

Safety and Enforcement Division



Monthly Performance Report

October 2018

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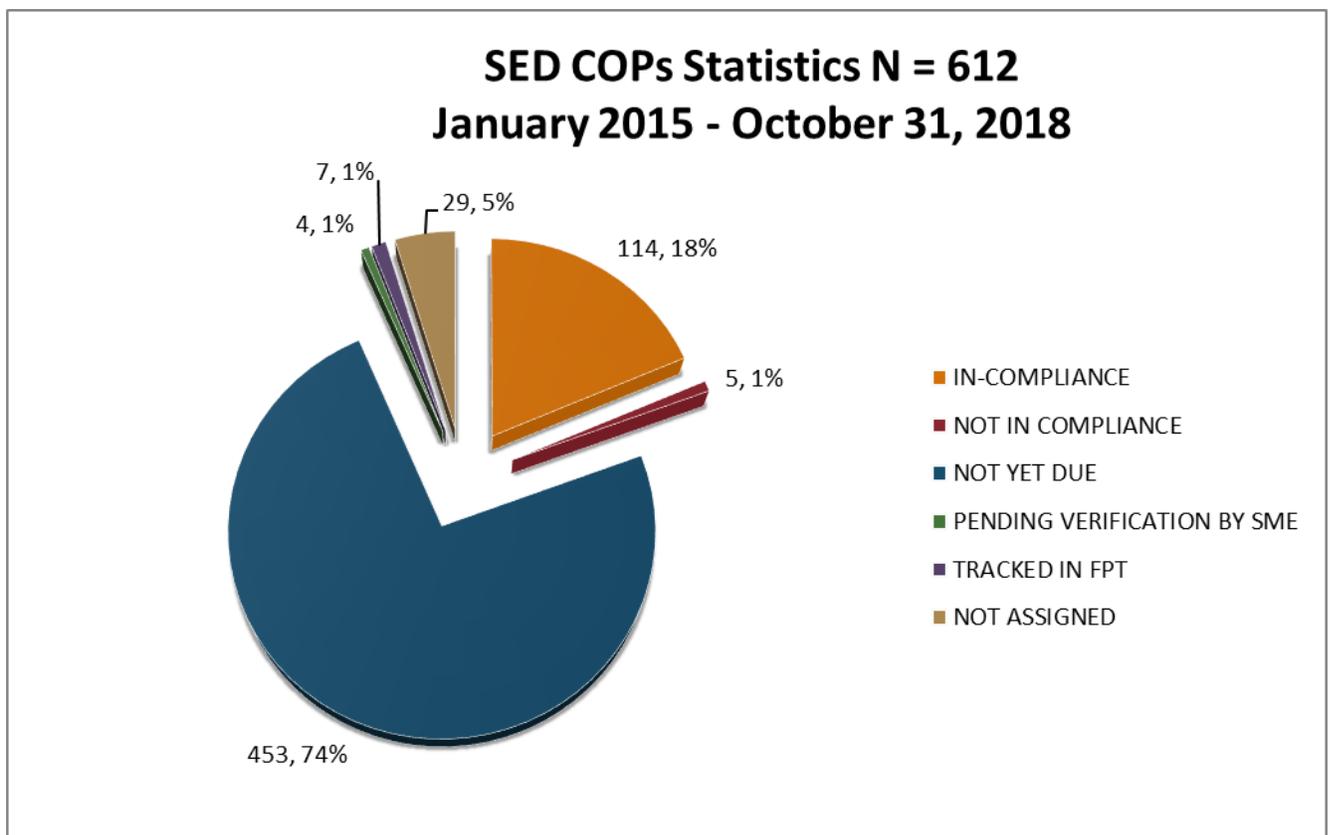
This Report has not been approved or disapproved by the CPUC.

COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through October 31, 2018, SED shows 612 total entries in the COPS system; with 114 reaching compliance (19%), 453 (74%) not yet due for compliance, and 5 (1%) currently remaining out of compliance. 4 (1%) are pending verification. 582 (95%) of all Ordering Paragraphs are assigned to members of staff.

During October 2018, there were 36 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				

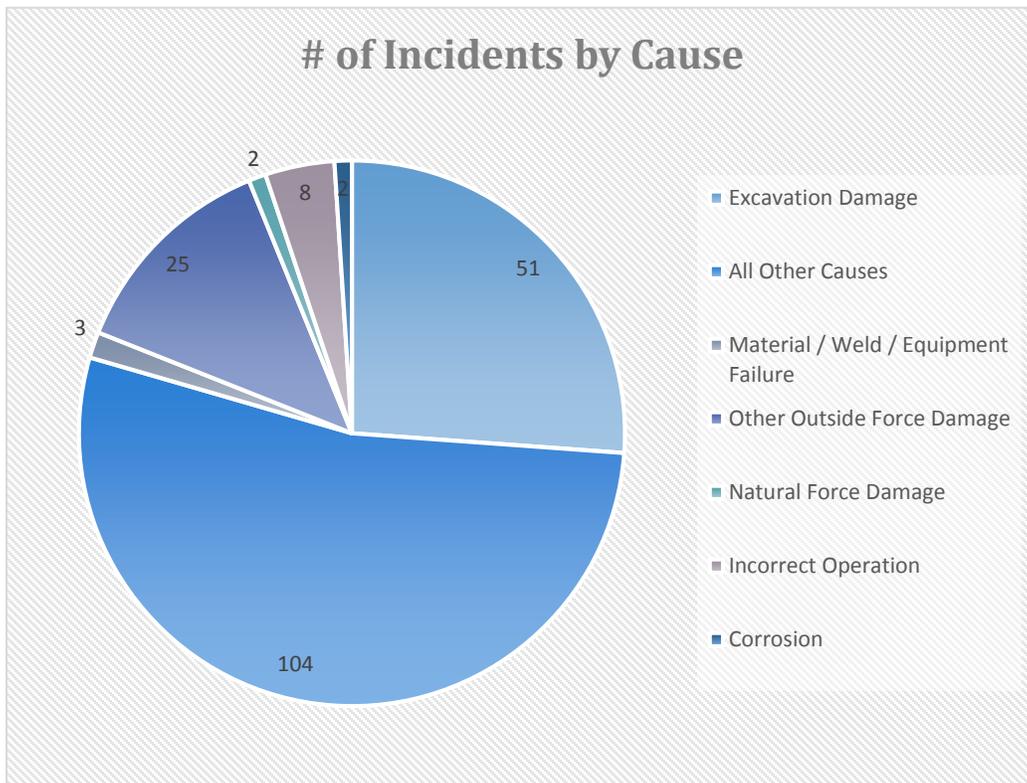
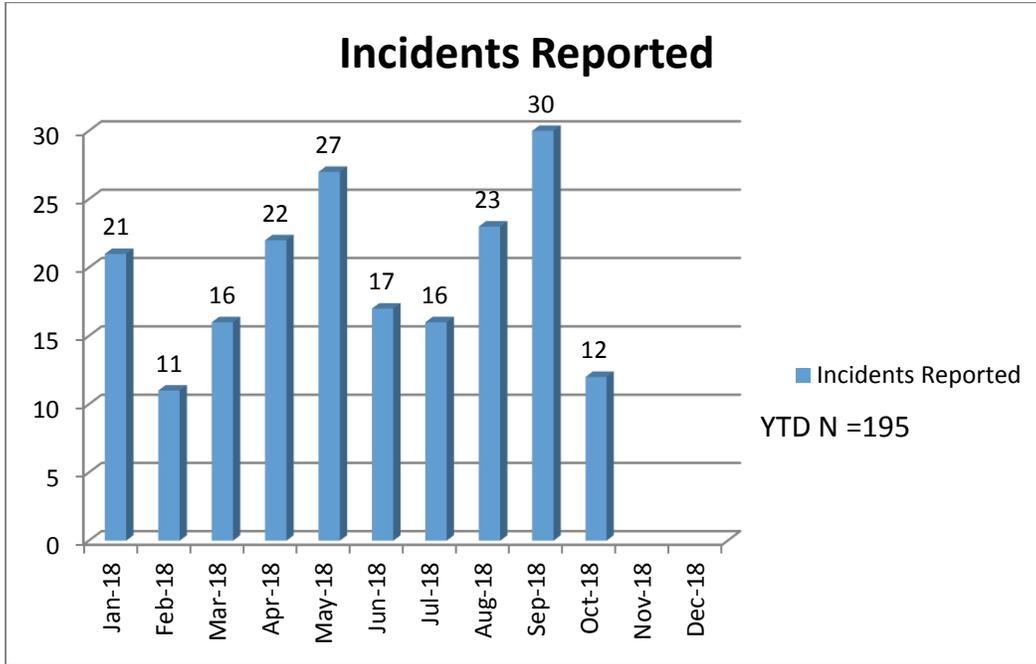
Citation Number	Utility	Amount	Violations	Date Cited	Appealed	Status
D.16-09-055 G.18-02-001	PG&E	\$ 100,000	192.605(a), 191.15(d)	2/16/2018	No	Paid on 3/16/18
D.16-09-055 G.18-10-001	PG&E	\$ 1,000,000	192.273(a), 192.281(a)	10/12/2018	No	Paid on 11/7/18
D.16-09-055 G.18-10-003	PG&E	\$ 4,050,000	192.605(a),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

INSPECTIONS

	2018
Conducted	38
Final Report Completed	43

INCIDENT INVESTIGATIONS

As of October 31, 2018, GSRB Staff received 195 incidents year to date.



The CY 2018 incidents¹ are categorized as follows:

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

UTILITY SELF-IDENTIFIED VIOLATION (SIV) INVESTIGATIONS

At the end of each year, the SIV process owner will conduct an annual review, which includes a trend analysis of systemic issues, determination of investigation effectiveness, and possible revision of investigation criteria. There were no self-identified violations reported in October.

NATURAL GAS RELATED PROCEEDINGS

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

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

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

- Received eight electric facilities incident reports and closed 17 previously reported electric facilities incident investigations (seven of the 17 incidents were previously closed; however, ESRB re-opened and closed them again in order modify information in the database);
- Investigated 46 customer safety and reliability complaints;
- Performed one electric distribution audit;
- Issued seven Notice of Violation letters/reports.
- Monitored 13 planned outages and 12 forced outages reported by natural gas and renewable energy power plants.
- ESRB staff attended training courses related to electric and generation facilities.

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

Electric Safety and Reliability Branch		Level 1	Level 2	Level 3	Level 4	Total ²
Total open incidents	Electric Facilities	6	17	55	59	137
	Generation	0	0	2	2	4
Total incidents reported in 2018	Electric Facilities	12	18	20	40	90
	Generation	0	0	1	1	2
Total incidents closed in 2018	Electric Facilities	14	22	33	24	93
	Generation	0	0	0	1	1
Total open 2018 incidents	Electric Facilities	6	9	15	30	60
	Generation	0	0	1	0	1
Incidents reported in October 2018	Electric Facilities	1	0	2	5	8
	Generation	0	0	0	0	0
Incidents closed in October 2018	Electric Facilities	0	8	5	4	17
	Generation	0	0	0	0	0

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

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).

years. Parties have 10 days from the issuance of the OIR to file comments on the OIR. ESRB will review all related issues and provide advisory support when needed.

- **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 will be 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 September 12, 2018, ALJ Mason issued a Ruling requesting comments on the OIR questions set forth in Section 3 of the Scoping Memo. On October 12, 2018, SED and parties filed comments on the ALJ's Ruling requesting comments on the OIR questions set forth in Section 3 of the Scoping Memo. On October 15, 2018, ALJ Mason issued a Ruling requesting reply comments to the proposed use case comments; SED filed its reply comments on October 31, 2018. A Workshop to discuss the Use Cases and other issues related to this proceeding is scheduled for November 15 and 16, 2018 in San Francisco. Pending.
- **Fire Safety Rulemaking (R.15-05-006) (President Picker/ALJ Kenney/ALJ Kao) (Advocacy):**
This proceeding is now officially closed. In September 2018, SED submitted a recommendations report in compliance with Ordering Paragraphs 10 and 11 of Decision (D.)17-12-024. There are no more outstanding tasks associated with this proceeding.
- **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. 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 August 31, 2018, ALJ Kelly issued a Ruling requiring parties to respond to questions prior to the second Workshop. On September 14, 2018, SED and parties filed comments on the ALJ's ruling and on September 28, 2018, SED participated in the second Workshop for Phase II in San Diego. 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:** The Commission adopted Resolution ESRB-8 on July 12, 2018. This Resolution extends de-energization reasonableness, public

notification, mitigation and reporting requirements in D.12-04-024 to all electric investor-owned utilities and adds new requirements. It requires utilities to hold informational workshops and to make all feasible and appropriate attempts to notify customers prior to a de-energization event. It directed utilities to submit reports to the Director of the SED within 30 days outlining their public outreach, notification, and mitigation plan. The utilities have submitted their reports to SED and ESRB is currently reviewing them. 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.

OTHER ACTIVITIES

- **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.

On October 16, 2018, the TMCC had a quarterly meeting and discussed:

- The development of the CAISO act as a Reliability Coordinator for part of the Western Interconnection,

- Western Electricity Coordinating Council (WECC) auditing utilities for their compliance with applicable reliability standards,
- PG&E's de-energization events at Lake County, Napa County, and Placer County in response to recent wildfires,
- The CAISO coordination with CPUC on fire mitigation plans and implementing Senate Bill 901 requirements, and
- The CAISO coordination with the Commission on renewable resource portfolios, transmission plans, and generator interconnections for implementing the SB 100, which declares that 100% of total retail sales of electricity in California should come from eligible renewable energy resources and zero-carbon resources by December 31, 2045.

UTILITY RISK ASSESSMENT AND SAFETY ADVISORY

REVIEWING SAFETY & RISK IN GENERAL RATE CASES

There were no new developments in GRCs during the month of October. In November, Southern California Edison (SCE) will file 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.

PROCEEDINGS

- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ Allen) (Advisory):** Evidentiary hearings on limited aspects of the Safety Culture investigation were held in San Francisco on April 11. Opening briefs were filed on May 11 and replies on May 25. The consensus of Parties is that the Commission should adopt the NorthStar evaluation and all of its recommendations, but further action is necessary to ensure PG&E compliance. On October 25, the Commission issued a proposed decision adopting the NorthStar report and recommendations; it is scheduled for consideration at the November 29 business meeting. The PD would order PG&E to provide quarterly reports on its compliance with NorthStar recommendations commencing 4th Quarter 2018, with full implementation by July 1, 2019.
- **Gas Leak Abatement OIR (R.15-01-008) (Commissioner Rechtschaffen/ALJ Kersten) (Advisory):** RASA staff on August 31 issued final evaluation letters accepting revised utility Compliance Plans, which included specific of their proposed Best Practices implementation

and research/pilot projects. About \$315 million in funding for these activities was approved by the Commission on October 11, via Resolution 3538-G. RASA staff continues to work with the California Air Resources Board to prepare an evaluation report of the 2017 Leak Survey data filed in mid-June. The report is due to be released in mid-November 2018. A workshop is scheduled November 16 to explore new mapping tools and 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):** Representatives of the Joint Utilities and the Joint Intervenors filed a motion for adoption of a settlement of several critical technical issues and modeling principles in the S-MAP on May 2. A workshop was held to review the terms of the Proposed Settlement. A proposed decision on the settlement is pending.
- **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):** RASA's evaluation report on PG&E's RAMP and a subsequent workshop to review findings and recommendations, are the last formal activities in the proceeding. In early June, PG&E sent a letter to the CPUC executive director requesting a four-month delay in filing its GRC, citing uncertainties related to wildfire costs and liabilities. No parties objected to the request, and the GRC will be due no later than January 1, 2019.
- **Pacific Gas & Electric Gas Transmission & Storage (GT&S) rate case (A.17-11-009) (Commissioner Rechtschaffen/ALJ Roscow):** PG&E included GT&S related risks in its 2017 RAMP filing, which were reviewed and analyzed by RASA staff. A separate report containing the six RAMP chapters was circulated to parties in April, and staff conducted a workshop on April 16. A scoping memo was issued April 24; hearings on the rate case were completed in early October; and opening briefs will be due November 2.
- **SCE 2017 General Rate Case (A.16-09-001) (President Picker/ALJs Roscow & Wildgrube):** Oral arguments on select issues, including SCE's Grid Modernization proposals, were held

June 20. A Proposed Decision is currently being drafted to include supplemental testimony on issues raised by the 2017 federal tax reform act.

- **Physical Security of Electric Infrastructure (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly):** A Phase 1 decision on physical security plans is pending. A PHC for Phase 2, involving community engagement in utility emergency plans, was held March 15. A scoping memo for Phase 2 was issued May 31 to establish a schedule for workshops in the continuing rulemaking. The initial workshop was held June 26 at Cal-OES in Mather, reviewing existing water and electric utility practices for emergency planning and response. A second workshop, covering local community involvement and emergency communications, was held September 28 at San Diego County offices.
- **Utility Poles (I.17-06-027/R.17-06-028) (Commissioner Picker/ALJs Mason and Kenney):** The Investigation and Rulemaking into possible creation of a shared database or statewide census of utility poles and conduit was initiated on June 29, 2017. This proceeding is consolidated with R.17-03-009 that considers whether and how our existing Rights-of-Way Rules should be applied to wireless support facilities (lines and antennas). A scoping memo was issued in early August, establishing a schedule for workshop. The next workshops will be November 15-16, in San Francisco, to refine proposals for “use cases” for a pole census database.
- **Undergrounding Rule 20A (R.17-05-010) (Commissioner Picker/ALJs Hecht & Wildgrube):** This rulemaking was launched May 11 to review policies and funding mechanisms for the overhead to underground conversion program administered by electric utilities for cities and other jurisdictions. A PHC was held September 11, 2017, and a scoping memo is pending. SED will monitor the proceeding with an interest in adding safety as one of the program eligibility criteria.
- **2018 Energy Storage Solicitations (A.18-02-016/A.18-03-001/-002) (Commissioner Peterman/ALJ Stevens):** A PHC was scheduled May 1 to review procedural aspects of the electric utilities’ 2018 proposals for procurement to meet the CPUC’s goal of adding over 2,850 MW of energy storage systems (ESS). SED offered support for continuation of technical working group to review safety requirements in contracting. Staff recently

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reviewed data responses from the utilities identifying locations of storage facilities that are subject to SED safety inspections.

- 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 – 010/31/2018

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

Confirmed or Possible Whistleblower Complaints						
	CAB	Transportation	Electric Safety	Gas Safety	Telco Fraud	Rail
January	0	0	0	0	0	0
February	0	1	0	0	0	1
March	0	1	1	1	0	0
April	0	0	0	0	1	0
May	0	2	0	0	0	1
June	0	1	0	0	0	0
July	0	0	0	1	1	1
August	0	4	0	0	0	1
September	0	1	0	1	2	1
October	0	3	1	0	0	0
Total 2018	0	13	2	3	4	5

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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
October	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
YTD	30

OFFICE OF RAIL SAFETY

RAILROAD SAFETY – ROSB

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

Railroad Operations Safety Branch	Oct-18	YTD 2018
New Incidents Investigated	13	97
Informal Complaints Investigated	2	18
Safety Assessments/Reviews	15	146
Compliance Actions	1095	9516
Major Inspections Completed	1	31
Operation Lifesaver Presentations	3	129

ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

September 18, 2018: Two CPUC railroad safety investigators specializing in Operating Practices, conducted a routine inspection of the California Northern Railroad (CFNR) in Davis. The purpose of the inspection was to verify compliance with Federal and State regulations. During their inspection the railroad safety investigators observed vegetation which had grown into the area next to the railroad tracks, causing a contact hazard for railroad employees and equipment. The most serious hazard is to railroad employees who ride the side of moving equipment as they pull cars from the UPRR siding, around the wye track onto CFNR tracks to be switched. Railroad employees could be seriously injured if struck by the vegetation. Contact with the vegetation could also knock the trainman off the side of the rail car, of which they were riding and onto the ground or possibly under moving equipment, which could cause injury, amputation or even death.

State General Order 26-D was established to prevent injuries and fatalities to trainmen. The conditions discovered are not in compliance with the minimum standards established in State General Order 26-D which states; that the clearance from the centerline of the track to any vegetation on curved track shall be a minimum of 9'6". This minimum was established so that vegetation does not impair side clearance which would create a contact hazard to railroad employees riding equipment.

Upon completion of their inspection, the CPUC railroad safety investigators specializing in Operating Practices, informed the CFNR General Manager (GM) of the conditions found. The GM had an order published warning railroad employees of the unsafe conditions on the wye track at Davis. The GM stated that he would have the condition remediated promptly. On September 27, 2018 the railroad safety investigators conducted a follow-up inspection which revealed that the vegetation on the east leg of the wye track at Davis was trimmed back beyond 9'6" from the centerline of track in compliance with GO 26-D. Safe working conditions were restored.

September 25, 2018: A CPUC, Motive Power and Equipment Investigator, conducted a routine inspection on the Union Pacific Railroad, West Gate Yard in the City of West Sacramento. The following defective conditions, vegetation and vehicles obstructing the walkways, were observed during the inspection.

The CPUC investigator was performing an inspection of freight equipment on the UPRR, in the West Gate Yard, in West Sacramento. Vegetation and vehicles were observed obstructing the yard walkways adjacent to the rail tracks during the inspection. Railroads are responsible for controlling the vegetation and vehicles adjacent to the railroad tracks on their property. General Order's 118-A states, "The standards of each railroad corporation shall contain provisions for reasonably safe and adequate walkways adjacent to its tracks in all switching areas, and shall provide that all such walkways shall be maintained and kept reasonably free from vegetation as may be appropriate to prevailing conditions, and shall provide for abatement of weeds and brush adjacent to walkways as necessary to prevent the growth of objectionable vegetation encroaching upon such walkways. General Order 26-D paragraph 3.2

states; “All structures and obstructions above the top of the rail except those hereinafter specifically mentioned..... NOTE: Posts, pipes, warning signs and similar obstructions should, where practicable, have a side clearance of ten (10) feet.

The vegetation and vehicles are a safety hazard when they obstruct the walkway, as they may come into contact with railroad employees while performing their duties and may result in an injury or fatality. Railroad management was notified of the investigator’s findings, and the management removed the vegetation and vehicles.

October 03, 2018: One CPUC Railroad Safety Investigator, two FRA Investigators, First Responders from the Port of Stockton, the Stockton Police and Fire Departments and 32 employees of companies that handle anhydrous ammonia attended a training session at the Stockton Fire Department’s training center. Presentations were made by safety employees of California Ammonia Coop (CALAMCO) and Stanislaus Farm Supply on the different potential hazards while working around, and responding to, a release of the many varieties of ammonia, such as anhydrous ammonia, aqua ammonia, ammonium nitrate, and others. Each variation has its’ own particular hazards and specific response requirements.

CALAMCO receives its’ bulk ammonia in specially-equipped ships at the Port of Stockton, off-loading that into huge storage tanks for distribution via rail and truck. To give you an idea of how much product these ships carry, the 14” diameter hose used to offload the ships holds 50 tons of ammonia just by itself. The ammonia is produced in the few areas of the world where nitrates are found in high concentrations. Chemically, plain ammonia is one atom of Nitrogen bound to three atoms of Hydrogen. Different processes and additives result in ammonia variations that are used in fertilizer production, refrigeration, food processing, water treatment, air purification, synthetic textile fibers, household cleaners, explosives and pharmaceuticals. In the United States, there are over 650,000 chemicals containing ammonia in some form, with hundreds more added each year.

Ammonia is very corrosive, so it requires special piping and containers. It is also stored and transported in liquid form at -28 degrees Fahrenheit. Given enough heating, and in a narrow concentration range, it will burn. However, its’ main safety issue is the vapor: Exposure to small

concentrations is an irritant. Larger concentrations result in damage to the eyes, lungs, and skin. Much larger concentrations result in death. Proper handling with the appropriate Personal Protective Equipment (up to a Level A HazMat Suit with Self Contained Breathing Apparatus, and extensive training) was stressed. Several case studies were presented demonstrating the need for preparation for, and properly addressing, a release.

Following the CALAMCO presentation, Ed Tobler of Stanislaus Farm Supply gave a presentation on the Nurse Tanks in wide use in the Valley's agriculture industry. He not only covered the physical makeup of the tanks, but also potential hazards from the different valves and regulators currently in use. Several examples of how releases were mitigated were shown. Aside from the training, this was an excellent opportunity to exchange contact information and become familiar with first responders and the experts at CALAMCO. In the event of a major release, familiarity with other responders has proven to greatly facilitate the mitigation process of releases.

October 04, 2018: CPUC and FRA railroad safety investigators conducted a routine inspection of freight equipment on the Modesto and Empire Traction Company's (M&ET) locomotive shop, located in the city of Modesto. Investigators conducted a review of the locomotive Periodic Inspection (PI) task sheet. It was observed that, no inspection of "Locomotive Alerters" was being performed by railroad personnel. The PI task sheet is created by each railroad, for their employees to use as a guide to ensure they inspect each piece of equipment, to meet the standards set forth in the Railroad Locomotive Safety Standards of 49 CFR Part 229.140(a)(2) – "Alerter" is a device or system installed in the Locomotive cab, to promote continuous and active locomotive engineer attentiveness, by monitoring select locomotive engineer-induced control activities. If fluctuation of a monitored locomotive engineer-induced control activity is not detected within a predetermined time, a sequence of audible and visual alarms is activated so as to progressively prompt a response by the locomotive engineer. Failure by the locomotive engineer to institute a change of state in a monitored control, or to acknowledge the alerter alarm activity through a manual reset provision, results in a penalty brake application that brings the locomotive or train to a stop. Alerters are required on all

controlling locomotives operated at speeds in excess of 25 mph on or after January 1, 2017. The Investigators asked why the railroad did not include a check of the alerter system during their PI, the management stated that their locomotives were not equipped with them. The Investigators asked about the M&ET operating speeds on the M&ET track system, and the management stated that they did not exceed the 25-mph threshold. They additionally stated that, when the M&ET travels on the Union Pacific rail system as required to deliver and pick up freight equipment in interchange, they do occasionally travel in excess of 25 mph.

The CPUC railroad safety investigator notified the M&ET management that they were not in compliance with 49CFR 229.140 (a)(2). The M&ET management immediately posted a 25-mph speed restriction for their equipment on the Union Pacific Railroad and subsequently created their General Order 6-2018 limiting the speed to 25 mph.

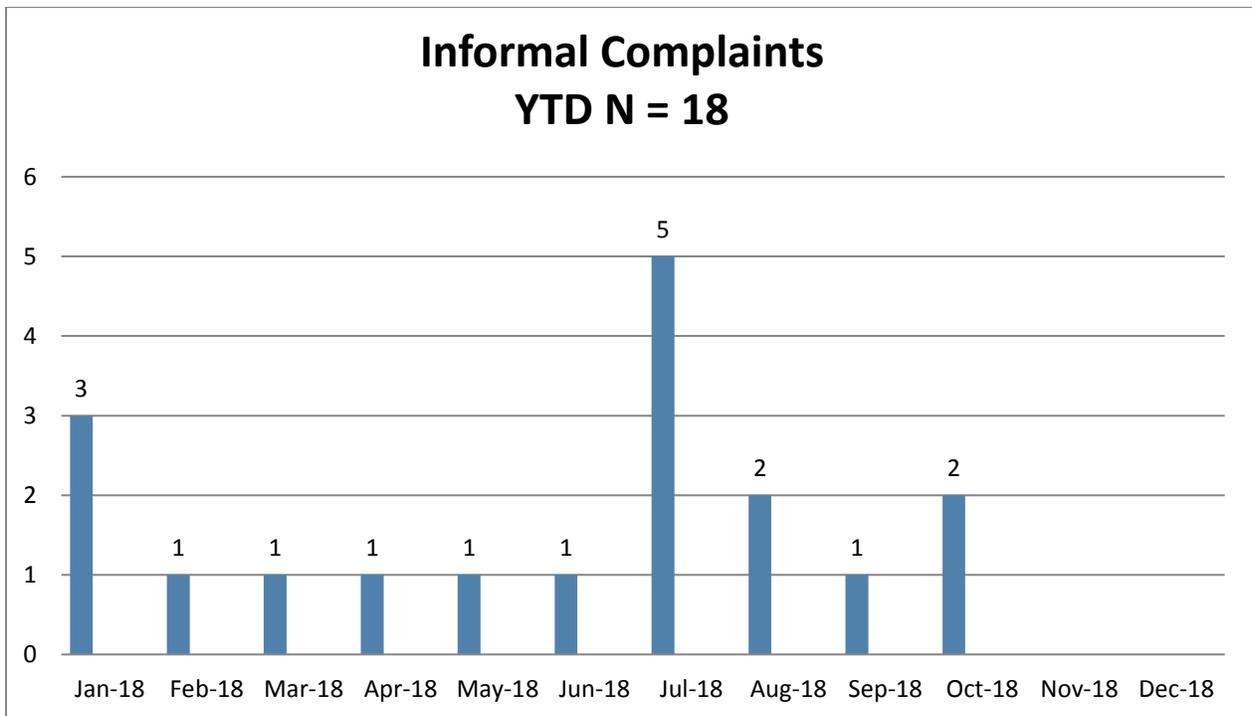
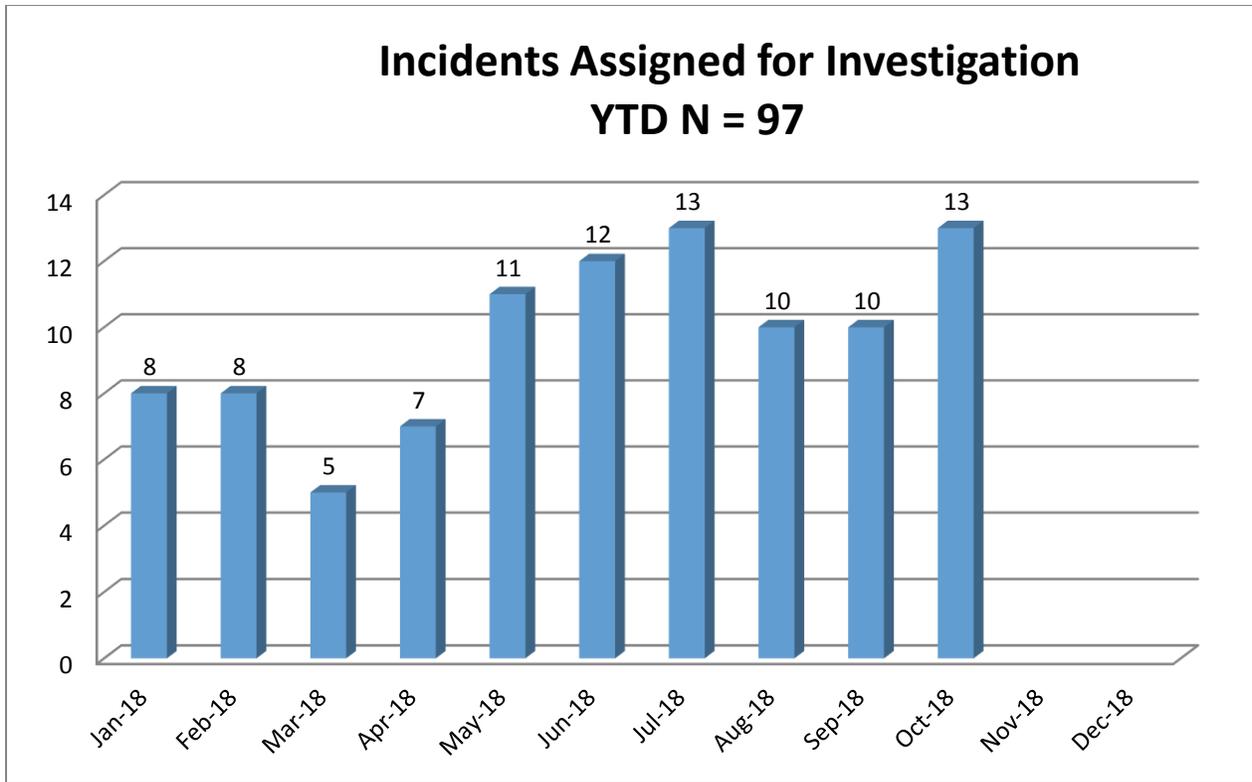
October 09, 2018: A CPUC Rail Safety Inspector performed an Operation Lifesaver (OL) presentation to a group of professional drivers at the Simi Valley Transit Division facility in Simi Valley, Ventura County. A total of twenty- three drivers attended to the presentation and all received printed materials on railroad safety hazards and how to avoid them.

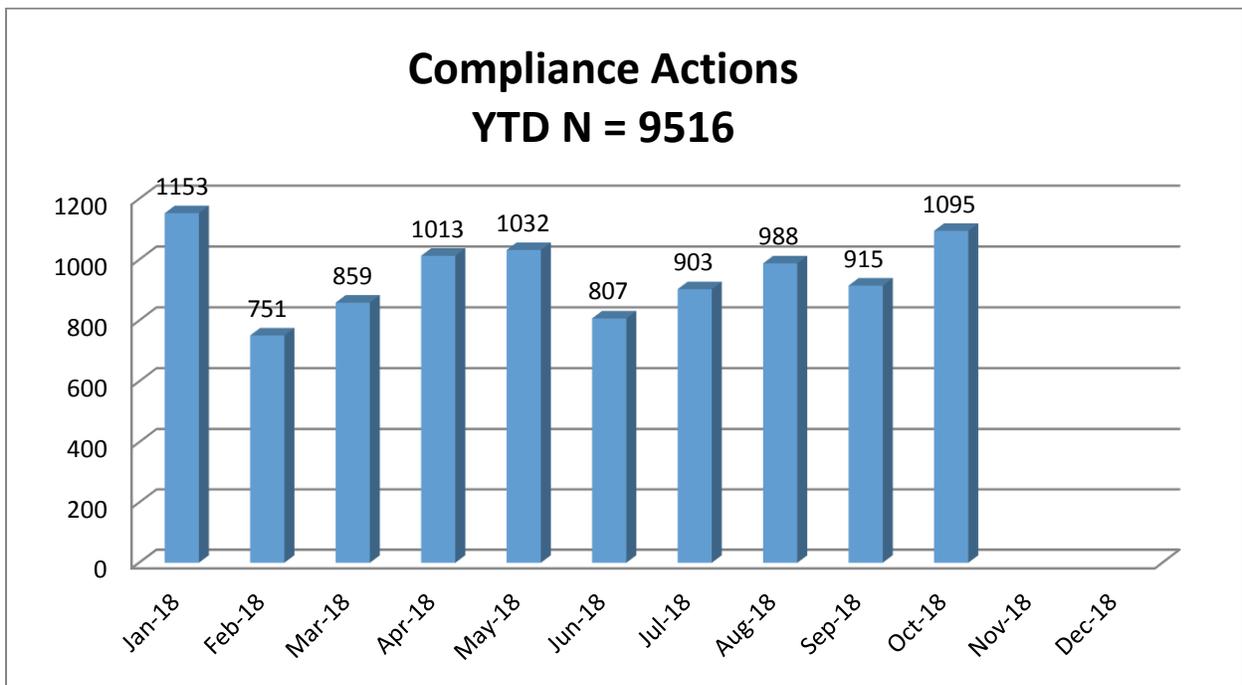
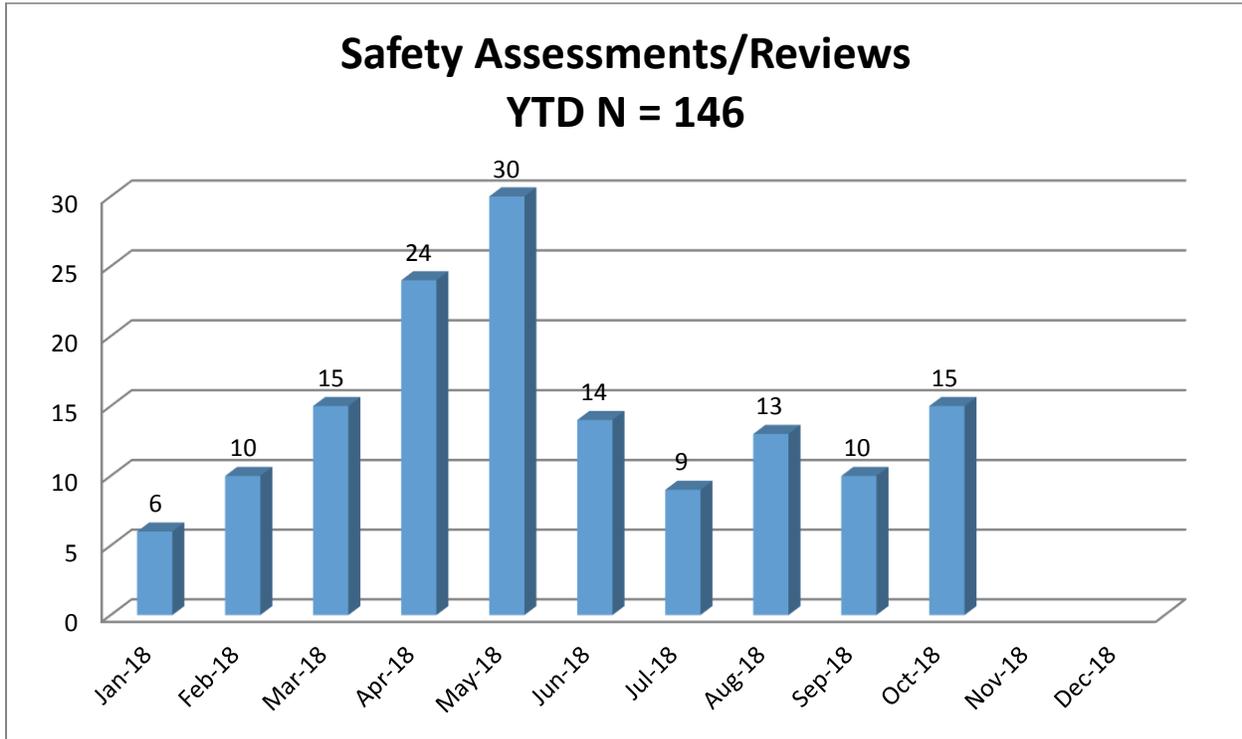
October 25, 2018: Two CPUC Railroad Safety Investigators performed inspections of the Union Pacific Railroad in Roseville and Colfax to determine the availability of spray equipped water cars to be used in the event of wild fires near the railroad right of way. The investigation revealed that the available water cars had been moved to the yards in Roseville, Colfax and Sparks, NV for the winter. The cars are emptied and moved into storage each winter to prevent freezing and are then filled and moved into position each spring, to be made available for possible fire control during the spring and summer months. There are currently 12 water cars in Roseville, CA including 2 cars with pumps and spray equipment, three water cars at Colfax, CA including one car with pumps and spray equipment and 2 cars at Sparks, NV.

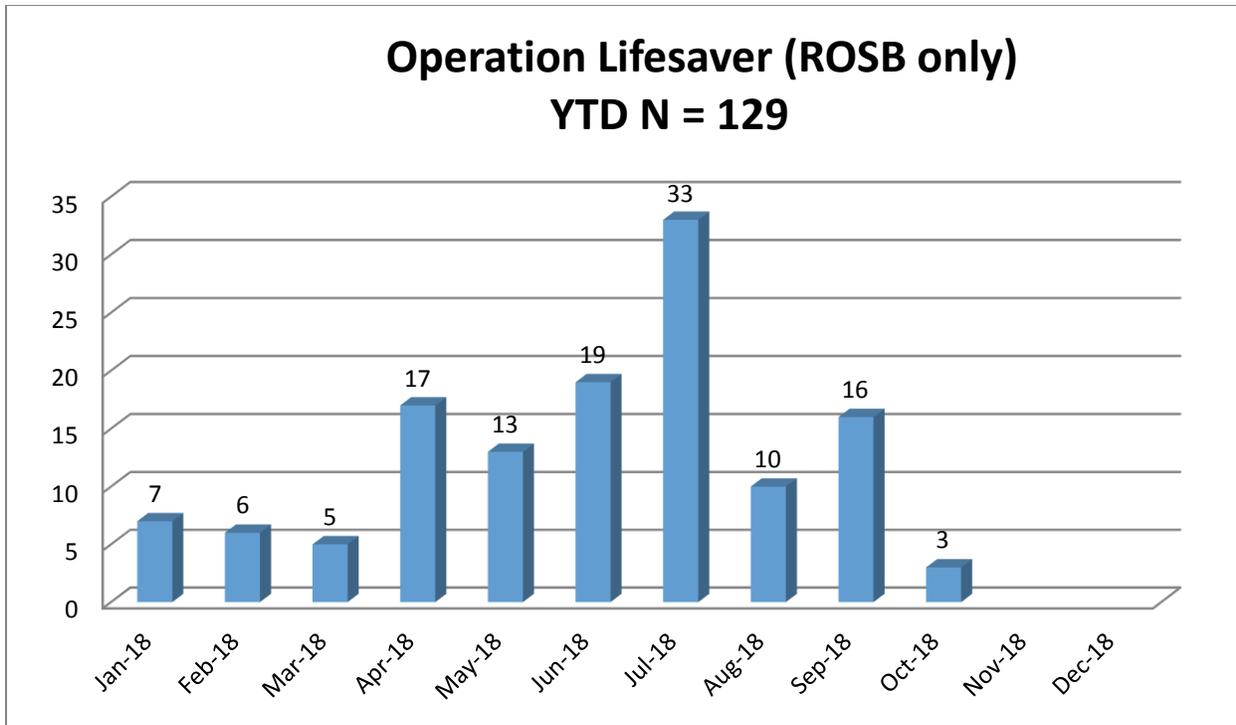
With the increase in wild fire activity in the State of California, it is of increasing importance that railroads maintain and the CPUC monitor the availability of firefighting equipment, so that the resources are available to the firefighting crews should fires occur near the railroad right of way.

October 29, 2018: A CPUC Railroad Safety Investigator conducted an inspection of the Union Pacific rail yard in San Luis Obispo California. The Inspection revealed a hazardous condition on two rail cars, TYOX 908 and TYOX 919, on yard main line and siding tracks (reference GOIN 2018100025). These cars were found with the side clearances impaired (General Order 26-D Section 3.20). This condition is a hazard to train crews, mechanical employees, overhead structures i.e. overhead road ways, and overhead walkways and could potentially cause a derailment, standing equipment on adjacent tracks, crossing equipment and signal equipment. Union Pacific management was notified of the defective condition and they committed to remediating the hazard. A follow-up was conducted to verify that the hazard was remediated. The railroad placed a movement hold “as is where is” on the defective cars. The action prohibits movement of the equipment. This prevented the defective equipment from possibly coming into contact with railroad employees and/or the public, which may result in a catastrophic event.

The CPUC, Safety Enforcement Branch, routinely conducts GOIN inspections of railroad properties to ensure compliance with the States General Orders. Investigators conduct field inspections of railroads at each location and these inspections reveal defective conditions that determine if the rail carrier is in compliance. Follow up inspections are conducted to ensure that remedial actions have been performed on defective conditions to bring the conditions back into compliance and provide a safe work environment for railroad employees.







OFFICE OF RAIL SAFETY

RAIL CROSSINGS AND ENGINEERING BRANCH - RCEB

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

	New	New YTD	Closed	Closed YTD
Crossing Incident Reviews	25	191	8	143
Safety Assessments/Quiet Zones/Reviews	44	338	44	338
Proceedings, Resolutions and G.O. 88-B Reviews	2	78	6	99
Operation LifeSaver Presentations	4	43	4	43

RAIL CROSSING INCIDENT INVESTIGATIONS

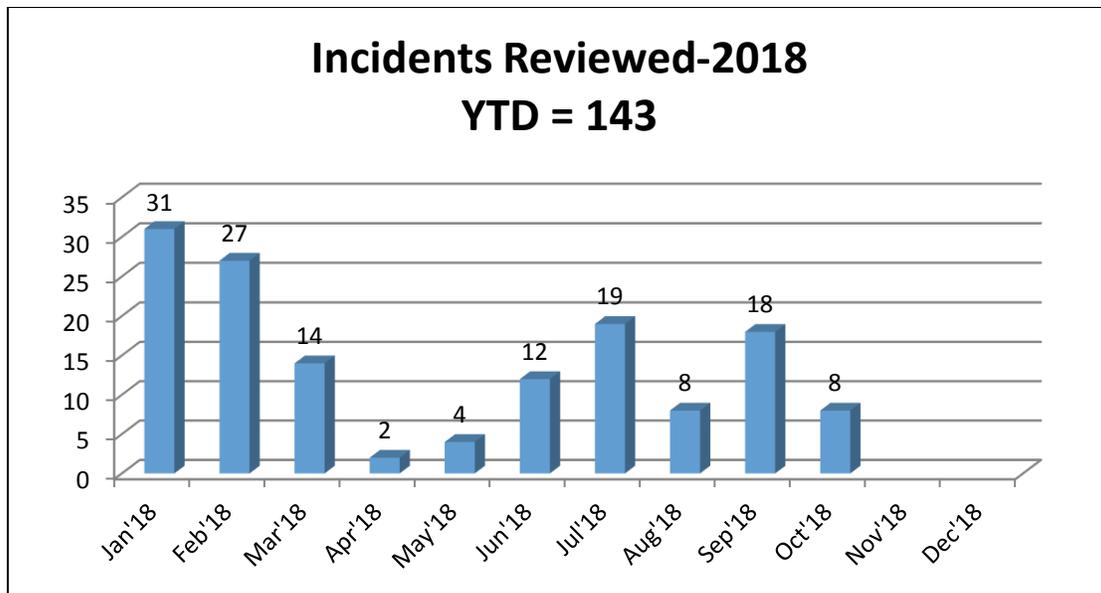
In October 2018, the Rail Crossings and Engineering Branch (RCEB) assigned 22 new incidents at highway-rail crossings, and three incidents at highway-LRT crossings. These 25 collisions

resulted in six fatalities and 14 injuries. RCEB completed eight crossing incident reviews at highway-rail crossings. These collisions resulted in two fatalities and five injuries. RCEB will continue to monitor the crossings.

- **INCR2017110075-INCX2017120001** - On November 22, 2017 at 06:44 hours, a vehicle struck an Amtrak train occupying the crossing at the Williams Street at-grade crossing resulting in injuries in the City of San Leandro, Alameda County. The crossing has gate warning devices. RCEB found that a westbound motorist drove through the lowered gates and struck an Amtrak train already occupying the crossing. The vehicle then struck several other nearby vehicles and pedestrians resulting in 3 injuries.
- **INCR2018020016-INCX2018020006** - On February 3, 2018, at 17:50 hours, an Amtrak train struck a pedestrian at the 5th Avenue grade crossing, resulting in injuries near milepost 7.60 of the Niles subdivision in the City of Oakland, Alameda County. RCEB found that, based on the ROSB report, a pedestrian jumped in front of the train and knelt on the track. The Amtrak train struck the pedestrian resulting in 1 injury. After the incident, the pedestrian told the train conductor the pedestrian wanted to end his/her life.
- **INCR20170040002-INCX2017030070** - On February 24, 2018 at 11:29 hours, an AMTRAK train struck a vehicle at the 37th Avenue grade crossing, with no injuries reported near milepost 1010 of the Niles subdivision in the City of Oakland, Alameda County. RCEB found that a westbound motorist exited their vehicle on the crossing prior to a northbound Amtrak passenger train striking the vehicle, resulting in property damage only.
- **INCR2018030080-INCX2018030023** - On March 29, 2018 at 03:38 hours, a southbound UP train struck an automobile at the 66th Avenue grade crossing, with no injuries reported near milepost 11.70 of the Niles subdivision in the City of Oakland, Alameda County. RCEB found that an intoxicated motorist evading the California Highway Patrol traveling eastbound on 66th Ave was approaching the rail crossing. The motorist drove into oncoming traffic in the #2 westbound lane. The train activated the crossing warning devices. The motorist stopped and exited the vehicle to flee on foot. However, the motorist failed to place the vehicle's transmission into PARK, the vehicle continued forward and struck the

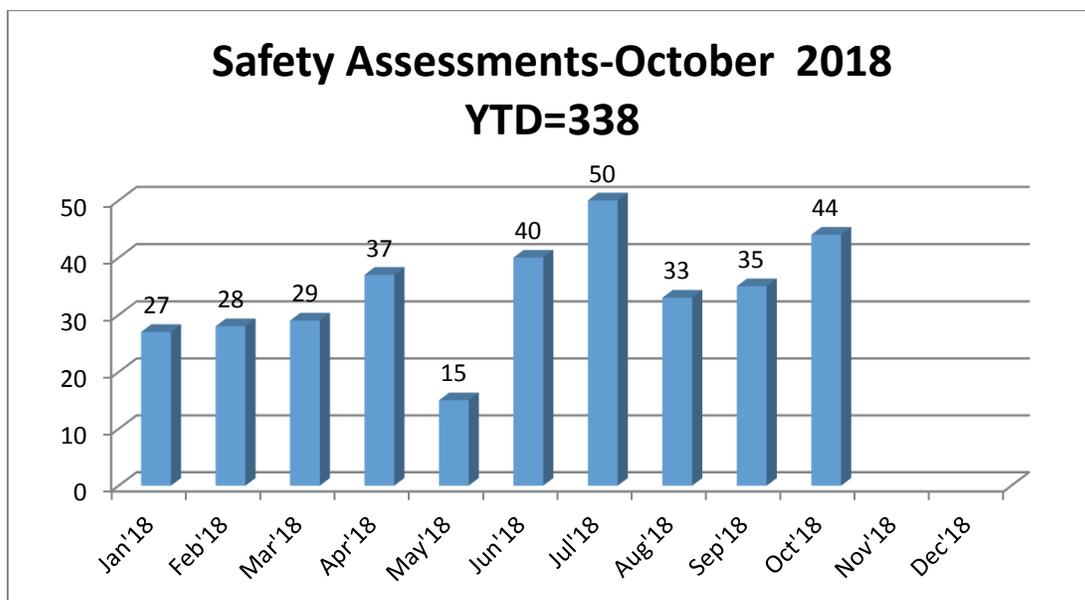
freight train that was already occupying the crossing. The collision resulted in property damage only.

- **INCR2018040055-INCX2018050002** - On April 26, 2018 at 14:09 hours, a UP train struck a motorcyclist at the 98th Avenue grade crossing, with injuries reported near milepost 13.30 of the Niles subdivision in the city of Oakland, Alameda County. RCEB found that an eastbound motorcyclist drove around the gate and stopped on the tracks in an attempted suicide. The UP-freight train then struck the motorcyclist resulting in an injury.
INCR20180600-INCX2018060015- On May 31, 2018 at 17:41 hours, an AMTK456 train struck a pedestrian at the Milpas Street grade crossing resulting in a fatality near milepost 368.50 of the Santa Barbara subdivision in the city of Santa Barbara, Santa Barbara County. RCEB found that the Santa Barbara Police Department classified the incident as a suicide.
- **INCR2018070058-INCX2018070020** - On July 19, 2018 at 06:48 hours, a northbound Amtrak train struck a pedestrian at the Olive Mill Road grade crossing, that resulted in a fatality near mile post 370.60 of the Santa Barbara subdivision in the City of Montecito, Santa Barbara County. RCEB found that the incident occurred along the rail right of way and not at the crossing. The Coroner determined the fatality to be accidental.
- **INCR2018090028-INCX2018090003** - On September 11, 2018 at 20:43 hours, a UP train struck a law enforcement vehicle at the Middlefield Road grade crossing, near milepost 26.37 of the Redwood Harbor Industrial Lead in Redwood City, San Mateo County. RCEB found that the Redwood City Police Department did not have a record of this incident and did not issue a report. RCEB does not have enough information to determine the circumstances of this incident.



SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

In October 2018, RCEB completed 44 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 44 activities, two staff members also participated in a Geometric Design for California training in the City of Rancho Cordova.



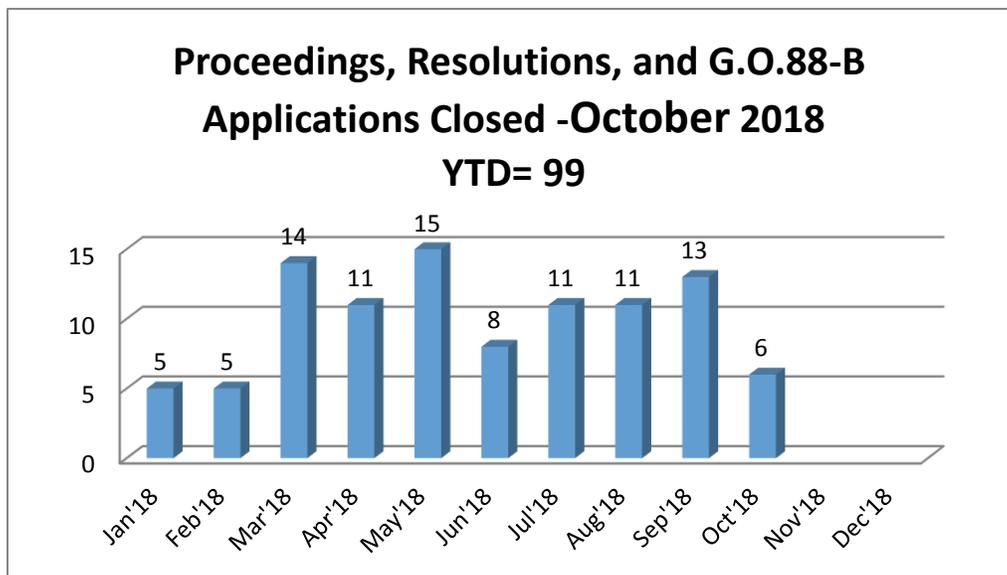
PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

In October 2018, RCEB staff received two new General Order 88-B applications for changes to existing crossings. This month, RCEB closed six proceedings including three formal proceeding with the ALJ and three General Order 88-B applications.

- **PROC A1804008**– On October 25, 2018 with D.181041, the Commission authorized the Orange County Transportation Authority application, A1804008, to construct three grade separated crossings in the Cities of Garden Grove and Santa Ana, in Orange County. The project grade separates light-rail crossings for the Westminster Ave, the Santa Ana River Riding/Hiking/Maintenance Trail and the Santa Ana River Bike Path. The authorization expires in three years, October 25, 2021.
- **PROC A1804009**–On October 25, 2018, with D.1810037, the Commission authorized the Orange County Transportation Authority application, A1804009, to construct 35 at-grade crossings in the City of Santa Ana in Orange County. The proposed light-rail crossings are for a street running configuration along Santa Ana Boulevard, 4th Street, and Mortimer Street. The authorization expires in three years, October 25, 2021.
- **PROC A1710009**– On October 9, 2018, with D.1810004, the Commission issued an Order of Dismissal of Union Pacific Railroad Company’s application A1710009 and Resolution A-4638. With the assistance of the Commission’s Alternative Dispute Resolution program, the parties reached agreement to create a collaborative process to investigate possible projects to improve safety and preserve transportation mobility in the vicinity of the Union Pacific Railroad Company railroad crossing at County Road 32A in the unincorporated area of Yolo County.
- **GO 88B - XREQ 2018090005** – On October 18, 2018, staff authorized the El Dorado County to install paved trail over tracks adjacent to and crosswalk across Forni Road. The crosswalk will use a HAWK pedestrian signal warning device. Staff granted the request and the authorization expires in three years, October 17, 2021.
- **GO 88B - XREQ 2018100001** – On October 18, 2018, staff authorized the City of Barstow to alter the North 1st Avenue grade separated crossing over BNSF tracks in the City of Barstow,

San Bernardino County. The City proposes to construct a new two-lane bridge to the west of the existing two-lane timber bridge. Staff granted the request and the authorization expires in three years, October 17, 2021.

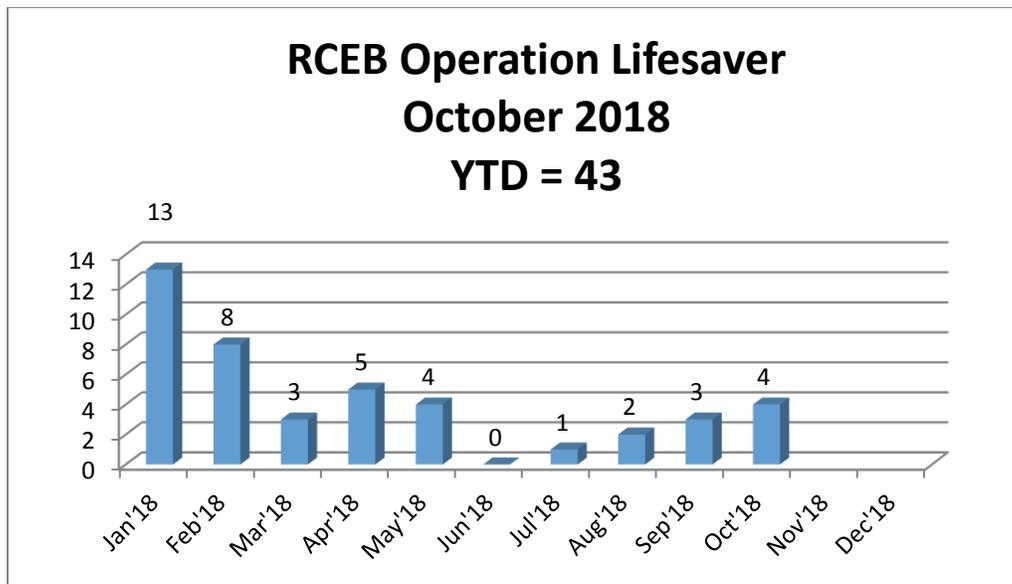
- **GO 88B - XREQ 2018090006** – On October 8, 2018, staff authorized the Peninsula Corridor Joint Powers Board to alter the Sunnyvale Caltrain Station at-grade pedestrian-rail crossing in the City of Sunnyvale, Santa Clara County. The alterations include extension of the station platform, relocating the existing crossing, install pedestrian warning devices, and channelization for pedestrians. Staff granted the request and the authorization expires in three years, October 8, 2021.



OPERATION LIFESAVER INC.

In October 2018, two RCEB Operation Lifesaver Inc. (OLI) volunteers shared the OLI rail safety message delivering two presentations and working at two events. On October 25, 2018, staff presented the rail safety message to two Driver’s Education groups at the Cosumnes Oaks High School, in Elk Grove, Sacramento County. A total of 72 students received the See Tracks Think Train rail safety message. On October 21, 2018, staff worked at an OLI booth and talked to participants at the CalVan Driver Recognition event in Parlier, Fresno County. A total of 150 adults and children received the rail safety message in English and Spanish. On October 29, 2018, staff worked at an OLI booth and shared information with 35 Spanish speaking adults and

children at the Firebaugh CVIIC Immigration Workshop in Firebaugh, Fresno County. As time permits, staff participates in presentations, fairs, and community events to share the OLI rail safety message to the public and professional drivers. RCEB corrected last month’s report to show that three OLI participations were completed instead of four that was noted in the SED report.



RAIL TRANSIT - RTSB

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

CORRECTIVE ACTIONS PLANS

- Nineteen (19) Corrective Action Plans (CAP's) were opened.
- Fourteen (14) were closed.

INCIDENT INVESTIGATIONS

- Forty (40) incidents were reported by Rail Transit Agencies (RTA).³

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.

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- Thirty-one (31) 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 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. Draft checklists are in review for preliminary findings.
- RTSB and Bay Area Rapid Transit (BART) met on May 29 to discuss the BART Triennial Safety Review Draft Audit Report. The objective was to discuss any concerns BART may have with the draft. BART sent RTSB their comments on the draft report. RTSB incorporated most of these responses into its revised draft report. RTSB plans to place a proposed resolution to adopt the BART Triennial Safety Review Audit Report on an upcoming Commission meeting agenda. A draft of the proposed resolution and report are under managerial review.

ADMINISTRATIVE ACCOMPLISHMENTS

- **Federal Certification of SSO Programs:** On October 23rd, the Federal Transit Administration (FTA) informed Governor Brown via letter that California’s State Safety Oversight (SSO) Program had been approved and certified by the FTA “in accordance with the requirements of Federal public transportation safety law...and FTA’s SSO regulation.” The FTA Acting Administrator made this announcement at FTA’s 2018 Joint meeting with State Safety Oversight Agencies and Rail Transit Agencies. RTSB representatives attending this meeting received recognition for this significant achievement.
- **Training:**
Daren Gilbert and Varoujan Jinbachian completed the “Safety Management Systems (SMS) Principles for State Safety Oversight Programs” training.
Jason Dixon completed the “How to Lead with Data” and “Labor Relations Training for Managers and Supervisors”.

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Ariana Merlino, Bill Lay, John Madriaga, Noel Takahara, Richard Fernandez, and Varoujan Jinbachian attended the “Conflicts of Interest” training provided by the Legal Division to the Los Angeles Office Staff.

Patrick Donnelly completed “Defensive Driver” training.

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.

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.

AirTrain is working to resolve a few outstanding items on its design conformance checklist for Phase 1 before commencement of Phase 1 testing.

- **BART New Vehicle Procurement:** BART is in the process of procuring 775 new rail vehicles. BART submitted its Interim Safety and Security Certification Verification Report on October 30, 2017, and a Request Letter on January 12, 2018 to place 10 new cars into revenue service. RTSB approved this request with a letter dated January 17, 2018. Since that date, RTSB has approved by letter to BART's General Manager four other requests for BART to place new vehicles into revenue service with its most recent dated October 19. Forty new vehicles have been approved and placed into revenue service. There are two types of new vehicles, D-Cars and E-Cars. D-Cars have an operator's cab while E-Cars do not.
- **Silicon Valley Berryessa Extension (SBVX):** BART and Santa Clara Valley Transportation Authority (VTA) are currently in the process of constructing a 10-mile BART system track extension and two new stations – the Milpitas and Berryessa stations.
- **Downtown Sacramento Streetcar Project:** FTA has provided funding for preliminary engineering and development for this project, but they have not received 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. Staff anticipates receipt of CSP's submittal of verification documentation for additional construction certification items for review and approval. On October 16, Staff sent CSP questions related to their September 2018 documentation submittal. CSP still has a list of questions from Staff that it has yet to address.

Chinatown station will be the last station to be completed for Central Subway in mid-2019. The other underground stations, Yerba Buena/Moscone and Union Square, are scheduled to be completed by the end of 2018. SFMTA has bought approximately 4 miles of high strength rails for the CSP construction contractor to install on the CSP alignment.

- **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. The Agency posted an open construction bid on June 19, and revenue service is scheduled to commence in 2021. However, to date FTA has not awarded a full-funding grant agreement and coordination with OCTA is ongoing. Operations and Maintenance contract request for proposals is scheduled to be released in November 2018. Highway-Light Rail Transit Crossing applications for the project have been filed in Proceedings A.18-04-005, A.18-04-006, and A.18-04-007. Staff continues to attend the SSRCR and Fire Life Safety Committee meetings for this project.
- **SFMTA LRV4 Procurement to Expand and Replace the Rail Fleet:** This project is scheduled for completion in 2027. The safety and security certification-related aspects of this project are being monitored by Staff through regular meetings, review of records produced pursuant to the requirements of the project SSCP (e.g. Certificates of Conformance and associated supporting documentation for certifiable elements at pertinent project milestones), and observations of vehicle testing. On 10/19/2018, Staff authorized SFMTA to place two 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.

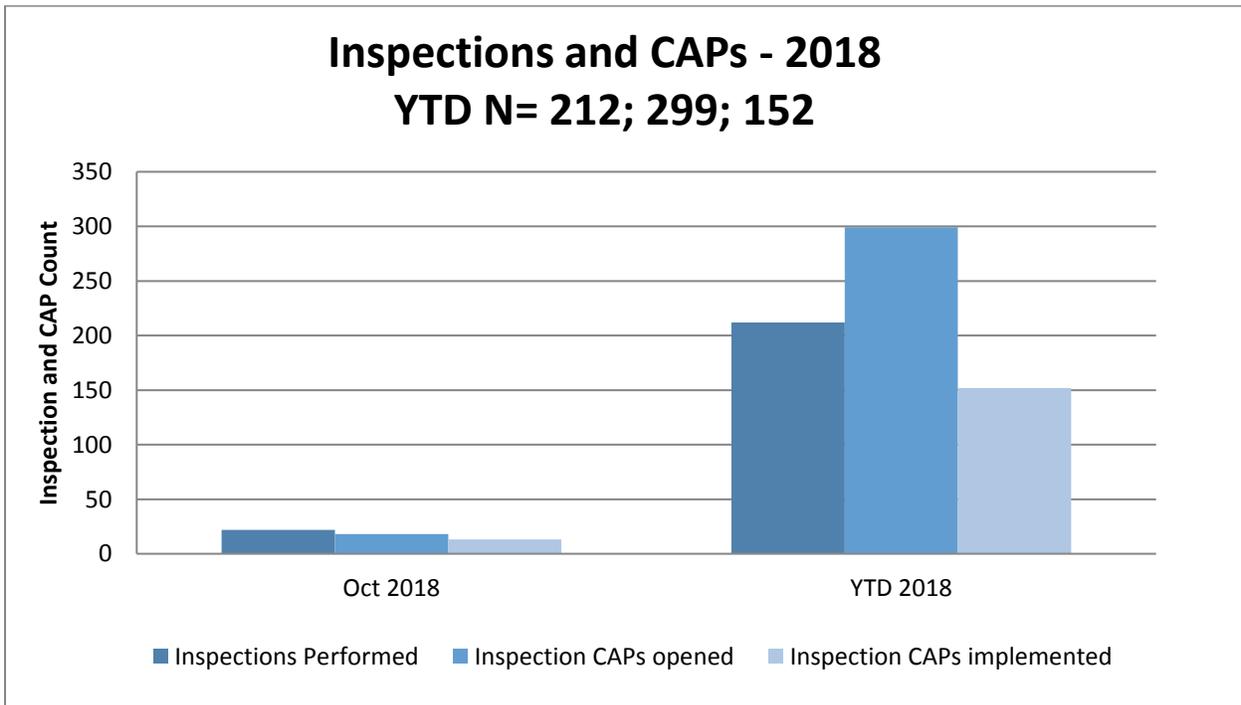
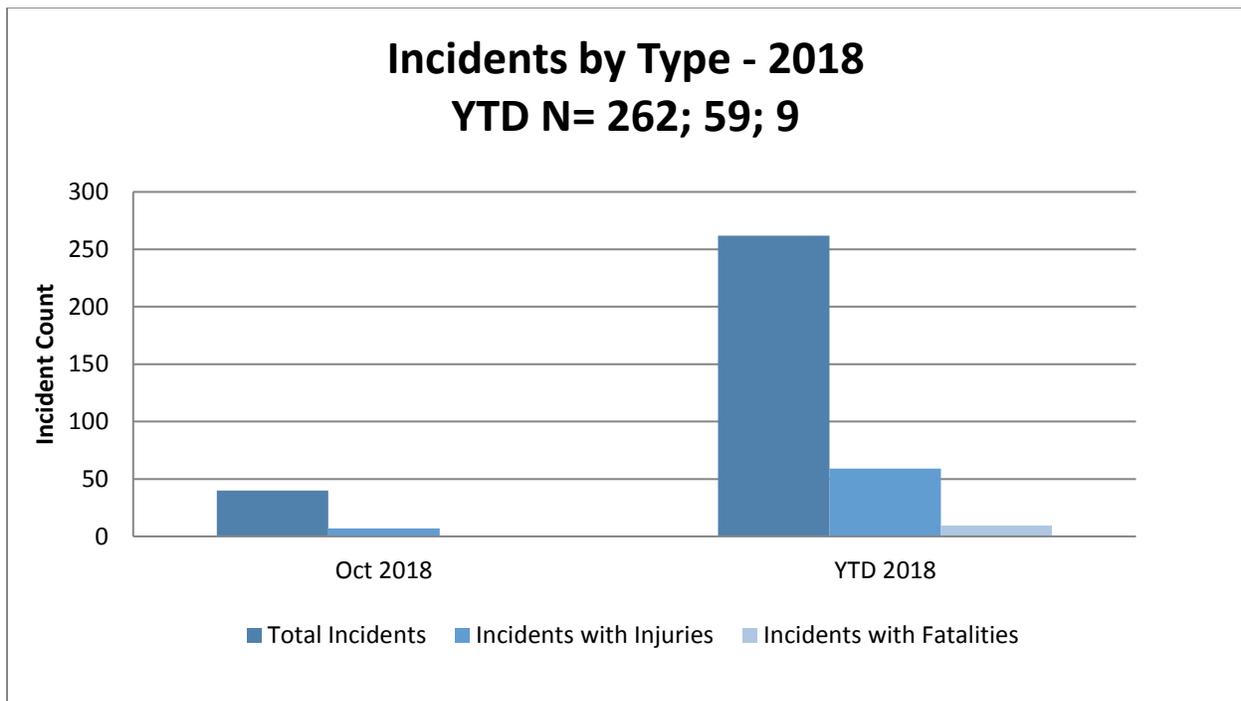
- **San Diego Light Rail Vehicle Procurement:** SDTI is procuring 45 light rail vehicles (LRV) for the Mid-Coast Corridor Project. The procurement process began January 2018 with an expected schedule completion and acceptance of all 45 LRV's by June 2021. Commission Resolution ST-217 formally accepts 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.

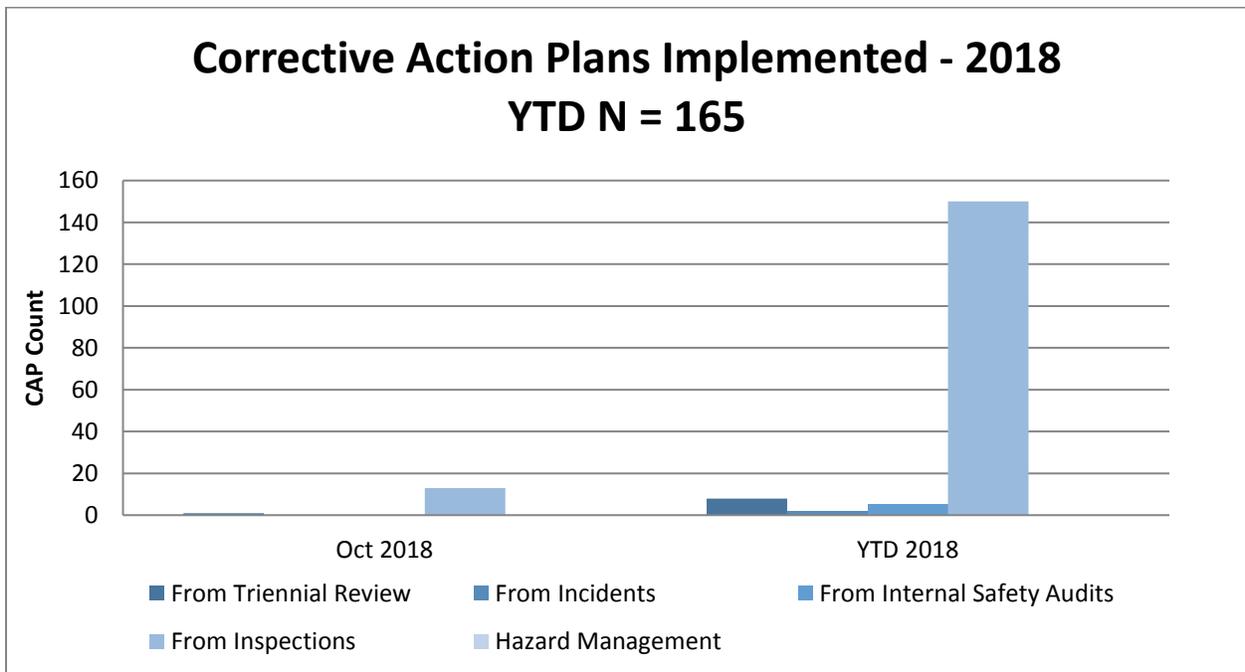
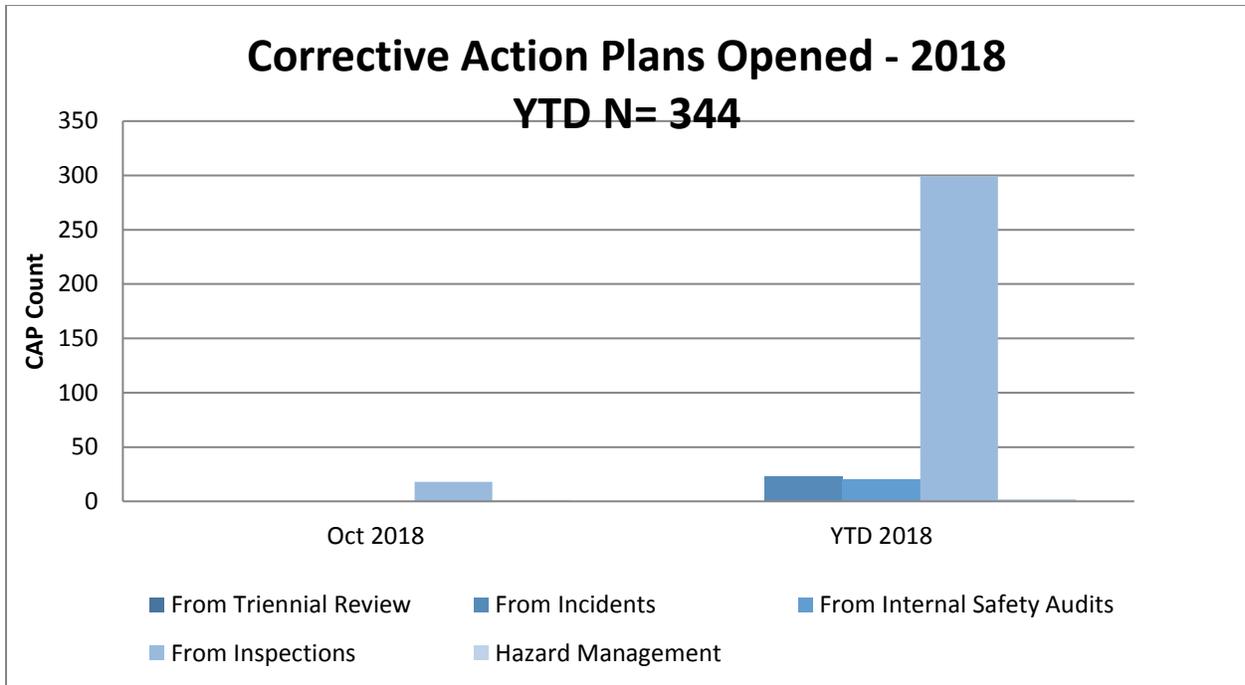
California Public Utilities Commission | Safety and Enforcement Division

STATISTICS SUMMARY

Investigations for Month		YTD 2018
Incidents Reported	40	262
Incident Investigations Closed	31	366
Complaints Investigated	1	3
Rail Transit Inspections	22	212
Triennial Review	0	3
		YTD 2018
New Corrective Action Plans	19	344
From Triennial Review	0	0
From Incidents	0	23
From Internal Safety/Security Audits	0	20
From Rail Transit Inspections	18	299
From Hazard Management	1	2
Closed Corrective Action Plans	14	165
From Triennial Review	1	8
From Incidents	0	2
From Internal Safety/Security Audits	0	5
From Rail Transit Inspections	13	150
From Hazard Management	0	0

ONGOING DATA / TRENDS





CORT MONTHLY REPORT

In California during the month of October:

- The railroads moved 6 trains with 600 crude oil cars via unit train
- Via manifest train the railroads moved 90 crude oil cars

During the month of October six (6) crude oil trains were delivered to **Plains All America** in Taft, California. Each train consisted of 100 cars: all six (6) were heavy crude coming from Edmonton, Canada. These trains were spotted by the San Joaquin Valley Railroad (SJVR) originating from there yard in Bakersfield.

For the month of November 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 October 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 October Delta processed 90 crude oil cars.

IN OTHER NEWS

The Team traveled to San Ardo (Wunpost) on October 10th to view the tank train cars that will be coming out of service at the end of this year. Upon our arrival the unit oil train had already departed. What we did find were the three (3) cars that had been set out prior to departure, these cars had been bad ordered by our Southern MP&E team while they were in the Long Beach refinery. The Union Pacific moved the cars to the Meade yard for repair but only

repaired the safety appliances that were bad ordered. When the train returned for reloading the facility had the cars disconnected and switched out for Union Tank Car Company (UTLX) to do the heavy repairs needed.

The facility is making plans to replace the unit train with their new state of the art truck loading facility which will be completed next month. They currently have a one bay loading rack and are moving 4,000 barrels a day from there, when the new rack is completed their goal is 10,000 barrels a day. The unit train was moving 37,500 barrels a day down to Los Angeles. The facility will also keep two (2) of the six (6) strings as a contingency plan for the first year of the cutover. During the visit the team conducted a track and records retention inspection.



CORT Team at San Ardo Facility Viewing Bad Order Cars

For the month of October:

- A total of six (6) 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.