

ATTACHMENT B: SAFETY AND SECURITY CHECKLIST

| Central Subway Project Overview | | | |
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| Project mode (Rail, Bus, BRT, Multimode) | Light Rail Transit | | |
| Project phase (Preliminary Engineering, Design, Construction, or Start-up) | Construction | | |
| Project Delivery Method (Design/Build, Design/Build/Operate/Maintain, CM/GC, etc.) | Design-Bid-Build | | |
| Project Plans | <i>Version</i> | <i>Review by FTA/FRA</i> | Status |
| Safety and Security Management Plan | 2011 | 2011 | Update submitted to FTA 02/25/2011. Not submitted to FRA. |
| Safety and Security Certification Plan (SSCP) | 2011 | | SSCP was revised 10/2011. Revision 1 was developed in November 2011. Not submitted to FRA. |
| System Safety Program Plan (SSPP) | 2009 | 2009 | SSPP dated 03/13/2009 submitted to FTA 07/31/2009. Not submitted to FRA. |
| System Security Plan (SSP) or Security and Emergency Preparedness Plan (SEPP) | 2009 | | Not submitted to FTA. Not submitted to FRA. |
| Construction Safety and Security Plan | 2012 | | Health and Safety Construction Safety Standards Revision 3, June 27, 2012 |
| Safety and Security Authority | <i>Y/N</i> | | Notes/Status |
| Is the grantee subject to 49 CFR Part 659 state safety oversight requirements? | Y | | |
| Has the state designated an oversight agency as per Part 659.9? | Y | | California Public Utilities Commission (CPUC) Consumer Protection & Safety Division 505 Van Ness Avenue San Francisco, CA 94102 (415) 703-1017 phone (415) 703-1758 fax Point of contact: Arun Mehta |

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| Has the oversight agency reviewed and approved the grantee's SSPP as per Part 659.17? | Y | SFMTA currently operates its LRT system in compliance with a SSPP approved by the CPUC. These plans will be revised, as required to incorporate the addition of the CSP, during the late construction and early testing phase and submitted to the CPUC for approval prior to the planned start of revenue operations. |
| Has the oversight agency reviewed and approved the grantee's Security Plan or SEPP as per Part 659.21? | Y | See above. |
| Did the oversight agency participate in the last Quarterly Program Review Meeting? | Y | |
| Has the grantee submitted its safety certification plan (SCP) to the oversight agency? | Y | SFMTA submitted the SSCP to CPUC staff for review and Commission approval during the preliminary engineering phase. The plan was approved in March 2009. Once completed, the SSCP revised in November 2011 will be submitted to the CPUC for approval. |
| Has the grantee implemented security directives issues by the Department Homeland Security, Transportation Security Administration? | N/A | Currently, there are no TSA directives or programs applicable to the project. If any arise during the course of the project, the activities to comply will be developed and shown on a revision of the project safety and security activities schedule. |
| SSMP Monitoring | | |
| Is the SSMP project-specific, clearly demonstrating the scope of safety and security activities for this project? | Y | The PMOC reviewed the CSP SSMP and provided a spot report to FTA in May 2011. FTA approved the CSP SSMP on May 16, 2011. A follow-up Adherence Audit was conducted September 14-16, 2011. The audit found that CSP is conducting its activities in accordance with the SSMP. |
| Grantee reviews the SSMP and related project plans to determine if updates are necessary? | Y | Grantee plans to update the SSMP in May 2013. |

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| Does the grantee implement a process through which the Designated Function (DF) for Safety and DF for Security are integrated into the overall project management team? Please specify. | Y | Safety and security are under the direction of the SFMTA Safety and Security Manager and supplemented by Project Management / Construction Management consultant staff, including a Safety and Security Certification professional who has been dedicated to supervise project Safety and Security Certification. |
| Does the grantee maintain a regularly scheduled report on the status of safety and security activities? | Y | Construction activities are reported in the weekly construction progress meetings and the CSP Monthly Progress Report. |
| Has the grantee established staffing requirements, procedures and authority for safety and security activities throughout all project phases? | Y | |
| Does the grantee update the safety and security responsibility matrix/organizational chart as necessary? | Y | The PMOC found the revised matrix in the SSMP, rev. 1, 02/08/11, to be compliant. |
| Has the grantee allocated sufficient resources to oversee or carry out safety and security activities? | Y | |
| Has the grantee developed hazard and vulnerability analysis techniques, including specific types of analysis to be performed during different project phases? | Y | CSP has prepared a Preliminary Hazard Analysis Report, Rev. 0, April 23, 2009. Corrective actions and analysis for different project phases have been identified in the report. |
| Does the grantee implement regularly scheduled meetings to track to resolution any identified hazards and/or vulnerabilities? | Y | |
| Does the grantee monitor the progress of safety and security activities throughout all project phases? Please describe briefly. | Y | Safety & Security is an ongoing agenda item on the current construction contract (1252). |
| Does the grantee ensure the conduct of preliminary hazard and vulnerability analyses? Please specify analyses conducted. | Y | |

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| Has the grantee ensured the development of safety design criteria? | Y | |
| Has the grantee ensured the development of security design criteria? | Y | |
| Has the grantee ensured conformance with safety and security requirements in design? | Y | Certification checklists are developed and certified. |
| Has the grantee verified conformance with safety and security requirements in equipment and materials procurement? | Y | Safety and Security Conformance checklists have been prepared for each of the construction contracts. |
| Has the grantee verified construction specification conformance? | Y | |
| Has the grantee identified safety and security critical tests to be performed prior to passenger operations? | N | Currently being developed. |
| Has the grantee verified conformance with safety and security requirements during testing, inspection and start-up phases? | N | Project is in early stages of construction. |
| Does the grantee evaluate change orders, design waivers, or test variances for potential hazards and /or vulnerabilities? | Y | |
| Has the grantee ensured the performance of safety and security analyses for proposed work-arounds? | N/A | |

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| <p>Has the grantee demonstrated through meetings or other methods, the integration of safety and security in the following:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Activation Plan and Procedures <input type="checkbox"/> Integrated Test Plan and Procedures <input type="checkbox"/> Operations and Maintenance Plan <input type="checkbox"/> Emergency Operations Plan | N/A | Currently being developed. An Integration Matrix has been implemented for all disciplines including safety and security concerns. |
| Has the grantee issued final safety and security certification? | N | Project is in early construction phase. |
| Has the grantee issued the final safety and security verification report? | N | Project is in early construction phase. |
| Construction Safety | | |
| Does the grantee have a documented/ implemented Contractor Safety Program with which it expects contractors to comply? | Y | Health and Safety Construction Safety Standards Revision 3, June 27, 2012 |
| Does the grantee's contractor(s) have a documented companywide safety and security program plan? | Y | |
| Does the grantee's contractor(s) have a site-specific safety and security program plan? | Y | There is currently one contractor that has a plan. Contract documents require that the contractor develops an Environmental Health and Safety Program, specific to the contract work. |
| Provide the grantee's OSHA statistics compared to the national average for the same type of work? | Y | Provided in the Central Subway Monthly Progress Report |
| If the comparison is not favorable, what actions are being taken by the grantee to improve its safety record? | N/A | Statistics are favorable. No action is needed. |

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| Does the grantee conduct site audits of the contractor's performance versus required safety/security procedures? | Y | |
| Federal Railroad Administration | | |
| If shared track: has grantee submitted its waiver request application to FRA? (Please identify specific regulations for which waivers are being requested) | N/A | No shared track. No waivers are anticipated. |
| If shared corridor: has grantee specified specific measures to address shared corridor safety concerns? | N/A | |
| Is the CHA underway? | N/A | |
| Other FRA required Hazard Analysis – Fencing, etc.? | N/A | |
| Does the project have Quiet Zones? | N | |
| Does FRA attend the Quarterly Review Meetings? | N | |

N/A = Not applicable.