



BOARD OF DIRECTORS 2020

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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://samtrans.zoom.us/j/93207729581> for audio/visual capability or by calling 1-669-900-9128, Webinar ID: #932 0772 9581 for audio only. The video live stream will be available during or 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 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.

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. 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.

August 6, 2020 – Thursday

9:00 am

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. Public Hearing for Potential Closure of Atherton Station
 - a. Open Public Hearing
 - b. Present Staff Report
 - c. Hear Public Comment
 - d. Close Public Hearing
 - e. Board Discussion

INFORMATIONAL

4. Public Comment for Items Not on the Agenda

Comments by each individual speaker shall be limited to two (2) minutes. Items raised that require a response will be deferred for staff reply.

5. Consent Calendar

Members of the Board may request that an item under the Consent Calendar be considered separately

- | | |
|--|--------|
| a. Approve Regular Meeting Minutes of July 9, 2020 | MOTION |
| b. Receive Key Caltrain Performance Statistics – June 2020 | MOTION |
| c. Receive State and Federal Legislative Update | MOTION |
| d. Appointment of a Citizens Advisory Committee Representative | MOTION |

Approved by the Finance Committee

- | | |
|--|---------------|
| e. Information on Statement of Revenues and Expenses for the Period Ended June 30, 2020 | INFORMATIONAL |
| f. Authorize Execution of a Change Order to the Peninsula Corridor Electrification Project Contract with Balfour Beatty, Inc. for Construction of Shunt Wires at Utility Crossings In Conformance with California Public Utility Commission Requirements | RESOLUTION |
| g. Authorize Execution of Agreements to Receive Funding and Act as Lead Implementing Agency for the Final Design Phase of the Mountain View Transit Center Grade Separation and Access Project | RESOLUTION |

Approved by the Work Program-Legislative-Planning Committee

- | | |
|---|---------------|
| h. Caltrain's Commitment Letters to the Metropolitan Transportation Commission (MTC) for Plan Bay Area 2050 Project Submissions | INFORMATIONAL |
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6. Report of the Chair

7. Report of the Executive Director

- | | |
|--|---------------|
| a. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report | INFORMATIONAL |
| b. Monthly Report on Positive Train Control (PTC) Project | INFORMATIONAL |

8. Report of the Citizens Advisory Committee

INFORMATIONAL

9. Update on Status of Agency Approvals of Caltrain Sales Tax

INFORMATIONAL/
RESOLUTION

10. Draft Equity, Connectivity, Recovery & Growth Framework

INFORMATIONAL

11. Fiscal Year 2021 Preliminary Operating and Capital Budgets

INFORMATIONAL

12. Correspondence

13. Board Member Requests

14. General Counsel Report

15. Date/Time of Next Regular Meeting: Thursday, September 3, 2020 at 9:00 am via Zoom

16. 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. Communications to the Board of Directors can be e-mailed to 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.

Public Comment*

Members of the public are encouraged to participate remotely. Public comments may be submitted to 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. 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; 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
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **PUBLIC HEARING ON THE PROPOSED CLOSURE OF THE ATHERTON STATION**

ACTION

On June 29, 2020 the Board of Directors (Board) called a public hearing to be held on August 6, 2020 for the consideration of the proposed closure of the Atherton Station and associated service changes. Following feedback from the public and the Board, staff will complete tasks related to the station closure and make a recommendation for the Board's consideration in fall of 2020.

SIGNIFICANCE

The public hearing will allow the Board to receive input on the proposed closure of Atherton Station and discontinuation of service.

Peninsula Corridor Joint Powers Board (JPB) staff has prepared the attached presentation describing ongoing work related to the proposed closure of Caltrain's Atherton Station including public outreach efforts and Title VI Equity Analysis.

BUDGET IMPACT

There is no financial impact associated with holding a public hearing.

BACKGROUND

The JPB suspended regular weekday Caltrain service to Atherton Station in 2005. At that time, average weekday ridership was approximately 122 passengers per day. Caltrain currently provides limited, weekend-only service to the Atherton Station, with trains in each direction stopping every 90 minutes. Before the COVID-19 pandemic and related shelter-in-place orders, the Atherton station was used by approximately 114 riders per average weekend day.

The Atherton Station has an older, "center-boarding" configuration that requires pedestrians to cross the tracks to access the boarding platform. This substandard configuration limits train operations through the station, as trains operating in the other direction must "hold out" while a train is boarding. Most "hold out rule" stations on the corridor have now been rebuilt. Atherton, along with Broadway and College Park, is one of the few remaining stations with this configuration still in place.

Subsequent to the suspension of weekday service to the station in 2005, the JPB made a policy commitment to restore regular weekday service to Atherton station following the electrification of the corridor. This commitment was documented in the 2015 Environmental Impact Report (EIR) for the Peninsula Corridor Electrification Project (PCEP).

In late 2019, Caltrain staff and representatives of the Town of Atherton (Town) initiated discussions concerning the potential closure of the station, resulting in a preliminary agreement.

In a January 8 2020 letter to the Town Manager, the JPB's Executive Director requested the Town's support for the full closure of the Atherton Caltrain station. The Atherton City Council considered and preliminarily approved the request at its January 15, 2020 meeting, subject to the JPB and the Town entering into a Memorandum of Understanding (MOU).

Closing the station would provide significant benefits to both the Town and Caltrain, including:

- Caltrain could re-allocate service to adjacent stations where denser land uses and improved travel times will generate more ridership and provide a broader benefit to the public, potentially increasing daily ridership by 300-500 passengers.
- Caltrain would realize savings associated with operations and maintenance of the station.
- Closure of Atherton station would also obviate the need for a costly station upgrade to remove the holdout rule, estimated several years ago to cost \$30 million.
- The Town could benefit from reduced noise and improved safety, as discussed below.
- Subject to an agreement with the JPB, the Town could also better integrate the excess station property into its Civic Center redevelopment project now under construction.

Potential Elements of the Memorandum of Understanding

While still under development, the proposed MOU would identify actions and commitments by the JPB and the Town to ensure the permanent closure of the station in a manner that is mutually satisfactory to both parties. Actions would potentially include:

- Caltrain modifications supporting the closure, including removal of the center boarding platform and construction of a fence separating the operating right-of-way from the rest of the station property and the adjacent Town Civic Center.
- Execution of a Maintenance and Use Agreement between the JPB and the Town covering the excess station property. With the JPB's support, the Town would proceed with plans to modify and repurpose the property to be better integrated with the Civic Center redevelopment. This proposed Maintenance

and Use Agreement would allow this use, but would retain the JPB's ownership of the property and would allow the JPB to terminate the agreement if and when the property were to be needed for railroad purposes.

- Installation of a new four-quadrant gate at the Watkins Avenue grade crossing to improve crossing safety.
- A joint Caltrain/Town study to explore the feasibility of a potential pedestrian and bicycle path extending south of Watkins Avenue to the City of Menlo Park. If feasible, this path could provide a connection from Atherton to the Menlo Park Caltrain station.

The JPB would be required to secure funding (estimated at \$7-9 million) to support the above actions. Various grant-funding sources are currently being explored.

Public Outreach and Feedback

The process for considering changes to the Atherton station closure includes a public meeting and outreach plan that provides multiple opportunities for riders and the general public to submit feedback. The plan includes outreach to the North Fair Oaks Community Council on July 17, 2020 and a virtual public meeting on July 29, 2020 where Caltrain staff will provide information about the station closure proposal and invite the public to share feedback through a number of available channels. Comments are also accepted via an online comment form, mail, a dedicated e-mail address, and by telephone. Information about the proposed changes and how to provide feedback was published in newspaper notices, a news release, onboard flyers, visual messages at stations, notification to the community-based organizations, social media, and a dedicated page on the Caltrain website. Newspaper notices, flyers, and forms were translated in Spanish and Chinese as required by the 2019 JPB Title VI Program.

Title VI Equity Analysis

A Title VI Equity Analysis for the Closure of Atherton Station is being conducted. The Title VI Report will be finalized and included in the recommendation for the October Board meeting. This analysis is consistent with policies adopted by the Board to comply with Title VI of the Civil Rights Act of 1964.

The Title VI Equity Analysis:

- Analyzes the station closure proposal on a system-to determine whether the impacts would result in disparate treatment or disproportionate burden among protected classes;
- Uses Caltrain Title VI Policies and analysis thresholds that were adopted in 2013;
- Is based on 2018 American Community Survey Data within a 1 mile radius of Atherton station;
- Identifies the station proposal purposes and potential adverse effects.

Next Steps

In addition to finalizing the Title VI Equity Analysis, the closure of the station would require the JPB to prepare an Addendum and Re-Evaluation of PCEP environmental

documents required under the California Environmental Quality Act and National Environmental Policy Act, respectively. This environmental analysis is being conducted in the context of the PCEP EIR as the restoration of weekday service to Atherton was a component of the project description included in that document.

Concurrent with these steps, staff will continue negotiation of the MOU between the JPB and the Town.

Once each of these tasks is complete, a date would be set for the proposed end of Atherton weekend service and the official closure of the station. Removal of the center platform and interim fencing would be completed in conjunction with the closure to ensure safety. Other modifications identified in the MOU would follow on a schedule determined, in part, on funding availability.

Prepared by: David Pape, Principal Planner, Caltrain Planning

650.418.6025



Proposed Closure of the Atherton Station

August 6, 2020

Background

- Weekend only service provided since 2005
- PCEP documented policy commitment to restore regular weekday service after electrification
- Station is one of few remaining “hold out” rule stations, due to older center platform configuration
- Jan. 8, 2020 letter to Town proposing closure
- Jan. 15, 2020 City Council tentative endorsement of closure subject to agreement on MOU (Memorandum of Understanding)

Station Closure Benefits

- Service can be re-allocated to adjacent stations where denser land uses and improved travel times can generate more ridership (est. at 300-500 daily riders)
- Financial savings due to reduced operating/maintenance costs and elimination of need for station upgrades
- Town benefits from noise reduction and improved safety
- Potential for Town to integrate station property (outside of operating ROW) into Civic Center redevelopment

Potential Elements of MOU

- Caltrain would fund and implement actions supporting the station closure, including:
 - Installation of a new right-of-way fence along current station area
 - Removal of center boarding platform and other station facilities
 - Installation of quad gates at Watkins Avenue to improve crossing safety
- Caltrain and the Town would enter into a Maintenance and Use Agreement for the Town use and maintain station property
- Caltrain and the Town could cooperatively pursue funding to study and potentially implement additional improvements proposed by the Town

Public Outreach & Feedback

- Public Outreach Plan
 - Direct outreach to North Fair Oaks community leadership – July 17, 2020
 - Virtual Public Meeting – July 29, 2020
 - Public Hearing – August 6, 2020
 - Public comment available via email, website, and contacting customer service
- Information about the proposed closure and how to provide feedback was published in newspaper notices, a news release, onboard flyers, visual messages at stations, notification to the community-based organizations, social media, and a dedicated page on the Caltrain website.
- Information available in Spanish and Chinese

Title VI Service Equity Analysis

- Title VI Equity Analysis is required by the FTA when a Caltrain Station Closure occurs as per the Caltrain Major Service Change Policy.
 - Determines whether a disparate impact (DI) or disproportionate burden (DB) exists
 - Identifies proposal purposes and potential adverse affects
- Analyzed Census Data (2018 ACS) within a 1 mile radius of Atherton Station
- DI/DB exists when the communities of color/low income communities affected the service change is 10% more than the average communities of color/low income communities of the Caltrain Service area.

Next Steps

- Complete Title VI analysis
- Prepare and approve CEQA addendum and NEPA re-evaluation
- Finalize draft MOU terms
- Set date for station closure
- Execute Maintenance and Use agreement

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

MINUTES OF JULY 9, 2020

MEMBERS PRESENT: D. Pine (Chair), C. Chavez, D. Davis, J. Bruins, R. Collins, S. Heminger, C. Stone, S. Walton, M. Zmuda

MEMBERS ABSENT: None

STAFF PRESENT: J. Hartnett, C. Mau, J. Cassman, M. Bouchard, J. Funghi, C. Gayotin, D. Hansel, S. Murphy, M. Jones, L. Leung, S. Petty, D. Seamans, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dave Pine called the meeting to order at 8:30 am.

2. ROLL CALL

District Secretary Seamans confirmed for the record that all Board Members were in attendance.

3. GENERAL COUNSEL REPORT

a. Closed Session: Conference with Legal Counsel – Anticipated Litigation. Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case

Joan Cassman, General Counsel, explained that the Board would convene in Closed Session for a matter of anticipated litigation.

Public Comment

Roland LeBrun, San Jose, commented on procedures for adjourning to closed session, Brown Act violations, Wabtec, and Parson's Transportation Group. He also commented on separating gate warning time contracts from electrification contracts.

The meeting adjourned to closed session at 9:07 a.m.

The meeting reconvened into open session at 10:29 a.m.

3. GENERAL COUNSEL REPORT, CONTINUED

b. Report from Closed Session during Part I of Meeting

Ms. Cassman reported that the Board received an update and no action was taken.

Chair Pine announced that the Governance Update (Item 11) would follow the SB 797 update (Item 9).

4. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Roland Lebrun, San Jose, commented on meeting schedules, Granicus, adjourning to closed session and the location of Special Counsel Report on the agenda.

Jeff Carter, Millbrae, commented on the 70-train schedule, excessive padding, asymmetrical trains, and saving time and money.

Adrian Brandt, San Mateo County, commented on the constant warning times for grade crossings and opined that the gate down time would increase for trains not going full speed due to current the CBOSS (Communications Based Overlay) signal system. He stated there should be outreach to Local Policy Maker Group (LPMG) and the Board as this would affect PCEP (Peninsula Corridor Electrification Project) adversely.

Aleta Dupree, Oakland, stated that Clipper START would begin July 15, commented on moving away from paper tickets, and Caltrain being a lifeline.

Raymond Chang, San Francisco, commented on reducing excessive idling at the Fourth and King station for the past three months.

5. CONSENT CALENDAR

- a. Approve Meeting Minutes of June 4, 2020**
- b. Receive Key Caltrain Performance Statistics – May 2020**
- c. Receive State and Federal Legislative Update**
- d. Accept Statement of Revenues and Expenditures for May 2020**
- e. Award of Contract for Caltrain Naming Rights and Sponsorship Consulting Services**
- f. Authorize Amendment to Contract to Operate the San Francisco Caltrain Bicycle Parking Facility**
- g. Authorize Execution of Funding Agreement with the Metropolitan Transportation Commission for Clipper START, the Regional Means-Based Fare Pilot Program**
- h. Authorize Execution of Amendment 2 of the Amended and Restated Clipper Memorandum of Understanding**
- i. Approve and Ratify Fiscal Year 2021 Insurance Program**
- j. Approval of Amended and Restated Cooperative Agreement for Participation in Phase II of the San Jose Diridon Integrated Station Concept Plan**
- k. Call for Public Hearing on August 6, 2020 on Potential Closure of the Atherton Station and Related Service Changes**

Public Comment

Roland LeBrun, San Jose, commented on Naming Rights percentage increases, and expressed concern for Diridon station.

Motion/Second: Bruins/Davis moved approval of the Consent Calendar

Ayes: Bruins, Chavez, Collins, Heminger, Stone, Zmuda, Davis, Pine

Noes: None

Absent: Walton

Director Walton arrived at 9:51 am.

6.. REPORT OF THE CHAIR

Chair Pine commended staff during these difficult times.

a. Local Policy Maker Group (LPMG)

Director Bruins stated the group met June 25 with 17 of 19 members present via Zoom. She provided updates regarding Caltrain, COVID-19 work, financial impacts, tranche 2 federal funding, Caltrain Electrification Project, high speed rail business plan, San

Francisco Environmental Impact Report (EIR) released July 10 (available for 45 day public comment period), and for letters of concern for Millbrae to be shared with LPMG members.

7. REPORT OF THE EXECUTIVE DIRECTOR

Jim Hartnett, Executive Director, commented on the PTC and PCEP updates.

a. Caltrain Positive Train Control (PTC) Project Update – June 2020

Ms. Bouchard reported the submittal of the safety plan and said she believed there will be certification by the deadline. She reported working on the maintenance and service agreements to be brought to the Board in August.

b. Monthly Peninsula Corridor Electrification Project (PCEP) Report

John Funghi, CalMod, provided an update, which included the following: Balfour Beatty began platforms and duct bank installations; compliance with social distancing compliance; the completion of May catenary foundations and 1,276 remaining foundations. He reported work on traction power stations and stated that Burlingame City Council's current approval allowed completion of last the paralleling station. In regards to electrification, Stadler continues to work a split shift schedule; operational tests are on hold due to international flight restrictions, and train assemblies have been delayed due to COVID-19 and supply chain issues.

Public Comment

Roland LeBrun, San Jose, commented on the LPMG providing direct input to the Board, constant warning times for grade crossings, and how Federal Transit Administration (FTA) oversight reports were not posted on the website (June report).

Aleta Dupree, Oakland, commented on the foundation completion schedule, supply chain efficiencies, keeping on schedule and constant warning times.

8. Report of the Citizens Advisory Committee (CAC)

Brian Shaw, CAC Chair, provided an update. He stated that three positions would be expiring soon and need to be renewed or replaced. Mr. Shaw reported public comments on station-to-station fares, the delay to end zone fare systems, posting correspondence weekly, and moving away from paper tickets. The committee discussed the an article debunking health safety risks while riding transit, social distancing on transit, 70-train skip stop schedule, skipping Redwood City and Mountain View, shutdown due to the lack of funds, rapid bus lines, and integrated fares to transit. The CAC is next scheduled to meet July 15.

Public Comment

Aleta Dupree, Oakland, commented on accessible CAC meetings through Zoom, and keeping the committee fully staffed.

9. SB 797 Update

Chair Pine stated that Caltrain was the only transit agency in the Bay Area with no dedicated source of funding, relying on high fare box returns and the member agencies.

Sara LaBatt, EMC Research, provided the presentation summarizing the poll. She stated the poll was conducted between June 11- June 18 with 1,255 likely voters and a margin

error of plus or minus 2.76 percentage points. Ms. LaBatt said that with the potential ballot question, the support is just shy of two-thirds at 65.6 percent with undecided voters leaning towards yes. She compared this year's support with last year's support, which indicated consistency. Ms. LaBatt stated that the top components were to prevent and ease traffic, reduce air pollution with quieter trains, and support local jobs. She pointed out that support for a potential measure can be driven in both directions by providing additional information (both positive and opposition), indicating a volatile measure. Ms. LaBatt concluded that a one-eighth cent sales tax is not currently supported by two-thirds of likely voters, but this can be impacted by additional information provided about the measure.

Michelle Bouchard, Chief Rail Operating Officer, outlined the financial consequences of COVID-19. She stated that Caltrain received \$49 million in tranche 1 of the CARES Act, enough to sustain current operations into September. She stated the \$15 million distribution for tranche 2, would pose substantial challenges to Caltrain, as it would need an optimistic 30 percent of pre-COVID ridership levels to persist through the end of the calendar year. Ms. Bouchard stated that they have reduced overtime and increased capital operations. She explained that CARES Act funding precludes lay-offs, and options analyzed included providing higher levels of service, absolute minimum service, and full shutdown. Ms. Bouchard detailed potential approaches could include continued advocacy for federal funds, expansion of member agency contribution, monetization of assets and seeking out partners. She stated that the dedicated funds (SB 797) are critical to longer-term financial viability.

Seamus Murphy, Chief Communications Officer, outlined current member contributions and the contributions needed if ridership were 50 percent or 30 percent. He recommended the Board approve of the measure in August for the November ballot and reiterated that the external funding is critical to maintaining Caltrain operations. Mr. Murphy stated that stakeholder coalition support was strong and listed the authorizations needed in July and August.

Board members had a discussion and staff provided further clarification in response to the Board comments and questions. Board discussion included when the Board would vote on the item, when other agencies would vote on the item, public sector campaign support, two-thirds vote encompassing all three counties, and ballot costs.

Public Comment

Carl Guardino, Silicon Valley Leadership Group, agreed with the poll. He stated that in normal times, Caltrain member agencies would cover the needs of the system, but now they are facing their own deficits and to make Caltrain independent, it would need its own dedicated funding. Mr. Guardino pointed out that this sales tax would relieve member agencies to focus on their own agencies at a time when they need financial relief the most.

Roland LeBrun, San Jose, commented on schedule changes, member agency contributions, and rail service franchise agreements.

Jeff Carter, Millbrae, commented on high polling numbers, member agency contributions, and putting this measure on the ballot in the future.

Aleta Dupree, Oakland, stated that this railroad needs a dedicated source of funding, that 1/8 of a cent is not much compared to most tax systems, and most historic rail services have a dedicated source of funding. She said to run a rail service reliably,

there must be a dedicated source of funding and dedicated funding would make Caltrain fully ADA compliant.

Adina Levin, Friends of Caltrain, commented on positive poll results, stable funding accessible to all, preventing gridlock, and solidifying contributions.

Andy Chow, Redwood City, commented on the 2008 ballot, a possible change in federal aid with a change in presidency and expressed support for the measure.

Vaughn Wolffe, Sunnyvale, expressed support for the tax for a minimal level of funding, other transportation networks, running longer trains with more scheduling.

Don Cecil, San Mateo Economic Development Association, commented on the CARES Act being a life preserver while SB 797 is building your own lifeboat, and expressed support for the measure. He said Caltrain is essential to economic recovery and the stations that exist create cities within cities. Mr. Cecil said the business community will support Caltrain and wants to see this Board express the desire to save itself.

Board Members expressed strong support for the measure, commented on the CARES Act as a temporary Band-Aid, the timing of the measure, climate benefits, riding Caltrain as opposed to single occupancy vehicles, dedicated funding moving from "nice to have" to the "have to have" category immediately, and a steep hill to climb for the ballot in August and November.

10. Update – Draft Equity, Connectivity, Recovery & Growth

This item was deferred to the next JPB meeting.

11. Governance Update – Report of the Special Counsel

Chair Pine thanked Director Chavez and Director Walton for their work on the Governance Ad Hoc Committee. He outlined the Committee's work, which included a workshop in November 2019, followed by a Board discussion in December 2019. Chair Pine stated an agreement on 1) hiring a special counsel to advise the Board on these matters 2) gathering facts on JPB financial, real estate, foundational documents, and 3) accountability of the Executive Director (evaluating goals, hiring and firing).

Robin Johansen, Olson Remcho LLP, provided a presentation delving into JPB's organizational documents and its findings. It included the history, key agreements, and issues raised. She outlined the Peninsula Corridor's history, including the three key agreements with the Board - the Joint Powers Agreement (JPA), the sale with Southern Pacific, and real property ownership. Ms. Johansen stated that the 1991 JPA designated Samtrans as the managing agency subject to the Board's authority to change the managing agency after SamTrans was reimbursed for the funds advanced.

James Harrison, Olson Remcho LLP, summarized the purchase sale and option agreement. He stated that Samtrans agreed to advance \$82 million in order for the purchase of the railroad to move forward, which allowed three main rights (between San Francisco and Lick, trackage rights from Lick to Gilroy, and options to purchase). He outlined the Real Property Ownership Agreement (RPOA) which described ownership rights and gave Samtrans ownership rights until full reimbursement or full participation occurs. Mr. Harrison stated that by 2007, no repayments were made and there was growing compound interest. He outlined issues covered by the report,

including property ownership, right-of-way, reimbursement for SamTrans, Caltrain management, Gilroy service, allocation of costs for Mainline, and parties' rights to revise or terminate the Joint Powers Agreement (JPA).

Tom Willis, Olson Remcho LLP, addressed the issue of repayments, which were reset in the 2008 RPOA. He said VTA has paid Samtrans \$8 million; San Francisco has paid all but \$200,000. Mr. Willis noted that MTC has paid \$23.7 million of the \$43.3 million owed. He noted that the MTC is authorized to identify alternate sources of non-local funds for reimbursement, but no funds were identified. Mr. Willis explained that SamTrans has the right to serve as managing agency as long as it wishes and the JPB may delegate responsibility for the management of certain operational and non-operational assets to another member agency.

Ms. Johansen outlined terms for amending or terminating the JPA.

Public Comment

Roland LeBrun, San Jose, commented on the Lick-Gilroy purchase, sales tax and repayment.

Aleta Dupree, Oakland, commented on Caltrain becoming its own transportation district, buying out long-term leases, having full ownership over facilities and acquiring commuter railroads as this agency matures.

Vaughn Wolffe, Sunnyvale, commented on expenditures, linking to the East Bay, and needing a full regional modern railroad.

Adina Levin, Friends of Caltrain, commented on regional system fragmentation, instability in parts of Caltrain, service integration and Caltrain as a stand-alone system.

Jeff Carter, Millbrae, commented on addressing this as a regional issue and merging with the Ace and Capital Corridor rail system.

Director Chavez left at 11:27am and returned at 12:01pm.

Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions. Topics discussed included the following:

- A memorandum of understanding (MOU) separating Caltrain from SamTrans
- Defining operational assets
- Whether other counties could not or would not cover the purchase price of the railroad
- Differentiating between Caltrain and the JPB Board making policy
- The price to make SamTrans whole if this agreement was not entered into
- Why the 2008 agreement came about
- Continuing governance discussions
- Costs associated with separating Caltrain from SamTrans (creating two agencies instead of one)
- Not tying the sales tax measure to governance discussions
- Accountability to voters to restructure governance
- Business plan comparison to potential governance MOUs (Memoranda of Understanding)

- Changing governance before the ballot measure deadline may be difficult to impossible to do
- SamTrans management rights and repayment
- Caltrain being a major asset that needs its governance prioritized
- The time it takes for multiple agencies to sign something versus an internal agreement

Director Walton recommended amending the 1991 and 1996 agreements to cross-reference as a whole document. He also recommended separating Caltrain from SamTrans for equitable decision-making and to ensure the Caltrain and SamTrans CEO are not the same person.

Chair Pine recommended the Governance ad-hoc committee complete its work on accountability measures, which were CEO goals, hiring and dismissing.

Director Walton left at 1:23 p.m.

12. Report of the Finance Committee

a. Award of Contract for Marin and Napoleon Street Bridge Replacement Project for \$8,907,901

Director Heminger said this contract came in over 30 percent of estimate, the bridge needs to be completed before electrification, but there are budget holes. He requested staff to look at the capital projects to see if any projects could be deferred and to convert capital funds into operating dollars to help tide the budget over to the next year.

Motion/Second: Heminger/Davis moved approval of the award.

Ayes: Bruins, Chavez Collins, Heminger, Stone, Zmuda, Davis, Pine

Noes: None

Absent: Walton

Public Comment

Roland LeBrun, San Jose, commented the urgency of the matter and berm versus bridges.

Dyon Zaratian, Disney Construction, commented on the bidding process, price differentiations between Disney and Proven, Caltrain budget, and saving money with competitive bids.

13. Report of the Work Program-Legislative-Planning (WPLP) Committee

This item was deferred to the next meeting.

14. CORRESPONDENCE

Correspondence was available online.

15. BOARD MEMBER REQUESTS

Director Stone requested a complete survey of non-operational assets when given the opportunity.

Director Heminger requested a look at projects to see if there were any funds that could be either converted from capital to operating purposes or capital projects that could be deferred.

16. GENERAL COUNSEL REPORT

Ms. Cassman noted there was no report.

17. DATE/TIME OF NEXT REGULAR MEETING: Thursday, Thursday, August 6, 2020 at 9:00 am via Zoom

18. ADJOURN

The meeting adjourned at 1:47 pm.

An audio/video recording of this meeting is available online at 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.

DRAFT

**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 – JUNE 2020**

ACTION

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for June 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 has continued to have drastic impacts to Caltrain ridership and revenue. The temporary methodology to estimate the ridership starting in April 2020 was used in June 2020. Staff estimated systemwide daily boardings by comparing requested daily conductor counts at 14 key stations and Clipper tag-ons at these 14 key stations and then estimated the number of the non-Clipper customers at other stations where the conductor counts are not performed using the Clipper tag-on counts.

In June 2020, Caltrain's Average Weekday Ridership (AWR) decreased by 96 percent to 2,884 from June 2019 AWR of 72,370. Average weekday ridership increased by 49 percent (948 riders) from May 2020 to June 2020. The total number of passengers who rode Caltrain in June 2020 decreased by 95.3 percent to 75,218 from 1,590,653 June 2019 ridership. Total monthly ridership increased by 54.2 percent (26,447 riders) from May 2020 to June 2020. The increase in ridership from May 2020 to June 2020 is attributed to Caltrain's increased weekday service (from 42 to 70 trains effective on June 15) which was implemented as Bay Area shelter in place restrictions began to ease. Service frequency increased with up to three trains per hour during the peak commute. Caltrain also brought back Limited trains that operate a newly designed skip-stop service with fewer stops to reduce travel times and increase passenger flow for high-traffic stations to avoid crowding. Under the new skip-stop system, limited trains travel closely together serving high-demand stations while alternating service to lower-

demand stops. All trains continue to operate with six-car sets to maximize physical distancing onboard. Off-peak trains make local weekday stops every hour until end of service. The weekend timetable remains unchanged. Caltrain continues to operate reduced weekday service with weekday hourly local service.

This month ticket sales decreased from June 2019 for:

- One Way tickets: 93.3 percent
- ED One Way tickets: 86.8 percent
- Day Passes: 95.3 percent
- ED Day Passes: 92.1 percent
- Monthly Passes: 95.9 percent
- ED Monthly Passes: 90 percent

Caltrain Mobile Ticketing accounted for approximately 8.4 percent (6,341 rides) of June 2020 rides and 2.6 percent (\$39,347) of June 2020 monthly ticket sales revenue. The number of Eligible Go Pass Employees increased to 87,395 from 85,730 from June 2019. The number of participating Go Pass Companies decreased to 121 in June 2020 from 128 in June 2019. Total Farebox Revenue decreased by 74.7 percent to \$1,991,573 from \$7,856,642 in June 2019. The decrease in farebox revenue was primarily due to the Bay Area and Statewide shelter-in-place orders associated with the COVID-19 pandemic resulting in significant reductions in ridership.

On-time performance (OTP) for June 2020 was 96.3 percent compared to 90.7 percent OTP for June 2019. In June 2020, there were 589 minutes of delay due to mechanical issues compared to 787 minutes in June 2019.

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

Shuttle ridership for June 2020 decreased 90.7 percent from June 2019. When the Marguerite shuttle ridership is removed, the impact to ridership was decrease of 93.1 percent. For station shuttles:

- Millbrae-Broadway shuttle: 15 average daily riders
- Weekend Tamien-San Jose shuttle: 7 average daily riders

The Menlo Park Midday Shuttle (as of 9/2018) and one of the two Belle Haven vehicles (as of 11/2017) remain temporarily discontinued which accounts for the 198 DNOs (Did Not Operate) trips for Caltrain shuttles in June 2020.

In June 2020 out of 26 Caltrain shuttle routes: 15 routes operated, 9 routes were suspended and 2 routes were partially suspended. Due to the COVID-19 pandemic and Bay Area wide and Statewide shelter-in-place orders, the following Caltrain shuttles were suspended/partially suspended in March, April and May 2020 which also impacted June 2020 shuttle ridership:

- Bayshore – East – Mountain View: suspended 3/16/2020
- Bayshore – West – Mountain View: suspended 3/16/2020
- Bayside – Burlingame: partially suspended 4/20/2020
- Bowers/Walsh – Sunnyvale: suspended 4/13/2020
- Electronic Arts – Redwood Shores: suspended 3/16/2020

- Marsh Road – Menlo Park: (1 of 2 vehicles) suspended 4/2019, partially suspended 3/28/2020
- Mission College – Sunnyvale: suspended 4/13/2020
- Norfolk – San Mateo: suspended service resumed 5/18/2020
- Oracle – Redwood Shores: suspended 3/17/2020
- Pacific Shores – Redwood City: suspended 3/19/2020
- Twin Dolphin – Redwood Shores: (1 of 2 vehicle) suspended 11/2017, suspended 4/13/2020

FISCAL YEAR (FY) 2020

Looking back at FY2020 AWR decreased 25 percent to 50,379 from FY2019 AWR 67,164. Total ridership for the fiscal year decreased 24.6 percent to 13,854,183 from 18,365,489 in FY2019. Preliminary Farebox Revenue for the FY2020 decreased by 21.4 percent to \$77,885,413 from \$102,668,114 in FY2019. FY2020 ridership and farebox revenue was largely impacted by the COVID-19 pandemic in the months of March through June 2020.

FY2020 OTP was 94.2 percent (0.8 percent shy of the 95 percent OTP performance goal) which is up 1.1 percent from 93.1 percent in FY2019. Rail Operations Management continues work with TASI and construction teams to mitigate delays due to project construction, single tracking, incident delays, onboard passenger delays and mechanical delays.

FY2020 complaints average per 100,000 passengers is not provided since numbers are skewed with the significant decrease in ridership due to COVID-19 pandemic.

Shuttle AWR was 6,387 for FY2020, which is a decrease of 23.9 percent from the 8,393 AWR in FY2019. Shuttle ridership continues to be largely influenced by Stanford's Marguerite shuttle, which constitutes for approximately 75.7 percent of Caltrain FY2020 shuttle ridership. FY2020 Shuttle ridership was also largely impacted by the COVID-19 pandemic in the months of March through June 2020.

Table A

June 2020

	FY2019	FY2020	% Change
Total Ridership	1,590,653*	75,218	-95.3%
Average Weekday Ridership	72,370*	2,884	-96.0%
Total Farebox Revenue	\$ 7,856,642	\$ 1,991,573	-74.7%
On-time Performance	90.7%	96.3%	6.1%
Average Weekday Caltrain Shuttle Ridership	8,828	824	-90.7%

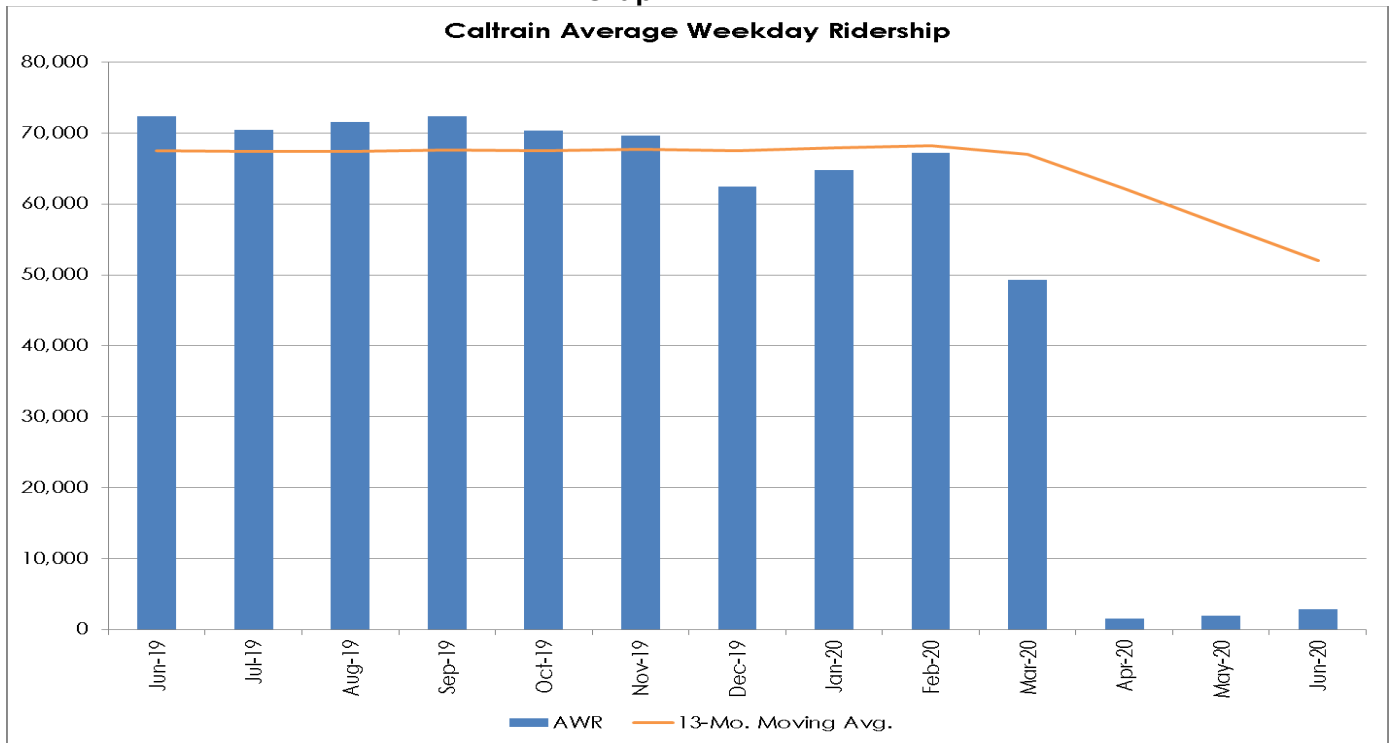
Fiscal Year to Date

	FY2019	FY2020	% Change
Total Ridership	18,365,489*	13,854,183*	-24.6%
Average Weekday Ridership	67,164*	50,379*	-25.0%
Total Farebox Revenue	\$ 102,668,114	\$ 77,885,413	-24.1%
On-time Performance	93.1%	94.2%	1.1%
Average Weekday Caltrain Shuttle Ridership	8,393	6,387	-23.9%

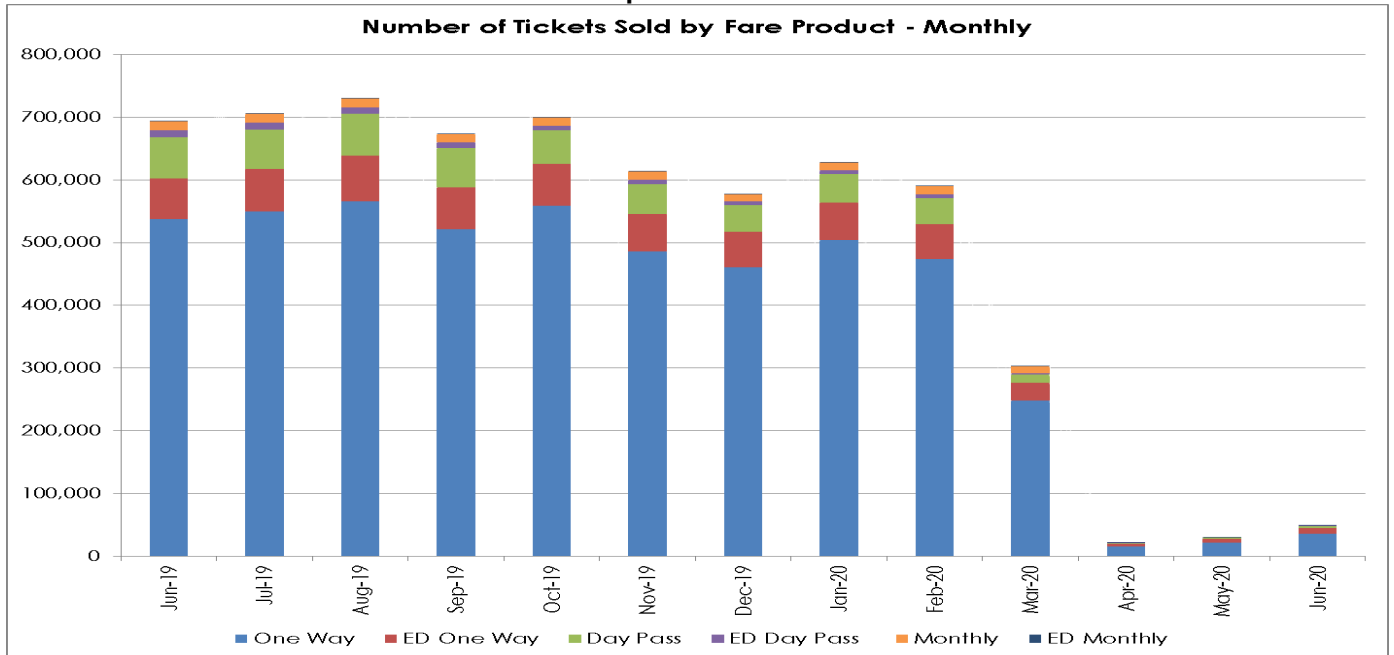
* = Items revised due to calibration to the ridership model

Graph A

Caltrain Average Weekday Ridership

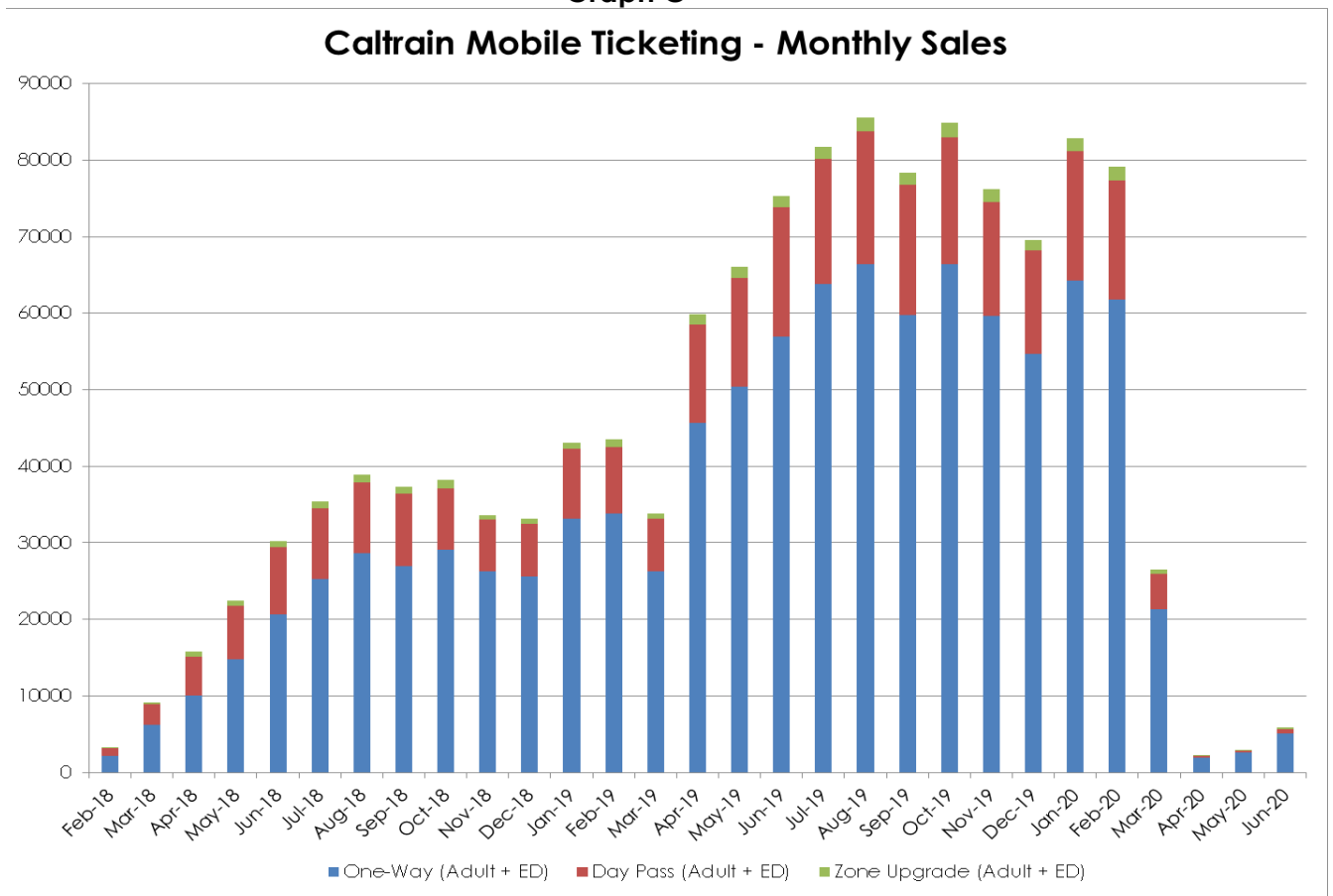


Graph B



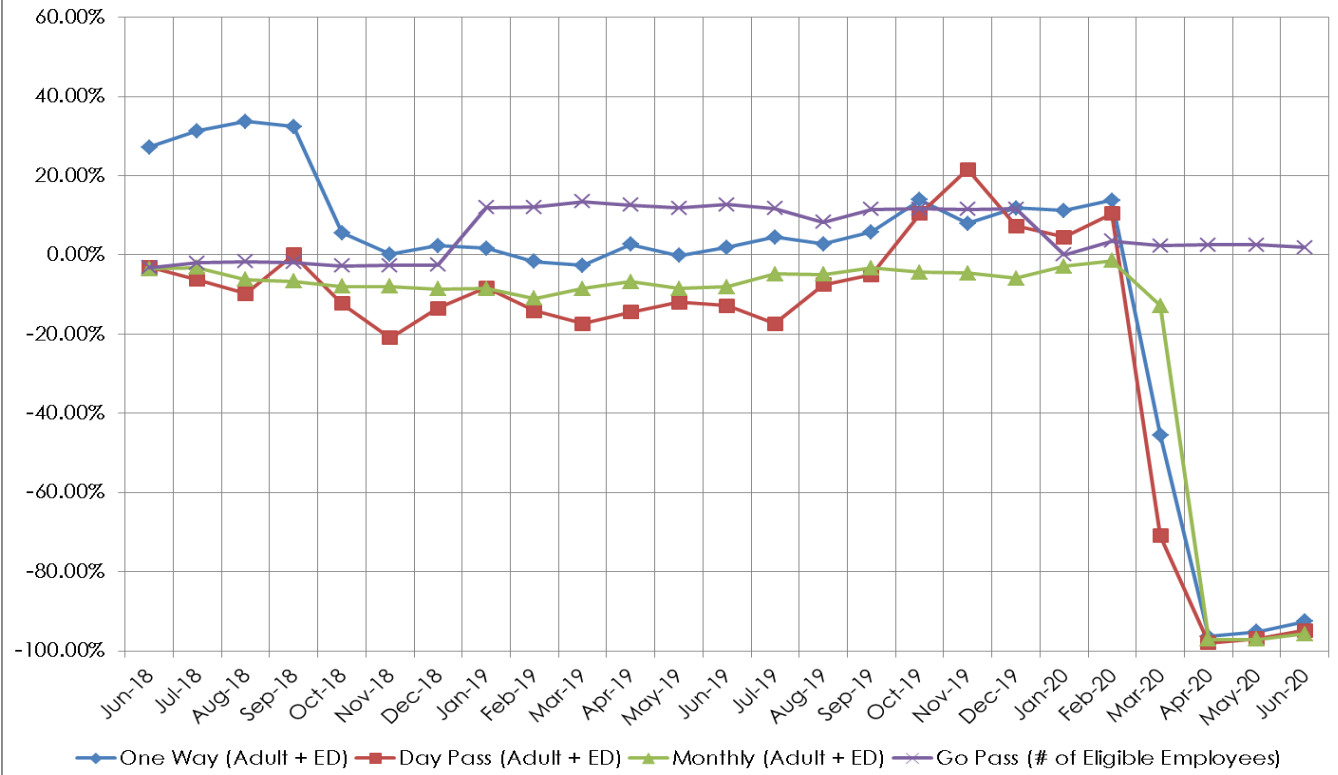
*Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)

Graph C



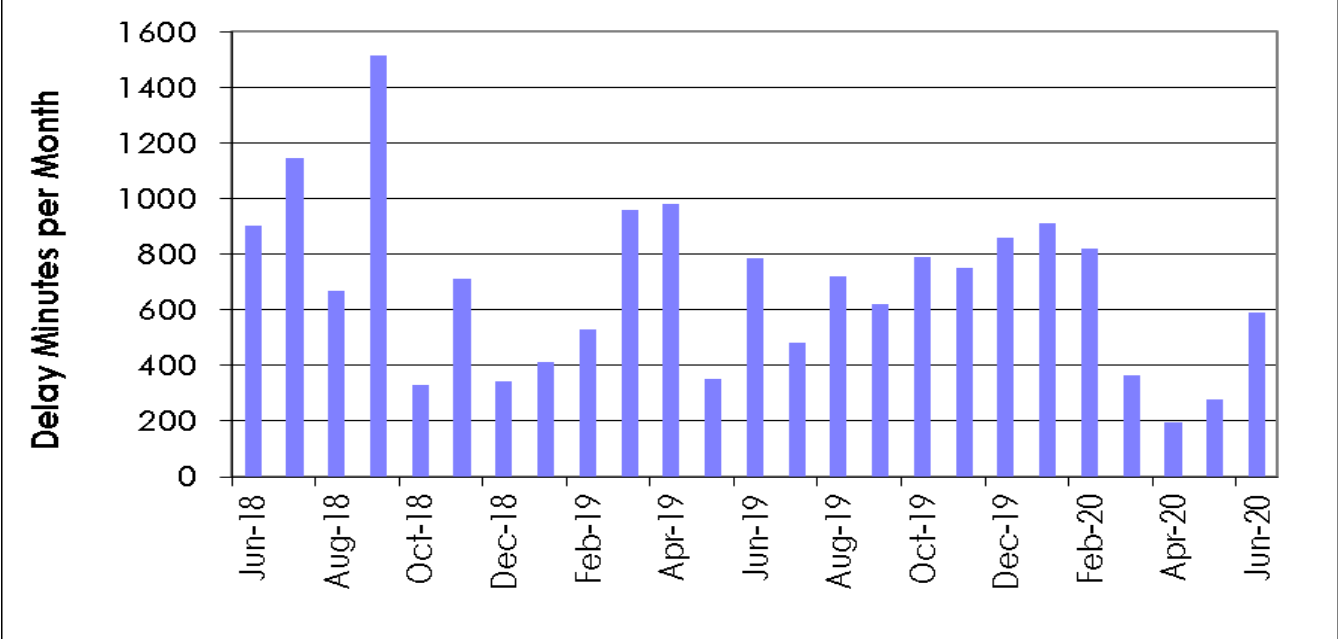
Graph D

**Number of Tickets Sold:
Year to Year (Same Month Last Year) % Change**



Graph E

Monthly Mechanical Delays



Caltrain Promotions – June 2020

Caltrain – Open for Business Co-branding Campaign with ABC7

Public transit systems across the country are experiencing a painful trifecta: Ridership has collapsed, funding streams are squeezed, and mass transit won't bounce back from the pandemic nearly as fast as other modes of transportation. In times of crisis, maintaining brand awareness and trust is critical. Companies that remain connected and committed to their employees, customers, and partners will thrive.

The Open for Business Campaign reintroduce Caltrain service to the public, through co-branding sponsorship with a trusted brand ABC7, and let the Bay Area know that Caltrain service is still available and has responded to Covid-19 by practicing social distancing, enhancing cleanliness and health protocols.

Open For Business is a positivity focused, Co-Branded, multi platform campaign, that engages the local viewing audience and small business owners who need access to public transportation.

In addition to sponsorship, Caltrain will receive a media campaign with branded content highlighting Caltrain's involvement in the Bay Area Opening for Business. This media campaign provides Caltrain exposure to the ABC viewing audience on all of the platforms where they engage.

Marketing Objectives:

- **Build Brand Affinity and Improve Reputation** – through sharing positive news, connections to community, and other helpful information for consumers we've developed misconceptions about Caltrain.
- **Promote Service** – by building a general knowledge of Caltrain. With the right content, distribution channels, and targeting strategy, we can position Caltrain's products and services in front of the right people at the right time.
- **Increase Web Traffic** – Get more eyes on websites, blogs, social media, and major service announcements (but we can't do this if people do not know about Caltrain or how to find digital platforms).

Target Audience: Adults 25-54 living or working in the San Mateo, Santa Clara, and San Francisco Counties and open to taking public transportation.

Timing: Weeks of June 29th through July 26th (4 weeks) | Segment One airs July 5, 2020
Segment | Two airs July 12, 2020

Content:

Series of 2x 5-10 minute episodes. Episodes will be released on a weekly basis over a month's flight.

Segment One: <https://abc7news.com/society/explore-caltrains-new-sanitation-and-safety-protocol--/6302824/>

Segment Two: <https://www.facebook.com/watch/?v=338032620522579>

Projected Impressions:

Broadcast

15x :30sec spots; 1.5M impressions
Newscast & Localish Program airings; 850,000 impressions

Digital
:30 sec spots; 500,000 impressions targeting San Mateo County
Episode airings; 400,000 impressions
Homepage Takeovers; 500,000 impressions

Social
Branded Content Tool - Episode airings; 400,000 impressions
Total Impressions: 2,075,000

Caltrain Digital Metrics - JUNE 2020



New Followers

-612

Jun 20 - 178,510

May 20 - 179,122

Jun 19 - 178,747

Top Tagged Issues

1. COVID (99)

2. Idling (59)

3. Electrification (28)

4. Caltrain Compliment (18)

5. TIE: Delays/Complaint (15)

Caltrain.com Sessions

Jun 20 - 137,604

May 20 - 94,116

Jun 19 - 851,341

Social Engagement

Video Views

736,540 (May - 747K)

Content Impressions

963,742 (May - 1.2M)

Interactions

12,903 (May - 24,794)

Monthly Yelp & FB Rating

(2.0 out of 5)

(2 June reviews)



@caltrain, @gocaltrain



@gocaltrain



@caltrain

Twitter Impression Spikes June, 2020

Your Tweets earned **864.2K impressions** over this **30 day** period



June 15

#NB169 Mechanical and Fire by Tracks
36 M of E Mins
20 On Board Passengers
224 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
James Namba, Marketing Specialist
Jeremy Lipps, Manager - Digital Comm.

650.508.6347
650.508.7924
650.622.7845

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE AND APPROVAL OF LEGISLATIVE PROPOSALS**

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 2020 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 District take a formal position.

Prepared By: Casey Fromson, Government and
Community Affairs Director

650-508-6493

July 10, 2020

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 – July 2020**

General Update

After the House of Origin deadline, both houses adjourned for summer recess. The plan was to return to session beginning July 13, where the Senate and Assembly would begin hearing bills from the other house. However, after two Assemblymembers were diagnosed with COVID-19, both the Senate and the Assembly have announced that they will not return until July 27th. This leaves only a little over a month for both houses to pass bills out of policy committees, fiscal committees and the floor by August 31st.

After August 31st, the Legislature will adjourn for final recess until January, marking the end of the 2019-2020 legislative session.

Bills with Recommended Action

SB 288 (Wiener) – CEQA Exemptions. This bill would provide additional CEQA exemptions for certain projects, including rail projects.

The bill is already in the Assembly and should be set for hearing in late July or early August. **We recommend the Caltrain Board SUPPORT this bill.**

Legislation of Interest

SB 902 (Wiener) – Housing Density Near Public Transit and Jobs. This bill would allow a local government to pass an ordinance to zone any parcel up to 10 units of residential density per parcel, at a height determined by the local government, if the parcel is located in a transit-rich area, a jobs-rich area, or an urban infill site.

The bill passed out of the Senate Appropriations Committee 6-1 and the Senate Floor 33-4. It will be heard next in the Assembly Local Government Committee in late July or early August.

AB 90 (Assembly Committee on Budget) – Transportation Budget Bill. This bill, which was signed by the Governor on June 29th, includes multiple statutory relief measures for transit agencies. These include instituting a hold harmless provision for

STA, LCTOP, SOGR and waiving financial penalties associated with noncompliance with Transportation Development Act's fairbox recovery ratio and the State Transit Assistance Program's requirement that transit agencies' operating cost per revenue vehicle hour may not exceed operating cost per revenue vehicle hour adjusted by regional CPI, year over year.

Transit Budget Efforts

The Legislature is expected to take additional budget actions before they adjourn on August 31st. In anticipation of this, the California Transit Association is actively pursuing \$3.1 billion in emergency relief funding for California transit agencies.

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. 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.

Important Dates:

January 2020 – Applications Due

April 2020 – CalSTA Award Announcement

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.

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

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.

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due
June 2020 – Program Adoption

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.

Important Dates:

January 2020 – Guidelines Adopted
March 2020 – Applications Due
June 2020 – Program Adoption

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 7/10/2020

Active Bills			
Bill Number (Author)	Summary	Location	Position
AB 145 (Frazier D) High-Speed Rail Authority: Senate confirmation.	Existing law creates the High-Speed Rail Authority with specified powers and duties relative to development and implementation of a high-speed train system. The authority is composed of 11 members, including 5 voting members appointed by the Governor, 4 voting members appointed by the Legislature, and 2 nonvoting legislative members. This bill would provide that the members of the authority appointed by the Governor are subject to appointment with the advice and consent of the Senate. Introduced: 12/13/2018	Senate Transportation	Watch
AB 1112 (Friedman D) Shared mobility devices: local regulation.	Existing law generally regulates the operation of bicycles, electric bicycles, motorized scooters, and electrically motorized boards. Existing law allows local authorities to regulate the registration, parking, and operation of bicycles and motorized scooters in a manner that does not conflict with state law. This bill would define a “shared mobility device” as a bicycle, electric bicycle, motorized scooter, electrically motorized board, or other similar personal transportation device, that is made available to the public for shared use and transportation, as provided. The bill would require shared mobility devices to include a single unique alphanumeric ID. The bill would allow a local authority to require a shared mobility device provider to provide the local authority with deidentified and aggregated trip data and operational data, including as a condition for operating a shared mobility device program. The bill would prohibit the sharing of individual trip data, except as provided by the Electronic Communications Privacy Act. The bill would allow a local authority to enact reasonable regulations on shared mobility devices and providers within its jurisdiction, including, but not limited to, requiring a shared mobility service provider to obtain a permit. The bill would allow a local authority to ban persons from deploying and offering shared mobility devices for hire on its public right of way, subject to the California Environmental Quality Act. This bill contains other related provisions. Amended: 6/19/2019	Senate 2 year	Watch

Active Bills

<p><u>AB 1991</u> (<u>Friedman D</u>)</p> <p>Transit and Intercity Rail Capital Program: passenger tramways.</p>	<p>Existing law establishes the Transit and Intercity Rail Capital Program, which is funded in part by a continuously appropriated allocation of 10% of the annual proceeds of the Greenhouse Gas Reduction Fund, to fund transformative capital improvements that will modernize California’s intercity, commuter, and urban rail systems and bus and ferry transit systems to achieve certain policy objectives. Existing law requires the Transportation Agency to evaluate applications for funding under the program and to approve a multiyear program of projects, as specified, and requires the California Transportation Commission to allocate funding to applicants pursuant to the program of projects approved by the agency. This bill would expand the purpose of the program to authorize funding for passenger tramway transit systems. By expanding the purposes for which continuously appropriated moneys may be used, the bill would make an appropriation.</p> <p>Introduced: 1/27/2020</p>	<p>Assembly Transportation</p>	<p>Watch</p>
<p><u>ACA 1</u> (<u>Aguiar-Curry D</u>)</p> <p>Local government financing: affordable housing and public infrastructure: voter approval.</p>	<p>(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.</p> <p>Amended: 3/18/2019</p>	<p>Assembly Reconsideration</p>	<p>Watch</p>

Active Bills

<p><u>SB 146 (Beall D)</u></p> <p>Regional transportation plans: sustainable communities strategies: procedural requirements.</p>	<p>Existing law requires certain transportation planning agencies to prepare and adopt a regional transportation plan directed at achieving a coordinated and balanced regional transportation system. Existing law requires the regional transportation plan to include, if the transportation planning agency is also a metropolitan planning organization, a sustainable communities strategy or alternative planning strategy, which is designed to achieve certain targets for 2020 and 2035 established by the State Air Resources Board for the reduction of greenhouse gas emissions from automobiles and light trucks in the region. Before the adoption of a sustainable communities strategy or an alternative planning strategy, existing law requires a metropolitan planning organization to complete certain procedural requirements, including a requirement to conduct at least one or 2 informational meetings, as specified, and a requirement to adopt a public participation plan that includes, among other things, at least one or 3 workshops in each county in the region depending on a specified population threshold and at least 2 or 3 public hearings on the draft sustainable communities strategy or alternative planning strategy, as specified. This bill would revise the procedures required for the adoption of a sustainable communities strategy or alternative planning strategy by, among other things, recharacterizing the workshops as gatherings and reducing the required number of informational meetings and gatherings to one meeting or gathering and the required number of public hearings to 2 hearings. The bill would authorize these informational meetings, gatherings, and public hearings to be conducted digitally or telephonically. The bill would also require the draft sustainable communities strategy or an alternative planning strategy to be prepared and circulated not less than 45 days, instead of 55 days, before adoption of a final regional transportation plan. Existing law requires each transportation planning agency to adopt and submit to the California Transportation Commission and the Department of Transportation an updated regional transportation plan every 4 or 5 years, as specified. Before adoption of the regional transportation plan, existing law requires a public hearing to be held. This bill would authorize this public hearing to be conducted digitally or telephonically.</p> <p>Amended: 7/13/2020</p>	<p>Assembly Transportation</p>	<p>Watch</p>
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Active Bills

<p>SB 288 (Wiener D) California Environmental Quality Act: exemptions.</p>	<p>(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 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 includes exemptions from its environmental review requirements for numerous categories of projects, including, among others, projects for the institution or increase of passenger or commuter services on rail or highway rights-of-way already in use and projects for the institution or increase of passenger or commuter service on high-occupancy vehicle lanes already in use, as specified. This bill would revise and recast the above-described exemptions and further exempt from the requirements of CEQA certain projects for the institution or increase of bus rapid transit and regional rail services on public rail or highway rights of way, as specified, whether or not it is presently used for public transit, as specified, and projects for the institution or increase of passenger or commuter service on high-occupancy vehicle lanes or existing roadway shoulders. The bill would additionally exempt projects for rail, light rail, and bus maintenance, repair, storage, administrative, and operations facilities; and projects for the repair or rehabilitation of publicly-owned local, major or minor collector, or minor arterial or major arterial bridges, as specified. The bill would require those exempt projects to meet additional specified criteria. The bill would require the lead agency to certify that those projects will be carried out by a skilled and trained workforce, except as provided. This bill would exempt from the requirements of CEQA projects for zero-emission fueling stations and chargers and projects for pedestrian and bicycle facilities. By requiring a lead agency to determine the applicability of this exemption, this bill would impose a state-mandated local program.(2)CEQA, until January 1, 2021, exempts from its requirements bicycle transportation plans for an urbanized area for restriping of streets and highways, bicycle parking and storage, signal timing to improve street and highway intersection operations, and related signage for bicycles, pedestrians, and vehicles under certain conditions. This bill would extend the above exemption until January 1, 2030.(3)The California Constitution requires the state to reimburse local agencies and school districts for certain costs mandated by the state. Statutory provisions establish procedures for making that reimbursement. This bill would provide that no reimbursement is required by this act for a specified reason.</p> <p>Amended: 6/3/2020</p>	<p>Assembly Rules</p>	<p>Recommend Support</p>
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Active Bills

<p><u>SB 902 (Wiener D)</u></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 authorize a local government to pass an ordinance, notwithstanding any local restrictions on adopting zoning ordinances, to zone any parcel for up to 10 units of residential density per parcel, at a height specified by the local government 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. This bill contains other related provisions.</p> <p>Amended: 5/21/2020</p>	<p>Assembly Local Government</p>	<p>Watch</p>
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Inactive Bills

<p>AB 90 (Committee on Budget) Transportation.</p>	<p>(1)Under the Mills-Alquist-Deddeh Act, also known as the Transportation Development Act, revenues from a 1 / 4 % sales tax in each county are transferred to the county’s local transportation fund and available, among other things, for allocation by a transportation planning agency to transit operators, subject to certain financial requirements for an operator to meet in order to be eligible to receive funds. Existing law sets forth alternative ways for an operator to qualify for funding, including a standard under which the allocated funds do not exceed 50% of the operator’s total operating costs, as specified, or the maintenance by the operator of a specified ratio of fare revenues to operating cost. If an operator was allocated funds from a local transportation fund during a fiscal year in which it did not maintain the required ratio of fare revenues to operating cost, existing law requires the operator’s eligibility to receive these moneys and specified allocations under the State Transit Assistance Program to be reduced during a subsequent penalty year by the amount of the difference between the required fare revenues and the actual fare revenues collected for the fiscal year that the required ratio was not maintained.This bill would prohibit the imposition of this penalty on an operator that does not maintain the required ratio of fare revenues to operating cost during the 2019–20 or 2020–21 fiscal year. This bill contains other related provisions and other existing laws.</p> <p>Chaptered: 6/29/2020</p>	<p>Assembly Chaptered</p>	<p>Watch</p>
<p>AB 1992 (Friedman D) Transportation: transportation infrastructure: climate change.</p>	<p>Existing law vests the Department of Transportation with full possession and control of the state highway system. Existing law requires the department, in consultation with the California Transportation Commission, to prepare a robust asset management plan that assesses the health and condition of the state highway system and with which the department is able to determine the most effective way to apply the state’s limited resources.This bill would state the intent of the Legislature to enact legislation that would establish a new program to fund climate change adaptation planning for transportation impacts, data collection, modeling, and training. The bill would require the department, in consultation with the commission, to update the asset management plan on or before December 31, 2022, and every 4 years thereafter, and for the updates to take into account the forecasted impacts of climate change on transportation infrastructure. The bill would require the updates to the California Transportation Plan and the Strategic Growth Council’s report to include a forecast of the impacts of climate change on transportation infrastructure and measures to address those impacts. The bill would require the commission’s revisions to the guidelines for the preparation of regional transportation plans to include a requirement that designated transportation planning agencies take into account the forecasted transportation infrastructure impacts of climate change. By requiring regional transportation plans to take into account this additional factor, the bill would impose a state-mandated local program.This bill contains other existing laws.</p> <p>Amended: 3/11/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p>AB 2012 (Chu D) Free senior transit passes: eligibility for state funding.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. This bill would require transit agencies to offer free senior transit passes to persons over 65 years of age in order to be eligible for state funding under the Mills-Deddeh Transit Development Act, the State Transit Assistance Program, and the Low Carbon Transit Operations Program. The bill would require those free senior transit passes to count as full price fares for purposes of calculating the ratio of fare revenues to operating costs.</p> <p>Introduced: 1/28/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

<p><u>AB 2057</u> (Chiu D) San Francisco Bay area: public transportation.</p>	<p>(1)Existing law creates the Metropolitan Transportation Commission as a local area planning agency for the 9-county San Francisco Bay area with comprehensive regional transportation planning and other related responsibilities. Existing law creates various transit districts located in the San Francisco Bay area, with specified powers and duties relative to providing public transit services. Existing law establishes the Transportation Agency consisting of various state agencies under the supervision of an executive officer known as the Secretary of Transportation, who is required to develop and report to the Governor on legislative, budgetary, and administrative programs to accomplish comprehensive, long-range, and coordinated planning and policy formulation in the matters of public interest related to the agency. This bill would declare the intent of the Legislature to enact subsequent legislation that would create a transportation network manager for the 9-county San Francisco Bay area to, among other things, integrate all aspects of public transit within the 9-county San Francisco Bay area and provide leadership and accountability in planning, coordinating, and financing the transportation network. The bill would establish a 19-member Bay Area Seamless Transit Task Force to recommend to the Legislature the structure, governance, and funding of the transportation network manager and the organizational structure, governance, and funding for San Francisco Bay area transportation agencies, and other reforms to the San Francisco Bay area’s local, regional, and state public agencies, that should be enacted in future legislation to maximize the effectiveness of the public transit system in the San Francisco Bay area. The bill would require the Secretary of Transportation to convene the task force by April 1, 2021. The bill would require the Metropolitan Transportation Commission to provide staffing to the task force to aid it in the performance of its duties, and would require the Legislative Analyst’s Office to advise the task force in the performance of its duties. The bill would require the task force to submit a report to the Legislature on or before January 1, 2023, of its findings and recommendations and a summary of its activities. The bill would repeal these provisions on January 1, 2027. This bill would require the commission, in consultation with transit agencies, on or before January 1, 2022, (A) to create standardized discount categories and eligibility requirements for fare discount programs for seniors, students, youth, and other rider categories, and (B) to create a multimodal, multiagency pilot program to implement an accumulator pass that may be used with one regional rail agency and at least one transit agency. The bill would require the regional rail agency and the transit agency or agencies selected to participate in the pilot program to offer the accumulator pass to the public on or before July 1, 2022. The bill would require the commission to prepare a plan, on or before July 1, 2023, to deploy the Clipper card payment system on passenger trains operated on the Capitol Corridor and on passenger trains operated by the Altamont Corridor Express. The bill would require the commission, in the next upgrade to the Clipper card payment system, to enable customers to pay for paratransit, parking at transit stations, and employer and educational institution transit discount programs. This bill contains other related provisions and other existing laws.</p> <p>Amended: 5/4/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
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Inactive Bills

<p><u>AB 2176</u> (Holden D)</p> <p>Free student transit passes: eligibility for state funding.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. This bill would require transit agencies to offer free student transit passes to persons attending the California Community Colleges, the California State University, or the University of California in order to be eligible for state funding under the Mills-Alquist-Deddeh Act, the State Transit Assistance Program, or the Low Carbon Transit Operations Program. The bill would also require a free student transit pass to count as a full price fare for purposes of calculating the ratio of fare revenues to operating costs. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/11/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><u>AB 2237</u> (Berman D)</p> <p>San Francisco Bay area county transportation authorities: contracting.</p>	<p>The Bay Area County Traffic and Transportation Funding Act authorizes each of the 9 counties in the San Francisco Bay area to impose a 1/2 of 1% or 1% sales tax for transportation purposes, subject to voter approval. Existing law provides for the establishment of a county transportation authority in each county imposing a sales tax under these provisions, requires the development of a county transportation expenditure plan, and specifies the powers and duties of a county board of supervisors and the county transportation authority in this regard. Existing law requires each county transportation authority to award contracts for the purchase of supplies, equipment, and materials in excess of \$75,000 to the lowest responsible bidder after competitive bidding, except in an emergency declared by the vote of 2/3 of the voting membership of the county transportation authority. This bill would require each county transportation authority to award contracts for the purchase of supplies, equipment, and materials in excess of \$150,000, rather than \$75,000, either to the lowest responsible bidder or to the responsible bidder whose proposal provides the best value, as defined, on the basis of the factors identified in the solicitation, except in a declared emergency, as specified. The bill would specify that the requirement does not apply to construction contracts.</p> <p>Amended: 5/4/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

<p>AB 2249 (Mathis R)</p> <p>High-speed rail: legislative oversight.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state, with specified powers and duties. Existing law requires the authority, on or before March 1, 2017, and every 2 years thereafter, to provide a project update report, approved by the Secretary of Transportation as consistent with specified criteria, to the budget committees and the appropriate policy committees of both houses of the Legislature, on the development and implementation of intercity high-speed train service, as provided. This bill would create the Joint Legislative Committee on High-Speed Rail Oversight consisting of 3 Members of the Senate and 3 Members of the Assembly and would require the committee to ascertain facts, review documents, and take action thereon, and make recommendations to the Legislature concerning the state's programs, policies, and investments related to high-speed rail, as specified. The bill would require the authority and any entity contracting with the authority to give and furnish to the committee upon request information, records, and documents as the committee deems necessary and proper to achieve its purposes. The bill would require the authority to submit to the committee on a monthly basis certain information relating to the authority's ongoing operations in the development and implementation of intercity high-speed train service, as provided. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/13/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p>AB 2943 (Ting D)</p> <p>Surplus property: disposal.</p>	<p>Existing law prescribes requirements for the disposal of surplus land, as defined, by a local agency, as defined. Existing law requires land to be declared surplus land or exempt surplus land, as supported by written findings, before a local agency takes any action to dispose of it consistent with the agency's policies or procedures. This bill would provide that the provisions regulating the disposal of surplus land shall not be construed to require a local agency to dispose of land that is determined to be surplus.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Local Government Committee*</p>	<p>Watch</p>
<p>AB 2987 (Flora R)</p> <p>Local agency public contracts: bidding procedures.</p>	<p>The Uniform Public Construction Cost Accounting Act authorizes a public agency to elect to become subject to uniform construction cost accounting procedures. The act authorizes bidding procedures for public projects, as specified. Those bidding procedures include procedures for the publication or posting and electronic transmission of notice inviting formal bids. This bill would authorize a public agency, as an alternative to the publication or posting requirement, to meet the notice inviting formal bids requirement by transmitting notice electronically, as specified, and publishing the notice electronically in a prescribed manner on the public agency's internet website at least 14 calendar days before the date of opening the bids. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Local Government Committee*</p>	<p>Watch</p>

Inactive Bills

<p><u>AB 3116</u> (<u>Irwin</u> D) Mobility devices: personal information.</p>	<p>Existing law, the California Consumer Privacy Act of 2018, grants a consumer various rights with respect to personal information, as defined, that is collected or sold by a business, as defined, including the right to opt out of the sale of a consumer’s personal information. This bill would authorize a public agency, defined as a state or local public entity that issues a permit to an operator for mobility services or that otherwise regulates an operator, to require an operator to periodically submit to the public agency anonymized trip data and the operator’s mobility devices operating in the geographic area under the public agency’s jurisdiction and provide specified notice of that requirement to the operator. The bill would authorize a public agency to share anonymized trip data with a contractor, agent, or other public agency only if specified conditions are met, including that the purpose of the sharing is to assist the public agency in the promotion and protection of transportation planning, integration of mobility options, and road safety. The bill would prohibit a public agency from sharing trip data with a contractor or agent. This bill contains other existing laws.</p> <p>Amended: 5/12/2020</p>	<p>Assembly Dead – Held in Appropriations Committee</p>	<p>Watch</p>
<p><u>AB 3128</u> (<u>Burke</u> D) Electricity: deenergization events: fuel cells.</p>	<p>Under existing law, the Public Utilities Commission has regulatory authority over public utilities, including electrical corporations. Existing law requires each electrical corporation to annually prepare a wildfire mitigation plan and to submit its plan to the commission for review and approval, as specified. Existing law requires the wildfire mitigation plan to include, among other things, protocols for disabling reclosers and deenergizing portions of the electrical distribution system, also known as public safety power shutoffs, that consider the associated impacts on public safety. This bill would provide that it is the intent of the Legislature to enact legislation that would incentivize the use of fuel cells to address reliability issues associated with public safety power shutoffs.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Natural Resources Committee*</p>	<p>Watch</p>
<p><u>AB 3213</u> (<u>Rivas,</u> <u>Luz</u> D) High-Speed Rail Authority: high-speed rail service: priorities.</p>	<p>Existing law establishes the High-Speed Rail Authority within the state government with various powers and duties related to developing and implementing high-speed passenger rail service. Existing law requires the authority to direct the development and implementation of intercity high-speed rail service that is fully integrated with specified forms of transit. This bill would require the authority, in directing the development and implementation of intercity high-speed rail service, to prioritize projects based on specified criteria.</p> <p>Introduced: 2/21/2020</p>	<p>Assembly Dead – Failed Fiscal Committee Deadline</p>	<p>Watch</p>
<p><u>HR 97</u> (<u>Frazier</u> D) Relative to high-speed rail.</p>	<p>Chapered: 6/11/2020</p>	<p>Assembly Adopted</p>	<p>Watch</p>

Inactive Bills

<p>SB 43 (Allen D)</p> <p>Carbon intensity and pricing: retail products.</p>	<p>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 state board is required to approve a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020 and to ensure that statewide greenhouse gas emissions are reduced to at least 40% below the 1990 level by 2030. This bill would require the state board, no later than January 1, 2022, to submit a report to the Legislature on the findings from a study, as specified, to determine the feasibility and practicality of assessing the carbon intensity of all retail products subject to the tax imposed pursuant to the Sales and Use Tax Law, so that the total carbon equivalent emissions associated with such retail products can be quantified. This bill contains other existing laws.</p> <p>Amended: 7/1/2019</p>	<p>Failed passage in the Assembly Revenue and Taxation Committee*</p>	<p>Watch</p>
<p>SB 50 (Wiener D)</p> <p>Planning and zoning: housing development: streamlined approval: incentives.</p>	<p>(1) Existing law authorizes a development proponent to submit an application for a multifamily housing development that satisfies specified planning objective standards to be subject to a streamlined, ministerial approval process, as provided, and not subject to a conditional use permit. This bill would authorize a development proponent of a neighborhood multifamily project located on an eligible parcel to submit an application for a streamlined, ministerial approval process that is not subject to a conditional use permit. The bill would define a “neighborhood multifamily project” to mean a project to construct a multifamily structure on vacant land, or to convert an existing structure that does not require substantial exterior alteration into a multifamily structure, consisting of up to 4 residential dwelling units and that meets local height, setback, and lot coverage zoning requirements as they existed on July 1, 2019. The bill would also define “eligible parcel” to mean a parcel that meets specified requirements, including requirements relating to the location of the parcel and restricting the demolition of certain housing development that may already exist on the site. This bill contains other related provisions and other existing laws.</p> <p>Amended: 1/6/2020</p>	<p>Failed passage on the Senate Floor</p>	<p>Watch</p>
<p>SB 147 (Beall D)</p> <p>High-Speed Rail Authority.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed train system in the state, with specified powers and duties. Existing law authorizes the authority, among other things, to keep the public informed of its activities. This bill would revise that provision to instead authorize the authority to keep the public informed through activities, including, but not limited to, community outreach events, public information workshops, and newsletters posted on the authority’s internet website.</p> <p>Introduced: 1/18/2019</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p>SB 278 (Beall D)</p> <p>Metropolitan Transportation Commission.</p>	<p>The Metropolitan Transportation Commission Act creates the Metropolitan Transportation Commission as a local area planning agency to provide comprehensive regional transportation planning for the region comprised of the 9 San Francisco Bay area counties. The act requires the commission to continue to actively, on behalf of the entire region, seek to assist in the development of adequate funding sources to develop, construct, and support transportation projects that it determines are essential. This bill would also require the commission to determine that those transportation projects are a priority for the region. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/28/2019</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

*This bill is not moving forward due to limitations in place on bills under consideration due to COVID-19

Caltrain As of July 15, 2020 Federal Transportation Report

Status of COVID-19 Relief Package

There is a growing recognition across party lines that Congress will need to continue to provide funding to continue to prop up the American economy during the coronavirus recession.

Senate Majority Leader Mitch McConnell (R-KY) will introduce the Senate's draft of the next proposed coronavirus-related relief package the week of July 20 when Senators return from recess. He provided the following parameters for the legislation: must include "liability protections for everyone"; and emphasis in the rest of the bill will be on "kids and jobs and health care".

Senate Republicans and Democrats remain far apart on what provisions need to be in the next package, which would be the fifth since the pandemic began in March. Other outstanding issues include state and local government funding, unemployment benefits, and the potential for another round of direct payments to individuals.

FY 2021 Appropriations Update

Congress needs to pass a dozen of spending bills for fiscal year (FY) 2021 before the current fiscal year, FY 2020, ends on September 30. The House and Senate's consideration of these bills has been delayed as coronavirus has consumed the legislative agenda and complicated committee work on Capitol Hill as many members and staff have been and will continue to work remotely. Congress will most likely have to pass continuing resolution (CR) to continue to fund federal agencies through the Election Day, November 3.

All 12 House Appropriations Subcommittees have passed the FY 2021 appropriations bills, and the House Appropriations Committee will pass the 12 FY 2021 appropriations bills the week of July 13. Senate appropriators have not released any of their bills as Republicans and Democrats disagree over whether it is appropriate to offer amendments on coronavirus aid and police violence.

On July 14, the House Appropriations Committee passed the FY 2021 Transportation, Housing and Urban Development, and Related Agencies (THUD) bill by a vote of 30 to 22. The House will begin consideration of the first FY 2021 minibus (State-Foreign Operations, Agriculture-FDA, Interior-Environment, and Military Construction Appropriations bills) the week of July 20. THUD will be part of the second minibus that the House will consider the week of July 27. Details on the House THUD Appropriations bill is below.

- \$1 billion for the BUILD grant program
 - Requires DOT to provide 60% of grants to urban areas and 40% to rural areas.

- \$20 million for planning grants “with an emphasis on transit, transit oriented development, and multimodal projects”.
- \$20 million for planning grants in areas of persistent poverty.
- \$61 billion for highways, plus \$1 billion from the general fund for highway infrastructure programs
 - \$632 million of the additional \$1 billion would be distributed to states via formula under the Surface Transportation Block Grant Program.
- \$15.9 billion for FTA transit formula grants, plus \$510 million from the general fund for transit infrastructure grants
- \$2.2 billion for FTA’s Capital Investment Grants program, including \$525 million for Core Capacity

The appropriations bill also includes an additional \$26 billion to “strengthen and make more resilient our nation’s aging infrastructure” in response to the COVID-19 pandemic, including:

- \$3 billion for BUILD grants
- \$2.5 billion for discretionary airport grants
- \$5 billion for CRISI grants
- \$8 billion for Amtrak, including \$5 billion for the Northeast Corridor and \$3 billion for the National Network
- \$5 billion for the CIG program

House Passes \$494 Billion Surface Transportation Authorization Bill

On June 18, the House Transportation and Infrastructure Committee approved its \$494 billion surface transportation bill, the INVEST in America Act ([H.R. 2](#)), by voice vote, following a two-day markup. The House passed the bill, as part of its \$1.5 trillion infrastructure bill, the Moving Forward Act, by a vote of 233-188. House Republicans were not included in the bill writing process, and did not support the INVEST Act or the Moving Forward Act.

Neither the House or Senate have identified a way to pay for surface transportation authorization bill. The current authorization bill, the FAST Act, expires on September 30; therefore, Congress will pass an extension of the FAST Act to continue current funding levels for transportation programs.

The bill provides a total of \$494 billion over five years—FY 2021 to FY 2025:

- \$411 billion from the Highway Trust Fund
- \$83 billion is authorized for appropriations from the Treasury’s general fund (i.e. the funding will have to be provided through the annual Transportation Appropriations bills)

The bill includes the following funding levels for each of the transportation modes:

- \$319 billion for the federal-aid highway program under the Federal Highway Administration (FHWA)—27% increase over FAST Act
- \$105 billion for transit programs under the Federal Transit Administration (FTA)—54% increase over FAST Act

- \$4.6 billion for highway safety programs under the National Highway Traffic Safety Administration (NHTSA)
- \$5.3 billion for motor carrier safety programs under the Federal Motor Carrier Safety Administration (FMCSA)
- \$60 billion for passenger rail programs under the Federal Railroad Administration (FRA)

Grant Opportunities

- **Federal-State Partnership for the State of Good Repair**: \$291 million available. Applications due July 27.
- **Work Zone Data Exchange Demonstration**: \$2.4 million available. Applications due August 3.
- **Advanced Transportation and Congestion Management Technologies Deployment Initiative**: \$12 million available. Applications due August 3.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Dora Seamans
Executive Officer/JPB Secretary

SUBJECT: **APPOINTMENT OF A CITIZENS ADVISORY COMMITTEE REPRESENTATIVE**

ACTION

The Board of Directors representing the San Mateo County Transit District, recommend the Board of Directors appoint a new member to the Citizens Advisory Committee (CAC) to fill the vacant seat for a member, David Tuzman, from San Mateo County with a term ending June 30, 2023. Information on the proposed appointee will be made available in the Board's reading file.

SIGNIFICANCE

The CAC Bylaws state:

1. Article 1 – Membership, Section 1: As prescribed by the Peninsula Corridor Joint Powers Board (“JPB” or “Board”), the Citizens Advisory Committee (“CAC” or “Committee”) shall consist of nine (9) members, three appointed from each constituent county (San Francisco County, San Mateo County, Santa Clara County). Each county will select its county committee members and the JPB will affirm these appointments. CAC members should reflect the demographics of Caltrain riders. The Citizens Advisory Committee shall act in an advisory capacity to the JPB. Its activities shall include seeking the views of various groups of users and potential users of Caltrain and ancillary transit facilities; develop proposals and recommendations for meeting the needs of the various groups; reviewing and commenting on staff proposals and actions as requested by the JPB; and assisting the JPB in any matter which the Board may deem appropriate.
2. Article 1 – Membership, Section 2: CAC members shall serve three (3) year terms.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

The CAC was established as a JPB advisory group by Resolution No. 1992-28, dated June 3, 1992. The CAC serves as a forum for conveying community information, ideas and comments to the Board. The Board adopted a set of Bylaws under Resolution No. 2002-13, dated May 2, 2002, to formalize the rules of procedure governing the manner in which the CAC functions.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **INFORMATION ON STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD
ENDED JUNE 30, 2020**

The Finance Division engages in many activities following the end of the June 30 fiscal year both to close out the old fiscal year and set up the new fiscal year. The demands of these activities require a longer time to produce a complete Statement of Revenues and Expenses than allowed by the normal board meeting cycle. Consequently, staff will present a Statement of Revenues and Expenses for June at the October 1st meeting of the Board of Directors. The auditors, Eide Bailly, LLP, expect to finish the audit in late October. We expect to have the Comprehensive Annual Financial Statement finalized by November 2020.

Prepared by: Jennifer Ye, Manager, General Ledger 650.622.7890

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, CalMod Program

SUBJECT: **AUTHORIZE EXECUTION OF A CHANGE ORDER TO THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT CONTRACT WITH BALFOUR BEATTY, INC. FOR CONSTRUCTION OF SHUNT WIRES AT UTILITY CROSSINGS IN CONFORMANCE WITH CALIFORNIA PUBLIC UTILITY COMMISSION REQUIREMENTS**

ACTION

Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to execute a change order to the Peninsula Corridor Electrification Project (PCEP) design-build contract with Balfour Beatty, Inc. (Contract) for construction of Shunt Wires at utility crossings for a total of \$9,500,000, and in a form approved by legal counsel.

SIGNIFICANCE

Safety requirements adopted by the California Public Utility Commission (CPUC) define the design, construction, installation, operation and maintenance requirements for the electrification system on the Caltrain Corridor. One of the requirements is the installation of Shunt Wires at overhead utility crossings. The CPUC Safety Requirements were adopted by the CPUC on November 10, 2016 (via Resolution SED-2), which occurred after the award of the Contract.

Shunt Wires are required at all 137 overhead utilities crossings over the electrification infrastructure. The purpose is to protect the safety of the public and rail or utility facilities in case the utility lines crossing the Overhead Contact System (OCS) should fall and make contact with the OCS.

This change order will allow the PCEP design-build contractor to proceed with the construction of the Shunt Wires.

This change has been approved by the PCEP Change Management Board.

BUDGET IMPACT

This Contract change order will be funded from the contingency included in the Board-approved PCEP Budget without requiring a budget amendment.

BACKGROUND

The PCEP is a key component of the Caltrain Modernization (CalMod) Program. The PCEP will electrify the Caltrain Corridor from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain Station, convert diesel-hauled to electric trainsets ("Electric Multiple Unit" or "EMU"), and increase service to up to six Caltrain trains per peak hour per direction.

The PCEP design-build and EMU contracts, which are the cornerstone contracts of the Caltrain Electrification Program, represent approximately 60 percent of the CalMod Program budget.

The Board of Directors has authorized the Executive Director to enter into change orders of up to 5%. As the proposed Contract change order would be specifically approved by the Board, the proposed action will not decrease the Executive Director's remaining change order authority.

Presented By: Liria Larano, Deputy Chief Officer, CalMod Program

650.622.7828

RESOLUTION NO. 2020 –

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

*** * ***

**AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A CHANGE ORDER TO THE
PENINSULA CORRIDOR ELECTRIFICATION PROJECT CONTRACT WITH BALFOUR BEATTY, INC.
TO CONSTRUCT SHUNT WIRES AT OVERHEAD UTILITY CROSSING LOCATIONS
FOR A TOTAL OF \$9,500,000**

WHEREAS, the Peninsula Corridor Electrification Project (PCEP), a key component of the Caltrain Modernization Program, will electrify the Caltrain Corridor from San Francisco's 4th and King Caltrain Station to approximately the Tamien Caltrain Station, replace diesel-hauled trainsets with Electric Multiple Unit (EMU) trainsets, and increase service to up to six Caltrain trains per peak hour per direction; and

WHEREAS, PCEP requires the installation of an Overhead Contact System (OCS) to provide electrical power to the trains; and

WHEREAS, on July 7, 2016, the Board of Directors (board) of the Peninsula Corridor Joint Powers Board (JPB), by means of Resolution No. 2016-35, awarded a contract to Balfour Beatty Infrastructure, Inc. (BBI) for design-build services for PCEP (Contract); and

WHEREAS, the California Public Utilities Commission (CPUC) adopted Safety Requirements for the design, construction, installation, operation and maintenance of the electrification system on the Caltrain Corridor; and

WHEREAS, the CPUC Safety Requirements, which require the installation of Shunt Wires at overhead utility crossings, were adopted by the CPUC on November 10, 2016 (via Resolution SED-2), which was after the award of the Contract; and

WHEREAS, Shunt Wires are required at all locations where overhead utilities cross over the electrification infrastructure to protect the safety of the public and rail or utility

facilities in the event the overhead utility lines crossing the right-of-way fall onto the OCS; and

WHEREAS, on September 6, 2018, the Board of Directors (board) of the Peninsula Corridor Joint Powers Board (JPB), by means of Resolution No. 2018-38, awarded a contract to BBII in the amount of \$925,000 for shunt wire design; and

WHEREAS, with approval from the PCEP Change Management Board, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board authorize execution of the Contract change order in an amount not to exceed \$9,500,000 to BBII for construction of shunt wires in conformance with CPUC requirements.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board authorizes the Executive Director to execute the Contract change to construct Shunt Wires at overhead utility crossing locations in an amount not to exceed \$9,500,000.

Regularly passed and adopted this 6th day of August, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Harnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **AUTHORIZE EXECUTION OF AGREEMENTS TO RECEIVE FUNDING AND ACT AS LEAD IMPLEMENTING AGENCY FOR THE FINAL DESIGN PHASE OF THE MOUNTAIN VIEW TRANSIT CENTER GRADE SEPARATION AND ACCESS PROJECT**

ACTION

Staff Coordinating Council recommends the Board:

1. Authorize the Executive Director, or his designee, to execute agreements with the City of Mountain View (City) and Santa Clara Valley Transportation Authority (VTA) for the Peninsula Corridor Joint Powers Board (JPB) to receive funding and to act as lead implementing agency for the final design phase (Final Design) of the Mountain View Transit Center Grade Separation and Access Project; and
2. 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 action.

SIGNIFICANCE

The Mountain View Transit Center Grade Separation and Access Project (Project) will improve safety and multimodal access to the Transit Center and Downtown Mountain View. The project includes closing Castro Street at W. Evelyn Avenue and redirecting motorized traffic to the existing Shoreline Blvd overpass via a new access ramp. A dedicated pedestrian and bicycle undercrossing will be constructed under the Caltrain tracks and Central Expressway to connect Castro Street with Moffett Boulevard on the other side.

The agreements which the Board will be authorizing, by this action, will complete the Final Design phase of the Project and will include Final Design work, Right of Way Engineering, and Environmental Permitting work. A Cooperative Agreement between VTA, City of Mountain View and JPB will define the roles and responsibilities of each party for the Final Design phase, as described below. Other agreements related to the Final

Design phase will be required in the future, such as a real estate cooperative agreement and an agreement with the County of Santa Clara for work related to the County Right of Way (Central Expressway). Although the JPB's work as lead implementing agency will be fully funded by the VTA and City, approval by the Board of Directors to enter into these agreements is desired, given the magnitude of the Project and the JPB resources required to support it.

To date, the City has funded and completed the preliminary design and environmental clearance, adopting a Mitigated Negative Declaration on December 10, 2019. The City is currently performing additional preliminary engineering work, which will not change the scope of final design work and will be completed prior to start of final design work. Moving forward, the City, VTA and JPB staff believe the best approach for implementing the Project is for the JPB, as owner of the rail right of way, to act as the lead implementing agency, with VTA serving as a funding partner and taking an oversight role and the City serving as the project sponsor and a funding partner, as well as leading community outreach.

At this time, the parties estimate the final design phase will cost approximately \$11.2M, with \$10.0M to be reimbursed by VTA to JPB and the City bearing \$1.2M of City's own related costs for final design phase. VTA will bear its own costs of project oversight for this phase. Should additional funds be required for the design work for the relocation of non-franchise utilities or any other additional design work, the parties will seek funds from non-JPB sources.

VTA will use 2016 Measure B funds in an amount of \$10,000,000 (ten million dollars) to provide Project funding for this particular phase and scope of work. City will contribute local funding for this phase.

BUDGET IMPACTS

Following execution of the Cooperative Agreement between the JPB, VTA and City for the Mountain View Transit Center Grade Separation and Access Project, JPB staff will include the funding contribution of \$10.0M from VTA into the FY2021 Capital budget for this phase of the Project.

No JPB member agency funds are budgeted or required for this Project. The City and VTA will be solely responsible for and will bear full financial responsibility for obtaining and providing all funding required for this phase of the Project. A funding plan for future phases of work will be developed by the City and VTA, in cooperation with the JPB. The JPB may be required to be a party to resulting funding agreements as the lead implementing agency, but no JPB member agency funds are expected to be committed to this Project.

BACKGROUND

Over the last 10 years, the JPB has served as the lead agency for the engineering design, environmental clearance, and eventual construction, of grade crossing separations in San Mateo County, including projects in the Cities of San Bruno and San Mateo. No costs have been incurred by the JPB or its member agencies for any of the projects discussed above, with all funding coming from the individual cities, the San Mateo County Transportation Authority, as well as other State and Federal sources.

The Mountain View Transit Center Grade Separation and Access project will be the first grade separation project in Santa Clara County funded by Measure B, which was passed in Santa Clara County in 2016. 2016 Measure B establishes \$700 million in funding for the grade separation in the cities of Palo Alto, Mountain View, and Sunnyvale. Castro Street/Moffett Boulevard, along with Rengstorff, are the two grade separations in the City of Mountain View in the Measure B program.

Prepared By: Joy Sharma, Senior Project Manager

650.489.8161

RESOLUTION NO.

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

*** * ***

**AUTHORIZING EXECUTION OF AGREEMENTS TO RECEIVE FUNDING AND ACT AS LEAD
IMPLEMENTING AGENCY FOR THE FINAL DESIGN PHASE OF MOUNTAIN VIEW TRANSIT
CENTER GRADE SEPARATION AND ACCESS PROJECT**

WHEREAS, the City of Mountain View (City) and the Santa Clara Valley Transportation Authority (VTA) desire to close the Castro Street at-grade crossing of the Caltrain tracks to improve safety and reduce traffic congestion; and

WHEREAS, the City completed a preliminary design and environmentally cleared the project (Project), adopting a Mitigated Negative Declaration on December 10, 2019; and

WHEREAS, the City and VTA desire to proceed with the final design, right of way engineering, and environmental permitting (Final Design) phase of the Project; and

WHEREAS, the total cost of the Final Design phase of the Project is estimated to be approximately \$11.2 million; and

WHEREAS, the VTA will reimburse JPB \$10M to perform the Final Design phase of the Project; and

WHEREAS, the City has budgeted \$1.2M for its own costs for the Final Design phase of the Project; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB), VTA, and the City desire that the JPB serve as the lead implementing agency for the Final Design phase of the Project; and

WHEREAS, all Project-related costs incurred by the JPB for the Final Design phase will be paid for by the City and VTA.

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

1. Authorizes the Executive Director, or his designee, to execute agreements with the Santa Clara Valley Transportation Authority and City of Mountain View for the JPB to receive funding and act as lead implementing agency for the Final Design phase of the Mountain View Transit Center Grade Separation Project; and
2. 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 6th day of August, 2020, by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary



Mountain View Transit Center Grade Separation and Access Project

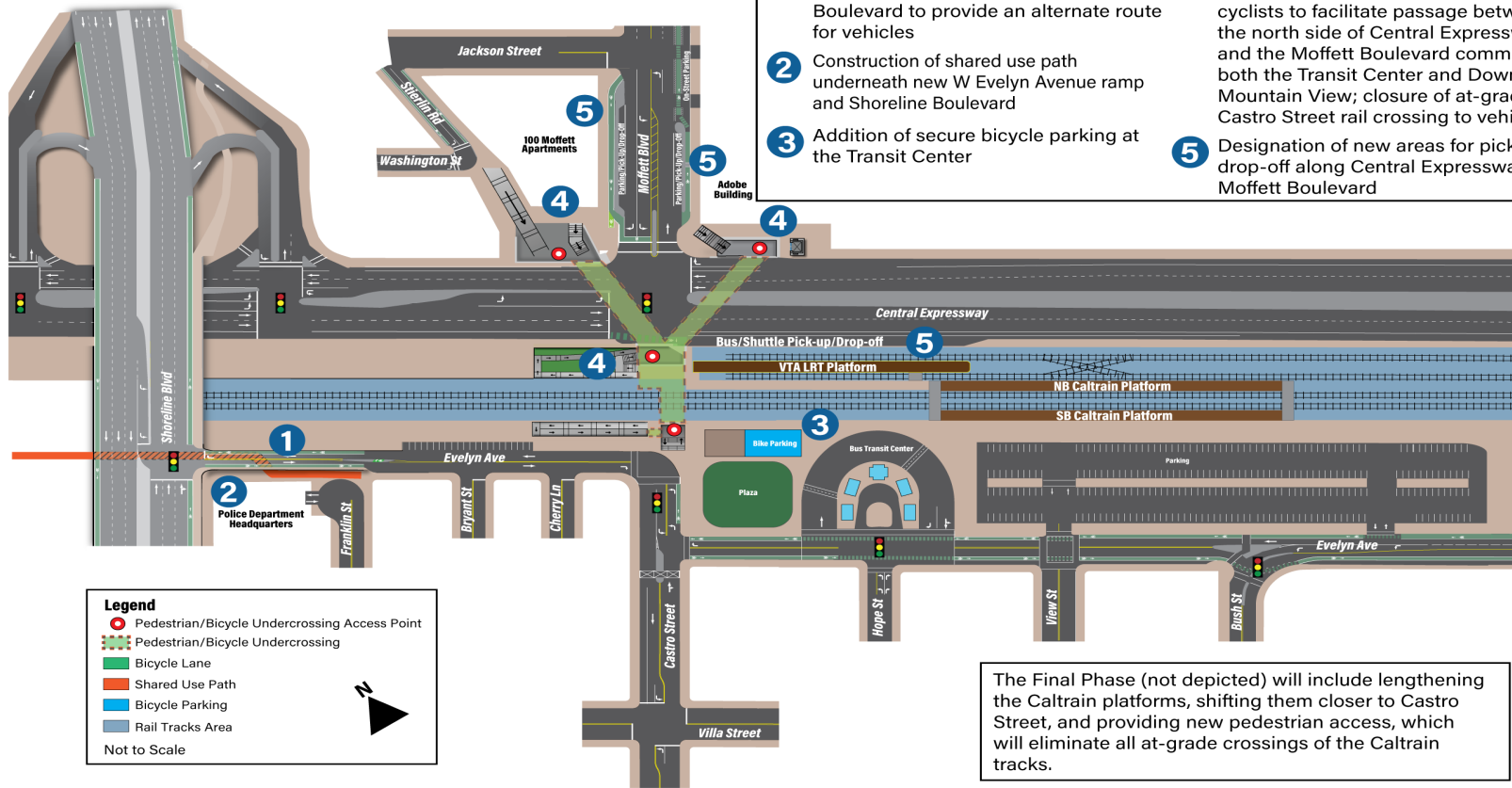


MOUNTAIN VIEW TRANSIT CENTER

GRADE SEPARATION AND ACCESS PROJECT

PROJECT ELEMENTS

- 1 Construction of a new vehicle ramp from W Evelyn Avenue to Shoreline Boulevard to provide an alternate route for vehicles
- 2 Construction of shared use path underneath new W Evelyn Avenue ramp and Shoreline Boulevard
- 3 Addition of secure bicycle parking at the Transit Center
- 4 Construction of undercrossing and vertical circulation for pedestrians and cyclists to facilitate passage between the north side of Central Expressway and the Moffett Boulevard community to both the Transit Center and Downtown Mountain View; closure of at-grade Castro Street rail crossing to vehicles
- 5 Designation of new areas for pick-up/drop-off along Central Expressway and Moffett Boulevard

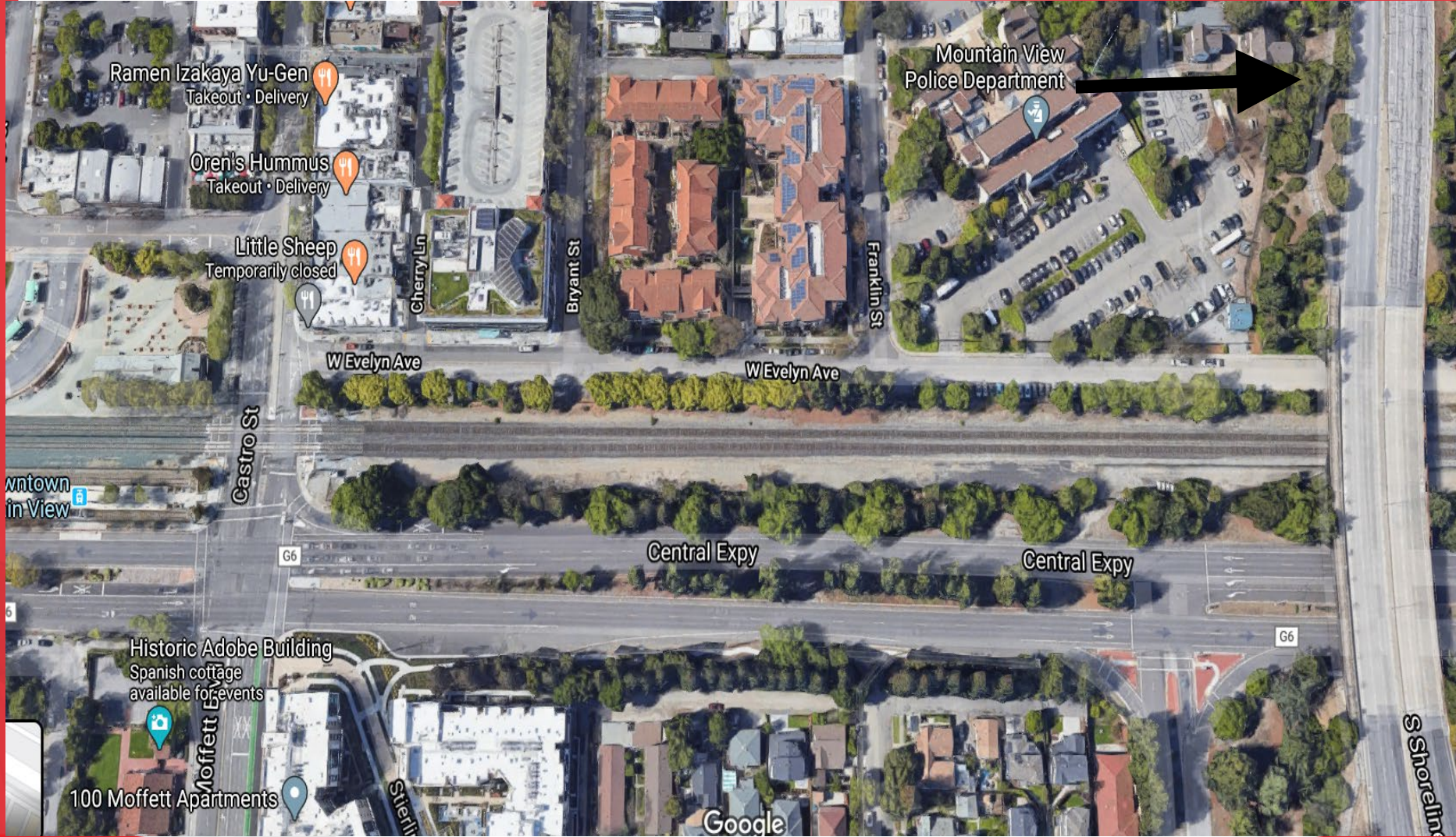


Legend

- Pedestrian/Bicycle Undercrossing Access Point
- Pedestrian/Bicycle Undercrossing
- Bicycle Lane
- Shared Use Path
- Bicycle Parking
- Rail Tracks Area

Not to Scale

The Final Phase (not depicted) will include lengthening the Caltrain platforms, shifting them closer to Castro Street, and providing new pedestrian access, which will eliminate all at-grade crossings of the Caltrain tracks.





Castro Street looking south towards Downtown (planned)

Castro Street looking south towards Downtown



Stairs and ramps should be gracious in form and generous in dimension, making the transition between undercrossings, the Concourse, and platforms convenient and pleasant.

Transition between Undercrossing, Platform and Concourse Area



North side of Central Expressway and Moffett Boulevard Intersection (planned)

North Side of Central Expressway and Moffett Blvd Intersection

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CALTRAIN'S COMMITMENT LETTERS TO THE METROPOLITAN TRANSPORTATION COMMISSION (MTC) FOR PLAN BAY AREA 2050 PROJECT SUBMISSIONS**

ACTION

This report is for information only. No Board action is required at this time.

SIGNIFICANCE

MTC is in the process of preparing Plan Bay Area 2050, an update to the San Francisco Bay Area's nine-county Regional Transportation Plan (RTP) and Sustainable Communities Strategy. Plan Bay Area 2050 will be used to set a roadmap for future transportation investments in the region.

In late summer of 2019, MTC requested that Bay Area County Transportation Agencies (CTAs) and multi-county project sponsors (such as the JPB) submit project updates for potential inclusion in Plan Bay Area 2050. In fall 2019 and winter 2020, MTC completed an evaluation of all the major projects that were submitted to Plan Bay Area 2050 and released the performance results.

In spring 2020, following the project performance assessment, as part of the process to develop a "Draft Blueprint" for Plan Bay Area 2050, MTC provided project sponsors with an opportunity to revise their projects for consideration in the Draft Blueprint. MTC requested that project sponsors provide a commitment letter documenting the revised project as well as strategies to address any performance concerns from the project performance assessment. These revised projects were then analyzed as part of MTC's efforts to develop the Draft Blueprint for the Plan.

Building on the analysis and results from the Draft Blueprint, MTC has recently released a proposed "Final Blueprint" that includes the projects that are proposed for inclusion in Plan Bay Area 2050. For projects that are included in the proposed Final Blueprint, MTC has requested that project sponsors share the project commitment letters with their Boards. To that end, the two attachments to this staff report present the letters that have been submitted to MTC regarding Caltrain's projects for Plan Bay Area 2050.

These letters are provided for the Board's information, and no Board action is necessary at this time.

ADDITIONAL INFORMATION

This section provides additional information on the JPB's project submissions to MTC for Plan Bay Area 2050, as well as the current status of the agency's project and what it means for Caltrain.

In late summer 2019, when the JPB was first required to submit projects to MTC for Plan Bay Area 2050, the Caltrain Board had not yet taken action to adopt a long-term service vision for the railroad. For this reason, the JPB initially submitted three projects to Plan Bay Area 2050, which corresponded to the three potential long-term service visions for the railroad that were developed through the Caltrain Business Plan process (2040 Caltrain Base Growth Scenario, 2040 Caltrain Moderate Growth Scenario, and 2040 Caltrain High Growth Scenario). In the subsequent project performance assessment completed by MTC, the three Caltrain projects performed well in some regards, but also received some flags for performance issues related to the Benefit-Cost Ratio Evaluation, Guiding Principles Evaluation, and Equity Evaluation.

In response to MTC's project performance assessment, the JPB developed a revised project called the "Caltrain Enhanced Growth Scenario" for the Draft Blueprint for Plan Bay Area 2050. This revised project was based on additional technical analysis and stakeholder outreach completed through the Business Plan in fall 2019 and winter 2020. The Caltrain Enhanced Growth Scenario includes enhanced service levels to maximize the use of available infrastructure and more fully serve expected market demand on the Caltrain corridor over the next decade and beyond. It will deliver many benefits to the region, including increased capacity to support ridership growth, longer time periods for peak service, and additional service in the off-peak periods, at significantly lower costs than the three previously submitted projects (while still remaining entirely consistent with the system's ultimate Long-Range Vision). Information about this project was provided by staff to the Caltrain Board in the Caltrain Business Plan updates throughout winter and spring 2020.

As documented in the first attached letter, which was submitted to MTC in April 2020, the JPB's updated project addresses all concerns raised by MTC during the performance assessment and provides for an incremental advancement of Caltrain's overall Service Vision that can more readily be accommodated within a fiscally constrained Regional Transportation Plan. Additional details about the revised project and its strategies can be found in the attached letter. Following the submission of the Caltrain Enhanced Growth Scenario, MTC included the project as part of its analysis of the Draft Blueprint in spring 2020.

In summer 2020, MTC released the proposed Final Blueprint for Plan Bay Area 2050, which specifies investments that may be implemented within two fiscally-constrained time periods (2021-2035 and 2036-2050) as required by the California Air Resources Board. MTC estimates that revenues available across the planning period will be more limited in the first time period because of the 2020 economic recession, and on the

premise of new funding streams (such as a new regional funding measure) eventuating by 2035, there is a corresponding assumption of greater fiscal capacity for investment in Period 2 than Period 1. What this means for the proposed Final Blueprint is that the first half of the planning period includes a much more limited set of major project investments that may be implemented compared to the second half of the planning period.

In Period 1, the Final Blueprint proposal includes regional discretionary funding for the following major rail projects: BART's Frequency/Capacity Boost, BART to Silicon Valley Phase 2, and Irvington BART. In Period 2, the proposal includes regional discretionary funding for the following major rail projects: Caltrain's Enhanced Growth Scenario, New Transbay Rail Crossing Phase 1, DTX, Valley Link, Dumbarton Group Rapid Transit, and Stevens Creek Blvd Light Rail.

MTC staff have clarified that projects that are included in Period 2, such as the Caltrain Enhanced Growth Scenario, may begin project development work, pursue environmental approvals, and seek project funding during Period 1 (prior to 2036). Additionally, MTC intends to develop a Megaproject Advancement Policy in 2021, which would provide eligibility criteria for Plan Bay Area 2050's Period 2 projects to be amended into Period 1 for implementation. Eligibility criteria could include improved cost effectiveness or new funding sources for projects.

Because the JPB expects to be seeking implementation of the Caltrain Enhanced Growth Scenario in advance of 2036, the agency submitted a second letter in June 2020 to MTC to seek inclusion in Plan Bay Area 2050 in Period 1 instead of Period 2. Caltrain Board members were recently emailed a copy of this letter, and it is also presented here as the second attachment to this staff report.

NEXT STEPS

Following outreach on the proposed Final Blueprint this summer, action is expected to be taken by the MTC Commission in September 2020 to approve the Final Blueprint. Then, MTC will move forward with preparing the actual Plan Bay Area 2050 document and environmental impact report, as well as complete additional outreach, with the entire process expected to be wrapped up with MTC Commission adoption in fall 2021.

In the months to come, Caltrain staff will continue to track the Plan Bay Area 2050 process and coordinate with MTC regarding the agency's project submission and the development of the Plan documents as needed.

Prepared by: Melissa Jones, Principal Planner, Caltrain Planning

650.295.6852



BOARD OF DIRECTORS 2020

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JIM HARTNETT
EXECUTIVE DIRECTOR

April 6, 2020

Ms. Alix Bockelman
Deputy Executive Director
Metropolitan Transportation Commission
Association of Bay Area Governments

Subject: Plan Bay Area 2050: Draft Blueprint Framework – Comments on Caltrain-related Projects

Dear Ms. Bockelman:

Caltrain staff would like to thank MTC for sharing the final project performance assessment results and the Draft Blueprint for Plan Bay Area 2050. We recognize that this has taken great time and effort from your staff, and we would like to take this opportunity to provide a revised project submission for Caltrain for inclusion in the Final Blueprint for Plan Bay Area 2050. We believe this submittal, the "Caltrain Enhanced Growth" scenario, addresses all concerns raised by MTC during the performance assessment and provides for an incremental advancement of Caltrain's overall Service Vision that can more readily be accommodated within a fiscally constrained Regional Transportation Plan.

As MTC staff is aware, Caltrain previously submitted three long-term projects to be evaluated through the Horizons/Plan Bay Area 2050 process: the 2040 Caltrain Base Growth Scenario, the 2040 Caltrain Moderate Growth Scenario, and the 2040 Caltrain High Growth Scenario. These three long-term service scenarios were developed through the collaborative, extensive planning process for the Caltrain Business Plan. On October 3, 2019, the Caltrain Board of Directors unanimously adopted the railroad's Long-Range Service Vision, which directs staff to plan for a level of service commensurate with the 2040 Moderate Growth Scenario while simultaneously working with the region and State towards achieving the levels of service envisioned in the 2040 High Growth Scenario.

Our revised project for Plan Bay Area 2050 is an incremental advancement of Caltrain's Long-Range Service Vision. The Caltrain Enhanced Growth Scenario includes enhanced service levels that will maximize the use of available infrastructure and more fully serve expected market demand on the Caltrain corridor over the next decade and beyond. It will deliver many benefits to the region, including increased capacity to support ridership growth, longer time periods for peak service, and additional service in the off-peak periods, at significantly lower costs than the three previously submitted projects (while still remaining entirely consistent with the system's ultimate Long-Range Vision).

As MTC continues to plan for the future of the Bay Area's rail and transit network with Plan Bay Area 2050, we would request that MTC include the Caltrain Enhanced Growth Scenario in its Final Blueprint, along with Caltrain's already-committed projects, including the Peninsula Corridor Electrification Project. In the attached memo, we have provided additional information

about the Caltrain Enhanced Growth Scenario project, as well as our comments and strategies regarding performance issues that were flagged during MTC's Horizons/Plan Bay Area project performance evaluation process. We have also provided illustrative service schedules for the Enhanced Growth Scenario in a second attachment to this letter. The Enhanced Growth Scenario was presented to the Peninsula Corridor Joint Powers Board at their March 2020 meeting and staff described our intent to submit this revised project to MTC as part of the Plan Bay Area process.

Additionally, we would strongly urge that rather than use a project-based approach, MTC employ a regional network approach when selecting projects to include in the Final Blueprint and the fiscally constrained Regional Transportation Plan. The Caltrain Enhanced Growth Scenario is a critical foundation to developing the region's integrated rail network, including the Caltrain Downtown Extension and the San Francisco-Oakland Transbay Rail Crossing. While there are a number of regional and statewide rail planning efforts underway, we believe that the Bay Area's Regional Transportation Plan should support an integrated approach to phasing and developing the region's rail network through its project selection process.

Lastly, we would like to again express our appreciation to MTC staff for their thoughtful and collaborative approach to the significant undertaking of Plan Bay Area 2050 – especially Dave Vautin, Adam Noelting, and Anup Tapase. We would also like to thank Melanie Choy for her ongoing participation in the Caltrain Business Plan process. Caltrain appreciates MTC's partnership, and we are happy to provide further information or discuss this project submittal as needed.

Sincerely,



Jim Hartnett
Executive Director, Caltrain

Attachments:

- Attachment A – Detailed Memo on Caltrain's Revised Project Submission to MTC
- Attachment B – Spring 2020 Update on Caltrain Business Plan (including information on Caltrain's "Enhanced Growth Scenario" as well as connectivity and equity assessment analysis)
- Attachment C – Caltrain Enhanced Growth Scenario: Illustrative Service Schedules for 2022 and 2027

Attachment A: Detailed Memo on Caltrain's Revised Project Submission to MTC

Overview and Background

As MTC staff is aware, Caltrain has been engaged in developing the Caltrain Business Plan over the last two years. This significant and collaborative planning process initially focused on the development of a long-range service vision for the railroad and a companion investment plan for both Caltrain rail service and the larger rail corridor, running from San Francisco through San Jose to Gilroy. On October 3, 2019, the Caltrain Board of Directors unanimously adopted a Long-Range Service Vision for the railroad, which provides high-level policy guidance to evolve the Caltrain corridor and service from a traditional commuter railroad to a regional rail system operating at transit-level frequencies throughout the day. The adopted Service Vision directs staff to plan for a level of service commensurate with the 2040 Moderate Growth Scenario while simultaneously working with the region and State towards development of a larger regional rail system that could include level of train service specified in the 2040 High Growth Scenario.

Since the Long-Range Service Vision was adopted, Caltrain staff has continued to work on the Business Plan to finish rounding out the Service Vision with additional analysis and stakeholder outreach. In particular, we have been focused on additional technical and policy analysis to identify on what incremental improvement Caltrain can achieve over the next decade and the key near-term steps and work that will be needed to make it happen. This has included developing nearer-term service concepts for Caltrain's initial electric service and options for additional, incremental growth and investment in Caltrain service through the 2020s, building towards the Long-Range Service Vision, as well as developing financial projections and funding plans to accompany the updated service concepts. We have also analyzed connections to other transit systems and station access options, and have completed an equity analysis that includes identification of opportunities to improve equitable access to Caltrain. Lastly, we have also been developing a longer-term funding strategy to achieve Caltrain's Long-Range Service Vision, which identifies about \$25 billion in investments along the corridor by Caltrain, cities, and partner agencies. All of these efforts will coalesce in the adoption of the Caltrain Business Plan by the Caltrain Board of Directors, anticipated in summer 2020.

This most recent work on the Caltrain Business Plan has culminated in the development of the "Caltrain Enhanced Growth Scenario," which we are submitting to MTC as a revised project for inclusion in the Final Blueprint of Plan Bay Area 2050 by way of this letter. The Enhanced Growth Scenario is a nearer-term, incremental project that moves the railroad toward achieving Caltrain's adopted Long-Range Service Vision. It includes the provision of enhanced service levels that will maximize the use of available infrastructure and more fully serve expected market demand on the corridor over the next decade and beyond.

We would like to note that because Caltrain is submitting this project for inclusion in the Final Blueprint for Plan Bay Area 2050, it should supersede the three previous Caltrain submissions for the Horizons/Plan Bay Area 2050 process in 2019. At that time, because the Business Plan was still in development and the Caltrain Board of Directors had not yet taken action to adopt a single Service Vision, we submitted the 2040 Baseline Growth Scenario, 2040 Moderate Growth Scenario, and 2040 High Growth Scenario to MTC in 2019 for inclusion in the Horizons/Plan Bay Area 2050 process. These three projects were evaluated as part of the Horizons/Plan Bay Area 2050 project performance assessment, along with two other Caltrain-related projects that

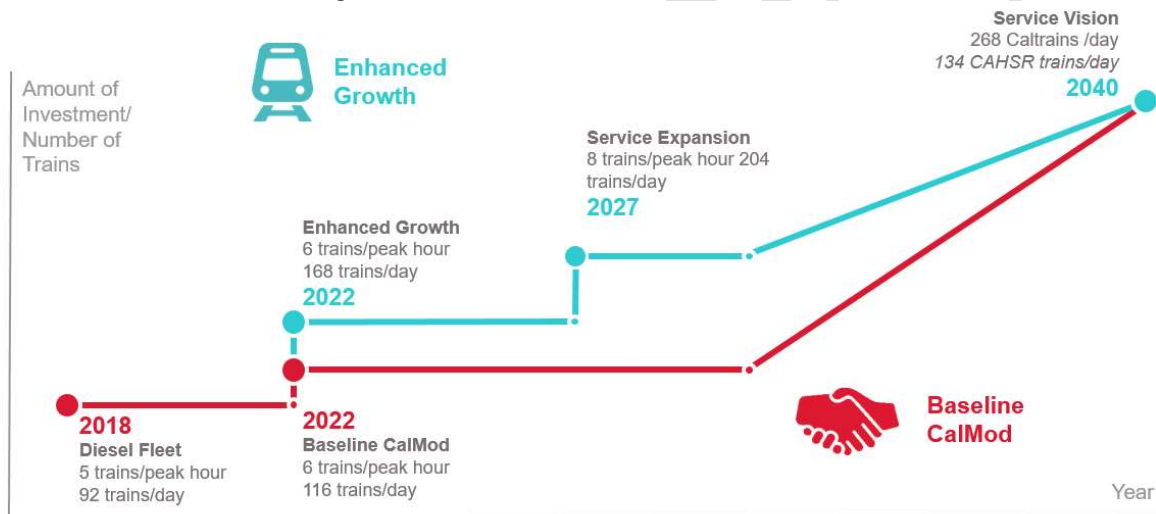
were submitted by partner agencies, the Downtown Extension project and San Francisco-Oakland Transbay Rail Crossing – Commuter Rail.

This memo includes more information about Caltrain’s revised project for Plan Bay Area 2050, the Caltrain Enhanced Growth Scenario, as well as our proposed strategies to address performance issues for Caltrain’s previous project submissions that were flagged by MTC in its initial project performance assessment through the Horizons/Plan Bay Area 2050 process in fall 2019.

Caltrain Enhanced Growth Scenario

As noted above, the Caltrain Enhanced Growth Scenario is an incremental step towards achieving the railroad’s adopted Long-Range Service Vision. With increased service levels that maximize the use of available infrastructure, the Enhanced Growth Scenario will more fully serve the anticipated market demand on the corridor in the 2020s and beyond. Figure 1, below, shows how the Caltrain Enhanced Growth Scenario relates to Caltrain’s baseline commitment to electrification through the CalMod program in terms of both peak and overall weekday service levels.

Figure 1: Overview of the Enhanced Growth Scenario



Like the baseline CalMod project, the Caltrain Enhanced Growth Scenario includes commencing the start of electrified service in 2022 with 6 peak hour trains per hour per direction (7-car trains) in between San Francisco and San Jose, but it also expands peak periods and adds significantly greater levels of off-peak frequency to increase overall service to 168 trains per weekday. This enhanced service meets observed and projected market demand, allows for greater all-day connectivity to the larger regional transit network, and significantly advances equity on the Caltrain corridor by providing high quality off-peak service that meets the needs of customers who wish to use the system for reasons outside of traditional commuting.

The Enhanced Growth Scenario also includes a series of capital investments needed to grow Caltrain service to 8 peak hour trains per hour per direction (utilizing 7-car trains) by the end of the 2020s, increasing the daily service to a total of about 204 trains per day. Key required investments include:

- The full electrification and expansion of Caltrain’s mainline fleet

- The construction of additional train storage
- The improvement of platforms at Caltrain stations to achieve level boarding
- The reconfiguration or elimination of remaining holdout rule stations on the corridor

This service will lead to a massive increase in station stops along the Caltrain corridor, resulting in the significant majority of Caltrain stations receiving service levels of 4- or 8-trains per hour per direction (as compared to just a handful of stations that receive this level of service today). In addition to benefiting the Caltrain corridor communities, the Enhanced Growth Scenario will also benefit the wider Bay Area region. It will allow Caltrain to provide the service and capacity needed to make maximum use of the Downtown Extension once that project is open, and it will be foundational to the development of an integrated regional rail network, including potential future connections with the East Bay via the San Francisco-Oakland Transbay Rail Crossing.

As part of the Caltrain Business Plan, the ridership for the Enhanced Growth Scenario was modeled using the VTA/CCAG regional travel demand model. For the year 2030, two Enhanced Growth Scenarios were modeled – one with the Downtown Extension and one without the Downtown Extension – and the results showed substantial Caltrain ridership gains by directly connecting the railroad to the broader regional transit network via the Downtown Extension. Indeed, the 2030 Caltrain daily ridership was estimated to be around 113,000 riders without the Downtown Extension, while it was estimated to be nearly 143,000 riders with the Downtown Extension open (with 7-car trains constrained to capacity for peak hour/peak direction travel).

The table below summarizes additional details for this project. An illustrative service plan that corresponds to the Enhanced Growth Scenario is included as Attachment B to this memo. If MTC needs any additional information or has any questions regarding this revised project, we would be happy to provide assistance.

Caltrain Enhanced Growth Scenario Details

First Year of Operations	2022 (FY23) for 6, 7-car trains per peak hour per direction (tphpd) (~168 trains per day) 2027 (FY28) for 8, 7-car trains per peak hour per direction (~204 trains per day)
Annual O&M Costs in 2022 (corresponding to first year of electrified service with 6 tphpd)	\$245.43 million (\$YOE)
Annual O&M Costs in 2027 (corresponding to first year of 8 tphpd service)	\$329.53 million (\$YOE)
Capital Investment	No additional capital investment is needed for the 2022 service with 6 tphpd beyond committed/funded capital projects. Additional capital investment is needed to commence 2027 service with 8 tphpd, including: additional EMU fleet; level boarding at station platforms; more train storage; minor track work; station improvements; and hold-out rule elimination at two stations.
Total Capital Investment Cost (excluding committed, funded projects) (\$2019)	\$1.211 billion for new enhancements to achieve 8 tphpd service by 2027

First Year of Construction (for additional capital investments)	2022 (FY23) (corresponding to improvements needed for 8 tphpd service)
Committed Funding (Capital)	\$564 million from Santa Clara, San Mateo Counties (\$314 million from Measure B in Santa Clara County \$250 million from Measure A in San Mateo County and an amount to be determined from San Francisco)

Strategies to Address Performance Flags

In the project performance assessment completed by MTC in 2019, Caltrain’s three submitted projects performed well in some regards, but also received flags for performance issues related to the Benefit-Cost Ratio Evaluation, Guiding Principles Evaluation, and Equity Evaluation. The sections below summarize our understanding of why these issues were flagged and includes our proposed strategies to address performance issues identified and to resolve any concerns about including this revised project in the Final Blueprint for Plan Bay Area 2050. If MTC staff would like additional information or has any questions, we would be happy to meet to discuss.

Benefit-Cost Ratio Evaluation

In the quantitative Benefit-Cost Ratio (BCR) Evaluation, all three of Caltrain’s projects scored between <0.5 and 1.0, with the best performances under the “Clean and Green” Future. Our submittals were flagged because their BCR scores did not exceed 1.0. Our understanding is that high capital costs for each of the previously submitted projects contributed to high lifecycle costs relative to MTC’s calculation of lifecycle benefits, thus resulting in lower BCR scores in MTC’s calculations.

The Caltrain Enhanced Growth Scenario addresses this performance issue by adjusting the variable that contributed to the lower BCR scores: the capital costs. Similar to the previous projects that the agency submitted in 2019, the Caltrain Enhanced Growth Scenario increases train service levels on the corridor, yet it has substantially lower capital costs compared to the three previously submitted projects. In fact, the Enhanced Growth Scenario capitalizes on infrastructure investments that are already committed and/or are being implemented on the Caltrain corridor, and its suite of additional capital investments include only those that are directly needed to support growth in train service to 8 peak hour trains per hour per direction. These investments are still fully consistent with the long-term build out envisioned in Caltrain’s Service Vision but represent a more modest incremental step. The Enhanced Growth Scenario’s capital investments total approximately \$1.2 billion – a fraction of the capital costs associated with Caltrain’s previous project submissions (previously, the lowest capital costs were approximately \$22 billion, associated with the 2040 Baseline Growth Scenario).

Of the previously submitted projects, we would estimate that the revised Enhanced Growth Scenario is most closely compared to the 2040 Baseline Growth Scenario, and by MTC’s calculations, it had lifecycle benefits in the range of \$3-5 billion (variable by Future). Even though the lifecycle benefits would likely be slightly less than this for the Caltrain Enhanced Growth Scenario (due to slightly lower service levels than the 2040 Baseline Growth Scenario), it is likely that the lifecycle benefits would be greater than the lifecycle costs for the revised project, resulting in a BCR score that would exceed 1.0.

Ultimately, with the significantly lower capital costs and with large benefits still accruing due to substantial increases in Caltrain service on the corridor, we would strongly expect that the

Enhanced Growth Scenario's BCR score would exceed 1.0, thus addressing the BCR Evaluation's flagged performance issue.

Guiding Principles Evaluation

In the qualitative Guiding Principles Evaluation completed by MTC, all three of Caltrain's projects were flagged for two of the five Guiding Principles that were developed for MTC's Horizons process. The flags were received for "Diverse – does the project displace lower-income residents or divide communities (as a direct impact of project construction)?" and "Vibrant – does the project directly eliminate jobs?" It is our understanding that all three of the projects received these performance flags for these Guiding Principles because each of them included grade separation projects as part of their suite of capital investments on the corridor. In discussions with MTC staff, we learned that the assessment assumed that construction of the grade separation projects would result in direct displacement of at least 100 low income people and 100 jobs across the Caltrain corridor – thus resulting in the performance flags for Diverse and Vibrant Guiding Principles.

While the strategies to address these performance issues are discussed below, we would like to highlight several conceptual and methodological concerns about MTC's original assessment for the Guiding Principles. It is important to note that the vast majority of the grade separation projects that were included in the three previously submitted projects are not required by State or federal law, but have been self-identified as a high priority for many of the communities along the Caltrain corridor; in fact, many of the communities have made clear that these grade separation projects are essential to supporting greatly expanded rail service along the Caltrain corridor. It is our understanding that the many benefits of grade separation projects were largely not captured in MTC's modeling nor considered in the Guiding Principles Evaluation – and these benefits are the primary reason that many communities have prioritized these large capital projects, and thus why they were included in the long-range investment plans for the three projects. This includes benefits like improved travel times for surface transportation modes as well as rail travel, improved transit reliability, reduced congestion for vehicular traffic, reduced air pollutants and greenhouse gas emissions, improved pedestrian and bicycle connectivity, etc.

Uncaptured benefits aside, we would also suggest that it is too early in the planning process to make a conclusive assessment about any grade separation project's effects on low-income residents and jobs. It is possible that displacement of residents could occur with construction of these potential future grade separation projects, but at this point in time, the demographics of any potentially displaced residents are unknown. Similarly, it is difficult to assess these potential future projects' net impact on jobs, because while it is possible that some jobs may be displaced as a result of constructing grade separation projects, these large construction projects also bring many high quality jobs to local communities. Indeed, these potential displacement impacts on jobs and residents would be identified and efforts to address any issues would be included in the collaborative, extensive community planning process that each grade separation project undergoes on the corridor. For these reasons, it is difficult to make a final determination that grade separation projects would conclusively raise performance issues with the Diverse and Vibrant Guiding Principles as defined by MTC.

Because all three of Caltrain's previously submitted projects did receive these performance flags for Diverse and Vibrant Guiding Principles in MTC's evaluation, however, we believe it is important to propose strategies for addressing these performance concerns. First, the Enhanced Growth Scenario does not include any grade separation projects in its suite of capital investments. That said, grade separation projects are important to many of the communities

along the Caltrain corridor, and many cities are actively planning for grade separation projects in the coming decades; therefore, they remain part of Caltrain's Long-Term Service Vision. To that end, Caltrain is committed to supporting cities in community-based planning processes for each grade separation project along the corridor; this collaborative, extensive community planning process will be critical to ensuring the projects have minimal displacement impacts to both residents and jobs along the corridor, as well as to ensuring that the many benefits that result from these projects are maximized for the corridor's communities and the region.

Additionally, it is important to note that the Caltrain Board of Directors very recently adopted a Rail Corridor Use Policy and a Transit-Oriented Development Policy, providing the agency with high-level policy guidance that is supportive of additional development along the Caltrain corridor, especially affordable housing. In the planning processes for the Rail Corridor Use Policy and Transit-Oriented Development Policy, the Caltrain Board also recognized that there could be opportunities to integrate development projects directly into future grade separation projects, which is an option that the agency is committed to exploring through the capital planning processes for future projects. Ultimately, Caltrain is supportive of the future provision of additional development projects in its corridor communities, which could provide new physical space for residents and jobs and could help counter any potential future displacement impacts to jobs and low-income residents that could occur as a result of grade separation projects along the corridor. To that end, in addition to planning for individual grade separations, Caltrain is also planning to undertake a comprehensive, corridor-wide grade separation strategy. This comprehensive study has already been funded and will begin in 2020. This process will allow Caltrain to consider issues of development opportunities, displacement, and construction impacts from a deliberative, policy-based perspective on a corridor-wide basis.

In these ways, the Caltrain Enhanced Growth Scenario and the agency's other committed policy and planning process approaches address the performance concerns raised by MTC for "Diverse" and "Vibrant" Guiding Principles.

Equity Evaluation

In its Equity Evaluation for the project performance assessment, MTC rated projects as "advances," "even," or "challenges" for equity scores. Caltrain's three previously submitted projects all scored either "even" or "challenges" in each of the three Futures that were evaluated through the Horizons/Plan Bay Area 2050 process. We understand that projects that received a score of "challenges" equity were determined to have project benefits that skewed towards higher income individuals, while "even" equity scores were given to projects that were determined to have an even distribution of benefits to all income groups. In conversations with MTC staff, we understood that Caltrain's projects received "challenges" equity scores because the agency has generally higher fares, its ridership skews towards higher income demographic groups, and the geography of the railroad and the demographics of the Caltrain corridor communities mean that the benefits from Caltrain's three projects accrue in higher income communities.

Similar to the Guiding Principles Evaluation, before discussing proposed strategies to address the performance issues, we wish to highlight a concern with the project performance assessment approach that contributed to Caltrain's projects receiving equity performance concerns. We would question whether incorporating existing fare structures into the equity analysis process is a methodologically sound approach. Because Caltrain does not currently have a dedicated source of funding, the agency is highly dependent on the farebox to fund operations, and this fact has driven much of the Caltrain Board's decision-making regarding fares. Ultimately, for transit systems in the Bay Area, fares are a funding and revenue tool, and

introducing these into the equity analysis creates an inherent bias against certain types of systems and proposed projects. More specifically, it creates a bias against systems and projects that have been forced to address funding issues through fares today. Our concern is that many of the other proposed projects in the region that were included in the project performance assessment are too “new” and speculative to have worked through realistic funding plans, and the project performance assessment may have been overly and unwarrantedly optimistic about the assumed fares and related equity concerns for these other projects. In other words, our concern is that Caltrain projects may have received a flag for equity performance issues related to fares, while other proposed projects may not have received the same treatment, because they may not be in a similar current funding situation as Caltrain, or because they may not be far enough along in the planning process to have developed a realistic funding plan and identified the role of fares in funding future operations.

Even if fares were excluded from the project performance assessment for equity, however, all three of Caltrain’s previously submitted projects would have still received equity performance issues, and we believe it is important to propose strategies to address these concerns.

Beginning with actions that the agency is taking today to improve equity, Caltrain is working closely with three other transit operators and MTC to lead the region in actively addressing fare equity concerns by piloting a regional means-based fare program, Clipper START. Through this program, which will commence in spring 2020, Caltrain will be offering a 20 percent discount to eligible participants in the pilot program, and the intended effect from Caltrain’s participation is to make the railroad more accessible and affordable to lower income transit riders in the region. Additionally, Caltrain is actively participating along with other operators and MTC in the newly launched Regional Fare Coordination and Integration Study, which aims to identify strategies to increase transit ridership and create a more seamless user experience on the region’s transit systems. While the fare strategies and recommendations from this study are still forthcoming, Caltrain is fully committed to participating in the study and exploring implementation of improvements that would increase transit ridership and improve the user experience across the region.

Separately from those efforts, we are working on an equity analysis as part of the Caltrain Business Plan to look for additional opportunities to make the railroad more equitable and accessible to all our community members. While still underway, preliminary results from this equity analysis indicate that one leading strategy that would be very effective in attracting additional minority and low income passengers to Caltrain would be to change the current concentration of train service in the peak commute periods by offering more off-peak service. The Caltrain Enhanced Growth Scenario would accomplish this as soon as 2022 with a service plan that extends the length of the peak period windows, increases the number of trains operating in off-peak service windows, and increases the total number of trains running each day, resulting in a more equitable service than today. These service improvements would only be enhanced in the late 2020s, when the Enhanced Growth Scenario plans to grow to 8 trains per peak hour per direction, thus delivering even more equity improvements for the railroad.

Preliminary results from the equity analysis that is underway for the Business Plan also indicate that Caltrain’s low income and minority passengers are particularly likely to use transit to connect to and access the Caltrain system. Transit connections to other operators remain a challenge for the railroad today, due to its highly individualized service patterns in each direction and concentration of service in the peak period windows. Improving transit connectivity is another important opportunity to make Caltrain more accessible and attractive to low-income and minority passengers. As soon as 2022, the Enhanced Growth Scenario would accomplish this by creating a more standardized schedule for the trains with a repeating, clockface pattern

and symmetrical services in both the north-bound and south-bound directions. Not only will this more standardized schedule be more user-friendly, it will also allow for improved connections with the rest of the region's rail and transit network, including better bus integration throughout the whole system. On a related note, it is anticipated that with the Enhanced Growth Scenario in the Caltrain Business Plan, we will recommend focusing access improvements on non-auto modes at the stations, which are the modes of station access and egress that are more likely to be used by lower income passengers.

Lastly, as noted above, the Caltrain Board of Directors very recently adopted a Transit-Oriented Development Policy. This high-level policy document contains goals and strategies that support provision of affordable housing along the Caltrain corridor, including requiring Caltrain-led residential development projects to provide affordable housing on site. Per the adopted policy, residential development projects on the agency's property will be required to offer at least 30 percent of units on-site at below-market rents – one of the highest on-site requirements of any transit agency in the country. Caltrain is showing leadership on the equity front by requiring that in each project, at least 10 percent of units be targeted to households with incomes of no more than 50 percent of Area Median Income (AMI), at least 10 percent of units be targeted to households with incomes of no more than 80 percent of AMI, and at least 10 percent of the units be targeted to households with incomes of no more than 120 percent of AMI. The adopted policy also directs the agency to partner with developers to leverage other sources of affordable housing and to explore creative ways to utilize smaller opportunity sites along the Caltrain corridor for affordable housing. With this recently adopted policy, Caltrain is continuing to show leadership and commitment to equity by supporting the creation of more affordable communities along the Caltrain corridor.

In summary, Caltrain is endeavoring to create a more equitable transit system through a variety of programs, strategies, and policy approaches, as well as through the quality of its service in the Enhanced Growth Scenario project, ultimately addressing the underlying equity concerns that caused Caltrain's three projects to receive "performance flags."



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EXECUTIVE DIRECTOR

June 30, 2020

Scott Haggerty

Chair, Metropolitan Transportation Commission, and

Therese McMillan

Executive Director, Metropolitan Transportation Commission and Association of Bay Area Governments

Bay Area Metro Center

375 Beale Street, Suite 800

San Francisco, CA 94105-2066

Subject: Inclusion of the Caltrain Enhanced Growth Project and the Caltrain Downtown Rail Extension (DTX) Period 1 of Plan Bay Area 2050

Dear Chair Haggerty and Executive Director McMillan:

Caltrain is pleased that the Plan Bay Area 2050 (PBA 2050) process continues to advance toward final completion and adoption by the Metropolitan Transportation Commission (MTC). PBA 2050 will help ensure that the entire Bay Area has a future land use and transportation network that is equitably, environmentally, and economically sustainable. As a region, we can achieve this goal by continually encouraging travel to shift away from motor vehicles to transit. Passenger rail will continue to be the most effective mode of transit, moving the most people efficiently in the smallest amount of space.

I am writing to request that the Caltrain Enhanced Growth Project be included in Period 1 of PBA 2050, and to also express our support for including the Caltrain Downtown Rail Extension (DTX) in Period 1 of PBA 2050. Development of both projects as early as possible is consistent with Caltrain's 2040 Long Range Service Vision, the Transbay Joint Powers Authority's project schedule, and the California High Speed Rail Authority's (CHSRA) 2020 Draft Business Plan. These projects are essential to the development of a robust regional rail network in the Bay Area.

Request for Inclusion of the Caltrain Enhanced Growth Project in Period 1

As the seventh-largest commuter rail service in the United States, Caltrain is in the midst of the most significant change to transit that the Peninsula has ever experienced. The Peninsula Corridor Electrification Project (PCEP), currently underway, will drastically re-make transit service on the Peninsula and will facilitate a change from a peak-hour focused traditional

commuter rail service to an urban regional rail system with shorter headways, greater frequency, and more capacity. This new service will continue to attract riders, generating significant demand as forecasted through the Caltrain Business Plan development process.

Accommodating this forecasted demand will require additional capital investments that build on and leverage the foundational infrastructure created by PCEP, including the full electrification and expansion of the fleet as well as key upgrades to rail and systems infrastructure. These investments will facilitate tighter running of trains and more responsive service patterns to meet more markets, enabling Caltrain to serve a growing and broader cross-section of riders than have used the system in the past.

Therefore, **it is imperative that the Caltrain Enhanced Growth Project be included in Period 1 (2021-2035) of PBA 2050** for two primary reasons—both of which are directly related to growth in our services over the next decade.

Growing Ridership and Diversifying our Customer Base

Caltrain's ridership projections (developed as part of the Caltrain Business Plan process) show that the demand for rail service on the Peninsula will begin to push against the limits of our system by the end of the decade. The infrastructure improvements identified as part of the Caltrain Enhanced Growth Project will allow us to add capacity to the system, meet expanded service expectations, and expand frequent, transit-level service to more communities (including Communities of Concern) along the corridor.

This projection is further supported by Caltrain's upcoming Equity, Connectivity, Recovery and Growth Framework (to be presented to the JPB in draft on July 9). This policy document has been developed through the Business Plan process and will formally establish Caltrain's commitment to attract and accommodate new riders from underserved markets across the Peninsula. With improvements such as a revised timetable that promotes more seamless transfers between modes such as BART and bus, 50% discounts for low income riders through the Clipper START program, and improved access to Communities of Concern throughout the corridor, Caltrain is confident that our ridership will diversify and grow throughout the decade. The PCEP project will begin Caltrain's transformation to a true, regional rail service but the frequencies and capacity made possible through the Enhanced Growth Project will truly bring this level of transformative rail access and service to all communities on the Peninsula.

Value for Money Opportunity to Acquire More Electric Multiple Unit Vehicles (EMUs)

In addition to the imperative to grow ridership and expand our customer base, Caltrain has a time-sensitive option to purchase additional EMUs that will allow us to fulfill the service requirements described above. These new EMUs will be critical to reduce potential for crowding, facilitate more frequent and flexible service, and provide a clean, uniform 100% electrified fleet.

Notably, we understand that a key consideration for placement in Period 1 is funding availability. As recently noted, June 2020 polling across San Francisco, San Mateo, and Santa Clara Counties demonstrates that Caltrain's proposed 1/8 cent sales tax (Senate Bill 797) has a strong chance of voter approval in November 2020. This will provide Caltrain with its first-ever source of on-going revenue, independent of fares and annual contributions from our member counties. To maximize the effectiveness of the passage of SB797 as a more reliable source of funding (including potentially local match funds) for time-sensitive investments in the Peninsula's rail network, we reiterate that **it is critical that the Caltrain Enhanced Growth Project be included in Period 1 of Plan Bay Area 2050**, from 2021-2035.

Support for Inclusion of the Downtown Extension Project in Period 1

As noted in the Caltrain Business Plan and the 2018 California State Rail Plan, the DTX project is a critical missing link within the Bay Area's rail network. As a major Bay Area connector, DTX will fully realize Caltrain's investments in PCEP and the Enhanced Growth Project and will reinforce the region's prior commitments to the Salesforce Transit Center and BART/Muni corridor by delivering commuter and future high-speed rail service to downtown San Francisco from the Peninsula and Los Angeles, respectively. The DTX is also positioned to serve as the potential first leg of a new Transbay Rail Crossing to the East Bay.

Once DTX is completed, the Salesforce Transit Center will realize its fullest potential by bringing an impressive number of regional and state transit systems under one roof, linking Caltrain and high-speed rail with nine other transit operators: AC Transit, BART, Golden Gate Transit, SFMTA Muni, SamTrans, WestCAT Lynx, Amtrak, Greyhound, as well as local paratransit service. The project will close a major gap in the Bay Area's transportation system with accessibility benefits for up to 90,000 new and existing Caltrain and high-speed rail passengers in addition to new and existing bus riders by 2040. It will relieve gridlock on US101/I-80, one of the most congested corridors in the Bay Area, and anchor growth in one of the region's most robust and diverse Priority Development Areas, the Downtown SF/South of Market/Mission Bay area. Bringing rail to the Transit Center also leverages the region's prior investment in the Transit Center, maximizes its current investment in Caltrain's electrification, and is key to the long-term financial stability of the Transit Center, providing much needed relief to MTC and local transit operators who heavily subsidize transit center operations presently.

The Caltrain system stands to benefit tremendously from the completion of DTX, particularly when this investment is paired with the full electrification and expansion of fleet as proposed in the Caltrain Enhanced Growth Project. We thus believe it **is also critical that DTX be included in Period 1 of Plan Bay Area 2050**, from 2021-2035.

Scott Haggerty
Therese McMillan
June 30, 2020
Page 4 of 4

Thank you for your consideration of these requests. We look forward to collaborating to improve connectivity for current and future transit riders across the Bay Area region, Northern California mega-region, and throughout the state.

Sincerely,



Jim Hartnett
Executive Director



Memorandum

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JIM HARTNETT
EXECUTIVE DIRECTOR

Date: July 24, 2020
To: Board of Directors
From: Jim Hartnett, Executive Director
Subject: August 6, 2020 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through July 23:** The preliminary July 2020 OTP was 96.3 percent compared to 93.8 percent for July 2019.
 - **Trespasser Strikes –** There was one trespasser strike on July 17, resulting in a fatality.
 - **June:** The June 2020 OTP was 96.3 percent compared to 95 percent for June 2019.
 - **Trespasser Strikes –** There were three trespasser strikes on June 8, 11 and 12, all resulting in fatalities.
- **Clipper Start Launch –** As Caltrain ridership slowly climbs back from the steep decline caused by the coronavirus (COVID-19) pandemic, effective July 15, 2020 the new Clipper START program will allow adults age 19-64, who are lower-income, to receive fare discounts on select transit services around the region. Clipper START offers eligible Caltrain riders a 50 percent discount, which the agency recently increased following the economic fallout resulting from COVID-19.

Clipper START is an 18-month pilot program initiated by Bay Area transit agencies and the Metropolitan Transportation Commission (MTC) that uses the Clipper transit fare payment system to reduce the cost of transportation for adults whose household incomes are no more than twice the federal poverty level (for example, \$52,400 for a family of four). This can be an

important benefit, as transportation costs are a significant burden on many households, particularly during the current economic climate.

As Caltrain's recent COVID-19 rider survey data illustrates, affordable public transportation is vital to equitably supporting economic recovery for the region. The riders reportedly most dependent on Caltrain are those who are lower income, as well as some minority groups. These are the same communities who plan to continue riding Caltrain just as frequently as they were prior to COVID-19, if not more, amplifying the urgent need for low-cost transportation services.

- **Public Meeting and Public Hearing on Closure of Atherton Station –** Caltrain will hold a virtual public meeting on the proposed closure of the Atherton Caltrain Station on Wednesday, July 29 at 5:30 p.m. A virtual public hearing will follow at the Board of Director's meeting on August 6 at 9:00 a.m.

Prior to the coronavirus (COVID-19) pandemic, the Atherton Caltrain Station only received limited weekend-only service every 90 minutes with an average of 114 passengers per weekend day. Weekday service to the station was cut in 2005 due to low demand.

The center boarding configuration of the station limits operations as trains traveling in the other direction are required to wait while the train at the station is boarding. If the station remains, an upgrade of substantial cost would be necessary to prevent disruption of the expanded service that will come with the electrification of the corridor.

The closure of the station would also allow Caltrain to reallocate service to nearby stations, allowing for a more efficient service for riders, and would reduce the agency's maintenance costs.

In January of this year, the Town of Atherton tentatively endorsed the closure of Atherton station subject to an Agreement on a Memorandum of Understanding (MOU) between the two parties. The station's closure would result in reduced noise and increased safety for Atherton residents. Atherton is in the process of redeveloping its Civic Center and closing the station would free up additional property for that project.

- **CAC Meeting –** The Citizens Advisory Committee met on Wednesday, July 15 via teleconference. Sebastian Petty, Deputy Chief – Caltrain Planning, provided a presentation on the COVID-19 Recovery Planning: Equity Assessment Update. Christiane Kwok, Manager – Fare Program Operations, provided presentations on the TVM Upgrade Project, Caltrain

Mobile and Daily Parking App and Caltrain Parking Integration. Hubert Chan, Project Manager – Capital Program Delivery, provided a presentation on the Clipper CIDs Relocations & Additions Project. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, August 19, via teleconference or in San Carlos.

- **BAC Meeting** – The Bicycle Advisory Committee meeting scheduled for Thursday, July 16 was cancelled. The next BAC meeting is scheduled for Thursday, September 17, 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 Scheduled:

- **Giants Baseball** – Due to the COVID-19 pandemic and efforts to prevent the spread of COVID-19, the MLB has delayed the start of the 2020 regular season and unveiled the 60-game schedule which kicks off in July 2020. In coordination with the Giants, there will be limited staff and no fans in the stands for 2020 MLB Season at Oracle Park. Therefore, Caltrain will not provide Giants Baseball service for the 2020 season.
- **49ers Football** – Due to the COVID-19 pandemic, effective July 21 the four weeks of preseason games have been cancelled. In coordination with the 49ers, limited fans in the stands at Levi's Stadium for the regular season is still to be determined.
- **Stanford Football** – Due to the COVID-19 pandemic, on July 10 the Pac-12 CEO Group announced that the fall season for several Pac-12 sports, including football, would schedule Conference-only games, and that it is delaying the start of mandatory athletic activities, until a series of health and safety indicators, which have recently trended in a negative direction, provided sufficient positive data to enable a move to a second phase of return-to-play activities. The decision will result in the start dates for the impacted sports being delayed. The Conference plans to announce schedules for these fall sports by July 31.
- **Bay to Breakers** – Due to the COVID-19 pandemic, the rescheduled 2020 Bay to Breaker Race has been moved to a virtual event from September 20 to October 2, 2020.

- **Labor Day** – On Monday, September 7, Caltrain will operate a Sunday Schedule in observation of the Labor Day Holiday. The Tamien-San Jose Shuttle will also operate that day.

- **Capital Projects –**

The Capital Projects information is current as of July 17, 2020 and is subject to change between July 17 and August 6, 2020 (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 until Fall of 2020 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 will be provided to minimize the temporary passenger inconvenience. On May 28, trains began single track operations on the elevated MT2 southbound track. On July 10, the elevated MT1 northbound track was completed and track operations in both directions are now being conducted on the elevated tracks.

In July, MSE Wall A at the north end of the project was completed. Trackwork and signals for the new elevated MT1 northbound track and was completed. Railroad signals and crossing arm gates were removed at the 25th Avenue following the cutover of the new elevated MT1 track. Construction of Overhead Contact System (OCS) pole foundations for the Electrification program was to be completed by month's end. Electrical work for the new station platform decks were in progress. Concrete work for station ramps and stairs, and, the Electrical/Communications Room continued. At 28th and 31st Avenues, excavation on the east side for the future underpasses and construction of retaining walls were in progress. By month's end, construction is to begin for the new parking lots that are located on the east side of the alignment.

The original San Mateo Parking Track (i.e., Bay Meadows Set-Out track) was removed to support the construction of the grade separation. On February 18, 2020, the San Mateo City Council selected the location for the replacement parking track to be from 10th to 14th Avenues. An online

survey was issued on March 5 to gather community preferences for various types of enhancements and treatments in lieu of chain link fencing on the east side of Railroad Avenue. Due to COVID-19 restrictions, community open houses that were originally scheduled for April 7 and April 28 to show survey results, display visual renderings and obtain feedback on proposed enhancements for selection to proceed to final design were instead available online. Submission of survey feedback was extended to April 15. The survey results for community preferences for treatments and enhancements is complete. Draft design drawings and renderings for the proposed masonry block sound wall with creeping fig vegetation were posted online for viewing on May 21 and community feedback was solicited for input by June 19. A virtual community meeting was held on July 13 to discuss community feedback to the draft designs. Development of final designs for the new parking track and appurtenances is in progress and will be publicly presented for community viewing. The work will be phased in various stages from late 2020 for the track switch installation, and, 2021 for construction of the access road, sound wall, and vegetation.

Adjunct 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 construction contract was advertised for bids on June 12 and a pre-bid meeting was held on June 23. The receipt of bids is pending.

- **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 July, construction of the west plaza at the intersection of Airport Boulevard and Grand Avenue, and the connecting west ramps and stairway continued. Also, the construction of the center platform and the Storm drain work in this area are in progress. Construction of Ramp 2, Stair 2 and Ramp 3 (West Side of the station) is estimated to complete in August 2020. Preparations for the new realigned southbound MT2 trackway continued, which will accommodate underpass construction and cutover to the centerboard platform. Due to the contractor caused delays, the project completion date is projected to extend from November 2020 until March 2021.

- **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 a partial weekend service outage in which a bus bridge will be provided to shuttle patrons between Bayshore and 4th & King Stations during the outage. The project will install security fencing to deter encampments, and, also include track improvements in the vicinity of the bridges.

The contract was advertised for bids on March 13, 2020. Four bids were received on April 28, 2020. The award of the construction contract was approved by the Board to Proven Management on July 9, 2020. The execution of the contract is underway which will be followed by the Limited Notice to Proceed which is expected in August. Construction is planned to occur from summer of 2020 to summer of 2021.

- **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.

Field work resumed in June, following COVID-19 related work suspension, and the upgrading to new credit card readers was completed at the final remaining 8 stations. This first phase of the project to develop a prototype Clipper TVM is progressing towards completion for acceptance testing. Full funding for the option for retrofitting 12 additional TVM's has now been secured and the option has been executed. There is an additional phase for the rehabilitation of 22 TVM's that was approved in the FY20 Capital Budget.

- **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. Construction will take place from summer 2020 until spring of 2021.

- **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 100% final design was completed and preparations for the Issue For Bid contract documents are underway. Advertisement of the construction contract is planned for the Fall of 2020 with construction beginning 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 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. Design is currently on hold until the City of Palo Alto decides on the scope in order to proceed forward with the project.

- **Broadband Wireless Communications for Railroad Operations:** 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 is currently continuing the planning/conceptual design phase that began in November 2019. The current schedule calls for the planning/conceptual design efforts to complete by the October/November 2020.

- **F-40 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of three F40PH2C 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 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 work will be completed off-site at contractor's (Motive Power) facility location at Boise, Idaho. The three locomotives are Locomotive #'s 920, 921 and 922.

Locomotives #'s 920 and 921 were shipped to the vendor's facility in Idaho in February and March of 2018, and, #922 was shipped in April 2019. Locomotive 920 and 921 have been returned to service. Locomotive #922 has been returned in May to CEMOF in San Jose and underwent acceptance testing. The last locomotive #922 has completed acceptance tests and has been returned to service. The contract is now complete. This is the final report for this project.

- **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 has been shipped to the vendor's facility at Mare Island (Vallejo) to commence overhauling with completion expected by the winter of 2020/2021.



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



June 2020 Monthly Progress Report

June 30, 2020

Funding Partners



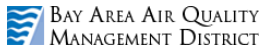
Federal Transit Administration (FTA) Core Capacity
FTA Section 5307 (Environmental / Pre Development only)
FTA Section 5307 (Electric Multiple Unit (EMU) only)



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



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 2021, 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.

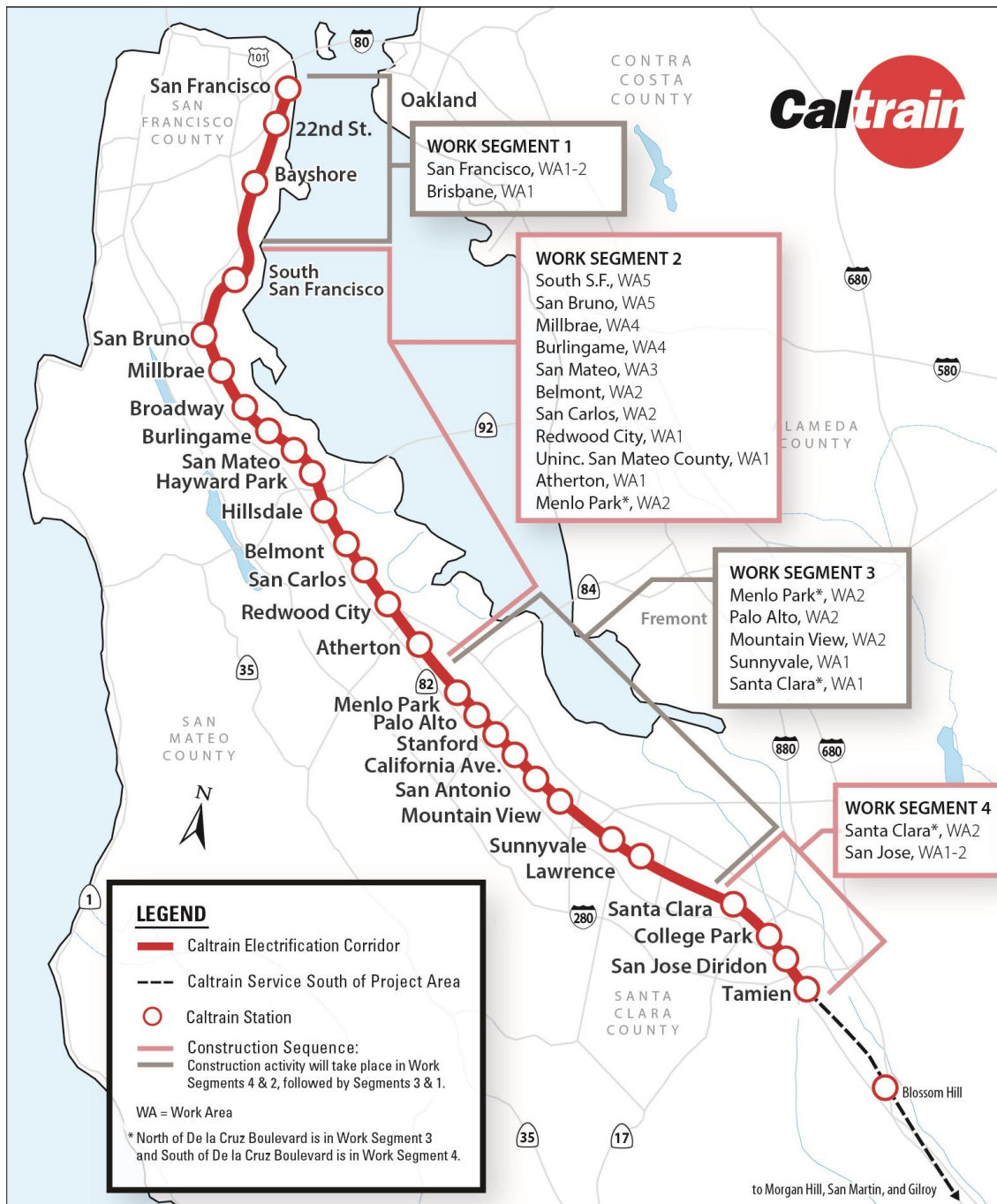
An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

- **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



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One-hundred five Overhead Catenary System (OCS) foundations were installed in June, and poles, cantilevers, and wires were installed in Segment 3. A wayside power cubicle was set in Segment 4. Signal cases were installed at two control points, and usual construction activities occurred including potholing, signal cable relocation, ductbank and manhole installation, site work and utility removal, and OCS design progress.

EMU manufacturing in Salt Lake City (SLC), Utah is realizing delays due to Coronavirus Disease 2019 (COVID-19) as well as parts shortages resulting from manufacturer shutdowns, though the Switzerland-based manufacturing of car shells and truck frames is on schedule. An additional employee has been added to the SLC facility to witness tests performed on all cars, and a test engineer will witness proof of design tests in SLC as well as Pueblo, Colorado.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

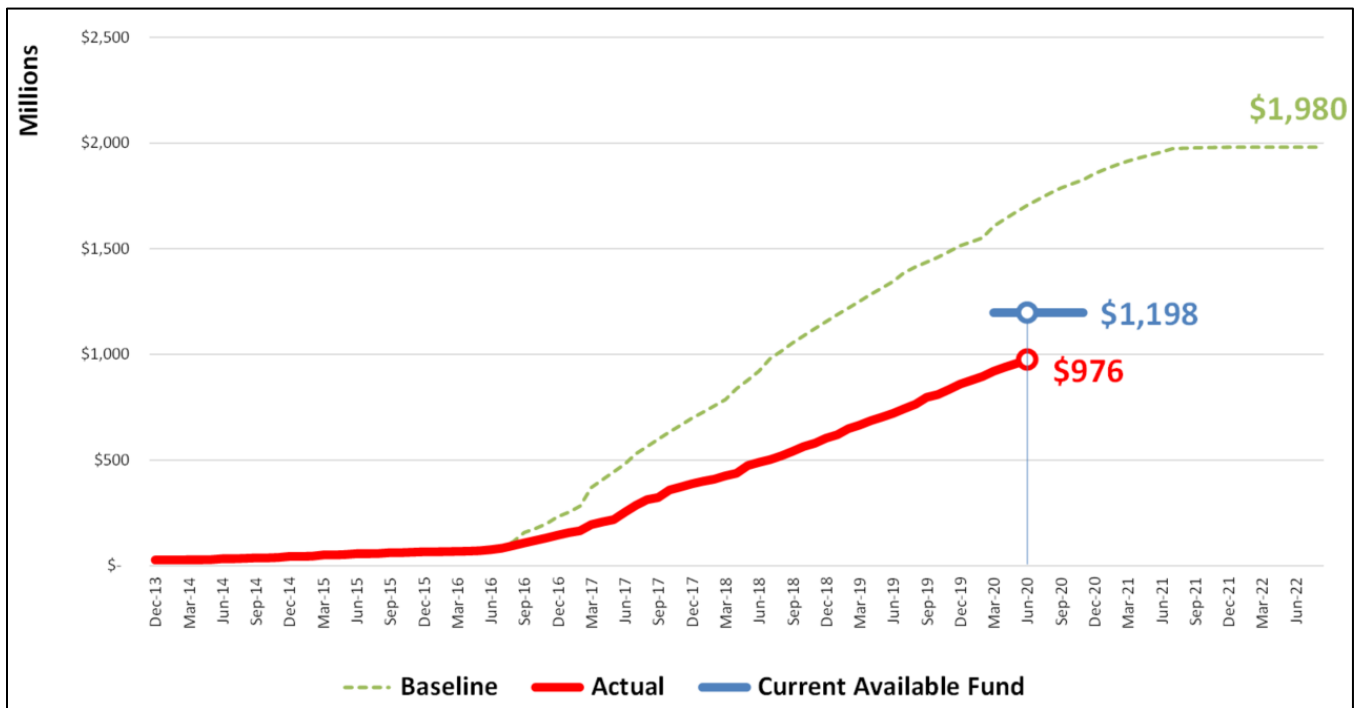


Figure 2-3 Spending Rate vs. Required

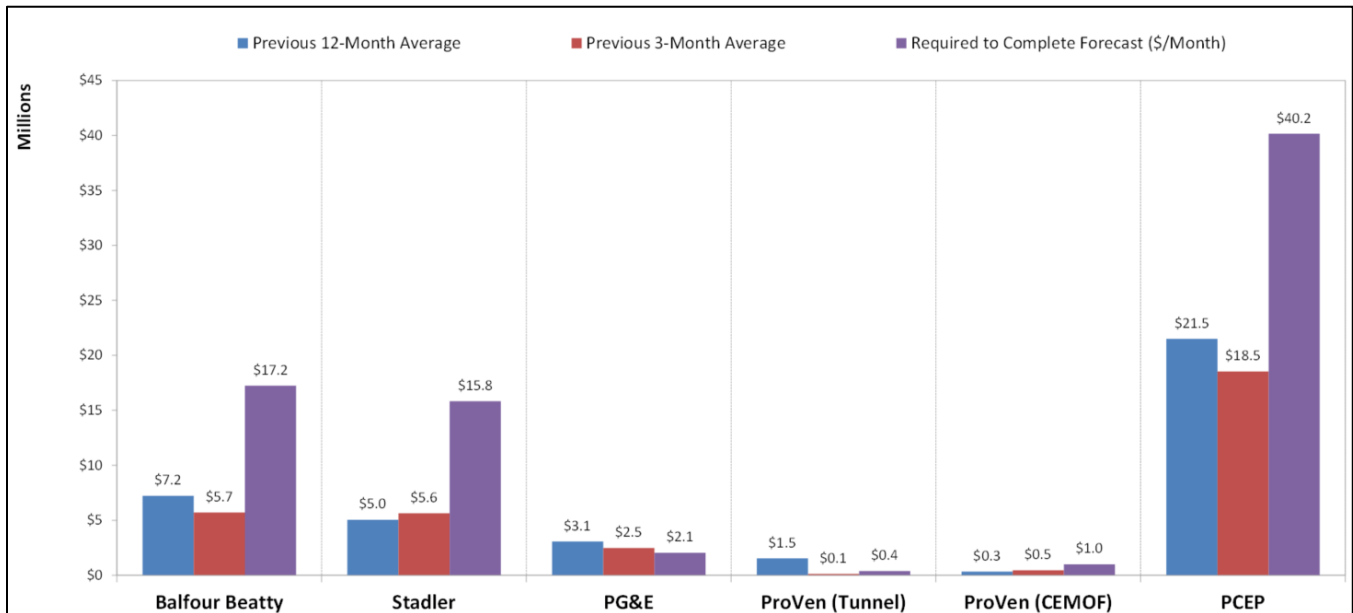
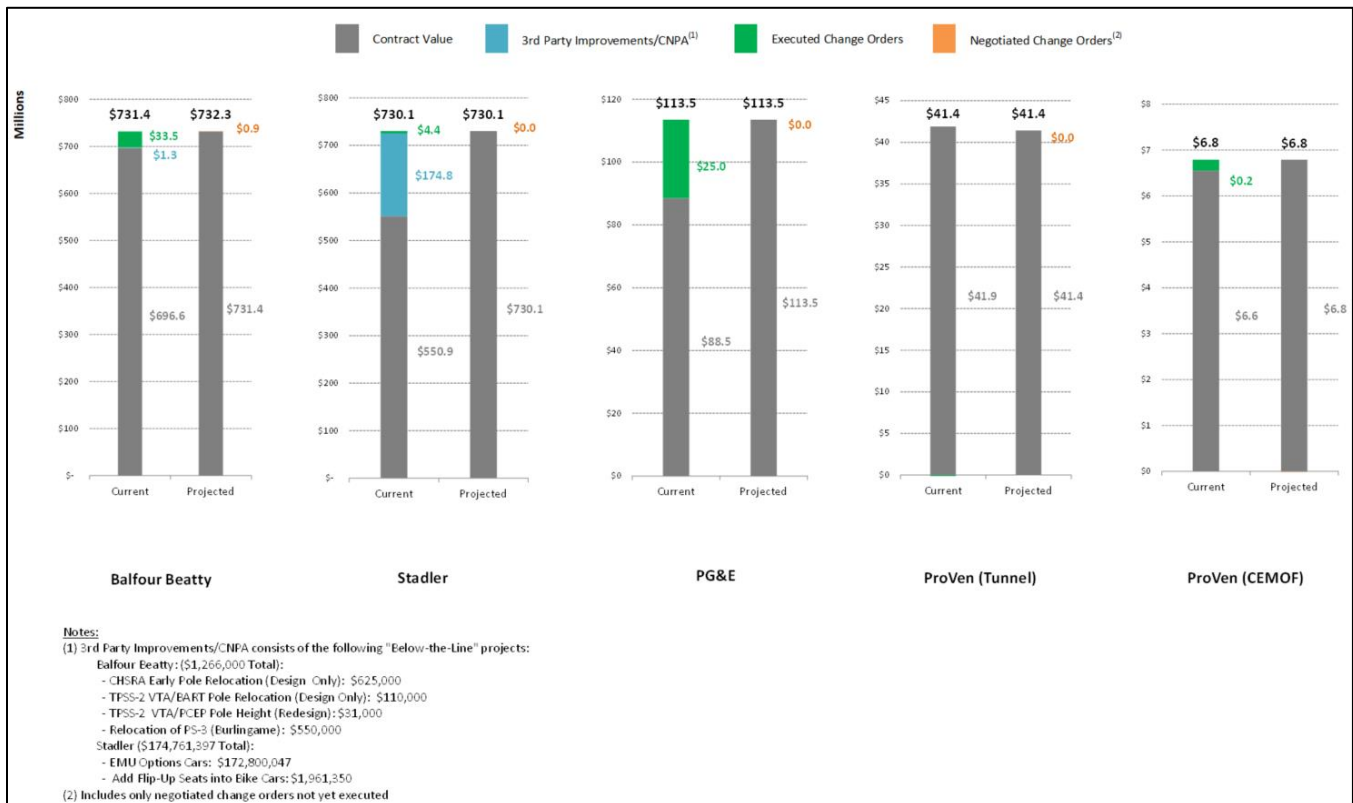


Figure 2-4 Construction Contract Budgets



Peninsula Corridor Electrification Project

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Figure 2-5 OCS Foundation Production

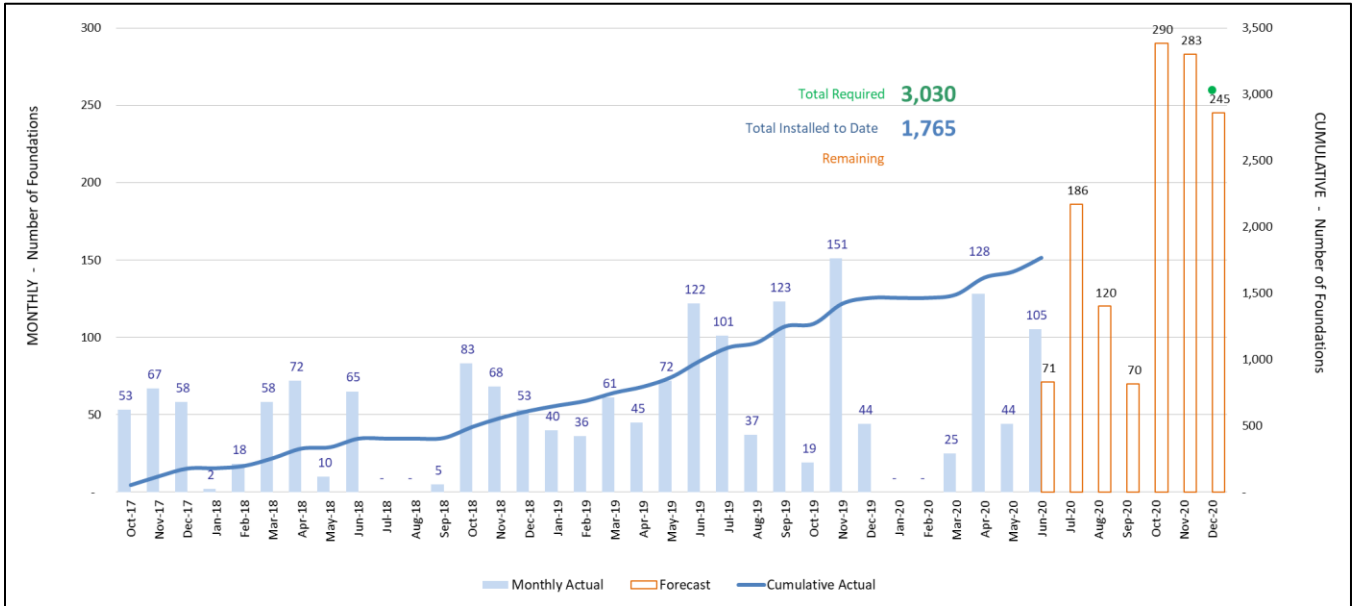
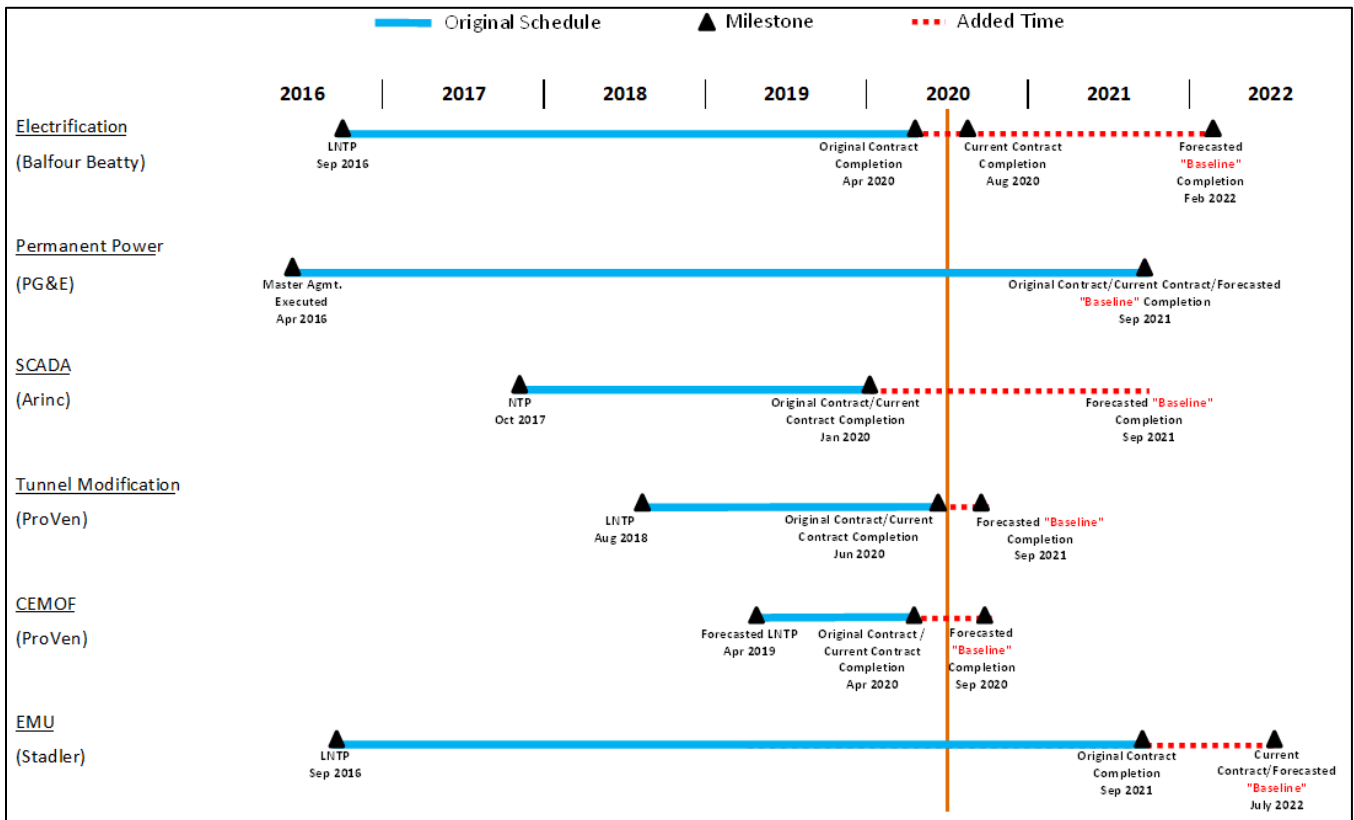


Figure 2-6 Contractor Completion Schedule



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 status of long-lead material procurement
- 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)

Signal Meeting

Funding Partners: None

- Discussion of design, installation and testing of the signal and communication modifications to the Caltrain system
- Discussion of outstanding comments and responses to comments on signal and communication design packages
- Review of schedule for signal and communication cutover plans
- Discuss and resolve RFIs

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: VTA: Edwin Castillo; SFCTA: Luis Zurinaga

The Federal Transit Administration (FTA) Quarterly Update will occur virtually on July 28. Two contract amendments were approved by the JPB Board on June 4 and are being processed for final review and signatures. In EMU design and manufacturing, Trainset 1 is back on the Salt Lake City (SLC) track with five out of eight propulsion units operational. Trainset shipment to Pueblo is now scheduled for late November 2020 and the first trainset delivery to Caltrain is now scheduled for the second week in April. The Alternate Vehicle Technology (AVT) waiver has been approved by the Federal Railroad Administration (FRA), and the next SLC-based design review with the FRA is scheduled for July 8 and 9. At the Centralized Equipment Maintenance and Operational Facility (CEMOF), pit work continues and the delivery of the prefabricated warehouse structure is expected in early July. Sawcutting will begin at CEMOF and will follow with potholing. In Design-Build activities, there are approximately 50-60 remaining foundations to be installed in Segment 3 and approximately 111 foundations will be ready in Segment 4 by July 6. The remaining work for the Tunnel Modification Project includes installation of signage inside the tunnel.

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: None

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, PTC and Caltrain Capital Project managers responsible for delivery of the 25th Avenue Grade Separation Project, Marin Napoleon Bridge Rehabilitation Project, and the South

San Francisco Station Project 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. Progress on activities including systems integration testing activities, FRA, FTA and safety certification are being tracked. 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. 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

The program critical path continues to run through the manufacturing and testing of EMU trainsets. In May 2020, the program schedule was updated to reflect COVID-19 impacts on the Stadler vehicle schedule. This change resulted in a drawdown of 77 days of contingency. The effect of COVID-19 on Stadler is evolving and will continue to be monitored.

As the COVID-19 pandemic is a force majeure event, the JPB is reviewing its Full Funding Grant Agreement (FFGA) RSD obligation.

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

Funding Partners: SFCTA: Luis Zurinaga; MTC: Trish Stoops

A Risk Assessment Committee Meeting was held on June 24. Two risks were retired, one risk was regraded, and two new risks were assigned to the Watch List.

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 June 17.

Funding Partners: CHSRA: Boris Lipkin and Simon Whitehorn; VTA: Krishna Davey and Edwin Castillo; SFCTA: Luis Zurinaga; SMCTA: Joe Hurley; MTC: Kenneth Folan and Trish Stoops; FTA: Mike Eidlin

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

One change was approved.

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

No changes were identified for consideration.

2.3. Schedule

The program critical path continues to run through the manufacturing and testing of EMU trainsets. In May 2020, the program schedule was updated to reflect COVID-19 impacts on the Stadler vehicle schedule. This change resulted in a drawdown of 77 days of contingency. The effect of COVID-19 on Stadler is evolving and will continue to be monitored.

As the COVID-19 pandemic is a force majeure event, the JPB is reviewing its Full Funding Grant Agreement (FFGA) RSD obligation.

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (June 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	11/20/2020 ²
Arrival of First Vehicle at JPB (after Pueblo Testing)	N/A	04/02/2021 ²
Segment 4 Completion	11/21/2019	03/25/2021
o Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/10/2020
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	02/26/2022 ²
Start Phased Revenue Service	N/A	02/27/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	07/22/2022 ²
FFGA RSD (w/ Risk Contingency)	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. See "Notable Variances" in Section 7 for explanation on date shift.

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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) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$14,086,559	\$749,183,989	\$566,941,219	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$6,062,474	\$227,278,112	\$436,849,212	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$20,149,033	\$976,462,102	\$1,003,790,431	\$1,980,252,533

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

- Amendment to on-call electrification support services contract and on-call program management support services

Future anticipated board actions include:

- Shunt wire construction

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

- Continued to install on-track and off-track foundations in Segment 3.
- Continued installation of OCS poles, cantilevers, and wires in Segment 3 following the foundations.
- Potholed at proposed OCS locations and utility locations in all Segments in advance of foundation installation. BBII 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 to install ductbank and manholes, drainage, and form and rebar work at TPS-1. Completed drainage work along blast wall in coordinate with the SSF Station project.
- Continued site work and utility removal at PS-5.
- Begin fence and site work at PS-2.
- Continued to install signal ductbank, conduits, and cables in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segment 4.
- Performed cable termination at CP Michael, De la Cruz, CP Coast, and CP Delmas.
- Set Wayside Power Cubicle (WPC) at MP 47.17.
- Installed signal cases at CP Coast and CP De la Cruz.
- Continued drilling of rails for impedance bond connections in Segments 1, 2, 3 and 4 at various control points and crossings.
- Continued installation of insulated joints (IJs) in Segment 3.
- Performed switch isolation in Segment 1.
- Install overhead bridge attachments at various locations in Segment 2 and 3.

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- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Discussed and planned advanced off-track OCS foundation installation in Segment 1 using 95% design. Tentative plan is to perform that work in July pending availability of right of way acquisition and completion of potholing.
- Continued coordination with the City of Burlingame and the Broadway Grade Separation Project on right of way needs in order to construct PS-3.
- 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 discussions with FRA and CPUC on grade crossing design.
- Continued planning for signal cutovers in Segment 4.
- Continued to progress the TPS interconnection design for TPS-1 and TPS-2. Received Issued for Construction Design (IFC) for TPS-2 and continued to progress TPS-1 interconnection design towards IFC.
- Continued to work with PG&E on packaging and bidding of interconnection construction. That work will now be performed by PG&E as a part of the Supplemental Agreements.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued data conversion and model validation for the single phase study.
- PG&E continued work at East Grand and FMC substations.

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 ^{abc}	Completed this Month	Completed to Date	Required ^{ab}	Completed this Month	Completed to Date
1	Tunnels	32	0	32	32	0	32
	A	309	0	0	259	0	0
	B	237	0	0	177	0	0
2	5	244	0	184	209	0	160
	4	314	0	239	254	0	190
	3	174	0	63	141	0	36
	2	247	0	78	205	0	60
	1	207	0	79	154	0	33
3	2	510	100	482	441	59	196
	1	391	5	365	310	3	233
4	A	241	0	156	177	0	107
	B	128	0	87	123	0	70
	CEMOF	96	0	0	81	0	0
Total		3,130	105	1,765	2,563	62	1117

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, Latest major change due to the release of the final Design drawings for S4, which eliminated 11EA foundations along this segment
- ^{c.} 36 foundations in S2WA5 will be installed by South San Francisco and 64 foundations in S2WA3 will be installed by 25th Avenue.

Activity Next Month

- Continue foundation installation in Segment 3, both on-track and off-track and mobilize into Segment 4 to start work on remaining Segment 4 foundations.
- Continue resolution of DSCs.
- 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 in Segments 3 and 4.
- 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. Potholing will concentrate in Segments 3 and 4, as well areas of potential ROW needs in Segments 1 and 2.
- Continue construction at TPS-1.
- Continue construction at PS-7, PS-5, PS-4, PS-6, PS-2, and the Switching Station.
- Complete coordination with the City of Burlingame and Broadway Grade Separation project on footprint of PS-3 and restart design.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in Segment 4 and Segment 2.

- Continue to install impedance bond connections.
- Continue to install IJs.
- 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.

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 formal schedule for review and Monthly Progress Report.
- Continued progress on SCADA Operations User Manual.
- Continued progress on Pre FAT – including review of discrepancies by JPB.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Support ongoing discussions concerning RFIs.
- Complete Installation and Cutover Plan
- Complete Operations User Manual.
- Complete Training Manual.
- Start Training Plan.

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

- Continued review of and prepared responses for submittals and RFIs.
- Completed Installation of fencing at Tunnels 1 through 4 and right of way fence signage.
- Completed Conductor Rail installation.
- Feeder installation completed.
- Completed installation of Post insulator.
- Terminated feeder wire, contact wire, and conductor rail.
- Completed spare parts delivery.

Activity Next Month

- Review and respond to letters.
- Install signage inside all tunnels.
- Prepare OCS testing plan.
- 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

- Review and respond to submittals.
- Review RFP for TPS-2.
- Review Change Orders.
- Pre-Bid Walk for TPS-1.

Activity Next Month

- Continue reviewing and responding to submittals.
- Coordinate ROW acquisition for TPS-1
- Review Change Orders and issue a deductive change order for the long lead materials.

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 fourth month causing mixed disruptions to Stadler's activities:
 - Stadler's three manufacturing facilities (two in Switzerland and one in Salt Lake City) supporting the Caltrain Project have returned to near normal levels of activity.
 - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
 - Salt Lake City-based manufacturing is delayed due to previously incurred 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 3 months to November 2020, and the first trainset to be delivered to Caltrain delayed 6 weeks to the end of April 2021.
 - Salt Lake City-based 'Type Testing' of Trainset No. 1 continues to be on hold since key Stadler and sub-supplier personnel cannot travel to the United States. The current delay in testing is estimated at one day for each day of COVID-19 travel restrictions.
 - Stadler has material for about three trainsets, but the disrupted supply chain will likely create shortages and production delays.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'Car Control.' Completion is scheduled for mid-2020 and must be performed prior to the commencement of Type Testing.
- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 43 car shells have been shipped from Stadler – Switzerland, with 34 onsite in Stadler's Salt Lake City facility.
- 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.

- PCEP added additional representation at Stadler's Salt Lake City Facility. A full-time witnesser of routine tests that are performed on all cars, and a test engineer who will witness exhaustive Proof of Design Tests performed in Salt Lake City and then in Pueblo, Colorado.
- PCEP, FRA and Caltrain Management meeting in Salt Lake City postponed to July 8 and 9.

Activity Next Month

- Continue to close out system level FDRs and FAIs.
- Re-baseline Stadler trainset delivery and testing schedule on Caltrain property.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities

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

- Continued processing submittals, RFIs, and SSWPs.
- Completed installation of conduit and wire inside the maintenance building near Track 5.
- Started shoring for the catch basins at the maintenance pit and installed catch basins at the north pit.
- Completed installation of storm drain line including the 22-inch sleeve and pipe.
- Parts Storage Warehouse building steel was delivered
- Proven continued working on design for the boosted water line
- Removal of the Class II soil, ballast and Sub-ballast from the Track 5 area
- Worked on various Change Order work
- Demolished the existing transition slab at the north pit
- Demolished the existing pit wall and footing

Activity Next Month

- Start erection of the Parts Storage Warehouse Building.
- Design of the shoring for the shallow fire sprinkler line.
- Begin partial excavation of the South Pit.
- Start backfill/infill of slope for boosted water line on Time and Material.
- Continue off-haul of Class II soil, ballast, and bub-ballast.
- Install the industrial waste line at the north pit.
- Compact the base rock at the north pit.
- Waterproof the pit footing.
- Install the trench drain at the north pit.

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.
- Continued the reviews with the contractor of the updated project Preliminary Hazard Analysis (PHA), Threat & Vulnerability Assessment (TVA), Safety & Security Certification Plan (SSCP), and System Safety Plan (SSP).
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Performed reviews and provided comments on the BBII Safety and Security Certification Design Criteria Conformance Checklists (DCCC) submittals.
- 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.

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 focus on performing site safety inspections on the OCS foundations, pole installations, potholing, Tunnel, and CEMOF work to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.

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- Continue to meet with the PCEP contractors, JPB safety, and TransitAmerica Services, Inc. (TASI) to identify opportunities to further improve project safety performance and continue to reinforce lessons learned safety mitigation recommendations resulting from prior project incidents.
- Reinforce the ongoing application of recommended mitigation measures in response to the evolving COVID-19 virus.
- Provide project safety and security updates at the FTA 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.
- Completed quality systems audit of CEMOF with eight findings.
- Completed two BBII/Wong design audits of traction power facilities and OCS material allocations. No findings.

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

Table 6-1 Quality Assurance Audit Summary

Quality Assurance Activity	This Reporting Period	Total to Date
Audits Conducted	3	119
Audit Findings		
Audit Findings Issued	8	76
Audit Findings Open	8	8
Audit Findings Closed	0	68
Non-Conformances		
Non-Conformances Issued	0	10
Non-Conformances Open	0	1
Non-Conformances Closed	0	9

Activity Next Month

- Conduct field surveillances at TPS-1.
- Conduct audit of BBII second shift field activities – OCS installations poles wires and appurtenances.
- Conduct BBII audit of the repair of OCS foundation at 43.9-04.

7.0 SCHEDULE

The program critical path continues to run through the manufacturing and testing of EMU trainsets. In May 2020, the program schedule was updated to reflect COVID-19 impacts on the Stadler vehicle schedule. This change resulted in a drawdown of 77 days of contingency. The effect of COVID-19 on Stadler is evolving and will continue to be monitored.

As the COVID-19 pandemic is a force majeure event, the JPB is reviewing its Full Funding Grant Agreement (FFGA) RSD obligation.

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

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (June 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	11/20/2020 ²
Arrival of First Vehicle at JPB (after Pueblo testing)	N/A	04/02/2021 ²
Segment 4 Completion	11/21/2019	03/25/2021
o Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/10/2020
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	02/26/2022 ²
Start Phased Revenue Service	N/A	02/27/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	07/22/2022 ²
FFGA RSD (w/ Risk Contingency)	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. See "Notable Variances" for explanation on date shift.

Notable Variances

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution. Within the month of June, the variances relative to the BBII schedule are due to signal design progressing slower than the progress assumed in the baseline schedule, slow progress on Traction Power Facilities design and construction, and slow progress on OCS foundation design resolution and installation.

Table 7-2 Critical Path Summary

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	07/22/2022
RSD w/out Risk Contingency	05/06/2022	07/22/2022
FFGA RSD w/ Risk Contingency	08/22/2022	08/22/2022

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 the potential to require a program to utilize available contingency. Table 7-3 below reflects the SHPs for the PCEP 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 st Trainset in Salt Lake City	02/04/2019 (A)
Arrival of 1 st Trainset in Pueblo, CO	11/20/2020
Arrival of 1 st Trainset at JPB	04/02/2021
Segment 4 Completion	03/25/2021
Conditional Acceptance of 1 st Trainset	12/03/2021
System Electrified	02/26/2022
Begin Phased Revenue Service	02/27/2022
Conditional Acceptance of 14th Trainset	07/22/2022
FFGA RSD w/ Risk Contingency	08/22/2022

Note: “(A)” denotes an actual completion

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) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁴⁾	\$696,610,558	\$730,064,572	\$7,163,692	\$402,433,675	\$327,630,897	\$730,064,572
SCADA	\$0	\$3,446,917	\$0	\$1,934,371	\$1,512,546	\$3,446,917
Tunnel Modifications	\$11,029,649	\$41,408,610	(\$0)	\$41,023,975	\$384,635	\$41,408,610
Real Estate	\$28,503,369	\$28,503,369	\$124,382	\$21,339,161	\$7,164,208	\$28,503,369
Private Utilities	\$63,515,298	\$117,669,634	\$3,227,475	\$88,926,976	\$28,742,659	\$117,669,634
Management Oversight ⁽⁵⁾	\$141,506,257	\$151,240,335	\$2,052,131	\$141,316,706	\$9,923,629	\$151,240,335
Executive Management	\$7,452,866	\$9,214,226	\$94,313	\$8,433,239	\$780,987	\$9,214,226
Planning	\$7,281,997	\$6,281,997	\$6,957	\$5,818,999	\$462,998	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$3,032	\$1,579,600	\$210,063	\$1,789,663
Safety & Security	\$2,421,783	\$3,691,387	\$110,815	\$3,531,869	\$159,518	\$3,691,387
Project Management Services	\$19,807,994	\$17,526,725	\$164,211	\$13,122,229	\$4,404,496	\$17,526,725
Engineering & Construction	\$11,805,793	\$12,372,460	\$278,315	\$10,959,804	\$1,412,657	\$12,372,460
Electrification Eng & Mgmt	\$50,461,707	\$50,461,707	\$663,083	\$49,125,670	\$1,336,037	\$50,461,707
Construction Management	\$0	\$4,499,776	\$463,557	\$4,686,163	(\$186,386)	\$4,499,776
IT Support	\$312,080	\$407,170	\$0	\$407,170	\$0	\$407,170
Operations Support	\$1,445,867	\$2,758,632	\$17,260	\$2,719,412	\$39,220	\$2,758,632
General Support	\$4,166,577	\$5,566,577	\$76,422	\$5,707,967	(\$141,390)	\$5,566,577
Budget / Grants / Finance	\$1,229,345	\$1,429,345	\$1,321	\$1,354,747	\$74,598	\$1,429,345
Legal	\$2,445,646	\$4,755,731	\$24,815	\$4,641,357	\$114,374	\$4,755,731
Other Direct Costs	\$5,177,060	\$5,777,060	\$148,030	\$4,520,602	\$1,256,457	\$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	\$57,475,084	\$1,418,639	\$42,001,065	\$15,474,019	\$57,475,084
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,754,390	\$0	\$756,777	\$13,997,614	\$14,754,390
Required Projects	\$17,337,378	\$14,253,335	\$0	\$917,539	\$13,335,796	\$14,253,335
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$100,240	\$3,990,156	\$2,147,000	\$6,137,156
Contingency	\$276,970,649	\$145,606,409	N/A	N/A	\$71,772,415	\$71,772,415
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$73,833,994	\$73,833,994
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$14,086,559	\$749,183,989	\$566,941,219	\$1,316,125,208

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.
5. The agency labor is actual through May 2020 and accrued for June 2020.

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Table 8-2 EMU Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$555,292,618	\$4,753,440	\$175,458,442	\$379,834,176	\$555,292,618
CEMOF Modifications	\$1,344,000	\$6,791,052	\$521,571	\$3,831,503	\$2,959,549	\$6,791,052
Management Oversight ⁽⁴⁾	\$64,139,103	\$61,461,226	\$701,097	\$44,780,713	\$16,680,513	\$61,461,226
Executive Management	\$5,022,302	\$6,263,136	\$66,841	\$5,217,102	\$1,046,034	\$6,263,136
Community Relations	\$1,685,614	\$985,614	\$1,858	\$655,506	\$330,108	\$985,614
Safety & Security	\$556,067	\$765,296	\$19,262	\$582,928	\$182,368	\$765,296
Project Mgmt Services	\$13,275,280	\$11,275,280	\$102,051	\$8,476,164	\$2,799,116	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,817	\$65,296	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$301,950	\$20,680,836	\$9,300,177	\$29,981,014
Construction Management	\$0	\$1,501,543	\$66,146	\$768,111	\$733,432	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$11,158	\$637,011	\$315,078	\$952,089
Operations Support	\$1,878,589	\$781,858	\$9,886	\$403,436	\$378,421	\$781,858
General Support	\$2,599,547	\$2,599,547	\$30,067	\$2,459,384	\$140,164	\$2,599,547
Budget / Grants / Finance	\$712,123	\$1,012,123	\$239	\$899,588	\$112,535	\$1,012,123
Legal	\$1,207,500	\$1,251,473	\$1,669	\$1,236,543	\$14,930	\$1,251,473
Other Direct Costs	\$4,003,139	\$4,003,139	\$89,970	\$2,740,288	\$1,262,851	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$24,928	\$185,332	\$2,604,161	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$3,927,821	\$0	\$538,280	\$3,389,541	\$3,927,821
Finance Charges	\$1,941,800	\$3,761,482	\$61,437	\$2,445,579	\$1,315,903	\$3,761,482
Contingency	\$38,562,962	\$30,065,370	N/A	N/A	\$26,824,105	\$26,824,105
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$3,241,265	\$3,241,265
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$6,062,474	\$227,278,112	\$436,849,212	\$664,127,325

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. The agency labor is actual through May 2020 and accrued for June 2020.

Table 8-3 PCEP Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$14,086,559	\$749,183,989	\$566,941,219	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$6,062,474	\$227,278,112	\$436,849,212	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$20,149,033	\$976,462,102	\$1,003,790,431	\$1,980,252,533

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) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$1,000,000	\$0	\$941,706	\$58,294	\$1,000,000
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	\$93,500	\$16,500	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$0	\$31,000	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$933,120	\$54,225,611	\$118,574,436	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
CNPA TOTAL	\$176,452,397	\$176,452,397	\$933,120	\$56,391,492	\$120,060,905	\$176,452,397

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.

Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency¹
ELECTRIFICATION		
BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560
BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560
BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658
BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900
BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633
BT-024B	Budget Allocation between Ops Support and PMS	\$1,096,731
	ELECTRIFICATION SUBTOTAL	\$1,587,042
EMU		
PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307
PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783
PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656
PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745
PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897
PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060
BT-024B	Budget Allocation between Ops Support and PMS	(\$1,096,731)
	EMU SUBTOTAL	(\$1,062,283)
	PCEP TOTAL	\$524,759

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
6/15/2020	BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560
6/15/2020	BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560
6/18/2020	BBI-053-CCO-033B	PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination - CNPA	\$50,000
6/30/2020	BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658
6/30/2020	BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900
6/30/2020	BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633
Total			\$540,311

¹ (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	0
Total			\$0

¹ (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
Total			\$0

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

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)²

10% x \$38,477,777 = \$3,847,778

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

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

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

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

CEMOF Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656
6/3/2020	PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745
6/3/2020	PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897
6/3/2020	PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060
6/16/2020	PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307
6/16/2020	PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783
Total			\$34,448

¹ (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

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

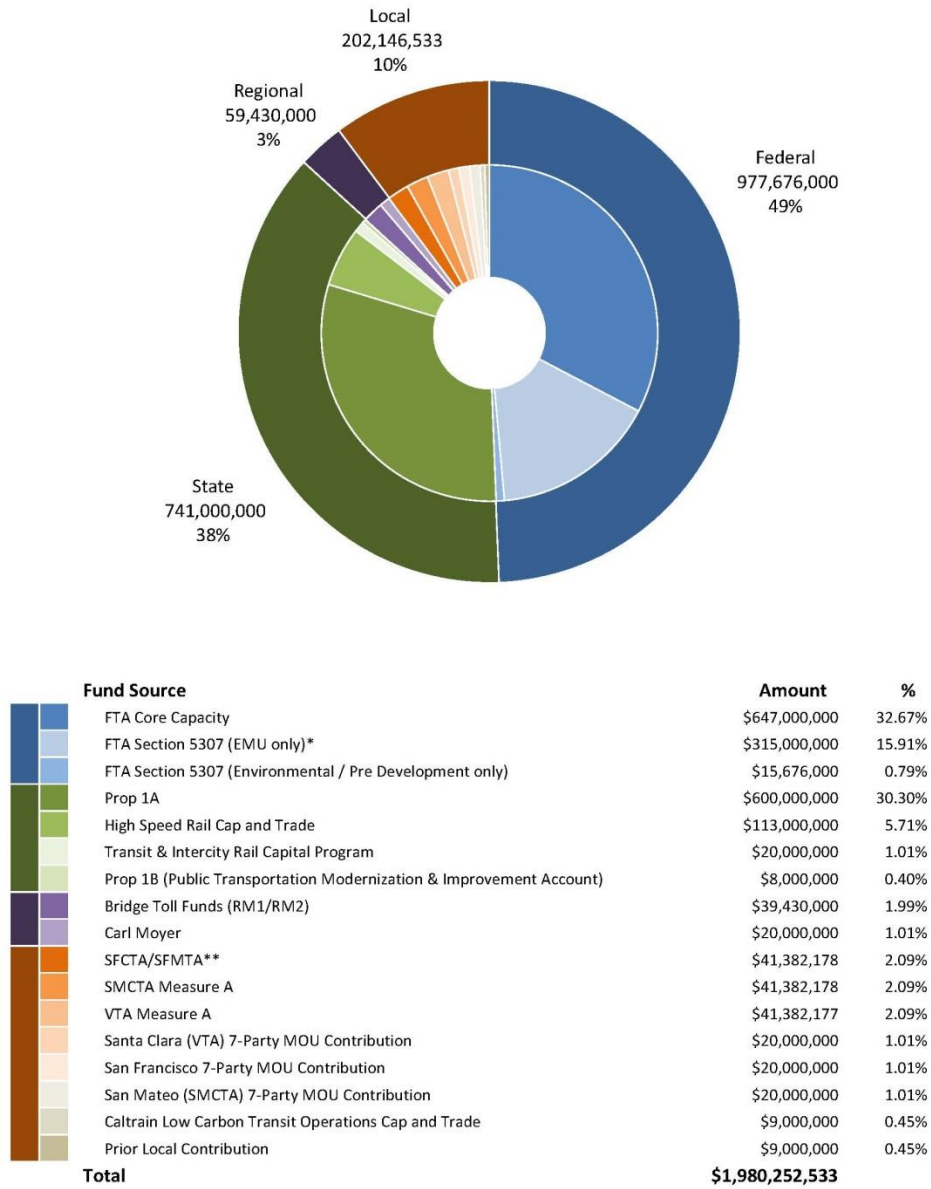
Notes:

¹ 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. In the last month, FTA awarded \$97 million in Section 5307 funding for the project. Staff are now working with FTA to award the next \$100 million in Core Capacity funding for the project.

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. TASI may not have sufficient number of signal maintainers for testing.
7. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
8. Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.
9. 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.

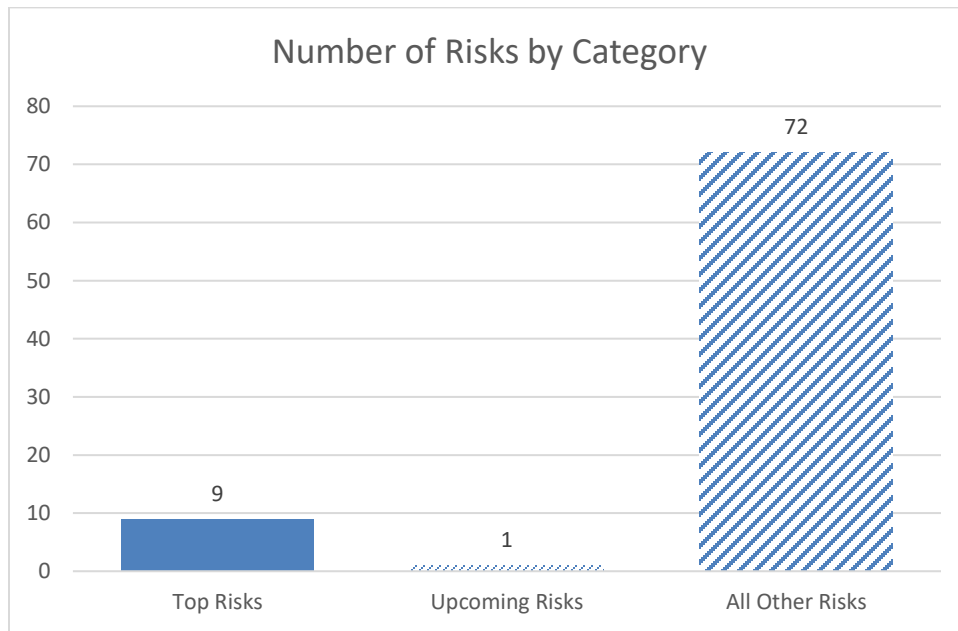
Activity This Month

- 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.

- The Risk Management team attended Project Delivery, Vehicle Design, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.
- Finalized summary of risk refresh.

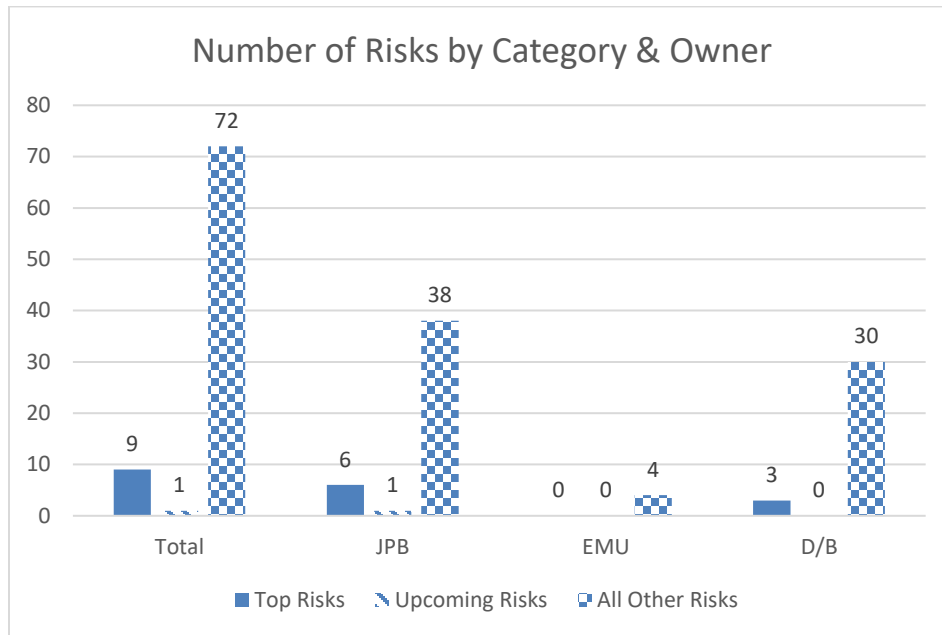
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming 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.
- Convene Risk Assessment Committee meeting.

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, potholing for utility location, grading, tree trimming/removal, conduit installation, abandoned signal cable removal, 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 nesting bird surveys during the nesting bird season continued (nesting bird season is defined as February 1 through September 15), and protocol-level surveys for a 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. Protocol-level surveys for a sensitive avian species were initiated at previously identified potential habitat locations.

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- 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, utility removal, abandoned signal cable removal, 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 during the nesting bird season will continue (nesting bird season is defined as February 1 through September 15).
- 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

- Worked with all utilities on review of overhead utility line relocations based on the current design.
- Coordinated with individual utility companies on relocation plans and schedule for incorporation with Master Program Schedule.
- Coordinated work with communications utilities on review of relocation design and prioritization of relocations.
- Continued to coordinate relocation work for SVP and Palo Alto Power facilities. Palo Alto has received bids for their relocation and is still projecting to complete their relocations by September 2020. Any temporary shutdowns required by PCEP prior to that date will be coordinated with Palo Alto.
- Continued to coordinate relocation by communication cable owners such as AT&T and Comcast.
- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.

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 SVP, Palo Alto Power, and communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.
- Review SSWPs by Palo Alto Power for relocation work in Segment 3.
- Continue SVP and Palo Alto Power relocations in Segment 3.

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 five 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 four 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 identified new acquisition for the Velasco parcel in San Jose.
- Presented First Written Offer to PG&E Cinnabar and is working on a temporary fencing and lighting relocation plan to obtain early access from PGE.
- Presented First Written Offer to KB Homes and currently reviewing their counter proposal.
- Reviewing potential design solutions for Marchese parcel with Santa Clara Valley Water District.
- Adopted Resolution of Necessity and reached tentative verbal agreement with Diridon Hospitality.
- Finalizing appraisals for Britannia Gateway while updating the design and appraisal map, which requires PG&E approval.

Activity Next Month

- Continue to negotiate for all open parcels.
- Work with attorney for Willowbend to close escrow (poles have already been installed so this is not on the critical path).

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- Continue review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to work with PG&E Cinnabar to gain possession of the parcel. Adopt Resolution of Necessity for the PG&E parcel.
- Work with property owner on Phan parcel to close escrow.
- Complete Marchese appraisal.
- Assign appraiser to commence work on Velasco parcel.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Send updated Grant Deeds to Stephens reflecting the new legal descriptions.
- Continue to work with Segment 3 and 4 owners for early access to pothole.
- Make offers on the parcel for which appraisals have been completed.
- Continue to work with project team to identify and analyze new potential parcels.
- Map newly identified parcels.

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 ¹	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
		City of Atherton	In Process
		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 ²
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	Not needed ³
	Trackage Rights	UPRR	Executed ²

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.
3. Caltrans Peer Process utilized. Formal agreement not needed.

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. The following PCEP-related external affairs meetings took place this month:

Presentations/Meetings

- Redwood City Chamber of Commerce

Third Party/Stakeholder Actions

- None

17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

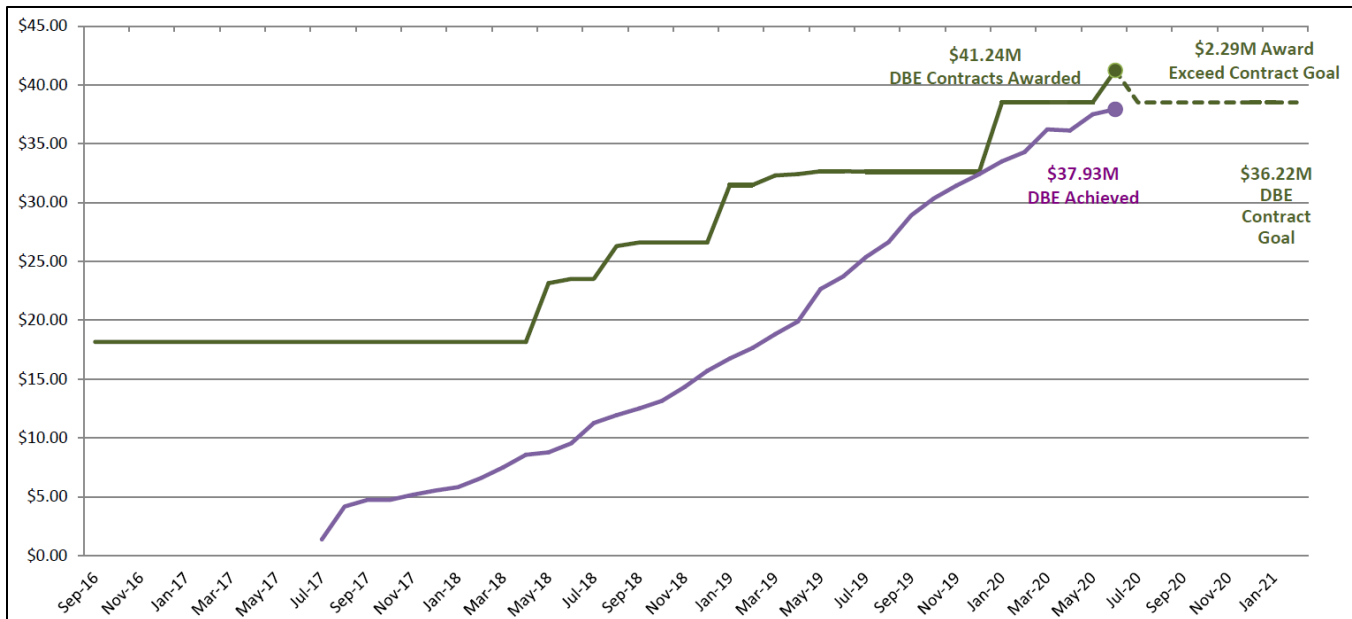
BBII proposed that 5.2% (\$36,223,749) of the total DB base contract value (\$696,610,558) would be subcontracted to DBEs.

Activity This Month

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

- **\$37,929,598** has been paid to DBE subcontractors.
- \$41,242,326 million of DBE contracts have been awarded (to be verified).
- **5.55%** has been achieved.

Figure 17-1 DBE Participation



Activity Next Month

BBII has proposed the following key actions:

“In the month of July, 2020, 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

Contract Awards this Month:

- Contract Amendment – On-Call Program Management Services for CalMod
- Contract Amendment – On-Call Electrification Support Services for CalMod

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

- Multiple WDs & POs issued to support the program needs

In Process IFB/RFQ/RFP/Contract Amendments:

- None

Upcoming Contract Awards/Contract Amendments:

- None

Upcoming IFB/RFQ/RFP to be Issued:

- RFQ – Scissor Lift Work Platform

Existing Contracts Amendments Issued:

- None

19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

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

Date	Milestone
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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Date	Milestone
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

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

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

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

Appendix B – Funding Partner Meetings

Funding Partner Meeting Representatives
Updated July 16, 2020

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

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)
10 - GUIDEWAY & TRACK ELEMENTS	\$14,256,739	\$27,308,610	\$0	\$24,946,946	\$2,848,057	\$27,795,003
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$0	\$139,054	\$2,360,946	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,808,610	\$0	\$24,807,892	\$487,111	\$25,295,003
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$6,791,052	\$521,571	\$3,831,503	\$4,256,837	\$8,088,340
30.03 Heavy Maintenance Facility	\$1,344,000	\$6,791,052	\$521,571	\$3,831,503	\$4,256,837	\$8,088,340
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
40 - SITEWORK & SPECIAL CONDITIONS	\$255,072,402	\$270,549,252	\$4,441,939	\$180,861,443	\$92,910,465	\$273,771,908
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$3,077,685	\$191,400	\$4,758,900	(\$1,681,215)	\$3,077,685
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$93,414,668	\$3,441,458	\$88,745,891	\$5,668,777	\$94,414,668
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	\$4,944,961	(\$272,020)	\$6,251,904	(\$1,306,943)	\$4,944,961
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$32,954,208	(\$60,750)	\$2,008,995	\$30,945,213	\$32,954,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$568,188	\$0	\$0	\$568,188	\$568,188
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$764,933	\$0	\$0	\$764,933	\$764,933
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$284,094	\$0	\$0	\$284,094	\$284,094
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$113,930,514	\$1,141,851	\$79,095,754	\$38,228,464	\$117,324,218
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$19,438,953	\$19,438,953
50 - SYSTEMS	\$504,445,419	\$523,660,756	\$7,174,579	\$174,923,396	\$363,978,392	\$538,901,787
50.01 Train control and signals	\$97,589,149	\$101,030,416	\$2,885,389	\$33,066,332	\$69,220,622	\$102,286,953
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	\$23,879,905	\$0	\$0	\$23,879,905	\$23,879,905
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	\$97,744,787	\$1,727,669	\$36,346,693	\$62,432,162	\$98,778,855
50.03 Allocated Contingency	\$31,755,013	\$2,990,895	\$0	\$0	\$2,001,915	\$2,001,915
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$276,999,724	\$2,561,521	\$105,452,381	\$197,779,203	\$303,231,585
50.04 Allocated Contingency	\$18,064,000	\$12,311,731	\$0	\$0	\$19,276	\$19,276
50.05 Communications	\$5,455,000	\$5,455,000	\$0	\$57,989	\$5,397,011	\$5,455,000
50.07 Central Control	\$2,090,298	\$2,090,298	\$0	\$0	\$2,090,298	\$2,090,298
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	\$35,675,084	\$35,675,084	\$124,382	\$19,179,826	\$16,495,259	\$35,675,084
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$124,382	\$19,051,251	\$6,875,823	\$25,927,074
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	\$8,748,010	\$8,748,010
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$128,574	\$871,426	\$1,000,000
70 - VEHICLES (96)	\$625,544,147	\$623,586,213	\$5,409,003	\$213,621,821	\$408,507,739	\$622,129,560
70.03 Commuter Rail	\$589,167,291	\$590,932,066	\$5,409,003	\$213,083,541	\$379,792,502	\$592,876,043
70.03 Allocated Contingency	\$9,472,924	\$5,822,395	\$0	\$0	\$2,421,765	\$2,421,765
70.06 Non-revenue vehicles	\$8,140,000	\$8,067,821	\$0	\$538,280	\$7,529,541	\$8,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$0	\$18,763,931	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$334,159,560	\$2,315,881	\$303,079,834	\$52,331,548	\$355,411,382
80.01 Project Development	\$130,350	\$130,350	\$0	\$280,180	(\$149,830)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$187,751,436	\$400,135	\$196,803,895	(\$4,257,385)	\$192,546,510
80.02 Allocated Contingency	\$1,866,000	\$202,474	\$0	\$0	\$21,942	\$21,942
80.03 Project Management for Design and Construction	\$72,029,265	\$76,029,936	\$1,233,293	\$77,740,926	\$21,581,373	\$99,322,299
80.03 Allocated Contingency	\$9,388,080	\$8,000,396	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$27,056,839	\$657,638	\$18,399,725	\$19,655,795	\$38,055,520
80.04 Allocated Contingency	\$19,537,000	\$16,158,109	\$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	\$8,433,430	\$24,815	\$5,235,914	\$4,542,828	\$9,778,742
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,388,781	\$0	\$37,341	\$3,351,440	\$3,388,781
80.08 Start up	\$1,797,957	\$1,797,957	\$0	\$0	\$1,797,957	\$1,797,957
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	\$628,000	\$628,000
Subtotal (10 - 80)	\$1,761,052,001	\$1,821,730,527	\$19,987,355	\$920,444,768	\$941,328,297	\$1,861,773,065
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$99,041,769	\$0	\$0	\$58,999,231	\$58,999,231
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$19,987,355	\$920,444,768	\$1,000,327,528	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$161,677	\$6,435,735	\$3,462,903	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$20,149,033	\$926,880,503	\$1,003,790,431	\$1,930,670,934

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 Usage¹	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% ²	-
04/24/18	BBI-053-CCO-008	2016 Incentives (Safety, Quality, and Public Outreach)	\$750,000	0.00% ²	-
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% ²	-
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% ²	-
9/28/2018	BBI-053-CCO-024A	PG&E Utility Feed Connection to TPS#1 and TPS#2 (Design Only)	\$727,000	0.00% ²	-
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% ²	-
1/17/2019	BBI-053-CCO-029	CHSRA Early Pole Relocation (Design Only)	\$625,000	0.00% ^{2,3}	-
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 ¹	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% ³	\$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% ²	-
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 % ³	\$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% ³	\$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	\$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	\$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)	\$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
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 ¹	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 % ³	\$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
Total			\$34,770,012	49.72 %	\$17,512,702

Notes:

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

EMU Contract

Change Order Authority (5% of Stadler Contract)

5% x \$550,899,459 = \$27,544,973

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
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% ²	-
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% ^{2,3}	-
6/26/2019	STA-056-CCO-016	Testing at TTCL (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

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Change Order Authority (5% of Stadler Contract)

5% x \$550,899,459 = \$27,544,973

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
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% ³	\$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
Total			\$179,154,556	21.29 %	\$21,680,464

Notes:

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

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 ¹	Remaining Authority
None to date					
Total			\$0	0.00%	\$517,038

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. 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 Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	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 % ⁴	\$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 % ⁴	\$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

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Change Order Authority (10% of ProVen Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % ⁴	\$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 % ⁴	\$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 % ⁴	\$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% ⁴	\$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 % ⁴	\$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 % ⁴	\$5,748,731
5/11/2020	PROV-070-CCO-025	NOPC #1 CWR (CNPA - Drainage \$660,000.00)	\$660,000	11.98 % ⁴	\$5,088,731
Total			\$419,047	7.61 %	\$5,088,731

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 ¹	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

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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 ¹	Remaining Authority
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
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
Total			\$240,275	36.68 %	\$414,803

Notes:

- ¹ When the threshold of 75% is reached, staff may return to the Board to request additional authority.
- ² 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

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

Notes:

- ¹ 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

ID	RISK DESCRIPTION	EFFECT(S)
314	The contractor may not complete and install signal design including Two-speed check (2SC) modifications within budget and schedule.	Delay and additional cost for rework.
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"> • DSC design cost • Inefficiencies • Construction costs related to DSCs (i.e., larger foundations) • Additional potholing
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 <>Fee <>Easement <>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"> • Potential delays in construction schedule
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
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"> • Delay in obtaining parts / components. • Cost increases. (See Owner for allocation of costs) • Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> • Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles
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.

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ID	RISK DESCRIPTION	EFFECT(S)
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims
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
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.
318	Change of vehicle suppliers results in additional first article inspections at cost to JPB	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
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
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase

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ID	RISK DESCRIPTION	EFFECT(S)
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
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
286	Potential for wage escalation, (except for Maintenance Option) to increase contractor costs.	Higher cost
056	Lack of operations personnel for testing.	<ul style="list-style-type: none"> • Testing delayed. • Change order for extended vehicle acceptance.
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	

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ID	RISK DESCRIPTION	EFFECT(S)
325	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> • Reduced production rates. • Delay
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"> • Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
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.	Schedule delay. Cost increase.
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.
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

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ID	RISK DESCRIPTION	EFFECT(S)
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
292	Potential that UPS will not fit in the spaces allotted to communications work within the buildings.	Requisite backup capacity units 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.
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
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
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"> • \$3-\$5M/month burn rate for Owner's team during peak 	Delays to project schedule and additional costs for preparation and review of submittals.

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ID	RISK DESCRIPTION	EFFECT(S)
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: <> FTA <> FRA <> CPUC	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)
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

ID	RISK DESCRIPTION	EFFECT(S)
106	<p>Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule.</p> <p>Multiple segments will need to be under design simultaneously.</p> <p>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.</p> <p>Possible shortages with other specialty crafts as well.</p>	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"> • Delay • Cost increase
195	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: <ul style="list-style-type: none"> • Fire, police, and first responders • Local communities • Schools 	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.

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ID	RISK DESCRIPTION	EFFECT(S)
237	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.	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.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
250	Potential for municipalities and other agencies to request betterments as part of the electrification project	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.
254	Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary.	Results in additional design and construction to create sufficient clearance.
266	Verizon poles in conflict with OCS may not be removed in advance of OCS installation.	Delay in progress of catenary installation resulting in claims and schedule delay
274	JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct	Additional cleanup of as-builts after PCEP construction
275	DB fails to verify as-built drawings and existing infrastructure	Additional cleanup of as-builts after PCEP construction
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
293	Readiness of 115kV interconnect for temporary power to support testing	Delay in testing

ID	RISK DESCRIPTION	EFFECT(S)
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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	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.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	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.
AES-4a: Minimize spillover light during nighttime construction.		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.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being utilized in the design and construction process.
AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.	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 Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	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.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	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.
BIO-1a: Implement general biological impact avoidance measures.	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.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	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		
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	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.
BIO-1d: Implement western pond turtle avoidance measures.	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.
BIO-1e: Implement Townsend’s big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	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.
BIO-1f: Implement western burrowing owl avoidance measures.	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

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 of 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, and protocol surveys during this reporting period occurred on June 3, 2020, and June 25, 2020. An owl was observed at the northern most potential BUOW burrow location during both survey visits. As of the end of this reporting period, no construction activities are scheduled to occur within the 200-meter no disturbance buffer during the 2020 breeding season. However, Balfour is hoping to be allowed to drive vehicles and equipment through the buffer, in order to access foundation installation locations to the North and South of the BUOW locations in July 2020. Consultation with the JPB and the CDFW in regard to this request is ongoing, and the status will be updated during the next reporting period. In addition, any other work scheduled to occur within the 200-meter buffer will be coordinated with the Qualified</p>

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						Biologist, in consultation with the JPB and the CDFW, as needed.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018 and 2019, prior to project-related activities with the potential to impact nesting birds. Nesting Bird Surveys recommenced on February 1, 2020 for the 2020 nesting season (February 1, 2020). During this reporting period, a previously active Cooper's hawk (COHA) nest in a tree adjacent to the tracks near MP 33.5, was determined to be inactive by the Qualified Biologist on June 4, 2020. The Qualified Biologist observed the area, and no COHA activity was observed at the nest or in the surrounding vegetation, and it appeared the nestlings had fledged. Accordingly, the 250-foot no-disturbance buffer was removed.
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	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.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	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.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	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.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	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.
BIO-6: Pay Santa Clara Valley Habitat Plan land cover fee (if necessary).	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	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.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	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.
CUL-1f: Implement historic bridge and underpass design requirements.	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.
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.	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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.	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.
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	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.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	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 Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		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.
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	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.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						Studies and results are submitted to JPB as completed.
GEO-4a: Identification of expansive soils.	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.
GEO-4b: Mitigation of expansive soils.	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.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	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.
HAZ-2b: Implement engineering controls and best management practices during construction.	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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						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.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	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.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	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.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-1a: Implement Construction Noise Control Plan.	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.
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.	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.
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	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.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
PSU-8c: Schedule and notify users about potential service interruptions.	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.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.
TRA-1a: Implement Construction Road Traffic Control Plan.	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.
TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.	X	X			Upcoming	This measure has not started
TRA-2a: Implement construction railway disruption control plan.	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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in Caltrain's Bicycle Access and Parking Plan.				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 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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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 16th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th 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 as feasible between San Jose and Bayshore.				X	Upcoming	This measure will be implemented during project operation.
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	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.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AES-4a: Minimize spillover light during nighttime construction.		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.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being used in the design process of the TPFs.
AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.	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.
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	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.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1a: Implement general biological impact avoidance measures.	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.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	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.
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	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.
BIO-1d: Implement western pond turtle avoidance measures.	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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						sign have been observed to date on the Project.
BIO-1e: Implement Townsend’s big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	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.
BIO-1f: Implement western burrowing owl avoidance measures.	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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	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 were monitored by agency-approved biological monitors.
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	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.
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	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.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	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.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	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.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	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.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	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.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1f: Implement historic bridge and underpass design requirements.	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.
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.	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.
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.	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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	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.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	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.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	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.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	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.
GEO-4a: Identification of expansive soils.	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.

Peninsula Corridor Electrification Project
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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4b: Mitigation of expansive soils.	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.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	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.
HAZ-2b: Implement engineering controls and best management practices during construction.	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.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	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

Mitigation Monitoring and Reporting

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.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	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.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	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.
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.	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.

Peninsula Corridor Electrification Project
Monthly Progress Report

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	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.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	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.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
TRA-1a: Implement Construction Road Traffic Control Plan.	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.
TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.	X	X			Upcoming	This measure has not started
TRA-2a: Implement construction railway disruption control plan.	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.
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.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in				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

Peninsula Corridor Electrification Project
Monthly Progress Report

Mitigation Monitoring and Reporting

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 th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th 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.

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: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CALTRAIN POSITIVE TRAIN CONTROL PROJECT UPDATE – JULY 2020**

ACTION

Staff Coordinating Council recommends that the Board receive the Positive Train Control (PTC) report for July 2020.

SIGNIFICANCE

Staff will provide monthly updates covering PTC related activities during the previous month and provide a preview of activities anticipated to take place during the current month.

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

1. Project Schedule - Major Milestones for Caltrain PTC Implementation:

<u>Key Project Activity</u>	<u>Expected Completion</u>	<u>Progress as of 07/15/20</u>	<u>Progress On Track?</u>	<u>Mitigation Required or Approvals Needed</u>
Approval of Designated Revenue Service Demonstration (RSD) Test Request	May 31 st	Completed	Completed	Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to ensure compliance to approval
Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)	May 31 st	Completed	Completed	Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10
Pilot Installations (4) Completed	June 20 th	Completed	Completed	All pilots completed
Submit Designated RSD Application	Oct 15 th	Completed	Completed	RSD Application submitted and in review by FRA
Submit Full Track RSD Application	June 7 th	Completed	Completed	Formal RSD request for full track was submitted to the FRA on June 14, 2019
Complete Critical Feature Verification & Validation (V&V) for Designated Track RSD	Oct 30 th	Completed	Completed	
Complete Designated RSD Training	Nov 14 th	Completed	Completed	Training for designated RSD personnel completed
Complete Required Vehicle Installations (44 Units)	Dec 3 rd	Completed	Completed	(44) Installs required for RSD completed, punch list items were completed by Wabtec
Meet FRA Statutory Requirements and Substitute Criteria	Dec 31	Completed	Completed	Met FRA December 31, 2018 deadline
Obtain Alternative Schedule approval from FRA	Mar 15 th 2019	Completed	Completed	Received FRA's approval on February 6, 2019
Completion of Remaining Vehicle Installation (all 66 units)	April 30, 2019	Completed (66 Units)	Completed (66 Units)	The installation for F40PH 3C Rehab vehicle 922 was completed in June that concluded all 66 units PTC installation.
Full RSD - Complete Remaining Critical Feature V&V	Jan 2019	Completed	Completed	
Full RSD – Complete Wayside Interface Unit (WIU) V&V	March 15, 2019	Completed	Completed	Completed on March 15, 2019

Key Project Activity	Expected Completion	Progress as of 07/15/20	Progress On Track?	Mitigation Required or Approvals Needed
Full RSD – Complete Lab Integrated End to End Testing (LIEE)	June 30, 2019	Completed	Completed	LIEE Cycle 3 was completed ahead of schedule on June 12, 2019
Full RSD – Complete Field Integrated Testing (FIT)	August 2019	Completed	Completed	Full track FIT has completed on June 30, 2019
Full RSD – Complete Field Qualification Testing (FQT)	September 2019	Completed	Completed	Full track FQT has completed on July 14, 2019
*Commence Full RSD – Caltrain ROW	October 2019	Completed	Completed	Caltrain has successfully entered RSD on September 07, 2019
Complete Lab Integrated End to End Testing for Interoperability with UPRR (LIEE-I)	October 2019	Completed	Completed	LIEE-I with UPRR was completed on October 15
*Complete Interoperability Testing with UPRR - Both ROW	December 2019	Completed	Completed	Interoperable Test with UPRR on both territories were completed on Nov 5 th , 2019
*Complete Interoperability Testing with Tenant Railroads - ACE	April 30 2020	Completed	Completed	Interoperable Test with ACE was completed on Nov 17, 2019
*Complete Interoperability Testing with Tenant Railroads - AMTRAK	April 30 2020	Completed	Completed	Interoperable field testing was concluded on Feb 8, 2020
Achieve Interoperability with UPRR	Dec 31, 2019	Completed	Completed	Accomplished on December 9, 2019
Achieve Interoperability with other Tenants	April 30, 2020	Completed	Completed	Accomplished Interoperable with ACE on December 9, 2019. Interoperable Operation with Amtrak was achieved on Feb 26, 2020
Submit Caltrain PTC Safety Plan to the FRA	June 30, 2020	Completed	Completed	Project submitted the PTCSP on June 25, 2020
Complete Caltrain PTC Implementation	December 2020	Plan	Yes	

*Key project milestones for 2019/2020 have incentive payments as part of a contract negotiation concluded on May 7, 2019. Wabtec have received all the incentive payments.

1. Major Wabtec activities for July 2020:

- o Caltrain commenced Revenue Service Demonstration (RSD) since September 7, 2019. As of Feb 26, 2020 Caltrain has achieved interoperability requirements and is interoperable with all tenants (UPRR, ACE, and Amtrak/Capitol Corridor).
- o Continued to provide technical support for RSD trouble shooting and addressed defect items with support from WABTEC PTC help-desk.
- o Completed 25th Ave Grade Separation CFV Field V&V and WIU V&V effort for MT1; 25th Grade Separation MT2 and MT1 Cutover were completed successfully.
- o Continued BCCF/CCF Cutover planning effort and finalization of one-system cutover plan and procedure.
- o Performed radio frequency update for all locos.
- o Continued and extended field on-site Warranty support for on-board subsystem.
- o PTC Track data changes 9027 was deployed in support of Caltrain 25th Ave Grade Separation MT1 cutover.
- o Continued LIEE-I Testing with UPRR third party railroads (all six total were completed) for interoperable Operations.
- o Completed Field initialization testing with five UPRR third party railroads with one remaining, which will be completed by July 2020.
- o Finalized and submitted PTC Safety Plan (PTCSP) for FRA review and approval.
- o Finalized I-ETMS maintenance support service scope of work. Teams continued negotiation and finalization pricing and terms and conditions.
- o Performed LIEE Regression Testing for I-ETMS on-board software 6.3.19.2.
- o Developed Field Regression Test Plan for on-board software 6.3.19.2.
- o Held kick-off meetings for redundant network path between CCF & BCCF datacenters effort.

2. Vehicle Installation:

Wabtec completed installation of (44) I-ETMS modules on the Caltrain locomotives and cab cars as required in Caltrain's Implementation Plan and statutory criteria requirements in early November of 2018. Wabtec has completed installations on the remaining Caltrain fleet (22 additional locomotives and cab cars). Caltrain has decided not to install PTC equipment on a damaged Gallery Cab car, therefore total equipment count is 66.

I-ETMS On-Board Installation Progress (As of 7/15/20)			
Equipment	Completed	In Progress	Pending
F40	23	0	0
MP36	6	0	0
Bombardier Cab	9	0	0
NS Gallery Cab	26	0	0
MP1500	2	0	0
Total	66	0	0
%	100%	0%	0%

3. Other Key Activities for July of 2020:

This section reports on PTC project general progress and issues being performed and tracked in addition to the Wabtec contract during the current reporting month.

- o Caltrain has received approval from the FRA to enter extended Revenue Service Demonstration (RSD) on January 7, 2020 after initial RSD commenced on September 7, 2019. Caltrain is currently running all revenue trains with PTC.
- o Caltrain commenced interoperable operations with UPRR and ACE on December 9, 2019, and with Amtrak/Capitol Corridor since February 26, 2020. Caltrain is interoperable with all tenants.
- o Herzog Technologies Incorporated (HTI) data collection team and PTC project team are producing PTC weekly and monthly reporting to the FRA per the RSD conditional approval requirements for the extended RSD.
- o PTC helpdesk continues to support PTC operation since commencement of RSD with support from Tier 1 and Tier 2 systems support staff for daily PTC operations.
- o Defect-tracking meetings are held to continue monitoring reliability of the PTC system and address any critical anomalies and defects by system engineering (Tier 2) and WABTEC/ARINC (Tier 3) as needed.
- o Caltrain is meeting with UPRR and other tenants on bi-weekly basis to address any technical and operational issues related to PTC interoperable operations.
- o Weekly ARINC coordination meeting is held to address operational systems maintenance and modification work, the live operational systems are Rail Operations Control System (ROCS), Passenger Predictive Train Arrival/Departure System (PADS) and Voice Radio Dispatching System (RDS), which are residing in the CCF and BCCF to support rail operations.
- o Held bi-weekly BCCF/CCF cutover coordination meeting with ARINC and Wabtec; Caltrain systems team has developed BCCF/CCF integrated schedule as the tool for failover and cutover planning effort.
- o The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled System Integration Meetings held by PCEP. Ad hoc meetings to discuss topics requiring in-depth or immediate decisions are held as needed. PTC system

team is working with PCEP team and assessing systems impact due to upcoming electrification project segment 4 signal cutover effort.

- o Caltrain Configuration Control Board (CCB) continued review and approval of configuration changes that affect rail operations systems and infrastructure by following Caltrain Configuration Management plan and process.
- o Caltrain Systems team actively involved in PTC Interoperable Change Management process through Interoperable Change Approval Board (ICAB).
- o Caltrain team continued working with Wabtec, district procurement and legal to establish long-term maintenance agreement for I-ETMS PTC system.

4. Change Order Log:

Project has completed evaluation and approved two new change order proposals received in March 2020 for the work related to 1) UPRR third party railroad interoperable testing (6 railroads total) which was approved by CMB on May 27, 2020 (\$602,577); 2) the diverse redundant network path between CCF & BCCF datacenters (\$121,433). These two changes will constitute the second contract amendment totaling \$724,010.

Contract amendment one was for \$1.42 M related to interoperability and the communications system.

The funds for both amendments were taken from potential change budget as part of original board approved \$89.41M project

5. Risk Management:

Caltrain and Wabtec have agreed to share the management of an identified list of risk items that were identified during the contract negotiations. The total cost allocated to these risks is \$1.9M to be shared amongst both parties. Unrealized risks will result in cost savings to Caltrain.

Caltrain and Wabtec jointly review the shared risk register as the project progresses. Caltrain will provide update for any realized risks that are identified and agreed upon by both parties.

There are also risks to be monitored outside the Wabtec specific contract that the project team monitors and mitigates as necessary. The following table captures the top risks both external (outside the Wabtec contract) and internal (specific to the Wabtec contract):

Risk Item	Type	Mitigation Action
FRA process changes	External	Maintain close and open relationship with key FRA contacts to ensure all submittals are done correctly and within required time frame to achieve approvals required to achieve full system certification.
Interoperability delays	External	Caltrain is working with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained – Risks were mitigated, Interoperability with UPRR, Amtrak, and ACE were achieved.
Track access delays	Internal	Ensure field test schedule is maintained by coordinating all fieldwork in combination with other capital project's needs, particularly the PCEP project – Risk were mitigated, Caltrain has entered RSD and achieved interoperability with all tenants.

Risk Item	Type	Mitigation Action
Back Office Server (BOS) documentation scope creep	Internal	Risk is mitigated by working with Wabtec to ensure future BOS software releases meet requirements of Caltrain PTC operations. Caltrain subscribes standard Interface Control Documentation (ICD) through AAR for future BOS release.
Key Exchange Server Solution	Internal	Implementation of Caltrain Key Exchange Server timely to support Interoperability Testing with UPRR. KES production test was completed in October 2019. Caltrain has been interoperable with all tenants. The Long-term communication MPLS solution was finalized and installation is scheduled once travel restriction is lifted due to COVID 19.
Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment	Internal	Coordinated with Operations and TASI to ensure all assets including all documentation were done and handed off to Operations/TASI. PTC infrastructure are maintained by TASI and Project team continue to provide support as Tier 2/Tier 3 to ensure PTC is reliable for PTC Revenue Service Operations.

6. FRA Coordination Status:

- Submitted PTCSP to FRA for review and approval
- Continued weekly calls with FRA review team
- Continued RSD Weekly and Monthly Reports to the Test Monitor
- Submitted V&V test results for CFV and WIU in support of 25TH Grade Separation Project

7. Caltrain Roadmap to Full RSD and Interoperability:

- Caltrain is currently in Extended Revenue Service Demonstration and is fully interoperable with all tenants.
- Completing and submitting the PTC Safety Plan to the FRA is the next big milestone in order to achieve overall system certification.
 1. Alternative Schedule was approved on February 6, 2019.
 2. Caltrain completed all field validation by the 1st quarter of 2019.
 3. Caltrain completed laboratory integrated testing for full track in April of 2019.
 4. Caltrain submitted the full track RSD application in June 2019 and received conditional approval of RSD in July 2019.
 5. Caltrain completed Field Integrated Testing (FIT) and Field Qualification Testing (FQT) for full track and has commenced RSD on September 7, 2019.
 6. Caltrain completed training TASI personnel to support full track RSD and PTC operations.
 7. Caltrain continues to roll out PTC trains; all 92 trains per weekday are under PTC as of the end of 2019.
 8. Caltrain completed interoperability laboratory testing with UPRR on August 12, 2019 for cycle one and subsequently cycle two on October 15, 2019.
 9. Caltrain has received Interoperability Test Request Conditional Approval from the FRA.
 10. Caltrain completed interoperability field-testing with UPRR on November 5 2019 and has achieved interoperability with UPRR on December 9, 2019.
 11. Caltrain has completed interoperability testing with ACE and started PTC operations on December 9, 2019. Caltrain commenced interoperability operations with Amtrak on February 26, 2020. Caltrain achieved interoperability requirements with all tenants.
 12. Caltrain has submitted the PTC Safety Plan (PTCSP) officially on June 25, 2020.
 13. Caltrain will receive conditional approval from the FRA and receive system certification by December 2020.

8. Cost – Spend vs Budget with Actuals and Accruals through June 2020

	(A)	(B)	(C)	(D)	(E)	(F) = (C - E)	(G) = (D / E)
Project Cost Analysis	Original Budget (US\$MM)	Approved Changes (Contractor) (US\$MM)	Project Current Budget (US\$MM)	Expended and Accruals To-Date (US\$MM)	Estimated at Completion (EAC) (US\$MM)	Variance at Completion (US\$MM)	% Expended of EAC
CBOSS PTC Project (Jan 2008 - Feb 2018)	\$ 231.00		\$ 239.88	\$ 202.26	\$ 202.26		
Caltrain PTC Project (March 1, 2018 - June 30, 2020):							
Integrator WABTEC Contract	\$ 43.01	\$ 1.42	\$ 44.44	\$ 36.13	\$ 44.44	\$ -	81.32%
Other Contractors	\$ 6.00	\$ -	\$ 6.00	\$ 2.63	\$ 6.00	\$ -	43.91%
Potential Changes	\$ 2.00	\$ (1.42)	\$ 0.58		\$ 0.72	\$ (0.14)	
Potential Incentive - WABTEC	\$ 2.00	\$ -	\$ 2.00	\$ 2.00	\$ 2.00	\$ -	100.00%
Other Program Costs	\$ 30.34	\$ -	\$ 30.34	\$ 19.28	\$ 30.07	\$ 0.28	64.12%
Project Contingency	\$ 6.06	\$ -	\$ 6.06		\$ 5.16	\$ 0.90	
Total PTC Project	\$ 89.41	\$ -	\$ 89.41	\$ 60.05	\$ 88.38	\$ 1.03	67.94%
Note:							
1). Expended and Accruals To-Date is through June 30, 2020;							
2). Integrator Wabtec Contract Value includes Shared Risk with Not to Exceed Total of \$1.91MM;							
3). Other Contractors amount includes ROCS Modification and potential fiber fixes;							
4). Potential Changes amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems; Two change orders for amount of \$724,010 were approved.							
5). Potential incentive amount reflects what is in the WABTEC conformed agreement;							
6). Other Program Costs includes JPB project oversight costs, TASI support and Other Direct Cost for PTC project delivery;							
7). Project contingency includes a) contingencies for WABTEC contract per Board Staff Report; b) JPB project team cost contingency;							
8). CBOSS PTC project budget and actual cost are highlighted to reflect prior March 1st, 2018 CBOSS project financial data.							
9). Negotiated additional scope items are included in WABTEC's contract amendment 1. There is no budget impact since project has budgeted adequate potential change for the amount of \$2MM (note no. 4 above) for added scope items. Current Project budget for WABTEC contract is updated to reflect added scope items.							
10). Other Program Costs EAC is increased from previous months to include FY21 systems support effort in order to offset Operating budget deficit caused by COVID-19.							

9. Upcoming Key Activities in August 2020:

- o Continue to support PTC RSD with operations and TASI.
- o Continued BCC/CCF cutover technical coordination with all parties.
- o Continue data collection and PTC log analysis for PTC RSD weekly report to the FRA following RSD conditional approval requirements.
- o Continue to provide Tier 2 PTC system engineering support for tracking anomalies and addressing defect resolutions with Tier 3.
- o Continue interoperability operational coordination with all tenants via bi-weekly calls.
- o Complete field-testing with all UPRR third party railroads (6 total).
- o Complete ATCS work field installation work once travel plan is confirmed.
- o Issue service agreement to CDW for Virtualization Project.
- o Complete KES long-term MPLS/Cell installation effort for sprint circuit installation once travel restriction is lifted.
- o Follow up with the FRA on Caltrain PTCSP submission.
- o Continue to perform railroad specific hazard analyses required for PTC system certification.
- o Finalize I-ETMS long-term maintenance service agreement and prepare for award recommendation to the JPB.
- o Perform field regression test for I-ETMS on-board software 6.3.19.2.
- o Commence work to diverse redundant network path between CCF & BCCF datacenters.
- o Complete review of BCCF Lab training material and schedule for Lab training performed by WABTEC.

Prepared By: Matt Scanlon, Deputy Director, Systems - 650.622.7819

Draft

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

MINUTES OF JULY 15, 2020

MEMBERS PRESENT: A. Brandt (Vice Chair), A. Dagum, P. Flautt, R. Kutler, P. Leung, M. Romo, B. Shaw (Chair)

MEMBERS ABSENT: L. Klein

STAFF PRESENT: H. Chan, C. Kwok, R. McCauley, J. Navarrete, J. Navarro, S. Petty

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 5:41 p.m. and led the Pledge of Allegiance

APPROVAL OF MINUTES OF JUNE 17, 2020

Motion/Second: Leung / Brandt

Ayes: Dagum, Flautt, Kutler, Romo, Shaw

Absent: Klein

PUBLIC COMMENT

Public Comment received via email at cacsecretary@caltrain.com

Jennifer Navarrete, CAC Secretary, stated that the following written comments were received after the 3pm correspondence packet cut off time and may have been intended to be included. Chair Brian Shaw requested comments to be read.

Jeff Carter, Millbrae:

To Caltrain JPB Citizens Advisory Committee July 14 2020,

Additional Public comments for the July 15, 2020 meeting from Jeff Carter:

At the June 17, 2020 CAC meeting there was some concern raised about the asymmetry and excessive padding in the 70-train schedule. Some local trains take 95 minutes, some take 104 minutes to serve 21 stations, trains 101 and 139 respectively, note that I'm including SF and SJ stations. Limited 205 serves 12 stations with a run time of 77 minutes and limited 207 serves 13 stations with a run time of 83 minutes.

I dug up a Southern Pacific timetable, dated August 6, 1977 and it shows train 122 (4:15 pm) taking 95 minutes to serve 24 stations SF to SJ. This was my regular afternoon train, it was 5 or 6 Harriman Subs, and had a lot of ons and offs for it's run, I recall the October 1979 passenger count showing this train had a total of 1006 passengers, I believe the maximum peak load was in the neighborhood of 350-400, which indicates a lot of

intermediate ridership, this train was a workhorse. The typical run time for trains serving 21 stations was 80 minutes, for example, train 120, leaving SF at 3:00 pm. Granted, 1977 was much different as most ridership was to SF in the morning and out of SF in the evening, there was little reverse commute and intermediate station activity, however, this was beginning to change. Of course, there were no bicycles or wheelchairs and not the heavy pre-COVID ridership we have in recent times. However, given the low ridership numbers currently on Caltrain, revision of the padding/run-times could result in time savings for Caltrain customers, and possibly a cost savings in on-board crew time. The service would be more attractive and encourage more ridership and revenue. I have attached the 1977 SP timetable for reference.

Jeff Carter

Jeff Carter, Millbrae:

To Caltrain/JPB Citizens Advisory Committee, July 14, 2020.

I submitted the following to the Joint Powers Board earlier this month. I have made a few minor adjustments to some of the attached documents since then...

Each month the board agenda packet includes a monthly Key Performance Statistics Report. This includes a written staff report and several graphs/charts of ridership and ticket sales data. Most recently, staff has produced a chart showing the effects of COVID/shelter in place on ridership. These charts are most likely created from an Excel spreadsheet. I am requesting that the spreadsheet raw data be included as part of the monthly "Key Performance Statistics Report," or as backup data available through the Caltrain website. I would note that some past reports included the raw data used to create the graph showing "Caltrain Mobile Ticketing-Monthly Sales by Ticket Type," I have attached the December 2018 report which appeared in the February 2019 PCJPB Agenda packet, I have noted such in the attached report, plus additional notes on other graphs.

I have entered the data presented in "Graph C", creating my own Excel spreadsheet and graph, (also attached) which is almost identical to "Graph C" in the December 2018 Key Performance Statistics Report. Why can't staff include the spreadsheet with the graph? Why can't staff provide spreadsheet data for all graphs?

Jeff Carter

Jeff Carter, Millbrae, via Zoom Q&A, stated that regarding the first written comment read previously, that information was also sent to the Board earlier in the month. He stated that this written comment should have been included in the CAC packet. He then stated that the second comment was intended to be read after Agenda item number eight.

Roland Lebrun, San Jose, via Zoom Q&A, stated that five years ago the bullet train took 57 minutes between Diridon and San Francisco and now that traffic is less there is no way Caltrain can compete with driving and that until that is resolved, ridership will not come back. He then stated that the video platform to archive the Zoom Meetings is useless because users cannot go back and forth as it freezes. Mr. LeBrun suggested providing direct links to the video archives or to move them to YouTube. He then stated that there were comments at the last meeting and again during the Board Meeting, that Constant Warning Time was part of CBOSS then when CBOSS went to Wabtec, Constant Warning Time disappeared. He stated that CWT was never part of CBOSS and is part of the Electrification Project, and it needs to be severed. He stated that a Change Order will need to be issued to allow the right people to do it. He stated that it is a prerequisite to electrification. Lastly, Mr. LeBrun stated that the Board of Supervisors

did not put the one eighth sales tax on the November ballot. He stated that he does not agree when VTA is told that they no longer have to contribute to Caltrain. He stated that voters voted twice, in 2000 for Caltrain Operation \$300M and again in 2016 with Measure B.

Aleta Dupree, via Zoom Q&A, stated that it is important to continue to work to streamline TVM Upgrades and Mobile App for parking. She also mentioned that the Clipper Start Program was turned on today and asked all three counties to be the eyes and ears of the public because Clipper is a Safe Register Program and helps people get Clipper cards, keep their fare registered and will save people money, especially for those who travel regionally on multiple systems. She stated that it is important to continue to streamline and get away from paper tickets with the TVM upgrades. Lastly, she stated that electrification is very important because once the project is complete it will help a lot of people.

CHAIRPERSON'S REPORT

Chair Brian Shaw reported that Caltrain is in a fairly contentious situation right now without the sales tax and does not know what the funding mechanism will be for the railroad beyond the end of the year when the federal money is projected to run out. He stated that the local counties will have to contribute more money, if they have it, or the railroad will not be in a position to continue to function. Chair Shaw stated that this is a very challenging situation for the railroad because the fares have been so severely compromised during this period, and likely will remain that way. He then shared that at Stanford, more people have been coming back to work and noticed that the buses seem busy from the train station in the mornings and hopes it is a good sign.

COMMITTEE COMMENTS

Member Patricia Leung shared how disappointed she was about the tax being shut down by San Francisco. She asked who to advocate to, within the counties, to come up with funding. Secondly, Member Leung asked about development projects around the various train stations that will take parking from Caltrain, Santa Clara in particular. She thanked the CSC Secretary, Patrice, for providing the appropriate contacts to discuss the concern and thanked Caltrain's Real Estate team for being patient and responsive. She shared that there is a proposal to build housing in the Caltrain Parking lot at Santa Clara station to build dorms similar to the ones at UC Davis. This will reduce the number of parking spaces from 240 spaces to 94 spaces. She stated that about 1000 people board at Santa Clara and less than 100 with bikes, pre COVID. She stated that the parking lot usually fills up by 8:30 am. Member Leung also reported that there was a public outreach meeting in San Jose regarding the development at the Tamien Station parking lot.

Member Roz Kutler agreed that things are dispiriting and recommended Caltrain to continue to push air quality and not just the ridership issue. She stated that air quality is something that is very important to San Francisco and recommended staff to talk about environmental issues. She also shared that she is an essential worker riding Caltrain and is glad that staff is addressing the equity issues.

Vice Chair Adrian Brandt agreed with Public Comment from Jeff Carter about the excessive padding in the current schedule, to the point that makes Caltrain less competitive. Vice Chair urged staff to do everything possible to make an aggressive, attractive and time efficient as possible schedule with very little extra padding. He

stated that he would like to see the service be more balanced between some of the more popular stations, serving stations with skip stop trains in one direction in the morning and not the other way coming back. Mr. Brandt then pointed out that he continues to see Raymond Chen, member of the public, who lives adjacent to the San Francisco station continue to have problems with excessive train idling. Mr. Brandt suggested Caltrain to use wayside power so that the locomotive does not have to idle and generate lots of noise and exhaust. Mr. Brandt then suggested staff to revisit Constant Warning Time because staff is choosing to go forward with a non-Constant Warning Time Solution that will dramatically increase gate down times. Lastly, Mr. Brandt emphasized the tragic significance of the San Francisco Board of Supervisors failing to agendaize SB797, the one eighth sales tax.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that there is absolutely no way Caltrain is going to shut down. He said that Santa Clara County has plenty of money. He then pointed out that in May, the Governor revised his budget and negotiated a ten percent cut with the Labor Unions and Caltrain did nothing and it basically speaks to the San Francisco Board of Supervisors decision. Lastly, he stated that the Tamien Station parking lot will lose the entire lot, 450 spaces, 15,000 square feet and a childcare center, which had 75 spaces dedicated to parents and single parent families.

Jeff Carter, Millbrae, via Zoom Q&A, expressed his disappointment with the San Francisco Board of Supervisors for not advancing the SB797 sales tax. He stated that it is very important for the Peninsula and Bay Area to reduce traffic congestion and air pollution. Secondly, Mr. Carter commented on the idling trains in San Francisco and suggested Caltrain to take advantage of the wayside power at San Francisco, San Jose and CEMOF.

EQUITY ASSESSMENT UPDATE

Sebastian Petty, Director, Caltrain Policy Dev, presented the Equity Assessment Update

The full Power Point presentation can be found on caltrain.com

Committee Comments:

Member Patrick Flautt thanked Mr. Petty for the sobering presentation on Caltrain's current financial state. He then asked, concerning slide six, how Caltrain would monetize assets. Mr. Petty responded that monetizing assets has generally been in the context of development of JPB owned property or looking at leasing of fiber optic space along the corridor. The goal would be to try to find options that stay within the policy framework of this agency.

Vice Chair Adrian Brandt commented on the topic of making the system more usable and accessible for everyone that means attracting a broader range of rider demographics and income levels. He stated that it is important to go beyond the Clippers Start Pilot program. He also suggested fixing the Tariff since to ride one station stop in one direction may be double to ride many stations in the other direction. He also suggested to begin work on level boarding projects to make the system useful and more accessible for everyone. Mr. Brandt then suggested that with the closing of the Atherton station, staff consider a station to replace Atherton at the midpoint of Menlo Park in Redwood City in the vicinity of Fifth Avenue, Friendly Acres, the southern part of Redwood City. Lastly, Mr. Brandt suggested to take a page from Europe, and offer day

passes valid for 24 hours, monthly passes valid for 30/31 days, no longer tied to a month and introduce a seven-day pass, ideal for tourists.

Member Roz Kutler asked Mr. Petty whether any of the organizations, on the list, are based in southeast San Francisco. Mr. Petty confirmed that there are. Member Roz then suggested that printed materials be available in multiple languages.

Member Anna Dagum emphasized that in terms of ridership and increasing ridership for communities who have been historically marginalized in the planning process, Caltrain not forget about housing and the commitment to thirty percent affordable housing. She suggested making it all low income housing because even in this area, affordable housing is not affordable for the majority of people who are living here. This would increase ridership and equity at the same time. Riders take the train when it is convenient. She then stated that many lower income riders use the bus to get to the train, however the Samtrans bus she takes rarely makes the connection to the train. Again she reiterated that building more housing should not be overlooked, especially in light of the California High Speed Rail Environmental Impact Report that was published July 10th that specifies certain numbers of houses and businesses will be displaced with the new track being built. She stated that the land that Caltrain has is incredibly valuable and should be used to promote more affordable and low-income housing to increase equity.

Member Patricia Leung stated that VTA and the City co-own a piece of land in the parking lot at the Santa Clara station, and that VTA is trying to build 100% affordable low income housing on their portion. She stated that she is advocating for the City to also build affordable housing instead of building student housing for the University. Regarding service, Member Leung then suggested staff to focus on other trip types like off peak hours and weekends because a lot of the ridership during the peak hours were white collar workers now working from home and it would be a good time to engage other ridership. She then shared her appreciation of increased communication on the social media platforms and the partnership with Channel Seven News, talking about the COVID safety measures being taken on the trains as it puts more people at ease. Lastly, Member Leung stated that the clock face schedules make it easier for people to understand when the train will arrive and is glad to hear that it is being talked about.

Vice Chair Adrian Brandt was pleased to learn that Caltrain is part of the Blue Ribbon Transit Committee, essentially multiple Transit Agencies getting together with MTC to provide consistent messaging for COVID recovery safety measures when riding transit. He then stated that videos and materials emphasize a little too much on surface disinfecting and suggested focusing on the airborne transmission risk to reiterate the importance of wearing masks and what the agencies are doing to improve ventilation and filtration on their vehicles and requested Caltrain to bring that to the Blue Ribbon panel.

Chair Brian Shaw was pleased that Caltrain, under these challenging conditions, took the time to complete the Equity Assessment Update and that it speaks volumes of the concern the agency has for its current ridership and future ridership. He shared that the ridership for Caltrain will need to change to survive and will need to branch out and provide more diverse offerings to folks who do not ride today because it is too expensive, for folks who do not ride today because it does not offer convenient scheduling for their work hours or their trip needs and folks for which getting to the train

is challenging because of where they live in relationship to the train. He stated that if this railroad is going to survive, it must diversify its ridership base, and it must provide a deeper service to the community so that folks will vote to support it. Chair Shaw urged the Committee to take the opportunity, in the next coming weeks, to review and provide additional feedback from either themselves or the groups they may represent as it is an important initiative and will need support.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, agreed with Chair Shaw's previous comments and appreciates Caltrain for looking into Equity at this time. He then stated that he also strongly agrees with the comments made by Vice Chair Brandt, except for the 31-day pass because it does not make sense to have the monthly pass be renewed at an odd time in the month. Jeff Carter then commented on equity. He stated that it is great that Caltrain is addressing equity in fares and equity in scheduling and coordination. He stated that this could be part of Seamless Bay Area where all transit gets coordinated with the fares and schedules. He stated that regarding discounts, it could be a tricky subject because some of the biggest discounts are provided by the employer, as the Go Pass and some employers also subsidize the monthly pass. He stated that it is unfair to address discount as to who can afford it and who cannot when not everybody is included. He stated that one of the problems is that Caltrain increased the month multiplier and made the monthly pass less attractive, but a solution would be to use an accumulator on Clipper as SMART train does.

Drew, via Zoom Q&A, appreciated the mention of the fares and looking at the fare structure. He stated that the current zoning is almost criminal when it comes to equity and really appreciated it and stated that it is important to make headway to either distance-based fares or making the zones a lot smaller. He also expressed his appreciation around the idea of new stations like Fair Oaks to connect communities across lines. Drew then stated that there are six stations where Caltrain owns all of the land and can make those stations more accessible, with coordination from the respective cities. He stated that Caltrain can lead the effort in making connectivity.

TVM UPGRADE PROJECT

Christiane Kwok, Manager, Fare Program Operations, presented the TVM Upgrade Project presentation

The full Power Point presentation can be found on caltrain.com

Committee Comments:

None

Public Comments:

Aleta Dupree, via Zoom Q&A, appreciated the presentation and stated that he chip readers are a safer method for payment and will provide confidence to the public. She stated that they are more reliable and resilient than the swipes. She stated that the swipes tend to get dirty from the magnetic dust that accumulates. She then stated that once the TVMs are updated, staff should look at the elimination of paper tickets to drive more business through Clipper, continue the use of chip cards to reduce cash taken and increase mobile applications.

CALTRAIN MOBILE APP UPDATE AND CALTRAIN PARKING INTEGRATION

Christiane Kwok, Manager, Fare Program Operations, presented both the Caltrain Mobile App and Caltrain Integration presentations

The full Power Point presentations can be found on caltrain.com

Committee Comments:

Vice Chair Adrian Brandt requested status of the Pay by License Plate. Ms. Kwok responded that at this time staff does not have a plan to include the pay by plate. Mr. Joe Navarro Deputy Chief, Rail Operations stated that the capability exists, however it will take time as the Mobile App developer may be considering selling the company.

Member Patricia Leung applauded staff for the integration as it makes a huge difference for passengers to pay on the app.

Chair Shaw stated that Pay by Plate is where the parking industry is going. Caltrain can collect more parking revenue, either from people paying or from tickets issued and may find it to be a much more efficient way of parking management. He also stated that customers will no longer need to remember their parking space number.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, expressed his disappointment with his written comments not included in the packet. He stated that he disagrees with the deadline since, in this time of virtual meetings, he is unable to bring the written material to distribute during the meeting. Jeff then reiterated his written comments read earlier and asked why the raw data that created the graphs for the Mobile Update is not made available. Jeff then commented on the Clipper CIDs and stated that the more Clipper CIDs installed the better. He also said that it is great to relocate them to easier accessible areas. He is looking forward to TVMs offering Clipper transactions.

CIDs RELOCATION

Hubert Chan, Project Manager, presented the CIDs Relocation presentation

The full Power Point presentation can be found on caltrain.com

Committee Comments:

Vice Chair Adrian Brandt asked what the path forward will be when the current CIDs are no longer supported. Ms. Christiane Kwok responded that MTC is working to phase out the current equipment with new validators that were just designed and scheduled to be installed mid next year amongst twenty-two Transit Operators. Mr. Brandt then asked whether Caltrain will have funding to get the correct number of CIDs needed. Ms. Kwok stated that for the next generation, Caltrain will more than double the number of CIDs. She stated that basically, the thought behind it is to have at least one Clipper CID per train car exit. So, if Caltrain has seven car trains, at a minimum there will be seven validators on the platform.

Chair Brian Shaw shared that as a user of Redwood City, this project made a huge difference there. It aligned very well with the flow and made it easier to navigate the station. He stated that it has been tremendously beneficial to passengers using that station.

Member Roz Kutler stated that the CID relocation at Redwood City was extremely helpful with social distancing because passengers are no longer winding back. She then thanked staff.

Member Patricia Leung also thanked staff for the CID relocation at Palo Alto Station.

Public Comments:

Drew, via Zoom Q&A, thanked Mr. Navarro and his team for the many projects completed. He stated that the public hears a lot about the big projects with electrification and that there are also smaller projects that make passenger's lives better and easier for people to ride.

Roland Lebrun, via Zoom Q&A, asked the Chair, regarding contract 15-KP-031, how much was paid to Stantec for the outstanding piece of work. He stated that during these hard times, it would be useful information. Mr. Hubert Chan stated that he will forward the information to have it shared.

STAFF REPORT UPDATE

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

On-time Performance (OTP) –

- **June:** The June 2020 OTP was 96.3% compared to 95% for June 2019.
 - **Mechanical Delays** – In June 2020 there were 589 minutes of delay due to mechanical issues compared to 787 minutes in June 2019.
 - **Trespasser Strikes** – There were three trespasser strikes on June 8, 11 and 12, all resulting in fatalities.
- **May:** The May 2020 OTP was 95.8% compared to 95% for May 2019.
 - **Trespasser Strikes** – There were two trespasser strikes on May 4 and 16, both resulting in fatalities.

(The full report can be found on caltrain.com)

Joe Navarro, Deputy Chief, Rail Operations, stated that part of his job is coming up with reasonable accommodations that benefit everyone. What may be reasonable for one person may not be for the majority of other passengers. He stated that solutions need to be weighed out just as they do for the train idling issue and that there is a lot that goes on behind the scenes. There are eleven Unions on the property along with PTC guidelines that need to be adhered to. He then commented on dwell times and stated that Caltrain is dealing with COVID-19 in three different counties with three different requirements or recommendations that make it very difficult. One of the counties requested dwell times built into Caltrain's service so that people do not gather and keep social distancing. He stated that these are some of the things staff has been dealing with. He also stated that staff has been taking concerns from the Committee and Members of the Public and have been weighing out reasonable accommodations for everyone all while following what is required by the various local governments, the

CPUC, the three Counties, the Federal Government, the FTA, and the FRA. Mr. Navarro reiterated that staff takes the concerns of the Committee and the Members of the Public into consideration and looks at everything.

Committee Comments:

Chair Brian Shaw appreciated Mr. Navarro sharing the context for challenging situations staff navigate even more so today than ever before.

Vice Chair Adrian Brandt thanked Mr. Navarro for his response on idling trains. He stated that there is room for a happy medium and suggested not positioning trains that are idling on the outside track, which face the condos so that a train that is shut down can be on track 12 and the idling train can be closer to the center, so they are blocked by the other trains. Mr. Navarro stated that it is already happening. He also stated that there are policies and procedures in place, which are inspected by Managers and his staff, several times a month. Vice Chair Brandt then asked staff to share the county's request to pad dwell time with the public. Mr. Navarro stated that it is Santa Clara's recommendation. Mr. Brandt appreciated the clarification.

Public comments:

Jeff Carter, Millbrae, via Zoom Q&A, expressed his deepest appreciation to Joe and his team because in the past, Caltrain has not been so responsive and since Joe arrived, there has been a great response to making the service better and trying to address the concerns of the public and the CAC Members.

Drew, via Zoom Q&A, asked whether there were slow orders at the Hillsdale 25th Avenue Grade Separation. He said that if there are slow orders, it may add time to the schedule and if the same thing is happening at South San Francisco that may also add time to the schedule that may not be evident.

Roland Lebrun, San Jose, via Zoom Q&A, agreed with Jeff Carter's previous public comment and stated that the public should not pile on too much for staff with the situation right now. He then asked Mr. Navarro to share when there are issues that are close with different counties doing different things, it is something the public should be made aware of because perhaps there is something that can be done.

JPB CAC Work Plan

August 19, 2020

- FY 2021 JPB Preliminary Operating & Capital Budgets
- COVID-19 Productivity Report

September 16, 2020

- Rail Safety Education / Suicide Prevention Efforts
- Industry Safe Functionality

October 21, 2020

- Brown Act Training

November 18, 2020

- PCEP Update

December 16, 2020



Items to be scheduled

- 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
- Grade Crossing Improvements to be scheduled for a future meeting
- Operating Costs – requested by Member Adrian Brandt on 2/13/20
- Sales Tax Measure – requested by Member Adrian Brandt on 7/8/20

Committee Comments:

None

Public comments:

Roland Lebrun, San Jose, via Zoom Q&A, Roland referred to Drew's earlier public comment regarding a possible new North Fair Oaks station and wanted to bring to everyone's attention that on August 4th at the Atherton Rail Committee, he will be presenting a full blown High Speed Rail station, double length station with passing tracks, transfer platforms and a connection to the Dumbarton Rail. He offered to present the same presentation to the CAC if the committee is interested. He also welcomed everyone to attend via Zoom if they are interested. Lastly, he stated that by next month he may be able to present on Constant Warning Time.

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

August 19, 2020 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 8:07 pm

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

FROM : Jim Hartnett
Executive Director

SUBJECT: **UPDATE ON STATUS OF AGENCY APPROVALS OF CALTRAIN SALES TAX**

ACTION

Staff will provide an update on the status of actions taken by the six agencies whose governing boards' approvals are required before the Peninsula Corridor Joint Powers Board (JPB) can call for an election in the City and County of San Francisco, County of San Mateo and County of Santa Clara (together, the "Counties") to impose a 1/8 of one percent (0.125%) retail transactions and use tax to fund Caltrain.

As of publication of this report, two of the six agencies have approved the JPB calling an election on one form of tax measure, one of the six agencies has approved a different form of tax measure, and three agencies have not approved any form of tax measure. Accordingly, there is no specific staff recommendation for JPB Board of Directors (Board) action at this time.

JPB Special Counsel from Olson Remcho will be available during the Board's discussion to answer questions.

SIGNIFICANCE

Since its inception, the JPB has had no dedicated source of funding other than passenger fares and, instead, relies on contributions from its Member Agencies – the San Mateo County Transit District (SMCTD), Santa Clara Valley Transportation Authority (VTA) and City and County of San Francisco (CCSF) – to fund its operating and capital budgets under two different funding formulas. Each of the Member Agencies (a) contributes an equal amount of capital funding each year and (b) supplements operating funding based on the percentage of system ridership originating in each County. The levels of both capital and operating funding are determined by the funding capacity of the Member Agency with the least ability to provide its share of funding in any given year, and the amount that Member Agency can make available then becomes the standard against which the contributions of the other Member Agencies are calculated.

This approach fosters an uncertain financial and planning environment for the JPB, which is exacerbated by continually-escalating operating, maintenance and repair costs, thereby keeping the JPB from operating at service levels that meet the rising passenger demands for Caltrain service.

In 2017, the Governor signed Senate Bill (S.B.) 797, introduced by Senator Jerry Hill, authorizing the JPB to implement a new retail transactions and use tax of up to 0.125% in the three Counties served by Caltrain, even if the new tax would exceed the 2% cap for sales taxes in any or all of the counties or the cities within the three Counties, if (i) the Board of Directors of the JPB adopts by a 2/3 vote a resolution submitting the measure to the voters, (ii) the measure is approved by the Boards of Supervisors in the Counties of Santa Clara, San Mateo and San Francisco, (iii) the measure is approved by the governing boards of the San Francisco Municipal Transportation Agency (SFMTA), SMCTD and VTA, and (iv) the tax is adopted by a two-thirds vote of the three Counties' voters.

Staff prepared three resolutions at the direction of the JPB, and consistent with guidance from working groups comprised of (1) elected or appointed members of the Counties' Boards of Supervisors and the Boards of Directors of SFMTA, SMCTD and VTA, including JPB leaders, and (2) staff leaders of the same agencies, as follows:

- The first resolution was to be considered by the six agencies as an approval action;
- The second resolution was the tax measure that would have implemented the sales tax, if adopted by 2/3 of the voters in the three Counties, and
- The third resolution would have called for an election on the tax measure in the three Counties.

The first and second resolutions stated that the revenues of the tax, if approved, would have been prioritized:

1. to support the operation of Caltrain service levels throughout the corridor from San Francisco to Gilroy, including, but not limited to, expanded service and increased capacity realized through the operation of an electrified system;
2. to support the infrastructure, rolling stock, and capital projects necessary to advance the expansion of the Caltrain peak hour service from 6 trains per hour per direction to 8 trains per hour per direction, as well as the expansion of the Gilroy service to a minimum of five morning and five afternoon trains;
3. to develop and implement programs to expand access to the Caltrain service and facilitate use of the system by passengers of all income levels, including establishing an affordability program with consideration of discounted passes and/or additional means-based fare discounts informed by Caltrain's Means Based Fare Pilot Program;
4. to help leverage other local, regional, state and federal investments to advance capital projects necessary to implement the Caltrain Business Plan's 2040 Service Vision, adopted by the Board on October 3, 2019, including, but are not limited to: the San Francisco Downtown Extension project including the Pennsylvania Avenue alignment, the extension of electrified train service to Gilroy, and grade separations throughout the Caltrain rail corridor; and
5. to provide the JPB with a steady stream of funding to support the annual operating, maintenance and capital needs of an electrified Caltrain service with increased frequency and capacity, which in turn will reduce traffic congestion and air pollution in the Counties.

As of the July 9, 2020 JPB meeting, 2/3 of the Board indicated support for the JPB to place a tax measure before the voters for approval on November 3, 2020. The

deadline for submittal of a measure to the elections offices in each of the Counties is August 7, 2020 (the day after this JPB meeting).

The San Mateo County Transit District and the Board of Supervisors of the County of San Mateo adopted the first resolution (approving JPB action to proceed with calling an election) on April 1, 2020 and May 5, 2020, respectively. The San Francisco County Board of Supervisors (SFBOs) adopted a different version of the first resolution on July 28, 2020, with revisions to include various conditions related to JPB governance and management, and placement of tax revenue in escrow pending certain conditions being met. The SFBOs resolution also conditioned that agency's approval of the tax on adoption of an identical resolution for the other six boards, including the governance conditions. Copies of both resolutions are attached to this staff report.

On July 31, the SFMTA Board of Directors held a special meeting to consider the tax. Though there was a motion to approve the SFBOs resolution, the motion failed and the resolution was not adopted. The SFMTA Board discussed adopting the same resolution as the SMCTD and San Mateo County Board of Supervisors (e.g., without governance conditions), but no motion was made. The SFMTA Board of Directors agreed to be open to meeting again on August 5 to further consider the matter, depending on other boards' actions in the interim.

As of publication of this report:

- The Santa Clara County Board of Supervisors is slated to consider approval of the tax at its meeting on August 4;
- The San Mateo County Board of Supervisors has a meeting on August 4, but JPB staff has not received any indication that this body will consider action consistent with the SFBOs resolution;
- The SMCTD Board of Directors also has a meeting on August 5; no further action on the tax has been listed on the agenda; and
- The VTA Board of Directors will meet on August 6, after the JPB, and is expected to consider action on the tax.

BUDGET IMPACT

The Senate's analysis of S.B. 797 estimates that a 1/8 percent transactions and use tax in the three Counties would generate approximately \$100 million per year, which the analysis states would be sufficient to replace the JPB member agencies' annual contributions as well as to provide an additional \$60-70 million per year for ongoing maintenance and new capacity-increasing capital projects.

BACKGROUND

The Joint Powers Agreement between CCSF, SCVTA and SMCTD, which created and governs the JPB, defines the three member agencies' responsibilities for funding Caltrain operations and capital costs. That agreement, as it has been amended over the years, along with other financial, governance and property-related agreements between the JPB member agencies, are described in detail in a report presented to the Board at its July 9, 2020 meeting by special legal counsel Olson Remcho.

Prepared by: Jim Hartnett, Executive Director

RESOLUTION NO. 2020-12

**BOARD OF DIRECTORS, SAN MATEO COUNTY TRANSIT DISTRICT
STATE OF CALIFORNIA**

* * *

**APPROVING THE PENINSULA CORRIDOR JOINT POWERS BOARD'S PLACEMENT
OF A THREE-COUNTY MEASURE TO IMPOSE A ONE-EIGHTH OF ONE PERCENT RETAIL
TRANSACTIONS AND USE TAX TO BE USED FOR OPERATING AND CAPITAL PURPOSES OF
THE CALTRAIN RAIL SERVICE ON THE NOVEMBER 3, 2020 ELECTION BALLOT**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) is a joint exercise of powers authority duly formed pursuant to the October 3, 1996 joint powers agreement between the City and County of San Francisco (CCSF), the San Mateo County Transit District (SMCTD), and the Santa Clara Valley Transportation Authority (VTA) (together, the "Member Agencies"); and

WHEREAS, the JPB operates the Caltrain passenger rail service between San Francisco, California and Gilroy, California, currently serving 32 stations along the 77-mile corridor; and

WHEREAS, since its inception, the JPB has had no dedicated source of funding other than passenger fares and, instead, relies on contributions from its Member Agencies to fill minimum financial requirements in its operating and capital budgets under two different funding formulas; and

WHEREAS, for capital costs, each of the Member Agencies (a) contributes an equal amount of capital funding each year and (b) supplements operating funding based on the percentage of system ridership originating in each County; and

WHEREAS, the levels of both capital and operating funding are determined by the funding capacity of the Member Agency with the least ability to provide its share of funding in any given year, and the amount that Member Agency can make available

then becomes the standard against which the contributions of the other Member Agencies are calculated; and

WHEREAS, this approach fosters an uncertain financial and planning environment for the JPB, which is exacerbated by continually-escalating operating, maintenance and repair costs, thereby keeping the JPB from operating at service levels that meet the rising passenger demands for Caltrain service; and

WHEREAS, Caltrain, the seventh largest commuter rail service in the nation, operates the most efficient such service based on costs per passenger mile, and has the highest farebox recovery rate of all the commuter rail services nationwide at 70%, which reflects the proportion of operating costs funded by passenger fares; and

WHEREAS, the JPB is facing significant and ever-increasing structural funding shortfalls, which impact its ability to meet its operational needs, address its state of good repair requirements and undertake necessary capital improvements to sustain the Caltrain service; and

WHEREAS, the JPB has embarked upon a project to electrify its right of way between San Francisco and San Jose, which will transform the Caltrain service into a more environmentally sustainable, quiet and nimble operation commencing in 2022; and

WHEREAS, although the electrified Caltrain service will eliminate the costs of diesel fuel, Caltrain will confront new system and technological costs for operation and maintenance of the electrified system, the electrical multiple unit rail cars, and the positive train control system; and

WHEREAS, to provide a means to address the JPB's financial challenges, in 2017 the Governor signed Senate Bill No. 797, introduced by Senator Jerry Hill, authorizing the JPB to implement a new retail transactions and use tax of up to 0.125 percent in the

three Counties served by Caltrain if (i) the Board of Directors of the JPB adopts a resolution submitting the measure to the voters, (ii) the measure is approved by the Boards of Supervisors in the Counties of Santa Clara, San Mateo and San Francisco, (iii) the measure is approved by a majority vote of the governing boards of the San Francisco Municipal Transportation Agency, the SMCTD, and VTA, and (iv) the tax is adopted by a two-thirds vote of the three Counties' voters; and

WHEREAS, the revenues derived from the one-eighth cent sales tax will provide a dedicated fund source to support the operational and capital cost of the service; and

WHEREAS, more specifically, the tax revenues from this measure will be prioritized:

- To support the operation of Caltrain service levels throughout the corridor from San Francisco to Gilroy, including, but not limited to, expanded service and increased capacity realized through the operation of an electrified system. The required support includes the maintenance of equipment, infrastructure and systems necessary to sustain and expand the service;
- To support the infrastructure, rolling stock, and capital projects necessary to advance the expansion of the Caltrain peak hour service from 6 trains per hour per direction to 8 trains per hour per direction, as well as the expansion of the Gilroy service to a minimum of five morning and five afternoon trains;
- To develop and implement programs to expand access to the Caltrain service and facilitate use of the system by passengers of all income levels, including establishing an affordability program with consideration of discounted passes and/or additional means-based fare discounts informed by Caltrain's Means Based Fare Pilot Program; and

WHEREAS, revenues will also be available to help leverage other local, regional, state and federal investments to advance capital projects necessary to implement the

Caltrain Business Plan's 2040 Service Vision, adopted by the Peninsula Corridor Joint Powers Board on October 3, 2019. These projects include, but are not limited to: the San Francisco Downtown Extension project including the Pennsylvania Avenue alignment, the extension of electrified train service to Gilroy, and grade separations throughout the corridor; and

WHEREAS, as required by California Revenue and Taxation Code section 7286.65 (b), this Resolution evidences the District's approval for the JPB to place a sales tax measure before the voters of the three Counties to provide the JPB with a steady stream of funding to support the annual operating, maintenance and capital needs of an electrified Caltrain service with increased frequency and capacity, which in turn will reduce traffic congestion and air pollution in the three Counties.

NOW, THEREFORE, BE IT RESOLVED that the San Mateo County Transit District approves placement by the Peninsula Corridor Joint Powers Board of a resolution on the November 3, 2020 ballot in Santa Clara, San Mateo and San Francisco Counties to authorize the JPB to impose a one-eighth of one percent (0.125%) retail transactions and use tax for a period of thirty (30) years, throughout the three Counties, to fund operating and capital expenses of the Caltrain rail service, and support the operating and capital needs required to implement the Service Vision adopted by the Peninsula Corridor Joint Powers Board on October 3, 2019 as part of the Caltrain Business Plan.

Regularly passed and adopted this 1st of April, 2020 by the following vote:

AYES: Collins, Fraser, Guilbault, Pine, Powell, Ratto, Stone, Matsumoto

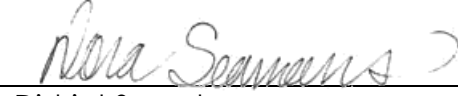
NOES: None

ABSENT: Groom



Chair, San Mateo County Transit District

ATTEST:



District Secretary

1 [Conditionally Approving Submission of Sales Tax to Support Caltrain Service - November 3,
2020, Election]

2
3 **Resolution conditionally approving submission of one-eighth of one percent (0.125%)**
4 **retail transactions and use tax for Caltrain or its successor agency to use to support its**
5 **immediate and long-term operational and capital costs, at an election to be held on**
6 **November 3, 2020; and affirming the San Francisco Municipal Transportation Agency’s**
7 **determination under the California Environmental Quality Act.**

8
9 WHEREAS, The Peninsula Corridor Joint Powers Board (“JPB”) is a joint exercise of
10 powers authority duly formed pursuant to the October 3, 1996, joint powers agreement
11 between the City and County of San Francisco, the San Mateo County Transit District
12 (“SMCTD”), and the Santa Clara Valley Transportation Authority (“VTA”) (together, the
13 "Member Agencies"); and

14 WHEREAS, The JPB operates the Caltrain passenger rail service between San
15 Francisco, California and Gilroy, California, currently serving 32 stations along the 77-mile
16 corridor; and

17 WHEREAS, Since its inception, the JPB has had no dedicated source of funding other
18 than passenger fares and, instead, relies on contributions from its Member Agencies to fill
19 minimum financial requirements in its operating and capital budgets under two different
20 funding formulas; and

21 WHEREAS, For capital costs, each of the Member Agencies (a) contributes an equal
22 amount of capital funding each year and (b) supplements operating funding based on the
23 percentage of system ridership originating in each County; and

24 WHEREAS, The levels of both capital and operating funding are determined by the
25 funding capacity of the Member Agency with the least ability to provide its share of funding in

1 any given year, and the amount that Member Agency can make available then becomes the
2 standard against which the contributions of the other Member Agencies are calculated; and

3 WHEREAS, This approach fosters an uncertain financial and planning environment for
4 the JPB, which is exacerbated by continually-escalating operating, maintenance and repair
5 costs, thereby keeping the JPB from operating at service levels that meet the rising passenger
6 demands for Caltrain service; and

7 WHEREAS, Caltrain, the seventh largest commuter rail service in the nation, operates
8 the most efficient such service based on costs per passenger mile, and has the highest
9 farebox recovery rate of all the commuter rail services nationwide at 70%, which reflects the
10 proportion of operating costs funded by passenger fares; and

11 WHEREAS, The JPB is facing significant and ever-increasing structural funding
12 shortfalls, which impact its ability to meet its operational needs, address its state of good
13 repair requirements and undertake necessary capital improvements to sustain the Caltrain
14 service; and

15 WHEREAS, The JPB has embarked upon a project to electrify its right of way between
16 San Francisco and San Jose, which will transform the Caltrain service into a more
17 environmentally sustainable, quiet and nimble operation commencing in 2022; and

18 WHEREAS, Although the electrified Caltrain service will eliminate the costs of diesel
19 fuel, Caltrain will confront new system and technological costs for operation and maintenance
20 of the electrified system, the electrical multiple unit rail cars, and the positive train control
21 system; and

22 WHEREAS, To provide a means to address the JPB's financial challenges, in 2017 the
23 Governor signed Senate Bill No. 797, introduced by Senator Jerry Hill, authorizing the JPB to
24 implement a new retail transactions and use tax of up to 0.125 percent in San Francisco, San
25 Mateo, and Santa Clara Counties (together, the "Counties") if (i) the Board of Directors of the

1 JPB adopts a resolution submitting the measure to the voters, (ii) the submission of the
2 measure to the voters is approved by the Boards of Supervisors in the Counties, (iii) the
3 submission of the measure to the voters is approved by a majority vote of the governing
4 boards of the San Francisco Municipal Transportation Agency (“SFMTA”), the SMCTD, and
5 VTA, and (iv) the tax is adopted by a two-thirds vote of the three Counties' voters; and

6 WHEREAS, The revenues derived from the one-eighth cent sales tax will provide a
7 dedicated fund source to support the operational and capital cost of the service; and

8 WHEREAS, More specifically, the tax revenues from this measure will be prioritized:

9 • To support the operation of Caltrain service levels throughout the corridor from San
10 Francisco to Gilroy, including, but not limited to, expanded service and increased capacity
11 realized through the operation of an electrified system; the required support includes the
12 maintenance of equipment, infrastructure and systems necessary to sustain and expand the
13 service;

14 • To support the infrastructure, rolling stock, and capital projects necessary to advance
15 the expansion of the Caltrain peak hour service from 6 trains per hour per direction to 8 trains
16 per hour per direction, as well as the expansion of the Gilroy service to a minimum of five
17 morning and five afternoon trains; and

18 • To develop and implement programs to expand access to the Caltrain service and
19 facilitate use of the system by passengers of all income levels, including establishing an
20 affordability program with consideration of discounted passes and/or additional means-based
21 fare discounts informed by Caltrain’s Means Based Fare Pilot Program; and

22 WHEREAS, Revenues will also be available to help leverage other local, regional, state
23 and federal investments to advance capital projects necessary to implement the Caltrain
24 Business Plan’s 2040 Service Vision, adopted by the JPB on October 3, 2019; these projects
25 include, but are not limited to: the San Francisco Downtown Extension project including the

1 Pennsylvania Avenue alignment, the extension of electrified train service to Gilroy, and grade
2 separations throughout the corridor; and

3 WHEREAS, On March 10, 2020, the SFMTA, under authority delegated by the
4 Planning Department, determined that the approval of the Peninsula Corridor Joint Powers
5 Board's placement of a tax on the ballot is not a "project" under the California Environmental
6 Quality Act ("CEQA") pursuant Title 14 of the California Code of Regulations, Sections
7 15060(c) and 15378(b); and

8 WHEREAS, A copy of the CEQA determination is on file with the Clerk of the Board of
9 Supervisors in File No. 200793, and is incorporated herein by reference; and

10 WHEREAS, This tax measure is a district measure governed by the California
11 Elections Code, Division 9, Chapter 4, Section 9300, et seq.; and

12 WHEREAS, Under California Elections Code, Section 9313, the Santa Clara County
13 Counsel's Office shall prepare the impartial analysis of this tax measure for inclusion in San
14 Francisco's Voter Information Pamphlet, shall make the impartial analysis available for public
15 review for ten days, and shall submit the impartial analysis and available translations of that
16 impartial analysis to the San Francisco Department of Elections; and

17 WHEREAS, The San Mateo County Registrar of Voters shall serve as the district
18 elections official for this tax measure, shall make the tax measure's legal text and arguments
19 available for public examination for ten days, and shall submit the final materials to the San
20 Francisco Department of Elections; and

21 WHEREAS, The JPB shall reimburse the San Francisco Department of Elections for its
22 incremental costs incurred due to the inclusion of this tax measure in the City and County of
23 San Francisco's Voter Information Pamphlet, ballots, and associated materials; and

24 WHEREAS, As required by California Revenue and Taxation Code, Section
25 7286.65(b), this Resolution evidences the San Francisco Board of Supervisors' ("Board's")

1 approval for the JPB to place a sales tax measure before the voters of the three Counties to
2 provide the JPB (or its successor agency) with a steady stream of funding to support the
3 annual operating, maintenance, and capital needs of an electrified Caltrain service with
4 increased frequency and capacity, which in turn will reduce traffic congestion and air pollution
5 in the three Counties, subject to the conditions set forth in subparagraphs a) through f); now,
6 therefore, be it

7 RESOLVED, That the San Francisco Board of Supervisors approves placement by the
8 Peninsula Corridor Joint Powers Board of a regional measure on the November 3, 2020,
9 ballot in Santa Clara, San Mateo and San Francisco Counties to impose a one-eighth of one
10 percent (0.125%) retail transactions and use tax for a period of thirty (30) years, throughout
11 the three Counties, to enable Caltrain (or its successor agency) to fund operating and capital
12 expenses of the Caltrain rail service, and support the operating and capital needs required to
13 implement the Service Vision adopted by the JPB on October 3, 2019, as part of the Caltrain
14 Business Plan; and, be it

15 FURTHER RESOLVED, That the Board’s approval of placement of the Caltrain tax
16 measure on the November 3, 2020 ballot is subject to the following conditions:

- 17 a) That the SFMTA, SMCTD, VTA, the San Francisco Board of Supervisors, San
18 Mateo County Board of Supervisors, Santa Clara Board of Supervisors, and the
19 JPB Board of Directors (“JPB Board”) approve placement of the Caltrain tax
20 measure on the November 3, 2020 ballot in the Counties subject to the conditions
21 set forth in paragraphs a) – f) of this resolution, and include these conditions in their
22 resolutions approving the placement of the Caltrain tax measure on the November
23 3, 2020 ballot;
- 24 b) That all Caltrain tax revenue shall be held in a special escrow account under the
25 sole and absolute control of the JPB Board, which may be disbursed by the JPB

1 with the approval of a two-thirds majority of the JPB Board at any time, until such
2 time as the JPB Board has amended the Joint Powers Agreement by a two-thirds
3 vote to modify its governance structure or procedures, at which time the JPB Board
4 may transfer all funds held in the special escrow account to any other accounts held
5 by JPB, and may authorize the unrestricted use of these and all subsequent sales
6 tax revenues for operating or capital expenditures as authorized by the Caltrain tax
7 measure;

8 c) That notwithstanding subparagraph b), if Caltrain receives less than \$40 million in
9 Federal or other emergency relief funds between the date of JPB approval of the
10 Caltrain tax measure and the effective date of the Caltrain tax measure, the first \$40
11 million collected, minus an amount equal to any emergency relief funds received by
12 Caltrain during that period, shall be used to offset member operating contributions
13 and help replace COVID-related fare losses, maintain essential services, and fund
14 operating budgets as approved by the JPB Board;

15 d) That if the JPB Board has not amended the Joint Powers Agreement by a two-thirds
16 majority by September 30, 2021 to modify its governance structure or procedures,
17 the JPB shall release up to \$40 million from the special escrow account to maintain
18 essential services and fund operating budgets as approved by the JPB Board, with
19 the remaining sales tax funds held in the special escrow account until completion of
20 the Caltrain Electrification Project or December 31, 2022, whichever occurs later, at
21 which point funds from the special escrow account may be used for any eligible
22 purpose authorized by the JPB Board with a two-thirds majority, as provided by
23 paragraph b);

24 e) That if the JPB Board has not amended the Joint Powers Agreement by a two-thirds
25 majority by December 31, 2022 to modify its governance structure or procedures,

1 the JPB shall work with the State Legislature to modify the JPB's governance
2 structure or procedures in the 2023 Legislative session; and

- 3 f) That the JPB Board shall appoint an independent special counsel and auditor (and
4 shall not have the same counsel and auditor as SMCTD) within 90 days of
5 placement of the Caltrain tax measure on the November 3, 2020 ballot, to represent
6 the JPB in all future matters.

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City and County of San Francisco

Tails
Resolution

City Hall
1 Dr. Carlton B. Goodlett Place
San Francisco, CA 94102-4689

File Number: 200793

Date Passed: July 28, 2020

Resolution conditionally approving submission of one-eighth of one percent (0.125%) retail transactions and use tax for Caltrain or its successor agency to use to support its immediate and long-term operational and capital costs, at an election to be held on November 3, 2020; and affirming the San Francisco Municipal Transportation Agency's determination under the California Environmental Quality Act.

July 28, 2020 Board of Supervisors - AMENDED, AN AMENDMENT OF THE WHOLE BEARING NEW TITLE

Ayes: 11 - Fewer, Haney, Mandelman, Mar, Peskin, Preston, Ronen, Safai, Stefani, Walton and Yee

July 28, 2020 Board of Supervisors - ADOPTED AS AMENDED

Ayes: 11 - Fewer, Haney, Mandelman, Mar, Peskin, Preston, Ronen, Safai, Stefani, Walton and Yee

File No. 200793

I hereby certify that the foregoing Resolution was ADOPTED AS AMENDED on 7/28/2020 by the Board of Supervisors of the City and County of San Francisco.

Angela Calvillo
Clerk of the Board

London N. Breed
Mayor

Date Approved

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Caltrain

SUBJECT: **DRAFT EQUITY, CONNECTIVITY, RECOVERY & GROWTH FRAMEWORK**

ACTION

Staff Coordinating Council recommends the Board of Directors (Board) receive the attached draft "Equity, Connectivity, Recovery & Growth Framework" along with an informational ppt.

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. The accompanying presentation and draft "Equity, Connectivity, Recovery and Growth Framework" are part of a series of recovery planning updates and requests for action that will be brought to the Board over the coming months. This item was initially brought to the full JPB in July but was not discussed due to time constraints. It was subsequently brought to the Work Program Legislative Planning Committee (WPLP) in July.

The Draft Framework is a policy statement that has been developed within the context of the COVID crisis, leveraging work conducted through the Caltrain Business Plan. The Framework is similar to the Long Range Service Vision (adopted by the JPB in 2019) in that it is intended to constitute an interim policy decision by the Board within the larger Caltrain Business Plan process. The framework has been developed to provide high level policy guidance on the following questions related to equity, connectivity, recovery and growth;

- What are Caltrain's guiding principles for recovery planning during the COVID Crisis?
- How can Caltrain ensure that our system benefits those who need it most?
- How can Caltrain best fulfill our role as part of an essential regional network?
- How can can Caltrain accelerate our plans for equity and connectivity to meet the current moment?
- How does the current crisis relate to and inform our long-range plans for growth?

Throughout the month of July, staff has engaged in extensive outreach on the Draft “Equity, Connectivity, Recovery and Growth Framework,” and has solicited feedback from multiple stakeholder groups including;

- The Business Plan Project Partner Committee
- The Business Plan Stakeholder Advisory Group
- The City / County Staff Group
- The Local Policy Maker Group
- Broad, direct outreach to Community Based Organizations (CBOs) in all three counties
- Individualized follow up with CBOs and individuals previously interviewed during the equity assessment

Due to the significant nature of this policy and the need for robust public input, staff has elected to extend the deadline for comment to August 21. This will allow staff additional opportunity to incorporate Board feedback into the policy and will also allow time for further outreach to be conducted. A revised version of the policy will be brought to the Board for consideration and potential adoption at the September meeting.

BUDGET IMPACT

There is no budget impact associated with receiving this informational update.

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.

CALTRAIN FRAMEWORK FOR EQUITY, CONNECTIVITY, RECOVERY & GROWTH

DRAFT FOR DISCUSSION AND COMMENT

The following draft "Caltrain Framework for Equity, Connectivity, Recovery and Growth" has been developed for consideration by the Peninsula Corridor Joint Powers Board to provide guidance to staff and transparency to the public as the railroad navigates a prolonged period of intensive challenges and transformation. In fall 2019, the JPB adopted the Caltrain 2040 Long Range Service Vision, setting a blueprint for the future development of the Caltrain corridor and service over the next two decades. The Framework for Equity, Connectivity, Recovery and Growth is a companion document that outlines initial principles and policy for how Caltrain will navigate near- and mid-term challenges while incrementally advancing toward its Long Range Vision.

The Framework is based on detailed technical analysis undertaken by Caltrain and its partner agencies as part of the "Caltrain Business Plan" process during 2018, 2019 and 2020. It builds on this analysis and outlines the initial principles, policies and actions the railroad must urgently pursue to help the region address the interrelated and compounding crises of the COVID-19 pandemic and longstanding systemic inequality and racism. The Framework is also a starting point. Over the coming months and years there is more work that Caltrain will need to do as we navigate a new and rapidly changing business environment and as we strive to better understand our role and responsibility in making the Bay Area a more inclusive and equitable region for people of all races and income levels.

Guiding Principles

- 1) Caltrain's Framework for Equity, Connectivity, Recovery & Growth directs the railroad to undertake both near-term recovery planning as well as the longer term planning and implementation of its services and projects in accordance with the following guiding principles:
 - A.) Caltrain shall make a priority of addressing the specific needs of riders and communities who depend on transit for essential travel. In particular, the railroad will work to enhance **equity** in its system, making its services more accessible and relevant to lower income people and members of racial groups and communities who have historically been marginalized and overlooked in planning and government processes.
 - B.) Caltrain recognizes its unique position as a critical link within the Bay Area's passenger rail network. The railroad will undertake policies and actions that improve

its **connectivity** to other transit systems strengthen its role as part on a regionally integrated network.

C.) Caltrain must address the needs of the pandemic present while simultaneously planning for and working toward a long-term future. The railroad will endeavor to proceed on a path of **recovery and growth** that anticipates, advances and, where possible, accelerates the incremental delivery of the 2040 Long Range Service Vision.

Equity

2) In accordance with principle 1A, the Framework guides Caltrain toward advancing the following policies and actions as soon as practicable and financially feasible with the goal of increasing social and racial equity on the system today and in the future.

A.) Undertake service planning and service changes in a manner that enhances equity and access for underserved communities and markets including people with lower incomes and members of racial and ethnic minority groups. This includes:

- 1) Improving midday and off-peak service levels to serve and attract customers who need the system for non-work trips or whose work schedules do not conform to historic peak commute hours;
- 2) Considering social and racial equity as a significant factor in determining the restoration and expansion of service frequencies at individual stations; and
- 3) Engaging in research, dialog and planning to understand how best to provide meaningful access and connections between the Caltrain system and historically underserved low income and minority communities along the corridor.
- 4) Undertaking planning to improve Caltrain station access facilities most heavily used by low income riders, including bus stops, bicycle parking, pick-up/drop-off areas, and walkways

B.) Take steps to ensure that the Caltrain system is affordable to all and that fare policies are equitable. This includes:

- 1) Seeking Board action to temporarily suspend the implementation of fare increases previously authorized by the JPB as ridership recovers from the COVID-19 Pandemic.
- 2) Affirming Caltrain's ongoing support for the regional means-based fare program (Clipper START) and working collaboratively with MTC and other transit operators to increase the effectiveness and reach of the program.

- 3) Accelerating and expanding further fare policy analysis called for in the 2018 Fare Study. This includes both study and evaluation of the Go Pass and other discount programs and well as potential changes to the overall structure of the fare system to improve equity and ridership outcomes.
 - 4) Constructive participation in the Regional Fare Coordination and Integration Study, towards the goals of increasing ridership and enhancing the ease and affordability of trips made using multiple transit providers.
- C.) Sustain and deepen Caltrain's commitment to social and racial equity through an ongoing program of institutional learning, dialog and accountability. This includes:
- 1) Engaging in additional research, planning and dialog to identify ways in which Caltrain can further improve and expand access to low income people and members of underserved racial and ethnic groups
 - 2) Consideration and improvement of Caltrain's outreach processes, marketing materials and customer information systems to ensure that they exceed minimum standards and are intelligible, intuitive and welcoming to customers representing a broad spectrum of cultural and linguistic backgrounds; and
 - 3) Development and implementation of standards, measurements and a reporting schedule to track Caltrain's progress toward becoming a more inclusive and equitable system.
- 3) In accordance with principle 1B, the Framework further directs Caltrain to advance the following policies and actions to maximize connectivity to other transit providers as part of an integrated regional rail and transit system
- A.) Plan for a standardized "clock face" schedule with consistent arrivals and departures at stations so that shuttle, bus, and light rail transit providers and intercity rail operators have the ability to predict and plan to Caltrain's service.
 - B.) Prioritize the coordination of major intermodal transfers within service planning, focusing initially on the connection to BART at Millbrae and considering other key transfer points as practicable.
 - C.) Build on and expand existing coordination with other transit and rail operators to ensure that inter-operator coordination and connectivity is safeguarded and improved as recovery efforts proceed and as Caltrain prepares for the launch of electrified service.

- D.) Consider the ease of transfers as a key factor in the further development of the railroad's fare policy and continue to seek integration with, and participate in, State and regional fare programs- including continuing constructive participation in the Regional Fare Coordination and Integration Study.
- 4) Finally, in accordance with principle 1C, the Framework guides Caltrain towards planning for recovery and growth in a manner that looks toward the future and incrementally advances and implements the 2040 Long Range Service Vision over the course of the coming decade.
- A.) Strive to deliver specific elements and benefits of the Long Range Service Vision as soon as is practicable and supported by the market demand and financial circumstances of the railroad.
- B.) Plan and build toward an “enhanced growth” level of service, beyond initial electrification, that includes the provision of an 8 train per hour per direction peak hour service level between San Francisco and San Jose, and enhanced service south of San Jose to the extent achievable based on current corridor ownership constraints.
- C.) Refine and advance the planning and development of a program of capital improvements to support the “enhanced growth” level of service, including but not limited to:
- 1) The full electrification of the mainline service between San Francisco and San Jose and the corresponding expansion of Caltrain's electrified fleet and storage facilities;
 - 2) Any necessary improvements to Caltrain's tracks and systems;
 - 3) The provision of level boarding at all Caltrain stations; and
 - 4) The enhancement of Caltrain's stations and access facilities to accommodate expanded ridership and provide an improved customer experience.
- D.) Simultaneously continue Caltrain's leadership in the planning and advancement of key, long-range regional and state partner projects identified in the 2040 Long Range Service Vision, including:
- 1) The Downtown Extension to the Salesforce Transit Center
 - 2) The reconstruction of Diridon Station and surrounding rail infrastructure
 - 3) The reconstruction and electrification of the rail corridor south of Control Point Lick to the Gilroy Station

- 4) Additional improvements to allow for the operation of High Speed Rail service between Gilroy and San Francisco
- 5) The substantial grade separation of the corridor as well as safety upgrades to any remaining at-grade crossings, undertaken in a coordinated strategic manner driven by the desires of individual local jurisdictions as well as legal requirements associated with any proposed 4-track segments.

COVID-19 Recovery Planning

August 6, 2020



**Recovery Planning:
Draft Equity, Connectivity
Recovery, & Growth
Framework**

Ongoing Recovery Planning Efforts

Caltrain has pivoted its Business Plan effort to focus on COVID-19 Recovery planning. This work is spread across multiple streams as shown on the right.

Caltrain staff will engage regularly with the Board, stakeholders and the public as recovery planning proceeds over the next several months.



Equity, Connectivity, Recovery, & Growth Framework



Near Term Service Planning



Financial Analysis



Scenario Planning

DRAFT

Framework for Equity, Connectivity, Recovery, and Growth

Purpose

The following draft "Caltrain Framework for Equity, Connectivity, Recovery and Growth" has been developed for consideration by the Peninsula Corridor Joint Powers Board to provide guidance to staff and transparency to the public as the railroad navigates a prolonged period of intensive challenges and transformation. In fall 2019, the JPB adopted the Caltrain 2040 Long Range Service Vision, setting a blueprint for the future development of the Caltrain corridor and service over the next two decades. The Framework for Equity, Connectivity, Recovery and Growth is a companion document that outlines initial principles and policy for how Caltrain will navigate near- and mid-term challenges while incrementally advancing toward its Long Range Vision.

Framework

The Framework is based on detailed technical analysis undertaken by Caltrain and its partner agencies as part of the "Caltrain Business Plan" process during 2018, 2019 and 2020. It builds on this analysis and outlines the initial principles, policies and actions the railroad must urgently pursue to help the region address the interrelated and compounding crises of the COVID-19 pandemic and longstanding systemic inequality and racism. The Framework is also a starting point. Over the coming months and years there is more work that Caltrain will need to do as we navigate a new and rapidly changing business environment and as we strive to better understand our role and responsibility in making the Bay Area a more inclusive and equitable region for people of all races and income levels.

Building on the Business Plan

The 2020 confluence of the COVID-19 Pandemic and urgent, widespread calls for racial justice have provided an impetus for reflection and action on the part of the railroad



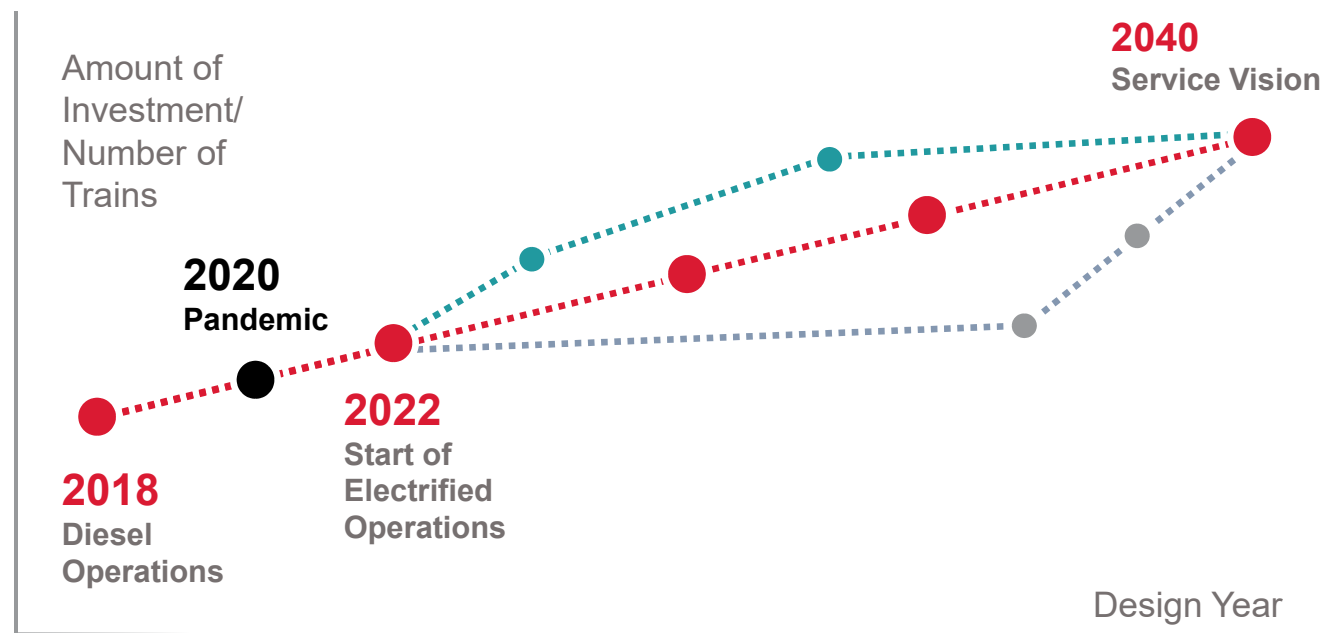
Source: SFGate

Building on the Business Plan

Caltrain had assumed a future where the railroad and its operations would remain relatively stable until the rollout of initial electrified service – this is no longer the case

Caltrain's Long Range Service Vision is an aspirational endpoint- not a single project. There are many paths Caltrain can take to implement and grow toward its Long Range Vision

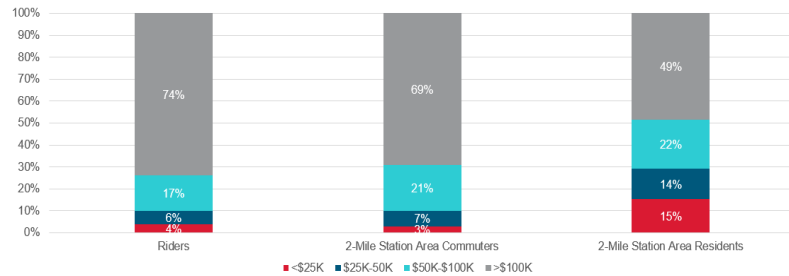
The Pandemic has accelerated the pace of change for Caltrain and complicated our future. The way in which we recover will set the foundation for our long term growth



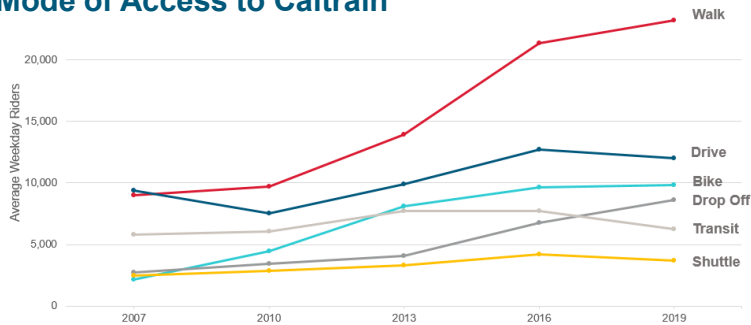
Building on the Business Plan

Work undertaken as part of the Business Plan related to near-term service planning, connectivity and equity is useful and applicable in helping Caltrain develop an effective response to these crises and has formed the basis for the Draft Equity, Connectivity, Recovery & Growth Framework

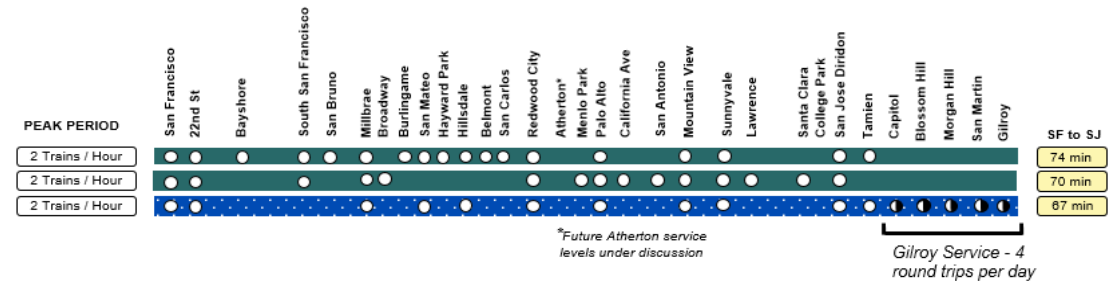
Riders and Residents by Income



Mode of Access to Caltrain

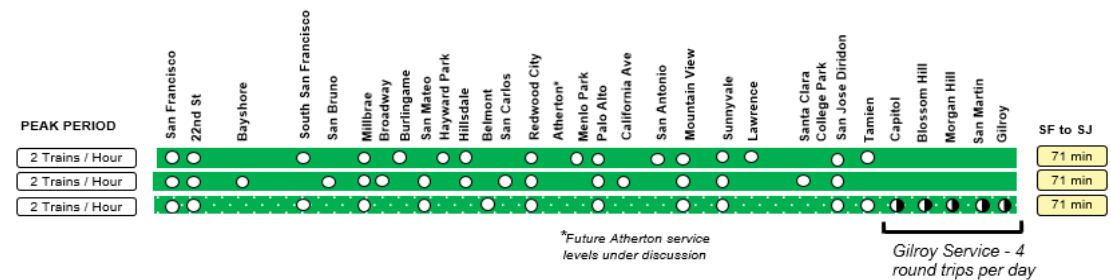


Two Zone with Express



Distributed Skip Stop

See www.caltrain2040.org for background and details



Building on the Business Plan

As part of the Business Plan Equity Assessment, Caltrain reviewed existing transportation plans along the corridor, interviewed community representatives from all three counties, and compared existing Caltrain ridership demographics to broader travel patterns in the corridor.



Community Stakeholder Interviews:

- TransForm (all counties)
- Youth Leadership Institute (all counties)
- Florence Fang Asian Community Garden (SF)
- Potrero Boosters Neighborhood Association (SF)
- Get Healthy San Mateo County (SMC)
- Midcoast Community Council (SMC)
- Paratransit Coordinating Council (SMC)
- Language Pacifica (SMC)
- AbilityPath (SMC)
- North Fair Oaks Council (SMC)
- ALLIES - Alliance for Language Learners' Integration, Education, and Success (SCC)
- Abode Services (SCC)

Part I: Guiding Principles

Caltrain's Framework for Equity, Connectivity, Recovery & Growth directs the railroad to undertake both near-term recovery planning as well as the longer term planning and implementation of its services and projects in accordance with the following guiding principles:



Guiding Principles

A

Caltrain shall make a priority of addressing the specific needs of riders and communities who depend on transit for essential travel. In particular, the railroad will work to enhance **equity** in its system, making its services more accessible and relevant to lower income people and members of racial groups and communities who have historically been marginalized and overlooked in planning and government processes.

B

Caltrain recognizes its unique position as a critical link within the Bay Area's passenger rail network. The railroad will undertake policies and actions that improve its **connectivity** to other transit systems strengthen its role as part on a regionally integrated network.

C

Caltrain must address the needs of the pandemic present while simultaneously planning for and working toward a long-term future. The railroad will endeavor to proceed on a path of **recovery and growth** that anticipates, advances and, where possible, accelerates the incremental delivery of the 2040 Long Range Service Vision.



Part II: Equity

In accordance with principle 1A, the Framework guides Caltrain toward advancing the following policies and actions as soon as practicable and financially feasible with the goal of increasing social and racial equity on the system today and in the future.



Equity in Service

A) Undertake service planning and service changes in a manner that enhances equity and access for underserved communities and markets including people with lower incomes and members of racial and ethnic minority groups. This includes:

1

Improving midday and off-peak service levels to serve and attract customers who need the system for non-work trips or whose work schedules do not conform to historic peak commute hours;

2

Considering social and racial equity as a significant factor in determining the restoration and expansion of service frequencies at individual stations;

3

Engaging in research, dialog and planning to understand how best to provide meaningful access and connections between the Caltrain system and historically underserved low income and minority communities along the corridor.

4

Undertaking planning to improve Caltrain station access facilities most heavily used by low income riders, including bus stops, bicycle parking, pick-up/drop-off areas, and walkways

Equity in Fares

B) Take steps to ensure that the Caltrain system is affordable to all and that fare policies are equitable. This includes:

1

Seeking Board action to temporarily suspend the implementation of fare increases previously authorized by the JPB as ridership recovers from the COVID-19 Pandemic.

2

Affirming Caltrain's ongoing support for the regional means-based fare program (Clipper START) and working collaboratively with MTC and other transit operators to increase the effectiveness and reach of the program.

3

Accelerating and expanding further fare policy analysis called for in the 2018 Fare Study. This includes both study and evaluation of the Go Pass and other discount programs and well as potential changes to the overall structure of the fare system to improve equity and ridership outcomes.

4

Constructive participation in the Regional Fare Coordination and Integration Study, towards the goals of increasing ridership and enhancing the ease and affordability of trips made using multiple transit providers.

Equity in Planning & Communication

C) Sustain and deepen Caltrain's commitment to social and racial equity through an ongoing program of institutional learning, dialog and accountability. This includes:

1

Engaging in additional research, planning and dialog to identify ways in which Caltrain can further improve and expand access to low income people and members of underserved racial and ethnic groups

2

Consideration and improvement of Caltrain's outreach processes, marketing materials and customer information systems to ensure that they exceed minimum standards and are intelligible, intuitive and welcoming to customers representing a broad spectrum of cultural and linguistic backgrounds; and

3

Development and implementation of standards, measurements and a reporting schedule to track Caltrain's progress toward becoming a more inclusive and equitable system.



Part III: Connectivity

In accordance with principle 1B, the Framework further directs Caltrain to advance the following policies and actions to maximize connectivity to other transit providers as part of an integrated regional rail and transit system.



Connectivity

A

Plan for a standardized “clock face” schedule with consistent arrivals and departures at stations so that shuttle, bus, and light rail transit providers and intercity rail operators have the ability to predict and plan to Caltrain’s service.

B

Prioritize the coordination of major intermodal transfers within service planning, focusing initially on the connection to BART at Millbrae and considering other key transfer points as practicable.

C

Build on and expand existing coordination with other transit and rail operators to ensure that inter-operator coordination and connectivity is safeguarded and improved as recovery efforts proceed and as Caltrain prepares for the launch of electrified service.

D

Consider the ease of transfers as a key factor in the further development of the railroad’s fare policy and continue to seek integration with, and participate in, State and regional fare programs- including continuing constructive participation in the Regional Fare Coordination and Integration Study.

Part IV: Growth & Recovery

In accordance with principle 1C, the Framework directs Caltrain towards planning for recovery and growth in a manner that looks toward the future and incrementally advances and implements the 2040 Long Range Service Vision over the course of the coming decade



Growth & Recovery

A

Strive to deliver specific elements and benefits of the Long Range Service Vision as soon as is practicable and supported by the market demand and financial circumstances of the railroad

B

Plan and build toward an “enhanced growth” level of service, beyond initial electrification, that includes the provision of an 8 train per hour per direction peak hour service level between San Francisco and San Jose, and enhanced service south of San Jose to the extent achievable based on current corridor ownership constraints

Growth & Recovery

C) Refine and advance the planning and development of a program of capital improvements to support the “enhanced growth” level of service, including but not limited to:

1

The full electrification of the mainline service between San Francisco and San Jose and the corresponding expansion of Caltrain’s electrified fleet and storage facilities

2

Any necessary improvements to Caltrain’s tracks and systems

3

The provision of level boarding at all Caltrain stations

4

The enhancement of Caltrain’s stations and access facilities to accommodate expanded ridership and provide an improved customer experience.



Growth & Recovery

D) Simultaneously continue Caltrain's leadership in the advancement of key, long-range regional and state partner projects identified in the 2040 Long Range Service Vision, including:

1

The Downtown Extension to the Salesforce Transit Center

2

The reconstruction of Diridon Station and surrounding rail infrastructure

3

The reconstruction and electrification of the rail corridor south of Control Point Lick to the Gilroy Station

4

Additional improvements to allow for the operation of High Speed Rail service between Gilroy and San Francisco

5

The substantial grade separation of the corridor as well as safety upgrades to any remaining at-grade crossings, undertaken in a coordinated strategic manner driven by the desires of individual local jurisdictions as well as legal requirements associated with any proposed 4-track segments.



July 2018 – June 2020

Outreach Activities to Date

Caltrain will leverage the venues and channels used for the Business Plan to gather Stakeholder input and feedback on recovery planning efforts

Stakeholders Engaged

47

Jurisdictions & public agencies

93

Organizations in the Stakeholder Advisory Group

16

Community organization leaders

199

Stakeholder meetings

Public Outreach

88

Public meetings and presentations

1,600+

Virtual Townhall views

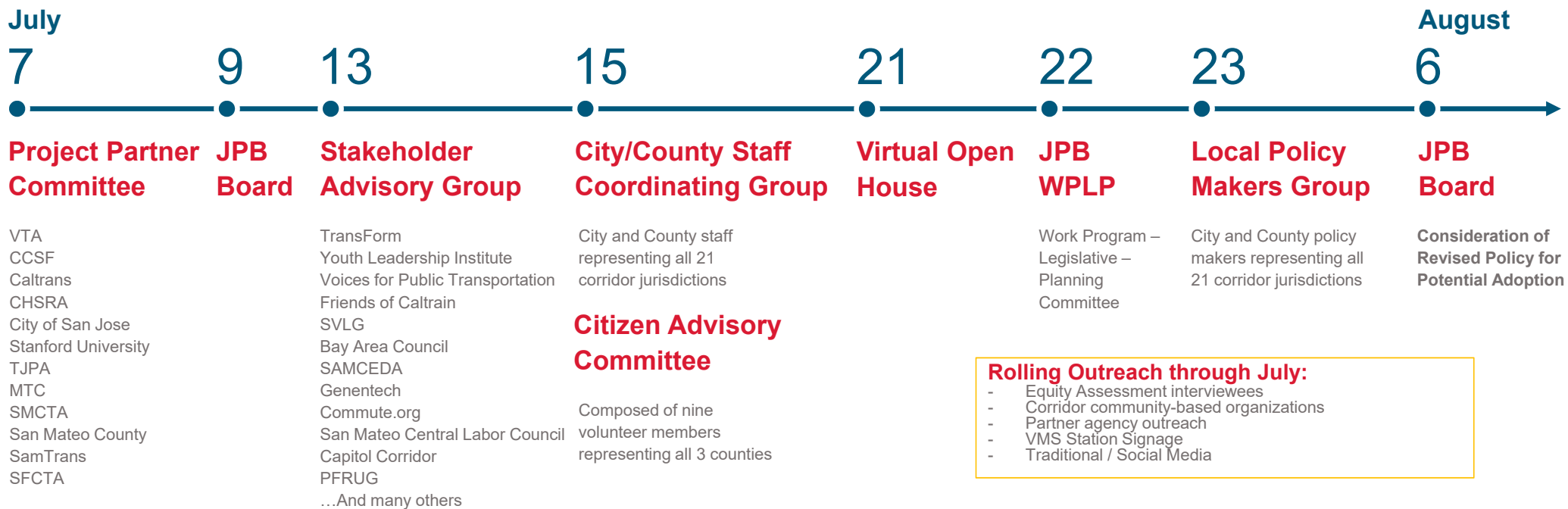
47,000+

Website views

2,200+

Survey results

July Stakeholder Outreach



**What do you think about the
Equity, Connectivity, Recovery, and Growth Policy?**
[Link to Document](#)

Share feedback at
equity@caltrain.com
or 650-508-6499

Deadline: Tuesday, July 28

FOR MORE INFORMATION

WWW.CALTRAIN2040.ORG

BUSINESSPLAN@CALTRAIN.COM

650-508-6499



**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

FROM: Jim Harnett
Executive Director

Michelle Bouchard
Chief Operating Officer

Derek Hansel
Chief Financial Officer

SUBJECT: **FISCAL YEAR 2021 PRELIMINARY OPERATING AND CAPITAL BUDGETS**

ACTION

This report is for informational purposes only. A presentation will be made during the Board meeting on August 6, 2020. No Board action is required at this time. At the September 2020 Board meeting, the Peninsula Corridor Joint Powers Board (JPB) staff will present a final Fiscal Year (FY) 2020-21 budget proposal for Board consideration and adoption.

SIGNIFICANCE

In recognition of the uncertainties presented by COVID-19, on June 4, 2020 the Board adopted an Interim, 1st Quarter Operating Budget and Capital Budget for FY2021, with the understanding that budgets for a full annual budget for the fiscal year would be presented in the late summer.

Since then, COVID-19 has continued to have a challenging impact on the operations and finances of local governments and the public at large. Broadly speaking, the JPB's staff has faced the uncertainties that came with the COVID-19 pandemic head-on, placing a new importance on considering JPB's financial goals from the perspective of maintaining sufficient liquidity and financial support to maintain operations, if even at a reduced level.

Beginning in March, the JPB implemented measures to mitigate some of these challenges and has seen some positive results, including the following:

- In April 2020, the Board approved a diesel fuel-hedging program and a statement of policy and strategy to maintain a futures account to acquire, hold and dispose of diesel futures contracts, and authorized establishment of commodity futures accounts. The fuel hedge program has 28 diesel contracts in place (to the futures month of July 2021) representing a hedge of 63.5% of expected fuel consumption. Currently the program has realized and unrealized gains of \$144,041 or a savings of approximately 7 cents per gallon of diesel. The Preliminary Operating Budget reflects initial savings resulting from this action.
- In the immediate aftermath of shelter-in-place orders, Caltrain reduced the train schedule from 92 trains per day to 70 trains, and subsequently to 42 trains.

Caltrain reintroduced a modified 70-train schedule on June 15, 2020; the Preliminary Operating Budget provides for Caltrain to maintain a stable and reliable 70-train schedule for the rest of FY2021.

- The JPB is continually exploring opportunities to secure additional revenue to support the ongoing capital and operating needs of Caltrain:
 - In July, the Board approved a revenue-producing contract to explore naming sponsorship rights. Staff has determined there may be opportunity to leverage certain Caltrain stations and assets to generate additional revenue.
 - Continued work to place a sales tax for Caltrain on the ballot, as allowed by Senate Bill (S.B.) 797.
- Caltrain is vigorously implementing a program to build trust and encourage the riding public to get back on the trains.
 - Caltrain is part of a regional campaign to inform the public of measures undertaken by transit agencies to ensure the safety of their health riding the trains.
 - Training of staff continues to ensure the conduct of all personnel and maintenance of the trains are compliant with all COVID-19 prevention requirements.
- Caltrain joined the regional means-based fare pilot program administered by the Metropolitan Transportation Commission (MTC), and the board authorized an increase in the discount from the 20% level approved in 2019 to 50%.
- Caltrain staff has developed equity policies proposed for Board adoption and advance funding obtained through a successful SB797 ballot measure.
- Caltrain has developed public timetables that will better facilitate transfers between modes, particularly BART on the peninsula.

Based in part on the steps listed above, the Preliminary Operating Budget assumes an increasing monthly ridership recovery rate, starting with 7.5% recovery rate in July and increasing to up to 40% recovery for the second half of the fiscal year.

In summary, the goals and challenges addressed through the preliminary budgets are:

- To obtain budget appropriations for the remainder of FY2021. The proposed budgets reflect expenditures for essential services and contractual obligations;
- To add to the JPB's arsenal against COVID-19 an aggressive plan of action to focus on bringing passengers back on the trains by building a higher level of trust with the riding public that Caltrain is ensuring health safety on the trains;

- To continue to recognize that affordable public transportation is vital to equitably supporting economic recovery for the region;
- To maintain a Caltrain schedule that will meet the changing behavior of the riding public during the gradual lift of the Shelter In Place (SIP) orders established at the State and local levels

The FY21 Preliminary Operating Budget and the amendment to the FY2021 Capital Budget promote Caltrain's ability to be nimble and adapt operations to changing conditions, meet its financial obligations and set the stage to be ready to meet the challenges for the remainder of the fiscal year.

FY2021 Preliminary Operating Budget Overview

The FY21 Preliminary Operating Budget, outlined below and detailed in Attachment A, cautiously assumes that passengers will start riding again, albeit at a lower level and at a slower rate. Thus, the Preliminary budget is built around the operation of a 70-train schedule for the balance of the fiscal year.

In June, the Board approved the 1st Quarter Interim Operating Budget. The FY21 Preliminary budget presented before the Board is a full-year budget. At the September Board meeting, staff will propose the FY21 operating budget for Board approval.

On the revenue side, farebox revenue is relying heavily on the Go Pass fare. This budget assumes an increasing monthly recovery of pre-COVID-19 ridership levels up to 40% in the January 2021 to June 2021 timeframe with lower ridership levels increasing up to those levels over the balance of 2020. This budget also assumes the operating funding contributions from the JPB member agencies will remain at the FY2020 levels.

On the expense side, starting in FY21, Positive Train Control (PTC) will move from a capital project to a normal operating and maintenance requirement. (We will separately calculate the cost of complying with this unfunded federal mandate). Labor cost assumptions continue to include an administrative hiring freeze and no universal wage increase, among others. Furthermore, this budget includes an assumption of stability in fuel costs under the JPB's diesel fuel hedging program.

FY2021 Capital Budget Overview

This period in the evolution of Caltrain demonstrates the resiliency and perseverance of staff and the agency to take important steps towards a future that enables Caltrain to continue to serve as a critical mobility asset for the Peninsula and the broader San Francisco Bay region.

During the FY2020 SIP period, the 42-train schedule increased right of way access and allowed the JPB to perform some critical work relative to rolling stock "state-of-good-repair". In the first quarter of FY21, with funding from various agencies in flux, the initial FY21 Capital Budget focused only on projects that will be supported by redirecting available funds from other projects that have been completed under budget, or from

other projects that can be postponed.

As the JPB looks ahead to FY2021, the Amendment to the Caltrain Capital Budget, described in this report and set forth in Attachment B, includes additional required capital projects that will be eligible for traditional annual federal, state and local funding.

BUDGET IMPACT

FY2021 Preliminary Operating Budget Impact

The following narrative describes the FY2021 Preliminary Operating Budget as compared to FY2020 Forecast. Each section has a reference to a line item that corresponds to the Financial Statement as shown on attachment A.

Revenue Projections

Total revenues in the FY21 Preliminary budget estimated at \$95.5 million reflects a decrease of \$27.3 million or 22.2% lower than the FY20 Forecast.

Revenue from Operations in the FY21 Preliminary budget estimated at \$59.3 million reflects a decrease of \$26.5 million or 30.9% lower than the FY20 Forecast.

Revenue from Contributions in the FY21 Preliminary budget estimated at \$36.2 million reflects a decrease of \$0.7 million or 2.0% lower than the FY20 Forecast.

Operating Revenue

Line 1 **Farebox Revenue:** \$52.5 million, a decrease of \$23.4 million or 30.9% lower than the FY20 Forecast.

Farebox revenue includes fare receipts collected directly from rail passengers or through pass sales. Go Passes purchased generally are valid for a 12- month period and thus cut across two fiscal years. Go Pass revenues average \$2.5 million a month.

At the June 2020 Board meeting, the Board approved the extension of the Go Pass for up to three months ending March 2021. The impact of this action reflects a loss of approximately \$7.5 million in FY2020 farebox revenues. The FY21 Preliminary budget assumes no further reductions in Calendar Year 2020 Go Pass revenues, and a 30% non-renewal of Go Pass beginning April 2021. The Farebox revenue estimate further assumes an increasing monthly ridership recovery rate of 7.5 % for July-August, 20% for September-October, 30% for November-December and a recovery rate of 40% for the period January-June.

Line 2 **Parking Revenue:** \$1.6 million, a decrease of \$2.1 million or 57.1% lower than the FY20 Forecast.

Parking revenue include fees at parking lots at various passenger stations and from a parking lot located at the SAP Center adjacent to the San Jose Diridon station. Parking revenues directly follow the movements in ridership levels.

Line 3 **Shuttle Revenue:** \$2.0 million projected at the same level as FY2020 Forecast.

The Shuttle Program funding comes from participating employers, the San Mateo County Transportation Authority (TA), Bay Area Air Quality Management District (BAAQMD) and by JPB operating funds. This line item refers only to the revenue generated from participating local area employers who provide rail passengers the last-mile connections between Caltrain stations and work sites. In recent years, the traditional funding sources for the shuttle program have continued to decline, necessitating additional member and agency funding.

Line 4 **Rental Income:** \$1.4 million, an increase of \$0.2 million or 23.1% higher than the FY2020 Forecast.

Rental income is generated from Caltrain right of way properties. The impact of COVID-19 on retail lessors at the stations resulted in income loss in FY20. In FY21, the estimate does not include rental from bike lockers. Staff is currently monitoring changes in rental income on a month-to-month basis with lessors and will return to the September Board with a firmer projection.

Line 5 **Other Income:** \$1.8 million, a decrease of \$1.2 million or 41.4% less than the FY2020 Forecast.

Other Income consists of interest on invested funds, shared track usage maintenance fees, advertising income, parking citation fees, and permit fees. Advertising income includes income from train wraps, stations, ad cards, and digital displays. The FY21 advertising income estimate is based on contractual minimum annual guarantees and additional sales albeit lower than the prior years. The income from shared track maintenance is based on an agreement with the Union Pacific Railroad (UPRR) which provides for a fixed annual fee and a variable fee based on track usage.

Operating Contributions

Line 9 **AB434 & TA Shuttle Funding:** \$1.7 million estimate is at the same level as the FY2020 Forecast.

As addressed above, the JPB shuttle program has multiple funding streams. Contributions for the service come from State and local sources. In 1991, through Assembly Bill (A.B.) 434, the State Legislature authorized a \$4 surcharge on cars and trucks to fund projects that reduce on-road motor vehicle emissions. A.B. 434 revenues provide partial funding for the JPB shuttle program through a competitive grant process managed by BAAQMD. The TA also funds shuttle services with revenues of the Measure A San Mateo County-wide sales tax.

Line 10 **Operating Grants:** \$4.6 million, a decrease of \$0.7 million or 13.9% lower than the FY2020 Forecast.

State Transit Assistance (STA) revenue comes from the statewide sales tax on diesel fuel and is allocated to the region's transit operators by formula. The formula allocates funds based on population, the amount of passenger fares and local support revenues collected by transit operators. The State sends out projections assuming a growth rate and adjusts these throughout the year.

For FY2021, the Metropolitan Transportation Commission (MTC) recently revised its STA estimates downwards as sales tax declined and as diesel fuel prices weakened. The MTC then further lowered the FY21 estimates due to COVID-19. The FY21 Preliminary budget reflects the most recent MTC estimates.

STA funds are flexible for both operating and capital expenditures. Unlike prior years, the FY21 STA funds will support only the operating budget.

Line 11 **JPB Member Agencies:** \$29.9 million estimate is at the same level as the FY2020 Forecast.

The JPB has three member agencies: the City and County of San Francisco, the San Mateo County Transit District and the Santa Clara Valley Transportation Authority. Contributions from the JPB's member agencies estimates are in accordance with an allocation methodology based on the average mid-weekday boarding data (including at Gilroy) and subsequently adjusted for FY2020 to reflect passenger data collected in FY2019.

Expense Projections

Grand Total Expenses in the FY21 Preliminary Budget estimated at \$149.5 million reflects an increase of \$6.4 million increase or 4.5% more than the FY20 Forecast.

Operating Expenses in the FY21 Preliminary Budget estimated at \$123.9 million reflects an increase of \$7.5 million or 6.5% more than the FY20 Forecast.

Administrative Expense in the FY21 Preliminary Budget estimated at \$23.3 million reflects a decrease of \$1.0 million or 4.1% lower than the FY20 Forecast.

Operating Expenses

Line 21 **Rail Operator Service:** \$91.7 million, an 11.8% increase or \$9.7 million more than the FY2020 Forecast.

The JPB contracts out for rail operator service. The current operator contract is with Transit America Services, Inc. (TASI). TASI contract awarded on September 1, 2011 for a five-year term expired on June 30, 2017, with an option to extend for up to five additional years. On February 2, 2017, the Board approved an amendment to exercise the five one-year options to extend the contract through June 30, 2022.

TASI provides rail operations, maintenance and support services in the following areas: Administration/Safety; Operations and Dispatch; Maintenance of Equipment, Track, Communications and Signals, Stations; Construction Support and State of Good Repair (SOGR). TASI is paid on a cost plus performance fee contract structure.

The primary drivers of the TASI contract costs are the built-in salary increase in the labor contracts and changes in the contractual General and Administration rate.

The \$9.7 million increase reflects the following actions taken at the start of the pandemic in FY20 and further changes implemented for FY21:

- The FY2020 Forecast is lower as TASI implemented several cost reduction measures at the start of the pandemic. This included a TASI hiring freeze, significant reductions in overtime and reductions in health and welfare.
- At JPB direction,
 - TASI shifted a number of its staff from traditional operations maintenance to deferred maintenance and support of capital improvements.
 - At the start of the pandemic, the special service in the 4th quarter was not provided.
- In FY2021, TASI hiring freeze and significant reductions in overtime will continue. In addition, TASI contractual obligations include increases in union wages, non-labor expenses and general and administration costs.
- In FY2021, a new cost component in the TASI contract negotiations is the inclusion of the maintenance of the Positive Train Control system estimated at \$3.0 million. This support includes field validation and test support, PTC maintenance, PTC help desk and maintenance of the Backup Communication Control Facility (BCCF). The FY21 Preliminary budget for Rail Operator Service also reflects the elimination of the annual passenger count.

Line 23 **Security Services:** \$6.7 million, an increase of \$0.5 million or 8.8% more than the FY2020 Forecast

Security services are provided through a law enforcement contract and a communications services contract with the San Mateo County Sheriff's Office (SMCSO), and a security guard contract. The SMCSO contract supports Rail operations. The FY21 Preliminary budget assumes savings for not holding special events such as the SF Giants, SF49ers, SJ Sharks, among others.

Line 24 **Shuttles:** \$4.1 million reflect no change over the FY2020 Forecast.

The Shuttle program provides last-mile connections for Caltrain passengers. The FY21 Preliminary budget assumes a minimum service schedule option. There were four routes eliminated In FY20; this will continue in FY21. In FY21, the cost of the shuttle contract will likely increase as new rates will be negotiated.

Line 25 **Fuel and Lubricants:** \$5.9 million, a decrease of \$3.3 million or 35.6% less than the FY2020 Forecast.

The preliminary budget covers the cost of diesel fuel for JPB locomotive operations, including the associated taxes. Caltrain has entered into a diesel fuel-hedging program that will help manage the exposure to changes in diesel fuel prices. The cost of fuel used in the FY21 Preliminary budget is \$1.30 per gallon and a fuel usage estimate based on a 70-train schedule.

Line 26 **Timetables and Tickets:** \$110,000, an increase of \$10,000 or 10.0% more than the FY2020 Forecast.

Timetables and Tickets includes the cost of designing, updating and printing of time tables, schedules, maps and the Caltrain tickets.

Line 27 **Insurance:** \$5.4 million, an increase of \$0.9 million or 20.1% more than the FY2020 Forecast.

The Insurance budget includes premiums, deductibles, adjuster fees, broker fees and other insurance costs. Rates reflect costs for property, casualty, and liability insurance. The FY21 Preliminary budget reflects the cost of the recently negotiated insurance contract adjusted with the impact of changes in ridership.

The market conditions in the industry predates pre-COVID-19. This was a market hardened by huge losses, global events and a litigious environment in the rail industry. Liability insurance cost went up as less insurers opted to continue to operate in the industry and existing carriers reduced their exposures.

Line 28 **Claims, Reserves and Payments:** \$960,000, an increase of \$8,206 or 0.9% more than the FY2020 Forecast.

This budget item covers the cost of claims, reserves and payments, and the associated legal fees.

Line 29 **Facilities and Equipment Maintenance:** \$5.2 million, an increase of \$2.0 million or 61.5% more than the FY2020 Forecast.

This budget item covers expenses related to Clipper Operator charges, revenue collection services, ticket vending machines, data line services and other contract services. The FY21 Preliminary budget includes additional PTC maintenance cost of \$3.0 million and reflects a \$1.0 million decrease in Clipper usage charges.

Line 30 **Utilities:** \$2.1 million, an increase of \$24,578 or 1.2% more than the FY2020 Forecast.

This line covers the cost of gas & electric, telephone, water, trash & sewer. The budget also includes utility costs of PTC maintenance such as circuits, radio license fees and spectrum lease.

Line 31 **Maintenance & Services – Building and Other:** \$1.6 million, an increase of \$22,070 or 1.4% more than the FY2020 Forecast.

This item covers the cost of building maintenance services, printing and information services, and repair and maintenance of computers and office equipment.

Administrative Expenses

Line 35 **Wages & Benefits:** \$10.9 million, a decrease of \$1.1 million or 9.4% lower than the FY2020 Forecast.

The FY21 Preliminary budget includes existing positions, no new full time employee positions (also referred to herein as "FTEs"), an administrative staff hiring freeze, a lower benefits rate, no universal wage increase, and lower agency allocations to the retiree medical and pension plans.

Below are the FTEs for each division funded by operating funds and by capital funds.

FY2021 FTE - Operating	Finance	Planning	Executive	Comm	Admin	Bus	Rail	Calmod	Total
Represented	-	-	-	5.8	-	5.0	-	-	10.80
Non-Represented	6.2	2.8	0.5	12.6	7.1	4.9	34.2	0.1	68.25
New FTEs	-	-	-	-	-	-	-	-	-
Total Operating	6.2	2.8	0.5	18.4	7.1	9.9	34.2	0.1	79.1

FY2021 FTE - Capital	Finance	Planning	Executive	Comm	Admin	Bus	Rail	Calmod	Total
Represented	-	-	-	-	-	-	-	-	-
Non-Represented	3.3	2.3	-	-	-	-	28.6	8.9	43.00
New FTEs	-	-	-	-	-	-	-	-	-
Total Capital	3.3	2.3	-	-	-	-	28.6	8.9	43.0

Line 36 **Managing Agency Admin OH Cost:** \$5.1 million, an increase of \$61,935 or 1.2% more than the FY2020 Forecast.

Managing Agency Administrative Overhead (OH) Cost reflects the cost of San Mateo County Transit District (District) personnel dedicated to the Caltrain business (as opposed to Caltrain operations). The preliminary budget assumes an increase of 1.2% over the FY2020. This FY21 estimate will be revised further pending results of the current study of the Internal Cost Allocation Plan (ICAP).

The ICAP calculates the indirect cost rate used to recover overhead costs related to agency indirect administrative overhead and capital projects. The District procured the assistance of an outside consulting firm to develop a methodology that equitably allocates the costs incurred by the District for services and functions shared by the different agencies administered by District staff. The consultant team was selected for its experience and knowledge in developing allocation methodologies for governmental and public entities.

The ICAP is prepared in accordance with the principles and guidelines set forth in the

Office of Management and Budget (OMB) Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" and ASMB C-10 "Cost Principles and Procedures for Developing Cost Allocation Plans and Indirect Cost Rates for Agreements with the Federal Government."

The ICAP calculates two components:

- Agency Indirect Administration (AIA) – a pool of costs that cannot be directly attributed to a specific agency.

This consists of labor and non-labor support functions that benefit each of the three agencies managed by the District as well as a fourth agency (the San Mateo County Express Lanes Joint Powers Agency, or SMCELJPA) supported by the District beginning in FY 2020. Examples include the time charged by the Payroll Department to process the biweekly payroll or the time charged by the Human Resource Department to post recruitments on industry websites. Based on specific statistics, these costs distributed to each department are. For example, the payroll department costs, are distributed to each department based on the number of FTEs. The District incurs all of the AIA costs and then recovers appropriate shares of the costs from the District's Operating and Capital budgets, the JPB Operating and Capital budgets, the TA Budget and the SMCELJPA Budget.

- Capital Overhead – a pool of project support costs that cannot be directly attributed to a specific capital project.

A capital overhead rate is calculated for each agency. An example of a capital overhead cost would be the time charged by an administrative assistant who supports multiple capital project engineers. The capital overhead costs are tracked and included in the ICAP rate and is charged to each capital project.

Line 37 **Board of Directors:** \$10,000, a decrease of \$4,600 or 31.5% less the FY2020 Forecast.

This covers director compensation, seminars and training, and meetings for the Board of Directors. Cost decreases result from diminished conference attendance.

Line 38 **Professional Services:** \$4.4 million, an increase of \$254,417 or 6.1% more than the FY2020 Forecast.

This covers the cost of consultants for legal services, audit services, and legislative advocacy and technical services. The FY21 Preliminary budget for professional services also includes additional operating maintenance of PTC related to rail friction, electronic recording, measuring, and communications systems and communications data security.

Line 39 **Communications and Marketing:** \$136,000, a decrease of \$165,500 or 54.9% lower than the FY2020 Forecast.

This covers the cost of promotional advertising for fares, schedule changes and the cost of providing the riding public with a mobile app. The FY21 Preliminary budget

reflects the elimination of promotional advertising for sporting events such as the SF Giants, SF49ers, San Jose Sharks, and Bay to Breakers.

Line 40 **Other Office Expense and Services:** \$2.6 million reflects no changes over the FY2020 Forecast.

This covers license renewal, bank fees, office vehicle maintenance, property taxes, software maintenance, and leases for properties along the Right of Way (ROW) in support of commuter services. The ROW leases include critical facilities for radio transmission antennas, and real estate for storage of train equipment and spare parts.

Line 43 **Long Term Debt Expense:** \$2.4 million, a decrease of \$0.3 million or 9.8% lower than the FY2020 Forecast.

This covers the cost and principal retirement of debt incurred for the acquisition and rehabilitation of passenger rail cars, for the acquisition of real property, and for maintenance of a revolving line of credit.

In February 2019, the JPB refunded bonds issued in 2007 and 2015 to achieve interest savings and restructure debt, and issued additional bonds to purchase two pieces of real property previously leased by the JPB.

FY2021 Capital Budget Impact

The initial FY21 Capital budget approved by the Board in June for a total of \$19.1 million included only those capital projects that had available funding, but required Board-approved budget authority to incur the expenditures.

The amendment to the FY21 capital budget, which is an increase of \$49,830,000, includes urgent projects eligible for the anticipated annual FY2021 Federal, State and Member Agency funds.

The Projects included in the amended, as reflected in Attachment B, are as follows:

STATE OF GOOD REPAIR (SOGR) – \$37,590,000

RIGHT OF WAY - \$11,205,000

1. Fencing – Request: \$585,000 (additional)
Continue to install vandal-resistant fencing at key locations along the PCJPB main line rail corridor to deter trespassing. This contract will terminate end of November 2020.

2. Guadalupe River Bridge Replacement – Request: \$2,100,000
Replace the Guadalupe River Bridge in San Jose, damaged by weather and arson.

3. San Francisquito Creek Bridge Replacement – Request: \$2,000,000
In FY21, this project moves to the construction phase for the replacement of this 118-year-old bridge, with a modern railway bridge with a 100-year design life.

4. Structures Maintenance SOGR – Request: \$800,000
This includes minimum maintenance repair to restore the structural integrity to a fair condition, increase the safety, security, and the useful life of the assets.

The inspection rated structures in poor conditions, suffering from deterioration and corrosion as well as poor workmanship from the original construction. Structures Maintenance SOGR FY21 will enhance operation safety, worker, and public safety.

5. System-wide Track Rehab SOGR FY20-FY24 – Request: \$5,720,000
Continue the work required to keep the Caltrain railroad in a state of good repair, including rehabilitation of track and other purchased services. Replace track components, wedging, surfacing and selected minor bridge repairs.

SIGNAL AND COMMUNICATION - \$10,835,000

6. Fiber Optic Corrective Repair – Request: \$5,000,000
This project will identify and assess defects in the fiber to repair and bring known defects into a state of good repair.

7. Caltrain Communication System SOGR – Request: \$2,000,000
This is a yearly evaluation and implementation of projects for the overall railroad communications system to keep assets current. Evaluates replacements prior to end of life or vendor support. This includes all voice and data radio systems, microwave systems, leased landlines and the data communications system.

8. Rail Network Annual Maintenance – Request: \$500,000
Upgrade internet service and equipment as necessary to support secure vendor Virtual Private Network (VPN) access, remote monitoring of PTC environment, and communications with external clients such as 511.org. Furthermore, this upgrade will be able to handle higher bandwidth and current equipment including firewalls and routers have reached the end of their technology life cycle.

9. TVM Upgrade Phase 4 – Request: \$1,000,000
The project will continue the upgrade of the Ticket Vending Machines (TVMs) to include Clipper functionalities and upgrade old, obsolete parts in the TVMs. The new upgraded TVMs will be able to dispense new Clipper cards and add value or products to existing Clipper cards. The upgraded TVMs will also have a new touchscreen display screen, printer, bill acceptor and new software.

The previous phases upgraded 34 TVMs. Phase 4 will upgrade an additional 25 TVMs. After Phase 4, there will be 29 TVMs at the stations still needing an upgrade.
10. Clipper CID Installation & Relocation Plan & Construction – Request: \$1,000,000
This project will relocate and install new Clipper Card Interface Devices (CIDs) at key passenger stations, to better locations for passengers getting in and out of train stations. Better flow will allow Caltrain to move more of its customers onto the Clipper system, and away from less-efficient and less-effective payment systems. This will also maximize touchless fare payment
11. Station Indicators – Request: \$250,000
This project will install new signal circuits and wiring, and re-program equipment at four key stations that will enable the Caltrain Dispatch System to detect trains when they are at those stations. This will enable Operations to better track train performance and ensure more timely performance.
12. ROW Distribution & Access Layer Switch Replacement – Request: \$45,000
The switches used to maintain good communications to the stations for Ticketing, Closed Circuit Television (CCTV), Public Announcements, and connectivity to the platform have a service life of approximately 5 years. This required one fifth of ROW switches replaced each year to keep the ROW network in good operation.
13. TVM Media Converter – Request: \$10,000
The fair revenue system Ticket Vending Machines have media converters to convert the fiber connections into copper for the controllers within the TVMs. These require replacement on a regular cycle and maintain an inventory for emergency repairs. This line item is part of that effort to ensure that good operation and connectivity maintained within the TVMs at the Caltrain stations.
14. CDE Internal File Integrity Monitoring Refresh – Request: \$30,000
Upgrade of Tripwire monitoring tool and professional services for migration of the tool to a new operating system.
15. BCCF Buildout Assessment – Request: \$1,000,000
This project will evaluate the areas of the Backup Communications Control

Facility (BCCF) that are partially developed, to assess build-out for occupancy as well as inventory of the building materials on site from the previous contractor to develop options and plans for additional working, meeting, and storage space.

ROLLING STOCK - \$12,700,000

16. Bombardier Cars FY21 – Request: \$1,700,000
Implement scheduled maintenance for FY21. These include mid-life over-hauls, replacing cables, seats, batteries, cab refurbishment, and heating ventilation air condition (HVAC) system.
17. Upper Doors Installation – Request: \$11,000,000
This is a placeholder project for the future reinstallation of the upper level doors in the event that these are required in the Electrical Multiple Units as requested by the funding partners of the electrification program's change management board.

STATION AND INTER-MODAL ACCESS - \$2,850,000

18. Stations Backup Power at 4 Stations – Request: \$750,000
Identify stations along the rail corridor impacted by frequent power outages and have their backup power replaced or upgraded. This is particularly important given the advent of PG and E planned power outages.
19. Stations SOGR FY20-FY24 – Request: \$1,000,000
Repair and replace several passenger station amenities. These include Passenger Needing Assistance (PNA) shelters, Information Display Cases (IDC), benches and trashcans. The pedestrian tunnel in San Jose needs repainting since a fire three years ago, and epoxy coating applied on all of the ramps that feed into the San Jose pedestrian tunnel. These continued activities maintain these facilities to a state of good repair.
20. CCF Crew Quarters Roof Replacement & Trailer – Request: \$1,000,000
The Crew quarters are made up of a series of single and doublewide trailers in the parking lot of Centralized Control Facility (CCF) in San Jose across from Centralized Equipment Maintenance & Operations Facility (CEMOF). These include used trailers installed in 2007 to support the crews that operate the passenger service. The roofs on these trailers are failing and will need replacements. The floorings and sidings of these trailers will need repairs to maintain these facilities to a state of good repair.

21. Menlo Park Facility 4000 Campbell Avenue HVAC – Request: \$100,000
This is a newly acquired property. HVAC units on the roof that are not functioning efficiently need to be replaced/upgraded.

LEGAL MANDATES AND REQUIRED ENHANCEMENTS - \$1,500,000

22. Clipper Next Gen Validators Site Prep – Request: \$1,500,000
Design and install 360 new Next Generation Clipper Validators at stations to prepare for the regional transition to the new Clipper system mandated by MTC. Compliance due date is June 20, 2021.

OPERATIONAL IMPROVEMENTS / ENHANCEMENTS - \$2,250,000

23. Grade Crossing Hazard Analysis Data Collection – Request: \$200,000
The project will collect data at the Caltrain grade crossings for the Grade Crossing Hazard Analysis. Video data will then determine the risks at each grade crossing. Data will include traffic counts, near misses and driver behavior. The last video data collection was in 2015 and new data is required to update the Grade Crossing Hazard Analysis Report.

24. Grade Crossing Safety Improvements Design FY21 – Request: 500,000
Identify the highest priority grade crossings in a Grade Crossing Hazard Analysis Report. Subsequently a design developed for these grade crossings will improve safety as recommended by the Hazard Analysis Report. There are still crossings that have safety risks such as having no median to prevent drivers from driving around a lowered gate arm.

25. Track Chart Revision – Request: \$300,000
Update the existing Track Charts to add all changes to the Right of Way since 2016 and print revised copies for distribution.

26. EAM – Enterprise Asset Management Software – Request: \$750,000
Develop a Request for Proposals (RFP) to solicit and procure a base EAM system. Core capabilities include asset registry, asset condition and assessment, work request, work planning and management, warranty management, materials management, planning and budgeting, and management reporting.

Asset information is currently stored in various disparate systems and some by the Rail Contract Operator (TASI). The industry best practice is to centralize asset data within a single EAM system to maintain data consistency and analysis. Implementation of an EAM system is in accordance with Transit Asset Management (TAM) Plan of Caltrain.

The EAM system is required to enable Caltrain and the other agencies to

maintain its assets in a database. This will allow responsible personnel to write work orders against assets for the performance of maintenance and the state of good repair projects; to maintain a parts inventory; to assign labor to perform maintenance activities, as well as to perform other asset management functions. The EAM will also be required to support Operations and Maintenance of the Electrification system.

27. Update and Upgrade GIS System – Request: \$500,000

The updated Geographic Information System (GIS) system will provide a graphical user interface for information and data stored in the Enterprise Asset Management system as well as AutoCAD. This system will facilitate capturing utility location information, asset locations, real estate easements and parcels; it will support operations.

Both the EAM and GIS systems are required for proper operations and maintenance, and for the organization to start moving towards an excellent model.

PLANNING/STUDIES - \$8,490,000

28. Capital Planning (CIP) – Request: \$1,250,000,

Further CIP development, infrastructure analysis to support the Caltrain Business Plan service vision and planning of station modifications, overtake tracks, site planning of facilities, planning support for ongoing grade separation projects and evolving engineering and construction guidelines.

29. San Francisco Station and Terminal Planning – Request: \$1,000,000

Study conceptual activities related to the layout and operation of the Caltrain terminal and station facilities between Salesforce Transit Center & 22nd Street, with particular focus on outcomes and connecting to the existing rail yard and station at 4th & King.

30. Diridon and South Terminal Area – Request: \$1,000,000

Continue work with agency partners and the California High Speed Rail Authority to further develop and refine the vision for a future Diridon Station. Undertake additional work in partnership with the City of San Jose to examine rail and storage needs and operations through the South Terminal Area.

31. Rail Network and Operations Planning – Request: \$1,250,000

Further near-term planning based on the Caltrain Business Plan service vision; selection and development of a long-term service vision operating plan; fleet planning; systems planning; level boarding analysis, and maintenance planning.

32. Redwood City Station Planning – Request: \$750,000
Develop a Memorandum of Understanding with City of Redwood City and other stakeholders to establish the broad terms of a collaborative planning process for the Redwood City area between Whipple and Redwood Junction. The goal is to develop a conceptual station plan to accommodate future Caltrain service levels, which will include grade separations/closures, private development of a Transit Oriented Development and a connection with Dumbarton rail service.

33. System-wide Planning, Policy & Org Design – Request: \$1,250,000
Include development of interagency agreements on planning and organizational design to support the Caltrain Business Plan findings, and updates to modeling and tools.

34. Capital Contingency Funds - Engineering – Request: \$330,000
Support unforeseen capital expenditures related to the delivery of capital projects/programs.

35. Capital Contingency Funds Rail – Request: \$660,000
Support unforeseen capital needs related to rail operations.

36. Capital Program Development – Request: \$500,000
Support unforeseen capital planning needs.

37. Capital Project Development – Request: \$500,000
Implement planning and engineering study activities.

Prepared by:

Cynthia Scarella	Manager, Budgets	650.508.6230
Melanie Hartanto	Senior Budget Analyst	
Cleo Liao	Senior Budget Analyst	

**PENINSULA CORRIDOR JOINT POWERS BOARD
FY2021 PRELIMINARY OPERATING BUDGET**

	FY2019 ACTUAL	FY2020 FORECAST	FY2021 PRE-COVID SCENARIO	FY2021 PRELIMINARY	\$ CHANGE FY21 Prelim vs FY20 Forecast	% CHANGE FY21 Prelim vs FY20 Forecast		
	A	B	C	D	E=D-B	F=E/B		
REVENUE								
OPERATIONS:								
1	Farebox Revenue	105,442,321	75,990,000	118,000,000	52,540,000	(23,450,000)	-30.9%	1
2	Parking Revenue	5,316,427	3,679,700	5,300,000	1,580,000	(2,099,700)	-57.1%	2
3	Shuttles	2,047,107	2,031,246	3,435,000	2,031,246	-	0.0%	3
4	Rental Income	1,901,052	1,111,804	2,035,877	1,368,813	257,009	23.1%	4
5	Other Income	2,957,850	3,008,166	3,699,000	1,764,000	(1,244,166)	-41.4%	5
6	TOTAL OPERATING REVENUE	117,664,757	85,820,916	132,469,877	59,284,059	(26,536,857)	-30.9%	6
7								7
8	CONTRIBUTIONS:							8
9	AB434 & TA Shuttle Funding	1,728,727	1,737,950	1,725,200	1,737,950	-	0.0%	9
10	Operating Grants	3,700,607	5,327,497	8,444,325	4,588,500	(738,997)	-13.9%	10
11	JPB Member Agencies	25,448,000	29,921,971	29,921,971	29,921,971	-	0.0%	11
12	TOTAL CONTRIBUTED REVENUE	30,877,334	36,987,418	40,091,496	36,248,421	(738,997)	-2.0%	12
13								13
14								14
15	GRAND TOTAL REVENUE	148,542,091	122,808,334	172,561,373	95,532,480	(27,275,854)	-22.2%	15
16								16
17								17
18	EXPENSE							18
19								19
20	OPERATING EXPENSE:							20
21	Rail Operator Service	86,230,812	82,017,696	99,400,000	91,703,175	9,685,479	11.8%	21
22	Positive Train Control	63,394	2,400,000	-	-	(2,400,000)	-100.0%	22
23	Security Services	5,816,573	6,200,000	7,546,908	6,746,908	546,908	8.8%	23
24	Shuttle Service	4,043,565	4,057,249	6,218,900	4,057,249	-	0.0%	24
25	Fuel and Lubricants	11,160,475	9,203,417	11,546,756	5,930,523	(3,272,894)	-35.6%	25
26	Timetables and Tickets	92,987	100,000	90,000	110,000	10,000	10.0%	26
27	Insurance	4,193,739	4,506,064	5,101,064	5,410,000	903,936	20.1%	27
28	Claims, Reserves, and Payments	(65,178)	951,794	951,794	960,000	8,206	0.9%	28
29	Facilities and Equipment Maint	2,944,312	3,228,522	4,613,562	5,214,948	1,986,426	61.5%	29
30	Utilities	2,040,714	2,105,422	2,694,700	2,130,000	24,578	1.2%	30
31	Maint & Services-Bldg & Other	1,377,376	1,567,930	1,723,490	1,590,000	22,070	1.4%	31
32	TOTAL OPERATING EXPENSE	117,898,769	116,338,094	139,887,174	123,852,803	7,514,709	6.5%	32
33								33
34	ADMINISTRATIVE EXPENSE							34
35	Wages and Benefits	10,212,324	12,066,711	15,171,787	10,930,000	(1,136,711)	-9.4%	35
36	Managing Agency Admin OH Cost	6,503,882	5,098,065	5,928,620	5,160,000	61,935	1.2%	36
37	Board of Directors	18,659	14,600	44,100	10,000	(4,600)	-31.5%	37
38	Professional Services	3,440,617	4,145,583	7,298,132	4,400,000	254,417	6.1%	38
39	Communications and Marketing	272,596	301,500	459,500	136,000	(165,500)	-54.9%	39
40	Other Office Expense and Services	5,324,257	2,630,572	3,008,727	2,630,572	-	0.0%	40
41	TOTAL ADMINISTRATIVE EXPENSE	25,772,335	24,257,031	31,910,866	23,266,572	(990,459)	-4.1%	41
42								42
43	Long-term Debt Expense	1,602,163	2,639,773	2,381,750	2,381,750	(258,023)	-9.8%	43
44								44
45								45
46	GRAND TOTAL EXPENSE	145,273,267	143,234,898	174,179,789	149,501,125	6,266,227	4.4%	46
47								47
48								48
49	PROJECTED SURPLUS / (DEFICIT)*	3,268,824	(20,426,564)	(1,618,416)	(53,968,645)			49
50	Does not include application of CARES Act Funding							50

Item #	PROJECT NAME	Activity	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	REVISED FY21 CAPITAL BUDGET	Federal Funds	STA Funds	State Funds	STA SOGR Funds	Members			Member Funds Total	Other					Other Funds Total	TOTAL REVISED FY21 CAPITAL BUDGET
											SF	SM	VTA		Project Savings	AB664	SF Prop K other	Regional Funds	Other		
I. SOGR																					
Right of Way																					
1	Marin Street and Napoleon Street Bridges ¹	13, 16	6,704,000	9,696,000	-	9,696,000	4,965,021	-	-	1,350,915	-	-	-	2,740,064	640,000	-	-	-	3,380,064	9,696,000	
2	Fencing - ROW FY21-FY23	16	-	915,000	585,000	1,500,000	-	-	915,000	-	585,000	-	-	585,000	-	-	-	-	-	1,500,000	
8	Guadalupe River Bridge Replacement	16	10,300,000	-	2,100,000	2,100,000	1,680,000	-	-	-	-	-	420,000	420,000	-	-	-	-	-	2,100,000	
9	San Francisquito Creek Bridge Replacement	13,16	600,000	-	2,000,000	2,000,000	1,600,000	-	-	-	-	-	400,000	400,000	-	-	-	-	-	2,000,000	
10	Structures Maintenance SOGR	16	800,000	-	800,000	800,000	640,000	-	-	-	160,000	-	-	160,000	-	-	-	-	-	800,000	
11	System-wide Track Rehab- SOGR FY20-FY24	16	5,500,000	-	5,720,000	5,720,000	4,576,000	-	-	-	1,144,000	-	-	1,144,000	-	-	-	-	-	5,720,000	
				10,611,000	11,205,000	21,816,000	13,461,021	-	915,000	1,350,915	1,889,000	-	820,000	2,709,000	2,740,064	640,000	-	-	-	3,380,064	21,816,000
Signal & Communication																					
3	Fiber Optic Corrective Repair ²	16	-	1,000,000	5,000,000	6,000,000	-	-	-	-	1,333,825	-	1,413,468	2,747,293	-	-	-	-	3,252,707	3,252,707	6,000,000
12	Caltrain Communication System SOGR	16	-	-	2,000,000	2,000,000	1,600,000	-	-	-	-	-	400,000	400,000	-	-	-	-	-	2,000,000	
13	Rail Network Annual Maintenance	16	-	-	500,000	500,000	400,000	-	-	-	-	-	100,000	100,000	-	-	-	-	-	500,000	
14	TVM Upgrade Phase 4	16	1,795,000	-	1,000,000	1,000,000	800,000	-	-	-	200,000	-	-	200,000	-	-	-	-	-	1,000,000	
15	Clipper CID installation and Relocation Plan and	16	500,000	-	1,000,000	1,000,000	800,000	-	-	-	200,000	-	-	200,000	-	-	-	-	-	1,000,000	
16	Station Indicators	16	250,000	-	250,000	250,000	200,000	-	-	-	27,175	-	-	27,175	-	-	-	22,825	-	250,000	
17	ROW Distribution & Access layer switch replacements	16	-	-	45,000	45,000	-	-	-	-	-	-	45,000	45,000	-	-	-	-	-	45,000	
18	TVM Media Converter SOGR	16	-	-	10,000	10,000	-	-	-	-	-	-	10,000	10,000	-	-	-	-	-	10,000	
19	CDE Internal File Integrity Monitoring Refresh (Tripwire)	16	-	-	30,000	30,000	-	-	-	-	-	-	30,000	30,000	-	-	-	-	-	30,000	
20	BCCF Buildout Assessment	16	-	-	1,000,000	1,000,000	-	-	-	1,000,000	-	-	-	1,000,000	-	-	-	-	-	1,000,000	
				1,000,000	10,835,000	11,835,000	3,800,000	-	-	-	2,761,000	-	1,998,468	4,759,468	-	-	22,825	-	3,252,707	3,275,532	11,835,000
Rolling Stock																					
21	Bombardier	16	-	-	1,700,000	1,700,000	-	-	-	-	1,700,000	-	-	1,700,000	-	-	-	-	-	1,700,000	
22	Upper Level Doors Installation ⁷	16	-	-	11,000,000	11,000,000	-	-	-	-	-	-	-	-	-	-	-	-	11,000,000	11,000,000	
					12,700,000	12,700,000	-	-	-	-	1,700,000	-	-	1,700,000	-	-	-	-	11,000,000	11,000,000	12,700,000
Station & Intermodal Access																					
23	Stations Backup Power at 4 Stations	16	-	-	750,000	750,000	-	-	-	-	-	-	750,000	750,000	-	-	-	-	-	750,000	
24	Stations SOGR FY20-FY24	16	500,000	-	1,000,000	1,000,000	-	-	-	-	400,000	-	600,000	1,000,000	-	-	-	-	-	1,000,000	
25	CCF Crew Quarters Roof Replacement & Trailer Repairs	16	-	-	1,000,000	1,000,000	-	-	-	-	-	-	1,000,000	1,000,000	-	-	-	-	-	1,000,000	
26	Menlo Park Facility 4000 Campbell Avenue HVAC	16	-	-	100,000	100,000	-	-	-	-	-	100,000	-	100,000	-	-	-	-	-	100,000	
					2,850,000	2,850,000	-	-	-	-	400,000	100,000	2,350,000	2,850,000	-	-	-	-	-	-	2,850,000
	Total SOGR			11,611,000	37,590,000	49,201,000	17,261,021	-	915,000	1,350,915	6,750,000	100,000	5,168,468	12,018,468	2,740,064	640,000	22,825	-	14,252,707	17,655,596	49,201,000
ii. LEGAL MANDATES AND REQUIRED ENHANCEMENTS																					
27	Clipper Next Gen Validators Site Prep		-	-	1,500,000	1,500,000	1,200,000	-	-	-	300,000	-	-	300,000	-	-	-	-	-	1,500,000	
					1,500,000	1,500,000	1,200,000	-	-	-	300,000	-	-	300,000	-	-	-	-	-	1,500,000	

Item # **	PROJECT NAME	Activity	PRIOR YEARS APPROVED	FY21 ADOPTED JUNE BOARD	AMENDMENT #1	REVISED FY21 CAPITAL BUDGET	Federal Funds	STA Funds	State Funds	STA SOGR Funds	Members			Member Funds Total	Other					Other Funds Total	TOTAL REVISED FY21 CAPITAL BUDGET
											SF	SM	VTA		Project Savings	AB664	SF Prop K other	Regional Funds	Other		
iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS																					
4	Positive Train Control Litigation ³	16	-	6,600,000		6,600,000	-	-	-	-	-	-	-	-	-	-	-	-	6,600,000	6,600,000	6,600,000
5	Wayside Bike Parking Improvements ⁴	16	4,000,000	349,322		349,322	-	-	-	-	-	-	-	-	-	-	-	200,000	149,322	349,322	349,322
28	Grade Crossing Hazard Analysis Data Collection	16	-		200,000	200,000	-	-	-	-	200,000	-	200,000	-	-	-	-	-	-	-	200,000
29	FY21 Grade Crossing Safety Improvements Design	13	-		500,000	500,000	-	-	-	-	500,000	-	500,000	-	-	-	-	-	-	-	500,000
30	Track Chart Revision RP		-		300,000	300,000	-	-	-	-	300,000	-	300,000	-	-	-	-	-	-	-	300,000
31	EAM – Enterprise Asset Management software system		-		750,000	750,000	-	-	-	-	750,000	-	750,000	-	-	-	-	-	-	-	750,000
32	Update and Upgrade GIS system		-		500,000	500,000	-	-	-	-	500,000	-	500,000	-	-	-	-	-	-	-	500,000
				6,949,322	2,250,000	9,199,322	-	-	-	-	2,250,000	-	2,250,000	-	-	-	-	200,000	6,749,322	6,949,322	9,199,322
iv. PLANNING/STUDIES																					
6	22nd St. ADA Feasibility Study ⁵	11	300,000	50,000	-	50,000	-	-	-	-	-	-	-	50,000	-	-	-	-	-	50,000	50,000
7	Business Plan ⁶	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	-	-	-	-	-	-	-	1,250,000
34	San Francisco Station and Terminal Planning	11	-		1,000,000	1,000,000	-	-	-	450,000	-	-	450,000	-	-	550,000	-	-	-	550,000	1,000,000
35	Diridon and South Terminal Area	11	-		1,000,000	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	-	-	-	-	-	-	-	1,250,000
37	Redwood City Station Planning	11	-		750,000	750,000	-	-	-	-	750,000	-	750,000	-	-	-	-	-	-	-	750,000
38	System-wide Planning and Policy & Org Design	11	-		1,250,000	1,250,000	-	-	-	-	1,160,000	81,532	1,241,532	-	-	8,468	-	-	8,468	-	1,250,000
39	Capital Contingency Funds - Engineering		-		330,000	330,000	-	-	-	-	330,000	-	330,000	-	-	-	-	-	-	-	330,000
40	Capital Contingency Funds - Rail		-		660,000	660,000	-	-	-	-	660,000	-	660,000	-	-	-	-	-	-	-	660,000
41	Capital Program Management		-		500,000	500,000	-	-	-	-	500,000	-	500,000	-	-	-	-	-	-	-	500,000
42	Capital Project Development		-		500,000	500,000	-	-	-	-	500,000	-	500,000	-	-	-	-	-	-	-	500,000
**	Item # is not sequential, follows internal working documents by board meeting date.			559,157	8,490,000	9,049,157	-	-	-	-	450,000	5,150,000	2,331,532	7,931,532	50,000	-	558,468	-	509,157	1,117,625	9,049,157
TOTAL				19,119,479	49,830,000	68,949,479	18,461,021	-	915,000	1,350,915	7,500,000	7,500,000	7,500,000	22,500,000	2,790,064	640,000	581,293	200,000	21,511,186	25,722,543	68,949,479

1 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)

2 Insurance proceeds and/or Operating funds

3 Litigation costs funded by operating funds

4 San Carlos Transit Village LLC (\$149,322) and Bay Area Air Quality Management District (BAAQMD \$200,000)

5 Prior year SF member funds

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

7 Request only for board authority; must be funded by FY2023.