

Safety and Enforcement Division



Monthly Performance Report

August 2018

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Disclaimer

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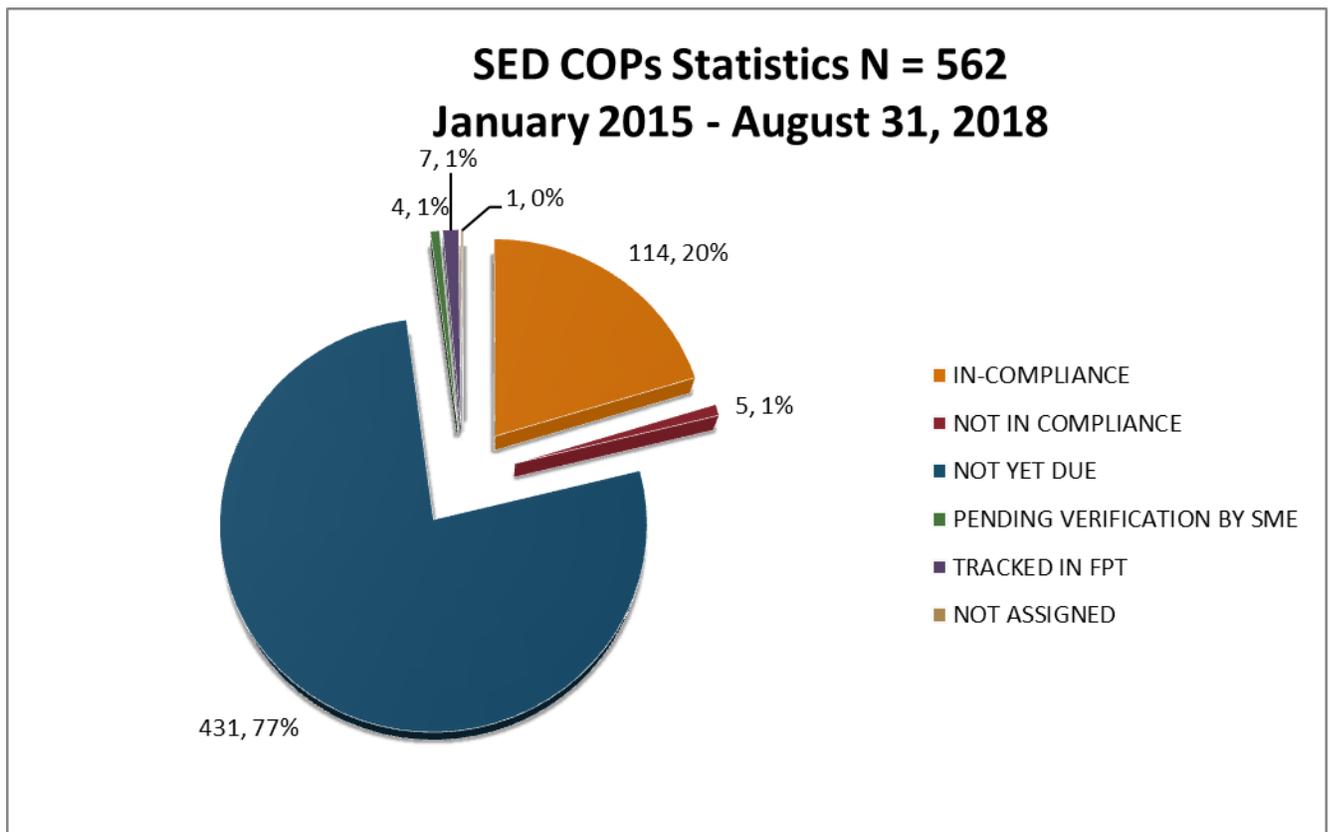
This Report has not been approved or disapproved by the CPUC.

COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through August 31, 2018, SED shows 562 total entries in the COPS system; with 114 reaching compliance (20%), 431 (77%) not yet due for compliance, and 5 (1%) currently remaining out of compliance. 4 (1%) are pending verification. 560 (100%) of all Ordering Paragraphs are assigned to members of staff.

During August 2018, there were 18 new OPs recorded to the COPS database for the Safety & Enforcement Division.

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

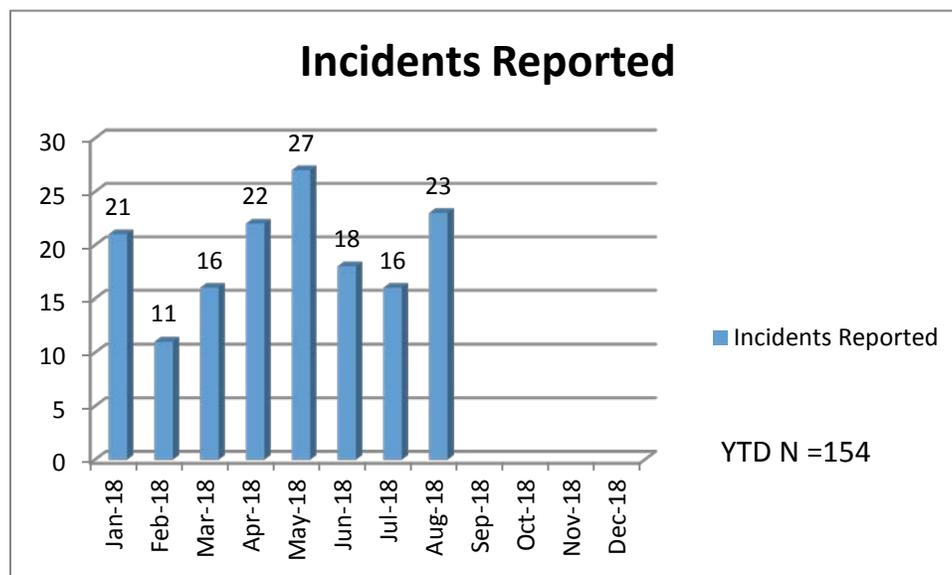
Citation Number	Utility	Amount	Violations	Date Cited	Appealed	Status
D.16-09-055 G.17-05-001	Southwest Gas	\$ 200,000	192.1007 (c)	6/1/2017	Yes	SWG Appealed Citation, SED and SWG entered a settlement and has an executed Settlement Agreement with SWG to amend DIMP procedures. SED completed a corrective action audit in December 2017 and verified corrective actions. The CPUC approved this settlement on 3/1/2018. SWG paid \$175,000 on 3/26/2018 - case closed.
Total Cited 2017		\$ 200,000				

INSPECTIONS

	2017	2018
Conducted	78	33
Final Report Completed	78	22

INCIDENT INVESTIGATIONS

As of August 31, 2018, GSRB Staff received 154 incidents year to date.



The CY 2018 incidents¹ are categorized as follows:

- 102– Level 1 incidents
- 46 – Level 2 Incidents
- 3 – Level 3 Incidents
- 3 – 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. There were no self-identified violations reported in August.

NATURAL GAS RELATED PROCEEDINGS

- **Gas Safety OIR (R.11-02-019) (Commissioner Guzman Aceves/ALJ Kersten) (Advisory):** The proceeding amended General Order GO 112-F, made fully effective no later than January 1, 2017. R.11-02-019 was closed in June 2015, however, it was re-opened after various applications for rehearing were filed by intervenors including the Utility Workers Union of America, the Office of ratepayer Advocates and the City of San Carlos. In February 2017, D. 17-02-015 disposed of a joint rehearing request from the San Carlos and ORA. In addition, Pacific Gas and Electric Company filed a petition to modify Decision 15-06-044 on January 31, 2017, on issues related to cost recovery. Disposition of PG&E’s petition and UWUA’s application is pending. On August 11, 2017, SED filed a subsequent petition to modify D. 15-06-44, seeking to conform GO 112F to more stringent federal regulations. The matter is pending.
- **Mobile Home Parks Pilot Program (Implementing D.14-03-021) (ALJ Semcer/Commissioner Rechtschaffen):** This decision established a three-year pilot program authorizing each California investor-owned utility to convert 10 percent of master-metered gas and/or electric Mobile Home Park spaces within its operating territory to direct utility

¹ 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.

service. San Diego Gas & Electric Company (U902M) filed A.17-05-008/ A.17-05-007 for Approval to Extend the Mobile Home Park Utility Upgrade Program. The Commission on September 29, 2017, extended the program through the end of 2019 via Resolution E-4878. Rulemaking 18-04-018 (ALJ Kersten / Commissioner Rechtschaffen) was filed on April 26, 2018, Order Instituting Rulemaking to Evaluate the Mobilehome Park Pilot Program and to Adopt Programmatic Modifications. PHC for Rulemaking 18-04-018 occurred on July 30, 2018. Scoping memo issued on 8/31/2018. SED/ED convene utility technical working group to refine annual report template and data gathering 30 days from Scoping Memo. Workshop #1 to be held on 10/17/2018.

- **Citation Program OIR (R.14-05-013) (President Picker/ALJ Burcham) (Advisory):** Decision 16-09-055 was issued on September 29, 2016. Some key points are listed below:
 - An administrative limit of no more than \$8 million for each citation.
 - Utility reporting of self-identified potential violations is voluntary.
 - Utilities need not notify city and county officials of a self-identified potential violation unless staff requires it.

This proceeding was reopened on February 21, 2017, as Senator Jerry Hill issued a petition for modification requesting the Commission to modify the decision to keep in place, rather than weaken, the mandatory reporting requirements that were imposed under ALJ-274. In March, several parties filed comments to Senator Hill's request, and Hill filed reply comments in early April. The matter is pending.

ELECTRIC SAFETY AND RELIABILITY PROGRAMS

ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM

In August 2018, Electric Safety and Reliability Branch:

- Received eight electric facilities incident reports and closed two previously reported electric facilities incident investigations;
- Investigated 26 customer safety and reliability complaints;
- Performed one electric distribution audit;
- Issued three Notice of Violation letters/reports.
- Monitored seventeen forced outages reported by natural gas power plants.
- ESRB staff attended training courses related to electric and generation facilities.

Metrics for Electric Facilities and Generation Incident Investigations as of August 31, 2018

Electric Safety and Reliability Branch		Level 1	Level 2	Level 3	Level 4	Total ²
Total open incidents	Electric Facilities	7	20	56	51	134
	Generation	1	0	2	2	5
Total incidents reported in 2018	Electric Facilities	10	12	18	30	70
	Generation	1	0	1	2	4
Total incidents closed in 2018	Electric Facilities	10	13	28	20	71
	Generation	0	0	0	2	2
Total open 2018 incidents	Electric Facilities	7	10	15	23	55
	Generation	1	0	1	0	2
Incidents reported in August 2018	Electric Facilities	1	2	1	3	7
	Generation	1	0	0	0	1
Incidents closed in August 2018	Electric Facilities	3	0	0	1	4
	Generation	0	0	0	0	0

² 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 2 for Generation: Incident that occurred during an Electric Alert, Warning or Emergency. Level 3: Incident involved damage estimated to exceed \$50,000 and caused, at least in part, by the utility or its facilities (Level 3 for Generation: 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 that was caused, at least in part, by the utility or its facilities or by equipment and/or operations (for Power Plants).

ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS

- **Creation of a Shared Database or Statewide Census of Utility Poles and Conduit (R.17-06-028); Communications Provider Access to Poles (I.17-06-027) (Commissioner Picker/ALJ Mason) (Advocacy):** A Scoping Memo was issued on August 8, 2018, requiring parties to file comments on a Use Case proposal the Commission has developed. ESRB is preparing its comments. Pending.
- **Fire Safety Rulemaking (R.15-05-006) (President Picker/ALJ Kenney/ALJ Kao) (Advocacy):** This proceeding is now officially closed. In August 2018, SED continued to work with the California Department of Forestry and Fire Protection (CAL FIRE) to prepare a recommendations report, in compliance with Ordering Paragraphs (OPs) 10 and 11 of Decision (D.) 17-12-024.
- **Proceeding to Consider Amendments to GO 95 (R.17-10-010) (Commissioner Picker/ALJ Mason/ALJ Goldberg) (Advocacy):** As directed in D.16-01-046, SED filed P.17-03-004 to adopt, amend, or repeal rules in GO 95. In response to SED's petition, the Commission opened R.17-10-010 in October 2017, to consider the amendments discussed in SED's petition. On July 31, 2018, the ALJ issued a scoping memo and ruling setting the schedule for this proceeding and directing SED to convene a workshop to discuss the scoped issues. A workshop was held on August 28 and 29, 2018, at SCE's office in Irwindale and addressed amendments to GO 95 rules regarding climbing space, fall protection, pole strength, and pole steps. The discussion will continue during additional workshop days in Sacramento from September 11 through September 13. Pending.
- **Physical Security of the Electric System and Disaster and Emergency Preparedness (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly) (Advocacy):** Phase I addresses physical security for electric supply systems, and Phase II addresses disaster and emergency preparedness plans for electrical corporations and regulated water companies. A proposed decision for Phase I is pending. On June 26, 2018 ESRB participated in the first Workshop for Phase II at Cal OES's headquarters in Mather. The second Workshop for Phase II is scheduled for September 28, 2018 in San Diego.

- **Distributed Energy Resources (R.14-08-013) (President Picker/ALJ Mason/ALJ Allen) (Advisory):** On September 28, 2017, the Commission adopted a Decision that addressed Track 1 Demonstration Projects A (Integration Capacity Analysis) and B (Locational Net Benefits Analysis). ESRB will continue to review the issues and provide advisory support when needed.
- **SCE Appeal of Twentynine Palms Citation (K.18-03-008) (ALJ Kim) (Advocacy):** ESRB investigated an incident that occurred on August 1, 2015 in Twentynine Palms, involving the failure of a cross arm and a resulting overhead conductor clearance problem. The incident caused injury to 3 individuals. On February 12, 2018, SED issued a \$300,000 citation to SCE for violations related to the incident. SCE appealed the citation on March 14, 2018. On August 14, 2018, SED filed a motion to hold hearings in abeyance in order to allow staff to investigate additional violations of GO 95 related to the incident. The ALJ granted SED's motion in part. Pending.
- **De-Energization Resolution ESRB-8 and A.18-08-007:** The Commission adopted Resolution ESRB-8 on July 12, 2018. This Resolution extends de-energization reasonableness, public notification, mitigation and reporting requirements in D.12-04-024 to all electric investor-owned utilities and adds new requirements. It requires utilities to hold informational workshops and to make all feasible and appropriate attempts to notify customers prior to a de-energization event. It directed utilities to submit reports to the Director of the SED within 30 days outlining their public outreach, notification, and mitigation plan. An application for rehearing of Resolution ESRB-8 was filed and has been docketed as A.18-08-007. The utilities have submitted their reports to SED and ESRB is currently reviewing them.

OTHER ACTIVITIES

- **Wildfire mitigation plans and wildfire investigations:** Public Utilities Code Section 8386, effective January 1, 2017, requires each electrical corporation to annually prepare and submit a wildfire mitigation plan to the Commission for review. ESRB is working to implement this requirement and also is investigating several catastrophic wildfires that have occurred in 2017 and 2018. In August 2018, SED, in collaboration with CAL FIRE, completed

draft proposed minimum requirements for electrical corporations' Wildfire Mitigation Plans, pending possible legislative changes. SED also continued working on establishing Non-Disclosure Agreements with CAL FIRE, LA County Fire Department and Ventura County Fire Department to facilitate information sharing for the wildfire investigations. Additionally, CAL FIRE informed SED that the Retired Annuitant position created to collaborate with SED will be reclassified as a permanent full-time Assistant Chief position. This process for reclassification is likely to delay the hiring process.

- **Compliance with D.17-09-024 regarding Long Beach Incident:** D.17-09-024 adopted a Settlement Agreement between Southern California Edison and SED. Under the settlement, SCE paid a \$4 million penalty and will spend \$11 million on various system enhancement projects in Long Beach intended to reduce the chance of public injury, reduce the risk of future system failures, and improve the utility's operational awareness and network maintenance. ESRB is monitoring SCE's work to ensure compliance with the settlement agreement.
- **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 of TMCC and attends quarterly meetings.

UTILITY RISK ASSESSMENT AND SAFETY ADVISORY

REVIEWING SAFETY & RISK IN GENERAL RATE CASES

WORKSHOP REVIEWS TERMS OF PROPOSED SETTLEMENT IN S-MAP

On July 6, the Risk Assessment section convened a workshop to review terms of a Proposed Settlement among utilities and key intervenors in the Safety Model Assessment Proceeding (A.15-05-002, et.al.). During the workshop, representatives of the Joint Utilities (Pacific Gas & Electric, Southern California Edison, San Diego Gas & Electric and Southern California Gas Company) and the Joint Intervenors (TURN and Indicated Shippers) described key elements of the Proposed Settlement. Key takeaways from the workshop were:

1. The Proposed Settlement represents the Parties' best efforts to reconcile differences between the Joint Intervenors' Approach (JIA), and the Joint Utilities' Approach (JUA).
2. The Proposed Settlement does not change how a General Rate Case (GRC) works. The utilities present the results. Then parties respond and present alternatives. The intervenors still retain the ability to challenge the validity of the utilities' assumptions and presentations. Then it'll be up to Commission to decide.
3. The Proposed Settlement specifies minimum requirements and the utilities are free to include additional information in their Risk Assessment Mitigation Phase (RAMP) and GRC filings, but parties can challenge the (mathematical and logical) validity of any additional information that the utilities offer above and beyond minimum requirements.
4. The Proposed Settlement complies with the Commission's earlier directive that utility shareholder financial interest be excluded from the GRC and RAMP risk evaluation and risk mitigation considerations.
5. With the exception of safety metrics and benchmarking, all the short-term goals in the S-MAP have been fulfilled.
6. Although the Proposed Settlement spells out in detail many elements relating to the construction of a Multi-Attribute Value Function (MAVF) and the evaluation of risk scores, parties retain the ability to challenge the validity of how the utilities applied those elements to come up with a MAVF, how they calculated risk scores, and how they ranked and selected the mitigations.
7. The Joint Intervenors pointed out one big advantage of this Proposed Settlement is that there will be a common vocabulary and expectation of what is required in the utilities' GRC submittals.

8. Parties also agreed that the Proposed Settlement will streamline discovery efforts in future RAMPs/GRCs.
9. Commissioner Rechtschaffen was troubled by the subjective and value-judgment nature of the methodology used to derive weights in the MAVF, as it is at odds with the presumption of objective and quantifiable computations built into the S-MAP process. He cautioned that if things are based on value judgment and policy judgment, this fact needs to be explicitly stated; so that there is no pretense they are relying on objective and quantifiable information.
10. Having comparable risk scores across utilities is theoretically possible but would require a uniform MAVF, common weights, and a great deal of normalization, which might involve a great deal of difficulty to achieve in practice.
11. Dr. Paul Schulman of Center for Catastrophic Risk Management (CCRM) criticized the Proposed Settlement and the S-MAP process for presenting results as point estimates and ignoring the various types of uncertainty inherent in data sets and mathematical modelling. Professor Feinstein, for the Joint Intervenors, disagreed and responded that uncertainty was built into the process.
12. Both Joint Utilities and Joint Intervenors appear to favor treating the next S-MAP as a Rulemaking rather than requiring the utilities to file separate S-MAP applications.
13. Commission decision makers expressed interest in placing a prescriptive or minimum weight on the safety attribute. In the Settling Parties' opinion, for the Commission to place a prescriptive minimum weight on the safety attribute would be a "purely cosmetic" action since it would not change the risk and mitigation evaluations or rankings because the weights and the ranges cannot be independently selected due to the interplay between the ranges and the weights.
14. In assessing the first S-MAP cycle, the Joint Intervenors concluded that it has been successful in moving toward a more rigorous, quantitative method to risk assessment and risk prioritization approach in providing the information to help understand the cost-effectiveness of proposed mitigations.

The Settling Parties have requested Commission approval for the settlement in time for Sempra Utilities to incorporate the new processes into their upcoming RAMP, which will be filed in November 2019. The utilities anticipate holding a preliminary workshop in first quarter 2019 to presents their initial set of risks for analysis.

PROCEEDINGS

- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ Allen) (Advisory):** Evidentiary hearings on limited aspects of the Safety Culture investigation were held in San Francisco on April 11. Opening briefs were filed on May 11, and replies on May 25. The general consensus of Parties is that the Commission should adopt the NorthStar evaluation and all of its recommendations, but further action is necessary to ensure PG&E compliance. In September, the Commission is expected to issue a proposed decision adopting the NorthStar report and recommendations, followed by a ruling to scope a second phase of the investigation.
- **Gas Leak Abatement OIR (R.15-01-008) (Commissioner Rechtschaffen/ALJ Kersten) (Advisory):** RASA staff on August 31 issued final evaluation letters accepting revised utility Compliance Plans, and the Energy Division is drafting a Resolution covering Advice Letter requests for memorandum account treatment of expenses related to the Gas Leak mitigations and proposed R&D/pilots described in the plans. RASA staff continues to work with the California Air Resources Board to prepare an evaluation report of the 2017 Leak Survey data filed in mid-June. The report is due to be released in November 2018.
- **Safety Model Assessment Proceeding (A.15-05-002, et al) (Commissioner Rechtschaffen/ALJs Kersten & Fogel) (Advisory):** Representatives of the Joint Utilities and the Joint Intervenors filed a motion for adoption of a settlement of several critical technical issues and modeling principles in the S-MAP on May 2. A workshop was held to review the terms of the Proposed Settlement (see write-up above). On May 22, the ALJs issued rulings to incorporate a number of previously filed documents into the formal record, and to solicit comment on a revised proposal by the Energy Division for future spending accountability reports. ED scheduled a workshop to deal with interim accountability issues on September 4. Additionally, RASA on August 31 circulated a voluntary agreement with small and multi-jurisdictional utilities for how they should incorporate risk management into their rate cases. Parties' comments on the revised ED accountability reports and small utility guidance are expected in September.

- **Sempra Utilities 2019 General Rate Case (A.17-10-007/008 consolidated) (President Picker/ALJ Lirag):** Hearings were completed in August.
- **Pacific Gas & Electric RAMP (I.17-11-003) (Commissioner Rechtschaffen/ALJ Roscow):** RASA's evaluation report on PG&E's RAMP and a subsequent workshop to review findings and recommendations, are the last formal activities in the proceeding. In early June, PG&E sent a letter to the CPUC executive director requesting a four-month delay in filing its GRC, citing uncertainties related to wildfire costs and liabilities. No parties objected to the request, and the GRC will be due no later than January 1, 2019.
- **Pacific Gas & Electric Gas Transmission & Storage (GT&S) rate case (A.17-11-009) (Commissioner Rechtschaffen/ALJ Roscow):** PG&E included GT&S related risks in its 2017 RAMP filing, which were reviewed and analyzed by RASA staff. A separate report containing the six RAMP chapters was circulated to parties in April, and staff conducted a workshop on April 16. A scoping memo was issued April 24, and during July, the Commission continued a series of public participation hearings on the application. Intervenor testimony was filed July 20, and evidentiary hearings are scheduled for mid-September.
- **SCE 2017 General Rate Case (A.16-09-001) (President Picker/ALJs Roscow & Wildgrube):** Oral arguments on select issues, including SCE's Grid Modernization proposals, were held June 20. A Proposed Decision is currently being drafted to include supplemental testimony on issues raised by the 2017 federal tax reform act.
- **Physical Security of Electric Infrastructure (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly):** A Phase 1 decision on physical security plans is pending. A PHC for Phase 2, involving community engagement in utility emergency plans, was held March 15. A scoping memo for Phase 2 was issued May 31 to establish a schedule for workshops in the continuing rulemaking. The initial workshop was held June 26 at Cal-OES in Mather, reviewing existing water and electric utility practices for emergency planning and response. A second workshop, covering local community involvement and emergency communications, has been scheduled for September 28 at the San Diego County offices.
- **Utility Poles (I.17-06-027/R.17-06-028) (Commissioner Picker/ALJs Mason and Kenney):** The Investigation and Rulemaking into possible creation of a shared database or statewide

census of utility poles and conduit was initiated on June 29, 2017. This proceeding is consolidated with R.17-03-009 that considers whether and how our existing Rights-of-Way Rules should be applied to wireless support facilities (lines and antennas). On April 26, D. 18-04-007 was issued to amend the Right-of-Way Rules (ROW Rules) set forth in Decision 16-01-046 to provide competitive local exchange carriers (CLECs) with expanded nondiscriminatory access to public utility infrastructure for the purpose of installing antennas and other wireless telecommunications facilities. The adopted amendments to the ROW Rules include a default “per-foot fee” for CLECs’ wireless pole attachments. A scoping memo was issued in early August, establishing a schedule for workshops beginning in September.

- **Undergrounding Rule 20A (R.17-05-010) (Commissioner Picker/ALJs Hecht & Wildgrube):** This rulemaking was launched May 11 to review policies and funding mechanisms for the overhead to underground conversion program administered by electric utilities for cities and other jurisdictions. A PHC was held September 11, 2017, and a scoping memo is pending. SED will monitor the proceeding with an interest in adding safety as one of the program eligibility criteria.
- **2018 Energy Storage Solicitations (A.18-02-016/A.18-03-001/-002) (Commissioner Peterman/ALJ Stevens):** A PHC was scheduled May 1 to review procedural aspects of the electric utilities’ 2018 proposals for procurement to meet the CPUC’s goal of adding over 2,850 MW of energy storage systems (ESS). SED offered support for continuation of technical working group to review safety requirements in contracting. Staff recently reviewed data responses from the utilities identifying locations of storage facilities that are subject to SED safety inspections.

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 - 1/01/18 – 08/31/2018

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	0	0	0	0
February	0	1	0	0	0	1
March	0	1	1	1	0	0
April	0	0	0	0	1	0
May	0	2	0	0	0	1
June	0	1	0	0	0	0
July	0	0	0	1	1	1
August	0	4	0	0	0	1
Total 2018	0	9	1	2	2	4

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

Test, Incomplete or Duplicate Whistleblower Complaints	
January	3
February	8
March	3
April	0
May	4
June	1
July	1
August	3
YTD	23

OFFICE OF RAIL SAFETY

RAILROAD SAFETY – ROSB

In the month of August 2018, SED Staff’s Railroad Operations group completed the following:

Railroad Operations Safety Branch	Aug-18	YTD 2018
New Incidents Investigated	10	74
Informal Complaints Investigated	2	15
Safety Assessments/Reviews	13	121
Compliance Actions	988	7506
Major Inspections Completed	3	27
Operation Lifesaver Presentations	10	110

ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

August 1, 2018: A CPUC railroad safety inspector performed a routine track inspection of the Union Pacific railroad tracks through Alameda and San Joaquin Counties. This also is the railroad subdivision that the ACE Commuter train uses to get through the Altamont Pass. The

purpose of the inspection was to evaluate compliance with Code of Federal Regulations and the State General Orders.

During the inspection through a large construction project addressing the stabilization of soil through the steep hills along the right of way through the Altamont Pass. The CPUC railroad safety inspector identified a serious safety defect created when a Flagging foreman protecting men and equipment through the Pass failed to place his advanced warning signs to warn trains of the upcoming Form B restriction of the working limits. Public Utilities Code 7662 has clear requirements that must be followed to protect safety.

Temporary Warning Flags for Track Conditions, PUC Section 7662(b) provides that whenever a Railroad issues instructions to employees that may restrict train movements, the Railroads must, as quickly as practicable: (1) place a yellow warning flag on the right side of the affected track in the direction of approach two miles in advance of the restricted area to warn engineers of restricted movement because of track conditions or structures; (2) place a yellow-red warning flag on the right side of the affected track in the direction of approach two miles in advance to warn engineers of a stoppage for working men or equipment; (3) place appropriate flags only on the affected track and on such other tracks as provide access to the restricted area; (4) place flags less than two miles before the restricted area if the restricted area is close to a terminal, junction or other area; provided, however, that this information must be included in the written instructions provided to employees. These requirements are mandatory to help protect men, maintenance employees, train crew and passenger lives.

When first identified the CPUC and UP Managers questioned the Flagging Foreman why the flag was not placed in advance of the Form B going into effect. The foreman said he had just got too busy to get there. The UP shut the job down and had the employee drug and alcohol tested. The CPUC inspector wrote a defect to the UP and will continually follow up on Flagging Foremen using Form B protection.

August 8, 2018: Two CPUC railroad safety investigators conducted a routine inspection at the Union Pacific Yard located in Oroville. During the routine inspection, the investigators observed exposed switch ties and a Multiple Unit (MU) locomotive cable left on the ground, in the

walkway creating tripping hazards. With the exposed switch ties and MU cable in the walkway, a railroad employee could trip and fall, which could cause serious or possibly fatal injuries if the fall occurred around moving equipment.

CPUC GO 118-A provides standards for the construction, reconstruction, and maintenance of walkways adjacent to railroad tracks to provide a safe area for train crews to work. GO 118-A requires a railroad corporation to eliminate any unsafe walkway condition. The regulation also states, walkways shall provide a reasonable regular surface with gradual slope not to exceed approximately one inch to eight inches.

The CPUC railroad safety investigators notified UP management of the unsafe walkway conditions and they agreed to remediate all the hazards by the end of the following week.

August 9, 2018: A CPUC railroad Track Safety Inspector was performing a routine track inspection of the Northwestern Pacific Railroad (NWP) tracks through Petaluma. The purpose of the inspection was to evaluate compliance with Code of Federal Regulations and the State General Orders. The team also focused on any track running adjacent or near the Sonoma Marin Area Rail Transit (SMART) Train commuter line. Due to proximity of the two lines a derailment could cause significant delays to SMART.

During the inspection the CPUC inspector identified conditions that did not meet the minimum requirements of the CFR Track Safety Standards Part 213. The team found a total of three non-compliant conditions at one location within 14' of the SMART Main track through Petaluma just south of Payran Street. The defects included a broken rail, a joint tie defect beneath the broken rail, and missing and loose bolts. The defects could have easily caused a derailment which would have likely fouled the SMART Train traffic, significantly causing delays.

When first identified NWP removed the track from service and committed to making repairs promptly. NWP made final repairs by replacing the broken rail and installing new track ties underneath the joint with the broken rail.

August 16, 2018: CPUC railroad safety inspector specializing in track conducted a meeting with Port of Oakland management and the contractors that are installing the components for the

new Cold Storage facility. The purpose of the inspection was to evaluate compliance with the State General Orders. The inspector also assisted all parties involved during the early stages of the construction to better understand and interpret the applicable State General Orders.

During the inspection the CPUC railroad safety inspector identified that the contractors had been installing five foot switch rods that do not allow enough clearance. They had also installed two switches between tracks that did not comply with the State requirements. CPUC GO 26-D requires a minimum side clearance adjacent to railroad tracks to be clear of any obstructions. Railroads must maintain the minimum requirements to reduce injuries and fatalities caused by making contact while riding equipment.

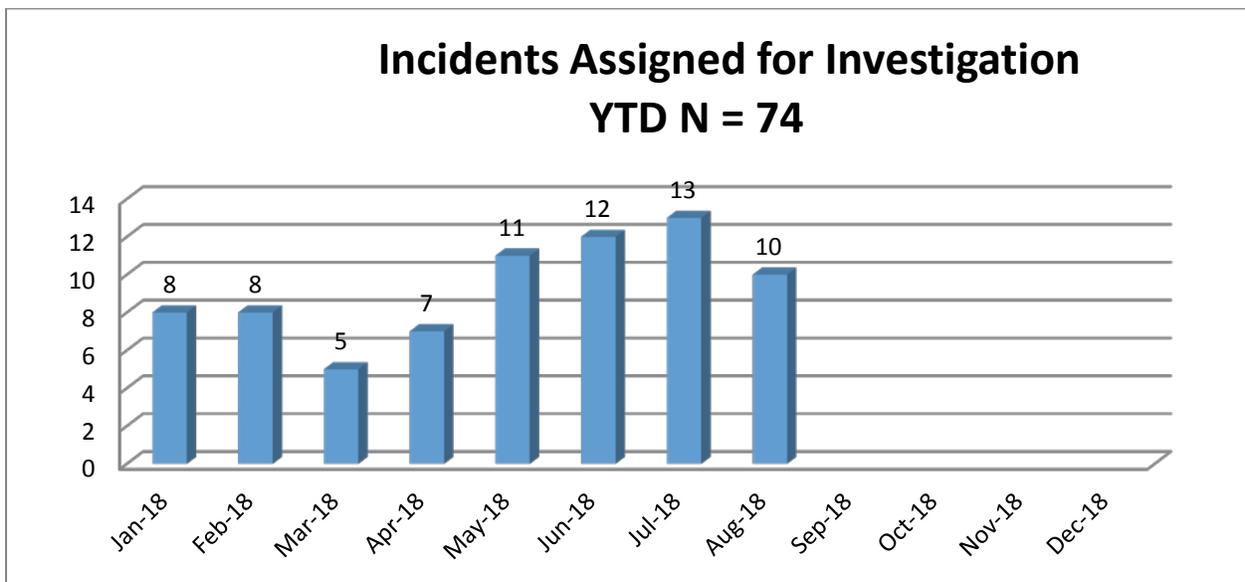
When first identified POAK management and their contractors committed to changing the plans to comply with the requirements. The CPUC involvement is very important during the construction phase of large projects to ensure variances can be identified and promptly resolved.

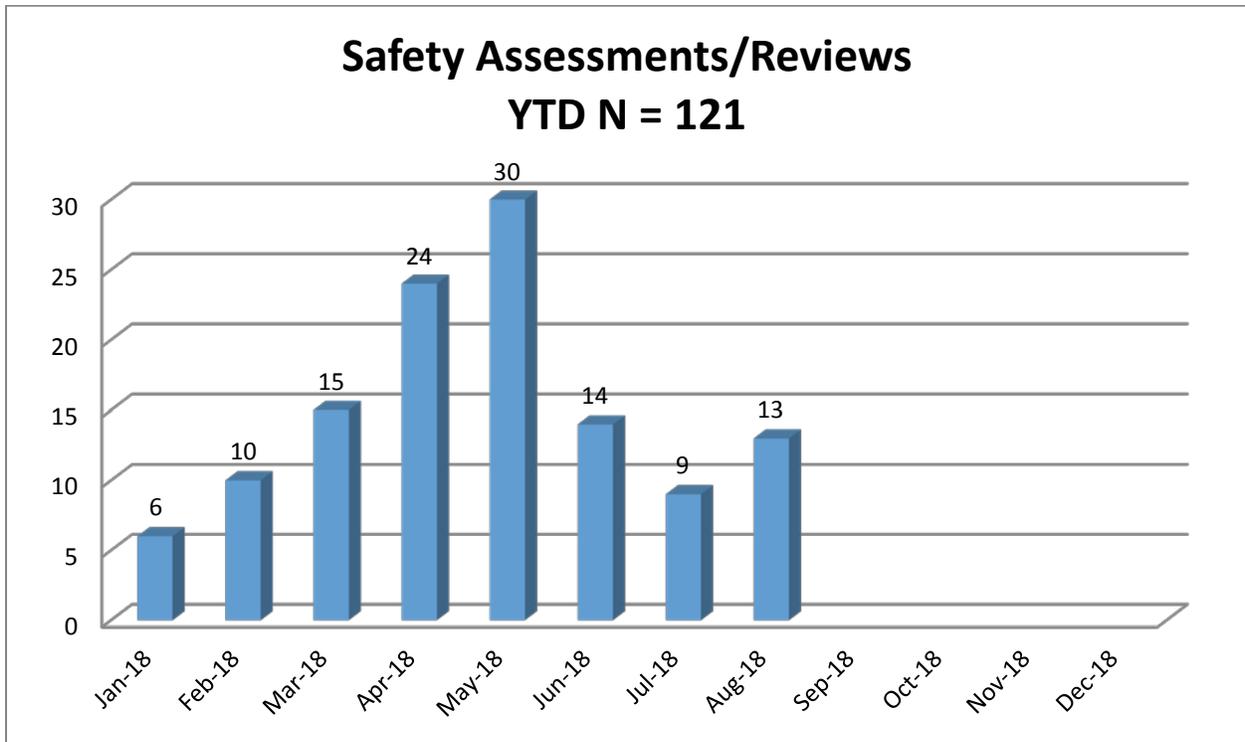
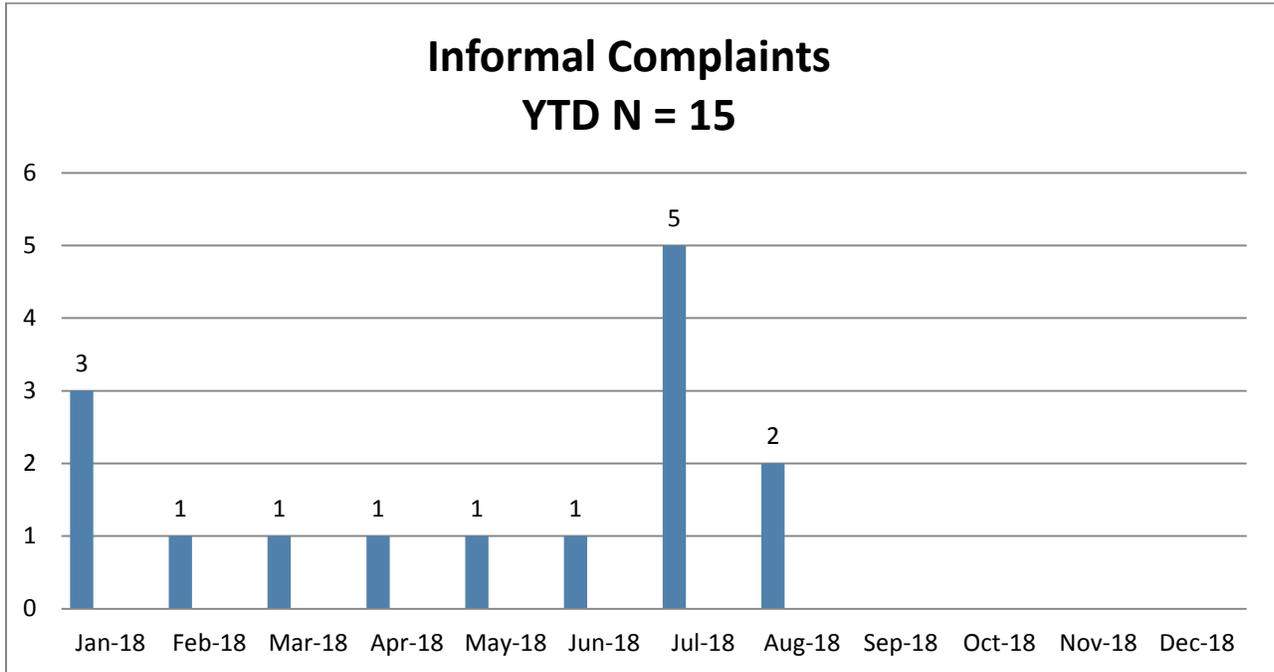
August 28, 2018: Two CPUC Railroad Safety Investigators performed Hazardous Materials and General Order Inspections in the joint UPRR-BNSF rail yard in Pittsburg. The General Order inspection was in response to a complaint by UPRR crews of non-compliant footing conditions adjacent to the interchange tracks used to transfer rail cars between the two railroads. BNSF maintains these tracks. The non-complying conditions were left after the BNSF had performed some minor track maintenance. The Investigators also participated in a safety meeting with two of the UPRR local freight crewmen who were switching in the yard.

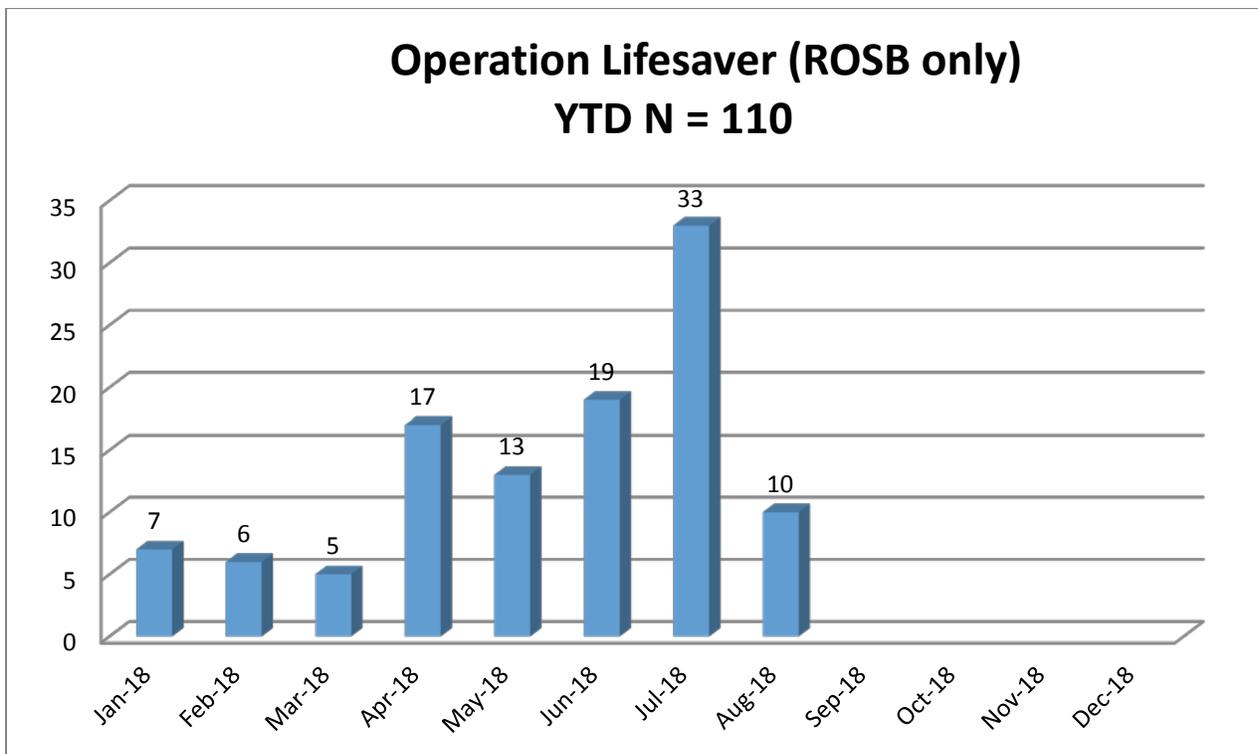
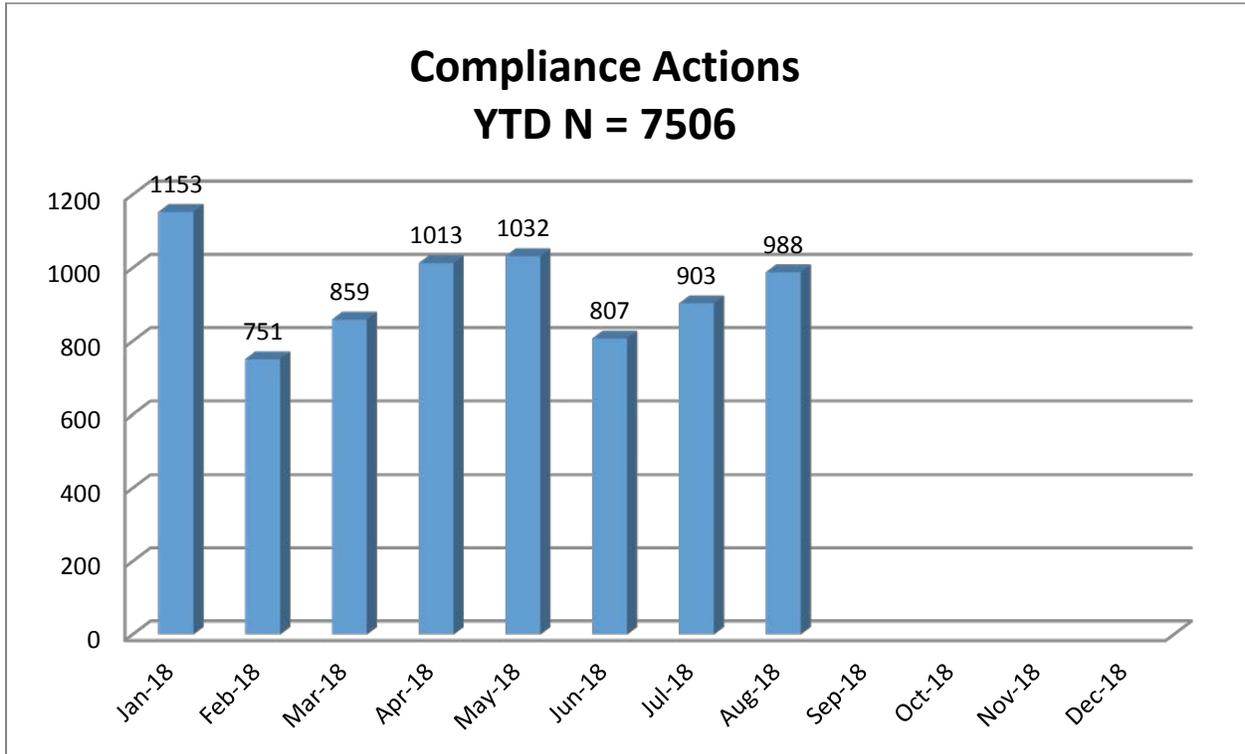
The Investigators discovered several tracks with walkway defects: insufficient walkway widths, slopes exceeding the allowed maximum of 1" to 8" slope and tripping hazards. General Order 118-A specifies standards that minimize the risk of injury to employees whose duties require them to walk next to tracks to inspect the rail cars they will be switching. The appropriate BNSF railroad manager was notified of the findings, and a commitment to correct the defects was obtained.

Two tank cars containing hazardous materials ("Poison" and "Corrosive") were discovered to be non-compliant with federal regulations. The first car (placarded "Poison") had illegible

inspection due dates on the qualification stencil. 49 CFR §173.31(d) (1) (x) states, “Examination before shipping. (1) No person may offer for transportation a tank car containing a hazardous material or a residue of a hazardous material unless that person determines that the tank car is in proper condition and safe for transportation. As a minimum, each person offering a tank car for transportation must perform an external visual inspection that includes... the periodic inspection date markings to ensure that the inspection and test intervals are within the prescribed intervals”. A tank car is not necessarily safe for transporting hazmat if the periodic inspections are not current. The appropriate railroad manager was notified, and the tank car was placed in hold status until the dates could be ascertained. The second tank car (“Corrosive”) was missing a placard on one end of the car. CFR §172.508(b) states, “No rail carrier may accept a rail car containing a hazardous material for transportation unless the placards for the hazardous material are affixed thereto as required by this subpart”. The local freight crew was notified and stated they would place a temporary placard on the car before leaving.







OFFICE OF RAIL SAFETY

RAIL CROSSINGS AND ENGINEERING BRANCH - RCEB

In the month of August 2018, the RCEB team completed the following:

	New	New YTD	Closed	Closed YTD
Crossing Incident Reviews	18	145	8	117
Safety Assessments/Quiet Zones/Reviews	33	259	33	259
Proceedings, Resolutions and G.O. 88-B Reviews	16	70	11	80
Operation LifeSaver Presentations	2	36	2	36

RAIL CROSSING INCIDENT INVESTIGATIONS

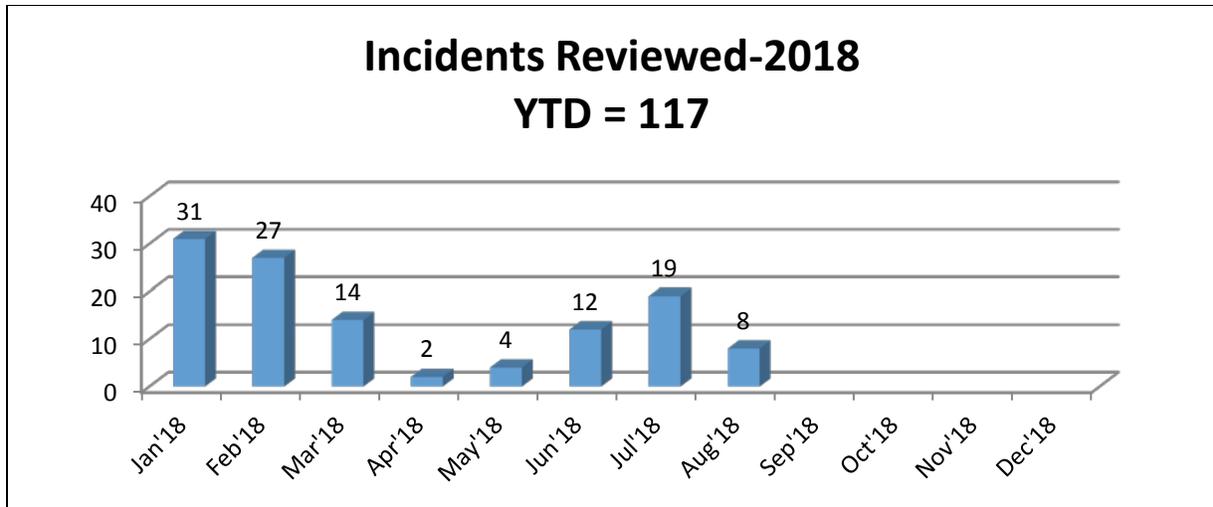
In August 2018, the Rail Crossings and Engineering Branch (RCEB) assigned 15 new incidents at highway-rail crossings, two incidents at highway-LRT crossings, and one right-of-way incident. These 18 collisions resulted in eight fatalities and three injuries. In addition to the collisions, RCEB received a derailment incident that resulted in damage to a crossing. RCEB completed eight crossing incident reviews at highway-rail crossings. Three of the eight incidents resulted along the rail-right-of-way and one incident report at a highway-LRT crossing. These collisions resulted in three fatalities. RCEB will continue to monitor the crossings.

- INCX2018020008 - On February 10, 2018 at approximately 20:11 hours, per Caltrain (PCJX) and the California Office of Emergency Services (18-0945) report that a PCJX train traveling southbound struck an unoccupied vehicle at the Watkins Avenue grade crossing, with no injuries reported near milepost 27.92 of the Peninsula subdivision in the city of Atherton, San Mateo County. According to the report, PCJX train #925 struck an unoccupied vehicle at the Watkins Avenue grade crossing, which is assigned DOT Number 754987S and CPUC Crossing Number 105E-27.92 and is equipped with gate type warning devices. RCEB found that the incident did not occur at an at-grade crossing.

- INCX2018040004 - On April 03, 2018 at approximately 18:31 hours, per Union Pacific Railroad (UP) and the California Office of Emergency Services (18-2187) report that an Amtrak train struck an unoccupied vehicle at a private grade crossing, with no injuries reported near milepost 122.09 of the Coast Subdivision near the city of Salinas, Monterey County. According to the report, the Amtrak train struck an unoccupied tractor trailer at a private crossing, which is assigned DOT Number 752176L and CPUC Crossing Number 001E-122.10-X. RCEB found that the private crossing consists of one lane dirt/gravel road that runs in the northeast southwest direction and travels through the crossing perpendicularly. The crossing has one track with private railroad warning signs and stop signs on each approach.
- INCX2018060020 -On May 31, 2018 at approximately 15:20 hours, per Sonoma Marin Area Rail Transit (SMRT) and the California Office of Emergency Services (18-3544) report that a northbound SMRT train struck a vehicle at the Todd Road grade crossing, with an injury near milepost 50.30 on the mainline in the city of Santa Rosa, Sonoma County. According to the report, SMRT train #4 struck an occupied vehicle at the Todd Road grade crossing, which is assigned DOT Number 498670U and CPUC Crossing Number 005-50.30 and is equipped with gate type warning devices. There were no reports of injury to neither the train crew nor the train passengers. RCEB found, based on the police report, that witnesses state that the driver was approaching the crossing in the westbound direction at approximately 20 - 30 mph. The train activated the warning devices and the gates were in the horizontal position at least 5 seconds before the driver went through them without slowing. A northbound train then struck the vehicle. The Todd Road crossing consists of a two lane, east/west running roadway with a single track. The crossing has 60 feet of un-mountable raised medians on both approach directions; standard gate warning devices and excellent visibility on both approaches.
- INCX2018060026 - On June 14, 2018, at approximately 15:54 hours, a UP freight train consist collided with the rear of a semi-truck at the Terven Avenue at-grade crossing in Salinas. According to the Salinas Police Department, both parties left the scene after exchanging information and no police report was taken. No injuries were reported at the

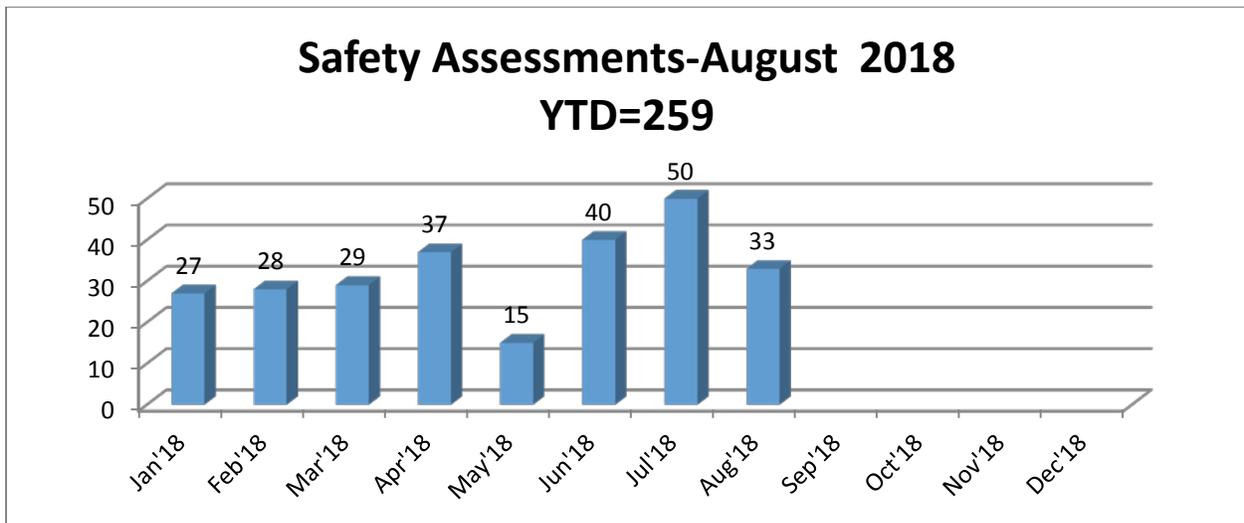
time of the incident. Since a police report is not available, RCEB does not have enough information to determine the circumstances of the incident.

- INCX2018070009 - On July 11, 2018, at approximately 22:33 hours, an Amtrak passenger train consist collided with an occupied vehicle at a private crossing near Avon. The driver of the vehicle drove away before authorities arrived. There were no injuries reported at the time of the incident. Since a police report is not available, RCEB does not have enough information to determine the circumstances of the incident.
- INCX2018070017- On July 23, 2018 at approximately 08:09 hours an Amtrak train struck a person resulting in fatality near milepost 233.23 of the North County Transit District - Coaster (NCTC) - San Diego Subdivision in the City of Carlsbad, San Diego County. The incident occurred on the tracks between the platforms at Poinsettia Station, further than 50 feet from the pedestrian crossings. The incident occurred on main track #2 (west track). Based on the limited information available, the incident appears to be a suicide.
- INCX2018080001 - On July 31, 2018 at approximately 00:54 hours a deceased person was observed on the Union Pacific Railroad (UP) right-of-way near milepost 708.09 of the Calexico subdivision in the City of Calexico, Imperial County. Based on the reported milepost, the incident is near Grant Street. UP clarified that the location was not near the railroad crossing. The Calexico Police Department reports that an adult male trespasser was found deceased on the UP tracks along the rail right of way and the incident did not occur at a crossing.
- INCX2018080008 - On August 15, 2018 at approximately 13:05 hours, an Amtrak train struck a pedestrian at the Surfrider Way grade crossing, resulting in fatality. The location is near milepost 225.90 of the North County Transit District - Coaster San Diego subdivision in the City of Oceanside, San Diego County. The crossing is assigned DOT Number 026813M and CPUC Crossing Number 106-225.90 and is equipped with gate type warning devices. Preliminary review by ROSB indicates that the incident was a suicide.



SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

In August 2018, RCEB completed 33 rail-crossing safety assessments involving: communications, field inspections, and diagnostic reviews with railroads and local agencies. In addition to the assessments, RCEB staff participated meetings with Caltrans in relation to the railroad preemption interconnection standard.



PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

In August 2018, RCEB staff received 16 new proceedings that consist of three proceedings requiring Administrative Law Judge (ALJ) review, and 13 new General Order 88-B applications

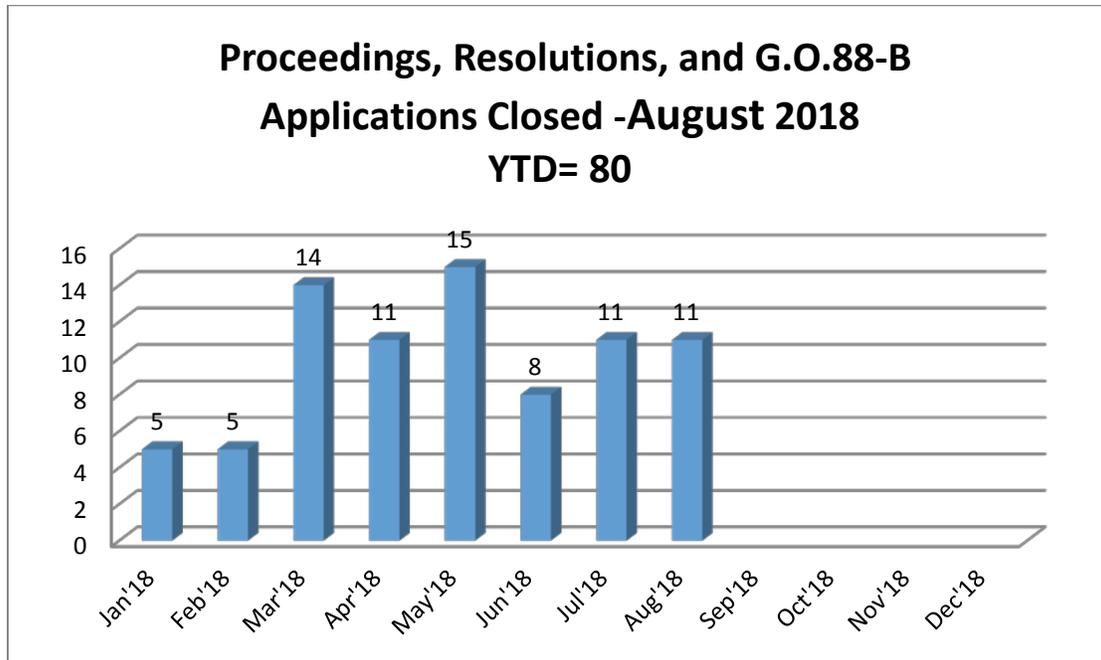
for changes to existing crossings. This month, RCEB closed 11 proceedings including one formal proceeding with the ALJ, and 10 General Order 88-B applications. The total number of closed proceedings, resolutions and G.O. 88B reviews for July was 69. The chart had the correct number, but the summary table showed 61. This correction brings the number of RCEB completed 80 assignments year to date to 80.

- PROC A1705014 – On August 23, 2018 with D.1808022, the Commission authorized the California High Speed Rail Authority’s application, A1705014, to construct a new grade-separated railroad crossing at mile post 994.4 of the Burlington Northern Santa Fe Railway Company tracks, in Fresno County. The rail crossing shall be identified as mile post 195.15. The authorization expires on August 23, 2024.
- GO 88B - XREQ 2018060008 – Santa Clara County – On August 3, 2018, staff authorized the City of Milpitas request to alter the Milpitas Boulevard at-grade crossing, in Milpitas, Santa Clara County. The alterations include adding bicycle lanes, medians, railroad preemption, sidewalk improvements, and concrete grade crossing surface. Staff granted the request and the authorization expires on August 12, 2021.
- GO 88B - XREQ 2018070001 –Santa Clara County – On August 13, 2018, staff authorized the City of San Jose to alter the Gimelli Way at-grade crossing in the City of San Jose, Santa Clara County. The alterations include a new pedestrian crosswalk at North Capitol Avenue; and new curb ramps with detectable warning strips on all four corners of the Gimelli Way and North Capitol Avenue intersection. Staff granted the request and the authorization expires on August 12, 2021.
- GO 88B - XREQ 2018070002 – San Diego County – On August 13, 2018, staff authorized the City of Encinitas to alter the Chesterfield Drive at grade crossing in the City of Encinitas, San Diego County. The alterations include installation of exit gates, vehicle detection system, and maintenance of signs and railroad flashers. Staff granted the request and the authorization expires on August 12, 2021.
- GO 88B - XREQ 2018070004 – Santa Clara County – On August 27, 2018, staff authorized the City of San Jose’s request to alter the North 1st Street and Karina Court at-grade crossing in

the City of San Jose, Santa Clara County. The alterations include the redesign of the Karina Court and North 1st Street intersection and the addition of tactile strips for all pedestrian curb ramps. Staff granted the request and the authorization expires on August 24, 2021.

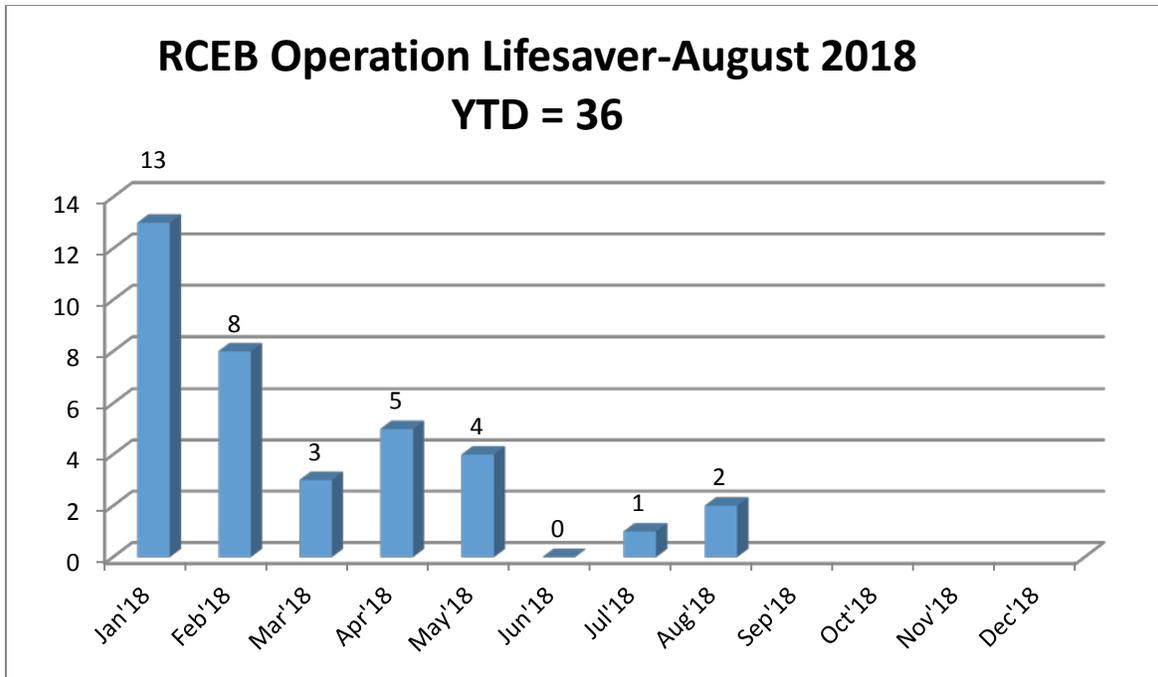
- GO 88B - XREQ 2018080001 – Alameda County – On August 21, 2018, staff authorized the City of Berkeley’s request to alter the Gilman Street at grade crossing in the City of Berkeley, Alameda County. The alterations include new sidewalks, automatic flashing light signals warning devices, tactile strips, signage and pavement markings. Staff granted the request and the authorization expires on August 21, 2021.
- GO 88B - XREQ 2018080003 – Sacramento County – On August 20, 2018, staff authorized the City of Galt’s request to alter the Marengo Road at grade crossing in the City of Galt, in Sacramento County. The alterations include a roadway widening, replacing active warning devices, sidewalk, tactile strips, off quadrant active warning devices, and advance railroad crossing warning signs. Staff granted the request and the authorization expires on August 19, 2021.
- GO 88B - XREQ 2018080004 – Humboldt County – On August 27, 2018, staff authorized the City of Eureka’s request to alter the West Del Norte Street at grade crossing in the City of Eureka, Humboldt County. The alterations include pedestrian improvements, crosswalk, tactile strips, sidewalk landing, multiuse path, and signage for bicyclists/pedestrians. Staff granted the request and the authorization expires on August 27, 2021.
- GO 88B - XREQ 2018080005 – Humboldt County – On August 21, 2018, staff authorized the City of Eureka’s request to alter the Washington Street at grade crossing in the City of Eureka, Humboldt County. The alterations include pedestrian improvements, crosswalk, tactile strips, sidewalk landing, multiuse path, and signage for bicyclists/pedestrians. Staff granted the request and the authorization expires on August 21, 2021.
- GO 88B - XREQ 2018080006 – Humboldt County – On August 27, 2018, staff authorized the City of Eureka’s request to alter the Commercial Street at grade crossing in the City of Eureka, Humboldt County. The alterations include pedestrian improvements, crosswalk, tactile strips, sidewalk landing, multiuse path, and signage for bicyclists/pedestrians. Staff granted the request and the authorization expires on August 27, 2021.

- GO 88B - XREQ 2018080010 – Santa Clara County – On August 27, 2018, staff authorized the City of Mountain View’s request to alter the Wishman VTA Station North Pedestrian at grade crossing in the City of Mountain View, Santa Clara County. The alterations include a removal and reinstallation of tactile strips, new pedestrian channelization, additional flashing lights, and pavement markings. Staff granted the request and the authorization expires on August 27, 2021.



OPERATION LIFESAVER INC.

In August 2018, two RCEB Operation Lifesaver Inc. (OLI) volunteers shared the OLI rail safety message to two groups. On August 29, staff worked at an OLI booth and talked to participants at the ACE/Amtrak Rail Safety Event at the Stockton ACE Station and on the train. On August 19, 2018, staff worked at an OLI booth at the Altamont Expressway track for the “Get Behind the Wheel” event in Tracy, CA. The event allows parents and teenagers to practice driving through an obstacle course. As time permits, staff participates in presentations, fairs, and community events to share the OLI rail safety message to the public and professional drivers.



RAIL TRANSIT - RTSB

In August 2018, the Rail Transit Safety Branch (RTSB) completed the following activities:

CORRECTIVE ACTIONS PLANS

- Eighty (80) Corrective Action Plans (CAP's) were opened.
- Seventeen (17) CAP's were closed.

INCIDENT INVESTIGATIONS

- Thirty-one (31) incidents were reported by Rail Transit Agencies (RTA).³
- Forty-seven (47) incident investigations were closed.

MAJOR AUDITS

³ Per General Order 164-E, the Commission must be notified within 2 hours by rail transit agencies of incidents if they include one of the following: a fatality (occurring at the scene, or within 30 calendar days following the incident); one or more persons suffering "serious injury" (as defined in GO 164-E); a collision involving a rail transit vehicle and another rail transit vehicle, or individual; a derailment of any rail transit vehicle at any location, at any time, whatever the cause; an evacuation for life safety reasons; or a runaway train.

- A Triennial Safety and Security Review of North [San Diego] County Transit District (NCTD) was conducted in August. The opening meeting occurred on July 30th and the review lasted until August 8th. The review covered the twenty-one (21) System Safety Program Plan and five (5) System Security Plan elements required by General Order 164-E and 49CFR659. In addition, Staff reviewed agency compliance with other General Orders, such as General Orders 172 and 175. Draft checklists are in review for preliminary findings.
- RTSB and Bay Area Rapid Transit (BART) met on May 29 to discuss the BART Triennial Safety Review Draft Audit Report. The objective was to discuss any concerns BART may have with the draft. BART sent RTSB their comments on the draft report. RTSB incorporated most of these responses into its revised draft report. RTSB plans to place a proposed resolution to adopt the BART Triennial Safety Review Audit Report on an upcoming Commission meeting agenda. A draft of the proposed resolution and report are under managerial review.

ADMINISTRATIVE ACCOMPLISHMENTS

- **Federal Certification of SSOA Programs:** State Safety Oversight Agencies (SSOAs) have until April 15, 2019 to have their program certified by FTA. In order for the CPUC to receive FTA certification, the Commission approved a revised GO 164-E that became effective as of May 1. RTSB revised its Program Standard (Procedures Manual) in compliance with the new 49 CFR Part 674 and provided the FTA a list of other required documents. On April 30, RTSB formally transmitted its Certification Application to the FTA. On June 14, Henrika Buchanan, FTA Acting Associate Administrator for the Office of Transit Safety and Oversight, sent a letter to CPUC President Picker acknowledging receipt of CPUC's Certification Application. On July 24, during its monthly one-on-one call with the FTA, the agency informed RTSB Staff that, except for one item, FTA staff is satisfied with CPUC's Certification Application. RTSB is working with other CPUC divisions to provide additional information to address the one outstanding item. Currently, CPUC is in Stage 3 of the Certification process, which has the following 4 stages:

- Stage 1 – State (Commission is the designated SSOA for the state) is working on its submissions to the FTA. Where applicable, legislation has not yet been enacted or executive action taken.
 - Stage 2 – State has submitted some requirements to the FTA.
 - Stage 3 – State has submitted all required documents to the FTA and is engaged in a dialogue with the FTA to address comments and questions. Where applicable, all required legislation has been enacted.
 - Stage 4 (Certified) – State has successfully met all SSOA Program requirements, including the resources to carry out the requirements, and has received FTA certification.
- **Training:**
 - Richard Fernandez completed the “Forty-Hour POST Certified PC 832 Arrest Course” presented on August 27-31, 2018. This meets the requirements of the introductory training course prescribed by the Commission on Peace Officer Standards and Training (POST), as described in California Penal Code (PC) Section 832(a).
 - Jamie Lau completed the “Transit System Security” training offered through the Federal Transit Administration’s Transportation Safety Institute (TSI), presented on August 6-10, 2018. Upon completion of this course, Jamie also qualified for and received the “Transit Safety and Security Program” (TSSP) Certificate.
 - Madeline Ocampo also completed the “Transit System Security” training offered through TSI, presented on August 6-10, 2018.
 - Matthew Ames completed the “Transit Rail Incident Investigation” training offered through TSI, presented on August 6-10, 2018. Upon completion of this course, Matthew also qualified for and received the TSSP Certificate

Ongoing:

- **I.16-06-010 Investigation into Fatal Accident on BART Tracks (Commissioner Randolph/ALJ Kim)** - On June 28, 2016, the Commission instituted a Formal Investigation in response to a two fatality BART accident on October 19, 2013. The Commission extended the statutory deadline to conclude this proceeding to December 31, 2018.

SAFETY CERTIFICATION AND OVERSIGHT OF RAIL TRANSIT AGENCY PROJECTS

- **AirTrain Extension Project:** On August 10, 2017, Resolution ST-205 approved the San Francisco International Airport's AirTrain Automated People Mover (AirTrain) Extension Safety Certification Plan (SCP). The project expands the existing AirTrain system to include a new Long Term Parking (LTP) Garage Station and add an additional in-line Hotel Station serving a future hotel. Additional planned changes include an upgrade to line-of-sight (LOS) train to wayside signaling and communications, field retrofits of 39 vehicles to LOS technology, an upgrade to the Central Control, a 2000 ft. guideway extension, four additional guideway crossover switches, additional traction power system, and 3 new Innovia APM 100 vehicles. The project will have three Safety Certification Verification Reports, as it has three phases and will start revenue services accordingly, from October 2018 to June 2019. AirTrain is working to resolve a few outstanding items on its design conformance checklist for Phase 1 before commencement of Phase 1 testing.
- **BART New Vehicle Procurement:** BART is in the process of procuring 775 new rail vehicles. BART submitted its Interim Safety and Security Certification Verification Report on October 30, 2017 and a Request Letter on January 12, 2018 to place 10 new cars into revenue service. RTSB approved this request with a letter dated January 17, 2018. Since that date, RTSB has approved by letter to BART's General Manager three other requests for BART to place new vehicles into revenue service with its most recent dated July 27. Thirty new vehicles have been approved and placed into revenue service. There are two types of new vehicles, D-Cars and E-Cars. D-Cars have an operator's cab while E-Cars do not.

- **Silicon Valley Berryessa Extension (SBVX):** BART and Santa Clara Valley Transportation Authority (VTA) are currently in the process of constructing a 10-mile BART system track extension and two new stations – the Milpitas and Berryessa stations.
- **Downtown Sacramento Streetcar Project:** FTA has provided funding for preliminary engineering and development for this project, but they have not received a FTA full-funding grant award. A Joint Powers Authority has been established as the system owner/operator involving the City of Sacramento and City of West Sacramento. They are utilizing the expertise of Sacramento Regional Transit District (SRTD) in the provision of design and construction oversight, and they will be the eventual system operator. This will be helpful for the project, as the Streetcar will operate over a portion of the existing SRTD tracks.
- **Central Subway Project (CSP):** The San Francisco Municipal Transportation Agency (SFMTA) is excavating 1.7 miles of tunnel to extend the Muni Metro Third St. Line to provide a direct transit link between the Bayshore and Mission Bay areas to SoMa, downtown San Francisco, and Chinatown. SFMTA estimates a start of revenue service on December 10, 2019. On August 27, CSP submitted the verification documentation for some additional construction certification items to the Security Certification Review Committee (SSCRC) for review and approval. Conduits for electrical and signaling systems have been partially installed in the twin subway tunnels, and concrete forms are being built to construct the surface station platform at 4th and Brannan Streets.
- **LACMTA P3010 New Vehicle Procurement Project:** Los Angeles County Metropolitan Transportation Authority (LACMTA) is in the process of procuring up to 235 new rail vehicles. These vehicles are intended to expand passenger capacity for the recently completed projects (Expo Phase 2 and Foothill Extension Phase 2) and the future LAX/Crenshaw line currently under construction. Staff continues to follow a recently revised approval process whereby Staff provide a conditional approval based on monthly review of the open item lists and the reports on vehicle test performance. Staff will recommend official approval to RTSB management after a successful review of the Car History Books (CHBs) in person.

- **LACMTA HR4000 Heavy Rail Vehicle Procurement:** LACMTA is in the process of procuring a base order of 64, with options for up to 282, new heavy rail vehicles (HRV) to provide for the future expansions of Regional Connector and Purple Line Extensions, and to replace the aging HRV fleet operating on the Red Line subway. Resolution ST-185 approved the procurement option. To date, there have been no vehicles delivered.
- **LACMTA Regional Connector Project:** Staff regularly attends LACMTA's monthly Fire Life Safety and Security Meetings, as well as SSCRC Meetings, and has approved a temporary shoofly track to allow tunnel boring to commence. The Regional Connector Project celebrated its 50% completion on May 19 with a "Halfway There!" community celebration that was free and open to the public.
- **LACMTA Purple Line (Westside) Extension Project:** LACMTA is currently 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 will consist of nearly nine miles of heavy rail subway and seven stations. Tunneling is scheduled to begin in late August or early September.
- **LACMTA/MGLFECA Foothill Extension Phase 2B:** LACMTA and Metro Gold Line Foothill Extension Construction Authority (MGLFECA) have submitted the project's SCP. Resolution ST-194 provided approval for the document on January 19, 2017. Phase 2B alignment is from the current terminus of LACMTA Gold Line, Azusa Station, to the City of Montclair. It will traverse through six cities with six new stations on 12.3 miles of light rail transit (LRT) at-grade track.
- **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 Green Line and will serve the cities of Los Angeles, Inglewood, El Segundo and portions of unincorporated Los Angeles County. The project is currently in the construction phase that Staff monitors via regular meetings. The review team has approved all the Safety Certification Design Checklists. The next step is the Safety and Security Certification Review Team's verification

of the Safety Certification Construction Checklists. The project is nearly 80% complete. Substantial completion is scheduled for May 1, 2019 and the forecasted revenue service date is October 31, 2019. Southwestern Yard (part of the Crenshaw/LAX, but a separate contract) is on schedule for completion by January 2019.

- **Los Angeles Streetcar:** The Los Angeles Streetcar is a project that is advancing under the Los Angeles County Measure M funding. The preliminary design is proceeding, despite the lack of LACMTA's identification for near term funding.
- **LAWA Automatic People Mover Project:** Los Angeles World Airports (LAWA), the governing body of Los Angeles International (LAX) and Van Nuys airports, is developing a multi-billion-dollar upgrade to the ground transportation system at LAX. The Landside Access Modernization Program (LAMP) includes a landside Automated People Mover (APM), a Consolidated Rent-A-Car (CONRAC) facility, multiple Intermodal Transportation Facilities (ITFs), and a comprehensive network of roadway improvements. The APM system will feature the design and construction of an approximate 2.25-mile-long, elevated dual-lane guideway, consisting of six stations. Three stations will connect new rental car, airport parking, and Metro facilities to the airline terminals. Three stations in the Central Terminal Area will provide fast and easy connections to nine airline terminals with a pedestrian walkway system.

LAWA has formally submitted a Safety and Security Certification Plan (SSCP) for review and approval. Staff has reviewed the SSCP. Calendar notice for ST-212 has been distributed and comments are due by October 8, 2018. Tunneling is scheduled to begin in early October. The project is currently in the construction phase. Staff is monitoring this process by way of regular meetings. The review team has approved all Safety Certification Design Checklists. The next step is the Safety and Security Certification Review Team's verification of the Safety Certification Construction Checklists. The project is nearly 80% complete. However, the project has experienced significant delays and is an estimated 6 months behind schedule. An unofficial substantial completion date was rescheduled from May 1, 2019 to December 2019. While the forecasted revenue service date has been pushed from October 31, 2019 to May 2020.

- **Orange County Transportation Authority (OCTA) OC Streetcar Project:** The OC Streetcar (OCSC) project consists of 4.15 miles of track between the Santa Ana Regional Transportation Center in the City of Santa Ana and the Harbor Boulevard/Westminster Avenue intersection in the City of Garden Grove. The Agency posted an open construction bid on June 19, and revenue service is scheduled to commence in 2021. However, to date FTA has not awarded a full-funding grant agreement and coordination with OCTA is ongoing. Operations and Maintenance contract request for proposals is scheduled to be released in November 2018. Proposed construction contract award going to the Board on September 24, 2018. Highway-Light Rail Transit Crossing applications for the project have been filed in Proceedings A.18-04-005, A.18-04-006, and A.18-04-007. Staff continues to attend the SSRCR and Fire Life Safety Committee meetings for this project.
- **SFMTA LRV4 Procurement to Expand and Replace the Rail Fleet:** This project is scheduled for completion in 2027. The safety and security certification-related aspects of this project are being monitored by Staff through regular meetings, review of records produced pursuant to the requirements of the project SSCP (e.g. Certificates of Conformance and associated supporting documentation for certifiable elements at pertinent project milestones), and observations of vehicle testing. On August 10 and 23, SFMTA submitted to Staff their Notices of Intent to Operate three (3) LRV4 Cars in two-car consists on or after August 31 and September 13. This submittal included the Certificates of Specification Conformance and supporting Audit Checklists for these cars. On August 24, RTSB management sent a letter to SFMTA that authorized placement of these cars into revenue service.
- **San Diego Trolley, Inc. (SDTI) Mid-Coast Corridor Project:** The San Diego Metropolitan Transit System's 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 of California at San Diego (UC San Diego) and the University City areas. The additional stations will be Tecolote Road, Clairemont Drive, Balboa Avenue, Nobel Drive, potential Veterans Administration (VA) Medical Hospital, UC San Diego West (along Voigt Drive), UC San Diego East (along Voigt

Drive), Executive Drive, and University Town Center (UTC) Transit Center. Construction started in 2016 and revenue service is planned to begin late 2021. Staff continues to attend the System Safety Review Committee Project Meetings and Fire Life Safety Committee Project Meetings.

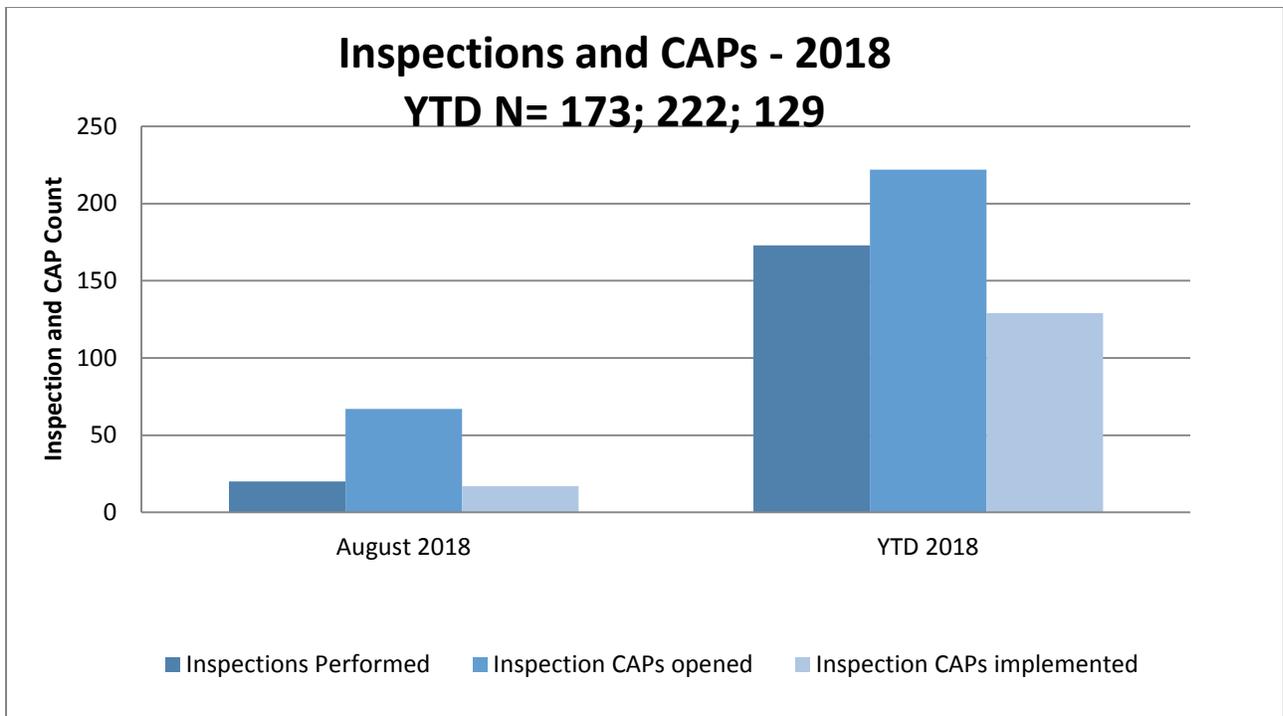
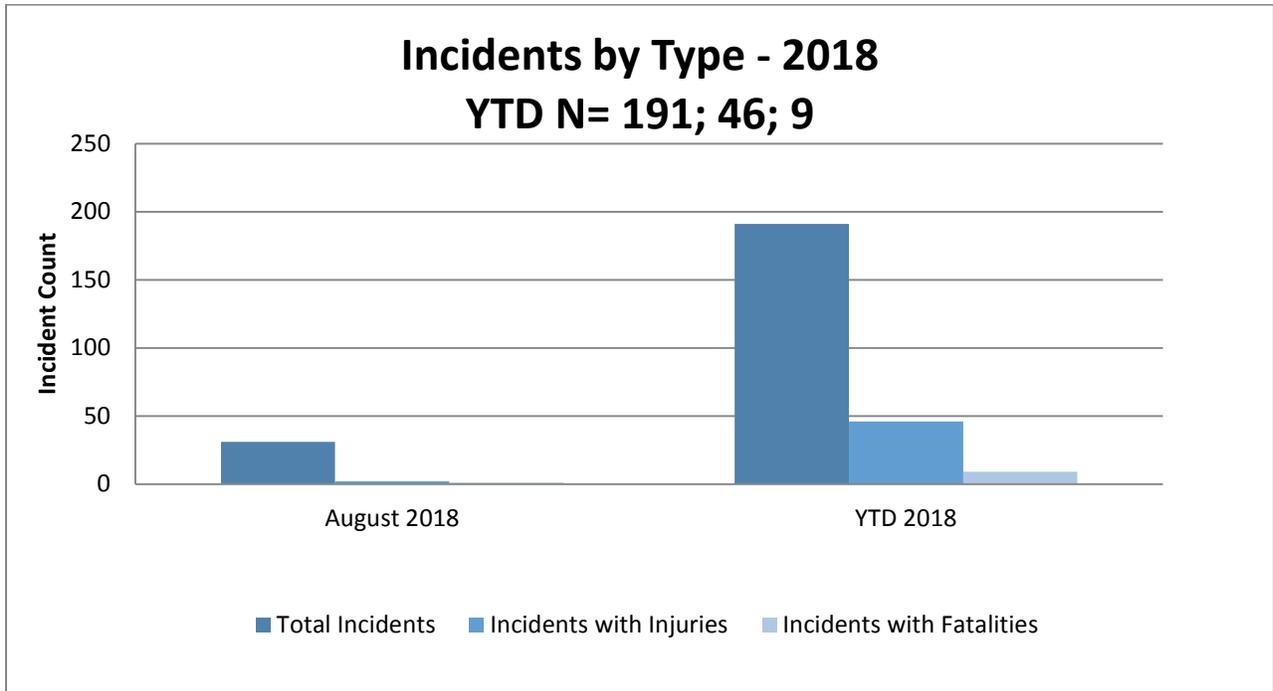
- **San Diego Light Rail Vehicle Procurement:** SDTI is procuring 45 light rail vehicles (LRV) for the Mid-Coast Corridor Project. The procurement process began January 2018 with an expected schedule completion and acceptance of all 45 LRV's by June 2021. Staff reviewed the San Diego LRV Procurement Safety Certification Plan as required by GO164-D (in effect at that time) and sent Staff letter dated March 12, 2018 accepting the SCP and advising MTS a Commission Resolution would be drafted to accept the SCP. Staff is tentatively scheduling formal Commission approval of the SCP by late Fall 2018.

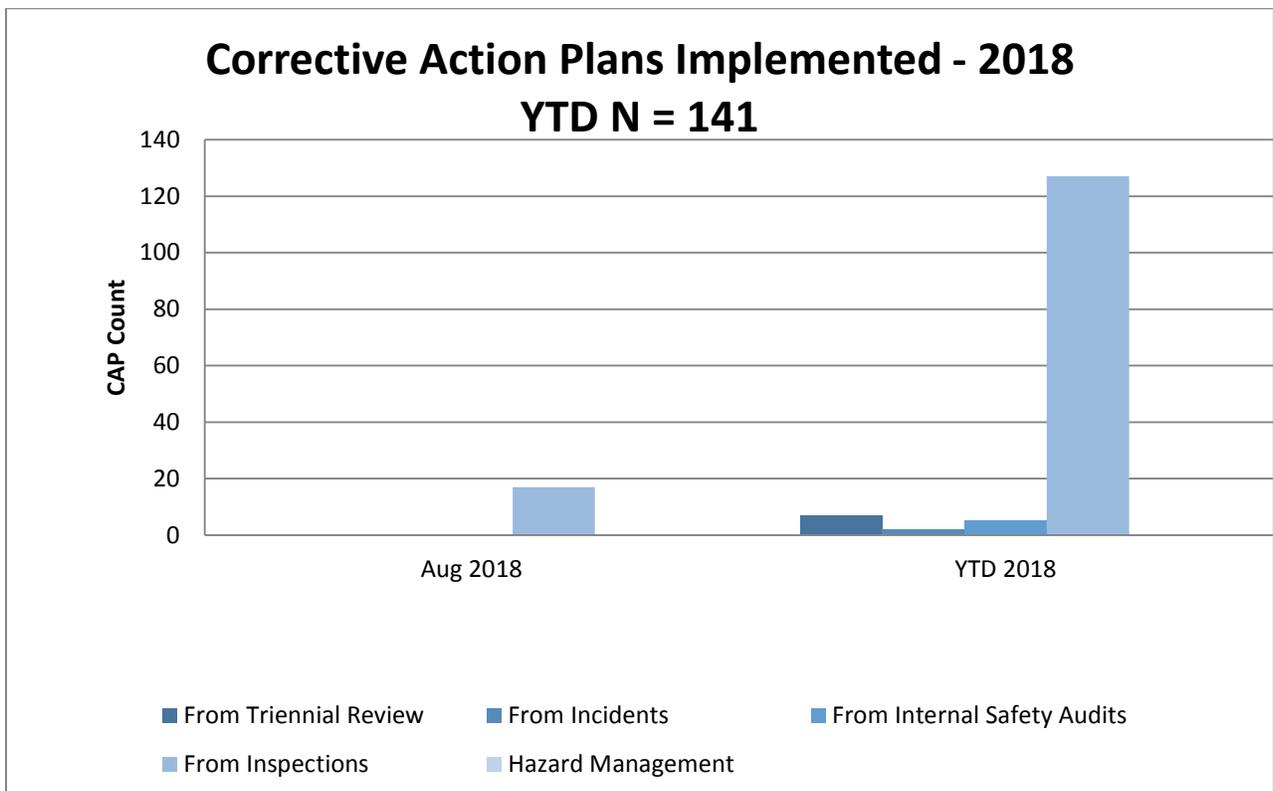
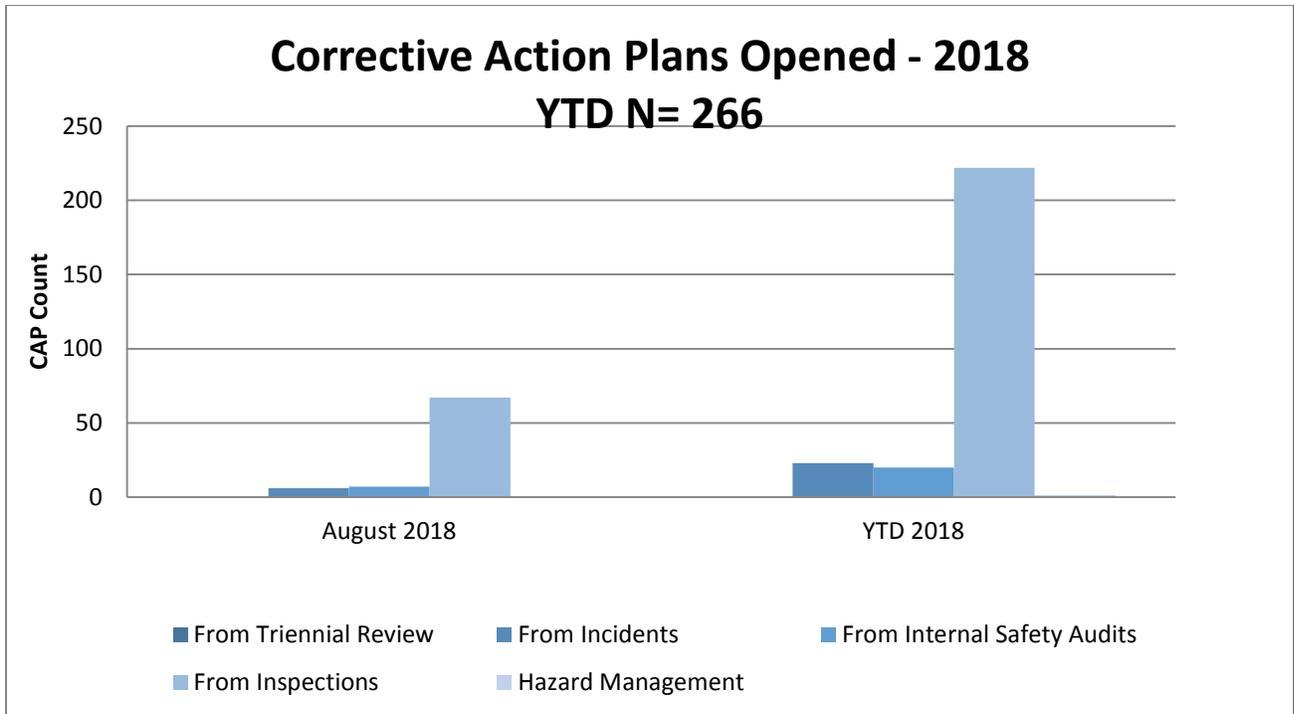
California Public Utilities Commission | Safety and Enforcement Division

STATISTICS SUMMARY

Investigations for Month		YTD 2018
Incidents Reported	31	191
Incident Investigations Closed	47	322
Complaints Investigated	0	2
Rail Transit Inspections	20	173
Triennial Review	1	3

Corrective Action Plans		YTD 2018
New Corrective Action Plans	80	266
From Triennial Review	0	0
From Incidents	6	23
From Internal Safety/Security Audits	7	20
From Rail Transit Inspections	67	222
From Hazard Management	0	1
Closed Corrective Action Plans	17	141
From Triennial Review	0	7
From Incidents	0	2
From Internal Safety/Security Audits	0	5
From Rail Transit Inspections	17	127
From Hazard Management	0	0





CORT MONTHLY REPORT

In California during the month of August:

- The railroads moved 7 trains with 700 crude oil cars via unit train
- Via manifest train the railroads moved 175 crude oil cars

During the month of August six (6) crude oil trains were delivered to **Plains All America** in Taft, California. Each train consisted of 100 cars: four (4) were heavy crude coming from Edmonton, Canada; two (2) were light crude originating in Carlsbad, New Mexico. These trains were spotted by the San Joaquin Valley Railroad (SJVR) originating from there yard in Bakersfield.

For the month of September, nine (9) crude oil trains are expected, and of the nine two (2) are expected to be lite, and seven (7) heavy crude, none of which are Bakken crude.

The SJVR also spots unit trains for **Kern Oil** which is a refinery operating in Bakersfield. Kern Oil received one (1) train in August consisting of one hundred (100) crude oil cars originating in Carlsbad, New Mexico.

Kern is expecting one train next month also originating in New Mexico.

Delta Trading is a trans-loading facility located in Bakersfield where California oil cars are moved by manifest train. Their cars are loaded in Natrona, Wyoming after the oil is piped across from Canada. The SJVR also spots cars at this facility the crew picks up the cars in their Bakersfield Yard and moves them to two (2) holding tracks outside the facility until needed. In the month of August Delta processed 175 crude oil cars. This facility has new managers Vanessa Ruiz and Greg Lee of Crimson Renewable Energy the joint tenant at the site.

IN OTHER NEWS

- The CORT team received information regarding the use of the Saco siding by Delta Trading for trans-loading. According to the feasibility study conducted by Crimson Renewable Energy managers it would not be cost effective at this time. The study illustrated the company would have to invest heavily in infrastructure to achieve the expansion. At this point the cost outweighed the benefits.

- Our team has not received an update regarding the Santa Maria Railroad (SMR) moving crude oil for Phillip 66 in an attempt to begin a trans-load operation in the four car team track. Last month the SMR moved a single crude oil car from the Union Pacific Guadalupe interchange to the team track as part of a time study.
- CORT is planning a trip to Wunpost in the upcoming months to monitor the movement of the Phillip 66 oil-cans. The term oil-cans refer to a type of crude oil unit train that utilizes a connecting hose across the top of the cars. The hose allows the off loaders the ability to empty the entire train utilizing one connection. This style of tank car arrangement is no longer produced for the industry.

For the month of August:

- Total of seven (7) crude oil unit trains entered California with none of them containing Bakken crude.
- Total of 175 individual tank cars of crude oil were received, none of them containing Bakken crude.