

# Safety and Enforcement Division



**Monthly Performance Report,**

**December 2016**

**2015 Safety Action Plan Deliverable #1**

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## **Disclaimer**

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

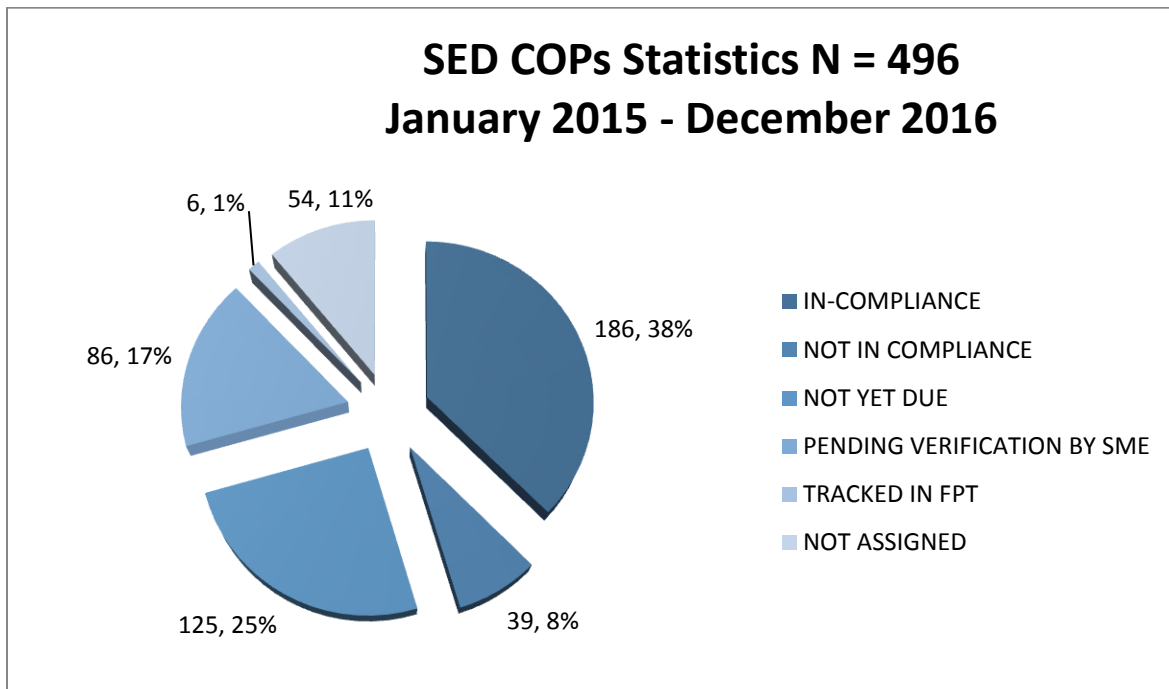
## COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

With the launch of the Commission’s Compliance with Ordering Paragraphs (COPs) effort in January 2015, SED is including our program-to-date summary statistics. Although the Transportation Enforcement and Utility Enforcement branches are no longer part of SED, the COPs statistics still bundle entries for those branches in with other Safety COPs. SED has requested the data base be reconfigured to provide a separate accounting.

During December 2016, there were no new entries into the COPS system for the Safety & Enforcement Division. Through December 31, 2016, SED shows 496 total entries in the COPS system; with 186 reaching compliance (38%), 125 (25%) not yet due for compliance, and 39 (8%) currently remaining out of compliance.

Looking just at the January-December 2016 period, there were 279 new COPs entries reported, with 95 in compliance (34%); 17 not in compliance (6%); and 27 not yet due (10%); the remainder are awaiting assignment.

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	Work Type	Utility	Amount	Violations	Date Cited	Status
ALJ 274 16-03-001	Investigation	PG&E	\$200,000	192.805	3/29/2016	Paid
ALJ 274 16-05-001	Inspection	SoCal Gas	\$2,250,000	192.465(d)	5/13/2016	Paid
ALJ 274 16-12-001	Investigation	PG&E	\$5,450,000	192.805, 192.481, ALJ-274	12/23/2016	Pending

As authorized by ALJ Resolution-274, SED Staff has citation authority for the enforcement of safety regulations for violations by Gas Corporations of General Order 112 and Title 49, Parts 191, 192, 193 and 199 of the Code of Federal Regulations.<sup>1</sup>

### INSPECTIONS

- **2016 Inspections:** We have conducted 86 scheduled inspections in 2016 and have completed the final inspection report for 48 of these 86 inspections during 2016.

### INCIDENT INVESTIGATIONS

As of December 31, 2016, GSRB Staff received 166 incidents year to date. All pre-2015 incident investigations have been completed, and only 1 incident from 2015 remains open. Metrics on 2016 Incident Investigations:

TOTAL reported in 2016	166	Percent
Open	63	38 %
Closed	103	62 %

The CY 2016 incidents<sup>2</sup> are categorized as follows:

- 135 – Level 1 incidents

<sup>1</sup> General Order 112-F was adopted by the Commission on June 25, 2015, via D.15-06-044.

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

- 15 – Level 2 Incidents
- 8 – Level 3 Incidents
- 8 – Level 4 Incidents

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

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At the end of each year, the SIV process owner will conduct an annual review, which includes a trend analysis of systemic issues, determination of investigation effectiveness, and possible revision of investigation criteria. There was one self-identified violation in December 2016.

### NATURAL GAS RELATED PROCEEDINGS

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- **Distribution Record Keeping (I.14-11-008) (Commissioner Peterman/Lirag) (Advocacy):** Decision 16-08-020 was issued on August 18, 2016 which ordered Pacific Gas and Electric to pay a fine of \$25,626,000 for several violations of General Order 112 and the Public Utilities Code. The decision also ordered PG&E to convene, support and report no later than 120 days after the effective date of the order a meet-and-confer process to develop additional remedial measures necessary to address the issues identified in the decision. Staff from GSRB attended two meet-and-confer sessions and submitted comments on PG&E's draft compliance plan. Additionally, SED has a pending application for rehearing that was submitted on September 26, 2016. On November 22, 2016, the Commission issued a Notice of Reassignment from ALJ Maribeth Bushey to ALJ Rafael Lirag.
- **Gas Safety OIR (R.11-02-019) (Advisory):** Decision 15-06-044 Adopting Revised General Order (GO) 112-F signed by the Commission at its June 25, 2015, Commission Meeting. GO 112-F in Attachment A of D.15-06-044 is effective June 25, 2015; except that as to Sections 105, 122, 123, 125, 142, 143, 144, 145, and 162, the gas operators shall comply with these sections as soon as feasible but no later than January 1, 2017, unless compliance is extended for a particular provision pursuant to Rule 16.6 of the Commission's Rules of Practice and Procedure or its successor. R.11-02-019 was closed in June 2015, however, it was re-opened on an application for rehearing of the June 2015 decision, still pending.
- **Citation Program OIR (R.14-05-013) (President Picker/ALJ Burcham) (Advisory):** The current status of R.14-05-013 is "closed". Decision 16-09-055 was issued on September 29, 2016. Some key points are listed below:
  - An administrative limit of no more than \$8 million for each citation issued under the gas and electric safety citation programs should be adopted.

- Both the gas and electric safety citation programs should be modified to make utility reporting of self-identified potential violations voluntary. Under the modified rule, we will not require the utility to notify city and county officials of a self-identified potential violation unless staff requires it.
- **Sempra Pipeline Safety Enhancement Program (A.14-12-016) (Commissioner Peterman/ALJ Mason) (Advisory):** This proceeding deals with disposition of expenses in the balancing account for pipeline safety work. On December 1, 2016, the Commission adopted D. 16-12-063, representing an alternate decision from Commissioner Michel Florio. The proceeding is closed.
- **Sempra Pipeline Safety Enhancement Program (A. 15-06-013) (Commissioner Picker/ALJ Mikita) (Advisory):** This proceeding addressed the SoCalGas and SDG&E application for authorization to proceed with Phase 2 of their Pipeline Safety Enhancement Plan and establish Memorandum Accounts to record Phase 2 costs. The Commission on December 1, 2016, adopted D. 16-12-009 to approve the utilities' request to defer certain maintenance projects to ensure adequate gas deliveries while Aliso Canyon storage was non-operational. A special monthly instrumented leak survey will be required during the period while the projects are deferred. The proceeding is closed.
- **Mobile Home Parks Pilot Program (Implementing D.14-03-021):** This decision established a three-year pilot program authorizing each California investor-owned utility to convert 10% of master-metered gas and/or electric Mobile Home Park spaces within its operating territory to direct utility service. The Pilot Program began on January 1, 2015, and will continue through 2017. No significant updates for December.
- **OIR (R.16-07-006) Commissioner Randolph/ALJ Wildgrube):** The Order Instituting Rulemaking on the Commission's Own Motion to Revise General Order 58A to Comply with Decision 14-01-034 was issued on July 20, 2016. The Joint Utilities addressed the proposed changes to GO 58A and provided some suggested edits to improve clarity or consistency with earlier legislation and prior Commission decisions. ALJ Wildgrube requested that SED review and provide him advisory support on the Joint Utilities "Simplified Proposal" found in the Opening Comments of San Diego Gas & Electric Company (U 902 M), Southern California Gas Company (U 904 G), Pacific Gas and Electric Company (U 39 G) and Southwest Gas Corporation (U 905 G) on Order Instituting Rulemaking on the Commissioner's Own Motion to Revise General Order 58A to Comply with Decision 14-01-034. On September 7, 2016, SED provided ALJ Wildgrube comments on the Joint Utilities "Simplified Proposal." SED's comments are currently being reviewed by ALJ Wildgrube.

## ELECTRIC SAFETY AND RELIABILITY PROGRAMS

### ELECTRIC AND COMMUNICATIONS FACILITY PROGRAM: AUDITS AND INCIDENT INVESTIGATIONS

In December 2016, Electric and Communication Facility Safety Section Staff:

- Received five electric incidents and closed 11 previously reported electric incidents;
- Investigated 10 customer safety and reliability complaints;
- Issued nine Notice of Violation (NOV) letters.

**Metrics for Facility Incident Investigations as of December 31, 2016**

Electric and Communication Facilities	Level 1	Level 2	Level 3	Level 4	Total <sup>3</sup>
<b>Total open incidents</b>	8	21	31	40	100
<b>Total incidents reported in 2016</b>	16	24	30	33	103
<b>Total incidents closed in 2016</b>	14	13	18	21	66
<b>Total open 2016 incidents</b>	7	18	25	27	77
<b>Incidents reported in December 2016</b>	1	0	2	2	5
<b>Incidents closed in December 2016</b>	3	3	2	3	11

### ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: PROCEEDINGS

- **Resolution SED-3: Citation procedures for enforcement of safety regulations applicable to communications providers.** SED published this draft resolution on October 28, 2016, proposing a citation program for communications providers consistent with the gas and electric safety citation programs adopted in Decision 16-09-055. SED published revisions to the draft resolution in response to comments. The Commission approved Resolution SED-3 on December 1, 2016.
- **Investigation into Incident (I.16-07-007) (Commissioner Picker/ALJ Cooke)(Advocacy):** On July 15 and July 30, 2015, fires and explosions in underground electric vaults caused power outages that affected thousands of Long Beach customers for several days. On August 15, 2015, another fire occurred in an underground vault with additional outages. After ESRB’s investigation and upon SED’s recommendation, the Commission adopted an

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



Order Instituting Investigation on July 14, 2016. On September 6, 2016, the Commission held a prehearing conference, and on September 21, 2016, the assigned commissioner issued a scoping memo outlining the schedule and other matters related to this OII. The schedule opened a Discovery period from November through January 2017, with the potential for evidentiary hearings in February.

- **Investigation into Incident (I.15-11-006) (Commissioner Randolph/ALJ Kim) (Advocacy):** A subcontractor was fatally injured in a Southern California Edison underground vault in Huntington Beach. On December 15, 2016, SED and Southern California filed a settlement agreement in the matter, for Commission consideration.
- **Fire Safety Rulemaking (R.15-05-006) (Commissioner Florio/ALJ Kenney) (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 July 2016, assigned Commissioner Florio issued an amended scoping memo and ruling directing the Fire Safety Technical Panel (FSTP) to hold workshops to develop a work plan for creation and adoption of Fire Map 2. In November and December 2016, the Fire Safety Technical Panel (FSTP) commenced workshops to review and discuss the work completed by the subject matter expert (SME) working group with regards to the development of fire-safety regulations. The FSTP filed and served a workshop report. On December 13, 2016 the assigned Commissioner filed a proposed decision regarding the Fire Map 2 work plan, following the submittal of an October 2016 workshop report by parties which detailed party recommendations for execution of a final fire map and associated regulations. Comments and reply comments on the proposed decision will be filed in early January 2017.
- **Applicability of Right-of-Way Rules to CMRS Carriers (R.14-05-001) (Commissioner Randolph/ALJ Kenney) (Advocacy):** D.16-01-046 adopted GO 95 amendments to provide Commercial Mobile Radio Service (CMRS) carriers with nondiscriminatory access to public utility infrastructure, including poles. The decision closed the proceeding. ESRB has updated GO 95 to incorporate the adopted changes and will undertake other follow-up work directed by the decision.
- **Repealing/amendments to Rule 18 OF GO 95 (R.16-12-001) (President Picker/ALJ Kenney) (Advocacy):** On May 9, 2016, SED filed a petition for a rulemaking to consider repeal GO 95, Rule 18, because it compromises the minimum safety standards that GO 95 provides. On December 9, 2016, the Commission issued an OIR to consider specified amendments to, and possible repeal of, Rule 18 of GO 95. Comments on the rulemaking are due on January 30, 2017; replies are due February 9, and a prehearing conference will be held on February 22.
- **Physical Security of the Electric System (R.15-06-009) (President Picker/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 October 11, 2016, the ALJ issued a ruling directing parties to address six questions posed by the Assigned Commissioner at the PHC. SED did not file comments. Prehearing conference statements are due on January 19, 2017, and a prehearing conference is scheduled on February 2.

- **Electric Storage Procurement (R.15-03-011) (Commissioner Peterman/ALJ Cooke) (Advisory):** ESRB continues to provide advisory support to help determine best practices related to energy storage, and the proper way to inspect such facilities. A set of inspection protocols was issued for review by the ALJ on September 29, 2016, who sought comment on whether Commission general orders need to be revised to include the protocols. On October 24, 2016, SCE, SDG&E, Green Power Institute and PG&E filed comments recommending against a new general order to cover a preliminary commission inspection checklist for energy storage facilities. ESRB will continue to follow, review and evaluate all documents related to safety.
- **Distributed Energy Resources (R.14-08-013) (President Picker/ALJ Allen) (Advisory):** ESRB continues 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 accept, accept provisionally, or reject the submitted plans. ESRB will begin planning next steps for the Commission’s consideration.
- **Resolution E-4791:** Adopted in May 2016, this resolution authorized expedited procurement of storage resources to ensure electric reliability in the Los Angeles Basin due to limited operations of Aliso Canyon Gas Storage Facility. Southern California utilities have since filed several advice letters seeking approval for contracts under this initiative. ESRB will follow, review and evaluate all documents related to safety.

### ELECTRIC AND COMMUNICATIONS FACILITY SAFETY: REPORTS AND OTHER ACTIVITIES

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- **Transmission Maintenance Coordination Committee (TMCC):** TMCC is an advisory committee to help the CAISO develop, review and revise Transmission Maintenance Standards. ESRB is a member and attends quarterly meetings.

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

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The Electric Generation Safety and Reliability Section staff has performed the following in December 2016:

- Investigated 13 forced or planned outages at power plants (all through phone calls and email inquiries).
- Completed the draft report of the Colusa power plant audit, and continued work on the audit report of the Walnut Creek power plant. Continued to monitor and track corrective actions of two plants (Redondo Beach and Los Esteros) for compliance with GO 167 requirements.

## California Public Utilities Commission | Safety and Enforcement Division

- No safety incidents were reported this month. Please see the 2016 year-to-date incident statistics in the table below.

### Metrics for Generation Incident Investigations as of December 31, 2016

Electric Generation Incidents	Level 1	Level 2	Level 3	Level 4	Total <sup>4</sup>
<b>Total incidents reported in 2016</b>	1	0	2	0	3
<b>Total incidents closed in 2016</b>	1	0	1	0	2
<b>Total open 2016 incidents</b>	0	0	1	0	1
<b>Incidents reported in December 2016</b>	0	0	0	0	0
<b>Incidents closed in December 2016</b>	0	0	0	0	0
<b>Average closure time of incidents in 2016</b>	1 day	-	214 days	-	107 days

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## UTILITY RISK ASSESSMENT AND MANAGEMENT

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### REVIEWING SAFETY & RISK IN GENERAL RATE CASES

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On September 1, 2016, Southern California Edison filed its application for the Test Year 2018 General Rate Case (A.16-09-001). SCE seeks authority for a total base revenue requirement of \$5.555 billion, with an increase in TY 2018 of \$313 million (5.5%) over currently authorized base rates. Within this request, SCE is seeking authorization for substantial amounts attributed to projects and programs that it claims are meant to improve safety and reliability of electric operations. Because this GRC was not fully incorporated into the new Safety Model Assessment Procedure (S-MAP), SCE was not obligated to file a Risk Assessment Mitigation Phase (RAMP) in advance, but the utility claims to have addressed RAMP elements and risk management in its testimony.

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

SED Risk staff has issued numerous data requests to obtain more precise risk and spending information, which it will use to issue an evaluation report by January 31, 2017.

In this report, staff will be analyzing the filing and testimony:

- To evaluate how well SCE’s risk management program matches their S-MAP process and Commission RAMP guidance (as per D. 14-12-025 and D.16-08-018);
- To assess the GRC spending request for risk-related safety improvements, mitigations and alternatives;
- To review specific, identified areas of significant safety concern (i.e., aging infrastructure, grid modernization, pole loading);
- To identify any “acute” safety issues that should receive attention outside of the GRC.

A challenge for the staff evaluation is that SCE did not initially list its top Safety Risks, but rather identified dozens of asset components or program activities, in which Safety was a factor – but not the major determinant of its scoring in a risk register. Via data requests, staff was able to derive a “top 20” listing of asset risks with safety aspects for its review, but for only a half-dozen of these was it apparent that safety was a major component of the enterprise risk assessment. Six assets are ranked by total spending projected for TY2018 (Capital and O&M):

1. Distribution and Sub-transmission wood poles	\$633,268,000
2. 4 KV System elimination and upgrade	\$215,219,000
3. Underground cables	\$191,841,000
4. Distribution Overhead Conductors	\$139,514,000
5. Substation transformers	\$ 68, 601,000
6. Underground structures	\$ 72,790,000

Among other assets that SCE included were some renovations/expansions of Service Centers, and construction of a storage facility for “critical electric facilities” for \$22 million. At this time, it is unclear what the safety nexus for these latter projects entails.

### CLIMATE CHANGE ADAPTATION

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As previously noted, SCE did not specifically include Climate Change Adaptation as a top risk, however, responses to staff’s data requests indicate that the utility is in fact applying a kind of risk assessment to expected consequences of Climate Change.

Staff is recommending that in future GRC, all utilities provide an assessment of these critical risks as part of their risk assessment and mitigation management program.

SCE's Climate Change analysis appears to have drawn on numerous sources, ranging from the California Energy Commission's adaptation reports to various academic models for assessing how projected changes may affect local communities in the decades to come, then applying these projections to the utility's service territory. Based on this application, the utility identified a number of expected impacts on its operations, including:

- ◆ Warmer Temperatures
- ◆ Extreme Heat Events Increased Wildfire Risks
- ◆ Sea-level Rise/Inundation
- ◆ Precipitation and Snowpack Changes

Although the utility said that it has not completed its analysis of consequences, it indicated that it has begun to study the indirect and direct costs associated with long-term climate change, as well as mitigations to overcome them. This analysis is expected to be completed in mid-2017.

The SCE Climate Change analysis has begun to identify potential mitigation measures that should be adopted well in advance of the expected impacts. During "course of action" workshops conducted during 2016, the utility and subject matter experts identified eight major mitigation categories – along with their associated but unquantified cost impacts and prospective benefits – to further explore and begin incorporating into utility planning:

- ◆ Build to projected impacts
- ◆ Facility relocations
- ◆ Individualized facility flood mitigation engineering
- ◆ Equipment specifications aligned to future weather models
- ◆ Adding equipment to reduce system stress
- ◆ Increase focus on distributed generation availability
- ◆ Increase reservoir locations and capacity
- ◆ Align system specifications with modified weather conditions.

The Climate Change impact analysis represented by this initiative is characterized as a long-range planning effort, projecting into mid-century and beyond; however, many aspects of the assessment should be incorporated into the utility's risk assessment modeling beginning with

the next GRC cycle. The TY 2021 GRC process should explicitly detail costs of conducting the Climate Change analysis and provide preliminary assessments of expected financial consequences and costs of mitigations (and alternatives) for review in the utility's first RAMP filing in 2018. It is certainly not too soon to begin planning for what the Climate Change models generally conclude will be inevitable outcomes.

While several of the mitigations identified above may not require substantive increases in capital outlays, as they relate to planning and improving tolerance specifications for equipment upgrades and replacement that would likely happen in any event, some areas – particularly facility relocations, stress-reduction facility expansion, and reservoir capacity expansion – may require significant capital investments that should be planned well in advance.

Because of apparent overlaps with other risk-informed programs – including facility relocations, distributed resource planning, seismic upgrades, etc. – early identification of adaptive mitigations can be leveraged with other planned investments for maximum benefit and more efficient resource allocations.

Future RAMP analysis and GRC proposals for SCE (indeed, for all jurisdictional utilities) should begin to include Climate Change Adaptation as a cross-cutting risk.

### RAMP FOR SEMPRA UTILITIES

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On November 30, 2016, San Diego Gas & Electric and Southern California Gas filed their Risk Assessment Mitigation Phase (RAMP) documents to be addressed in I.16-10-015/-016. The utilities identified and analyzed proposed mitigations for 28 individual safety risks for natural gas, electric distribution and utility cross-cutting risks. On December 13, 2016, the utilities held a workshop to review their filing. Staff will be conducting an evaluation of the RAMP filing, due by the end of February.

## PROCEEDINGS

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- **Investigation into Safety Culture of Pacific Gas and Electric Company and PG&E Corp. (I.15-08-019) (President Picker/ALJ DeAngelis) (Advisory):** NorthStar Consulting has been conducting an intensive schedule of meetings with utility executives and managers, as well as field visits to monitor how safety is being discussed and safety practices instilled in the company. The Risk section is project manager for this contract, and SED staff has attended many of these interviews and field visits. During December, NorthStar continued interviews and field observations in preparation for a report due in March 2017.
- **Safety Model Assessment Proceeding (A.15-05-002, et al) (President Picker/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 developed for the Electric Power Research Institute and proposed by stakeholder groups TURN/Indicated Shippers/Electric Producers & Users Coalition. Following a November 16, 2016, pre-hearing conference, the Phase 2 Scoping Memo was issued on December 13, 2016, establishing a new schedule for the proceeding. Test Drive working groups will commence in mid-January through July. A workshop for utility presentations will be held on February 15, 2017.
- **PG&E 2017 General Rate Case (A.15-09-001) (President Picker/ALJ Roscow) (Advisory):** On August 3, 2016, Pacific Gas & Electric and 14 parties filed a Joint Motion for Commission approval of a settlement of issues in the TY 2017 General Rate Case (A.15-09-001). A joint exhibit of testimony on executive compensation and safety was filed on October 3. An Energy Division report on past safety spending was issued in late October. A PD is pending.
- **Gas Leak Abatement OIR (R.15-01-008) (President Picker/ALJ Kersten) (Advisory):** Gas companies filed their annual reports on leaks and emissions during 2015 on June 17, 2016. SED Staff, working with CARB Staff anticipates releasing a draft of the report, along with proposals to refine reporting templates, for comment in January. Additionally, staff moderated two days of workshops in December to refine and clarify a set of Best Practices for leak detection, quantification and mitigation, among other areas, which will form the basis of utility Compliance Plans. An ALJ ruling in January will ask for comments on these staff recommended Best Practices.
- **SCE 2017 General Rate Case (A.16-09-001) (President Picker/ALJs Roscow & Wildgrube) (Advisory):** While not subject to the full S-MAP/RAMP requirements for this GRC cycle, SCE has included some level of analysis of its risk mitigations in the new GRC application testimony filed September 1, 2016.. SED Risk staff will be advisory and is currently engaged in issuing data requests for an evaluation report that is due January 31, 2017.
- **Long Beach Outage Incidents (I.16-07-007) (Commissioner Picker/ALJ Cooke)(Advisory):** In July and August 2015, a series of fires and explosions in underground electrical vaults caused repeated power outages in Long Beach. Following an investigative report by SED's Electric Safety & Reliability Branch (ESRB) the Commission on July 14, 2016, adopted an Order Instituting Investigation. In November, ALJ Cooke granted a joint motion to extend

the schedule pending settlement discussions. If no settlement is reached, hearings would occur in late April 2017.

- **Electric Storage Procurement (R.15-03-011) (Commissioner Peterman/ALJ Cooke) (Advisory):** In compliance with D. 16-01-032 (Track 1 decision in this rulemaking), staff has convened a technical group to consider appropriate Safety-related issues for facility inspections of grid-connected storage operated by utilities. The resulting set of inspection protocols was issued for review by the ALJ on September 29, 2016, who sought comment on whether Commission general orders need to be revised to include the protocols.
- **Fire Safety Rulemaking (R.15-05-006) (Commissioner Florio/ALJ Kenney) (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. In July 2016, Commissioner Florio issued an amended scoping memo and ruling directing the Fire Safety Technical Panel (FSTP) to develop a work plan for creation and adoption of Fire Map 2. Parties filed a work plan on October 7, 2016, proposing a process for developing Fire Map 2. A decision to adopt a revised workplan and schedule is set for Commission consideration on January 19, 2017.
- **PG&E Supplemental Energy Storage Procurement (A.16-04-024) (Peterman/ALJ Cooke) (Advisory):** PG&E in April 2016 applied for approval of an additional energy storage project contract with STEM, which was not part of its A.16-03-001 case. However, in a December 2016 decision (D.16-12-024), the Commission rejected the contract, finding that the project did not prove its cost-effectiveness. The proceeding is closed.
- **PG&E Gas Transmission & Storage Rate Case (A.13-12-012/I.14-06-016) (Picker/Bushey) (Advisory):** The GT&S case was decided on June 25, 2016, with D.16-06-056. Among other provisions for disallowances for safety lapses, the decision also disallowed from immediate recovery \$696.4 million for 2011-2014 capital expenses above that previously approved in Gas Accord V. \$120 million is permanently disallowed, but \$576 million would be subject to an audit by Commission staff or a third party. SED staff is currently conferring with Energy Division and the Division of Water and Audits to determine whether to conduct the audit internally or using an outside expert.



**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 - 1/01/16 TO 12/31/16**

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	5	1	0	2	0
March	0	0	0	0	0	0
April	0	2	0	0	0	0
May	0	0	0	0	1	0
June	0	0	0	0	0	0
July	0	0	0	0	0	0
August	0	0	0	1	0	0
September	0	0	0	0	0	0
October	1	1	0	0	0	0
November	0	0	0	0	0	2
December	0	1	1	1	0	0
<b>Total 2016</b>	<b>1</b>	<b>9</b>	<b>3</b>	<b>2</b>	<b>3</b>	<b>2</b>

Invalid Whistleblower Complaints Converted to Standard Complaints							
	<u>CAB</u>	<u>Transportation</u>	<u>Electric Safety</u>	<u>Gas Safety</u>	<u>Telco/Utility Fraud</u>	<u>Rail</u>	<u>Consumer Referred to Outside Agency</u>
January	0	0	0	0	0	0	0
February	0	0	0	0	0	0	1
March	0	0	0	0	0	0	0
April	0	0	0	1	0	0	0
May	0	0	0	0	0	0	0

## California Public Utilities Commission | Safety and Enforcement Division

<b>June</b>	0	0	1	0	0	0	0
<b>July</b>	0	0	0	0	0	0	0
<b>August</b>	0	0	3	0	0	0	0
<b>September</b>	0	0	0	0	0	0	0
<b>October</b>	1	1	0	0	0	0	0
<b>November</b>	0	1	0	0	0	0	0
<b>December</b>	0	1	0	0	0	0	0
<b>YTD</b>	<b>1</b>	<b>3</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>1</b>

Test, Incomplete or Duplicate Whistleblower Complaints	
<b>January</b>	0
<b>February</b>	4
<b>March</b>	0
<b>April</b>	3
<b>May</b>	0
<b>June</b>	0
<b>July</b>	0
<b>August</b>	1
<b>September</b>	0
<b>October</b>	0
<b>November</b>	3
<b>December</b>	0
<b>YTD</b>	<b>11</b>

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### OFFICE OF RAIL SAFETY

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#### RAILROAD SAFETY - ROSB

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In the month of December 2016, SED Staff's Railroad Operations group completed the following:

<b>New Incidents Investigated</b>	8
<b>Informal Complaints Investigated</b>	0

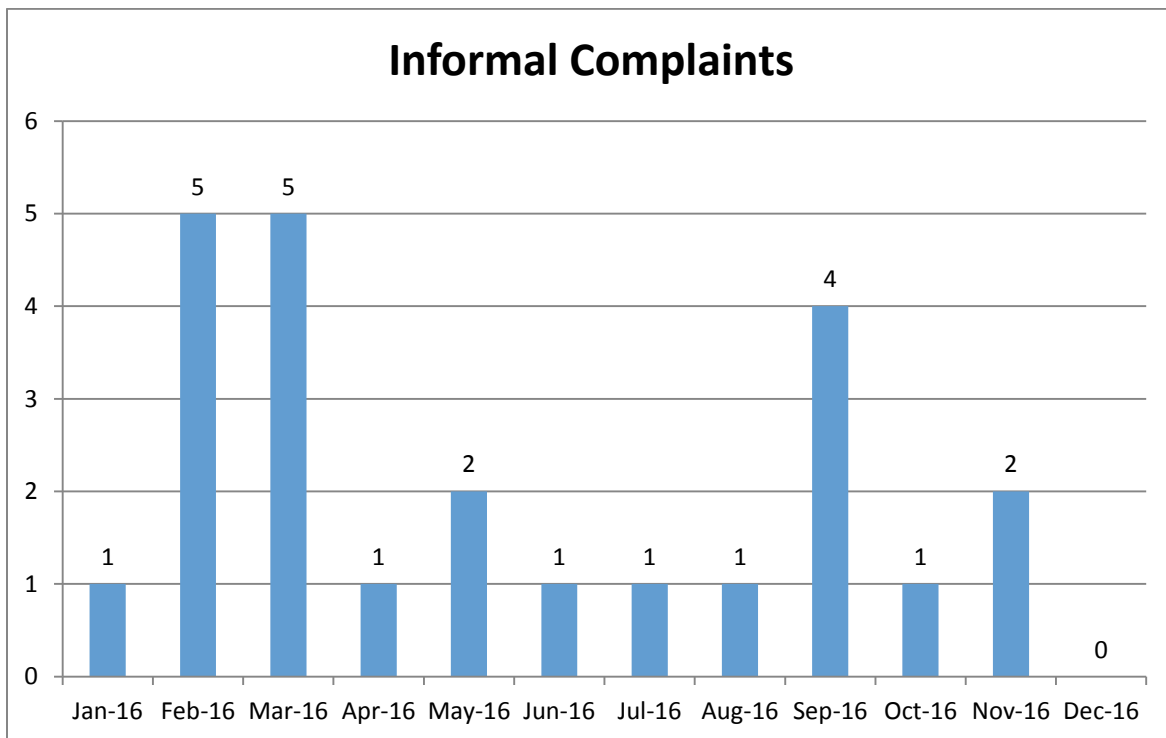
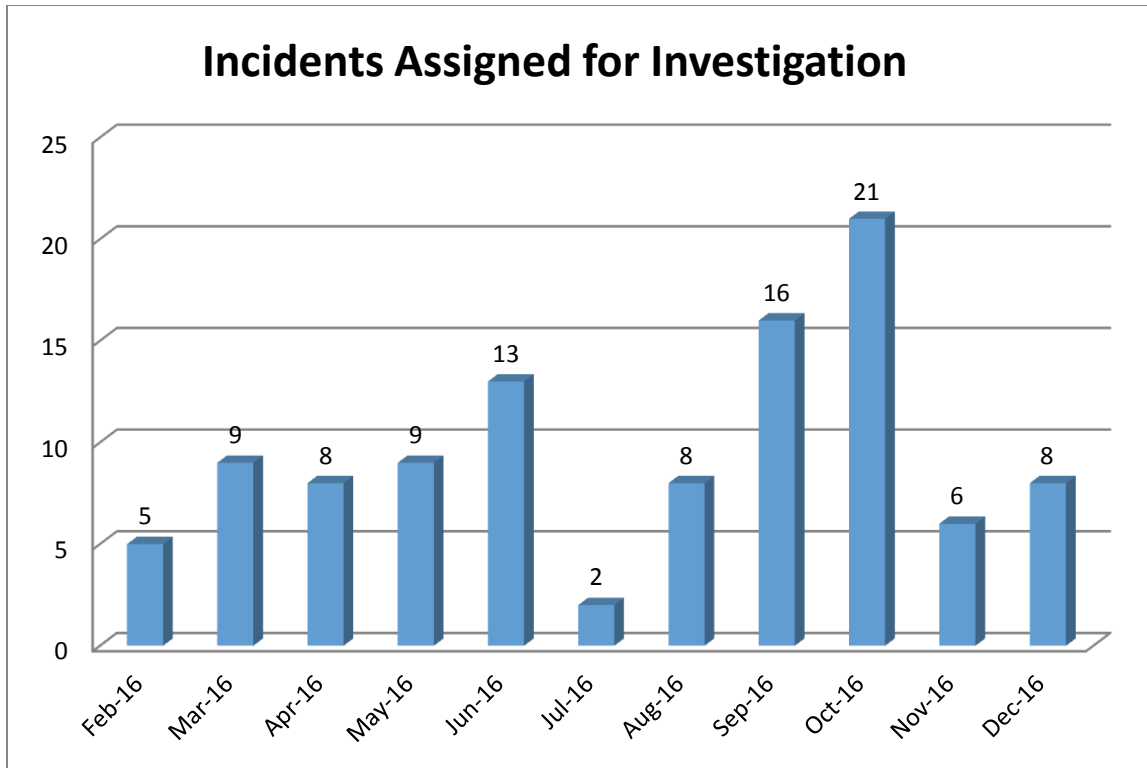
<b>Safety Assessments/Reviews</b>	7
<b>Compliance Actions</b>	259
<b>Major Inspections Completed - Such as Focused Inspections</b>	0
<b>Operation LifeSaver Presentations</b>	1

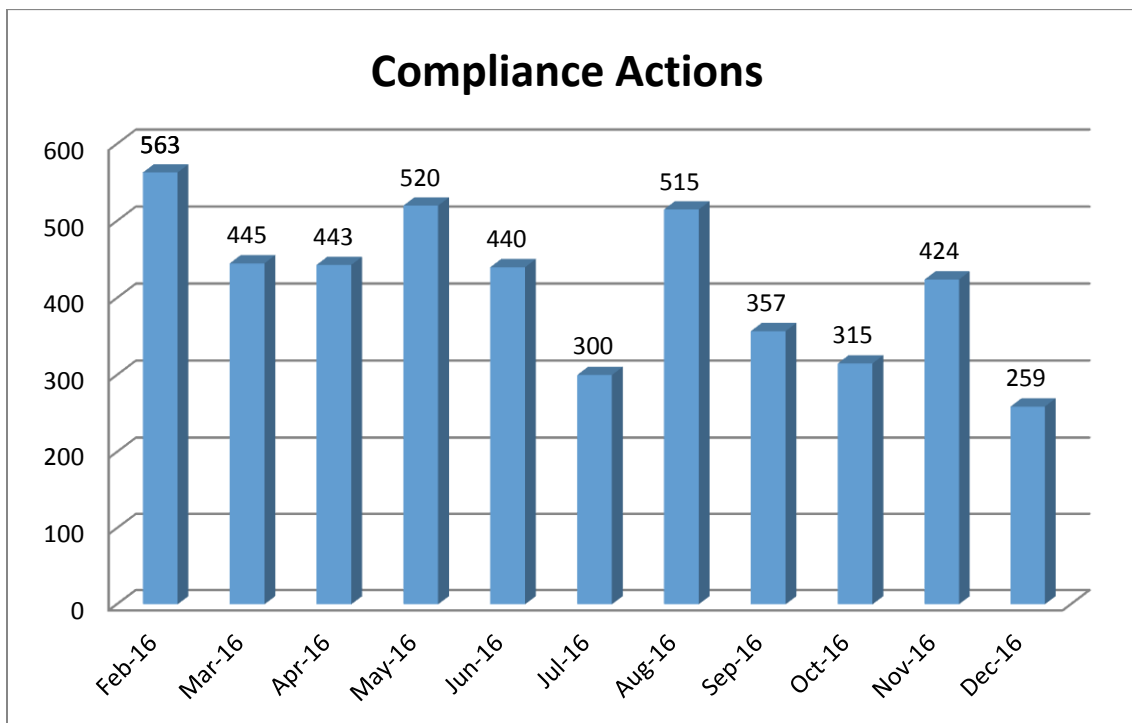
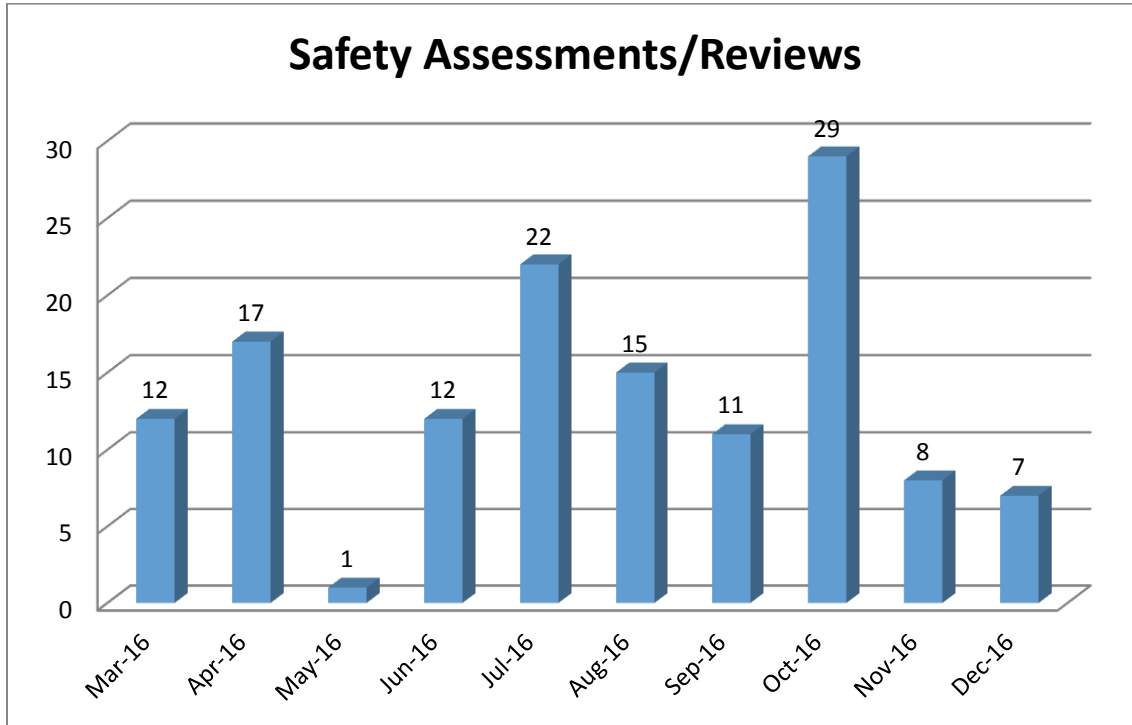
ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

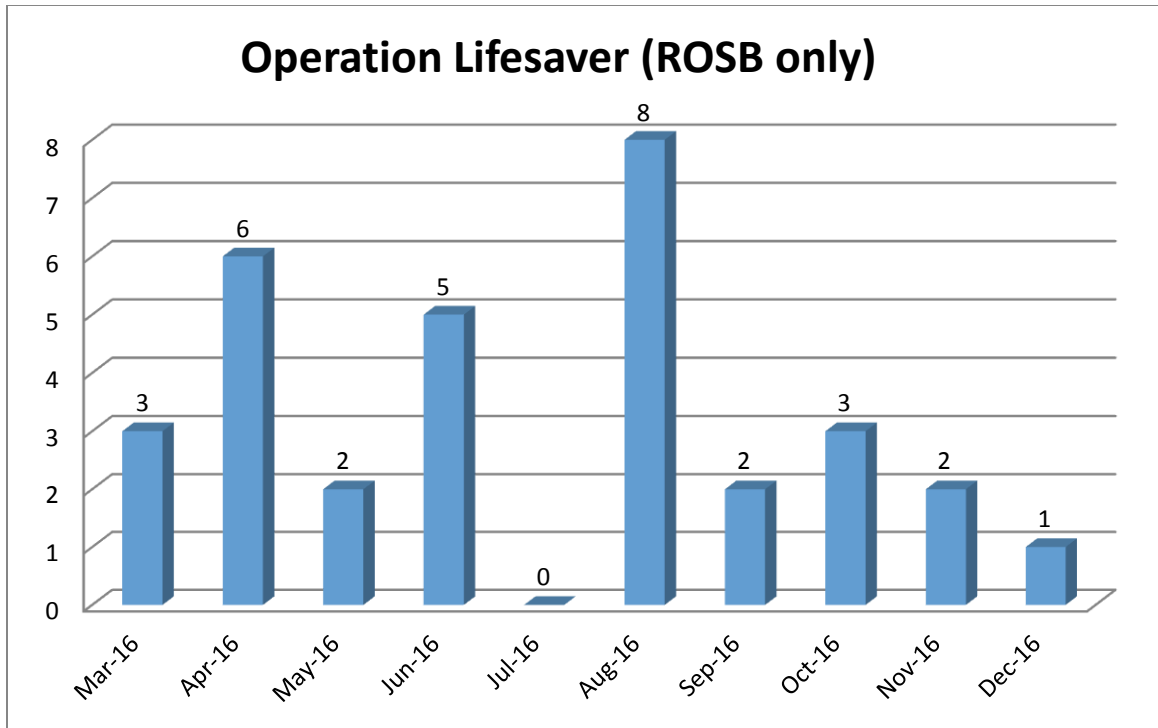
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**December 1, 2016:** A ROSB Rail Safety Inspector conducted a General Order compliance inspection on the UPRR Beaumont Siding and observed that walkway along the siding were not in compliance with general order 118A. There was excessive vegetation along the walkway, which would impair TE&Y crews from walking safely along the tracks while working. The inspector informed the local track supervisor of the findings and provided him with a General Order inspection report. On December 20, 2016 the inspector received notice that all non-complying issues at the siding were resolved.

**December 16, 2016:** An inspection conducted by a ROSB Rail Safety Inspector of BNSF Victorville Yard found a locomotive with oil on both sides of the catwalk. An operational defect was also found in violation of FRA 49 CFR 229.119(C) and BNSF Air Brake and Train Handling Rule 101.2(B) as it presents an immediate hazard for a crewmembers walking in this area. A defect was noted in the inspection report, the terminal senior trainmaster was notified and the defect and violation were corrected.







### RAIL CROSSINGS AND ENGINEERING BRANCH – RCEB

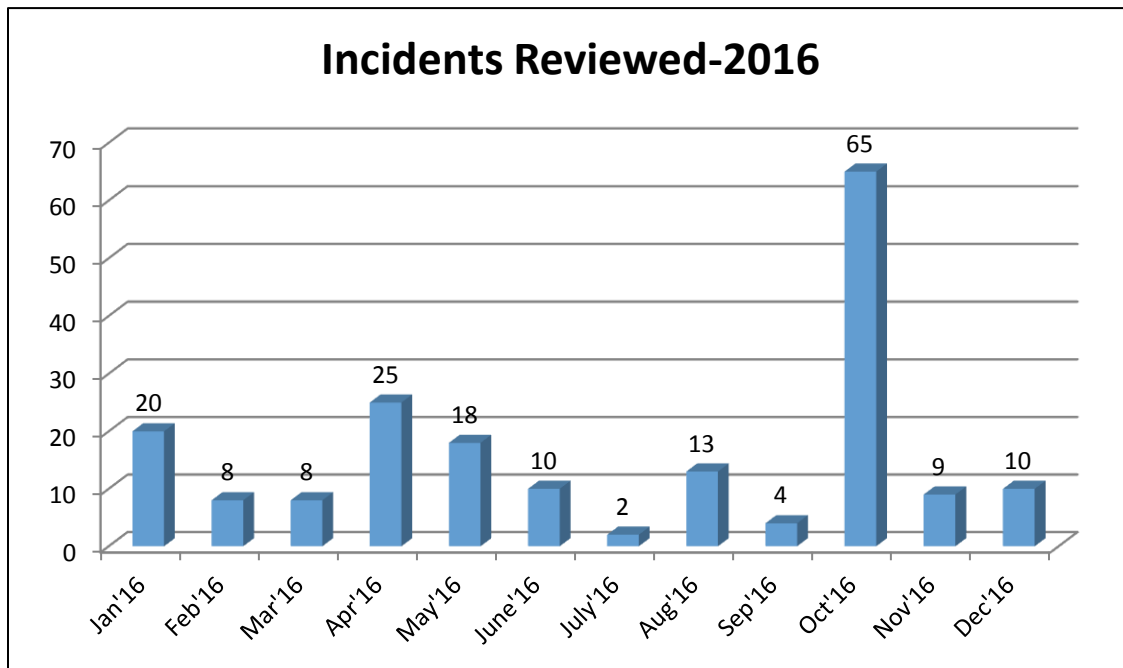
In the month of December 2016, the Rail Crossings and Engineering Branch completed the following:

	Open at Period Start	New During Period*	Closed During Period	Open at End of Period
2016 Crossing Incident Investigations	78	21	10	89
Informal Complaints Investigations	27	0	1	26
Safety Assessments/Quiet Zones/Reviews	0	29	29	0
Environmental Reviews	0	53	53	0
Proceedings, Resolutions and G.O. 88-	17	14	15	16

B Reviews				
Operation LifeSaver Presentations	0	0	0	0
*As RCEB checks FRA data with CPUC data, RCEB adjusts the number of incidents for 2016.				

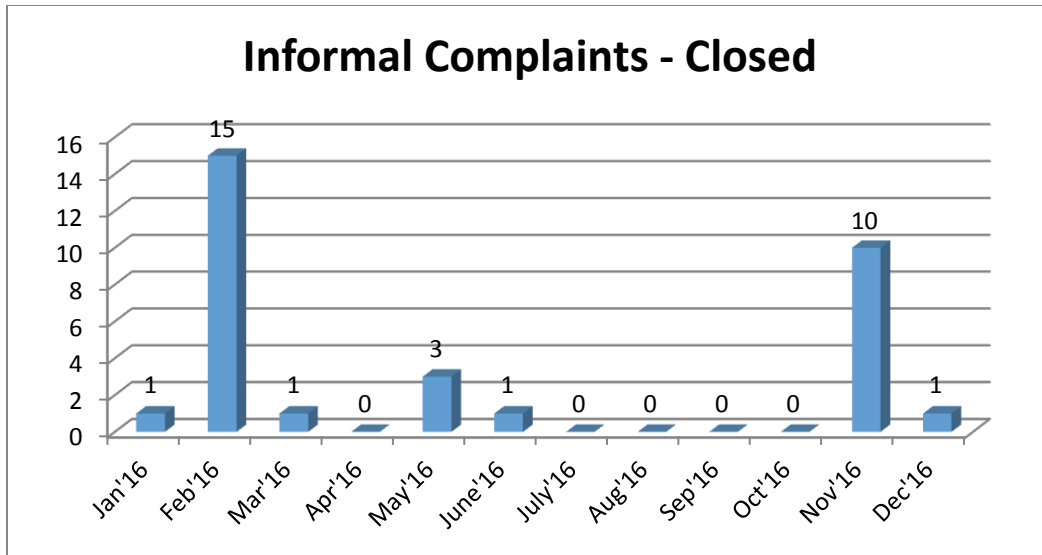
RAIL CROSSING INCIDENT INVESTIGATIONS

- In December 2016, the Rail Crossings and Engineering Branch engineers received 21 new incidents and completed 10 highway-rail crossing reviews.



INFORMAL COMPLAINTS

- In December 2016, staff did not receive any new complaints involving highway-rail crossings. RCEB staff closed 1 complaint in December 2016 and continues to work with the remaining open complaints.

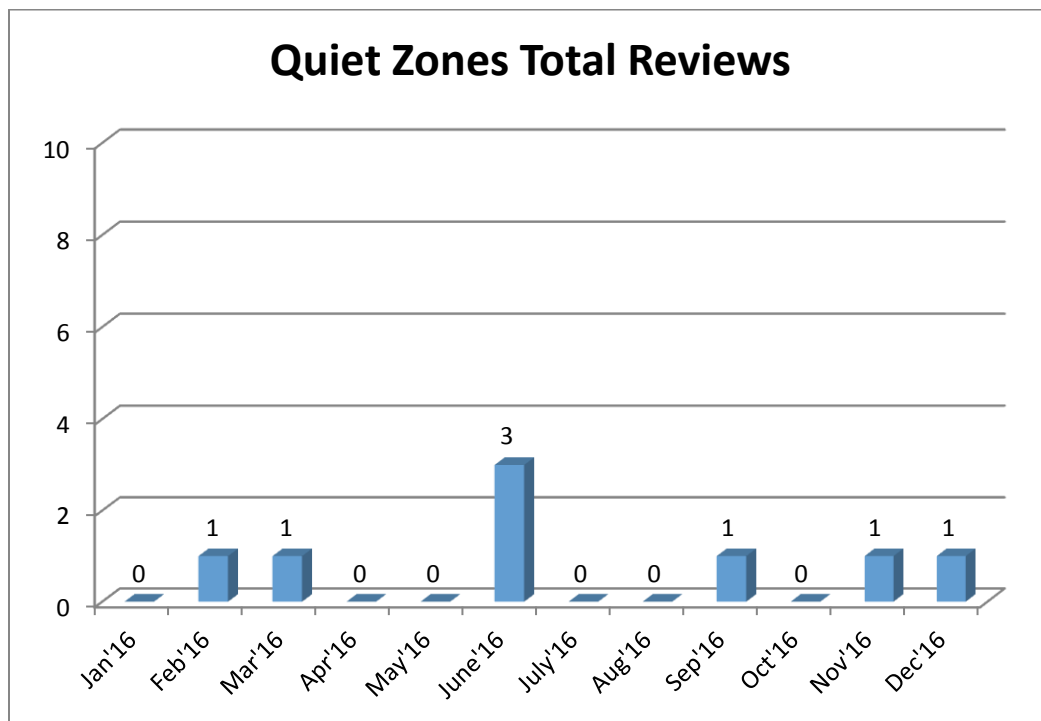
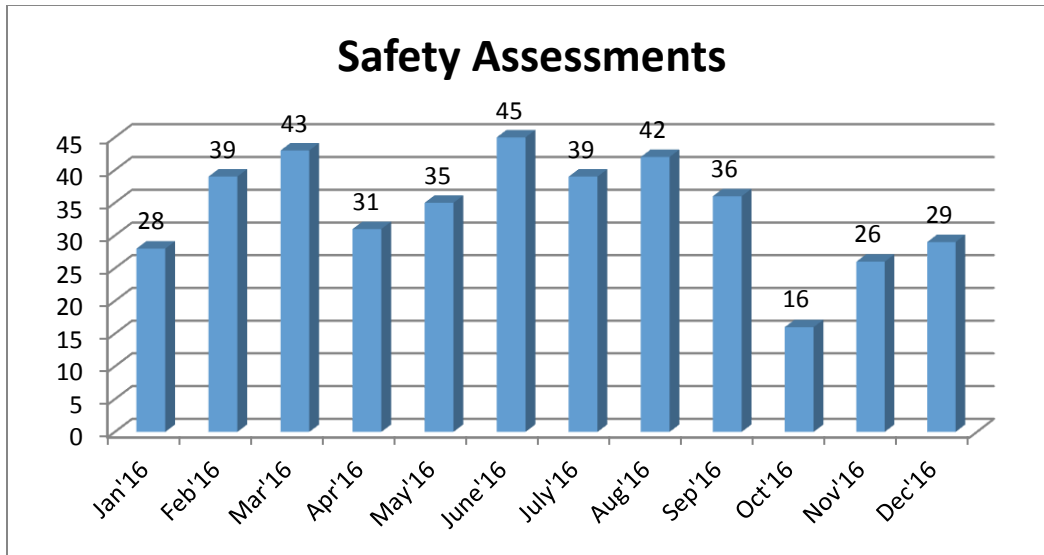


SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

In December 2016, staff completed 29 rail crossing safety assessments involving communications, field inspections, Quiet Zones, and diagnostic reviews with railroads and local agencies. A Quiet Zone approved for the City of Riverside issued a Notice of Establishment, effective December 28, 2106.

- Quiet Zone: 2012010001 On January 30, 2012, the City of Riverside issued a Notice of Intent for creating a new 24-hour Quiet Zone of four crossings along the Southern California Regional Rail Authority's Perris Valley Line, including Marlborough Ave (DOT 027304U, PV Subdivision MP 66.210), Spruce Street (DOT 027305B), Blaine Street (DOT 027307P), and Mt. Vernon Ave (DOT, 027308W, PV Subdivision MP 68.13) with the implementation of Supplemental Safety Measures at all crossings under 49 CFR 222.39(a)(1). On December 5, 2016, the City issued a Notice of Establishment, effective December 28, 2016.

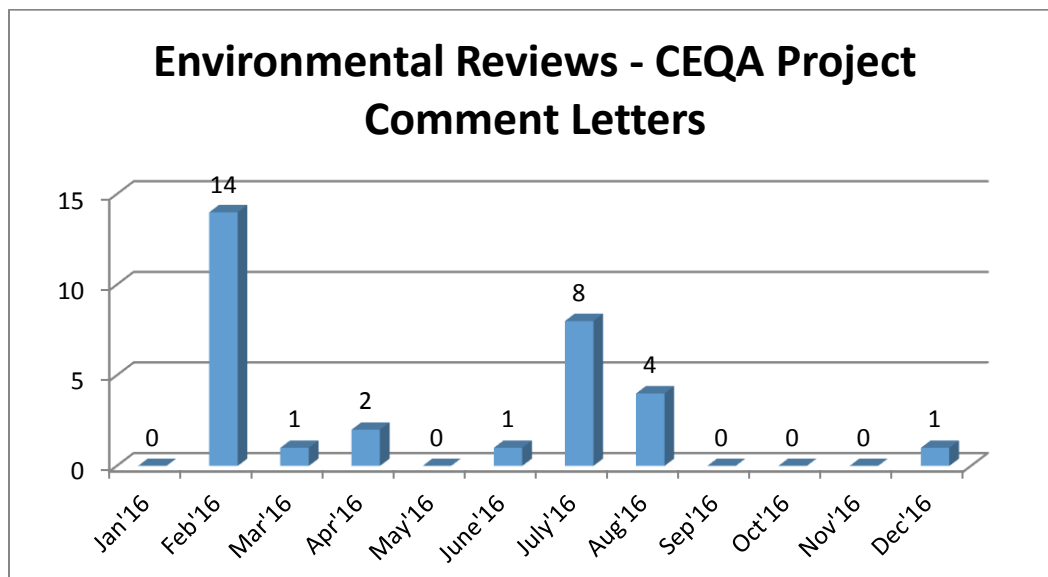
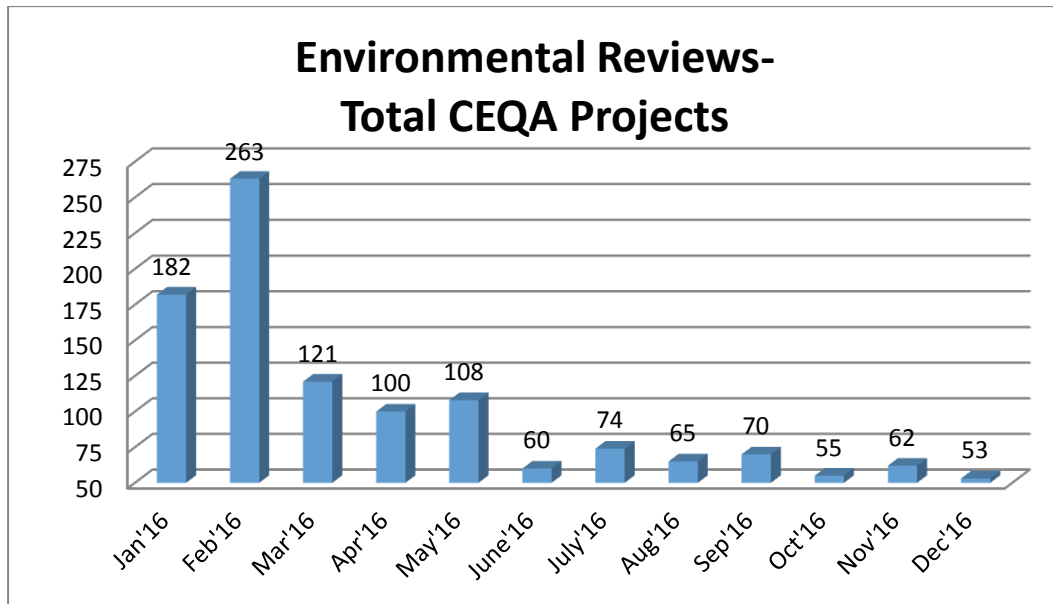




#### ENVIRONMENTAL REVIEWS

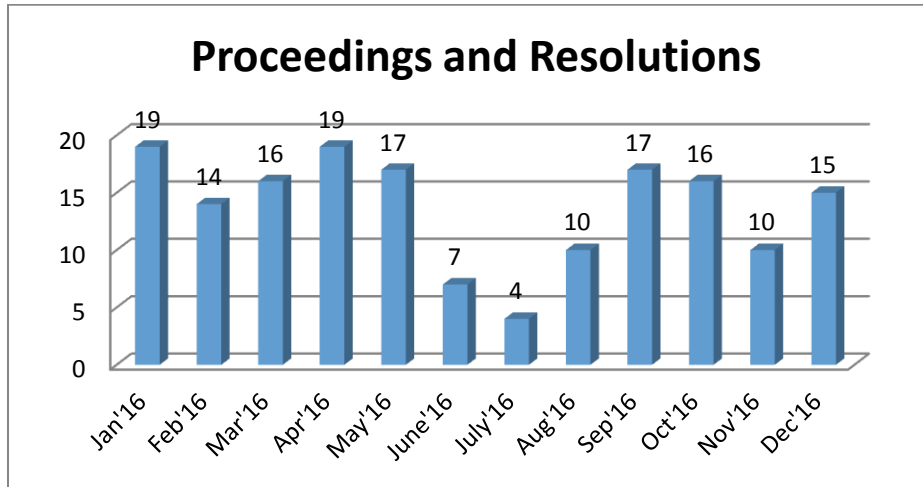
In December 2016, staff reviewed 53 CEQA reports. When railroads and local agencies plan new projects or developments, staff reviews the documents submitted by the agencies for safety impacts to crossings. The review addresses safety issues in highway-rail crossing design and nearby intersections during the design phase of the projects. RCEB issued a comment letter.

- The City of El Segundo issued a Draft Environmental Impact Report for the Park Place Extension and Grade Separation. RCEB staff supports the three alternatives that do not add a new at-grade crossing; and, opposes the option 3B that creates a new at-grade crossing. RCEB staff also recommends the City to study the potential impact that will lead to the Douglas Street grade crossings, identified as CPUC No. 001BBF-499.43 and DOT No. 760608D, CPUC No. 002H-14.70 and DOT No. 028052Y, which are located approximately half mile east of the proposed Park Place connection.



PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS

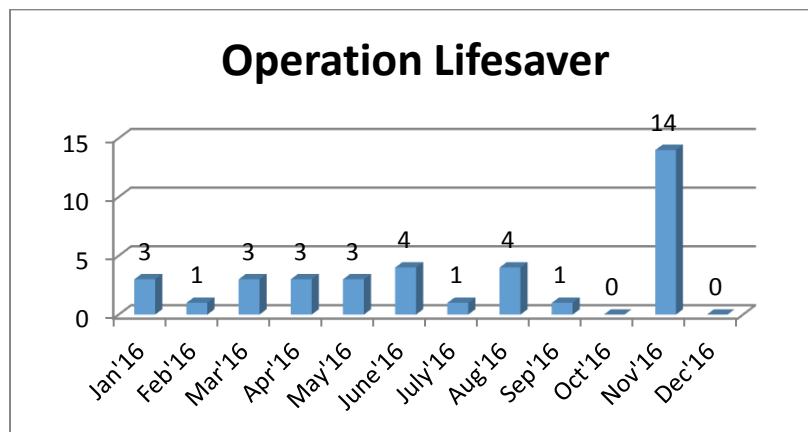
In December 2016, engineering staff received 12 new General Order 88-B applications, two formal proceedings, and closed 14 General Order 88-B reviews and one formal proceeding.



- PROC A1601013 - Application of the California High-Speed Rail Authority to construct two high-speed rail tracks and overpass grade separations at Avenue 7, Avenue 8, Avenue 9, Avenue 10, Avenue 11, and Avenue 12. With Decision 1612005, the CPUC authorized the construction on December 1, 2016.

OPERATION LIFESAVER INC.

In December 2016, RCEB staff did not participate in any Operation LifeSaver Inc. (OLI) events. As time permits RCEB staff continues to volunteer and participate in OLI events and activities.



## RAIL TRANSIT - RTSB

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In December 2016, the Rail Transit Safety Branch (RTSB) completed the following:

### CORRECTIVE ACTIONS PLANS

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- RTSB opened 21 new Corrective Action Plans (CAPs) due to incidents, internal safety audits, and inspections in December 2016.
- 3 CAPs were closed this month.

### INCIDENT INVESTIGATIONS

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- In December 2016, 28 incidents were reported by RTAs.<sup>5</sup>
- 38 incident investigations were closed by RTSB.

### TRIENNIAL REVIEWS

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- RTSB staff completed the triennial review of Getty Center Tram on December 5 through December 9 2016. A report detailing findings and recommendations will be drafted and filed with the Commission when finalized.

### PROCEEDINGS / RESOLUTIONS

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#### Ongoing:

- **I.16-06-010 Order Instituting Investigation (OII) (Commissioner Randolph/ALJ Kim)** - On June 28, 2016, the Commission instituted a Formal Investigation in response to a two fatality Bay Area Rapid Transit (BART) accident on October 19, 2013. The purpose of this investigation is to a) examine the accident, b) determine whether BART repeatedly violated state codes and regulations by failing to provide adequate protection for BART's wayside

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<sup>5</sup> Per General Order 164-D, the Commission must be notified within 2 hours by rail transit agencies of incidents if they include one of the following: a fatality at the scene, or where an individual is confirmed dead within 30 calendar days of a rail transit-related incident; an injury to two or more individuals requiring immediate medical attention away from the scene; property damage to rail transit vehicles, non-rail transit vehicles, other rail transit property or facilities, and non-transit property that equals or exceeds \$25,000; a collision at an at-grade crossing; a mainline derailment; a collision with an individual on a rail right-of-way; a collision between a rail transit vehicle and a second rail transit vehicle, or a rail transit non-revenue vehicle; an evacuation due to life safety reasons.

workers, c) whether BART's train-operating personnel's lack of training and certification contributed to the accident, d) whether BART violated Rule 1.1 of the Commission's Rules of Practice and Procedure by failing to provide the Commission with an accurate list of who would be operating its trains during a strike occurring at the time of this accident, and e) whether Rule 1.1 was violated by BART's failure to obtain prior approval of the use of uncertified, untrained, and unapproved personnel to operate trains during the strike. Additionally, the investigation will determine whether BART should be fined or otherwise penalized for any of these violations. A prehearing conference was held on October 11, 2016. On October 18, 2016, both parties filed a Joint Case Management Statement. On December 28, 2016, the Commission issued a scoping memo for the case, identifying the topics to be investigated and affirming the need for a hearing. Additionally, both parties were ordered to file another joint Case Management Statement. On January 9, 2017, BART's attorney filed a motion to dismiss the OII due to alleged misconduct by SED in the discovery process by failing to produce thousands of emails to BART in a timely manner.

### Approved:

- **ST-196** - This resolution approves SED's final report for the triennial security review of San Francisco Municipal Transportation Agency (SFMTA). On December 15, 2016, the Commission approved this Resolution, requiring SFMTA to implement the recommended corrective action contained in the report, and to provide RTSB monthly status reports on steps taken to implement it until resolved.
- **ST-195** - This resolution approves SED's final report for the triennial safety review of SFMTA. On December 15, 2016, the Commission approved this Resolution, requiring SFMTA to implement the recommendations contained in the report, and beginning on February 1, 2017, to provide RTSB monthly status reports on all corrective actions identified in the report, until all are resolved.
- **ST-190** - This Resolution grants the request of SFMTA for approval of the Safety Certification Plan for the LRV4 Light Rail Vehicle procurement project. On November 10, 2016, Commission approved this Resolution, granting SFMTA the requested authority and requiring SFMTA to file required certification documentation with Commission staff, as well

as submit a final letter to staff once all vehicles are safety certified upon the successful completion of this project.

- **ST-188** - This resolution approves SED's final report for the triennial safety review of San Diego Trolley, Inc. (SDTI) On December 15, 2016, the Commission approved this Resolution, requiring SDTI to implement the recommendations contained in the report, and beginning on January 30, 2017, to provide RTSB monthly status reports on all corrective actions identified in the report, until all are resolved.
- **ST-187** - This resolution approves SED's final report for the triennial security review of Metropolitan Transit System (MTS). On December 15, 2016, the Commission approved this Resolution, requiring MTS to implement the recommendations contained in the report, and beginning on January 30, 2017, to provide RTSB monthly status reports on all corrective actions identified in the report, until all are resolved.

### Pending:

- **ST-199** - On January 9, 2017, SED filed a proposed resolution with the Commission to approve SED's final report for the triennial security review of San Francisco Airport Automated People Mover System. This Resolution has been placed on the February 9, 2017, Commission meeting agenda.
- **ST-198** - On January 9, 2017, SED filed a proposed resolution with the Commission to approve SED's final report for the triennial safety review of San Francisco Airport Automated People Mover System. This Resolution has been placed on the February 9, 2017, Commission meeting agenda.
- **ST-197** - On December 16, 2016, SED filed a proposed resolution with the Commission to grant the Angels Flight Railway Foundation's request for approval of the Safety Certification Plan for the 2016/17 Restoration and Refurbishment Project.
- **ST-194** - On December 16, 2016, SED filed a proposed resolution with the Commission to grant the request of the Los Angeles County Metropolitan Transportation Authority and the Metro Gold Line Foothill Extension Construction Authority for approval of the Safety Certification Plan for the Foothill Extension Phase 2B Light Rail Transit Project. This Resolution has been placed on the January 19, 2017, Commission meeting agenda.

## California Public Utilities Commission | Safety and Enforcement Division

- **ST-193** - On December 14, 2016, SED filed a proposed resolution with the Commission to approve SED's final report for the triennial security review of Sacramento County Department of Airports Automated People Mover System. This Resolution has been placed on the January 19, 2017 Commission meeting agenda.
- **ST-192** - On December 14, 2016, SED filed a proposed resolution with the Commission to approve SED's final report for the triennial safety review of Sacramento County Department of Airports Automated People Mover System. This Resolution has been placed on the January 19, 2017 Commission meeting agenda.
- **ST-186** - On December 16, 2016, SED filed a proposed resolution with the Commission to grant the San Diego Association of Governments' request for approval of its Safety and Security Certification Plan for the Mid-Coast Corridor Transit Project. This Resolution has been placed on the January 19, 2017 Commission meeting agenda.
- **ST-183** - On December 14, 2016, SED filed a proposed resolution with the Commission to approve SED's final report for the triennial safety review North County Transit District. This Resolution has been placed on the January 19, 2017, Commission meeting agenda.

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

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- **BART New Vehicle Procurement:** BART is in the process of procuring 775 new rail vehicles. BART has already received four of these vehicles (two D cars and two E cars) for testing, and is storing them at its Hayward Yard facility. RTSB staff is witnessing testing and participating in Safety and Security Certification meetings to oversee the procurement process. BART will submit its interim State Safety Certification Verification Report (SSCVR) for these first 10 vehicles in late February 2017. The 10-car pilot train should be ready for revenue service in mid-March 2017. Engineering tests, qualification tests and safety-related testing is on-going. Mainline tests are being conducted during blanket hours (1-3am). Safety-related tests currently in progress are Stability and Curve Negotiation (8010) and Communications, Signs & PIS (8052C.) The present goal is to complete qualification and safety-related testing in January 2017.
- **The 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 finishes continuing. Track work is completed. eBART is hiring new staff for operations. This project expects to be in revenue service by approximately mid-September, 2017. The design criteria conformance checklist, state safety oversight plan, and employee certification plan are almost ready for RTSB's review.

- **BART Warm Springs Extension:** This project proposes an additional 5.4 Miles of BART track connecting the currently existing Fremont BART station with a new BART station located in the Warm Springs district in the city of Fremont. Construction has been monitored by RTSB and will be safety certified when complete. Staff has attended and witnessed testing. Additionally, RTSB staff inspected this project on September 13, 2016. The Warm Springs Extension Project Team is in the process of reviewing past test records pertaining to the Safety Certification Verification Report (SCVR). The Warm Springs Extension contractor is conducting simulated automatic train control testing during non-revenue hours. A staff Engineer and inspector attended witnessed this testing. A problem with Boolean reading was detected in the automatic train control system and is currently being addressed. Continued simulator testing is required prior to moving to dynamic testing. The contractor is expected to complete their tests around March 2017. BART train control engineering will then begin a series of verification tests of their own. Additionally, the contractor is working on addressing punch list items and submittals.
- **Silicon Valley Berryessa Extension:** BART and Santa Clara Valley Transportation Authority (SCVTA) are currently jointly in the process of constructing a 10-mile track extension and two new stations – the Milpitas and Berryessa stations. The project is expected to be complete in late 2016/early 2017, and is currently in the construction phase for certain areas (I.E. Traction Power Substation (TPSS), Train Control, Communication, etc.), and in the pre-testing phase for others. On Wednesday, November 16, 2016, staff participated and observed the Dynamic testing (Pre and Post Shunt testing) at S24 region. On Monday, December 5, 2016, staff attended and observed the Fire Alarm pretesting and SCADA



pretesting related to S24 (Warren Avenue) and S26 (Kato Road) Train Control Rooms in Milpitas. The S24 portion of this testing was observed at the Project Test Center (PTC) and the S26 testing was observed on the field (Train Control Room). On Wednesday, December 7, 2016, staff attended to discuss the outcome of the recent FTA PMOC audit findings and RTSB's comments/suggestions.

- **SFMTA New Vehicle Procurement:** San Francisco Municipal Transportation Agency (SFMTA) is in the process of procuring 260 new rail vehicles, which will be received by SFMTA over the next 15 years. The first batch, consisting of 24 cars, will be received in 2017. All new vehicles will be put through a wide range of tests in order to complete the safety certification process. Resolution ST-190 (see PROCEEDINGS/RESOLUTIONS section above) granted SFMTA's request for approval of their SSCP. RTSB staff will attend monthly meetings with SFMTA to oversee the Safety Certification Process and to monitor the progress of testing. The project is in the construction specification conformance phase.
- **Central Subway Project:** SFMTA is excavating 1.7 miles of tunnel to extend the Muni Metro Third St Line to provide a direct transit link between the Bayshore and Mission Bay areas to SoMa, downtown, and Chinatown. This project, due to be completed in 2019, is currently in the construction phase and is being monitored by RTSB through regular meetings, review of documentation related to safety certifiable elements to ensure conformance with specified safety requirements and design criteria, and site visits pursuant to CPUC's safety certification requirements.
- **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 December 31, 2016, forty-eight (48) P3010 vehicles have so far been approved for revenue service by RTSB staff.

- **LACMTA HR4000 Heavy Rail Vehicle Procurement:** LACMTA is in the process of procuring 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.
- **LACMTA Regional Connector Project:** Currently in 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.
- **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 track and seven stations, is planned to be constructed in three sections, and is currently in the 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.
- **LACMTA/MGLFECA Foothill Extension Phase 2B:** LACMTA and Metro Gold Line Foothill Extension Construction Authority have submitted the project's Safety Certification Plan (SCP). Staff has reviewed the SCP and the draft 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", is on the January 19, 2017, Commission meeting agenda.
- **LACMTA Crenshaw/LAX Corridor Project:** LACMTA is constructing a new light rail transit line through the Crenshaw/LAX Corridor. The Line will travel 8.5 miles from the existing Metro Exposition Line at Crenshaw and Exposition Boulevards to the LACMTA Green Line and will serve the cities of Los Angeles, Inglewood and El Segundo; and portions of unincorporated Los Angeles County. The project is currently in the early construction phase and is being monitored by RTSB through regular meetings. The project is due to be completed in 2019.
- **San Diego Trolley, Inc. (SDTI) Mid-Coast Corridor Project:** The San Diego Metropolitan Transit System Mid-Coast Corridor Project is a 10.9-mile double-track light-rail transit line,

which begins at the Old Town Transit Center in San Diego. The project provides future SDTI revenue service to the Linda Vista, Clairemont, University California San Diego (UCSD) campus and the University City areas. The additional stations will be: Tecolote Road, Clairemont Drive, Balboa Avenue, Nobel Drive, potential Veterans Administration (VA) Medical Hospital, UCSD West (along Voigt Drive), UCSD East (along Voigt Drive), Executive Drive, and University Town Center (UTC) Transit Center. Construction is planned for late 2016 and revenue service begins late 2021. RTSB staff is attending the System Safety Review Committee 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-186 accepting the SSCP for consideration, which is on the January 19, 2017, Commission meeting agenda.

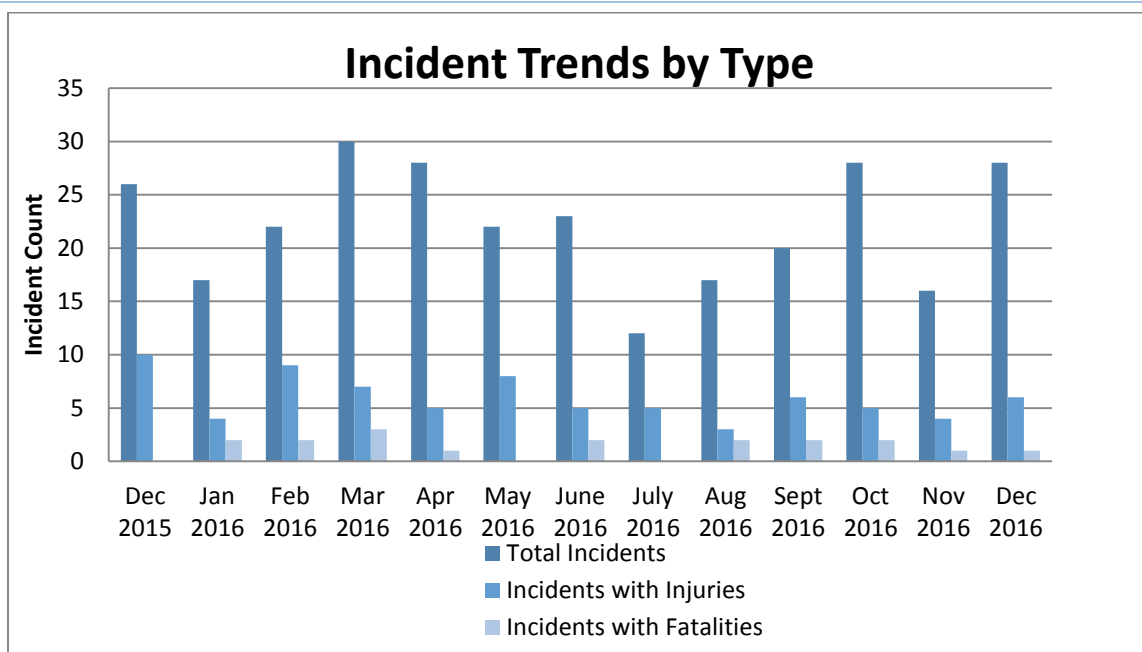
- Other SoCal Safety Certification Projects:** Several projects are in various phases of early design and engineering in the Southern California region: OC Streetcar Project (in Orange County), LA Streetcar Project (in City of Los Angeles), Angels Flight Railway (in City of Los Angeles), and LAX Automated People Mover (for Los Angeles International Airport). RTSB staff regularly attends Fire Life Safety Committee meetings, Safety Certification Team meetings, etc., to monitor and track any safety related issues.

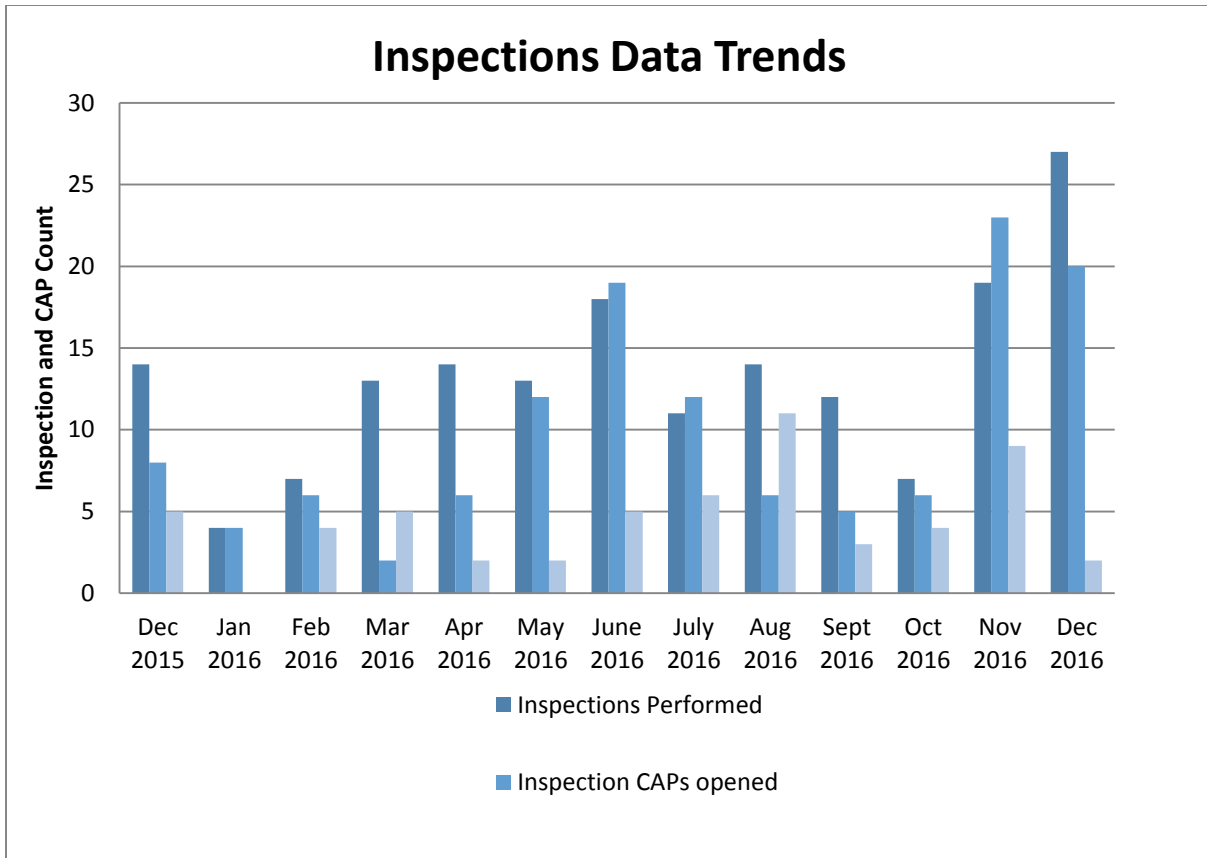
STATISTICS SUMMARY

Investigations	
Incidents Reported	28
Incident Investigations Closed	38
Complaints Investigated	0
Rail Transit Inspections	27
Triennial Audits	1

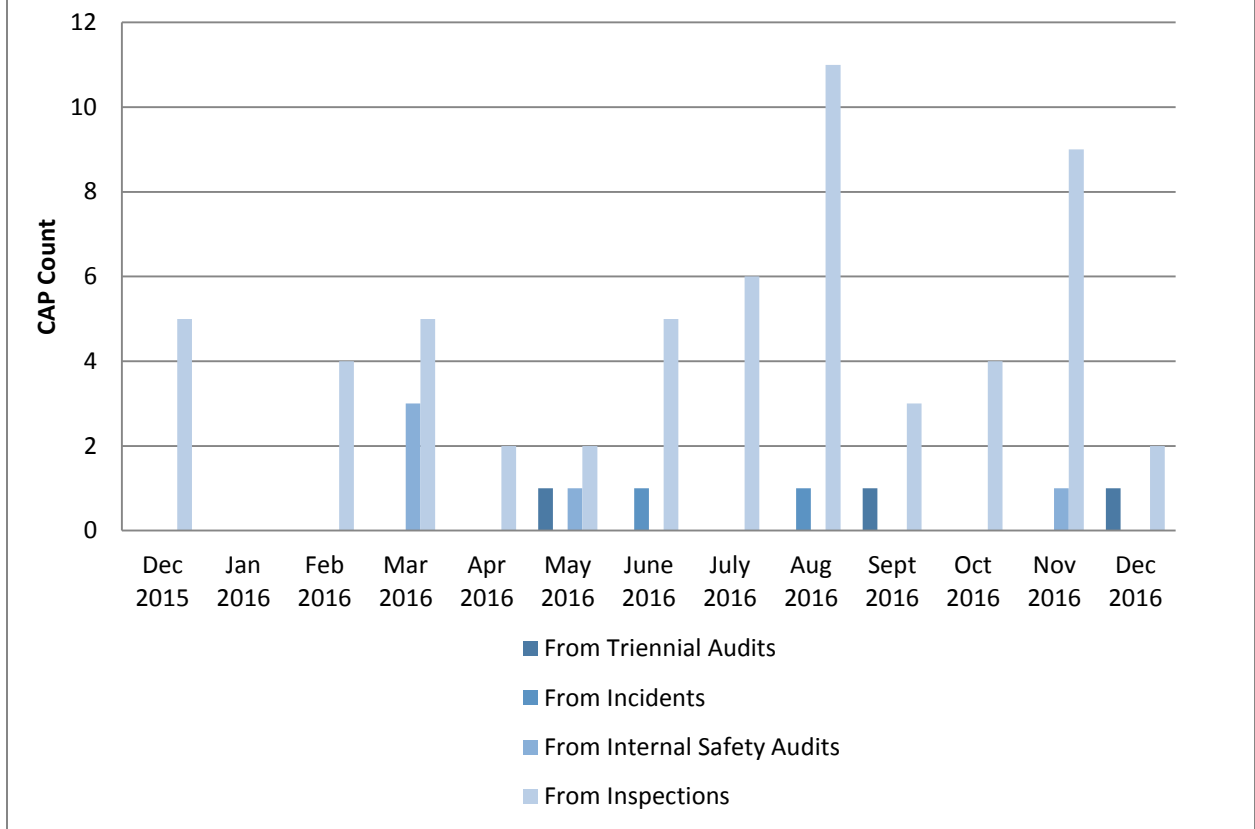
Corrective Action Plans	
<b>New Corrective Action Plans</b>	<b>21</b>
From Triennial Audits	0
From Incidents	1
From Internal Safety/Security Audits	0
From Rail Transit Inspections	20
<b>Closed Corrective Action Plans</b>	<b>3</b>
From Triennial Audits	1
From Incidents	0
From Internal Safety/Security Audits	0
From Rail Transit Inspections	2

ONGOING DATA / TRENDS





### Corrective Action Plans Implemented



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