

November 1, 2021

OFFICE OF ENERGY INFRASTRUCTURE SAFETY OF THE CALIFORNIA NATURAL  
RESOURCES AGENCY

**Subject: Pacific Gas and Electric Company's Quarterly Notification Pursuant to Public Utilities Code Section 8389(e)(7) to the Office of Energy Infrastructure Safety's Compliance Operational Protocols and Assembly Bill 1054 Regarding the Implementation of Its Approved Wildfire Mitigation Plan and Its Safety Recommendations**

Pursuant to California Public Utilities Code (PUC) Section 8389(e)(7) and the Office of Energy Infrastructure Safety's (*Energy Safety Compliance Operational Protocols* issued on February 16, 2021 (Compliance Operational Protocols) and subsequent clarification issue on September 8, 2021 by Energy Safety<sup>1</sup>, Pacific Gas and Electric Company (PG&E) respectfully submits this Quarterly Notification detailing the status of its current wildfire mitigation plan, recommendations of the most recent safety culture assessment, recommendations of the Board of Directors' safety committee meetings that occurred during the quarter, and a summary of the implementation of safety committee recommendations from the previous quarterly submittal (if any).

**Background**

On July 12, 2019, Governor Gavin Newsom signed Assembly Bill (AB) 1054 into law adding Section 8389(e)(7) to the PUC. As one of the conditions for the executive director of the Commission issuing a safety certification, Section 8389(e)(7) — as amended by AB 148 — requires documentation of the following:

The electrical corporation is implementing its approved wildfire mitigation plan. The electrical corporation shall file a notification of implementation of its wildfire mitigation plan with the office and an information-only submittal with the commission on a quarterly basis that details the implementation of both its approved wildfire mitigation plan and recommendations of the most recent safety culture assessments by the commission and office, and a statement of the recommendations of the board of directors safety

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<sup>1</sup> Energy Safety issued "Submission of Safety Certification Request and Supporting Documents" on September 8, 2021, which, among other items, clarified Assembly Bill 148, effective as of July 22, 2021, updated PUC Section 8389(e)(7) to reporting requirements, notably that the Quarterly Advice Letter (QAL) will change in format but not content to the Quarterly Notification.

committee meetings that occurred during the quarter. The notification and information-only submittal shall also summarize the implementation of the safety committee recommendations from the electrical corporation's previous notification and submission. If the office has reason to doubt the veracity of the statements contained in the notification or information-only submittal, it shall perform an audit of the issue of concern. The electrical corporation shall provide a copy of the information-only submittal to the office.

On February 16, 2021, Energy Safety issued the Compliance Operational Protocols which provided further guidance and requirements for electrical corporations' Quarterly submissions in addition to the existing requirements established by Section 8389(e)(7). Specifically, the Compliance Operational Protocols standardized the Quarterly submission dates across electrical corporations, described the information and materials to be included in the Quarterly Notifications, and also required the submission of Wildfire Mitigation Plan (WMP) initiative progress in a separate document referred to as the Quarterly Initiative Update (QIU).

This Quarterly Notification submission is for the third quarter (Q3) of 2021 pursuant to the requirements of AB 1054, as amended by AB 148, and the Compliance Operational Protocols.

### **Q3 2021 Update**

#### **WMP Regulatory Background and Scope of Quarterly Notification:**

PG&E submitted its 2021 WMP on February 5, 2021.<sup>2</sup> On March 17, 2021 and April 22, 2021, we provided errata for our 2021 WMP. In the 2021 WMP, PG&E described approximately 140 initiatives. We also highlighted 53 commitments for 2021 in Table PG&E-7.1-1 of our 2021 WMP.<sup>3</sup> The 53 commitments represent areas that "we are focused on delivering for 2021 (by the next annual update)."<sup>4</sup>

On June 3, 2021, in response to Energy Safety's *Revision Notice for Pacific Gas and Electric Company's 2021 Wildfire Mitigation Plan Update* (Revision Notice), we updated our 2021 WMP to respond to the six critical issues identified in the Revision Notice (2021 Revised WMP).

On September 22, 2021, Energy Safety issued its Final Action Statement approving the 2021 Revised WMP. On October 21, 2021, the California Public Utilities Commission (CPUC or Commission) ratified Energy Safety's approval.

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<sup>2</sup> PG&E's 2021 WMP is available at [www.pge.com/wildfiremitigationplan](http://www.pge.com/wildfiremitigationplan).

<sup>3</sup> 2021 Revised WMP at pp. 319-325.

<sup>4</sup> 2021 Revised WMP at p. 318.

Our Q3 2021 QIU, which is being submitted concurrently with this Quarterly Notification, provides progress updates for all of the initiatives described in our approved 2021 Revised WMP. To minimize repetition between the Quarterly Notification and the QIU, this submission will focus on providing additional details associated with the 53 commitments.

**2021 Revised WMP Commitments Summary:**

A table of all 53 commitments including the current status is provided in Appendix 1. A summary of the status of these commitments, broken down by 2021 WMP area, is provided in Table 1 below. The Compliance Operational Protocols indicate that five potential status designations should be used for each initiative or commitment.<sup>5</sup> The Compliance Operational Protocols also indicate that electrical corporations should use the same format and colors as used by Southern California Edison Company in a July 2019 Report (SCE Report).<sup>6</sup> Because the status designations in the Compliance Operational Protocols differ from the status designations in the SCE Report, we used the designations in the Compliance Operational Protocols for both the Quarterly Notification and the QIU.<sup>7</sup> In this Quarterly Notification, as well as in the QIU, we tried to match the colors from the SCE Report. In Table 2 below, we provide the color schema used in the Quarterly Notification and the QIU for the five status designations included in the Compliance Operational Protocols.

**Table 1: Summary of 53 2021 Revised WMP Commitments**

2021 WMP Area	Completed	In Progress	Planned	Delayed	Cancelled	Total
A. Risk Assessment and Mapping	4	2				6
B. Situational Awareness and Forecasting	11	5				16
C. Grid Design and System Hardening	7	3		5		15
D. Asset Management and Inspections	1	1		2		4
E. Vegetation Management and Inspections	1	1		1		3
G. Data Governance	1	1				2
I. Emergency Planning and Preparedness		1		1		2

<sup>5</sup> Compliance Operational Protocols at p. 9 (indicating status should be: completed, in progress, planned, delayed, or cancelled).

<sup>6</sup> Compliance Operational Protocols at p. 9.

<sup>7</sup> The Compliance Operational Protocols indicated the same five status designations for the QIU as are used in the QAL. See Compliance Operational Protocols at p. 6 (indicating status designations for QAL are completed, in progress, planned, delayed, and cancelled).

J. Stakeholder Cooperation and Community Engagement	1	2				3
K. Protocols on Public Safety Power Shutoff		2				2
<b>Total</b>	<b>26</b>	<b>18</b>	<b>0</b>	<b>9</b>	<b>0</b>	<b>53</b>

**Table 2: Mapping of Status Designation and Color Schema**

<b>SCE Report</b>	<b>Completed</b>	<b>On Track</b>	<b>Not Started</b>	<b>Off Track</b>	<b>N/A</b>
<b>QAL/QIU</b>	<b>Completed</b>	<b>In Progress</b>	<b>Planned</b>	<b>Delayed</b>	<b>Cancelled</b>

**Details of 9 Delayed Commitments in PG&E’s 2021 Revised WMP:**

In this section of the Quarterly Notification, we provide information regarding the nine delayed commitments. In Table PG&E-7.1-1, we provided a Unique ID for each commitment. Below, we have included the Unique ID, the name of the activity, a brief description of the activity, and the status. In addition, it is important to note that in the discussion below, we refer to quarterly targets for certain commitments. These quarterly targets are generally not included in the 2021 Revised WMP, but instead represent our internal targets in order that we can meet the annual target specified in the 2021 Revised WMP. However, we felt it was important to share with Energy Safety, the Commission, and stakeholders our internal quarterly targets for these commitments to provide full transparency on where we expected to be by the end of Q3 2021 and where we are in terms of progress. We have also indicated below if we have a plan in place to get a specific commitment back on track.

**C.08 Distribution line legacy 4C Controllers:** This commitment involves the replacement of all remaining distribution line legacy 4C controllers that are in Tier 2 and Tier 3 High Fire Threat District (HFTD) areas by December 31, 2021. In the 2021 Revised WMP, we estimated approximately 84 remaining distribution line legacy 4C controllers located in Tier 2 and Tier 3 HFTD areas. Of these 84 units, 4 were completed in 2020, which resulted in the 2021 target being reduced to 80. Our updated High Fire Risk Area (HFRA) analysis brought one more location into scope bringing the total to 81 units for 2021. While this additional unit is not in an HFTD area, it fits with the intent of the commitment, therefore we are updating our target and recovery plan to 81 units in 2021. Through Q3, 50 devices have been replaced, which falls short of the Q3 target of 80. This commitment was impacted by emergency events (PSPS/Wind Events), work prioritization changes in Q3 that delayed program start and the implementation of the Enhanced Powerline Safety Settings (EPSS) initiative. A recovery plan is in place to meet the 2021 Revised WMP commitment before the end of the year.

**C.09 Fuse Savers (Single Phase Reclosers):** This commitment involves the installation of 70 sets of single phase reclosers by December 31, 2021. Through Q3, the program

has completed the installation of 7 units, which falls short of our Q3 target of 54 total installations. The remaining 63 targeted units for this year are either being prepared for construction or are ready for construction. The program fell behind the original workplan due to the late scoping of 2021 locations, dependencies that needed to be resolved before construction (e.g., permits, obtaining materials, etc.), and the impact of the EPSS initiative. In addition, the primary contractor assigned to these jobs has been offboarded from PG&E due to safety concerns. New resources have been secured to schedule and construct the remaining jobs. A recovery plan is in place to meet the 2021 Revised WMP commitment before the end of the year.

**C.11 Expulsion Fuse Replacement (Non-Exempt Equipment):** This commitment involves replacing approximately 1,200 fuses/cutouts and other non-exempt equipment identified on poles in Tier 2 and Tier 3 HFTD areas by December 31, 2021. Through Q3, 751 units have been replaced, which falls short of the Q3 target of 1,192 units. This commitment fell behind the original plan as the scoping of all 2021 locations was completed in late April due to the revised 2021 Wildfire Distribution Risk Model, as well as construction resources being deployed to complete existing maintenance tags in HFTDs, which caused delays in early September. The program is expected to meet the 2021 Revised WMP commitment of 1,200 units by the end of the year.

**C.12 Surge Arrester Replacements (Non-Exempt Surge Arresters):** This commitment involves the replacement of at least 15,000 of the remaining 21,400 Tier 2 and Tier 3 non-exempt surge arresters. Through Q3, 9,911 surge arresters were replaced, which falls short of the Q3 target of 12,836 units. Construction resources being deployed to complete existing maintenance tags in HFTDs caused delays in early September. In addition, the primary contractor assigned to these jobs has been offboarded from PG&E due to safety concerns, which caused further production delays. Crew ramp up plans have been developed in partnership with both internal and external contract resources. The program is expected to meet the 2021 Revised WMP commitment of 15,000 units by the end of the year.

**C.13 System Hardening (Line Miles):** This commitment involves hardening 180 miles of the highest risk miles by December 31, 2021. Through Q3, 124.7 miles have been constructed, which falls short of the Q3 target of 148 miles. This commitment fell behind the original plan because of changes to the 2021 portfolio of work due to the updated risk model, as well as construction resources being deployed to complete existing maintenance tags in HFTDs, which caused further delays in early September. In September, crews were re-deployed to hardening projects. There are more than 100 miles of construction-ready projects for Q4, which will allow us to meet or exceed the end of year target of 180 miles.

**E.03 VM Transmission Right of Way (ROW) Expansion (Line Miles):** This commitment involves performing Transmission ROW expansion on approximately 200 line-miles within HFTD areas. Through Q3, 143.6 miles were completed, which falls short of the Q3 target of 163.9 miles. This program experienced delays due to recent fire events

preventing access to planned locations. The program has line-of-sight to the remaining miles needed to reach the 200-mile target and is working to accelerate the remaining miles.

**D.01 Distribution HFTD Inspections (Poles):** This commitment involves enhanced detailed inspections of overhead distribution assets in the following recurrence intervals by July 31, 2021: (1) Tier 3 and Zone 1 – annually; and (2) Tier 2 and HFRA – every three years, barring exceptions due to physical conditions or landholder refusals which delay or hinder PG&E access to facilities. PG&E did not complete this commitment by July 31, 2021 because, during record validation, we identified additional poles after July 31, 2021 that should have been inspected. Through Q3, 477,159 poles were inspected. There are 27 remaining poles requiring inspection in the 2021 workplan that have not been inspected because they are in can't get in (CGI) locations due to customer refusal or areas impacted by the fires. In addition, as we continue our record validation efforts, we may identify additional poles that require inspection. Concurrent with this Quarterly Notification, PG&E is submitting a Change Order to update the target number of poles for this commitment.

**D.03 Transmission HFTD Inspections (structures):** This commitment involves enhanced detailed inspections of transmission structures and some form of aerial assessment (helicopter, drone, aerial lift, climbing) on the following recurrence intervals by July 31, 2021: (1) Tier 3 – annually; and (2) Tier 2 and High Fire Risk Areas (HFRA) – every three years barring exceptions due to physical conditions or landholder refusals which delay or hinder PG&E access to facilities. PG&E did not complete this commitment by July 31, 2021 because, during record validation, we identified additional structures after July 31, 2021 that should have been inspected. Record validation efforts resulted in 3 inspections (air) in HFTD / Zone 1 areas and 1 HFRA Non-HFTD inspection being added to the 2021 workplan target after the July 31, 2021 due date. The 3 air inspections were completed on September 17, 2021. The 1 inspection in HFRA non-HFTD was completed on September 9, 2021. In addition, as we continue our record validation efforts, we may identify additional poles that require inspection. Concurrent with this Quarterly Notification, PG&E is submitting a Change Order to update the target number of poles for this commitment.

**I.02 Trained Workforce for Service Restoration:** This commitment includes four activities with specific milestone dates for each activity.

The first activity, to complete Phase III SEMS training (ICS 300 / 400) for all Command staff and select roles in General staff by June 30, 2021, was missed. As of October 8, 2021, 71.1% of profiled Emergency Operations Center (EOC) staff have completed the training. Training sessions for ICS 300 and ICS 400 have been scheduled on alternating weeks moving forward through the remainder of 2021. All Command & General Staff team members are enrolled in the classes needed to complete Phase III by the end of the year, notwithstanding new team members who assume a Command & General Staff position due to unexpected vacancies on an EOC duty team.

The second activity, to complete G197 (Integrating Access and Functional Needs) training was completed on August 30, 2021 ahead of the September 1, 2021 due date. Per discussions with Energy Safety, we substituted G197 training with IS 368 web-based Access and Functional Needs training.

The third activity involves completing PSPS-0001WBT PSPS Restoration Overview before the December 31, 2021, which is 99% complete as of October 12, 2021.

The fourth activity involves completing PSPS-0002WBT Distribution Control Center (DCC) Operator Trainings before the December 31, 2021, which is 100% Complete as of October 12, 2021. For the third and fourth activities any new hires will be required to complete these trainings within 90 days, however, any new hires after October 4, 2021 will be tracked separately from this commitment as the 90 days training requirement would be beyond the end of year commitment due date.

### **Implementation of PG&E's 2021 Safety Culture Assessment**

PG&E's 2021 Safety Culture Assessment was issued by Energy Safety on October 6, 2021. The Safety Culture Assessment evaluated the safety culture at PG&E through the use of workforce surveys, management self-assessments, and interviews. The Safety Culture Assessment provided six recommendations for PG&E to act upon:

1. Build leadership skills and ensure frontline supervisors are demonstrating those skills regularly in the field to improve the work environment for wildfire and personal safety.
2. Establish a governance structure to ensure effective implementation and tracking of the 2025 Workforce Safety Strategy.
3. Execute the strategy with active leadership by senior executives to ensure implementation.
4. Leverage the new safety management system to improve the flow of information up, down, and across the organization and provide a single mechanism for reporting and tracking wildfire concerns.
5. Increase engagement on the safety culture assessment within the workforce supporting wildfire mitigation initiatives.
6. Recognize and take action to mitigate the safety concerns posed by interactions with certain discontented members of the public.

On October 22, 2021, PG&E formally notified Energy Safety that it agreed to implement all of the findings and recommendations in the Safety Culture Assessment and committed to work with Energy Safety and its third-party contractor, DEKRA, regarding their implementation. PG&E remains dedicated to continually improving its safety culture and is currently developing processes for implementing the above recommendations. PG&E will provide further information on the methods through which it will implement these recommendations in its next quarterly update.

## **Board of Directors' Safety and Nuclear Oversight Committee – Q3 2021 Update**

The PG&E Board of Directors' Safety and Nuclear Oversight (SNO) Committee is an important part of PG&E's Board-level oversight of safety, enterprise risk, and other matters. A SNO Committee also concurrently exists at the PG&E Corporation Board (together referred to as the SNO Committees).

This section describes the SNO Committees' oversight activities and is organized as follows:

1. Safety Topics Covered in SNO Committees' Meetings
2. Recommendations of the SNO Committees and Management Implementation

### **Safety Topics Covered in SNO Committee Meetings**

During the third quarter of 2021, the SNO Committees held a meeting on July 27 and a joint meeting with the Audit Committees on the same day.

During the July meeting, the SNO Committees received a safety performance update, including discussion of Serious Injuries or Fatalities (SIF) actual and potential events as well as Days Away, Restricted, or Transferred (DART) rates. In addition, the Committees discussed the Enhanced Vegetation Management program. Finally, the Committees reviewed the second quarter Internal Audit report and enterprise risks related to loss of containment and consumer data privacy.

During the July joint meeting, the SNO Committees and the Audit Committees received an update on the enterprise and operational risk management program and reviewed Board-level oversight activities. In addition, the Committees reviewed the Internal Audit report for the second quarter of 2022. The SNO Committees' primary focus is reports related to operational audits.

### **Recommendations of Boards of Directors' Safety Committee Meetings During Q3 2021**

There is an ongoing dialogue between the Chair of the SNO Committees and management, with frequent engagement around the implementation of the workforce safety strategy, safety performance updates, and corrective actions in the normal course of business. In addition, the SNO Committees made the following specific, safety-related recommendations to management during the third quarter of 2021:

- Provide more insight into operations at the Wildfire Command Center

### **Management Implementation of Recommendations Described in Q2 2021 QAL (Advice Letter 6280-E)**



Appendix 1 - 2021 WMP Commitments  
Attachment A - Safety and Culture Governance Quarterly Report

cc: Service Lists R.18-10-007, I.19-09-016 and I.15-08-019

**APPENDIX 1: 2021 WMP Commitments**

Plan Area	2021 WMP Commitments – (progress as of 09/30) <sup>[1]</sup>			
A. Risk Assessment and Mapping	A.01- Match Drop Simulations (24 additional hours of forecast data)	A.02 - Match drop simulations (update fuel model layers)	A.03 - Re-Train Vegetation and Equipment Probability of Ignition Models	A.04 - Risk Mapping Improvements (Transmission)
	A.05 - Risk Mapping Improvements (Distribution)	A.06 - Model PSPS customer impacts at circuit level		
B. Situational Awareness and Forecasting	B.01 - Numerical Weather Prediction	B.02 - Enhancements to Fuel Moisture Sampling and Modeling efforts	B.03 – Enhancements to Fuel Moisture Forecasting	B.04 - Enhancements to Weather Station Project (Installations and Optimization)
	B.05 - Enhancements to Weather Station Project (Wind Gust Model)	B.06 - Medium- to Seasonal-Range Diabolo Wind Forecasting	B.07 - Information Sharing	B.08 - SmartMeters™ - Partial Voltage Detection
	B.09 - Sensor IQ Pilot Deployment <sup>[2]</sup>	B.10 - Distribution Arcing Fault Signature Library	B.11 - Enhancements to Fire Potential Index (FPI) Model	B.12 - Safety and Infrastructure Protection Team (SIPT) Staffing
	B.13 - Enhancements to Outage Producing Wind (OPW) Model	B.14 - Wildfire Safety Operations Center (WSOC) - Procedure Update	B.15 - Wildfire Safety Operations Center (WSOC) - Expand Active Incidents Visibility	B.16 - HD Cameras
C. Grid Design and System Hardening	C.01 - Assess Motorized Switch Operator (MSO) switches	C.02 - Generation for PSPS Mitigation (Temporary Distribution Microgrids)	C.03 - Generation for PSPS Mitigation (Substation Distribution Microgrids)	C.04 - Emergency Back-up Generation – PG&E Service Centers & Materials Distribution Centers
	C.05 - Remote Grid	C.06 - Distribution Sectionalizing (automated devices)	C.07 - Transmission Switches	C.08 - Distribution line legacy 4C controllers
	C.09 - Fuse Savers (Single phase reclosers)	C.10 - Rapid Earth Fault Current Limiter (REFCL) Pilot	C.11 - Expulsion Fuse Replacement (non-exempt equipment)	C.12 - Surge Arrester Replacements
	C.13 - System Hardening (line miles)	C.14 - Butte County Rebuild	C.15 - System Hardening - Transmission Conductor	

<sup>[1]</sup> Red dotted outline = Commitment is partially or completely due prior to the end of 2021 (12/31). Status color: Purple = Completed; Green = In Progress; Grey = Planned; Red = Delayed; White = Cancelled

<sup>[2]</sup> This Status assumes the 2021 WMP is approved. If and when the 2021 WMP is approved, the 2020 WMP Change Order approved on 1/5/2021 for this commitment will be superseded by the 2021 WMP and thus the second phase of the Sensor IQ initiative to complete the full evaluation for how to use this technology would no longer be in scope for 2021 as the 2021 WMP commits to completing the second phase in Q1 2022 (3/31/2022).

<b>D. Asset Mgmt. and Inspections</b>	D.01 - Distribution HFTD Inspections (poles)	D.02 - Substation HFTD Inspections (substations)	D.03 - Transmission HFTD Inspections (structures)	D.04 - Infrared Inspections of Transmission Electric Lines and Equipment
<b>E. Vegetation Management</b>	E.01 - EVM (line miles)	E.02 - VM Community and Environmental Engagement	E.03 - VM Transmission Right of Way Expansion	
<b>G. Data Governance</b>	G.01 - Research Proposals (Open Innovation Challenge)	G.02 - Cal Poly Wildland Urban Interface (WUI) Fire Information Research and Education (FIRE) Institute		
<b>I. Emergency Planning and Preparedness</b>	I.01 - Staffing to Support Service Restoration	I.02 - Trained Workforce for Service Restoration		
<b>J. Stakeholder Cooperation and Community Engagement</b>	J.01 - Community Based Organizations (CBOs) Coordination	J.02 - Community Engagement	J.03 - Customer and Community Outreach	
<b>K. Protocols on Public Safety Power Shutoff</b>	K.01 - Customer and Agency Outreach During PSPS Events	K.02 - Mitigate Impacts on De-Energized Customers		

November 1, 2021

## **Attachment A**

### **Safety and Culture Governance Quarterly Report**

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**PACIFIC GAS AND ELECTRIC COMPANY**  
**SAFETY CULTURE AND GOVERNANCE QUARTERLY REPORT**  
**NO. 12-2021**  
**IN COMPLIANCE WITH CPUC DECISION 18-11-050**  
**SUBMITTED NOVEMBER 1, 2021**

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PACIFIC GAS AND ELECTRIC COMPANY  
SAFETY CULTURE AND GOVERNANCE QUARTERLY REPORT  
NO. 12-2021  
IN COMPLIANCE WITH CPUC DECISION 18-11-050  
SUBMITTED OCTOBER 29, 2021

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**PACIFIC GAS AND ELECTRIC COMPANY  
SAFETY CULTURE AND GOVERNANCE QUARTERLY REPORT  
NO. 12-2021  
IN COMPLIANCE WITH CPUC DECISION 18-11-050**

**I. Introduction**

Effective October 8, Chief Safety Officer (CSO), Francisco Benavides resigned from PG&E to join a multinational company as the CSO. As the company completes a search to fill the role, Andy Williams was appointed as the interim CSO. Andy has previous experience leading the Enterprise Health and Safety organization at PG&E.

**II. Q3 SIF Actual Review**

PG&E did not experience a Serious Injury or Fatality-actual (SIFa) incident during Q3 2021.

**III. Conclusion**

Consistent with PG&E's previous quarterly Reports, the Appendix has a progress update on the Workforce Safety Strategy, including third quarter 2021 safety performance. PG&E also certifies the ongoing execution of NorthStar's recommendations.

Attachment 1 to this Report includes approved Board of Directors (BOD) and Safety and Nuclear Oversight (SNO) Committee meeting minutes.

PG&E recognizes and remains committed to improving its safety culture and safety performance. The focus is building an accountable, transparent organization that embraces raising issues and ideas, and acts upon resolving them. PG&E is moving quickly to sustain the progress we have made with the company's 5 -year safety strategy.

## APPENDIX

### IV. Sustainability Update

#### A. Ongoing Execution and Sustainability

PG&E continues to execute on NorthStar's recommendations and has verified the sustainability of its Safety OII plans for the period of July 1, 2021, through September 30, 2021.

Compliance certifications for the third quarter of 2021 are shown in Table 1 below, and the status of the additional NorthStar recommendations is provided in Table 2.

**TABLE 1  
MATRIX OF SUSTAINABILITY PLANS**

Line No.	PG&E Implementation Plan	Certification Due Date	Certification Status(a)	Approver	Initial Implementation
1	Safety Culture and Governance OII - F-2 _Supv in the Field_includes V-4	10/01/2021	Certified	Jan Nimick	Report No. 04-2019
2	Safety Culture and Governance OII - F-3 SLD includes VIII-1	10/01/2021	Certified		Report No. 03-2019 Report No. 03-2019
3	Safety Culture and Governance OII - F-4 _Comprehensive Safety Strategy_includes III-2 III-3 V-3	10/01/2021	Certified	Francisco Benavides	Report No. 01-2018
4	Safety Culture and Governance OII - F-5 _Best Practice Coordination_includes IV-5 IV-6 IV-7 V-1 V-2 V-5	10/01/2021	Certified		Report No. 01-2018
5	Safety Culture and Governance OII - III-1 Board Qualifications	10/01/2021	Certified	Brian Wong	Report No. 01-2018
6	Safety Culture and Governance OII - IV-2 CSO Org Position	10/01/2021	Certified	Brian Wong	Report No. 01-2018
7	Safety Culture and Governance OII - F-1 OII Implementation Plan	10/01/2021	Certified	Francisco Benavides	Report No. 01-2018
8	Safety Culture and Governance OII - IX-1 _Safety Communication	10/01/2021	Certified		Report No. 01-2018
9	Safety Culture and Governance OII - IX-2 _Safety Culture Metrics	10/01/2021	Certified		Report No. 01-2018
10	Safety Culture and Governance OII - IX-3 _Reach Every Employee	10/01/2021	Certified		Report No. 01-2018
11	Safety Culture and Governance OII - III-5 IA Safety Role	10/01/2021	Certified	Stephen Cairns	Report No. 01-2018
12	Safety Culture and Governance OII - IV-3 _Safety Dept Roles and Responsibilities_includes IV-4	10/01/2021	Certified	Francisco Benavides	Report No. 01-2018

**TABLE 1  
MATRIX OF SUSTAINABILITY PLANS  
(CONTINUED)**

Line No.	PG&E Implementation Plan	Certification Due Date	Certification Status(a)	Approver	Initial Implementation
13	Safety Culture and Governance OII - IV-1 CSO Experience	10/01/2021	Certified	Francisco Benavides	Report No. 01-2018
14	Safety Culture and Governance OII - VI -1 _Separate Safety Expenditures-RAMP	10/01/2021	Certified	Stephanie Williams	Report No. 01-2018
15	Safety Culture and Governance OII - VI – 2 _Safety IPP_includes III-4	10/01/2021	Certified		Report No. 02-2019
16	Safety Culture and Governance OII - VI -3 _Risk and Bus Case Planning	10/01/2021	Certified		Report No. 02-2019
17	Safety Culture and Governance OII - VI -4 _PPM for Power Gen	10/01/2021	Certified		Report No. 03-2019
18	Safety Culture and Governance OII - VI -5 _Session D Link to Sessions 1 and 2	10/01/2021	Certified		Report No. 02-2019
19	Safety Culture and Governance OII - VII-1 _STIP and LTIP Metrics includes VII-4 VII-5	10/01/2021	Certified		Report No. 02-2019
20	Safety Culture and Governance OII - VII-2 _Former STIP metric tracking	10/01/2021	Certified	Stephanie Williams	Report No. 01-2018
21	Safety Culture and Governance OII - VII-3 LTIP Safety Weight	10/01/2021	Certified		Report No. 02-2019
22	Safety Culture and Governance OII - VII-6 BPR Metrics	10/01/2021	Certified	Stephanie Williams	Report No. 01-2018
23	Safety Culture and Governance OII - VII-7 _Expanded Best Practice Sharing	10/01/2021	Certified	Francisco Benavides	Report No. 02-2019
24	Safety Culture and Governance OII - VIII-10 _PwrGen Training Completion	10/01/2021	Certified		Report No. 01-2018
25	Safety Culture and Governance OII - VIII-11 _PwrGen Refresher Training	10/01/2021	Certified		Report No. 03-2019
26	Safety Culture and Governance OII - VIII-2 _Field-first Training Profiles	10/01/2021	Certified		Report No. 03-2019
27	Safety Culture and Governance OII - VIII-3 SLD 360	10/01/2021	Certified	Francisco Benavides	Report No. 01-2018
28	Safety Culture and Governance OII - VIII-4 _Mandatory Refresher Training	10/01/2021	Certified		Report No. 03-2019

**TABLE 1  
MATRIX OF SUSTAINABILITY PLANS  
(CONTINUED)**

Line No.	PG&E Implementation Plan	Certification Due Date	Certification Status(a)	Approver	Initial Implementation
29	Safety Culture and Governance OII - VIII-5 _Human Performance Training	10/01/2021	Certified		Report No. 03-2019
30	Safety Culture and Governance OII - VIII-6 OQ Status Reporting	10/01/2021	Certified		Report No. 01-2018
31	Safety Culture and Governance OII - VIII-7 2014 OQ Review	10/01/2021	Certified		Report No. 03-2019
32	Safety Culture and Governance OII - VIII-9 _PwrGen Apprentice Program	10/01/2021	Certified		Report No. 03-2019
33	Safety Culture and Governance OII - X-1 SEMS-CAP Integration	10/01/2021	Certified		Report No. 01-2018
34	Safety Culture and Governance OII - X-2 _CAP-NH Costs and Benefits	10/01/2021	Certified		Report No. 01-2018
35	Safety Culture and Governance OII - X-3 _CAP-NH Reporting Benefits	10/01/2021	Certified		Report No. 01-2018
36	Safety Culture and Governance OII - X-4 _IA Review of Serious Incident Investigations	10/01/2021	Certified		Report No. 01-2018
37	Safety Culture and Governance OII - X-5 _WGE Documentation Improvement	10/01/2021	Certified		Report No. 01-2018
38	Safety Culture and Governance OII - X-6 _Central Repository for Investigation info	10/01/2021	Certified		Report No. 01-2018
39	Safety Culture and Governance OII - X-7 _ Safety Communication Protocol	10/01/2021	Certified		Report No. 01-2018
40	Safety Culture and Governance OII - X-8 _Cause Evaluation Process includes X-9	10/01/2021	Certified		Report No. 02-2019
41	Safety Culture and Governance OII - XI-1 _Surprise Inspections for Cont Safety	10/01/2021	Certified		Report No. 01-2018
42	Safety Culture and Governance OII - XI-2 _Solely Responsible Cont Language	10/01/2021	Certified	Jamie Martin	Report No. 01-2018
43	Safety Culture and Governance OII - XI-3 _Cont Incident Closure Criteria	10/01/2021	Certified		Report No. 01-2018

**TABLE 1  
MATRIX OF SUSTAINABILITY PLANS  
(CONTINUED)**

Line No.	PG&E Implementation Plan	Certification Due Date	Certification Status(a)	Approver	Initial Implementation
44	Safety Culture and Governance OII - XI-4 _Cont Safety best Practice Sharing	10/01/2021	Certified		Report No. 02-2019
45	Safety Culture and Governance OII - XI-5 _LOB Guidelines for Cont Safety	10/01/2021	Certified		Report No. 02-2019
46	Safety Culture and Governance OII - XI-6 _PwrGen Contractor On-boarding	10/01/2021	Certified	Jan Nimick	Report No. 01-2018
47	Safety Culture and Governance OII - V-6 Reduce Overall Mileage	10/01/2021	Certified		Report No. 02-2019

(a) MetricStream compliance certification status.

Note: Additional recommendations from NorthStar’s Report – First Update (March 29, 2019) are certified in MetricStream under the plans in scope for the assessment (F-1, F-2, F-3, F-4, III-1, and IX-1). The table excludes “IX-4 Speak-up Effectiveness” and “VIII-8 OQ Feasibility Study”, which do not require ongoing actions.

**B. Additional NorthStar Recommendations**

At the request of Safety Enforcement Division (SED), NorthStar performed a secondary assessment of six PG&E Safety OII plans, established in response to recommendations from NorthStar’s original report,<sup>1</sup> and included a set of additional recommendations in the NorthStar Report - First Update.<sup>2</sup> PG&E agreed with the additional recommendations and embraced the opportunity to further improve its safety culture and governance. The status of PG&E’s implementation of these additional recommendations is provided in Table 2 below.

PG&E is currently awaiting the Northstar Final Report. PG&E responded to NorthStar’s data and interview requests during Q3.

The work in support of the NorthStar Final Report included significant exchange on the Leader in the Field recommendations and status. That status will be further addressed in the Q4 2020 update report.

<sup>1</sup> NorthStar Report, issued on May 8, 2017.

<sup>2</sup> NorthStar Report – First Update, issued on March 29, 2019.

**TABLE 2  
MATRIX OF ADDITIONAL NORTHSTAR RECOMMENDATIONS AND  
PG&E'S IMPLEMENTATION STATUS**

Line No.	PG&E Implementation Plan	NorthStar Recommendation	Status
1	F-1_OII Implementation Plan	Institute version control over, and include dates for the implementation plans, completion narratives, sustainability plans and for the IA sign-off process.	Implemented Under Existing Plan
2	F-1_OII Implementation Plan	Increase the rigor and formality over target completion date changes, status changes and scope changes associated with the implementation of NorthStar's recommendations. Review the implementation status of all recommendations to ensure all elements of the recommendations have been addressed or PG&E's modifications have been documented and justified.	Implemented Under Existing Plan
3	F-1_OII Implementation Plan	Develop processes to ensure the sustainability of the implementation of NorthStar's recommendations.	Implemented Under Existing Plan
4	F-1_OII Implementation Plan	In addition to the status of the implementation of NorthStar's recommendations, continue to report to the Commission on any significant changes that might affect the sustainability of the recommendations.	Implemented Under Existing Plan
5	F-1_OII Implementation Plan	Report to the Commission on a quarterly basis the status of the One PG&E Operational Health & Safety (OH&S) Plan and associated metrics (in process).	Implemented Under Existing Plan
6	F-4 Comprehensive Safety Strategy _includes III-2 III-3 V-3	Increase CSO oversight and governance over public and other aspects of safety to mitigate potential silos and ensure risks are adequately addressed.	Implemented Under Existing Plan
7	F-4 Comprehensive Safety Strategy _includes III-2 III-3 V-3	Communicate results of Internal Audit (IA) safety-related audits and LOB management response to Safety, Health and Enterprise CAP (reporting to the CSO).	IA Review Complete
8	F-4 Comprehensive Safety Strategy _includes III-2 III-3 V-3	Include the Generation Safety Lead in routine meetings between Electric Operations and Gas Operations and Safety & Health regarding the implementation of OH&S plan.	Implemented Under Existing Plan

**TABLE 2  
MATRIX OF ADDITIONAL NORTHSTAR RECOMMENDATIONS AND  
PG&E'S IMPLEMENTATION STATUS  
(CONTINUED)**

Line No.	PG&E Implementation Plan	NorthStar Recommendation	Status
9	F-4 Comprehensive Safety Strategy includes III-2_III-3_V-3	Conduct an annual (or biennial) blue sky strategic safety planning exercise to concentrate on the changing environment, potential risks and threats. The exercise should force a comprehensive analysis of all safety-related opportunities and threats and a formal, proactive action plan. The planning exercise should: <ul style="list-style-type: none"> <li>• Consider the environmental, financial, political, technological, infrastructure, public, workforce and other risks and safety advancements.</li> <li>• Include executives, management and potentially the BODs.</li> <li>• Be facilitated by an outside expert.</li> <li>• Cover ALL potential contributors to safety.</li> </ul>	Implemented Under Existing Plan
10	F-2_Supv in the Field_includes V-4	Increase the number of Supervisors in Electric Operations, Gas Operations and Power Generation field operations to comply with Corporate Procedure HR-2010-P01 thereby limiting the span of direct reports to a maximum of 1:20.	Implemented Under Existing Plan
11	F-2_Supv in the Field_includes V-4	Commit to a target level of dedicated time in supervisors calendars each week for time in the field; guidance will remain flexible for each LOB to take into consideration the different job functions and geographic work considerations.	Implemented Under Existing Plan
12	F-2_Supv in the Field_includes V-4	Transfer administrative tasks such as scheduling of work, training and paperwork review, from the Supervisor to the office-based staff.	Implemented Under Existing Plan
13	F-2_Supv in the Field_includes V-4	Formalize Gas, Electric, and Power Generation management expectations for supervisors spending time in the field and communicate techniques for how to reduce impediments in each LOB thereby increasing time in the field.	Implemented Under Existing Plan
14	F-2_Supv in the Field_includes V-4	Move completed work review to the jobsite, allowing for immediate feedback before electronic records and paperwork are finalized.	Plan in Progress
15	F-2_Supv in the Field_includes V-4	Reduce travel requirements for field personnel and supervisors who are frequently assigned to work or attend meetings outside their normal work locations.	Implemented Under Existing Plan
16	F-3_SLD_includes VIII-1	Continue to provide Crew Lead Safety Leadership training courses for employees that move into Crew Lead positions. Automatically include Crew Lead Safety Leadership training in the training profiles for new crew leads.	Implemented Under Existing Plan

**TABLE 2  
MATRIX OF ADDITIONAL NORTHSTAR RECOMMENDATIONS AND  
PG&E'S IMPLEMENTATION STATUS  
(CONTINUED)**

Line No.	PG&E Implementation Plan	NorthStar Recommendation	Status
17	F-3_SLD_includes VIII-1	On an annual basis, revise Safety Leadership Development (SLD) training to address any areas of concern identified in the review of SafetyNet observation data.	IA Review Complete
18	III-1_Board Qualifications	Report any changes in the Board of Director (BOD) skills matrix, and any changes to the composition of the BOD to the CPUC.	Implemented Under Existing Plan
19	III-1_Board Qualifications	Continue to update the BOD on safety and other significant industry issues.	Implemented Under Existing Plan
20	III-1_Board Qualifications	Encourage BOD members to inquire and challenge PG&E executives to ensure a robust governance process. Revise PG&E Corp.'s Governance Guidelines to include expectations for Directors. As an example, see the Sempra Energy Corporate Governance Guidelines. Among other items, the Sempra Energy Guidelines include the following: <ul style="list-style-type: none"> <li>• Maintain an attitude of constructive skepticism, ask relevant, incisive, probing questions and engage in direct and forthright discussions with the Board and management.</li> <li>• Develop and maintain a broad understanding of the corporation's business and risk profile, its strategic, financial and operating opportunities and plans, and its internal control systems and disclosure controls and procedures, including environmental, and health and safety systems and procedures</li> <li>• Balance prompt action with thorough deliberations, prioritize matter requiring attention, gather sufficient information, engage in open discussion, invite differing views, evaluate the benefits and risks of various courses of action and support the acceptance of prudent business risks to permit informed and timely decision making.</li> </ul>	IA Review Complete
21	IX-1_Safety Communication	Implement the recommendations identified in the outside vendor's communications audit.	IA Review Complete
22	IX-1_Safety Communication	Revise the communications plan as necessary to address any safety and health issues that are identified in recent and on-going Premier surveys and associated analyses	Implemented Under Existing Plan

**C. Changes to PG&E Execution of Plans**

As recommended by NorthStar, PG&E will continue to report to the Commission on any significant changes that might affect the sustainability of the recommendations.

- PG&E certifies on-going compliance with recommendation F-4, Comprehensive Safety Strategy noting that our safety strategy is in place

and the Safety Technical Council bi-weekly meetings continues to provide the forum for interaction with all lines of business. 2022 Safety Planning is underway and includes the lines of business.

- PG&E certifies on-going compliance with recommendation VII-7, Expanded Best Practice Sharing, noting that the Safety Technical Council meetings continue to provide the forum to share ideas and raise/resolve issues. The safety lead organization provides the input to this critical process.
- PG&E certifies on-going compliance with recommendation VIII-3, SLD 360, noting that PG&E conducted a safety survey in 11/2020 which informs the safety plan and strategy. Safety Leadership is part of the strategy and the course is being revised/updates to provide support to and train coworkers.
- PG&E certifies on-going compliance with recommendations VI-4, PPM for Power Generation, noting that although the tools may change and RIBA is being retired, we are still pursuing prioritization by Risk and working to create an even more robust planning process.
- PG&E certifies on-going compliance with recommendation F-2, Leader in the Field, noting that recommendation U14 – “Move completed work review to the jobsite, allowing for immediate feedback before electronic records and paperwork are finalized.” PG&E does not plan at this time to invest in the IT technology that would be necessary to fully move work review to the job site.
- PG&E certifies on-going compliance with recommendation F-5, Best Practice Coordination, noting that Internal Audit reviewed processes and compliance during Quarter 3, 2021, but results have not yet been received. As of 7/1/2021, all Gas Field Safety Specialists and their immediate leadership were moved into the EH&S organization. All LOB Enterprise Health and Safety Specialists will continue to provide day to day safety support for supervisors, forepersons and their crews. Effective Q4 2021, a formal review of training needs will be implemented and used to determine what training to profile for Field Safety Specialists in 2022.
- PG&E certifies on-going compliance with recommendation VI-4, Session D link to Session 1 and Session 2, noting that guidance documents continue to be updated to align with RAMP and SMAP recommendations and directives. Continued certification is dependent on continued progress in integrating risk into the LEAN Management System operating rhythm processes.

## V. Board of Directors Reporting

In D.19-06-008, the Commission directed PG&E to provide the following information in the quarterly reports submitted to SED pursuant to D.18-11-050:

- 1) Non-confidential versions of the minutes of all BOD and safety committee meetings.
- 2) All training, education, or other support on safety that PG&E and PG&E Corporation are providing to Board members so that they can adequately perform their duties on safety issues.<sup>3</sup>

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<sup>3</sup> D.19-06-008, *mimeo*, p. 4

## A. BOD and SNO Committee Meeting Minutes

In the third quarter of 2021, the Boards had no formal meetings. The SNO Committees held a meeting on July 27 and a joint meeting with the Audit Committees on the same day.

Attachment 3 to this Report includes non-confidential versions of approved minutes for the following BOD and SNO Committee meetings that were held on or after June 13, 2019,<sup>4</sup> and for which approved minutes have not been provided in connection with a prior quarterly report.

- Meetings of the SNO Committees of the BODs of PG&E and PG&E Corporation that were held concurrently on the following dates:

February 10, 2021 – concurrent with People and Compensation Committee
February 10, 2021

Meeting minutes for the BODs and the SNO Committees must be formally reviewed and approved by the relevant governance body prior to finalization. The timing for this process varies, and in many cases the minutes will be finalized in a different quarter than the quarter in which the meeting was held.

## B. BOD Safety-Related Training

PG&E is submitting information regarding “all training, education or other support on safety that PG&E and PG&E Corp.” provided “to board members to ensure that they can adequately perform their duties on safety issues.”

- During the third quarter of 2021, members of the Boards attended two field visits: one visit to the Applied Technology Services lab in San Ramon and a Locate and Mark site visit to the Concord yard.
- In July 2021, the SNO Committees received a safety performance update, including discussion of Serious Injuries or Fatalities (SIF) actual and potential events as well as Days Away, Restricted, or Transferred (DART) rates. Additionally, the Committees discussed the Enhanced Vegetation Management program. Lastly, the Committees reviewed the second quarter Internal Audit report and enterprise risks related to loss of containment and consumer data privacy.
- In July 2021, the SNO Committees and the Audit Committees received an update on the enterprise and operational risk management program and reviewed Board-level oversight activities. Additionally, the joined Committees reviewed the Internal Audit report for the second quarter of

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<sup>4</sup> Effective date of D.19-06-008.

2022. The SNO Committees' primary focus is reports related to operational audits.

## **VI. Safety Strategy and Performance Update**

### **A. Safety Strategy Update**

PG&E continues to execute against and make improvements in its 2025 Workforce Safety Strategy. The safety updates included in this report align with the major components of the 2025 Workforce Safety Strategy. The strategy has been reviewed by senior leadership and the Board of Directors and has driven our execution since mid-2020.

**TABLE 3  
STRATEGY UPDATE**

Strategy Component	Workstream	Q3 2021 Progress
Critical Risk	Hazard identification and risk assessment workshops	<ul style="list-style-type: none"> <li>Piloted access road risk assessment process within Generation. Assigned a new process owner for all LOBs within Engineering.</li> <li>Reviewed a Process Hazards Analysis (PHA) of drone operations and agree with Aviation that the PHA will be revalidated.</li> </ul>
	Technical standards	<ul style="list-style-type: none"> <li>Continued work to develop six new Enterprise Safety Standards that include: Ergonomics, Excavation, Job Hazard Analysis, Lone Worker, Motor Vehicle Safety and Permit to Work.</li> <li>Finalized process for conducting LOB gap analysis for new Enterprise Health and Safety requirements. Initiated the new gap analysis process for the new Health and Safety Management System and Contractor Safety Management Standard.</li> <li>Developed gap analysis templates for five standards including Confined Space, Hazardous Energy Control, Electrical Safety, Fall Protection and Lifting Operations.</li> </ul>
Transportation Safety	Motor Vehicle Safety	<ul style="list-style-type: none"> <li>Driver Scorecard launched on 9/1/2021. This scorecard provides leaders with driver history to coach drivers that may have opportunities to improve driving safety.</li> <li>Smith Driver Training relaunch was expanded employees who are in the highest risk job classifications.</li> <li>360 Walk Around App was formally launched into production in June and available for voluntary LOB adoption. ~6,000 walkarounds have been documented since 6/1/2021.</li> </ul>
	Safety Technology	<ul style="list-style-type: none"> <li>Backup sensor pilot: 79 units installed. Pilot results showed no improvement in reducing backing PMVI's and project was cancelled.</li> <li>Completed Vehicle Safety Technology installation. (~9,000 vehicles)</li> <li>In-cab, camera based coaching system pilot, was launched on in August with ~500 users. Pilot will test the effectiveness to reduce risk associated with fatigue driving and distracted driving.</li> <li>Cell phone blocking system pilot launch for~ 500 users. Currently at 80% utilization rate</li> </ul>
	Contractor Transportation Risk	<ul style="list-style-type: none"> <li>A vendor is under contract to support the initial review of compliance to motor vehicle carrier regulations. 35% of the 2,000 vendor reviews were completed. 72% were satisfactory, 25% require further review, 3% were unsatisfactory and action was taken.</li> </ul>

Strategy Component	Workstream	Q3 2021 Progress
Contractor Safety Management	Contractor management	<ul style="list-style-type: none"> <li>• Revised the Enterprise Contractor Safety Management Standard to address gaps.</li> <li>• Implemented process to ensure expelled contractors do not return to PG&amp;E through an alternate contractor.</li> <li>• Created in-field assessments of high-risk contractor's completion of PG&amp;E and required OSHA training compliance and revised safety plan requirements.</li> <li>• Developed a process to evaluate the organizational structure, span of control, EHS processes, etc., for those contractors that are new in business, or have experienced rapid growth in headcount.</li> <li>• Drafted a detailed Safety and Health Contractor Addendum consistent with leading industry practices.</li> <li>• Developed Governance which requires ISNetwork as PG&amp;E's safety plan repository and ensures that only approved and qualified PG&amp;E workers accept or reject the safety plan, prior to beginning work.</li> </ul>
	On-boarding	<ul style="list-style-type: none"> <li>• Enhanced prequalification criteria to support improvement in quality of contractors used by PG&amp;E.</li> <li>• Developed an Enterprise Variance Request Procedure, which requires utility CEO approval of contractors that do not have an A or B grade within ISNetwork.</li> <li>• Developed an Enterprise Emergent Work Procedure, that requires SVP approval.</li> <li>• Drafted a contractor orientation strategy to ensure contract individuals acknowledge PG&amp;E requirements, prior to starting work.</li> <li>• Drafted a course for PG&amp;E workers that manage contracts and oversee the work of contractors to ensure that those workers that lead contractors understand contract management requirements.</li> </ul>

Strategy Component	Workstream	Q3 2021 Progress
Serious Injury and Fatality Management	Analyze SIF investigations and share key learnings	<ul style="list-style-type: none"> <li>• YTD, opened a total of 45 SIF investigations, including 27 contractor SIF potential and 14 employee SIF potential cases. The 4 SIF actual cases each occurred with contractors and include three incidents involving contractor fatalities.</li> <li>• YTD, the counts of incidents include 26 in Electric Operations, 13 in Wildfire Risk, 2 in Gas Operations, 2 in Shared Services and 2 in IT/Supply Chain.</li> <li>• YTD, across the lines of business, 11 incidents involve motor vehicle incidents</li> </ul>
	Improve timeliness and clarity of SIF-related communications	<ul style="list-style-type: none"> <li>• YTD, 39 of the 45 investigations opened in 2021 have been closed.</li> <li>• Six are currently open, with 97.4% completed within 30 calendar days.</li> <li>• Following each SIF incident, the team convenes discussions with executive leadership, publishes initial communications for the involved line of business and full enterprise, meets weekly with each investigation sponsor, then convenes a discussion on findings and corrective actions with leadership, and issues final communications to the involved line of business and enterprise.</li> </ul>
Enterprise Corrective Action Program	Near Hit Program	<ul style="list-style-type: none"> <li>• Near Hit Dashboard being utilized for enterprise and LOB specific trends (by workgroups, locations, and categories)</li> <li>• In Q3, three Near Hit feature stories in the Daily Digest highlighting employee-shared Near Hits, lessons learned, and resources</li> <li>• Near Hit chapter in new 'Working Safely from Home' handbook featured twice in Daily Digest</li> <li>• Anonymous rate 2021 YTD is 0.72%</li> <li>• 90.2% of submitted Near Hits have included valid lessons learned</li> </ul>
Assurance	Auditing	<ul style="list-style-type: none"> <li>• The Corporate Safety Audit Implementation Standard was published. Audit protocols, training program and tools were established</li> </ul>
	Independent Safety Oversight Committee (ISOC)	<ul style="list-style-type: none"> <li>• Conducted the Gas ISOC Assessment in September. Draft report reviewed by LOB leadership and final report was received.</li> <li>• PGEN ISOC sessions conducted October 3 &amp; 4. Exit conference with LOB leadership and final report expected in Q4.</li> </ul>

Strategy Component	Workstream	Q3 2021 Progress
Occupational Health	Health and Wellness	<ul style="list-style-type: none"> <li>• Launched Mental Health Awareness and Suicide Prevention for Leaders training</li> <li>• Presented PG&amp;E's psychological safety initiative at Western Energy Institute Safety Summit.</li> <li>• Health &amp; Wellness portal: 5,943 (23.3%) employees enrolled as of 9/30/2021.</li> <li>• Webinars: Relationships, Alcohol Awareness, Stress Management, Practicing Gratitude for Well-Being, Workplace Mindfulness and Mindfulness for COVID Stress.</li> <li>• Completed Scale the Summits team step challenge with 217 participants and 25,750 total miles tracked.</li> <li>• Monthly healthy habit challenges: Time for Friends, Stress Less in 10 Minutes, Device-Free Zone</li> <li>• 2021 Health Screening participation of 75% for campaign year. Annual goal of 80% not met because of limited number of onsite workplace screening events due to COVID-19 policies.</li> <li>• Live Health Online telehealth for YTD 8/31/2021 = 490 registrations and 726 medical visits</li> <li>• Condition management: total enrollment 853 employees and dependents with high health risks</li> </ul>
	Ergonomics	<ul style="list-style-type: none"> <li>• <u>Office Ergonomics</u>: Conducted 1,856 new ergonomic evaluations and 2,367 follow-ups in Q3; 18,000+ virtual evaluations since Mar 2020.</li> <li>• Launched and completed first phase of the predictive model initiative, targeting 933 coworkers identified as high-risk for early-intervention coaching, requiring their supervisors to take ergonomic training and engage their high-risk employees</li> <li>• <u>Industrial Ergonomics (IE)</u>: Two high-risk tasks identified and analyzed in Q3. 9 projects completed pilots and 6 projects were implemented</li> <li>• Completed and deployed materials and training on Lifting Safely and the top 5 most common ergonomics issues. 1,102 Supervisors completed tailboards, reaching 11,010 coworkers.</li> <li>• <u>Industrial Athlete</u>: 160 Focus in the Field biomechanical observations completed in Q3.</li> <li>• <u>Vehicle Ergonomics</u>: 43 Vehicle Ergonomic Assessments were performed in Q3.</li> </ul>

Strategy Component	Workstream	Q3 2021 Progress
Occupational Health	Injury Management	<ul style="list-style-type: none"> <li>Return-to-Work Task program: saved 507 lost workdays and placed 14 employees into temporary task assignments in Q3</li> <li>Telephonic Nurse Case Management (TCM) program: provided early nurse intervention on 245 new Workers' Compensation claims; resulting in 220 lost workdays saved in Q3.</li> <li>San Francisco clinic moved to PG&amp;E's Concord Gateway onsite location (temporary). Project planning began for 2022 Oakland clinic</li> <li>Onsite clinic medical vendor change in Fresno and San Carlos, which will include non-occupational treatment and services.</li> </ul>
Culture	Safety Culture assessment	<ul style="list-style-type: none"> <li>Safety Barometer action plans in progress; tracking progress.</li> <li>Completed a video for New Employee Orientation, which includes PG&amp;E's commitment to safety, our safety stand, and coworker responsibilities.</li> </ul>
	Safety in Talent Management	<ul style="list-style-type: none"> <li>Updated example goals in performance management system and interview guides completed in Q2.</li> </ul>
	Safety Leadership Development (SLD)	<ul style="list-style-type: none"> <li>Selected partner (vendor) for the development of the SLD course. Course development is in progress with EHS and the lines of business.</li> </ul>
	Safety Connections	<ul style="list-style-type: none"> <li>Implemented, tracking progress.</li> <li>Based on feedback, improving ease of use to document completions.</li> </ul>
	Communications	<ul style="list-style-type: none"> <li>Held Enterprise Safety Communications Network meeting (quarterly cadence).</li> <li>Executed heat illness campaign and finalized the Health &amp; Wellness corner.</li> </ul>

Strategy Component	Workstream	Q3 2021 Progress
Field Safety Operations	Field observations	<ul style="list-style-type: none"> <li>18,027 safety observations were completed by EH&amp;S safety personnel and 40,989 total observations were completed system-wide in Q3</li> </ul>
	Tailboard redesign	<ul style="list-style-type: none"> <li>Start with Six program remains in effect. SME's have been identified, and tailboards have been assigned for completion. .</li> </ul>
	Supervisor training	<ul style="list-style-type: none"> <li>A total of 720+ LOB Supervisors have completed the supervisor safety leadership training provided by EH&amp;S. In addition, 59 supervisors have completed the CORE-1339 Introduction to Leadership training that was developed by the labor relations group.</li> </ul>
Health & Safety Management System	Implementation	<ul style="list-style-type: none"> <li>LOB self-assessments and gap action planning initiated in Q3.</li> <li>HSMS Overview document that provides introduction, summary and leadership messages published</li> </ul>
	Management of Change (MOC) software	<ul style="list-style-type: none"> <li>Technology vendor onboarded and work began with LOB, IT and EH&amp;S representatives.</li> </ul>

## B. Safety Metrics

PG&E established Days Away, Restricted or Transferred (DART)<sup>5</sup> targets for 2021 based on the goal of reaching 1<sup>st</sup> quartile by 2025. The 2021 goal would place PG&E in 3<sup>rd</sup> quartile.

Table 13 below summarizes key metrics performance and established targets for 2018 - 2021. Figure 1 below provides current performance with respect to employee safety metrics as of September 30, 2021.

<sup>5</sup> DART: Injury that results in days away, restricted or transferred duty, rate based on 200,000 hours worked.

**Additional Analysis:**

**TABLE 4  
2018-2021 PERFORMANCE AND ESTABLISHED TARGETS**

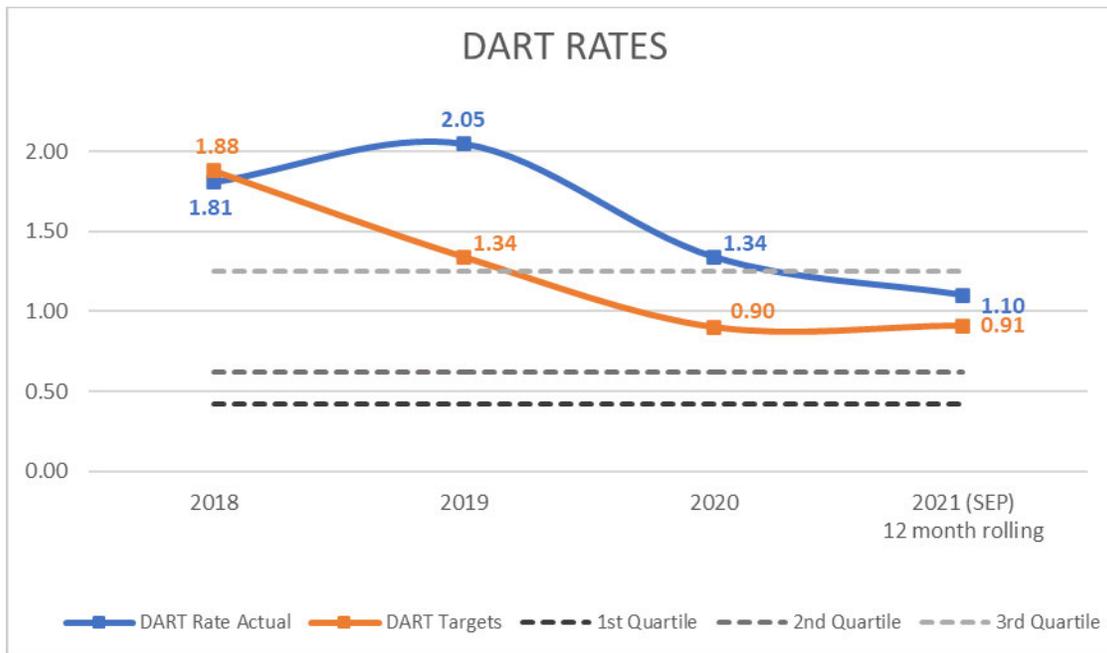
Metric	2018		2019		2020*		2021*		
	Actual	Target	Actual	Target	Actual	Target	YTD Actual	YTD Target	EOY Target
Employee SIF Actual Count	1		0		4		0		
Employee SIF Potential Count	21		33		25		15		
DART Rate	1.81	1.88	2.05	1.34	1.34	0.90	1.10	1.02	0.91

\*Number includes count of all injured parties

2020 forward, rates and targets are based on 12 month rolling rates

Data through 9/30/2021

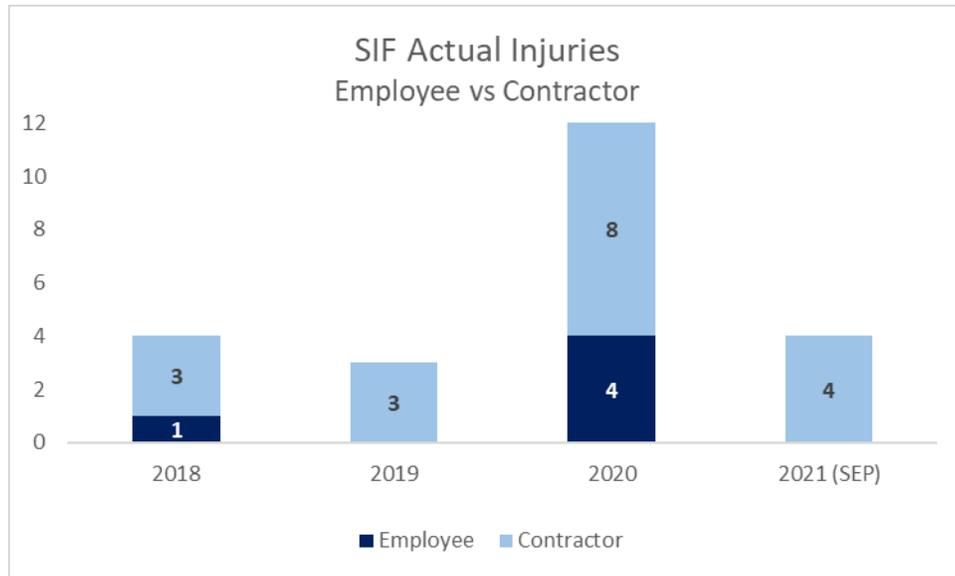
**FIGURE 1  
CURRENT PERFORMANCE AS OF SEPTEMBER 30, 2021**



*SIF Graphs*

There were no SIF-a incidents in Q3.

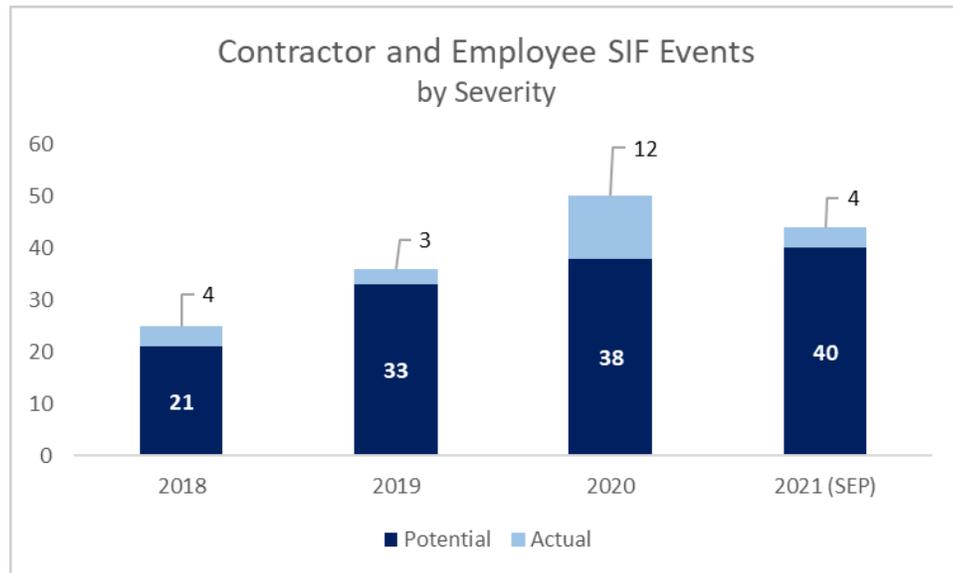
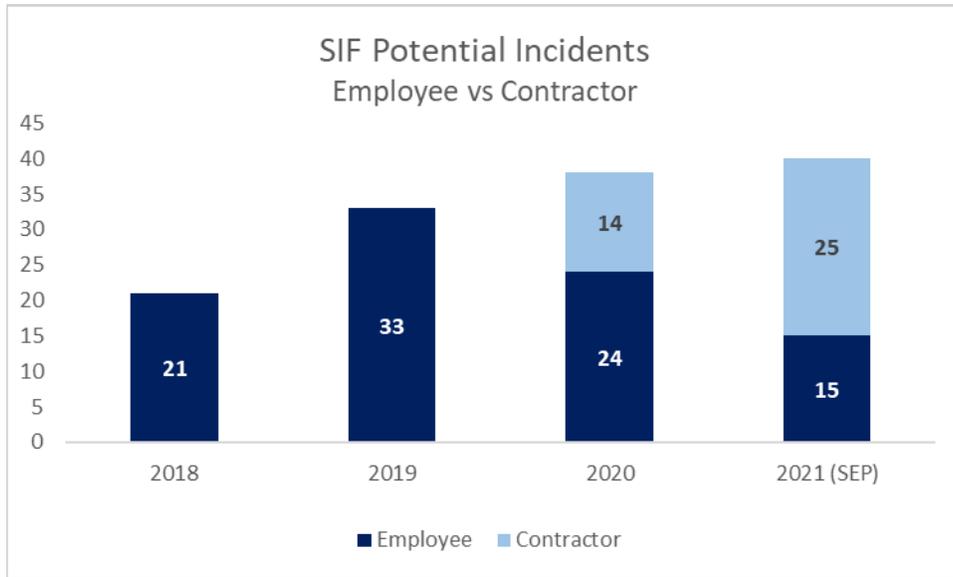
**FIGURE 2**  
**SIF ACTUAL**  
**EMPLOYEE VS CONTRACTOR (2018-2021)**



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Note: Graph below is based on number of injuries

**FIGURE 3 AND 4  
SIF POTENTIAL  
EMPLOYEE VS CONTRACTOR AND SEVERITY (2018-2021)**



Note: Graph below is based on number of incidents. Beginning June 2020, contractors were required to report SIF-p incidents.

**TABLE 5  
2018-2021 PERFORMANCE**

Metric***	2018	2019	2020*	2021*		
	Actual	Actual	Actual	YTD Actual	YTD Target	EOY Target
Contractor SIF Actual Count	3	3	8	4		
Contractor SIF Potential Count**	N/A	N/A	14	25		

\*Number includes count of all injured parties

\*\*Contractor SIF Potentials were only tracked starting June 2020

\*\*\*Targets are not set for Contractor metrics

Data through 9/30/2021

**Additional Analysis: Specific PMVI<sup>6</sup> Rate Targets** were set for each line of business (LOB). If the LOB was already performing in the best decile, their goal is no deterioration in performance. For all other LOBs, the goal is set to achieve a 5% performance improvement.

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**6** Data includes incidents on public roads only.

**TABLE 6  
2018–2021 PERFORMANCE AND ESTABLISHED TARGETS**

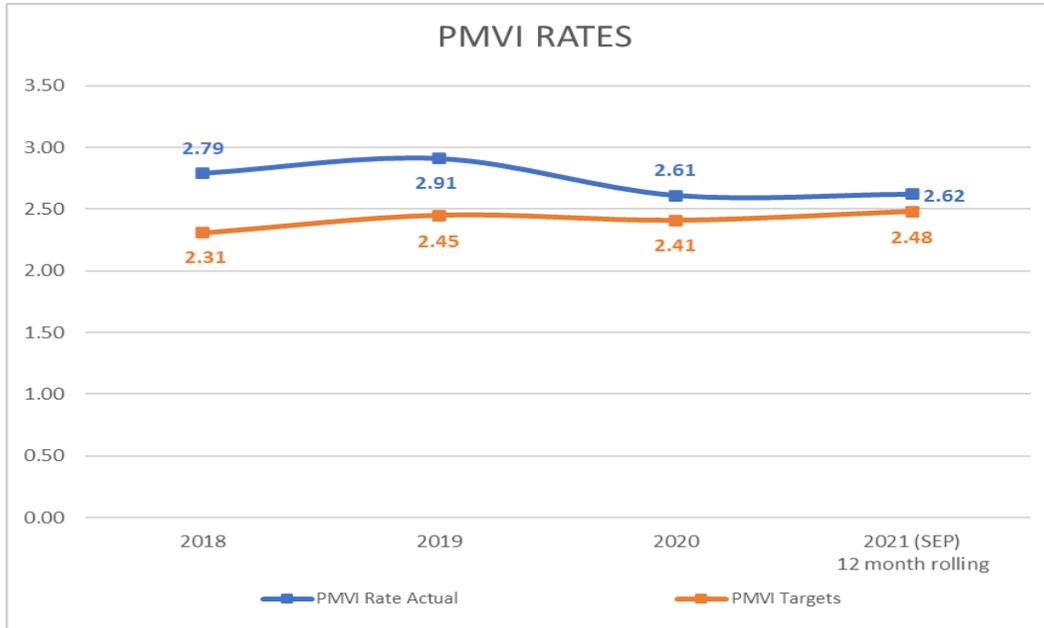
**FIGURE 5**

Metric	2018		2019		2020		2021*		
	Actual	Target	Actual	Target	Actual	Target	YTD Actual	YTD Target	EOY Target
PMVI Rate	2.79	2.31	2.91	2.45	2.61	2.41	2.62	2.51	2.48

*2020 forward, rates and targets are based on 12 month rolling rates*

*Data through 9/30/2021*

**CURRENT PERFORMANCE AS OF SEPTEMBER 30, 2021**



**C. Conclusion**

PG&E is committed to improving its safety culture and performance and regaining the public’s trust. The areas of opportunity identified by NorthStar in its Final Report and in its First Update are at the core of a strong and proactive safety culture. PG&E looks forward to continuing this important work and providing the Commission with quarterly updates on its progress.