

Safety and Enforcement Division



Monthly Performance Report

June 2017

CONTENTS

COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)	3
NATURAL GAS SAFETY PROGRAM	4
STAFF CITATION PROGRAM.....	4
INSPECTIONS.....	4
INCIDENT INVESTIGATIONS.....	4
UTILITY SELF-IDENTIFIED VIOLATION (SIV) INVESTIGATIONS.....	4
NATURAL GAS RELATED PROCEEDINGS	5
ELECTRIC SAFETY AND RELIABILITY PROGRAMS	6
ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM: AUDITS AND INCIDENT INVESTIGATIONS	6
ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS	7
ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: REPORTS AND OTHER ACTIVITIES	9
ELECTRIC GENERATION SAFETY AND RELIABILITY: INVESTIGATIONS, INSPECTIONS, AND AUDITS	9
UTILITY RISK ASSESSMENT AND SAFETY ADVISORY	10
REVIEWING SAFETY & RISK IN GENERAL RATE CASES	10
PROCEEDINGS	13
MONITORING THE WHISTLEBLOWER WEBSITE.....	15
OFFICE OF RAIL SAFETY	16
RAILROAD SAFETY – ROSB.....	16
<i>ROSB Inspection, Investigation & Field Activities</i>	17
RAIL CROSSINGS AND ENGINEERING BRANCH – RCEB	20
<i>Rail Crossing Incident Investigations</i>	21
<i>Informal Complaints</i>	21
<i>Safety Assessments, Quiet Zones and Reviews</i>	22
<i>Environmental Reviews</i>	22
<i>Proceedings, Resolutions and G.O. 88B Reviews</i>	23
<i>Operation LifeSaver Inc.</i>	24
RAIL TRANSIT - RTSB	25
<i>Corrective Actions Plans</i>	25

Incident Investigations25
Proceedings / Resolutions25
Safety Certification and Oversight of Rail Transit Agency Projects28
Statistics Summary35
Ongoing Data / Trends36

Disclaimer

This Report was prepared by California Public Utilities Commission (CPUC) staff. It does not necessarily represent the views of the CPUC, its Commissioners, or the State of California.

The CPUC, the State of California, its employees, contractors, and subcontractors make no warrants, express or imply, and assume no legal liability for the information in this Report.

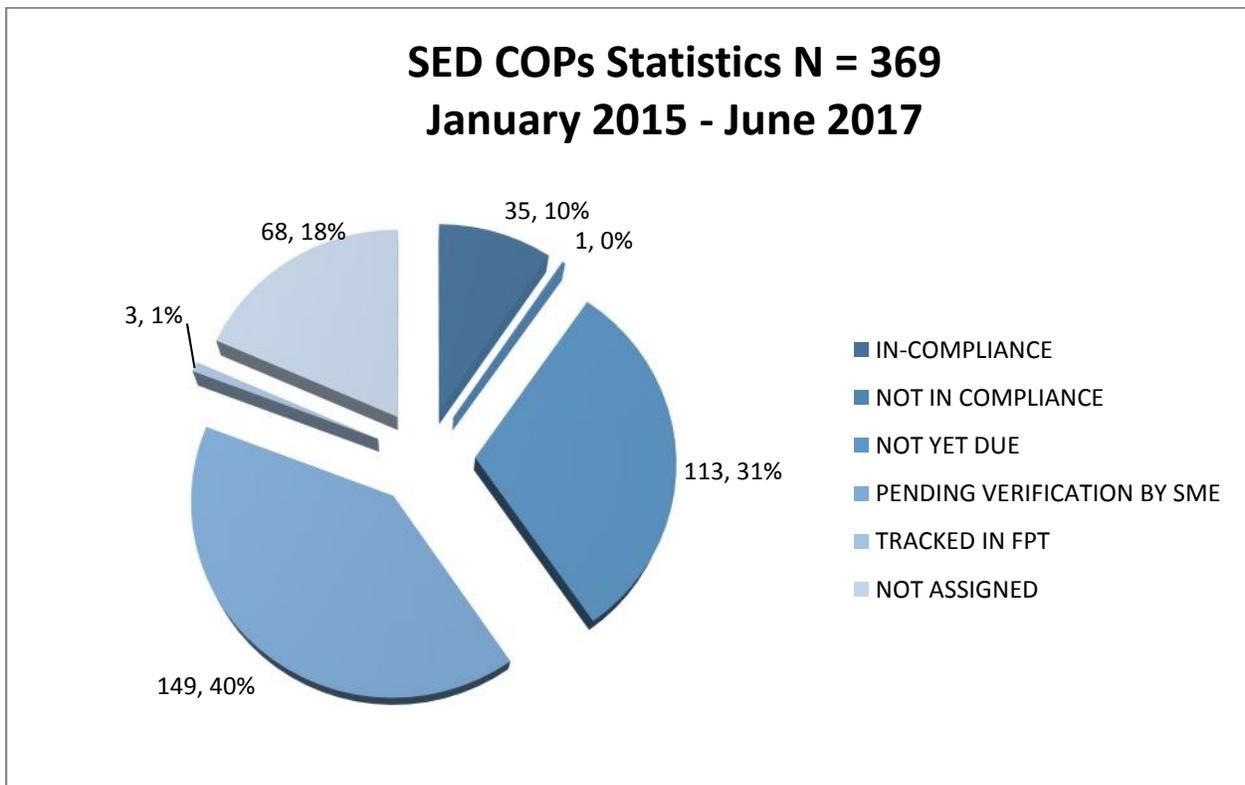
This Report has not been approved or disapproved by the CPUC.

COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through June 30, 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 39 new entries into the COPS system 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

Date Cited	Work Type	Utility	Amount	Violations	Status
6/1/2017	Audit - 2016 DIMP	Southwest Gas	\$ 200,000	192.1007 (c)	Appeal Period ends July 1, 2017
Total 2017			\$ 200,000		

INSPECTIONS

2017 Inspections: GSRB has conducted 33 scheduled inspections in 2017 and has completed the final inspection report for 26 of these 33 inspections during 2017.

INCIDENT INVESTIGATIONS

As of June 30, 2017, GSRB Staff received 132 incidents year to date. All pre-2016 incident investigations have been completed. Metrics on 2016 Incident Investigations:

TOTAL reported in 2016	167	Percent
Open	28	17 %
Closed	139	83 %

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 June 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. Additionally, SED has a pending application for rehearing that was submitted on September 26, 2016, and is still pending. On November 22, 2016, the Commission issued a Notice of Reassignment to ALJ Rafael Lirag. On December 16, 2016, Pacific Gas and Electric Company filed its Initial Compliance Plan.
- **Gas Safety OIR (R.11-02-019) (Commissioner Guzman Aceves/ALJ Kersten) (Advisory):** The proceeding effected certain changes to 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 still pending.
- **Mobile Home Parks Pilot Program (Implementing D.14-03-021):** This decision established a three-year pilot program authorizing each California investor-owned utility to convert 10% of master-metered gas and/or electric Mobile Home Park spaces within its operating territory to direct utility service. The Pilot Program began on January 1, 2015, and will continue through 2017. No significant updates for June.
- **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):** This application was filed on September 30, 2015. The project described in the application, 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. SED performed a technical review of available records related to Line 1600 from the pipeline safety and integrity perspective. In advance of hearings scheduled for mid-July, there has been a flurry of motions and counter motions regarding admissible testimony.

ELECTRIC SAFETY AND RELIABILITY PROGRAMS

ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM: AUDITS AND INCIDENT

INVESTIGATIONS

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

- Received eight electric incident reports and closed 16 previously reported electric incident investigations;
- Investigated 14 customer safety and reliability complaints;
- Conducted one Communication Infrastructure Provider audit;
- Issued three Notice of Violation (NOV) letters/reports.

Metrics for Facility Incident Investigations as of June 31, 2017

Electric and Communication Facilities	Level 1	Level 2	Level 3	Level 4	Total ²
Total open incidents	6	14	34	34	88
Total incidents reported in 2017	7	11	20	17	55
Total incidents closed in 2017	10	18	16	23	67
Total open 2017 incidents	6	7	19	14	48
Incidents reported in June 2017	1	4	2	1	8
Incidents closed in June 2017	2	4	4	6	16

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 advocacy in R.17-03-009 and is assessing what its participation will be 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. Over the next several months, parties will be holding numerous workshops and filing comments to address proposed rules and mapping products.
- **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 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. On June 21, 2017, ESRB staff participated in a workshop to examine and discuss risk resiliency and vulnerability prevention of electric distribution systems. The next workshop is tentatively scheduled for September 19th at the CPUC in San Francisco.
- **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. 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 planning next steps for the Commission's consideration.
- **Butte Fire Investigation and Citation:** ESRB completed its incident investigation of the Butte Fire, which burned 70,868 acres, destroyed 921 structures, damaged 44 structures, and resulted in two indirect civilian fatalities and one injury. On April 25, 2017, SED issued two citations to PG&E for its involvement in the Butte Fire. The total financial penalty for the two citations is \$8.3 million. On May 15, 2017, PG&E requested an extension of time to reply to the citation. The extension of time was granted, and the deadline for PG&E to respond to the citations was revised to June 9, 2017. On June 9, 2017, PG&E paid the total financial penalty for the two citations of \$8.3 million.

- **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. PG&E has 30 calendar days to pay or contest the Citation.

ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: 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.

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

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

- Completed a draft report for an audit of High Winds Generating Facility that was conducted in May of 2017.
- Completed an audit report of Mandalay Generating Station for an audit conducted in March of 2017 and sent it to the plant, requesting a corrective action plan be submitted to the CPUC within 30 days.
- Issued a notice of violation (NOV) letter for a fatality incident that occurred on March 6, 2017 at Sentinel Energy Project in North Palm Springs, and continued to work on the investigation of the incident.
- Issued an audit notification letter to the Sentinel Energy Project in North Palm Springs to perform an audit at the plant from July 17 – 21, 2017.
- Coordinated with the California Energy Commission for the CEC to participate in the upcoming audit at Sentinel Energy Project.
- 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 34 forced and 9 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, and Walnut Creek power plant audits for compliance with GO 167 requirements.

California Public Utilities Commission | Safety and Enforcement Division

- Corresponded with the CAISO following Peak Day Calls during the week of June 19-22, a week of record temperatures that resulted in Restricted Maintenance Alerts and Flex Alerts.
- 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.
- Please see the 2017 year-to-date incident statistics in the table below.

Metrics for Generation Incident Investigations as of June 30, 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	0	0	0
Total open 2017 incidents	0	0	1	2	3
Incidents reported in June 2017	0	0	0	0	0
Incidents closed in June 2017	0	0	1	0	1

UTILITY RISK ASSESSMENT AND SAFETY ADVISORY

REVIEWING SAFETY & RISK IN GENERAL RATE CASES

In preparation for evidentiary hearings in the Southern California Edison TY2018 General Rate Case (A.16-09-001), Risk Assessment staff reviewed testimony and materials describing how Safety metrics are incorporated in the utility's Executive Incentive Compensation and Short-Term Incentive Program (STIP).

Safety metrics account for approximately 10%-30% of SCE's STIP. The exact percentage is hard to determine because some safety metrics are included in the Operational and Service Excellence target along with non-safety metrics.

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.

Based on percentages, SCE's STIP would seem to encourage employees to prioritize Financial Performance, as it makes up the most significant percentage (40%). It's unclear whether this goal could conflict with the safety metrics goal, but if it does, it makes up a much larger percentage of compensation. If employees are driven to perform by variable compensation, as SCE states in its testimony, then the STIP drives them to prioritize the core earnings target. In addition, the results of lack of attention to safety are often not seen until years later.

From SCE's testimony, it's hard to say how SCE determines whether any particular safety incidents are related to current employee performance or the result of decisions from many years ago. It would make the most sense to focus on safety metrics that are related to the performance of the current employees that can be measured in the present timeframe such as maintenance or inspection targets.

SCE's STIP includes Days Away, Restricted Transfers (DART) injury rate target (injuries and illnesses that required employees to miss work, perform restricted work activities or transfer to another job). OSHA specifically discourages using this type of metric for incentive programs because it can intentionally or unintentionally result in employees underreporting injuries.⁴

In 2008, the Commission fined SCE \$30 million when "supervisors discouraged employees from reporting injuries and advised or tolerated the use of various methods to avoid reporting OSHA recordable incidents. Among the methods used to disguise injuries and avoid internal reporting were: employee self-treatment; treatment by personal physicians rather than the company doctor; timecard coding of lost time as sick days or vacation; etc."⁵ In the past, the underreporting was intentionally discouraged, but even with safeguards in place, an incentive program that relies on a DART target could unintentionally discourage reporting even without management influence.

SCE includes a grid reliability and pole loading milestones metric in its STIP as part of Operational and Service Excellence Goals. SED's recent analysis of GRC testimony found significant deficiencies in SCE's pole loading risk assessment methodology (see Monthly report from March 2017). To the extent that the STIP encouraged any unwarranted spending may require further investigation.

SCE's Safety Goal Metrics

- Days Away, Restricted Transfers (DART) injury rate target (injuries and illnesses that required employees to miss work, perform restricted work activities or transfer to another job).
- Fatalities

⁴ <https://www.osha.gov/as/opa/whistleblowermemo.html>

⁵ [D.08-09-038](#). The decision also found that SCE employees and management manipulated and submitted false customer satisfaction data, and the data was used to determine Performance Based Ratemaking (PBR) customer satisfaction rewards for a period of seven years.

- Serious injuries to the public resulting from system failures
- No significant non-compliance events

Operational and Service Excellence Goal Metrics Related to Safety

- Cyber and physical security improvements to protect critical infrastructure from breaches and intrusions, including unauthorized release of customer data
- Emergency/Disaster preparedness, mitigation and recovery efforts
- Grid reliability and pole loading milestones

Staff offered a few conclusions and made several recommendations for Commission consideration:

- Safety comprises only a small portion of SCE's Short Term Incentive Program (STIP). It's unclear what effect STIP has on safety, if any.
- SCE's STIP does not address all aspects of safety, although it does address some areas that PG&E's does not.
- SCE's STIP focuses significantly less on safety than PG&E's STIP.
- SCE's STIP uses a metric that could incentivize underreporting of injuries.
- SCE's STIP includes incentives for pole loading milestones. It's unclear from the testimony exactly what this metric is, but SED staff found significant deficiencies in SCE's pole loading risk assessment methodology. To the extent that the STIP encouraged any unwarranted spending may warrant further investigation.
- SCE's and PG&E's STIPs have one safety metric in common which is 911 emergency response. In 2017 SCE added an emergency response metric based on the percentage of responses where an SCE representative is on scene within an average of one hour after receipt of 911 call.
- It does not appear that SCE's Long-Term Incentive Program (LTIP) has a safety component.

Recommendations

The Commission should hold the utilities accountable in some way for determining whether the compensation incentive programs are effective at improving safety. Currently, there does not appear to be any tracking or benchmarking process to determine effectiveness.

Assuming the Commission supports an STIP to improve safety, Staff recommends:

- Increase safety as a percentage of the STIP. The way the STIP is structured could encourage employees to prioritize other things over safety, if their priority is compensation.
- Eliminate Days, Away, Restricted Transfers (DART) as a safety metric for STIP. Including DART increases the risk of underreporting of injuries.
- The STIP should include a broader range of safety metrics, such as contractor safety, and metrics related to inspections and maintenance.

- SCE could develop STIP metrics that measure plan implementation/adoption and the effectiveness of various initiatives identified in an enterprise safety plan.
- Include safety as a component of the LTIP

PROCEEDINGS

- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ DeAngelis) (Advisory):** On March 8, 2017, the Commission issued the evaluation report prepared by NorthStar Consulting after a year-long investigation into PG&E's safety culture. CPUC President Picker also issued a Scoping Memo for Phase 2 of the OII, which will consider NorthStar's recommendations and other actions the Commission may take. A Phase 2 PHC is scheduled for August 1, 2017.
- **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 and changes to reporting templates worked out among the parties and staff. A major component of the methane abatement effort will involve application by gas utilities of 26 Best Practices for planning, detection, quantification, repair of leaks and training. The decision directed RASA Staff to convene a technical working group and hold a workshop to develop common templates for the BP Compliance Plans that will be due in March 2018. The workshop will be held August 1 at the Commission. Separately, 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.
- **SCE 2017 General Rate Case (A.16-09-001) (President Picker/ALJs Roscow & Wildgrube) (Advisory):** SED RASA staff issued an evaluation report on SCE's testimony related to risk assessment and safety programs on January 31, 2017. No parties requested a workshop on the SED evaluation. Without any indication of a settlement of issues among parties, evidentiary hearings are set to commence in mid-July.
- **Physical Security of Electric Infrastructure (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly) (Advisory)** A Scoping Memo was issued March 10, establishing a series of staff-led workshops to address the current state of federal policies and establish information sharing protocols. RASA Staff has convened three workshops, which resulted in utilities agreeing to develop a joint proposal for a framework for physical security plans for high priority distribution facilities. The proposal will be further vetted during a workshop in 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 June.

- **PG&E 2017 General Rate Case (A.15-09-001) (President Picker/ALJ Roscow) (Advisory):** D.17-05-013 was issued on May 11, 2017. As directed in the decision, SED staff will continue working with PG&E to structure spending accountability reports and develop safety performance metrics.
- **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.
- **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. Workshops and working groups are underway to complete the fire mapping process and develop new policies or regulations. 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.
- **Physical Security of Electric Infrastructure (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly) (Advisory)** After a year-long hiatus, this proceeding resumed with a Pre-Hearing Conference on February 2. Risk section staff issued data requests to IOUs to update information from 2014. A Scoping Memo was issued March 10, establishing a series of staff-led workshops to address the current state of federal policies and establish information sharing protocols. RASA Staff has convened three workshops, which resulted in utilities agreeing to develop a joint proposal for a framework for physical security plans for high priority distribution facilities. The proposal will be further vetted during a workshop in September.
- **PG&E Gas Transmission & Storage Rate Case (A.13-12-012/I.14-06-016) (Picker) (Advisory):** The GT&S case was decided on June 25, 2016, with D.16-06-056. Among other provisions for disallowances for safety lapses, the decision also disallowed from immediate recovery \$696.4 million for 2011-2014 capital expenses above that previously approved in Gas Accord V. \$120 million is permanently disallowed, but \$576 million would be subject to an audit by Commission staff. Staff from RASA and the Energy Division Gas section continue reviewing PG&E's extensive documentation of the relevant projects.
- **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. SED will monitor the proceeding with an interest in adding safety as one of the program eligibility criteria. A PHC is expected in July.

- Utility Poles (I.17-06-027/R.17-06-028) (No assignment yet) (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 - 6/30/2017

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	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
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
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
YTD	10

OFFICE OF RAIL SAFETY

RAILROAD SAFETY – ROSB

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

New Incidents Investigated	11
Informal Complaints Investigated	2
Safety Assessments/Reviews	16
Compliance Actions	697

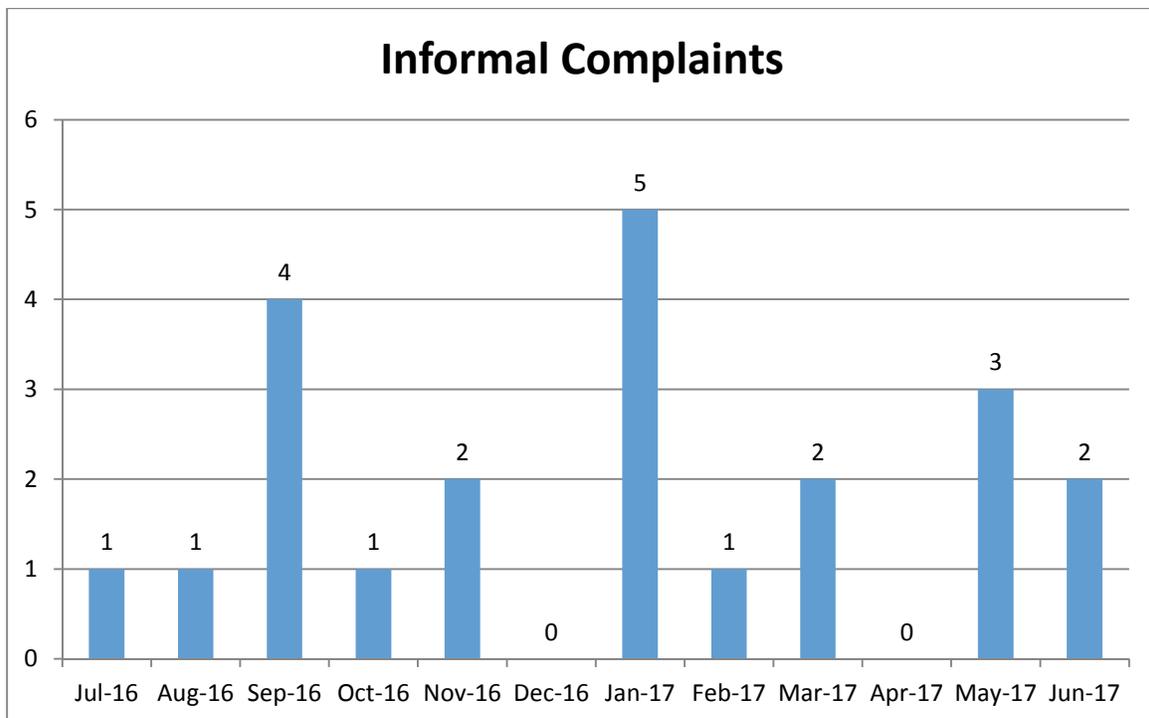
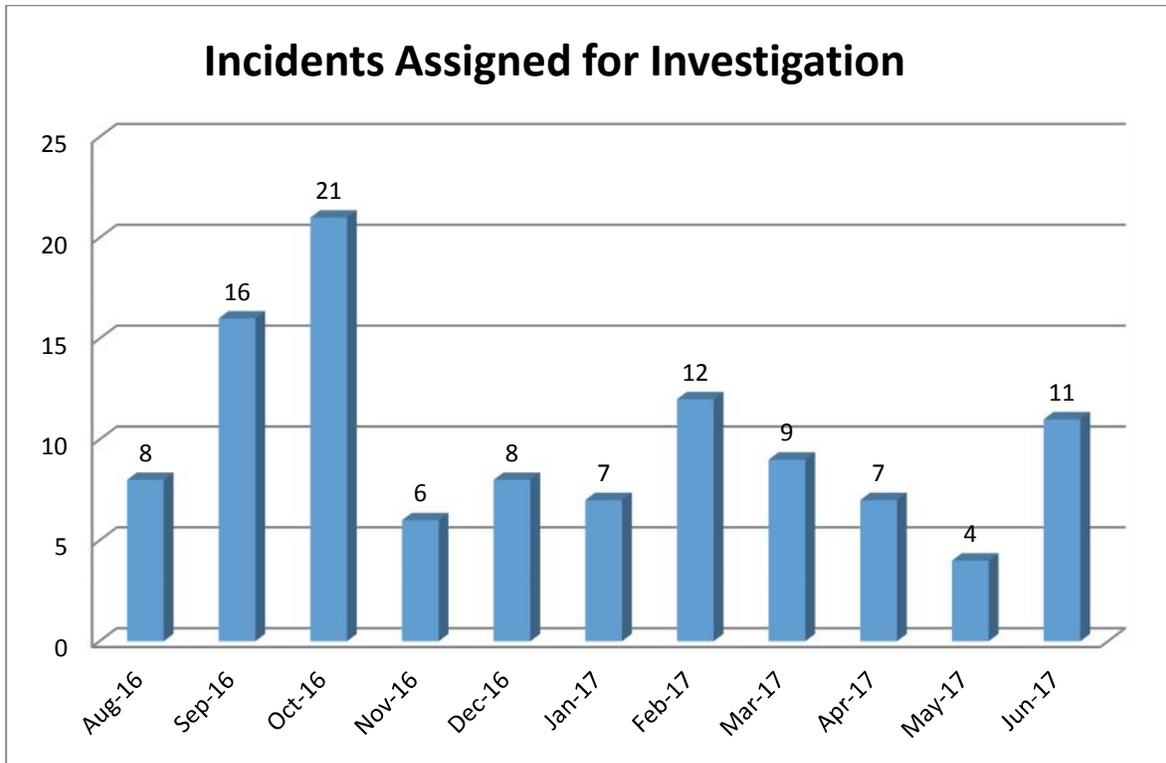
Major Inspections Completed - Such as Focused Inspections	2
Operation LifeSaver Presentations	7

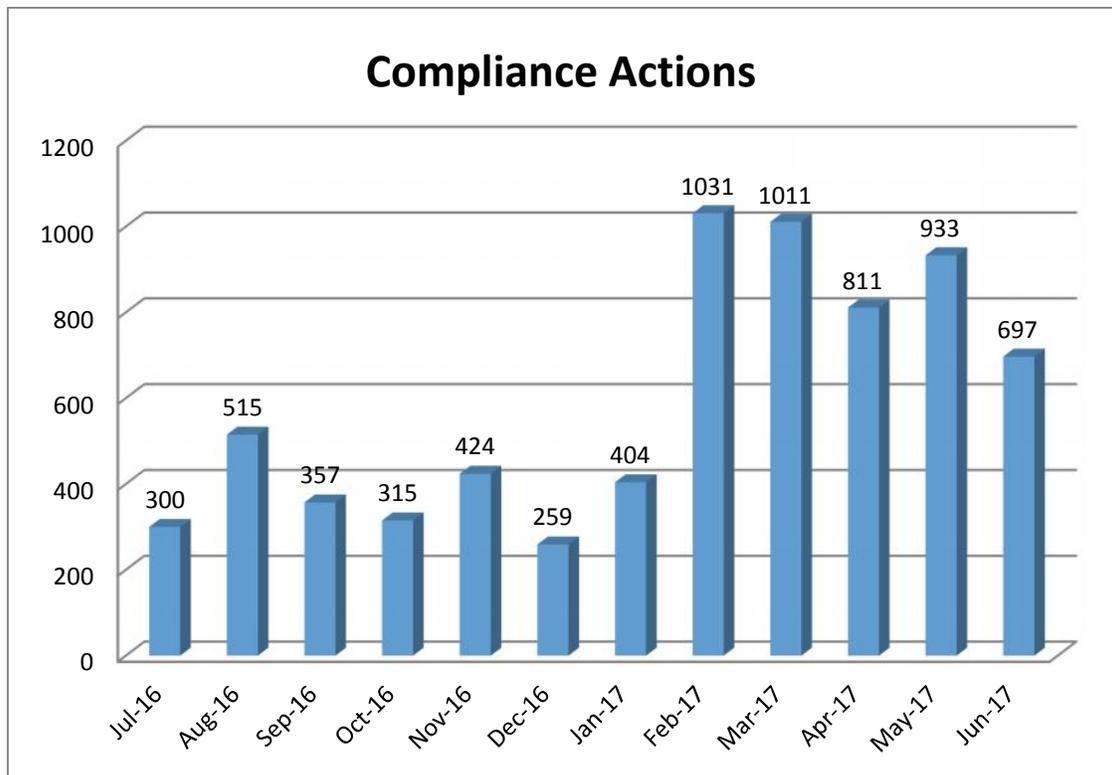
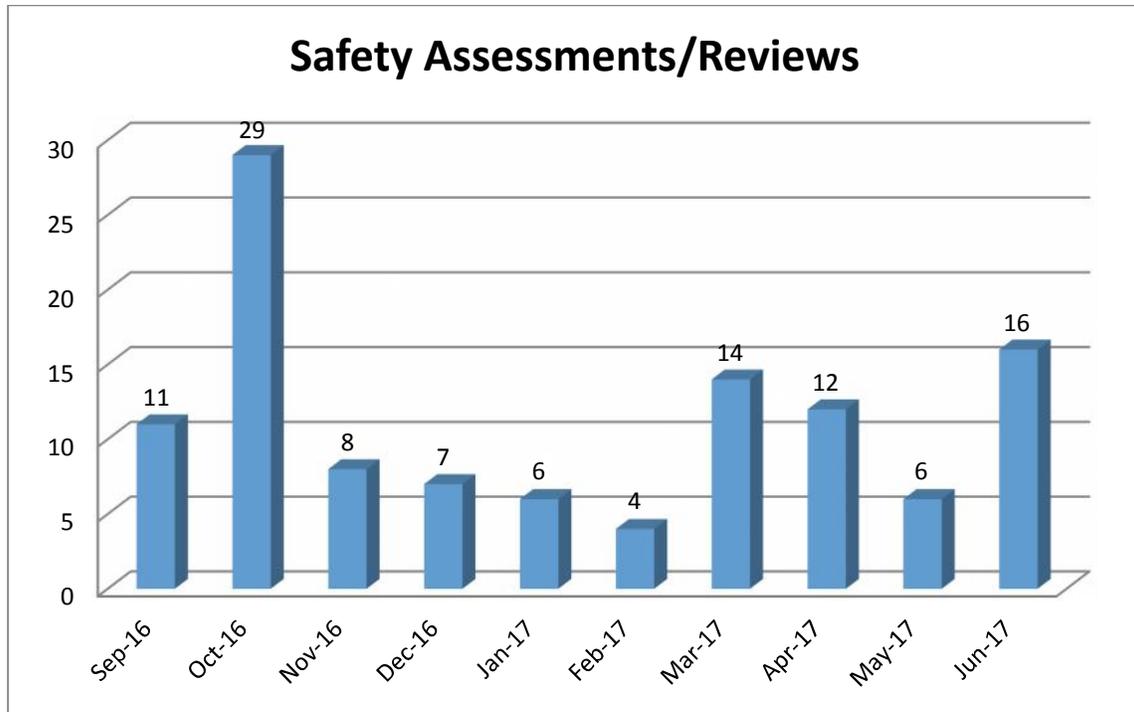
ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

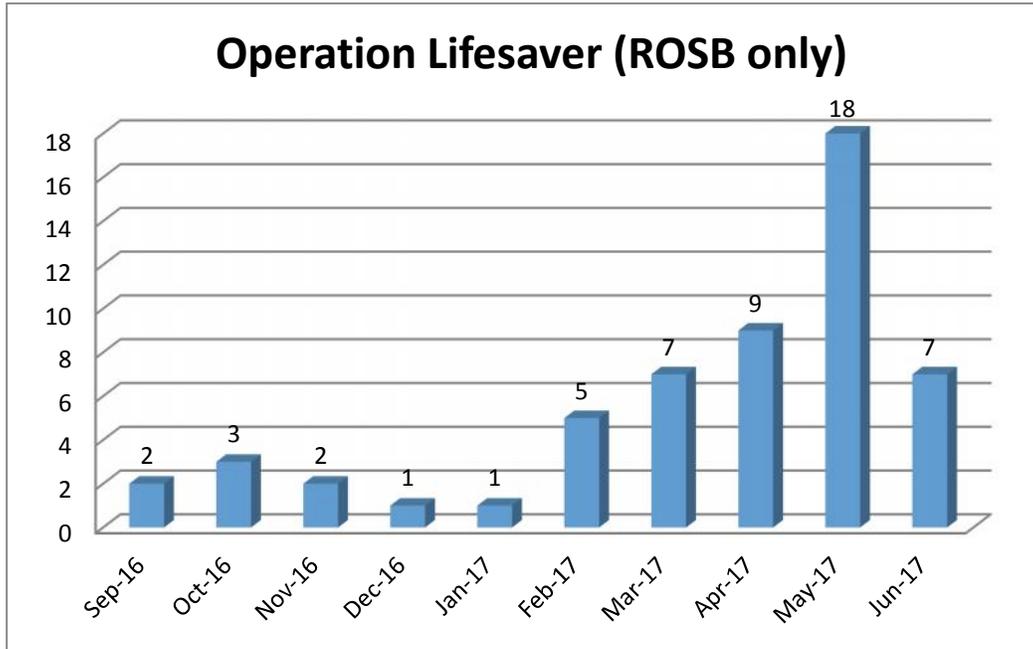
June 1, 2017: A CPUC railroad safety inspector performed a routine track inspection of the BNSF rail yard between Martinez and Concord at the chemical plant within the Tesoro Refinery. The track is approximately 2,500’ and is used to provide rail service to the chemical plant at the refinery. This location is within two miles of Highway 4 and in proximity to a densely populated residential area. BNSF serves the petroleum fuel transportation industry with many extremely hazardous commodities including sulfuric acid and anhydrous ammonia by delivering and picking up the rail cars. The purpose of the inspection was to evaluate the integrity of the track in order to mitigate derailments and protect the public from hazardous materials releases.

During the inspection the CPUC inspector identified a broken rail. The broken rail was located beneath a loaded rail car of anhydrous ammonia. The defect is called a “detail fracture” (broken rail). Federal law, 49 CFR Part 213.113(d) (7) states when the defect is 100 percent of the rail, the track must be removed from service or have a person visually supervise each operation over the defective rail. If the rail had gone unnoticed, there would have been a potential for a derailment, release of hazardous materials in this highly populated area, and potential block or “foul” the adjacent BNSF mainline track, which carries Amtrak passenger and freight trains between the Central Valley and the San Francisco Bay Area. The CPUC railroad safety inspector notified the BNSF track manager, who immediately briefed all train crews and managers and removed the track from service. The rail was replaced the next day.

June 14, 2017: Two CPUC railroad safety inspectors who specialize in hazardous materials attended the Phillips 66 Rodeo’s facility safety meeting. The meeting consisted of three supervisors and seven employees. The discussion revolved around Department of Transportation hazardous materials training, inspections of tank cars prior to offering for transportation, track securement, and the consequences of civil penalty assessments. CPUC General Order 118A and 26D were also discussed as this facility is preparing for some new construction near their rail cars loading racks. The CPUC railroad safety inspectors led the group’s discussion on the importance of keeping the walkways clear of tripping and other hazards, compliance of side and overhead clearances’ issues and how, by accomplishing this, it not only protects the railroad’s personnel while in their facility, but it also protects their own personnel.







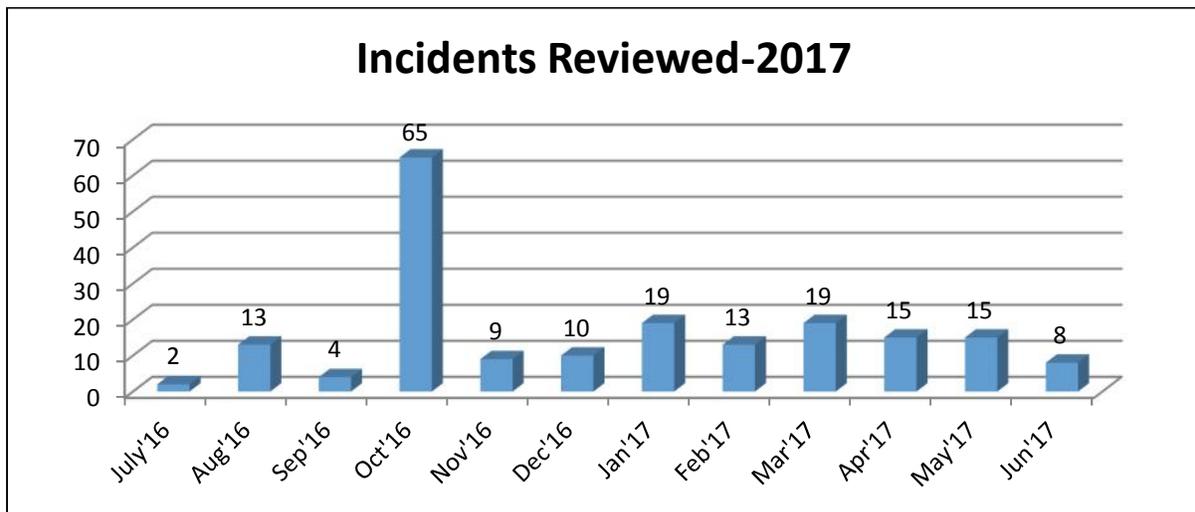
RAIL CROSSINGS AND ENGINEERING BRANCH – RCEB

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

	New During Period	Closed During Period
Crossing Incident Reviews	12	8
Informal Complaints Investigations	1	1
Safety Assessments/Quiet Zones/Reviews	25	25
Environmental Reviews	21	21
Proceedings, Resolutions and G.O. 88-B Reviews	9	9
Operation LifeSaver Presentations	1	1

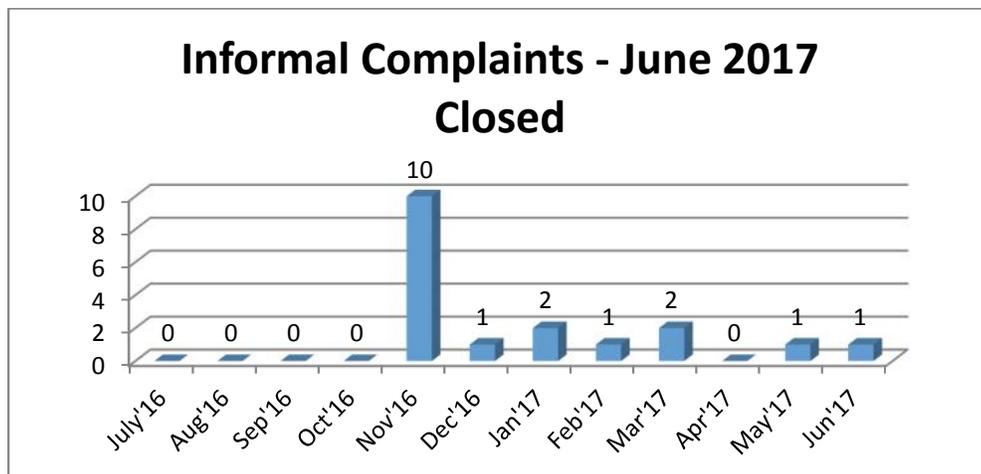
RAIL CROSSING INCIDENT INVESTIGATIONS

- In June 2017, the Rail Crossings and Engineering Branch (RCEB) assigned 12 new incidents reviews with 11 at highway-rail crossings and one at a highway-light rail transit (LRT) crossing (crossings). RCEB completed eight crossing incident reviews and evaluations.



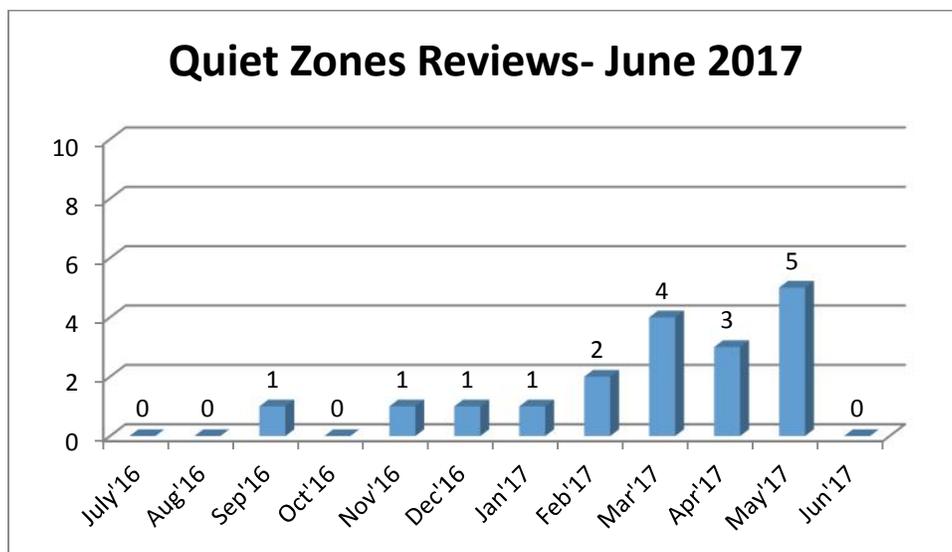
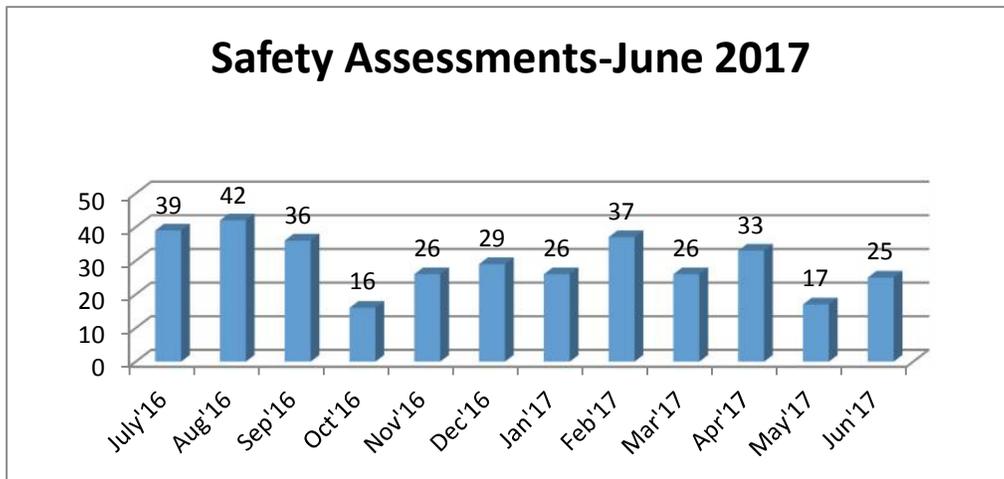
INFORMAL COMPLAINTS

In June 2017, RCEB received a new complaint involving an environmental review for a new project in Vallejo, CA. On June 2, 2017, RCEB staff closed an informal complaint involving roadway profiles along SR 78 in Glamis, CA. The parties agreed to maintain the roadway profile. The Glamis crossing is in Imperial County.



SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

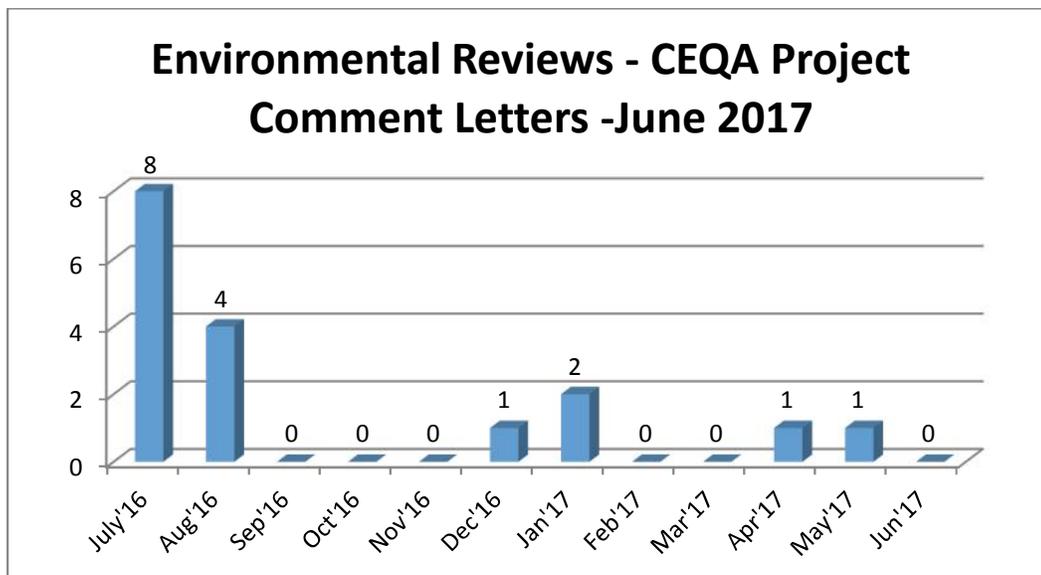
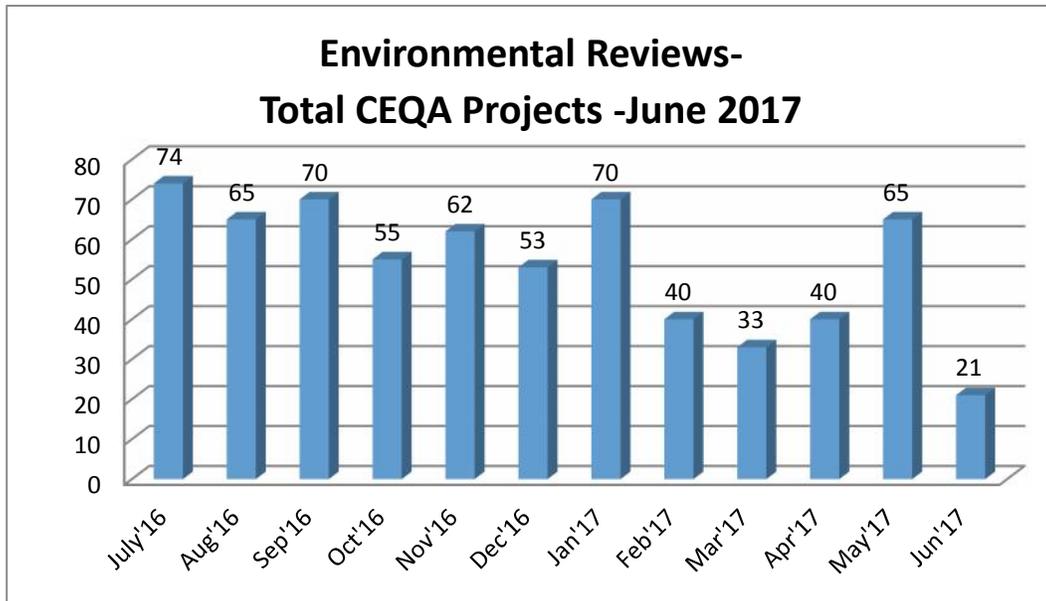
In June 2017, RCEB completed 25 rail-crossing safety assessments involving: communications, field inspections, and diagnostic reviews, with railroads and local agencies. RCEB also participated in a webinar with the Federal Railroad Administration and Federal Highway Administration on the proposed Safety Action Plan for each state that has rail service. RCEB did not complete any reviews for Quiet Zones this month but did update two database records.



ENVIRONMENTAL REVIEWS

In June 2017, RCEB reviewed 21 CEQA reports. When railroads and local agencies plan new projects or developments, staff reviews the environmental documents for safety impacts to

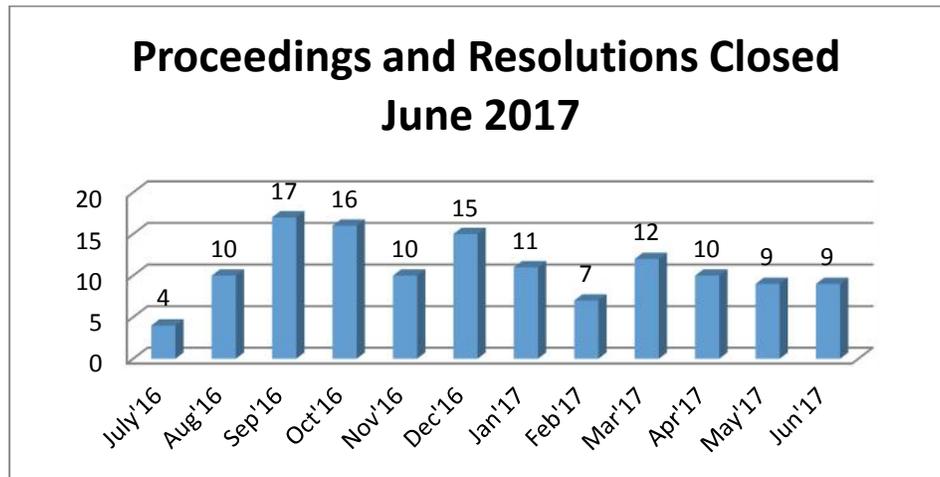
crossings. The review addresses safety issues in highway-rail crossing design and nearby intersections during the design phase of the projects.



PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

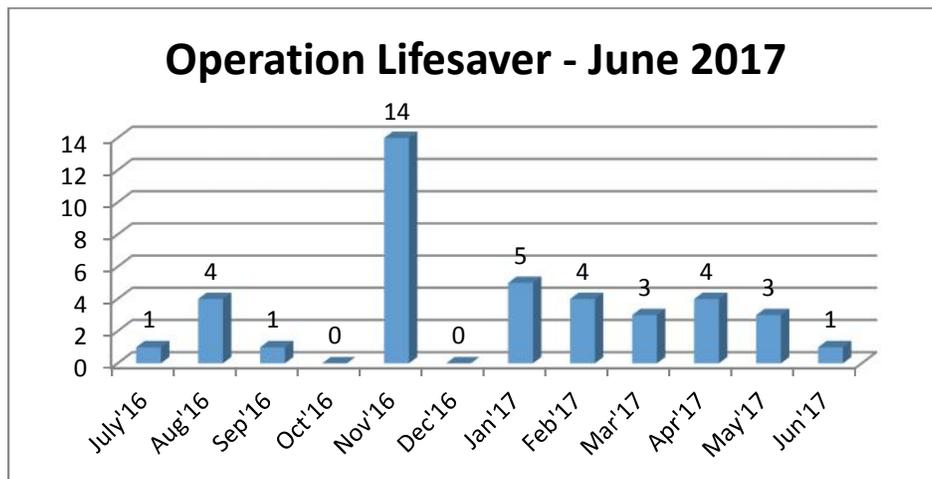
In June 2017, RCEB staff received two major proceedings requiring Administrative Law Judge review, one new Resolution review, and six new General Order 88-B applications for changes to existing crossings. In this month, RCEB approved eight General Order 88-B applications and one

proceeding under RCEB. The proceeding is an application of the City of Arcata (A.1612017) in Humboldt County that is requesting authorization to construct a new temporary public at-grade pedestrian crossing over the North Coast Railroad Authority tracks. The CPUC issued Decision 1706011 approving the request.



OPERATION LIFESAVER INC.

In June 2017, RCEB completed an Operation LifeSaver Inc. (OLI) activity that resulted in one presentation to a group of 33 driver’s education students at the Cosumnes Oaks High School in Elk Grove, Sacramento County. As time permits, RCEB staff continues to volunteer and participate in OLI events and activities.



RAIL TRANSIT - RTSB

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

CORRECTIVE ACTIONS PLANS

- 13 CAPs were opened for June 2017.
- 24 CAPs were closed this month.

INCIDENT INVESTIGATIONS

- In June 2017, 16 incidents were reported by RTAs.⁶
- 29 incident investigations were closed by RTSB in June 2017.

PROCEEDINGS / RESOLUTIONS

Ongoing:

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

⁶ 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.

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.

R.09-01-020: 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-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 is scheduled to appear on the Commission’s July 13, 2017 voting meeting agenda.

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.

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 to review and provide feedback.

- **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 are currently three open items that should all be completed by July 28, 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 and 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.

- **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 2019, 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 June 12, 2017, CSP sent a new batch 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, and May 10, 2017, which is being tracked on the monthly SSCRC meeting minutes through resolution.
- **LA Metro (LACMTA) P3010 New Vehicle Procurement Project:** Los Angeles County Metropolitan Transportation Authority (LACMTA or LA Metro) is in the process of procuring up to 235 new rail vehicles 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.

- **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-off 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.
- **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 Safety and Security Certification Plan (SSCP) was approved at the Commission 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.

- **San Diego Trolley, Inc. (SDTI) Mid-Coast Corridor Project:** The San Diego Metropolitan Transit System Mid-Coast Corridor Project is a 10.9-mile double-track light-rail transit line, which begins at the Old Town Transit Center in San Diego. The project provides future SDTI revenue service to the Linda Vista, Clairemont, University California San Diego (UCSD) campus and the University City areas. The additional stations will be: Tecolote Road, Clairemont Drive, Balboa Avenue, Nobel Drive, potential Veterans Administration (VA) Medical Hospital, UCSD West (along Voigt Drive), UCSD East (along Voigt Drive), Executive Drive, and University Town Center (UTC) Transit Center.

Construction is planned for late 2016 and revenue service begins late 2021. RTSB staff is attending the System Safety Review Committee Project Meetings and Fire Life Safety Committee Project Meetings. The Safety and Security Certification Plan (SSCP) was approved at the Commission Meeting on January 19, 2017, as Resolution ST-186.

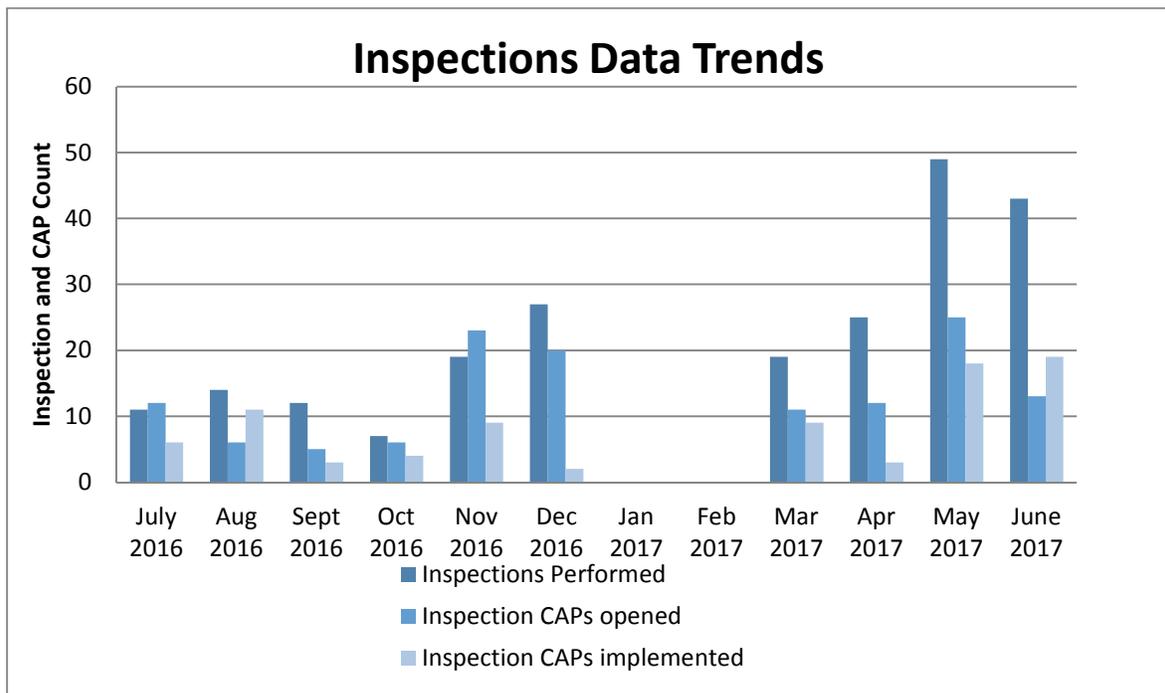
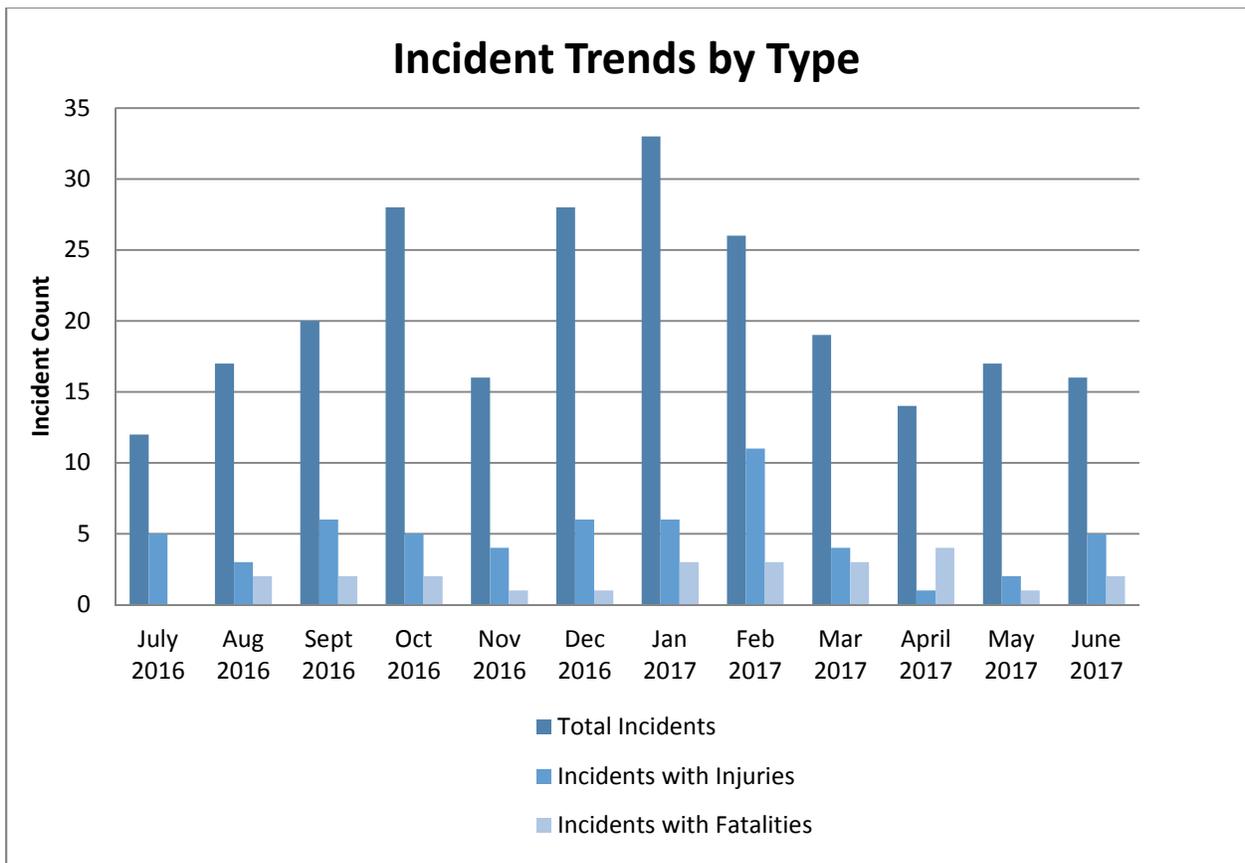
- **Other Southern California Safety Certification Projects:** Several projects are in various phases of early design and engineering in the Southern California region: LA Streetcar Project (in City of Los Angeles), and LAX Automated People Mover (for Los Angeles International Airport). Safety upgrades 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.

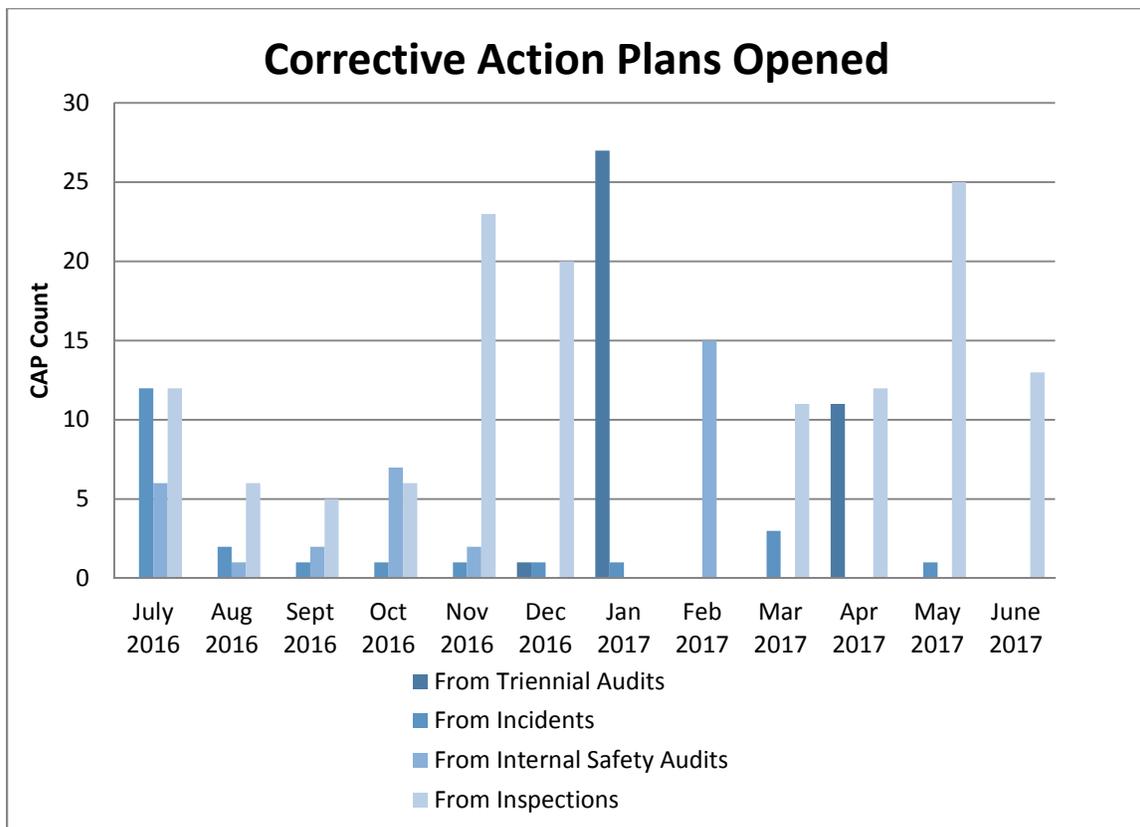
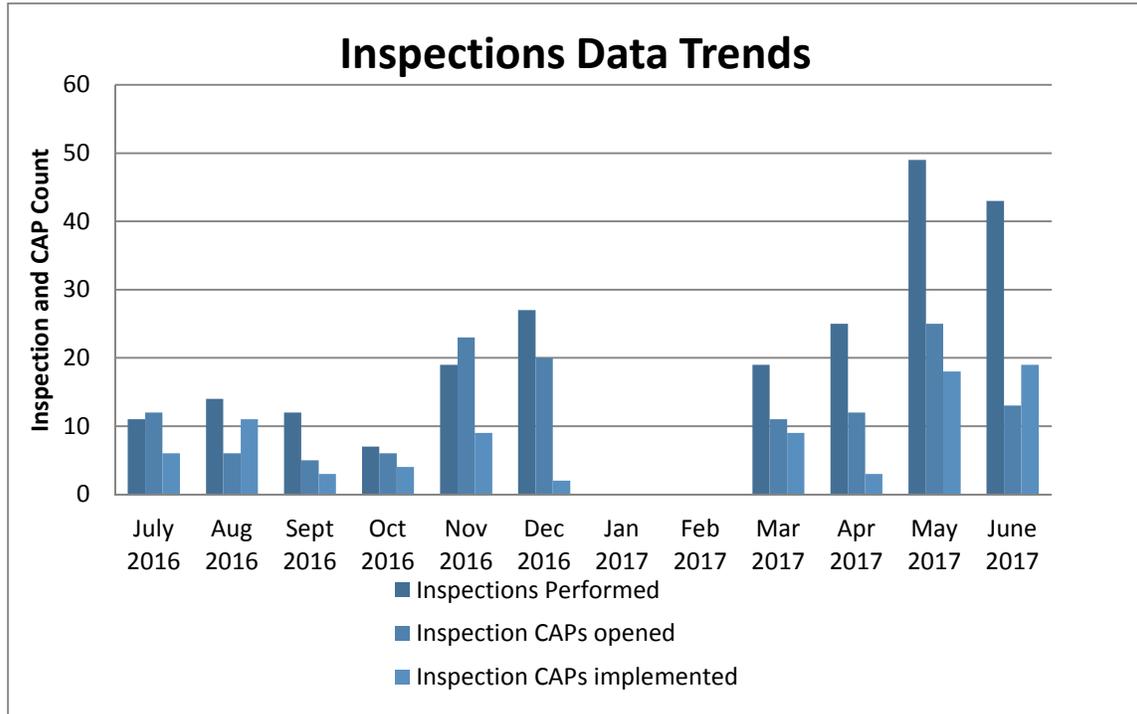
STATISTICS SUMMARY

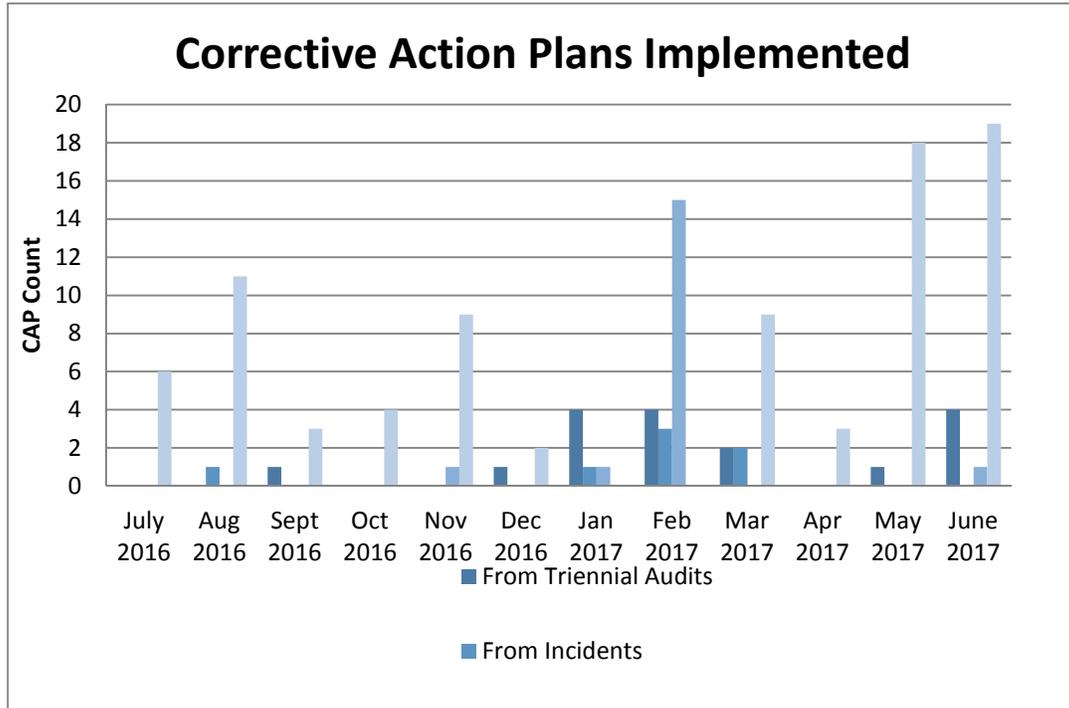
Investigations	
Incidents Reported	16
Incident Investigations Closed	29
Complaints Investigated	0
Rail Transit Inspections	43
Triennial Audits	1

Corrective Action Plans	
New Corrective Action Plans	13
From Triennial Audits	0
From Incidents	0
From Internal Safety/Security Audits	0
From Rail Transit Inspections	13
Closed Corrective Action Plans	24
From Triennial Audits	4
From Incidents	0
From Internal Safety/Security Audits	1
From Rail Transit Inspections	19

ONGOING DATA / TRENDS







###