

# CPUC CHECKLIST FOR REVIEW OF SYSTEM SAFETY PROGRAM PLANS

Transit Agency: Sacramento County Airport System

Submittal Date: August 31, 2010

Plan Title: SMF APM System SSPP

Plan Date: July 2010

| No. | SSPP Requirements<br>Does the SSPP contain or provide for the following:                                                                                                    | Included |   | Page Ref. | Comments    |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|---|-----------|-------------|
|     |                                                                                                                                                                             | Y        | N |           |             |
| 1   | <u>Policy Statement</u>                                                                                                                                                     |          |   |           |             |
|     | • A policy statement is developed for the System Safety Program Plan (SSPP).                                                                                                | X        |   | 1         |             |
|     | • The policy statement describes the authority that establishes the SSPP.                                                                                                   | X        |   |           |             |
| 2   | <u>Purpose, Goals, and Objectives</u>                                                                                                                                       |          |   |           |             |
|     | • The purpose of the SSPP is defined.                                                                                                                                       | X        |   | 8         |             |
|     | • Goals are identified to ensure that the SSPP fulfills its purpose.                                                                                                        | X        |   |           | Section 2.2 |
|     | • Objectives are identified to monitor and assess the achievement of goals.                                                                                                 | X        |   |           | Section 2.3 |
| 3   | <u>RTA Management Structure</u>                                                                                                                                             |          |   |           |             |
|     | • An overview of the management structure of the rail transit agency is provided including an organization chart. Organizational structure is clearly defined and includes: | X        |   | 10        | Section 3.1 |
|     | • History and scope of service,                                                                                                                                             |          |   |           |             |
|     | • Physical characteristics, and                                                                                                                                             |          |   |           |             |
|     | • Operations and Maintenance.                                                                                                                                               |          |   |           |             |
| 4   | <u>Plan Review and Modification</u>                                                                                                                                         |          |   |           |             |
|     | • An annual assessment of whether the system safety program plan should be updated is specified.                                                                            | X        |   | 20        | Section 4   |
|     | • The process used to control changes to the system safety program plan is described.                                                                                       | X        |   |           |             |
|     | • Specific departments and persons responsible for initiating, developing, approving, and issuing changes to the SSPP are identified.                                       | X        |   |           |             |

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|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Y        | N |              |                            |
|     | <ul style="list-style-type: none"> <li>Required coordination with the oversight agency regarding plan modification, including timeframes for submission, revision, and approval, is addressed.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                       | X        |   |              | Process clearly described. |
| 5   | <u>Plan Implementation</u> <ul style="list-style-type: none"> <li>A description of the specific activities required to implement the system safety program plan is included.</li> <li>Tasks to be performed by the rail transit safety function, by position and management accountability, are identified and described.</li> <li>A description of the methodologies used by the system safety function to achieve their safety responsibilities is provided.</li> </ul>                                                                                                                                                       | X        |   | 21           | See Tasks Matrix           |
|     | <ul style="list-style-type: none"> <li>Safety-related tasks to be performed by other rail transit departments, by position and management accountability, are identified and described.</li> <li>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.</li> </ul>                                                                                                                                                                                    | X        |   |              | See Tasks Matrix           |
| 6   | <u>Hazard Management Process</u> <ul style="list-style-type: none"> <li>The process used by the rail transit agency to implement its hazard management program, including the role of the oversight agency in providing on-going monitoring, is described.</li> <li>The hazard management process includes activities for: hazard identification, hazard investigation, evaluation, and analysis, hazard control and elimination, hazard tracking, and reporting thresholds.</li> <li>Requirements for on-going reporting to the oversight agency relating to hazard management activities and status are specified.</li> </ul> | X        |   | 22           |                            |
| 7   | <u>Safety Certification Process</u> <ul style="list-style-type: none"> <li>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 New Starts and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.</li> </ul>                                                                                                                                                                                       | X        |   | 26           |                            |

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|     |                                                                                                                                                                                                                                                                                                                                                      | Y        | N |              |                          |
| 8   | <u>System Modifications</u> <ul style="list-style-type: none"> <li>The process used by the rail transit agency 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.</li> </ul>             | X        |   | 26           |                          |
| 9   | <u>Safety Data Acquisition</u> <ul style="list-style-type: none"> <li>The process used to collect, maintain, analyze, and distribute safety data is clearly defined.</li> </ul>                                                                                                                                                                      | X        |   | 27           |                          |
|     | <ul style="list-style-type: none"> <li>The management process for ensuring that the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program is clarified.</li> </ul>                                                                                          | X        |   |              |                          |
| 10  | <u>Incident Notification, Investigation, and Reporting</u> <ul style="list-style-type: none"> <li>A description is provided regarding the process used by the rail transit agency to perform accident notification, investigation and reporting.</li> </ul>                                                                                          | X        |   | 28           |                          |
|     | <ul style="list-style-type: none"> <li>Criteria for determining what accidents/incidents require investigation, and who is responsible to conduct specific investigations are developed.</li> </ul>                                                                                                                                                  | X        |   |              | Meets 164-D requirements |
|     | <ul style="list-style-type: none"> <li>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 recommendations, and follow-up to verify corrective action implementation is provided.</li> </ul> | X        |   |              | Section 10.1.2           |
|     | <ul style="list-style-type: none"> <li>Notification thresholds for internal departments/functions are defined.</li> </ul>                                                                                                                                                                                                                            | X        |   |              |                          |
|     | <ul style="list-style-type: none"> <li>Criteria are specified for notifying external agencies (NTSB, CPUC) of accidents and incidents.</li> </ul>                                                                                                                                                                                                    | X        |   |              |                          |
|     | <ul style="list-style-type: none"> <li>Procedures are established for documenting and reporting of accident investigations.</li> </ul>                                                                                                                                                                                                               | X        |   |              |                          |
|     | <ul style="list-style-type: none"> <li>Process used to develop, implement, and track corrective actions that address investigation findings is specified.</li> </ul>                                                                                                                                                                                 | X        |   |              | Section 10.1.3           |
|     | <ul style="list-style-type: none"> <li>Coordination with the oversight agency is specified.</li> </ul>                                                                                                                                                                                                                                               | X        |   |              |                          |
| 11  | <u>Emergency Management Program</u> <ul style="list-style-type: none"> <li>The agency's emergency planning responsibilities and</li> </ul>                                                                                                                                                                                                           | X        |   | 31           |                          |

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|     |                                                                                                                                                                                                                                             | Y        | N |           |              |
|     | requirements are identified.                                                                                                                                                                                                                |          |   |           |              |
|     | <ul style="list-style-type: none"> <li>A description of the process used by the rail transit agency to develop an approved, coordinated schedule for emergency management program activities is provided.</li> </ul>                        | X        |   |           |              |
|     | <ul style="list-style-type: none"> <li>Required meetings with external agencies regarding the emergency management program are specified.</li> </ul>                                                                                        | X        |   |           | Section 11.2 |
|     | <ul style="list-style-type: none"> <li>The process used to evaluate emergency preparedness, such as annual emergency field exercises, is documented.</li> </ul>                                                                             | X        |   |           |              |
|     | <ul style="list-style-type: none"> <li>After action reports and implementation of findings are required.</li> </ul>                                                                                                                         | X        |   |           |              |
|     | <ul style="list-style-type: none"> <li>The process is explained to be used by the rail transit agency for the revision and distribution of emergency response procedures.</li> </ul>                                                        | X        |   |           |              |
|     | <ul style="list-style-type: none"> <li>The agency's responsibilities for providing employee training are identified.</li> </ul>                                                                                                             | X        |   |           | Section 11.3 |
|     | <ul style="list-style-type: none"> <li>The agency's responsibilities for providing familiarization training to local public safety organizations are identified.</li> </ul>                                                                 | X        |   |           | Section 11.3 |
| 12  | <u>Internal Safety Review Program (ISRP)</u>                                                                                                                                                                                                |          |   |           |              |
|     | <ul style="list-style-type: none"> <li>A description of the process used by the rail transit agency to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the SSPP is included.</li> </ul> | X        |   | 32        |              |
|     | <ul style="list-style-type: none"> <li>Identification of departments and functions subject to review is performed.</li> </ul>                                                                                                               | X        |   |           |              |
|     | <ul style="list-style-type: none"> <li>Reviewers must be independent from the first line of supervision responsible for the activity being reviewed.</li> </ul>                                                                             | X        |   | 33        |              |
|     | <ul style="list-style-type: none"> <li>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.</li> </ul>                                | X        |   | 34        |              |
|     | <ul style="list-style-type: none"> <li>The process for conducting reviews, including the development of checklists, and procedures for conducting reviews and issuing of findings is described.</li> </ul>                                  | X        |   |           |              |

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|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Y        | N |           |              |
|     | <ul style="list-style-type: none"> <li>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 corrective action items. This report must be submitted to the state oversight agency for review and approval.</li> <li>The process for resolving problems and disagreements, report distribution, and follow-up on corrective action procedures is described.</li> <li>The ISRP process and reporting must be coordinated with the state.</li> </ul>                                                                                                                                                                                                                                                                                                       | X        |   |           | Section 12.1 |
| 13  | <u>Rules Compliance</u> <ul style="list-style-type: none"> <li>Operating and maintenance rules and procedures that affect safety are identified.</li> <li>Operating and maintenance rules and procedures that affect safety are reviewed for their effectiveness and determinations are made regarding their need to be updated.</li> <li>Description of process for developing, maintaining, and ensuring compliance with operating and maintenance rules and procedures.</li> <li>Techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing/compliance checks.</li> <li>Techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules.</li> <li>Process for documenting results and incorporating them into the hazard management program.</li> </ul> | X        |   | 34        | Section 13   |
| 14  | <u>Facilities and Equipment Inspections</u> <ul style="list-style-type: none"> <li>Identification of the facilities and equipment that are subject to regular safety related-inspection and testing is provided.</li> <li>A description of how safety-related equipment and facilities are included in a regular inspection and testing program is provided.</li> <li>Use of a written checklist for conducting facility inspections.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                      | X        |   |           |              |

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|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Y        | N |              |              |
|     | <ul style="list-style-type: none"> <li>Descriptions of how identified hazardous conditions are entered into the Hazard Resolution Process.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | X        |   | 37           |              |
| 15  | <u>Maintenance Review and Inspection Program</u> <ul style="list-style-type: none"> <li>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.</li> <li>A description of the process for tracking and resolving problems identified during inspections is provided.</li> <li>Use of a written checklist for conducting maintenance reviews is required.</li> </ul>                                                                                                                                                                                                                                            | X        |   | 37           | MMIS used.   |
| 16  | <u>Training and Certification Program</u> <ul style="list-style-type: none"> <li>A description of the training and certification program for employees and contractors is provided.</li> <li>Categories of safety-related work requiring training and certification are identified.</li> <li>Description of the training and certification program for employees and contractors in safety-related positions is provided.</li> <li>Description of the training and certification program for contractors is provided.</li> <li>The process used to maintain and access employee and contractor training records is described.</li> <li>The process used to assess compliance with training and certification requirements is described.</li> </ul> | X        |   | 37           | Section 16.2 |
| 17  | <u>Configuration Management Process</u> <ul style="list-style-type: none"> <li>A description of the configuration management control process is provided and appropriate references are made to other rail transit agency documents governing this process.</li> <li>A process for making changes is described.</li> <li>Authority to make configuration changes is described and assurances are provided for formal notification of all involved departments.</li> </ul>                                                                                                                                                                                                                                                                          | X        |   | 38           |              |
| 18  | <u>Compliance with Local, State and Federal Safety Requirements</u>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |          |   |              |              |



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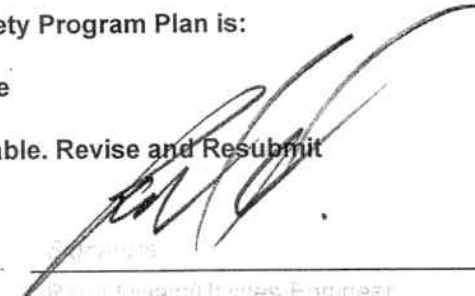
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|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Y        | N |           |          |
|     | <ul style="list-style-type: none"> <li>A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements is provided.</li> <li>Safety requirements that employees and contractors must follow when working on, or in close proximity to, rail transit agency controlled property are identified.</li> <li>Processes for ensuring the employees and contractors know and follow the requirements are described.</li> </ul> | X        |   | 39        |          |
| 19  | <u>Hazardous Materials Program</u> <ul style="list-style-type: none"> <li>A description of the hazardous materials program, including the process used to ensure knowledge of and compliance with program requirements is provided.</li> </ul>                                                                                                                                                                                                                                                    | X        |   | 39        |          |
| 20  | <u>Drug and Alcohol Program</u> <ul style="list-style-type: none"> <li>A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements is provided.</li> </ul>                                                                                                                                                                                                                                                                 | X        |   | 40        |          |
| 21  | <u>Procurement</u> <ul style="list-style-type: none"> <li>A description of the measures, controls, and assurances in place to ensure that safety principles, requirements, and representatives are included in the rail transit agency procurement process.</li> </ul>                                                                                                                                                                                                                            | X        |   | 41        |          |

The System Safety Program Plan is:

☒ Acceptable

☐ Unacceptable. Revise and Resubmit

Reviewed by: 

Date: 10/12/2010

Approved by: SC. Octus

Date: 11/4/2010

Name and Title: SITING ACTS, PROGRAM & PROJECT SPUR.