

# Safety and Enforcement Division



## Monthly Performance Report

September 2017

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## Disclaimer

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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.

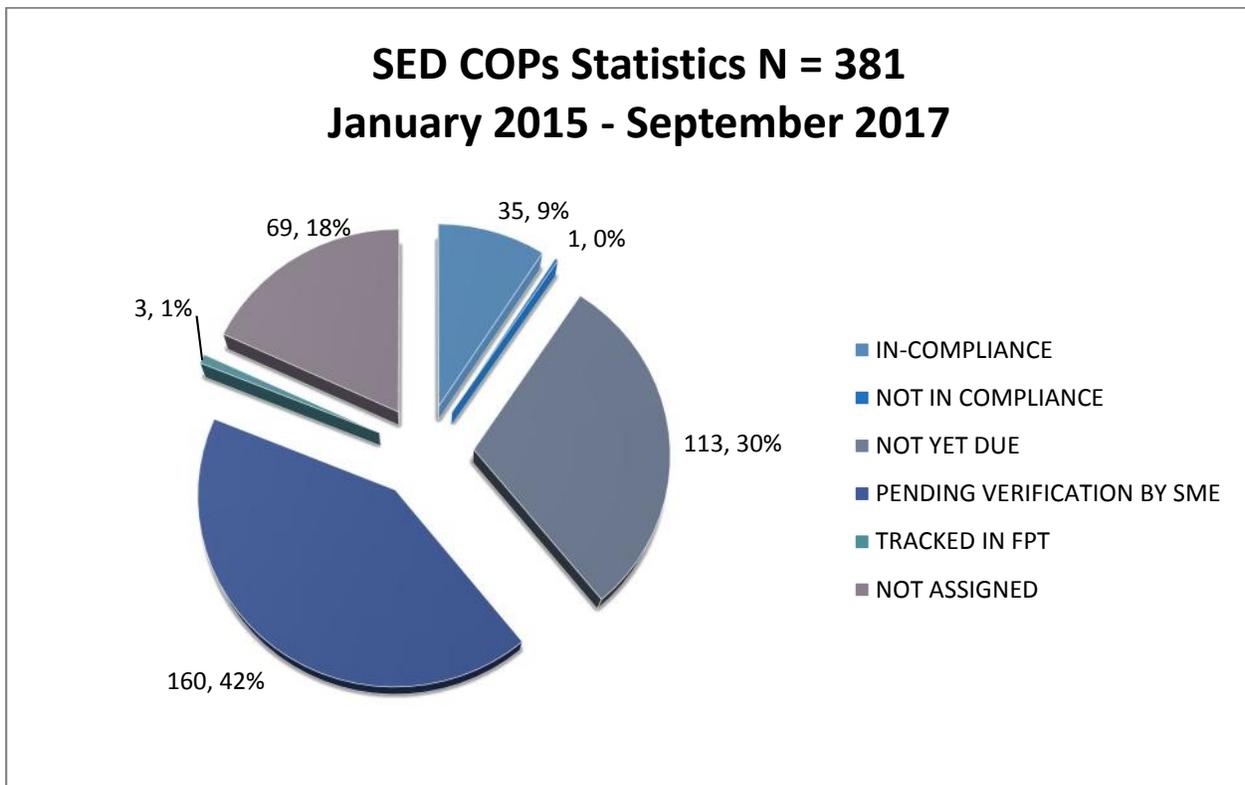
This Report has not been approved or disapproved by the CPUC.

## COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through September 30, 2017, SED shows 381 total entries in the COPS system; with 35 reaching compliance (<10%), 113 (30%) not yet due for compliance, and 1 (<1%) currently remaining out of compliance. The remaining 232 (59%) are either pending verification or have not yet been assigned.

During September 2017, there were eight new OPs recorded to the COPS database for the Safety & Enforcement Division, but no change in total reaching compliance.

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
<b>Total Cited 2017</b>		<b>\$ 200,000</b>				

### INSPECTIONS

**2017 Inspections:** GSRB has conducted 55 scheduled inspections in 2017 and has completed the final inspection report for 44 of these 55 inspections during 2017.

### INCIDENT INVESTIGATIONS

As of September 30, 2017, GSRB Staff received 208 incidents year to date. 157 of the 167 (94%) of the 2016 incident investigations are completed. Metrics on 2017 Incident Investigations:

TOTAL reported in 2017	208	Percent
<b>Open</b>	167	80 %
<b>Closed</b>	41	20 %

The CY 2017 incidents<sup>1</sup> are categorized as follows:

- 131 – Level 1 incidents
- 66 – Level 2 Incidents
- 7 – Level 3 Incidents
- 4 – Level 4 Incidents

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

At the end of each year, the SIV process owner will conduct an annual review, which includes a trend analysis of systemic issues, determination of investigation effectiveness, and possible revision of investigation criteria.

There were no self-identified violations reported in September 2017.

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

## NATURAL GAS RELATED PROCEEDINGS

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- **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's 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. On August 11, 2017, SED filed a subsequent petition to modify D. 15-06-44, seeking to conform GO 112F to more stringent federal regulations.
- **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. Program will now be extended.
- **Citation Program OIR (R.14-05-013) (President Picker/ALJ Burcham) (Advisory):** Decision 16-09-055 was issued on September 29, 2016. Some key points are listed below:
  - An administrative limit of no more than \$8 million for each citation.
  - Utility reporting of self-identified potential violations is voluntary.
  - Utilities need not notify city and county officials of a self-identified potential violation unless staff requires it.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. On August 9 - 11, SED staff reviewed various records which validated MAOP establishment of all the pipeline segments of Transmission Line 1600. The staff also reviewed records of all the bell hole inspections performed on L1600 during the period from 1949 to the present to verify the long seam type of the pipe.

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## ELECTRIC SAFETY AND RELIABILITY PROGRAMS

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The Electric Safety and Reliability Branch (ESRB) was reorganized in August. Rather than the two sections being organized by type of facilities (a statewide Generation section and a statewide Electric and Communications Facility section), the reorganized ESRB has a Northern section and a Southern section. There will be a transition period, with a need for cross-training staff and other steps to reorient work to more of a geographic basis. We expect that these monthly reports also will transition to a geographic basis over the next few months. However, some work, such as legislative analysis and participation in rulemaking proceedings, will continue to occur on a statewide basis.

### ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM

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In September 2017, Electric Safety and Reliability Branch:

- Received 15 electric facility incident reports and closed nine previously reported electric facility incident investigations;
- Investigated 15 customer safety and reliability complaints;
- Performed one Electric Distribution audit; and
- Issued 2 Notice of Violation (NOV) letters/reports.

#### Metrics for Facility Incident Investigations as of September 30, 2017

Electric and Communication Facilities	Level 1	Level 2	Level 3	Level 4	Total <sup>2</sup>
<b>Total open incidents</b>	8	21	50	36	115
<b>Total incidents reported in 2017</b>	11	17	40	29	97
<b>Total incidents closed in 2017</b>	12	17	20	33	82

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

## California Public Utilities Commission | Safety and Enforcement Division

<b>Total open 2017 incidents</b>	8	13	37	23	81
<b>Incidents reported in September 2017</b>	1	2	6	6	15
<b>Incidents closed in September 2017</b>	2	0	3	4	9

### ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS

- **Investigation into Long Beach Incident (I.16-07-007) (President Picker/ALJ Cooke)(Advocacy):** Decision 17-09-024 adopting Settlement Agreement between Southern California Edison and the Safety and Enforcement Division adopted by the Commission at its September 28, 2017 Commission Meeting. Under the settlement, SCE will pay a \$4 million penalty and spend \$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 network maintenance.
- **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)(Advocacy):** 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 staff will be advocacy in the consolidated proceeding. On September 25, 2017, ESRB staff filed reply comments to opening comments and prehearing conference statements of parties for Phase I of the OIR.
- **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. The work regarding the development of specific fire safety regulations applicable to the forthcoming fire map depicting the “High Fire Threat District” is complete. Party mapping experts and an independent group of mapping experts, led by CAL FIRE, are working to finalize the fire map, with an anticipated completion in the fourth quarter of 2017.
- **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. On August 28, 2017, Commissioner Picker issued a Proposed Decision (PD) regarding Petition 17-03-004 and Order Instituting Rulemaking Proceeding to Consider Amendments to General Order 95.
- **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. SED and most parties reached a Settlement Agreement that would modify and improve current Rule 18. On October 6, 2017, SED and the majority of parties filed a joint motion requesting that the Commission adopt the Settlement Agreement.

- **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. ALJ Kelly ordered parties to submit a consensus straw proposal by August 31. On September 14, ESRB submitted comments on the joint utilities' straw proposal for physical security regulations. On September 29, ESRB participated in the fourth workshop to discuss outstanding issues with parties.
- **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. 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 September 28, 2017, the Commission adopted a Decision that addressed Track 1 Demonstration Projects A (Integration Capacity Analysis) and B (Locational Net Benefits Analysis). ESRB will continue to review the issues and provide advisory support.
- **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.

## REPORTS AND OTHER ACTIVITIES

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- **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.

- CAL FIRE Meeting: CPUC and CAL FIRE personnel met in September to discuss the execution of the CPUC/CAL FIRE MOU, opportunities for collaborating to support inter-agency goals, and roles and responsibilities of each agency to meet the legislative mandates of SB 1028. Key personnel will be meeting again in the fourth quarter of 2017 to further discuss and create a plan of action.

## ELECTRIC GENERATION SAFETY AND RELIABILITY PROGRAM

ESRB performed the following generation-related activities in September 2017:

- Staff participated in a 4-day training of Advanced Performance Analysis and Troubleshooting for Power Plants in Denver, Colorado.
- Continued to work on both the facility audit and an 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.
- Monitored five forced and 13 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 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 monitor system reliability.
- Continued to work with the Information Technology Department to develop a new web-based outage reporting database which will allow the GAOs to report the outages by directly entering the information into the Power Plant Outage Reports (PPOR) database and will also provide ESRB notifications of major outages. ESRB will contact the GAOs and IT will set up usernames for the GAOs, and the PPOR system will become effective in November.

### Metrics for Generation Incident Investigations as of September 30, 2017

Electric Generation Incidents	Level 1	Level 2	Level 3	Level 4	Total <sup>3</sup>
<b>Total open incidents</b>	0	0	1	2	3
<b>Total incidents reported in 2017</b>	0	0	1	2	3
<b>Total incidents closed in 2017</b>	0	0	1	0	1
<b>Total open 2017 incidents</b>	0	0	1	2	3

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

Incidents reported in September 2017	0	0	0	0	0
Incidents closed in September 2017	0	0	0	0	0

## UTILITY RISK ASSESSMENT AND SAFETY ADVISORY

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### REVIEWING SAFETY & RISK IN GENERAL RATE CASES

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The Southern California Edison TY2018 General Rate Case (A.16-09-001) wrapped up evidentiary hearings in early August, although the assigned Administrative Law Judges determined a need for additional Public Participation Hearings that will take place in September. Opening briefs were filed September 8 and Reply Briefs on September 29. Ratepayer advocates are generally focusing on areas of expenditure that SCE has claimed to be safety related rather than primarily reliability, including grid modernization programs. There were no other significant developments during the months of September. San Diego Gas & Electric and Southern California Gas Company will file their 2019 GRC applications on October 6, 2017. Next month’s report will provide details.

### PROCEEDINGS

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- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ DeAngelis) (Advisory):** 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. On September 12, 2017, the Commission hosted a workshop during which NorthStar principles were available to answer questions about the findings of the report. A ruling to establish a hearings schedule and scope of testimony is expected in October.
- **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. Parties have submitted the consensus plan and 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. The report is scheduled for public release November 15. A Scoping Memo for Phase 2 was issued on September 20, establishing a revised schedule.

- **SCE 2017 General Rate Case (A.16-09-001) (President Picker/ALJs Roscow & Wildgrube) (Advisory):** Evidentiary hearings wrapped up during the first week of August. No additional issues related to risk or safety were raised during cross-examination of witnesses. Opening briefs were filed September 8, with replies filed September 29.
- **Physical Security of Electric Infrastructure (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly) (Advisory)** On August 31, the utilities presented a revised Straw Proposal for Commission consideration. The proposal outlines a process for utilities to assess their distribution-level electrical assets, particularly substations, and to prepare a mitigation plan to reduce vulnerability to physical incursions and/or limit impacts. The process entails vetting by a qualified third-party and review by Commission staff to ensure compliance. A separate but similar review and approval process is contemplated for publicly-owned utilities, with approval of the compliance plans resting with the POU's governing bodies, not the CPUC. Following a September 29 workshop to review the utility proposal, SED staff is completing a whitepaper and recommendations for consideration.
- **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. The two approaches will be detailed in filings in mid-October, with workshops on November 6-7 in San Francisco.
- **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. Working groups have forwarded a package of 31 proposed changes to regulations that would apply to the high-fire-risk areas on Fire Map 2. SED RASA staff is assisting the ALJs in reviewing those proposals.
- **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 was held September 11, 2017, and a scoping memo will follow. 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). A PHC is expected in December.

**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 – 9/30/2017**

Note: This is for complaints filed using the on-line Whistleblower Application ONLY. There were few new additions to the site during August.

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
July	0	0	0	0	0	0
August	0	0	1	0	0	0
September	0	1	0	1	0	0
<b>Total 2017</b>	<b>0</b>	<b>5</b>	<b>2</b>	<b>4</b>	<b>3</b>	<b>1</b>

Invalid Whistleblower Complaints Converted to Standard Complaints							
	CAB	Transportation	Electric Safety	Gas Safety	Telco/Utility Fraud	Rail	Referred to Outside Agency
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
August	0	0	0	0	0	0	0
September	0	1	1	0	0	0	0
YTD	0	2	1	0	1	1	0

Test, Incomplete or Duplicate Whistleblower Complaints	
January	1
February	3
March	0
April	1
May	1
June	4
July	0
August	3
September	0
YTD	13

## OFFICE OF RAIL SAFETY

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### RAILROAD SAFETY – ROSB

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In September 2017, SED Staff’s Railroad Operations group completed the following:

<b>New Incidents Investigated</b>	8
<b>Informal Complaints Investigated</b>	5

<b>Safety Assessments/Reviews</b>	10
<b>Compliance Actions</b>	690
<b>Major Inspections Completed</b> <b>- Such as Focused Inspections</b>	3
<b>Operation LifeSaver Presentations</b>	6

ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

**September 18, 2017:** A ROSB staff person conducted an Operation Lifesaver presentation at the safety fair of the California Correctional Health Care Services office in Elk Grove, Sacramento County. Over 100 employees were in attendance for the presentation and all received printed materials on railroad safety hazards and how to avoid them.

**September 20, 2017:** A CPUC and a FRA railroad safety inspector who specialize in motive power and equipment conducted a routine inspection at the UPRR railroad yard in Roseville. The railroad safety inspectors discovered a defective brake on a train that had received a pre-departure inspection, which included a Class I Air Brake Test, and it was ready for service. Class I Air Brake Tests require railroad employees qualified in safety inspections of trains, to inspect trains and ensure the safe operating compliance of equipment structures; moveable components such as wheels, axles and ride control components, safety appliances (ladders and riding appurtenances mounted on equipment); and brakes. When railroad employees find defective conditions, they are repaired in train or removed from train and sent to a shop for repair.

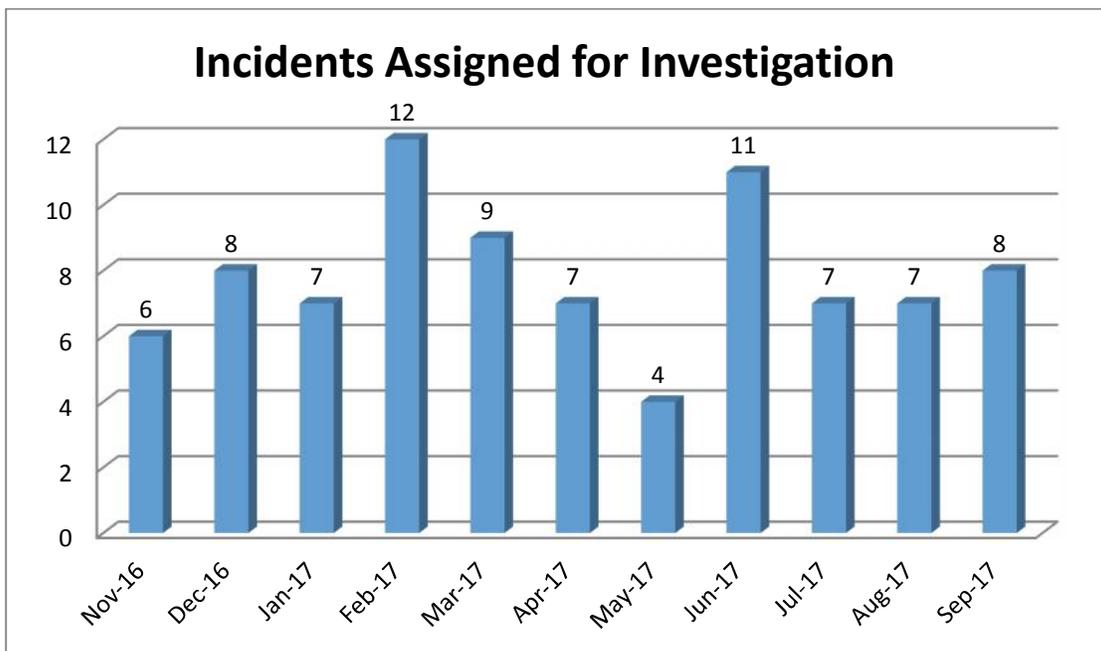
The Class I Air Brake Test missed the defective brake. The “B” end (hand brake end) horizontal brake lever was binding on the lever carrier. This defective condition caused the brake shoe to not be in contact with the wheel rendering the brake ineffective. A defective brake precludes the train crew from safely operating and controlling the train. A defective brake could cause a train to roll uncontrolled, placing railroad employees and the public at significant risk.

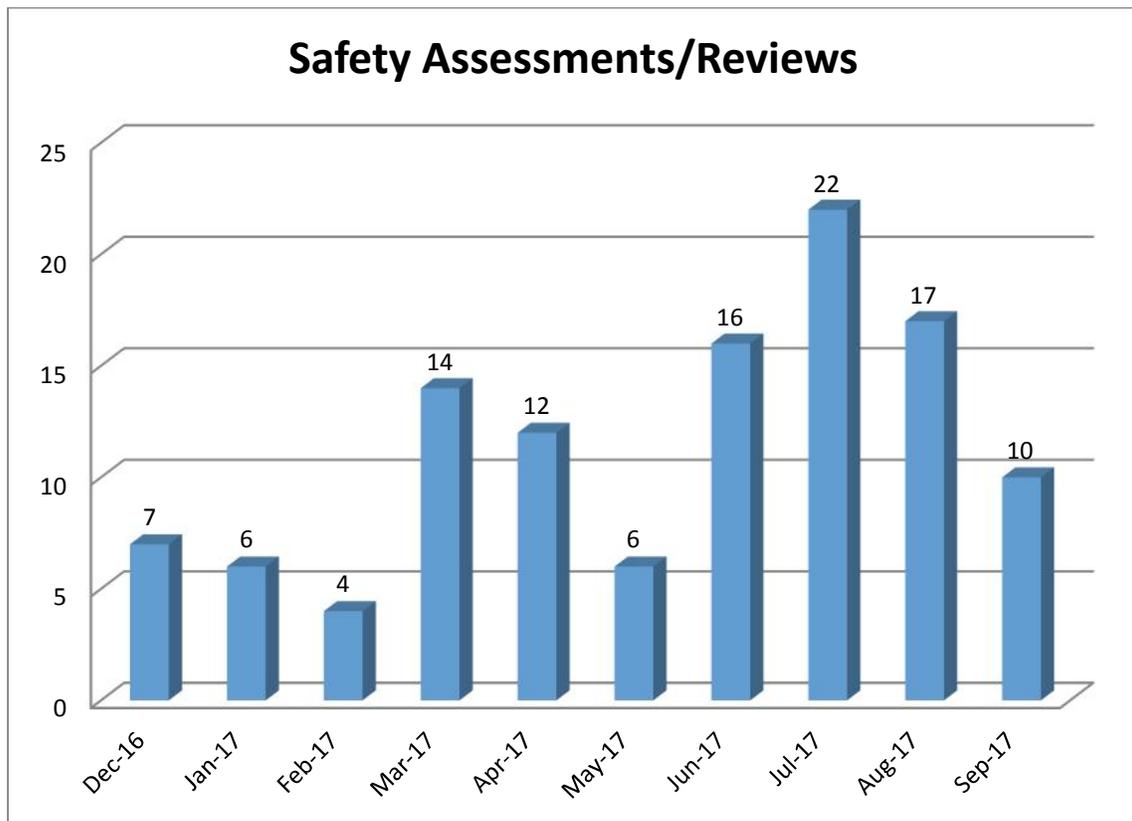
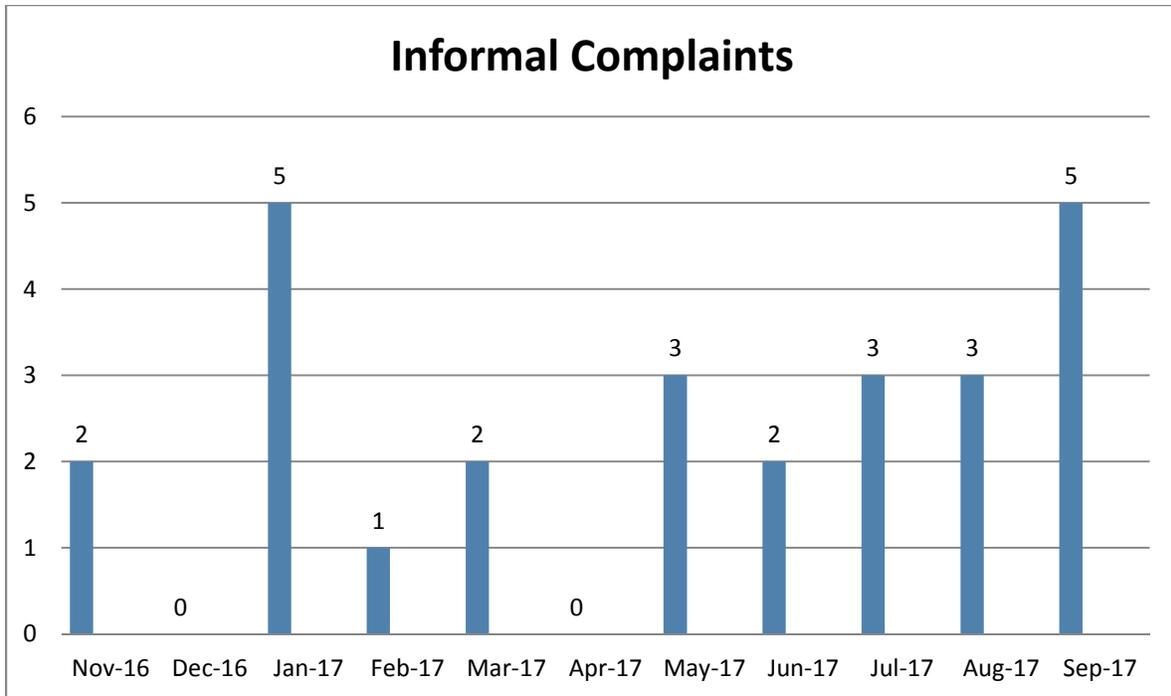
49 CFR Part 232.103(d) requires every brake on a train to be effective and operative prior to use or departure from any location where a Class I Air Brake Test is required to be performed.

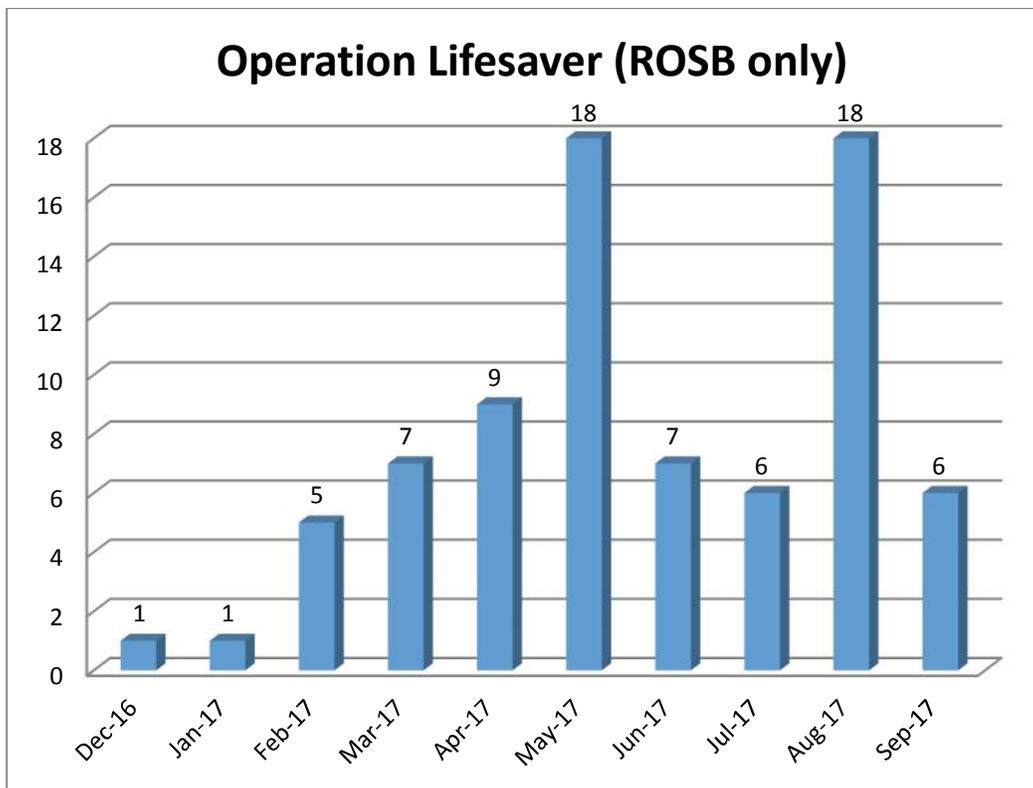
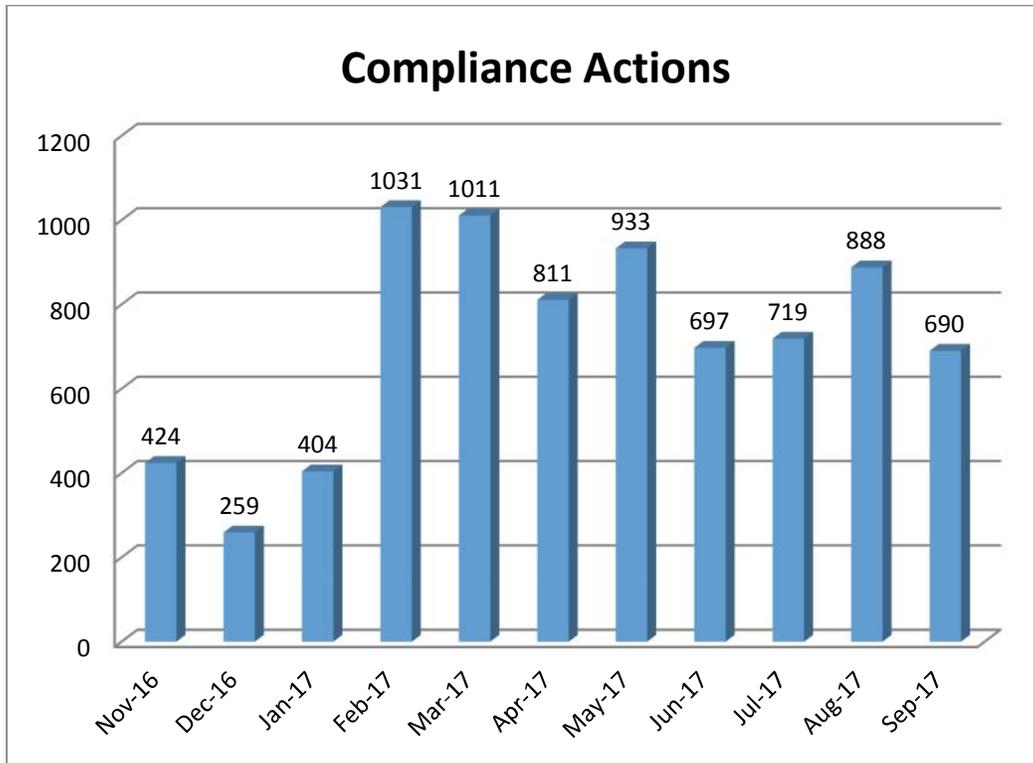
The railroad safety inspectors informed the UPRR manager who had accompanied them on the inspection. The UPRR manager called for a repair technician to fix the car in train and assured the inspectors that the brake would be fixed prior to departure.

**September 26, 2017:** A ROSB Rail Safety Inspector made an Operation Lifesaver presentation as part of a community door to door rail safety blitz in in Glendale, Los Angeles County. 25 local businesses and over 100 employees were in attendance for the presentation that included a discussion of typical rail safety hazards and included handouts of printed materials on avoiding such hazards. Metrolink, the Los Angeles County Sheriff’s Office and Union Pacific Railroad were also in attendance.

**September 30, 2017:** A ROSB Rail Safety Inspector made an Operation Lifesaver presentation to over 400 men, women and children at the Union Pacific Railroad Family Day event at the Orange Empire Railway Museum in the City of Perris, Riverside County. In addition to the oral presentation and discussion, the presentation included passing out “See Tracks, Think Train” rail safety literature that attendees were able to take home and share with other members of their family.







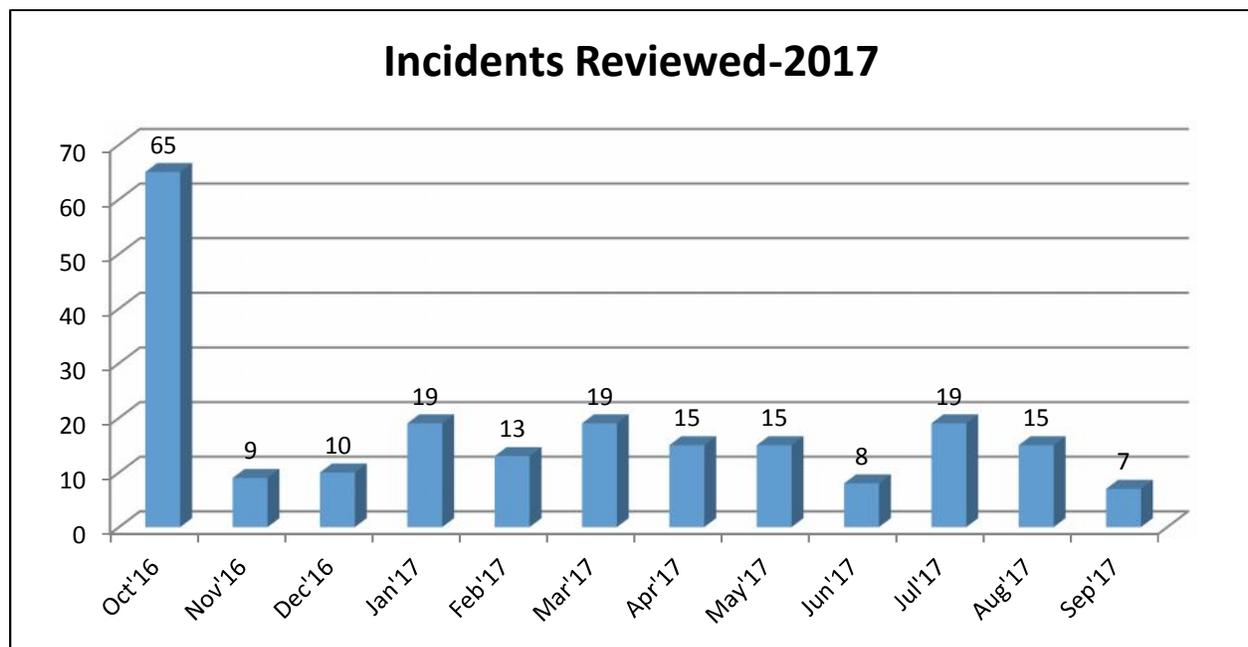
**RAIL CROSSINGS AND ENGINEERING BRANCH – RCEB**

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

	New During Period	Closed During Period
Crossing Incident Reviews	18	7
Informal Complaints Investigations	0	0
Safety Assessments/Quiet Zones/Reviews	32	32
Proceedings, Resolutions and G.O. 88-B Reviews	11	15
Operation LifeSaver Presentations	2	2

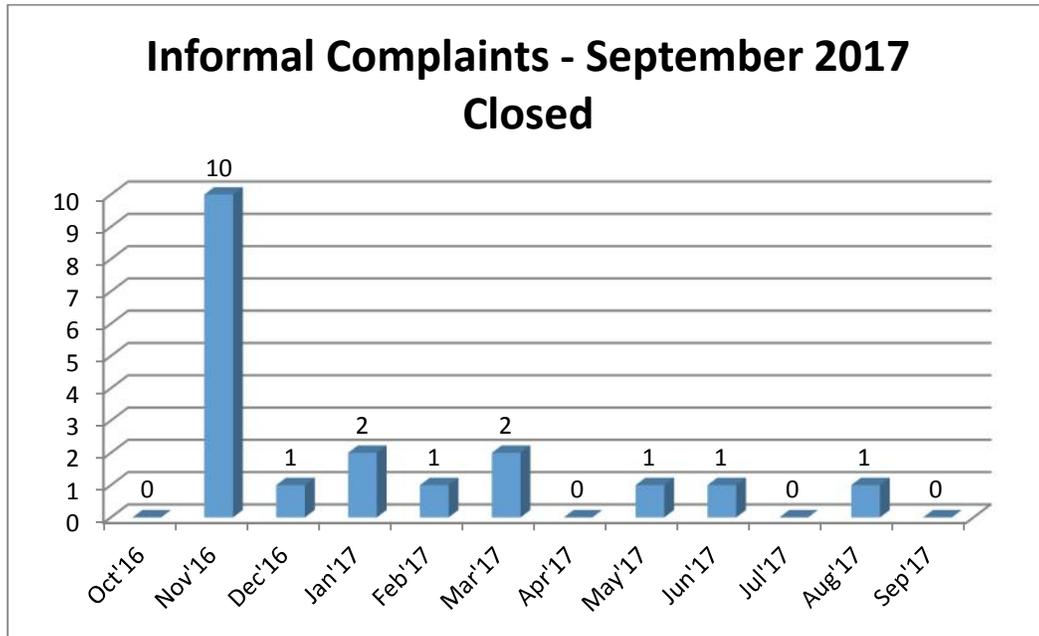
**RAIL CROSSING INCIDENT INVESTIGATIONS**

In September 2017, the Rail Crossings and Engineering Branch (RCEB) assigned 18 new incidents reviews with 15 at highway-rail crossings and three at a highway-light rail transit (LRT) crossings (crossings). RCEB completed seven crossing incident reviews and evaluations.



INFORMAL COMPLAINTS

In September 2017, RCEB did not receive or close any highway-rail crossing complaint.



SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

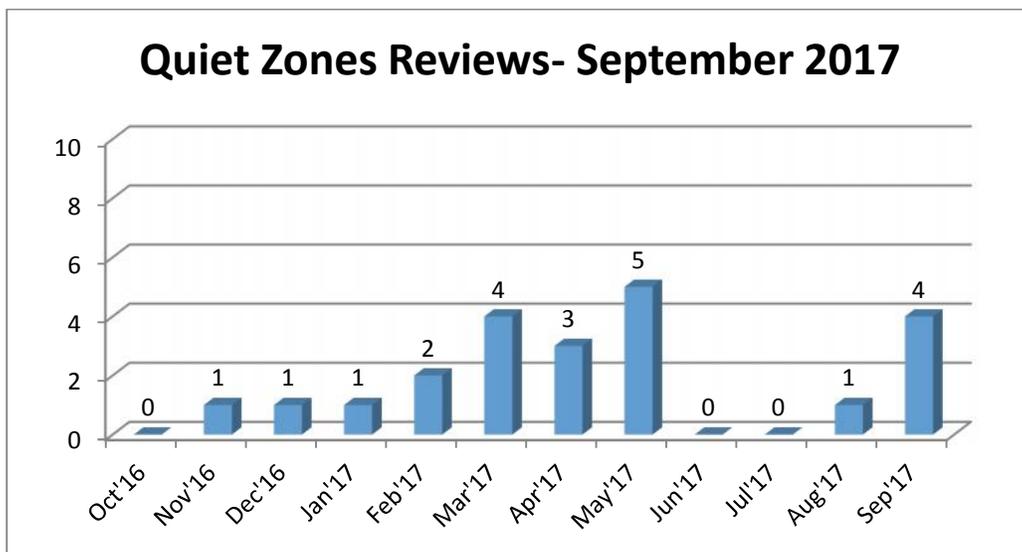
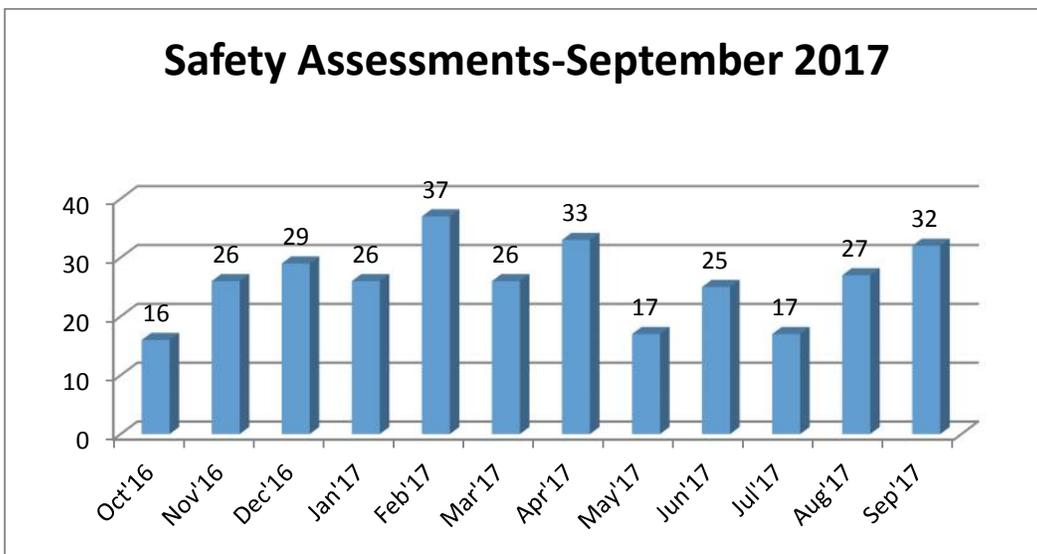
In September 2017, RCEB completed 32 rail-crossing safety assessments involving: communications, field inspections, and diagnostic reviews with railroads and local agencies. RCEB updated four Quiet Zone (QTZN) assignments involving: Potential/ Pre-Notice; Notice of Establishment; and QTZN Reaffirmation. RCEB Senior provided training to a new engineer to share information on the safety requirements that RCEB requires to establish and maintain highway-rail crossings.

**QTZN 2017090001** – Staff completed on site reviews for the Richmond/San Pablo quiet zone involving BNSF crossings at: John Avenue, Wigman & Rose Private, another private crossing, Parr Boulevard, and Brookside Drive. Staff discussed improvements that would be necessary to establish a quiet zone in the Cities of Richmond and San Pablo.

**QTZN-2006040001** – Staff reviewed the Notice of Establishment for the City of Pomona of five UPRR crossings. The review issued a letter that provides guidance for the establishment of the quiet zone, including information on the FRA Train Horn Final Rule.

**QTZN-2016030002** – RCEB staff updated the file on the Atherton Notice of Establishment to include the FRA response for sounding the train horn. Based on PU Code 7604, the railroad must sound the train horn at all crossings. The letter also discusses the interpretation for Section 222.21 of Title 49 of the Code of Federal Regulations.

**QTZN 2016030001** – RCEB staff updated the file on the San Jose Quiet Zone Reaffirmation. The review resulted in an inquiry to the FRA for crossing inventory information. Staff reviews the FRA data files to ensure that the crossing warning requirements satisfy the needs for the Quiet Zone.



## California Public Utilities Commission | Safety and Enforcement Division

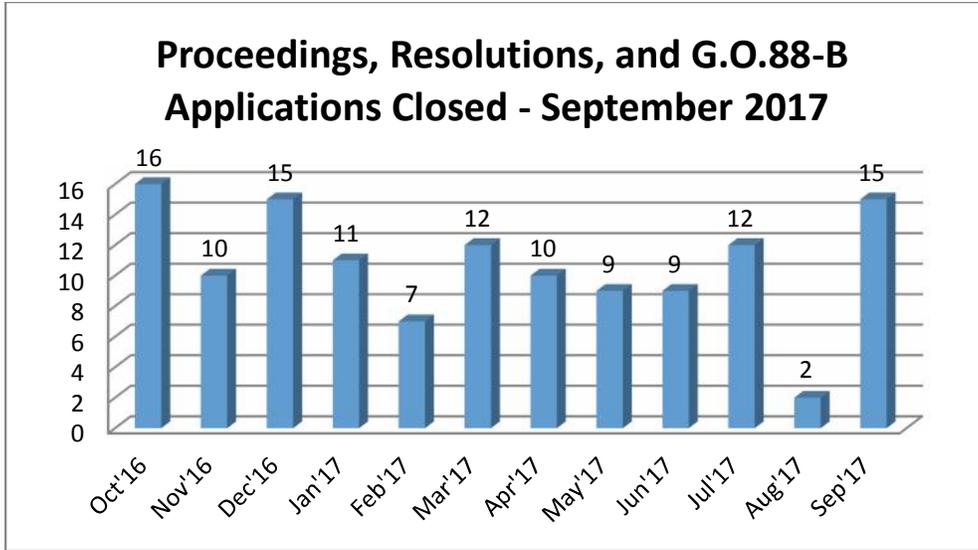
### PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

In September 2017, RCEB staff received two new major proceedings requiring Administrative Law Judge (ALJ) review; and, nine new General Order 88-B applications for changes to existing crossings. This month, RCEB closed one ALJ proceeding and 14 General Order 88-B applications.

**PROC A1703006** – With Decision (D.) 1709010 on September 14, 2017, the CPUC approved the construction of the South Bayfront Pedestrian Bicycle Bridge over nine rail tracks owned by Union Pacific Railroad in the City of Emeryville, CA. in Alameda County.

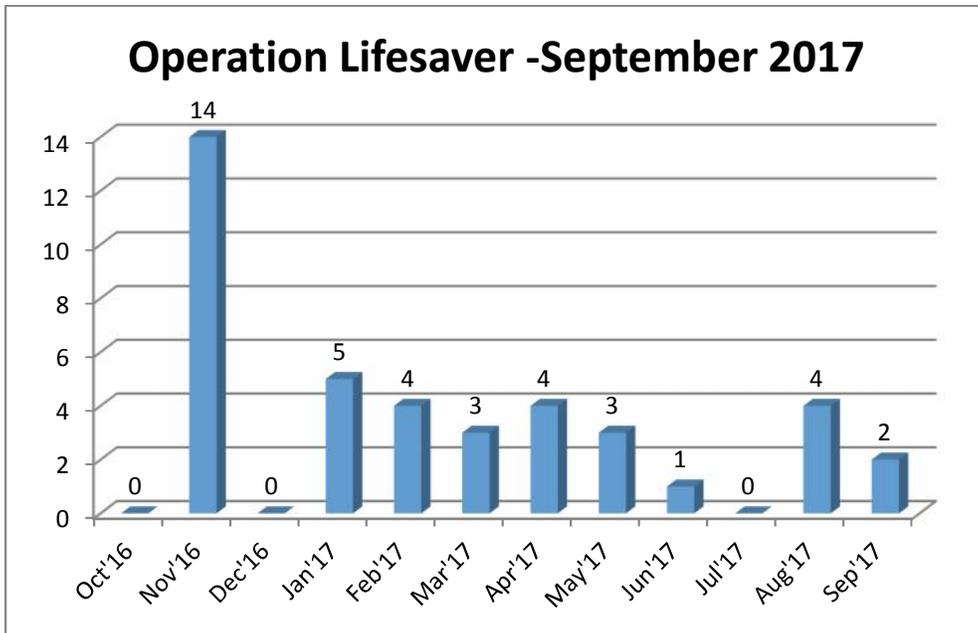
**G.O. 88-B Applications**- RCEB staff’s review in September 2017 of the G.O. 88-B applications resulted in granting the modifications to the following crossing projects:

File	Project	Approval Date
XREQ 2017080001	State Highway 59, Merced Modification	9/25/2017
XREQ 2017080002	Interstate Route 5, Modification	9/14/2017
XREQ 2017080003	Castlewood Drive, Pleasanton Modification	9/13/2017
XREQ 2017080004	Main Street, Alameda County Modification	9/13/2017
XREQ 2017080005	Bond Street, Sunol Modification	9/13/2017
XREQ 2017080006	Joy Street Improvement	9/13/2017
XREQ 2017080007	Third Street Improvement	9/11/2017
XREQ 2017080009	Chicago Avenue Improvement	9/11/2017
XREQ 2017080010	East Church Avenue, Fresno Modification	9/15/2017
XREQ 2017080011	Tweedy Boulevard Modification	9/25/2017
XREQ 2017090001	Olive Street Modification	9/25/2017
XREQ 2017090003	Davis Street, San Leandro Modification	9/25/2017
XREQ 2017090004	Alvarado Street, San Leandro Modification	9/26/2017
XREQ 2017090008	Denker Avenue Improvement	9/25/2017



**OPERATION LIFESAVER INC.**

In September 2017, RCEB completed two Operation LifeSaver Inc. (OLI) activities. Staff presented the OLI safety message on September 7, 2017, via a booth at the Old Sacramento Media Event as part of Rail Safety Month. On September 14, 2017, RCEB presented the OLI message to 500 adult drivers at the DMV Wellness Expo by staffing a booth in Sacramento, CA. As time permits, RCEB staff continues to volunteer and participate in OLI events and activities.



### RAIL TRANSIT - RTSB

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

#### CORRECTIVE ACTIONS PLANS

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- Eleven CAPs were opened for September 2017.
- Eleven CAPs were closed.

#### INCIDENT INVESTIGATIONS

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- In September 2017, 20 incidents were reported by Rail Transit Agencies (RTA).<sup>4</sup>
- No transit incident investigations were closed in September 2017.

#### ADMINISTRATIVE ACCOMPLISHMENTS

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- **ROAR Committee Meeting:** On September 1<sup>st</sup>, RTSB management and some staff attended the quarterly meeting of the Rail Operations and Regulatory (ROAR) Committee of the California Transit Association (CTA). ROAR Committee serves as CTA's rail operations liaison with the CPUC, California Department of Transportation (Caltrans), and the California Transportation Commission. ROAR Committee meetings provide a forum for the exchange of information concerning rail systems operation issues and regulatory matters.
  - The meeting was hosted by the Bay Area Rapid Transit District (BART).
  - RTSB management provided an update on its Federal Transit Administration (FTA) Certification Application status; presented major proposed changes to GO 164-D and its Program Standards. The Caltrans representative said they are monitoring CPUC's certification application status.

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<sup>4</sup> Per General Order 164-D, the Commission must be notified within 2 hours by rail transit agencies of incidents if they include one of the following: a fatality at the scene, or where an individual is confirmed dead within 30 calendar days of a rail transit-related incident; an injury to two or more individuals requiring immediate medical attention away from the scene; property damage to rail transit vehicles, non-rail transit vehicles, other rail transit property or facilities, and non-transit property that equals or exceeds \$25,000; a collision at an at-grade crossing; a mainline derailment; a collision with an individual on a rail right-of-way; a collision between a rail transit vehicle and a second rail transit vehicle, or a rail transit non-revenue vehicle; an evacuation due to life safety reasons.

- RTSB management also provided an update on the status of revisions to GOs 172 and 175-A, and discussed timing for initiating the process to revise GO 143-B.
- The meeting included a discussion on matters related to RTSB inspections of RTA facilities.
- RTSB management emphasized the importance of RTAs reporting Hazards to RTSB.
- RTSB staff gave a presentation on the Web form for RTAs to report incidents to RTSB.
- There was extensive discussion on Early Warning Alarm Device requirements of GO 175-A.
- **Federal Certification of SSOA Programs:** State Safety Oversight Agencies (SSOAs) have until April 15, 2019 to have their program certified by the FTA. In order for the CPUC to receive FTA certification, the Commission needs to revise GO 164-D (Rules and Regulations Governing State Safety Oversight of Rail Fixed Guideway Systems) and RTSB's Program Management Standard (Procedures Manual) to bring them in compliance with the new 49 CFR Part 674 issued last year; and RTSB needs to provide the FTA a list of other required documents. RTSB is working on drafting proposed revisions to GO 164-D and its Program Standards. On August 18, RTSB electronically transmitted the required documents to the FTA. Currently, RTSB is in Stage 2 of the Certification process, which has the following 4 stages:
  - Stage 1 – State (Commission is the designated SSOA for the state) is working on its submissions to the FTA. Where applicable, legislation has not yet been enacted or executive action taken.
  - Stage 2 – State has submitted some requirements to the FTA.
  - Stage 3 – State has submitted all required documents to the FTA and is engaged in a dialogue with the FTA to address comments and questions. Where applicable, all required legislation has been enacted.
  - Stage 4 (Certified) – State has successfully met all SSOA Program requirements, including the resources to carry out the requirements, and has received FTA certification.

- **Monthly FTA One-on-One Call with RTSB:** On September 19<sup>th</sup>, RTSB participated in a monthly one-on-one call with the FTA. The call focused on RTSB's progress in preparing to submit its FTA Certification application.
- **Web Form for the RTAs to Report Incidents to RTSB:** Under GO 164-D, RTAs are required to report incidents to RTSB staff within specified time frames and when they meet certain thresholds. Currently, those notifications are being made through telephone calls and/or emails to designated RTSB staff. However, if the incident occurs outside of business hours or when the designated staff person is on leave (vacation, sick leave, etc.), RTSB staff may not receive the notification in a timely manner and forward the incident information to their management. RTSB worked with CPUC's Webmaster to develop a web form the RTAs can use to submit incident reports, which will automatically get emailed to a list of Commission staff, eliminating the need to rely on one RTSB staff person to receive the notification and forward it to others that are in need to know. On June 23<sup>rd</sup>, the Webmaster created the first version of the web form, and RTSB staff has been testing it to identify bugs and has been submitting requests to the Webmaster to address them. The San Francisco Municipal Transportation Agency is helping RTSB test the new system.
- **New RTSB Employee:** On September 8, Ariana Merlino joined RTSB as a Public Utilities Regulatory Analyst IV based in southern California. Ariana began her career at the CPUC in 2001. She has worked as an analyst in the Energy Division and in the Railroad Operations Safety Branch of SED. Ariana holds a couple of master's degrees from the University of California at San Diego. Her most recent is from the Scripps Institution of Oceanography in Marine Biodiversity and Conservation - which in part emphasized the science and environmental consequences of global warming/climate change. She also obtained a certificate from CSU San Marcos in Water Management and Leadership.

### PROCEEDINGS / RESOLUTIONS

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#### 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. On January 23, 2017, ALJ Kim issued a ruling setting the dates of evidentiary hearing to February 13-16, 2017.

Hearings were held and closing briefs were filed by both SED and BART on March 28, 2017. On June 20, 2017 the Commission issued D.17-06-018 extending the statutory deadline for the proceeding to December 23, 2017.

The ALJ's September 5th Ruling directed Staff to resubmit three (3) new Exhibit SED-50's by September 18, 2017 because the video with the original submission was defective... A September 7th Ruling relieved staff of the resubmittal obligation as the Commission's IT staff was able to resolve the problem.

- **R.09-01-020 Rulemaking into Railroad Worker Protections (Commissioner Rechtshaffen/ALJ Kim):** On January 29, 2009, the Commission issued 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 Commission 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 Commission 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 Commission GO 175-A: Rules And Regulations Governing Roadway Worker Protection Provided By Rail Transit Agencies And Rail Fixed Guideway Systems language and the proposed Commission GO language. Staff proposed changes to Commission GO 172 only. On September 27, 2017 Commissioner Rechtschaffen and ALJ Kim issued "Assigned Commissioner's and Administrative Law Judge's Joint Ruling and Eighth Amendment to Scoping Memo and Ruling", which adopted the limited proceeding

scope and schedule for the remainder of the proceeding. The Ruling found the only issues left for the Commission's consideration are the pending recommendations by SED and determination of the most prudent procedures to consider any amendments needed to GO 172 and/or GO 175-A. It also sets a projected release of the Proposed Final Decision in October 2017.

- **Resolution ST-206** – On September 19, 2017, SED filed a proposed resolution to approve the Bay Area Rapid Transit (BART)'s Communication-Based Train Control Project (CBTC) Safety Certification Plan (SCP). The project will re-signal the entire BART mainlines with CBTC. The new technology utilizes two-way digital Radio Frequency communications between intelligent trains, and a network of distributed zone controllers. Compares to the existing fixed block train control, CBTC will improve BART's reliability and availability. The project is a design-build project and will be conducted in phases. The resolution is scheduled to appear at the Commission Voting Meeting on Oct 26, 2017.
- **AirTrain Extension Project** – On August 10, 2017, the AirTrain Extension Safety Certification Plan (SCP) was approved via Resolution ST-205. The project expands the existing AirTrain System to include a new Long Term Parking (LTP) Garage Station and add an additional in-line Hotel Station serving a future hotel. Additional planned changes include an upgrade to line-of-sight (LOS) train to wayside signaling and communications, field retrofits of 39 vehicles to LOS technology, an upgrade to the Central Control, a 2000 ft. guideway extension, four additional guideway crossover switches, additional traction power system, and three new Innovia APM 100 vehicles. 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. AirTrain recently submitted preliminary hazard analysis, and is working on design conformance certification.

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

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- **BART New Vehicle Procurement:** BART is in the process of procuring 775 new rail vehicles. BART has already received 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 late October 2017. This submittal date will most likely be October 30, 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. Remaining construction activities are going through punch lists. The main construction activity is the escalator installation. Track work is completed. Pre-revenue period will begin after turnover of facilities to the Operations group. 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.

- **Silicon Valley Berryessa Extension (SBVX):** 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 toward the end of 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. On the night of Friday, September 8, 2017, Staff attended and participated in the BART Power Train Run testing.
- **Downtown Sacramento Streetcar Project:** On July 12, RTSB staff participated in an FTA quarterly meeting with SRTD regarding the Downtown Sacramento Streetcar project. Although a Joint Powers Authority is being established as the system owner/operator involving the City of Sacramento and City of West Sacramento, SRTD, as the only local entity with expertise on rail transit construction and operations has been requested to provide design and construction oversight of the project. Additionally the Streetcar will operate over a portion of the existing SRTD tracks. The project is still in preliminary design. Crossing diagnostics were held in July. They have requested an interpretation on GO 143-B as it pertains to interlockings at rail-rail crossings.
- **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, June 12, 2017, and August 3, 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.

On August 31, 2017, between 11 AM and 1 PM, RTSB Staff and Inspectors, and ROSB Staff participated in the construction site tour of CSP's Yerba Buena/Moscone Center (YBM) station, along with SFMTA's Chief Safety Officer. The tour was provided and facilitated by the SFMTA CSP Deputy Director. YBM is currently the most developed station of the CSP's three underground stations; it is about 65% done at this time.

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 September 30, 2017, eighty-eight 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.

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. RTSB staff regularly attends Westside PLE's monthly Fire Life Safety and Security Meetings, as well as Safety and Security Certification Review meetings.

- **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 December 2, 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.

A recent request was made by State Senators Anthony Portantino and Connie Leyva and Assemblyman Freddie Rodriguez in support of the Foothill Gold Line Extension. The three legislators requested that the state fill the estimated \$280 million funding gap for the project using revenues from the Cap-and-Trade program; a request supported by LACMTA, as a follow-up to the project Funding Agreement. If approved as requested, the Cap-and-Trade dollars will be an important part of the overall funding for the project in both Los Angeles and San Bernardino Counties.

- **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 construction phase and is being monitored by RTSB through regular meetings. The project is due to be completed in 2019.
- **Los Angeles Streetcar:** The Los Angeles Streetcar is a project that is advancing under the Los Angeles County Measure M funding. Although it has not been identified for near term

funding by LACMTA, the preliminary design is proceeding. The LA Streetcar staff is requesting RTSB staff to examine Commission GO 143-B requirements and suggests that the American Society of Mechanical Engineers (ASME) Standard RT-1 regarding vehicle crashworthiness/strength requirements should be considered a viable alternative to the 2 g. buff strength requirements of Commission GO 143-B.

- **LAWA Automatic People Mover Project:** The Los Angeles World Airport 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 five (5) added in subsequent months, for a total of six (5) 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 (e.g. Design Criteria Certificates of Conformance and associated supporting documentation for certifiable elements as SFMTA completes them), 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 (EMI), 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.

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.

According to SFMTA, the LRV4 Interior Noise testing had been completed and the results were in review with Siemens. The EMI testing was completed successfully. SFMTA recently started the towing test and will complete the ATCS test of single car consists soon.

- **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.

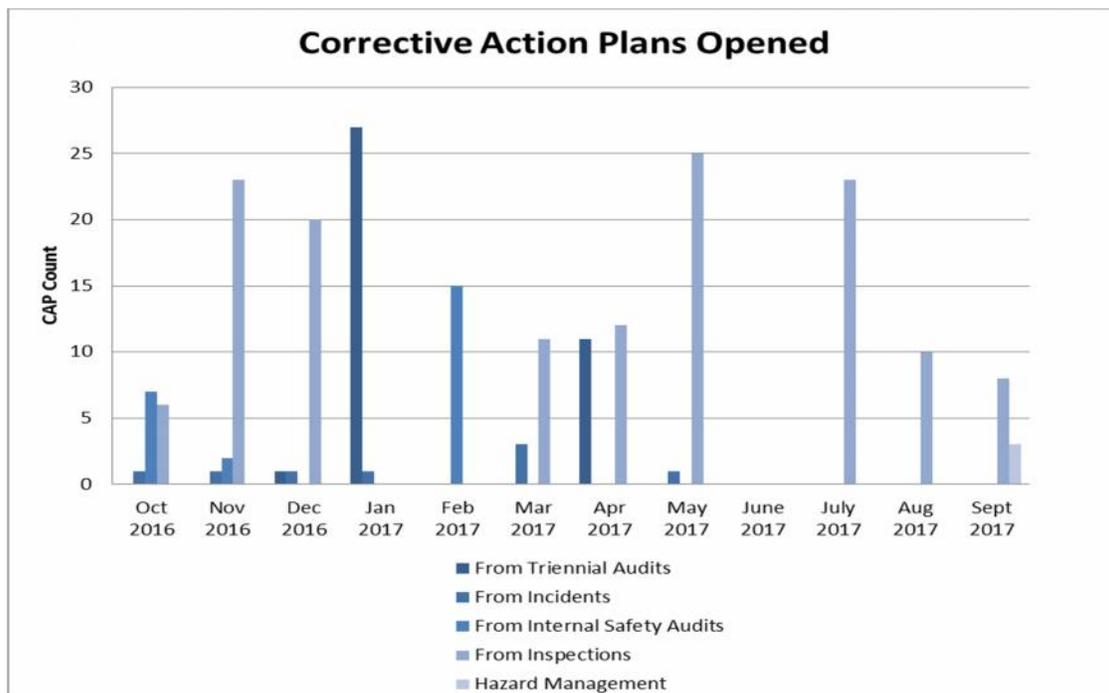
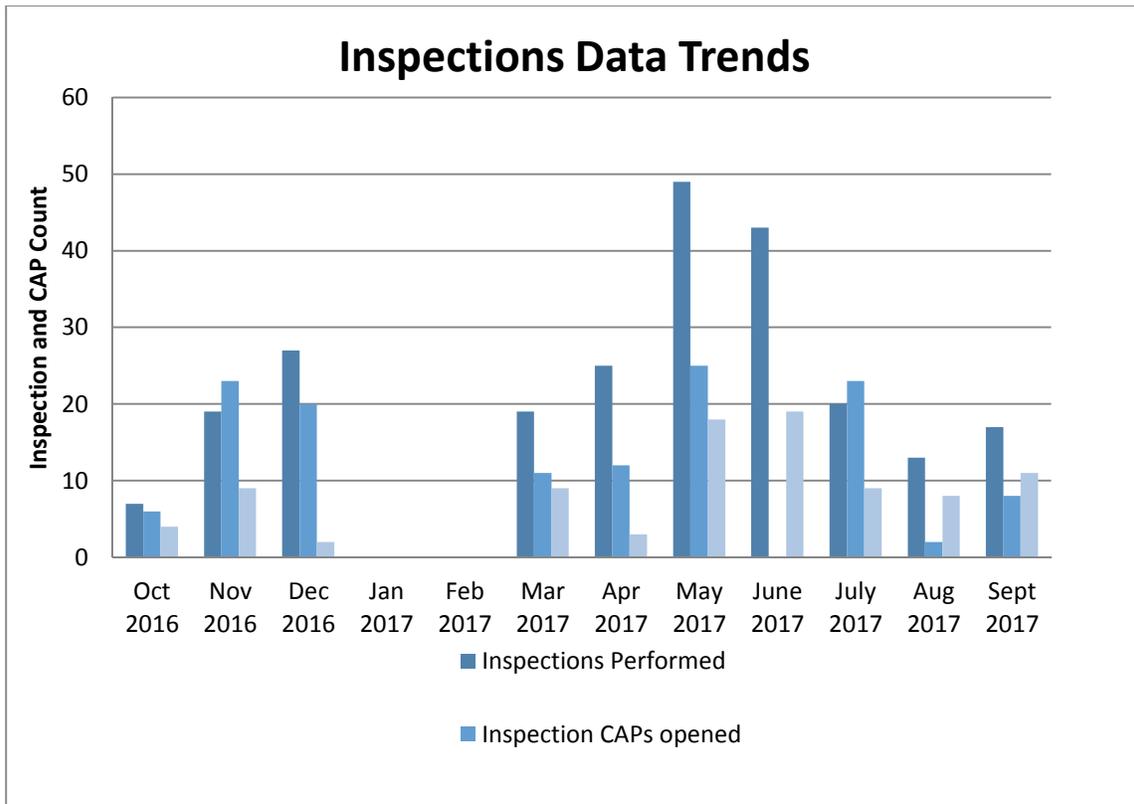
STATISTICS SUMMARY

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<b>Investigations</b>	
<b>Incidents Reported</b>	20
<b>Incident Investigations Closed</b>	0
<b>Complaints Investigated</b>	0
<b>Rail Transit Inspections</b>	17
<b>Triennial Audits</b>	1

<b>Corrective Action Plans</b>	
<b>New Corrective Action Plans</b>	<b>11</b>
<b>From Triennial Audits</b>	0
<b>From Incidents</b>	0
<b>From Hazard Management</b>	3
<b>From Internal Safety/Security Audits</b>	0
<b>From Rail Transit Inspections</b>	8
<b>Closed Corrective Action Plans</b>	<b>11</b>
<b>From Triennial Audits</b>	2
<b>From Incidents</b>	0
<b>From Hazard Management</b>	0
<b>From Internal Safety/Security Audits</b>	0
<b>From Rail Transit Inspections</b>	9

ONGOING DATA / TRENDS





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