Consumer Protection and Enforcement Division

MONTHLY ACTIVITY REPORT

December 2021



California Public Utilities Commission

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OVERVIEW

The Consumer Protection and Enforcement Division (CPED) implements California Public Utilities Commission (Commission) regulations, policies, and licensing for transportation carriers; investigates and enforces against passenger carrier misconduct; and investigates allegations of utility waste, fraud, and abuse. CPED is comprised of two separate programs: Passenger Transportation and Utilities Enforcement.

This report contains information reflecting the month's performance within each CPED program. Information about each program is collected in six different sections: (1) Key Activities, (2) Citations/Fines/Refunds/Telephone Disconnects, (3) Compliance with Ordering Paragraphs, (4) Docket Activity, (5) Outreach/Training/Other Events, and (6) Legislation of Interest.

PASSENGER TRANSPORTATION

The Commission's Transportation Program oversees for-hire passenger carriers (limousines, airport shuttles, chartered and scheduled bus operators, transportation network companies and ferries). The Program consists of two branches: The Transportation Enforcement Branch (TEB) which has three Units, the Airport Enforcement Unit (AEU), Compliance Enforcement Unit (CEU), and Field Enforcement Unit (FEU); and the Transportation Licensing and Analysis Branch (TLAB).

TEB investigates alleged violations, conducts joint inspections, issues warning notices and citations, prosecutes enforcement cases before the Commission and supports civil and criminal cases brought by local prosecutors, such as a district or city attorney. TEB also supports a consumer complaint 800 phone line and conducts outreach activities to educate consumers, carriers, and state and local law enforcement and prosecutors on consumer protection statutes, regulations and policies that affect passenger transportation.

TLAB's Licensing Section analyzes applications from carriers, writes proposed decisions to approve or deny a carrier's CPCN application, issues permits and certificates, and tracks carrier compliance with permit requirements while TLAB's Analysis Section functions as the Commission's subject matter expert on policy matters, and advises decision makers regarding for-hire carriers.

Citations/Fines/Refunds/Telephone Disconnects

Investigations

In December 2021, TEB closed 20 investigation cases and initiated 6 new cases.

12-Month Enforcement Activity	Jan 2021	Feb 2021	March 2021	April 2021	May 2021	June 2021	July 2021	August 2021	Sept 2021	Oct 2021	Nov 2021	Dec 2021	Totals
Open Investigations	81	61	61	73	70	67	67	71	64	74	62	60	N/A
New Investigations Initiated	0	6	14	9	9	18	8	5	15	26	18	6	134
Investigations Completed	20	6	2	12	12	18	4	12	5	38	20	20	169
Cease and Desist Notices	7	11	2	11	6	9	9	2	8	10	14	4	93
Warning Letters	1	0	0	0	0	1	0	1	6	3	7	4	23
Telephone Disconnects	0	0	0	1	0	0	0	1	0	0	1	0	3
Citations	5	2	8	2	4	6	2	4	6	3	4	3	49
Citations Appealed	2	0	0	1	0	0	0	0	1	1	0	0	5

Table 1.	TEB Enforcement Activity	
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Consumer complaints decreased by one complaint in December compared to the prior month. This month, the Consumer Intake Unit (CIU) received eight complaints.

Table 2. TEB CIU Complaints Received

December 2021 CIU Complaint Activity	
Open complaints as of December 1, 2021	2
New complaints received during month	8
Subtotal	10
Less: Complaints closed by CIU directly	3
Complaints Referred to Enforcement during month	4
Open CIU complaints as of December 31, 2021	3

	Jan 2021	Feb 2021	March 2021	April 2021	May 2021	June 2021	July 2021	August 2021	Sept 2021	Oct 2021	Nov 2021	Dec 2021
Open Investigations as of first day of Month	18	17	21	25	20	17	26	32	30	35	42	38
New Investigations Initiated	0	4	5	0	1	15	7	2	9	12	6	1
Closed Investigations During Month	1	0	1	5	4	6	1	4	4	5	10	8
Open Investigations as of last day of month	17	21	25	20	17	26	32	30	35	42	38	31
Investigations open longer than 6 months	9	12	15	10	8	3	3	5	7	6	4	9
% Of total investigations open longer than 6 months	53%	57%	60%	50%	47%	12%	9%	17%	20%	14%	11%	29%

Table 3. CIU Complaints Referred to TEB

TEB Fines/Refunds	Jan 2021	Feb 2021	March 2021	April 2021	May 2021	June 2021	July 2021	August 2021	Sept 2021	October 2021	Nov 2021	Dec 2021	Totals
Fines Assessed	\$31,000	\$10,000	\$36,000	\$11,000	\$10,000	\$10,000	\$20,000	\$13,000	\$32,000	\$4,000	\$14,500	\$21,000	\$212,500
Fines Paid	\$5,650	\$2,700	\$11,800	\$13,375	\$11,360	\$9,590	\$17,755	\$14,375	\$15,940	\$15,140	\$5,390	\$20,188.34	\$143,263.34
Refunds & CIU Settlements	\$0	\$115	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$100	\$215
PUCTRA Underpayment Fees Paid	\$0	\$0	\$0	\$0	\$0	\$0	\$5,943	\$116,943	\$68,282	\$0	\$4,429	\$4,697.22	\$200,294.40

Table 4. TEB Fines Assessed, Fines Paid, Consumer Refunds andPUCTRA Underpayment Fees

Citations

All citations below were issued in December, and some may be under appeal or awaiting a hearingbefore an Administrative Law Judge.

- T.21-12-002. Flixbus Inc., Walnut (TCP 38022). Case PSG-5522. Fine: \$3,000. Violations: carrier 1) Engaged an unlicensed sub-carrier and 2) Failed to include in the sub-carrier's agreement TCP, and 3) underpaid PUCTRA fees.
- T.21-12-003. Taco Tour LLC (TCP 38185). Case PSG-5576. Fine: \$12,000. Violations: carrier 1) operated without operating authority, 2) operated without evidence of public liability and property damage (PL&PD) insurance, and 3) failed to obtain the required minimum level of PL&PD insurance. Carrier also advertised without having authority.
- T.21-12-004. 2nd Chance Shuttles LLC., Sacramento (TCP 38109). Case PSG-5665. Fine: \$2,000. Violation: carrier 1) operated after revocation of its operating authority.

Statewide Airport Enforcement Unit Surveillance Activities

TEB conducted field activities and surveillance at major airports throughout California. Targeted airports included Los Angeles, San Diego, Orange County, Long Beach, Hollywood-Burbank, Ontario, Palm Springs, San Francisco, Oakland, and San Jose. The main purpose was to monitor passenger carrier transportation activities.

In December 2021, AEU conducted surveillance at ten airports. The number of Transportation Charter-Party (TCP) / Transportation Network Company (TNC) / Passenger Stage Corporation (PSC) violations increased by 23 in December compared to the prior month. This month, AEU found 44 TCP/TNC/PSC violations.

AEU Surveillance Activity	June 2021	July 2021	Aug 2021	Sept 2021	Oct 2021	Nov 2021	Dec 2021	TOTALS
# of TCP observed	229	213	254	136	192	42	148	1,214
# of TCP violations found	8	2	4	4	10	0	4	32
% of TCP violations found	3.49%	0.9%	1.6%	2.9%	5.2%	0%	2.7%	2.64%
# of TNC observed	707	781	930	693	862	253	487	4,713
# of TNC violations found	147	85	102	114	107	21	40	616
% of TNC violations found	20.79%	10.88%	11.0%	16.45%	12.41%	8.30%	8.2%	13.07%
# of PSC observed	1	1	2	0	0	0	0	4
# of PSC violations	0	0	0	0	0	0	0	0
% of PSC violations found	0%	0%	0%	0%	0%	0%	0%	0%

Table 5. AEU Surveillance Findings

Los Angeles Airport Citation Program

Table 6. LAX Citations and Fines Collected

Month	Citations issued by LAX	Citations issued by the Commission	Vehicles impounded	C&D letters issued by the Commission (at LAX only)	Total fines collected
January 2021	0	0	0	0	\$0
February 2021	1	0	0	5	\$0
March 2021	2	1	1	2	\$1,000
April 2021	1	1	1	1	\$1,000
May 2021	4	2	4	4	\$2,000
June 2021	2	1	2	2	\$1,000
July 2021	2	2	2	6	\$2,000
August 2021	0	0	0	8	\$0
September 2021	4	2	4	4	\$2,000
October 2021	1	2	0	3	\$2,000
November 2021	1	0	0	1	\$0
December 2021	2	0	1	2	\$0
Totals	20	11	15	38	\$11,000

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Telephone Disconnects

• None.

Compliance with Ordering Paragraphs

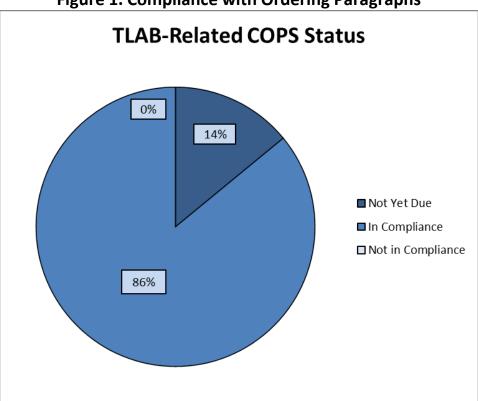


Figure 1. Compliance with Ordering Paragraphs

The Transportation Program is currently responsible for 656 separate Ordering Paragraphs. Many Ordering Paragraphs result from decisions to approve CPCNs for passenger stage corporations, and include permit requirements such as obtaining appropriate insurances, enrolling in drug testing and California Department of Motor Vehicles (DMV) pull-notice programs, receiving bus terminal inspections by CHP and others. Other OPs uphold TEB enforcement actions and impose fines for carrier violations of law and wrongdoing against consumers. OPs also introduce new reporting requirements and transportation policies.

Docket Activity

Policy Proceedings

• R.12-12-011 / TNC Rulemaking / Mason & Chiv / Shiroma.

- 1) December 2, 2021: Decision D2112003 Decision Adopting The Settlement Agreement Between The Consumer Protection And Enforcement Division, Uber Technologies, Inc., And The Rape, Abuse & Incest National Network, Inc.
- 2) December 9, 2021: THIRD AMENDED PHASE III. C. SCOPING MEMO AND RULING OF ASSIGNED COMMISSIONER

• R.19-02-012 / TNC Rulemaking / Chiv / Shiroma.

- 1) December 8, 2021: Rehearing Request filed by Disability Rights and Education Fund, Center for Accessible Technology, and Disability Rights California on Track 4 Decision (D.21-11-004)
- 2) December 22-23, 2021: Responses to the Application for Rehearing filed by
 - Marin Transit
 - San Francisco Municipal Transportation Agency, San Francisco County Transportation Authority, and San Francisco Mayor's Office on Disability
 - Uber Technologies, Inc.
 - San Francisco Taxi Workers Alliance
 - Metropolitan Transportation Commission
 - Los Angeles County Metropolitan Transportation Authority

• R.21-11-004 / Clean Miles Standard / Wang / Shiroma.

- 1) December 1, 2022: Proceeding assigned to Commissioner Shiroma and ALJ Wang
- 2) December 7, 8, and 15, 2021: Motions for Party Status submitted by Service Employees International Union Local 721 and Local 1021 and Amply Power
- 3) December 16: OIR comment deadline postponed until January 7 (January 18th for replies)
- 4) December 27, 2021: OIR Comments filed by FLO Services USA, Inc.

Formal Enforcement Proceedings

• I.21-12-001/Uber Technologies, Inc., and Uber Black Sub-carriers/ALJ Stevens/Commissioner Shiroma. On December 2, 2021, the Commission opened an Order Instituting Investigation (OII) to determine whether passenger carriers violated any provisions of the Public Utilities Code or other applicable rules and regulations.

Citation Appeal Proceedings

- K.19-09-015 / Jordan & Associates Investments, dba Sun Buggie Fun Rentals (TCP 38563-Z) Appeal / ALJ Kim. On December 16, 2021, Appellant submitted the requested filings via email to ALJ and all parties.
- K.20-06-003 / David Gorgoyan dba Celebrity Rides (TCP 35518) Appeal / assigned to Administrative Law Judge (ALJ) Sasha Goldberg. Opening briefs were submitted on September 13, 2021, and Reply Briefs were submitted September 28, 2021. Awaiting next steps.
- K.21-01-019 / About Time Limousines LLC (TCP 21892). Appeal / ALJ Thomas J. Glegola. On February 25, 2021, Docket Office informed defendant that his appeal was successful and officially filed. Awaiting ALJ ruling.
- K.21-02-001 / Bogale Getu Abebe., Hayward (TCP 32714). Compliance Filing for Citation F-5729 was filed February 16, 2021. No hearing date set.
- K.21-09-015 / GoGo Charters LLC (Unlicensed) Appeal / assigned to ALJ Peter Wercinski. Compliance filing due October 13, 2021. No hearing date set.
- K.21-10-007 / PLS Transportation Group Inc dba Paseo Limousine (TCP 32070) Appeal / assigned to ALJ Patricia Miles. On October 25, 2021, the CPUC received defendant's appeal (Citation T.21-08-004 imposing a \$6,000 fine). On November 2, 2021, the appeal was filed by ALJ Docket Office and assigned to ALJ Miles.

Carrier Application Proceedings

 A.21-06-008 / Application of Tideline Marine Group, Inc. DBA Tideline Water Taxi to amend VCC-93 / 12/20/2021 Decision Issued

 A.21-10-008 / Application of GT Monterey, LLC, dba Monterey Airbus PSC-38556 to establish a Zone of Rate Freedom (ZORF) of Plus 20 percent, or Minus 15 percent, to that newly established tariff, pursuant to provisions of Pub. Util. Code § 454.2 / 12/23/2021 Executive Director's Order Issued

Outreach/Training/Other Activities

Outreach

- On December 15, 2021, Investigator Steve Esguerra contacted Sgt. Guttilla (LAPD, Hollywood Division) and agreed to joint enforcement operations and a refresher training on January 7, 2022.
- On December 16, 2021, TLAB and TEB Staff met with representatives from Ride Report, a mobility data company, regarding TNC data management and analysis.

Training for Managers, Supervisors, and Staff

- TEB Training and 4th Quarter Branch Meeting.
- PowerPoint Essential Training.
- Cyber Security Training.
- Ex Parte & Bagley Keene Training.
- Defensive Driver Training.
- N-95 Mask Training.
- Content Server-Web Publishing Brief.

Joint Agency Collaboration

- TEB investigators, San Francisco International (SFO) Airport Ground Transportation Unit (GTU), and SFO Airport Police working jointly on an ongoing basis, to address complaints of unlicensed providers of passenger transportation at SFO.
- December 2, 2021: TLAB Staff biweekly coordination call with CARB Staff regarding Clean Miles Standard implementation.
- December 7 and 18, 2021: TLAB Staff met with SFMTA regarding the AV Deployment Program.
- December 17-18, 2021. Napa Joint Enforcement Operation. TEB Field Enforcement staff participated in a two-day operation, working with the Napa County District Attorney's office and Saint Helena Police addressing complaints of unlicensed carriers providing for-hire passenger transportation.
- December 17, 2021: TLAB Staff meeting with the CA DMV regarding the AV Deployment Program.

UTILITIES ENFORCEMENT BRANCH

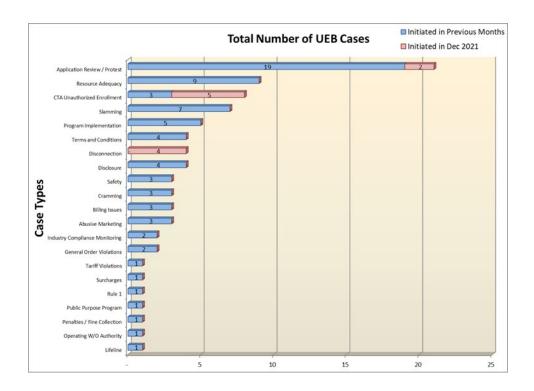
UEB protects California utility consumers from fraud and abuse by developing enforcement mechanisms and ensuring service providers comply with consumer protection laws and regulations. UEB investigates alleged violations by utilities, including communications (both wireline and wireless), energy (both electric and gas), and water companies. When sufficient evidence of violation is uncovered, UEB brings cases before the Commission to seek appropriate penalties and remedies for consumers.

Monthly Highlights

- Frontier Communications Service Outage OII (I.19-12-009): On December 1, 2021, ALJ Zhang issued an email ruling directing Frontier to provide further information concerning customer bill credits. On December 15, 2021, Frontier filed a response to the December 1, 2021 email ruling.
- **Commercial Energy RA Citation Appeal (K.21-08-001):** On December 1, 2021, CPED and Commercial Energy filed opening briefs addressing the issues in ALJ Chiv's November 5, 2021 ruling. On December 10, 2021, CPED and Commercial Energy filed reply briefs addressing the same issues.
- Shell Energy North America (SENA) RA Citation Appeal (K.21-11-018): On December 8, 2021, ALJ Wercinski issued an email ruling granting SENA's motion to stay the proceeding until the Commission issues a decision on SENA's Application A.21-09-020 for Rehearing of Commission Resolution E-5158.
- San Diego Community Power (SDCP) RA Citation Appeal (K.21-03-005): On December 10, 2021, CPED and SDCP filed opening briefs addressing the issues in ALJ Goldberg's November 22, 2021 ruling.
- San Jose Clean Energy RA Citation Appeal (K.19-03-024): On December 16, 2021, the Commission issued D.21-12-066 granting rehearing of Resolution ALJ-382 and vacating the resolution to give SJCE the opportunity to prove its assertion that had it accepted the offers that were subsequently withdrawn while SJCE was vetting their terms, it still would have had a deficiency that could not have been filled because there were no other system or flexible RA available. In addition, SJCE shall have an opportunity to present evidence to address the penalty factors such as the entity's financial resources.
- Southern California Gas Company Billing OII (I.17-04-021): On December 17, 2021, the Commission issued D.21-12-067 vacating the penalty in the sum of \$4,693,200 to be paid as a \$100 bill credit to 46,932 customers and denying rehearing of D.19-04-041 as modified.
- San Diego Community Power (SDCP) RA Citation Appeal (K.21-11-001): On December 30, 2021, CPED and SDCP filed responses to the questions in ALJ Wercinski's November 29, 2021 email ruling.

Key Activities

UEB is working on a total of 85 cases. Investigations center primarily on Application Review, CTA Unauthorized Enrollment, Disconnections, and Resource Adequacy. UEB's cases come from a variety of sources, with Inter-Division referrals and UEB's own scanning activities playing key roles.





Citations/Fines/Reparation

UEB did not issue any fines, penalties, or citations during the month of December 2021. Cumulative 2021 fines, reparations and penalties imposed are shown below.

Date	Citations/Fines/ Reparation
December 2021	\$0
Cumulative 2021	\$55,566,213

Table 7. UEB Fines, Reparations, and Penalties

- **Resource Adequacy (RA) Citation Program:** UEB issues citations and levies fines to enforce Load Serving Entities' (LSE) compliance with system, local, and flexible resource adequacy requirements pursuant to Resolution E-4195, as modified by Decisions 10-06-036, 11-06-022, 14-06-050, 19-06-026, and 20-06-031. In December, UEB did not issued any new RA citations and received new collections.
- **Core Transport Agent (CTA):** UEB reviews CTA-related complaints received by the Commission to enforce compliance with the standards for verification of change in provider requirements in D. 18-02-002, and to identify acts constituting grounds for suspension or revocation of registration pursuant to Pub. Util. Code Section 983.5.

In December, UEB reviewed 58 CTA-related complaints received by the Consumer Affairs Branch (CAB) in November 2021 and identified 20 needing investigations for potential unauthorized enrollment. Staff identified eight duplicate cases. UEB issued five data requests for proof of enrollment authorization for 20 customers. UEB received 11 third-party verification (TPV) recordings and 8 signed agreements as proof of customer authorization to enroll in CTA services. One customer did not have a service account with the alleged CTA. Staff's investigation is ongoing.

On November 10, 2021, UEB sent Bolt Energy Services, LLC Citation No. UEB-003-0057, totaling \$1,000, for one case of unauthorized enrollment for a complaint from August 2021. The citation payment was due on December 10, 2021. Citation payment was received by Fiscal on November 30, 2021.

Table 8. UEB CTA-Related Complaints

	CTA-Related C	omplaints	Data	Proof of		Cease	
Month Received	Total Reviewed	Unauthorized Enrollment	Requests Issued	Authorizatio n Obtained	Citations Issued	and Desist Letters Issued	
November	58	20	5	19	Pending	0	

Compliance with Ordering Paragraphs

There were no new Ordering Paragraphs added to UEB's COPS tracker for the month of December. UEB was responsible for 41 separate Ordering Paragraphs. As of December 2021, 41 of the Ordering Paragraphs (representing 100%) have been complied with, thus none are out of compliance.

Ordering Paragraphs related to UEB's work are attributable to the imposition of fines, adoption of settlements, ordering of consumer refunds or reparation and other remedies and corrective actions, including reporting requirements, resulting from UEB's investigations of violations of law and wrongdoing against consumers.

The numbers reported above tracks compliance with ordering paragraphs assigned to UEB and do not include tracking for compliance with payment of fines, penalties, surcharges, or the like, which are assigned to Fiscal Office under the COPs system. However, UEB staff also tracks such payments separately in our case management system and informs fiscal of any identified issues.

UEB-Related Proceedings

Table 9. UEB-Related Proceedings

Docket No.	Title	ALJ	Commissioner
R.18-07-005	Order Instituting Rulemaking to Consider New Approaches to Disconnections and Reconnections to Improve Energy Access and Contain Costs.	Kelly	Aceves
I.17-04-021	Order Instituting Investigation on the Commission's Own Motion into the Billing Practices of Southern California Gas Company (U904G); and Order to Show Cause Why the Commission Should not Revise Rule No. 14, Impose Penalties and/or Other Remedies for Extending Billing Periods and Issuing Untimely Monthly Bills.	Ayoade	Rechtschaffen
I.19-12-009	Order Instituting Investigation on the Commission's Own Motion into the Operations, Practices, and Conduct of Frontier Communications to Determine Whether Frontier Violated Laws, Rules and Regulations through Service Outages and Interruptions and Disclosing and Publishing Customer Addresses.	Zhang	Batjer

К.19-03-024	Appeal of San Jose Clean Energy to Citation E-4195- 0052 issued on February 27, 2019 by the Consumer Protection and Enforcement Division.	Kim	N/A
K.20-04-005	Appeal of San Jose Clean Energy to citation E-4195-74 issued on April 10, 2020 by Consumer Protection & Enforcement Division.	Yacknin	N/A
К.20-05-006	Appeal of Clean Power Alliance of Southern California to citation E-4195-82 issued on April 9, 2020 by Consumer Protection & Enforcement Division.	Yacknin	N/A
K.21-03-005	Appeal of San Diego Community Power to citation E- 4195-98 issued on February 3, 2021 by Consumer Protection & Enforcement Division.	Golberg	N/A
K.21-03-006	Appeal of Western Community Energy to citation E- 4195-99 issued on February 9, 2021 by Consumer Protection & Enforcement Division.	Wercinski	N/A
K.21-08-001	Appeal of Commercial Energy to citation E-4195- 100 issued on July 1, 2021 by Consumer Protection & Enforcement Division.	Chiv	N/A

Outreach/Training/Other Activities

State National Action Plan (SNAP): On December 16, 2021, the FCC provided an update on the LifeLine Program's transition from the COVID-related Emergency Broadband Benefit program (providing a temporary \$50 per month benefit) to the Affordable Connectivity Program (providing a permanent \$30 per month benefit). Enrollment in the program will start January 1, 2022 and is expected to last 60 days.