

# Safety and Enforcement Division



**Monthly Performance Report,**

**October 2016**

**2015 Safety Action Plan Deliverable #1**

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## Disclaimer

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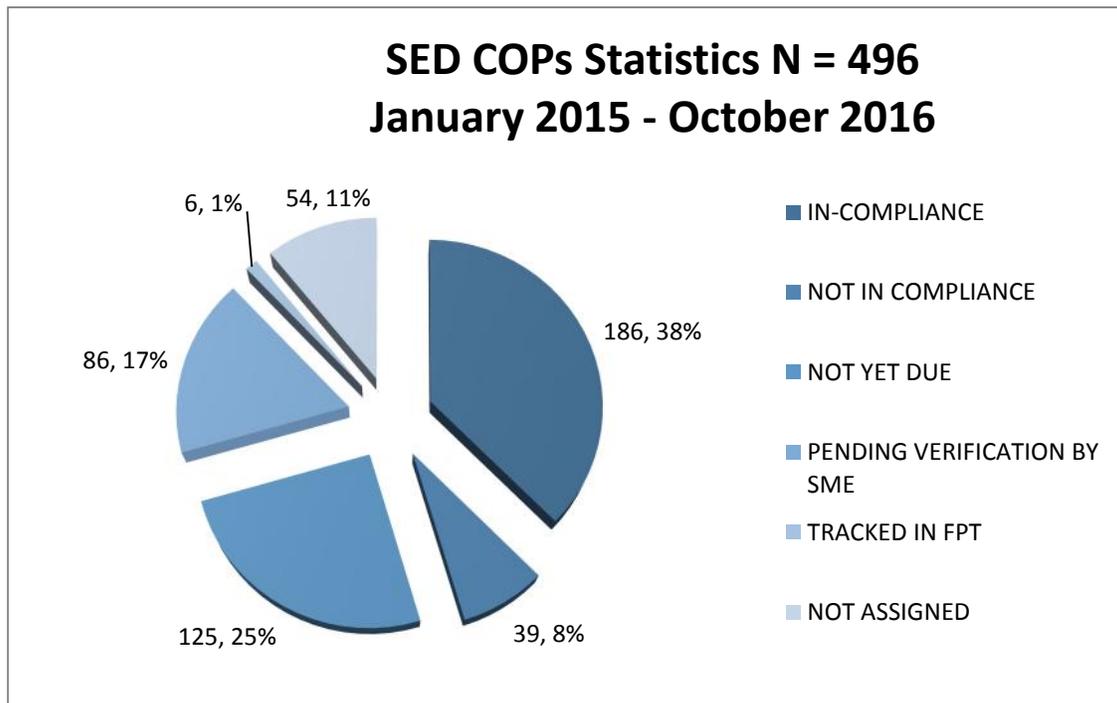
This Report has not been approved or disapproved by the CPUC.

## COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

With the launch of the Commission’s Compliance with Ordering Paragraphs (COPs) effort in January 2015, SED is including our program-to-date summary statistics. Although the Transportation Enforcement and Utility Enforcement branches are no longer part of SED, the COPs statistics still bundle entries for those branches in with other Safety COPs. SED has requested the data base be reconfigured to provide a separate accounting.

Through October 31, 2016, SED shows 496 total entries in the COPS system; with 186 reaching compliance (38%), 125 (25%) not yet due for compliance, and 39 (8%) currently remaining out of compliance. During October 2016, there were eleven (20) new entries into the COPS system, which are reflected in the totals below. Looking just at the January-September 2016 period, there were 279 new COPs entries, with 95 in compliance (34%); 17 not in compliance (6%); and 27 not yet due (10%); the remainder are awaiting assignment.

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



## NATURAL GAS SAFETY PROGRAM

### STAFF CITATION PROGRAM

| Citation Number              | Work Type     | Utility   | Amount      | Violations | Date Cited | Status |
|------------------------------|---------------|-----------|-------------|------------|------------|--------|
| <b>ALJ 274<br/>16-03-001</b> | Investigation | PG&E      | \$200,000   | 192.805    | 3/29/2016  | Paid   |
| <b>ALJ 274<br/>16-05-001</b> | Inspection    | SoCal Gas | \$2,250,000 | 192.465(d) | 5/13/2016  | Paid   |

As authorized by ALJ Resolution-274, SED Staff has citation authority for the enforcement of safety regulations for violations by Gas Corporations of General Order 112 and Title 49, Parts 191, 192, 193 and 199 of the Code of Federal Regulations.<sup>1</sup>

### INSPECTIONS

- **2016 Inspections:** We have conducted 79 scheduled inspections in Q1, Q2, & Q3, and have completed the final inspection report for 29 of these 79 inspections during 2016.

### INCIDENT INVESTIGATIONS

As of October 31, 2016, GSRB Staff received 149 incidents year to date. All pre-2015 incident investigations have been completed. Metrics on 2015 Incident Investigations:

| TOTAL reported in 2015 | 191 | Percent |
|------------------------|-----|---------|
| <b>Open</b>            | 7   | 4 %     |
| <b>Closed</b>          | 184 | 96 %    |

The CY 2016 incidents<sup>2</sup> are categorized as follows:

- 123 – Level 1 incidents
- 13 – Level 2 Incidents
- 6 – Level 3 Incidents
- 7 – Level 4 Incidents

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

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

The CY 2015 incidents are categorized as follows:

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

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

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At the end of each year, the SIV process owner will conduct an annual review, which includes a trend analysis of systemic issues, determination of investigation effectiveness, and possible revision of investigation criteria. There were ten self-identified violations in October 2016.

### NATURAL GAS RELATED PROCEEDINGS

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- **Distribution Record Keeping (I.14-11-008) (Commissioner Peterman/ALJ Bushey) (Advocacy):** The Presiding Officer’s Decision was issued on June 1, 2016, with comments due on July 1, 2016. On July 1, 2016, SED submitted an appeal of the Presiding Officer’s Decision, dated June 1, 2016 (“POD”). SED recommends that its initial penalty assessment be adopted. However, if not, then SED recommends modifications to the POD, harmonizing its assessment with the POD’s analysis.
- **Gas Safety OIR (R.11-02-019) (Commissioner Florio/ALJ Bushey) (Advisory):** Decision 15-06-044 Adopting Revised General Order (GO) 112-F signed by the Commission at its June 25, 2015, Commission Meeting. GO 112-F in Attachment A of D.15-06-044 is effective June 25, 2015; except that as to Sections 105, 122, 123, 125, 142, 143, 144, 145, and 162, the gas operators shall comply with these sections as soon as feasible but no later than January 1, 2017, unless compliance is extended for a particular provision pursuant to Rule 16.6 of the Commission’s Rules of Practice and Procedure or its successor. R.11-02-019 was closed in June 2015, however, it was re-opened on an application for rehearing of the June 2015 decision, still pending.
- **Citation Program OIR (R.14-05-013) (President Picker/ALJ Burcham) (Advisory):** The current status of R.14-05-013 is “closed”. 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 issued under the gas and electric safety citation programs should be adopted.
  - Both the gas and electric safety citation programs should be modified to make utility reporting of self-identified potential violations voluntary.
  - Under the modified rule, we will not require the utility to notify city and county officials of a self-identified potential violation unless staff requires it.

- **Sempra Pipeline Safety Enhancement Program (A.14-12-016) (Commissioner Peterman/ALJ Mason) (Advisory):** This proceeding deals with disposition of expenses in the balancing account for pipeline safety work. A proposed decision was issued September 9, 2016, with comments and replies filed within 30 days. Intervenors (ORA, The Utility Reform Network (TURN), and the Southern California Generation Coalition (SCGC)) urged the Commission to abate the precedential value of its resolution of this first PSEP after-the-fact reasonableness review and challenged the legal and factual basis of the PD. In reply, the Applicants SoCal Gas and SDG&E asserted that Intervenors ignored not only the benefits of the precedential value of the Commission’s decision – but also the substantial evidence presented by Applicants and relied upon by the PD. Also, TURN stated that the Commission should deny rate recovery of the PSEP-Specific Insurance Costs due to the Utilities’ failure to make any showing of reasonableness and should direct that High Pressure Distribution Costs are to be allocated based on peak month or peak day demand consistent with the functional allocation set forth in the Utilities’ direct testimony.
- **Sempra Pipeline Safety Enhancement Program (A. 15-06-013) (Commissioner Picker/ALJ Mikita) (Advisory):** This proceeding addressed the SoCalGas and SDG&E application for authorization to proceed with Phase 2 of their Pipeline Safety Enhancement Plan and establish Memorandum Accounts to record Phase 2 costs. The application was approved (D. 16-08-003) on August 18, granting the applicants’ unopposed request for memorandum accounts and adopting SED Staff’s proposal for an interim rate increase subject to refund. A long-term schedule for subsequent filings was also adopted. The proceeding would remain open to address the deferred maintenance projects due to the unavailability of the Aliso Canyon Storage.
- **Mobile Home Parks Pilot Program (Implementing D.14-03-021):** This decision established a three-year pilot program authorizing each California investor-owned utility to convert 10% of master-metered gas and/or electric Mobile Home Park spaces within its operating territory to direct utility service. The Pilot Program began on January 1, 2015, and will continue through 2017. No significant updates for October.
- **OIR (R.16-07-006) Commissioner Randolph/ALJ Wildgrube):** The Order Instituting Rulemaking on the Commission’s Own Motion to Revise General Order 58A to Comply with Decision 14-01-034 was issued on July 20, 2016. The Joint Utilities addressed the proposed changes to GO 58A and provided some suggested edits to improve clarity or consistency with earlier legislation and prior Commission decisions. ALJ Wildgrube requested that SED review and provide him advisory support on the Joint Utilities “Simplified Proposal” found in the Opening Comments of San Diego Gas & Electric Company (U 902 M), Southern California Gas Company (U 904 G), Pacific Gas and Electric Company (U 39 G) and Southwest Gas Corporation (U 905 G) on Order

Instituting Rulemaking on the Commissioner’s Own Motion to Revise General Order 58A to Comply with Decision 14-01-034. On September 7, 2016, SED provided ALJ Wildgrube comments on the Joint Utilities “Simplified Proposal.” SED’s comments are currently being reviewed by ALJ Wildgrube.

## ELECTRIC SAFETY AND RELIABILITY PROGRAMS

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

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

- Received 12 electric incidents and closed three previously reported electric incidents;
- Investigated 15 customer safety and reliability complaints;
- Performed two Electric Distribution audits;
- Performed one Electric Transmission audit;
- Performed one Substation audit; and
- Issued three Notice of Violation (NOV) letters.

**Metrics for Facility Incident Investigations as of October 31, 2016**

| Electric and Communication Facilities            | Level 1 | Level 2  | Level 3  | Level 4  | Total <sup>3</sup> |
|--|---------|----------|----------|----------|--------------------|
| <b>Total open incidents</b>                      | 8       | 21       | 31       | 41       | 101                |
| <b>Total incidents reported in 2016</b>          | 14      | 21       | 28       | 30       | 93                 |
| <b>Total incidents closed in 2016</b>            | 11      | 10       | 16       | 17       | 54                 |
| <b>Total open 2016 incidents</b>                 | 8       | 18       | 25       | 27       | 78                 |
| <b>Incidents reported in October 2016</b>        | 0       | 1        | 5        | 6        | 12                 |
| <b>Incidents closed in October 2016</b>          | 0       | 2        | 1        | 0        | 3                  |
| <b>Average closure time of incidents in 2016</b> | 79 days | 284 days | 192 days | 204 days | 170 days           |

### ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS

<sup>3</sup> Level 1: A safety incident that doesn’t meet Level 2, 3, or 4 criteria. Level 2: Incident involved a power interruption not due solely to outside forces. Level 3: Incident involved damage estimated to exceed \$50,000 and caused, at least in part, by the utility or its facilities. Level 4: Incident resulted in a fatality or injury requiring hospitalization and that was caused, at least in part, by the utility or its facilities.

- **Investigation into Incident (I.16-07-007) (Commissioner Picker/ALJ Cooke)(Advocacy):** On July 15 and July 30, 2015, fires and explosions in underground electric vaults caused power outages that affected thousands of Long Beach customers for several days. On August 15, 2015, another fire occurred in an underground vault with additional outages. After ESRB's investigation and upon SED's recommendation, the Commission adopted an Order Instituting Investigation on July 14, 2016. On September 6, 2016, the Commission held a prehearing conference, and on September 21, 2016, the assigned commissioner issued a scoping memo outlining the schedule and other matters related to this OII. The schedule opened a Discovery period from November through January 2017, with the potential for evidentiary hearings in February.
- **Investigation into Incident (I.15-11-006) (Commissioner Randolph/ALJ Kim) (Advocacy):** A subcontractor was fatally injured in a Southern California Edison underground vault in Huntington Beach. ESRB has undertaken discovery and is discussing a possible settlement in this proceeding.
- **Fire Safety Rulemaking (R.15-05-006) (Commissioner Florio/ALJ Kenney) (Advocacy):** D.16-05-036 adopted Fire Map 1, which depicts areas of California with an elevated hazard for the ignition and rapid spread of fires. In July 2016, assigned Commissioner Florio issued an amended scoping memo and ruling directing the Fire Safety Technical Panel (FSTP) to hold workshops to develop a work plan for creation and adoption of Fire Map 2. Parties filed a work plan on October 7, 2016. An ALJ Ruling dated October 24 indicated that the Commission is expected to mail a proposed decision on the Fire Map 2 Work Plan later this year.
- **Applicability of Right-of-Way Rules to CMRS Carriers (R.14-05-001) (Commissioner Randolph/ALJ Kenney) (Advocacy):** D.16-01-046 adopted GO 95 amendments to provide Commercial Mobile Radio Service (CMRS) carriers with nondiscriminatory access to public utility infrastructure, including poles. The decision closed the proceeding. ESRB has updated GO 95 to incorporate the adopted changes and will undertake other follow-up work directed by the decision.
- **Petition to Repeal GO 95, Rule 18 (P.16-05-004) (President Picker/ALJ Kenney) (Advocacy):** On May 9, 2016, SED filed a petition for a rulemaking to consider repeal GO 95, Rule 18, because it compromises the minimum safety standards that GO 95 provides. On October 6, 2016, the assigned Commissioner issued a Proposed Decision (PD) that would institute a rulemaking to consider amendments to Rule 18. The matter is set for consideration by the Commission in December.
- **Physical Security of the Electric System (R.15-06-009) (President Picker/ALJ Kelly) (Advocacy):** Phase I will address physical security for electric supply systems, and additional phases will address disaster and emergency preparedness plans for electrical corporations and regulated water companies. On October 11, 2016, the ALJ issued a ruling directing parties to address six questions posed by the Assigned Commissioner at the PHC. SED did not file comments. ESRB is waiting for a scoping memo or further guidance in the proceeding.

- **Electric Storage Procurement (R.15-03-011) (Commissioner Peterman/ALJ Cooke) (Advisory):** ESRB continues to provide advisory support to help determine best practices related to energy storage, and the proper way to inspect such facilities. A set of inspection protocols was issued for review by the ALJ on September 29, 2016, who sought comment on whether Commission general orders need to be revised to include the protocols. On October 24, 2016, SCE, SDG&E, Green Power Institute and PG&E filed comments recommending not to have a new general order to cover a preliminary commission inspection checklist for energy storage facilities. ESRB is currently reviewing comments.
- **Distributed Energy Resources (R.14-08-013) (President Picker/ALJ Allen) (Advisory):** ESRB continues to review the issues and provide advisory support. On October 21, 2016, the Assigned Commissioner filed a ruling on the scope of Track 3
- **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. Additionally, this bill requires the Commission (for electrical corporations) or the governing board (for publicly owned electrical utilities or electrical cooperatives) to review and to accept, accept provisionally, or reject the submitted plans. ESRB will begin planning next steps for the Commission’s consideration.
- **Resolution E-4791:** Adopted in May 2016, this resolution authorized expedited procurement of storage resources to ensure electric reliability in the Los Angeles Basin due to limited operations of Aliso Canyon Gas Storage Facility. Southern California utilities have since filed several advice letters seeking approval for contracts under this initiative. ESRB will follow, review and evaluate all documents related to safety.

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

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- **Caltrain Modernization Project:** ESRB, Rail Safety, Energy Division, and staff from Legal have worked with Caltrain and other parties to develop safety rules regarding Caltrain’s proposed 25 kV electrification project between San Jose and San Francisco. On October 7, 2016, SED served a Draft Resolution SED-2 with attached proposed rules. Comments were due by October 27, 2016, with reply comments by November 1, 2016. SED has reviewed the comments and reply comments, and will modify the resolution in time for its consideration at the Commission’s November 10, 2016 meeting.
- **Transmission Maintenance Coordination Committee (TMCC):** TMCC is an advisory committee to help the CAISO develop, review and revise Transmission Maintenance Standards. ESRB is a member and attends quarterly meetings.
- **Utility Diagnostic Testing:** ESRB surveyed the three largest investor owned utilities regarding the types of diagnostic testing and inspections they perform on distribution system switches, transformers and capacitors. ESRB’s report will compare the utilities’ practices to national best practices and industry standards. The draft report is in internal review.

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

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

- Investigated 10 forced or planned outages at power plants (all through phone calls and email inquiries).
- Completed the draft report of the Colusa power plant audit, and conducted an on-site audit of the Walnut Creek power plant. Continued to monitor and track corrective actions of two plants (Redondo Beach and Los Esteros) for compliance with GO 167 requirements.
- There were no safety incidents reported. Please see the 2016 year-to-date incident statistics in the table below.

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

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

**UTILITY RISK ASSESSMENT AND MANAGEMENT**

**REVIEWING SAFETY & RISK IN GENERAL RATE CASES**

On September 1, Southern California Edison filed its application for the Test Year 2018 General Rate Case (A.16-09-001). SCE seeks authority for a total base revenue requirement of \$5.555 billion, with an increase in TY 2018 of \$313 million (5.5%) over currently authorized base rates.

<sup>4</sup> Level 1: A safety incident that doesn't meet Level 2, 3, or 4 criteria. Level 2: Incident that occurred during an Electric Alert, Warning or Emergency (AWE). Level 3: Incident resulted in a significant outage that was due, at least in part, to plant equipment and/or operations. Level 4: Incident resulted in a fatality or injury requiring hospitalization and was caused, at least in part, by plant equipment and/or operations.

Within this request, SCE is seeking authorization for substantial amounts attributed to projects and programs that it claims are meant to improve safety and reliability of electric operations. Because this GRC was not fully incorporated into the new Safety Model Assessment Procedure (S-MAP), SCE was not obligated to file a Risk Assessment Mitigation Phase (RAMP) in advance, but the utility claims to have addressed RAMP elements and risk management in its testimony.

The utility has identified safety risk drivers and possible adverse safety outcomes associated with many of its planned spending activities, but did not provide an explicit listing of its top risks, how those risks were prioritized, or much analysis of the mitigation projects and alternatives associated with them – as will be expected in future RAMP filings.

Major categories of capital spending that SCE is seeking (for 2016-2020 period) include:



Among several categories of Operations & Maintenance expenses listed in testimony, SCE identified about \$123 million for overhead and underground facility maintenance in TY 2018, which evidently includes vegetation management to reduce risks of wildfires.

This is by no means a complete list of major works, and the way that SCE compiled the data makes it initially difficult to sort out duplication and overlaps in spending, or to directly associate planned spending with safety improvements (not just reliability improvements).

In late October and early November, the utility held three days of workshops to review its GRC plan, with emphasis on aspects of grid modernization, risk & safety and its pole loading and replacement programs. However, the workshops did not provide insight into how SCE's risk-related spending requests were determined.

SED Risk staff has issued numerous data requests to obtain more precise risk spending information, which it will use to draft an evaluation report by January 31, 2017. In this report, staff will be analyzing the filing and testimony:

- To evaluate how well SCE's risk management program matches their S-MAP process and Commission RAMP guidance (as per D. 14-12-025 and D.16-08-018);
- To assess the GRC spending request for risk-related safety improvements, mitigations and alternatives;
- To review specific, identified areas of significant safety concern (i.e., aging infrastructure, generation assets, training, pole loading and distributed resources);
- To identify any "acute" safety issues that should receive attention outside of the GRC.

The Commission also held a prehearing conference on October 25. A scoping memo to establish a schedule for the proceeding is pending.

### CLIMATE CHANGE ADAPTATION IN THE GRC

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SCE does not specifically break out Climate Change as one of its identified risks, although several of its infrastructure replacement and upgrade projects may be considered to contribute to mitigation of climate change impacts, or as ways to adapt to expected changes in weather, sea-level or energy consumption that are expected to accompany changing climate patterns.

To better understand utility efforts, SED staff issued a data request seeking further explanation of programs and expenditures that may be related to climate adaptation (SED-SCE 001, Q.10).

In its response, SCE highlighted three programs and initiatives "that SCE engages in to plan for, mitigate, and respond to extreme weather events that could be considered climate change related:

- SCE uses an all-hazards approach, has partnered with the Department of Energy as part of their Partnership for Energy Sector Climate Resilience, launched an internal climate change Initiative, and considers weather related events within enterprise risks to plan for climate change related events.
- SCE has a vegetation management program to mitigate climate change related events such as wildfires and droughts.
- SCE has implemented the Incident Command System to respond to emergency events."

The utility also described its efforts planning, training, drills, exercises and activations for hazards arising from environmental changes that include wind storms, rotating outages, El Nino, and wildfires. In 2016, SCE invited more than 150 infrastructure providers and public sector response entities to participate in a roundtable discussion dedicated to climate change issues (see testimony, SCE 07, Vol. 01).

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In July 2015, SCE joined 16 other utilities to voluntarily participate in a U.S. DOE Partnership for Energy Sector Climate Resilience, aimed at enhancing energy security by improving the resilience of energy infrastructure against the impacts of extreme weather and climate change.

One outcome, according to SCE, was creation of an Adaptation Planning tool that layers climate-impact maps over SCE’s energy infrastructure. This tool allows SCE to draw conclusions from climate projections across the entire service territory, and focus on specific facilities and assets. SCE used data sets provided through the State of California’s CalAdapt research portal for this initial analysis, but designed the tool to adjust to new data and updated methodologies.

In February 2016, SCE submitted a report to the DOE on the conclusions of the impact analysis. SCE said it is leveraging the results to better understand potential system impacts, and identify and evaluate cost-effective mitigation strategies. The overarching strategy is to integrate future climate change projections into existing planning processes utilizing the Adaptation Planning tool. A second report will be submitted to DOE in November 2016 outlining those strategies, according to the utility.

Additionally, SCE reported that its Business Resiliency department has launched an internal Climate Change Initiative aimed at further identifying climate change impacts and more detailed strategies for the future – beyond what was analyzed and developed for the DOE Partnership. This initiative will mature through 2018 to meet annual goals described below:

| 2015   | 2016  | 2017   | 2018   |
|--|---|--|--|
| <ul style="list-style-type: none"> <li>• Joined DOE Partnership</li> <li>• Developed Climate Adaptation Tool using Cal Adapt data</li> </ul> | <ul style="list-style-type: none"> <li>• Completed Initial Climate Impact Analysis and Submitted Report to DOE</li> <li>• Held workshops with internal experts to develop mitigation strategies for identified vulnerabilities</li> <li>• Submit findings to DOE in November</li> </ul> | <ul style="list-style-type: none"> <li>• Update Climate Adaptation Analysis adding in additional climate factors (e.g. soil saturation, population projections)</li> <li>• Further refine actions needed to execute mitigation strategies</li> </ul> | <ul style="list-style-type: none"> <li>• Initiate implementation of climate change strategies</li> </ul> |

While not explicitly discussed in SCE testimony, this initiative is managed as part of Business Resiliency's Plans and Programs activities (SCE 07, Vol. 01). SED staff has issued a supplemental data request to obtain the two reports cited in SCE's response documents.

### 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 DeAngelis) (Advisory):** NorthStar Consulting has been conducting an intensive schedule of meetings with utility executives and managers, as well as field visits to monitor how safety is being discussed and safety practices instilled in the company. The Risk section is project manager for this contract, and SED staff has attended many of these interviews and field visits. NorthStar principals on October 4 briefed President Picker on status of investigation, and they continue their interviews and field observations in preparation of a report due in January 2017.
- **Safety Model Assessment Proceeding (A.15-05-002, et al) (President Picker/ALJ Kersten) (Advisory):** The Phase 1 Interim Decision to advance this proceeding (D. 16-08-018) determined that the risk scoring models initially proposed by utilities were not adequate and should be supplemented by use of a multi-attribute scoring model that was developed for the Electric Power Research Institute and proposed by stakeholder groups TURN/Indicated Shippers/Electric Producers & Users Coalition. SED Risk staff moderated a workshop on October 21 to review the Joint Intervenor Model and to set up a process for conducting "test drive" of the model, as described in the decision. Parties were also instructed to meet and confer on a joint plan of action to be considered at the Phase 2 PHC on November 16.
- **PG&E 2017 General Rate Case (A.15-09-001) (President Picker/ALJ Roscow) (Advisory):** On August 3, 2016, Pacific Gas & Electric and 14 parties filed a Joint Motion for Commission approval of a settlement of issues in the TY 2017 General Rate Case (A.15-09-001). A joint exhibit of testimony on executive compensation and safety was filed on October 3. An Energy Division report on past safety spending was issued in late October. A PD is pending.
- **Gas Leak Abatement OIR (R.15-01-008) (President Picker/ALJ Kersten) (Advisory):** Gas companies filed their annual reports on leaks and emissions during 2015 on June 17, 2016. SED Staff, working with CARB Staff, are analyzing the reports for completeness and has been holding with companies to ensure the validity of data. Staff on November 3 conducted a workshop on cost-effectiveness and expected impacts of new legislation.
- **SCE 2017 General Rate Case (A.16-09-001) (President Picker/ALJs Roscow & Wildgrube) (Advisory):** While not subject to the full S-MAP/RAMP requirements for this GRC cycle, SCE has included some level of analysis of its risk mitigations in the new GRC application testimony filed Sept. 1. SED Risk staff will be advisory and is currently engaged in issuing data requests for an evaluation report. A PHC was held on October 25, and SCE hosted three days of workshops on its proposals (see write-up in GRC section above).

- **Long Beach Outage Incidents (I.16-07-007) (Commissioner Picker/ALJ Cooke)(Advisory):** In July and August 2015, a series of fires and explosions in underground electrical vaults caused repeated power outages in Long Beach. Following an investigative report by SED's Electric Safety & Reliability Branch (ESRB) the Commission on July 14, 2016, adopted an Order Instituting Investigation. The Commission held a prehearing conference on September 6, and on September 21, 2016, the assigned commissioner issued a scoping memo outlining the schedule and other matters related to this OII. The schedule opened a discovery period from November through January 2017, with potential for evidentiary hearings in February. ESRB will be an active party in the proceeding, while Risk Assessment section will provide advisory support, as needed.
- **Electric Storage Procurement (R.15-03-011) (Commissioner Peterman/ALJ Cooke) (Advisory):** In compliance with D. 16-01-032 (Track 1 decision in this rulemaking), staff has convened a technical group to consider appropriate Safety-related issues for facility inspections of grid-connected storage operated by utilities. The resulting set of inspection protocols was issued for review by the ALJ on Sept. 29, who sought comment on whether Commission general orders need to be revised to include the protocols.
- **Fire Safety Rulemaking (R.15-05-006) (Commissioner Florio/ALJ Kenney) (Advisory):** D.16-05-036 adopted Fire Map 1, which depicts areas of California with an elevated hazard for the ignition and rapid spread of fires. In July 2016, Commissioner Florio issued an amended scoping memo and ruling directing the Fire Safety Technical Panel (FSTP) to develop a work plan for creation and adoption of Fire Map 2. Parties filed a work plan on October 7, 2016, proposing a process for developing Fire Map 2. The CPUC is working closely with CalFIRE to review outputs from San Diego Gas & Electric and a consultant on "Shape A" of the map. An ALJ Ruling dated October 24 indicated that the Commission is expected to mail a proposed decision on the Fire Map 2 Work Plan later this year.
- **Storage Procurement Solicitations 2016 (PG&E A.16-03-001; SCE A.16-03-002; SDG&E A.16-03-003) (Commissioner Peterman/ALJ Cooke) (Advisory):** Final decision D.16-09-007, accepted with some modifications the three IOUs' applications for energy storage projects to be solicited in the 2016 cycle under the CPUC's 1,325 MW target. The decision also addressed specific safety considerations in the utilities contracting processes, determining that the utilities have addressed safety in a "proactive and responsible manner" and accepted their proposals. Still, the decision reminded the utilities that they "carry the ultimate responsibility for safety of resources connected to (their) facilities, regardless of whether those resources are utility owned or owned by entities under contract to the utilities." The decision closes this proceeding.
- **PG&E Supplemental Energy Storage Procurement (A.16-04-024) (Peterman/ALJ Cooke) (Advisory):** PG&E in April 2016 applied for approval of an additional energy storage project contract with STEM, which was not part of its A.16-03-001 case. A Scoping Memo was issued by Commissioner Peterman on July 25, which included as an issue whether the contract promotes safe and reliable operation and maintenance of the energy storage systems. In a proposed decision issued October 21, ALJ Cooke determined that the project was not cost-effective, and she recommended against approval. However, the ALJ noted that PG&E made a reasonable showing regarding safety provisions in its contracting:

“[W]ere the contract approved, we would find that PG&E has addressed potential safety concerns in a proactive and responsible manner and that there are no obvious safety concerns that remain to be addressed.”

- **PG&E Gas Transmission & Storage rate case (A.13-12-012/I.14-06-016) (Picker/Bushey) (Advisory):** The GT&S case was decided on June 25, 2016, with D.16-06-056. Among other provisions for disallowances for safety lapses, the decision also disallowed from immediate recovery \$696.4 million for 2011-2014 capital expenses above that previously approved in Gas Accord V. \$120 million is permanently disallowed, but \$576 million would be subject to an audit by Commission staff or a third party. SED staff is currently conferring with Energy Division and the Division of Water and Audits to determine whether to conduct the audit internally or using an outside expert.

### 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 - 1/01/16 TO 10/31/16

Note: This is for complaints filed using the on-line Whistleblower Application ONLY.

| Confirmed or Possible Whistleblower Complaints |          |                |                 |            |             |          |
|--|----------|----------------|-----------------|------------|-------------|----------|
|  | CAB      | Transportation | Electric Safety | Gas Safety | Telco Fraud | Rail     |
| <b>January</b>                                 | 0        | 0              | 1               | 0          | 0           | 0        |
| <b>February</b>                                | 0        | 5              | 1               | 0          | 2           | 0        |
| <b>March</b>                                   | 0        | 0              | 0               | 0          | 0           | 0        |
| <b>April</b>                                   | 0        | 2              | 0               | 0          | 0           | 0        |
| <b>May</b>                                     | 0        | 0              | 0               | 0          | 1           | 0        |
| <b>June</b>                                    | 0        | 0              | 0               | 0          | 0           | 0        |
| <b>July</b>                                    | 0        | 0              | 0               | 0          | 0           | 0        |
| <b>August</b>                                  | 0        | 0              | 0               | 1          | 0           | 0        |
| <b>September</b>                               | 0        | 0              | 0               | 0          | 0           | 0        |
| <b>October</b>                                 | 1        | 1              | 0               | 0          | 0           | 0        |
| <b>Total 2016</b>                              | <b>1</b> | <b>8</b>       | <b>2</b>        | <b>1</b>   | <b>3</b>    | <b>0</b> |

| Invalid Whistleblower Complaints Converted to Standard Complaints |            |                       |                        |                   |                            |             |  |
|---|------------|-----------------------|------------------------|-------------------|----------------------------|-------------|--|
|   | <u>CAB</u> | <u>Transportation</u> | <u>Electric Safety</u> | <u>Gas Safety</u> | <u>Telco/Utility Fraud</u> | <u>Rail</u> | <u>Consumer Referred to Outside Agency</u> |
| January   | 0          | 0                     | 0                      | 0                 | 0                          | 0           | 0  |
| February  | 0          | 0                     | 0                      | 0                 | 0                          | 0           | 1  |
| March   | 0          | 0                     | 0                      | 0                 | 0                          | 0           | 0  |
| April   | 0          | 0                     | 0                      | 1                 | 0                          | 0           | 0  |
| May   | 0          | 0                     | 0                      | 0                 | 0                          | 0           | 0  |
| June  | 0          | 0                     | 1                      | 0                 | 0                          | 0           | 0  |
| July  | 0          | 0                     | 0                      | 0                 | 0                          | 0           | 0  |
| August  | 0          | 0                     | 3                      | 0                 | 0                          | 0           | 0  |
| September   | 0          | 0                     | 0                      | 0                 | 0                          | 0           | 0  |
| October   | 1          | 1                     | 0                      | 0                 | 0                          | 0           | 0  |
| YTD   | 1          | 1                     | 1                      | 1                 | 0                          | 0           | 1  |

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

## OFFICE OF RAIL SAFETY

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### RAILROAD SAFETY - ROSB

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

|   |     |
|---|-----|
| <b>New Incidents Investigated</b>                                   | 21  |
| <b>Informal Complaints Investigated</b>                             | 1   |
| <b>Safety Assessments/Reviews</b>                                   | 29  |
| <b>Compliance Actions</b>   | 315 |
| <b>Major Inspections Completed</b><br>- Such as Focused Inspections | 2   |
| <b>Operation LifeSaver Presentations</b>                            | 3   |

#### ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

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**October 13, 2016:** FRA Inspectors along with CPUC Rail Safety Inspectors conducted a routine inspection of BNSF Kaiser Yard in Fontana, California. During this inspection, the investigators discovered a track defect with a lock that visually looked secured. One inspector physically checked the lock manually by pulling on it and the lock became unsecured (opened). This is a defect under Federal regulations that states all derails when not in use will be locked and lined in the fixed derail position. The defect was noted in a report to the railroad and the defect was corrected.

**October 14, 2016:** In February of 2016 a CPUC Rail Safety Inspector identified a safety hazard at a stretch of track which is owned by the North County Transit District (NCTD). The safety concern involved a track component referred to as a spring frog. Spring frogs are designed to lessen the impact between the train wheels and the rail while traversing a switch through the straight side while still enabling the train to traverse the turnout side. Although spring frogs can

be beneficial in certain track applications the manner in which NCTD was utilizing it at this location was not how they are designed to be used. Through a Risk Management Status Report (RMSR), several conversations and a formal letter written to NCTD, the CPUC Rail Safety Inspector was able to influence the agency to replace the spring frog with a rail bound manganese (RBM) frog. The RBM frog requires less maintenance and is a much safer alternative. The frog was replaced on October 8<sup>th</sup> 2016. The railroad is much safer at this location now that the potential risk of a catastrophic derailment due to the improper use of a spring frog has been eliminated.

**October 19, 2016.** CPUC Rail Safety Inspectors found a defect on top of the Union Pacific bridge on the main track located between Lodi and Galt Ca. The defect was an alignment deviation not in compliance with safety regulations. The Inspectors brought this defect to the attention of UPRR personal who corrected the defect.

**October 19, 2016:** CPUC Rail Safety Inspectors conducted an inspection of the of the Clark Street grade crossing located at the border of Imperial City with the city of El Centro, Imperial county. This crossing is presently only equipped with flashing red lights to warn drivers that a train is approaching, whether it is the arrival of a train into the railroad yard, the departure, or the railroad is using the grade crossing in the process of switching freight cars. Consequently this crossing has been a serious public safety concern due to the lack of crossing gates to present a physical barrier and the increasing vehicle traffic has resulted in many close calls reported as some drivers have been observed rushing through the flashing red warning lights. As a result of this inspection, plans are in place towards eventually installing crossing gates at this location.

**October 20, 2016:** On June 23, 2016, FRA Inspectors along with CPUC Rail Safety Inspectors conducted a routine inspection of Yermo Yard in Yermo, California. During this inspection, one inspector discovered a crossover track that was taken out of service. A defect was noted and a State General Order Inspection Report was created to bring the walkway into compliance. On August 1<sup>st</sup>, a follow up inspection was performed and even though work had been performed on the track, the Manager of Track Maintenance left portions of the unused rail, the switch stand with ties, and several tie plates from the crossover ties in place, posing a tripping hazard,

and still not bringing the walkway into compliance. The MTM was notified about this and he received more information from the State Inspector on how the walkway should appear for compliance. On October 20<sup>th</sup>, the CPUC Rail Safety Inspector performed another follow up inspection to again visually verify that the walkway was now in compliance with state safety regulations. Once the Inspector was able to visually identify that the walkway was in compliance, the Inspection Report was updated and closed.

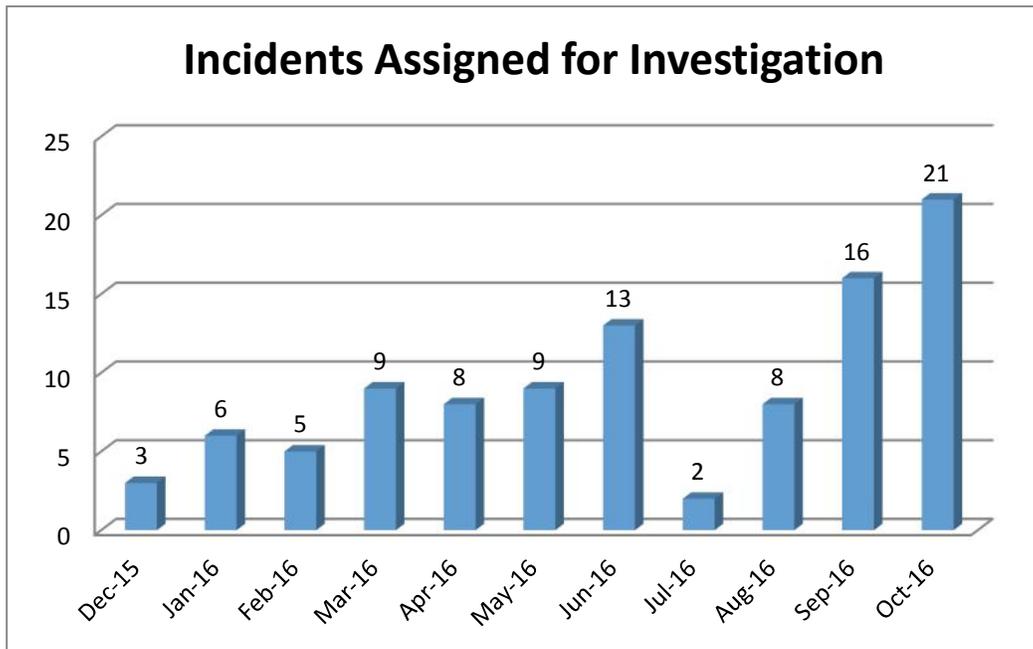
**October 21, 2016:** A CPUC Rail Safety Inspector conducted an inspection of containers at the ports of Long beach and Los Angeles coordinated by the United States Coast Guard. Their inspection comprised of staff from the California Public Utilities Commission, Department of Homeland Security, Customs and Border Protection, Federal Railroad Administration, California Highway Patrol, Pipeline Hazardous Materials and Safety Administration, Los Angeles Fire Department, Port Police, Los Angeles Police Department and the US Food and Drug Administration. The event encompassed the majority of the container shipping facilities located in the two major ports, with Inspectors searching for improper Hazmat shipments, contraband, Workers with proper Transportation Workers Identification Cards (TWIC), Highway Truck Inspections, Registration, valid Licenses, etc. During the inspection, CPUC Rail Safety inspectors along with staff from the other agencies inspected over 246 Containers and Intermodal Tanks, finding nine Federal defects and one violation. As a result, the 39 containers on put hold for immediate corrective action by the respective shipping companies, prior to continuing in transportation.

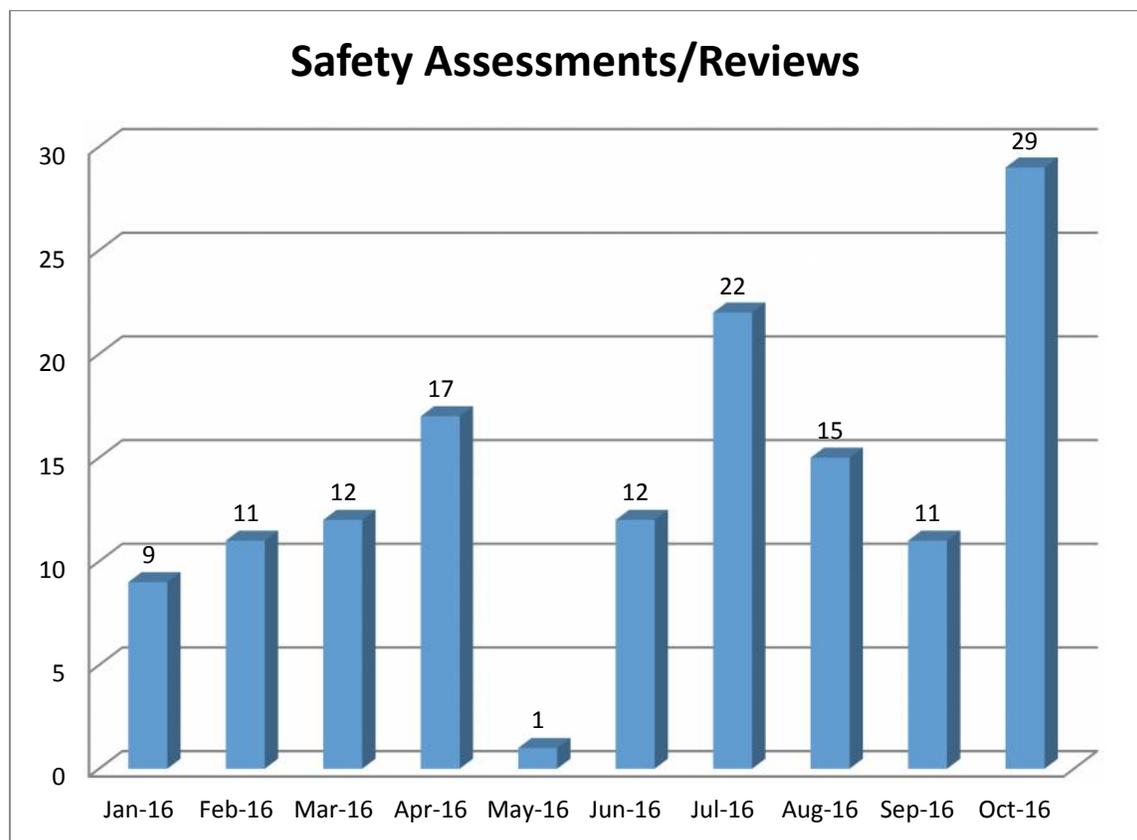
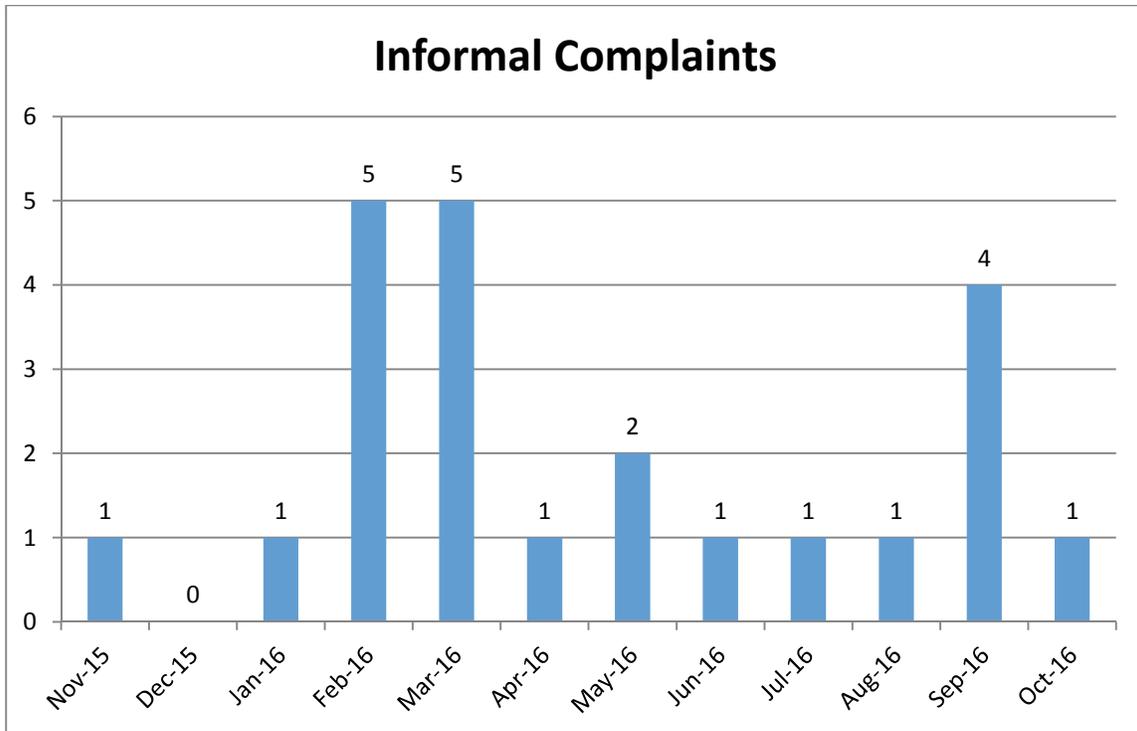
**October 25, 2016:** A CPUC Rail Safety Inspector conducted a routine inspection at Union Pacific's Mead Yard. During the inspection, walkway defects were discovered in two areas used by on duty trainmen. This defect was noted in a State General Inspection Report, and was immediately brought to the attention of the manager on duty and the defects were corrected.

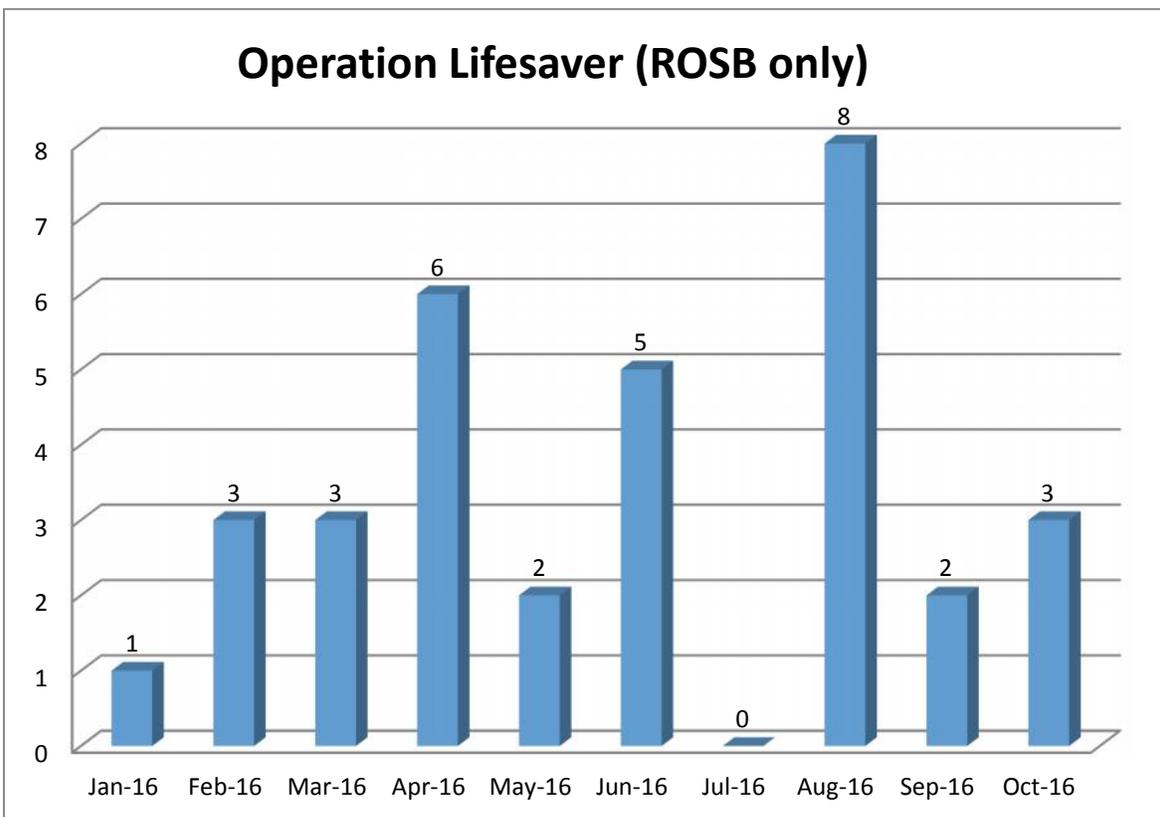
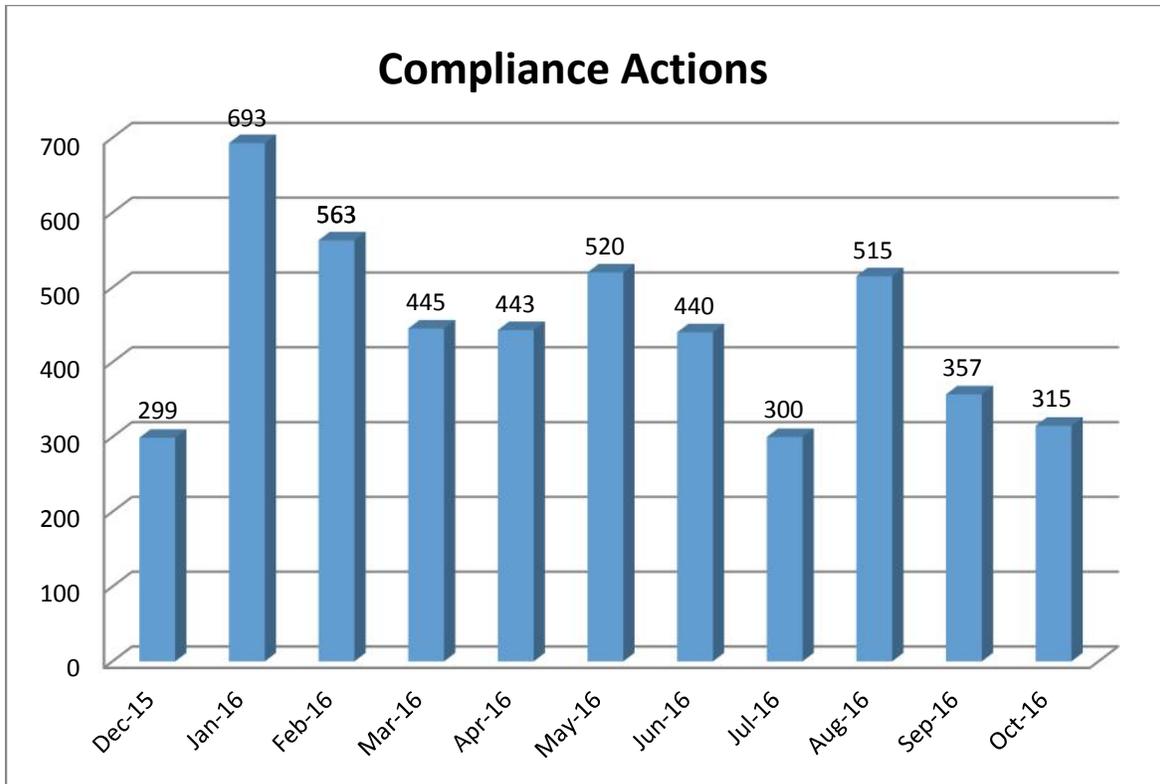
**October 25, 2016:** During a routine inspection by CPUC Rail Safety Inspectors at Union Pacific Railroad Yard in Commerce, the following items were observed. A boulder that weight approximately 80 pounds was in the middle of the walk way between yard tracks 2 and 3. At the south end of the yard there were 3 locomotives sitting unattended but ready for service. There are times these locomotives need a daily inspection but are unable to be thoroughly

inspected on one side. A UP mechanical manager was present during this inspection and was made aware of these safety issues. He said he would address them that afternoon. A future follow up inspection will be performed. Both of these issues are related to CPUC walkway clearance safety regulations.

**October 28, 2016:** CPUC Rail Safety Inspectors visited the Trona Railway located in the town of Trona. Trona railway is a 26 mile railroad that runs from Searles to Trona, servicing two major shippers in the vast Searles Valley, Searles Valley Minerals and Argus Soda Ash plant. During the visit, inspectors conducted a hazmat inspection at Searles Valley Minerals and Argus, examining their processes for loading and unloading tank cars, along with inspecting their employee training records that handle hazmat. Inspections verified compliance with Federal and State walkway and track inspection safety regulations. Next the inspectors visited the management of Trona Railway, and verified compliance with the state rail security plan which is required under CPUC rail safety regulations.







**RAIL CROSSINGS AND ENGINEERING BRANCH – RCEB**

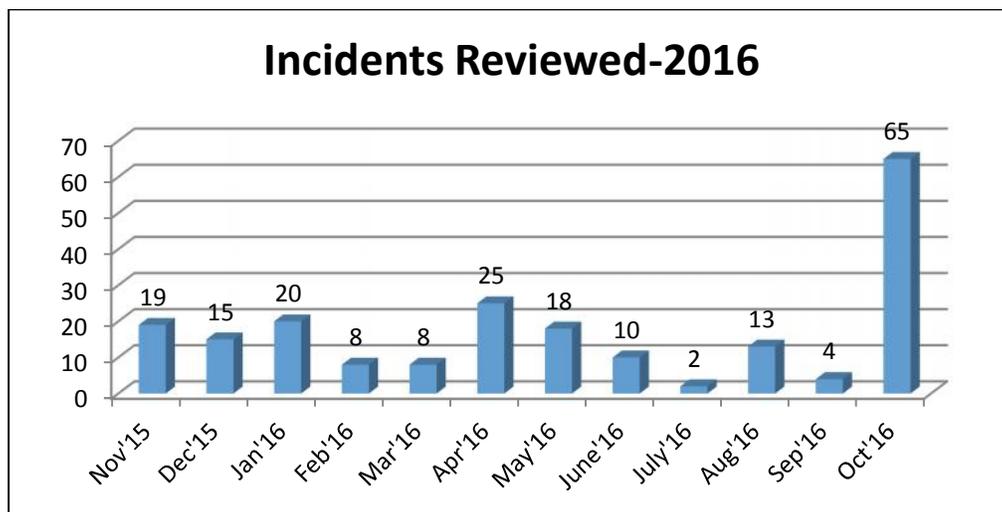
In the month of October 2016, the Rail Crossings and Engineering Branch completed the following:

|   | Open at Period Start | New During Period* | Closed During Period | Open at End of Period |
|---|----------------------|--------------------|----------------------|-----------------------|
| <b>2015 Crossing Incident Investigations</b>          | 7                    | 0                  | 5                    | 2                     |
| <b>2016 Crossing Incident Investigations</b>          | 113                  | 21                 | 60                   | 74                    |
| <b>Informal Complaints Investigations</b>             | 27                   | 0                  | 0                    | 27                    |
| <b>Safety Assessments/Quiet Zones/Reviews</b>         | 0                    | 16                 | 16                   | 0                     |
| <b>Environmental Reviews</b>                          | 0                    | 55                 | 55                   | 0                     |
| <b>Proceedings, Resolutions and G.O. 88-B Reviews</b> | 9                    | 12                 | 16                   | 5                     |
| <b>Operation LifeSaver Presentations</b>              | 0                    | 0                  | 0                    | 0                     |

\*As RCEB checks FRA data with CPUC data, RCEB adjusts the number of incidents for 2015 and 2016.

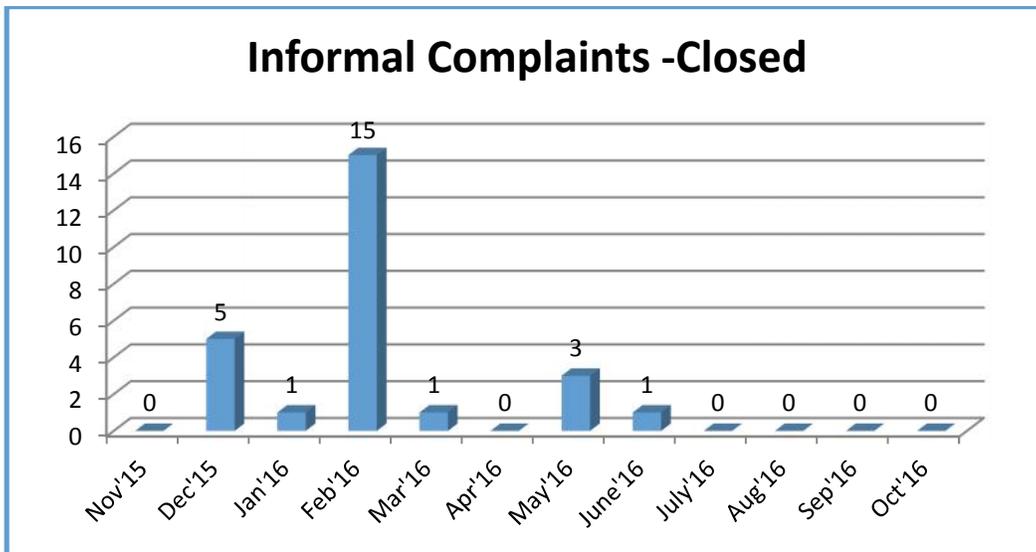
**RAIL CROSSING INCIDENT INVESTIGATIONS**

- In October 2016, the Rail Crossings and Engineering Branch engineers received 21 new incidents and completed 65 highway-rail crossing reviews.



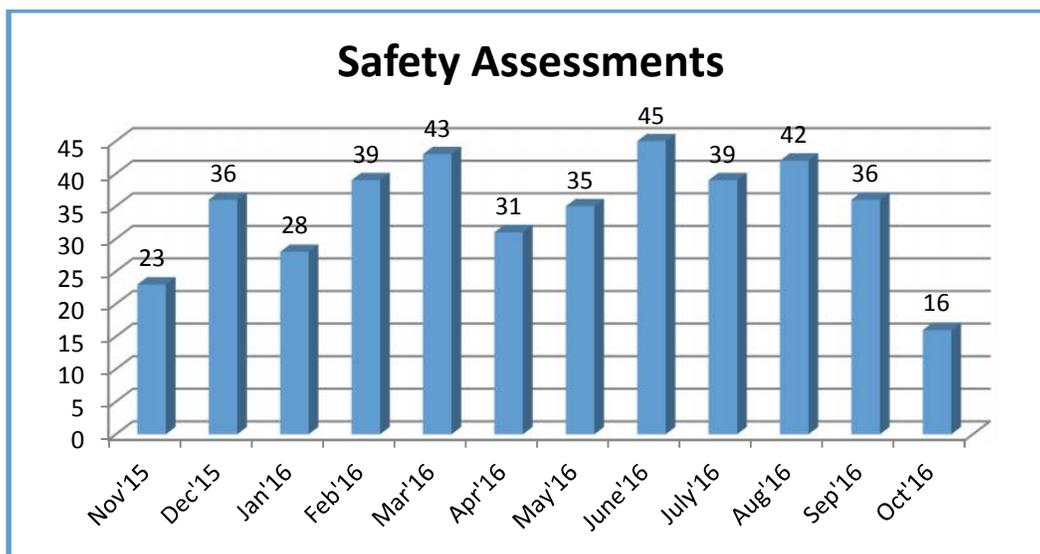
INFORMAL COMPLAINTS

- In October 2016, staff did not receive any new complaints involving highway-rail crossings. RCEB continues to work with open complaints but did not close any complaints in October.



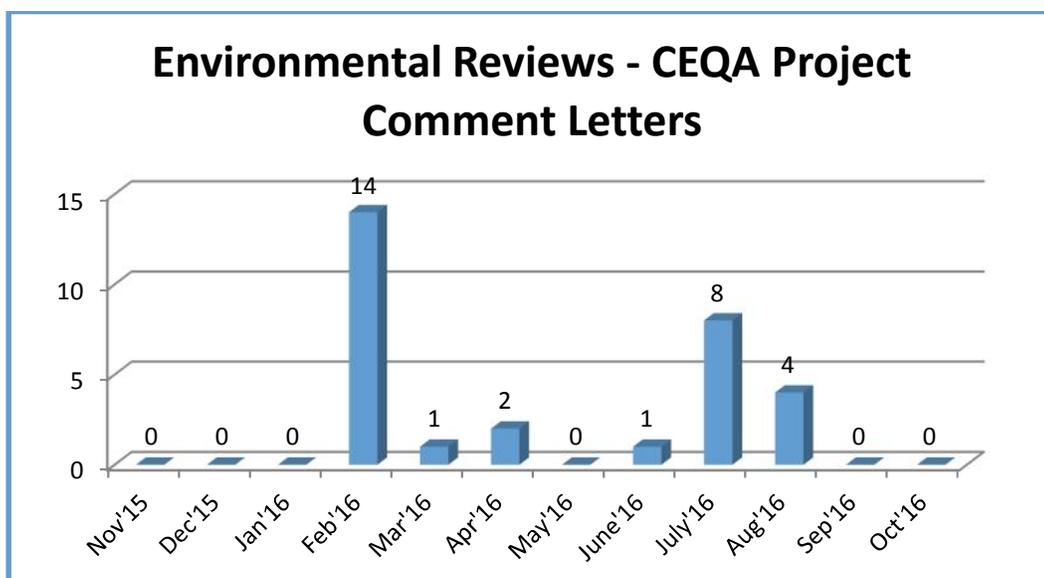
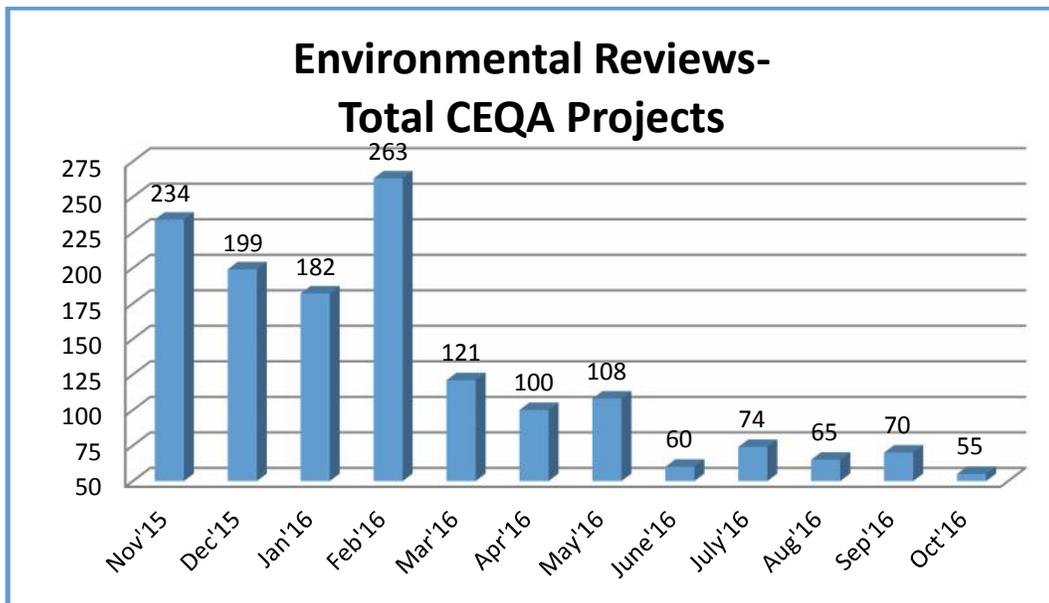
SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

In October 2016, staff completed 16 rail crossing safety assessments involving communications, field inspections, Quiet Zones, and diagnostic reviews with railroads and local agencies.



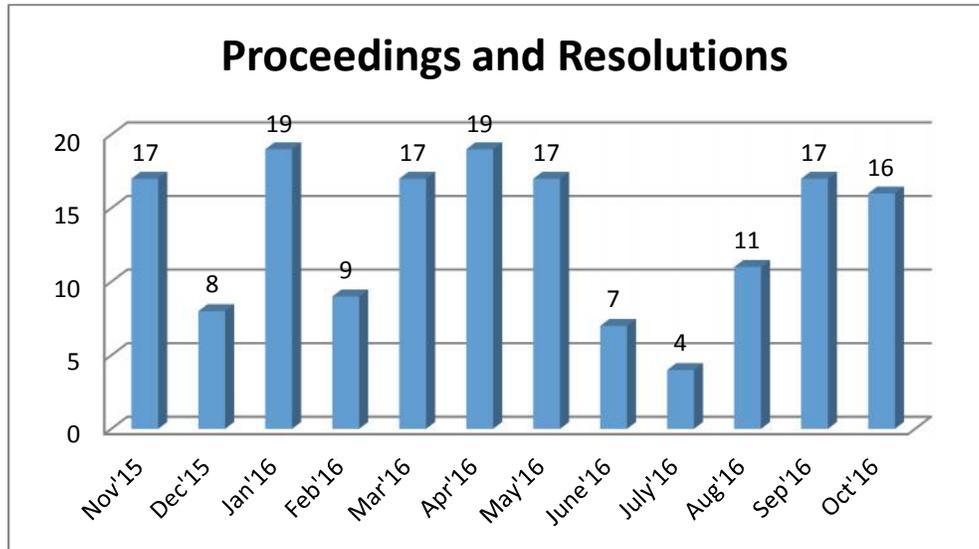
ENVIRONMENTAL REVIEWS

In October 2016, staff reviewed 55 CEQA reports. When railroads and local agencies plan new projects or developments, staff reviews the documents submitted by the agencies for safety impacts to crossings. The review addresses safety issues in highway-rail crossing design and nearby intersections during the design phase of the projects.



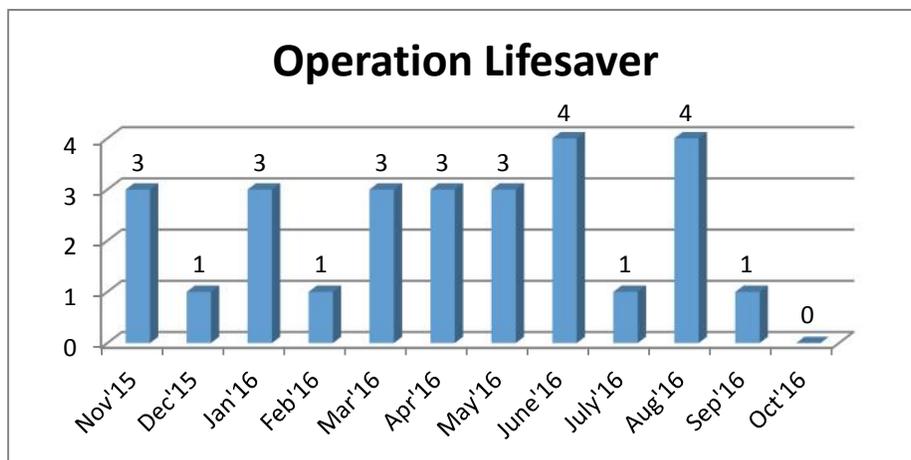
PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

In October 2016, engineering staff received one formal proceeding, 11 new General Order 88-B applications, and closed four proceedings and 11 General Order 88-B reviews. The Commission also issued Resolution SX-121 recommending that the California Transportation Commission increase funding to be set aside for maintaining automatic grade crossing devices under P.U. Code §1231.1. The resolution is in relation to the grade crossing maintenance plan program.



OPERATION LIFESAVER INC.

In October 2016, RCEB staff did not complete any Operation LifeSaver Inc. (OLI) presentation sharing the OLI rail safety message. As time permits RCEB staff continues to participate in OLI events and activities.



## RAIL TRANSIT - RTSB

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

### CORRECTIVE ACTIONS PLANS

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- RTSB opened 6 new Corrective Action Plans (CAPs) due to incidents, internal safety audits, and inspections in October 2016. RTSB is working with Rail Transit Agencies (RTAs) to close existing CAPs.
- 4 CAPs were closed this month.

### INCIDENT INVESTIGATIONS

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- In October 2016, 28 incidents were reported by RTAs.<sup>5</sup>
- 26 incident investigations were closed by RTSB.

### TRIENNIAL REVIEWS

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- RTSB staff conducted a triennial review of Oakland Airport Connector on October 24 through October 28, 2016.

### PROCEEDINGS / RESOLUTIONS

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- **ST-190** - This Resolution grants the request of San Francisco Municipal Transportation Authority (SFMTA) for approval of the Safety Certification Plan for the LRV4 Light Rail Vehicle procurement project. The Commission will consider it on November 10, 2016.
- **ST-185** - This Resolution grants the request of the Los Angeles County Metropolitan Transportation Authority for approval of the Safety Certification Plan for the HR4000 Heavy Rail Vehicle procurement project. It was approved by the Commission on October 27, 2016.

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<sup>5</sup> Per General Order 164-D, the Commission must be notified within 2 hours by rail transit agencies of incidents if they include one of the following: a fatality at the scene, or where an individual is confirmed dead within 30 calendar days of a rail transit-related incident; an injury to two or more individuals requiring immediate medical attention away from the scene; property damage to rail transit vehicles, non-rail transit vehicles, other rail transit property or facilities, and non-transit property that equals or exceeds \$25,000; a collision at an at-grade crossing; a mainline derailment; a collision with an individual on a rail right-of-way; a collision between a rail transit vehicle and a second rail transit vehicle, or a rail transit non-revenue vehicle; an evacuation due to life safety reasons.

- **I.16-06-010 Order Instituting Investigation (OII) (Commissioner Randolph/ALJ Kim)** - On June 28, 2016, the Commission instituted a Formal Investigation in response to a two fatality Bay Area Rapid Transit (BART) accident on October 19, 2013. The purpose of this investigation is to a) examine the accident, b) determine whether BART repeatedly violated state codes and regulations by failing to provide adequate protection for BART's wayside workers, c) whether BART's train-operating personnel's lack of training and certification contributed to the accident, d) whether BART violated Rule 1.1 of the Commission's Rules of Practice and Procedure by failing to provide the Commission with an accurate list of who would be operating its trains during a strike occurring at the time of this accident, and e) whether Rule 1.1 was violated by BART's failure to obtain prior approval of the use of uncertified, untrained, and unapproved personnel to operate trains during the strike. Additionally, the investigation will determine whether BART should be fined or otherwise penalized for any of these violations. A prehearing conference was held on October 11, 2016. On October 18, 2016, both parties filed a Joint Case Management Statement.

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

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- **BART New Vehicle Procurement:** BART is in the process of procuring 775 new rail vehicles. BART has already received four of these vehicles (two D cars and two E cars) for testing, and is storing them at its Hayward Yard facility. RTSB staff is witnessing testing and participating in Safety and Security Certification meetings to oversee the procurement process.
- **The East Contra Costa BART Extension:** This project, also known as eBART, will add 10 miles of track extending rail service eastward from the Pittsburg Bay Point station utilizing eight Diesel Multiple Unit (DMU) vehicles. This project is currently in the construction phase, and is being safety certified by RTSB, whose staff regularly attends safety certification meetings. Signal testing is expected to begin in October 2016, and the project expects to be in revenue service by approximately mid-September, 2017.
- **BART Warm Springs Extension:** This project proposes an additional 5.4 Miles of BART track connecting the currently existing Fremont BART station with a new BART station located in the Warm Springs district in the city of Fremont. Construction has been monitored by RTSB and will be safety certified when complete. Staff has attended and witnessed testing.

Additionally, RTSB staff inspected this project on September 13, 2016. The Warm Springs Extension Project Team is in the process of reviewing past test records pertaining to the Safety Certification Verification Report (SCVR).

- **Silicon Valley Berryessa Extension:** BART and Santa Clara Valley Transportation Authority (SCVTA) are currently jointly in the process of constructing a 10-mile track extension and two new stations – the Milpitas and Berryessa stations. The project is expected to be complete in late 2016/early 2017, and is currently in the construction phase for certain areas (I.E. Traction Power Substation (TPSS), Train Control, Communication, etc.), and in the pre-testing phase for others. Staff attended a Berryessa Station generator testing event in July 2016. On Saturday, September 17, 2016, staff attended and observed the first BART power train run related to the SVBX tracks. The testing was conducted in manual mode and consisted of running a (3 car) test train back and forth from the WSX/SVBX interface on the S2 track from Milepost 29.0 to Milepost 31.0 at the following speeds 6, 18, and 25 mph. No deficiencies were noted or discussed after the testing.
- **SFMTA New Vehicle Procurement:** San Francisco Municipal Transportation Agency (SFMTA) is in the process of procuring 260 new rail vehicles, which will be received by SFMTA over the next 15 years. The first batch, consisting of 24 cars, will be received in 2017. All new vehicles will be put through a wide range of tests in order to complete the safety certification process. On September 30, 2016, CPUC received the latest version of the Preliminary Hazard Analysis, Threat and Vulnerability Analysis, and the Safety Certification Plan for this project. Resolution ST-190 (see PROCEEDINGS/RESOLUTIONS section above) granted SFMTA's request for approval of their SSCP. RTSB staff will attend monthly meetings with SFMTA to oversee the Safety Certification Process and to monitor the progress of testing. The project is currently in the construction specification conformance phase.
- **Central Subway Project:** SFMTA is excavating 1.7 miles of tunnel to extend the Muni Metro Third Line to provide a direct transit link between the Bayshore and Mission Bay areas to SoMa, downtown, and Chinatown. This project, due to be completed in 2019, is currently in the construction phase and is being monitored by RTSB through regular meetings, review of

documentation related to safety certifiable elements to ensure conformance with specified safety requirements, design criteria, and site visits pursuant to CPUC's safety certification requirements.

- **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 to provide the needed capacity expansion for the recently completed projects (Expo Phase 2 and Foothill Extension Phase 2), and for the future LAX/Crenshaw line which is currently in construction. On March 4, 2016, RTSB staff approved the LACMTA request to introduce the first batch of P3010 cars into revenue service after review of the Safety Certification Verification Report, various test records, and the individual vehicle history books. As of 10/31/2016, Forty (40) P3010 vehicles have so far been approved for revenue service by RTSB staff.
- **LACMTA HR4000 Heavy Rail Vehicle Procurement:** LACMTA is in the process of procuring up to 282 new heavy rail vehicles to provide for the future expansions of Regional Connector and Purple Line Extensions, and to replace the existing aging HRV fleet. RTSB staff received LACMTA's SSCP for the HR4000 and has initiated the transit resolution process for Commission approval. Resolution ST-185 was voted on and approved by the Commission on 10/27/2016.
- **LACMTA Regional Connector Project:** Currently in utility relocation phase. RTSB staff regularly attends LACMTA's monthly Fire Life Safety and Security Meetings, as well as Safety and Security Certification Review Meetings.
- **LACMTA Purple Line (Westside) Extension Project:** LACMTA is currently expanding rail network and services, including 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, consisting of nearly nine miles of track and seven stations, is planned to be constructed in three sections, and is currently in the utility relocation phase. RTSB staff regularly attends LACMTA's monthly Fire Life Safety and Security Meetings, as well as Safety and Security Certification Review meetings.

**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 California San Diego (UCSD) campus and the University City areas. The additional stations will be: Tecolote Road, Clairemont Drive, Balboa Avenue, Nobel Drive, potential Veterans Administration (VA) Medical Hospital, UCSD West (along Voigt Drive), UCSD East (along Voigt Drive), Executive Drive, and University Town Center (UTC) Transit Center. Construction is planned for late 2016 and revenue service begins late 2021. RTSB staff is attending the System Safety Review Committee Meetings and Fire Life Safety Committee meetings for this project. The Safety and Security Certification Plan for the project is currently under final review and staff is preparing a Resolution for Commission action.

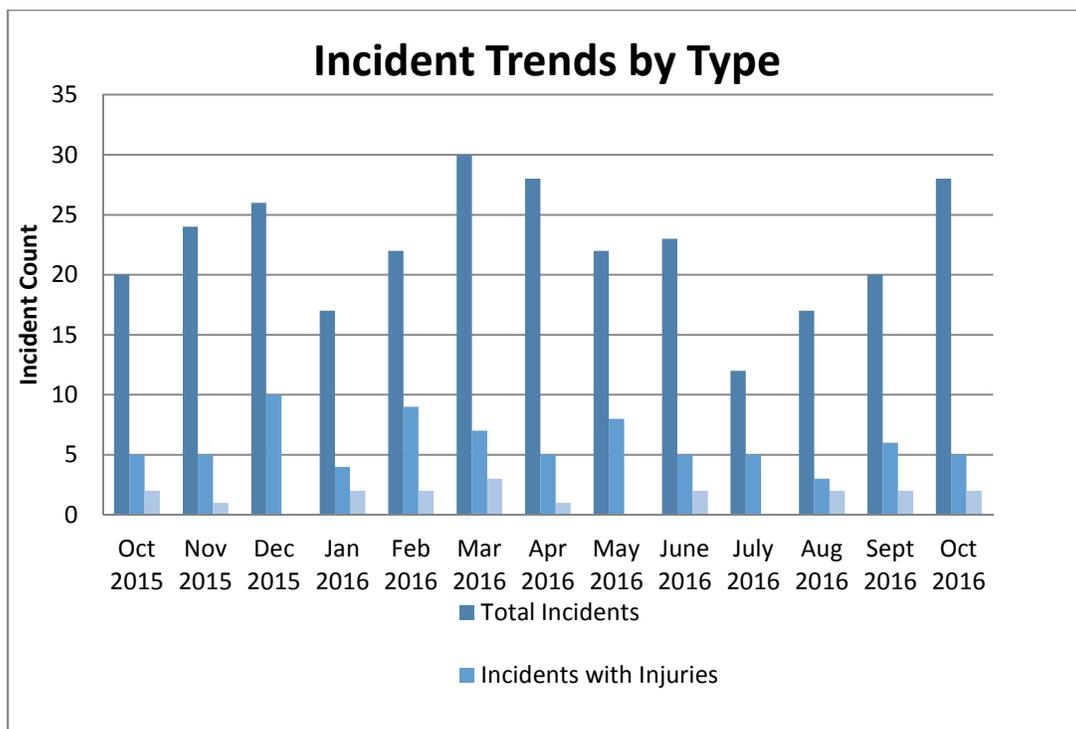
**Other SoCal Safety Certification Projects:** Several projects are in various phases of early design and engineering in the Southern California region: OC Streetcar Project (in Orange County), LA Streetcar Project (in City of Los Angeles), Angels Flight Railway (in City of Los Angeles), and LAX Automated People Mover (for Los Angeles International Airport). RTSB staff regularly attends Fire Life Safety Committee meetings, Safety Certification Team meetings, etc., to monitor and track any safety related issues.

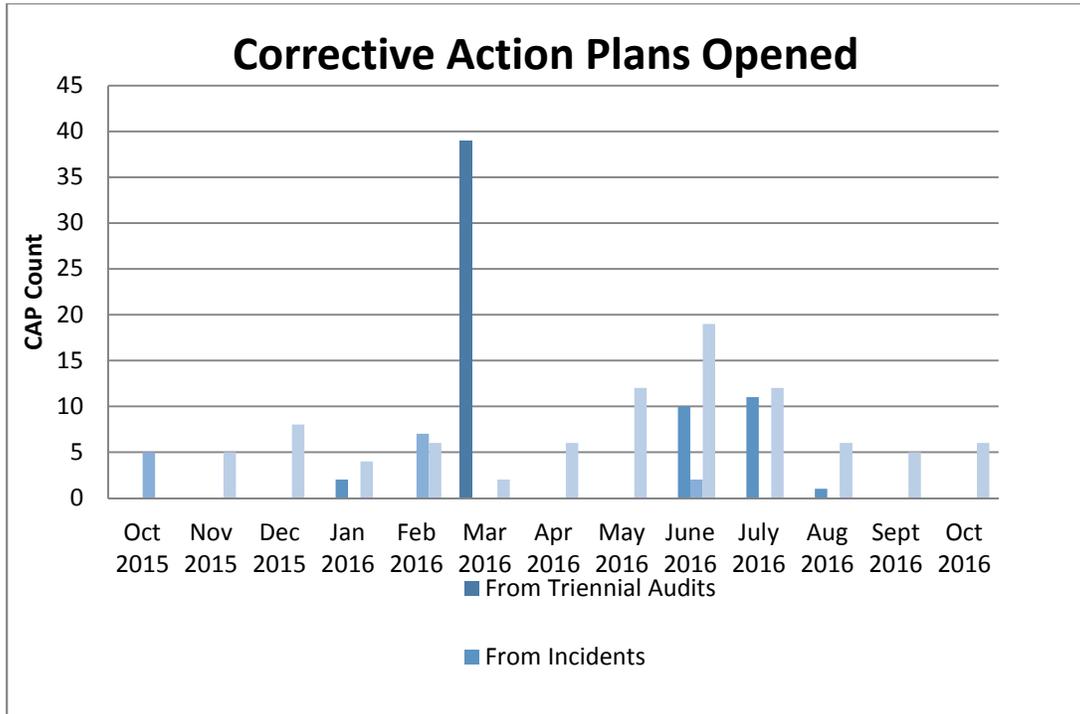
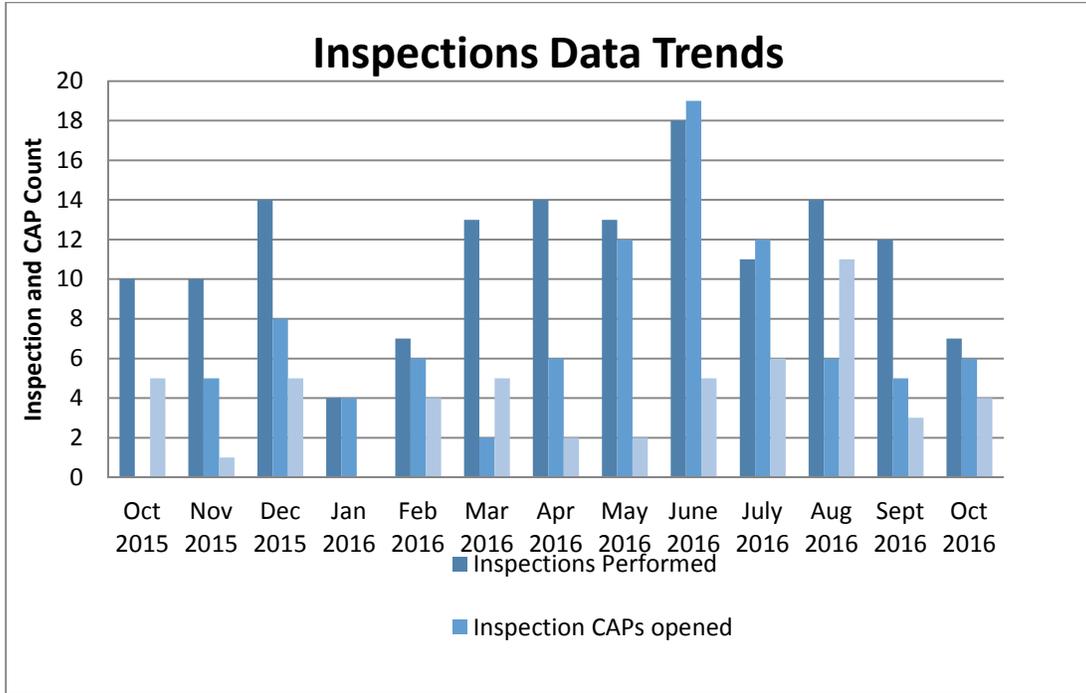
### STATISTICS SUMMARY

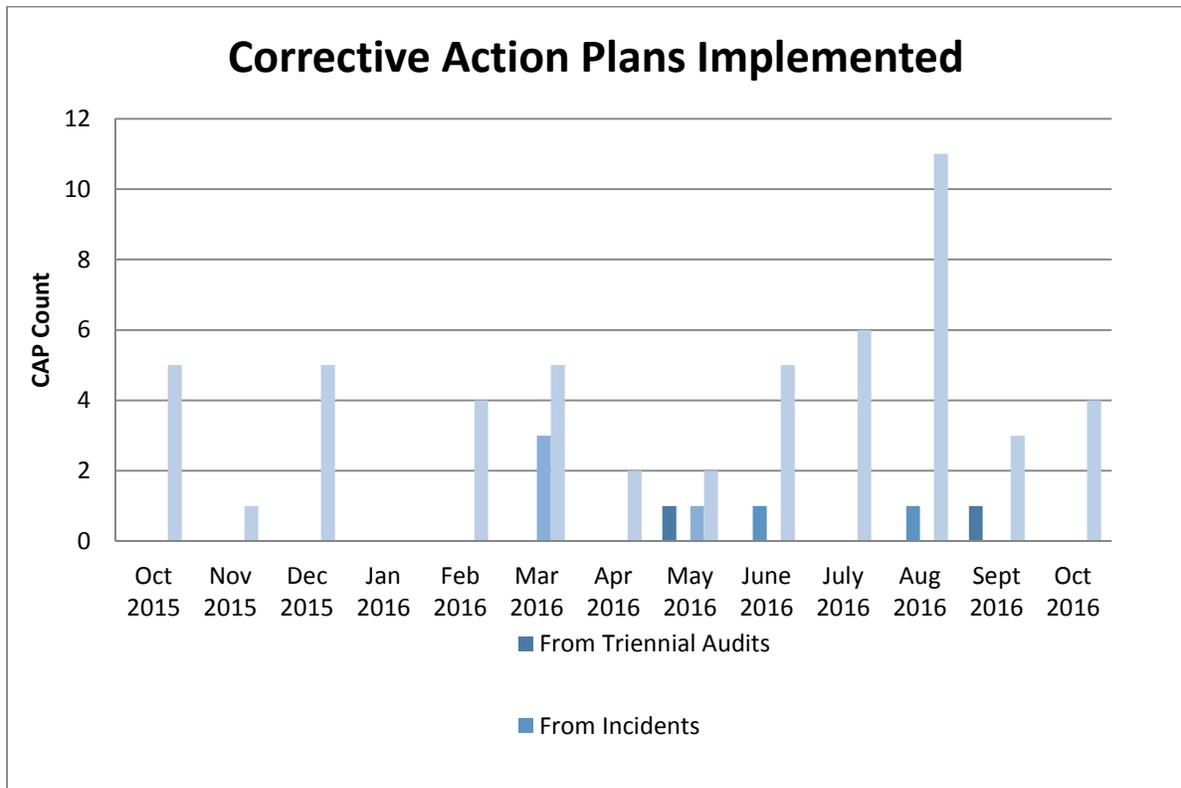
| Investigations                 |    |
|--------------------------------|----|
| Incidents Reported             | 28 |
| Incident Investigations Closed | 0  |
| Complaints Investigated        | 0  |
| Rail Transit Inspections       | 7  |
| Triennial Audits               | 1  |

| Corrective Action Plans               |          |
|---------------------------------------|----------|
| <b>New Corrective Action Plans</b>    | <b>6</b> |
| From Triennial Audits                 | 0        |
| From Incidents                        | 0        |
| From Internal Safety/Security Audits  | 0        |
| From Rail Transit Inspections         | 6        |
| <b>Closed Corrective Action Plans</b> | <b>4</b> |
| From Triennial Audits                 | 0        |
| From Incidents                        | 0        |
| From Internal Safety/Security Audits  | 0        |
| From Rail Transit Inspections         | 4        |

ONGOING DATA / TRENDS







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