

Safety and Enforcement Division



Monthly Performance Report

November 2018

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Disclaimer

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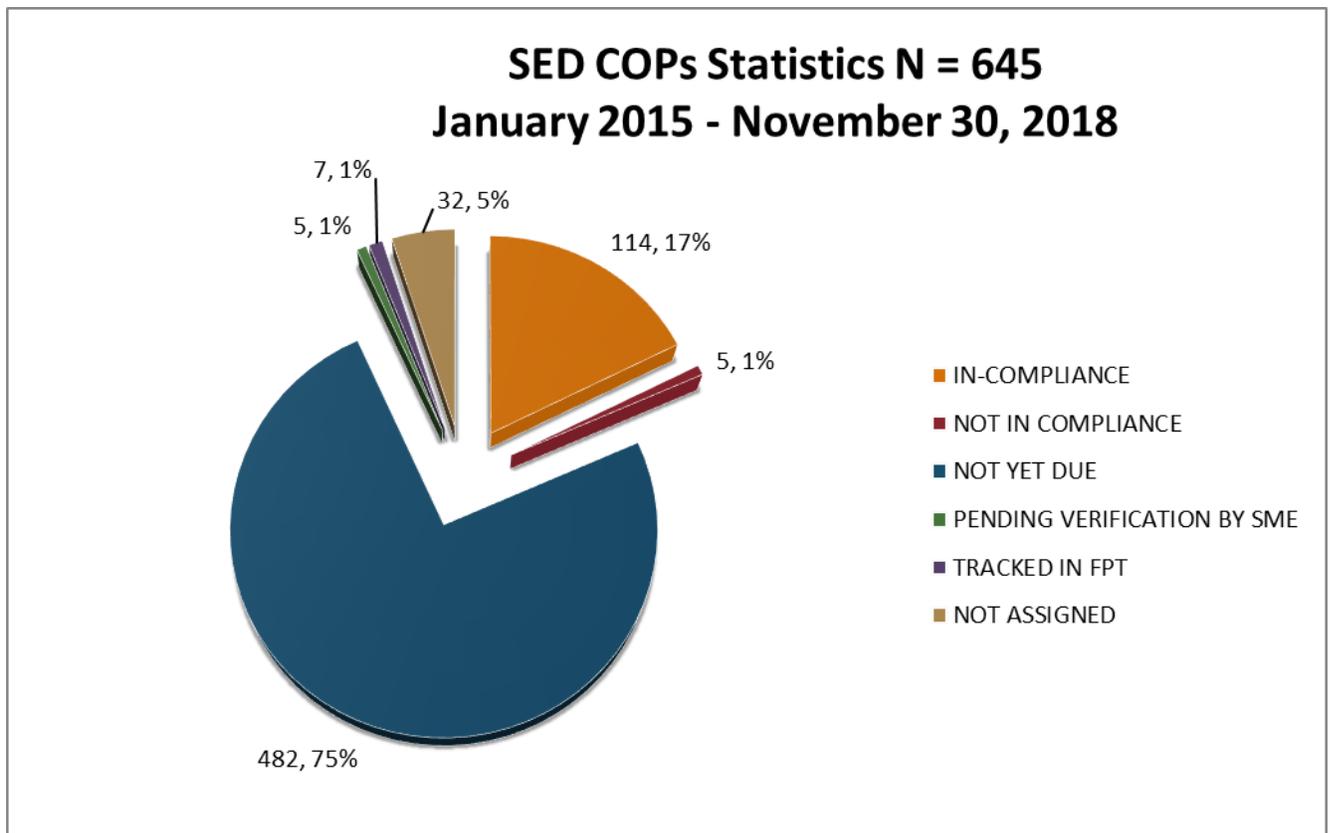
This Report has not been approved or disapproved by the CPUC.

COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through November 30, 2018, SED shows 645 total entries in the COPS system; with 114 reaching compliance (17%), 482 (75%) not yet due for compliance, and 5 (1%) currently remaining out of compliance. 5 (1%) are pending verification. 612 (95%) of all Ordering Paragraphs are assigned to members of staff.

During November 2018, there were 33 new OPs recorded to the COPS database for the Safety & Enforcement Division.

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



NATURAL GAS SAFETY PROGRAM

STAFF CITATION PROGRAM

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

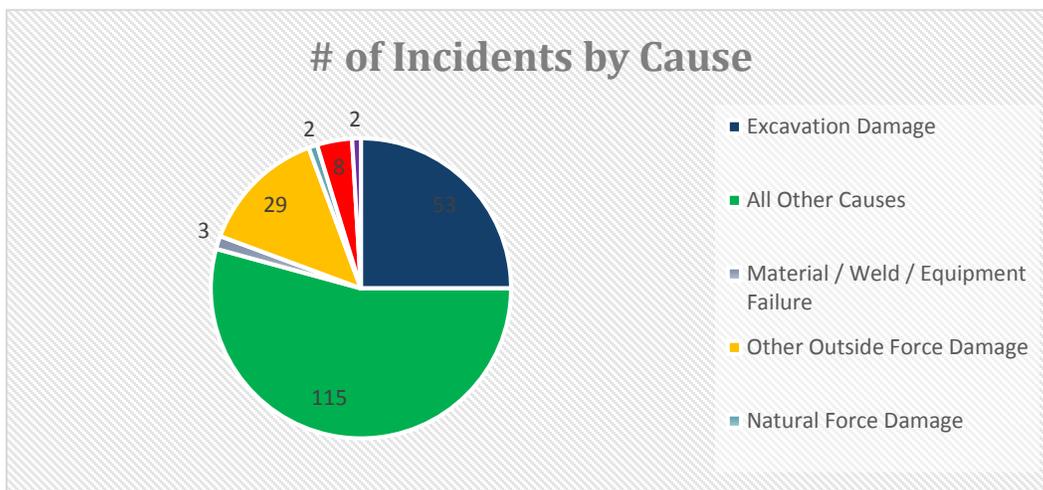
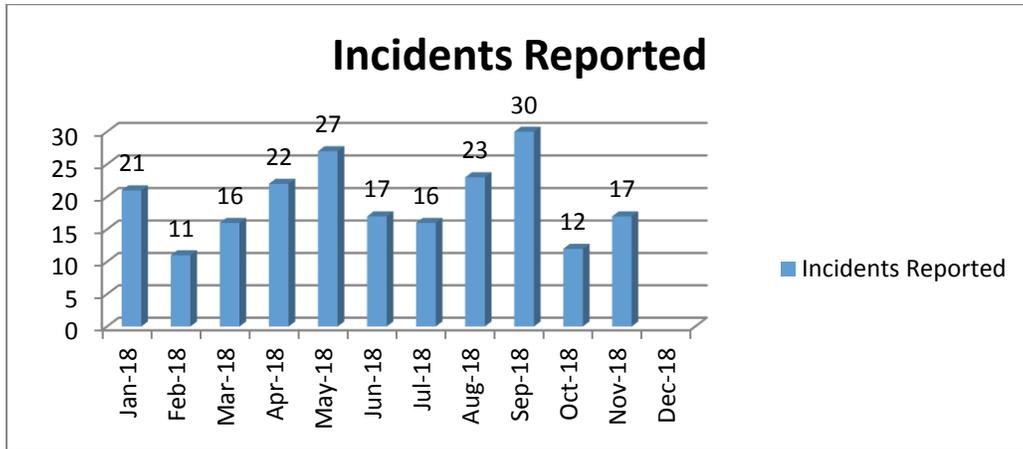
Citation Number	Utility	Amount	Violations	Date Cited	Appealed	Status
D.16-09-055 G.18-02-001	PG&E	\$ 100,000	192.605(a), 191.15(d)	2/16/2018	No	Paid on 3/16/18
D.16-09-055 G.18-10-001	PG&E	\$ 1,000,000	192.273(a), 192.281(a)	10/12/2018	No	Paid on 11/7/18
D.16-09-055 G.18-10-003	PG&E	\$ 4,050,000	192.605(a), 192.805(f)	10/15/2018	No	Paid on 11/9/18
D.16-09-055 G.18-11-001	Alpine	\$ 50,000	192.723(b)(2)	11/2/2018	Yes	Pending
Total Cited 2018		\$ 5,200,000				

INSPECTIONS

	2018
Conducted	40
Final Report Completed	26

INCIDENT INVESTIGATIONS

As of November 30, 2018, GSRB Staff received 212 incidents year to date.



The CY 2018 incidents¹ are categorized as follows:

- 144– Level 1 incidents
- 59 – Level 2 Incidents
- 5 – Level 3 Incidents
- 4 – Level 4 Incidents

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

UTILITY SELF-IDENTIFIED VIOLATION (SIV) INVESTIGATIONS

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

NATURAL GAS RELATED PROCEEDINGS

- **Gas Safety OIR (R.11-02-019) (Commissioner Guzman Aceves/ALJ Kersten) (Advisory):** The proceeding amended General Order GO 112-F, made fully effective no later than January 1, 2017. R.11-02-019 was closed in June 2015, however, it was re-opened after various applications for rehearing were filed by intervenors including the Utility Workers Union of America, the Office of ratepayer Advocates and the City of San Carlos. In February 2017, D. 17-02-015 disposed of a joint rehearing request from the San Carlos and ORA. In addition, Pacific Gas and Electric Company filed a petition to modify Decision 15-06-044 on January 31, 2017, on issues related to cost recovery. Disposition of PG&E's petition and UWUA's application is pending. On August 11, 2017, SED filed a subsequent petition to modify D. 15-06-44, seeking to conform GO 112F to more stringent federal regulations. The matter is pending.
- **Mobile Home Parks Pilot Program (Implementing D.14-03-021) (ALJ Semcer/ Commissioner Rechtschaffen):** This decision established a three-year pilot program authorizing each California investor-owned utility to convert 10 percent of master-metered gas and/or electric Mobile Home Park spaces within its operating territory to direct utility service. San Diego Gas & Electric Company (U902M) filed A.17-05-008/ A.17-05-007 for Approval to Extend the Mobile Home Park Utility Upgrade Program. The Commission on September 29, 2017, extended the program through the end of 2019 via Resolution E-4878. Rulemaking 18-04-018 (ALJ Kersten / Commissioner Rechtschaffen) was filed on April 26, 2018, Order Instituting Rulemaking to Evaluate the Mobilehome Park Pilot Program and to Adopt Programmatic Modifications. PHC for Rulemaking 18-04-018 occurred on July 30, 2018. Scoping memo issued on 8/31/2018. SED/ED convene utility technical working group

to refine annual report template and data gathering 30 days from Scoping Memo.

Workshop #1 was held on 10/17/2018.

- **Citation Program OIR (R.14-05-013) (President Picker/ALJ Burcham) (Advisory):** Decision 16-09-055 was issued on September 29, 2016. Some key points are listed below:
 - An administrative limit of no more than \$8 million for each citation.
 - Utility reporting of self-identified potential violations is voluntary.
 - Utilities need not notify city and county officials of a self-identified potential violation unless staff requires it.
 - This proceeding was reopened on February 21, 2017, as Senator Jerry Hill issued a petition for modification requesting the Commission to modify the decision to keep in place, rather than weaken, the mandatory reporting requirements that were imposed under ALJ-274. In March, several parties filed comments to Senator Hill's request, and Hill filed reply comments in early April. The matter is pending.

ELECTRIC SAFETY AND RELIABILITY PROGRAMS

ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM

In November 2018, Electric Safety and Reliability Branch:

- Received 12 electric facilities incident reports and closed 40 previously reported electric facilities incident investigations;
- Investigated 21 customer safety and reliability complaints;
- Performed one substation audit;
- Issued five Notice of Violation letters/reports.
- Monitored 16 planned outages and three forced outages reported by natural gas and renewable energy power plants.

Electric Facilities and Generation Incident Investigations as of November 30, 2018

ESRB		Level 1	Level 2	Level 3	Level 4	Total ²
Total open incidents	Electric Facilities	3	8	41	56	108
	Generation	0	0	2	2	4
Total incidents reported in 2018	Electric Facilities	12	19	23	48	102
	Generation	0	0	1	1	2
Total incidents closed in 2018	Electric Facilities	17	32	47	35	131
	Generation	0	0	0	1	1
Total open 2018 incidents	Electric Facilities	3	7	10	31	51
	Generation	0	0	1	0	1
Incidents reported in November 2018	Electric Facilities	0	1	3	8	12
	Generation	0	0	0	0	0
Incidents closed in November 2018	Electric Facilities	3	10	16	11	40
	Generation	0	0	0	0	0

² Level 1: A safety incident that doesn't meet Level 2, 3, or 4 criteria. Level 2: Incident involved a power interruption not due solely to outside forces (Level 2 for Generation: Incident that occurred during an Electric Alert, Warning or Emergency. Level 3: Incident involved damage estimated to exceed \$50,000 and caused, at least in part, by the utility or its facilities (Level 3 for Generation: Incident resulted in a significant outage that was due, at least in part, to plant equipment and/or operations). Level 4: Incident resulted in a fatality or injury requiring hospitalization and that was caused, at least in part, by the utility or its facilities or by equipment and/or operations (for Power Plants).

ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS

- **Proceeding to Implement Electric Utility Wildfire Mitigation Plans pursuant to Senate Bill 901 (2018) (R.18-10-0079) (Commissioner Picker/ALJ Allen/ALJ Thomas) (Advisory):** On October 25, 2018, the Commission opened Order Instituting Rulemaking (OIR) to implement the provisions of Senate Bill 901 related to electric utility wildfire mitigation plans. This OIR will provide guidance on the form and content of the initial wildfire mitigation plans, provide a venue for review of the initial plans, and develop and refine the content of and process for review and implementation of wildfire mitigation plans to be filed in future years. In November 2018, the Commission held a prehearing conference (PHC) to discuss the scope, schedule, and process for the rulemaking. In their PHC statements, several parties presented proposed templates for wildfire mitigation plans (WMPs), addressing the various elements mandated by SB 901. Parties then held a teleconference workshop to discuss the proposals and will continue working on achieving a consensus WMP template proposal for Commission consideration. Pending.
- **Rulemaking to Evaluate the Mobilehome Park Pilot Program and to Adopt Programmatic Modifications (R.18-04-018) (Commissioner Rechtschaffen /ALJ Semcer) (Advisory):** D.14-03-021 established a three-year pilot program authorizing each California investor-owned utility (IOU) to convert 10 percent of master-metered gas and/or electric Mobile Home Park (MHP) spaces within its operating territory to direct utility service. On April 26, 2018, the Commission issued R.18-04-018 to evaluate the MHP Pilot Program and to adopt programmatic modifications. ESRB is reviewing comments and supplemental data submissions from parties and providing assistance as needed. Pending.
- **Creation of a Shared Database or Statewide Census of Utility Poles and Conduit (R.17-06-028); Communications Provider Access to Poles (I.17-06-027) (Commissioner Picker/ALJ Mason) (Advocacy):** On October 15, 2018, ALJ Mason issued a Ruling requesting reply comments to the proposed use case comments filed on October 12, 2018; SED filed its reply comments on October 31, 2018. A Workshop to discuss the Use Cases and other issues related to this proceeding was held on November 15, 2018 in San Francisco. The workshop was

scheduled for two days; however, the second day, November 16, was postponed due to poor air quality that was the result of the fires in Northern California. Pending.

- **Proceeding to Consider Amendments to GO 95 (R.17-10-010) (Commissioner Picker/ALJ Mason/ALJ Goldberg) (Advocacy):** As directed in D.16-01-046, SED filed P.17-03-004 to adopt, amend, or repeal rules in GO 95. In response to SED's petition, the Commission opened R.17-10-010 in October 2017, to consider the amendments discussed in SED's petition. On July 31, 2018, the ALJ issued a scoping memo and ruling setting the schedule for this proceeding and directing SED to convene a workshop to discuss the scoped issues. SED and parties held three workshops in August 2018 and September 2018 and addressed amendments to GO 95 rules regarding climbing space, fall protection, pole strength, and pole steps. Parties reached consensus on all of the rule change proposals and on October 31, 2018, SED filed a Joint Parties' Workshop Report to the Commission. In November 2018, Parties filed comments on the Workshop Report and reply comments are due December 10, 2018. Pending.
- **Physical Security of the Electric System and Disaster and Emergency Preparedness (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly) (Advocacy):** Phase I addresses physical security for electric supply systems, and Phase II addresses disaster and emergency preparedness plans for electrical corporations and regulated water companies. A proposed decision for Phase I is pending. On September 28, 2018, SED participated in the second Workshop for Phase II in San Diego. On November 9, 2018, the ALJ issued a Proposed Decision for Phase I regarding Physical Security of electric infrastructure. In November 2018, SED and other parties filed comments on the Proposed Decision for Phase I; reply comments are due on December 2, 2018. Pending
- **Distributed Energy Resources (R.14-08-013) (President Picker/ALJ Mason/ALJ Allen) (Advisory):** On September 28, 2017, the Commission adopted a Decision that addressed Track 1 Demonstration Projects A (Integration Capacity Analysis) and B (Locational Net Benefits Analysis). ESRB will continue to review the issues and provide advisory support when needed.

- **SCE Appeal of Twentynine Palms Citation (K.18-03-008) (ALJ Kim) (Advocacy):** ESRB investigated an incident that occurred on August 1, 2015 in Twentynine Palms, involving the failure of a cross arm and a resulting overhead conductor clearance problem. The incident caused injury to 3 individuals. On February 12, 2018, SED issued a \$300,000 citation to SCE for violations related to the incident. SCE appealed the citation on March 14, 2018. On August 14, 2018, SED filed a motion to hold hearings in abeyance in order to allow staff to investigate additional violations of GO 95 related to the incident. The ALJ granted SED's motion in part. On October 3, 2018, SED issued an \$8,000,000 amended citation that replaced the \$300,000 citation that was issued to SCE on February 12, 2018. The amended citation was the result of new violations of GO 95 that SED had discovered. Pending.
- **De-Energization Resolution ESRB-8 and A.18-08-007:** An application for rehearing of Resolution ESRB-8 was submitted and has been docketed as A.18-08-007. A petition for modification of Resolution ESRB-8 also was submitted. Following SCE, SDG&E, and PG&E notifications to customers of potential Public Safety Power Shutoffs in mid-October, SDG&E and PG&E implemented shut-offs, SCE and SDG&E submitted de-energization reports on October 30, and PG&E submitted a de-energization report on October 31. ESRB is reviewing these reports. ESRB is also working towards reviewing and evaluating the reports submitted by IOUs outlining their Public Outreach, Notification, and Mitigation plans submitted pursuant to the requirements in ESRB-8.

OTHER ACTIVITIES

- **November 2018 Fires:** In November 2018, a series of wildfires devastated many cities in California. In Northern California, the Camp Fire burned about 153,000 acres, destroyed an estimated 18,000 structures, injured three firefighters, and unfortunately resulted in 85 civilian fatalities. In Southern California, the Woolsey Fire burned about 100,000 acres, destroyed an estimated 1,800 structures, injured three firefighters, and unfortunately resulted in three civilian fatalities. SED investigatory teams have been assigned and have visited the sites of affected areas to examine evidence related to utilities' facilities. SED is

currently working closely with CAL FIRE to investigate PG&E, SCE, and communications companies' compliance with the Commission's safety rules.

- **Compliance with D.17-09-024 regarding Long Beach Incident:** D.17-09-024 adopted a Settlement Agreement between Southern California Edison and SED. Under the settlement, SCE paid a \$4 million penalty and will spend \$11 million on various system enhancement projects in Long Beach intended to reduce the chance of public injury, reduce the risk of future system failures, and improve the utility's operational awareness and network maintenance. ESRB is monitoring SCE's work to ensure compliance with the settlement agreement.
- **Transmission Maintenance Coordination Committee (TMCC):** TMCC is an advisory committee to help the CAISO develop, review, and revise Transmission Maintenance Standards. TMCC holds quarterly meetings to discuss recent improvements in construction and maintenance processes and techniques, and industry best practices. ESRB is a member of TMCC and attends quarterly meetings.

UTILITY RISK ASSESSMENT AND SAFETY ADVISORY

REVIEWING SAFETY AND RISK IN GENERAL RATE CASES

On November 15, Southern California Edison (SCE) filed its Risk Assessment Mitigation Phase documents for its forthcoming TY2021 GRC (I.18-11-006). Under the procedures adopted in D.14-12-025 and D.16-08-018, SCE is required to file its RAMP submission in this OII. The Commission's Safety and Enforcement Division (SED) will evaluate SCE's RAMP submission in this OII for consistency and compliance with SCE's Safety Model Assessment Proceeding (S-MAP) and prepare a report. The parties to this proceeding will then have an opportunity to comment on SCE's RAMP submission and on SED's report. The RAMP filing and comment process will then form the basis of SCE's assessment of its safety risks in its general rate case filing.

The utility identified nine (9) RAMP Risks for analysis:

- Building Safety
- Contact with Energized Equipment
- Cyber Attack
- Employee, Contractor and Public safety
- Hydro Asset Safety
- Physical Security
- Wildfire
- Underground Equipment Failure, and
- Climate Change

Edison's initial scoring of these risks, using mean and tail-average multi-attribute risk scores (measuring safety-serious injuries; safety-fatalities; reliability, and economic consequences) resulted in somewhat differing rankings for the severity of these risks. The analysis of Climate Change proved challenging in that most expected consequences would occur outside of the GRC planning window 2018-2023. This issue of timeframe for risk analysis was common to

other areas, as well, making it harder to capture either the longer-term costs of some mitigation measures as well as benefits that would accrue over longer periods of time.

SCE will conduct a workshop on the RAMP filing on December 14 at the Commission's auditorium in San Francisco. The SED evaluation report is due March 15.

PROCEEDINGS

- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ Allen) (Advisory):** On November 29, the Commission approved D. 18-11-050, accepting the NorthStar Consulting report and ordering PG&E to implement its 61 recommendations by July 1, 2019, as well as requiring quarterly reports on progress beginning in 4th quarter 2018. While some “bright spots in safety culture” were identified – particularly at the Diablo Canyon nuclear plant – Picker said a major finding was that PG&E did not have a clear vision of its safety programs. It pursues many programs without a clear sense of how they work together. He also noted that the investigation to date did not involve issues related to the wildfires from 2017. Picker highlighted his intention to introduce a next phase in the OII that will focus on corporate governance and how to determine the best path forward to ensuring safety, and what the Commission's role should be.
- **Gas Leak Abatement OIR (R.15-01-008) (Commissioner Rechtschaffen/ALJ Kersten) (Advisory):** In mid-November, RASA staff issued the draft of the 2017 Joint Report on Leak Survey results, compiled with California Air resources Board. The report was issued for comments, after which it will be finalized and published. The annual results indicated a slight uptick in reported emissions in 2017 compared to 2016, largely because of increases in maintenance activities. A workshop was held November 16 to explore new mapping tools and other Phase 2 issues including cost-effectiveness of compliance activities.
- **Safety Model Assessment Proceeding (A.15-05-002, et al) (Commissioner Rechtschaffen/ALJs Kersten & Fogel) (Advisory):** A proposed decision on the Joint Settlement Agreement was issued for comment on November 9, and will be considered at the December 13, 2018, business meeting. The first utilities to use the methodology derived

from the Settlement Agreement will be San Diego Gas & Electric and Southern California Gas, for their 2019 RAMP filings. A new element of the RAMP process will include a preliminary workshop by the utilities in 1 Quarter 2019 to review their risk registers and expected results of risk ranking. The PD would also clarify that utilities will not file new S-MAP applications in May 2019, but instead the Commission should launch a rulemaking to address continuing refinements in the S-MAP process.

- **Sempra Utilities 2019 General Rate Case (A.17-10-007/008 consolidated) (President Picker/ALJ Lirag):** Hearings were completed in August. The proceeding has been submitted for decision.
- **Pacific Gas & Electric RAMP (I.17-11-003) (Commissioner Rechtschaffen/ALJ Roscow):** With Pacific Gas & Electric's TY2020 General Rate Case expected to be filed by December 20, 2018, RASA staff is working with the utility on documentation of how the RAMP report evaluation has been incorporated into GRC spending requests. Staff issued a data request for spreadsheets and a compilation of RAMP-related GRC testimony, and PG&E will address incorporation during a January workshop on the GRC. At that time, the GRC ALJ will determine how to proceed with the RAMP: whether to close the OII or consolidate it with the rate case.
- **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. Hearings on the rate case were completed in early October; and opening briefs were served November 14.
- **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.
- **Physical Security of Electric Infrastructure (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly):** A proposed decision in Phase 1 is set for consideration at the December 13, 2018, business meeting. Comments on the PD were filed by several utilities and other parties, and

some elements of the final decision may reflect changes to the initial Staff recommendations. A draft workshop report (based on the September 28 workshop in San Diego) for Phase 2 of the proceeding has been drafted and resides with the Assigned Commissioner and ALJ for review prior to circulation for comment.

- **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). Two days of workshops were set for Nov. 15-16, to review “use cases” for the pole census information, but the second day was cancelled because of the poor air quality caused by ongoing wildfires in Northern California. The use case refinement process will continue via working groups. A revised scheduling ruling is expected before the end of the year.
- **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.
- **Mobile Home Park Pilot Expansion (R.18-04-018) (Commissioner Rechtschaffen/ALJ Kersten):** This proceeding will determine policies for increasing participation in a mobile home metering conversion program currently conducted as a pilot. The programmatic goal is to convert master meter arrangements to direct service by utilities (for both gas and electricity) to improve safety and service. SED RASA and Energy Division, with technical assistance from SED branches, is leading a working group process and conducted an October 17 workshop. Staff and parties are currently finalizing a reporting template.

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 – 11/30/2018

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
January	0	0	0	0	0	0
February	0	1	0	0	0	1
March	0	1	1	1	0	0
April	0	0	0	0	1	0
May	0	2	0	0	0	1
June	0	1	0	0	0	0
July	0	0	0	1	1	1
August	0	4	0	0	0	1
September	0	1	0	1	2	1
October	0	3	1	0	0	0
November	0	1	0	0	0	0
Total 2018	0	14	2	3	4	5

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

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October	0	0	0	0	0	0	0
November	0	0	0	0	0	0	0
YTD	0	0	1	0	0	0	0

Test, Incomplete or Duplicate Whistleblower Complaints	
January	3
February	8
March	3
April	0
May	4
June	1
July	1
August	3
September	4
October	3
November	0
YTD	30

OFFICE OF RAIL SAFETY

RAILROAD SAFETY – ROSB

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

Railroad Operations Safety Branch	Nov-18	YTD 2018
New Incidents Investigated	17	114
Informal Complaints Investigated	6	24
Safety Assessments/Reviews	12	158
Compliance Actions	543	10059
Major Inspections Completed	3	34
Operation Lifesaver Presentations	2	131

ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

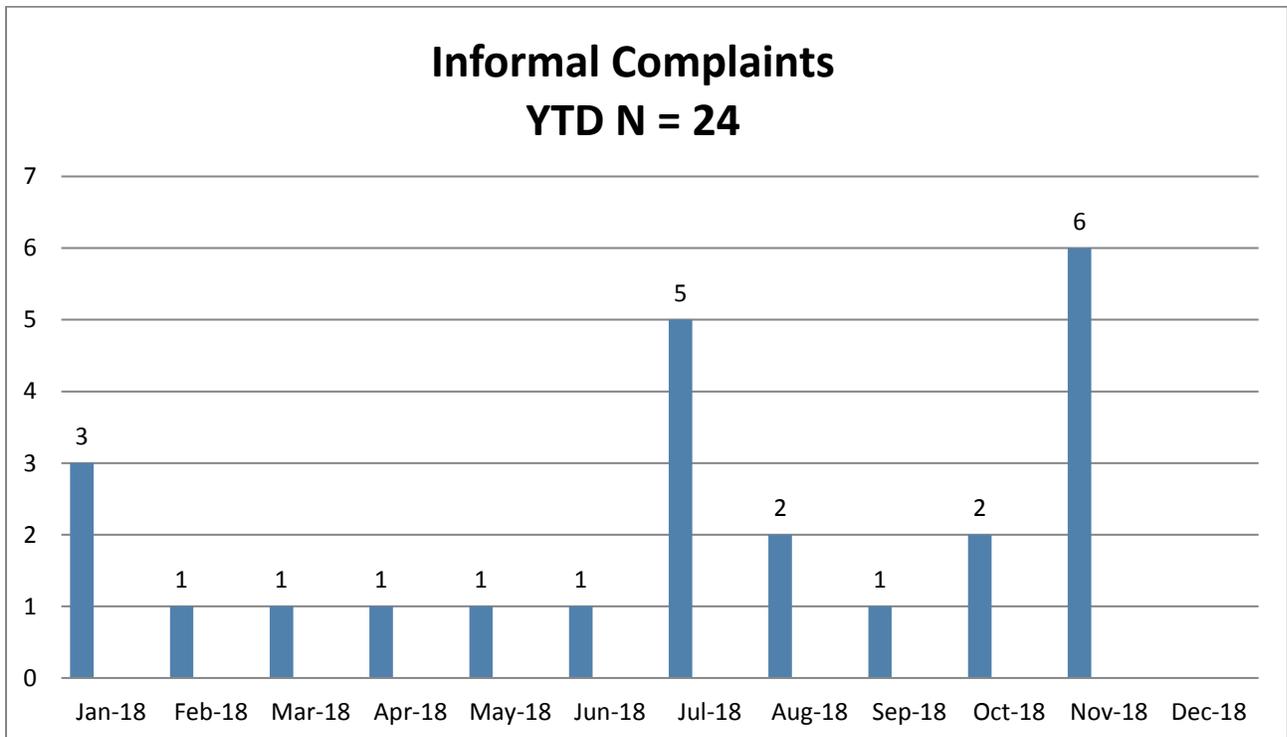
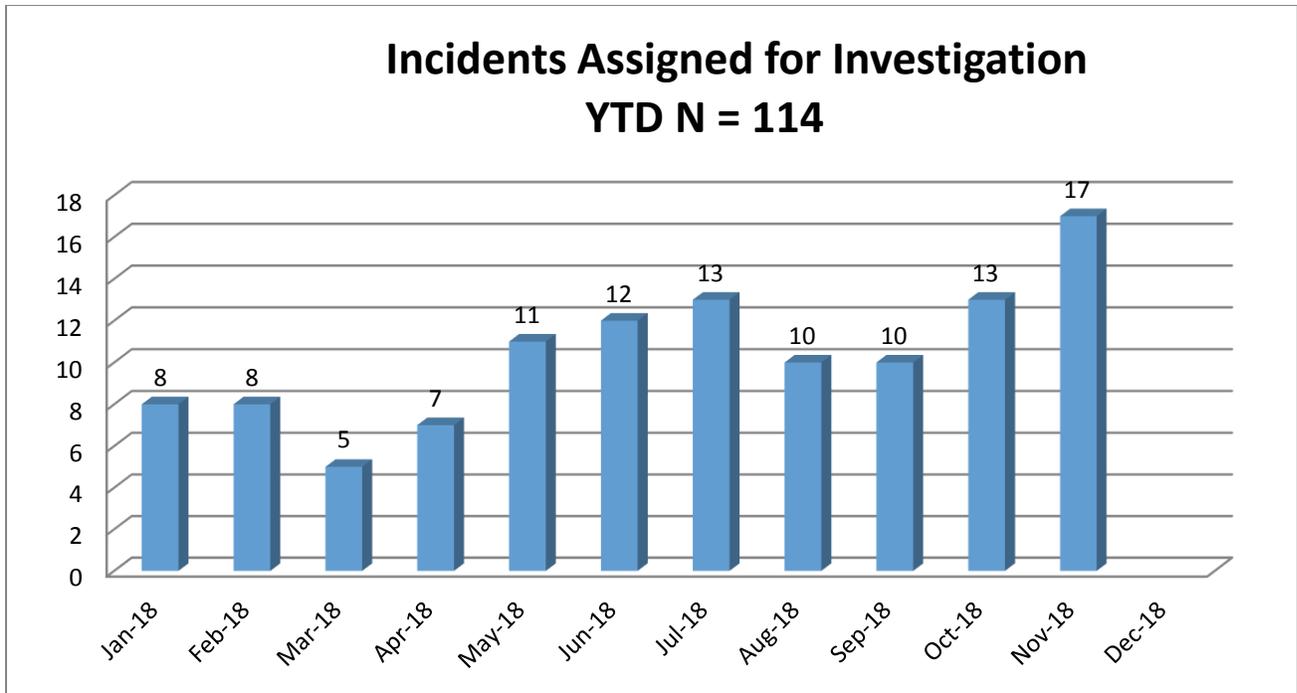
- **October 29, 2018:** A CPUC railroad safety investigator specializing in Operating Practices conducted a routine inspection of the Union Pacific Railroad Oroville yard. The purpose of the inspection was to verify compliance with Federal and State regulations. During this inspection, inadequate walkways, tripping hazards and other unsafe footing conditions were discovered. The CPUC railroad safety investigator noted that the size of the ballast in the walkways on track 527 was not in compliance with State General Order 118-A. There were also large river rocks in the walkway which created tripping hazards. Additionally, the railroad safety investigator discovered that the area around the derail switch on track 527 did not meet walkway standard No. 6 contained in State General Order 118-A. Railroad workers make switching moves on track 527 with flammable compressed gas tank cars several times a week. The trainmen must walk alongside these tank cars filled with hazardous materials while moving the cars to their spots to be unloaded. If a worker stumbled in the uneven walkway or tripped over the river rocks, they could be seriously injured by the fall or lose a limb or their life if they fell under or between these cars. State

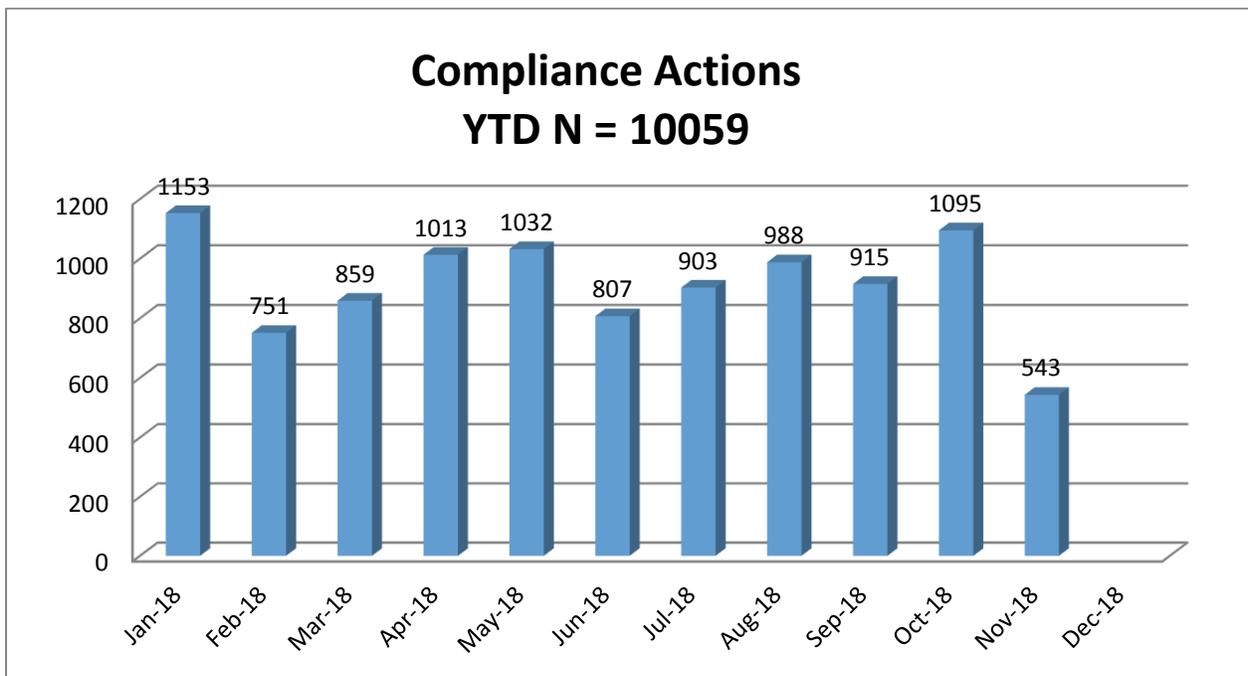
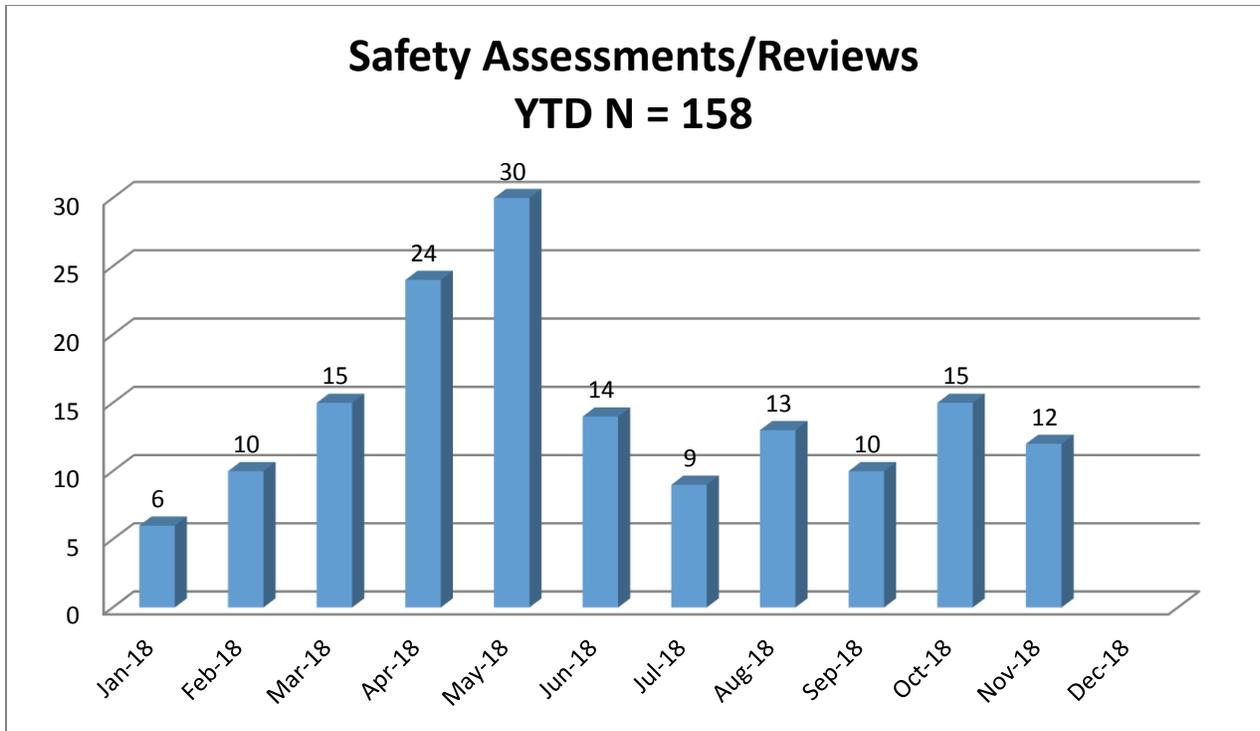
General Order 118-A **requires railroads to provide walkways with reasonable regular surfaces adjacent to tracks where employees are regularly on the ground to perform their normal trackside duties.** 118-A, walkway standard no. 6 requires that ballast within a radius of three feet for a minimum of twenty feet from a switch **“shall provide a reasonable regular surface with gradual slope not to exceed approximately one inch to eight inches.”**

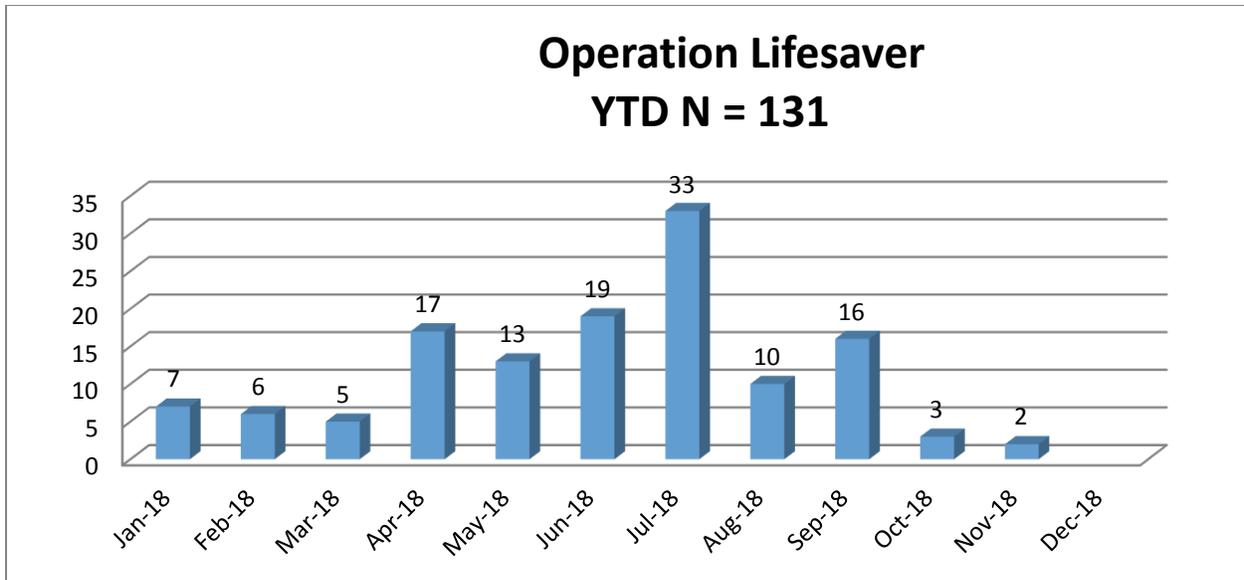
The derail switch closest to the tank car spot in the industry on track 527 had ballast which was not suitable for use as walkway ballast and large river rocks which created stumbling and tripping hazards not in compliance with State General Order 118-A.

The CPUC railroad safety investigator specializing in Operating Practices immediately contacted the Union Pacific Manager of Track Maintenance regarding the non-complying conditions. The MTM stated that he would have the conditions remediated by November 2, 2018. On November 9, CPUC railroad safety investigators, conducted a follow-up inspection of the defects outlined above on track 527. All defects which were reported had been remediated.

- **November 26, 2018:** A CPUC rail safety inspector conducted two Operation Lifesaver (OL) presentations for 62 professional bus drivers for MV Transportation in the City of Irvine, Orange County. The presentation consisted of two rail safety videos and a PowerPoint presentation on the rail safety hazards and how to avoid them. The drivers were engaged with the content of the presentations and the inspector answered questions from the drivers after the presentations were made.







OFFICE OF RAIL SAFETY

RAIL CROSSINGS AND ENGINEERING BRANCH - RCEB

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

	New	New YTD	Closed	Closed YTD
Crossing Incident Reviews	13	204	8	151
Safety Assessments/Quiet Zones/Reviews	29	367	28	366
Proceedings, Resolutions and G.O. 88-B Reviews	9	87	4	103
Operation LifeSaver Presentations	0	43	0	43

RAIL CROSSING INCIDENT INVESTIGATIONS

In November 2018, the Rail Crossings and Engineering Branch (RCEB) assigned 12 new incidents at highway-rail crossings, and one incident at a highway-LRT crossing. These 13 collisions resulted in three fatalities and eight injuries. RCEB completed five crossing incident reviews at highway-rail crossings and three incident reviews at highway-LRT crossings. These 8 collisions resulted in two fatalities and two injuries. RCEB will continue to monitor the crossings.

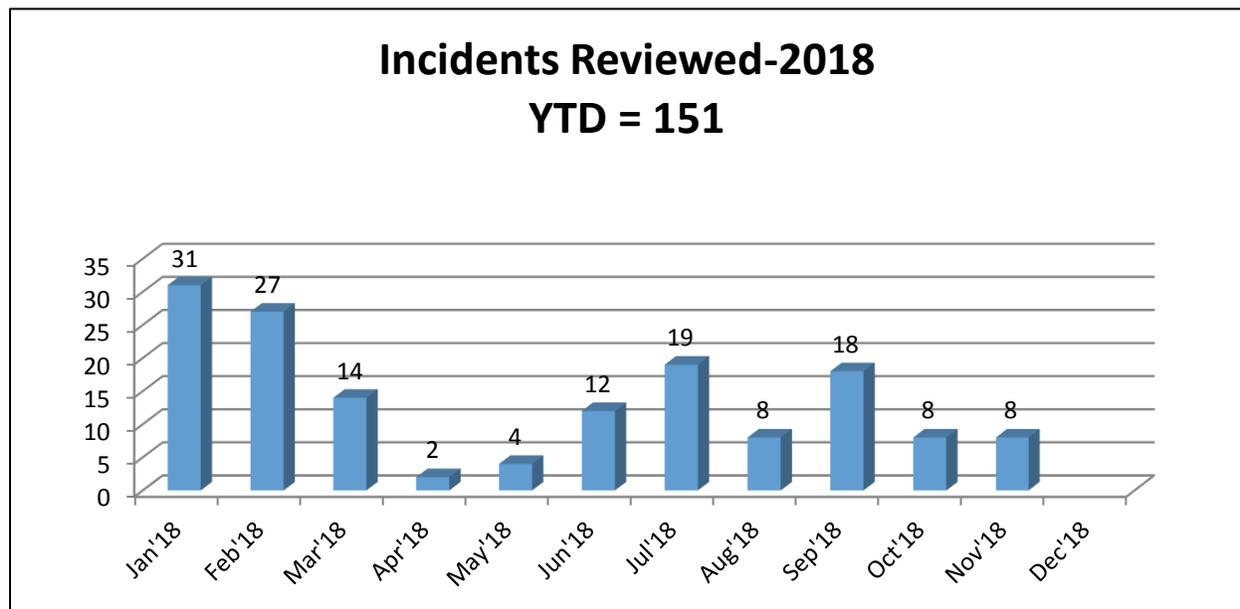
California Public Utilities Commission | Safety and Enforcement Division

- **INCR2017100023-INCX2107100011** – On October 6, 2017 at approximately 12:20 hours, a BNSF Train struck a pedestrian at the Madison Street grade crossing in the city of Riverside, Riverside County. The crossing has gate type warning devices. RCEB found that an eastbound train observed a pedestrian walking towards the Madison street crossing, southbound, with his head down and hand out as if he was looking at something in his hand. The engineer sounded the train horn, but the individual did not appear to hear the warning and continued walking onto the path of the train. The collision resulted in a fatality.
- **INCR2018010013-INCX2018010002** - On December 30, 2017 at 22:35 hours, a southbound Amtrak train struck an unoccupied vehicle at the E Street crossing of the North County Transit District - Coaster in the city of Encinitas, San Diego County. The collision resulted in property damage only. RCEB found that a motorist was driving east on E Street, when the motorist collided with a parked vehicle. The driver continued eastbound and stopped on the track. Deputies arrived and were able to safely remove the driver from the stopped vehicle before train collided with the vehicle. The driver of the vehicle was cited for driving under the influence and stopping on the tracks.
- **INCT2018090061-INCX2018090018** -On September 14, 2018, at 1715 hours, a Caltrain passenger train consist collided with a bicyclist at the 4th Avenue grade crossing in the City and County of San Mateo. According to the initial report, the bicyclist fouled an adjacent track while waiting for a train to clear and was struck by a second train. There were no injuries or fatalities reported at the time of the incident. The San Mateo County Sheriff Department and the San Mateo Police Department did not have records of the incident. ROSB determined that an investigation is not required by ROSB. RCEB did not have sufficient information to determine the circumstances of the incident.
- **INCR2018030080-INCX2018010013** - On January 29, 2018 at 10:01 hours a southbound light rail vehicle struck a small SUV at the intersection of Park Boulevard and G Street in City of San Diego, San Diego County. The collision resulted in property damage only. RCEB found that the southbound motorist along Park Boulevard started to make a right-turn traveling the wrong-way into eastbound traffic along the one-way G Street. After starting the right turn in error, the motorist attempted to make a U-turn to head eastbound. The southbound

LRV then struck the SUV. The motorist was from out-of-state. RCEB noted the presence of a through arrow sign on the light pole at right side of lane, an arrow marking in the lane, flexible delineators separating the track and travel lane, multiple turn prohibition signs, and a through green arrow on the traffic signal head.

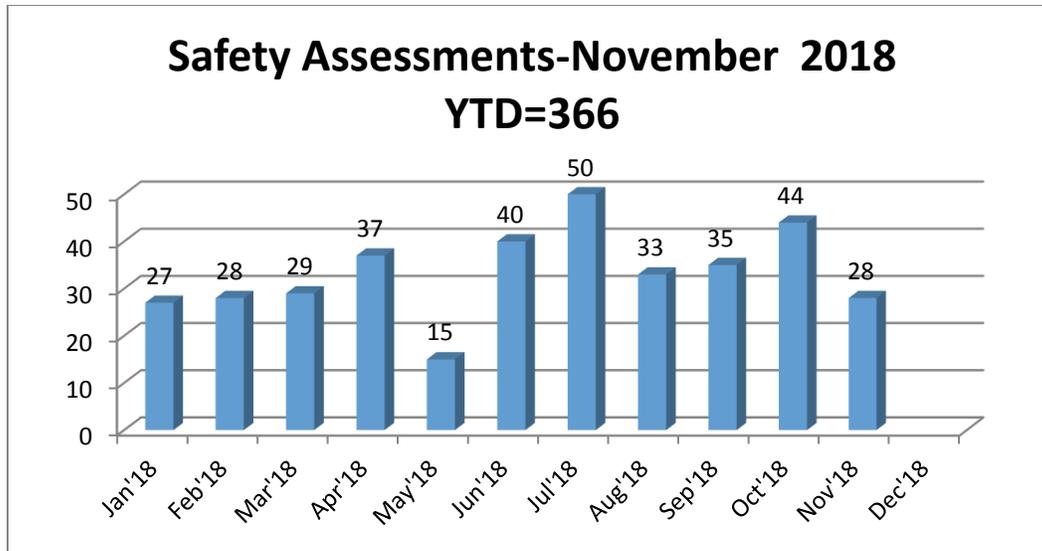
- **INCT2018010019-INCX2018010016** - On January 29, 2018 at 10:28 hours, a westbound light rail vehicle (LRV) struck a southbound pedestrian (wheelchair) along the north track at the crossing of Fifth Avenue in San Diego. RCEB found that the LRV stopped at the Fifth Avenue station, the person exited the train, then headed towards the west end of the platform. The pedestrian stopped, then proceeded subsequent to the termination of the countdown timer, and during the display of a steady red upraised hand. The LRV had a signal to proceed (green light). The presence of a wheelchair in front of or immediately adjacent to the LRV at the crossing cannot be observed by a train operator. The LRV then collided with the pedestrian resulting in injury. The person was transported to the hospital.
- **INCT2018030025-INCX2018030022**- On March 29, 2018, at 17:30 hours, a northbound SDTI light rail vehicle (LRV) struck a westbound pedestrian at the Island Avenue crossing in the City of San Diego, San Diego County. The collision resulted in an injury. RCEB found that the as the LRV entered the Park and Market station, the pedestrian moved from the west platform into the path of the LRV. The LRV came to rest 10 to 20 feet north of point of impact. Visibility of the westbound pedestrian may have been reduced due to sun glare.
- **INCR2018070058-INCX2018070020** - On August 23, 2018, at 17:08 hours, a Caltrain passenger train collided with a semi-truck at a private grade crossing in the City of Coyote, Santa Clara County. The initial report included property damage only. RCEB found that the Caltrain train struck the back end of the semi-truck. Police reports were not available and based on the FRA incident report, a Union Pacific maintenance truck was traveling southbound on the right of way as a southbound Caltrain passenger train approached the highway-rail crossing. The Union Pacific truck turned eastbound and entered the private crossing without stopping and looking for trains as required. The train then struck the Union Pacific truck.

- **INCR2018080087-INCX2018080019** - On August 30, 2018 at 16:15 hours, a northbound SMART train struck a pedestrian at the Rohnert Park Expressway grade crossing, in the City of Rohnert Park, Sonoma County. The collision resulted in a fatality. RCEB found that this incident occurred in Rohnert Park, not in the City of Petaluma as initially reported to the CPUC. According to the police report, the eastbound pedestrian was wearing full coverage headphones over both ears and walking with his head down as he approached the crossing. The train engineer/conductor stated that the pedestrian looked up and at the train at the last second prior to entering the track area but seemed to jump forward instead of jumping backward. The crossing is in a Quiet Zone, and the train conductor was sounding the train horn to warn the pedestrian. The engineer hit the emergency brake but was not able to avoid the collision. SMART is currently working on a sidewalk improvement project for the crossing.



SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

In November 2018, RCEB completed 27 rail-crossing safety assessments involving: communications, field inspections, and diagnostic reviews with railroads and local agencies. These activities review existing crossings and proposed changes to crossing warning devices. In addition to the 27 activities, a staff member participated in a Fundamentals of Railway Train Control and Signaling training at the University of Wisconsin. Staff learned base system architecture and function that are the foundations of signal and train control systems and Positive Train Control. ROSB and RCEB staff are working with Caltrans, BNSF, City of Escalon and the Federal Highway Administration in the implementation of an experimental project. The project requests authorization to install red pavement markings on the dynamic envelop to warn drivers at the Yosemite Avenue highway-rail at-grade crossing, in Escalon, to avoid stopping on the tracks. The project received approval to experiment from the California Traffic Control Devices Committee pending approval from Federal Highway Administration (FHWA) as well. On November 6, 2018, RCEB and Caltrans inspected the crossing to determine where to install the surveillance cameras and location of the motorist zones that will be used to measure and monitor the effectiveness of the pavement markings. The Caltrans research staff plans on using the services of UC Berkeley to conduct the study. Once the FHWA approves the request, Caltrans and CPUC will work with all parties to define the scope of work and time chart for implementing the project. The colorized dynamic envelop project is similar to the Florida project where the dynamic envelop was marked in yellow.



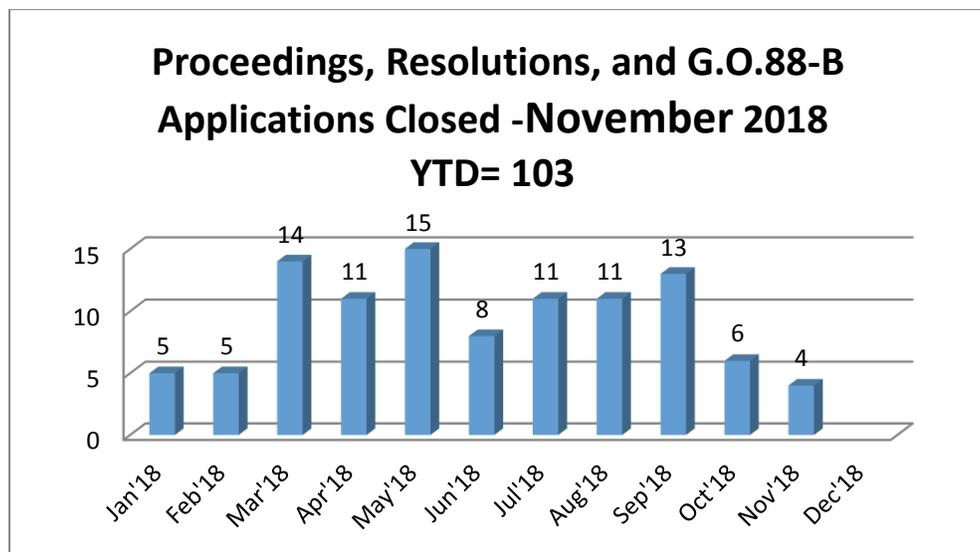
PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

In November 2018, RCEB staff assigned a Resolution and received eight new General Order 88-B applications for changes to existing crossings. This month, RCEB closed four proceedings including three formal proceedings with the ALJ and one General Order 88-B application.

- PROC A1804007**– On November 8, 2018 with D.1811008, the Commission authorized the Orange County Transportation Authority application (OCTA), A1804007, to construct six at-grade crossings in the Cities of Garden Grove and Santa Ana, in Orange County. OCTA requests authorization to construct two tracks of the Orange County Streetcar project at grade across N. Fairview St, N. 5th Street, N. Raitt Street, the intersection of Santiago and West Santa Ana Blvd and two at-grade pedestrian crossings at the Harbor and Santa Ana Regional Transportation Center stations. The authorization expires in three years on November 8, 2021.
- PROC A1805019**–On November 8, 2018, with D.1811013, the Commission authorized the California High Speed Rail Authority (CHSRA), A1805019, to construct two new grade separated crossings at Peach Avenue and Davis Avenue, in the County of Fresno. This section of the project is a closed corridor with a continuous 8-foot high welded wire mesh “Access Restricted” fence or barrier to prevent unauthorized access to the CHSRA right-of-way. In addition to the fence and barrier walls, the applicant proposes additional intrusion

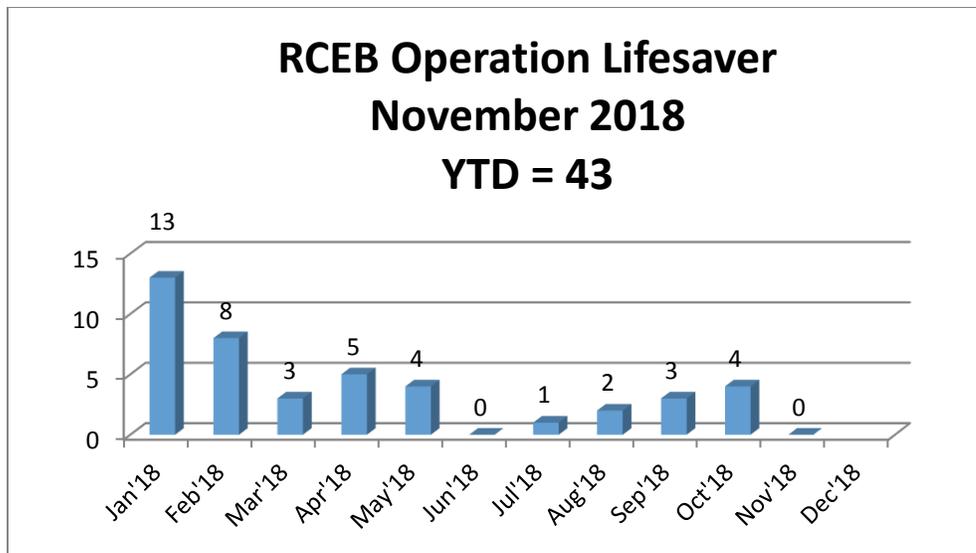
monitoring and detection measures. The authorization expires in three years on November 8, 2021.

- **PROC A1804005** – On November 29, 2018, with D.1811038, the Commission authorized the San Diego Association of Governments to construct two light-rail vehicle tracks grade separated above Campus Point Drive, in the City and County of San Diego. The grade separations are over the Mid-Coast Corridor Light-Rail Transit System. The authorization expires in five years on November 29, 2023.
- **GO 88B - XREQ 2018090004** – On November 15, 2018, staff accepted the request to withdraw the El Dorado County G.O. 88B application for authority to alter the Blanchard Road highway-rail crossing in El Dorado County. Staff will monitor and work with the applicant should changes to the crossing be planned by the county in the future.



OPERATION LIFESAVER INC.

In November 2018, RCEB Operation Lifesaver Inc. (OLI) volunteers did not share the OLI rail safety message. As time permits, staff participates in presentations, fairs, and community events to share the OLI rail safety message to the public and professional drivers.



RAIL TRANSIT - RTSB

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

CORRECTIVE ACTIONS PLANS

- Twenty-five (25) Corrective Action Plans (CAP's) were opened.
- Twelve (12) were closed.

INCIDENT INVESTIGATIONS

- Forty-two (42) incidents were reported by Rail Transit Agencies (RTA).³
- Twenty-five (25) incident investigations were closed.

MAJOR AUDITS

- A Triennial Safety and Security Review of North [San Diego] County Transit District (NCTD) was conducted in August. The review covered the twenty-one (21) System Safety Program

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

Plan and five (5) System Security Plan elements required by General Order 164-E and 49 CFR Part 659. In addition, Staff reviewed agency compliance with other General Orders, such as General Orders 172 and 175-A. Prior to issuing a draft report for comments, RTSB plans to meet with NCTD on December 19 to present Staff's findings and recommendations.

- RTSB and Bay Area Rapid Transit (BART) met on May 29 to discuss the BART Triennial Safety Review Draft Audit Report. The objective was to discuss any concerns BART may have with the draft. BART sent RTSB their comments on the draft report. RTSB incorporated most of these responses into its revised draft report. RTSB plans to place a proposed resolution to adopt the BART Triennial Safety Review Audit Report on an upcoming Commission meeting agenda. A draft of the proposed resolution and report are under managerial review.

ADMINISTRATIVE ACCOMPLISHMENTS

- **ROAR Committee Meeting:** On November 9, RTSB management and some staff attended the quarterly meeting of the Rail Operations and Regulatory (ROAR) Committee of the California Transit Association (CTA). ROAR Committee serves as CTA's rail operations liaison with the CPUC, California Department of Transportation (Caltrans), and the California Transportation Commission. ROAR Committee meetings provide a forum for the exchange of information concerning rail systems operation issues and regulatory matters.
 - The meeting was hosted by the Bay Area Rapid Transit District (BART) and held at the headquarters of the San Francisco Municipal Transportation Agency (SFMTA).
 - Topics discussed included:
 1. RTSB's revised Program Standard (Procedures Manual)
 2. FTA's Joint State Safety Oversight Agency (SSOA) and Rail Transit Agency (RTA) workshop held in Washington, DC in October.
 3. The new accident reporting requirements resulting from FTA issuing 49 CFR 674 and accordingly PUC revising and issuing General Order (GO) 164-E.
 4. Public Transportation Agency Safety Plans (PTASP). On July 19, 2018 FTA issued 49 CFR Part 673, which requires RTAs that receive FTA funding to adopt a PTASP, which must be approved by their SSOA (CPUC in case of California) no later than July 20, 2020.
 5. RTSB's plans to revise GO 143.

6. Transit Asset Management Plans as required by 49 CFR Part 625, issues by the FTA in July 2016.
 7. Other topics of common interest.
- **Training:** Salvador Herrera, Madeline Ocampo, and Michael Rose completed the Safety Management Systems (SMS) Principles for Transit.

PROCEEDINGS / RESOLUTIONS

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. A final Decision was issued on October 22 in the form of Decision Regarding Alleged Violations by San Francisco Bay Area Rapid Transit District Relating to the October 19, 2013 Fatal Accident (Decision 18-10-020). In part, the Decision imposed a total fine of \$1,348,000 against San Francisco Bay Area Rapid Transit District (BART). The Commission stayed half of the fine under that condition that “San Francisco (BART) remains in compliance with the directives in this Decision during the probationary period.” In accordance with the Decision, BART will be on probation for three years from the date of issuance. On November 16, BART filed an Application for Rehearing of the above referenced Decision. In its Application, among other arguments BART contends that the Decision exceeds the Commission’s jurisdictional authority and further that the Decision is unlawful, an abuse of discretion and a violation of BART’s right to due process. The filing also requests oral argument and that the Decision be suspended until the Application is decided. SED recommends denial of the Application in its response concluding the following: “The findings in D.18-010-020 are lawful and supported by substantial evidence in light of the whole record. Under Public Utilities Code Section

1757(a)(4) and for the reasons discussed...the Application for Rehearing in this proceeding should be denied in its entirety.”⁴

SAFETY CERTIFICATION AND OVERSIGHT OF RAIL TRANSIT AGENCY PROJECTS

- **AirTrain Extension Project:** On August 10, 2017, Resolution ST-205 approved the San Francisco International Airport’s AirTrain Automated People Mover (AirTrain) Extension Safety Certification Plan (SCP). The project expands the existing AirTrain system to include a new Long-term Parking (LTP) Garage Station and 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. Project culmination and start of revenue service is anticipated to take place in 2019. Staff plan to observe a vehicle dynamic test in early December.
- **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 four other requests for BART to place new vehicles into revenue service with its most recent dated November 13. Fifty 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.
- **BART Hayward Maintenance Complex Project:** On November 16, 2018, RTSB approved the first phase of this project, the Component Repair Shop, to commence operations.

⁴THE SAFETY AND ENFORCEMENT DIVISION’S RESPONSE TO THE APPLICATION FOR REHEARING OF THE BAY AREA REGIONAL TRANSIT DISTRICT: p. 11. Document filed on December 3, 2018 in the Investigation 16-06-010.

- **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 or Muni) 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.
 - Stations, Track, and Systems Update:
 - Chinatown Station - The inner structural shell of the platform and track crossover caverns has largely been completed. Multiple levels of floor slabs have been constructed inside the headhouse, working slowly toward the surface.
 - Union Square/Market St Station - The station platform has been completed, and interior walls and other structural elements continue to be installed. Crews have sprayed shotcrete against exterior walls on upper levels of the station and built emergency egress stairwells.
 - Yerba Buena/Moscone Station – Crews have begun installing granite art panels on Concourse. A large ventilation structure is being built at the surface of the station headhouse as the first major element of street-level construction.

- Surface, Trackwork and Systems – Along with the 4th-Brannan platform and OCS pole installation, sections of rail and track plinths, tunnels' emergency egress walkways and utility struts continue to be installed.
- **LACMTA P3010 New Vehicle Procurement Project:** LACMTA is in the process of procuring up to 235 new rail vehicles. These vehicles are intended to expand passenger capacity for the recently completed projects (Expo Phase 2 and Foothill Extension Phase 2) and the future LAX/Crenshaw line currently under construction. Staff continues to follow a recently revised approval process whereby Staff provide a conditional approval based on monthly review of the open item lists and the reports on vehicle test performance. Staff will recommend official approval to RTSB management after a successful review of the Car History Books (CHBs) in person.
- **LACMTA HR4000 Heavy Rail Vehicle Procurement:** LACMTA is in the process of procuring a base order of 64, with options for up to 282, new heavy rail vehicles (HRV) to provide for the future expansions of Regional Connector and Purple Line Extensions, and to replace the aging HRV fleet operating on the Red Line subway. Resolution ST-185 approved the procurement option. To date, there have been no vehicles delivered.
- **LACMTA Regional Connector Project:** Staff regularly attends LACMTA's monthly Fire Life Safety and Security Meetings, as well as Safety and Security Certification Review Committee (SSCRC) meetings and has approved a temporary shoofly track to allow tunnel boring to commence. The Regional Connector Project celebrated its 50% completion on May 19 with a "Halfway There!" community celebration that was free and open to the public.
- **LACMTA Purple Line (Westside) Extension Project:** LACMTA is currently extending the Purple Line. The Westside Purple Line Extension, previously named the Westside Subway Extension, extends service from the terminus at Wilshire/Western Station to Westwood (UCLA and Veteran's Administration Hospital). This extension will consist of nearly nine miles of heavy rail subway and seven stations. Tunneling of the first segment commenced on October 11th, 2018. As of October 22, 2018, the Tunnel Boring Machines (TBMs) have excavated approximated 62 ft. The first segment is approximately 9,670 ft in length, from

La Brea Blvd to Western Ave. The TBMs are anywhere from 35 to 95 ft underneath Wilshire Blvd.

- **LACMTA/MGLFECA Foothill Extension Phase 2B:** LACMTA and Metro Gold Line Foothill Extension Construction Authority (MGLFECA) have submitted the project's SCP. Resolution ST-194 provided approval for the document on January 19, 2017. Phase 2B alignment is from the current terminus of LACMTA Gold Line, Azusa Station, to the City of Montclair. It will traverse six cities with six new stations on 12.3 miles of light rail transit (LRT) at-grade track.
- **LACMTA Crenshaw/LAX Corridor Project:** LACMTA is constructing a new light rail transit line through the Crenshaw/LAX Corridor. The Line will travel 8.5 miles from the existing Metro Exposition Line at Crenshaw and Exposition Boulevards to the Green Line and will serve the cities of Los Angeles, Inglewood, El Segundo and portions of unincorporated Los Angeles County. The project is currently in the construction phase that Staff monitors via regular meetings. The review team has approved the Safety Certification Design Checklists. The next step is the SSCRC's verification of the Safety Certification Construction Checklists. The project is nearly 80% complete. However, the project has experienced significant delays and is an estimated 6 months behind schedule. An unofficial substantial completion date was rescheduled from May 1, 2019 to December 2019. While the forecasted revenue service date has been pushed from October 31, 2019 to May 2020.
- **Los Angeles Streetcar:** The Los Angeles Streetcar is a project that is advancing under the Los Angeles County Measure M funding. The preliminary design is proceeding despite the lack of LACMTA's identification for near term funding.
- **LAWA Automatic People Mover Project:** Los Angeles World Airports (LAWA), the governing body of Los Angeles International (LAX) and Van Nuys airports, is developing a multi-billion-dollar upgrade to the ground transportation system at LAX. The Landside Access Modernization Program (LAMP) includes a landside Automated People Mover (APM), a Consolidated Rent-A-Car (CONRAC) facility, multiple Intermodal Transportation Facilities (ITFs), and a comprehensive network of roadway improvements. The APM system will feature the design and construction of an approximate 2.25-mile-long, elevated dual-lane

guideway, consisting of six stations. Three stations will connect new rental car, airport parking, and Metro facilities to the airline terminals. Three stations in the Central Terminal Area will provide fast and easy connections to nine airline terminals with a pedestrian walkway system.

- The Commission approved Resolution ST-212 on October 11, 2018. This Resolution adopted LAWA's Safety and Security Certification Plan.
- **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. On November 30, FTA granted OCTA their full funding grant agreement (FFGA) for the OC Streetcar project. Revenue service is scheduled to commence in 2021. 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 November 28, Staff authorized SFMTA to place four more LRV4 cars into revenue service. A letter from RTSB management will soon be sent to SFMTA that authorizes entry of four additional certified cars into revenue service.
- **San Diego Trolley, Inc. (SDTI) Mid-Coast Corridor Project:** The San Diego Metropolitan Transit System's (SDMTS) 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. Commission Resolution ST-217 formally accepts the SDMTS LRV Procurement SCP and was approved on October 11, 2018. Car Nos. 5001-5003 are currently on-site at the SDTI Yard and are undergoing static tests. Staff will be participating in the acceptance testing throughout the procurement process.

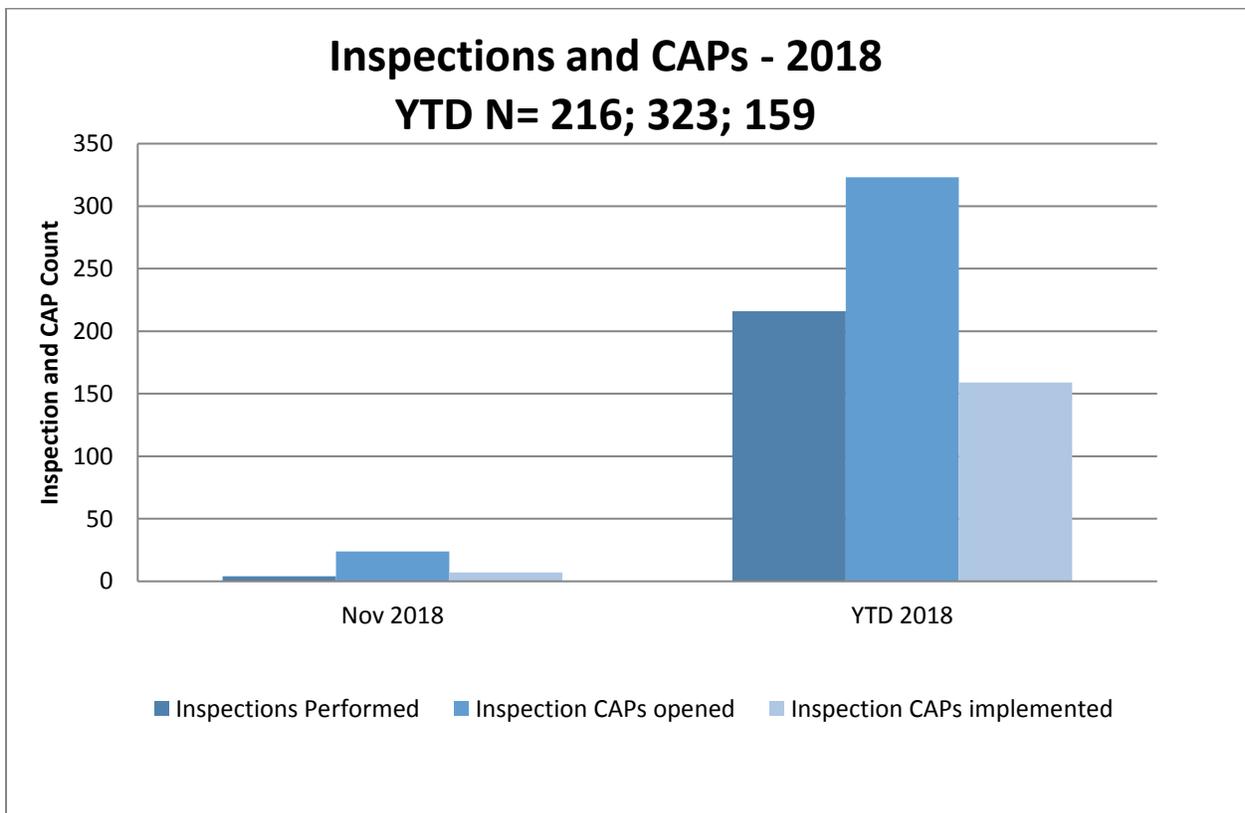
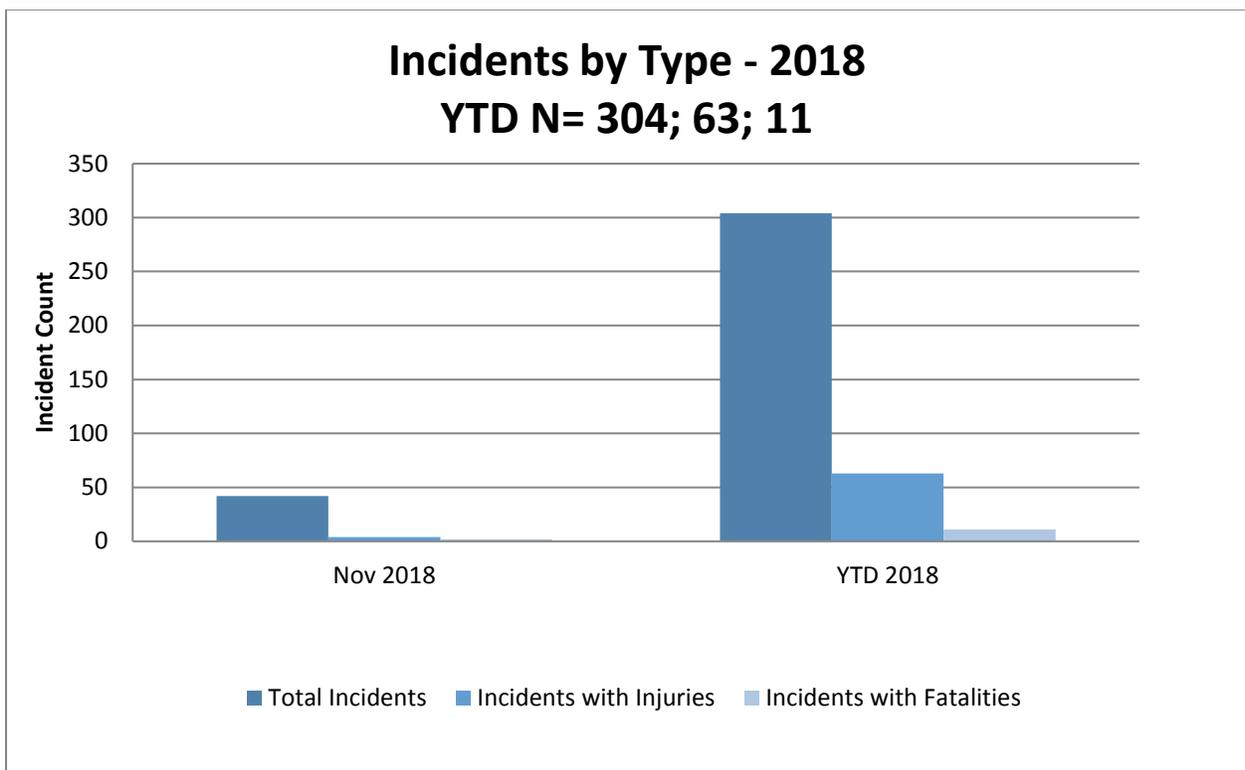
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STATISTICS SUMMARY

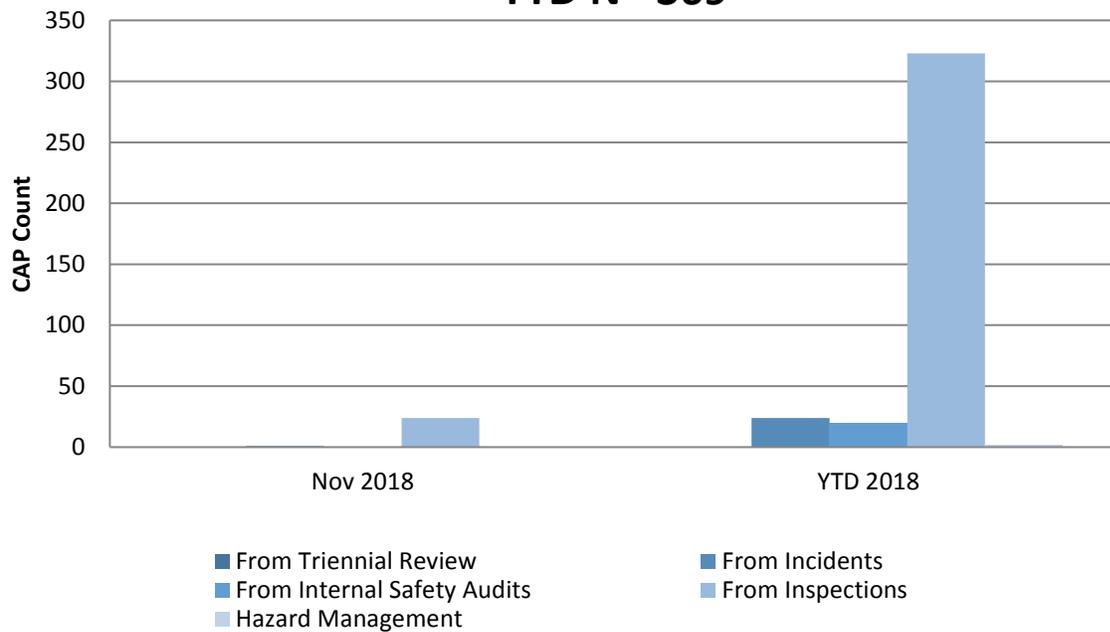
Investigations for Month		YTD 2018
Incidents Reported	42	304
Incident Investigations Closed	12	378
Complaints Investigated	0	3
Rail Transit Inspections	4	216
Triennial Review	0	3

		YTD 2018
New Corrective Action Plans	25	369
From Triennial Review	0	0
From Incidents	1	24
From Internal Safety/Security Audits	0	20
From Rail Transit Inspections	24	323
From Hazard Management	0	2
Closed Corrective Action Plans	12	177
From Triennial Review	0	8
From Incidents	4	6
From Internal Safety/Security Audits	1	6
From Rail Transit Inspections	7	157
From Hazard Management	0	0

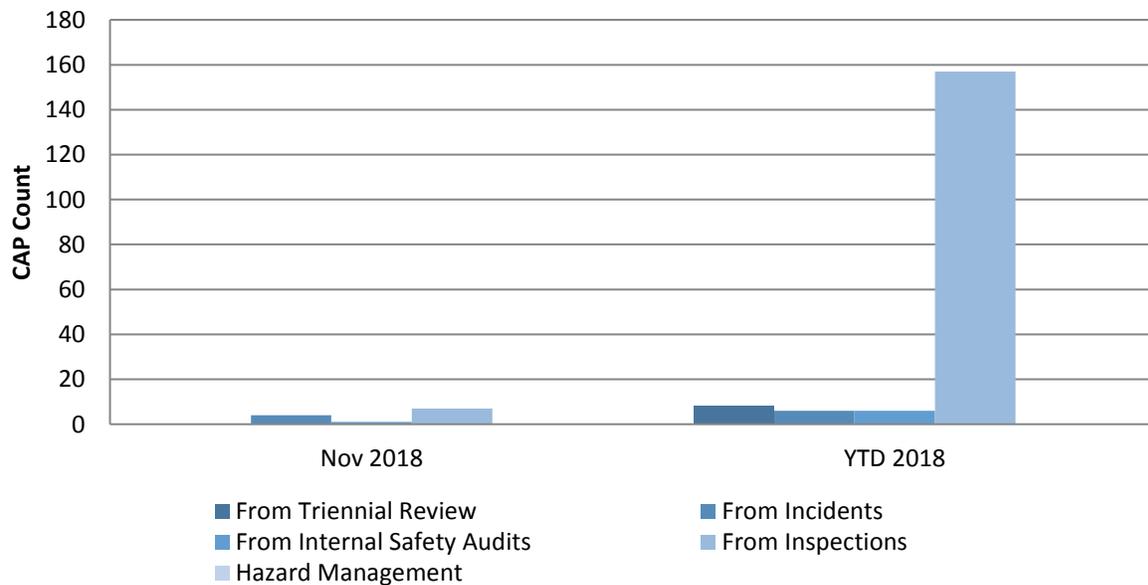
ONGOING DATA / TRENDS



Corrective Action Plans Opened - 2018 YTD N= 369



Corrective Action Plans Implemented - 2018 YTD N = 177



CORT MONTHLY REPORT

In California during the month of November:

- The railroads moved 5 trains with 500 crude oil cars via unit train
- Via manifest train the railroads moved 90 crude oil cars

During the month of November Five (5) 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 lite from New Mexico. These trains were spotted by the San Joaquin Valley Railroad (SJVR) originating from their yard in Bakersfield.

For the month of December, ten (10) crude oil trains are expected, and of the ten (10) two (2) are expected to be lite, and eight (8) heavy crude, none of which are Bakken crude.

The SJVR also spots unit trains for **Kern Oil** which is a refinery operating in Bakersfield. The management at Kern Oil cancelled their November train due to inventory concerns. Kern is expecting one train next month originating in New Mexico.

Delta Trading is a trans-loading facility located in Bakersfield where California oil cars are moved by manifest train. Their cars are loaded in Natrona, Wyoming after the oil is piped across from Canada. The SJVR also spots cars at this facility the crew picks up the cars in their Bakersfield Yard and moves them to two (2) holding tracks outside the facility until needed. In the month of November Delta processed 90 crude oil cars.

IN OTHER NEWS

Some Team members will be traveling to San Ardo (Wunpost) in the first week of December to witness an end of an era, the running of the last oil unit train from the facility. As previously noted the oil unit car trains are coming to the end of their forty (40) year life and will be retired. The facility has chosen due to cost not to replace the cars coming out of service at the end of the year.



CORT Team at San Ardo Facility

For the month of November:

- A total of five (5) crude oil unit trains entered California with none of them containing Bakken crude
- A total of 90 individual tank cars of crude oil were received, none of them containing Bakken crude