



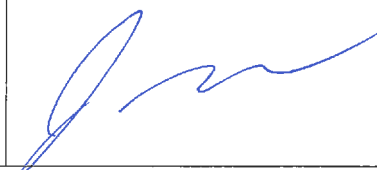
Caltrain Site Specific Work Plan
Policy and Procedures



TABLE OF CONTENTS

REVISION HISTORY.....	2
DEFINITIONS.....	3
SSWP ROLES AND RESPONSIBILITIES.....	4
SSWP PROCESS OUTLINE.....	5, 6, 7, 8
SSWP EXCAVATING & POT HOLING PROCEDURES.....	9
FIBER STRIKE PLAN.....	10
APPENDIX A – SSWP FINAL ACCEPTANCE FORM.....	11
APPENDIX B – SSWP RESOURCE ALLOCATION SIGN OFF FORM.....	12
APPENDIX C – TRACK ACCESS & MANPOWER SUPPORT SIGN OFF FORM.....	13
APPENDIX D – SSWP REQUIREMENTS FOR CUSTOMER SERVICE.....	14
APPENDIX E – CENTRAL CONTROL FACILITY ACCESS FORM.....	15
APPENDIX F – SSWP FORMS.....	16
APPENDIX G – REQUEST TO WORK APPLICATION.....	17
APPENDIX H – REQUEST TO WORK SPREAD SHEET.....	18

REVISION HISTORY

Revision #	Date	Description	Author	Approved By
0	8/22/16	FINAL	Matthew Verhoff	
1	1/16/17	Procedure Changes and Updated Contact Names	Matthew Verhoff	
2	11/6/17	Updated Contact Names with SSWP Committee and Fiber Strike Plan	Matthew Verhoff	

ACRONYMS & DEFINITIONS

RWIC – Roadway Worker In Charge

PCJPB or JPB – Peninsula Corridor Joint Powers Board

RTW – Request To Work

ROW – Right Of Way

SSWP – Site Specific Work Plan

TASI – Transit America Services Inc. (Current Contract Operator)

TAW – Train Approach Warning

USA/811 – Underground Service Alert

LOTO – Lock Out Tag Out

Basic Service Plan (BSP) – BSP work is regular maintenance required on the tracks and right of way.

Emergency Activity – Any unplanned occurrences that could not be scheduled in the standard SSWP Process, or act of nature that affect the normal operations of trains and the proper functioning of the Signal System, Communications, Dispatch System, Utilities and Track Infrastructure.

JPB Track Access Manager – Conducts the weekly SSWP meetings to review the ROW activities of the current week, and the (3) week look ahead.

Non-Routine Activity – Any activity that requires specific support, and needs to be scheduled at a specific time to mitigate impact on train operations.

Project Manager (PM) – The individual who is in charge of a specific project.

Program Manager Construction Services – Provides direction to RE and Construction Management staff on processes of access and support provided by Operations and TASI. Also, determines the final allocation of resources provided by TASI based on project priorities.

Resident Engineer (RE) – This individual provides support to the Project Manager, and manages the daily activities of the contractor and its sub-contractors along the ROW. The RE's office is located on the project site.

Routine Activity – Any activity that can be performed either day or night which does not affect operations of trains or any JPB Operating System and does not require any specific support.

SSWP Administrator – Receives all Request To Work (RTW) applications and spreadsheets and implements them into the current and (3) week look ahead schedule.

SSWP Review Committee – A committee with defined roles to review all SSWP work plans. These defined roles include Safety & Security, Track, Stations, Signal, Communications, Utilities, Infrastructure and Operations.

SSWP Representative – The individual selected by the Project's Manager to represent the activities of the project along the ROW and must attend the weekly SSWP meetings in person.

SSWP ROLES AND RESPONSIBILITIES

PCJPB SSWP Review Committee Members

The following Agency SSWP Committee Members will receive and review and provide comments related to their expertise. If no comments are received within the time-line indicated for review, the Resident Engineer/Project Manager will proceed to approve the plan once they have reviewed the plan. **It is each member's responsibility to provide coverage when they are absent.**

Agency	Representatives	Contact	Phone #	Email
JPB	Track Access Manager	Matt Verhoff	650.508.7722	verhoffm@samtrans.com
JPB	Operations	Matt McKisson	916.407.9374	mcKissonm@samtrans.com
JPB	Safety	Joe Acosta	650.208.5690	acostaj@samtrans.com
JPB	Track	Rick Peredia	650.508.7941	perediar@samtrans.com
JPB	Signal	Rick Bartholomew	650.622.7801	BartholomewR@samtrans.com
JPB	Communications	Randy Bales	650.533.4080	BalesR@samtrans.com
JPB	Structures and Engineering	Bin Zhang	650.508.7999	ZhangB@samtrans.com
JPB	Passenger Stations	Mike O'Donnell	650.339.6399	odonnellm@Samtrans.com
JPB	Utilities	Jason Wright	650.826.1875	wrightj@Samtrans.com
JPB	3 rd Party Support	Anthony Quicho	650.508.7962	quichoa@samtrans.com
JPB	Program Manager Const. Serv.	Alfred Darmousseh	650.444.5732	darmousseha@samtrans.com

Operation & Maintenance Contractor SSWP Coordinators

The following Contractor Coordinators will be responsible to attend weekly SSWP meetings, and confirm the proper support for each activity on the ROW. They will also sign off on Major SSWP and Work Plans indicating they concur with the SSWP and Work Plan that affects their area of expertise, and will commit to providing support for the activity.

It is the coordinators responsibility to provide coverage when they are not available.

Contractor	Representatives	Contact	Phone #	Email
TASI	Operations	Bert Frazier	408.307.2037	bfrazier@tasi.com
TASI	Safety	James Unger	408.221.3727	junger@tasi.com
TASI	Track	Jason Kallstrom	408.386.5889	jkallstrom@tasi.com
TASI	Utilities, Signals, Comms	Julian Alvarez	408.439.8632	jalvarez@tasi.com
TASI	Structures and Bridges	Steven Broyles	408.961.3541	sbroyles@tasi.com
TASI	Passenger Stations	Seth Worden	408.961.4351	sworden@tasi.com

SSWP Submittals

The following chart provides an overview of SSWP submittals and approvals.

Type of Work	Who develops the SSWP?	To whom is the SSWP submitted?	Who distributes SSWP for review?	Who approves SSWP?
JPB Capital Projects	Contractor	Resident Engineer	Resident Engineer	SSWP Review Committee
JPB Cal-Mod	Contractor	SSWP Representative	SSWP Representative	SSWP Review Committee
JPB Utility Relocation	Utilities	Utility Engineer	Resident Engineer / SSWP Representative	SSWP Review Committee
3 rd Party Projects	Contractor	JPB 3 rd Party Manager	JPB 3 rd Party Manager	SSWP Review Committee
Contractor MOW – Track (Non-BSP)	Contractor - Track Senior Superintendent	JPB Track Manager	JPB Track Manager	SSWP Review Committee
Contractor MOW – Signal (Non-BSP)	Contractor Senior Superintendent	JPB Signal Manager	JPB Signal Manager	SSWP Review Committee
Contractor Stations State of Good Repair	Contractor - Signal Senior Engineer	JPB Stations & Track Access Manager	JPB Stations & Track Access Manager	SSWP Review Committee

SSWP PROCESS OUTLINE

The following is an overview of the SSWP process with set deadlines for each step.

STEP 1: Major SSWP vs Minor SSWP

- Before starting the initial review process, the work plan must be determined if it's a Major or Minor SSWP.

A Major SSWP is a work plan that entails the following activities and requires a full review from the SSWP committee.

- Weekend Cutover (Any modification to Track / Signal / Communication Equipment
- Form C / Track & Time with single tracking
- Form B
- Any type of signal and/or track work
- Excavation within JPB ROW
- Operation of Contractor Equipment on Track
- Request for Owner Furnished Equipment – Stabilizer / Ballast Cars
- TASI Rail Equipment during revenue hours
- Station improvements (Operation Impact i.e. TVM / VMS / Platform Construction)
- Requires Ambassador

A Minor SSWP is a work plan that entails the following activities and DOES NOT require a full review from the SSWP committee. The Resident Engineer and/or Project Manager can sign off on the work plan and submit it with the RTW Application and RTW Spreadsheet without SSWP committee review.

- Station Work (No protection or Ambassador requested/required)
- TASI typical Maintenance (BSP)
- Track & Time in between trains to perform minor activities. (hand tools)
- Survey / photo (outside of 15 feet)
- Work in Parking Lot
- 3rd Party requests that don't require OTS protection.

STEP 2: SUBMITTAL FOR INITIAL REVIEW

- A Major SSWP Draft must be submitted by the contractor to the Resident Engineer and/or SSWP Representative **at least (6) weeks (42 calendar days) before an activity is scheduled to occur.**
- Within **(5) calendar days** of the initial Major SSWP Draft submittal, the RE and/or SSWP Representative will hold a Major SSWP initial review meeting. They will invite the contractor and the required JPB SSWP Review Committee Members to evaluate and analyze the contractors work plan together. Comments and questions will be provided to the contractor during the meeting. The contractor must address all comments and questions received, and incorporate all changes as noted by the reviewers and resubmit the Major SSWP Draft to the RE and/or SSWP Representative to be distributed for concurrent initial review by all JPB SSWP Committee Members and the Contractor Coordinators.

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31	32	33	34	35
36	37	38	39	40	41	42

STEP 3: SUBMITTAL FOR INITIAL ACCEPTANCE REVIEW

- After Step 2, concurrent reviewers must review and respond to the RE and/or SSWP Representative within **(5) calendar days** for the Step 2 review.

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31	32	33	34	35
36	37	38	39	40	41	42

- The contractor must address all comments and questions received in the Step 3 initial acceptance review, and incorporate all changes as noted by concurrent reviewers and resubmit the SSWP to the RE and/or SSWP Representative within **(5) calendar days** for the Final Review.

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31	32	33	34	35
36	37	38	39	40	41	42

STEP 4: SUBMITTAL FOR FINAL ACCEPTANCE

- Within **(3) calendar days** after the contractor resubmits the FINAL work plan to the RE and/or SSWP Representative from the Step 3 initial review, the RE and/or SSWP Representative will send an email with the Major SSWP Final Acceptance Sign Off Form. The email along with the sign off form will be sent to the required JPB SSWP Review Committee Members, and the required Contractor Coordinators. The Final Acceptance Form must be signed and returned (emailed) back to the RE and/or SSWP Representative within the 3 day period.

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31	32	33	34	35
36	37	38	39	40	41	42

- Within **(1) calendar day** after the Final Acceptance and sign off, the RE and/or SSWP Representative must submit the Contractors Request To Work (RTW) application with the RTW# located on the upper left corner of the document.. The RTW# will be tracked on the weekly SSWP to determine if manpower support has been assigned to the specific activity or not. **(See Appendix G & H)**
The RTW application should include the RTW spreadsheet and sent to the SSWP Administrator no later than Friday at 12 PM, (22) calendar days prior to the activity.

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31	32	33	34	35
36	37	38	39	40	41	42

STEP 5: PUBLIC OUTREACH

- If the approved Major SSWP and/or work plan involves activities that will impact our customers (i.e. single tracking, station work and parking lot impacts) the RE and/or SSWP Representative must submit a “Request for Messaging to Customer Form” no later than Friday at 12 PM, (22) calendar days prior to the activity, to the Marketing Department.

Please email form to Mary Knuckles knucklesm@samtrans.com 650.508.6356

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31	32	33	34	35
36	37	38	39	40	41	42

STEP 6: SCHEDULING TRACK ACCESS & MANPOWER SUPPORT

- SSWP Meetings are held weekly on Tuesday’s at 9 AM in Menlo Park at 4000 Campbell Ave.
- A conference call in number is available for those who cannot physically attend the meeting.
- The SSWP Meeting is designed to review all activity along the Caltrain ROW and assign support to each project. Each project will establish a SSWP Representative who will attend the weekly SSWP meetings and represent the project. The SSWP Representative is responsible to make certain the work plan is approved, and submitted on time per the SSWP Policy. **Any activity with an unapproved Work Plan will not be considered for track access.**

STEP 7: TRACK ACCESS & MANPOWER SUPPORT MITIGATION

In the event there are not enough resources from the Contractor Coordinator to support all the requests from the projects, the Program Manager of Construction Services will determine the final allocation of resources provided by TASI based on project priorities. The Program Manager of Construction Services will fill out and sign the resource allocation document stating what project was supported and the reasoning behind it. The form with signature and reasoning will be sent by the Program Manager of Construction to the Project Managers that were impacted for their records and document control.

STEP 8: TRACK ACCESS & MANPOWER SUPPORT SIGN OFF

After the SSWP meeting, the Track Access and Manpower sign off sheet will be passed around for all required signatures. This sign off sheet will document JPB’s and the O&M Contractor’s approval for manpower support, track access, and track protection. The SSWP Administrator and/or their representative will email the final form with signatures to the SSWP committee for their records and document.

STEP 9: SSWP CANCELATIONS

The contractor must provide **(5) days’ notice** (or per individual contract requirements) if they are to cancel their scheduled work with owner furnished labor & equipment. If the contractor cancels the scheduled work after receiving approval with **less than (5) days’ notice**, (or per the individual contract) the Contractor will be assessed costs of Owner furnished labor and equipment. *Note: This does not include “rain days”.

All cancellation correspondence will be done by emailing the “SSWP Group Email” and CC’ing the proper project management staff. The PM and/or RE will also call TASI Track, Signal, and Ops Liaison Representatives, including the JPB Ops Liaison as well. This will ensure the proper personal received the notification.

***Note - If a Form B or Form C is involved with your work activity cancellation, the cancellation notification must be given to CCF before 11 AM.**

STEP 10: SSWP EMERGENCY ACTIVITIES & ADDED MANPOWER

The following is an overview of the SSWP Emergency Activity process:

Any project requesting an Emergency Activity and/or added manpower outside the SSWP Policy and Procedure must have the approval from the Director of Rail Operations or their designee, before requesting the Emergency work to the SSWP Committee.

Director Rail Ops – Joe Navarro

navarroj@samtrans.com

650.339.3165

- All approved EMERGENCY track protection, approved work plans, and manpower support changes from **Tuesday through Friday** must be submitted **within 24 Hours** of the planned activity.
(Example: 9 AM Form C changes for April 3rd must be submitted by 9 AM on April 2nd)

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
1	2 Submittal	3 Revised Activity Date	4	5	6	7

- All approved EMERGENCY track protection, approved work plans, and manpower support changes for **Saturday and Sunday** must be submitted and approved no later than **12 PM on the previous Thursday**.
(Example: Changes for Saturday April 6th and/or Sunday April 7th must be submitted by Thursday April 4th at 12 PM.)

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
1	2	3	4 Submittal	5	6 Revised Activity Date	7 Revised Activity Date

- All approved EMERGENCY track protection, approved work plans, and manpower support changes for the **following Monday** must be submitted no later than **12 PM on the previous Thursday**.
(Example: Changes for Monday April 8th must be submitted by Friday April 5th at 12 PM.)

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday	Monday
1	2	3	4 Submittal	5	6	7	8 Revised Activity Date

SSWP EXCAVATING & POTHOLING PROCEDURES

The following is an overview of the REQUIRED pre-requisite activities that must occur before a project performs any excavations or potholing activities within the ROW.

As defined by California Law, the following definitions apply:

- **Excavation** – any operation in which earth, rock, or other material in the ground is moved, removed, or otherwise displaced by means of tools or equipment in any of the following ways:

Grading – Trenching – Digging – Ditching – Drilling – Auguring – Tunneling – Scraping, Cable or Pipe plowing and driving – or any other way.
- **Excavator** – any person, firm, contractor, or subcontractor, owner, operator, utility, association, corporation, partnership, business, trust, public agency, or other entity that, with their own employees or equipment performs any excavation.

Any excavation proposed within the Caltrain “Zone of Influence” will need to be reviewed in accordance with PCJPB shoring standards. Potholing will be done with approval by the JPB Engineer. Hydro Vac. and Wet Vac. Practices will not be allowed on “Live/Energized AC/DC power circuits, conduits, and raceways.

Lock Out Tag Out (LOTO) will need to be approved in the SSWP prior to De-energizing circuits for Potholing. (This requires the contractor to have made the proper request with said utility)

SAFETY NOTE: Excavations shall meet Title 8, Construction Safety Orders, Article 6, Excavations, and compliance requirements as a minimum."

Anytime a project needs to perform any excavation or pothole along the Caltrain ROW, the Contractor and/or responsible party for that project must contact the following parties to mark out their utilities before any digging occurs:

- USA – Public Utilities and Public Fiber – 1.800.227.2600 or 811 (Northern California)
**Note: Caltrans IS NOT part of the USA procedure*
- TASI Signal – JPB Signal and Communication Lines – Julian Alvarez jalvarez@tasi.com 408.439.8632
- JPB Utilities – Jason Wright wrightj@samtrans.com 650.826.1875

UNDER GROUND INCIDENT REPORTING

**SUSPICIOUS INCIDENTS
CALL TRANSIT POLICE
(877) 723-7245**

UNKNOWN CONDUIT / CABLE

1st - CCF Notification - MTO (408) 271-4987 AND Security (650) 339-4282
Jason Wright - Utility Coordinator (650) 838-1090 / (650) 826-1875
Resident Engineer & Project Manager

SIGNAL CABLE

1st - CCF Notification - MTO (408) 271-4987 AND Security (650) 339-4282
Robert Sutton, TASI Signal/Comm Supervisor (408) 961-3548 / (408) 582-4044
Rick Bartholomew, JPB Signal Mgr. (650) 622-7801 / (650) 438-4673

FIBER OPTIC CABLE

1st - CCF Notification - MTO (408) 271-4987 AND Security (650) 339-4282
Robert Sutton, TASI Signal/Comm Supervisor (408) 582-4044
Julian Alvarez, TASI Signal/Comm Supervisor (408) 439-8632
Randy Bales, JPB Communication Mgr. (650) 533-4080
Matt Scanlon, JPB Asst Director - (650) 622-7819
Jason Wright - Utility Coordinator (650) 838-1090 / (650) 826-1875

Provide The Following:

- 1) Location
- 2) Pictures
- 3) Description of what happened
- 4) Contact Information

*Meet with Randy Bales at the site to assess extent of damage and to determine steps forward to repair fiber.

*The contractor is responsible for the damage, excavating, testing, and repair of the fiber

*TASI will assure the signal system is operating as designed via fiber or radio back up.

POWER CABLE

1st - CCF Notification - MTO (408) 271-4987 AND Security (650) 339-4282
Robert Sutton, TASI Signal/Comm Supervisor (408) 961-3548 / (408) 582-4044
Jason Wright - Utility Coordinator (650) 838-1090 / (650) 826-1875

TICKET VENDING MACHINE

1st - CCF Notification - MTO (408) 271-4987 AND Security (650) 339-4282
TVM Maintenance (650) 508-6408 (Option 3 field technician)
Michael O'Donnell (650) 508-6342
Gary Cox - (650) 508-7986

CLIPPER CIDs EQUIPMENT

1st - CCF Notification - MTO (408) 271-4987 AND Security (650) 339-4282
CUBIC Maintenance (866) 998-1888
Gary Cox (650) 508-7986
Michael O'Donnell (650) 508-6342

CCTV

1st - CCF Notification - MTO (408) 271-4987 AND Security (650) 339-4282
Richard Maddox, Ojo CCTV Maintenance, (510) 619-9710
Randy Bales, JPB Communications Mgr. (650) 533-4080

The above calls / notifications are to be made ASAP. If no answer leave a message with the following information:

- 1) Type of Cable Damage
- 2) Location of the Incident
- 3) Your Contact Information

Follow-up with an e-mail documenting the incident in detail and what actions have been taken to resolve the issue. Cc: Liria Larano, Rafael Bolon, Alfred Darmousseh, Joe Navarro, Matt Scanlon and Resident Engineer / Project Manager.

MAJOR SSWP FINAL SIGN OFF FORM

This Form will be used in Step 4 of the Major SSWP Final Acceptance process.

APPENDIX A



CALTRAIN SSWP APPENDIX A

Major SSWP Final Acceptance Form

Date:

Project:

Major SSWP #

Project Manager

Project Resident Engineer

JPB Track Access Manager

JPB Manager Construction Services

JPB Safety Representative

JPB Engineering Director or Representative
(Structures, Signal, Comm, Track)

JPB Rail Operations Director or Representative
(Including Stations)

JPB Utilities Representative (If applicable)

JPB 3rd Party Support Representative
(If applicable)

TASI Rail Operations Representative

TASI Engineering Representative
(Structures, Signal, Comm, Track, Stations and Parking)

MAJOR SSWP RESOURCE ALLOCATION & MITIGATION SIGN OFF FORM

In the event there are not enough resources from the Contractor Coordinator to support all the requests from the projects, the Program Manager of Construction Services will determine the final allocation of resources provided by TASI based on project priorities. The Program Manager of Construction Services will fill out and sign the resource allocation document stating what project was supported and the reasoning behind it

APPENDIX B



CALTRAIN SSWP APPENDIX B

SSWP RESOURCE ALLOCATION SIGN OFF FORM

Date:

Project:

Explanation for resource allocation:

JPB Manager Construction Services

TRACK ACCESS & MANPOWER SUPPORT SIGN OFF SHEET

After the SSWP meeting, the Track Access and Manpower sign off sheet will be passed around for all required signatures. This sign off sheet will document JPB's and the O&M Contractor's approval for manpower support, track access, and track protection.

APPENDIX C



CALTRAIN SSWP APPENDIX C

Track Access and Manpower Support Sign Off

Date:

SSWP Week #:

JPB Track Access Manager

JPB Manager Construction Services

TASI Track Representative
(Structures, Track, Stations and Parking)

TASI Signal Representative
(Signal, and Comm,)

SSWP REQUIREMENTS FOR THE CUSTOMER COMMUNICATION DIVISION

The following is an overview of the SSWP requirement for Marketing and Customer Service notifications:

When a project impacts our customers in any way, the SSWP Representative must submit a Request for Message to Caltrain Customers Form. This form must be submitted **a minimum of 22 days** prior to the work.

Examples of projects impacting customers:

- Track Outages
- Parking Lot Outages
- Passenger Station Work

APPENDIX D

CCF ACCESS FORM

When any activity requires access into the Central Controlled Facility (CCF), this form must be filled out with approved signatures, and submitted with the Request To Work application, spreadsheet, and approved work plan.

APPENDIX E

CALTRAIN SSWP APPENDIX E



Title: CCF Access Policy

Approved:

A handwritten signature in blue ink, appearing to read "Joe Navarro", written over a horizontal line.

Joe Navarro – Director Rail Transportation

Date of Policy – April 30th 2013

Date of Personnel Change – June 20th 2016

Departmental Distribution:

JPB Rail Transportation (originator); JPB Maintenance, JPB Construction and Engineering, JPB Marketing and Customer Service, JPB Public Affairs and Government Relations, TASI Transportation and Operations, TASI Maintenance of Way, TASI Maintenance of Equipment, TASI Customer Service and Support, and TASI Safety and Training



Contents

CCF Access Policy.....	3
Purpose/Intent	3
Badge Access	3
Main Access to CCF (Two Exterior Doors, Dispatching Floor and EOC/DOC).....	3
CEMOF Server Room (Located within the CCF).....	4
Access for Business Purposes.....	4
Advanced Permission for Projects.....	4
Emergency Access to CCF.....	5
Urgent Access to CCF – JPB Employees.....	5
Immediate Access to CCF – TASI Employees.....	5
Access for Tours.....	5
Guidelines and Prohibitions	6
Pictures.....	6
Cell Phones.....	6
Conversations.....	6
Propping Doors.....	6
Violations.....	6
Caltrain CCF Advanced Access Permission Form.....	7
Caltrain CCF Urgent Access Permission Form	8
Caltrain CCF Tour Request Form	9



CCF Access Policy

Purpose/Intent

The Central Control Facility (CCF) is a security and safety sensitive location. Only those with legitimate business purposes will be permitted to access the CCF and CEMOF server room. In addition, this policy outlines the prohibited activities to ensure that those who are on the premises are not disrupting the dispatching of the railroad.

The policy will outline those positions that can have badge access to the CCF, including the CEMOF server room. It will also guide how permission to access the CCF will be given to those without badge access. This policy will apply to all TASI and JPB employees, along with any other contractors.

Badge Access

Badge access to the CCF will be given to those whose job description requires access to the CCF. Exceptions may be made on case by case basis. Written justification must be given to the Manager, Rail Operations who will make the determination.

Main Access to CCF (Two Exterior Doors, Dispatching Floor and EOC/DOC)

The following positions will be permitted to have badge access to the CCF exterior door, dispatching floor and DOC.

TASI Employees

General Manager
Deputy General Manager, Operations
Director, Train Operations (DTO)
Assistant Director, Train Operations
Manager, Field Operations
Manager, Train Operations (MTO)
Road Foreman of Engines
Trainmaster
Supervisor, Train Operations
Communications Clerk
Senior Superintendent, Communications and Signals
Superintendent, Communication and Signals
Radio Technician
Data Technician
IT Specialist
Janitorial Staff (for the purposes of cleaning the facility)

JPB Employees

Director, Rail Transportation
Manager, Rail Operations



CEMOF Server Room (Located within the CCF)

The following positions will be permitted to have badge access to CEMOF Server Room. If the position has access to the Server Room, but does not have main access to CCF, that person will need to follow the policy for access to the building as specified in Access for Business Purposes.

TASI Employees

- General Manager
- Director, Train Operations
- Assistant Director, Train Operations
- Manager, Train Operations
- Senior Superintendent, Communications and Signals
- Superintendent, Communication and Signals
- Radio Technician
- Data Technician
- IT Specialist

JPB Employees

IT employees as authorized by the Director, Information Technology and Telecommunications

Access for Business Purposes

Anyone who does not have badge access must receive authorization prior to accessing the CCF.

Advanced Permission for Projects

An employee or contractor who needs access to the CCF must request permission through the SSWP process. The project manager will submit the Advanced Permission Form to the DTO with all fields filled out. The DTO (or designee) will approve, approve with changes, or reject the request. Any rejections will specify the reason behind the rejection and what needs to be corrected in order for permission to be granted.

Work should be planned during non-revenue hours. If work must be done during revenue hours, a detailed explanation must be given. Furthermore, no more than two project members may be on the dispatching floor at any time. Any other personnel who need to be on site, must be in the DOC or in the break room to supervise the work.

Any project team that does not adhere to the conditions on the Advanced Permission Form will be asked by TASI Operations Management to discontinue their work and vacate the premises. These instances will be immediately reported to the JPB Duty Officer who will in turn report the incident to the Director, Rail Transportation for further escalation, as necessary.

Temporary Access

Temporary badge access may be granted for long term projects that will be performed at the CCF, which must also be authorized by the JPB Manager, Rail Operations.



Emergency Access to CCF

Anyone needing spontaneous access to the CCF as the result of a railroad related emergency or natural disaster should request access by calling the on-duty MTO.

Urgent Access to CCF – JPB Employees

Should there be an instance when access is needed outside of the SSWP process or within a more immediate time frame, access must be requested from the JPB Duty Officer. The following information shall be included in the request:

- 1) Name and title of person requesting access
- 2) Phone number and email of person requesting access
- 3) The names and titles of those who will be performing the work
- 4) Nature of work to be performed
- 5) Time requested to be in the CCF
- 6) Reason for the timeliness of the request

Should the JPB Duty Officer determine that the request is valid, the JPB Duty Officer will contact the highest ranking manager at the CCF for final authorization. Should the CCF manager concur, permission will be granted via email using the Urgent Access Permission Form. The email will be sent by MTO and will be sent to the person requesting access, DTO, and the JPB Manager of Rail Operations.

Note: No more than two project members may be on the dispatching floor at any time. Any other personnel who need to be on site, must be in the DOC or in the break room to supervise the work. Any project team that does not adhere to the conditions on the Urgent Access Permission Form will be asked by TASI Operations Management to discontinue their work and vacate the premises. These instances will be immediately reported to the JPB Duty Officer who will in turn report the incident to the Director, Rail Transportation for further escalation, as necessary.

Immediate Access to CCF – TASI Employees

It is recognized that some TASI employees may need spontaneous access to the CCF as part of their work. Those employees should request access by consulting with the on-duty MTO.

CCF Employees

Those persons whose offices are located within the CCF must not allow unauthorized persons to access the CCF building. However, the CCF employee may escort someone into the building for the purposes of a business meeting with that CCF employee in their office or to escort anyone who has badge access to the Server Room.

Access for Tours

Tours may only be arranged through the JPB Manager, Rail Operations using the CCF Tour Request Form. Tours must be requested at least one month in advance. Upon JPB approval, the Manager, Rail Operations will submit the request to the DTO for final approval. The requestor will be notified no later than two weeks prior to the tour date of the decision. Tour groups may only view the dispatching floor from the DOC. Access to the dispatching floor to tour groups is strictly prohibited.



Guidelines and Prohibitions

The following guidelines apply to anyone granted access to the dispatching floor, regardless of type of authorization.

Pictures

Taking pictures in the dispatch center is strictly prohibited. Any requests for an exception must be directed to the Manager, Rail Operations.

Cell Phones

No personal cell phones will be permitted on the dispatch floor. Personal cell phones may be kept within one of the private offices or stored in a locker in the break room.

Railroad/business provided cell phones are permitted on the dispatch floor but must be kept on vibrate. With the exception of the MTO using the Push To Talk Nextel phone, any phone calls made on a cell phone must be conducted in one of the private offices or the copy room. Cell phone calls are permitted in all other parts of the building.

Conversations

Conversations on the dispatch floor are to be done at a very low volume and must be kept to a minimum. Extended conversations should be done in a private office, the copy room, or outside the dispatch floor.

Propping Doors

The propping of doors to circumvent this policy is strictly forbidden. Should it be discovered that a door has been propped open, the person responsible will have all privileges to the CCF revoked.

Violations

Violations will be immediately reported to the Director, Rail Transportation. Anyone who violates this policy may have their access temporarily or permanently revoked by the Director, Rail Transportation.



Caltrain CCF Advanced Access Permission Form

Permission has been granted to the following personnel to perform emergency work within the CCF as outlined below

Name of Project:

Name and Title of Project Manager:

Phone and Email Information for Project Manager:

Provide a general outline of tasks to be performed, materials required and work methods to be used:

--

Date and time of work (must be during non-revenue hours):

--

If requesting to work during revenue hours, provide full explanation for request:

--

Names/title and employer of personnel who will be performing the work:

--

To be completed by TASI Director, Train Operations (or designee)

	Project may proceed as proposed
	Project may proceed with the following changes:
	Project is denied for the following reasons:

Date

Signature

To be completed by JPB Manager, Rail Operations if Temporary Badge Access is Requested

--	--

Date

Signature



Caltrain CCF Urgent Access Permission Form

Permission has been granted to the following personnel to perform urgent work within the CCF as outlined below

Name of JPB Duty Officer:

Name and Title of Project Manager:

Phone and Email Information for Project Manager:

Provide a general outline of tasks to be performed, materials required and work methods to be used:

Date and time of work:

Reason for the Request:

Names/title and employer of personnel who will be performing the work:

To be completed by TASI CCF Management

--	--

Date

Signature/Title



Caltrain CCF Tour Request Form

Permission has been granted to the following personnel to perform emergency work within the CCF as outlined below

Name and Title of Requestor:

Phone and Email Information for Requestor:

Provide a general description of the group that would like to tour CCF:

Date and time of tour:

Number of guests:

JPB Person supervising the group:

To be completed by Manager, Rail Operations (or designee)

<input type="checkbox"/>	Tour may proceed as proposed
<input type="checkbox"/>	Tour is denied for the following reasons:
<input type="text"/>	JPB Approval
<input type="text"/>	TASI Approval

Date

Signature

SSWP SUBMITTAL FORMS

The following is an overview of the SSWP Forms used in developing work plans, and submitting approved work plans:

SITE SPECIFIC WORK PLAN

This form must be filled out completely and attach any additional documentation required. This is the primary documentation to explain the work activity on the ROW and must be submitted to the individual in charge of the project.

APPENDIX F

Caltrain SSWP Appendix F

SITE SPECIFIC WORK PLAN

--

Work Plan #			
Work Date			
Duration			
Scope of Work			
Location			
Traffic			
Track			
Work Window			
Pre-requisite Conditions			
Nearest Dist. To Track			
Emergency Contact:			
Basic Crew		Equipment	
Additional Crew			
Subcontractor		Equipment	
Additional Equipment			
Tools			
Materials			
Work Procedures			
Description of Work			

REQUEST TO WORK APPLICATION

This form must be filled out with the RTW spreadsheet, and submit it to the SSWP Administrator.

The RTW Form must have a RTW # assigned to it for project tracking (in the left hand corner), and it must include the RTW spreadsheet.

Each project is responsible for managing their own SSWP and RTW submittal logs.

This must be submitted no later than **12 PM on Friday, (22) days preceding the work.**

Per the contract requirements in **Section 01011** (Work Planning) related to RTW and SSWP process.

1.07 REQUEST TO WORK

A. Obtain Engineer's approval of applicable Site Specific Work Plans prior to submittal of a Request to Work.

B. Prepare a Request to Work for every construction task, activity or operation and obtain an Approval to Work prior to performing any such construction task, activity or operation.

APPENDIX G

REQUEST-TO-WORK APPLICATION

SSWP Appendix G



All entries on this RTW Application must be reflected on the RTW Spreadsheet.

RTW # _____

Date _____ JPB Project#: _____ JPB Project Name: _____

SSWP Number _____ Approved Pending TASI WD Number: _____

APPLICANT INFO

Company: _____ Contact _____

Address: _____ Email/Phone: _____

_____ JPB Rep: _____

_____ Email/Phone: _____

PROJECT INFO

City: _____ Streets/Stations: _____

Mile Post _____ to Mile Post _____

Date(s) Requesting: _____ Daily Hours: _____

Project Site Contact: _____ Email/Phone: _____

Meet Place: _____ Phone: _____

Inspections, Locating, Protection anticipated:

DESCRIPTION OF WORK:

ALL PERSONNEL WORKING ON PROJECT SHALL BE JPB SAFETY TRAINED PER FRA REGULATIONS.

1. In order to schedule Inspections, Locating, and/or Protection, JPB Project Manager will return this form, fully completed, to the SSWP Committee by 1:30 PM on FRIDAY, three weeks preceding work. The week begins Monday.
2. Work that requires shoring must include all shoring drawings, stamped and approved by a Registered Civil Engineer and bearing the approval of the JPB.
3. Failure to complete this form accurately may be cause for project delay or shutdown.
4. JPB Project Manager will submit by email to the SSWP committee. sswp@samtrans.com

Applicant Name (please print) Signature Date

Project Manager/Resident Engineer Signature Date

REQUEST TO WORK SPREAD SHEET

This spread sheet must be filled out completely and submitted with the RTW Application.

- Week # - The week the activity will take place.
- Project # and Work Directive #
- Contractor Name
- Mile Post Locations
- City and/or Street
- Type of work
- Project Name
- Type of manpower requested (X = RWIC, W= Watchman, etc.)
- Shift Hours
- Check type of protection (Watchman, Form B, Form C, Track and Time)
- Notes containing meeting place and contact information
- **RTW Manpower Support Approved (A) – RTW Manpower Support Pending (P)**
This reflects that the O&M Contractor has or has not committed to manpower support for individual activities. O&M sign off is required for the current work week, and the following work week.
Example: Week 41 (current work week) and Week 42 must be signed off after the Tuesday SSWP meeting.
- Work Plan # Approved (A) – Work Plan Pending (P)
- Submitter Initials

APPENDIX H

CALTRAIN SSWP APENDIX H

SAMPLE

LINE#	PROJECT# WON#	CONTRACTOR	LOCATION				TYPE OF WORK/ Description of work and potential impact on customers	TASI safety meeting. WED night crew will end shift @ 0400 Day Shift on duty 9 AM							Nightwork	24-Hour Clock Shift	Form B	Form C	Track & Time	NOTES Include MP limits, hours of protection	RTW # Manpower Support Approval P=Pending A= Approved	Work Plan# P=Pending A= Approved	Request Info
			Mile Post	City and Street(s)/Stn(s)	MT 1	MT 2		MT 3	MT 4	MON 2	TUE 3	WED 4	THU 5	FRI 6									
A Ambassador; B Blue Flag; E Signal Tech; S Signal Inspector; M Maintainer; O Working, no protection required; P Pilot; Q Test Train; R Radio Tech; T WorkTrain; U UP Flagman; W Watchman; X Flagger (EIC); Y Track Inspector; Z Stabilizer																							
1							TASI TRAINING RWP	8am-12p		8am-12p		8am-12p								RWP			
1			30.57	Palo Alto	✓	✓	Stanford Home Games Station Prep by TASI Stations													UCLA			
							GIANTS HOME GAMES																
2	BSP	TASI STN MAINT	0.00 - 51.64	All cities on ROW	✓	✓	General Station Maintenance	W	W	W	W	W			0630 - 1500					A	A	DC	
3	BSP	TASI STN MAINT	0.00 - 51.64	All cities on ROW	✓	✓	Station Maintenance - janitorial crew	O	O	O	O	O	O	✓	1830 - 0330					A	A	DC	
4	BSP	TASI STN MAINT	0.00 - 51.64	All cities on ROW	✓	✓	Station Maintenance - landscaping crew	O	O	O	O	O			0630 - 1500					A	A	DC	
5	BSP	TASI STN MAINT	0.00 - 51.64	All cities on ROW	✓	✓	Station Maintenance -pressure washing crew	O	O	O	O		O	✓	2130 - 0500					A	A	DC	
6	BSP	TASI TRACK	0.0 - 50.94	SF- SJ	✓	✓	Hi-Rail Track Inspection		Y		Y		Y	Y	0630 - 1500			✓	T&T as needed	A	A	JK	
7	BSP	TASI TRACK	0.0 - 50.94	SF- SJ	✓	✓	Switches & Turnouts Inspections	Y	Y	Y	Y	Y			0630 - 1500			✓	T&T as needed	A	A	JK	
8	BSP	TASI TRACK	0.0 - 50.94	SF- SJ	✓	✓	Right Of Way Cleanup	W	W	W	W			W	0630 - 1500			✓	T&T as needed	A	A	JK	
9	BSP	TASI TRACK	0.0 - 50.94	SF- SJ	✓	✓	Day Gang Daily Track Maintenance		W	W	W	W	W		0630 - 1500			✓	T&T as needed	A	A	JK	
10	COMM MAINT	TASI COMM	0.0 - 24.0	REDWOOD CITY TO SAN JOSE			TESTING ON CALTRAIN DATA SYSTEMS	R	R	R	R	R			0700 - 1530					A	COMM T&M	JA	
11	RADIO MAINT	TASI RADIO	0.0 - 24.0	REDWOOD CITY TO SAN JOSE			TESTING ON CALTRAIN RADIO SYSTEMS	R	R	R	R	R			0700 - 1530					A	COMM T&M	JA	
12	SIGNAL MAINT	TASI SIGNAL	0.0 - 25.3	SF TO REDWOOD CITY	✓	✓	FRA Testing on all switches and control points.	M	M	M	M	M			0600 - 1400			✓	All sections from CP 4th Street to Redwood City	A	A PCJPB T&M	JA	
13	SIGNAL MAINT	TASI SIGNAL	0.0 - 25.3	SF TO REDWOOD CITY	✓	✓	FRA Testing on all crossings and intermediate signals.	M	M	M	M	M		✓	1400 - 2200			✓	All sections from CP 4th Street to Redwood City	A	A PCJPB T&M	JA	
14	SIGNAL MAINT	TASI SIGNAL	0.0 - 50.94	SF to CP Lick	✓	✓	Basic Signal Maintenance	M	M	M	M	M		✓	2200 - 0600			✓	All sections from SF to CP Lick	A	A PCJPB T&M	JA	
15	SIGNAL MAINT	TASI SIGNAL	0.0 - 46.85	SF TO SAN JOSE	✓	✓	FRA Testing and troubleshooting and follow up.	S	S	S	S	S			0600 - 1400			✓	All sections from SF to San Jose	A	A PCJPB T&M	JA	
16	SIGNAL MAINT	TASI SIGNAL	0.0 - 46.85	SF TO SAN JOSE	✓	✓	Troubleshooting ,trouble calls follow up on transit safe notices,FRA testing	E	E	E	E	E			0600 - 1401			✓	All sections from SF to San Jose	A	A PCJPB T&M	JA	
17	SIGNAL MAINT	TASI SIGNAL	18.19 - 41.49	CP PALM TO CP BOWERS	✓	✓	FRA Testing on all switches and control points.	M	M	M	M		M		0600 - 1400			✓	All sections from CP Palm to CP Bowers	A	A PCJPB T&M	JA	
18	SIGNAL MAINT	TASI SIGNAL	18.6 - 29.22	SIGNAL 18.5/6 TO CP ALMA	✓	✓	FRA Testing on all crossings and intermediate signals.	M	M	M	M			M	✓	1400 - 2200			✓	All sections from Signal 18.8 to CP Alma	A PCJPB T&M	A PCJPB T&M	JA
19	SIGNAL MAINT	TASI SIGNAL	25.30 - 46.85	REDWOOD CITY TO SAN JOSE	✓	✓	FRA Testing on all switches and control points.		M	M	M	M	M		0600 - 1400			✓	All sections from CP 4th Street to Redwood City	A	A PCJPB T&M	JA	
20	SIGNAL MAINT	TASI SIGNAL	25.30 - 46.85	REDWOOD CITY TO SAN JOSE	✓	✓	FRA Testing on all crossings and intermediate signals.		M	M	M	M	M	✓	1400 - 2200			✓	All sections from CP 4th Street to Redwood City	A PCJPB T&M	A PCJPB T&M	JA	
21	BSP	TASI TRACK	0.0 - 50.94	Cp 4th St- Cp Lick	✓	✓	Welding Gang Maintenance Grinding Thermite Welds(As Needed)	X	X	X	X	X			2200 - 0600			✓	T&T as needed	A	A	JK	
22	BSP	TASI TRACK	29.0 - 33.5	CP Mayfield- CP Mary	✓	✓	Surfacing Gang Surface Line & Dress	X	X	X	X	X			2200 - 0600			✓	T&T as needed	A	A	JK	
23	BSP	TASI TRACK	46.6 - 46.75	Cp Alameda	✓	✓	Tie Gang, Replace Switch Points	X	X	X	X	X			2200 - 0600			✓	T&T as needed	A	A	JK	
24	Holiday Train	TASI	0.5	SF Track 24			Work Party #2: Finish cleaning and decorating caboose; decorating gingerbread house and flat cars; continue GFCI installation						W		0900 - 1701	✓				TASI EIC requested for safety briefings along with JPB Safety Officer, and mechanical staff (electrician)	A	A	TB
25	Proj 100076 WD 8613	Peterson Chase	0.89	San Francisco	✓	✓	I-280 Overpass Concrete Repair	W	W	W	W	W	W	W	2000 - 0400	✓			✓	Meeting Location: 16th Street Xing Contact: Vance Wilson @ (949) 292-5793	A	A	AL
26	Proj 100225 WD 9172	SCVWD / Granite Construction	40.9	Santa Clara			Channel maintenance	W	W	W	W	W	W	W	0730 - 1700	✓				Work will be performed off of JPB property behind temporary orange fence. Meeting location: 2620 French Street (Private Parking lot adjacent to Lawrence Station) Contact person: Drew Blundell @ (707) 245-2274	A	A	AL