

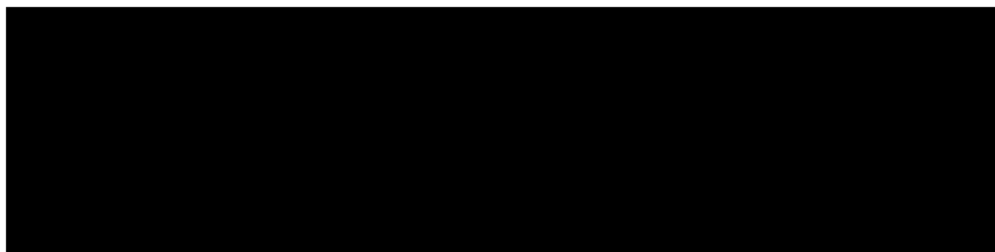


OPERATIONS SAFETY COMPLIANCE PLAN

Transportation Department

Revised March 22, 2018

SUBMITTED




CHIEF TRANSPORTATION OFFICER

TABLE OF CONTENTS

INTRODUCTION 2

TRANSPORTATION DEPARTMENT SAFETY VISION 2

PURPOSE OF THIS DOCUMENT 2

SAFETY ASPECTS TO BE COVERED..... 2

APPLICABLE RULES AND PROCEDURES..... 3

FREQUENCY OF SAFETY COMPLIANCE EXERCISES 3

EXERCISE CLARIFICATION AND STANDARDS 3

SAFETY WHILE PERFORMING FIELD OBSERVATIONS..... 4

DATA RETENTION 4

RESPONSIBILITIES 4

CHECKLIST..... 4

TSSo1 Confirming Train Length 5

TSSo2 Persons Wayside..... 6

TSSo3 Braking Test in Yard Operations..... 7

TSSo4 Transfer Announcements 8

TSSo5 Cranking Switches 9

TSSo6 Manual Movement Procedures for Yard Operations 10

TSSo7 Manual Movement Procedures for Mainline 11

TSSo8 Foreworker Manual Movement Procedures for Yard Operations 12

TSSo9 Yard Car Washing Procedures..... 13

TSS10 Sending Train Ready 14

TSS11 Platform Arrival/Departure Procedure..... 15

TSS12 Make at Platform 16

GO 172 TRAIN OPERATOR IN-CAB RANDOM VIDEO REVIEW17

TSS 99 ANY OTHER FAILURES..... 22

OPERATIONS SAFETY COMPLIANCE PLAN

INTRODUCTION

This Operations Safety Compliance Plan (OSCP) submitted by Transportation Department is to comply with Management Procedure No. 84, dated September 1, 2003, and titled Procedure for Operations Safety Compliance Program and CPUC General Order 172. This program will check safety compliance related to specific tasks performed by Train Operators and Tower Foreworkers.

TRANSPORTATION DEPARTMENT SAFETY VISION

We believe that every accident or injury is preventable. Our vision is that Transportation Department will operate free of accidents and injuries. Transportation Department will achieve this through:

- **Culture** –our safety and safety of our patrons must be our number one priority.
- **Work Environment** – minimize hazardous work environment by reporting, safe guarding and correcting hazardous or unsafe conditions.
- **Training** – provide sufficient training for Transportation Department employees to allow them to perform their tasks safely and efficiently.
- **Ownership** – take ownership and responsibility for personal safety. 100% rules compliance 100% of the time is a must. Be your brother’s keeper, if you see someone working in unsafe manner say something.

PURPOSE OF THIS DOCUMENT

This document provides guidance for supervisors conducting safety exercises and observations including proper preparation, procedures and data entry.

SAFETY ASPECTS TO BE COVERED

Rules and procedures that pertain to “every day” job performance activities that are written to protect employees, passengers, and the District property and equipment. Particular attention will be given to those rules and procedures that govern:

- Safe operations of trains
- Protection of personnel wayside
- Safe operations of district equipment
- Train mainline operations
- Train Terminal Zone operations
- Train yard operations
- Manual movement compliance
- Radio communication
- Public address announcements
- Platform arrival/departure procedures
- Make at platform

APPLICABLE RULES AND PROCEDURES

- Operations Rules and Procedures
- Operating Bulletins
- Train Operator Manual and Foreworker Manual
- Transportation Notices
- MOSEL

FREQUENCY OF SAFETY COMPLIANCE EXERCISES

Assistant Chief Transportation Officers (ACTOs) are required to develop/create safety exercises. Transportation Operations Managers and Transportation Supervisors are assigned to complete safety compliance exercises on a routine basis. Management conducting the exercise must be knowledgeable in the work task being evaluated.

Exercises will be:

- Conducted in accordance with developed checklists.
- Unannounced and will cover as many shifts as possible.
- Conducted by Transportation management personnel.
- There will be two exercise teams with two or more supervisors on the AM shift and PM shift. The team members will be a combination of supervisors from the various lines. The team make-up will be rotated monthly.

Frequency:

- There will be a minimum of 26 annual tests. Various scenarios will be utilized during each test, as identified on each exercise checklist.
- There will be a minimum of 46 GO172 observations or 10% of Train Operator population per quarter.

EXERCISE CLARIFICATION AND STANDARDS

- Exercise will indicate pass or fail.
- Passing an exercise indicates that the employee completed the task and is complying with all governing rules, procedures, Transportation Notices, bulletins, as listed in the test checklist.
- Failing an exercise indicates that the employee fails to comply with the governing rules, procedures, and bulletins while performing the work task as listed in the test checklist.
- The supervisor should make every effort to provide feedback and review compliance check results with the employee. Positive feedback encourages the employee and reinforces safe behavior. Guidance feedback regarding an identified exception provides the employee with the information to correct the undesired behavior. The feedback should be timely, detailed and specific. Face-to-face feedback following the test observation is the most desired method.**
- Exercises will be reported via Maximo data entry. Entry will include the date, reference number of the test conducted, names of those tested, and the results of the test.

OPERATIONS SAFETY COMPLIANCE PLAN

- If the exercise is failed, the Managers/Supervisors will discuss the test with the employee to correct future performance and record failed compliance check in Maximo. Note: if employee requires additional training, based on observation and discussion, Manager or Supervisor will have to create an "Action Item" related to a failed compliance check to initiate training.
- During an exercise, if there are gross violations of the rules and procedures and the employee is deemed unsafe, the exercise will be stopped, employee will be placed out-of-service, and returned to home yard for pending disposition.**

****If a rule violation will result in a discipline, request union steward presence during immediate fact-finding discussion.**

SAFETY WHILE PERFORMING FIELD OBSERVATIONS

Before performing field operations exercises, the supervisor shall coordinate as necessary with the appropriate control center before the exercise begins and comply with all Roadway Worker Protection Rules. Operations Control Center or Yard Control Tower should be involved in the communication and coordination process to aid safe and effective observations.

Additionally, at no time supervisors will manipulate switches, derails or put themselves or others in position where there is a potential for injury or accident.

DATA RETENTION

All compliance checks must be entered into Maximo database. Additionally, any failed compliance check that requires employee retraining, must be entered into Maximo as an "Action Item".

RESPONSIBILITIES

The CTO has ultimate responsibility for the execution and reporting for the OSCP for the Transportation and System Service Department. The CTO will provide annual department summary to the Safety Department and AGM of Operations. The CTO will monitor department performance routinely throughout the year and will address any issues that may arise from the evaluations and trends found throughout the exercises, and will set priority for exercises as appropriate.

CHECKLIST

Exercises may be added or modified, as needed. When additions and corrections are made, the OSCP shall be updated and distributed to all affected

TSSo1 CONFIRMING TRAIN LENGTH

OBJECTIVE

“Confirm train length” exercise verifies that qualified Train Operator physically counts the cars in the consist before dispatching mainline and confirms that TLS switch and bypass switches are in the proper position.

APPLICABLE RULES

TOM 114, 203, 405 and OR&P 7202

EXERCISE LOCATION

Supervisor needs to be positioned at the lead car to observe Train Operator who will be operating a train from the yard or terminal zone onto the mainline.

PREPARATION

Supervisor needs to have an unobstructed view of Train Operator’s actions to verify that Train Operator physically counts the cars in the consist, “Train Length Selector Switch” is in proper position and bypass switches are in the normal/off position.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Physically counted cars	Checked bypass switches	TLS switch in proper position	PED visible
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

TSSo2 PERSONS WAYSIDE

OBJECTIVE

“Persons wayside” exercise designed to determine that qualified Train Operator sounds the horn in the prescribed manner to warn persons on or near the track.

APPLICABLE RULES

TOM304(d) and OR&P 5501(e), 5501(f), 5502.

EXERCISE LOCATION

Exercise may be performed anywhere it is observed that Train Operator is approaching roadway worker(s) on or near the track or supervisors may simulate roadway workers by wearing appropriate PPE and obtaining work orders from Operation Control Center prior to entering right-of-way.

PREPARATION

When simulating roadway workers, supervisors must be clear of track zone as defined in OR&P, supervisors must be in the plain view of the operator and must acknowledge the horn signal. Additionally, supervisors must avoid areas located within 700 feet of the platform and not interfere with Train Operator duties such as look back during departure.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Long horn blast for persons wayside	Series of short blasts (if needed)
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N

Record your observations in Maximo database.

TSS03 BRAKING TEST IN YARD OPERATIONS

OBJECTIVE

Exercise aims to verify that qualified Train Operator performs a friction brake test of a car or a consist in the assigned direction of travel prior to initiating movement.

APPLICABLE RULES

TOM 114, 503

EXERCISE LOCATION

Supervisor needs to be on the ground near a car or a consist monitoring a proper radio channel or aboard a car or a consist with a Train Operator performing yard moves in Hayward, Richmond, Concord or Daly City Yards.

PREPARATION

In coordination with the Yard Control Tower, observe Train Operator moving a single car or a consist in the assigned direction of travel or changing direction of travel in the yard. Train Operator must be observed performing inspection of control panel and conducting friction brake test in the direction of travel.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Inspect control panel	Initial brake test	Brake test after change of direction	PED visible
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

TSSo4 TRANSFER ANNOUNCEMENTS

OBJECTIVE

Exercise aims to verify that qualified Train Operator performs appropriate transfer announcement 1000 feet prior to arriving at a transfer station or 2000 feet during peak commute times.

APPLICABLE RULES

TOM 901

EXERCISE LOCATION

Supervisor needs to be onboard revenue train approaching the transfer station (MacArthur, 19th ST/Oakland, Bay Fair or Balboa Park).

PREPARATION

This observation can be conducted any time a qualified Train Operator is operating a revenue train and is making appropriate transfer announcement. While performing observation, additional consideration should be given to operating conditions such as insufficient distance between stations in which case transfer announcement should be made when leaving previous station.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Made appropriate destination and transfer announcement	Transfer announcement made 1000 feet prior to station
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N
			Y/N	Y/N

Record your observations in Maximo database.

TSSo5 CRANKING SWITCHES

OBJECTIVE

Exercise aims to verify qualified Train Operator compliance with rules related to operating switches and derails.

APPLICABLE RULES

TOM 114, 322 and OR&P 2508, 7106, 7107, Section IV 4700 l1, l2, l3

EXERCISE LOCATION

Supervisor needs to be positioned to observe a qualified Train Operator cranking switches in the normal course of daily duties on the mainline or in the yard.

PREPARATION

This observation can be conducted any time a qualified Train Operator is engaged in activity of manually operating switches or derails. Please note that supervisors must not interfere with mainline or yard operations and must not line switches or derails against movement to set up observation scenario.

Supervisors need to observe that Train Operator properly aligns intended route, confirms that cranks are fully engaged, verify that switch points are fully cranked and flush with stock rail and leaves crank handle in the up position. Additionally, supervisors need to refer to OR&P 7107 for proper cranking procedures.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Work orders prior to entering trackway	Insert crank	Verify switch in correct position	Crank switch into correct position	Crank handle left in up position	PED visible
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

TSSo6 MANUAL MOVEMENT PROCEDURES FOR YARD OPERATIONS

OBJECTIVE

Exercise aims to evaluate and verify qualified Train Operator ability to comply with rules related to manual movement procedures in yard operations.

APPLICABLE RULES

OR&P 7105,7112, 7113, 7114, 7115, 7121, 7212, 7213, Section IV 4700 E1, E2, E3

EXERCISE LOCATION

In cooperation with tower control, observation can be conducted when a qualified Train Operator is engaged in manual movement in yard operations.

PREPARATION

Supervisor must ensure that Train Operator stops short of the next signal or at the limit specified, provides verbatim readback, observes proper aspect and switch alignment, proceeds without delay to the limit specified, reports arrival at the limit specified and obeys speed limit for yard operations. Additionally, manual movement instructions, which may create unsafe condition must not be issued at any time.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date Time	Correct readback	Observe proper aspect & switch alignment	Proceed without delay	Stop at limits or signal	Report arrival	Obey speed limit
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

TSSo7 MANUAL MOVEMENT PROCEDURES FOR MAINLINE

OBJECTIVE

Exercise aims to evaluate and verify qualified Train Operator’s ability to comply with rules related to manual movement procedures in mainline operations.

APPLICABLE RULES

OR&P 7110, 7111, 7112, 7113, 7114, 7115, 7120, 7123, 7209, 7210, 7212, 7213, Section IV 4700 D1, D2, D3, G1, G2, H2, H3

EXERCISE LOCATION

In cooperation with the Operations Control Center, observation can be conducted when a qualified Train Operator is engaged in manual movement on mainline.

PREPARATION

Supervisor must ensure that Train Operator stops short of the next signal or at the limit specified, provides verbatim readback, proceeds without delay to the limit specified, reports arrival at the limit specified and obeys speed limit for mainline operations. Additionally, manual movement instructions, which may create unsafe condition must not be issued at any time.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Correct readback	Proceed without delay	Stop at limits or signal	Report arrival	Obeys speed limit
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

TSSo8 FOREWORKER MANUAL MOVEMENT PROCEDURES FOR YARD OPERATIONS

OBJECTIVE

Exercise aims to evaluate and verify a qualified Tower Foreworker’s ability to comply with rules related to manual movement procedures in yard operations.

APPLICABLE RULES

OR&P 7112, 7119, 7125, Section IV 4700 E1, E2, E3

EXERCISE LOCATION

In cooperation with the Yard Control Tower, observation can be conducted when a qualified Tower Foreworker is engaged in manually aligning route to move cars within the yard.

PREPARATION

Supervisor must ensure that Tower Foreworker properly aligns and checks intended route, issues authorization for intended route, grants authorization after receiving correct verbatim readback and does not cancel or change the route without prior notification to the affected vehicle. Additionally, manual movement instructions, which may create unsafe condition must not be issued at any time.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Proper manual route alignment	Issues authorization	Proper radio procedure	Does not change route
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

TSS09 YARD CAR WASHING PROCEDURES

OBJECTIVE

Exercise aims to verify qualified Train Operator compliance with rules and procedures related to a car wash while it is activated.

APPLICABLE RULES

TOM 511 and OR&P 7213

EXERCISE LOCATION

In cooperation with tower control, observation can be conducted when qualified Train Operator operates a train through a car wash while it is activated in Hayward, Concord, Richmond or Daly City Yards.

PREPARATION

Supervisor must ensure that Train Operator does not exceed speed limit through a car wash, movement is continuous, there are no stops unless in event of emergency, proper radio communication is utilized and train does not increase speed until reaching appropriate car marker. Supervisor must ensure that train does not enter operating car wash in the reverse direction and no employees are inside the car wash while it is activated.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Speed not exceeding 2 MPH	Proper radio procedures	Report lead car #	Continuous movement
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

TSS10 SENDING TRAIN READY

OBJECTIVE

“Sending train ready” exercise verifies that the inspection of the train is properly performed by qualified Train Operator, cars in the consist were visually verified and that all necessary steps were completed to make train revenue ready (ready for mainline dispatch).

APPLICABLE RULES

TOM 114, 404, 405 and OR&P 7202

EXERCISE LOCATION

Exercise may be performed in cooperation with the tower control in the yard or at the terminal zone, observation can be performed when qualified Train Operator prepares train for a dispatch onto the mainline.

PREPARATION

Supervisor needs to have an unobstructed view of Train Operator’s actions to validate that Train Operator boards on time, verifies number of cars in the consist, checks bypass switches and tags, loads proper destination and train length, verifies clear board and checks PA system. In older style equipment, operator must ensure the Datalog is “On” and the correct “Time” is displayed.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Board on time	Visually verify cars	Check bypass switches	Load proper destination	PED visible
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

TSS11 PLATFORM ARRIVAL/DEPARTURE PROCEDURE

OBJECTIVE

“Platform arrival/departure” exercise aims to verify qualified Train Operator compliance with rules and procedures that govern train arrival/departure at the platform while in revenue service.

APPLICABLE RULES

TOM 114, 304, 310, 420, 901E

EXERCISE LOCATION

Exercise may be performed anywhere it is observed that revenue train is arriving/departing station platform. Supervisor needs to be positioned at the lead car of arriving/departing train.

PREPARATION

Supervisor needs to have an unobstructed view of Train Operator’s actions to verify proper arrival procedure such as train horn at platform arrival, appropriate public announcement while berthed at a platform with doors open and lookback prior to closing doors and while departing the platform.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Horn warning on arrival	PA	Lookback on departure	PED visible
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

TSS12 MAKE AT PLATFORM

OBJECTIVE

“Make at platform” exercise aims to verify qualified Train Operator compliance with rules and procedures that govern train makes at platform.

APPLICABLE RULES

TOM 114, 408

EXERCISE LOCATION

Exercise may be performed anywhere it is observed that a train is being made at the platform. Supervisor needs to be positioned at mid-platform to observe arrival and make operations.

PREPARATION

Supervisor needs to have an unobstructed view of Train Operator’s actions to verify proper make procedures such as train horn at platform arrival, appropriate public announcement while berthed at a platform with doors open, appropriate coupling procedure (PA, horn and 1352J or 155CAGE) and verification of bypass switches.

RECORDING INFORMATION

Assisting Manager(s) _____

TO Name/Number	Location	Date/Time	Horn warning on arrival	PA	1352J or 155CAGE	Verify bypass switches	PED visible
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N
			Y/N	Y/N	Y/N	Y/N	Y/N

Record your observations in Maximo database.

GO 172 TRAIN OPERATOR IN-CAB RANDOM VIDEO REVIEW

OBJECTIVE

Random video review aims to verify a Train Operator's compliance with CPUC General Order 172.

APPLICABLE RULES

CPUC General Order 172 and TOM 114, 213, OR&P 1330, 1333

EXERCISE LOCATION

Exercise may be performed in the office environment.

PREPARATION

1. Supervisor must request a random video recording of the in-cab camera from RS&S Department utilizing the "Video Request Form" on page 19.
2. Fill out the top portion of the "Video Request Form" on page 19 and the top part of the "CPUC General Order 172 Compliance Audit Part A: Video Review" (Items above the line) on page 20 and transmit both forms to ATU1555. The forms should be filled out in the following manner prior to being sent to the ATU1555:
 - a. "Video Request Form", select the "Random Review" box, include requestor's (your) name, requestor's title, date and time of the request, your phone number (ext.) and review minutes into each run. Note: The "Random Review" field entry of 0 = beginning of the run, 10 = 10 minutes into the run.
 - i. If the entry is 0, review the video from the beginning of the run for 20 minutes. (Beginning of the run until 20 minutes into the run)
 - ii. If the entry is 10, review from 10 minutes into the run for 20 minutes. (10 Minutes into the run until 30 minutes into the run)
 - b. "CPUC General Order 172 Compliance Audit Part A: Video Review", include reviewer's (your) name, review start point (This value is equal to the "Random Review" field on the "Video Request Form") and DVR request date and time.
3. Once in possession of the DVR, perform the random review following the time indicated on the "Video Request Form" and the "CPUC General Order 172 Compliance Audit Part A: Video Review".

Note: The reviewer should not review the video feed outside the timeframe placed on the "Video Request Form".

RECORDING INFORMATION

- Pass = No violation found
- Fail = Violation found

If you do not observe a violation, meaning the "CPUC General Order 172 Compliance Audit Part A: Video Review" form has all "No" circled:

OPERATIONS SAFETY COMPLIANCE PLAN

1. Record your observations in Maximo under GO172.
2. When recording a pass, utilize employee number 000001 for a random train operator.

If you observe a violation, meaning the "CPUC General Order 172 Compliance Audit Part A: Video Review" form has at least one "Yes" circled:

1. Immediately notify your line ACTO.
2. Fill out the rest of the required information on the "CPUC General Order 172 Compliance Audit Part A: Video Review". Include reviewer (your) location, review date and time, number of operators reviewed, number of operators out of compliance, car number, video start date, and video end date. For each individual Train Operator include run date/start time, review start/end time and circle "Yes" or "No" based on your observations.
3. Fill out "CPUC General Order 172 Compliance Audit Part B" on page 21. Include factual details of the violation, operator's name who is out of compliance, operator's employee number, date and time reviewed, car number, run number, video date, video start time, video end time and a factual description of the violation.
4. Review completed forms with your line ACTO. You can also reach out to Labor Relations for additional guidance.
5. Transmit the completed "CPUC General Order 172 Compliance Audit Part A: Video Review", "CPUC General Order 172 Compliance Audit Part B" and video evidence to ATU1555 and your line ACTO.
6. Record your observation in Maximo under GO172.
7. When recording a failure, you must enter the actual employee number for the out of compliance operator and provide factual comments in the required comment field.

If you observe any other violation not related to CPUC General Order 172 during in-cab video review, violation can be investigated for further disciplinary action. Immediately notify line ACTO.

Random TO Use emp. # 000001	Review location	Date of review	PED visible	Use of PED	Blocking or interfering with camera
000001			Y/N	Y/N	Y/N
000001			Y/N	Y/N	Y/N
000001			Y/N	Y/N	Y/N
000001			Y/N	Y/N	Y/N
000001			Y/N	Y/N	Y/N

Record your observations in Maximo database.

VIDEO REQUEST FORM

RANDOM REVIEW **POST ACCIDENT** **PLATFORM**

Requestor's Name _____ Requestor's Title _____

Today's Date and Time _____ Ext _____

Random Review

Review _____ Minutes into each run

Cab Video

Car # _____ Incident Start Time _____

Incident Date _____ Incident End Time _____

Station Video

Station _____ Concourse _____ Platform _____

Incident Date _____ Incident Start Time _____ Incident End Time _____

Notified

Labor Relations _____ Transportation _____

Via: Fax Email Via: Fax Email

Forward Form to:

Cab Video to Fax 6639

Station Video to Policevideo@bart.gov or fax 7089

RECEIPT BY ATU 1555

Form Notification – To: _____ Via: Fax Email In Person

Complaint, Incident, or UOR Attached? Yes No

Video Delivery Date _____

Video Delivery Time _____

District:

ATU:

Delivered by _____

Received by _____

Signature _____

Signature _____

Revised: June 1, 2017
Updated: January 22, 2018

CPUC General Order 172 Compliance Audit

Part A: Video Review

Reviewer Name: _____ Review Start Point: _____ DVR Request Date and Time: _____
 Review Location: _____ Review Date and Time: _____ # of TO's Out of Compliance: _____
 # of TO's Viewed: _____ Video Start Date: _____ Video End Date: _____
 Car #: _____

	TO Run Date/ Start Time																			
Review Start time/ End time																				
Cell Phone Visible?	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N
Blue Tooth Visible?	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N
PED Visible?	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N
Cell Phone powered on?	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N
Other PED powered on?	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N
Use of Cell Phone?	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N
Use of all other PEDs?	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N
Damage or Blocking of Camera?	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N

Note: If a violation is observed, fill out PART B of this form

CPUC General Order 172 Compliance Audit

PART B:

(To be filled out when observing a violation)

Details of Violation-

Out of Compliance TO's Name: _____

Employee I.D. #: _____

Date Reviewed: _____

Time Reviewed: _____

Car #: _____

Run #: _____

Video Date: _____

Video Time Start: _____

Video End Time: _____

Description of Violation:

Notification to ACTO/Manager: Yes _____ No _____ Name _____

Date of Notification: _____ Time of Notification: _____ AM PM

Name of Employee Reporting Violation: _____

TSS 99 ANY OTHER FAILURES

OBJECTIVE

“Any other failure” category was created to record rule violations not covered by existing compliance checks.

APPLICABLE RULES

All rules in TOM, OR&P and Foreworker Manual

EXERCISE LOCATION

Exercise may be performed anytime supervisor observes a qualified Train Operator or a Tower Foreworker performing their assigned duties.

PREPARATION

Exercise can be done while performing daily activities. When positive rules compliance is observed it is not always necessary to enter that fact as a compliance check. A rule violation can create risk to the employee and those around them. A supervisor may record the rule violation as an exception under TSS99 compliance check. The supervisor will be required to provide both the rule book name, rule number and comments to complete the exception entry.**

****If a rule violation will result in a discipline, request union steward presence during immediate fact-finding discussion.**

RECORDING INFORMATION

Assisting Manager(s) _____

Employee name	Location	Date/Time	TOM/OR&P FW Manual Rule Number	Additional Comments

Record your observations in Maximo database.