

# Safety and Enforcement Division



## Monthly Performance Report

June 2018

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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.

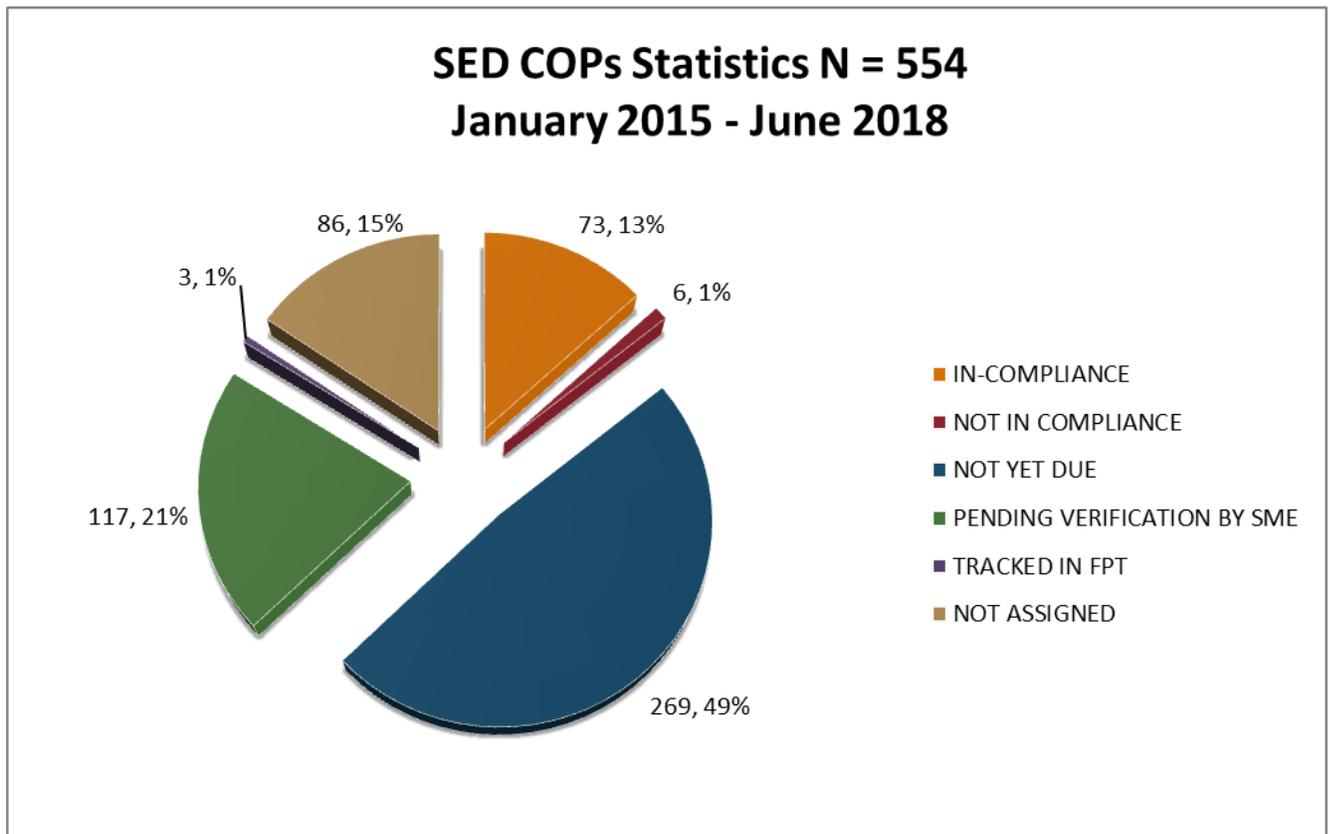
This Report has not been approved or disapproved by the CPUC.

## COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through June 30, 2018, SED shows 554 total entries in the COPS system; with 73 reaching compliance (14%), 269 (49%) not yet due for compliance, and 6 (1%) currently remaining out of compliance. The remaining 206 (37%) are either pending verification or yet to be assigned.

During June 2018, there were 38 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

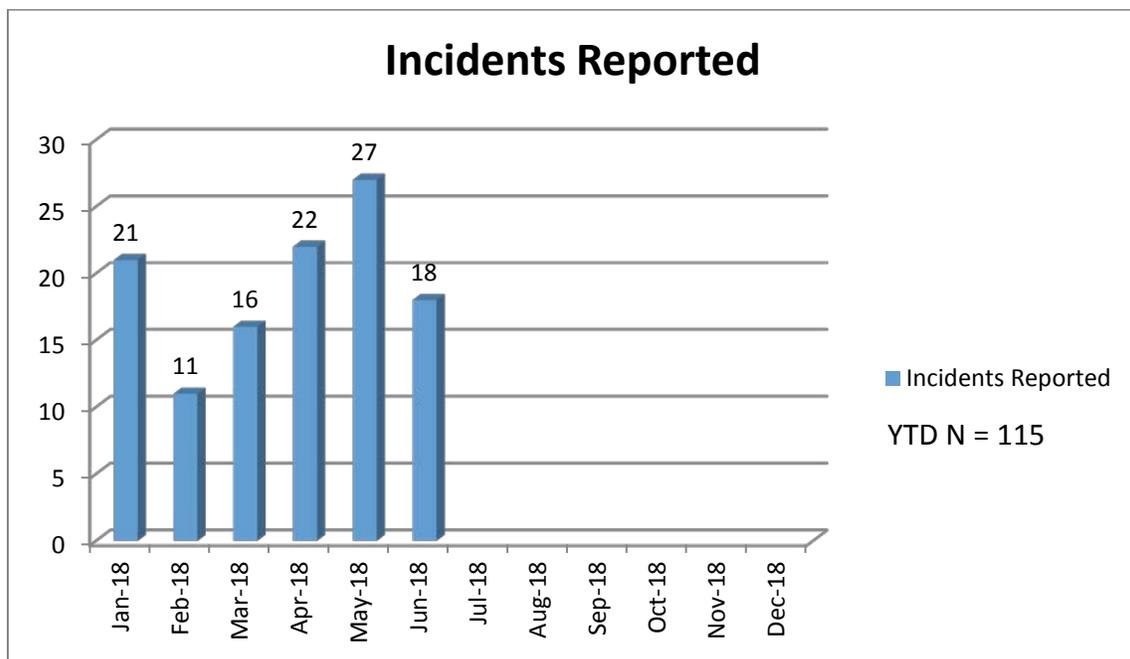
Citation Number	Utility	Amount	Violations	Date Cited	Appealed	Status
D.16-09-055 G.17-05-001	Southwest Gas	\$ 200,000	192.1007 (c)	6/1/2017	Yes	SWG Appealed Citation, SED and SWG entered a settlement and has an executed Settlement Agreement with SWG to amend DIMP procedures. SED completed a corrective 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	22
<b>Final Report Completed</b>	78	10

### INCIDENT INVESTIGATIONS

As of June 30, 2018, GSRB Staff received 115 incidents year to date.



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

- 80 – Level 1 incidents
- 31 – Level 2 Incidents
- 1 – 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 was one self-identified violation reported in June.

### 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

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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.

gas and/or electric Mobile Home Park spaces within its operating territory to direct utility 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 is scheduled for 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.

- **Pipeline L-1600 Replacement (A.15-09-013) (Commissioner Randolph/ALJ Kersten) (Advisory):** The Pipeline Safety & Reliability Project involves replacing existing Line 1600 with a new and larger gas transmission pipeline (Line 3602). The goal is to address the pipeline safety requirements for the existing Line 1600 and expand the capacity of the SDG&E's gas transmission system. In April of 2018, SED provided several responses to ALJ's questions/queries in regards to the safety of Line 1600. On June 21, 2018, commission issued the Decision (18-06-028) **denying** SDG&E and SoCalGas' application for the following:
  - Certificate of Public Convenience and Necessity for the Proposed "Pipeline Safety and Reliability Project" (also known as Line 3602 Pipeline);

## California Public Utilities Commission | Safety and Enforcement Division

- Reclassification of Gas Pipeline 1600 from transmission service to distribution service and associated reduction of pipeline operating pressure from 512 psig to 320 psig; and
- Redefinition of the existing CPUC's Reliability Criterion consistent with Decision 06-09-039.

This proceeding is closed.

## ELECTRIC SAFETY AND RELIABILITY PROGRAMS

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### ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM

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In June 2018, Electric Safety and Reliability Branch:

- Received 12 electric facilities incident reports and closed one previously reported electric facilities incident investigation and one previously reported generation incident investigation;
- Investigated 29 customer safety and reliability complaints;
- Performed one Electric Distribution audit;
- Performed one Power Plant audit;
- Issued three Notice of Violation letters/reports.
- Monitored two forced and six planned outages reported by natural gas power plants and two forced outages reported by renewable power plants.
- ESRB staff attended many in state and out of state training courses related to electric and generation facilities.

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### Metrics for Electric Facilities and Generation Incident Investigations as of June 30, 2018

Electric Safety and Reliability Branch		Level 1	Level 2	Level 3	Level 4	Total <sup>2</sup>
Total open incidents	Electric Facilities	7	15	56	46	124
	Generation	0	0	1	2	3
Total incidents reported in 2018	Electric Facilities	4	8	15	22	49
	Generation	0	0	1	2	3
Total incidents closed in 2018	Electric Facilities	4	7	21	15	47
	Generation	0	0	1	2	3
Total open 2018 incidents	Electric Facilities	4	8	14	16	42
	Generation	0	0	1	0	1
Incidents reported in June 2018	Electric Facilities	1	2	4	5	12
	Generation	0	0	0	0	0
Incidents closed in June 2018	Electric Facilities	0	0	1	0	1
	Generation	0	0	0	1	1

<sup>2</sup> Level 1: A safety incident that doesn't meet Level 2, 3, or 4 criteria. Level 2 for Facilities: 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 for Facilities: 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 (for Facilities) or by equipment and/or operations (for Generation).

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 June 2018, SED requested and was granted additional time to comply with ordering paragraphs (OPs) 10 and 11 of D.17-12-024 regarding recommendation on whether the Commission should open a new proceeding on wind maps. SED continues to work with CAL FIRE and expects to comply with the extended deadline of September 19, 2018.

- **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 May 15, 2018, the ALJ issued a ruling setting a prehearing conference (PHC) for May 30, 2018. On May 25, 2018, parties filed their opening comments and PHC statements. ESRB attended and participated in the PHC. During the month of June, ESRB met with parties and discussed and planned for potential workshops. 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 is currently updating GO 95 to reflect the changes adopted by the decision.
- **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 August 30, 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). On June 8, 2018, the assigned ALJ issued a ruling ordering Pacific Gas and Electric Company, Southern California Edison Company, and San Diego Gas & Electric Company to file separate motions by June 15, 2018 for confidential treatment and redaction of distribution system planning data ordered by D.17-09-026 and D.18-02-004. ESRB will continue to review the issues and provide advisory support.

- **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 June 2018, SED continued working with CAL FIRE to develop protocols for consultation and review of WMPs, which includes establishing an agreement with CAL FIRE to hire a retired annuitant (RA) to assist WMS with its review and comment of the WMPs as required by SB 1028; CAL FIRE is in the process of identifying someone who may be an RA candidate, since the previous RA that CAL FIRE identified has been recently assigned to a different role. 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 performed a Division Analysis for SB 901 (Dodd).
- **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. Comments on the

resolution were due on June 28. ESRB is currently reviewing and addressing the comments filed by all the parties. Pending.

### 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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One measure of success for the Commission’s efforts to incorporate safety and risk assessment into General Rate Cases is the extent to which these matters are taken up by utilities and intervenors. At a fundamental level, the utilities are expected to take into account the findings, observations and recommendations of Safety & Enforcement Division’s evaluation of their risk identification and prioritization methodology. These are being developed in the Safety Model Assessment Proceeding (S-MAP), and subsequent mitigation proposals that are reviewed in the Risk Assessment Mitigation Phase (RAMP) proceeding that precedes the GRC filing.

In the case of the Sempra Utilities (San Diego Gas & Electric and Southern California Gas Company GRCs, A.17-10-007/008) – the first GRC to include a RAMP – the companies made a showing in their testimony of how they integrated RAMP and the SED evaluation into their GRC requests (see SED Monthly reports for April 2017 and November 2017 for details).

This description of “RAMP integration” is expected to become a standard feature of GRC testimony in the future, as it provides the Commission and intervenors with one gauge of how seriously the utilities accept critique of their risk assessment efforts and whether they made an attempt to improve, based on the recommendations.

Another element is how safety issues are advanced by the GRC intervenors, whether ratepayer advocates or other participants. The Sempra rate cases also mark the initial full participation by

the Commission's relatively new Office of Safety Advocates (OSA) as a GRC intervenor. As part of its testimony for the Sempra GRC, OSA has staked out positions advocating a greater emphasis on Corporate Safety Culture and formal development of Safety Management Systems (drawing in part on SMS standards, including API 1173) and performance metrics that target "process safety" as opposed to that traditional occupational health and safety approaches.

OSA points out how much of the GRC cases can be associated with safety: *"These GRCs set forth the resources that the Utilities deem necessary to maintain their operations: 39% of SDG&E's total 2019 GRC increase and 54% of SoCalGas' incremental Risk Assessment Model Proceeding (RAMP) spending are considered as safety-related costs....Inadequate management of safety can lead to ineffective safety programs, misinformed leadership, and potential catastrophic safety incidents. The costs in these GRCs and the replacement rate of aging infrastructure may not be just and reasonable if the approach to managing safety and the supporting safety culture is deficient."*

Among its many recommendations, OSA urges the GRC to take up issues that go beyond consideration and approval of utility capital and maintenance budgets, but extend to the development of Electric Safety Plans (akin to the statutorily required Gas Safety Plans), and SMS for gas storage and other gas operations. Additionally, OSA would like to see a number of initiatives that reach into the Corporate Board of Directors, citing matters that are currently under consideration in the PG&E Safety Culture investigation (I. 15-08-019), proposing that the utilities:

- Develop and effectively monitor process safety performance, including *leading* indicators, at the enterprise level, including the Board of Directors (BODs);
- Ensure efforts are in addition to complying with and participating in regulatory proceedings: regulatory compliance should not be the goal to strive for;
- Incorporate process safety related performance objectives to achieve a better balanced representation of safety objectives;
- Regularly discuss process safety performance in all BOD meetings; and that

- Safety Key Performance Indicators (KPIs) should drive safety-related decisions. KPIs should be structured to represent safety performance as opposed to a straight count of the output or financial spending.

In rebuttal testimony, the Sempra utilities respond that OSA's proposals "go beyond" the current GRC issues by recommending somewhat vague and difficult to implement measures of safety. "While SoCalGas and SDG&E share many of the aspirational goals OSA discussed, absent concrete suggestions that can be implemented during the impending 2019 GRC, some of the concepts are difficult to knit into this proceeding," the utilities wrote.

Sempra countered with a point-by-point discussion of OSA's filing, generally finding that OSA is "mistaken" in its assessment that the utilities are lacking in their commitment to safety culture, or that the criticism "misses the mark" by ignoring ongoing efforts.

"SoCalGas and SDG&E have been focused on all aspects of safety for many years," the testimony stated. "Whether it is process safety, employee safety, public safety, or contractor safety, the Utilities' lead in this area through our innovative and vigorous safety programs and policies...We also know better than to rest on our laurels, which is why we are eager to work closely with OSA in the coming months and years, to further bolster our safety efforts and find new and innovative ways to provide energy safely, reliably, and affordably."

How and whether such recommendations by OSA or other intervenors are adopted in the Sempra GRC will be an indication of potential evolution of safety considerations that go beyond the RAMP and S-MAP structure.

Evidentiary hearings in the Sempra TY 2019 GRCs commence July 9 and extend through August 2018.

## 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. PG&E reiterated its testimony that it is working to comply with all of NorthStar’s recommendations by the end of 2018. The Office of Safety Advocate, joined by the Office of Ratepayer Advocates, and has proposed that a subsequent phase of the investigation focus on development of safety culture metrics. Intervenor TURN generally supports safety metrics in this proceeding, while PG&E stated they should be developed in the S-MAP rulemaking. TURN additionally proposed that the Commission should direct PG&E to greatly increase (up to 50% weighting) the safety component of its long-term incentive program for executive compensation. In June, 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 July. Utility responses to the annual leak survey were received June 15, covering emissions during 2017 and initial implementation of new practices.
- **Safety Model Assessment Proceeding (A.15-05-002, et al) (Commissioner Rechtschaffen/ALJs Kersten & Fogel) (Advisory):** Representatives of the Joint Utilities and the Joint Intervenor filed a motion for adoption of a settlement of several critical technical issues and modeling principles in the S-MAP on May 2. The parties held a “walk through” of the settlement on May 14, and RASA staff scheduled a subsequent workshop on July 6 before providing an evaluation of the merits or shortcomings of the proposed settlement.

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. 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. 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):** The test year 2019 GRC applications were filed October 6, 2017. In early March, SDG&E made an informational filing detailing how its previous RAMP process has been integrated into the GRC. The Commission at its April 26 business meeting voted to close the RAMP proceeding by approving D. 18-04-016. Public Participation Hearings were conducted during May and June, with evidentiary hearings commencing July 9 (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. Staff and PG&E are preparing errata to their filings, but no additional workshops have been requested by Parties. 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. Parties were given two weeks to comment on the request. No parties objected to the request.
- **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 is 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):** Evidentiary hearings wrapped up during the first week of August. No additional issues related to risk or safety were raised during cross-examination of witnesses. A Proposed Decision is currently being drafted to include supplemental testimony on issues raised by the 2017 federal tax reform act. Oral arguments on select issues, including SCE's Grid Modernization proposals, were held June 20.
- **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.
- **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 to consider strategies for increased and non-discriminatory access to poles and conduit by competitive communications providers, the impact of such increased access on safety, and how best to ensure the integrity of the affected communications and electric supply infrastructure going forward. A PHC was held December 5, 2017. On February 8, 2018, Parties filed comments on the structure of a form for possible database of utility poles and facilities, and access to information contained in a data base. A public participation hearing (PPH) was held May 9 in San Bernardino County. 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.

- **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. On January 18, ALJ Eric Wildgrube was co-assigned to the proceeding.
- **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.
- **PG&E Catastrophic Event Memorandum Account for Wildfires 2015-2017 (A.18-03-015) (Commissioner Randolph /ALJs Allen and Jungreis):** PG&E seeks recovery of revenue requirements associated with up to \$640 million in operational and capital costs related to nine catastrophic events, including severe storms and wildfires recorded in 2016-2017, as well as forecast costs for 2018-2019 wildfire mitigations. The application does not seek recovery for costs associated with the 2015 Butte Fire or the October 2017 wildfires. Resolution ESRB-4, adopted in 2014, requires an independent audit of PG&E’s costs to ensure there is no duplication of recovery. A PHC is scheduled for July 10 in San Francisco.

**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 – 06/30/2018

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
<b>January</b>	0	0	0	0	0	0
<b>February</b>	0	1	0	0	0	1
<b>March</b>	0	1	1	1	0	0
<b>April</b>	0	0	0	0	1	0
<b>May</b>	0	2	0	0	0	1
<b>June</b>	0	1	0	0	0	0
<b>Total 2018</b>	0	5	1	1	1	2

Invalid Whistleblower Complaints Converted to Standard Complaints							
	CAB	Transportation	Electric Safety	Gas Safety	Telco/Utility Fraud	Rail	Referred to Outside Agency
<b>January</b>	0	0	1	0	0	0	0
<b>February</b>	0	0	0	0	0	0	0
<b>March</b>	0	0	0	0	0	0	0
<b>April</b>	0	0	0	0	0	0	0
<b>May</b>	0	0	0	0	0	0	0
<b>June</b>	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
YTD	18

## OFFICE OF RAIL SAFETY

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### RAILROAD SAFETY – ROSB

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

Railroad Operations Safety Branch	Jun-18	YTD 2018
New Incidents Investigated	12	51
Informal Complaints Investigated	1	8
Safety Assessments/Reviews	14	99
Compliance Actions	807	5615
Major Inspections Completed	3	22
Operation Lifesaver Presentations	19	67

### ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

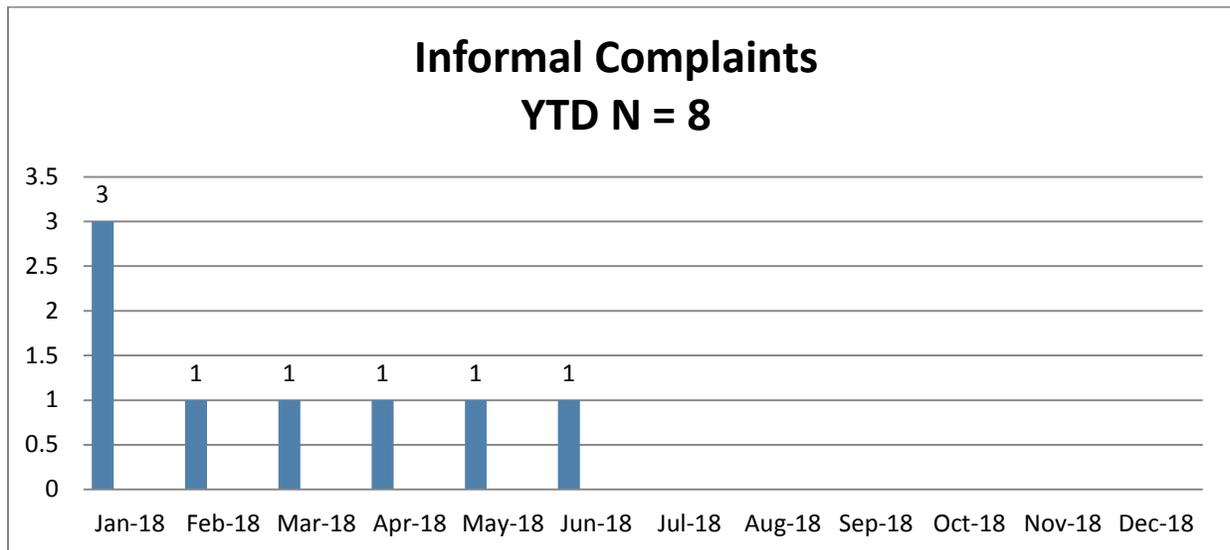
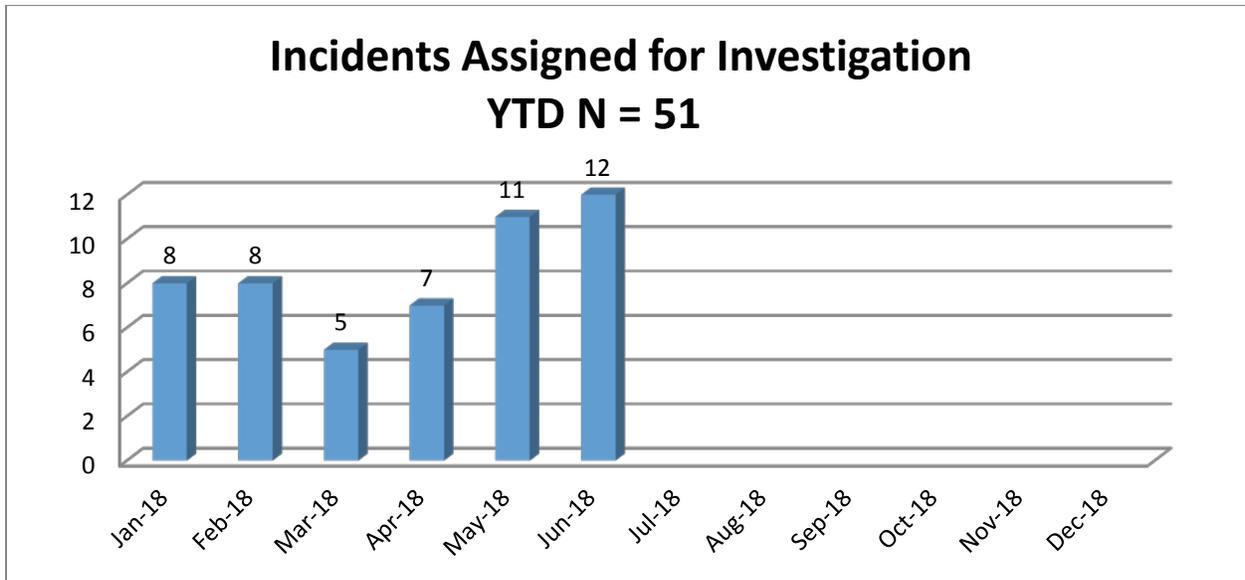
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**June 9, 2018:** Several ROSB rail safety inspectors performed an Operation Lifesaver (OL) presentation at the *“Rod and Rails”* special event at the Orange Empire Railway Museum in Perris. The OL presentation was made to approximately 600 visitors using interactive games, charts and information pamphlets that focused on safety tips and procedures at or near railway stations and railroad tracks.

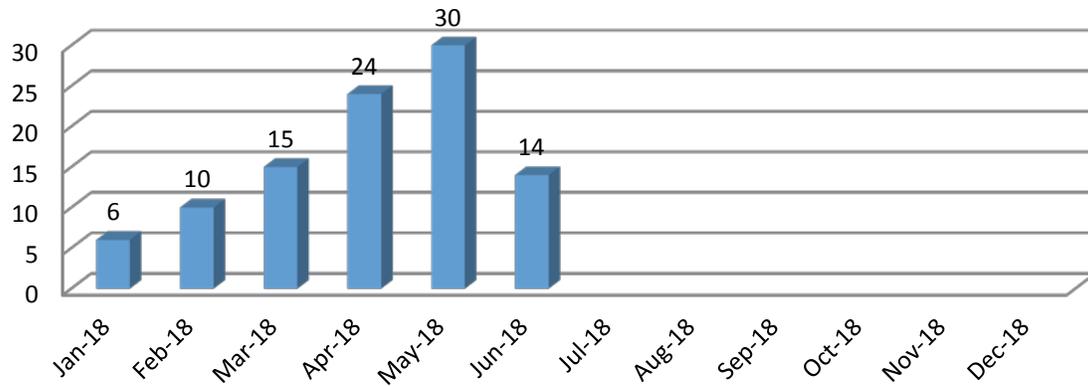
**June 19, 2018:** An ROSB rail safety inspector made Operation Lifesaver (OL) presentations at the San Clemente Pier Safety Office in Orange County. A total of six presentations were made at the Junior Lifeguards San Clemente event to over 200 K-8 students using a PowerPoint presentation as well as hard copy handouts on the subject of avoidance of rail safety hazards.

**June 28, 2018:** An ROSB rail safety staff person made an Operation Lifesaver (OL) presentation at the Beale Library in Bakersfield, Kern County. The presentation titled *“See Tracks Think Train”* was made to several school children and adults and included the passing out of rail safety handouts on avoidance of rail safety hazards as well as a PowerPoint presentation and *“Tracks are for Trains Not for Kids”* video.

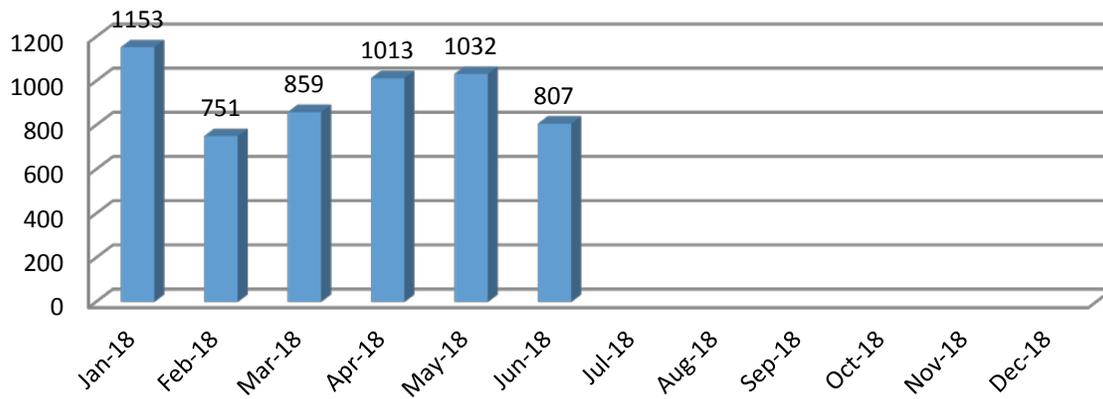
**June 30, 2018:** An ROSB rail safety inspector attended and staffed an Operation Lifesaver (OL) booth at the Tennyson All American Festival in Hayward, Alameda County where an OL presentation was made to 240 K-8 students and adults. Printed material on rail safety hazards and how to avoid them were passed out to educate attendees on the importance of rail safety and the inspector also answered questions from students regarding specific rail safety hazards and how to avoid them.

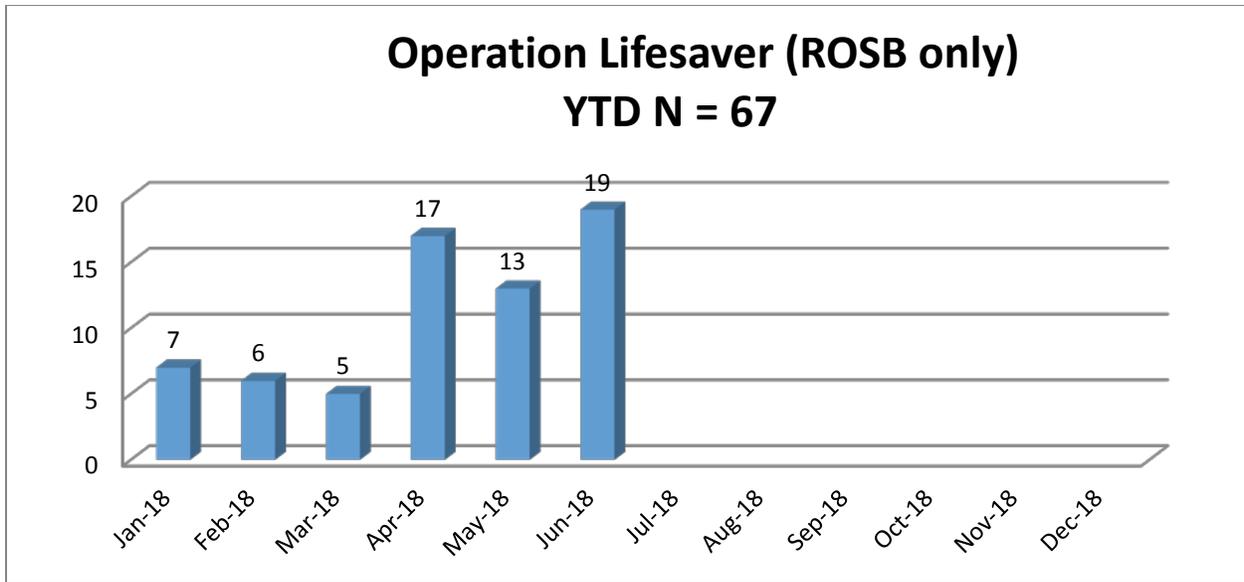


### Safety Assessments/Reviews YTD N = 99



### Compliance Actions YTD N = 5615





## OFFICE OF RAIL SAFETY

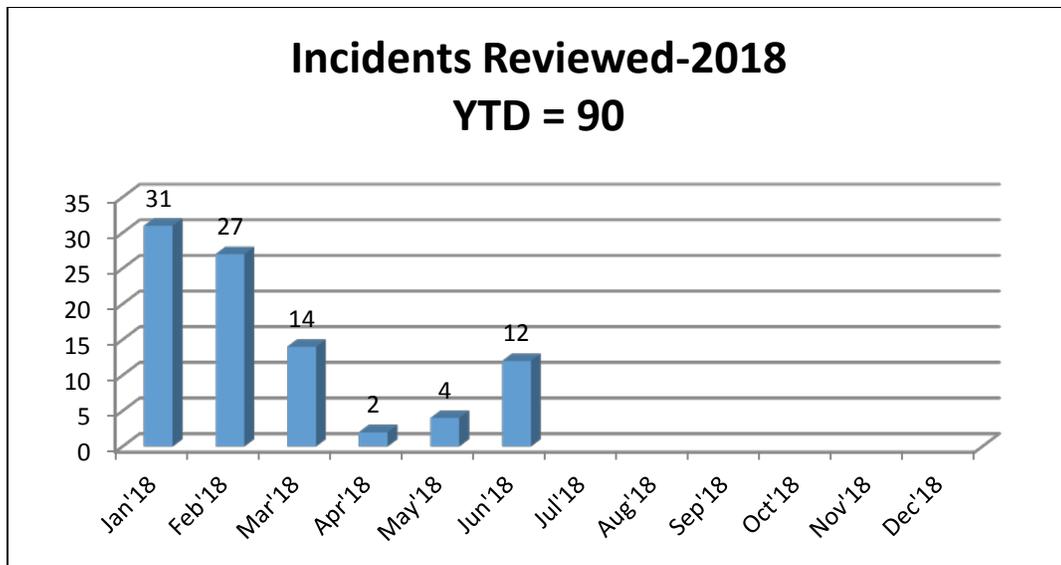
### RAIL CROSSINGS AND ENGINEERING BRANCH - RCEB

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

	New	New YTD	Closed	Closed YTD
<b>Crossing Incident Reviews</b>	29	106	12	90
<b>Safety Assessments/Quiet Zones/Reviews</b>	40	176	40	176
<b>Proceedings, Resolutions and G.O. 88-B Reviews</b>	6	47	15	50
<b>Operation LifeSaver Presentations</b>	0	33	0	33

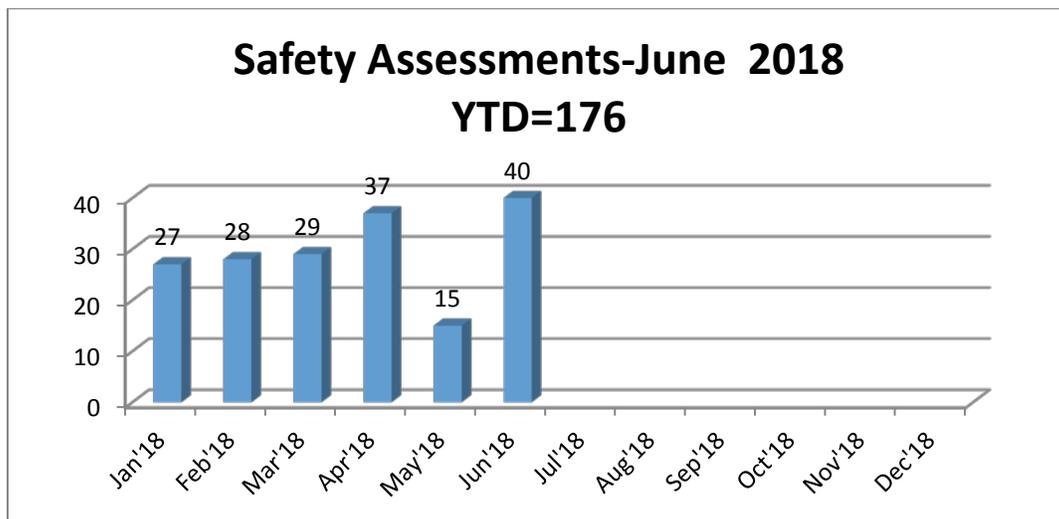
### RAIL CROSSING INCIDENT INVESTIGATIONS

In June 2018, the Rail Crossings and Engineering Branch (RCEB) assigned 25 new incidents at highway-rail crossings, two incidents at highway-LRT crossings, and two incidents near a highway-rail crossing. These 29 collisions resulted in nine fatalities and eight injuries. RCEB completed 11 crossing incident reviews reported at highway-rail incidents and once incident along the right of way. These collisions resulted in six fatalities and four injuries. RCEB will continue to monitor the crossings.



**SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS**

In June 2018, RCEB completed 40 rail-crossing safety assessments involving: communications, field inspections, and diagnostic reviews with railroads and local agencies. In addition to the assessments, RCEB staff participated in meetings with the national MUTCD committee, and an automated vehicle conference on how the new technology impacts highway-rail crossings.



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

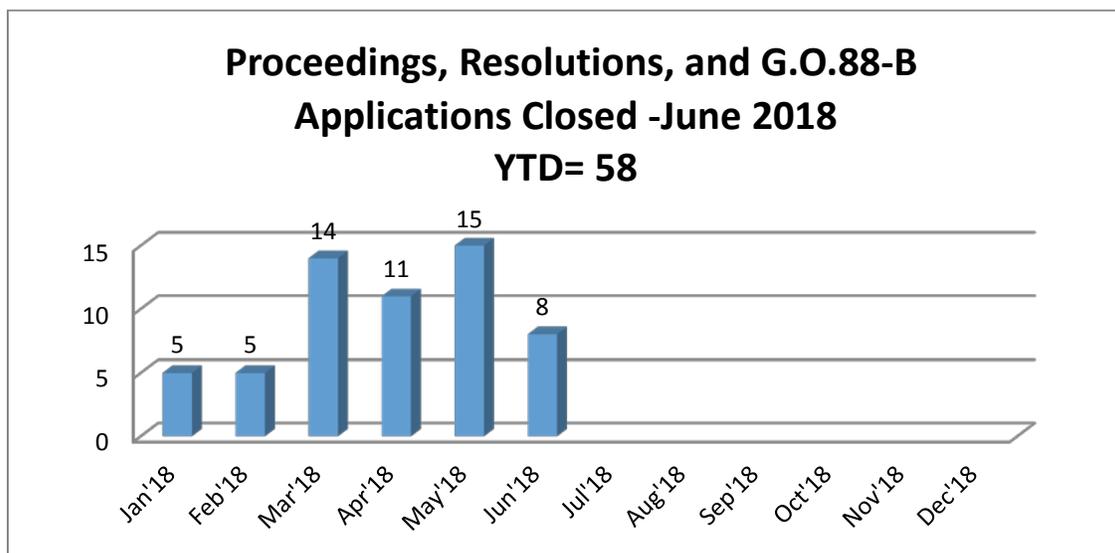
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In June 2018, RCEB staff received two new major proceedings requiring Administrative Law Judge (ALJ) review; and, four new General Order 88-B applications for changes to existing crossings. This month, RCEB closed two formal proceedings with the ALJ, worked on two Resolutions, and reviewed four General Order 88-B applications.

- PROC A1802012 - On June 21, 2018, CPUC D.1806017 authorized the San Diego Association of Governments authorization to construct a new grade-separated light-rail transit system crossing across Gilman Drive in the City of San Diego, San Diego County. The light-rail transit system crossing received California Public Utilities Commission Crossing Number 081MC-18.11-B. This proceeding is closed and the authorization expires on June 21, 2023.
- PROC A1711001 – On June 21, 2018, CPUC D.1806016 authorized the City of Modesto to construct a new grade separated crossing at the proposed Tuolumne River Park Gateway parcel in the City of Modesto. This proceeding is closed and the authorization expires on June 21, 2021.
- RESL TED-263 – On June 20, 2018, staff reviewed the request of the Santa Cruz County for a time extension to construct a new at-grade public crossing at Parade Street. CPUC Resolution TED-263 authorized the time extension authorized in D.1505043 to May 21, 2020.
- RESL TED-264 – On June 20, 2018, staff reviewed the request of the Santa Cruz County for a time extension to convert a private at-grade crossing to a public at-grade crossing at the Aptos Creek Road. CPUC Resolution TED-264 authorized the time extension authorized in D.1411007 to November 6, 2019.
- GO 88B - XREQ 20180060001 – Los Angeles County – On June 7, 2018, staff reviewed the Port of Los Angeles request to modify the Avalon Street crossing and found that the proposed improvements comply with Commission General Orders and CA MUTCD. Staff granted the request and the authorization expires on June 6, 2021.

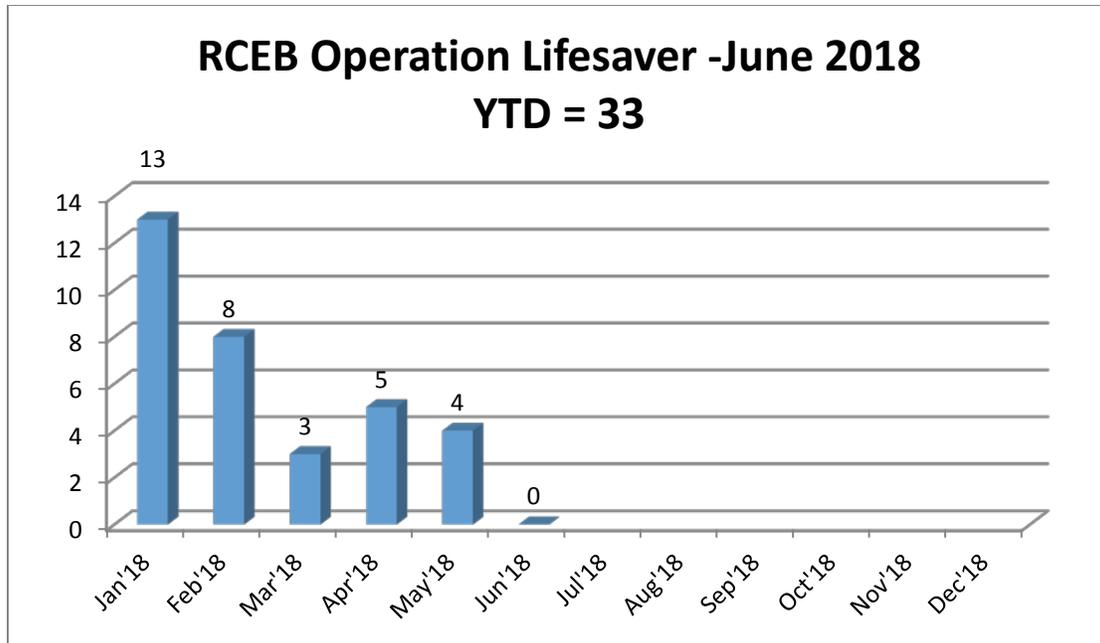
## California Public Utilities Commission | Safety and Enforcement Division

- GO 88B - XREQ 2018050004 –Sacramento County – On June 4, 2018, staff reviewed the City of Sacramento request to restripe J Street between 19<sup>th</sup> Street and 29<sup>th</sup> Street. The project includes the J Street crossing. Staff found that the proposed improvements comply with Commission General Orders and granted the request. The authorization expires on June 3, 2021.
- GO 88B - XREQ 2018050001 – Fresno County – On June 11, 2018 staff reviewed the City of Fresno request to modify the South Fruit Avenue crossing in the City of Fresno. Staff found that the proposed improvements comply with Commission General Orders and granted the request. The authorization expires on June 11, 2021.
- GO 88B - XREQ 2018050003 – San Bernardino County – On June 04, 2018 staff reviewed the City of Chino request to modify the Monte Vista Avenue crossing in the City of Chino. Staff found that the proposed improvements comply with Commission General Orders and granted the request. The authorization expires on June 3, 2021.



### OPERATION LIFESAVER INC.

In June 2018, RCEB volunteers did not participate in Operation LifeSaver Inc. (OLI) activities. 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 June 2018, the Rail Transit Safety Branch (RTSB) completed the following activities:

### CORRECTIVE ACTIONS PLANS

- One (1) Corrective Action Plan (CAP) was opened.
- Six (6) CAP's were closed.

### INCIDENT INVESTIGATIONS

- Thirty-two (32) incidents were reported by Rail Transit Agencies (RTA).<sup>3</sup>
- Thirty-four (34) incident investigations were closed.

<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.

### MAJOR AUDITS

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- 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) began 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 to SDTI's Standard Operating Procedures. The June 4-8 Utilities Engineer reviews verified implementation via records reviews of SDTI System Safety Program Plan, MTS System Security Plan, SANDAG Engineering, Drug and Alcohol Program, FTA requirements, policies and compliance to GO164-D requirements. The second is slated for August and will cover North County Transit District (NCTD).
- Management and staff from RTSB and BART met on May 29 to discuss the BART Triennial Safety Review Draft Audit Report. The objective was to discuss any concerns BART management had with the draft. BART management sent RTSB management their responses to the RTSB draft report. RTSB staff incorporated most of these responses into its newest draft report. A draft resolution and the finalized audit report should be on the Commission agenda on a CPUC meeting in August.

### ADMINISTRATIVE ACCOMPLISHMENTS

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- **New Employees:**

On June 11, Madeline Ocampo joined RTSB as a Utilities Engineer in the Los Angeles Office. After she receives her initial training, RTSB management will assign her to one or more rail transit agencies in Southern California.

On June 12, Patrick Donnelly joined RTSB as an Associate Governmental Program Analyst (AGPA) in the San Francisco Office. In addition to his duties for RTSB, he will also assist the Rail Crossings and Engineering Branch (RCEB) and Railroad Operations Safety Branch (ROSB) with processing their formal matters (such as Resolutions and Applications).

- **General Order 164-E:** RTSB has planned a 2-day workshop with the Rail Transit Agencies in July to discuss implementation of changes brought about by GO 164-E and other related issues.
- **FTA Grant Application:** On June 4 RTSB submitted to the FTA its fourth 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, as discussed above, the Commission approved a revised GO 164-E that was effective as of May 1. RTSB made revisions to 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. 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 and Patrick Donnelly completed their on-line Safety Management System (SMS) Awareness training. Madeline also completed her Defensive Driver 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. If approved, a Proposed Decision would further extend the 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 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 new cars into revenue service. RTSB approved this request with a letter dated January 17, 2018.

- **East Contra Costa BART Extension:** This project, also known as eBART, will add 10 miles of track extending rail service eastward from the Pittsburg Bay Point station utilizing eight Diesel Multiple Unit (DMU) vehicles. This project was safety certified by RTSB, whose staff regularly attended safety certification meetings and witnessed testing. In a May 2 letter to BART's General Manager, the CPUC approved the eBART Safety and Security Verification Report that was dated April 19, 2018. The eBART system began revenue service on May 26.
- **Silicon Valley Berryessa Extension (SBVX):** BART and VTA are currently in the process of jointly 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 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 June 20, 2018, CSP submitted the verification documentation for some additional construction certification items to the SSCRC for review and approval. On June 27, 2018, staff attended a meeting with SFMTA project staff at the CSP project office located on 530 Bush St, SF, to discuss the whole safety/security certification process and how they are going to complete the Specification Conformance Checklist including verification of completed safety elements. CSP has yet to address a number of RTSB staff's inquiries sent as submitted to CSP and tracked by the monthly SSCRC meeting minutes through resolution.
- **LA Metro (LACMTA) P3010 New Vehicle Procurement Project:** Los Angeles County Metropolitan Transportation Authority (LACMTA or LA Metro) 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 of 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, in spite of 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.

- **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 2020. However, to date FTA has not awarded a full-funding grant agreement and coordination with OCTA is ongoing. OCTA is in final negotiations with Siemens for the 8 vehicles, spare parts, and tools. Operations and Maintenance contract request for proposals is scheduled to be released in November 2018. 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 5/24/18 and 6/8/18, SFMTA submitted their Notices of Intent to Operate five (5) LRV4 Cars in two-car consists on or after 6/14/18 and 6/29/18 along with the Certificates of Conformance for Specification Conformance and supporting Audit Checklists for these cars to staff. On 6/14/18, RTSB management sent a letter to SFMTA that authorized placement of these cars into revenue service. On 6/21/18, SFMTA submitted their Notices of Intent to Operate two (2) LRV4 Cars in two-car consists on or after 7/12/18 along with the Certificates of Conformance for

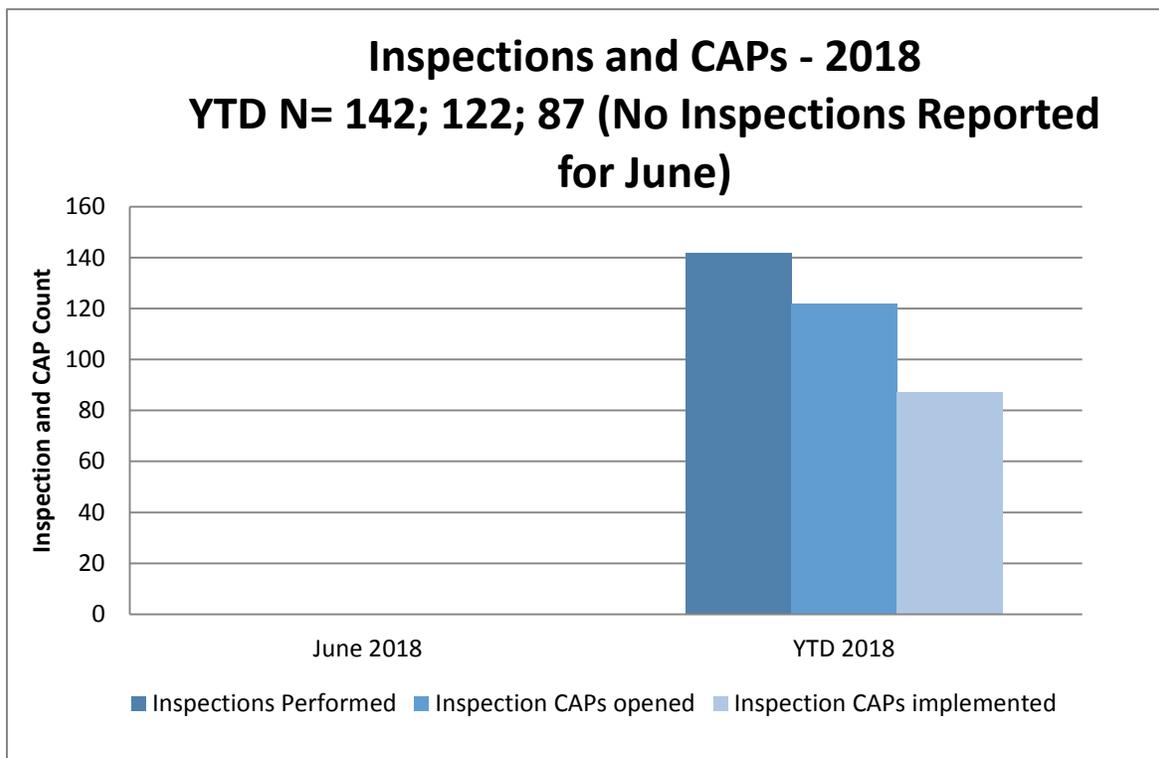
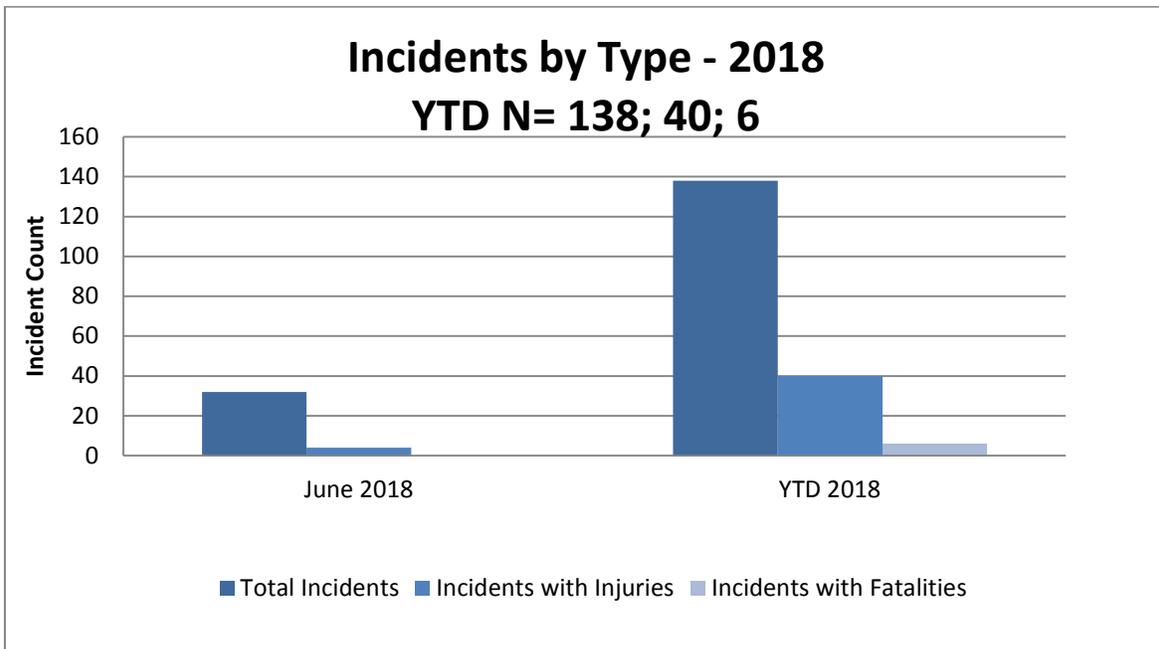
Specification Conformance and supporting Audit Checklists for these cars to staff. On 6/29/18, RTSB management sent a letter to SFMTA authorizing placement of these cars into revenue service. The next cars SFMTA will certify for two-car operation are Cars 2028 and 2031.

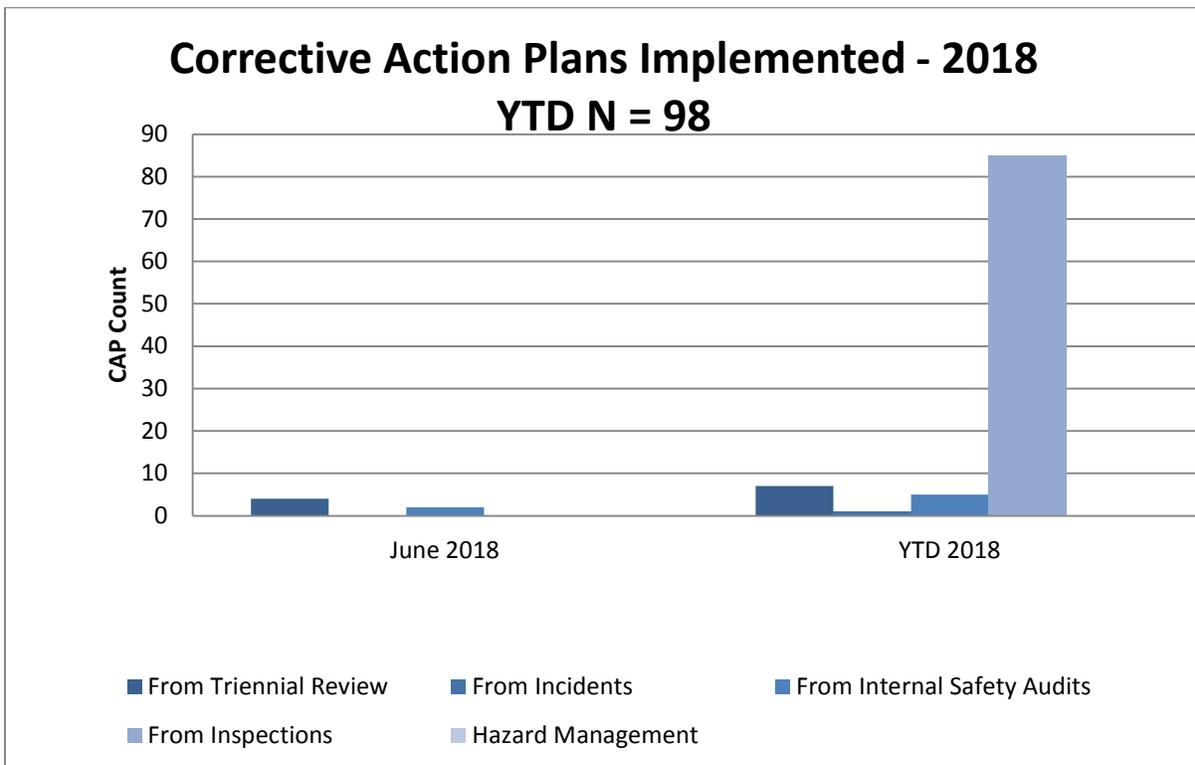
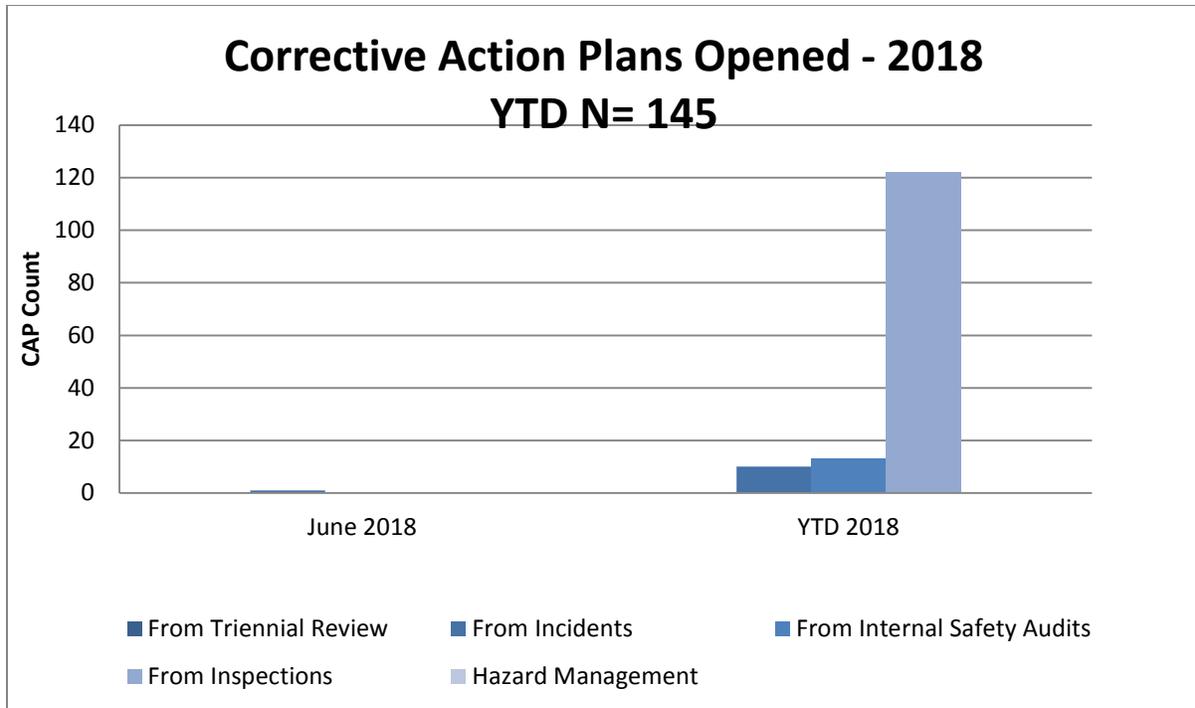
- **San Diego Trolley, Inc. (SDTI) Mid-Coast Corridor Project:** The San Diego Metropolitan Transit System Mid-Coast Corridor Project is a 10.9-mile double-track light-rail transit line, which begins at the Old Town Transit Center in San Diego. The project provides future SDTI revenue service to the 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, 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-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	32	138
Incident Investigations Closed	34	250
Complaints Investigated	0	1
Rail Transit Inspections (No Inspections reported for June – Triennial Audit in southern California, and no inspector yet hired in northern California)	0	142
Triennial Review	1	2

Corrective Action Plans for Month		YTD 2018
New Corrective Action Plans	1	145
From Triennial Review	0	0
From Incidents	1	10
From Internal Safety/Security Audits	0	13
From Rail Transit Inspections	0	122
From Hazard Management	0	0
<b>Closed Corrective Action Plans for Month</b>	<b>6</b>	<b>98</b>
From Triennial Review	4	7
From Incidents	0	1
From Internal Safety/Security Audits	2	5
From Rail Transit Inspections	0	85
From Hazard Management	0	0





## CORT MONTHLY REPORT

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In California during the month of June:

- The railroads moved 8 trains with 800 crude oil cars via unit train
- Via manifest train the railroads moved 180 crude oil cars

During the month of June eight (8) crude oil trains were delivered to **Plains All America** in Taft, California. Each train consisted of 100 cars: six (6) 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.

The Canadian Pacific is still in negotiations with union representatives which may affect delivery of July trains. Plains All America receives ninety five percent of their products from Canada via the CP.

The SJVR also spots the unit train for **Kern Oil** which is a refinery operating in Bakersfield. Kern has not received their June train as of the writing of this report; the train departed New Mexico on June 25, 2018. Kern Oil is expecting one (1) train next month.

**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 June they processed 180 crude oil cars. This facility also had a hazardous material incident on June 6, 2018 a car of hot asphalt released 24,000 gallons of product to the ground during the trans-loading process. The cause was found to be a faulty valve.

### IN OTHER NEWS

On June 25, 2018 two members of the CORT team met with an FRA Crossings inspector at the FRA office in Ontario regarding use of their GIS mapping system. 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

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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 received information that the Santa Maria Railroad may begin moving crude oil trains from the Union Pacific Guadalupe interchange to their tracks for a third party trans-load. We are currently investigating this situation and further updates will be forth coming.

On Friday June 22, 2018 a Burlington Northern Santa Fe (BNSF) train carrying tar sands crude oil from Canada to Oklahoma derailed in an Iowa flood plain. A BNSF spokesperson confirmed that 33 cars had derailed and 14 were leaking into the swollen Little Rock River. The Railroad is focusing on environmental recovery and monitoring conditions for potential community impact. The area had received heavy rains over Wednesday and Thursday which may have been a contributing factor in the derailment. State and Federal officials are investigating.



*BNSF Iowa Derailment*

**For the month of June, a total of eight (8) crude oil unit trains entered California with none of them containing Bakken crude oil.**