

Safety and Enforcement Division



Monthly Performance Report,

August 2016

2015 Safety Action Plan Deliverable #1

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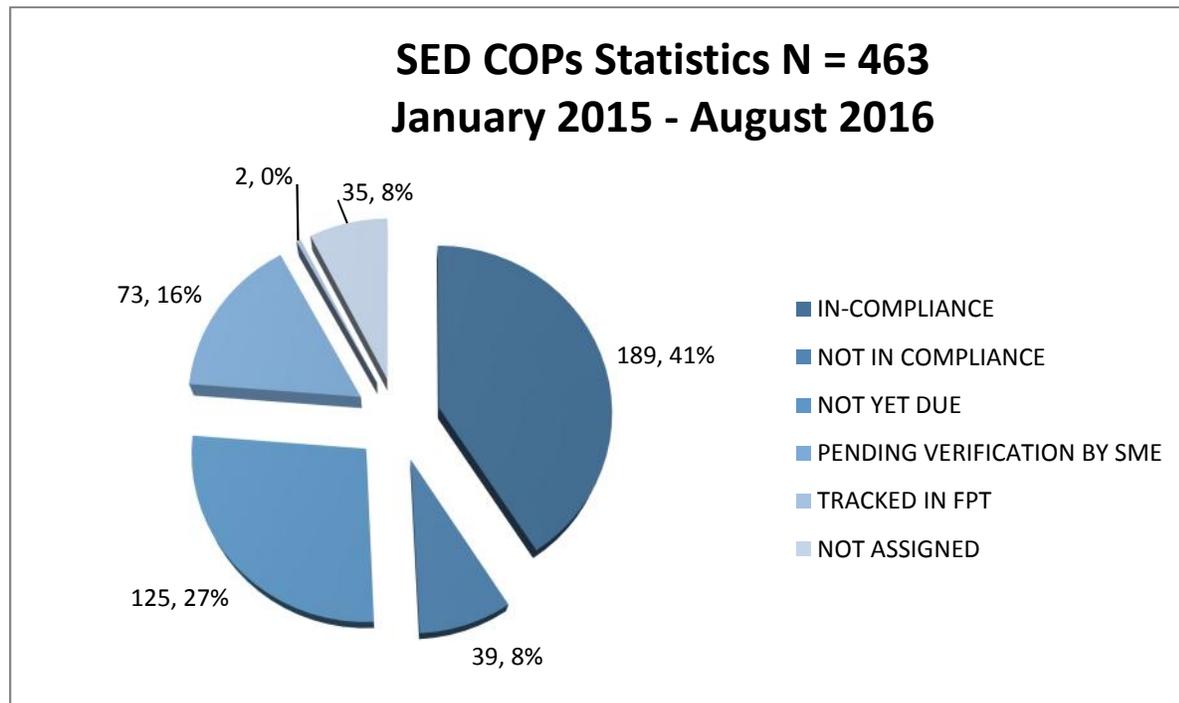
This Report has not been approved or disapproved by the CPUC.

COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

With the launch of the Commission’s Compliance with Ordering Paragraphs (COPs) effort in January 2015, SED is including our program-to-date summary statistics. Although the Transportation Enforcement and Utility Enforcement branches are no longer part of SED, the COPs statistics still bundle entries for those branches in with other Safety COPs. SED has requested the data base be reconfigured to provide a separate accounting.

Through August 31, 2016, SED shows 463 total entries in the COPS system; with 189 reaching compliance (41%), 125 (27%) not yet due for compliance, and 39 (8%) currently remaining out of compliance. During August 2016, there were ten (10) new entries into the COPS system, which are reflected in the totals below. Looking just at the January-August 2016 period, there were 246 new COPs entries, with 97 in compliance (39%); 17 not in compliance (7%); and 27 not yet due (11%); the remainder are awaiting assignment.

Note, the category of “tracked in financial payment tracker” (FPT) has been verified and has been deemed “in compliance” but is listed separately in the COPS tracker.



NATURAL GAS SAFETY PROGRAM

STAFF CITATION PROGRAM

Citation Number	Work Type	Utility	Amount	Violations	Date Cited	Status
ALJ 274 16-03-001	Investigation	PG&E	\$200,000	192.805	3/29/2016	Paid
ALJ 274 16-05-001	Inspection	SoCal Gas	\$2,250,000	192.465(d)	5/13/2016	Paid

As authorized by ALJ Resolution-274, SED Staff has citation authority for the enforcement of safety regulations for violations by Gas Corporations of General Order 112 and Title 49, Parts 191, 192, 193 and 199 of the Code of Federal Regulations.¹

INSPECTIONS

- **2016 Inspections:** We have conducted 65 scheduled inspections in Q1, Q2, & Q3, and have completed the final inspection report for 16 of these 65 inspections during 2016.
- **Pre-2015 inspection backlog remaining:** 1 open inspection from 2014

INCIDENT INVESTIGATIONS

As of August 31, 2016, GSRB Staff received 121 incidents, year to date. All pre-2015 incident investigations have been completed. Metrics on 2015 Incident Investigations:

TOTAL reported in 2015	191	Percent
Open	7	4 %
Closed	184	96 %

The CY 2016 incidents² are categorized as follows:

- 99 – Level 1 incidents
- 12 – Level 2 Incidents
- 3 – Level 3 Incidents
- 7 – Level 4 Incidents

¹ General Order 112-F was adopted by the Commission on June 25, 2015, via D.15-06-044.

² Level 1: The incident did not result in injury, fatality, fire or explosion. Level 2: The incident did not result in injury, fatality, fire or explosion. The incident may have been reported due to Operator judgment. Level 3: The incident resulted in a release of gas but the incident did not result in injury, fatality, fire or explosion. Level 4: The incident resulted in injury, fatality, fire or explosion caused by release of natural gas from the Operator's facilities.

The CY 2015 incidents are categorized as follows:

- 3 – Level 1 incidents
- 1 – Level 2 Incidents
- 2 – Level 3 Incidents
- 1 – Level 4 Incidents

UTILITY SELF-IDENTIFIED VIOLATION (SIV) INVESTIGATIONS

At the end of each year, the SIV process owner will conduct an annual review, which includes a trend analysis of systemic issues, determination of investigation effectiveness, and possible revision of investigation criteria. One self-identified violation was reported in August 2016.

NATURAL GAS RELATED PROCEEDINGS

- **Distribution Record Keeping (I.14-11-008) (Commissioner Peterman/ALJ Bushey) (Advocacy):** The Presiding Officer's Decision was issued on June 1, 2016, with comments due on July 1, 2016. On July 1, 2016, SED submitted an appeal of the Presiding Officer's Decision, dated June 1, 2016 ("POD"). SED recommends that its initial penalty assessment be adopted. However, if not, then SED recommends modifications to the POD, harmonizing its assessment with the POD's analysis.
- **Gas Safety OIR (R.11-02-019) (Commissioner Florio/ALJ Bushey) (Advisory):** Decision 15-06-044 Adopting Revised General Order (GO) 112-F signed by the Commission at its June 25, 2015, Commission Meeting. GO 112-F in Attachment A of D.15-06-044 is effective June 25, 2015; except that as to Sections 105, 122, 123, 125, 142, 143, 144, 145, and 162, the gas operators shall comply with these sections as soon as feasible but no later than January 1, 2017, unless compliance is extended for a particular provision pursuant to Rule 16.6 of the Commission's Rules of Practice and Procedure or its successor. R.11-02-019 was closed in June 2015, however, it was re-opened on an application for rehearing of the June 2015 decision, still pending.
- **Citation Program OIR (R.14-05-013) (President Picker/ALJ Burcham) (Advisory):** GSRB and ESRB jointly prepared an SED report on self-identified potential violations, dated June 1, 2016. Commissioner Michael Picker's Amended Scoping Memorandum and Ruling for Phase II of the instant proceeding was issued on June 15, 2016, modifying the scope and schedule regarding the requirements on self-identified potential violations. This Amended Phase II Scoping Memo requests that parties comment on the June 1 SED staff report, with Opening Comments by July 15, 2016, and Reply Comments by August 5, 2016. Commissioner Picker issued a proposed decision on August 29th. This item may be heard, at the earliest, at the September 29, 2016, Business Meeting.

- **Sempra Pipeline Safety Enhancement Program (A.14-12-016) (Commissioner Peterman/ALJ Mason) (Advisory):** This proceeding deals with disposition of expenses in the balancing account for pipeline safety work. No updates for August.
- **Sempra Pipeline Safety Enhancement Program (A. 15-06-013) (Commissioner Picker/ALJ Bushey) (Advisory):** This proceeding addressed the SoCalGas and SDG&E application for authorization to proceed with Phase 2 of their Pipeline Safety Enhancement Plan and establish Memorandum Accounts to record Phase 2 costs. The application was approved (D. 16-08-003) on August 18, granting the applicants' unopposed request for memorandum accounts and adopting SED Staff's proposal for an interim rate increase subject to refund. A long-term schedule for subsequent filings was also adopted. The proceeding would remain open to address the deferred maintenance projects due to the unavailability of the Aliso Canyon Storage.
- **Mobile Home Parks Pilot Program (Implementing D.14-03-021):** This decision established a three-year pilot program authorizing each California investor-owned utility to convert 10% of master-metered gas and/or electric Mobile Home Park spaces within its operating territory to direct utility service. The Pilot Program began on January 1, 2015, and will continue through 2017. No significant updates for August.
- **OIR (R.16-07-006) Commissioner Randolph/ALJ Wildgrube):** The Order Instituting Rulemaking on the Commission's Own Motion to Revise General Order 58A to Comply with Decision 14-01-034 was issued on July 20, 2016. The Joint Utilities addressed the proposed changes to GO 58A and provided some suggested edits to improve clarity or consistency with earlier legislation and prior Commission decisions. ALJ Wildgrube requested that SED review and provide him advisory support on the Joint Utilities "Simplified Proposal" found in the Opening Comments of San Diego Gas & Electric Company (U 902 M), Southern California Gas Company (U 904 G), Pacific Gas and Electric Company (U 39 G) and Southwest Gas Corporation (U 905 G) on Order Instituting Rulemaking on the Commissioner's Own Motion to Revise General Order 58A to Comply with Decision 14-01-034. On September 7, 2016, SED provided ALJ Wildgrube comments on the Joint Utilities "Simplified Proposal." SED's comments are currently being reviewed by ALJ Wildgrube.

ELECTRIC SAFETY AND RELIABILITY PROGRAMS

ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM: AUDITS AND INCIDENT INVESTIGATIONS

In August 2016, Electric and Communication Facility Safety Section Staff:

- Received nine electric incidents and closed 4 previously reported electric incidents;
- Investigated 21 customer safety and reliability complaints;
- Performed two Communication Infrastructure Provider (CIP) audits;
- Performed two Electric Transmission audits; and
- Performed one Substation audit.

Metrics for Facility Incident Investigations as of August 31, 2016

Electric and Communication Facilities	Level 1	Level 2	Level 3	Level 4	Total ³
Total open incidents	6	20	26	31	83
Total incidents reported in 2016	12	18	21	20	71
Total incidents closed in 2016	11	8	14	17	50
Total open 2016 incidents	6	17	19	17	59
Incidents reported in August 2016	1	2	5	1	9
Incidents closed in August 2016	1	1	1	1	4
Average closure time of incidents in 2016	78 days	279 days	180 days	204 days	170 days

ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS

- **Investigation into Incident (I.16-07-007) (Commissioner Picker/ALJ Cooke)(Advocacy):**
On July 15 and July 30, 2015, fires and explosions in underground electric vaults caused power outages that affected thousands of Long Beach customers for several days. On August 15, 2015, another fire occurred in an underground vault with additional outages. After ESRB’s investigation and upon SED’s recommendation, the Commission adopted an Order Instituting Investigation on July 14, 2016.

³ Level 1: A safety incident that doesn’t meet Level 2, 3, or 4 criteria. Level 2: Incident involved a power interruption not due solely to outside forces. Level 3: Incident involved damage estimated to exceed \$50,000 and caused, at least in part, by the utility or its facilities. Level 4: Incident resulted in a fatality or injury requiring hospitalization and that was caused, at least in part, by the utility or its facilities.

- **Investigation into Incident (I.15-11-006) (Commissioner Randolph/ALJ Kimberly) (Advocacy):** A subcontractor was fatally injured in a Southern California Edison underground vault in Huntington Beach. ESRB has undertaken discovery and is discussing a possible settlement in this proceeding. The procedural schedule is now suspended.
- **Fire Safety Rulemaking (R.15-05-006) (Commissioner Florio/ALJ Kenney) (Advocacy):** On May 26, 2016, D.16-05-036 adopted Fire Map 1 that was developed by the California Department of Forestry and Fire Protection in collaboration with SED and the many parties in this proceeding. Fire Map 1 depicts areas of California where there is an elevated hazard for the ignition and rapid spread of fires due to strong winds, dry vegetation, and other environmental conditions. In June 2016, the assigned ALJ issued a ruling setting a prehearing conference to discuss the next steps of the proceeding and the development of Fire Map 2. As part of that effort, SED filed a pre-hearing conference statement and attended the pre-hearing conference on June 22. In July 2016, the assigned Commissioner (Florio) issued an amended scoping memo and ruling directing the Fire Safety Technical Panel (FSTP) to hold workshops for the purpose of developing a detailed work plan for the creation and adoption of Fire Map 2. In August 2016, parties to R.15-05-006 held several workshops for the purpose of developing a detailed work plan for the creation of Fire Map 2 – a map depicting areas within the state where there is an elevated risk of utility caused fires igniting and spreading rapidly.
- **Applicability of Right-of-Way Rules to CMRS Carriers (R.14-05-001) (Commissioner Randolph/ALJ Kenney) (Advocacy):** D.16-01-046 adopted GO 95 amendments to provide Commercial Mobile Radio Service (CMRS) carriers with nondiscriminatory access to public utility infrastructure, including poles. The decision closed the proceeding. ESRB has updated GO 95 to incorporate the adopted changes and will undertake other follow-up work directed by the decision.
- **Petition to Repeal GO 95, Rule 18 (P.16-05-004) (President Picker/ALJ Kenney) (Advocacy):** On May 9, 2016, SED filed a petition for a rulemaking to consider repeal GO 95, Rule 18, because it compromises the minimum safety standards that GO 95 provides. Interested parties filed comments on June 9. ESRB has reviewed the comments and filed its response to the comments. A proposed decision is pending.
- **Citation Rulemaking (R.14-05-013) (President Picker/ALJ Burcham) (Advisory):** ESRB continues to provide advisory support regarding Phase II issues. Citation Program OIR (R.14-05-013). GSRB and ESRB jointly prepared an SED report on self-identified potential violations, dated June 1, 2016. On August 29, 2016, Commissioner Picker issued a Proposed Decision (PD) which may be heard on at the Commission's September 29, 2016, Business Meeting.
- **Physical Security of the Electric System (R.15-06-009) (President Picker/ALJ Kelly) (Advocacy):** Phase I will address physical security for electric supply systems, and additional phases will address disaster and emergency preparedness plans for electrical corporations and regulated water companies. ESRB is waiting for a scoping memo or further guidance in the proceeding.
- **Electric Storage Procurement (R.15-03-011) (Commissioner Peterman/ALJ DeAngelis) (Advisory):** ESRB continues to provide advisory support to help determine best practices related to energy storage, and the proper way to inspect such facilities.

- **Distributed Energy Resources (R.14-08-013) (President Picker/ALJ Mason) (Advisory):** ESRB continues to review the issues and provide advisory support.
- **Distribution Level Interconnection (R.11-09-011) (President Picker/ALJ Bushey) (Advisory):** The proceeding addresses improvements to distribution level interconnection rules and regulations for certain classes of electric generators and electric storage resources. On February 16, 2016, the Assigned ALJ filed a proposed decision. On May 6, 2016, Commissioner Sandoval recommended an Alternate Proposed Decision which addressed additional issues. On May 12, 2016, the assigned Commissioner amended the scoping memo and ruled to extend the duration of the proceeding for 12 months. On July 1, 2016, The Commission issued a Final Decision 06-06-052, and Commissioner Sandoval will file a concurrence.
- **SB 1028 (Hill) “Electrical corporations: wildfire mitigation plans”:** On February 12, 2016, Senator Hill introduced SB 1028, which would require each electrical corporation and each publicly owned electrical utility or electrical cooperative to annually prepare a wildfire mitigation plan. Additionally, this bill would require the Commission (for electrical corporations) or the governing board (for publicly owned electrical utilities or electrical cooperatives) to review and to accept, accept provisionally, or reject the submitted plans. ESRB has analyzed the bill and its effect on the Commission safety program, and continues to provide support and analysis of additional amendments. The state legislators voted to approve the bill and it is currently waiting for the Governor’s signature. ESRB is waiting for additional instructions regarding next steps.
- **Resolution E-4791:** Authorizing expedited procurement of storage resources to ensure electric reliability in the Los Angeles Basin due to limited operations of Aliso Canyon Gas Storage Facility. ESRB will follow, review and evaluate all documents related to safety.

ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: REPORTS AND OTHER ACTIVITIES

- **Caltrain Modernization Project:** ESRB, Rail Safety, Energy Division, and staff from Legal continue to meet with Caltrain and review documents related to the design and construction of Caltrain’s proposed 25 kV electrification project between San Jose and San Francisco. ESRB is reviewing Caltrain’s proposed electrification operating procedures and proposed rules.
- **Transmission Maintenance Coordination Committee (TMCC):** TMCC is an advisory committee to help the CAISO develop, review and revise Transmission Maintenance Standards. ESRB is a member and attends quarterly meetings, most recently on January 21, 2016.
- **Smart Inverter Working Group (SIWG):** ESRB continues to attend the weekly meetings of the SIWG when available.
- **Utility Diagnostic Testing:** ESRB surveyed the three largest investor owned utilities regarding the types of diagnostic testing and inspections they perform on distribution system switches, transformers and capacitors. ESRB’s report will compare the utilities’ practices to national best practices and industry standards. The draft report is in internal review.

ELECTRIC GENERATION SAFETY AND RELIABILITY: INVESTIGATIONS, INSPECTIONS, AND AUDITS

The Electric Generation Safety and Reliability Section staff has performed the following in August 2016:

- Investigated 19 forced or planned outages at power plants (18 through phone calls and email inquiries, and one through on-site visit).
- Conducted an on-site audit of the Colusa power plant, and began desktop audit of the Walnut Creek power plant. Continued to monitor and track corrective actions of two plants (Redondo Beach and Los Esteros) for compliance with GO 167 requirements.
- There were no safety incidents reported. Please see the 2016 year-to-date incident statistics in the table below.

Metrics for Generation Incident Investigations as of August 31, 2016

Electric Generation Incidents	Level 1	Level 2	Level 3	Level 4	Total ⁴
Total incidents reported in 2016	2	0	0	0	2
Total incidents closed in 2016	1	0	0	0	1
Total open 2016 incidents	1	0	0	0	1
Incidents reported in August 2016	0	0	0	0	0
Incidents closed in August 2016	0	0	0	0	0
Average closure time of incidents in 2016	1 day	-	-	-	1 day

UTILITY RISK ASSESSMENT AND MANAGEMENT

REVIEWING SAFETY & RISK IN GENERAL RATE CASES

On August 3, 2016, Pacific Gas & Electric and 14 parties filed a Joint Motion for Commission approval of a settlement of issues in the TY2017 General Rate Case (A.15-09-001). The proposed settlement would lead to an overall \$88 million increase in revenue requirements for electric operations, electric generation and gas distribution operations for Test Year 2017, plus \$444 million in attrition year 2018, and another \$361 million increase in attrition year 2019.

⁴ Level 1: A safety incident that doesn't meet Level 2, 3, or 4 criteria. Level 2: Incident that occurred during an Electric Alert, Warning or Emergency (AWE). Level 3: Incident resulted in a significant outage that was due, at least in part, to plant equipment and/or operations. Level 4: Incident resulted in a fatality or injury requiring hospitalization and was caused, at least in part, by plant equipment and/or operations.

This would be about \$231 million less than PG&E had sought (in its revised/rebuttal testimony) for 2017, and about \$75 million less for the two attrition years combined.

There are two contested issues, in which PG&E reached agreement with some, but not all parties. The settlement with ORA proposes adding a third attrition year, essentially moving PG&E to a 4-year GRC cycle – that was something not adopted in the recent Sempra GRC, but it was adopted for the PG&E GT&S rate case. TURN and other ratepayer groups oppose the additional attrition year and want to keep a three-year GRC cycle.

The other contested issue is an agreement between PG&E and Environmental Defense Fund & the Coalition of California Utilities Employees (EDF/CUE) to endorse a 4-year gas leak survey cycle, starting in 2017. Additionally, PG&E and EDF/CUE agreed that the utility would support a 3-year cycle as part of the Gas Leak proceeding (R.15-01-008) if the Commission adopts such a policy, but ORA, TURN and others do not agree with that. The other parties also oppose establishing a memorandum account for PG&E to record any costs associated with increased surveys, saying that should be an issue for the Gas Leak proceeding.

Within the overall settlement figures are a fairly substantial decrease (\$62 million) to what PG&E had proposed for electric operations and some decrease for gas ops (\$3 million) in 2017. To understand potential safety impacts, SED Risk staff, along with staff from the Energy Division, met with PG&E to review the settlement terms on August 22.

This meeting also provided staff with the opportunity to develop questions that could be asked of PG&E and settling parties during the later scheduled workshop on August 30 with President Picker and at the September 1 public hearing convened by ALJ Steve Roscow.

The primary questions posed by SED were these:

How did safety considerations and risk quantification factor into the settlement discussions and resulting terms?

How can the Commission be assured that the choices made by the utility and settling parties for infrastructure projects and risk mitigations will lead to safer, more reliable operations?

At the workshop, PG&E and parties assured the Commission that safety considerations were very much a part of the settlement negotiations and that the outcome will be positive for safety improvements. PG&E's chief safety officer Des Bell responded to President Picker's questioning in this way: "We're comfortable with the outcome in the proposed settlement. We're currently providing safe service, and this will enable us to continue to improve the safety performance at the company. As the lead safety officer, I'm comfortable that we have the resources in the settlement that will enable us to fulfill our safety goals."

Mark Joseph, attorney for CUE, and one of the settling parties that had provided a particular focus on safety investments in its testimony, detailed what he considered positive elements of the settlement for operational safety. "There are at least eight provisions in the settlement agreement which specifically arise from the issues that we raised in our testimony," Joseph responded. "If I could point you to just one of the sections, section 3.2.8.1, contained overarching principles, which all parties agreed to . . . for reasonable rates of steady state replacement consistent with risk-informed decision-making for crucial operating equipment necessary for safe and reliable service." He continued, "I think there is a lot of evidence that parties were more sensitive to these issues than they had been in the past. And this is a reflection of the commission's continuing focus on this issue. This has not always been the case. And all of the parties, including those who are specifically ratepayer representatives, recognized that it wasn't going to be a successful exercise if there were big cuts to the expenditures needed for safety and reliability."

At the hearing, ALJ Roskow directed PG&E, working with SED staff and other parties, to prepare an additional exhibit responding to questions about executive compensation and its relationship with safety performance by the utility. This was an issue identified in the GRC scoping memo but it was not specifically addressed in the settlement (except for PG&E's agreement to eliminate \$72 million of ratepayer funding for the Short-Term Incentive Program for its senior employees). SED immediately scheduled a call with PG&E to provide input into this area of inquiry, with expectation that the supplemental exhibit will be filed by October 3, 2016.

PROCEEDINGS

- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ Bushey) (Advisory):** The Commission has contracted with NorthStar Consulting to conduct a thorough evaluation of PG&E's efforts to advance a Safety Culture in its organization and operations. NorthStar has been conducting an intensive schedule of meetings with utility executives and managers, as well as field visits to monitor how safety is being discussed and safety practices instilled in the company. The Risk section is project manager for this contract, and SED staff has attended many of these interviews and field visits. Staff met with NorthStar principals on August 24 to review progress to date and prepare for a mid-course briefing for President Picker in early October.
- **Safety Model Assessment Proceeding (A.15-05-002, et al) (President Picker/ALJ Kersten) (Advisory):** The Commission on August 18 adopted an Interim Decision to advance this proceeding (D. 16-08-018). The decision determined that the risk scoring models initially proposed by utilities were not adequate and should be supplemented by use of a multi-attribute scoring model that was developed for the Electric Power Research Institute. The decision established a road map for Phase 2 and future S-MAP cycles. It also provided guidance for upcoming RAMP filings in the 2019 SDG&E/SoCalGas General Rate Case, which will commence in fourth quarter 2016.
- **PG&E 2017 General Rate Case (A.15-09-001) (President Picker/ALJ Roscow) (Advisory):** On August 3, 2016, Pacific Gas & Electric and 14 parties filed a Joint Motion for Commission approval of a settlement of issues in the TY 2017 General Rate Case (A.15-09-001). The Commission held a workshop on August 30 and one day of hearings on the settlement (see more detailed discussion above).
- **Gas Leak Abatement OIR (R.15-01-008) (President Picker/ALJ Kersten) (Advisory):** Gas companies filed their annual reports on leaks and emissions during 2015 on June 17, 2016. SED Staff, working with CARB Staff, are analyzing the reports for completeness and has been holding with companies to ensure the validity of data. CARB is preparing a document on cost-effectiveness of best practices for leak detection and mitigation, which will be the basis for an upcoming workshop (date to be determined).
- **Electric Storage Procurement (R.15-03-011) (Commissioner Peterman/ALJ DeAngelis) (Advisory):** In compliance with D. 16-01-032 (Track 1 decision in this rulemaking), staff has convened a technical group to consider appropriate Safety-related issues for facility inspections of grid-connected storage operated by utilities. A draft set of protocols is being circulated for consideration.
- **Storage Procurement Solicitations 2016 (PG&E A.16-03-001; SCE A.16-03-002; SDG&E A.16-03-003) (Commissioner Peterman/ALJ Cooke) (Advisory):** On May 23 a Pre-Hearing Conference (PHC) was held for the three electric IOUs' new applications to establish the 2016 energy storage procurement solicitations, to meet 2020 targets as directed by D.13-10-040. SED Risk staff raised the issue of consistency of safety conditions in the IOUs' solicitation and contracting materials, to try to standardize utility requirements.

- **PG&E Supplemental Energy Storage Procurement (A.16-04-024) (Peterman/ALJ Cooke) (Advisory):** PG&E in April 2016 applied for approval of an additional energy storage project contract with STEM, which was not part of its A.16-03-001 case. On July 18, ALJ Cooke held a pre-hearing conference via telephone to discuss issues in the case. A Scoping Memo was issued by Commissioner Peterman on July 25, which included as an issue whether the contract promotes safe and reliable operation and maintenance of the energy storage systems. The Scoping Memo determined that no hearings are necessary, so the issues will be subject to briefing by parties in September and October.
- **Public Records Act Revisions Rulemaking (R. 14-11-001) (President Picker/ALJ Lirag) (Advisory):** The Commission on August 18 adopted D. 16-08-00 to provide additional guidance on proper documentation of confidential materials supplied to the Commission by regulated utilities. Under the revisions to GO 66c, when submitting documents to the Commission or staff of the Commission (including the Office of Ratepayer Advocates) outside of a formal proceeding, any documents for which the submitting party seeks confidential treatment must be marked as confidential, the basis for confidential treatment must be specified, and the request for confidentiality must be accompanied by a declaration signed by an officer of the requesting entity or by an employee or agent designated by an officer. Additionally, if only certain information in a document (e.g. customer names and addresses, contract payment amounts, etc.) is confidential, only that information rather than the entire document should be designated as confidential. Finally, the decision determined that authority for reviewing requests for confidential treatment of documents is delegated to the Commission's Legal Division.
- **PG&E Gas Transmission & Storage rate case (A.13-12-012/I.14-06-016) (Picker/Bushey) (Advisory):** The GT&S case was decided on June 25, 2016, with D.16-06-056. Although approving substantial rate increases to provide of additional infrastructure improvements related to safety, the final decision adopted a nearly \$850 million disallowance for PG&E safety lapses, among many determinations about capital spending for pipelines and facilities. The utility was directed to make multiple advice letter filings and reports related to safety inspections. The decision disallowed from immediate recovery \$696.4 million for 2011-2014 capital expenses above that previously approved in Gas Accord V. \$120 million is permanently disallowed, but \$576 million would be subject to an audit by Commission staff or a third party. Three components of the audit:
 - To assess whether relevant projects are PSEP-related or GT&S related;
 - the extent to which costs may have been inflated due to issues including acceleration of PG&E's system remediation work;
 - the extent to which the work is necessary because PG&E either had not performed it correctly in the past or that it was previously funded but never conducted.SED staff is currently conferring with Energy Division and the Division of Water and Audits to determine whether the audit may be conducted internally or whether an outside expert should be contracted.

MONITORING THE WHISTLEBLOWER WEBSITE

The Risk Section has been overseeing intake for complaints that arrive via a “whistleblower” application on the Commission’s web site. Whistleblower protections are afforded to utility employees and contractors who report potentially unsafe or illegal practices.

STATISTICS - 1/01/16 TO 8/31/16

Note: This is for complaints filed using the on-line Whistleblower Application ONLY.

Confirmed or Possible Whistleblower Complaints						
	CAB	Transportation	Electric Safety	Gas Safety	Telco Fraud	Rail
January	0	0	1	0	0	0
February	0	5	1	0	2	0
March	0	0	0	0	0	0
April	0	2	0	0	0	0
May	0	0	0	0	1	0
June	0	0	0	0	0	0
July	0	0	0	0	0	0
August	0	0	0	1	0	0
Total 2016	0	7	2	1	3	0

Invalid Whistleblower Complaints Converted to Standard Complaints							
	<u>CAB</u>	<u>Transportation</u>	<u>Electric Safety</u>	<u>Gas Safety</u>	<u>Telco/Utility Fraud</u>	<u>Rail</u>	<u>Consumer Referred to Outside Agency</u>
January	0	0	0	0	0	0	0
February	0	0	0	0	0	0	1
March	0	0	0	0	0	0	0
April	0	0	0	1	0	0	0
May	0	0	0	0	0	0	0
June	0	0	1	0	0	0	0
July	0	0	0	0	0	0	0
August	0	0	3	0	0	0	0
YTD	0	0	1	1	0	0	1

Test, Incomplete or Duplicate Whistleblower Complaints	
January	0
February	4
March	0
April	3
May	0
June	0
July	0
August	1
YTD	8

OFFICE OF RAIL SAFETY

RAILROAD SAFETY - ROSB

In the month of August 2016, SED Staff's Railroad Operations group completed the following:

New Incidents Investigated	8
Informal Complaints Investigated	1
Safety Assessments/Reviews	15
Compliance Actions	515
Major Inspections Completed - Such as Focused Inspections	4
Operation LifeSaver Presentations	8

August 2-4, 2016: Three CPUC Rail Safety Inspectors worked with a Federal Railroad Administration (FRA) Signal Inspector to perform a focused inspection on the Napa Valley Railroads Signal records on one pedestrian crossing and two street crossings where Summit Signal Inc. has a contract for the maintenance, repairs and keeping of all records pertaining to signal for the railroad.

The focused inspection started off with a review of the records kept by Summit Signal Inc. for the Napa Valley Rail road. During the review several required records were found to be missing for a crossing at Rutherford Grove. The first was a record for a repair of a crossing that had been reported as not operating when a train passed through, the second was a required report to the Federal Railroad Administration to notify them of the issue within 15 days of the occurrence, and third was the missing Hours Of Service record for the employee responsible for the repairs to the railroad crossing.

The FRA signal inspector then made the decision to do an on location inspection of three crossings. The first was a pedestrian crossing at Magnolia Drive, where no issues were found. The second crossing was at Rutherford Grove where several issues were found including a less than minimum required time from when the crossing activates to the time the train is in the street of 20 seconds, and the plans kept at the crossing did not reflect the equipment that was being used at the crossing. The third crossing was Manley Rd. where issues were found with the correct labeling of wires that operate the equipment at the crossing.

August 10, 2016: A CPUC Rail Safety Inspector conducted an inspection to verify compliance with state rail safety regulations at Union Pacific's Mojave Yard. During the inspection, a walkway defect was discovered between tracks 4 and 3. An End of Train device was in the walkway creating a tripping and falling hazard, which is the number one cause of injury in the railroad industry. This defect was immediately brought to the attention of the manager on duty and the defect was corrected.

August 11, 2016: A CPUC Rail Safety Inspectors accompanied by BNSF Superintendent of Operations and BNSF Division Trainmaster, inspected two industry (grain processing) facilities in Hanford CA. The purpose of the inspection was to address securement and walkway issues previously identified at both locations. Securement of railcars is identified as the application of hand brakes on unattended equipment. If railcars are not properly secured, the potential for a “roll out” is greatly increased. The site of the inspection is on the Bakersfield Subdivision for the BNSF. This is a very busy corridor with approximately 35 daily freight trains along with 14 Amtrak passenger trains.

Staff inspected six locations at Pitman Family Farms and found that all unattended rail cars had hand brakes applied. The inspection at Hanford Grain Company revealed non complying walkway conditions along with two locations of unattended rail cars that were not secured (no application of hand brakes). Staff discussed the findings with the manager at Hanford Grain Company and it was agreed that the employees who handle the movement of rail cars at this facility need more training in securement. The BNSF managers agreed to provide a safety meeting at the plant with participation of CPUC inspectors, to stress the importance of securing unattended rail cars. The safety meeting was scheduled for the end of August.

August 12, 2016: A CPUC Rail Safety Inspector arrived at the BNSF property located in Wilmington, California, Los Angeles County, namely their Watson Yard, for the purpose of inspecting departing trains for compliance current safety regulations. During the inspection the inspector also encountered a high weed growth adjacent to tracks, which is a defect under State of California General Order 118. These are tracks where their own railroad employees inspect equipment and consequently brush up against the weeds. With a verbal report the inspector brought this non-compliance weed condition to the attention of local BNSF personnel and they responded by contacting manpower to get rid of the weeds and embark on a weed abatement program to prevent re-growth.

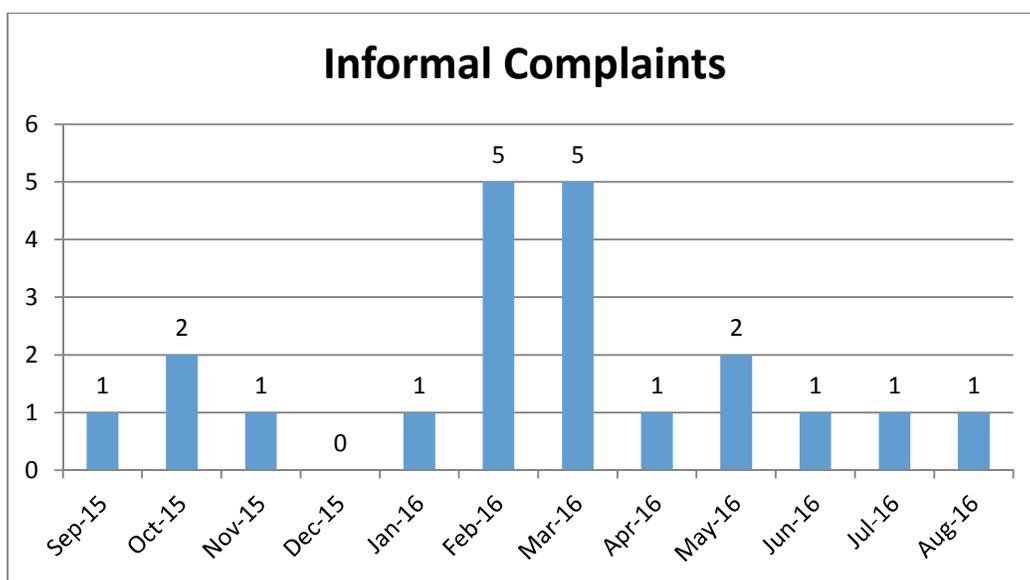
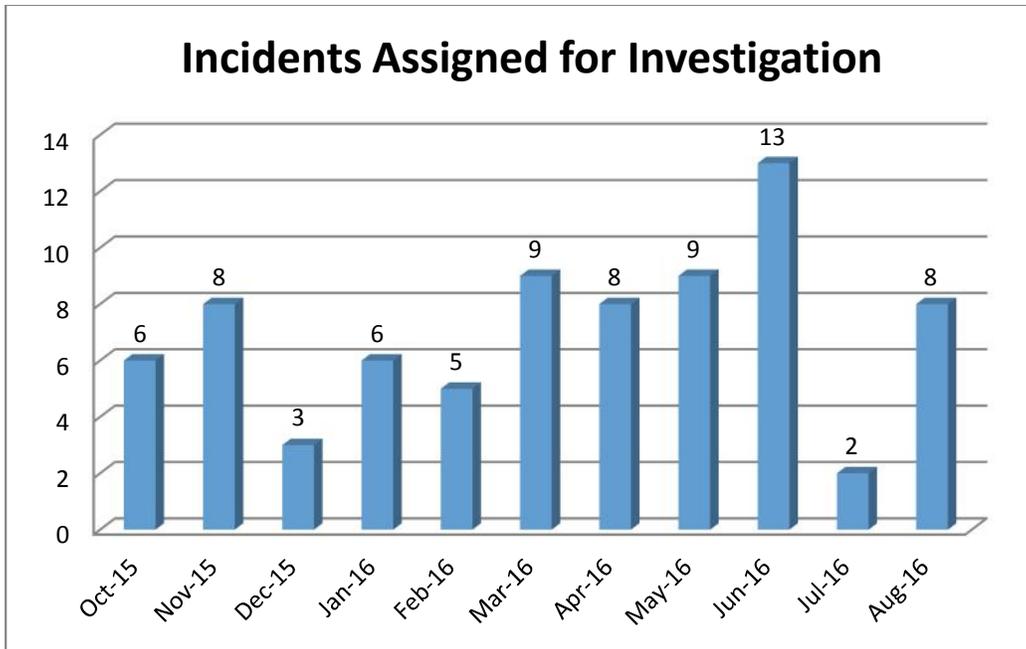
August 26, 2016: At the John F. Kennedy Middle School, located in the town of El Centro, California, Imperial County, a CPUC Rail Safety Inspector who is also a Volunteer for Operation Lifesaver, deliver a total of 8 separate Rail Safety presentations during the day, one per hour, to

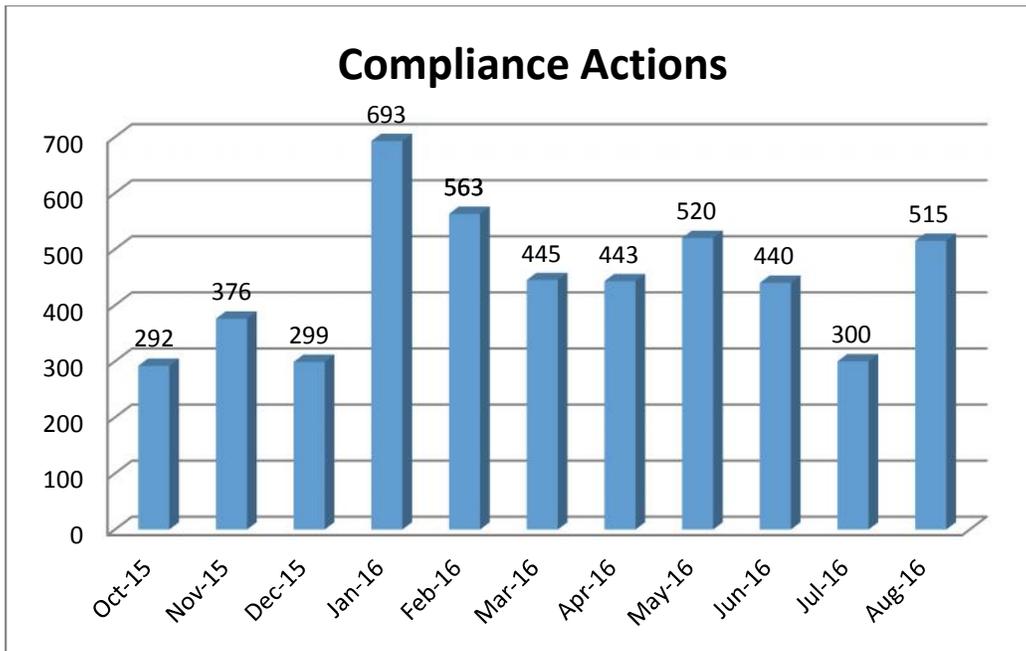
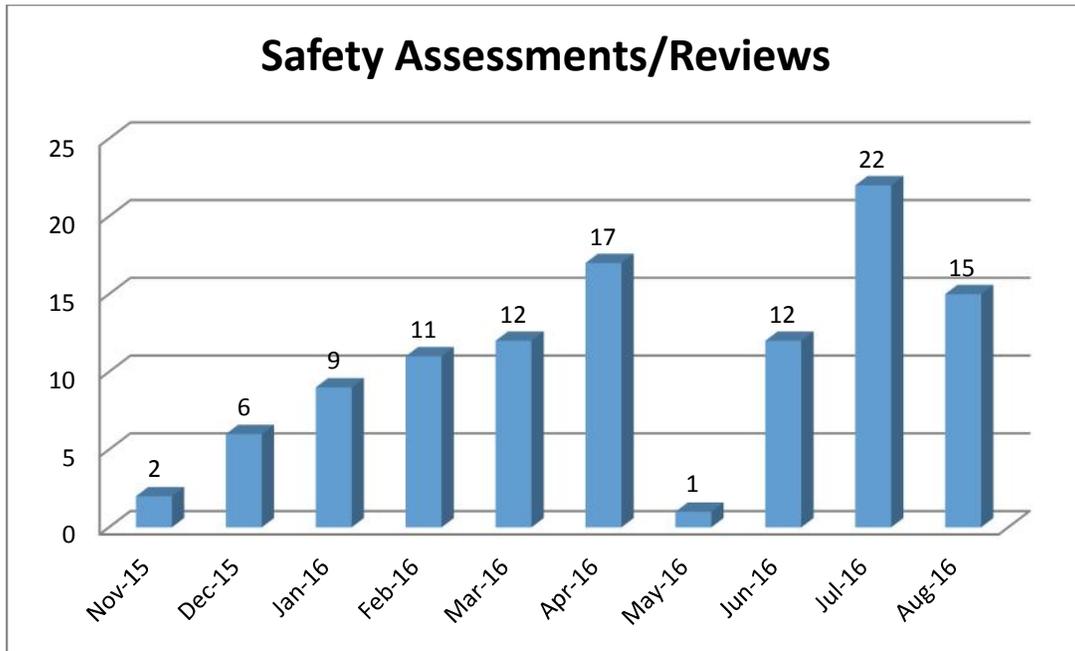
a different group of students, reaching a total of 410 people altogether including teachers. This will be the 7th consecutive year that the same ROSB inspector is invited back to explain rail safety to students as a new school year starts and an important priority considering the fact that this particular school is practically surrounded by nearby Railroad tracks.

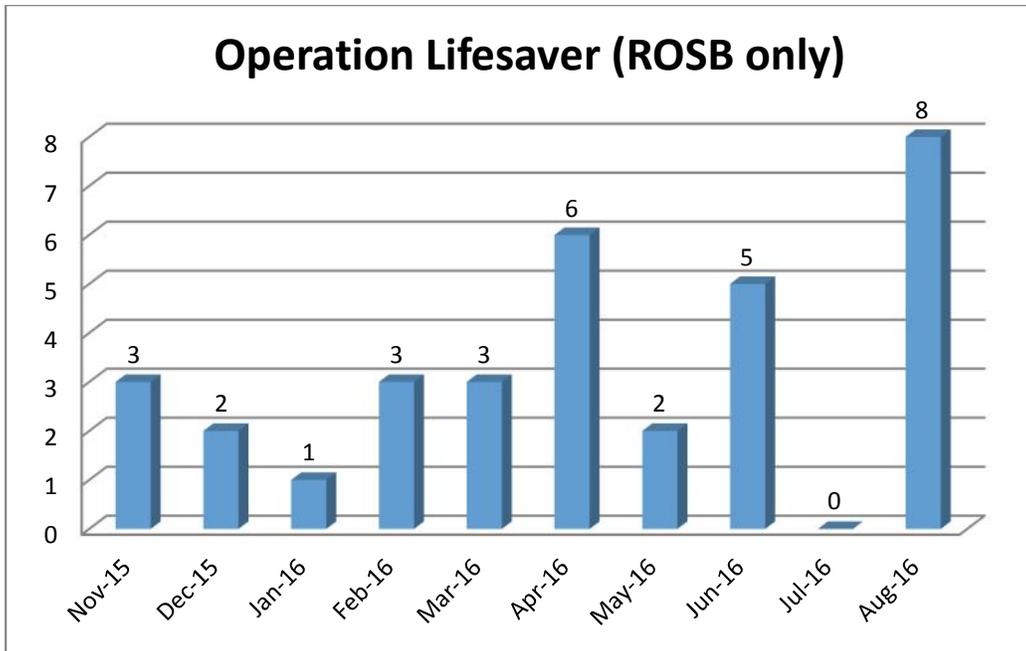
During the presentation safety points were explained clearly and simply, in a manner that students and teachers could easily see and understand the danger. Safety points included reasons to stay off railroad tracks starting from the fact that while in many areas the tracks are easily accessible, with no chain link fence or cinder block wall separating the public from the tracks, the tracks are still private property, and it is illegal to trespass. Furthermore, tracks are for trains, trains run up and down on those tracks, trains cannot swerve and because of their weight trains cannot stop quickly which are more reasons why we should stay off and away from tracks. The inspector also explained how to respond to advanced warning signs posted to warn drivers of tracks ahead; what to do if a car stalls on tracks, to always expect a train no matter if tracks look abandoned, and various other safety pointers that everyone needs to know about tracks and trains. Finally the Inspector also asked students to be Ambassadors and share the information with parents and other family members so that they too will know. After presentations, the Inspector asked students to raise their hand and recite any safety point covered and their response was almost overwhelming as many hands went up. Just about every student was able to recite a safety tip including incoming new 7th grade students that heard the presentation for the first time, and the 8th grade students that remembered the safety pointers from last year.

August 30, 2016: Four CPUC Rail Safety Inspectors and four FRA track inspectors conducted a focused Inspection for two days on the Union Pacific Railroads McHenry Industrial Lead in Stockton. The lead is a track that goes from Stockton to Escalon. This track is twenty miles long serving a winery in French Camp and other industries in the community. The groups divided into four groups of two and each group walked five miles each. Day one the focused inspection identified 88 track defects and 10 track conditions recommended for violations. Day two the focused inspection identified 123 track defects and seven track conditions recommended for

violations. These conditions are likely to cause a train to derail which could have catastrophic consequences due to its proximity to French Camp Road and other roads which cross the tracks. The Union Pacific was given notice and is required to create an action plan which will be verified by CPUC in a future inspection. The normal speed of this track is 20 mph. At this time the track is reduced to 10 mph and the repairs will need to be made within thirty days.







RAIL CROSSINGS AND ENGINEERING BRANCH - RCEB

In the month of August 2016, the Rail Crossings and Engineering Branch completed the following:

	Open at Period Start	New During Period*	Closed During Period	Open at End of Period
2015 Crossing Incident Investigations	10	0	2	8
2016 Crossing Incident Investigations	84	22	11	95
Informal Complaints Investigations	27	0	0	27
Safety Assessments/Reviews	0	42	42	0
Environmental Reviews	0	65	65	0
Proceedings, Resolutions and G.O. 88-B Reviews	21	6	11	16
Quiet Zone Reviews	0	0	0	0
Operation LifeSaver Presentations	0	3	3	0
Staff Training	0	3	3	0
*As RCEB checks FRA data with CPUC data, RCEB adjusts the number of incidents for 2015 and 2016.				

RAIL CROSSING INCIDENT INVESTIGATIONS

- In August 2016, the Rail Crossings and Engineering Branch engineers received 22 new incidents and completed two highway-rail crossing investigations.

Year	No of Crossing Incidents	Fatalities	Injuries	Open – start August 2016	New August 2016	Closed August 2016	Open at End of Period
2015	154	56	57	10	0	2	8
2016	93	42	26	84	22	11	95

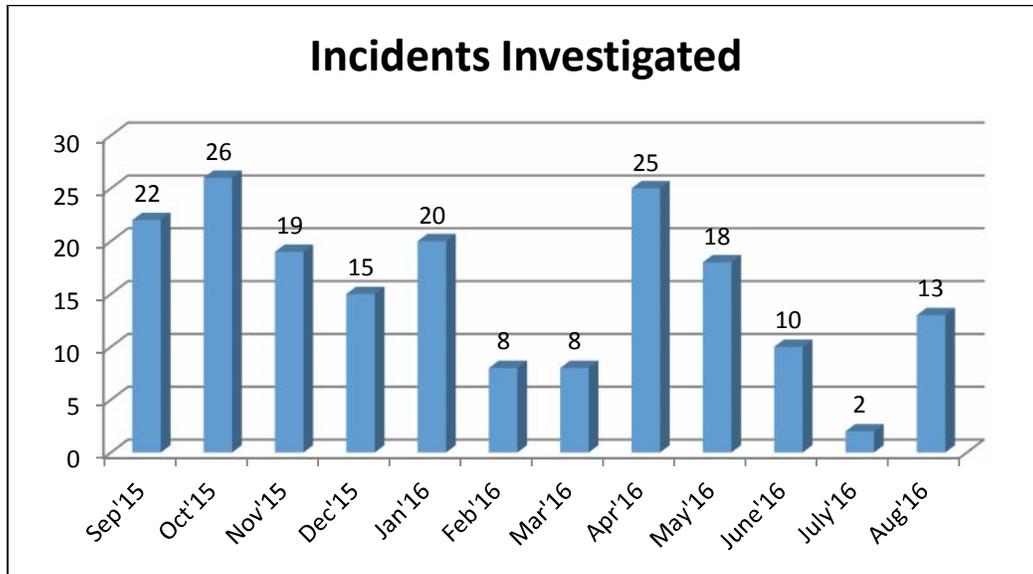
- **INCX 2016010006 - Main Street (Heber Road-SR86), CPUC 001BN-704, DOT No. 760891R Heber, Imperial County** - On January 13, 2016, at 05:49 hours (military time) an eastbound motorist struck a stopped UP freight train in the dark at the Main Street / Heber Road / SR 86 crossing in proximity of milepost 703.99 in the community of Heber, Imperial County. Based on statements in the police report from the driver and another motorist, the incident occurred in clear weather and in dark, pre-dawn conditions. RCEB referred the possible malfunctioning of warning devices to ROSB. The police report determined that the driver was driving too fast for conditions and crashed with a stopped train at the crossing.
- **INCX 2016010010 - 30th Street, CPUC 036D-2.70, DOT No. 661893G, San Diego, San Diego County** - On January 22, 2016, at 10:25 hours, a westbound SDTI train struck a southbound automobile at 30th Street and Commercial Street, City and County of San Diego. The motorist violated the red light at the intersection. The collision did not result in casualties or injuries.
- **INCX 2016010011 - McKinley Street, CPUC 002B-21.20, DOT No. 026519P, Corona, Riverside County** - On January 22, 2016, at 13:55 hours,, BNSF Train fatally struck a pedestrian at the McKinley Street crossing in Corona, Riverside County. Corona Police Department provided emergency response. Based on the police report, an eastbound train passed on the north track and the pedestrian failed to notice a second train traveling westbound. Two other pedestrians at the crossing observed and heard the second train

coming. The deceased walked around the active warning devices and the second train struck the pedestrian. The Coroner determination is accidental death.

- **INCX 2016050005 - Sunflower Avenue, CPUC 101SG-25.53, DOT No. 747316B, Covina, Los Angeles County** - On February 2, 2016, at 07:20 hours, Metrolink Train 311, fatally struck a pedestrian at the Sunflower Avenue crossing in Covina, Los Angeles County. The investigation determined the incident to be a suicide where the pedestrian stood on the path of the oncoming train.
- **INCX 2016020007 - 37th & Alameda Street, CPUC 001BG-485.96-C, DOT No. 747585T, Vernon, Los Angeles County** - On February 9, 2016, at 11:57 hours, Union Pacific struck a commercial vehicle at the Alameda Street crossing. The train was in the process of being shoved backward through the crossing, and the driver of the vehicle attempted to traverse the crossing around the train. The train clipped the vehicle and the subject vehicle then fled the scene. No RCEB recommendations were made as a result of the collision.
- **INCX 2016020016 - Wolfskill-Jessie Street, 101VY-20.81, DOT No. 746048P, San Fernando, Los Angeles County** - On February 22, 2016, at 17:33 hours, Metrolink Train 224, struck an unoccupied vehicle at the Wolfskill-Jessie Street crossing resulting in three train passengers being injured and taken to a local hospital. Based on the police report, a northbound vehicle became disabled at the crossing. The driver exited the vehicle as an eastbound train approached the crossing, attempted to stop but was not able to avoid the collision. The collision resulted in three passengers injuries.
- **INCX 2016040004 - Center Street, CPUC 105E-12.80, DOT No. 75487E, San Bruno, San Mateo County** - On April 2, 2016, at 21:38 hours, Caltrain 448 fatally struck a pedestrian at the Center Street crossing in San Bruno, San Mateo County. The railroad reports no resulting injuries to passengers or crew, derailment or HAZMAT release. The Coroner determined the incident to be a suicide.
- **INCX 2016060009 - Palmetto Avenue, CPUC 101SG-49.69, DOT No. 026143X, Fontana, San Bernardino County** - On June 6, 2016, at 17:05 hours, Metrolink train fatally struck a pedestrian at the Mango Avenue crossing in Fontana, San Bernardino County. The San

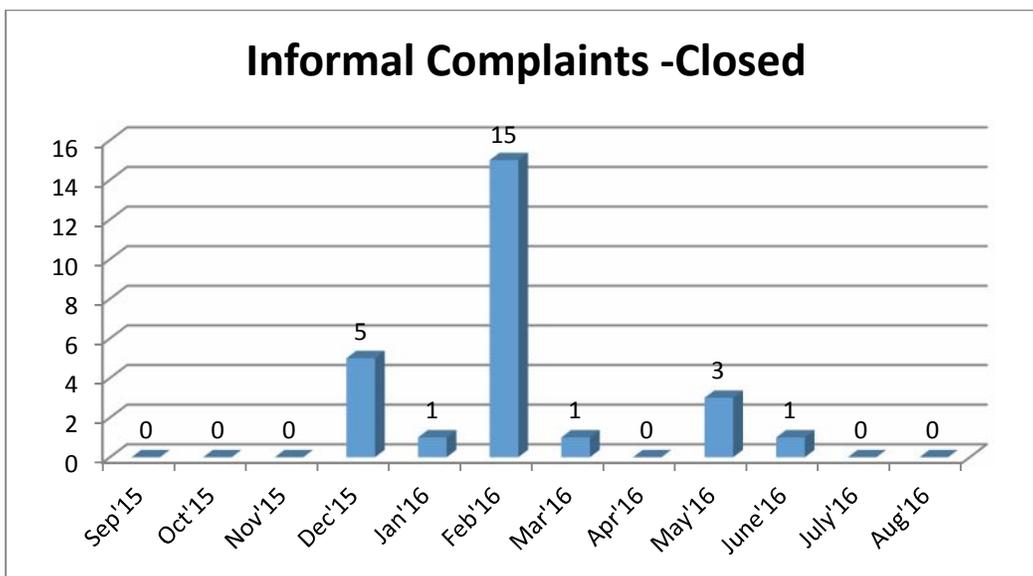
Bernardino Coroner determined the incident to be a suicide. No RCEB investigation necessary.

- **INCX 2016060019 - Park & G, CPUC 081B-0.44, CPUC No. 911629H, San Diego, San Diego County** - On January 8, 2016, at 10:42 hours, an southbound light rail vehicle struck an ambulance at Park Boulevard and G Street in City of San Diego, San Diego County. The ambulance attempted to make a prohibited left turn in front of the LRV. Both the motorist and LRV had a green traffic signal to proceed straight along Park Boulevard and through G Street. No Left Turn signs are posted prohibiting turns across the tracks. The ambulance was transporting a patient at the time of collision. The collision did not result in any casualties.
- **INCX 2016060022 - Clinton Avenue, CPUC 002-1000.70, DOT No. 028577S, Fresno, Fresno County** - On June 18, 2016, at 3:05 hours, BNSF train struck an unoccupied vehicle at the Clinton Avenue crossing in the city and county of Fresno. The driver of the subject vehicle driving on a dirt road got stuck upon attempting to cross the tracks. Apparently, the driver was able to exit the vehicle prior to impact. The point of impact is unknown. Staff cannot confirm if the incident did or did not occur at the crossing. A RCEB report is not necessary.
- **INCX 2016080006 - E Sycamore Street, 101OR-167.44, DOT No. 026643V, Anaheim, Orange County**- On June 16, 2016, at 21:33 hours, Metrolink train 645, struck and injured a trespasser at the E Sycamore St crossing. The reported incident location is in the proximity of milepost 167.44 in Anaheim, Orange County. The orange County Coroner and City of Anaheim Police Department determined the incident as a suicide. A RCEB crossing investigation is not necessary.



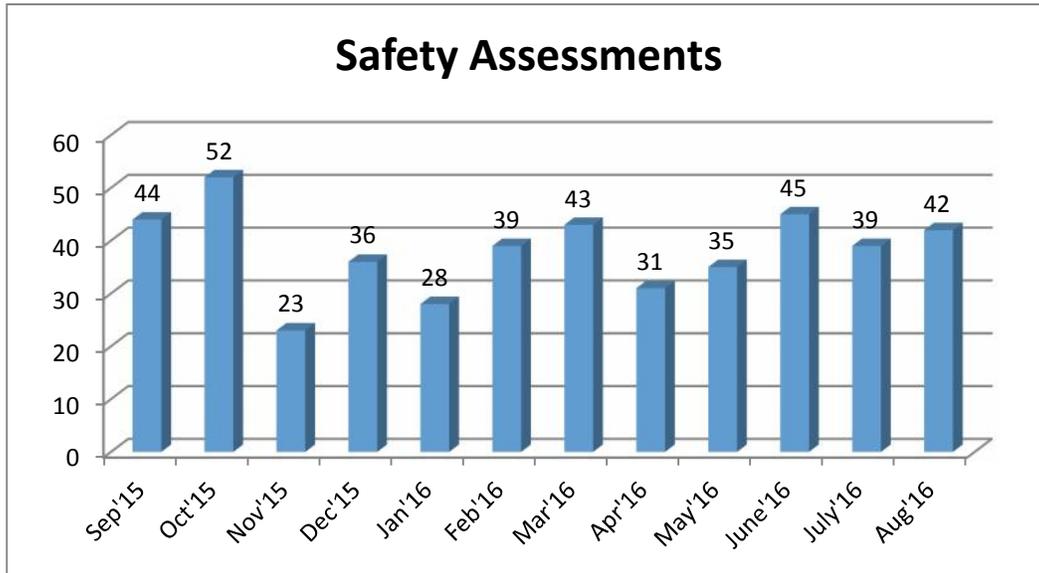
INFORMAL COMPLAINTS

- In August 2016, staff did not receive any new complaints involving highway-rail crossings. Staff continues to work with open complaints but did not close any complaint in August.



SAFETY ASSESSMENTS AND REVIEWS

In August 2016, staff completed 42 rail crossing safety assessments involving communications, field inspections, and diagnostic reviews with railroads and local agencies.

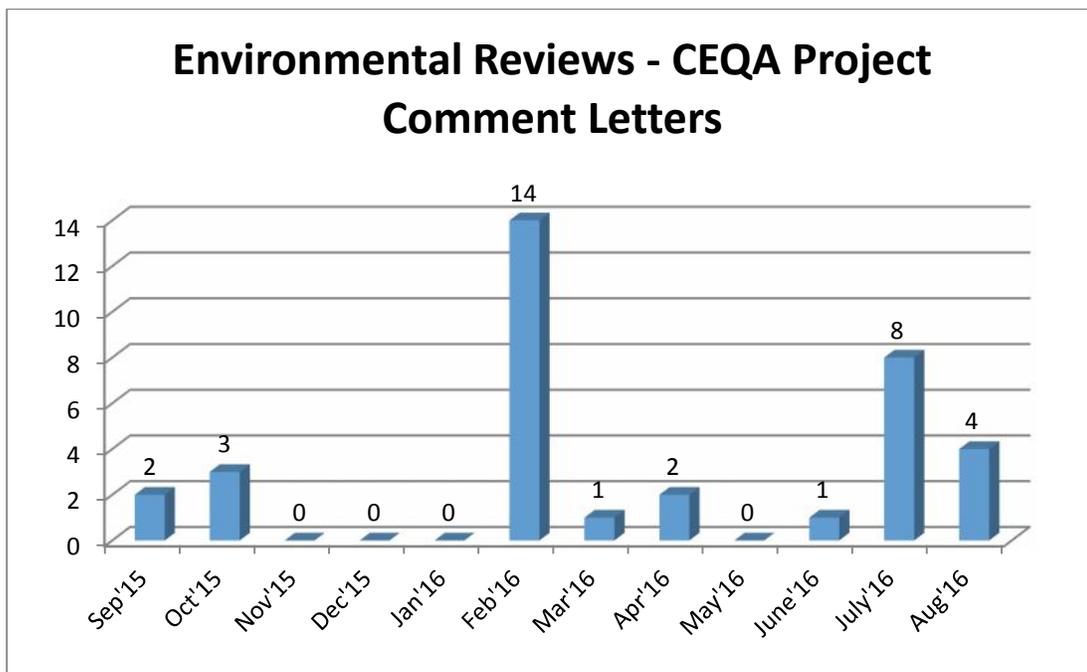
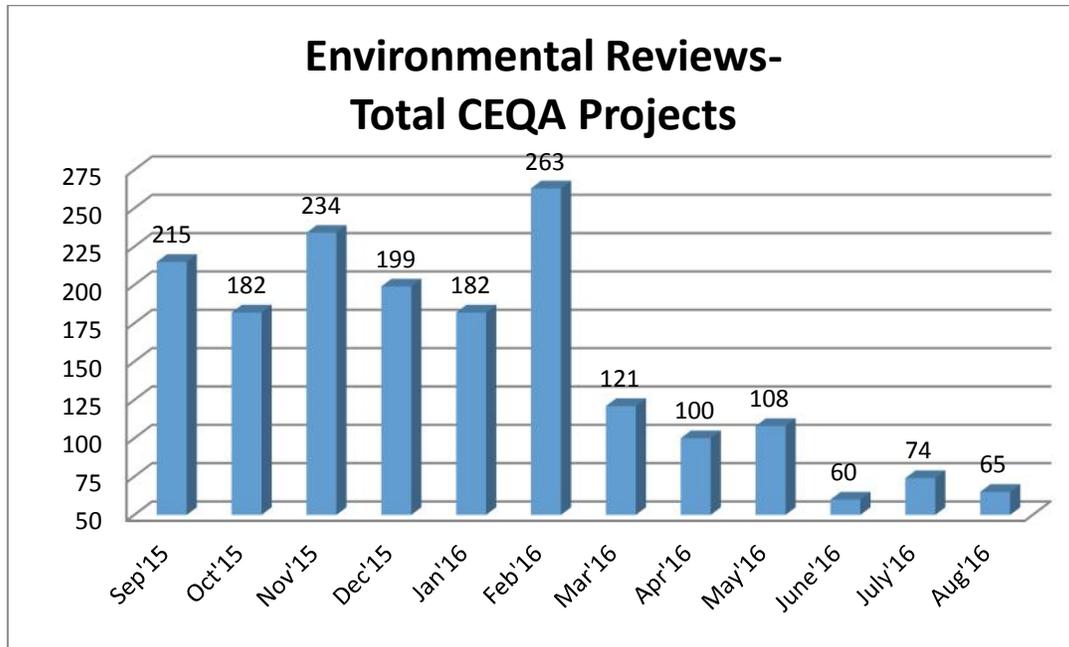


ENVIRONMENTAL REVIEWS

In August 2016, staff reviewed 65 CEQA reports and issued four comment letters. When railroads and local agencies plan new projects or developments, staff reviews the documents submitted by the agencies for safety impacts to crossings. The review addresses safety issues in highway-rail crossing design and nearby intersections during the design phase of the projects.

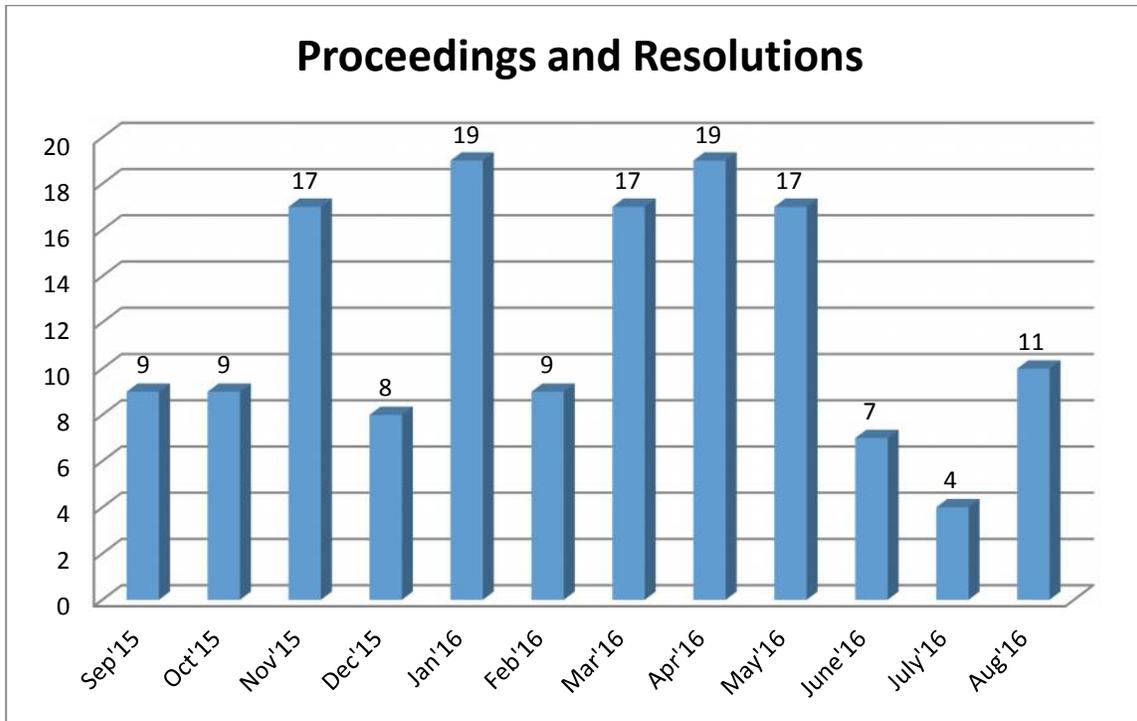
- **SCH 2016082012 -City Of Weed, Siskiyou County, Bicycle and Pedestrian Master Plan** - RCEB staff received the Mitigated Negative Declaration (MND) report from the City Weed in regards to the city's Bicycle and Pedestrian Master Plan. The project area includes active railroad tracks. RCEB staff recommends that the City add language to the plans with the safety of the rail corridor in mind.
- **SCH 2011111065 – City of Irwindale, Los Angeles County, Issuance of Hazardous Waste Facility Permit for CleanTech Environmental Inc.**- RCEB staff received the Notice of Preparation report from the Department of Substances Control in regards

- to the Clean Tech Environmental project. The project area includes active railroad tracks. New developments will increase traffic volumes not only on streets and at intersections, but also at any adjacent at-grade rail crossing. RCEB staff recommends that the City add language to the plans with the safety of the rail corridor in mind.
- **SCH 2016022066 - Redwood City, San Mateo Countt, Sequoia Union High School District** - RCEB staff received the Draft Environmental Impact Report from the City of Redwood in regards to the Sequoia Union High School District project located near the Union Pacific Railroad Redwood Junction Industrial Lead. The project area includes active railroad tracks. RCEB staff recommends that the project ensure compliance with the State and Federal requirement for the nearby crossings in/near the project area.
 - **SCH 2003041001 –City of San Diego, San Diego County, 1122 4th Avenue Project-** RCEB staff received the Supplement Environmental Impact Report for the proposed 1122 4th Avenue project. The project is located at 1122 4th Avenue, San Diego, California, and bordered by 4th Avenue to the east, 3rd Avenue to the west and C Street to the south. Light rail transit tracks are present within C Street. Currently, there are over 350 light rail transit movements per day, at a maximum speed of 25 miles per hour. Any development should be planned with the safety of the rail corridor in mind. The project may increase traffic volumes at rail crossings. Any traffic impact studies undertaken should consider rail crossing safety and associated mitigation measures.



PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

In August 2016, engineering staff received five new General Order 88-B applications, and closed 10 application reviews.



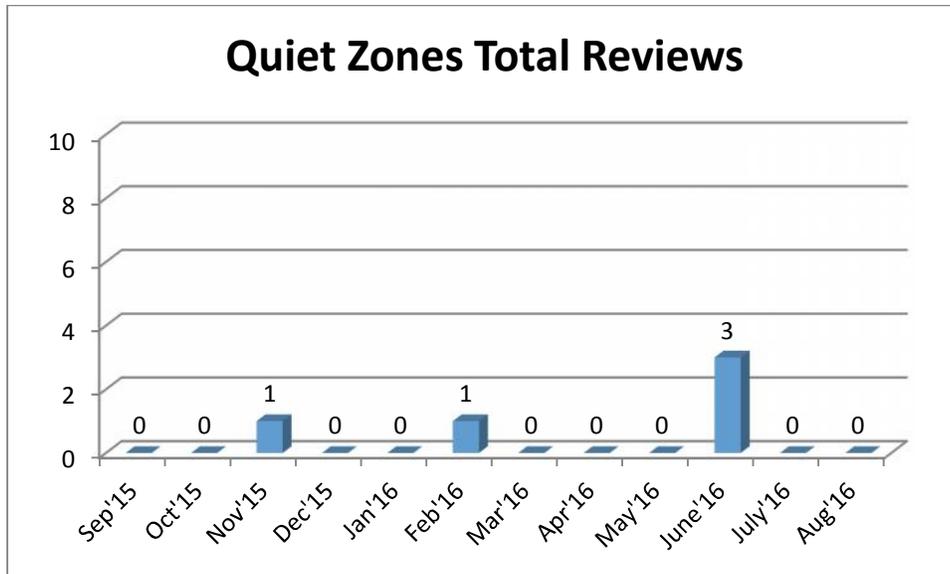
- **G.O. 88-B – State Route 60 Overpass, CPUC No. Crossing 003-14.30, and DOT No. 811059E** - The County of Sanitation Districts of Los Angeles County requests a second extension to complete the crossing modifications. RCEB granted the request and it expires on September 13, 2019.
- **G.O. 88-B – Raymond Avenue, CPUC No. 002B-45.00, and DOT No. 026581A. City of Fullerton, Orange County** - The City of Fullerton requests a time extension to complete the Raymond Avenue crossing modifications. RCEB granted the request and it expires on September 5, 2019.
- **G.O. 88-B – McKinley Avenue, CPUC 001B-202.50, and DOT No. 757321A, in the City and County of Fresno** - The City of Fresno requests authority to alter the McKinley Avenue at grade crossing in Fresno. The proposed alterations for this project are in support of the California High-Speed Rail Authority’s high-speed rail project in order to improve safety at the McKinley Avenue crossing due to traffic changes to and across this crossing during the demolition of the existing and subsequent construction of the new Clinton Avenue overhead. RCEB granted the authorization and it expires on August 4, 2019.

- **G.O. 88-B – Chesterfield Drive, 106-239.80 and DOT No. 026849V, in the City of Encinitas, San Diego County** - The San Diego Association of Governments requests authority to alter the Chesterfield Drive at-grade crossing in the City of Encinitas. The alterations include the installation of one additional track, and new crossing warning devices. RCEB granted the authorization and it expires on August 17, 2019.
- **G.O. 88-B – Clinton Avenue, CPUC Crossing No. 002-1000.70 and DOT No. 028577S, in the City and County of Fresno** - The City of Fresno requests authority to alter the Clinton Avenue at grade crossing in Fresno. The proposed alterations include installation of raised concrete median, repair sidewalk, repaving roadway, upgrading crossing warning devices and fencing along rail right of way at the southeast quadrant. RCEB granted the authorization and it expires on August 22, 2019.
- **G.O. 88-B - Ramona Boulevard At-Grade Highway-Rail Crossing, CPUC Crossing Number 101SG-18.97 and DOT Number 747282J in City of Baldwin Park, Los Angeles County** - The City of Baldwin Park requests authority to alter the Ramona Avenue at grade crossing in Baldwin Park. The proposed alterations include installation of traffic signal with advanced preemption, raised medians, upgrading crossing warning devices and fencing along rail right of way at the northeast quadrant. RCEB granted the authorization and it expires on August 8, 2019.
- **G.O. 88-B - E. Jensen Grade Separated (Overhead) Highway-Rail Crossing, CPUC Crossing No. 001B-207.80-A and DOT No. 757391P, and CPUC Crossing No. 002-995.60-A and DOT No. 028492P Respectively, in the City of Fresno, County of Fresno** - The California High-Speed Rail Authority (CHSRA) proposes to alter the E. Jensen Avenue crossing by constructing a trench structure (the Jensen Trench) under the E. Jensen Overhead in an open bridge span west of the UPRR and BNSF tracks. CHSRA plans to install two mainline tracks (Sierra Subdivision) within the Jensen Trench. The two CHSRA tracks when installed at the crossing will be identified as CPUC Crossing No. 135S-194.30-A and DOT No. 968525U. RCEB granted the authorization and it expires on August 22, 2019.

- **G.O. 88-B - Alter the Kentucky Avenue At-Grade Highway-Rail Crossing, CPUC Crossing No. 108AF-86.00 and DOT No. 750311V in the City of Woodland, County of Yolo** – The City of Woodland requests authorization to modify the Kentucky Avenue at grade crossing. The alterations include widening Kentucky Avenue, installing concrete panels, sidewalks, raised medians, crossing warning devices, and changes to the nearby traffic signal. RCEB granted the authorization and it expires on August 5, 2019.
- **G.O. 88-B - Alter the Kentucky Avenue At-Grade Highway-Rail Crossing, CPUC Crossing No. 108AE-86.10 and DOT No. 750928B in the City of Woodland, County of Yolo** – The City of Woodland requests authorization to modify the Kentucky Avenue at grade crossing. The alterations include widening Kentucky Avenue, installing concrete panels, sidewalks, raised medians, and crossing warning devices. RCEB granted the authorization and it expires on August 15, 2019.
- **G.O. 88-B - Rohnert Park Expressway Highway-Rail Crossing, CPUC Crossing No. 005-47.40, and DOT No. 498674W in the City of Rohnert Park, Sonoma County** - The Sonoma-Marín Area Rail Transit District requests authorization to modify the Rohnert Park Expressway at grade crossing. The alterations include installation of striped crosswalk, pedestrian treatments, far side traffic signals with pedestrian push buttons and fencing along the pathway on south side of the crossing. RCEB granted the authorization and it expires on August 11, 2019.

QUIET ZONE ESTABLISHMENT

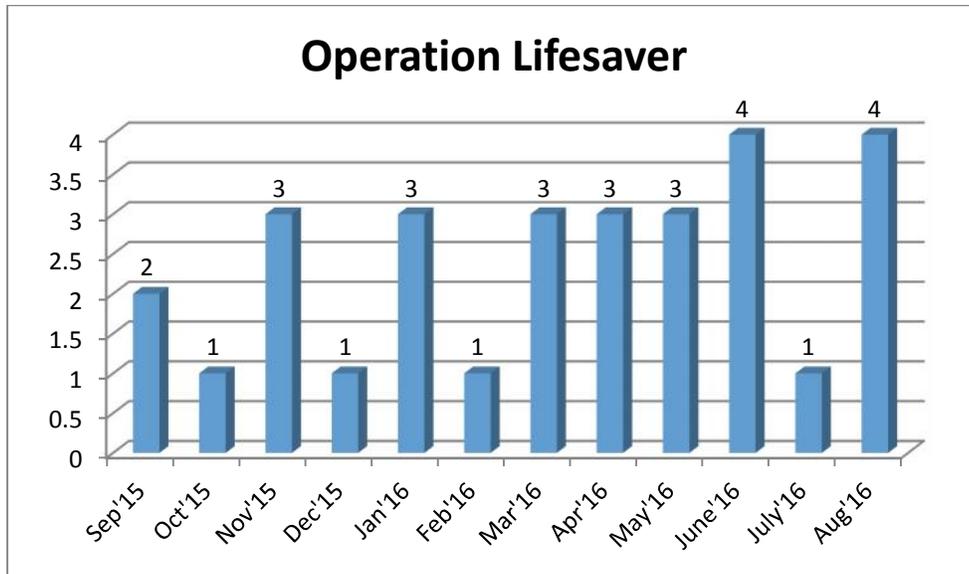
The Federal Railroad Administration requires locomotives to sound a horn while trains approach and enter public highway-rail grade crossings. A Quiet Zone (QZ) is a specified distance along railroad areas where local roadway and railroads apply supplementary safety measures to all highway-rail grade crossings as an effective substitute for the sounding of the locomotive horn. The FRA authorizes the QZ under Title 49 CFR 222.39(a) (3) requirements. Railroads are exempt from sounding horns in a QZ, thus providing the quiet of communities affected by train operations. In August 2016, staff did not review any QZ requests.



OPERATION LIFESAVER INC.

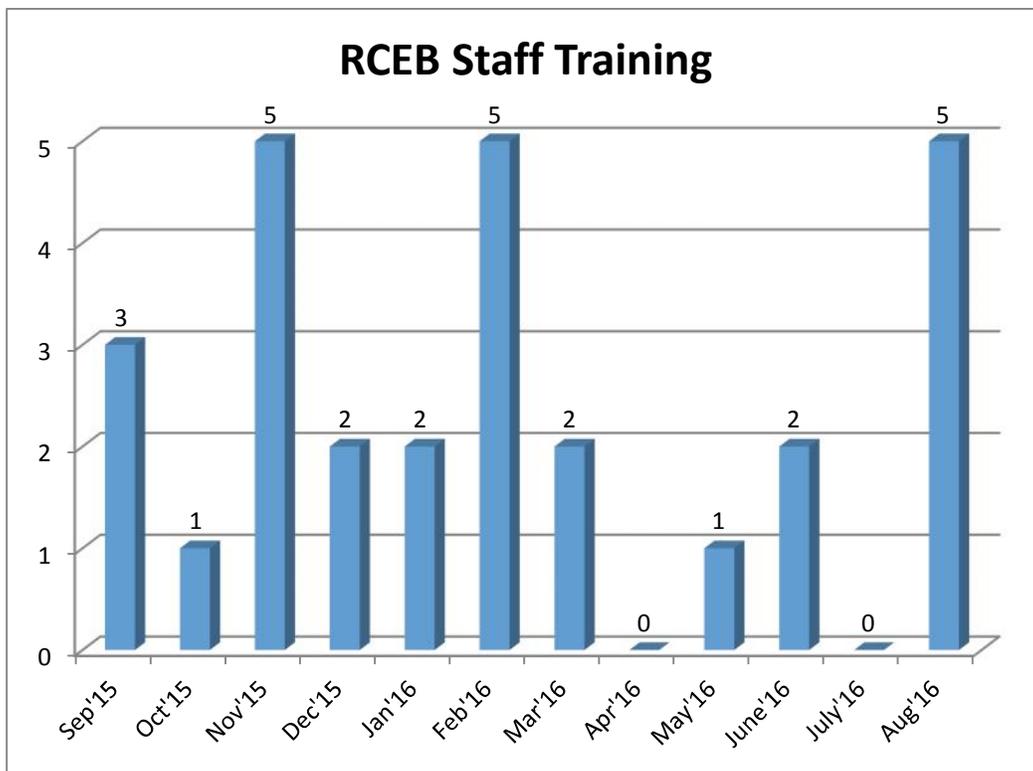
In August 2016, RCEB staff completed four Operation LifeSaver Inc. (OLI) events sharing the OLI rail safety message to adults and children.

- **OLI Event – Roseville Joint Union High School District Bus Drivers, City of Roseville, Placer County** – Staff presented the OLI rail safety message to a group of 40 bus drivers using a power point and video to share rail safety information.
- **OLI Event – Consumes Oaks Drivers Education, City of Elk Grove, Sacramento County** – Staff presented the OLI rail safety message to two groups of new drivers totaling 78 persons, using a power point and two videos to share rail safety information.
- **OLI Event – California Day of Preparedness Community Safety Blitz, City of Sacramento, Sacramento County** – Staff manned a booth and shared the OLI rail safety message to a group of 200, K-8th grade, students by providing pamphlets and souvenirs with the OLI rail safety message.



RCEB STAFF TRAINING

In August 2016, staff completed three training assignments. One staff completed the Workplace Violence and Active Shooter Training; three staff completed the Privacy Training; and another completed the Supervisor Training – Raising the Bar.



STATISTICS SUMMARY

Month	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Incidents	13	16	19	11	16	33	6	22
Fatalities	5	8	5	3	10	15	0	9
Injuries	6	5	6	1	3	4	3	4

- In August 2016, RCEB received 18 incident reports related to highway-rail crossings, one incident near a highway-rail crossing (ROW), and three incident reports related to highway-LRT crossings. The incidents resulted in nine fatalities and four injuries.

RAIL TRANSIT - RTSB

In August 2016, the Rail Transit Safety Branch (RTSB) completed the following:

RAIL TRANSIT INSPECTIONS

- RTSB inspectors performed 14 inspections.

CORRECTIVE ACTIONS PLANS

- RTSB opened 8 new Corrective Action Plans due to incidents, internal safety audits, and inspections.
- 12 Corrective Action Plan was closed.

INCIDENT INVESTIGATIONS

- In August 2016, 17 incidents were reported by Rail Transit Agencies (RTAs).⁵
- 24 incident investigations were closed by RTSB.

⁵ Per General Order 164-D, the Commission must be notified within 2 hours by rail transit agencies of incidents if they include one of the following: a fatality at the scene, or where an individual is confirmed dead within 30 calendar days of a rail transit-related incident; an injury to two or more individuals requiring immediate medical attention away from the scene; property damage to rail transit vehicles, non-rail transit vehicles, other rail transit property or facilities, and non-transit property that equals or exceeds \$25,000; a collision at an at-grade crossing; a mainline derailment; a collision with an individual on a rail right-of-way; a collision between a rail transit vehicle and a second rail transit vehicle, or a rail transit non-revenue vehicle; an evacuation due to life safety reasons.

- **I.16-06-010 Order Instituting Investigation (OII) (Commissioner Randolph/ALJ Kim)** - On June 28, 2016, the Commission issued a Formal Investigation in response to a two fatality Bay Area Rapid Transit (BART) accident on October 19, 2013. The purpose of this investigation is to a) examine the accident, b) determine whether BART repeatedly violated state codes and regulations by failing to provide adequate protection for BART's wayside workers, c) whether BART's train-operating personnel's lack of training and certification contributed to the accident, d) whether BART violated Rule 1.1 of the Commission's Rules of Practice and Procedure by failing to provide the Commission with an accurate list of who would be operating its trains during a strike occurring at the time of this accident, and e) whether Rule 1.1 was violated by BART's failure to obtain prior approval of the use of uncertified, untrained, and unapproved personnel to operate trains during the strike. Additionally, the investigation will determine whether BART should be fined or otherwise penalized for any of these violations. On August 8, 2016 (amended on Aug. 30), BART filed a response to the Commission's OII and associated scoping memo. BART questioned the facts presented by the Commission constituting their violation of Rule 1.1, and argued that they were in compliance with existing regulatory requirements for roadway worker protection and operator training requirements at the time of the accident, essentially attributing the accident to human error rather than the agency's practices.

SAFETY CERTIFICATION AND OVERSIGHT OF RAIL TRANSIT AGENCY PROJECTS

- **Triennial Review of AirTrain:** During the week of August 1st, RTSB Staff performed a Triennial Review of the AirTrain automated people mover system at the San Francisco International Airport.
- **BART New Vehicle Procurement:** BART is in the process of procuring 750 new rail vehicles. BART has already received four of these vehicles (two D cars and two E cars) for testing, and is storing them at its Hayward Yard facility. The areas of testing include the automatic train control system, braking, horns, exterior/interior lighting, and running capabilities. Additionally, BART will simulate revenue service utilizing sand bags placed on vehicles to

obtain the proper weight. RTSB staff is witnessing testing and participating in Safety and Security Certification meetings to oversee the procurement process.

- **The East Contra Costa BART Extension:** This project, also known as eBART, will add 10 miles of track extending rail service eastward from the Pittsburg Baypoint station. Rather than running standard BART vehicles, eBART will utilize a total of eight Diesel Multiple Unit (DMU) vehicles, which will run on standard gauge tracks. This project is currently in the construction phase, and is being safety certified by RTSB, whose staff regularly attends safety certification meetings. Signal testing is expected to begin in October 2016, and the project expects to be in revenue service by approximately August 1, 2016.
- **BART Warm Springs Extension:** This project proposes an additional 5.4 Miles of BART track connecting the currently existing Fremont BART station with a new BART station located in the Warm Springs district in the city of Fremont. Construction has been monitored by RTSB, and will be safety certified when complete. Staff has been attending and witnessing testing. Additionally, RTSB staff plans to perform an inspection of this project on September 13, 2016. The Warm Springs Extension Project Team will be submitting the Safety and Security Certification Report to the Commission in late September 2016. The project is expected to be in revenue service on approximately October 22, 2016
- **Silicon Valley Berryessa Extension:** BART and SCVTA are currently jointly in the process of constructing a 10 mile track extension and two new stations – the Milpitas and Berryessa stations. The project is expected to be complete in late 2016/early 2017, and is currently in the construction phase for certain areas (I.E. Traction Power Substation (TPSS), Train Control, Communication, etc.,) and in the pre-testing phase for others. RTSB has monitored this project, and has safety certified it. Staff attended a Berryessa Station generator testing event in July 2016.
- **SFMTA New Vehicle Procurement:** SFMTA is in the process of procuring 260 new rail vehicles, which will be received by SFMTA over the next 15 years. The first batch, consisting of 24 cars, will be received in 2017. All new vehicles will be put through a wide range of tests in order to complete the safety certification process. RTSB staff is currently working with SFMTA to finalize the safety certification plan for this project so that the plan can be

approved by the Commission through the resolution process. On August 12, 2016, CPUC received the Preliminary Hazard Analysis, Threat and Vulnerability Analysis, and the Safety Certification Plan for this project. The plan is currently under review. CPUC staff will attend monthly meetings with SFMTA to oversee the Safety Certification Process and to monitor the progress of testing.

- **Central Subway Project:** SFMTA is excavating 1.7 miles of tunnel to extend the Muni Metro T Third Line to provide a direct transit link between the Bayshore and Mission Bay areas to SoMa, downtown, and Chinatown. This project, due to be completed in 2019, is currently in the construction phase and is being monitored by RTSB through regular meetings, review of documentation related to safety certifiable elements to ensure conformance with specified safety requirements, and site visits pursuant to CPUC's safety certification requirements.
- **LA Metro (LACMTA) P3010 New Vehicle Procurement Project:** LACMTA is in the process of procuring up to 235 new rail vehicles to provide the needed capacity expansion for the recently completed projects (Expo Phase 2 and Foothill Extension Phase 2), and for the future LAX/Crenshaw line which is currently in construction. In addition, the existing LACMTA Blue Line fleet is nearing the end of its service life and will be replaced. On March 4, 2016 RTSB staff approved the LACMTA request to introduce the first batch of P3010 cars into revenue service after review of the Safety Certification Verification Report, various test records, and the individual vehicle history books. A total of thirty (30) P3010 vehicles have been approved for revenue service by staff so far.
- **LACMTA Crenshaw/LAX Corridor Project:** LACMTA is constructing a new light rail transit line through the Crenshaw/LAX Corridor. The Line will travel 8.5 miles from the existing Metro Exposition Line at Crenshaw and Exposition Boulevards to the LACMTA Green Line and will serve the cities of Los Angeles, Inglewood and El Segundo; and portions of unincorporated Los Angeles County. The project is currently in the early construction phase and is being monitored by RTSB through regular meetings. The project is due to be completed in 2019.

- **LACMTA Regional Connector Project:** Currently in utility relocation phase. RTSB staff regularly attends LACMTA's monthly Fire Life Safety and Security Meetings, as well as Safety and Security Certification Review Meetings.
- **LACMTA Purple Line (Westside) Extension Project:** LACMTA is currently expanding rail network and services, including extending the Purple Line. The Westside Purple Line Extension, previously named the Westside Subway Extension, extends service from the terminus at Wilshire/Western Station to Westwood (UCLA and Veteran's Administration Hospital). This extension, consisting of nearly nine (9) miles of track and seven stations, is planned to be constructed in three (3) sections, and is currently in utility relocation phase. RTSB staff regularly attends LACMTA's monthly Fire Life Safety and Security Meetings, as well as Safety and Security Certification Review Meetings.
- **LACMTA HR4000 Heavy Rail Vehicle Procurement:** LACMTA is in the process of procuring up to 282 new heavy rail vehicles to provide for the future expansions of Regional Connector and Purple Line Extensions, and to replace the existing aging HRV fleet. RTSB staff received LACMTA's Safety and Security Certification Plan (SSCP) for the HR4000 and has initiated the transit resolution process for Commission approval through internal processes for RTSB management review and approval.
- **San Diego Trolley, Inc. (SDTI):** The San Diego Metropolitan Transit System Mid-Coast Corridor Project is a 10.9 mile double track light rail transit line which begins at the Old Town Transit Center in San Diego. The project provides future SDTI revenue service to the Linda Vista, Clairemont, University California San Diego (UCSD) campus and the University City areas. The rail line runs parallel east of Interstate 5 in an existing railroad corridor currently used by Amtrak, North County Transit District Coaster Commuter trains, and Burlington Northern Santa Fe freight railroad. The SDTI trains will run on its own railroad tracks in a "common corridor". The Mid Coast Corridor Transit Project future stations are: Tecolote Road, Clairemont Drive, Balboa Avenue, Nobel Drive, potential Veterans Administration (VA) Medical Hospital, UCSD West (along Voigt Drive), UCSD East (along Voigt Drive), Executive Drive, and University Town Center (UTC) Transit Center.

California Public Utilities Commission | Safety and Enforcement Division

- Mid-Coast Safety and Security Certification Plan:** Staff approved the plan on May 23, 2016, as required by GO164-D. Construction is planned for late 2016 and revenue service begins late 2021. Staff is attending the System Safety Review Committee Meetings and Fire Life Safety Committee meetings for this project.
- Other SoCal Safety Certification Projects:** Several projects are in various phases of early design and engineering in the Southern California region: OC Streetcar Project (in Orange County), LA Streetcar Project (in City of Los Angeles), Angels Flight Railway (in City of Los Angeles), and LAX Automated People Mover (for Los Angeles International Airport). RTSB staff regularly attends Fire Life Safety Committee meetings, Safety Certification Team Meetings, etc. to monitor and track any safety related issues.

STATISTICS SUMMARY

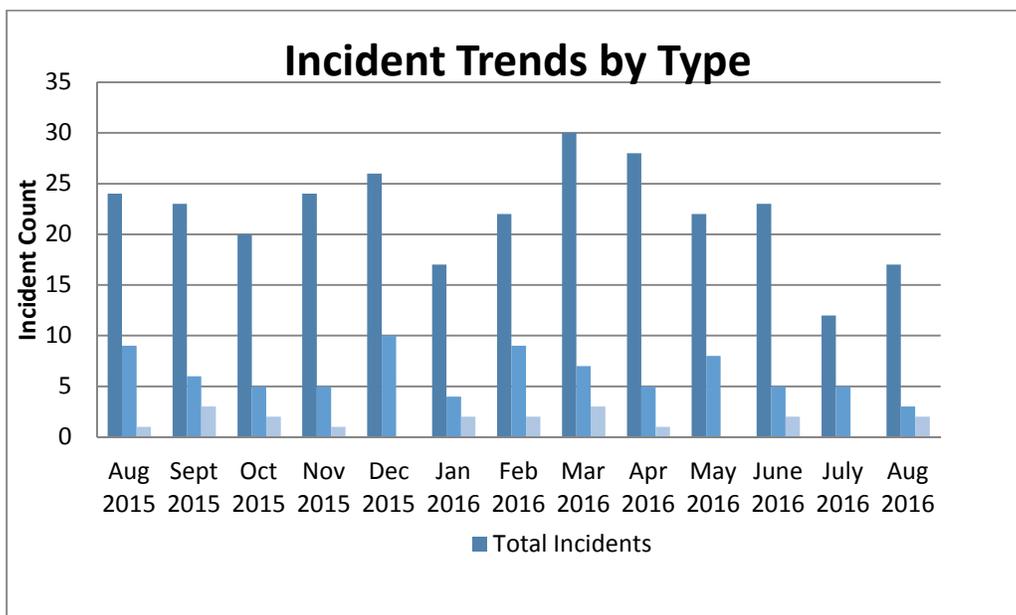
Investigations	
Incidents Reported	17
Incident Investigations Closed	24
Complaints Investigated	0
Rail Transit Inspections	14
Triennial Audits	1

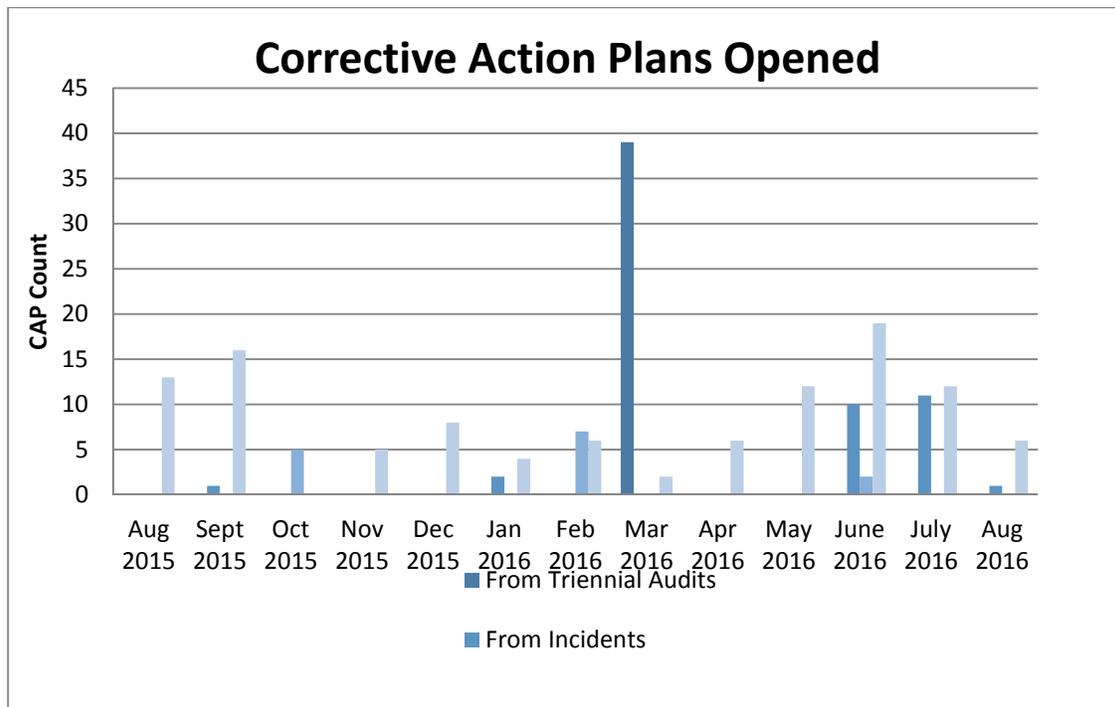
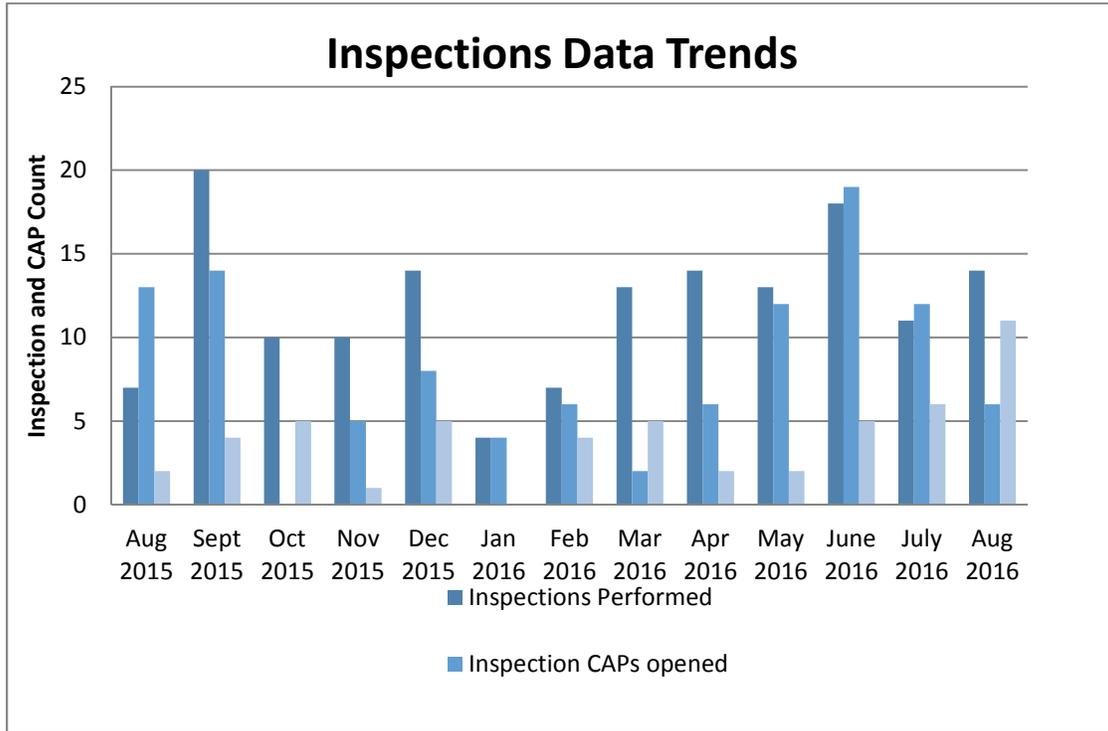
Corrective Action Plans	
New Corrective Action Plans	7
From Triennial Audits	0
From Incidents	1
From Internal Safety/Security Audits	0
From Rail Transit Inspections	6

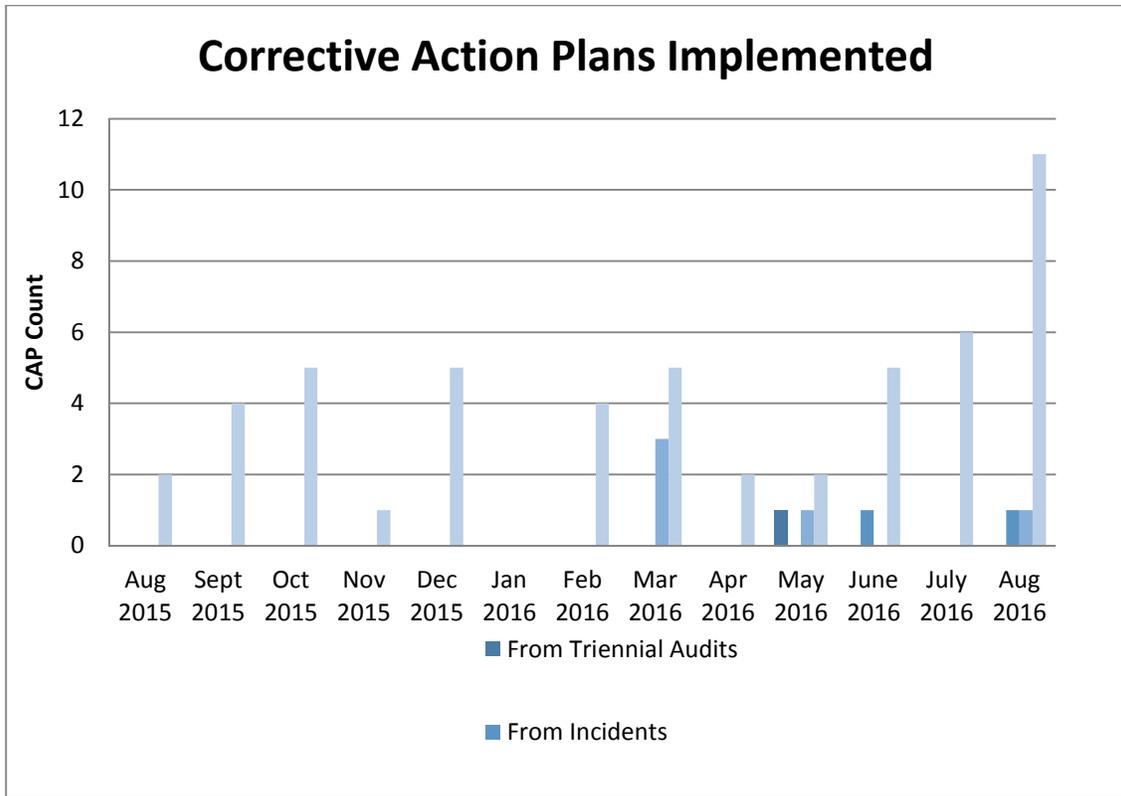
Closed Corrective Action Plans	12
From Triennial Audits	0
From Incidents	1
From Internal Safety/Security Audits	0
From Rail Transit Inspections	11

ONGOING DATA / TRENDS

Corrective Action Plans – Days to Complete				
CAP ID #	Relevant Code	CAP Classification	Subject	Days to Complete
ME080316	GO 143-B Section 1.08	Inspection	Vent	30
			Brakes	
TR083016	GO 128, Section 12.2	Inspection	Exposed Elec wire	30
ME080516	GO 143-B, Section 1.08	Inspection	Decals	30
TR082316	GO 143-B, section 14.05	Inspection	Debris	30
TR081016	GO 143-B, section 14.05	Inspection	Loose Bolt	30







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