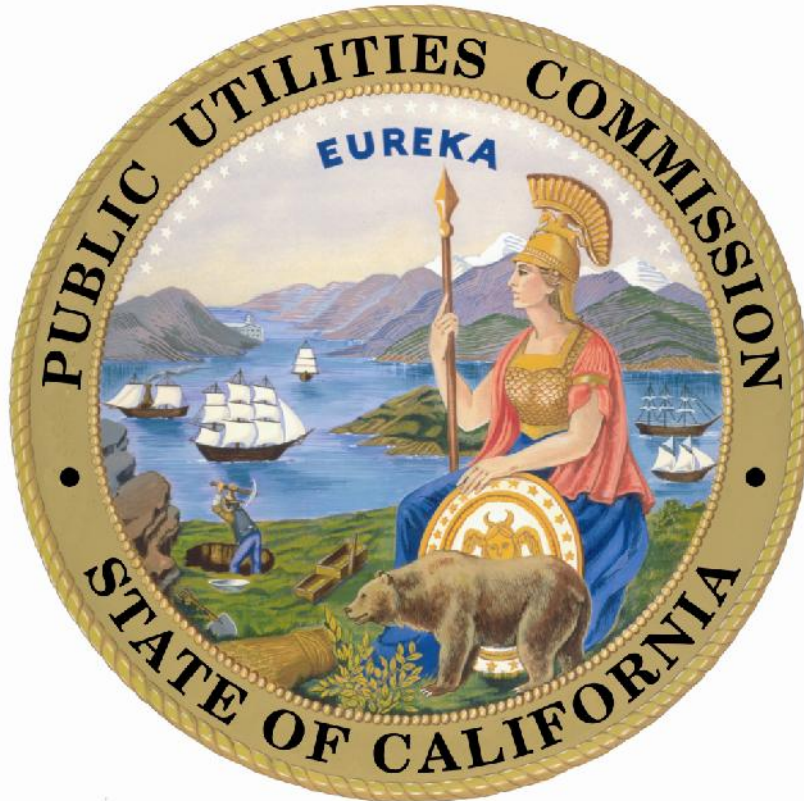

PROGRAM STANDARD - PROCEDURES MANUAL STATE SAFETY AND SECURITY OVERSIGHT OF RAIL FIXED GUIDEWAY SYSTEMS



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Annual Review

Date	Signature	Comments	Are Revisions Necessary (Y/N)

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2.0	12/17/2013	To comply with Federal Transit Administration Audit Findings	Noel Takahara
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INTRODUCTION

In 1911, the CPUC was established by Constitutional Amendment as the Railroad Commission. In 1912, the Legislature passed the Public Utilities Act, expanding the Commission's regulatory authority to include natural gas, electric, telephone, and water companies as well as railroads and marine transportation companies. In 1946, the Commission was renamed the California Public Utilities Commission.

The Commission was designated as the State Safety Oversight Agency (SSOA) for the purposes of rail transit safety oversight to the Federal Transit Administration by California Governor Pete Wilson on October 13, 1992.

The Commission is legally independent from the *RTAs* under its jurisdiction. In accordance with 49 CFR Part 674.13(a)(1), and as stated in Public Utilities (PU) Codes cited below, the Commission historically has never received, and currently does not receive any funding from *RTAs*. Relative to State funding, PU Code 99315(f) specifies that the Commission's rail transit safety oversight activities are funded from the State's Public Transportation Account in the State Transportation Fund. The annual California Budget Act restricts funding for the Commission's Rail Transit Safety Branch to only two sources: (1) the State's Public Transportation Account, which is funded from use taxes on diesel fuel, and (2) Federal Transit Administration SSOA Formula Grant Fund Program. Furthermore, per Public Utilities Code Section 2104 and Commission Resolution ST-163 (authorizing RTSB's citation program), any fines and penalties the Commission levies on *RTAs* must be deposited in the state's General Fund, instead of the Public Transportation Account. Additionally, on September 13, 2018, the CPUC adopted Resolution L-569, specifying that the CPCU is prohibited from receiving any funds from any of the rail transit systems which are under the Commission's jurisdiction.

This manual defines the California Public Utilities Commission's (Commission) program for the State Safety and Security Oversight of *Rail Transit Agencies (RTA)* and *Rail Fixed Guideway Systems (RFGS)*, as required by the following rules and regulations:

-) Federal Transit Administration Rules in 49 Code of Federal Regulations Chapter VI
-) California Public Utilities Code Sections 771, 778, 2104, 29047, 30646, 99152, 99315, and 100168
-) California Public Utilities Commission General Order 26, 95, 118, 127, 143, 164, 172, and 175

The new State Safety Oversight (SSO) regulation implements statutory mandates of 49 U.S.C. 5329(e). It also outlines requirements for developing Program Standards, notifying the *Federal Transit Administration (FTA)* of accidents, and monitoring

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corrective actions at the *rail transit agency*.

The Commission, as SSO, will make unannounced and announced inspections of *RTA* operations, maintenance and facilities to ensure compliance with the federal, PU Code, Commission, and the applicable *RTA* rules and/or procedures. No party or entity may provide services to both the Rail Transit Safety Branch (*RTSB*) and *RTA*.

This manual contains the Commission's *Rail Transit Safety Branch (RTSB) staff (Staff)* instructions and procedures for implementing all aspects of the State Safety and Security Oversight program. The *RTSB's* SSO activities are divided between the *Rail Transit Safety Section* and the Rail Transit Operation Safety Section. These procedures identify the persons responsible and describe the practices to be followed:

-) System Safety and Security program management and oversight of the design, construction, *safety* certification, internal *safety* and *security* audits, operation and maintenance of *rail fixed guideway transportation systems*;
-) Review and approval of a *rail transit agency's (RTA) System Safety Program Plan, System Security Plan, Safety Certification Plans, accident investigation* procedures, *accident investigation* reports, annual internal *safety* and *security* audit reports, *hazard* management and *corrective action plans* and schedules;
-) Reporting and investigating *events* and *hazards*;
-) Performing triennial, on-site, *safety* and *security* reviews;
-) *Hazard* management; and
-) Handling formal and informal complaints.

These procedures make it clear that the *RTA* alone is responsible for the *safety* and *security* of its system operations. The *RTA's* executive management, particularly the *Accountable Executive*, as the lead of the *RTA*, is ultimately accountable for *safety* and *security* because they are tasked with allocating resources to address business functions, including the management of *safety* as an organizational process. *Staff* oversight provides an added degree of confidence that the policies and procedures described in each *RTA System Safety Program Plan* and *System Security Plan* are implemented in actual practice.

These procedures also provide a basis for establishing effective communication and

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cooperation in the interest of *safety* between the *Staff* and the *RTA*. A basis that is essential to meeting the Commission's goal of assuring that Californians are provided with safe rail transit services.

These procedures set policies and objectives for rail safety for all RTAs throughout California.

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Where noncompliance is identified through any means, RTSB Staff and management, in consult with ORS management, shall make a determination on whether to recommend any enforcement action be taken. Enforcement actions take two possible forms: (1) an Order Instituting Investigation, where Staff recommends the Commission open a formal proceeding to provide the forum for staff to request enforcement of specific rules, regulations, or codes; or (2) Staff can issue citations under the requirements of Resolution ST-163, for violations of Commission General Orders or applicable Public Utilities Code Sections. Citations are subject to appeal, in accordance with the Commission's Rules of Practice and Procedure.

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ACRONYM LIST

Acronym	Meaning
AIP	Accident Investigation Procedure
ALJ	Administrative Law Judge
APTA	American Public Transportation Association
CAP	<i>Corrective Action Plan</i>
CFR	Code of Federal Regulations
CPUC/Commission	California Public Utilities Commission
FTA	Federal Transit Administration
GO	General Order
NTSB	National Transportation Safety Board
OIR	Order Instituting Rulemaking
PMOC	Project Management Oversight Contractor
PTASP	Public Transportation Agency Safety Plan
Rep	RTSB Representative
RSSIMS	Rail Safety and Security Information Management System
RTA	Rail Transit Agency
RTOSS	Rail Transit Operations Safety Section
RTSB	Rail Transit Safety Branch
RTSS	Rail Transit Safety Section
SC Plan	Safety Certification Plan
SOP	Standard Operating Procedure
SSCOP	Safety and Security Certification Oversight Plan
SSOA	State Safety Oversight Agency
SSO	State Safety Oversight
SSP	System Security Plan
SSPP	System Safety Program Plan
Staff	CPUC's Safety and Enforcement Division, RTSB Staff

49 CFR Part 659 defines *System Safety Program Plan (SSPP)* as a document developed and adopted by the *rail transit agency*, describing its *safety* policies, objectives, responsibilities, and procedures.

49 CFR Part 674 defines *Public Transportation Agency Safety Plan (PTASP)* as the comprehensive agency *safety* plan for a transit agency, including a *Rail Transit Agency*, that is required by 49 U.S.C. 5329(d) and based on a *Safety Management System*. 49

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CFR Part 673 (the PTASP final rule) effective date will take place one year after its publication date. See 49 USC 5329(d)(1). Until the effective date of *FTA's PTASP* final rule, a *System Safety Program Plan (SSPP)* developed pursuant to 49 CFR Part 659 will serve as the *rail transit agency's safety plan*.

In this *RTSB Program Management Standard Procedures Manual*, all references to *SSPP* shall mean *PTASP* once *FTA* issues its *PTASP* Final Rule.

DEFINITIONS

Accident means an *Event* that involves any of the following: A loss of life; a report of a *serious injury* to a *person*; a collision involving a *rail transit vehicle*; 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 means a single, identifiable *individual* 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 (see 49 CFR Part 625); and control or direction over the human and capital resources needed to develop and maintain both the agency's *Public Transportation Agency Safety Plan* and the agency's Transit Asset Management Plan.

Certifiable Elements List means a list that contains all facilities, systems, rail at-grade crossings, and other items that are subject to *safety certification* due to their *safety* functions.

Contractor means an entity that performs tasks on behalf of *FTA*, Commission, or *RTA* through contract or other agreement.

Corrective Action Plan (CAP) means a plan developed by a *RTA* that describes the actions the *RTA* will take to minimize, mitigate, control, correct, or eliminate risks and *hazards*, and the schedule for implementing those actions.

Designated Representative means the *individual(s)* in the *Rail Transit Safety Section*, a section within the *RTSB*, designated by *RTSB* Management as the primary point of contact to an *RTA*, responsible for coordination of the *RTSB* safety oversight activities and acts in most cases as the primary point of contact with the *RTA*.

Director means the *Director* of the Commission's division overseeing rail transit safety, or the Deputy *Director* overseeing rail transit safety.

Event means an *accident, incident or occurrence*.

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Existing Industry Standards means the currently accepted industry and professional engineering standards and/or guidelines relating to the design, construction, operation, and maintenance of *Rail Fixed Guideway Systems* such as ANSI, APTA, AREMA, ASCE, ASEE, ASME, *FRA*, *FTA*, IEEE, NFPA, and others.

FRA means the Federal Railroad Administration, an agency within the United States Department of Transportation.

FTA means the Federal Transit Administration, an agency within the United States Department of Transportation.

Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock or infrastructure of a *RTAs*; or damage to the environment.

Hazard Analysis means any analysis performed to identify *hazards* for the purpose of their elimination, mitigation, or control.

Incident means 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 *rail transit agency*.

Individual means a *passenger*, employee, *contractor*, pedestrian, trespasser, or any person on *RTA-controlled property*

Inspectors means the Commission's *Rail Transit Operations Safety Section* personnel that conduct onsite visits to inspect *RTA* infrastructure, vehicles, operations, maintenance practices, and other activities to identify noncompliance, *safety* concerns, and unsafe conditions.

Investigation means the process used to determine the causal and contributing factors of an *accident*, *incident*, or *hazard*, for the purpose of preventing recurrence and mitigating risk.

Mainline means all tracks used for the purpose of the movement of *passengers* on *rail transit vehicles*. *Mainline* does not include storage tracks, yard tracks or other tracks used for the purpose of storage.

Major Projects (Projects) means new rail systems or extensions, the acquisition and integration of new vehicles and *safety* critical technologies into existing service or major *safety* critical redesign *projects*, excluding functionally and technologically similar replacements.

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Occurrence means an *event* without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure but does not disrupt the operations of a *RTA*.

On Their Person means being located on the person or attached to the person. For instance, if the *personal electronic device (PED)* is attached to the belt in a case, or kept in a pocket, or placed on a strap attached to the person, it is *on their person*.

Passenger means a *person* who is on board, boarding, or alighting from a *rail transit vehicle* for the purpose of travel.

Passenger Operations means the *period of time* when any aspect of *RTA operations* is initiated with the intent to carry passengers

Person means any *individual*.

Personal Electronic Device (PED) means any wireless or portable electronic device. This includes, but is not limited to, wireless phones, personal digital assistants, smart phones, two way pagers, portable internet devices, laptop computers, DVD players, audio players, iPods, MP3 players, games, Bluetooth devices, or any headphones or earbuds. The following devices are excluded from this definition:

- a. *RTA*-owned licensed radio communications equipment such as cab-mounted or portable two-way radios with channels dedicated solely for *RTA* operations.
- b. Electronic or electrical devices prescribed by a licensed medical practitioner to permit an employee to meet minimum levels of hearing ability as required by the *RTA* or *contractor*.
- c. Roadway worker protection devices.

Public Transportation Agency Safety Plan (PTASP) means the comprehensive agency *safety plan* for a *RTA* required by 49 U.S.C. 5329(d) and based on a *Safety Management System*. Until one year after the effective date of *FTA's PTASP* final rule, a *System Safety Program Plan (SSPP)* developed pursuant to 49 CFR 659 will serve as the *RTA's safety plan*.

Public Transportation Safety Certification Program means the programs codified per 49 U.S.C. 5329.

Rail Fixed Guideway System (RFGS) means any light, heavy, or rapid rail system, monorail, inclined plane, funicular, trolley, cable car, automatic people mover, or automated guideway transit system used for public transit and not regulated by the Federal Railroad Administration or not specifically exempted

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by statute from Commission oversight. Part 674, includes “Public Transportation” as part of its definition, and is *Rail Fixed Guideway Public Transportation System* for a fixed guideway system and to be more inclusive of other systems currently under the Commission’s jurisdiction.

Rail Transit Agency (RTA) means the entity that plans, designs, constructs, and/or operates a *RFGS* and is within the jurisdiction of the Commission.

Rail Transit Agency-Controlled Property means property that is used by the *RTA* and may be owned, leased, or maintained by the *RTA*.

Rail Transit Safety Branch (RTSB) means the branch of the California Public Utilities Commission responsible for the State Safety Oversight of all Rail Transit Agencies in California.

Rail Transit Operations Safety Section (RTOSS) means a section within California Public Utilities Commission’s *RTSB* responsible for inspections of all *RTAs*.

Rail Transit Safety Section (RTSS) means a section within the California Public Utilities Commission’ *RTSB* responsible for safety oversight of all *RTAs*.

Rail Transit Vehicle means a *RTA*’s rolling stock, including but not limited to *passenger* and maintenance vehicles.

RSSIMS means the Rail Safety and Security Information Management System, which is the centralized database system used by *RTSB*.

Safety means freedom from harm resulting from unintentional acts or circumstances.

Safety Certification is the series of acts or processes that collectively verify the *safety* readiness of a Project for public use.

Safety Certification Plan (SC Plan) means a Project-specific document developed by a *RTA*, which ensures that elements critical to *safety* are planned, designed, constructed, analyzed, tested, inspected, and implemented, and that employees are trained and rules and procedures followed, in compliance with the *RFGS* and the regulatory *safety* requirements.

Safety Certification Verification Report (SCVR) means a Project-specific document that will be the final certificate of compliance verifying that the Project complies with all *safety* requirements identified by a *RTA*’s *SC Plan*.

Safety Design Criteria means the organized listing of *safety* codes, regulations,

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rules, design procedures, *existing industry standards*, recommended practices, analyses, handbooks and manuals prepared to provide guidance to Project designers in development of technical specifications that meet minimum *safety* parameters.

Safety Management System (SMS) means the formal, top-down, organization-wide data-driven approach to managing *safety* risk and assuring the effectiveness of *safety* risk mitigations. *SMS* includes policies, procedures, and practices for the management of *safety* risk.

Security means freedom from harm resulting from intentional acts or circumstances.

Serious injury means any injury which: (1) requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received; (2) results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (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 5 percent of the body surface.

Staff means the *California Public Utilities Commission's RTSB* staff responsible for the state *safety* oversight of the *RTAs*.

State Safety Oversight Agency (SSOA) means an agency established by a state that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations set forth in 49 CFR Part 674. In California the *California Public Utilities Commission (CPUC)* is the *SSOA*, and the *CPUC's RTSB* implements the *CPUC's SSOA* program.

Sterile Cab means non-essential conversation and activities are not allowed in the cab while train is in motion.

System Safety Program Plan (SSPP) means a document adopted by a *RTA* detailing its *safety* policies, objectives, responsibilities, and procedures. Until one year after the effective date of the *FTA's PTASP* final rule, a *System Safety Program Plan (SSPP)* developed pursuant to 49 CFR 659 will serve as the *RTA's safety* plan.

System Security Plan (SSP) means a document adopted by a *RTA* detailing its *security* policies, objectives, responsibilities, and procedures.

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1.1.0 SCOPE

This section describes the *Rail Transit Safety Branch's (RTSB)* procedures for System *Safety* and Security Program management and *Safety* and Security oversight of the design, construction, operation and maintenance of rail fixed guideway systems in California.

1.2.0 PURPOSE

- 1.2.1 The purpose of this procedure is to describe *RTSB's* System *Safety* and Security Program management and establish a standard set of instructions for *Staff* to follow when performing the following *Safety* and Security Oversight activities on a day-to-day basis:
- a. Oversight of *safety* and security-related issues during all phases of the system design, construction, operation, and maintenance;
 - b. Preparation of the *Safety* and Security Certification Oversight Plan (SSCOP) for a Major Project;
 - c. Review of selected drawings and specifications during the design and construction of new rail systems, extensions, modifications, acquisition and integration of new vehicles and *safety* critical technologies into the existing service or major *safety* critical redesign *projects*;
 - d. Attendance at design review and other *RTA* meetings concerning *safety* related issues;
 - e. Observation of selected tests during start-up and pre-revenue operation of newly installed facilities and equipment;
 - f. Sampling and inspection of selected system components, and equipment;
 - g. Unannounced and announced inspections;

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- h. To assign the responsibility for implementation of this procedure at each *RTA* to a *RTSB Designated Representative*, who will serve as a primary point of contact for the *RTA* to process and oversee all matters, other than inspections, that concern the *RTSB's Safety and Security Oversight Program*;
- i. To assign the responsibility for inspections of *RTAs* to *RTSB Inspectors* to ensure compliance with all relevant rules, regulations, and/or procedures applicable to *RTAs*;
- j. To inform each *RTA* in advance of the Commission's requirements for:
 - 1. Document submittals;
 - 2. Inspections;
 - 3. Observe tests or *investigations* conducted by the *RTAs*; and
 - 4. Record reviews;
- k. To complement the inspection, internal audit and *safety and security* certification programs described in the *RTA's System Safety Program Plan (SSPP)* and *System Security Plan (SSP)*; and
- l. To document *safety and security* concerns identified by *Staff* and bring them to the attention of the Commission and the *RTA* in a timely manner.

1.2.3 The *RTSB safety and security* oversight program does not take the place of the *RTA's System Safety and Security Program*, including *safety and security* certification of *Major Projects*. In addition, it does not relieve the *RTA* in any way from its total responsibility for the *safety and security* of system operations. The *RTSB safety and security* oversight program is designed to provide an added degree of confidence that the *safety and security* policies and procedures described in each *RTA's SSPP* and *SSP* are adequately implemented.

1.3.0 GENERAL REQUIREMENTS

1.3.1 System *Safety and Security* Program Management

- a. Commission authority, policies, and roles and responsibilities for providing *safety and security* oversight of the *RTAs* within its jurisdiction are detailed in the California Public Utilities Code and

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Commission General Orders.

- b. These documents, along with this *RTSB* Program Management Standard and Procedures provide an overview of planned activities to ensure on-going *safety* and *security* information communication with each affected *RTA*.

1.3.2 Program Standard Development

- a. *FTA's* 49 CFR Part 674.27(a) states an *SSOA* must adopt and distribute a written *SSO* program standard, consistent with the National Public Transportation *Safety Plan* and the rules for *Public Transportation Agency Safety Plan*. The *SSO* program standard must identify the processes and procedures that govern the activities of the *SSOA*. Also, the *SSO* program standard must identify the processes and procedures a *RTA* must have in place to comply with the standard.
- b. *Staff* will develop, review and adopt the *RTSB* Program Management Standard and Procedures Manual to supplement the Commission General Orders and in compliance with 49 CFR 674.
- c. Revisions and updates of the program standard
 - i. Applicable Commission General Orders and the *RTSB* Program Management Standard Procedures Manual will be reviewed on an annual basis to determine if updates are necessary. Changes will be tracked in the revision History table.
 - ii. *Staff* will circulate the revised documents to affected *RTAs* for a 30 Calendar day comment period.
 - iii. Under California law and the Commission's Rules of Practice and Procedures, the Commission may make additional rules and regulations or changes to the Program Management Standard Procedures Manual, as necessary for the purpose of *safety* and *security*.
 - iv. If an *RTA* wishes to receive an exemption from Commission General Orders, the *RTA* may file a formal request to the Commission per requirements of the Commission's Rules of Practice and Procedures.
 - v. Final revisions/updates to the documents will be distributed to the *RTA* and then posted on the Commission's website, and a

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copy will be provided to the *FTA*.

1.3.3 *FTA* Annual Submission Requirements

Before March 15 of each year, or as required by the *FTA*, *Staff* will submit the following to the *FTA*:

- a. A publicly available annual report summarizing *Staff* oversight activities for the preceding calendar year, including a description of the causal factors of investigated *accidents*, status of Corrective Actions Plans (CAPs), updates and modifications to the *RTA*'s program documentation, and the level of efforts *Staff* used in oversight activities.
- b. A report documenting and tracking findings from the three-year *safety* review activities and status of three year *safety* review findings/recommendations completed since the previous annual report submittal.
- c. Program Management Standard and Procedures manual with indication of changes or revisions made during the preceding year.
- d. Certification that *Staff* reviewed and approved any changes or modifications to the *RTA*'s *SSPP* and/or *SSP*.
- e. *FTA* retains the authority to periodically request/audit Program Management Standards and Procedures Manual information.
- f. All submissions to the *FTA* required in this part must be submitted electronically using a reporting system specified by *FTA*.
- g. The Certification of Compliance is as follows:
 - i. Annually, *Staff* will certify to the *FTA* that it has complied with the requirements of 49 CFR Part 659 until Part 659 is rescinded, and thereafter with the requirements of 49 CFR Part 674.
 - ii. *Staff* will maintain a signed copy of each annual certification to the *FTA*, subject to audit by the *FTA*.
 - iii. Per Commission GO 164 series, annually, the *RTA* shall submit to *Staff*, a formal letter of certification, signed by the *RTA*'s accountable executive, stating that, based on the evaluation performed during the internal *safety* and *security* audit/review process during the previous year, the *RTA* is in compliance with

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its *SSPP* and *SSP*. *Staff* shall include letters of certification in
FTA annual submission.

- h. The annual report to the FTA will include evidence that each *RTSB* employee has completed the requirements of the Public Transportation *Safety Certification* Training Program, or if in progress, the anticipated completion date of the training.

1.3.4 At least once a year, *RTSB* will report the status of the *safety* of each *RTA* to the Governor, the FTA, and the board of directors, or equivalent entity, of the *RTAs*.

1.3.5 The *RTSB* Program Manager has overall responsibility for the preparation and use of this procedure.

1.3.6 The *RTSB's* SSO activities are divided between the *Rail Transit Safety Section (RTSS)* and the *Rail Transit Operation Safety Section (RTOSS)*.

RTSS has appointed a Public Utilities Regulatory Analyst and Associate Government Program Analyst and is further divided into northern and southern units. Each unit consists of the following:

- a. One Senior Utilities Engineer (Supervisor)
- b. A number of Utilities Engineers
- c. A number of Senior Utilities Engineer (Specialist)

The *RTSB* Program Manager will appoint a designated *RTSS Designated Representative* for each *RTA* from the Utilities Engineers. For larger agencies or those with significant capital projects, another *RTSS* Utilities Engineer is usually assigned to assist the primary engineer.

1.3.7 The *Rail Transit Operations Safety Section (RTOSS)*, the *RTSB* Inspector Team, is divided into northern and southern units. Each unit consists of:

- a. Supervisor Operations and Safety Section;
- b. Senior Inspector;
- c. Operating Practices Inspector;
- d. Equipment (Mechanical) Inspector;
- e. Signal and Train Control Inspector; and
- f. Track Inspector

RTOSS has designated authority to conduct inspections, *investigations*

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and observations on *RTA* properties, and to ensure compliance with the following:

- a. Federal regulations;
- b. State regulations;
- c. PU Code;
- d. Commission General Orders;
- e. Industry standards; and
- f. *RTA* rules and/or procedures.

RTOSS Inspectors make announced and unannounced inspections of *RTA* operations and facilities.

The *RTOSS Inspectors* conduct the following activities in their discipline, but are not limited to the listed activities:

- 1.3.7.1 Operating Practices Inspector:
 - a. Inspect all operating procedures;
 - b. Observe operating and non-operating personnel for regulatory compliance;
 - c. Review training records and procedures;
 - d. Review qualification and certification process;
 - e. Observe *RTA* Operators while in the field performing service;
 - f. Observe *RTA* Dispatchers while performing service;
 - g. Review the Agencies drug and alcohol procedure;
 - h. Observe and review the *RTAs* efficiency testing program;
 - i. Review the *RTA* discipline policy;
 - j. Conduct *accident* and *incident investigations*; and
 - k. Assist the *RTA* in compliance with and interpretation of regulations and codes.
- 1.3.7.2 Equipment (Mechanical) Inspector:
 - a. Perform *safety* and maintenance inspection of vehicles, systems, and equipment, including maintenance or service vehicles, of the *RTA*;
 - b. Ensure maintenance and operation practices and documentation pertaining to defects, maintenance, repairs and training are compliant with Original Equipment Manufacturer (OEM) recommendations, *RTA* procedures, and applicable regulations;

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- c. Inspect maintenance and overhauls of electrical and mechanical systems of *RTA* vehicles, in accordance with schematic drawings, wiring diagrams, operations manuals, and OEM instructions;
- d. Inspect shop equipment and measurement tools;
- e. Inspect Rail Support Equipment (i.e. Hi-Rail Equipment, Cranes, Locomotives, etc.);
- f. Conduct *accident* and *incident investigations*;
- g. Inspect shop area; and
- h. Review inspection forms and work orders.

These inspections will encompass all maintenance shops, yards, and field operations.

1.3.7.3 Track Inspector:

- a. Inspect tracks for defects or regulatory violations;
- b. Ensure compliance with all federal and state regulations regarding rail and track structures;
- c. Inspect documentation pertaining to rail inspections and training;
- d. Inspect documentation pertaining to roadway worker protection training;
- e. Conduct *accident* and *incident investigations*;
- f. Inspect documentation pertaining to personnel recertification, qualification, and discipline; and
- g. Document defects and follow up with an additional inspection verify defects were corrected.

1.3.7.4 Signal and Train Control Inspector:

- a. Inspect all train control systems electrical and communication equipment;
- b. Review all training, qualification, certification, discipline, and defect documentation;
- c. Conduct *accident* and *incident investigations*;
- d. Inspect all wayside equipment; and
- e. Ensure compliance with all federal and state, and/or *RTA* rules and procedures.

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- 1.3.8 The Supervisors of *RTOSS* will be responsible for tracking inspection status and *Corrective Action Plans (CAPs)* from inspection findings of non-compliance with federal, state and/or *RTA* rules and procedures.
- 1.3.9 The *Designated Representative* will be responsible for coordinating any non-inspection type visits of the *RTA*.
- 1.3.10 The *Designated Representative* will be responsible for on-going communication with the *RTA* relating to *safety* and *security* information. The *Designated Representative* will participate in the *RTA* committees and meetings including but not limited to Fire Life Safety Committee, *Safety Certification Committee*, *Safety Certification Verification* field activities, *FTA/FRA/RTA Quarterly Meetings*, *RTA Project Management Oversight Contractor (PMOC)* meetings, System Integration Meetings, Pre-revenue Meetings, internal *safety* audits, *accident* reenactments, *accident* review committees, etc.

Each *Designated Representative* is responsible for tracking non-inspection related *CAPs* and *RTSB Hazard Reports* resulting from the Triennial On-Site Safety and Security Reviews (*RTSB-4*), Oversight of *RTA* Internal Safety and Security Reviews (*RTSB-5*), and Investigating *Accidents* and Improving *RTA Accident Investigation Reports (RTSB-8)*. Each *RTSB Designated Representative* is responsible for updating *Rail Safety and Security Information Management System (RSSIMS)*. Closure of each *CAP* will be acknowledged by letter or email from the appropriate *Staff*. See 1.9.0, *Corrective Action Plan Follow-Up*, below.

Each *Designated Representative* will be responsible for documenting participation in *RTA* meetings, committees and any field activities in an Activity Report in *RSSIMS*. If meeting minutes are prepared, they are to be attached to the Activity Report. The *Designated Representative* will maintain original reports in *RSSIMS* and furnish a copy to their immediate supervisor.

- 1.3.11 *RTSB Staff* will be qualified and trained in accordance with the Public Transportation *Safety Certification Training Program (Technical Training Plan)*.
- 1.3.12 *RTSB Staff* shall utilize Commission issued Personal Protective Equipment as required by *RTSB Management*.

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1.4.0 DOCUMENT SUBMITTAL REQUIREMENTS

- 1.4.1 These submittal requirements are specified in the applicable Commission GOs, Decisions, Resolutions, *RTSB* procedures, and as additionally agreed to by the *RTA*. Document submittal requirements for *Major Projects* and *safety critical technologies* into existing service or major *safety critical redesign projects* shall be documented by the *Designated Representative* in a SSCOP form (See Attachment 3). The *Designated Representative* will file the SSCOP in *RSSIMS* DCSB module (see *RSSIMS* manual).
- 1.4.2 The *Designated Representative*, is responsible for reviewing the *RTA*'s document submittals and providing comments, as necessary. When appropriate, the *Designated Representative* may consult with *RTOSS Inspectors* or other staff for additional review and comments on those documents.
- 1.4.3 Examples of documents that are requested and filed by the *Designated Representative* include but not limited to the following:
- a. *System Safety Program Plan*;
 - b. *Safety Certification Plan*;
 - c. Annual internal *safety* audit reports and a formal letter of certification, signed by the *RTA*'s *accountable executive*, stating that, based on the evaluation performed during the internal *safety* and *security* audit/review process during the previous year, the *RTA* is in compliance with its *SSPP* and *SSP*;
 - d. *Accident investigation* reports;
 - e. *Corrective Action Plans* and schedules;
 - f. *Hazard Conditions Reports*;
 - g. *Safety Certification Verification Reports* and supporting documentation for *Major Projects*, major modifications and system extensions, including new and refurbished transit vehicles;
 - h. *Accident Investigation Procedure*; and
 - i. Operating rule book.
- 1.4.4 Examples of documents that are requested and filed by the *RTOSS Inspectors (Inspectors)* include but not limited to the following:
- a. Roadway Worker Protection Procedures;
 - b. Operating Rule Book including maintenance, signal, and track rules;
 - c. Maintenance procedures;

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- d. *Corrective Action Plans* and schedules subsequent to *RTOSS* inspection;
- e. *Accident Investigation Procedure*; and
- f. Track charts.

1.5.0 INSPECTIONS OF RAIL TRANSIT AGENCIES

1.5.1 Periodic inspections will be performed to assess the *RTA* is conducting operation and maintenance activities as required by federal, state, and Commission regulations.

1.5.2 *Inspectors* will conduct both announced and unannounced inspections of operations and facilities to assess compliance with federal, state, Commission, and relevant *RTA* rules and/or procedures. Sample inspections may include but not limited to the following:

- a. Observation of *RTA* employees and *contractors* for compliance with *RTA*'s rules and procedures;
- b. Review of training records and procedures;
- c. Drug and alcohol program effectiveness;
- d. Observation and review of *RTA* efficiency testing program (rules compliance testing program);
- e. *Safety* and maintenance inspection of track, vehicles, and signal and train control systems; and
- f. Review of *RTA* inspection, maintenance, and repair records of track, signal system, and equipment.

For announced inspections, the Inspector will provide a minimum of 24 hour notice to the *Designated Representative*, and the *RTA Safety Manager*. Although the Inspector may make discretionary schedule arrangements based on the *RTA*'s request, at no time will the Inspector be required to arrange dates to satisfy schedule conflicts of the additional parties. All parties may arrange to meet at a specific location and at an agreeable time, however the determined location and time will be the responsibility of the Inspector in charge of the inspection.

Inspectors may conduct unannounced inspections.

If *Inspectors* are planning announced/unannounced inspections in *RTA* property which is restricted to *RTA* employees only, *Inspectors* will notify the *RTA* onsite personnel upon arrival. The Inspector is not required to notify any additional personnel, but may do so if desired. In some cases

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for example, where the general public has access, notification of inspection is not required. However, the Inspector in charge on an unannounced inspection will notify the *RTA* when the inspection is complete, and whether the *Inspector* identified any findings.

Operating Cab—When the *Inspector* rides in the operating cab to perform an operating practices, track, signals & communications, or mechanical Inspection, the Inspector will not distract the vehicle operator and comply with the following:

1. Prior to entering an operating cab, the Inspector will ensure that their *Personal Electronic Device (PED)* is turned off and properly *Stowed* in a grip, backpack, etc. and not *On Their Person*, in compliance with Commission GO 172 series. The *PED* on vibrate or airplane mode and in their clothing pocket is not acceptable.
2. Prior to the *RTA* Operator moving the train, the Inspector will perform a job briefing, advising the *RTA* Operator that as the Inspector you are calling a “*Sterile Cab.*” This is to ensure that there is no conversation between the *Inspectors* and the *RTA* Operator while the train is in operation. Conversation should only occur if it does not impede the operator’s duties.
3. Before leaving the operating cab, the Inspector will debrief the *RTA* Operator and relay observations regarding the in-cab ride pertaining to the inspection.

1.5.3 Following each inspection, the Inspector will complete a *Rail Transit Safety Branch Inspection Form* (see Attachment 2) and submit it within three (3) business days to the Senior *RTOSS* Supervisor. *RTOSS Inspectors* will document *RTA* issues of non-compliances, exceptions, or findings from unannounced or announced inspections and transmit findings.

1.5.4 The *RTOSS* Supervisor will provide to the *RTA* designated *Safety* Department information or documentation provided by the *Inspectors*, to ensure all inspection activities are communicated properly, and may consult the *Inspectors* for clarification as needed.

1.5.5 The *Designated Representative* may also prepare an Activity Report for any or all activities related to such inspections. The Senior *RTOSS* Supervisor will review the *Rail Transit Safety Branch Inspection Form* for completeness and pertinent regulation(s) categorization. Any safety

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concerns will be noted in the form, and submitted to the *RTA's* safety department and the *Designated Representative* within seven (7) days by email/letter.

- 1.5.6 The *RTOSS* Senior Inspector will track all inspections and CAPs to ensure the documented findings of non-compliance, or exceptions, are completed per federal, state and Commission regulations.

1.6.0 RECORD REVIEWS

- 1.6.1 Records that *Staff* review include but are not limited to the following:

- a. Construction turnover inspection records for completed work on system extensions and other new facilities;
- b. Verification and validation records for vital software and hardware;
- c. Automatic train control, block signaling, track circuit and interlocking test records;
- d. Test records for grade crossing warning devices;
- e. Event recorder records;
- f. Final design and as-built construction documents;
- g. Start-up test records;
- h. *Hazard* analyses records;
- i. Training and certification records;
- j. Internal safety and *security* audit reports;
- k. *Accident investigation* records;
- l. Maintenance records;
- m. Hours of service records;
- n. Operational evaluation records;
- o. Drugs and alcohol test results;
- p. *Security* video surveillance records; and
- q. *Corrective Action Plans*.

- 1.6.2 The *Designated Representative* will document *safety certification* records for *Major Projects* that are selected for review in a project SSCOP Records Review (see Attachment 4).

- 1.6.3 *Staff* will prepare an Activity Report following each records review. *Staff* will discuss with *RTA* and note any *safety* concerns in these reports. The *Designated Representative* will notify their immediate supervisor of all reports noting *safety* concerns.

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1.7.0 ACTIVITY REPORTS

The *Designated Representative* shall document in *RSSIMS Staff* participation in *RTA* meetings and committees., field and other activities. If this is a joint activity with *RTOSS*, the Inspector shall provide to the *Designated Representative* the *Inspector's Activity Report* for inclusion in *RSSIMS*.

1.8.0 COMMISSION FILING REQUIREMENTS

The *Designated Representative* will prepare a notice of the filing of the *RTA* documents requiring Commission consideration and ensure it is published in the Commission Daily Calendar (see Attachment 5). The *Designated Representative* will prepare and track the draft Commission Resolution as required in the CPUC's Rules of Practices and Procedures. See *RSSIMS Procedures Manual* for instructions on preparing and tracking resolutions.

1.9.0 CORRECTIVE ACTION PLAN FOLLOW-UP

Since Commission GO 164 series requires the *RTA* to develop CAPs for all *safety* and *security* findings of noncompliance, *Staff* will review, and approve CAPs.

1.9.1 Where immediate or emergency corrective actions are required to ensure *safety*, the *RTA* may implement the corrective action prior to *RTSB Staff* approval. *RTA* must provide the CAP to *RTSB Staff* within 48 hours.

1.9.2 Each *RTA* shall submit each CAP to *Staff* with a request for review and approval. If the CAP is acceptable to *Staff*, *Staff* shall notify the *RTA* approving the CAP as consistent with General Order 164 series, Sections 9.1 through 9.5 inclusive, best industry practices, and in furtherance of the public's interest in system safety and security. If *Staff* rejects the CAP, *Staff* shall identify the areas in the plan that, in its determination, require correction, and communicate that information to the *RTA*. If the *RTA* does not agree with the rejection, *RTA* shall meet and confer with *Staff* in an effort to resolve this disagreement. If no resolution is achieved through negotiation, the *RTA* shall apply to the Commission for approval pursuant to the application procedure under the Commission's Rules of Practice and Procedure.

1.9.3. The *Designated Representative* must create a record for all CAPs in the TCAP module in *RSSIMS* to document the CAP and its status.

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CAPs must include the following three elements:

- a. Identification of the action to be taken by the *RTA*;
- b. An implementation schedule; and
- c. *Individual* and department responsible for the implementation.

The *Designated Representative* will enter into *RSSIMS* the monthly updates in the *RTAs* provide on their progress in completing the CAPs. *Staff* can verify progress by conducting unannounced or announced inspection.

1.9.4 *RTSB* will adhere to the following CAP documentation and approval mechanisms:

- a. *RTOSS Inspector CAPs* (resulting from inspections):
 - i. The Inspector will verify the completion of their recommendations.
 - ii. If the Inspector is satisfied with the *RTA*'s completed CAPs, the Inspector will close them out. The Inspector will provide a follow-up inspection report to the Senior *RTOSS* Supervisor, who will transmit it to the *RTA*, documenting that the corrective actions are acceptable.
 - iii. If the Inspector is not satisfied, the Inspector will provide a follow-up inspection report to the Senior *RTOSS* Supervisor and the CAP(s) will remain open and shown on the Senior *RTOSS* Supervisor's tracking spreadsheet.
 - iv. The Inspector will create a reminder to follow-up on their outstanding inspection reports.
- b. *RTSS Designated Representative CAPs*:
 - i. The *Designated Representative* will conduct their own reviews to verify CAP completion as *RTAs* close them over time and request CAP closure approval. The *Designated Representative* will document closure and verification method by completing the TCAP module in *RSSIMS*. The *Designated Representative* will attach any *RTA*'s verification documentation, along with any other associated

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documentation, to the appropriate *RSSIMS* record.

- ii. If the *Designated Representative* is satisfied with the completion of the CAP, the *Designated Representative* will document the approval method – email (date) or letter (date) to the *RTA* in the appropriate *RSSIMS* CAP record.

RTSB-2: PROCEDURE FOR REVIEWING, APPROVING, AND FILING A RAIL TRANSIT AGENCY'S PREPARED SYSTEM SAFETY PROGRAM PLAN

RTSB-2 PROCEDURE FOR REVIEWING, APPROVING, AND FILING A RAIL TRANSIT AGENCY'S PREPARED SYSTEM SAFETY PROGRAM PLAN

2.1.0 SCOPE

This section describes the *RTSB* procedures for reviewing, approving and filing a *System Safety Program Plan (SSPP)* prepared by the *RTA's* operating *Rail Fixed Guideway Transportation Systems* in California.

2.2.0 PURPOSE

2.2.1 The purpose of this procedure is to:

- a. Establish a standard set of instructions for *Staff* to follow when reviewing, approving and filing *SSPP* submittals; and
- b. Establish a set of guidelines for the *RTAs* to use in preparation and/or revision of their *SSPP*.

2.3.0 GENERAL REQUIREMENTS

2.3.1 The *RTSB* Program Manager has overall responsibility for the application and use of this procedure, including approval of the "CPUC Checklist for Review of *System Safety Program Plan*" (see Attachment 6).

2.3.2 The *Designated Representative* will review each *SSPP*, including any subsequent revisions, for conformance to CPUC Checklist for Review of *System Safety Program Plan*.

2.3.3 The *Designated Representative* will review each *SSPP* in cooperation with the *RTA* to resolve any checklist item(s) not adequately addressed in the *SSPP*.

2.3.4 The *RTSB* Management will approve the Checklist for Review of *System Safety Program Plan* for the initial submittal of the *RTA's* *SSPP*. The *Designated Representative* will prepare and process a draft Commission Resolution, with a copy of the completed checklists attached, for Commission approval. Staff will follow the Commission's Rules of Practice and Procedures in processing Commission Resolution with guidance of the process office.

2.3.5 Commission GO 164 series requires *RTAs*, before February 15th of each year, review their *SSPP*, in order to determine whether the

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plan should be revised, and notify *Staff* if no revisions to the *SSPP* are deemed necessary.

2.3.6 In the event *Staff* disagrees with the *RTA*, *Staff* shall provide written explanation of the reasons for its rejection to the *RTA*, and the *RTA* shall file a formal application seeking approval by the Commission.

2.3.7 *Staff* may periodically require additional review of the *SSPP* to address specific issues based on revisions of the following documents:

- a. Program Management Standard and Procedures; and
- b. 49 CFR Chapter VI.

Including but not limited to the following:

- a. *FTA* safety advisory;
- b. *FTA* safety directives;
- c. On-site reviews;
- d. *Investigations*; or
- e. Changing trends in *events* data.

2.3.8 *RTA* may initiate review and/or revision to the *SSPP* outside of the annual review cycle.

2.3.9 Revisions to the initial Commission approved *SSPP* will be reviewed by *Staff* for conformance to the applicable sections of the "CPUC Checklist for Review of *System Safety Program Plan*", using the same methodology as in the initial *SSPP* submission (see Attachment 6).

2.4.0 REVIEW OF SYSTEM SAFETY PROGRAM PLAN

2.4.1 To ensure statewide compliance and consistency, *Staff* will review the initial *SSPP* and, subsequently, any revised *SSPPs* using the "CPUC Checklist for Review of *System Safety Program Plan*" (see Attachment 6). *Staff's* evaluation of the *RTA's* submittal will verify the following elements are addressed in the *SSPP*:

- a. Endorsement of the *SSPP* by the *RTA's* *accountable executive*;
- b. Establish the *safety* goals and objectives of the *RTA*;
- c. Identify the *safety* roles and responsibilities of all *RTA* departments/functions;
- d. Identify the *hazard* management process, including reporting thresholds, to be used by the *RTA*;

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- e. Identify the internal *safety* review process to be performed by the *RTA* and *Staff* involvement in the process;
- f. Identify *events* notification, *investigation* and reporting procedures to be used jointly by the *RTA* and the *SSOA* in managing *events*, meeting the thresholds specified by *FTA*'s rule;
- g. Require communication and coordination with *Staff* in all Commission program provisions, and document the actual mechanisms in place for communication and coordination between the *RTA* and *Staff*; and
- h. Provide a schedule for the implementation and revision of the *SSPP*.

2.4.2 The *Designated Representative* will verify that all 23 elements prescribed in 49 CFR Part 659.19 and Commission General Orders 172 and 175 series, and outlined in the CPUC's Checklist for Review of *System Safety Program Plan* is included in the *RTA*'s *SSPP*.

2.4.3 The *Designated Representative* will review all referenced materials in conjunction with the *SSPP*.

2.4.4 The *Designated Representative* will complete the CPUC Checklist for Review of *System Safety Program Plan*, and brief *RTSB* Management on any findings. The *RTSB* Management will review the checklist for thoroughness and, if necessary, assign additional *Staff* to conduct peer review of the *SSPP* and the completed checklist.

2.4.5 If the revised *SSPP* is not acceptable based on the Commission General Order 164 series requirements, the *Designated Representative* will draft a formal letter of review for *RTSB* Management signature with a copy of the *Staff*'s completed checklist. The *RTA* will be given instructions on how to revise and resubmit the revised *SSPP* in the letter.

2.4.6 The *Designated Representative* will draft an approval letter for *RTSB* Management review. *RTSB* Management will send a formal letter of review and approval of the *SSPP* to the *RTA*, with a copy of *Staff*'s completed checklist.

2.4.7 The *Designated Representative* will maintain the completed checklists, Commission Resolution, *RTSB* letters of approval, and the approved *SSPP*, including the original and any revisions, for each *RTA* and file a copy in *RSSIMS*.

RTSB-3: PROCEDURE FOR REVIEWING, APPROVING, AND FILING RAIL TRANSIT AGENCY'S
PREPARED SYSTEM SECURITY PLAN

RTSB-3 PROCEDURE FOR REVIEWING, APPROVING, AND FILING RAIL
TRANSIT AGENCY'S PREPARED SYSTEM SECURITY PLAN

3.1.0 SCOPE

This section describes the *Rail Transit Safety Branch (RTSB)* procedures for reviewing, approving and filing *System Security Plan (SSP)* prepared by the *RTA* operating *Rail Fixed Guideway Transportation Systems* in California.

3.2.0 PURPOSE

- 3.2.1 The purpose of this procedure is to:
- a. Establish a standard set of instructions for *Staff* to follow when reviewing, approving, and filing SSP submittals; and
 - b. Establish a set of guidelines for the *RTA* to use when they prepare or revise a SSP.

3.3.0 GENERAL REQUIREMENTS

- 3.3.1 The *RTSB* Program Manager has overall responsibility for the application and use of this procedure, including approval of the "CPUC Checklist for Reviewing the *System Security Plan*" (see Attachment 7).
- 3.3.2 *Staff* will review each SSP, including any subsequent revisions, for conformance to the "CPUC Checklist for Reviewing the *System Security Plan*" (see Attachment 7).
- 3.3.3 *Staff* will review each SSP in consultation with the *RTA* to resolve any checklist item(s) not adequately addressed in the SSP.
- 3.3.4 *RTSB* Management will approve the CPUC Checklist for reviewing the SSP for the initial submittal of each *RTA*'s SSP. *Staff* will prepare and process a draft Commission Resolution, with a copy of the completed checklists attached, for Commission approval.
- 3.3.5 As required by GO 164 series, an *RTA* shall annually review the SSP to determine whether the plan should be revised. *RTA* will be responsible for formally advising *Staff* prior to February 15 of each year if no revisions to SSP are deemed necessary. In the event *Staff* disagrees with *RTA* decision, *Staff* will formally notify the *RTA* that further review and revisions are necessary.

RTSB-3: PROCEDURE FOR REVIEWING, APPROVING, AND FILING RAIL TRANSIT AGENCY'S
PREPARED SYSTEM SECURITY PLAN

3.3.6 *Staff* may periodically require additional review of the SSP to address specific issues based on revisions of the following documents:

- a. Program Management Standard and Procedures; and
- b. 49 CFR Chapter VI.

Including but not limited to the following:

- a. *FTA* Safety Advisory;
- b. *FTA* Safety Directives;
- c. On-site reviews;
- d. *Investigations*;
- e. Changes in homeland *security* trends; and
- f. Recommendations or requirements from Department of Homeland Security or Transportation Security Administration.

3.3.7 The *RTA* may initiate review and/or revision to the SSP outside of the annual review cycle.

3.3.8 In the event SSP revisions are made, the *RTA* shall submit the revised SSP to *Staff* no later than February 15 of each year. Revised Commission approved SSP will be reviewed by *Staff* for conformance to the applicable sections of the attached CPUC Checklist for review of SSP, using the same methodology as in the initial SSP submission.

3.3.9 *RTSB* Management will approve the CPUC Checklist for reviewing the SSP for a revised SSP; the *Designated Representative* will prepare and transmit a letter of approval to the *RTA*.

3.3.10 The *Designated Representative* will maintain a file containing the completed checklists, Commission Resolution, and *RTSB* letters of approval for each *RTA* and file a copy in *RSSIMS*. *Staff* will maintain confidentiality of SSP.

3.4.0 REVIEW OF SYSTEM SECURITY PLAN

3.4.1 To ensure statewide compliance and consistency, *Staff* will review the initial SSP and revised SSP using the CPUC Checklist for review of SSP. (see Attachment 7). Evaluation of the *RTA* submittal verifies the following elements are addressed in the SSP:

- a. Identify the policies, goals, and objectives for the *security* program endorsed by the *RTA's accountable executive*;

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PREPARED SYSTEM SECURITY PLAN

- b. Document the *RTA's* process for managing threats and vulnerabilities during operations, and for *Major Projects*, including integration with the *safety certification* process;
 - c. Identify controls in place that address the personal *security* of *passengers* and employees;
 - d. Document the *RTA's* process for conducting internal *security* reviews to evaluate compliance and measures the effectiveness of the SSP; and
 - e. Document the *RTA's* process for making its SSP and accompanying procedures available to the SSOA for review and approval.
- 3.4.2 The *RTA* shall make available to *Staff* for review all documents referenced in SSP along with the SSP. The *Designated Representative* will review all referenced materials in conjunction with the SSP review.
- 3.4.3 The *Designated Representative* will complete CPUC Checklist for review of SSP, and brief *RTSB* Management on findings. *RTSB* Management will review checklist for thoroughness and, if necessary, assign additional *Staff* to conduct peer review of SSP and completed checklist.
- 3.4.4 The *Designated Representative* will send a formal letter of review and approval of the SSP to the *RTA*, with a copy of *Staff* completed checklist.

RTSB-4: PROCEDURE FOR PERFORMING A TRIENNIAL ON-SITE SYSTEM SAFETY AND SECURITY REVIEWS OF A RAIL TRANSIT AGENCY

RTSB-4 PROCEDURE FOR PERFORMING A TRIENNIAL ON-SITE SYSTEM SAFETY AND SECURITY REVIEWS OF A RAIL TRANSIT AGENCY

4.1.0 SCOPE

This section describes the *Rail Transit Safety Branch (RTSB)* procedures for performing triennial, on-site, safety and security reviews of the *rail transit agencies (RTAs)* operating *Rail Fixed Guideway Transportation Systems* in California.

4.2.0 PURPOSE

4.2.1 The purpose of this procedure is to:

- a. Provide the *RTSB staff (Staff)* with a standard set of instructions for performing triennial, on-site, *safety* and *security* reviews by auditing the application and use of the *RTA's System Safety Program Plan (SSPP)* and *System Security Plan (SSP)*; and
- b. Provide the RTA a complete description of the triennial on-site System Safety and Security, review program.

4.3.0 GENERAL REQUIREMENTS

4.3.1 The *RTSB* Program Manager has overall responsibility for the preparation and use of this procedure.

4.3.2 Each *RTA* operating a *Rail Fixed Guideway Transportation System* in California is required by Commission General Order 164 series to have a Commission approved *SSPP* and *SSP*.

4.3.3 *Staff* will review each *RTA's* implementation of its *SSPP* and *SSP* in accordance with this procedure within a 3-year period, and every 3-year period thereafter. For a new start *RTA*, *Staff* will review the *RTA's* implementation of its *SSPP* and *SSP*, in accordance with this procedure, after one year of revenue service, and every 3-year period thereafter.

4.3.4 *Staff* will conduct each review in accordance with a set of checklists prepared in advance. The checklists are prepared from the 23 elements found in Section *RTSB-2: System Safety Program Plan*,

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Attachment 6. *Staff* may reference checklists, found in Content Server's "Triennial On-Site SSS Review Docs" folder or on prior *RSSIMS* TRRV records.

- 4.3.5 *Staff* will document the results of each review in a final triennial, on-site System Safety and *Security* review reports containing the *Staff's* findings and recommendations (see Attachment 8). *Designated Representative* will prepare to separate Draft Reports with findings and recommendations for the Safety and *Security* audit. *Staff* will file all Triennial On-Site System Safety and *Security* Review documents on *RSSIMS* and which will be approved by *RTSB* Management.

The *Designated Representative* will create and track the Triennial audit on *RSSIMS* TRRV module including the Resolution on a separate *RSSIMS* RSL module record, the checklists, *Staff* Reports with their findings and recommendations and the resulting CAPs.

4.4.0 REVIEW PREPARATIONS

- 4.4.1 The *RTSB* Management will assign a *Designated Representative* and *Staff* to conduct each scheduled triennial on-site System Safety and *Security* review. Also, *RTSB* Management will assign a *Designated Representative* to oversee the review process.
- 4.4.2 In addition to the *RTA's* SSPP and SSP, *Staff* will use the *RTA's* procedures and other pertinent documents as a basis for preparing a set of checklists before beginning the on-site review. As stated before, the checklists are prepared from the 23 elements found in Section *RTSB-2: System Safety Program Plan*, Attachment 6. Examples of these procedures include but not limited to:
- a. The *RTA's* operating rule book, bulletins, notices and standard operating procedures (SOP's);
 - b. The *RTA's* manuals and procedures for preventive maintenance of *safety* related systems, equipment, and facilities;
 - c. The *RTA's* procedures for documenting and investigating *accidents* and *hazards*;
 - d. The *RTA's* *Safety Design Criteria* and project engineering and construction procedures for configuration management and control of extensions and modifications;

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- e. The *RTA's* annual internal audit reports for the previous three years;
- f. The *RTA's* open and closed CAPs for *accidents* and *hazards* reported to the Commission during the previous three years;
- g. Any *FTA* safety regulations;
- h. Previously prepared Commission triennial audit reports; and
- i. Applicable Commission General Orders, Resolutions and Decisions.

4.4.3 Utilizing the materials referred to in Section 4.4.2, the *Designated Representative* and *Staff* will prepare checklists that identify the *safety* and *security* requirements to be reviewed, the applicable reference documents that establish the acceptance criteria for those requirements, and the method of verification. Space will also be provided on the checklists to record review findings, comments, and recommendations. See Attachment 6 for an example of a checklist.

4.4.4 When preparing the checklists, *Staff* will concentrate on requirements that affect the *safety* and *security* of train operations and are known or believed to be important to *hazard* reduction and the prevention of *events*.

4.4.5 *Staff* will notify the *RTA's accountable executive* by letter at least 30 days in advance of each review. Concurrently, *Staff* will notify the *RTA's safety* and *security* department management and will include the planned scope of the review and the checklists.

4.5.0 THE TRIENNIAL ON-SITE SYSTEM SAFETY AND SECURITY REVIEW

4.5.1 Each triennial on-site system *safety* and *security* review (Review) will be preceded by an on-site meeting attended by *RTSB's* Program Manager, the *RTA's accountable executive*, and personnel in charge of each department to be reviewed.

4.5.2 The *Designated Representative* will prepare a meeting agenda that includes the scope of the Review, a brief review of the checklists, a proposed schedule of daily activities, protocol for communications between *Staff* and the *RTA's* personnel, the treatment of the Review findings, the time and date for holding a post review meeting, and the procedure for drafting, reviewing and issuing a final report.

4.5.3 *Staff* will conduct the Review by using the checklists to verify the

RTSB-4: PROCEDURE FOR PERFORMING A TRIENNIAL ON-SITE SYSTEM SAFETY AND SECURITY REVIEWS OF A RAIL TRANSIT AGENCY

RTA's conformance with the requirements contained in the listed reference criteria. *Staff* will accomplish verification by:

- a. Discussions with *RTA's* personnel;
- b. Review of procedures and records;
- c. Observations of operations and maintenance activities; and
- d. Visual examinations and measurements.

4.5.4 The checklists will identify the method of verification. However, the checklists will not restrict *Staff* from performing additional *investigations* when initial findings appear to warrant further inquiry to verify conformance with *safety* requirements specified in *RTA's* *SSPP* and *SSP*.

4.5.5 *Staff* will record findings and comments on the checklists. *Staff* will immediately communicate the *safety* and *security* critical findings to the *RTA*.

4.5.6 *Staff's* recommendations for correcting findings of non-compliance may also be included on the *individual* checklists, and/or combined and presented in a separate section of the final report. At the conclusion of each checklist review, *Staff* will communicate preliminary findings to the *RTA*.

4.5.7 Each review will be concluded by an on-site meeting attended by *RTSB* Program Manager, the *RTA's* *accountable executive*, and personnel in charge of each department reviewed to discuss the preliminary findings and recommendations. During this meeting, the *Designated Representative* will offer the *RTA* personnel an opportunity to comment and provide any additional information that may affect the preliminary findings and recommendations.

4.6.0 THE FINAL TRIENNIAL ON-SITE SYSTEM SAFETY AND SECURITY REVIEW REPORTS

4.6.1 Following the completion of the on-site review, the *Designated Representative* will prepare a draft report with *Staff's* findings, conclusions and recommendations. The *Designated Representative* will include the completed checklists in the draft Review report as attachments.

4.6.2 The *Designated Representative* will submit the draft report to the *RTSB* Management for approval.

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- 4.6.3 The *Designated Representative* will submit the approved draft report to the *RTA* for review and comments.
- 4.6.3 The *Designated Representative* will allow the *RTA* 30 days to review and comment on the findings and recommendations contained in the draft Review report.
- 4.6.4 The *Designated Representative* will make every effort to reach full agreement and concurrence with the *RTA* on the review findings and recommendations.
- 4.6.5 The *Designated Representative* will prepare the final Review report, draft a resolution, and follow Commission Rules and Procedures for Commission approval.
- 4.6.6 The *Designated Representative* will upload all relevant documents pertaining to triennial audits to *RSSIMS*, resolution and triennial record modules.

4.7.0 CORRECTIVE ACTION PLAN FOLLOW-UP FOR TRIENNIAL REVIEW

- 4.7.1 As ordered by the Commission's Resolution following *RTSB* recommendations and findings, *Staff* will review the *RTA*'s developed CAPs for all *safety* and *security* review findings of noncompliance. The Resolution typically provides 45 days to the *RTA* to formally respond to the Final Triennial *Staff* Report.

The *RTA* will reply within 45 days, or as prescribed by the Commission's adopted Resolution.

The *RTA* will complete and implement all recommendation corrective actions contained in the reports, in accordance with the plans and schedules submitted to *RTSB*.

RTSB will review and approve CAPs. CAPs must include the following three elements:

- a. Identify the action to be taken by the *RTA* to minimize, control, correct or eliminate the risks and *hazards* identified by the CAP.
- b. An implementation schedule; and
- c. Indicate the *individual* and department responsible for the implementation.

RTSB-4: PROCEDURE FOR PERFORMING A TRIENNIAL ON-SITE SYSTEM SAFETY AND SECURITY REVIEWS OF A RAIL TRANSIT AGENCY

4.7.2 The *Designated Representative* will monitor the *RTA*'s implementation of the CAPs that result from each triennial on-site System Safety and Security review by requesting periodic of monthly progress reports according to the corresponding Commission adopted Resolution. The *RTA* will provide monthly status reports to *RTSB* which contain detailed information on the implementation of all remaining corrective actions in the final *safety* review reports.

The Monthly status reports shall be provided until all recommended corrective actions are implemented and completed.

4.7.3 The *Designated Representative* will file the CAP progress in *RSSIMS* and provide monthly updates to *RTSB* Management until completed.

RTSB-5: PROCEDURE FOR OVERSIGHT OF THE RAIL TRANSIT AGENCY'S INTERNAL SAFETY AND SECURITY REVIEW

RTSB-5 PROCEDURE FOR OVERSIGHT OF THE RAIL TRANSIT AGENCY'S INTERNAL SAFETY AND SECURITY REVIEW

5.1.0 SCOPE

This section describes the *Rail Transit Safety Branch (RTSB)* procedures for oversight of the *RTA's Internal Safety and Security* reviews that each *RTA* must perform and *RTSB staff (Staff)* will participate in the review process.

5.2.0 PURPOSE

5.2.1 The purpose of this procedure is to:

- a. Establish a standard set of instructions for *Staff* to follow when overseeing the *RTA's Internal Safety and Security* reviews; and
- b. Provide the *RTA's* with guidelines that they may use to perform Internal Safety and Security reviews and prepare an annual Internal Safety and Security review report.

5.3.0 GENERAL REQUIREMENTS

5.3.1 The *RTSB* Program Manager has overall responsibility for the application and use of this procedure.

5.3.2 The *RTA* operating a *Rail Fixed Guideway Transportation System* in California is required by Commission General Order 164 series to annually perform planned and scheduled Internal *Safety and Security* reviews to evaluate compliance and measure the effectiveness of its *System Safety Program Plan (SSPP)* and *System Security Plan (SSP)*.

5.3.3 The *RTA* must include all elements of the *SSPP* and the *SSP*, described in Commission General Order 164 series. As required by Commission GO 164 series, the *RTA* will identify the scope of activities to be reviewed. *Staff* shall ensure that the *RTA* reviews all elements of the *SSPP* and *SSP* in an on-going manner and completes reviewing them over a 3-year period.

5.3.4 The *RTA* must prepare a schedule of Internal *Safety and Security* reviews to be performed during each calendar year. The *RTA* must submit this schedule and checklists, including any subsequent changes to the *Designated Representative* at least thirty (30) days before any scheduled review begin.

RTSB-5: PROCEDURE FOR OVERSIGHT OF THE RAIL TRANSIT AGENCY'S INTERNAL SAFETY AND SECURITY REVIEW

- 5.3.5 The *RTA* must perform an Internal *Safety* and *Security* review in accordance with the written checklists by personnel technically qualified to verify compliance and judge the effectiveness of the activity being reviewed. The reviewers may be *RTA* assigned to the unit responsible for management of the activity being reviewed, but they must be independent from the first line of supervision responsible for performance of the activity being reviewed.
- 5.3.6 The *RTA* must document the Internal *Safety* and *Security* review in an annual report that covers the reviews performed during each calendar year. The annual report must state the results of each review in terms of the adequacy and effectiveness of the *RTA*'s *SSPP* and *SSP*.
- 5.3.7 In addition to the *RTA*'s annual report, the *RTA* shall submit a formal letter of certification, signed by the *RTA*'s *accountable executive*, stating that, based on the evaluation performed during the Internal *Safety* and *Security* review process during the previous year, the *RTA* is in compliance with its *SSPP* and *SSP*. The *RTA* shall submit the report to the *Designated Representative* prior to the 15th of February each year.

5.4.0 OVERSEEING THE RAIL TRANSIT AGENCY'S PERFORMANCE OF INTERNAL SAFETY AND SECURITY REVIEWS

- 5.4.1 Upon notification that the *RTA*'s plans to conduct an Internal *Safety* and *Security* review, the *Designated Representative* will oversee the review activity to assure that the *RTA* perform the following:
- a. Complies with its own schedule of annual Internal *Safety* and *Security* reviews;
 - b. Performs Internal *Safety* and *Security* reviews in accordance with a written checklist prepared in advance;
 - c. Reviewers are technically qualified;
 - d. Reviewers are independent from the first line of supervision responsible for the activity being reviewed; and
 - e. Conducts a thorough and objective Internal *Safety* and *Security* review.
- 5.4.2 The *Designated Representative* will document each observed Internal *Safety* and *Security* review in an activity report in *RSSIMS*.

5.5.0 REVIEWING AND APPROVING THE RAIL TRANSIT AGENCY'S ANNUAL INTERNAL SAFETY AND SECURITY REVIEW REPORTS

RTSB-5: PROCEDURE FOR OVERSIGHT OF THE RAIL TRANSIT AGENCY'S INTERNAL SAFETY AND SECURITY REVIEW

- 5.5.1 The *Designated Representative* is responsible for reviewing and approving the annual *Internal Safety and Security* review reports for conformance to the guidelines in the attached checklist (see Attachment 9).
- 5.5.2 *Staff* will review the annual *Internal Safety and Security* review report in accordance with the Commission General Order 164 series requirements.
- 5.5.3 *Staff* will send a letter of approval to the *RTA*.
- 5.5.4 *Staff* will submit all the *RTA*'s internal review reports to the *FTA* alongside the Annual Submission documents on or before March 15 of each year.
- 5.5.5 *Staff* will maintain the approved annual *Internal Safety and Security* review report, checklist and copy of the approval letter and file documents in *RSSIMS*.

5.6.0 CORRECTIVE ACTION PLAN FOLLOW UP FOR ANNUAL INTERNAL SAFETY AND SECURITY REVIEW

- 5.6.1 *Staff* will require the *RTA* to develop CAPs for all the *Internal Safety and Security* review noncompliant findings and recommendations. *Staff* will review and approve CAPs. CAPs must include the following three elements:
 - a. Identify the action to be taken by the *RTA*;
 - b. An implementation schedule; and
 - c. *Individual* and department responsible for the implementation.
- 5.6.2 The *Designated Representative* will monitor the *RTA*'s implementation of the CAPs that result from each annual on-site System Safety and *Security* review by requesting periodic progress reports.
- 5.6.3 The *Designated Representative* will document the CAP in *RSSIMS* and provide monthly updates to *RTSB* Management until completed.

RTSB-6: PROCEDURE FOR RAIL TRANSIT AGENCIES REPORTING EVENTS AND HAZARDS

RTSB-6 PROCEDURE FOR RECEIVING NOTIFICATION OF EVENTS AND HAZARDS

6.1.0 SCOPE

This section describes the *Rail Transit Safety Branch (RTSB)* procedures for receiving notifications of *Events (Accidents, Incidents, and Occurrences)* and/or *hazards* from *RTAs*.

6.2.0 PURPOSE

6.2.1 The purpose of this procedure is to:

- a. Thresholds for *Events*:
- b. Establish a standard set of instructions for *RTSB staff (Staff)* to follow when a *RTA* notifies *RTSB* of an *Event* and/or *hazard*; and
- c. Prescribed forms and instructions for receiving notices of *Events* and/or *hazards*.

6.3.0 GENERAL REQUIREMENTS

6.3.1 The *RTSB* Program Manager has overall responsibility for the preparation and use of this procedure.

6.3.2 Each *RTA* must submit notification to *Staff* or designee of immediately reportable *Events* and/or *hazards* in accordance with CFR 674.33 and Commission General Order 164 series within two hours. See Attachment 10 for required information for the *RTA's* Initial *Accident* Report.

6.3.3 An immediately reportable *accident* is one, which meets or exceeds the following thresholds:

- a. A fatality (occurring at the scene, or within 30 calendar days following the *accidents*);
- b. One or more persons suffering *serious injury*, which: (1) requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received; (2) results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (3) causes severe hemorrhages, nerve, muscle, or tendon damage; (4) involves any internal organ; or (5) involves second or third-degree burn(s), or any burns affecting more than 5

RTSB-6: PROCEDURE FOR RAIL TRANSIT AGENCIES REPORTING EVENTS AND HAZARDS

- percent of the body surface.
 - c. A collision involving a *rail transit vehicle* and any other vehicle, object, or *individual*;
 - d. A runaway train;
 - e. An evacuation for life *safety* reasons;
 - f. Any derailment of a *rail transit vehicle*, at any location, at any time, whatever the cause; and
 - g. Fires resulting in a serious injury or fatality.
- 6.3.4 As required by Commission GO 164 series, the *RTA* shall provide as part of the notification:
- a. The time and date of the *accident*;
 - b. The location of the *accident*, including Commission highway-rail grade crossing number if applicable;
 - c. The number of fatalities or injuries;
 - d. The *rail transit vehicles* involved in the *accident*, if any;
 - e. The factor from Section 6.3.3 that makes the *accident* immediately reportable;
 - f. Narrative description of the *accident*; and
 - g. The first responders at the scene of the *accident*.
- 6.3.5 *RTSB* is testing a web-based *accident* reporting tool. Currently, the page is not on the Commission's publicly available web pages, but it is accessible to the *RTAs*.
- 6.3.6 Concurrent notification to the *FTA* is required for all immediately reportable *accidents* within two (2) hours.
- 6.3.7 *Events* which require *FRA* notification, the *RTA* shall notify the *Designated Representative* within two (2) hours of the *event*.
- 6.3.8 *Staff* will prepare an Initial *Accidents* Report through *RSSIMS* (formerly known as a Form R) for reportable *events* and/or *hazards*. Instructions for preparing and processing Initial *Accident* Reports (see Attachment 10).
- 6.3.9 As required by Commission GO 164 series, each *RTA* shall submit the Monthly Service Record, *Events*, *Hazard*, and *Corrective Action Plan* Summary Report (formerly known as the Form V – See Attachment 11), no later than 30 days after the last day of the month covered by the required reports.
- 6.3.10 Upon receipt, *Staff* will review the “Monthly Service Record, Events, Hazard, and Corrective Action Plan Summary Report” for completeness.

RTSB-6: PROCEDURE FOR RAIL TRANSIT AGENCIES REPORTING EVENTS AND HAZARDS

If the report is not complete, *Staff* shall contact the *RTA* and note the deficiencies.

6.3.11 *Staff* will maintain a file/record of all Initial *Accident Reports* (formerly known as a Form R) in *RSSIMS INCT module*.

6.3.12 As required by 49 CFR 674, each *RTA* shall report *incidents* to *FTA* within 30 days via the National Transit Database and record for analysis. If a *RTA* or *Staff* later determines that an *incident* meets the definition of an *accident*, that *event* must be reported as set forth in Section 6.3.3 through 6.3.10. *Incidents* include the following:

- a. A personal injury that is not a *serious injury*;
- b. One or more injuries requiring medical transportation away from the *event*; and
- c. Damage to facilities, equipment, rolling stock or infrastructure that disrupts the operations of a *rail transit agency*.

6.3.13 As required by Commission GO 164 series, each *RTA* shall collect, track and analyze data on *occurrences* to reduce the likelihood of recurrence and make available for *Staff* and/or *FTA* review. *Occurrences* include the following:

- a. No personal injury
- b. Close calls or near misses;
- c. *Safety* rule violations;
- d. Violations of *safety* policies;
- e. Damage to catenary or third-rail equipment that do not disrupt operations; and
- f. Vandalism or theft.

6.3.14 A reportable *hazard* is any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock or infrastructure of a *RFGS* or damage to the environment. Examples of reportable *hazards* include but not limited to the following:

- a. Red signal violations;
- b. Signal device failures;
- c. Near misses with other rail vehicles, employees, automobiles, or pedestrians;
- d. Door faults including wrong-side door openings or door openings during train movements;
- e. Equipment failure causing service disruption; and

RTSB-6: PROCEDURE FOR RAIL TRANSIT AGENCIES REPORTING EVENTS AND HAZARDS

- f. Emergency brake application due to equipment failure, unattended aspect or track occupancy.

RTSB-7: PROCEDURE FOR REVIEWING AND APPROVING RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION PROCEDURES

RTSB-7 PROCEDURE FOR REVIEWING AND APPROVING A RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION PROCEDURES

7.1.0 SCOPE

This section describes the *Rail Transit Safety Branch's (RTSB)* procedures for reviewing and approving *Accident Investigation Procedures (AIP)* prepared by the *RTA*.

7.2.0 PURPOSE

7.2.1 The purpose of this procedure is to:

- a. Establish a standard set of instructions for *RTSB staff (Staff)* to follow for reviewing and approving *RTA's AIP* submittals; and
- b. Provide each *RTA* with a set of guidelines that they may use to prepare *AIPs* for submittal to *Staff*.

7.3.0 GENERAL REQUIREMENTS

7.3.1 The *RTSB* Program Manager has overall responsibility for the application and the use of this procedure.

7.3.2 *Staff* is responsible for reviewing and approving the *RTA's AIP*, including revisions, utilizing the attached checklist (see Attachment 12).

7.3.3 *Staff* will review the *RTA's AIP* in cooperation with the *RTA* to resolve any checklist items that are not adequately covered in the *AIP*.

7.3.4 *Staff* will send a letter of approval to the *RTA* with a copy of the completed checklist attached.

7.3.5 *Staff* will maintain the approved *AIP*, completed checklist, and a copy of the approval letter and file a copy in *RSSIMS*, as indicated by *RTSB* Management.

RTSB-8: PROCEDURE FOR INVESTIGATING ACCIDENTS AND APPROVING A RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION REPORTS

RTSB-8 PROCEDURE FOR INVESTIGATING ACCIDENTS AND APPROVING A RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION REPORTS

8.1.0 SCOPE

This section describes the *Rail Transit Safety Branch's (RTSB)* procedures for investigating *accidents* and approving *Rail Transit Agency (RTA) accident investigation* reports. Although the Commission is ultimately responsible for the sufficiency and thoroughness of all accident investigations, each *RTA* shall investigate, on behalf of the Commission, all reportable accidents involving a *rail transit vehicle* or taking place on *rail transit agency-controlled property*. Per Commission GO 164 series section 8, *Staff* may also perform a separate, independent *investigation* of any *accident*.

8.2.0 PURPOSE

- 8.2.1 The purpose of this procedure is to:
- a. Establish a standard set of instructions for *RTSB staff (Staff)* to follow when investigating *accidents* and approving *accident investigation* reports submitted by *RTA*;
 - b. Establish a set of guidelines for the *RTA* to follow when conducting *accident investigations*, and developing *investigation* reports on behalf of the Commission; and
 - c. Provides a set of procedures for protecting the confidentiality of the investigation reports.

8.3.0 GENERAL REQUIREMENTS

- 8.3.1 The *RTSB* Program Manager is responsible for the overall application and use of this procedure.
- 8.3.2 Notification of a reportable *accident* should be in accordance with Commission GO 164 series.
- 8.3.3 *Staff* will prepare a Transit *Accident* Initial Notice via *RSSIMS* (Formerly known as Form R) for every immediately reportable *accident* (see Attachment 10). *Staff* will include the *accident* history for that location in the initial notice. Once Transit *Accident* Initial Notice is completed, *Staff* will distribute the report to the INCT email distribution list. If the *RTA* provides updates to their initial *accident* notification, *Staff* shall also distribute the updated information to the INCT email distribution list.

RTSB-8: PROCEDURE FOR INVESTIGATING ACCIDENTS AND APPROVING A RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION REPORTS

- 8.3.4 As required by 49 CFR 674 and Commission GO 164 series, the *RTA* shall investigate, on behalf of the Commission, all reportable *accidents* involving a *rail transit vehicle* or taking place on *rail transit-controlled property*.
- 8.3.5 *Staff* may also perform a separate, independent *investigation* of any such *accident*.
- 8.3.6 *Staff* will ensure the *RTA*:
- a. Investigates *accidents* in accordance with *Staff* approved *RTA's Accident Investigation Procedures (See Section RTSB – 7)* Conducts a thorough and objective *investigation*;
 - b. Draws accurate and substantiated conclusions from the available evidence;
 - c. Identifies correctly the most probable primary causes;
 - d. Identifies correctly the most probable secondary, underlying, and contributing causes;
 - e. Prepares a final *accident investigation* report with recommendations that address the most probable primary and secondary causes; and
 - f. Prepares and implements a CAP and schedule to carry out the recommendations contained in the final *investigation* report.
- 8.3.8 *Staff* will review the *RTA's accident investigation* report, and if acceptable, will formally adopt the *RTA's* report.
- 8.3.9 In case where *Staff* does not accept the *RTAs accident investigation* report, *Staff* shall identify the areas in the report to be corrected. If the *RTA* does not agree with *Staff*, then *Staff* may conduct its own *investigation* or file the *RTA* report along with *Staff's* objections with the Commission.
- 8.3.10 In cases where *Staff* conducts its own *accident investigation*, *Staff* will notify the *RTA* accordingly and formally transmit its final *investigation* report to the *RTA*.
- 8.3.11 If the *RTA* disagrees with the findings of *Staff's* independent investigation, the *RTA* may submit a written dissent to the report, which may be included in the RTSB report at the discretion of *Staff*.

8.4.0 ACCIDENT INVESTIGATION REQUIREMENTS

RTSB-8: PROCEDURE FOR INVESTIGATING ACCIDENTS AND APPROVING A RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION REPORTS

- 8.4.1 If determined necessary by *Staff*, as soon as practicable, *Staff* will perform an on-site inspection of the *accident* scene.
- 8.4.2 *Staff* will participate, to the fullest extent possible, in *RTA's investigation* of the *accident* (per Commission GO 164 series, Section 8.3b).
- 8.4.3 When investigating *accidents* that require immediate notification per Commission GO 164 series, Section 7.2, *Staff* will, as applicable and practicable, be present and participate with *RTA* in:
 - a. Interviewing of persons involved in the *accident*;
 - b. Visual examinations, measurements and tests of vehicles, tracks, switches, signals and other similar items;
 - c. Operational reenactments;
 - d. Meetings with investigators, consultants, review boards, etc. to review and analyze *accident* related information;
 - e. Guidelines for site visits are in Attachment 13;
 - f. Guidelines for conducting interviews are in Attachment 14; and
 - g. If during the course of the *investigation* additional information is needed, *Staff* can use a "Data Request." A template is in Attachment 15.
- 8.4.4 When not practicable to directly participate in a particular *investigation* activity, *Staff* will review the applicable reports, records, transcripts, meeting minutes, etc..
- 8.4.5 *Staff* will review, as applicable, but not limited to:
 - a. Results of drug and alcohol tests;
 - b. Employee training, certification, and recertification records;
 - c. Employee performance evaluation records;
 - d. Hours of service records;
 - e. *RTA* employee voice recordings;
 - f. *RTA* employee cell phone records;
 - g. Train and signal *event* recordings;
 - h. Operating procedures, instructions, rules, bulletins and notices;
 - i. Vehicle, track, switch, signal, etc. maintenance records;
 - j. Post-*accident* equipment inspection/testing reports;

RTSB-8: PROCEDURE FOR INVESTIGATING ACCIDENTS AND APPROVING A RAIL TRANSIT
AGENCY'S ACCIDENT INVESTIGATION REPORTS

- k. Law enforcement agency reports;
- l. Coroner reports;
- m. Test procedures and recorded results of operational reenactments;
and
- n. Previous *accident* data.

- 8.4.6 *Staff* will complete the *RSSIMS* INCT module record with the data collected (formerly referred to as Form S) to each reportable accident to document *accident investigation* activities. See Attachment 16 titled "INCT Transit Accident Details Report" for sample final accident report.
- 8.4.7 In accordance with 49 CFR Part 831, the National Transportation Safety Board (NTSB) may investigate a reportable *accident*. In such case, the NTSB is responsible for leading the *investigation*; the determination of facts, conditions, and circumstances; the cause or probable causes; and recommendations to reduce the likelihood of recurrence. *Staff* will support the NTSB as a member of its Party System. *Staff* will assist the NTSB by providing information requested about the *RTA* critical practices on other matters as appropriate. NTSB will control the distribution of information relating to its *investigation*.
- 8.4.8 If NTSB investigates an *accident* involving a *RTA*, *Staff* and the *RTA* will meet to address NTSB's recommendations and determine the appropriate corrective actions to be taken based on those recommendations and all other information available on the *accident*.
- 8.4.9 At *RTSB* management's direction, *Staff* will develop their own *accident investigation* report to expand on the NTSB's *investigation* report, or to investigate certain aspects of the *accident* that were not covered by the NTSB *investigation*. The CPUC *accident* report will not be issued before the NTSB *investigation* report, without direct permission from the NTSB Investigator-In-Charge.
- 8.4.10 FTA may investigate an accident at its discretion and *RTSB Staff* will support them in the same manner as NTSB in accordance with section 8.4.7, 8.4.8, and 8.4.9.
- 8.4.11 In accordance with PU Code Section 765, the Commission will provide NTSB with a formal written response to each recommendation no later than 90 days after receiving the letter for events. Also see PU Code Section 765 for additional requirements in Attachment 1.
- 8.4.12 *Staff* will monitor NTSB investigations and recommendations for *RFGS*

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events occurring outside of California to evaluate if they are pertinent to California's *RFGS*.

8.5.0 RAIL TRANSIT AGENCY ACCIDENT INVESTIGATION REPORT REVIEW AND APPROVAL REQUIREMENTS

- 8.5.1 *Staff* will review *RTA accident investigation* report to ensure compliance with the *RTA's Accident Investigation Procedure*.
- 8.5.2 *Staff* will review the *RTA's accident investigation* report, findings, and recommendations to assure *Staff* agrees with the causal and contributory factors that are identified and are properly addressed.
- 8.5.3 *Staff* will review and approve the *RTA's accident investigation* report, including any CAPs, its schedule for implementation, and the *individual(s)* or department responsible for taking those actions.
- 8.5.4 *Staff* will document the results of their review of the *RTA's accident investigation* report, CAP and implementation schedule in *RSSIMS INCT* module record.
- 8.5.5 *Staff* shall note in *RSSIMS INCT* module record the *RTA's accident investigation* reports, CAPs or implementation schedules that are of concern or not acceptable, and will bring them to the attention of the *RTSB* Management for resolution with the *RTA*.
- 8.5.6 If *Staff* finds the *RTA accident investigation* report and associated CAPs are acceptable, *Staff* will complete the *RSSIMS INCT* module record for the *accident*, notify their immediate supervisor to review. If approved, *Staff* will issue a formal letter to *RTA* approving the report. *Staff* will attach the letter to *RSSIMS INCT* module record, in accordance Section 8.7 below.
- 8.5.7 If *Staff* finds it appropriate, in accordance with the *RTA's AIP*, *Staff* may accept the *Minor Accident, Incident, or Occurrence Report* (formally known as the 60 Day EZ Form, see Attachment 17 according to Commission GO 164 series. This Form cannot be used for an *accident* involving a fatality or serious injury unless there is confirmation that the accident resulted from a suicide or attempted suicide.

8.6.0 CORRECTIVE ACTION PLAN FOLLOW-UP FOR ACCIDENT INVESTIGATION FINDINGS

- 8.6.1 *Staff* will require the *RTA* to develop CAPs for all *accident investigation* findings. *RSSIMS* will serve as the central filing for CAPs in the TCAP

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Module.

- 8.6.2 *Staff* will review and approve CAPs, which must include the following three elements:
- a. Identify the action to be taken by the *RTA* to minimize, control, correct or eliminate the risks and *hazards* identified by the CAP;
 - b. An implementation schedule; and,
 - c. Indicate which *individual* or department responsible for the implementation.
- 8.6.3 The *Designated Representative* will monitor the *RTA*'s implementation of the CAPs that result from each *accident investigation* by requesting periodic progress reports. *Staff* can verify progress by conducting unannounced or announced inspection.
- 8.6.4 The *Designated Representative* will maintain the CAP document and file it in *RSSIMS* and every 30 calendar days enter updates from the *RTA* as required by Commission GO 164 series, Section 9.
- 8.6.5 *Staff* and the *RTA* will meet to address NTSB's recommendations and determine the appropriate corrective actions based on the findings or recommendation of an *investigation* conducted by NTSB. *Staff* will enter and track CAPs in *RSSIMS*, in accordance with Section 8.6.4 above.

8.7.0 RTSB's Process of RTA's Reporting and Closing Accidents

- 8.7.1 *RTA* makes notification of an *accident* to the Commission in the manner directed by *Staff*, as required per Commission GO 164 series.
- 8.7.2 The *Designated Representative* prepares a Transit *Accident* Initial Notice (formerly known as Form R, now generated through *RSSIMS*), and distributes it to the INCT email distribution list.
- 8.7.3 After an *accident* occurs, if necessary, *Staff* will make a site visit and collect information as soon as possible.
- 8.7.4 If the *RTA* has not furnished *accident investigation* report within 60 days, *Staff* will follow-up to ensure *RTA* submits interim status reports at 30 day intervals.
- 8.7.5 *Staff* reviews the *accident investigation* report submitted by the *RTA*. *Staff* will document comments and requests for revisions to the *RTA* in written form. For suicides, the *event investigation* cannot be closed until the coroner's report has been received confirming the cause of *event* as a

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“suicide.”

- 8.7.6 When *Staff* concurs with the *RTA*'s findings in their submitted *accident* report, *Staff* will enter the reason for concurrence with the *RTA* and recommend to the Sr. UE Supervisor to close the *investigation* in the *RSSIMS* INCT record. The Sr. UE Supervisor will review and approve.
- 8.7.7 After the Sr. UE Supervisor approves *accident investigation* report closure, *Staff* will send the approval letter for the *accident investigation* report to the *RTA*.
- 8.7.8 *Staff* attaches all relevant documents (law enforcement reports, coroner's report, activity reports, etc.) to the *accident* record on *RSSIMS*.
- 8.7.9 *Staff* documents any recommendations and CAPs resultant of the *investigation* in the *RSSIMS* TCAP module record.

8.8.0 CONFIDENTIALITY REQUIREMENTS

- 8.8.1 No *investigation* report or recommendation of *RTSB*, nor any *investigation* report of a *RTA* filed with the Commission, shall be admissible as evidence in any action for damages based on or arising out of matters covered therein, pursuant to Public Utilities Code Section 315, (see Attachment 1).
- 8.8.2 *Staff* will secure *investigation* documents that are classified confidential by keeping documents locked and secure while not being reviewed and keeping electronic copies on the Commission's Content Server, as indicated by *RTSB* Management, which requires a login and a password, limiting access.

RTSB-9: PROCEDURE FOR SAFETY CERTIFICATION PLAN OF MAJOR PROJECTS

RTSB-9 PROCEDURE FOR SAFETY CERTIFICATION PLANS OF
MAJOR PROJECTS

9.1.0 SCOPE

This section describes the *Rail Transit Safety Branch (RTSB)* procedures for reviewing, approving, and filing *Safety Certification Plan (SC Plan)* of *Major Projects* pursuant to Commission General Order 164 series, of all *projects* that initiate preliminary engineering.

9.2.0 PURPOSE

9.2.1 The purposes of this procedure are:

- a. Establish a standard set of instructions for *RTSB staff (Staff)* to follow when reviewing, approving, and filing of a *Rail Transit Agency's (RTA) SC Plan* submittals;
- b. Establish a set of guidelines for the *RTA* to use when it is preparing or revising a *SC Plan* for a proposed project;
- c. Establish the *Safety and Security Certification Oversight Plan (SSCOP)*, using the *Certifiable Elements List* and other elements of the *SC Plan*; and
- d. Approving the *Safety Certification Verification Report (SCVR)* in accordance with Commission GO 164 series and notifying the *RTA* the facility can be placed in revenue service.

9.3.0 GENERAL REQUIREMENTS

- 9.3.1 The *RTSB* Program Manager has overall responsibility for the application and use of this procedure, including approval of the CPUC Checklist for Review of *Safety Certification Plans* (see Attachment 18).
- 9.3.2 As required by Commission GO 164 series, the *RTA* will prepare a Project specific *SC Plan* for each of its *Major Projects*.
- 9.3.3 *Staff* will review each new *SC Plan*, including any subsequent revisions, for conformance (see Attachment 18).

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- 9.3.4 *Staff* will perform the review of each *SC Plan* in consultation with the *RTA* to resolve any questions regarding the content, and to assure checklist requirements not adequately covered in the *SC Plan* are fully addressed in a revision.
- 9.3.5 When *Staff* and *RTA* are in agreement, a complete *SC Plan*, based on the approved “CPUC Checklist for Review of A Safety Certification Plan” (see Attachment 18) the *Staff* will prepare a Resolution for Commission consideration.
- 9.3.6 *Staff* will attach the required information (*SC Plan*, checklist, Resolution, Calendar Notice, cover letter, service list, and Final signed Resolution) on *RSSIMS*.
- 9.3.7 *Staff* will prepare a “calendar notice” for the Resolution of the *SC Plan* and ensure it is noted in the Commission’s Daily Calendar (see *RTSB-1*).

Staff will review and approve any subsequent revisions to the *SC Plan*, and document changes by attaching revision requests and approvals to the original *RSSIMS* RESL module record approving the *SC Plan* (see 9.4.0 PROCEDURES FOR REVIEWING REVISED SAFETY CERTIFICATION PLAN).

9.4.0 PROCEDURES FOR REVIEWING REVISED SAFETY CERTIFICATION PLAN

- 9.4.1 As required by Commission GO 164 series, the *RTA* shall revise and expand the *SC Plan* as the Project progresses, as necessary. *Staff* will review and approve the revisions.
- 9.4.2 As required by Commission GO 164 series, the *RTA* shall file any revision of the *SC Plan* with *Staff*.
- 9.4.3 Within 45 calendar days, *Staff* will review the revised *SC Plan* (see Attachment 18 – CPUC Checklist for Review of A Safety Certification Plan) and either approve or reject the proposed revisions, or request additional justification.
- 9.4.4 *Staff* will route the revised *SC Plan* and the approval letter to *RTSB* Management for review and signature. *Staff* will send the signed approval or rejection letter to the *RTA*.

RTSB-9: PROCEDURE FOR SAFETY CERTIFICATION PLAN OF MAJOR PROJECTS

9.4.5 *Staff* will attach all correspondence and documents relating to a revised *SC Plan* in *RSSIMS*, attached to the original RESL module record approving the *SC Plan*.

9.5.0 MAJOR PROJECTS AND SAFETY AND SECURITY CERTIFICATION OVERSIGHT PLANS

9.5.1 For *Major Projects* requiring *Safety Certification*, *Staff* in a SSCOP will indicate to the *RTA* tests and other activities that may be selected for observations. Examples of tests and other activities that may be selected are, but not limited to:

- a. Tests of newly installed automatic train control, block signaling and interlocking equipment;
- b. Initial testing of grade crossing warning devices;
- c. Simulation testing of automatic train control software and hardware elements;
- d. Brake rate testing and commissioning of new or refurbished transit vehicles;
- e. Emergency response drills;
- f. *Safety* training classes for certification / recertification;
- g. Internal *safety* and *security* audits; and
- h. Start-up testing and pre revenue operations prior to opening a new extension or major system modification.

9.5.2 *Staff* will become familiar with the requirements contained in the governing specifications and procedures before observing any testing activities.

9.5.3 Following the completion of each test, if there are any *safety* concerns, *Staff* will discuss them in the field with the *RTA* and document in the Activity Report, and upload it on the *RSSIMS* TACT module. *Staff* will also create an association between the TACT record and the RESL module record approving the *SC Plan*. Any *safety* concerns will be noted in these reports. *Staff* will notify their immediate supervisor of all reports noting *safety* concerns.

RTSB-10: PROCEDURE FOR HAZARD MANAGEMENT

RTSB-10 PROCEDURE FOR HAZARD MANAGEMENT

10.1.0 SCOPE

This procedure describes the *Rail Transit Safety Branch (RTSB)* program for *Rail Transit Agency (RTA)* hazard management.

10.2.0 PURPOSE

10.2.1 The purpose of this section is to:

- a. Establish a procedure for *RTSB staff (Staff)* to follow when evaluating the *RTAs' hazard* management program in their *System Safety Program Plan (SSPP)* and the *RTAs'* reporting and tracking of *hazards*; and
- b. Provide the *RTAs* an overview of the hazard management program requirements.

10.3.0 GENERAL REQUIREMENTS

10.3.1 The *RTSB* Program Manager has overall responsibility for the preparation and use of this procedure.

10.3.2 As required by Commission GO 164 series, each *RTA* shall develop and document in its *SSPP* a process to identify, record, and resolve *hazards* during its operation, including any *hazards* resulting from subsequent system extensions or modifications, operational changes, or other changes within the rail transit environment.

10.3.3 The *RTA hazard* management process section of the *SSPP* must, at a minimum:

- a. Define the *RTA's* approach to *hazard* management and the implementation of an integrated system-wide *hazard* resolution process;
- b. Specify the sources of, and the mechanisms to support, the on-going identification of *hazards*;
- c. Define the process by which identified *hazards* will be evaluated and prioritized for elimination or control;
- d. Identify the mechanism used to track through resolution the identified *hazard(s)*;
- e. Define minimum thresholds for the notification and reporting of *hazard(s)* to *RTSB*;

RTSB-10: PROCEDURE FOR HAZARD MANAGEMENT

- f. Specify the process by which the *RTA* will provide on-going reporting of *hazard* resolution activities to the oversight agency; and
- g. The *RTA* will also submit any *Corrective Action Plan (CAP)* developed to minimize, mitigate, control, correct, or eliminate the identified risks and *hazards*. The CAPs will include the proposed actions, the responsible *individual* or department, and the schedule for implementing those actions for the identified *hazard*, in accordance with Commission GO 164 series, Section 9.

10.3.4 *Hazard Identification:*

As required by 49 CFR Part 674 and Commission GO 164 series, each *RTA* shall describe the processes used to identify and record *hazards* in this section of the *SSPP*. This section shall describe any *hazard* identification programs associated with capital *projects*, operational changes or other changes within the rail transit environment including mechanisms for soliciting *hazard* reports and input from employees, any committees where the scope includes *safety* issues, etc. *Hazard* identification can be formal or informal, and each *RTA* shall describe all methodologies used.

10.3.5 *Hazard Investigation, Evaluation, and Analysis:*

As required by Commission GO 164 series, each *RTA* shall describe the processes used to investigate, evaluate, and analyze *hazards* in this section of the *SSPP*. All *hazard investigation*, evaluation, and analysis procedures, including those associated with the *safety* department and any committees that may have *safety* responsibility, shall be detailed in this section. The analysis component of this section shall detail the methodology used to categorize and prioritize identified *hazards*. In this section, the *RTA* should define a primary quantitative/qualitative methodology for *hazard analysis*.

10.3.6 *Hazard Mitigation, Control and Elimination:*

As required by Commission GO 164 series, each *RTA* shall describe the process for *hazard* mitigation, control, and elimination in this section. *RTA* may place an emphasis on certain classifications of high frequency, high-severity *hazards* and describe a consistent methodology for minimizing *hazards* within its resources. *Hazard* control and elimination may require separate discussions and descriptions relative to large *projects* and system modifications versus ongoing operations and maintenance.

10.3.7 *Hazard Tracking:*

As required by Commission GO 164 series, each *RTA* shall establish

RTSB-10: PROCEDURE FOR HAZARD MANAGEMENT

an appropriate means for tracking all *hazards*, including, but not limited to, information such as the following:

- a. *Hazard* description
- b. Immediate mitigation (if needed)
- c. Origin of *hazard* (e.g., *accident investigation*, capital project *hazard analysis*, employee *safety* committee, etc.)
- d. Date *hazard* was identified
- e. *Hazard analysis* results (frequency and severity, *hazard* score, etc., depending on analysis method)
- f. Proposed permanent *hazard* resolution, and any temporary mitigation, if necessary
- g. Proposed CAP(s)
- h. *Hazard* resolution verification/follow-up activities
- i. Date *hazard* closed
- j. Responsible investigator or committee leader
- k. Other relevant information

Hazard logs may be kept in separate files for separate *projects*, ongoing operations/maintenance, etc. It is important, however, that all *hazard* logs, including open and closed items, be accessible for review by *Staff* upon request.

- 10.3.8 *RTAs* should invite *Staff* to their Fire Life Safety Committee, *Safety Certification*, *Hazard* Resolution, and any other meetings where *hazard* management is discussed.
- 10.3.9 Requirements for ongoing reporting of *hazards* management activities and status are detailed in *RTSB-6*, Procedure for Receiving Notification of *Events* and *Hazards*.
- 10.3.10 *Staff* will review and approve the *RTA's hazard* management process as an integral part of the *RTA's SSPP* review and approval process.
- 10.3.11 *Staff* will review and approve the *RTA's* developed reporting thresholds, as defined in the *SSPP*. The notification and reporting thresholds may be reevaluated by the *RTA* and *Staff*, as necessary, during the annual revision process.
- 10.3.12 The *Designated Representative* will monitor the *RTA's* hazard management process.
- 10.3.13 The *Designated Representative* will document and track reported *hazards* in *RSSIMS HAZT* module (see Attachment 19).

RTSB-11: PROCEDURE FOR HANDLING FORMAL AND INFORMAL COMPLAINTS

RTSB-11 PROCEDURE FOR HANDLING FORMAL AND INFORMAL
COMPLAINTS

11.1 SCOPE

This section describes the *Rail Transit Safety Branch (RTSB)* procedure for handling formal and informal complaints.

11.2 PURPOSE

The purpose of this procedure is to establish a standard set of instructions for *RTSB staff (Staff)* to follow when handling formal and informal complaints.

11.3 GENERAL REQUIREMENTS

- 11.3.1 The RTSB Program Manager has overall responsibility for the preparation and use of this procedure.
- 11.3.2 There are two types of complaints: formal complaints and informal complaints.
- 11.3.3 If the complainant wishes to remain anonymous the informal complaint process is the best approach. However, if the complainant is not satisfied with the informal complaint process or wants to appeal Staff's determination made at the end of the informal complaint process, the complainant may wish to file a formal complaint with the Commission. Complainant may file a formal complaint without first filing an informal complaint.
- 11.3.4 Formal complaints are those filed with the Commission's Docket Office. They receive a formal Commission proceeding number that begins with the letter "C" and are assigned to an Administrative Law Judge (ALJ). An example would be the complaint filed against Los Angeles County Transportation Metropolitan Authority's (LACMTA) Gold Line Foothill Extension Project by Pasadena Avenue Monterey Road Committee (PAMRC), C-06-10-015.
 - a. A formal complaint may be filed in paper form or electronically. Formal Complaints filed with the CPUC become a public record and may be posted on the CPUC's website.
 - b. Any information the complainant provides in the Formal Complaint, including, but not limited to, complainant's name, address, city, state, zip code, telephone number, e-mail

RTSB-11: PROCEDURE FOR HANDLING FORMAL AND INFORMAL COMPLAINTS

address, and the facts of their case may be available online for later public viewing.

- c. More Commission Formal Complaint information can be found at: <http://www.cpuc.ca.gov/formalcomplaintinfo/>. Additional information can be found on the Commission's Public Advisor's webpage www.cpuc.ca.gov/pao.

11.3.5 Informal complaints are those received by *Staff* that have not been submitted to the Commission. Examples include complaints received from transit employee labor organization and *individual* complaints received from patrons, the public or transit employees.

- a. These complaints are to be entered in *RSS/IMS* CMPT module and tracked to conclusion.

11.3.6 Complaints are received in a variety of forms, including written complaints, electronic, and/or from the CPUC's Consumer Affairs Branch or the CPUC's Public Advisor's Office.

11.3.7 Each informal complaint, regardless of submission form, is to be processed uniformly as outlined below and given priority in resolution. *Staff* should include all complaints and complaint activity in their monthly reports.

As general information, the process for handling incoming informal complaints is as follows:

- a. *RTSB* Management will assign the complaint to a *Staff* member.
- b. Assigned *Staff* will enter the informal complaint information into *RSS/IMS* for tracking and ID purposes (complaint number to be included in "subject" line of all correspondence).
- c. The assigned *Staff* will contact the complainant to acknowledge receipt of their complaint, and provide them the assigned complaint number and an estimate for when we will contact them again.
- d. The assigned *Staff* will send out the acknowledgement letter (see Attachment 21 for example) or email to the complainant and copy *RTSB* Management.
- e. The assigned *Staff* will investigate the complaint and determine if a hazardous condition exists. *Staff* should use in-person

RTSB-11: PROCEDURE FOR HANDLING FORMAL AND INFORMAL COMPLAINTS

observation, rather than the transit agency's support, to determine the accuracy of alleged facts in the complaint.

- f. Upon resolution, the assigned *Staff* will draft formal letter of findings/solutions to the complainant for the Senior UE supervisor's signature.
- g. The assigned *Staff* will attach copies of all correspondence to the *RSSIMS* CMPT module records.
- h. The assigned *Staff* should complete entire process within 30 days, or, if not possible, then assigned *Staff* will contact the complainant periodically (not to exceed 90 days) with updates.
- i. Assigned *Staff* member will be responsible for tracking all recommended corrective actions plans (CAPs) through to completion, making entries into *RSSIMS* TCAP module.

NOTES:

- a. *Staff* will not reveal a complainant's name(s) to the rail transit agencies without first obtaining specific authority from complainant.
- b. *Staff* should investigate and draw their own conclusions rather than adopting agency support/information.
- c. *Staff* will determine if a hazard exists and if mitigation is required. If *Staff* requires additional information, this should be collected from the agency on the *hazard* and any past mitigation efforts.
- d. If *Staff's investigation* reveals that no hazardous condition exists or the CPUC has no jurisdiction over the matter, the complaint will be dismissed. The assigned *Staff* will send a formal letter to the complainant, providing reasons for the complaint's dismissal and providing other options to file a formal complaint.

ATTACHMENTS

ATTACHMENT 1: PUBLIC UTILITIES CODE - PUC

California Code, Public Utilities Code - PUC §211:

“Common carrier” means every person and corporation providing transportation for compensation to or for the public or any portion thereof, except as otherwise provided in this part.

“Common carrier” includes:

(a) Every railroad corporation; street railroad corporation; dispatch, sleeping car, dining car, drawing-room car, freight, freightline, refrigerator, oil, stock, fruit, car-loaning, car-renting, car-loading, and every other car corporation or person operating for compensation within this state.

(b) Every corporation or person, owning, controlling, operating, or managing any vessel used in the transportation of persons or property for compensation between points upon the inland waters of this state or upon the high seas between points within this state, except as provided in Section 212. “Inland waters” as used in this section includes all navigable waters within this state other than the high seas.

(c) Every “*passenger* stage corporation” operating within this state.

California Code, Public Utilities Code - PUC §216:

(a) “Public utility” includes every common carrier, toll bridge corporation, pipeline corporation, gas corporation, electrical corporation, telephone corporation, telegraph corporation, water corporation, sewer system corporation, and heat corporation, where the service is performed for, or the commodity is delivered to, the public or any portion thereof.

California Code, Public Utilities Code - PUC §315:

The commission shall investigate the cause of all *accidents* occurring within this State upon the property of any public utility or directly or indirectly arising from or connected with its maintenance or operation, resulting in loss of life or injury to person or property and requiring, in the judgment of the commission, *investigation* by it, and may make such order or recommendation with respect thereto as in its judgment seems just and reasonable. Neither the order or recommendation of the commission nor any *accident* report filed with the commission shall be admitted as evidence in any action for damages based on or arising out of such loss of life, or injury to person or property. Every public utility shall file with the commission, under such rules as the commission prescribes, a report of each *accident* so occurring of such kinds or classes as the commission from time to time designates.

California Code, Public Utilities Code - PUC §771:

The commissioners and their officers and employees may enter upon any premises occupied by any public utility, for the purpose of making the examinations and tests and exercising any of the other powers provided for in this part, and may set up and use on

such premises any apparatus and appliances necessary therefor. The agents and employees of the public utility may be present at the making of such examinations and tests.

California Code, Public Utilities Code - PUC §778:

The commission shall adopt rules and regulations, which shall become effective on July 1, 1977, relating to *safety* appliances and procedures for rail transit services operated at grade and in vehicular traffic. The rules and regulations shall include, but not be limited to, provisions on grade crossing protection devices, headways, and maximum operating speeds with respect to the speed and volume of vehicular traffic within which the transit service is operated.

The commission shall submit the proposed rules and regulations to the Legislature not later than April 1, 1977.

(Added by Stats. 1976, Ch. 924.)

California Code, Public Utilities Code - PUC § 29047:

The district (SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT) shall be subject to regulations of the Public Utilities Commission relating to *safety* appliances and procedures, and the commission shall inspect all work done pursuant to this part and may make such further additions or changes necessary for the purpose of safety to employees and the general public.

The commission shall enforce the provisions of this section.

The district shall reimburse the commission for any cost incurred by the commission in regulating pursuant to this section when such regulating is performed (a) by persons not on the staff of the commission or (b) by the staff of the commission but not funded by a Budget Act appropriation. The reimbursement shall be in the amount as agreed upon by the district and the commission and approved by the Director of Finance. If the district and the commission are unable to agree as to the amount of the cost, the Director of Finance shall determine the amount.

California Code, Public Utilities Code - PUC §30646:

The district shall be subject to regulations of the Public Utilities Commission relating to safety appliances and procedures, and the commission shall inspect all work done pursuant to this part and may make such further additions or changes necessary for the purpose of safety to employees and the general public.

The district shall be subject to the jurisdiction of the Public Utilities Commission with respect to safety rules and other regulations governing the operation of street railways.

The commission shall enforce the provisions of this section.

California Code, Public Utilities Code - PUC § 99152:

Any public transit guideway planned, acquired, or constructed, on or after January 1, 1979, is subject to regulations of the Public Utilities Commission relating to safety appliances and procedures.

The commission shall inspect all work done on those guideways and may make further additions or changes necessary for the purpose of safety to employees and the general public.

The commission shall develop an oversight program employing safety planning criteria, guidelines, safety standards, and safety procedures to be met by operators in the design, construction, and operation of those guideways. *Existing industry standards* shall be used where applicable.

The commission shall enforce the provisions of this section.

California Code, Public Utilities Code – PUC § 100168:

The VTA shall be subject to the regulations of the Public Utilities Commission relating to safety appliances and procedures, and the commission shall inspect all work done pursuant to this part and may make further additions or changes necessary for the purpose of safety to employees and the general public. The commission shall enforce the provisions of this section.

(Amended by Stats. 2016, Ch. 381, Sec. 62. Effective January 1, 2017.)

<https://leginfo.legislature.ca.gov/faces/codesTOCSelected.xhtml?tocCode=PUC&tocTitle=+Public+Utilities+Code+-+PUC>

California Code, Public Utilities Code - PUC § 765:

(a) When the federal National Transportation Safety Board (NTSB) submits a safety recommendation letter concerning rail safety to the commission, the commission shall provide the NTSB with a formal written response to each recommendation no later than 90 days after receiving the letter. The response shall state one of the following:

- (1) The commission's intent to implement the recommendations in full, with a proposed timetable for implementation of the recommendations.
- (2) The commission's intent to implement part of the recommendations, with a proposed timetable for implementation of those recommendations, and detailed reasons for the commission's refusal to implement those recommendations that the commission does not intend to implement.
- (3) The commission's refusal to implement the recommendations, with detailed reasons for the commission's refusal to implement the recommendations.


(b) If the NTSB issues a safety recommendation letter concerning any commission-regulated rail facility to the United States Department of Transportation, the Federal Transit Administration, to a commission-regulated rail operator, or to the commission, or

if the Federal Transit Administration issues a safety advisory concerning any commission-regulated rail facility, the commission shall determine if implementation of the recommendation or advisory is appropriate. The basis for the commission's determination shall be detailed in writing and shall be approved by a majority vote of the commission.

(c) If the commission determines that a safety recommendation made by the NTSB is appropriate, or that action concerning a safety advisory is necessary, the commission shall issue orders or adopt rules to implement the safety recommendations or advisory as soon as practicable. In implementing the safety recommendation or advisory, the commission shall consider whether a more effective, or equally effective and less costly, alternative exists to address the safety issue that the recommendation or advisory addresses.

(d) Any action taken by the commission on a safety recommendation letter or safety advisory shall be reported annually, in detail, to the Legislature with the report required by Section 321.6. Any correspondence from the NTSB indicating that a recommendation has been closed following an action that the NTSB finds unacceptable shall be noted in the report required by Section 321.6.

ATTACHMENT 2: RAIL TRANSIT SAFETY BRANCH INSPECTION FORM

Report # <input style="width: 60px;" type="text"/>	California Public Utilities Commission	Print Form																		
	Rail Transit Safety Branch Inspection/Citation Form	Form #16 1-29-18 revision.																		
																				
Type Of Inspection <input style="width: 120px;" type="text"/>																				
Joint Inspection <input style="width: 120px;" type="text"/>	<input type="checkbox"/> Unannounced <input type="checkbox"/> Scheduled																			
RTA <input style="width: 300px;" type="text"/>																				
RTA Contact <input style="width: 250px;" type="text"/>	Date Field <input style="width: 80px;" type="text"/>																			
Address <input style="width: 250px;" type="text"/>																				
City <input style="width: 80px;" type="text"/> State <input style="width: 30px;" type="text" value="CA"/> Zip Code <input style="width: 80px;" type="text"/>	Time Field <input style="width: 80px;" type="text"/>																			
Contacts E-mail Address <input style="width: 250px;" type="text"/>																				
<u>Personnel Present</u>																				
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Name</th> <th style="width: 33%;">Title</th> <th style="width: 33%;">E-mail</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>			Name	Title	E-mail															
Name	Title	E-mail																		
CPUC Representative <input style="width: 120px;" type="text"/>	Submitted By <input style="width: 120px;" type="text"/>																			
<u>Inspection Location</u>																				
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">Mile Post</th> <th style="width: 25%;">CPUC or DOT Crossing #</th> <th style="width: 25%;">Signal #</th> <th style="width: 25%;">Switch #</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>			Mile Post	CPUC or DOT Crossing #	Signal #	Switch #														
Mile Post	CPUC or DOT Crossing #	Signal #	Switch #																	
Station or Facility Name <input style="width: 450px;" type="text"/>																				
CPUC, RTSB Inspection Form Page 1 of 3																				

-FINDINGS OF NON-COMPLIANCE-
If findings are noted, RTSB requires a written Corrective Action Plan (CAP) be submitted to Staff within **30 days** of receiving the Inspection Report.

Documents Attached - Please click on the paperclip to the bottom left of the form to access documents.

<p>Finding #1 <input style="width: 100%;" type="text"/></p> <p>Description <input style="width: 100%; height: 80px;" type="text"/></p> <p>Finding #1 Applicable Rule or Regulation <input style="width: 100%;" type="text"/></p> <p>Finding #1 Recommendation <input style="width: 100%; height: 50px;" type="text"/></p> <p><input type="checkbox"/> Finding #1 Closed <input type="checkbox"/> Citation Recommended</p>	<p>Finding #2 <input style="width: 100%;" type="text"/></p> <p>Description <input style="width: 100%; height: 80px;" type="text"/></p> <p>Finding #2 Applicable Rule or Regulation <input style="width: 100%;" type="text"/></p> <p>Finding #2 Recommendation <input style="width: 100%; height: 50px;" type="text"/></p> <p><input type="checkbox"/> Finding #2 Closed <input type="checkbox"/> Citation Recommended</p>
<p>Finding #3 <input style="width: 100%;" type="text"/></p> <p>Description <input style="width: 100%; height: 80px;" type="text"/></p> <p>Finding #3 Applicable Rule or Regulation <input style="width: 100%;" type="text"/></p> <p>Finding #3 Recommendation <input style="width: 100%; height: 50px;" type="text"/></p> <p><input type="checkbox"/> Finding #3 Closed <input type="checkbox"/> Citation Recommended</p>	<p>Finding #4 <input style="width: 100%;" type="text"/></p> <p>Description <input style="width: 100%; height: 80px;" type="text"/></p> <p>Finding #4 Applicable Rule or Regulation <input style="width: 100%;" type="text"/></p> <p>Finding #4 Recommendation <input style="width: 100%; height: 50px;" type="text"/></p> <p><input type="checkbox"/> Finding #4 Closed <input type="checkbox"/> Citation Recommended</p>

CPUC, RTSB Inspection Form
Page 2 of 3

Comments/Risk Management	
Item #1	Left Blank
Item #2	Left Blank
Item #3	Left Blank
Item #4	Left Blank

CPUC, RTSB Inspection Form
Page 3 of 3

**ATTACHMENT 3: STATE SAFETY AND SECURITY CERTIFICATION OVERSIGHT
 PLAN DOCUMENT SUBMITTALS**

Transit Agency:		Project:			Designated RTSB Rep:
No.	Contract No.	Document Description	Date Received	Date Accepted	Comments

**SAFETY AND SECURITY CERTIFICATION OVERSIGHT PLAN
 TEST OBSERVATIONS**

Transit Agency:		Project:			Designated RTSB Rep:
No.	Contract No.	Test Procedure	Description of Test or other Activity to be Observed	Date Completed	Comments

**ATTACHMENT 4: SAFETY AND SECURITY CERTIFICATION OVERSIGHT PLAN
 RECORDS REVIEW**

SAFETY AND SECURITY CERTIFICATION OVERSIGHT PLAN RECORD REVIEWS						
Transit Agency:			Project:		Designated RTSB Rep:	
No.	Contract No.	Record ID Number	Description of the Record	Date Received	Date Accepted	Comments

ATTACHMENT 5: SAMPLE OF DAILY CALENDAR NOTICE

Sample of Daily Calendar Notice for Resolutions **NOTICE OF DRAFT RESOLUTIONS** **(Pursuant to PU Code § 311(g))**

NOTE: (Body of text should be in 10 pt Times New Roman Font Normal with the following Text)

The Name of Division has prepared Resolution xxxx for the Commission Meeting Date. Summary of Resolution.

Any questions or comments should be directed to name at email address

The web link is:
web link to the published document

Sample 1

The Safety and Enforcement Division has prepared Resolution ST-206 for October 26, 2017. This Resolution grants the San Francisco Bay Area Rapid Transit District's request for approval of its Safety and Security Certification Plan for its Communications-Based Train Control project.

Any questions or comments should be directed to Jamie Lau at Jamie.Lau@cpuc.ca.gov

The web link is: <http://docs.cpuc.ca.gov/SearchRes.aspx?DaySearch=1>

ATTACHMENT 6: CPUC CHECKLIST FOR REVIEW OF SYSTEM SAFETY PROGRAM PLAN

CPUC CHECKLIST FOR REVIEW OF SYSTEM SAFETY PROGRAM PLAN					
Transit Agency: _____		Submittal Date: _____			
Plan Title: _____		Plan Date: _____			
No.	SSPP Requirements Does the SSPP contain or provide for the following:	included		Page Ref.	Comments
		Y	N		
1	<u>Policy Statement</u>				
	J A policy statement is included in the System Safety Program Plan (SSPP).				
	J The policy statement describes the authority that establishes the SSPP.				
	J The policy statement is signed and endorsed by the rail transit agency's accountable executive.				
2	<u>Purpose, Goals, and Objectives</u>				
	J The purpose of the SSPP is defined.				
	J Goals are identified to ensure that the SSPP fulfills its purpose.				
	J Objectives are identified to monitor and assess the achievement of goals.				
	J Stated management responsibilities are identified for the safety program to ensure that the goals and objectives are achieved.				
3	<u>RTA Management Structure</u>				
	J An overview of the management structure of the rail transit agency is provided including an organization chart. Organizational structure is clearly defined and includes:				
	J History and scope of service,				
	J Physical characteristics, and				
	J Operations and Maintenance.				
	J A description of how the safety function is integrated into the rest of the RTA organization is provided.				
	J Clear identification of the lines of authority used by the RTA to manage safety issues is provided.				
4	<u>Plan Review and Modification</u>				
J An annual assessment of whether the system safety program plan should be updated is specified.					

	<p>J The process used to control changes to the system safety program plan is described.</p>				
	<p>J Specific departments and persons responsible for initiating, developing, approving, and issuing changes to the SSPP are identified.</p>				
	<p>J Required coordination with the SSOA regarding plan modification, including timeframes for submission, revision, and approval, is addressed.</p>				
5	<p><u>Plan Implementation</u></p> <p>J A description of the specific activities required to implement the system safety program plan is included.</p> <p>J Tasks to be performed by the RTA safety function, by position and management accountability, are identified and described.</p> <p>J A description of the methodologies used by the system safety function to achieve their safety responsibilities is provided.</p> <p>J Safety-related tasks to be performed by other rail transit departments, by position and management accountability, are identified and described.</p> <p>J A task matrix (or an equivalent narrative description) showing: all identified safety responsibilities, interfaces among all rail transit units responsible for each task, and the key reports or actions required, is provided.</p>				
6	<p><u>Hazard Management Process</u></p> <p>J The process used by the rail transit agency to implement its system-wide hazard management program to identify, record, and resolve hazards during its operation, including any hazards resulting from subsequent system extensions or modifications, operational changes, or other changes within the rail transit environment, including the role of the SSOA in providing on-going monitoring and on-going accessibility for Staff review upon request, is described.</p> <p>J The hazard management process includes activities for: sources and mechanism to support the on-going identification of hazards, hazard identification and prioritization, hazard investigation, evaluation, and analysis, hazard control and elimination, hazard tracking, and reporting thresholds.</p> <p>J Requirements for on-going reporting to the oversight agency relating to hazard management activities and status are specified.</p> <p>J The RTA will also submit any CAPs developed to minimize, mitigate, control, correct, or eliminate the identified risks and hazards. The CAPs will include description, immediate mitigation (if needed), origin of hazard, the proposed</p>				

	actions, permanent hazard resolution, or temporary mitigation if necessary, the responsible individual or department, and the schedule for implementing those actions for the identified hazard, including date the hazard was identified and closed, and hazard resolution verification/follow-up activities, all in accordance with Commission GO 164 series, Section 9.				
7	<p><u>Safety Certification Process</u></p> <p>) A description of the safety certification process required by the rail transit agency to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for Major Projects and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.</p>				
8	<p><u>System Modifications</u></p> <p>) The process used by the RTA to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification, but which may have safety impacts, is described.</p>				
9	<p><u>Safety Data Acquisition</u></p> <p>) The process used to collect, maintain, analyze, and distribute safety data is clearly defined.</p> <p>) The management process for ensuring that the safety function within the RTA organization receives the necessary information to support implementation of the system safety program is clarified.</p>				
10	<p><u>Event and Hazard Notification, Accident Investigation, and Reporting</u></p> <p>) A description is provided regarding the process used by the RTA to perform event notification, accident investigation and reporting.</p> <p>) Criteria for determining what accidents/incidents require investigation, and who is responsible to conduct the specific investigations is developed.</p> <p>) A description of the procedures for performing investigations, including proper documentation and reporting of findings, conclusions reached, use of hazard resolution process to develop corrective action plan (CAPs) recommendations, and follow-up to verify CAP(s) implementation is provided.</p> <p>) Notification thresholds for internal departments/functions are defined.</p> <p>) Criteria is specified for notifying external agencies (NTSB, FTA, FRA, CPUC) of events such as accidents, incidents, occurrences, and hazards.</p>				

	J Procedures are established for documenting and reporting of accident investigations.				
	J Process used to develop, implement, and track CAPs that address investigation findings is specified.				
	J Coordination with the SSOA is specified.				
11	<u>Emergency Management Program</u>				
	J The RTA's emergency planning responsibilities and requirements are identified.				
	J A description of the process used by the RTA to develop an approved, coordinated schedule for emergency management program activities is provided.				
	J Required meetings with external agencies regarding the emergency management program are specified.				
	J The process used to evaluate emergency preparedness, such as annual emergency field exercises, is documented.				
	J After action reports and implementation of findings are required.				
	J The process to be used by the RTA for the revision and distribution of emergency response procedures is explained.				
	J The RTA's responsibilities for providing employee training are identified.				
	J The RTA's responsibilities for providing familiarization training to local public safety organizations are identified.				
12	<u>Internal Safety Review Program (ISRP)</u>				
	J A description of the process used by the RTA to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the SSPP is included.				
	J Identification of departments and functions subject to review is performed.				
	J Reviewers must be independent from the first line of supervision responsible for the activity being reviewed.				
	J A three-year review schedule must be developed, reviewed, maintained and updated to ensure that all 21 SSPP elements are reviewed during the review cycle.				
	J The process for conducting reviews, including the development of checklists, and procedures for conducting reviews and issuing of findings is described.				

	<p>J The SSPP must describe the requirement of an annual internal review report that summarizes the results of individual reviews performed during the previous year and includes the status of required CAPs. This report must be submitted to the SSOA for review and approval.</p>				
	<p>J The process for resolving problems and disagreements, report distribution, and follow-up on CAPs procedures is described.</p>				
	<p>J The ISRP process and reporting must be coordinated with the state.</p>				
13	<p><u>Rules Compliance</u></p> <p>J Operating and maintenance rules and procedures that affect safety are identified.</p> <p>J Operating and maintenance rules and procedures that affect safety are reviewed for their effectiveness and determinations are made regarding their need to be updated.</p> <p>J Description of process for developing, maintaining, and ensuring compliance with operating and maintenance rules and procedures.</p> <p>J Techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing/compliance checks.</p> <p>J Techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules.</p> <p>J Process for documenting results and incorporating them into the hazard management program.</p>				
14	<p><u>Facilities and Equipment Inspections</u></p> <p>J Identification of the facilities and equipment that are subject to regular safety related-inspection and testing is provided.</p> <p>J A description of how safety-related equipment and facilities are included in a regular inspection and testing program is provided.</p> <p>J Use of a written checklist for conducting facility inspections.</p> <p>J Descriptions of how identified hazardous conditions are entered into the Hazard Resolution Process.</p>				
15	<p><u>Maintenance Review and Inspection Program</u></p> <p>J A list of systems and facilities subject to a maintenance program, along with established maintenance cycle and required documentation of maintenance performed for each item, is provided.</p>				

	<ul style="list-style-type: none"> J A description of the process for tracking and resolving problems identified during inspections is provided. 				
	<ul style="list-style-type: none"> J Use of a written checklist for conducting maintenance reviews is required. 				
16	<p><u>Training and Certification Program</u></p> <ul style="list-style-type: none"> J A description of the training and certification program for employees and contractors is provided, including complying with the Public Transportation Safety Certification Plan. J Categories of safety-related work requiring training and certification are identified, including Roadway Worker Protection Training, per Commission GO 175 series. J Description of the training and certification program for employees and contractors in safety-related positions is provided. J Description of the training and certification program for contractors is provided. J The process used to maintain and access employee and contractor training records is described. J The process used to assess compliance with training and certification requirements is described. 				
17	<p><u>Configuration Management Process</u></p> <ul style="list-style-type: none"> J A description of the configuration management control process is provided and appropriate references are made to other RTA documents governing this process. J A process for making changes is described. J Authority to make configuration changes is described and assurances are provided for formal notification of all involved departments. 				
18	<p><u>Compliance with Local, State and Federal Safety Requirements</u></p> <ul style="list-style-type: none"> J A description of the safety program for employees and contractors that incorporates all applicable local, state, and federal requirements is provided. J Safety requirements that employees and contractors must follow when working on, or in close proximity to, RTA controlled property are identified. 				

	<p>) Processes for ensuring the employees and contractors know and follow the requirements are described.</p>				
19	<p><u>Hazardous Materials Program</u></p> <p>) A description of the hazardous materials program, including the process used to ensure knowledge of and compliance with program requirements is provided.</p>				
20	<p><u>Drug and Alcohol Program</u></p> <p>) A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with the program requirements is provided.</p>				
21	<p><u>Procurement</u></p> <p>) A description of the measures, controls, and assurances in place to ensure that safety principles, requirements, and the Designated Representatives are included in the RTA procurement process.</p>				
22	<p>Personal Electronic Devices</p> <p>) A description of the process used to ensure knowledge of and compliance with the program requirements governing the use of personal electronic devices (PED) is provided, as governed by Commission General Order 172, including prohibited use of a PED; in-cab cameras and other technology; requirements to implement and include in their SSPP, a Zero-Tolerance Policy And Program, regarding prohibited PED usage; requirements for monitoring and enforcement; and requirements for emergency contact procedures.</p>				
23	<p>Roadway Worker Protection</p> <p>) A description of the program and policy in the SSPP regarding the assurance of a safe working environment for RTA roadway workers in compliance with the rules and regulations in Commission General Order 175 which contains specific rules for protecting these workers from the danger of being struck by trains or other on-track equipment, with inclusion of a near-miss program, and a Roadway Worker Protection training.</p>				

The System Safety Program Plan is:

Acceptable

Unacceptable. Revise and Resubmit

ATTACHMENT 7: CPUC CHECKLIST FOR REVIEWING THE SYSTEM SECURITY PLAN

CPUC Checklist for Reviewing the System Security Plan						
Rail Transit Agency: _____				Rev. No.: _____		
Plan Title: _____				Plan Date: _____		
No.	CHECKLIST ITEM	PLAN REQUIREMENTS Does the plan contain or provide for the following:	INCLUDED		PAGE REF.	COMMENTS
			Y	N		
1	Policy Statement	a. A policy statement should be developed for the System Security and Emergency Preparedness Plan.				
		b. The policy statement should describe the authority that establishes the SSP, including statutory requirements. Recognition of the CPUC Staff's authority and responsibility for overseeing implementation of the security and emergency preparedness program.				
		c. The policy statement is signed and endorsed by the RTA's accountable executive.				
2	Purpose	a. The SSP should identify the purpose of the security program endorsed by the RTA's accountable executive.				
		b. The SSP should introduce the concept of "system security."				
		c. The SSP introduces the concept of "emergency preparedness."				
3	Goals and Objectives	a. The SSP should identify the goals of the SSP program endorsed by the RTA's accountable executive.				
		b. The SSP should identify the objectives of the SSP program endorsed by the RTA's accountable executive.				
4	Scope	Describe the scope of the SSP.				

5	Security and Law Enforcement	Describe the security and law enforcement agency functions that manage and support implementation of the SSP.				
6	Management Authority and Legal Aspects	Describe the authority, which oversees the operation and management of the RTA, including its security/police function.				
7	Government Involvement	Describe how the SSP interfaces with local, state and federal authorities to ensure security and emergency preparedness for the system.				
8	Security Acronyms and Definitions	Provide a listing of acronyms and definitions used in the SSP.				
9	Background and History	A description of the RTA including general overview, a brief history and scope of rail transit services provided.				
10	Organizational Structure	Organizational charts showing the lines of authority and responsibility as they relate to security and emergency preparedness.				
11	Human Resources	Provide a categorization and breakdown of all employees and contractors who work for/on the rail transit agency.				
12	Passengers	Provide a description of the RTA's ridership.				
13	Services and Operations	Describe the RTA's operations and services.				
14	Operating Environment	Describe the RTA's operating environment.				
15	Integration with Other Plans	Describe how the SSP integrates with other plans and programs maintained by the RTA.				
16	Integration with Safety Certification Process	Description of how security related issues such as the threat and vulnerability assessment process is integrated with the safety certification process.				

17	Current Security Conditions	Description of the current security conditions at the RTA and the types of security incidents experienced by the transit system and their frequency of occurrence.				
18	Capabilities and Practices	Summary description of methods and procedures, devices, and systems utilized to prevent or minimize security breaches, including passenger education, campaigns, and delay, detection, and assessment devices.				
19	Responsibility for Mission Statement	Identification of the person(s) responsible for establishing transit system security and emergency preparedness policy and for developing and approving the SSP.				
20	Management of the SSP Program	Identification of the person(s) with overall responsibility for transit security and emergency preparedness, including day-to-day operations, SSP-related internal communications, liaison with external organizations, and identifying and resolving SSP-related concerns.				
21	Division of Security Responsibility	a. Listing of SSP related responsibilities of the personnel who work within the RTA security/police function.				
		b. Listing of SSP related responsibilities of other departments/functions, including their relationship to the security/police function.				
		c. Listing of security-related responsibilities for other (non-security/police) RTA employees, including their relationship to the employee's other duties.				
		d. A SSP Program Roles and Responsibilities Matrix should be developed showing interfaces with other transit system departments/functions and the key reports or actions required.				

		e. The responsibilities of external agencies for supporting SSP development and implementation should be identified.				
		f. The committees developed by the RTA to address security issues should be identified.				
22	Planning	Identification of SSP activities and programs in place at the RTA to support planning for system security and emergency preparedness.				
23	Organization	Identification of the organization of SSP related activities and programs and the ability to coordinate with external response agencies.				
24	Equipment	Description of the equipment used to support implementation of the SSP program.				
25	Training and Procedures	Description of SSP related training and procedures available to ensure employee proficiency.				
26	Exercises and Evaluation	Description of SSP related activities to ensure the conduct of emergency exercises and evaluation.				
27	Threat and Vulnerability Identification	Description of the RTA's activities to identify security and terrorism related threats and vulnerabilities.				
28	Threat and Vulnerability Assessment	Description of the RTA's activities to assess the likely impacts of identified threats and vulnerabilities on the system and to identify particular vulnerabilities which require resolution.				
29	Threat and Vulnerability Resolution	Description of how response strategies (both short- or long-term strategies) are developed for prioritized vulnerabilities, including the decision process used to determine whether to eliminate, mitigate, or accept security problems.				

31	Required Tasks for Goals and Objectives	Identification of tasks to be performed to implement the goals and supporting objectives required to implement the SSP.				
31	Task Schedule	General schedule with specific milestones for implementation of the security program, threat and vulnerability analyses, RTA staff security training, and regular program reviews during the implementation process.				
32	Evaluation	Description of the types of internal management reviews to be conducted, the frequencies of the reviews, and the person(s) responsible.				
33	Initiation of SSP Revisions	Description of process used to initiate revisions to the security plan, gather input for the revisions, procedures for updating the security plan, and identification of responsible person(s).				
34	Review Process	Description of the process used to review and revise the security plan as necessary, including frequency of reviews, and responsible person(s).				
35	Implement Modifications	Description of process used to communicate and disseminate new and revised procedures and other elements of the security plan to appropriate RTA staff.				

The System Security Plan is

Acceptable

Unacceptable. Revise and resubmit.

Reviewed by

Signature
Name and Title

Date: _____

Approved by

Signature
Name and Title

Date: _____

ATTACHMENT 8: CPUC SYSTEM SAFETY AND SECURITY REVIEW CHECKLIST FOR RTA

(SAMPLE)			
CPUC SYSTEM SAFETY AND SECURITY REVIEW CHECKLIST FOR			
** RTA **			
Checklist No.		Element	
Date of Audit		Department(s)	
Auditors/ Inspectors		Persons Contacted	
REFERENCE CRITERIA			
ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION			
FINDINGS AND RECOMMENDATIONS			
<p><u>Activities:</u></p> <p><u>Findings:</u></p> <p><u>Comments:</u></p> <p><u>Recommendations:</u></p>			

ATTACHMENT 9: CPUC CHECKLIST FOR REVIEWING AND APPROVING A RAIL TRANSIT AGENCY'S ANNUAL INTERNAL SAFETY AND SECURITY REVIEW REPORT

CPUC CHECKLIST FOR REVIEWING AND APPROVING A RAIL TRANSIT AGENCY'S ANNUAL INTERNAL SAFETY AND SECURITY REVIEW REPORTS				
<u>Rail Transit Agency</u>		<u>Title of Report</u>		<u>Dated</u>
No.	DOES THE REPORT:	S	U	REMARKS
1	The report is accompanied by a formal letter of certification signed by the RTA's accountable executive, or designee, indicating that the RTA is in compliance with its SSPP and SSP.			
2	Indicate that the required elements scheduled to be reviewed during the past year were reviewed?			
3	Show that the RTA is on schedule to review the full scope of required elements within a 3-year period?			
4	Show that the persons who conducted the review were independent from the department being reviewed?			
5	State the results of the reviews in terms of evaluating the adequacy and effectiveness of the system safety and security program plan?			
6	Include completed review checklists that show the activity reviewed, the method of verification, review findings, and recommendations for appropriate corrective action?			
7	Include corrective action plans and schedules that are responsive to the review findings?			
8	Identify the person / department responsible for performing the required corrective action?			
9	Describe the follow-up controls that will be used to track implementation of all findings, recommendations, and corrective actions developed as a result of the internal safety and security review process?			

Column Definitions:

- S** Satisfactory
- U** Unacceptable. Procedure must be corrected and resubmitted.

The Rail Transit Agency's Annual Internal Safety and Security Review Report is:

- Acceptable
- Unacceptable, Revise and Resubmit

Reviewed by: Signature Date: _____
 Name and Title

Approved by: Signature Date: _____
 Name and Title



ATTACHMENT 10: TRANSIT ACCIDENT INITIAL NOTICE

Transit Accident Initial Notice

California Public Utilities Commission
 Rail Transit Safety Branch

Initial Notice Subject			
Record ID			
Date of Incident		Reporting Transit Agency	
Time of Incident		County	
Rail System		Division	
Subdivision		Mainline or Yard	
Crossing Incident		RSSIMS Crossing ID	
Initial Description			
Initial Details		Reporting Criteria	
Initial Number of Fatalities		GO 164-D Reporting Criteria	
Initial Number of Injuries		Property Damage Greater than Threshold	
Emergency Response Agencies		Passenger Evacuation due to fire and life safety	
		Initial Notice Withdrawn	
Reason for Withdrawal			
Reported By		Received by CPUC	
Contact Phone of Person Reporting (from Reporting Agency)		Date reported to the CPUC	

Person Reporting (from Reporting Agency)		Time reported to the CPUC	
Received Notification Within 2 Hours (§659.33 (3))			

ATTACHMENT 11: CPUC MONTHLY SERVICE RECORD, EVENTS AND/OR HAZARD AND CORRECTIVE ACTION PLAN SUMMARY REPORT

**CALIFORNIA PUBLIC UTILITIES COMMISSION
 MONTHLY SERVICE RECORD,EVENTS AND/OR HAZARD
 AND CORRECTIVE ACTION PLAN SUMMARY REPORT**

Rail Transit Agency: _____ Month/Year: _____

A. Monthly Transit Service Records

	This Month	Year to Date		This Month	Year to Date
Train Miles:			Passenger Count:		
Vehicle Revenue Miles:			Vehicle Revenue Hours:		
Unlinked Passenger Trips:			Passenger Miles:		

B. Number of Reportable Events and Hazards

	Accidents	Injuries	Fatalities	Hazards
This Month				
Year to Date				

C. Corrective Action Plans resulting from Events and Hazard Investigation

Short Description of Corrective Action Plans	
Closed This Month	1)
	2)
	3)
	4)
Pending This Month	1)
	2)
	3)
	4)
New This Month	1)
	2)
	3)
	4)
Total Number of Open Corrective Action Plans This Month	

Signature _____ Title _____ Date _____

I certify that to the best of my knowledge and belief this report is true and correct and contains all reportable accidents that occurred during the month stated.

ATTACHMENT 12: CPUC CHECKLIST FOR REVIEWING AND APPROVING RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION PROCEDURES

CPUC CHECKLIST FOR REVIEWING AND APPROVING RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION PROCEDURES					
<u>Rail Transit Agency</u>		<u>Title of Procedure</u>		<u>Rev. No.</u>	<u>Dated</u>
No.	DOES THE PROCEDURE:	Y	N	REMARKS	
1	Include signature approval by the person with management authority over all departments involved in accident investigations?				
2	Have an "effective" or "issued for use" date and revision number?				
3	Establish threshold values for conducting investigations that are consistent with the requirements of CPUC GO 164 Series, Section 7.2?				
4	Recognize that accident investigations are conducted by the RTA on behalf of the Commission?				
5	Contain provisions to facilitate RTSB Staff participation to the fullest extent possible in all aspects of the investigation?				
6	Designate a single person or department with overall management responsibility for conducting investigations and preparing investigation reports?				
7	Identify the division of responsibility between different departments engaged in accident investigations?				
8	Describe the role of the safety department in conducting or overseeing accident investigations?				
9	Name the rail transit agency's principal investigators and require that they be notified of accidents within a given time period?				
	Describe the process for requiring the training and qualifications of the accident investigation team, including subject matter experts and personnel qualified to access the relevant RFTGPTS facilities				
	Do all the personnel and contractors that conduct investigation on behalf of RTA, have training to perform their function in accordance with the Public Transportation Safety Certification Program?				

CPUC CHECKLIST FOR REVIEWING AND APPROVING					
RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION PROCEDURES					
<u>Rail Transit Agency</u>		<u>Title of Procedure</u>		<u>Rev. No.</u>	<u>Dated</u>
No.	DOES THE PROCEDURE:	Y	N	REMARKS	
10	Address aspects or considerations that may be included in an accident investigation, as appropriate, including: <ul style="list-style-type: none"> a. Prompt preservation of evidence? b. Documenting the accident scene (position and status of vehicles, cab controls, brakes, signals, cutout switches, annunciators, rail, weather conditions, and other pertinent elements)? c. Interviews of witnesses and others with technical or operational expertise relevant to the investigation? d. Review of relevant rules and procedures, maintenance records, training records and certifications, data/event recorder logs, and other pertinent files and records? e. Review of reports by external agencies (for example: law enforcement, fire department, coroner, etc.)? f. Conducting follow-up inspections, tests, and reenactments? g. Evaluating possible contributing factors such as fatigue, work schedule and hours of service, and drug and alcohol effects? h. Identifying underlying risks associated with the accident type or location? i. Formation of an accident investigation team or review board? j. Acquisition of outside experts or specialists? k. Security considerations? 				

CPUC CHECKLIST FOR REVIEWING AND APPROVING RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION PROCEDURES					
<u>Rail Transit Agency</u>		<u>Title of Procedure</u>		<u>Rev. No.</u>	<u>Dated</u>
No.	DOES THE PROCEDURE:	Y	N	REMARKS	
11	Require the preparation of an accident investigation report that includes the following: a. A description of the accident, with photographs and sketches if appropriate? b. Number and severity of injuries/fatalities, if any, and estimate of property damage? c. Relevant steps taken to investigate the accident? d. Results/findings of the investigation? e. Identification of the most probable cause? f. Identification of contributing factors? g. Recommendations, if appropriate, to prevent reoccurrence?				
12	Require preparation of a corrective action plan and schedule to implement investigation report recommendations, if any?				
13	Require approval of the accident investigation report by appropriate authority, and require identification of the RTA department responsible for each corrective action plan and implementation schedule?				
14	Require submittal of: a. Final accident investigation report, corrective action plan and implementation schedule to RTSB Staff within 60 days of the occurrence of the accident? The corrective action plan may be part of the accident investigation report or submitted separately. b. Interim status reports every 30 calendar days if				

CPUC CHECKLIST FOR REVIEWING AND APPROVING RAIL TRANSIT AGENCY'S ACCIDENT INVESTIGATION PROCEDURES					
<u>Rail Transit Agency</u>		<u>Title of Procedure</u>		<u>Rev. No.</u>	<u>Dated</u>
No.	DOES THE PROCEDURE:	Y	N	REMARKS	
	the investigation takes longer than 60 calendar days to complete?				
	c. Include process for revisions based on Commission comments/requests?				

The Rail Transit Agency Accident Investigation Procedure is:

- Acceptable
- Unacceptable, Revise and Resubmit

Reviewed by: Signature Date: _____
Name and Title

Approved by: Signature Date: _____
 RTSB Program Manager

ATTACHMENT 13: ACCIDENT SCENE GUIDELINES

Accident Scene Guidelines

Staff will go to the accident scene as soon as possible in order to preserve perishable evidence (physical and non-physical evidence that may not exist or be available at a later time.) Preservation of perishable evidence will include:

1. A master field sketch or chart with positions of witnesses and the direction they were facing; position of victim if applicable; proximity of nearby structures and any nearby hazards.
2. If the accident occurred at a crossing, the Rail Crossing and Engineering Branch should be informed.
3. Weather conditions.
4. Take photographs including any wheel marks, other markings caused by the accident, position of vehicle, position of debris, fluids, road signs, and signals.
5. Photograph interior of operator cab and operator viewpoint out front and side windows. Note and photograph operator's personal belongings including any personal electronic devices.
6. Take photographs showing overall relationship between multiple objects such as crosswalk in relation to vehicle.
7. Take photographs of sight lines.
8. Do not take pictures of any critically injured person or a fatality.
9. Note and photograph lighting and visibility conditions. Note time of day, glare on windshield, night street lighting.
10. Photograph mechanical system damage.
11. If mechanical failure is a possible factor, arrange with RTA to hold vehicle in evidence until CPUC mechanical inspector can inspect the vehicle.

If there is suspected cell phone usage in the case subpoena cell phone records. The cell phone number and provider (Verizon, AT&T, etc.) will be needed and can be sent to Legal for processing. Cell phone records may also be required for Accident investigation reports generated by Staff.

ATTACHMENT 14: TECHNIQUES TO ASSIST THE INVESTIGATION

Interviews: Techniques to Assist the Investigation

1. Arrange Operator Interview to take place as soon as possible, optimally within 48 hours.
2. Inform Accident Investigation team members of date and time of interview.
3. Conduct the interview at the earliest possible time. Testimony is perishable.
4. Prepare and review questions. Know what information you are trying to obtain. For example the NTSB investigators often start the interview by asking "what happened." Let the interviewee do most of the talking. To subpoena cell phone records ask for cell phone number and provider (Verizon, AT&T, etc...). Send this information to legal in order to subpoena the records.
5. No more than two (2) RTSB representatives should be present at the interviews.
6. Conduct the interview in a mutually agreeable area.
7. Try to sit next to interviewee without barriers such as desks and tables between you.
8. Be non-adversarial and define your role as a fact-finder. Do not interrogate or browbeat a witness.
9. Do not argue with the witness regarding moral responsibility of the rail transit agency, the operator, the crew.
10. It is best not to allow the RTA representative to be present. A union representative is acceptable at an interview.
11. Avoid "yes" and "no" type questions.
12. Take notes even if taping the interview.
13. Tape the interview only with the consent of the witness.
14. If taping the interview, at the beginning of the tape, state the names of all present at the interview, the date, the time, and the reason for the interview. Also, at the beginning of the tape, obtain verbal permission from the interviewee to tape the interview.
15. Obtain the names, phone numbers, and email addresses of all present. A sign-in sheet works well for this.
16. If necessary, use explanatory sketches to help the witness explain facts.
17. After the witness finishes telling their story, ask questions regarding areas that may need further explanation.
18. Use open ended questions: "What else could you add about that?"

Attempt to have the witnesses confine their statements to their actual observations, not hearsay or areas of which they have no personal knowledge.

ATTACHMENT 15: SAMPLE DATA REQUEST LETTER

The following format is to be used on the CPUC's letterhead when requesting information from the involved RTA:

mm/dd/yyyy

TO: John Jones
Manager or Title
Your Rail Transit Agency Name
RTA Address
Anywhere, CA 94115

Re: Document Request

Reference Number: File No. -T20080713

The California Public Utilities Commission requests that you provide copies of the following documents:

LIST requested documents here.

Copies of the requested documents should be provided to the undersigned as soon as reasonably possible but no later than 15 business days from the date this request is made. If you are unable or unwilling to provide the documents requested, please identify in writing what documents you cannot provide and the reason why the documents cannot be provided. Send your response to:

Jane Doe
California Public Utilities Commission
Rail Transit Safety Branch
505 Van Ness Ave, 2-D
San Francisco, CA 94102
Phone: 415-703-1975

Thank you for your cooperation.

Person served: John Jones Title: Manager
Date Served: emailed mm/dd/yyyy

by Jane Doe, UE



ATTACHMENT 16: CPUC ACCIDENT DETAILS REPORT

Transit Accident Details Report

California Public Utilities Commission
 Rail Transit Safety Branch

Record ID		Involved RTA	
Date of Incident		Assigned RTSB Investigator	
Time of Incident		Principal RTA Investigator	
Final Incident Summary			
Casualties			
Total Fatalities		Total Injuries	
Passenger Fatalities		Passenger Injuries	
Patron Fatalities		Patron Injuries	
RTA Worker Fatalities		RTA Worker Injuries	
Public Fatalities		Public Injuries	
Location		Final Categorization	
Location Type		Hazardous Condition Report	
Near Station or Platform		FTA Incident Type	
Main or Yard		Second Party	
County		Fixed Guideway Mode	
Incident Transit Location			
Rail System		Division or Line	
Subdivision or Line		Lead or Line	
Milepost		Description	
Incident Address		Crossing	

Address		Crossing Incident	
		RSSIMS Crossing ID	
City		Traffic Control Device	
Zip			
Investigation			
Status		FTA Most Probable Cause	
Date Investigation Completed (Closed Out)			
Primary Causes			
Contributory Causes			
Comments			
Intentional Act		Intentional Act Description	
Train Details			
Car Numbers		Number of Rail Cars	
Train ID Number		Train Speed	
Direction of Travel		Transit Direction	
RTSB Investigation Status		NTSB Involvement	
Investigation Summary Review		NTSB Investigating	

		NTSB Reportable	
RTSB Investigation Summary			
RTSB Position Summary			
RTSB Recommendation Summary			
Accept RTA Report			
CAPs			
CAP Records		Accept RTA CAP	
		Accept RTA CAP Schedule	
		Corrective Action Plan Required	
Police or Law Enforcement Report		Coroner Report	
Police Report		Coroners Report	
Police Report Status		Coroner Report Status	
Date of Police Report Review		Date of Coroners Report Review	
Police Report Agency		Coroner Report Agency	
Police Report ID		Coroner Report ID	
Police Report Officer (Report Author)		Coroner Determination	
Police Report Comment		Coroners Report Comment	

Close-Out Checklist			
ACTIVITY DESCRIPTION	ACTION	DATE	COMMENTS
Field Investigation			
Event Recorder Data			
Audio/Video Recordings			
Measurements			
System Maintenance			
Post-Incident Equipment Testing			
Drug and Alcohol Testing			
Hours of Service			
Performance Evaluations			
Training Records			
Interviews and Statements			
Meetings			
SOP, Bulletin, Notice, and Rule Violations			

ATTACHMENT 17: 60 DAY EZ FORM

RAIL TRANSIT AGENCY:			
ACCIDENT:	TRAIN/CARS #:	TRACK #:	DIRECTION OF TRAIN TRAVEL:
LOCATION:	WEATHER:	DATE:	
TIME:	DESIGN SPEED:	ESTIMATED SPEED AT TIME OF ACCIDENT:	
SYSTEM DEVICES OPERATIONAL: YES	<input type="checkbox"/> NO	<input type="checkbox"/> EST. PROPERTY DAMAGE GREATER THAN \$25K:	<input type="checkbox"/> NO <input type="checkbox"/>
OPERATOR TESTED FOR D&A: YES	<input type="checkbox"/> NO	<input type="checkbox"/> PASSENGER EVACUATION: YES	<input type="checkbox"/> NO <input type="checkbox"/>
TRANSIT VEHICLE OUT OF SERVICE: YES	<input type="checkbox"/> NO	<input type="checkbox"/> COLLISION BETWEEN TRAIN VEHICLES: YES	<input type="checkbox"/> NO <input type="checkbox"/>
FIRE SUPPRESSION: YES	<input type="checkbox"/> NO	<input type="checkbox"/> COLLISION WITH PERSON: YES	<input type="checkbox"/> NO <input type="checkbox"/>
REPORTED TO NTSB (for shared ROW): YES	<input type="checkbox"/> NO <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/>
MAINLINE DERAILMENT: YES	<input type="checkbox"/> NO	<input type="checkbox"/> COLLISION WITH PASSENGER VEHICLE: YES	<input type="checkbox"/> NO <input type="checkbox"/>
YARD DERAILMENT: YES	<input type="checkbox"/> NO	<input type="checkbox"/> GATED CROSSING: YES	<input type="checkbox"/> NO <input type="checkbox"/>
MAINLINE COLLISION: YES	<input type="checkbox"/> NO	<input type="checkbox"/> TRAFFIC SIGNAL CROSSING: YES	<input type="checkbox"/> NO <input type="checkbox"/>
YARD COLLISION: YES	<input type="checkbox"/> NO	<input type="checkbox"/> SUICIDE: YES	<input type="checkbox"/> NO <input type="checkbox"/>
LAW ENFORCEMENT REPORT AVAILABLE:	<input type="checkbox"/> NO	<input type="checkbox"/> CORONER REPORT AVAILABLE: YES	<input type="checkbox"/> NO <input type="checkbox"/>
MOTORIST CITED FOR TRAFFIC VIOLATION:	<input type="checkbox"/> NO	<input type="checkbox"/> N/A	<input type="checkbox"/>
TRAIN VIDEO AVAILABLE FOR REVIEW: YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A	<input type="checkbox"/>
EVENT REC. AVAILABLE FOR REVIEW: YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A	<input type="checkbox"/>
DESCRIPTION OF THE INCIDENT or OCCURRENCE: (include photographs):			
<p>PRIMARY CAUSE:</p> <p>CONTRIBUTING FACTORS:</p> <p>RECOMMENDATIONS:</p>			

ATTACHMENT 18: CPUC CHECKLIST FOR REVIEW OF A SAFETY CERTIFICATION PLAN

CPUC CHECKLIST FOR REVIEW OF A SAFETY CERTIFICATION PLAN					
Transit Agency: _____		Submittal Date: _____			
Plan Title: _____		Plan Date: _____			
No.	SC Plan Requirements Does the PLAN contain or provide for the following:	included		Page Ref.	Comments
		Y	N		
1	<u>SC Plan Submittal</u>				
	J A Project specific SC Plan is submitted to Staff for review and Commission approval during the preliminary engineering phase.				
	J Any significant revisions to the SC Plan have been made since initial submission.				
	J A revised SC Plan has been submitted.				
2	<u>Safety Certification Management and Responsibilities</u>				
	Does the SC Plan identify the safety certification management and responsibilities including:				
	- Organizational authority and responsibilities				
	- Safety certification activities				
	- Processes				
	- Procedures				
	- Documentation requirements and responsibilities				
	- Reporting requirements				
3	<u>Communication Control with RTSB Staff</u>				
	J Controls and procedures used to maintain effective communications and liaison with Staff throughout the life of the project				
	J Procedures to obtain and adequately address Staff's written comments on safety and security design reviews conducted throughout the Project development cycle				
4	<u>Process for Verification and Documentation</u>				
	J The process used to verify conformance with safety and security requirements during design, construction, testing and operational readiness				

	<p>J The process used to document conformance with safety and security requirements during design, construction, testing and operational readiness</p>				
	<p>J A hazard management process to conduct safety hazard analyses and safety hazard resolution, which includes:</p> <ul style="list-style-type: none"> o List of hazard analyses to be performed. o Hazard Descriptions. o Hazard Category. o RTA Responsible Individual Assigned. o Hazard Tracking. o Date Closed. o Language indicating the RTA will submit the hazard analyses to Staff upon request 				
	<p>J A list of all safety and security design criteria that will be used in the planning, design, and construction of Projects</p>				
	<p>J A list of certifiable elements and sub-elements</p>				
	<p>J The process for conducting safety certification audits to verify compliance and judge the effectiveness of the SC Plan</p>				
	<p>- The written checklists used for the safety certification audits</p>				
	<p>J A format of Conformance checklists</p>				
	<p>- A list of the Conformance checklist actually used</p>				
	<p>- The actual checklists will be submitted upon Staff's request</p>				
	<p>J Safety Certification milestones</p>				
	<p>J A procedure for updating the SC Plan</p>				

The Safety Certification Plan is:

Acceptable

Unacceptable. Revise and Resubmit

Reviewed by:

Signature

Date:

 Name and Title

Approved by:

Signature

Date:

 Name and Title

ATTACHMENT 19: EXAMPLE OF HAZARD TRANSIT RECORD

RTSB - Hazard Transit (HAZT): 2017090001 [Subscribe](#)

Identified safety hazards for Rail Transit Agencies.

Information Sections: ?

[Tab Description](#)

<div style="border-bottom: 1px solid #ccc; padding-bottom: 5px;"> General AUDIT </div> <div style="border-bottom: 1px solid #ccc; padding: 5px 0 0 0;"> Left Column Definitions <h4 style="margin: 0;">Hazard Summary</h4> Section Description </div> <div style="padding: 5px 0 0 0;"> <p>Hazard Status 2 Closed</p> <p>RTA RDRG TTANGRLT</p> <p>Hazard Title Notifiable Incident: SRCB deployment</p> <p>Date reported to the CPUC Add Reminder 09/21/2017</p> <p>Hazard Description A faulty load cell reading from Olivet indicated a loss of haul cable tension. This caused the safety rope carrier brake to deploy. Only three passengers were present on the lower vehicle at this time. The operator made the decision to evacuate the passengers. Hazard since the passengers were on the lower car and it was within one metre of Hill Street Station. The system was shut down and the cars remained at the top and bottom of the guideway until the next day. The following day, the system was operated normally, and there have been no further reported failures or spurious signals. ACTIONS TO BE TAKEN: 1. AF will review system components and performance to eradicate this type of fault, and 2. AF will review evacuation procedure internally to evaluate necessity of calling first responders for similar events in the future.</p> <p>Staff Assigned CNTC Daniel Korok</p> <p>Individual Reporting Hazard CNTC Mark Turner</p> </div>	<div style="border-bottom: 1px solid #ccc; padding-bottom: 5px;"> Right Column Definitions <h4 style="margin: 0;">Hazard Details</h4> Section Description </div> <div style="padding: 5px 0 0 0;"> <p>Hazard Category Rail Vehicle Issues Unlabeled/Other CAP</p> <p>Former INCT Record Number Data Transferred from Closed INCT Record</p> <p>Hazard Analysis Tracking and Close out Comments</p> <p>Date Closed Add Reminder 09/22/2017</p> </div>
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ATTACHMENT 20: SAMPLE COMPLAINT LETTER

STATE OF CALIFORNIA

EDMUND G. BROWN JR., *Governor*

PUBLIC UTILITIES COMMISSION

550 VAN NESS AVENUE
SAN FRANCISCO, CA 94102



Date

Public Complainer
123 Main Street
Anywhere, CA 00000

Re: Complaint No. CMPT #####, Letter dated March ##, 20##, (Brief description of complaint)

Dear Mr./Ms. Complainer:

I am in receipt of your letter dated March ##, 20##. The California Public Utilities Commission's Rail Transit Safety Branch (RTSB) Staff will investigate the safety concern described in your letter.

) Brief description of complaint

If you have any questions, please contact (Assigned Staff) at (###) ###-#### or FirstName.LastName@cpuc.ca.gov.

Thanking you for bringing this matter to the Commission's RTSB Staff's attention.

Sincerely,

(P&PS Name)
Program and Project Supervisor
Rail Transit Safety Branch
Safety and Enforcement Division