

Safety and Enforcement Division



Monthly Performance Report

October 2017

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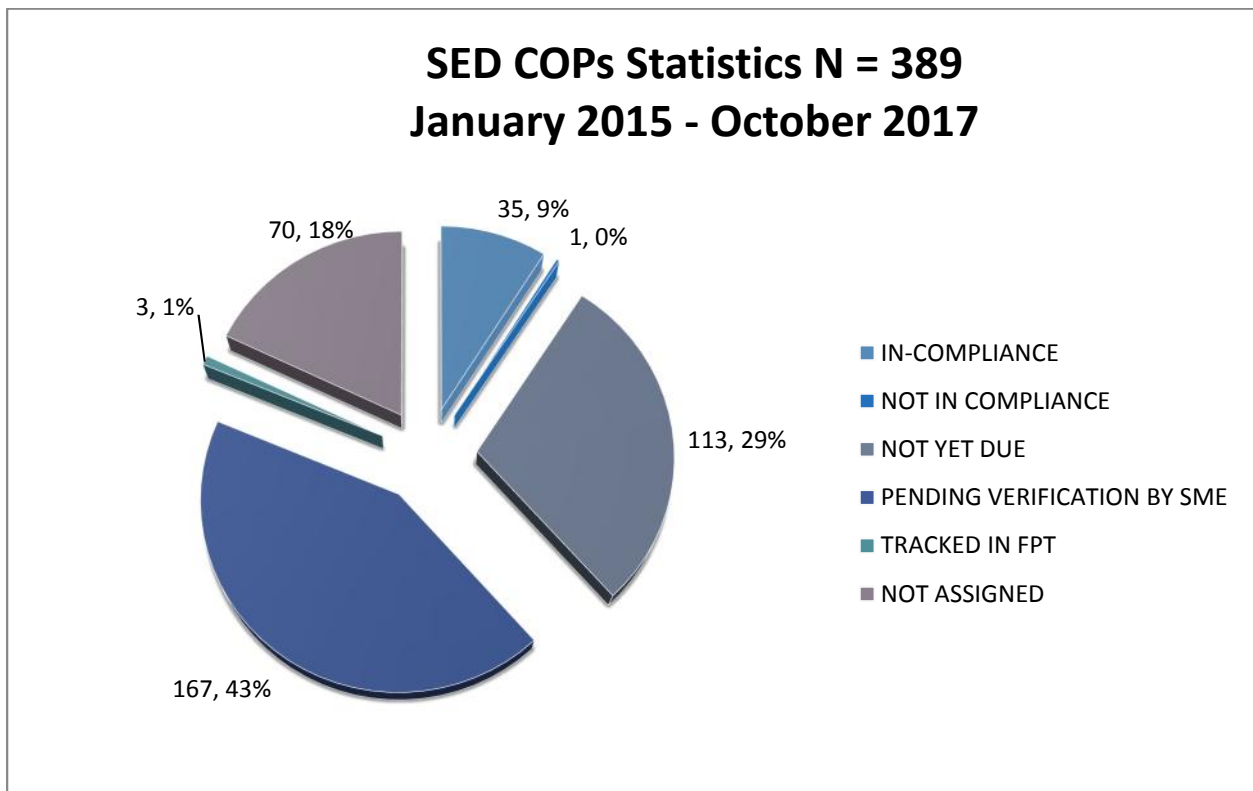
This Report has not been approved or disapproved by the CPUC.

COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through October 31, 2017, SED shows 389 total entries in the COPS system; with 35 reaching compliance (9%), 113 (29%) not yet due for compliance, and 1 (<1%) currently remaining out of compliance. The remaining 240 (61%) are either pending verification or have not yet been assigned.

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

Note, the category of “tracked in financial payment tracker” (FPT) has been verified and has been deemed “in compliance” but is listed separately in the COPS tracker.



NATURAL GAS SAFETY PROGRAM

STAFF CITATION PROGRAM

Citation Number	Utility	Amount	Violations	Date Cited	Appealed	Status
D.16-09-055 G.17-05-001	Southwest Gas	\$ 200,000	192.1007 (c)	6/1/2017	Yes	SWG Appealed Citation, SED was approached on Settlement. SED is Awaiting Hearing. Proceeding No. K.17-07-002
Total Cited 2017		\$ 200,000				

INSPECTIONS

2017 Inspections: GSRB has conducted 65 scheduled inspections in 2017 and has completed the final inspection report for 51 of these 65 inspections during 2017.

INCIDENT INVESTIGATIONS

As of October 31, 2017, GSRB Staff received 247 incidents year to date. 157 of the 167 (94%) of the 2016 incident investigations are completed. Metrics on 2017 Incident Investigations:

TOTAL reported in 2017	247	Percent
Open	196	79 %
Closed	51	21 %

The CY 2017 incidents¹ are categorized as follows:

- 148 – Level 1 incidents
- 84 – Level 2 Incidents
- 8 – Level 3 Incidents
- 7 – Level 4 Incidents

UTILITY SELF-IDENTIFIED VIOLATION (SIV) INVESTIGATIONS

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

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

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

NATURAL GAS RELATED PROCEEDINGS

- **Distribution Record Keeping (I.14-11-008) (Commissioner Peterman/Lirag) (Advocacy):** Decision 16-08-020 was issued on August 18, 2016, which ordered Pacific Gas and Electric to pay a fine of \$25,626,000 for several violations of General Order 112 and the Public Utilities Code. The decision also ordered PG&E to convene, support and report no later than 120 days after the effective date of the order a meet-and-confer process to develop additional remedial measures necessary to address the issues identified in the decision. Staff from GSRB attended two meet-and-confer sessions and submitted comments on PG&E's draft compliance plan, which was filed in the docket on December 16, 2016. Though closed by the decision, the proceeding was reopened based on SED's pending application for rehearing submitted on September 26, 2016. On October 26, 2017, the Commission issued its final decision (D.17-10-023) denying SED's application for rehearing, and modifying D.16-08-020 to correct typographical errors. This proceeding is now closed.
- **Gas Safety OIR (R.11-02-019) (Commissioner Guzman Aceves/ALJ Kersten) (Advisory):** The proceeding amended General Order GO 112-F, made fully effective no later than January 1, 2017. R.11-02-019 was closed in June 2015, however, it was re-opened after various applications for rehearing were filed by intervenors including the Utility Workers Union of America, the Office of ratepayer Advocates and the City of San Carlos. In February 2017, D. 17-02-015 disposed of a joint rehearing request from the San Carlos and ORA. In addition, Pacific Gas and Electric Company filed a petition to modify Decision 15-06-044 on January 31, 2017, on issues related to cost recovery. Disposition of PG&E's petition and UWUA's application is pending. On August 11, 2017, SED filed a subsequent petition to modify D. 15-06-44, seeking to conform GO 112F to more stringent federal regulations.
- **Mobile Home Parks Pilot Program (Implementing D.14-03-021) (ALJ Semcer/ Commissioner Rechtschaffen):** This decision established a three-year pilot program authorizing each California investor-owned utility to convert 10% of master-metered gas and/or electric Mobile Home Park spaces within its operating territory to direct utility service. The Pilot Program began on January 1, 2015, and will continue through 2017. San Diego Gas & Electric Company (U902M) filed A.17-05-008/ A.17-05-007 for Approval to Extend the Mobilehome Park Utility Upgrade Program. Program will now be extended.
- **Citation Program OIR (R.14-05-013) (President Picker/ALJ Burcham) (Advisory):** Decision 16-09-055 was issued on September 29, 2016. Some key points are listed below:
 - An administrative limit of no more than \$8 million for each citation.
 - Utility reporting of self-identified potential violations is voluntary.
 - Utilities need not notify city and county officials of a self-identified potential violation unless staff requires it.However, the status of R.14-05-013 became "reopened" when on February 21, 2017, Senator Jerry Hill issued a petition for modification, requesting that the Commission modify the decision so as to keep in place, rather than weaken, the mandatory reporting requirements that were imposed under ALJ-274. In March, several parties filed comments to Senator Hill's request, and Hill filed reply comments in April. The matter is pending.

- **Pipeline L-1600 Replacement (A.15-09-013) (Commissioner Randolph/ALJ Kersten) (Advisory):** The Pipeline Safety & Reliability Project, involves replacing existing Line 1600 with a new and larger gas transmission pipeline (Line 3602). The goal is to address the pipeline safety requirements for the existing Line 1600 and expand the capacity of the SDG&E's gas transmission system. October 3, 2017, the remaining portions of evidentiary hearings took place and concluded in San Francisco. Witnesses from the Office of Ratepayer's Advocates (ORA) and the Utility Consumer's Action Network (UCAN) were cross-examined. SED staff also attended the hearing. On October 13, 2017, the ALJ granted the SDG&E and SoCalGas' amended motion to seal the cultural information, but not the amended motion to seal the GIS files. During the hearings on October 3, 2017, ALJ Kirsten instructed parties to meet and confer regarding developing a PHMSA interpretation request package and providing it to the service list by October 23, 2017, which SoCalGas/SDG&E, ORA and SCGC did. However, the parties requested an extension for the package submittal to October 31, 2017, which the ALJ subsequently granted. On October 31, 2017, the package was provided to the service list.
-

ELECTRIC SAFETY AND RELIABILITY PROGRAMS

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

Pacific Gas & Electric's 2017 Fire Siege: In October 2017, a series of wildfires devastated many counties in Northern California. At the peak of the fires, there were 21 major wildfires that, in total, burned over 245,000 acres, 11,000 firefighters battled the destructive fires that at one time forced 100,000 to evacuate, destroyed an estimated 8,400 structures, and sadly, took the lives of 42 people. SED investigatory teams have been assigned and have visited the sites of affected areas to examine evidence related to PG&E's facilities. SED is currently working closely with CAL FIRE to investigate PG&E's and communications companies' compliance with the Commission safety rules.

ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM

In October 2017, Electric Safety and Reliability Branch:

- Received 22 electric facility incident reports and closed seven previously reported electric facility incident investigations;

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- Investigated 20 customer safety and reliability complaints;
- Performed two Electric Distribution audits; and
- Issued one Notice of Violation (NOV) letter/report.

Metrics for Facility Incident Investigations as of October 31, 2017

Electric and Communication Facilities	Level 1	Level 2	Level 3	Level 4	Total ²
Total open incidents	9	15	64	34	122
Total incidents reported in 2017	12	17	60	30	119
Total incidents closed in 2017	12	21	23	33	89
Total open 2017 incidents	9	11	55	24	99
Incidents reported in October 2017	1	0	20	1	22
Incidents closed in October 2017	0	4	3	0	7

ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS

- **Investigation into Long Beach Incident (I.16-07-007) (President Picker/ALJ Cooke)(Advocacy):** Decision 17-09-024 adopting Settlement Agreement between Southern California Edison and the Safety and Enforcement Division was approved on September 28, 2017. Under the settlement, SCE will pay a \$4 million penalty and spend \$11 million on various system enhancement projects intended to reduce the chance of public injury, reduce the risk of future system failures, and to improve the utility's operational awareness and network maintenance. ESRB is currently monitoring SCE's work to ensure compliance with the settlement agreement.
- **Creation of a Shared Database or Statewide Census of Utility Poles and Conduit (R.17-06-028); Communications Provider Access to Poles (I.17-06-027); Competitive Local Exchange Carrier Wireless Facilities on Poles (R.17-03-009) (Commissioner Picker/ALJ Mason/ALJ Kenney)(Advocacy):** On June 29, 2017, the CPUC voted to consolidate R.17-03-009 with the new R.17-06-028 and I.17-06-027. ESRB staff will be advocacy in the consolidated proceeding. On September 25, 2017, ESRB staff filed reply comments to opening comments and prehearing conference statements of parties for Phase I of the OIR.
- **Fire Safety Rulemaking (R.15-05-006) (President Picker/ALJ Kenney/ALJ Kao) (Advocacy):** D.16-05-036 adopted Fire Map 1, which depicts areas of California with an elevated hazard for the ignition and rapid spread of fires. In January 2017, D.17-01-009 adopted a work plan for completing Fire Map 2 and developing potential new fire safety rules. In June, the Commission adopted D. 17-06-024 deleting Shape C and setting a new due date

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

for completing Fire Map 2 by November 27, 2017. The work regarding the development of specific fire safety regulations applicable to the forthcoming fire map depicting the “High Fire Threat District” is complete. Party mapping experts and an independent group of mapping experts, led by CAL FIRE, are working to finalize the fire map, with an anticipated completion in the fourth quarter of 2017. The Peer Development Panel (PDP) provided an update on progress and deliverables for the fire map project in the monthly status update teleconference. The PDP also served information in response to an ALJ request regarding some specifics about the pending map, in comparison with the interim maps currently in GO 95.

- **Proceeding to Consider Amendments to GO 95 (R.17-10-010) (Commissioner Picker/ALJ Mason/ALJ Goldberg) (Advocacy):** As directed in D.16-01-046, SED filed P.17-03-004 to adopt, amend, or repeal rules in GO 95. In response to SED’s petition, the Commission opened R.17-10-010 in October 2017, to consider the amendments discussed in SED’s petition. Opening Comments and Prehearing Conference Statements are due in November.
- **Repealing/amendments to Rule 18 OF GO 95 (R.16-12-001) (President Picker/ALJ Kenney) (Advocacy):** In response to an SED petition for rulemaking, the Commission opened this proceeding to consider amendments to, and possible repeal of, Rule 18 of GO 95. On October 6, 2017, SED and a majority of parties filed a joint motion requesting that the Commission adopt the attached Settlement Agreement. Replies to the joint motion were filed on October 30, 2017.
- **Physical Security of the Electric System (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly) (Advocacy):** Phase I will address physical security for electric supply systems, and additional phases will address disaster and emergency preparedness plans for electrical corporations and regulated water companies. On September 14, ESRB submitted comments on the joint utilities’ straw proposal for physical security regulations. On September 29, ESRB participated in the fourth workshop to discuss outstanding issues with parties.
- **Electric Storage Procurement (R.15-03-011) (Commissioner Peterman/ALJ Cooke) (Advisory):** ESRB continues to provide advisory support to help determine best practices related to energy storage, and the proper way to inspect such facilities. On June 2, 2017, ESRB participated in a workshop that was held by the Energy Division and the California Independent System Operator to discuss the Joint Staff Proposal on Multiple-Use Applications for Energy Storage. ESRB will continue to follow, review and evaluate all documents related to safety.
- **Distributed Energy Resources (R.14-08-013) (President Picker/ALJ Mason/ALJ Allen) (Advisory):** On September 28, 2017, the Commission adopted a Decision that addressed Track 1 Demonstration Projects A (Integration Capacity Analysis) and B (Locational Net Benefits Analysis). ESRB will continue to review the issues and provide advisory support.
- **SB 1028 (Hill) “Electrical corporations: wildfire mitigation plans”:** In September 2016, the Governor signed SB 1028, which requires each electrical corporation and each publicly owned electrical utility or electrical cooperative to annually file a wildfire mitigation plan. Additionally, this bill requires the Commission (for electrical corporations) or the

governing board (for publicly owned electrical utilities or electrical cooperatives) to review and to comment on the submitted plans. The Governor's approved budget for FY 17-18 contains three positions in ESRB for this project; ESRB is in the process of initiating a new program dedicated to wildfire mitigation practices.

REPORTS AND OTHER ACTIVITIES

- **Transmission Maintenance Coordination Committee (TMCC):** TMCC is an advisory committee to help the CAISO develop, review and revise Transmission Maintenance Standards. ESRB is a member and attends quarterly meetings, including one in October.
- **CAL FIRE Meeting:** CPUC and CAL FIRE personnel met in September to discuss the execution of the CPUC/CAL FIRE MOU, opportunities for collaborating to support inter-agency goals, and roles and responsibilities of each agency to meet the legislative mandates of SB 1028. Key personnel will be meeting again in the fourth quarter of 2017 to further discuss and create a plan of action.

ELECTRIC GENERATION SAFETY AND RELIABILITY PROGRAM

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

- Staff performed a comprehensive audit of Topaz Solar Farm which is a photovoltaic solar generating facility located in Santa Margarita.
- Continued to work on both the facility audit and an investigation of a fatality incident that occurred on March 6, 2017 at Sentinel Energy Project in North Palm Springs.
- Continued to work on the investigation of an injury incident that occurred on April 8, 2017 at La Paloma Generating Station in McKittrick.
- Continued to work on the investigation of a fire incident that occurred on January 29, 2017 at Delta Energy Center in Pittsburg.
- Monitored seven forced and eight planned outages that were reported by natural gas and renewable power plants.
- Continued to verify the corrective actions that were taken by the Generating Asset Owners (GAO) as a result of the Colusa, Redondo Beach, Mandalay, and High Winds power plant audits for compliance with GO 167 requirements.
- Continued to coordinate with Energy Division on summer reliability monitoring calls with the IOUs to monitor system reliability.
- Staff participated in the CAISO Stakeholder Symposium.
- Continued to work with the Information Technology Department to develop a new web-based outage reporting database which will allow the GAOs to report the outages by directly entering the information into the Power Plant Outage Reports (PPOR) database and will also provide ESRB notifications of major outages. In October, ESRB contacted the GAOs to set up usernames for the GAOs. The PPOR system will become effective in December.

Metrics for Generation Incident Investigations as of October 31, 2017

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

UTILITY RISK ASSESSMENT AND SAFETY ADVISORY

REVIEWING SAFETY & RISK IN GENERAL RATE CASES

On October 6, 2017, San Diego Gas & Electric and Southern California Gas Company each filed their applications for Test Year 2019 General Rate Cases, along with a request to consolidate the two applications into a single GRC proceeding (A.17-10-007/008). Though they have not specifically requested a four-year rate cycle, the Sempra utilities provided analysis for an additional attrition year, projecting costs through 2022.

SDG&E is seeking a \$218 million revenue requirement increase for 2019, for a total \$2.199 billion, with subsequent yearly attrition increases that would raise total revenue to \$2.6 billion in 2022. While the first year increase is 11%, the cumulative total for the four years would represent a 30% increase over current authorization.

As is standard practice, the utility provided a Test Year figure for O&M expenses (\$1.056 billion) and a three-year amount for Capital (\$3.139 billion 2017-2019).

For SoCal Gas, the 2019 increase would be \$480 million, or 19.1% above the current authorized \$2.509 billion—raising the revenue requirement to a total \$2.989 billion. This would continue rising through 2022 for a total \$3.658, a cumulative increase of nearly \$1.150 billion, or 45% higher than currently. O&M in 2019 was projected at \$1.636 billion, and the 2017-2019 Capital budget put at \$3.419 billion.

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

From a risk and safety perspective, this GRC represents the first attempt to translate the Risk Assessment Mitigation Phase (RAMP) approach of identifying and prioritizing key safety risks, and analyzing potential mitigations, into a rate case. Having taken into consideration the evaluation from SED staff (see April 2017 monthly report for details) and comments from intervenors, Sempra's GRC testimony reflects a more considered portfolio of proposed mitigations programs for each of its 28 identified risks and proposed budgets (11 risks for SoCal Gas and 17 for SDG&E, with of these "cross-cutting" or common to both companies).

In its testimonies, Sempra noted some differences in its RAMP elements based on the continuing evolution of its analyses:

- The RAMP used 2015 expenditures as the base year; the GRC uses 2016 actuals;
- Cost estimates are revised in light of new information;
- Several new mitigation opportunities are identified for some risks;
- Overlapping activities and expenditures are removed, so that costs are assigned to a single risk area, not duplicated across several;
- Mitigation programs not subject to CPUC jurisdiction have been removed.

SED anticipates most of these changes will provide a more accurate forecast; however, the removal of non-jurisdictional spending may impact the ability to completely assess Sempra's risk mitigation for such areas as cyber and physical security and high-voltage electric transmission, which are subject to federal ratemaking.

SED has issued a data request to Sempra for further documentation of proposed spending associated with the RAMP programs and for the results of a "2016 Safety Barometer Survey" conducted by the National Safety Council, which was referenced in testimony about corporate safety culture.

Prior to commencement of the formal GRC proceeding – as of this date no prehearing conference has been set – Sempra scheduled public "workshops" on November 1 and November 14, to review aspects of the application and testimony.

Accountability

Also on October 6, Sempra submitted the second version of its safety accountability spending report from the previous GRC. SED is working in cooperation with Energy Division staff to review that filing, with a focus on specific areas of spending identified in the GRC decision (D.16-06-056) and the utilities' progress in developing safety performance metrics that can be used to measure progress in mitigating its identified risks.

PROCEEDINGS

- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ DeAngelis) (Advisory):** A Phase 2 PHC was held August 1, 2017, during which PG&E representatives indicated that they have reviewed the report from consultants NorthStar and concur “with the vast majority” of recommendations contained in the report. PG&E said it has created a “One PG&E Safety Action Plan” that will address the major recommendation for an “enterprise wide” plan, and that it intends to implement some 60 other recommendations as soon as possible. According to PG&E 10 percent are already being implemented, 30 percent will be underway by the end of the year and the remainder will be implemented during 2018. On September 12, 2017, the Commission hosted a workshop during which NorthStar principles were available to answer questions about the findings of the report. A ruling to establish a hearings schedule and scope of testimony is expected in November.
- **Gas Leak Abatement OIR (R.15-01-008) (Commissioner Rechtschaffen/ALJ Kersten) (Advisory):** The Commission on June 15 issued the Phase 1 decision adopting structures and policies for methane leak reporting and reduction activities, in particular formalizing the annual gas leak reporting mechanism, changes to leak reporting templates, and instituting a list of 26 Best Practices for leak detection, quantification and repairs. Parties have submitted the consensus plan and template for Compliance Plans that will be due in March 2018. RASA and staff of the Air Resources Board are conducting their review of the 2016 gas leak survey reports, which were filed June 16, 2017. The report is scheduled for public release November 15. A Scoping Memo for Phase 2 was issued on September 20, establishing a revised schedule. Currently, staff is facilitating a working group to determine safety performance metrics that would be useful for tracking progress in reducing safety risks.
- **SCE 2017 General Rate Case (A.16-09-001) (President Picker/ALJs Roscow & Wildgrube) (Advisory):** Evidentiary hearings wrapped up during the first week of August. No additional issues related to risk or safety were raised during cross-examination of witnesses. Opening briefs were filed September 8, with replies filed September 29.
- **Sempra Utilities 2019 General Rate Case (A.17-10-007/008 consolidated) (President Picker/ALJ Lirag)** The test year 2019 GRC applications were filed October 6, 2017 (see details in GRC section above). SED will be reviewing the testimony to evaluate how the utilities have incorporated elements of the Risk Assessment Mitigation Phase (RAMP) evaluation, and provide ongoing support regarding safety issues.
- **Physical Security of Electric Infrastructure (R.15-06-009) (Commissioner Rechtschaffen/ALJ Kelly) (Advisory)** On August 31, the utilities presented a revised Straw Proposal for Commission consideration. The proposal outlines a process for utilities to assess their distribution-level electrical assets, particularly substations, and to prepare a mitigation plan to reduce vulnerability to physical incursions and/or limit impacts. The process entails vetting by a qualified third-party and review by Commission staff to ensure compliance. A separate but similar review and approval process is contemplated for publicly-owned utilities, with approval of the compliance plans resting with the POU’s

governing bodies, not the CPUC. Following a September 29 workshop to review the utility proposal, SED staff is completing a whitepaper and recommendations for consideration.

- **Safety Model Assessment Proceeding (A.15-05-002, et al) (Commissioner Rechtschaffen/ALJ Kersten) (Advisory):** The Phase 1 Interim Decision to advance this proceeding (D. 16-08-018) determined that the risk scoring models initially proposed by utilities were not adequate and should be supplemented by use of a multi-attribute scoring model that was proposed by stakeholder groups TURN/Indicated Shippers/Electric Producers & Users Coalition. The Phase 2 Scoping Memo was issued on December 13, 2016, establishing a new schedule for the proceeding. Test Drive working groups commenced in mid-January. The two approaches were detailed in filings in mid-October, with workshops held on November 6-7 in San Francisco. Parties have requested a settlement process to reach potential agreement on the risk assessment models.
- **Fire Safety Rulemaking (R.15-05-006) (President Picker/ALJ Kenney/ALJ Kao) (Advisory):** D.16-05-036 adopted Fire Map 1, which depicts areas of California with an elevated hazard for the ignition and rapid spread of fires. D. 17-01-009 adopted a revised work plan and schedule on January 19, 2017. In June, the Commission adopted D. 17-06-024 deleting Shape C and setting a new due date for completing Fire Map by mid-November. In November a proposed decision is expected, addressing a package of changes to General order 95 and other regulations that would apply to the newly designated high-fire threat areas.
- **Undergrounding Rule 20A (R.17-05-010) (Commissioner Picker/ALJ Hecht) (Advisory)** This rulemaking was launched May 11 to review policies and funding mechanisms for the overhead to underground conversion program administered by electric utilities for cities and other jurisdictions. A PHC was held September 11, 2017, and a scoping memo will follow. SED will monitor the proceeding with an interest in adding safety as one of the program eligibility criteria.
- **Utility Poles (I.17-06-027/R.17-06-028) (Commissioner Picker/ALJs Mason and Kenney) (Advisory)** The Investigation and Rulemaking into possible creation of a shared database or statewide census of utility poles and conduit was initiated on June 29, 2017. This proceeding is to consider strategies for increased and non-discriminatory access to poles and conduit by competitive communications providers, the impact of such increased access on safety, and how best to ensure the integrity of the affected communications and electric supply infrastructure going forward. On a parallel track, the Commission will consider rules that would allow broadband Internet access service (BIAS) providers to attach facilities to poles and to use conduit. This proceeding is consolidated with R.17-03-009 that considers whether and how our existing Rights-of-Way Rules should be applied to wireless support facilities (lines and antennas). A PHC will be held December 5, 2017.

MONITORING THE WHISTLEBLOWER WEBSITE

The Risk Section has been overseeing intake for complaints that arrive via a “whistleblower” application on the Commission’s web site. Whistleblower protections are afforded to utility employees and contractors who report potentially unsafe or illegal practices.

STATISTICS - 1/01/17 – 10/31/2017

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

Confirmed or Possible Whistleblower Complaints						
	CAB	Transportation	Electric Safety	Gas Safety	Telco Fraud	Rail
January	0	0	1	0	0	0
February	0	0	0	0	0	0
March	0	1	0	0	0	0
April	0	1	0	1	2	0
May	0	1	0	1	1	1
June	0	1	0	1	0	0
July	0	0	0	0	0	0
August	0	0	1	0	0	0
September	0	1	0	1	0	0
October	0	0	1	0	0	1
Total 2017	0	5	3	4	3	2

Invalid Whistleblower Complaints Converted to Standard Complaints							
	CAB	Transportation	Electric Safety	Gas Safety	Telco/Utility Fraud	Rail	Referred to Outside Agency
January	0	1	0	0	1	1	0
February	0	0	0	0	0	0	0
March	0	0	0	0	0	0	0
April	0	0	0	0	0	0	0
May	0	0	0	0	0	0	0
June	0	0	0	0	0	0	0
July	0	0	0	0	0	0	0
August	0	0	0	0	0	0	0
September	0	1	1	0	0	0	0
October	0	0	0	0	1	0	0
YTD	0	2	1	0	2	1	0

Test, Incomplete or Duplicate Whistleblower Complaints	
January	1
February	3
March	0
April	1
May	1
June	4
July	0
August	3
September	0
October	1
YTD	14

OFFICE OF RAIL SAFETY

RAILROAD SAFETY – ROSB

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

New Incidents Investigated	7
Informal Complaints Investigated	4
Safety Assessments/Reviews	6
Compliance Actions	694
Major Inspections Completed - Such as Focused Inspections	3
Operation LifeSaver Presentations	15

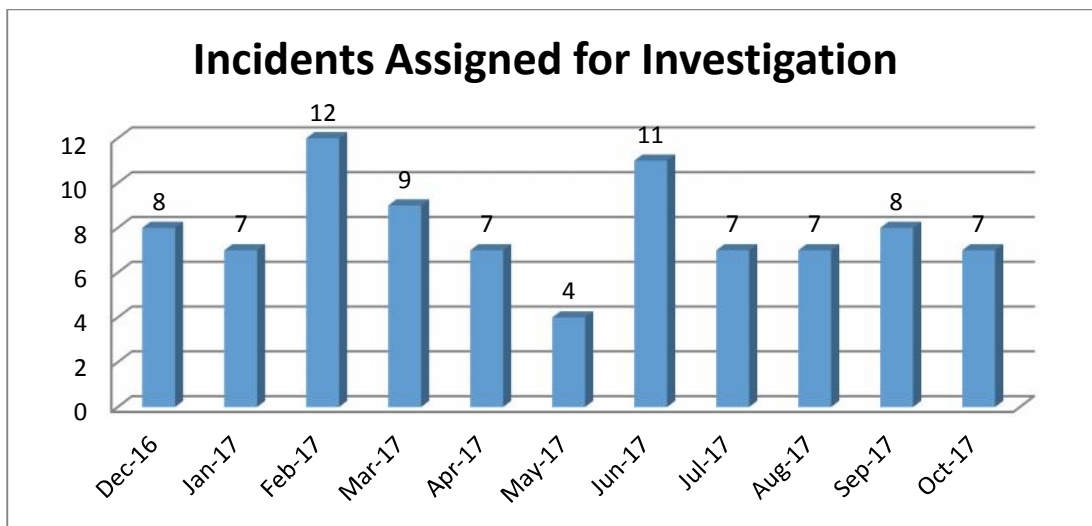
ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

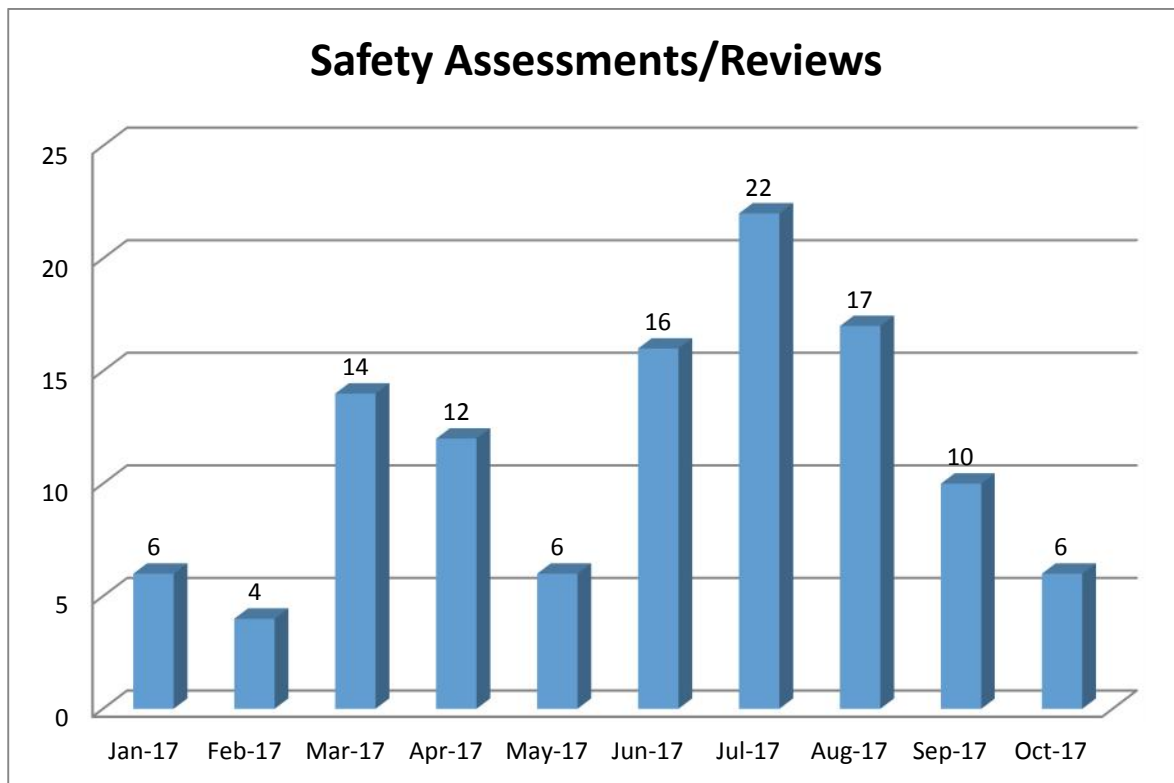
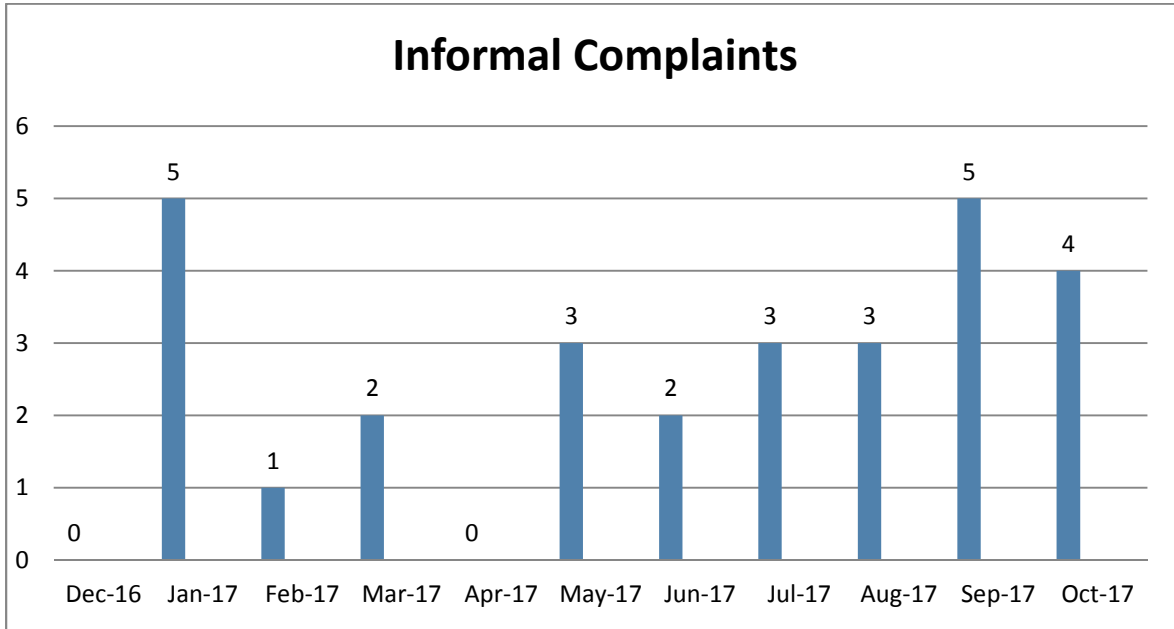
October 5, 2017: A ROSB rail safety inspector conducted an Operation Lifesaver (OL) presentation to the school bus drivers at the Poway School District in the town of Poway, San Diego County. A total of 43 drivers participated and in addition to the presentation Operation Lifesaver printed material emphasizing rail safety hazards and how to avoid them were also passed out.

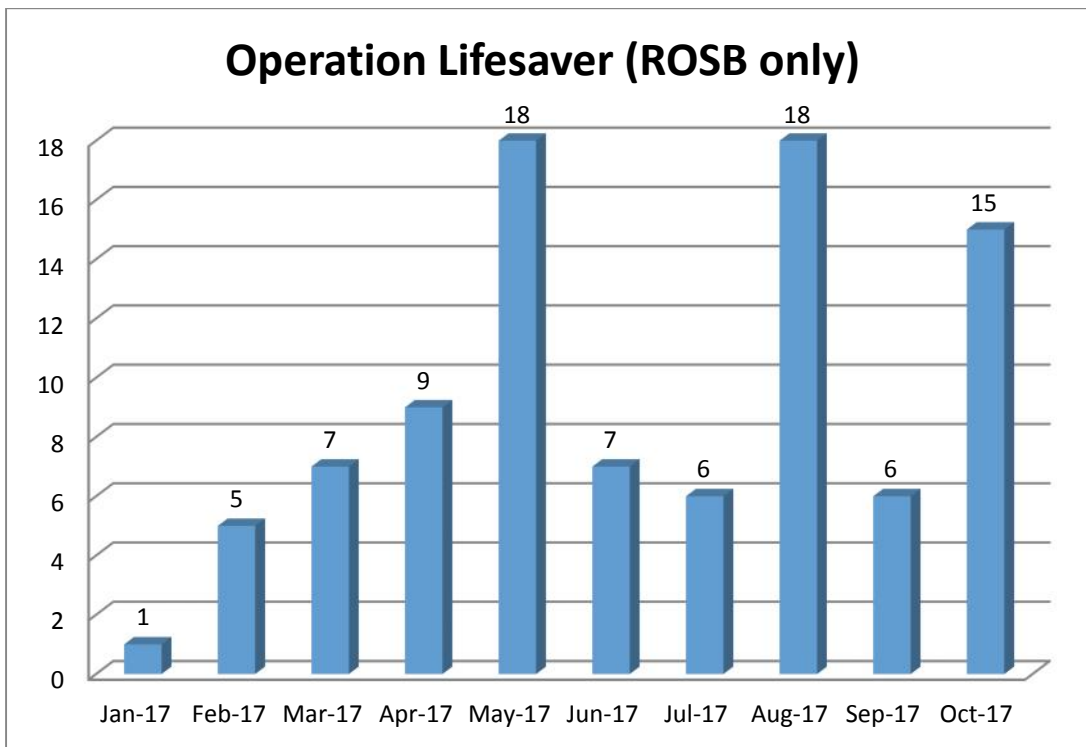
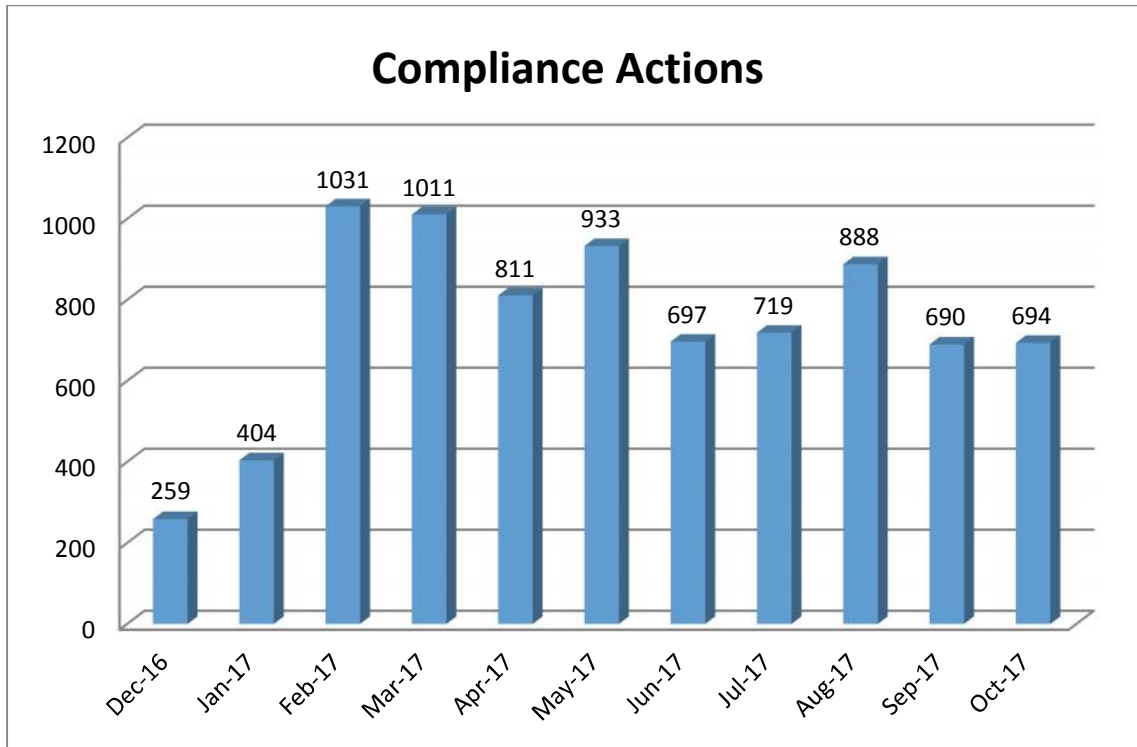
October 12, 2017: Two CPUC railroad safety inspectors specializing in operating practices performed a routine inspection of railroad operations at the UPRR yard in Stockton. The CPUC inspectors discovered a large piece of scrap metal approximately 2 feet long by 1 foot wide by 8 inches high lying next to the track near a road crossing, causing a tripping hazard. In a high-use switching area as in this case, a trip, stumble or fall while walking next to moving equipment could cause a person or employee to be struck or run over by railroad equipment.

The location of this metal not only created a tripping hazard for employees walking and switching in the area, it also created a hazard for any vehicle traversing the crossing. A vehicle striking this hazard would certainly damage the vehicle, and could also cause injury to the occupants. CPUC GO 118-A requires walkways adjacent to railroad tracks to be safe and clear of tripping hazards for train crews to work. The CPUC railroad safety inspectors contacted a Manager of track maintenance who promptly removed the large piece of scrap and restored safe working conditions in that area.

October 14, 2017: ROSB rail safety inspectors conducted an Operation Lifesaver (OL) presentation to a group of K-8 students and drivers at the “Let’s Move on the Trail” community event in Fontana, San Bernardino County. Over 400 participated in the event where ROSB rail safety inspectors staffed an OL booth exhibit and made a presentation on rail safety hazards and how to avoid them and also passed out OL printed material.







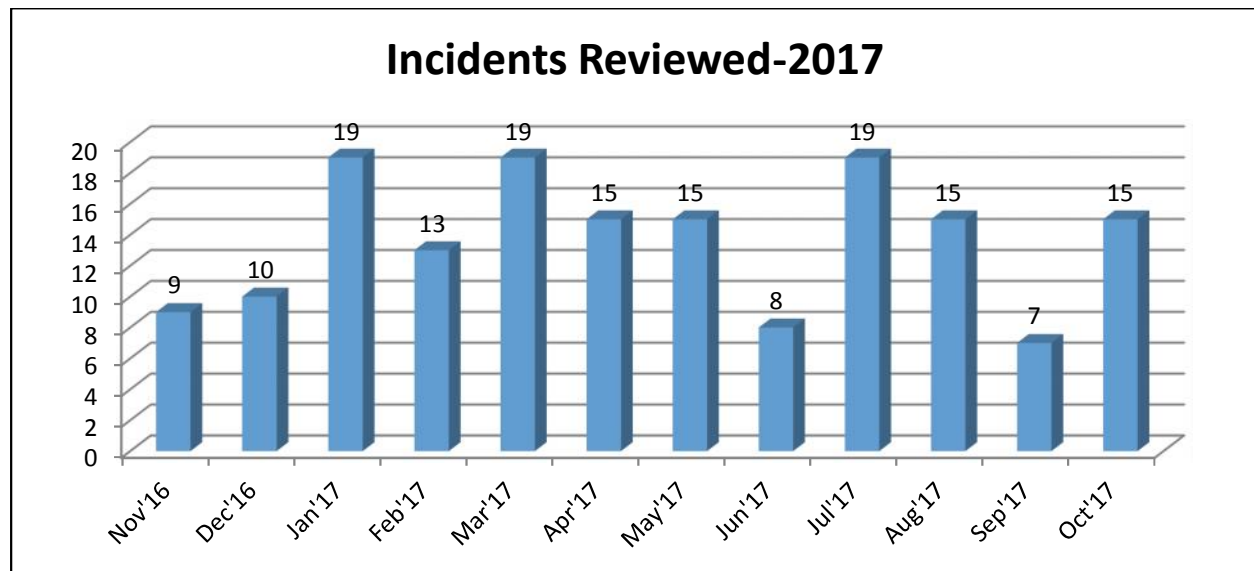
RAIL CROSSINGS AND ENGINEERING BRANCH – RCEB

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

	New During Period	Closed During Period
Crossing Incident Reviews	14	15
Informal Complaints Investigations	0	0
Safety Assessments/Quiet Zones/Reviews	23	23
Proceedings, Resolutions and G.O. 88-B Reviews	11	12
Operation LifeSaver Presentations	6	6

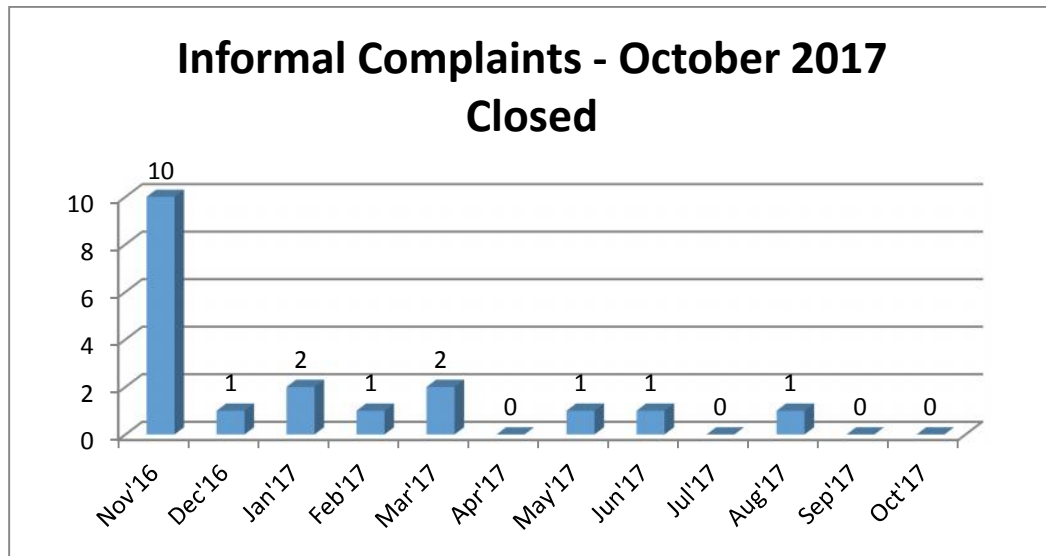
RAIL CROSSING INCIDENT INVESTIGATIONS

In October 2017, the Rail Crossings and Engineering Branch (RCEB) assigned 14 new incidents reviews with 12 at highway-rail crossings and two at a highway-light rail transit (LRT) crossings (crossings). RCEB completed 15 crossing incident reviews and evaluations.



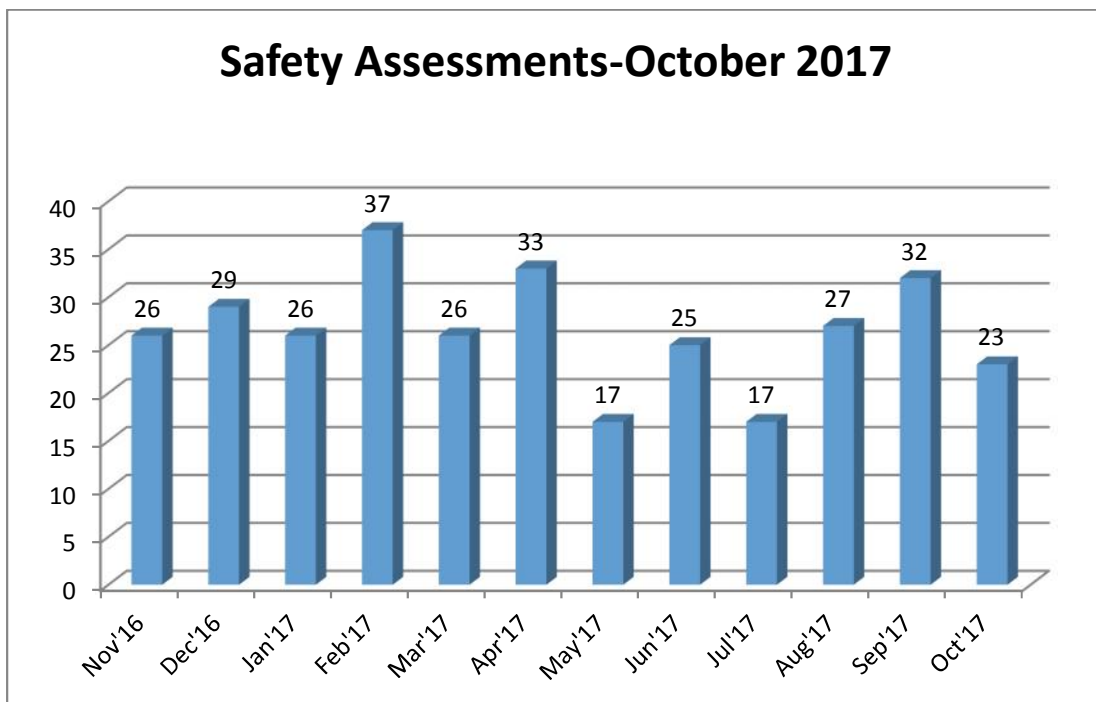
INFORMAL COMPLAINTS

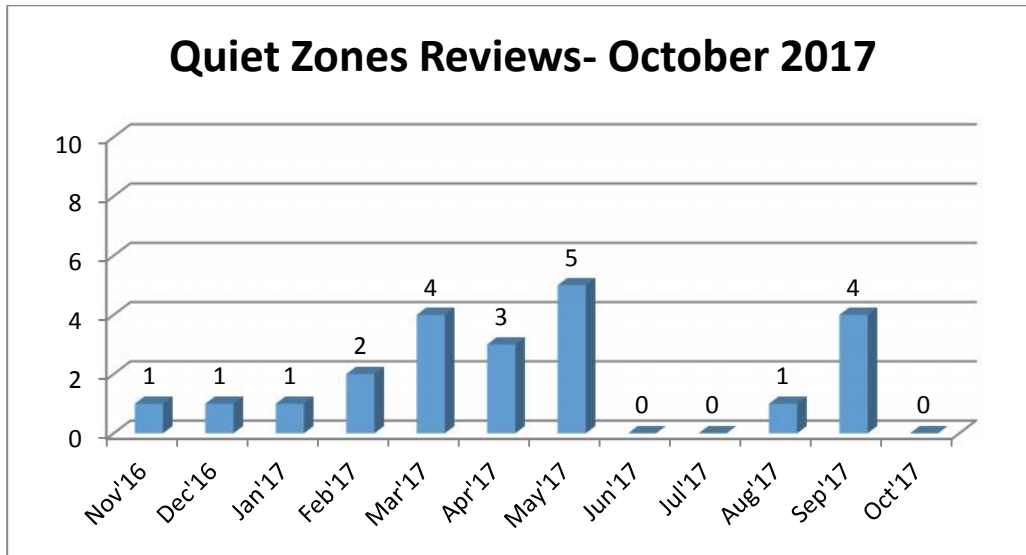
In October 2017, RCEB did not receive or close any highway-rail crossing complaint.



SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

In October 2017, RCEB completed 23 rail-crossing safety assessments involving: communications, field inspections, and diagnostic reviews with railroads and local agencies. RCEB did not update any Quiet Zone (QTZN) or Environmental Review.





PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

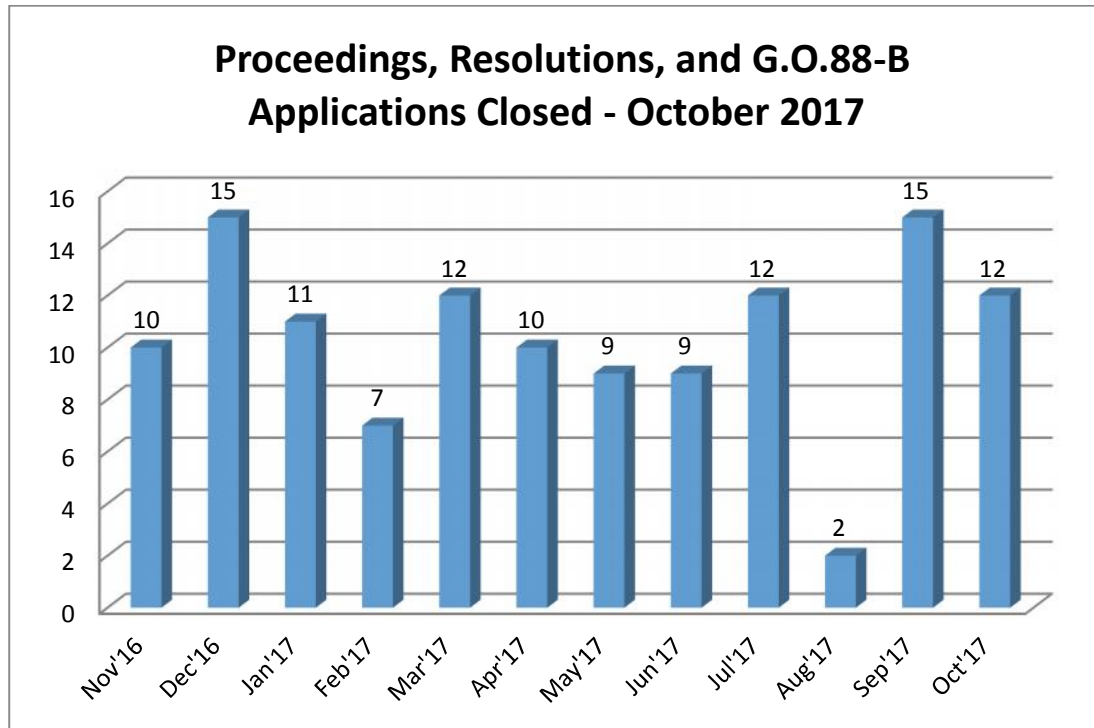
In October 2017, RCEB staff received one new major proceeding requiring Administrative Law Judge (ALJ) review; a new Resolution request; and, nine new General Order 88-B applications for changes to existing crossings. This month, RCEB closed an ALJ Proceeding and 11 General Order 88-B applications.

PROC A1412003 – With Decision (D.) 1710015 on October 26, 2017, the CPUC approved the application of the City of San Diego to modify the Park Boulevard at-grade crossing of three light rail vehicle tracks and two BNSF Railway Company tracks in the City and County of San Diego. The decision authorizes a modified crossing configuration and a safe path of travel for pedestrians away from the rail crossings related to Petco Park.

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

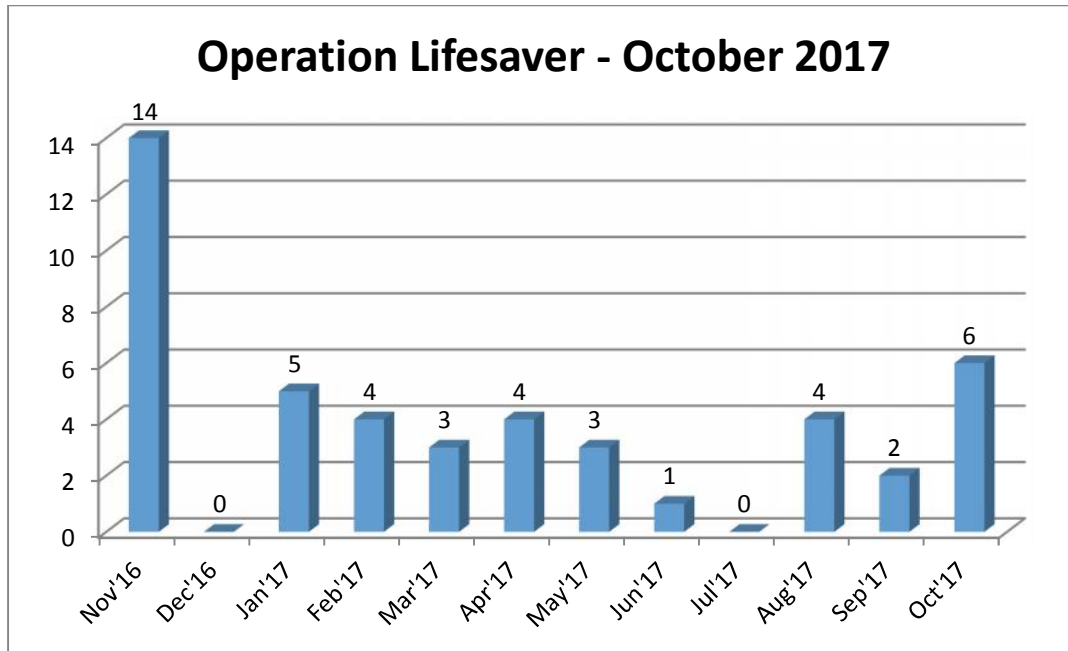
File	Record Id	Project	Date Closed
XREQ	2017080008	Spruce Street Improvement	10/3/2017
XREQ	2017090005	190th Street Modification	10/10/2017
XREQ	2017090006	I-5 at El Toro Modification	10/9/2017
XREQ	2017090007	Petaluma Hill Road, Sonoma County Modification	10/5/2017
XREQ	2017090009	Hobart Avenue Improvement	10/3/2017

XREQ	2017090010	First Street, Eureka Project	10/18/2017
XREQ	2017100001	Monterey Ave, Capitola Modification	10/19/2017
XREQ	2017100002	Soto Street Track Realignment	10/25/2017
XREQ	2017100009	Innovation Way, Sunnyvale Modification	10/20/2017
XREQ	2017100010	Daly Street Track Realignment	10/25/2017
XREQ	2017100011	Lemon Street Improvement	10/26/2017



OPERATION LIFESAVER INC.

In October 2017, RCEB completed three Operation LifeSaver Inc. (OLI) activities that resulted in six presentations. Staff presented the OLI safety message on October 5, 2017 to four K-8 groups. The presentations were part of the Merced Farm to You event at the Merced Fairgrounds. On October 3, 2017, RCEB presented the OLI message to 65 adult drivers at the California Water Environmental Association at the Merced City Hall, Merced CA. On October 31, 2017, staff presented the OLI rail safety message to 15 traffic control technicians at the International Signal Association event in Rancho Cordova, CA. As time permits, RCEB staff continues to volunteer and participate in OLI events and activities.



RAIL TRANSIT - RTSB

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

CORRECTIVE ACTIONS PLANS

- Four CAPs were opened for October 2017.
- Eight CAPs were closed.

INCIDENT INVESTIGATIONS

- In October 2017, 28 incidents were reported by Rail Transit Agencies (RTA).⁴
- Two incident investigations were closed.

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

MAJOR AUDITS

- On October 9, RTSB started its triennial on-site safety and security review of the Sacramento Regional Transit District (SRTD). The purpose of the triennial review is to verify compliance and evaluate the effectiveness of SRTD's System Safety Program Plan (SSPP) and System Security Plan (SSP), and to assess the level of compliance with GO 164-D as well as other Commission and regulatory safety requirements.

ADMINISTRATIVE ACCOMPLISHMENTS

- **Federal Certification of SSOA Programs:** State Safety Oversight Agencies (SSOAs) have until April 15, 2019 to have their program certified by the FTA. In order for the CPUC to receive FTA certification, the Commission needs to revise GO 164-D (Rules and Regulations Governing State Safety Oversight of Rail Fixed Guideway Systems) and RTSB's Program Management Standard (Procedures Manual) to bring them in compliance with the new 49 CFR Part 674 issued last year; and RTSB needs to provide the FTA a list of other required documents. RTSB is working on drafting proposed revisions to GO 164-D and its Program Standards. On August 18, RTSB electronically transmitted the required documents to the FTA. On October 17, RTSB transmitted additional required documents to FTA staff for their informal review. Currently, RTSB is in Stage 2 of the Certification process, which has the following 4 stages:
 - Stage 1 – State (Commission is the designated SSOA for the state) is working on its submissions to the FTA. Where applicable, legislation has not yet been enacted or executive action taken.
 - Stage 2 – State has submitted some requirements to the FTA.
 - Stage 3 – State has submitted all required documents to the FTA and is engaged in a dialogue with the FTA to address comments and questions. Where applicable, all required legislation has been enacted.
 - Stage 4 (Certified) – State has successfully met all SSOA Program requirements, including the resources to carry out the requirements, and has received FTA certification.

- **FTA Joint SSO-RTA Workshop:** On October 24-27, RTSB management participated in the FTA's Joint State Safety Oversight (SSO) and Rail Transit Agency (RTA) Workshop in Arlington, VA. The workshop provided pertinent information and guidance to help States meet Federal certification requirements, and opportunities for SSO and RTA safety personnel to learn from their peers and FTA about key topics and best practices in rail transit safety.
- **Web Form for the RTAs to Report Incidents to RTSB:** Under GO 164-D, RTAs are required to report incidents to RTSB staff within specified time frames and when they meet certain thresholds. Currently, those notifications are being made through telephone calls and/or emails to designated RTSB staff. However, if the incident occurs outside of business hours or when the designated staff person is on leave (vacation, sick leave, etc.), RTSB staff may not receive the notification in a timely manner and forward the incident information to their management. RTSB worked with CPUC's Webmaster to develop a web form the RTAs can use to submit incident reports, which will automatically get emailed to a list of Commission staff, eliminating the need to rely on one RTSB staff person to receive the notification and forward it to others that are in need to know. On June 23, the Webmaster created the first version of the web form, and RTSB staff has been testing it to identify bugs and has been submitting requests to the Webmaster to address them. The San Francisco Municipal Transportation Agency and Sacramento Regional Transit District are helping RTSB test the new system.
- **Training:** On October 17 and 18, two RTSB inspectors completed the Fundamentals of Railway Train Control and Signaling training provided by University of Wisconsin-Madison.

PROCEEDINGS / RESOLUTIONS

Ongoing:

- **I.16-06-010 Investigation into Fatal Accident on BART Tracks (Commissioner Randolph/ALJ Kim)** - On June 28, 2016, the Commission instituted a Formal Investigation in response to a two fatality Bay Area Rapid Transit (BART) accident on October 19, 2013.

The purpose of this investigation is to a) examine the accident, b) determine whether BART repeatedly violated state codes and regulations by failing to provide adequate protection for BART's wayside workers, c) whether BART's train-operating personnel's lack of training and certification contributed to the accident, d) whether BART violated Rule 1.1 of the Commission's Rules of Practice and Procedure by failing to provide the Commission with an accurate list of who would be operating its trains during a strike occurring at the time of this accident, and e) whether Rule 1.1 was violated by BART's failure to obtain prior approval of the use of uncertified, untrained, and unapproved personnel to operate trains during the strike. Additionally, the investigation will determine whether BART should be fined or otherwise penalized for any of these violations.

A prehearing conference was held on October 11, 2016. On October 18, 2016, both parties filed a Joint Case Management Statement. On December 28, 2016, the Commission issued a scoping memo for the case, identifying the topics to be investigated and affirming the need for a hearing. On January 23, 2017, ALJ Kim issued a ruling setting the dates of evidentiary hearing to February 13-16, 2017.

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

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

On October 6, 2017, ALJ Kim issued "*Presiding Officer's Decision Regarding Alleged Violations by San Francisco Bay Area Rapid Transit District Relating to the October 19, 2013 Fatal Accident*" (POD). It includes the following orders:

- Assesses a fine of \$659,000.00, and immediately stays two thirds of the total assessed fine;

- In lieu of the stayed fine places BART on probation for 3 years, during which BART must comply with certain requirements; and
 - Requires SED to monitor BART's compliance with this decision; and to no later than 9 months prior to the expiration of BART's probation, prepare and submit SED's recommendation on whether BART's probation should be extended beyond three years.
- **R.09-01-020 Rulemaking into Railroad Worker Protections (Commissioner Rechtschaffen/ALJ Kim):** On January 29, 2009, the Commission issued an Order Instituting Rulemaking "OIR" or "rulemaking" in response to a fatal Bay Area Rapid Transit (BART) employee accident on January 12, 2001, a fatal July 24, 2008 Sacramento Regional Transit District (SRTD) maintenance employee accident, and an October 14, 2008, BART employee fatal accident. The purpose of this investigation is to determine (1) whether current protections for rail transit agency roadway workers are adequate, (2) whether the State of California should implement a Commission General Order (GO) implementing new rules for rail transit agency protection of maintenance-of-way, track, signal, operating employees, and others engaged in roadway work, and (3) if new protections are needed, a description of the protections to be required by rail transit agencies and included in the Commission General Order.
- On March 17, 2017, as requested by the ALJ, staff filed a report that contained staff's recommendations for reconciling Commission GO 172: Rules and Regulations Governing the Use of Personal Electronic Devices By Employees of Rail Transit Agencies And Rail Fixed Guideway Systems and Commission GO 175-A: Rules And Regulations Governing Roadway Worker Protection Provided By Rail Transit Agencies And Rail Fixed Guideway Systems language and the proposed Commission GO language. Staff proposed changes to Commission GO 172 only. On September 27, 2017 Commissioner Rechtschaffen and ALJ Kim issued "Assigned Commissioner's and Administrative Law Judge's Joint Ruling and Eighth Amendment to Scoping Memo and Ruling", which adopted the limited proceeding scope and schedule for the remainder of the proceeding. The Ruling found the only issues left for the Commission's consideration are the pending recommendations by SED and

determination of the most prudent procedures to consider any amendments needed to GO 172 and/or GO 175-A. On October 30, 2017, Commissioner Rechtschaffen issued a proposed decision, which finds that all issue relating to GO 175-A have been resolved and closes the current rulemaking. It also states an intention to open a new rulemaking to consider SED's proposed amendments to GO 172.

- **Resolution ST-206** – On September 19, 2017, SED filed a proposed resolution to approve the Bay Area Rapid Transit (BART)'s Communication-Based Train Control Project (CBTC) Safety Certification Plan (SCP). The project will re-signal the entire BART mainlines with CBTC. The new technology utilizes two-way digital Radio Frequency communications between intelligent trains, and a network of distributed zone controllers. Compares to the existing fixed block train control, CBTC will improve BART's reliability and availability. The project is a design-build project and will be conducted in phases. The resolution was approved at the Commission Voting Meeting on Oct 26, 2017.

SAFETY CERTIFICATION AND OVERSIGHT OF RAIL TRANSIT AGENCY PROJECTS

- **AirTrain Extension Project:** On August 10, 2017, the AirTrain Extension Safety Certification Plan (SCP) was approved via Resolution ST-205. The project expands the existing AirTrain System to include a new Long Term Parking (LTP) Garage Station and add an additional in-line Hotel Station serving a future hotel. Additional planned changes include an upgrade to line-of-sight (LOS) train to wayside signaling and communications, field retrofits of 39 vehicles to LOS technology, an upgrade to the Central Control, a 2000 ft. guideway extension, four additional guideway crossover switches, additional traction power system, and three new Innovia APM 100 vehicles. The project will have three Safety Certification Verification Reports, as it has three phases and will start revenue services accordingly, from October 2018 to June 2019. AirTrain recently submitted draft design conformance checklists to which Staff returned comments.
- **BART New Vehicle Procurement:** BART is in the process of procuring 775 new rail vehicles. BART has already received ten of these vehicles (five D cars and five E cars) for testing, and is storing them at its Hayward Yard facility. RTSB staff has been witnessing testing and

participating in Safety and Security Certification meetings to oversee the procurement process. BART I submitted its interim Safety Certification Verification Report (SCVR) for these first 10 vehicles on October 30, 2017.

- **East Contra Costa BART Extension:** This project, also known as eBART, will add 10 miles of track extending rail service eastward from the Pittsburg Bay Point station utilizing eight Diesel Multiple Unit (DMU) vehicles. This project is currently in the construction phase, and is being safety certified by RTSB, whose staff regularly attends safety certification meetings. Signal testing is on-going. Trains are currently undergoing testing during the non-revenue hours. Station and Maintenance Facility construction is currently on-going. Remaining construction activities are going through punch lists. The main construction activity is the escalator installation. Track work is completed. Pre-revenue period will begin after turnover of facilities to the Operations group. eBART has recently hired 30 new staff for operations. In addition, BART has hired a Safety and Training Manager for the eBART and Oakland Airport Connector (OAC) systems. The new manager, Tony Onisko will report directly to BART's Chief Safety Officer. Also, the new eBART and OAC manager is required to notify RTSB's Designated Engineer for BART of any reportable incidents on the eBART or OAC systems. This project expects to be in revenue service by approximately May 2018. The draft System Safety Program and draft Emergency Response Plan were submitted unofficially to RTSB staff for review.
- **Silicon Valley Berryessa Extension (SBVX):** Bay Area Rapid Transit (BART) and Santa Clara Valley Transportation Authority (SCVTA) are currently in the process of jointly constructing a 10-mile BART system track extension and two new stations – the Milpitas and Berryessa stations. The project is expected to be completed toward the end of 2017 (December), and is currently in the construction and testing phase for Traction Power Substation (TPSS), Train Control, Communication, etc., and in the pre-testing phase for other elements of the system. RTSB Staff regularly attends and participates in the Safety and Security Review Committee (SSRC) and Fire Life Safety and Security Committee (FLSSC) meetings and monitors the project progress. Additionally, RTSB Staff receives weekly or monthly schedule updates via email on the testing progress. On May 1, 2017, Staff observed the Railroad

Intrusion Detection System (RIDS) testing at S24 location in Milpitas and on May 12, 2017, Staff observed the Powell Phase 3 pre-testing related to SME TPSS. Staff attended and participated in the SSRC and FLSSC meetings related to the SVBX project on May 18, 2017. On May 22 and 23, 2017, RTSB Staff observed SHO TPSS functional testing from field. There were some discrepancies noted and BART engineers will have it on the punch list items. On May 24, 2017, RTSB Staff attended and participated in the FTA Quarterly meeting at the SVBX Office in Milpitas. On June 8, 2017, RTSB Staff participated and observed the Traction Power Substation Testing from the Project Test Center. On June 21-22, 2017, RTSB Staff participated in the SVBX track inspection walkthrough with BART engineers and inspectors along with the SVBX contractors. The 10 miles of tracks was inspected.

On July 13, 2017, Staff attended and participated in the SSRC and FLSSC meetings related to the SVBX project at the SVBX office in Milpitas. On July 27, 2017, Staff attended, observed and participated in the Traction Power Substation (TPSS) integration regression testing related to TPSS SWA (Warren Avenue). July 29, 2017, Staff attended and observed the TPSS integration regression testing related to TPSS from Hostetter to Maybury. On the night of Friday, September 8, 2017, Staff attended and participated in the BART Power Train Run testing. On October 26, 2017, Staff attended and participated in the SSRC meeting #46.

- **Downtown Sacramento Streetcar Project:** On July 12, RTSB staff participated in an FTA quarterly meeting with SRTD regarding the Downtown Sacramento Streetcar project. Although a Joint Powers Authority is being established as the system owner/operator involving the City of Sacramento and City of West Sacramento, SRTD, as the only local entity with expertise on rail transit construction and operations has been requested to provide design and construction oversight of the project. Additionally the Streetcar will operate over a portion of the existing SRTD tracks. The project is still in preliminary design. Crossing diagnostics were held in July. They have requested an interpretation on GO 143-B as it pertains to interlockings at rail-rail crossings.
- **Central Subway Project:** SFMTA is excavating 1.7 miles of tunnel to extend the Muni Metro Third St. Line to provide a direct transit link between the Bayshore and Mission Bay areas to SoMa, downtown, and Chinatown. This project, due to be completed in December

2019 per the latest update, is in the construction phase and is being monitored by both Central Subway Project (CSP) and RTSB staff through regular meetings, review of documentation related to safety certifiable elements to ensure conformance with specified safety requirements and design criteria, and site visits. CSP periodically provides verification documentation for any construction certification items that are completed to members of the CSP Safety and Security Certification Review Committee (SSCRC), which includes RTSB and SFMTA system safety staff. Whenever RTSB or SFMTA Safety staff has any questions with such document submittals, they will communicate them to CSP team. CSP tracks the items in question by RTSB or SFMTA Safety staff on its monthly SSCRC meeting minutes until satisfactory resolution is reached. This process will continue throughout the construction phase of the project. On October 19, 2017, CSP sent verification documentation for 20 construction certification items to the SSCRC for review and approval. Other than these items currently undergoing review by staff, CSP has yet to address RTSB staff's inquiries sent to CSP on a number of documentation submittals sent to the SSCRC within the past year, which is being tracked on the monthly SSCRC meeting minutes through resolution. The completion of the project has been forecasted to be delayed by almost a year, mostly caused by the production rate at the Chinatown station being behind schedule. A project contractor was limited in terms of equipment, tight spaces, environmental issues, etc. CSP is trying to accelerate the construction of the project to close that gap by increasing and paying for more construction hours.

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

- **LA Metro (LACMTA) P3010 New Vehicle Procurement Project:** Los Angeles County Metropolitan Transportation Authority (LACMTA or LA Metro) is in the process of procuring up to 235 new rail vehicles to provide the needed capacity expansion for the recently completed projects (Expo Phase 2 and Foothill Extension Phase 2), and for the future

LAX/Crenshaw line which is currently in construction. On March 4, 2016, RTSB staff approved the LACMTA request to introduce the first batch of P3010 cars into revenue service after review of the Safety Certification Verification Report, various test records, and the individual vehicle history books. As of October 31, 2017, ninety-three (93) P3010 vehicles have been approved for revenue service by RTSB staff.

- **LACMTA HR4000 Heavy Rail Vehicle Procurement:** LACMTA is in the process of procuring a base order of 64 with options for up to 282 new heavy rail vehicles (HRV) to provide for the future expansions of Regional Connector and Purple Line Extensions, and to replace the existing aging HRV fleet operating on the Red Line subway. The Safety Certification Plan was approved under Resolution ST-185, however no vehicles have yet been delivered.
- **LACMTA Regional Connector Project:** Currently in tunnel boring and utility relocation phase. RTSB staff regularly attends LACMTA's monthly Fire Life Safety and Security Meetings, as well as Safety and Security Certification Review Meetings, and has approved a temporary shoofly track to allow tunnel boring to commence. The tunnel boring machine has completed one tunnel and currently boring the second parallel tunnel.
- **LACMTA Purple Line (Westside) Extension Project:** LACMTA is currently expanding rail network and services, including extending the Purple Line. The Westside Purple Line Extension, previously named the Westside Subway Extension, extends service from the terminus at Wilshire/Western Station to Westwood (UCLA and Veteran's Administration Hospital). This extension, consisting of nearly nine miles of heavy rail subway and seven stations, is planned in three sections, and is currently in the utility relocation phase.

On June 16, 2017, LACMTA has submitted an update to the original Safety and Security Certification Plan, dated November 30, 2011. Staff has reviewed and approved the revision. RTSB staff regularly attends Westside PLE's monthly Fire Life Safety and Security Meetings, as well as Safety and Security Certification Review meetings.

- **LACMTA/MGLFECA Foothill Extension Phase 2B:** LACMTA and Metro Gold Line Foothill Extension Construction Authority have submitted the project's Safety Certification Plan (SCP), which was approved by Resolution ST-194, "Granting Approval of the Los Angeles County Metropolitan Transportation Authority and Metro Gold Line Foothill Extension

Construction Authority Foothill Extension Phase 2B Safety Certification Plan”, on January 19, 2017. Phase 2B alignment is from the current terminus of LACMTA Gold Line, Azusa Station, to the City of Montclair. It will traverse through six cities with six new stations on 12.3 miles of light rail transit (LRT) at-grade track.

Foothill Authority held a kick-off meeting on June 29, 2017, for public agencies and key officials, presenting the project’s current funding status and timeline. Discussions and crossing diagnostics review meetings have taken place, however no alignment construction has begun. Ground breaking is scheduled for December 2, 2017. The first two years will be to relocate and protect utilities, conduct pre-construction activities and begin qualification process for the alignment project design-build team. The project funding is short an estimated amount of \$279 million.

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

Foothill Authority will hold the project’s Groundbreaking Ceremony on December 2, 2017 at 9:30am at Citrus College in Glendora. The Groundbreaking Ceremony will be open to the public.

- **LACMTA Crenshaw/LAX Corridor Project:** LACMTA is constructing a new light rail transit line through the Crenshaw/LAX Corridor. The Line will travel 8.5 miles from the existing Metro Exposition Line at Crenshaw and Exposition Boulevards to the LACMTA Green Line and will serve the cities of Los Angeles, Inglewood and El Segundo; and portions of unincorporated Los Angeles County. The project is currently in the construction phase and is being monitored by RTSB through regular meetings. The project is due to be completed in 2019.

- **Los Angeles Streetcar:** The Los Angeles Streetcar is a project that is advancing under the Los Angeles County Measure M funding. Although it has not been identified for near term funding by LACMTA, the preliminary design is proceeding. The LA Streetcar staff is requesting RTSB staff to examine Commission GO 143-B requirements and suggests that the American Society of Mechanical Engineers (ASME) Standard RT-1 regarding vehicle crashworthiness/strength requirements should be considered a viable alternative to the 2 g. buff strength requirements of Commission GO 143-B.
- **LAWA Automatic People Mover Project:** The Los Angeles World Airports is in the Environmental Document phase for their Landside Access Modernization Project and constructing the Automatic People Mover is part of the overall project. Below is their current timeline:

Final EIR released – February 2017

Board of Airport Commissioners Certified Final EIR – March 2017

City Council approved project and entitlements – June 2017

Final Environmental Assessment approved – Dec 2017

Award of Contract for Automated People Mover – First quarter 2018

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

- **Orange County Transportation Authority (OCTA) OC Streetcar Project:** The OC Streetcar project consists of 4.15 miles of track between the Santa Ana Regional Transportation Center in the City of Santa Ana and the Harbor Boulevard/Westminster Avenue intersection in the City of Garden Grove. The trackway includes operations in the Pacific Electric (PE) Right-of Way and along Santa Ana Boulevard and 4th Street. The Project includes 10 stations in the eastbound direction and 10 stations in the westbound direction. A new operations and maintenance facility will be bordered by 5th Street to the north, the PE Right-of-Way to the south, approximately 500 feet west of Raitt Street to the east, and

approximately 1,000 feet west of Raitt Street to the west. Construction is planned for mid-2018 and revenue service begins late 2020.

RTSB staff is attending the System Safety Review Committee Meetings and Fire Life Safety Committee meetings for this project. The Safety and Security Certification Plan (SSCP) for the project has been reviewed, and staff prepared Resolution ST-191 accepting the SSCP for consideration. The Commission approved the Safety and Security Certification Plan (SSCP) at its meeting on April 27, 2017.

- **San Francisco Municipal Transportation Agency (SFMTA) LRV4 Procurement to Expand and Replace the Rail Fleet:** In September of 2014, SFMTA awarded the contract to Siemens to provide up to 260 new light-rail vehicles, to replace and expand the existing fleet. The first new car arrived in January of this year, with five (5) added in subsequent months, for a total of six (6) cars received. The cars are now undergoing qualification testing on site to ensure integration with the existing and newly installed systems of Automatic Train Control System (ATCS), radio replacement, passenger information system and new fare collection system. This on-going project is expected to be completed in the next ten years in given phases of five needs. SFMTA and their contractor have met with CPUC staff to discuss the overall project and the requirements for submittal of the Safety and Security Certification Verification Report (SCVR).

The safety and security certification-related aspects of this project, scheduled for full completion in 2027, are being monitored by RTSB through regular meetings, review of records produced pursuant to the requirements of the project Safety and Security Certification Plan (SSCP) (e.g. Certificates of Conformance and associated supporting documentation for certifiable elements at pertinent project milestones), and participation in witness point activities (e.g. vehicle testing).

Throughout the month of October, staff attended a series of LRV4 Safety Certification Audit Sub-committee meetings held at the Muni Metro East (MME) rail facility. During these meetings, the SFMTA Audit Sub-committee reviewed documents related to the LRV4 certifiable elements and certificates of conformance as outlined in the SSCP for the project

in preparation for the full LRV4 Safety/Security Certification Committee's approval of these certificates of conformance.

Staff participated in the weekly SFMTA LRV4 Project Safety/Security Certification Committee (SSCC) Meetings held at the SFMTA office located on 1 South Van Ness Ave, 8th Floor, San Francisco, during October. During each of these weekly meetings, a select number of Certificates of Conformance for the project were approved. With the SSCC meeting held on 10/24/2017, all certificates of conformance for the project were approved. The exceptions for several certifiable elements and associated restrictions/workarounds were discussed during the 10/24/17 meeting.

On October 25, 2017, SFMTA submitted the Safety and Security Certification Verification Report (SCVR) package for Siemens Car 2006, Procurement of New Light Rail Vehicles (LRV4) Contract No. SFMTA 2013-19, which certifies completion of the activities outlined in the SSCP for the project and specifically for Car 2006. The SCVR requests Operation of Car 2006 running only as a single car, until more cars are certified and readied for service for the multi-car train consist testing.

On November 2, 2017, staff participated in the ride check on LRV4 car #2006 in response to the SCVR for the initial LRV4 car (#2006), which was submitted on 10/25/17, and SFMTA's request to CPUC to approve the commencement of revenue service of the initial LRV4 car on or after 11/16/17. The ride check began and ended at MME yard. During the ride check, the test train #2006 operated along portions of the T and J Lines and the entire N Line in manual mode and portions of the Muni metro subway tunnel in ATCS mode. Staff evaluated many aspects of car 2006 during the ride check including ride quality and performance of the LRV operating in manual and ATCS modes, closing force of the LRV's doors, roll back test on a hill on the J-Line right of way north of Church St and 20th St, and clearances between the platform edges and the vehicle doorsill pursuant to GO 143-B, etc.

On November 3, 2017, staff sent a letter signed by Deputy Director, Roger Clugston, to SFMTA, regarding Car 2006 of the LRV4 Project and SFMTA's SCVR submittal.

This letter approves SFMTA's request to operate the LRV4 car 2006 in revenue service, operating only as a single car, after the corrections are made to three issues of concern

identified in the letter. According to the letter, SFMTA may place Car 2006 in revenue service on or after November 15, 2017. The letter further makes the following requests for SFMTA:

Additional cars must be safety certified by testing and approved by CPUC prior to being placed into revenue service.

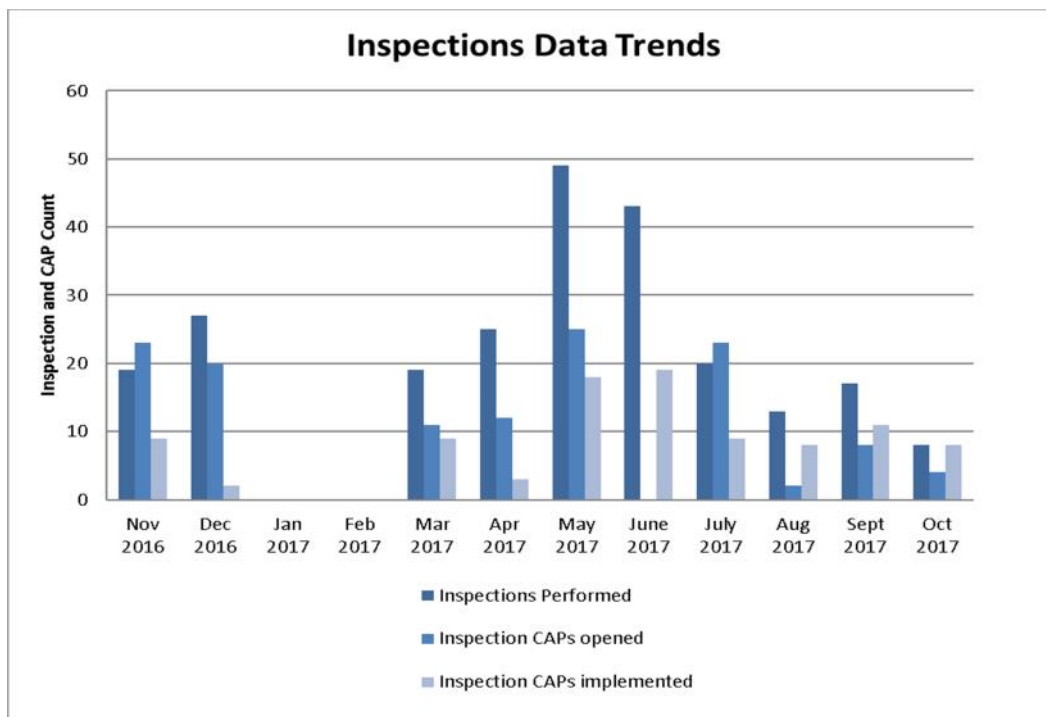
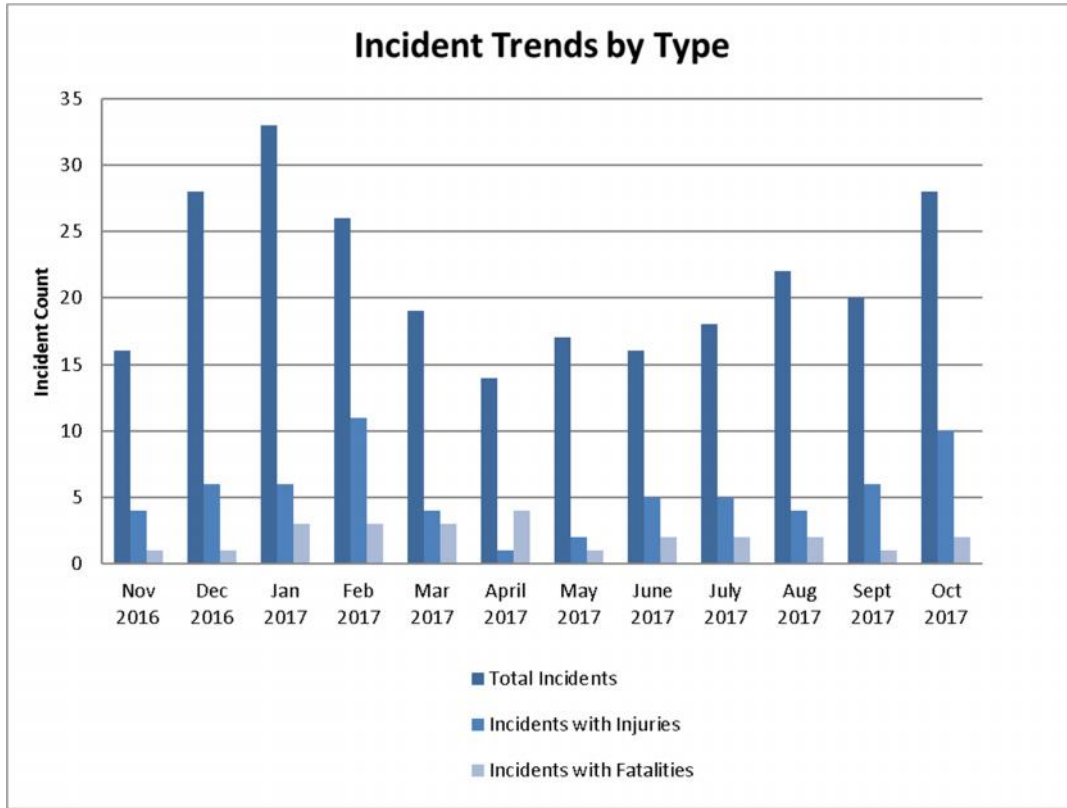
Conformance certificates and testing documentation on train-line testing of multi-car consists shall be provided to RTSB in accordance with GO 164-D, 21 days in advance of placing multi-car consists into revenue service.

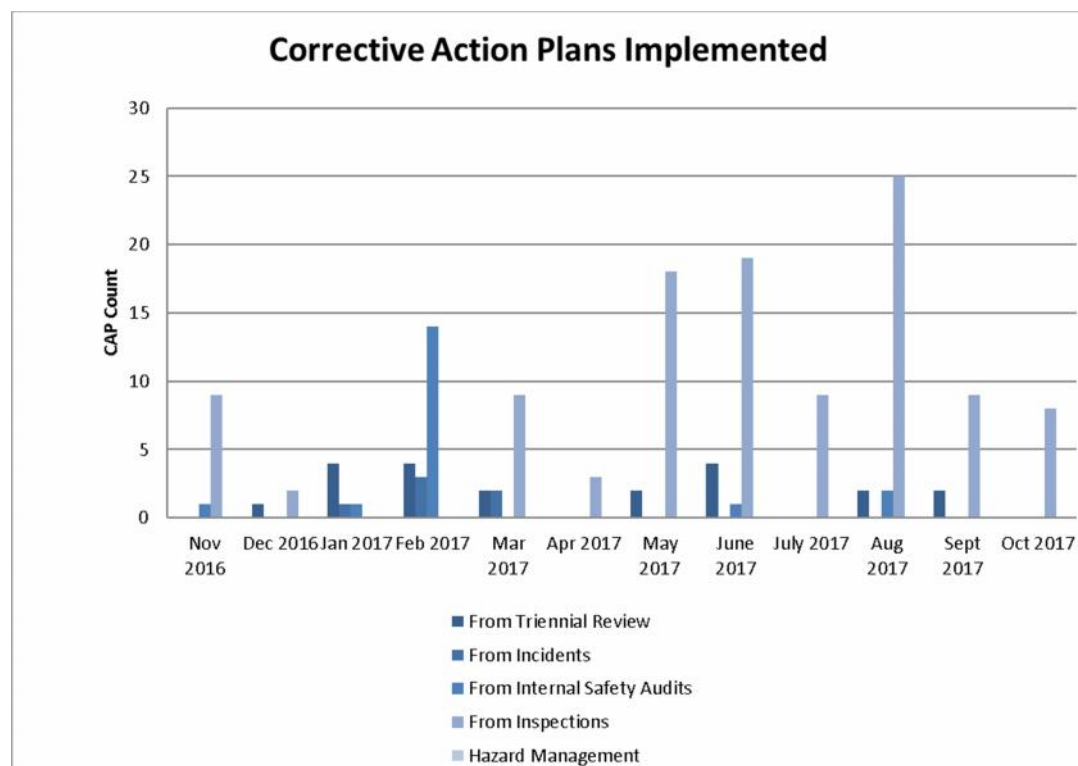
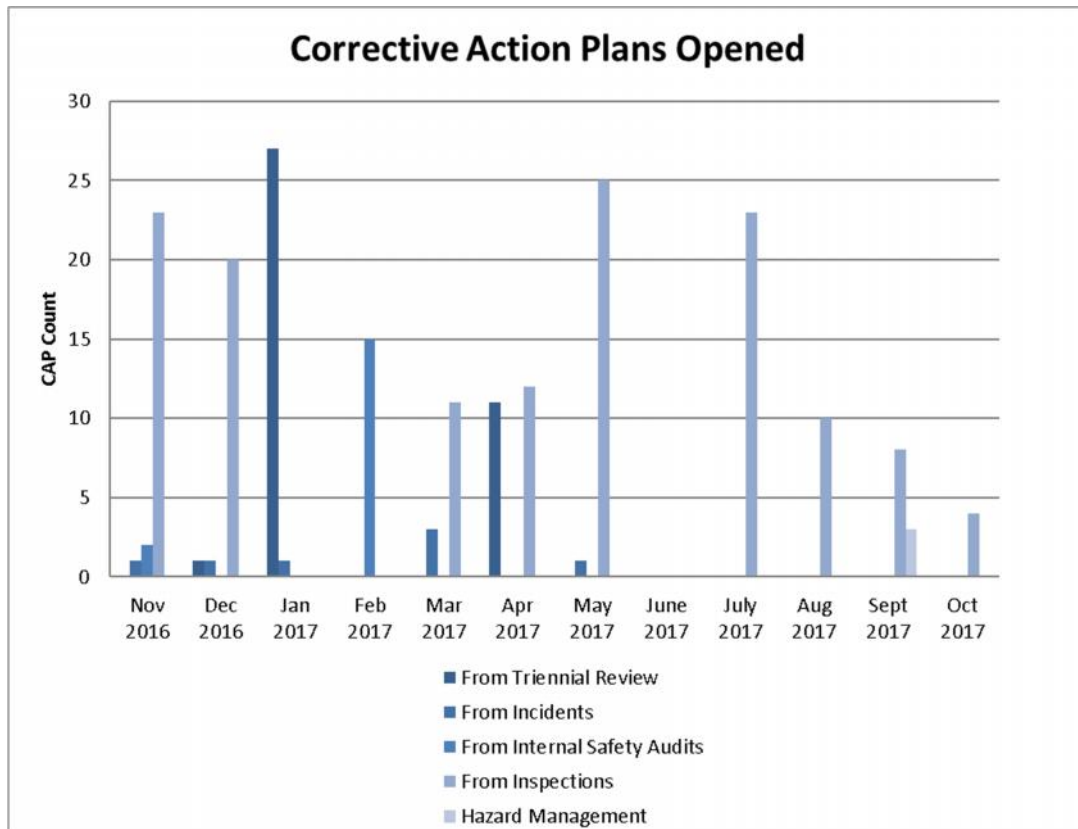
- **San Diego Trolley, Inc. (SDTI) Mid-Coast Corridor Project:** The San Diego Metropolitan Transit System Mid-Coast Corridor Project is a 10.9-mile double-track light-rail transit line, which begins at the Old Town Transit Center in San Diego. The project provides future SDTI revenue service to the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

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

Investigations	
Incidents Reported	28
Incident Investigations Closed	2
Complaints Investigated	0
Rail Transit Inspections	8
Triennial Review	1

Corrective Action Plans	
New Corrective Action Plans	4
From Triennial Review	0
From Incidents	0
From Hazard Management	0
From Internal Safety/Security Audits	0
From Rail Transit Inspections	4
Closed Corrective Action Plans	8
From Triennial Audits	0
From Incidents	0
From Hazard Management	0
From Internal Safety/Security Audits	0
From Rail Transit Inspections	8





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