Orange County Transportation Authority

Executive Committee Agenda
Monday, February 3, 2025 at 9:00 a.m.

Board Room, 550 South Main Street, Orange, California

Committee Members

Doug Chaffee, Chair
Jamey M. Federico, Vice Chair
Michael Hennessey, Finance & Administration Chair
Fred Jung, Transit Committee Chair
Stephanie Klopfenstein, Regional Transportation Planning Chair
Tam T. Nguyen Immediate Past Chair
Donald P. Wagner, Legislative & Communications Chair

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the Orange County Transportation Authority (OCTA) Clerk of the Board's office at (714) 560-5676, no less than two business days prior to this meeting to enable OCTA to make reasonable arrangements to assure accessibility to this meeting.

Agenda Descriptions

Agenda descriptions are intended to give members of the public a general summary of items of business to be transacted or discussed. The posting of the recommended actions does not indicate what action will be taken. The Committee may take any action which it deems to be appropriate on the agenda item and is not limited in any way by the notice of the recommended action.

Public Availability of Agenda Materials

All documents relative to the items referenced in this agenda are available for public inspection at www.octa.net or through the Clerk of the Board’s office at the OCTA Headquarters, 600 South Main Street, Orange, California.

Meeting Access and Public Comments on Agenda Items

Members of the public can either attend in-person or access live streaming of the Committee meetings by clicking this link: https://octa.legistar.com/Calendar.aspx

In-Person Comment

Members of the public may attend in-person and address the Board regarding any item within the subject matter jurisdiction of the Orange County Transportation Authority. Please complete a speaker’s card and submit it to the Clerk of the Board and notify the Clerk regarding the agenda item number on which you wish to speak. Speakers will be recognized by the Chair at the time of the agenda item is to be considered by the Board. Comments will be limited to three minutes. The Brown Act prohibits the Board from either discussing or taking action on any non-agendized items.

Written Comment

Written public comments may also be submitted by emailing them to ClerkOffice@octa.net, and must be sent by 5:00 p.m. the day prior to the meeting. If you wish to comment on a specific agenda Item, please identify the Item number in your email. All public comments that are timely received will be part of the public record and distributed to the Board. Public comments will be made available to the public upon request.

Call to Order

Pledge of Allegiance

Director Hennessey

Closed Session

There are no Closed Session items scheduled.

Special Calendar

1. Committee Meeting 2025 Schedule

Overview

Chair Chaffee will lead a discussion regarding the 2025 meeting schedule for the Executive Committee.

Recommendation(s)

Approve the 2025 Executive Committee meeting calendar.

Attachments:

Calendar

2. Roles and Responsibilities of the Executive Committee

Darrell E. Johnson

Overview

The roles and responsibilities of the Executive Committee are reviewed periodically for any appropriate changes or additions.

Recommendation(s)

Approve the 2025 Executive Committee Roles and Responsibilities.

Attachments:

Roles & Responsibilities

Consent Calendar (Items 3 through 6)

All items on the Consent Calendar are to be approved in one motion unless a Committee Member or a member of the public requests separate action or discussion on a specific item.

3. Approval of Minutes

Clerk of the Board

Recommendation(s)

Approve the minutes of the December 2, 2024 Executive Committee meeting.

Attachments:

Minutes

4. Public Member Appointment to the Board of Directors

Overview

In accordance with AB 710 (Chapter 469, Statues of 2004), Members of the Orange County Transportation Authority Board of Directors representing cities and the County of Orange appoint two public members to the Orange County Transportation Authority Board of Directors. The term of current public member, Director Tam T. Nguyen expires on April 12, 2025. Board of Directors action is necessary to consider the forthcoming expiration and appointment.

Recommendation(s)

Direct the Chief Executive Officer to return to the next Executive Committee meeting to consider the reappointment of Director Tam T. Nguyen for a four-year term as a Public Member to the Board of Directors to commence on April 12, 2025

Attachments:

Staff Report

Attachment A

5. Orange County Transportation Authority Contract Compliance Policies and Procedures

Pia Veesapen/Andrew Oftelie

Overview

The Orange County Transportation Authority has established several policies and procedures to ensure contract compliance and minimize the risk of fraudulent activities throughout all stages of the contract lifecycle. This report outlines the key practices and controls that the Orange County Transportation Authority employs during the pre-award, term of contract performance, and post-contract phases, with a focus on internal processes, oversight mechanisms, and auditing functions.

Recommendation(s)

Receive and file as an information item.

Attachments:

Staff Report

6. Public Transportation Agency Safety Plan - Annual Review and Update
Matthew DesRosier

Overview
The Federal Transit Administration requires that every agency receiving federal funds through Section 5307 Urbanized Area Formula Program must develop a Public Transportation Agency Safety Plan for its transit system. The Board of Directors adopted the Orange County Transportation Authority's Public Transportation Agency Safety Plan on May 11, 2020. Through the required annual program review process, staff is recommending updates for Board of Directors' approval.

Recommendations
A. Adopt newly required Federal Transit Administration 2025 Public Transportation Agency Safety Plan performance measures and targets.

B. Approve the proposed 2025 Public Transportation Agency Safety Plan administrative edits.

Attachments:

Staff Report
Attachment A
Attachment B

Regular Calendar

7. Second Quarter Fiscal Year 2024-25 Capital Action Plan and Performance Metrics
James G. Beil

Overview
Staff has prepared a quarterly progress report on capital project delivery for the period of October 2024 through December 2024, for review by the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery, which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

Recommendation(s)
Receive and file as an information item.

Attachments:

Staff Report
Attachment A
Attachment B

Discussion Items

8. Public Comments

9. Chief Executive Officer's Report

10. Committee Members' Reports

11. Adjournment

The next regularly scheduled meeting of this Committee will be held:

9:00 a.m. on Monday, March 3, 2025

OCTA Headquarters
Board Room
550 South Main Street
Orange, California

DRAFT

ORANGE COUNTY TRANSPORTATION AUTHORITY

2025 EXECUTIVE COMMITTEE MEETINGS

JANUARY

SUN	MON	TUE	WED	THU	FRI	SAT
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FEBRUARY

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MARCH

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OCTOBER

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DECEMBER

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OCTA, OCTD, OCLTA, and OCSAFE regular Board meeting
9:30 a.m.: OCTA Headquarters, 550 South Main Street, Board Room - Conf. Room 07-08, Orange CA

EXEC
9:00 a.m.

Holidays

2025 Executive Committee Calendar - Proposed Exceptions

Standard monthly meeting dates and times are as follows:

Executive – 1st Monday of the month at 9:00 a.m.

Month	Proposed Exceptions to the Standard Meeting Dates
January	Cancel Executive Committee
February	No change
March	No change
April	No change
May	No change
June	No change
July	No change
August	Adjust the September Executive Committee to Thursday, August 28, due to the Labor Day holiday
September	See the month of August for adjustments to the Executive Committee
October	No change
November	No change
December	No change

Committee meeting calendars are pending approval by each committee at their first meeting once assignments are finalized

Draft Executive Committee
Roles and Responsibilities
February 3, 2025

1. Acts as the principal forum at which the Chair and Vice Chair of the Board of Directors discuss areas of interest with the Chairs of the respective Orange County Transportation Authority (OCTA) Board Committees;

2. Develops new policy and strategy recommendations for the Board of Directors that have broad-based implications to OCTA;

3. Reviews policy issues as deemed necessary by the Chair of the Board of Directors;

4. Reviews and provides recommendations to the Board of Directors regarding procurement policies; and

5. Monitors OCTA's overall activities, including the operation of the Chief Executive Office;

6. Develops policy recommendations for the Board of Directors with respect to the implementation of Measure M2;

7. Addresses safety, security, cyber security, and emergency management issues as needed;

8. Reviews and provides recommendations to the Board of Directors regarding administrative policies and procedures that impact the Board of Directors;

9. Reviews policy recommendations and goals related to diversity, equity, inclusion and belonging.

Committee Members Present
Tam T. Nguyen, Chair
Doug Chaffee, Vice Chair
Michael Hennessey
Fred Jung
Donald P. Wagner

Committee Members Absent
None

Staff Present
Darrell E. Johnson, Chief Executive Officer
Jennifer L. Bergener, Deputy Chief Executive Officer
Gina Ramirez, Assistant Clerk of the Board
Allison Cheshire, Clerk of the Board Specialist, Senior
James Donich, General Counsel
OCTA Staff

Call to Order

The December 2, 2024, Executive Committee regular meeting was called to order by Chair Nguyen at 9:00 a.m.

Consent Calendar (Items 1 and 2)

1. Approval of Minutes

A motion was made by Director Wagner, seconded by Director Jung, and declared passed by those present to approve the minutes of the November 4, 2024, Executive Committee meeting.

2. Measure M2 Quarterly Progress Report for the Period July 2024 through September 2024

A motion was made by Director Wagner, seconded by Director Jung, and declared passed by those present to receive and file as an information item.

Regular Calendar

3. Principles for 405 Express Lanes Excess Toll Revenue Policy and Expenditure Plan

Darrell E. Johnson, Chief Executive Officer (CEO), provided opening comments and introduced Andriann Cardoso, Department Manager, who presented a report on this item.

A motion was made by Director Jung, seconded by Director Hennessey, and declared passed by those present to:

A. Approve the principles for developing the 405 Express Lanes Excess Toll Revenue Policy and the future 405 Express Lanes Excess Toll Revenue Expenditure Plan.

B. Direct staff to return with a draft 405 Express Lanes Excess Toll Revenue Policy in 2025.

Director Wagner voted in opposition to this item.

Discussion Items

4. Public Comments

There were no public comments received.

5. Chief Executive Officer's Report

Mr. Johnson, CEO, reported on the following:

- Women in Transportation Awards
- CEO Vacation

6. Committee Members' Reports

There were no Committee Members' Reports.

7. Adjournment

The meeting adjourned at 9:27 a.m.

The next regularly scheduled meeting of this Committee will be held:
9:00 a.m. on Monday, February 3, 2025
OCTA Headquarters
Board Room
550 South Main Street
Orange, California

ATTEST:

Gina Ramirez
Assistant Clerk of the Board

February 3, 2025

To: Executive Committee

From: Doug Chaffee, Chair of the Board of Directors

Subject: Public Member Appointment to the Board of Directors

Overview

In accordance with AB 710 (Chapter 469, Statues of 2004), Members of the Orange County Transportation Authority Board of Directors, representing cities and the County of Orange, appoint two public members to the Orange County Transportation Authority Board of Directors. The term of current public member, Director Tam T. Nguyen, expires on April 12, 2025. Board of Directors' action is necessary to consider the forthcoming expiration and appointment.

Recommendation

Direct the Chief Executive Officer to return to the next Executive Committee meeting to consider the reappointment of Director Tam T. Nguyen for a four-year term as a public member to the Board of Directors to commence on April 12, 2025.

Background

The term of office for an Orange County Transportation Authority (OCTA) public member is four years. The qualifications for a public member are as follows:

- A resident of Orange County, and
- Not serving currently or within the last four years as an elected official of a city, county, any agency, or special district within Orange County.

Unlike the process of selecting the city representatives, the process for selecting the two public members is not specifically outlined in OCTA's enabling legislation. As a result, based on the Chair's discretion, the procedure regarding the appointment process has varied over the years depending on whether there is a desire for a reappointment by the sitting public member or a resignation.

The public member appointment requires a majority vote of the 15 voting Board of Directors (Board) representing the County of Orange and the cities in the County.

Discussion

On January 29, 2025, the Clerk of the Board's office received a letter of interest and request to be reappointed to the Board from Director Tam T. Nguyen (Director Nguyen). As noted in the letter (Attachment A), Director Nguyen has served as a public member on the Board since 2021. He has served in various committee and Board leadership positions, and in 2024, he served as the Chair of the Board and has served as a member of the Southern California Regional Rail Authority.

Summary

The term of current public member, Director Tam T. Nguyen, expires on April 12, 2025. Board of Directors' action is necessary to consider the forthcoming expiration and appointment.

Attachment

A. Letter from Director Nguyen to Chair Chaffee, re: Request for Reappointment, dated January 29, 2025

Prepared by:

Andrea West
Clerk of the Board
714-560-5611

ATTACHMENT A

January 29, 2025

Chair Doug Chaffee
Orange County Transportation Authority
550 S. Main Street
Orange, CA 92868

Dear Chair Chaffee,

I am writing to express my sincere interest in being reappointed to serve another term as a Public Member on the Orange County Transportation Authority (OCTA) Board of Directors. It has been an honor to serve OCTA and the residents of Orange County, and I look forward to continuing to contribute to achieving the agency's goals and delivering on our mission of keeping Orange County moving.

During my time on the Board, I have actively supported initiatives that align with OCTA's vision for sustainable and efficient transportation. I have prioritized fostering collaboration and ensuring that OCTA's projects and services address the diverse needs of our communities.

During my tenure as the Chair of the OCTA Board of Directors last year in working collaboratively with my board colleagues, the CEO and many others, I'm honored to help deliver these transportation solutions for Orange County's taxpayers and other stakeholders:

Delivering a balanced, sustainable and equitable transportation system

- OC Bus ridership surpassed pre-pandemic levels, thanks in part to programs like the Youth Ride Free and college passes
- We expanded city trolleys and shuttles through our local sales tax, providing even more transit solutions that meet community needs
- And the 405 Improvement Project, which celebrated its one-year anniversary in December, successfully delivered time savings for drivers between Costa Mesa and the L.A. County line

Safeguarding our future through fiscal responsibility and environmental sustainability

- We made progress on our coastal rail resiliency efforts to protect the south Orange County rail line
- We awarded $10.6 million in Measure M funding to cities and the county for projects that protect Orange County's water quality
- We approved the purchase of 50 additional zero-emission buses, moving us closer to our goal of a 100% zero-emission fleet by 2040

Focusing on organizational excellence, collaboration and diversity

- We secured a permanent headquarters building a few blocks down the street in Santa Ana, projected to save taxpayers $50 million over the next 30 years
- I'm especially proud of OCTA's incredible work to provide opportunities for diverse businesses through workshops and diverse outreach events, strengthening partnerships

and supporting local communities with 53 diverse business events reaching more than 11,000 small business owners and 93 diverse community events reaching more than 97,000 people in Orange County

Looking ahead, I am eager to build upon OCTA's successes by supporting the 2025 Board and CEO Initiatives of:

- Providing the public with a balanced, sustainable and equitable transportation system
- Ensuring organization resiliency through fiscal and environmental responsibility
- Upholding organizational excellence, diversity and collaboration

I remain dedicated to collaborating with my fellow Board members, OCTA staff, and stakeholders to deliver meaningful, forward-thinking solutions for Orange County residents, workers and visitors.

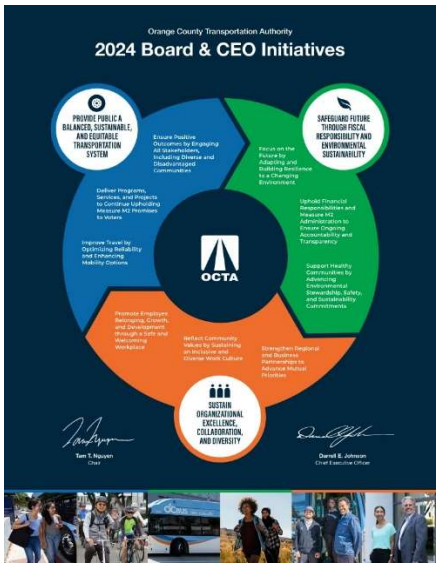
Serving on the OCTA Board is a significant responsibility, and I remain committed to upholding the highest standards of integrity, transparency, and accountability. If reappointed, I will continue to champion innovative policies and initiatives that serve the best interests of our community and ensure the agency's long-term success.

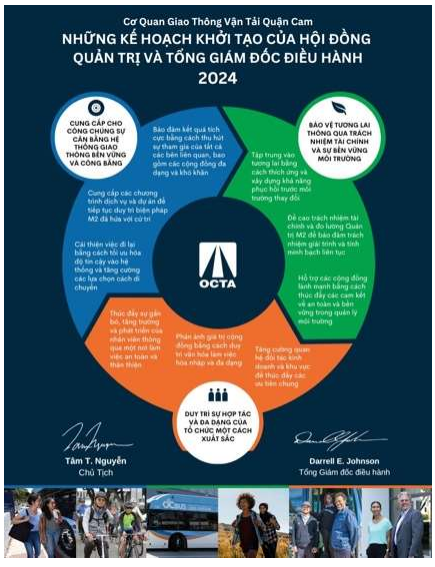
Thank you for considering my reappointment. It would be a privilege to continue serving OCTA in this capacity, and I am excited to contribute further to the organization's critical work.

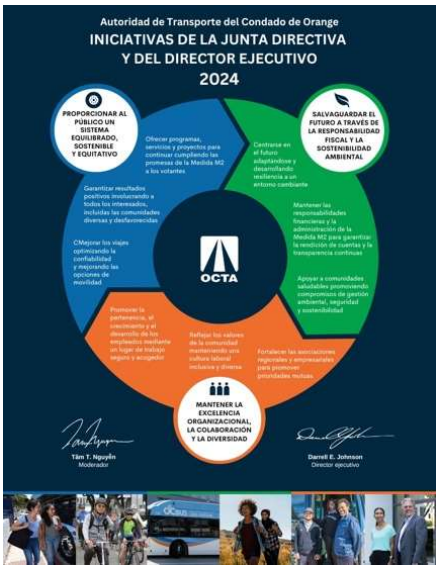
Sincerely,

Tam T. Nguyen

cc: Darrell Johnson (CEO), Jennifer Bergener (Deputy CEO)







OCTA

February 3, 2025

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Orange County Transportation Authority Contract Compliance Policies and Procedures

Overview

The Orange County Transportation Authority has established several policies and procedures to ensure contract compliance and minimize the risk of fraudulent activities throughout all stages of the contract lifecycle. This report outlines the key practices and controls that the Orange County Transportation Authority employs during the pre-award, term of contract performance, and post-contract phases, with a focus on internal processes, oversight mechanisms, and auditing functions.

Recommendation

Receive and file as an information item.

Discussion

The Orange County Transportation Authority (OCTA) is committed to maintaining the highest standards of integrity, transparency, and accountability in all aspects of its contracting processes. To ensure effective contract management and minimize the risk of fraudulent activities, OCTA has established a comprehensive framework of policies, procedures, and oversight mechanisms. These practices span the entire lifecycle of each contract, from pre-award through performance and post-contract review.

This report provides an overview of the key practices and controls that OCTA employs during the pre-award, term of contract performance, and post-contract phases. It highlights the robust internal processes, oversight structures, and auditing functions that ensure contracts are executed in compliance with OCTA's policies and contractual obligations. Special attention is given to the role of transparent and competitive procurement, project management, invoice

validation, and the critical role of both internal and external auditing in maintaining the integrity of OCTA's contracting processes.

Through these mechanisms, OCTA ensures that public resources are used efficiently, ethically, and in full compliance with legal and regulatory requirements.

Pre-Award Phase

OCTA has a centralized procurement department called Contracts Administration and Materials Management (CAMM). This department is responsible for overseeing all contracting activities and adheres strictly to Board of Directors (Board)-approved policies and procedures to ensure transparency and fairness. As part of this structure, all contracts, with the exception of real estate contracts, must go through CAMM. Real estate contracts are managed by the Real Property Department within the Capital Programs Division consistent with the Board-approved Real Property Manual, which prescribes the process for all real estate transactions including legal and Board review. This centralized process ensures that no single individual has the discretion to direct or issue a contract independently, promoting accountability and oversight. Contracts are generally awarded through a competitive process, except in cases of sole source contracts which are allowed and follow a prescribed process outlined in the policies and procedures, where the project manager must demonstrate that no other vendor can reasonably perform the required work. An independent review of the project manager’s sole source justification is conducted by the Director of CAMM. Furthermore, OCTA staff from the Internal Audit Department applies agreed upon procedures to sole source proposals exceeding $50,000 to ensure that proposed rates appear fair and reasonable and determine that an independent cost estimate was prepared by the project manager.

For contracts valued over $5,000, a selection panel is required to ensure multiple stakeholders are involved in the decision-making process. The size of the panel varies, ranging from as few as two people for informal contracts budgeted at $100,000 or less to as many as six or more for larger contracts. A representative from CAMM is included on every panel, ensuring that procurement processes align with OCTA's standards. To further limit the risk of undue influence, there are strict restrictions on panel composition. Specifically, supervisor-subordinate relationships are not permitted, and no more than two individuals from any single department can be on the same panel. If there are two individuals from the same department on the panel, additional stakeholders will be invited to ensure an unbiased evaluation is conducted. This structure enhances fairness and mitigates potential conflicts of interest.

Additionally, any non-public work contract valued over $500,000 requires approval by the Board, providing an additional layer of oversight and ensuring that significant commitments undergo rigorous scrutiny. To safeguard financial prudence, OCTA typically structures contracts to be paid on a reimbursement basis or upon the completion of defined milestones, with minimal exceptions for advance payments. This approach ensures that contractors are paid for completed work, reducing the risk of improper disbursement of funds.

Term of Contract Performance Phase

During this phase, each contract is assigned a designated project manager who is responsible for ensuring that the contractor delivers the services outlined in the scope of work. This individual plays a key role in ensuring that all terms and conditions are met throughout the duration of the project. When a contractor submits an invoice for payment, they are required to attest in writing that the work was completed as specified and that the invoice is true and accurate. This written attestation is essential for verifying the validity of the contractor's claims and ensures that payment is only made for work that has been properly completed.

The project manager is tasked with verifying that the work has been satisfactorily completed before recommending any payment. This may involve inspecting the deliverables, confirming milestones, or cross-referencing with other documentation. Depending on the size of the invoice, additional approvals are often required before the invoice can be sent to the Accounts Payable department for processing. In some cases, invoices may need approval from a department manager or even a division executive director to ensure that the expenditure is justified and aligns with the contract’s terms.

For particularly large contracts, such as those in the Operations Division (Contracted Fixed Route/OC ACCESS) or Capital Programs Division, additional layers of oversight are implemented. In the case of transit contracts, a dedicated group within the Finance and Administration Division separately reviews each invoice to confirm compliance with the contract’s terms and conditions. Similarly, for large Capital Programs Division contracts, the Project Control Department conducts a detailed review of each invoice to ensure that it meets all contractual requirements before payment is authorized.

Once the invoice has passed all internal reviews and approvals, it is sent to Accounts Payable for final processing. The Accounts Payable team conducts a thorough review to ensure that all necessary signatures and approvals have been obtained and that the payment is valid, with available budget funds for disbursement. This comprehensive process ensures that all payments are made in accordance with OCTA’s policies, reducing the risk of errors and ensuring financial accountability.

Post-Contract Phase

During the post-contract phase, OCTA is subject to thorough oversight to ensure compliance with all contractual obligations, particularly when state or federal funds are involved. For contracts that include state or federal funding, OCTA is subject to audits conducted by the respective agencies. For instance, the Federal Transit Administration performs triennial reviews, which often include scrutiny of individual contracts, as well as an examination of OCTA's procurement policies and procedures. This external oversight is designed to ensure that public funds are used appropriately and that OCTA's practices align with regulatory standards.

In addition to external audits, OCTA has a robust Internal Audit function that provides an additional layer of oversight. The Internal Auditor has the authority to review any function within OCTA at any time, ensuring that all operations, including procurement and contract management, are compliant with organizational policies and legal requirements. The Internal Auditor reports directly to the Board, maintaining independence and transparency in the audit process. Every year, the Internal Auditor develops a risk-based audit plan, which is approved by the Board. This plan focuses on areas of higher risk, with larger contracts often being subject to detailed compliance reviews. Once audits are completed, their findings, including any corrective actions taken by OCTA, are presented to the Board, ensuring full accountability.

Moreover, OCTA enforces its Code of Conduct, which all employees are required to acknowledge. This code outlines the ethical standards and expectations for conduct, including policies related to fraud prevention. To further enhance accountability, OCTA has established an anonymous fraud hotline, managed by the Internal Audit Department, where employees, contractors, or the public can report concerns about fraudulent activities. Each complaint submitted through the hotline is thoroughly investigated, ensuring that OCTA maintains a high standard of integrity and transparency in its operations. These combined internal and external review processes help protect OCTA from fraud, mismanagement, and non-compliance, promoting ongoing improvement and accountability throughout the organization.

Summary

The Orange County Transportation Authority's policies and procedures throughout the pre-award, term of contract performance, and post-contract phases are designed to ensure robust contract compliance and mitigate the risk of fraud. Through a combination of centralized procurement, competitive bidding processes, project management, internal and external audit oversight, and a strong ethics program, OCTA is committed to maintaining integrity and accountability in its contracting processes.

Attachment

None.

Prepared by:

Pia Veesapen
Director, Contracts Administration and Materials Management
714-560-5619

Approved by:

Andrew Oftelie
Chief Financial Officer, Finance and Administration
714-560-5649

February 3, 2025

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Public Transportation Agency Safety Plan - Annual Review and Update

Overview

The Federal Transit Administration requires that every agency receiving federal funds through Section 5307 Urbanized Area Formula Program must develop a Public Transportation Agency Safety Plan for its transit system. The Board of Directors adopted the Orange County Transportation Authority's Public Transportation Agency Safety Plan on May 11, 2020. Through the required annual program review process, staff is recommending updates for Board of Directors' approval.

Recommendations

A. Adopt newly required Federal Transit Administration 2025 Public Transportation Agency Safety Plan performance measures and targets.

B. Approve the proposed 2025 Public Transportation Agency Safety Plan administrative edits.

Background

The Public Transportation Agency Safety Plans (PTASP) regulation, 49 Code of Federal Regulations Part 673, requires operators of public transportation systems to develop an Agency PTASP that includes a comprehensive, collaborative, and systematic approach to managing safety.

The Health, Safety, and Environmental Compliance Department (HSEC) oversees safety compliance programs and the (PTASP) administration by the Orange County Transportation Authority (OCTA). The Board of Directors (Board) adopted OCTA's PTASP on May 11, 2020, and it has been updated annually since that time. The PTASP includes four primary components and 16 subcomponents.

Component 1: Safety Management Policy
Subcomponents:
- Written Statement of Policy
- Process for reporting unsafe conditions/near-miss incidents
- Safety management policy communication
- Authorities, accountabilities, and responsibilities

Component 2: Safety Risk Management
Subcomponents:
- Safety risk management process
- Safety hazard/near-miss incident identification and reporting
- Safety risk assessment
- Safety risk mitigation

Component 3: Safety Assurance
Subcomponents:
- Safety performance monitoring and measurement
- Hazard mitigation monitoring process
- Accident notification, investigation, and reporting
- Internal safety reporting program monitoring
- Management of change
- Continuous improvement

Component 4: Safety Promotion
Subcomponents:
- Safety training program
- Safety communication

OCTA completed the required 2024 plan review and assessed overall safety program compliance, results against safety performance targets, and the action items identified in the 2024 PTASP Appendix A. Staff's proposed 2025 PTASP incorporates the current Code of Federal Regulations (CFR) Part 673 program requirements established by the Federal Transit Administration (FTA) in April 2024.

Discussion

The safety performance data adopted in the 2024 PTASP was comprised of OCTA's National Transit Database (NTD) reportable event criteria including fatalities, injuries, and safety events. Normalization of the data was established using a baseline rate per 100,000 vehicle revenue miles (VRM). To assess system reliability, targets were established against the number of

maintenance/service road calls. Normalization of the data was established using a baseline rate per 100,000 vehicle miles (VM).

Safety performance targets are established for the calendar year using a three-year average of past performance. This approach to developing safety performance targets follows the guidelines established by the FTA.

In 2024, OCTA met all established safety performance targets (actuals) associated with our fixed-route bus service except for two categories - miles between road calls and fatalities. OCTA experienced a non-preventable fatality on January 20, 2024. OCTA also experienced challenges with miles between road calls due to protracted bus procurement, mechanical and technological issues and an aging fleet. Most of these issues have been resolved and although the miles between road calls annual average is slightly below target, in the last few months of 2024, monthly rates were above target levels.

2024 OCTA fixed-route bus service actuals:

	Objective	Metric	Target	Actuals
Bus	Reduce Fatalities	Fatalities per 100,000 VRM	0.00	0.01
	Reduce Injuries	Injuries per 100,000 VRM	0.53	0.22
	Reduce Safety Events	Safety Events per 100,000 VRM	0.93	0.46
	Maintain System Reliability	Miles Between Road Calls	1 per 14,000 VM	13,588

In 2024, OCTA met all established safety performance targets (actuals) associated with our paratransit service except for two categories – injuries and safety events. The annual targets were set at zero for both categories and OCTA experienced one injury and four safety events.

2024 OCTA paratransit service actuals:

	Objective	Metric	Target	Actuals
Paratransit	Reduce Fatalities	Fatalities per 100,000 VRM	0.00	0.00
	Reduce Injuries	Injuries per 100,000 VRM	0.00	0.01
	Reduce Safety Events	Safety Events per 100,000 VRM	0.00	0.06
	Maintain System Reliability	Miles Between Road Calls	1 per 25,000 VM	66,059

The 2024 PTASP had four action items, which are noted on the table below. All but one was met. The inclusion of the OC Streetcar into the 2024 PTASP was not accomplished due to project delays. The OC Streetcar system and mode details are incorporated into the 2025 PTASP and upon approval will be completed.

PTASP/FTA Code	Action Item	Timeline	Responsible Person/Group
673.23	PTASP/SMS Committee to review PTASP renewal	Annually	PTASP/SMS Committee
673.23	Safety Management CEO communication	Quarterly	HSEC/Human Resources/ Operations
673.27	Conduct a safety culture survey to assess improvement	Q4 2024	HSEC/Human Resources
673.23	Submit updated PTASP through the Board to include OC Streetcar system and mode details	Q2 2024	CEO/HSEC/Operations

HSEC, Health, Safety & Environmental Compliance, SMS – Safety Management System, CEO – Chief Executive Officer, Q2 – second quarter, Q4 – fourth quarter

The FTA updated 49 CFR Part 673 program requirements in April 2024 which require OCTA to adopt additional safety performance measures and expand the roles and responsibilities of the Agency's Joint Labor Management Safety Committee. The original four target objectives adopted in 2020 are now expanded to a total of ten in the proposed 2025 PTASP update. As with the previously established safety performance targets, a three-year average of past performance for each of the objectives has been established.

Proposed 2025 OCTA fixed-route bus service safety performance targets:

	Objective	Metric	Target
BUS	Reduce Major Events	Per 100K VRM	0.19
	Reduce Collision Events	Per 100K VRM	0.14
	Reduce Pedestrian Collision Events	Per 100K VRM	0.01
	Reduce Vehicular Collisions Events	Per 100K VRM	0.12
	Reduce Injuries	Per 100K VRM	0.35
	Reduce Transit Worker Injuries	Per 100K VRM	0.02
	Reduce Assaults on Transit Workers	Per 100K VRM	0.04
	Reduce Fatalities	Per 100K VRM	0.00
	Reduce Transit Worker Fatalities	Per 100K VRM	0.00
	Maintain System Reliability	Miles Between Road Calls	1 per 14K VM

Proposed 2025 OCTA paratransit service safety performance targets:

	Objective	Metric	Baseline
PARATRANSIT	Reduce Major Events	Per 100K VRM	0.04
	Reduce Collision Events	Per 100K VRM	0.04
	Reduce Pedestrian Collision Events	Per 100K VRM	0.00
	Reduce Vehicular Collisions Events	Per 100K VRM	0.04
	Reduce Injuries	Per 100K VRM	0.05
	Reduce Transit Worker Injuries	Per 100K VRM	0.00
	Reduce Assaults on Transit Workers	Per 100K VRM	0.00
	Reduce Fatalities	Per 100K VRM	0.00
	Reduce Transit Worker Fatalities	Per 100K VRM	0.00
	Maintain System Reliability	Miles Between Road Calls	1 per 25K VM

OCTA's Joint Labor Management Safety Committee has been in place and functional since 2023. The FTA requires the committee to consist of an equal number of labor organizations representing frontline employees and management. One responsibility added to the requirements of the committee is that they must now participate in the establishment of OCTA's annual safety performance targets. OCTA's Joint Labor Management Safety Committee has fulfilled this responsibility and approved the proposed 2025 PTASP.

A summary of all proposed administrative and program edits to the 2025 PTASP are shown below:

Pages Affected	Reason for Change
1	Date Change
11,13	OC Streetcar
18	Removal of Beth McCormick as signatory (retired)
19, 30	Addition of Rose Casey and Kristin Jacinto
20,21	Safety Performance Targets
28	Joint Labor Safety Committee Responsibilities
17,40,50	Joint Labor Management Safety Committee Referenced
49	Appendix A – 2025 Implementation Actions
62	Workplace Violence Policy and Joint Labor Management Safety Committee Policy Referenced

Proposed updates to Appendix A: Implementation actions with estimated action item completion timelines for 2025 are shown below:

PTASP/FTA Code	Action Item	Timeline	Responsible Person/Group
673.23	PTASP/SMS Committee to review PTASP renewal	Annually	PTASP/SMS Committee
673.23	Safety Management CEO communication	Quarterly	HSEC/Human Resources /Operations
673.27	Independent PTASP/SMS assessment utilizing contractor, consultant, or other third-party organization (three-year cycle)	Q4 2025	HSEC
673.25	Complete a formal risk analysis for existing operational hazards	Q4 2025	HSEC/Operations

Summary

Staff is requesting the Board of Directors approve the Orange County Transportation Authority's 2024 annual review and updated 2025 Public Transportation Agency Safety Plan, thereby fulfilling the requirements of the Federal Transit Administration.

Attachments

A. Public Transportation Agency Safety Plan, Annual Review, 2025
B. Public Transportation Agency Safety Plan, 2025, Redlined

Prepared by:

Matthew Desrosier
Department Manager, Health, Safety Environmental Compliance
714-560-5854

Approved by:

Maggie McJilton
Executive Director, People and Community Engagement
714-560-5824

ATTACHMENT A

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
ANNUAL REVIEW

2025

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2024 Orange County Transportation Authority
Annual Review

Completion January 2025

1.0 Scope

The Federal Transit Administration published the Public Transportation PTASP (PTASP) regulation, 49 Code of Federal Regulations (CFR) Part 673, on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Urbanized Area Formula Program is required to develop and implement a PTASP based on Safety Management Systems (SMS) principles and methods. The Board of Directors (Board) adopted the Orange County Transportation Authority's (OCTA) PTASP on May 11, 2020, as required. As part of the regulation, agencies are to conduct an annual review and Board update through the SMS risk-based approach.

2.0 Purpose

Due to the implementation of 49 CFR Part 673, OCTA is required to annually submit the current PTASP to the Board for review and approval, along with an annual safety report. The annual review of the PTASP will be conducted by the Accountable Executive, the Chief Safety Officer, and the SMS Program Manager each calendar year, no later than January 30th. OCTA has completed its first year of program implementation and assessed our overall safety program results against our initial safety performance targets and the action items identified. In addition, some of the processes and tools described in the initial PTASP have changed, which are reflected in the revised 2024 PTASP document.

3.0 PTASP Review Checklist

The PTASP Review Checklist is intended to verify compliance with the written PTASP components and an item that is checked has been verified as compliant. Any item that is not verified as compliant must have a comment that describes the action necessary to achieve compliance.

Plan Development, Approval, and Updates

☐	Checklist Item	PTASP Page Number	Notes
☒	Name(s) and address(es) of the transit agency(ies) that the PTASP applies to.	14	
☒	Mode(s) of transit service covered by the PTASP.	14	
☒	Mode(s) of service provided by the transit agency (directly operated or contracted fixed-route service).	14	
☒	Federal Transit Administration (FTA) funding types. (e.g., 5307, 5337, 5339)	14	
☒	Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).	14	
☒	An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).	6, 14	
☒	A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)(2).	6, 14	
☒	Name of the entity that drafted the PTASP (e.g., State Department of Transportation).	16	
☒	The Accountable Executive's signature on the PTASP and date of signature.	16	
☒	The Board or Equivalent Authority's approval of the PTASP and date of approval.	16	
☐	Certification of compliance with 49 CFR Part 673, including the name of the individual or entity that certifies the PTASP and date of certification.	16	*OC Streetcar pending - 2026*
☒	Process and timeline for conducting an annual review and update of the PTASP, including the PTASP version number and other relevant information.	17	
☒	The PTASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.	4	

Safety Performance Targets

☐	Checklist Item	PTASP Page Number	Notes
☒	*Fatalities:* Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.	20-21	
☒	*Injuries:* Total number of reportable injuries and rate per total vehicle revenue miles, by mode.	20-21	
☒	*Safety Events:* Total number of reportable events and rate per total vehicle revenue miles, by mode. (Event, as defined in § 673.5)	20-21	
☒	*System Reliability:* Mean (or average) distance between major mechanical failures, by mode.	20-21	
☒	Performance targets are made available to the State to aid in the planning process.	21	
☒	Performance targets are made available to the Metropolitan Planning Organization(s) (MPO) to aid in the planning process.	21	
☒	Coordination with the State and MPO(s) in the selection of State and MPO safety performance targets, to the maximum extent practicable.	21	

Safety Management Policy

☒	Checklist Item	PTASP Page Number	Notes
☒	Written statement of Safety Management Policy (SMP), including the agency's safety objectives.	23	
☒	Employee safety reporting program, that includes: • A process that allows employees to report safety conditions to senior management; • Protections for employees who report safety conditions to senior management; and • A description of employee behaviors that may result in disciplinary action and therefore are excluded from protection.	24	
☒	Communication of the SMP throughout the agency's organization.	25	
☒	Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's SMS, for the following individuals: • The Accountable Executive • The Chief Safety Officer or SMS Executive • Agency leadership and executive management • Key staff	25-23	

Safety Risk Management

☒	Checklist Item	PTASP Page Number	Notes
☒	*Safety hazard identification:* Methods or processes to identify hazards and consequences of hazards, which includes data and information provided by an oversight authority and the FTA as sources for hazard identification.	34	
☒	*Safety risk assessment:* Methods or processes to assess the safety risks associated with identified safety hazards. This must include assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.	35 Appendix B	
☒	*Safety risk mitigation:* Methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards.	35-36	

Safety Assurance

☒	Checklist Item	PTASP Page Number	Notes
☒	Activities to monitor the transit agency's system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance. (*Safety performance monitoring and measurement*)	40	
☒	Activities to monitor the transit agency's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. (*Safety performance monitoring and measurement*)	40-42	
☒	Activities to conduct investigations of safety events, including the identification of causal factors. (*Safety performance monitoring and measurement*)	41	
☒	Activities to monitor information reported through any internal safety reporting programs. (*Safety performance monitoring and measurement*)	39 - 42	
☒	*Management of change:* A process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. These proposed changes must be evaluated through the agency's Safety Risk Management process.	43	
☒	*Continuous improvement:* A process to assess the transit agency's safety performance. If the agency identifies safety deficiencies as part of its safety performance assessment, the agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies.	44	

Safety Promotion

☒	Checklist Item	PTASP Page Number	Notes
☒	A comprehensive safety training program for all transit agency employees and contractors designated as directly responsible for safety in the agency's public transportation system. This program must include refresher training, as necessary.	45	
☒	Communication of safety and safety performance information throughout the transit agency's organization that conveys, at a minimum: • Information on hazards and safety risks relevant to employees' roles and responsibilities; and • Safety actions taken in response to reports submitted through an employee safety reporting program.	47	
☒	Documentation not included or referenced elsewhere in the PTASP, related to: • The implementation of the transit agency's SMS; • The programs, policies, and procedures that the agency uses to carry out its PTASP; and • Results from SMS processes and activities. *The documents must be maintained for three years after they are created and must be made available upon request by the FTA or other federal entity, or a State Safety Oversight Agency having jurisdiction.*	48 Appendix D	
☒	Definitions of terms used in the PTASP.	6-8	
☒	List of acronyms used in the PTASP.	9-10	

4.0 Safety Performance

2024 OCTA fixed-route bus service actuals.

	Objective	Metric	Target	Actuals
Bus	Reduce Fatalities	Fatalities per 100,000 VRM	0.00	0.01
	Reduce Injuries	Injuries per 100,000 VRM	0.53	0.22
	Reduce Safety Events	Safety Events per 100,000 VRM	0.93	0.46
	Maintain System Reliability	Miles Between Road Calls	1 per 14,000 VM	13,588

2024 OCTA paratransit service actuals.

	Objective	Metric	Target	Actuals
Paratransit	Reduce Fatalities	Fatalities per 100,000 VRM	0.00	0.00
	Reduce Injuries	Injuries per 100,000 VRM	0.00	0.01
	Reduce Safety Events	Safety Events per 100,000 VRM	0.00	0.06
	Maintain System Reliability	Miles Between Road Calls	1 per 25,000 VM	66,059

5.0 Implementation Actions

Appendix A

PTASP/FTA Code	Action Item	Timeline	Responsible Person/Group
673.23	PTASP/SMS Committee to review PTASP renewal	Annually	PTASP/SMS Committee
673.23	Safety Management CEO communication	Quarterly	HSEC/Human Resources/ Operations
673.27	Conduct a safety culture survey to assess improvement	Q4 2024	HSEC/Human Resources
673.23	Submit updated PTASP through the Board to include OC Streetcar system and mode details	Q2 2024	CEO/HSEC/Operations

HSEC, Health, Safety & Environmental Compliance, SMS – Safety Management System, CEO – Chief Executive Officer, Q2 – second quarter, Q4 – fourth quarter

In review of the Appendix A action items list, all items that required action and the allocation of resources were completed on time except one item associated with the incorporation of the OC Streetcar into the 2024 PTASP due to project delays. In total, out of the four established action items, three were achieved. The inclusion of the OC Streetcar system and mode details are incorporated into the 2025 PTASP and upon approval by the Board, the item will be completed.

6.0 Areas of Improvement

1. Safety promotion fosters a positive safety culture and improves safety performance by increasing safety awareness through training and communication. Developing a safety culture requires ongoing safety promotion. The “Good Catch” program acknowledges and encourages employees to report safety concerns and suggest enhancements. Additionally, the Annual National Safety Month held every June champions safety initiatives and serves as a continuous reminder to work safely, featuring month-long activities like table events, communications, and quizzes. In addition, OCTA held the safety culture questionnaire as a measurement of continuous improvement which was included in the 2024 Appendix A goals.

2. The Joint Labor Management Safety Committee has increased in size and participation. It continues to be more involved in OCTA’s continuous improvement strategies.

7.0 Summary

OCTA has not met all established safety performance targets. OCTA must allocate no less than 0.75 percent of its FTA Section 5307 funds to safety-related projects eligible under FTA Section 5307. Projects must target program challenges intended for mitigation of safety performance targets not met.

With newly revised requirements within 49 CFR Part 673, the FTA established ten safety performance measures which require OCTA to incorporate into the 2025 PTASP.

9.0 Annual Review Certification

By signing below, you certify that the annual review has been completed, and the information captured is accurate and reflects compliance to the standard.

1/16/2025

Valerie Steinbeck, PTASP Program Manager

1/16/2025

Matthew DesRosier, Chief Safety Officer

ATTACHMENT B

ORANGE COUNTY TRANSPORTATION AUTHORITY

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

2025

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EXECUTIVE SUMMARY

Moving Ahead for Progress in the 21th Century (MAP-21) grants the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. As a component of this safety oversight framework, recipients of FTA Chapter 53 funding are required to develop and implement a Public Transportation Agency Safety Plan (PTASP), Regulation 49 C.F.R. Part 673 based on Safety Management Systems (SMS) principles and methods.

On July 19, 2018, the FTA published the PTASP final rule, requiring certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement SMS. The goal of SMS is to increase the safety of transit systems by proactively identifying, assessing, and controlling risks. Further, Regulation 49 C.F.R. Part 673 puts the FTA and the Orange County Transportation Authority (OCTA) in a position to provide guidance that strengthens the use of safety data to support management decisions, improves the commitment of transit leadership to safety, and fosters a culture of safety promoting awareness and responsiveness to safety risks.

SMS is a comprehensive, collaborative, proactive, and a data-driven approach to managing safety, thus bringing management and labor together to: better control risk, detect and correct safety issues in a timely manner, effectively share and analyze safety data, and precisely measure safety performance.

Our Mission is to develop and deliver transportation solutions to enhance quality of life and keep Orange County moving.

Our Vision is an integrated and balanced transportation system that supports the diverse travel needs and reflects the character of Orange County.

OCTA is a public agency that conducts its business with integrity, in an honest and ethical manner. Our values consist of safety, integrity, customer focus, can-do spirit, communication, and teamwork/partnership. OCTA keeps people moving by reducing freeway congestion, improving safety and efficiency on the County's local roads, providing bus service and regional multimodal connections, helping people find ways to leave their vehicles home, and providing safe, convenient transportation that is FTA and Americans with Disabilities Act (ADA) compliant to those with special accommodations. These values shape the way we do business and significantly influence who we are and how we want to be viewed by others.

OCTA has taken steps of creating an environment where safety culture is paramount by adopting safety as a core value. Individual efforts alone do not result in the desired outcome. A positive safety culture is achieved only when it develops an aggregate attitude that safety is paramount in all transit services. This type of safety thinking permits individuals to resist complacency, commit to excellence, and take personal accountability. The cumulative effect of these attitudes develops an organizational attitude of self-regulation for safety. It fosters a universal type of safety mindset.

Accordingly, safety culture is both attitudinal, as well as structural, and revolves around the common beliefs and actions of individuals and the organization. It consists not only of identifying safety issues but also resolving them with appropriate actions.

OCTA is committed to safety as a systematic and comprehensive approach to identifying hazards and risks and has adopted the SMS framework by establishing a safety policy, identifying hazards and controlling risks, setting goals, and planning and measuring performance. OCTA uses SMS as a means of agency-wide support for transit safety by establishing a culture where everyone is accountable for safety. The success of these efforts starts with senior executives and labor leadership visibly demonstrating their commitment to safety and leading by example to resolve safety issues.

The implementation of SMS, as described within this document, has been ongoing at OCTA through the execution of multiple activities, including:

- Extensive hazard identification, analysis and resolution;
- Increased internal auditing to ensure our processes are functioning as intended;
- Safety outreach with the community – as good neighbors and partners with emergency management resources in the surrounding communities; and
- Focus on improved safety training for all employees – to ensure that OCTA is as safe as practical with the understanding that safety is everyone's responsibility.

OCTA has developed and adopted this PTASP to comply with FTA regulations. OCTA's Board of Directors (Board), Accountable Executive, and Chief Safety Officer have reviewed and approved the PTASP through (resolution #TBD), assuring its content meets the requirements of Regulation 49 C.F.R. Part 673 through the establishment of a comprehensive SMS framework.

DEFINITIONS

Source: All definitions are official U.S. Department of Transportation, FTA definitions related to the Public Transportation Agency Safety Plan.

Accident: An event that involves any of the following: a loss of life, a report of a serious injury to a person, a collision of public transportation vehicles, a runaway train, an evacuation for life safety reasons, or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

Accountable Executive: A single, identifiable person who has 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 or 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.

Change Control: A method of maintaining the consistency and reliability of a system or product's performance, function, and design; and the control of changes made to the system or product throughout its life cycle.

Change Control Committee: A group of staff members that represent various areas of expertise within OCTA. These staff members have been selected to be diverse in expertise and responsibility to ensure that all of OCTA's interests and objectives are met by each project.

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. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed-guideway public transportation system.

Core Safety Responsibilities: Responsibilities, accountabilities, and authority of the accountable executive, the key safety officers, and key members of the safety management team.

Desired Safety Outcomes or Goals: Safety outcomes for each risk using the measurable safety performance indicators established.

Document Revision and Control: A description of the regular annual process used to review and update the plan including a timeline for implementation of the process.

Event: Any accident, incident, or occurrence.

Hazard: Any real or potential condition that can cause injury, illness, death, damage to or loss of the facilities equipment, rolling stock, infrastructure, or damage to the environment.

Hazard Probability: Likelihood of a hazard consequence to occur.

Hazard Severity: The effect/damaging result of a hazards consequence.

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.

Injury: Any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event. Agencies must report each person transported away from the scene for medical attention as an injury, whether or not the person appears to be injured.

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.

Performance Target: A quantifiable level of performance or condition expressed as a value for the measure to be achieved within a time period required by the FTA.

Policy Statement: A statement establishing senior management commitment to continual safety improvement, signed by the executive accountable for the operation of the Agency and the Board.

Prioritized Safety Risks: A description of the most serious safety risks to the public, personnel, and property.

Reportable: An event occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle, excluding occupational safety events occurring in administrative buildings.

Risk: An assessed probability and severity calculation to classify the overall potential consequences of a hazard.

Risk Control Strategies and Actions for Prioritized Safety Risks: A description of risk control strategies and actions the Agency will undertake to minimize exposure of the public, personnel, and property to hazards, including a schedule for implementing the risk control strategies and the primary entity responsible for each strategy.

Safety Assurance: A list of defined safety performance indicators for each priority risk and associated targets the Agency will use to determine if it is achieving the specified safety goals.

Safety Culture: The product of individual and group values, attitudes, competencies, and patterns of behavior that determine commitment to safety management. Four attributes of a positive safety culture:

***Reporting*:** Encouraging employees to divulge information about hazards that they encounter.
***Just*:** Rewarding employees for providing essential safety-related information. Participation in Safety Incentive Programs throughout the year gives employees the opportunity to be rewarded for continuous safety improvement participation. Employees may be held accountable for deliberate violations of the rules. Disciplinary measures shall be conducted in accordance with established policies outlined in the OCTA Disciplinary Action Policy.
Flexible: Adapting to changing demands and reacting to events.
Learning: Willing to change based on safety indicators and hazards uncovered through assessments, audits, data, and incidents.

Safety Performance Target: A performance target related to safety management activities.

Safety Risk Management Approach: The formal processes the agency uses to identify hazards, analyze, and assess safety risks, and develop, implement and evaluate risk controls.

Safety Training Program: A comprehensive safety training program for agency staff that ensures staff are trained and competent to perform their safety duties.

Serious Injury: Any injury which: (1) Requires hospitalization for more than 48 hours, commencing within seven 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 severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second or third degree burns, or any burns affecting more than five percent of the body surface.

Source: National Transit Database (NTD) Safety and Security Reporting Manual

Fatality: A death or suicide confirmed within 30 days of a reported event. Does not include deaths in or on transit property that are a result of illness or other natural causes; a death due to collision (including suicides), fire, hazardous material spill, acts of God, system or personal security event (including suicides), and Other safety events.

Source: National Public Transportation Plan Performance Measures

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

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

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

Other Safety Events: Include but are not limited to slips, trips, falls, smoke, power failure, maintenance-related issues, or electric shock. To be reported as a major event, these events must **either** meet the fatality, evacuation, or property damage threshold **or** result in two or more injured persons. Other safety events that cause only one person to be immediately transported from the scene for medical attention, and that do not trigger any other reporting threshold, are reported on the Non-Major Monthly Summary Report form. The FTA includes other safety events that occur

in a transit maintenance facility and meet a reporting threshold but continues to exclude occupational safety events occurring in administrative buildings.

Note: *Definitions from the U.S. Department of Transportation, FTA should be applied uniformly across the entire agency, to ensure safety performance measures are accurate agency-wide and SMS is applied systematically.*

ACRONYMS

ADA	Americans with Disabilities Act
ART	Annual Required Training
BSSPP	Bus System Safety Program Plan
CAP	Corrective Action Plan
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
CCP	Change Control Plan
COOP	Continuity of Operations Plan
CPUC	California Public Utilities Commission
CSO	Chief Safety Officer
EOC	Emergency Operations Center
FAST	Fixing America's Surface Transportation Act
FTA	Federal Transportation Administration
HR	Human Resources
HSEC	Health, Safety and Environmental Compliance Department
IIPP	Injury and Illness Prevention Program
LMS	Learning Management System
MAP-21	Moving Ahead for Progress in the 21st Century
MPO	Metropolitan Planning Organization
NPTSP	National Public Transportation Safety Plan
NTD	National Transit Database
NTSB	National Transportation Safety Board
OC	Orange County
OCTA	Orange County Transportation Authority
OHA	Operating Hazard Analysis
OSHA	Occupational Health and Safety Administration
PACE	People and Community Engagement Division
PHA	Preliminary Hazard Analysis
PTASP	Public Transportation Agency Safety Plan
Ri2	Routes Issues and Information Reporting Program
SCAG	Southern California Association of Governments
SCOT	Student Coach Operator Training
SMS	Safety Management System
SRM	Safety Risk Management
SOP	Standard Operating Procedure
SSCP	Safety and Security Certification Plan

SSEPP	Security Emergency Preparedness Plan
SSHA	Sub-System Hazard Analysis
SSOA	State Safety Oversight Agency
SSO	State Safety Oversight
TAM	Transit Asset Management
USC	United States Code

1. INTRODUCTION

OCTA was created in 1991, consolidating the functions of seven separate transportation agencies, including the Orange County Transportation Commission, the Orange County Transit District, the Consolidated Transportation Services Agency, the Orange County Local Transportation Authority, the Orange County Service Authority for Freeway Emergencies, the Orange County Congestion Management Agency, and the Orange County Service Authority for Abandoned Vehicles. OCTA is served by 17 Board Members.

OCTA's 17-member Board consists of five County Supervisors, ten city members, and two public members. The District Director of the California Department of Transportation, District 12, serves as an ex-officio member. Board of Supervisors are elected by Supervisorial Districts to a four-year term. City members are appointed by the Orange County City Selection Committee to a two-year term. Public members are appointed by the Board to a four-year term. Ex-officio member, California Department of Transportation District 12, District Director, is appointed by the Governor to a four-year term Public Utilities Code Sec. 130052(d).

The Chief Executive Officer (CEO) reports directly to the Board; the Deputy CEO reports to the CEO and is tasked with the duties of "Acting CEO" in the absence of the CEO. The Deputy CEO is also tasked with reporting to the Board in the CEO's absence. The CEO is responsible for the daily management of all systems operated by OCTA and ensures federal, state, local, and agency safety requirements are being met.

Facilities and Bus Facilities:

OCTA owns and maintains five maintenance and operating bases, nine transportation centers, one administration location that supports the bus bases and transportation centers, and one rail maintenance service facility. Additionally, there are support facilities, terminals, park-and-ride terminals, employee parking lots, surplus properties, communications, and other miscellaneous locations. The facilities are comprised of 47 buildings and structures totaling over 400,000 square feet. The structures are situated on 80 acres of property throughout Orange County with an initial capital cost of more than $50 million dollars.

The primary physical elements of the OCTA bus system are facilities and buses. The five maintenance and operating bases operate 24 hours per day, seven days a week, 365 days a year. The five bases are as follows:

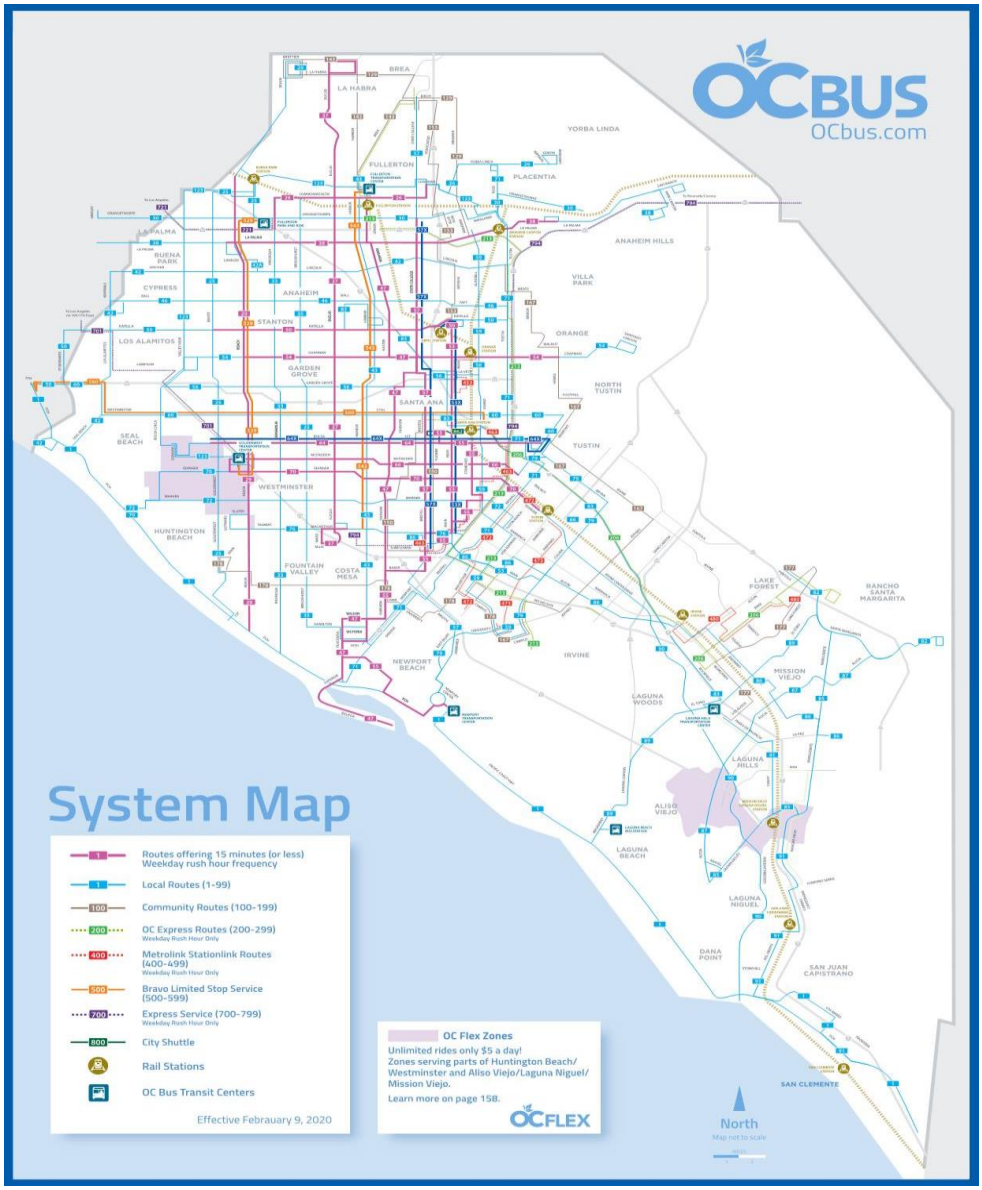
- Base 1-Santa Ana;
- Base 2-Irvine Construction Circle (Paratransit);
- Base 4-Garden Grove;
- Base 6-Anaheim (Contracted Fixed Route); and
- Base 7-Irvine Sand Canyon (Contracted Fixed Route).

Bus Service and System Description

OCTA's bus system operates 58 routes that serve over 5,000 bus stops which operate over a 798 square-mile area, in 34 cities and unincorporated areas. OCTA routes include local and community routes which travel between cities, express routes which travel on freeways, OC Flex on-demand service, and Stationlink service that connects Orange County Metrolink stations with major employment centers. Figure 1 depicts the OCTA system map.

Figure 1

THE OCTA SYSTEM MAP



OC Streetcar Service and System Description

The OC Streetcar is a 4.15-route-mile (8.3-track-mile) modern streetcar line that connects the Santa Ana Regional Transportation Center (SARTC) to Downtown Santa Ana and a new transportation hub located near the intersection of Harbor Boulevard and Westminster Avenue in the City of Garden Grove. The OC Streetcar will also serve the City of Santa Ana, the fourth most densely populated City with a population of over 300,000 in the country.

2. TRANSIT AGENCY INFORMATION

Transit Agency Name **Transit Agency Address** **Name and Title of Accountable Executive**	Orange County Transportation Authority- OCTA 550 South Main Street Orange, CA 92868 Darrell E. Johnson, OCTA Chief Executive Officer		
Name of Chief Safety Officer or SMS Executive	Matthew DesRosier		
Mode(s) of Service Covered by This Plan	Bus and Paratransit: Directly Operated and Contracted.	List all FTA Funding Types	5307, 5309, 5310, 5337, and 5339
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Commuter Bus, Bus, Vanpool, Demand Response, Demand Response Taxi, and Paratransit services, Streetcar		
Does the agency provide transit services on behalf of another agency or entity?	Yes [x] No [ ] Description of Arrangements: OCTA operates fixed-route service for the Irvine iShuttle; and operates ADA service the Laguna Beach Trolley, Anaheim Transit Network, iShuttle, and Project V community shuttles.		
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	**N/A**		

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3. PLAN DEVELOPMENT, APPROVAL, AND UPDATES

Name of Entity That Drafted This Plan	Orange County Transportation Authority	
	Signature of Accountable Executive	**Date of Signature**
Signature by Accountable Executive		
Approval by the Board or an Equivalent Authority	**Name of Individual/Entity That Approved This Plan**	**Date of Approval**
	OCTA Board	
	Relevant Documentation (title and location)	
	Name of Individual Entity That Certified This Plan	**Date of Certification**
	Matthew DesRosier (CSO)	

Version Number and Updates - Record history of successive versions of this plan.

Version Number	Section/Pages Affected	Reason for Change	Date Issued
2	19, 33, 37, 40, 45, 52, 56, 61	Appendix A, OTS Process, Configuration Process Updates	06/30/2021
3	16, 17, 19, 47	Annual Review, Managements Commitment, adjust MBR Data Appendix A	2/15/2023
4	1	Date Change	11/22/2024
4	11, 13	OC Streetcar	11/22/2024
4	18	Removal of Beth McCormick as signatory (retired)	11/22/2024
4	19	Addition of Rose Casey and Kristin Jacinto	1/10/2025
4	20, 21	Safety Performance Targets	1/16/2025
4	28	Joint Labor Safety Committee Responsibilities	11/22/2024
4	17, 40, 50	Joint Labor Management Safety Committee Referenced	11/22/2024
4	49	Appendix A – 2025 Implementation Actions	11/22/2024
4	62	Workplace Violence Policy and Joint Labor Management Safety Committee Policy Referenced	11/22/2024

Annual Review and Update of the Public Transportation Agency Safety Plan

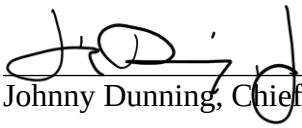
Due to the implementation of 49 CFR Part 673, OCTA is required to annually submit the current PTASP to the Board for review and approval, along with an annual performance report. The annual review of the PTASP will be conducted by the Accountable Executive, the Chief Safety Officer and the SMS Program Manager each calendar year, no later than January 15. No proposed change will be incorporated into the PTASP until it has been reviewed by the Joint Labor Management Safety Committee and approved by the CEO and the Board. Annual review and updating of the PTASP will consist of the CEO signing and dating this document and submitting it to the Board for review. All changes to the PTASP are recorded in the PTASP Activity Log; displaying the version number, section/pages affected, the reason for change and the date of the change.

Necessary updates outside the annual update will be bulletins, which will be incorporated in the body of the PTASP each year for approval. Any division Executive Director or other official may submit a proposed change at any time for review and adoption. Proposed changes are submitted to the Chief Safety Officer and a determination is made whether to convene a special SMS/PTASP Committee meeting, or to include the matter on the agenda for the regular SMS/PTASP Committee monthly meeting.

Management / Executive Commitment

The individuals signing this PTASP, attest all items and conditions contained in this plan are understood, accepted, recommended, and supported; they are committed to the implementation of this PTASP and achieving intended objectives.

Jennifer L Bergener, Deputy Chief Executive Officer, — 4/27/2020 Date



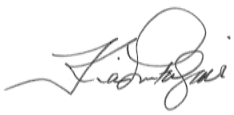
Johnny Dunning, Chief Operations Officer — 11/17/2022 Date

Andrew Oftelie, Chief Financial Officer — 4/24/2020 Date

Maggie McJilton, Executive Director, Workforce Development — 4/24/2020 Date

Jim Beil, Executive Director, Capital Programs — 4/24/2020 Date

Maggie McJilton, Executive Director, External Affairs — 4/24/2020 Date



Kia Mortazavi, Executive Director, Planning — 4/27/2020 Date

Rose Casey, Executive Director, Planning

1/10/2025
Date

Kristin Jacinto, Executive Director, Government Relations

1/10/2025
Date

Matt DesRosier, Manager, Health, Safety & Environ. Compliance, Chief Safety Officer

4/24/2020
Date

4. SAFETY PERFORMANCE TARGETS

Safety Performance Management is a critical tool that supports OCTA in identifying safety concerns and monitoring progress in safety improvements. OCTA has developed the following Safety Performance Targets to focus on its commitment to safety and meet federal requirements.

NTD	Objective	Metric/Rate	Target
BUS	Reduce Major Events	Per 100K VRM	0.19
	Reduce Collision Events	Per 100K VRM	0.14
	Reduce Pedestrians Collisions Events	Per 100K VRM	0.01
	Reduce Vehicular Collisions Events	Per 100K VRM	0.12
	Reduce Injuries	Per 100K VRM	0.35
	Reduce Transit Worker Injuries	Per 100K VRM	0.02
	Reduce Assaults on Transit Workers	Per 100K VRM	0.04
	Reduce Fatalities	Per 100K VRM	0.00
	Transit Worker Fatalities	Per 100K VRM	0.00
	Maintain System Reliability	Miles between Road Calls	1 per 14K VM

** Safety Performance Targets are based on a three-year rolling average of the data submitted to the NTD; For all modes of public transportation; OCTA must allocate no less than 0.75 percent of its section 5307 funds to safety-related projects eligible under section 5307 if there is a failure to meet targets.*

** Safety Performance Targets are calculated on a calendar year basis.*

NTD	Objective	Metric/Rate	Target
PARATRANSIT	Reduce Major Events	Per 100K VRM	0.04
	Reduce Collision Events	Per 100K VRM	0.04
	Reduce Pedestrian Collision Events	Per 100K VRM	0.00
	Reduce Vehicular Collisions Events	Per 100K VRM	0.04
	Reduce Injuries	Per 100K VRM	0.05
	Reduce Transit Worker Injuries	Per 100K VRM	0.00
	Reduce Assaults on Transit Workers	Per 100K VRM	0.00
	Reduce Fatalities	Per 100K VRM	0.00
	Transit Worker Fatalities	Per 100K VRM	0.00
	Maintain System Reliability	Miles between Road Calls	1 per 25K VM

** Safety Performance Targets are based on a three-year rolling average of the data submitted to the National Transit Database (NTD); For all modes of public transportation; OCTA must allocate no less than 0.75 percent of its section 5307 funds to safety-related projects eligible under section 5307 if there is a failure to meet targets.*

** Safety Performance Targets are calculated on a calendar year basis.*

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		
OCTA will foster agency-wide support for transit safety and will provide copies of their PTASP and additional information as requested to Southern California Association of Governments (SCAG) and California Public Utilities Commission (CPUC). Additionally, OCTA will evaluate agency Safety Performance Targets annually; the updated targets will be shared with the SCAG, and CPUC.		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	CPUC	
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	SCAG	

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5. SAFETY MANAGEMENT POLICY (673.23)

5.1 Safety Management Policy Statement- 673.23 (a)

OCTA is committed to developing, implementing, maintaining, and constantly improving processes to make sure all transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting standards. All levels of management and employees are accountable for the delivery of the highest level of safety performance, starting with the OCTA CEO.

OCTA managers, personnel, and outside contractors are responsible for promoting the safety of customers, employees, property, and the public who encounter OCTA's transit services. Every employee must practice workplace safety, use equipment, tools and materials properly, and be trained in the work rules and procedures for their area of responsibility, including contingency plans for abnormal and emergency conditions. Each employee and contractor shall take an active part in the hazard identification and reporting process.

OCTA is committed to:

- Support the management of safety through the provision of appropriate resources to result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as paid to other management systems of the organization;

- Integrate the management of safety as a primary responsibility of all managers and employees;

- Clearly define for all staff, managers, and employees alike, their accountability and responsibility for the delivery of the organization's safety performance and the overall performance of OCTA's safety management system;

- Establish and operate hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification. Eliminate or mitigate safety risks and hazardous consequences resulting from OCTA's operations or activities to a level that is acceptable and consistent with safety performance;

- Ensure no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;

- Comply with, and wherever possible exceed, legislative and regulatory requirements and standards;

- Ensure sufficiently skilled and trained PACE staff are available to implement safety management processes;

- Ensure all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;

- Establish and measure OCTA's safety performance against realistic and data-driven safety performance indicators and safety performance targets;

- Continually improve OCTA's safety performance through management processes that ensure appropriate safety management action is taken and is effective; and

- Ensure externally supplied systems and services to support OCTA's operations are delivered to meet OCTA's safety performance standards.

5.2 Process for Reporting Unsafe Conditions-673.23(b)

Employees are required to embrace OCTA's safety goals and objectives and encouraged to report safety concerns, issues, or hazards. OCTA's employees have a duty to report any unsafe condition to their supervisor, manager, union steward, safety committee member, safety staff, the Accountable Executive, or the SMS Program Manager. The safety staff works with managers and employees to facilitate the reporting of hazards using email, telephone, and in-person reporting. Moreover, employees may report safety concerns, issues, or hazards through the safety department intranet page, Routes Issues and Information Reporting Program (Ri2), and Ethicspoint, OCTA's ethics hotline.

OCTA Health, Safety & Environmental Compliance Intranet Page

OCTA intranet homepage provides employees with links to the intranet pages for each division in the agency. By selecting "Organization" on the main menu bar and then scrolling to appropriate division, employees have access to the that division's intranet page. On the Health, Safety and Environmental Compliance page, employees may use the "Big Red Button" to submit a safety concern or get access to safety policies and information. The reporting of unsafe conditions through the "Big Red Button" are managed by the CSO and is a closed loop process that is resolved within 14 business days.

Ri2 affords OCTA employees the ability to enter information related to safety concerns, issues, or hazards into an electronic reporting forum. OCTA responds to Ri2 submissions and typically resolves the report within 14 business days. During the resolution process employees have the ability to log in and check the progress or status of their Ri2 submission.

OCTA's Ethicspoint number is available for any employee, outside contractor, or member of the public to anonymously report any safety hazards, suspected fraud, waste, abuse, illegal or unethical behavior. The report is confidential. Reports to Ethicspoint will be administered by Internal Audit for review and investigation by the appropriate department.

OCTA is committed to fair treatment of all its employees and recognizes its responsibility under state and federal law to protect from punishment and harassment any person who reports an issue, whether the allegation is found to have merit. OCTA shall not take any action or threaten any action against any employee as a reprisal for making a report unless the report was made, or the information was disclosed with the knowledge that it was false or with willful disregard for its truth or falsity. Policy violations will be managed through OCTA's Human Resources Department.

5.3 Safety Management Policy Communication-673.23(c)

OCTA staff are informed of their responsibilities related to safety and SMS during onboarding, within their individual job descriptions, and receive an annual performance evaluation that includes safety-related evaluation criteria. Additionally, each employee is required to acknowledge through signature that they have received a written copy of OCTA's Safety Management Policy Statement. Signed copies will be filed within individual employee files. OCTA will provide additional safety information via the Intranet, newsletters, safety bulletins, and audio-visual monitors in break rooms.

5.4 Authorities, Accountabilities, and Responsibilities-673.23(d)

The purpose of the PTASP is to: maintain a formal Safety Program and establish a coordinated safety effort responsive to the needs of the operating and support departments, make sure all personnel and contractors are working toward the common goal of minimizing the occurrence of customer and employee incidents by providing safe revenue service to our customers and a safe work environment for our employees.

Board of Directors

The 17-member Board receives staff reports and considers staff recommendations that have the potential to impact operational safety. The Board makes policy-level decisions and follows established protocol for voting on actions that guide OCTA's operations. OCTA Board Members also serve on smaller committees, which are intended to provide more detailed information and specifically focus on different functional areas of OCTA. The various Board committees that review and recommend actions that have potential safety and environmental impacts include the Executive Committee, which safety related items are brought before, the Legislative and Communications Committee, the Regional Transportation Planning Committee, and the Transit Committee.

Executive Staff

Executive staff refers to the CEO, Deputy CEO, Chief Financial Officer, Chief Operating Officer, Division Executive Directors, and Division Directors. The CEO is the OCTA Accountable Executive and reports directly to the Board; the Deputy CEO reports to the CEO and is tasked with the duties of "Acting CEO" in the absence of the CEO. The Deputy CEO is also tasked with reporting to the Board in the CEO's absence. The CEO is responsible for the daily management of all systems operated by OCTA and ensures federal, state, local, and agency safety requirements are being met. The CSO and executive staff direct the utilization of available resources as

necessary to achieve safety goals and objectives. This management level exercises approval authority for major system modifications and facilitates coordination of safety efforts.

Divisions/Departments

People and Community Engagement (PACE) Division – Led by the Executive Director of PACE, is responsible for planning, directing, and evaluating the effectiveness of all the PACE Division systems, policies and practices, as well as related administrative functions. PACE includes the Marketing and Public Outreach Departments, which are responsible for the marketing and public outreach programs in support of OCTA projects, services, and initiatives. Additionally, PACE includes the Human Resources Department, which includes Labor and Employee Relations, EEO/Affirmative Action, ADA general program and Title VI, Learning and Development Department, Risk Management Department, and Health, Safety, and Environmental Compliance Department.

Operations Division – Led by the Chief Operating Officer, is responsible for all operational functions in the authority: bus, streetcar, rail, on-demand services and mobility paratransit. Operations provides highly complex and responsible direction for multiple transit departments and administrative programs. Operations is also responsible for creating policy and strategic direction as well as planning to the operational functions of the agency.

Planning Division – Led by the Executive Director of Planning, is responsible for ensuring the coordination of activities and integration of effort. Oversees, evaluates, and manages the work of agency staff and contractors conducting the strategic planning, policy development, environmental studies, design, and community relations activities to deliver highly complex multimodal transportation planning. Planning is also responsible for creating policy and strategic direction as well as planning, directing, and evaluating the effectiveness of all Planning Division's systems, policies and practices, and related functions.

Finance & Administration Division – Led by the Chief Financial Officer, is responsible for the direction of the overall programs/activities of the Treasury Department, Contracts Administration and Materials Management, Accounting and Financial Reporting, Financial Planning and Analysis, General Services, and leads the Finance and Information Systems.

Capital Programs Division – Led by the Executive Director of Capital Programs, is responsible for the oversight, evaluation, and management of the division's activities to deliver highly complex multimodal transportation rail, high-speed rail, and highway programs. The division is also responsible for creating policy and strategic direction as well as planning, directing, delivering, and evaluating the effectiveness of all division systems, policies and practices, and related functions.

Government Relations Division – Led by the Executive Director of Government Relations, is comprised of State and Federal Relations, a Grants section, and the Regional Initiatives Department. The Government Relations Division is responsible for monitoring, analyzing, and responding to government actions and decisions that affect how OCTA receives funding, plans for

projects, and delivers services. Government Relations also maintains an active presence at all levels of government to ensure OCTA's interests are well represented in these various forums.

Staff Positions

Directors, Managers Roles, and Responsibilities

All directors and managers are accountable and responsible for:

- Implementing the safety risk management, safety assurance, and safety training and communication protocols of their department;
- Safety performance within their functional areas;
- Ensuring procedures are consistent with the SMS;
- Determining and implementing countermeasures required to counteract safety risks and manage issues that negatively impact OCTA safety performance;
- Ensuring that all employees are trained in SMS;
- Supporting and requiring employees within their department to participate in safety training activities;
- Integrating SRM into existing processes;
- Requiring that all relevant safety information is communicated and used in decision-making;
- Providing information to the CEO, Chief Operating Officer, Executive Directors, and HSEC, as appropriate;
- Ensuring that all system changes are coordinated with HSEC and documented; and
- Cooperating with and providing support for evaluations and audits conducted by HSEC.

Supervisor Roles and Responsibilities

Supervisors are accountable and responsible for:

- The safety performance of all personnel and equipment under their supervision;
- Implementing and maintaining safety-related control measures/mitigations;
- Familiarizing employees with the safety requirements and hazards associated with the work to be performed;
- Responding to identified hazards that may impact safety performance;
- Reporting all mishaps and incidents to HSEC;
- Sharing lessons learned from incidents; and
- Implementing and adhering to SMS procedures and processes within their span of control.

Employee Responsibilities

All OCTA employees are responsible for:

- Becoming familiar with the safety procedures for their assigned work activity;
- Performing their work safely;
- Following procedures and rules;
- Calling attention to hazards that may impact safety performance; and
- Reporting mishaps and incidents to their supervisor, in accordance with established requirements for the protection of themselves, co-workers, customers, facilities, and equipment.

Joint Labor Management Safety Committee

The Committee must consist of an equal number of frontline employee representatives, selected by a labor organization representing the plurality of the frontline workforce or, a contractor to the recipient, to the extent frontline employees are represented by labor organizations, and management representatives.

The Safety Committee is responsible for:

- Identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment;
- Identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended; and
- Identifying safety deficiencies for purposes of continuous improvement.
- Setting annual safety performance targets for the safety risk reduction program
- Reviewing and approving any updates of the PTASP.

Contractors

OCTA is responsible for facilitating communication between internal stakeholders and outside contractors. All contractors are responsible for compliance with this PTASP and 49 CFR Part 673. The contractor is responsible for collecting, reviewing for accuracy, and submitting contract/performance-related information and data to OCTA Operations Management monthly. The contractor is required to comply with all OCTA SMS policies and procedures, reporting and submission requirements, including those required for Hazard Identification and Analysis, the NTD submission, and preparing all required data for OCTA to report. OCTA's SMS Program Manager will receive SMS data from OCTA contractors, per the agreed upon schedule; monitor and measure the contractor's safety performance through the data provided and report to the Chief Safety Officer and the PTASP SMS Committee quarterly.

Additionally, the contractor must provide OCTA access to all work, materials, payroll, and other data, records, and accounts maintained by the contractor for auditing purposes. Any audit findings requiring corrective action must be corrected by the contractor and checked by OCTA to ensure they have been corrected.

Contractors are required to provide training to employees on a scheduled basis, to include refresher training. The Contractor is required to make sure that their staff receives training applicable to requirements of jobs performed. Training is related to knowledge and operation of equipment, dealing with the public, sensitivity to persons with disabilities, knowledge of various kinds of disabilities, rules and procedures of OCTA services, and other areas of knowledge and proficiency which, shall enable personnel to perform their jobs and meet the requirements of the contract. OCTA reserves the right to audit training activities at its discretion.

Lines of Authority for Safety:

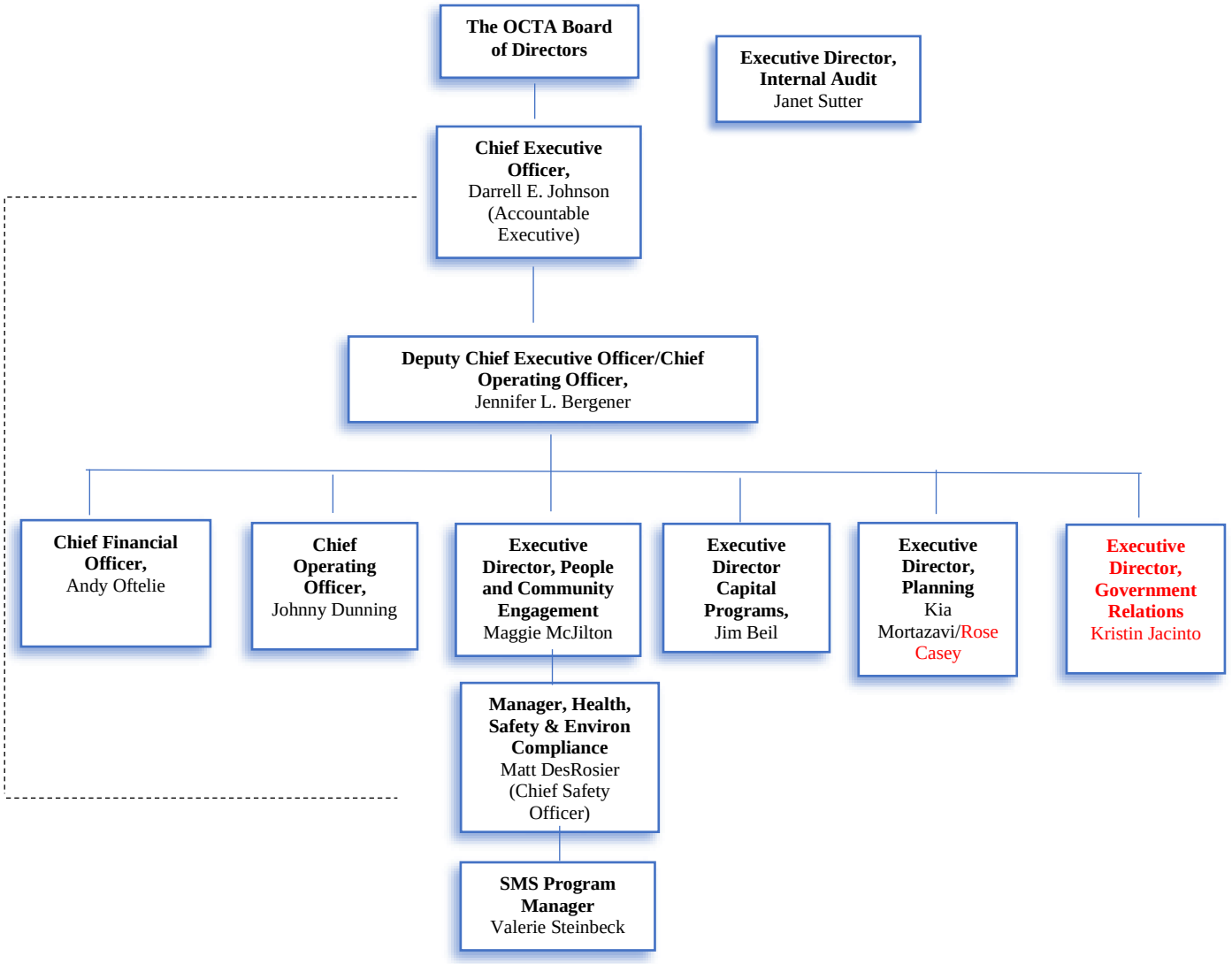
The Health, Safety, & Environmental Department, led by the Health, Safety, & Environmental Compliance Manager/CSO, reports directly to the CEO through a dotted line and reports

administratively daily to the Executive Director of PACE. The Health, Safety, & Environmental Compliance Manager/CSO, is responsible for the development, implementation and administration of environmental, health, safety and sustainability policies, procedures, and programs designed to ensure regulatory compliance, minimize hazards and promote a culture of safety and sustainability. Provides leadership, technical expertise and strategic planning for implementing employee safety programs, fleet and construction safety, wellness, and environmental compliance. Assists all departments in maintaining a safe and secure environment by providing guidance in identifying and evaluating hazards and vulnerabilities and minimizing the hazardous conditions and/or vulnerabilities to their lowest achievable level.

The CSO oversees SMS, the SMS Program Manager, and is the chair of the SMS/PTASP Committee. The HSEC Department consists of the CSO, SMS Program Manager, and safety staff to achieve its safety responsibilities as outlined in this document.

Figure 2

Executive Management Reporting



Chief Safety Officer (CSO)

The CSO takes a proactive approach by performing the following activities:

- Manages and implements the Public Transit Agency Safety Plan, as well as answers any questions regarding the Agency's Transit Safety Plan;
- Chairs the SMS/PTASP Committee meetings;
- Leads OCTA in the implementation of the Safety Management System throughout the Agency;
- Participates in formal meetings with the FTA, CEO and other OCTA management on safety issues;
- Reports safety performance measures/targets to the MPO; and
- Develops and implements safety policies, procedures, and programs risk identification, evaluation, control, funding, and administration.

SMS Program Manager

Assists the CSO in all functions and takes the lead in the following safety functions:

- Co-chairs the SMS/PTASP Committee meetings;
- Promotes and coordinates the Safety Management System methodology within the Agency;
- Participates in formal meetings with the FTA, CEO, and other management on safety issues;
- Investigates employee and vehicle accidents, incidents, and injuries; assists in developing programs to reduce injuries;
- Serves as OCTA's main contact with other agencies related to safety programs and procedures and prepares case records, documents, and data required by such agencies;
- Compiles and analyzes safety statistics; produces reports, records, documents, and manifests; accesses and updates database files;
- Coordinates staff safety meetings and attends meetings, conferences and group functions related to safety;
- Conducts training sessions relating to safety;
- Identifies health and safety concerns, analyzes reports and information, develops programs for accident/injury prevention, and submits recommendations to reduce frequency of accidents;
- Identifies safety concerns and issues, and participates in the design and implementation of safety policies and procedures;
- Performs hazard analyses as necessary;
- Tracks hazards and corrective actions; and
- Performs other job-related duties, as directed.

To ensure transit operations are conducted in the safest manner possible, all appropriate personnel have been assigned Safety and SMS related responsibilities, Table 1: Safety Roles and SMS Responsibilities. In addition, within OCTA, each department/function provides distinct roles and carries out specific responsibilities to ensure the safety of passengers, employees, local responders, and the community served.

Table 1

Safety Task Roles and Responsibilities

SAFETY TASKS	SSO	Accountable Executive / Executive Dept.	Operations Management	Safety	Security and EP	Finance / CAMM	TTS / Engineering	PACE / Risk Management	Planning & Development	Internal Audit	D-Daily M-Monthly Q-Quarterly Y-Yearly AR-As Required
Safety Management Policy Statement	A	P	P	P	S	S	S	S	S	S	AR
Develop PTASP	A	P	P	P	RC	RC	RC	RC	RC	RC	AR
Update PTASP	A	P	P	P	RC	RC	RC	RC	RC	RC	AR
Liaison with SSO	N/A	S	S	P	S	S	S	S	S	S	AR
External PTASP Assessment	P	S	S	P	S	S	S	S	S	S	AR
Conduct Internal Safety Assessment/Audits	A	A	S	P	S	S	S	S	S	P	Y
Internal Safety Reporting and Program Monitoring	A	S	S	P	S	S	S	S	S	S	AR
Safety/Security Certification	RC	A	P	P	P	S	P	S	S	S	AR
Develop Emergency Response Plans	A	A	S	S	P	S	S	S	S	S	Y
Safety Hazard, Near-Miss, and Incident Identification and Reporting	RC	P	P	P	P	P	P	P	P	P	AR
Collect and Analyze all Safety Data and Measurements	RC	S	P	P	S	S	S	S	S	S	AR
Collect and Analyze all Security Data and Measurements	RC	S	P	S	P	S	S	S	S	S	D
Maintain Database of Safety Statistics, Measurements, Trends	RC	S	P	P	S	S	S	S	S	S	D
Maintain Database of Security Statistics, Measurements, Trends	RC	S	P	S	P	S	S	S	S	S	D
Issue Accident/Incident Statistics and Reports	A	S	S	P	P	S	S	S	S	S	D
Review Passenger Accident Trends	RC	S	P	S	S	S	S	S	S	S	M
Conduct Accident/Incident Investigations	A	A	P	P	P	S	S	S	S	S	AR
Report Required Threshold Accidents to Outside Agencies (SSO, FTA)	A	A	P	P	S	S	S	S	S	S	AR

SAFETY TASKS	SSO	Accountable Executive / Executive Dept.	Operations Management	Safety	Security and EP	Finance / CAMM	TTS / Engineering	PACE / Risk Management	Planning & Development	Internal Audit	D-Daily M-Monthly Q-Quarterly Y-Yearly AR-As Required
Safety Risk Assessments	RC	A	P	P	P	P	P	S	P	S	AR
Hazard/Risk Management and Mitigations	A	S	P	P	P	S	P	S	P	S	AR
Design Reviews	RC	S	P	P	P	S	P	S	P	S	AR
Change Control	N/A	S	P	S	S	S	P	S	S	S	AR
Safety Training Program	RC	A	P	P	S	S	S	S	S	S	AR
Security Training Program	RC	A	P	S	P	S	S	S	S	S	AR
Safety Communication	RC	S	P	P	P	S	P	S	S	S	AR
Occupational Safety and Health Program Compliance	RC	P	P	P	S	S	S	S	S	S	AR
Security and Emergency Response Program Compliance	RC	P	P	P	P	S	S	S	S	S	AR
Maintain Accident Record Keeping, Employee Injury Reporting Forms, and Related Data	RC	S	S	P	S	S	S	S	S	S	AR
Provide Claims Administration and Investigation	RC	S	S	S	S	S	S	P	S	S	D
Corrective Action Plans	A	S	P	P	P	S	P	S	S	S	D
Contractor Oversight and Compliance Assurance	RC	S	S	P	S	S	S	S	S	S	AR
PTASP Documentation Control	RC	S	S	P	S	S	S	S	S	S	AR

Legend:

A	**Approval**	The identified participant(s) is (are) responsible for approval of specified documentation
P	**Primary Task Responsibility**	The identified participant(s) is (are) responsible for the preparation of the specified documentation.
S	**Secondary or Support Task Responsibility**	The identified participant(s) is (are) to provide the necessary support to accomplish and document the task.
RC	**Review and Comment Responsibility**	The identified participant(s) may review and provide comments on the task or requirement.

6. SAFETY RISK MANAGEMENT (673.25)

6.1 Safety Risk Management Process 673.25(a)

Safety Risk Management promotes the identification of hazards before they escalate into accidents or incidents, assesses safety risk, and establishes necessary mitigations. The Safety Risk Management process is comprised of the following activities: safety hazard identification, safety risk assessment, and safety risk mitigation.

6.2 Safety Hazard Identification 673.25(b)

Hazard identification and resolution is a core element of the PTASP/SMS emphasizing timely correction of unsafe conditions, anticipated and reconciled before serious accident, injury, or damage occurs. OCTA has the following hazard identification sources in place:

- Employee safety reporting;
- Safety observations;
- Inspections;
- Internal audits;
- Internal safety investigations;
- Accident reports;
- Compliance programs;
- PTASP/SMS committee reviews;
- SMS data/Industry data;
- State and federal government sources (including CPUC and FTA); and
- Public feedback/complaints.

The objective of hazard identification and analysis is to identify and define as many hazardous conditions as possible and enter them into the Hazard Resolution process before those conditions or associated actions cause or contribute to an accident. Hazard identification is accomplished through on-site hazard identification, hazard reporting, and/or as each Department or Base Manager collects and analyzes data to monitor trends. Departmental and Base Managers are responsible for investigating hazards and resolving such hazards within their departments utilizing the Hazard Management Process- Identification/Analysis delineated in Appendix B. When hazards cannot be resolved within the department, the Safety Department, CSO, and Accountable Executive are consulted for resolution.

Data gathered within each department is used to set the agenda for PTASP/SMS Committee meetings, where hazard data is discussed, evaluated, and disseminated to each representative departmental manager for use interdepartmentally and agency wide. The SMS Program Manager is responsible for preparing monthly data and trend analysis reports which are reviewed at monthly PTASP/SMS Committee meetings. The monthly report(s) are distributed throughout OCTA as part of Safety Promotion/Communication strategies.

OCTA documents hazards that develop through multiple sources, such as: employee reporting, accidents, incidents, and leading or lagging indicators. OCTA also evaluates hazards to determine if multiple events occurred leading up to an event. This ensures each possible cause is evaluated and documented for trending purposes.

6.3 Safety Risk Assessment 673.25(c)

OCTA's Hazard Analysis Process establishes processes to assess the safety risks associated with identified hazards. The process assesses the safety risk based upon predicted probability and severity of a hazard's potential consequences.

The probability that a hazard will occur during the planned life expectancy of the system element, subsystem, or component can be described subjectively in potential occurrences per unit of time, event, population, items, or activity. Supporting rationale for assigning a hazard probability is documented in hazard analysis reports.

The severity of a hazard is defined to provide a qualitative measure of the worst credible mishap resulting from operational risks, personnel error, environmental conditions, design inadequacies, and procedural deficiencies for a system, subsystem, or component failure or malfunction.

Safety Risk Assessment Request Process

The process allows OCTA employees to submit safety concerns, as a non-punitive safety reporting system. Hazards that are deemed by Operations and/or HSEC to be an immediate threat to safety, for example poor footing in walk areas, are expected to be immediately corrected. The process is as follows:

1. Employee reports hazard to supervisor/manager, safety committee member or union steward or employee can enter a request through the safety department intranet site, Ri2, or the Ethicspoint.
2. Report entry and tracking into ORIGAMI.
    a. Once entered into the database, a tracking number is assigned, and a notification is sent to the requestor via email.
    b. Primary safety staff notified via email, review for complete information, and route assignments; post updates as progress is made.
3. Review of issues – issues reviewed by safety and other experts as needed.
4. Conclusions and actions to be taken – conclusions of the review guide follow-up actions to be taken.
5. Response to the requestor – primary safety staff sends written report to conclusions and actions taken, once determined and completed.

6.4 Safety Risk Mitigation 673.25(d)

Hazards which cannot be eliminated are mitigated through engineering controls, administrative controls, or personal protective equipment. Hazards that pose an imminent danger are expected to be immediately mitigated through the organization's stop work authority.

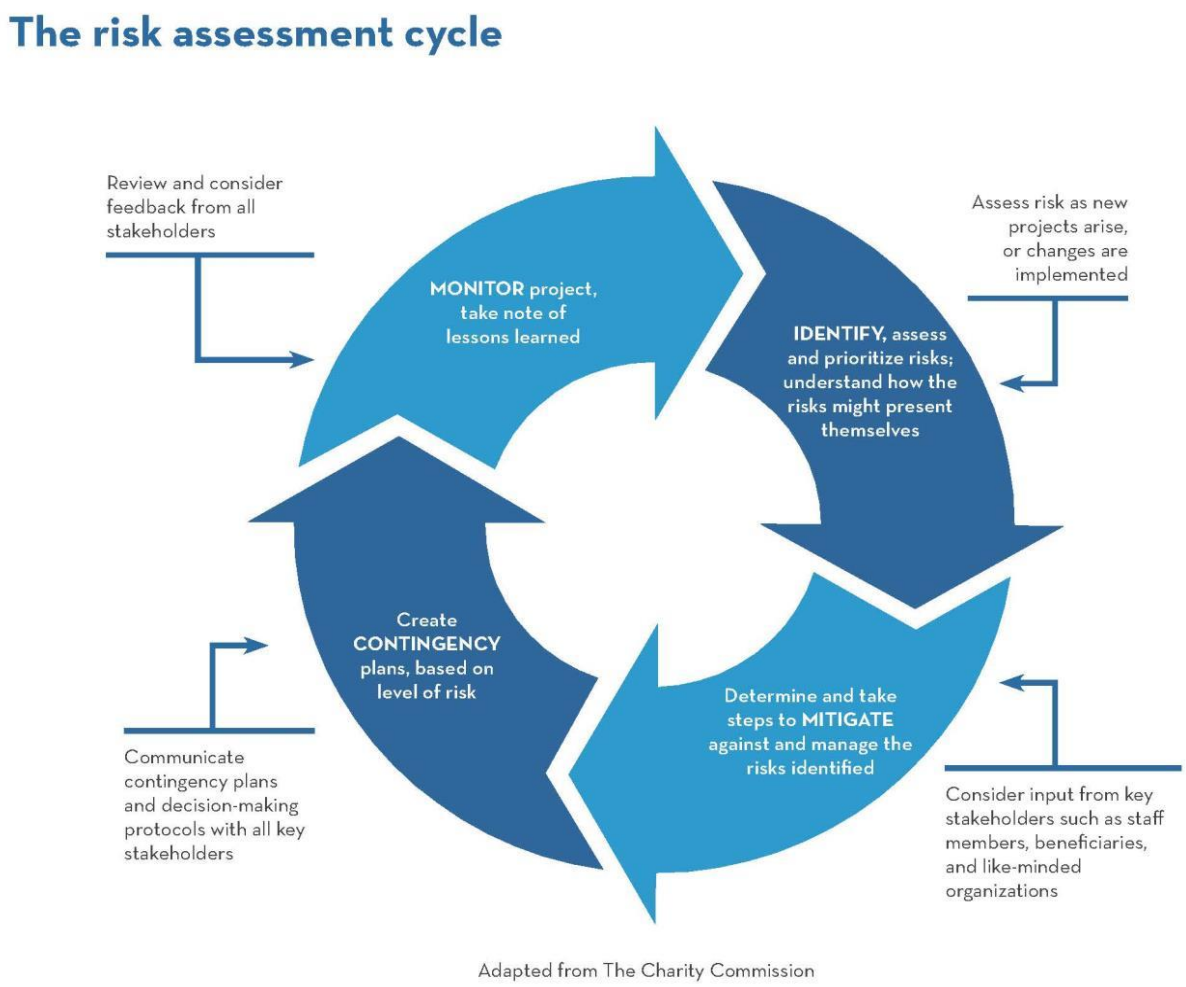
The Accountable Executive and the CSO have authority to implement operational changes that have safety implications. Accordingly, all hazard identification and analysis proceedings should result in the issuance of a report by the SMS Program Manager to the CSO. The report includes all pertinent data developed by the PTASP/SMS Committee on the identified hazard and risk evaluation process. A recommendation achieved by consensus of the Committee is included, regardless of whether the recommendation is for a change in existing conditions or procedures, or for retention of the existing condition/risk. Any disagreement on the matter, or suggested negative ramifications of the recommendation, must also be included for review and consideration by the Accountable Executive.

The PTASP/SMS Committee Chair (CSO) discusses reports with the Accountable Executive; if required, the CSO will direct the SMS Program Manager to prepare a report based on the Accountable Executive's response to the recommendation, including all necessary data pertaining to the decision. If deemed necessary, the appropriate department will be directed to arrange any necessary field testing, pilot program, or controlled environment for developing additional information. Such testing may be requested by the Accountable Executive, CSO or the PTASP/SMS Committee and documented.

Hazards identified within the system are evaluated by appropriate staff and eliminated or mitigated to an acceptable level. The Hazard Analysis Process has been developed to ensure the optimum level of safety is achieved through the expeditious resolution of hazards. In the event the hazard has been categorized as UNACCEPTABLE, the CSO is responsible for maintaining the necessary information, notifications, and Corrective Action Plans. Figure 3, Risk Assessment Flow Diagram displays the risk assessment cycle.

Figure 3

Risk Assessment Flow Diagram



6.5 Emergency Preparedness

Integration with Public Safety and Emergency Management

Effective emergency preparedness, response, coordination, and training are essential elements to minimize loss resulting from an emergency or disastrous event. The objective of emergency preparedness and planning is to ensure a fast efficient response to emergencies or disasters in a manner that minimizes risk to the safety and health of passengers, employees, and emergency response personnel, the community, and property.

Responsibilities for Emergency Preparedness

Responsibility of emergency preparedness planning, coordination, and training resides with OCTA management; however, the Security and Emergency Preparedness Department is responsible for providing a safe and secure environment with an "All Hazards" approach based on preparedness, protection, response, and recovery.

The primary OCTA EOC is located at the OCTA Administration Building, 600 South Main Street, Orange, CA 92868. OCTA's alternate EOC is located at the Garden Grove Annex.

The purpose of the EOC is to provide a facility from which the organization's response to an emergency can be coordinated effectively and to bring together all relevant information about the emergency in one place; organize that information into a useful format; and facilitate the coordination of resources needed to mitigate the effects of the emergency. The EOC will provide a single focal point for centralized activities, which include:

- Management of information;
- Decision making;
- Resource support; and
- Resource application.

Transit Operations and local managers, supported by the Security and Emergency Preparedness Department, are responsible for training employees in emergency management, emergency resources (e.g., telephone numbers, local vendors, location and inventory of emergency supplies, etc.), and response protocols of local agencies.

OCTA's Security and Emergency Preparedness Department develops, implements, and administers agency-wide security and emergency management programs and procedures for all the Agency's multimodal operations and activities in accordance with federal, state, and local regulations, industry standards and the Agency's policies, including but not limited to:

- Emergency Operation Plan;
- System Security and Emergency Preparedness Plan (SSEPP)*; and
- Continuity of Operations Plan*.

Sensitive Security Information is available upon request and appropriate processing.

The Security and Emergency Preparedness Department also improves emergency preparedness by evaluating responses to actual events. After action reviews are conducted for every emergency response. For major events where there are multiple injuries, property damage, or service disruption, formal review meetings are conducted and documented.

Emergency Exercises

The Security and Emergency Preparedness Department is responsible for organizing and oversight of the annual emergency preparedness drill. Exercise planning is a continuous process with

preliminary plans for subsequent activities established as each exercise is planned and conducted. Recommendations and primary safety goals and objectives that OCTA wants to convey to the emergency response agencies are presented to the Security and Emergency Preparedness Department which determines the drill scenario and location each year.

The execution of these activities will function as part of OCTA's Safety Review Process and will serve to evaluate the emergency response capabilities and procedures of all involved parties. Scenarios are acted out to demonstrate, inform, and train OCTA personnel and emergency responders of their individual roles and responsibilities. Findings generated through these activities are documented, and corrective actions generated because of exercises will be developed and tracked through Corrective Action Plan (CAP) completion.

7. SAFETY ASSURANCE (673.27)

The Safety Assurance component describes how OCTA implements mitigations that are prudent and effective in addressing potential risk of identified hazards. Organizationally, safety related data is collected, analyzed by the SMS Program Manager, and transmitted to the SMS/PTASP Committee for the purpose of review, trending, and use by the Agency to support the review of safety objectives and goals.

7.1 Safety Performance Monitoring and Measurement 673.27 (b)(1)

Each OCTA department generates its own performance data used for detection of trends or problems prior to the development of major safety concerns. It is the task of OCTA's SMS Program Manager to monitor and measure the safety performance of the agency's operations through data provided from all OCTA departments and to report to the CSO and the PTASP SMS Committee quarterly.

ORIGAMI is an electronic tool used to track and monitor safety data and objective performance. ORIGAMI is a database that tracks an occurrence or condition, identifies the responsible party, and tracks an item's corrective/preventive actions to closure.

Selected data is accumulated and analyzed for ongoing trending and performance measurements, including fatalities, injuries to passengers and/or OCTA personnel, system reliability, and other safety related events. The SMS Program Manager reports the results of such data quarterly at the SMS/PTASP Committee meeting and Joint Labor Management Safety Committee.

7.2 Hazard Mitigation Monitoring Process 673.27 (b)(2)

Monitoring and measurement establishes a baseline for a system, comparing the difference between the criteria and condition at a specific point in time. Once a baseline or goal is established through monitoring and measurement, data can be used as criteria in evaluating operations to reduce risk and hazard and overall safety objective/goal achievement. Ongoing monitoring is built into OCTA's operations, performed continually, and responsive to change. Ongoing monitoring includes regular management and supervisory activities, comparisons, reconciliations, and other routine actions.

OCTA's Operations Management and the Safety Department perform base safety inspections, record the walk, and document any observations.

OCTA, under the regulatory requirements established by the California Occupational Health and Safety Administration (Cal/OSHA), also utilizes an Injury and Illness Prevention Program (IIPP) to establish methods and processes to identify and eliminate unsafe conditions or practices and control workspace safety hazards. All other local, state, and federal regulations that govern safety compliance outside the jurisdiction of the FTA support the SMS efforts.

Safety Certification

Safety Certification is the process of verifying that safety requirements are included as early as the planning phase through the life of a project, ensuring the safety of customers, employees, emergency responders, and the public to aid in establishing a proactive approach towards hazard mitigation.

OCTA requires the Safety Certification process to be performed for major projects, rehabilitating, or modifying existing systems, or to replace vehicles and equipment. Once the need for Safety Certification is identified, the process becomes part of the project, beginning with the preparation of the project specification and the design contracts. Safety objectives are considered during all activities of a project. Safety objectives include but are not limited to:

- Establish a formalized process that is sufficiently documented to verify compliance with safety requirements;
- Ensure safety is an integral part of the design, procurement, construction, testing, and operations;
- Ensure safety decisions are made by appropriate Project Managers, committees, and responsible contractors;
- Ensure any safety hazards and vulnerabilities that become apparent during reviews, audits, inspections, or system testing are resolved, either by redesign, use of safety/warning devices, or by implementation and enforcement of special procedures; and
- Ensure affected outside response agencies, including fire and police departments, are prepared to respond.

7.3 Accident Notification, Investigation, and Reporting 673.27 (b)(3)

Effective accident/incident investigation and reporting is key to identifying and eliminating hazards to prevent reoccurrence. To minimize and control the threat to life, health, and property, it is essential all appropriate parties be notified of an accident/incident as quickly as possible to ensure a timely response to the scene. Accident/incident reporting and investigation shall be conducted to ensure all accidents/incidents are investigated objectively with the goal of determining causal factors and contributing causal factors.

OCTA's Incident and Injury Investigation Policy provides investigation criteria and guidelines for incidents that result in property damage, occupational injuries, environmental damage, or similar unforeseen harmful events. OCTA has an accident notification system (NOTO), Everbridge, which sends email notification to key organizational personnel, including the Safety Department, regarding an incident or passenger/employee injury. When Central Communications gets a call notifying them of an incident or injury; Central Communications logs the call, generates an occurrence in ORIGAMI and develops and distributes a NOTO. If necessary, in the event of an incident or injury, Emergency Response agencies will be dispatched immediately.

In the event of an accident/incident, a Field Supervisor has the responsibility to respond to the occurrence. The Field Supervisor will then report to his/her supervisor, who is responsible for notifying and updating the base management and Central Communications during the response

efforts. The report from the accident/incident or investigation is submitted to Base Management for review through ORIGAMI. The reporting structure/responsibilities for accidents/incidence is outlined in OCTA's Employee Safety Responsibilities Matrix.

If during an onsite investigation/inspection, a concern arises that constitutes an immediate threat to safety, OCTA staff and management will halt the operation through "stop work authority" and respond immediately to reduce the safety hazard to an appropriate level using the safety risk mitigation processes. Any issues or findings are provided to the CSO and SMS Program Manager in writing for tracking safety performance and for inclusion in the quarterly SMS/PTASP Committee meeting report.

Corrective Action Resulting from Accident Investigation

Corrective Action Plans for accidents and incidents will follow the same procedures delineated in the Safety Risk Management section.

7.4 Drug and Alcohol Policy

OCTA has implemented the FTA regulations as set forth in 49 CFR Part 655 and require testing for prohibited substances in the case of transit accidents. OCTA's process for conducting such testing is delineated in the OCTA Drug and Alcohol Policy Manual.

7.5 Internal Safety Reporting Program Monitoring 673.27 (b)(4)

OCTA currently records and reports safety data from operations and facilities to the CSO and SMS Program Manager; the data is recorded and reported to the SMS/PTASP Committee. The SMS Program Manager monitors the safety data for performance measurement and trending. Further, in accordance with the FTA NTD Safety and Security Policy Manual, the OCTA data is recorded and reported in accordance with federal regulations.

Internal Safety Audits

OCTA's current internal audit process is a proactive approach that verifies safety programs have been developed, implemented, and are effective. The internal audit process assesses the effectiveness of safety programs, identifies process deficiencies, identifies potential hazards in the operational system, identifies weaknesses in system safety programs, verifies prior corrective actions are being tracked for closure and evaluates their effectiveness, recommends system safety improvements, provides management with an assessment of the system safety program, and assures continuing evaluation of safety-related programs, issues, awareness, and reporting. OCTA's SMS practices and processes may be evaluated in whole or in part, during regularly scheduled internal audits and according to OCTA's Board-approved audit plan.

OCTA will conduct its own independent audit of the PTASP and SMS practices according to the SSOA schedule and requirements, using adequately trained SMS staff, consultants, or contractors. OCTA will also participate in the FTA triennial reviews, providing trained and knowledgeable

staff and/or consultants in SMS, OCTA's operational processes, and appropriate documentation of such processes, as requested by reviewers.

7.6 Change Control 673.27 (c)

Stimuli for system changes and modifications originate both internally and externally and those changes may introduce new hazards and safety risks into transit operations. In either case, appropriate staff are assigned responsibility for managing and implementing the change and evaluating the change through the Safety Risk Management Process. This process demands coordination and cooperation within and between OCTA divisions, departments, and relevant outside agencies and organizations.

OCTA is establishing a process where all proposed changes will flow through the Change Control Committee and this process will be in accordance with OCTA's Change Control Policy.

The Change Control Policy sets up a Change Control Committee that meets monthly, or as needed, to evaluate proposed and/or potential changes affecting OCTA systems; these changes include those affecting system reliability, system maintainability, system upgrades, system expansions, ability to share information with other systems, and the ability to integrate with other systems. The Change Control Committee discusses project status, planned future projects, new business and assignments, safety impacts, potential hazards, and other relevant topics. The Change Control process accommodates changes and ensures documents, records, and data remain concise and valid.

It is important that safety requirements are included as early as the planning phase through the life of a project, ensuring the safety of customers, employees, emergency responders, and the public is considered. Safety objectives are incorporated into all projects in accordance with the Change Control Policy.

7.7 Continuous Improvement 673.27(d)

Evaluation of the SMS is necessary to ensure it effectively and efficiently allows OCTA to meet safety objectives and performance targets. OCTA uses the data and information collected from the subcomponents in this Safety Assurance section while conducting safety performance monitoring to address any identified deficits in SMS organizational structures, processes, and resources in a timely manner. OCTA strives for continuous improvement and recognizes this is a dynamic process and significant efforts within Safety Assurance and Safety Promotion are required to improve systems and practices to comply with SMS standards.

Data Analysis and Tracking

Safety-related data is collected, compiled, organized, stored, and maintained by individual departments, the data is then reported to, and analyzed by, the SMS Program Manager. Further, the information gathered during this process is reported to the PSMS/PTASP Committee by the SMS Program Manager and used by OCTA to identify hazards through trend analysis. If a trend is identified through the analysis, the trend is further investigated to determine the causes and

tracked through resolution by the responsible department and the SMS Program Manager. Moreover, tracking of hazard–related data is used to identify trends; trends are further analyzed and/or investigated to determine causal factors. Identified hazards are categorized with corrective action recommendations. Corrective actions are tracked within the responsible department to closure using a hazard tracking log and reported to the SMS Program Manager.

Procurement Risk Mitigation

OCTA's Procurement Policy describes procedures to guide staff members, potential vendors, contractors, and suppliers with respect to procurement activities taken on behalf of OCTA, recognizing safety and asset protection as core business values.

Equipment, materials, and professional services for use by OCTA are procured based on safety and industry specifications provided by the user department. `OCTA policies and procedures require management authorization for all purchases. Requisitions are reviewed by the associated management of the requesting department for safety specifications and efficient and effective usefulness. Larger purchases require a contract developed under supervision of an associate manager and are subject to approval by the Board. This ensures all essential specification requirements, applicable standards, and restrictions are included in the contract terms. Purchasing personnel are not authorized to modify the specifications or grant exceptions.

In its effort to ensure the procurement process considers and evaluates the safety aspects of services, equipment, and other materials obtained, OCTA includes safety specification requirements in all technical specifications and contracts. The Procurement Department requires all safety-related purchase requests be reviewed and approved by the Project/Procurement Manager in consultation with the Safety Department.

Transit Asset Management (TAM)

TAM is a business model used to guide the prioritization of funding based on the condition of assets. TAM defines State of Good Repair as the condition of an asset to operate at full performance level: able to perform its designated function, does not pose an unacceptable safety risk, and its lifecycle investments have not been met or recovered. OCTA has adopted TAM as the official, institutional approach in managing infrastructure assets, making capital investment and operational expenditure decisions, and considers the results of its condition assessments while performing safety risk management and safety assurance activities. TAM data is provided to the SMS Program Manager for inclusion in the monthly SMS/PTASP Committee meeting agenda.

8. SAFETY PROMOTION (673.29)

Safety Promotion fosters a positive safety culture and improves safety performance by increasing safety awareness through training and communication. Appropriate training for all employees regardless of their position within OCTA provides knowledge for a successful SMS. Through communication of lessons learned and safety performance data, employees are made aware of safety priorities and concerns as they relate to their individual job tasks and the entire OCTA organization. Developing a safety culture requires regular training and ongoing promotion. The activities below must be continually implemented, reviewed, and updated.

8.1 Safety Training Program 673.29 (a)

With the implementation of the PTASP and SMS, OCTA has adopted a training program to ensure all employees are aware of the PTASP and SMS responsibilities. New employees will be trained while attending new employee orientation/onboarding and current employees will undergo SMS/PTASP familiarization training. All employees will sign-off verifying they have been trained in the SMS process and understand their role and responsibility.

Employees at all levels of the Agency need to understand 1) what SMS is, 2) how it supports OCTA's mission, and 3) what their specific individual SMS responsibilities are. OCTA has developed criteria to identify and provide skills training related to safe job performance to include initial and refresher training for all relevant job functions. Training includes measures for ensuring employees are competent to perform their safety-related duties.

OCTA has robust safety training programs including, but not limited to, the following:

- Student Coach Operator Training (SCOT)
- Operations new-hire training
- Annual Required Training (ART)
- CAL/OSHA required training
- OCTA CORE 11 Safety Training
- Retraining based on performance deficits
- Maintenance new hire and ongoing training
- Maintenance tailgate meetings
- Safety Spotlights

Employees receive training related to the employee safety-reporting program during initial orientation training and are encouraged to use the identified mechanisms to report safety hazards, near misses, concerns, and issues. Bus operator and vehicle maintenance employee training programs provide opportunities for delivering SMS related training. OCTA's six-week formal new-hire bus operator training program curriculum includes classroom and behind-the-wheel training. Operator and mechanic training include an eight-hour ART program to meet the requirements of a commercial driver's license. Maintenance employees receive extensive training at hire and aggressive ongoing skills development training and refresher training on safety-related topics.

All SMS/PTASP safety-related classroom and on-the-job-training are appropriately documented within individual employee safety training records and can be accessed through the Learning Management System (LMS) and Records Management. Training documentation for operators and mechanics is kept within the individual departments and mandatory administrative training is documented through Halogen LMS software. All training records can be accessed upon request.

OCTA evaluates the effectiveness of its safety-related training through departmental inspections, compliance assessments, and audits. All formal training processes shall be reviewed and audited periodically, when an accident investigation lists training as contributory, when training becomes suspect during any hazard analysis process, or when summary student test scores indicate low instructional effectiveness. All training classes, training manuals, and lesson plans are subject to review and audit.

Safety-related training curriculum for all employees is updated to reflect new techniques, technologies, and results of investigations, corrective actions, and regulatory changes. OCTA provides training to employees on new equipment, technologies, and regulatory changes as necessary.

Emergency Response Planning, Coordination, and Training

The Security and Emergency Preparedness Department is responsible for providing a safe and secure environment with an "All-Hazards" approach based on preparedness, protection, response, and recovery. The Department ensures OCTA is compliant with required employee training in the National Incident Management System and the 9/11 Commission Act.

Operations managers are responsible for training employees on evacuation procedures, facility emergency management organization, emergency resources, response protocols of local response agencies, and the SMS.

Contractor Safety

Contractors are required to comply with all applicable State and Federal Regulations and those established by OCTA. Each contractor is responsible for and shall comply with all safety, fire, security policies, procedures, and safe work practices, as well as any other appropriate safety procedures specified in the contract. OCTA reserves the right to audit training activities at its discretion.

8.2 Safety Communication 673.29 (b)

OCTA has developed quantifiable goals to ensure performance can be tracked, evaluated, and measured for continued improvement and success. OCTA has established effective safety communication activities to ensure all employees and contractors are aware of the following goals and responsibilities:

- Continue growth and development of all OCTA SOPs, Policies, and Plans on an annual basis to ensure they reflect the current operating environment;
- Continue to grow SMS, allowing OCTA to systematically identify safety hazards, mitigate risk and reduce fatalities and injuries resulting from transit operations;
- Reduce the injury incidence rate by minimizing exposure to unsafe conditions and reducing hazardous employee behavior;
- Provide a safe and efficient transit operation by ensuring that all vehicles, equipment, and facilities are regularly inspected, maintained and serviced as needed; and
- Achieve 100 percent of scheduled routine inspections, preventive, and regular maintenance work is completed on time, and essential repairs are addressed in a designated time.

Further, OCTA ensures employees and contractors are mindful of SMS responsibilities, processes, activities, and tools relevant to their responsibilities through the following communication platforms:

- Employee safety reporting;
- Safety meetings;
- Union meetings;
- Coach operator quarterly meetings with supervisors and managers;
- OCTA Intranet; newsletters, safety bulletins, audio-visual monitors in break rooms;
- Signage;
- Operator log-in messages;
- Text message alerts;
- Radio supervisor communication with operators;
- One-on-one communication between supervisors and frontline employees;
- Daily Maintenance Tailgate meetings;
- Meetings with contractors;
- Committee meetings;
- Safety emails and notifications;
- Safety captains;
- Base television displays and bulletin boards;
- Safety campaigns;
- Intranet postings.

As part of the SMS program, the SMS Program Manager collects data to provide performance reports and trend analysis to the SMS/PTASP Committee, to include: the types of safety actions taken, why safety procedures have been introduced or changed, and information related to significant accident and incident investigation outcomes. OCTA communicates employees' responsibilities in OCTA Staff Safety Roles and SMS Responsibilities Matrix, Appendix B.

8.3 SMS Documentation and Records 673.11 (c), 673.31

OCTA must at a minimum, maintain documents that set forth its PTASP, including those related to the implementation of its SMS, and results from SMS processes and activities. As part of 673.31 (d), OCTA will maintain all documentation regarding SMS and PTASP, including results. The documentation will be available upon request by the FTA or other federal entity having jurisdiction and to auditors. OCTA's SMS documentation will be maintained for three years, in accordance with FTA requirements and OCTA's Records Management.

OCTA has set up a SharePoint site application for all PTASP/SMS recordkeeping. The SharePoint site application allows for ease of document review, sharing, control, and archiving PTASP/SMS documents between authorized/applicable personnel. Documents on the SharePoint site may include but are not limited to: Draft and Final PTASP, meeting agendas, meeting minutes, audit reports, Emergency Management Plan, PTASP-related correspondence, data reports, hazard analyses, corrective action logs, training, etc.

APPENDIX A
IMPLEMENTATION ACTIONS

2025 IMPLEMENTATION ACTIONS

PTASP/FTA Code	Action Item	Timeline	Responsible Person / Group
673.23	Review and update PTASP	Annually	HSEC/ Joint Labor Management Safety Committee
673.23	Safety Management CEO communication	Quarterly	HSEC/Human Resources /Operations
673.27	Independent PTASP/SMS assessment utilizing contractor, consultant, or other third-party organization (three-year cycle)	Q4 2025	HSEC
673.25	Complete a formal risk analysis for existing operational hazards	Q4 2025	HSEC / Operations

HSEC-HEALTH, SAFETY & ENVIRONMENTAL COMPLIANCE, SMS – SAFETY MANAGEMENT SYSTEM, CEO – CHIEF EXECUTIVE OFFICER, Q2 –SECOND QUARTER, Q4 –FOURTH QUARTER

APPENDIX B
HAZARD MANAGEMENT PROCESS-IDENTIFICATION/ANALYSIS

OCTA facilities require System Safety to be effective in helping identify and minimize hazards, in a mature operational environment. Hazardous conditions are identified, investigated, and resolved to an acceptable level. This Hazard Identification/Analysis document, and the associated system safety tasks, provide for a method of identifying, analyzing, assessing, and resolving conditions or circumstances that are deemed to present a threat to the safe operation of OCTA transit system.

This Hazard Analysis document incorporates proven methods of tests and inspections employed by each OCTA division and department, enabling the examination of all aspects of operation and review of their interdisciplinary ramifications. This provides management with hazard and risk visibility and the causes and effects of potential accidents. In addition, continual monitoring verifies the total system, including but not limited to patrons, the public, employees, contractors, equipment, and the environment; OCTA maintains an acceptable level of safety, and that potential hazards do not exist in operational areas previously determined to be safe.

Hazard identification and resolution is a core element of the PTASP and this Hazard Identification/Analysis document, emphasizing timely correction of unsafe conditions, anticipated and reconciled before serious accident, injury, or damage occurs. To ensure it provides as safe and reliable transportation services as possible, OCTA has established a process by which hazards are identified, analyzed for potential impact on the operating system, and resolved in a manner acceptable to OCTA's management and applicable regulatory agencies.

OCTA management, staff, contractors, and suppliers are required to implement high standards of safety and system assurance throughout the design, construction, testing, and operational phases of OCTA's projects. Hazards, which cannot be eliminated in the design, are to be controlled by safety devices, warning devices, training, and/or written procedures to prevent mishaps. Most hazards are identified in the field, reported, and entered in reports. These hazards are addressed by the responsible departments through routine corrective measures and do not require special attention.

Hazard Identification

Hazard identification is accomplished as Department Managers collect and analyze data to monitor trends. Unless additional resources are requested, the Department Manager investigates and resolves all hazards within their department. OCTA Department Managers review reports daily from the previous days' operation. Immediate corrective action is initiated when appropriate; otherwise, data is evaluated and used to set the agenda for the next PTASP/SMS Committee meeting and the Joint Labor Management Safety Committee. The SMS Program Manager prepares a trend analysis report for PTASP/SMS meeting. Trend analysis reports are reviewed at PTASP/SMS Committee meetings. Additionally, each Department Manager reviews departmental reports and shift change briefings for the previous operational period and makes a similar evaluation for their department.

OCTA documents hazards that develop through multiple sources, such as: accidents, incidents, and leading indicators. OCTA also evaluates hazards to determine if multiple events occurred leading up to an event. This ensures each possible cause is evaluated and documented for trending purposes. To address hazards resulting from system extensions or modifications, operational and other changes, safety analyses included in design and procurement contracts will provide for:

- Identification of potential hazards;
- Assessment of the severity and probability of occurrence of each potential hazard;
- Timely awareness of hazards for those who must resolve them; and
- Tractability and control of hazards through all phases of a project's life cycle.

Hazard Investigation and Reporting

Hazards which are not resolved at the operating, maintenance, or other front-line department level are appropriately investigated by the CSO, assisted by the responsible Operations Department. Investigation findings are documented and reported to the CSO for resolution.

Safety Risk Assessment

Hazard severity categories are defined to provide a qualitative measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies, and procedural deficiencies for a system, subsystem, or component failure or malfunction. The probability a hazard will occur during the planned life expectancy of the system element, subsystem, or component can be described subjectively in potential occurrences per unit of time, event, population, items, or activity. A qualitative hazard probability may be derived from research, analysis, and evaluation of historical safety data from the same or similar systems. Supporting rationale for assigning a hazard probability are documented in hazard analysis reports.

The objective of hazard identification and analysis is to identify and define as many hazardous conditions as possible and enter them into the Hazard Resolution process before those conditions or associated actions cause or contribute to an accident. Although it is virtually impossible to identify every hazard, there are two basic time-tested methods for orderly identification of hazards: inductive and deductive. The inductive hazard identification method consists of an analysis of system components to identify their respective failure modes and the effects they will have on the total system. This method assumes the failure of single elements or events and, through analysis, determines the potential consequential effects on the system or subsystem. The techniques commonly used for inductive hazard identification include:

Preliminary Hazard Analysis (PHA) – A semi-quantitative analysis performed to identify potential hazards and accidental events that may lead to an accident, rank the identified accidental events according to their severity, and identify required hazard controls and follow-up actions.

Sub-System Hazard Analysis (SSHA) – A safety analysis tool for identifying hazards, their associating causal factors, effects, level of risk, and mitigation design measures.

Operating Hazard Analysis (OHA) - Performed to determine all applicable operational safety requirements for personnel, procedures, and equipment throughout all phases of the system life cycle. Engineering data, procedures, and instructions developed from other safety analyses, the engineering design, and initial test programs are all used to support this analysis. Operating hazards are generally resolved in preparation for operations by way of training, developing operating procedures, and developing emergency operating procedures.

These types of hazard analyses may also be utilized by OCTA during major capital projects, system modifications, system changes that require Safety / Security Certification, or as determined by the CSO.

The deductive hazard identification method involves defining an undesired effect or event and then deducing the possible conditions or system component faults (or combinations thereof) which are necessary to cause the undesired effect or event.

Hazard Analysis Methodology

The hazard analysis methodology has two steps: evaluating hazard severity (categorizing the hazard) and evaluating hazard probability.

Hazard Severity

OCTA assigns a hazard severity rating based on the definitions in MIL-STD-882E. It is a subjective determination of the worst case that could be anticipated to result from design inadequacies, human error, component failure or malfunction. The ratings are:

Category 4, Catastrophic - Operating conditions are such that design deficiencies, human error, element, subsystem or component failure or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.

Category 3, Critical - Operating conditions are such that design deficiencies, human error, element, subsystem or component failure or procedural deficiencies may cause severe injury, severe occupational illness or major system damage and require immediate corrective action.

Category 2, 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 can be counteracted or controlled.

Category 1, 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.

Hazard severity categories are defined to provide a qualitative measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies, and procedural deficiencies for a system, subsystem or component failure or malfunction. It reflects

the principle that not all hazards pose an equal amount of risk to personnel safety. ***Hazard Severity Index***

HAZARD SEVERITY		
Category	Severity	Characteristics
4	Catastrophic	Death or system loss
3	Critical	Severe injury, severe occupational illness or major system damage
2	Marginal	Minor injury, minor occupational illness or minor system damage
1	Negligible	Less than minor injury, occupational illness or system damage

Hazard Probability

The probability that a hazard will occur during the planned life expectancy of the system element, subsystem, or component can be described subjectively in potential occurrences per unit time, event, population, items, or activity. A qualitative hazard probability may be derived from research, analysis, and evaluation of historical safety data from the same or similar system. OCTA assigns a probability rating to a particular event or a specific hazard occurring during the planned life expectancy of the operating system. Supporting rationale for assigning a hazard probability is documented in hazard analysis reports.

Hazard Probability Index

HAZARD PROBABILITY			
Description	Level	Specific Individual Event	Fleet/ Inventory
Frequent	6	Likely to occur frequently	Continuously experienced
Probable	5	Will occur several times in the system's lifecycle	Will occur frequently
Occasional	4	Likely to occur sometime in the system's lifecycle	Will occur several times
Remote	3	Unlikely, but possible to occur in the system's lifecycle	Unlikely, but can be expected to occur
Improbable	2	So unlikely it can be assumed occurrence may not be experienced	Unlikely to occur but possible
Eliminated	1	Eliminated	

Hazard Categorization (Identified by Hazard Risk Index)

Through the established process, OCTA will assess the level of risk for each identified hazard to determine what action(s) must be taken to correct or document the hazard risk. This risk assessment system is incorporated into the formal analysis which enables the CSO and CEO, if concurrence is necessary, to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, dollars, operations, etc.) to reduce the hazard to an acceptable level.

The Hazard Risk assesses the risk based upon hazard category and probability and the criteria for defining further actions based upon the index.

OCTA applies its collective, deductive reasoning and/or may utilize a method represented by MIL-STD-882E. The information is compiled, and any necessary statistics or trend information is entered into the permanent file.

Hazard Risk Index

HAZARD RISK INDEX				
Frequency of Occurrence	Negligible	Marginal	Critical	Catastrophic
6	6	12	18	24
5	5	10	15	20
4	4	8	12	16
3	3	6	9	12
2	2	4	6	8
1	1	2	3	4

Probability

Severity

When the Hazard Severity Index is combined with the Hazard Probability Index, the result is the Hazard Risk Index. Each Hazard Risk Index requires a specific level of action. Actions will be taken to eliminate identified hazards or reduce the associated risk. A hazard with a risk index of "Unacceptable" is not permitted and must be redesigned or modified to eliminate or minimize and control the hazard to a more acceptable level.

Hazard Acceptance Criteria

HAZARD ACCEPTANCE CRITERIA		
Hazard Risk Index	Decision Authority	Special Conditions
10 - 24	Unacceptable	Requires review by CSO and Executive Director
4-9	Undesirable	Requires review by CSO and Executive Director
2-3	Acceptable with Review	Requires review by CSO
1	Acceptable	Determination made by Manager; no review required

Hazard Control and Elimination

Before implementation of any corrective action, system safety analyses establish a hazard severity category (1 through 4) and a probability ranking (1 through 6) which are combined to form a Risk Index, reflecting both severity and probability of occurrence for each identified hazard. The range of possible Risk Indices is shown in the above Sample Hazard Evaluation, Analysis, and Resolution Matrix.

Hazard Risk Indices

Risk assessment criteria will be applied to the identified hazards based on their estimated severity and probability of occurrence to determine acceptance of the risk or the need for corrective action to further reduce the risk.

Action will be taken to eliminate identified hazards or reduce the associated risk. Catastrophic and critical hazards will be eliminated, or their associated risk reduced to an acceptable level. If this is impossible or impractical, alternatives will be recommended for the appropriate decision-making Hazard Resolution and Control.

OCTA shall use the Hazard Resolution and Control process as described below. The process involves the analysis and corrective action taken to reduce the risk associated with an identified hazard to the lowest practical level. The order of precedence resolving identified hazards is as follows:

- **Design for Minimum Risk**. Design new facilities and equipment to eliminate hazards. If an identified hazard cannot be eliminated, its associated risks must be reduced to an acceptable level (see Risk Assessment Criteria) through the design selection.

- **Utilization of Safety Devices**. If an identified hazard cannot be eliminated, or its associated risk cannot be reduced through design selection, that risk must be reduced to an acceptable level using protective safety features or devices. Provision is made, and procedure is issued for periodic inspection and functional checks of safety devices.

- **Warning Devices**. When neither design nor safety devices can effectively eliminate identified hazards or reduce risk to an acceptable level, warning devices are used to detect the condition and produce an adequate warning signal to alert individuals to the hazard. Warning devices are standardized to minimize the probability of incorrect reaction of personnel to these warning signals.

- **Develop Special Procedures and Training**. When it is impossible or impractical to eliminate hazards through design selection or adequately reduce its associated risks through safety or warning devices, then approved procedures and special training programs are used. Procedures may include the use of personal protective equipment. Precautionary notations and warning signs are standardized. OCTA employees who perform critical tasks require certification of personal proficiency.

Warning, caution, and other forms of written advisories cannot be used as the only method of risk reduction for UN (Catastrophic) and UD/WR(Critical) hazards.

Facility and system contract documents require that contractors/suppliers solve hazards in accordance with this list, in order of precedence. Specifications include the requirement for contractors/suppliers who provide system, subsystem, or equipment during construction to establish and maintain a safety program. These programs, at a minimum, define objectives, tasks, procedures, schedules, and data submittal for the safety activities that are performed by the contractor/supplier. The safety program and supporting documentation are subject to review and approval by OCTA.

Hazards identified within the system are evaluated by the Safety Committee, appropriate staff, and eliminated and controlled to a level acceptable to OCTA. As part of the hazard resolution process, reports summarizing the status of safety issues and concerns are prepared and distributed to OCTA's management and other project participants for review and comment.

The Accountable Executive or CSO has authority to implement any change that has system safety implications. Accordingly, all hazard identification and analysis proceedings result in the issuance of a report by Safety to the Accountable Executive. The report is prepared by Safety and includes all pertinent data developed on the identified hazard. A recommendation achieved by consensus must be included, regardless of whether this recommendation is for a change in existing conditions or procedures, or for retention of the status quo. Any disagreement on the matter, or suggested negative ramifications of the recommendation, must also be included, to present as much information as possible to the Accountable Executive.

Hazards identified within the system are to be evaluated by appropriate staff and eliminated or controlled to an acceptable level. The following schedule has been developed to ensure the optimum level of safety is achieved through the expeditious resolution of hazards. All hazard levels

are reviewed by appropriate staff. In the event the hazard has been categorized as UNACCEPTABLE, the CSO is responsible for maintaining the necessary information, notifications and Corrective Action Plans.

HAZARD RESOLUTION SCHEDULE	
Criterion	**Resolution Timetable**
Unacceptable	Must be eliminated as soon as possible; there is no other option
Undesirable	Must be resolved in 30 working days
Acceptable with review	Must be resolved in 30 working days
Acceptable	Notification within 30 working days
Eliminated	No notification required

Hazard Tracking

OCTA will utilize a hazard tracking log which consists of the following information and is maintained by the CSO:

- Assigned hazard number;
- Date hazard identified;
- Hazard title;
- Hazard description;
- Sources from which it was identified;
- The element of OCTA's operation affected by the hazard;
- Initial hazard classification;
- Current hazard classification; and
- Corrective action plan.

The hazard tracking log is updated monthly or as requested. All captured data is analyzed for the identification of developing trends to ensure future safety risks/hazards can be mitigated and/or eliminated.

APPENDIX C

PTASP RELATIONSHIP TO OTHER FEDERAL REGULATIONS

Public Transportation Safety Program Rule- 49 U.S.C. § 5329

The Public Transportation Safety Program Rule establishes substantive and procedural rules for FTA's administration of the Public Transportation Safety Program authorized by 49 U.S.C. § 5329. The rule establishes FTA's SMS approach to the development and implementation of the Safety Program. Further, it sets rules of practice for the FTA's enforcement authority and describes the contents of a National Public Transportation Safety Plan.

National Public Transportation Safety Plan (NPTSP)- section 5329(b)

Through the NPTSP, the FTA has adopted the principles and methods of SMS as the basis for enhancing the safety of public transportation in the United States. The NPTSP is a policy document, communications tool, and a repository of standards, guidance, best practices, tolls, technical assistance, and other resources.

OCTA's PTASP was written in accordance with the Public Transportation Safety Program Rule and the NPTSP was a core document in outlining OCTA's SMS.

Public Transportation Agency Safety Plan (PTASP) Rule- 49 CFR Part 673

The FTA published a final rule for the PTASP as authorized by the Moving Ahead for Progress in the 21st Century Act (MAP–21). This final rule requires states and certain operators of public transportation systems that receive federal financial assistance under Urbanized Area Formula Program (49 U.S.C. § 5307) to develop safety plans that include the processes and procedures to implement SMSs. Transit operators must certify they have a safety plan, meeting the requirements of the rule, in place by July 20, 2020. OCTA is on schedule to meet the July 20, 2020, deadline and, to remain compliant, will review and revise the Plan annually and have it certified by the Board.

The safety plan requirements for rail transit agencies under FTA's original State Safety Oversight Rule (49 C.F.R. Part 659) implemented system safety through 21 specific requirements for System Safety Program Plans (SSPPs). The major focus of system safety is to integrate risk management into the overall system engineering process rather than addressing hazards as day-to-day operational considerations. The PTASP replaces the current OCTA BSSPP. Once the OC Streetcar is in operation in 2022, OCTA will be fully responsible to the requirements and for having related practices reviewed by the appropriate State Safety Oversight program.

State Safety Oversight (SSO) Rule- 49 CFR Part 674

On March 16, 2016, the FTA issued a final rule for SSO to oversee the safety of rail fixed guideway public transportation systems, and entities that own or operate rail fixed-guideway public transportation systems with Federal financial assistance authorized under 49 U.S.C. Chapter 53.

The State Safety Oversight Agency (SSOA) has authority to review, approve, oversee, and enforce the Public Transportation Agency Safety Plan for a rail fixed-guideway public transportation system required by 49 U.S.C. 5329(d). The SSOA has investigative and enforcement authority with respect to the safety of all rail fixed-guideway public transportation systems within the State.

Once the OC Streetcar initiates revenue operations, at least once every three years, the SSOA will audit OCTA's compliance with the PTASP required by 49 U.S.C. 5329(d). At least once a year, the SSOA reports the status of the safety of each rail fixed guideway public transportation system to the Governor, the FTA, and the Board, or equivalent entity, of the rail fixed guideway public transportation system. The FTA will audit each state's compliance at least triennially, consistent with 49 U.S.C. 5329(e)(9).

Transit Asset Management (TAM) Rule- 49 CFR Part 625

Through the implementation of its TAM Plan, required under 49 C.F.R. Part 625, OCTA can consider the results of its condition assessments while performing safety risk management and safety assurance activities. The PTASP final rule applies to only Section 5307 recipients and sub-recipients, and the TAM rule applies to all operators of public transit. However, the two plans can support one another by providing useful data for agency use and NTD reporting.

The results of TAM condition assessments, and subsequent SMS analysis can help prioritize a transit agency's TAM Plan elements. Condition assessments help identify potential safety issues, which could undergo a safety risk assessment as part of Safety Risk Management (SRM). Further, TAM data and analysis can also be used for performance monitoring and measurement as part of Safety Assurance. Results of safety risk assessments and safety performance monitoring and measurement can guide the prioritization of an asset for repair or replacement. OCTA is responsible for both the TAM Plan and the PTASP and can benefit by coordinating efforts and data.

Public Transportation Safety Certification Training Program Rule- 49 CFR Part 672

The Safety Certification Training Program establishes a curriculum and minimum competencies for Federal, SSOA personnel and contractors who conduct safety audits and examinations of rail fixed-guideway public transportation systems, and for designated transit agency personnel and contractors who are directly responsible for safety oversight of a recipient's rail fixed-guideway public transportation systems. The final rule for the Safety Certification Training Program replaces an interim program which became effective on May 28, 2015. OCTA should continue to educate individuals whom are directly responsible for SMS or are directly responsible for safety oversight to ensure compliance.

National Transit Database (NTD) Rule 49 U.S.C 5335(a)

Transit agencies receiving funding from the Urbanized Area Formula Program (5307) or Rural Formula Program (5311) are required to submit data to the NTD in uniform categories. OCTA submits reports to NTD each fiscal year. The PTASP rule and NTD reporting rule are related, as both rules require OCTA to track data based on the same data points, fatalities, injuries and safety events per total revenue vehicle mile by mode, with the additional requirement of mean distance between major mechanical failures.

The following table is a summary of FTA safety regulations, which impact the PTASP, requiring OCTA compliance.

FTA SAFETY REGULATIONS

Regulation	Overview
Public Transportation Safety Program Rule CFR Part 670	Establishes the procedural rules for enforcement of FTA's safety programs.
National Public Transportation Safety Plan 49 U.S.C. 5329	Manages the safety risks and safety hazards within public transportation systems.
Public Transportation Agency Safety Plan 49 CFR Part 673	Requires transit agencies to develop and implement safety plans based on SMS principles, performance targets.
State Safety Oversight 49 CFR Part 674	Strengthens state oversight of rail transit systems.
Transit Asset Management 49 CFR 625	TAM Plan establishes state of good repair performance measures and targets NTD reporting.
Public Transportation Safety Certification Training Program 49 CFR Part 672	Establishes training curriculum to ensure basic level of safety-related competency for rail transit system auditing and oversight.
National Transit Database 49 U.S.C. 5335(a)	Reporting system, using uniform categories to accumulate public transportation financial, operating, and asset condition.

Source: https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/regulations-and-guidance

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APPENDIX D

REFERENCED AND RELATED DOCUMENTS

Change Control Policy
Continuity of Operations Plan (COOP)
Drug and Alcohol Policy
Drug and Alcohol Policy Manual
Ethicspoint Policy
Emergency Operation Plan (EOP)
Hazard Identification/Analysis
Injury and Illness Prevention Program
Internal Audit Policy
Joint Labor Management Safety Committee Policy
NTD Reporting Policy
Procurement Policy
Records Management Policy
System Security and Emergency Preparedness Plan (SSEPP)
Safety Review Process
Safety Captain's Committee Policy
Transit Asset Management Plan
Workplace Violence Policy

OCTA

February 3, 2025

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Second Quarter Fiscal Year 2024-25 Capital Action Plan and Performance Metrics

Overview

Staff has prepared a quarterly progress report on capital project delivery for the period of October 2024 through December 2024, for review by the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery, which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority (OCTA) delivers highway, transit, rail, and facility projects from the beginning of the environmental approval phase through construction completion. Project delivery milestones are planned carefully with consideration of project scope, costs, schedule, and assessment of risks. The milestones reflected in the Capital Action Plan (CAP) are OCTA's planned and budgeted major project delivery commitments.

This report provides the second quarter progress report on the CAP performance metrics, which are a snapshot of the planned CAP project delivery milestones in fiscal year (FY) 2024-25.

Discussion

OCTA's objective is to deliver projects on schedule and within the approved project budget. Key project cost and schedule commitments are captured in the CAP, which is regularly updated with project status and any new projects (Attachment A). The CAP is categorized into four key project groupings

of freeway, railroad grade separation, and rail and station projects. Project delivery schedule milestones are used as performance indicators of progress in meeting commitments. The CAP performance metrics report provides a snapshot of delivery milestones planned for delivery in the FY and provides transparency and a performance measurement for capital project delivery.

The CAP project costs represent the total cost across all phases of project delivery, including support costs, right-of-way (ROW), and construction capital costs. Baseline costs, if established, are shown in comparison to either the actual or forecast cost. Baseline costs may be shown as to-be-determined (TBD) if project scoping studies and estimates have not been developed or approved and may be updated as delivery progresses and milestones achieved. Projects identified in the Orange County local transportation sales tax Measure M2 (M2) are identified with the corresponding M2 project logo. The CAP status update is also summarized in the M2 Quarterly Progress Report.

The CAP consolidates the very complex capital project critical path delivery schedules into eight key milestones.

Begin Environmental	The date work on the environmental clearance, project report, or preliminary engineering phase begins.
Complete Environmental	The date environmental clearance and project approval is achieved.
Begin Design	The date final design work begins, or the date when a design-build contract begins.
Complete Design	The date final design work is 100 percent complete and approved.
Construction Ready	The date contract bid documents are ready for advertisement, including certification of ROW, all agreements executed, and contract constraints cleared.
Advertise for Construction	The date a construction contract is advertised for construction bids.
Award Contract	The date the construction contract is awarded.
Construction Complete	The date all construction work is complete and the project is open to public use.

These delivery milestones reflect progression across the project delivery phases shown below.

Project schedules reflect planned baseline milestone dates in comparison to forecast or actual milestone dates. Milestone dates may be shown as TBD if project scoping or approval documents have not been finalized and approved, or if the delivery schedule has not been negotiated with a partnering agency or the consultant preparing or working on the specific phase of a project. Planned milestone dates can be revised to reflect new dates from approved baseline schedule changes. Baseline schedule changes are typically made when transitioning to a new project delivery phase, or when significant change is identified during a phase of project delivery. Project schedules are reviewed monthly, and milestone achievements and updated forecast dates are included to reflect project delivery status.

The following CAP milestones were completed in the second quarter of FY 2024-25:

- The complete design milestone was achieved for the State Route 91 (SR-91) Improvement Project between Acacia Street and La Palma Avenue in the City of Anaheim. The SR-91 Improvement Project between State Route 55 (SR-55) and State Route 57 (SR-57) is being delivered through three separate contracts. This is the westerly contract, Segment 3.

- The complete design milestone was achieved for the Interstate 5 (I-5) Improvement Project between Interstate 405 (I-405) and Yale Avenue. The I-5 Improvement Project between I-405 and SR-55 is being delivered through two separate contracts. This is the northerly contract, Segment 2. Pending completion of project ROW activities, the target construction contract advertisement by the California Department of Transportation (Caltrans) is in July 2025.

- The complete design milestone was achieved for the I-5 Landscaping Project between State Route 73 (SR-73) and El Toro Road. This is a follow-on project to install new freeway landscape and hardscape as the I-5 Improvement Project between SR-73 and El Toro Road construction is coming to completion.

- Both the construction ready and advertise construction milestones were achieved for the Interstate 605 (I-605)/Katella Avenue Interchange Improvement Project. Construction bids were received and opened on January 23, 2025.

- The complete construction milestone was achieved for Segment 2 of the I-5 Improvement Project between Oso Parkway and Alicia Parkway. Caltrans accepted the construction contract as completed on December 19, 2024. This is the middle segment of three segments on the I-5 Improvement Project between I-405 and SR-73.

The following CAP milestones missed the planned delivery through the second quarter of FY 2024-25:

Freeway Projects

- The award contract milestone for construction of the SR-91 Improvement Project between SR-55 and Lakeview Avenue was missed. However, Caltrans was able to award the contract on January 3, 2025, only missing the second quarter by three days. The SR-91 Improvement Project between SR-55 and SR-57 is being delivered through three separate contracts. This is the easterly contract, Segment 1.

Recap of FY 2024-25 Performance Metrics Through the Second Quarter

The performance metrics snapshot provided at the beginning of FY 2024-25 reflected nine planned major project delivery milestones to be accomplished through the second quarter (Attachment B). Nine planned milestones were delivered through the second quarter. The award contract for the I-605/ Katella Avenue Interchange Project was delayed by only days into the third quarter, and the complete design for the I-5 landscaping project complete design planned for the third quarter was delivered early.

Second Quarter CAP Milestone and Cost Variance Updates

<u>I-5, Avenida Pico to San Diego County Line</u>

The complete environmental milestone forecast was revised from January 2026 to June 2026 due to the evolving discussions regarding project-induced increases in vehicle miles traveled (VMT), and potential means, methods, and costs being required by Caltrans to mitigate the induced VMT.

I-5, SR-73 to Oso Parkway

The complete construction milestone forecast was revised from February 2025 to April 2025 based on construction progress to date.

I-5, Alicia Parkway to El Toro Road

The complete construction milestone forecast was revised from March 2025 to June 2025 based on construction progress to date. The forecast final cost increased to $227.3 million due to construction contract change orders and support cost projections.

I-5, SR-73 to El Toro Road Landscaping

With an earlier than anticipated complete design achieved, forecast milestones for construction ready is revised to January 2025, advertise construction to February 2025, the award contract to April 2025, and complete construction to November 2026.

I-5, I-405 to Yale Avenue

The forecast cost increased by $71.2 million, from $316.9 million to $388.1 million. The final design and engineers estimate have been updated to include the cost of Caltrans-funded scope included in the design and updated support costs. Caltrans contribution is approximately $50.1 million.

I-5, Yale Avenue to SR-55

The forecast cost increased by $37.9 million, from $290 million to $327.9 million. The final design and engineers' estimate have been updated to include the cost of Caltrans-funded scope included in the design and updated support costs. Caltrans contribution is approximately $27.9 million.

SR-55, I-5 to SR-91

The forecast cost increased by $70.8 million, from $131.3 million to $202.1 million. The design estimate has been updated to include the acquisition of additional ROW needed for the project, updated bid quantities and unit pricing and updated support costs.

SR-91, SR-55 to Lakeview Avenue (Segment 1)

The forecast award contract and complete construction dates were revised based on the actual contract award date of December 18, 2024. The forecast

cost was increased by $6.8 million, from $133.9 million to $140.7 million to reflect the awarded construction contract value.

SR-91, La Palma Avenue to SR-55 (Segment 2)

The forecast cost increased by $172.3 million, from $208.4 million to $380.7 million. The design estimate has been updated to include additional ROW acquisition costs, updated bid quantities and unit pricing, and updated support costs.

SR-91, Acacia Street to La Palma Avenue (Segment 3)

The forecast cost increased by $19 million, from $238.5 million to $257.5 million. The design estimate has been updated to include updated bid quantities and unit pricing, estimated cost of Caltrans-funded scope included in the project design and updated support costs. Caltrans contribution is approximately $35.1 million.

I-605, I-605/Katella Avenue Interchange

The forecast award contract milestone was revised to March 2025 based on the actual advertisement and bid dates. The forecast cost increased by $3.3 million, from $49.7 million to $53 million, to reflect the final engineers' estimated cost for the project advertised for construction bids.

FY 2024-25 Cost and Performance Metrics Risks

The OC Streetcar project cost and schedule risks related to design deficiencies and contractor performance persist. Staff has finalized the FTA-prescribed 90 percent complete risk assessment to forecast the most probable completion cost and schedule. Staff plans to report on the updated risk-based cost and schedule changes to the Board of Directors (Board) in February 2025. Quarterly project status reports will continue to be provided to the Board.

Final engineers' estimates for projects moving to the construction phase continue to be higher than planned. Staff will continue to assess unit pricing data from other construction bids in the region and make needed adjustments to forecast costs to account for escalation of material and labor costs.

Summary

Capital project delivery continues to progress and is reflected in the CAP. Through the first quarter of FY 2024-25, 75 percent of the planned CAP milestones were delivered. Forecast schedules and costs have been updated for the FY 2024-25 performance metrics, which will be used as a general quarterly project delivery performance indicator in FY 2024-25.

Staff will continue to manage project costs and schedules across all project phases to meet project delivery commitments and report quarterly.

Attachments

A. Capital Action Plan, Status Through December 2024
B. Capital Programs Division, Fiscal Year 2024-25 Performance Metrics Through December 2024

Prepared by:

James G. Beil, P.E.
Executive Director, Capital Programs
(714) 560-5646

ATTACHMENT A

Capital Action Plan

Status Through December 2024

Updated: January 13, 2025

Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast: Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
Freeway Projects:									
I-5, Avenida Pico to San Diego County	TBD	Feb-21	Apr-24	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	**Feb-21**	Jun-26	TBD	TBD	TBD	TBD	TBD	TBD
I-5, Avenida Pico to Vista Hermosa	$113.0	Jun-09	Dec-11	Jun-11	Oct-13	Feb-14	Oct-14	Dec-14	Aug-18
Project C	$83.6	**Jun-09**	**Oct-11**	**Jun-11**	**Oct-13**	**May-14**	**Sep-14**	**Dec-14**	**Aug-18**
I-5, Vista Hermosa to Pacific Coast Highway	$75.6	Jun-09	Dec-11	Jun-11	Feb-13	Jun-13	Oct-13	Dec-13	Mar-17
Project C	$75.3	**Jun-09**	**Oct-11**	**Jun-11**	**May-13**	**Aug-13**	**Feb-14**	**Jun-14**	**Jul-17**
I-5, Pacific Coast Highway to San Juan Creek Road	$70.7	Jun-09	Dec-11	Jun-11	Jan-13	May-13	Aug-13	Oct-13	Sep-16
Project C	$74.3	**Jun-09**	**Oct-11**	**Jun-11**	**Jan-13**	**Apr-13**	**Aug-13**	**Dec-13**	**Jul-18**
I-5, I-5/Ortega Highway Interchange	$90.9	Sep-05	Jun-09	Jan-09	Nov-11	Mar-12	Jun-12	Aug-12	Sep-15
Project D	$79.8	**Sep-05**	**Jun-09**	**Jan-09**	**Dec-11**	**Apr-12**	**Jun-12**	**Aug-12**	**Jan-16**
I-5, I-5/Ortega Highway Interchange (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project D	N/A	N/A	N/A	**Jan-14**	**Oct-14**	**Feb-15**	**Aug-15**	**Sep-15**	**Sep-16**
I-5, SR-73 to Oso Parkway	$151.9	Sep-11	Jun-14	Mar-15	Jan-18	May-18	Aug-18	Dec-18	Apr-25
Project C & D	$229.4	**Oct-11**	**May-14**	**Mar-15**	**Aug-18**	**May-19**	**Aug-19**	**Dec-19**	Apr-25
I-5, Oso Parkway to Alicia Parkway	$196.2	Sep-11	Jun-14	Nov-14	Jun-17	Dec-17	Feb-18	Jun-18	Nov-23
Project C & D	$230.3	**Oct-11**	**May-14**	**Nov-14**	**Dec-17**	**Jun-18**	**Nov-18**	**Mar-19**	**Dec-24**
I-5, Alicia Parkway to El Toro Road	$133.6	Sep-11	Jun-14	Mar-15	Jun-18	Dec-18	Jan-19	May-19	Oct-24
Project C	$227.3	**Oct-11**	**May-14**	**Mar-15**	**May-19**	**Apr-20**	**May-20**	**Sep-20**	Jun-25
I-5, SR-73 to El Toro Road (Landscape)	TBD	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project C	$12.4	N/A	N/A	**Mar-23**	**Oct-24**	Jan-25	Feb-25	Apr-25	Nov-26
I-5, I-5/El Toro Road Interchange	TBD	Apr-17	Apr-26	TBD	TBD	TBD	TBD	TBD	TBD
Project D	TBD	**Apr-17**	Feb-27	TBD	TBD	TBD	TBD	TBD	TBD
I-5, I-405 to Yale Avenue	$280.6	May-14	Aug-18	Oct-21	May-24	May-25	Dec-25	Feb-26	Sep-29
Project B	$388.1	**May-14**	**Jan-20**	**Oct-21**	**Nov-24**	May-25	Jul-25	Nov-25	Jun-29
I-5, Yale Avenue to SR-55	$238.3	May-14	Aug-18	May-21	Feb-25	Aug-25	Nov-25	Mar-26	Sep-29
Project B	$327.9	**May-14**	**Jan-20**	**May-21**	**Aug-24**	Mar-25	Jul-25	Oct-25	Sep-29
I-5, SR-55 to SR-57	$38.1	Jul-11	Jun-13	Jun-15	Mar-17	Jul-17	Sep-17	Dec-17	Apr-21
Project A	$38.9	**Jun-11**	**Apr-15**	**Jun-15**	**Jun-17**	**Dec-17**	**Mar-18**	**Nov-18**	**Jan-21**

Capital Action Plan

Status Through December 2024

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Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast							
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
SR-55, I-405 to I-5	$410.9	Feb-11	Nov-13	Sep-17	Apr-20	Dec-20	Apr-21	May-22	Feb-27
Project F	$505.7	**May-11**	**Aug-17**	**Sep-17**	**Apr-20**	**Sep-21**	**Dec-21**	**May-22**	Feb-27
SR-55, I-5 to SR-91	$131.3	Dec-16	Jan-20	Aug-22	Jul-25	Dec-25	Apr-26	Jul-26	Oct-29
Project F	$202.1	**Dec-16**	**Mar-20**	**Aug-22**	Dec-25	Sep-26	Jan-27	Apr-27	Jul-30
SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue	$71.8	Apr-16	Dec-18	Mar-22	Jul-24	Feb-25	Jul-25	Nov-25	Jun-28
Project G	$135.4	**Apr-16**	**Mar-19**	**Mar-22**	**Aug-24**	Feb-25	Jul-25	Nov-25	Jun-28
SR-57 (NB), Katella Avenue to Lincoln Avenue	$78.7	Apr-08	Jul-09	Jul-08	Nov-10	Mar-11	May-11	Aug-11	Sep-14
Project G	$38.0	**Apr-08**	**Nov-09**	**Aug-08**	**Dec-10**	**Apr-11**	**Jul-11**	**Oct-11**	**Apr-15**
SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project G	N/A	N/A	N/A	**May-09**	**Jul-10**	**Jun-17**	**Jul-17**	**Sep-17**	**Jun-18**
SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard	$80.2	Aug-05	Dec-07	Feb-08	Dec-09	Apr-10	Jun-10	Oct-10	May-14
Project G	$52.3	**Aug-05**	**Dec-07**	**Feb-08**	**Jul-09**	**Dec-09**	**May-10**	**Oct-10**	**Nov-14**
SR-57 (NB), Yorba Linda Boulevard to Lambert Road	$79.3	Aug-05	Dec-07	Feb-08	Dec-09	Apr-10	Jun-10	Oct-10	Sep-14
Project G	$54.1	**Aug-05**	**Dec-07**	**Feb-08**	**Jul-09**	**Mar-10**	**May-10**	**Oct-10**	**May-14**
SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project G	N/A	N/A	N/A	**Oct-14**	**Aug-17**	**Dec-17**	**Jan-18**	**Feb-18**	**Apr-19**
SR-57 (NB), Lambert Road to Tonner Canyon	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project G	TBD	Jul-26	Mar-29	TBD	TBD	TBD	TBD	TBD	TBD
SR-91 Westbound (WB), I-5 to SR-57	$78.1	Jul-07	Apr-10	Oct-09	Feb-12	Jul-12	Aug-12	Nov-12	Apr-16
Project H	$59.2	**Jul-07**	**Jun-10**	**Mar-10**	**Apr-12**	**Aug-12**	**Oct-12**	**Jan-13**	**Jun-16**
SR-91 Westbound (WB), I-5 to SR-57 (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project H	N/A	N/A	N/A	**Nov-14**	**Aug-16**	**Dec-16**	**Feb-17**	**Mar-17**	**Nov-17**
SR-91, SR-55 to Lakeview Avenue (Segment 1)	$108.6	Jan-15	Oct-18	Mar-20	Jan-23	Aug-23	Oct-23	Feb-24	Sep-27
Project I	$140.7	**Jan-15**	**Jun-20**	**Mar-20**	**Mar-23**	**May-24**	**Jun-24**	Jan-25	Oct-28
SR-91, La Palma Avenue to SR-55 (Segment 2)	$208.4	Jan-15	Oct-18	Jun-20	Jul-23	Feb-24	Mar-24	Jul-24	Mar-28
Project I	$380.7	**Jan-15**	**Jun-20**	**Jun-20**	Jan-25	Sep-25	Dec-25	Mar-26	Jul-30
SR-91, Acacia Street to La Palma Ave (Segment 3)	$147.7	Jan-15	Oct-18	Nov-20	Apr-24	Nov-24	Jan-25	Apr-25	Sep-28
Project I	$257.5	**Jan-15**	**Jun-20**	**Nov-20**	**Oct-24**	May-25	Sep-25	Dec-25	Jun-29
SR-91 (WB), Tustin Avenue Interchange to SR-55	$49.9	Jul-08	Jul-11	Jul-11	Mar-13	Jul-13	Aug-13	Oct-13	Jul-16
Project I	$42.5	**Jul-08**	**May-11**	**Jun-11**	**Feb-13**	**Apr-13**	**Jun-13**	**Oct-13**	**Jul-16**

Capital Action Plan

Status Through December 2024

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Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast: Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
SR-91, SR-55 to SR-241	$128.4	Jul-07	Jul-09	Jun-09	Jan-11	Apr-11	Jun-11	Sep-11	Dec-12
Project J	$79.7	**Jul-07**	**Apr-09**	**Apr-09**	**Aug-10**	**Dec-10**	**Feb-11**	**May-11**	**Mar-13**
SR-91, SR-55 to SR-241 (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project J	N/A	N/A	N/A	**May-12**	**Feb-13**	**Apr-13**	**Jul-13**	**Oct-13**	**Feb-15**
SR-91 Eastbound (EB), SR-241 to SR-71	$104.5	Mar-05	Dec-07	Jul-07	Dec-08	Mar-09	May-09	Jul-09	Nov-10
Project J	$57.8	**Mar-05**	**Dec-07**	**Jul-07**	**Dec-08**	**May-09**	**Jun-09**	**Aug-09**	**Jan-11**
SR-91 EB Corridor Operations Project (SR-241 to SR-71)	TBD	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project J	TBD	**Jun-23**	Aug-25	TBD	TBD	TBD	TBD	TBD	TBD
91 Express Lanes to SR-241 Toll Connector	TBD	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	TBD	**Nov-13**	**Jan-20**	**Jun-16**	Apr-25	May-25	Jul-25	Sep-25	Dec-28
I-405, I-5 to SR-55	TBD	Dec-14	Jul-18	TBD	TBD	TBD	TBD	TBD	TBD
Project L	TBD	**Dec-14**	**Aug-18**	TBD	TBD	TBD	TBD	TBD	TBD
I-405, SR-55 to I-605 (Design-Build)	$2,160.0	Mar-09	Mar-13	Mar-14	Nov-15	Feb-16	Mar-16	Nov-16	Feb-24
Project K	$2,160.0	**Mar-09**	**May-15**	**Mar-14**	**Nov-15**	**Feb-16**	**Mar-16**	**Nov-16**	**Feb-24**
I-405/SR-22 HOV Connector	$195.9	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Aug-10	Aug-14
	$120.8	N/A	N/A	**Sep-07**	**Jun-09**	**Sep-09**	**Feb-10**	**Jun-10**	**Mar-15**
I-405/I-605 HOV Connector	$260.4	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Oct-10	Jan-15
	$172.6	N/A	N/A	**Sep-07**	**Sep-09**	**Feb-10**	**May-10**	**Oct-10**	**Mar-15**
I-605, I-605/Katella Avenue Interchange	$29.0	Aug-16	Nov-18	Dec-20	Mar-23	Jul-23	Nov-23	Feb-24	Nov-25
Project M	$53.0	**Aug-16**	**Oct-18**	**Dec-20**	**Jan-23**	**Oct-24**	**Nov-24**	Mar-25	Jan-27
Grade Separation Projects:									
Sand Canyon Avenue Railroad Grade Separation	$55.6	N/A	Sep-03	Jan-04	Jul-10	Jul-10	Oct-10	Feb-11	May-14
Project R	$61.9	N/A	**Sep-03**	**Jan-04**	**Jul-10**	**Jul-10**	**Oct-10**	**Feb-11**	**Jan-16**
Raymond Avenue Railroad Grade Separation	$77.2	Feb-09	Nov-09	Mar-10	Aug-12	Nov-12	Feb-13	May-13	Aug-18
Project O	$126.2	**Feb-09**	**Nov-09**	**Mar-10**	**Dec-12**	**Jul-13**	**Oct-13**	**Feb-14**	**May-18**
State College Boulevard Railroad Grade Separation (Fullerton)	$73.6	Dec-08	Jan-11	Jul-06	Aug-12	Nov-12	Feb-13	May-13	May-18
Project O	$99.6	**Dec-08**	**Apr-11**	**Jul-06**	**Feb-13**	**May-13**	**Sep-13**	**Feb-14**	**Mar-18**
Placentia Avenue Railroad Grade Separation	$78.2	Jan-01	May-01	Jan-09	Mar-10	May-10	Mar-11	Jun-11	Nov-14
Project O	$64.5	**Jan-01**	**May-01**	**Jan-09**	**Jun-10**	**Jan-11**	**Mar-11**	**Jul-11**	**Dec-14**

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Capital Projects	Cost Baseline/Forecast (millions)	Schedule Plan/Forecast: Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
Kraemer Boulevard Railroad Grade Separation	$70.4	Jan-01	Sep-09	Jan-09	Jul-10	Jul-10	Apr-11	Aug-11	Oct-14
Project O	$63.8	**Jan-01**	**Sep-09**	**Feb-09**	**Jul-10**	**Jan-11**	**Jun-11**	**Sep-11**	**Dec-14**
Orangethorpe Avenue Railroad Grade Separation	$117.4	Jan-01	Sep-09	Feb-09	Dec-11	Dec-11	Feb-12	May-12	Sep-16
Project O	$105.9	**Jan-01**	**Sep-09**	**Feb-09**	**Oct-11**	**Apr-12**	**Sep-12**	**Jan-13**	**Oct-16**
Tustin Avenue/Rose Drive Railroad Grade Separation	$103.0	Jan-01	Sep-09	Feb-09	Dec-11	Mar-12	May-12	Aug-12	May-16
Project O	$96.6	**Jan-01**	**Sep-09**	**Feb-09**	**Jul-11**	**Jun-12**	**Oct-12**	**Feb-13**	**Oct-16**
Lakeview Avenue Railroad Grade Separation	$70.2	Jan-01	Sep-09	Feb-09	Oct-11	Oct-12	Feb-13	May-13	Mar-17
Project O	$110.7	**Jan-01**	**Sep-09**	**Feb-09**	**Jan-13**	**Apr-13**	**Sep-13**	**Nov-13**	**Jun-17**
17th Street Railroad Grade Separation	TBD	Oct-14	Jun-16	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	**Oct-14**	**Nov-17**	TBD	TBD	TBD	TBD	TBD	TBD
Transit Projects:									
Rail-Highway Grade Crossing Safety Enhancement	$94.4	Jan-08	Oct-08	Jan-08	Sep-08	Sep-08	Sep-08	Aug-09	Dec-11
Project R	$90.4	**Jan-08**	**Oct-08**	**Jan-08**	**Sep-08**	**Sep-08**	**Sep-08**	**Aug-09**	**Dec-11**
San Clemente Beach Trail Safety Enhancements	$6.0	Sep-10	Jul-11	Feb-12	Apr-12	Apr-12	Jul-12	Oct-12	Jan-14
Project R	$5.0	**Sep-10**	**Jul-11**	**Feb-12**	**Jun-12**	**Jun-12**	**Oct-12**	**May-13**	**Mar-14**
Emergency Track Stabilization at Mile Post 206.8	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project R	$23.3	N/A	N/A	N/A	N/A	N/A	**Sep-22**	**Oct-22**	**Aug-23**
San Juan Capistrano Passing Siding	$25.3	Aug-11	Jan-13	Mar-15	May-16	May-16	Aug-16	Dec-16	Feb-21
	$33.2	**Aug-11**	**Mar-14**	**Mar-15**	**Aug-18**	**Aug-18**	**Aug-18**	**Mar-19**	**Nov-20**
OC Streetcar	$595.8	Aug-09	Mar-12	Feb-16	Sep-17	Oct-17	Dec-17	Aug-18	Aug-25
Project S	$595.8	**Aug-09**	**Mar-15**	**Feb-16**	**Nov-17**	**Dec-17**	**Dec-17**	**Sep-18**	Aug-25
Transit Security and Operation Center	N/A	Jun-17	Jun-20	Jun-20	Oct-23	Nov-23	Jan-24	Sep-24	Sep-26
	$77.8	**Jun-17**	**Jun-20**	**Jun-20**	**Mar-24**	**Mar-24**	**Mar-24**	**Sep-24**	Mar-27
Placentia Metrolink Station and Parking Structure	$34.8	Jan-03	May-07	Oct-08	Jan-11	TBD	TBD	TBD	TBD
Project R	$40.1	**Jan-03**	**May-07**	**Oct-08**	**Feb-11**	TBD	TBD	TBD	TBD
Orange County Maintenance Facility - ON HOLD	TBD	Apr-20	Apr-22	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	**Apr-20**	**Nov-23**	TBD	TBD	TBD	TBD	TBD	TBD
Irvine Station Improvements - ON HOLD	TBD	Jan-22	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	**Jan-22**	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Anaheim Canyon Station	$27.9	Jan-16	Dec-16	Mar-19	May-19	May-19	Jul-19	Nov-19	Jan-23
	$34.2	**Jan-16**	**Jun-17**	**Mar-18**	**Oct-20**	**Oct-20**	**Oct-20**	**Mar-21**	**Jan-23**

Capital Action Plan

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Capital Projects	Cost Baseline/Forecast	Schedule Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
Orange Station Parking Expansion	$33.2	Dec-09	Dec-12	Nov-10	Apr-13	Jul-16	Jul-16	Nov-16	Feb-19
	$30.9	**Dec-09**	**May-16**	**Nov-10**	**Apr-16**	**Jul-16**	**Jul-16**	**Jun-17**	**Feb-19**
Fullerton Transportation Center - Elevator Upgrades	$3.5	N/A	N/A	Jan-12	Dec-13	Dec-13	Jun-14	Sep-14	Mar-17
	$4.2	N/A	N/A	**Jan-12**	**Dec-13**	**Dec-13**	**Aug-14**	**Apr-15**	**May-19**
Anaheim Regional Transportation Intermodal Center	$227.4	Apr-09	Feb-11	Jun-09	Feb-12	Feb-12	May-12	Jul-12	Nov-14
Project R & T	$232.2	**Apr-09**	**Feb-12**	**Jun-09**	**May-12**	**May-12**	**May-12**	**Sep-12**	**Dec-14**

Note: Costs associated with landscape projects are included in respective freeway projects.

Grey = Milestone achieved
Green = Forecast milestone meets or exceeds plan
Yellow = Forecast milestone is one to three months later than plan
Red = Forecast milestone is over three months later than plan

Begin Environmental: The date work on the environmental clearance, project report, or preliminary engineering phase begins.
Complete Environmental: The date environmental clearance and project approval is achieved.
Begin Design: The date final design work begins, or the date when a design-build contract begins.
Complete Design: The date final design work is 100 percent complete and approved.
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Advertise for Construction: The date a construction contract is both funded and advertised for bids.
Award Contract: The date the construction contract is awarded.
Construction Complete: The date all construction work is completed and the project is open to public use.

Acronyms

I-5 - Santa Ana Freeway (Interstate 5)
SR-73 - San Joaquin Freeway (State Route 73)
I-405 - San Diego Freeway (Interstate 405)
SR-55 - Costa Mesa Freeway (State Route 55)
SR-57 - Orange Freeway (State Route 57)
SR-91 - Riverside Freeway (State Route 91)
SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)
SR-71 - Corona Freeway (State Route 71)
I-605 - San Gabriel River Freeway (Interstate 605)
SR-22 - Garden Grove Freeway (State Route 22)
HOV - high-occupancy vehicle

ATTACHMENT B

Capital Programs Division
Fiscal Year 2024-25 Performance Metrics Through December 2024

Begin Environmental

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
No "Begin Environmental" milestones scheduled for FY 2024-25									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

Complete Environmental

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
SR-91 Eeastbound Corridor Operations Project (SR-241 to SR-71)							X		
Total Forecast/Actual	0	0	0	0	0	0	1	0	1

Begin Design

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
No "Begin Design" milestones scheduled for FY 2024-25									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

Complete Design

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
SR-57 NB, Orangewood Avenue to Katella Avenue	X	✔							
I-5, Yale Avenue to SR-55	X	✔							
SR-91, Acacia Street to La Palma Avenue (Segment 3)			X	✔					
I-5, I-405 to Yale Avenue			X	✔					
I-5, SR-73 to El Toro Road (Landscape)				✔	X				
SR-91, La Palma Avenue to SR-55 (Segment 2)					X				
91 Express Lanes to SR-241 Toll Connector					X				
Total Forecast/Actual	2	2	2	3	3	0	0	0	7

Construction Ready

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
I-605, I-605/Katella Avenue Interchange	X			✔					
SR-57 NB, Orangewood Avenue to Katella Avenue					X				
I-5, Yale Avenue to SR-55					X				
I-5, I-405 to Yale Avenue							X		
SR-91, Acacia Street to La Palma Avenue (Segment 3)							X		
91 Express Lanes to SR-241 Toll Connector							X		
I-5, SR-73 to El Toro Road (Landscape)							X		
Total Forecast/Actual	1	0	0	1	2	0	4	0	7

Capital Programs Division
Fiscal Year 2024-25 Performance Metrics Through December 2024

Advertise Construction

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
I-605, I-605/Katella Avenue Interchange			X	✔					
Total Forecast/Actual	0	0	1	1	0	0	0	0	1

Award Contract

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
Transit Security and Operations Center	X	✔							
SR-91, SR-55 to Lakeview Avenue (Segment 1)			X						
I-605, I-605/Katella Avenue Interchange					X				
Total Forecast/Actual	1	1	1	0	1	0	0	0	3

Complete Construction

Project Description	FY 25 Qtr 1 Fcst	FY 25 Qtr 1 Actual	FY 25 Qtr 2 Fcst	FY 25 Qtr 2 Actual	FY 25 Qtr 3 Fcst	FY 25 Qtr 3 Actual	FY 25 Qtr 4 Fcst	FY 25 Qtr 4 Actual	FY 25 Fcst
I-5, Oso Parkway to Alicia Parkway			X	✔					
I-5, SR-73 to Oso Parkway					X				
I-5, Alicia Parkway to El Toro Road					X				
Total Forecast/Actual	0	0	1	1	2	0	0	0	3

Totals	4	3	5	6	8	0	5	0	22

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Complete Environmental: The date environmental clearance and project approval is achieved.
Begin Design: The date final design work begins or the date when a design-build contract begins.
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SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)
SR-71 - Corona Freeway (State Route 71)
SR-57 - Orange Freeway (State Route 57)
I-5 - Santa Ana Freeway (Interstate 5)
SR-55 - Costa Mesa Freeway (State Route 55)
I-405 - San Diego Freeway (Interstate 405)
SR-73 - Corona Del Mar Freeway (State Route 73)
I-605 - San Gabriel River Freeway (Interstate 605)

X = milestone forecast in quarter
✔ = milestone accomplished in quarter