

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

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| Consumer Protection and Safety Division<br>Rail Transit and Crossing Branch<br>Rail Transit Safety Section | Resolution ST-132<br>September 22, 2011 |
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**R E S O L U T I O N****RESOLUTION ST-132. GRANTING APPROVAL ON FINAL  
REPORT ON THE 2011 TRIENNIAL ON-SITE SAFETY REVIEW OF  
SANTA CLARA VALLEY TRANSPORTATION AUTHORITY**

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**SUMMARY**

This Resolution grants the Consumer Protection and Safety Division final report titled, "2011 Triennial On-Site Safety Review of Santa Clara Valley Transportation Authority," dated June 6, 2011. The Santa Clara Valley Transportation Authority is ordered to implement the recommendations contained in the report and to provide monthly progress reports.

**BACKGROUND**

Commission General Order No. 164-D, "Rules and Regulations Governing State Safety Oversight of Rail Fixed Guideway Systems" requires staff to conduct on-site safety reviews of transit agencies operating Rail Fixed Guideway Systems at least once every three years.

The Rail Transit Safety Section (RTSS) staff conducted an on-site safety review of the Santa Clara Valley Transportation Authority (VTA) beginning January 24, 2011 and concluding January 28, 2011. Staff conducted a post-review exit conference with VTA management on February 10, 2011.

The methods used to conduct the safety review included:

- a. Interviews with VTA employees at all levels from rank and file through VTA management;

- b. Reviews of design, construction, procurement, testing, training, operation and maintenance programs;
- c. Reviews of records and procedures;
- d. Observation of operations and maintenance activities; and
- e. Inspections of equipment and facilities.

A full description of the safety review, including the scope, results, and recommendations, is contained in the final safety review report identified in this resolution as Attachment A.

The safety review results show VTA is generally in compliance with its System Safety Program Plan; however, some program areas of non-compliance were identified during the review. These non-compliant items along with recommendations for corrective actions are described, where applicable, in the Findings/Comments/Recommendations section of each checklist and in the body of the final report. A summary of recommendations requiring corrective action is contained in Appendix C of the report.

## **PROTESTS**

Staff sent VTA a draft safety review report for a 30-day review and comment period on April 20, 2011. VTA's General Manager's concurrence letter dated June 13, 2011 confirmed the safety report's factual accuracy and accepted the recommendations.

## **DISCUSSION**

The final report, "2011 Triennial On-Site Safety Review of Santa Clara Valley Transportation Authority," dated June 6, 2011, includes Attachment A which identifies staff findings and recommendations.

VTA has stated to staff that they have developed and implemented corrective action plans for the areas of non-compliance identified in the report. VTA will provide regular monthly status updates of their corrective actions until completion.

The Commission Consumer Protection and Safety Division (CPSD) recommends that the Commission approve the final safety review report titled, "2011

Triennial On-Site Safety Review of Santa Clara Valley Transportation Authority," dated June 6, 2011. CPSD also recommends the Commission order VTA to:

- Submit a report to the RTSS, which identifies the corrective action status for safety program areas of non-compliance identified by staff;
- Submit plans and schedules for implementing and completing the recommended corrective actions contained in the report;
- Implement the recommendations in accordance with the plans and schedules submitted; and
- Provide the RTSS with monthly progress reports on the status of the corrective actions until they are completed and implemented.

## **NOTICE**

On August 23, 2011, staff's request for approval of the final safety review report titled, "2011 Triennial On-Site Safety Review of Santa Clara Valley Transportation Authority," dated June 6, 2011, was published on the Commission's Daily Calendar.

## **COMMENTS**

The draft resolution of the CPSD in this matter was mailed in accordance with Section 311 of the Public Utilities Code and Rule 14.2(c) of the Commission's Rules of Practice and Procedure. Parties' of interest comments will be due on September 19, 2011.

## **FINDINGS**

1. The RTSS staff conducted an on-site safety review of VTA beginning January 24, 2011 and concluding January 28, 2011. Staff conducted a post-review exit conference with VTA management on February 10, 2011.
2. The safety review results show VTA is generally in compliance with its System Safety Program Plan; however, some program areas of non-compliance were identified during the review. These non-compliant items along with recommendations for corrective actions are described, where applicable, in the Findings/Comments/Recommendations section of each checklist and in the body of the final report.

3. VTA has stated to staff they have developed and implemented corrective action plans for the areas of non-compliance identified in the report.

**THEREFORE, IT IS ORDERED THAT:**

1. The Consumer Protection and Safety Division's request for approval of the final safety review report titled, "2011 Triennial On-Site Safety Review of Santa Clara Valley Transportation Authority," dated June 6, 2011, is granted.
2. The Santa Clara Valley Transportation Authority shall submit to the Rail Transit Safety Section plans and schedules for implementing all recommended corrective actions contained in the final safety review report. Those plans and schedules shall be submitted no later than 45 days from the effective date of this resolution.
3. The Santa Clara Valley Transportation Authority shall complete and implement all recommended corrective actions contained in the report, in accordance with the plans and schedules submitted to the Rail Transit Safety Section.
4. The Santa Clara Valley Transportation Authority shall prepare and provide monthly status reports, beginning on October 24, 2011, to the Rail Transit Safety Section. The reports shall contain detailed information on the implementation of all remaining recommended corrective actions contained in the final safety review report. Monthly status reports shall be provided until all recommended corrective actions are implemented and completed.
5. This Resolution is effective today.

I certify that the foregoing resolution was duly introduced, passed and adopted at a conference of the Public Utilities Commission of the State of California held on September 22, 2011; the following Commissioners voting favorably thereon:

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PAUL CLANON  
Executive Director

# ATTACHMENT A

[Shitole Appendix A](#)