



**BOARD OF DIRECTORS 2021**

DEVORA "DEV" DAVIS, CHAIR  
STEVE HEMINGER, VICE CHAIR  
CINDY CHAVEZ  
JEFF GEE  
GLENN HENDRICKS  
DAVE PINE  
CHARLES STONE  
SHAMANN WALTON  
MONIQUE ZMUDA

JIM HARTNETT  
EXECUTIVE DIRECTOR

# AGENDA

## PENINSULA CORRIDOR JOINT POWERS BOARD

**Due to COVID-19, this meeting will be conducted via teleconference only (no physical location) pursuant to the [Governor's Executive Orders N-25-20 and N-29-20](#).**

Directors, staff and the public may participate remotely via Zoom at

<https://zoom.us/j/91412776292?pwd=cVdKa01PK2FKdm1CSUwwZXR3RmlkUT09>

or by entering Webinar ID: **914 1277 6292**, Passcode: **909765** in the Zoom app for audio/visual capability or by calling 1-669-900-6833 (enter webinar ID and press # when prompted for participant ID) for audio only. The video live stream will be available after the meeting at

<http://www.caltrain.com/about/bod/video.html>

**Public Comments: Members of the public are encouraged to participate remotely.** Public comments may be submitted to [publiccomment@caltrain.com](mailto:publiccomment@caltrain.com) prior to the meeting's call to order so that they can be sent to the Board as soon as possible, while those received during or after an agenda item is heard will be included into the Board's weekly correspondence and posted online at [http://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html).

Oral public comments will also be accepted during the meeting through \*Zoom or via the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM. Use the Raise Hand feature to request to speak. For public participants calling in, dial \*67 if you do not want your telephone number to appear on the live broadcast. Callers may dial \*9 to use the Raise the Hand feature for public comment and press \*6 to accept being unmuted when recognized to speak for two minutes or less. Each commenter will be automatically notified when they are unmuted to speak for two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

### **February 4, 2021 – Thursday**

#### **PART I OF MEETING (CLOSED SESSION): 9:00 am**

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. General Counsel Report – Closed Session:
  - a. Public Employee Performance Evaluation  
Pursuant to Government Code Section 54957(b)(1)  
Title: Executive Director

**PART II OF MEETING (REGULAR SESSION): 9:30am  
(or when Part I ends, whichever is later)**

- |  |               |
|--|---------------|
| 4. General Counsel Report – Report Out from Current Closed Session   | INFORMATIONAL |
| 5. Public Comment for Items Not on the Agenda<br>Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply.   |               |
| 6. Consent Calendar<br>Members of the Board may request that an item under the Consent Calendar be considered separately   |               |
| a. Approve Regular Meeting Minutes of <del>December 3, 2020</del> <b>January 7, 2021</b>   | MOTION        |
| b. Receive Key Caltrain Performance Statistics – December 2020   | MOTION        |
| <b>Approved by the Finance Committee</b>   |               |
| c. Accept Statement of Revenues and Expenses for the Period Ended December 31, 2020  | MOTION        |
| d. Authorization to Enter into Funding Agreements for the San Francisco Downtown Extension Project and Amend to Increase the Fiscal Year 2021 Capital Budget to Include \$200,000 for the Project and Reflect a Cumulative Increase of \$26,100,000 for a New Total Budget of \$112,559,772                              | RESOLUTION    |
| e. Increase the Contract Change Order Authority for Construction of the 25th Avenue Grade Separation Project by \$12,100,000 and Amend to Increase The Fiscal Year 2021 Capital Budget to Include \$25,900,000 for the Project and Reflect a Cumulative Increase of \$26,100,000 for a New Total Budget of \$112,559,772 | RESOLUTION    |
| f. Fuel Hedging Update   | INFORMATIONAL |
| <b>Approved by the Work Program-Legislative-Planning Committee</b>   |               |
| g. Adoption of a Mitigated Negative Declaration for the Guadalupe River Bridge Replacement Project   | RESOLUTION    |
| h. Approval of Legislative proposals: Support ACA 1 and SB 44  | MOTION        |
| 7. State and Federal Legislative Update  | INFORMATIONAL |
| 8. Reports   |               |
| a. Report of the Citizens Advisory Committee   | INFORMATIONAL |
| b. Report of the Chair   | INFORMATIONAL |
| c. Report of the Executive Director  | INFORMATIONAL |
| i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – December  | INFORMATIONAL |
| ii. Blue Ribbon Task Force Update  | INFORMATIONAL |
| 9. Post-COVID Business Strategy – Scenario Planning  | INFORMATIONAL |
| 10. Correspondence   |               |
| 11. Board Member Requests  |               |
| 12. General Counsel Report   |               |
| 13. Date/Time of Next Regular Meeting: Thursday, March 4, 2021 at 9:00 am via Zoom   |               |

14. Adjourn

## **INFORMATION FOR THE PUBLIC**

All items appearing on the agenda are subject to action by the Board. Staff recommendations are subject to change by the Board.

If you have questions on the agenda, please contact the JPB Secretary at 650.508.6242. Agendas are available on the Caltrain website at [www.caltrain.com](http://www.caltrain.com). Communications to the Board of Directors can be e-mailed to [board@caltrain.com](mailto:board@caltrain.com).

*Free translation is available; Para traducción llama al 1.800.660.4287; 如需翻译 请电 1.800.660.4287*

### **Date and Time of Board and Committee Meetings**

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 1:30 pm. Date, time and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

### **Location of Meeting**

**Due to COVID-19, the meeting will only be via teleconference as per the information provided at the top of the agenda. the Public may not attend this meeting in person.** \*Should Zoom not be operational, please check online at [http://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html) for any updates or further instruction.

### **Public Comment\***

Members of the public are encouraged to participate remotely. Public comments may be submitted to [publiccomment@caltrain.com](mailto:publiccomment@caltrain.com) prior to the meeting's call to order so that they can be sent to the Board as soon as possible, while those received during or after an agenda item is heard will be included into the Board's weekly correspondence and posted online at [http://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html). Oral public comments will also be accepted during the meeting through Zoom or the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM and each commenter will be automatically notified when they are unmuted to speak for two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

### **Accessible Public Meetings/Translation**

Upon request, the JPB will provide for written agenda materials in appropriate alternative formats, or disability-related modification or accommodation, including auxiliary aids or services, to enable individuals with disabilities to participate in and provide comments at/related to public meetings. Please submit a request, including your name, phone number and/or email address, and a description of the modification, accommodation, auxiliary aid, service or alternative format requested at least at least 72 hours in advance of the meeting or hearing. Please direct requests for disability-related modification and/or interpreter services to the Title VI Administrator at San Mateo County Transit District, 1250 San Carlos Avenue, San Carlos, CA 94070-1306; or email [titlevi@samtrans.com](mailto:titlevi@samtrans.com); or request by phone at 650-622-7864 or TTY 650-508-6448.

### **Availability of Public Records**

All public records relating to an open session item on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body will be available for public inspection at 1250 San Carlos Avenue, San Carlos, CA 94070-1306, at the same time that the public records are distributed or made available to the legislative body.

**Peninsula Corridor Joint Powers Board  
Board of Directors Meeting  
1250 San Carlos Avenue, San Carlos CA**

**DRAFT MINUTES OF JANUARY 7, 2021**

**MEMBERS PRESENT:** C. Chavez, D. Davis (Chair), J. Gee, S. Heminger (Vice Chair), D. Pine, C. Stone, S. Walton (left 9:53am), M. Zmuda

**MEMBERS ABSENT:** None

**STAFF PRESENT:** J. Hartnett, C. Mau, J. Cassman, S. Van Hoften, M. Bouchard, J. Funghi, K. Yin, D. Hansel, C. Fromson, R. Rios, B. Tietjen, L. Low, G. Martinez, M. Reggiardo, L. Leung, P. Skinner, J. Sharma, B. Shaw, D. Seamans, J. Brook, S. Wong

**1. CALL TO ORDER / PLEDGE OF ALLEGIANCE**

Chair Dave Pine called the meeting to order at 9:03 am and led the pledge of allegiance.

**2. ROLL CALL**

District Secretary Dora Seamans called the roll and a quorum was confirmed.

Director Cindy Chavez arrived at 9:05 am.

**3. OATH OF OFFICE – SAN MATEO COUNTY REPRESENTATIVE, JEFF GEE**

Ms. Seamans administered an Oath of Office to Jeff Gee. Board members welcomed Director Gee back to the Board of Directors.

**4. GENERAL COUNSEL REPORT – REPORT OUT FROM CURRENT CLOSED SESSION AND PREVIOUS CLOSED SESSIONS OF DECEMBER 3, 2020**

General Counsel Joan Cassman stated no action was taken from the previous meeting's closed session on anticipated litigation and real estate negotiations.

Public Comment

Roland Lebrun, San Jose, commented on limiting litigation and real estate transactions until the new administrators are in place. He also commented on Director Gee, the California Fair Political Practices Commission (FPPC), and congratulated Director Davis.

**5. REPORT OF THE NOMINATING COMMITTEE (STONE, CHAVEZ, HEMINGER) - ELECTION OF 2021 OFFICERS**

Director Cindy Chavez reported that the Committee nominated Director Dev Davis for JPB Chair and Director Steve Heminger for Vice-Chair.

Motion/Second: Chavez/Stone

Ayes: Chavez, Davis, Gee, Heminger, Stone, Walton, Zmuda, Pine

Noes: None

Absent: None

Public Comment

Jeff Carter, Millbrae, welcomed back Director Gee and congratulated the new Chair and Vice-Chair.

Aleta Dupree, Oakland, congratulated Director Gee, Chair Davis, and Vice-Chair Heminger and expressed appreciation for the peaceful transfer of power.

Adina Levin, Friends of Caltrain, congratulated Director Gee, Chair Davis, and Vice-Chair Heminger.

**6. PUBLIC HEARING AND ADOPTION OF PROPOSED CHANGES TO BICYCLE PARKING FEES AND GO PASS PRICING**

Sebastian Petty, Deputy Chief of Planning, provided a presentation and information on bicycle e-locker fees.

Derek Hansel, Chief Financial Officer, spoke about GoPass changes and proposed staff changes to provide an additional 25 percent discount to reflect commuting uncertainty.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding advertising, financial impact of GoPass changes, and company deadlines for 2022 participation.

Public Comment

Aleta Dupree, Oakland, expressed support for e-lockers.

Cynthia Arteaga, San Jose, requested GoPass pricing structure clarification and extending the discount.

Adina Levin, Friends of Caltrain, thanked Caltrain for extending GoPass for covering contractors, nonprofits, etc., taking a step toward equity, and for moving forward with bicycle e-lockers.

Roland, San Jose, commented on charging for e-lockers, allowing free bikes onboard, and bicycle counters on electric multiple units (EMUs).

Matt Petrofsky, San Mateo, inquired about extending GoPass based on total number of employees in a single building.

Jeff Carter, Millbrae, expressed support for the bicycle e-locker program and requested GoPass statistics.

Motion/Second: Stone/Heminger

Ayes: Chavez, Gee, Pine, Stone, Walton, Zmuda, Heminger, Davis

Noes: None

Absent: None

**7. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA**

Roland Lebrun, San Jose, commented on Valley Transportation Authority (VTA) budget surplus and made suggestions on Caltrain spending. He commented on three stations in south San Jose not receiving service.

Aleta Dupree, Oakland, commented on Clipper and fare integration, updating fare equipment and procedures, and continuing the conversation with Metropolitan Transportation Commission (MTC).

Vaughn Wolffe, Pleasanton, commented building a rail system that could accommodate hundreds of thousands of people daily.

Adrian Brandt, San Mateo County, commented on the Redwood junction area not allowing an efficient four track approach and recommended Caltrain take a more active role to accommodate the Caltrain Business Plan.

Hayden Miller thanked Caltrain for the new 30-minute frequency schedule and commented on single trackage signage causing confusion, and aligning BART and Caltrain schedules during the holidays.

Jeff Carter, Millbrae, expressed support for building four tracks to allow passing for express trains by local trains.

Director Shamann Walton left at 9:53 am.

## **8. CONSENT CALENDAR**

- a. Approved Regular Meeting Minutes of December 3, 2020**
- b. Received Key Caltrain Performance Statistics – November 2020**
- c. Certified Results of Election on Measure RR Sales Tax**
- d. Adopted 2021 Legislative Program (as amended and stated on page 4)**
- e. Resolution of Appreciation for former Director Ron Collins**
- f. Resolution of Appreciation for former Director Jeannie Bruins**
- g. Accepted Statement of Revenues and Expenses for the Period Ended November 30, 2020**
- h. Awarded a Sole Source Agreement to Howard Permut LLC to Provide Governance Advisory Services in the Not-To-Exceed Amount of \$200,000**
- i. Authorization to Receive Funding and Amend the Fiscal Year 2021 Capital Budget to add \$4,125,000 for a Total of \$86,459,772 for the Atherton Caltrain Station Closure Project**
- j. On-Call Transportation Planning and Consultant Support Services Update**

Director Dave Pine and Director Chair Stone expressed appreciation for outgoing Director Ron Collins.

Director Chavez expressed concern for a strategy in Item 8d (page 3, second bullet) which stated “*Ensure that COVID relief funding is sub allocated through the region is based on revenue losses*” and the impacts on the regional partners.

Motion/Second: Stone/Zmuda to approve the Consent Calendar excluding Item 8d

Ayes: Chavez, Gee, Pine, Stone, Zmuda, Heminger, Davis

Noes: None

Absent: Walton

Public Comment

Roland Lebrun, San Jose, inquired about starting the Finance Meeting at 3 pm instead of its current 1:30 pm time due to conflict with other meetings. He opposed extensions of Kimley-Horn contracts, especially in regards to the high-speed rail platform in Redwood City.

Motion/Second: Stone/Pine to approve Item 8d

Ayes: Gee, Pine, Stone, Zmuda, Davis

Noes: Chavez, Heminger

Absent: Walton

Motion/Second: Zmuda/Davis to rescind the previous motion and reconsider Item 8d

Ayes: Chavez, Gee, Pine, Stone, Zmuda, Heminger, Davis

Noes: None

Absent: Walton

The Board members had a robust discussion and staff provided further information in response to the Board comments and questions regarding the strategy in Item 8d (2021 Legislative Program) to "*Ensure that COVID relief funding is sub allocated through the region is based on revenue losses*". The topics covered included: Caltrain's best interest, partner agency interests, the percentage of allocation relative to allocation received, the possibility of Caltrain still being at a deficit while other transit agencies were whole with a new formula, taking equity into consideration, Measure RR funds availability, and transit dependent ridership.

Motion/Second: Heminger/Zmuda as amended" "***Ensure that COVID relief funding is sub allocated through the region primarily based on revenue losses but also balanced with the needs of transit dependent riders.***"

Ayes: Chavez, Gee, Pine, Stone, Zmuda, Heminger, Davis

Noes: None

Absent: Walton

**9. REPORT OF THE CHAIR**

Director Pine provided an update on the Governance Process Ad Hoc Committee. He stated that the award for General Counsel Services would occur late Spring and Howard Permut would assist in the governance process. He said they would learn more about the Regional Rail Study by MTC at the February workshop.

Director Pine summarized the events and actions taken by the Board in 2020, including new upcoming executive roles and Executive Director Hartnett's departure in April 2021.

Public Comment

Roland Lebrun, San Jose, commented on the legality of ad hoc committees and closed sessions, provided Caltrain Governance suggestions for Howard Permut, and stated that Caltrain should select the next Executive Director, not SamTrans.

Aleta Dupree, Oakland, commented on Executive Director Hartnett's future departure by commending his global leadership perspective and stating that he will be missed.



Board members thanked former Chair Pine for his leadership, generosity, and guidance through massive challenges.

## **10. REPORT OF THE EXECUTIVE DIRECTOR**

Jim Hartnett, Executive Director, provided an overview on ridership recovery and business strategy.

### **a. PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP) MONTHLY PROGRESS REPORT - NOVEMBER 2020**

John Funghi, CalMod Chief Officer, provided a progress report regarding electrification infrastructure and electric multiple unit (EMU) assembly. He noted that the first signal cutover operated successfully, signal duct bank work continues, foundation production decreased (25 out of 37 completed) with plans to bring on a second rig in January. Mr. Funghi stated that Balfour is expected to provide an updated monthly timeline and have advanced planning assistance to avoid supply chain issues. He noted that the construction work at their centralized maintenance and operation facility is nearing completion and they have \$160 million remaining in contingency that indicates a \$5 million shortfall in contingency.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding contingency amounts and the updated monthly timeline.

### **b. CALTRAIN POSITIVE TRAIN CONTROL (PTC) PROJECT UPDATE – DECEMBER 2020**

Michelle Bouchard, Chief Operating Officer, announced the official safety certification from the Federal Railroad Administration (FRA). The team is now in maintenance mode and building out backup control center. She noted the PTC reports would now be updated in the Quarterly Capital Status Report.

Executive Director Hartnett praised the FRA for their approach and support.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding the completion of cutover work and contracting for maintenance.

## **REGIONAL TRANSIT COORDINATION UPDATE**

April Chan, Chief Officer, Planning and Grants, provided a presentation. She provided information on:

- Shared goals for Bay Area transit to provide a seamless experience and provide equity
- Current coordination efforts and sharing information to work better together
- MTC Blue Ribbon Task force action plans (and legislation for 2022)
- Existing funding streams for each agency
- Key Opportunities (e.g. efficiency) and challenges (e.g. funding)

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding staff ideal outcomes, funding, straw

person proposals, how MTC ties into Caltrain, ideas being too broad, and governance problems with BART.

General Counsel Cassman pointed out that the Board could agendaize this topic for the next meeting or workshop for any in depth conversation.

#### Public Comment

Roland Lebrun, San Jose, compared transit agency pre-COVID ridership levels and commented on EMUs, and the last PTC presentation.

Doug DeLong, Mountain View, thanked Jim and Michelle, commented on the grade crossing study, Parsons previous progress reports, and current foundation progress.

Jeff Carter, Millbrae, commented on PTC completion, previous consultants and crossings.

Adina Levin, Friends of Caltrain, thanked Jim Hartnett and Director Pine for bringing stable funding to Caltrain through Measure RR. She commented on the transit network coordination increasing ridership and improving equity.

Andy Chow, Redwood City, commented on the new schedule saving him time and coordinating with BART for the weekends.

Ian Griffith, Seamless Bay Area, commented on system coordination, best alternatives for riders, and using funding with the correct structure.

Vaughn Wolffe, Pleasanton, commented on assigning technology and achieving State run hubs.

Adrian Brandt, San Mateo County, commented on addressing constant warning times with dual speed check.

Aleta Dupree, Oakland, commented foundations progress and taking train control to the next level.

## **11. REPORT OF THE CITIZENS ADVISORY COMMITTEE (CAC)**

Brian Shaw, Citizens Advisory Committee Chair, provided an update. He stated that he was appointed Chair and Adrian Brandt, Vice-Chair. Mr. Shaw reviewed CAC public comments regarding fares, transit recovery task force, and seamless transfer designs. He summarized CAC member comments regarding GoPasses for small businesses, ridership levels, air-flow safety, and multi-language signage. Mr. Shaw listed the agenda items for the next meeting January 20<sup>th</sup>.

## **12. REPORT OF THE FINANCE COMMITTEE**

### **a. AUTHORIZING EXECUTION OF AMENDMENT FIVE TO THE CONTRACT FOR PROVISION OF RAIL OPERATIONS, MAINTENANCE AND SUPPORT SERVICES WITH TRANSITAMERICA SERVICES, INC. TO EXTEND THE CONTRACT FOR FIVE YEARS THROUGH JUNE 30, 2027**

Michelle Bouchard, Chief Operating Officer, provided the presentation on the five-year contract extension through June 2022 and the annual budget would determine the annual Transit America Services, Inc. (TASI) contract. Ms. Bouchard provided background information, which included TASI performance, considerations, negotiated

terms with \$8 to \$10 million in savings per year, the contract extension process, and proposed modifications.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding inflation in the fee structure, floor and ceiling for inflation, four-year extension instead of five, how competitive the industry is, and going out to bid.

Public Comment

Roland Lebrun, San Jose, commented on the Howard Permut contract, having five one-year extensions instead, and previous TASI incidents.

Adina Levin, Friends of Caltrain, commented on staff numbers, future efficiency, and service frequency.

Aleta Dupree, Oakland, commented on consistency and experience with a five-year extension.

Adrian Brandt, San Mateo County, commented on the performance measure tool, 50 percent target fare inspection, reducing labor requirement, and high inspection ratios.

Motion/Second: Zmuda/Stone

Ayes: Chavez, Gee, Pine, Stone, Zmuda, Heminger, Davis

Noes: None

Absent: Walton

**b. AWARD OF CONTRACT FOR FINANCIAL AUDIT SERVICES**

Grace Martinez, Deputy Chief Financial Officer, stated that they have concluded their search for new auditors as directed by the Board in August.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding cost for audit services, \$150,000 for special projects, hiring additional staff to support this work, and rotating auditors every five to seven years.

Motion/Second: Pine/Heminger

Ayes: Chavez, Gee, Pine, Stone, Zmuda, Heminger, Davis

Noes: None

Absent: Walton

**13. INCREASE THE TOTAL PROJECT BUDGET AUTHORITY BY \$1,250,000 FOR THE MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT (20-J-C-022)**

Gary Fleming, Deputy Chief, Rail Development, stated that large voids were found below the footing of the bridge; the response was to implement two phases, including upgrading the capacity of the micro-piles to replace the deteriorated woodpiles below the footing, and this has to be performed through a change order. Staff is requesting the Board authorize an increase in the total project budget to increase the change order authority.

Motion/Second: Stone/Zmuda

Ayes: Chavez, Gee, Pine, Stone, Zmuda, Heminger, Davis

Noes: None  
Absent: Walton

**14. STATE AND FEDERAL LEGISLATIVE UPDATE**

Rescheduled to next meeting

**15. CORRESPONDENCE**

Correspondence was available online.

**16. BOARD MEMBER REQUESTS**

Director Heminger requested having a sub-regional conversation between BART and Caltrain in regards to transit coordination efforts as a topic at the next Board workshop.

**17. GENERAL COUNSEL REPORT**

There was none

**18. DATE/TIME OF NEXT REGULAR MEETING:**

Thursday, February 4, 2021 at 9:00 am via Zoom

**19. ADJOURN**

The meeting adjourned at 1:09 pm.

An audio/video recording of this meeting is available online at [www.Caltrain.com](http://www.Caltrain.com). Questions may be referred to the Board Secretary's office by phone at 650.508.6242 or by email to [Board@Caltrain.com](mailto:Board@Caltrain.com).

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Rail

SUBJECT: **KEY CALTRAIN PERFORMANCE STATISTICS – DECEMBER 2020**

**ACTION**

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for December 2020.

**SIGNIFICANCE**

Staff will provide monthly updates to Key Caltrain Performance Statistics, Caltrain Shuttle Ridership, Caltrain Promotions, Digital Metrics and Social Media Analytics. It should be noted that this report reflects impacts from the COVID-19 pandemic.

**BUDGET IMPACT**

There is no budget impact.

**MONTHLY UPDATE**

The coronavirus (COVID-19) pandemic continues to have drastic impacts on Caltrain ridership and revenue. Ridership estimates are developed using daily conductor counts at 14 key stations and Clipper tag-ons at all stations. This methodology has been in use since April 2020.

In December 2020, Caltrain's Average Weekday Ridership (AWR) decreased by 95 percent to 3,147 from December 2019 AWR of 62,480. The total number of passengers who rode Caltrain in December 2020 decreased by 94.5 percent to 78,768 from 1,428,363 December 2019 ridership. Likely reasons why AWR and total ridership decreased from the same month last year and last month include:

- Worsening COVID-19 infections in the region and associated tightening of Stay-Home Order;
- Both Christmas Day and New Year's Day fell on Friday and allowing "extension" of weekends and;
- Seasonality of the Caltrain ridership as indicated in the fact that the percentage of the year-to-year ridership change is constant around 95 percent despite significant month-to-month decrease in ridership.

This month ticket sales decreased from December 2019 for:

- One Way tickets: 92.4 percent
- ED One Way tickets: 84.2 percent
- Day Passes: 94.1 percent
- ED Day Passes: 86.2 percent
- Monthly Passes: 95.8 percent
- ED Monthly Passes: 89.4 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 8.6 percent (6,743 rides) of the monthly ridership and 1.4 percent (\$41,310) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees decreased to 87,116 from 91,210 from December 2019.
- Number of the participating Go Pass Companies decreased to 117 in December 2020 from 135 in December 2019.
- Total Farebox Revenue decreased by 6.3 percent to \$2,961,435 from December 2019.

The decrease in farebox revenue was primarily due to the shelter-in-place orders in three counties within Caltrain service areas associated with the COVID-19 pandemic.

On-time performance (OTP) for December 2020 was 95.3 percent compared to 92.5 percent OTP for December 2019. As depicted in Graph E, OTP appears to be in downward trend even though the target is met while it significantly improved from the same month last year.

In December 2020, there were 308 minutes of delay due to mechanical issues compared to 860 minutes in December 2019.

Looking at customer service statistics, the number of complaints per 100,000 passengers in December 2020 is not provided since numbers are skewed with the significant decrease in ridership due to COVID-19 pandemic.

Shuttle ridership for December 2020 decreased 93.7 percent from December 2019.

When the Marguerite shuttle ridership is removed, the impact to ridership was a decrease of 93.7 percent. For station shuttles:

- Millbrae-Broadway shuttle: 13 average daily riders
- Weekend Tamien-San Jose shuttle(cancelled 12/13/20): 8 average daily riders

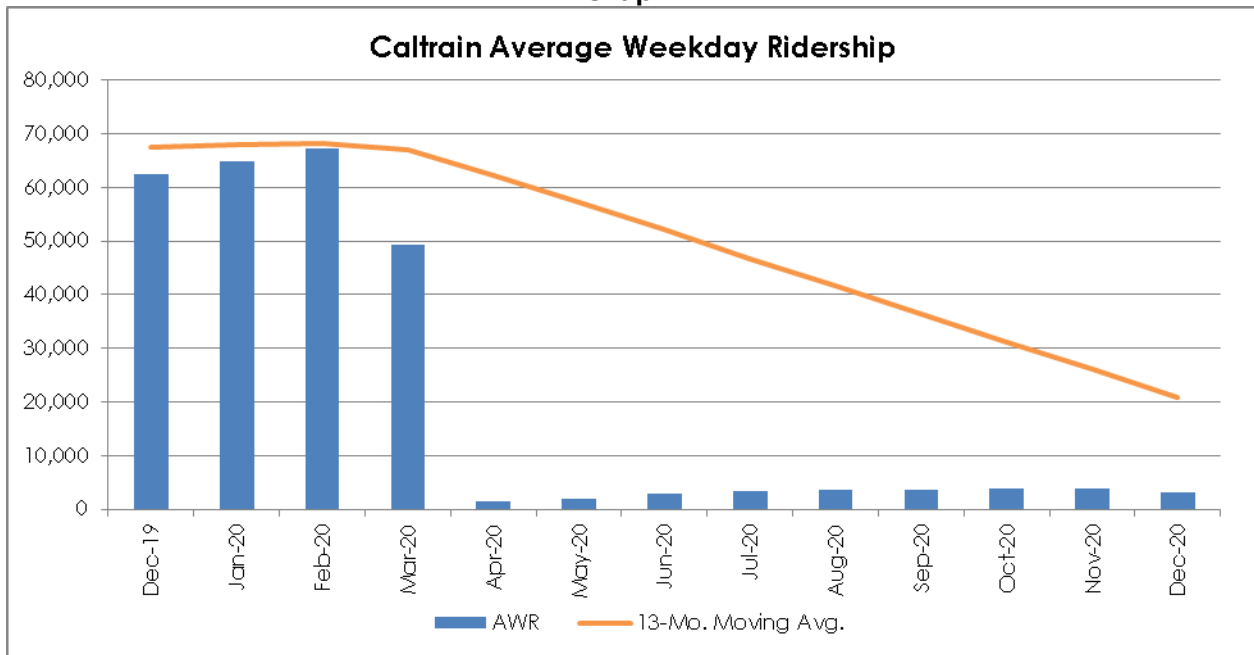
**Table A**  
**December 2020**

	<b>FY2020</b>	<b>FY2021</b>	<b>% Change</b>
Total Ridership	1,428,363	78,768	-94.5%
Average Weekday Ridership	62,480	3,147	-95.0%
Total Farebox Revenue	\$ 7,860,476	\$ 2,961,435	-62.3%
On-time Performance	92.5%	95.3%	3.0%
Average Weekday Caltrain Shuttle Ridership	6,622	414	-93.7%

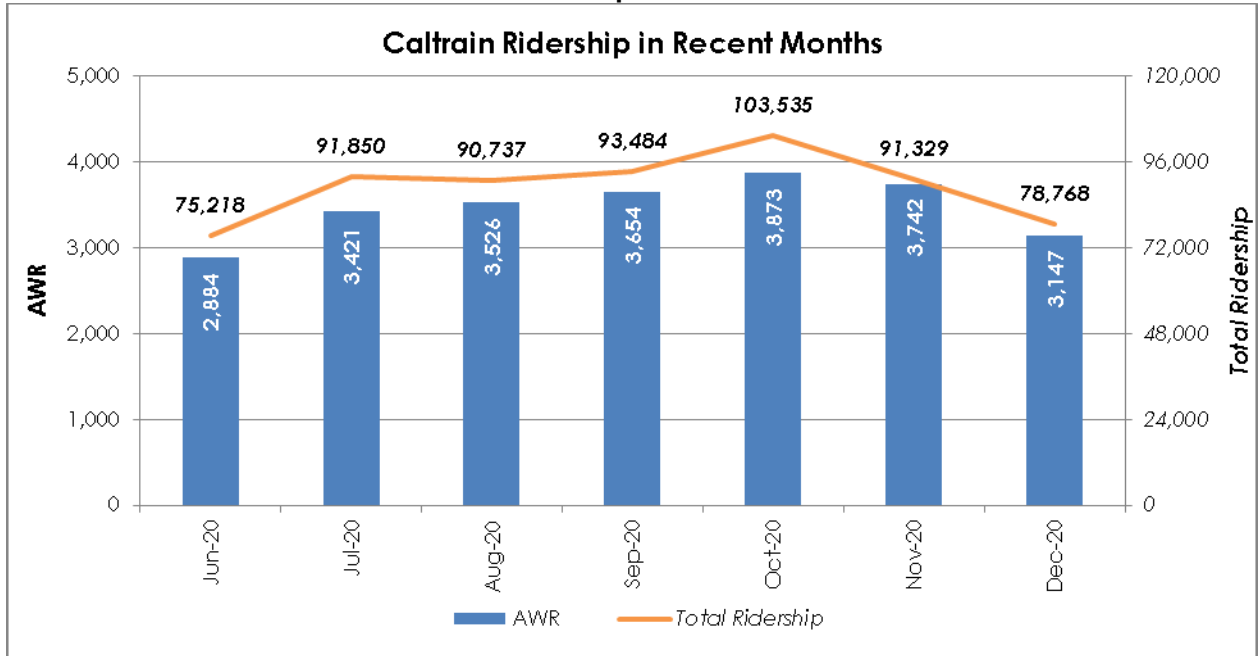
**Fiscal Year to Date**

	<b>FY2020</b>	<b>FY2021</b>	<b>% Change</b>
Total Ridership	9,588,331	549,703	-94.3%
Average Weekday Ridership	69,481	3,561	-94.9%
Total Farebox Revenue	\$ 53,194,549	\$ 17,940,790	-66.3%
On-time Performance	93.3%	96.4%	3.3%
Average Weekday Caltrain Shuttle Ridership	8,500	967	-88.6%

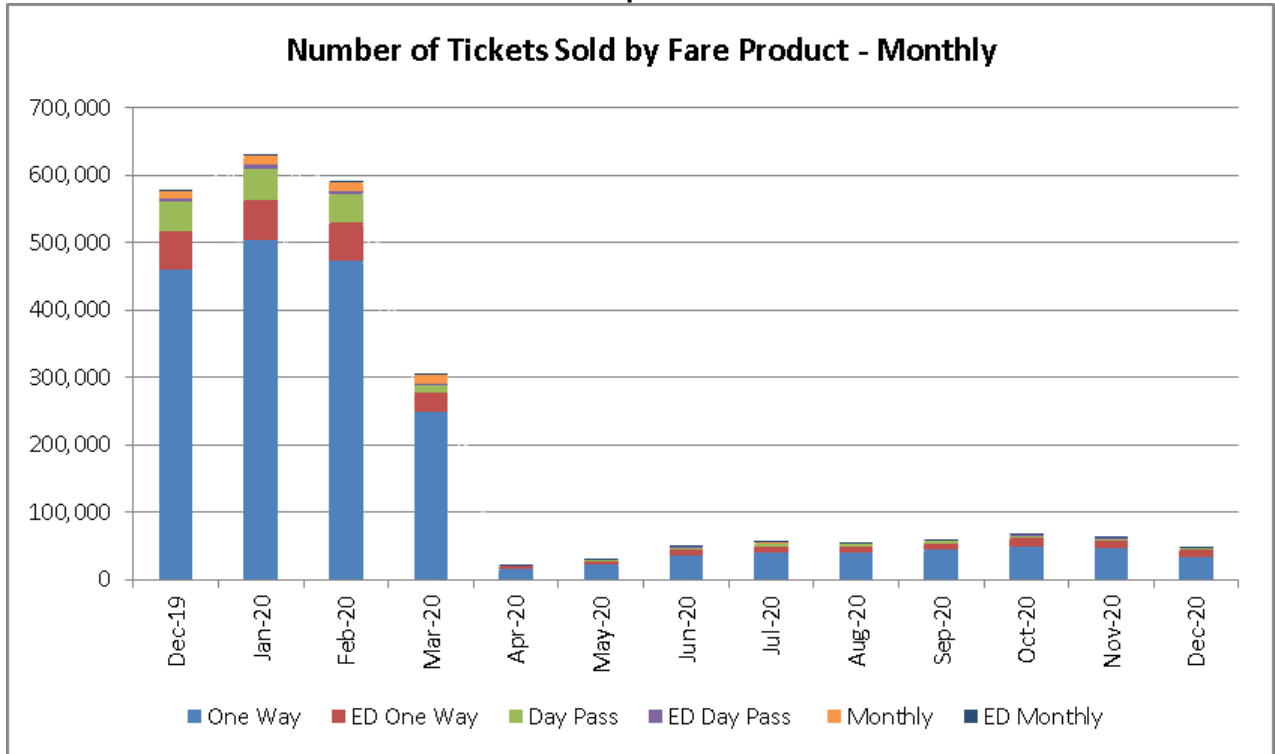
**Graph A1**



**Graph A2**



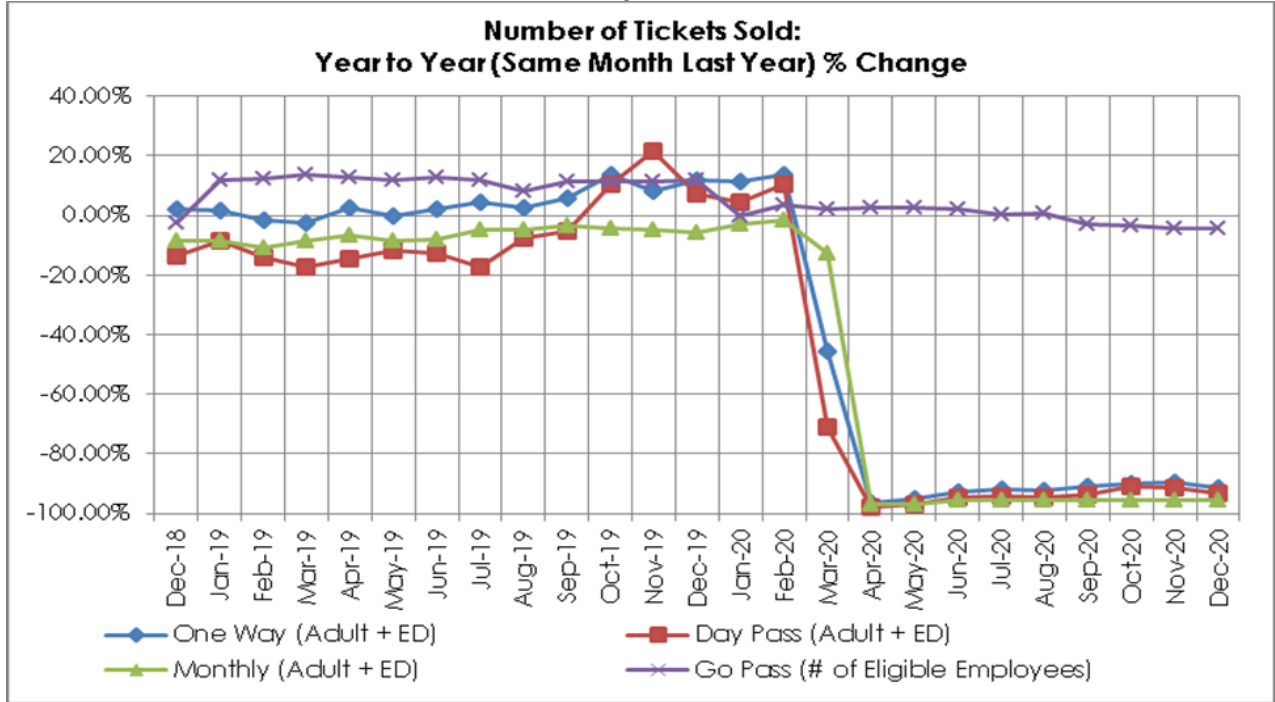
**Graph B**



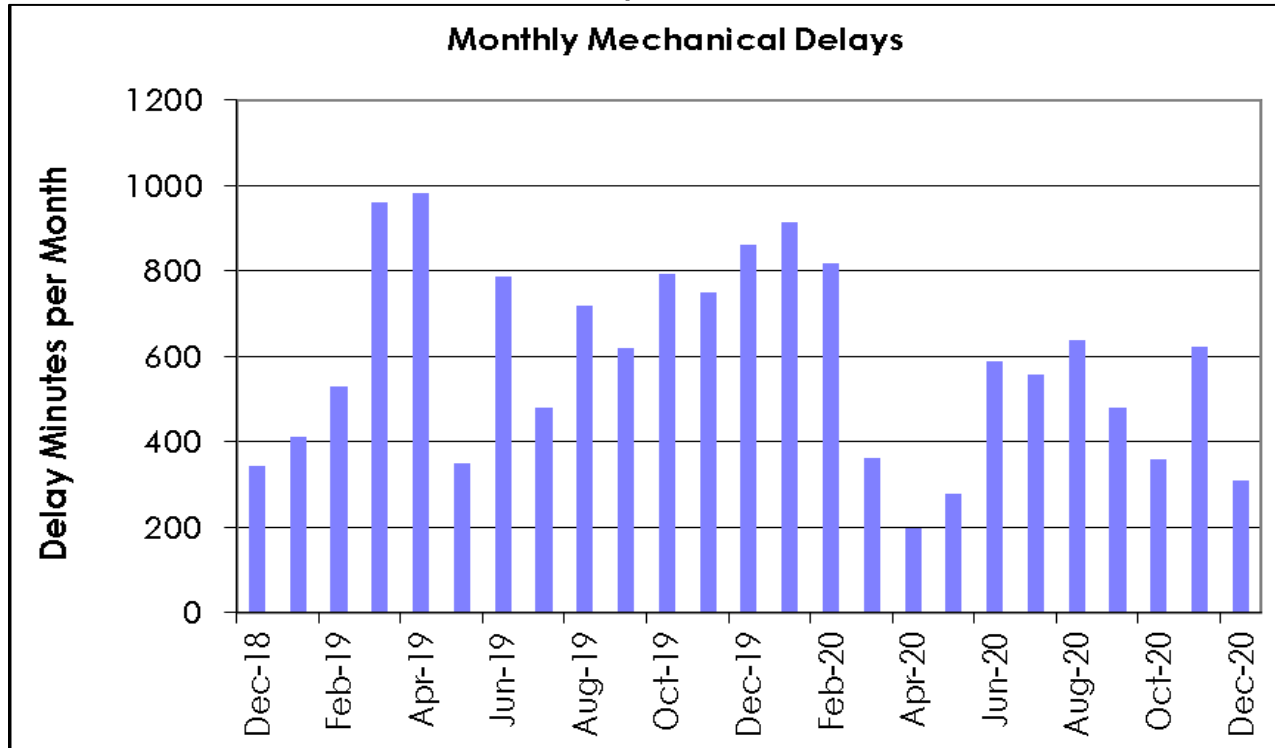
*\*Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*



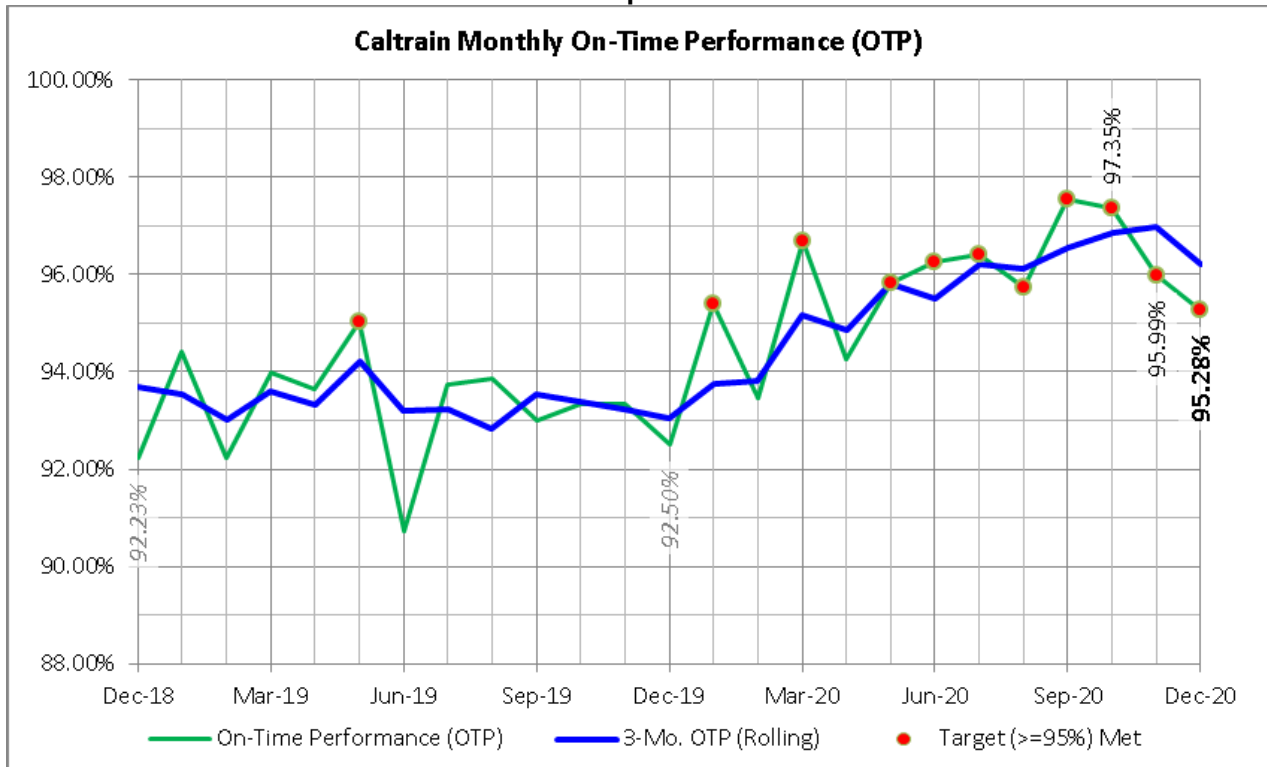
**Graph C**



**Graph D**



Graph E



No Caltrain Promotions for December 2020

Caltrain Digital Metrics - Dec 2020



New Followers

**-149**  
 Dec 20 - 179,357  
 Nov 20 - 179,506  
 Dec 19 - 181,822

Top Tagged Issues

1. Compliment (28)
2. Media (25)
3. Delay (20)
4. Complaint (13)
5. Funding (10)

Caltrain.com Sessions

Dec 20 - 115,423  
 Nov 20 - 125,708  
 Dec 19 - 794,690

Social Engagement

**Video Views**  
 24,597 (Nov - 13K)  
**Content Impressions**  
 695,819 (Nov 1.4M)  
**Interactions**  
 12,238 (Nov - 31K)

Monthly Yelp & FB Rating

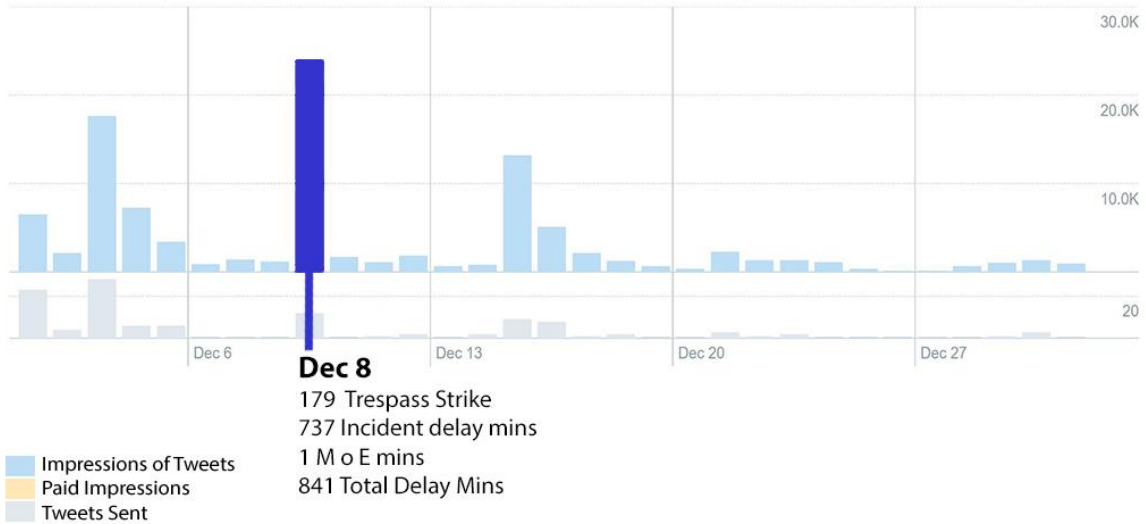
**(2.75 out of 5)**

( 0 Dec reviews)



# Twitter Impression Spikes New @CaltrainAlerts account December, 2020

Your Tweets earned **104.2K impressions** over this **31 day** period



**Dec 8**  
 179 Trespass Strike  
 737 Incident delay mins  
 1 M o E mins  
 841 Total Delay Mins

Impressions of Tweets  
 Paid Impressions  
 Tweets Sent

Impressions sometimes appear the day after an incident as Twitter users view the post the next day.

Prepared by: Patrice Givens, Administrative Analyst II 650.508.6347  
 James Namba, Marketing Specialist 650.508.7924  
 Jeremy Lipps, Social Media Officer 650.622.7845

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board  
THROUGH: Jim Hartnett  
Executive Director  
FROM: Derek Hansel  
Chief Financial Officer  
SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING  
DECEMBER 31, 2020**

**ACTION**

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of December 2020.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through December 31, 2020. The statement has been designed to follow the Agency-wide line item rollup as included in the approved budget. The columns have been designed to provide easy comparison of year-to-date current actuals to the budget including dollar and percentage variances.

**SIGNIFICANCE**

**Annual Forecast:** The annual forecast was updated based on actual revenue and expense trends through December 2020. The forecast was derived by analyzing trends and reviewing details with cost center managers.

**Forecast Revenues:** Total revenue (page 1, line 17) is forecast \$0.3 million lower than budget. This is driven by lower Shuttles Revenue (page 1, line 3) which is \$0.3 million lower than budget due to lower shuttle service as routes have been reduced or suspended due to low ridership.

**Forecast Expenses:** Total Expense (page 1, line 48) is \$3.0 million lower than budget. The variance is primarily due to lower expense trends. Shuttles Services (page 1, line 25) is \$0.5 million lower than budget due to reduction or suspended service as result of low ridership. Facilities & Equipment Maintenance (page 1, line 30) is lower than budget by \$0.8 million due to lower Clipper Operator Charges as a result of lower ridership. Managing Agency OH (page 1, line 38) is lower than budget by \$1.6M due to the change in the cost allocation methodology effective January 1, 2021. This included an update to the basis for the cost allocations. As a result, the managing agency overhead costs to the JPB is expected to decrease. Professional Services (page 1, line 40) is lower than budget by \$0.1 million as a result of under-runs in various planning studies.

**Year to Date Revenues:** As of December year-to-date actual, the Grand Total Revenue (page 1, line 17) is \$0.5 million higher than the approved budget. This is

primarily driven by Farebox Revenue (page 1, line 1) which is partially offset by less revenues in Shuttles (page 1, line 3) and JPB Member Agencies (page 1, line 12).

**Year to Date Expenses:** As of December year-to-date actual, the Grand Total Expense (page 1, line 48) is \$6.1 million lower than the approved budget. This is primarily driven by Facilities and Equipment Maintenance (page 1, line 30), Maint & Services-Bldg & Other (page 1, line 32), Professional Services (page 1, line 40) and Other Office Expenses and Services (page 1, line 42).

**Other Information:** The Agency accounts for revenue and expenditures on a modified cash basis (only material revenues and expenses are accrued) in the monthly financial statements. Due to the impact of Covid-19 pandemic, the variance between the current year actual and the budget shows noticeable variances due to the timing of expenditures.

**BUDGET IMPACT**

There are no budget amendments for the month of December 2020.

**STRATEGIC INITIATIVE**

This item does not achieve a strategic initiative.

Prepared By : Thwe Han, Accountant II

650-508-7912

Jennifer Ye, Manager, General Ledger

650-622-7890

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STATEMENT OF REVENUE AND EXPENSE**  
**Fiscal Year 2021**  
**December 2020**

	% OF YEAR ELAPSED						50.0%
	JULY - DECEMBER				ANNUAL		
	CURRENT ACTUAL	APPROVED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE
<b>REVENUE</b>							
<b>OPERATIONS:</b>							
1 Farebox Revenue	17,938,465	16,415,496	1,522,969	9.3%	32,029,149	32,029,149	-
2 Parking Revenue	184,067	253,564	(69,498)	(27.4%)	372,718	372,718	-
3 Shuttles	766,312	922,415	(156,103)	(16.9%)	2,031,246	1,773,647	(257,599)
4 Rental Income	571,904	563,452	8,452	1.5%	1,111,804	1,111,804	-
5 Other Income	812,956	812,757	199	0.0%	1,764,000	1,764,000	-
6							
7 <b>TOTAL OPERATING REVENUE</b>	<b>20,273,705</b>	<b>18,967,684</b>	<b>1,306,021</b>	<b>6.9%</b>	<b>37,308,917</b>	<b>37,051,318</b>	<b>(257,599)</b>
8							
<b>CONTRIBUTIONS:</b>							
9 AB434 Peninsula & TA Shuttle Funding	1,200,737	866,849	333,888	38.5%	1,737,950	1,737,950	-
10 Operating Grants	2,400,135	2,353,128	47,007	2.0%	12,808,500	12,808,500	-
11 JPB Member Agencies	16,425,767	17,616,569	(1,190,802)	(6.8%)	28,809,434	28,809,434	-
12 CARES ACT Fund	41,509,536	41,507,983	1,553	0.0%	41,507,983	41,507,983	-
13							
14 <b>TOTAL CONTRIBUTED REVENUE</b>	<b>61,536,175</b>	<b>62,344,529</b>	<b>(808,354)</b>	<b>(1.3%)</b>	<b>84,863,867</b>	<b>84,863,867</b>	<b>-</b>
15							
16 <b>GRAND TOTAL REVENUE</b>	<b>81,809,880</b>	<b>81,312,213</b>	<b>497,667</b>	<b>0.6%</b>	<b>122,172,784</b>	<b>121,915,185</b>	<b>(257,599)</b>
17							
<b>EXPENSE</b>							
<b>OPERATING EXPENSE:</b>							
19 Rail Operator Service	46,506,889	46,319,462	187,427	0.4%	85,109,942	85,109,942	-
20 Security Services	3,149,492	3,385,954	(236,462)	(7.0%)	6,746,908	6,746,908	-
21 Shuttle Services	1,701,258	1,815,082	(113,824)	(6.3%)	4,057,249	3,542,715	(514,534)
22 Fuel and Lubricants	2,670,405	3,077,019	(406,614)	(13.2%)	5,930,523	5,930,523	-
23 Timetables and Tickets	-	51,666	(51,666)	(100.0%)	110,000	110,000	-
24 Insurance	5,168,031	5,203,333	(35,302)	(7%)	5,410,000	5,410,000	-
25 Claims, Payments, and Reserves	265,811	478,635	(212,824)	(44.5%)	960,000	960,000	-
26 Facilities and Equipment Maintenance	768,200	2,373,608	(1,605,408)	(67.6%)	4,813,563	4,063,563	(750,000)
27 Utilities	891,802	1,359,579	(467,777)	(34.4%)	2,731,385	2,731,385	-
28 Maint & Services-Bldg & Other	96,579	814,491	(717,912)	(88.1%)	1,590,000	1,590,000	-
29							
30 <b>TOTAL OPERATING EXPENSE</b>	<b>61,218,467</b>	<b>64,878,829</b>	<b>(3,660,362)</b>	<b>(5.6%)</b>	<b>117,459,570</b>	<b>116,195,036</b>	<b>(1,264,534)</b>
31							
<b>ADMINISTRATIVE EXPENSE</b>							
32 Wages and Benefits	5,228,302	5,839,537	(611,235)	(10.5%)	10,926,318	10,926,318	-
33 Managing Agency Admin OH Cost	1,922,306	2,569,676	(647,370)	(25.2%)	5,139,352	3,583,761	(1,555,591)
34 Board of Directors	7,114	11,025	(3,911)	(35.5%)	11,025	11,025	-
35 Professional Services	1,502,014	2,229,754	(727,740)	(32.6%)	5,400,000	5,255,000	(145,000)
36 Communications and Marketing	37,516	95,583	(58,067)	(60.8%)	136,000	136,000	-
37 Other Office Expenses and Services	459,114	1,246,962	(787,848)	(63.2%)	3,034,254	3,034,254	-
38							
39 <b>TOTAL ADMINISTRATIVE EXPENSE</b>	<b>9,156,365</b>	<b>11,992,537</b>	<b>(2,836,172)</b>	<b>(23.6%)</b>	<b>24,646,949</b>	<b>22,946,358</b>	<b>(1,700,591)</b>
40							
41 Long Term Debt Expense	1,633,263	1,190,876	442,387	37.1%	2,381,752	2,381,752	-
42							
43 <b>GRAND TOTAL EXPENSE</b>	<b>72,008,095</b>	<b>78,062,242</b>	<b>(6,054,147)</b>	<b>(7.8%)</b>	<b>144,488,271</b>	<b>141,523,146</b>	<b>(2,965,125)</b>
44							
45 <b>NET SURPLUS / (DEFICIT)</b>	<b>9,801,785</b>	<b>3,249,971</b>	<b>6,551,814</b>	<b>201.6%</b>	<b>(22,315,487)</b>	<b>(19,607,961)</b>	<b>2,707,526</b>
46							
47							
48							
49							
50							
51							



BOARD OF DIRECTORS 2020

**DAVE PINE**, CHAIR  
 DEVORA "DEV" DAVIS, VICE  
 CHAIR  
 STEVE HEMINGER  
 JENNIE BRUINS  
 RON COLLINS  
 CINDY CHAVEZ  
 SHAMANN WALTON  
 CHARLES STONE  
 MONIQUE ZMUDA

JIM HARTNETT  
 EXECUTIVE DIRECTOR

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF DECEMBER 31, 2020

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.540%	10,036,765	10,036,765
County Pool (Unrestricted)		Liquid Cash	0.998%	553,344	553,344
Other (Unrestricted)		Liquid Cash	0.050%	49,955,936	49,955,936
Other (Restricted)	**	Liquid Cash	0.050%	13,653,924	13,653,924
				\$ 74,199,969	\$ 74,199,969

Interest Earnings for December 2020                   \$    1,719.54  
 Cumulative Earnings FY2021                         \$  16,660.13

\* The market value of Local Agency Investment Fund (LAIF) is calculated annually and is derived from the fair value factor as reported by LAIF for quarter ending June 30th each year.

\*\* Prepaid Grant funds for Homeland Security, PTMISEA and LCTOP projects, and funds reserved for debt repayment. The Portfolio and this Investment Report comply with the Investment Policy and the provisions of SB 564 (1995). The Joint Powers Board has the ability to meet its expenditure requirements for the next six months.

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: April Chan  
Chief Officer, Planning, Grants and  
Transportation Authority

Derek Hansel  
Chief Financial Officer

SUBJECT: **AUTHORIZATION TO ENTER INTO FUNDING AGREEMENTS FOR THE SAN FRANCISCO DOWNTOWN EXTENSION PROJECT AND AMEND TO INCREASE THE FISCAL YEAR 2021 CAPITAL BUDGET TO INCLUDE \$200,000 FOR THE PROJECT AND REFLECT A CUMULATIVE INCREASE OF \$26,100,000 FOR A NEW TOTAL BUDGET OF \$112,559,772**

**ACTION**

Staff Coordinating Council recommends the Board:

1. Authorize the Executive Director, or his designee, to enter into funding agreements with the Transbay Joint Powers Authority (TJPA) and San Francisco County Transportation Authority (SFCTA) to receive up to \$260,000 in funds for planning work associated with the San Francisco Downtown Extension Project (DTX), in forms approved by legal counsel; and
2. Increase the DTX project Budget by \$200,000, from \$60,000 to \$260,000, and amend to increase the total Fiscal Year 2020-21 (FY2021) Capital Budget to \$112,559,772; and
3. Authorize the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to the resolution.

**SIGNIFICANCE**

The Peninsula Corridor Joint Powers Board (JPB) has been working cooperatively with SFCTA, TJPA, and other external stakeholders including the Metropolitan Transportation Commission (MTC) and the California High Speed Rail Authority (CHSRA) to assess the operational impacts of various service and infrastructure configurations (Operations Analysis) as part of DTX, which would extend Caltrain and high speed rail to the new Salesforce Transit Center.



SFCTA initially planned to provide \$60,000 toward the Operations Analysis; these funds were included in the adopted FY2021 Capital Budget to allow the planning activities to proceed while the JPB developed a more refined scope and budget for this effort.

The total cost of the Operations Analysis is now estimated at \$260,000, and SFCTA and TJPA have agreed to provide an additional \$200,000 to complete the Operations Analysis, comprised of an additional \$15,000 from SFCTA and \$185,000 from TJPA. The Operations Analysis is anticipated to be completed this spring.

The proposed Board action would authorize the Executive Director, or his designee, to enter into a funding agreements (1) with SFCTA for up to \$75,000, and (2) with TJPA for up to \$185,000, to complete the Operations Analysis.

### **BUDGET IMPACT**

In adopting the FY2021 Capital Budget, the Board approved \$60,000 for the DTX project. This request includes an increase in DTX funds in the FY2021 Capital Budget by \$200,000, of which \$185,000 will be provided by TJPA and \$15,000 will be provided by SFCTA. Funds provided by SFCTA are in addition to the JPB member agencies' \$6,000,000 per partner commitments toward the FY2021 Capital Budget.

The Board of Directors is also being asked to add \$25,900,000 to the FY2021 Capital Budget for the 25th Avenue Grade Separation Project at this February 4 Board meeting. Attachment B shows both of the proposed increases, cumulatively increasing the Capital Budget by \$26,100,000 from \$86,459,772 to \$112,559,772.

### **BACKGROUND**

The JPB and DTX stakeholders are leading the Operations Analysis portion of the overall project planning of the \$4 billion DTX project. The analysis will include operational requirements at different points in the future based on Caltrain's and CHSRA's respective business plans and will identify the infrastructure needed by both agencies for operating scenarios ranging from 6 trains per hour per day (tphpd) to 12 tphpd.

Prepared by: Peter Skinner, Director, Grants and Fund Management 650.622.7818

**RESOLUTION NO. 2021-**

**BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD  
STATE OF CALIFORNIA**

**\* \* \***

**AUTHORIZING FUNDING AGREEMENTS FOR THE SAN FRANCISCO DOWNTOWN EXTENSION  
PROJECT AND AMENDING THE FISCAL YEAR 2020-21 CAPITAL BUDGET TO ADD \$200,000  
FOR THIS PROJECT**

**WHEREAS**, the Peninsula Corridor Joint Powers Board (JPB) has been working cooperatively with the San Francisco County Transportation Authority (SFCTA) and the Transbay Joint Powers Authority (TJPA) to assess the operational impacts of various service and infrastructure configurations (Operations Analysis) as part of the Downtown Extension Project (DTX); and

**WHEREAS**, DTX would extend Caltrain and high speed rail to the new Salesforce Transit Center in San Francisco; and

**WHEREAS**, the Operations Analysis will identify the infrastructure needed by both agencies for operating scenarios ranging from 6 trains per hour per day (tphpd) to 12 tphpd; and

**WHEREAS**, the Fiscal Year 2020-21 (FY2021) Capital Budget previously adopted by the JPB included \$60,000 from SFCTA to support the Operations Analysis; and

**WHEREAS**, the work required to complete the Operations Analysis has now been fully scoped and the cost estimate to complete the study is \$260,000; and

**WHEREAS**, SFCTA and TJPA have agreed to provide an additional \$200,000 to complete the project, comprised of an additional \$15,000 coming from SFCTA and \$185,000 from TJPA; and

**WHEREAS**, the Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors:

1. Authorize the Executive Director, or his designee, to enter into funding agreements with (1) SFCTA for up to \$75,000 and (2) TJPA for up to \$185,000, to complete the Operations Analysis, in forms approved by legal counsel; and
2. Amend to increase funds in the Fiscal Year 2020-21 (FY2021) Capital Project Budget for the Operations Analysis by \$200,000, as reflected in Attachment B, for a new total FY2021 Capital Budget of \$112,559,772; and
3. Authorize the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to this resolution.

**NOW, THEREFORE, BE IT RESOLVED** that the Peninsula Corridor Joint Powers Board hereby:

1. Authorizes the Executive Director, or his designee, to enter into funding agreements with the Transbay Joint Powers Authority and the San Francisco County Transportation Authority to receive up to \$260,000 in funds to complete the Operations Analysis associated with the San Francisco Downtown Extension Project; and
2. Amends to increase the budget for the Operations Analysis by \$200,000, for a new budget of \$260,000; and
3. Amends the Fiscal Year 2020-21 Capital Budget for a cumulative increase of \$26.1 million, as reflected in Attachment A and representing the requested increase from two capital projects, namely the 25th Avenue Grade Separation Project and the Caltrain Downtown Rail Extension Project, both presented for consideration at this February 4, 2021 Board of Directors meeting; and

4. Authorizes the Executive Director, or his designee, to file any other required documentation and to take any other actions necessary to give effect to this resolution.

Regularly passed and adopted this 4<sup>th</sup> day of February, 2021 by the following

vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTESTS:

Secretary





FY2020-2021 CAPITAL BUDGET

Item #	PROJECT NAME	Activity	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	AMENDMENT #2	AMENDMENT #3	AMENDMENT #4	Proposed FY21 CAPITAL BUDGET	Federal Funds	Federal De-allocate to Operating	State Funds	STA SOGR Funds	Member Funds Total	Other					Other Funds Total	Transfers from CCF	Proposed Amended FY21 CAPITAL BUDGET		
															Project Savings	AB664	SF Prop K other	Regional Funds	San Mateo County Transportation Authority				Other	
<b>III. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS</b>																								
4	Positive Train Control Litigation <sup>3</sup>	16	-	6,600,000					6,600,000	-	-	-	-	-	-	-	-	-	-	-	6,600,000	6,600,000	6,600,000	
5	Wayside Bike Parking Improvements <sup>4</sup>	16	4,000,000	349,322	1,040,000				1,389,322	-	-	-	-	-	-	-	-	-	-	1,240,000	-	149,322	1,389,322	1,389,322
27	Grade Crossing Hazard Analysis Data Collection	16	-		200,000				200,000	-	-	-	-	200,000	-	-	-	-	-	-	-	-	-	200,000
28	FY21 Grade Crossing Safety Improvements Design	13	-		500,000				500,000	-	-	-	-	500,000	-	-	-	-	-	-	-	-	-	500,000
29	EAM – Enterprise Asset Management software system	16	-		750,000				750,000	-	-	-	-	750,000	-	-	-	-	-	-	-	-	-	750,000
30	Update and Upgrade GIS system	16	-		500,000				500,000	-	-	-	-	500,000	-	-	-	-	-	-	-	-	-	500,000
31	San Mateo Grade Crossing Improvements	13	-		1,600,000	400,000			2,000,000	-	-	2,000,000	-	-	-	-	-	-	-	-	-	-	-	2,000,000
32	Broadway Burlingame Grade Separation <sup>9</sup>	13	4,550,000		19,838,000				19,838,000	-	-	-	-	-	-	-	-	-	-	-	18,338,000	1,500,000	19,838,000	19,838,000
				6,949,322	24,428,000	400,000			31,777,322	-	-	2,000,000	-	1,950,000	-	-	-	-	-	1,240,000	18,338,000	8,249,322	27,827,322	31,777,322
<b>IV. PLANNING/STUDIES</b>																								
6	22nd St. ADA Feasibility Study <sup>5</sup>	11	300,000	50,000	-				50,000	-	-	-	-	-	50,000	-	-	-	-	-	-	-	50,000	50,000
7	Business Plan <sup>6</sup>	11	5,537,118	509,157	-				509,157	-	-	-	-	-	-	-	-	-	-	-	-	509,157	509,157	509,157
33	Capital Planning (CIP)	11	750,000		1,250,000				1,250,000	-	-	-	-	1,250,000	-	-	-	-	-	-	-	-	-	1,250,000
34	San Francisco Station and Terminal Planning	11	-		1,000,000				1,000,000	-	-	-	-	1,000,000	-	-	-	-	-	-	-	-	-	1,000,000
35	Diridon and South Terminal Area	11	-		1,000,000				1,000,000	-	-	-	-	1,000,000	-	-	-	-	-	-	-	-	-	1,000,000
36	Rail Network and Operations Planning	11	-		1,250,000				1,250,000	-	-	-	-	1,250,000	-	-	-	-	-	-	-	-	-	1,250,000
37	Redwood City Station Planning	11	-		750,000				750,000	-	-	-	-	750,000	-	-	-	-	-	-	-	-	-	750,000
38	Caltrain Downtown Rail Extension (DTX) <sup>11</sup>	11	-		60,000			200,000	260,000	-	-	-	-	-	-	-	75,000	-	-	-	-	185,000	260,000	260,000
39	System-wide Planning and Policy & Org. Design	11	-		1,168,468				1,168,468	-	-	-	-	967,175	-	-	201,293	-	-	-	-	-	201,293	1,168,468
40	Capital Contingency Funds - Engineering		-		330,000				330,000	-	-	-	-	330,000	-	-	-	-	-	-	-	-	-	330,000
41	Capital Contingency Funds - Rail		-		660,000				660,000	-	-	-	-	660,000	-	-	-	-	-	-	-	-	-	660,000
42	Capital Program Management		-		335,000				335,000	-	-	-	-	335,000	-	-	-	-	-	-	-	-	-	335,000
43	Capital Project Development		-		335,000				335,000	-	-	-	-	335,000	-	-	-	-	-	-	-	-	-	335,000
44	Transfers from Prior Year Capital Contingency Funds		-				(1,250,000)	200,000	(1,250,000)	-	-	-	-	-	-	-	-	-	-	-	-	-	(1,250,000)	(1,250,000)
				559,157	8,138,468	-	(1,250,000)	200,000	7,647,625	-	-	-	-	7,877,175	50,000	-	276,293	-	-	-	694,157	1,020,450	(1,250,000)	7,647,625
	<b>TOTAL</b>			19,119,479	65,035,293	(1,820,000)	4,125,000	26,100,000	112,559,772	18,261,021	(2,220,000)	2,915,000	1,350,915	18,000,000	2,790,064	640,000	276,293	1,240,000	46,263,000	23,043,479	74,252,836	-	112,559,772	

<sup>1</sup> Other funds includes project savings from the Los Gatos Bridge Replacement project (\$2,102,558) and from the San Mateo Bridge Replacement project (\$456,881) made up of Federal Section 5337 funds (\$1,421,946), prior years VTA funds (\$901,073) and SM funds (\$236,402) and deobligated Prop K funds (\$180,624)

<sup>2</sup> Insurance proceeds and/or Operating funds

<sup>3</sup> Litigation costs funded by operating funds

<sup>4</sup> San Carlos Transit Village LLC (\$149,322) and Bay Area Air Quality Management District (BAAQMD \$1,240,000)

<sup>5</sup> Prior year SF member funds

<sup>6</sup> Unspent funds from Project 100337 Mega Regional Rail Planning (FY19 \$75k) and from Project 100458 Service & Access Planning (FY20 \$434,157)

<sup>7</sup> Request only for board authority; funding will begin upon commencement of the electrified service from designated operational savings

<sup>8</sup> Section 130

<sup>9</sup> SMCTA and City of Burlingame(\$1.5 million)

<sup>10</sup> identifies the projects that will be funded by VTA Measure B funds of \$2.5 million

<sup>11</sup> Transfer of prior years balances from CCF Rail (FY19 & FY20) to the Marin Napoleon Bridge Replacement project.

<sup>12</sup> DTX - Other funds: Trans Bay Joint Powers Authority (TJPA) will provide \$185k.

<sup>13</sup> 25th Grade Sep - Other funds: \$2.1M from City of San Mateo

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Rail

SUBJECT: **INCREASE THE CONTRACT CHANGE ORDER AUTHORITY FOR CONSTRUCTION OF THE 25TH AVENUE GRADE SEPARATION PROJECT BY \$12,100,000 AND AMEND TO INCREASE THE FISCAL YEAR 2021 CAPITAL BUDGET TO INCLUDE \$25,900,000 FOR THE PROJECT AND REFLECT A CUMULATIVE INCREASE OF \$26,100,000 FOR A NEW TOTAL BUDGET OF \$112,559,772**

**ACTION**

Staff Coordinating Council recommends that the Board of Directors (Board):

1. Increase the Executive Director's contract change order authority for the 25th Avenue Grade Separation Project (Project) in an amount not to exceed \$12.1 million;
2. Increase the Project budget by \$25.9 million, from \$180.0 million to \$205.9 million, and amend to increase the total Fiscal Year 2020-21 (FY2021) Capital Budget to \$112,559,772; and
3. Authorize the Executive Director or his designee to take any actions necessary to give effect to the above actions, including the execution of amendments to funding agreements with the City of San Mateo (City) and San Mateo County Transportation Authority (TA) to provide funding to complete the Project.

This item is presented to the Finance Committee for concurrence and to the Work Program - Legislative - Planning Committee as an informational Project update.

**SIGNIFICANCE**

The Peninsula Corridor Joint Powers Board (JPB) awarded a contract to Shimmick/Disney Joint Venture for construction of the Project in 2017 at a cost not to exceed \$82.89 million (Contract), with a Contract contingency of \$16.578 million. The Contract change order authority was increased by \$7 million in 2019. When the Contract was initially awarded, the total Project budget was \$180 million.

Several significant and unforeseen circumstances have occurred since 2017, resulting in the Contract and Project requiring increases to their budget capacities by \$12.1 million

and \$25.9 million, respectively, to complete the Project. These circumstances were largely related to utility coordination and relocation that was not accounted for in the original Project scope. Some of the resulting costs are being paid for out of the existing Project contingency. A more detailed description of these circumstances is provided below.

- Union Pacific Third Party Fiber Optic line (TPFOC) and AT&T lines: These underground communications facilities were in conflict with the Project and needed to be relocated, which resulted in approximately 500 days of delay. While the utility relocation work is complete, this delay increased Project costs by \$14 million.
- PG&E High Pressure Gas (HPG) Pipeline: This pipeline was in conflict with the Project construction and needed to be relocated outside the Project area. PG&E had obtained permanent easement rights to place their gas line within the railroad right of way when the railroad was owned by Southern Pacific, prior to purchase of the railroad by the Peninsula Corridor Joint Powers Board (JPB). There were no provisions in the easements requiring PG&E to bear the cost of relocation. The cost of this pipeline relocation is \$18 million.
- Additional administrative, materials, and labor escalation costs due to the overall delay in completion of the Project.
- Re-design of affected Project elements to accommodate the newly-relocated TPFOC and AT&T lines.
- Utility connections to new Caltrain facilities: The design of these utilities was finalized after the original Contract award, causing an increase in the overall construction cost.
- Costs for removing contaminated soil and improving ground conditions related to unsuitable and unforeseen subsurface issues.
- Contingency for ongoing field adjustments to various structural components, roadways, the Hillsdale station, and the station parking lot.
- Contingency for upcoming change order work and open risk register items, including: COVID-19 related claims and differing site conditions.
- Costs associated with modifying the design and eventual construction of a set-out track to address nearby community concerns.

The following table provides a comparison of the original and revised Project costs. While some of the cost increases can be covered by the existing Contract contingency, additional funding will be needed to fully fund the cost increases. Additional information on Project cost increases, challenges, and status will be provided via a PowerPoint presentation at the January 2021 Finance Committee meeting and February 2021 Board of Directors (Board) meeting.



Project Phase/Component	Original Cost Estimate	Updated Costs
Pre-Construction Costs	\$14.7 M	\$15.0 M
Construction Contract	\$84.9	\$117.3
Utilities and Right of Way	\$12.0	\$31.9
Construction management	\$28.6	\$38.2
Contingency	\$39.8	\$5.3
Repayment from JPB*		(\$1.8)
<b>Total</b>	<b>\$180.0 M</b>	<b>\$205.9 M</b>

*\*Repayment of costs associated with installation of overhead centenary system foundations from the Peninsula Corridor Electrification Project*

At the City's request, the TA has allocated \$23.8 million in additional Measure A funding for the Project, which will be supplemented by \$2.1 million from the City, to cover cost increases in the Project budget from \$180.0 million to \$205.9 million.

The revised funding plan for the Project is as follows:

Fund Source	Original Contribution	Additional	Updated
Measure A	\$ 74.0M	\$23.8M	\$97.8M
City of San Mateo	\$ 12.0	\$ 2.1	\$14.1
California High Speed Rail	\$ 84.0		\$84.0
<u>Caltrans Section 190</u>			<u>\$ 10.0</u>
	\$180.0 M	\$25.9 M	\$205.9 M

### **BUDGET IMPACT**

In 2017, the Board of Directors budgeted \$180.0 million for the Project. The additional budget request of \$25.9 million will be funded as follows: \$23.8 million from the TA and \$2.1 million from the City.

The Board of Directors is also being asked to add \$200,000 to the FY2021 Capital Budget for the San Francisco Downtown Extension Project at this February 4 Board meeting. Attachment B shows both of the proposed increases, cumulatively increasing the Capital Budget by \$26,100,000 from \$86,459,772 to \$112,559,772.

### **BACKGROUND**

The 25th Avenue Grade Separation Project will raise the tracks and slightly lower the road (grade separate) at E. 25th Avenue in San Mateo. In addition to separating the tracks and road at E. 25th Avenue, the Project will complete east-west street connections at 28th and 31st Avenues. The Project will also construct a new elevated Hillsdale Station located at E. 28th Avenue. The new station will offer updated amenities and will improve safety and reduced traffic. The City is the sponsor of this Project, with JPB as the lead implementing agency for Project design and construction.

The Project scope and associated funding plan were developed based on the assumption that the Project would incorporate certain scope elements that would enable the Peninsula Corridor Electrification Program (PCEP) and would be completed in time to avoid conflicts with construction of PCEP. It was determined that waiting until after PCEP to complete the Project would greatly increase the Project's complexity and

costs. As a result, the City and JPB opted to award the construction contract by mid-2017, while working in parallel on the relocation of several utilities and the resolution of other right-of-way issues. While it is unfortunate that resolving these issues took longer than anticipated, the construction of this Project before completion of PCEP is still economically more advantageous for all of the public agencies involved, and less disruptive to the local community, than waiting to implement the Project until after the completion of PCEP.

Prepared by: Joy Sharma, Project Manager

650.489.8161

**RESOLUTION NO. 2021 –**

**BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD  
STATE OF CALIFORNIA**

\* \* \*

**INCREASING THE CONTRACT CHANGE ORDER AUTHORITY FOR CONSTRUCTION OF  
THE 25<sup>TH</sup> AVENUE GRADE SEPARATION PROJECT BY \$12,100,000 AND AMENDING THE FISCAL  
YEAR 2020-21 CAPITAL PROJECT BUDGET TO ADD \$25,900,000 FOR THIS PROJECT**

**WHEREAS**, on July 6, 2017, pursuant to Resolution No. 2017-32, the Peninsula Corridor Joint Powers Board (JPB) awarded a contract to Shimmick/Disney Joint Venture (Contract) to construct the 25<sup>th</sup> Avenue Grade Separation Project (Project), in an amount not to exceed \$82,890,000; and

**WHEREAS**, the Executive Director's original Contract change order authority was established at 20 percent of the total Contract amount, or \$16,578,000; and

**WHEREAS**, pursuant to Resolution 2019-25, adopted on July 11, 2019, the Executive Director's original Contract change order authority was increased by \$7,000,000 to \$23,578,000; and

**WHEREAS**, additional change orders in the amount of \$12,100,000 are needed to address work associated with third-party utilities and for design changes, time, and time-related costs associated with a delay in relocating third-party fiber optic utilities, and additional changes due to differing site conditions; and

**WHEREAS**, the above-referenced Contract change orders, as well as third-party costs including utility relocations, require that the Project budget be increased by \$25,900,000, from \$180,000,000 to \$205,900,000; and

**WHEREAS**, Project funders the San Mateo County Transportation Authority (TA) and

the City of San Mateo (City) have authorized increases to their contributions to the Project;  
and

**WHEREAS**, the Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors (Board):

1. Increase the Executive Director's Contract change order authority in an amount not to exceed \$12,100,000, which will permit execution of essential change orders required for the Project;
2. Amend to increase funds in the Fiscal Year 2020-21 (FY2021) Capital Budget for the Project by \$25,900,000, as reflected in Attachment B, for a new total FY2021 Capital Budget of \$112,559,772
3. Authorize the Executive Director, or his designee, to take whatever actions may be necessary, including executing amendments to funding agreements with the City and the TA, to provide funding to complete the Project.

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby:

1. Increases the Executive Director's change order authority for the Contract with Shimmick/Disney Joint Venture for the 25<sup>th</sup> Avenue Grade Separation Project in an amount not to exceed \$12,100,000, for a total not-to-exceed revised Contract authority amount of \$118,568,000; and
2. Increases the overall Project budget by \$25,900,000, from \$180,000,000 to \$205,900,000; and
3. Amends the Fiscal Year 2020-21 Capital Budget for a cumulative increase of \$26.1 million, as reflected in Attachment A and representing the requested

increase from two capital projects, namely the 25<sup>th</sup> Avenue Grade Separation Project and the Caltrain Downtown Rail Extension Project, both presented for consideration at this February 4, 2021 Board of Directors meeting; and

4. Authorizes the Executive Director or his designee to take any actions necessary to give effect to this Resolution and to receive the requisite funding from the City of San Mateo and San Mateo County Transportation Authority to complete the Project.

Regularly passed and adopted this 4th day of February, 2021 by the following

vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTESTS:

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Secretary





FY2020-2021 CAPITAL BUDGET

Item #	PROJECT NAME	Activity	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	AMENDMENT #2	AMENDMENT #3	AMENDMENT #4	Proposed FY21 CAPITAL BUDGET	Federal Funds	Federal De-allocate to Operating	State Funds	STA SOGR Funds	Member Funds Total	Other					Other Funds Total	Transfers from CCF	Proposed Amended FY21 CAPITAL BUDGET		
															Project Savings	AB664	SF Prop K other	Regional Funds	San Mateo County Transportation Authority				Other	
<b>III. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS</b>																								
4	Positive Train Control Litigation <sup>3</sup>	16	-	6,600,000					6,600,000	-	-	-	-	-	-	-	-	-	-	6,600,000	6,600,000	-	6,600,000	
5	Wayside Bike Parking Improvements <sup>4</sup>	16	4,000,000	349,322	1,040,000				1,389,322	-	-	-	-	-	-	-	-	-	1,240,000	-	149,322	1,389,322	1,389,322	
27	Grade Crossing Hazard Analysis Data Collection	16	-		200,000				200,000	-	-	-	-	200,000	-	-	-	-	-	-	-	-	200,000	
28	FY21 Grade Crossing Safety Improvements Design	13	-		500,000				500,000	-	-	-	-	500,000	-	-	-	-	-	-	-	-	500,000	
29	EAM – Enterprise Asset Management software system	16	-		750,000				750,000	-	-	-	-	750,000	-	-	-	-	-	-	-	-	750,000	
30	Update and Upgrade GIS system	16	-		500,000				500,000	-	-	-	-	500,000	-	-	-	-	-	-	-	-	500,000	
31	San Mateo Grade Crossing Improvements	13	-		1,600,000	400,000			2,000,000	-	-	2,000,000	-	-	-	-	-	-	-	-	-	-	2,000,000	
32	Broadway Burlingame Grade Separation <sup>9</sup>	13	4,550,000		19,838,000				19,838,000	-	-	-	-	-	-	-	-	-	-	18,338,000	1,500,000	19,838,000	19,838,000	
				6,949,322	24,428,000	400,000			31,777,322	-	-	2,000,000	-	1,950,000	-	-	-	-	1,240,000	18,338,000	8,249,322	27,827,322	-	31,777,322
<b>IV. PLANNING/STUDIES</b>																								
6	22nd St. ADA Feasibility Study <sup>5</sup>	11	300,000	50,000	-				50,000	-	-	-	-	-	50,000	-	-	-	-	-	-	50,000	50,000	
7	Business Plan <sup>6</sup>	11	5,537,118	509,157	-				509,157	-	-	-	-	-	-	-	-	-	-	-	509,157	509,157	509,157	
33	Capital Planning (CIP)	11	750,000		1,250,000				1,250,000	-	-	-	-	1,250,000	-	-	-	-	-	-	-	-	1,250,000	
34	San Francisco Station and Terminal Planning	11	-		1,000,000				1,000,000	-	-	-	-	1,000,000	-	-	-	-	-	-	-	-	1,000,000	
35	Diridon and South Terminal Area	11	-		1,000,000				1,000,000	-	-	-	-	1,000,000	-	-	-	-	-	-	-	-	1,000,000	
36	Rail Network and Operations Planning	11	-		1,250,000				1,250,000	-	-	-	-	1,250,000	-	-	-	-	-	-	-	-	1,250,000	
37	Redwood City Station Planning	11	-		750,000				750,000	-	-	-	-	750,000	-	-	-	-	-	-	-	-	750,000	
38	Caltrain Downtown Rail Extension (DTX) <sup>11</sup>	11	-		60,000			200,000	260,000	-	-	-	-	-	-	-	75,000	-	-	-	185,000	260,000	260,000	
39	System-wide Planning and Policy & Org. Design	11	-		1,168,468				1,168,468	-	-	-	-	967,175	-	-	201,293	-	-	-	-	201,293	1,168,468	
40	Capital Contingency Funds - Engineering		-		330,000				330,000	-	-	-	-	330,000	-	-	-	-	-	-	-	-	330,000	
41	Capital Contingency Funds - Rail		-		660,000				660,000	-	-	-	-	660,000	-	-	-	-	-	-	-	-	660,000	
42	Capital Program Management		-		335,000				335,000	-	-	-	-	335,000	-	-	-	-	-	-	-	-	335,000	
43	Capital Project Development		-		335,000				335,000	-	-	-	-	335,000	-	-	-	-	-	-	-	-	335,000	
44	Transfers from Prior Year Capital Contingency Funds		-				(1,250,000)	200,000	(1,250,000)	-	-	-	-	-	-	-	-	-	-	-	-	(1,250,000)	(1,250,000)	
				559,157	8,138,468	-	(1,250,000)	200,000	7,647,625	-	-	-	-	7,877,175	50,000	-	276,293	-	-	694,157	1,020,450	(1,250,000)	7,647,625	
	<b>TOTAL</b>			19,119,479	65,035,293	(1,820,000)	4,125,000	26,100,000	112,559,772	18,261,021	(2,220,000)	2,915,000	1,350,915	18,000,000	2,790,064	640,000	276,293	1,240,000	46,263,000	23,043,479	74,252,836	-	112,559,772	

<sup>1</sup> Other funds includes project savings from the Los Gatos Bridge Replacement project (\$2,102,558) and from the San Mateo Bridge Replacement project (\$456,881) made up of Federal Section 5337 funds (\$1,421,946), prior years VTA funds (\$901,073) and SM funds (\$236,402) and deobligated Prop K funds (\$180,624)

<sup>2</sup> Insurance proceeds and/or Operating funds

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<sup>12</sup> DTX - Other funds: Trans Bay Joint Powers Authority (TJPA) will provide \$185k.

<sup>13</sup> 25th Grade Sep - Other funds: \$2.1M from City of San Mateo



# 25<sup>th</sup> Avenue Grade Separation Update and Request for Additional Funds



# Agenda Slide

- The Project
- Project Background
- Project Status Update
  - Budget and Schedule Update
- Requested Board Action

# Project Location



# Project Benefits

- East West Access
- Economic Development
- Roadway/Railroad Safety
- Benefit of Completing Project Pre-Electrification

# Project Background

- Project developed by City of San Mateo
- Final \$180 Funding Secured in 2016-2017
  - SMCTA-\$74
  - CPUC-\$10
  - CSM-\$12
  - CHSRA-\$84
- Only project to receive CHSRA (High Speed Rail Authority) Grade Separation funding

# Project Background (cont'd)

- Timing of project construction is to precede Caltrain electrification
  - If project were to delay until after electrification, will likely lose CHSRA funding
  - Completing project post-electrification would cost \$250M (in 2027)
- Project is complex and much has been completed
  - Construction contract was awarded concurrent with utility relocation and permitting. Delays in utility relocation due to UP negotiation has caused cost and delay to the project since Dec 2017 to April 2019.

# Project Update

- Project is 85% complete
- Track is completely separated from vehicular traffic
  - Train service on the berm and bridges since July 2020
- Hillsdale Station work is ongoing-projected opening Spring 2021
- Road work progressing with phased completions
  - 28<sup>th</sup> Avenue-January 2021
  - 25<sup>th</sup> Avenue- June 2021
  - 31<sup>st</sup> Avenue-September 2021

# Project Update (Photos)



28th Ave



28th Ave

# Project Update (Photos)



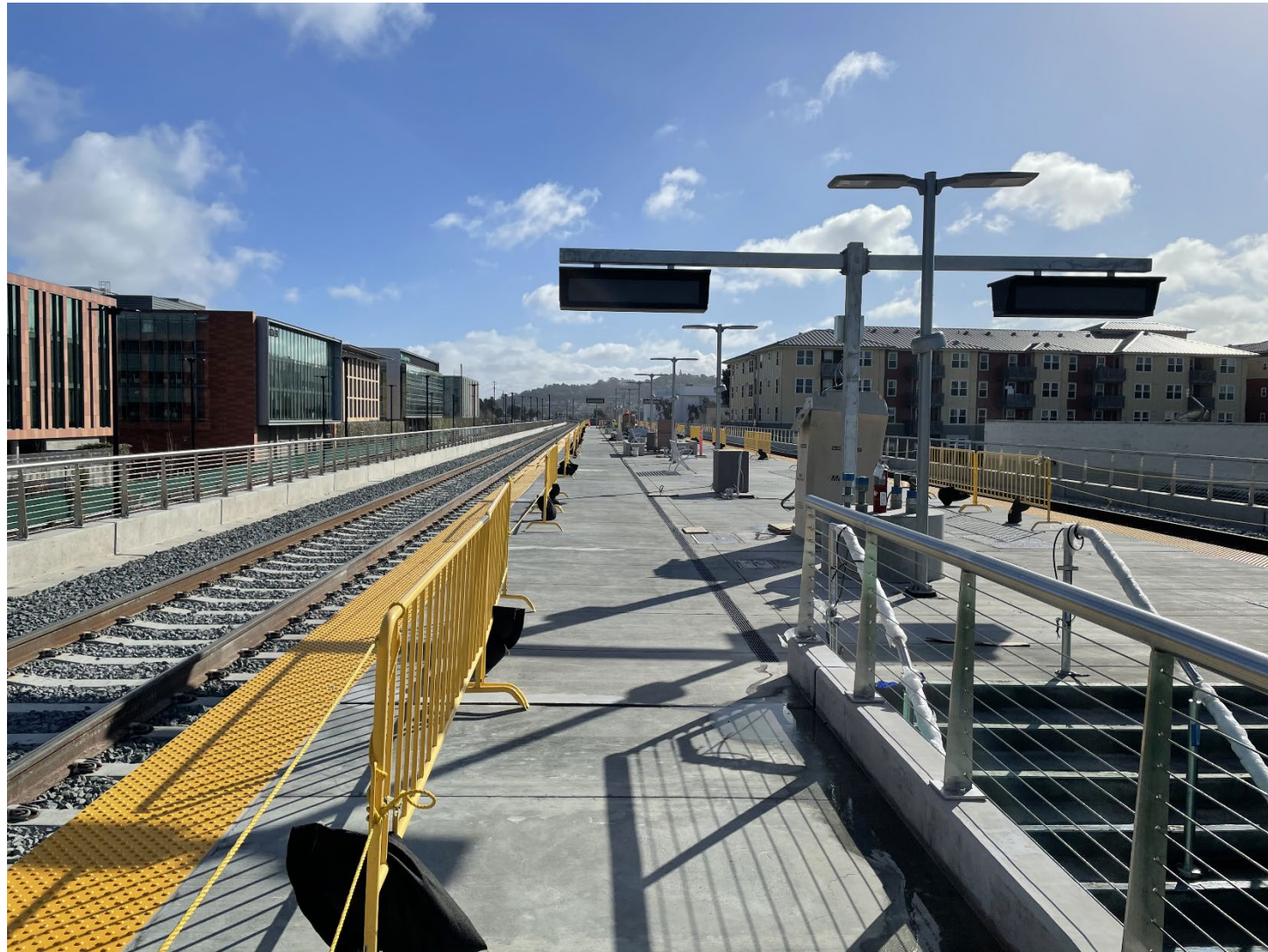
31<sup>st</sup> Ave



31<sup>st</sup> Ave



# Project Update (Photos)



New Hillside Station



Pedestrian Underpass Bridge

# Project Update (Photos)

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South Parking Lot



North Parking Lot

# Project Schedule Overview

- Contract Award-July 2017
- NTP-December 2017
- Original Contract Completion-January 2020
- Current Contract Completion-September 2021

# Construction Challenges

- Project is to precede Caltrain electrification; as a result, construction contract needs to be advertised and awarded in 2017
  - Permits pursued in parallel
  - Major utility relocation pursued in parallel
  - UPRR negotiations impact ability to move fiber optic – Caused delay of more than 500 days
  - PGE not originally budgeted for relocation of high pressure gas line
  - Contaminated soil
  - Additional associated soft costs
  - Last Update to JPB Board was provided in July 2019, which indicated an year delay in construction schedule due to UP FOC Issue
- Additional challenges in 2020: COVID

# Construction Challenges (cont'd)

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- A detailed project analysis was performed between July – Oct 2020
- Deep dive program review establishes new cost to complete

# Project Cost Summary

Description	Post Bid (2017)	Estimate at Completion
Pre-Construction Costs	\$ 14.7	\$ 15.0
Construction Costs	\$ 82.9	\$ 113.2
Parking Track	\$ 2.0	\$ 4.1
Right of way and Utilities	\$ 12.0	\$ 31.9
Construction Management	\$ 28.6	\$ 38.2
Contingency	\$ 39.8	\$ 5.3
PCEP Reimbursable		\$ (1.8)
<b>Total</b>	<b>\$ 180.0</b>	<b>\$ 205.9</b>

- **Additional Funds Request = \$25.9M**

# Additional Funds Request

- City Council of San Mateo approved \$2.1M funds request on Jan 4, 2021
- SMCTA Board of Directors approved \$23.8M funds request on Jan 7, 2021

# Remaining Major Risks

- Still digging at 25<sup>th</sup> and 31<sup>st</sup>
  - Advanced location of remaining utilities
  - Potential soil contamination
  - Unknown ground conditions/unknown utilities
  - Conformance Issues/Traffic Control at El Camino Real and Delaware
  - Covid-19 Impacts
- Program cash flow
  - \$8M left in project budget, project delays and cost escalation if funding not granted



# Board Request

Increase the Total Project Authority By \$25.9M for the 25<sup>th</sup> Ave Grade Separation Project

Increase the Executive Director's Contract Change Order Authority by \$12.1M

# Questions

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Derek Hansel  
Chief Financial Officer

SUBJECT: **FUEL HEDGING UPDATE**

**ACTION**

Staff proposes the Board to review, accept, and enter into the record the presentation providing an update on the implementation of a fuel hedging strategy for Caltrain.

**SIGNIFICANCE**

The purpose of this presentation is to provide an update on the implementation and performance status of the Fuel Hedging Program (Program) established for Caltrain.

Under this program, the staff will continue to work with Linwood Capital, LLC in order to:

- Accumulate new fuel hedge contracts for the upcoming fiscal year as market conditions allow
- Maintain the size of the hedge in order to protect Caltrain's fuels budget against volatile price movements in the diesel fuel market.

**BUDGET IMPACT**

There is no impact to the budget associated with the acceptance of this report. The hedging program itself is being utilized to mitigate impacts to the operating budget from unanticipated changes in fuel prices.

**BACKGROUND**

The Program implemented for Caltrain is designed to minimize large budget variances resulting from the volatility of diesel fuel prices. An effective hedging strategy can increase budget certainty and facilitate more effective utilization of budgetary resources. The purpose of the Program is not to speculate on the price of fuel but to manage risk, particularly as that relates to Caltrain's annual budget.

- As of December 31<sup>st</sup>, the hedge program realized net gains of \$81,502.50 for the time period July, 2020 through December, 2020
- Additionally the hedge currently reflects unrealized gains of \$134,954.40 (+0.0843/gallon on all gallons through June 2021). This assumes projected consumption of 266,666 gallons per month through June 2021.
- Approximately 33.78% of the anticipated fuel usage through June 2021 is hedged at an average price of \$1.30/gallon, excluding taxes and fees (versus a budget estimate of \$1.30/gallon, excluding taxes and fees) (based on a 70 train/day schedule.
- The remaining un-hedged gallons have a projected cost of \$1.53/gallon as of 12/31/2020.
- Weighted average projected cost of all gallons net of hedging as of 12/31/2020 is \$1.45/gallon.

Prepared by: Jayden Sangha, Treasury Manager

650-508-6405



# Fuel Hedging Update for Peninsula Corridor Joint Powers Board



## Linwood Capital, LLC

4316 Eton Place

Edina, Minnesota 55424

Telephone: 612.333.1673

E-mail: [jeff@linwoodcapital.com](mailto:jeff@linwoodcapital.com)

Website: [www.linwoodcapital.com](http://www.linwoodcapital.com)

# Caltrain Fuel Hedge Forecast

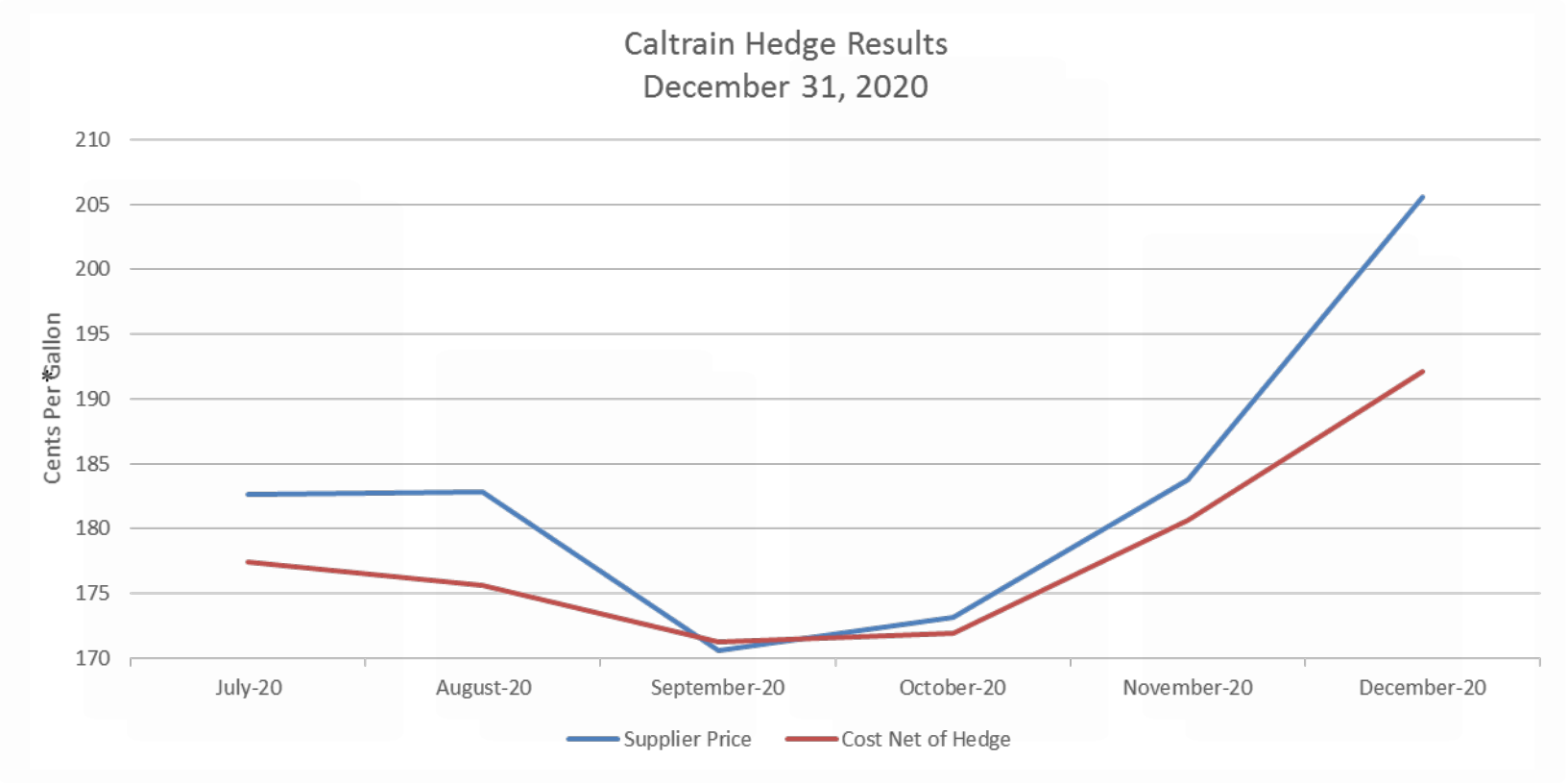
## As of December 31, 2020

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- Percentage Hedge = Approximately 34% of the anticipated diesel usage through June 2021
- Average hedged diesel fuel price = \$1.30/gallon (excluding taxes and fees)
- Unhedged diesel price estimate = \$1.53/gallon, excluding taxes and fees (based on a 70 train/day schedule) as of 12/31/20.

# Caltrain Historical FY 2021 As of December 31<sup>st</sup>

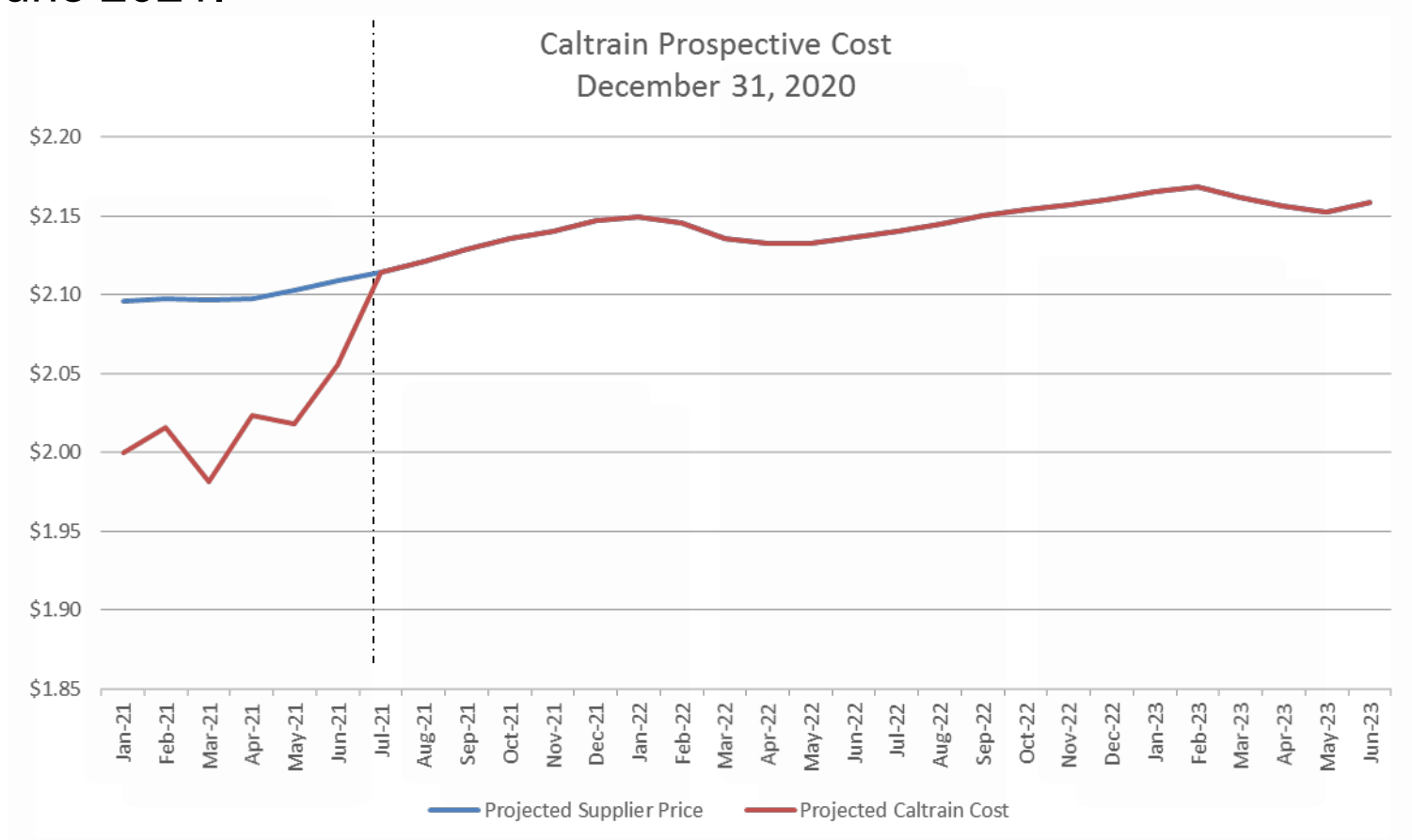
■ Realized Gains: \$81,502.50 since July.



\* Taxes and Fees included in the Fuel Price Figures

# Caltrain Prospective As of December 31<sup>st</sup>.

- Unrealized Gains: +\$134,954.40 (+\$0.0843/gallon) through June 2021.

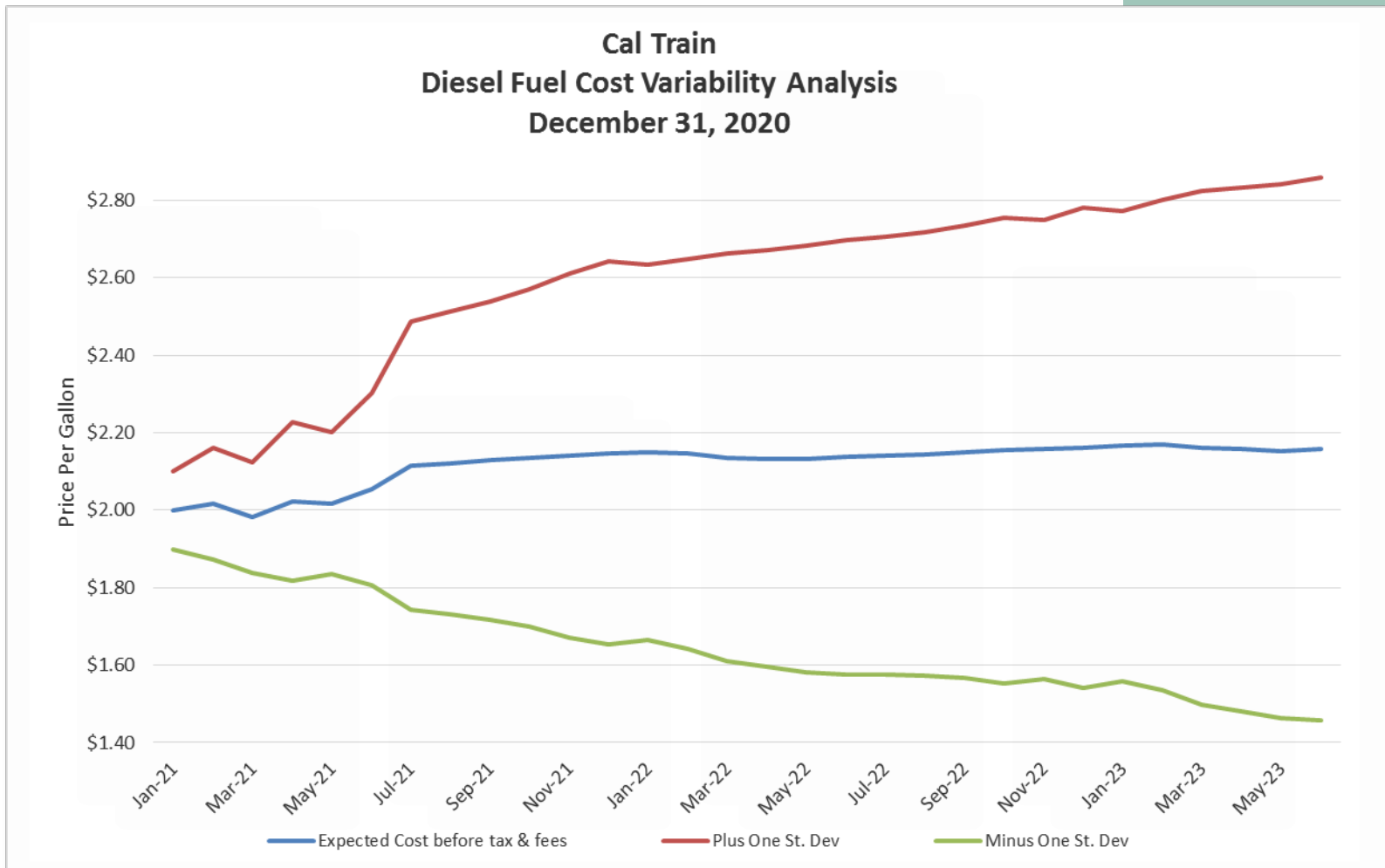


\* Taxes and Fees included in the Fuel Price Figures



# Caltrain Prospective Variability Analysis

## As of December 31<sup>st</sup>.



\* Taxes and Fees included in the Fuel Price Figures

# The Future of Caltrain's Fuel Hedge Strategy

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- Caltrain will continue accumulating new fuel hedge contracts as market conditions allow
- Also, continue to maintain the size of the hedge in order to protect Caltrain's fuel hedge budget against adverse price movement

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

FROM: Michelle Bouchard  
Caltrain Acting Executive Director

SUBJECT: **ADOPTION OF A MITIGATED NEGATIVE DECLARATION FOR THE GUADALUPE RIVER BRIDGE REPLACEMENT PROJECT**

**ACTION**

Adopt the Mitigated Negative Declaration for the Guadalupe River Bridge Replacement Project (Project) and approve construction of the Project.

**SIGNIFICANCE**

Caltrain operates on two bridges over the Guadalupe River, the 1935 MT-1 bridge and 1990 MT-2 bridge, each carrying a single track. The purpose of the proposed Project is to address the structural deficiencies of the MT-1 bridge and the geomorphic instability of the Guadalupe River channel in the vicinity of the MT-1 and MT-2 bridges to provide for long-term public safety and service reliability. The major elements of the Project include replacement of the 1935 MT-1 bridge with a new 265-foot structure, extending the southern end of the MT-2 bridge by 90 feet, and widening the river channel to reduce the risk of scour and bank failure issues during storm events (see attached project overview figure). Project construction will take place in a series of stages to maintain existing rail services, and is estimated to take approximately two years.

**BUDGET IMPACT**

There is no impact on the budget.

**BACKGROUND**

The 1935 MT-1 bridge urgently needs to be replaced with a new structure to maintain safe and reliable operations for all users. The bridge does not meet current railroad structural design standards (including seismic criteria) and, as a result, is vulnerable to collapse in the event of a significant earthquake. The timber structure of MT-1 has been further damaged by multiple fires, most recently a large fire in November 2017.

The MT-1 and MT-2 bridges are located along a sharp meander of the Guadalupe River. The river exhibits a high degree of floodplain fill, channel confinement, and bank failures. Geomorphic issues directly affect the safety and reliability of the railroad bridges because the extent of bank erosion is approaching the bridge abutments. Riverbank failures at MT-2 occurred in 2017 and at both MT-1 and MT-2 in previous years, requiring emergency bank stabilization measures. To address these safety issues and protect the rail bridge asset, Caltrain proposes to widen the channel; replace the MT-1

bridge with a new, longer bridge; and extend the MT-2 bridge on the southern side to help address geomorphic stability issues at the bridge abutments.

Construction of the proposed Project is estimated to take approximately 2 years and is anticipated to begin in January 2022.

To comply with the environmental review process required by the California Environmental Quality Act (CEQA), the Peninsula Corridor Joint Powers Board (JPB) prepared and published a draft Initial Study/Mitigated Negative Declaration (IS/MND) document, which was circulated for review and comment by the public and relevant regulatory agencies. Written comments on the IS/MND document were received from one public agency (Caltrans) and one individual (Larry Ames) during the public comment period; and comments were received during the December 10, 2020 public meeting. Comments received addressed topics such as construction trucks for soil hauling, construction methods/duration and coordination with other projects in the area, including the Guadalupe River Trail and High Speed Rail.

JPB staff has compiled and addressed the comments and prepared the Final MND environmental document, along with a Mitigation Monitoring and Reporting Program, for Board approval. The Final MND will be available on the project website:

[www.caltrain.com/guadalupebridge](http://www.caltrain.com/guadalupebridge)

As part of the CEQA process, JPB has undertaken the following public outreach efforts:

- Advertised the Notice of Availability and Notice of Intent to Adopt a Mitigated Negative Declaration (NOA/NOI) in local newspapers on November 20, 2020, specifically the Mercury News (in English) and El Observador (in Spanish);
- Filed the NOA/NOI and Draft IS/MND with the State Clearinghouse;
- Posted the NOA/NOI and Draft IS/MND on the Caltrain project website;
- Mailed 1,700 post cards to residents and businesses within one-quarter mile of the project area to notify them of the Project and virtual public meeting;
- Issued a press release regarding the public meeting and posted information about the meeting to Caltrain social media channels; and
- Held a virtual public information meeting for the Project on December 10, 2020.

The Guadalupe River Bridge Replacement Project is necessary to address the structural deficiencies of the MT-1 bridge and the geomorphic instability of the Guadalupe River channel in the vicinity of the MT-1 and MT-2 bridges to provide for long-term public safety and service reliability. In order to construct the Project, the Board needs to approve the Final MND and the Mitigation Monitoring and Reporting Program.

Prepared by:

Hilda Lafebre  
Manager, Capital Project and Environmental Planning

650.622.7842

**RESOLUTION NO. 2021 –**

**BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD  
STATE OF CALIFORNIA**

\* \* \*

**ADOPTING MITIGATED NEGATIVE DECLARATION AND APPROVING THE  
GUADALUPE RIVER BRIDGE REPLACEMENT PROJECT**

**WHEREAS**, the Peninsula Corridor Joint Powers Board (JPB) owns the railroad right of way between San Francisco and San Jose and operates commuter rail service between San Francisco and Gilroy; and

**WHEREAS**, north of the Tamien Station, Caltrain operates trains on two independent, adjacent bridges over the Guadalupe River, the 1935 MT-1 bridge and 1990 MT-2 bridge, each carrying a single track; and

**WHEREAS**, the bridges are also used by Union Pacific Railroad freight service, Amtrak passenger service, and the Altamont Commuter Express and Capitol Corridor to reach the Tamien Yard; and

**WHEREAS**, the 1935 MT-1 bridge is structurally deficient, seismically vulnerable and has been damaged by multiple fires (most recently in November 2017) making it in need of immediate replacement; and

**WHEREAS**, the Guadalupe River channel in the vicinity of the MT-1 and MT-2 bridges exhibits geomorphic instability and erosion problems, resulting in multiple emergency repairs to address bank failures adjacent to the bridges following storm events; and

**WHEREAS**, widening the Guadalupe River channel and lengthening the southern end of MT-2 is required to address the geomorphic instability and risk it poses to the bridge structures; and

**WHEREAS**, the JPB has prepared an Initial Study (IS) of the possible environmental effects of the Guadalupe River Bridge Replacement Project (Project); and

**WHEREAS**, the IS concluded that the Project's effects can be mitigated to the extent that the Project would not have a significant effect on the environment and therefore recommended that a Mitigated Negative Declaration (MND) be prepared by the JPB; and

**WHEREAS**, the JPB published a notice of availability of the Draft IS/MND in the Mercury News and El Observador newspapers and with the Governor's Office of Planning and Research State Clearinghouse, and invited comments thereon until December 21, 2020 and also received public comment on the Project at a virtual public information meeting on December 10, 2020; and

**WHEREAS**, the JPB received one written comment letter from a public agency (Caltrans) and one written comment letter from an individual (Larry Ames) during the comment period; and

**WHEREAS**, these comments were reviewed by staff and counsel, who concluded that none of the points raised in the comments required a change in the conclusion of the draft IS/MND.

**NOW, THEREFORE, BE IT RESOLVED** the Peninsula Corridor Joint Powers Board of Directors:

1. Hereby finds that, in light of the public safety imperative to replace the MT-1 bridge and extend the MT-2 bridge over the Guadalupe River at the

earliest possible date, and the need to widen the river channel to address geomorphic instability issues, it is necessary to proceed with the Guadalupe River Bridge Replacement Project, with the understanding that the mitigation measures described in the MND will be implemented to avoid any significant effects on the environment; and

2. Hereby finds and declares that, based upon its independent judgment following review of the Initial Study and proposed Mitigated Negative Declaration and consideration of the record of the Project as a whole, there is no evidence before the Board that the proposed Project will have a significant effect upon the environment; and
3. Hereby finds that the Project will not have a significant effect on the environment, and therefore adopts the MND; and
4. Hereby adopts the mitigation monitoring and reporting program;

**BE IT FURTHER RESOLVED** the JPB Secretary is directed to file a Notice of Determination promptly with the County Clerk of Santa Clara County and the State Clearinghouse; and

**BE IT FURTHER RESOLVED** that the Guadalupe River Bridge Replacement Project is hereby approved; and

**BE IT FURTHER RESOLVED** the record of this action shall be maintained by the Board Secretary at the JPB's offices at 1250 San Carlos Avenue in San Carlos, CA.

Regularly passed and adopted this 4<sup>th</sup> day of February, 2021 by the following vote:

AYES:

NOES:

ABSENT:

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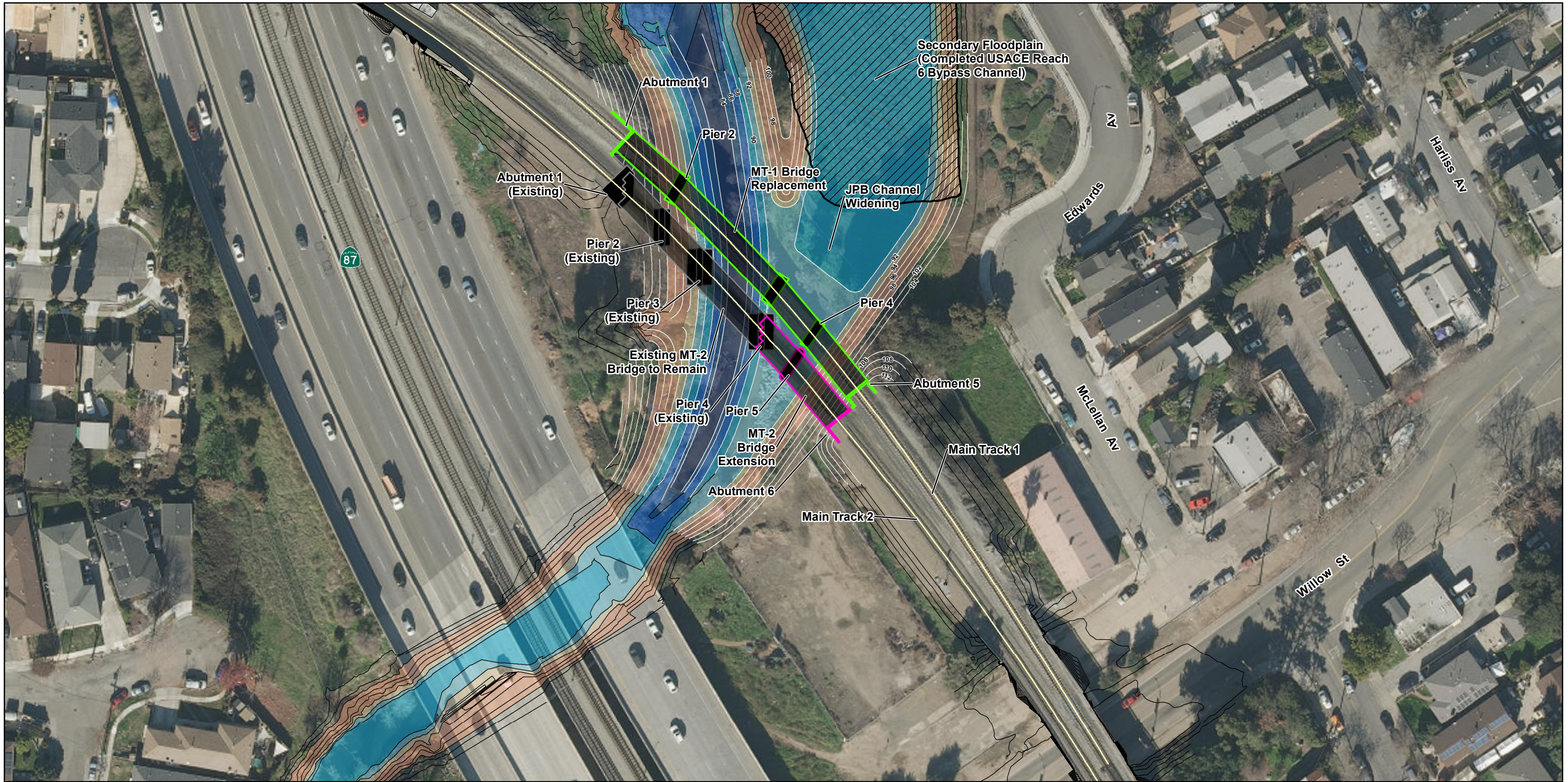
Chair, Peninsula Corridor Joint Powers Board

ATTEST:

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JPB Secretary





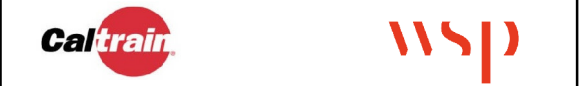
- New Bridge Deck MT-1
- New Bridge Piers and Abutments MT-1
- New Bridge Deck MT-2
- New Bridge Piers and Abutments MT-2
- Existing Portion of Bridge Deck to Remain MT-2
- Existing Bridge Piers and Abutments to Remain MT-2
- Main Track
- Elevation
- Elevation (after Regrading)
- Existing USACE Reach 6 Bypass
- Future Channel Elevation (100ft)
- Future Channel Elevation (94ft)
- Future Channel Elevation (92ft)
- Future Channel Elevation (90ft)
- Future Channel Elevation (88ft)
- Future Channel Elevation (86ft)
- Future Channel Bottom (84ft)

October 2020

Sources: Caltrans, City of San Jose, County of Santa Clara, Bing



### Guadalupe River Bridge Replacement Project Overview



**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Rona Rios  
Chief Communications Officer, Acting

SUBJECT: **APPROVAL OF LEGISLATIVE PROPOSALS: SUPPORT ACA 1 AND SB 44**

**ACTION**

Staff Coordinating Council recommends the Board:

1. Receive the attached Federal and State Legislative Updates
2. Approve the recommended Peninsula Corridor Joint Powers Board positions on those pieces of legislation designated for action on the attached State Legislative Matrix

**SIGNIFICANCE**

The 2021 Legislative Program establishes the principles that will guide the legislative and regulatory advocacy efforts. Based on those principles, staff coordinates closely with our Federal and State advocates on a wide variety of issues that are considered in Congress and the State legislature. The attached reports highlight the recent issues and actions that are relevant to the Board, and specifies those bills on which staff proposes that the Board take a formal position.

Prepared By: Brent Tietjen, Government and  
Community Affairs Officer

650-508-6495



January 15, 2021

TO: Peninsula Corridor Joint Powers Board Members

FROM: Mike Robson and Trent Smith, Edelstein Gilbert Robson & Smith, LLC  
Joshua W. Shaw and Matt Robinson, Shaw / Yoder / Antwih, Inc.

RE: **STATE LEGISLATIVE UPDATE – January 2021**

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### **General Update**

The Legislature was set to return to Sacramento on January 4, 2021. However, given the surge of COVID-19 throughout the state, the Legislature delayed their return until Monday, January 11. Now that they are back in session, legislators will continue introducing more bills until February 19, the bill introduction deadline.

It remains to be seen if legislative proceedings will be curtailed by the pandemic in a manner similar to the 2019-2020 legislative session.

### **Legislation**

**SB 44 (Allen) – CEQA Streamlining for Transit.** This bill would allow certain transit projects that meet environmental and labor requirements to have a streamlined judicial review period for CEQA. This is the new legislative effort after SB 757 (Allen) was vetoed last session because it was tied to SB 995. **We recommend Caltrain support this bill.**

**ACA 1 (Aguilar – Curry) Local Government Financing.** This constitutional amendment is a reintroduced version of ACA 1 (Aguilar-Curry) from last session, which failed to pass off the Assembly floor 44-20. The measure would reduce the voter-approval threshold from 2/3 to 55% for cities and counties to issue bonds or raise taxes for public infrastructure, affordable housing or permanent supportive housing for the homeless. **We recommend Caltrain support this bill.**

### **Governor’s Proposed 2021-22 State Budget**

On January 8, Governor Newsom presented his proposed 2021-22 State Budget. The Budget reflects more clearly the impact the year-long COVID-19 pandemic has had on California's revenues and primarily focuses on the state's response. To that end, the Budget includes a robust [Equitable Recovery for California's Businesses and Jobs Plan](#),

inclusive of significant new investments in small business grants, job creation and retention, workforce development, deferred maintenance, housing, and zero-emission vehicles and zero-emission vehicle infrastructure (more details below on the proposed investment in zero-emission vehicles and zero-emission vehicle infrastructure).

Appreciatively, the Budget acknowledges the "significant financial hardship" faced by transit agencies and the reality that "many agencies furloughed workers and curtailed service due to significant reductions in revenues and higher expenses related to serving essential workers and other travelers during the COVID-19 pandemic." The budget notes that the Administration continues to work with the federal government to obtain "ongoing federal support" for transit agencies.

**The Budget does not include new state-level emergency funding support for transit agencies;** however, it does present improved estimates for key state funding programs, showing that the State Transit Assistance (STA) Program will receive approximately \$667 million in 2021-22, an increase of almost \$24 million over the revised current year estimates and \$139 million more than the current year estimate published last year in the May Revise. Intercity and Commuter Rail will receive an estimated \$214 million in the coming fiscal year.

Cap and Trade funding will provide an additional \$106 million to the Low-Carbon Transit Operations Program, which is distributed using the STA formula. Lastly, the Transit and Intercity Rail Capital Program will receive SB 1 funds and Cap and Trade revenues for a total of \$487 million in 2021-22. A breakdown of these revenue totals can be found in the table below.

Estimated Transit Funding (January 2021)					
Source	2020-21 (2020 GB)	2020-21 (2020 MR)	2020-21 (2021 GB)	YOY Change (2020 GB to 2021 GB)	2021-22 (2021 GB)
<b>STA</b>					
Base (2.375%)	\$225,281	\$138,012	\$172,965	(\$52,317)	\$179,263
Gas Tax Swap (1.75%)	\$155,684	\$91,895	\$118,716	(\$36,968)	\$123,356
SB 1 (3.5%)	\$311,288	\$183,789	\$237,431	(\$73,857)	\$246,712
STA SGR (TIF)	\$112,000	\$114,600	\$114,067	\$2,067	\$117,488
<b>Total</b>	<b>\$804,253</b>	<b>\$528,296</b>	<b>\$643,178</b>	<b>(\$161,075)</b>	<b>\$666,819</b>
<b>INTERCITY &amp; COMMUTER RAIL</b>					
Base (2.375%)*	\$225,281	\$138,012	\$172,965	(\$52,317)	\$179,263
SB 1 (0.5%)	\$44,470	\$26,256	\$33,919	(\$10,551)	\$35,245
<b>Total</b>	<b>\$269,751</b>	<b>\$164,267</b>	<b>\$206,883</b>	<b>(\$62,868)</b>	<b>\$214,507</b>
<b>LCTOP</b>					
Cap & Trade (5.0%)**	\$114,666	\$115,900	\$100,000	(\$14,666)	\$106,000
<b>Total</b>	<b>\$114,666</b>	<b>\$115,900</b>	<b>\$100,000</b>	<b>(\$14,666)</b>	<b>\$106,000</b>
<b>TIRCP</b>					
Cap & Trade (10.0%)**	\$233,408	\$225,400	\$200,000	(\$33,408)	\$213,000
SB 1 (TIF)	\$261,000	\$267,400	\$266,155	\$5,155	\$274,140
<b>Total</b>	<b>\$494,408</b>	<b>\$492,800</b>	<b>\$466,155</b>	<b>(\$28,253)</b>	<b>\$487,140</b>
<b>LTF</b>					
Sales and Use Tax (.25%)	\$1,993,621	\$1,426,873	\$1,822,723	(\$170,898)	\$1,807,441
<b>Total</b>	<b>\$1,993,621</b>	<b>\$1,426,873</b>	<b>\$1,822,723</b>	<b>(\$170,898)</b>	<b>\$1,807,441</b>
* Funds also used for other Caltrans purposes					
**Amount reflects auction revenues for the Fiscal Year					

**Additionally, the Budget recommends "regulatory and reporting relief" related to the Transportation Development Act,** allowing agencies to plan with more certainty and flexibility for the expenditure of state transit funding. The proposed statutory

language has not been released yet, but we will provide additional details on the parameters of the relief, when available.

As for Cap-and-Trade, the Budget includes a \$1.369 billion expenditure plan (\$624 million for Early Action in 2020- 21 and \$745 million in 2021-22) to provide funding for programs that reduce or sequester greenhouse gases (GHGs).

While not part of Cap-and-Trade Expenditure Plan, the Budget includes \$1 billion in future revenues to increase the pace and scale of the construction of electric vehicle charging and hydrogen fueling stations necessary to accelerate zero-emission vehicle adoption. The Budget proposes statutory changes to extend existing vehicle registration fees currently set to expire in 2024 and to authorize the securitization of these future revenues to support expansion of the California Energy Commission's Clean Transportation Program, which supports infrastructure development for light-, medium- and heavy-duty vehicles. If successful, this proposal would provide \$1 billion in new revenues for electric vehicle charging and hydrogen fuel infrastructure.

The Governor's Proposed Budget must now make its way through the Legislature. While we do expect some early actions related to the pandemic, the budget bill is not due to the Governor until June 15, 2021, with the new fiscal year beginning July 1.

### **Statewide Competitive Grant Programs**

Below is a list of major competitive grant programs administered by the State from which transit and rail projects are eligible/can be funded.

#### **Transit and Intercity Rail Capital Program (TIRCP)**

The TIRCP was created to fund capital improvements to modernize California's intercity rail, bus, ferry, and rail transit systems to reduce emissions, expand and improve transit service and ridership, integrate rail services and improve transit safety. Funding from this program can be used to purchase zero-emission buses. Funds available are estimated at \$450-500 million for Cycle 4 but could change on auction proceeds and changing cash flow requirements of already awarded projects.

#### **Solutions for Congested Corridors Program (SCCP)**

The SCCP provides funding to achieve a balanced set of transportation, environmental, and community access improvements to reduce congestion throughout the state. The program makes \$250 million available annually (programmed in 2-year increments) for projects that implement specific transportation performance improvements.

#### **Local Partnership Program (LPP)**

The LPP is intended to provide local and regional transportation agencies that have passed sales tax measures, developer fees, or other imposed transportation fees with a continuous appropriation of \$200 million annually from the Road Maintenance and Rehabilitation Account to fund road maintenance and rehabilitation, sound walls, and other transportation improvement projects. The Competitive program is funded at \$100 million annually.

### **Trade Corridor Enhancement Program (TCEP)**

The TCEP provides funding for infrastructure improvements on federally designated Trade Corridors of National and Regional Significance, on the Primary Freight Network as identified in California Freight Mobility Plan, and along other corridors that have a high volume of freight movement. There is approximately \$300 million provided per year (programmed in 2-year increments) for the competitive program.

### **Grade Separation Funding**

Below is a list of the funding sources that we are aware of and/or that have been used to fund grade separations in the recent years. The funding sources below are managed across various state agencies and departments, including the Public Utilities Commission (PUC), the California State Transportation Agency (CalSTA), the California Transportation Commission (CTC), and Caltrans.

**PUC Section 190 Grade Separation Program** – The Program is a state funding program to grade separate crossings between roadways and railroad tracks and provides approximately \$15 million annually, transferred from Caltrans. Agencies apply to the PUC for project funding.

**State Transportation Improvement Program** – The STIP, managed by Caltrans and programmed by the CTC, is primarily used to fund highway expansion projects throughout the state, but also supports grade separations. The STIP is programmed every two years (currently the 2018 STIP added \$2.2 billion in new funding). Local agencies receive a share of STIP funding, as does the State. The STIP is funded with gasoline excise tax revenues.

**Transit and Intercity Rail Capital Program** – The TIRCP is managed by CalSTA and is available to fund rail and transit projects that reduce greenhouse gas emissions. The program receives funding from Cap and Trade and the recently created Transportation Improvement Fee to the tune of approximately \$500 million per year. The TIRCP is programmed over 5 years, with the most recent cycle beginning in May 2018. Caltrain received \$160 million for the CalMod project.

**Proposition 1A** – This \$9.9 billion Bond Act is the primary funding source for the high-speed rail project and has been used to fund a very limited number of grade separation projects in the past, including in the City of San Mateo.

# Caltrain

## State Legislative Matrix 1/15/2020

Active Bills			
Bill Number (Author)	Summary	Location	Position
<a href="#">ACA 1 (Aguiar-Curry D)</a> Local government financing: affordable housing and public infrastructure: voter approval.	(1)The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions.This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure.This bill contains other related provisions and other existing laws.  Introduced: 12/7/2020	Assembly Print	Recommend Support
<a href="#">AB 5 (Fong R)</a> Greenhouse Gas Reduction Fund: High Speed Rail Authority: K-12 education: transfer and loan.	The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The act authorizes the state board to include in its regulation of those emissions the use of market-based compliance mechanisms. Existing law requires all moneys, except for fines and penalties, collected by the state board from the auction or sale of allowances as part of a market-based compliance mechanism to be deposited in the Greenhouse Gas Reduction Fund. Existing law continuously appropriates 25% of the annual proceeds of the fund to the High-Speed Rail Authority for certain purposes. This bill would suspend the appropriation to the High-Speed Rail Authority for the 2021-22 and 2022-23 fiscal years and would require the transfer of those amounts from moneys collected by the state board to the General Fund. The bill would specify that the transferred amounts shall be available, upon appropriation, to support K-12 education and to offset any funding reduction for K-12 education.This bill contains other related provisions and other existing laws.  Introduced: 12/7/2020	Assembly Print	Watch
<a href="#">SB 7 (Atkins D)</a> Environmental quality: Jobs and Economic Improvement Through Environmental Leadership Act of 2021.	(1)The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of an environmental impact report (EIR) on a project that the lead agency proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. CEQA authorizes the preparation of a master EIR and authorizes the use of the master EIR to limit the environmental review of subsequent projects that are described in the master	Senate Rules	Watch

	<p>EIR, as specified. This bill would require a lead agency to prepare a master EIR for a general plan, plan amendment, plan element, or specific plan for housing projects where the state has provided funding for the preparation of the master EIR. The bill would allow for limited review of proposed subsequent housing projects that are described in the master EIR if the use of the master EIR is consistent with specified provisions of CEQA. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 12/7/2020</p>		
<p><b><a href="#">SB 10</a> (Wiener D)</b></p> <p>Planning and zoning: housing development: density.</p>	<p>The Planning and Zoning Law requires a city or county to adopt a general plan for land use development within its boundaries that includes, among other things, a housing element. Existing law requires an attached housing development to be a permitted use, not subject to a conditional use permit, on any parcel zoned for multifamily housing if at least certain percentages of the units are available at affordable housing costs to very low income, lower income, and moderate-income households for at least 30 years and if the project meets specified conditions relating to location and being subject to a discretionary decision other than a conditional use permit. Existing law provides for various incentives intended to facilitate and expedite the construction of affordable housing. This bill would, notwithstanding any local restrictions on adopting zoning ordinances, authorize a local government to pass an ordinance to zone any parcel for up to 10 units of residential density per parcel, at a height specified in the ordinance, if the parcel is located in a transit-rich area, a jobs-rich area, or an urban infill site, as those terms are defined. In this regard, the bill would require the Department of Housing and Community Development, in consultation with the Office of Planning and Research, to determine jobs-rich areas and publish a map of those areas every 5 years, commencing January 1, 2022, based on specified criteria. The bill would specify that an ordinance adopted under these provisions is not a project for purposes of the California Environmental Quality Act. The bill would prohibit a residential or mixed-use residential project consisting of 10 or more units that is located on a parcel rezoned pursuant to these provisions from being approved ministerially or by right. This bill contains other related provisions.</p> <p>Introduced: 12/7/2020</p>	Senate Rules	Watch
<p><b><a href="#">SB 44</a> (Allen D)</b></p> <p>California Environmental Quality Act: streamlined judicial review: environmental leadership transit projects.</p>	<p>The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of, an environmental impact report (EIR) on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. CEQA establishes a procedure by which a person may seek judicial review of the decision of the lead agency made pursuant to CEQA. This bill would establish specified procedures for the administrative and judicial review of the environmental review and approvals granted for environmental leadership transit project, as defined, undertaken by a public agency. The bill would require the Judicial Council, on or before April 1, 2022, to adopt rules of court establishing procedures requiring actions or proceedings seeking judicial review pursuant to CEQA or the granting of project approvals, including any appeals to the court of appeal or the Supreme Court, to be resolved, to the extent feasible, within 270 days of the filing of the certified record of proceedings with the court to an action or proceeding seeking judicial review of the lead agency's action related to an environmental leadership transit project. The bill would require the environmental leadership transit project to meet certain labor requirements.</p> <p>Introduced: 12/7/2020</p>	Senate Rules	Recommend Support



# Holland & Knight

800 17th Street, NW, Suite 1100 | Washington, DC 20006 | T 202-955-3000 | F 202-955-5564  
Holland & Knight LLP | www.hklaw.com

## Caltrain As of January 20, 2021 Transportation Report

### **Trump Signs Into Law Massive Omnibus Spending, Coronavirus Relief Package**

On December 27, 2020, President Donald Trump signed into law a massive legislative package containing: \$1.4 trillion in FY 2021 appropriations and \$900 billion in pandemic aid.

### **Summary of Department of Transportation (DOT) Funding in FY 2021 Omnibus Appropriations**

**DOT:** \$88.2 billion, a \$955 million increase over FY 2020.

**Airport Revenue Report Language** - "Given the utility of sales tax measures to address local transportation needs and reduce the burden on Federal spending, the Secretary is directed to continue working with State and local governments and the FAA to develop a path forward to allow the use of local sales tax revenues generated on the sale of aviation fuel to be used in a manner consistent with their enactment."

**Highways:** \$46.365 billion (FAST Act authorized Highway Trust Fund), same as FY 2020

- Additional \$2 billion from the Treasury Department, allocated as follows:
  - \$640.7 million for STBG.
  - \$1.08 billion for Bridge Replacement/Rehabilitation Grants.
  - \$50 million for Competitive Grade Crossing Grants.

**Federal Transit Administration (FTA):** \$12.957 billion, \$46 million increase over FY 2020

- Transit Formula Grants: \$10.15 billion, same as FY 2020
- Additional \$566.2 million for transit formula grants from the Treasury Department, allocated as follows:
  - \$243,000,000 for buses and bus facilities grant, of which \$118 million for formula grants and \$125 million for competitive grants
  - \$125,000,000 for low or no emission grants
  - \$40,000,000 for state of good repair grants
  - \$8,000,000 for the passenger ferry grant program
- Capital Investment Grants (CIG): \$2 billion
  - \$1.169 million for New Starts
  - \$525 million for Core Capacity including \$100 million for the Peninsula Corridor Electrification project
  - \$200 million for Small Starts

- CIG Report Language - "Prevents FTA from delaying projects that have a proposed federal share of their capital costs greater than 40 percent and prevents FTA from requiring CIG get a medium or higher rating before finishing its EIS."
- Office of Regional Services Report Language - "The Committee supports the FTA's request to create a new Office of Regional Services at headquarters to oversee all regional field operations."

**BUILD Grants:** \$1 billion, same as FY 2020

- \$30,000,000 for planning grants, of which not less than \$10,000,000 is for areas of persistent poverty.
- DOT can increase the Federal cost-share above 80 percent for awards in rural and persistent poverty areas.
- Maximum grant size is \$25 million and minimum grant size is \$5 million
- No more than \$500 million for rural grants and no more than \$500 million for non-rural grants
- DOT Secretary must issue the NOFO within 120 days of the bill's enactment, application deadline of 90 days after the NOFO is published, and announce at least some of the grants within 330 days of the bill's enactment

**Summary of DOT Funding in the \$900 billion Coronavirus Supplemental Package:**

**Transit (\$14 Billion)**

- Funding to prevent, prepare for, and respond to Covid-19 and to the maximum extent possible, shall be directed to payroll and operations. 100 percent federal share. The Federal Transit Administration (FTA) must allocate the funding not later than 30 days after the date of enactment of this Act. Funding is distributed through the following formula funds. The San Francisco Region will receive \$822,676,366.
  - \$13,271,310,572 by Federal Transit Administration (FTA) Section 5307 Urbanized Area Formula (including FTA Section 5337 State of Good Repair formula funds).
  - \$50 billion for paratransit.
  - \$679 million for grants to rural areas.

**Highways (\$10 Billion)**

- Funding to support State Departments of Transportation and certain local transportation agencies.
- Funds are available to replace amounts lost as a result of Covid-19 for preventive maintenance, routine maintenance, operations, and personnel costs, including salaries of employees (including those employees who have been placed on administrative leave) or

contractors, debt service payments, availability payments, and coverage for other revenue losses.

- Surface Transportation Block Grant (STBG) funds will be apportioned to states in the same ratio as the obligation limitation for FY 2021. Has to be apportioned not later than 30 days after the date of enactment of this bill.
- Funds will be sub-allocated within the state to urbanized areas with a population of over 200,000.

## **President Biden Unveils \$1.9 Trillion Stimulus Package**

On Thursday, January 14, Biden released details of his \$1.9 trillion stimulus plan proposal, the American Rescue Plan, to help people struggling from the pandemic. The incoming Biden-Harris administration hopes Congress will quickly pass the plan, which will:

- \$20 billion to help struggling transit systems. This money is being allocated to keep agencies from laying off workers and cutting routes, while increasing resiliency and ensuring that communities of color maintain access to public transportation.
- Create a national vaccination program by setting up community vaccination sites, scaling up testing and tracing, eliminating supply shortage problems, investing in high-quality treatments, providing paid sick leave to contain spread of the virus, and addressing health disparities.
- Send \$1,400 per-person checks to households across the country, providing direct housing and nutrition assistance, and expanding access to safe and reliable childcare and affordable healthcare. Increase the minimum wage to \$15 an hour, and provide workers with \$400 in extra weekly unemployment benefits through September under an extension of the Federal Pandemic Unemployment Compensation program.
- Provide \$350 billion in emergency funding for state, local, and territorial governments to ensure that they keep front line public workers on the job and paid, while also effectively distributing the vaccine, scaling up testing, reopening schools, and maintaining other necessary services.
- Allocate funding for and authorize the Occupational Safety and Health Administration to issue COVID-19-specific safety rules that employers must follow to protect their workers.

President Biden's COVID proposal will be the first bill that Congress will consider. They are working to pass it on a bipartisan basis. If Republicans do not support it, Senate leadership will consider it under budget reconciliation which only requires a simple majority vote for passage vs. the normal 60 vote majority required in the Senate. In February, President Biden plans to introduce his infrastructure proposal that Congress is hoping to consider after the COVID relief bill.

## **Positive Train Control Requirement Achieved by Railroads**

On December 29, 2020, the Federal Railroad Administration (FRA) announced that positive train control (PTC) is in operation on all required route miles on all railroads two days before the

statutory deadline of December 31, 2020. PTC is now in operation on all 57,536 required freight and passenger railroad route miles, and each host railroad's PTC system complies with the technical requirements and interoperability needs to prevent collisions and derailments.

### **Grant Opportunities & Award Announcements**

- **Regional Infrastructure Accelerators Program**: \$5 Million Available. The Build America Bureau is issuing this Notice of Funding Opportunity (NOFO) to solicit applications for designating and funding an RIA that will: 1) serve a defined geographic area; 2) act as a resource to qualified entities in the geographic area in accordance with Section 1441 of the FAST Act; and 3) demonstrate the effectiveness of an RIA to accelerate the delivery of eligible projects through the Bureau's innovative financing programs including the TIFIA credit program, and, to the extent applicable, the Railroad Rehabilitation and Improvement Financing (RRIF) credit program and Private Activity Bonds (PABs) and other innovative financing methods.

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Rona Rios  
Acting Chief Communications Officer

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

**ACTION**

This report is for information only. No Board action is required.

**SIGNIFICANCE**

The 2021 Legislative Program establishes the principles that will guide the legislative and regulatory advocacy efforts. Based on those principles, staff coordinates closely with our Federal and State advocates on a wide variety of issues that are considered in Congress and the State legislature. The attached reports highlight the recent issues and actions that are relevant to the Board.

Prepared By: Lori Low, Government and  
Community Affairs Officer

650-508-6391



# 2021 Federal Outlook - Transportation

**Biden Administration & the 117<sup>th</sup> Congress**

February 4, 2021

**Holland & Knight**

# Recap

- Congress passed a \$2.4 trillion legislative package (H.R. 133) on December 21, which included:
  - Fiscal Year (FY) 2021 Appropriations
  - \$900 billion for Covid-19 Relief
  - Water Resources Development Act (WRDA) reauthorization
  - Tax Extenders
  - Energy Act of 2020
- The FY 2021 Omnibus Appropriations includes \$1.4 trillion to fund the federal government through September 2021.
- Increased funding for most agencies and programs, including DOT, HHS, EPA, and HUD.

# Coronavirus Relief Package

## Key Provisions of the Consolidated Appropriations Act

<b>Transportation-Covid</b>	<ul style="list-style-type: none"><li>• \$14 billion for transit; \$10 billion for highways; \$2 billion for aviation</li></ul>
<b>Coronavirus Relief Fund (CRF)</b>	<ul style="list-style-type: none"><li>• Extends the funds provided under the CARES Act for the CRF through December 31, 2021</li></ul>
<b>Covid-19 Relief for Individuals</b>	<ul style="list-style-type: none"><li>• Economic Impact Payments: \$600 for individuals making up to \$75,000 per year; additional \$600 per independent</li><li>• Unemployment Insurance: \$300 per week for all workers through March 14, 2021</li></ul>



# FY 2021 Appropriations – Transportation

- **DOT:** \$88.2 billion, a \$955 million increase over FY 2020.
- **Highways:** \$46.365 billion (FAST Act authorized Highway Trust Fund), same as FY 2020
  - \$10,000,000 for a high visibility enforcement paid-media campaign regarding highway-rail grade crossing
  - Additional \$2 billion for Highways from the Treasury Department, allocated as follows:
    - \$640.7 million for STBG
    - \$1.08 billion for Bridge Replacement/Rehabilitation Grants
    - \$50 million for Competitive Grade Crossing Grants
- **Federal Transit Administration (FTA):** \$12.957 billion, \$46 million increase over FY 2020
  - Transit Formula Grants: \$10.15 billion, same as FY 2020
  - Additional \$566.2 million for transit formula grants from the Treasury Department, allocated as follows:
    - \$243,000,000 for buses and bus facilities grant, of which \$118 million for formula grants and \$125 million for competitive grants
    - \$125,000,000 for low or no emission grants
    - \$40,000,000 for state of good repair grants
    - \$8,000,000 for the passenger ferry grant program

# FY 2021 Appropriations – Transportation

- Capital Investment Grants: \$2 billion
  - \$1.169 million for New Starts
  - \$525 million for Core Capacity, including \$100 million for Peninsula Corridor Electrification project
  - \$200 million for Small Starts
- CIG Report Language - "Prevents FTA from delaying projects that have a proposed federal share of their capital costs greater than 40 percent and prevents FTA from requiring CIG get a medium or higher rating before finishing its EIS."
- Airport Revenue Report Language - "Given the utility of sales tax measures to address local transportation needs and reduce the burden on Federal spending, the Secretary is directed to continue working with State and local governments and the FAA to develop a path forward to allow the use of local sales tax revenues generated on the sale of aviation fuel to be used in a manner consistent with their enactment."

# FY 2021 Appropriations – Transportation

- **BUILD Grants:** \$1 billion, same as FY 2020
  - \$30,000,000 for planning grants, of which not less than \$10,000,000 is for areas of persistent poverty.
- **Federal Railroad Administration (FRA):** \$2.82 billion, \$26.9 million increase from FY 2020.
  - Amtrak: \$2 billion, same as FY 2020
  - CRISI: \$375 million, at least \$25 million must go towards capital projects and engineering solutions to prevent trespassing on railroad rights-of-way. Urges DOT to give consideration to grade crossing safety and quiet zone projects.

# Secretary of DOT Nominee



**Pete Buttigieg**  
*Secretary of Transportation*

- On January 21, the U.S. Senate Committee on Commerce, Science, and Transportation held a confirmation hearing for Pete Buttigieg as the nominee for Secretary of the U.S. Department of Transportation.
- The Senate Commerce, Science, and Transportation Committee confirmed him as a nominee on January 27. The Senate will vote on his confirmation soon.

# U.S. DOT Appointees

**Deputy Assistant Secretary: Polly Trottenberg**

**Chief of Staff to the Secretary: Laura Schiller, Chief of Staff**

## **Intergovernmental Affairs (IGA)**

- **Charles Small**, Deputy Assistant Secretary for Intergovernmental Affairs
- **Mohsin Syed**, Principal Deputy Assistant Secretary for Congressional Affairs (Senate)
- **Edward McGlone**, Deputy Assistant Secretary for Congressional Affairs (House)

**Federal Transit Administration: Nuria Fernandez**, Deputy Administrator, Federal Transit Administration

# U.S. DOT Appointees

**Federal Highway Administration: Stephanie Pollack,**  
Deputy Administrator

**Federal Railroad Administration: Amit Bose,** Deputy  
Administrator, Federal Railroad Administration

**National Highway Traffic Safety Administration: Steve  
Cliff,** Deputy Administrator, National Highway Traffic Safety  
Administration

# President Biden's American Rescue Plan

- President Biden has proposed a \$1.9 trillion “American Rescue Plan,” which includes three main categories of proposals:
  - COVID-19 Response and Healthcare Measures
  - Relief to American Workers and Families
  - Support for Small Businesses and Governments
- While plan includes certain executive actions, vast majority of proposals are dependent on Congress passing legislation.
- President Biden wants Congress to send him the bill by March 14, 2021 – the day when unemployment benefits expire

# President Biden's American Rescue Plan

- **\$415 billion for Covid-19 Response and Healthcare Measures, including:**
  - \$50 billion to expand testing efforts.
  - \$20 billion for national vaccination program in partnership with state and local governments.
- **\$440 billion to Support Local Governments and Small Businesses, including:**
  - \$350 billion in direct state, local and territorial funding.
  - \$30 billion in rental and energy and water assistance for hard-hit individuals and families.
  - **\$20 billion for transit agencies**
  - \$15 billion in "flexible, equitably distributed" grants to the hardest-hit small businesses.
  - \$35 billion in small business financing programs, with the aim of leveraging it into \$175 billion in lending and investment.



# President Biden's American Rescue Plan

- Given slim Democratic majorities in Congress and 60-vote filibuster threshold to pass legislation in the Senate, legislation has two paths:
  - Budget reconciliation process in the Senate, to bypass filibuster (only requires simple majority to pass)
  - Create a bill that would receive bipartisan support in the Senate by regular order
- Following the \$1.9 trillion American Action Plan, Biden has promised a second recovery package that will include **investments in infrastructure, research and development, and clean energy.**

# February – End of Summer

- Biden's COVID bill
- Infrastructure Package
- FY 2022 Appropriations
  - Earmarks??
- Surface Transportation Reauthorization
  - Current extension expires on September 30, 2021

# House T&I Committee

## *Returning Republican Members*

- Don Young (AK-AL)
- Rick Crawford (AR-01)
- Bob Gibbs (OH-07)
- Daniel Webster (FL-11)
- Thomas Massie (KY-04)
- Scott Perry (PA-10)
- Rodney Davis (IL-13)
- John Katko (NY-24)
- Brian Babin (TX-36)
- Garret Graves (LA-06)
- David Rouzer (NC-07)
- Mike Bost (IL-12)
- Randy Weber (TX-14)
- **Doug LaMalfa (CA-01)**
- Bruce Westerman (AR-04)
- Brian Mast (FL-18)
- Mike Gallagher (WI-08)
- Brian Fitzpatrick (PA-01)
- Jenniffer Gonzalez Colon (PR-AL)
- Troy Balderson (OH-12)
- Pete Stauber (MN-08)

**116<sup>th</sup> Congress: 37-D and 30-R**

**117<sup>th</sup> Congress: 37-D and 32-R**

# House T&I Committee

## *New Republican Members*

- Tim Burchett (TN-02)
- Michael Guest (MS-03)
- Dusty Johnson (SD-AL)
- Jeff Van Drew (NJ-02)
- Carlos Gimenez (FL-26)
- Nancy Mace (SC-01)
- Nicole Malliotakis (NY-11)
- Troy Nehls (TX-22)
- Beth Van Duyne (TX-24)
- **Michelle Steel (CA-48)**

# House T&I Committee

## *Subcommittee Chairs - Democrats*

- Subcommittee on Aviation: Rick Larsen (WA-2)
- Subcommittee on Coast Guard and Maritime Transportation: **Salud Carbajal (CA-24)**
- Subcommittee on Economic Development, Public Buildings, and Emergency Management: Dina Titus (NV-1)
- Subcommittee on Highways and Transit: Eleanor Holmes Norton (DC)
- Subcommittee on Railroads, Pipelines, and Hazardous Materials: Donald M. Payne, Jr. (NJ-10)
- Subcommittee on Water Resources and Environment: **Grace F. Napolitano (CA-32)**
- Vice Chair of full committee: Sharice Davids (KS-3)

# House T&I Committee

## *New Democrat Members*

- Seth Moulton (MA-6)
- Jake Auchincloss (MA-4)
- Carolyn Bourdeaux (GA-7)
- Kaiiali'i Kahele (HI-2)
- Marilyn Strickland (WA-10)
- Nikema Williams (GA-5)
- Marie Newman (IL-3)

# House T&I Committee

## *Returning Democrat Members*

- Peter A. DeFazio (OR-4), Chair of the Full Committee
- Eleanor Holmes Norton (DC)
- Eddie Bernice Johnson (TX-30)
- Rick Larsen (WA-2)
- **Grace F. Napolitano (CA-32)**
- Steve Cohen (TN-9)
- Albio Sires (NJ-8)
- John Garamendi (CA-3)
- Henry C. “Hank” Johnson, Jr. (GA-4)
- André Carson (IN-7)
- Dina Titus (NV-1)
- Sean Patrick Maloney (NY-18)
- **Jared Huffman (CA-2)**
- **Julia Brownley (CA-26)**

# House T&I Committee

## *Returning Democrat Members*

- Frederica S. Wilson (FL-24)
- Donald M. Payne, Jr. (NJ-10)
- **Alan Lowenthal (CA-47)**
- **Mark DeSaulnier (CA-11)**
- Stephen F. Lynch (MA-8)
- **Salud Carbajal (CA-24)**
- Anthony G. Brown (MD-4)
- Tom Malinowski (NJ-7)
- Greg Stanton (AZ-9)
- Colin Allred (TX-32)
- Sharice Davids (KS-3)
- Jesús “Chuy” García (IL-4)
- Antonio Delgado (NY-19)
- Chris Pappas (NH-1)
- Conor Lamb (PA-17)



# Senate Committee Leadership - Transportation

- Committee on Banking, Housing, and Urban Affairs
  - Chairman Sherrod Brown (D-OH)
  - Ranking Member Mike Crapo (R-ID)
- Committee on Environment and Public Works
  - Chairman Tom Carper (D-DE)
  - Ranking Member Shelly Moore Capito (R-WY)
- Committee on Finance
  - Chairman Ron Wyden (D-OR)
  - Ranking Member Chuck Grassley (R-IA)



**CITIZENS ADVISORY COMMITTEE (CAC)  
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)  
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING  
Bacciocco Auditorium, 2<sup>nd</sup> Floor  
1250 San Carlos Avenue, San Carlos CA 94070**

**MINUTES OF JANUARY 20, 2021**

**MEMBERS PRESENT:** A. Brandt (Vice Chair), A. Dagum, P. Flautt, R. Kutler, P. Leung, N. Mathur (Alternate), K. Maxwell (Alternate), D. Tuzman, B. Shaw (Chair)

**MEMBERS ABSENT:** L. Klein, M. Romo

**STAFF PRESENT:** B. Fitzpatrick, J. Navarrete, J. Navarro, D. Provence, B. Zhang

Due to COVID-19, this meeting was conducted as a teleconference pursuant to the provisions of the Governor's Executive Orders N-25-20 and N-29-20, which suspends certain requirements of the Ralph M. Brown Act.

Chair Brian Shaw called the meeting to order at 5:40 p.m. and led the Pledge of Allegiance.

**APPROVAL OF MINUTES OF DECEMBER 16, 2020**

Motion/Second: Flautt / Leung

Ayes: Brandt, Dagum, Shaw, Tuzman

Absent: Klein, Kutler, Romo

R. Kutler joined at 5:54 p.m.

**PUBLIC COMMENT**

Roland Lebrun, San Jose, via Zoom Q&A, mentioned that the TASI contract that was approved by the Board is basically an evergreen bundled contract that essentially allocated 100% of Measure RR for the next six years. He stated that there was no need to renew the contract because it was not up for renewal for another 18 months. He stated that it is a shame because Stadler will maintain, not just the EMUs, but diesel trains as well. He stated that he has made discoveries regarding Constant Time Warning and advised the committee that he would be sending correspondence on that matter. Roland also stated that Dual Speed Check is the solution, and it appears to be on track. Lastly, he mentioned that it concerns him that staff continues to pursue an item on the CBOSS contract, trains telling the gates what speed is approaching via radio and advised that it needs to stop.

Aleta Dupree, via Zoom Q&A, asked the Committee for their advocacy in engaging with this new administration to keep this railroad running. She mentioned that the electrification project is essential, however is concerned with the low productions of foundations. She then stated that during COVID era, fare collection should receive attention with greater outreach of Clipper and Clipper Start. She also mentioned with

upgrading vending machines and moving toward a paperless system of managing fare. She is looking forward to a big and productive year for Caltrain and to always be relevant to the future.

### **CHAIRPERSON'S REPORT**

Chair Brian Shaw shared his hope, with the new administration, to see things happen for Transit in America that have been long overdue and hopes that Caltrain and the region is positioned to make use of that opportunity.

#### Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, advised the committee that the VTA General Manager turned in her resignation effective the day prior as she has been asked to join the Biden administration as be the Director of the Federal Transit Administration. He stated that her new position may be favorable to Caltrain as the federal money would not be sent only to BART and hopefully would send some of it Caltrain's direction.

### **COMMITTEE COMMENTS**

Member Patrick Flautt provided an update about the website development for Caltrain. He stated that he was pleased with the direction the team is heading. He then advised the committee that a full presentation from the development team would be presented soon with further details. Chair Shaw thanked Member Flautt for investing his expertise to Caltrain.

Member David Tuzman made an informal request for a presentation compiling what type of funding sources and mechanisms would Caltrain pursue. He stated that he would follow-up with an email to staff with further details to Agendize for a future meeting. Member Tuzman then stated that MTC is in the early stages of a fare integration study. He stated that it is important keep focus on the experience of riders, the convenience, equity and affordability as well as having a system that is nice and attractive to riders where ridership can increase. Lastly, he stated that he has heard talks of Caltrain governance and hopes that it does not get in the way of finding a good solution for fare integration. Chair Shaw mentioned that staff provided the Committee with their Government Legislative Agenda and can be found in the December or November meeting minutes, however if Member Tuzman would like specific information, to provide staff an understanding of what is being asked so that they may provide feedback and information in that regard.

Member Rosalind Kutler thanked Patrick for working on the website and hopes that the committee will have a chance to provide input as the process moves along.

Vice Chair Adrian Brandt expressed the importance Air Quality control on the train. He shared that the Washington Post reported that Germany decided to make it mandatory for people riding on transit to use medical style masks. Member Brandt stated that with the building of the new trains, air filtration needs to be a priority. He then shared that Redwood City is doing a major Grade Separation study and Transit District study and that the city council will be having a presentation and taking public

comment on the ongoing alternative analysis at their next meeting agenda Monday, January 25th. He stated that it is a really important issue, because it will be the passing track central hub as Redwood City is the approximate midpoint of the Caltrain service and it will be the key to making the business plan work well.

Member Kutler mentioned that Redwood City did a nice job of using untraditional and not just social media for getting out the word about the information. They used an empty storefront and did a four-panel layout of what the issues are and what community input they needed. She stated that, that type of walk-by marketing and outreach is very effective in addition to social media and hopes Caltrain will think about doing those kinds of events.

Vice Chair Brandt requested staff to consider rethinking and repricing the monthly pass to lure ridership back as many riders are now telecommuting.

#### Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, asked whether the new EMU's will have bike counters. He then stated that regarding the rebranding of Caltrain, a private sector can be more innovative than a Transit Agency. He then addressed Member Brandt's comment and stated that N95 masks are not available to the general public in the United States. He then stated that the trains being tested in Pueblo at TTCl, the same location where the EMU's will be tested are revising the ventilation flow and are changing it from horizontal ventilation, to vertical just like in an aircraft. Roland then stated that there will be no way to ever get four tracks in downtown Redwood City or High-Speed Rail platforms. Lastly, regarding ridership, he stated that the last time table update was no use to anybody and hopes that staff reports good news about the ridership since the update in December.

Aleta Dupree, via Zoom Q&A, stated that website improvements should be mobile focused. She then mentioned that the way to solve the fare problem, passes versus single rides, is fare capping because there are some people that will use the system frequently and some people that will telecommute forever. Regarding population on train cars, she mentioned that it is possible to show how crowded a train is as the technology exists in Las Vegas. Lastly, she stated that wearing a mask is essential.

Jeff Carter, Millbrae, via Zoom Q&A, mentioned regarding the website and mobile devices, not everyone has a mobile device. He then stated that Caltrain should consider bringing back the 20-ride ticket or x-ride ticket for people that do not ride the train as frequently and to continue to provide the monthly pass at a reasonable discount.

#### **ELECTRONIC BICYCLE LOCKER UPDATE**

Dan Provence, Principal Planner, provided the Electronic Bicycle Locker Update.

The full Power Point presentation can be found on [caltrain.com](http://caltrain.com)

Committee Comments:

Member Flautt asked who the vendor is providing the bike lockers, and who is in charge of the pricing per locker. Dan Provence responded that eLock Technologies is the vendor and operate BikeLink so cards are available at bikelink.org. and that Caltrain sets the pricing. Member Flautt mentioned that the pricing seems low and Mr. Provence responded that staff is trying to encourage use of the lockers and that it is the standard pricing.

Member Kutler asked Mr. Provence for literature or his contact information to share. Mr. Provence stated that his team is working on doing outreach and have mailed letters to current key locker customers. He also stated that they have talked to the vendor about doing some in-person promotion at the stations and looking for other creative ways to touch base with people.

Vice Chair Brandt stated that according to the presentation the first funded batch of 632 eLockers would be installed by the end of 2023, he said that it would be nice to see numbers and more visibility to the rollout schedule. He then asked what the numbers are at the various stations. He then suggested that since the eLockers are internet connected devices, the vendor should implement a feature whereby customers could go online and check locker availability and the ability to rent the locker online. Mr. Provence stated the vendor is looking to rollout an app that deals with those concerns, checking availability in advance and reserving the space.

Member Tuzman asked about the user experience, if they are not yet signed up or connected to Clipper is there a way to sign-up for an eLocker at the station, in the moment. He also asked whether staff has the flexibility to move and redistribute eLockers if it is determined that there are too many at one station. Lastly, he asked what the time limit is and whether there is a point at which the eLocker company would take the locker into long term storage for pick-up, if customers were abusing the system. Mr. Provence responded that if the customer has mobile capability, they can go online and set up an account link to their Clipper. He also mentioned that there are vendors that sell bike link cards that are pre-loaded cards, for example the coffee shop around the corner from the 22nd Street station sells them. This is also a cash option for those that are unbanked. Lastly, he stated that yes there will be flexibility to move the lockers around.

Alternate Member Kathleen Maxwell asked whether all sides, including the top, of the lockers are perforated and if so, was that to decrease their appeal to perhaps homeless population. Mr. Provence responded that they are not perforated on top, they have a solid roof, but yes, the sides have perforations and helps Security look in and see what is going on in there.

Member Patricia Leung asked whether there are any plans to acquire more casual users for the system. Mr. Provence stated that his team is still developing ways to rollout the program and looking at ideas for outreach via social media and perhaps station events and is open to suggestions.

Member Tuzman stated that there is potentially a lot of customer who are not aware that they can leave their bikes parked at the station and besides the bike coalitions, whether staff has a list of local organizations like that. Mr. Provence stated that staff is open to hearing from customers who have ideas. He stated that staff will be working with the San Francisco Bike Coalition and the Silicon Valley Bike Coalition and is open to touch base with all those types of groups.

Member Flautt offered his help to connect with the Silicon Valley Bicycle Coalition and many other Regional Associations of bikers, if help with outreach is needed. Mr. Provence thanks Member Flautt.

Chair Shaw suggested looking at charging a premium for the online reservations versus the walk ups. Mr. Provence thanked Chair Shaw.

Vice Chair Brandt asked whether there is a maximum time limit and what will be done if someone leaves their bike in the locker. He then asked how many lockers each of the stations are getting initially. Mr. Provence responded that they usually allow seven to ten days, however it will be up to Caltrain to figure out the maximum length and that the language will be in the user agreement. He then stated that the vendor would deal with items left in the locker and place the unclaimed bike in storage and work with the customer to retrieve it. He then stated that as far as the numbers of lockers, staff is looking at 16 spaces at most stations to start with. At Diridon, looking to start with 32 and then 16 at the other four stations that were listed. He stated that ridership will be considered.

Chair Shaw asked whether the eLockers can be stacked and Mr. Provence confirmed that there are stackable models and are being looked at.

Member Leung suggested outreach to monthly parking passengers as they may want to change the mode of transportation and utilize their bike. She also suggested with charging premium, perhaps following the Clipper way of charging the full fare for a 24-hour reservation then credit back the unused time upon return.

#### Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, shared his appreciation for the two-phase approach where the data from the first phase will drive the second phase. He then suggested to create an app that combines both the onboard train capacity and the eLocker availability so that passengers can make their whether to bring their bike onboard or leave it parked it at the station. He then asked again whether there will be bike counters onboard. He then requested staff to confirm whether these lockers 100% funded by a grant, and if not, asked where the money is coming from. He then stated that the incentive is wrong because Caltrain is charging to leave bikes in a locker and not charging to ride the train. Roland suggested an alternative, that if the passenger uses Clipper to pay for the eLocker and then boards the train, the passenger will receive a discount for using the locker. This may be applied for those that qualify for the means-based fare. Lastly, Roland suggested outreaching out to Google for the Diridon station.

Jeff Carter, Millbrae, via Zoom Q&A, asked thanked Mr. Provence for the presentation and for implementing a better bike locker program than what currently exists and providing more alternatives for bike storage.

### **TRANSIT ORIENTED DEVELOPMENT POLICY**

Brian Fitzpatrick, Director, Real Estate and Property Development, presented the Transit Oriented Development Policy

The full Power Point presentation can be found on [caltrain.com](http://caltrain.com)

#### Committee Comments:

Member Leung referred to the AMI targets and mentioned that they are aggressive and asked whether it is per site or overall, for all properties. Mr. Fitzpatrick responded that the Board adopted a policy and wants to try to go for 30% per site. Member Leung then asked how much influence can the Caltrain policies have over the other agencies and municipalities on how to develop and help encourage growth for Caltrain and facility development. Mr. Fitzpatrick responded that when Caltrain owns property in a specific city and that property is going to be used for development, Caltrain is subject to the Land Use Authority of the city. Additionally, Caltrain works very closely with VTA and have extremely sophisticated Transit Oriented Development both policy and staff and says that both agencies share the vision for what should happen around transit stations.

Member Kutler asked whether Caltrain has influence with the stalled project at Bayshore. Mr. Fitzpatrick responded that even though Caltrain is a regional authority, Caltrain does not have the ability to usurp land use authority from cities when it is Caltrain property. In the case of Bayshore, where it is not Caltrain property, in terms of local city development, Caltrain encourage and help provide expertise, but cannot tell a local city what to do or how to do it.

Vice Chair Brandt asked Mr. Fitzpatrick to talk about air rights both below and above the tracks. Mr. Fitzpatrick responded that in a dynamic railroad like Caltrain, Caltrain will not be developing under, over, or around the right of way independently, and most likely would happen in conjunction with a capital project and capital projects are done in conjunction with the cities. Caltrain did not want to take away the creativity by constraining them in a policy that is development focused. He said that, not only do you create development opportunities on the area where the tracks are in, on and under them, but might better activate some of the property next to the tracks by having those more open options.

Member Tuzman asked whether there is a particular metric or goal for how much income benefit that Caltrain would get through the development. He then asked whether it was considered that having an increase in housing close to transit will naturally bring more customers to Caltrain which also is a revenue stream itself. He then asked who the partners are, Caltrain is working with, to understand how the constraints



around the affordability requirements verse the ground lease rate that are put on the developers. Lastly, Member Tuzman mentioned that the presentation is not on the website. Mr. Fitzpatrick responded that every development is very unique for a number of reasons and every site is done on an individual level, so Caltrain does not have a metric in gross because we have to really get into the details to get there. The specifics of the site are going to drive the revenue of the site. Mr. Fitzpatrick then stated that on every transaction staff brings in an independent economist firm and a land economy firm and have a transparent process with the developers that staff works with. Typically, an economic model is built to push and pull on different levers that will accommodate different business terms. Staff works to get the most benefits for the public agency, while still allowing the transaction to be financially viable to the developer. Lastly, Brian stated that he would forward the presentation to staff so that it may be uploaded to the website and apologized for not sending it sooner. Member Tuzman then asked how staff ensures that the housing units are attractive, and people want to live in them, but not an excessive rental rate to make up for the bending that happened in that negotiation. Mr. Fitzpatrick responded that the bottom line is, in any development that is mixed income with affordable units and other units, all units need to be the same. Those other units, in theory, the developer is able to rent them at market rates.

Member Anna Dagum asked whether staff looks at the actual train stations for development. Mr. Fitzpatrick responded staff keeps the railroad's future vision in mind when developing property.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that these problems have been going on for long enough and is borderline Brown Act violation and that he will make sure this one of the first governance issues that will be addressed with the transition to the new administration. Roland then thanked Mr. Fitzpatrick for the presentation. He asked why do TOD's need to be on Caltrain property and asked whether the building built across the road on San Carlos from the Transit District building and whether it counts as a TOD. There are two-story buildings where there could be passing tracks. Roland then suggested potentially demolishing the Transit District and start building TODs at least 10-stories high. Then Roland mentioned that the BART parking at the Millbrae station is gone due to TOD just as in Tamien and does not know how ridership will recover there when the pandemic is over. Roland also stated that Caltrain needs to focus on other project other than High Speed Rail. He stated that Google is willing to lease Caltrain's land on all the surface parking and move the parking underground on their own dollar. Lastly, Roland said that he requested the Board create a policy whereby Caltrain no longer sells or negotiate any Caltrain land and only buys land until the new administration is in place.

Jeff Carter, Millbrae, via Zoom Q&A, shared his concerns regarding some outline structures in San Carlos that are quite close to the track that might prevent Caltrain from expanding to four tracks. He stated that some of this development can hinder expansion of four tracks and hopefully there is a way to plan for four tracks through San Carlos.

## **CALTRAIN ENGINEERING STANDARDS UPDATE**

Bin Zhang, Manager, Engineering, presented the Caltrain Engineering Standards Update.

The full Power Point presentation can be found on [caltrain.com](http://caltrain.com)

### Committee Comments:

Adrian Brandt asked about the maximum grade standard and stated that today in the engineering standards, many grade separation design alternatives are either precluded or grossly more expensive than they need to be. He asked what is going on with relaxing the needlessly expensive limitation that he believes is a concession to UP. He also asked whether the new standards would be published on the Caltrain website for public inspection. Bin responded that regarding the 1% grade, there will be no changes to the 2011 standard because Caltrain is a shared corridor with Union Pacific. Joe Navarro, Deputy Chief, Rail Operations stated that staff will take concerns into consideration. Additionally, Mr. Navarro stated that once the standards have been updated, they will be available on the website. Mr. Zhang stated that they should be published on the website by the end of summer. Vice Chair Brandt requested an update regarding Caltrain buying out or taking over the UP-freight franchise. Mr. Navarro thanked Vice Chair Brandt for his comments.

Member Kutler stated it would be great to invest in Standards for Pedestrian Access specifically standards for station entries and signage, because new users may be confused especially during construction projects. An engineering standard during construction for example a modified pedestrian access, would be so helpful to the public. Mr. Zhang thanked Member Kutler for her recommendations and stated that it is the next item to incorporate in the standard for construction purposes.

Vice Chair Brandt requested a response to his previous question other than thank you. Mr. Navarro stated that staff will get back to him with further information at a later time.

### Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, thanked Mr. Zhang for the presentation and posting it to the website. He then asked where the engineering standards for tunnels are. He asked why you can't have tracks leaving two tracks at grade and then have the passing tracks in the tunnel. Roland then address 870 ft. platforms, he said that if you start doing this, you will never ever be able to use these platforms until every single platform is 8700 ft. long. Then regarding Transbay, he stated that the only way twelve trains can be stored before the tunnel open is by stacking them and asked how this will work. He then advised that he will send a letter to staff explaining how what Balfour Beatty is building will not work with High Speed Rail. He addressed the Hillsdale center boarding and said that it is beautiful; however that is where the four tracks will be. He then addressed the 1% grade and said that Diridon needs a minimum of 1.5 % and that Caltrain will need potentially 3% to get into the Transbay terminal.

Doug DeLong via Zoom Q&A, stated that the issue regarding the grades and the freight railroad is really not just an engineering issue, but it is a real estate negotiation issue in terms of the Trackage Right Agreement and Union Pacific has the possessor interest in the real estate. Caltrain does not own all the right of way free and clear to do anything with it. It is not just a question of how steep a hill can the trains climb.

### STAFF REPORT UPDATE

Joe Navarro, Deputy Chief, Rail Operations reported:  
(The full report can be found on [caltrain.com](http://caltrain.com))

#### On-time Performance (OTP) –

- **December:** The December 2020 OTP was 95.3% compared to 92.5% for December 2019.
  - **Vehicle on Tracks** – There was one day, December 20, with a vehicle on the tracks that caused train delays.
  - **Mechanical Delays** – In December 2020 there were 308 minutes of delay due to mechanical issues compared to 860 minutes in December 2019.
  - **Trespasser Strikes** – There was one trespasser strike on December 8, resulting in a fatality.
- **November:** The November 2020 OTP was 96% compared to 93.4% for November 2019.

(The full report can be found on [caltrain.com](http://caltrain.com))

Mr. Navarro mentioned that when building on top and building below, you do not have to go very far, in New York City; they built the Barkley Center, which is a sporting arena over top of Long Island Railroad yard in Brooklyn. The developer paid for it in New York. At 31st and 11th where there was a cut section before you go into the North River tunnels, they built a deck and a 26-story high rise over that without shutting down the railroad. There are amazing things going on right here in the United States. At the Post Office between 8th and 31st, they used 70% of that for a new station and connected it with Penn Station. Then there is east side access that is tunneling underground to go to Grand Central Terminal from Long Island. There are a lot of examples we can learn from to utilize on Caltrain property. Mr. Navarro then shared that on December 14th, there was a service change made to the schedule, the same day Atherton station closed. Because of the higher restricted Stay at Home Orders and the Holidays, the data is affected and we will present data in March. If it is decided to change the schedule, the update will be presented to this committee in February. Staff is working with BART as they are looking to change their schedule in March. Lastly, Mr. Navarro

reported that the upgrades to the TVMs have been delayed by a month due to the Stay at Home orders and will have an update next month.

Committee Comments:

Vice Chair Brandt asked where the shoreline negotiations are. Mr. Navarro stated that since COVID negotiations have quieted down and does not know where it stands.

Public comments:

Roland Lebrun, San Jose, via Zoom Q&A, appreciated Joe's comment regarding ridership after the schedule change and is fair, however would like an update in February, if possible. He then mentioned the TASI contract and stated that they have lost a few minutes with mechanical failures, but how much service are they providing pre-COVID. Is there an improvement or the same as before? He then asked the same for On Time Performance, with the padding and less service with one train an hour, was there an improvement. He requested everything be on the same page, not just ridership and the other figures with Mechanical Failures and On Time Performance.

Doug DeLong via Zoom Q&A, said that regarding the freight operations, he believes Union Pacific hosted tours by several potential operators quite a while ago, a year or two ago. He stated as he understands the agreement between UP and Caltrain UP would have had to bring any potential operator to Caltrain to get their approval before they entered into a contract with them and no such action has appeared on a Board Agenda. He stated that if Caltrain took over freight operations, the downside of that to Caltrain is that they would be then taking over the common carrier freight obligation.

## **JPB CAC Work Plan**

### February 17, 2021

- San Francisco Downtown Extension update
- Grade Crossing Improvements
- Industry Safe Functionality
- Website Update

### March 17, 2021

- Sales Tax Measure
- 

### April 21, 2021

- EMU Testing Update
- PCEP Update

### May 19, 2021

- FY 2022 JPB Operating & Capital Budgets & TASI Budget

Suggested Items:

- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- San Mateo County Climate Action Plan – requested by Member Rosalind Kutler on 10/16/19
- MTC Means-Based Discount Fare program update
- Caltrain connections with other agencies – requested by Member Rosalind Kutler on 12/18/19
- Update on grade crossing pilot six months after installation – requested by Member, Patrick Flautt on 12/18/19
- Summary video of the CAC meetings by the Social Media Officer – requested by Chair, Brian Shaw on 12/18/19
- Operating Costs – requested by Member Adrian Brandt on 2/13/20
- Rail Corridor Use Policy – requested by Member Anna Dagum on 10/21/20
- South San Francisco
- Overview of COVID19 train schedule

**DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:**

February 16, 2021 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2<sup>nd</sup> Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 8:26 pm



BOARD OF DIRECTORS 2021

DEVORA "DEV" DAVIS, CHAIR  
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JIM HARTNETT  
EXECUTIVE DIRECTOR

## Memorandum

**Date:** January 25, 2021  
**To:** Board of Directors  
**From:** Jim Hartnett, Executive Director  
**Subject:** February 4, 2020 JPB Board Meeting Executive Director's Report

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- **On-time Performance –**
  - **Through January 24:** The preliminary January 2021 OTP was 90.8 percent compared to 95.4 percent for January 2020.
    - **Trespasser Strikes –** There was one trespasser strike on January 21, resulting in a fatality.
  - **December:** The December 2020 OTP was 95.3 percent compared to 92.5 percent for December 2019.
    - **Trespasser Strikes –** There was one trespasser strike on December 8, resulting in a fatality.
- **CAC Meeting –** The Citizens Advisory Committee met on Wednesday, January 20, via teleconference. Dan Provence, Planning Administrator – Stations Mobility Access, provided a presentation on Bike Lockers. Brian Fitzpatrick, Director – Real Estate & Development, provided a presentation on TOD (Transit Oriented Development). Bin Zhang, Acting Deputy Director – Infrastructure Engineering, provided a presentation on Caltrain Construction Standards. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, February 17, via teleconference or in San Carlos.
- **BAC Meeting –** The Bicycle Advisory Committee met on Thursday, January 21, via teleconference. Emma Shlaes from the Silicon Valley Bike Coalition gave an update on Surveying Silicon Valley on Cycling, Travel Behavior, and Travel Attitudes. Dan Provence, Planning Administrator – Stations

Mobility Access gave an update on Bike Parking Vendor Request for Proposals. Lori Low, Government & Community Affairs Officer, provided the Staff Report. The next Bicycle Advisory Committee is scheduled for Thursday, March 18, via teleconference or in San Carlos.

- **Special Event Train Service** – Caltrain is not operating special event service due to the cancellation or postponement of events as result of the COVID-19 pandemic.

#### **Services Provided:**

- **Modified Service** –The Modified Schedule was implemented during the following observed holiday:
  - Monday, January 18, 2021 – Martin Luther King Day

Due to the COVID-19 pandemic, Caltrain's annual Celebration Train did not operate on MLK day. Caltrain advised fans of the event to instead participate in the Northern California Dr. Martin Luther King Jr. Community Foundation's MLK 2021 Virtual Celebration.

#### **Services Scheduled:**

- **San Jose Sharks Regular Season** – Due to the COVID-19 pandemic, the Sharks are playing the 2021 season without fans in the stands.
- **Warriors Regular Season** – Due to the COVID-19 pandemic, the Warriors are playing the 2021 season without fans in the stands.
- **Modified Service** – The Modified Schedule which was revised with Caltrain's December 2020 service changes includes early morning service and two round trips from Gilroy to SF. The Modified schedule will be implemented on the following holiday:
  - Monday, February 15, 2021 – President's Day

#### **Capital Projects –**

The Capital Projects information is current as of January 15, 2021 and is subject to change between January 15 and February 4, 2021 (Board Meeting).

- **San Mateo 25th Avenue Grade Separation Project:** Raise the elevation of the alignment from Hillsdale Boulevard to south of the Highway 92 Overcrossing in the city of San Mateo. The project creates a grade

separation at 25th Avenue, relocates the Hillsdale Station to the north, and creates two new east-west street grade-separated connections at 28th and 31st Avenues in San Mateo.

The temporary closure of the Hillsdale Station, to allow completion of the project, began on May 16, 2020 and will continue into late winter/early Spring to allow construction of the new grade separations. During the temporary closure trains that normally stopped at Hillsdale will stop at Belmont, and bus and shuttle service between Belmont and Hillsdale Station has been provided to minimize the temporary passenger inconvenience.

In January, construction activity continued for the underground utilities, sidewalks, curb and gutters subgrade preparation, and asphalt pavement for the new 28th Avenue Underpass. Work also continued for retaining walls and underground utilities for the future roadway underpass at 31st Avenue. Work also continued for the architectural and electrical finishes for the new Hillsdale Station and connecting bridges at 28th Avenue and the Pedestrian Underpass. Also in progress is the construction of the new parking lots along Delaware Street on the east side of the alignment.

Adjacent to this project is a new contract to relocate and improve the storm drain system along Delaware Street adjacent to the new station and new parking lots on the east side of the project. This work was to be undertaken by the City of San Mateo. This work is now being performed by Caltrain at the request of the City. The Limited Notice to Proceed was issued in mid-November 2020 to kick off the 60-day administrative period. Construction is expected to begin in early 2021 and complete in mid-2021. Community outreach regarding upcoming construction is ongoing.

Total project budget and schedule are currently impacted. Project team has been working with funding agencies to acquire additional funding and has coordinated with the City of San Mateo, SMCTA Board and JPB Board to update budget authority and schedule. A revised budget and increase in contract authority will be presented at the February Board meeting.

- **South San Francisco Station Improvements:** Replace the existing side platforms with a new centerboard platform, construction of a new connecting pedestrian underpass to the two new plazas in downtown South San Francisco to the west and the shuttle area to east. Upon completion, the hold-out rule at this station will be removed that currently impacts the overall system operational efficiency.

In January, the contractor (PMI) continued the construction of Ramp 3 (leading to West Plaza entrance), Ramp1/Stair 1 (East Side entrance on



Poletti Ave.) and the Pedestrian Underpass. Currently, the project completion date is forecasted to extend from December 2020 until July 2021.

Due to Utility and contractor caused delays, the overall project budget and schedule is being assessed.

**Marin and Napoleon Bridge Rehabilitation Project:** This state of good repair project will perform repairs at the Marin St. Bridge and replace the Napoleon St. Bridge. Both bridges are in the City of San Francisco located south of the 22nd Street Station. The repairs at Marin Street are primarily for concrete spalling and cracks, and deficient walkways and handrails. The Napoleon St. bridge concrete spans will be removed and replaced with elevated soil berm structures and the main steel span will be replaced with a new steel span. The span replacement at Napoleon Street will require partial weekend service outages between Bayshore and 4th & King Stations during the outages. The project will install security fencing to deter encampments, and, also include track improvements in the vicinity of the bridges.

Construction activities performed in January included the installation micropiles that are needed to support the substructure and footings of the Napoleon Bridge. The contract is planned to complete in the summer of 2021.

Emergency work, as authorized by the Board Chair, was performed to provide support to the Napoleon Street Bridge piers that was discovered to be deficient during excavation. The work consists of injecting structural concrete fill and modified design for micro-piles. The increase in project budget and contract authority that was approved at the January Board meeting is to cover the emergency work.

- **Burlingame Broadway Grade Separation Project:** This project will grade separate the railroad alignment at Broadway, between Carolan and California Avenues, in the city of Burlingame and remove the current at-grade crossing. As a part of this project, the Broadway Station will become elevated and the hold out rule at this station will be eliminated that impacts operational efficiency. Currently this project is funded for the design phase through local funds (San Mateo County Transportation Agency Measure A and City of Burlingame). The City of Burlingame is the sponsor of the project with Caltrain acting as the lead agency to implement the project.

The project will improve both traffic safety and traffic flow on Broadway. The Project will also provide improved and more efficient traffic movement along all the adjacent streets and intersections surrounding the crossing.

Pedestrian and vehicle safety will be greatly improved by creating clear separation between pedestrians/vehicles and trains, and by eliminating the potentially dangerous conflicts presented by the current at-grade crossing. Lastly, railroad operation efficiency will also be improved as there have been numerous accidents at the Broadway at-grade crossing, many involving vehicles stopped on the tracks. The Broadway at-grade crossing is currently ranked on the California Public Utilities Commission's Grade Separation Priority List as the top ranked crossing for grade separation in northern California and as the second highest ranked crossing in the state. The Project can: 1) help reduce emergency response times as the Caltrain corridor bisects the east and west sides of the City, 2) help to alleviate traffic queuing on Broadway, which extends east to the U.S. Highway 101 ramps, 3) reduce traffic delays at nearby intersections with California Drive, Carolan Avenue and Rollins Road, and 4) significantly improve access to the Broadway commercial district from U.S. Highway 101, which would further support economic development.

In October 2020, the project received FTA approval of the environmental clearance documents that were completed as a part of the preliminary engineering phase. On November 5, 2020, the final design contract was awarded to complete the design from Preliminary Engineering (35%) to Issue for Bid documents. The project has held the kick off meeting with the design consultant in early January to commence the final design phase. The current schedule is to complete the final design for construction contract advertisement by mid-2023 and for construction to occur from early 2024 to early 2026.

- **Ticket Vending Machine (TVM) Rehabilitation:** Upgrade the existing TVM Server and retrofit and refurbish two existing TVM machines to become prototypes for new TVM's so that the machines are capable of performing the functions planned for the current Clipper program. The new machines will be able to dispense new Clipper cards (excluding discount Clipper cards that require verification of eligibility) and have the ability of increasing the cash values of existing Clipper cards. The scope of the original contract was increased to include upgrades to the credit card reader and the database.

In early October, the first phase of the project to develop a prototype Clipper TVM has successfully completed final acceptance testing that results in completion of Phase 1. Phase 2 for the retrofitting of 12 additional TVM's continued in January with target completion of Phase 2 by early 2021. The funding for Phase 3, for the rehabilitation of an additional 22 TVM's, has now been secured and will also be added to the project. Additional funds for Phase 4 for another 25 TVM's are included in the FY21 Capital Budget amendment that was approved in October. Phase 4 will be added to the

project when funding becomes available. Additional phases beyond Phase 4 are required to upgrade all stations.

- **Mary and Evelyn Avenue Traffic Signal Preemption Project:** Perform upgrades to train approach warning systems at the Mary Avenue and Evelyn Avenue crossings in Sunnyvale. The project will improve vehicle safety at the at-grade crossings by increasing the traffic signal advance warning times for approaching trains in order to clear vehicles at the crossings. This project will mimic the previously completed traffic signal preemption project that was completed in 2014 in Redwood City, Palo Alto and Mountain View. This project is being funded through the State of California Public Utilities Commission Section 130 program to eliminate hazards at existing grade crossings.

The 100% crossing design by the Electrification project is still not yet available for design coordination and a timeframe for its receipt is to be determined. The project has proceeded to complete its own design without this information from the Electrification project. The 100% design is complete and the Notice to Proceed for construction, was issued to TASI on July 9. In January 2021, TASI has received materials for the work and will begin installation of traffic signal preemption equipment that will be followed by testing.

- **FY19/FY20 Grade Crossing Improvements:** This project is a continuation of the ongoing grade crossing program to improve the safety at grade crossings in accordance with Grade Crossing Hazards Analysis for the entire corridor. This analysis prioritized the crossings and we have proceeded with the work in phases based on funding availability. 10 crossings were improved in 2018 under the FY16 budget authorization. Due to budget constraints, the FY19/FY20 scope is limited to five (5) crossings to be improved. The five crossings selected to be improved in this phase are 1st, 2nd, and 3rd Avenues in San Mateo, and, Glenwood and Oak Grove Avenues in Menlo Park. Work items that are included are the installation of signals, fences, gates, curbs, lighting and signs.

The construction contract was advertised for bids on August 31 and bids were received on October 12. The construction contract was awarded at the December 2020 board meeting. Activities to execute the contract continued in January and the Limited Notice to Proceed is expected to be issued by the end of January to initiate the 60-day administrative period. Construction is planned to begin in early 2021 and lasting until Fall of 2021.

- **Churchill Avenue Grade Crossing Improvements:** This project will make pedestrian and bicycle access improvements, and, safety improvements to

the Churchill Avenue crossing in the city of Palo Alto. The project scope includes the widening of the sidewalks, associated relocation of pedestrian gates, and installing new vehicle pavement markings and markers.

The project began in December 2019. The 35% design received in March 2020 is under review including the review by the City of Palo Alto. The City of Palo Alto is rethinking the scope of work for the project and is in discussion with CPUC and Caltrans to modify the scope. The City of Palo Alto has just recently retained a design consultant to support their efforts and coordination meeting have been held between staff and the City's design consultant.

- **Bayshore Station Bridge Painting:** This project will perform rehabilitation of the coatings of the existing steel pedestrian overpass bridge at the Bayshore Station, in Brisbane. The bridge connects the southbound platform to the northbound platform and the parking lots on the east side. The bridge was originally constructed as part of the Caltrain Express project (CTX) in 2002 and has not been repainted since. The bridge's paint coatings are in need of rehabilitation with surface rust that needs to be addressed along with a complete repainting of the bridge to bring the structure to a state of good repair.

The project is currently in the final design phase in developing Issue for Bid construction documents. Coordination and outreach with the Electrification project and also with outside stakeholders such as the Cities of Brisbane and San Francisco have been conducted and continues. Advertisement for bids is forecast for early 2021 with construction in mid-2021 to early 2022.

- **Broadband Wireless Communications:** This project is to provide wireless communications system to provide enhanced capabilities for the monitoring of the railroad operations and maintenance, and, provide Wi-Fi capability for passengers. This project is funded through a grant from the Transit and Intercity Rail Capital Program (TIRCP). Currently, the project is currently only approved for the planning/design phase.

The project has completed the planning/conceptual design phase of the project requirements that began in November 2019. A stakeholder's review of planning/conceptual design phase is currently underway before the project enters the final design phase to complete the design and develop construction contract bid documents. A more definitive project schedule will be developed upon initiation of the final design phase.

- **MP-36 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul of the locomotives includes the complete disassembly of the main diesel engine, overhauling

by reconditioning re-usable main frame components and re-assembly with new engine components and the replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The project work shall be completed off-site at the contractor's facility location. The 6 locomotives to be overhauled are Locomotive #'s 923, 924, 925, 926, 927 & 928. In order to maintain daily service, only 1 to 2 of these locomotives will be released at a time for overhaul that is expected to take approximately 8 months per locomotive. Due to this restriction, the overall completion of this work is expected to take approximately 4 years.

The first vehicle #927 that was shipped to the vendor's facility at Mare Island (Vallejo) in July for overhauling. The return to Caltrain of vehicle #927 has been delayed from early-2021 until mid-2021 due to COVID-19 related impacts to the vendor's supply chain, availability of testing staff due to travel restrictions, and increase in the scope of needed repairs. This delay is expected to be limited to vehicle #927. A second vehicle #924 was shipped to the vendor's facility in November and is currently being overhauled.

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: John Funghi  
Chief Officer, Caltrain Modernization Program

SUBJECT: **PENINSULA CORRIDOR ELECTRIFICATION PROJECT MONTHLY PROGRESS  
REPORT**

**ACTION**

Staff Coordinating Council recommends the Board receive the Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report (MPR). The MPR is available online under "Reports and Presentations" at this webpage: [http://www.caltrain.com/projectsplans/CaltrainModernization/CalMod\\_Document\\_Library.html](http://www.caltrain.com/projectsplans/CaltrainModernization/CalMod_Document_Library.html). No action required.

**SIGNIFICANCE**

Staff prepares and submits a report covering the PCEP on a monthly basis.

**BUDGET IMPACT**

There is no impact on the budget.

**BACKGROUND**

The MPR is intended to provide funding partners, stakeholders, and the public a PCEP overview and an overall update on project progress. This document provides information on the scope, cost, funding, schedule, and project implementation.

Prepared by: Josh Averill, Program Management Administrator

650.508.6453



## Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



# December 2020 Monthly Progress Report

December 31, 2020

## Funding Partners



Federal Transit Administration (FTA) Core Capacity  
FTA Section 5307 (Environmental / Pre Development only)  
FTA Section 5307 (Electric Multiple Unit (EMU) only)



Prop 1B (Public Transportation Modernization & Improvement Account)  
Caltrain Low Carbon Transit Operations Cap and Trade



Proposition 1A  
California High Speed Rail Authority (CHSRA) Cap and Trade



Carl Moyer Fund



Bridge Tolls (Funds Regional Measure (RM) 1/RM2)



San Francisco County Transportation Authority (SFCTA)/San Francisco Municipal Transportation Agency (SFMTA)



San Mateo County Transportation Authority (SMCTA) Contribution  
SMCTA Measure A



Santa Clara Valley Transportation Authority (VTA) Measure A  
VTA Contribution



City and County of San Francisco (CCSF) Contribution



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## **1.0 BACKGROUND**

Over the last decade, Caltrain has experienced a substantial increase in ridership and anticipates further increases in ridership demand as the San Francisco Bay Area's population grows. The Caltrain Modernization (CalMod) Program, scheduled to be implemented by 2022, will electrify and upgrade the performance, operating efficiency, capacity, safety, and reliability of Caltrain's commuter rail service.

The PCEP is a key component of the CalMod Program and consists of converting Caltrain from diesel-hauled to Electric Multiple Unit (EMU) trains for service between the San Francisco Station (at the intersection of Fourth and King Streets in San Francisco) and the Tamien Station in San Jose. Caltrain will continue Gilroy service and support existing tenants.

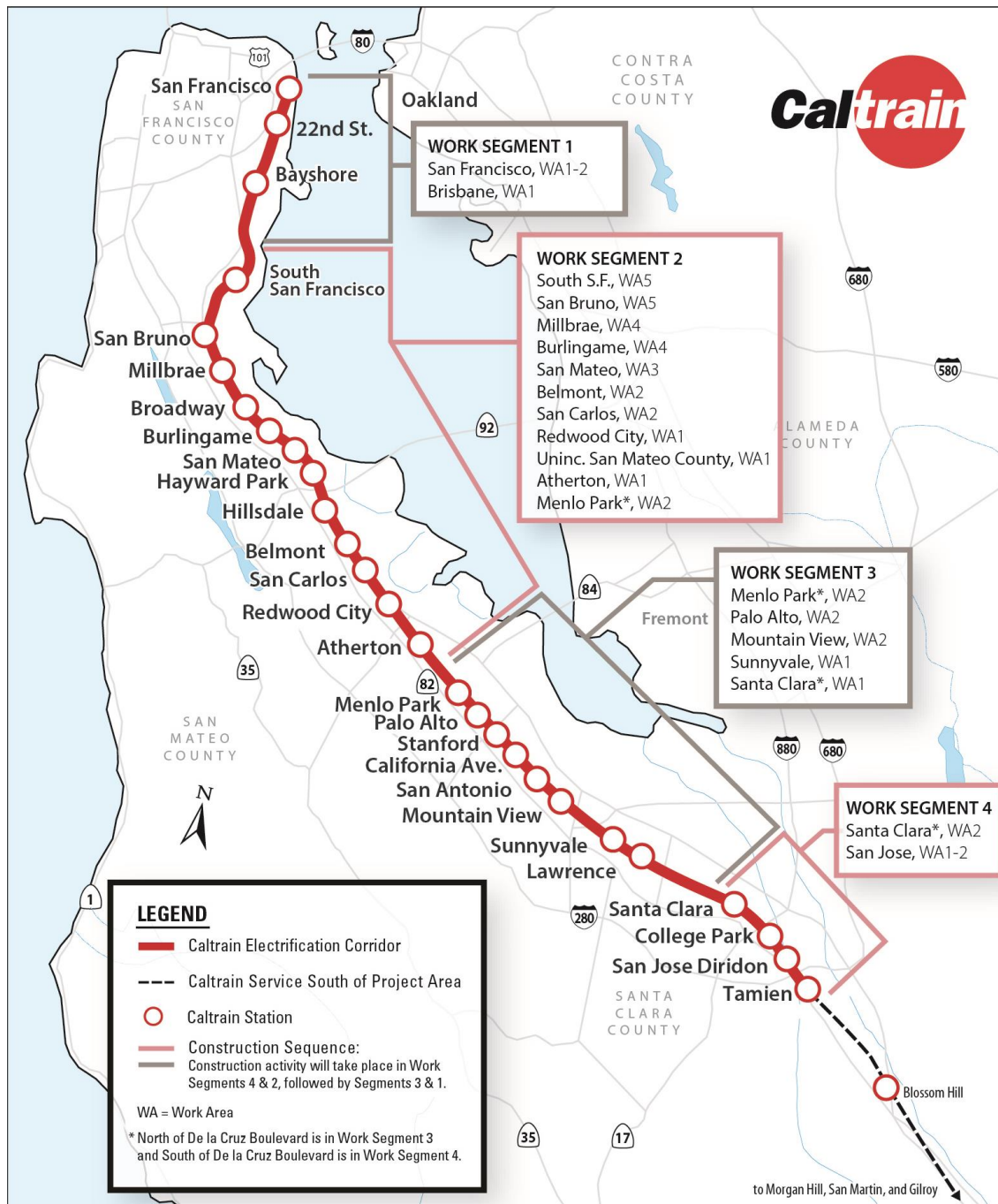
An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable more frequent and/or faster train service to more riders.
- **Increased Revenue and Reduced Fuel Cost:** An electrified Caltrain will increase ridership and fare revenues while decreasing fuel costs.
- **Reduced Engine Noise Emanating from Trains:** Noise from electrified train engines is measurably less than noise from diesel train engines. Train horns will continue to be required at grade crossings, adhering to current safety regulations.
- **Improved Regional Air Quality and Reduced Greenhouse Gas Emissions:** Electrified trains will produce substantially less corridor air pollution compared with diesel trains even when the indirect emissions from electrical power generation are included. Increased ridership will reduce automobile usage, resulting in additional air quality benefits. In addition, the reduction of greenhouse gas emissions will improve our regional air quality, and will also help meet the state's emission reduction goals.

**2.0 EXECUTIVE SUMMARY**

The Monthly Progress Report is intended to provide an overview of the PCEP and provide funding partners, stakeholders, and the public an overall update on the progress of the project. This document provides information on the scope, cost, funding, schedule, and project implementation. Work along the Caltrain Electrification Corridor has been divided into four work segments and respective work areas (WA) as shown in Figure 2-1. PCEP activities are described and summarized by segments and work areas.

**Figure 2-1 PCEP Work Segments**



**Peninsula Corridor Electrification Project**  
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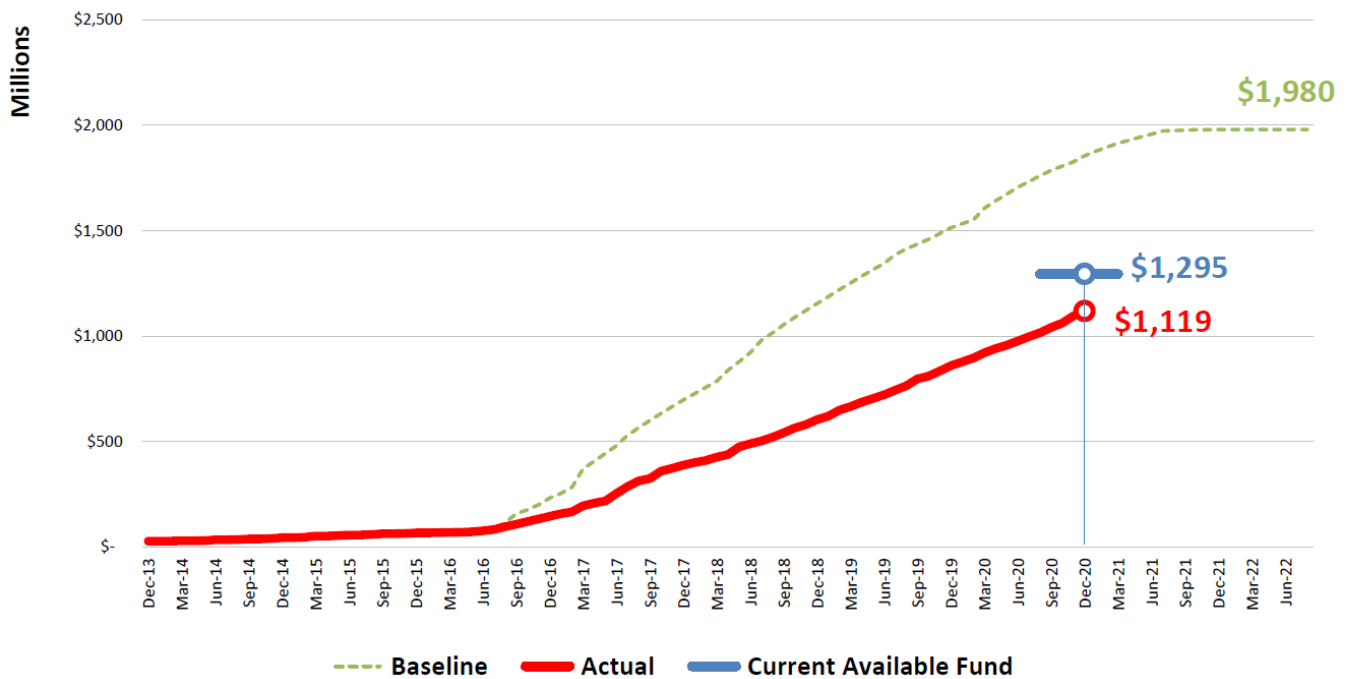
In December, all remaining Overhead Catenary System foundations were installed in Segments 3 and 4. Ongoing construction activities include installation of ductbank, cables, and fences, as well as control point pre-testing. Transmission Structure Poles (TSP) #2, 3, 4, and 5 were installed at FMC Traction Power Substation.

Stadler’s Switzerland-based manufacturing of car shells and truck frames is on schedule. Salt Lake City based manufacturing is still struggling with delays resulting from the Coronavirus. One additional car shell was shipped bringing the total to 62. .

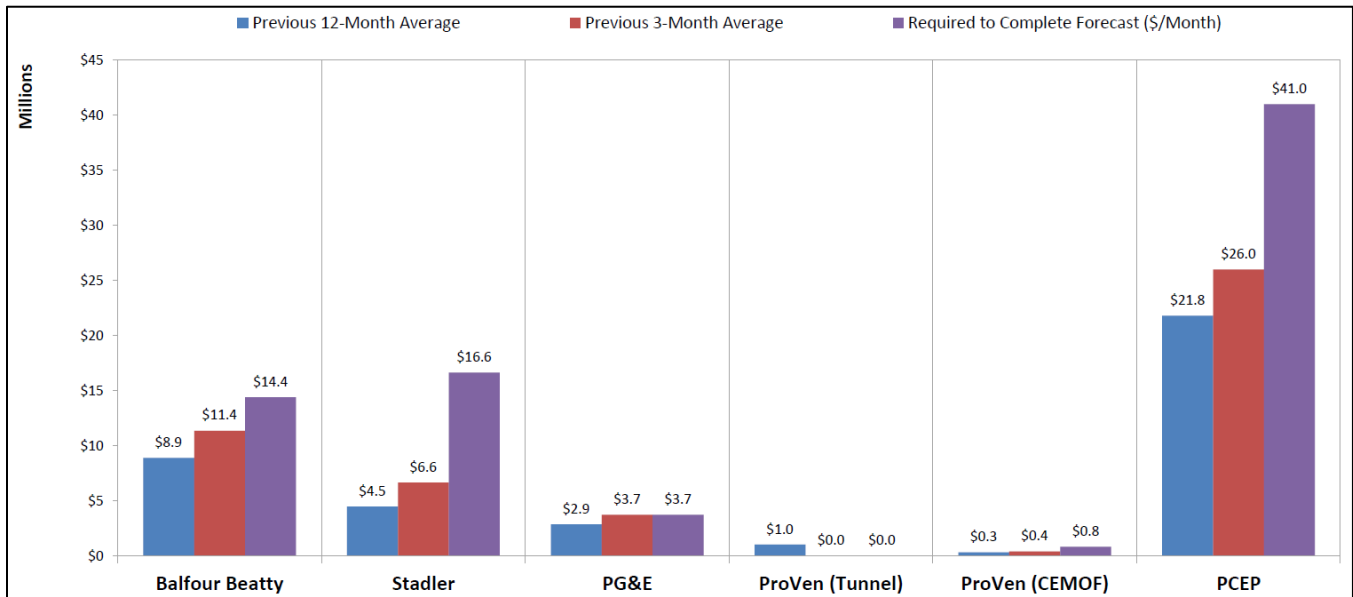
**2.1. Monthly Dashboards**

Dashboard progress charts are included below to summarize construction progress.

**Figure 2-2 Expenditure – Planned vs. Actual**



**Figure 2-3 Spending Rate vs. Required**



**Figure 2-4 Construction Contract Budgets**



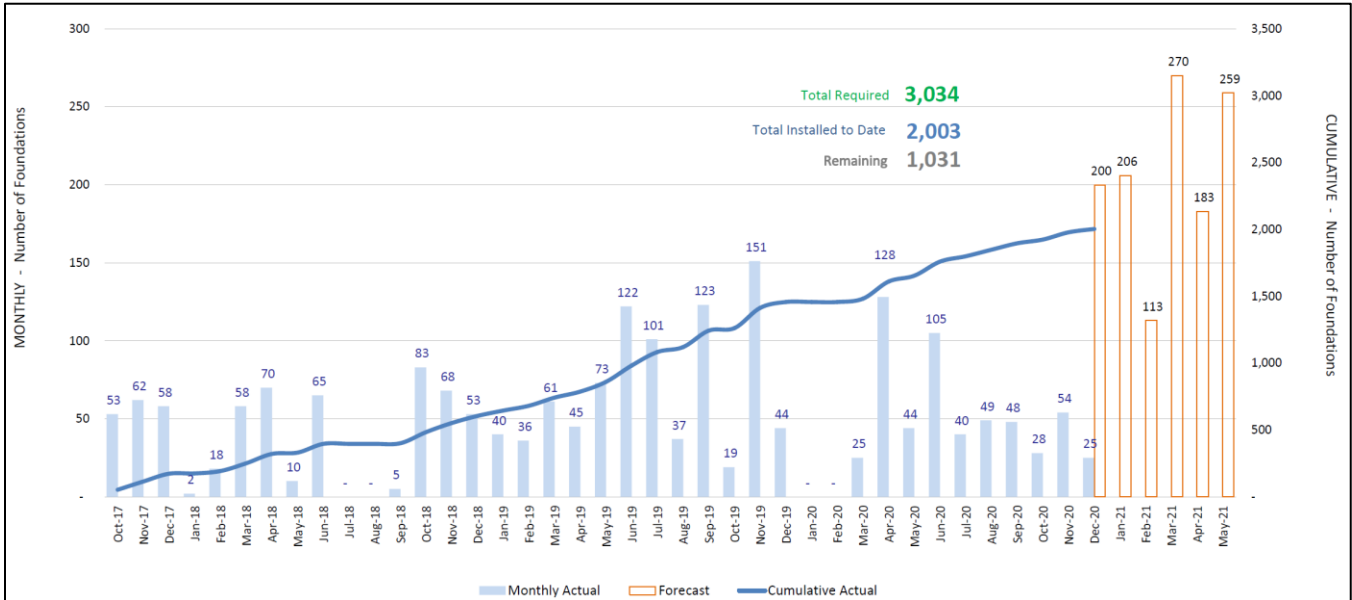
**Notes:**

(1) 3rd Party Improvements/CNPA consists of the following "Below-the-Line" projects:

- Balfour Beatty: (\$1,266,000 Total):
  - CHSRA Early Pole Relocation (Design Only): \$625,000
  - TPSS-2 VTA/BART Pole Relocation (Design Only): \$110,000
  - TPSS-2 VTA/PCEP Pole Height (Redesign): \$31,000
  - Relocation of PS-3 (Burlingame): \$550,000
- Stadler (\$174,804,397 Total):
  - EMU Options Cars: \$172,800,047
  - Add Flip-Up Seats into Bike Cars: \$1,961,350
  - Update VR Experiences: \$43,000

(2) Includes only negotiated change orders not yet executed

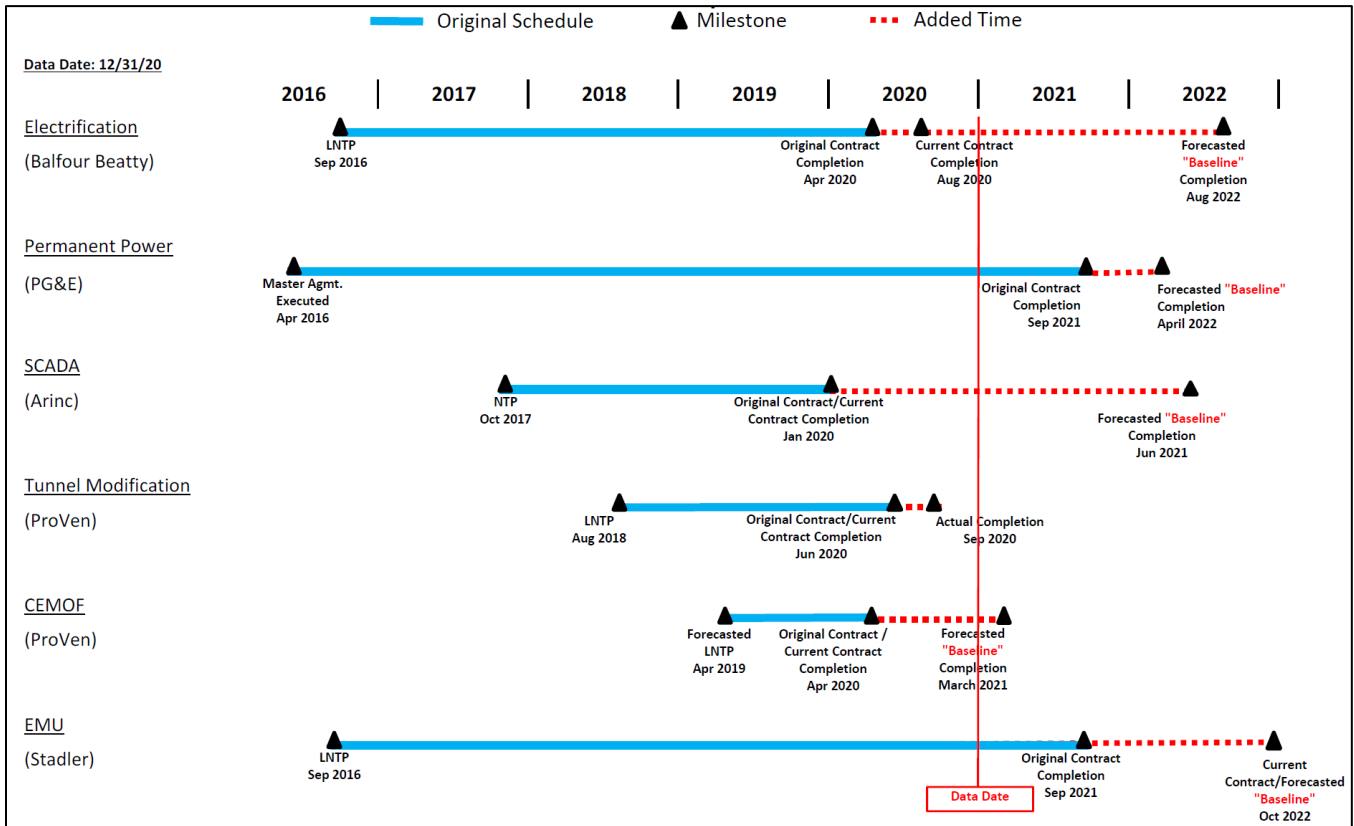
**Figure 2-5 OCS Foundation Production**



Notes regarding tables above:

- BBII is now reporting a delay in the completion date for the OCS foundations from March 31, 2021 to May 7, 2021. The monthly forecast will be revised at the end of ongoing OCS foundation workshops, which are held to determine the level of effort necessary for each of the activities prior to foundation installation. The delay to the OCS foundation completion date did not change the substantial completion date of the BBII contract.

**Figure 2-6 Contractor Completion Schedule**



## **2.2. Funding Partners Participation in PCEP**

The PCEP has a series of weekly, biweekly, monthly and quarterly meetings to coordinate all aspects of the program. The meetings are attended by project staff with participation by our funding partners in accordance with the Funding Partners Oversight Protocol. A summary of funding partner meetings and invitees can be found in Appendix B.

This section of the report provides a summary of the discussions and decisions made at the meetings and a list of funding partners who attended the meetings.

### **Electrification – Weekly Discipline-Specific Meetings**

Purpose: To replace the previous weekly Engineering Meeting with three discipline-specific meetings for the three major categories of work under the Electrification Design Build (DB) contract: Overhead Contact System (OCS) Foundation, Traction Power Facilities (TPF), and Signals. Each meeting will focus on the status, resolution and tracking of Balfour Beatty Infrastructure, Inc. (BBII) and Electrification design- and construction-related issues.

#### Activity this Month

##### **OCS Foundation Meeting**

Funding Partners: None

- Review of upcoming foundation design and installation schedule
- Discussion of open issues impacting foundations design and installation
- Discussion of outstanding Requests for Information (RFI)
- Review of foundation designs that potentially impact Right of Way (ROW)
- Review of outstanding Field Orders or Change Notices required for work to continue

##### **TPF Meeting**

Funding Partners: None

- Review of outstanding items as they relate to the design and construction of the PG&E Interconnection
- Review of PG&E Interconnection schedule
- Discuss progress and next steps for the Single-Phase Study
- Discuss outstanding comments on the interconnection agreement
- Review and resolve open issues on the construction and design of the TPFs (paralleling stations, traction power substations, switching station)



### **PCEP Delivery Coordination Meeting – Bi-Weekly**

Purpose: To facilitate high-level coordination and information sharing between cross-functional groups regarding the status of the work for which they are responsible.

#### Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; MTC: Trish Stoops; VTA: Dennis Ratcliffe; CHSRA: Wai-On Siu

In EMU testing and manufacturing, the Design Qualification Testing (Type Testing) has begun on Trainset 1. Stadler has signed a contract with Seisenbacher Austria to supply luggage racks for Trains 4-19, and production continues on Trainsets 2-11. The damaged carshell is fully repaired and was shipped out on December 9 heading back to Salt Lake City. Trainset 1 delivery to Pueblo has been pushed another three weeks due to impacts from Coronavirus 2019 (COVID-19). The Request for Change (RFC) for the FRA-requested barrier was submitted by Stadler on December 8. For the Centralized Equipment Maintenance and Operations Facility (CEMOF), work at the north pit is complete and work at the south pit is ongoing. In Design Build activities, all underground foundations in Segments 3 and 4 have been completed. PG&E has started work at the VTA site on December 7. Ferrera has received the transmission structure poles (TSPs) at TPS-2 and has set Structures #3 and #5. BBII has started construction at PS-3 on December 14 and began installation of the temporary fence and removal of the asphalt at the parking lot. For the Tunnel Modification Project, ProVen is projected to get all as-builts for the Tunnel work by mid-December.

### **Systems Integration Meeting – Bi-Weekly**

Purpose: To discuss and resolve issues with inter-system interfaces and to identify and assign Action Item Owners for interface points that have yet to be addressed.

#### Activity this Month

Funding Partners: No Funding Partners attended the Systems Integration Meeting this month.

Bi-weekly PCEP System Integration meetings are held to monitor and determine appropriate resolution for systems integration issues. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, Positive Train Control (PTC) and Caltrain Capital Project managers responsible for other capital projects on the corridor is ongoing. There is coordination with the Tunnel Modification Project, PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. The Systems Integration meeting has been re-focused to track and coordinate issues between PCEP and the overall agency (JPB). This was done to avoid task overlap with the JPB Rail Activation Committee. A smaller “breakout” group is meeting to determine and track what testing and with which resources will need to be coordinated among the various contracts and suppliers. This “Testing and Commissioning Meeting” is the primary interface to the PCEP Design-Build Team at this time. Work to define dependencies for completion of Segment 4 (Intermediate Milestone #1) is ongoing with the Testing & Commissioning discussion. Work continues to develop

a schedule fragnet for the achievement of Intermediate Milestone #1. This group will report back to the System Integration meeting group with their findings.

### **Master Program Schedule (MPS) Meeting – Monthly**

Purpose: To review the status of the MPS and discuss the status of major milestones, critical and near-critical paths, upcoming Board review items, and progress with the contracts, among others.

#### Activity this Month

Funding Partners: Metropolitan Transportation Commission (MTC): Trish Stoops; VTA: Manolo Gonzalez-Estay; SFCTA: Luis Zurinaga; CHSRA: Wai-on Siu

The program's critical path continues to run through the manufacturing and testing of EMU trainsets. Stadler continues to progress in EMU assembly and testing efforts below baseline productivity levels due to COVID-19. The incorporation of this delay has resulted in a one-month delay to the 14th Trainset acceptance. This remains a fluid situation as the effect of COVID-19 on Stadler's schedule during the upcoming winter months remains unknown. These delays continue to be examined for potential impact on Revenue Service Date (RSD).

The forecasted Revenue Service Date has been adjusted from Sept 9<sup>th</sup>, 2022 to October 10<sup>th</sup>, 2022. This delay has resulted in a drawdown of all the remaining schedule contingency. The program no longer has any schedule contingency.

BBII has a one-month schedule delay due to the low productivity rate in signal design and installation. JPB is working with BBII to improve progress on both signal system which lags behind baseline productivity level, and traction power facilities which continue to progress at a slow rate.

JPB's forecasted substantial completion date for the BBII contract is August 26<sup>th</sup>, 2022. However, this date is subject to change in the future upon concluding the mediation process between JPB and BBII.

PG&E's latest schedule update for the permanent power available date has changed from Sept 2021 to April 2022 due to a schedule delay in the construction at the FMC Substation.

### **Risk Assessment Meeting – Monthly**

Purpose: To identify risks and corresponding mitigation measures. For each risk on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at the ongoing risk monitoring and monthly risk assessment meetings.

#### Activity this Month

Due to the absence of issues requiring review, no meeting was held in November.

### **Change Management Board (CMB) – Monthly**

Purpose: To review, evaluate and authorize proposed changes to PCEP over \$200,000. The CMB discusses major topics including potential changes to PCEP contracts, contingency usage, track access delays and Differing Site Conditions (DSC) field order updates. Potential contract changes will follow the PCEP Change Order Procedure. Once approved changes are executed, they will be reported in the Change Management section (Section 9) of this report.

#### Activity this Month

The CMB meeting occurred on December 2.

Funding Partners: CHSRA: Simon Whitehorn; VTA: Dennis Radcliffe; SFCTA: Luis Zurinaga; SMCTA: Joe Hurley; MTC: Trish Stoops and Kenneth Folan

#### BBI Contract

No changes were identified for consideration.

#### CEMOF Contract

No changes were identified for consideration.

#### Stadler Contract

No changes were identified for consideration.

#### SCADA Contract

No changes were identified for consideration.

#### Tunnel Modification Contract

No changes were identified for consideration.

#### Amtrak Contract

No changes were identified for consideration.

#### Other

One change was approved.

### **2.3. Schedule**

The program's critical path continues to run through the manufacturing and testing of EMU trainsets. Stadler continues to progress in EMU assembly and testing efforts below baseline productivity levels due to COVID-19. The incorporation of this delay has resulted in a one-month delay to the 14th Trainset acceptance. This remains a fluid situation as the effect of COVID-19 on Stadler's schedule during the winter months remains unknown. These delays continue to be examined for potential impact on Revenue Service Date (RSD).

The forecasted Revenue Service Date has been adjusted from Sept 9, 2022 to October 10<sup>1</sup> 2022. This delay has resulted in a drawdown of all the remaining schedule contingency. The program no longer has any schedule contingency.

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JPB's forecasted substantial completion date for the BBII contract is August 26th, 2022. However, this date is subject to change in the future upon concluding the mediation process between JPB and BBII.

PG&E's latest schedule update for the permanent power available date has changed from Sept 2021 to April 2022 due to a schedule delay in the construction of the East Grand Substation.

Table 2-1 indicates major milestone dates for the MPS.

**Table 2-1 Schedule Status**

Milestones	Program Plan	Progress Schedule (December 2020) <sup>1</sup>
Arrival of First Vehicle in Pueblo, CO	N/A	02/19/2021 <sup>2</sup>
Arrival of First Vehicle at JPB	N/A	06/25/2021 <sup>2</sup>
Segment 4 Completion	11/21/2019	06/14/2021
o Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	01/29/2021
PG&E Provides Permanent Power	09/09/2021	04/15/2022
Electrification Substantial Completion	08/10/2020	08/26/2022 <sup>*</sup>
Acceptance of 14 <sup>th</sup> Trainset	08/20/2021	10/10/2022 <sup>2</sup>
Revenue Service Date (RSD)	12/09/2021	10/10/2022 <sup>3</sup>
FFGA RSD	08/22/2022	08/22/2022

Note:

- <sup>1</sup> Dates may shift slightly as the update of this month's Progress Schedule is still in process.
  - <sup>2</sup> These dates are expected to be delayed due to COVID-19 impacts on Stadler's Assembly & Testing facility in Salt Lake City.
  - <sup>3</sup> See "Notable Variances" in Section 7 for explanation on date shift.
- \* Pending mediation process resolution with BBII.

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**2.4. Budget**

A summary of the overall budget and expenditure status for the PCEP is provided in Table 2-2 below.

**Table 2-2 Budget and Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$16,427,997	\$854,947,111	\$461,178,097	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$6,207,661	\$263,978,243	\$400,149,082	\$664,127,325
<b>PCEP TOTAL</b>	<b>\$1,980,252,533</b>	<b>\$1,980,252,533</b>	<b>\$22,635,657</b>	<b>\$1,118,925,353</b>	<b>\$861,327,179</b>	<b>\$1,980,252,533</b>

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

**2.5. Board Actions**

- None

**Future anticipated board actions include:**

- Change orders as needed

**2.6. Government and Community Affairs**

There was one outreach event this month.

### **3.0 ELECTRIFICATION – INFRASTRUCTURE**

This section reports on the progress of the Electrification, SCADA, and Tunnel Modification components. A brief description on each of the components is provided below.

#### **3.1. Electrification**

The Electrification component of the PCEP includes installation of 138 miles of wire and overhead catenary system (OCS) for the distribution of electrical power to the EMUs. The OCS will be powered from a 25 kilovolt (kV), 60-Hertz, single phase, alternating current supply system consisting of two traction power substations (TPS), one switching station (SWS), and seven paralleling stations (PS). Electrification infrastructure will be constructed using a DB delivery method.

##### **Activity This Month**

- Completed installation of OCS foundations in Segments 3 and 4.
- Continue to install off-track foundations in Segment 1.
- Continued installation of OCS poles, cantilevers, and wires in Segment 3 following the foundations.
- Continued regulation of OCS wires (sagging the wires) in Segment 3.
- Continued installation of shunt wires in Segment 3.
- Potholed at proposed OCS locations and utility locations in all Segments in advance of foundation installation. BBI and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued installation of gantry termination cabinet, AC/DC panel and lighting foundations at PS-5.
- Continued 25kV enclosure and ductbank installation at PS-2.
- Continued gantry and disconnect switch installation at PS-4.
- Continued CMU wall construction at PS-6.
- Continued fence and low voltage drop installation at PS-7.
- Continued CMU wall construction and fence installation at TPS-1.
- Continue to address PG&E punch list items and low voltage drop installation at TPS-2.
- Continued to install signal ductbank, conduits, and cables in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segment 4.
- Continued to plan for the second signal cutover in Segment 4.
- Installed signal case at Control Point (CP) Center Remote Mile Post (MP) 14.01.

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- Continued cable termination at CP Stockton.
- Performed pre-testing at CP Mack and CP Delmas.
- Continued fiber optic cable installation and splicing in Segment 4.
- Continued drilling of rails for impedance bond connections in Segments 1, 2, 3, and 4 at various control points and crossings.
- Install overhead bridge attachments at various locations in Segment 4.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Continued Right of Way acquisition process for off-track foundation installation in Segment 1.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued internal discussions about design, installation and testing of signal and communications modifications to the Caltrain system and schedule for cutover plans.
- Continued discussions with VTA on Right of Way acquisition for construction of TPS-2 interconnection.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued model validation for the single phase study.
- PG&E continued work at East Grand and FMC substations.
- PG&E continued TPS-2 Interconnection work.

A summary of the work progress by segment is provided in Table 3-1 below.

**Table 3-1 Work Progress by Segment**

Segment	Work Area	Foundations			Poles		
		Required <sup>abc</sup>	Completed this Month	Completed to Date	Required <sup>ab</sup>	Completed this Month	Completed to Date <sup>d</sup>
1	Tunnels	32	0	32	32	0	32
	A	309	0	0	259	0	0
	B	237	11	64	177	0	0
2	5	236	0	209	208	0	160
	4	314	0	238	253	0	190
	3	176	0	128	140	0	43
	2	247	0	78	205	0	60
	1	207	0	79	154	0	33
3	2	510	1	510	460	9	442
	1	391	1	391	311	1	287
4	A	241	5	246	180	8	136
	B	128	7	123	124	4	91
	CEMOF	96	0	0	88	0	0
<b>Total</b>		<b>3,124</b>	<b>25</b>	<b>2,098</b>	<b>2,591</b>	<b>22</b>	<b>1,474</b>

Note:

- a. Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
- b. Reported number of required poles and foundations fluctuate due to Design changes.
- c. Update: To-date, 30 foundations have been installed by the South San Francisco in S2WA5 and 65 have been installed by the 25<sup>th</sup> Ave projects in S2WA3.
- d. Poles installed in S3WA2 were unreported in November.

### Activity Next Month

- Continue off-track foundation installation in Segment 1.
- Continue on-track foundation installation in Segment 2 Work Areas (WA) 5, 4, and 3.
- Continue resolution of foundation conflicts.
- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install OCS poles and assemblies in all Segments where available.
- Continue wire installation and regulation in Segments 3 and 4.
- Continue shunt wire installation.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations.
- Continue construction at TPS-1 and TPS-2.
- Continue construction at PS-7, PS-5, PS-4, PS-6, PS-2, and the Switching Station.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in Segment 4 and Segment 2.
- Continue cable termination at signal locations in Segment 4.



- Continue fiber installation and splicing in Segment 4.
- Continue to install impedance bond connections.
- Continue to install bridge attachments.
- Continue to coordinate with stakeholders on the consistent warning time solution and advance location-specific design.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Coordinate with PG&E on final design and construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.
- Continue progress on Single Phase Study.

### **3.2. Supervisory Control and Data Acquisition**

SCADA is a system that monitors and controls field devices for electrification, including traction power substations (TPS), wayside power cubicles (WPC), and the OCS. SCADA will be integrated with the base operating system for Caltrain Operations and Control, which is the Rail Operations Center System (ROCS). A separate control console will be established for the Power Director.

#### **Activity This Month**

- Submitted Monthly Progress Report.
- Made additional updates to SCADA Operations User Manual.
- Completed work on Training Plan and continued work on Training Manual.
- Continued reviewing and analyzing updated points listing received from BBII.
- Received LNTP for pre-Factory Acceptance Test (FAT) changes, initiated reviews.

#### **Activity Next Month**

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Complete any revisions for Operations User Manual
- Complete revisions for Training Manual.
- Complete reviewing updated points listing from BBII.
- Continue progress on pre-FAT changes.
- FAT lab setup and test mobilization.
- Review BBII Point List Changes with MACRO, reach agreement for a Change Order.
- Complete review and implementation of Plate List changes.
- Deliver Training slide deck for Field Power Director Training.

### **3.3. Tunnel Modification**

Tunnel modifications will be required on the four tunnels located in San Francisco. This effort is needed to accommodate the required clearance for the OCS to support electrification of the corridor. Outside of the PCEP scope, Caltrain Engineering has requested the PCEP team to manage completion of design and construction for the Tunnel 1 and Tunnel 4 Drainage and Track Rehabilitation Project. The Tunnel Drainage and Track Rehabilitation Project is funded separately from PCEP.

#### **Activity This Month**

- Letters, submittals, and Requests for Information closeout.
- Change Order reconciliation.
- Received punch list comments from contractors.

#### **Activity Next Month**

- Review and respond to letters.
- Change Order reconciliation.
- PMI to work and correct all punch list items.

### **3.4. Interconnection Construction**

The PCEP will require a 115-kV interconnection to supply power from the PG&E substations to the Caltrain substations in San Jose and South San Francisco. Construction of the interconnections will be performed by PG&E under an amendment to Supplemental Agreement No. 2.

#### **Activity This Month**

- FMC – TPS-2:
  - Engineering and Staging completed.
  - PGE/TRC completed the foundations for all H frames and Transmission Structure Poles (TSPs).
  - TSPs #2, 3, 4, and 5 and H frame structures are installed.
- EGS – TPS-1:
  - Design on hold until approved the new design scope option for overhead or underground.

#### **Activity Next Month**

- FMC – TPS-2:
  - Erect TSP-1 at VTA site; install temporary netting poles and netting; string temporary netting wire and main and redundant fiber.
  - Work toward approving the VTA license.
- EGS – TPS-1:
  - Continue the coordination for the TSP pole design with South San Francisco team and PGE for the redesign of the parking lot.

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- JPB to direct PGE on the new design scope for the TPS-1 site, and Health Peak area.

## **4.0 ELECTRIC MULTIPLE UNITS**

This section reports on the progress of the Electric Multiple Units (EMU) procurement and the Centralized Equipment Maintenance and Operations Facility (CEMOF) modifications.

### **4.1. Electric Multiple Units**

The procurement of EMUs, or trainsets, from Stadler consists of a Base Order of 96 railcars, plus an Option Order of an additional 37 railcars, for a total of 133 railcars. The cars from these two orders will be combined and delivered as 19 seven-car Trainsets. The Base Order is funded from PCEP, and Option Order funded by a Transit and Intercity Rail Capital Program (TIRCP) grant. One more Option for additional cars is available.

#### **Activity This Month**

- COVID-19 related actions continued for the tenth month causing mixed disruptions to Stadler's activities:
  - Stadler's manufacturing facilities in Switzerland supporting the Caltrain Project have returned to normal levels of activity.
  - Stadler's manufacturing facility in Salt Lake City has reverted back to two production shifts in order to limit the number of workers per car. This is due to the October 2020 outbreak of COVID-19 at that facility.
  - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
  - Salt Lake City-based manufacturing is delayed due to previously incurred and ongoing person-power limitations and sub-supplier parts shortages.
  - Stadler has submitted a request for an 'excusable delay' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, shipping the first trainset to Pueblo, Colorado for testing has been delayed almost six months to February 2021, and the first trainset to be delivered to Caltrain delayed 3.5 months to the end of June 2021.
  - Salt Lake City-based 'Type Testing' of Trainset No. 1 is progressing slowly due to COVID-19 travel restrictions. Workarounds, including Stadler obtaining emergency visas, have allowed progress in this area. Type testing began in mid-November.
  - Type testing was delayed at the end of November due to members of the test team quarantining at home per Stadler's coronavirus contact tracing protocol. Two members tested positive and completed their quarantine while the others tested negative and were able to return to work.
  - Stadler's supply chain has been disrupted by two supplier bankruptcies. This will delay delivery of trainsets. The extent of the delay is being evaluated by Stadler.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'PTC.' For train control and MDS, completion is delayed to February 2021 and must be performed prior to the commencement of Pueblo Type Testing. For PTC, completion is anticipated in mid-2021.

- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 62 car shells have been shipped from Stadler Switzerland, with 46 onsite in Stadler's Salt Lake City facility (16 shells are in transit).
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restriction. Audits will commence when sub-suppliers reopen and travel restrictions are lifted.
- Stadler's trainset delivery and testing schedule on Caltrain property has been re-baselined.

**Activity Next Month**

- Continue to close out system level FDRs and FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities.
- Support Train 1 type testing.

**4.2. Centralized Equipment Maintenance and Operations Facility Modifications**

The CEMOF Modifications Project will provide work areas to perform maintenance on new EMUs.

**Activity This Month**

- Install remaining sheet piles.
- Pour walls for the center section of the south pit.

**Activity Next Month**

- Install forms for pit footing at stairs.
- Continue to excavate remaining portion of south pit.
- Install walers and struts at fire sprinkler line.
- Excavate Industrial Waste Line at Fire line.
- Continue with metal stud framing at Component Test Room.
- Install remaining fire sprinkler work at Parts Storage Warehouse.
- Aerial cable conduit installation at the Parts Storage Warehouse.
- Frame insulated closet at the Parts Storage Warehouse.
- Continue with more rack installation at Parts Storage Warehouse.

## **5.0 SAFETY**

Safety and Security requirements and plans are necessary to comply with applicable laws and regulations related to safety, security, and emergency response activities. Safety staff coordinates with contractors to review and plan the implementation of contract program safety requirements. Safety project coordination meetings continue to be conducted on a monthly basis to promote a clear understanding of project safety requirements as defined in contract provisions and program safety documents.

### **Activity This Month**

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Conducted 2020 monthly employee injury reviews for BBII and its subcontractors.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Participated with internal stakeholders in Rail Activation Committee meetings.
- Investigated project incident occurrences and worked with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Conducted ongoing safety inspections of contractor field activities and performed pre-work site hazards assessment walks with BBII and subcontractor staff.
- Performed hi-rail vehicle safety inspections of contractor on-track equipment.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.
- Continued to coordinate with JPB Safety and the project contractors with the application of mitigation measures in response to the evolving COVID-19 virus.
- Participated in several meetings with BBII contractors as a means to facilitate the development of safety and security documentation associated with the testing and commissioning process.

### **Activity Next Month**

- Monthly virtual safety communication meetings continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Continue contractor coordination associated with the testing and commissioning safety and security certification documentation requirements.
- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, and CEMOF work activities to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Reinforce the ongoing application of recommended mitigation measures in response to the evolving COVID-19 virus.

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- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Participate in the FTA / Caltrain – PCEP Quarterly Meeting.

## **6.0 QUALITY ASSURANCE**

The Quality Assurance (QA) staff performs technical reviews for planning, implementing, evaluating, and maintaining an effective program to verify that all equipment, structures, components, systems, and facilities are designed, procured, constructed, installed, and maintained in accordance with established criteria and applicable codes and standards throughout the design, construction, startup and commissioning of the PCEP.

### **Activity This Month**

- Staff meetings with BBII QA/Quality Control (QC) management representatives continue weekly.
- Continued review of BBII-generated Nonconformance Reports (NCR) and Construction Discrepancy Reports for proper discrepancy condition, cause, disposition, corrective and preventive action and verification of closure.
- Continued review and approval of Design Variance Requests for BBII and PGH Wong for QA/QC and inspection issues/concerns.
- Continued review of BBII QC Inspectors Daily Reports, Construction QC Reports and Surveillance Reports for work scope, performance of required duties, adequacy, non-conformances, test/inspection results, follow-up on unresolved issues, and preciseness.
- Continued review of BBII Material Receipt Reports, Certificates of Conformance, Certified Tests Reports, and Certificates of Analysis to ensure delivered project materials conform to specifications, and that contractually required quality and test support documents are adequate and reflect concise conditions per the purchase order requirements.
- Continued regularly scheduled design reviews and surveillances on project design packages.
- Conducted a BBII/PGH Wong 'As-Built' documentation audit.



Table 6-1 below provides details on the status of audits performed through the reporting period.

**Table 6-1 Quality Assurance Audit Summary**

<b>Quality Assurance Activity</b>	<b>This Reporting Period</b>	<b>Total to Date</b>
Audits Conducted	1	129
<b>Audit Findings</b>		
Audit Findings Issued	2	81
Audit Findings Open	0	0
Audit Findings Closed	2	81
<b>Non-Conformances</b>		
Non-Conformances Issued	1	13
Non-Conformances Open	1	4
Non-Conformances Closed	0	9

**Activity Next Month**

- Continue quality monitoring activities.

## **7.0 SCHEDULE**

The program's critical path continues to run through the manufacturing and testing of EMU trainsets. Stadler continues to progress in EMU assembly and testing efforts below baseline productivity levels due to COVID-19. The incorporation of this delay has resulted in a one-month delay to the 14th Trainset acceptance. This remains a fluid situation as the effect of COVID-19 on Stadler's schedule during the upcoming winter months remains unknown. These delays continue to be examined for potential impact on Revenue Service Date (RSD).

The forecasted Revenue Service Date has been adjusted from September 9, 2022 to October 10, 2022. This delay has resulted in a drawdown of all the remaining schedule contingency. The program no longer has any schedule contingency.

BBII has a one-month schedule delay due to the low productivity rate in signal design and installation. JPB is working with BBII to improve progress on both signal system, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

JPB's forecasted substantial completion date for the BBII contract is August 26, 2022. However, this date is subject to change in the future upon concluding the mediation process between JPB and BBII.

PG&E's latest schedule update for the permanent power available date has changed from Sept 2021 to April 2022 due to a schedule delay in the construction of the East Grand Substation.

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Shown below, Table 7-1 indicates major milestone dates for the MPS.

**Table 7-1 Schedule Status**

Milestones	Program Plan	Progress Schedule (November 2020) <sup>1</sup>
Arrival of First Vehicle in Pueblo, CO	N/A	02/19/2021 <sup>2</sup>
Arrival of First Vehicle at JPB	N/A	06/25/2021 <sup>2</sup>
Segment 4 Completion	11/21/2019	06/14/2021
o Interconnection from PG&E Substation to Traction Power Substation (TPS-2)	N/A	01/29/2021
PG&E Provides Permanent Power	09/09/2021	04/15/2022
Electrification Substantial Completion	08/10/2020	08/26/2022 <sup>*</sup>
Acceptance of 14 <sup>th</sup> Trainset	08/20/2021	10/10/2022 <sup>2</sup>
Revenue Service Date (RSD)	12/09/2021	10/10/2022 <sup>3</sup>
FFGA RSD	08/22/2022	08/22/2022

Note:

1. Dates may shift slightly as the update of this month's Progress Schedule is still in process.
2. These dates are expected to be delayed due to COVID-19 impacts on Stadler's Assembly & Testing facility in Salt Lake City.
3. See "Notable Variances" in Section 7 for explanation on date shift.
- \* Pending mediation process resolution with BBII.

**Notable Variances**

COVID-19 related delays to Stadler's assembly and test of EMU trainsets have resulted in later forecasted dates for the arrival of the first trainset in Pueblo, CO, and the 14<sup>th</sup> trainset conditional acceptance. The program critical path continues to run through the manufacturing and testing of EMU trainsets. This delay pushed back the forecasted Revenue Service Date from 09/09/2022 to 10/10/2022.

This impact has resulted in a drawdown of the remaining of schedule contingency. The program no longer has any schedule contingency.

**Table 7-2 Critical Path Summary**

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	10/10/2022
Revenue Service Date (RSD)		10/10/2022

**Schedule Hold Points**

Schedule Hold Points (SHP) represent key milestones on or near a schedule’s critical path that are used as measurement points with respect to contingency drawdown. Delays to these key milestones have resulted in consuming program schedule contingency.

Table 7-3 below reflects the SHPs for the PCEP master program schedule. The dates indicated reflect the planned completion dates for each SHP.

**Table 7-3 Schedule Hold Points**

Schedule Hold Point (SHP)	Date
FTA/PMOC Risk Refresh	08/30/2016 (A)
Begin EMU Manufacturing	12/04/2017 (A)
Arrival of 1 <sup>st</sup> Trainset in Salt Lake City	02/04/2019 (A)
Arrival of 1 <sup>st</sup> Trainset in Pueblo, CO	02/19/2020
Arrival of 1 <sup>st</sup> Trainset at JPB	06/25/2021
Segment 4 Completion	06/14/2021
Conditional Acceptance of 1 <sup>st</sup> Trainset	03/22/2022
System Electrified	08/26/2022
Conditional Acceptance of 14th Trainset	10/10/2022
Revenue Service Date (RSD)	10/10/2022

Note: "(A)" denotes an actual completion

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**8.0 BUDGET AND EXPENDITURES**

The summary of overall budget and expenditure status for the PCEP and Third-Party Improvements is shown in the following tables. Table 8-1 reflects the Electrification budget, Table 8-2 the EMU budget, Table 8-3 the overall PCEP budget, and Table 8-4 Third Party Improvements budget. Table 8-5 summarizes the budget transfers of contingency completed this month.

**Table 8-1 Electrification Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>ELECTRIFICATION</b>						
Electrification <sup>(4)</sup>	\$696,610,558	\$741,406,730	\$7,541,596	\$467,619,526	\$273,787,204	\$741,406,730
SCADA	\$0	\$3,446,917	\$0	\$1,934,371	\$1,512,546	\$3,446,917
Tunnel Modifications	\$11,029,649	\$41,453,871	\$0	\$41,298,739	\$155,132	\$41,453,871
Real Estate	\$28,503,369	\$28,503,369	\$187,401	\$23,006,548	\$5,496,821	\$28,503,369
Private Utilities	\$63,515,298	\$117,768,634	\$5,673,678	\$108,016,924	\$9,751,710	\$117,768,634
Management Oversight	\$141,506,257	\$163,537,005	\$1,663,819	\$151,751,439	\$11,785,567	\$163,537,005
Executive Management	\$7,452,866	\$9,568,427	\$98,510	\$9,121,678	\$446,749	\$9,568,427
Planning	\$7,281,997	\$6,281,997	\$13,427	\$5,909,851	\$372,146	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	(\$1,042)	\$1,459,714	\$329,949	\$1,789,663
Safety & Security	\$2,421,783	\$4,297,861	\$82,200	\$4,075,587	\$222,274	\$4,297,861
Project Management Services	\$19,807,994	\$17,526,725	\$184,568	\$13,224,925	\$4,301,800	\$17,526,725
Engineering & Construction	\$11,805,793	\$13,310,956	\$220,127	\$12,287,154	\$1,023,803	\$13,310,956
Electrification Eng & Mgmt	\$50,461,707	\$52,528,386	\$353,350	\$51,425,184	\$1,103,203	\$52,528,386
Construction Management	\$0	\$10,420,038	\$541,899	\$8,018,540	\$2,401,498	\$10,420,038
IT Support	\$312,080	\$407,170	\$0	\$400,132	\$7,038	\$407,170
Operations Support	\$1,445,867	\$3,337,383	\$26,891	\$2,960,185	\$377,198	\$3,337,383
General Support	\$4,166,577	\$6,963,434	\$58,483	\$6,626,926	\$336,508	\$6,963,434
Budget / Grants / Finance	\$1,229,345	\$1,626,354	\$4,821	\$1,621,468	\$4,886	\$1,626,354
Legal	\$2,445,646	\$4,993,672	\$15,866	\$4,847,823	\$145,849	\$4,993,672
Other Direct Costs	\$5,177,060	\$5,777,060	\$64,720	\$5,064,394	\$712,666	\$5,777,060
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASI Support	\$55,275,084	\$58,755,803	\$1,228,214	\$50,680,139	\$8,075,664	\$58,755,803
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,754,390	\$0	\$806,777	\$13,947,614	\$14,754,390
Required Projects	\$17,337,378	\$10,182,576	\$0	\$968,329	\$9,214,248	\$10,182,576
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$133,287	\$4,320,732	\$1,816,424	\$6,137,156
Contingency	\$276,970,649	\$124,613,360	N/A	N/A	\$37,337,559	\$37,337,559
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$87,275,801	\$87,275,801
<b>ELECTRIFICATION SUBTOTAL</b>	<b>\$1,316,125,208</b>	<b>\$1,316,125,208</b>	<b>\$16,427,997</b>	<b>\$854,947,111</b>	<b>\$461,178,097</b>	<b>\$1,316,125,208</b>

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.

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**Table 8-2 EMU Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>EMU</b>						
EMU	\$550,899,459	\$555,292,618	\$5,148,545	\$205,958,668	\$349,333,951	\$555,292,618
CEMOF Modifications	\$1,344,000	\$7,368,343	\$309,283	\$5,700,902	\$1,667,441	\$7,368,343
Management Oversight	\$64,139,103	\$61,869,311	\$650,871	\$48,769,798	\$13,099,513	\$61,869,311
Executive Management	\$5,022,302	\$6,263,136	\$58,965	\$5,816,962	\$446,174	\$6,263,136
Community Relations	\$1,685,614	\$985,614	\$343	\$678,130	\$307,484	\$985,614
Safety & Security	\$556,067	\$766,796	\$12,755	\$672,475	\$94,321	\$766,796
Project Mgmt Services	\$13,275,280	\$11,275,280	\$113,122	\$8,281,445	\$2,993,835	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,411	\$65,702	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$310,065	\$22,899,488	\$7,081,525	\$29,981,014
Construction Management	\$0	\$1,501,543	\$66,962	\$1,168,695	\$332,848	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$11,082	\$705,433	\$246,657	\$952,089
Operations Support	\$1,878,589	\$781,858	\$8,392	\$396,746	\$385,112	\$781,858
General Support	\$2,599,547	\$2,934,702	\$27,454	\$2,775,594	\$159,108	\$2,934,702
Budget / Grants / Finance	\$712,123	\$1,042,274	\$2,292	\$1,036,941	\$5,333	\$1,042,274
Legal	\$1,207,500	\$1,292,752	\$745	\$1,242,149	\$50,603	\$1,292,752
Other Direct Costs	\$4,003,139	\$4,003,139	\$38,692	\$3,072,328	\$930,811	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$17,270	\$324,142	\$2,465,351	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$927,821	\$0	\$538,280	\$389,541	\$927,821
Finance Charges	\$1,941,800	\$3,761,482	\$81,692	\$2,648,190	\$1,113,292	\$3,761,482
Contingency	\$38,562,962	\$32,079,994	N/A	N/A	\$27,355,876	\$27,355,876
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$4,724,118	\$4,724,118
<b>EMU SUBTOTAL</b>	<b>\$664,127,325</b>	<b>\$664,127,325</b>	<b>\$6,207,661</b>	<b>\$263,978,243</b>	<b>\$400,149,082</b>	<b>\$664,127,325</b>

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

**Table 8-3 PCEP Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$16,427,997	\$854,947,111	\$461,178,097	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$6,207,661	\$263,978,243	\$400,149,082	\$664,127,325
<b>PCEP TOTAL</b>	<b>\$1,980,252,533</b>	<b>\$1,980,252,533</b>	<b>\$22,635,657</b>	<b>\$1,118,925,353</b>	<b>\$861,327,179</b>	<b>\$1,980,252,533</b>

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

**Table 8-4 Third Party Improvements/CNPA Budget & Expenditure Status**

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$941,706	\$0	\$941,706	\$0	\$941,706
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
PS-3 Relocation (FEMA, BGSP Design Coord.)	\$50,000	\$50,000	\$0	\$0	\$50,000	\$50,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$27,900	\$3,100	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$0	\$56,091,851	\$116,708,196	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
Update Virtual Reality Experience	\$43,000	\$43,000	\$0	\$0	\$43,000	\$43,000
<b>CNPA TOTAL</b>	<b>\$176,495,397</b>	<b>\$176,437,103</b>	<b>\$0</b>	<b>\$58,302,132</b>	<b>\$118,134,971</b>	<b>\$176,437,103</b>

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work paid this month.
3. Column D "Cost To Date" includes actuals (amount paid) to date.

Table 8-4 shows improvements outside of the scope of PCEP that are funded with non-PCEP funds. These improvements are implemented through the PCEP contracts. In FTA terminology, these efforts are categorized as Concurrent Non-Project Activities (CNPA).

**CHSRA Early Pole Relocation:** Relocation of 196 OCS poles as part of PCEP. Implementing these pole relocations minimizes future cost and construction impacts. This scope is funded by the CHSRA.

**PS-3 Relocation (Design):** Relocate PS-3 (Burlingame) as part of PCEP to avoid a future conflict with the Broadway Grade Separation Project (BGSP). This scope is funded by the BGSP.

**PS-3 Relocation (FEMA, BGSP Design Coord.):** PS-3 Relocation FEMA Update and Design Coordination: Perform incremental design effort related to the 2019 FEMA requirement update to the flood plain map and design coordination with the BGSP. This scope is funded by the BGSP.

**TPSS-2 VTA/PCEP Pole Relocation and Height (Design):** Design changes due to the relocation of VTA/BART Pole at TPSS-2 location and pole height redesign for live line clearances. This scope is funded by the VTA.

**EMU Option Cars:** Exercise Stadler Contract Option for 37 additional EMUs. This scope is funded with a combination of TIRCP and matching local funds.

**Add Flip-Up Seats into Bike Cars:** Stadler contract change order to add four additional flip-up seats in each of the two unpowered (bike) cars per trainset (eight total per trainset). This scope is funded by Caltrain outside of the PCEP.

**Update Virtual Reality Experience:** Stadler contract change order to update the virtual reality experience to reflect the latest configuration of the trainsets. This scope is funded by Caltrain outside of the PCEP.

**Table 8-5 Budget Transfers of Contingency**

Transfer	Description	Contingency <sup>1</sup>
<b>ELECTRIFICATION</b>		
PROV-071-CCO-033B	Light Towers for Maintenance Building Yard	\$10,393
PROV-071-CCO-049	Lighting at Parts Storage Warehouse	\$6,358
PROV-071-CCO-051	Relocation of an Existing Boosted Water Line in Conflict with South Pit Extension	\$250,000
BT-005D	Budget Allocation for Jacobs CM Services for FY21 H2	\$2,866,938
	<b>ELECTRIFICATION SUBTOTAL</b>	<b>\$3,133,689</b>
<b>EMU</b>		
	<b>EMU SUBTOTAL</b>	<b>\$0</b>
	<b>PCEP TOTAL</b>	<b>\$3,133,689</b>

Notes regarding tables above:

1. Budget amount transferred from project contingency. A negative amount represents a credit to contingency.

Table 8-5 shows budget transfers of project contingency implemented during the current monthly reporting period. This table includes contingency transfers for both executed contract change orders as covered under Section 9.0 and uses of contingency for Program budget line items outside the five PCEP contracts.

Appendix D includes costs broken down by Standard Cost Code (SCC) format. This format is required for reporting of costs to the FTA. The overall project total in the SCC format is lower than the project costs in table 8-3. This is due to the exclusion of costs incurred prior to the project entering the Project Development phase.



## 9.0 CHANGE MANAGEMENT

The change management process establishes a formal administrative work process associated with the initiation, documentation, coordination, review, approval and implementation of changes that occur during the design, construction or manufacturing of the PCEP. The change management process accounts for impacts of the changes and ensures prudent use of contingency.

Currently the PCEP contracts are BBII, CEMOF, Stadler, SCADA, Tunnel Modifications, and Amtrak.

A log of all executed change orders can be found in Appendix E.

### Executed Contract Change Orders (CCO) This Month

#### Electrification Contract

**Change Order Authority (5% of BBII Contract)** **5% x \$696,610,558 = \$34,830,528**

Date	Change Number	Description	CCO Amount
12/22/2020	BBI-053-CCO-111	Incentives Payment for 2019	\$825,000
<b>Total</b>			<b>\$825,000</b>

<sup>1</sup> (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

#### EMU Contract

**Change Order Authority (5% of Stadler Contract)** **5% x \$550,899,459 = \$27,544,973**

Date	Change Number	Description	CCO Amount
	None		\$0
<b>Total</b>			<b>\$0</b>

<sup>1</sup> (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

#### SCADA Contract

**Change Order Authority (15% of ARINC Contract)** **15% x \$3,446,917 = \$517,038**

Date	Change Number	Description	CCO Amount
	None		\$0
<b>Total</b>			<b>\$0</b>

<sup>1</sup> (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

#### Tunnel Modification Contract

**Change Order Authority (10% of ProVen Contract)<sup>2</sup>** **10% x \$38,477,777 = \$3,847,778**

Date	Change Number	Description	CCO Amount
	None		\$0
<b>Total</b>			<b>\$0</b>

<sup>1</sup> (When indicated) Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

<sup>2</sup> Tunnel modification contract (\$38,477,777) includes: Notching (\$25,281,170) and Drainage (\$13,196,607).

<sup>3</sup> Third Party Improvements/CNPA Projects that are funded with non-PCEP funds.

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CEMOF Contract

**Change Order Authority (10% of ProVen Contract)**

**10% x \$6,550,777 = \$655,078**

<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>
11/30/2020	PROV-071-CCO-033B	Light Towers for Maintenance Building Yard	\$10,393
11/17/2020	PROV-071-CCO-049	Lighting at Parts Storage Warehouse	\$6,358
11/25/2020	PROV-071-CCO-050	NTP Delay – Non-Compensable Time Extension	\$0
11/19/2020	PROV-071-CCO-051	Relocation of an Existing Boosted Water Line in Conflict with South Pit Extension	\$250,000
<b>Total</b>			<b>\$266,751</b>

<sup>1</sup> (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

Amtrak AEM-7 Contract

**Change Order Authority (Lump Sum)**

**Up to \$150,000**

<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>
	None		\$0
<b>Total</b>			<b>\$0</b>

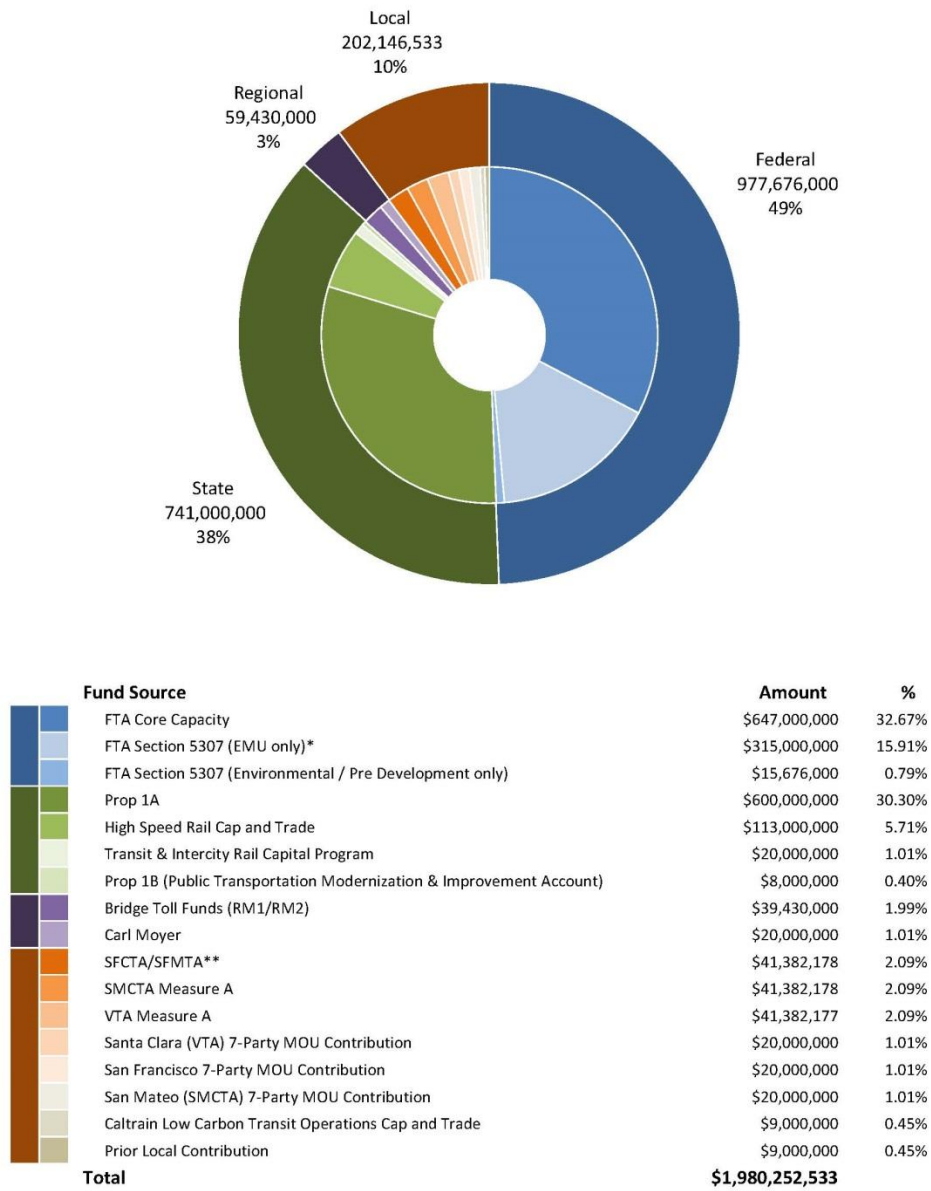
Notes:

<sup>1</sup>. When the threshold of 75% is reached, staff may return to the Board to request additional authority.

**10.0 FUNDING**

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. As previously noted, FTA awarded \$97 million in Section 5307 funding for the project and the next \$100 million in Core Capacity funding.

**Figure 10-1 Funding Plan**



Notes:

\*Includes necessary fund transfer with SMCTA

\*\*Includes \$4M CMAQ Transfer considered part of SF local contribution

## **11.0 RISK MANAGEMENT**

The risk management process is conducted in an iterative fashion throughout the life of the project. During this process, new risks are identified, other risks are resolved or managed, and potential impacts and severity modified based on the current situation. The Risk Management team's progress report includes a summary on the effectiveness of the Risk Management Plan, any unanticipated effects, and any correction needed to handle the risk appropriately.

The Risk Management team meets monthly to identify risks and corresponding mitigation measures. Each risk is graded based on the potential cost and schedule impacts they could have on the project. This collection of risks has the greatest potential to affect the outcome of the project and consequently is monitored most closely. For each of the noted risks, as well as for all risks on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at monthly risk assessment meetings attended by project team management and through continuous monitoring of the Risk Management Lead.

The team has identified the following items as top risks for the project (see Appendix F for the complete Risk Table):

1. The contractor may not complete and install signal design including Two-speed check (2SC) modifications within budget and schedule.
2. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
3. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
4. Property not acquired in time for contractor to do work.
5. Additional property acquisition is necessitated by change in design.
6. Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.
7. TASI may not have sufficient number of signal maintainers for testing.
8. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
9. Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy).
10. Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.

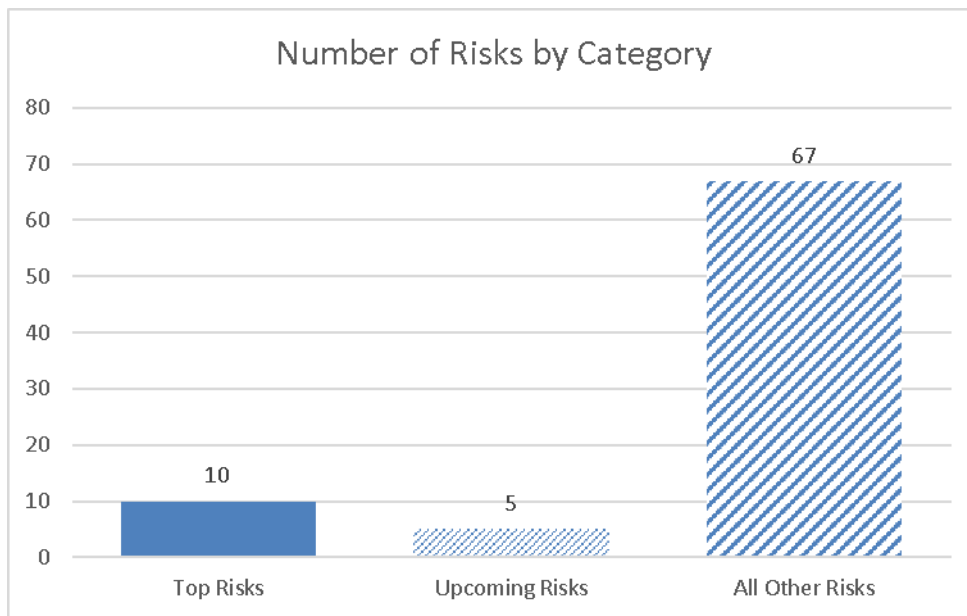
### **Activity This Month**

- Participated in Risk Workshops, prepared documentation and presentation material for workshops and facilitated the four sessions.
- Updated risk descriptions, effects, and mitigations based upon weekly input from risk owners. Monthly cycle of risk updating was completed based on schedules established in the Risk Identification and Mitigation Plan.

- Updated risk retirement dates based upon revisions to the project schedule and input from risk owners.
- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.
- Continued monitoring of issues on issues log for determination of new risks.
- The Risk Management team attended Project Delivery, Vehicle Design, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.

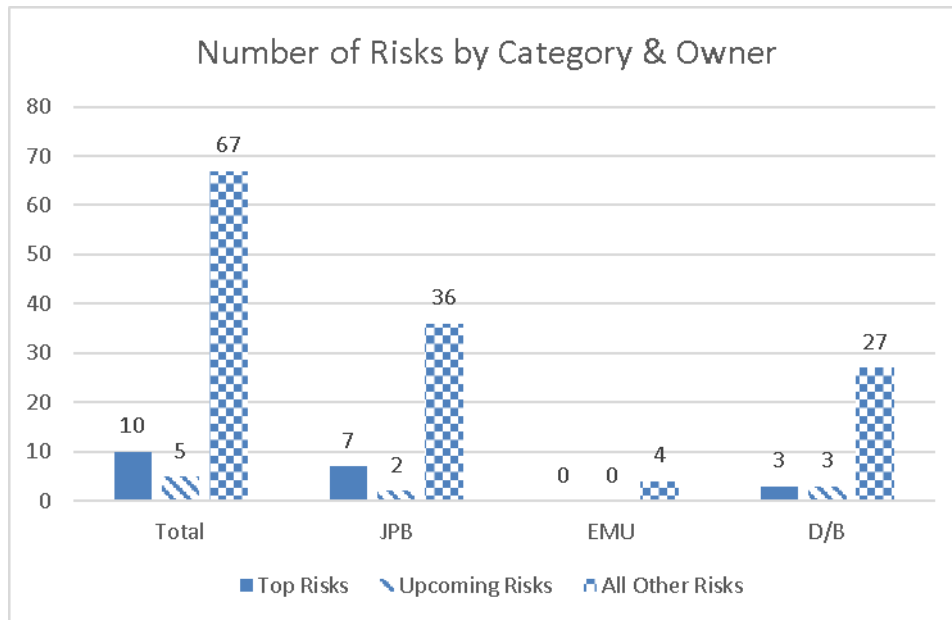
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming risks are risks for which mitigating action must be taken within 60 days. All other risks are risks not falling into other categories.

**Figure 11-1 Monthly Status of Risks**



**Total Number of Active Risks = 82**

Figure 11-2 Risk Classification



Total Number of Active Risks = 82

#### Activity Next Month

- Conduct weekly monitoring of risk mitigation actions and continue publishing risk register.
- Update risk descriptions, effects, mitigations and retirement dates based on weekly monitoring and attendance at key project meetings.
- Monitor issues on issues log for determination of potential new risks.
- Convene Risk Assessment Committee meeting.

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## **12.0 ENVIRONMENTAL**

### **12.1. Permits**

The PCEP has obtained the required environmental permits from the following agencies/federal regulations: Section 106 of the National Historic Preservation Act of 1966 (NHPA), Section 7 of the Endangered Species Act (ESA), United States Army Corps of Engineers, San Francisco Bay Regional Water Quality Control Board (SFWQCB), the California Department of Fish and Wildlife, and the San Francisco Bay Conservation Development Commission.

#### **Activity This Month**

- None

#### **Activity Next Month**

- None

### **12.2. Mitigation Monitoring and Reporting Program (MMRP)**

The California Environmental Quality Act (CEQA) requires that a Lead Agency establish a program to monitor and report on mitigation measures that it has adopted as part of the environmental review process. The PCEP team has prepared a MMRP to ensure that mitigation measures identified in the PCEP Environmental Impact Report are fully implemented during project implementation. PCEP will implement the mitigation measures through its own actions, those of the DB contractor and actions taken in cooperation with other agencies and entities. The status of each mitigation measure in the MMRP is included in Appendix G.

#### **Activity This Month**

- Environmental compliance monitors were present during project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit and fiber-optic cable installation, abandoned signal cable removal, permanent fence installation, transformer installation, case installation, etc.) occurring in areas that required environmental compliance monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities. Pre-construction surveys for sensitive avian species continued at previously identified potential habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.
- Best management practices (BMPs) installation and maintenance (e.g., silt fencing, straw wattles with no monofilament netting per wildlife agency permit requirements, soil covers, etc.) occurred at equipment staging areas and other



work areas throughout the alignment in accordance with the project-specific Stormwater Pollution Prevention Plan (SWPPP).

**Activity Next Month**

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, permanent fence installation, fiber optic cable installation, transformer installation, gantry installation, case installation, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities. Pre-construction nesting bird surveys have ceased for the 2020 season and will recommence on February 1, 2021 for the 2021 season.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to occur, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be installed and maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

### **13.0 UTILITY RELOCATION**

Implementation of the PCEP requires relocation or rerouting of both public and private utility lines and/or facilities. Utility relocation will require coordination with many entities, including regulatory agencies, public safety agencies, federal, state, and local government agencies, private and public utilities, and other transportation agencies and companies. This section describes the progress specific to the utility relocation process.

#### **Activity This Month**

- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.
- 
- Continued relocation of Comcast and AT&T Utilities in all Segments.

#### **Activity Next Month**

- Coordinate with individual utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design from communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.

## **14.0 REAL ESTATE**

The PCEP requires the acquisition of a limited amount of real estate. In general, Caltrain uses existing Right of Way (ROW) for the PCEP, but in certain locations, will need to acquire small portions of additional real estate to expand the ROW to accommodate installation of OCS supports (fee acquisitions or railroad easements) and associated Electrical Safety Zones (ESZ) (easements). There are two larger full acquisition areas required for wayside facilities. The PCEP Real Estate team manages the acquisition of all property rights. Caltrain does not need to acquire real estate to complete the EMU procurement portion of the PCEP.

Of the parcels identified at the beginning of the project, there remain only three owners from whom the agency requires possession.

The Real Estate team's current focus is working to identify new parcels and acquire them in conjunction with the project schedule.

- Staff has defined a process to ensure that BBII conveys new property needs (both for poles and for overhead wires) as soon as possible.
  - BBII must justify and JPB must approve all new parcels.
- Design needs to progress to enable BBII to identify exact acquisition areas.
- Staff is conducting pre-acquisition activities as appropriate.
- JPB has approved eight new parcels to date.

### **Activity This Month**

- Staff continues to review potential new pole locations and is engaging in a system-wide review of potential ESZ needs. Staff continues to meet with the internal signal team and BBII signal team to determine potential Real Estate interests.
- Staff entered into discussions with Britannia Gateway to develop terms under which the design of the TPS-1 Interconnect Facility could be redesigned to reflect the owner's preference for an underground design.
- Staff and the Universal Paragon Corporation (UPC) developed a conceptual agreement on business terms to allow the potential for early access onto their property, a vital site for catenary pole installation.

### **Activity Next Month**

- Continued review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Make offers on the parcel for which appraisals have been completed.
- Continue to work with project team to identify and analyze new potential parcels.
- Obtain access to Britannia Gateway site.
- Continue to work with UPC to finalize early access.

**15.0 THIRD PARTY AGREEMENTS**

Third-party coordination is necessary for work impacting public infrastructure, utilities, ROW acquisitions, and others. Table 15-1 below outlines the status of necessary agreements for the PCEP.

**Table 15-1 Third-Party Agreement Status**

Type	Agreement	Third-Party	Status
Governmental Jurisdictions	Construction & Maintenance <sup>1</sup>	City & County of San Francisco	Executed
		City of Brisbane	Executed
		City of South San Francisco	Executed
		City of San Bruno	Executed
		City of Millbrae	Executed
		City of Burlingame	Executed
		City of San Mateo	Executed
		City of Belmont	Executed
		City of San Carlos	Executed
		City of Redwood City	Executed
		Town of Atherton	Not Needed
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	Executed
		City of Mountain View	Executed
		City of Sunnyvale	Executed
		City of Santa Clara	Executed
	County of Santa Clara	Executed	
	City of San Jose	Executed	
Condemnation Authority	San Francisco	In Process	
	San Mateo	Executed	
	Santa Clara	Executed	
Utilities	Infrastructure	PG&E	Executed
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed <sup>2</sup>
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	In Process
	Trackage Rights	UPRR	Executed <sup>2</sup>

Notes regarding table above:

1. Agreements memorialize the parties' consultation and cooperation, designate respective rights and obligations and ensure cooperation between the JPB and the 17 cities and three counties along the Caltrain ROW and within the PCEP limits in connection with the design and construction of the PCEP.
2. Utilizing existing agreements.

## **16.0 GOVERNMENT AND COMMUNITY AFFAIRS**

The Community Relations and Outreach team coordinates all issues with all jurisdictions, partner agencies, government organizations, businesses, labor organizations, local agencies, residents, community members, other interested parties, and the media. In addition, the team oversees the BBII's effectiveness in implementing its Public Involvement Program.

### **Presentations/Meetings**

- Atherton Rail Committee

### **Third Party/Stakeholder Actions**

- Burlingame Paralleling Station 3 Drawings – Draft 95%
- Brisbane Bridge Attachment Drawings – Design Change Notice 98

**17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS**

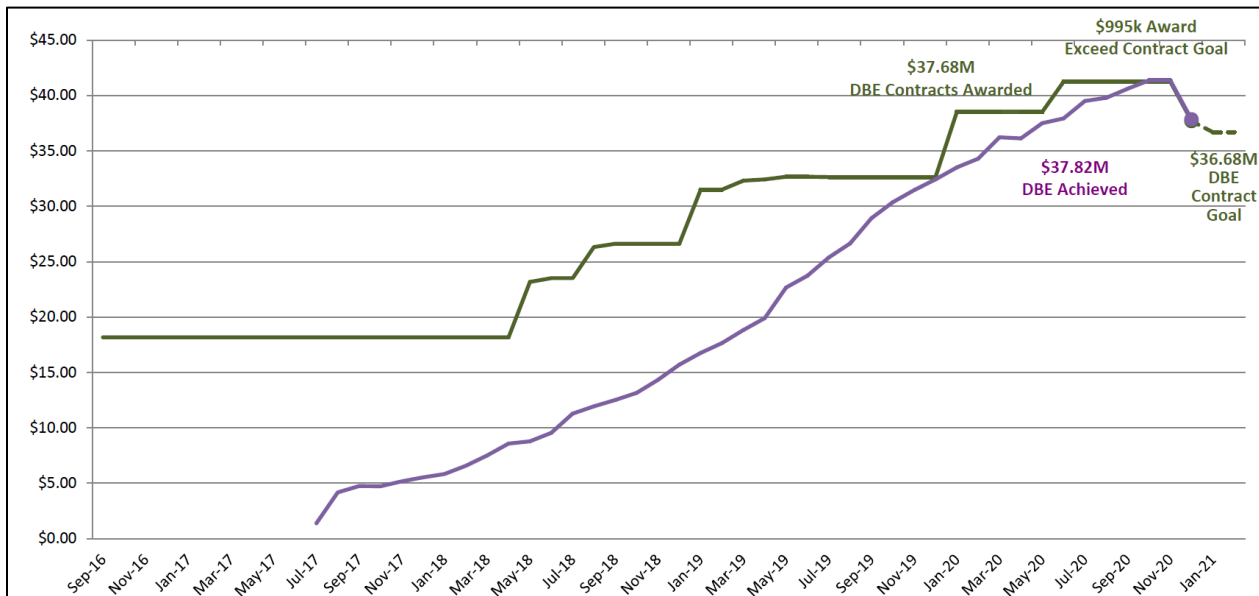
BBII proposed that 5.2% (\$36,681,279) of the DB base contract value including DBE contract change orders (\$705,409,218) would be subcontracted to DBEs.

**Activity This Month**

As expressed in Figure 17-1 below, to date BBII reports:

- **\$37,820,869** has been paid to DBE subcontractors.
- **\$37,675,908** of DBE contracts have been awarded.
- **5.36%** has been achieved.
- All reported figures are subject to verification by DBE Administrator.
- As a result of JPB’s DBE Office’s review of BBII’s DBE reports, one subcontractor was disqualified. After removing amounts paid to the disqualified subcontractor, BBII’s reported awarded and achieved amounts show a decline from previous months. These amounts and are to be verified by JPB’s DBE Administrator.

**Figure 17-1 DBE Participation**



**Activity Next Month**

BBII has proposed the following key actions:

“We continue to anticipate increasing our DBE commitments to firms who we are currently negotiating pricing on proposed work or Professional Services Agreements. We are optimistic about the prospect of making future awards to DBE firms. We also anticipate that the existing project work will increase resulting in expanded work for current DBE subcontractors.”

**18.0 PROCUREMENT**

**Invitation for Bids (IFB)/Request for Quotes (RFQ)/ Request for Proposals (RFP)  
Issued this Month:**

- None

**Bids, Quotes, Proposals in Response to IFB/RFQ/RFP Received this Month:**

- None

**In Process IFB/RFQ/RFP/Contract Amendments for Award:**

- RFQ – Scissor Lift Work Platform for Peninsula Corridor Electrification Project (PCEP)

**Contract Awards this Month:**

- None

**Work Directive (WD)/Purchase Order (PO) Awards & Amendments this Month:**

- Multiple WDs & POs issued to support the program needs

**Upcoming Contract Awards/Contract Amendments:**

- None

**Upcoming IFB/RFQ/RFP to be Issued:**

- None

**Existing Contracts Amendments Issued:**

- None

## 19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

Below is a timeline showing major project accomplishments from 2001 to 2017:

<b>Date</b>	<b>Milestone</b>
2001	Began federal National Environmental Policy Act (NEPA) Environmental Assessment (EA) / state EIR clearance process
2002	Conceptual Design completed
2004	Draft NEPA EA/EIR
2008	35% design complete
2009	Final NEPA EA/EIR and Finding of No Significant Impact (FONSI)
2014	RFQ for electrification RFI for EMU
2015	JPB approves final CEQA EIR JPB approves issuance of RFP for electrification JPB approves issuance of RFP for EMU Receipt of proposal for electrification FTA approval of Core Capacity Project Development
2016	JPB approves EIR Addendum #1: PS-7 FTA re-evaluation of 2009 FONSI Receipt of electrification best and final offers Receipt of EMU proposal Application for entry to engineering to FTA Completed the EMU Buy America Pre-Award Audit and Certification Negotiations completed with Stadler for EMU vehicles Negotiations completed with BBII, the apparent best-value electrification firm JPB approves contract award (LNTP) to BBII JPB approves contract award (LNTP) to Stadler FTA approval of entry into engineering for the Core Capacity Program Application for FFGA
2017	FTA finalized the FFGA for \$647 million in Core Capacity funding, met all regulatory requirements including end of Congressional Review Period (February) FTA FFGA executed, committing \$647 million to the project (May) JPB approves \$1.98 billion budget for PCEP (June) Issued NTP for EMUs to Stadler (June 1) Issued NTP for electrification contract to BBII (June 19) Construction began (August) EMU manufacturing began (October) Issued NTP for SCADA to Rockwell Collins (ARINC) (October) Issued NTP for CEMOF Facility Upgrades to HNTB (November)



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<b>Date</b>	<b>Milestone</b>
2018	Completed all PG&E agreements JPB approves contract award to Mitsui for the purchase of electric locomotives and Amtrak for overhaul services, storage, acceptance testing, training, and shipment of locomotive to CEMOF JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project JPB approves contract award (LNTP) to ProVen for tunnel modifications Issued NTP to ProVen for tunnel modifications (October) Amended contract with ProVen to include OCS in the tunnels (November)
2019	JPB approves contract award to ProVen for CEMOF modifications (February) JPB approves LNTP to ProVen for CEMOF modifications (April) JPB approves NTP to ProVen for CEMOF modifications (September)
2020	JPB approves agreement amendment to PG&E for interconnection construction JPB executes agreement with PG&E for interconnection construction (May) FRA approved the waiver for Alternative Vehicle Technology regarding crashworthiness of EMU cars.

**APPENDICES**

Appendix A – Acronyms

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<b>AIM</b>	<b>Advanced Information Management</b>	<b>EA</b>	<b>Environmental Assessment</b>
<b>ARINC</b>	<b>Aeronautical Radio, Inc.</b>	<b>EAC</b>	<b>Estimate at Completion</b>
<b>BAAQMD</b>	<b>Bay Area Air Quality Management District</b>	<b>EIR</b>	<b>Environmental Impact Report</b>
<b>BBII</b>	<b>Balfour Beatty Infrastructure, Inc.</b>	<b>EOR</b>	<b>Engineer of Record</b>
<b>CAISO</b>	<b>California Independent System Operator</b>	<b>EMU</b>	<b>Electric Multiple Unit</b>
<b>CalMod</b>	<b>Caltrain Modernization Program</b>	<b>ESA</b>	<b>Endangered Species Act</b>
<b>Caltrans</b>	<b>California Department of Transportation</b>	<b>ESA</b>	<b>Environmental Site Assessments</b>
<b>CDFW</b>	<b>California Department of Fish and Wildlife</b>	<b>FAI</b>	<b>First Article Inspection</b>
<b>CEMOF</b>	<b>Centralized Equipment Maintenance and Operations Facility</b>	<b>FEIR</b>	<b>Final Environmental Impact Report</b>
<b>CEQA</b>	<b>California Environmental Quality Act (State)</b>	<b>FNTF</b>	<b>Full Notice to Proceed</b>
<b>CHSRA</b>	<b>California High-Speed Rail Authority</b>	<b>FFGA</b>	<b>Full Funding Grant Agreement</b>
<b>CIP</b>	<b>Capital Improvement Plan</b>	<b>FONSI</b>	<b>Finding of No Significant Impact</b>
<b>CNPA</b>	<b>Concurrent Non-Project Activity</b>	<b>FRA</b>	<b>Federal Railroad Administration</b>
<b>CPUC</b>	<b>California Public Utilities Commission</b>	<b>FTA</b>	<b>Federal Transit Administration</b>
<b>CTC</b>	<b>Centralized Traffic Control</b>	<b>GO</b>	<b>General Order</b>
<b>DB</b>	<b>Design-Build</b>	<b>HSR</b>	<b>High Speed Rail</b>
<b>DBB</b>	<b>Design-Bid-Build</b>	<b>ICD</b>	<b>Interface Control Document</b>
<b>DBE</b>	<b>Disadvantaged Business Enterprise</b>	<b>IFC</b>	<b>Issued for Construction</b>
<b>DEMP</b>	<b>Design, Engineering, and Management Planning</b>	<b>ITS</b>	<b>Intelligent Transportation System</b>
		<b>JPB</b>	<b>Peninsula Corridor Joint Powers Board</b>
		<b>LNTF</b>	<b>Limited Notice to Proceed</b>

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<b>MMRP</b>	<b>Mitigation, Monitoring, and Reporting Program</b>	<b>RFI</b>	<b>Request for Information</b>
		<b>RFP</b>	<b>Request for Proposals</b>
<b>MOU</b>	<b>Memorandum of Understanding</b>	<b>RFQ</b>	<b>Request for Qualifications</b>
<b>MPS</b>	<b>Master Program Schedule</b>	<b>ROCS</b>	<b>Rail Operations Center System</b>
<b>NCR</b>	<b>Non Conformance Report</b>	<b>ROW</b>	<b>Right of Way</b>
<b>NEPA</b>	<b>National Environmental Policy Act (Federal)</b>	<b>RRP</b>	<b>Railroad Protective Liability</b>
<b>NHPA</b>	<b>National Historic Preservation Act</b>	<b>RSD</b>	<b>Revenue Service Date</b>
<b>NMFS</b>	<b>National Marine Fisheries Service</b>	<b>RWP</b>	<b>Roadway Worker Protection</b>
<b>NTP</b>	<b>Notice to Proceed</b>	<b>SamTrans</b>	<b>San Mateo County Transit District</b>
<b>OCS</b>	<b>Overhead Contact System</b>	<b>SCADA</b>	<b>Supervisory Control and Data Acquisition</b>
<b>PCEP</b>	<b>Peninsula Corridor Electrification Project</b>	<b>SCC</b>	<b>Standard Cost Code</b>
<b>PCJPB</b>	<b>Peninsula Corridor Joint Powers Board</b>	<b>SPUR</b>	<b>San Francisco Bay Area Planning and Urban Research Association</b>
<b>PG&amp;E</b>	<b>Pacific Gas and Electric</b>	<b>SFBCDC</b>	<b>San Francisco Bay Conservation Development Commission</b>
<b>PHA</b>	<b>Preliminary Hazard Analysis</b>	<b>SFCTA</b>	<b>San Francisco County Transportation Authority</b>
<b>PMOC</b>	<b>Project Management Oversight Contractor</b>	<b>SFMTA</b>	<b>San Francisco Municipal Transportation Authority</b>
<b>PS</b>	<b>Paralleling Station</b>	<b>SFRWQCB</b>	<b>San Francisco Regional Water Quality Control Board</b>
<b>PTC</b>	<b>Positive Train Control</b>	<b>SOGR</b>	<b>State of Good Repair</b>
<b>QA</b>	<b>Quality Assurance</b>	<b>SSCP</b>	<b>Safety and Security Certification Plan</b>
<b>QC</b>	<b>Quality Control</b>	<b>SSMP</b>	<b>Safety and Security Management Plan</b>
<b>QMP</b>	<b>Quality Management Plan</b>	<b>SSWP</b>	<b>Site Specific Work Plan</b>
<b>QMS</b>	<b>Quality Management System</b>		
<b>RAMP</b>	<b>Real Estate Acquisition Management Plan</b>		
<b>RE</b>	<b>Real Estate</b>		

<b>SWS</b>	<b>Switching Station</b>
<b>TASI</b>	<b>TransitAmerica Services Inc.</b>
<b>TBD</b>	<b>To Be Determined</b>
<b>TPS</b>	<b>Traction Power Substation</b>
<b>TVA</b>	<b>Threat and Vulnerability Assessment</b>
<b>UPRR</b>	<b>Union Pacific Railroad</b>
<b>USACE</b>	<b>United States Army Corp of Engineers</b>
<b>USFWS</b>	<b>U.S. Fish and Wildlife Service</b>
<b>VTA</b>	<b>Santa Clara Valley Transportation Authority</b>

Appendix B – Funding Partner Meetings

**Funding Partner Meeting Representatives**  
Updated July 16, 2020

Agency	CHSRA	MTC	SFCTA/SFMTA/CCSF	SMCTA	VTA
<b>FTA Quarterly Meeting</b>	<ul style="list-style-type: none"> <li>• Boris Lipkin</li> <li>• Simon Whitehorn</li> <li>• Wai Siu (info only)</li> <li>• Sharath Murthy (info only)</li> </ul>	<ul style="list-style-type: none"> <li>• Anne Richman</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• April Chan</li> <li>• Peter Skinner</li> </ul>	<ul style="list-style-type: none"> <li>• Jim Lawson</li> </ul>
<b>Funding Partners Quarterly Meeting</b>	<ul style="list-style-type: none"> <li>• Boris Lipkin</li> <li>• Simon Whitehorn</li> <li>• John Popoff</li> <li>• Sharath Murthy (info only)</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• April Chan</li> <li>• Peter Skinner</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> </ul>
<b>Funding Oversight (monthly)</b>	<ul style="list-style-type: none"> <li>• Kelly Doyle</li> </ul>	<ul style="list-style-type: none"> <li>• Anne Richman</li> <li>• Kenneth Folan</li> </ul>	<ul style="list-style-type: none"> <li>• Anna LaForte</li> <li>• Maria Lombardo</li> <li>• Luis Zurinaga</li> <li>• Monique Webster</li> <li>• Ariel Espiritu Santo</li> </ul>	<ul style="list-style-type: none"> <li>• April Chan</li> <li>• Peter Skinner</li> </ul>	<ul style="list-style-type: none"> <li>• Jim Lawson</li> <li>• Marcella Rensi</li> <li>• Michael Smith</li> </ul>
<b>Change Management Board (monthly)</b>	<ul style="list-style-type: none"> <li>• Boris Lipkin</li> <li>• Simon Whitehorn</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> <li>• Kenneth Folan</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> <li>• Tilly Chang (info only)</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> <li>• Jim Lawson</li> <li>• Nuria Fernandez (info only)</li> </ul>
<b>Master Program Schedule Update (monthly)</b>	<ul style="list-style-type: none"> <li>• Wai Siu</li> <li>• Sharath Murthy</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Jim Lawson</li> </ul>
<b>Risk Assessment Committee (monthly)</b>	<ul style="list-style-type: none"> <li>• Wai Siu</li> <li>• Sharath Murthy</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> </ul>
<b>PCEP Delivery Coordination Meeting (bi-weekly)</b>	<ul style="list-style-type: none"> <li>• Wai Siu</li> <li>• Sharath Murthy</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> </ul>
<b>Systems Integration Meeting (bi-weekly)</b>	<ul style="list-style-type: none"> <li>• Wai Siu</li> <li>• Sharath Murthy</li> </ul>	<ul style="list-style-type: none"> <li>• Trish Stoops</li> </ul>	<ul style="list-style-type: none"> <li>• Luis Zurinaga</li> </ul>	<ul style="list-style-type: none"> <li>• Joe Hurley</li> </ul>	<ul style="list-style-type: none"> <li>• Krishna Davey</li> <li>• Edwin Castillo</li> <li>• Franklin Wong</li> </ul>



Appendix C – Schedule





Appendix D – Standard Cost Codes

**Peninsula Corridor Electrification Project  
Monthly Progress Report**

Description of Work	FFGA Baseline Budget (A)	Approved Budget (B)	Cost This Month (C)	Cost To Date (D)	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>10 - GUIDEWAY &amp; TRACK ELEMENTS</b>	<b>\$14,256,739</b>	<b>\$27,353,871</b>	<b>\$0</b>	<b>\$24,997,834</b>	<b>\$3,082,261</b>	<b>\$28,080,095</b>
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$0	\$144,681	\$2,355,319	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,853,871	\$0	\$24,853,153	\$726,942	\$25,580,095
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
<b>30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS</b>	<b>\$2,265,200</b>	<b>\$7,368,343</b>	<b>\$704,388</b>	<b>\$6,096,007</b>	<b>\$2,311,176</b>	<b>\$8,407,183</b>
30.03 Heavy Maintenance Facility	\$1,344,000	\$7,368,343	\$704,388	\$6,096,007	\$2,311,176	\$8,407,183
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
<b>40 - SITEWORK &amp; SPECIAL CONDITIONS</b>	<b>\$255,072,402</b>	<b>\$258,632,656</b>	<b>\$4,903,675</b>	<b>\$208,898,638</b>	<b>\$54,083,017</b>	<b>\$262,981,654</b>
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$10,110,000	\$464,600	\$7,416,500	\$2,723,500	\$10,140,000
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$97,315,387	\$3,292,994	\$104,570,056	(\$5,446,110)	\$99,123,945
40.02 Allocated Contingency	\$25,862,000	(\$0)	\$0	\$0	(\$0)	(\$0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	\$2,200,000	\$8,744,961	(\$11,428)	\$6,502,293	\$2,249,641	\$8,751,934
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$19,504,208	\$24,000	\$2,189,370	\$17,314,838	\$19,504,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$0	\$0	\$0	\$0	\$0
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$2,735,000	\$0	\$0	\$2,735,000	\$2,735,000
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$0	\$0	\$0	\$0	\$0
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$99,613,100	\$1,133,509	\$88,220,420	\$30,188,748	\$118,409,168
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$4,317,399	\$4,317,399
<b>50 - SYSTEMS</b>	<b>\$504,445,419</b>	<b>\$504,986,928</b>	<b>\$9,336,237</b>	<b>\$238,683,669</b>	<b>\$287,140,463</b>	<b>\$525,824,131</b>
50.01 Train control and signals	\$97,589,149	\$120,086,712	\$219,560	\$44,909,935	\$76,448,103	\$121,358,038
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	(\$0)	\$0	\$0	(\$0)	(\$0)
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$102,977,235	\$3,973,043	\$50,096,142	\$54,043,483	\$104,139,625
50.03 Allocated Contingency	\$31,755,013	\$2,990,899	\$0	\$0	\$2,028,337	\$2,028,337
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$268,126,899	\$5,143,634	\$143,619,603	\$147,859,952	\$291,479,555
50.04 Allocated Contingency	\$18,064,000	\$4,100,188	\$0	\$0	\$113,577	\$113,577
50.05 Communications	\$5,455,000	\$5,547,000	\$0	\$57,989	\$5,489,011	\$5,547,000
50.07 Central Control	\$2,090,298	\$0	\$0	\$0	\$0	\$0
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
<b>60 - ROW, LAND, EXISTING IMPROVEMENTS</b>	<b>\$35,675,084</b>	<b>\$35,675,084</b>	<b>\$187,401</b>	<b>\$21,406,359</b>	<b>\$14,268,725</b>	<b>\$35,675,084</b>
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$187,401	\$21,272,367	\$13,104,707	\$34,377,074
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	\$298,010	\$298,010
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$133,992	\$866,008	\$1,000,000
<b>70 - VEHICLES (96)</b>	<b>\$625,544,147</b>	<b>\$620,587,713</b>	<b>\$5,321,691</b>	<b>\$247,348,135</b>	<b>\$372,781,424</b>	<b>\$620,129,560</b>
70.03 Commuter Rail	\$589,167,291	\$591,340,151	\$5,321,691	\$246,809,856	\$348,215,573	\$595,025,429
70.03 Allocated Contingency	\$9,472,924	\$5,415,810	\$0	\$0	\$1,272,379	\$1,272,379
70.06 Non-revenue vehicles	\$8,140,000	\$5,067,821	\$0	\$538,280	\$4,529,541	\$5,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$0	\$18,763,931	\$18,763,931
<b>80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)</b>	<b>\$323,793,010</b>	<b>\$369,025,619</b>	<b>\$1,967,286</b>	<b>\$314,944,190</b>	<b>\$74,394,240</b>	<b>\$389,338,430</b>
80.01 Project Development	\$130,350	\$130,350	\$0	\$289,233	(\$158,883)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$216,915,104	\$310,150	\$199,726,454	\$22,503,049	\$222,229,503
80.02 Allocated Contingency	\$1,866,000	\$190,678	\$0	\$0	\$10,147	\$10,147
80.03 Project Management for Design and Construction	\$72,029,265	\$84,477,704	\$966,268	\$82,725,176	\$19,817,761	\$102,542,936
80.03 Allocated Contingency	\$9,388,080	\$5,471,844	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$33,231,038	\$675,002	\$22,460,794	\$15,874,089	\$38,334,883
80.04 Allocated Contingency	\$19,537,000	\$10,237,847	\$0	\$0	\$5,159,428	\$5,159,428
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$8,721,371	\$15,866	\$5,114,655	\$4,714,087	\$9,828,742
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	(\$0)	\$46,027	\$3,452,754	\$3,498,781
80.08 Start up	\$1,797,957	\$1,021,808	\$0	\$0	\$3,021,808	\$3,021,808
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	(\$0)	(\$0)
<b>Subtotal (10 - 80)</b>	<b>\$1,761,052,001</b>	<b>\$1,823,630,215</b>	<b>\$22,420,678</b>	<b>\$1,062,374,832</b>	<b>\$808,061,306</b>	<b>\$1,870,436,138</b>
<b>90 - UNALLOCATED CONTINGENCY</b>	<b>\$162,620,295</b>	<b>\$97,142,081</b>	<b>\$0</b>	<b>\$0</b>	<b>\$50,336,158</b>	<b>\$50,336,158</b>
<b>Subtotal (10 - 90)</b>	<b>\$1,923,672,296</b>	<b>\$1,920,772,296</b>	<b>\$22,420,678</b>	<b>\$1,062,374,832</b>	<b>\$858,397,464</b>	<b>\$1,920,772,296</b>
<b>100 - FINANCE CHARGES</b>	<b>\$6,998,638</b>	<b>\$9,898,638</b>	<b>\$214,979</b>	<b>\$6,968,922</b>	<b>\$2,929,716</b>	<b>\$9,898,638</b>
<b>Total Project Cost (10 - 100)</b>	<b>\$1,930,670,934</b>	<b>\$1,930,670,934</b>	<b>\$22,635,657</b>	<b>\$1,069,343,754</b>	<b>\$861,327,180</b>	<b>\$1,930,670,934</b>

Appendix E – Change Order Logs

**Peninsula Corridor Electrification Project  
Monthly Progress Report**

Change Order Logs

Electrification Contract

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
08/31/17	BBI-053-CCO-001	Track Access Delays Q4 2016	\$85,472	0.25%	\$34,745,056
02/28/18	BBI-053-CCO-003	Deletion of Signal Cable Meggering (Testing)	(\$800,000)	(2.30%)	\$35,545,056
02/21/18	BBI-053-CCO-004	Field Order for Differing Site Condition Work Performed on 6/19/17	\$59,965	0.17%	\$35,485,091
03/12/18	BBI-053-CCO-006	Track Access Delays for Calendar Quarter 1 2017	\$288,741	0.83%	\$35,196,350
04/24/18	BBI-053-CCO-002	Time Impact 01 Associated with Delayed NTP	\$9,702,667	0.00% <sup>2</sup>	-
04/24/18	BBI-053-CCO-008	2016 Incentives (Safety, Quality, and Public Outreach)	\$750,000	0.00% <sup>2</sup>	-
05/31/18	BBI-053-CCO-009	16th St. Grade Crossing Work Removal from BBII Contract	(\$685,198)	(1.97%)	\$35,881,548
05/31/18	BBI-053-CCO-012	2017 Incentives (Safety, Quality, and Public Outreach)	\$1,025,000	0.00% <sup>2</sup>	-
06/25/18	BBI-053-CCO-010	Pothole Change Of Shift	\$300,000	0.86%	\$35,581,548
06/25/18	BBI-053-CCO-013	Field Order for Signal Cable Relocation (FO# 31)	\$95,892	0.28%	\$35,485,656
06/25/18	BBI-053-CCO-015	TASI Pilot Transportation 2017	\$67,345	0.19%	\$35,418,311
06/26/18	BBI-053-CCO-005	Field Orders for Signal Cable Relocation (FO#s 26, 30)	\$191,836	0.55%	\$35,226,475
06/28/18	BBI-053-CCO-014	Field Orders for Signal Cable Relocation (FO-36 & FO-38)	\$145,694	0.42%	\$35,080,781
06/29/18	BBI-053-CCO-007	Track Access Delays for Calendar Quarter 2 2017	\$297,512	0.85%	\$34,783,269
06/29/18	BBI-053-CCO-011	Field Orders for Differing Site Condition (FO#s Partial 07A , 08-14)	\$181,013	0.52%	\$34,602,256
06/29/18	BBI-053-CCO-017	Field Order for NorCal Utility Potholing (FO# 27)	\$93,073	0.27%	\$34,509,183
06/29/18	BBI-053-CCO-018	Field Order for NorCal Utility Potholing (FO# 29)	\$76,197	0.22%	\$34,432,986
06/29/18	BBI-053-CCO-020	Field Orders for Differing Site Condition (FO#s 15-19)	\$118,364	0.34%	\$34,314,622
7/19/2018	BBI-053-CCO-019	Field Order for NorCal Utility Potholing (FO-032)	\$88,956	0.26 %	\$34,225,666
7/19/2018	BBI-053-CCO-021	As In-Service (AIS) Drawings for Segment 2 and 4 Signal Design (CN-009)	\$105,000	0.30 %	\$34,120,666
7/25/2018	BBI-053-CCO-022	CEMOF Yard Traction Power Feed (CN-008)	\$332,700	0.96 %	\$33,787,966
7/31/2018	BBI-053-CCO-028	Sonic Echo Impulse Testing	\$4,541	0.01 %	\$33,783,425
7/31/2018	BBI-053-CCO-026	TASI Pilot Transportation 2018 (CNC-0022)	\$50,409	0.14%	\$33,733,016
7/31/2018	BBI-053-CCO-027	Signal Cable Relocation (FOs-040 & 051)	\$196,114	0.56%	\$33,536,902
9/27/2018	BBI-053-CCO-030	Delete Spare 115k Disconnect Switches	(\$19,000)	(0.05)%	\$33,555,902
9/28/2018	BBI-053-CCO-031	Bldg A HVAC and FOB Card Reader Systems	\$76,500	0.22 %	\$33,479,402
9/28/2018	BBI-053-CCO-025A	Addition of Shunt Wire at Transverse Utility Crossing Locations - Design	\$925,000	2.66 %	\$32,554,402
9/28/2018	BBI-053-CCO-016A	UPRR MT-1 Pole Relocation - Design Changes	\$903,000	0.00% <sup>2</sup>	-
9/28/2018	BBI-053-CCO-024A	PG&E Utility Feed Connection to TPS#1 and TPS#2 (Design Only)	\$727,000	0.00% <sup>2</sup>	-
12/17/2018	BBI-053-CCO-032	PS-2 Site Relocation (Design Only)	\$291,446	0.84%	\$32,262,956
1/17/2019	BBI-053-CCO-023	Insulated Rail Joints	\$2,694,519	0.00% <sup>2</sup>	-
1/17/2019	BBI-053-CCO-029	CHSRA Early Pole Relocation (Design Only)	\$625,000	0.00% <sup>2,3</sup>	-
2/5/2019	BBI-053-CCO-040A	Increase in Potholing Quantity (unit price contract bid item by 25%)	\$1,662,500	4.77 %	\$30,600,456

## Peninsula Corridor Electrification Project

### Monthly Progress Report

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
3/5/2019	BBI-053-CCO-042A	TPSS-2 VTA/BART Pole Relocation (Design Only) (CNPA funded by VTA)	\$110,000	0.32% <sup>3</sup>	\$30,490,456
3/11/2019	BBI-053-CCO-036	Field Order for Signal Cable Relocation (FO-064)	\$86,538	0.25%	\$30,403,918
3/20/2019	BBI-053-CCO-035	Millbrae Avenue Existing Overhead Barrier	(\$40,000)	(0.11)%	\$30,443,918
3/19/2019	BBI-053-CCO-046	Training in Design Software and Potholing	\$136,611	0.39%	\$30,307,307
4/8/2019	BBI-053-CCO-041	Grade Crossing Warning System (CN59) – 5 mph Speed Check	\$446,982	1.28%	\$29,860,325
5/30/2019	BBI-053-CCO-044	Additional Daytime Potholing (Increase Quantity by 500 in Segment 4)	\$150,000	0.43 %	\$29,710,325
6/6/2019	BBI-053-CCO-048	Power Metering Devices	\$101,908	0.29 %	\$29,608,417
6/13/2019	BBI-053-CCO-045	Incentive Payment for 2018	\$1,025,000	0.00% <sup>2</sup>	-
6/13/2019	BBI-053-CCO-024B	PG&E Utility Feed Connection to TPS #1 and TPS#2 (Material On Hand)	\$1,600,000	4.59 %	\$28,008,417
6/24/2019	BBI-053-CCO-043	PS-5 Site Relocation (Design Only)	\$348,000	1.00 %	\$27,660,417
6/24/2019	BBI-053-CCO-054	Change Design Sequence for OCS Foundations	\$37,500	0.11%	\$27,622,917
7/1/2019	BBI-053-CCO-040B	Increase Quantity for Utilities Potholing (Bid Item #9)	\$1,867,700	5.36 %	\$25,755,217
7/10/2019	BBI-053-CCO-033A	Relocation of PS3 (Design) (CNPA funded by BGSP)	\$500,000	1.44 % <sup>3</sup>	\$25,255,217
8/15/2019	BBI-053-CCO-047	CEMOF Slot Drains (Design Only)	\$69,000	0.20%	\$25,186,217
8/16/2019	BBI-053-CCO-055	Sheriff's Deputy in Segment 4B	\$4,644	0.01%	\$25,181,573
9/3/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	\$184,576	0.53%	\$24,996,997
9/7/2019	BBI-053-CCO-057	Mediator with Technical Expertise	\$0	0.00%	\$24,996,997
9/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	\$58,058	0.17%	\$24,938,939
9/27/2019	BBI-053-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	\$343,496	0.99%	\$24,595,443
10/21/2019	BBI-053-CCO-064	TPS-2 VTA Pole Height Redesign (CNPA funded by VTA)	\$31,000	0.09% <sup>3</sup>	\$24,564,443
11/15/2019	BBI-053-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764	0.54 %	\$24,376,680
11/26/2019	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only - voided below on 7/31/20	\$144,370	0.41 %	\$24,232,310
12/11/2019	BBI-053-CCO-065A	Foundation Inefficiencies S2WA5	\$401,501	1.15%	\$23,830,809
12/17/2019	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - voided below on 7/31/20	\$884,500	2.54 %	\$22,946,309
1/7/2020	BBI-053-CCO-066A	Increase Quantity for Contaminated Soils (Bid Unit Price Item #1)	\$950,000	2.73 %	\$21,996,309
2/5/2020	BBI-053-CCO-023B	Insulated Rail Joints De-stressing	\$890,600	2.56 %	\$21,105,709
3/18/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - voided below on 7/9/20	\$80,000	0.23 %	\$21,025,709
3/19/2020	BBI-053-CCO-023C	Portec Insulated Rail Joints	\$375,000	1.08 %	\$20,650,709
3/26/2020	BBI-053-CCO-076	Asbestos Pipe Abatement at CP Shark	\$145,872	0.42 %	\$20,504,837
3/31/2020	BBI-053-CCO-075	Norcal Utility Potholing (FO#39)	\$98,105	0.28 %	\$20,406,733
4/21/2020	BBI-053-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780	2.01 %	\$19,704,953
4/27/2020	BBI-053-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273	2.66 %	\$18,778,680
4/27/2020	BBI-053-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258	0.14 %	\$18,731,423
4/27/2020	BBI-053-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663	0.38 %	\$18,599,759
4/29/2020	BBI-053-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128	0.39 %	\$18,464,631



**Peninsula Corridor Electrification Project  
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**Change Order Authority (5% of BBI Contract)**

**5% x \$696,610,558 = \$34,830,528**

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474	0.27 %	\$18,369,157
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000	1.08 %	\$17,994,157
5/1/2020	BBI-053-CCO-050	Switch Machine Isolation - Credit	(\$277,430)	(0.80)%	\$18,271,586
5/19/2020	BBI-053-CCO-092A	Signal Cable Relocation (Field Order No. 340)	\$106,773	0.31 %	\$18,164,814
5/19/2020	BBI-053-CCO-093A	Signal Cable Relocation (Field Order No. 340)	\$90,765	0.26 %	\$18,074,049
5/27/2020	BBI-053-CCO-101	Asbestos Pipe Abatement at 46.3-07/08	\$21,037	0.06 %	\$18,053,012
6/15/2020	BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,006,452
6/15/2020	BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$17,959,892
6/18/2020	BBI-053-CCO-033B	PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination – CNPA	\$50,000	0.14 % <sup>3</sup>	\$17,909,892
6/30/2020	BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658	0.26 %	\$17,819,235
6/30/2020	BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900	0.52 %	\$17,637,335
6/30/2020	BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633	0.36 %	\$17,512,702
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) – Voided	(\$80,000)	(0.23)%	\$17,592,702
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5)	\$300,000	0.86 %	\$17,292,702
7/16/2020	BBI-053-CCO-100	Remove Tree Stump at 46.4-02	\$1,459	0.00 %	\$17,291,243
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$17,279,447
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$17,178,113
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$17,084,051
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$17,081,394
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3	\$145,892	0.42 %	\$16,935,503
7/31/2020	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only – Voided	(\$144,370)	(0.41)%	\$17,079,873
7/31/2020	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only – Voided	(\$884,500)	(2.54)%	\$17,964,373
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906	0.27 %	\$17,871,466
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794	2.59 %	\$16,967,672
9/10/2020	BBI-053-CCO-025F	OCS Shunt Wire (Construction)	\$9,500,000	0.00% <sup>2</sup>	-
9/11/2020	BBI-053-CCO-126	Track Access Delays - 2019 Quarter 3 – OCS Foundations	\$81,223	0.23 %	\$16,886,450
9/24/2020	BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223	0.42 %	\$16,739,227
9/21/2020	BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300	0.60 %	\$16,528,927
9/21/2020	BBI-053-CCO-074	Underground Utilities Clearance	\$0	0.00 %	\$16,528,927
10/19/2020	BBI-053-CCO-072C	PCEP SIS & SPS Additional Validation Work	\$27,696	0.08 %	\$16,501,231
10/27/2020	BBI-053-CCO-105	Pole Removal at Location 30.7-01	\$2,297	0.01 %	\$16,498,935
11/30/2020	BBI-053-CCO-056	Delivery of Signal Cable	\$3,391	0.01 %	\$16,495,544
12/22/2020	BBI-053-CCO-111	Incentives Payment for 2019	\$825,000	0.00% <sup>2</sup>	-
<b>Total</b>			<b>\$46,112,170</b>	<b>52.64 %</b>	<b>\$16,495,544</b>

Notes:

<sup>1</sup>. When the threshold of 75% is reached, staff may return to the Board to request additional authority.

<sup>2</sup>. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

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<sup>3</sup>. Third party improvements/CNPA projects that are funded with non-PCEP funds.

**EMU Contract**

<b>Change Order Authority (5% of Stadler Contract)</b>				<b>5% x \$550,899,459 = \$27,544,973</b>		
<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>	
09/22/2017	STA-056-CCO-001	Contract General Specification and Special Provision Clean-up	\$0	0.00%	-	
10/27/2017	STA-056-CCO-002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973	
11/02/2017	STA-056-CCO-003	Car Level Water Tightness Test	\$0	0.00%	-	
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973	
11/03/2017	STA-056-CCO-005	Design Progression (multiple)	\$0	0.00%	-	
12/12/2017	STA-056-CCO-006	Prototype Seats and Special Colors	(\$27,500)	(0.10%)	\$26,669,473	
01/17/2018	STA-056-CCO-007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713	
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTP	\$490,000	0.00% <sup>2</sup>	-	
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313	
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363	
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-	
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-	
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963	
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-	
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% <sup>2,3</sup>	-	
6/26/2019	STA-056-CCO-016	Testing at TTCI (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535	
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535	
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535	
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535	
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535	
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523	
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% <sup>3</sup>	\$21,938,173	
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167	
5/6/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464	
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % <sup>3</sup>	\$21,637,464	
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464	
10/12/2020	STA-056-CCO-029	Multiple No Cost / No Schedule Impact Changes Group 7	\$0	0.00 %	\$21,637,464	
<b>Total</b>			<b>\$179,197,556</b>	<b>21.45 %</b>	<b>\$21,637,464</b>	

Notes:

- <sup>1</sup>. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
- <sup>2</sup>. Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.
- <sup>3</sup>. Third party improvements/CNPA projects that are funded with non-PCEP funds.

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SCADA Contract

**Change Order Authority (15% of ARINC Contract)**

15% x \$3,446,917 = \$517,038

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
None to date					
<b>Total</b>			<b>\$0</b>	<b>0.00%</b>	<b>\$517,038</b>

Notes:

- <sup>1</sup> When the threshold of 75% is reached, staff may return to the Board to request additional authority.
- <sup>2</sup> Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

Tunnel Modifications Contract

**Change Order Authority (10% of ProVen Contract<sup>1</sup>)**

10% x \$55,077,777 = \$5,507,778

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>2</sup>	Remaining Authority
3/27/2019	PROV-070-CCO-003	Track Access Delay	\$25,350	0.46 %	\$5,482,428
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	\$70,935	1.29 %	\$5,411,493
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	\$29,478	0.54 %	\$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	\$14,443	0.26 % <sup>4</sup>	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4 )	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % <sup>4</sup>	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % <sup>4</sup>	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % <sup>4</sup>	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % <sup>4</sup>	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702
9/26/2019	PROV-070-CCO-023	Over-excavate Trapezoidal Ditch at T-1N (CNPA - Drainage \$46,914.00)	\$46,914	0.85% <sup>4</sup>	\$4,985,788
10/4/2019	PROV-070-CCO-029	Additional DryFix Pins	\$105,000	1.91%	\$4,880,788
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857	3.37 %	\$4,694,931
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200	0.04 % <sup>4</sup>	\$4,692,731
1/25/2020	PROV-070-CCO-027	Grout Quantity Underrun	(\$1,216,000)	(22.08)%	\$5,908,731
1/29/2020	PROV-070-CCO-026	HMAC Quantity Overrun (CNPA - Drainage \$160,000.00)	\$160,000	2.9 % <sup>4</sup>	\$5,748,731
5/11/2020	PROV-070-CCO-025	NOPC #1 CWR (CNPA - Drainage \$660,000.00)	\$660,000	11.98 % <sup>4</sup>	\$5,088,731

## Peninsula Corridor Electrification Project

### Monthly Progress Report

#### Change Order Authority (10% of ProVen Contract<sup>1</sup>)

10% x \$55,077,777 = \$5,507,778

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>2</sup>	Remaining Authority
7/31/2020	PROV-070-CCO-032	Stone Masonry Fabrication at T-4S	\$26,367	0.48 %	\$5,062,364
7/31/2020	PROV-070-CCO-035	Low Overhead Obstruction at T-1N	\$18,894	0.34 %	\$5,043,470
<b>Total</b>			<b>\$464,308</b>	<b>8.43 %</b>	<b>\$5,043,470</b>

Notes:

1. Tunnel modifications contract (\$55,077,777) includes: Notching (\$25,281,170), Drainage (\$13,196,607) and OCS Installation (\$16,600,000).
2. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
3. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.
4. Third Party Improvements/CNPA Projects that are funded with non-PCEP funds.

### CEMOF Modifications Contract

#### Change Order Authority (10% of ProVen Contract)

10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
1/16/2020	PROV-071-CCO-001	Change Casing Size of Siphon Line to Schedule 80 PVC Pipe	\$3,849	0.59 %	\$651,229
1/13/2020	PROV-071-CCO-002	Leakage test for IW line	\$1,339	0.20 %	\$649,890
1/15/2020	PROV-071-CCO-003	Roughen surface of existing concrete	\$3,159	0.48 %	\$646,731
1/9/2020	PROV-071-CCO-004	Change Catch Basin Size from 24"X24" to 36" Round	\$14,415	2.20 %	\$632,316
1/15/2020	PROV-071-CCO-005	Hand Dig around Communication Lines	\$906	0.14 %	\$631,410
1/17/2020	PROV-071-CCO-008	Change Storm Drain Line A Material from 12-inch RCP Pipe to 12-inch PVC Pipe	\$3,583	0.55 %	\$627,827
1/16/2020	PROV-071-CCO-009	Demolition of Existing Exterior Light	\$1,558	0.24 %	\$626,269
2/13/2020	PROV-071-CCO-010	Deletion of Plastic Bollards Around New Inspection Pit	(\$3,324)	(0.51)%	\$629,593
2/13/2020	PROV-071-CCO-011	Fixing Broken Conduit in Concrete Slab North of Maintenance Building	\$4,286	0.65 %	\$625,307
2/13/2020	PROV-071-CCO-012	Epoxy Dowels at New Stairwells	\$3,526	0.54 %	\$621,781
2/13/2020	PROV-071-CCO-013	Deletion of the Removal and Replacement of Pump Disconnect Switches	(\$7,007)	(1.07)%	\$628,788
2/13/2020	PROV-071-CCO-014	Recycled Base Rock for Backfill at Pressurized Water Line at Parts Storage Warehouse	\$1,411	0.22 %	\$627,377
2/20/2020	PROV-071-CCO-015	Cut and Cap Oil Line	\$1,002	0.15 %	\$626,375
2/25/2020	PROV-071-CCO-016	Installation of Homerun Conduit	\$27,404	4.18 %	\$598,971
2/25/2020	PROV-071-CCO-017	Potholing for Boosted Water Line	\$18,476	2.82 %	\$580,495
2/28/2020	PROV-071-CCO-018	Cap Compressed Air Line	\$9,519	1.45 %	\$570,976
2/28/2020	PROV-071-CCO-019	Acoustic Ceiling Removal at Component Test Room	\$4,253	0.65 %	\$566,723
3/5/2020	PROV-071-CCO-020	Ground Wire Relocation	\$14,117	2.16 %	\$552,606
3/13/2020	PROV-071-CCO-021	Zurn Drain Assembly in Lieu of Fibrelyte	\$1,104	0.17 %	\$551,502
4/8/2020	PROV-071-CCO-022	Deletion of Concrete Pad and Double Plywood Floor at PSW	(\$1,409)	(0.22)%	\$552,911
4/8/2020	PROV-071-CCO-023	Flashing at Overflow Drain at Component Test Room	\$2,981	0.46 %	\$549,930
4/9/2020	PROV-071-CCO-024	Parts Storage Warehouse Power Feed	\$16,412	2.51 %	\$533,518
4/22/2020	PROV-071-CCO-025	Removal of Hazardous Soil from PSW Subgrade Excavation	\$43,444	6.63 %	\$490,073
4/22/2020	PROV-071-CCO-026A	Removal of Hazardous Soil from PSW Footing Excavation	\$35,808	5.47 %	\$454,266

**Peninsula Corridor Electrification Project  
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**Change Order Authority (10% of ProVen Contract)**

**10% x \$6,550,777 = \$655,078**

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
4/27/2020	PROV-071-CCO-027	480 Volt Duct Bank and Wire Removal	\$5,015	0.77 %	\$449,251
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656	0.10 %	\$448,595
6/3/2020	PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745	0.42 %	\$445,850
6/3/2020	PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897	0.59 %	\$441,953
6/3/2020	PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060	0.77 %	\$436,893
6/16/2020	PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307	2.18 %	\$422,586
6/16/2020	PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783	1.19 %	\$414,803
6/10/2020	PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)	(2.85)%	\$433,485
7/24/2020	PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175	0.33 %	\$431,310
7/24/2020	PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621	0.55 %	\$427,689
7/24/2020	PROV-071-CCO-035	Settlement Slab Demolition	\$479	0.07 %	\$427,210
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922	0.90 %	\$419,222
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317	1.57 %	\$408,905
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152	2.47 %	\$392,753
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233	5.53 %	\$356,520
12/17/2019	PROV-071-CCO-007	Demolition of Existing Transition Slab at North and South Pits	\$8,101	1.24 %	\$348,419
8/13/2020	PROV-071-CCO-041	Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71	\$11,015	1.68 %	\$337,404
8/14/2020	PROV-071-CCO-043	Lighting Circuit Restoration	\$2,980	0.45 %	\$334,424
8/18/2020	PROV-071-CCO-026B	Removal of Hazardous Soil from PSW Ductbank Excavation	\$6,838	1.04 %	\$327,586
8/24/2020	PROV-071-CCO-044	Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings	\$14,589	2.23 %	\$312,997
8/24/2020	PROV-071-CCO-045	Conduit Outside Component Test Room	\$6,865	1.05 %	\$306,132
9/15/2020	PROV-071-CCO-030B	Component Test Room Data and Electrical Outlets and Masonry Work	\$12,530	1.91 %	\$293,602
9/17/2020	PROV-071-CCO-042	Shallow Fire Sprinkler Line	\$162,000	0.00% <sup>2</sup>	-
10/19/2020	PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307	3.10 %	\$273,295
10/19/2020	PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262	0.04 %	\$273,033
10/20/2020	PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770	1.03 %	\$266,263
11/30/2020	PROV-071-CCO-033B	Light Towers for Maintenance Building Yard	\$10,393	1.59 %	\$255,870
11/17/2020	PROV-071-CCO-049	Lighting at Parts Storage Warehouse	\$6,358	0.97 %	\$249,512
11/25/2020	PROV-071-CCO-050	NTP Delay – Non-Compensable Time Extension	\$0	0.00 %	\$249,512
11/19/2020	PROV-071-CCO-051	Relocation of an Existing Boosted Water Line in Conflict with South Pit Extension	\$250,000	0.00% <sup>2</sup>	-
<b>Total</b>			<b>\$817,566</b>	<b>61.91 %</b>	<b>\$249,512</b>

Notes:

<sup>1</sup> When the threshold of 75% is reached, staff may return to the Board to request additional authority.

<sup>2</sup> Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

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AMTRAK AEM-7 Contract

**Change Order Authority (Lump Sum)**

			Up to \$150,000		
<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>
10/25/2019	AMTK-066-CCO-001	Change to Amtrak Contract for Test Locomotives	(72,179)	(48.12%)	222,179
<b>Total</b>			<b>(72,179)</b>	<b>(48.12%)</b>	<b>\$222,179</b>

Notes:

<sup>1</sup>: When the threshold of 75% is reached, staff may return to the Board to request additional authority.

Appendix F – Risk Table

**Listing of PCEP Risks and Effects in Order of Severity**

<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
314	The contractor may not complete signal and communication design, installation and testing for the Two-speed check (2SC) modifications within budget and schedule.	Delay to integrated testing and operations/revenue service
303	Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.	<p>Extends construction of design-build contract with associated increase in project costs</p> <ul style="list-style-type: none"> <li>• DSC design cost</li> <li>• Inefficiencies</li> <li>• Construction costs related to DSCs (i.e., larger foundations)</li> <li>• Additional potholing</li> </ul>
010	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	<ul style="list-style-type: none"> <li>• Delay in obtaining parts / components.</li> <li>• Cost increases. (See Owner for allocation of costs)</li> <li>• Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)</li> </ul>
313	Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies	Contractor claims for increase in construction and design costs, and reduced production rates extending construction duration
240	<p>Property not acquired in time for contractor to do work.</p> <p>Property Acquisition not complete per contractor availability date</p> <p>&lt;&gt;Fee</p> <p>&lt;&gt;Easement</p> <p>&lt;&gt;Contract stipulates that if parcels are not available by contract date, there is only a delay if parcels are not available by the time contractor completes the Segment</p>	<ul style="list-style-type: none"> <li>• Potential delays in construction schedule</li> </ul>
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> <li>• Delays to construction/testing.</li> <li>• Delays to completion of infrastructure may delay acceptance of vehicles</li> </ul>



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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
273	Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims
318	Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy)	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
263	Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.	Delay in testing of EMUs. Delay in Revenue Service Date. Additional costs for Stadler and BBII due to overall schedule delays.
304	Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.	Protracted negotiations with FRA to achieve original design
011	Risks in achieving acceptable vehicle operations performance: <> software problems <> electrical system problems <> mechanical problems <> systems integration problems <> interoperability with diesel equipment  Increased issues lately with vehicles regarding system integration and compatibility.	Cost increase.  Delays vehicle acceptance  Potential spill-over to other program elements
244	Delays to completion of Segment 4 and then the entire alignment would create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs.	Delay claims from the EMU contractor (Stadler) and expiration of the EMU 2-year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs
296	PG&E needs to complete interconnection to be sufficiently complete to accept interim power	Delay in testing and increased costs
319	Failure of BBI to order cages in advance results in delays to foundation installation	Delays in installation of catenary system and additional cost for track protection and oversight.
322	BBII needs to complete traction power substations to be sufficiently complete to accept interim power	Delay in testing and increased costs

<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
325	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase
013	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months)  Increase in legal expenses  Potential price increase to resolve contract issue
067	Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule.	Delay in progress of catenary installation resulting in claims and schedule delay
223	Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.	Proposed changes resulting from electrification may not be fully and properly integrated into existing system.  Rework resulting in cost increases and schedule delays
242	Track access does not comply with contract-stipulated work windows.	Contractor claims for delays, schedule delays and associated costs to owner's representative staff.
253	Permits for bridges may not be issued in a timely manner.	Delays to issuance of permit for construction while negotiating and executing an operation and maintenance agreement for equipment installed on bridges; existing bridge deficiencies could result in additional costs to PCEP.
261	Although EMUs meets their electromagnetic emissions limits and wayside signal system track circuits meet their susceptibility requirements there are still compatibility issues leading to improper signal system operation	Changes on the EMU and/or signal system require additional design and installation time and expense.
285	Potential for inflation, (except with respect to Maintenance Option) to increase contractor costs.	Higher cost

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
286	Potential for wage escalation, (except for Maintenance Option) to increase contractor costs.	Higher cost
329	Work for PCEP that is being constructed by other projects may not be completed in accordance with the BBII project schedule. Critical work includes: <ul style="list-style-type: none"> <li>• Installation of signal house as part of SSF Station Project</li> </ul>	Delay to BBII construction progress and associated delay claims
056	Lack of operations personnel for testing.	<ul style="list-style-type: none"> <li>• Testing delayed.</li> <li>• Change order for extended vehicle acceptance.</li> </ul>
115	Other capital improvement program projects compete with PCEP for track access allocation and requires design coordination (design, coordination, integration).	Schedule delay as resources are allocated elsewhere, won't get track time, sequencing requirements may delay PCEP construction, track access requirements must be coordinated.
321	Single Phase Study and interconnection agreement may be delayed preventing energization of Segment 4 for milestone 1	
082	Unexpected restrictions could affect construction progress: <ul style="list-style-type: none"> <li>&lt;&gt; night work</li> <li>&lt;&gt; noise</li> <li>&lt;&gt; local roads</li> <li>&lt;&gt; local ordinances</li> </ul>	<ul style="list-style-type: none"> <li>• Reduced production rates.</li> <li>• Delay</li> </ul>
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
012	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	<ul style="list-style-type: none"> <li>• Increased cost due to mitigation</li> <li>• Potential delay due to public protests or environmental challenge.</li> </ul>
014	Contractor's proposal on stakeholder requested changes to the vehicles (e.g., High Level Doors in lieu of windows as emergency exits) may significantly exceed JPB authorized amount.	<p>Schedule delay.</p> <p>Cost increase.</p>
078	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.
087	Unanticipated HazMat or contaminated hot spots encountered during foundation excavations for poles, TPSS, work at the yards.	Increased cost for clean-up and handling of materials and delay to schedule due to HazMat procedures.
088	Construction safety program fails to sufficiently maintain safe performance.	Work stoppages due to safety incidents resulting in schedule delay and additional labor costs.

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
171	Electrification facilities could be damaged during testing.	Delay in commencing electrified operations.
247	Timely resolution of 3rd party design review comments to achieve timely approvals	Delay to completion of design and associated additional labor costs.
251	Subcontractor and supplier performance to meet aggressive schedule <>Potential issue meeting Buy America requirements	Delay to production schedule resulting in increased soft costs and overall project schedule delay.
272	Final design based upon actual Geotech conditions	Could require changes
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule
289	Coordination and delivery of permanent power for power drops for everything except traction power substations along alignment	Can't test resulting in delays to schedule and associated additional project costs.
291	Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect	Design change and/or delays
317	JPB may not make timely acquisition of resources to staff rail activation plan with key personnel.	Delay in operating electrified railroad - delay of RSD.
323	FRA concerns require re-design	
326	EMU production delay. Possible that there are failed factory tests	Schedule Increase
027	Vehicle power consumption may not meet requirements.  <>System impact study and load flow show no issues	Issue with PG&E. Can't run full acceleration.
031	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted
042	Full complement of EMUs not available upon initiation of electrified revenue service	Late delivery impacts revenue service date.
101	PG&E may not be able to deliver permanent power for the project within the existing budget and in accordance with the project schedule	Additional project costs; potential delay to revenue service date

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
150	Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project.	Delay.
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements <ul style="list-style-type: none"> <li>• \$3-\$5M/month burn rate for Owner's team during peak</li> </ul>	Delays to project schedule and additional costs for preparation and review of submittals.
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
306	Possible legal challenge and injunction to any changes in PCEP requiring subsequent CEQA or NEPA environmental clearance documentation/actions.	Worst case: a judge issues an injunction, which would prohibit any work ONLY on the project scope of the environmental document. Impact to the project from cost and schedule impact depends on if work is on the critical or becomes on the critical path.
008	Requests for change orders after vehicles are in production	Delays to manufacturing of vehicles and additional design and manufacturing costs.
023	Manufacturer cannot control vehicle weight to meet specifications.	Increased operating cost.
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
032	Failure to come up to speed on stakeholder safety requirements: <ul style="list-style-type: none"> <li>&lt;&gt; FTA</li> <li>&lt;&gt; FRA</li> <li>&lt;&gt; CPUC</li> </ul>	Takes longer than expected to gain FRA/FTA concurrence on waiver and/or level boarding requirements.
053	Failure to meet Buy America requirements.  (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	Potential need for negotiations that might lead to delay of project award.  (BA is not negotiable)

<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
054	Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility).	Increases cost if done off property
069	Potential need for additional construction easements. Especially for access and laydown areas.  Contractor could claim project is not constructible and needs more easements after award.	Increased cost  Delay
106	Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule.  Multiple segments will need to be under design simultaneously.  Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs.  Possible shortages with other specialty crafts as well.	Delay.
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
192	Environmental compliance during construction. - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions	<ul style="list-style-type: none"> <li>• Delay</li> <li>• Cost increase</li> </ul>

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
195	<p>Introduction of electrified train service will require training of first responders in working in and around the rail corridor. The new vehicles will be considerably quieter than the existing fleet and the presence of high voltage power lines will require new procedures for emergency response. A new training program will need to be developed and disseminated for:</p> <ul style="list-style-type: none"> <li>• Fire, police, and first responders</li> <li>• Local communities</li> <li>• Schools</li> </ul>	<p>Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.</p>
237	<p>JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.</p>	<p>Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.</p>
248	<p>3rd party coordination            &lt;&gt;Jurisdictions, Utilities, UP, Contractors            &lt;&gt;D/B needs to provide timely information to facilitate 3rd party coordination            &lt;&gt;Risk is for construction</p>	<p>Delays in approvals resulting in project schedule delays and associated costs.</p>
250	<p>Potential for municipalities and other agencies to request betterments as part of the electrification project</p>	<p>Delay to project schedule in negotiating betterments as part of the construction within municipalities and associated increased cost to the project as no betterments were included in the project budget.</p>
254	<p>Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary.</p>	<p>Results in additional design and construction to create sufficient clearance.</p>
266	<p>Verizon poles in conflict with OCS may not be removed in advance of OCS installation.</p>	<p>Delay in progress of catenary installation resulting in claims and schedule delay</p>
274	<p>JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct</p>	<p>Additional cleanup of as-builts after PCEP construction</p>
275	<p>DB fails to verify as-built drawings and existing infrastructure</p>	<p>Additional cleanup of as-builts after PCEP construction</p>

<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
278	Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements	Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment.
282	Failure to maintain dynamic envelope and existing track clearances consistent with requirements.	Redesign entailing cost and schedule impacts.
284	Compliance with project labor agreement could result in inefficiencies in staffing of construction.	Increase in labor costs and less efficient construction resulting in schedule delays.
290	Delays in agreement and acceptance of initial VVSC requirements database.	Delay to design acceptance
292	Communications equipment, including the UPS, will not fit in the spaces allotted to communications work within the buildings.	Requisite equipment under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
293	Readiness of 115kV interconnect for power to support testing	Delay in testing
311	Although project recordable injuries remain below the industry average, there have been numerous small impact incidents occurring that could potentially lead to a more serious event occurring.	The occurrence of a high impact safety event could result in project rework, construction delays, and increased project costs.



Appendix G – MMRP Status Log

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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.</b>	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has utilized the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW.
<b>AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.</b>	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design is ongoing. Coordination with the JPB & local jurisdiction regarding Overbridge Protection Barriers and TPFs is ongoing.
<b>AES-4a: Minimize spillover light during nighttime construction.</b>		X			Ongoing	OCS construction began the week of October 2, 2017; and the BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
<b>AES-4b: Minimize light spillover at TPFs.</b>	X				Upcoming	The design requirements indicated in the measure are being utilized in the design and construction process.
<b>AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.</b>	X	X			Ongoing	The Dust Mitigation Plan was submitted to the JPB and approved. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.

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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.</b>	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
<b>AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.</b>	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
<b>BIO-1a: Implement general biological impact avoidance measures.</b>	X	X			Ongoing	Worker Environmental Awareness Training is provided to all project-related personnel before they work on the project. All measures as described will be implemented throughout the construction period and documented in daily reports.
<b>BIO-1b: Implement special-status plant species avoidance and revegetation measures.</b>	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect special-status plant species. The measure is not needed.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plans for Segments 1 and 4 were submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project.
<b>BIO-1d: Implement western pond turtle avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for WPT. No WPT or WPT sign have been observed to date on the Project.
<b>BIO-1e: Implement Townsend’s big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities with the potential to disturb bats or their habitat. No special-status bats or sign have been observed to date on the Project.
<b>BIO-1f: Implement western burrowing owl avoidance measures.</b>	X	X			Ongoing	Protocol surveys for Western Burrowing Owl have been conducted from April–July, in 2017, 2018, and 2019, at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls have been observed during the 2017-2019 surveys. Survey reports for the 2017, 2018, and 2019 surveys have been submitted to the JPB for the project

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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>record. In addition, pre-construction surveys of the potential BUOW habitat areas in Segment 4 are ongoing, as needed, and if required, they occur no more than 7 days prior to the onset of new ground-disturbing construction activities. Surveys for the 2020 breeding season will commenced in March 2020. On March 24, 2020, two burrowing owls were observed adjacent to the Caltrain ROW, near MP 44.6. The owls were located approximately 150 feet away from the Caltrain ROW. A 200-meter no-disturbance buffer continued to be implemented during the reporting period. Balfour was granted approval by the CDFW to drive vehicles and equipment through the buffer in order to access foundation installation locations to the North and South of the BUOW. During the first week of mobilization through the buffer, a Qualified Biological Monitor provided full-time biological monitoring to determine if the presence of vehicle travel had any impact on the BUOW. No impacts to the BUOW were observed, and the BUOW was consistently observed at the northern most potential BUOW burrow location during the monitoring effort. Due to the lack of observed impacts to the BUOW during the monitoring effort, the CDFW subsequently approved weekly spot-checks through the end of the breeding season, which are currently ongoing, and continued through August 31, 2020. No signs of distress from the</p>

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						owl were observed due to construction activities during weekly spot checks. In addition, since there is some potential for indirect impacts during the non-breeding season (September 1 through January 31), during ongoing work on the Caltrain ROW and the completion of OCS pole foundations, the CDFW approved the reduction of the disturbance buffer from 200 meters down to 75 meters. The Qualified Biologist will monitor the burrows during construction activities within 75 meters of the burrows to look for any changes in owl foraging behavior in response to construction activities. If any change in owl nesting and foraging behavior is observed because of construction activities, activities will cease within the 75-meter buffer and the CDFW will be notified to determine next steps.
<b>BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.</b>	<b>X</b>	<b>X</b>			Ongoing	Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018, 2019, and 2020, prior to project-related activities with the potential to impact nesting birds. No nesting bird surveys occurred during this reporting period. Nesting bird surveys will recommence on February 1, 2021 for the 2021 nesting season.

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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.</b>	X	X			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.
<b>BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.</b>	X	X			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
<b>BIO-1j: Avoid nesting birds and bats during vegetation maintenance.</b>				X	Upcoming	To be completed during Project operation.
<b>BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.</b>	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
<b>BIO-3: Avoid or compensate for impacts on wetlands and waters.</b>	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.



**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.</b>	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a regular basis.
<b>BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).</b>	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
<b>CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.</b>	X				Upcoming	To be implemented prior to construction in tunnels.
<b>CUL-1b: Minimize impacts on historic decorative tunnel material.</b>	X				Upcoming	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.
<b>CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.</b>	X				Upcoming	To be implemented prior to construction in tunnels.

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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-1d: Implement design commitments at historic railroad stations</b>	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
<b>CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.</b>	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.
<b>CUL-1f: Implement historic bridge and underpass design requirements.</b>	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
<b>CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or</b>	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
unique archaeological resources under PRC 21083.2 are present.						Report will be provided at the conclusion of construction activities.
<b>CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
<b>CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
<b>CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						present for all exploratory trenching and subsurface testing work.
<b>CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.</b>	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
<b>CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.</b>		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
<b>CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.</b>		X			Ongoing	No human remains have been observed to date on the Project.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.</b>	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
<b>GEO-1: Perform a site-specific geotechnical study for traction power facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
<b>GEO-4a: Identification of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
<b>GEO-4b: Mitigation of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.</b>	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
<b>HAZ-2b: Implement engineering controls and best management practices during construction.</b>	X	X			Ongoing	D-B field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, assessments of existing subsurface pipes by a certified Asbestos Consultant are occurring as needed throughout the project as they are observed. Following the assessments, a specification describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant. During the reporting period, a certified asbestos consultant conducted exposure monitoring at PS-1 where naturally occurring asbestos was detected. Also, during the reporting period, samples of wrapped conduit at MP 46.7-12A were collected for asbestos analysis.
<b>HYD-1: Implement construction dewatering treatment, if necessary.</b>	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes hardscape only to required structure foundations; yard areas are to receive a pervious material.
<b>HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.</b>	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.
<b>HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.</b>				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
<b>NOI-1a: Implement Construction Noise Control Plan.</b>	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. PGH Wong has completed analysis and design and issued for JPB review.
<b>NOI-2a: Implement Construction Vibration Control Plan.</b>	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
<b>PSU-8a: Provide continuous coordination with all utility providers.</b>	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
<b>PSU-8b: Adjust OCS pole foundation locations.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
<b>PSU-8c: Schedule and notify users about potential service interruptions.</b>	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
<b>PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.</b>	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.



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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>TRA-1a: Implement Construction Road Traffic Control Plan.</b>	X	X			Ongoing	The D-B has begun traffic control design and permit applications with the City of Millbrae, Burlingame and San Mateo. Other communities will follow. Designs have been completed for all cross-over bridges in Segments 2 & 4 and submitted.
<b>TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.</b>	X	X			Upcoming	This measure has not started
<b>TRA-2a: Implement construction railway disruption control plan.</b>	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
<b>TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.</b>	X	X	X		Upcoming	This measure has not started.
<b>TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in</b>				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Caltrain's Bicycle Access and Parking Plan.						the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16 <sup>th</sup> Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 <sup>th</sup> Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance				X	Upcoming	This measure will be implemented during project operation.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
as feasible between San Jose and Bayshore.						
<b>AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.</b>	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has used the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW, thereby avoiding parks and residential areas.
<b>AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.</b>	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design, TPFs, and Overbridge Protection Barriers, is ongoing.
<b>AES-4a: Minimize spillover light during nighttime construction.</b>		X			Ongoing	OCS construction began the week of October 2, 2017. The BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
<b>AES-4b: Minimize light spillover at TPFs.</b>	X				Upcoming	The design requirements indicated in the measure are being used in the design process of the TPFs.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.</b>	X	X			Ongoing	The Dust Mitigation Plan was submitted to the JPB. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.
<b>AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.</b>	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
<b>AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.</b>	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
<b>BIO-1a: Implement general biological impact avoidance measures.</b>	X	X			Ongoing	Worker Environmental Awareness Training is provided to all project-related personnel before they work on the project. All measures as described will be implemented throughout the construction period and documented in daily reports.
<b>BIO-1b: Implement special-status plant species avoidance and revegetation measures.</b>	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect special-status plant species. The measure is not needed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plan for Segments 2 and 4 was submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project. A separate Wildlife Exclusion Fencing Plan will be submitted for Segments 1 and 3, prior to initiation of construction activities in those segments.
<b>BIO-1d: Implement western pond turtle avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for WPT. No WPT or WPT sign have been observed to date on the Project.
<b>BIO-1e: Implement Townsend's big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.</b>	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities with the potential to disturb bats or their habitat. No special-status bats or sign have been observed to date on the Project.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-1f: Implement western burrowing owl avoidance measures.</b>	X	X			Ongoing	Protocol surveys for Western Burrowing Owl were conducted from April 2017 through July 2017 at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls were observed during the surveys. Construction in Segment 4 is anticipated to occur in 2018. Prior to construction activities in Segment 4, pre-construction surveys of the potential habitat areas will occur no more than 7 days prior to the onset of construction activities. In addition, protocol surveys were initiated in March 2018, and were completed in June 2018, at the previously identified potentially suitable habitat locations, which will allow work to occur during the 2019 breeding season, if necessary. No Burrowing Owls were observed during the 2018 surveys.
<b>BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.</b>	X	X			Ongoing	Nesting Bird surveys were conducted from February 1 through September 15, 2017 prior to project-related activities with the potential to impact nesting birds. No active nests were observed during this reporting period. Nesting Bird surveys were initiated on February 1, 2018 and continued throughout the reporting period. Active nests were observed during this reporting period, and no-disturbance buffers were implemented to avoid any impacts to active nests, and all project activities which occurred nearby active nests

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						were monitored by agency-approved biological monitors.
<b>BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.</b>	X	X			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.
<b>BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.</b>	X	X			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
<b>BIO-1j: Avoid nesting birds and bats during vegetation maintenance.</b>				X	Upcoming	To be completed during Project operation.
<b>BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.</b>	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-3: Avoid or compensate for impacts on wetlands and waters.</b>	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
<b>BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.</b>	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a weekly basis.
<b>BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).</b>	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
<b>CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.</b>	X				Upcoming	To be implemented prior to construction in tunnels.
<b>CUL-1b: Minimize impacts on historic decorative tunnel material.</b>	X				Upcoming	To be implemented prior to construction in tunnels.



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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.</b>	X				Upcoming	To be implemented prior to construction in tunnels.
<b>CUL-1d: Implement design commitments at historic railroad stations</b>	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
<b>CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.</b>	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-1f: Implement historic bridge and underpass design requirements.</b>	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
<b>CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.</b>	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
<b>CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
<b>CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
<b>CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.</b>	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
<b>CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.</b>		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.</b>		X			Ongoing	No human remains have been observed to date on the Project.
<b>EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.</b>	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
<b>GEO-1: Perform a site-specific geotechnical study for traction power facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
<b>GEO-4a: Identification of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>GEO-4b: Mitigation of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
<b>HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.</b>	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
<b>HAZ-2b: Implement engineering controls and best management practices during construction.</b>	X	X			Ongoing	Field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, an assessment of two existing subsurface pipes by a certified Asbestos Consultant occurred during this reporting period, and a specification describing the methods for removal and disposal is currently in progress.
<b>HYD-1: Implement construction dewatering treatment, if necessary.</b>	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
<b>HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						hardscape only to required structure foundations; yard areas are to receive a pervious material.
<b>HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.</b>	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.
<b>HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.</b>				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
<b>NOI-1a: Implement Construction Noise Control Plan.</b>	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward.
<b>NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Design is still in process and a noise study is currently being performed.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>NOI-2a: Implement Construction Vibration Control Plan.</b>	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
<b>PSU-8a: Provide continuous coordination with all utility providers.</b>	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
<b>PSU-8b: Adjust OCS pole foundation locations.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
<b>PSU-8c: Schedule and notify users about potential service interruptions.</b>	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
<b>PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.</b>	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>TRA-1a: Implement Construction Road Traffic Control Plan.</b>	X	X			Ongoing	The D-B has begun traffic control design and permit applications with cities in Segments 2 and 4. Designs have been completed and approved for all cross-over bridges in Segments 2 and 4.
<b>TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.</b>	X	X			Upcoming	This measure has not started
<b>TRA-2a: Implement construction railway disruption control plan.</b>	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
<b>TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.</b>	X	X	X		Upcoming	This measure has not started.
<b>TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in</b>				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along



**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>Caltrain's Bicycle Access and Parking Plan.</b>						the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.
<b>NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds</b>				X	Upcoming	This measure will be implemented during project operation.
<b>NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor</b>				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
<b>TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations</b>				X	Upcoming	This measure will be implemented during project operation.
<b>TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16<sup>th</sup> Street without OCS conflicts in cooperation with SFMTA.</b>	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 <sup>th</sup> Street crossing. This measure no longer applies.
<b>Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance</b>				X	Upcoming	This measure will be implemented during project operation.

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
as feasible between San Jose and Bayshore.						

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: April Chan  
Chief Officer, Planning, Grants, and Transportation Authority

SUBJECT: **BLUE RIBBON TRANSIT RECOVERY TASK FORCE UPDATE**

**ACTION**

This report is for information only. No Board action is required.

**SIGNIFICANCE**

In early December 2020, MTC sent out invites to the Bay Area's transit agencies to discuss the scheduling of a virtual meeting for the region's transit agency board members in early 2021 to provide an opportunity for them to learn more and ask questions about the work of the Blue Ribbon Transit Recovery Task Force (BRTRTF).

Since then, the Caltrain board has received an invitation for a meeting scheduled for Monday, February 1, 2021, from 5:05 PM -6:30 PM. This is a special meeting with the goal of updating transit agency board members about the work of the BRTRTF and to hear board member comments and for MTC to respond to potential questions. Each transit agency board has been invited to select two board members from each agency to participate and general managers are also invited as panelists.

At the January 2021 Board meeting, staff presented an update on the transit operators' coordination around the region since the pandemic began in early 2020, and some of the transit management concepts that have been contemplated as a result of the discussion at the BRTRTF. We believe the information shared will assist the Board members who will be participate at the February 1 meeting.

For the PowerPoint from the January 2021 meeting, it can be found here:  
<https://www.caltrain.com/Assets/Blue+Ribbon+Task+Force+Updates.pdf>

At the upcoming Board meeting, staff, along with Board members who will participate at the February 1 MTC meeting, will report out, as well as providing an opportunity for further discussion.

**BUDGET IMPACT**

There is no fiscal impact associated with this informational update.

## **BACKGROUND**

The BRTRTF currently consists of 32 members, including California State Transportation Agency Secretary David Kim and Assemblymember David Chiu, eight MTC Commissioners, nine transit agency general managers and 9 stakeholders representing various interests, including labor, business, social equity, and persons with disabilities.

The BRTRTF was convened by MTC in early 2020 to distribute the first phase of CARES Act funding to transit operators. After focusing initially on COVID-19 health and safety protocols and encouraging the adoption of common messaging that all of the region's transit operators could agree upon, the BRTRTF has now pivoted to the next stage of developing a long-term recovery and transformation action plan.

The BRTRTF has established a vision of transit transformation, which is to: *design, adequately invest in and effectively manage a public transit network that is equitable, inclusive, frequent, affordable, accessible, reliable; is integrated with unified service, fares, schedules, customer information and identity; and serves all Bay Area populations, resulting in increased transit ridership and reduced growth in vehicle miles traveled.* The BRTRTF also has adopted goals and objectives for the Transformation Action Plan, which include the following:

- Acknowledge the fiscal crisis facing operators and defer post-recovery service planning to allow agencies to prioritize difficult fiscal and service choices in the midst of increasing uncertainty;
- Prioritize equity;
- Identify near-term actions to implement network management & governance reforms; and
- Identify how current MTC and state initiatives can help advance those reforms.

The final Transformation Action Plan, anticipated to be completed in June 2021, will likely include legislative recommendations. Assemblymember Chiu, a BRTRTF member, has indicated he is interested in authoring legislation on this subject for the current legislative session.

Prepared by: April Chan  
Chief Officer, Planning, Grants & TA

650-508-6228

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett  
Executive Director

FROM: Michelle Bouchard  
Chief Operating Officer, Caltrain

SUBJECT: **POST COVID BUSINESS STRATEGY – SCENARIO PLANNING**

**ACTION**

Staff Coordinating Council recommends the Board of Directors (Board) receive the attached informational ppt describing scenario planning work used to develop Caltrain's post-COVID Business Strategy.

**SIGNIFICANCE**

At the June 2020 Board Meeting, Peninsula Corridor Joint Powers Board (JPB) staff announced that activity on the Caltrain Business Plan would pause and pivot toward COVID recovery efforts. Over the course of subsequent months staff returned to the Board with a series of updates focused on how the railroad would respond and adapt to the extraordinary social, financial and operational challenges created by the pandemic. Key work products have included:

- The railroad's "Equity, Connectivity, Recovery and Growth" Framework (adopted by the Board in September of 2020)
- The implementation of a revised 68 train service (presented to the Board in November of 2020 and implemented in December)
- Ongoing analysis and work related to understanding the railroad's costs and financial resources during a highly dynamic period

Throughout this time, staff has also been working to develop a body of longer range scenario planning that considers the different realities the railroad may confront as we move through and beyond the pandemic. Now, with the passage of Measure RR and with the rollout of vaccines commencing staff has worked to complete this scenario planning work and has begun the development of a post-COVID Business Strategy to guide the railroad over the next several years. The attached presentation describes the scenario planning work and outlines key strategic considerations for the railroad. Staff plans to return to the Board with a fully developed Business Strategy in spring.

## **BUDGET IMPACT**

There is no budget impact associated with the adoption of this framework. Individual actions called for within the framework may require additional board approval and budget authority as they are brought forward to implementation.

## **BACKGROUND**

In 2017, the JPB secured full funding for the Peninsula Corridor Electrification Project and issued notices to proceed to its contractors for corridor electrification and purchase of Electric Multiple Unit railcars.

Now that construction on this long-awaited project is underway, the agency has the opportunity to articulate a long-term business strategy for the future of the system. The initial concept for a Caltrain "Business Plan" was brought to the Board in April of 2017. The Board reviewed a draft scope of work for the Business Plan in December of 2017 and adopted a final Business Strategy and Scope of Work in February of 2018. Technical work on the Plan commenced in the summer of 2018. The Business Plan has been scoped to include long-range demand modeling, and service and infrastructure planning, as well as organizational analysis and an assessment of Caltrain's interface with the communities it traverses. In October of 2019, the JPB marked a major milestone in the Business Plan process with its adoption of a "2040 Service Vision" for the Caltrain system. This action set long-range policy guidance for the future of the Caltrain service and allowed staff to advance toward the completion of the overall plan by summer of 2020.

Starting in March of 2020, however, the emergence of the COVID-19 Pandemic resulted in a rapid and severe crisis for the railroad, with ridership plummeting by as much as 98% and the implementation of significant service cuts. Based on this unprecedented circumstance, staff informed the Board of their decision to temporarily pivot Business Plan efforts toward recovery planning in June of 2020.

Prepared by: Sebastian Petty, Deputy Chief, Caltrain Planning

650.622.7831

# Caltrain Business Strategy: Scenario Planning

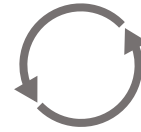
JOINT POWERS BOARD  
FEBRUARY 4, 2021



# Ongoing Recovery Planning Efforts

During most of 2020, Caltrain pivoted its Business Plan effort to focus on COVID-19 recovery planning. This work has been spread across multiple streams as shown on the right.

In 2021, with the passage of Measure RR and vaccination campaigns underway, staff is shifting the emphasis of recovery planning efforts toward preparing a Business Strategy for a post-pandemic reality. This work starts with scenario planning.



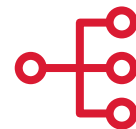
Equity, Connectivity, Recovery, & Growth Framework



Near Term Service Planning



Financial Analysis



Scenario Planning



# Focus for today

The presentation today focuses on establishing context for Caltrain's post-pandemic Business Strategy. It describes major recent shifts that have occurred in Caltrain's business environment and outlines the process that staff used to generate different scenarios or "stories" about possible futures the railroad may encounter. These scenarios are intended to provoke a series of strategic questions and conversations about Caltrain's Business Strategy going forward.

Staff plans to return to the Board in spring with Business Strategy that addresses these questions and can guide the railroad through the coming years.



**Background**

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**Developing Scenarios**

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**Business Strategy Implications & Questions**

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# Focus for today

The presentation today focuses on establishing context for Caltrain's post-pandemic Business Strategy. It describes major recent shifts that have occurred in Caltrain's business environment and outlines the process that staff used to generate different scenarios or "stories" about possible futures the railroad may encounter. These scenarios are intended to provoke a series of strategic questions and conversations about Caltrain's Business Strategy going forward.

Staff plans to return to the Board in spring with Business Strategy that addresses these questions and can guide the railroad through the coming years.

## Three Key Ideas

- The events of the last year have massively impacted Caltrain's business and have also provoked larger, long term shifts in the railroad's surrounding business environment
- The future looks increasingly volatile, uncertain, complex and ambiguous. Previous trends and assumptions are not necessarily a reliable guide to what may happen next. Caltrain has used scenario planning as a tool to consider multiple possible futures
- Caltrain needs a Business Strategy to navigate the challenges and opportunities of the coming years. The strategy will focus on how Caltrain can drive customer and public value during a time of significant uncertainty.

# Background

# What is Caltrain's Business?

There are two major areas of Caltrain's business. While closely interrelated, they are fundamentally distinct



## Rail Service (San Francisco – Gilroy)

### Example Activities:

- Passenger rail operations
- Maintenance of rolling stock and systems
- Fare policy and collection
- Near and long term service planning
- First- and last-mile services



## Corridor Management (San Francisco – San Jose)

### Example Activities:

- Hosting of Caltrain service
- Hosting of freight and other current and future tenant rail services (ACE, CCJPA, CHSRA)
- Infrastructure and corridor maintenance
- Capacity planning and participation in joint projects
- Capital project delivery
- Land asset management

# How does Caltrain's Business Deliver Value?

Caltrain (and transit generally) delivers value in two broad and interrelated ways.

**VALUE**

*for*

**MONEY**

**Customer Value:**

The direct benefits that accrue to individuals who use the system

**Public Value:**

The mobility, equity, economic, social and environmental benefits that accrue to a broader public or advance larger public goals and values when the system is used

**Self-generated Revenues:**

Fares and other-self generated revenues earned directly

**Public Subsidy:**

Public funding of operations and capital investments

# Where were we?



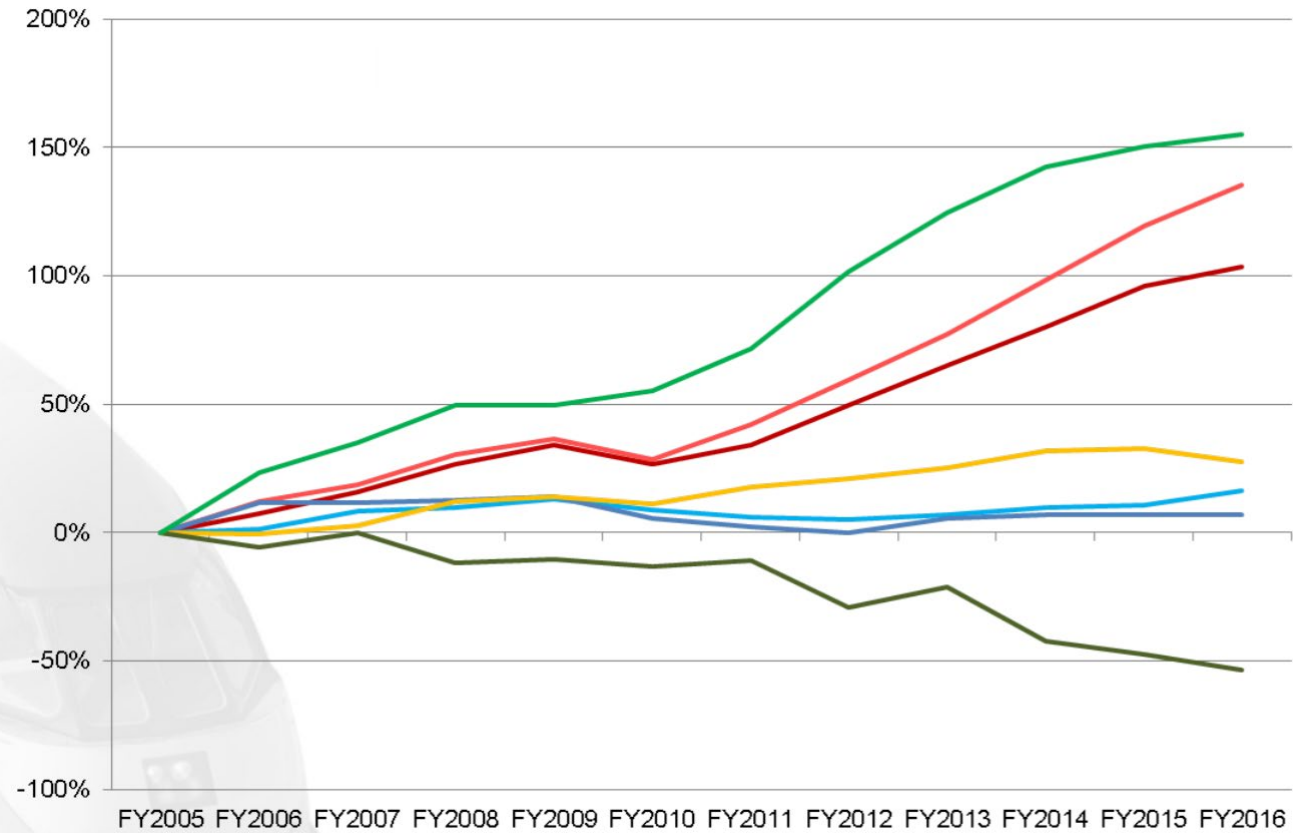
## Rail Operations

In 2017, at the start of the Caltrain Business Plan process, Caltrain's commuter rail operation had enjoyed more than a decade of consistent ridership growth buoyed by the success of the "baby bullet" express service and a booming corridor economy.

Lacking a dedicated source of funding, the railroad relied heavily (and successfully) on passenger fares – recovering more than 70% of its operating costs through ticket sales and other self-generated revenue sources.

As ridership grew, public subsidy of the service declined in both real and percentage terms.

## Key Caltrain Business Metrics 2005-2016



- Weekday Ridership
- Annual Ridership
- Annual Revenue Service Hours
- Trains per Weekday
- Total Annual Operating Budget
- Total Contributed Funds
- Total Self-Generated Revenue



# Where were we?



## Corridor Management

Leading into the start of the Caltrain Business Plan, the railroad's corridor management efforts were overwhelmingly focused on two related initiatives.

First, longer term corridor management efforts focused on planning for the introduction of California High Speed Rail service to the corridor (the Blended System) and on related, major expansion projects like the Downtown Extension and Diridon Station.

The other major corridor management focus was the planning, funding and delivery of the Peninsula Corridor Electrification Project – an investment in corridor capacity that would allow Caltrain to significantly expand service and that could be used by CHSRA services in the future.

- **2008** CHSRA specifies its alignment
- **2011-2013** “Blended System” introduced  
CHSRA Business Plan confirms Blended System  
Senate Bills 1029 and 557 provide Prop 1A funds and codify 2-track blended system
- **2013-2017** Peninsula Corridor Electrification Program environmentally cleared  
Receipt of Federal Full Funding Grant Agreement  
Full Notice to Proceed issued

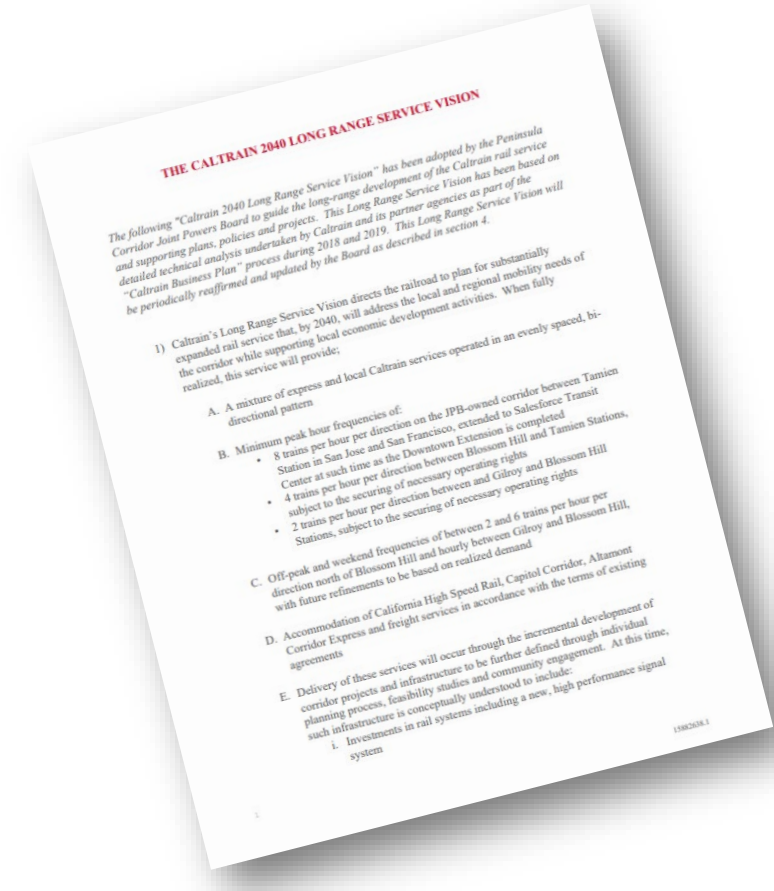
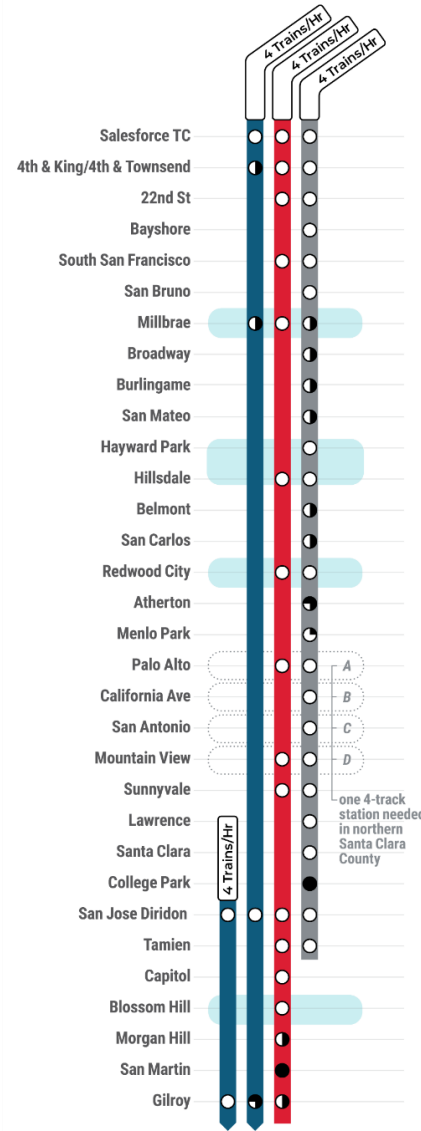


# Where were we?

## A Long Range Service Vision

The major focus of Caltrain's Business Plan process was the development of a Long Range Service Vision for the railroad. The Board adopted the Long Range Service Vision in the fall of 2019

The Vision was selected through a business case process and was developed to harmonize and expand upon the multiple, overlapping long range plans in the Caltrain corridor by re-focusing them around a goal of expanded and improved rail service. The 2040 Service Vision provides Caltrain with a framework that comprehensively guides the railroad's corridor management activities and long range service planning



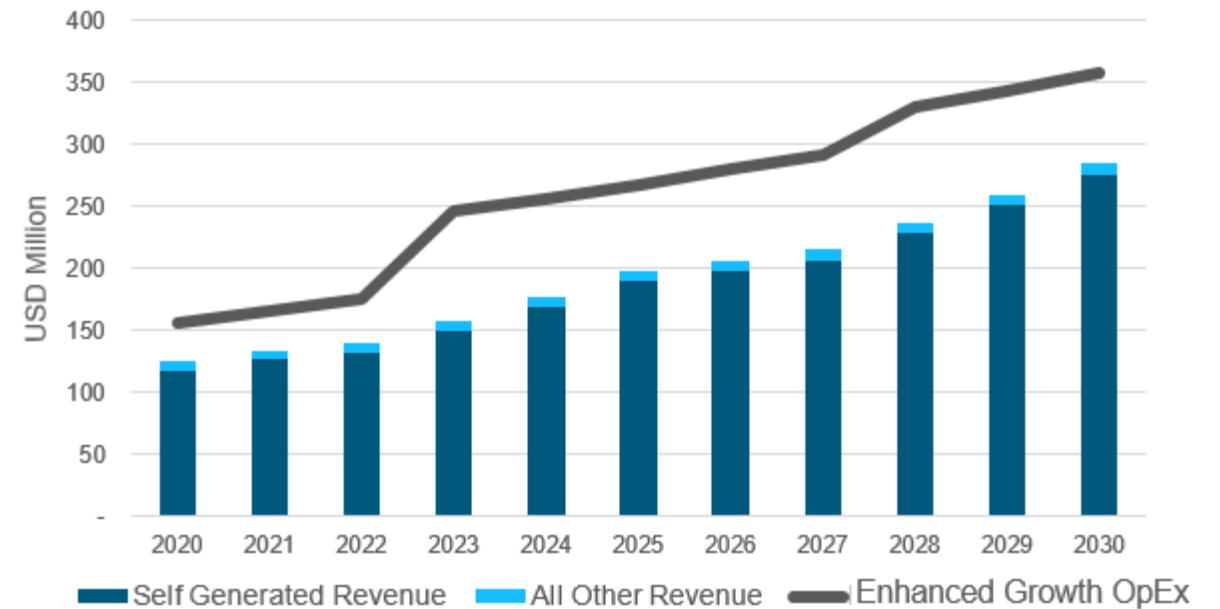
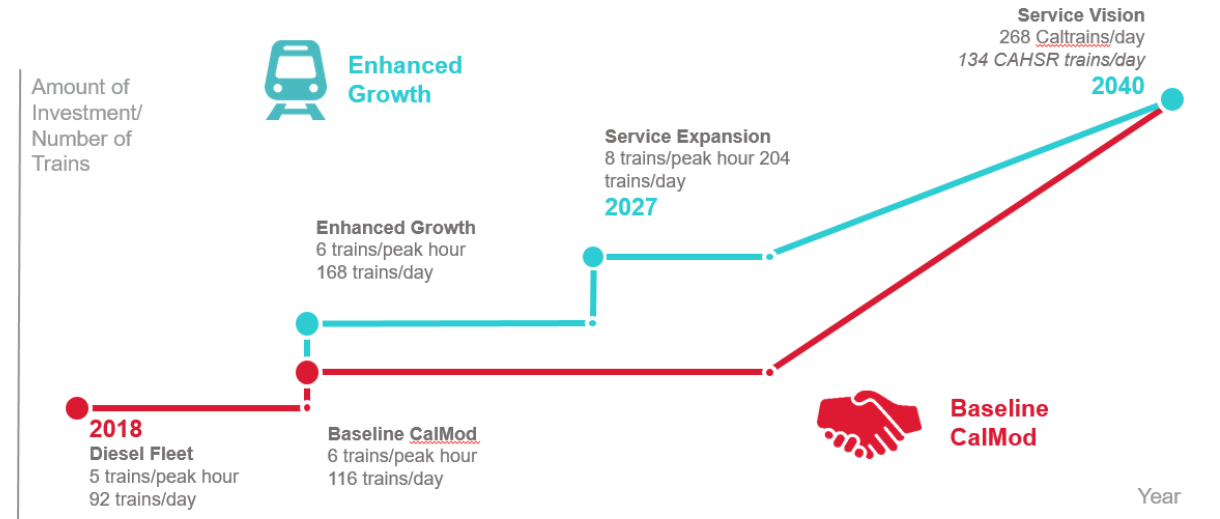


# Where were we?

## Planning for the next 10 years

With a Long Range Service Vision adopted, Caltrain was preparing to complete the Business Plan process and was focused on developing an “implementation plan” that would guide railroad operations and expansion activities over the coming decade. In February of 2020, staff presented to the board on a number of key areas including;

- Work related to equity and station access
- Development of interim service concepts for the next decade including both electrified service as well as an “enhanced growth” approach to deliver expanded, 8 train per hour service in the corridor as soon as feasible
- Refining ridership estimates, financial projections, and funding needs for the next decade



A photograph showing a large fire on the right side, with a sign in the foreground. The sign is black with white text. The background is filled with smoke and fire, creating a dramatic and somewhat somber atmosphere. The sign is the central focus, providing a stark contrast to the chaotic background.

**SENIOR CENTER**

**WEAR A MASK  
WASH YOUR HANDS  
SOCIAL DISTANCE  
STAY SAFE**

**COME JOIN US**

# A Year of Change

In March of 2020 the pandemic hit the Bay Area and daily life changed dramatically.

Over the course of the last year, the impacts brought about by COVID-19 have intertwined with and, in some cases, amplified and accelerated other significant events and trends around the region, country and world

The future “Business Environment” Caltrain must plan for now seems very different, and less stable, than the one in which we existed pre-COVID

## Examples of Major shifts in the Business Environment

- Massive changes to daily life and mobility patterns resulting from the COVID-19 Pandemic and associated health orders
- Severe economic impacts, job losses and worsening economic inequality
- Widespread recognition and protest of racial injustice
- Accelerated adoption of remote working, delivery services and contactless payment
- Changes to residential and commercial real estate markets
- Intensifying impacts of climate change including severe wildfires and air quality deterioration in Northern California
- A significant federal election amidst intensifying political polarization and violence

# A Year of Change for Caltrain

When the pandemic hit, Caltrain's focus immediately turned away from long range planning and toward survival and recovery as the impacts of the pandemic precipitated an abrupt loss of ridership and an existential financial crisis for the railroad.

The events of the past year have resulted in significant direct changes to the railroad's business – at a time when a great deal of change was already underway.

The future Caltrain must plan for now is not necessarily the same one we were contemplating a year ago

## Direct Business Impacts

- Abrupt loss of 95% ridership and corresponding declines in revenue resulting from the pandemic and associated public health orders
- Ongoing disruption and changes to operations, project work and business practices

## Significant Responses and Events

- Adoption of health and safety practices
- Federal relief funding and formation of the Blue Ribbon Task Force
- Adoption of Equity, Connectivity, Recovery & Growth Framework
- Significant restructuring of Caltrain service
- **Passage of Measure RR**

## Other, Parallel Change

- Electrification of the railroad
- Advancement of governance process
- Changes in senior staff and leadership



# Multiple Phases of Crisis & Response

## Initial Triage

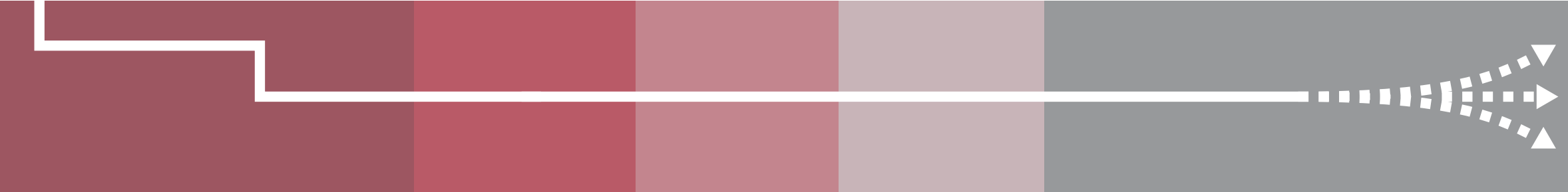
March 2020 – May 2020

## Surviving the Pandemic

May 2020 – 2021 (?)

## Preparing for the Next Reality

2021 and Beyond



Initial crisis and immediate triage response by Caltrain

Extended period where Pandemic is ongoing and Caltrain ridership and operations remain deeply impacted and in a state of dynamic flux. Railroad's financial position is precarious

Long-term resolution of pandemic through vaccine or other permanent public health approaches. Caltrain adjusts to new Business Environment

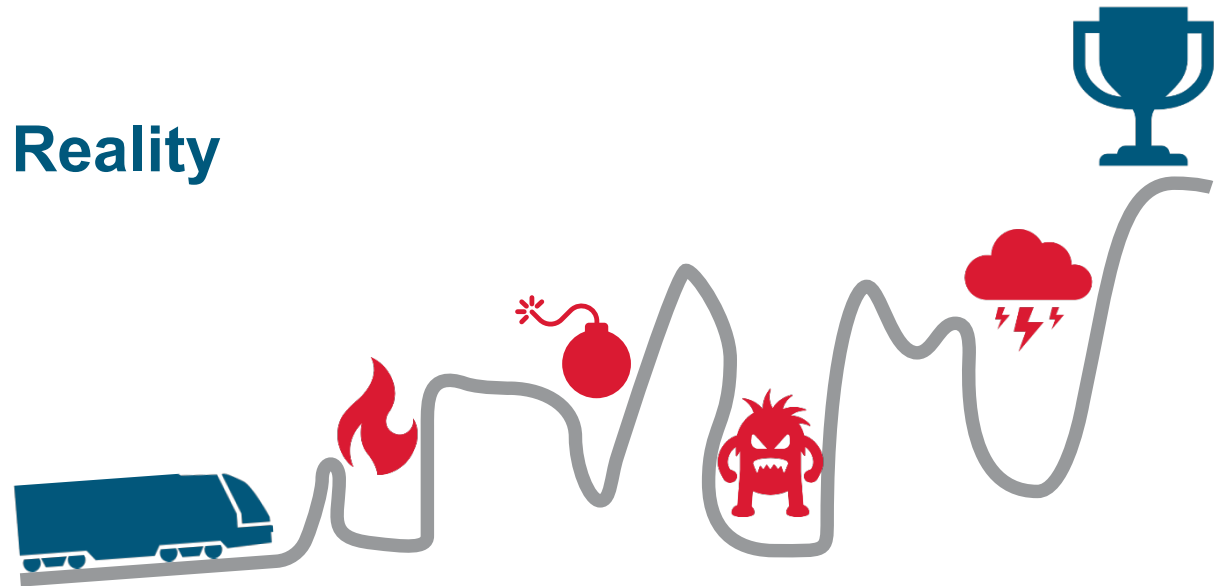
# Why did Caltrain Undertake Scenario Planning?

The events of the last year have massively changed Caltrain's business and have also provoked larger, long term shifts in the railroad's surrounding business environment. The "next reality" Caltrain faces looks increasingly volatile, uncertain, complex and ambiguous. Previous trends and assumptions are not necessarily a reliable guide to what may happen next

## The Plan



## Reality



# Stages of Caltrain's Scenario Planning Process



## Lay the Groundwork

- Interview** key leaders
- Assess** external trends
- Design** workshops
- Study** Bay Area infections model



## Develop Scenarios

- Choose** the most important external forces
- Identify** 4 diverging scenarios and develop stories for each
- Map** these scenarios over time



## Determine Strategic Implications

- Study** implications for Caltrain in each scenario
- Identify** actions to take over different time frames
- Define** early indicators for each scenario

# Who was involved?

## Caltrain Staff

Caltrain Executive leadership

Representatives from Systemwide Planning & Policy, Financial Planning, Grants & Funding, Operations, and Marketing departments

## External Experts

Katherine Carmen *Behavioral Economist*

Egon Terplan *Advisor to Governor Newsom*

Kiran Jain *Policy and Civic Technology/Innovation Expert*

David Bragdon *Transit Center Executive Director*

Ibbi Almufti *Arup Risk and Resilience Leader*

## Stakeholders

Project Partner Committee (PPC) – staff from partner agencies - participated in a workshop provide feedback on scenarios

## Consultant Team

Nicole Boyer *NOW Partners*

Ratna Amin *Deutsche Bahn & Engineering*

Huma Husain *Fehr & Peers*

Lee Reis *Fehr & Peers*

Karina Schneider *Fehr & Peers*

Katie Miller *Fehr & Peers*



# Developing Scenarios

# Caltrain's Focal Question:

*What's the impact of the pandemic on Caltrain's future business?*

**Surviving the Pandemic**  
*(next 6 months to 3 years)*

What will the **regional market and funding environment** look like during the transition period?

**New Reality**  
*(3-10 years)*

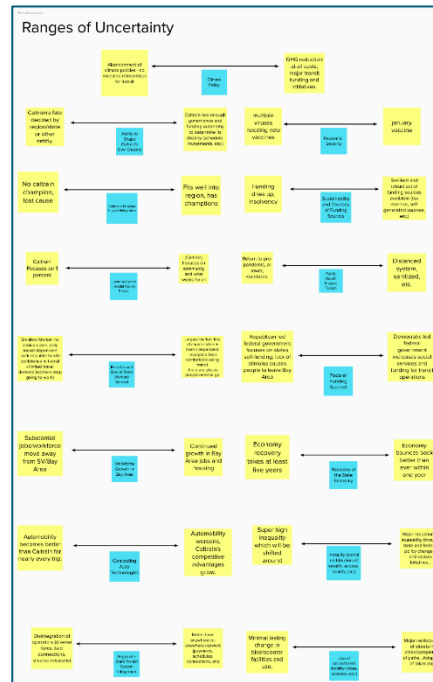
What are the **lasting impacts in the region as a place to work, live and visit?**

# Scenario Development Process

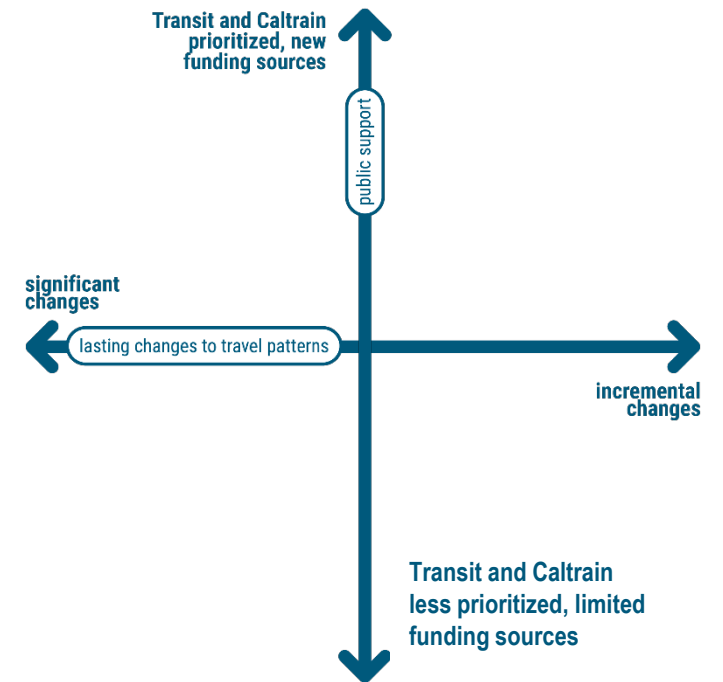
What driving forces will shape the answer to Caltrain's focal question?



How big are the uncertainties associated with each force?



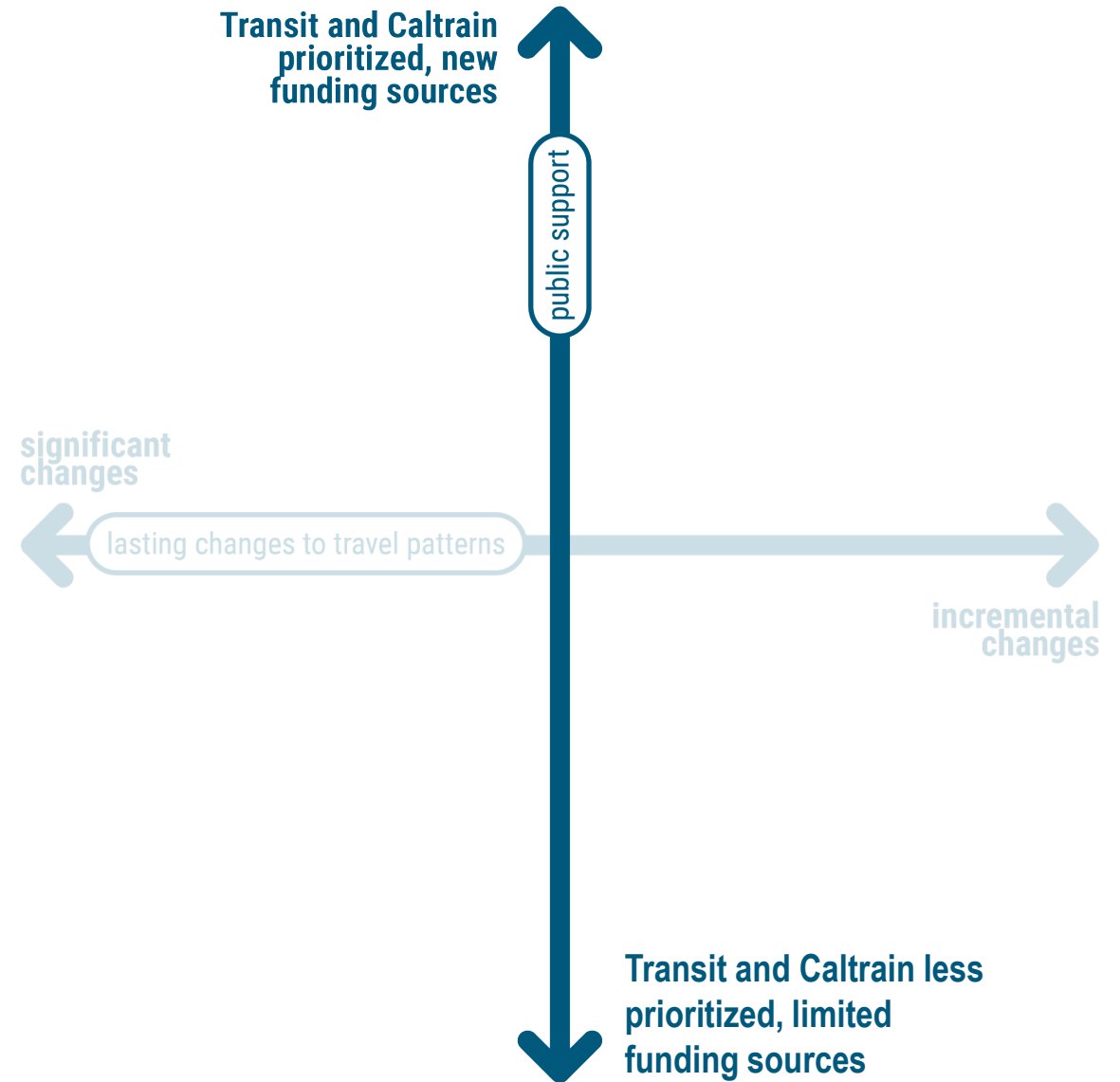
What are the biggest uncertainties shaping our future?



# Public Support for Transit

## Key Considerations on this Axis:

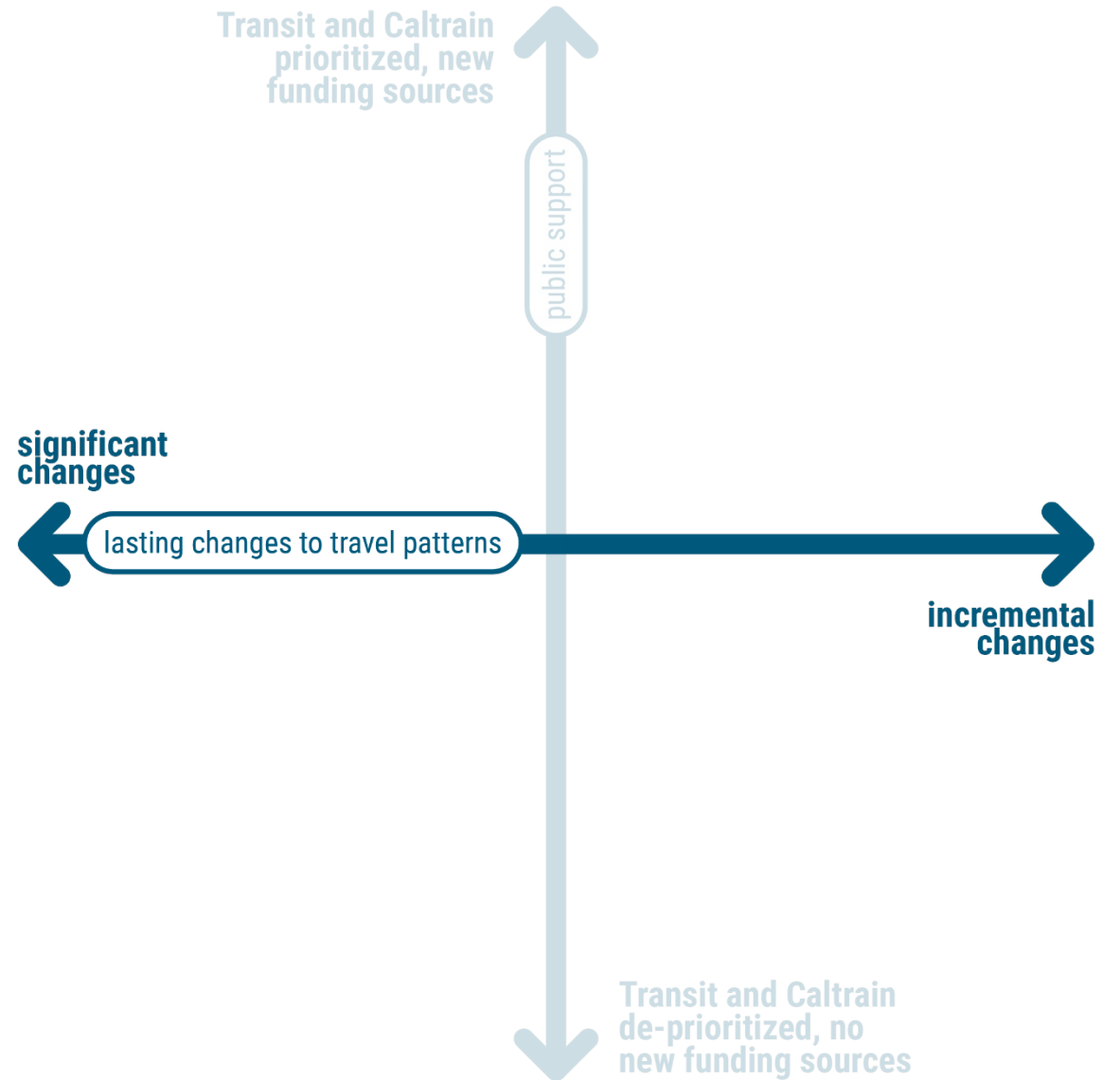
- What nature and level of direct public financial support is available to Caltrain? (eg member funds, Measure RR, other direct funding streams)
- What Federal and state funding opportunities are available to Caltrain specifically and transit generally? (eg relief funds, new stimulus, ongoing and new programs)
- What nature of political support is there for Caltrain in the region and state?
- Is transit politically prioritized and a focus generally at the regional, state, and national levels?



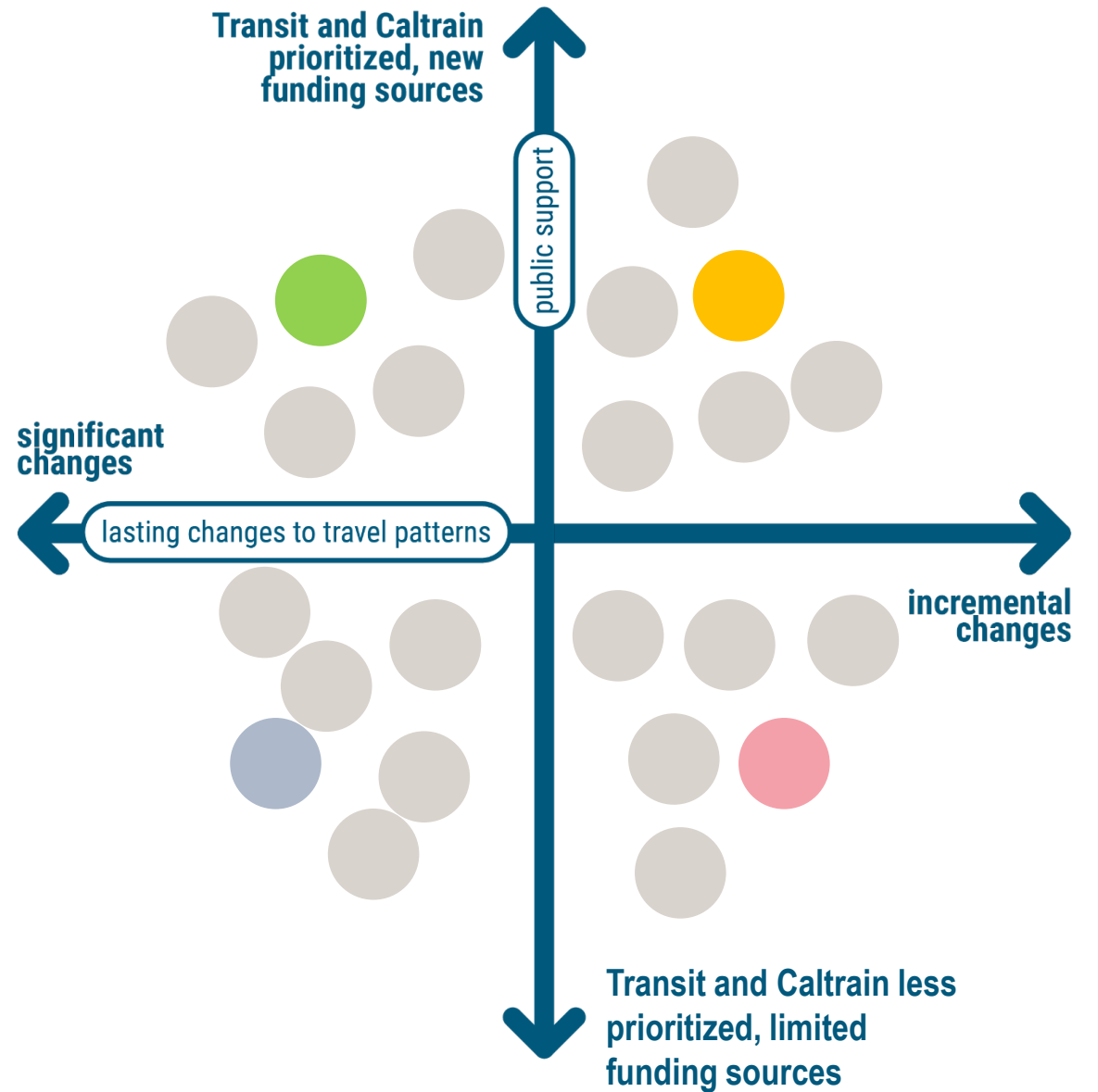
# Lasting Changes to Travel Patterns

## Key Considerations on this Axis:

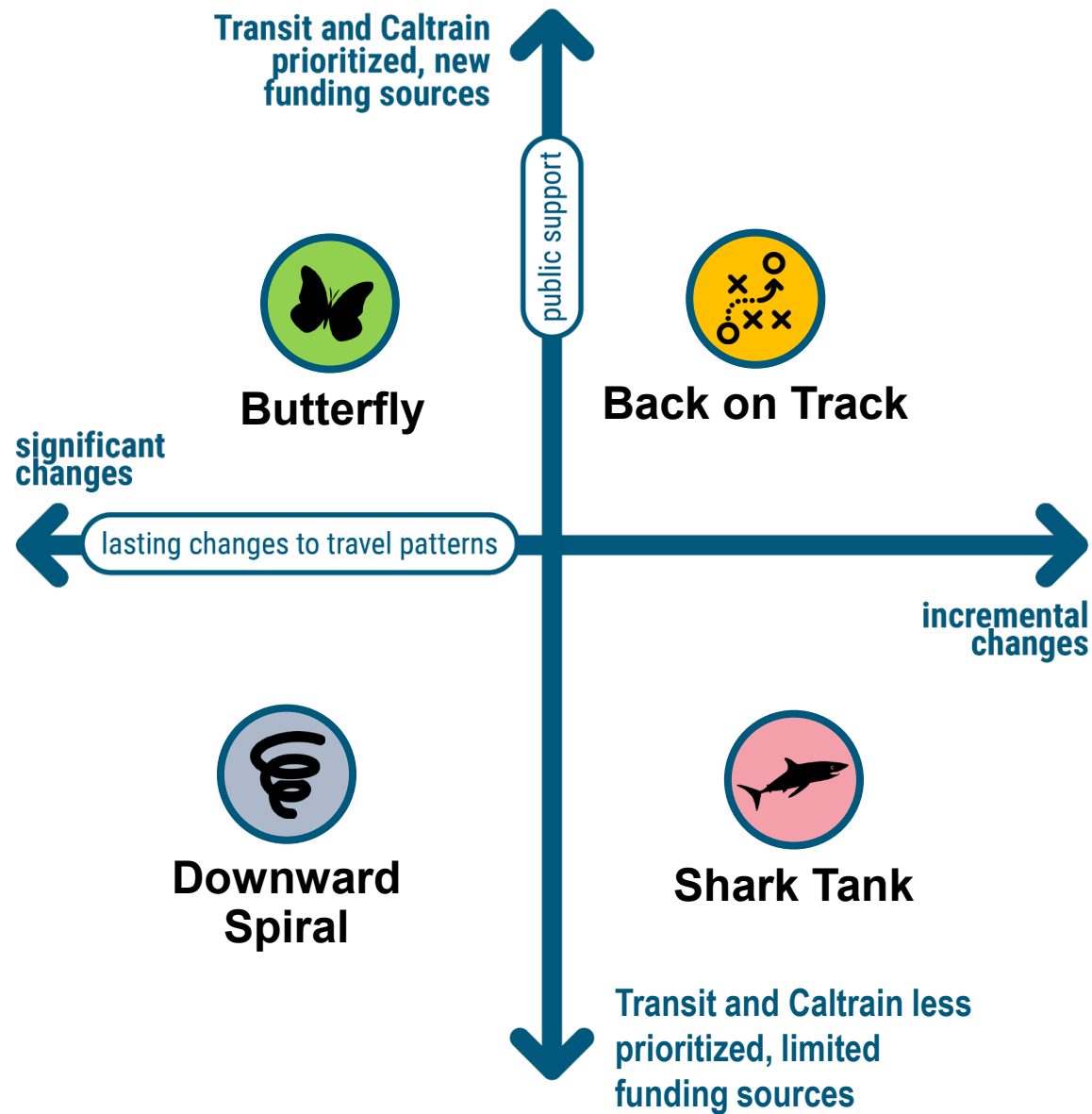
- Progress of the pandemic including timing/ and efficacy of a vaccination campaign
- Evolution of remote work (WFH) and education both during and post-pandemic
- Changes in regional economic outlook and growth patterns
- Near- and longer term impacts to housing and job distribution and growth within the region
- Speed of ongoing technological innovation in the remote work and transportation industries
- Ongoing evolution of traffic and congestion patterns
- Accelerating impacts of climate change to daily life



# Developing Stories About the Future



# Four Caltrain Scenarios





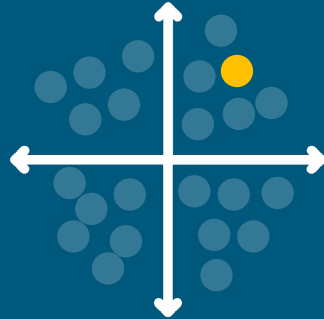
# Back on Track

CALTRAIN & TRANSIT FUNDING

**prioritized** de-prioritized

CHANGES TO TRAVEL PATTERNS

**incremental** significant



**This is a world in which** after a near-death experience, public transit becomes more integral to the Bay Area. The megaregional economy emerges strongly from the pandemic, and a new stream of Federal transit funding enables receiving agencies to prioritize advancement of capital programs, deliver robust service and prioritize equity. Leadership shown during the pandemic increases trust in the capabilities of existing government institutions.

## Why Back on Track Happens

- An effective vaccination campaign gets people back to offices and schools gradually throughout 2021.
- Thanks to strong Federal and State incentives the regional economy recovers within 3 years.
- The corridor office travel market is smaller than before, but remains. Other travel markets grow in relative importance.
- Major, sustained Federal investments in transit fund both capital expansion and transit operations.
- Institutional reforms occur incrementally as Caltrain and the region focus on an ambitious capital program and expanded service.



## Scenario 2



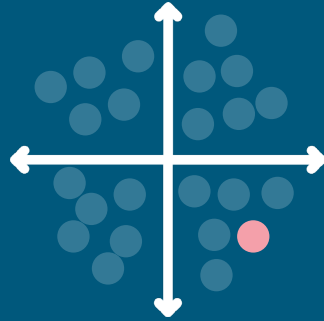
# Shark Tank

CALTRAIN & TRANSIT FUNDING

**prioritized**    **de-prioritized**

CHANGES TO TRAVEL PATTERNS

**incremental**    **significant**



**This is a world in which** it's survival of the fittest. Despite initial rounds of relief funding and the passage of Measure RR, further funding for transit largely stagnates for the remainder of the 2020's as public priorities shift and the country grapples with intense polarization at the federal level. Measure RR guarantees Caltrain's survival but with other funding sources in decline the railroad turns to a mixed bag of innovations and private partnerships to grow its business; Caltrain has an increasingly singular focus on its own survival rather than long term expansion.

## Why Shark Tank Happens

- An effective vaccination campaign gets people back to offices and schools gradually throughout 2021.
- A recession results in a smaller commuter market and many people continue working from home. Nonetheless, a core market of regional and intercity travel remains
- Financial scarcity drives continued polarization at multiple levels of government. Federal aid and stimulus are initially significant but are quickly spent and over time fall well short of overall need
- While a handful of major projects advance, longer term ambitions to expand transit begin to fade across the region and individual agencies grow increasingly focused on their own markets and protective of their bottom lines.
- Caltrain is marginalized politically and must seek new and additional partners and consider new business lines and ways of monetizing assets. The private sector gets increasingly involved with keeping public transportation going.

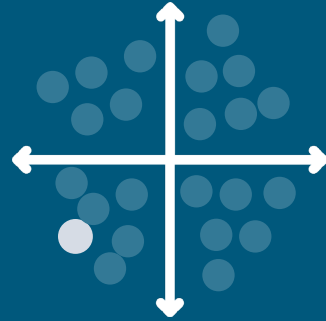
## Scenario 3



# Downward Spiral

CALTRAIN & TRANSIT FUNDING  
prioritized de-prioritized

CHANGES TO TRAVEL PATTERNS  
incremental significant



**This is a world in which** life and travel patterns change fundamentally – commuting doesn't rebound to anything like pre-COVID levels and a recession decimates the economy. Public transit - and rail in particular - go through a prolonged downward spiral of declining quality, resources, and demand. When the market begins to recover and congestion worsens at the end of the decade, transit doesn't have the organizational or financial capacity to pivot effectively

## Why Downward Spiral Happens

- A halting and stilted vaccination campaign results in daily life remaining disrupted well into 2022
- The US economy is depressed for several years. The nation remains highly polarized and all layers of government are focused on dealing with escalating social, environmental and economic crises.
- Remote work proves popular and office densities begin a permanent decline. Over time, living or working near rail stations loses its appeal. People keep their work and activities close and rely on personal transportation: walking, cars, bikes and scooters.
- There's little private interest in public transportation. Instead, informal transit – privately-organized – becomes common. Automated car rides and delivery become common later in the decade. Public policy focus orients toward increasing road capacity and managing automobility – e.g. HOT lanes, congestion pricing.
- Public transit is – and is viewed as - a lifeline social service for those with no alternative. Large infrastructure projects are slowly abandoned and inflationary pressures steadily erode the operating funding that remains for transit

## Scenario 4



# Butterfly

CALTRAIN & TRANSIT FUNDING

**prioritized** de-prioritized

CHANGES TO TRAVEL PATTERNS

incremental **significant**



**This is a world in which** Caltrain and transit throughout the region have a few very painful years of hard decisions and dramatic organizational changes followed by transformation and renewal. The business case for transit is redefined and widened to include broad social and environmental benefits and new investment follows. Some major projects in the region advance while others are reimaged and modified. New leaders and public sector collaborations emerge centered on equity, sustainability, and resilience. Continued prosperity in Silicon Valley means Caltrain stays necessary and relevant to people throughout the corridor.

## Why Butterfly Happens

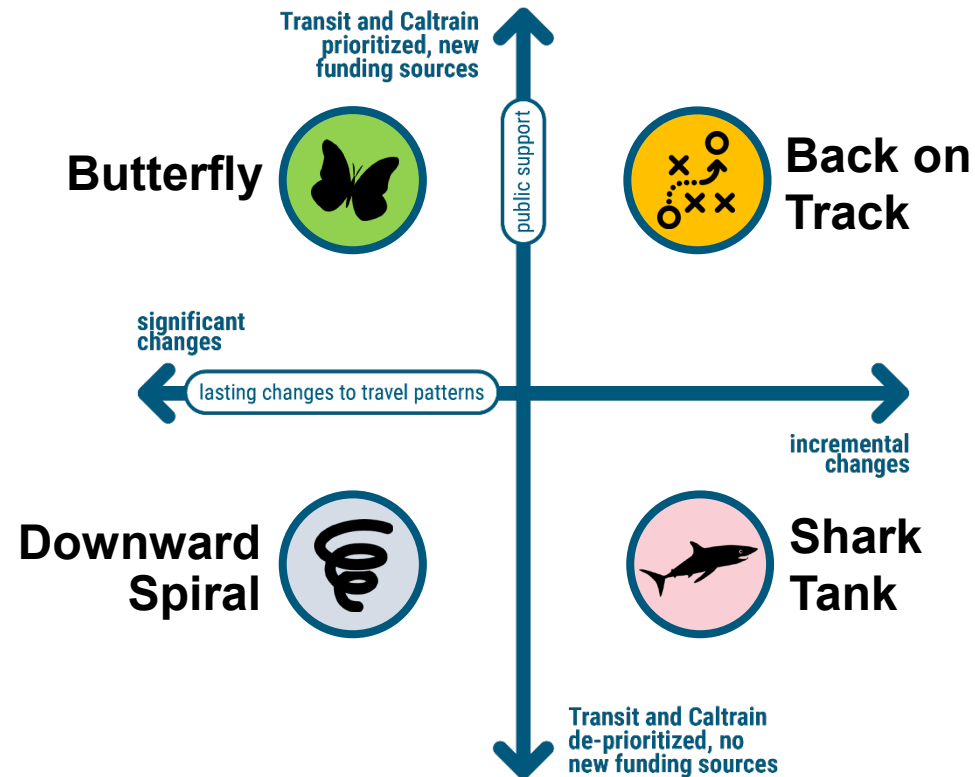
- A halting and stilted vaccination campaign results in daily life remaining disrupted well into 2022
- The temporal structure of daily life is permanently changed - - remote and hybrid work remains popular, corridor employers and schools adopt varied and asynchronous schedules.
- While land use developments in the pipeline are built, new office starts to taper off and settlement patterns steadily shift across the region and state
- Congress passes one-time and permanent funding packages supporting public transit, renewing the social safety net, and addressing climate change and adaptation.
- A new regionalism emerges to tackle climate adaptation and to address pressing social challenges. A new cohort of leadership moves to the public sector creating new coalitions and institutional arrangements.
- Transportation demand becomes heterogenous –people need to move seamlessly from transit to scooters to AVs – the private sector expands its involvement in mobility.

# How might we start to know which of these scenarios are unfolding?

## Signposts and early warning indicators

- Senate and Presidency flip party
- Composition of ridership changes
- Increased regional cohesion and cooperation
- Aggressive Federal and State climate policy
- Policies to reduce auto reliance are enacted or strengthened

- Pandemic is endemic
- Private sector actively encourages work from home and hybrid work
- Congestion levels are moderate
- Regional population declines
- Climate change becomes a discussion of adaptation



- Senate and Presidency flip party
- Significant and sustained federal and state investments in transit
- Ridership increases steadily
- Widespread return to the office
- Congestion returns and increases

- Corridor economy regains strength
- Federal relief funding and stimulus are modest and quickly spent
- Regional coordination efforts falter
- Climate change is not aggressively addressed
- Expressions of interest from private sector
- Breakthroughs and private funding for first/last mile connections and automation

# Strategic Implications

# Caltrain's Focal Question:

*What's the impact of the pandemic on Caltrain's future business?*

**Surviving the Pandemic**  
*(next 6 months to 3 years)*

What will the **regional market and funding environment** look like during the transition period?

**New Reality**  
*(3-10 years)*

What are the **lasting impacts in the region as a place to work, live and visit?**

# What are "givens" in the business environment which Caltrain must prepare for?

## Transactional Space

- Transit must continue to address public health as well as equity and anti-racism in service, fares and participation.
- Some transit agencies and local governments will undergo significant, transformative crises – albeit insulated by relief funding
- Leadership and organizational changes will occur
- Sustained favoring of personal mobility
- There will be more focus on multi-purpose projects which address multiple public goals.
- There will be significant advances in automated transportation as well as other mobility-interfacing technologies
- The way government delivers services will change to address participation, equity, resiliency and operational efficiency, with more creativity.

### Next 18 months

### 2030 onward

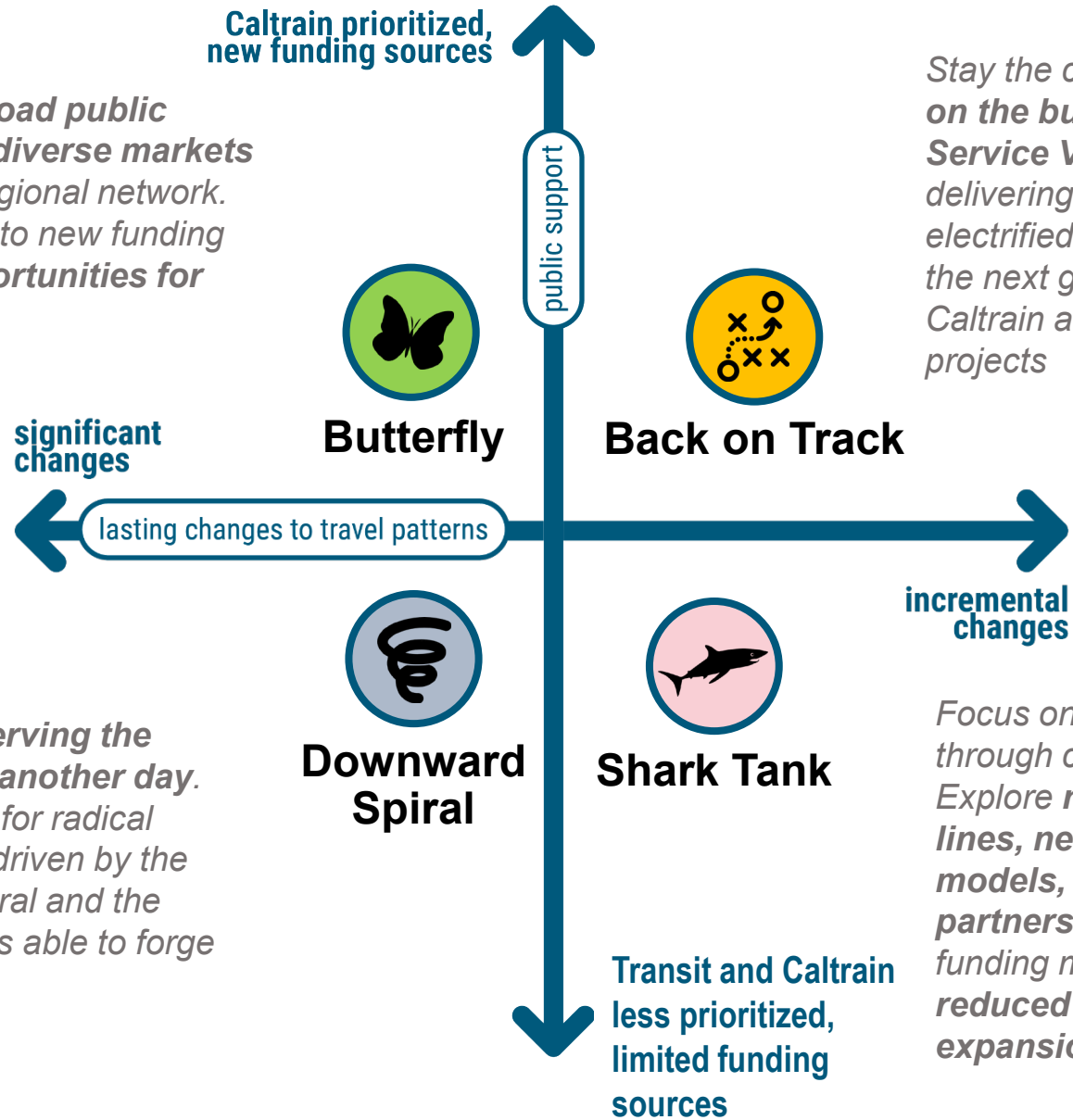
## Business Environment

- Vaccines and treatments for COVID-19 will continue rolling out over months or years.
- Some degree of hybrid ways of working (office and home) are here to stay, home deliveries are here to stay, and some auto congestion is also here to stay.
- The economic fallout from COVID and SIP will continue to manifest for months with closures and lower incomes.
- Repurposing and adaptation of land uses will deepen as the nature of work, retail and school in the region change.
- The region's demographics will shift as companies adapt their business strategy and lower wage and hybrid workers move to lower-cost regions
- Sustainability and reducing carbon emissions will become more essential. Climate change events, sea level rise resiliency and recovery will become increasingly important.

# Each Scenario Suggests A Different Point of View for Caltrain

Embrace a **broad public mission** and **diverse markets** as part of a regional network. Look outward to new funding and new opportunities for partnership.

Focus on **preserving the ability to fight another day**. Caltrain's need for radical change will be driven by the depth of the spiral and the partnerships it is able to forge and maintain.



Stay the course and focus on the build out of the **Service Vision**: focus on delivering expanded electrified service and on the next generation of Caltrain and regional projects

Focus on driving revenue through customer value. Explore **new business lines, new business models, and new partners**. Limited public funding may mean a **reduced focus on expansion**.





# Initial thoughts on Robust Options and Actions

*"no-regrets" and "must dos"*

- **Diversification** of revenue/funding sources and markets with **equity-focus** as a key strategy
- Significantly evaluating, reshaping, **rethinking fares and service** to meet evolving opportunities and needs (during and beyond the pandemic)
- **Asset monetization** and **entrepreneurial approaches** are essential, or at least helpful, in all scenarios as is a **focus on efficiency** and careful **management of financial capacity**
- New **partnerships** with both public and private actors are necessary or helpful in all scenarios
- The need to **address governance and organizational change** is present in all scenarios

# Business Strategy Framework

Staff is working to develop a more detailed and structured Business Strategy that responds to our scenarios and that can prepare Caltrain for the coming years.

## Caltrain's Business



**Rail Service**  
(San Francisco – Gilroy)



**Corridor Management**  
(San Francisco – San Jose)

Example Activities:

- Passenger rail operations
- Maintenance of rolling stock and systems
- Fare policy and collection
- Near and long term service planning
- First- and last-mile services

Example Activities:

- Hosting of Caltrain service
- Hosting of freight and other current and future tenant rail services (ACE, CCJPA, CHSRA)
- Infrastructure and corridor maintenance
- Capacity planning and participation in joint projects
- Capital project delivery
- Land asset management

VALUE

for

MONEY

## How Caltrain Delivers Value

### Customer Value:

The direct benefits that accrue to individuals who use the system

### Public Value:

The mobility, equity, economic, social and environmental benefits that accrue to a broader public or advance larger public goals and values when the system is used

### Self-generated Revenues:



Fares and other self-generated revenues earned directly

### Public Subsidy:

Public funding of operations and capital investments

# Business Strategy Framework

The Business Strategy will focus on how Caltrain can drive value for customers and the public during a period of ongoing uncertainty and change.

Key Questions	 Rail Service	 Corridor Management
• How do we drive value for current and future customers?		
• How do we define and deliver value to the public as a whole?		
• What can we afford and how do we sustain ourselves financially?		
• How can we organize and partner in a manner that allows us to be a nimble, effective and publicly responsive?		

FOR MORE INFORMATION

[WWW.CALTRAIN.COM](http://WWW.CALTRAIN.COM)

