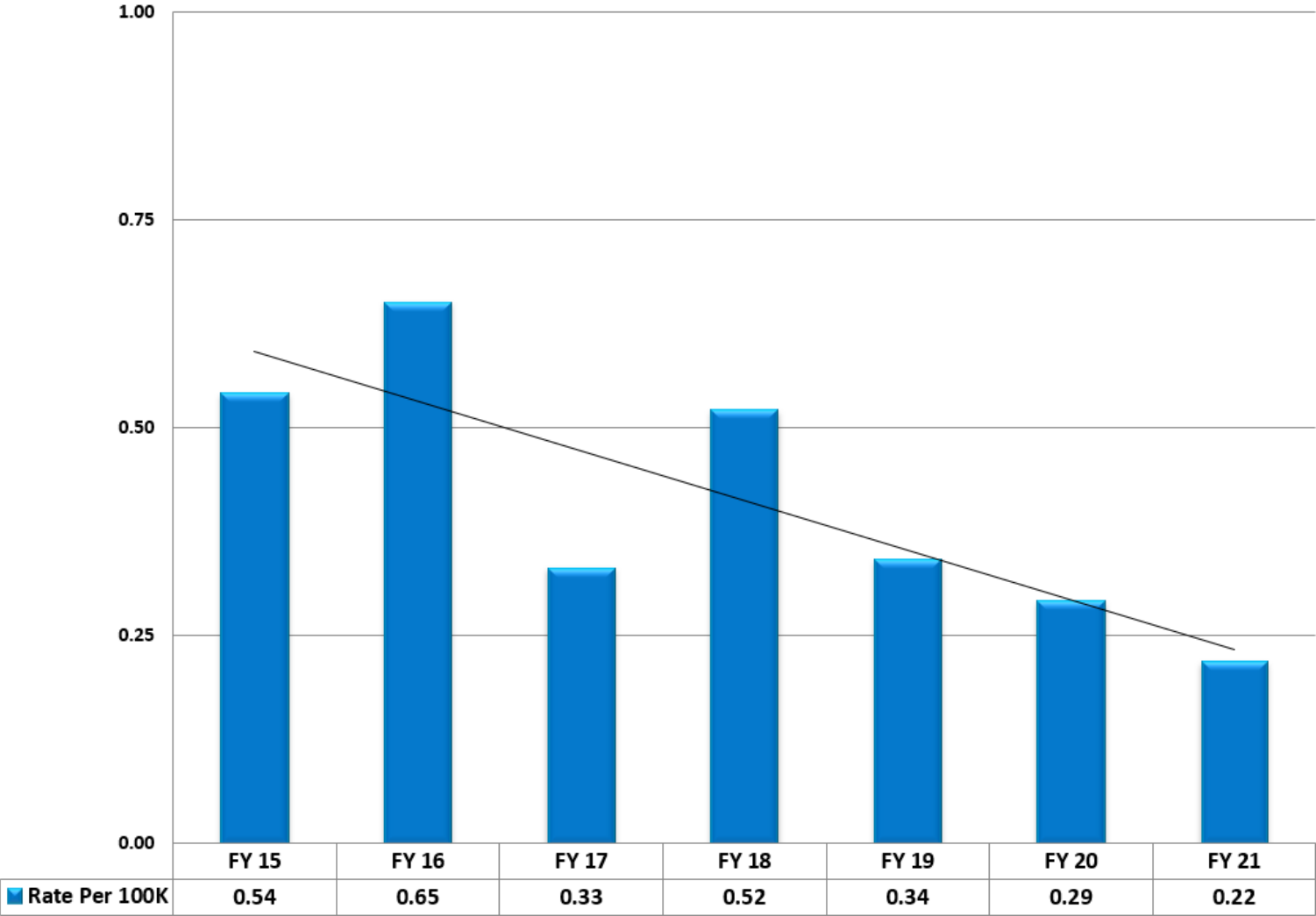
Bus – Performance Targets



Bus – Fixed Route Preventable Accidents - KPI



Bus – Rapid Preventable Accidents - PIP



New Bipartisan Infrastructure Law

Future requirements related to PTASP:

- Performance targets based on 3-year rolling average
- Add transit worker assaults to performance target measures
- Employee safety committee responsibilities standardized
- Required de-escalation training for maintenance personnel
- Allocate 0.75% of Urbanized Area Formula funds to safety related projects

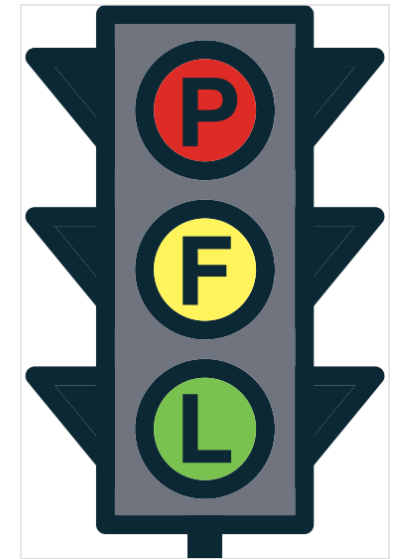
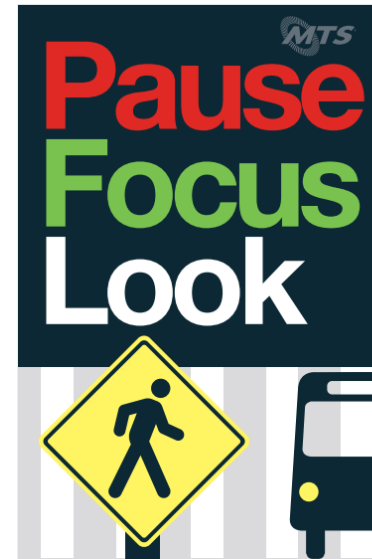
Public Awareness Campaign – Think Fast

- Collaborative approach within the agency
- Data driven methodology - reduce the most frequent and most severe accidents
- Use simple easy to understand messaging
- Leverage existing resources to minimize cost to taxpayers



Bus – Pedestrian Safety Improvements

- Refreshed safety signage at bus yards and annual training curriculum
- Fencing installed at Old Town to channel pedestrians into crosswalks
- Crosswalk signal timing modified near City College Trolley Station



Bus – CHP Terminal Inspections

- Passed annual inspection at all 5 bus facilities
- Vehicle inspection and repair history
- Commercial licensing and medical exams
- Training records, driving hours, drug & alcohol testing



Bus – Employee Training and Recognition





Agenda Item No. 46

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

SUBJECT:

FISCAL YEAR (FY) 2022 MID-YEAR PERFORMANCE MONITORING REPORT
(DENIS DESMOND)

INFORMATIONAL ONLY

Budget Impact

None.

DISCUSSION:

MTS Board Policy No. 42, "Transit Service Evaluation and Adjustment", establishes a process for evaluating existing transit services to achieve the objective of developing a customer-focused, competitive, integrated, and sustainable system. Additionally, federal Title VI guidance requires that certain performance measures be evaluated and reported to the Board periodically. The analyses show trends for the current fiscal year and help to track performance throughout the year.

The COVID-19 pandemic continues to impact MTS performance metrics in a number of ways. Staff from the Planning and Scheduling Department will provide a summary of service performance for the first half of FY 2022.

Update on COVID-19-Related Major Service Adjustments

On February 11, 2021, the MTS Board of Directors waived the requirement for a Policy 42 'major service change' process for the restoration of several services that have been reduced due to the pandemic. The following update is provided for the impacted services:

Route 854: Grossmont College partially re-opened for Fall 2022, but the emergence of the Omicron variant has returned the campus to distance-learning for early 2022. This reduced demand for access to the campus and bus driver staffing issues have challenged MTS's ability to provide the service. Therefore, the Route 854X service remains suspended for the Spring 2022 semester.



Rapid Express 280 & 290: These services are operating at approximately 50% of the normal schedule after some service was restored in January 2021. However, ridership remains 75%-80% below normal on these routes, so staff will continue to monitor the demand and add service as warranted.

Sorrento Valley Coaster Connection (SVCC): The five shuttle routes on the SVCC were initially reduced from 10 to four daily round trips each, to match the reduced COASTER schedule. NTCD restored COASTER services to previous levels and SVCC was similarly restored.

Silver Line (Vintage Trolley): MTS hasn't yet established a timeline for resumption of the weekend-only Silver Line service. The vintage PCC cars do not have barriers for drivers, and recreational travel demand remains very low.

Another update on these services will be provided with the FY 2022 Annual Performance Monitoring Report in Fall 2022.

/S/ Sharon Cooney
Sharon Cooney
Chief Executive Officer

Key Staff Contact: Julia Tuer, 619.557.4515, Julia.Tuer@sdmts.com

Attachment: A. FY 2022 Q1-Q2 Performance Monitoring Report

San Diego Metropolitan Transit System
POLICY 42 PERFORMANCE MONITORING REPORT
FY 2022: JULY 2021 - DECEMBER 2021

OBJECTIVE | Develop a Customer-Focused and Competitive System

The following measures of productivity and service quality are used to ensure that services are focused on providing competitive and attractive transportation that meets our customers' needs.

Total Passengers

Route Categories	FY 2020	FY 2021	FY 2022	# Change		% Change	
				FY20 - FY21	FY21 - FY22	FY20 - FY21	FY21 - FY22
Urban Frequent	15,317,678	6,362,058	8,652,558	(8,955,620)	2,290,500	-58.5%	36.0%
Urban Standard	3,787,951	1,622,406	2,164,969	(2,165,545)	542,563	-57.2%	33.4%
Rapid	3,551,875	1,009,420	1,883,478	(2,542,455)	874,058	-71.6%	86.6%
Express	1,012,521	341,436	477,411	(671,085)	135,975	-66.3%	39.8%
Circulator	464,026	124,856	232,850	(339,170)	107,994	-73.1%	86.5%
Premium/Rapid Express	141,280	15,271	34,743	(126,009)	19,472	-89.2%	127.5%
Rural	35,944	16,132	20,009	(19,812)	3,877	-55.1%	24.0%
Fixed-Bus Subtotal	24,311,275	9,491,579	13,466,018	(14,819,696)	3,974,439	-61.0%	41.9%
Light Rail (Blue, Orange, Green)	19,811,847	9,546,583	13,515,233	(10,265,264)	3,968,650	-51.8%	41.6%
Light Rail (Silver)	8,148	82	815	(8,066)	733	-99.0%	893.9%
Light Rail Subtotal	19,819,995	9,546,665	13,516,048	(10,273,330)	3,969,383	-51.8%	41.6%
ALL Fixed Route	44,131,270	19,038,244	26,982,066	(25,093,026)	7,943,822	-56.9%	41.7%
Demand-Resp. (MTS Access)	189,967	43,924	81,846	(146,043)	37,922	-76.9%	86.3%
Demand-Resp. (Access Taxi)	43,120	5,551	9,349	(37,569)	3,798	100.0%	68.4%
Demand-Resp. Subtotal	233,087	49,475	91,195	(183,612)	41,720	-78.8%	84.3%
System	44,364,357	19,087,719	27,073,261	(25,276,638)	7,985,542	-57.0%	41.8%

NOTES: Ridership is recovering from the low points of 2021 after a significant hit from COVID-19. However, many pandemic impacts continue, resulting in reduced passenger levels: schools are still operating remotely, many employees haven't returned to work, and there are still health concerns with new virus variants such as delta and omicron.

Average Weekday Passengers

Route Categories	FY 2020	FY 2021	FY 2022	# Change		% Change	
				FY20 - FY21	FY21 - FY22	FY20 - FY21	FY21 - FY22
Urban Frequent	99,129	39,290	54,968	(59,839)	15,678	-60.4%	39.9%
Urban Standard	25,671	10,598	14,543	(15,073)	3,944	-58.7%	37.2%
Rapid	23,423	6,085	12,150	(17,338)	6,065	-74.0%	99.7%
Express	7,219	2,360	3,311	(4,859)	950	-67.3%	40.3%
Circulator	3,225	926	1,660	(2,299)	734	-71.3%	79.2%
Premium/Rapid Express	1,103	119	274	(984)	155	-89.2%	130.2%
Rural	279	126	158	(153)	32	-54.9%	25.0%
Fixed-Bus Subtotal	160,050	59,505	87,063	(100,545)	27,558	-62.8%	46.3%
Light Rail (Blue, Orange, Green)	120,792	57,664	81,663	(63,127)	23,999	-52.3%	41.6%
Light Rail (Silver)	79	-	-	(79)	-	-100.0%	#DIV/0!
Light Rail Subtotal	120,871	57,664	81,663	(63,206)	23,999	-52.3%	41.6%
ALL Fixed Route	280,921	117,169	168,726	(163,751)	51,557	-58.3%	44.0%
Demand-Resp. (MTS Access)	1,348	286	458	(1,062)	172	-78.8%	59.9%
Demand-Resp. (Access Taxi)	280	38	51	(242)	13	100.0%	34.7%
Demand-Resp. Subtotal	1,627	324	508	(1,304)	185	-80.1%	57.0%
System	282,548	117,493	169,235	(165,055)	51,741	-58.4%	44.0%

NOTES: Similar to the overall passenger figures, average weekday ridership is recovering from COVID-19-related lows in 2021.

San Diego Metropolitan Transit System
POLICY 42 PERFORMANCE MONITORING REPORT
FY 2022: JULY 2021 - DECEMBER 2021

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Date: 02/02/22 rev

Passengers per Revenue Hour

The 'passengers per revenue hour' metric shows how any added or removed **revenue hours** (in-service hours plus layover hours) relate to ridership increases or decreases. Increasing riders per revenue hour would indicate that the system is more efficient, for example, carrying more passengers with the same number of buses.

Route Categories	FY 2020	FY 2021	FY 2022	% Change	
				FY20 - FY21	FY21 - FY22
Urban Frequent	26.7	11.2	15.1	-58.2%	35.4%
Urban Standard	18.8	8.0	10.7	-57.3%	33.2%
Rapid	30.5	8.9	16.5	-70.9%	85.0%
Express	25.3	8.5	12.6	-66.4%	48.4%
Circulator	14.9	4.5	6.9	-69.6%	53.4%
Premium/Rapid Express	23.8	5.8	10.0	-75.5%	72.1%
Rural	14.3	6.1	7.5	-57.4%	23.0%
Fixed-Bus Subtotal	25.0	9.9	13.9	-60.4%	40.7%
Light Rail (Blue, Orange, Green)	227.0	102.6	137.2	-54.8%	33.7%
Light Rail (Silver)	21.1	6.9	11.9	-67.1%	71.7%
Light Rail Subtotal	226.0	102.6	137.2	-54.6%	33.7%
ALL Fixed Route	41.7	18.1	25.3	-56.5%	39.9%
Demand-Resp. (MTS Access)	2.0	1.3	1.4	-34.4%	9.7%
Demand-Resp. (Access Taxi)	3.31	3.6	2.8	100.0%	-20.7%
Demand-Resp. Subtotal	2.1	1.4	1.5	-34.6%	7.4%
System	38.0	17.6	24.1	-53.8%	36.9%

NOTES: MTS maintained stable service levels through most of the COVID-19 period, so this metric mirrors ridership trends.

Weekday Passengers per In-Service Hour

The 'passengers per in-service hour' measure is related to the above 'passengers per revenue hour,' but shows how many passengers are carried while the vehicle is in-service picking up passengers, excluding layover time. Analyzing this figure helps MTS to understand how effective it is at providing the right level of service (instead of how efficiently MTS is grouping trips and breaks together for a vehicle to operate [revenue hours]).

Route Categories	FY 2020	FY 2021	FY 2022	% Change	
				FY20 - FY21	FY21 - FY22
Urban Frequent	33.7	13.5	22.4	-60.1%	66.6%
Urban Standard	25.8	10.7	17.2	-58.8%	61.8%
Rapid	40.1	10.8	25.3	-73.0%	134.4%
Express	32.9	10.7	18.4	-67.4%	71.2%
Circulator	19.3	6.1	11.5	-68.2%	87.2%
Premium/Rapid Express	26.4	6.6	14.0	-74.9%	112.0%
Rural	14.3	6.1	12.8	-57.2%	109.7%
Fixed-Bus Subtotal	32.2	12.2	21.1	-62.2%	73.1%
Light Rail (Blue, Orange, Green)	272.7	119.4	160.9	-56.2%	34.8%
Light Rail (Silver)	23.6	-	-	-100.0%	0.0%
Light Rail Subtotal	272.4	119.4	160.9	-56.2%	34.8%
ALL Fixed Route	51.9	21.8	36.4	-58.0%	66.7%
Demand-Resp. (MTS Access)	2.0	1.3	1.4	N/A	N/A
Demand-Resp. (Access Taxi)	3.2	3.6	2.8	N/A	N/A
Demand-Resp. Subtotal	2.1	1.4	1.5	N/A	N/A
System	45.8	21.0	34.0	-54.2%	62.1%

NOTES: The Weekday Passengers per In-Service Hour metric followed the same trends as Passengers per Revenue Hour.

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FY 2022: JULY 2021 - DECEMBER 2021

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On-Time Performance

On-time performance (OTP) is measured at each bus timepoint for every trip; buses departing timepoints within 0-5 minutes of the scheduled time are considered to be "on-time." Trolley trips arriving at their end terminal within 0-5 minutes of the scheduled time are considered to be "on-time." OTP is measured by service change period in order to show the results of scheduling changes. MTS' goal for on-time performance is 85% for Urban Frequent and Rapid bus routes, and 90% for Trolley and all other bus route categories. Each route is continually evaluated to determine if performance below the target is a result of issues that MTS controls, such as driver performance or scheduling, or situations outside MTS' direct control, such as construction, traffic congestion, and passenger issues. **Performance of fixed bus routes is heavily impacted by construction, stop signs and stop lights, and traffic when they travel through high density corridors.**

Route Categories	Service Change Period					GOAL
	June 2020	Sept. 2020	Jan. 2021	June 2021	Sept. 2021	
Urban Frequent	91.7%	91.9%	90.5%	87.8%	85.3%	85.0%
Urban Standard	92.8%	92.3%	91.9%	89.1%	86.8%	90.0%
Rapid	94.2%	94.0%	93.2%	90.2%	88.5%	85.0%
Express	95.1%	94.5%	94.5%	92.9%	92.3%	90.0%
Circulator	92.7%	93.1%	91.9%	87.8%	86.0%	90.0%
Premium/Rapid Express	91.3%	91.2%	97.6%	97.0%	94.8%	90.0%
Rural	N/A	N/A	N/A	N/A	N/A	
Demand-Resp. (Access & Taxi)	N/A	N/A	N/A	N/A	N/A	
Light Rail (Blue, Orange, Green)	98.0%	97.6%	97.4%	97.1%	95.7%	90.0%
Light Rail (Silver)	N/A	N/A	N/A	N/A	N/A	90.0%
System	92.8%	92.9%	91.9%	89.0%	86.8%	

NOTES: Overall, on-time performance remains high due to reduced traffic and ridership related to COVID-19, but returning congestion is starting to impact some modes.

OBJECTIVE | Develop a Sustainable System

The following measures are used to ensure that transit resources are deployed efficiently and do not exceed budgetary constraints. These resources may be increased over the budgeted amounts in order to respond to heavy passenger loads, special events, or unplanned detours due to construction or route changes. They may be lower than budgeted if underperforming services are reduced, or if not all of the planned capacity is required to meet the ridership demand.

Scheduled In-Service Hours (Weekly Total)

Operator	Sept. 2020	Sept. 2021	# Diff	% Diff
MTS Directly-Operated Bus	12,817	12,863	46	0.4%
MTS Contracted Fixed-Route Bus	16,155	16,436	282	1.7%
MTS Rail	3,102	3,101	(1)	0.0%
System	32,074	32,400	326	1.0%

NOTES: Scheduled hours of service were largely flat year-over-year. Note that these figures are from the September shake-ups, and therefore do not reflect service added for the Mid-Coast LRT project (implemented in November 2021).

Scheduled In-Service Miles (Weekly Total)

Operator	Sept. 2020	Sept. 2021	# Diff	% Diff
MTS Directly-Operated Bus	188,281	188,344	63	0.0%
MTS Contracted Fixed-Route Bus	221,516	225,813	4,297	1.9%
MTS Rail	65,481	65,456	(25)	0.0%
System	475,278	479,613	4,335	0.9%

NOTES: Scheduled miles of service were largely flat year-over-year. Note that these figures are from the September shake-ups, and therefore do not reflect service added for the Mid-Coast LRT project (implemented in November 2021).

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Scheduled Weekday Peak-Vehicle Requirement

This measure shows the maximum number of vehicles that are on the road at any one time (a weekday peak period) in order to provide the levels of service that have been scheduled.

Operator	Sept. 2020	Sept. 2021	# Change FY21 - FY22
MTS Directly-Operated Bus	220	220	0
MTS Contracted Fixed-Route Bus	290	297	7
MTS Rail	96	97	1

NOTES: Contract Services' peak bus requirement increased due to some school tripper and Rapid Express trips restored in 2021.

Scheduled In-Service Speed (MPH) (Weekday)

Operator	Sept. 2020	Sept. 2021	% Change FY21 - FY22
MTS Directly-Operated Bus	14.6	14.6	-0.3%
MTS Contracted Fixed-Route Bus	13.7	13.7	0.4%
MTS Rail	21.1	21.1	0.0%

NOTES: Scheduled bus speeds remained relatively flat year-over-year.

Scheduled In-Service Miles/Total Miles (Weekday)

The 'in-service miles per total miles' ratio is only calculated for MTS in-house operations, as contractors are responsible for bus and driver assignments (runcutting) for MTS Contract Services.

Operator	Sept. 2020	Sept. 2021	% Change FY21 - FY22
MTS Directly-Operated Bus	86.8%	86.5%	-0.3%
MTS Contracted Fixed-Route Bus	N/A	N/A	N/A
MTS Rail	98.5%	98.5%	0.0%

NOTES: Efficiency of scheduling has kept the ratio consistent over time.

Scheduled In-Service Hours/Total Hours (Weekday)

As with the mileage statistic, 'in-service hours' per total hours are only calculated for MTS in-house operations.

Operator	Sept. 2020	Sept. 2021	% Change FY21 - FY22
MTS Directly-Operated Bus	75.8%	75.7%	-0.1%
MTS Contracted Fixed-Route Bus	N/A	N/A	N/A
MTS Rail (Layover Included)	85.6%	85.6%	0.0%

NOTES: Efficiency of scheduling has kept the ratio consistent over time.

San Diego Metropolitan Transit System
POLICY 42 PERFORMANCE MONITORING REPORT
FY 2022: JULY 2021 - DECEMBER 2021

FY 2022 SEMI-ANNUAL ROUTE STATISTICS (Q1-Q2)																						
BASE STATISTICS													TITLE VI MONITORING (FY 2021 Annual Statistics) -									
Route	Cat	Jurisdiction (#=SD Dist.)	Q1-Q2 Passengers	FY21-22 % Change	Avg. Wkdy. Psgs.	Psgs./ Rev. Hr.	Cost/ Psg.	Average Fare	Subsidy/ Psg.	Farebox Recovery	Budgeted Rev.Svc.		Route	Minority Route	On-Time Perf.		Weekday Headway			Vehicle Load Factor --		
											Hours	Miles			Goal	Actual	Goal	Peak	Base	Goal	% trips over VLF	> 20%?
Blue	LRT	3,8,NC,CV	7,441,197	45.3%	46,235	175.3	\$ 2.84	\$ 0.55	\$ 2.29	19.4%	36,195	771,034	Blue	✓	90%	93%	15 min.	7.5	15	3.00	0%	No
Orange	LRT	3,4,8,9,LG,LM,EC	2,642,683	31.5%	15,728	106.4	\$ 4.67	\$ 0.55	\$ 4.12	11.8%	21,990	441,536	Orange	✓	90%	96%	15 min.	15	15	3.00	0%	No
Green	LRT	2,3,7,9,LM,EC,ST	3,431,353	42.1%	19,700	110.0	\$ 4.52	\$ 0.55	\$ 3.97	12.2%	27,727	590,260	Green		90%	90%	15 min.	15	15	3.00	0%	No
Silver	LRT	3	815	893.9%	-	11.9	\$ 41.68	\$ 0.41	\$ 41.26	1.0%	-	-	Silver		90%	100%	15 min.	30	30	3.00	0%	No
1	Frq	3,7,9,LM	360,760	27.3%	2,322	14.6	\$ 4.85	\$ 1.16	\$ 3.68	24.0%	24,968	223,385	1		85%	92%	15 min.	15	15	1.50	0%	No
2	Frq	3	213,025	46.7%	1,341	12.3	\$ 10.84	\$ 1.22	\$ 9.62	11.2%	17,464	135,260	2		85%	93%	15 min.	12	15	1.50	0%	No
3	Frq	3,4,8,9	448,810	24.6%	2,928	16.5	\$ 3.70	\$ 1.14	\$ 2.56	30.8%	27,386	212,457	3	✓	85%	89%	15 min.	12	12	1.50	0%	No
4	Std	3,4,8,9	204,406	28.5%	1,310	16.1	\$ 8.24	\$ 1.18	\$ 7.06	14.4%	12,751	132,116	4	✓	85%	90%	30 min.	30	30	1.50	0%	No
5	Frq	3,4,8,9	201,312	33.5%	1,353	16.0	\$ 3.88	\$ 1.12	\$ 2.75	28.9%	12,612	99,550	5	✓	85%	94%	15 min.	12	12	1.50	0%	No
6	Frq	3,7	102,011	18.3%	630	11.1	\$ 11.95	\$ 1.23	\$ 10.72	10.3%	9,249	80,718	6		85%	92%	15 min.	15	15	1.50	0%	No
7	Frq	3,4,9	691,832	33.7%	4,085	18.6	\$ 7.12	\$ 1.20	\$ 5.93	16.8%	37,356	288,644	7	✓	85%	92%	15 min.	10	10	1.50	0%	No
8	Frq	2,3	157,419	46.4%	832	13.5	\$ 9.86	\$ 1.23	\$ 8.63	12.5%	11,757	121,716	8		85%	88%	15 min.	20	20	1.50	0%	No
9	Frq	2,3	103,972	52.0%	585	11.9	\$ 11.12	\$ 1.23	\$ 9.89	11.1%	8,751	88,336	9		85%	85%	15 min.	20	20	1.50	0%	No
10	Frq	2,3,4,9	343,987	23.8%	2,199	17.1	\$ 7.77	\$ 1.24	\$ 6.53	15.9%	20,246	182,754	10		85%	90%	15 min.	12	15	1.50	0%	No
11	Frq	3,9	221,007	49.1%	1,437	11.9	\$ 11.20	\$ 1.22	\$ 9.98	10.9%	18,723	184,608	11		85%	92%	15 min.	15	15	1.50	0%	No
12	Frq	3,4,8,9	331,434	37.0%	2,135	15.2	\$ 8.75	\$ 1.19	\$ 7.56	13.6%	21,935	211,860	12	✓	85%	92%	15 min.	7.5/15	15	1.50	0%	No
13	Frq	4,7,9,NC	576,963	36.7%	3,691	19.4	\$ 6.86	\$ 1.20	\$ 5.66	17.5%	29,937	299,129	13	✓	85%	91%	15 min.	12	12	1.50	0%	No
14	Circ	7,9,LM	15,380	67.3%	121	4.8	\$ 14.87	\$ 1.07	\$ 13.80	7.2%	3,227	31,741	14		90%	97%	60 min.	60	60	1.00	0%	No
18	Circ	3,7	5,570	22.7%	44	4.2	\$ 16.76	\$ 1.12	\$ 15.64	6.7%	1,317	19,884	18		90%	97%	60 min.	30	30	1.00	0%	No
20	Exp	3,5,6,7	143,535	38.4%	930	8.3	\$ 16.02	\$ 1.24	\$ 14.78	7.7%	17,401	327,505	20		90%	95%	30 min.	15/30	30	1.50	0%	No
25	Circ	6,7	15,452	71.2%	121	4.9	\$ 14.39	\$ 1.11	\$ 13.27	7.7%	3,133	39,644	25		90%	96%	60 min.	60	60	1.00	0%	No
27	Std	2,6	78,325	79.7%	540	9.7	\$ 7.47	\$ 1.16	\$ 6.31	15.6%	8,136	74,668	27		85%	86%	30 min.	30	30	1.50	0%	No
28	Std	2,3	95,891	54.5%	611	15.2	\$ 3.56	\$ 1.14	\$ 2.42	32.1%	6,395	43,622	28		85%	94%	30 min.	15/30	30	1.50	0%	No
30	Frq	1,2,3	419,253	53.0%	2,510	12.5	\$ 10.63	\$ 1.20	\$ 9.43	11.3%	33,741	421,132	30		85%	91%	15 min.	15	15	1.50	0%	No
31	Std	1,6	29,596	22.7%	233	12.1	\$ 11.00	\$ 1.25	\$ 9.75	11.4%	2,450	29,550	31	✓	85%	93%	30 min.	30	-	1.50	0%	No
35	Frq	2,3	159,129	28.5%	969	14.1	\$ 3.46	\$ 1.17	\$ 2.29	33.8%	11,360	70,374	35		85%	91%	15 min.	15	15	1.50	0%	No
41	Frq	1,6,7	311,783	103.5%	2,077	17.4	\$ 7.64	\$ 1.21	\$ 6.43	15.9%	18,046	229,999	41		85%	96%	15 min.	7.5/15	15	1.50	0%	No
43~	Frq	2,6	27,135	100.0%	779	9.4	\$ 14.09	\$ 1.49	\$ 12.60	10.6%	2,923	29,014	43		85%		15 min.	15	15			
44	Frq	2,3,6,7	269,119	34.7%	1,692	15.2	\$ 8.72	\$ 1.20	\$ 7.52	13.7%	17,723	196,088	44	✓	85%	92%	15 min.	7.5/15	15	1.50	0%	No
50~~	Exp	1,2,3,6	25,844	33.1%	256	8.6	\$ 15.38	\$ 1.15	\$ 14.23	7.5%	2,994	45,456	50		90%	93%	30 min.	30	-	1.50	0%	No
60	Exp	1,3,4,6,9	21,108	10.5%	166	12.9	\$ 10.32	\$ 1.21	\$ 9.11	11.7%	1,643	29,594	60		90%	96%	30 min.	20/30	-	1.50	0%	No
83	Circ	3	6,749	54.8%	53	4.2	\$ 16.88	\$ 1.08	\$ 15.80	6.4%	1,613	12,974	83		90%	96%	60 min.	60	60	1.00	0%	No
84	Circ	2	6,115	33.9%	48	4.1	\$ 17.39	\$ 1.09	\$ 16.30	6.3%	1,505	17,788	84		90%	95%	60 min.	60	60	1.00	0%	No
88	Circ	3,7	29,524	38.2%	187	8.0	\$ 6.75	\$ 1.19	\$ 5.56	17.6%	3,692	25,848	88		90%	86%	60 min.	30	30	1.00	0%	No
105	Std	1,2,3,6	90,741	59.2%	626	12.8	\$ 10.39	\$ 1.21	\$ 9.18	11.6%	7,114	88,740	105		85%	95%	30 min.	30	30	1.50	0%	No
110	Exp	3,6	9,918	(28.4%)	78	10.7	\$ 12.47	\$ 1.25	\$ 11.22	10.0%	933	20,094	110		90%	99%	30 min.	20/30	-	1.50	0%	No
115	Std	7,9,LM,EC	53,673	89.9%	365	6.4	\$ 13.09	\$ 1.20	\$ 11.89	9.2%	8,451	92,459	115		85%	96%	30 min.	30	30	1.50	0%	No
120	Frq	3,6,7	186,581	29.7%	1,178	10.9	\$ 12.14	\$ 1.23	\$ 10.92	10.1%	17,134	180,926	120		85%	90%	15 min.	15/30	15/30	1.50	0%	No
140~	Exp	1,2	3,972	100.0%	104	2.9	\$ 45.53	\$ 1.46	\$ 44.06	3.2%	1,387	16,408	140		90%		30 min.	15	30			
150~~	Exp	1,2,3	172,077	59.8%	1,560	17.6	\$ 7.54	\$ 1.17	\$ 6.36	15.6%	9,762	155,282	150		90%	92%	30 min.	7.5/15/30	30	1.50	0%	No
201/202^	Rpd	1	702,854	349.3%	4,753	32.0	\$ 4.15	\$ 1.26	\$ 2.89	30.4%	22,028	192,214	201/202^		85%	97%	15 min.	5	10	1.50	0%	No
204^	Rpd	1	21,043	332.2%	166	10.1	\$ 13.11	\$ 1.24	\$ 11.87	9.5%	2,079	15,504	204^		85%	81%	15 min.	30	30	1.50	0%	No
215^	Rpd	3,9	501,580	34.5%	2,978	16.9	\$ 7.87	\$ 1.21	\$ 6.66	15.4%	29,880	297,485	215^		85%	94%	15 min.	10	15	1.50	0%	No
225^	Rpd	3,8,CV	181,950	51.6%	1,147	8.4	\$ 18.40	\$ 1.50	\$ 16.90	8.1%	21,724	440,476	225^	✓	85%	92%	15 min.	15	30	1.50	0%	No

San Diego Metropolitan Transit System
POLICY 42 PERFORMANCE MONITORING REPORT
FY 2022: JULY 2021 - DECEMBER 2021

FY 2022 SEMI-ANNUAL ROUTE STATISTICS (Q1-Q2)																						
BASE STATISTICS													TITLE VI MONITORING (FY 2021 Annual Statistics) -									
Route	Cat	Jurisdiction (#SD Dist.)	Q1-Q2 Passengers	FY21-22 % Change	Avg. Wkdy. Psgrs.	Psgrs./ Rev. Hr.	Cost/ Psgr.	Average Fare	Subsidy/ Psgr.	Farebox Recovery	Budgeted Rev.Svc.		Route	Minority Route	On-Time Perf.		Weekday Headway			Vehicle Load Factor --		
											Hours	Miles			Goal/	Actual	Goal/	Peak	Base	Goal	%trips over VLF	> 20%?
235^	Rpd	3,5,6,9,Esc	418,600	26.2%	2,655	12.6	\$ 10.50	\$ 1.22	\$ 9.28	11.6%	33,249	782,975	235^		85%	92%	15 min.	15	15	1.50	0%	No
237^	Rpd	1,6	57,451	144.5%	452	9.7	\$ 13.66	\$ 1.23	\$ 12.43	9.0%	5,922	72,739	237^	✓	85%	97%	15 min.	15	-	1.50	0%	No
280	RpEx	3,5,Esc	16,917	96.3%	133	9.5	\$ 27.52	\$ 3.26	\$ 24.26	11.8%	1,786	56,380	280		90%	97%	30 min.	15	-	1.00	0%	No
290	RpEx	3,5	17,826	168.0%	140	10.7	\$ 19.50	\$ 2.96	\$ 16.54	15.2%	1,672	42,053	290		90%	98%	30 min.	10	-	1.00	0%	No
701	Frq	CV	141,165	48.2%	1,013	11.0	\$ 7.21	\$ 1.17	\$ 6.04	16.2%	12,945	129,624	701	✓	85%	92%	15 min.	15	15	1.50	0%	No
704	Std	CV	127,206	44.8%	885	12.1	\$ 7.01	\$ 1.19	\$ 5.82	17.0%	10,612	113,674	704	✓	85%	93%	30 min.	30	30	1.50	0%	No
705	Std	CV,NC,Cty	59,306	60.9%	435	10.2	\$ 6.73	\$ 1.19	\$ 5.53	17.8%	5,861	50,886	705	✓	85%	95%	30 min.	30/60	30/60	1.50	0%	No
707	Std	CV	33,343	68.7%	263	6.7	\$ 10.57	\$ 1.19	\$ 9.38	11.3%	4,991	44,734	707	✓	85%	92%	30 min.	30	30	1.50	0%	No
709	Frq	CV	198,224	53.2%	1,364	13.3	\$ 6.58	\$ 1.17	\$ 5.42	17.7%	15,584	171,260	709	✓	85%	93%	15 min.	7.5/15	15	1.50	0%	No
712	Frq	CV	172,632	52.1%	1,180	14.3	\$ 5.61	\$ 1.17	\$ 4.44	20.8%	12,093	123,362	712	✓	85%	94%	15 min.	15	15	1.50	0%	No
815	Frq	EC	121,667	16.1%	793	14.3	\$ 4.05	\$ 1.24	\$ 2.81	30.6%	8,582	63,651	815		85%	93%	15 min.	15	15	1.50	0%	No
816	Std	EC,Cty	37,124	14.2%	291	8.6	\$ 9.92	\$ 1.28	\$ 8.65	12.9%	4,328	47,562	816		85%	95%	30 min.	30	30	1.50	0%	No
832	Std	ST	9,473	80.4%	69	7.1	\$ 10.94	\$ 1.20	\$ 9.74	11.0%	1,343	14,082	832		85%	91%	30 min.	60	60	1.50	0%	No
833	Std	EC,ST	27,340	23.1%	173	7.4	\$ 9.58	\$ 1.11	\$ 8.48	11.5%	3,707	36,737	833		85%	88%	30 min.	35-45	35-45	1.50	0%	No
834	Std	ST	9,207	86.6%	72	7.6	\$ 10.43	\$ 1.27	\$ 9.16	12.2%	1,209	12,400	834		85%	91%	30 min.	60	60	1.50	0%	No
838	Std	Cty	58,173	6.2%	318	8.2	\$ 8.66	\$ 1.13	\$ 7.53	13.1%	5,209	78,287	838		85%	86%	30 min.	60	60	1.50	0%	No
848	Std	EC,Cty	77,583	11.9%	489	9.7	\$ 7.71	\$ 1.22	\$ 6.49	15.8%	8,058	77,200	848		85%	93%	30 min.	30	30	1.50	0%	No
851	Circ	LM,Cty	17,408	42.2%	137	10.0	\$ 7.11	\$ 1.12	\$ 6.00	15.7%	1,756	20,418	851	✓	90%	95%	60 min.	60	60	1.00	0%	No
852	Std	4,9,LM	83,796	31.0%	522	9.0	\$ 7.81	\$ 1.23	\$ 6.58	15.8%	9,362	84,757	852		85%	92%	30 min.	30	30	1.50	0%	No
854	Std	7,LM	13,199	40.7%	104	7.5	\$ 11.08	\$ 1.22	\$ 9.86	11.0%	1,769	18,828	854		85%	96%	30 min.	30/60	30/60	1.50	0%	No
855	Std	LM,Cty	53,950	25.6%	361	11.8	\$ 6.19	\$ 1.23	\$ 4.96	19.9%	4,585	43,237	855		85%	96%	30 min.	30	30	1.50	0%	No
856	Std	4,9,LG,Cty	138,788	22.0%	975	11.7	\$ 7.13	\$ 1.23	\$ 5.90	17.3%	11,962	128,136	856	✓	85%	90%	30 min.	30	30	1.50	0%	No
864	Std	EC,Cty	115,638	17.5%	697	15.0	\$ 4.46	\$ 1.25	\$ 3.22	27.9%	7,790	66,672	864		85%	92%	30 min.	30	30	1.50	0%	No
872	Std	EC	10,983	24.8%	86	6.6	\$ 8.05	\$ 1.22	\$ 6.83	15.1%	1,668	11,422	872		85%	94%	30 min.	30	30	1.50	0%	No
874/875	Std	EC	97,038	16.1%	642	11.3	\$ 6.64	\$ 1.25	\$ 5.39	18.8%	8,660	83,346	874/875		85%	94%	30 min.	30	30	1.50	0%	No
888	Rural	EC,Cty	521	2.6%	10	1.7	\$ 135.57	\$ 4.24	\$ 131.33	3.1%	281	8,917	888									
891	Rural	EC,Cty	152	(38.0%)	6	1.1	\$ 207.99	\$ 4.63	\$ 203.36	2.2%	165	4,584	891									
892	Rural	EC,Cty	188	63.5%	7	1.3	\$ 179.45	\$ 5.84	\$ 173.60	3.3%	171	4,561	892									
894	Rural	EC,Cty	19,148	25.4%	151	9.2	\$ 20.93	\$ 3.94	\$ 16.99	18.8%	2,765	51,077	894									
901	Frq	3,8,IB,Cor	234,567	39.1%	1,456	11.2	\$ 9.49	\$ 1.19	\$ 8.31	12.5%	21,090	283,466	901		85%	87%	15 min.	15	30	1.50	0%	No
904*	Circ	Cor	43,727	862.5%	237	9.7	\$ 4.06	\$ 0.10	\$ 3.97	2.4%	4,415	22,166	904*		90%	92%	60 min.	60	60	1.50	0%	No
905	Std	8	176,995	54.3%	1,282	22.9	\$ 4.84	\$ 1.23	\$ 3.61	25.3%	7,802	110,156	905	✓	85%	87%	30 min.	15/30	30	1.50	0%	No
906/907	Frq	8	432,631	17.3%	2,727	19.8	\$ 2.80	\$ 1.17	\$ 1.63	41.9%	22,012	155,176	906/907	✓	85%	91%	15 min.	15	15	1.50	0%	No
909	Circ	8	22,869	88.6%	180	12.4	\$ 7.81	\$ 1.27	\$ 6.54	16.3%	1,846	22,692	909	✓	90%	96%	60 min.	60+	60+	1.5	0%	No
916/917	Std	4,LG	42,836	15.9%	295	7.4	\$ 11.93	\$ 1.13	\$ 10.80	9.5%	5,867	67,488	916/917	✓	85%	89%	30 min.	30/60	30/60	1.50	0%	No
921	Std	1,6	70,596	61.8%	422	8.9	\$ 8.17	\$ 1.22	\$ 6.95	14.9%	7,976	77,824	921	✓	85%	94%	30 min.	30	30	1.50	0%	No
923	Std	2,3	54,098	48.6%	425	8.0	\$ 8.97	\$ 1.18	\$ 7.80	13.1%	6,760	61,722	923		85%	91%	30 min.	30	30	1.50	0%	No
928	Std	6,7	58,047	1.6%	407	7.9	\$ 11.25	\$ 1.27	\$ 9.98	11.3%	7,404	84,242	928		85%	93%	30 min.	30	30	1.50	0%	No
929	Frq	3,8,CV,NC	564,542	18.9%	3,584	17.6	\$ 4.44	\$ 1.18	\$ 3.26	26.5%	32,270	320,240	929	✓	85%	84%	15 min.	12	15	1.00	0%	No
932	Frq	8,CV,NC	320,778	34.0%	2,149	15.9	\$ 4.85	\$ 1.17	\$ 3.69	24.1%	20,346	198,944	932	✓	85%	90%	15 min.	15	15	1.50	0%	No
933/934	Frq	8,IB	476,480	42.7%	3,147	16.6	\$ 5.62	\$ 1.17	\$ 4.45	20.8%	28,932	342,088	933/934	✓	85%	89%	15 min.	12	15	1.50	0%	No
936	Std	4,9,LG,Cty	122,009	11.5%	686	11.7	\$ 5.86	\$ 1.23	\$ 4.63	21.0%	10,563	92,322	936	✓	85%	90%	30 min.	30	30	1.50	0%	No
944	Std	5,PW	17,376	31.9%	126	4.5	\$ 15.88	\$ 1.13	\$ 14.75	7.1%	3,915	42,142	944		85%	96%	30 min.	30	30	1.00	0%	No
945	Std	5,PW	39,110	49.5%	281	6.5	\$ 10.97	\$ 1.10	\$ 9.87	10.0%	6,107	85,015	945		85%	94%	30 min.	30	30	1.50	0%	No
945A	Std	PW	3,538	#DIV/0!	-	6.2	\$ -	\$ -	\$ -	9.7%	535	7,060	945A		85%	96%	30 min.	30	30	1.50	0%	No
950	Exp	8	100,957	30.0%	685	26.2	\$ 5.25	\$ 1.23	\$ 4.02	23.5%	3,915	67,542	950	✓	90%	98%	30 min.	12/20	20	1.50	0%	No
955	Frq	4,8,9,NC	389,518	29.5%	2,523	15.9	\$ 4.59	\$ 1.15	\$ 3.44	25.0%	24,723	228,378	955	✓	85%	91%	15 min.	12	12	1.50	0%	No

San Diego Metropolitan Transit System
POLICY 42 PERFORMANCE MONITORING REPORT
FY 2022: JULY 2021 - DECEMBER 2021

FY 2022 SEMI-ANNUAL ROUTE STATISTICS (Q1-Q2)																						
BASE STATISTICS													TITLE VI MONITORING (FY 2021 Annual Statistics) ~									
Route	Cat	Jurisdiction (#SD Dist.)	Q1-Q2 Passengers	FY21-22 % Change	Avg. Wkdy. Psgs.	Psgrs./ Rev. Hr.	Cost/ Psgr.	Average Fare	Subsidy/ Psgr.	Farebox Recovery	Budgeted Rev.Svc.		Route	Minority Route	On-Time Perf.		Weekday Headway			Vehicle Load Factor ~~		
											Hours	Miles			Goal	Actual	Goal	Peak	Base	Goal	%trips over VLF	> 20%?
961	Frq	4.NC	172,070	60.0%	1,097	14.6	\$ 5.52	\$ 1.19	\$ 4.33	21.5%	11,838	121,308	961	✓	85%	94%	15 min.	15/30	15/30	1.50	0%	No
962	Frq	4.NC,Cty	176,834	19.5%	1,114	13.6	\$ 5.84	\$ 1.18	\$ 4.66	20.1%	13,037	131,676	962	✓	85%	91%	15 min.	15	15	1.50	0%	No
963	Std	4.NC	46,736	20.7%	294	9.9	\$ 6.56	\$ 1.19	\$ 5.37	18.1%	4,761	39,068	963	✓	85%	93%	30 min.	30	30	1.50	0%	No
964	Circ	5.6	39,205	53.8%	309	7.6	\$ 9.30	\$ 1.12	\$ 8.17	12.1%	5,152	49,196	964	✓	90%	93%	60 min.	30	30	1.00	0%	No
965	Circ	9	17,653	34.6%	120	7.4	\$ 9.52	\$ 1.08	\$ 8.43	11.4%	2,391	24,331	965	✓	90%	87%	60 min.	35-45	35-45	1.00	0%	No
967	Std	4.NC	12,548	55.2%	99	7.0	\$ 10.17	\$ 1.09	\$ 9.08	10.8%	1,803	16,053	967	✓	85%	95%	30 min.	60	60	1.50	0%	No
968	Std	NC	16,301	70.2%	128	7.8	\$ 10.17	\$ 1.20	\$ 8.96	11.8%	2,083	21,047	968	✓	85%	92%	30 min.	60+	60+	1.50	0%	No
972**	Circ	1,6	2,015	77.7%	15	3.1	\$ 24.18	\$ 0.78	\$ 23.40	3.2%	655	7,605	972**							1.00	0%	No
973**	Circ	1,6	2,838	165.2%	22	4.3	\$ 17.50	\$ 0.78	\$ 16.73	4.4%	664	9,333	973**	✓						1.00	0%	No
974 ***	Circ	1	2,659	455.1%	21	4.3	\$ 17.18	\$ 0.78	\$ 16.40	4.5%	610	6,153	974 ***							1.00	0%	No
978**	Circ	1	2,852	364.5%	22	4.4	\$ 16.97	\$ 0.78	\$ 16.20	4.6%	648	7,401	978**							1.00	0%	No
979**	Circ	1	1,776	78.5%	14	2.8	\$ 26.33	\$ 0.78	\$ 25.55	3.0%	626	5,720	979**							1.00	0%	No
985~	Circ	1	1,058	100.0%	39	3.4	\$ 20.90	\$ 1.37	\$ 19.53	6.6%	312	3,554	985		90%		15 min.	15	15			
992	Frq	2,3	125,918	72.5%	692	10.9	\$ 5.72	\$ 1.26	\$ 4.46	22.0%	11,644	92,103	992		85%	78%	15 min.	15	15	1.50	0%	No
Access	D.R.	ALL	81,846	86.3%	458	1.4	\$ 74.43	\$ 4.28	\$ 70.15	5.8%			FTA defines Minority persons to include the following: (1) American Indian and Alaska Native, (2) Asian, (3) Black or African American, (4) Hispanic or Latino, (5) Native Hawaiian or Other Pacific Islander. FTA defines Minority Route as one with at least 1/3 of its total mileage in a census block(s) with a percentage of minority population that exceeds the percentage of minority population in the entire MTS service area. Source: https://www.transit.dot.gov/sites/fta.dot.gov/files/dovs/FTA_Title_VI_FINAL.pdf									
Taxi	D.R.	ALL	9,349	68.4%	51	2.8	\$ 37.40	\$ 4.59	\$ 32.81	12.3%												
TOTAL			27,073,261	41.8%	169,235	24.1	\$ 5.71	\$ 0.89	\$ 4.82	15.6%	1,057,621	12,454,603										

Route Category	Q1-Q2 Passengers	FY19-20 % Change	Avg. Wkday. Psgs.	Psgs./ Rev. Hr.	Cost/ Psg.	Average Fare	Subsidy/ Psg.	Farebox Recovery
Urban Frequent	8,652,558	36.0%	54,968	15.1	\$ 6.73	\$ 1.19	\$ 5.54	17.7%
Urban Standard	2,164,969	33.4%	14,543	10.7	\$ 7.70	\$ 1.20	\$ 6.50	15.6%
Rapid ^	1,883,478	86.6%	12,150	16.5	\$ 8.32	\$ 1.26	\$ 7.06	15.2%
Express	477,411	39.8%	3,311	12.6	\$ 10.57	\$ 1.21	\$ 9.36	11.5%
Circulator	232,850	86.5%	1,660	6.9	\$ 9.61	\$ 0.93	\$ 8.68	9.6%
Premium/Rapid Express	34,743	127.5%	274	10.0	\$ 23.40	\$ 3.11	\$ 20.30	13.3%
Rural ^^	20,009	24.0%	158	7.5	\$ 26.83	\$ 3.97	\$ 22.85	14.8%
Fixed Bus Subtotal	13,466,018	41.9%	87,063	13.9	\$ 7.37	\$ 1.21	\$ 6.16	16.4%
Light Rail (B,O,G)	13,515,233	41.6%	81,663	137.2	\$ 3.62	\$ 0.55	\$ 3.07	15.2%
Light Rail (Silver)	815	893.9%	-	11.9	\$ 41.68	\$ 0.41	\$ 41.26	1.0%
Light Rail Subtotal	13,516,048	41.6%	81,663	137.2	\$ 3.63	\$ 0.55	\$ 3.08	15.2%
ALL Fixed-Route	26,982,066	41.7%	168,726	25.3	\$ 5.49	\$ 0.88	\$ 4.61	16.0%
MTS Access	81,846	86.3%	458	1.4	\$ 74.43	\$ 4.28	\$ 70.15	5.8%
Access Taxi	9,349	68.4%	51	2.8	\$ 37.40	\$ 4.59	\$ 32.81	12.3%
Demand-Resp Subtotal	91,195	84.3%	508	1.5	\$ 70.64	\$ 4.31	\$ 66.32	6.1%
System Total	27,073,261	41.8%	169,235	24.1	\$ 5.71	\$ 0.89	\$ 4.82	15.6%

* City of Coronado subsidized fares for summer service on Route 904.

** SVCC Fares and one-half of the subsidy are paid for by NCTD.

*** Route 974 SVCC connection to UCSD service starts January 2020

^ SANDAG reimburses MTS for net operating costs for Routes 201-237 (TransNet funds).

^^ Routes 888, 891, 892, and 894 receive federal rural operating subsidy.

~ Routes 43, 140, 985 are new routes starting Nov 21, 2021 with opening of Mid-Coast.

~~ Routes 50 and 150 discontinued starting Nov 21, 2021 with opening of Mid-Coast.

& Rural and Demand Response services have no specific Policy 42 goals for on-time performance, headway, or vehicle load.

NC=National City, CV=Chula Vista

IB=Imperial Beach, LG=Lemon Grove, LM=La Mesa

EC=El Cajon, ST=Santee, PW=Poway

Cor=Coronado, Cty=County Uninc., Esc=Escondido

SD Dist.=City of San Diego Council District

SERVICE AVAILABILITY		
Goal	Actual	
80% of residents or jobs within 1/4 mile of a bus stop or rail station in urban area	% of residents within 1/2 mile of a bus stop or rail station in urban areas:	% of jobs within 1/2 mile of a bus stop or rail station in urban areas:
	99.0%	99.2%
100% of suburban residences within 5 miles of a bus stop or rail station.	% of suburban residents within 5 miles of a bus stop or rail station:	
	100.0%	
One return trip at least 2 days/week to destinations from rural villages (defined as Lakeside and Alpine).	Available Service:	
	Route 848 serves Lakeside seven days a week and Route 838 serves Alpine seven days a week.	

See attached map entitled "Metropolitan Transit System Area of Jurisdiction."

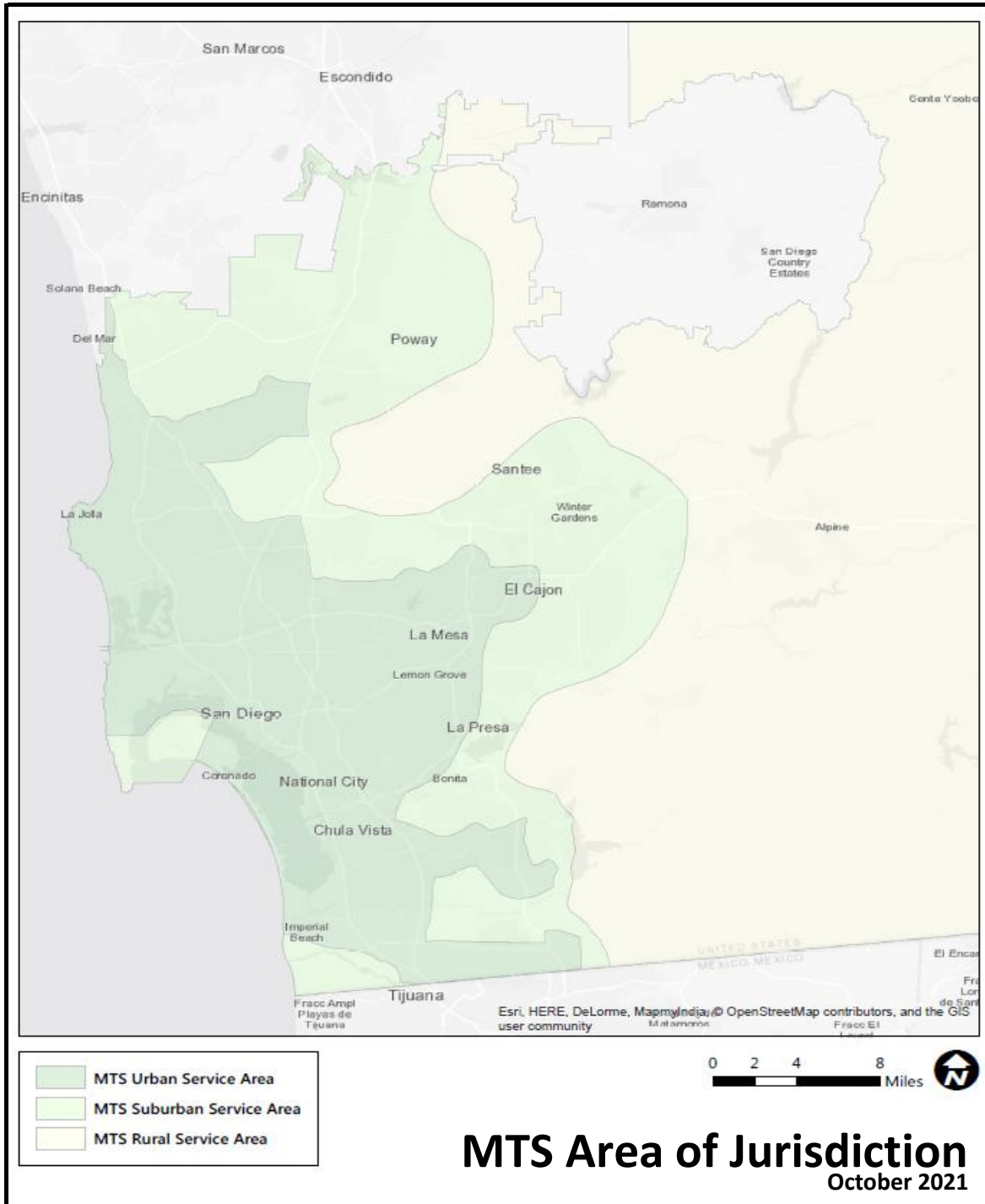
~ Title VI Monitoring statistics are updated on an annual basis

~~ No trips averaged above the vehicle load factor target (1.5 for most bus routes, 3.0 for Trolley).

San Diego Metropolitan Transit System
POLICY 42 PERFORMANCE MONITORING REPORT
FY 2021: JULY 2021 - DECEMBER 2021

Att.A, AI 46, 02/10/22

Date: 1/21/22 rev





FY 2022 Q1-Q2 Performance Monitoring Report

MTS Board of Directors
February 10, 2022

Policy 42 Evaluation Criteria

CUSTOMER FOCUSED/COMPETITIVE		INTEGRATED	SUSTAINABLE	
PRODUCTIVITY	QUALITY	CONNECTIVITY	RESOURCES	EFFICIENCY
<ul style="list-style-type: none"> • Total Passengers • Average Weekday Passengers • Passengers/ Revenue Hour • Passengers/ In-Service Hour 	<ul style="list-style-type: none"> • Passenger Load Factor • On-Time Performance • Accidents/ 100,000 Miles • Comments/ 100,000 Passengers • Mean Distance Between Failures 	<ul style="list-style-type: none"> • Route Headway • Span-of- Service Consistency • Service Availability 	<ul style="list-style-type: none"> • In-Service Miles • In-Service Hours • Peak Vehicle Requirement 	<ul style="list-style-type: none"> • In-Service Speed • In-Service/Total Miles • In-Service/Total Hours • Farebox Recovery Ratio • Subsidy/Passenger

Ridership

- FY 2020 (pre-pandemic) 6-month average weekday ridership was **283k**
- FY 2021 was low-point at 117k
- FY 2022 rebounded somewhat – up 44% to **169k** (60% of FY 2020)
 - Many people still not back to work
 - In Fall 2021, UCSD was only college fully in-person
 - Mid-Coast helped boost ridership, but opened during the holidays, rainy Dec.
 - Riders on commuter services slowest to return (still down 75%)
 - Other modes surprisingly consistent at approx. 55% of pre-pandemic
- Outlook for full year FY 2022:
 - January ridership flat with Omicron impacts
 - All colleges all virtual for January, some for entire Spring semester
 - Some missed service due to driver shortages, addressed with January 2022 changes

Total Passengers

Q1/Q2 (six-month totals)

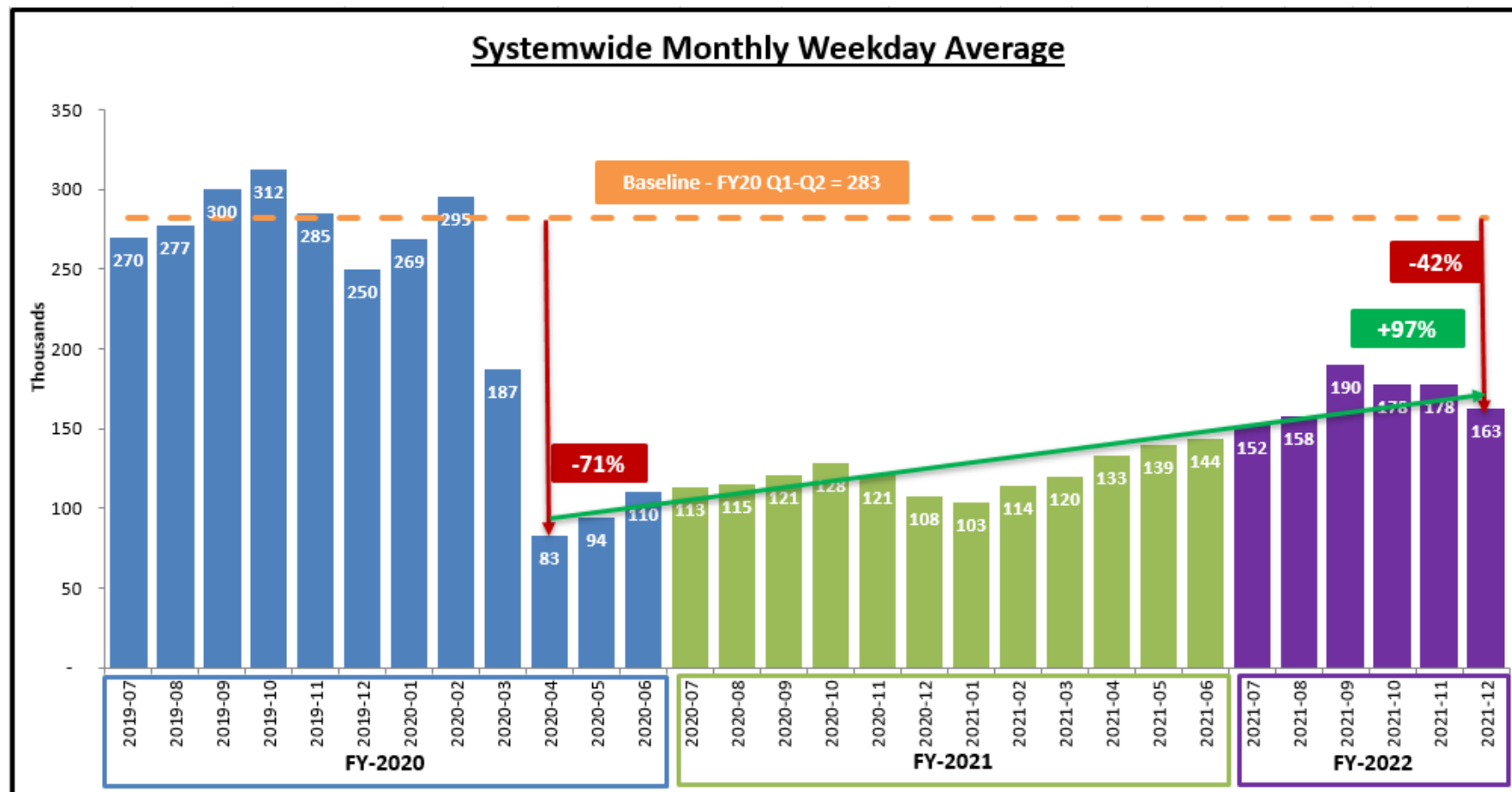
- **Policy 42 GOAL** is a year-over-year improvement by Route, Category, and System
- Will meet goal in FY 2022 due to very low FY 2021
- Ridership steady at ~55-65% of baseline since Summer 2021.

Route Categories	FY 2020 <i>July-Dec.</i>	FY 2021 <i>July-Dec.</i>	FY 2022 <i>July-Dec.</i>	% Change FY21-FY22
Urban Frequent	15,317,678	6,362,058	8,652,558	36.0%
Urban Standard	3,787,951	1,622,406	2,164,969	33.4%
Rapid	3,551,875	1,009,420	1,883,478	86.6%
Express	1,012,521	341,436	477,411	39.8%
Circulator	464,026	124,856	232,850	86.5%
Rapid Express	141,280	15,271	34,743	127.5%
Rural	35,944	16,132	20,009	24.0%
Fixed-Route Bus	24,311,275	9,491,579	13,466,018	41.9%
Light Rail	19,819,995	9,546,665	13,516,048	41.6%
All Fixed-Route	44,131,270	19,038,244	26,982,066	41.7%
MTS Access	233,087	49,475	91,195	84.3%
System	44,364,357	19,087,719	27,073,261	41.8%
<i>Average Weekday</i>	<i>282,548</i>	<i>117,493</i>	<i>169,235</i>	<i>44.0%</i>

Weekday Average

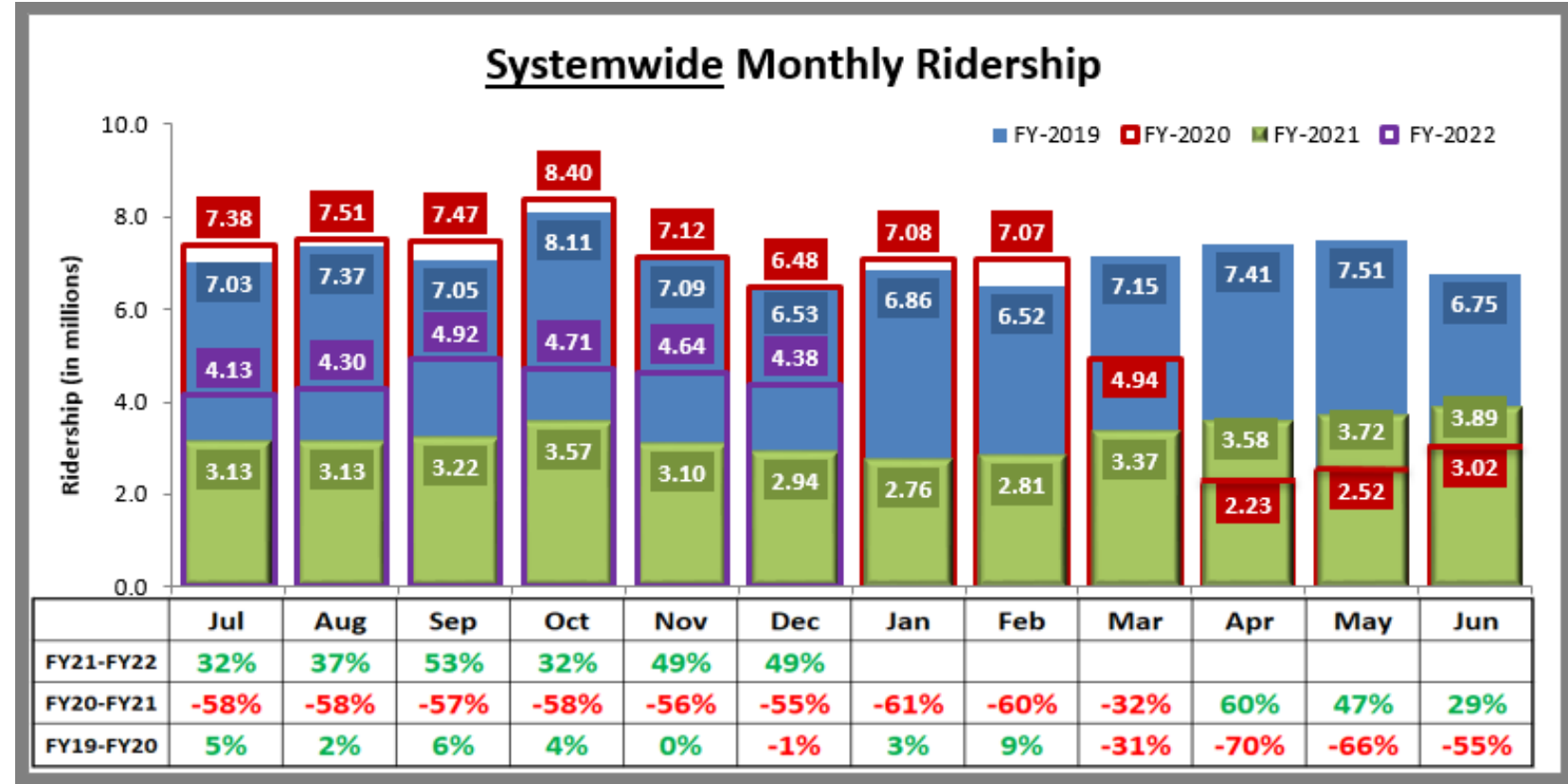
Compared to pandemic low-point of 83k in April 2020 (29% of baseline):

- June 2021 = 73% higher (144k)
- Sept 2021 = 129% higher (190k)
- Dec 2021 = 96% higher (163k)
(58% of Fall 2019 baseline)



Monthly Passengers

- Ridership for Q1-Q2 of FY 2022 increased 42% compared to Q1-Q2 of FY 2021



Passengers Per Revenue Hour

- Q1/Q2 (six-month totals)
- **Policy 42 GOAL** is to improve the route category average
- Trend follows ridership because capacity (scheduled service) maintained at normal levels.

Route Categories	FY 2020 <i>July-Dec.</i>	FY 2021 <i>July-Dec.</i>	FY 2022 <i>July-Dec.</i>	% Change FY21-FY22
Urban Frequent	26.7	11.2	15.1	35.4%
Urban Standard	18.8	8.0	10.7	33.2%
Rapid	30.5	8.9	16.5	85.0%
Express	25.3	8.5	12.6	48.4%
Circulator	14.9	4.5	6.9	53.4%
Premium/Rapid Express	23.8	5.8	10.0	72.1%
Rural	14.3	6.1	7.5	23.0%
Fixed-Route Bus	25.0	9.9	13.9	40.7%
Light Rail	226.0	102.6	137.2	33.7%
All Fixed-Route	41.7	18.1	25.3	39.9%
MTS Access	2.1	1.4	1.5	7.4%
System	38.0	17.6	24.1	36.9%

On-Time Performance

- Policy 42 GOAL is 85% for Urban Frequent & Rapid, 90% for all other categories
- Most categories currently exceeding their targets due to fewer passengers and less traffic
 - Figures are coming down as traffic comes back

Route Categories	Service Change Period					GOAL
	June 2020	Sept. 2020	Jan. 2021	June 2021	Sept. 2021	
Urban Frequent	91.7%	91.9%	90.5%	87.8%	85.3%	85.0%
Urban Standard	92.8%	92.3%	91.9%	89.1%	86.8%	90.0%
Rapid	94.2%	94.0%	93.2%	90.2%	88.5%	85.0%
Express	95.1%	94.5%	94.5%	92.9%	92.3%	90.0%
Circulator	92.7%	93.1%	91.9%	87.8%	86.0%	90.0%
Premium/Rapid Express	91.3%	91.2%	97.6%	97.0%	94.8%	90.0%
Rural	N/A	N/A	N/A	N/A	N/A	
Demand-Resp. (Access & Taxi)	N/A	N/A	N/A	N/A	N/A	
Light Rail (Blue, Orange, Green)	98.0%	97.6%	97.4%	97.1%	95.7%	90.0%
Light Rail (Silver)	N/A	N/A	N/A	N/A	N/A	90.0%
System	92.8%	92.9%	91.9%	89.0%	86.8%	



FY 2022 Q1-Q2 Performance Monitoring Report

MTS Board of Directors
February 10, 2022



Agenda Item No. 47

MEETING OF THE SAN DIEGO METROPOLITAN TRANSIT SYSTEM BOARD OF DIRECTORS

February 10, 2022

SUBJECT:

OPERATIONS BUDGET STATUS REPORT FOR DECEMBER 2021 (GORDON MEYER)

INFORMATIONAL ONLY

Budget Impact

None.

DISCUSSION:

This report summarizes the year-to-date operating results for December 2021 compared to the fiscal year (FY) 2022 budget for the San Diego Metropolitan Transit System (MTS). The FY22 budget includes the projected impacts from the COVID-19 pandemic; therefore, variances are between actuals and the FY22 budget, inclusive of projected impacts from the pandemic. Attachment A-1 combines the operations', administrations' and other activities' results for December 2021. Attachment A-2 details the December 2021 combined operations' results and Attachments A-3 to A-7 present budget comparisons for each MTS operation. Attachment A-8 details budget comparisons for MTS Administration, and Attachment A-9 provides December 2021 results for MTS's other activities (For Hire Vehicle Administration/San Diego and Arizona Eastern Railway Company).

MTS NET-OPERATING SUBSIDY RESULTS

As indicated within Attachment A-1, for the year-to-date period ending December 2021, MTS's net-operating income favorable variance totaled \$7,110,000 (5.2%). Operations produced a \$5,688,000 (4.2%) favorable variance and the administrative/other activities areas were favorable by \$1,422,000.



MTS COMBINED RESULTS

Operating Revenues. Year-to-date combined revenues through December 2021 were \$35,547,000 compared to the year-to-date budget of \$34,202,000, representing a \$1,346,000 (3.9%) favorable variance. Year-to-date passenger revenue was favorable by \$546,000 (2.3%) through December. Passenger revenue was up \$1,471,000 (6.5%) versus the first six months of the prior year, while passenger levels were up 7,852,000 (41.1%) passengers over the same time period.

Other operating revenue was favorable by \$799,000 (7.5%), primarily due to favorable vehicle advertising revenue, auction sales, and miscellaneous revenue.

Operating Expenses. Year-to-date combined expenses through December 2021 were \$166,111,000 compared to the budget of \$171,875,000, resulting in a \$5,764,000 (3.4%) favorable variance.

Personnel Costs. Year-to-date personnel-related costs totaled \$76,667,000, compared to a budgetary figure of \$78,327,000, producing a favorable variance of \$1,661,000 (2.1%). This is primarily due to favorable bus operator wages, unemployment insurance, health and welfare expenses, and Mid-Coast cost recovery.

Outside Services and Purchased Transportation. Total outside services through six months of the fiscal year totaled \$56,410,000, compared to a budget of \$61,353,000, resulting in a favorable variance of \$4,943,000 (8.1%). This is primarily due to favorable purchased transportation costs for both fixed route service as well as paratransit service.

Materials and Supplies. Total year-to-date materials and supplies expenses were \$7,589,000, compared to a budgetary figure of \$6,708,000 resulting in an unfavorable variance of \$881,000 (-13.1%). This is primarily due to unfavorable revenue vehicle parts costs within Bus Operations. In FY21, MTS budgeted over \$2 million to install germs shields on the entire bus fleet. Some of those installations were completed in FY22, resulting in a favorable variance for FY21 and an unfavorable variance in the start of FY22.

Energy. Total year-to-date energy costs were \$19,291,000, compared to the budget of \$19,119,000, resulting in an unfavorable variance of \$172,000 (-0.9%). This is primarily due to unfavorable commodity rates for compressed natural gas.

Risk Management. Total year-to-date expenses for risk management were \$3,178,000 compared to the budget of \$3,377,000, resulting in a favorable variance totaling \$199,000 (5.9%).

General and Administrative. The year-to-date general and administrative costs were \$2,259,000 through December 2021, compared to a budget of \$2,277,000, resulting in a favorable variance of \$17,000 (0.8%).

Vehicle and Facility Leases. The year-to-date vehicle and facilities leases costs were \$718,000 compared to the budget of \$714,000 resulting in a \$3,000 (-0.4%) unfavorable variance.

YEAR-TO-DATE SUMMARY

The December 2021 year-to-date net-operating income totaled a favorable variance of \$7,110,000 (5.2%). These factors include favorable variances in operating revenue, personnel, outside services, and risk management; partially offset by unfavorable variances in materials and supplies, and energy.

/S/ Sharon Cooney

Sharon Cooney
Chief Executive Officer

Key Staff Contact: Julia Tuer, 619.557.4515, Julia.Tuer@sdmts.com

Attachment: A. Comparison to Budget

SAN DIEGO METROPOLITAN TRANSIT SYSTEM

MTS
CONSOLIDATEDCOMPARISON TO BUDGET - FISCAL YEAR 2022
DECEMBER 31, 2021
(in \$000's)

	YEAR TO DATE			
	ACTUAL	BUDGET	VARIANCE	VAR. %
Passenger Revenue	\$ 24,072	\$ 23,525	\$ 546	2.3%
Other Revenue	11,475	10,676	799	7.5%
Total Operating Revenue	\$ 35,547	\$ 34,202	\$ 1,346	3.9%
Personnel costs	\$ 76,667	\$ 78,327	\$ 1,661	2.1%
Outside services	56,410	61,353	4,943	8.1%
Materials and supplies	7,589	6,708	(881)	-13.1%
Energy	19,291	19,119	(172)	-0.9%
Risk management	3,178	3,377	199	5.9%
General & administrative	2,259	2,277	17	0.8%
Vehicle/facility leases	718	714	(3)	-0.4%
Administrative Allocation	-	(0)	(0)	0.0%
Total Operating Expenses	\$ 166,111	\$ 171,875	\$ 5,764	3.4%
Operating Income (Loss)	\$ (130,564)	\$ (137,674)	\$ 7,110	5.2%
Total Non-Operating Activities	(1)	279	(281)	-100.5%
Income (Loss) before Capital Contributions	\$ (130,565)	\$ (137,394)	\$ 6,829	-5.0%

SAN DIEGO METROPOLITAN TRANSIT SYSTEM

OPERATIONS
CONSOLIDATED

COMPARISON TO BUDGET - FISCAL YEAR 2022

DECEMBER 31, 2021

(in \$000's)

	YEAR TO DATE			
	ACTUAL	BUDGET	VARIANCE	VAR. %
Passenger Revenue	\$ 24,072	\$ 23,525	\$ 546	2.3%
Other Revenue	581	434	147	33.8%
Total Operating Revenue	\$ 24,652	\$ 23,959	\$ 693	2.9%
Personnel costs	\$ 64,118	\$ 65,468	\$ 1,350	2.1%
Outside services	48,405	52,824	4,418	8.4%
Materials and supplies	7,361	6,699	(661)	-9.9%
Energy	18,812	18,641	(171)	-0.9%
Risk management	2,870	2,944	74	2.5%
General & administrative	459	481	21	4.5%
Vehicle/facility leases	618	581	(36)	-6.2%
Administrative Allocation	12,127	12,127	(0)	0.0%
Total Operating Expenses	\$ 154,770	\$ 159,764	\$ 4,995	3.1%
Operating Income (Loss)	\$ (130,117)	\$ (135,805)	\$ 5,688	4.2%
Total Non-Operating Activities	(43)	204	(246)	-120.9%
Income (Loss) before Capital Contributions	\$ (130,160)	\$ (135,602)	\$ 5,441	-4.0%

SAN DIEGO METROPOLITAN TRANSIT SYSTEM
OPERATIONS
BUS - DIRECTLY OPERATED (SAN DIEGO TRANSIT CORP.)
COMPARISON TO BUDGET - FISCAL YEAR 2022
DECEMBER 31, 2021
(in \$000's)

	YEAR TO DATE			
	ACTUAL	BUDGET	VARIANCE	VAR. %
Passenger Revenue	\$ 7,731	\$ 6,355	\$ 1,376	21.6%
Other Revenue	66	2	65	3740.6%
Total Operating Revenue	\$ 7,797	\$ 6,357	\$ 1,440	22.7%
Personnel costs	\$ 42,272	\$ 42,403	\$ 131	0.3%
Outside services	721	1,043	322	30.8%
Materials and supplies	3,498	3,128	(370)	-11.8%
Energy	3,826	3,616	(210)	-5.8%
Risk management	1,171	1,247	75	6.0%
General & administrative	211	213	2	0.8%
Vehicle/facility leases	181	198	17	8.6%
Administrative Allocation	2,022	2,022	-	0.0%
Total Operating Expenses	\$ 53,902	\$ 53,869	\$ (33)	-0.1%
Operating Income (Loss)	\$ (46,105)	\$ (47,512)	\$ 1,407	3.0%
Total Non-Operating Activities	(164)	82	(246)	-298.9%
Income (Loss) before Capital Contributions	\$ (46,269)	\$ (47,430)	\$ 1,161	-2.4%

SAN DIEGO METROPOLITAN TRANSIT SYSTEM

OPERATIONS

RAIL (SAN DIEGO TROLLEY INC.)

COMPARISON TO BUDGET - FISCAL YEAR 2022

DECEMBER 31, 2021

(in \$000's)

	YEAR TO DATE			
	ACTUAL	BUDGET	VARIANCE	VAR. %
Passenger Revenue	\$ 7,435	\$ 10,069	\$ (2,634)	-26.2%
Other Revenue	514	432	82	19.0%
Total Operating Revenue	\$ 7,949	\$ 10,501	\$ (2,552)	-24.3%
Personnel costs	\$ 21,460	\$ 22,689	\$ 1,229	5.4%
Outside services	3,252	3,451	199	5.8%
Materials and supplies	3,438	3,542	104	2.9%
Energy	10,015	10,703	688	6.4%
Risk management	1,689	1,689	1	0.1%
General & administrative	242	260	18	6.8%
Vehicle/facility leases	250	208	(42)	-20.0%
Administrative Allocation	8,682	8,682	(0)	0.0%
Total Operating Expenses	\$ 49,028	\$ 51,224	\$ 2,197	4.3%
Operating Income (Loss)	\$ (41,078)	\$ (40,723)	\$ (355)	-0.9%
Total Non-Operating Activities	0	-	0	-
Income (Loss) before Capital Contributions	\$ (41,078)	\$ (40,723)	\$ (355)	0.9%

SAN DIEGO METROPOLITAN TRANSIT SYSTEM

OPERATIONS

BUS - CONTRACTED SERVICES (FIXED ROUTE)

COMPARISON TO BUDGET - FISCAL YEAR 2022

DECEMBER 31, 2021

(in \$000's)

	YEAR TO DATE			
	ACTUAL	BUDGET	VARIANCE	VAR. %
Passenger Revenue	\$ 8,513	\$ 6,570	\$ 1,942	29.6%
Other Revenue	-	-	-	-
Total Operating Revenue	\$ 8,513	\$ 6,570	\$ 1,942	29.6%
Personnel costs	\$ 310	\$ 324	\$ 14	4.4%
Outside services	38,827	40,513	1,686	4.2%
Materials and supplies	425	25	(400)	-1598.5%
Energy	4,520	3,894	(626)	-16.1%
Risk management	-	-	-	-
General & administrative	4	2	(1)	-57.6%
Vehicle/facility leases	16	30	15	49.1%
Administrative Allocation	1,176	1,176	-	0.0%
Total Operating Expenses	\$ 45,277	\$ 45,964	\$ 688	1.5%
Operating Income (Loss)	\$ (36,764)	\$ (39,394)	\$ 2,630	6.7%
Total Non-Operating Activities	-	-	-	-
Income (Loss) before Capital Contributions	\$ (36,764)	\$ (39,394)	\$ 2,630	-6.7%

SAN DIEGO METROPOLITAN TRANSIT SYSTEM

OPERATIONS

BUS - CONTRACTED SERVICES (PARATRANSIT)

COMPARISON TO BUDGET - FISCAL YEAR 2022

DECEMBER 31, 2021

(in \$000's)

	YEAR TO DATE			
	ACTUAL	BUDGET	VARIANCE	VAR. %
Passenger Revenue	\$ 393	\$ 531	\$ (138)	-25.9%
Other Revenue	-	-	-	-
Total Operating Revenue	\$ 393	\$ 531	\$ (138)	-25.9%
Personnel costs	\$ 76	\$ 52	\$ (24)	-45.7%
Outside services	5,484	7,695	2,211	28.7%
Materials and supplies	-	4	4	-
Energy	450	428	(22)	-5.2%
Risk management	10	8	(3)	-34.0%
General & administrative	2	6	4	59.8%
Vehicle/facility leases	172	145	(26)	-18.3%
Administrative Allocation	247	247	-	0.0%
Total Operating Expenses	\$ 6,442	\$ 8,585	\$ 2,144	25.0%
Operating Income (Loss)	\$ (6,048)	\$ (8,054)	\$ 2,006	24.9%
Total Non-Operating Activities	-	-	-	-
Income (Loss) before Capital Contributions	\$ (6,048)	\$ (8,054)	\$ 2,006	-24.9%

SAN DIEGO METROPOLITAN TRANSIT SYSTEM

OPERATIONS
CORONADO FERRYCOMPARISON TO BUDGET - FISCAL YEAR 2022
DECEMBER 31, 2021
(in \$000's)

	YEAR TO DATE			
	ACTUAL	BUDGET	VARIANCE	VAR. %
Passenger Revenue	\$ -	\$ -	\$ -	-
Other Revenue	-	-	-	-
Total Operating Revenue	\$ -	\$ -	\$ -	-
Personnel costs	\$ -	\$ -	\$ -	-
Outside services	121	121	(0)	0.0%
Materials and supplies	-	-	-	-
Energy	-	-	-	-
Risk management	-	-	-	-
General & administrative	-	-	-	-
Vehicle/facility leases	-	-	-	-
Administrative Allocation	-	-	-	0.0%
Total Operating Expenses	\$ 121	\$ 121	\$ (0)	0.0%
Operating Income (Loss)	\$ (121)	\$ (121)	\$ (0)	0.0%
Total Non-Operating Activities	121	121	(0)	0.0%
Income (Loss) before Capital Contributions	\$ 0	\$ 0	\$ (0)	-63.4%

SAN DIEGO METROPOLITAN TRANSIT SYSTEM

ADMINISTRATION
CONSOLIDATED

COMPARISON TO BUDGET - FISCAL YEAR 2022

DECEMBER 31, 2021

(in \$000's)

	YEAR TO DATE			
	ACTUAL	BUDGET	VARIANCE	VAR. %
Passenger Revenue	\$ (0)	\$ -	\$ (0)	-
Other Revenue	10,703	10,123	580	5.7%
Total Operating Revenue	\$ 10,703	\$ 10,123	\$ 580	5.7%
Personnel costs	\$ 12,334	\$ 12,598	\$ 264	2.1%
Outside services	7,995	8,472	476	5.6%
Materials and supplies	229	8	(221)	-2632.5%
Energy	474	471	(4)	-0.8%
Risk management	285	412	128	31.0%
General & administrative	1,752	1,750	(2)	-0.1%
Vehicle/facility leases	90	120	30	24.9%
Administrative Allocation	(12,130)	(12,130)	(0)	0.0%
Total Operating Expenses	\$ 11,029	\$ 11,701	\$ 672	5.7%
Operating Income (Loss)	\$ (326)	\$ (1,578)	\$ 1,252	79.3%
Total Non-Operating Activities	41	76	(35)	-45.6%
Income (Loss) before Capital Contributions	\$ (285)	\$ (1,502)	\$ 1,217	-81.0%

SAN DIEGO METROPOLITAN TRANSIT SYSTEM

OTHER ACTIVITIES

CONSOLIDATED

COMPARISON TO BUDGET - FISCAL YEAR 2022

DECEMBER 31, 2021

(in \$000's)

	YEAR TO DATE			
	ACTUAL	BUDGET	VARIANCE	VAR. %
Passenger Revenue	\$ -	\$ -	\$ -	-
Other Revenue	192	119	73	61.0%
Total Operating Revenue	\$ 192	\$ 119	\$ 73	61.0%
Personnel costs	\$ 215	\$ 262	\$ 47	17.8%
Outside services	9	57	49	84.6%
Materials and supplies	(1)	-	1	-
Energy	5	8	3	36.0%
Risk management	23	21	(2)	-9.8%
General & administrative	48	46	(2)	-4.5%
Vehicle/facility leases	10	13	3	24.6%
Administrative Allocation	3	3	-	0.0%
Total Operating Expenses	\$ 312	\$ 410	\$ 98	23.8%
Operating Income (Loss)	\$ (120)	\$ (291)	\$ 170	58.5%
Total Non-Operating Activities	-	-	-	-
Income (Loss) before Capital Contributions	\$ (120)	\$ (291)	\$ 170	-58.5%

Metropolitan Transit System FY22 Operating Budget - December 2021 Financial Review

MTS Board of Directors
February 10, 2022

CONSOLIDATED MTS OPERATIONS

COMPARISON TO BUDGET – DECEMBER 31, 2021 - FY 2022

FEDERAL STIMULUS FUNDING

- COVID-19 Budget Impact:
 - FY22 budget includes \$80.3M structural deficit (recurring revenues less recurring expenses)
 - Plan for CARES/ARP funds to cover structural deficits until these funds run out
 - FY22 budget balanced with \$80.3M of projected stimulus funds to cover structural deficit
- Federal Stimulus Funds Update:
 - FTA CARES Act
 - MTS share is \$220M in total, \$90.0M spent to date
 - Stopped drawing CARES at end of FY21
 - FTA ARP Act
 - MTS share is \$140M in total, \$56.0M spent to date
 - Started drawing ARP funds in July of FY22 to spend first due to funding deadlines

CONSOLIDATED MTS OPERATIONS

COMPARISON TO BUDGET – DECEMBER 31, 2021 - FY 2022

TOTAL OPERATING REVENUES (\$000's)

	<u>ACTUAL</u>	<u>BUDGET</u>	<u>VARIANCE</u>	<u>VAR %</u>
Fare Revenue	\$ 24,072	\$ 23,525	\$ 546	2.3%
Other Operating Revenue	\$ 11,475	\$ 10,676	\$ 799	7.5%
Operating Revenue	\$ 35,547	\$ 34,202	\$ 1,346	3.9%

- Fare Revenue
 - Revenue favorable to prior year by \$1.5M (6.5%)
 - Ridership favorable to the prior year by 7.9M passengers (41.1%)
 - Passenger revenue at 62% of baseline in December versus 53% budgeted
- Other Operating Revenue
 - Favorable vehicle advertising, auction proceeds, and misc. revenue

CONSOLIDATED MTS OPERATIONS

COMPARISON TO BUDGET – DECEMBER 31, 2021 - FY 2022

TOTAL OPERATING EXPENSES (\$000's)

	<u>ACTUAL</u>	<u>BUDGET</u>	<u>VARIANCE</u>	<u>VAR %</u>
Personnel Costs	\$ 76,667	\$ 78,327	\$ 1,661	2.1%
Purchased Transportation	\$ 42,465	\$ 46,002	\$ 3,537	7.7%
Other Outside Services	\$ 13,945	\$ 15,351	\$ 1,406	9.2%
Energy	\$ 19,291	\$ 19,119	\$ (172)	-0.9%
Other Expenses	\$ 13,744	\$ 13,076	\$ (668)	-5.1%
Operating Expenses	\$ 166,111	\$171,875	\$ 5,764	3.4%

- Personnel – favorable bus operator wages, Mid-Coast cost recovery, unemployment insurance, and healthcare expenses
- Purchased Transportation – favorable for both fixed route and paratransit
- Other Outside Services – favorable engine/transmission overhauls, security, legal, repair/maintenance costs
- Other Expenses – unfavorable materials/supplies costs due to revenue vehicle parts

CONSOLIDATED MTS OPERATIONS

COMPARISON TO BUDGET – DECEMBER 31, 2021 - FY 2022

TOTAL OPERATING ACTIVITIES (\$000's)

	<u>ACTUAL</u>	<u>BUDGET</u>	<u>VARIANCE</u>	<u>VAR %</u>
MTS Operating Revenue	\$ 35,547	\$ 34,202	\$ 1,346	3.9%
MTS Operating Expenses	\$ 166,111	\$ 171,875	\$ 5,764	3.4%
Total Net Operating Variance	\$ (130,564)	\$ (137,674)	\$ 7,110	5.2%

- Net income favorable \$7.1M through December
 - Favorable expense variances expected to continue
 - Favorable revenue variances expected in passenger revenue, other operating revenue, and subsidy revenue
- FY22 budget included \$80.3M in ARP funds to cover structural deficit
 - Favorable budget results will mean more stimulus funds available for future years



Agenda Item No. 61

Chief Executive Officer's Report

February 10, 2022

In accordance with Board Policy No. 52, "Procurement of Goods and Services", attached are listings of contracts, purchase orders, and work orders that have been approved within the CEO's authority (up to and including \$100,000) for the period January 8, 2022 – February 1, 2022

CEO Travel Report (since last Board meeting)

N/A

Board Member Travel Report (since last Board meeting)

N/A



EXPENSE CONTRACT					
Doc #	Organization	Subject	Amount	Revenue/ Expenditure	Day
PWL285.6-19	TRANSDEV RAIL INC	CCO 11	\$12,600.00	E	1/18/2022
PWG275.0-19275-15.06	ABCGC	OCS ANCHOR	\$12,442.24	E	1/19/2022
G2025.2-18	DAKTRONICS	4 ADDITIONAL EQUIPMENT	\$575.00	E	1/19/2022
PWG269.0-19269-11.03	HERZOG	CONDUIT JUNCTION BOXES	\$93,064.22	E	1/19/2022
PWG324.0-21324-06.01	JOC ABCGC	ROOF REPLACE	\$28,285.13	E	1/19/2022
G2009.4-17	SCHNEIDER ELECTRIC	UPS MAINT & SUPPORT	\$3,654.13	E	1/19/2022
PWG269.0-19269-1102	HERZOG	HDPE SHIMS	\$33,676.50	E	1/19/2022
PWG275.0-19275-23.01	ABCGC	EUCLID TC CONCRETE REPAIR	\$5,634.46	E	2/1/2022
G2541.0-222541BRI02	BRI	ROW SUPPORT	\$64,782.65	E	2/1/2022
PWG275.0-19275-26	ABDGC	MASS LOT PAVING	\$98,656.68	E	2/2/2022

REVENUE CONTRACT AND MOUS					
Doc #	Organization	Subject	Amount	Revenue/ Expenditure	Day
None Applicable.					

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4400001725	1/10/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 417.19	-	-
4400001726	1/14/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 64.52	-	-
4400001727	1/18/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 57.58	-	-
4400001728	1/18/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 22.95	-	-
4400001729	1/19/2022	W.W. Grainger Inc		R230-RAIL/LRV MECHANICAL	\$ 55.45	-	-
4400001730	1/19/2022	W.W. Grainger Inc		G130-SHOP TOOLS	\$ 438.99	-	-
4400001731	1/20/2022	W.W. Grainger Inc		G130-SHOP TOOLS	\$ 1,424.37	-	-
4400001732	1/21/2022	W.W. Grainger Inc		M110-SUB STATION	\$ 162.00	-	-
4400001733	1/24/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 140.10	-	-
4400001734	1/25/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 107.07	-	-
4400001735	1/25/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 729.88	-	-
4400001736	1/26/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 150.76	-	-
4400001737	1/26/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 187.81	-	-
4400001738	1/26/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 248.18	-	-
4400001739	1/26/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 116.83	-	-
4400001740	1/26/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 107.68	-	-
4400001741	1/26/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 391.95	-	-
4400001742	1/27/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 86.50	-	-
4400001743	1/28/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 462.23	-	-
4400001744	2/1/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 387.88	-	-
4400001745	2/1/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 470.75	-	-
4400001746	2/1/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 171.71	-	-
4400001747	2/1/2022	Office Depot		G200-OFFICE SUPPLIES	\$ 131.33	-	-
4500044406	1/10/2022	Brady Industries of California, LLC		G180-JANITORIAL SUPPLIES	\$ 217.33	-	-
4500044407	1/10/2022	Vinyard Doors	Woman Owned Business	F110-SHOP/BLDG MACHINERY	\$ 1,500.00	-	-
4500044408	1/10/2022	Staples Contract & Commercial Inc		G200-OFFICE SUPPLIES	\$ 431.00	-	-
4500044409	1/10/2022	Waxie's Enterprises Inc.		G180-JANITORIAL SUPPLIES	\$ 129.30	-	-
4500044410	1/10/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 3,107.52	-	-
4500044411	1/10/2022	Muncie Transit Supply		B200-BUS PWR TRAIN EQUIP	\$ 401.15	-	-
4500044412	1/10/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 2,693.83	-	-
4500044413	1/10/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 959.94	-	-
4500044414	1/10/2022	Siemens Mobility, Inc.		R230-RAIL/LRV MECHANICAL	\$ 5,270.01	-	-
4500044415	1/10/2022	R.S. Hughes Co Inc		B130-BUS BODY	\$ 412.46	-	-
4500044416	1/10/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 12,385.03	-	-
4500044417	1/10/2022	Allied Electronics Inc		G140-SHOP SUPPLIES	\$ 1,113.28	-	-
4500044418	1/10/2022	Transit Holdings Inc		B250-BUS REPAIR PARTS	\$ 184.51	-	-
4500044419	1/10/2022	Transit Holdings Inc		B130-BUS BODY	\$ 15.75	-	-
4500044420	1/10/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 193.95	-	-
4500044421	1/10/2022	Mohawk Mfg & Supply Co		B140-BUS CHASSIS	\$ 116.26	-	-
4500044422	1/10/2022	Transit Holdings Inc		B120-BUS MECHANICAL PARTS	\$ 2,107.10	-	-
4500044423	1/10/2022	San Diego Friction Products, Inc.		G140-SHOP SUPPLIES	\$ 63.00	-	-
4500044424	1/10/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 210.14	-	-
4500044425	1/10/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 17.57	-	-
4500044426	1/10/2022	Vern Rose Inc		G140-SHOP SUPPLIES	\$ 72.14	-	-
4500044427	1/10/2022	Supreme Oil Company		A120-AUTO/TRUCK GASOLINE	\$ 15,500.88	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044428	1/10/2022	SC Commercial, LLC		A120-AUTO/TRUCK GASOLINE	\$ 2,940.71	-	-
4500044429	1/10/2022	Siemens Mobility, Inc.		R220-RAIL/LRV TRUCKS	\$ 29,109.74	-	-
4500044430	1/10/2022	Terra Bella Nursery, Inc		F190-LANDSCAPING MAT'LS	\$ 2,396.11	-	-
4500044431	1/10/2022	W.W. Grainger Inc		G140-SHOP SUPPLIES	\$ 1,504.83	-	-
4500044432	1/10/2022	Mcmaster-Carr Supply Co		G140-SHOP SUPPLIES	\$ 98.84	-	-
4500044433	1/10/2022	Home Depot USA Inc		G180-JANITORIAL SUPPLIES	\$ 606.29	-	-
4500044434	1/10/2022	R.S. Hughes Co Inc		G190-SAFETY/MED SUPPLIES	\$ 1,103.52	-	-
4500044435	1/10/2022	Brady Industries of California, LLC		G190-SAFETY/MED SUPPLIES	\$ 510.74	-	-
4500044436	1/10/2022	Kaman Industrial Technologies		G160-PAINTS & CHEMICALS	\$ 217.77	-	-
4500044437	1/10/2022	Dimensional Silk Screen Inc		G230-PRINTED MATERIALS	\$ 3,070.88	-	-
4500044438	1/10/2022	M Power Truck & Diesel Repair		P210-NON-REV VEH REPAIRS	\$ 24,300.00	-	-
4500044440	1/11/2022	Neopart Transit LLC		G190-SAFETY/MED SUPPLIES	\$ 24,782.50	-	-
4500044442	1/11/2022	Norman Industrial Materials		F110-SHOP/BLDG MACHINERY	\$ 257.34	-	-
4500044443	1/11/2022	No-Spill Systems Inc		B120-BUS MECHANICAL PARTS	\$ 87.98	-	-
4500044444	1/11/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 2,310.16	-	-
4500044445	1/11/2022	Transit Holdings Inc		B130-BUS BODY	\$ 250.80	-	-
4500044446	1/11/2022	Siemens Mobility, Inc.		R120-RAIL/LRV CAR BODY	\$ 230.48	-	-
4500044447	1/11/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 360.43	-	-
4500044448	1/11/2022	Transit Holdings Inc		B130-BUS BODY	\$ 2,127.78	-	-
4500044449	1/11/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 257.96	-	-
4500044450	1/11/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 224.46	-	-
4500044451	1/11/2022	SPX Corporation		B190-BUS FARE EQUIP	\$ 2,020.32	-	-
4500044452	1/11/2022	Wesco Distribution Inc		F110-SHOP/BLDG MACHINERY	\$ 716.54	-	-
4500044453	1/11/2022	Harbor Diesel & Equipment		B120-BUS MECHANICAL PARTS	\$ 259.09	-	-
4500044454	1/11/2022	Siemens Mobility, Inc.		R160-RAIL/LRV ELECTRICAL	\$ 8,748.00	-	-
4500044455	1/11/2022	Trolley Support LLC		B130-BUS BODY	\$ 6,077.10	-	-
4500044456	1/11/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 82.06	-	-
4500044457	1/11/2022	Mcmaster-Carr Supply Co		B160-BUS ELECTRICAL	\$ 18.62	-	-
4500044458	1/11/2022	Staples Contract & Commercial Inc		G200-OFFICE SUPPLIES	\$ 1,465.40	-	-
4500044459	1/11/2022	Professional Contractors Supplies		G140-SHOP SUPPLIES	\$ 558.10	-	-
4500044460	1/11/2022	Transit Holdings Inc		B130-BUS BODY	\$ 14,880.05	-	-
4500044461	1/11/2022	Gillig LLC		B120-BUS MECHANICAL PARTS	\$ 329.62	-	-
4500044462	1/11/2022	Custom Glass Solutions		R120-RAIL/LRV CAR BODY	\$ 9,379.64	-	-
4500044463	1/11/2022	Waxie's Enterprises Inc.		G190-SAFETY/MED SUPPLIES	\$ 1,944.28	-	-
4500044464	1/11/2022	Fastenal Company		G190-SAFETY/MED SUPPLIES	\$ 130.97	-	-
4500044465	1/11/2022	Prudential Overall Supply		G140-SHOP SUPPLIES	\$ 5,210.79	-	-
4500044466	1/11/2022	Sunbelt Rentals, Inc		F190-LANDSCAPING MAT'LS	\$ 114.15	-	-
4500044467	1/11/2022	Schunk Carbon Technology LLC		R190-RAIL/LRV PANTOGRAPH	\$ 1,653.53	-	-
4500044468	1/11/2022	Gillig LLC		B130-BUS BODY	\$ 426.59	-	-
4500044469	1/11/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 2,958.54	-	-
4500044470	1/11/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 1,297.74	-	-
4500044471	1/12/2022	E-Z Spring & Stamping		R120-RAIL/LRV CAR BODY	\$ 850.15	-	-
4500044472	1/12/2022	Neopart Transit LLC		G190-SAFETY/MED SUPPLIES	\$ 350.19	-	-
4500044473	1/12/2022	D's Kustom Sales & Services, LLC		G140-SHOP SUPPLIES	\$ 644.88	-	-
4500044474	1/12/2022	Chromate Industrial Corporation		R200-RAIL/LRV SEATING	\$ 28.02	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044475	1/12/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 371.74	-	-
4500044476	1/12/2022	Transit Holdings Inc		G140-SHOP SUPPLIES	\$ 2,588.86	-	-
4500044477	1/12/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 216.81	-	-
4500044478	1/12/2022	Annex Warehouse Company, Inc		G190-SAFETY/MED SUPPLIES	\$ 1,376.51	-	-
4500044479	1/12/2022	Siemens Mobility, Inc.		R160-RAIL/LRV ELECTRICAL	\$ 32,292.00	-	-
4500044480	1/12/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 627.11	-	-
4500044481	1/12/2022	Muncie Transit Supply		B140-BUS CHASSIS	\$ 5.11	-	-
4500044482	1/12/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 1,302.08	-	-
4500044483	1/12/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 509.34	-	-
4500044484	1/12/2022	Kurt Morgan		G200-OFFICE SUPPLIES	\$ 515.01	-	-
4500044485	1/12/2022	Louis Sardo Upholstery Inc		B130-BUS BODY	\$ 1,657.54	-	-
4500044486	1/12/2022	W.W. Grainger Inc		G140-SHOP SUPPLIES	\$ 174.13	-	-
4500044487	1/12/2022	R.S. Hughes Co Inc		G140-SHOP SUPPLIES	\$ 226.31	-	-
4500044488	1/12/2022	Jeyco Products Inc		G130-SHOP TOOLS	\$ 32.28	-	-
4500044489	1/12/2022	Prochem Specialty Products Inc	Small Business	G180-JANITORIAL SUPPLIES	\$ 1,656.98	-	-
4500044490	1/12/2022	Gillig LLC		B110-BUS HVAC SYSTEMS	\$ 1,514.42	-	-
4500044491	1/13/2022	Mohawk Mfg & Supply Co		B140-BUS CHASSIS	\$ 65.73	-	-
4500044492	1/13/2022	Transit Holdings Inc		B120-BUS MECHANICAL PARTS	\$ 565.69	-	-
4500044493	1/13/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 4,568.61	-	-
4500044494	1/13/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 463.97	-	-
4500044495	1/13/2022	Siemens Mobility, Inc.		R160-RAIL/LRV ELECTRICAL	\$ 1,273.61	-	-
4500044496	1/13/2022	Vehicle Maintenance Program, Inc.	Woman Owned Business	B140-BUS CHASSIS	\$ 838.19	-	-
4500044497	1/13/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 17.24	-	-
4500044498	1/13/2022	Muncie Transit Supply		B200-BUS PWR TRAIN EQUIP	\$ 430.41	-	-
4500044499	1/13/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 2,421.62	-	-
4500044500	1/13/2022	Digi-Key Corporation		R160-RAIL/LRV ELECTRICAL	\$ 852.14	-	-
4500044501	1/13/2022	HI-TEC Enterprises		R160-RAIL/LRV ELECTRICAL	\$ 141.43	-	-
4500044502	1/13/2022	Rodvold Enterprises Inc.		F190-LANDSCAPING MAT'LS	\$ 431.54	-	-
4500044503	1/13/2022	W.W. Grainger Inc		G140-SHOP SUPPLIES	\$ 220.32	-	-
4500044504	1/13/2022	Chromate Industrial Corporation		G150-FASTENERS	\$ 1,231.59	-	-
4500044505	1/13/2022	Culligan of San Diego		M140-WAYSIDE SIGNALS	\$ 21.55	-	-
4500044506	1/13/2022	Willy's Electronic Supply Co	Small Business	G140-SHOP SUPPLIES	\$ 467.85	-	-
4500044507	1/13/2022	Louis Sardo Upholstery Inc		R200-RAIL/LRV SEATING	\$ 3,403.17	-	-
4500044508	1/13/2022	Waxie's Enterprises Inc.		G180-JANITORIAL SUPPLIES	\$ 217.48	-	-
4500044509	1/13/2022	Allied Electronics Inc		R160-RAIL/LRV ELECTRICAL	\$ 640.27	-	-
4500044510	1/13/2022	Siemens Mobility, Inc.		M110-SUB STATION	\$ 202.90	-	-
4500044511	1/13/2022	Transit Holdings Inc		B250-BUS REPAIR PARTS	\$ 531.60	-	-
4500044512	1/13/2022	W.W. Grainger Inc		G140-SHOP SUPPLIES	\$ 236.60	-	-
4500044513	1/13/2022	Controlled Motion Solutions Inc		B120-BUS MECHANICAL PARTS	\$ 411.05	-	-
4500044514	1/13/2022	Staples Contract & Commercial Inc		G200-OFFICE SUPPLIES	\$ 272.36	-	-
4500044515	1/13/2022	Kurt Morgan		G200-OFFICE SUPPLIES	\$ 644.03	-	-
4500044516	1/13/2022	Harbor Diesel & Equipment		B200-BUS PWR TRAIN EQUIP	\$ 10,387.26	-	-
4500044517	1/13/2022	Transit Holdings Inc		B120-BUS MECHANICAL PARTS	\$ 7.78	-	-
4500044518	1/13/2022	Jeyco Products Inc		G140-SHOP SUPPLIES	\$ 58.18	-	-
4500044519	1/13/2022	Waxie's Enterprises Inc.		G140-SHOP SUPPLIES	\$ 101.11	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044520	1/13/2022	Pressnet Express Inc		G230-PRINTED MATERIALS	\$ 1,002.08	-	-
4500044521	1/13/2022	Gillig LLC		B150-BUS COMM EQUIP.	\$ 664.08	-	-
4500044522	1/13/2022	Staples Contract & Commercial Inc		G200-OFFICE SUPPLIES	\$ 426.21	-	-
4500044523	1/13/2022	San Diego Friction Products, Inc.		G140-SHOP SUPPLIES	\$ 63.00	-	-
4500044524	1/14/2022	Fastenal Company		G140-SHOP SUPPLIES	\$ 112.27	-	-
4500044525	1/14/2022	Kenneth Place		G130-SHOP TOOLS	\$ 1,750.88	-	-
4500044526	1/14/2022	Simmons Boardman Books Inc		P540-MAINTENANCE TRAINING	\$ 329.34	-	-
4500044527	1/14/2022	D's Kustom Sales & Services, LLC		T110-TRACK, RAIL	\$ 2,510.58	-	-
4500044528	1/14/2022	SiteOne Landscape Supply Holding		F190-LANDSCAPING MAT'LS	\$ 693.24	-	-
4500044529	1/14/2022	Professional Contractors Supplies		G140-SHOP SUPPLIES	\$ 934.83	-	-
4500044530	1/14/2022	HI-TEC Enterprises		R160-RAIL/LRV ELECTRICAL	\$ 996.69	-	-
4500044531	1/14/2022	Dimensional Silk Screen Inc		G230-PRINTED MATERIALS	\$ 1,290.85	-	-
4500044532	1/14/2022	Siemens Mobility, Inc.		R220-RAIL/LRV TRUCKS	\$ 9,720.74	-	-
4500044533	1/14/2022	Tony Jamison	DBE	G170-LUBRICANTS	\$ 10,775.00	-	-
4500044534	1/14/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 4,189.32	-	-
4500044535	1/14/2022	Mohawk Mfg & Supply Co		B130-BUS BODY	\$ 156.97	-	-
4500044536	1/14/2022	Muncie Transit Supply		B200-BUS PWR TRAIN EQUIP	\$ 1,476.22	-	-
4500044537	1/14/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 1,256.35	-	-
4500044538	1/14/2022	Vehicle Maintenance Program, Inc.	Woman Owned Business	B140-BUS CHASSIS	\$ 502.91	-	-
4500044539	1/14/2022	Cummins Pacific LLC		B120-BUS MECHANICAL PARTS	\$ 165.23	-	-
4500044540	1/14/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 12,385.03	-	-
4500044541	1/14/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 1,463.26	-	-
4500044542	1/14/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 607.58	-	-
4500044543	1/14/2022	OneSource Distributors, LLC		M130-CROSSING MECHANISM	\$ 980.53	-	-
4500044544	1/14/2022	West-Lite Supply Co Inc	Small Business	M140-WAYSIDE SIGNALS	\$ 1,088.23	-	-
4500044545	1/14/2022	Brady Industries of California, LLC		G180-JANITORIAL SUPPLIES	\$ 1,220.07	-	-
4500044546	1/14/2022	Don Oleson Inc	Small Business	G140-SHOP SUPPLIES	\$ 181.02	-	-
4500044547	1/14/2022	California Air Compressor Company		F110-SHOP/BLDG MACHINERY	\$ 976.53	-	-
4500044548	1/14/2022	Siemens Mobility, Inc.		M110-SUB STATION	\$ 202.90	-	-
4500044549	1/14/2022	Golden State Supply LLC		F180-BUILDING MATERIALS	\$ 30.15	-	-
4500044550	1/18/2022	Siemens Mobility, Inc.		R120-RAIL/LRV CAR BODY	\$ 272.08	-	-
4500044551	1/18/2022	Tony Jamison	DBE	G160-PAINTS & CHEMICALS	\$ 58.19	-	-
4500044552	1/18/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 6,449.93	-	-
4500044553	1/18/2022	Muncie Transit Supply		B200-BUS PWR TRAIN EQUIP	\$ 9.05	-	-
4500044554	1/18/2022	Transit Holdings Inc		B120-BUS MECHANICAL PARTS	\$ 46.01	-	-
4500044555	1/18/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 2,753.17	-	-
4500044556	1/18/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 1,070.61	-	-
4500044557	1/18/2022	Siemens Mobility, Inc.		R170-RAIL/LRV HVAC	\$ 375.12	-	-
4500044558	1/18/2022	Industrial Maintenance Supply LLC	DBE	G130-SHOP TOOLS	\$ 211.45	-	-
4500044559	1/18/2022	Valvoline Inc.		B120-BUS MECHANICAL PARTS	\$ 8,184.69	-	-
4500044560	1/18/2022	Mohawk Mfg & Supply Co		B140-BUS CHASSIS	\$ 136.37	-	-
4500044561	1/18/2022	Muncie Transit Supply		B160-BUS ELECTRICAL	\$ 489.73	-	-
4500044562	1/18/2022	Kurt Morgan		G200-OFFICE SUPPLIES	\$ 336.29	-	-
4500044563	1/18/2022	Specialty Manufacturing Inc		B130-BUS BODY	\$ 1,218.17	-	-
4500044564	1/18/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 5,435.75	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044565	1/18/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 23.32	-	-
4500044566	1/18/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 3,874.58	-	-
4500044567	1/18/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 1,035.15	-	-
4500044568	1/18/2022	Kaman Industrial Technologies		G130-SHOP TOOLS	\$ 210.33	-	-
4500044569	1/18/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 36.13	-	-
4500044570	1/18/2022	Jeyco Products Inc		G160-PAINTS & CHEMICALS	\$ 19.97	-	-
4500044571	1/18/2022	Supreme Oil Company		A120-AUTO/TRUCK GASOLINE	\$ 9,765.36	-	-
4500044572	1/18/2022	SC Commercial, LLC		A120-AUTO/TRUCK GASOLINE	\$ 3,430.82	-	-
4500044573	1/18/2022	Chromate Industrial Corporation		G130-SHOP TOOLS	\$ 119.28	-	-
4500044574	1/18/2022	Fastenal Company		G190-SAFETY/MED SUPPLIES	\$ 426.37	-	-
4500044575	1/18/2022	Waxie's Enterprises Inc.		G180-JANITORIAL SUPPLIES	\$ 287.04	-	-
4500044576	1/18/2022	OneSource Distributors, LLC		G190-SAFETY/MED SUPPLIES	\$ 174.56	-	-
4500044577	1/18/2022	Synco Chemical Corporation		G170-LUBRICANTS	\$ 1,449.61	-	-
4500044578	1/18/2022	R.S. Hughes Co Inc		G140-SHOP SUPPLIES	\$ 117.50	-	-
4500044579	1/18/2022	W.W. Grainger Inc		G170-LUBRICANTS	\$ 583.19	-	-
4500044580	1/18/2022	SC Commercial, LLC		G170-LUBRICANTS	\$ 1,227.92	-	-
4500044581	1/18/2022	Harbor Diesel & Equipment		G170-LUBRICANTS	\$ 4,954.35	-	-
4500044582	1/18/2022	Charter Industrial Supply Inc	Small Business	B120-BUS MECHANICAL PARTS	\$ 235.99	-	-
4500044583	1/18/2022	Gillig LLC		B130-BUS BODY	\$ 1,189.30	-	-
4500044584	1/18/2022	Cummins Pacific LLC		B250-BUS REPAIR PARTS	\$ 601.47	-	-
4500044585	1/18/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 2,899.42	-	-
4500044586	1/18/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 749.07	-	-
4500044587	1/18/2022	Staples Contract & Commercial Inc		F170-MATL HANDLING EQUIP	\$ 135.06	-	-
4500044588	1/18/2022	W.W. Grainger Inc		G140-SHOP SUPPLIES	\$ 318.08	-	-
4500044589	1/18/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 633.51	-	-
4500044590	1/18/2022	Mcmaster-Carr Supply Co		P190-REV VEHICLE REPAIRS	\$ 197.95	-	-
4500044591	1/18/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 2,285.65	-	-
4500044592	1/18/2022	Waytek Inc		G140-SHOP SUPPLIES	\$ 73.12	-	-
4500044593	1/18/2022	Barry Sandler Enterprises		G180-JANITORIAL SUPPLIES	\$ 998.29	-	-
4500044594	1/18/2022	Kaman Industrial Technologies		G130-SHOP TOOLS	\$ 26.22	-	-
4500044595	1/18/2022	Allied Refrigeration Inc		B250-BUS REPAIR PARTS	\$ 71.01	-	-
4500044596	1/18/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 63.19	-	-
4500044597	1/18/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 58.20	-	-
4500044598	1/19/2022	Siemens Mobility, Inc.		R120-RAIL/LRV CAR BODY	\$ 77.58	-	-
4500044599	1/19/2022	Dell Marketing L.P.		I110-INFORMATION TECH	\$ 4,924.18	-	-
4500044600	1/19/2022	Init Innovations in Transportation		G290-FARE REVENUE EQUIP	\$ 10,317.08	-	-
4500044601	1/19/2022	Pandrol Inc.		G130-SHOP TOOLS	\$ 3,478.68	-	-
4500044602	1/19/2022	Daniels Tire Service		F110-SHOP/BLDG MACHINERY	\$ 395.96	-	-
4500044603	1/19/2022	Siemens Mobility, Inc.		R160-RAIL/LRV ELECTRICAL	\$ 2,000.00	-	-
4500044604	1/19/2022	Reid and Clark Screen Arts Co		G110-BUS/TROLLEY SIGNAGE	\$ 294.81	-	-
4500044605	1/19/2022	Ace Uniforms & Accessories	Small Business	G240-UNIFORM PROCUREMENT	\$ 224.08	-	-
4500044606	1/19/2022	HD Supply Construction Supply, LTD.		P130-EQUIP MAINT REPR SVC	\$ 669.12	-	-
4500044607	1/19/2022	Robcar Corporation	Woman Owned Business	F180-BUILDING MATERIALS	\$ 465.48	-	-
4500044608	1/19/2022	San Diego Hydraulics, Inc.		P210-NON-REV VEH REPAIRS	\$ 1,948.06	-	-
4500044609	1/19/2022	Sid Tool Co		G130-SHOP TOOLS	\$ 221.61	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044610	1/19/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 577.00	-	-
4500044611	1/19/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 1,809.13	-	-
4500044612	1/19/2022	Mohawk Mfg & Supply Co		B140-BUS CHASSIS	\$ 232.53	-	-
4500044613	1/19/2022	Transit Holdings Inc		B130-BUS BODY	\$ 2,161.87	-	-
4500044614	1/19/2022	MCAS Miramar Vet		G120-SECURITY	\$ 351.23	-	-
4500044615	1/19/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 1,752.20	-	-
4500044616	1/19/2022	DTI Group Ltd		R160-RAIL/LRV ELECTRICAL	\$ 47,029.75	-	-
4500044617	1/19/2022	Cummins Pacific LLC		B250-BUS REPAIR PARTS	\$ 10,050.30	-	-
4500044618	1/19/2022	M Power Truck & Diesel Repair		P210-NON-REV VEH REPAIRS	\$ 45,952.56	-	-
4500044619	1/19/2022	SPX Corporation		G290-FARE REVENUE EQUIP	\$ 822.85	-	-
4500044620	1/19/2022	Kiel NA LLC		B250-BUS REPAIR PARTS	\$ 717.68	-	-
4500044621	1/19/2022	Westair Gases & Equipment Inc	Small Business	G190-SAFETY/MED SUPPLIES	\$ 185.60	-	-
4500044622	1/19/2022	Professional Contractors Supplies		G180-JANITORIAL SUPPLIES	\$ 90.74	-	-
4500044623	1/19/2022	Prudential Overall Supply		G140-SHOP SUPPLIES	\$ 5,430.60	-	-
4500044624	1/19/2022	W.W. Grainger Inc		M110-SUB STATION	\$ 490.30	-	-
4500044625	1/19/2022	Transit Holdings Inc		B120-BUS MECHANICAL PARTS	\$ 296.25	-	-
4500044627	1/19/2022	Staples Contract & Commercial Inc		G200-OFFICE SUPPLIES	\$ 31.57	-	-
4500044628	1/19/2022	Ahlee Backflow Service	Small Business	F110-SHOP/BLDG MACHINERY	\$ 348.00	-	-
4500044629	1/19/2022	CDW LLC		I110-INFORMATION TECH	\$ 22,454.00	-	-
4500044630	1/19/2022	Jeyco Products Inc		G130-SHOP TOOLS	\$ 73.57	-	-
4500044631	1/19/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 100.32	-	-
4500044632	1/20/2022	Harbor Diesel & Equipment		B200-BUS PWR TRAIN EQUIP	\$ 16,953.16	-	-
4500044633	1/20/2022	Harbor Diesel & Equipment		B200-BUS PWR TRAIN EQUIP	\$ 14,750.51	-	-
4500044634	1/20/2022	Sportworks Global LLC		B130-BUS BODY	\$ 92.88	-	-
4500044635	1/20/2022	Vern Rose Inc		G160-PAINTS & CHEMICALS	\$ 276.46	-	-
4500044636	1/20/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 149.60	-	-
4500044638	1/20/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 142.23	-	-
4500044639	1/20/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 5,159.71	-	-
4500044640	1/20/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 1,600.51	-	-
4500044641	1/20/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 134.42	-	-
4500044642	1/20/2022	Gillig LLC		B160-BUS ELECTRICAL	\$ 357.03	-	-
4500044643	1/20/2022	SC Commercial, LLC		A120-AUTO/TRUCK GASOLINE	\$ 2,005.68	-	-
4500044644	1/20/2022	Cal Pacific Truck Center LLC		P210-NON-REV VEH REPAIRS	\$ 397.72	-	-
4500044645	1/20/2022	Home Depot USA Inc		G130-SHOP TOOLS	\$ 2,231.20	-	-
4500044646	1/20/2022	Airgas Inc		G190-SAFETY/MED SUPPLIES	\$ 102.29	-	-
4500044647	1/20/2022	Total Filtration Services Inc		R230-RAIL/LRV MECHANICAL	\$ 1,819.59	-	-
4500044648	1/20/2022	R.S. Hughes Co Inc		G140-SHOP SUPPLIES	\$ 602.80	-	-
4500044649	1/20/2022	Custom Glass Solutions		R120-RAIL/LRV CAR BODY	\$ 5,653.60	-	-
4500044650	1/20/2022	Chromate Industrial Corporation		G140-SHOP SUPPLIES	\$ 165.94	-	-
4500044651	1/20/2022	Siemens Mobility, Inc.		M140-WAYSIDE SIGNALS	\$ 27,462.35	-	-
4500044652	1/20/2022	Reid and Clark Screen Arts Co		G140-SHOP SUPPLIES	\$ 1,070.50	-	-
4500044653	1/20/2022	R.S. Hughes Co Inc		G140-SHOP SUPPLIES	\$ 324.29	-	-
4500044654	1/20/2022	W.W. Grainger Inc		M110-SUB STATION	\$ 245.41	-	-
4500044655	1/20/2022	Home Depot USA Inc		G180-JANITORIAL SUPPLIES	\$ 802.51	-	-
4500044656	1/20/2022	W.W. Grainger Inc		P280-GENERAL SVC AGRMNTS	\$ 217.83	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044657	1/20/2022	Genuine Parts Co		R180-RAIL/LRV LIGHTING	\$ 5,097.38	-	-
4500044658	1/20/2022	W.W. Grainger Inc		F110-SHOP/BLDG MACHINERY	\$ 252.90	-	-
4500044659	1/20/2022	Mcmaster-Carr Supply Co		G170-LUBRICANTS	\$ 404.09	-	-
4500044660	1/20/2022	USSC Acquisition Corp		B130-BUS BODY	\$ 6,537.62	-	-
4500044661	1/20/2022	Ace Uniforms & Accessories	Small Business	G120-SECURITY	\$ 413.66	-	-
4500044662	1/21/2022	TK Services Inc		B160-BUS ELECTRICAL	\$ 229.88	-	-
4500044663	1/21/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 1,795.07	-	-
4500044664	1/21/2022	Gillig LLC		B130-BUS BODY	\$ 3,474.50	-	-
4500044665	1/21/2022	Gillig LLC		B200-BUS PWR TRAIN EQUIP	\$ 1,673.57	-	-
4500044666	1/21/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 60.68	-	-
4500044667	1/21/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 247.83	-	-
4500044668	1/21/2022	Muncie Transit Supply		B130-BUS BODY	\$ 5.06	-	-
4500044669	1/21/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 1,829.80	-	-
4500044670	1/21/2022	Prochem Specialty Products Inc	Small Business	G180-JANITORIAL SUPPLIES	\$ 828.49	-	-
4500044671	1/21/2022	Cummins Pacific LLC		B120-BUS MECHANICAL PARTS	\$ 292.01	-	-
4500044672	1/21/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 715.07	-	-
4500044673	1/21/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 63.65	-	-
4500044674	1/21/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 58.97	-	-
4500044675	1/21/2022	R.S. Hughes Co Inc		G190-SAFETY/MED SUPPLIES	\$ 85.75	-	-
4500044676	1/21/2022	Waxie's Enterprises Inc.		G180-JANITORIAL SUPPLIES	\$ 815.02	-	-
4500044677	1/21/2022	Kiel NA LLC		B130-BUS BODY	\$ 1,954.59	-	-
4500044678	1/21/2022	Freeby Signs		B250-BUS REPAIR PARTS	\$ 222.74	-	-
4500044679	1/21/2022	Genuine Parts Co		B250-BUS REPAIR PARTS	\$ 163.12	-	-
4500044680	1/21/2022	Southwest Lift & Equipment Inc.	Small Business	F130-VEH HOISTS, JACKS	\$ 800.00	-	-
4500044681	1/21/2022	Citywide Auto Glass Inc		M180-STATION ELECTRICAL	\$ 258.60	-	-
4500044682	1/21/2022	Super Welding of Southern CA	Small Business	M180-STATION ELECTRICAL	\$ 1,304.80	-	-
4500044683	1/21/2022	Siemens Mobility, Inc.		R160-RAIL/LRV ELECTRICAL	\$ 1,075.35	-	-
4500044684	1/21/2022	Reid and Clark Screen Arts Co		R120-RAIL/LRV CAR BODY	\$ 1,492.35	-	-
4500044685	1/21/2022	Luminator Technology Group, Inc.		R120-RAIL/LRV CAR BODY	\$ 10,592.58	-	-
4500044686	1/21/2022	Fastenal Company		G190-SAFETY/MED SUPPLIES	\$ 264.21	-	-
4500044687	1/21/2022	Willy's Electronic Supply Co	Small Business	M110-SUB STATION	\$ 86.20	-	-
4500044688	1/21/2022	Prudential Overall Supply		G180-JANITORIAL SUPPLIES	\$ 3,808.97	-	-
4500044689	1/21/2022	West-Lite Supply Co Inc	Small Business	M140-WAYSIDE SIGNALS	\$ 199.56	-	-
4500044690	1/21/2022	Chromate Industrial Corporation		R220-RAIL/LRV TRUCKS	\$ 980.20	-	-
4500044691	1/21/2022	Home Depot USA Inc		G180-JANITORIAL SUPPLIES	\$ 773.47	-	-
4500044692	1/21/2022	Gillig LLC		B140-BUS CHASSIS	\$ 302.41	-	-
4500044693	1/24/2022	W.W. Grainger Inc		F110-SHOP/BLDG MACHINERY	\$ 459.66	-	-
4500044694	1/24/2022	Cart Mart Inc		F110-SHOP/BLDG MACHINERY	\$ 489.95	-	-
4500044695	1/24/2022	Home Depot USA Inc		F110-SHOP/BLDG MACHINERY	\$ 45.71	-	-
4500044696	1/24/2022	Zep Vehicle Care Inc		F110-SHOP/BLDG MACHINERY	\$ 59.21	-	-
4500044697	1/24/2022	Don Oleson Inc	Small Business	B120-BUS MECHANICAL PARTS	\$ 5,333.69	-	-
4500044698	1/24/2022	Charter Industrial Supply Inc	Small Business	B120-BUS MECHANICAL PARTS	\$ 355.60	-	-
4500044699	1/24/2022	Mohawk Mfg & Supply Co		B130-BUS BODY	\$ 279.17	-	-
4500044700	1/24/2022	Jeyco Products Inc		G150-FASTENERS	\$ 10.56	-	-
4500044701	1/24/2022	Specialty Manufacturing Inc		B130-BUS BODY	\$ 629.52	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044702	1/24/2022	Siemens Mobility, Inc.		R160-RAIL/LRV ELECTRICAL	\$ 1,020.72	-	-
4500044703	1/24/2022	Tony Jamison	DBE	G170-LUBRICANTS	\$ 1,318.86	-	-
4500044704	1/24/2022	Kaman Industrial Technologies		B120-BUS MECHANICAL PARTS	\$ 593.10	-	-
4500044705	1/24/2022	Annex Warehouse Company, Inc		F120-BUS/LRV PAINT BOOTHS	\$ 4,575.41	-	-
4500044706	1/24/2022	Sherwin Williams Company		F120-BUS/LRV PAINT BOOTHS	\$ 495.50	-	-
4500044707	1/24/2022	SC Commercial, LLC		A120-AUTO/TRUCK GASOLINE	\$ 2,879.06	-	-
4500044708	1/24/2022	Supreme Oil Company		A120-AUTO/TRUCK GASOLINE	\$ 12,358.77	-	-
4500044709	1/24/2022	Transit Products and Services		B130-BUS BODY	\$ 4,956.50	-	-
4500044710	1/24/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 2,440.55	-	-
4500044711	1/24/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 2,750.87	-	-
4500044712	1/24/2022	Muncie Transit Supply		B200-BUS PWR TRAIN EQUIP	\$ 60.90	-	-
4500044713	1/24/2022	Muncie Transit Supply		B200-BUS PWR TRAIN EQUIP	\$ 15.07	-	-
4500044714	1/24/2022	Muncie Transit Supply		B140-BUS CHASSIS	\$ 572.87	-	-
4500044715	1/24/2022	Transit Holdings Inc		B120-BUS MECHANICAL PARTS	\$ 2,184.19	-	-
4500044716	1/24/2022	Inland Kenworth (US) Inc		B200-BUS PWR TRAIN EQUIP	\$ 399.15	-	-
4500044717	1/24/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 3,093.08	-	-
4500044718	1/24/2022	W.W. Grainger Inc		F110-SHOP/BLDG MACHINERY	\$ 76.00	-	-
4500044719	1/24/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 264.85	-	-
4500044720	1/24/2022	W.W. Grainger Inc		G140-SHOP SUPPLIES	\$ 318.08	-	-
4500044721	1/24/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 1,005.06	-	-
4500044722	1/24/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 157.75	-	-
4500044723	1/24/2022	Willy's Electronic Supply Co	Small Business	B160-BUS ELECTRICAL	\$ 136.73	-	-
4500044724	1/24/2022	Muncie Transit Supply		B140-BUS CHASSIS	\$ 254.13	-	-
4500044725	1/24/2022	Mohawk Mfg & Supply Co		B160-BUS ELECTRICAL	\$ 54.26	-	-
4500044726	1/24/2022	R.S. Hughes Co Inc		G190-SAFETY/MED SUPPLIES	\$ 39.87	-	-
4500044727	1/24/2022	Battery Systems Inc		B160-BUS ELECTRICAL	\$ 2,464.32	-	-
4500044728	1/24/2022	Jeyco Products Inc		G150-FASTENERS	\$ 24.41	-	-
4500044729	1/24/2022	Gillig LLC		B120-BUS MECHANICAL PARTS	\$ 2,702.20	-	-
4500044730	1/24/2022	Cummins Pacific LLC		B250-BUS REPAIR PARTS	\$ 236.75	-	-
4500044731	1/24/2022	BriceHouse Station, LLC		P310-ADVERTISING SERVICES	\$ 9,375.00	-	-
4500044732	1/25/2022	Knorr Brake Holding Corporation		R220-RAIL/LRV TRUCKS	\$ 41,454.19	-	-
4500044733	1/25/2022	Siemens Mobility, Inc.		R230-RAIL/LRV MECHANICAL	\$ 522.44	-	-
4500044734	1/25/2022	Siemens Mobility, Inc.		R120-RAIL/LRV CAR BODY	\$ 6,079.51	-	-
4500044735	1/25/2022	Synco Chemical Corporation		G170-LUBRICANTS	\$ 16,095.27	-	-
4500044736	1/25/2022	Tony Jamison	DBE	G170-LUBRICANTS	\$ 64.65	-	-
4500044737	1/25/2022	Knorr Brake Holding Corporation		R220-RAIL/LRV TRUCKS	\$ 38,647.41	-	-
4500044738	1/25/2022	Cummins Pacific LLC		B120-BUS MECHANICAL PARTS	\$ 72.59	-	-
4500044739	1/25/2022	Gillig LLC		B120-BUS MECHANICAL PARTS	\$ 2,417.22	-	-
4500044740	1/25/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 105.06	-	-
4500044741	1/25/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 1,392.13	-	-
4500044742	1/25/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 4,454.56	-	-
4500044743	1/25/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 1.73	-	-
4500044744	1/25/2022	Nth Generation Computing Inc		I110-INFORMATION TECH	\$ 58,969.68	-	-
4500044745	1/25/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 1,999.31	-	-
4500044746	1/25/2022	Muncie Transit Supply		B160-BUS ELECTRICAL	\$ 79.84	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044747	1/25/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 134.14	-	-
4500044748	1/25/2022	Reid and Clark Screen Arts Co		G120-SECURITY	\$ 1,387.82	-	-
4500044749	1/25/2022	Inland Kenworth (US) Inc		B200-BUS PWR TRAIN EQUIP	\$ 194.20	-	-
4500044750	1/25/2022	Steven Timme		G230-PRINTED MATERIALS	\$ 84.65	-	-
4500044751	1/25/2022	Dellner Inc		R130-RAIL/LRV COUPLER	\$ 413.76	-	-
4500044752	1/25/2022	Inland Kenworth (US) Inc		B130-BUS BODY	\$ 503.93	-	-
4500044753	1/25/2022	Airgas Inc		G190-SAFETY/MED SUPPLIES	\$ 634.01	-	-
4500044754	1/25/2022	Genuine Parts Co		R180-RAIL/LRV LIGHTING	\$ 5,097.38	-	-
4500044755	1/25/2022	Kaman Industrial Technologies		G140-SHOP SUPPLIES	\$ 1,037.61	-	-
4500044756	1/25/2022	Culligan of San Diego		G140-SHOP SUPPLIES	\$ 2,040.00	-	-
4500044757	1/25/2022	Brady Industries of California, LLC		G180-JANITORIAL SUPPLIES	\$ 179.88	-	-
4500044758	1/25/2022	Victor Insulators, Inc.		M120-OVRHEAD CATENARY SYS	\$ 917.93	-	-
4500044760	1/25/2022	Chromate Industrial Corporation		G150-FASTENERS	\$ 599.32	-	-
4500044761	1/25/2022	Transit Holdings Inc		B250-BUS REPAIR PARTS	\$ 401.91	-	-
4500044762	1/25/2022	Gillig LLC		B160-BUS ELECTRICAL	\$ 193.86	-	-
4500044763	1/25/2022	Vern Rose Inc		G140-SHOP SUPPLIES	\$ 77.04	-	-
4500044764	1/25/2022	Prochem Specialty Products Inc	Small Business	G180-JANITORIAL SUPPLIES	\$ 828.49	-	-
4500044765	1/25/2022	Waxie's Enterprises Inc.		G140-SHOP SUPPLIES	\$ 3,020.51	-	-
4500044766	1/25/2022	Cummins Pacific LLC		B120-BUS MECHANICAL PARTS	\$ 3,696.72	-	-
4500044767	1/25/2022	Muncie Transit Supply		B140-BUS CHASSIS	\$ 807.06	-	-
4500044768	1/25/2022	Transit Holdings Inc		B250-BUS REPAIR PARTS	\$ 1,783.74	-	-
4500044769	1/25/2022	Transit Holdings Inc		B250-BUS REPAIR PARTS	\$ 19.72	-	-
4500044770	1/25/2022	R.S. Hughes Co Inc		G140-SHOP SUPPLIES	\$ 43.06	-	-
4500044771	1/25/2022	Charter Industrial Supply Inc	Small Business	G150-FASTENERS	\$ 60.34	-	-
4500044772	1/25/2022	Gillig LLC		B130-BUS BODY	\$ 177.35	-	-
4500044773	1/25/2022	Mohawk Mfg & Supply Co		B140-BUS CHASSIS	\$ 439.23	-	-
4500044775	1/25/2022	Patco Industries Inc		M140-WAYSIDE SIGNALS	\$ 1,346.88	-	-
4500044776	1/25/2022	Dellner Inc		R130-RAIL/LRV COUPLER	\$ 88,893.75	-	-
4500044777	1/25/2022	Siemens Mobility, Inc.		R160-RAIL/LRV ELECTRICAL	\$ 1,075.35	-	-
4500044778	1/25/2022	W.W. Grainger Inc		G140-SHOP SUPPLIES	\$ 173.85	-	-
4500044779	1/25/2022	Home Depot USA Inc		F180-BUILDING MATERIALS	\$ 183.67	-	-
4500044780	1/25/2022	Mcmaster-Carr Supply Co		R220-RAIL/LRV TRUCKS	\$ 437.50	-	-
4500044781	1/25/2022	Maintex Inc		G140-SHOP SUPPLIES	\$ 704.43	-	-
4500044782	1/25/2022	Waxie's Enterprises Inc.		G140-SHOP SUPPLIES	\$ 455.13	-	-
4500044783	1/25/2022	Fastenal Company		R120-RAIL/LRV CAR BODY	\$ 1,610.46	-	-
4500044784	1/25/2022	Daniels Tire Service		F110-SHOP/BLDG MACHINERY	\$ 803.40	-	-
4500044785	1/26/2022	Knorr Brake Holding Corporation		R220-RAIL/LRV TRUCKS	\$ 2,601.26	-	-
4500044786	1/26/2022	Home Depot USA Inc		G130-SHOP TOOLS	\$ 1,286.54	-	-
4500044787	1/26/2022	Cembre Inc		G130-SHOP TOOLS	\$ 121.00	-	-
4500044788	1/26/2022	Glass & Screens Etc		P110-BLDG MAINTENANCE	\$ 80.82	-	-
4500044789	1/26/2022	Kaman Industrial Technologies		G170-LUBRICANTS	\$ 599.61	-	-
4500044790	1/26/2022	Airgas Inc		G140-SHOP SUPPLIES	\$ 118.74	-	-
4500044791	1/26/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 299.59	-	-
4500044792	1/26/2022	W.W. Grainger Inc		F110-SHOP/BLDG MACHINERY	\$ 83.03	-	-
4500044793	1/26/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 242.44	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044794	1/26/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 1,972.70	-	-
4500044795	1/26/2022	NS Corporation		F110-SHOP/BLDG MACHINERY	\$ 1,658.98	-	-
4500044796	1/26/2022	Cummins Pacific LLC		B250-BUS REPAIR PARTS	\$ 185.81	-	-
4500044797	1/26/2022	Transit Holdings Inc		B250-BUS REPAIR PARTS	\$ 264.02	-	-
4500044798	1/26/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 1,269.96	-	-
4500044799	1/26/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 1,702.46	-	-
4500044800	1/26/2022	Transit Holdings Inc		B130-BUS BODY	\$ 2,145.03	-	-
4500044801	1/26/2022	Transit Holdings Inc		B120-BUS MECHANICAL PARTS	\$ 460.90	-	-
4500044802	1/26/2022	Staples Contract & Commercial Inc		G200-OFFICE SUPPLIES	\$ 37.82	-	-
4500044803	1/26/2022	W.W. Grainger Inc		B250-BUS REPAIR PARTS	\$ 80.05	-	-
4500044804	1/26/2022	Gillig LLC		B130-BUS BODY	\$ 513.05	-	-
4500044805	1/26/2022	Jeyco Products Inc		G200-OFFICE SUPPLIES	\$ 31.03	-	-
4500044806	1/26/2022	W.W. Grainger Inc		G140-SHOP SUPPLIES	\$ 59.37	-	-
4500044807	1/26/2022	Waxie's Enterprises Inc.		G140-SHOP SUPPLIES	\$ 263.34	-	-
4500044808	1/26/2022	Mohawk Mfg & Supply Co		B110-BUS HVAC SYSTEMS	\$ 159.68	-	-
4500044809	1/26/2022	Kaman Industrial Technologies		B120-BUS MECHANICAL PARTS	\$ 474.48	-	-
4500044810	1/26/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 213.65	-	-
4500044811	1/26/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 76.46	-	-
4500044812	1/27/2022	Robcar Corporation	Woman Owned Business	G140-SHOP SUPPLIES	\$ 630.34	-	-
4500044813	1/27/2022	Siemens Mobility, Inc.		R160-RAIL/LRV ELECTRICAL	\$ 1,586.08	-	-
4500044814	1/27/2022	Fastenal Company		G140-SHOP SUPPLIES	\$ 200.87	-	-
4500044815	1/27/2022	W.W. Grainger Inc		R220-RAIL/LRV TRUCKS	\$ 233.94	-	-
4500044816	1/27/2022	Aymar Industries, LLC.		R140-RAIL/LRV DOORS/RAMP	\$ 4,191.48	-	-
4500044817	1/27/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 144.15	-	-
4500044818	1/27/2022	Tribologik Corporation		G140-SHOP SUPPLIES	\$ 3,359.11	-	-
4500044819	1/27/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 260.76	-	-
4500044820	1/27/2022	Transit Holdings Inc		B130-BUS BODY	\$ 1,502.21	-	-
4500044821	1/27/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 118.53	-	-
4500044822	1/27/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 1,856.43	-	-
4500044823	1/27/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 466.07	-	-
4500044824	1/27/2022	Dellner Inc		R130-RAIL/LRV COUPLER	\$ 2,170.62	-	-
4500044825	1/27/2022	Alstom Signaling Inc		M140-WAYSIDE SIGNALS	\$ 13,044.35	-	-
4500044826	1/27/2022	Westflex, Inc.		F180-BUILDING MATERIALS	\$ 747.87	-	-
4500044827	1/27/2022	R.S. Hughes Co Inc		B250-BUS REPAIR PARTS	\$ 149.08	-	-
4500044828	1/27/2022	R.S. Hughes Co Inc		G160-PAINTS & CHEMICALS	\$ 751.07	-	-
4500044829	1/27/2022	Brady Industries of California, LLC		G180-JANITORIAL SUPPLIES	\$ 140.16	-	-
4500044830	1/27/2022	Annex Warehouse Company, Inc		F120-BUS/LRV PAINT BOOTHS	\$ 202.87	-	-
4500044831	1/27/2022	Chromate Industrial Corporation		G150-FASTENERS	\$ 668.05	-	-
4500044832	1/27/2022	Voestalpine Nortrak, Inc.		M150-PWR SWITCHES/LOCKS	\$ 728.39	-	-
4500044833	1/27/2022	Eran Hason		P210-NON-REV VEH REPAIRS	\$ 215.50	-	-
4500044834	1/27/2022	Cal Pacific Truck Center LLC		P210-NON-REV VEH REPAIRS	\$ 1,757.54	-	-
4500044835	1/27/2022	Westair Gases & Equipment Inc	Small Business	G140-SHOP SUPPLIES	\$ 121.06	-	-
4500044836	1/27/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 2,697.92	-	-
4500044837	1/27/2022	Kiel NA LLC		G140-SHOP SUPPLIES	\$ 363.13	-	-
4500044839	1/27/2022	CED, Inc.		F110-SHOP/BLDG MACHINERY	\$ 147.84	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044840	1/27/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 2,686.39	-	-
4500044841	1/27/2022	Home Depot USA Inc		F110-SHOP/BLDG MACHINERY	\$ 67.61	-	-
4500044842	1/27/2022	CASEI		F110-SHOP/BLDG MACHINERY	\$ 219.81	-	-
4500044843	1/28/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 1,925.86	-	-
4500044844	1/28/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 2,357.24	-	-
4500044845	1/28/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 31.20	-	-
4500044846	1/28/2022	W.W. Grainger Inc		G270-ELECTRICAL/LIGHTING	\$ 95.68	-	-
4500044847	1/28/2022	Kurt Morgan		G200-OFFICE SUPPLIES	\$ 101.52	-	-
4500044848	1/28/2022	Inland Kenworth (US) Inc		B130-BUS BODY	\$ 503.93	-	-
4500044849	1/28/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 2,801.50	-	-
4500044850	1/28/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 990.20	-	-
4500044851	1/28/2022	Southern California Shredding Inc	Small Business	G200-OFFICE SUPPLIES	\$ 1,200.00	-	-
4500044852	1/28/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 1,640.33	-	-
4500044853	1/28/2022	Home Depot USA Inc		F110-SHOP/BLDG MACHINERY	\$ 227.62	-	-
4500044854	1/28/2022	Vinyard Doors	Woman Owned Business	P120-BLDG/FACILITY REPRS	\$ 17,111.00	-	-
4500044855	1/28/2022	Transit Holdings Inc		B250-BUS REPAIR PARTS	\$ 870.00	-	-
4500044856	1/28/2022	Willy's Electronic Supply Co	Small Business	G130-SHOP TOOLS	\$ 296.32	-	-
4500044857	1/28/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 1,428.34	-	-
4500044858	1/28/2022	Gillig LLC		G140-SHOP SUPPLIES	\$ 119.84	-	-
4500044859	1/28/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 198.51	-	-
4500044860	1/28/2022	Siemens Mobility, Inc.		R220-RAIL/LRV TRUCKS	\$ 29,470.00	-	-
4500044861	1/28/2022	Arizona Machinery LLC		F110-SHOP/BLDG MACHINERY	\$ 333.52	-	-
4500044862	1/28/2022	Abacor, Inc.	Small Business	A140-AUTO/TRUCK REPAIR	\$ 1,293.00	-	-
4500044863	1/28/2022	Robcar Corporation	Woman Owned Business	G160-PAINTS & CHEMICALS	\$ 159.47	-	-
4500044864	1/28/2022	Mott MacDonald Group Inc		P520-A & E/DESIGN	\$ 25,776.51	-	-
4500044865	1/28/2022	Mcmaster-Carr Supply Co		G140-SHOP SUPPLIES	\$ 45.07	-	-
4500044866	1/29/2022	Id Services Inc	Small Business	G200-OFFICE SUPPLIES	\$ 5,986.48	-	-
4500044867	1/29/2022	San Diego Community		G120-SECURITY	\$ 301.22	-	-
4500044868	1/31/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 178.01	-	-
4500044869	1/31/2022	Genuine Parts Co		B250-BUS REPAIR PARTS	\$ 96.91	-	-
4500044870	1/31/2022	Charter Industrial Supply Inc	Small Business	B120-BUS MECHANICAL PARTS	\$ 110.38	-	-
4500044871	1/31/2022	Sherwin Williams Company		F120-BUS/LRV PAINT BOOTHS	\$ 260.80	-	-
4500044872	1/31/2022	Muncie Transit Supply		B200-BUS PWR TRAIN EQUIP	\$ 9.70	-	-
4500044873	1/31/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 99.13	-	-
4500044874	1/31/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 4,408.98	-	-
4500044875	1/31/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 593.48	-	-
4500044876	1/31/2022	Romaine Electric Corporation	Small Business	B160-BUS ELECTRICAL	\$ 3,608.55	-	-
4500044877	1/31/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 30.17	-	-
4500044878	1/31/2022	Inland Kenworth (US) Inc		B120-BUS MECHANICAL PARTS	\$ 104.16	-	-
4500044879	1/31/2022	Wesco Distribution Inc		F110-SHOP/BLDG MACHINERY	\$ 358.27	-	-
4500044880	1/31/2022	Davey Auto Body Inc		G120-SECURITY	\$ 2,578.58	-	-
4500044881	1/31/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 13,274.82	-	-
4500044882	1/31/2022	Mohawk Mfg & Supply Co		B120-BUS MECHANICAL PARTS	\$ 3.77	-	-
4500044883	1/31/2022	Mohawk Mfg & Supply Co		B140-BUS CHASSIS	\$ 186.02	-	-
4500044884	1/31/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 8,926.22	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044885	1/31/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 122.67	-	-
4500044886	1/31/2022	Golden State Supply LLC		G140-SHOP SUPPLIES	\$ 24.21	-	-
4500044887	1/31/2022	SC Commercial, LLC		A120-AUTO/TRUCK GASOLINE	\$ 3,002.36	-	-
4500044888	1/31/2022	Supreme Oil Company		A120-AUTO/TRUCK GASOLINE	\$ 12,358.77	-	-
4500044889	1/31/2022	Sherwin Williams Company		F120-BUS/LRV PAINT BOOTHS	\$ 191.28	-	-
4500044890	1/31/2022	Chromate Industrial Corporation		G150-FASTENERS	\$ 58.19	-	-
4500044891	1/31/2022	Waxie's Enterprises Inc.		G180-JANITORIAL SUPPLIES	\$ 1,342.55	-	-
4500044892	1/31/2022	Robcar Corporation	Woman Owned Business	G190-SAFETY/MED SUPPLIES	\$ 148.70	-	-
4500044893	1/31/2022	Western-Cullen-Hayes Inc		M130-CROSSING MECHANISM	\$ 581.85	-	-
4500044894	1/31/2022	Allied Electronics Inc		G140-SHOP SUPPLIES	\$ 1,484.37	-	-
4500044895	1/31/2022	Professional Contractors Supplies		G130-SHOP TOOLS	\$ 410.91	-	-
4500044896	1/31/2022	W.W. Grainger Inc		G170-LUBRICANTS	\$ 1,103.19	-	-
4500044897	1/31/2022	Home Depot USA Inc		F180-BUILDING MATERIALS	\$ 438.17	-	-
4500044898	1/31/2022	Powell Electrical Systems Inc		M110-SUB STATION	\$ 907.26	-	-
4500044899	1/31/2022	Battery Power Inc.		B160-BUS ELECTRICAL	\$ 2,692.98	-	-
4500044900	1/31/2022	Mohawk Mfg & Supply Co		B120-BUS MECHANICAL PARTS	\$ 157.73	-	-
4500044901	1/31/2022	Transit Holdings Inc		B130-BUS BODY	\$ 18.59	-	-
4500044902	1/31/2022	Waytek Inc		G140-SHOP SUPPLIES	\$ 78.41	-	-
4500044903	1/31/2022	W.W. Grainger Inc		G140-SHOP SUPPLIES	\$ 194.99	-	-
4500044904	1/31/2022	Gillig LLC		B120-BUS MECHANICAL PARTS	\$ 130.51	-	-
4500044905	1/31/2022	Cummins Pacific LLC		B120-BUS MECHANICAL PARTS	\$ 72.59	-	-
4500044906	1/31/2022	Cummins Pacific LLC		P190-REV VEHICLE REPAIRS	\$ 377.75	-	-
4500044907	1/31/2022	Cummins Pacific LLC		B120-BUS MECHANICAL PARTS	\$ 3,690.96	-	-
4500044908	1/31/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 156.65	-	-
4500044909	2/1/2022	Reid and Clark Screen Arts Co		G230-PRINTED MATERIALS	\$ 58.04	-	-
4500044910	2/1/2022	Airgas Inc		G190-SAFETY/MED SUPPLIES	\$ 71.29	-	-
4500044911	2/1/2022	Home Depot USA Inc		G140-SHOP SUPPLIES	\$ 56.92	-	-
4500044912	2/1/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 10.35	-	-
4500044913	2/1/2022	Vehicle Maintenance Program, Inc.	Woman Owned Business	B140-BUS CHASSIS	\$ 419.09	-	-
4500044914	2/1/2022	Madden Construction Inc		P280-GENERAL SVC AGRMNTS	\$ 808.00	-	-
4500044915	2/1/2022	Westair Gases & Equipment Inc	Small Business	G190-SAFETY/MED SUPPLIES	\$ 733.44	-	-
4500044916	2/1/2022	Staples Contract & Commercial Inc		G200-OFFICE SUPPLIES	\$ 203.44	-	-
4500044917	2/1/2022	Shilpark Paint Corp.		G160-PAINTS & CHEMICALS	\$ 699.38	-	-
4500044918	2/1/2022	Transit Holdings Inc		B140-BUS CHASSIS	\$ 1,675.66	-	-
4500044919	2/1/2022	Transit Holdings Inc		B200-BUS PWR TRAIN EQUIP	\$ 13.90	-	-
4500044920	2/1/2022	ColorID LLC	Small Business	G200-OFFICE SUPPLIES	\$ 3,497.39	-	-
4500044921	2/1/2022	Victor Stanley Inc		P280-GENERAL SVC AGRMNTS	\$ 533.25	-	-
4500044922	2/1/2022	W.W. Grainger Inc		G180-JANITORIAL SUPPLIES	\$ 425.46	-	-
4500044923	2/1/2022	Gillig LLC		B130-BUS BODY	\$ 1,006.86	-	-
4500044924	2/1/2022	Neopart Transit LLC		B120-BUS MECHANICAL PARTS	\$ 6,613.04	-	-
4500044925	2/1/2022	Gillig LLC		B150-BUS COMM EQUIP.	\$ 131.18	-	-
4500044926	2/1/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 4,877.82	-	-
4500044927	2/1/2022	R.S. Hughes Co Inc		G140-SHOP SUPPLIES	\$ 68.96	-	-
4500044928	2/1/2022	Virginia Electronic & Lighting LLC		M140-WAYSIDE SIGNALS	\$ 1,858.69	-	-
4500044929	2/1/2022	Arizona Machinery LLC		A110-AUTO/TRUCK TIRES	\$ 269.03	-	-

Purchase Orders							
PO Number	PO Date	Name	Prime Business Certification	Material Group	PO Value	DBE Subcontracted Amount	Non DBE Subcontracted Amount
4500044930	2/1/2022	Cummins Pacific LLC		B200-BUS PWR TRAIN EQUIP	\$ 91.55	-	-
4500044931	2/1/2022	Industrial Maintenance Supply LLC	DBE	G150-FASTENERS	\$ 60.54	-	-
4500044932	2/1/2022	NetXperts Inc.	Small Business	I110-INFORMATION TECH	\$ 2,641.26	-	-
4500044933	2/1/2022	Transit Holdings Inc		B160-BUS ELECTRICAL	\$ 466.57	-	-
4500044934	2/1/2022	B&H Photo & Electronics Corp		G260-MEDIA	\$ 997.62	-	-
4500044935	2/1/2022	Gillig LLC		B250-BUS REPAIR PARTS	\$ 2,396.70	-	-
4500044936	2/1/2022	W.W. Grainger Inc		G150-FASTENERS	\$ 35.30	-	-
4500044937	2/1/2022	Kaman Industrial Technologies		G140-SHOP SUPPLIES	\$ 348.11	-	-
4500044938	2/1/2022	Mohawk Mfg & Supply Co		B120-BUS MECHANICAL PARTS	\$ 135.55	-	-
4500044939	2/1/2022	Inland Kenworth (US) Inc		B120-BUS MECHANICAL PARTS	\$ 208.33	-	-
4500044940	2/1/2022	San Diego Friction Products, Inc.		G140-SHOP SUPPLIES	\$ 63.00	-	-