

# Safety and Enforcement Division



**Monthly Performance Report,**

**May 2016**

**Safety Action Plan Deliverable #1**

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## Disclaimer

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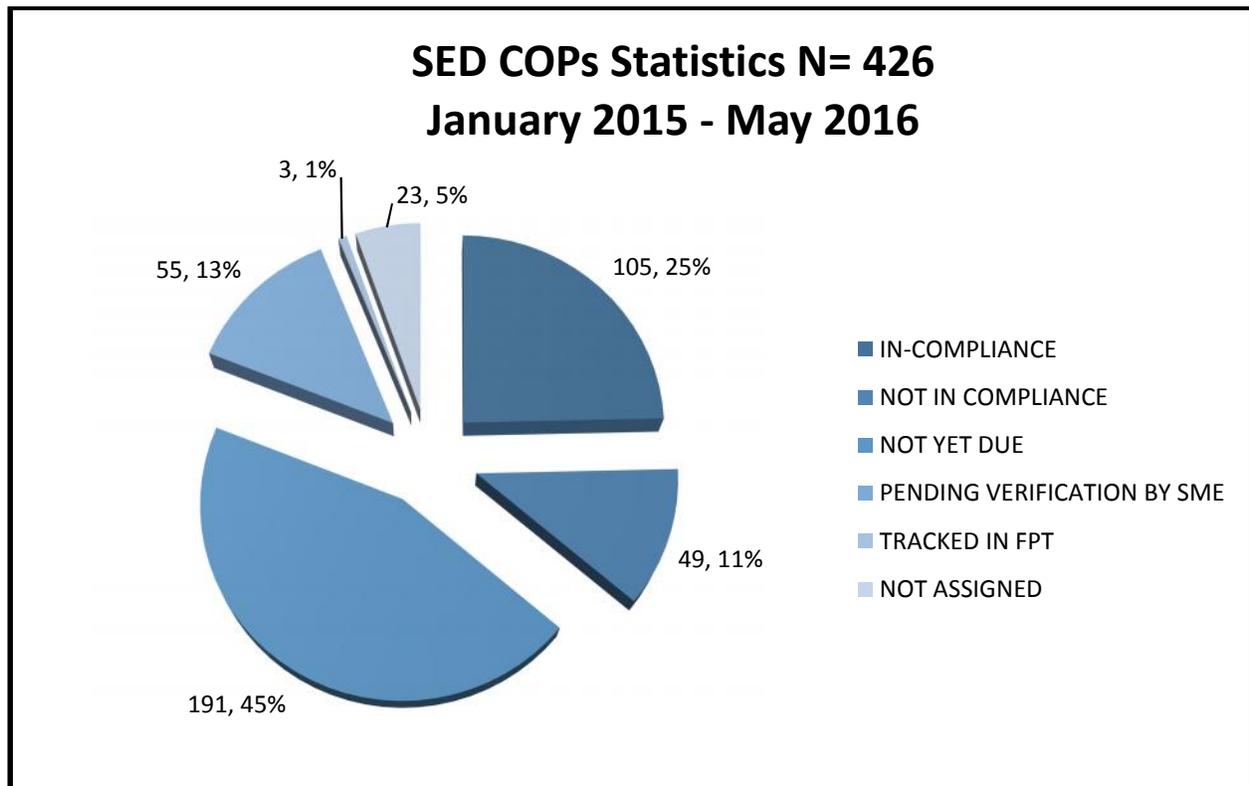
This Report has not been approved or disapproved by the CPUC.

## 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 as of April 2016, 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 April 30, 2016, SED shows 426 total entries in the COPS system; with fewer than half (45%) not yet due for compliance. During May 2016, there were 39 new entries, which are reflected in the totals below.

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.<sup>1</sup>

### INSPECTIONS

- **2016 Inspections:** We have conducted 41 scheduled inspections in Q1, and have completed the final inspection report for 3 of these 41 inspections during 2016.
- **Pre-2015 inspection backlog remaining:**
  - 3 open inspections from 2014

### INCIDENT INVESTIGATIONS

As of May 31, 2016, GSRB Staff received 65 incidents year to date. All pre-2015 incident investigations have been completed.

Metrics on 2015 Incident Investigations:

TOTAL reported in 2015	191	Percent
Open	28	15 %
Closed	163	85 %

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

The CY 2015 incidents<sup>2</sup> are categorized as follows:

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

### UTILITY SELF-IDENTIFIED VIOLATION (SIV) INVESTIGATIONS

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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. There were no self-identified violations reported in May 2016.

### NATURAL GAS RELATED PROCEEDINGS

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- **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.
- **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):** Commissioner Michael Picker's Amended Scoping Memorandum and Ruling for Phase II of the instant proceeding, which amended the October 1, 2015, Scoping Memo for Phase II, by modifying the scope and schedule regarding the requirements on self-identified potential violations was issued on June 15, 2016. In addition, this Amended Phase II Scoping Memo requests that parties comment on the June 1, 2016, Report by the Safety and Enforcement Division, attached to the amended scoping ruling, with Opening Comments due July 15, 2016, and Reply Comments due August 5, 2016.

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<sup>2</sup> 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.

- **Sempra Pipeline Safety Enhancement Program (A.14-12-016) (Commissioner Peterman/ALJs Long and Mason) (Advisory):** This proceeding deals with disposition of expenses in the balancing account for pipeline safety work. No updates for May.
- **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 May.

## ELECTRIC SAFETY AND RELIABILITY PROGRAMS

### ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM: AUDITS AND INCIDENT INVESTIGATIONS

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

- Received 9 electric incidents and closed 8 previously reported electric incidents;
- Investigated 19 customer safety and reliability complaints;
- Performed three Communication Infrastructure Provider (CIP) audits; and
- Performed one Substation audit.

**Metrics for Facility Incident Investigations as of May 30, 2016**

Electric and Communication Facilities	Level 1	Level 2	Level 3	Level 4	Total <sup>3</sup>
<b>Total open incidents</b>	4	16	17	30	67
<b>Total incidents reported in 2016</b>	7	14	8	14	43
<b>Total incidents closed in 2016</b>	8	7	10	12	37
<b>Total open 2016 incidents</b>	4	13	8	13	38
<b>Incidents reported in May 2016</b>	2	1	2	4	9
<b>Incidents closed in May 2016</b>	0	4	2	2	8
<b>Average closure time of incidents in 2016</b>	163 days	217 days	175 days	240 days	194 days

<sup>3</sup> 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.

ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS

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- **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.
- **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 power-line fires due to strong winds, dry vegetation, and other environmental conditions. A pre-hearing conference is scheduled on June 22, 2016 to discuss next steps.
- **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 is currently reviewing the comments and preparing a response.
- **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). As described in the GSRB section above, GSRB and ESRB jointly prepared an SED report on self-identified potential violations, dated June 1, 2016, and Commissioner Picker has issued an Amended Scoping Memo that provides for comments on the report.
- **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. ESRB will continue to review documents and attend scheduled workshops to evaluate any potential safety issues.
- **SB 1028 (Hill) “Electrical corporations: wildfire mitigation plans”:** On February 12, 2016, Senator Hill introduced SB 2018, 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. ESRB is currently waiting for additional instructions regarding next steps.

### ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: REPORTS AND OTHER ACTIVITIES

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- **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.
- **Long Beach Outages Investigation:** 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. ESRB has conducted a full investigation of the outages and is drafting an investigation report.
- **General Order 174 Substation Program:** D.12-10-029, which adopted substation inspection programs, requires the electric utilities to hold annual best practice workshops in 2014, 2015 and 2016, and for ESRB staff to attend the workshops and to report on them in 2016. ESRB attended the final meeting on January 29, 2016, and is currently drafting a report, as required by D.12-10-029.
- **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.
- **Database Update Project:** ESRB is working with a consultant to update the Facilities Section database. The database was migrated in January, with faster and more efficient access. ESRB is currently working with the consultant to add more features and analysis.

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

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

- Investigated 21 forced or planned outages at power plants through phone calls and email inquiries.
- Continued to monitor and track corrective actions of four plants (Gateway, Redondo Beach, Los Esteros, and Inland Empire) for compliance with GO 167 requirements. Staff completed comprehensive audits of the four plants in 2015.
- Received one safety incident (a minor fire occurred at a 400 MW solar plant). Please see the 2016 year-to-date incident statistics in the table below.

**Metrics for Generation Incident Investigations as of May 31, 2016**

Electric Generation Incidents	Level 1	Level 2	Level 3	Level 4	Total <sup>4</sup>
<b>Total incidents reported in 2016</b>	2	0	0	0	2
<b>Total incidents closed in 2016</b>	1	0	0	0	1
<b>Total open 2016 incidents</b>	1	0	0	0	1
<b>Incidents reported in May 2016</b>	1	0	0	0	1
<b>Incidents closed in May 2016</b>	0	0	0	0	0
<b>Average closure time of incidents in 2016</b>	1 day	-	-	-	1 day

<sup>4</sup> 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.

## UTILITY RISK ASSESSMENT AND MANAGEMENT

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### REVIEWING SAFETY & RISK IN GENERAL RATE CASES

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On May 19, 2016, ALJs Wong & Lirag issued for comment a proposed decision in the 2016 San Diego Gas & Electric and Southern California Gas Company (aka Sempra utilities) Test Year 2016 General Rate Case proceeding (A.14-11-003/004). SDG&E had originally requested a TY 2016 revenue requirement of close to \$1.9 billion (\$324 million for gas operations, and \$1.57 billion for electric operations), and SoCalGas had requested a TY 2016 revenue requirement of \$2.3 billion.

In a series of settlements (five in all) with Parties, the utilities agreed to slightly lower amounts. For SDG&E, a 2016 revenue requirement of \$1.81 billion (\$310.487 million for gas operations, and \$1.5 billion for electric operations). For SoCalGas, the settlement proposed a 2016 revenue requirement of \$2.22 billion. The attrition years, 2017-2018 would be allowed a 3.5% increase per year. The PD would adopt all the settlements and settled amounts, with some downward adjustments for certain tax-related issues (depreciation and treatment of returns).

Because the adopted dollar figures derived from settlement, there was little discussion of spending related to safety per se, or the cost of proposed programs to mitigate risk. Sempra's testimony had provided a discussion of the utilities' risk models and top safety risks, which were reviewed and critiqued by SED Risk section's March 2015 report. The SED report was meant to be informational rather than critical, but it did make recommendations that more information needed to be provided about some of SDG&E's mitigation programs for its top risk, wildfire caused or exacerbated by utility facilities.

The PD has adopted SED's subsequent recommendation that the utilities provide limited accountability reports on spending and safety impacts for these programs one year following the final decision and then again two years after to provide the Commission with a way to track actual spending and impacts on safety. These compliance filings would focus on specific risk mitigations and safety related expenditures, as identified by SED, and by intervenors.

SED staff will work cooperatively with Energy Division and the utilities to structure the accountability reports to meet Commission expectations.

There was one specific set of capital spending programs that SDG&E had proposed for Safety & Risk mitigation projects, amounting to \$142.2 million over three years. The settlement edged that down to \$135 million. A similar slight reduction was also adopted for gas integrity management programs, close to but not quite the amounts SDG&E/SoCal originally sought.

There is some discussion of Aliso Canyon and the proposed six-year Storage Integrity Management Program (SIMP). The settlement was entered before the leak, and nothing in the record of the case really questioned the proposed SIMP. Generally the program would be approved under the PD, for \$38 million in TY O&M and \$235 million capital over three years, but there is an open question about how the Commission will treat expenditures related to the leak. The PD would subject such spending to two-way balancing account treatment.

*“Funding the underground storage O&M costs and capital expenditures at these levels will ensure that the facilities are being maintained in good working order, and that the SIMP is carried out. All of those maintenance, mitigation, and preventative activities described in SoCalGas’ testimony should enable it to prevent a similar leak from occurring in the future at its underground storage facilities,”* the PD stated.

The Sempra GRC PD would specifically preclude ratepayer funding for executive incentives for actions tied to poor safety outcomes, including the Aliso Canyon methane leaks and wildfires:

*“The non-represented employees and executives at SDG&E and SoCalGas should not be rewarded from variable compensation for unsafe incidents.”*

New Risk Management and Mitigation policies were not quite developed enough to have significant impact on this transitional GRC, and it does not appear that any of the dollar amounts adopted in the PD were based on safety impact analysis.

In response to a motion from the utilities, the Commission has set a June 20 oral argument on the GRC PD. The decision may appear on the Commission’s business agenda for June 23.

## PROCEEDING UPDATES

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### PROCEEDINGS

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- **Safety Model Assessment Proceeding (A.15-05-002, et al) (President Picker/ALJ Kersten) (Advisory):** Activities on support of Phase 1 of this consolidated proceeding continued during May, with SED Risk Staff completing its review of comments and replies on Staff's evaluation report on the four major utilities' risk models, as presented in their May 2015 applications and refined via a series of workshops and working groups. Staff is assisting in the drafting of a proposed decision expected to be issued in mid-June.
- **Gas Leak Abatement OIR (R.15-01-008) (President Picker/ALJ Kersten) (Advisory):** Because of delays in finalizing revised reporting templates, parties will have until June 17, 2016, to submit their leak data for 2015. On April 12, CARB hosted a joint agency workshop in Sacramento on the issues of targets, compliance and enforcement. SED Staff, working with CARB Staff, have prepared a workshop report, which will be issued for comment in early June.
- **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. Utilities and industry representatives have proposed elements of such inspection protocols, which are being reviewed by the Risk Assessment and Electric Generation sections for further action. On May 23, Staff from Risk and EG sections toured PG&E's Vaca-Dixon substation, where an operational Sodium Sulphur (NaS) battery unit has been installed and is providing grid services to the California Independent System Operator.
- **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, and will be pursuing options for working with the utilities and stakeholders to try to standardize utility requirements.
- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ Bushey) (Advisory):** SED Risk section will be the program manager for this contract, which will result in a thorough evaluation of PG&E's efforts to advance a Safety Culture in its organization and operations. SED staff and expert witness NorthStar Consulting have been attending several "orientation" meetings with PG&E managers to begin the investigation process. NorthStar on May 27 presented a refined statement of work for its contract, which SED will review and incorporate into the investigation process.
- **SDG&E/SoCal Gas General Rate Case (A.14-11-003/004) (President Picker/ALJs Wong and Lirag) (Advisory):** A proposed decision was issued on May 19 (see more detailed

description above). The Commission has set a June 20 oral argument on the GRC PD. The decision may appear on the Commission’s business agenda for June 23.

- **PG&E 2017 General Rate Case (A.15-09-001) (President Picker/ALJ Roscow) (Advisory):** Intervenor began filing testimony and workpapers to support their positions. The Office of Ratepayer Advocates filed on April 8, 2016, and other intervenors filed testimony on April 29. SED’s Risk section is currently reviewing those filings for any specific proposals or issues related to risk assessment methodologies or proposed spending to improve safety in PG&E’s gas and electric operations.
- **Electric Vehicle Charging Pilots; PG&E (A.15-02-009) (Commissioner Peterman/ALJ Farrar)(Monitoring):** The Commission held evidentiary hearings April 26-29, 2016, on a proposed a settlement agreement in this proceeding, which included SED’s recommendations for safety requirements in equipment certification, installation, and training of charging station operators. These proposals are similar to those adopted for the other utilities in recent CPUC decisions, bringing consistency to regulation of this new area. There was no major activity during May.
- **Public Records Act Revisions Rulemaking (R. 14-11-001) (President Picker/ALJ Lirag) (Advisory):** Working with the Assigned Commissioner’s Office and Legal Division, SED Staff moderated a workshop on February 2, 2016, to devise a matrix of how to treat various documents subject to Public Records Act requests. Utilities and other parties in early March provided their proposed categories of documents that they believe should be protected from public release, citing statutory authorities or other justifications, as well as identifying types of information or documents that may be made public without protections. No new activity during May.

**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.

**STATISTICS - 1/01/16 TO 5/31/16**

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
<b>January</b>	0	0	1	0	0	0
<b>February</b>	0	5	1	0	2	0
<b>March</b>	0	0	0	0	0	0
<b>April</b>	0	2	0	0	0	0
<b>May</b>	0	0	0	0	1	0
<b>Total 2016</b>	<b>0</b>	<b>7</b>	<b>2</b>	<b>0</b>	<b>3</b>	<b>0</b>

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
YTD	0	0	0	1	0	0	1

Test, Incomplete or Duplicate Whistleblower Complaints	
January	0
February	4
March	0
April	3
May	0
YTD	7

## OFFICE OF RAIL SAFETY

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### RAILROAD SAFETY - ROSB

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

<b>New Incidents Investigated</b>	9
<b>Informal Complaints Investigated</b>	2
<b>Safety Assessments/Reviews</b>	1
<b>Compliance Actions</b>	520
<b>Major Inspections Completed</b> - Such as Focused Inspections	3
<b>Operation LifeSaver Presentations</b>	2

#### ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

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- **May 5, 2016:** CPUC Rail Safety Inspectors conducted a routine Inspection of BNSF yard in La Mirada, California. The inspection was a proactive approach to verify material being used in the maintenance of new track and ballast being installed in the yard, prior to installation. The ballast was checked for compliance with State General Order 118A walkways and the tracks were checked for 26D clearances. We discovered that the ballast being used is non-compliant for 118A walkway conditions during the inspection. This information was shared with the Senior Trainmaster to ensure that it isn't used in the walkway. All tracks inspected were compliant with 26D clearances.
- **May 6, 2016:** CPUC Rail Safety Inspectors performed an audit of North County Transits District (NCTD) Coaster passenger train service. NCTD has sub contracted all of its operating services to Transit America Services America, a subsidiary of Herzog. The audit was focused on hours of service compliance as defined in 49 CFP Part 228. The

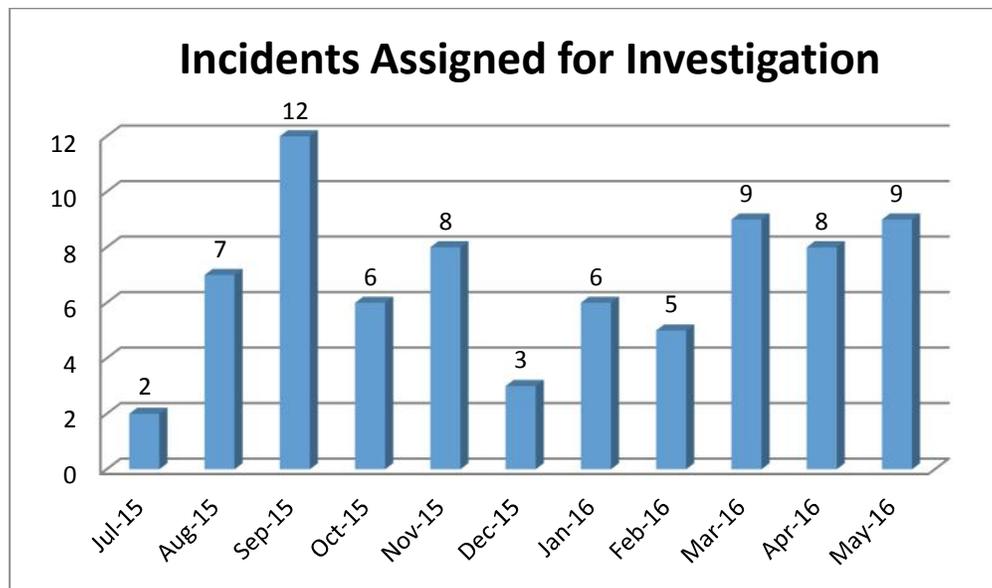
inspection was to ensure that all parts of the hours of service requirements were met, not exceeded, and recorded properly. Over two days staff reviewed a total of 72 records of both passenger train engineers and passenger train conductors. Staff identified three records that had inaccurate or misleading information which included: a deadhead was entered totaling one minute, data entered had different locations for relived and start times when location was actually the same. All defects were discussed with a carrier officer and will be addressed and corrected with the crew base by Transit America Services staff. This audit was also used as a training event for two new operating practices in order to proceed closer to an operating practices certification.

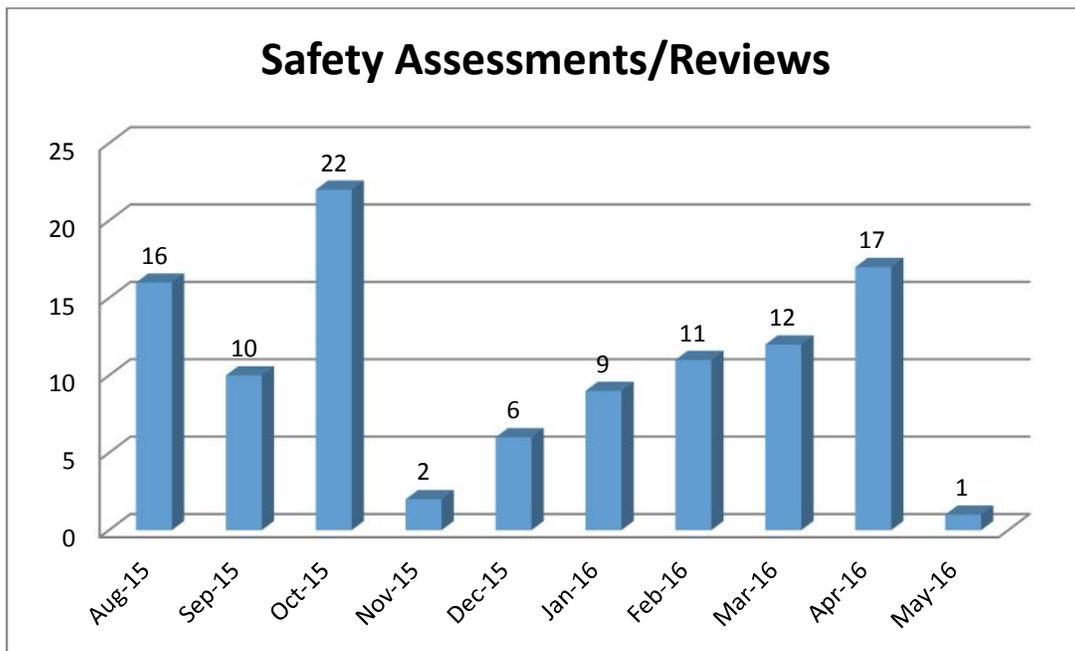
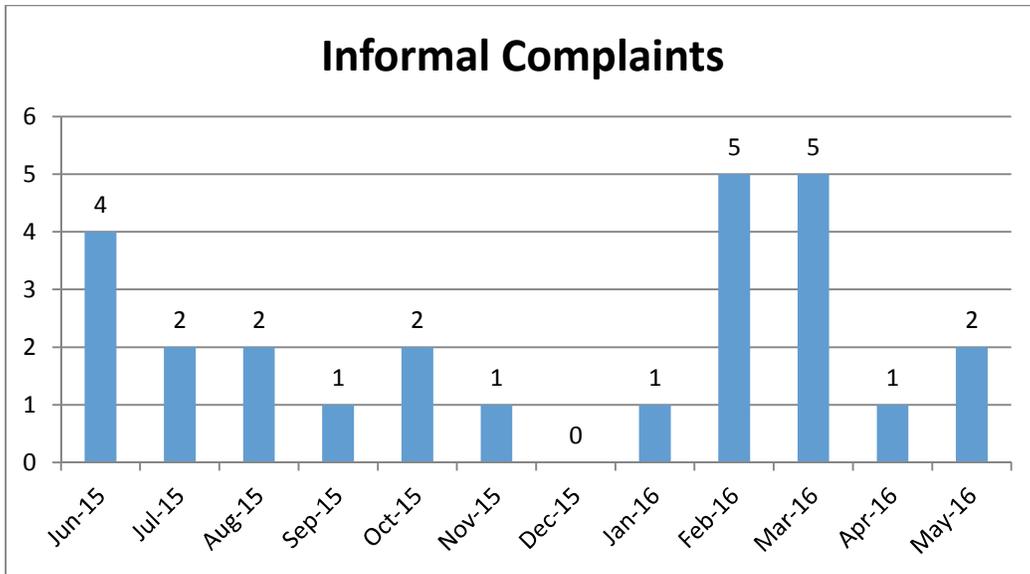
- **May 10, 2016:** CPUC Rail Safety Inspectors participated in a table-top exercise in Long Beach, with a multitude of agencies from around the state and country. The drill focused on a fictitious crude oil train derailment in the city of Long Beach, with the main focus on what the state and federal responding parties to the disaster could provide in the way of manpower, operations, equipment, financial aid, and a variety of other needs during the time of crisis. The rest of the week was centered on hazmat shipper inspections in Orange County, CA. Four hazmat facilities, located in Anaheim and Placentia, were chosen for audit. CPUC Rail Safety Inspectors Brent Cooper, Chris Ranford, Tom Logan, and James Rand and federal (FRA) inspector Jonah Lenear conducted the inspections over a two day period. Noncompliant deficiencies were discovered during the inspection, and the responsible parties were notified immediately for corrective action.
- **May 10, 2016:** Two CPUC Rail Safety Inspectors conducted a State General Order and Federal Railroad Administration (FRA) focused inspection of Lakeview Railway's Lakeview Subdivision, from Alturas, California (CA) to the CA/Oregon border (near Lakeview, OR). The focused inspection was warranted due to continued non-compliance with State and Federal regulations involving track structure and railroad employee safety. Many federal rule deficiencies were noted and subsequently recommended for civil penalty; the most common defect being for non-effective rail joint ties.

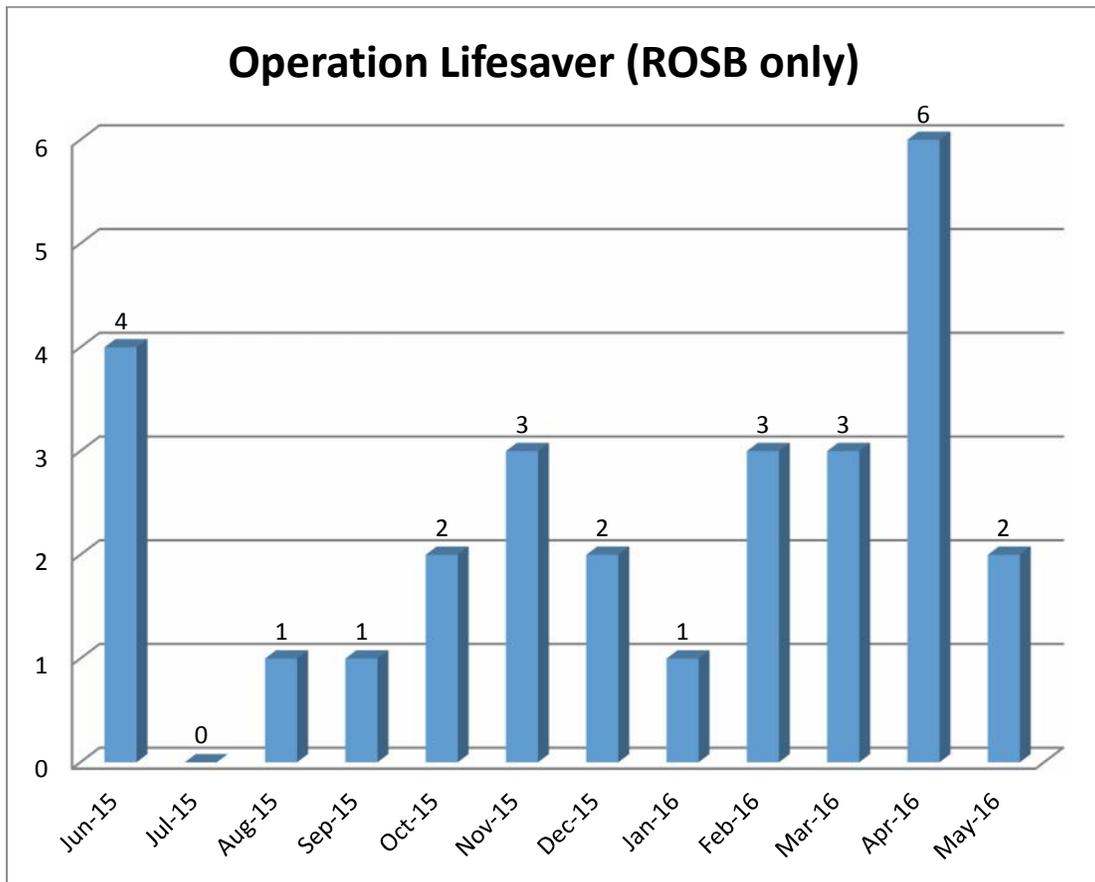
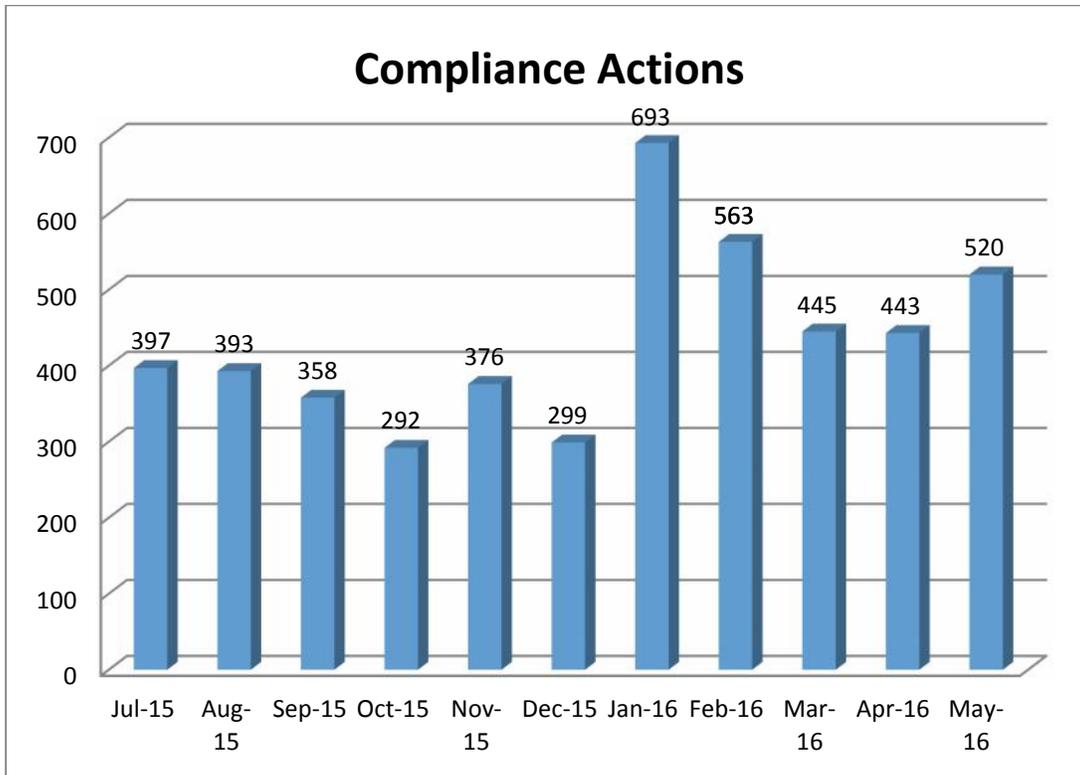
- **May 25, 2016:** Three CPUC Rail Safety Inspectors attended the Alameda County Office of Emergency Services (OES) Team Derailment Exercise. The exercise was to simulate a train derailment with a hazardous materials spill. The exercise was attended by the local Fire and Police Departments, Police Department personnel from various jurisdictions, U.S. Coast Guard personnel, Department of California Fish and Game, Caltrans personnel and rail safety regulators from the State of California. The need for updated Safety Response Plans and communication between the agencies involved and the public at large were major discussion points. CPUC Rail Safety Inspectors were able to answer questions about various aspects of railroad operations and questions about State and Federal regulations and State General Orders.
- **May 25, 2016:** CPUC Rail Safety Inspectors participated in a joint focused inspection of the Burlington Northern Santa Fe Yard in Long Beach, California. The Federal Railroad Administration conducted an inspection in August, after collecting and studying data they moved it forward this year to catch the incoming fireworks. Most of the fireworks are produced in China and flood into the country this time of year in preparation for our July 4<sup>th</sup> celebrations. The FRA brought all their Hazardous Material Inspectors from region seven, to increase the number of inspected containers over a three day period. These types of joint inspections are becoming very common throughout the year; it used to be a quarterly event. The two agencies are now routinely joining each other, even on normal daily inspections. Our agency has increased the number of inspectors to equal the FRA's so when we join together we now have a large enough group to enable three yards to be inspected at a time. This enables us to open at least 25% more containers than in the past. These continued efforts are benefiting public safety by allowing us to cover the port of Long Beach with a greater presence.
- **May 25, 2016:** CPUC Rail Safety Inspectors performed a regular inspection at the Union Pacific yard located in Commerce. During the course of the inspections staff identified a derail that was in the non derailing position. Railroad operating rules, as well as the code of federal regulations, require that when derails are not in use to be lined in the

derailing position. As a result of finding this derail not lined properly, staff recommend a civil penalty of \$7,500 be assessed by the Federal Railroad Administration.

- **May 28, 2016:** CPUC Rail Safety Inspectors and FRA hazmat teams canvassed the Long Beach and Commerce Intermodal facilities for hazmat shipments, with the main focus on inbound fireworks from Asia, and destined for the annual upcoming 4<sup>th</sup> of July celebrations throughout the country. At the BNSF commerce facility, 36 containers were inspected, 6 containers, laden with fireworks, were noted for defects, and 2 containers were discovered with improper markings, placards, and lack of proper hazmat information within shipments of fireworks, both containers were put on hold until the corrective action could be made by the either the shipping company or railroad. Originating shipping companies were notified of possible civil penalties.







**RAIL CROSSINGS - RCEB**

In the month of May 2016, the Rail Crossings and Engineering Group completed the following:

	Open at Period Start	New During Period*	Closed During Period	Open at End of Period
<b>2015 Crossing Incident Investigations</b>	30	2	12	20
<b>2016 Crossing Incident Investigations</b>	40	14	6	48
<b>Informal Complaints Investigations</b>	27	1	3	25
<b>Safety Assessments/Reviews</b>	0	35	35	0
<b>Environmental Reviews</b>	0	108	108	0
<b>Proceedings, Resolutions and G.O. 88-B Reviews</b>	20	11	17	14
<b>Quiet Zones</b>	0	1	1	0
<b>Operation LifeSaver Presentations</b>	0	3	3	0
<b>Staff Training</b>	0	1	1	0
*As RCEB checks FRA data with CPUC data, RCEB adjusts the number of incidents for 2015 and 2016.				

**RAIL CROSSING INCIDENT INVESTIGATIONS**

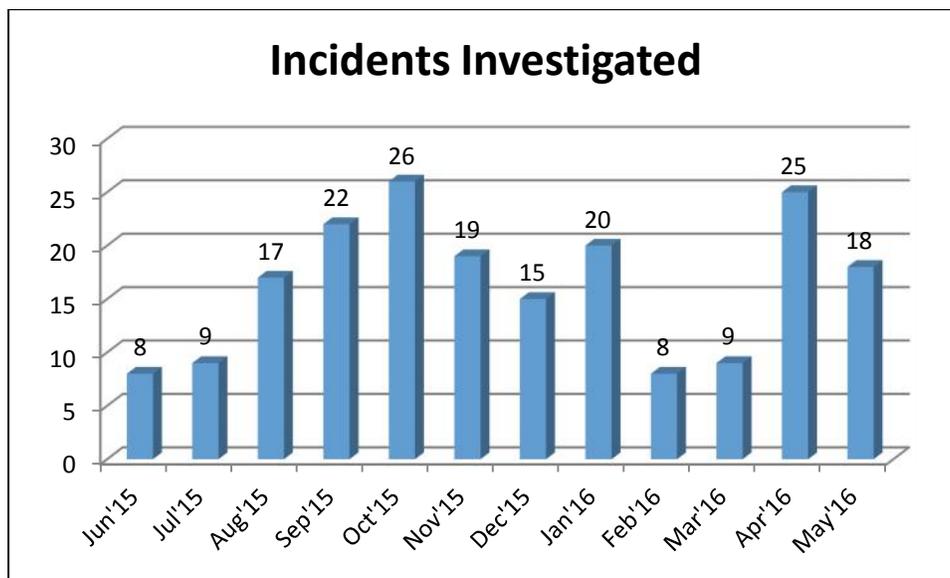
- In May 2016, the Rail Crossings and Safety Branch engineers received 14 new crossing incidents in 2016 and 2 new incidents related 2015. Staff also completed 18 highway-rail crossing investigations.

Year	No of Crossing Incidents	Fatalities	Injuries	Open – start May 2016	New May 2016	Closed may 2016	Open at End of Period
<b>2015</b>	154	56	57	30	2	12	20
<b>2016</b>	57	22	12	40	14	6	48

- **INCX2015090018 - Vehicle at Crossing for 105E-18.00, 754903U** -Staff completed the investigation of the September 22, 2015, vehicle at crossing collision at the 4<sup>th</sup> Avenue

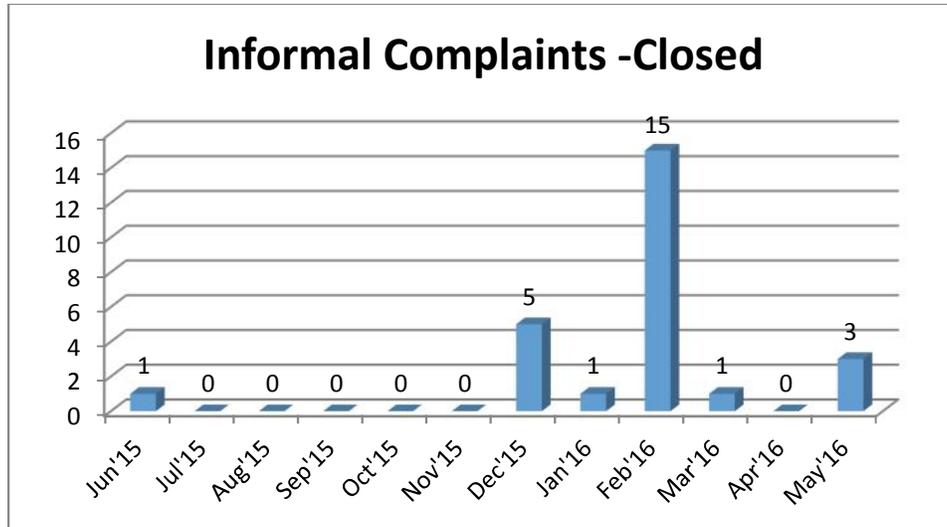
crossing in the City San Mateo, San Mateo County. The collision resulted in an injury. Staff recommended a queuing study and need for preemption.

- **INCX2015100008 - Vehicle at Crossing for 001L-41.60, DOT 749965G** - Staff completed the investigation of the October 13, 2015, vehicle at crossing collision at the Agnew Road crossing in the City of Santa Clara, Santa Clara County. The collision resulted in an injury. The motorist could not clear the crossing due to traffic at the Agnew Rd and Lafayette St intersection. Staff recommended a review of the preemption operation and traffic study to reduce traffic at the Agnew Road and Lafayette Street intersection.
- **Rail Transit Safety and Security - Pedestrian Crossing at 082D-4.12, DOT 50157A** - Staff completed the investigation of the Race Street crossing in the City of San Jose, Santa Clara County. The review of the crossing found that a pedestrian swing gate remained in the open position. The purpose of the pedestrian swing gates at this location is to close, forcing pedestrians to stop at the crossing and open the swing gate. Stopping the pedestrians allows them time to see oncoming trains. A swing gate, which remains open, negates the primary function of the swing gate. Staff recommended a review of the gate malfunction, review of maintenance program, and relocation of tactile strips to a minimum of 12 feet from centerline of the track or prior to automatic warning devices and swing gates.



INFORMAL COMPLAINTS

In May 2016, engineering staff did not receive one new complaint and or closed three complaints involving highway-rail crossings.



- **CMPT 2016050003 - Coast Highway CPUC 106E-100.28, DOT 027550E** -Staff reviewed the April 5, 2016, complaint in regards to unauthorized changes made to the Coast Highway crossing in the City of Oceanside, San Diego County. Staff recommends that the City file a G.O.88-B application to for review of the changes. Staff will then review the design, traffic controls, and information to determine if RCEB should grant authorization for the project or request that the city return the crossing to the previous configuration.
- **CMPT 2014110003 - Dogwood Rd, CPUC 001BN-702.40, DOT 760887B** - Staff completed the investigation of the November 5, 2014, complaint regarding the traffic signal preemption at the Dogwood Rd crossing in the City of Heber, Imperial County. Staff continued to work with the County on correcting the preemption problem. The County contractor implemented corrective actions but documentation of the corrections made remain outstanding.
- **CMPT2014110007 - San Miguel Ave - CPUC 036D-9.61, DOT 661914X; and, Broadway 036D-10.20, DOT 661919G** - Staff completed the review of the November 8, 2014, complaint regarding the crossing gates at the Broadway and Lemon Grove Avenue crossing and San Miguel crossing in the City of Lemon Grove, San Diego County. The crossing gates

on Broadway and Lemon Grove Avenue come down four blocks before the trolley arrives; and, the westbound San Miguel approach gate is out of alignment. The railroad implemented corrections to the operation of the warning devices.

### SAFETY ASSESSMENTS AND REVIEWS

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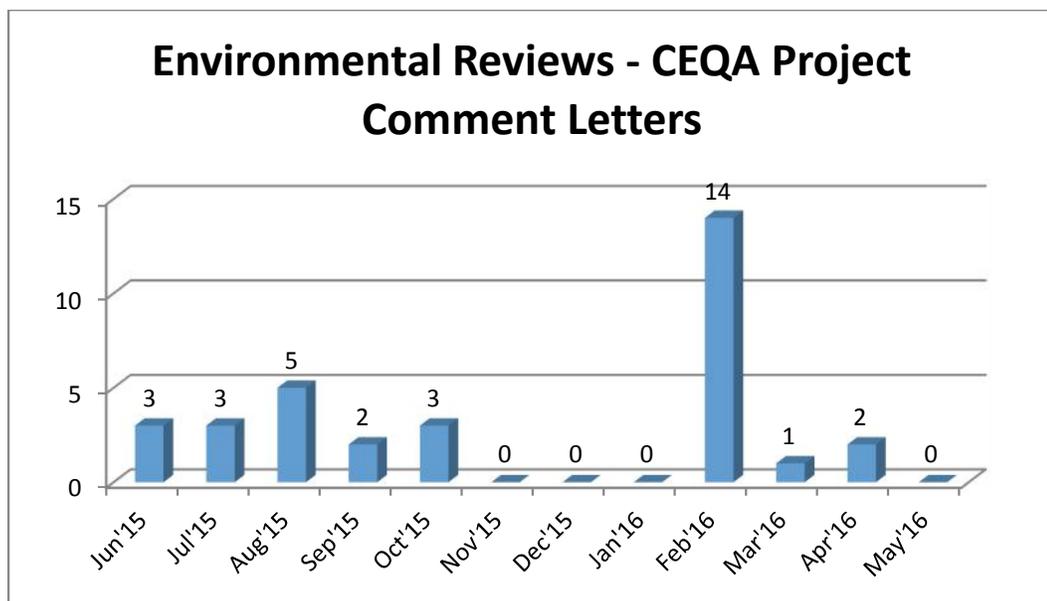
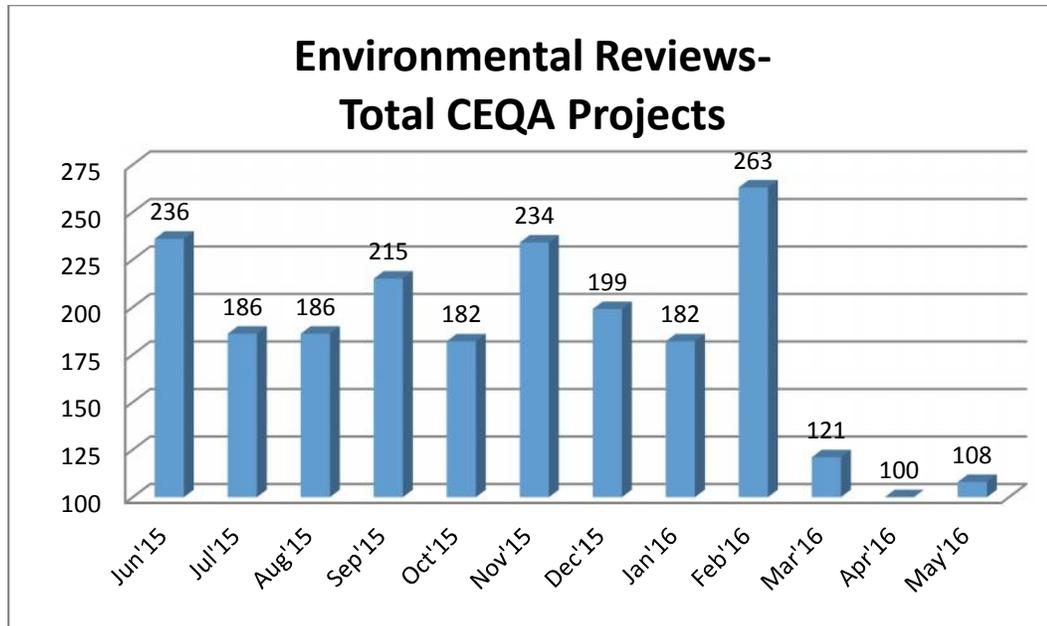
In May 2016, staff completed 35 safety assessments involving communications, field inspections, and diagnostic reviews with railroads and local agencies.



### ENVIRONMENTAL REVIEWS

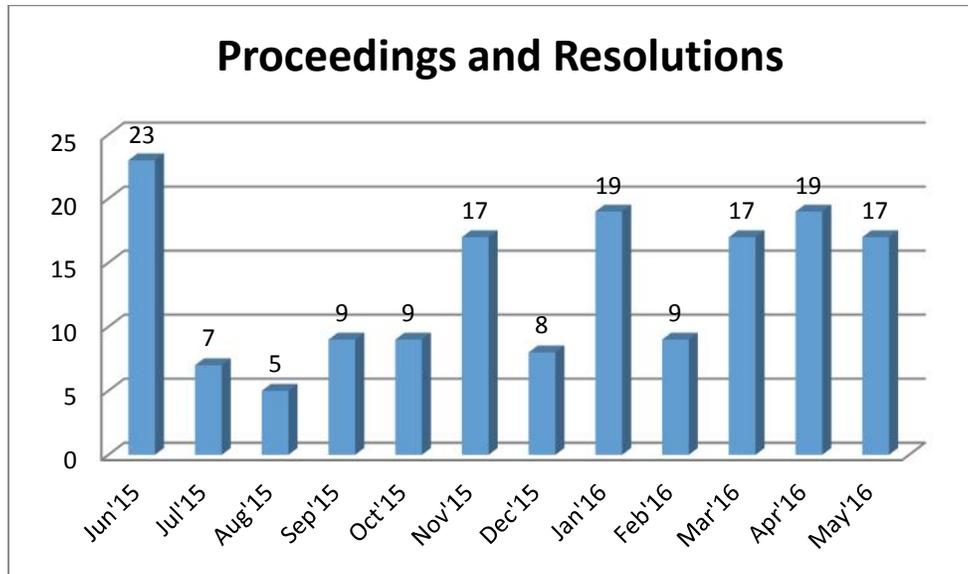
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In May 2016, staff reviewed 108 CEQA reports. When railroads and local agencies plan new projects or developments, staff reviews the documents submitted by the agencies for safety impacts to crossings. The review addresses safety issues in highway-rail crossing design and nearby intersections during the design phase of the projects.



**PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS**

In May 2016, engineering staff received nine new General Order 88-B applications, and closed 11 application reviews. RCEB received one new formal proceeding, and closed five Safety and Enforcement Division proceedings during this period. Staff also completed a revised exhibit for the Grade Separation Program under I.15-06-008.



- **G.O.88B – State Route 70, CPUC 004-293.80-A and DOT No. 833702W** – Caltrans District 2 requests authorization to alter the grade separated structure at State Route 70 in the City of Quincy, County of Plumas. The proposed alteration involves rehabilitating the State Route 70 grade separation structure. Caltrans will widen the deck to meet current standards and install bridge rail. Staff authorized the alteration, which shall expire on May 5, 2019.
- **G.O. 88-B – Avalon Boulevard, CPUC 002H-4.10 and DOT No. 027963Y, in the City and County of Los Angeles** - The City of Los Angeles requests authority to alter the Avalon Boulevard at-grade crossing in the City and, County of Los Angeles. The alterations include temporary changes to the nearby traffic signal operation to allow implementation of the Slauson Avenue sewer rehabilitation project. RCEB granted the authorization and it expires on May 26, 2019.
- **G.O. 88-B – San Pedro Street, CPUC 002H-4.30 and DOT No. 027965M, in the City and County of Los Angeles** - The City of Los Angeles requests authority to alter the San Pedro Street at-grade crossing in the City and, County of Los Angeles. The alterations include temporary changes to the nearby traffic signal operation to allow implementation of the Slauson Avenue sewer rehabilitation project. RCEB granted the authorization and it expires on May 26, 2019.
- **G.O. 88-B – Main Street, CPUC 002H-4.60 and DOT No. 027968H, in the City and County of Los Angeles** - The City of Los Angeles requests authority to alter the Main

Street at-grade crossing in the City and, County of Los Angeles. The alterations include temporary changes to the nearby traffic signal operation to allow implementation of the Slauson Avenue sewer rehabilitation project. RCEB granted the authorization and it expires on May 26, 2019.

- **G.O. 88-B – Figueroa Street, CPUC 002H-5.10 and DOT No. 027972X, in the City and County of Los Angeles** - The City of Los Angeles requests authority to alter the Figueroa Street at-grade crossing in the City and, County of Los Angeles. The alterations include temporary changes to the nearby traffic signal operation to allow implementation of the Slauson Avenue sewer rehabilitation project. RCEB granted the authorization and it expires on May 26, 2019.
- **G.O. 88-B – Normandie Avenue, CPUC 002H-6.10 and DOT No. 027977G, in the City and County of Los Angeles** - The City of Los Angeles requests authority to alter the Normandie Avenue at-grade crossing in the City and, County of Los Angeles. The alterations include temporary changes to the nearby traffic signal operation to allow implementation of the Slauson Avenue sewer rehabilitation project. RCEB granted the authorization and it expires on May 26, 2019.
- **G.O. 88B – Old Placerville Road, CPUC 001AH-103.00-C and DOT No. 753853P**– The City of Rancho Cordova requests authorization to alter the Old Placerville at-grade crossing in the City of Rancho Cordova, County of Sacramento. The alterations include installation of a crosswalk with Americans with Disabilities Act compliant curb ramps; crossing signage and pavement markings. RCEB granted the authorization and it expires on May 2, 2019.
- **G.O. 88-B –Rockingham Drive, CPUC 001AH-102.50 and DOT No. 753854W** – The City of Rancho Cordova requests authorization to alter the Rockingham Drive at-grade crossing in the City of Rancho Cordova, County of Sacramento. The alterations include installation of a crosswalk with Americans with Disabilities Act compliant curb ramps; crossing signage and pavement markings. RCEB granted the authorization and it expires on May 26, 2019.
- **G.O. 88B - Navy Drive, CPUC 123-1.22, and DOT No. 928031R** – The Port of Stockton requests authorization to alter the Navy Drive at-grade crossing in the Port of Stockton, San Joaquin County. The alterations include widening of the roadway,

realigning the intersection at Washington Street, installation of traffic signals, advanced preemption, and replacing active warning devices. RCEB granted the authorization and it expires on May 11, 2019.

- **G.O. 88B - Petaluma Hill Road, CPUC 005-43.30, DOT 498679F** – The County of Sonoma requests authority to alter the Petaluma Hill Road crossing in the County of Sonoma. The alterations include installation of a queue cutter signal to control traffic at the crossing. RCEB granted the authorization it expires on June 3, 2019.
- **G.O. 88B - Fulton Road, CPUC 005-58.50, DOT 498570P** – The County of Sonoma requests authority to alter the Fulton Road crossing in the County of Sonoma. The alterations include installation of queue cutter signal to control traffic at the crossing. RCEB granted the authorization and it expires on June 2, 2019.
- **G.O. 88B – Fulkerth Road, CPUC 001B-124.90, DOT 752487M**- The City of Turlock requests authorization alter the Fulkerth Road crossing in the City of Turlock, Stanislaus County. The alterations include dual left turn lanes in all directions, bike lanes, sidewalks and accessible improvements at the Fulkerth Road/Golden State Boulevard intersection, widening the roadways, and replacement of pavement, pedestrian, and traffic signal infrastructure. The City will also install advance preemption along with the improvements. RCEB granted the authorization and it expires May 5, 2019.
- **G.O. 88B – 8th Street, CPUC 002-272.10 and DOT No. 026899Y**- The San Diego County Association of Governments requests authorization to modify the 8<sup>th</sup> Street at-grade crossing in City of National City, San Diego County. RCEB previously provided the authorization for the modifications; however, the railroad withdrew the concurrence agreement. RCEB issued a letter withdrawing the previous authorization, May 16, 2019.
- **PROC A1605016 – State Route 145, CPUC 135S-169.99-B, DOT 968497T** – The California Department of Transportation requests authority to modify State Route 145. The project proposes an underpass grade separation at State Route 145 (MP 169.99) within the County of Madera. RCEB is reviewing the proposal.
- **PROC A1512025 – Temporary Crossing Bayshore, CPUC 104-282.04-D, DOT 969556W**- The City of Eureka requests authorization to construct a temporary pedestrian at-grade crossing,

in the City of Eureka, Humboldt County. The temporary crossing is located west of Bayshore Mall. RCEB supports the authorization for the temporary crossing and completed the review on May 26, 2016.

- **PROC A1508011 – New Crossing at New Bayfront Park, CPUC 001A-19.80-AD, DOT No. 441041W** - The East Bay Regional Park District requests authorization to construct a new grade separated pedestrian/bike crossing in the City of Pinole, Contra Costa County. RCEB staff reviewed the proposed authorization and the Commission authorized the construction of the crossing with Decision 16-05-040.
- **PROC A1510007 – New Crossing at Raymond Road, CPUC 135S-169.79-B, DOT 968496L** - The California High Speed Rail Authority requests authorization to construct a new grade separated underpass crossing in the County of Madera. The project is to construct two high-speed tracks and an underpass grade separation at Raymond Road in an unincorporated area of Madera County. RCEB staff reviewed the proposed construction and the Commission authorized the crossing with Decision 16-05-042.
- **PROC A1508002 – Two New Light Rail Crossing at Illinois Street, CPUC 125J-3.95-C and 125J-3.98-C, DOT Numbers TBD** - The San Francisco Municipal Transportation Agency requests authorization to construct two new at-grade crossings in the City and County of San Francisco. The project is to construct two new at-grade crossings across Illinois Street between the intersections of 18th Street and 19th Street. RCEB staff reviewed the proposed construction and drafted a decision on May 12, 2016, for the Commission to authorize the construction project. The decision is in review.
- **PROC A1511008 – New Crossing at Maritime Street, CPUC TBD, DOT TBD** - The City of Oakland requests authorization to construct a new at-grade crossing in the City of Oakland, Alameda County. The project is to construct a new crossing at the Port of Oakland on Maritime Street. RCEB staff reviewed the proposed construction and recommends granting the authority to construct the project. Approval of the application will reduce the number of train crossings on Maritimes Street and install active warning devices at the new crossing. The decision is in review.

- **190C-2016010001 – Order Instituting Investigation for Establishing a Grade Separation List for the Fiscal Years 2016-2017 and 2017-2018** - Staff prepared the exhibits for the grade separation investigation establishing the California Grade Separation Priority List for Fiscal Year 2107-2018. The Administrative Law Judge issued the proposed Decision for comment. A final decision is due by July 1, 2016.

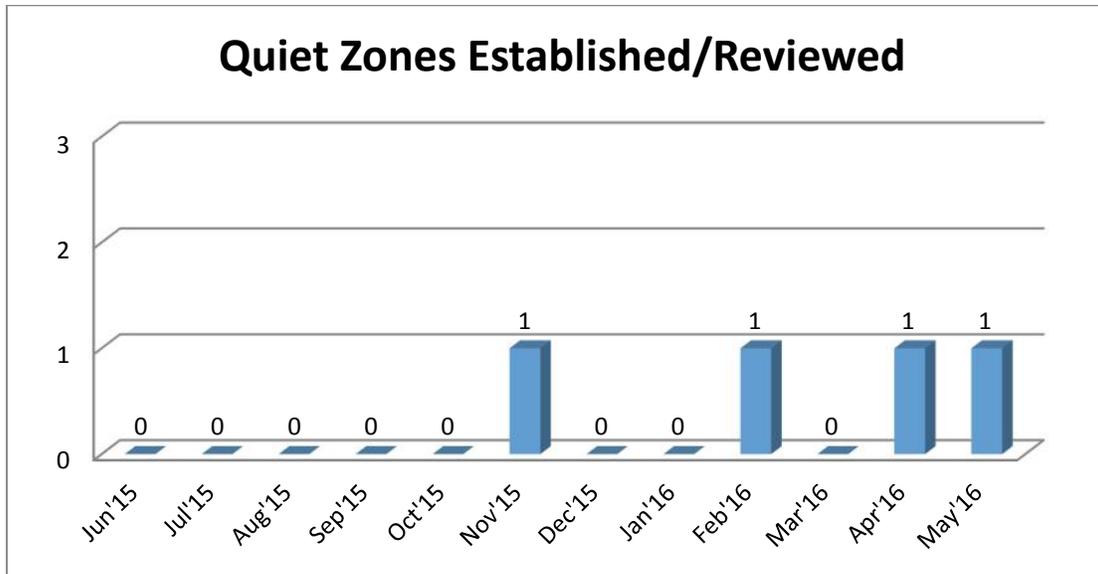
### QUIET ZONE ESTABLISHMENT

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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 May 2016, staff reviewed one new QZ and received one new request.

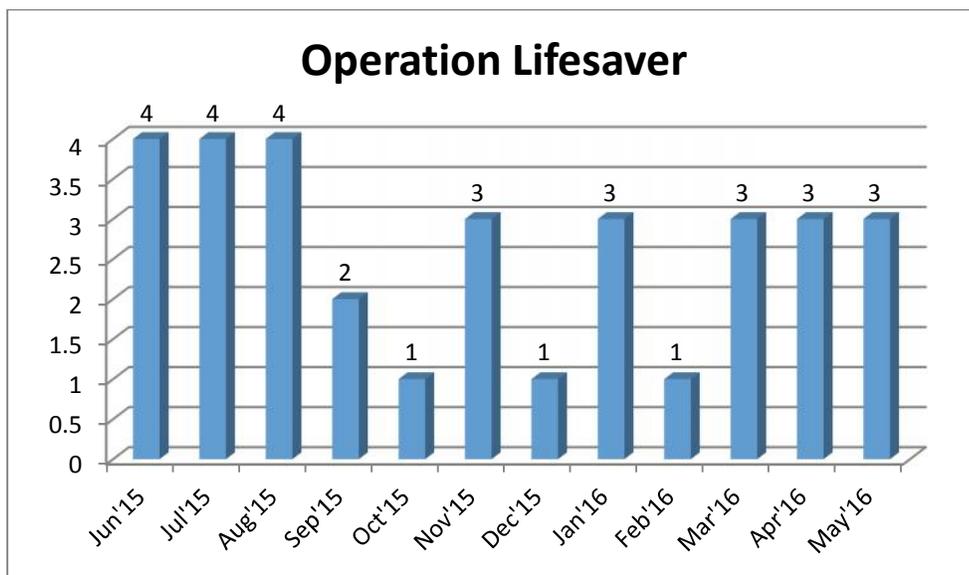
**QTZN2016030002** – RCEB staff sent a comment letter on April 21, 2016, to the City of Atherton, on a Notice of Intent for a quiet zone in San Mateo County. The staff comments identify several concerns for the proposed quiet zone involving the City of Atherton and Caltrain.

**QTZN2016060001** - On May 2, 2016, the City of San Rafael issued a Notice of Intent for creating a 24-hour quiet zone of all 10 (8 public and 2 private) crossings along the Initial Operating Segment of the Sonoma Marin Area Rail Transit District (SMART) railroad. The crossings of this 4-mile quiet zone includes: Smith Ranch Road (859205U, 005-20.97), North Avenue (863510L, private aka Silviera), Civic Center Drive (863511T), Las Gallinas (863513G, private ped), North San Pedro Road (853514N), Paloma Avenue (863516C), Pacheco Street (853617J), Mission Avenue (863518R), 5th Avenue (863519X), and 4th Street (863520S) at the SMART San Rafael terminus station. RCEB staff is reviewing this new request.



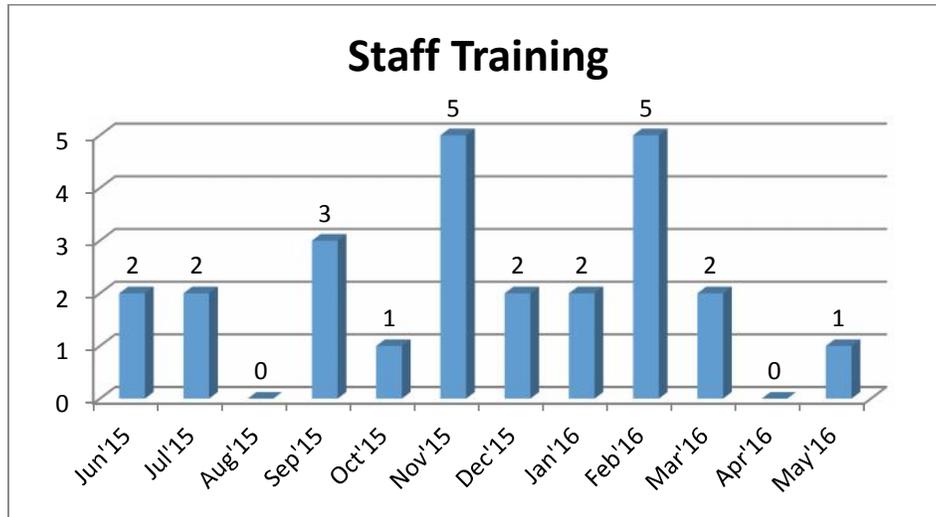
**OPERATION LIFESAVER INC.**

- In May 2016, staff completed three Operation LifeSaver Inc. (OLI) events. RCEB staff completed three OLI presentations to: a group of 100 Sierra High School Drivers Education students in Manteca, San Joaquin County; a group of 100 k-8<sup>th</sup> grade students at the Great Valley School in Stockton, San Joaquin County; and, 139 K-8<sup>th</sup> students at the Ballico School in Ballico, Merced County. All presentations share the OLI rail safety message.



RCEB STAFF TRAINING

In May 2016, staff completed a CPRC and First Aid training held in Los Angeles.



STATISTICS SUMMARY

Month	January	February	March	April	May
<b>Incidents</b>	13	16	19	11	16
<b>Fatalities</b>	5	8	5	3	10
<b>Injuries</b>	6	5	6	1	3

In May 2016, RCEB received 16 incidents reports related to highway-rail crossings, and no right-of-way incidents that were near a crossing. The incidents resulted in 10 fatalities and 3 injuries.

**RAIL TRANSIT - RTSB**

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

RAIL TRANSIT INSPECTIONS

RTSB inspectors performed 13 inspections.

### CORRECTIVE ACTIONS PLANS

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RTSB opened 12 new Corrective Action Plans due to incidents, internal safety audits, and inspections. Four Corrective Action Plans were closed.

### INCIDENT INVESTIGATIONS

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In May 2016, 22 incidents were reported by Rail Transit Agencies (RTAs).<sup>5</sup> In May 2016, 64 incident investigations were closed by RTSB.

### PROCEEDINGS / RESOLUTIONS

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- **Resolution ALJ-322** – Resolution adopted by the Commission on December 3, 2015, which affirmed Citation # 1503001, issued to Sacramento Regional Transit District (SRTD) pursuant to Resolution ST-163, authorizing a rail transit safety citation program. RTSB Staff had issued a citation for violations of 2 safety regulations in General Order 143-B, resulting in a \$10,000 fine to SRTD. The citation was issued in response to a February 17, 2015, incident, where a light rail vehicle traveled out of a maintenance shop without any personnel aboard and onto SRTD's mainline tracks. The vehicle came to a stop after traveling 1.5 miles, with minor property damage but no injuries resulting from this uncontrolled movement. SRTD filed an appeal of the citation and an evidentiary hearing was held. ALJ-322 denied the appeal and affirmed the citation, closing the proceeding. SRTD paid the \$10,000 citation on November 24, 2015. On February 27, 2016, SRTD submitted its revised System Safety Program Plan (SSPP) in accordance with ALJ-322, addressing the compliance items in the Resolution's Ordering Paragraph. The revised SSPP is currently under staff review.

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<sup>5</sup> 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.

- **R.09-01-020 Order Instituting Rulemaking (OIR) – To Consider Roadway Worker Protections by Rail Transit Agencies in California (Commissioner Peterman/ALJ Kim):**

On October 31, 2013, the Commission issued an Interim Decision (D.13-10-073) adopting GO 175 for Roadway Worker Protections on California’s Rail Transit Systems. On April 7, 2015, ALJ Kim issued a ruling seeking comments from parties on the Commission’s staff report determining the need for General Order (GO) revisions. Revised rule, GO 175-A was approved by the Commission on March 17, 2016, by Decision D.16-03-006. On April 8, 2016, the Assigned Commissioner and ALJ issued a joint ruling and amendment to the scope for this proceeding, which required within 12 months of the issuance of D.16-03-006, SED must review GO-175, as well as GO-172, and submit a recommendation for modifications of one or both GOs to eliminate any inconsistencies or conflicts, if any. The joint ruling sets the scope for the remainder of this proceeding to be: 1) the issuance of SED’s recommendation(s), and 2) a subsequent Commission decision addressing these recommendation(s) and closing the proceeding. On April 13, 2016, the Commission issued D.16-04-014, an Order Correcting Errors, to fix several non-substantive formatting and typographical errors in D.16-03-006.

### SAFETY CERTIFICATION AND OVERSIGHT OF RAIL TRANSIT AGENCY PROJECTS

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- **BART New Vehicle Procurement:** BART is in the process of procuring 750 new rail vehicles. BART has already received the first of these vehicles for testing, and expects to receive two more shortly. The three vehicles will be tested as a three-car consist. 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 is working closely with BART through regular meetings to oversee the procurement and safety certification 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 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.

- **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. The project is currently in final phases of construction, and is expected to be in service in October of 2016. Construction has been monitored by RTSB, and will be safety certified when complete.
- **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, and is currently in the pre-testing phase. RTSB has monitored this project, and has safety certified it.
- **SFMTA Automatic Train Control System:** SFMTA has installed a new computerized system for controlling and parking its trains, capable of performing double-berthing (two trains stopping at one time) at stations, as well as on-the-fly decision-making regarding berthing position at a station. This project has been safety certified by RTSB, and entered revenue service on May 21, 2016. RTSB staff participated in software testing with the manufacturer, reviewed post-testing results, and approved the system entering revenue service.
- **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. 24 cars will be received in 2017 and 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 draft the safety certification plan for this project.
- **Central Subway Project:** SFMTA is excavating 1.7 miles of tunnel to extend the San Francisco Muni Metro T Third Line to provide a direct transit link between the Bayshore and Mission Bay areas to SoMa, downtown, and Chinatown. The project is currently in the construction phase and is being monitored by RTSB through regular meetings and site visits. The project is due to be completed in 2019. Upon its completion, RTSB will enact the safety certification process.

- **LACMTA Expo II:** On April 27, 2016, RTSB approved the Safety Certification Verification Report for the Los Angeles County Metropolitan Transportation Authority’s Expo Line Phase II extension. The Phase II extension of the Expo Line extends the light rail service an additional 6.6 miles, and adds seven stations, from the terminus in Culver City to Santa Monica. The segment was opened to the public on May 20, 2016.
- **LA Metro (LACMTA) P3010 New Vehicle Procurement Project:** LACMTA is in the process of procuring up to 175 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 twenty-five (25) P3010 vehicles have been approved for revenue service by staff so far.
- **Other SoCal Safety Certification Projects:** Several projects are in various phases of construction and engineering design in the Southern California region: LACMTA LAX/Crenshaw Project, LACMTA Regional Connector Project, LACMTA Westside Extension Project, San Diego Trolley Mid-Coast Project, OC Streetcar Project, LA Streetcar Project, Angels Flight Railway. RTSB staff regularly attends Fire Life Safety Committee meetings, Safety Certification Team Meetings, etc. to monitor and track any safety related issues.

STATISTICS SUMMARY

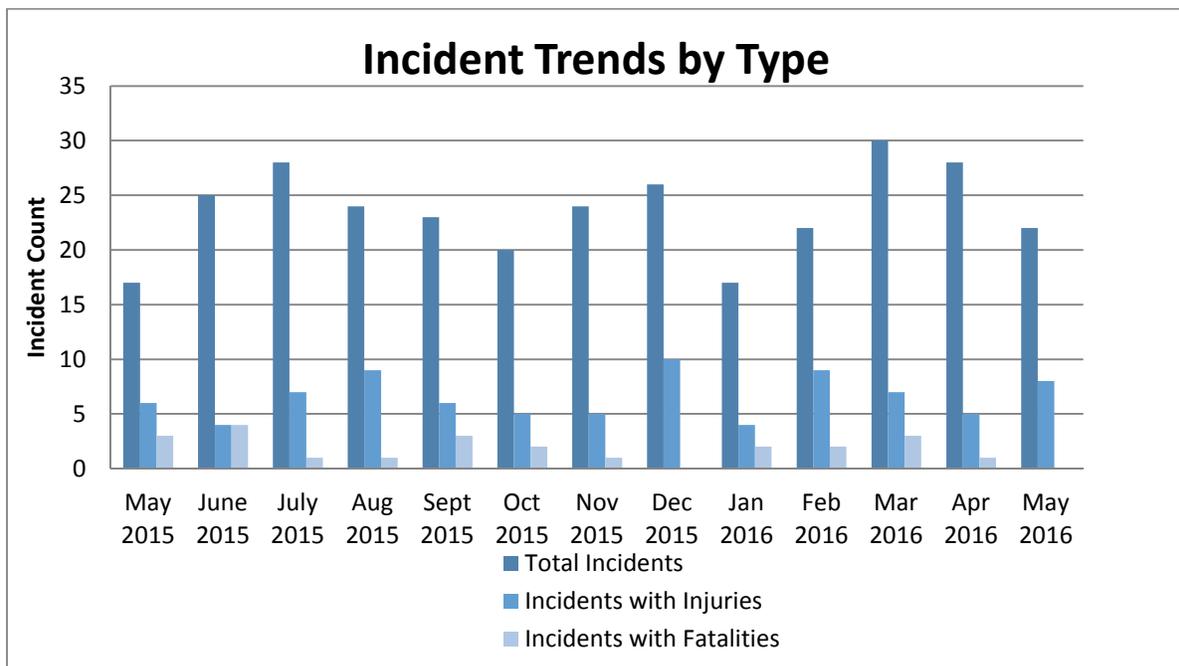
Investigations	
Incidents Reported	22
Incident Investigations Closed	64
Complaints Investigated	1
Rail Transit Inspections	13
Triennial Audits	0

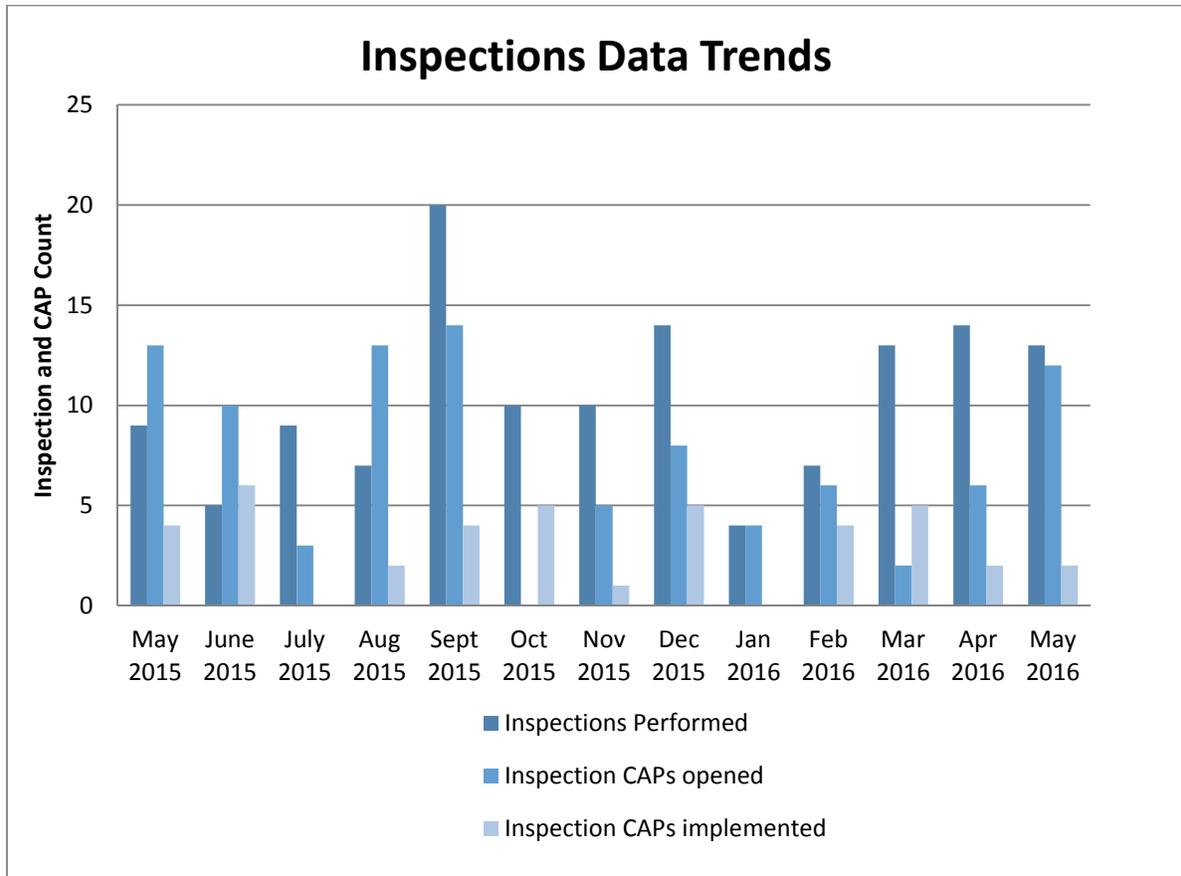
Corrective Action Plans	
<b>New Corrective Action Plans</b>	<b>12</b>
From Triennial Audits	0
From Incidents	0
From Internal Safety/Security Audits	0
From Rail Transit Inspections	12
<b>Closed Corrective Action Plans</b>	<b>4</b>
From Triennial Audits	1
From Incidents	0
From Internal Safety/Security Audits	1
From Rail Transit Inspections	2

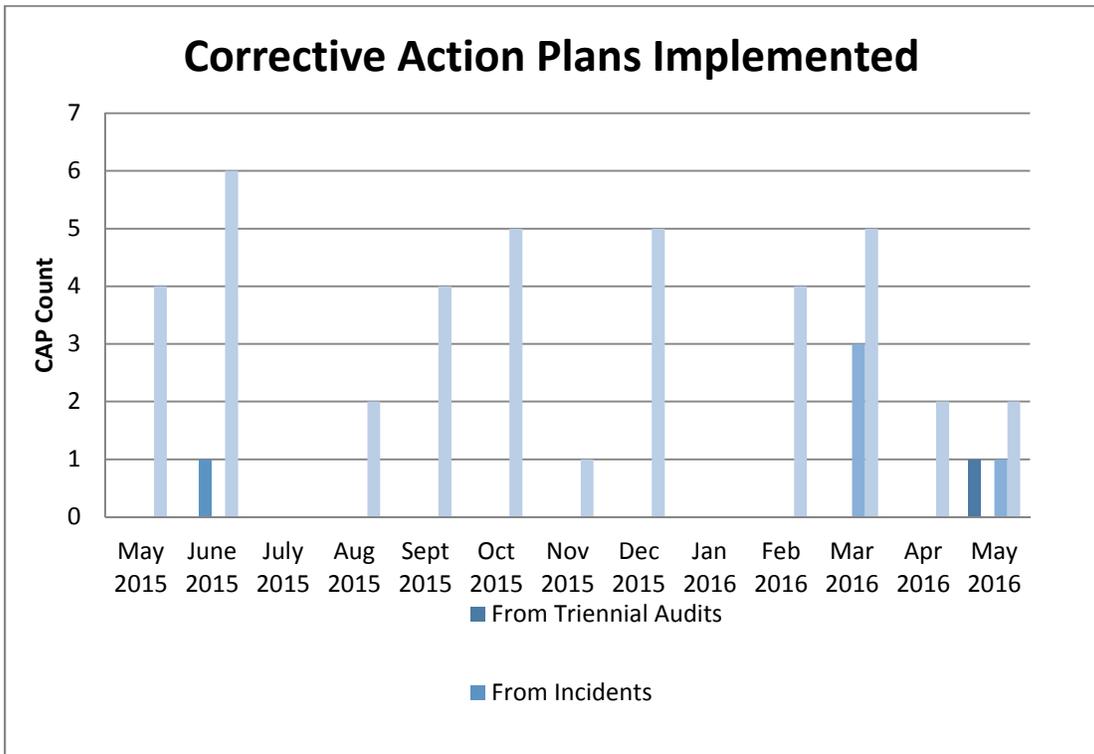
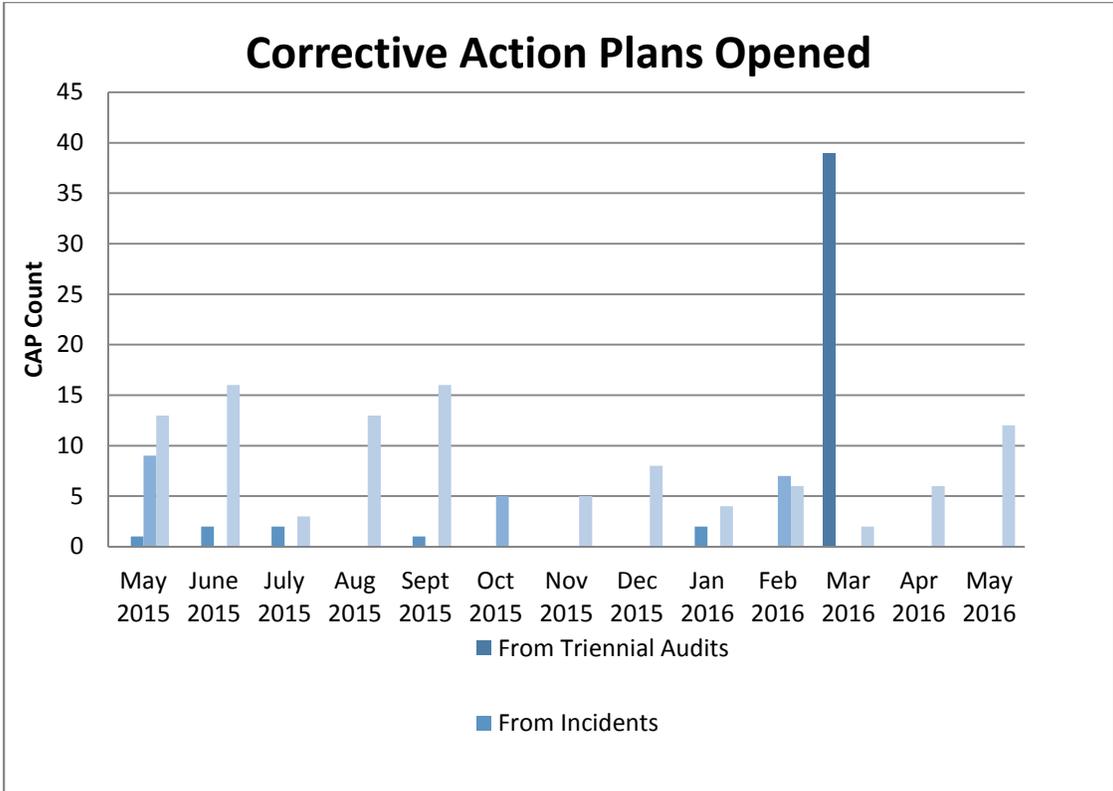
ONGOING DATA / TRENDS

Corrective Action Plans – Days to Complete				
CAP ID #	Relevant Code, GO, or rule	CAP Classification	Subject(s)	Days to Complete
ME051216	GO 172, LAMTA Section 4-9	Inspection	Personal Electronic Device, Blue Flag	30
ME052416	LAMTA Section 4-9	Inspection	Blue Flag	30
ME052616	GO 143-B, Section 14.04	Inspection	Record	30
ME051716	GO 172, GO 143-B, Section 1.08	Inspection	Personal Electronic Device,	30

			Emergency Door	
ME050516	GO 164-D, Section 9	Inspection	Coupler	30
TR052616	VTA MTN-PR 6409	Inspection	Cracked Rail and Fouled Rail Flangeway, Worn Switch Point	30
TR041216	BART Track Safety Standards	Inspection	Tripping Hazard, Switch Clip Fasteners, Missing Bolts, Rail	30
TR051016	GO 175-A, Section 6.3	Inspection	Speed, Roadway Worker Protection	30
TCAP 201602000 4	SSPP Element 23	Internal Safety Audit	Document Review Process	85
TCAP 201603002 1	GO 164-D, GO 143-B, SFMTA SSPP Rev 6	Triennial Audit	Facilities and Equipment Inspection	66







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