

# Safety and Enforcement Division



## Monthly Performance Report

July 2018

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## California Public Utilities Commission | Safety and Enforcement Division

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### Disclaimer

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The CPUC, the State of California, its employees, contractors, and subcontractors make no warrants, express or imply, and assume no legal liability for the information in this Report.

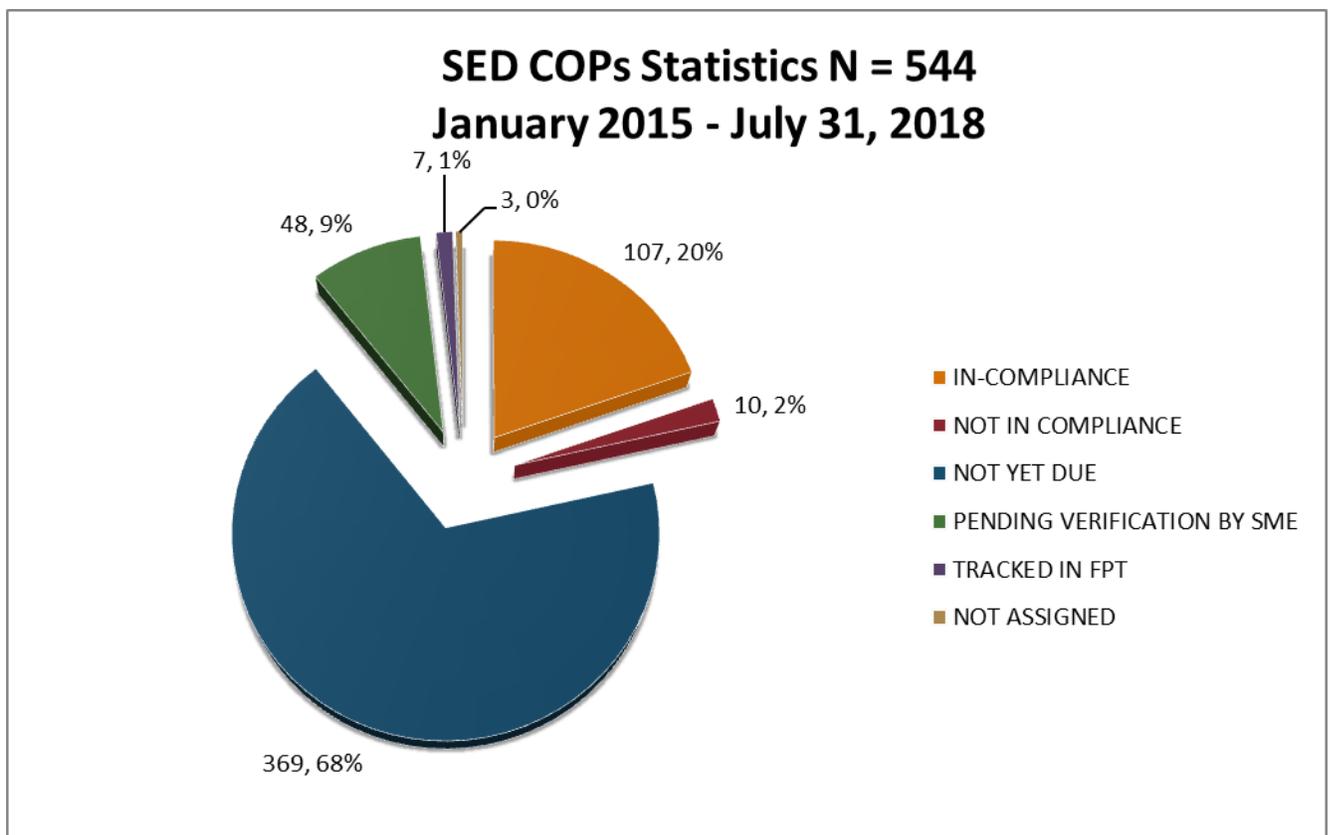
This Report has not been approved or disapproved by the CPUC.

## COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through July 31, 2018, SED shows 544 total entries in the COPS system; with 107 reaching compliance (20%), 369 (68%) not yet due for compliance, and 10 (2%) currently remaining out of compliance. 48 (9%) are either pending verification. 540 (99%) of all Ordering Paragraphs are assigned to members of staff.

During July 2018, there were 28 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

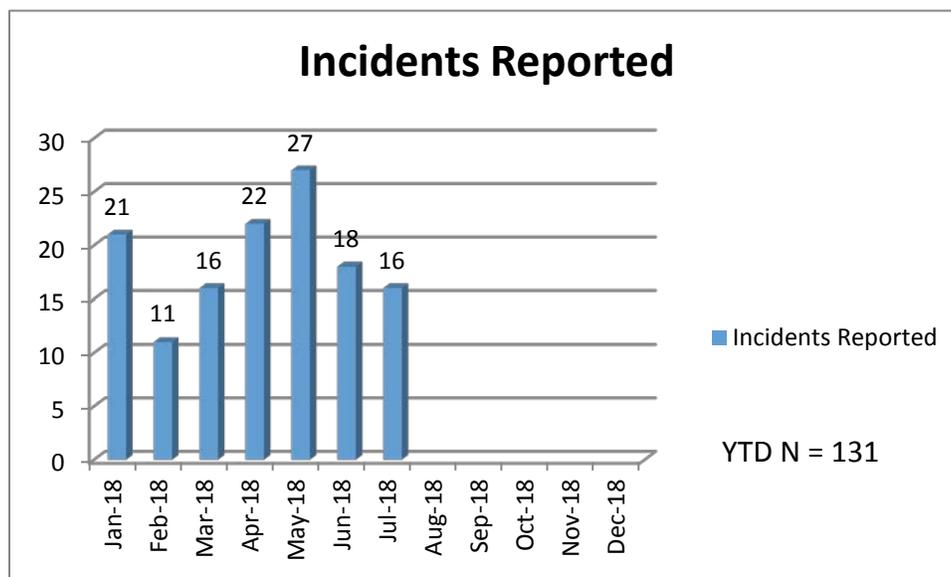
Citation Number	Utility	Amount	Violations	Date Cited	Appealed	Status
D.16-09-055 G.17-05-001	Southwest Gas	\$ 200,000	192.1007 (c)	6/1/2017	Yes	SWG Appealed Citation, SED and SWG entered a settlement and has an executed Settlement Agreement with SWG to amend DIMP procedures. SED completed a corrective 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.
<b>Total Cited 2017</b>		<b>\$ 200,000</b>				

### INSPECTIONS

	2017	2018
<b>Conducted</b>	78	25
<b>Final Report Completed</b>	78	18

### INCIDENT INVESTIGATIONS

As of July 31, 2018, GSRB Staff received 131 incidents year to date.



The CY 2018 incidents<sup>1</sup> are categorized as follows:

- 88 – Level 1 incidents
- 38 – Level 2 Incidents
- 2 – Level 3 Incidents
- 3 – 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 July.

### NATURAL GAS RELATED PROCEEDINGS

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- **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

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<sup>1</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.

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.

- **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 July 2018, Electric Safety and Reliability Branch:

- Received 12 electric facilities incident reports and closed one previously reported electric facilities incident investigation;
- Investigated 28 customer safety and reliability complaints;
- Performed one Communication Infrastructure Provider (CIP) audit;
- Issued two Notice of Violation letters/reports.
- Monitored 10 forced and one planned outages reported by natural gas power plants and five forced outages reported by renewable power plants.

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

Electric Safety and Reliability Branch		Level 1	Level 2	Level 3	Level 4	Total <sup>2</sup>
<b>Total open incidents</b>	Electric Facilities	8	14	55	50	127
	Generation	1	0	2	2	5
<b>Total incidents reported in 2018</b>	Electric Facilities	9	9	17	26	61
	Generation	1	0	1	2	4
<b>Total incidents closed in 2018</b>	Electric Facilities	8	9	27	16	60
	Generation	0	0	0	2	2
<b>Total open 2018 incidents</b>	Electric Facilities	7	8	14	21	50
	Generation	1	0	1	0	2
<b>Incidents reported in July 2018</b>	Electric Facilities	5	1	2	4	12
	Generation	1	0	0	0	1
<b>Incidents closed in July 2018</b>	Electric Facilities	4	2	6	1	13
	Generation	0	0	0	0	0

<sup>2</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 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

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- **Investigation into Long Beach Incident (I.16-07-007) (President Picker/ALJ Cooke) (Advocacy):** Decision 17-09-024 adopted a Settlement Agreement between Southern California Edison and the SED on September 28, 2017. Under the settlement, SCE will pay a \$4 million penalty and spend \$11 million on various system enhancement projects intended to reduce the chance of public injury, reduce the risk of future system failures, and to improve the utility's operational awareness and network maintenance. ESRB is currently monitoring SCE's work to ensure compliance with the settlement agreement.
- **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); Competitive Local Exchange Carrier Wireless Facilities on Poles (R.17-03-009) (Commissioner Picker/ALJ Mason/ALJ Kenney) (Advocacy):** On June 29, 2017, the CPUC voted to consolidate R.17-03-009 with the new R.17-06-028 and I.17-06-027. On April 26, 2018, the Commission issued Decision (D.) 18-04-007 amending the Right-of-Way Rules (ROW Rules) 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. D.18-04-007 closed R.17-03-009. Pending.
- **Fire Safety Rulemaking (R.15-05-006) (President Picker/ALJ Kenney/ALJ Kao) (Advocacy):** In March, the Commission approved D.18-03-020, effectively closing this rulemaking proceeding, pending the filing of an accounting ledger that details map development expenditures. In May 2018, the Peer Development Panel (PDP) submitted a filing for the final tally of billings submitted by the Independent Review Team (IRT). This filing marked the final deliverable in R.15-05-006, and the proceeding is now officially closed. In July 2018, SED continued discussions and consultation with the California Department of Forestry and Fire Protection (CAL FIRE) in an effort to comply with Ordering Paragraphs (OPs) 10 and 11 of Decision (D.) 17-12-024. The two agencies continue to work on drafting report recommendations and to review data and information received from select electric utilities.

- **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. In the comings weeks, ESRB will meet with parties to schedule and conduct workshops as directed by the scoping memo. Pending.
- **Repealing/amendments to Rule 18 OF GO 95 (R.16-12-001) (President Picker/ALJ Kenney) (Advocacy):** In response to an SED petition for rulemaking, the Commission opened this proceeding to consider amendments to, and possible repeal of, Rule 18 of GO 95 would modify Rule 18 and ask the Commission to approve other related provisions. On June 1, 2018, the Commission issued D.18-05-042 approving a settlement agreement and adopting amendments to GO 95. ESRB has updated and posted GO 95 to reflect the changes adopted by the decision. This proceeding is closed.
- **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. 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.
- **SB 1028 (Hill) "Electrical corporations: wildfire mitigation plans":** In September 2016, the Governor signed SB 1028, which requires each electrical corporation and each publicly owned electrical utility or electrical cooperative to annually file a wildfire mitigation plan. ESRB established a Wildfire Mitigation Section (WMS) consisting of two Senior Utilities

Engineers (Specialists) and one Utilities Engineer to establish a new program dedicated to wildfire mitigation practices. In July 2018, SED continued working with CAL FIRE to develop protocols for consultation and review of WMPs. In addition, SED continued working on establishing Non-Disclosure Agreements (NDAs) with CAL FIRE, LA County Fire Department and Ventura County Fire Department to allow broader communication and information sharing for the purpose of conducting investigations. Furthermore, SED participated in a joint wildfires workshop with the California Energy Commission and a joint agency subcommittee meeting to update CAL FIRE's Power Line Fire Prevention Field Guide.

- **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 March 23, 2018, SED filed a Compliance Filing regarding SCE's appeal pursuant to Resolution ALJ-299. Pending.
- **De-Energization Resolution (ESRB-8):** ESRB has published Draft Resolution ESRB-8 for the July 12, 2018, Commission meeting. This Resolution extends de-energization reasonableness, public notification, mitigation and reporting requirements in D.12-04-024 to all electric investor-owned utilities (IOUs) and adds new requirements. It also places a requirement on utilities to make all feasible and appropriate attempts to notify customers of a de-energization event prior to performing de-energization. The Commission adopted Resolution ESRB-8 on July 12, 2018.

### REPORTS AND OTHER ACTIVITIES

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- **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

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### REVIEWING SAFETY & RISK IN GENERAL RATE CASES

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Evidentiary hearings into the San Diego Gas & Electric/Southern California Gas (aka Sempra Utilities) 2019 General Rate Cases commenced during July and will continue into August. While the utilities forwarded witnesses on risk assessment and corporate safety practices, there was little cross-examination from parties, except for Indicated Shippers. The gist of questioning related to the Safety & Enforcement Division evaluation of the RAMP filing for Sempra Utilities, which concluded that it remains premature to determine reasonableness of utility GRC spending requests based solely on the RAMP filings (see monthly report for March 2017).

A key to improving the utility of RAMP will be how utilities begin to incorporate refined risk assessment modeling, as provided for in the Joint Settlement currently under consideration in the Safety Model assessment Proceeding (S-MAP, A.15-05-002, et al.). The CPUC held a workshop on July 6 to review the proposed settlement, and RASA is currently drafting a workshop report. The parties are hopeful that a Commission decision approving the settlement can be issued in time for the Sempra Utilities to incorporate the new risk methodology in their 2019 RAMP filing.

In other GRC developments, Pacific Gas & Electric requested and received permission to defer its GRC application until January 1, 2019. The utility cited financial uncertainties regarding the implications of its potential liability for damages stemming from the October 2017 wildfires, and its prospective ability to access capital markets. A legislative committee is working in Sacramento to craft statutory language to deal with “inverse condemnation” liability and other wildfire-related matters.

Southern California Edison, meanwhile, is preparing its 2018 RAMP filing, expected by November 30, 2018. SCE and RASA staff will meet informally in September to review the utility’s RAMP activities.

### PROCEEDINGS

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- **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 August, the Commission is expected to issue additional scoping for a second phase of the OII to address potential remedies and compliance guidance.
- **Gas Leak Abatement OIR (R.15-01-008) (Commissioner Rechtschaffen/ALJ Kersten) (Advisory):** RASA staff continues to work with the gas companies to evaluate the Compliance Plans and R&D/pilot proposals that were filed in mid-March. Evaluation letters, with any recommended changes, are set to be issued in mid-August, 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. Utility responses to the annual leak survey were received June 15, covering leaks and other emissions during 2017 and initial implementation of new practices. RASA staff continues to work with the California Air resources Board to prepare an evaluation report 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. 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 has scheduled a workshop to deal with interim accountability issues on September 4. Additionally, RASA was directed to work with smaller jurisdictional utilities to develop by September 1 a proposal for how they should incorporate risk management into

their rate cases. SED continues to work on a final proposal for safety performance metrics that can be used to measure progress by the utilities.

- **Sempra Utilities 2019 General Rate Case (A.17-10-007/008 consolidated) (President Picker/ALJ Lirag):** See above for latest safety-related developments.
- **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 due 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 expected in early August, establishing a schedule for workshop(s).
- **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 – 07/31/2018

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
<b>Total 2018</b>	0	5	1	2	2	3

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
<b>YTD</b>	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
YTD	20

## OFFICE OF RAIL SAFETY

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### RAILROAD SAFETY – ROSB

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

Railroad Operations Safety Branch	Jul-18	YTD 2018
New Incidents Investigated	13	64
Informal Complaints Investigated	5	13
Safety Assessments/Reviews	9	108
Compliance Actions	903	6518
Major Inspections Completed	2	24
Operation Lifesaver Presentations	33	100

### ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

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**July 10, 2018:** CPUC and FRA, railroad track safety inspectors performed a routine track inspection of the BNSF rail yard in Richmond with BNSF track managers. The purpose of the inspection was to evaluate compliance with track safety standards and State General Orders. During the walking inspection of the facility the CPUC inspector identified multiple defects at the maintenance and fueling tracks. Multiple defects were noted on track 4 within the yard.

The defects identified conditions that did not meet the minimum requirements of the Code of Federal Regulations. The noted defects were §213.121 - Center cracked angle bar, §213.135 - Loose heel of switch, §213.103 - Fouled ballast failing to provide drainage, 213.133 - Loose frog bolts. §213.137- Severe frog condition. If the broken wing rail had gone on unnoticed it could have eventually caused failure resulting in derailment, and possible puncture of the fuel tank of a locomotive.

The BNSF took note of the defects. None of the defects required immediate repairs. The BNSF chose to make repairs within the 30 days required by the FRA or remove the track from service until repairs can be made.

**July 11, 2018:** CPUC railroad safety inspector conducted a special inspection due to a wildfire on the Central Oregon and Pacific (CORP) main line on the Siskiyou subdivision near the town of Hornbrook. CORP's Siskiyou subdivision operates freight traffic North and South between Weed CA and Eugene OR.

This inspection was prompted by a wildfire that started near the town of Hornbrook and quickly spread northeast crossing the CORP's Siskiyou subdivision causing damage to the railroad track and burning a bridge. The fire started on July 5<sup>th</sup> at 12:31 p.m. and grew toward the railroad tracks. On July 6<sup>th</sup> the CORP track inspector removed the track from service at 6:47 a.m. between milepost 374.5 and milepost 425. July 9<sup>th</sup> the fire had moved northeast and the CORP track inspector was able to perform a track inspection and found multiple ties burned as well as a bridge that was destroyed. CORP railroad brought in a contractor to replace ties and the bridge.

Upon my inspection of the tracks on July 11<sup>th</sup> I found the CORP railroad and its track inspector did a satisfactory job by installing 160 ties and completely replacing the 18ft bridge.

**July 25, 2018:** One CPUC Investigator specializing in Hazardous materials and one CPUC Investigator specializing in Operating Practices conducted an inspection in and around the Union Pacific Railroad (UPRR) J.R Davis Yard in Roseville, CA. Unattended locomotives and placarded tanks cars were inspected for compliance with the Code of Federal Regulations (CFR) and Railroad Operating Rules.

The Investigators observed several CFR defective conditions that posed safety risks to operating employees. The defects could be categorized into two groups: Locomotive Passageway Issues and Warning Identification on Placarded Tanks Cars.

The Investigators observed defective conditions on three locomotives and 3 tank cars including:

- 49 CFR 229.119(c) that states: “(c) Floors of cabs, passageways, and compartments shall be kept free from oil, water, waste or any obstruction that creates a slipping, tripping or fire hazard. Floors shall be properly treated to provide secure footing.
- 49 CFR 229.119(e) that states “(e) Similar locomotives with open-end platforms coupled in multiple control and used in road service, shall have a means of safe passage between them; no passageway is required through the nose of car body locomotives. There shall be a continuous barrier across the full width of the end of a locomotive or a continuous barrier between locomotives.”
- 49 CFR 173.31 (d) (1) (iv): that 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: ... All closures on tank cars and determine that the closures and all fastenings securing them are properly tightened in place using a bar, wrench, or other suitable tool;”
- 49 CFR 172.330 (a) (1) (ii): that states “Tank cars and multi-unit tank car tanks. (a) Shipping name and identification number. No person may offer for transportation or transport a hazardous material— (1) In a tank car unless the following conditions are met: (i) The tank car must be marked on each side and each end as required by § 172.302 with the identification number specified for the material in the § 172.101 table;”

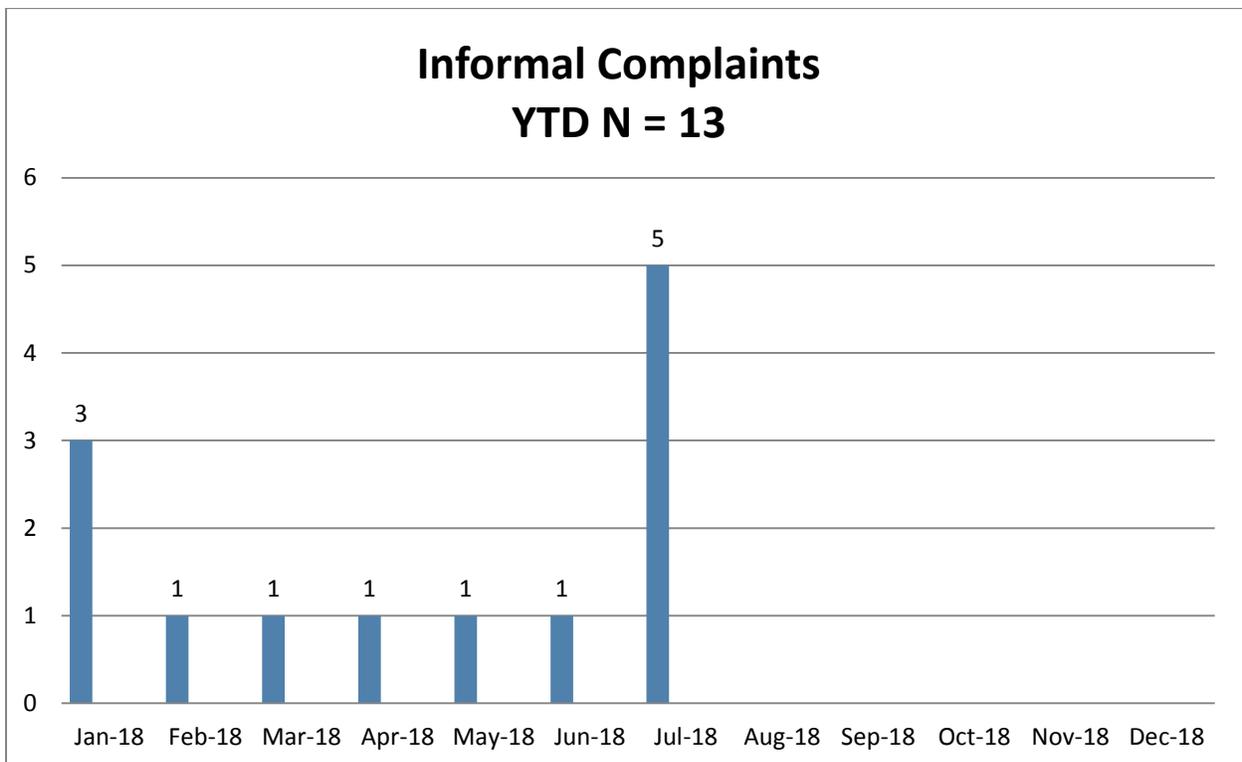
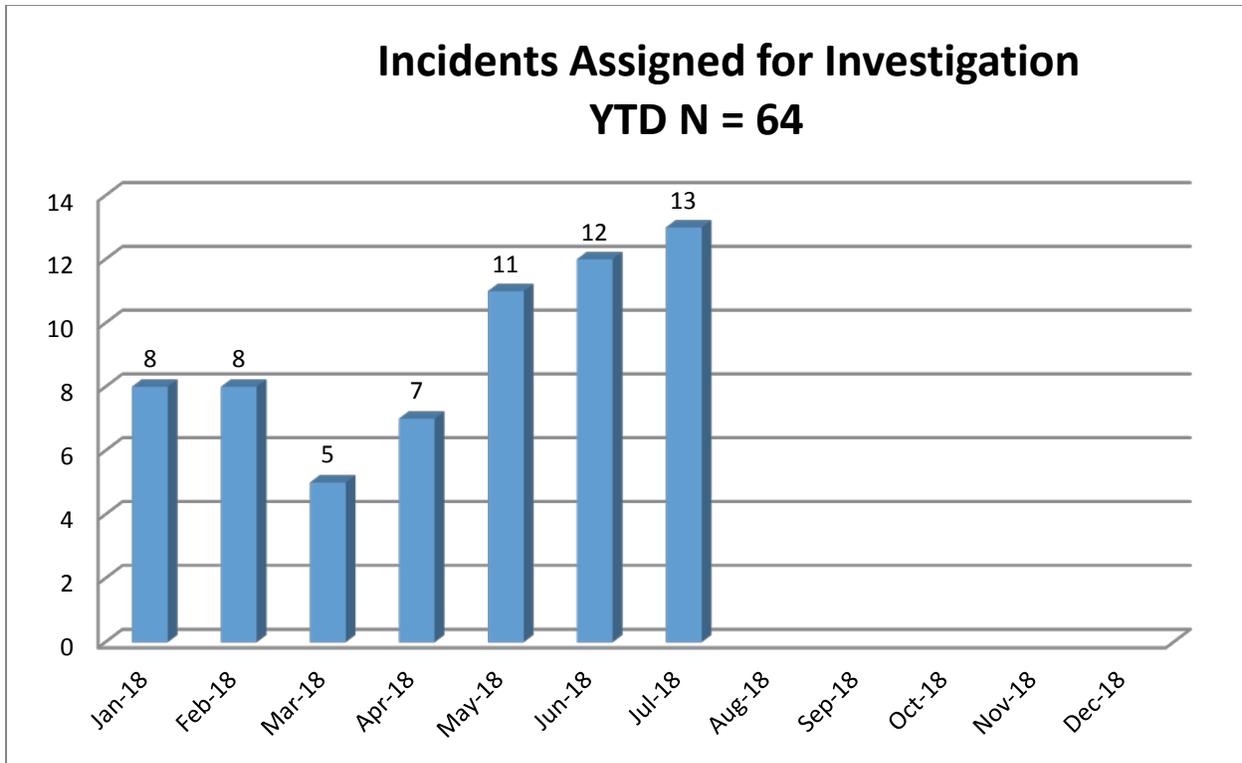
The Investigators reported the defective conditions to Union Pacific Railroad J.R. Davis Yard Terminal Director for remediation. Two shippers were subsequently notified by the Hazardous Material Investigator of the defective conditions, and that they were responsible for certifying the rail cars as safe for movement, prior to releasing them for transportation. Shippers are

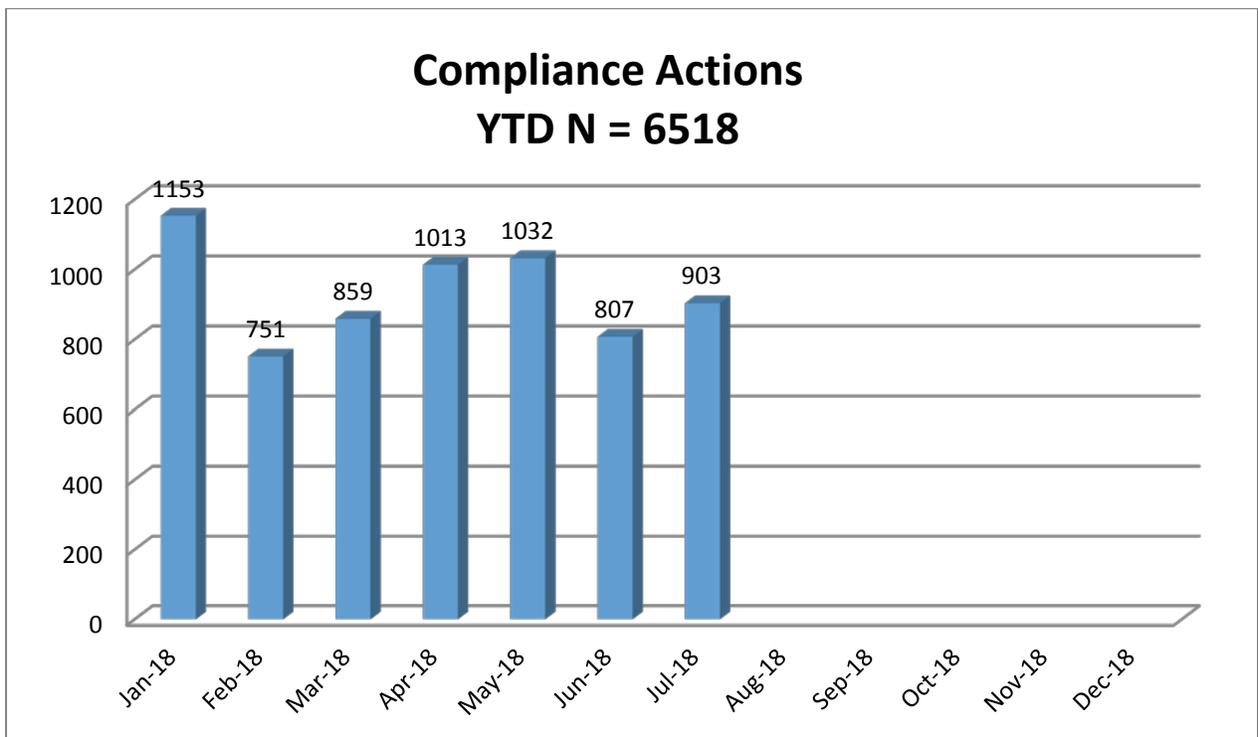
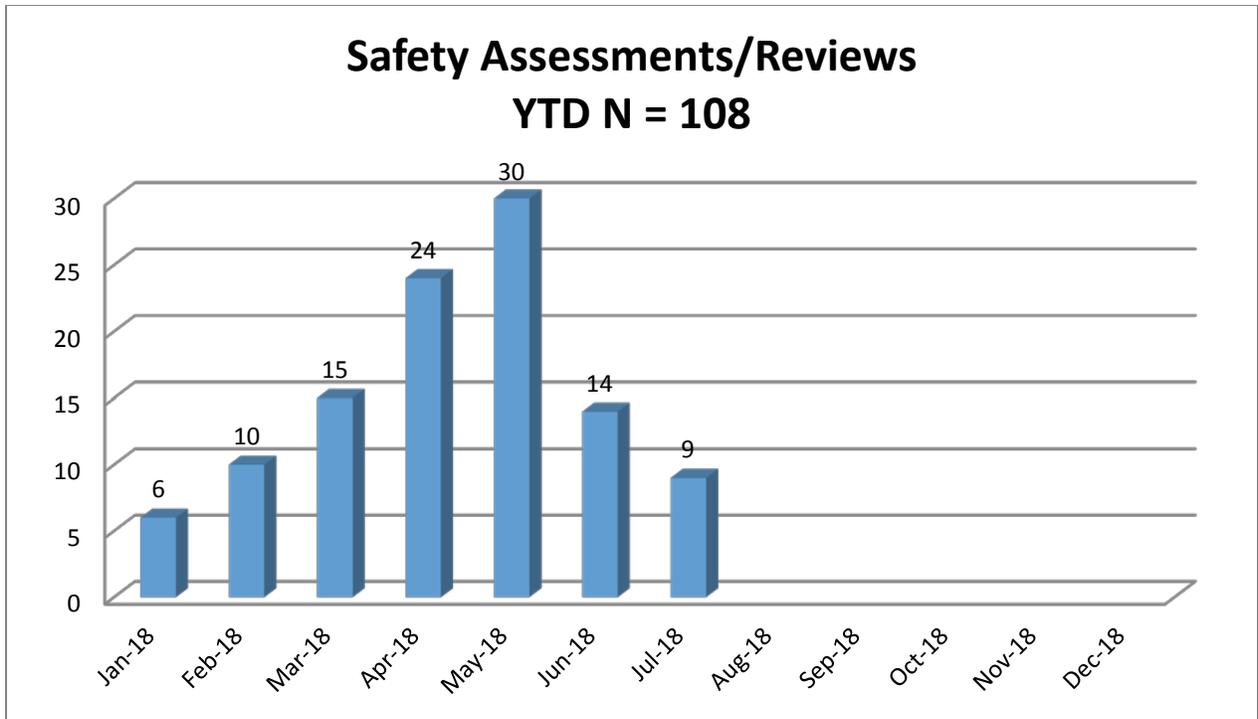
ultimately responsible for making arrangements to correct the defective conditions and bring the cars back into regulatory compliance. Railroads can place a hold on the rail cars to prevent movement, until the cars are brought back into compliance and safe for transportation.

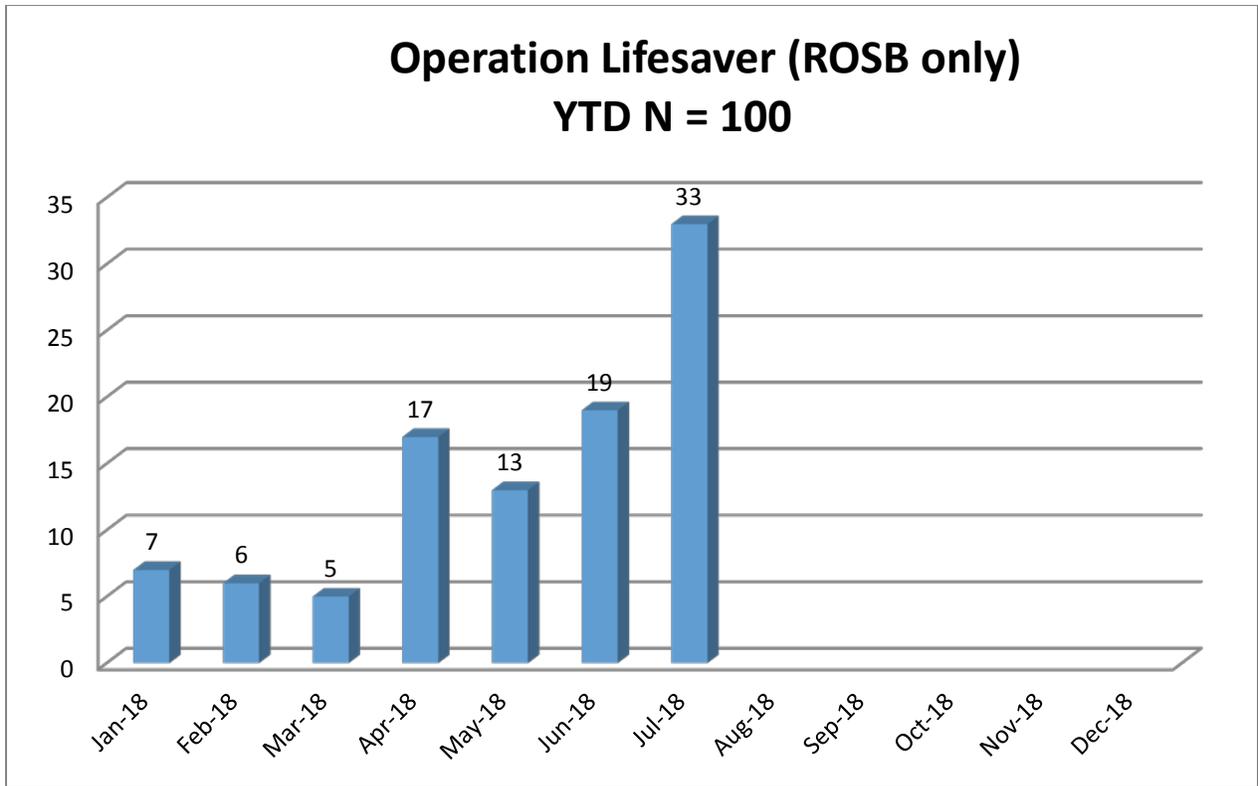
**July 31, 2018:** A CPUC Railroad Safety Investigator specializing in Operating Practices investigated a complaint received from the Governor's office, that a tree located on the Union Pacific Railroad (UPRR) property had a limb broken and that the limb was partially blocking the Perry Ranch Road, separated grade crossing in Auburn, CA. Perry Ranch Road is a privately maintained road that goes under the UPRR. The road is the only access for several homes and businesses, and vehicular traffic traverse the underpass numerous times each day.

The Investigator made an on-site inspection, and determined that the broken tree branch was blocking part of the road and obscuring a "one lane subway" sign, on the north side of the subway. It was determined the branch needed to be removed. A Senior CPUC Railroad Safety Investigator the contacted the UPRR Manager of Track Maintenance (MTM) and impressed upon him the importance of remediating the public safety issue.

On August 1, 2018 the UPRR dispatched a private contractor that removed the broken branch, and remediated the public safety issue. Had the broken branch remained, the roadway signage was obstructed, and a vehicle driver may have been unaware of the narrow passage, creating a potential safety risk or accident. If the branch had fallen it may have come into contact with, and seriously injured a roadway user.







OFFICE OF RAIL SAFETY

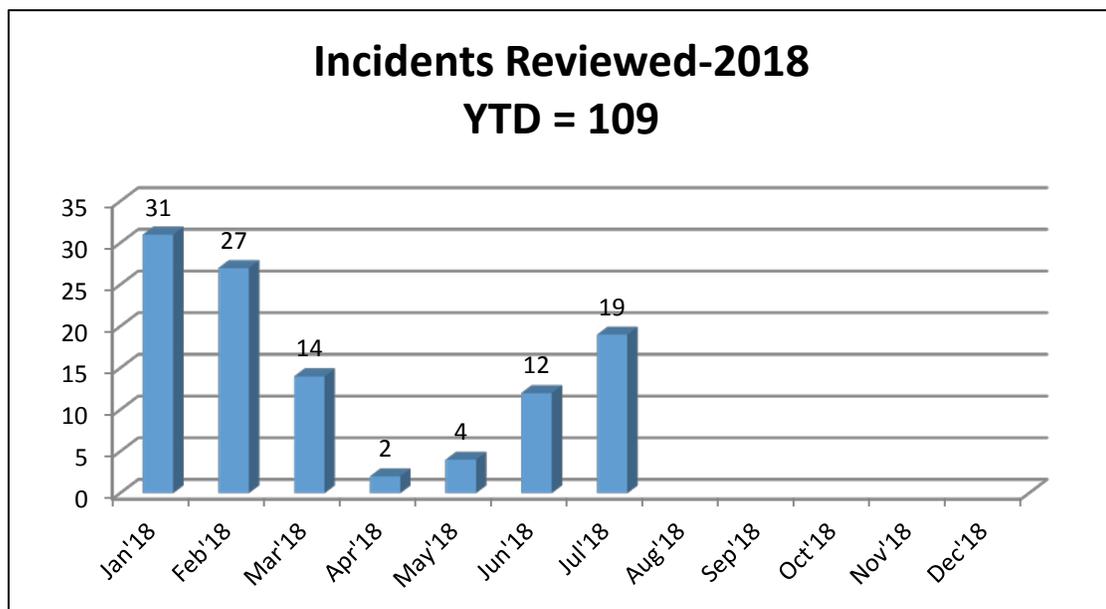
RAIL CROSSINGS AND ENGINEERING BRANCH - RCEB

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

	New	New YTD	Closed	Closed YTD
<b>Crossing Incident Reviews</b>	21	127	19	109
<b>Safety Assessments/Quiet Zones/Reviews</b>	50	226	50	226
<b>Proceedings, Resolutions and G.O. 88-B Reviews</b>	7	54	11	61
<b>Operation LifeSaver Presentations</b>	1	34	1	34

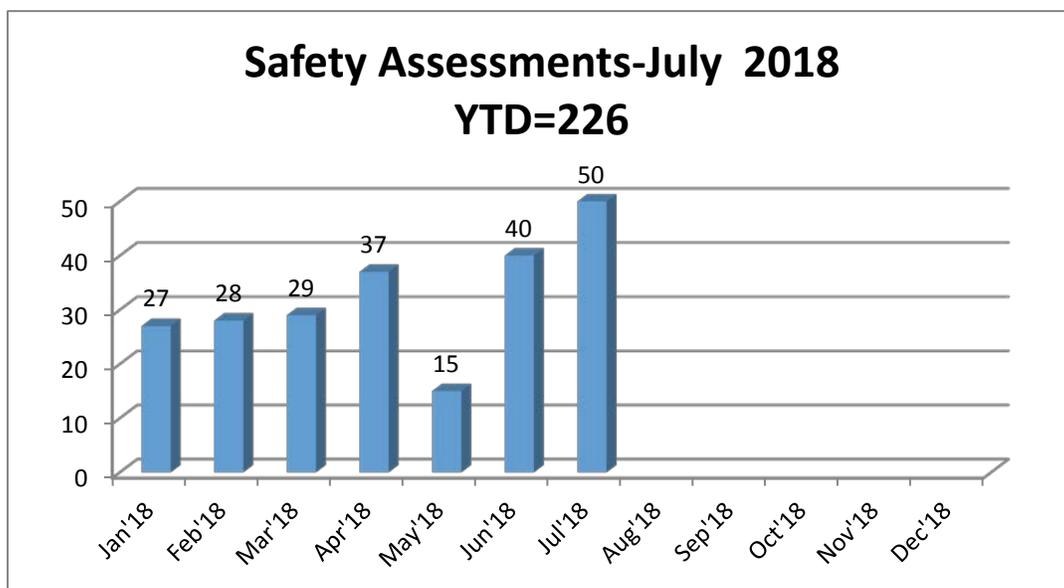
RAIL CROSSING INCIDENT INVESTIGATIONS

In July 2018, the Rail Crossings and Engineering Branch (RCEB) assigned 19 new incidents at highway-rail crossings and two incidents at highway-LRT crossings. These 21 collisions resulted in five fatalities and eight injuries. RCEB completed 18 crossing incident reviews at highway-rail crossings and one incident report at a highway-LRT crossing. These collisions resulted in five fatalities and seven injuries. RCEB will continue to monitor the crossings.



### SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

In July 2018, RCEB completed 50 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. Staff also participated in an automated vehicle conference and safety designs that may be related highway-rail crossings.



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

In July 2018, RCEB staff received two new major proceedings requiring Administrative Law Judge (ALJ) review, assigned two new Resolutions, and, three new General Order 88-B applications for changes to existing crossings. This month, RCEB closed six formal proceedings with the ALJ, and reviewed five General Order 88-B applications.

- PROC A1703005 - On July 26, 2018, CPUC D.1808028 authorized the Burlington Northern Santa Fe Railway Company (BNSF) to add a third track across the Rosecrans and Marquardt

Avenue crossings in the City of Santa Fe Springs, Los Angeles County. BNSF and SED staff reached a settlement agreement which the CPUC approved with the decision. The settlement requires BNSF to install traffic, pedestrian and bicycles warning devices, handrail/fencing, detectible warning strips, pedestrian gates with front and back flashers, and emergency egress swing gates. This is an interim step pending the funding and construction of a grade separation project at this intersection.

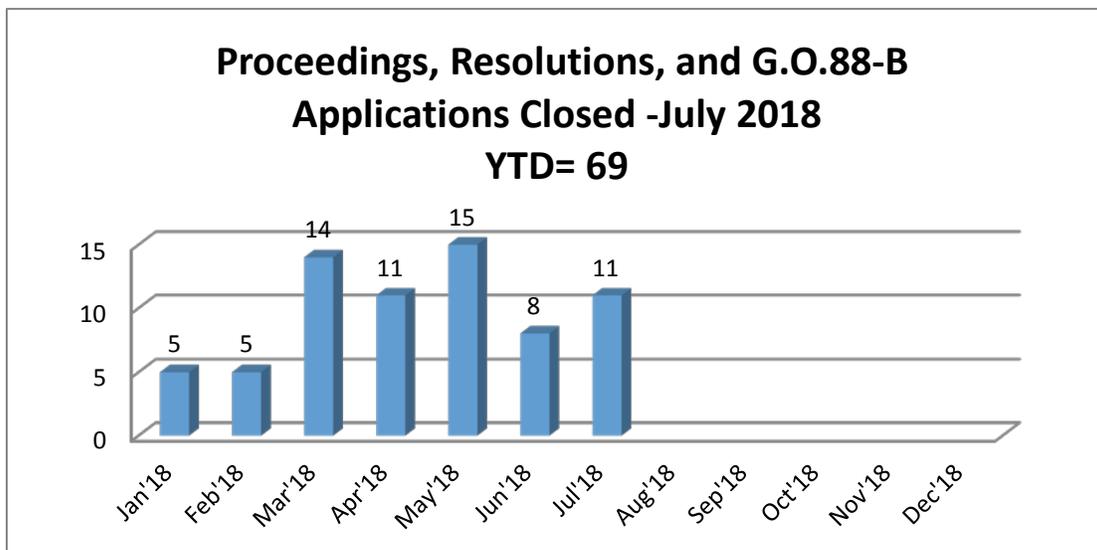
- PROC A1610010 – On July 26, 2018, CPUC D.1806016 dismissed the City of Rancho Cordova’s application to construct new temporary crossing improvements over the Mather Field Spur at three Union Pacific Railroad (UPRR) track locations. The City of Rancho Cordova failure to prosecute resulted in the dismissal of the application.
- PROC A1701025 – On July 12, 2018, CPUC D.1807017 authorized the Sonoma-Marín Area Rail Transit District (SMART) to construct an at-grade pedestrian crossing at the Santa Rosa Downtown Station at 4th Street, to provide safe pedestrian access to the station platform.
- PROC A1703003 – On July 12, 2018, CPUC D.1807014 authorized the application of the City of San Rafael to construct a new at grade public crossing over SMART tracks at mile post 16.40 in the City of San Rafael. The proposed grade crossing project will allow realignment of pedestrian and bicycle facilities, and control the vehicular, pedestrian and bicycle movements in a manner that is safe and continues to serve the community by maintaining the Anderson Drive operation.
- PROC A1708024 – On July 12, 2018, CPUC authorized the Metro Gold Line Foothill Extension Construction Authority to construct two light rail tracks at 7 grade-separated crossings at (1) Route 66 (formerly Alostá Avenue), (2) I-210 on-ramp (3) I-210, (4) Lone Hill I-210 off-ramp, (5) I-57 Freeway (formerly I-210 OH), (6) Marshall Canyon Trail, and (7) Monte Vista Avenue in the Cities of Glendora, San Dimas, La Verne in Los Angeles County, and City of Montclair in San Bernardino County, California.
- PROC A1801016 – On July 12, 2018, CPUC D.1807012 authorized the California High Speed Rail Authority to construct a new grade separated railroad crossing at Kimberlina Road in Kern County. Kimberlina Road will be temporarily closed to vehicular traffic during construction of the proposed railroad crossing. Wasco Road, a nearby road, will be

permanently closed between Jackson Avenue and Kimberlina Road upon the construction of the grade-separated railroad crossing. The authorization expires in 36 months.

- GO 88B - XREQ 2018060004 – Los Angeles County – On July 16, 2018, staff authorized the Port of Long Beach request to re-activate rail service for the out-of-service spur line across Pier B Street and the following crossing modifications: 1.) Install 2x Commission Standard 9 on the approaches; 2.) Install concrete panels; 3.) Realign existing spur track and improve crossing profile; 4.) Apply CA MUTCD compliant signage and pavement markings. Staff granted the request and the authorization expires on July 16, 2021.
- GO 88B - XREQ 2018060002 –Madera County – On July 11, 2018, staff authorized the California High Speed Rail Authority (CHSRA) to alter the Avenue 15 crossing in the unincorporated area of Madera County. CHSRA proposes to eliminate the crossing and replace it with a grade-separated (overhead) crossing over BNSF’s two existing tracks, a mainline and a siding, and CHSRA’s two proposed tracks. The authorization expires on July 11, 2024.
- GO 88B - XREQ 2018060003 – Madera County – On July 11, 2018, staff authorized the CHSRA to alter the Road 27 crossing in the unincorporated area of Madera County. CHSRA proposes to eliminate the crossing and replace it with a grade-separated (overhead) crossing over BNSF’s two existing tracks, and CHSRA’s two proposed tracks. The authorization expires on July 11, 2024.
- GO 88B - XREQ 2018060006 – Placer County – On July 31, 2018 staff authorized the City of Lincoln’s request to alter the Ferrari Ranch Road in the City of Lincoln, Placer County. The alterations include pedestrian improvements, additional active warning devices and ADA compliant improvements. Staff found that the proposed improvements comply with Commission General Orders and granted the request. The authorization expires on July 31, 2021.
- GO 88B - XREQ 2018060005 – San Francisco County – On July 02, 2018 staff authorized the San Francisco Public Utilities Commission’s request to alter the Evans Avenue crossing in the City and County of San Francisco. The alterations include roadway improvements near the crossing, pedestrian improvements, and adjusting the existing active warning devices. Staff

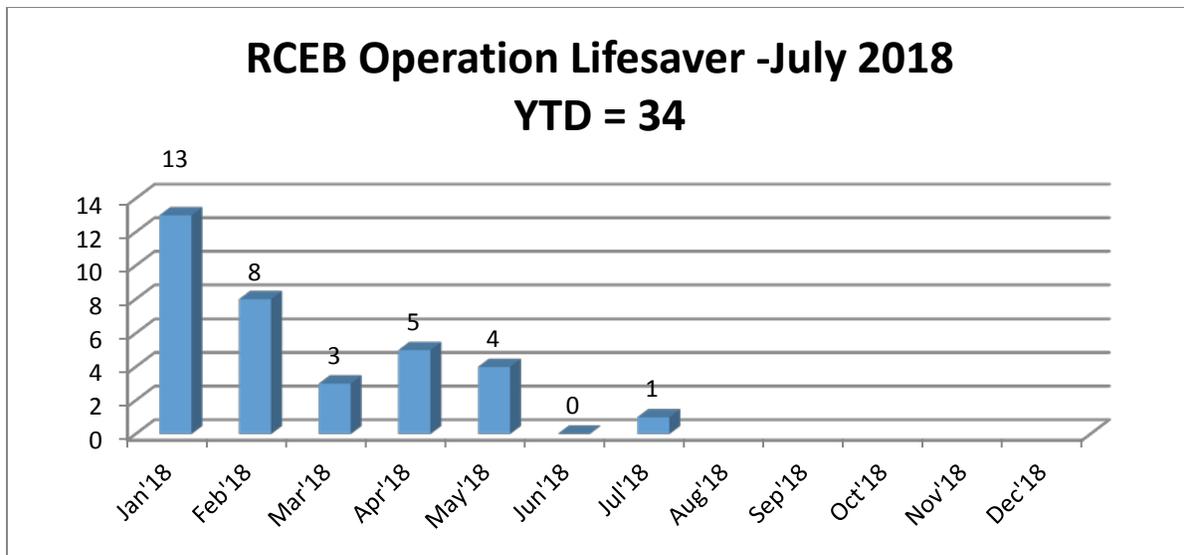
found that the proposed improvements comply with Commission General Orders and granted the request. The authorization expires on July 02, 2021.

- GO 88B - XREQ 2018060007 – Contra Costa County – On July 17, 2018 staff authorized the City of Martinez’s request to alter the Ferry Street crossing in the City of Martinez, in Contra Costa County. The alterations include a sidewalk, pedestrian improvements, ADA compliant improvements and installation of additional active warning devices. Staff found that the proposed improvements comply with Commission General Orders and granted the request. The authorization expires on July 17, 2021.



**OPERATION LIFESAVER INC.**

In July 2018, an RCEB Operation Lifesaver Inc. (OLI) volunteer presented the Oli rail safety message to a group of the Western Region Coach USA Professional Drivers via a webinar. Fourteen drivers and managers received the See Tracks Think Train rail safety message. Coach USA Western Region Director of Safety is in Anaheim, CA. As time permits, staff participates in presentations, fairs, and community events to share the OLI rail safety message to the general public and professional drivers.



## RAIL TRANSIT - RTSB

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

### CORRECTIVE ACTIONS PLANS

- 41 (forty-one) Corrective Action Plans (CAP's) were opened.
- 26 (twenty-six) CAP's were closed.

### INCIDENT INVESTIGATIONS

- 22 (twenty-two) incidents were reported by Rail Transit Agencies (RTA).<sup>3</sup>
- 25 (twenty-five) incident investigations were closed.

### MAJOR AUDITS

<sup>3</sup> 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.

## California Public Utilities Commission | Safety and Enforcement Division

- Staff have been preparing for two Triennial Reviews planned for the summer months in San Diego County. The first review of San Diego Trolley, Inc. (SDTI) took place between May 14-31, 2018 with the RTSB Inspection Team performing field inspections, operations observations, and records reviews of SDTI's light rail vehicles (trains), wayside equipment (track, switches, overhead catenary system, grade crossings) for compliance with SDTI's Standard Operating Procedures. On June 4-8, RTSB Engineers reviewed SDTI's compliance with its own System Safety Program Plan, System Security Plan, Drug and Alcohol Program, and other relevant requirements. The second Triennial Review is slated for August and will cover North [San Diego] County Transit District (NCTD).
- 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 the Commission's upcoming voting meeting agenda.

### ADMINISTRATIVE ACCOMPLISHMENTS

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- **General Order 164-E and 172:** On July 10 and 11 RTSB held a 2-day workshop in Sacramento with Rail Transit Agencies to discuss implementation of changes brought about by GO 164-E and other related issues. Twenty-nine people participated representing all of the seven large agencies. The group also discussed RTSB's proposed changes to GO 172.
- **FTA Grant Application:** On July 25, Ellen Moratti (CPUC's Director of Admin Services) executed the CPUC's fourth Federal Transit Administration (FTA) grant application... Each year FTA publishes apportionments to the states pursuant to 49 U.S.C. 53, Section 5329(e) for State Safety Oversight Agency (SSOA) Formula Grant Fund Program, and then states apply for grants based on those apportionment levels. This fiscal year California's apportionment is \$3,072,489.
- **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 Management Standard (Procedures Manual) in compliance with the new 49 CFR Part 674, and provide 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 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:**  
Madeline Ocampo completed the Safety Management System (SMS) Safety Assurance training.

### PROCEEDINGS / RESOLUTIONS

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#### 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. On December 18, 2017, the Commission issued a ruling extending the statutory deadline for this proceeding until June 23, 2018, to consider pending appeals filed by both BART and the Safety and Enforcement Division. On June 25, the Commission issued another decision extending the statutory deadline to September 24, 2018.

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

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- **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 on design conformance checklist for phase 1. Testing for phase 1 is scheduled in August 2018.
- **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. 30 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.

- **East Contra Costa BART Extension:** This project, also known as eBART, added 10 miles of track as an extension of rail service eastward from the Pittsburg Bay Point station to Antioch. This project was safety certified by RTSB, whose staff regularly attended safety certification meetings and observed testing. To date, the 10-mile link from Pittsburg to Antioch is averaging 3,800 weekday riders, well above the 2,800 riders BART initially estimated. Staff will attend the first BART Internal Safety Audit of this new system on August 27 at the eBART Maintenance Facility in Antioch.
- **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 an 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 July 19, 2018, CSP submitted the verification documentation for some additional construction certification items to the Safety and Security Certification Review Committee (SSCRC) for review and approval. Staff has asked several follow-up questions. The following are highlights of the construction updates:
  - Chinatown Station - Formwork and rebar for the platform level is going in and waterproofing, rebar, and concrete forms are being installed inside the track crossover and platform caverns.

- Union Square/Market St Station - Steel framing for escalators and stairs is being installed at the south headwall, in addition to many interior walls and structures.
- Yerba Buena/Moscone Station - The final headhouse roof slab elements are being constructed following the completion of the major structural elements.
- Surface, Trackwork, and Systems - 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 4<sup>th</sup> 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 provides a conditional electronic 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 just 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 (Foothill Authority) have submitted the project's SCP. It was approved by Resolution ST-194, "Granting Approval of the Los Angeles County Metropolitan Transportation Authority and Metro Gold Line Foothill Extension Construction Authority Foothill Extension Phase 2B Safety Certification Plan", 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. Foothill Authority held the project's Groundbreaking Ceremony on December 2, 2017 at Citrus College in Glendora.
- **LACMTA Gold Line-Chinatown Station Pilot:** LACMTA has requested a variance from GO 143-B's Section 9.07 for the Gold Line's Chinatown Station. This variance allows the installation of a pilot project. The project is called the Platform Track Intrusion Detection System (PTIDS). It is a radar-based system designed to detect intrusions of individuals and/or objects falling from the platform onto the right-of-way. The pilot project started on September 2017 and will continue through December 2019. LACMTA will need to submit another variance request if it decides to implement this project on a permanent basis.
- **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. Staff is reviewing a request from LA Streetcar regarding vehicle crashworthiness/strength requirements for their vehicles.
- **LAWA Automatic People Mover Project:** Los Angeles World Airports (LAWA) is developing a multi-billion-dollar upgrade to the ground transportation system at Los Angeles International Airport (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. Draft Resolution ST-212 is under review by RTSB Management.
- **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. 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 7/10/18, 7/26/18, and 8/3/18, SFMTA submitted their Notices of Intent to Operate a total of (5) LRV4 Cars in two-car consists on or after 7/31/18, 8/16/18, and 8/24/18, respectively, along with the Certificates of Conformance for Specification Conformance and supporting Audit Checklists for these cars to staff. The next car SFMTA will certify for two-car operation is Car 2034.
- **San Diego Trolley, Inc. (SDTI) Mid-Coast Corridor Project:** The San Diego Metropolitan Transit System Mid-Coast Corridor Project is a 10.9-mile double-track light-rail transit line, which begins at the Old Town Transit Center in San Diego. The project provides future SDTI revenue service to the Linda Vista, Clairemont, University 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. Staff performed an on-site review on June 19, 2018 of the Siemens Factory at Rancho Cordova to inspect the status of the SD-

## California Public Utilities Commission | Safety and Enforcement Division

9 vehicles assembly. Staff was shown Car Nos. 5001 and 5002. Car 5001 is tentatively scheduled for shipment to San Diego in late August 2018.

### STATISTICS SUMMARY

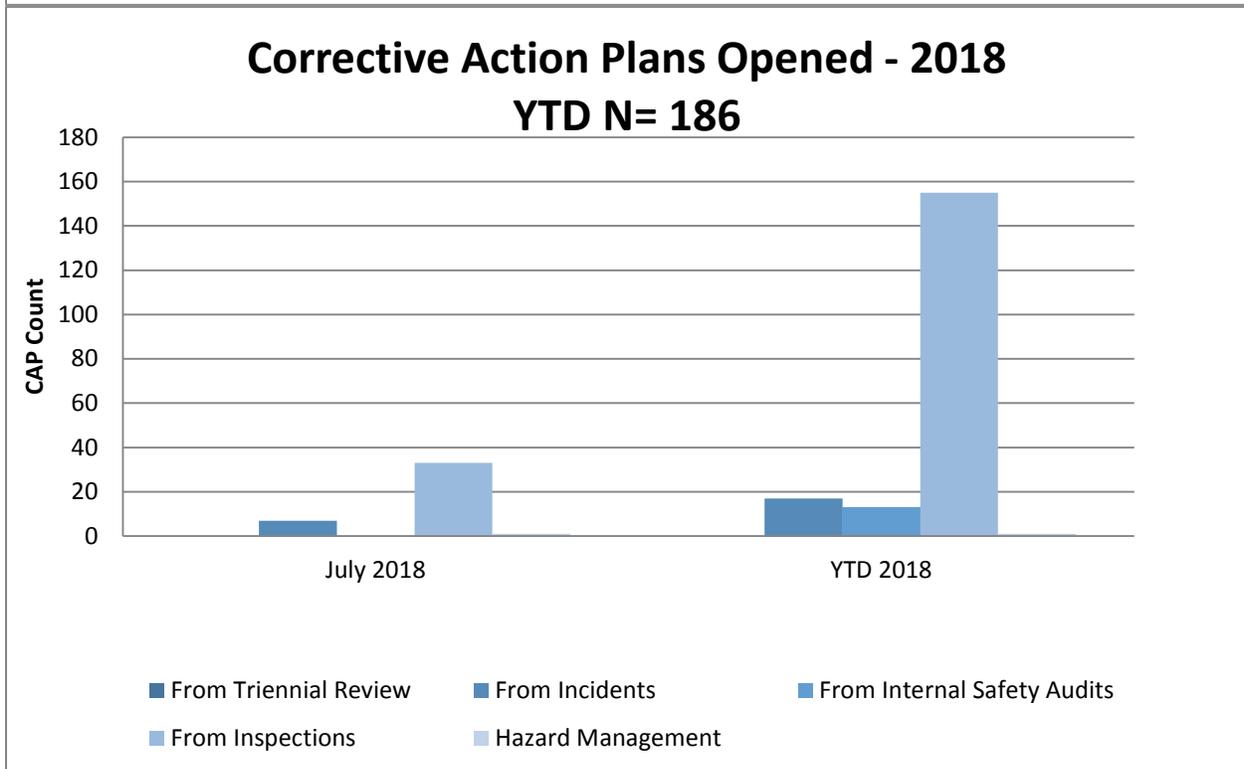
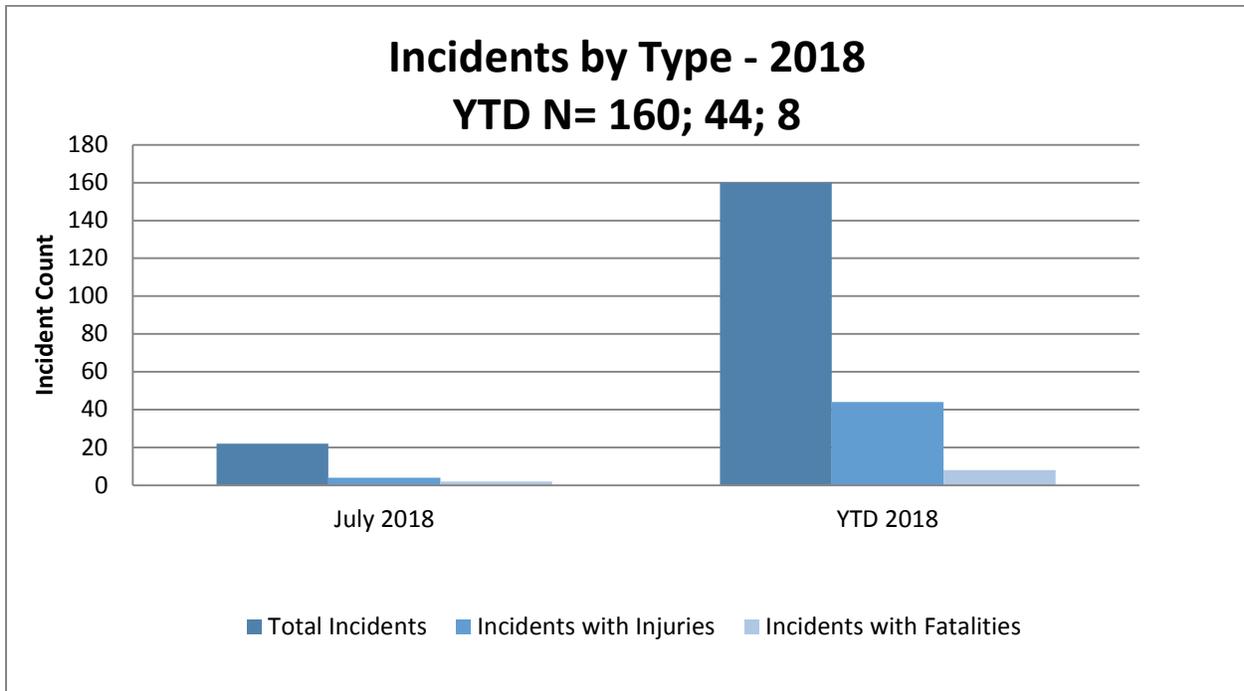
Investigations for Month		YTD 2018
Incidents Reported	22	160
Incident Investigations Closed	25	275
Complaints Investigated	1	2
Rail Transit Inspections	11	153
Triennial Review	0	2

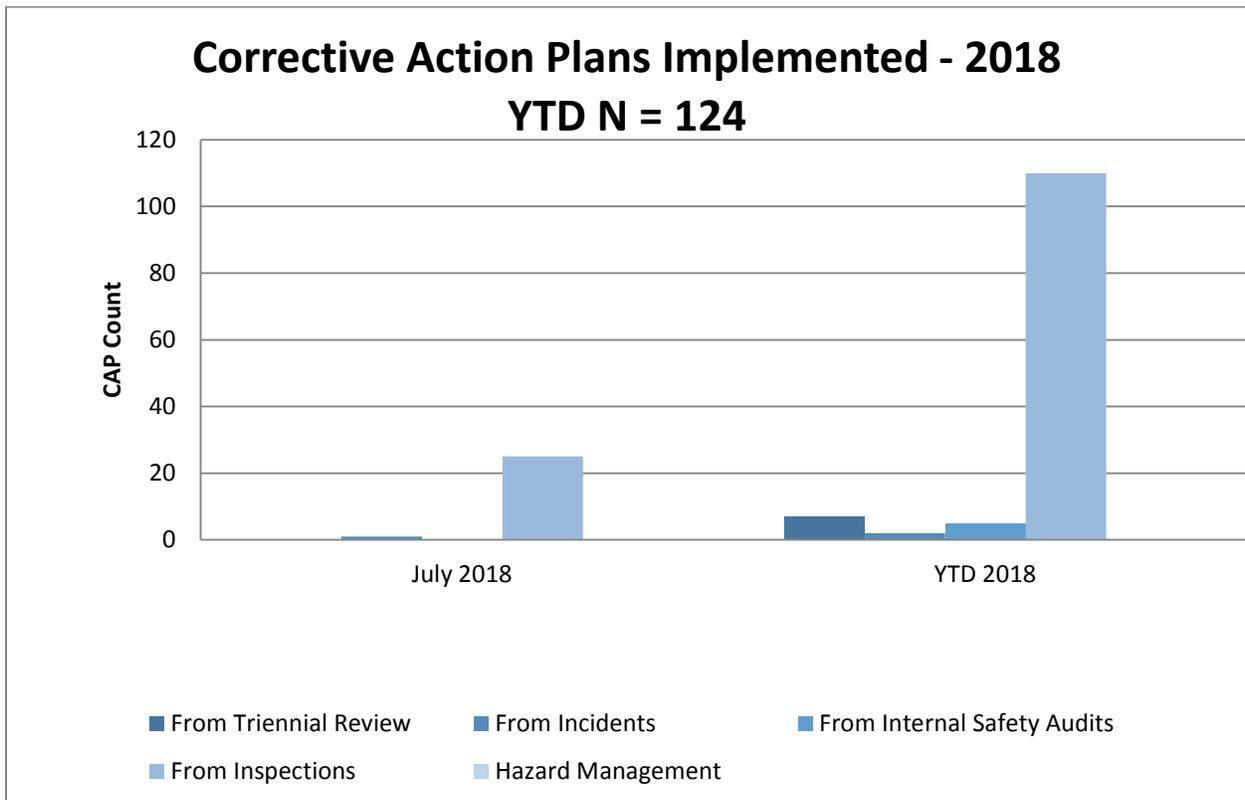
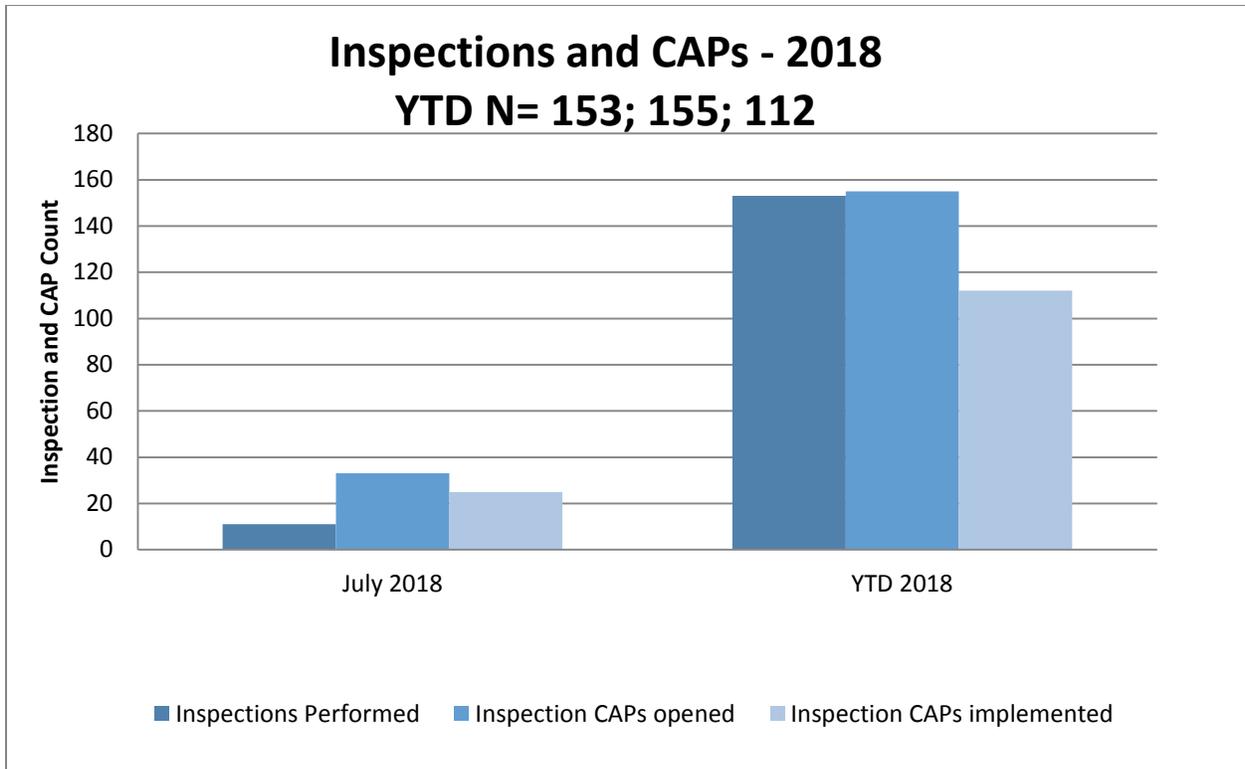
Corrective Action Plans		YTD 2018
New Corrective Action Plans	41	186
From Triennial Review	0	0
From Incidents	7	17
From Internal Safety/Security Audits	0	13
From Rail Transit Inspections	33	155
From Hazard Management	1	1
Closed Corrective Action Plans	26	124
From Triennial Review	0	7
From Incidents	1	2
From Internal Safety/Security	0	5

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<b>Audits</b>		
<b>From Rail Transit Inspections</b>	25	110
<b>From Hazard Management</b>	0	0

ONGOING DATA / TRENDS





## CORT MONTHLY REPORT

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In California during the month of July:

- The railroads moved 6 trains with 600 crude oil cars via unit train
- Via manifest train the railroads moved 140 crude oil cars

During the month of July eight (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 August, seven (7) crude oil trains are expected, and all seven are heavy crude, none of which are Bakken crude.

The SJVR also spots unit trains for **Kern Oil** which is a refinery operating in Bakersfield. Their June train arrived at the end of June, which served as their only train for the month of July as well.

Kern is expecting one train in mid-August, between August 10 and August 16.

**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 July they processed 140 crude oil cars. This facility is currently changing managers and the team traveled there on July 25, 2018 for a familiarization trip. During the management change our temporary contacts are Vanessa Ruiz and Greg Lee of Crimson Renewable Energy the joint tenant at the site.

### **IN OTHER NEWS**

- The CORT team is still awaiting a date from the FRA regarding a training session with their GIS specialist; CORT will reach out to Willy Chow for deeper training on GIS mapping in the month of August. This system is a useful tool in our agencies effort to

map crude oil routes running through the state and their potential impact on the public sector were an incident to occur. Our team is currently mapping the number of crossings, schools, hospitals, freeways, and other public venues that may be put at risk throughout Kern County.

- Our team has confirmed that the Santa Maria Railroad has moved a single crude oil car from the Union Pacific Guadalupe interchange to their team track for a third party trans-load. This test was to see the amount of time it took from origin to arrival and is being done on behalf of Phillips 66. The total number of cars the team track can hold is four (4) at a time and is being developed as a back-up plan for the refinery.
- CORT team met at Delta Trading to discuss the use of the Saco siding as a potential trans-loading site. Their EHS (Environmental Hazards Specialist) manager conducted a feasibility study and found that the current infrastructure does not appear to be cost effective for purposes of trans-loading: it appears unlikely at this time that the siding will be utilized for this purpose.

At Delta Trading, Track and HazMat inspectors performed a facility inspection. The inspection resulted in .96 reports from both Track and HazMat being submitted, one G.O. report which will contain defects for 26-D and 118-A, and an RMSR for an unsafe condition created by a boiling pot of hot water generated by the steam condensation system used to liquefy the asphalt cars for off-loading.



*Saco siding*

For the month of July:

- Total of eight (8) crude oil unit trains entered California with none of them containing Bakken crude
- Total of 140 individual tank cars of crude oil were received, none of them containing Bakken crude
- One additional crude oil unit train was processed in July that was received in June—this train did not contain Bakken crude.