

Rail Safety Division



Monthly Performance Report

October 2020

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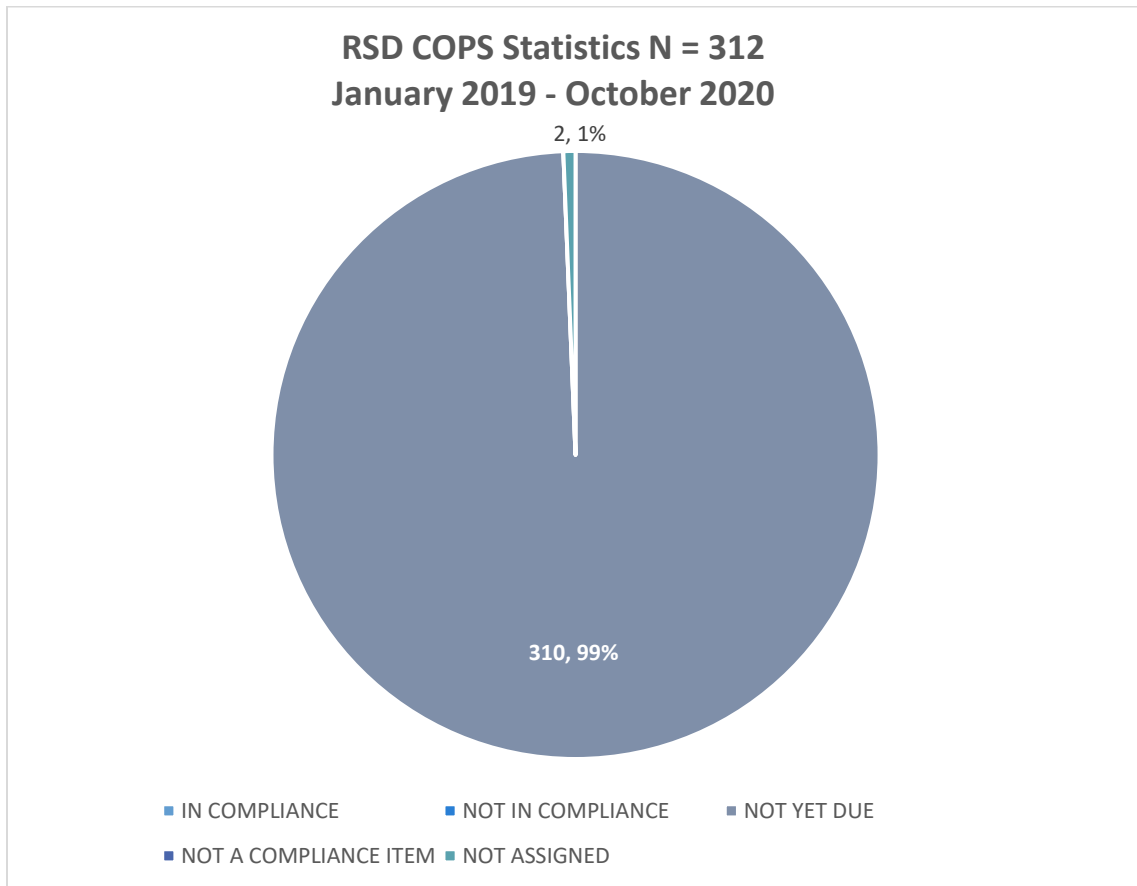
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This Report has not been approved or disapproved by the CPUC.

COMPLIANCE WITH ORDERING PARAGRAPHS (COPS)

Through October 31, 2020, the Rail Safety Division (RSD) showed 312 total entries in the COPS system, with 0 reaching compliance, 310 (99%) not yet due for compliance, and 0 (0%) out of compliance. 310 (99%) of all Ordering Paragraphs (OP) are assigned to members of staff while two ordering paragraphs are pending assignment to staff.

During October 2020, there were 23 new OPs recorded to the COPS database for the Rail Safety Division.

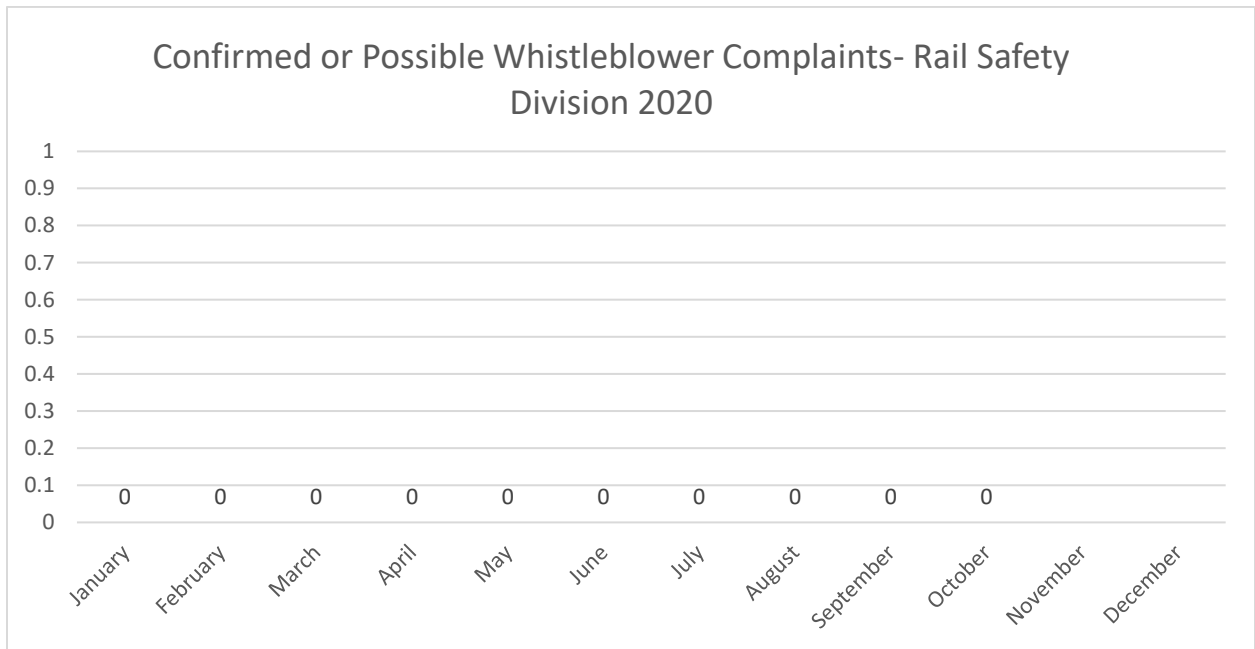


MONITORING THE WHISTLEBLOWER WEBSITE

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 - 1/01/20 – 10/31/20

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



RAILROAD OPERATIONS SAFETY BRANCH – ROSB

In October 2020, the RSD Railroad Operations Safety Branch (ROSB) completed the following:

| Railroad Operations Safety Branch | Oct-2020 | YTD 2020 |
|--|-----------------|-----------------|
| New Incidents Investigated | 7 | 77 |
| Informal Complaints Investigated | 3 | 27 |
| Safety Assessments/Reviews | 7 | 112 |
| Compliance Actions | 790 | 10399 |
| Major Inspections Completed | 2 | 26 |
| Operation Lifesaver Presentations | 0 | 11 |

ROSB INSPECTION, INVESTIGATION & FIELD ACTIVITIES

October 6, 2020: A CPUC Rail Safety Inspector performed an inspection of Union Pacific’s (UP) Mira Loma Yard in Riverside County. During the inspection, the inspector noted slip and fall hazards that were located near a switch that provides entry and exit to this rail yard. The tripping hazards were end of train devices that had been removed from railroad rolling stock equipment and not properly stored. The inspector issued an inspection report to the carrier to inform them that these hazards do not comply with CPUC General Order (GO) 118A, which requires unobstructed walkways, and would have to be removed. The carrier responded by removing the devices from the walkway, bringing the area into regulatory compliance.

October 15, 2020: CPUC Rail Safety Inspectors traveled to the UP Mira Loma Yard to inspect and verify the remediation work on a leaking tank car discovered the previous day. On October 14th, a railroad crew was working in that Yard, when the conductor smelled a strong chemical odor. The railroad employee notified the railroad manager who instructed the crew to vacate the yard immediately and meet at the designated rally point to await first responders. The manager contacted the Response Management Call Center which in turn dispatched the Riverside County Hazmat Team to the scene. The railroad manager checked a list of current freight cars in the yard and discovered there were two empty anhydrous ammonia tank cars in

the yard near the reported location of the chemical odor. Anhydrous ammonia (UN 1005, class 2.2) is a highly toxic volatile chemical. The railroad immediately shut down the two adjacent railroad main tracks for a half mile in both directions, removed all crews off nearby trains, and shut down a nearby UP automobile switching facility.

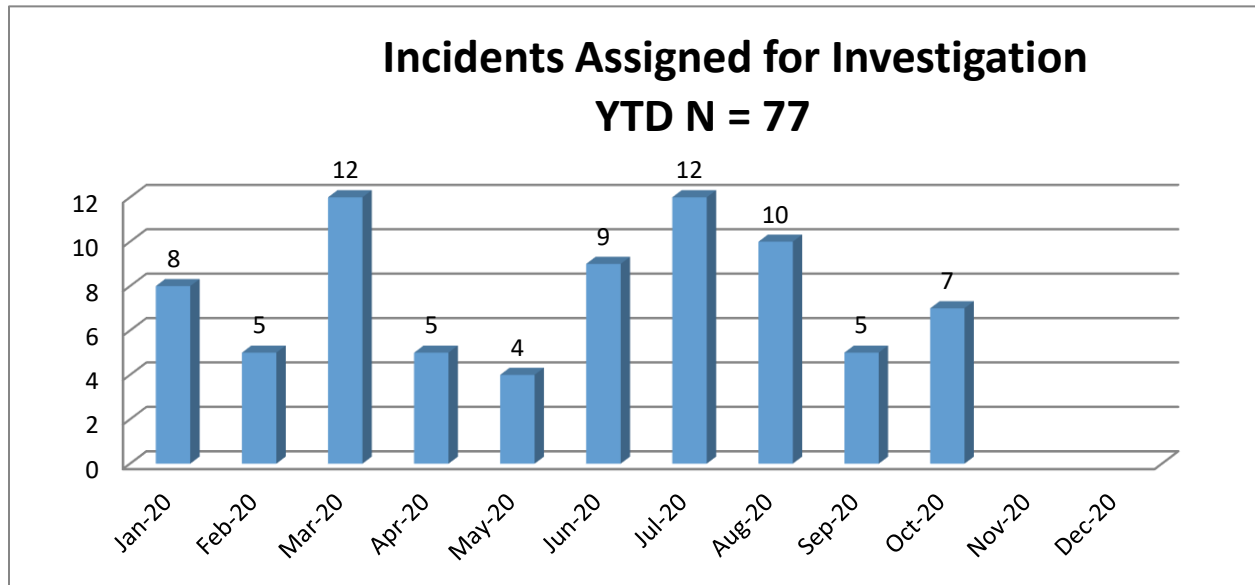
The Riverside County Fire Department arrived and coordinated with the hazmat contractor, American Integrated Services (AIS), regarding who would perform the remediation work on the leaking tank car. AIS determined the chemical release was escaping from the pressure relief device (PRD) on the top of the rail car due to a defect. Water was poured in the top of the PRD and bubbles formed verifying the release point. The PRD was removed and found to have two dry rotted defective O rings allowing vapor to pass to the atmosphere. The defective O rings were replaced, the PRD reinstalled, and water was used to verify that the leak was sealed and no longer active. AIS monitored the tank car for an additional two hours to verify that vapors were no longer present in the atmosphere surrounding the car and railroad yard.

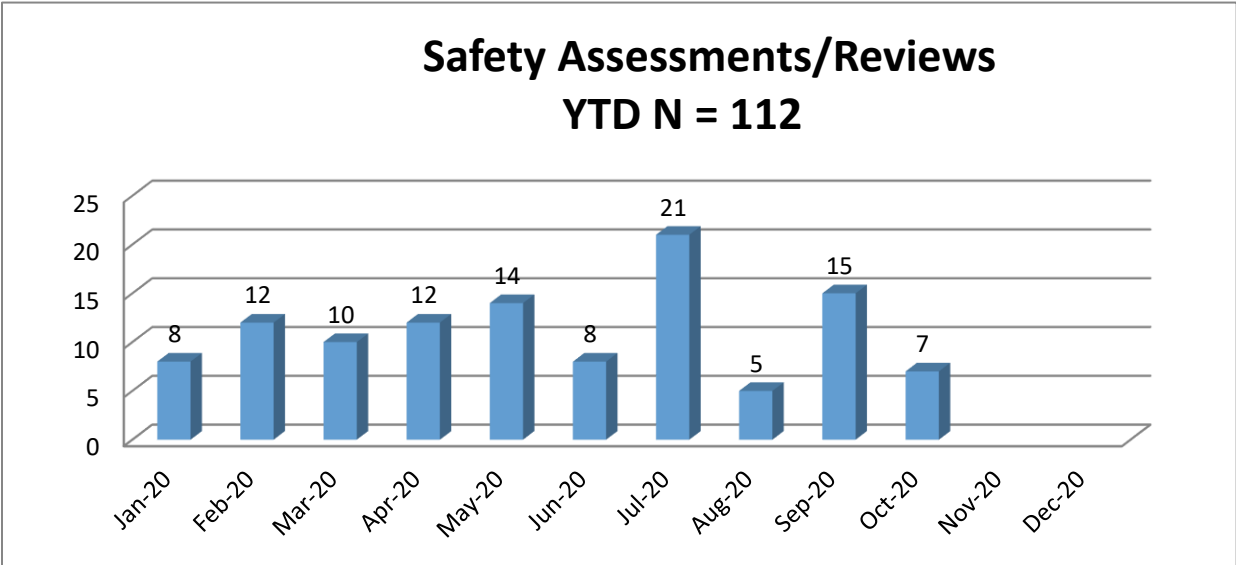
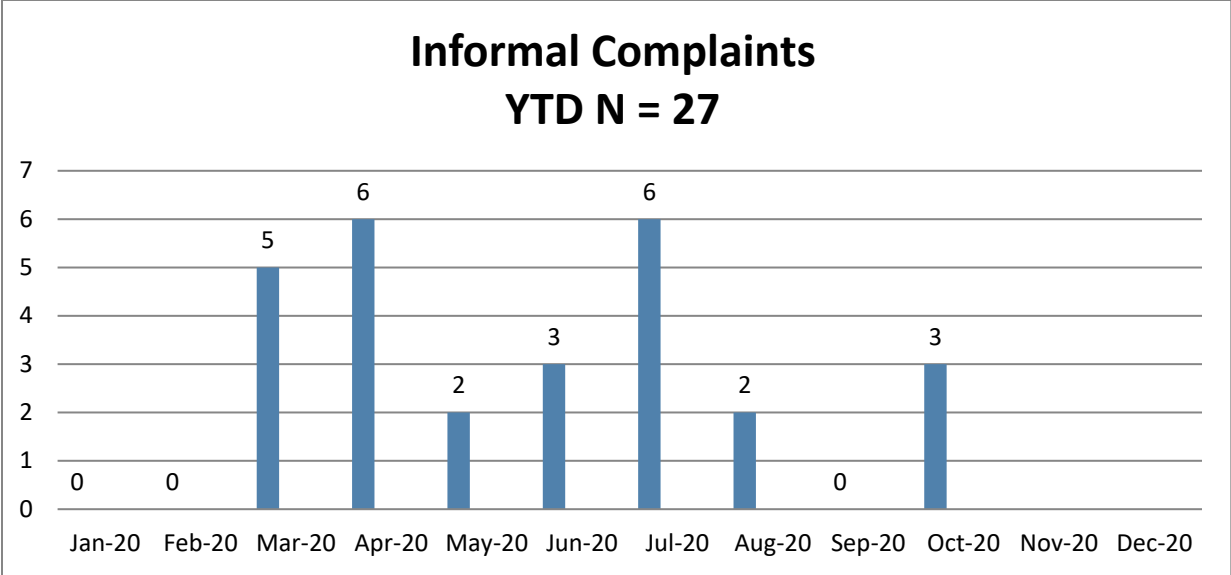
After the incident and ensuing investigation by CPUC, CPUC Rail Safety Inspectors issued federal non-compliant defect reports notifying the railroad, the tank car shipper, and the tank car owner of the release and the remediation. The tank car owner received a 49 CFR 179.7.A2 defect for non-compliance (*At a minimum, each tank car facility shall have a quality assurance program, approved by AAR (American Association of Railroads), that has the means to detect any nonconformity in the manufacturing, repair, inspection, testing, and qualification or maintenance of the tank car*). The CPUC inspector contacted the tank car owner to obtain the testing methods that had been used to inspect and qualify the PRD in 2018. According to records obtained, the process followed all rail safety regulatory standards.

October 19, 2020: CPUC Rail Safety Inspectors conducted a hazardous materials inspection at the UP Railroad Yard in Commerce. During the inspection, large debris consisting of cardboard boxes and metal and plastic drums were found littering the walkway paths between the yard tracks, which are frequently traveled by employees while working in the Yard. This did not comply with CPUC GO 118-A standard 6 walkway regulation, which requires the railroad to

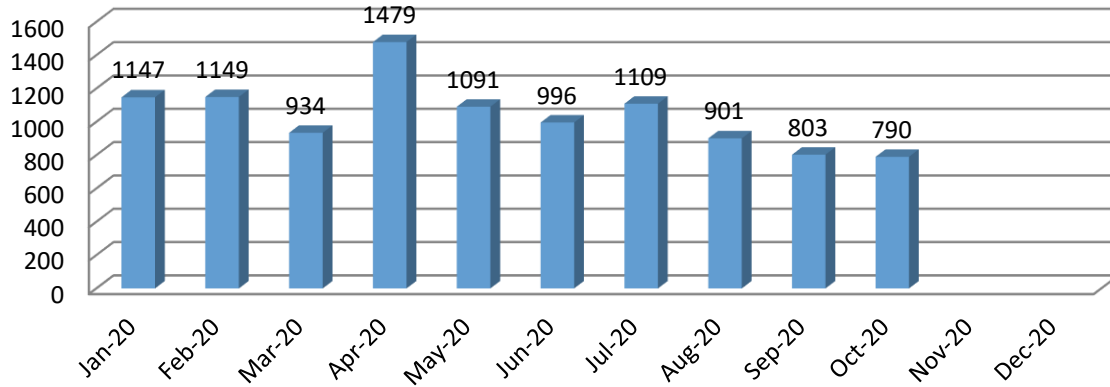
maintain walkways free of tripping hazards. Railroad management was notified and corrected the defective issues immediately, bringing the walkways into regulatory compliance.

October 20, 2020: CPUC Rail Safety Inspectors conducted a routine Operating Practice inspection of the Los Angeles Junction Railway Railroad Yard. During the inspection of track 207, inspectors observed a perimeter fence with barb wire hanging dangerously close to the walkway utilized by railroad employees during their normal duties. This was not in compliance with CPUC GO 26-D Section 6.1 which states, *"No merchandise, material or other articles shall be placed or permitted to remain either on the ground or on platforms adjacent to any track at a distance less than eight (8) feet six (6) inches from the centerline of track.* This defect posed a tripping hazard and a dangerous contact hazard. This issue was brought to the attention of the railroad trainmaster on duty, who immediately corrected the situation bringing it into regulatory compliance.

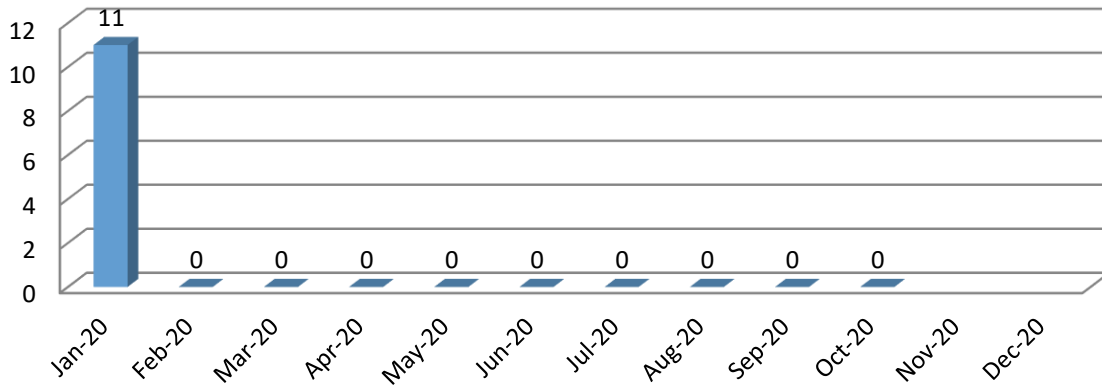




Compliance Actions YTD N = 10399



Operation Lifesaver YTD N = 11



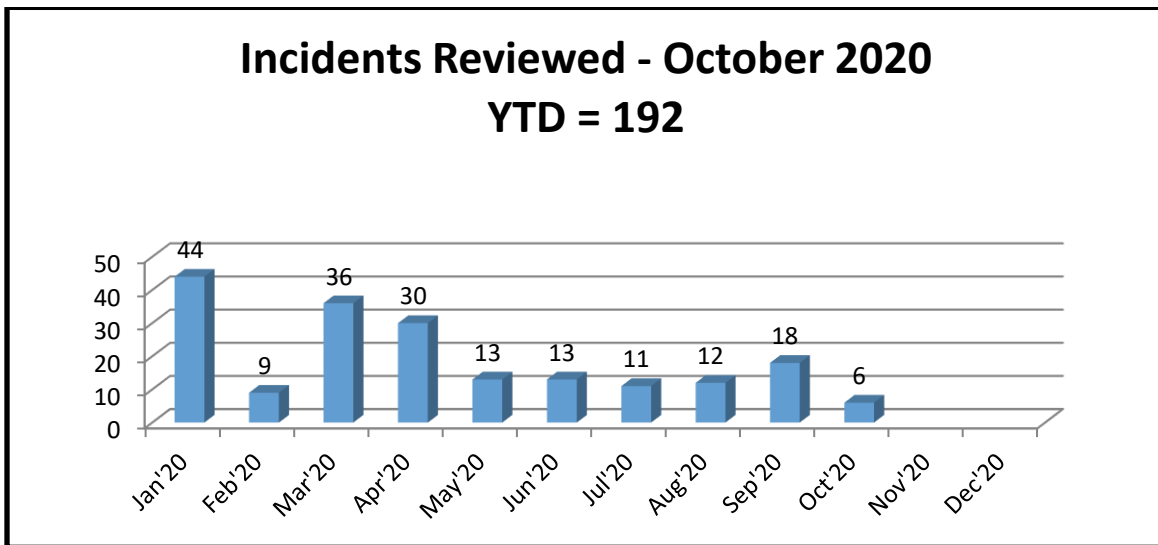
RAIL CROSSINGS AND ENGINEERING BRANCH – RCEB

In October 2020, the Rail Crossings and Engineering Branch (RCEB) completed the following:

| | October Closed | Closed YTD |
|--|-----------------------|-------------------|
| Crossing Incident Reviews | 6 | 192 |
| Safety Assessments/Quiet Zones/Reviews/Training | 42 | 472 |
| Proceedings, Resolutions and G.O. 88-B Reviews | 15 | 102 |
| Operation LifeSaver Presentations | 3 | 16 |

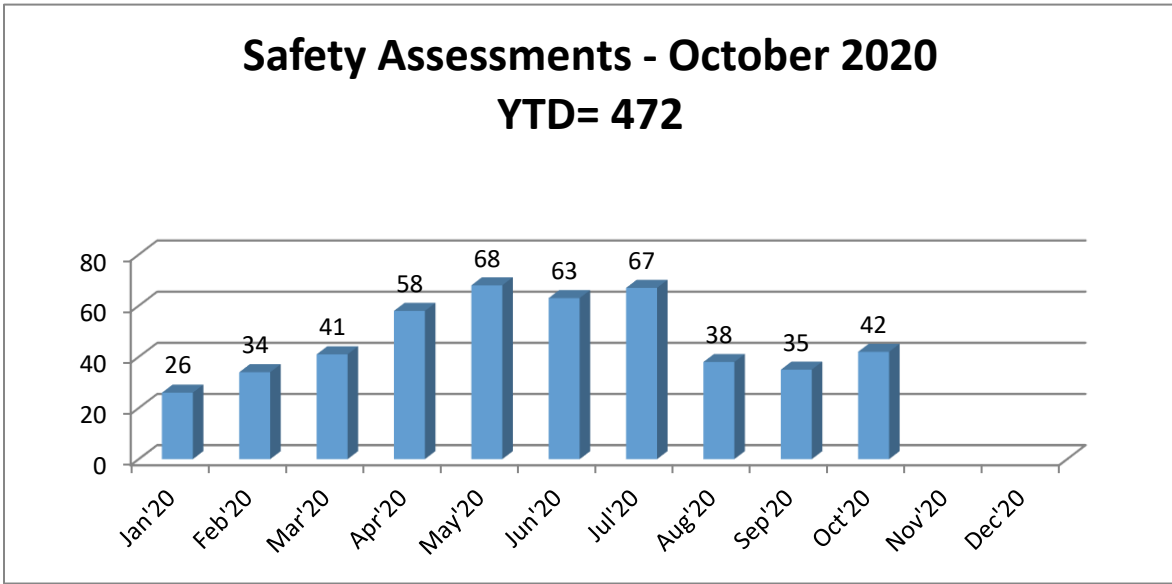
RAIL CROSSING INCIDENT INVESTIGATIONS

In October 2020, RCEB closed six incidents at highway-rail at-grade crossings (crossings). These six incidents resulted in four fatalities.



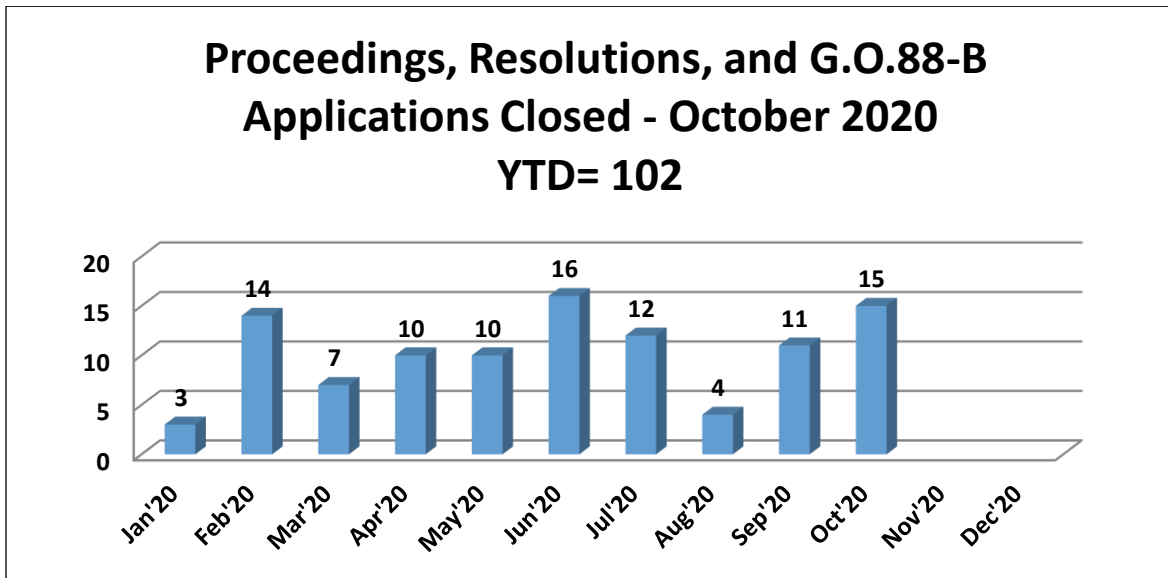
SAFETY ASSESSMENTS, QUIET ZONES AND REVIEWS

In October 2020, RCEB completed 42 rail-crossing safety assessments involving: communications, field inspections, meetings, quiet zone reviews, staff training, and diagnostic reviews with railroads and local agencies. These activities review existing crossings and proposed changes to crossing warning devices.



[PROCEEDINGS, RESOLUTIONS AND G.O. 88B REVIEWS](#)

In October 2020, RCEB approved 12 General Order 88-B applications for changes to existing crossings. Also, the Commission approved Resolution TED-269 and Proceedings A2002007 and A2004019.



OPERATION LIFESAVER INC.

On October 1, 2020, RCEB participated in an Operation Lifesaver Inc. (OLI) virtual training presentation titled “Trains or Tracks Just Keep Back.” The presentation included a video and PowerPoint slides with instructions intended for children as well as for middle school and high school students and adults.

RAIL TRANSIT SAFETY BRANCH – RTSB

In October 2020, the Rail Transit Safety Branch (RTSB) completed the following activities:

CORRECTIVE ACTIONS PLANS

- 21 Corrective Action Plans (CAPs)¹ were opened.
- 23 were closed.

ACCIDENT INVESTIGATIONS

- 15 accidents were reported by Rail Transit Agencies (RTAs).²
- 29 accident investigations were closed.

MAJOR AUDITS

- A Triennial Safety and Security Review of North [San Diego] County Transit District (NCTD) was conducted in August 2018. The security report and resolution have been approved by

¹ General Order 164-E defines Corrective Action Plan as a plan developed by a Rail Transit Agency that describes the actions the RTA will take to minimize, mitigate, control, correct, or eliminate risks and hazards, and the schedule for implementing those actions.

² Per General Order 164-E, the Commission must be notified within 2 hours by rail transit agencies of accidents if they include one of the following: a fatality (occurring at the scene, or within 30 calendar days following the incident); one or more persons suffering “serious injury” (as defined in GO 164-E); a collision involving a rail transit vehicle and another rail transit vehicle, or individual; a derailment of any rail transit vehicle at any location, at any time, whatever the cause; an evacuation for life safety reasons; or a runaway train. “Courtesy notices” are not included in these statistics.

management and legal staff. A draft resolution of the safety report is under managerial review.

- A Triennial Safety and Security Review of San Francisco Municipal Transit Agency (SFMTA) was conducted in October 2018. The agency's 30-day review comments were received, and Staff have prepared a draft that is under managerial review.
- A Triennial Safety and Security Review of Sacramento County Department of Airports (SCDOA) was conducted in May 2019. The agency's 30-day review comments were received, and Staff have prepared draft Reports and Resolutions, management has reviewed and approved, and the items were sent for Legal review.
- A Triennial Safety and Security Review of the San Francisco Airport AirTrain (AirTrain) Automated People Mover (APM) was conducted in June 2019. The agency's 30-day review comments were received, and Staff have prepared a draft that is under managerial review.
- A Los Angeles Metropolitan Transportation Authority (LACMTA) Triennial Safety and Security Review was conducted in September 2019. A draft of the security report and safety report that will be subject to 30-day RTA review is being finalized by Staff for management review.
- The Bay Area Rapid Transit (BART) Oakland Airport Connector (OAC) Triennial Safety and Security Review was conducted in June 2019. The agency's 30-day review comments were received, and Staff have prepared a draft that is under managerial review.
- The Getty Tram Triennial Audit Triennial Safety and Security Review has been postponed due to conditions arising from the COVID-19 pandemic.
- The Triennial Safety and Security Review of Valley Transportation Authority (VTA) was postponed until 2021 due to conditions arising from the COVID-19 pandemic.
- The Sacramento Regional Transit District (SRTD) Triennial Safety and Security Review was postponed to 2021 due to conditions arising from the COVID-19 pandemic.

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- The BART Triennial Safety and Security Review was postponed until 2021 due to conditions arising from the COVID-19 pandemic.

ADMINISTRATIVE ACCOMPLISHMENTS

- **New Employee:** Nicholas Denny joined RTSB as a Mechanical Inspector stationed in Southern California.
- **Retirement:** Colleen Sullivan retired from RTSB. She was a Utilities Engineer assigned as the Designated Representative for the Bay Area Rapid Transit District (BART) and Oakland Airport Connector to BART.
- **FTA's 2020 Joint SSOA (State Safety Oversight Agencies)-RTA Workshop:** On October 6 through 8, Daren Gilbert, Varoujan Jinbachian, Stephen Artus, Michael Borer, and Timothy Morehead participated in Federal Transit Administration's (FTA) 2020 Joint SSOA-RTA Virtual Workshop. Representatives from SSOAs and RTAs throughout the United States participated. In addition to FTA staff, Transportation Security Administration (TSA) and Federal Railroad Administration (FRA) staff gave presentations.
- **RSSIMS Replacement Project:** The three rail branches (RCEB, ROSB, and RTSB) share a database called the Rail Safety and Security Information Management System (RSSIMS). RTSB is participating in activities to identify upgrades for the next version of the database.
- **Rail Inspection & Corrective Action Plan System (RICAPS):** RTSB is working with CPUC's Information Technology Services Division (ITSD) on developing a new on-line platform to automate the process for routing and tracking Inspection Reports and CAPs. The proposed system will allow both CPUC staff and RTA employees to submit, retrieve and manage the information in a centralized database, thereby greatly enhancing efficiency, speed, and accuracy of tracking CAPs to minimize, mitigate, control, correct, or eliminate safety risks and hazards.

GENERAL ORDER AND RESOLUTION ACTIVITY

- **Proposed Revision to GO 143-B:** RTSB management is continuing its work on drafting proposed changes to General Order 143-B "Safety Rules and Regulations Governing Light-

Rail Transit.” The proposed rule is largely completed, and Staff is finalizing the Staff Report (to support Staff’s proposed rule changes and to be part of the OIR filing to open the proceeding).

- **Resolution ST-240:** This Resolution grants the request of the BART for approval of the Safety and Security Certification Plan for their Irvington Station Project. It was approved at the November 5 Commission meeting.
- **Resolution ST-241:** This Resolution grants the request of Staff for granting the Rail Safety Division Director temporary ministerial authority to extend timeframes for triennial safety and security reviews of California rail transit agencies, required by Commission General Order 164-E, as a result of the novel Coronavirus Disease 2019 pandemic. It also allows the Rail Safety Division Director to extend compliance dates when a rail transit agency may demonstrate that it is unable to comply with certain safety regulations pertaining to retraining and recertification of employees within the required timeframe as a consequence of the novel Coronavirus Disease 2019 pandemic. The temporary authority granted by the Resolution expires 24 months after its effective date. It is on the December 17, 2020, Commission meeting agenda.
- **Resolution ST-242:** This Resolution approves the Los Angeles County Metropolitan Transportation Authority's request for a variance from General Order 95 to allow a reduced minimum clearance of 13-feet-8-inches between the running rails and Overhead Conductor Rail in certain portions of the underground segments of the Crenshaw/LAX Transit Corridor Project, rather than the 14-feet required. There is no risk to public safety due to the underground location and its inaccessibility to the public. It is on the December 17, 2020, Commission meeting agenda.

SAFETY CERTIFICATION AND OVERSIGHT OF RAIL TRANSIT AGENCY PROJECTS

- **AirTrain Extension Project:** On August 10, 2017, Resolution ST-205 approved AirTrain’s Extension Safety Certification Plan (SCP). The project expands the existing AirTrain system to include a new Long-term Parking Garage Station and an additional in-line Hotel Station

servicing a future hotel. Several additional upgrades to facilities and equipment are part of the project. The project will have three Safety and Security Certification Verification Reports (SSCVR) as it has three phases. Project culmination and start of revenue service is anticipated to take place in 2020. RTSB management approved the SSCVR that allowed the Hotel Station (Phase 2) to begin revenue service in October 2019. All 42 cars have now been approved with line-of-sight communication upgrades. The estimated project completion timeframe for the Lot DD Station extension (Phase 3) is the end of the current year.

- **BART Communications Based Train Control (CBTC):** BART entered a \$798 million contract with Hitachi Rail STS USA, Inc to design and build a modern CBTC system. The agency intends for this project to “greatly improve (its) train service.” The Project’s SCP was approved by the Commission via Resolution ST-206. BART issued the contractor a Notice to Proceed in November 2020.
- **BART Traction Power System Improvements Project (TPSIP):** Five sites have been identified for installation of new traction power substations to support the traction power system improvements portion of the Transbay Core Capacity Program. The two West Bay sites are Civic Center Station and Montgomery Street Station and have estimated completion dates by 2022. The three East Bay sites are in Oakland at Thirty Fourth Street, Concord at David Avenue and Minert Road and Richmond at Yard East, with completion dates not yet estimated. An SCP was approved via Commission resolution proceeding (ST-239) in July 2020. Construction contract for West Bay sites was issued Notice to Proceed in October 2020. East Bay sites are in the engineering design phase. Staff attend the project’s monthly Safety and Security Review Meetings. Staff reviewed West Bay sites design conformance checklists and provided review comments.
- **BART Irvington Station (IRV) Project:** The Irvington Station Project includes construction of a new station halfway between the existing Fremont and Warm Springs / South Fremont stations. The estimated completion year is 2027. The Project is in the engineering design

phase. The SCP was approved under Commission resolution proceeding (ST-240) in November 2020.

- **BART New Vehicle Procurement:** BART is in the process of procuring 1,200 new rail vehicles. There are two types of new vehicles, D-Cars and E-Cars. D-Cars have an operator's cab while E-Cars do not. Upon submittal by BART, Staff reviews testing and certification documents for each group of cars prepared for service and verifies compliance with the testing and certification plan before authorizing the cars for revenue service. To date, RSTB management has certified and approved 256 vehicles for revenue service. As a result of an in-service new vehicle train separation incident that occurred on June 16, 2020, BART identified a few corrective actions including updating the Train Control and Management System (TCMS) software. BART is in-progress in completing the corrective actions.
- **BART Hayward Maintenance Complex (HMC) Project:** This project is comprised of two phases. On November 16, 2018, RTSB management approved an element of the first phase of this project, the Component Repair Shop, to commence operations. The Central Warehouse is a second element of Phase One. An SSC meeting and walk-through of that element was conducted on June 25. BART plans to submit Certificates of Conformance, Design Criteria Checklists and supporting documents for the Certifiable Element of Central Warehouse of the HMC Project as approved by the Commission under Resolution ST-181 in October or November 2020. This will be an interim SSCVR for Phase One. Construction on the Hayward Maintenance Complex Phase II East Storage Yard began on March 1, 2019. This yard will provide a storage venue for BART revenue vehicles and provide egress to the BART A1 and A2 Mainline Tracks and the Hayward Test Track. Due to funding constraints, BART has sub-divided the HMC Phase II Project into three separate contracts. At the end of the Hayward Maintenance Project, BART will submit a final SSCVR that will cover both phases. The project is nearing completion, and the SCVR is projected to be submitted during 1st quarter 2021.

- **Central Subway Project (CSP):** 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 San Francisco, and Chinatown. Before the pandemic, SFMTA anticipated that construction would be finished by the end of December, with customers riding trains at the start of revenue service a year later. Their current projections put the completion of construction this spring and the start of service in the following spring of 2022. The main reasons for this delay:
 - Moving to remote work and instituting necessary safety measures and procedures during COVID-19
 - Quarantining multiple contractor crews when, despite safety measures, some of the team tested positive for COVID-19
 - Difficulties and delays in getting materials from suppliers during COVID-19
 - Ongoing design changes throughout the project due to the differing site conditions discovered deep underground

These delays will likely have impacts on the overall project budget, and SFMTA is working closely with their construction contractors to get the project completed as safely and prudently as possible. Most of the project is now completed. The tunnels and tracks are done with crews now working on the final finishes, installing art and systems like automatic train control cabling, traction power, and communications. Staff participated in a meeting of the Safety and Security Certification Review Committee. Among the topics discussed were the following: construction progress and project schedule, construction specification conformance checklists, and quality assurance and control audit reports. In addition, Staff was provided with an update on the disposition of outstanding safety certification documentation that has been discussed in prior months' reports.

- **LACMTA P3010 New Vehicle Procurement Project:** LACMTA is in the process of procuring as many as 235 new rail vehicles. These vehicles are intended to expand passenger capacity for the recently completed projects (Expo Phase 2 and Foothill Extension Phase 2) and the future LAX/Crenshaw line currently under construction. As cars are prepared for

service, Staff will recommend official approval to RTSB management after a successful review of the Car History Books (testing documentation) in person. To date, RTSB management has certified for revenue service 185 vehicles.

- **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 aging HRV fleet operating on the Red Line subway. Resolution ST-185 approved the procurement option. Because of COVID-19 the arrival of pilot cars will be postponed from December 2020 to June 2021. As a result, the specification conformance checklist review, a major component of the safety certification process, will also be postponed. The design checklist review has been completed, but since it will be a long period before the specification checklist is ready for review, Metro will send project updates every 3 months to RTSB Staff.
- **LACMTA Regional Connector Project:** Bored tunneling is completed and Flower Street cut and cover tunneling is 70% complete. All three underground stations have been excavated and are in the concrete phase. Rail installation has commenced. The wye junction that will connect the Blue/Expo and Gold Lines is nearing the end of the concrete phase. The existing Little Tokyo station was closed in October 2020 and will be demolished and rebuilt in a process that will take approximately 22 months. Bus bridges have been implemented to take passengers around this major construction work zone. Staff regularly attends LACMTA's monthly Fire Life Safety & Security and Safety & Security Certification Review Committee meetings.
- **LACMTA D (formerly Purple) Line (Westside) Extension Project:** LACMTA is currently extending the Purple Line. The Westside D 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 will consist of nearly nine miles of heavy rail subway and seven stations. The planned revenue service

years for D Line Segments 1, 2, and 3 are 2023, 2025, and 2027. For Segment 1, the Tunnel Boring Machines (TBMs) have completed three out of four miles and the three underground stations are fifty-percent complete. A TBM for Segment 2 launched from Century City/Constellation Station on April 30, 2020 and will continue eastbound for approximately 2 years before meeting with Segment 1. Preparation is continuing for the TBM tail track excavation shaft (TTES) on the VA Hospital Campus, near the Westwood/VA Hospital Station where Segment 3 terminates. The TBMs for Segment 3 are scheduled to launch from the TTES in late 2020 or early 2021.

- **LACMTA/MGLFECA Foothill Extension Phase 2B:** LACMTA and Metro Gold Line Foothill Extension Construction Authority (MGLFECA) have submitted the project's SCP. Resolution ST-194 provided approval for the document 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 six cities with six new stations on 12.3 miles of light rail transit (LRT) at-grade track. In August 2019, the Foothill Gold Line Construction Authority awarded the Design Build contract to the Kiewitt Parsons Joint Venture. Due to funding issues, the current terminus of the alignment will be changed to Pomona Station with a contract option to build to Montclair if the Foothill Construction Authority can secure additional funding by September 2021. Heavy construction of this project commenced in July 2020. Estimated completion of the Pomona segment is 2025. The contract option portion from Pomona to Montclair would be on a shared corridor with Metrolink. To date, 48 of 49 grade crossings submitted for the segment from Glendora to Montclair have been approved by the CPUC.
- **LACMTA Crenshaw/LAX Corridor Project:** LACMTA is constructing a new LRT 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 Green Line and will serve the cities of Los Angeles, Inglewood, El Segundo, and portions of unincorporated Los Angeles County. The expected substantial completion date is December 2020 or January 2021. Revenue service is expected to commence in 2021. LACMTA sent a letter requesting a waiver of GO-95 requirements for installation of their underground overhead contact rail in

certain locations where insufficient clearance in the tunnel was identified. The Proposed Resolution ST-242, which would grant LACMTA the waiver, will appear in the Commission Voting Meeting on December 17, 2020.

- **LACMTA New A (formerly Blue) Line Project:** LACMTA is making improvements to its A Line that runs from Downtown Los Angeles to Long Beach. The Blue Line was renamed the “A Line” prior to opening. The “A Line” re-opened to the public on November 2, 2019. Staff continue to monitor the project as there remains one pedestrian crossing under construction at the Willowbrook/Rosa Parks Station. On April 22, 2020 CPUC issued a GO-88 authorization for modifications to warning devices on the eastern half of the southern pedestrian crossing. On the western half, UPRR has constructed their crossing equipment, and Metro will interconnect their equipment with the UPRR system. The crossing was subject to system integration testing and for routes that did not meet minimum warning times, a positive stop is required via Metro Rail Operations Bulletins (MROB). Test results were sent to RTSB and RCEB Staff for review and Staff performed an inspection of the crossing on October 6, 2020. RTSB and RCEB Staff requested Metro to determine a permanent solution to meet minimum warning times at the southern pedestrian crossing, instead of continuing the MROBs. Metro is in the process of determining a solution. Additionally, tests for Division 11 Blue Line Yard Train Control Upgrades, the last phase of New Blue, began on October 24, 2020 and will continue for several consecutive weekends. Metro will provide Staff with Division 11 test report submittals and Staff will be invited to witness the testing.
- **Los Angeles Streetcar:** The Los Angeles Streetcar is a project that is advancing under the Los Angeles County Measure M funding. The preliminary design is proceeding despite the lack of LACMTA’s identification for near term funding.
- **LAWA Automatic People Mover Project:** Los Angeles World Airports (LAWA), the governing body of Los Angeles International (LAX) and Van Nuys airports, is developing a multi-billion-dollar upgrade to the ground transportation system at LAX. Of the six new

stations, three will connect new rental car, airport parking and Metro facilities to the airline terminals. Those in the Central Terminal Area will provide fast and easy connections to nine airline terminals with a pedestrian walkway system. The Project's Design Criteria Conformance Checklist (DCCC) and Subsystem Hazard Analyses (SSHA) will be finalized in the coming months and will be reviewed in the Safety Certification Review Committee (SCRC), a subcommittee of the Safety and Security Review Committee (SSRC). Staff continue to participate in regularly scheduled safety certification meetings and contingency planning meetings.

- **Orange County Transportation Authority (OCTA) OC Streetcar Project:** The OC Streetcar (OCSC) 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 project includes the procurement of 8 Siemens S700 LRVs. Delivery of the first LRV is scheduled for January 2021. Revenue service is currently scheduled to commence in October 2022. Staff continues to attend the SSRC, Construction Progress, and Fire Life Safety Committee (FLSC) meetings. The rail facilities construction is about to begin; first track will be laid during November 2020.
- **Sacramento Riverfront Streetcar (SacRT):** Due to funding constraints, the project will proceed following concurrence from all parties involved (City of Sacramento, City of West Sacramento and SACOG). SacRT is updating the "Small Starts" application to reflect the revised scope of the project plans that were submitted in February. The application will also provide a project rating. The "Small Starts" application consists of an updated cost (SCC Workbook), an updated Travel Forecast, an updated Land-Use and Economic Development Plan and an updated Financing Plan. SacRT Design and Environmental Consultants are ready to proceed once the funding constraints are resolved. The required contract amendments are expected to be approved by SacRT Board in August, followed in approximately six months by updated Design and Environmental Documents. If all goes according to plan, SacRT and the FTA intend to execute the Small Starts Grant Agreement

by the Summer of 2021 and commence construction in the Fall of 2021. The parties anticipate submittal of a Safety Certification Plan to RTSB by January 2021.

- **Sacramento Regional Transit District (SRTD) LRV (Light Rail Vehicle) Procurement Project:** The first LRV is scheduled to be delivered to SacRT late November 2022. RTSB expects a Safety Certification Plan to be submitted by January 2021.
- **Sacramento Regional Transit District (SRTD) SCADA:** SRTD's Information Technology group has hired a Project Manager to seek grants and work with SRTD Engineering to complete a full assessment of their system.
- **San Diego Trolley, Inc. (SDTI) Mid-Coast Corridor Project:** The San Diego Metropolitan Transit System's (MTS) Mid-Coast Corridor Project is a 10.9-mile double-track light-rail transit line that begins at the Old Town Transit Center in San Diego. The project will provide future SDTI revenue service to the Linda Vista, Clairemont, University of California at San Diego (UC San Diego) and the University City areas. Construction started in 2016 and revenue service is planned to begin late 2021. To date, no construction delays are anticipated. Staff has been participating in the Bi-Weekly Virtual Rail Activation Committee Meetings and the weekly Start-up Integrated Test Procedure (SITPRO) meetings for the Mid-Coast Project. On October 27, 2020 Staff joined MTS, SANDAG and Project Consultants on the "south walking tour" of the Mid-Coast Project right-of-way from Clairemont Station to the Overpass Bridge at Friars Road.
- **San Diego Light Rail Vehicle Procurement:** SDTI is procuring 45 LRVs for the Mid-Coast Corridor Project. The procurement process began January 2018 with an expected schedule completion and acceptance of all 45 LRVs by June 2021. As Siemens delivers cars on-site at the SDTI Yard, they are undergoing commissioning and dynamics tests. Staff is participating in the acceptance testing throughout the procurement process. To date, 44 cars have been approved for revenue service.
- **SFMTA LRV4 Procurement to Expand and Replace the Rail Fleet:** SFMTA requested approval, in a letter dated June 2, for the utilization of three-car Siemens LRV4 consists in

revenue operations or that additional field visits and ride-checks would be arranged to facilitate the requested approval in advance of July 17. During the LRV4 Safety Certification Audit Subcommittee Meeting on July 10, SFMTA addressed concerns that had been related in an e-mail from RTSB management on July 3. Among the topics addressed were the following: additional stress on components (a new shear pin has been designed and tested for this application); existing platform accommodation of longer consists; and onboard monitor visibility of third cars. The three-car configuration, planned for use beginning in September, is intended to facilitate social distancing for riders. A Staff ride-along will be planned in advance of the three-car 'roll-out.' On July 16, 2020, Staff authorized the 67th car for revenue service. On August 20, 2020, RTSB staff sent a letter to authorize SFMTA to place the final LRV4 car (2033) of the Phase 1 procurement into revenue service upon receipt of the letter. Currently, they have 68 LRV4's accepted and revenue service ready. On October 13, 2020, SFMTA provided an update on the coupler shear pins to RTSB as follows. The new shear pin design has successfully passed all the analysis and bench testing. A set of the new shear pins has been instrumented and sent to San Francisco for field verification. SFMTA conducted testing on the alignment to verify that the performance in the field is as predicted and eliminates the excessive forces measured earlier this year. SFMTA will provide a follow-up once the testing is complete.

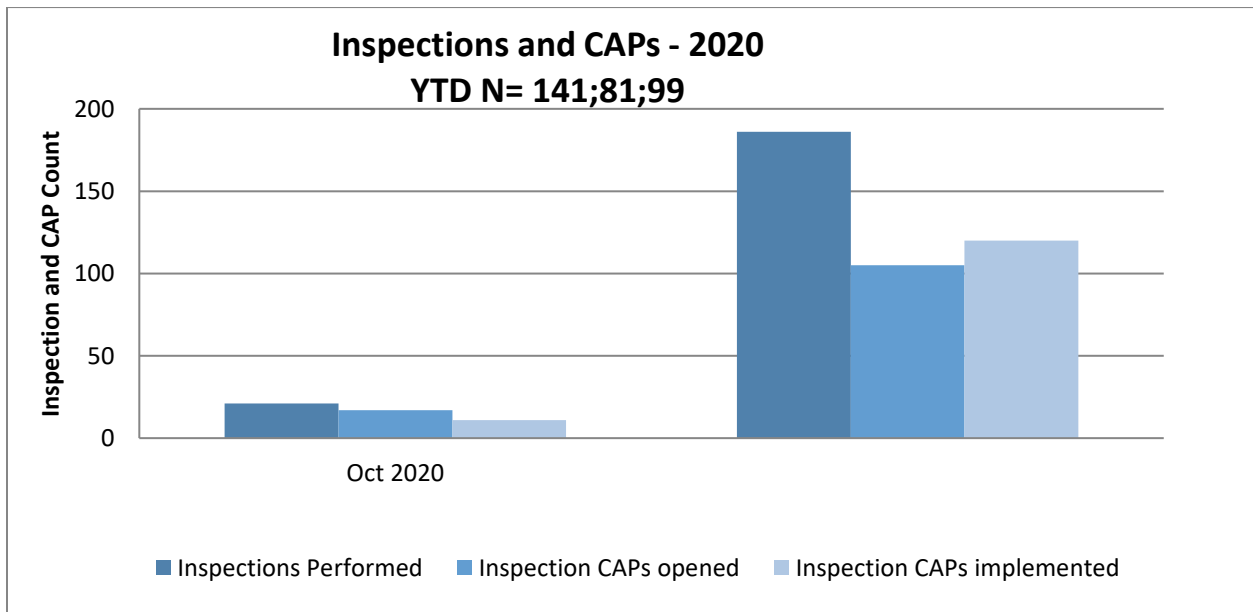
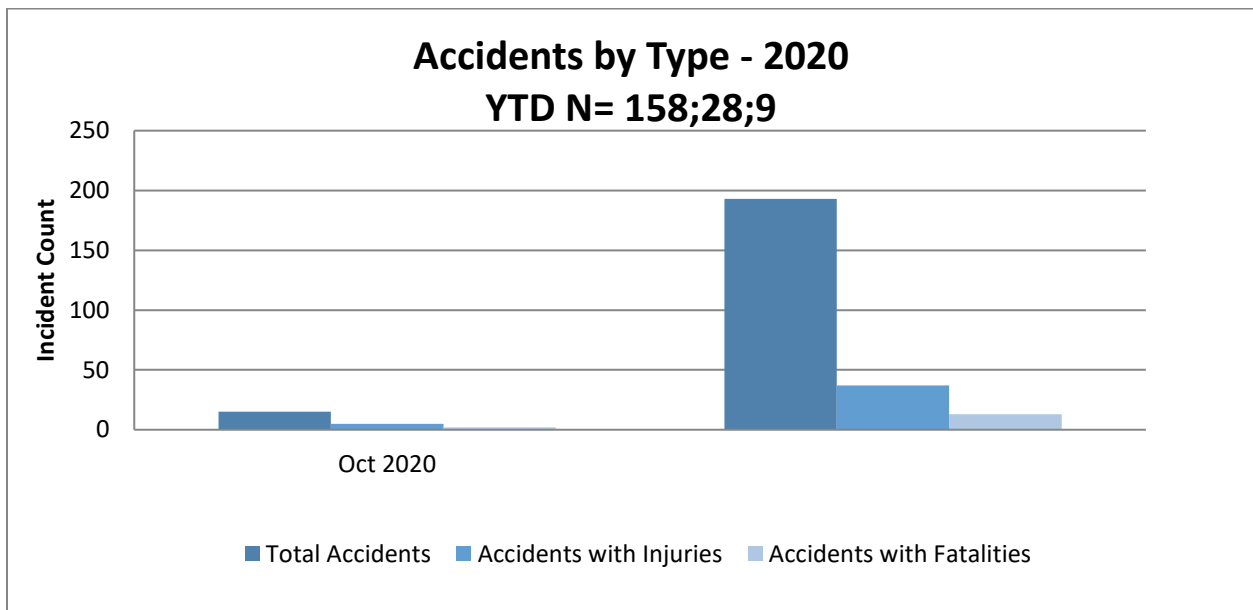
California Public Utilities Commission | Rail Safety Division

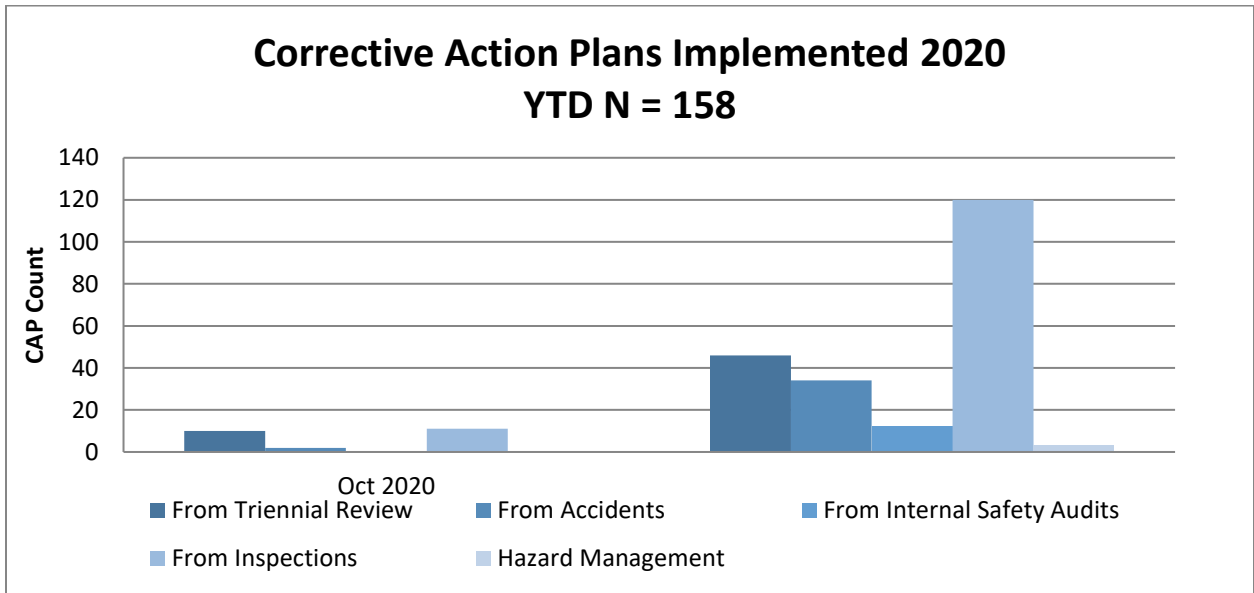
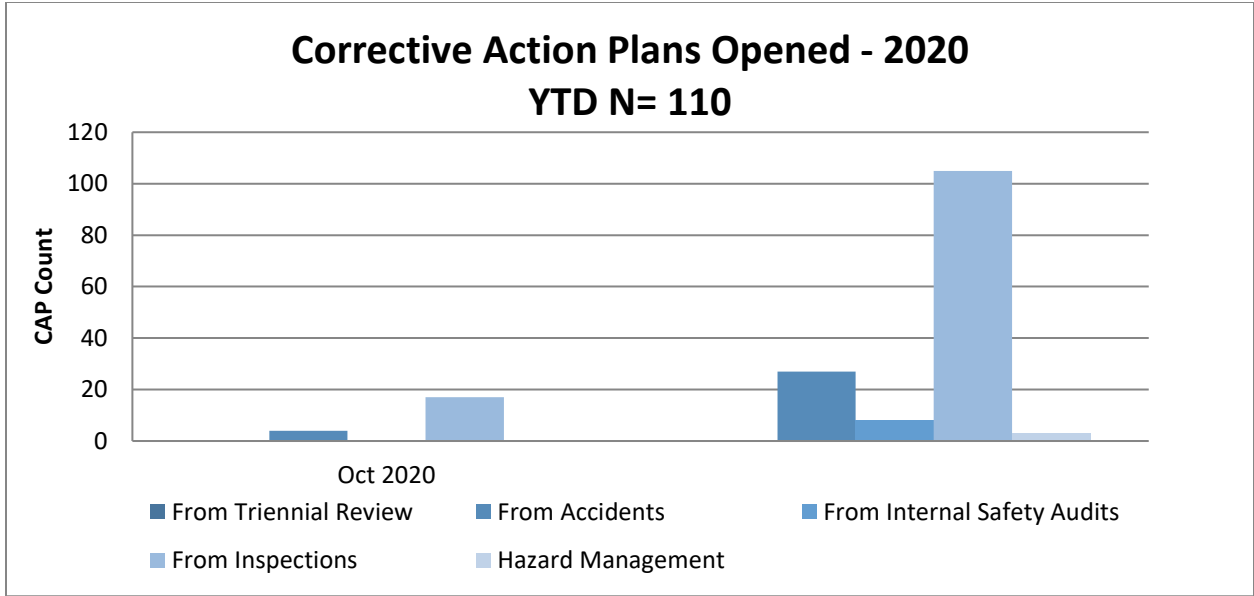
STATISTICS SUMMARY

| Investigations for Month | | YTD 2020 |
|--------------------------------|----|----------|
| Accidents Reported | 15 | 193 |
| Accident Investigations Closed | 29 | 293 |
| Complaints Investigated | 0 | 2 |
| Rail Transit Inspections | 21 | 186 |
| Triennial Review | 0 | 0 |

| | | CAPs YTD |
|--------------------------------------|----|----------|
| New Corrective Action Plans | 21 | 143 |
| From Triennial Review | 0 | 0 |
| From Incidents | 4 | 27 |
| From Internal Safety/Security Audits | 0 | 8 |
| From Rail Transit Inspections | 17 | 105 |
| From Hazard Management | 0 | 3 |
| Closed Corrective Action Plans | 23 | 215 |
| From Triennial Review | 10 | 46 |
| From Incidents | 2 | 34 |
| From Internal Safety/Security Audits | 0 | 12 |
| From Rail Transit Inspections | 11 | 120 |
| From Hazard Management | 0 | 3 |

ONGOING DATA / TRENDS





CORT MONTHLY REPORT

In California during the month of October:

- The railroads moved 2 trains with 200 crude oil cars.
- Via manifest train to Delta Trading the railroads moved 0 crude oil cars.
- The railroads moved 9 trains with 888 ethanol cars.

Plains All America in Taft, California received zero crude oil trains. The trains are spotted by the San Joaquin Valley Railroad (SJVR) originating from their yard in Bakersfield. For the month of November zero crude oil trains are expected.

The SJVR also spots unit trains for **Kern Oil** which is a refinery operating in Bakersfield. Kern received two 100 car trains this month and are expecting one for November. **Delta Trading** is a trans-loading facility located in Bakersfield where California oil cars are moved by manifest train. Delta is still seeking a new customer.

IN OTHER NEWS

Reuters 2017 article:

New, safer U.S. rail cars gather dust even as ethanol trains grow longer

By Jarrett Renshaw, Chris Prentice

NEW YORK (Reuters) - While crossing a small wooden bridge in northwestern Iowa last Thursday, 20 rail tank cars in a mile-long train transporting ethanol flew off the tracks, sending fireballs into the sky, while thousands of gallons of the biofuel leaked into the creek below.

No one was injured, in part because the accident occurred in a sparsely populated area. A similar derailment in the denser Lac-Mégantic, Quebec, Canada, in 2013 killed 47 people after a train carrying crude oil crashed and exploded.

But the incident in Iowa underscores the growing risk of another serious accident along with the increasing volume of the biofuel being moved in unit trains that are mile-long with about 100 rail cars - dubbed "rolling pipelines" - to slash freight costs. That is because ethanol

shippers are still primarily using the type of rail cars that were deemed too unsafe to carry crude after the Quebec disaster, even though the biofuel is more explosive than oil.

Thousands of replacement cars meant to better withstand an accident are sitting idle in rail yards around the country because the ethanol industry is not required to use them for another six years and as they cost about three times as much as the older cars, according to industry sources.

The U.S. Pipeline and Hazardous Material Safety Administration (PHMSA) gave the ethanol industry until 2023 to employ cars with thicker shells and other safety features. Prior to the Iowa incident, PHMSA said it does not see any safety issues with relying on older cars, known as DOT 111s. Not everyone agrees.

“We would like to see the shippers accelerate their schedule to get these legacy DOT-111 tank cars out of service when transporting flammable liquids — specifically crude oil and ethanol,” said Robert Sumwalt, member of the U.S. National Transportation Safety Board, an independent federal agency, at a Saturday press briefing in Iowa following the accident.

The train in last week’s accident was heading from Green Plains Inc’s Superior, Iowa, terminal to the Gulf Coast. Green Plains did not comment for this story. The Renewable Fuels Association, which represents biofuels producers and shippers, said safety is a top priority for the industry and highlighted the rarity of these incidents. The NTSB has no regulatory authority to change things, Sumwalt said, adding that the power is vested with U.S. Congress.

ROLLING ETHANOL PIPELINES

Ethanol production has grown sharply in the last decade thanks to government rules mandating increased use of the corn-based biofuel to reduce greenhouse gas emissions. Production is now about 1 million barrels per day.

About 650,000 barrels of ethanol is transported by rail daily. A 2015 report by the Federal Railroad Administration estimated about 47 percent of ethanol shipments were by unit trains.

But several sources interviewed, including four shippers, said their usage is increasing due to cost efficiencies.

“Unit trains have been an increasing transportation efficiency...we are encouraged to do more unit trains,” Kelly Davis, director of regulatory affairs at the Renewable Fuels Association, said at an NTSB roundtable in summer 2016.

“Shippers want to utilize unit trains if they can save money,” said Tom Williamson, a broker and owner of Sarasota, Florida-based Transportation Consultants. He said 11 of his 12 clients have switched to unit trains in the past two years.

In the last two years, biofuels makers Archer Daniels Midland Co, Green Plains, and Eco-Energy Global Biofuels LLC, and terminal operator Kinder Morgan Inc have planned or built new unit train terminals.

Eco-Energy did not respond to requests for comment, while Kinder Morgan declined comment. ADM, in a statement, said it is committed to making needed investments to meet new rail safety standards.

UPGRADE HURDLES

Federal regulators have warned longer trains hauling hazardous materials increase the risk of disasters, particularly when using DOT 111 cars. There have been at least 17 significant ethanol or crude derailments since 2006, and nearly all involved DOT 111s.

U.S. regulators gave the ethanol industry more time to shift because getting oil producers to stop using older cars was considered more important. A 2014 Federal Railroad Administration study found ethanol cars were 1.5 times more likely to explode than oil.

As of September, there were 35,252 tank cars hauling ethanol, and 84 percent were DOT 111s, according to the latest Association of American Railroads data. Newer DOT 117s account for just 6 percent of the ethanol fleet.

Based on current lease rates, a shipper using 1,000 of the older cars instead of the new models would save \$5.4 million annually. BNSF Railway Co has started offering discounts to ethanol

shippers this April if they agree to use DOT 117s. Generally, shippers have stuck with older cars because most railcar owners will hit shippers with financial penalties if they break long-term leases.

“While we are having some success in getting ethanol customers to upgrade to DOT 117s when their leases expire, we are not seeing a lot of demand from customers to make this switch,” said Christopher LaHurd, a spokesman with GATX Corp, a leading U.S. leaser of rail cars. Current lease rates for DOT 111s are roughly \$200 a month, while DOT 117s are around \$650 a month, brokers said.

In addition to GATX, Wells Fargo & Co, Bank of America Corp, and Greenbrier Companies Inc are among the U.S. fleet owners. Spokesmen for Bank of America and Greenbrier declined comment. A Wells Fargo spokeswoman said the company is working with customers to shift to newer cars. It would cost about billions to replace all the older cars with 117 model cars, Davis said in a phone interview. “Owners paid \$100,000 for these (current) cars, and you’re going to melt them down like a tin can make a new one,” Davis said. “That’s a lot of stranded capital.”

Ethanol Report

Kinder Morgan is a pipeline and off-loading facility located in; Wilmington, California adjacent to the BNSF Railway Santa Fe Yard Watson Yard which provides them spot service. The unit trains they receive are either 96 or 64 cars in length. The trains come from various suppliers and states but travel through California on BNSF lines only on their way to destination. When the train is ahead of schedule and the facility is not ready to receive them, the cars are held in the ACTA 1 siding which is 2 miles away; they are not held more than 48 hours.

- During the month of October, they received 9 ethanol unit trains totaling 888 cars, and currently have no trains holding in California.

Nu Star Energy is an energy provider in Selby, California that is currently receiving ethanol via unit-train delivered by the Union Pacific Railroad. NuStar Selby’s rail service is back on-line, and in October received 0 trains.

Storage of Hazardous Material Cars

Arizona-California RR is a short line railroad that was a subdivision of the Atchison, Topeka, and Santa Fe Railway. The ARZC began operations on May 9, 1991 and runs between Cadiz, California and Matthie, Arizona. A former branch line from Rice - Blythe - Ripley, CA. has been shortened as a spur for freight car storage. The tracks at Rice are owned by the Arizona-California RR but leased by PBF Energy. PBF currently has in storage at the site 0 empties and 125 loads.

Santa Maria Railroad: The Santa Maria Valley Railroad, serving the Santa Maria Valley's rail transportation needs since 1911 is located about 250 miles south of San Francisco and 175 miles north of Los Angeles on the Central Coast of California. The Santa Maria Railroad's system consists of 14 miles of main line track interchanging with the Union Pacific Railroad in Guadalupe. They currently have 36 loads and 79 empties. All storage cars are **Liquefied Petroleum Gas** (LPG), and when cars are released the Santa Maria Railroad checks them for compliance prior to release.

Sierra Northern Railway: Sierra Northern Railway operates over 100 miles of track in Mendocino county, Tuolumne, Stanislaus counties, and Yolo county. Sierra Northern provides rail shipping to all of California through interchanges with the BNSF and UP. They are currently storing 217 loads and 155 empties at various locations on their railroad, all cars are LPG.

West Oakland Pacific Railroad: Formerly known as the Oakland Terminal Railway operating on 10 miles of industrial track surrounding the Oakland Army Base. Jointly acquired in 1943 by the Western Pacific Railroad and Atchison, Topeka and Santa Fe Railway and used to interchange with the ATSF near the Southern Pacific 16th street station in Oakland. Currently storing zero railcars.

Northwestern Pacific Railroad (NWP): A regional railroad that serves the North Coast of California. Its main line is 271 miles long and runs between Schellville and Eureka. An additional portion of the line runs from the Ignacio Wye to the edge of San Rafael. Currently, only the 62 mi stretch between Schellville and Windsor is in operation with freight and Sonoma–Marin

Area Rail Transit (SMART) commuter trains. Sierra Northern and Northwestern work together to store their cars if Sierra Northern runs out of track capacity Northwestern stores the excess. Currently NWP has 10 loads and 64 empties; all stored cars are LPG.



Rice Storage Cars