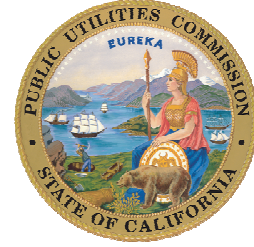


California Public Utilities Commission

Safety and Enforcement Division
Rail Transit Safety Branch



INSPECTION/CITATION

Issued under the provisions of Resolution ST-163

To: Henry Li
General Manager/Chief Executive Officer
Sacramento Regional Transit District

Date: February 19, 2019

Citation #: RTSB 19-02-001

Inspection Reports:

OP032718
OP051718
OP072318
OP100918
OP011419

RESOLUTION ST-163 CITATIONS

On December 22, 2014, the California Public Utilities Commission (Commission) issued Resolution ST-163 (effective January 1, 2015), which approved a citation program authorizing the Director or Deputy Director of the Safety and Enforcement Division (SED) of the Commission to issue citations to rail fixed guideway system carriers for a violation of specified Public Utilities Code sections and Commission General Orders (GOs). A fixed guideway system that has been issued such a citation may accept the fine imposed or contest it through a process of appeal. This Resolution can be accessed at the following URL:

<http://docs.cpuc.ca.gov/PublishedDocs/Published/G000/M143/K824/143824056.DOCX>

RULES VIOLATED

Pursuant to Resolution ST-163, SED hereby cites the Sacramento Regional Transit District (“SRTD”) with having violated the following provisions of General Order 143-B, as enforced by the Commission and SRTD Rule Notice LR-15-046 A. Rule 5.4 and 5.5, as enforced by SRTD:

GENERAL ORDER 143-B, Section 7.02 SPEED PROFILE.
LRVs shall be operated at all times within the maximum speed profiles established for the system. Speed limit signs which are visible from the operator's cab shall be posted in advance of critical locations.

SRTD DEPARTMENT NOTICE LR-15-046 A

The Maximum allowable speed upon entry to, and while traversing the length of a station platform, is limited to 20 MPH.

SRTD SPEED RULE SECTION 5.4 (Revised 7/29/2016)

The maximum allowable speed upon entry to, and while traversing the length of the station platform, is limited to 20 MPH.

SRTD SPEED RULE SECTION 5.5 (Revised 7/29/2016)

When entering a reduced speed area, operators must be in compliance with the required speed prior to the operating cab entering the reduced speed area.

BACKGROUND

The Commission's Rail Transit Safety Branch (RTSB), a unit of SED, has met multiple times with SRTD Safety Officers and Management regarding excessive speeds into its stations. The majority of SRTD Stations are configured as pedestrian malls, where they are closed to motor vehicles but where pedestrian movement across the tracks is authorized, and subject to GO 143-B Section 7.05 speed limitation of 20 MPH.¹ RTSB has determined that SRTD has not taken the steps to mitigate the operating speed hazards caused by excessive speed at their stations in a timely manner.

On March 7, 2014, due to excessive speed into SRTD stations, then Deputy Director Paul King sent SRTD Chief Operating Officer a letter outlining that most SRTD Stations were configured as pedestrian malls and noting the requirements of GO 143-B section 7.05. The Deputy Director's letter (Attachment 5) followed two RTSB inspections OP050213 and OP050913 which detailed multiple findings of excessive speeds. SRTD responded to the letter indicating that it did not agree with Staff's interpretation.

Over the second half of 2014, Staff corresponded and met with SRTD management several times to resolve the safety concern. In late December 2014 Staff reached an agreement with SRTD that they would adopt the 20 MPH criteria for station entry speeds but acknowledged time would be needed to train employees and implement the new rule. On January 15, 2015, then SED Acting

¹ GO 143-B, Section 7.05 SPEED PERMITTED ON PEDESTRIAN MALLS. Maximum LRV speed permitted on a promenade, pedestrian walk, concourse, mall, or plaza, which is closed to motor vehicles but where pedestrian movement across the tracks is authorized, is twenty (20) miles per hour unless otherwise restricted (see Table 1 on page 27).

Director Denise Tyrell sent a letter to SRTD (Attachment 6) outlining that beginning February 15, 2015 SED Staff would begin enforcing the 20 MPH speed limit at SRTD Stations. The SRTD Department Notice directing that vehicle operators enter stations at 20 MPH or less (Attachment 7) was issued the following day, on January 16, 2015.

Additionally, due to ongoing concerns regarding SRTD operator's attentiveness to speeds and Staff's prior inspection reports on speed issues, SED staff who were aware of a track-related slow order speed restriction monitored that location for a period of time one afternoon and identified a number of speed-related findings.

Below are the detailed accounts of cautionary reports, letters, and Inspection Forms noting excessive speeds of SRTD LRVs entering SRTD Stations as well as at restricted speed (Slow Order) locations along its trackway. These documents are attached to this Citation.

1. Deputy Director Paul King's letter (Attachment 5) dated March 7, 2014.
2. Acting SED Director Denise Tyrell's letter (Attachment 6) dated January 15, 2015.
3. SRTD's Department Notice (Attachment 7) dated January 16, 2015.
4. OP032718 (Attachment 8) with four findings of excessive speed. (See violation 1.)
5. OP051718 (Attachment 9) with five findings of excessive speed. (See violation 2.)
6. OP072318 (Attachment 10) with five findings of excessive speed. (See violation 3.)
7. OP100918 (Attachment 11) with six findings of excessive speed. (See violation 4.)
8. OP011419 (Attachment 12) with three findings of excessive speed (See violation 5.)
9. Email from SRTD Safety Manager (Attachment 13) confirming excessive speed related to inspection OP051718, based on the LRV's event recorders download.

STATEMENT OF VIOLATIONS

Safety and Enforcement Division Staff carried out safety inspections of SRTD facilities and employees from late March 2018 through January 18, 2019. Those inspections resulted in five Inspection reports being issued for the above-listed 23 violations of the Commission's GO 143-B.

1. *INSPECTION OF MARCH 27, 2018 (Inspection OP032718):*

CPUC Staff conducted LRV speed checks on SRTD Blue and Gold Lines. At 09:10 AM, SED boarded River College/Cosumnes Train, LRV#125/119. According to SRTD dispatch supervisor contacted later that day, operator #3964 was at the controls during this time. CPUC Staff noted the following:

- Train speed entering Swanston Station was 25 MPH;
- Train speed entering Royal Oaks Station was 25 MPH;

- Train speed entering Arden/Del Paso Station was 23 MPH;
- Train speed entering the Globe Station was 22 MPH;

(VIOLATIONS #1-4) The observed speeds of SRTD trains entering SRTD Stations were in excess of 20 MPH in violation of GO 143-B, Sections 7.02, and SRTD NOTICE LR-15-046 A/ SRTD SPEED RULE SECTION 5.4.

2. *INSPECTION OF MAY 17, 2018 (Inspection OP051718):*

On May 17, 2018, SED conducted speed observations using a radar gun on SRTD's Gold Line at Glenn Station. SED's radar guns' calibration was checked before and after the observations to ensure accuracy of speeds. The radar gun was triggered after each LRV passed the handicap platform to ensure the LRV had entered the station.

CPUC Staff observed seven LRVs entering the station. Five of these LRVs were found to be traveling at speeds ranging between 23 to 32.2 MPH:

- At 14:02 LRV #128 entered at 24 MPH;
- At 14:16 LRV #133 departed at 29 MPH;
- At 14:31 LRV #133 entered at 23 MPH;
- At 15:16 LRV #137 departed at 32 MPH; and
- At 15:32 LRV #202 entered at 25 MPH.

CPUC Staff spoke with Operators #3627 and #3771, regarding the Operators' knowledge of speed rules entering a station. Both Operators responded, "20 MPH," and unaware of speed they were operating while entering the station.

CPUC Staff then drove to Academy Way and spoke with SRTD Director, Light Rail, to deliver the findings, review platform video, and discuss efficiency testing, and compliance observations regarding speeding into stations.

On July 17, 2018, SED requested downloads for the LRVs at the approximate times for the observations on July 17, 2018, at the Glenn Station in the attached May 21, 1018 email from SED's Michael Rose to SRTD's Bob Hoslett.

VIOLATIONS #5-9) The observed speeds of SRTD trains entering SRTD Stations were in excess of 20 MPH in violation of GO 143-B, Sections 7.02, and SRTD NOTICE LR-15-046 A/ SRTD SPEED RULE SECTION 5.4.

3. *INSPECTION OF JULY 23, 2018 (Inspection OP072318):*

CPUC Staff conducted an inspection on SRTD Gold and Blue Lines for operating speeds into stations. CPUC Staff conducted this inspection by standing in the forward-facing passenger compartment of the LRV, looking through the LRV cab door window directly at the speedometer as the LRV entered the station. CPUC Staff found 5 willful violations of speed into a station with 3 different Operators. All Operators acknowledged the 20 MPH SRTD Rule and understood it when questioned by CPUC Staff. SED observed the following violations:

- Operator #427 entered the Fruitridge Station at 26 MPH at 10:47 AM, Outbound, in LRV #219A.
- Operator #427 entered the 47th Ave Station at 28 MPH. Time was not notated and CPUC Staff spoke with the operator at this station.
- Operator #3744 at 27 MPH, entered the Broadway Station at 12:38 PM, Inbound, at 27 MPH. SED Staff spoke with the operator at the 13 Street Station.
- Operator #3615 entered the 39th Street Station at 12:55 PM, Outbound, at 27 MPH in LRV #218B.
- Operator #3615 at 25 MPH, 59th Street Station Time was not noted and SED Staff spoke with the operator at this station.

SED NOTICE FOR FURTHER REVIEW: During an SRTD Records Review on July 12, 2018, SED notated that SRTD Supervisors have found NO operating speed violations during the six weeks since implementation of the new efficiency testing, SRTD LR-SOP-12-201.

This speed check was performed as a follow-up to CPUC #OP060318 and #OP051718 Inspection/Citation Reports.

(VIOLATIONS #10-14) The observed speeds of SRTD trains entering SRTD Stations were in excess of 20 MPH in violation of GO 143-B, Section 7.02, and SRTD NOTICE LR-15-046 A/ SRTD SPEED RULE SECTION 5.4.

4. *INSPECTION OF OCTOBER 9, 2018 (Inspection OP100918):*

SED conducted a speed inspection with a Rail Master Radar Gun at 65th Street on the SRTD Gold Line. The radar gun was calibrated on site according to the specifications outlined in the devices Instruction Manual. SED found six (6) operators speeding through a 20 MPH Slow Order over 65th Street in Sacramento within a one-hour period. The Slow Order is in place because of unsecured track at that crossing. The following vehicles were observed violating the Slow Order:

- LRV #239 at 11:21 inbound at 28 MPH.
- LRV #202 at 11:51 inbound at 25 MPH.

- LRV #102 at 11:57 outbound at 26.8 MPH
- LRV #209 AT 12:08 inbound at 25.9 MPH.
- LRV #214 AT 12:13 outbound at 22.1 MPH.
- LRV #119 at 12:40 inbound at 26.3 MPH.

SRTD Speed Rule, Section 5.5 (Revised 7/29/2016) provides:

When entering a reduced speed area, operators must be in compliance with the required speed prior to the operating cab entering the reduced speed area.

(VIOLATIONS #15-20) The observed speeds of SRTD trains entering a SLOW ORDER territory were in excess of 20 MPH in violation of GO 143-B, Section 7.02 and SRTD SPEED RULE SECTION 5.5.

5. *INSPECTION OF JANUARY 14, 2019 (Inspection OP011419):*

SED rode multiple SRTD Lines on various LRVs and observed three (3) LRVs entering Stations at excessive speeds:

- LRV 109A inbound, Operator 734 entering 39th Street Station at 30 MPH at approximately 12:42.
- LRV 220 outbound, entered Mather Station at 23 MPH at approximately 13:27.
- LRV 1228 outbound, entered Cordova Town Center Station at 23 MPH at approximately 13:52.

CPUC Staff identified these findings by looking through the LRV cab door window at the speedometer as they entered each station. CPUC Staff spoke with all three Operators and asked if they were aware of the SRTD Speed into Stations Rule. All three Operators knew the correct speed required by the Rule. Staff told each operator of the inspection findings.

(VIOLATIONS #21-23) The observed speeds of SRTD trains entering a Station in excess of 20 MPH in violation of GO 143-B, Sections 7.02, and SRTD NOTICE LR-15-046 A/ SPEED RULE SECTION 5.4.

The Inspection/Citation from SED dated February 19, 2019 (CITATION # RTSB 19-02-001), documents the SED's findings of safety violations by SRTD. This Inspection/Citation with Attachments was served on February 19, 2019.

LIST OF VIOLATIONS AND PENALTIES

VIOLATON	INSPECTION DATE	GENERAL ORDER	PENALTY
#1	Inspection of March 27, 2018 (4 Violations)	GO 143-B § 7.02, SRTD Speed Rule §§ 5.4 & 5.5	\$ 20,000
#2	Inspection of May 17, 2018 (5 Violations)	GO 143-B § 7.02, SRTD Speed Rule § 5.4	\$ 25,000
#3	Inspection of July 23, 2018 (5 Violations)	GO 143-B § 7.02, SRTD Speed Rule § 5.4	\$ 25,000
#4	Inspection of October 9, 2018 (6 Violations)	GO 143-B, Section 7.02, SRTD Speed Rule § 5.5	\$ 30,000
#5	Inspection of January 14, 2019 (3 Violations)	GO 143-B § 7.02, SRTD Speed Rule § 5.4	\$ 15,000
	TOTAL PENALTIES		<u>\$ 115,000</u>

RESPONDENT OPTIONS

The penalty set in Appendix A of Resolution ST-163 (Specified Violations and Scheduled Penalties) for violations of General Order 143-B the penalty is \$5,000 per incident.

The respondent, within 30 days after the date of service of the citation, shall either remit payment of the full amount of the fine to the Fiscal Office of the Commission, agree with SED on conditions for payment, or serve a Notice of Appeal upon SED. By way of such answer you may either:

1. *Pay a fine of \$ 115,000 (23 Violations @ \$5,000 per violation).*² Submit a cashier check or money order payable to:

**California Public Utilities Commission
Attn: Fiscal Office
505 Van Ness Avenue
San Francisco, CA 94102-3298**

using the attached *Citation Compliance Agreement* (Attachment 1). Upon payment, the fine will be deposited in the State Treasury to the credit of the General Fund. If the respondent pays the full amount of the fine to the Commission Fiscal Office within the time allowed hereunder (i.e., within 30 days after date of service of this citation), the citation shall become final.

or

2. *Agree with SED on conditions for payment. Contact:*

**Director or Deputy Director
Safety and Enforcement Division
California Public Utilities Commission
505 Van Ness Avenue
San Francisco, CA 94102-3298**

or

3. *Contest this citation by filing an appeal. Commission Resolution ALJ-299, issued on June 26, 2014 and effective January 1, 2015, established citation appeals procedures. Resolution ALJ-299 and its two appendices, which include an explanation of the respondent's right to have a hearing, to have a representative at the hearing, to request a transcript, and to request an interpreter, can be accessed at the following URL:
<http://docs.cpuc.ca.gov/SearchRes.aspx?docformat=ALL&DocID=976244>*

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Specific instructions for filing Notices of Appeal, including forms that can be modified for Notices of Appeal and for Certificates of Service, are attached (Attachment 2).

² Resolution ST-163 (Dec. 18, 2014) Appendix A, "Specified Violations and Scheduled Penalties," at p. A-2 (Resolution ST-163 at <http://docs.cpuc.ca.gov/PublishedDocs/Published/G000/M143/K824/143824056.DOCX>).

If the respondent, within the time allowed as specified above, fails to pay the full amount of the fine or to file a Notice of Appeal, or if the respondent, having entered into an agreement with SED, fails to comply with any provision of that agreement, the respondent shall be in default, and the citation shall become final. In this event, the respondent shall have forfeited its right to appeal the citation. SED may take all necessary action provided by law to recover any unpaid fine and ensure compliance with applicable statutes and Commission orders.

/s/ ROGER CLUGSTON

Roger Clugston
Deputy Director
Safety and Enforcement Division
California Public Utilities Commission

Attachments to Rail Transit Safety Branch Inspection/Citation # RTSB 19-02-001:

1. Citation Compliance Agreement (Attachment 1)
2. California Public Utilities Commission Instructions for Filing a Notice of Appeal and Certificate of Service for a Citation Appeal (Attachment 2)
3. Resolution ALJ-299 and the Pilot Program Citation Appeal and General Order 156 Appellate Rules (Attachment 3)
4. CPUC General Order 143-B (Attachment 4)
5. Deputy Director Paul King's letter dated March 7, 2014 (Attachment 5).
6. Acting SED Director Denise Tyrell's letter of January 15, 2015 (Attachment 6).
7. Sacramento Regional Transit District Notice LR-15-046 A (Attachment 7)
8. OP032718 with four findings of excessive speed (Attachment 8)
9. OP051718 with five findings of excessive speed (Attachment 9)
10. OP072318 with five findings of excessive speed (Attachment 10)
11. OP100918 with six findings of excessive speed (Attachment 11)
12. OP011419 with three findings of excessive speed (Attachment 12)
13. Email from SRTD Safety Manager (Attachment 13) confirming excessive speed related to inspection OP051718, based on the LRV's event recorders download.
14. Certificate of Service for Inspection/Citation # RTSB 19-02-001 and Attachments (via email)

cc: Roger Clugston, Deputy Director, SED

bcc: Amy C. Yip-Kikugawa, Daren Gilbert, Michael Borer, Jason Dixon, Richard Fernandez, Sal Herrera, David "Shane" Roberson, Stephen Artus, Steven Espinal

ATTACHMENT 1

CITATION COMPLIANCE AGREEMENT



Public Utilities Commission
STATE OF CALIFORNIA

Date: February 15, 2019:

Citation #: RTSB 19-02-001

Inspection Reports:

OP032718
OP051718
OP072318
OP100918
OP011419

CITATION COMPLIANCE AGREEMENT

I (we) hereby agree to comply with this citation dated _____, and herewith pay the fine of \$ _____.

Name:

Title:

Representing:

Address:

(Signature)

(Date)

Payment (cashier check or money order) should be made payable to *California Public Utilities Commission* and sent to:

**California Public Utilities Commission
Attn: Fiscal Office
505 Van Ness Avenue
San Francisco, CA 94102-3298**

ATTACHMENT 2

**CALIFORNIA PUBLIC UTILITIES COMMISSION INSTRUCTIONS FOR
FILING A NOTICE OF APPEAL AND CERTIFICATE OF SERVICE
FOR A CITATION APPEAL**

Administrative Law Judge Division
California Public Utilities Commission
505 Van Ness Avenue
San Francisco, CA 94102



CALIFORNIA PUBLIC UTILITIES COMMISSION (CPUC) INSTRUCTIONS FOR FILING A NOTICE OF APPEAL AND CERTIFICATE OF SERVICE FOR A CITATION APPEAL

Note: When filing a citation appeal, it is important to review both the specific Citation Program under which your citation has been issued and Resolution ALJ-299. Resolution ALJ-299 requires citation appeals after January 1, 2015 to be filed with the CPUC's Docket Office.¹ Appendix A of the resolution lists the Pilot Program Citation Appeal and General Order Appellate Rules ("Citation Appellate Rules"). Appendix B of the resolution describes the interaction between Resolution ALJ-299 and the individual Citation Programs in existence as of the adoption of Resolution ALJ-299. The cited entity initiating the appeal is referred to as an "appellant" under Resolution ALJ-299, Citation Appellate Rule 2.

Resolution ALJ-299 can be found at the following link and the citing authority should provide a copy of it when the citation is issued:

<http://docs.cpuc.ca.gov/SearchRes.aspx?docformat=ALL&DocID=97624430>. A copy of the Citation Program under which the citation is issued can be obtained from the CPUC Division issuing the citation.

It is useful to also refer to the CPUC's Rules of Practice and Procedure (P&P Rules), as they are referred to in Resolution ALJ-299. The P&P Rules can be found on the CPUC's webpage <http://www.cpuc.ca.gov/codelawsrules/>.

The requirements for formatting your documents and how and where to file are generally set forth in P&P Rules 1.5, 1.6 and 1.13. There is no filing fee for filing the Notice of Appeal. If you are filing your Notice of Appeal in hard copy, then submit an original and six exact copies of the document (including any attachments but not including the

¹ Rule 2 of the Citation Appellate Rules refers to a "Citation Program" as the "individual applicable statute, General Order or Resolution authorizing the issuance of a citation or authorizing the revocation of a license."

transmittal letter, if any.) (See P&P Rule 1.13(a)(2).) If you are filing electronically, please refer to the requirements in P&P Rule 1.13(b).

If you need general assistance with or have a question about filing the Notice of Appeal, contact the CPUC's Public Advisor's Office:

The Public Advisor – CPUC
505 Van Ness Avenue
San Francisco, CA 94102
(866) 849-8390 (toll free)
public.advisor@cpuc.ca.gov

Specific Instructions for Using the Citation Appeal Forms:

Insert the following information into the blanks with the corresponding letters.

NOTICE OF APPEAL FORM

- A. Insert the name of the person or entity filing the notice of appeal and include their assigned Case Information System (CIS) Identification Number in the caption (e.g. 'Application of Pacific Bell (U 1001 C)'). (Citation Appellate Rule 3 and P&P Rule 1.6(b).)
- B. Insert the number of the citation being appealed (e.g., Citation Number 12345 issued on January 1, 2015). (Citation Appellate Rule 3.)
- C. Insert the name of the Commission Division which issued the citation (e.g., the Commission's Safety and Enforcement Division). (Citation Appellate Rule 3.)
- D. Insert the name of the person or entity filing the notice of appeal. See item A above regarding the CIS Identification number requirement.
- E. Insert the date of the citation that is appealed. (Citation Appellate Rule 5.)

- F. Insert the rationale for the appeal as specifically instructed in the Citation Program. If a Citation Program is silent on instructions for setting forth the rationale for the appeal, the Notice of Appeal must state the grounds for the appeal. The Notice of Appeal must also set forth additional items, if any, as required by the Citation Program. (Citation Appellate Rule 5.) If the Citation Program authorizes appellant to request an extension of time from a Division Director to file a Notice of Appeal, any extension received must be in writing and attached to the Notice of Appeal. (Citation Appellate Rule 4 and 5.)
- G. Insert the date that the Notice of Appeal is signed.
- H. Insert the name of the city in which the Notice of Appeal is signed.
- I. Insert the signature, name, mailing address, telephone number and, if available, electronic mail address of the person authorized to receive service and other communications on behalf of the person tendering the document. (P&P Rules 1.6 and 1.8.) This information is very important because it will be used by the CPUC to develop the official service list to give you notice of further required actions, hearing dates, etc. in the citation appeal. *Note: P&P Rule 1.8 requires this document to be signed. Please read that rule carefully as to who may sign the document, how to handle a document tendered on behalf of more than one person, and what representations are made by the signature.*
- J. List here all attachments to the Notice of Appeal and make sure the documents are attached in the format and manner required by P&P Rules 1.5 and 1.13. *Note: Citation Appellate Rule 4 requires any authorization of an extension of time to file a Notice of Appeal to be in writing and attached to the Notice of Appeal. Rule 4 states: "Unless authorized by a Citation Program, there shall be no extension of time to file a Notice of Appeal from a citation issued pursuant to a Citation Program Any authorization of an extension of time to file a Notice of Appeal must be made by the Director (or designee) of the Commission Division which issued the citation, in writing, subject to the provisions of the Citation Program, and must be attached to the Notice of Appeal."*

CERTIFICATE OF SERVICE FORM

Note 1: If you are filing the Notice of Appeal in hard copy, the Certificate of Service MUST be attached to the Notice of Appeal. If you are filing the Notice of Appeal electronically, according to P&P Rule 1.13(b), the certificate of service must be transmitted with the document as a separate document when filing electronically, and this separate document must have its own caption. (See generally Citation Appellate Rule 6 and P&P Rule 1.9 (e).)

Note 2: A Citation Appeal must be served at a minimum on the Chief Administrative Law Judge (with a copy to: [ALI Div Appeals Coordinator@cpuc.ca.gov](mailto:ALI_Div_Appeals_Coordinator@cpuc.ca.gov)), on the Director of the Safety and Enforcement Division, and on the Director of the Commission Division issuing the citation if the Safety and Enforcement Division does not issue the citation, on the same day that the Notice of Appeal is filed. The Notice of Appeal must also be served on other entities if required by the Citation Program. (See Citation Appellate Rule 6.)

- K. Insert the date that the Notice of Appeal is served.

- L. Insert the names and addresses (and email addresses if served electronically) of the persons served with the Notice of Appeal. The generic position names and addresses for the Chief Administrative Law Judge and Director of the Safety and Enforcement Division are listed on the template. Because the persons in these positions may change, you will have to look up the individual names and email addresses to insert in the template. These names and email addresses can be found on the Commission website.

- M. Insert the date the Certificate of Service is signed.

- N. Insert the name of the city in which the Certificate of Service is signed.

- O. The person who serves the Notice of Appeal must sign the certificate of service and their name must be printed under the signature line.

PRIVACY NOTICE FORM

Note: *The citation appeal is filed with the CPUC, becomes a public record, and will be posted on the Commission's website. Therefore, any information you provide in the Notice of Appeal, including but not limited to, your name, address, city, state, zip code, telephone number, E-mail address, the facts of your rationale for the citation appeal and any other facts stated therein, will be available on-line for later public viewing. The privacy statement attached to the notice of appeal must be filled out.*

In limited circumstances, the CPUC may file a document under seal. If you wish to seek to file the Notice of Appeal with some or all of the information under seal, you cannot file electronically and must file in hard copy. Furthermore, that document must be tendered with a motion setting forth the rationale and legal citations as to why portions of the document should be filed under seal and tendered as follows. The Notice of Appeal itself and requisite exact copies should be tendered in both a redacted form (e.g., the document with the alleged confidential information excised) and unredacted form (e.g., a complete copy of the document, with both the public and allegedly confidential information included, in a sealed envelope). It is anticipated that Notices of Appeal for citation appeals will be filed as public documents. In the unlikely event you believe that there are legal grounds for filing a portion of the Notice of Appeal under seal, it may be helpful to consult a private attorney or representative to assist in your representation. However, please note that the timeframes for filing a Notice of Appeal in many citation appeals are short, so you should commence this process as soon as possible.

P. Sign and date the privacy notice and print your name under the signature.

**See Next Page for
Notice of Appeal Form**

*** (Note: The capital letters in parenthesis correspond to the instruction sheet and are not part of the official filing.)**

BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

Appeal of

(A)* _____
_____ from (B) _____
_____ issued by (C) _____

_____ ^ _____

(Leave Blank For PUC use)

NOTICE OF APPEAL

(D) _____ files this Notice of Appeal from the citation issued on (E) _____.

The rationale for the appeal is as follows:

(F) _____

Dated (G) _____, at (H) _____, California.

(I)

Attachments

(J) _____

CERTIFICATE OF SERVICE

(Note: The certificate of service is attached to the Notice of Appeal only when filing by hard copy. If filing by electronic copy, you must file the certificate of service as a separate document. A template for the certificate of service as a separate document is also attached to this package.)

I certify that on (K) _____, I have by mail this day served a true copy of the original attached Notice of Appeal on: (L) (Insert Name of Chief Administrative Law Judge _____), Chief Administrative Law Judge, California Public Utilities Commission, 505 Van Ness Avenue, 5th Floor, San Francisco, CA 94012, (Insert e-mail of Chief Judge) _____;

ALJ_Div_Appeals_Coordinator@cpuc.ca.gov (electronically); (Insert Name of Director of Safety and Enforcement Division) _____, Director, Safety and Enforcement Division, 505 Van Ness Avenue, San Francisco, CA 94012, (Insert e-mail of Director of SED) _____); and (Insert the names, addresses and emails of anyone else required to be served by the Citation Program you are cited under):

_____.

Dated (M) _____, at (N) _____, California.

(O)

Privacy Notice

This message is to inform you that the Docket Office of the California Public Utilities Commission (CPUC) intends to file the above-referenced Notice of Appeal electronically instead of in paper form as it was submitted.

Please note: Whether or not your Notice of Appeal is filed in paper form or electronically, Notices of Appeal filed with the CPUC become a public record and may be posted on the CPUC's website. Therefore, any information you provide in the Notice of Appeal, including but not limited to, your name, address, city, state, zip code, telephone number, E-mail address and the rationale of your Notice of Appeal may be available on-line for later public viewing.

Having been so advised, the Undersigned hereby consents to the filing of the referenced Notice of Appeal.

(P.)

Signature (same as person authorized to sign the Notice of Appeal)

Date

Print name

**See Next Page for
Certificate of Service Form
for Electronic Filings**

*** (Note: The capital letters in parenthesis correspond to the instruction sheet and are not part of the official filing.)**

BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

Appeal of

(A)* _____
_____ from (B) _____
_____ issued by (C) _____

_____ ^ _____

(Leave Blank For PUC use)

CERTIFICATE OF SERVICE

I certify that on (K) _____, I have by mail this day served a true copy of the original attached Notice of Appeal on (L) (Insert Name of Chief Administrative Law Judge _____), Chief Administrative Law Judge, California Public Utilities Commission, 505 Van Ness Avenue, 5th Floor, San Francisco, CA 94012, (Insert e-mail of Chief Judge) _____;

ALJ_Div_Appeals_Coordinator@cpuc.ca.gov (electronically); (Insert Name of Director of Safety and Enforcement Division) _____, Director, Safety and Enforcement Division, 505 Van Ness Avenue, San Francisco, CA 94012, (Insert e-mail of Director of SED) _____); and

(Insert the names, addresses and e-mails of anyone else required to be served by the Citation Program you are cited under):

Dated (M) _____, at (N) _____, California.

(O)

(Note: This Certificate of Service as a separate document is to be used if you are filing the Notice of Appeal electronically. If you are filing the Notice of Appeal by hard copy, you must attach the certificate of service to the Notice of Appeal.)

ATTACHMENT 3

**RESOLUTION ALJ-299 AND THE PILOT PROGRAM CITATION APPEAL
AND GENERAL ORDER 156 APPELLATE RULES**

APPENDIX A

Pilot Program Citation Appeal and General Order I56 Appellate Rules (Applicable on January 1, 2015)

Appendix A

Pilot Program Citation Appeal and General Order 156 Appellate Rules

1. Applicability

The purpose of this Pilot Program is to establish Appellate Rules (Rules) so that all Citation Appeals and General Order 156 Appeals can be filed with the Commission's Docket Office. These Rules are effective on January 1, 2015. For Citation Appeals, these Rules are to be read together with the Rules set forth in each statute, General Order, and Commission Resolution authorizing a Citation Program. For General Order 156 Appeals, these Rules are to be read together with General Order 156. These Rules are also applicable to future citation programs the Commission may establish.

Appendix A to the resolution adopting this pilot program sets forth the Pilot Program Citation Appeal and General Order 156 Appellate Rules which are applicable on January 1, 2015. Appendix B to the resolution adopting this pilot program sets forth how these Rules interact with an individual Citation Programs or General Order 156.

The Administrative Law Judge Division will monitor the success of this pilot program adopted today as an experimental procedural reform. Depending upon the initial results of these new procedures, and any additional needs that surface, the Commission may consider an expanded program or related rules changes in the future.

2. Definitions

"Appellant" means the cited entity initiating the appeal.

"Citation Appeal" means an appeal from a citation or revocation of a license issued pursuant to a Citation Program.

"Citation Program" means the individual applicable statute, General Order or Resolution authorizing the issuance of a citation or authorizing the revocation of a license.

"Clearinghouse" means the Commission-supervised program that conducts WMBE verifications and maintains a database of WMDVBES [women, minority and disabled veteran business] for the use of utilities and the Commission as defined by General Order 156 § 1.3.19.

“General Order 156 Appeal” means an appeal from a decision of the Clearinghouse made pursuant to General Order 156.

3. Filing the Notice of Appeal

Appellant must file a Notice of Appeal with the Commission’s Docket Office for a Citation Appeal by the time specified in the Citation Program or, for a General Order 156 Appeal, by the date set forth in General Order 156.

4. Extension of Time to File the Notice of Appeal

Unless authorized by a Citation Program, there shall be no extension of time to file a Notice of Appeal from a citation issued pursuant to a Citation Program or from a Clearinghouse Decision issued pursuant to GO 156. Any authorization of an extension of time to file a Notice of Appeal must be made by the Director (or designee) of the Commission Division which issued the citation, in writing, subject to the provisions of the Citation Program, and must be attached to the Notice of Appeal.

5. Minimum Content of the Notice of Appeal

The Notice of Appeal for a Citation Appeal must at a minimum state: (a) the date of the citation that is appealed; and (b) the rationale for the appeal as specifically instructed in the Citation Program. If a Citation Program is silent on instructions for setting forth the rationale for the appeal, the Notice of Appeal must state the grounds for the appeal. The Notice of Appeal must also set forth additional items, if any, as required by the Citation Program. Pursuant to Rule 4, if the Citation Program authorizes appellant to request an extension of time from a Division Director to file a Notice of Appeal, any extension received must be in writing and attached to the Notice of Appeal.

The Notice of Appeal for a General Order 156 Appeal must set forth (a) the date of the Clearinghouse Decision that is appealed; and (b) the grounds for the appeal as required by General Order 156 § 7.3.1.

6. Minimum Service Requirements for the Notice of Appeal

The Notice of Appeal for a Citation Appeal must be served, at a minimum, on the Chief Administrative Law Judge (with an electronic copy to: ALJ_Div_Appeals_Coordinator@cpuc.ca.gov), on the Director of the Safety and Enforcement Division, and on the Director of the Commission Division issuing the citation if the Safety and Enforcement Division does not issue the citation, on the same day that the Notice of Appeal is filed. The appellant must file a proof of service to this

effect at the same time appellant files the Notice of Appeal. The Notice of Appeal must also be served on other entities if required by the Citation Program.

The Notice of Appeal of a Clearinghouse Decision pursuant to General Order 156 must at a minimum be served on the Chief Administrative Law Judge (with an electronic copy to: ALJ_Div_Appeals_Coordinator@cpuc.ca.gov) and on the Clearinghouse that issued the decision on the same day that the Notice of Appeal is filed. The appellant must file a proof of service to this effect at the same time appellant files the Notice of Appeal.

If the General Order 156 Appeal involves the Clearinghouse's determination of another entity's women, minority and disabled veteran business (WMDVBE) status, the entity whose WMDVBE status is challenged must also be served with the Notice of Appeal and may be a party to the appeal. The appellant must file a proof of service to this effect at the same time appellant files the Notice of Appeal.

7. Compliance Filing

For a Citation Appeal, no later than seven business days after the Notice of Appeal is filed, Staff issuing the citation must file with the Commission's Docket Office a Compliance Filing which includes a complete copy of the citation, including all attachments, which is appealed. The Compliance Filing must be served on the Chief Administrative Law Judge (with an electronic copy to: ALJ_Div_Appeals_Coordinator@cpuc.ca.gov) and appellant on the same day the Compliance Filing is filed. Staff must file a proof of service to this effect at the same time it files the Compliance Filing.

For a General Order 156 Appeal, no later than seven business days after the Notice of Appeal is filed, the Clearinghouse must file with the Commission's Docket Office a Compliance Filing which includes a complete copy of the decision, including all attachments, which is appealed. The Compliance Filing must be served on the Chief Administrative Law Judge (with an electronic copy to: ALJ_Div_Appeals_Coordinator@cpuc.ca.gov) and appellant on the same day the Compliance Filing is filed. The Clearinghouse must provide a proof of service to this effect at the same time it files the Compliance Filing.

8. Service List and Parties to an Appeal

The Commission will establish the service list for a Citation Appeal or a General Order 156 Appeal and maintain that service list on the appeal's Docket Card.

For a Citation Appeal, the parties to the appeal will be appellant and Staff which issued the citation which is appealed. Other interested persons may be placed on the information only section of the service list.

For a General Order 156 Appeal, the parties to the appeal will be appellant and the Clearinghouse, except in the case of an appeal of a Clearinghouse determination of another entity's women, minority and disabled veteran business (WMDVB) status. In this case, the parties to the appeal will be appellant, the Clearinghouse, and may be the entity whose WMDVB status is challenged. Other interested persons may be placed on the information only section of the service list.

9. Exchange of Information

No later than three business days prior to the scheduled hearing on a Citation Appeal or General Order 156 Appeal, the parties must exchange all information they intend to introduce into the record at the hearing which is not included in the citation or Clearinghouse Decision and the Compliance Filing already filed with the Commission pursuant to Rule 7 of these Rules. The information exchange is not to be filed with the Commission or served upon the Administrative Law Judge or other decisionmakers.

10. Commencement of Hearing

A Citation Appeal hearing or a General Order 156 Appeal hearing must commence by the time specified in the Citation Program or, for a General Order 156 appeal, by the time set forth in General Order 156.

If the Citation Program is silent on when a hearing must commence, the hearing must occur promptly, with the parties notified at least 10 days in advance of the hearing. In this instance, the Administrative Law Judge may for good cause or the parties' agreement grant a reasonable continuance of the hearing.

11. Burden of Proof

The burden of proof in a Citation Appeal or a General Order 156 Appeal is governed by the language in the Citation Program or General Order 156. For Citation Programs which are silent as to which party has the burden of proof, the following rule applies: Staff has the burden to prove a *prima facie* case supporting its issuance of the citation for the alleged violation; the burden then shifts to appellant to demonstrate that a violation did not occur and the citation should not issue or that the amount of the penalty is inappropriate.

12. Hearing Venue

The venue for a Citation Appeal or a General Order 156 Appeal hearing will be as set forth in each Citation Program or in General Order 156. To the extent a Citation Program is silent on venue, the venue for the Citation Appeal hearing will be in either in San Francisco or Los Angeles, California, at the Commission's discretion.

13. Party Representative/Evidence

For all Citation Appeals and General Order 156 Appeals, appellant may be represented at the hearing by an attorney or other representative, but such representation will be at the appellant's sole expense. Rule 13.6 (Evidence) of the Commission's Rules of Practice and Procedure is applicable.

14. Obtaining a Transcript

For all Citation Appeals and General Order 156 Appeals, appellant may order a transcript of the hearing, and pay the cost of the transcript in accordance with the Commission's usual procedures.

15. Obtaining an Interpreter

For all Citation Appeals and General Order 156 Appeals, upon a good faith showing of language difficulty, the appellant will be entitled to the services of an interpreter at the Commission's expense upon written request to the assigned Administrative Law Judge and the Commission's Public Advisor's Office not less than five business days prior to the date of the hearing.

16. Submission of the Record

The submission date in a Citation Appeal or a General Order 156 appeal is governed by the time specified in the Citation Program or General Order 156.

If a Citation Program is silent on the submission date for the appeal, the following rule applies: Ordinarily, the appeal will be submitted at the close of the hearing. In the Administrative Law Judge's discretion, the record may be kept open for a reasonable period to permit a party to submit additional evidence or argument.

17. Issuance Date of Draft Resolution

The Administrative Law Judge will issue a draft resolution resolving the Citation Appeal or General Order 156 appeal expeditiously, and no later than 60 days after the

Citation Appeal or General Order 156 appeal is submitted. The draft resolution will be placed on the first available agenda consistent with the Commission's applicable rules.

18. Issuance of Draft Resolution for Comment

A resolution addressing a Citation Appeal or a General Order 156 Appeal is subject to the public comment period as set forth in Pub. Util. Code § 311(g) and Article 14 of the Commission's Rules of Practice and Procedure (Rules). The draft resolution will be placed on the first available agenda, consistent with the Commission's applicable rules. Any person may file comments on the draft resolution pursuant to Rule 14.5 of the Commission's Rules.

19. Ex Parte Communications

For all Citation Appeals and General Order 156 Appeals, ex parte communications as defined by Rule 8.1(c) of the Commission's Rules of Practice and Procedure, with a decisionmaker, including any Commissioner, Commissioner advisor, the Chief Administrative Law Judge, any Assistant Chief Administrative Law Judge, the assigned Administrative Law Judge, or the Law and Motion Administrative Law Judge, are prohibited from the date the Citation or Clearinghouse Decision issued pursuant to General Order 156 is issued, through the date a final order is issued on the Citation Appeal or General Order 156 Appeal.

A final order means the date when the period to apply for rehearing of the Commission resolution on the appeal has expired and no application for rehearing has been filed, or if an application for rehearing is filed, the date when the period to seek judicial review of the decision finally resolving the application for rehearing has passed without any party seeking judicial review; or if judicial review is sought, the date any court cases are finally resolved.

20. Rehearing

A resolution resolving a Citation Appeal or a General Order 156 appeal approved by the Commission is subject to rehearing pursuant to Pub. Util. Code § 1731 and to judicial review pursuant to Pub. Util. Code § 1756.

21. Service of these Rules and Resolution Adopting Them With All Citations and Clearinghouse Decisions Concerning General Order 156

Commission Staff must serve a copy of these Rules and the Resolution adopting this pilot program with all citations issued.

The Clearinghouse must serve a copy of these Rules and the Resolution adopting this pilot program with all Clearinghouse Decisions concerning General Order 156.

22. Applicable Procedure when Pilot Program Appellate Rules Are Silent

For a Citation Appeal, in the event these pilot program appellate rules and the applicable General Order or Resolution authorizing issuance of the citation which is appealed are silent on a procedural issue, the Commission's Rules of Practice and Procedure are applicable.

For a General Order 156 appeal, in the event these pilot program appellate rules and General Order 156 are silent on a procedural issue, the Commission's Rules of Practice and Procedure are applicable.

(END OF APPENDIX A)

ATTACHMENT 4

CPUC GENERAL ORDER 143-B

GENERAL ORDER 143-B
(Superseding General Order 143-Adopted May 8, 1991)

**PUBLIC UTILITIES COMMISSION OF THE
STATE OF CALIFORNIA**

**SAFETY RULES AND REGULATIONS GOVERNING
LIGHT-RAIL TRANSIT**

Adopted May 8, 1991. Effective June 7, 1991

Decision 91-05-015 in I.89-07-003.

Amended April 6, 1994; Effective May 1, 1994

Resolution ST-11

Amended January 20, 2000, Effective January 20, 2000

Resolution ST-47

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1. GENERAL PROVISIONS

- 1.01 **SHORT TITLE.** These rules and regulations shall be known as "General Order No. 143-B."
- 1.02 **AUTHORITY.** These rules and regulations are authorized by and implement the provisions of Sections 778, 29047, 30646, 99152, and 100168 of the Public Utilities Code.
- 1.03 **PURPOSE.** The purpose of these rules and regulations is to establish safety requirements governing the design, construction, operation, and maintenance of light-rail transit systems in the State of California. The safety of patrons, employees, and the public is of primary importance in the application of these regulations.
- 1.04 **APPLICABILITY.** These rules and regulations are applicable to light-rail public transit guideways planned, acquired, or constructed on or after January 1, 1979, and to all private light-rail transit systems in accordance with Sections 778 and 99152 of the California Public Utilities Code. Light rail transit carriers not subject to the Commission's jurisdiction are encouraged to follow these rules and regulations.
- 1.05 **NOT RETROACTIVE.** Unless otherwise specified, these rules and regulations shall not require reconstruction, additions, or changes to existing systems, facilities, and light-rail vehicles in service or advertised for construction prior to the effective date hereof. This section does not apply to maintenance of equipment and facilities.
- 1.06 **COMMISSION MAY ORDER ADDITIONAL RULES.** The Commission may make such further additional rules or changes as necessary for the purpose of safety to employees and the general public.
- 1.07 **EXEMPTIONS OR MODIFICATIONS.** Requests for exemptions or modifications from these rules and regulations shall contain a full statement of the reasons justifying the request and demonstrating that safety is not reduced thereby. Any exemption or modification so granted shall be limited to the particular case covered by the request.
- 1.08 **LRV EQUIPMENT AND CONDITION.** Every LRV, as defined in Section 2.09 of these rules and regulations, used in revenue service shall be equipped as required by this General Order. All such LRV equipment shall be maintained in safe proper working condition as required by the carriers' approved operating rules and procedures.

* * *

2. DEFINITIONS

- 2.01 **AUTOMATIC BLOCK SIGNAL SYSTEM (ABS).** A series of consecutive blocks of track over which entry to each block is governed by block signals, cab signals, or both, which are actuated by the presence of an LRV or train or by certain other conditions affecting the use of the block.
- 2.02 **AUTOMATIC TRAIN PROTECTION (ATP).** A system for assuring safe train movement by a combination of train detection, separation of trains running on the same track or over interlocked routes, overspeed prevention, and route interlocking.
- 2.03 **AUTOMATIC TRAIN STOP (ATS).** A device so designed and installed that, should the operator permit a train to pass a signal indicating "stop", there will be an automatic application of the brakes which cannot be released until the train is brought to a stop.
- 2.04 **CAB SIGNAL SYSTEM.** A signal system whereby block condition and the prevailing civil speed commands are transmitted and displayed directly within the train cab. The cab signal system may be operated in conjunction with a system of fixed way-side signals or separately.
- 2.05 **CARRIER.** Unless the context indicates otherwise, "carrier" means a LRT system.
- 2.06 **COMMISSION.** The Public Utilities Commission of the State of California.
- 2.07 **FAIL-SAFE.** A characteristic of a system which ensures that any malfunction affecting safety will cause the system to revert to a state that is known to be safe.
- 2.08 **LIGHT-RAIL TRANSIT (LRT).** A mode of urban transportation employing light-rail vehicles capable of operating on all the alignment classifications described in this General Order.
- 2.09 **LIGHT-RAIL VEHICLES (LRV).** A wheeled vehicle, for the conveyance of passengers, which is electrically propelled and operates upon a track or rails on the alignment classifications described in this General Order.
- 2.10 **OPERATOR.** The LRT employee on board the train having direct and immediate control over the movement of the train.
- 2.11 **PUBLIC TRANSIT GUIDEWAY.** A system of public transportation utilizing passenger vehicles that are physically restricted from discretionary movement in a lateral direction.
- 2.12 **SEPARATE RIGHT-OF-WAY.** A corridor within which LRVs operate apart from parallel motor vehicle traffic but may contain locations of mixed traffic crossings.
- 2.13 **STREETCAR.** An LRV operated in mixed street traffic.
- 2.14 **TRAIN.** A single LRV or multiple LRVs combined to operate as one unit.

* * *

3. EQUIPMENT ON LIGHT-RAIL VEHICLES

- 3.01 SPEEDOMETERS. Every LRV shall be equipped with a speedometer installed in such a position so as to be easily seen by the operator. The speedometer shall indicate the speed in miles per hour with an accuracy of five (5) percent at all times.
- 3.02 WINDSHIELD WIPERS AND DEFROSTERS. Every LRV when operating under conditions which are likely to cause ice, frost, fog, or moisture to collect on the windshield, shall be equipped with window wipers and an electric or mechanically operated device designed to prevent or remove such collection of ice, frost, fog, or moisture.
- 3.03 REAR VISION MIRRORS. Every LRV operating cab shall be equipped with two (2) rear vision mirrors, one on each side of the vehicle, located so as to allow the operator a view of the rear along both sides of the train for the full length of the train on tangent track.
- 3.04 AUDIBLE WARNING DEVICES. Every LRV shall be equipped with a bell or horn capable of producing a clearly audible warning measuring at least 75 dBA at a distance of 100 feet from the vehicle. In addition, every LRV operating on separate right-of-way over motor vehicle grade crossings shall be equipped with a horn or whistle capable of producing a clearly audible warning measuring at least 85 dBA at a distance of 100 feet from the LRV.
- 3.05 GRAB HANDLES. Every LRV shall be equipped with grab handles, stanchions, or bars for the use of standing passengers and for the use of persons boarding or leaving such vehicles.
- 3.06 SAFETY BARS. Every LRV shall be equipped with a bar made of wood, fiberglass, or metal installed full width in front of the leading wheels of an LRV, or a fender or lifeguard to provide protection against foreign objects being caught under the car body when the LRV or the train is in motion.
- 3.07 BLOCKED DOOR OPERATION. The passenger side doors of every LRV shall be designed to minimize the possibility of persons or objects being caught in them while closing.
- 3.08 WARNING DEVICES FOR STOPPED LIGHT-RAIL VEHICLES. Except when LRV operation is completely on exclusive right-of-way, emergency warning devices such as bidirectional emergency reflective triangles, fusees, red flags and/or flashlights shall be maintained in a suitable container or compartment on every LRV.

* * *

4. BRAKES ON LIGHT-RAIL VEHICLES

4.01 DEFINITIONS USED IN THIS PART. The following definitions apply to words and phrases used in this part:

a. Average Deceleration Rate.

The rate obtained by dividing the speed at which the brakes are initiated (brake entry speed) by the elapsed time until no motion is detected. The average deceleration rate does not include operator reaction time.

b. Jerk.

The average rate of change of acceleration or deceleration.

4.02 BRAKING SYSTEMS. Every LRV shall have a service and an emergency braking system. The service braking system shall consist of a combination of dynamic and friction brakes. The emergency braking system shall consist of a combination of the service braking system and independent magnetic track brakes.

4.03 BRAKE RATES. Every LRV shall meet or exceed the average deceleration rates shown in Table 4.1 below when tested at the designated brake entry speeds. Tests run at speeds between those designated in the table shall meet the average deceleration rates listed for the next higher brake entry speed.

TABLE 4.1			
BRAKE (1) ENTRY SPEED	AVERAGE DECELERATION RATE (MPHPS)		
(MPH)	SERVICE BRAKING SYSTEM	DYNAMIC (2) BRAKES CUTOUT	EMERGENCY BRAKING EMERGENCY
55 or more	2.7	1.9	4.5
45	2.6	2.0	5.2
35	2.5	2.0	4.5
25	2.3	2.1	4.5
20 or less	2.2	2.2	3.5

Notes.

- (1) All tests shall be conducted on dry, level, tangent track for all conditions of loading up to the maximum operating loads as established by the Transit Authority.
- (2) The average deceleration rates, when dynamic brakes are cut out, shall be met by the friction brakes acting alone or in combination with the track brakes.

- 4.04 JERK LIMIT. The service braking system shall be jerk limited to minimize injuries to the vehicle occupants. The emergency braking system shall not be jerk limited.
- 4.05 SPIN/SLIDE PROTECTION. LRVs equipped with spin/slide protection shall be designed for fail-safe operation so that a system failure will cause the spin/slide protection to be bypassed.
- 4.06 DYNAMIC BRAKE FAILURE INDICATION. Detectable failures of the dynamic brakes shall be annunciated by visual and audible warning devices.
- 4.07 DYNAMIC BRAKE FAILURE PROCEDURE. If a failure of the dynamic braking system is annunciated, the LRV shall be brought to a stop at the earliest possible moment. If determined safe to proceed, the train may then remain in service, at a reduced speed not exceeding 25 mph, until it reaches the end of the line or a repair facility, where the affected car (s) must be repaired or taken out of service.
- 4.08 PARKING BRAKES. Every LRV shall be equipped with parking brakes which can be applied without assistance of any electric, hydraulic, pneumatic, or other form of non-mechanical energy. Such brakes shall be adequate to hold the LRV stationary under all conditions of loading of any grade on which it is operated.
- 4.09 OUT-OF-SERVICE INTERCONNECT. The parking brakes shall be designed and constructed so that when the LRV is placed in any out-of-service or lay-up mode, the brakes will be automatically applied to hold the LRV or train stationary under all conditions of loading on any grade on which it may be operated.
- 4.10 DOOR INTERLOCK. The passenger side door shall be interlocked with the braking and propulsion control systems in such a manner that a stopped LRV cannot start and a LRV in motion will automatically brake if the doors are not closed.
- 4.11 WHEELCHAIR LIFT. LRVs equipped with a wheelchair lift shall be designed and constructed so that the LRV can be moved only when the lift is completely stowed and the lift can be deployed only when the LRV is stopped.
- 4.12 DEADMAN CONTROL. Every LRV shall be equipped with a safety device that requires the operator's continuous pressure or activity to remain activated. The safety device shall be interconnected with the propulsion and service braking system in such a manner that should the device fail to detect an appropriate level of activity or pressure exerted by the operator, propulsion power will be interrupted, brakes will be automatically applied in a non-retrievable manner, and the train will be brought to a stop.

* * *

5. LIGHTING ON LIGHT-RAIL VEHICLES

- 5.01 HEADLIGHTS. Every LRV which operates on a separate right-of-way shall be equipped with a headlight or headlights that are capable of revealing a person or motor vehicle in clear weather at a distance of 600 feet. Every LRV which operates on a public street or road shall be equipped with a headlight or headlights that are capable of revealing a person or motor vehicle in clear weather at a distance of 350 feet and shall be designed and adjusted so as not to interfere with the vision of drivers of motor vehicles. Headlights may be dimmed or extinguished under conditions where their use could pose a safety hazard to motorists in adjacent traffic lanes.
- 5.02 TAILLIGHTS AND STOPLIGHTS. Every LRV shall be equipped with two (2) red taillights at the end of the LRV opposite from the direction of travel and shall emit a red light plainly visible in clear weather from a distance of not less than 500 feet to the rear of the LRV or train. In addition, at least two (2) red stoplights shall be mounted on the end of the LRV with the taillights. Stoplights shall be capable of producing approximately 150 percent of the intensity of the taillights and shall be illuminated whenever any brake except the parking brake is applied.
- 5.03 DOORWAY LIGHTS. Every LRV shall be equipped with lights to illuminate the doorway and adjacent platform or street for the purpose of safe boarding and discharge of passengers.
- 5.04 INTERIOR LIGHTING. Every LRV operating during hours of darkness shall be equipped with lights in the passenger compartment, arranged so as to illuminate the whole interior of the vehicle and in such a manner that windshield reflection will be minimized so as not to interfere with train operation.
- 5.05 EMERGENCY LIGHTING. LRV headlights, taillights, stoplights, interior lights, emergency flashers, and doorway lights sufficient to support safe exiting shall remain functional under emergency power conditions for a minimum of one (1) hour.

* * *

6. CONSTRUCTION REQUIREMENTS FOR LIGHT-RAIL VEHICLES

- 6.01 ANTI-CLIMBERS. Every LRV shall have installed on each end of the vehicle an anti-climber designed and constructed with projecting steel corrugations that will interlock with a similar device on another LRV in the event of a collision.
- 6.02 COLLISION OR CORNER POSTS. Every LRV shall be equipped with collision or cab-end corner posts. The connections of the posts to the supporting structures and the supporting structure itself shall be able to develop the full bending capacity of the collision or corner posts.
- 6.03 STRENGTH OF MAJOR STRUCTURAL COMPONENTS. Every LRV shall be designed and constructed so that all major structural components meet or exceed the following standard:
- Under the action of an end compression load equal to twice the weight of the unloaded LRV applied longitudinally at the end sills, there shall be no permanent strain in any structural member and there shall be no stress in any such member exceeding the yield strength or yield point of the material.
- This standard shall apply for both the conditions of a fully loaded LRV and an unloaded LRV.
- 6.04 WINDSHIELDS AND WINDOWS. Windshields and windows shall be equipped and constructed as follows:
- a. Every LRV shall be equipped with laminated safety glass windshields. Partitions and windows, other than windshields, shall be equipped with laminated safety glass, shatter-proof, or tempered glazing materials. Windshields or cab side windows shall have functional sun visors, if appropriate to the needs of the operator in relation to the design of the LRV.
 - b. All windows, except those entirely within the operator's cab, shall be designed and constructed so as to deter a person's head or arm from being readily extended to the outside from an open window.
- 6.05 EMERGENCY EXITS. Every LRV shall have all doors, except those designated exclusively for wheelchair or handicapped use, equipped so that in case of emergency, they can be easily opened by a passenger by a readily apparent or disclosed means.

* * *

7. OPERATING SPEED AND TRAIN PROTECTION REQUIREMENTS

- 7.01 **BASIC SPEED RULE.** The other provisions of this part notwithstanding, the operator of an LRV shall at all times operate at a safe speed that is consistent with weather, visibility, track conditions, traffic, traffic signal indications, and the indications of ATP systems where used.
- 7.02 **SPEED PROFILE.** LRVs shall be operated at all times within the maximum speed profiles established for the system. Speed limit signs which are visible from the operator's cab shall be posted in advance of critical locations.
- 7.03 **MAXIMUM SPEEDS.** The maximum speeds permitted on an LRT shall be established in accordance with the requirements presented in Table 1. (See page 27.)
- 7.04 **CONDITIONS RESTRICTING MAXIMUM SPEED.** Maximum speed shall be restricted over track with opposing traffic when LRV movements are not governed by block signals, cab signals, timetable, train order, current of traffic, or manual block system. In the absence of such control systems LRVs shall operate with caution at a speed prepared to stop within one half the distance of the operator's range of vision but not exceeding twenty-five (25) miles per hour.
- 7.05 **SPEED PERMITTED ON PEDESTRIAN MALLS.** Maximum LRV speed permitted on a promenade, pedestrian walk, concourse, mall, or plaza, which is closed to motor vehicles but where pedestrian movement across the tracks is authorized, is twenty (20) miles per hour unless otherwise restricted (see Table 1 on page 27).
- 7.06 **TRAIN SIGNAL SYSTEM STANDARDS.** The Signal Manual of Recommended Practices published by the Communication and Signal Division of the Association of American Railroads shall be used as a guide for the design and construction of LRT signal systems. When alternative standards are followed, they shall be specifically noted on the signal plans and specifications submitted to the Commission in accordance with Section 16.03 of this General Order.

7.07 CROSSINGS OF RAILROAD AND LRT AT GRADE. As required by Division 1, Chapter 6 of the State of California Public Utilities Code, the permission of the Commission shall be obtained before any LRT tracks are constructed at grade across any railroad or LRT tracks. LRT movements over alignments 9.04 (a) and 9.04 (b) (1) at grade across railroad or LRT tracks shall be governed by an interlocking installation. All signal indications and train movements within the interlocking limits shall be recorded by automatic recording apparatus. The provisions of General Order 33-B shall not apply to tracks used exclusively for LRT operations.

7.08 CROSSINGS OF STREETS AND HIGHWAYS AT GRADE. LRT systems which cross streets, roads, and highways at grade shall install and maintain automatic gate crossing signals to control motor vehicle traffic and automatic warning signals to control pedestrian traffic. When LRV operation is upon a street or highway permitting motor vehicle traffic, all intersections shall be controlled by traffic control devices.

The following general orders shall govern the protection and operation of grade crossings.

General

Order Nos.

Subject

75-C	Protection of At Grade Crossings
135	Rules for Train Occupancy of At Grade Crossings
145	Rules from Exempting Certain At Grade Crossings from Motor Vehicle Stop Requirements

7.09 AUDIBLE WARNING. The LRV operator shall sound an audible warning:

- a. when approaching at grade crossings protected by automatic crossing signals conforming to the requirements of General Order 75-C to control vehicle and pedestrian traffic,
- b. at other locations specifically identified in the LRT system's operating rules, and
- c. whenever the operator believes it is necessary and in accordance with the LRT system's operating rules and regulations.

* * *

8. SPECIAL PROVISIONS FOR HISTORICAL STREETCARS

8.01 DEFINITION OF "HISTORICAL STREETCAR". An LRV or streetcar originally manufactured prior to January 1, 1956, which may not meet all the requirements set forth in this General Order for LRVs.

8.02 APPLICATION OF PREVIOUS AND SUBSEQUENT PARTS. In addition to the special provisions set forth in this Part, the following requirements specified in these rules and regulations shall apply:

a. All of the following Parts:

- 1. General Provisions
- 2. Definitions
- 7. Operating Speed and Train Protection Requirements
- 9. Right-of-Way Standards
- 10. Traction Power Requirements
- 11. Fire Protection Requirements
- 12. Requirements of Safety Sensitive Employees
- 13. Operating Rules
- 14. Inspections, Tests, and Maintenance
- 15. Requirements for Reporting and Investigating Accidents and Unacceptable Hazardous Conditions
- 16. Miscellaneous Reporting Requirements

b. The following Sub-parts of Parts 3, 4, 5, and 6:

- 3.04 Audible Warning Devices
- 3.05 Grab Handles
- 3.06 Safety Bars
- 3.08 Warning Devices for Stopped Light-rail Vehicles
- 4.07 Brake Failure Procedure
- 4.08 Parking Brakes
- 5.04 Interior Lighting
- 6.05 Emergency Exits

8.03 SERVICE BRAKING SYSTEM. Every historical streetcar shall be equipped with a service braking system adequate to control the movement of and to stop and hold stationary such vehicle in a safe manner under all conditions of loading on any grade on which it is operated.

8.04 STOPPING DISTANCE. Every historical streetcar shall meet the following maximum stopping distance from an initial speed of 20 miles per hour under all conditions of loading on level, dry, tangent track:

Maximum Stopping Distance from the Point of First Operation of the Brake Actuator120 feet

- 8.05 HEADLIGHTS. If operating during the hours of darkness, every historical streetcar shall be equipped with a headlight that is capable of revealing a person or motor vehicle at a distance of 350 feet in clear weather.
- 8.06 TAILLIGHTS. If operated during the hours of darkness, the historical streetcar must be equipped with a taillight which is visible to the rear from 500 feet in clear weather.
- 8.07 WINDSHIELDS AND WINDOWS. Every historical streetcar shall be equipped with laminated safety-glass windshields. Windows and other areas fitted with glass shall employ safety-glass, tempered glass, or equivalent glazing material. Clerestory glazing is exempted from this requirement.
- 8.08 SAFE OPERATING SPEEDS. Safe operating speeds for historical streetcars shall be established and enforced consistent with the individual operating and braking characteristics of each class or type of streetcar, the condition of the track over which the streetcars will operate, and the nature of the motor vehicle traffic on streets and roads where streetcar operations will be conducted.
- 8.09 OPERATING RULES. Prior to historical streetcar operation, rules of operating procedure for such streetcars shall be prepared. The rules shall contain a listing of the maximum authorized speeds for each section of right-of-way where historical streetcars will be operated. The rules and operating speeds shall be filed with the Commission for approval pursuant to the provisions of Part 13 of this general order.

* * *

9. RIGHT-OF-WAY STANDARDS

9.01 TRACK REQUIREMENTS. The American Railway Engineering Association Manual for Railway Engineering shall be used as a guideline for the design and construction of LRT track-work. When alternative track-work design and construction standards are used they shall be specifically noted on the track-work plans and specifications submitted to the Commission in accordance with Section 16.03 of this General Order.

9.02 STANDARDS FOR THE INSTALLATION OF BARRIERS. When the separate right-of-way of a LRT system occupies the median of a divided arterial highway with fully controlled grade-separated access or is contiguous to such a highway, Caltrans' standard barriers of the following types shall be installed under the conditions indicated:

Distance from Center Line of Track to Edge of Nearest Travel Lane on Roadway	Type of Barrier
36 feet or less	Rigid concrete barrier at least 32 inches in height above the roadway.
Greater than 36 feet up to 45 feet	Rigid concrete barrier as specified above or semi-flexible metal barrier (thrie, W, box or other comparable beam) at least 33 inches in height above the roadway.

9.03 INSTALLATION OF CURBS, FENCES, AND BARRIERS. Concrete curbs, fences, or barriers, shall be installed along sections of separate right-of-way of an LRT system when there is a likelihood that motor vehicles or pedestrians may leave the traveled way of any nearby street or highway and encroach onto mainline track.

9.04 ALIGNMENT CLASSIFICATION.

a. Exclusive:

A right-of-way without at-grade crossings, which is grade-separated or protected by a fence or substantial barrier, as appropriate to the location. (Includes subways and aerial structures.)

b. Semi-Exclusive:

(1) Fully exclusive right-of-way with at-grade crossings, protected between crossings by a fence or substantial barrier, if appropriate to the location.

(2) Within street right-of-way, but protected by six-inch high curbs and safety fences between crossings. The safety fences should be located outside the tracks.

(3) Within street right-of-way, but protected by six-inch high curbs between crossings. A safety fence may be located between tracks.

(4) Within street right-of-way, but protected by mountable curbs, striping, or lane designation.

c. Non-Exclusive:

(1) Mixed traffic operation-surface streets.

(2) LRT/Pedestrian Mall.

9.05 EMERGENCY WALKWAYS. An unobstructed emergency walkway at least thirty (30) inches wide and accessible to persons getting off disabled trains shall be provided along all trackage in subways, tunnels, on bridges, and on alignment Classifications 9.04a, 9.04b(1), and 9.04b(2). Walkways shall have a reasonably regular surface and shall not have a slope exceeding one (1) foot vertical to six (6) feet horizontal. A single walkway may serve more than one track.

9.06 CLEARANCES.

a. The provisions of General Order 26-D, Sections 9, 10, and 11, shall not apply to tracks used exclusively for rail passenger operations defined in Sub-part 2.08 hereof as Light-rail Transit.

b. All clearances shall be measured from the dynamic envelope of the outermost surface of the largest vehicle on tangent track. The spacing of tracks and structures shall be increased proportionately for curved track to provide the minimum clearances specified in this part at all locations. Minimum clearances shall be such that no contact can take place due to any condition of design wear, loading or anticipated failure such as air spring deflation or normal lateral vehicle motion.

9.06 CLEARANCES (Cont.)

c. The minimum side clearance to obstructions higher than eight (8) inches above top-of-rail and the clearances between LRVs and streetcars located on parallel tracks used exclusively for light rail transit operations shall be governed by the following requirements:

(1) on station platforms, in yards and along shop aisles, and other locations, including emergency walkways, where passengers, employees, or other persons are permitted or required to be while trains are in motion, the minimum clearances shall be thirty (30) inches;

(2) at locations and in areas where passengers, employees, and other persons are normally prohibited while trains are in motion, the minimum clearance shall be eighteen (18) inches. Fixed wayside structures less than five (5) feet in length (e.g. catenary and signal poles, switching equipment) shall be excluded from this requirement provided approved measures are taken to give warning of restricted clearances;

(3) in exclusive right-of-ways including subways, tunnels, and portions of surface and elevated alignment which are equally inaccessible to persons, clearances may be reduced to the dynamic envelope of the largest rail vehicle operated, provided all LRVs and streetcars have windows effectively designed and constructed as provided in Sub-part 6.04b of these rules and regulations.

9.07 HIGH LEVEL PLATFORMS. Where passenger platforms are constructed to the nominal level of the floor of the LRVs operated, the space between the platform edge and the vehicle doorsill shall not be greater than three (3) inches on tangent alignment. A minimum personnel-refuge area measuring thirty (30) inches high and thirty (30) inches deep shall be provided under all high-level platforms. Special purpose platforms (e.g. handicap and crew loading platforms) shall be excluded from this requirement.

9.08 CROSSINGS OF PUBLIC STREETS AND RAILROADS. No crossings or intersections of tracks of an LRT system and a public road, highway, street, or track of a railroad corporation either at-grade or at separated grade shall be constructed without having first filed an application pursuant to the Public Utilities Commission Rules of Practice and Procedure, California Administrative Code, Title 20, and secured the permission of the Commission.

- 9.09 CONSTRUCTION, MAINTENANCE, AND ALTERATION OF GRADE CROSSINGS. The construction, maintenance, and alteration of crossings at grade of LRT trackage and public streets, roads, and highways shall be governed by the provisions of General Order 72-B and General Order 88-A.
- 9.10 RIGHT-OF-WAY SIGNS. Except along public streets and roads, every LRT system shall install and maintain clearly visible and legible advance signs warning operators of the following conditions:
- a. Speed limits
 - b. Mandatory stops, except stations
 - c. End of signalized track
- Other signs of an advisory nature, such as station ahead, grade crossing ahead, and resume speed, may be installed. All signs shall be placed above or adjacent to and preferably on the right-hand side of the track so that they will be clearly associated with the track to which they apply.
- 9.11 DERAIL WARNING SIGNS. Every LRT system shall install and maintain a clearly visible warning sign at the location of each derail. The sign shall bear the word "DERAIL" in black letters not less than seven (7) inches high on a white background.
- 9.12 CLEARING VEGETATION. All LRT system operating right-of-way shall be cleared of all vegetation that would:
- a. Constitute a fire hazard.
 - b. Obstruct a vehicle or train operator's visibility of signs, signals, or the track ahead.
 - c. Interfere with employees in performing normal trackside duties.
 - d. Obstruct emergency walkways.

* * *

10. TRACTION POWER REQUIREMENTS

10.01 DEFINITIONS USED IN THIS PART. The following definitions shall apply to words and phrases used in setting forth these traction-power safety requirements:

a. High Voltage.

A nominal voltage of 600 volts or more.

b. Qualified Person.

An authorized person who, by reason of instruction, training, and experience, is familiar with high voltage circuits and equipment and has demonstrated familiarity with the work to be performed and the hazards involved.

10.02 ELECTRIC SUPPLY AND COMMUNICATION SYSTEMS. Electric supply and communication systems shall comply with the requirements of General Order 95, Rules for Overhead Electric Line Construction, and General Order 128, Rules for the Construction of Underground Electric Supply and Communication System.

10.03 ELECTRICAL SAFETY. In addition to the requirements of this subpart, all traction power facilities shall conform to the National Electrical Code. Notwithstanding the provisions of Section 2706(a) (2) of the following referenced standard, all traction power facilities and employee work procedures shall conform to Title 8, Electrical Safety Orders, California Administrative Code.

10.04 TRACTION POWER INSTALLATIONS. Every LRT system shall ensure that all traction power installations and extensions, repairs, and changes in existing installations shall only be made by, or under the supervision or direction of, qualified persons. All substation buildings and enclosures shall be kept securely locked at all times. Access to such buildings and enclosures shall be limited to qualified persons only.

10.05 IDENTIFICATION. All switches, circuit breakers, and other control devices associated with the traction power system of every LRT system shall be located or marked to clearly indicate the apparatus, equipment, or area served by them. Permanent and conspicuous "HIGH VOLTAGE" warning signs shall be posted on all doors, gates, and covers of enclosures that provide access to conductors, equipment, and apparatus that are energized to high voltages.

- 10.06 ENERGIZED PARTS. Energized conductors, switches, and other apparatus, other than rails or rail-connected equipment installed or maintained by a LRT system shall be located or enclosed so as to prevent accidental contact by persons or objects. Rails and rail-connected equipment must be built and installed in a way that will prevent harmful voltages from affecting people that may come in contact with them.
- 10.07 DISCONNECT SWITCHES. Every LRT system disconnect switch intended for isolating an indoor or outdoor traction power circuit from sources of power using switches that have no rated capability for making or interrupting currents, shall be locked or interlocked to prevent opening or closing under energized conditions.
- 10.08 SHOP INTERRUPTER SWITCHES. In shop and maintenance areas where work is performed on or near high-voltage energized parts of vehicles, there shall be a readily apparent emergency switch to interrupt all sources of energy and power to any track, section of track, vehicle, or train which is energized.
- 10.09 NONCURRENT-CARRYING PARTS. Except within a substation, all noncurrent-carrying metal or metal parts of all fixed equipment and associated fences, railings, housings, enclosures, and supporting structures, including lamp posts, catenary poles, metal conduits and raceways, cable sheaths, metal frames, cases and hangers of equipment and metal switch handles and operating rods shall be permanently and effectively grounded or, for ungrounded DC system equipment, grounding may be through protecting devices that will disconnect the DC system under unsafe conditions.
- 10.10 CONSTRUCTION PLANS. No LRT system shall install any traction power equipment or apparatus or make changes to an existing traction power system unless done according to plans and specifications prepared under the responsible charge of a qualified person. All engineering documents relating to the traction power system shall show the name and title of the responsible qualified person.

* * *

11. FIRE PROTECTION REQUIREMENTS

11.01 FIRE PROTECTION REQUIREMENTS. All LRT systems shall establish fire protection requirements to control potential fire hazards. The minimum requirements for underground segments of the LRT system shall be as specified in the Standards for Fixed Guideway Transit Systems published by the National Fire Protection Association (NFPA 130). The minimum requirements for all other segments shall be established by the LRT system based upon a documented engineering analysis of the factors affecting fire hazards and fire risks using NFPA 130 as a guide.

* * *

12. REQUIREMENTS OF SAFETY SENSITIVE EMPLOYEES

12.01 DEFINITIONS USED IN THIS PART. The following definitions apply to words and phrases used in this part:

a. Safety Sensitive Employee.

An individual employed by an LRT system who operates LRVs or streetcars, or who dispatches or controls the movements of such LRVs, or who is engaged in the installation or maintenance of LRVs, train control, train protection, or signaling systems.

b. On Duty.

An employee is on duty from the time the employee begins to work or is required to be in readiness to work until the time the employee is relieved from work and all responsibility for performing work. Initial on duty status begins at a point following eight consecutive hours off duty.

12.02 DRIVER'S LICENSE. Every operator of a light rail vehicle or streetcar shall possess a valid class B commercial driver's license with a passenger transportation endorsement, except employees of those systems that do not operate combined bus/rail modes. At systems operating rail only, operators shall be required to possess a valid California class C driver's license, provided that a physical examination for persons meeting the class B licensing requirements established by the DMV is administered to such employees biannually.

12.03 USE OF ALCOHOL, NARCOTICS, OR DRUGS FORBIDDEN. The use, possession, or sale of alcoholic beverages, intoxicants, drugs, narcotics, marijuana, or controlled substances by safety sensitive employees of LRT systems, when on duty, is prohibited. Safety sensitive employees shall not be allowed to go on duty if such employees are under the influence of or have in their possession any drug, alcoholic beverage, intoxicant, narcotic, marijuana, medication, or other controlled substance, including those prescribed by a doctor, that will adversely affect their alertness, coordination, reaction, response, or safety. Excepted from this sub-part are employees under medication prescribed by a doctor who, with their employer's permission, are engaged in duties other than those that involve safety of operations or maintenance.

12.04 HOURS OF SERVICE-SAFETY SENSITIVE EMPLOYEES. LRT systems shall not require or permit any safety sensitive employee to remain on duty for more than twelve (12) consecutive hours or more than an aggregate of twelve (12) hours spread over a period of sixteen (16) hours.

* * *

13. OPERATING RULES

13.01 OPERATING RULES SHALL BE ADOPTED. Each LRT system shall adopt and enforce a set of operating rules which, as a minimum, are in full compliance with the safety rules and regulations of the Commission and other applicable federal, state, and local governmental agencies. Employees whose duties are governed by the operating rules shall be given a copy of the applicable rules. All work activities shall be performed in strict accordance with the operating rules.

13.02 OPERATING RULES SHALL BE SUBMITTED. No LRT system shall operate any light-rail vehicle over any of its trackage for regular service to the general public, for testing or readiness checking, or for any other purpose until its operating rules have been filed with the Commission staff.

Two copies of the carrier's operating rules shall be submitted a minimum of twenty (20) working days prior to their implementation.

The issuance of any bulletin, procedure, or order which revises or modifies the operating rules shall be filed concurrently with the Commission staff.

13.03 PROGRAM OF INSTRUCTION. Each LRT system shall adopt a program of instruction for all new employees. At least every two (2) years a refresher course on the meaning and application of the carrier's operating rules shall be provided. Records showing compliance with this requirement shall be maintained for four (4) prior calendar years.

13.04 PROGRAM OF OPERATIONAL EVALUATIONS. Each LRT system shall periodically conduct operational evaluations and inspections to determine the extent of compliance with the carrier's operating rules, Vehicle Code, timetables, special instructions, and other applicable property rules and procedures. Records of evaluations and inspections shall be maintained for two (2) calendar years.

13.05 PROCEDURES FOR TRANSPORTING PROPERTY. Each LRT system shall establish procedures to ensure that property carried on LRVs meets the requirements for transportation of property in Title 13, Section 1216 of the California Administrative Code.

* * *

14. INSPECTIONS, TESTS, AND MAINTENANCE

14.01 SYSTEM ACCESS BY COMMISSION REPRESENTATIVES.

Representatives of the Commission shall be allowed to enter upon the property and onto any LRV or streetcar for the purpose of determining compliance with Commission rules, making tests, and inspecting records.

14.02 DUTY OF LIGHT-RAIL TRANSIT SYSTEMS. Every carrier, its representatives, LRV operators and other employees, shall afford representatives of the Commission all reasonable opportunity and facilities, to make such inspections and tests as provided for in this part.

14.03 OPERATOR RECORDS. Every LRT system shall maintain records of operator qualifications, training, testing, and other records showing compliance with this general order, the Vehicle Code, and other applicable regulations. Such records shall be maintained for the prior four (4) calendar years.

14.04 LIGHT-RAIL VEHICLE MAINTENANCE PRACTICES AND RECORDS. Every LRT system shall institute systematic inspection and maintenance practices for LRVs on a mileage, hourly or other periodic basis. LRT systems shall require that all LRVs, and all required accessories on LRVs, shall be inspected and maintained so that they are in safe working condition. An inspection and maintenance record shall be maintained for each LRV and kept on file for the four (4) prior calendar years.

14.05 TRACK MAINTENANCE PRACTICES AND RECORDS. Every LRT system shall establish a track maintenance and inspection program. The Federal Railroad Administration (FRA) track safety standards contained in Section 213.9 of sub-part A and all of sub-parts B, C, D, and E as published by the FRA in Title 49, Chapter II, Part 213 of the Code of Federal Regulations shall be used as a guideline to establish minimum safety standards and inspection intervals. When alternative safety standards and inspection intervals used are less stringent than those contained in Title 49, they shall be filed with the Commission. Records of periodic track inspections showing defects and deviations from the adopted standards along with the corrective action taken shall be kept on file for the four (4) prior calendar years.

14.06 TRACTION POWER SYSTEM INSPECTIONS AND RECORDS. Each LRT system shall adopt a traction power system (TPS) maintenance and inspection program. Records of TPS maintenance and inspection activity, including any defects or deviations from the adopted standards, shall be kept on file for four (4) prior calendar years.

* * *

**15. REQUIREMENTS FOR REPORTING AND INVESTIGATING ACCIDENTS
AND UNACCEPTABLE HAZARDOUS CONDITIONS**

The requirements for reporting and investigating accidents and unacceptable hazardous conditions are described in General Order 164-Series.

* * *

16. MISCELLANEOUS REPORTING REQUIREMENTS

16.01 SIGNAL FAILURE REPORTS. Every LRT system shall report each failure of a signal, signal appliance, crossing warning device, or other control system that results in a false proceed or other unsafe indication that is hazardous to the movement of LRVs, streetcars, trains, or motor vehicles. The report shall be made within five business days after the failure occurred.

16.02 PLANS AND SPECIFICATIONS. As soon as an LRT system has developed plans and specifications for construction of a line, route, extension, or realignment of a line or route, copies shall be filed with the Commission.

If required, the filing shall include fire protection requirements which have been established by an engineering analysis of fire hazards and fire risks as provided for in Part 11 of these rules and regulations.

All final construction drawings, train protection and traction power plans, LRV drawings, track-work plans, and technical specifications shall be submitted to the Commission prior to the time the respective contracts are awarded or construction is started on any aspect of work covered by the plans and specifications.

All plans, drawings, and engineering documents shall be prepared under the responsible charge of a qualified engineer and each plan shall show the name and branch of engineering of the engineer responsible for it.

Dated January 20, 2000, at San Francisco, California.

**PUBLIC UTILITIES COMMISSION
STATE OF CALIFORNIA**

By **WESLEY M. FRANKLIN**
Executive Director

TABLE 1. MAXIMUM PERMITTED SPEEDS FOR LIGHT-RAIL TRANSIT SYSTEMS

9.04 Alignment Classification	Crossing or Intersection Control	Train Protection	Maximum Permitted Speed	Notes
a. Exclusive	Not Applicable	ATP & ATS	No Limit	1
	Not Applicable	ABS Only	55 MPH	
	Not Applicable	None Required	45 MPH	
b. Semi-Exclusive	(1) Between Crossings	Train Protection & Maximum Permitted Speed as for Alignment Classification 9.04, a, above		
	(2) At Crossings			
(1) Fenced Right-of-Way with At-Grade Crossings	Flashing Lights & Gates	ATP & ATS	No Limit	1
	Flashing Lights & Gates	ABS Only	55 MPH	
(2) Street Median or Side Alignment with 6" Curb & Fence	Flashing Lights & Gates	None Required	45 MPH	2, 3
	Traffic Signal or Other Device	None Required	See Footnote 3	
(3) Street Median or Side Alignment with 6" Curb	(1) Between Crossings	None Required	Legal Speed of Parallel Traffic + 10 MPH	2, 5
	(2) At Crossings	None Required	Legal Speed of Parallel Traffic + 10 MPH	
(4) Mountable Curb or Transit Lane	(Side Alignment Only)	None Required	Legal Speed of Parallel Traffic But not to Exceed 35 MPH	2
	Traffic Signal or Other Approved Device	None Required	Legal Speed of Parallel Traffic But not to Exceed 35 MPH	
c. Non-Exclusive (1) Mixed Traffic	Traffic Signal or Other Approved Device	None Required	Legal Speed of Parallel Traffic But not to Exceed 35 MPH	2
	Traffic Signal or Other Approved Device	None Required	Legal Speed of Parallel Traffic But not to Exceed 35 MPH	
(2) Pedestrian Mall	Traffic Signal or Other Approved Device	None Required	Legal Speed of Parallel Traffic But not to Exceed 35 MPH	4
	Traffic Signal or Other Approved Device	None Required	20 MPH	
<p>Notes: 1) Speed is limited only by vehicle or alignment characterization. 2) Provided adequate stopping sight distance is available. 3) Traffic signal or other approved device at crossings on 9.04, b, (1) right-of-way may be authorized only in special locations, where speeds do not exceed 35 MPH. 4) Lower speed may be required for malls paved flush with the tracks. 5) Maximum speed 55 MPH unless ATP & ATS are provided. Maximum speed 45 MPH unless ATP is provided.</p>				

ATTACHMENT 5

DEPUTY DIRECTOR PAUL KING'S LETTER MARCH 7, 2014

PUBLIC UTILITIES COMMISSION

505 Van Ness Avenue, Suite 2
SAN FRANCISCO, CA 94102



March 7, 2014

Mark Lonergan
Chief Operating Officer
Sacramento Regional Transit District
1400 29th Street
Sacramento, CA 95812

Subject: LRV Speeds into Sacramento Regional Transit District (SRTD) Stations

Mr. Lonergan,

CPUC staff (Staff) has noted that Light Rail Vehicle (LRV) speeds into SRTD passenger stations have routinely exceeded the speed limit specified in General Order 143-B, Section 7.05.

7.05 SPEED PERMITTED ON PEDESTRIAN MALLS. Maximum LRV speed permitted on a promenade, pedestrian walk, concourse, mall, or plaza, which is closed to motor vehicles but where pedestrian movement across the tracks is authorized, is twenty (20) miles per hour unless otherwise restricted (see Table 1 on page 27).

The speed limit requirements for LRVs into a station, which is closed to motor vehicles but where pedestrian movement across the tracks is authorized, is twenty (20) miles per hour unless otherwise restricted. Our interpretation of the GO requirements is that Section 7.05 is applicable to SRTD stations. The layout of SRTD stations meet the language in Section 7.05 and SRTD procedures specify no specific speed limit into these stations by SRTD operators.

Additionally, Staff inquiries indicate that SRTD does not have a current documented training curriculum that addresses the issue of speeds into stations. It is our understanding that SRTD relies on the experience of its operators to determine appropriate speeds when arriving at its stations. This results in a wide range of operating speeds at these locations. This was evident during Staff field observations, where staff noted a variety of speeds into the stations, and in a majority of those observations the speeds were in excess of 30 mph. Without an SRTD prescribed speed into stations, SRTD operators can enter a station at speeds that exceed the safe braking distances of SRTD LRV's. Where pedestrian movement across the tracks is authorized, and with pedestrian traffic moving freely over the track way at SRTD stations, it is imperative that SRTD operate into these stations with the ability to identify an immediate concern and have the capability to control the LRV consistent with that concern. There is no doubt that limiting speeds into stations, gives the SRTD operator a greater opportunity to stop

short of an immediate concern or provide audible warning sufficient to address a concern regarding a pedestrian fouling or potentially fouling the tracks.

Please immediately require operators to comply with Section 7.05 speeds at stations where pedestrian movement across the tracks is authorized.

It is Staff's intention to enforce General Order 143-B, Section 7.05 at all SRTD stations that are closed to motor vehicles but where pedestrian movement across the tracks is authorized. SRTD's speed at the time the lead LRV arrives at the leading edge of the station should not exceed 20 MPH. However, Staff will take into consideration the time needed to train operators when it begins enforcing 7.05, as long as SRTD is training its operators expeditiously in good faith.

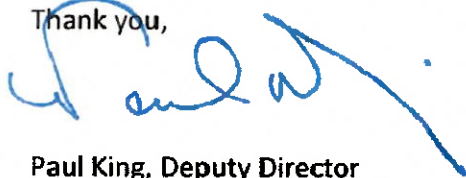
There may have been differing prior informal interpretations of Section 7.05, but we do not agree with those interpretations or the appropriateness of making those interpretations without Commission approval. We base our interpretation on the plain meaning of the language and the risks manifest at these types of pedestrian access.

Staff has these additional recommendations to assure SRTD achieves and maintains compliance with the GO 143-B Section 7.05 requirements:

1. SRTD should provide immediate training to all operational personnel, so that all SRTD employees responsible for train movement are familiar with the GO 143-B 20 MPH speed requirement into SRTD stations.
2. SRTD should modify its training curriculum and rule books to reflect the General Order 143-B requirements.
3. SRTD should conduct focused observations on operators to ensure they are complying with General Order 143-B reduced speed requirements under Section 7.05.

Please contact Staff or me if you have any questions.

Thank you,



Paul King, Deputy Director
Office of Railroad Safety
Safety and Enforcement Division

ATTACHMENT 6

**ACTING SED DIRECTOR DENISE TYRELL'S LETTER
OF JANUARY 15, 2015**

PUBLIC UTILITIES COMMISSION

505 Van Ness Avenue Suite 2
SAN FRANCISCO, CA 94102



January 15, 2015

Mark Lonergan
Chief Operating Officer
Sacramento Regional Transit District
1400 29th Street
Sacramento, CA 95812

Subject: Enforcement of 20-mph light rail vehicle (LRV) speed limit in Sacramento Regional Transit District (SRTD) passenger stations.

Dear Mr. Lonergan,

This concerns the Safety and Enforcement Division's (SED) decision regarding the correspondence, meetings, and discussions between SED staff (Staff) and SRTD regarding SRTD's LRV speeds in passenger stations. In summary, we have considered your responses, but remain steadfast in our interpretation of the applicable regulation, General Order 143-B, Section 7.05, as well as our safety analysis, that 20 mph should be the limit for LRVs in passenger stations.

In Staff's discussion with you this week, you indicated that while you would implement a 20-mph limit immediately, until operators had about 30 days of training with this limit you felt you could not be confident enough to subject SRTD to CPUC testing and enforcement, and any penalties that might be imposed, even though SRTD would be making a good faith effort to comply. I appreciate the fact that you will impose the limit immediately and agree that a 30-day training period – until February 15, 2015 – should be reasonable.¹

Additionally, I recommend that LRVs sound an audible warning (e.g., gong) approaching and traversing station platforms. I will ask Staff to discuss this with SRTD and other rail transit agencies with similar station configurations to assess whether audible warnings are optimally being utilized, and if not, to discuss what steps should be taken.

Please contact Paul King, SED Deputy Director, at (415) 703-2408 or paul.king@cpuc.ca.gov, or Daren Gilbert, Program Manager, Rail Transit Safety Branch, at (916) 928-6858 or daren.gilbert@cpuc.ca.gov, if you have any questions.

Thank you,

A handwritten signature in cursive script, appearing to read "Denise Tyrrell".

Denise Tyrrell, Acting Director
Safety and Enforcement Division

¹ See Resolution ST-163, p. 2. <http://docs.cpuc.ca.gov/ResolutionSearchForm.aspx>

ATTACHMENT 7

**SACRAMENTO REGIONAL TRANSIT DISTRICT
NOTICE LR-15-046 A**



LIGHT RAIL

DEPARTMENT NOTICE

DATE: January 16, 2015

TO: All Light Rail Personnel

RE: Station Entry Speed

APPLICABLE TO: All Sections

The California Public Utilities Commission (CPUC) has recently changed their interpretation of General Order 143-B Section 7.05 which addresses the maximum speed allowed while on Pedestrian Malls. Under this reinterpretation, the CPUC now considers ALL of RT's passenger stations to be subject to this 20 m.p.h. maximum speed limitation. As a result of this interpretation by the CPUC, the following rules are effective immediately:


The maximum allowable speed upon entry to, and while traversing the length of a station platform, is limited to 20 mph.

The gong will be sounded continuously upon approach to a station and while traversing the length of the station until stopped at the mini-high platform.

Entrance to a station is defined as when the operating cab has broken the plane of the station platform or the outside end of the mini-high ramp in the opposing direction of travel.

Operators are reminded that Rule 2.25 entrance into an occupied station and Rule 3.41 emergency use of the horn are still valid and in effect.

While these changes by the CPUC are an attempt to increase safety and passenger awareness within a station area, it is important to receive feedback from operators as to the effectiveness of these changes. To assist in evaluating this aspect of the changes all operators are requested to report any emergency braking or other close calls, occurring within a station, to the controller.

Signature	Notice Number	Duration of Notice	Removal Date
 Director, Light Rail	LR-15-046 A	Permanent	N/A

ATTACHMENT 8

OP032718 WITH FOUR FINDINGS OF EXCESSIVE SPEED

California Public Utilities Commission

Rail Transit Safety Branch

Inspection/Citation Form



Type Of Inspection

Joint Inspection

Unannounced Scheduled

RTA

RTA Contact

Date Field

Address

City State Zip Code

Time Field

Contacts E-mail Address

Personnel Present

Name	Title	E-mail
Debbie Dziazio	CPUC Senior RTOSS	Debra.Dziadzio@cpuc.ca.gov
Richard Fernandez	CPUC Operations Inspector	Richard.Fernandez@cpuc.ca.gov
Michael Rose	CPUC Operations Inspector	Michael.Rose@cpuc.ca.gov

CPUC Representative

Submitted By

Inspection Location

Mile Post	CPUC or DOT Crossing #	Signal #	Switch #

Station or Facility Name

-FINDINGS OF NON-COMPLIANCE-

If findings are noted, RTSB requires a written Corrective Action Plan (CAP) be submitted to Staff within **30 days** of receiving the Inspection Report.

Documents Attached - Please click on the paperclip to the bottom left of the form to access documents.

Finding #1 Excessive speed into stations

Description

See 'Comments Risk/Management' section below.

Finding #1 Applicable Rule or Regulation

GO 143-B Section 7.05, SRTD Rule Book 5.4

Finding #1 Recommendation

Comply with speed restrictions as outlined in SRTD Rule Book, rule 5.4 and CPUC General Order 143-B, Section 7.05.

Finding #1 Closed

Citation Recommended

Finding #2

Description

Finding #2 Applicable Rule or Regulation

Finding #2 Recommendation

Finding #2 Closed

Citation Recommended

Finding #3

Description

Finding #3 Applicable Rule or Regulation

Finding #3 Recommendation

Finding #3 Closed

Citation Recommended

Finding #4

Description

Finding #4 Applicable Rule or Regulation

Finding #4 Recommendation

Finding #4 Closed

Citation Recommended

Comments/Risk Management

CPUC Staff conducted LRV speed checks on SRTD Blue and Gold Lines. At 09:10 CPUC Staff boarded River College/Cosumnes Train, LRV#125/119. CPUC Staff noted the following:

Compliance at 12th and I curve ~10mph, and K and 7th ~10mph.

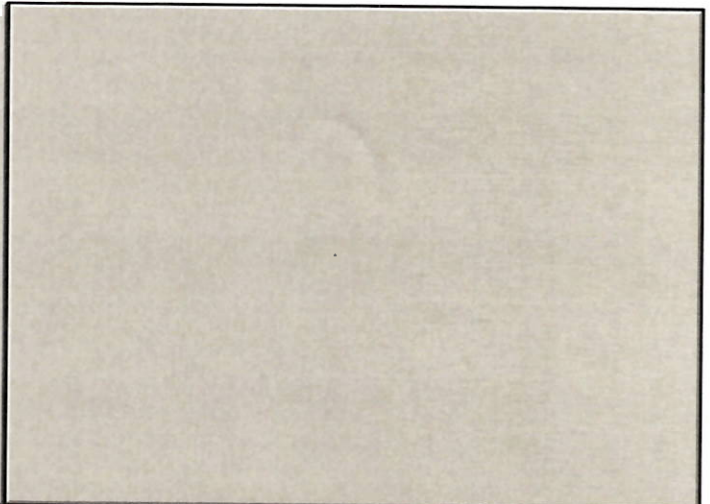
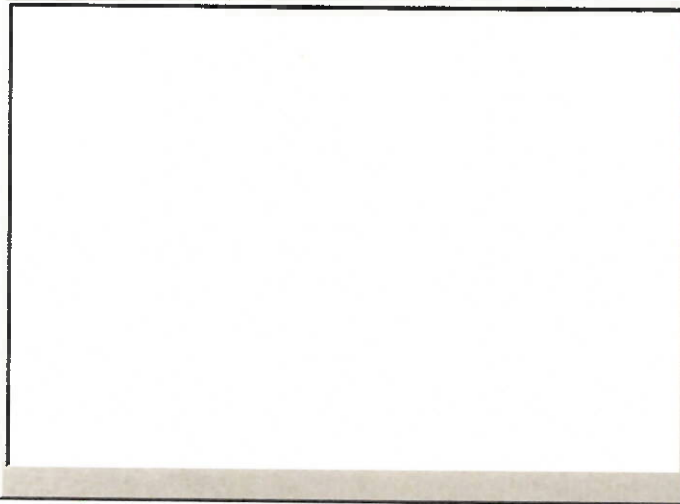
Non-Compliance with the following: Train speed into Swanston Station ~25mph, Train speed into Royal Oaks Station ~25mph, Train speed into Arden/Del Paso Station ~23mph, Train speed into Globe Station ~22mph.

CPUC Staff learned from Supervisor at Control Center, Operator #3964 was at the control of LRV#125/119 during these events.

Noted compliance observations:

CPUC Staff observed at 09:36 LRV#227, Downtown Train and at 09:42 LRV#180, Watt/I-80 Train, both applied gong 2 times before departing station.

At 10:45 CPUC Staff rode LRV116 from Sunrise Station. Speed into all stations was at 20mph or less, and the operator exhibited smooth operation throughout the entirety of the observation.

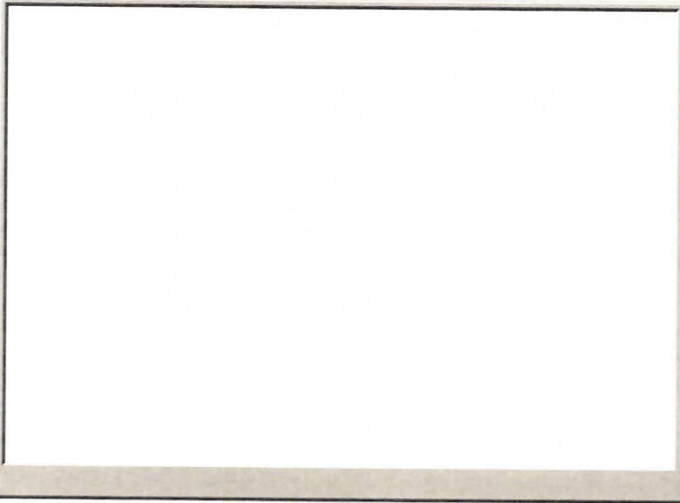


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ATTACHMENT 9

OP051718 WITH FIVE FINDINGS OF EXCESSIVE SPEED

Report # OP051718

California Public Utilities Commission Rail Transit Safety Branch Inspection/Citation Form

Print Form

Form #16
1-29-18 revision.



Type Of Inspection

Joint Inspection

Unannounced Scheduled

RTA

RTA Contact

Date Field

Address

City State Zip Code

Time Field

Contacts E-mail Address

Personnel Present

Name	Title	E-mail
Michael Rose	CPUC Operations Inspector	michael.rose@cpuc.ca.gov

CPUC Representative

Submitted By

Inspection Location

Mile Post	CPUC or DOT Crossing #	Signal #	Switch #

Station or Facility Name

-FINDINGS OF NON-COMPLIANCE-

If findings are noted, RTSB requires a written Corrective Action Plan (CAP) be submitted to Staff within **30 days** of receiving the Inspection Report.

Documents Attached - Please click on the paperclip to the bottom left of the form to access documents.

Finding #1 Excessive Speed into Station

Description

See 'Comments/Risk Management' Section Below:

Finding #1 Applicable Rule or Regulation

GO 143-B Section 7.05, SRTD Rule Book 5.4, SRTD Notice

Finding #1 Recommendation

Comply with speed restrictions as outlined in SRTD Rule Book, rule 5.4 and CPUC General Order 143-B, Section 7.05, SRTD Bulletin dated 1/16/15.

Finding #1 Closed

Citation Recommended

Finding #2

Description

Finding #2 Applicable Rule or Regulation

Finding #2 Recommendation

Finding #2 Closed

Citation Recommended

Finding #3

Description

Finding #3 Applicable Rule or Regulation

Finding #3 Recommendation

Finding #3 Closed

Citation Recommended

Finding #4

Description

Finding #4 Applicable Rule or Regulation

Finding #4 Recommendation

Finding #4 Closed

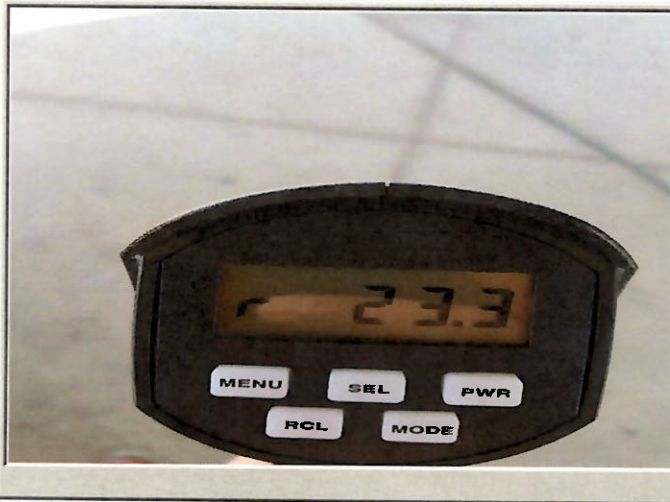
Citation Recommended

Comments/Risk Management

CPUC Staff conducted speed observations using a radar gun on SRTD Gold Line at Glenn Station as a follow up to Inspection Report OP032718. The radar gun calibration was checked before and after the observations to ensure accuracy of speeds. The radar gun was triggered after each LRV passed the handicap platform to ensure the LRV had entered the station. CPUC Staff observed 7 LRV's entering the station in which 5 were found to be in violation. The violating speeds ranged from, 23.3mph to 32.2mph. CPUC Staff briefly spoke with Operators #3627 and 3771, asking if the Operators knew the speed rule entering a station. They both responded, "20mph", and did not know what speed they were operating at while entering the station. CPUC Staff then drove to Academy Way and spoke with SRTD Dir, Light Rail, to deliver the findings, review platform video, and discuss efficiency testing, and compliance observations regarding speeding into stations.

On 5/17/18 CPUC Staff has requested downloads for the LRVs at the approximate times from, 5/17/2018 at the Glenn Station in attached email.

Please see attachments for SRTD Bulletin, CPUC letter to SRTD, past inspections regarding speeding into stations, and e-mail requesting LRV speed downloads.

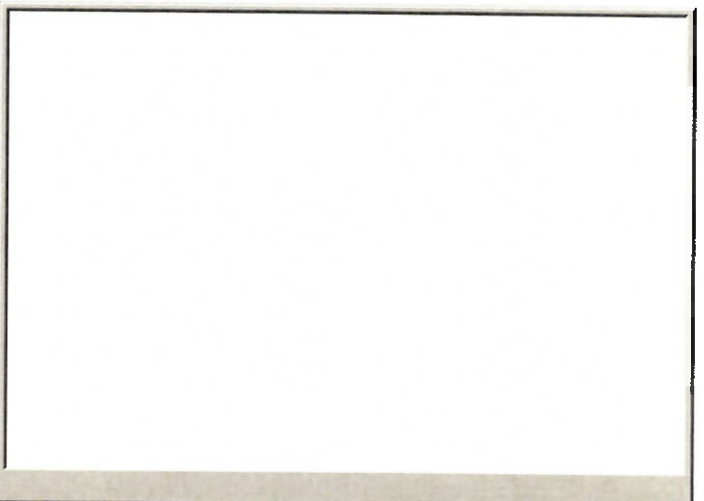


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ATTACHMENT 10

OP072318 WITH FIVE FINDINGS OF EXCESSIVE SPEED

California Public Utilities Commission

Rail Transit Safety Branch

Inspection/Citation Form



Type Of Inspection

Joint Inspection

Unannounced Scheduled

RTA

RTA Contact

Date Field

Address

City State Zip Code

Time Field

Contacts E-mail Address

Personnel Present

Name	Title	E-mail
Michael Rose	CPUC Operations Inspector	michael.rose@cpuc.ca.gov

CPUC Representative

Submitted By

Inspection Location

Mile Post	CPUC or DOT Crossing #	Signal #	Switch #

Station or Facility Name

-FINDINGS OF NON-COMPLIANCE-

If findings are noted, RTSB requires a written Corrective Action Plan (CAP) be submitted to Staff within **30 days** of receiving the Inspection Report.

Documents Attached - Please click on the paperclip to the bottom left of the form to access documents.

Finding #1 Excessive Speed into Station

Description

See 'Comments/Risk Management' Section Below:

Finding #1 Applicable Rule or Regulation

GO 143-B Section 7.05, SRTD Rule Book 5.4. SRTD LR-SOP-12-201

Finding #1 Recommendation

Comply with speed restrictions as outlined in SRTD Rule Book, rule 5.4 and CPUC General Order 143-B, Section 7.05. Review and conduct efficiency testing according to SRTD LR-SOP-12-201.

Finding #1 Closed Citation Recommended

Finding #2 Inattention to Duty

Description

CPUC Staff spoke briefly with each Operator from finding #1 to ascertain if they knew the correct speed entering a station. All Operators acknowledged the 20mph SRTD Rule and understood it when questioned by CPUC Staff.

Finding #2 Applicable Rule or Regulation

SRTD Rule 1.12

Finding #2 Recommendation

Ensure Operators understand job duties and functions as it relates to Public Safety and Operations of an LRV.

Finding #2 Closed Citation Recommended

Finding #3 N/A

Description

N/A

Finding #3 Applicable Rule or Regulation

N/A

Finding #3 Recommendation

N/A

Finding #3 Closed Citation Recommended

Finding #4 N/A

Description

N/A

Finding #4 Applicable Rule or Regulation

N/A

Finding #4 Recommendation

N/A

Finding #4 Closed Citation Recommended

Comments/Risk Management

CPUC Staff conducted an inspection on SRTD Gold and Blue Lines for operating speeds into stations. CPUC Staff conducted this inspection by standing in the forward facing passenger compartment, looking through the LRV cab door window directly at the speedometer as the LRV entered the station. CPUC Staff found 5 willful violations of speed into a station with 3 different Operators. All Operators acknowledged the 20mph SRTD Rule and understood it when questioned by CPUC Staff.

Operator #427 at 26mph, Fruitridge Station at 10:47 Outbound, LRV #219A.

Operator #427 at 28mph, 47th Ave Station. Time was not notated and CPUC Staff spoke with the operator at this station.

Operator #3744 at 27mph, Broadway Station at 12:38 Inbound. CPUC Staff spoke with the operator at the 13 Street Station.

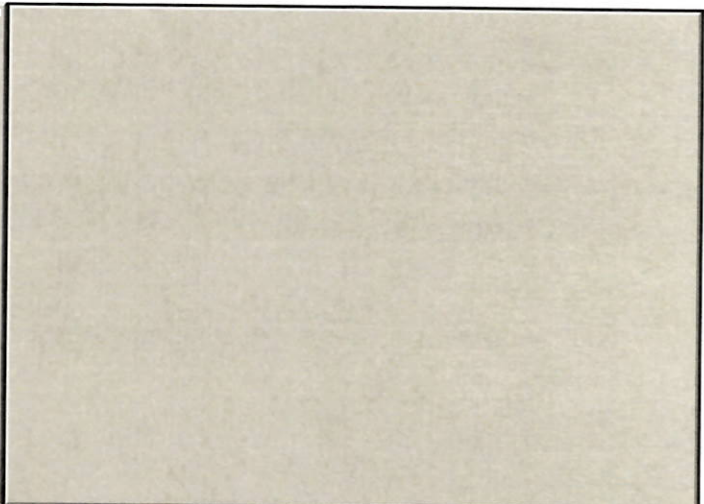
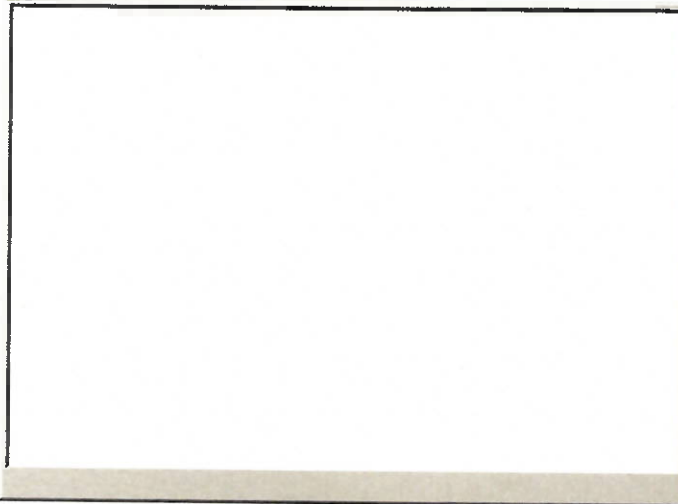
Operator #3615 at 27mph, 39th Street Station at 12:55 Outbound, LRV #218B.

Operator #3615 at 25mph, 59th Street Station Time was not notated and CPUC Staff spoke with the operator at this station.

During a SRTD Records Review on 07/12/18 CPUC Staff notated that SRTD Supervisors have found NO operating speed violations on in the 6 weeks since implementation of the new efficiency testing, SRTD LR-SOP-12-201.

This speed check was performed as a follow-up to CPUC OP060318 and OP051718 Citation Recommended.

CPUC Staff wanted to notify SRTD Personnel of Operator 3852 and the outstanding job of 20mph compliance and providing a very smooth braking operation into the stations. Operator 3852 informed passengers of the delay in front of him causing a pause in service. Operator 3852 remained at the Sunrise Station during this pause, so passengers may exit the LRV during the delay.

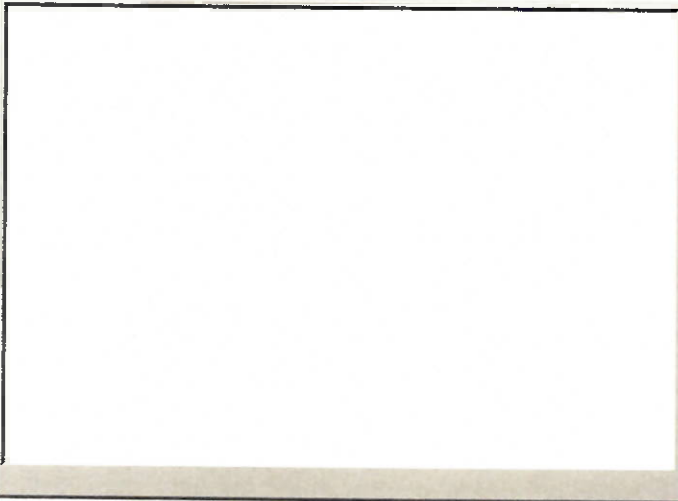


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ATTACHMENT 11

OP100918 WITH SIX FINDINGS OF EXCESSIVE SPEED

California Public Utilities Commission

Rail Transit Safety Branch

Inspection/Citation Form



Type Of Inspection

Joint Inspection

Unannounced Scheduled

RTA

RTA Contact

Date Field

Address

City State Zip Code

Time Field

Contacts E-mail Address

Personnel Present

Name	Title	E-mail
John Darragh	SRTD Operations Superintendent	jdarragh@sacrt.org
Salvador Herrera	CPUC Track Inspector	salvador.herrera@cpuc.ca.gov
Michael Rose	CPUC Operations Inspector	michael.rose@cpuc.ca.gov

CPUC Representative

Submitted By

Inspection Location

Mile Post	CPUC or DOT Crossing #	Signal #	Switch #

Station or Facility Name

-FINDINGS OF NON-COMPLIANCE-

If findings are noted, RTSB requires a written Corrective Action Plan (CAP) be submitted to Staff within **30 days** of receiving the Inspection Report.

Documents Attached - Please click on the paperclip to the bottom left of the form to access documents.

Finding #1

Description

See 'Comments/Risk Management' Below:

Finding #1 Applicable Rule or Regulation

GO 143-B section 7.05 SRTD Rule 5.6 and Rule 5.15

Finding #1 Recommendation

SRTD Operators should be cognizant of reduced speed areas on the line they are operating on and reduce to such speed. SRTD supervision should ensure there employees are following SRTD Rules.

Finding #1 Closed

Citation Recommended

Finding #2

Description

Finding #2 Applicable Rule or Regulation

Finding #2 Recommendation

Finding #2 Closed

Citation Recommended

Finding #3

Description

Finding #3 Applicable Rule or Regulation

Finding #3 Recommendation

Finding #3 Closed

Citation Recommended

Finding #4

Description

Finding #4 Applicable Rule or Regulation

Finding #4 Recommendation

Finding #4 Closed

Citation Recommended

Comments/Risk Management

CPUC Staff conducted a speed inspection with a Rail Master Radar Gun at 65th Street on SRTD Goldline. The radar gun was calibrated on site to specifications outlined in its instruction manual. CPUC Staff found 6 Operators speeding through a 20mph slow order over 65th Street in Sacramento within a 1 hour period. The slow order is in place because of unsecured track at that crossing. #1 LRV 239 at 11:21 inbound 28mph. #2 LRV 202 at 11:51 inbound 25mph. #3 LRV 102 11:57 outbound 26.8mph. #4 LRV 209 at 12:08 inbound 25.9mph. #5 LRV 214 at 12:13 outbound 22.1 mph. #6 LRV 119 at 12:40 inbound 26.3. Pictures are attached to show location of the crossing and the green triangle resume speed markers. This inspection is a follow up to multiple speeding violations and CPUC Inspection Reports on SRTD including a citation recommendation.

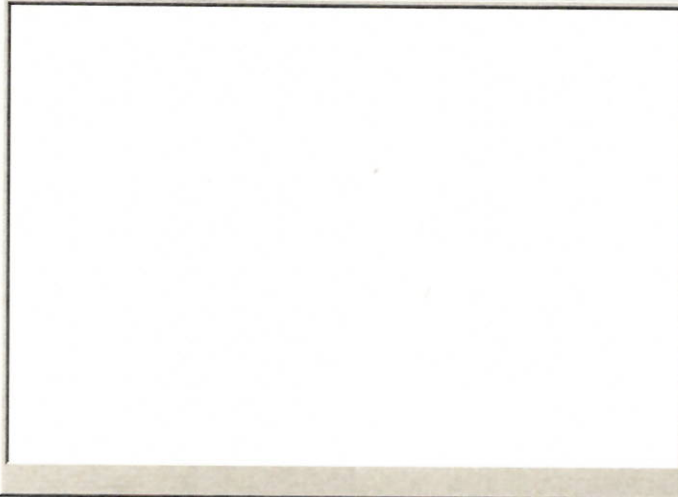


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ATTACHMENT 12

OP011419 WITH THREE FINDINGS OF EXCESSIVE SPEED

California Public Utilities Commission

Rail Transit Safety Branch

Inspection/Citation Form



Type Of Inspection

Joint Inspection

Unannounced Scheduled

RTA

RTA Contact

Date Field

Address

City State Zip Code

Time Field

Contacts E-mail Address

Personnel Present

Name	Title	E-mail
Greg Geach	SRTD Transportation Supervisor	ggeach@sacrt.com
Michael Rose	CPUC Operations Inspector	micahel.rose@cpuc.ca.gov

CPUC Representative

Submitted By

Inspection Location

Mile Post	CPUC or DOT Crossing #	Signal #	Switch #

Station or Facility Name

-FINDINGS OF NON-COMPLIANCE-

If findings are noted, RTSB requires a written Corrective Action Plan (CAP) be submitted to Staff within **30 days** of receiving the Inspection Report.

Documents Attached - Please click on the paperclip to the bottom left of the form to access documents.

Finding #1 Excessive Speed into Station

Description

The speed test was done during inclement weather.

See 'Comments/Risk Management' Below:

Finding #1 Applicable Rule or Regulation

GO 143-B Section 7.05, SRTD Rule Book 5.4

Finding #1 Recommendation

Comply with speed restrictions as outlined in SRTD Rule Book, rule 5.4 and CPUC General Order 143-B, Section 7.05,

Finding #2 Unwilling to Provide Identification to CPUC Staff

Description

See 'Comments/Risk Management' Below:

Finding #2 Applicable Rule or Regulation

CPUC General Order 143-B 14.02 reasonable opportunity and f

Finding #2 Recommendation

Train employees to understand General Order 143-B 14.02

Finding #1 Closed

Citation Recommended

Finding #2 Closed

Citation Recommended

Finding #3 Unwilling to Answer Questions from CPUC Staff

Description

See 'Comments/Risk Management' Below:

Finding #3 Applicable Rule or Regulation

CPUC General Order 143-B 14.02 reasonable opportunity and f

Finding #3 Recommendation

Train employees to understand General Order 143-B 14.02

Finding #4

Description

Finding #4 Applicable Rule or Regulation

Finding #4 Recommendation

Finding #3 Closed

Citation Recommended

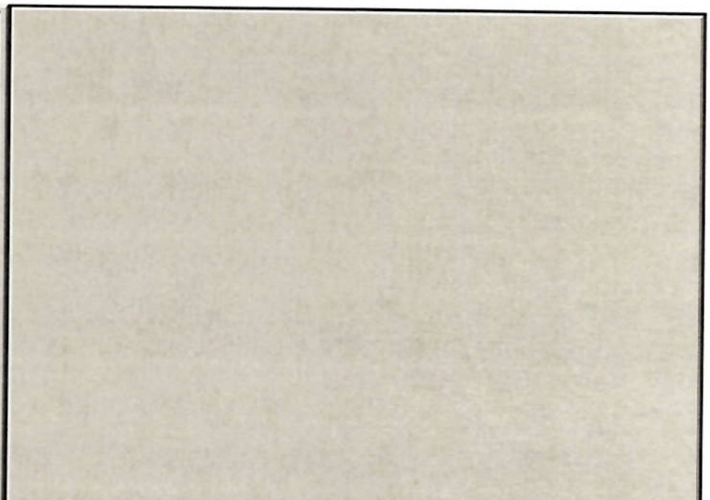
Finding #4 Closed

Citation Recommended

Comments/Risk Management

CPUC Staff Rode Multiple SRTD Lines on various LRV's. CPUC Staff found 3 speeding violations while riding the system: LRV 109A inbound, Operator 734 entered 39th Street Station at 30MPH at approximately 12:42. LRV 220 outbound, entered Mather Station at 23MPH at approximately 13:27. LRV 1228 outbound, entered Cordova Town Center Station at 23MPH at approximately 13:52. CPUC Staff spoke with all three Operators and asked if they are aware of the SRTD Speed into Stations Rule. All three Operators knew the correct speed. CPUC Staff told each Operator of his findings by looking through the LRV cab door window at the speedometer as they entered each station.

CPUC Staff observed LRV 238A outbound, at approximately 16:15 turn the corner at 13th Street Station at an possible higher rate of speed than the required 10MPH. CPUC Staff identified himself at the Station and asked the Operators at the west end of the LRV who was in control. They were uncooperative and in a hurry. LRV 238A crossed over to return on the Green Line and CPUC Staff Identified again, asked the Operators exiting for their SRTD Employee ID's, and if they were in control of the LRV on the outbound direction. The SRTD Employees walked past CPUC Staff and would not give any information. CPUC Staff then boarded LRV238A and asked the SRTD Operators what was the speed around the corner and who was operating the LRV. SRTD Operators directed CPUC Staff to the SRTD Supervisor on the street. CPUC Staff stayed aboard and waited to the end of the line at Richards Station to speak with the Operators. When approached by CPUC Staff again at the Station, the SRTD Operator yelled, "Last Stop", directed at CPUC Staff. CPUC Staff discovered the Operator was training another employee as well while these events took place. CPUC Staff has requested documentation from SRTD System Safety involving the LRV 238 event: SRTD Employee/Supervisor ID numbers, Operator and Student Training Records, SRTD operating qualifications for training students and speed download.

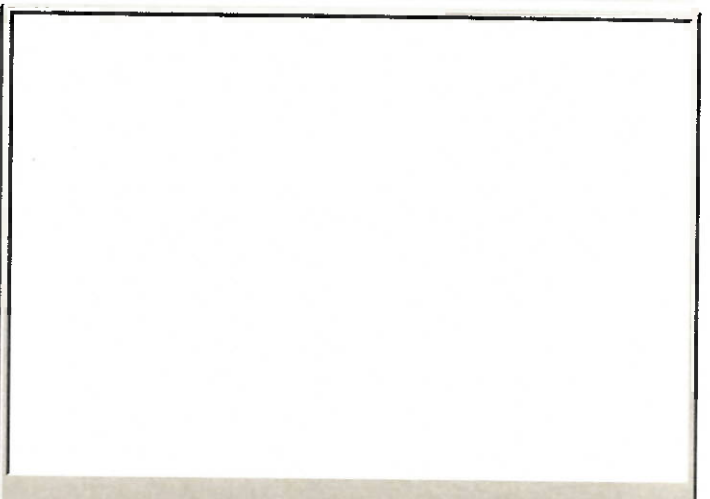
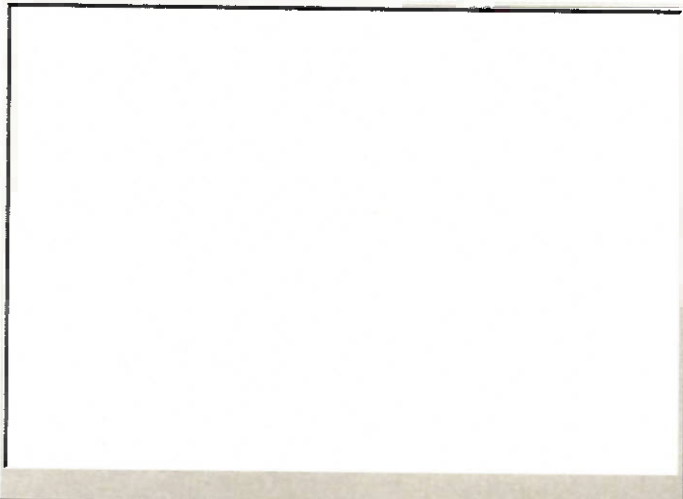


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ATTACHMENT 13

**EMAIL FROM SRTD SAFETY MANAGER CONFIRMING EXCESSIVE SPEED
RELATED TO INSPECTION OP051718, BASED ON THE LRV'S EVENT
RECORDERS DOWNLOAD**

From: Rose, Michael
Sent: Monday, May 21, 2018 11:58 AM
To: Borer, Michael; Dziadzio, Debra
Subject: Fwd: SRTD Inspection 5/17/2018

Sent from my Verizon, Samsung Galaxy smartphone

----- Original message -----

From: Rob Hoslett <rhoslett@sacrt.com>
Date: 5/21/18 11:52 AM (GMT-08:00)
To: "Rose, Michael" <Michael.Rose@cpuc.ca.gov>
Cc: "Dziadzio, Debra" <Debra.Dziadzio@cpuc.ca.gov>, "Ames, Matthew D." <Matthew.Ames@cpuc.ca.gov>
Subject: Re: SRTD Inspection 5/17/2018

Michael,

The event recorder downloads are available if you would like to view them it would be best to meet at 2700 Academy Way. I reviewed the data and confirm it is consistent with your measurements.

Rob Hoslett
 Chief, Environmental Health and System Safety
 916.826.4182

On May 17, 2018, at 11:10 PM, Rose, Michael <Michael.Rose@cpuc.ca.gov> wrote:

Mr. Hoslett,

Today I conducted speed observations using a radar gun on the Gold Line at the Glenn Station. The radar gun was triggered after each LRV passed the Handicap platform to ensure the LRV had entered the platform. 7 LRV's passed the platform and 5 were found in violation. The violating speeds ranged from 23.3mph to 32.2mph. I briefly spoke with 2 operators, #3627 and 3771 and asked if they knew what the speed limit is entering a station? They both responded, "20mph", and did not know what speed they were operating at while entering the station. I immediately drove to Academy Way and spoke with John Darragh to ensure SRTD received my findings and review platform video. An inspection report will follow.

I am requesting downloads of the following LRV's at the approximate times from today's date, 5/17/2018 at the Glenn Station:

LRV#	Direction	Approximate Time	Speed by Radar	Operator #
128	Inbound	14:02	24mph	
133	Outbound	14:16	29mph	3627
	Inbound	14:31	23.3mph	3627
237	Outbound	15:16	32.2mph	3771
202	Inbound	15:32	24.9mph	3771

Please inform me when the downloads are available to view.

Sincerely,

Michael Rose
Associate Transportation Operations Supervisor
California Public Utilities Commission
Michael.Rose@CPUC.CA.GOV
(916)215-9422

ATTACHMENT 14

**CERTIFICATE OF SERVICE FOR INSPECTION
CITATION #RTSB 19-02-001**

CERTIFICATE OF SERVICE

I hereby certify that I have on this date served a true copy of
INSPECTION/CITATION #RTSB 19-02-001 to the party by United States mail or
electronic mail as shown below:

Henry Li
General Manager/Chief Executive Officer
Sacramento Regional Transit District
1225 R Street
Sacramento, CA 95811
hli@sacRT.com

Executed on **February 15, 2019** at San Francisco, California.

/s/ **IMELDA EUSEBIO**

Imelda Eusebio