

Safety and Enforcement Division



Monthly Performance Report

July 2017

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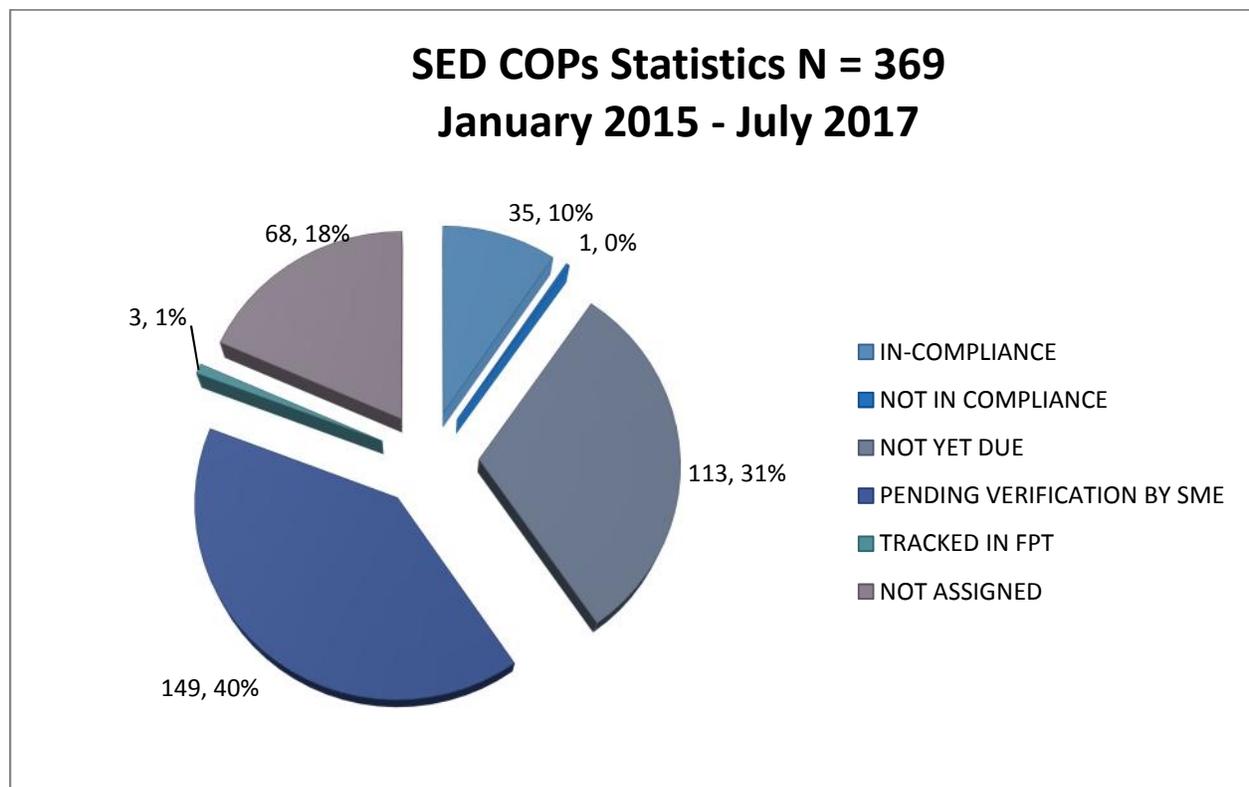
This Report has not been approved or disapproved by the CPUC.

COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through July 31, 2017, SED shows 369 total entries in the COPS system; with 35 reaching compliance (<10%), 113 (31%) not yet due for compliance, and 1 (<1%) currently remaining out of compliance. The remaining 220 (59%) are either pending verification or have not yet been assigned for verification.

During June 2017, there were no changes 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 was approached on Settlement. SED is Awaiting Hearing. Proceeding No. K.17-07-002 |
| Total Cited 2017 | | \$ 200,000 | | | | |

INSPECTIONS

2017 Inspections: GSRB has conducted 39 scheduled inspections in 2017 and has completed the final inspection report for 33 of these 39 inspections during 2017.

INCIDENT INVESTIGATIONS

As of July 31, 2017, GSRB Staff received 152 incidents year to date. All pre-2016 incident investigations have been completed. Metrics on 2016 Incident Investigations:

| TOTAL reported in 2016 | 167 | Percent |
|------------------------|-----|---------|
| Open | 16 | 10 % |
| Closed | 151 | 90 % |

The CY 2016 incidents¹ are categorized as follows:

- 135 – Level 1 incidents
- 15 – Level 2 Incidents
- 8 – Level 3 Incidents
- 8 – 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 was one self-identified violation reported in July 2017.

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.

NATURAL GAS RELATED PROCEEDINGS

- **Distribution Record Keeping (I.14-11-008) (Commissioner Peterman/Lirag) (Advocacy):** Decision 16-08-020 was issued on August 18, 2016, which ordered Pacific Gas and Electric to pay a fine of \$25,626,000 for several violations of General Order 112 and the Public Utilities Code. The decision also ordered PG&E to convene, support and report no later than 120 days after the effective date of the order a meet-and-confer process to develop additional remedial measures necessary to address the issues identified in the decision. Staff from GSRB attended two meet-and-confer sessions and submitted comments on PG&E's draft compliance plan, which was filed in the docket on December 16, 2016. Though closed by the decision, the proceeding was reopened based on SED' pending application for rehearing submitted on September 26, 2016.
- **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.
- **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% 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. San Diego Gas & Electric Company (U902M) filed A.17-05-008/ A.17-05-007 for Approval to Extend the Mobilehome Park Utility Upgrade Program. A prehearing conference was held on July 25 on the request.
- **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 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.However, the status of R.14-05-013 became "reopened" when on February 21, 2017, Senator Jerry Hill issued a petition for modification, requesting that the Commission modify the Decision so as 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 April. The matter is pending.

- **Pipeline L-1600 Replacement (A.15-09-013) (Commissioner Randolph/ALJ Kersten) (Advisory):** The Pipeline Safety & Reliability Project, involves replacing existing Line 1600 with a new and larger gas transmission pipeline (Line 3602). The goal is to address the pipeline safety requirements for the existing Line 1600 and expand the capacity of the SDG&E's gas transmission system. On July 10- 14, 2017, the evidentiary hearings took place in San Francisco, but were continued to September 27-28, and October 3.

ELECTRIC SAFETY AND RELIABILITY PROGRAMS

ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: AUDITS AND INCIDENT

INVESTIGATIONS

In July 2017, Electric and Communications Facility Safety Section Staff:

- Received 11 electric facility incident reports and closed four previously reported electric facility incident investigations;
- Investigated 30 customer safety and reliability complaints;
- Conducted one Communication Infrastructure Provider audit;
- Conducted one Electric Distribution audit;
- Issued one Notice of Violation (NOV) letter/report.

Metrics for Facility Incident Investigations as of July 31, 2017

| Electric and Communication Facilities | Level 1 | Level 2 | Level 3 | Level 4 | Total ² |
|---|---------|---------|---------|---------|--------------------|
| Total open incidents | 7 | 14 | 41 | 33 | 95 |
| Total incidents reported in 2017 | 8 | 11 | 27 | 20 | 66 |
| Total incidents closed in 2017 | 10 | 18 | 16 | 27 | 71 |
| Total open 2017 incidents | 7 | 7 | 26 | 16 | 56 |
| Incidents reported in July 2017 | 1 | 0 | 7 | 3 | 11 |
| Incidents closed in July 2017 | 0 | 0 | 0 | 4 | 4 |

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 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.

ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS

- **Investigation into Long Beach Incident (I.16-07-007) (President 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. The Commission adopted an Order Instituting Investigation on July 14, 2016. On May 25, 2017, SED and Southern California Edison filed a settlement agreement for Commission consideration; pending.
- **Investigation into Huntington Beach 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. On December 15, 2016, SED and Southern California Edison filed a settlement agreement for Commission consideration. On June 29, 2017, the Commission issued D. 17-06-028, adopting the settlement agreement in which SCE agreed to pay a fine of \$2.01 million and to implement a series of enhancements to its contractor safety program.
- **Creation of a Shared Database or Statewide Census of Utility Poles and Conduit (R.17-06-028); Communications Provider Access to Poles (I.17-06-027); Competitive Local Exchange Carrier Wireless Facilities on Poles (R.17-03-009) (Commissioner Picker):** On June 29, 2017, the CPUC voted to consolidate R.17-03-009 with the new R.17-06-028 and I.17-06-027. ESRB is assessing its role and participation in this combined proceeding.
- **Fire Safety Rulemaking (R.15-05-006) (President Picker/ALJ Kenney/ALJ Kao) (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 January 2017, D.17-01-009 adopted a work plan for completing Fire Map 2 and developing potential new fire safety rules. In June, the Commission adopted D. 17-06-024 deleting Shape C and setting a new due date for completing Fire Map 2 by November 27, 2017. In July, parties filed the joint workshop report on proposed fire safety regulations along with the opening comments on the report.
- **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 is undertaking follow-up work directed by the decision, and on March 1 filed a petition to adopt, amend, or repeal rules in GO 95 (P.17-03-004). Parties have filed comments and on May 15, 2017, SED filed reply comments, pending.
- **Repealing/amendments to Rule 18 OF GO 95 (R.16-12-001) (President Picker/ALJ Kenney) (Advocacy):** In response to an SED petition for rulemaking to consider repeal of GO 95, Rule 18, the Commission opened this proceeding to consider specified amendments to, and possible repeal of, Rule 18 of GO 95. On January 25, 2017, SED and other parties requested a suspension in the schedule to allow settlement discussions. A PHC was held on April 11, 2017, and settlement discussions are currently ongoing.

- **Physical Security of the Electric System (R.15-06-009) (Commissioner Rechtschaffen/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 March 10, 2017, Commissioner Rechtschaffen issued a Scoping Memorandum setting the schedule. In July, ALJ Kelly issued a ruling for parties to review workshop notes for factual accuracy, and to file a consensus straw proposal on physical substation security. On July 28, ESRB staff completed review of the May 2, May 31, and June 21 workshop notes. ESRB staff is currently working on the consensus straw proposal that is due by August 31.
- **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 January 10, 2017, the assigned ALJ issued a ruling seeking comments on the joint staff Proposed Rules for Station Power for Electric Storage Devices and reply comments were filed by January 31, 2017. On June 2, 2017, ESRB participated in a workshop that was held by the Energy Division and the California Independent System Operator to discuss the Joint Staff Proposal on Multiple-Use Applications for Energy Storage. ESRB will continue to follow, review and evaluate all documents related to safety.
- **Distributed Energy Resources (R.14-08-013) (President Picker/ALJ Mason/ALJ Allen) (Advisory):** On June 7, 2017, the Assigned Commissioner issued a ruling setting the scope and schedule, pre-Working Group deliverables, status and final reporting milestones for continued long-term refinement discussions. The ruling also modified the previous June 30, 2017 deadline for reports, and established new deadlines to complete the scope of issues. On June 22, 2017, the Assigned ALJ issued a ruling requiring the IOUs to file assumptions and framework addendum, and on June 30, 2017, the Assigned ALJ issued a ruling requesting answers to stakeholders' questions from the Energy Division staff proposal. The Assigned ALJ granted extension for Comments on Deferral Framework to August 7, 2017, and reply comments to August 18, 2017. ESRB will continue to review the issues and provide advisory support.
- **SB 1028 (Hill) "Electrical corporations: wildfire mitigation plans":** In September 2016, the Governor signed SB 1028, which requires each electrical corporation and each publicly owned electrical utility or electrical cooperative to annually file a wildfire mitigation plan. 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 comment on the submitted plans. The Governor's approved budget for FY 17-18 contains three positions in ESRB for this project; ESRB is in the process of initiating a new program dedicated to wildfire mitigation practices.
- **Moss Landing Investigation and Citation:** ESRB completed its incident investigation of the Moss Landing Tower failure which occurred on October 18, 2015, and caused an outage to 55,000 customers. On June 6, 2017, SED issued a \$400,000 Citation to PG&E for violations related to the failure of a transmission tower north of the Moss Landing substation. In July, PG&E paid the total financial penalty.

REPORTS AND OTHER ACTIVITIES

- **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. Next meeting will be in October.

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

The Electric Generation Safety and Reliability Section (EGSRS) staff has performed the following in July 2017:

- Conducted an audit with staff members from the CPUC and California Energy Commission (CEC) of the Sentinel Energy Project in North Palm Springs.
- Continued to work on the investigation of a fatality incident that occurred on March 6, 2017 at Sentinel Energy Project in North Palm Springs.
- Continued to work on the investigation of an injury incident that occurred on April 8, 2017 at La Paloma Generating Station in McKittrick.
- Continued to work on the investigation of a fire incident that occurred on January 29, 2017 at Delta Energy Center in Pittsburg.
- Closed the investigation of the Ocotillo incident that resulted when one of the towers on a wind turbine buckled and fell.
- Monitored 22 forced and 22 planned outages that were reported by natural gas and renewable power plants.
- Continued to verify the corrective actions that were taken by the Generating Asset Owners (GAO) as a result of the Colusa, Redondo Beach, Walnut Creek, and Mandalay power plant audits for compliance with GO 167 requirements.
- Continued to coordinate with Energy Division on summer reliability monitoring calls with the IOUs to investigate major outages, including the Bear Valley outage in late June, due to a fire.
- Continued to work with the Information Technology Department to develop a new web-based outage reporting database which will allow the GAOs not only to report the outages but also provide notifications by directly entering the information into the database. The project is currently in the test stage.
- Please see the 2017 year-to-date incident statistics in the table below.

Metrics for Generation Incident Investigations as of July 31, 2017

| Electric Generation Incidents | Level 1 | Level 2 | Level 3 | Level 4 | Total ³ |
|----------------------------------|---------|---------|---------|---------|--------------------|
| Total open incidents | 0 | 0 | 1 | 2 | 3 |
| Total incidents reported in 2017 | 0 | 0 | 1 | 2 | 3 |
| Total incidents closed in 2017 | 0 | 0 | 1 | 0 | 1 |
| Total open 2017 incidents | 0 | 0 | 1 | 2 | 3 |
| Incidents reported in July 2017 | 0 | 0 | 0 | 0 | 0 |
| Incidents closed in July 2017 | 0 | 0 | 0 | 0 | 0 |

UTILITY RISK ASSESSMENT AND SAFETY ADVISORY

REVIEWING SAFETY & RISK IN GENERAL RATE CASES

Besides the conducting of evidentiary hearings in the TY 2018 Southern California Edison GRC (A.16-09-001), there were no significant developments for Risk and Safety in GRCs during July 2017.

On June 25, the Sempra Utilities (San Diego Gas & Electric and Southern California Gas) filed their first spending accountability report, in compliance with the 2016 GRC decision (D.16-06-054). As described in the order, this was limited to reporting on certain specified elements of utility expenditures that had been identified in the GRC as having safety implications:

- For SDG&E’s electric operations – the report shall include wildfire risk projects, activities and costs, and specific spending associated with mitigation projects SDG&E had identified as part of the wildfire mitigation program. For example, specific Fire Risk Management (FIRM) projects identified in testimony and in the SED report include, replace live front equipment; weather instrumentation; Powerworkz; C1215 Fire Mitigation; FIRM Phases 1, 2 & 3, C441 Pole Loadings; Aerial marking; CNF Brakes; and SF6 switch replacement.
- Among the metrics the utility might include in the report are the following: data on vegetation inspections, data on hardware failures, equipment failures, and wire failures.
- The report should cover the specific component replacement/maintenance

³ 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.

programs that were identified in [the Coalition of California Utility Employees' (CCUE)] direct testimony including: circuit breakers, capacitors, SF6 Switches, underground switches, and associated overhead.

- Maintenance and repair/replacement of these components are considered mitigation for SDG&E's identified priority risk of electric service disruptions. Associated metrics should include a comparison of proposed versus actual replacement rates, as well as changes in relevant reliability index statistics. The level of spending the Commission has approved for these activities, as well as actual spending, should both be tracked.
- For SDG&E's gas operations – The report should focus on the risks associated with gas safety incidents, especially third-party dig-ins, and elements of the Distribution Integrity Management Program (DIMP). In addition to DIMP, the report should include projects associated with replacing aging infrastructure, especially Aldyl-A pipe.
- For SoCalGas – the report should include projects associated with reducing gas safety risks, including projects, activities, and costs associated with DIMP, Transmission Integrity Management Program (TIMP), and the Storage Integrity Management Program (SIMP).

In these reports, the utilities also described metrics as a means to measure safety and risk reduction benefits. The metrics serve two purposes: (1) explain variances in spending; and (2) provide insight into where improvements towards mitigating risks can be made.⁴

Following the filing of this spending accountability report, the utilities met with staff of the Energy Division and SED to review the filing and answer questions. ED staff is currently reviewing the filing and may pose additional questions to Sempra about certain noted variances from expected spending. The divisions will then issue a compliance letter when the review is complete.

PROCEEDINGS

- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ DeAngelis) (Advisory):** A Phase 2 PHC was held August 1, 2017, during which PG&E representatives indicated that they have reviewed the report from consultants NorthStar and concur “with the vast majority” of recommendations contained in the report. PG&E said it has created a “One PG&E Safety Action Plan” that will address the major recommendation for an “enterprise wide” plan, and that it intends to implement some 60 other recommendations as soon as possible. According to PG&E 10 percent are already being implemented, 30 percent will be underway by the end of the year and the remainder will be implemented during 2018. During the PHC, several Parties signaled their active participation, including ratepayer advocates ORA and TURN, as well as the CPUC's Office of Safety Advocate. These Parties agreed with a PG&E proposal for a workshop on the NorthStar report. The Commission has taken this information under advisement and set a workshop for September 12.

⁴ Per D.16-06-054, OP 11. Pg. 39-41.

- **Gas Leak Abatement OIR (R.15-01-008) (Commissioner Rechtschaffen/ALJ Kersten) (Advisory):** The Commission on June 15 issued the Phase 1 decision adopting structures and policies for methane leak reporting and reduction activities, in particular formalizing the annual gas leak reporting mechanism, changes to leak reporting templates, and instituting a list of 26 Best Practices for leak detection, quantification and repairs. SED staff conducted a workshop on August 1 to reach agreement on guidelines and a template for Compliance Plans that will be due in March 2018. RASA and staff of the Air Resources Board are conducting their review of the 2016 gas leak survey reports, which were filed June 16, 2017. A Phase 2 pre-hearing conference is scheduled for August 24, 2017.
- **SCE 2017 General Rate Case (A.16-09-001) (President Picker/ALJs Roscow & Wildgrube) (Advisory):** The Commission held evidentiary hearings during most of July, wrapping up during the first week of August. No additional issues related to risk or safety were explored during cross-examination of witnesses. The utility and intervenors are completing exhibits and preparing for briefs on issues in the GRC.
- **Physical Security of Electric Infrastructure (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly) (Advisory)** RASA Staff has convened three workshops on various issues related to physical security, and are currently awaiting a joint utility proposal for a framework for physical security plans for high priority distribution facilities. The proposal will be further vetted during a workshop in late September.
- **Safety Model Assessment Proceeding (A.15-05-002, et al) (Commissioner Rechtschaffen/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 proposed by stakeholder groups TURN/Indicated Shippers/Electric Producers & Users Coalition. The Phase 2 Scoping Memo was issued on December 13, 2016, establishing a new schedule for the proceeding. Test Drive working groups commenced in mid-January and continue. A workshop for joint utility methodologies was held on February 15. SED is leading a technical working group to determine applicable safety performance metrics. No significant updates during July.
- **Long Beach Outage Incidents (I.16-07-007) (President Picker/ALJ Cooke) (Advisory):** On May 25, Southern California Edison and the SED Electric Safety & Reliability branch (ESRB) forwarded a proposed settlement of issues raised by the investigation into a series of incidents that caused extensive and repeated disruptions of service to the city of Long Beach in July and August 2015. Under the settlement, SCE would pay a \$4 million penalty and commit to spending \$11 million on various system enhancement projects intended to reduce the chance of public injury, reduce the risk of future system failures, and to improve the utility's operational awareness and maintenance of its network. In a July order (D.17-07-010), the Commission extended the statutory deadline for reaching a decision until October.
- **Fire Safety Rulemaking (R.15-05-006) (President Picker/ALJ Kenney/ALJ Kao) (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. D. 17-01-009 adopted a revised work plan and schedule on January 19, 2017. In June, the Commission adopted D. 17-06-024

deleting Shape C and setting a new due date for completing Fire Map 2 by November 27, 2017. Working groups continue to meet to complete the fire mapping process and develop new policies or regulations.

- **Undergrounding Rule 20A (R.17-05-010) (Commissioner Picker/ALJ Hecht) (Advisory)**
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 has not been scheduled. Parties have until August 11 to file comments on the OIR. SED will monitor the proceeding with an interest in adding safety as one of the program eligibility criteria.
- **Utility Poles (I.17-06-027/R.17-06-028) (Commissioner Picker/ALJs Mason and Kenney) (Advisory)**
The Investigation and Rulemaking into possible creation of a shared database or statewide census of utility poles and conduit was initiated on June 29, 2017. This proceeding is to consider strategies for increased and non-discriminatory access to poles and conduit by competitive communications providers, the impact of such increased access on safety, and how best to ensure the integrity of the affected communications and electric supply infrastructure going forward. On a parallel track, the Commission will consider rules that would allow broadband Internet access service (BIAS) providers to attach facilities to poles and to use conduit. 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).

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 - 1/01/17 – 7/31/2017

Note: This is for complaints filed using the on-line Whistleblower Application ONLY. There were no new additions to the site during July.

| Confirmed or Possible Whistleblower Complaints | | | | | | |
|--|-----|----------------|-----------------|------------|-------------|------|
| | CAB | Transportation | Electric Safety | Gas Safety | Telco Fraud | Rail |
| January | 0 | 0 | 1 | 0 | 0 | 0 |
| February | 0 | 0 | 0 | 0 | 0 | 0 |
| March | 0 | 1 | 0 | 0 | 0 | 0 |
| April | 0 | 1 | 0 | 1 | 2 | 0 |
| May | 0 | 1 | 0 | 1 | 1 | 1 |
| June | 0 | 1 | 0 | 1 | 0 | 0 |

California Public Utilities Commission | Safety and Enforcement Division

| | | | | | | |
|-------------------|----------|----------|----------|----------|----------|----------|
| July | 0 | 0 | 0 | 0 | 0 | 0 |
| Total 2017 | 0 | 4 | 1 | 3 | 3 | 1 |

| 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 | 1 | 0 | 0 | 1 | 1 | 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 |
| YTD | 0 | 1 | 0 | 0 | 1 | 1 | 0 |

| Test, Incomplete or Duplicate Whistleblower Complaints | |
|--|-----------|
| January | 1 |
| February | 3 |
| March | 0 |
| April | 1 |
| May | 1 |
| June | 4 |
| July | 0 |
| YTD | 10 |

OFFICE OF RAIL SAFETY

RAILROAD SAFETY – ROSB

In the month of July 2017, SED Staff’s Railroad Operations group completed the following:

| | |
|--|-----|
| New Incidents Investigated | 7 |
| Informal Complaints Investigated | 3 |
| Safety Assessments/Reviews | 22 |
| Compliance Actions | 719 |
| Major Inspections Completed - Such as Focused Inspections | 0 |
| Operation LifeSaver Presentations | 6 |

ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

July 3, 2017: A CPUC railroad safety inspector performed a routine track inspection of the UPRR main tracks through Vacaville. The CPUC inspector identified a bunch of wires around an electrical box and a train defect detector used for autonomous identification of defective conditions that could arise while trains are in route (ex. dragging equipment and high temperature wheels). The wires and electrical boxes, as well as an irregular walkway surface are tripping hazards. CPUC General Order 118A requires walkways to provide a reasonable regular surface with gradual slope no to exceed approximately one inch to eight inches. UPRR committed to making repairs promptly. UPRR made final repairs by rewiring the detector and burying all wires in compliance with General Order 118A. All repairs have been verified and corrected and no more regulatory action is needed.

July 6, 2017: CPUC railroad safety inspectors investigated a train vs. vehicle accident at a highway-rail crossing in Chico. The purpose of the investigation was to determine the cause of the accident and determine whether the railroad complied with all federal and state laws, as well as the railroad's procedures. Public Utilities Code Sec. 315 requires the CPUC to investigate the cause of all accidents occurring upon the property of any public utility.

During the inspection, it was determined that the driver of the vehicle lost control while traveling westbound toward the grade crossing, and ended on the railroad tracks after striking multiple objects. The vehicle came to a stop on the tracks facing against the flow of traffic on the north side of the crossing, trapping the occupant. The vehicle then caught fire.

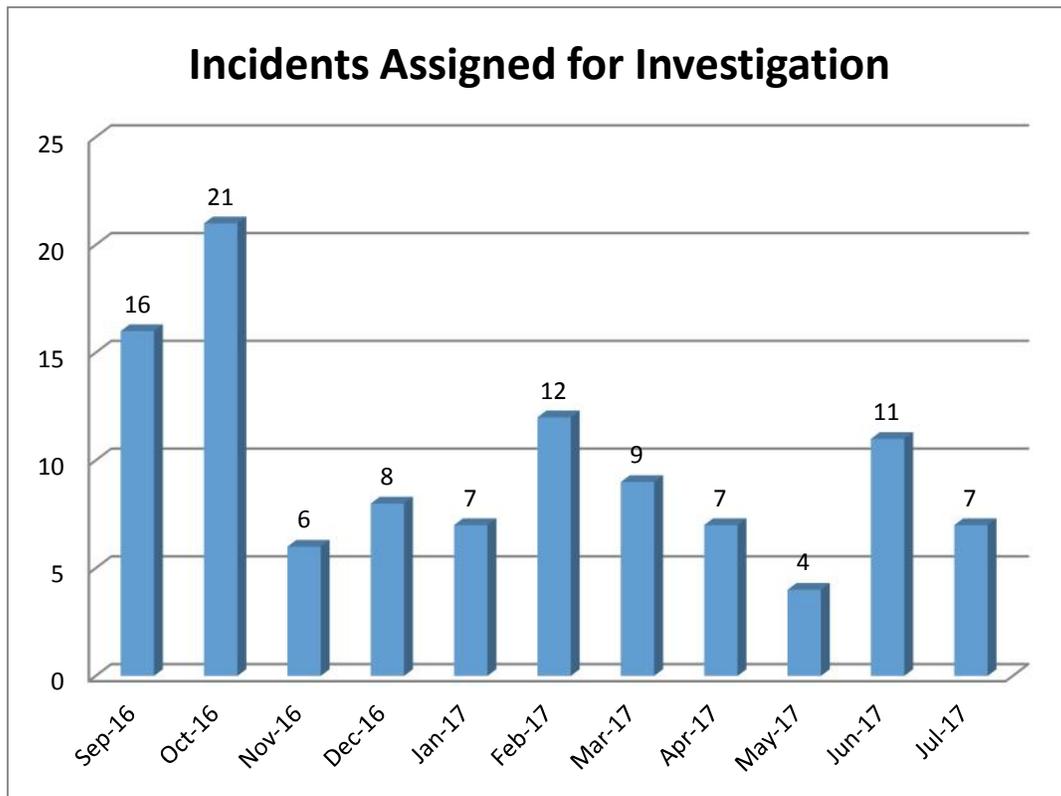
The UPRR train was traveling southbound at the time of the incident. The train crew applied the emergency air brake application to attempt to stop the train; however, they were unable to bring the train to a stop prior to striking the vehicle. The train was brought to a stop a few hundred yards past the collision. After the impact, the lead locomotive caught also caught fire. Local emergency responders arrived to extinguish the vehicle and locomotive fires. The vehicle occupant was taken to the hospital and treated for his injuries. The CPUC inspector determined that UPRR engaged in all required safety protocols.

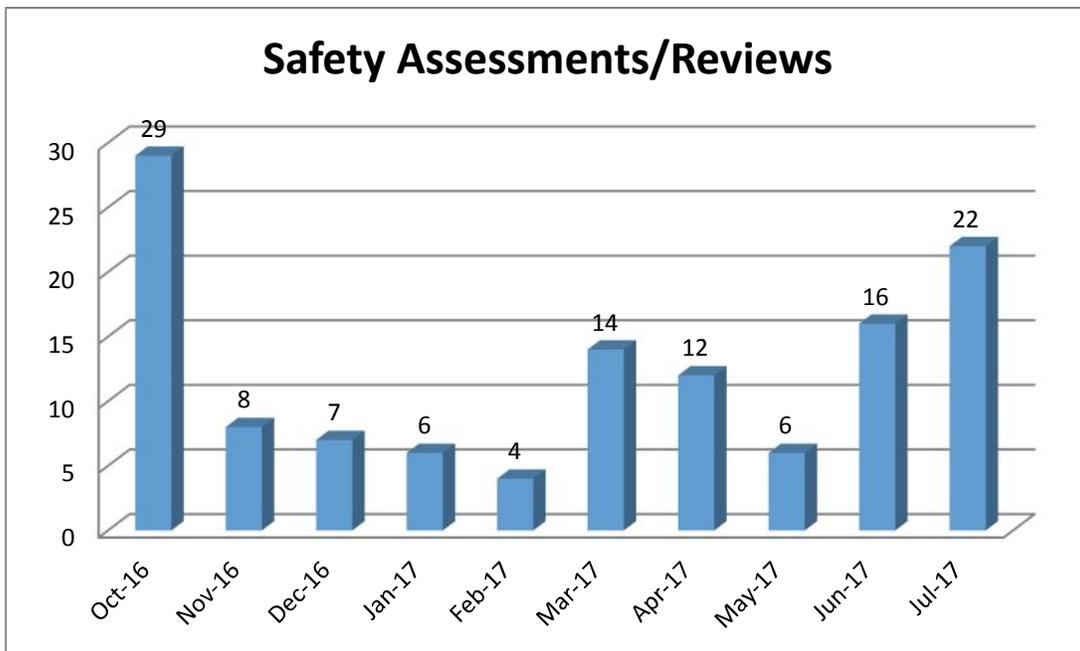
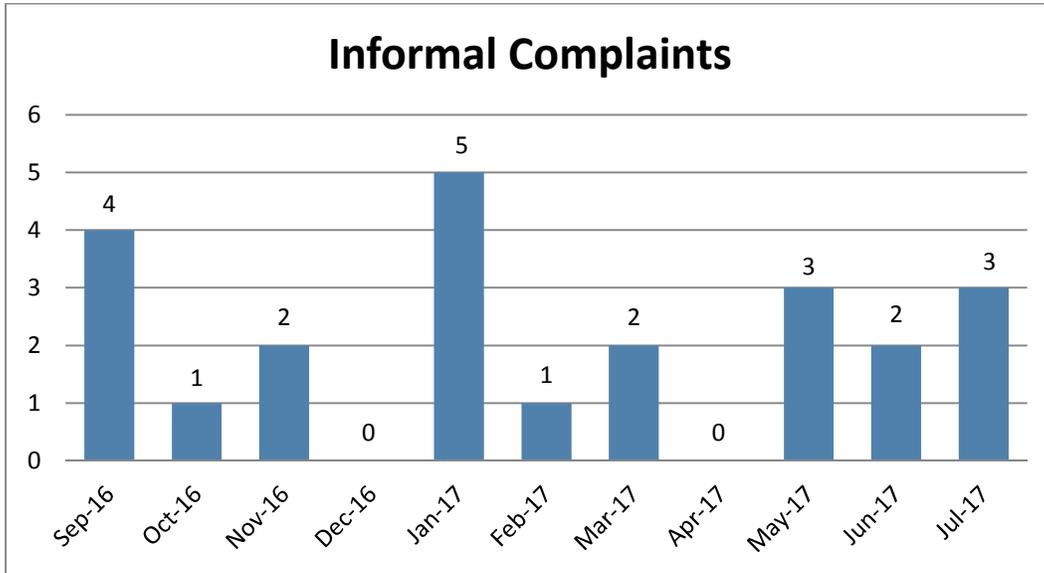
July 11, 2017: Two CPUC railroad safety inspectors conducted a routine unannounced inspection of CalTrain between San Francisco and San Jose. Routine Inspections are important to determine whether the rail carrier is maintaining the equipment, which carries around 60,000 passengers on an average weekday. The inspectors discovered inbound a train leaking diesel fuel. Leaking fuel can be the ignition source for fires; it can cause slips, trips, and falls on walkways; and it also has environmental consequences. CalTrain removed the unit from the train and repaired the leaking diesel tank in their facility prior to releasing the locomotive.

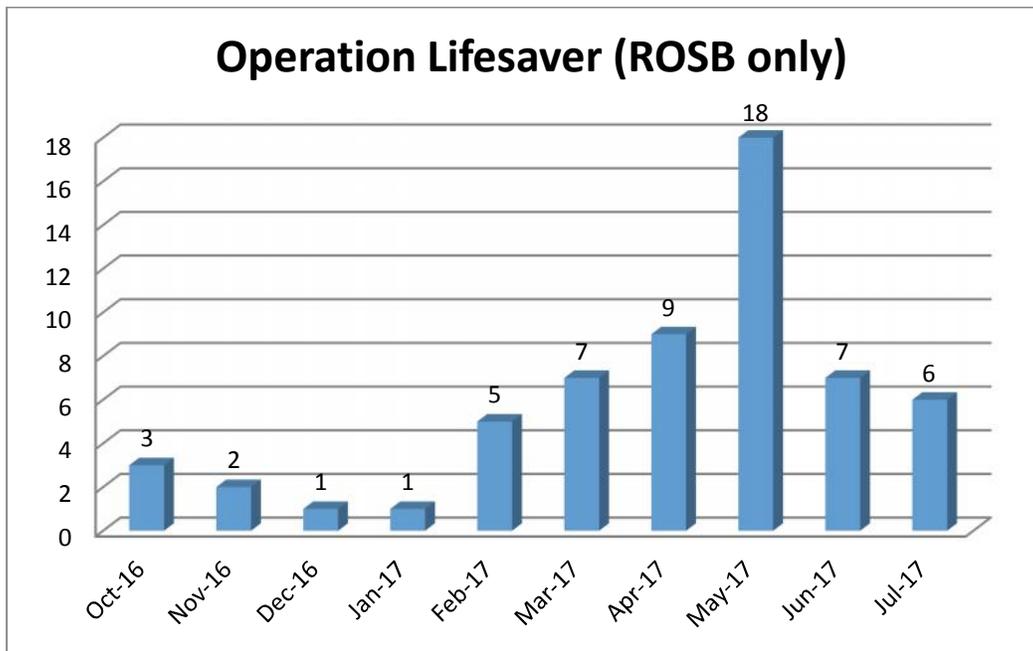
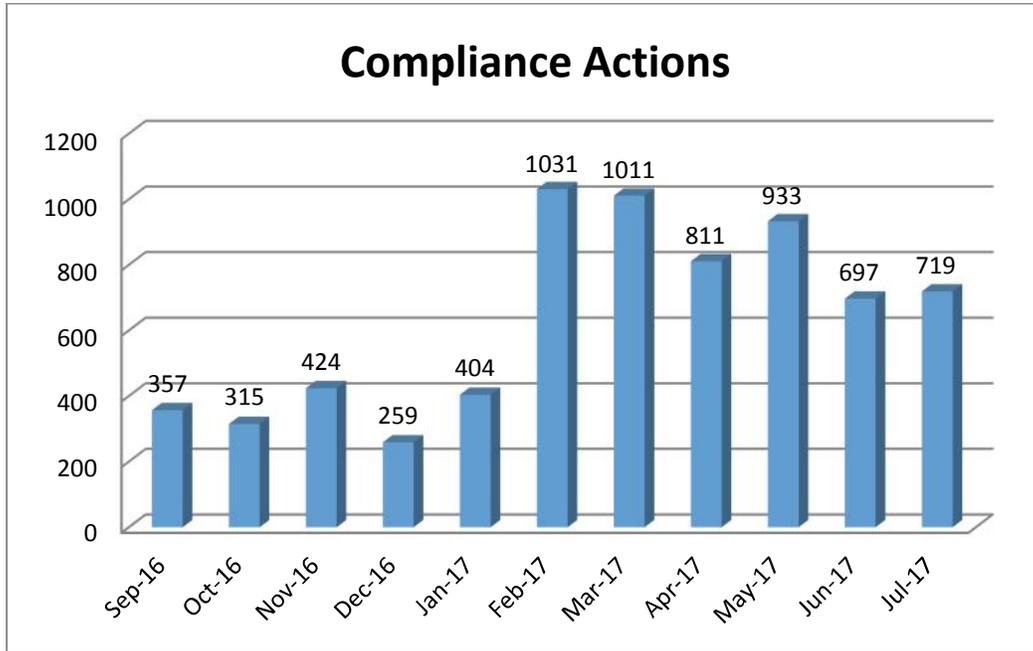
July 12, 2017: A CPUC railroad safety inspector performed an inspection on rail cars carrying hazardous materials on a UPRR storage track in the city of Crockett. The CPUC inspector discovered a post and a sign, "Warning Petroleum Pipeline" erected in the walkway at a distance of 7 ft. 4 in. from center of rail. This post and signage was erected close enough to the storage track that a railroad employee riding the side of a rail car could have been knocked off

of the rail car and seriously injured. GO 26D section 3.2 requires certain structures and obstructions above the top of the rail have a minimum side clearance of 8 ft. 6 in. GO 26D also notes that “posts, pipes, warning signs and similar obstructions should, where practicable, have a side clearance of 10 ft.”

The CPUC railroad safety inspector notified the UPRR manager of track maintenance and determined an adequate amount of time for remedial action. The UPRR manager notified the CPUC railroad safety inspector when the sign was moved and the inspector performed a follow-up inspection to ensure the post and signage was removed from the walkway. This is a typical example of how the CPUC railroad safety inspectors mitigate risks associated with railroad operations, regardless of their specialty discipline. Even though this inspector is certified in the transportation of hazardous materials, all of the inspectors are trained in recognizing violations of General Orders and other general safety regulations.







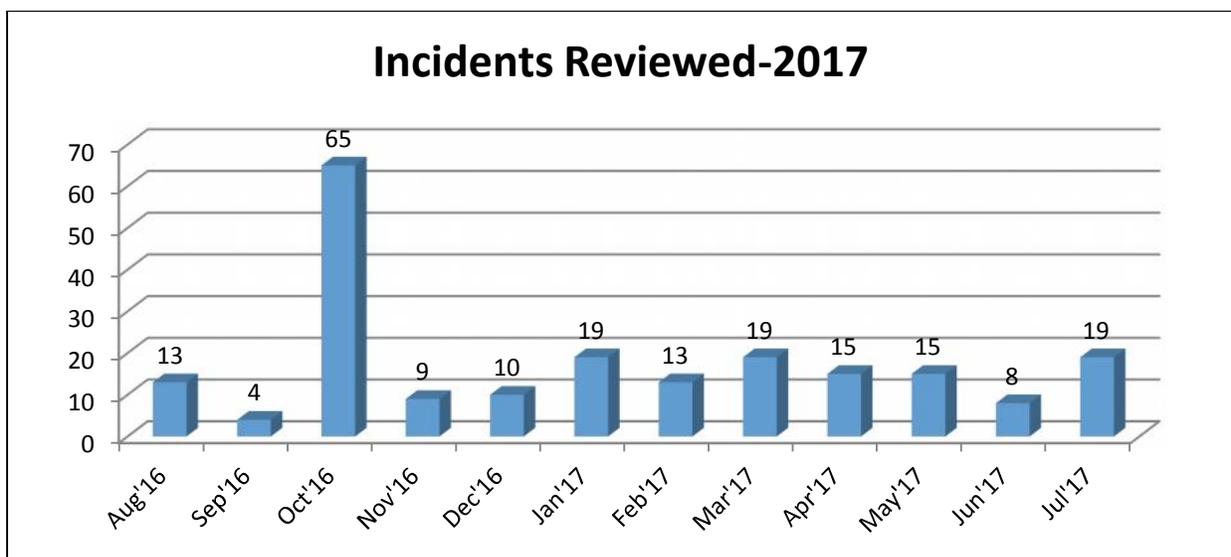
RAIL CROSSINGS AND ENGINEERING BRANCH – RCEB

In July 2017, the Rail Crossings and Engineering Branch completed the following:

| | New During Period | Closed During Period |
|--|--------------------------|-----------------------------|
| Crossing Incident Reviews | 7 | 19 |
| Informal Complaints Investigations | 0 | 0 |
| Safety Assessments/Quiet Zones/Reviews | 17 | 17 |
| Proceedings, Resolutions and G.O. 88-B Reviews | 4 | 12 |
| Operation LifeSaver Presentations | 0 | 0 |

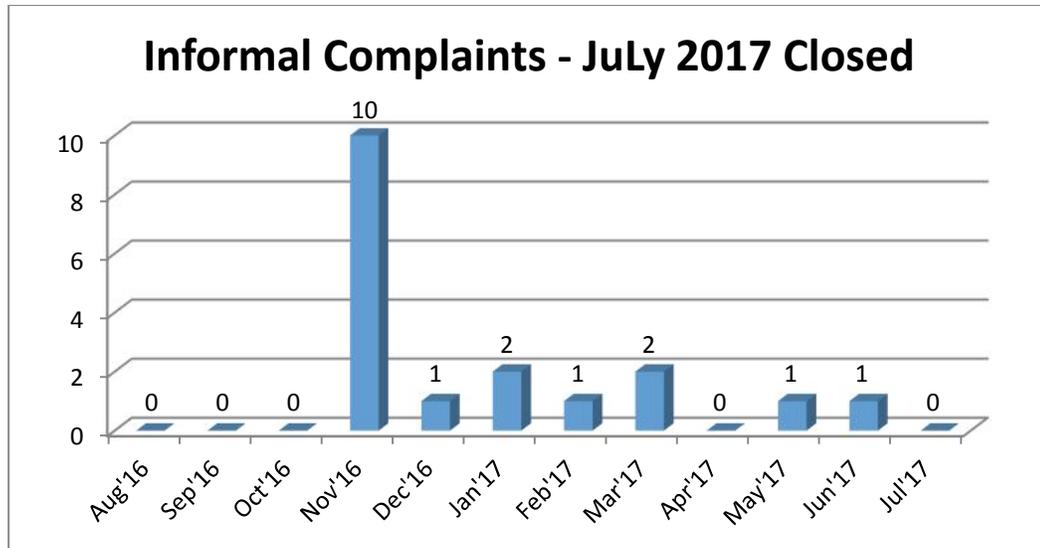
RAIL CROSSING INCIDENT INVESTIGATIONS

- In July 2017, the Rail Crossings and Engineering Branch (RCEB) assigned seven new incidents reviews with six at highway-rail crossings and one at a highway-light rail transit (LRT) crossing (crossings). RCEB completed 19 crossing incident reviews and evaluations.



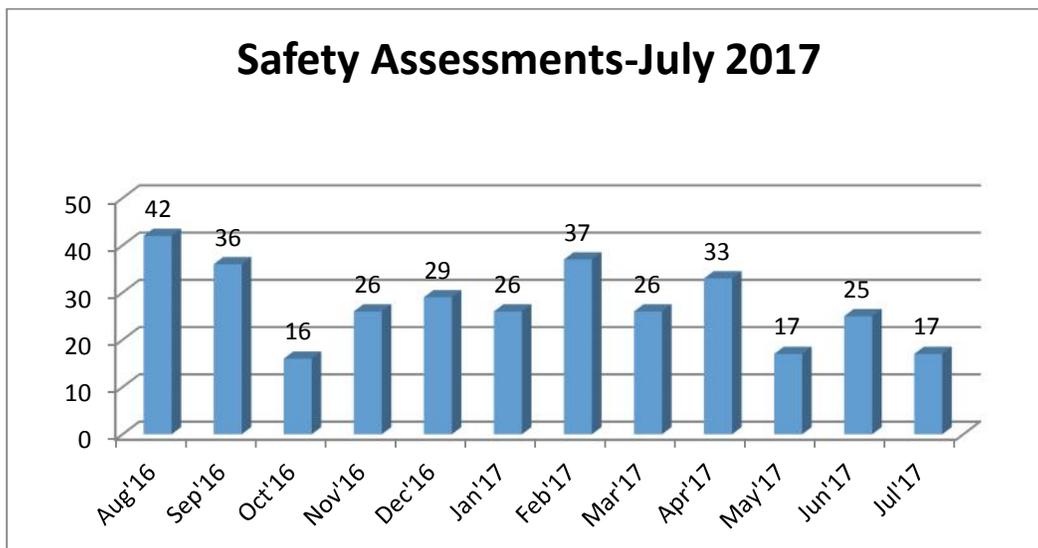
INFORMAL COMPLAINTS

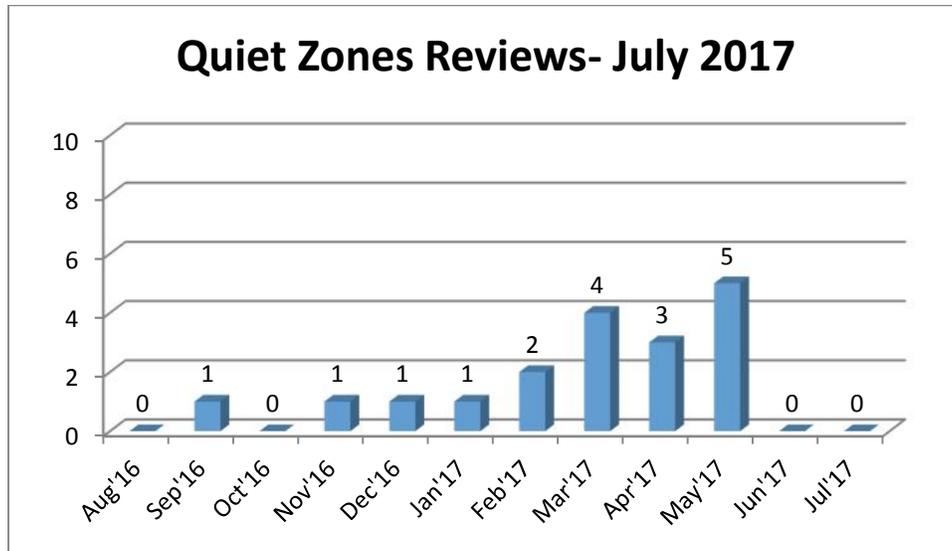
In July 2017, RCEB did not receive or close a highway-rail crossing related complaint.



SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

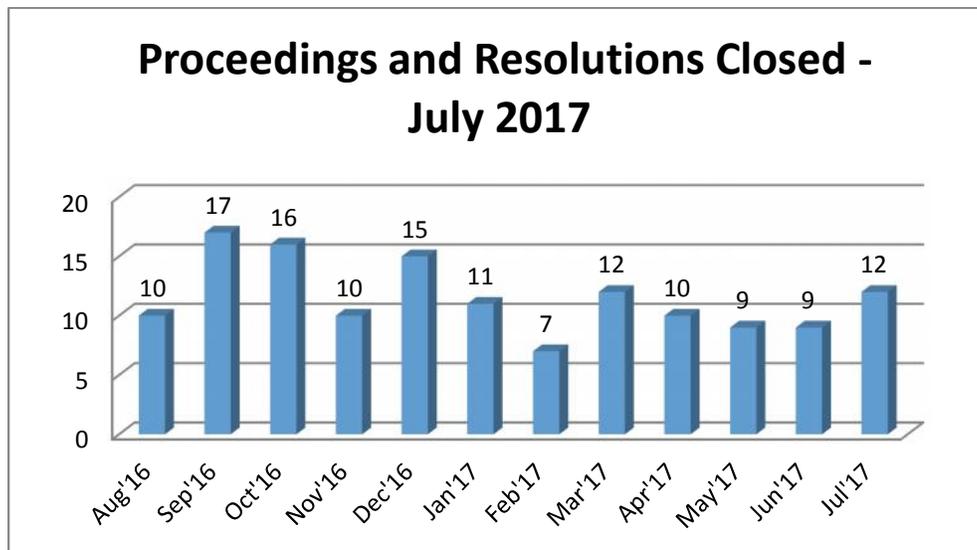
In July 2017, RCEB completed 17 rail-crossing safety assessments involving: communications, field inspections, and diagnostic reviews, with railroads and local agencies. RCEB also participated in “Crucial Conversations Training” for handling internal or external work interactions. RCEB staff also completed the California Ethics training. RCEB did not complete any reviews for Quiet Zones this period.





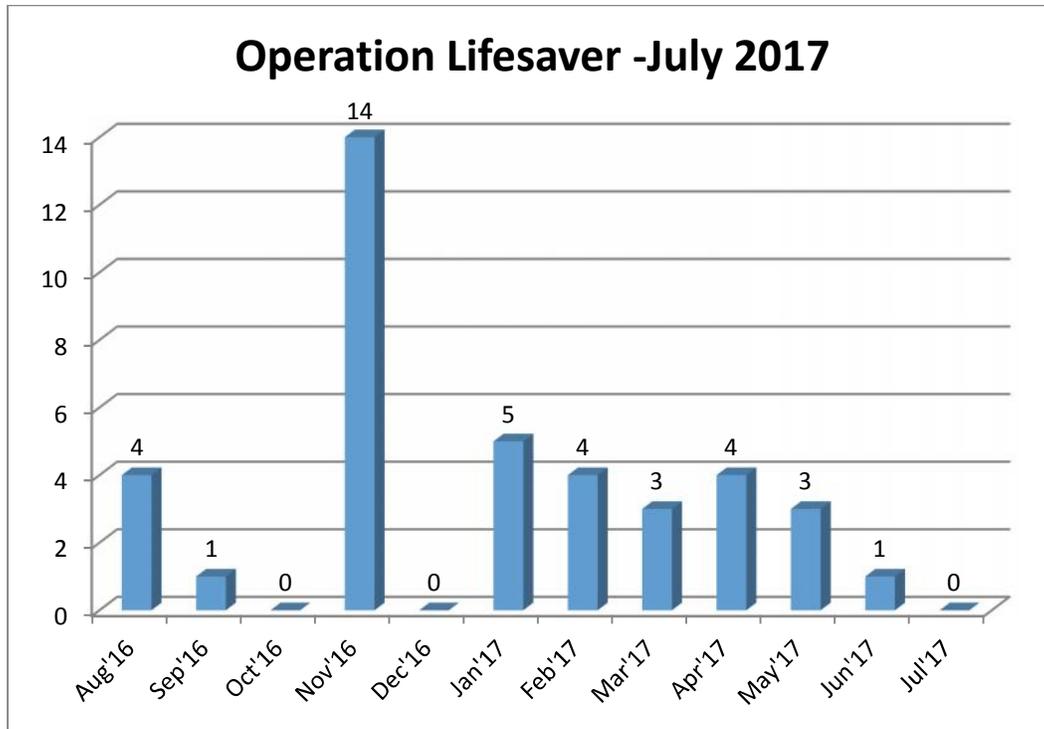
PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

In July 2017, RCEB staff received two major proceedings requiring Administrative Law Judge review, and two new General Order 88-B applications for changes to existing crossings. In this month, RCEB approved 12 General Order 88-B applications.



OPERATION LIFESAVER INC.

In July 2017, RCEB did not complete an Operation LifeSaver Inc. (OLI) activity this period. As time permits, RCEB staff continues to volunteer and participate in OLI events and activities.



RAIL TRANSIT - RTSB

In July 2017, the Rail Transit Safety Branch (RTSB) completed the following:

CORRECTIVE ACTIONS PLANS

- 23 CAPs were opened for July 2017.
- 9 CAPs were closed this month.

INCIDENT INVESTIGATIONS

- In July 2017, 18 incidents were reported by RTAs.⁵
- One incident investigation was closed by RTSB in July 2017.

⁵ 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.

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 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. On December 28, 2016, the Commission issued a scoping memo for the case, identifying the topics to be investigated and affirming the need for a hearing. Additionally, both parties were ordered to file another joint Case Management Statement. BART and SED engaged in a debate over evidence, and filed separate Case Management Statements on January 13, 2017. On January 23, 2017, ALJ Kim issued a ruling setting the dates of evidentiary hearing to February 13-16, 2017.

On February 1, 2017, ALJ Kim issued a ruling reminding BART to adhere to ex parte communication rules. BART submitted documents related to non-disclosure agreement between National Transportation Safety Board (NTSB) and parties to investigation. On February 8, 2017, ALJ Kim opened hearing for BART's two in limine motions, a motion filed by a party to a lawsuit which asks the court for an order or ruling limiting or preventing certain evidence from being presented. On February 9, 2017, ALJ Kim issued a ruling on BART's two In Limine motions, Motion to Dismiss, and two Motions to Accept Late-filed Opposition In Limine, and SED's Motion for Continuance of the Hearing and Motion for Order Shortening Time to Respond for Continuance. BART and SED filed responses, with SED filling a couple of motions with BART responding. The evidentiary hearing adjourned on February 15, 2017, ALJ Kim requested parties to review exhibit list and exhibits for submission by ruling dated March 1st, having received no requests for corrections or amendments; ALJ is preparing final exhibits and exhibit list. BART separately filed a motion to seal a portion of the evidentiary record. ALJ Kim requested parties, within five working days of March 1st, to review, meet and confer, and file one set of jointly prepared list of proposed corrections or amendments to exhibit list. Closing briefs were filed by both SED and BART on March 28, 2017. Briefs and responses from parties were filed including in regards to the exhibit with the in-cab video from the BART vehicle involved in the

accident, subject to this proceeding and closing briefs. BART also filed a brief requesting that the Commission sanction SED for allegedly releasing the in-cab video to the media. In its filings, SED indicates it did not distribute the video to the media as suggested by BART. ALJ ruling is pending. On June 20, 2017 the Commission issued D.17-06-018 extending the statutory deadline for the proceeding to December 23, 2017. Pending ALJ ruling

- **R.09-01-020 Rulemaking into Railroad Worker Protections (Commissioner Rechtshaffen/ALJ Kim):** On January 29, 2009, the Commission instituted an Order Instituting Rulemaking “OIR” or “rulemaking” in response to a fatal Bay Area Rapid Transit (BART) employee accident on January 12, 2001, a fatal July 24, 2008 Sacramento Regional Transit District (SRTD) maintenance employee accident, and an October 14, 2008, BART employee fatal accident. The purpose of this investigation is to determine (1) whether current protections for rail transit agency roadway workers are adequate, (2) whether the State of California should implement a General Order (GO) implementing new rules for rail transit agency protection of maintenance-of-way, track, signal, operating employees, and others engaged in roadway work, and (3) if new protections are needed, a description of the protections to be required by rail transit agencies and included in the General Order.

On March 17, 2017, as requested by the ALJ, staff filed a report that contained staff’s recommendations for reconciling Commission GO 172: Rules and Regulations Governing the Use of Personal Electronic Devices By Employees of Rail Transit Agencies And Rail Fixed Guideway Systems and GO 175-A: Rules And Regulations Governing Roadway Worker Protection Provided By Rail Transit Agencies And Rail Fixed Guideway Systems language and the proposed GO language. Staff proposed changes to GO 172 only. Pending ALJ ruling.

Pending:

- **Resolution ST-205:** On June 27, 2017, SED filed a proposed resolution to approve the San Francisco International Airport (SFO) AirTrain Extension Project’s Safety Certification Plan. The project will expand the existing AirTrain System to include a new Long Term Parking (LTP) Garage and add an additional in-line station (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 three new Innovia APM 100 vehicles. The project is currently in the final design phase. The project will have three Safety Certification Verification Reports, as it has three phases and will start revenue services accordingly, from October 2018 to June 2019. Resolution ST-205 is scheduled to appear in Commission’s Voting Meeting on August 10, 2017.

Approved:

- **Resolution ST-204 –** On June 29, 2017, SED filed a proposed resolution with the Commission to approve SED’s report for the “2016 Triennial On-Site Safety Review of the J. Paul Getty Center Tram.” The safety review results indicate that the Getty Tram is in general compliance with its System Safety Program Plan; however, some program areas of non-compliance were identified during the review. These non-compliant items along with

recommendations for corrective actions are described, where applicable, in the Findings/Comments/Recommendations section of each checklist and in the body of the final report. The resolution was approved by the Commission at its July 13, 2017 voting meeting. The report is posted on RTSB's website.

SAFETY CERTIFICATION AND OVERSIGHT OF RAIL TRANSIT AGENCY PROJECTS

- **BART New Vehicle Procurement:** BART is in the process of procuring 775 new rail vehicles. BART has already received ten of these vehicles (five D cars and five 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. BART will submit its interim Safety Certification Verification Report (SCVR) for these first 10 vehicles in early August 2017. The 10-car pilot train should be ready for mainline operation (no passengers) during revenue service on July 12, 2017. Engineering tests, qualification tests, and safety-related testing is on-going. Mainline tests are being conducted during blanket hours (1-3am). Safety-related tests currently in progress are friction break tests. RTSB staff participated in a pre-revenue inspection on July 10, 2017. There will be other pre-revenue inspections of the other pilot cars later in July and August 2017.
- **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 on-going. Trains are currently undergoing testing during the non-revenue hours. Station and Maintenance Facility construction is currently on-going. Track work is completed. eBART has recently hired 30 new staff for operations. In addition, BART has hired a Safety and Training Manager for the eBART and Oakland Airport Connector (OAC) systems. The new manager, Tony Onisko will report directly to BART's Chief Safety Officer. Also, the new eBART and OAC manager is required to notify RTSB's Designated Engineer for BART of any reportable incidents on the eBART or OAC systems. This project expects to be in revenue service by approximately May 2018. The draft System Safety Program and draft Emergency Response Plan were submitted unofficially to RTSB staff for review.

- **BART Warm Springs Extension:** This project added 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. This project was safety certified by RTSB staff. Warm Springs Station opened for revenue service on March 25, 2017. There is currently one open item that should all be completed by August 2017.
- **Silicon Valley Berryessa Extension:** Bay Area Rapid Transit (BART) and Santa Clara Valley Transportation Authority (SCVTA) are currently in the process of jointly constructing a 10-mile BART system track extension and two new stations – the Milpitas and Berryessa stations. The project is expected to be completed in the Fall 2017 (December), and is currently in the construction and testing phase for Traction Power Substation (TPSS), Train Control, Communication, etc., and in the pre-testing phase for other elements of the system. RTSB Staff regularly attends and participates in the Safety and Security Review Committee (SSRC) and Fire Life Safety and Security Committee (FLSSC) meetings and monitors the project progress. Additionally, RTSB Staff receives weekly or monthly schedule updates via email on the testing progress. On May 1, 2017, Staff observed the Railroad Intrusion Detection System (RIDS) testing at S24 location in Milpitas and on May 12, 2017, Staff observed the Powell Phase 3 pre-testing related to SME TPSS. Staff attended and participated in the SSRC and FLSSC meetings related to the SVBX project on May 18, 2017. On May 22 and 23, 2017, RTSB Staff observed SHO TPSS functional testing from field. There were some discrepancies noted and BART engineers will have it on the punch list items. On May 24, 2017, RTSB Staff attended and participated in the FTA Quarterly meeting at the SVBX Office in Milpitas. On June 8, 2017, RTSB Staff participated and observed the Traction Power Substation Testing from the Project Test Center.

On June 21-22, 2017, RTSB Staff participated in the SVBX track inspection walkthrough with BART engineers and inspectors along with the SVBX contractors. The 10 miles of tracks was inspected.

On July 13, 2017, Staff attended and participated in the SSRC and FLSSC meetings related to the SVBX project at the SVBX office in Milpitas. On July 27, 2017, Staff attended, observed and participated in the Traction Power Substation (TPSS) integration regression testing

related to TPSS SWA (Warren Avenue). July 29, 2017, Staff attended and observed the TPSS integration regression testing related to TPSS from Hostetter to Maybury.

- **Central Subway Project:** SFMTA is excavating 1.7 miles of tunnel to extend the Muni Metro Third St. Line to provide a direct transit link between the Bayshore and Mission Bay areas to SoMa, downtown, and Chinatown. This project, due to be completed in December 2019 per the latest update, is in the construction phase and is being monitored by both Central Subway Project (CSP) and RTSB staff through regular meetings, review of documentation related to safety certifiable elements to ensure conformance with specified safety requirements and design criteria, and site visits. CSP periodically provides verification documentation for any construction certification items that are completed to members of the CSP Safety and Security Certification Review Committee (SSCRC), which includes RTSB and SFMTA system safety staff. Whenever RTSB or SFMTA Safety staff has any questions with such document submittals, they will communicate them to CSP team. CSP tracks the items in question by RTSB or SFMTA Safety staff on its monthly SSCRC meeting minutes until satisfactory resolution is reached. This process will continue throughout the construction phase of the project. On July 14 and August 3, 2017, CSP sent new batches of verification documentation for some construction certification items to the SSCRC for review and approval. Other than these items currently undergoing review by staff, CSP has yet to address RTSB staff's inquiries sent to CSP on a number of documentation submittals sent to the SSCRC on September 9, 2016, January 26, 2017, May 10, 2017, and June 12, 2017 which is being tracked on the monthly SSCRC meeting minutes through resolution. The completion of the project has been forecasted to be delayed by almost a year, mostly caused by the production rate at the Chinatown station being behind schedule. A project contractor was limited in terms of equipment, tight spaces, environmental issues, etc. CSP is trying to accelerate the construction of the project to close that gap by increasing and paying for more construction hours.
- **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 June 30, 2017, seventy-five P3010 vehicles have been approved for revenue service by RTSB staff. As of July 31, 2017, eighty P3010 vehicles have been approved for revenue service by RTSB staff.

- **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 existing aging HRV fleet operating on the Red Line subway. The Safety Certification Plan was approved under Resolution ST-185, however no vehicles have yet been delivered.
- **LACMTA Regional Connector Project:** Currently in tunnel boring and 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, and has approved a temporary shoofly track to allow tunnel boring to commence. The tunnel boring machine has completed one tunnel and is being dismantled and relocated for reassembly in the tunnel launch pit to bore the second parallel tunnel.
- **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 heavy rail subway and seven stations, is planned to be constructed in three sections, and is currently in the utility relocation phase. RTSB staff regularly attends Westside PLE's monthly Fire Life Safety and Security Meetings, as well as Safety and Security Certification Review meetings.

On June 16, 2017, LACMTA has submitted an update to the original Safety and Security Certification Plan, dated November 30, 2011. Staff has reviewed and approved the revision.

- **LACMTA/MGLFECA Foothill Extension Phase 2B:** LACMTA and Metro Gold Line Foothill Extension Construction Authority have submitted the project’s Safety Certification Plan (SCP), which was approved by Resolution ST-194, “Granting Approval of the Los Angeles County Metropolitan Transportation Authority and Metro Gold Line Foothill Extension Construction Authority Foothill Extension Phase 2B Safety Certification Plan”, on January 19, 2017. Phase 2B alignment is from the current terminus of LACMTA Gold Line, Azusa Station, to the City of Montclair. It will traverse through six cities with six new stations on 12.3 miles of light rail transit (LRT) at-grade track.

Foothill Authority held a kick-of meeting on June 29, 2017, for public agencies and key officials, presenting the project’s current funding status and timeline. Discussions and crossing diagnostics review meetings have taken place, however no alignment construction has begun. Ground breaking is scheduled for October 21, 2017. The first two years will be to relocate and protect utilities, conduct pre-construction activities and begin qualification process for the alignment project design-build team. The project funding is short an estimated amount of \$279 million.

- **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 LACMTA Green Line and will serve the cities of Los Angeles, Inglewood and El Segundo; and portions of unincorporated Los Angeles County. The project is currently in the early construction phase and is being monitored by RTSB through regular meetings. The project is due to be completed in 2019.
- **LAWA Automatic People Mover Project:** The Los Angeles World Airports is in the Environmental Document phase for their Landside Access Modernization Project and constructing the Automatic People Mover is part of the overall project. Below is their current timeline:

Final EIR released – February 2017

Board of Airport Commissioners Certified Final EIR – March 2017

City Council approved project and entitlements – June 2017

Final Environmental Assessment approved – Dec 2017

Award of Contract for Automated People Mover – First quarter 2018

The project is fully funded but it is a Design, Build, Finance, Operate and Maintain project and LAWA is still going through the environmental phase, therefore the contract will not be awarded until early 2018. As a result, they will not have a contractor on board to do the design until later in 2018 and a Safety Certification Plan for CPUC review in 2018.

- **Orange County Transportation Authority (OCTA) OC Streetcar Project:** The OC Streetcar 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 trackway includes operations in the Pacific Electric (PE) Right-of Way and along Santa Ana Boulevard and 4th Street. The Project includes 10 stations in the eastbound direction and 10 stations in the westbound direction. A new operations and maintenance facility will be bordered by 5th Street to the north, the PE Right-of-Way to the south, approximately 500 feet west of Raitt Street to the east, and approximately 1,000 feet west of Raitt Street to the west. Construction is planned for mid-2018 and revenue service begins late 2020.

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 (SSCP) for the project has been reviewed, and staff prepared Resolution ST-191 accepting the SSCP for consideration. The Commission approved the Safety and Security Certification Plan (SSCP) at its meeting on April 27, 2017.

- **San Francisco Municipal Transportation Agency (SFMTA) LRV4 Procurement to Expand and Replace the Rail Fleet:** In September of 2014, SFMTA awarded the contract to Siemens to provide up to 260 new light-rail vehicles, to replace and expand the existing fleet. The first new car arrived in January of this year, with two added in February and March, for a total of three cars received. The cars are now undergoing qualification testing on site to ensure integration with the existing and newly installed systems of Automatic Train Control System (ATCS), radio replacement, passenger information system and new fare collection

system. This on-going project is expected to be completed in the next ten years in given phases of five needs. SFMTA and their contractor have met with CPUC staff to discuss the overall project and the requirements for submittal of the Safety and Security Certification Verification Report (SCVR). A draft report is in the works.

The safety and security certification-related aspects of this project, scheduled for full completion in 2027, are being monitored by RTSB through regular meetings, review of records produced pursuant to the requirements of the project SC Plan, and participation in witness point activities (e.g. vehicle testing). In Spring 2017, staff has learned a number of issues of concern in relation to car clearance, Americans with Disabilities Act (ADA) issues “between car barriers”, software bugs in the doors, and electromagnetic interference, etc., from SFMTA staff.

On May 15, 2017 RTSB staff participated in a testing of the new prototype vehicle and ascertained the existence of these issues on the prototype. Staff has discussed these issues with SFMTA and will follow up on their resolution prior to final safety certification approval. Currently, SFMTA and Siemens are working through these issues to resolution. On June 13, 2017, a number of RTSB engineers and inspectors participated in a tour of the Siemens facility in Sacramento.

During the LRV4 Safety/Security Certification meeting held on June 30, 2017, SFMTA personnel stated that they would provide their revision of the SC Plan including both a final updated plan and a version with tracked changes marked for RTSB staff. On July 10, 2017, staff went to the testing of a new vehicle (Car #2002) and has learned that SFMTA and Siemens are working through the issues of concerns on the new vehicle prototypes to resolution; they are making good progress in resolving these issues. Furthermore, on 7/24/17, a RTOSS inspector witnessed testing of a new LRV4 vehicle (LRV #2005) that occurred in the subway between Embarcadero and Church/Duboce stations in ATC mode. Some additional issues of concerns on the new vehicle were discovered during the test. Siemens is currently aware of and will be addressing them. SFMTA will be shutting down subway service for several weekends during the period from 7/22 to 8/20 to get the trains fully tested, and ready for revenue service.

- 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 started in 2016 and revenue service is planned to begin late 2021. RTSB staff is attending the System Safety Review Committee Project Meetings and Fire Life Safety Committee Project Meetings. The Commission approved Resolution ST-186, which approves the Safety and Security Certification Plan (SSCP), on its January 19, 2017 meeting.

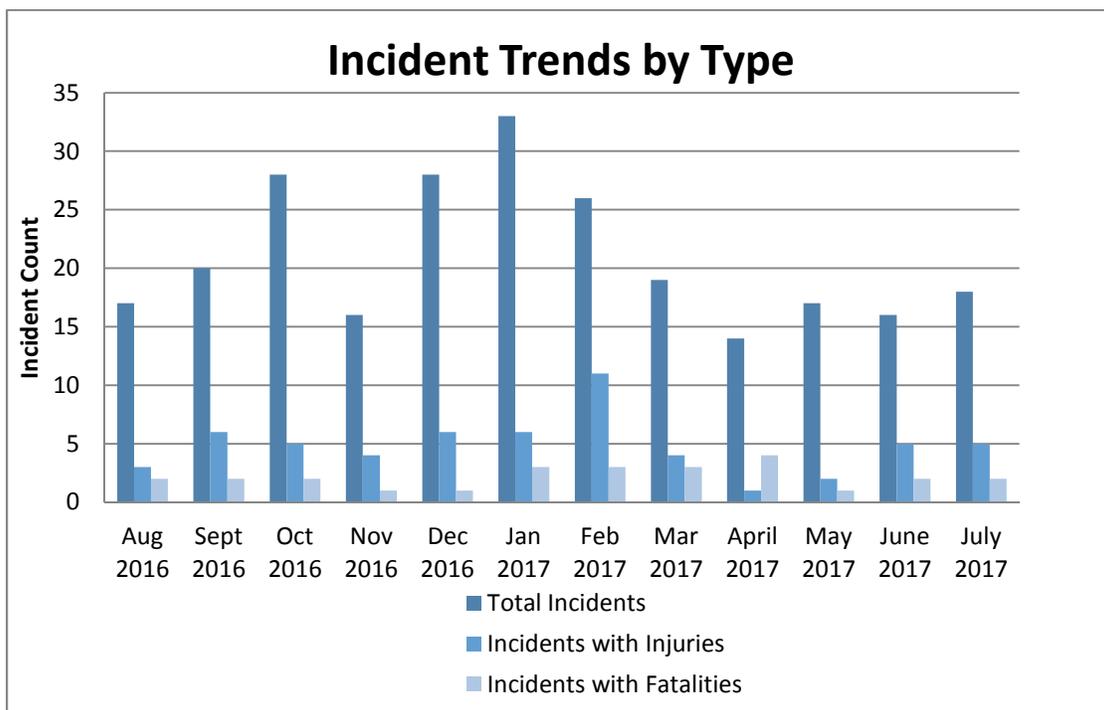
Other Southern California Safety Certification Projects: LA Streetcar Project (in City of Los Angeles) is in early design and engineering phase. Safety upgrades to the Angels Flight Railway (in City of Los Angeles) are currently under review. RTSB staff regularly attends Fire Life Safety Committee meetings, Safety Certification Team meetings, etc. to monitor and track any safety issues.

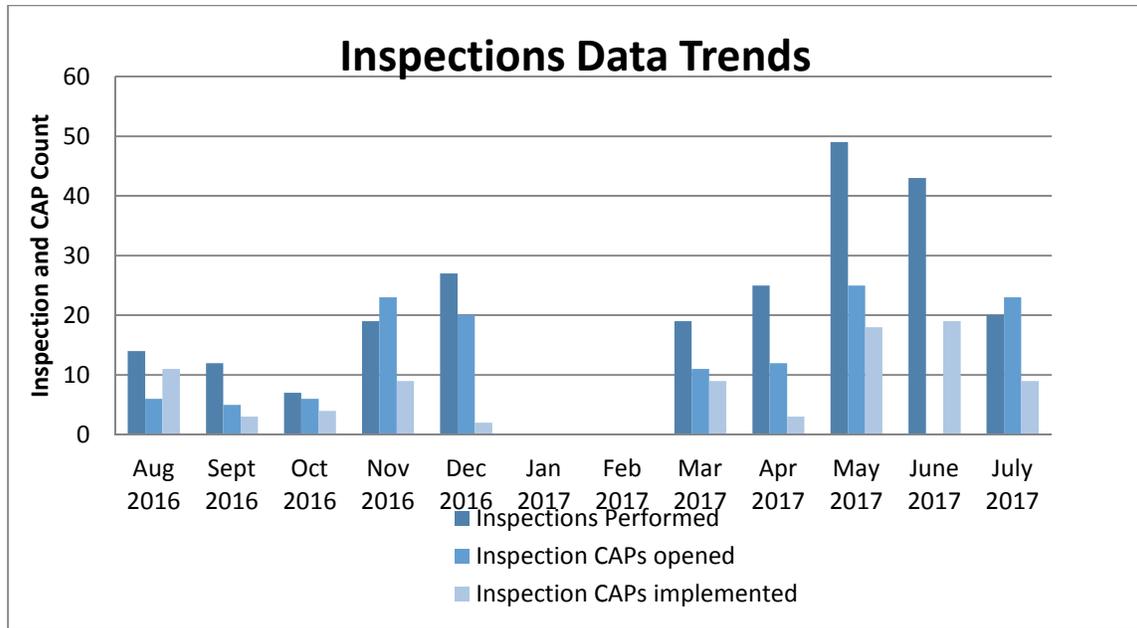
STATISTICS SUMMARY

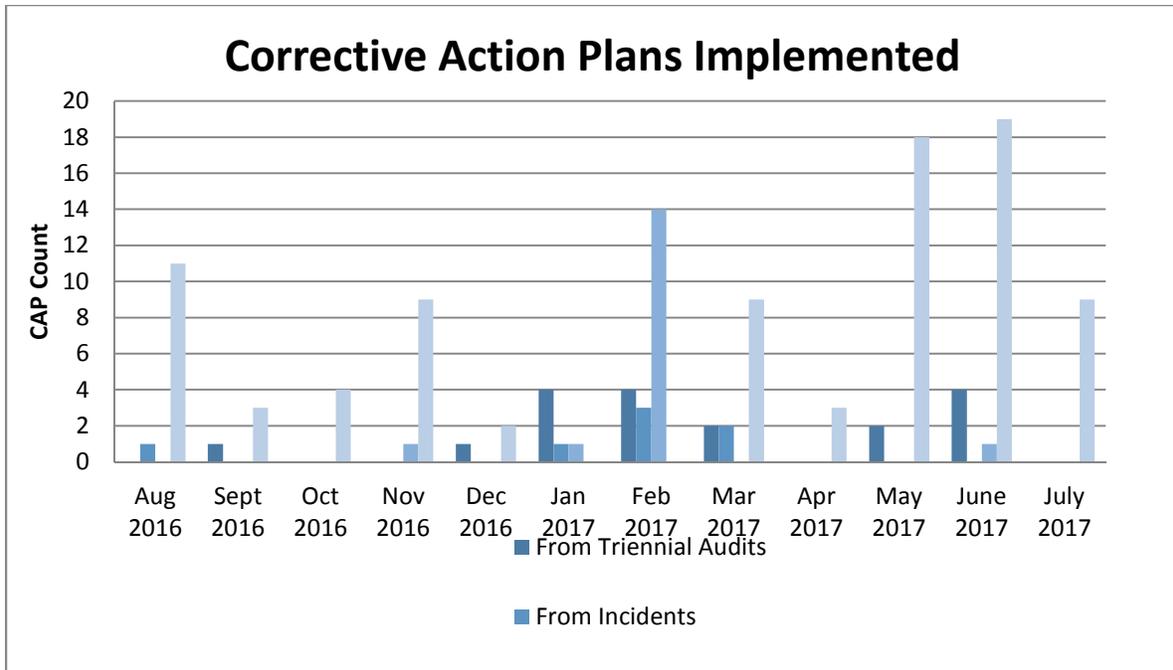
| Investigations | |
|--------------------------------|----|
| Incidents Reported | 18 |
| Incident Investigations Closed | 1 |
| Complaints Investigated | 0 |
| Rail Transit Inspections | 20 |
| Triennial Audits | 0 |

| Corrective Action Plans | |
|---------------------------------------|-----------|
| New Corrective Action Plans | 23 |
| From Triennial Audits | 0 |
| From Incidents | 0 |
| From Internal Safety/Security Audits | 0 |
| From Rail Transit Inspections | 23 |
| Closed Corrective Action Plans | 9 |
| From Triennial Audits | 0 |
| From Incidents | 0 |
| From Internal Safety/Security Audits | 0 |
| From Rail Transit Inspections | 9 |

ONGOING DATA / TRENDS







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