



BOARD OF DIRECTORS 2021

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

JIM HARTNETT
EXECUTIVE DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

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

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

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

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

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

Public Comments: Members of the public are encouraged to participate remotely. Public comments may be submitted to publiccomment@caltrain.com 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 and press *6 to accept being unmuted when recognized to speak for two minutes or less. Each commenter will be automatically notified when they are unmuted to speak for two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

March 4, 2021 – Thursday

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

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. General Counsel Report – Closed Session:
 - a. Closed Session: Conference with Legal Counsel – Anticipated Litigation
Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case
 - b. Closed Session: Conference with Legal Counsel – Existing Litigation Pursuant to Government Code Section 54956.9(d)(1): San Mateo County Transit District v. Britannia Gateway II Limited Partnership, Case No. 21-CIV-00090

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

- c. Closed Session pursuant to Government Code Section 54956.8:
Conference with Real Property Negotiators

Property: Parcels adjacent to Caltrain right-of-way in vicinity of Bayshore Station: San Francisco Property (APN 009-5102), San Mateo County Properties (APNs 005-162-300, 005-162-320, 005-162-350, 005-162-360, 005-340-040, 005-340-090, 005-340-100, 005-350-070, 005-350-080).

Agency Negotiators: Joan L. Cassman, General Counsel, Brian Fitzpatrick, Director of Real Estate, and Gary Cardona, Manager, Capital Project Support & Property Management

Negotiating Parties: Visitacion Investment, LLC, a California Limited Liability Company (San Francisco property) and Oyster Point Properties, Inc., a California corporation (San Mateo County properties).

Under negotiation: Price and terms of contract

PART II OF MEETING (REGULAR SESSION): 10:00 am estimated

- 4. General Counsel Report – Report Out from Current Closed Sessions INFORMATIONAL
- 5. 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.
- 6. Consent Calendar
Members of the Board may request that an item under the Consent Calendar be considered separately
 - a. Approve Regular Meeting Minutes of February 4, 2021 MOTION
 - b. Receive Key Caltrain Performance Statistics – January 2021 MOTION
 - c. Capital Projects Quarterly Status Report - 2nd Quarter Fiscal Year 2021 INFORMATIONAL
 - d. Authorize the Executive Director to Execute Amendment No. 3 to Supplemental Agreement No. 2 with Pacific Gas and Electric for Construction of 115 Kilovolt Interconnections for the Peninsula Corridor Electrification Project RESOLUTION

Approved by the Finance Committee

 - e. Accept Statement of Revenues and Expenses for the Period Ended January 31, 2021 MOTION
 - f. Authorize the Filing of Applications with the Metropolitan Transportation Commission for Programming of Federal Transit Administration Formula Funds for Caltrain Capital and Operating Projects RESOLUTION
 - g. Authorize Execution of Agreements with the California Department of Tax and Fee Administration for Implementation of Measure RR Transactions and Use Tax and Authorizing Examination of Transactions and Use Tax Records RESOLUTIONS
 - h. Clipper START Quarterly Update INFORMATIONAL

Approved by the Work Program-Legislative-Planning Committee

 - i. Receive State and Federal Legislative Update INFORMATIONAL
 - j. Review Proposed Revisions to Property Conveyance Policy and Call for Public Hearing on Updated Fee Schedule MOTION

7. Reports

- a. Report of the Citizens Advisory Committee INFORMATIONAL
- b. Report of the Chair INFORMATIONAL
 - i. Resolution of Appreciation for former Chair Dave Pine
 - ii. Report of the Local Policy Maker Group (LPMG)
- c. Report of the Executive Director INFORMATIONAL
 - i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – January INFORMATIONAL

8. Correspondence

9. Board Member Requests

10. General Counsel Report

11. Date/Time of Next Regular Meeting: Thursday, April 1, 2021 at 9:00 am via Zoom

12. 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. *Should Zoom not be operational, please check online at http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html for any updates or further instruction.

Public Comment*

Members of the public are encouraged to participate remotely. Public comments may be submitted to publiccomment@caltrain.com 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
Board of Directors Meeting
1250 San Carlos Avenue, San Carlos CA**

DRAFT MINUTES OF FEBRUARY 4, 2021

MEMBERS PRESENT: C. Chavez (arrived 9:11am), D. Davis (Chair), J. Gee, S. Heminger (Vice Chair), D. Pine, C. Stone (arrived 9:11am), S. Walton (arrived 9:05am), M. Zmuda

MEMBERS ABSENT: None

STAFF PRESENT: J. Hartnett, C. Mau, J. Cassman, S. Van Hoften, M. Bouchard, J. Funghi, K. Yin, D. Hansel, R. Rios, S. Petty, B. Tietjen, P. Skinner, J. Sharma, B. Shaw, J. Sangha, H. Lafebre, M. Robinson, D. Seamans, J. Brook, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dev Davis called the meeting to order at 9:01 am and led the pledge of allegiance.

Chair Davis welcomed Director Glenn Hendricks as the newest member of the Board. Director Hendricks was sworn into office at the January 25, 2021 Finance Committee meeting.

2. ROLL CALL

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

Director Shamann Walton arrived at 9:05 am.

Director Cindy Chavez and Director Charles Stone arrived at 9:11am

3. GENERAL COUNSEL REPORT – CLOSED SESSION:

a. Public Employee Performance Evaluation Pursuant to Government Code Section 54957(b)(1). Title: Executive Director

The Board convened in closed session at 9:04am
The Board reconvened in regular session at 10:13am

4. GENERAL COUNSEL REPORT – REPORT OUT FROM CURRENT CLOSED

General Counsel Joan Cassman stated that there were no reportable actions taken.

5. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Roland Lebrun, San Jose, commented on the Transit America, Inc. (TASI) contract on contractor performance, mechanical failures, assault, safety incidences, and public request responses.

Adrian Brandt, San Mateo County, commented on the Bay Area Council Link21, creating jobs, modern technologies for a modern railroad, filling trains, building a link between the largest cities, and climate change.

Aleta Dupree, Oakland, commented on engaging the new administration, continuing work with Clipper START, and the new Transbay Crossing.

6. CONSENT CALENDAR

- a. Approved Regular Meeting Minutes of January 7, 2021**
- b. Received Key Caltrain Performance Statistics – December 2020**
- c. Accepted the Statement of Revenues and Expenses for the Period Ended December 31, 2020**
- d. Authorization to Enter into Funding Agreements for the San Francisco Downtown Extension Project and Amend to Increase the Fiscal Year 2021 Capital Budget to Include \$200,000 for the Project and Reflect a Cumulative Increase of \$26,100,000 for a New Total Budget of \$112,559,772**
- e. Increased the Contract Change Order Authority for Construction of the 25th Avenue Grade Separation Project by \$12,100,000 and Amend to Increase The Fiscal Year 2021 Capital Budget to Include \$25,900,000 for the Project and Reflect a Cumulative Increase of \$26,100,000 for a New Total Budget of \$112,559,772**
- f. Fuel Hedging Update**
- g. Adoption of a Mitigated Negative Declaration for the Guadalupe River Bridge Replacement Project**
- h. Approval of Legislative proposals: Support ACA 1 and SB 44**

Motion/Second: Zmuda/Stone

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

Noes: None

Absent: Stone

Public Comment

Roland Lebrun, San Jose, expressed concern with the 6e project, commented on the 25th Avenue project passing tracks, and inquired about Union Pacific Bridge electrification.

7. STATE AND FEDERAL LEGISLATIVE UPDATE

Lori Low, Government and Community Affairs Officer, introduced the legislative advocates from Sacramento and Washington D.C.

Mike Robson, EGRS Lobby, and Matt Robinson, SYASL Partners, provided the state legislative updates

Eve O'Toole, Senior Policy Advisor, Holland & Knight and Lauri Hettinger, Senior Policy Advisor, Holland & Knight provided the federal legislative updates.

Jim Hartnett, Executive Director, commended the state and federal representatives.

8. REPORTS

a. Report of the Citizens Advisory Committee (CAC)

Brian Shaw, CAC Chair, reported that public comments included the TASI contract and committee comment subjects included website redesign, Metropolitan Transportation Commission (MTC) fare integration study, online e-locker availability, goal for income benefit through development, and working to recover ridership in 2021.

b. Report of the Chair

Chair Davis welcomed Glenn Hendricks, Chair of Valley Transportation Authority (VTA), representative to the Caltrain Board and Vice Mayor of the Sunnyvale City Council. She stated Caltrain would have multiple conversations on governance throughout the year and thanked Directors Walton, Pine and Chavez for participation in the ad hoc committee. Chair Davis requested Board members prioritize Governance work in their schedules. She addressed Measure RR funds, using it as a financial backstop, and allocating it for critical needs.

c. Report of the Executive Director

Jim Hartnett, Executive Director, stated that the written report was available in the packet.

c(i). Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – December

John Funghi, CalMod Chief Officer, reported that subcontractor successfully converted grade crossings to alternating current (AC) compatible systems over the weekend. He stated the Federal Railroad Administration (FRA) was pleased with the quality and testing performance achieved. Mr. Funghi said Balfour Beatty Inc. (BBI) foundation production for January decreased and provided an updated timeline with July 2021 for completion of the remaining foundations. He said they have continued to push for better performance and the installation of poles and cantilever wires to continue in segments three and four. Mr. Funghi said infrastructure work is advancing and construction at the Centralized Equipment Maintenance and Operations Facility (CEMOF) is nearing completion. He stated that Stadler trainsets are scheduled for dynamic testing at the end of this month. Mr. Funghi noted that costs and schedule forecasts will be presented at the March Board meeting. He said they currently have \$156 million in contingency representing a \$2 million surplus.

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions, which included the following: target date for the first run of passenger trains, information needed for the March presentation; keeping pace with the original budget, real world data about crossing delays, and questioned if this past weekend was enough of a sample to draw conclusions with testing performance.

c(ii). Blue Ribbon Task Force Update

April Chan, Chief Officer Planning & Grants, stated that the Task Force has put together a Transit Transformation Action Plan to better coordinate efforts and address issues. She said Assembly Member Kansen Chu would like to introduce legislation to move this work through.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding potential roles for a network manager, how local service is affected with regional decisions, Caltrain tranche allocation,

looking at other broad models for best practices, and needing funds to facilitate better connections.

Public Comment

Roland Lebrun, San Jose, commented on CAC member conduct during meetings, and expressed concern regarding track electrification, constant warning times, and the budget.

Adrian Brandt, San Mateo County, commented on increased warning times with slower trains with dual speed check.

Adina Levin, Friends of Caltrain, commented on transit coordination to increase ridership post pandemic.

Karl Voelker, Sunnyvale, commented on the barrier of getting to Caltrain stations initially and mimicking successful transit network managers with strong centralized authorities.

Doug DeLong, Mountain View, commented on the duration of the closed session and public comment.

Kevin Ma, Palo Alto, commented transit agency collaboration especially with SamTrans and the Santa Clara Valley Transportation Authority (VTA).

Vaughn Wolffe, Pleasanton, commented on connections and having a system that people want to use.

Aleta Dupree, Oakland, commented on producing foundations to meet the July deadline and doing grade crossings right.

Andy Chow, Redwood City, commented on Clipper vending machines.

Nishant Kheterpal, San Francisco, commented on improving regional coordination, especially after COVID.

9. POST-COVID BUSINESS STRATEGY – SCENARIO PLANNING

Sebastian Petty, Deputy Chief of Planning, provided the presentation, which included the following: Caltrain's business, how Caltrain delivers value, major shifts in the business environment with direct impacts on the business, and successful strategies despite changes.

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding planning work done on each of the four scenarios, what will be done in the next six months, building in iterations of schedule changes, bringing back the baby bullet, surveying, vaccines increasing ridership, and maintaining flexibility by identifying trends and adjusting speed.

Public Comment

Roland Lebrun, San Jose, commented on abstaining in the interest of time.

Andy Chow, Redwood City, commented on decreased ridership and increased freeway traffic.

Aleta Dupree, Oakland, commented on increasing ridership with masks, vaccines, and fare capping.

Jeff Carter, Millbrae, commented on rethinking fare policy, multi-ride tickets, and eliminating zones, to attract riders.

Vaughn Wolffe, Pleasanton, commented on getting testing and vaccines at Caltrain stations.

10. CORRESPONDENCE

Correspondence was available online.

11. BOARD MEMBER REQUESTS

Chair Davis requested to pull the PCEP Risk Report Update as a separate item when it is brought to the Board.

12. GENERAL COUNSEL REPORT

There was none

13. DATE/TIME OF NEXT REGULAR MEETING:

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

14. ADJOURN

The meeting adjourned at 12:09 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.

**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 – JANUARY 2021**

ACTION

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for January 2021.

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

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

In January 2021, Caltrain's Average Weekday Ridership (AWR) decreased by 95.3 percent to 3,056 from January 2020 AWR of 64,806. The total number of passengers who rode Caltrain in January 2021 decreased by 95.1 percent to 75,350 from 1,539,666 January 2020 ridership. AWR and total ridership have been resistant to recovery. While stay-at-home orders eased in January, continued work-from-home arrangements as evidenced by ongoing low office space usage continue to impact train ridership. As an example office usage in San Francisco CBD in week of January 27th, 2021 was 12 percent of the baseline according to the Kastle Systems' data,

This month ticket sales changed from January 2020 for:

- One Way tickets: -93.3 percent
- ED One Way tickets: - 85.2 percent
- Day Passes: -94.4 percent

- ED Day Passes: -85.4 percent
- Monthly Passes: -95.8 percent
- ED Monthly Passes: -90.1 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 8.9 percent (6,719 rides) of the monthly ridership and 1.5 percent (\$41,132) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees increased to 87,116 from 82,723 from January 2020.
- Number of the participating Go Pass Companies decreased to 117 in January 2021 from 118 in January 2020.
- Total Farebox Revenue decreased by 68.1 percent to \$2,808,208 from January 2020.

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

On-time performance (OTP) for January 2021 was 86.9 percent compared to 95.4 percent OTP for January 2020. The timetable change in December was geared toward providing better transfers at Millbrae and removing unnecessary “pad” from the schedule. Given the current construction activity that includes major signal system cutovers it appears that the timetable may need to be adjusted to provide additional time in order to support reliable schedule departure times. This will be reviewed as part of the planned March timetable change.

In January 2021, there were 144 minutes of delay due to mechanical issues compared to 913 minutes in January 2020.

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

Shuttle ridership for January 2021 decreased 93.9 percent from January 2020. When the Marguerite shuttle ridership is removed, the impact to ridership was a decrease of 94.3 percent. For station shuttles:

- Millbrae-Broadway shuttle: 14 average daily riders

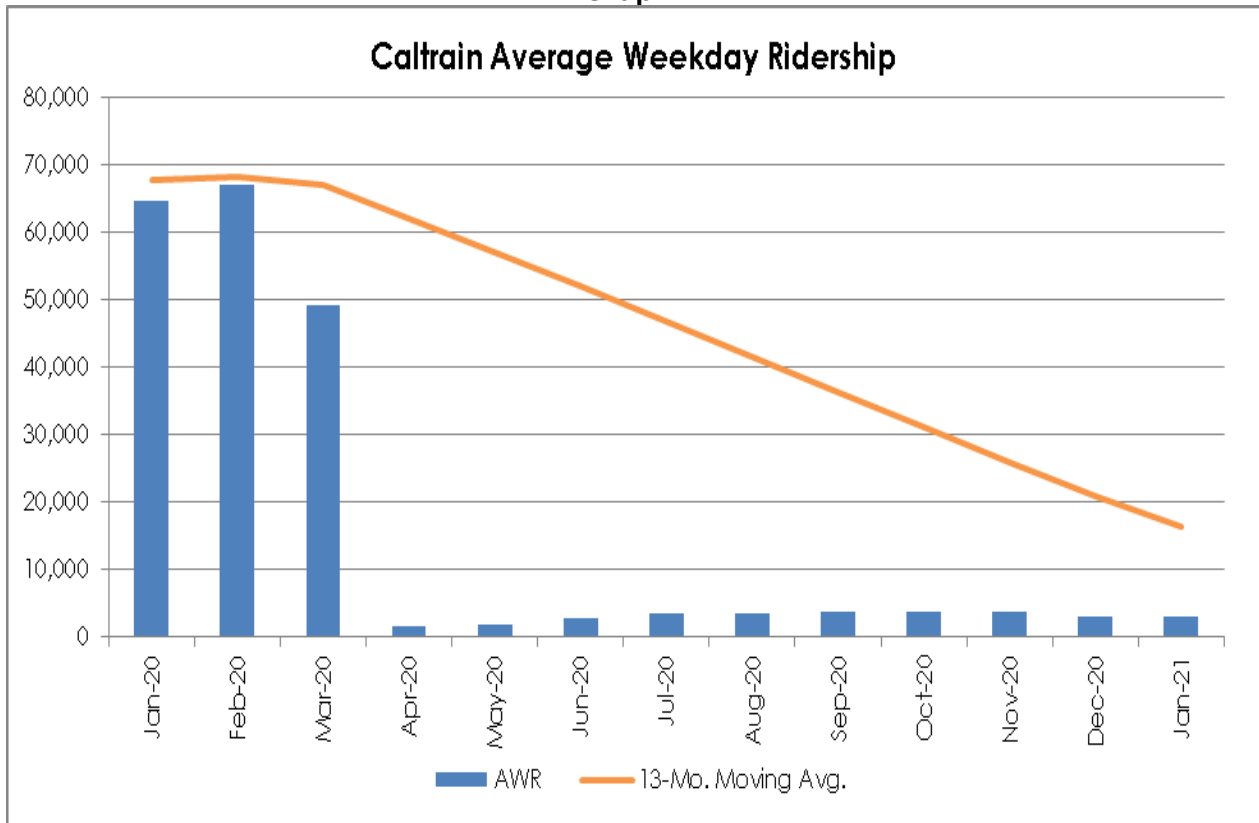
Table A
January 2021

	FY2020	FY2021	% Change
Total Ridership	1,539,666	75,350	-95.1%
Average Weekday Ridership	64,806	3,056	-95.3%
Total Farebox Revenue	\$ 8,812,250	\$ 2,808,208	-68.1%
On-time Performance	95.4%	86.9%	-8.9%
Average Weekday Caltrain Shuttle Ridership	7,970	482	-94.0%

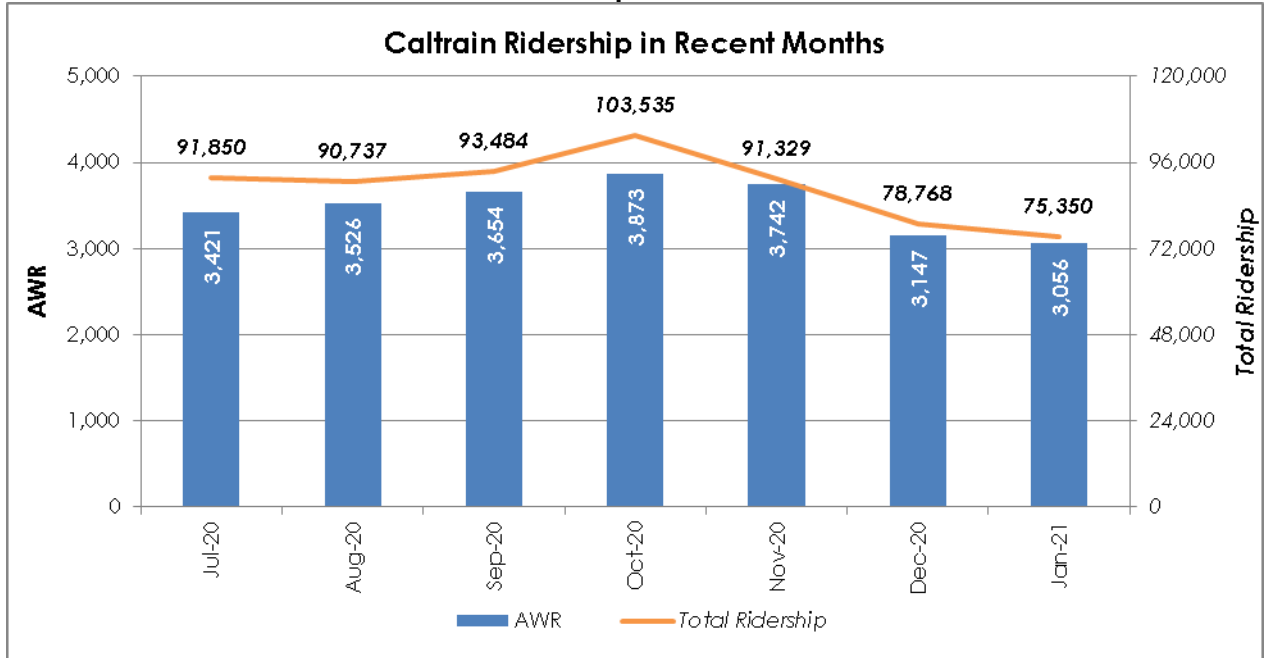
Fiscal Year to Date

	FY2020	FY2021	% Change
Total Ridership	11,127,997	625,053	-94.4%
Average Weekday Ridership	68,813	3,488	-94.9%
Total Farebox Revenue	\$ 62,006,799	\$ 20,746,673	-66.5%
On-time Performance	93.6%	95.1%	1.6%
Average Weekday Caltrain Shuttle Ridership	8,421	898	-89.3%

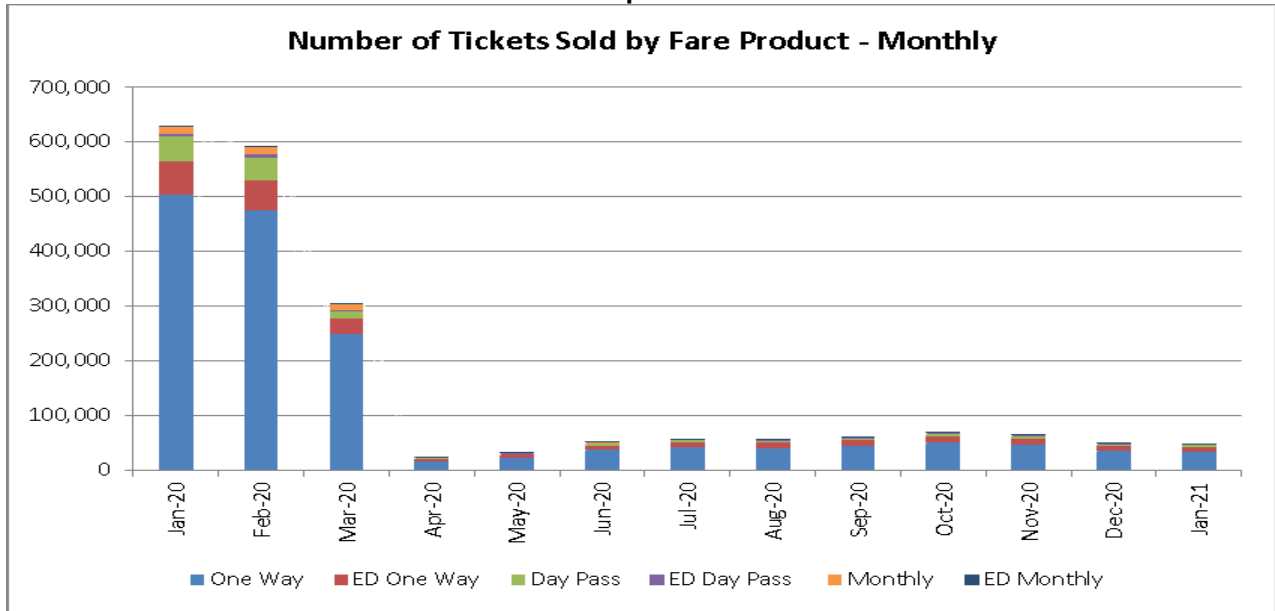
Graph A1



Graph A2

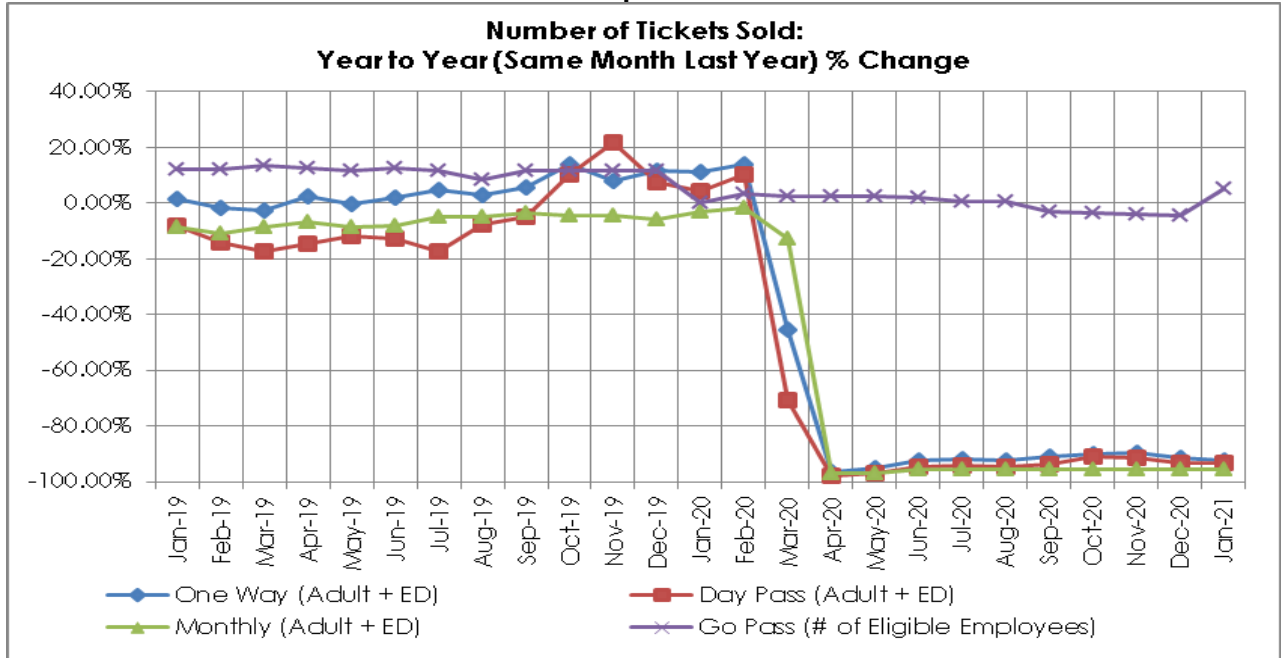


Graph B

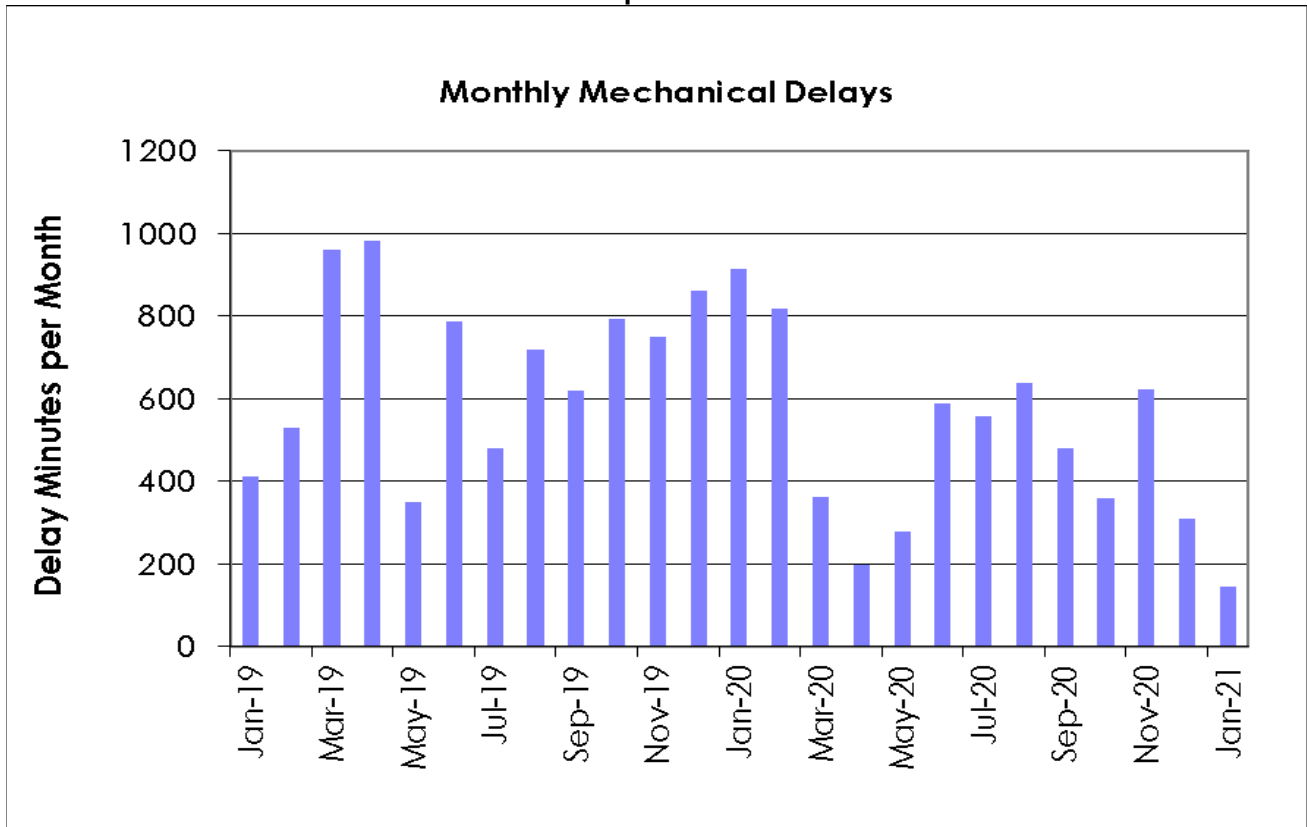


**Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*

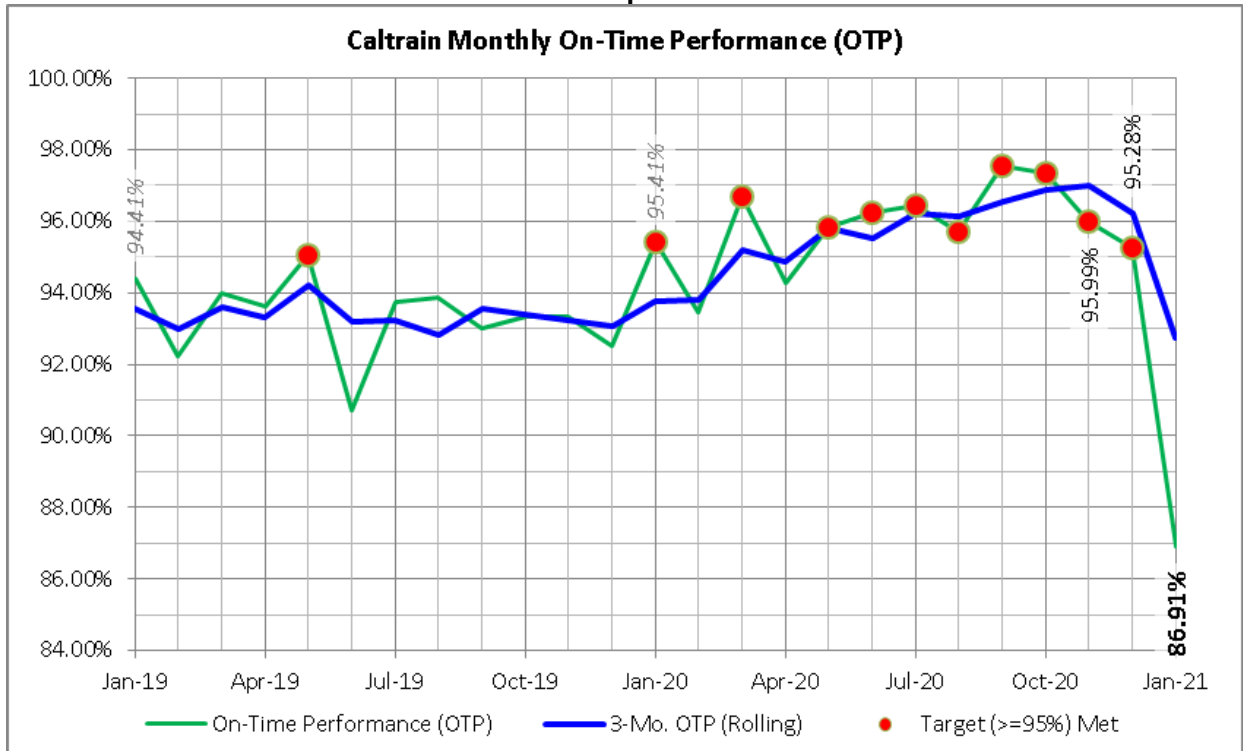
Graph C



Graph D



Graph E



Caltrain Promotions – January 2021

“Here for you” Rider Testimonial TV campaign – On January 25, Caltrain launched the rider testimonial television campaign as a way to keep riders and non-riders engaged with Caltrain service during these tough times. This campaign was developed to encourage riders to come back to Caltrain while putting minds at ease about the many safety measures Caltrain is taking to keep riders and employees safe. Caltrain has been an essential service for everyone and is imperative that we stay engaged with current, former and potential new riders that will look to Caltrain to get to work, school or wherever they need to get to when thing open up. The campaign consisted of 15 and 30 second TV spots. The spots aired on popular Comcast networks including digital streaming video platforms (Cord cutters) in San Francisco, San Mateo and Santa Clara Counties. The other half on the campaign was through paid geo-targeted Facebook/Instagram video ads. The campaign also aired on UNIVISION Network in Spanish and on social medial platforms. Chinese media included print, social medial, digital online display ads and radio spots. The campaign will run through the end of March.

Caltrain Digital Metrics: Jan 2021



New Followers	-274
Jan 21	179,083
Dec 20	179,357
Jan 20	182,006

Caltrain.com Sessions

Jan 21	118,346
Dec 20	115,423
Jan 20	832,838

Notes

Removed network Periscope followers for 2021.

Top Topics

Compliment	43
Delay	36
Electrification	21
Complaint	14
Celebration Trair	9

Social Engagement

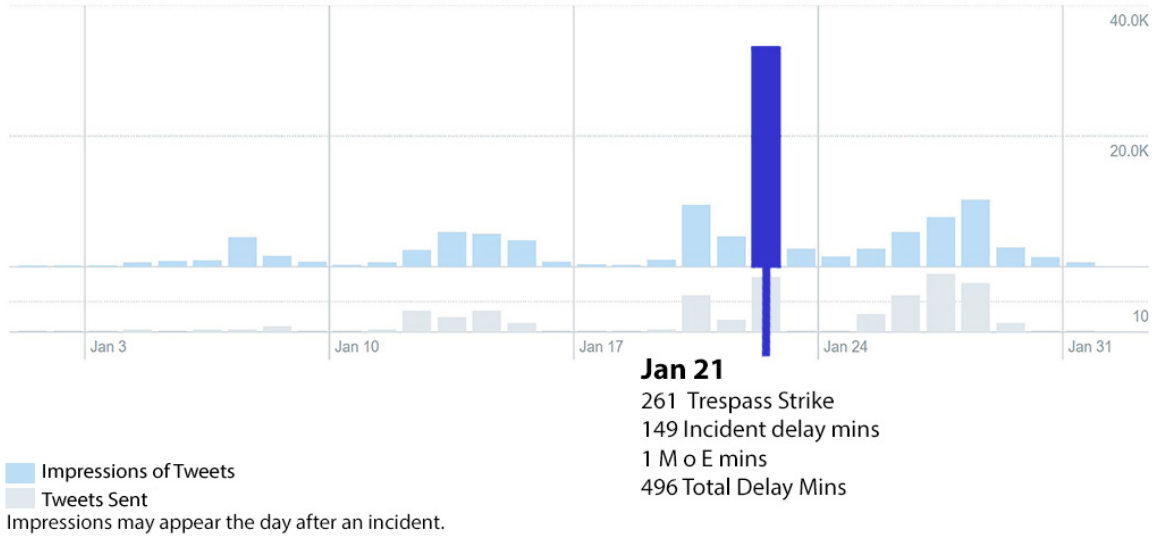
Video Views	15,948
Impressions	939,917
Interactions	31,860

Yelp/FB Rating

Overall	2.75
Monthly	2.00

Twitter Impression Spikes: @CaltrainAlerts January, 2021

Your Tweets earned **113.9K impressions** over this **31 day** period



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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CAPITAL PROJECTS QUARTERLY STATUS REPORT –
2ND QUARTER FISCAL YEAR 2021**

ACTION

Staff Coordinating Council recommends the Board receive the Capital Projects Quarterly Status Report link to report:

https://www.caltrain.com/Assets/_Finance/Quarterly+Capital+Program+Status+Report/JPB/JPB+Quarterly+Report+FY21+Q2.pdf

SIGNIFICANCE

The Capital Projects Quarterly Status Report is submitted to keep the Board advised as to the scope, budget and progress of current ongoing capital projects.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

Staff prepares the Capital Projects Quarterly Status Report for the Board on a quarterly basis. The report is a summary of the scope, budget and progress of capital projects. It is being presented to the Board for informational purposes and is intended to better inform the Board of the capital project status.

Prepared by: Robert Cheung, Project Controls Manager

650.622.8019



Quarterly Capital Program Status Report and DBE Status Report

Prepared for the March 04, 2021 Caltrain Board Meeting

2nd Quarter FY2021: October 01, 2020 – December 31, 2020

Peninsula Corridor Joint Powers Board



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Caltrain - Capital Program - Budget Summary

2nd Quarter FY2021 - October 01, 2020 to December 31, 2020

All Costs in \$1,000's

Programs						
	FY2016	FY2017	FY2018	FY2019	FY2020	FY2021
1. Station and Intermodal Access	\$39,756	\$1,450	\$745	\$6,600	\$4,870	\$2,100
2. Right of Way / Signal & Communications	\$40,350	\$180,232	\$22,438	\$20,072	\$20,877	\$27,816
3. Rolling Stock	\$4,000	\$6,997	\$12,826	\$17,034	\$5,063	\$12,664
4. Operational Improvements/Enhancements	\$2,844	\$4,723	\$31,054	\$2,050	\$3,800	\$31,377
5. Planning and Studies	\$4,220	\$2,756	\$3,040	\$6,425	\$12,290	\$8,698
7. Legal Mandates & Required Enhancements	\$3,337	\$14,721	\$1,220	\$1,327	\$500	\$1,500
Total Board Approved Budget by FY	\$94,507	\$210,879	\$71,323	\$53,508	\$47,400	\$84,155

The Caltrain Modernization Program is reported separately and not included in this quarterly report.

Some of the major projects in progress include, but are not limited to the following:

Currently in Progress

- 25th Avenue Grade Separation Project
- Automatic Passenger Counters 4th & King
- BayShore Station Overpass Pedestrian Bridge Rehab Project
- Broadband Communication
- Burlingame Broadway Grade Separation Project
- CCF and BCCF Virtualization Project
- Churchill Avenue Grade Crossing
- Grade Crossing Improvement FY 2019 & 2020
- Guadalupe River Bridge Replacement and Extension Project
- Marin and Napoleon Bridge Replacement Project
- Mary Avenue Traffic Signal Project
- MP-36 Locomotive Mid-Life Overhaul
- Next Generation Visual Message Signs (VMS) & Pads
- Railroad Communications System Project - FY2017
- Railroad Communications System Project - FY2018
- Railroad Communications System Project - FY2019
- Rengstorff Avenue Grade Separation
- Right Of Way Fencing Project
- South San Francisco Station Improvements Project
- Station Enhancement and Renovation Project
- Systemwide Signal System Rehabilitation Project - FY2019
- Systemwide Track Rehabilitation Project - FY2019
- Ticket Vending Machine Rehab Program Project
- Wayside Bike Parking Improvement Project

Note: The "Total Board Approved Budget by FY" reflects the annual fiscal year capital budget approved by the Caltrain Board. This authorizes the amount that can be spent on projects. Unspent budget in a fiscal year may be carried forward to subsequent budget years.

TRAFFIC LIGHT REPORT

The following projects represent a sub-set of the total Capital Program and have been selected for inclusion into the Quarterly Report due to project value, operational significance, and/or impact on customers.

	SCOPE		SCHEDULE		BUDGET / COST		SAFETY		
	Q1FY21	Q2FY21	Q1FY21	Q2FY21	Q1FY21	Q2FY21	Q1FY21	Q2FY21	
25th Ave. Grade Separation Project									4
Automatic Passenger Counters 4th & King									6
BayShore Station Overpass Pedestrian Bridge Rehab Project									8
Broadband Communication									10
Burlingame Broadway Grade Separation Project (Preliminary Design/Environmental Clearance)									12
CCF and BCCF Virtualization Project									14
Churchill Avenue Grade Crossing									16
Grade Crossing Improvement FY 2019 & 2020									18
Guadalupe River Bridges Replacement and Extension Project (Preliminary Design/Environmental Clearance)									20
Marin and Napoleon Bridge Replacement Project									22
Mary Avenue Traffic Signal Project									24
MP-36 Locomotive Mid-Life Overhaul Project									26
Next Generation Visual Message Signs (VMS) & Pads									28
Railroad Communications System Project - FY2017									30
Railroad Communications System Project - FY2018									32
Railroad Communications System Project - FY2019									34
Rengstorff Avenue Grade Separation									36
Right Of Way Fencing Project									38
South San Francisco Station Improvement Project									40
Station Enhancement and Renovation Project									42
Systemwide Signal System Rehabilitation Project - FY2019									44
Systemwide Track Rehabilitation Project - FY2019									46
Ticket Vending Machine Rehab Program Project									48
Wayside Bike Parking Improvement Project									50



= Project On-Hold



= No Issues

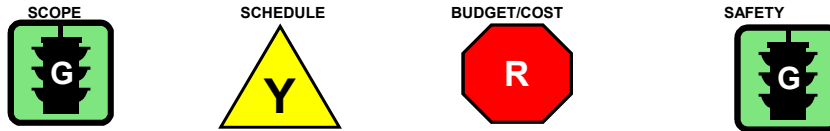


= Notable Issues



= Significant Issues

25th AVENUE GRADE SEPARATION PROJECT



SCOPE:



This project will raise the vertical alignment and provide grade separations between Hillsdale Boulevard and SR-92 in the City of San Mateo, including:

- Grade separating the 25th Avenue at-grade crossing.
- Construction of two new grade separated crossings at 28th and 31st Avenues.
- Perform relocation of the existing Hillsdale Caltrain station. The new station will be an elevated, center-board platform.

Scope includes final design/environmental (CEQA and NEPA) clearance work and construction to replace the existing 25th Avenue at-grade crossing with a two-track elevated grade separation. The elevated rail alignment will require the relocation of the existing Hillsdale Caltrain Station northward to a location between 28th and 31st Avenues and will allow for new street connections between El Camino Real and Delaware Street at 28th and 31st Avenues in San Mateo, California. Construction Contract was awarded in August 2017. Project is currently in construction phase. JPB is the lead implementing agency.

Issues: No Issues related to Scope of Work.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2014	2015	2016	2017	2018	2019	2020	2021
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
002088 - 25th Avenue Grade Separation		16-Jul-14 A	01-Nov-21								
▣ Preliminary Engineering		16-Jul-14 A	31-Oct-15 A								
▣ Environmental Clearance		25-Sep-14 A	28-Oct-16 A								
▣ Final Design		02-Nov-15 A	09-Dec-16 A								
▣ Bid & Award		15-Nov-16 A	09-Aug-17 A								
▣ Construction		10-Aug-17 A	01-Sep-21								
▣ Project Close Out		02-Sep-21	01-Nov-21								

Note: Schedule slipped by 2 months for change orders related to work at 31st Avenue.

Progress:

- Oct - Dec 2020
- (1) Continued work on north parking.
 - (2) Continued lowering of 28th East side - Roadway/Structure Excavation.
 - (3) Coordinating with Clean Water CSM team for 30" sewer line work within JPB ROW.
 - (4) Coordination with City for 25th Ave. stage construction work.
 - (5) Ongoing final grading and form work in south parking lot.
 - (6) Ongoing work at Station House for amenities, platform fixtures.
 - (7) Ongoing coordination with PG&E for getting power to Hillsdale Station.
 - (8) Completed final work on ramps and stairs.
 - (9) Completed work at Borel Creek - Demo of Old Bridge and Creek Restoration Work.

Future

Activities:

- Jan - Mar 2021
- (1) Continue roadway work for 28th Ave, schedule for paving and opening of 28th Ave
 - (2) Continue work at Station House for amenities, platform fixtures.
 - (3) Continue final grading and form work in south parking lot.
 - (4) Continue coordination with the City for 25th Ave. stage construction work.
 - (5) Continue work on mass excavation at 31st Ave, Soldier Piles for RW 9 & 10.
 - (6) Continue coordination with PG&E for getting power to Hillsdale Station.
 - (7) Project team to request additional funds of \$25.9M. To be presented in City Council/TA Board meetings.

Issues:

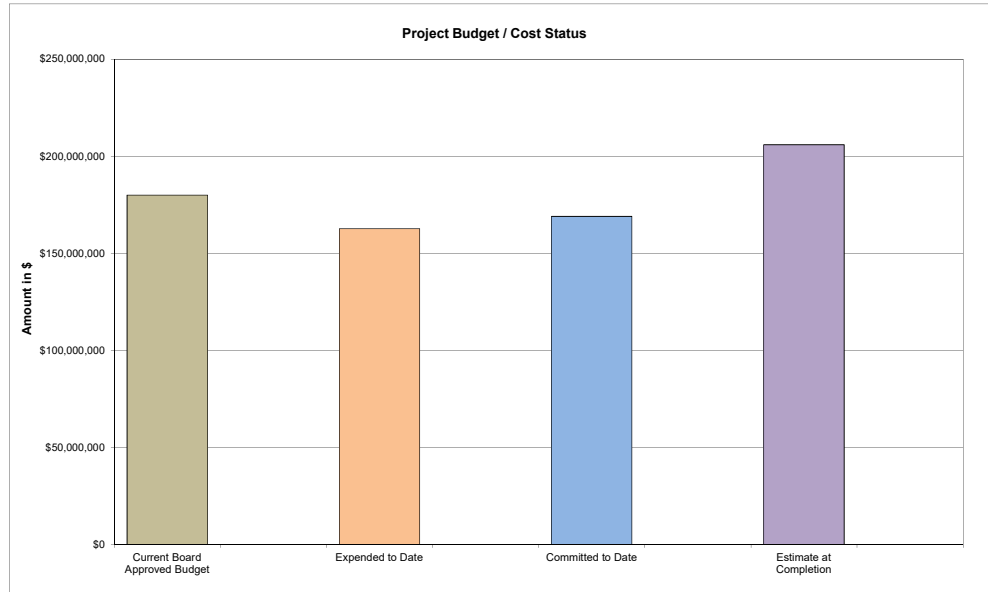
- (1) Calwater Agreement for work on 28th and 25th Ave - needs to be executed (can cause potential schedule impacts to project).
- (2) PG&E delays in crew assignment for connecting power to Hillsdale Station. Once PG&E hooks up power, it will take about 4-5 weeks for commissioning, testing, inspection and opening of station.
- (3) Coordination with City of San Mateo for 25th Ave Stage Construction Work.

25th AVENUE GRADE SEPARATION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$180,000,000	\$162,671,719	\$169,018,887	\$205,900,000	(\$25,900,000)



Note: In January 2021, the City of San Mateo approved \$2.1M and the TA Board approved \$23.8 million of additional funds for the project which will be reflected in the next report.

Issues:

Total Project Estimate at Completion has been increased due to delays in utility relocations, high cost in PG&E high pressure gas (HPG) pipeline, cost of utility connections to new Caltrain facilities, differing site conditions, and changes in the design and construction of a set-out track.

SAFETY:

No incidents reported this quarter.



Automatic Passenger Counters at 4th & King



SCOPE:



This project will be for the design and installation of Automatic Passenger Counters (APC) at the platform doors at the Caltrain 4th & King station. Included will be the design of the hardware installation of the APC at 4th & King and the software implementation to retrieve the APC data and analyze it remotely. A contractor will be selected through an IFB process to install the APC equipment at 4th & King.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020			2021								
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4				
100445 - Automatic Passenger Counters at 4th & King		01-Dec-19 A	31-Oct-21															
+	Bid & Award	01-Dec-19 A	26-Feb-21															
+	Construction	31-Dec-19 A	30-Jul-21															
+	Project Close Out	31-Jul-21	31-Oct-21															

Note: Contract with Centum Adetel was awarded in February 3, 2021 and will be reflected in the next report.

Progress:

- Oct - Dec 2020
- (1) Final design package was submitted.
 - (2) Requested a proposal from TASI.
 - (3) Worked with Centum Adetel to address their issues with the Agreement.
 - (4) Received Certificate of Insurance from Centum Adetel.

Future

Activities:

- Jan - Mar 2021
- (1) Award construction contract to Centum Adetel.
 - (2) Receive TASI's proposal.

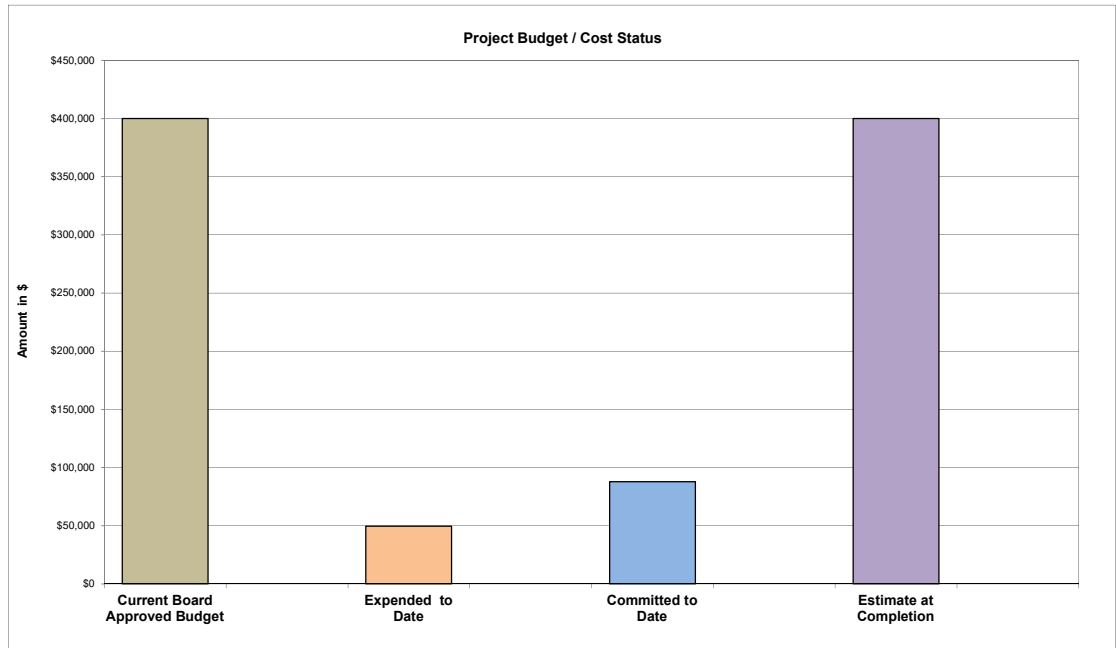
Issues: None.

Automatic Passenger Counters at 4th & King

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$400,000	\$49,539	\$87,940	\$400,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT

SCOPE	SCHEDULE	BUDGET/COST	SAFETY

SCOPE:



The Project scope consists of the removal and replacement of existing paint coatings on the steel surfaces of the pedestrian bridge and stairs at the Caltrain Bayshore Station in San Francisco.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020			2021			2022				
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
100439 - Bayshore Overpass Rehabilitation		01-Feb-20 A	14-Jul-22											
Constructability		01-Feb-20 A	31-Jul-20 A											
Bid & Award		01-Aug-20 A	13-May-21											
Construction		14-May-21	16-May-22											
Project Close Out		17-May-22	14-Jul-22											

Progress:

Oct - Dec 2020

- (1) Working with Operations team for revising specs related to work hours, track access, on track safety envelope requirements as per new guidelines.
- (2) Presented the project to City of Brisbane and SFCTA. No comments except for some noise concerns, and coordination with locals.
- (3) Procured Transystem for deisgn review of Bayshore contract documents.
- (4) Working with design consultant to edit the scope of work, cost estimate and construction schedule.
- (5) Working with PCEP team and Paint Consultant for designing containment system through the OH wires (PCEP OH wires will be installed when the project is in construction, however, not energized).
- (6) Working with engineering team for defining the structural repair criteria, if needed, removal and replacement of bolt specs.

Future

Activities:

Jan - Mar 2021

- (1) Continue working with design consultant to edit the scope of work, cost estimate and construction schedule.
- (2) Continue working with Operations team for revising specs related to work hours, track access, on track safety envelope requirements as per new guidelines.
- (3) Continue working with PCEP team and Paint Consultant for designing containment system through the OH wires (PCEP OH wires will be installed when the project is in construction, however, not energized).

Issues:

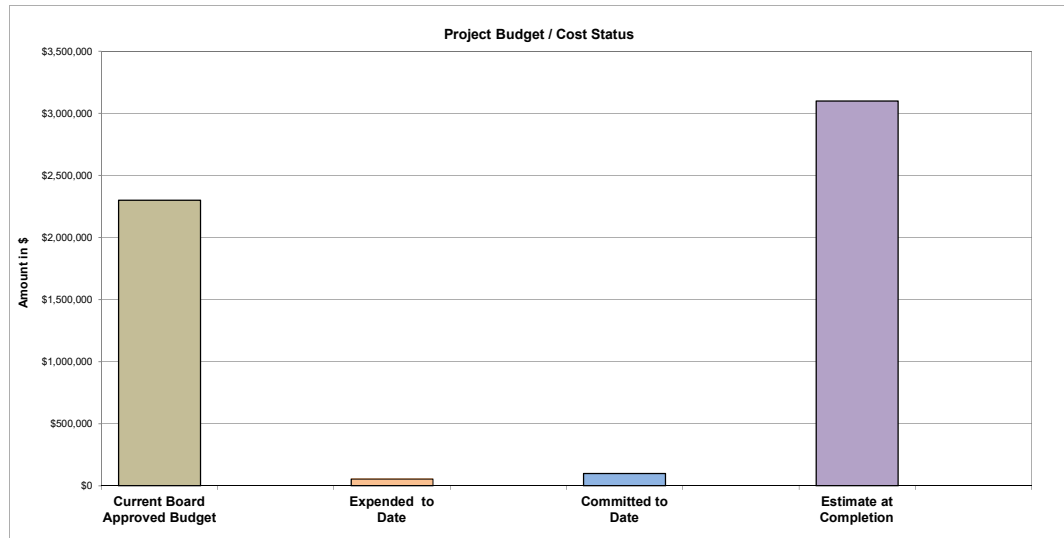
- (1) Scope of work, cost estimate and construction schedule are currently under revision with design consultant.
- (2) PCEP overhead Wires are in conflict with containment system.
- (3) Currently there is an interim JPB Project Manager assigned to this project. Efforts are underway to find a replacement.

BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,300,000	\$54,224	\$98,669	\$3,100,000	(\$800,000)



Issues: Additional funding is needed according to the latest revised construction estimate and previous bids of 2015.

SAFETY: No incidents reported this quarter.



Broadband Communication



SCOPE:



The project will design a broadband wireless communications system along the Caltrain corridor for the wayside train maintenance diagnostics and passenger WiFi service. The project will investigate leveraging the existing infrastructure such as the Overhead Contact System (OCS) poles and JPB fiber network to communicate with passing trains. Wayside antennas may be mounted on the OCS poles at a constant interval to communicate with moving trains that will be equipped with radios and antennas.

The current project scope is for the design only.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021					
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100403 - Broadband Communication		11-Nov-19 A	30-Sep-21										
+	Planning	11-Nov-19 A	30-Nov-20 A										
+	Final Design	01-Jan-21	30-May-21										
+	Project Close Out	31-May-21	30-Sep-21										

Note: Design has been paused to allow for a 3rd party review of the project implementation plan, team and the current conceptual design by Xentrans. Project team wants to make sure not to miss any other alternative technologies for the Broadband Wireless system and assess if the conceptual design was sound and did not have any gaps or high risks items. The 3rd party review will also perform a risk assessment of the implementation plan and team and perform a gap analysis to determine any holes in the plan and team. The final deliverable will be a report to confirm if the project is going in the right direction.

Progress:

- Oct - Dec 2020
- (1) Worked with LTK and Stadler on the EMU design for the WiFi equipment.
 - (2) Worked on the amendment to the design work directive to go from conceptual to final design.
 - (3) Completed the conceptual design.
 - (4) Xentrans presented the issues and impacts for the EMU roof antenna placement.
 - (5) Issued the contract to Civic Foundry for the 3rd Party project review.

Future

Activities:

- Jan - Mar 2021
- (1) Civic Foundry to review the project implementation plan.
 - (2) Engineering to continue researching other systems and technologies.

Issues:

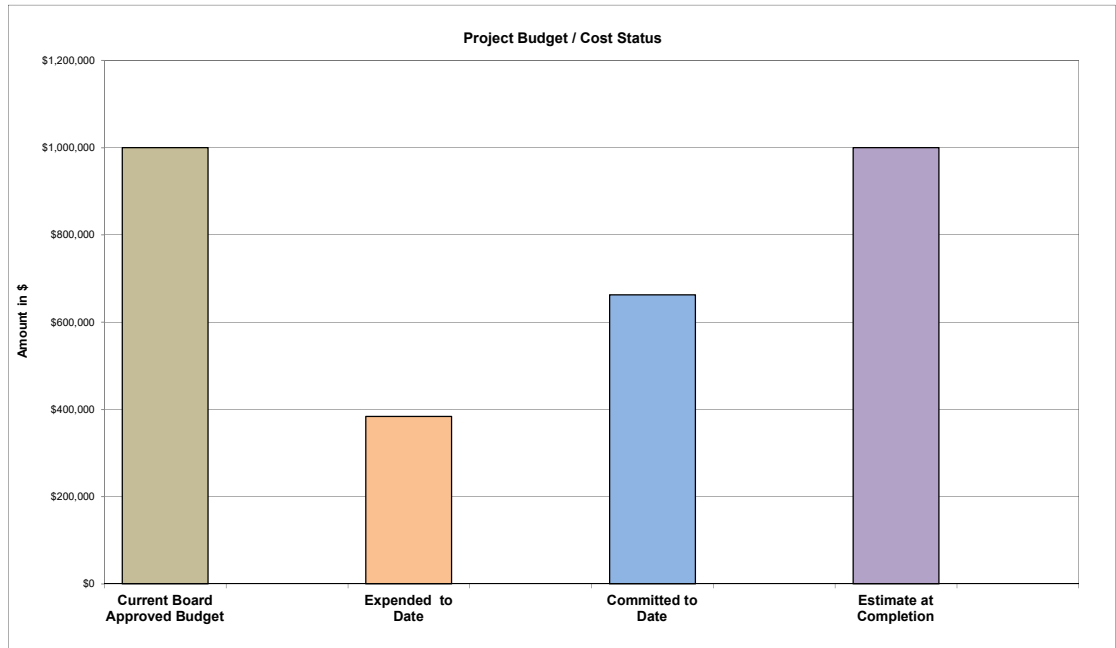
None.

Broadband Communication

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$1,000,000	\$384,010	\$662,683	\$1,000,000	\$0



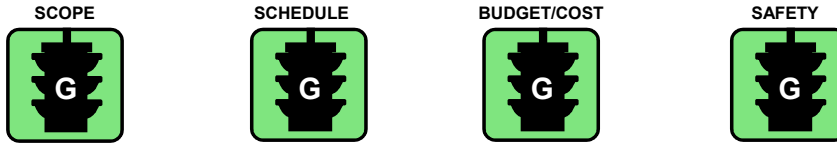
Issues: None.

SAFETY:



No incidents reported this quarter.

BURLINGAME BROADWAY GRADE SEPARATION PROJECT



SCOPE:



This project will grade separate the Broadway railroad crossing in the City of Burlingame by partially elevating the rail and partially depressing the roadway. The elevated rail alignment will require the reconstruction of the Broadway Caltrain Station. Reconstruction of the Broadway Caltrain Station will remove the operational requirement of the hold-out rule.

Currently the project is funded up to "Final Design" phase. The Estimate at Completion (EAC) is for up to "Final Design" phase only. Project is evaluating Value Engineering Options.

Issues:

None with the scope of work.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2017	2018	2019	2020	2021	2022	2023	2024		
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100244	Burlingame Broadway Grade	18-Dec-17	04-Jul-24										
	Preliminary Engineering 35%	18-Dec-17	30-Oct-19										
	Environmental Clearance	01-Dec-19	08-Oct-20										
	Final Design	04-Jan-21	04-Jul-23										
	Utility Relocation	05-Jul-23	04-Jul-24										

Note: The schedule has been rebaselined based on the award of design contract.

Progress:

Oct - Dec 2020

- (1) Obtained FTA NEPA Environmental Clearance in October 2020
- (2) Awarded final design contract at the November 2020 board meeting.
- (3) Reviewed Conceptual Value Engineering Option in coordination with City of Burlingame and JPB.
- (4) Executed funding agreement between City of Burlingame, SMCTA and JPB.
- (5) Executed design contract with Mark Thomas Inc.

Future

Activities:

Jan - Mar 2021

- (1) Kick Off Final Design Phase in January 2021.
- (2) Design Team to prepare memos for Value Engineering (VE) Options.
- (3) There are 5 Value Engineering (VE) Items that will be circulated, reviewed and analyzed by various JPB functional teams and City of Burlingame.
- (4) VE Memos will be prepared. Final Analysis of VE Items will be completed by March 2021.
- (5) 65% Design will start in April 2021 with "approved" VE options.

Issues:

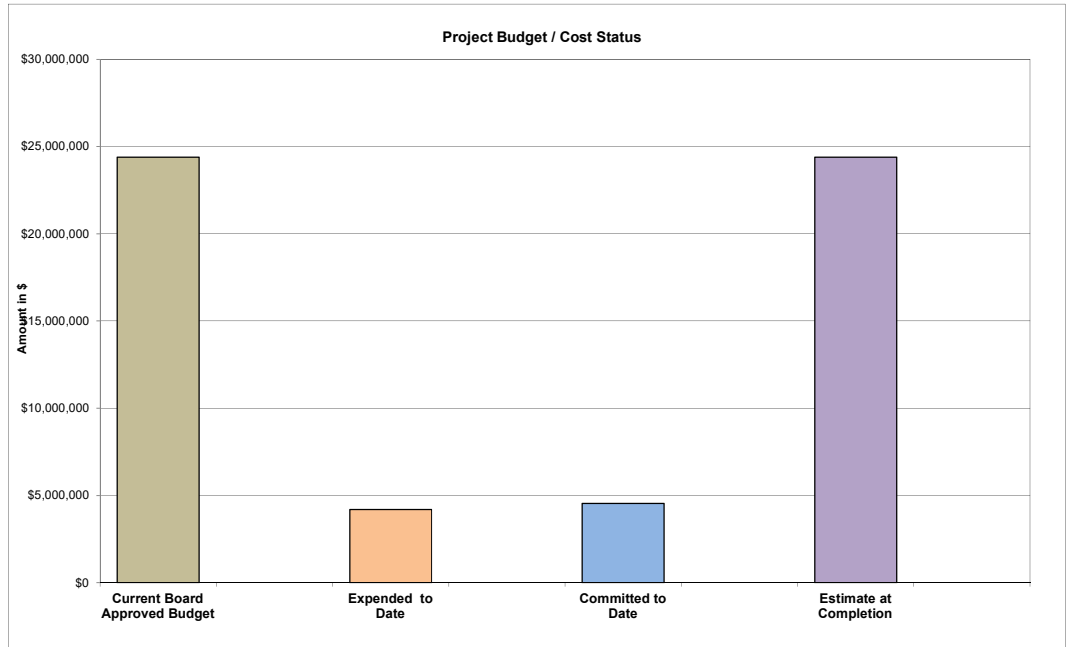
None.

BURLINGAME BROADWAY GRADE SEPARATION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$24,388,000	\$4,195,085	\$4,548,561	\$24,388,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



CCF AND BCCF VIRTUALIZATION PROJECT



SCOPE:



The Scope of the Caltrain Virtualization Project is to migrate the datacenters supporting rail operations to a single virtual platform. This effort will include the primary and secondary data centers.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020					
				Q1	Q2	Q3	Q4	Q1	Q2
100430 - CCF and BCCF Virtualization		10-Feb-20 A	12-Feb-21						
+	Planning	10-Feb-20 A	06-Mar-20 A						
+	Execution	09-Mar-20 A	22-Jan-21						
+	Migration	10-Aug-20 A	22-Jan-21						
+	Project Close Out	25-Jan-21	12-Feb-21						

Progress:

Oct - Dec 2020

- (1) Installed the Discovery tools in both Data Centers.
- (2) Began to poll the devices (Physical and Virtual).
- (3) Conducted working session to build a road map for successful virtualization and re-architecting the network to support that effort.
- (4) Polling server phase is finished.
- (5) Review infrastructure with CDW after polling is complete.
- (6) CDW finished reviewing questionnaires filled out by vendors.
- (7) Interviews have been scheduled with Wabtec and Arinc.

Future

Activities:

Jan - Mar 2021

- (1) Interviews with vendors.

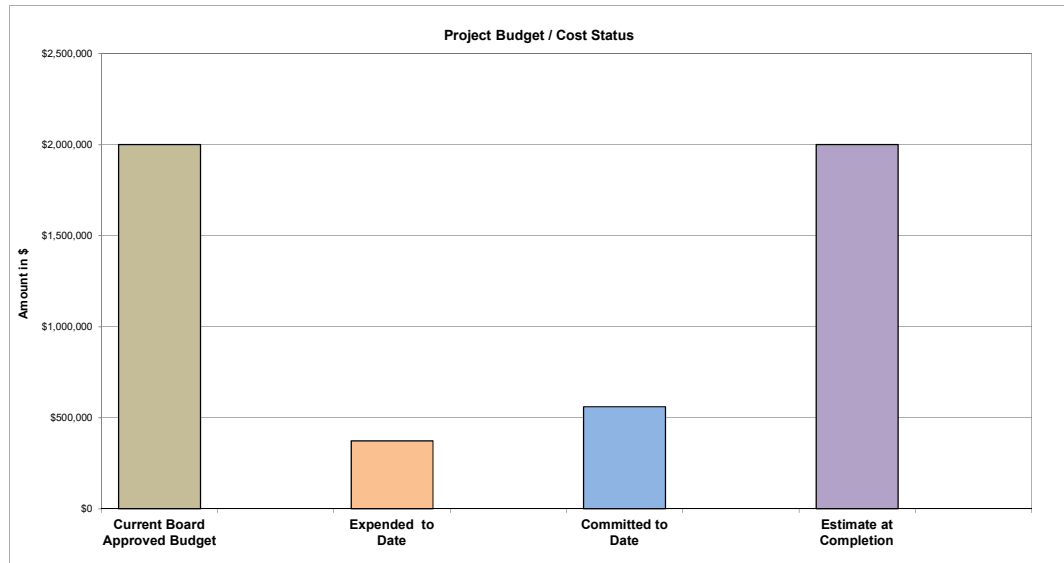
Issues: None.

CCF AND BCCF VIRTUALIZATION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,000,000	\$372,562	\$560,404	\$2,000,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



CHURCHILL AVENUE GRADE CROSSING

SCOPE	SCHEDULE	BUDGET/COST	SAFETY

SCOPE: The scope includes the widening of the sidewalk to accommodate heavy bike and pedestrian traffic from local schools; relocate the pedestrian crossing gates due to the widened sidewalk; install new pavement marking and markers for vehicular traffic at the Churchill avenue grade crossing in Palo Alto.



Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline													
				2019	2020			2021			2022			2023			
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
100426 - Churchill Avenue Grade Crossing		01-Sep-19 A	30-May-23														
▣ Preliminary Engineering		01-Sep-19 A	30-Jun-21														
▣ Procurement		01-Jul-21	03-Feb-22														
▣ Construction		04-Feb-22	30-Dec-22														
▣ Project Close Out		31-Dec-22	30-May-23														

Progress:

Oct - Dec 2020 (1) Conducted the kick off meeting with the city of Palo Alto and their design consultant.
 (2) Attended a design coordination meeting with the City of Palo Alto to be able to coordinate and match up our designs between our design drawings and the city of Palo Alto design drawings, we need to have the same reference points to measure from. We provided the city our 35% design drawings that has the base background information with the reference points. It also has our underground signal cables locations.

Future

Activities:

Jan - Mar 2021 (1) Continue coordinate the design with the City of Palo Alto.

Issues:

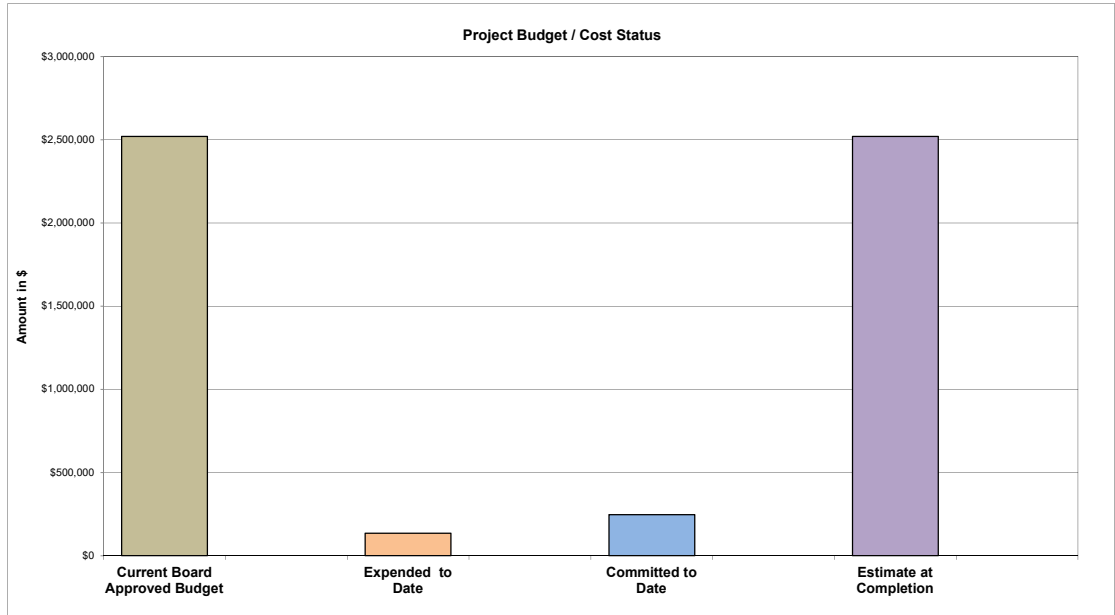
(1) Delay caused by the City of Palo Alto and their design schedule. We have regular meetings with the City of Palo Alto, Caltrans and CPUC and they all realize that the city is holding up our design effort. We'll continue to meet to coordinate the designs but the funding sponsors are aware of the schedule.

CHURCHILL AVENUE GRADE CROSSING

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,520,000	\$135,190	\$245,897	\$2,520,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



FY19 & 20 GRADE CROSSING IMPROVEMENTS PROJECT



SCOPE:



This project is the continuation of the Caltrain Grade Crossing Improvement Program. The project will include the design, bid & award process, installation of medians, pavement markers and markings to deter motorists from driving around a down gate or stopping on top of the tracks and turning onto the tracks.

The FY2019 and FY2020 funding will be used to improve the safety at the following five grade crossings:

San Mateo

- > 1st Avenue
- > 2nd Avenue
- > 3rd Avenue

Menlo Park

- > Glenwood
- > Oak Grove in Menlo Park.

These 5 locations were selected from the Caltrain Grade Crossing Hazard Analysis Report priority list. The Hazard Analysis Report assesses the potential risks at each Caltrain grade crossings. These crossings were high on the priority list because these crossings do not have medians at the crossing to prevent vehicles from going around a down crossing gate.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline											
				2019			2020				2021				
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
100333 - FY19 & 20 Grade Crossing Improvements		01-Apr-19 A	31-Dec-21	[Gantt chart showing project duration from Q2 2019 to Q1 2021]											
Final Design		01-Apr-19 A	30-Jun-20 A	[Gantt chart showing Final Design from Q2 2019 to Q3 2020]											
Bid & Award		01-Jul-20 A	31-Dec-20 A	[Gantt chart showing Bid & Award from Q3 2020 to Q4 2020]											
Construction		01-Jan-21	01-Oct-21	[Gantt chart showing Construction from Q1 2021 to Q4 2021]											
Project Close Out		02-Oct-21	31-Dec-21	[Gantt chart showing Project Close Out from Q4 2021 to Q1 2022]											

Progress:

Oct - Dec 2020

- (1) Received bid proposals for construction contract.
- (2) Submitted Staff Report and Resolution for the December 2020 Board meeting.
- (3) Attended the Agenda Review and SCC meetings.
- (4) The construction contract was awarded to Sposeto Engineering at the December Board.
- (5) Developed a Work Directive to hire a Resident Engineer.

Future

Activities:

Jan - Mar 2021

- (1) Hire a Resident Engineer for the project.
- (2) Issue the Limited Notice to Proceed (LNTTP) for construction to Sposeto Engineering.

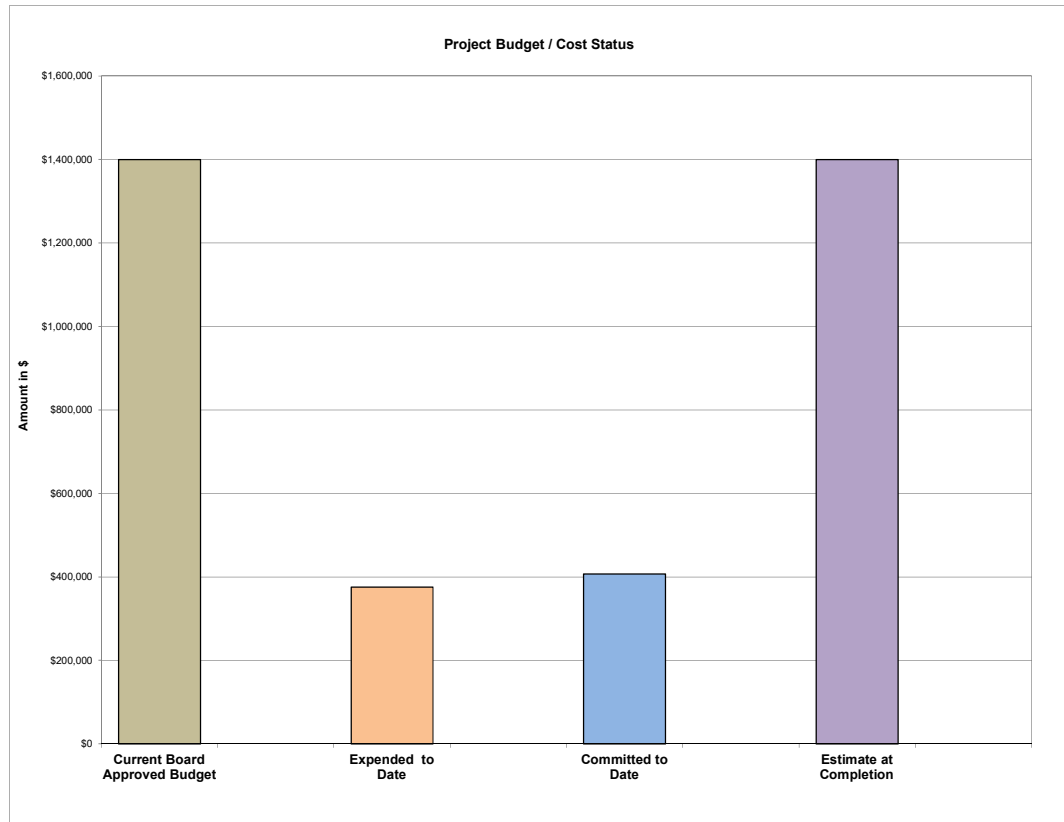
Issues: None.

FY19 & 20 GRADE CROSSING IMPROVEMENTS PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$1,400,000	\$375,355	\$406,677	\$1,400,000	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



**GUADALUPE RIVER BRIDGES REPLACEMENT AND EXTENSION PROJECT
(Preliminary Design/Environmental Clearance)**



SCOPE:

The purpose of the project is to address the geomorphic instability of the Guadalupe River channel in the vicinity of the two rail bridges, MT1 and MT2, over Guadalupe River in San Jose; and address the structural deficiencies of MT-1 Bridge to provide for long-term public safety and service reliability.

To stabilize the river channel and the structural conditions of the trestle, the project proposes to widen the channel to reduce scour and risk to bridge structures, replace UPRR MT1 with new longer bridge and extend MT2 at the south end.

The project is currently in preliminary design (65%) and in preparation of environmental studies for CEQA and NEPA clearance. The current scope, budget and estimate at completion is through final design only.

Issues: None.

SCHEDULE:

Activity ID	Activity Name	Start	Finish	2018				2019				2020				2021			
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
002113 - Guadalupe Bridge Replacement		21-Aug-17 A	31-Dec-21																
+	Preliminary Engineering 35%	21-Aug-17 A	30-Apr-20 A																
+	Preliminary Engineering 65%	11-May-20 A	30-Nov-20 A																
+	Environmental Clearance	07-Aug-18 A	31-Mar-21																
+	Final Design/ROW Clearance	01-Dec-20	31-Dec-21																

Progress:

- Oct - Dec 2020
- (1) Received the Mitigated Negative Declaration for Guadalupe River Bridge Replacement – adopted and approved by JPB Board.
 - (2) Real Estate and Designer's sub-contractor (RSE) preparing legal description and plat for City of San Jose application.
 - (3) Revision of 65% Design estimate for project.
 - (4) Continued to coordinate with project stakeholders including SCVWD, UPRR, Utility Owners and FTA on project needs.
 - (5) Continued to coordinate with PCEP project for potential conflicts and project needs.

Future

Activities:

- Jan - Mar 2021
- (1) Approval of Resolution for CEQA by PCJPB Board in February 2020.
 - (2) Complete the 65% design review with UPRR.
 - (3) Approval of NEPA (clearance) to proceed to Final Design.
 - (4) Agreement from UPRR on cost sharing.
 - (5) Continue to coordinate with project stakeholders.
 - (6) Coordinate Fiber Optic and PTC relocation with UPRR.

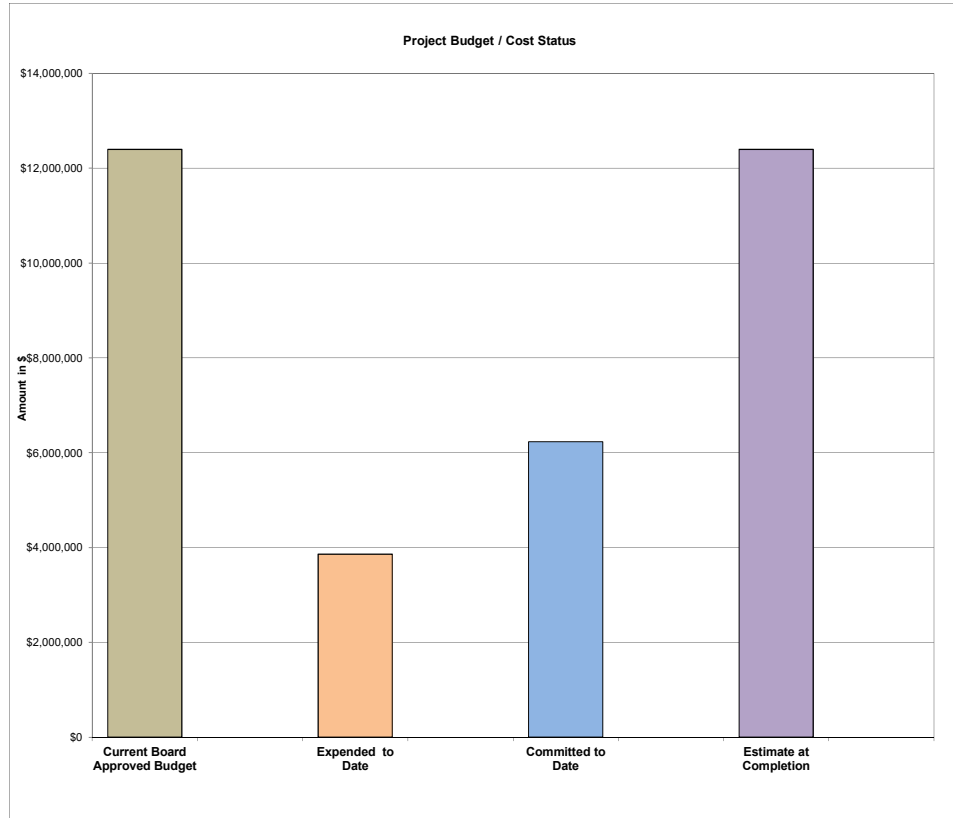
Issues: (1) Design and relocation of the conflicting OCS poles will add cost and time to the project schedule.

**GUADALUPE RIVER BRIDGES REPLACEMENT AND EXTENSION PROJECT
(Preliminary Design/Environmental Clearance)**

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$12,400,000	\$3,860,623	\$6,232,460	\$12,400,000	\$0



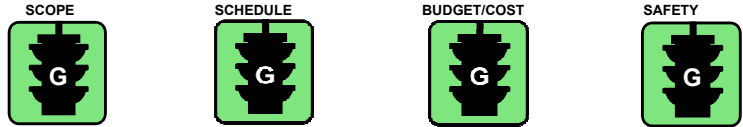
Note: FY2021 Capital Budget Amendment of \$2.1M approved by PCJPB Board in October 2020 has been added this period.

Issues: None.

SAFETY: No incidents reported this quarter.



MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT



SCOPE:



Marin Street and Napoleon Avenue bridges are located at MP 2.35 and MP 2.45 respectively in the City and County of San Francisco.
 Project Scope is for:
 (1) Marin Street Bridge - Improve safety and security, maintain the bridge at a state of good repair, and improve worker safety.
 (2) Napoleon Street Bridge - improve safety and security, minimize future maintenance repairs, and replace deficient bridge components by removing the 4 short bridge spans not located over box culvert and replace with earth berm, replacing the main center steel bridge with precast concrete girders and adding new wing walls.
 (3) Additional trackwork to replace the rail on MT1 and MT2 from approximate MP 2.10 to MP 2.63.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline (2015-2021)											
				2015	2016	2017	2018	2019	2020	2021					
002080 - Marin Street & Napoleon Bridge Closure		01-Dec-14 A	31-Dec-21	[Gantt bars for each activity]											
Preliminary Engineering		01-Dec-14 A	30-Apr-16 A	[Gantt bar]											
Engineering Design		01-May-16 A	31-Aug-19 A	[Gantt bar]											
Revised Final Design		06-Jan-20 A	15-Feb-20 A	[Gantt bar]											
Bid & Award		16-Feb-20 A	09-Jul-20 A	[Gantt bar]											
Construction		01-Aug-20 A	31-Aug-21	[Gantt bar]											
Project Close Out		01-Sep-21	31-Dec-21	[Gantt bar]											

Progress:

Oct - Dec 2020

- (1) Continued weekly meeting with contractors for RFIs/Submittals/Any potential stage construction issues etc.
- (2) DPW issued Utility/Excavation Permit.
- (3) Ongoing Meeting with DPW, DPW contractors/JPB ROW/Maintenance team for cleanup of Marin and Napoleon Bridge.
- (4) PUC sewer culvert assessment work completed. Report submitted to PUC. Crack monitors installed within project limits.
- (5) Temporary fence with gates/locks placed at Napoleon Street.
- (6) Cavities found under existing footing at Pier 3 and 4. Significant loss of existing timber piles was observed. Bridge and tracks continuously monitored for any settlement issues. Pumped structural concrete under the footings as interim solution.
- (7) Began structure excavation work.

Future Activities:

Jan - Mar 2021

- (1) Continue weekly meeting with contractors for RFIs/Submittals/Any potential stage construction issues etc.
- (2) Coordination for SSWPs related to Napoleon Bridge Replacement Work and Track Work. Coordination with PCEP team.
- (3) Continue ongoing Meeting with DPW, DPW contractors/JPB ROW/Maintenance team for cleanup of Marin and Napoleon Bridge.
- (4) Continue structure excavation and footing work.
- (5) Procure additional micro piles for final design work associated with foundation support for Napoleon Bridge.
- (6) Approval of additional funding by PCJPB Board for emergency repair work required for Napoleon Bridge footings - Board request will be made in January 2021.

Issues:

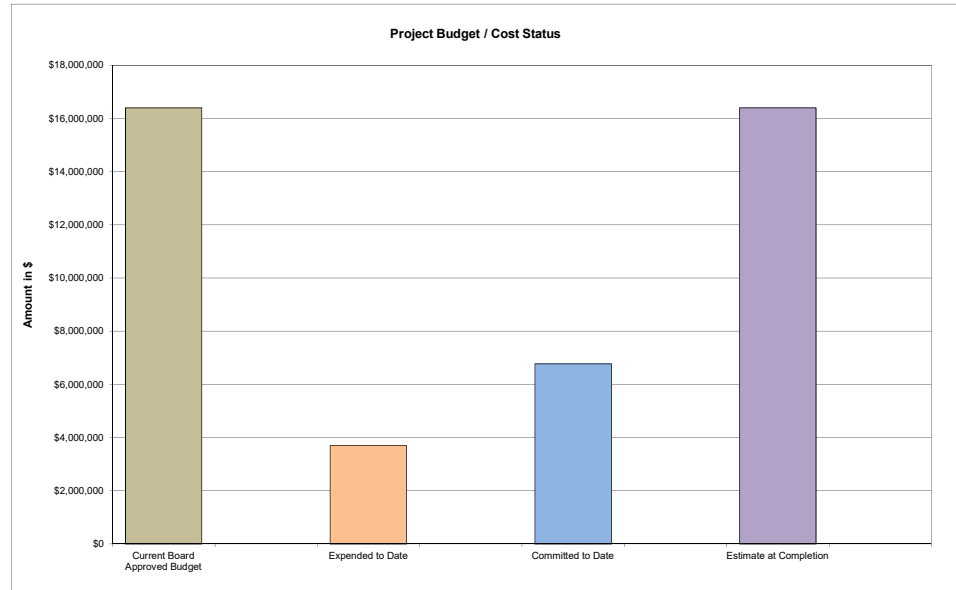
Constant issues with clean up and homeless removal at Marin Bridge (Related to Security and Safety of Area).

MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$16,400,000	\$3,708,734	\$6,771,933	\$16,400,000	\$0



Note: PCJPB Board approved \$1.25M as increase in project authority and \$1M for change order authority in January 2021. This will be reflected in the next Quarterly Report.

Issues: None.

SAFETY:



No incidents reported this quarter.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT



SCOPE:



Caltrain and the City of Sunnyvale are implementing advance signal preemption at the Mary Ave grade crossing in Sunnyvale. Currently there is simultaneous signal preemption interconnect between the Caltrain railroad signal system and the City of Sunnyvale Mary Ave & Evelyn Ave signalized traffic intersection. This project will install new signal equipment to provide an additional 24 seconds of advance signal preemption time for the traffic controller to clear out vehicles at the intersection when the train is approaching.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020				2021			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100278 - Mary Avenue Traffic Signal		01-Feb-18 A	30-Oct-21	[Gantt chart showing project duration from Feb 2018 to Oct 2021]															
Final Design		01-Feb-18 A	06-May-20 A	[Gantt chart showing Final Design activity from Feb 2018 to May 2020]															
Bid & Award		07-May-20 A	20-Jul-20 A	[Gantt chart showing Bid & Award activity from May 2020 to July 2020]															
Construction		21-Jul-20 A	30-Jun-21	[Gantt chart showing Construction activity from July 2020 to June 2021]															
Project Close Out		01-Jul-21	30-Oct-21	[Gantt chart showing Project Close Out activity from July 2021 to Oct 2021]															

Progress:

- Oct - Dec 2020
- (1) TASI completed the underground work for the track wires.
 - (2) TASI installed the chassis inside the signal house for the new equipment.
 - (3) TASI continued to pre-wire the signal cases and signal house for the new equipment.

Future

Activities:

- Jan - Mar 2021
- (1) Continue to pre-wire the signal cases and signal house. Add communications lines to the signal house and signal house.

Issues:

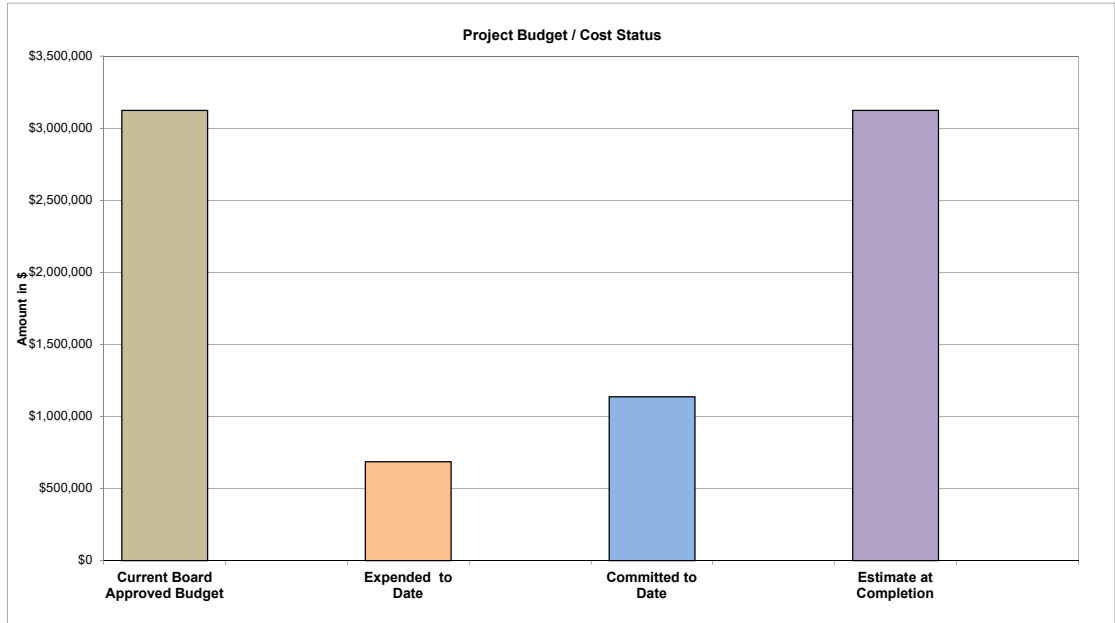
None.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$3,125,000	\$687,133	\$1,138,011	\$3,125,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT



SCOPE:

This project will perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul of the locomotives shall include 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 carbody, 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. Project also includes onsite inspection and contract management by JPB's vehicle consultant. Final acceptance of the completed locomotive overhaul will be conducted at the JPB's CEMOF facility in San Jose. The six locomotives are:

1. Locomotive # 923
2. Locomotive # 924
3. Locomotive # 925
4. Locomotive # 926
5. Locomotive # 927
6. Locomotive # 928

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline																			
				2017	2018	2019	2020	2021	2022	2023													
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100233 - MP-36 Locomotive Mid-Life Overhaul		01-Apr-17 A	30-Jun-23																				
Technical Specs		01-Apr-17 A	28-Feb-18 A	█	█																		
Bid & Award		01-Jul-19 A	30-Apr-20 A				█	█															
Construction		16-Jun-20 A	31-Mar-23									█	█	█	█	█	█	█	█	█	█	█	█
Project Close Out		01-Apr-23	30-Jun-23																				█

Progress:

Oct - Dec 2020

- (1) The 927 is being sandblasted and the corrosion to the body is being repaired according to the contract specifications.
- (2) Main Engine; Trucks/Traction Motors; Main Generator; HEP Engine/Alternator are all at suppliers in OH process.
- (3) COVID 19 is affecting some of the suppliers delivery dates, Alstom to keep PM posted of all delays and its effect on the project.
- (4) The 924 passed its pre-delivery inspection by the UP, was picked up in early November and was sent to Alstom.
- (5) The 927 is currently 25% completed.

Future

Activities:

Jan - Mar 2021

- (1) The 924 will be delivered for an inbound inspection.
- (2) To propose new 360 degree cab cameras for all the MP36's, 923-928 to offer better visibility and the ability to gather cab related info more efficiently than the previous cameras currently on our fleet.
- (3) Justification and contingency requests will be reviewed and submitted for the 360 degree cameras and the additional M ain Engine/HEP work.
- (4) The silencer hatch on the 927 is rusted and corroded beyond repair and the scope of work, it will need to be re-fabricated.
- (5) COVID-19 has caused supplier delays and delays in production due to positive tested employees, the new completion date for the 927 will be in June 2021.

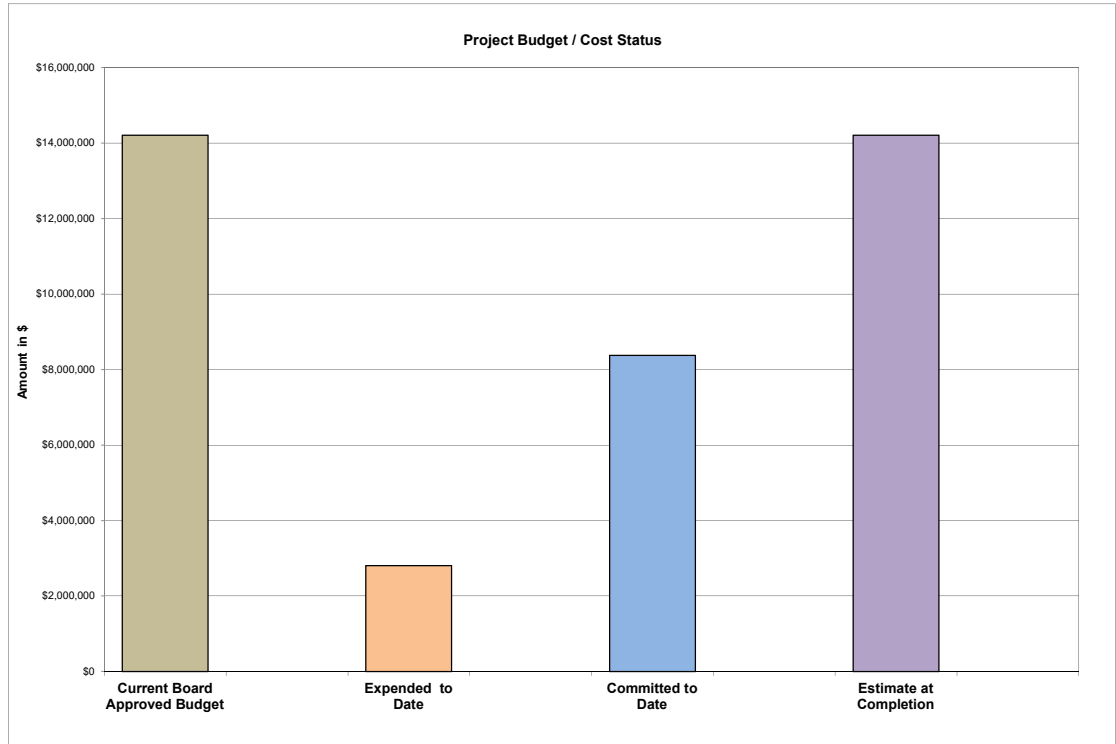
Issues: None.

MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$14,209,714	\$2,802,032	\$8,377,743	\$14,209,714	\$0



Issues: None.

SAFETY: No incidents reported this quarter.



Next Generation Visual Message Signs (VMS) & Pads



SCOPE: This project will determine the new visual message signs (VMS) and passenger information system for the Caltrain stations. The current VMS signs are no longer supported by the manufacturer and the predictive arrival and departure system (PADS) is becoming obsolete. Research will be done to determine whether it's best to replace the signs that will work with the current predictive arrival and departure system (PADS) or replace signs for the next generation passenger information system.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021			
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100449 - Next Generation Visual Message Signs (VMS) & Pads		01-May-20 A	29-Oct-21								
Design		01-May-20 A	31-Jul-21								
Project Close Out		01-Aug-21	29-Oct-21								

Progress:

Oct - Dec 2020

- (1) Prepared workplan, project presentation, and a new project schedule.
- (2) Adjusted Workplan per Stakeholder's and Workplan review committee's requests.
- (3) Set up Management Committee Meeting.
- (4) Adjustment of requirements documents for both a new passenger information system and a new visual message sign continued.
- (5) Received comments from Marketing and Customer experience for both the VMS and passenger information system requirement documents.

Future

Activities:

Jan - Mar 2020

- (1) Submit Workplan.
- (2) Finalize requirement documents.

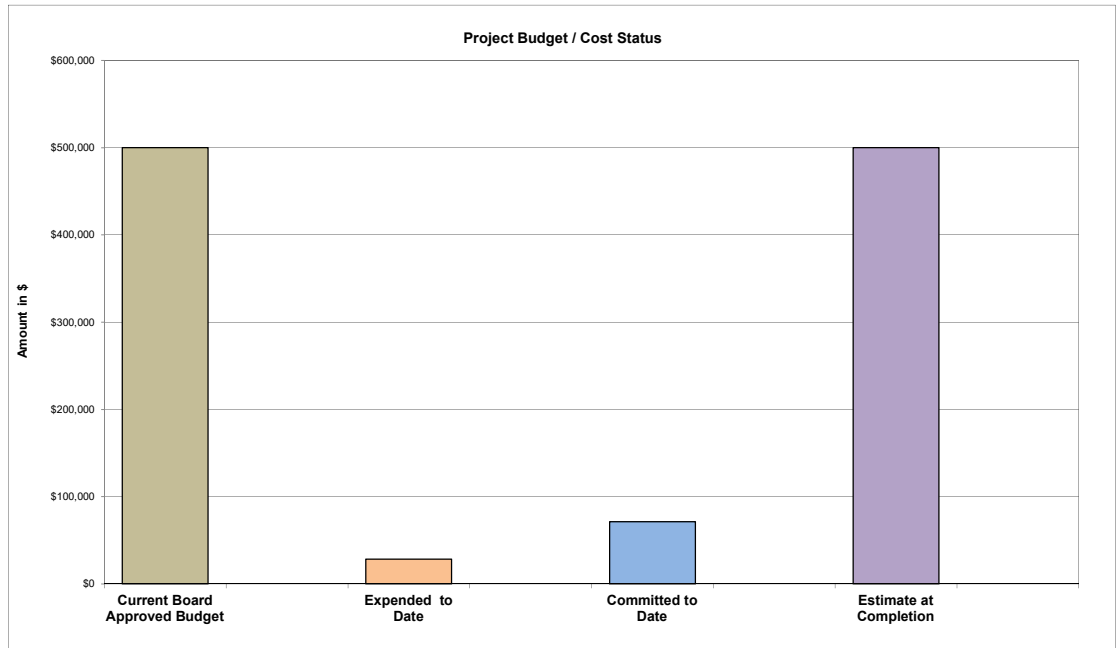
Issues: The schedule has been extended to add more time for reviewing documents.

Next Generation Visual Message Signs (VMS) & Pads

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$500,000	\$28,249	\$71,157	\$500,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017



SCOPE: The State of Good Repair (SOGR) project consists the following tasks for maintenance of the Caltrain's Communication (COM) Systems.

- Task 1: Improve radio coverage between Train Engineers and Maintenance of Way (MoW) Personnel.
- Task 2: Provide support to manage configuration of communication software.

Current scope is for design only.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019					2020					
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	
100147 - FY17 Railroad Communication SOGR		01-Sep-18 A	31-Mar-21											
Final Design		01-Sep-18 A	30-Nov-20 A	[Gantt bar from Sep 2018 to Nov 2020]										
Project Close Out		01-Jan-21	31-Mar-21											[Red bar in Q1 2021]

Progress:
Oct - Dec 2020 (1) Submitted Final Design for acceptance.

Future Activities:
Jan - Mar 2021 (1) Receive Final Design acceptance.
(2) Begin close out.

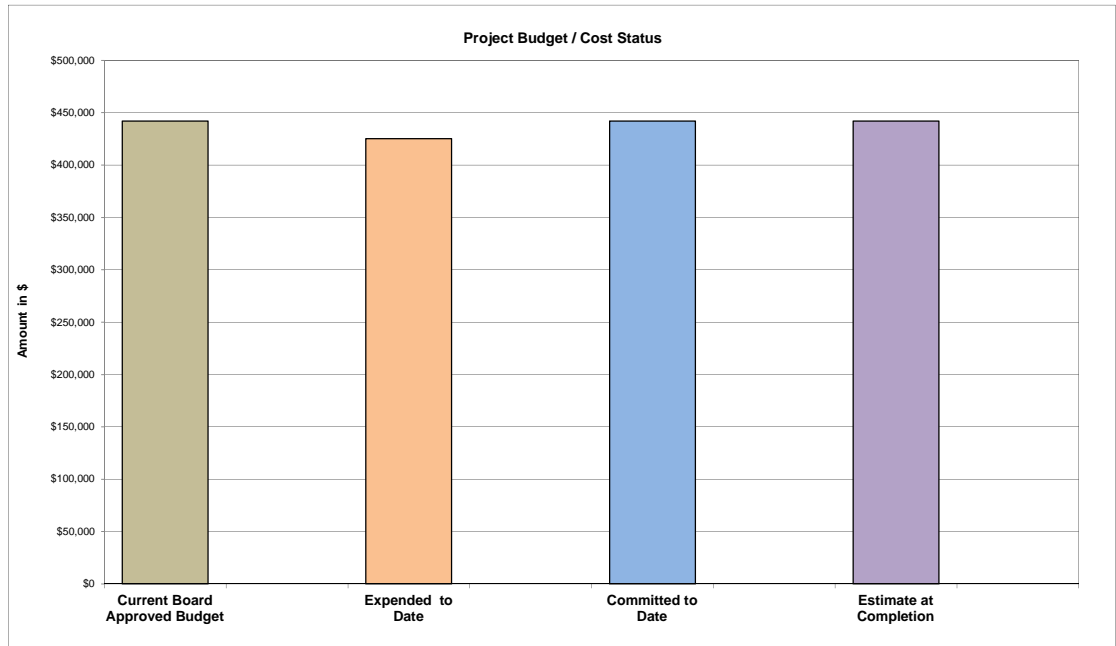
Issues: (1) Issues associated with this project were addressed by 65% design. Final design will address only FY2018 SOGR issues and has been submitted for acceptance.
(2) Bid & Award and Construction will be performed under a separate project.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2017

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$442,000	\$425,182	\$442,000	\$442,000	\$0



Issues: Current funding is limited to design only. Construction work will be performed under a separate project due to funding.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018



SCOPE:



This project is the annual state of good repair (SOGR) program for Caltrain's communication system. It includes a combination of design and construction of various tasks to maintain Caltrain's communication systems in good repair.

Project will consist of the following tasks:

1. Construction of voice Radio Microwave between Sign Hill and San Bruno Mountain.
2. Purchase five new radios to replace non-supported Motorola radios.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019			2020				2021			
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	
100228 - FY19 RR Comm System SOGR		09-May-19 A	30-Sep-21											
Procurement		09-May-19 A	30-Sep-19 A	█	█									
Final Design		12-Jul-19 A	30-Apr-20 A		█	█	█							
Bid & Award		01-May-20 A	01-Jan-21				█	█	█					
Construction		02-Jan-21	30-Jun-21					█	█			█	█	
Project Close Out		01-Jul-21	30-Sep-21										█	█

Progress:

Oct - Dec 2020

- (1) Continued with Bid & Award.
- (2) No bids were received as a part of the Issued for Bids (IFB) process.
- (3) Contracts and Procurement (C&P) and Legal reviewed procurement options.
- (4) Proposed to move the construction portion of the work to a different project.
- (5) Change Request Form was submitted.
- (6) Conducted Change Request Review meeting.

Future

Activities:

Jan - Mar 2021

- (1) Conduct Management Committee Meeting.
- (2) Work with Grants to de-obligate funding associated with construction on this project and move these de-obligated funds to a new project.

Issues:

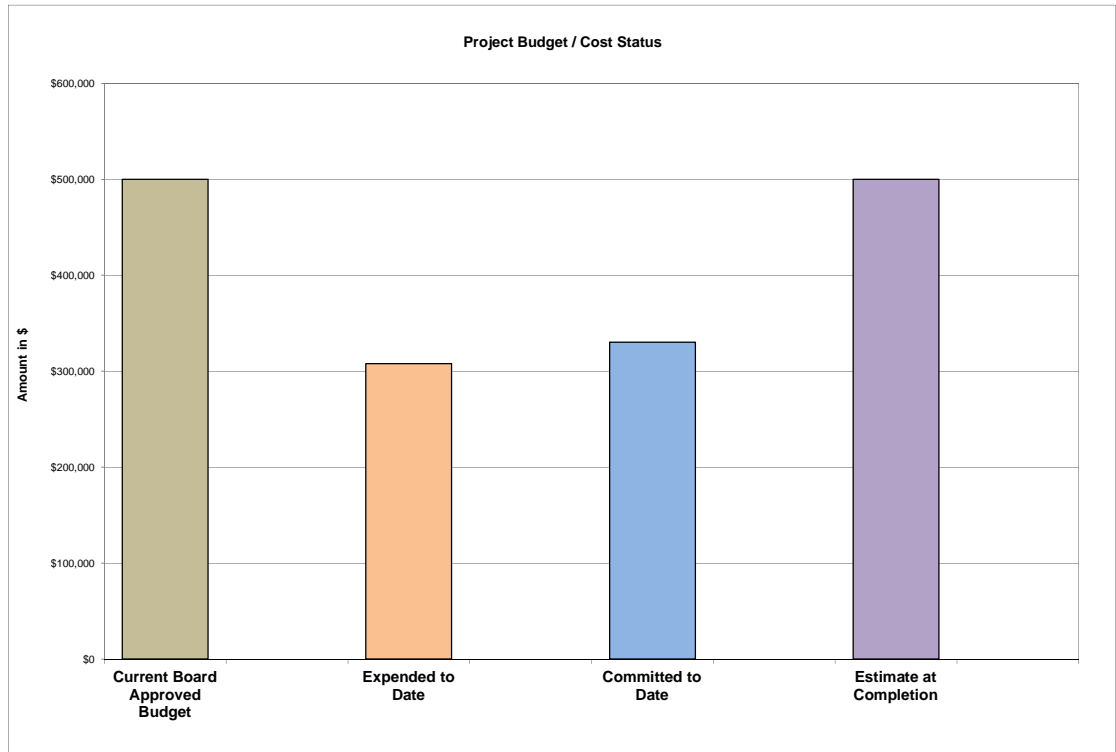
- (1) The current schedule delay is due to the late award of the design contract. No bids were received and this will impact the schedule completion.
- (2) It has been proposed that it is best to move the construction portion of the work to a different project.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2018

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$500,000	\$307,866	\$330,248	\$500,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019



SCOPE:



This Communication State of Good Repair (SOGR) project will ensure that the Caltrain network and radio systems are in a SOGR for efficient and safe operation. This will be accomplished by testing, inspection, and performing necessary minor and urgent repairs identified.

The project will conduct the following tasks:

- Network Security Intrusion Assessment (NSIA).
- Radio Frequency (RF) Load Test for Microwave, VHF, and ATCS systems.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2019				2020					
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	
100406 - FY19 RR Communication System (SOGR)		20-May-19 A	31-May-21										
Bid & Award		20-May-19 A	20-Nov-19 A	█	█	█							
Testing		21-Nov-19 A	28-Feb-21				█	█	█	█	█	█	█
Close Out		01-Mar-21	31-May-21										█

Progress:

Oct - Dec 2020

1. Continued with RF loading assessment.
2. Received latest version of the Network Intrusion Assessment.
3. Latest Network Intrusion Assessment draft under review.
4. Received 100% Design from Stantec.
5. Began reviewing 100% Design.

Future

Activities:

Jan - Mar 2021

- (1) Complete Network Security Intrusion Assessment.
- (2) Complete with RF load assessment.

Issues:

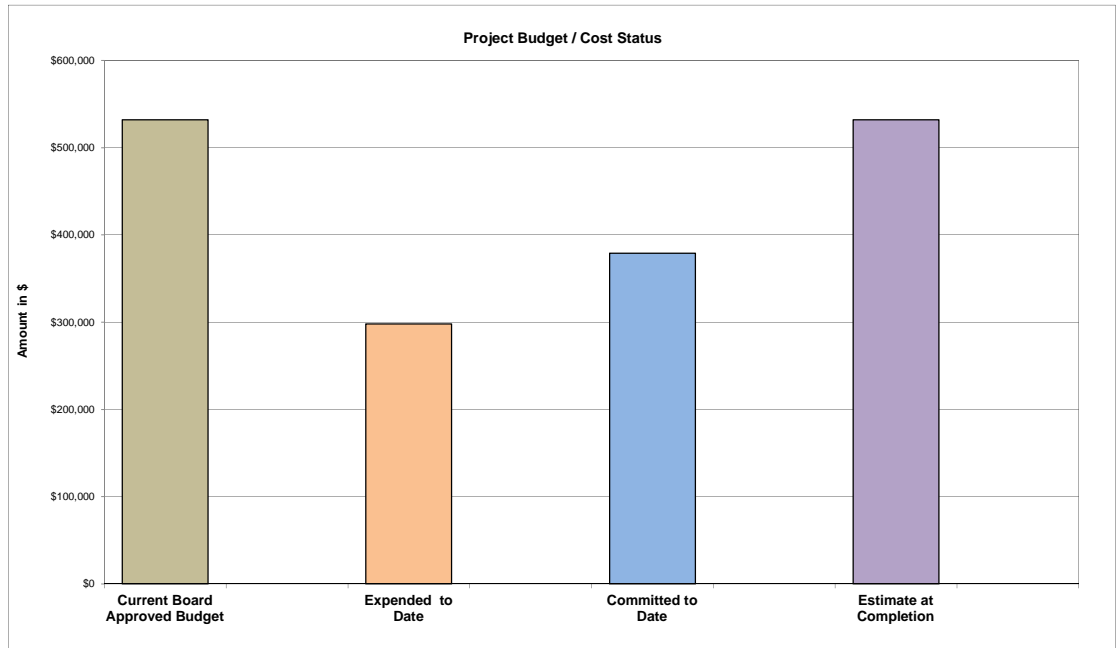
Schedule delay is due to COVID-19 shelter in place order causing the contractor to restrict travel of its personnel.

RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$532,000	\$298,061	\$378,988	\$532,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

RENGSTORFF AVENUE GRADE SEPARATION



SCOPE:



The project proposes to replace the existing at-grade train crossing at Renstorff Avenue with a grade separated crossing in the City of Mountain View. In 2014, the City of Mountain View completed a Renstorff Avenue Grade Separation Design Concepts – Final Report. Of the three design concepts that were presented in the Final Report, the City was in favor of the Complete Street Concept which includes a Renstorff Avenue Underpass and the construction of a new elevated pedestrian walkway parallel to the Caltrain tracks connecting Crisanto Avenue to the commercial area east of Rengstorff Avenue. The grade separation will require the lowering Rengstorff Avenue and its connecting roadways, including Central Expressway.

The current scope of work includes the evaluation of the design concepts that are presented by the City of Mountain View and preparation of preliminary design at 35% for a design validation and constructability review, and preparation of environmental studies for CEQA and NEPA clearance. The goal of the current preliminary design phase is to reach consensus with the project stakeholders in the project definition and approach to advance the project to final design.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020								
				Q3	Q4	Q1	Q2	Q3	Q4	Q1		
100482 - Rengstorff Avenue Grade Crossing		05-Aug-19 A	31-Mar-21									
Preliminary Engineering		05-Aug-19 A	31-Mar-21	[Gantt bar showing activity from Q3 2019 to Q1 2021]								
Environmental Clearance		27-Mar-20 A	31-Mar-21	[Gantt bar showing activity from Q1 2020 to Q1 2021]								

Progress:

Oct - Dec 2020

- (1) Mailed out community meeting notices and letters to impacted property owners.
- (2) Work Directive amendment for additional geotechnical and traffic scope of work.
- (3) Finalized Preliminary Design Concept to advance to 35% design. Began 35% design.
- (4) Discussed future Caltrain operation requirements at the project location.
- (5) Performed weekly public outreach planning meeting with the City of Mountain View.
- (6) Continued data collection for proceeding with environmental clearance.

Future

Activities:

Jan - Mar 2021

- (1) Perform additional supplemental traffic analysis and geotechnical analysis.
- (2) Complete preliminary engineering.
- (3) Obtain environmental clearance.

Issues:

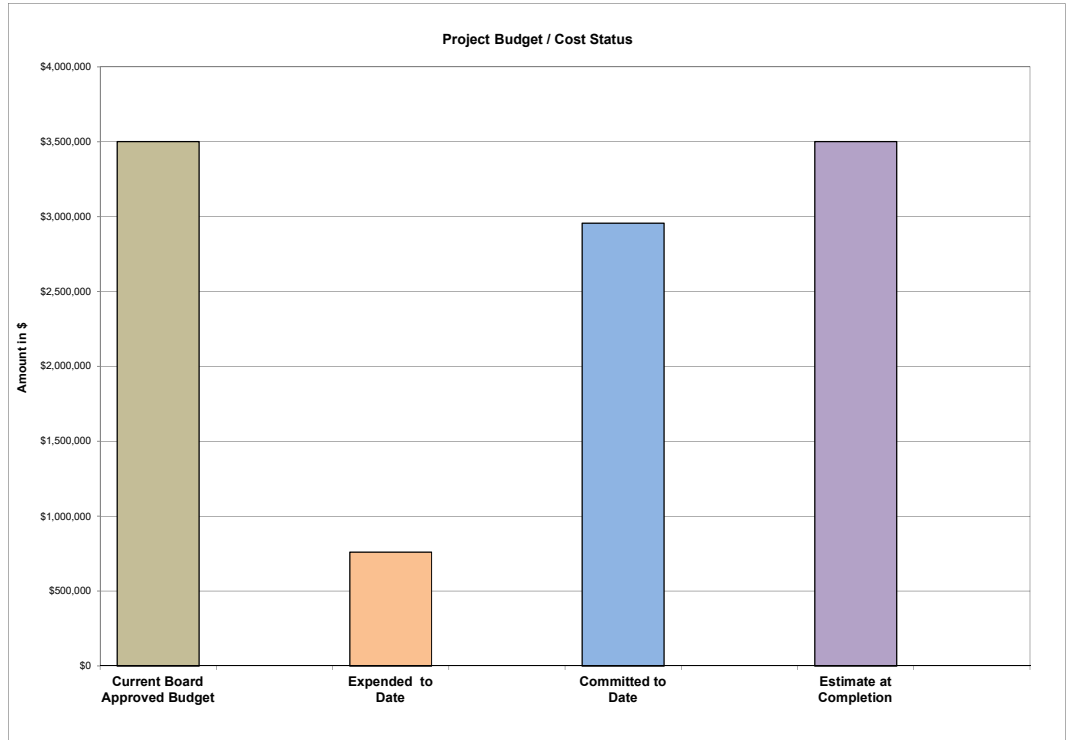
- (1) Design team waiting for direction from the City and Amendment Approval from PCJPB to proceed with more Geotech and Traffic investigation work.
- (2) High water table was found at the project location that may affect the structural design.
- (3) Preliminary design was extended to March 2021.
- (4) Currently there is an interim JPB Project Manager assigned to this project. Efforts are underway to find a replacement.

RENGSTORFF AVENUE GRADE SEPARATION

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$3,500,000	\$760,711	\$2,956,017	\$3,500,000	\$0

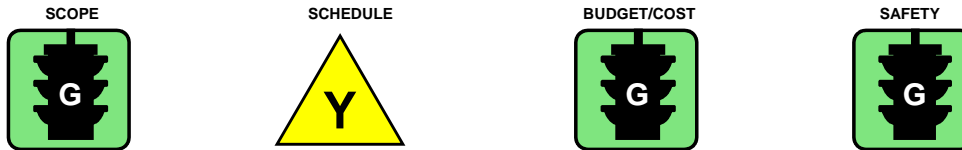


Note: The current phase of the project is fully funded by the City of Mountain View.

SAFETY: No incidents reported this quarter.



RIGHT OF WAY FENCING PROJECT



SCOPE: This project is a part of the ongoing program to keep Caltrain's fencing in a State of Good Repair (SOGR). The goal of this project is to reduce trespassing on the Caltrain right of way by installing fence on at least one side of the property between San Francisco MP 0.2 to Lick MP 52.



Caltrain will install vandal resistant fencing at key locations along the main line rail corridor to deter trespassing. This work will include a base contract and three optional contracts which may be exercised with the General Manager's approval. These contracts includes site clearing, fence demolition, fence installation and vegetation removal.

Currently the construction contract has authority to perform work through option 2.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2016				2017				2018				2019				2020			
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
100053 - Right of Way Fencing Project		02-Jun-16 A	28-Feb-21	[Gantt chart bars showing project duration across quarters]																			
+	Construction (Base)	02-Jun-16 A	31-Mar-18 A	[Gantt chart bar for base construction]																			
+	Construction (Option 1)	16-Apr-18 A	31-Aug-19 A	[Gantt chart bar for option 1 construction]																			
+	Construction (Option 2)	01-Dec-19 A	30-Nov-20 A	[Gantt chart bar for option 2 construction]																			
+	Close Out	01-Dec-20	28-Feb-21	[Gantt chart bar for close out]																			

Progress:

- Oct - Dec 2020
- (1) Fencing work stopped due to expiration of Option 2 contract. The contract will not be extended.
 - (2) Instructed Agbayani to hand over any remaining Material on Hand (MOH).
 - (3) Began closing contract with Agbayani
 - (4) TASI working to get a contractor to resume fencing work.

Future

Activities:

- Jan - Mar 2021
- (1) TASI to continue working on getting a contractor to resume fencing work.
 - (2) Complete closing contract with Agbayani.
 - (3) Remaining funds will be spent on several work directives for TASI.

Issues:

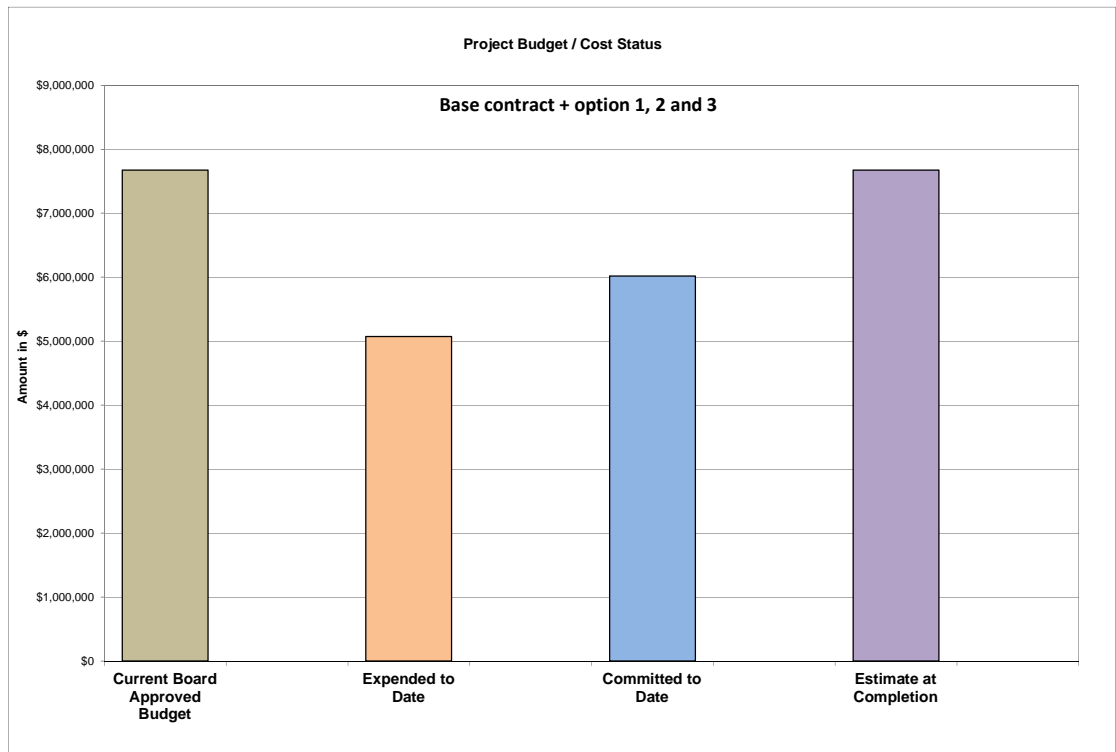
- (1) Schedule dates and percentage complete are for the base contract, option 1 and 2 only.
- (2) Option 2 contract expired in November 2020 and will not be extended.
- (3) The Right of Way contract was awarded in April 2016, with a base contract and three options. The duration of the Contract was four years if options were exercised. Unforeseen site conditions, material availability and Contractor support added to delays. Under the advice of Contracts and Procurement and Legal the base contract and option 1 were increased to include additional lineal footage. Continual funding expirations dates reduced long term forecasting.

RIGHT OF WAY FENCING PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$7,672,958	\$5,073,712	\$6,020,679	\$7,672,958	\$0



Note: Current Board approved budget, expended, committed and estimate at completion reflect the base contract and option 1, 2 and 3.

Issues: A portion of the funds is due to expire in March 2021.

SAFETY:



No incidents reported this quarter.

SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT



This project will replace the existing South San Francisco Station. The scope includes track work, signal work, a new 700 foot center board platform with new amenities, new shuttle drop-off, and connectivity to a new pedestrian underpass from the platform to Grand Avenue/Executive Drive. This project will improve safety by eliminating the hold out rule; in addition, the project provides connectivity along Grand Avenue for the City of South San Francisco (CSSF).

Key elements of the project include:

1. New center platform.
2. New at-grade pedestrian crossing at the north end of station.
3. New pedestrian underpass at the south end of the station.
4. New pedestrian plaza area at west and east end of the pedestrian underpass.
5. Inclusion of CSSF design modifications for the west and east plaza and ramps.
6. Funding of UPRR for replacement of tracks being removed as part of this project.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline																							
				2015			2016			2017			2018			2019			2020			2021					
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
002146 - South San Francisco Station Improvement		01-Apr-15 A	01-Oct-21																								
Engineering Design		01-Apr-15 A	17-Mar-17 A																								
Contracts & Procurement (C&P)		18-Mar-17 A	06-Oct-17 A																								
Construction		09-Oct-17 A	01-Jul-21																								
Project Close Out		02-Jul-21	01-Oct-21																								

Progress:

- Oct - Dec 2020
- (1) Completed construction of Center platform.
 - (2) Began construction of ramp 3.
 - (3) Completed installation of East Platform underground utilities.
 - (4) Completed drilling and placing station light Pole & VMs foundation.
 - (5) Completed installation of Fire Line and Stub ups.

Future

Activities:

- Jan - Mar 2021
- (1) Continue construction of ramp 3.
 - (2) Begin construction of Ramp 1 / Stair 1 shoring.
 - (3) Install Signal Houses onsite (Automatic Signal and North Pedestrian Crossing).
 - (4) Cutover new MT1 Track.

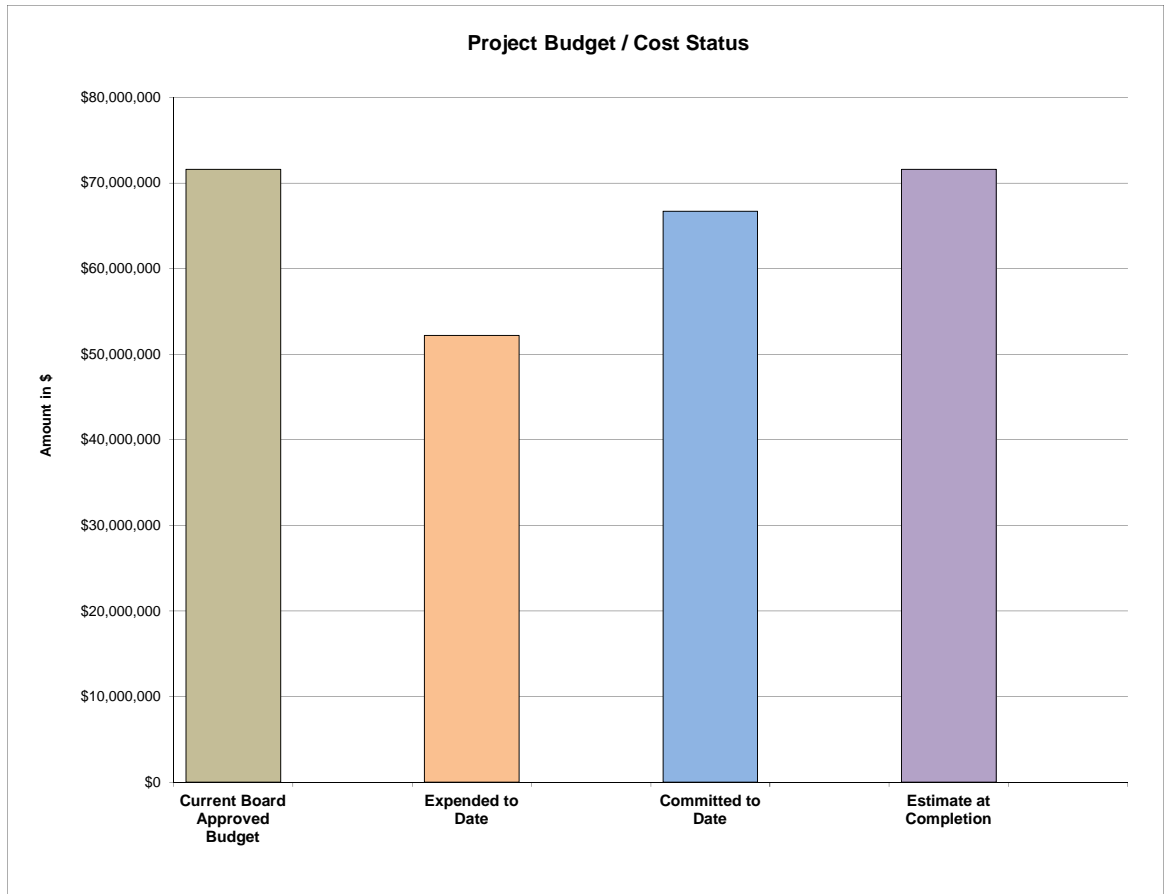
Issues: The contractor has delayed current stage of construction and a recovery schedule has not been provided yet. Schedule is under review.

SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Project Total	\$71,600,000	\$52,194,707	\$66,698,872	\$71,600,000	\$0



Issues: Estimate at Completion (EAC) will increase. EAC is currently under review.

SAFETY: No incidents reported this quarter.



STATION ENHANCEMENT AND RENOVATION



SCOPE: This project will include the following work:



San Francisco Station Restroom Renovation: The San Francisco (4th & King) Station restrooms have been subject to many years of abuse and vandalism. The project would include a full restoration of the restrooms with modern vandal resistant fixtures and finishes.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020					
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1		
100149 - Station Enhancement and Renovation		01-Mar-18 A	31-Mar-21														
Final Design		01-Mar-18 A	30-Apr-19 A														
Bid & Award		01-May-19 A	15-Jun-20 A														
Construction		16-Jun-20 A	31-Dec-20 A														
Project Close Out		01-Jan-21	31-Mar-21														

Progress:

Oct - Dec 2020

- (1) Completed construction work.
- (2) Conducted final punchlist inspection.

Future

Activities:

Jan - Mar 2021

- (1) Inspect final punchlist work.
- (2) Initiate closeout.

Issues:

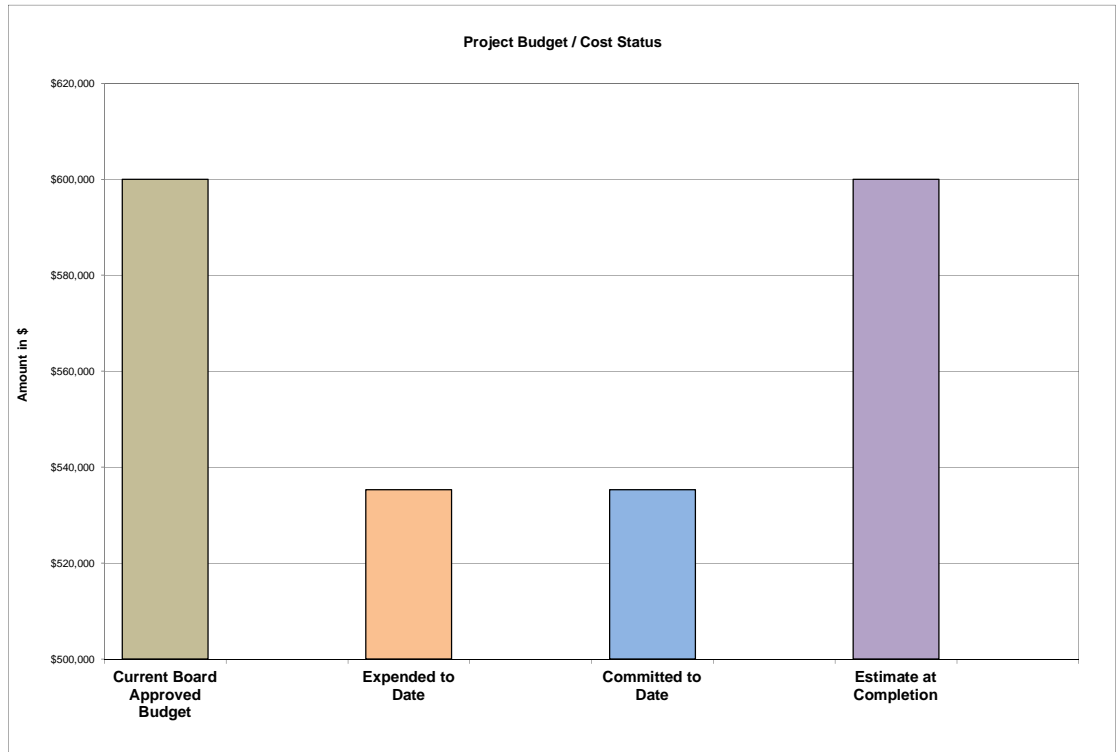
None.

STATION ENHANCEMENT AND RENOVATION

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$600,000	\$535,280	\$535,280	\$600,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019



SCOPE:



This project is a part of an annual program to maintain the Caltrain railroad signal system in a State of Good Repair (SOGR). The project will procure new equipment and replace old signal equipment that is starting to fail and is beyond its useful life, to maintain Caltrain's railroad signal systems in good repair.

FY2019 Signal Rehab Project will replace an existing assortment of solid state controller units that are beyond their useful life with updated controller units. Specifically, the project will:

- Develop a priority list and conduct a survey to collect age of existing controllers to be replaced with Siemens solid state SSCC IIIA controller units.
- Based upon age and importance of unit to Operations, develop a priority list for replacements.
- Procure and replace the oldest 10 SSCC IIIA units controller units.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline											
				2019			2020						2021		
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2			
100405 - FY19 Systemwide Signal System Rehab		20-May-19 A	30-Jun-21												
Bid & Award		20-May-19 A	08-Jul-19 A	█	█										
Construction		09-Jul-19 A	31-Mar-21	█	█	█	█	█	█	█	█	█	█	█	
Project Close Out		01-Apr-21	30-Jun-21										█	█	

Progress:

Oct - Dec 2020 (1) Replacement of controllers on hold to allow TASI resources work on higher priority project.

Future

Activities:

Jan - Mar 2021 (1) Re-initiate replacement of controllers.
 (2) Complete replacement of controllers.

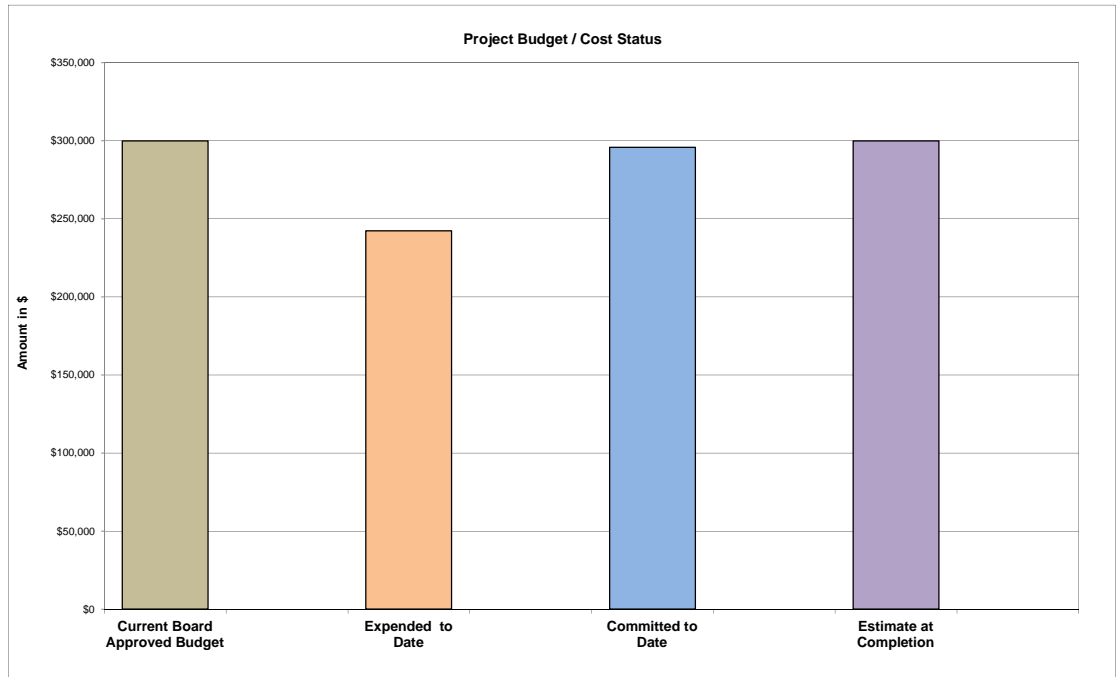
Issues: Schedule delay is due to TASI resource availability issues.

SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$300,000	\$242,320	\$295,923	\$300,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019



SCOPE:



The System Wide Track Rehabilitation Program covers the work required to keep the Caltrain railroad in a state of good repair. The type and scope of work scheduled for each fiscal year is based upon the condition of the railroad as reflected in Caltrain's State of Good Repair database. This database is updated regularly with input from track inspections and tests that are performed throughout the year. Each fiscal year, a new project is set up to cover the track work performed that year. The scope proposed for FY2019 system wide track rehabilitation includes the following:

1. Replace stock rail points and frogs on turnouts per identified needs in the SOGR database and on as-needed basis due to unexpected failures of such components.
2. Perform welds to perform the removal of bonded insulated joints, replaced stock rails, points and frogs.
3. Replacement of standard ties on mainline tracks.
4. Replacement of switch ties on main tracks and yard tracks.
5. Surfacing of curve and tangent track, turn outs, at various locations determined by geometry car inspections and field track inspections.
6. Upgrade and maintain rail lubricators.
7. Purchase of small tools and equipment required for track maintenance activities.
8. Work in South San Francisco yard - install ties, replace rail, install ballast and surface, maintain a SOGR and in accordance with JPB, CPUC and FRA standards for class of track - billable to UPRR.
9. Repair track and station platforms at College Park Station.
10. Minor repairs to bridges, culverts and structures – per annual inspection needs.
11. Lease facilities, purchase and equipment rental.
12. Purchased services – rail detector, geometry inspections, weed abatement etc.
13. Fence repairs and graffiti removal.

Issues: None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	Timeline											
				2019				2020				2021			
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
100230 - FY19 Systemwide Track Rehabilitation Project		01-Jul-19 A	30-Sep-21												
ROW Maintenance		01-Jul-19 A	30-Jun-21												
Close Out		02-Jul-21	30-Sep-21												

Progress:

Oct - Dec 2020

- | | |
|---|--|
| <ul style="list-style-type: none"> (1) Surfaced 4.21 miles of main line track. (2) Stabilized 4.21 miles of track. (3) Regulated 4.21 miles of ballast. (4) Built up 18 frog inserts. (5) Ground 56 switches. (6) Surfaced eight turnouts. (7) Installed 355 cross ties. | <ul style="list-style-type: none"> (8) Installed 15 switch ties. (9) FRA conducted three visits. (10) CPUC conducted two visits. (11) Performed UT Hyrail inspections. (12) Performed tree trimming. (13) Performed fencing. |
|---|--|

Future Activities:

Jan - Mar 2021

- (1) Continue ongoing maintenance work.

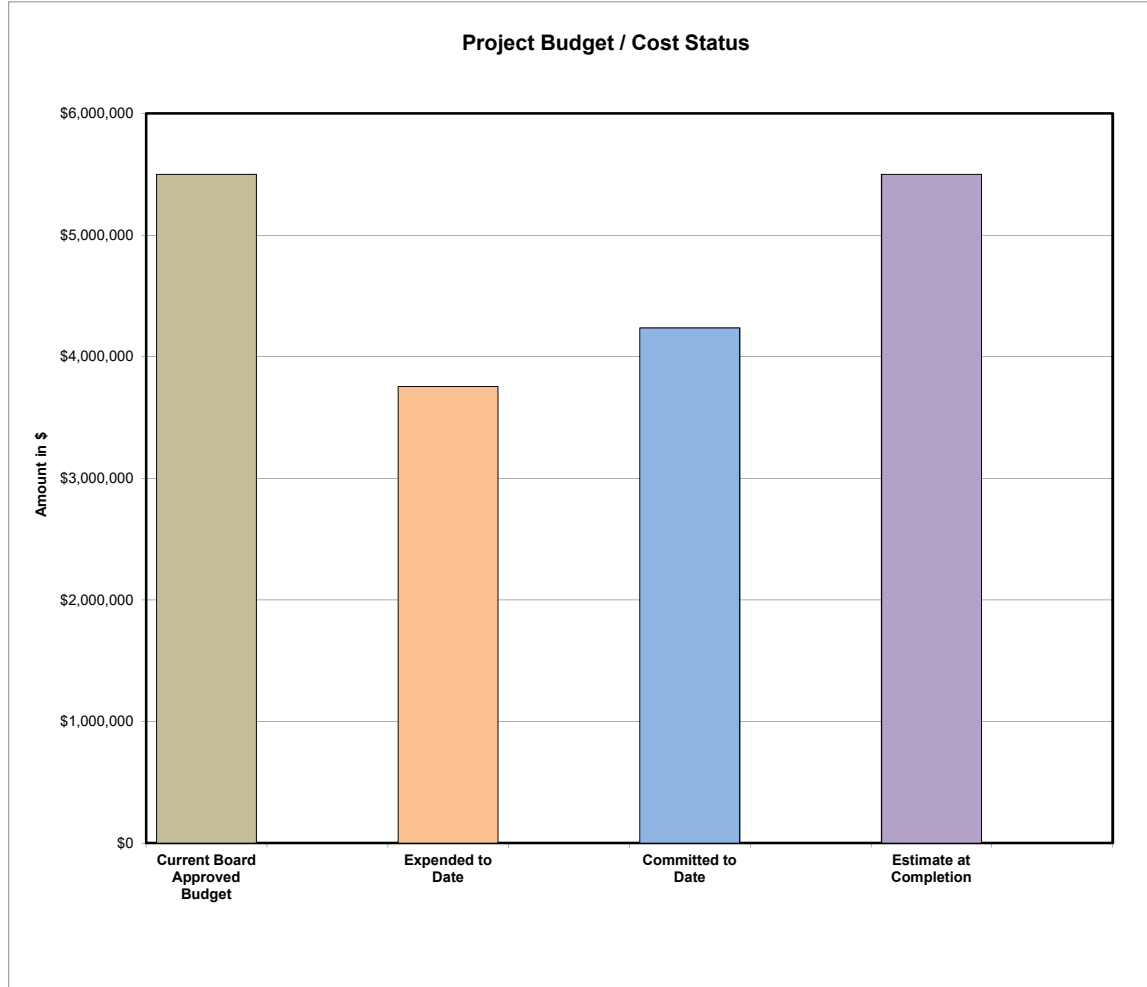
Issues: None.

SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Project Total	\$5,500,000	\$3,753,519	\$4,236,763	\$5,500,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT



SCOPE:



The project will develop the central back office software necessary to upgrade the TVMs to have Clipper functionality and upgrade components which are obsolete. Additional scope to replace the credit card readers in all existing TVMs has been added to a separate construction contract and is being funded by the IT Department.

The current scope of this project is through the Phase 3 Option only:

Phase 1 - Two prototype TVM's will be refurbished with Clipper functionality and upgraded components. The prototypes will be installed at Central for testing and development work.

Phase 2 - Based on the final upgraded prototype, 12 existing TVM's will be upgraded at the stations.

Phase 3 - will upgrade an additional 22 TVMs and will provide an option to upgrade up to another 55 TVMs when funding becomes available.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2018				2019				2020				2021			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100240	Ticket Vending Machine Rehab Program	01-Jan-18 A	30-Sep-21																
	Final Design	01-Jan-18 A	01-Nov-18 A																
	Bid & Award	01-Mar-18 A	30-Apr-19 A																
	Construction	01-May-19 A	30-Jun-21																
	Project Close Out	01-Jul-21	30-Sep-21																

Progress:

- Oct - Dec 2020
- (1) Worked on the permanent door graphics for the upgraded TVM.
 - (2) Cut over to the new TVM server and software.
 - (3) Cut over to the new TVM database and connected all the TVMs at the stations to the new TVM server and database.
 - (4) Began Phase 2 to upgrade 12 TVMs at the stations.
 - (5) Upgraded one TVM at San Jose Diridon. Let the public use the TVM and monitor any issues.
 - (6) Sent Ventek the Request for Proposal (RFP) for Phase 3.

Future

Activities:

- Jan - Mar 2021
- (1) Receive the new door graphics.
 - (2) Upgrade 11 TVMs in the field.
 - (3) Receive the proposal from Ventek for Phase 3.

Issues:

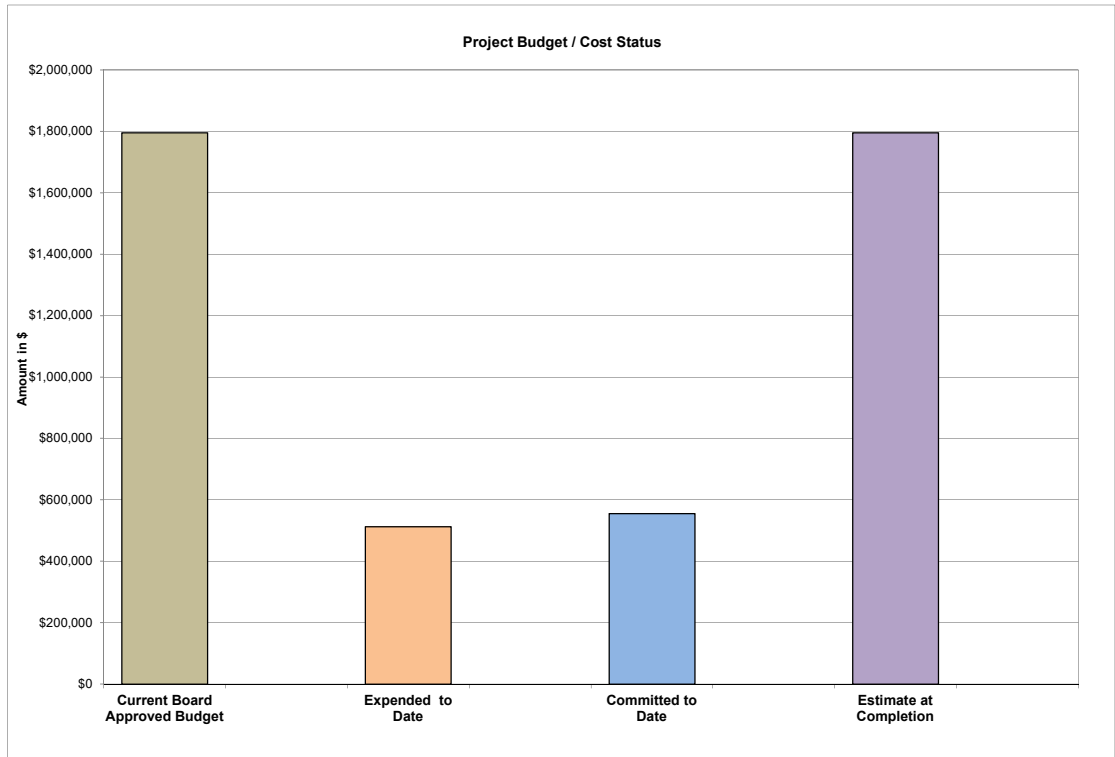
None.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$1,795,000	\$512,743	\$554,708	\$1,795,000	\$0



Issues: None.

SAFETY:



No incidents reported this quarter.

WAYSIDE BIKE PARKING IMPROVEMENT PROJECT



SCOPE:



The project will greatly increase the number of bicycle parking spaces provided at Caltrain stations, reducing the demand for on board bike space. The first portion of the project will upgrade the existing individually assigned bicycle lockers to on-demand electronic bicycle lockers (e-lockers). Other efforts include installing additional bike racks, upgrading bike rooms at some stations and potentially installing modular bike rooms.

Issues:

None.

SCHEDULE:



Activity ID	Activity Name	Start	Finish	2020				2021				2022				2023			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100479 - Wayside Bike Parking Improvement Project		01-Jan-20 A	31-Mar-24																
Final Design		01-Jan-20 A	30-Jun-20 A	█	█														
Bid & Award		01-Jul-20 A	30-Sep-20 A			█	█												
Construction		01-Jan-21	31-Dec-23					█	█	█	█	█	█	█	█				
Project Close Out		01-Jan-24	31-Mar-24																█

Progress:

Oct - Dec 2020 (1) Waited for finalization of contract with eLock Technologies.

Future

Activities:

- Jan - Mar 2021
- (1) Sign the main contract.
 - (2) Install 16 electronic bicycle lockers each at Belmont, Redwood City, Mountain View and Lawrence Stations.
 - (3) Install 32 electronic bicycle lockers at Diridon Station.
 - (4) Work to install 16 locker spaces at Hillsdale in coordination with the station opening.
 - (5) Work with Planning and Operations on a list of stations for future lockers installations.

Issues:

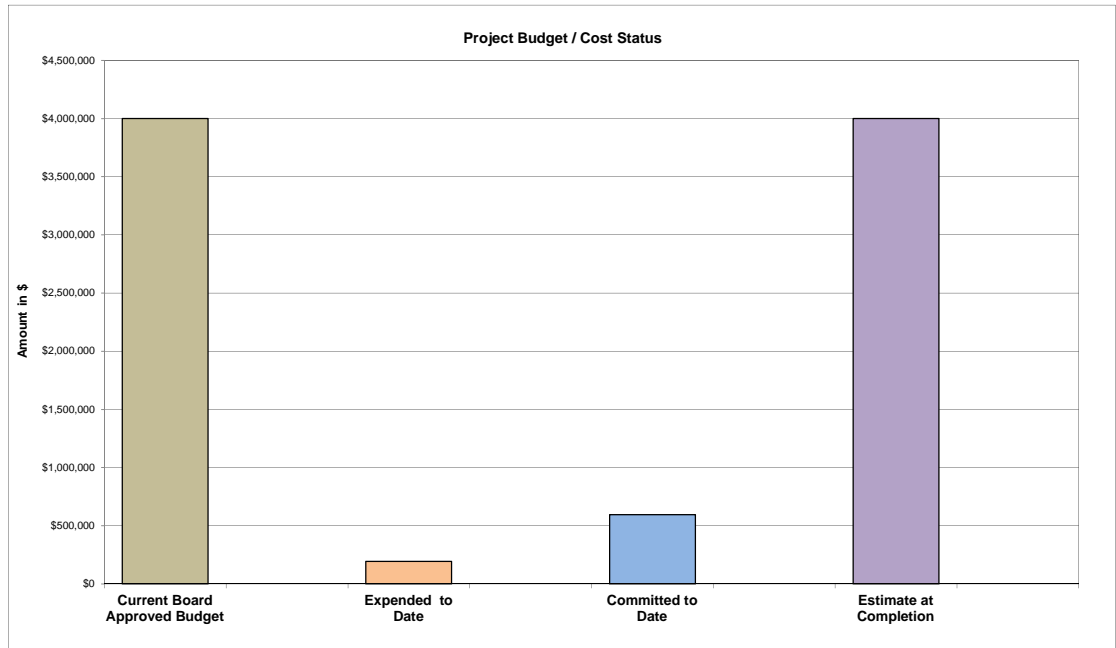
None.

WAYSIDE BIKE PARKING IMPROVEMENT PROJECT

BUDGET:



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$4,000,000	\$194,619	\$595,776	\$4,000,000	\$0



Issues: None.

SAFETY:



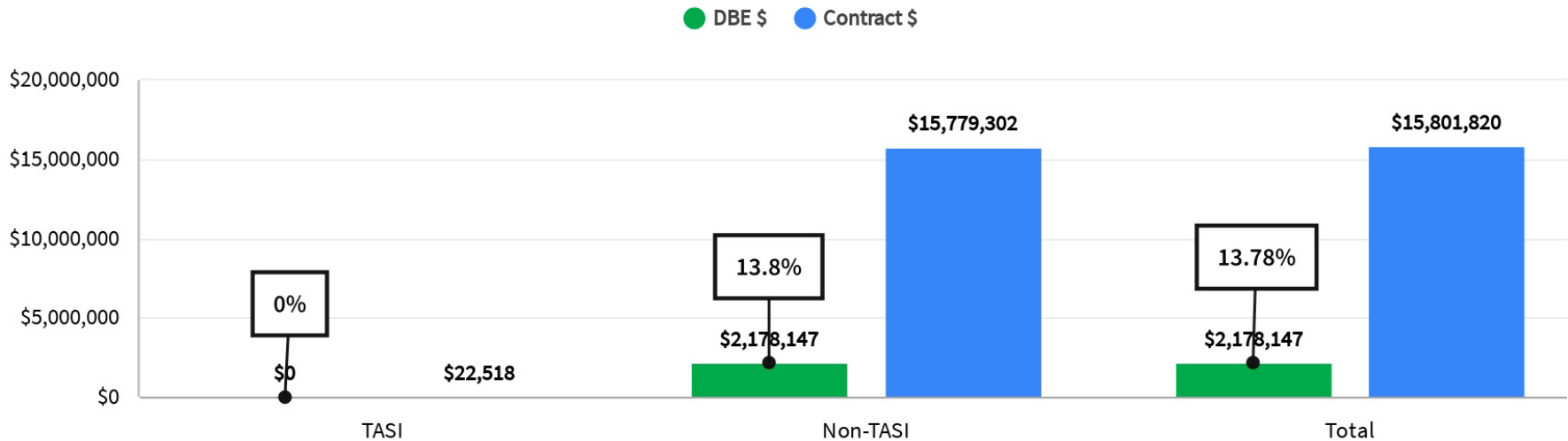
No incidents reported this quarter.

Caltrain : Disadvantaged Business Enterprise (DBE)

Quarterly Status Report:

- The Caltrain overall DBE goal is 13.5%.
- TASI had zero percent (0%) DBE utilization for the first quarter.
- High DBE participation in the first quarter (13.78%) due in part to low TASI awards.

FFY21 Q1: October 01, 2020 to December 31, 2020



Definition of Terms

Committed to Date – The encumbered amount of work directives, contracts, and purchase orders plus any non PO related expenditures.

Current Board Approved Budget – The original budget plus approved budget changes.

Estimate at Completion (EAC) – The estimated final cost of the project.

Expended to Date – The project costs that have been recorded in the financial system plus the accrual cost of work performed through the current period.

Variance at Completion – The difference between the Current Board Approved Budget and the EAC. A positive value reflects a potential underrun whereas a negative amount indicates a possible overrun.

Performance Status (Traffic Light) Criteria

SECTIONS	On Target (GREEN)	Moderate Risk (YELLOW)	High Risk (RED)
1. SCOPE	(a) Scope is consistent with Budget or Funding. (b) Scope is consistent with other projects. (c) Scope change has been mitigated.	(a) Scope is NOT consistent with Budget or Funding. (b) Scope appears to be in conflict with another project. (c) Scope changes have been proposed.	(a) Significant scope changes / significant deviations from the original plan.
2. BUDGET	(a) Estimate at Completion is within plus /minus 5% of the Current Board Approved Budget.	(a) Estimate at Completion exceeds the Current Board Approved Budget by 5% to 10%.	(a) Estimate at Completion exceeds the Current Board Approved Budget by more than 10%.
3. SCHEDULE	(a) Project milestones / critical path are within plus/minus two months of the current baseline schedule. (b) Physical progress during the report period is consistent with incurred expenditures. (c) Schedule has been defined.	(a) Project milestones / critical path show slippage. Project is more than two to six months behind the current baseline schedule. (b) No physical progress during the report period, but expenditures have been incurred. (c) Detailed baseline schedule NOT finalized.	(a) Project milestones / critical path show slippage more than two consecutive months. (b) Forecast project completion is later than the current baseline scheduled completion by more than six months. (c) Schedule NOT defined for two consecutive months.
4. SAFETY	(a) No reported safety related incidents on the project.	(a) One Near Miss or incident requiring written report based on contract requirements.	(a) Injury (worker or passenger) requiring reporting to the Federal Railroad Administration. (b) Two or more Miss or incident requiring written report based on contract requirements.

Schedule Legend

	Completed
	Critical path
	Baseline/target schedule

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

SUBJECT: **AUTHORIZE THE EXECUTIVE DIRECTOR TO EXECUTE AMENDMENT NO. 3 TO SUPPLEMENTAL AGREEMENT NO. 2 WITH PACIFIC GAS AND ELECTRIC FOR CONSTRUCTION OF 115 KILOVOLT INTERCONNECTIONS FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT**

ACTION

Staff Coordinating Council recommends the Board authorize a third amendment to Supplemental Agreement No. 2 with Pacific Gas and Electric (PG&E), entitled "Construction of 115 Kilovolt (kV) Interconnections for the Peninsula Corridor Electrification Project (PCEP)," at a cost not to exceed \$3.1 million, for a new total authorized amount of \$30.9 million for Supplemental Agreement No. 2.

SIGNIFICANCE

Implementation of the PCEP requires a 115-kV interconnection from the PG&E substation to the Caltrain substations in San Jose and South San Francisco.

The original scope of the 115-kV interconnection in South San Francisco required that the JPB obtain an easement for PG&E from a private property for construction of an overhead interconnection on the property. The property owner agreed to provide the easement if the interconnection was installed underground.

In order to prevent a contested parcel acquisition that would potentially include a condemnation process, months of delay to the PCEP implementation schedule, and associated legal costs, the JPB is agreeable to having PG&E install the underground utilities at an additional cost of \$3.1 million, with the understanding that said work is dependent upon reaching a satisfactory agreement with the impacted property owner and JPB Board of Directors approval of same.

BUDGET IMPACT

\$2.8M of the \$3.1 million will be funded from the contingency included in the Board-approved PCEP Budget. The PCEP Change Management Board met on February 17, 2021 and approved the use of contingency to increase the PCEP Real Estate Budget

for this amendment to the PG&E Agreement. The remaining \$300,000 will be funded by the private property owner, which will grant the utility easement at no cost.

BACKGROUND

Supplemental Agreement No. 2, PG&E Oversight of Caltrain Design and Construction of 115 kilovolt (kV) Interconnections and Environmental Review of PG&E Infrastructure Build Outs, was previously approved by the Board on September 1, 2016 for \$1 million. PG&E's scope of work for this Agreement included oversight of the design and construction of the 115kV interconnections and environmental review and permitting support. The first amendment to Supplemental Agreement No. 2 was approved by the Board on February 1, 2018 for \$1.8 million because the level of effort from PG&E to oversee the design and construction of the interconnections was greater than anticipated. Amendment No. 2 to the Agreement was approved by the Board on March 5, 2020 for \$25 million to add construction of the 115-kV interconnections in San Jose and in South San Francisco to PG&E's scope of work.

Prepared By: Brian Fitzpatrick, Director, Real Estate and Development 650.508.7781

RESOLUTION NO. 2021 –

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

*** * ***

**AUTHORIZING AMENDMENT NO. 3 TO SUPPLEMENTAL AGREEMENT NO. 2 WITH PACIFIC
GAS AND ELECTRIC FOR CONSTRUCTION OF 115 KILOVOLT INTERCONNECTIONS
FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT**

WHEREAS, on January 8, 2015, pursuant to Resolution No. 2015-03, the Peninsula Corridor Joint Powers Board (JPB) certified a Final Environmental Impact Report (FEIR) for the Peninsula Corridor Electrification Project (PCEP) and approved the PCEP, which FEIR has been amended seven times; and

WHEREAS, the PCEP will require connection and support infrastructure from Pacific Gas and Electric (PG&E) for the implementation of the project; and

WHEREAS, in October 2015, pursuant to Resolution No. 2015-51, the JPB executed a Master Agreement with PG&E to govern PG&E services in connection with the PCEP, as set forth in a series of supplemental agreements; and

WHEREAS, pursuant to Resolution No. 2016-50, the JPB executed Supplemental Agreement No. 2, entitled "PG&E Oversight of Caltrain Design and Construction of 115 Kilovolt (kV) Interconnections and Environmental Review of PG&E Infrastructure Build Outs," in the not-to-exceed amount of \$1 million; and

WHEREAS, pursuant to Resolution No. 2018-05, the JPB executed Amendment No. 1 to Supplemental Agreement No. 2 to increase the cost by \$1.8 million to reflect the higher-than-anticipated level of effort required from PG&E to oversee the design and construction of the interconnections; and

WHEREAS, pursuant to Resolution No. 2020-8, the JPB executed Amendment No. 2 to Supplemental Agreement No. 2 to increase the amount not to exceed by \$25

million for the construction of the interconnections, which work was originally expected to be performed by Balfour Beatty infrastructure, Inc., for a new total, authorized not-to-exceed amount of \$27.8 million; and

WHEREAS, the original scope of the interconnection in South San Francisco required the JPB to obtain an easement for PG&E from a private property for construction of an overhead interconnection on said property; and

WHEREAS, the property owner agreed to provide the easement if the interconnection was installed underground; and

WHEREAS, in order to prevent a contested parcel acquisition that could potentially include a condemnation process, months of delay to the PCEP implementation schedule, and associated legal costs, the JPB is agreeable to having PG&E install the underground utilities at an additional cost of \$3.1 million, with the understanding that said work is dependent upon reaching a satisfactory agreement with the impacted property owner and JPB Board of Directors approval of same; and

WHEREAS, as required by the California Environmental Quality Act (CEQA), the JPB has prepared and approved Addendum #8 to the PCEP FEIR to address the decision to underground the utilities described herein; and

WHEREAS, the Staff Coordinating Council recommends, and the Finance Committee and PCEP Change Management Board concur, that the Board authorize a third amendment to Supplemental Agreement No. 2 in an amount not to exceed \$3.1 million, for a total authorized not-to-exceed amount of \$30.9 million.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board authorizes a third amendment of Supplemental Agreement No. 2 with Pacific Gas & Electric for construction of 115 kilovolt

interconnections for the Peninsula Corridor Electrification Project in an amount not to exceed \$3.1 million, for a new total, authorized not-to-exceed amount of \$30.9 million, with the understanding that said work is dependent upon reaching a satisfactory agreement with the impacted property owner and JPB Board of Directors approval of same; and

BE IT FURTHER RESOLVED that the Board authorizes the Executive Director or designee to execute the third amendment of Supplemental Agreement No. 2 with Pacific Gas & Electric in a form approved by legal counsel.

Regularly passed and adopted this 4th day of March, 2021 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 Hartnett
Executive Director
FROM: Derek Hansel
Chief Financial Officer
SUBJECT: **STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING
JANUARY 31, 2021**

ACTION

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of January 2021.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through January 31, 2021. The statement has been designed to follow the Agency-wide line item rollup as included in the approved budget. The columns have been designed to provide easy comparison of year-to-date current actuals to the budget including dollar and percentage variances.

SIGNIFICANCE

Annual Forecast: The annual forecast was updated based on actual revenue and expense trends through January 2021. The forecast was derived by analyzing trends and reviewing details with cost center managers.

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

Forecast Expenses: Total Expense (page 1, line 48) is \$3.0 million lower than budget. The variance is primarily due to lower expense trends. Shuttles Services (page 1, line 25) is \$0.5 million lower than budget due to reduction or suspended service as result of low ridership. Facilities & Equipment Maintenance (page 1, line 30) is lower than budget by \$0.7 million due to lower Clipper Operator Charges as a result of lower ridership. Managing Agency OH (page 1, line 38) is lower than budget by \$1.6 million due to the change in the cost allocation methodology effective January 1, 2021. This included an update to the basis for the cost allocations. As a result, the managing agency overhead costs allocated to the JPB Operating Budget is expected to decrease. Professional Services (page 1, line 40) is lower than budget by \$0.2 million as a result of under-runs in various planning studies.

Year to Date Revenues: As of January year-to-date actual, the Grand Total Revenue (page 1, line 17) is \$1.2 million lower than the approved budget. This is

primarily driven by contributions from JPB Member Agencies (page 1, line12).

Year to Date Expenses: As of January year-to-date actual, the Grand Total Expense (page 1, line 48) is \$7.3 million lower than the approved budget. This is primarily driven by Rail Operator Service (page 1, line 23), Facilities and Equipment Maintenance (page 1, line 30), Wages and Benefits (page 1, line 37), Managing Agency Admin OH Cost (page 1, line 38), Professional Services (page 1, line 40) and Other Office Expenses and Services (page 1, line 42).

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

BUDGET IMPACT

There are no budget amendments for the month of January 2021.

STRATEGIC INITIATIVE

This item does not achieve a strategic initiative.

Prepared By :	Thwe Han, Accountant II	650-508-7912
	Jennifer Ye, Manager, General Ledger	650-622-7890

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF REVENUE AND EXPENSE

Fiscal Year 2021

January 2021

	% OF YEAR ELAPSED							58.3%
	JULY - JANUARY				ANNUAL			
	CURRENT ACTUAL	APPROVED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE	
REVENUE								
OPERATIONS:								
1 Farebox Revenue	20,746,673	20,792,749	(46,076)	(.2%)	32,029,149	32,029,149	-	1
2 Parking Revenue	204,384	243,718	(39,334)	(16.1%)	372,718	372,718	-	2
3 Shuttles	907,536	1,107,220	(199,684)	(18.0%)	2,031,246	1,773,647	(257,599)	3
4 Rental Income	651,725	654,844	(3,119)	(.5%)	1,111,804	1,111,804	-	4
5 Other Income	903,738	971,299	(67,561)	(7.0%)	1,764,000	1,764,000	-	5
6								6
7 TOTAL OPERATING REVENUE	23,414,056	23,769,830	(355,774)	(1.5%)	37,308,917	37,051,318	(257,599)	7
8								8
CONTRIBUTIONS:								
9								9
10 AB434 Peninsula & TA Shuttle Funding	1,341,949	1,012,033	329,916	32.6%	1,737,950	1,737,950	-	10
11 Operating Grants	2,786,819	2,737,467	49,352	1.8%	12,808,500	12,808,500	-	11
12 JPB Member Agencies	18,213,816	19,482,046	(1,268,230)	(6.5%)	28,809,434	28,809,434	-	12
13 CARES ACT Fund	41,509,536	41,507,983	1,553	0.0%	41,507,983	41,507,983	-	13
14								14
15 TOTAL CONTRIBUTED REVENUE	63,852,120	64,739,529	(887,409)	(1.4%)	84,863,867	84,863,867	-	15
16								16
17 GRAND TOTAL REVENUE	87,266,176	88,509,359	(1,243,183)	(1.4%)	122,172,784	121,915,185	(257,599)	17
18								18
19								19
EXPENSE								
20								20
21								21
OPERATING EXPENSE:								
22								22
23 Rail Operator Service	51,335,279	52,215,014	(879,735)	(1.7%)	85,109,942	85,109,942	-	23
24 Security Services	3,670,469	3,946,114	(275,645)	(7.0%)	6,746,908	6,746,908	-	24
25 Shuttle Services	1,908,362	2,188,776	(280,414)	(12.8%)	4,057,249	3,542,715	(514,534)	25
26 Fuel and Lubricants	3,157,994	3,552,603	(394,609)	(11.1%)	5,930,523	5,930,523	-	26
27 Timetables and Tickets	-	61,388	(61,388)	(100.0%)	110,000	110,000	-	27
28 Insurance	5,209,099	5,237,777	(28,678)	(.5%)	5,410,000	5,410,000	-	28
29 Claims, Payments, and Reserves	284,138	558,862	(274,724)	(49.2%)	960,000	960,000	-	29
30 Facilities and Equipment Maintenance	1,529,779	2,778,605	(1,248,826)	(44.9%)	4,803,563	4,063,563	(740,000)	30
31 Utilities	1,050,305	1,560,790	(510,485)	(32.7%)	2,731,385	2,731,385	-	31
32 Maint & Services-Bldg & Other	679,211	942,917	(263,706)	(28.0%)	1,590,000	1,590,000	-	32
33								33
34 TOTAL OPERATING EXPENSE	68,824,637	73,042,846	(4,218,209)	(5.8%)	117,449,570	116,195,036	(1,254,534)	34
35								35
ADMINISTRATIVE EXPENSE								
36								36
37 Wages and Benefits	5,903,558	6,687,342	(783,784)	(11.7%)	10,926,318	10,926,318	-	37
38 Managing Agency Admin OH Cost	2,146,824	2,997,955	(851,131)	(28.4%)	5,139,352	3,583,761	(1,555,591)	38
39 Board of Directors	8,436	11,025	(2,589)	(23.5%)	11,025	11,025	-	39
40 Professional Services	1,781,631	2,763,294	(981,663)	(35.5%)	5,462,000	5,255,000	(207,000)	40
41 Communications and Marketing	45,955	102,320	(56,365)	(55.1%)	136,000	136,000	-	41
42 Other Office Expenses and Services	511,669	1,458,715	(947,046)	(64.9%)	2,982,254	2,982,254	-	42
43								43
44 TOTAL ADMINISTRATIVE EXPENSE	10,398,074	14,020,651	(3,622,577)	(25.8%)	24,656,949	22,894,358	(1,762,591)	44
45								45
46 Long Term Debt Expense	1,949,529	1,389,355	560,174	40.3%	2,381,752	2,381,752	-	46
47								47
48 GRAND TOTAL EXPENSE	81,172,240	88,452,852	(7,280,612)	(8.2%)	144,488,271	141,471,146	(3,017,125)	48
49								49
50 NET SURPLUS / (DEFICIT)	6,093,936	56,507	6,037,429	10684.4%	(22,315,487)	(19,555,961)	2,759,526	50
51								51



BOARD OF DIRECTORS 2021

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

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF JANUARY 31, 2021

JIM HARTNETT
 EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.458%	10,039,230	10,039,230
County Pool (Unrestricted)		Liquid Cash	0.972%	554,964	554,964
Other (Unrestricted)		Liquid Cash	0.050%	59,160,119	59,160,119
Other (Restricted)	**	Liquid Cash	0.050%	13,853,081	13,853,081
				\$ 83,607,394	\$ 83,607,394

Interest Earnings for December 2020 \$ 5,713.22
 Cumulative Earnings FY2021 \$ 22,373.35

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

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

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

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

SUBJECT: **AUTHORIZE THE FILING OF APPLICATIONS WITH THE METROPOLITAN
TRANSPORTATION COMMISSION FOR PROGRAMMING OF FEDERAL TRANSIT
ADMINISTRATION FORMULA FUNDS FOR CALTRAIN CAPITAL AND
OPERATING PROJECTS**

ACTION

Staff Coordinating Council recommends the Board:

1. Authorize the Executive Director, or designee, to execute and file fund programming applications with the Metropolitan Transportation Commission (MTC) for \$13,673,000 in Fiscal Year (FY) 2021 Federal Transit Administration (FTA) Formula Program funds for systemwide track rehabilitation, systemwide communications and signal rehabilitation, Ticket Vending Machine (TVM) and Clipper® upgrades, and preventive maintenance; and
2. Commit up to \$3,418,250 in local matching funds; and
3. Authorize the Executive Director, or designee, to take all other actions as may be necessary to give effect to this resolution, including executing any agreements, certifications and assurances or other documentation required in order to receive the FTA funds.

SIGNIFICANCE

Staff is proposing to submit fund programming applications to the MTC for FY2021 FTA Formula funds to support state of good repair projects and preventive maintenance in the adopted FY 2021 Operating and Capital budgets. While the funds have already been included in the adopted budgets, the MTC requires each FTA-eligible transit agency to adopt a resolution authorizing the programming of the funds. The table on the following page shows the breakdown of funds between the project categories.

	<u>Federal Funds</u>	<u>Local Funds</u>	<u>Total</u>
Systemwide Track and Related Structure Rehabilitation	\$7,953,000	\$1,988,250	\$9,941,250
Systemwide Signal and Communications Rehabilitation	\$2,800,000	\$700,000	\$3,500,000
TVM and Clipper Upgrades	\$700,000	\$175,000	\$875,000
Preventive Maintenance	\$2,220,000	\$555,000	\$2,775,000
Total	\$13,673,000	\$3,418,250	\$17,091,250

The amount of funding available to the Peninsula Corridor Joint Powers Board (JPB) is determined by MTC based on the FTA's formula apportionment to the region as well as Caltrain's state of good repair needs. Typically MTC programs multiple years of FTA formula funding associated with the passage of a federal transportation funding bill. However, Congress did not consider a new funding bill in November 2020 and the existing transportation bill, known as the Fixing America's Surface Transportation Act, or FAST Act, was extended until September 30, 2021. As a result, only one year of formula funding can be programmed at this time.

BUDGET IMPACT

There is no budget impact associated with this action. The proposed FTA funding and local match amounts were included in the adopted FY 2021 Capital and Operating Budgets.

BACKGROUND

The selection of projects for funding is based on MTC's Transit Capital Priorities policy and criteria, which is intended to fund transit projects that are most important to the region and consistent with Plan Bay Area, the region's 25-year plan. Future FTA funding will be made available based on congressional appropriations and the FTA's apportionment of funds to the region.

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

RESOLUTION NO. 2021 –

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

*** * ***

**AUTHORIZING THE FILING OF APPLICATIONS WITH THE METROPOLITAN TRANSPORTATION
COMMISSION FOR PROGRAMMING OF FEDERAL TRANSIT ADMINISTRATION FORMULA AND
SURFACE TRANSPORTATION PROGRAM FUNDS FOR CALTRAIN CAPITAL AND OPERATING
PROJECTS, COMMITTING THE NECESSARY LOCAL MATCH FOR THE PROJECTS AND
ASSURING COMPLETION OF THE PROJECTS**

WHEREAS, the Fixing America's Surface Transportation Act (FAST Act, Public Law 114-94) continues and establishes new Federal Transit Administration (FTA) formula programs (23 U.S.C. §53) and continues the Surface Transportation Program (STP) (23 U.S.C. § 133); and

WHEREAS, pursuant to the FAST Act, and the regulations promulgated thereunder, eligible project sponsors wishing to receive FTA Section 5307 Urbanized Area and Section 5337 State of Good Repair (collectively, FTA Formula Program) grants or (STP grants for a project must first submit an application with the appropriate Metropolitan Transportation Planning Organization (MPO) for review and inclusion in the MPO's Transportation Improvement Program (TIP); and

WHEREAS, the Metropolitan Transportation Commission (MTC) is the MPO for the San Francisco Bay region; and

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) is an eligible project sponsor for FTA Formula Program and STP funds; and

WHEREAS, the JPB wishes to submit a grant application for MTC to program funds from the Fiscal Year (FY) 2021 FTA Formula Program and STP for the following Caltrain capital and operating projects:

	<u>Federal Funds</u>	<u>Local Funds</u>	<u>Total</u>
Systemwide Track and Related Structure Rehabilitation	\$7,953,000	\$1,988,250	\$9,941,250
Systemwide Signal and Communications Rehabilitation	\$2,800,000	\$700,000	\$3,500,000
TVM and Clipper Upgrades	\$700,000	\$175,000	\$875,000
Preventive Maintenance	\$2,220,000	\$555,000	\$2,775,000
Total	\$13,673,000	\$3,418,250	\$17,091,250

WHEREAS, MTC requires, as part of the application, a resolution stating the following:

1. The commitment of necessary local matching funds of at least 20% for FTA Formula Program funds, and 11.47% for STP funds; and
2. That the JPB understands that the FTA Formula Program and STP funding is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded from FTA Formula Program or STP funds; and
3. The assurance of the JPB to complete the projects as described in the application, and if approved, as programmed in MTC's TIP; and
4. That the JPB understands that FTA Formula Program funds must be obligated within three years of programming and STP funds must be obligated by January 31 of the year that the project is programmed for in the TIP, or the project may be removed from the program.

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors that the Peninsula Corridor Joint Powers Board is authorized to execute and file applications for funding under the FTA Formula Program and/or Surface Transportation Program in the amount

of \$13,673,000 for Systemwide Track Rehabilitation, Systemwide Signal and Communications Rehabilitation, Ticket Vending Machine and Clipper® upgrades, and preventive maintenance; and

BE IT FURTHER RESOLVED, that Board of Directors by adopting this resolution does hereby state that:

1. The JPB will provide \$3,418,250 in local matching funds; and
2. The JPB understands that the FTA Formula Program and STP funding for the projects is fixed at \$13,673,000, and that any cost increases must be funded by the JPB from local matching funds, and that the JPB does not expect any cost increases to be funded with FTA Formula Program and STP funds; and
3. The JPB will implement the projects as described in this resolution and, if approved, for the amount shown in the MTC TIP with obligation occurring within the timeframe established below; and
4. The program funds are expected to be obligated by January 31 of the year the projects are programmed for in the TIP; and
5. The JPB will comply with FTA requirements and all other applicable federal, state and local laws and regulations with respect to the proposed projects; and

BE IT FURTHER RESOLVED, that the JPB is an eligible sponsor of projects in the program for FTA Formula Program and STP funds; and

BE IT FURTHER RESOLVED, that the JPB is authorized to submit an application for FTA Formula Program and STP funds for Systemwide Track Rehabilitation, Systemwide Signal and Communications Rehabilitation, TVM and Clipper upgrades, and preventive maintenance; and

BE IT FURTHER RESOLVED, that there is no legal impediment to the JPB making applications for FTA Formula Program and STP funds; and

BE IT FURTHER RESOLVED, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of the JPB to deliver such projects; and

BE IT FURTHER RESOLVED, that the JPB agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866; and

BE IT FURTHER RESOLVED that a copy of this resolution will be transmitted to the MTC prior to MTC programming the FTA Formula Program or STP funded projects in the TIP; and

BE IT FURTHER RESOLVED that the MTC is requested to support the application for the projects described in the resolution and to program the projects, if approved, in MTC's TIP; and

BE IT FURTHER RESOLVED that the Executive Director, or designee, may take all other actions as may be necessary to give effect to this resolution, including executing any agreements, certifications and assurances, or other documentation required in order to receive the FTA funds.

Regularly passed and adopted this 4th day of March, 2021 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 Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AUTHORIZE EXECUTION OF AGREEMENTS WITH THE CALIFORNIA
DEPARTMENT OF TAX AND FEE ADMINISTRATION FOR IMPLEMENTATION OF
MEASURE RR TRANSACTIONS AND USE TAX AND AUTHORIZING
EXAMINATION OF TRANSACTIONS AND USE TAX RECORDS**

ACTION

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

1. Approve and authorize the Executive Director to execute agreements with the California Department of Tax and Fee Administration (CDTFA) for: (a) preparation to administer and operate the Resolution of the Peninsula Corridor Joint Powers Board (JPB) imposing a 0.125% transactions and use tax which was approved by the voters of the three Counties served by Caltrain as Measure RR and (b) State administration of the tax.
2. Authorize designees to represent the JPB in examining transactions and use tax records of the CDTFA pertaining to the Measure RR tax.

SIGNIFICANCE

The agreements with CDTFA will allow the State to collect the proceeds of the tax approved by the voters in the three Counties on November 3, 2020 as Measure RR, and transmit such tax revenues to U.S. Bank National Association, the trustee engaged by staff under the Executive Director's authority for these purposes.

More specifically, the Administration Agreement will allow the JPB to examine the records of the CDTFA pertaining to registered businesses in San Francisco, San Mateo and Santa Clara Counties to ascertain the transactions and use taxes collected by the CDTFA. To exercise this right, the Board of Directors must adopt a resolution authorizing one or more designees to examine such records. The proposed resolution concerning examination of records designates the Chief Financial Officer, Director of Treasury, Treasury Manager, and the JPB's consultant, Hinderliter, de Llamas and Associates (HdL) as the JPB's representatives.

The JPB is engaging HdL, on a single source basis and within the Executive Director's contract authority, to conduct the following services:

- **Transaction and Use Tax Audit Program and Sales and Use Tax/Transactions Tax and Use Tax Comparisons**, including actions to identify, research and recover potential misallocations and deficiencies to ensure the JPB receives tax revenues due to it under all applicable tax rules.
- **Transactions and Use Tax Management Analysis**, including economic analysis, budget projections and monitoring, management support, provision of a web-based resource with local tax information that can be used for reports and business analysis, and associated training.

The designation of HdL as a designee of the JPB for the examination of records will allow HdL to perform the services described above.

The proposed agreements must be signed, and all required documentation must be submitted to the CDTFA, before Measure RR can take effect on the planned date of July 1, 2021.

BUDGET IMPACT

The Measure RR tax is expected to generate approximately \$100 million per year.

Under the Preparation Agreement, the JPB will pay the CDTFA's costs to prepare to administer the transactions and use tax in an amount not to exceed \$175,000 upon receipt of an invoice issued by the CDTFA.

Under the Administration Agreement, the JPB will pay the CDTFA's ongoing costs to collect and administer the Measure RR tax in amounts established by State law, as well as the CDTFA's costs related to the examination of CDTFA records pertaining to the tax by the JPB's designees. These costs will be retained by the CDTFA when it transmits tax receipts to the JPB. The net amount of tax receipts will be reflected in the JPB's annual operating and capital budgets.

BACKGROUND

On November 3, 2020, the voters in the Counties of Santa Clara, San Mateo and San Francisco approved Measure RR, imposing a 0.125% retail transactions and use tax for the capital and operating purposes of the Caltrain rail service. The tax revenues from Measure RR will be prioritized as follows:

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. The required support includes the maintenance of equipment, infrastructure and systems necessary to sustain and expand the service;
2. To support the infrastructure, rolling stock, and capital projects necessary to advance the expansion of the Caltrain peak hour service from six trains per hour per direction to eight 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 participation in the regional 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 JPB on October 3, 2019, including, but 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.

Prior to the operative date of a tax resolution such as Measure RR, State law requires the JPB to contract with the CDTFA "to perform all functions incident to the administration and operation of the [tax] ordinance." The statute contemplates that taxing entities will enter into a contract with the CDTFA for its services in preparing for the collection and administration of the tax.

Legal Counsel is completing negotiations with CDTFA on administrative terms and conditions to ensure that they are up-to-date and acceptable from a legal standpoint.

Prepared by: Connie Mobley-Ritter, Director, Treasury
Shayna van Hoften, Legal Counsel

650.508.7765
415.995.5880

**RESOLUTION NO. 2021-
BOARD OF DIRECTORS, PENINSULA CORRIDOR JOINT POWERS BOARD
STATE OF CALIFORNIA**

* * *

**AUTHORIZING THE EXECUTIVE DIRECTOR
TO EXECUTE AGREEMENTS WITH THE CALIFORNIA DEPARTMENT OF TAX AND FEE
ADMINISTRATION FOR IMPLEMENTATION OF A LOCAL TRANSACTIONS AND USE TAX**

WHEREAS, on August 6, 2020, the Board of Directors of the Peninsula Corridor Joint Powers Board (JPB) approved Resolution 2020-40 providing for a local transactions and use tax (Caltrain Sales Tax); and

WHEREAS, on November 3, 2020 the voters of San Francisco, San Mateo, and Santa Clara Counties approved the Caltrain Sales Tax by the requisite 2/3 vote; and

WHEREAS, the California Department of Tax and Fee Administration (Department) administers and collects the transactions and use taxes for all applicable jurisdictions within the State; and

WHEREAS, the Department will be responsible to administer and collect the Caltrain Sales Tax for the JPB; and

WHEREAS, the Department requires that the JPB enter into a "Preparatory Agreement" and an "Administration Agreement" prior to implementation of said tax; and

WHEREAS, the Department requires that the JPB's Board of Directors authorize these agreements; and

WHEREAS, U.S. Bank National Association is an FDIC-insured bank providing investment services and investment management with corporate trust as its core business and competency, and will be the financial institution serving as the third party collection and distribution agent for the Caltrain Sales Tax revenues.

NOW, THEREFORE BE IT RESOLVED by the Board of Directors of the Peninsula Corridor Joint Powers Board that the "Preparatory Agreement" and "Administrative Agreement,"

described herein, are hereby approved and the Executive Director is hereby authorized to execute each agreement.

Regularly passed and adopted this 4th day of March, 2021 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

RESOLUTION NO. 2021-

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

* * *

AUTHORIZING THE EXAMINATION OF TRANSACTIONS (SALES) AND USE TAX RECORDS

WHEREAS, pursuant to Resolution No. 2020-40 of the Peninsula Corridor Joint Powers Board (hereinafter called "JPB") and Section 7270 of the Revenue and Taxation Code, the JPB entered into a contract with the California Department of Tax and Fee Administration (CDTFA) to perform all functions incident to the administration and operation of the JPB's Transactions and Use Tax Resolution; and

WHEREAS, the JPB deems it desirable and necessary for authorized representatives of the JPB to examine confidential transactions and use tax records of the CDTFA pertaining to transactions and use taxes collected by the CDTFA for the JPB pursuant to that contract; and

WHEREAS, Section 7056 of the Revenue and Taxation Code sets forth certain requirements and conditions for the disclosure of CDTFA records and establishes criminal penalties for the unlawful disclosure of information contained in or derived from, the transactions and use tax records of the CDTFA; and

WHEREAS, the Executive Director recommends, and the Staff Coordinating Council concurs, that the Board of Directors designate the Chief Financial Officer, the Director of Treasury, the Treasury Manager, and the JPB's consultant Hinderliter, de Llamas & Associates (HdL), subject to conditions set forth below, to represent the JPB with authority to examine transactions and use tax records of the CDTFA pertaining to the transactions and use taxes collected for the JPB by the CDTFA pursuant to the contract between the JPB and the CDTFA.

NOW, THEREFORE IT IS RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby appoints the Chief Financial Officer, the Director of Treasury, the Treasury Manager or other officer or employee of the JPB designated in writing by the Executive Director to the California Dept of Tax and Fee Administration (hereafter referred to as the CDTFA) to represent the JPB with authority to examine transactions and use tax records of the CDTFA pertaining to transactions and use taxes collected for the JPB by the CDTFA pursuant to the contract between the JPB and the CDTFA. The information obtained by examination of CDTFA records shall be used only for purposes related to the collection of the JPB's transactions and use taxes by the CDTFA pursuant to the contract.

BE IT FURTHER RESOLVED that Hinderliter, de Llamas & Associates (HdL) is hereby designated to examine the transactions and use tax records of the CDTFA pertaining to transactions and use taxes collected for the JPB by the CDTFA. HdL meets all of the following conditions:

- (a) has an existing contract with the JPB to examine those transactions and use tax records;
- (b) is required by that contract to disclose information contained in, or derived from, those transactions and use tax records only to the JPB's Chief Financial Officer, the Director of Treasury, and the Treasury Manager;
- (c) is prohibited by that contract from performing consulting services for a retailer during the term of that contract; and
- (d) is prohibited by that contract from retaining the information contained in or derived from those transactions and use tax records after that contract has expired.

BE IT FURTHER RESOLVED that the information obtained by examination of CDTFA records shall be used only for purposes related to the collection of the JPB's transactions and use taxes by the CDTFA pursuant to the contracts between the JPB and the CDTFA.

Regularly passed and adopted this 4th day of March, 2021.

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 Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CLIPPER START QUARTERLY UPDATE**

ACTION

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

SIGNIFICANCE

An effort led by staff from the Metropolitan Transportation Commission (MTC) and regional transit operators, Clipper START is the Bay Area's means-based fare pilot program, and it provides a discount for eligible, low-income transit riders at participating transit agencies. Individuals enrolled in the pilot program receive a 50 percent discount off of adult one-way Clipper card fares on Caltrain.

The 18-month pilot program launched on July 15, 2020, and the attached report provides the Caltrain Board of Directors with the second quarterly report of key pilot program statistics, corresponding to the second quarter of the current fiscal year (or Q2 of FY21, for dates inclusive of October 1, 2020 – December 31, 2020).

BUDGET IMPACT

There is no budget impact associated with receiving this report. Caltrain's revenue statistics associated with the pilot program are presented in the attached report.

NEXT STEPS

Caltrain staff will return with another pilot program quarterly update for the Board in spring 2021 for Q3 of FY21 (January 1, 2021 – March 31, 2021).

Prepared by: Melissa Jones, Principal Planner, Caltrain Planning

650.295.6852

ATTACHMENT A: CALTRAIN QUARTERLY REPORT ON CLIPPER START

Key statistics provided below include Clipper START information related to applicants and enrollees, Caltrain ridership and trip information, and revenue impact for Caltrain. This information is for the second quarter of the pilot program, from October 1, 2020 through December 31, 2020.

As of January 2021, a number of new agencies have enrolled in Clipper START to provide single-ride discounts off of Clipper fares to adults enrolled in the program, as shown in the information below. This report includes information about the six operators who joined in the program during Q2, in addition to the four original participants.

Table 1: Participating Operators and Discount Amount Provided

<i>50% Discount</i>	<i>20% Discount</i>	
Caltrain*	AC Transit^	Santa Rosa CityBus+
Golden Gate Transit and Ferry*	BART*	SolTrans^
Marin Transit+	City Coach^	Sonoma County Transit+
SFMTA*	County Connection^	Tri Delta Transit^
SamTrans^	FAST^	Union City Transit^
San Francisco Bay Ferry (WETA)+	Napa VINE^	WestCAT^
SMART+	Petaluma Transit+	Wheels^
Notes:		
* One of the initial four operators in Clipper START.		
+ Joined Clipper START in November 2020.		
^ Joined Clipper START in January 2021.		

1. How many people were enrolled in Clipper START as of Q2 of FY21?

Bay Area residents who are interested in enrolling in Clipper START must submit an application and be approved to receive their Clipper START card. Applications may be submitted by mail or online at www.clipperstartcard.com (which has both desktop and smart phone functionality).

The information provided in Table 2 shows the total number of applications submitted and approved between October and December 2020. It also shows that nearly 3,000 riders had been approved to participate in the pilot program by the end of Q2. The vast majority of applicants submitted completed their applications online during Q2, and approximately 17 percent of Q2 applicants reported currently riding Caltrain.

Table 2: Applications for Clipper START for Q2 of FY21

<i>Applications</i>	<i>10/01/20 – 10/31/20</i>	<i>11/01/20 – 11/30/20</i>	<i>12/01/20 – 12/31/20</i>	<i>Q2 Total</i>	<i>Q1+Q2 Total</i>
Total Submitted	569	687	452	1,708	3,230
Total Approved	514	621	416	1,551	2,920
Source: MTC, 2021.					

2. Where do applicants live in the region?

Table 3 shows the county of residents of applicants to the Clipper START pilot program in Q2 of FY21. Across the region, residents who applied for Clipper START during Q2 of FY21 primarily lived in San Francisco (67.8 percent of applicants) and Alameda (14.4 percent) counties. Santa Clara and San Mateo counties had 3.8 percent and 3.5 percent of applicants, respectively.

Table 3: County of Residence for Clipper START Applicants from Q2 of FY21

<i>County</i>	<i>Percentage of Total</i>
San Francisco	67.8%
Alameda	14.4%
Contra Costa	6.4%
Santa Clara	3.8%
San Mateo	3.5%
Sonoma	1.6%
Marin	1.5%
Solano	0.9%
Napa	0.2%
Total	100%
Source: MTC, 2021.	

3. How many trips were taken using Clipper START in Q1 of FY21?

Table 4 presents the total number of trips that were taken on Clipper START for each month of Q2 for each agency, as well as the total for the region. For comparison, the next Table 5 shows the total number of trips for each agency that were taken during the same time periods.

Table 4 shows substantial ridership gains in Clipper START trips across the quarter. Compared to Q1 of FY21, where the total number of Clipper START trips was 6,020, the number of trips in Q2 increased to 29,033 – an increase of 382 percent. Clipper START ridership on Caltrain increased by 318 percent from Q1 to Q2, from 257 to 1,074 total trips. While these are tremendous gains, it is still worth noting that overall transit ridership, including ridership on Caltrain, remains severely impacted by the coronavirus pandemic.

Table 4: Clipper START Trips in Q2 of FY21

<i>Total Clipper START Trips¹</i>	<i>10/01/20 – 10/31/20</i>	<i>11/01/20 – 11/30/20</i>	<i>12/01/20 – 12/31/20</i>	<i>Q2 Total</i>	<i>Percentage of Q2 Total</i>
Caltrain	327	334	413	1,074	3.7%
BART	4,596	5,364	6,018	15,978	55.0%
SFMTA	2,797	3,786	4,408	10,991	37.9%
GGBHTD (Bus and Ferry)	175	253	445	873	3.0%
SMART	N/A	4	12	16	0.1%
WETA	N/A	-	101	101	0.3%

Petaluma Transit	N/A	-	-	-	0.0%
Santa Rosa	N/A	-	-	-	0.0%
Clipper START Total Trips	7,895	9,741	11,397	29,033	100.0%
Sources: 1. MTC, 2021.					

4. What share of transit trips were taken using Clipper START in Q2 of FY21?

Table 5 shows each transit agency's total ridership for each month in the second quarter of FY21, as well the share of those trips that were made using Clipper START. Petaluma Transit and Santa Rosa are excluded because they did not have any Clipper START ridership in Q2.

Across the region, Table 5 shows that ridership peaked in October and trended downward consistently through the remainder of the quarter, likely due to autumn 2020 changes in public health orders related to the coronavirus pandemic as well as the general annual regional transit trend of lower ridership over the holidays. While ridership trended downwards, however, the percentage share of Clipper START rides out of the total ridership consistently increased over the quarter.

Table 5: Clipper START Trips in Q2 of FY21 as a Percentage of Total Ridership

Agency	October 2020		November 2020		December 2020		Q2 Ridership Total	
	Total Ridership	Clipper START % of Total Rides	Total Ridership	Clipper START % of Total Rides	Total Ridership	Clipper START % of Total Rides	Q2 Total Ridership	Clipper START % Total Rides
Caltrain ¹	103,535	0.32%	91,329	0.37%	78,768	0.52%	273,632	0.39%
BART ²	1,400,213	0.33%	1,251,984	0.43%	1,144,927	0.53%	3,797,124	0.42%
SFMTA ³	4,776,697	0.06%	3,541,188	0.11%	2,360,802	0.19%	10,678,687	0.10%
GGBHTD ⁴	64,566	0.29%	60,854	0.42%	44,749	0.99%	170,169	0.51%
WETA ^{5, 6}	19,712	0.00%	22,830	0.00%	14,818	0.68%	57,360	0.18%

Notes:

1. Source: Caltrain, 2021; MTC, 2021.

2. Source: BART, 2021; MTC, 2021.

3. Source: SFMTA, 2021; MTC, 2021. Note that SFMTA ridership only includes motor coach and trolley coach ridership.

4. Source: GGBHTD, 2021; MTC, 2021.

5. Source: WETA, 2021; MTC, 2021.

6. Note that SMART ridership was unavailable at time of reporting.

5. How many people used their Clipper START cards in Q2 of FY21?

Each individual enrolled in the pilot program receives their own unique Clipper START card, so data on the number of unique cards used in the region shows how many of the enrolled individuals are actually traveling using their Clipper START cards. Table 6 presents the number of unique Clipper START cards in use on each agency, as well as for the overall Clipper system across the region. Petaluma Transit and Santa Rosa are excluded because they did not have any Clipper START ridership in Q2.

Similar to overall trips, the number of unique cards in use is growing as the pilot progresses. As of December 2020, about 35 percent of the Clipper START cards that had been issued were in use across the region (an increase from the total 25 percent of Clipper START cards in use in Q1 of FY21). Of the Clipper START cards in use across the region in December 2020, about five percent of the cards were used on Caltrain.

Table 6: Unique Clipper START Cards in Use by Month for Q2 of FY21

Total Number of Unique Clipper START Cards in Use	10/01/20 – 10/31/20	11/01/20 – 11/30/20	12/01/20 – 12/31/20
Caltrain	47	52	53
BART	379	456	503
SFMTA	343	468	570
GGBHTD (Bus and Ferry)	30	35	39
SMART	0	3	5
WETA	0	0	12
Overall Clipper System	650	847	995

Source: MTC, 2021.

6. Where did Clipper START riders take trips on Caltrain in Q2 of FY21?

Across Q2 of FY21, Clipper data provided by MTC staff shows that the most frequently used Caltrain stations for Clipper START riders are San Francisco Fourth & King, 22nd Street, South San Francisco, Palo Alto, and San Jose Diridon stations.

The number of Clipper START trips involving transfers between transit systems is a small percentage of the overall trips taken. Across Q2, a total of 136 Clipper START rides on Caltrain, or about 13 percent of the total Clipper START trips taken on Caltrain, involved a transfer to another transit system. Regionally, a grand total of 1,879 trips made using a Clipper START card during Q2 involved a transfer to another transit system, or about 7 percent of the total trips made using Clipper START in the region.

7. When did Clipper START riders take trips on Caltrain in Q2 of FY21?

Table 7 shows which day of the week Clipper START card users rode Caltrain during Q2. About 86 percent of Clipper START card trips on Caltrain were made during the weekdays, compared to about 14 percent of trips made on a weekend, across Q2. This finding is consistent across the other participating transit agencies, with the vast majority of Clipper START card trips made during the weekdays in Q2 across the region.

Table 7: Day of Week for Clipper START Trips on Caltrain in Q2 of FY21

Month	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Total
October	11	57	47	60	51	71	30	327
November	20	71	52	57	44	56	34	334
December	10	70	84	77	71	66	35	413
Total	41	198	183	194	166	193	99	1,074
Percent of Total	4%	18%	17%	18%	15%	18%	9%	100%

Source: Caltrain, 2021.

Table 8 shows the ridership distribution for each hour during the day, for each month of Q2. About 61 percent of Clipper START trips on Caltrain were made in the peak periods, while about 39 percent of the trips were made in the midday or off-peak hours. In contrast, trips made in the peak periods accounted for 70 percent of the total trips in Q1.

Table 8: Time of Day for Clipper START Trips on Caltrain in Q2 of FY21

Month	AM Peak (6am-10am)	Midday (10am-3pm)	PM Peak (3pm-7pm)	Off-Peak (7pm-6am)	Total
October	89	57	130	51	327
November	102	69	96	67	334
December	127	107	102	77	413
Total	318	233	328	195	1,074
Percent of Total	30%	22%	31%	18%	100%

Source: Caltrain, 2021.

8. How did Clipper START affect Caltrain's revenue in Q2 of FY21?

Caltrain provides participants in Clipper START with a 50 percent discount off of adult one-way Clipper Card fares. To help offset the revenue loss, the Clipper START Means-Based Fare Pilot Program framework allows for transit agencies to seek reimbursements from MTC up to a maximum of 50 percent of a 20 percent fare discount (subject to an annual capped amount); in essence, this amounts to a subsidy valued at approximately 10 percent of the full fare value for each trip.

Table 9 shows the revenue impact for Caltrain for the second quarter of this pilot program. It shows the initial fare revenue collected by Caltrain for Clipper START trips (approximately 50 percent of the adult one-way Clipper Card fare) in Q2, which totaled approximately \$3,502. It also shows the total discount provided by Caltrain for Clipper START trips, or the amount of foregone revenue for these trips (approximately 50 percent of the adult one-way Clipper Card fare), which totaled approximately \$3,527. (Note that rounding rules for Clipper account for the discrepancy between the fare revenue collected against the discount provided) Additionally, the table shows the subsidy that is provided by MTC to help offset Caltrain's revenue loss on Clipper START

trips (approximately 10 percent of the full fare value for adult one-way Clipper Card fares), which totaled approximately \$700. Lastly, the table shows the amount of net revenue for Caltrain for Clipper START trips in Q2, approximately \$4,203.

Table 9: Clipper START Revenue Impact for Caltrain for Q2 for FY21

Month	Total Trips	Initial Fare Revenue Collected by Caltrain (~50% of full value Adult Clipper Card fare)	Total Discount Provided by Caltrain (~50% off of full value Adult Clipper Card fare)	Subsidy for Revenue Loss Provided by MTC (~10% of full value Adult Clipper Card fare)	Total Net Revenue for Caltrain (Initial Fare Revenue + Subsidy)
October	327	\$1,040.05	\$1,048.10	\$208.01	\$1,248.06
November	334	\$1,080.55	\$1,088.50	\$216.11	\$1,296.66
December	413	\$1,382.15	\$1,390.70	\$276.43	\$1,658.58
Total	1,074	\$3,502.75	\$3,527.30	\$700.55	\$4,203.30

Notes:

1. The slight discrepancy between total fare revenue collected and the discount provided is due to rounding rules for the fares with Clipper.
2. Source: Caltrain, 2021.

9. How is Clipper START being promoted?

There is a regional marketing campaign for Clipper START that is being led by MTC in coordination with the participating operators. The regional promotion effort included news releases, e-newsletter, extensive outreach to Community Based Organizations (CBOs) and social service agencies, and paid digital ads.

In addition to this regional campaign, in Q2 of FY21, Caltrain staff was actively engaged in promoting Clipper START using a variety of methods. Staff continued to boost organic social media messaging across all platforms, promote it on Caltrain's website. Additional marketing support included brochures in multiple languages & ad cards onboard the trains and select stations, as well as digital display banners at the San Francisco Station.

Caltrain staff has also partnered with VTA staff to actively promote Clipper START at VTA's transit centers, on passenger information messaging signs, at digital kiosks, offering "take ones" flyers for passengers, and in VTA's stations and vehicles.



Clipper START Quarterly Update Q2 of FY21 (October – December 2020)

Joint Powers Board
March 4, 2021

Means-Based Fare Pilot Program

- Growing need for discounted transit fares for low-income adults
- 2015 MTC study determined desirability and viability of a means-based pilot
- Commitment to develop a discounted fare program making Bay Area public transit more accessible to low-income adults
- **Launched July 15, 2020 as Clipper START.**

CLIPPER.
START ▶▶▶



Quarterly Updates on Clipper START

- Caltrain staff will be providing an update to the Board each quarter for the 18-month pilot program.
- Updates will include Clipper START information related to applicants and enrollees, Caltrain ridership and trip information, and revenue impact for Caltrain.
 - Data sources: MTC (application and Clipper data) and Caltrain (Clipper and revenue data).
- Today's second update is for:
 - Q2 of FY21: October 1, 2020 – December 31, 2020

Clipper START Expansion: Participating Agencies

Table 1: Participating Operators and Discount Amount Provided

<i>50% Discount</i>	<i>20% Discount</i>	
Caltrain*	AC Transit [^]	Santa Rosa CityBus ⁺
Golden Gate Transit and Ferry*	BART*	SolTrans [^]
Marin Transit ⁺	City Coach [^]	Sonoma County Transit ⁺
SFMTA*	County Connection [^]	Tri Delta Transit [^]
SamTrans [^]	FAST [^]	Union City Transit [^]
San Francisco Bay Ferry (WETA) ⁺	Napa VINE [^]	WestCAT [^]
SMART ⁺	Petaluma Transit ⁺	Wheels [^]

Notes:

* One of the initial four operators in Clipper START.

⁺ Joined Clipper START in November 2020.

[^] Joined Clipper START in January 2021.

How many people were enrolled in Clipper START?

- As of December 2020, nearly 3,000 applications have been approved.

Table 2: Applications for Clipper START for Q2 of FY21

<i>Applications</i>	<i>10/01/20 – 10/31/20</i>	<i>11/01/20 – 11/30/20</i>	<i>12/01/20 – 12/31/20</i>	<i>Q2 Total</i>	<i>Q1+Q2 Total</i>
Total Submitted	569	687	452	1,708	3,230
Total Approved	514	621	416	1,551	2,920
Source: MTC, 2021.					

Where do applicants live in the region?

Table 3: County of Residence for Clipper START Applicants from Q2 of FY21

<i>County</i>	<i>Percentage of Total Applicants</i>
San Francisco	67.8%
Alameda	14.4%
Contra Costa	6.4%
Santa Clara	3.8%
San Mateo	3.5%
Sonoma	1.6%
Marin	1.5%
Solano	0.9%
Napa	0.2%
Total	100%
Source: MTC, 2021.	

How many trips were taken using Clipper START?

Table 4: Clipper START Trips in Q2 of FY21

<i>Total Clipper START Trips¹</i>	<i>10/01/20 – 10/31/20</i>	<i>11/01/20 – 11/30/20</i>	<i>12/01/20 – 12/31/20</i>	<i>Q2 Total</i>	<i>Percentage of Q2 Total</i>
Caltrain	327	334	413	1,074	3.7%
BART	4,596	5,364	6,018	15,978	55.0%
SFMTA	2,797	3,786	4,408	10,991	37.9%
GGBHTD (Bus and Ferry)	175	253	445	873	3.0%
SMART	N/A	4	12	16	0.1%
WETA	N/A	-	101	101	0.3%
Petaluma Transit	N/A	-	-	-	0.0%
Santa Rosa	N/A	-	-	-	0.0%
Clipper START Total Trips	7,895	9,741	11,397	29,033	100.0%

Sources:

1. MTC, 2021.



What share of transit trips were taken using Clipper START?

Table 5: Clipper START Trips in Q2 of FY21 as a Percentage of Total Ridership

Agency	October 2020		November 2020		December 2020		Q2 Ridership Total	
	Total Ridership	Clipper START % of Total Rides	Total Ridership	Clipper START % of Total Rides	Total Ridership	Clipper START % of Total Rides	Q2 Total Ridership	Clipper START % Total Rides
Caltrain ¹	103,535	0.32%	91,329	0.37%	78,768	0.52%	273,632	0.39%
BART ²	1,400,213	0.33%	1,251,984	0.43%	1,144,927	0.53%	3,797,124	0.42%
SFMTA ³	4,776,697	0.06%	3,541,188	0.11%	2,360,802	0.19%	10,678,687	0.10%
GGBHTD ⁴	64,566	0.29%	60,854	0.42%	44,749	0.99%	170,169	0.51%
WETA ^{5, 6}	19,712	0.00%	22,830	0.00%	14,818	0.68%	57,360	0.18%

Notes:

1. Source: Caltrain, 2021; MTC, 2021. 2. Source: BART, 2021; MTC, 2021. 3. Source: SFMTA, 2021; MTC, 2021. Note that SFMTA ridership only includes motor coach and trolley coach ridership. 4. Source: GGBHTD, 2021; MTC, 2021. 5. Source: WETA, 2021; MTC, 2021. 6. Note that SMART ridership was unavailable at time of reporting.



How many people used their Clipper START cards?

- As of December 2020, about 35% of the Clipper START cards that had been issued were in use across the region.
 - Of the cards in use, about 5% of the Clipper START cards were used on Caltrain.

Table 6: Unique Clipper START Cards in Use by Month for Q2 of FY21

<i>Total Number of Unique Clipper START Cards in Use</i>	<i>10/01/20 – 10/31/20</i>	<i>11/01/20 – 11/30/20</i>	<i>12/01/20 – 12/31/20</i>
Caltrain	47	52	53
BART	379	456	503
SFMTA	343	468	570
GGBHTD (Bus and Ferry)	30	35	39
SMART	0	3	5
WETA	0	0	12
Overall Clipper System	650	847	995
Source: MTC, 2021.			

Where did Clipper START riders take trips on Caltrain?

- Top Clipper START rider stations for Q2 of FY21: San Francisco Fourth & King, 22nd Street, South San Francisco, Palo Alto, and San Jose Diridon stations.
- Transfers in Q2 of FY21:
 - About 13% of Clipper START trips on Caltrain involved a transfer to another transit system.
 - Across the region, about 7% of Clipper START trips involved a transfer to another transit system.

When did Clipper START riders take trips on Caltrain?

- During Q2 of FY21, about 86% of Caltrain’s Clipper START trips were made on a weekday.
 - This is consistent across all participating agencies.

Table 7: Day of Week for Clipper START Trips on Caltrain in Q2 of FY21

<i>Month</i>	<i>Sun</i>	<i>Mon</i>	<i>Tue</i>	<i>Wed</i>	<i>Thu</i>	<i>Fri</i>	<i>Sat</i>	<i>Total</i>
October	11	57	47	60	51	71	30	327
November	20	71	52	57	44	56	34	334
December	10	70	84	77	71	66	35	413
Total	41	198	183	194	166	193	99	1,074
Percent of Total	4%	18%	17%	18%	15%	18%	9%	100%

Source: Caltrain, 2021.

When did Clipper START riders take trips on Caltrain?

- During Q2 of FY21, about 61% of Caltrain's Clipper START trips were made during the peak periods.

Table 8: Time of Day for Clipper START Trips on Caltrain in Q2 of FY21

<i>Month</i>	<i>AM Peak (6am-10am)</i>	<i>Midday (10am-3pm)</i>	<i>PM Peak (3pm-7pm)</i>	<i>Off-Peak (7pm-6am)</i>	<i>Total</i>
October	89	57	130	51	327
November	102	69	96	67	334
December	127	107	102	77	413
Total	318	233	328	195	1,074
Percent of Total	30%	22%	31%	18%	100%

Source: Caltrain, 2021.

How did Clipper START affect Caltrain's revenue?

Table 9: Clipper START Revenue Impact for Caltrain for Q2 for FY21

<i>Month</i>	<i>Total Trips</i>	<i>Initial Fare Revenue Collected by Caltrain (~50% of full value Adult Clipper Card fare)</i>	<i>Total Discount Provided by Caltrain (~50% off of full value Adult Clipper Card fare)</i>	<i>Subsidy for Revenue Loss Provided by MTC (~10% of full value Adult Clipper Card fare)</i>	<i>Total Net Revenue for Caltrain (Initial Fare Revenue + Subsidy)</i>
October	327	\$1,040.05	\$1,048.10	\$208.01	\$1,248.06
November	334	\$1,080.55	\$1,088.50	\$216.11	\$1,296.66
December	413	\$1,382.15	\$1,390.70	\$276.43	\$1,658.58
Total	1,074	\$3,502.75	\$3,527.30	\$700.55	\$4,203.30

Notes:

1. The slight discrepancy between total fare revenue collected and the discount provided is due to rounding rules for the fares with Clipper.
2. Source: Caltrain, 2021.

How is Clipper START being promoted?

- Regional marketing effort includes:
 - News releases, e-newsletter, extensive outreach to Community Based Organizations (CBOs) and social service agencies, and paid digital ads
- Caltrain staff are actively promoting the program as well:
 - Social media (all platforms)
 - Caltrain website (including a large center button on the Caltrain homepage)
 - Brochures in multiple languages & ad cards on board the trains and stations
 - Digital display banners at the San Francisco Station
 - Partnering with VTA to help spread the word (for VTA stations, vehicles, etc.)

Next Steps

- Caltrain will continue to promote Clipper START with our partners.
- Caltrain staff will provide an update on Q3 of FY21 in spring 2021 to the JPB.

Thank you!

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Board of Directors

THROUGH: Jim Hartnett
Executive Director

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

SUBJECT: **PROPOSED REVISIONS TO THE PROPERTY CONVEYANCE POLICY AND CALL FOR PUBLIC HEARING ON FEE SCHEDULE**

ACTION

Staff proposes the WPLP Committee review proposed revisions to the Policy Regarding Conveyance of Property Interests Involving Property Owned by the Peninsula Corridor Joint Powers Board (Policy) and recommend the Board call a public hearing on April 1, 2021 to consider revisions to the related Fee Schedule.

SIGNIFICANCE

The proposed revisions to the Policy and Fee Schedule would promote administrative efficiencies and higher fee collections, which will serve to offset staff costs associated with processing agreements for access to Peninsula Corridor Joint Powers Board (JPB) property. Additional revenues realized will be reflected in future JPB budgets.

The JPB receives numerous requests from utilities to cross, or otherwise traverse, the Caltrain Corridor, as well as various other third party requests to use JPB property for uses unrelated to railroad operations. In addition, properties that are not currently required to support Caltrain operations are often leased to generate revenue to offset the cost of operating Caltrain.

The Board of Directors (Board) adopted the Caltrain Rail Corridor Use Policy (RCUP) on February 6, 2020 via Resolution 2020-05. The RCUP is intended to provide a process to facilitate agency review of potential uses of JPB property to ensure they are compatible with the railroad's current and future needs. The Policy, with proposed updates, would describe the agency's process and terms for issuing Property Access Agreements to third parties to access and/or use JPB property. Proposed Policy modifications include a role of the RCUP and update terms and procedures for other aspects of the process for reviewing proposed third-party uses of JPB property.

The updated Policy includes several policy changes. The changes are intended to help staff facilitate the generation of more revenue from property not currently being used for rail operations. For example, the Policy updates would:

- Require that property be leased for market value;
- Encourage longer lease terms to maximize revenue;
- Require advertisement of all potential leases where the lease terms are over five years and the properties are not landlocked; and
- Set forth which agreements can be approved by the Executive Director and which must be approved by the Board.

The Fee Schedule sets forth charges to third parties to enter JPB property. These fees cover administrative expenses associated with the review and approval of property entry requests and oversight of projects on JPB property. The current Fee Schedule is outdated by more than 10 years. The proposed updated Fee Schedule reflects actual expenses associated with processing such requests and current property values. Key proposed changes to the Fee Schedule would:

- Increase the property access agreement processing fee from \$1,500 to \$3,600 (or \$1,000 for limited Encroachment Permits);
- Increase annual fees for Licenses and Right of Entry Permits from \$1,500 to \$3,000 and \$5,000, respectively;
- Require prospective users of agency property to pay fees before requests to use agency property are processed; and
- Incorporate fees associated with implementing the RCUP process.

BUDGET IMPACT

The proposed updates to the Fee Schedule would generate additional revenues to offset staff costs associated with processing agreements for access to JPB property.

BACKGROUND

The Board originally adopted a fee schedule in April 1992 and originally issued a policy for access to JPB property in April 1994. Both were subsequently updated October 7, 2010.

Prepared by: Brian W. Fitzpatrick, Director,
Real Estate and Property Development 650.508.7781

PENINSULA CORRIDOR JOINT POWERS BOARD

POLICY REGARDING THIRD PARTY REQUESTS TO USE PROPERTY OWNED BY THE PENINSULA CORRIDOR JOINT POWERS BOARD

Overview, Background, and Purpose

A railroad right-of-way running from San Francisco down through San Jose, the Caltrain Rail Corridor ("Corridor") is owned by the Peninsula Corridor Joint Powers Board ("PCJPB") for the purposes of operating the Caltrain passenger rail service. Within San Mateo County, Corridor ownership is shared with the San Mateo County Transit District. Additionally, PCJPB separately owns property near 26 Caltrain stations, as well as other property purchased in support of various capital projects. It is intended that, as additional property is purchased by PCJPB, third party use of that property shall be governed by this Policy. As of 2021, altogether the PCJPB's property holdings ("PCJPB property") total approximately 690 acres, a substantial portion of which is dedicated to transportation uses.

Due to the Corridor's location along the Peninsula, and the historic economic development that it triggered, the Corridor runs through the middle of many communities between San Francisco and San Jose. As a result, the PCJPB receives numerous requests from utilities to cross, or otherwise occupy, portions of the Corridor, as well as various other third party requests to use PCJPB property for uses unrelated to railroad operations. In addition, properties that are not currently required to support Caltrain operations may be leased to generate revenue to offset the cost of operating Caltrain.

PCJPB, and its predecessor Southern Pacific, have had a long history of allowing third-party utilities to operate within its property and has entered into numerous revenue-generating leases of PCJPB Property. The process for reviewing and approving both types of requests is currently governed by the "Policy Regarding Processing of Requests For Conveyance of Property Interests Involving Property Owned by the PCJPB" which was adopted in 2010 via Resolution 2010-45. Following Board adoption, this updated policy will supersede that previous policy.

PCJPB recognized a need to update its property use process in response to the PCJPB Board of Directors' adoption of an ambitious Long-Range Service Vision for the railroad on October 3, 2019. As such, to guide the use of the agency's property and support delivery of Caltrain's Long-Term Service Vision, the PCJPB Board of Directors adopted the Caltrain Rail Corridor Use Policy on February 6, 2020 via Resolution 2020-05 ("RCUP").

The RCUP is intended to provide a process to facilitate agency review of requested uses of PCJPB property to ensure they are compatible with the railroad's current and future needs. Following approval through the RCUP compatibility review process, a proposed use is required to undergo additional review for engineering, operational, and regulatory compliance before the agency will issue an agreement to allow a third party the right to use PCJPB property. The types of agreement issued by PCJPB are listed below and are hereafter referred to as "Property Access Agreements."

This updated policy describes the agency's process and terms for granting Property Access Agreements to third parties to access and/or use PCJPB property. It has been updated to include and clarify the role of the RCUP in the process, as well as update terms and procedures for other aspects of the review process for proposed uses.

The contents of this updated policy are as follows:

- Summary of Property Access Agreements
- Staff review process and terms for non-lease agreements
- Staff review process and terms for lease agreements
- Final approval process for all agreements

Summary of Property Access Agreements

Below is a list of the types of agreements most frequently issued by the PCJPB and a brief description of each, including required conditions.

Service Agreement

Purpose: Sets forth the terms and conditions under which the applicant will reimburse the PCJPB for all actual costs incurred in providing the services and materials required to review the applicant's proposed use (including applicable general and administrative overhead costs), for costs associated with processing the Property Access Agreement, and for costs required to support the implementation of the use of agency property, as appropriate. A Service Agreement does not convey any rights to use property.

Right of Entry Permit Agreement

Purpose: Allows third party access to PCJPB Property for a specified period to accomplish a specific activity, which generally involves construction work on an existing facility. No facilities may be constructed on PCJPB Property.

Other Conditions: Permittee (or agency contracting with Permittee) shall sign a Service Agreement to reimburse PCJPB for its costs and expenses, as necessary.

License Agreement

Purpose: Allows third party access to PCJPB Property for a specified period to accomplish a specific activity, which generally involves construction work and allows an applicant's semi-permanent facility to remain on PCJPB Property.

Other Conditions: Licensee shall sign a Service Agreement to reimburse PCJPB for its costs and expenses, as necessary.

Encroachment Permit

Purpose: Allows third parties access to PCJPB Property for a specific purpose and a limited duration when a Right of Entry Permit, License Agreement or Lease is not appropriate, when no construction is to occur on the property and when the property is outside of the Operating Use Zone as defined in RCUP.

Lease Agreement

Purpose: Allows a third party to use PCJPB Property not currently required for rail operations for a defined period. This agreement is typically used when the third party is a commercial business leasing PCJPB property for Fair Market Rent.

Easement Agreement

Purpose: Provides permanent property rights to the grantee for a specific purpose.

Other Conditions: Licensee shall sign a Service Agreement to reimburse PCJPB for its costs and expenses, as necessary. Requires Board approval.

Staff Review Process and Terms for Non-Lease Agreements

This section describes the review process and terms for all agreement that are not leases. Non-lease agreements are typically issued for utility crossings, but may be used in other circumstances when a lease agreement is not appropriate.

After receipt of an application form, staff will analyze each request in accordance with this Policy and, if the request warrants further review, will present the applicant with an estimate of PCJPB's processing and oversight costs ("Processing Costs"), as applicable. Only after the applicant has paid a non-refundable processing fee (the "Real Estate Processing Fee") and, if required, signed a Service Agreement to reimburse PCJPB for its actual additional Processing Costs, will staff analyze the request to ensure the following, which shall be hereafter referred to as "Baseline Conditions":

- The request is determined to be compatible with current and anticipated future operational requirements and potential railroad uses of the property, as confirmed through consistency with RCUP; and
- The applicant's improvements are designed to be compatible with the broadest range of possible transportation alternatives for the entire width of the right-of-way, to minimize disruption of current service and the necessity for later relocation; and
- All facilities constructed on PCJPB Property are constructed in a manner consistent with all applicable general engineering standards, Caltrain standards and California Public Utilities Commission regulations; and
- The request is in full compliance with the requirements of applicable federal and state laws including any conditions embodied in grants and conditions of financing for the property acquisition by the PCJPB or its predecessors in interest.

Once the review is completed, staff will process the appropriate Property Access Agreement, typically based upon PCJPB's standard forms, and will forward the agreement and a staff recommendation to the Executive Director of the PCJPB (or his/her designee) for consideration. The Property Access Agreement will require the applicant to agree, at the minimum, to the following conditions ("Required Conditions"):

- The Applicant must agree to relocate applicant's facilities (at applicant's expense) if necessary to accommodate the use of the Property for public transportation purposes or real estate development, as determined by PCJPB, its successors or assigns; and
- The applicant must maintain and repair its improvements at its sole expense; and

- The applicant must indemnify the PCJPB against liability (including for the release of hazardous materials) arising out of permittee’s use of the property; and
- The agreement will include a reservation of a right in favor of PCJPB to terminate for breach; and
- The agreement will require that the applicant (and/or its contractor) provide adequate insurance for the benefit of PCJPB, its successors and assigns, including, when necessary Railroad Protective Liability Insurance (RPLI).
 - PCJPB shall obtain RPLI in its own name, at the sole cost and expense of the applicant. An applicant may provide its own RPLI by demonstrating that it can provide coverage that is equivalent to, or better than, the RPLI available to PCJPB.

Staff Review Process and Terms for Lease Agreements

This section describes the review process and terms for all lease agreements, for which there are two general types of sites:

- **Independently Usable Sites:** In certain locations, especially along commercial corridors, commercial demand exists for use of PCJPB Property that is not currently required to support Caltrain operations. Such properties are typically accessible from the public street system and can be used independently, without reliance upon use of property owned by entities than other the PCJPB (“Independently Usable Sites”).
- **Landlocked Sites:** In other instances, property not currently required to support Caltrain operations is landlocked, meaning it has no means of access other than from the Caltrain corridor or though the contiguous site, but may have commercial value to the contiguous property owners (“Landlocked Sites”).

In both such cases, PCJPB may seek to lease property to generate revenue, and all potential leases must be analyzed and approved in accordance with the terms and process described below.

Requirement for Fair Market Rent: All property shall be leased at market value unless otherwise approved by the Board in its sole and complete discretion. Market value will be evaluated in consideration of current market conditions, the proposed use, the site’s physical characteristics (including location, size, access and shape of the property), and taking into account all rights and limitations created by the lease agreement, and shall be referred to throughout as “Fair Market Rent.”

RCUP Compatibility and Determination of the Lease Term: Before any site is made available for lease, staff shall ensure that use of the site by a third party is compatible with the railroad’s current and future needs for its property through compliance with the RCUP. Real Estate staff shall also review the site with other departments, including Planning and Engineering, to determine if and when the site will be needed to support future rail activities or capital projects. For revenue-generating commercial leases, staff shall seek to make the site available for the longest possible duration that does not conflict with potential PCJPB uses of the

property, it being understood that longer lease terms generally lead to more lucrative financial return.

The review and approval process and terms for leases are different for independently usable sites and landlocked sites, as described below.

Independently Usable Sites: When property with independent commercial potential is identified as available for lease, and the proposed use will be for more than five years, staff shall seek to competitively market the site, either through a commercial broker or directly by staff, to attract a pool of qualified potential tenants. Leases of less than five years are not required to be marketed but may be if staff feels it would be appropriate to do so.

Proposals will be evaluated using criteria, developed by staff to reflect the specific site, and will typically include the maximization of rent paid, compliance with the Baseline Conditions, and other conditions specific to the property itself. In no case shall rent be for less than Fair Market Rent, unless approved by the Board.

Once the review is completed and a potential tenant has been selected, staff will process the lease agreement, which will be based upon PCJPB's standard form, and will forward the agreement and a staff recommendation to the Executive Director of the PCJPB (or his/her designee) for consideration. The lease will require the applicant to agree, at a minimum, to the Required Conditions.

Landlocked Sites: Staff may negotiate directly with the contiguous property owner, unless other potential lessees have expressed interest in the site or staff otherwise believes that marketing the site will attract a larger pool of qualified tenants, in which case staff shall follow the procedures for marketing a non-landlocked site. When leases for landlocked property come due, staff may choose to negotiate directly with the existing tenant if the tenant has been a tenant of good standing throughout previous lease term. The lessee must comply with the Baseline Conditions and the rent must be no less than Fair Market Rent unless otherwise approved by the Board.

Once the review is completed and a potential tenant has been selected, staff will process the lease agreement, typically based upon PCJPB's standard form, and will forward the agreement and a staff recommendation to the Executive Director of the PCJPB (or his/her designee) for consideration. The lease will require the applicant to agree, at a minimum, to the Required Conditions.

Final Approval of Property Access Agreements

This section describes the final approvals that are needed to issue a Property Access Agreement to a third party after staff has reviewed and recommended the request for approval.

If the Property Access Agreement is within the authority of the Executive Director, as described below, the Executive Director or his/her designee may execute the agreement. If the request falls

within the Board's authority, as described below, the Executive Director may sign the agreement only being delegated authority by the Board.

AUTHORITY OF EXECUTIVE DIRECTOR

The Executive Director (or his/her designee) may approve Property Access Agreements without the prior approval of the Board, provided that the request will not have an adverse impact on the use or potential future development of PCJPB-owned Property for PCJPB purposes and that the following conditions are met:

- The Property Access Agreement is for a term not more than five years
 - Exception: if the lease is an extension of a lease to an existing tenant and is for an Independently Usable Site, the new term will extend the occupancy of the same tenant for more than 5 consecutive years, the lease will require board approval; and
- The applicant has paid the appropriate amount of compensation as described in the PCJPB's Fee Schedule, or for leases, the rent is set at Fair Market Rent; and
- The Property Access Agreement includes all of the Required Conditions and staff has determined that such use is consistent with the Baseline Conditions.

PCJPB BOARD REVIEW

The Board of Directors shall review and approve all conveyances of permanent property rights as well as any other requests that do not fall into the authority of the Executive Director, as outlined above. The Property Access Agreements may be issued only after the applicant pays appropriate compensation as set forth in the PCJPB's Fee Schedule or, for leases has paid the first month's rent and any security deposit.

PENINSULA CORRIDOR JOINT POWERS BOARD

FEE SCHEDULE

FEES BY REAL ESTATE AGREEMENT TYPE

Note: The below agreement types are defined in the Peninsula Corridor Joint Powers Board’s (PCJPB) “Policy Regarding Third Party Requests to Use Property Owned by the Peninsula Corridor Joint Powers Board”

Right of Entry Permit Agreement

Real Estate Processing Fee: \$3,600

Annual Permit Payment: \$3,600, if the total square feet less than 2,000 sq. ft.

Annual Permit Payment: for Permits greater than 2,000 square feet, fair market value (as determined by staff, but not less than \$3,600)

License Agreement

For a Transverse Encroachment (perpendicular to right-of-way):

Real Estate Processing Fee: \$3,600

Annual License Payment: \$5,000

For a Longitudinal Encroachment (parallel to right-of-way), or for fiberoptics facilities:

Processing Fee of \$3,600

Annual Rent: fair market value (as determined by staff, but not less than \$5,000);

Encroachment Permit

Real Estate Processing Fee: \$1,000

Lease Agreement

Real Estate Processing Fee: None

Monthly Rent: fair market value (as determined by staff, not less than \$800/mo.)

Easement Agreement

Real Estate Processing Fee: \$3,600.

Payment of lump sum fair market value of the easement as determined by staff

SERVICE AGREEMENTS AND ASSOCIATED FEES

Purpose

If staff determines that a request to access property will require more than 8 hours of staff time and/or more than 3 hours of the Attorney’s time, which costs are covered by the various Real Estate Processing Fees above, the applicant shall enter into a Service Agreement with PCJPB. The Service Agreement sets forth the terms and conditions under which the applicant will reimburse PCJPB for all actual costs of providing the services and materials required to support the applicant’s proposed project (including applicable general and administrative overhead costs) and for costs associated with processing the Property Access Agreement. A Service Agreement conveys neither property rights nor right to use property.

Payment Policy

Service Agreements Valued under \$50,000:

Service Agreements with an estimated cost of less than \$50,000 or Service Agreements that will be completed in 120 days or less require full prepayment.

Service Agreements Valued over \$50,000:

If the Service Agreement has an estimated total project cost of more than \$50,000 or will last more than 120 days, a payment option may be pre-arranged on a case-by-case basis. A minimum 10% deposit with monthly progress billings or a deposit based on a cash flow analysis with monthly progress billings (whichever is greater) may be arranged and approved at the discretion of staff. Payments under a progress billing are due 30 days following the date of invoice. All overdue balances due to PCJPB not contested in writing, by the due date shall bear interest at the rate of 1.5% per month, compounded monthly, from the due date. Additionally, PCJPB may require that all work cease until all payments are received in full.

RAIL CORRIDOR USE POLICY – USE VARIANCE FEE

All proposed non-railroad uses of JPB property must be determined to be compatible with the railroad's current and future uses, as demonstrated through compliance with the Board-adopted Rail Corridor Use Policy, or the "RCUP" (adopted February 6, 2020 as Resolution 2020-05).

The RCUP review process does not charge a fee for the initial compatibility review(s) of proposed uses.

For uses that are determined to be not compatible with the railroad's current and future needs after the initial compatibility review, third parties may opt to request an RCUP Use Variance. A Base Fee of \$5,000 is charged for all proposed uses of PCJPB property that enter into the RCUP Use Variance process. This nonrefundable Base Fee must be fully paid by the applicant at the time of submitting the RCUP Use Variance application. The Base Fee is charged to cover PCJPB costs for reviewing and processing the RCUP Use Variance application, inclusive of up to 12 hours of staff time and up to 3 hours of the Attorney's time.

The RCUP Use Variance Review Base Fee is likely to cover PCJPB costs for reviewing *most* Use Variance applications; however, there may be some instances in which the complex nature of the proposed use or its location on the corridor requires a more extensive review of the Use Variance application. In these instances, the Base Fee may not be adequate for covering PCJPB costs for processing and reviewing, and additional staff and/or Attorney time may be required. Therefore, on a case-by-case basis, the PCJPB may charge an Additional Fee (on top of the Base Fee) to seek reimbursement for PCJPB costs for Use Variance applications requiring extensive review. Staff will determine if an Additional Fee is required to cover PCJPB costs for processing a complex Use Variance application after receipt of the application, and as soon as a determination is made, staff will notify the applicant of any Additional Fee as soon as possible. The Additional Fee to process complex Use Variance applications is to be issued and paid using a Service Agreement, under the terms and conditions described for Service Agreements above. The Additional Fee is nonrefundable and must be fully prepaid by the applicant before staff may process a complex Use Variance application.

Notes:

- Payment of the RCUP Use Variance Fee neither conveys PCJPB's approval of the compatibility of the proposed use, nor provides authorization to use property.
- Additional information about the RCUP review process, including the Use Variance process, can be found in the adopted Rail Corridor Use Policy, available on Caltrain's website.

REASON FOR FEES

The Purpose of the Real Estate Processing Fee and the RCUP Use Variance Fee is to recoup costs associated with staff time to negotiate and draft the real estate document or review the Use Variance, legal time for review of documents and staff time to set up and monitor the project, as necessary. The Annual License Payment and Annual Permit Payment represent the value of the encumbrance to the property created by the agreement.

REGULAR REVIEW OF FEES

All fees shall be reviewed regularly by staff and updated as PCJPB's cost of processing permits increases. Annual License Payments and Annual Permit Payments shall be reviewed regularly by staff and updated to reflect current property values.



POLICY REGARDING THIRD PARTY REQUESTS TO USE PROPERTY OWNED BY THE PENINSULA CORRIDOR JOINT POWERS BOARD

Joint Powers Board
March 4, 2021

PURPOSE OF POLICY

- Policy was last updated in 2010
- Updates fees to reflect current values and actual cost to process agreements
- Ties approval process to RCUP
- Updates delegations
- Updates definition of property types and agreements

POLICY CONTEXT

- Rail Corridor Use Policy (RCUP)
 - Guides the agency’s decision-making regarding non-railroad uses of JPB property (commercial uses, community uses, etc.), to ensure compatibility with railroad’s current and future needs.
 - Identifies areas of the Caltrain corridor that are currently needed, or may be needed in the future, to support the railroad, as well as areas that may be available for short- or long-term non-railroad uses.

POLICY CONTEXT

- Transit-Oriented Development (TOD) Policy
 - Guides the agency’s development of property that is determined to be available for long-term non-railroad uses according to the RCUP.
 - RCUP preliminarily identified two “high” potential opportunity sites for independent development, and
 - Seven “other” potential opportunity sites that could be candidates for development (such as in conjunction with neighboring sites owned by other entities).
 - Development of both types of sites will be guided by the TOD Policy.

POLICY CONTEXT

- Policy of Property Conveyance
 - Sets framework for temporary and compatible uses of agency property. For example:
 - Utility crossings of ROW
 - Revenue generating leases
 - Other short term uses
- Fee Schedule
 - Sets fees for various types of plan review and agreements
 - Documents RCUP fees

TYPES OF USES COVERED BY POLICY

Utility Crossings

- The Caltrain Corridor runs through the middle of the Peninsula to serve both sides of the corridor
 - Approximately 500 utilities currently cross the right of way
 - Gas, electric, telecom, water, sewer lines, cable TV, storm drains
- Utility crossings are typically permitted through a License Agreement
 - Provides right to cross the ROW but does not confer a property right
 - Typically allows agency to move facility at utility owner's cost

TYPES OF USES COVERED BY POLICY

Other Short- Term Uses

- Girl Scout Cookie Sales
- Events on Caltrain Property:
 - Bike to work, Library Awareness Events. ect
- Typically permitted through a revocable Encroachment Permit

TYPES OF USES COVERED BY POLICY

Leases

- The agency has 160 leases that generate over \$1.1M annually
 - Lease sites are located along commercial corridors, like ECR
- Some lease sites are **landlocked** only accessible through the contiguous properties
 - Approximately 24 leases are landlocked, about 15 percent of inventory

EXAMPLE OF NON-LANDLOCKED SITE



EXAMPLE OF LANDLOCKED SITE



HOW ARE USES APPROVED?

- All proposed uses have been analyzed to confirm:
 - The proposed use is compatible with current and future rail needs
 - Historically, such reviews have been conducted by staff on a case by case basis
 - Now compatibility is determined by the Board- approved RCUP use zones
 - The proposed use is consistent with all relevant engineering standards

FEE SCHEDULE

- Updated to reflect current property values and agency costs
- Example Fees
 - Processing Fee
 - Fee associated with preparing the property use document
 - Designed to recoup staff costs
 - Review Costs
 - Cost for staff review of proposed use
 - Agency recollects cost of review through a Service Agreement
 - Annual Fee
 - Cost associated with a facility being on the right of way
 - Based on current property values

FEE SCHEDULE

Leases

- Agency leases property to generate revenue
 - Rent is Fair Market Rent (FMR), typically calculated by a local broker
 - Lease term should be long enough to maximize rent yet short enough to accommodate anticipated future rail uses
- Uses and areas available to lease set forth in RCUP

MAJOR CHANGES FROM CURRENT FEE SCHEDULE

- Agency must obtain FMR for all leases
- Increases processing fee and annual fee
- Adds RCUP fees
- Requires that fees be paid before a permit is processed

MAJOR CHANGES FROM CURRENT POLICY

- Encourages longer leases, if compatible with rail needs
- Differentiates between Landlocked and Non-Landlocked leases
- Non-Landlocked Sites
 - Board approval required if the same tenant leases property for more than five consecutive years
 - Must advertised for lease if lease is to be longer than 5 years
- Landlocked Sites
 - Same tenant may extend past five years without Board Approval
 - Do not need to be advertised for lease

NEXT STEPS

- Staff requests Board adopt Policy

QUESTIONS?

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Rona Rios
Chief Communications Officer,
Acting

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

ACTION

Staff Coordinating Council recommends the Board receives the attached memos. Staff will provide regular updates to the Board in accordance with Legislative Program.

SIGNIFICANCE

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

Prepared By: Brent Tietjen, Government and Community
Relations Officer

650-508-6495



February 12, 2021

TO: Peninsula Corridor Joint Powers Board Members

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

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

General Update

As the February 19 bill introduction deadline nears, the Legislature is busy submitting bills for introduction. Assembly leadership has limited each Assemblymember to introducing 12 bills, while the Senate has not enforced such a cap thus far. This cap is likely in anticipation for another truncated legislative session, where risk of COVID-19 exposures in the workplace will limit the Legislature’s ability to safely conduct business in a normal fashion.

In the meantime, budget hearings are beginning as the Legislature considers the Governor’s 2021-22 proposed State Budget.

Legislation

SB 44 (Allen) – CEQA Streamlining for Transit. This bill would allow certain transit projects that meet environmental and labor requirements to have a streamlined judicial review period for CEQA. This is the new legislative effort after SB 757 (Allen) was vetoed last session because it was tied to SB 995. *Caltrain supported this bill in February 2021.*

ACA 1 (Aguir – Curry) Local Government Financing. This constitutional amendment is a reintroduced version of ACA 1 (Aguir-Curry) from last session, which failed to pass off the Assembly floor 44-20. The measure would reduce the voter-approval threshold from 2/3 to 55% for cities and counties to issue bonds or raise taxes for public infrastructure, affordable housing or permanent supportive housing for the homeless. *Caltrain supported this bill in February 2021.*

High-Speed Rail

On February 9, the California High-Speed Rail Authority unanimously approved the Proposition 1A funding plan that anticipates the use of \$4.1 billion of High Speed Rail bond proceeds for the Central Valley Segment. It is assumed that this funding plan will

be part of the Governor's May Revision of the budget and will be debated and negotiated by the Legislature as part of budget subcommittee hearings during the Spring.

It is uncertain how receptive the Legislature will be for appropriating bond funds for the Central Valley Segment. There are many reasons for this uncertainty:

First, there has been significant turnover in the Legislature since the last bond appropriation in 2012 and many legislators that were committed to the project at that time are no longer in office. Secondly, the continued cost increases worry many legislators that the project may never get completed.

Finally, in the summer of 2020, the Assembly adopted a non-statutory resolution, HR 97, that makes clear that the Assembly intends to give a thorough review and vetting of any contracts and construction activity pertaining to a bond appropriation. Previous public comments by the Los Angeles-based Speaker of the Assembly and the new Chair of the Assembly Transportation Committee, Laura Friedman have hinted at the idea of shifting the remaining bonds away from the Central Valley.

We will keep the Joint Powers Board updated on legislative action on this matter.

Budget Trailer Bill for Transit Relief (Administration Proposed)

As we noted in our last report, the Governor's Budget initially recommended "regulatory and reporting relief" related to the Transportation Development Act, allowing agencies to plan with more certainty and flexibility for the expenditure of state transit funding. Subsequently, the Administration released [budget trailer bill language](#) (TBL) laying out the proposed relief measures. Specifically, the Administration's proposal would do the following:

- Extend the hold harmless provision for the calculation and allocation of State Transit Assistance Program, Low Carbon Transit Operations Program, and STA-State of Good Repair allocations (Local Revenue Basis Only) included in [AB 90](#) by one year to fiscal year 2022-2023;
- Extend the suspension of the financial penalties associated with the Transportation Development Act's requirements that transit agencies obtain specified fixed percentages of their operating budgets from passenger fares (TDA farebox recovery requirements) included in AB 90 by one year to fiscal year 2021-2022;
- Extend the suspension of the financial penalties associated with 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, (STA efficiency criteria) by one year to fiscal year 2022-23;
- Review TDA performance audit requirements to identify opportunities for streamlining and identification of more effective measures;

- Exclude from the definition of “operating cost” for the purposes of TDA farebox recovery and STA efficiency the costs of operating ADA paratransit service; the costs to operate demand-response and microtransit services that expand access to transit service beyond fixed route corridors; the costs of funding or improving payment and ticketing systems and services; and the costs of planning for improvements in transit operations, integration with other operators and agencies, zero emission transition, and for compliance with state and federal mandates; and,
- Suspend until July 1, 2026, TDA farebox recovery requirements and STA efficiency criteria for transit agencies that can demonstrate that they maintained their existing commitments of local funds for transit operations at an amount not less than the expenditures from local funds for transit operations during fiscal year 2018-19.

These measures build on the statutory relief secured last year and makes progress toward addressing the various ongoing concerns raised with the Administration throughout the winter on behalf of transit agencies.

Vaccine Distribution

On December 15, the California Transit Association (Association) submitted a letter to Governor Newsom, the California State Transportation Agency, the California Health and Human Services Agency and California Department of Public Health (CDPH) requesting that that the state include frontline transit workers in Phase 1 of the state’s vaccine distribution plan, following healthcare workers. Subsequently, CDPH’s COVID-19 Vaccine Drafting Guidelines Workgroup took formal action to include transit frontline workers into Phase 1B – Tier 2 of the state’s vaccination distribution plan. Unfortunately, on January 25, Governor Gavin Newsom announced a major update to the state’s vaccine distribution plan.

The new plan transitions from a sector-based to age-based distribution of the vaccine and prioritizes vaccinations for people age 65 and over, health care, education and child care, emergency services and food and agricultural workers. All future groups will become eligible based on age – this statewide standard will move in unison across all 58 counties. The Newsom Administration argues this approach will “allow the state to scale capacity up while also ensuring the vaccine goes to disproportionately impacted communities.” Importantly, the new plan eliminates any priority for sectors identified in Phase 1B – Tier 2, which included transit frontline workers under the “Transportation and Logistics” sector.

In response to this significant change in policy, the Association submitted a letter to Governor Newsom raising concerns with the new plan and urging him to reconsider the decision to deprioritize transit frontline workers in the state’s new plan. The letter received significant press coverage, including by major news outlets, like the Los Angeles Times, Politico and the Sacramento Bee. A favorable resolution is still being pursued by 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. Funding from this program can be used to purchase zero-emission buses. Funds available are estimated at \$450-500 million for Cycle 4 but could change on auction proceeds and changing cash flow requirements of already awarded projects.

Solutions for Congested Corridors Program (SCCP)

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

Local Partnership Program (LPP)

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

Trade Corridor Enhancement Program (TCEP)

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

Grade Separation Funding

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

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

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

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

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

Caltrain

State Legislative Matrix 2/12/2020

Active Bills			
Bill Number (Author)	Summary	Location	Position
ACA 1 (Aguiar-Curry D) Local government financing: affordable housing and public infrastructure: voter approval.	(1)The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions.This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure.This bill contains other related provisions and other existing laws. Introduced: 12/7/2020	Assembly Print	Supported February 2021
AB 5 (Fong R) Greenhouse Gas Reduction Fund: High Speed Rail Authority: K-12 education: transfer and loan.	The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The act authorizes the state board to include in its regulation of those emissions the use of market-based compliance mechanisms. Existing law requires all moneys, except for fines and penalties, collected by the state board from the auction or sale of allowances as part of a market-based compliance mechanism to be deposited in the Greenhouse Gas Reduction Fund. Existing law continuously appropriates 25% of the annual proceeds of the fund to the High-Speed Rail Authority for certain purposes. This bill would suspend the appropriation to the High-Speed Rail Authority for the 2021-22 and 2022-23 fiscal years and would require the transfer of those amounts from moneys collected by the state board to the General Fund. The bill would specify that the transferred amounts shall be available, upon appropriation, to support K-12 education and to offset any funding reduction for K-12 education.This bill contains other related provisions and other existing laws. Introduced: 12/7/2020	Assembly Print	Watch
AB 361 (Rivas, Robert D) Open meetings: local agencies: teleconferences.	Existing law, the Ralph M. Brown Act requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding the timelines for posting an agenda and providing for the ability of the public to directly address the legislative body on any item of interest to the public. The act generally requires all regular and special meetings	Assembly Local Government	Watch

	<p>of the legislative body be held within the boundaries of the territory over which the local agency exercises jurisdiction, subject to certain exceptions. The act allows for meetings to occur via teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local agency’s jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. This bill would authorize a local agency to use teleconferencing without complying with the teleconferencing requirements imposed by the Ralph M. Brown Act when a legislative body of a local agency holds a meeting for the purpose of declaring or ratifying a local emergency, during a declared state or local emergency, as those terms are defined, when state or local health officials have imposed or recommended measures to promote social distancing, and during a declared local emergency provided the legislative body makes certain determinations by majority vote. The bill would require legislative bodies that hold teleconferenced meetings under these abbreviated teleconferencing procedures to give notice of the meeting and post agendas, as described, to allow members of the public to access the meeting and address the legislative body, to give notice of the means by which members of the public may access the meeting and offer public comment, as provided, to conduct the meeting in a manner that protects the statutory and constitutional rights of the parties and the public appearing before the legislative body. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/1/2021</p>		
<p>AB 455 (Bonta D) Bay Bridge Fast Forward Program.</p>	<p>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 the Bay Area Toll Authority as a separate entity governed by the same governing board as the commission and makes the authority responsible for the administration of toll revenues from the state-owned toll bridges in the San Francisco Bay area. Existing law creates various transit districts located in the San Francisco Bay area, with specified powers and duties relative to providing public transit services. This bill would require the Bay Area Toll Authority, in consultation with the commission, Department of Transportation, and certain transit entities, to identify, plan, and deliver a comprehensive set of operational, transit, and infrastructure investments for the San Francisco-Oakland Bay Bridge corridor, which would be known collectively as the Bay Bridge Fast Forward Program. The bill would require the authority, in consultation with the commission, department, and certain transit operators, on or before January 1, 2023, to prepare and submit to the Legislature a comprehensive plan to improve bus and very high occupancy vehicle speed and travel time reliability along the San Francisco-Oakland Bay Bridge corridor in a manner that maximizes the number of people that can cross the bridge during congested periods. The bill would authorize the authority, in consultation with the department, on and after January 1, 2025, if a specified travel speed reliability performance target for the San Francisco-Oakland Bay Bridge corridor has not been met for a consecutive 6-month period, to, as a pilot program, designate a lane on the San Francisco-Oakland Bay Bridge exclusively for use by buses and very high occupancy vehicles during congested periods, and would require the authority, in consultation with the department and certain transit operators, to submit to the Legislature a report evaluating the pilot program’s impact. The bill would require the department to pursue federal approval or waivers, as necessary, to implement these provisions. This bill contains other related provisions and other existing</p>	<p>Assembly Print</p>	<p>Watch</p>

	laws. Introduced: 2/8/2021		
AB 464 (Mullin D) Enhanced Infrastructure Financing Districts: allowable facilities, projects, and costs.	Existing law authorizes the legislative body of a city or a county to establish an enhanced infrastructure financing district to finance public capital facilities or other specified projects of communitywide significance that provide significant benefits to the district or the surrounding community, including, but not limited to, the acquisition, construction, or repair of industrial structures for private use. Existing law authorizes a district to finance the ongoing or capitalized costs to maintain facilities financed in whole or in part by the district, but prohibits the use of proceeds of bonds issued to finance maintenance of any kind. This bill would remove the prohibition on the use of proceeds of bonds issued to finance maintenance of any kind. The bill would remove, from the list of facilities and projects the district may fund, the acquisition, construction, or repair of industrial structures for private use. The bill would include in that list the acquisition, construction, or repair of commercial structures by the small business, as defined, occupant of such structures, if certain conditions are met, and facilities in which nonprofit community organizations provide health, youth, homeless, and social services. Introduced: 2/8/2021	Assembly Print	Watch
AB 476 (Mullin D) San Francisco Bay area county transportation authorities: contracting.	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. Introduced: 2/8/2021	Assembly Print	Watch
SB 7 (Atkins D) Environmental quality: Jobs and Economic Improvement Through Environmental Leadership Act of 2021.	(1)The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of an environmental impact report (EIR) on a project that the lead agency proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. CEQA authorizes the preparation of a master EIR and authorizes the use of the master EIR to limit the environmental review of subsequent projects that are described in the master EIR, as specified. This bill would require a lead agency to prepare a master EIR for a general plan, plan amendment, plan element, or specific plan for housing projects where the state has provided	Senate Rules	Watch

	<p>funding for the preparation of the master EIR. The bill would allow for limited review of proposed subsequent housing projects that are described in the master EIR if the use of the master EIR is consistent with specified provisions of CEQA. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 12/7/2020</p>		
<p>SB 10 (Wiener D)</p> <p>Planning and zoning: housing development: density.</p>	<p>The Planning and Zoning Law requires a city or county to adopt a general plan for land use development within its boundaries that includes, among other things, a housing element. Existing law requires an attached housing development to be a permitted use, not subject to a conditional use permit, on any parcel zoned for multifamily housing if at least certain percentages of the units are available at affordable housing costs to very low income, lower income, and moderate-income households for at least 30 years and if the project meets specified conditions relating to location and being subject to a discretionary decision other than a conditional use permit. Existing law provides for various incentives intended to facilitate and expedite the construction of affordable housing. This bill would, notwithstanding any local restrictions on adopting zoning ordinances, authorize a local government to pass an ordinance to zone any parcel for up to 10 units of residential density per parcel, at a height specified in the ordinance, if the parcel is located in a transit-rich area, a jobs-rich area, or an urban infill site, as those terms are defined. In this regard, the bill would require the Department of Housing and Community Development, in consultation with the Office of Planning and Research, to determine jobs-rich areas and publish a map of those areas every 5 years, commencing January 1, 2022, based on specified criteria. The bill would specify that an ordinance adopted under these provisions is not a project for purposes of the California Environmental Quality Act. The bill would prohibit a residential or mixed-use residential project consisting of 10 or more units that is located on a parcel rezoned pursuant to these provisions from being approved ministerially or by right. This bill contains other related provisions.</p> <p>Introduced: 12/7/2020</p>	<p>Senate Rules</p>	<p>Watch</p>
<p>SB 44 (Allen D)</p> <p>California Environmental Quality Act: streamlined judicial review: environmental leadership transit projects.</p>	<p>The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of, an environmental impact report (EIR) on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. CEQA establishes a procedure by which a person may seek judicial review of the decision of the lead agency made pursuant to CEQA. This bill would establish specified procedures for the administrative and judicial review of the environmental review and approvals granted for environmental leadership transit project, as defined, undertaken by a public agency. The bill would require the Judicial Council, on or before April 1, 2022, to adopt rules of court establishing procedures requiring actions or proceedings seeking judicial review pursuant to CEQA or the granting of project approvals, including any appeals to the court of appeal or the Supreme Court, to be resolved, to the extent feasible, within 270 days of the filing of the certified record of proceedings with the court to an action or proceeding seeking judicial review of the lead agency's action related to an environmental leadership transit project. The bill would require the environmental leadership transit project to meet certain labor requirements.</p>	<p>Senate Rules</p>	<p>Supported February 2021</p>

	Introduced: 12/7/2020		
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Caltrain As of February 17, 2021 Transportation Report

COVID-19 Reconciliation Update

The White House and congressional Democrats are eager to move quickly on another round of COVID-19 economic stimulus relief aid. Congressional Democrats are using the budget reconciliation process to pass the \$1.9 trillion relief package proposed by President Biden, known as the "American Rescue Plan."

Budget reconciliation is a mechanism by which Congress can use expedited procedures to consider spending revenue and allows the Senate to enact legislation with a simple majority vote, rather than the normally required 60 votes. The proposal does not have support from Republicans amid pushback from members of Republican leadership and influential moderates, leaving it unable to get the 60 votes needed without reconciliation or eliminating the legislative filibuster. The Democratic majority's slim 221 to 211 margins in the House and 50-50 split in the Senate will require the caucus to maintain unity to pass a final bill through its chambers.

During the past two weeks, House committees drafted and passed legislation. Next, the House Budget Committee will meet to package the committees' bills into one bill. House leadership plans to consider the bill on the floor for a vote by the week of February 22. The Senate will then take up the House-passed bill rather than repeating the committee drafting and markup process. House and Senate leadership are aiming to pass the bill before March 14, when unemployment benefits lapse.

Summary of the provisions of importance to NFTA:

- \$195.3 billion for states and the District of Columbia
 - \$25.5 billion equally divided (every state receives at least \$500 million)
- \$130.2 billion divided evenly between cities and counties
 - \$65.1 billion to cities using a modified Community Development Block Grant (CDBG) formula
 - \$65.1 billion to counties based on population
- \$30 billion in COVID relief funding for transit--the New York urbanized area will receive \$8.4 billion
 - \$26,086,600,000 in Section 5307 Urbanized Area Grants
 - \$50 million in Section 5310 Enhanced Mobility of Seniors & Individuals with Disabilities grants
 - \$280.9 million for Section 5311 Rural Area Formula grants
 - \$1.25 billion for Capital Investment Grants
 - \$100 million for Intercity Bus grants

- \$25 million for Planning grants
- \$2.207 billion for FTA to allocate based on demonstrated need
- \$1.5 billion for Amtrak to recall and pay furloughed employees through FY 2021
- \$8 billion to airports, including \$800 million for airport concessionaires
- \$450 million to communities whose economies depend on travel, tourism, and outdoor recreation

Pete Buttigieg Confirmed as Transportation Secretary

On February 2, the Senate confirmed Pete Buttigieg as Transportation Secretary with a final vote on 86-13. Buttigieg easily advanced through the Senate Commerce, Space, and Transportation by a vote of 21 to 3 on January 27 and had mostly positive feedback in a bipartisan fashion.

Department of Transportation Announces Biden Appointees

On January 21, the Biden Administration announced key members of its Department of Transportation leadership which can be found below:

Office of the Secretary

- Pete Buttigieg, Secretary (Senate confirmed on February 2)
- Polly Trottenberg, Deputy Secretary

Modal Administrators:

- Stephanie Pollack, FHWA Deputy Administrator — current secretary of Massachusetts DOT
- Meera Joshi, FMCSA Deputy Administrator — former commissioner of the New York City Taxi and Limousine Commission
- Amit Bose, FRA Deputy Administrator,— who held several senior roles at DOT and FRA during former President Barack Obama's administration
- Nuria Fernandez, FTA Deputy Administrator — outgoing CEO and general manager of the Santa Clara Valley Transportation Authority
- A. Bradley Mims will be named of FAA but will keep that position, as Steve Dickson still has several years left as administrator and is not expected to leave early. Mims is currently president and CEO of the Conference of Minority Transportation Officials.

Intergovernmental:

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

President Biden Signs Executive Order Strengthening Buy American Provisions

On January 25, President Biden issued an [Executive Order](#) to boost federal agencies' purchases of U.S. products, fulfilling a campaign pledge to lay out a “buy American” plan. The order directs agencies to strengthen requirements so that they acquire more goods and services from U.S. companies and workers, according to administration officials.

Biden Climate Executive Orders Include Focus on Transportation and Infrastructure

On January 27, President Joe Biden put forward a sweeping executive order on climate, including a shift to clean vehicles and an end to oil and gas subsidies.

The order included:

- A shift to zero-emission vehicles for federal, state, local, and tribal government fleets, including vehicles of the United States Postal Service;
- A “pause” on new oil and natural gas leases on public lands or in offshore waters pending a comprehensive review;
- The elimination of federal subsidies for fossil fuels;
- A sustainable infrastructure initiative with the White House Council on Environmental Quality(CEQ) and Office of Management and Budget (OMB) working to ensure that federal infrastructure investment reduces climate pollution;
- A reversal of Trump-era permitting rules that stopped federal agencies from considering the effects of greenhouse gas emissions and climate change in their environmental reviews;
- The establishment of a Civilian Climate Corps;
- An environmental justice initiative working to ensure that 40 percent of the benefits of federal investments in energy, transit and other programs flow to disadvantaged communities; and
- Inclusion of the DOT Secretary on task forces, working groups and interagency councils focused on climate, environmental justice and the economic revitalization of coal and power plant communities.

House Transportation & Infrastructure Leadership

The House Committee on Transportation and Infrastructure Chairman Peter DeFazio (D-OR-4) and Ranking Member Sam Graves (R-MO-6) have announced the committee’s membership and subcommittee chairs and ranking members for the 117th Congress. In total, there will be 37 Democrats serving on the Committee, 36 of whom are named below. One spot remains open, pending selection by the House Democratic Steering and Policy Committee.

Subcommittees Leadership:

- Subcommittee on Aviation: Chair Rick Larsen (D-WA-2); Ranking Member Garret Graves (R-LA-6)
- Subcommittee on Coast Guard and Maritime Transportation: Chair Salud Carbajal (D-CA-24); Ranking Member Bob Gibbs (R-OH-7)
- Subcommittee on Economic Development, Public Buildings, and Emergency Management: Chair Dina Titus (D-NV-1); Ranking Member Dan Webster (R-FL-11)

**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 FEBRUARY 17, 2021

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

MEMBERS ABSENT: P. Flautt, M. Romo

STAFF PRESENT: J. Lipps, J. Navarrete, J. Navarro, S. Petty, A. Simmons

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

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

APPROVAL OF MINUTES OF JANUARY 20, 2021

Motion/Second: Klein / Leung

Ayes: Brandt, Dagum, Shaw, Tuzman

Absent: Flautt, Kutler, Romo

R. Kutler joined at 5:50 p.m.

PUBLIC COMMENT

Roland Lebrun, San Jose, via Zoom Q&A, mentioned that VTA is looking to convert the seven-acre parking lot in Gilroy into TOD (Transit Oriented Development) to increase their ridership for bus route 68. Roland questioned why VTA has not looked at their other property in Santa Teresa because it has been estimated that High Speed Rail will receive a minimum of ten thousand passengers a day with a parking demand of 869 parking spaces. Roland requested that the CAC along with the Caltrain Board to start engaging the VTA with the purchase of parking lots near Caltrain stations. He stated that there is plenty of funding. He then stated that if the TODs are built, the potential residents will not be able to use public transit and will be forced to drive.

Jeff Carter, Millbrae, via Zoom Q&A, commented that the Caltrain timetables are not available on the trains or at the station bulletin boards and that it may lead to passengers unaware of train arrival time or what trains serve what stations. He stated that it is important for passengers to be aware of the timetable schedule especially since there have been changes due to the pandemic. He stated that although it is available online, some customers do not have smartphones or a computer to view the most current timetable and that it would be common courtesy to have a printout available on the trains and in the station bulletin board. Lastly, Jeff asked where is the first test train, in Pueblo Colorado or still in Salt Lake City.

CHAIRPERSON'S REPORT

None

Public Comments:

None

COMMITTEE COMMENTS

Vice Chair Adrian Brandt referred to an item from the correspondence packet from Roland LeBron regarding the CDC order that asks all Transit Operator Agencies to enforce mask policies. Vice Chair Brandt then commented on the study sessions conducted by Redwood City further looking at the Sequoia Station redevelopment. Vice Chair Brandt suggested the CAC and members of the public pay close attention to the progress and shared the website that has the details, <http://www.sequoiacentervision.com/>. He stated that there are a lot of moving parts as the city is simultaneously doing a citywide grade separation study.

Member Rosalind Kutler shared that Redwood City will be having business sessions, however open to the public. She mentioned that there will be a couple held at the end of February and wanted to make everyone aware.

WEBSITE REPLACEMENT PROJECT UPDATE

Jeremy Lipps, Social Media Officer, provided a Website Replacement Project update with guest speakers from FivePaths.

The full presentation can be found on caltrain.com

Committee Comments:

Member Kutler shared that she is an SFMTA website user and a MUNI rider and suggested that the pictures for the bus stops might be overkill and that she liked the graphics for the bus route that are employed for the SFMTA website and thought that the art would be prohibitively expensive, however very useful. She also suggested to separate the archived and modified schedules from the current and real time schedules.

Vice Chair Brandt suggested not using the word "fun" when promoting the website replacement and to instead point out its practical features for example, where is the train, is it on time, is it reliable, the ability to see the vehicles on a live map etc. Additionally, he suggested the information on the website be quick and easy to find for the experienced user. He also suggested that the archived PDFs on the website be searchable text to easily find information. Mr. Lipps responded that going forward he may implement a responsible process that ensures compliance, however retroactively converting documents is at the Organization level and is being discussed at the Executive level.

Member Larry Klein stated that from an accessibility standpoint right now one of the biggest failings is accessibility of different languages and that it should be a priority. Jens-Peter Jungclaussen from FivePaths responded that at the top of all pages, users will be able to change the language. Member Klein then asked whether this is a stepping off point to the Caltrain Mobile Ticketing app. Jens-Peter Jungclaussen from FivePaths responded that the idea is that if the user is already on their phone, that there will be an easy way to download the separate Mobile Ticketing app. Member Klein stated that it is important for users to easily get their tickets and is looking forward to the updates.

Alternate Member Kathleen Maxwell agreed with Vice Chair Brandt's comment regarding promoting practical use of the website and taking the trains. She suggested promoting taking the train by showing people at work and how productive they can be or show passengers napping on the train. She shared that taking the train from San Francisco to Santa Clara helped her prep for work and not be frazzled from driving through a traffic jam. She also suggested a discounted fare as an incentive for passengers to ride the train. Lastly, she suggested to make passengers aware that parking purchase is available through the mobile app.

Chair Brian Shaw shared that video testimonials, passenger's real experiences and demonstrating how to do things like using the clipper card, etc. would be very beneficial to users. He hopes that part of the website replacement integrates the ability to show videos through a web portal that helps people, how to use the TVMs, how do you buy parking, how to use a Clipper card, where to wait for the train, etc. He stated that he sees a lot of potential and is excited about the update.

Member Kutler agreed that the availability for other languages on the website is important. She also suggested not to automatically open the app when users are on their phone as she feels it is an invasion of privacy and that it is a better idea for users to opt in to use the app. Lastly, she agreed with Alternate Member Maxwell to offer a discounted fare as an incentive for passengers to ride the train. Chair Shaw suggested a discount for those passengers that purchase parking through the app to further promote the mobile app.

Alternate Member Neeraj Mathur agreed that the availability to purchase parking through the mobile app should be promoted as he was also unaware of that feature.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, shared that he likes the idea of mapping around the stations and seeing, in real time, the data of the train or connecting bus. He also agreed with Chair Shaw regarding "how to" video availability on the website to show passengers how easy it is to use the system. He also suggested the archived data and meetings continue to be available on the website.

Roland Lebrun, San Jose, via Zoom Q&A, commented on his correspondence included in the meeting's packet. He addressed the letter from the CDC, an executive order from the President of the United States. Roland stated that a lot has happened since he wrote that letter, specifically the person in charge of implementing the President's Executive Order. Roland stated that the day prior, it was reported that there are 145 operator fatalities nationwide. Roland stated that mask enforcement by operators will not work and the Feds should be the ones doing the enforcement. He then shared that there are multiple fatal flaws, with the design at Redwood City. The first one is that a train cannot operate at 110 miles an hour on the track immediately adjacent to a platform. The second point is that one of the major advantages of doing grade separation is that it makes it possible to operate trains at speeds in excess of 125 miles an hour. He then stated that the Mayor recommended moving forward that they look at Redwood junction and in his opinion, it is a Diridon waiting to happen. He said the biggest problem with the current design is the connection with Dunbarton Rail. He then commented on the Website Replacement Update. He recommended that the presentation be made available ahead of the meeting so that the public may prepare comments and feedback. He pointed out that "grand" should be spelled "grant" on pages 25-27. He stated that since the separation San Mateo County Transit District and Caltrain is imminent and hopes that Caltrain will have it have its own website. He then commented that the wheel should not be reinvented as trip planner with Google Maps exists in multiple languages. Lastly, he suggested to present this to the both the Samtrans and the SMCTA and Caltrain to have their special board meetings.

SAN FRANCISCO DOWNTOWN EXTENSION UPDATE

Sebastian Petty, Director, Caltrain Policy Development, and Anthony Simmons, Director, Systemwide Planning, presented the San Francisco Downtown Extension Update.

The full presentation can be found on caltrain.com

Sebastian Petty shared that the verbal presentation would be fairly brief and plans to come back sometime in the next few months with a further discussion of some the ongoing analysis around the DTX facility. He then introduced Anthony Simmons, the Director of system wide planning at Caltrain. Anthony Simmons continued the update.

Committee Comments:

Member Kutler asked whether the Sea Level Rise Funding is part of the funding that goes into the fundability portion. Mr. Simmons responded that they are beginning to work on a funding plan and that the first stages of that is on the Agenda for the meeting that will be held on February 19th, 2021, available online.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, recommended that everyone read his letter he copied the Board, stating that from day one, staff never considered the Transbay crossing. He shared that there is a website, link21project.com where BART and Capitol Corridor work on a new Transbay crossing coming from the Eastbay to San Francisco and will happen sooner than anyone thinks. He also recommended everyone to attend the meeting on Friday, February 19th, at 11 o'clock and to review the meeting minutes as background. Lastly, he stated that the Sea Level Rise Funding will be used when the Transbay Terminal will need to punch a hole into the Sea Wall under the YMCA building.

STAFF REPORT UPDATE

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

On-time Performance (OTP) –

- **January:** The January 2021 OTP was 86.9% compared to 95.4% for January 2020.
 - **Trespasser Debris Strike** – On January 27 there was a trespasser debris strike that caused train delays.
 - **Mechanical Delays** – In January 2021 there were 144 minutes of delay due to mechanical issues compared to 913 minutes in January 2020.
 - **Trespasser Strikes** – There was one trespasser strike on January 21, resulting in a fatality.
- **December:** The December 2020 OTP was 95.3% compared to 92.5% for December 2019.
 - **Trespasser Strikes** – There was one trespasser strike on December 8, resulting in a fatality.

Mr. Navarro advised that the first train that has been built is on its way to Colorado and left February 10th out of Salt Lake City. He then stated that since Shelter in Place began due to COVID, staff anticipated at least four to five schedule changes within the last eight months and considered the cost benefit with printing paper schedules. He said that there will be another schedule change in late March and since there is no anticipation to change the schedule for a while after that, staff may consider printing paper schedules again. Joe reviewed the On Time Performance statistics and stated that out of the 1441 trains, 217 trains were late and 123 of those trains were contributed to Capital Projects. Without the Capital Projects interfering, On Time Performance

would have been running at 94.7%. Mr. Navarro acknowledged that Caltrain is running a reduced schedule compared to last year, and that although 26% less trains are running, staff analyzes data to ensure Caltrain stays within the same realm of stability and reliability.

The full staff report may be found on caltrain.com

Committee Comments:

Vice Chair Brandt suggested placing signage and branding Caltrain on bridges that Caltrain owns to promote riding the train. He also suggested highlighting the schedule line for the station at which the passenger is at. For example, he lives in Redwood city and he would walk down to the station and the big schedule board behind the Plexiglas would have yellow highlighter tape all the way across the line of the Redwood City station information. He stated that this would make it easy for people to read the schedule.

Public comments:

Roland Lebrun, San Jose, via Zoom Q&A, thanked Mr. Navarro for the Staff Report. He then reminded everyone that the train that is currently on its way to Pueblo in Colorado was supposed to be shipped to that location last year in February, before COVID. He then stated that he understands the issues with Capital Projects impacting On Time Performance, but that it needs to be looked at further. He then commented on the Hillsdale station and stated that the way the grade separation has been designed, there is a good opportunity to put four tracks there and get rid of the island platform in the middle of the of the main line, which is supposed to be operating at 110 MPH. He then stated that after Caltrain awarded the TASI extension there were multiple public records requests of incidents between TASI employees and passengers and he noticed that there are no records before 2016 and as he recalls Mr. Navarro was hired in 2016 which means that there were no controls at that time. However, he is concerned because he did not see incidents between 2018 and the present. Lastly, he did not see the incident that nearly killed seven passengers who were trying to get off the train at the holdout station in South San Francisco. He did find an incident where allegedly a conductor assaulted a female passenger in the bathroom with the other two accomplices aiding and abetting.

Jeff Carter, Millbrae, via Zoom Q&A, agreed with Vice Chair Brandt's idea about Caltrain branding and the bridges. He then thanked Mr. Navarro regarding the location of the new train and requested to have that information published on the Caltrain website.

Joe Navarro shared that he took a trip to Salt Lake City and took a tour with the mechanical team to see the upcoming changes and there is a lot of work to be done. Mr. Navarro shared some of the changes. Currently the brakes shoes are changed daily, however with the electric cars, brakes will only be changed once every four years. Additionally, the doors will not go into a sleeve, a track inside of the wall, but will pop out and go on the outside, so it would be easier to adjust and work on the

technology, using a computer to get the information from the diagnostics to determine what is wrong. There will be horn sequencing for the grade crossing and will no longer be a manual effort on the Engineers part and will help with the horn being consistent. He also stated that automatic people counters on trains will be very beneficial and that it will also count bikes. Mr. Navarro also stated that the Apple phones are being rolled out to the conductors and hoping for feedback from them and from this group with suggestions on what information should be pushed to the public. He also stated that the CCTVs will be in every train car and will not have any dead spots. Mr. Navarro stated that the team is getting a good sense regarding maintenance and are now working on the time per task to start developing the manpower.

JPB CAC Work Plan

March 17, 2021

- Sales Tax Measure
- Grade Crossing Improvements

April 21, 2021

- EMU Testing Update
- PCEP Update

May 19, 2021

- FY 2022 JPB Operating & Capital Budgets & TASI Budget
- Industry Safe Functionality

June 16, 2021

-
-

July 21, 2021

-
-

Suggested Items:

- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- San Mateo County Climate Action Plan – requested by Member Rosalind Kutler on 10/16/19
- MTC Means-Based Discount Fare program update
- Caltrain connections with other agencies – requested by Member Rosalind Kutler on 12/18/19
- Update on grade crossing pilot six months after installation – requested by Member, Patrick Flautt on 12/18/19
- Summary video of the CAC meetings by the Social Media Officer – requested by Chair, Brian Shaw on 12/18/19

- Operating Costs – requested by Member Adrian Brandt on 2/13/20
- Rail Corridor Use Policy – requested by Member Anna Dagum on 10/21/20
- South San Francisco
- Overview of COVID19 train schedule

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

March 17, 2021 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 7:59 pm

DRAFT

- Subcommittee on Highways and Transit: Chair Eleanor Holmes Norton (D-DC); Ranking Member Rodney Davis (R-IL-13)
- Subcommittee on Railroads, Pipelines, and Hazardous Materials: Chair Donald M. Payne, Jr. (D-NJ-10); Ranking Member Rick Crawford (R-AR-1)
- Subcommittee on Water Resources and Environment: Chair Grace F. Napolitano (D-CA-32); Ranking Member David Rouzer (R-NC-7)

Grant Opportunities & Award Announcements

- **2021 High Priority Program – Innovative Technology Deployment (HP-ITD)**: \$20 million available. Applications due by March 15, 2021.
- **FY20 FAA Aviation Workforce Development Grant Program - Aircraft Pilots**: \$5 million available. Applications due by March 22, 2021.
- **Aviation Workforce Development Grant Program**: \$5 million available. Applications due by March 22, 2021.

PENINSULA CORRIDOR JOINT POWERS BOARD
RESOLUTION EXPRESSING APPRECIATION TO

DAVE PINE

FOR HIS OUTSTANDING SERVICE AS CHAIR OF THE CALTRAIN BOARD OF DIRECTORS

WHEREAS, DAVE PINE was appointed to serve as Chair of the Caltrain Board of Directors on January 9, 2020. He has been an advocate for important transportation issues and improvements, bringing a strong sense of initiative to the Board and furthering Caltrain's goal of providing quality transportation service to improve the quality of life for the communities we serve throughout the Caltrain region; and

WHEREAS, DAVE PINE found himself leading the Board through the coronavirus (COVID-19) pandemic, providing a cool demeanor and the level head necessary to combat the devastating and severe impact that this public health crisis has had on transit ridership; and

WHEREAS, DAVE PINE has been a significant part of the decision-making process related to the COVID-19 pandemic, including the endorsement of the Bay Area Healthy Transit Plan, a regional transit plan that outlines best practices for frequent cleaning, personal protective equipment, face coverings, physical distancing, ventilation, and touchless fares in order to ensure that public transit is safe for all Bay Area residents and transit employees; and

WHEREAS, DAVE PINE has been supportive of many Caltrain infrastructure projects including the Peninsula Corridor Electrification Project (PCEP), 25th Avenue Grade Separation Project and Positive Train Control (PTC); and

WHEREAS, DAVE PINE has championed the Board adopted Caltrain Business Plan and Framework for Equity, Connectivity, Recovery & Growth policy, an ongoing effort to define how Caltrain service will grow to meet the evolving needs of the region; the equity policies included in the Framework will help ensure that the rail service's recovery from the COVID-19 occurs in a way that expands access to low-income individuals and communities of color that have historically been underrepresented in the system's ridership; and

WHEREAS, DAVE PINE supported the adoption Caltrain's participation in the Clipper START program, which allows lower-income adults to receive fare discounts on select transit services around the region; Clipper START offers eligible Caltrain riders a 50% discount, which the agency recently increased following the economic fallout resulting from COVID-19; and

WHEREAS, DAVE PINE was instrumental in getting a voter-approved dedicated funding source for Caltrain for the first time in the rail agency's history; the 30-year measure will allow Caltrain to invest in the operation and expansion of faster, more frequent electrified service with added capacity necessary to accommodate expected increases in ridership demand in the decades to come; and

NOW, THEREFORE, BE IT RESOLVED that the Caltrain Board of Directors does hereby thank and commend **DAVE PINE** for his outstanding leadership as an important member of the Board of Directors. Unanimously passed and adopted this 4th day of March, 2021.

Dev Davis, Chair
Peninsula Corridor Joint Powers Board





AGENDA ITEM #7c
MARCH 4, 2021

BOARD OF DIRECTORS 2021

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

JIM HARTNETT
EXECUTIVE DIRECTOR

Memorandum

Date: February 22, 2021
To: Board of Directors
From: Jim Hartnett, Executive Director
Subject: March 4, 2021 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through February 21:** The preliminary February 2021 OTP was 93.7 percent compared to 93.5 percent for February 2020.
 - **January:** The preliminary January 2021 OTP was 86.9 percent compared to 95.4 percent for January 2020. OTP has been affected by ongoing construction activities as a result of the tightening up of train schedules on December 14. See the item below regarding the March service change.
 - **Trespasser Strikes –** There was one trespasser strike on January 21, resulting in a fatality.
- **Caltrain March 2021 Service Change –** Caltrain will be adjusting its Weekday & Weekend timetables effective Monday, March 22, 2021. The following changes will be made:
 - Modify schedules to maintain good transfer connections to BART at Millbrae Station (as BART is changing their schedule March 22, 2021)
 - Increase weekday trains from 68 to 70 to improve morning service coverage
 - Review travel times to ensure higher level of schedule reliability

- Reduce weekend service from/to Tamien

Note: The stopping patterns and overall distribution of the service will remain the same

- **Diridon Update** – As the Board knows, the JPB owns approximately three acres adjacent to Diridon Station, which is primarily used as parking lots. Concurrent with the review of Google's Downtown West Development, the City of San Jose has prepared draft Diridon Station Area Plan (DSAP) Amendments that will impact our property. The site will still be zoned for commercial uses as the City desires that commercial development be immediately adjacent to the station. However, the development standards are being revised and will allow for substantially more floor area on our site. The amended plan would limit overall new commercial development to six million square feet within the DSAP area, not including the Google Development. New commercial buildings will be subject to a housing impact fee to subsidize affordable housing in the DSAP area. The City calls for thousands of housing units in the DSAP area and has a goal that 25% of those units be affordable. The new regulations are expected to go into effect this summer.

With the new regulations and limited commercial building cap in mind, Caltrain has entered into a contract with on-call planning consultants ARUP and their sub-consultant Perkins and Will. We have hired the architectural team to develop plans consistent with the City of San Jose's General Plan, Amended DSAP, and the Diridon Integrated Station Concept Plan (DISC). The process will ensure that Caltrain is allocated its share of the commercial building cap, thereby increasing Caltrain's property value. We are coordinating closely with the City of San Jose and plan to submit a preliminary planning application this summer. According to the City of San Jose's planning application timeline, the review process will take about 14-18 months. Any real estate process would follow planning approval and be subject to Board review and direction. Staff will also keep the Board informed about this application's status and schedule Board "check-ins" for key project milestones.

- **FTA Triennial Review FY2019** – Caltrain received confirmation from the Federal Transit Administration that we have successfully closed-out the 2019 Triennial Review and have addressed the few minor deficiencies to FTA's satisfaction. Typically these close-outs occur relatively soon after the review is complete, but resource issues and COVID-19 delayed the process.
- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, February 17, via teleconference. Jeremy Lipps, Manager, Digital

Communications, provided a presentation on Website Updates. Sebastian Petty, Deputy Chief – Planning, provided an update on the San Francisco Downtown Extension. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, March 17, via teleconference or in San Carlos.

- **BAC Meeting** – The next Bicycle Advisory Committee is scheduled for Thursday, March 18, via teleconference or in San Carlos.
- **Special Event Train Service** – Caltrain is not operating special event service due to the cancellation or postponement of events as result of the COVID-19 pandemic.

Services Provided:

- **Modified Service** –The Modified Schedule was implemented during the following observed holiday:
 - Monday, February 15, 2021 – President’s Day

Services Scheduled:

- **San Jose Sharks Regular Season** – Due to the COVID-19 pandemic, the Sharks are playing the 2021 season without fans in the stands.
- **Warriors Regular Season** – Due to the COVID-19 pandemic, the Warriors are playing the 2021 season without fans in the stands.

Capital Projects –

The Capital Projects information is current as of February 12, 2021 and is subject to change between February 12 and March 4, 2021 (Board Meeting).

- **San Mateo 25th Avenue Grade Separation Project:** Raise the elevation of the alignment from Hillsdale Boulevard to south of the Highway 92 overcrossing in the city of San Mateo. The project creates a grade separation at 25th Avenue, relocates the Hillsdale Station to the north, and creates two new east-west street grade-separated connections at 28th and 31st Avenues in San Mateo.

The temporary closure of the Hillsdale Station, to allow completion of the project, began on May 16, 2020 and will continue into early Spring to allow construction of the new grade separations. During the temporary closure

trains that normally stopped at Hillsdale will stop at Belmont, and bus and shuttle service between Belmont and Hillsdale Station has been provided to minimize the temporary passenger inconvenience.

In February, construction activity is nearing the completion of the new 28th Avenue Underpass. Upon completion, the new 28th Avenue Roadway will be opened for public traffic and simultaneously a portion of 25th Avenue will be closed for the lowering of 25th Avenue roadway to provide additional vehicle height clearance. Subsequently the entirety of the 25th Avenue roadway from Palm Avenue to Delaware Street will be temporarily closed for approximately 4 months in order to complete the roadway lowering. During the closure, east-west connectivity is provided at the newly opened 28th Avenue Underpass.

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

Adjacent to this project is a new contract to relocate and improve the storm drain system along Delaware Street adjacent to the new station and new parking lots on the east side of the project. This work was to be undertaken by the City of San Mateo. This work is now being performed by Caltrain at the request of the City. Construction activities continued in February and is scheduled to complete in mid-2021. Community outreach regarding upcoming construction is ongoing.

A revised project budget and an increase in contract authority, primarily due to unforeseen utility relocation issues, were approved at the February Board meeting.

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

In February, the contractor (PMI) continued the construction of Ramp 3 (leading to West Plaza entrance) in addition to shoring for Ramp1/Stair 1 (East Side entrance on Poletti Ave.) leading to the Pedestrian Underpass. The Signal houses also arrived onsite, and the contractor has started the

connections to the new Automatic Signaling system and Pedestrian Grade Crossing. Currently, the project completion date is forecasted to extend from December 2020 until the Summer of 2021.

Due to Utility and contractor caused delays, the overall project budget and schedule impacts are being assessed. A future Board action will be requested upon completion of the assessment and coordination with applicable partner agencies.

- **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 several partial weekend service outages between Bayshore and 4th & King Stations during the outages. The project will install security fencing to deter encampments, and, also include track improvements in the vicinity of the bridges.

Construction activities performed in February include work on the concrete footings and infill walls of the Napoleon Bridge. Also, work was begun on the repairs of cracks and concrete spalling at the Marin Bridge. The contract is planned to complete in the summer of 2021.

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

The project will improve both traffic safety and traffic flow on Broadway. The Project will also provide improved and more efficient traffic movement along all the adjacent streets and intersections surrounding the crossing. Pedestrian and vehicle safety will be greatly improved by creating clear separation between pedestrians/vehicles and trains, and by eliminating the potentially dangerous conflicts presented by the current at-grade crossing. Lastly, railroad operation efficiency will also be improved as there have been

numerous accidents at the Broadway at-grade crossing, many involving vehicles stopped on the tracks. The Broadway at-grade crossing is currently ranked on the California Public Utilities Commission's Grade Separation Priority List as the top ranked crossing for grade separation in northern California and as the second highest ranked crossing in the state. The Project can: 1) help reduce emergency response times as the Caltrain corridor bisects the east and west sides of the City, 2) help to alleviate traffic queuing on Broadway, which extends east to the U.S. Highway 101 ramps, 3) reduce traffic delays at nearby intersections with California Drive, Carolan Avenue and Rollins Road, and 4) significantly improve access to the Broadway commercial district from U.S. Highway 101, which would further support economic development.

The project continues in the final design phase, that began in January 2021, to develop the issue for bid construction documents and plans for advance utility relocations and right-of-way acquisitions. The current schedule is to complete the final design for construction contract advertisement by mid-2023 and for construction to occur from early 2024 to early 2026. Advance utility relocations are expected to begin in mid-2023.

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

In early October, the first phase of the project to develop a prototype Clipper TVM has successfully completed final acceptance testing that results in completion of Phase 1. Phase 2 for the retrofitting of 12 additional TVM's continued in February with target completion of Phase 2 by early 2021. The funding for Phase 3, for the rehabilitation of an additional 22 TVM's, has now been secured and will also be added to the project. Phases 3 and 4 are not contract options, therefore a Request For Proposal is required to execute Phases 3 and 4. Additional funds for Phase 4 for another 25 TVM's are included in the FY21 Capital Budget amendment that was approved in October. Phase 4 will be added to the project when funding becomes available. Additional phases beyond Phase 4 are required to upgrade all stations.

- **Mary and Evelyn Avenue Traffic Signal Preemption Project:** Perform upgrades to train approach warning systems at the Mary Avenue and Evelyn

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

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

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

The construction contract was advertised for bids on August 31 and bids were received on October 12. The construction contract was awarded at the December 2020 board meeting. The contract has been executed and the Limited Notice to Proceed was issued on February 8, 2021 to initiate the 60-day administrative period. The Notice to Proceed with Construction is planned to be issued in April 2021 with construction lasting until Fall of 2021.

- **Churchill Avenue Grade Crossing Improvements:** This project will make pedestrian and bicycle access improvements, and, safety improvements to the Churchill Avenue crossing in the city of Palo Alto. The project scope includes the widening of the sidewalks, associated relocation of pedestrian gates, and installing new vehicle pavement markings and markers.

The project began in December 2019. The 35% design received in March 2020 is under review including the review by the City of Palo Alto. The City of Palo Alto is rethinking the scope of work for the project and is in discussion with CPUC and Caltrans to modify the scope. The City of Palo Alto's design consultant has developed a conceptual design which is being reviewed by the City. Coordination meeting have continued between staff and the City's design consultant.

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

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

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

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

- **MP-36 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul of the locomotives includes the complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and the replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP

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

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

PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: John Funghi
Chief Officer, Caltrain Modernization Program

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

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



January 2021 Monthly Progress Report

January 31, 2021

Funding Partners



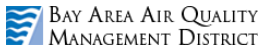
Federal Transit Administration (FTA) Core Capacity
FTA Section 5307 (Environmental / Pre Development only)
FTA Section 5307 (Electric Multiple Unit (EMU) only)



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 2022, will electrify and upgrade the performance, operating efficiency, capacity, safety, and reliability of Caltrain's commuter rail service.

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

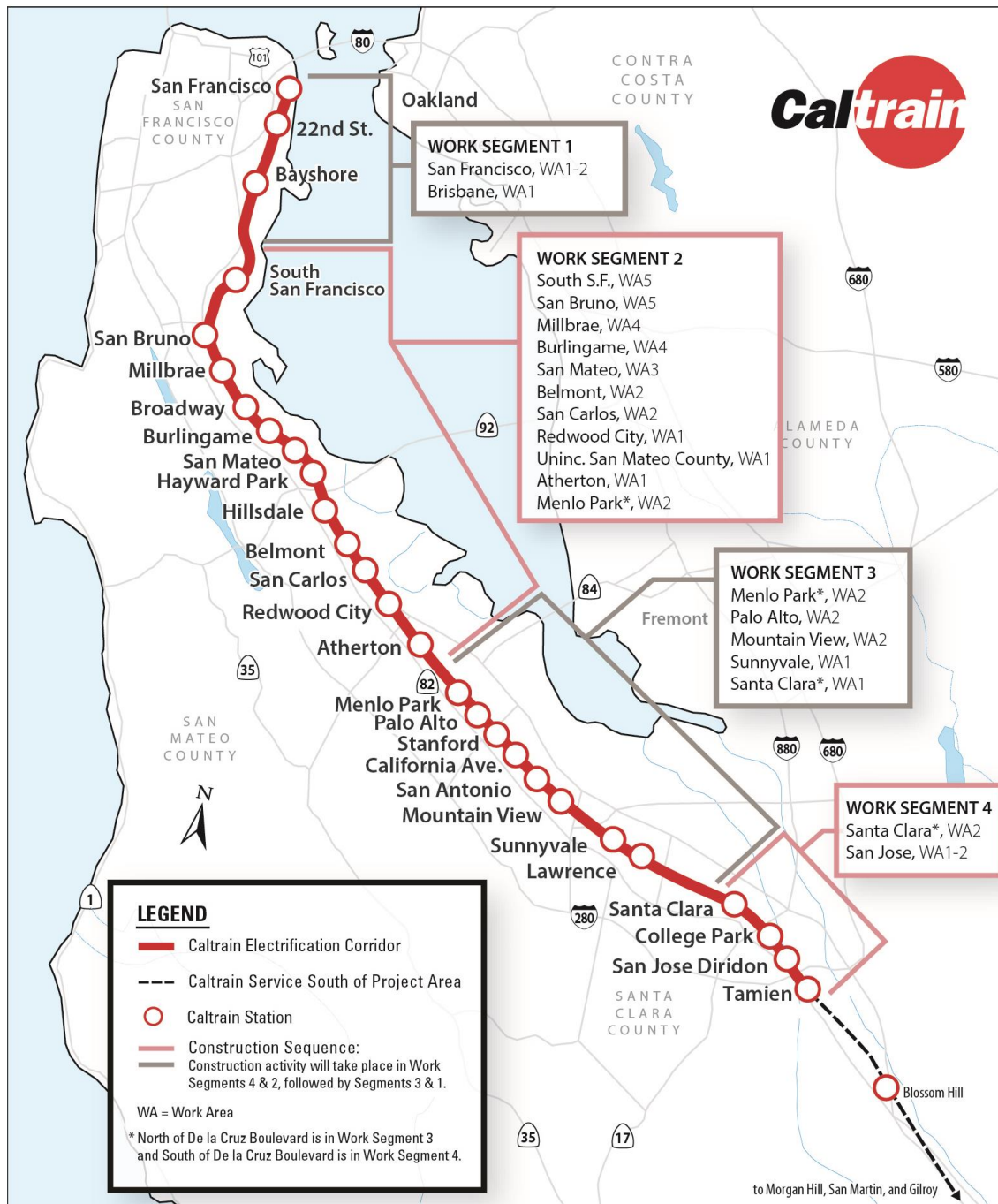
An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

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

2.0 EXECUTIVE SUMMARY

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

Figure 2-1 PCEP Work Segments



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Notable electrification work in January includes the completion of the second signal cutover in Segment 4 at Auzerais Avenue in San Jose, and setting of 25 kilovolt (kV) transformers at Paralleling Station (PS) PS-1 and PS-2. Preparations are underway for the next signal cutover in Segment 4.

EMU Train 1 type testing at Stadler Salt Lake City was completed and the train cars were prepared for shipment to TTCL in Pueblo, CO for dynamic type testing. Four additional car shells were shipped from Switzerland bringing the total to 66.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

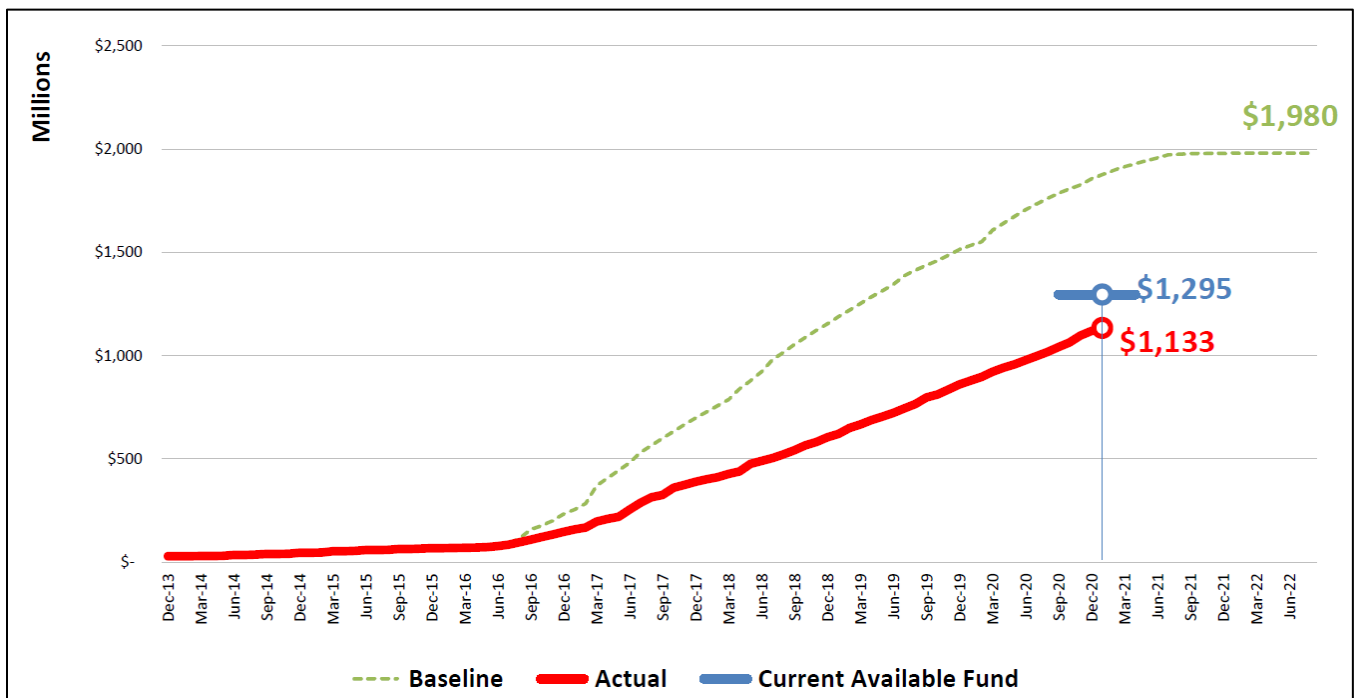


Figure 2-3 Spending Rate vs. Required

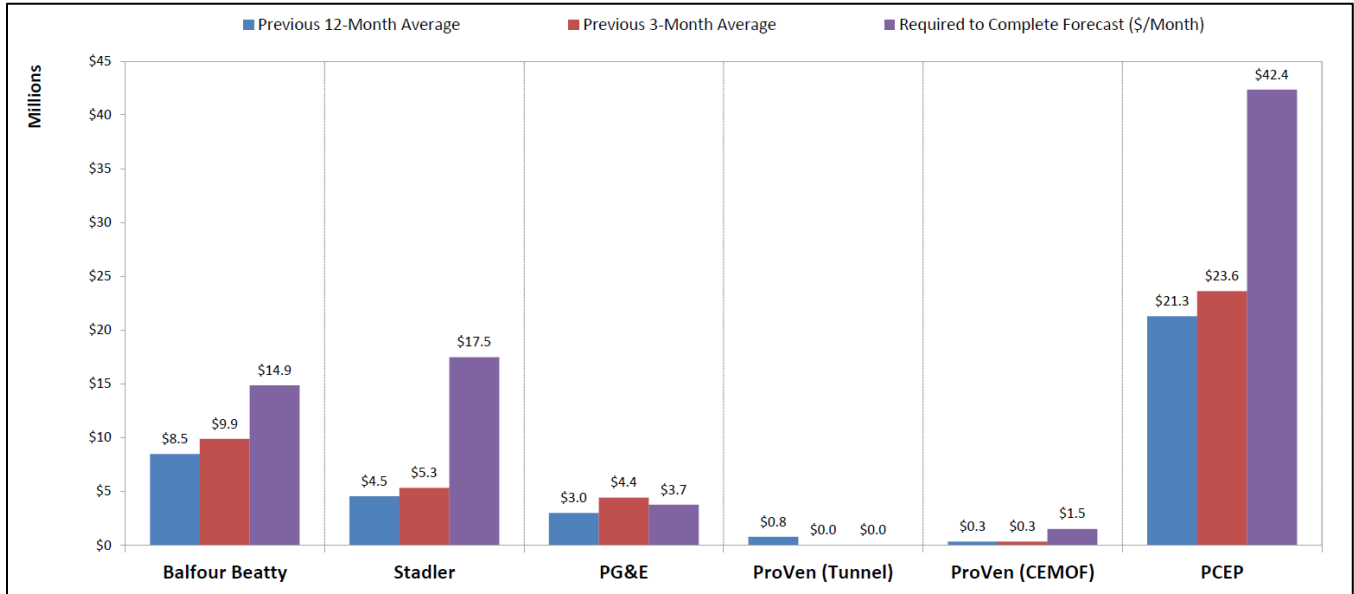
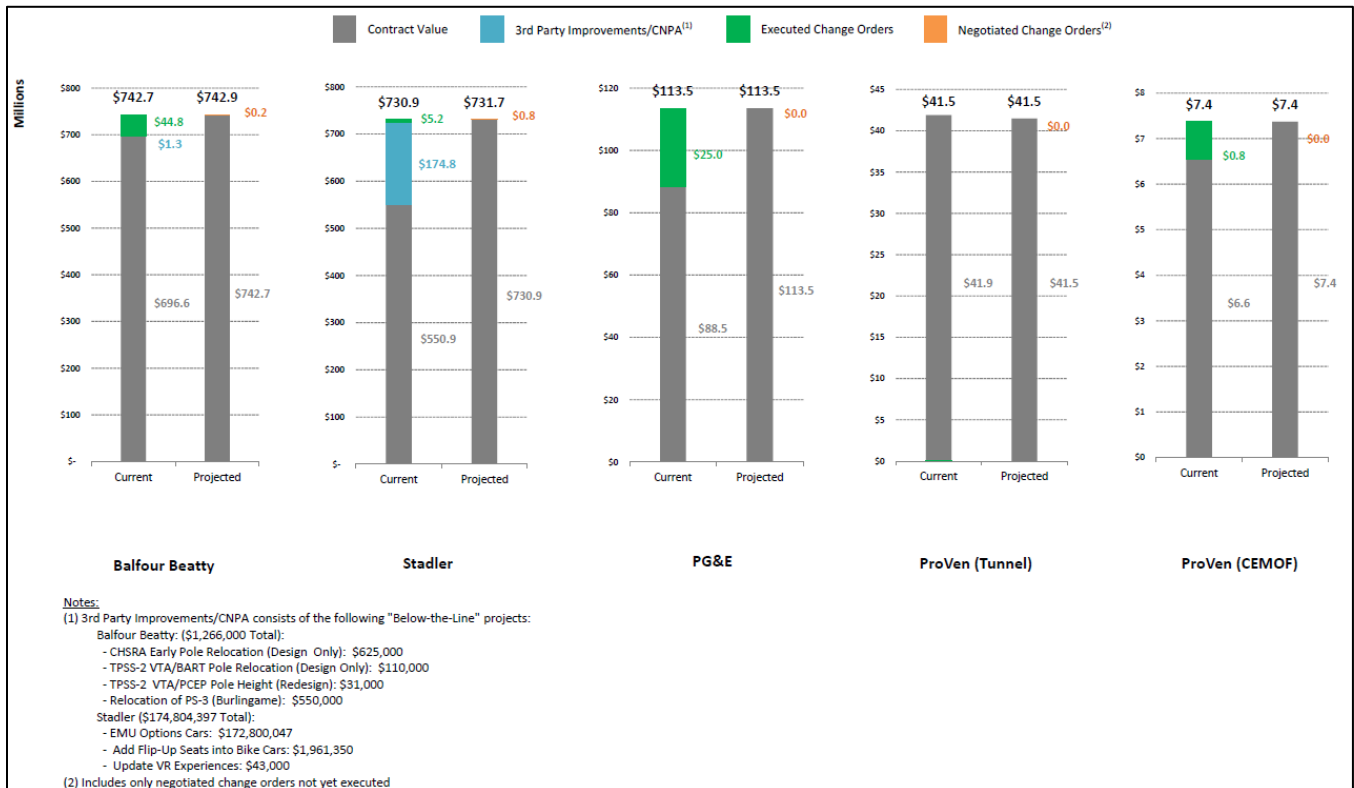


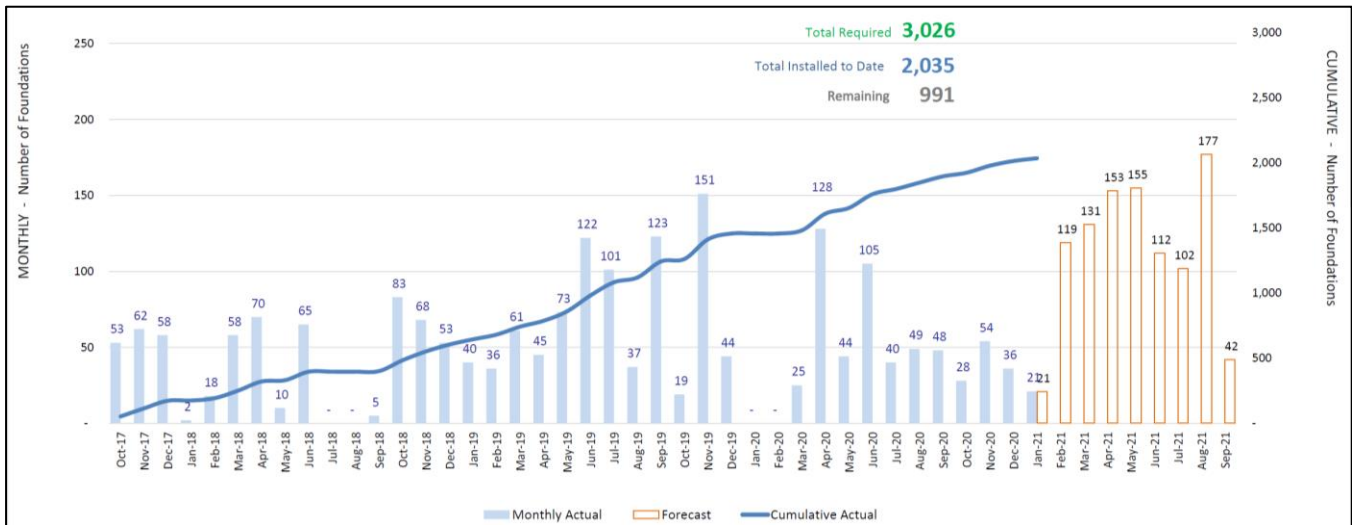
Figure 2-4 Construction Contract Budgets



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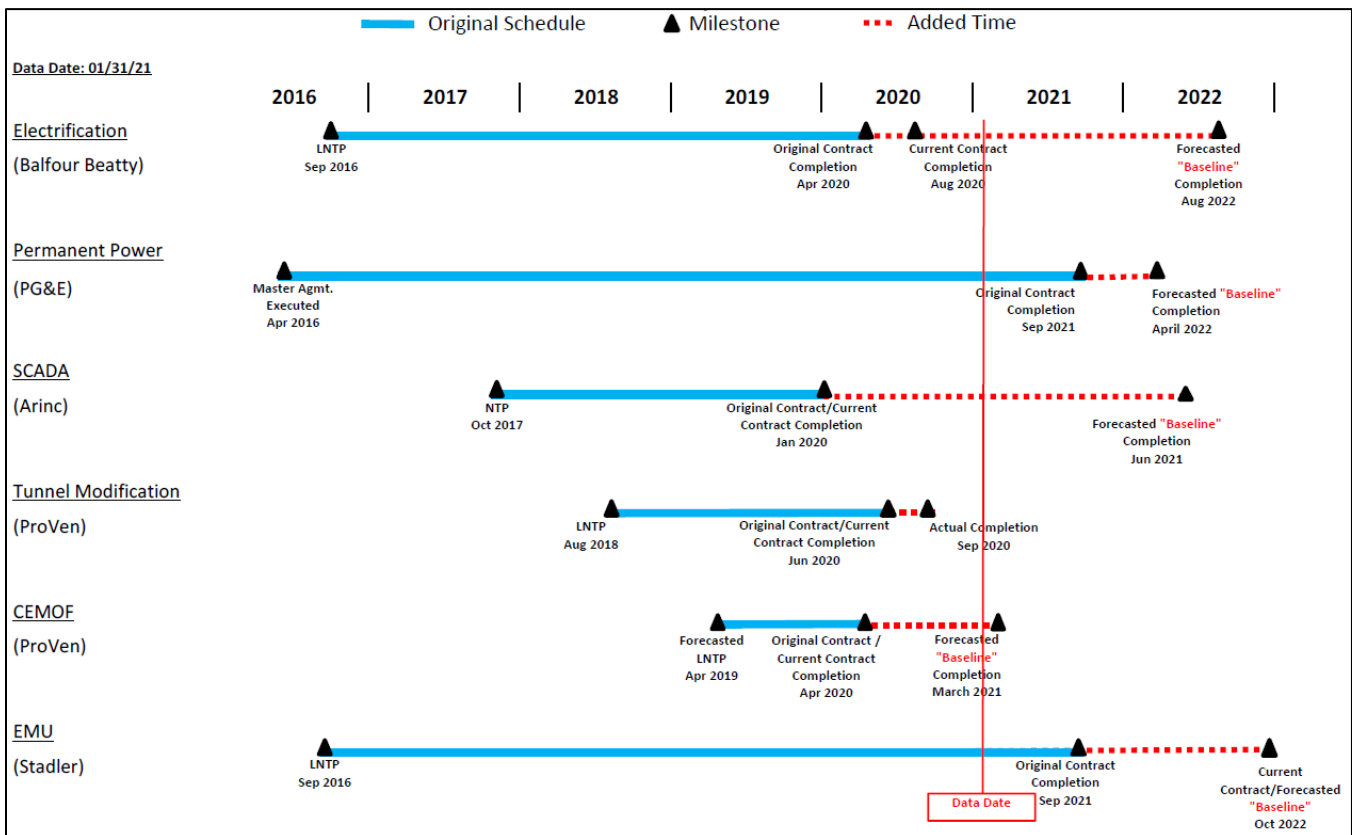
Figure 2-5 OCS Foundation Production



Notes regarding tables above:

- BBII is now reporting a delay in the completion date for the OCS foundations from May 2021 to July 2021. PCEP's own projection of BBII's productivity estimates the completion date to be in September. The monthly forecast will be revised at the end of ongoing OCS foundation workshops, which are held to determine the level of effort necessary for each of the activities prior to foundation installation. The delay to the OCS foundation completion date does not change the substantial completion date of the BBII contract.

Figure 2-6 Contractor Completion Schedule



2.2. Funding Partners Participation in PCEP

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

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

Electrification – Weekly Discipline-Specific Meetings

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

Activity this Month

OCS Foundation Meeting

Funding Partners: None

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

TPF Meeting

Funding Partners: None

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

PCEP Delivery Coordination Meeting – Bi-Weekly

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

Activity this Month

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

The Federal Transit Administration (FTA) quarterly meeting occurred virtually on January 26. The bid for the Scissor Lift Work Platforms has been awarded to Bailey Specialty Cranes and Aerials, LLC and the agreement has been routed for signatures. For EMU design, testing and manufacturing, the final design reviews will take place the first quarter of 2021. The two-passenger table testing has been completed with positive results and a report will be submitted later this month. The Centralized Equipment Maintenance and Operations Facility (CEMOF) pits are complete and foundation installation is scheduled for February. In Design Build activities, Segments 3 and 4 foundations are complete. Off-track foundations are continuing in Segment 1 until the week of January 18, and on-track foundations will resume in Segment 2 Work Areas 5, 4, and 3 during the first week of February. Poles and wires work is ongoing and scheduled to be completed by April for Segment 3 and completed in June for Segment 4. The intertie between TPS-2 and FMC was completed on January 18. Ferrera has completed the installation of the main fiber and redundant fiber at TPS-2. Cutover 2A has been completed and returned back to service January 17. JPB has received a formal letter of approval from the Federal Railroad Administration (FRA) for the test request and will be proceeding with Cutover 2B, which has been planned for the weekend of January 29. The Supervisory Control and Data Acquisition (SCADA) training plans have been received and hardware installation is projected for late May or early June.

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: CHSRA: Sharath Murthy

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

Commissioning Meeting” is the primary interface to the PCEP Design-Build Team at this time. Work to define dependencies for completion of Segment 4 (Intermediate Milestone #1) is ongoing with the Testing & Commissioning discussion. Work continues to develop a schedule fragnet for the achievement of Intermediate Milestone #1. This group will report back to the System Integration meeting group with their findings.

Master Program Schedule (MPS) Meeting – Monthly

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

Activity this Month

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

The program's critical path continues to run through the manufacturing and testing of EMU trainsets. Stadler continues to progress in EMU assembly and testing efforts below baseline productivity levels due to Coronavirus Disease 2019 (COVID-19). This remains a fluid situation as the effect of COVID-19 on Stadler's schedule during the upcoming winter months remains unknown. These delays continue to be examined for potential impact on Revenue Service Date (RSD).

The forecasted RSD remains October 10, 2022. COVID-19 impacts in previous months have resulted in a drawdown of all the remaining schedule contingency.

BBII continues to work at a low productivity rate in signal design and installation. JPB is working with BBII to improve progress on both signal system which lags behind baseline productivity level, and traction power facilities which continue to progress at a slow rate.

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

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: Luis Zurinaga, Trish Stoops

Three risks were regraded, one risk was retired, and one risk was added.

Change Management Board (CMB) – Monthly

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

Activity this Month

The CMB meeting occurred on December 2.

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

BBI Contract

One change was approved.

CEMOF Contract

No changes were identified for consideration.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration.

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

Other

No changes were identified for consideration.

2.3. Schedule

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

The forecasted RSD remains October 10, 2022. COVID-19 impacts in previous months have resulted in a drawdown of all the remaining schedule contingency.

BBII continues to work at a low productivity rate in signal design and installation. JPB is working with BBII to improve progress on both signal system which lags behind baseline productivity level, and traction power facilities which continue to progress at a slow rate.

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

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

Table 2-1 Schedule Status

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

Note:

- ¹. Dates may shift slightly in the next month's Progress Schedule update due to additional signal cutovers in Segment 4.
- ². These dates are expected to be delayed due to COVID-19 impacts on Stadler's Assembly & Testing facility in Salt Lake City.
- ^A Completed Milestone.
- ^{*} Pending mediation process resolution with BBII.

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2.4. Budget

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

Table 2-2 Budget and Expenditure Status

Description of Work	Budget (A)	Current Budget (B) 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	\$12,764,944	\$867,712,055	\$448,413,153	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$1,508,891	\$265,487,134	\$398,640,191	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$14,273,836	\$1,133,199,189	\$847,053,344	\$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

- None

Future anticipated board actions include:

- Change orders as needed

2.6. Government and Community Affairs

There were no outreach events 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 off-track foundations in Segment 1.
- Continued to clear foundations in Segment 2 Work Areas 5, 4, and 3 in preparation of upcoming on-track work.
- Continued installation of OCS poles, cantilevers, and wires in Segments 3 and 4.
- Continued regulation of OCS wires (sagging the wires) in Segment 3.
- Continued installation of shunt wires in Segment 3.
- Potholed at proposed OCS locations and utility locations in all Segments in advance of foundation installation. BBI and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued installation of 25kV transformer pad at PS-1 and set 25 kV transformer.
- Continued installation of gantry termination cabinet, AC/DC panel at PS-5.
- Continued constructing 25kV enclosure and set 25kV transformer at PS-2.
- Continued gantry and drainage installation at PS-4.
- Continued CMU wall and drainage construction at PS-6.
- Continued fence and low voltage drop installation at PS-7.
- Continued CMU wall construction and fence installation at TPS-1.
- Continue to address PG&E punch list items and low voltage drop installation at TPS-2.
- Continued to install signal ductbank, conduits, and cables in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segment 4.
- Installed ductbanks in Segment 1.
- Completed second signal cutover in Segment 4 at Auzerais.

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- Continued cable termination and staging at Control Point (CP) Bird to CP Mack.
- Performed pre-testing at CP Bird to CP Mack.
- Continued fiber optic cable installation and splicing in Segment 4 at CP Bird to CP Mack.
- Installed overhead bridge attachments at various locations in Segment 4.
- Installed poles and guard structures over I-880.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Continued Right of Way acquisition process for off-track foundation installation in Segment 1 and the TPS-1 interconnection.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued internal discussions about design, installation and testing of signal and communications modifications to the Caltrain system and schedule for cutover plans.
- Continued discussions with VTA on Right of Way acquisition for construction of TPS-2 interconnection.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Continued model validation for the single phase study.
- PG&E continued work at East Grand and FMC substations.
- PG&E continued TPS-2 Interconnection work.

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

Table 3-1 Work Progress by Segment

Segment	Work Area	Foundations			Poles		
		Required ^{abc}	Completed this Month	Completed to Date	Required ^{ab}	Completed this Month	Completed to Date
1	Tunnels	32	0	32	32	0	32
	A	303	0	0	259	0	0
	B	232	21	85	177	0	0
2	5	236	0	209	208	0	160
	4	314	0	238	253	0	190
	3	176	0	128	140	0	43
	2	247	0	78	205	0	60
	1	207	0	79	154	0	33
3	2	510	0	510	460	0	442
	1	391	0	391	311	7	294
4	A	241	0	241	180	0	136
	B	128	0	128	124	0	91
	CEMOF	96	0	0	88	0	0
Total		3,113	21	2,119	2,591	7	1,481

Note:

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

Activity Next Month

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

- Continue to install impedance bond connections.
- Continue to install bridge attachments.
- Continue to coordinate with stakeholders on the consistent warning time solution and advance location-specific design.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Coordinate with PG&E on final design and construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.
- Continue progress on Single Phase Study.
- Complete TPS-2 interconnection construction.

3.2. Supervisory Control and Data Acquisition

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

Activity This Month

- Submitted Monthly Progress Report.
- Completed updates to SCADA Operations User Manual.
- Continued work on Training Manual.
- Continued reviewing and analyzing updated points listing received from BBII.
- Made progress on pre-Factory Acceptance Test (FAT) change reviews.
- Completed FAT Lab setup.
- Completed Plate List changes;

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Complete final revisions for Operations User Manual and for three training manuals.
- Prepare and deliver proposal for Points List Changes.
- Continue progress on pre-FAT changes.
- Deliver training slide decks for Power Director and Train Dispatcher Training.

3.3. Tunnel Modification

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

Activity This Month

- Letters, submittals, and Requests for Information closeout.
- Change Order reconciliation.
- Received punch list comments from contractors.
- ProVen (PMI) installed plastic covers on the conductor rails due to water infiltration from the ceiling at Tunnel 1, 3, and 4.

Activity Next Month

- Review and respond to letters.
- Change Order reconciliation.
- PMI to submit final substantial completion.

3.4. Interconnection Construction

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

Activity This Month

- FMC – TPS-2:
 - Installed temporary netting over I-880.
 - PG&E meter enclosure punchlist walk conducted and list sent to PG&E for review.
 - Completed electrical work for Structures 03, 04, 05.
- EGS – TPS-1:
 - Received formal direction from PG&E and JPB for the new design scope for the TPS-1 site and Health Peak area.

Activity Next Month

- FMC – TPS-2:
 - Relocate main fiber optic cable at VTA site.
 - Work toward completion of PG&E meter enclosure punchlist items.

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- EGS – TPS-1:
 - Complete Transmission Structure Pole (TSP) redesign coordination with South San Francisco team, TRC and PG&E.
 - TRC to submit 60% redesign for final location.
 - PG&E construction estimated to start at EGS substation end of February.

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

- Train 1 type testing at Stadler Salt Lake City was completed and the train separated for shipment to TTCL in Pueblo, CO for dynamic type testing.
- COVID-19 related actions continued for the 11th month causing mixed disruptions to Stadler's activities:
 - Stadler's manufacturing facilities in Switzerland supporting the Caltrain Project have returned to normal levels of activity.
 - Stadler's manufacturing facility in Salt Lake City continued with two production shifts in order to limit the number of workers per car. This is due to the October 2020 outbreak of COVID-19 at that facility.
 - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
 - Salt Lake City-based manufacturing is delayed due to previously incurred and ongoing person-power limitations and sub-supplier parts shortages.
 - Stadler has submitted a request for an 'excusable delay' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, shipping the first trainset to Pueblo, Colorado for testing has been delayed almost six months to February 2021, and the first trainset to be delivered to Caltrain delayed 3.5 months to the end of June 2021.
 - Salt Lake City-based 'Type Testing' of Trainset No. 1 is progressing slowly due to COVID-19 travel restrictions. Workarounds, including Stadler obtaining emergency visas, have allowed progress in this area. Type testing began in mid-November.
 - Type testing was delayed at the end of November due to members of the test team quarantining at home per Stadler's coronavirus contact tracing protocol. Two members tested positive and completed their quarantine while the others tested negative and were able to return to work.
 - Stadler's supply chain has been disrupted by two supplier bankruptcies. This will delay delivery of trainsets. The extent of the delay is being evaluated by Stadler.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'PTC.' For train control and MDS, completion is delayed to February 2021 and must be

performed prior to the commencement of Pueblo Type Testing. For PTC, completion is anticipated in mid-2021.

- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 66 car shells have been shipped from Stadler Switzerland, with 49 onsite in Stadler's Salt Lake City facility (17 shells are in transit).
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restriction. Audits will commence when sub-suppliers reopen and travel restrictions are lifted.
- Stadler's trainset delivery and testing schedule on Caltrain property has been re-baselined.

Activity Next Month

- Continue to close out system level FDRs and FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities.
- Support type testing in SLC and at TTCL.

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

- Poured footing of new south pit, footings and stairs for Stair 71, and stairs for Stair 70.
- Removed walers and struts at fire sprinkler line.
- Installed exterior wall at Component Test Room.
- Installed PTAC sleeve at Component Test Room.
- Installed site furnishings at the Parts Storage Warehouse.

Activity Next Month

- Pour south pit walls.
- Perform megger test for the 480 Volt line for the WSP.
- Pour Stair 71 Walls.
- Re-route and re-install generator cable at Component Test Room.
- Install electrical boxes, conduit and wire at Component Test Room.
- Install remaining fire sprinkler work at Parts Storage Warehouse.
- Aerial cable conduit installation at the Parts Storage Warehouse.
- Frame insulated closet at the Parts Storage Warehouse.
- Continue with more rack installation at Parts Storage Warehouse.

5.0 SAFETY

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

Activity This Month

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Conducted 2020 monthly employee injury reviews for BBII and its subcontractors.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- 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.
- Coordinated with BBII safety and security certification and testing and commissioning staff on the planning and certification of Segment 4 Signal Cutover 2B.
- Continued to coordinate with JPB Safety and the project contractors with the application of mitigation measures in response to the evolving COVID-19 virus.
- Participated in several meetings with BBII contractors as a means to facilitate the development of safety and security documentation associated with the testing and commissioning process.
- Participated in the FTA / Caltrain – PCEP Quarterly Meeting and provided project safety updates.

Activity Next Month

- Monthly virtual safety communication meetings continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Continue contractor coordination associated with the testing and commissioning safety and security certification documentation requirements.

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- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, and CEMOF work activities to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Reinforce the ongoing application of recommended mitigation measures in response to the evolving COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.

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

- Jeff Werner replaced Steve Mahler as QA Manager on January 28, 2021.
- 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.

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	0	129
Audit Findings		
Audit Findings Issued	0	81
Audit Findings Open	0	0
Audit Findings Closed	0	81
Non-Conformances		
Non-Conformances Issued	0	13
Non-Conformances Open	1	4
Non-Conformances Closed	0	9

Activity Next Month

- Continue quality monitoring activities.

7.0 SCHEDULE

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

The forecasted RSD remains October 10, 2022. COVID-19 impacts in previous months have resulted in a drawdown of all the remaining schedule contingency.

BBII continues to work at a low productivity rate in signal design and installation. JPB is working with BBII to improve progress on both signal system which lags behind baseline productivity level, and traction power facilities which continue to progress at a slow rate.

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

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

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (January 2021) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	02/19/202
Arrival of First Vehicle at JPB	N/A	06/25/2021 ²
Segment 4 Completion	11/21/2019	06/14/2021 ¹
o Interconnection from PG&E Substation to Traction Power Substation (TPS-2)	N/A	01/29/2021 ^A
PG&E Provides Permanent Power	09/09/2021	04/15/2022
Electrification Substantial Completion	08/10/2020	08/26/2022 [*]
Acceptance of 14 th Trainset	08/20/2021	10/10/2022 ²
Revenue Service Date (RSD)	12/09/2021	10/10/2022
FFGA RSD	08/22/2022	08/22/2022

Note:

- ^{1.} Dates may shift slightly in the next month's Progress Schedule update due to additional signal cutover in segment 4.
- ^{2.} These dates are expected to be delayed due to COVID-19 impacts on Stadler's Assembly & Testing facility in Salt Lake City.
- ^A Completed Milestone.
- ^{*} Pending mediation process resolution with BBII.

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Notable Variances

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

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

Table 7-2 Critical Path Summary

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

Schedule Hold Points

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

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

Table 7-3 Schedule Hold Points

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

Note:

¹. Dates may shift slightly in the next month’s Progress Schedule update due to additional signal cutover in segment 4.

^A Completed Schedule Hold Point (SHP).

^{*} Pending mediation process resolution with BBII.

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8.0 BUDGET AND EXPENDITURES

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

Table 8-1 Electrification Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) 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	\$741,406,730	\$6,212,334	\$473,831,860	\$267,574,870	\$741,406,730
SCADA	\$0	\$3,446,917	\$0	\$1,934,371	\$1,512,546	\$3,446,917
Tunnel Modifications	\$11,029,649	\$41,469,522	\$0	\$41,298,739	\$170,783	\$41,469,522
Real Estate	\$28,503,369	\$28,503,369	\$90,987	\$23,097,535	\$5,405,834	\$28,503,369
Private Utilities	\$63,515,298	\$117,768,634	\$3,748,437	\$111,765,361	\$6,003,273	\$117,768,634
Management Oversight	\$141,506,257	\$163,537,005	\$1,295,823	\$153,047,261	\$10,489,744	\$163,537,005
Executive Management	\$7,452,866	\$9,568,427	\$30,107	\$9,151,785	\$416,642	\$9,568,427
Planning	\$7,281,997	\$6,281,997	\$13,725	\$5,923,575	\$358,422	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$6,652	\$1,466,366	\$323,297	\$1,789,663
Safety & Security	\$2,421,783	\$4,297,861	\$84,529	\$4,160,115	\$137,746	\$4,297,861
Project Management Services	\$19,807,994	\$17,526,725	\$140,628	\$13,365,553	\$4,161,172	\$17,526,725
Engineering & Construction	\$11,805,793	\$13,310,956	\$138,924	\$12,426,078	\$884,879	\$13,310,956
Electrification Eng & Mgmt	\$50,461,707	\$52,528,386	\$306,255	\$51,731,438	\$796,948	\$52,528,386
Construction Management	\$0	\$10,420,038	\$467,905	\$8,486,445	\$1,933,593	\$10,420,038
IT Support	\$312,080	\$407,170	\$0	\$400,132	\$7,038	\$407,170
Operations Support	\$1,445,867	\$3,337,383	\$13,355	\$2,973,540	\$363,843	\$3,337,383
General Support	\$4,166,577	\$6,963,434	\$22,746	\$6,649,672	\$313,762	\$6,963,434
Budget / Grants / Finance	\$1,229,345	\$1,626,354	(\$1,118)	\$1,620,350	\$6,004	\$1,626,354
Legal	\$2,445,646	\$4,993,672	\$7,716	\$4,855,539	\$138,133	\$4,993,672
Other Direct Costs	\$5,177,060	\$5,777,060	\$64,401	\$5,128,795	\$648,265	\$5,777,060
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASI Support	\$55,275,084	\$58,755,803	\$1,366,205	\$52,046,344	\$6,709,459	\$58,755,803
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,754,390	\$23,074	\$829,851	\$13,924,540	\$14,754,390
Required Projects	\$17,337,378	\$10,182,576	\$9,996	\$978,324	\$9,204,252	\$10,182,576
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$18,089	\$4,338,821	\$1,798,335	\$6,137,156
Contingency	\$276,970,649	\$124,597,709	N/A	N/A	\$35,560,499	\$35,560,499
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$89,037,210	\$89,037,210
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$12,764,944	\$867,712,055	\$448,413,153	\$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.

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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	\$556,082,829	\$770,000	\$206,728,668	\$349,354,161	\$556,082,829
CEMOF Modifications	\$1,344,000	\$7,368,343	\$165,179	\$5,866,081	\$1,502,262	\$7,368,343
Management Oversight	\$64,139,103	\$61,869,311	\$539,710	\$49,309,508	\$12,559,803	\$61,869,311
Executive Management	\$5,022,302	\$6,263,136	\$18,120	\$5,835,082	\$428,054	\$6,263,136
Community Relations	\$1,685,614	\$985,614	\$4,077	\$682,207	\$303,408	\$985,614
Safety & Security	\$556,067	\$766,796	\$12,247	\$684,722	\$82,074	\$766,796
Project Mgmt Services	\$13,275,280	\$11,275,280	\$86,191	\$8,367,636	\$2,907,644	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,411	\$65,702	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$305,058	\$23,204,546	\$6,776,467	\$29,981,014
Construction Management	\$0	\$1,501,543	\$49,834	\$1,218,529	\$283,014	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$11,485	\$716,918	\$235,172	\$952,089
Operations Support	\$1,878,589	\$781,858	\$3,347	\$400,093	\$381,765	\$781,858
General Support	\$2,599,547	\$2,934,702	\$8,363	\$2,783,957	\$150,745	\$2,934,702
Budget / Grants / Finance	\$712,123	\$1,042,274	(\$40)	\$1,036,901	\$5,374	\$1,042,274
Legal	\$1,207,500	\$1,292,752	\$2,386	\$1,244,535	\$48,217	\$1,292,752
Other Direct Costs	\$4,003,139	\$4,003,139	\$38,642	\$3,110,970	\$892,169	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$22,916	\$347,058	\$2,442,435	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$927,821	\$0	\$538,280	\$389,541	\$927,821
Finance Charges	\$1,941,800	\$3,761,482	\$11,087	\$2,659,277	\$1,102,205	\$3,761,482
Contingency	\$38,562,962	\$31,289,784	N/A	N/A	\$27,348,415	\$27,348,415
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$3,941,369	\$3,941,369
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$1,508,891	\$265,487,134	\$398,640,191	\$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.

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	\$12,764,944	\$867,712,055	\$448,413,153	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$1,508,891	\$265,487,134	\$398,640,191	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$14,273,836	\$1,133,199,189	\$847,053,344	\$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	\$941,706	\$0	\$941,706	\$0	\$941,706
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
PS-3 Relocation (FEMA, BGSP Design Coord.)	\$50,000	\$50,000	\$0	\$0	\$50,000	\$50,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$27,900	\$3,100	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$2,574,721	\$58,666,572	\$114,133,475	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
Update Virtual Reality Experience	\$43,000	\$43,000	\$43,000	\$43,000	\$0	\$43,000
CNPA TOTAL	\$176,495,397	\$176,437,103	\$2,617,721	\$60,919,853	\$115,517,250	\$176,437,103

Notes regarding tables above:

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

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

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

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

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

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

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

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

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

Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency ¹
ELECTRIFICATION		
PROV-070-CCO-037	Additional Fence	\$15,651
	ELECTRIFICATION SUBTOTAL	\$15,651
EMU		
STA-056-CCO-028	Procure Pantograph Automated Inspection System	\$790,211
	EMU SUBTOTAL	\$790,211
	PCEP TOTAL	\$805,862

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
	None		
Total			\$0

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
1/28/2021	STA-056-CCO-028	Procure Pantograph Automated Inspection System	\$790,211
Total			\$790,211

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.

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
1/27/2021	PROV-070-CCO-037	Additional Fence	\$15,651
Total			\$15,651

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.

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CEMOF Contract

Change Order Authority (10% of ProVen Contract) 10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount
	None		
Total			\$0

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

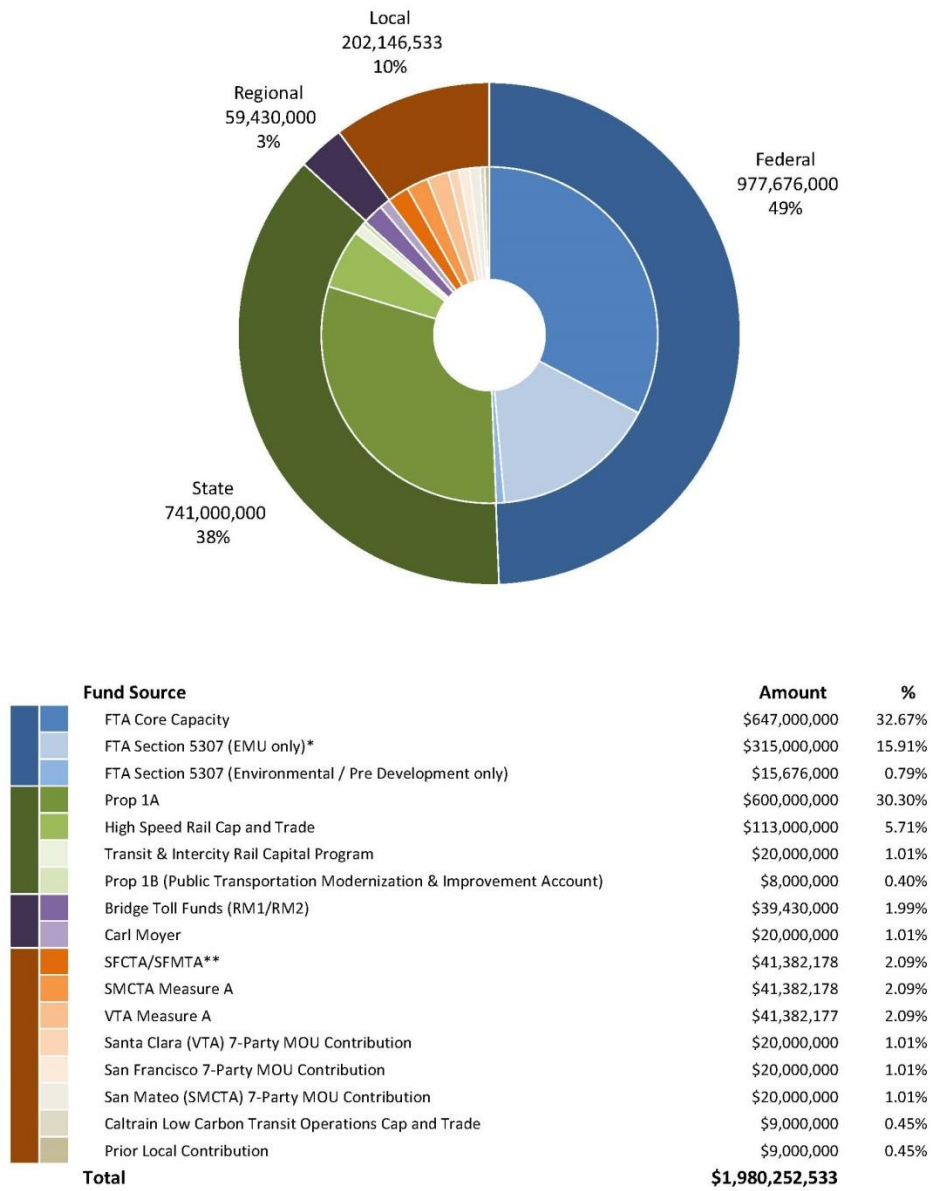
Notes:

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. As previously noted, FTA awarded \$97 million in Section 5307 funding for the project and the next \$100 million in Core Capacity funding.

Figure 10-1 Funding Plan



Notes:

*Includes necessary fund transfer with SMCTA

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

11.0 RISK MANAGEMENT

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

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

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

1. The contractor may not complete signal and communication design, installation and testing for the 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. Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.
4. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
5. Property not acquired in time for contractor to do work.
6. Additional property acquisition is necessitated by change in design.
7. TASI may not have sufficient number of signal maintainers for testing.
8. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
9. Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.
10. Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy).

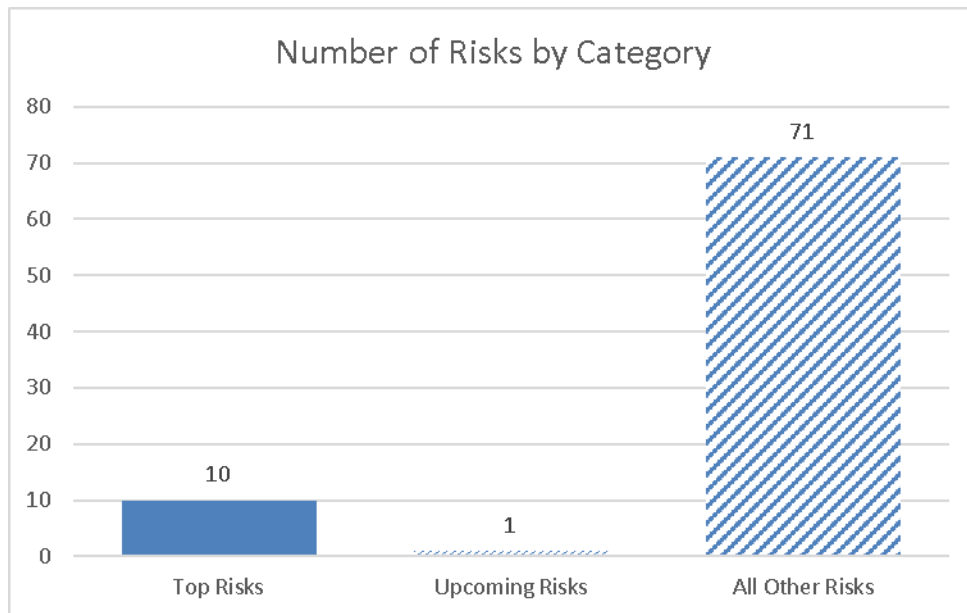
Activity This Month

- 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.
- Continued monitoring of issues on issues log for determination of new risks.
- The Risk Management team attended Project Delivery, Vehicle Design, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.
- Updated contractor-owned risks through JPB and consultant personnel.

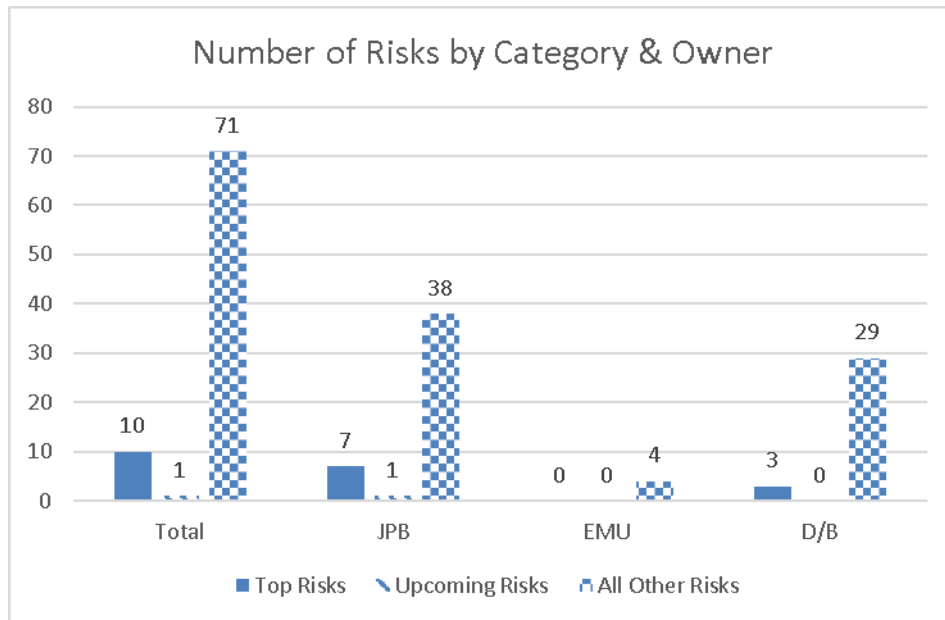
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming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

Figure 11-1 Monthly Status of Risks



Total Number of Active Risks = 82

Figure 11-2 Risk Classification



Total Number of Active Risks = 82

Activity Next Month

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

12.0 ENVIRONMENTAL

12.1. Permits

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

Activity This Month

- None

Activity Next Month

- None

12.2. Mitigation Monitoring and Reporting Program (MMRP)

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

Activity This Month

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

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

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, permanent fence installation, fiber optic cable installation, 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 will recommence on February 1, 2021 for the 2021 season.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to occur, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be installed and maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

13.0 UTILITY RELOCATION

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

Activity This Month

- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.
- Continued relocation of Comcast and AT&T Utilities in all Segments, with a focus on Segment 3 ahead of OCS wiring.

Activity Next Month

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

14.0 REAL ESTATE

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

The Project has obtained possessory rights for all but one of the parcels identified at the beginning of the project.

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

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

Activity This Month

- Staff continues to review potential new pole locations and is engaging in a system-wide review of potential ESZ needs. Staff continues to meet with the internal signal team and BBII signal team to determine potential Real Estate interests.
- Staff has agreed upon general business terms under which the design of the TPS-1 Interconnect Facility will be redesigned to reflect the owner's preference for an underground design.
- Staff presented all transaction documents and a formal offer to Universal Paragon Corporation (UPC) to allow the potential for early access onto their property, a vital site for catenary pole installation.

Activity Next Month

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

15.0 THIRD PARTY AGREEMENTS

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

Table 15-1 Third-Party Agreement Status

Type	Agreement	Third-Party	Status
Governmental Jurisdictions	Construction & Maintenance 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
		Town of Atherton	Not Needed
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	Executed
		City of Mountain View	Executed
		City of Sunnyvale	Executed
		City of Santa Clara	Executed
	County of Santa Clara	Executed	
	City of San Jose	Executed	
Condemnation Authority	San Francisco	In Process	
	San Mateo	Executed	
	Santa Clara	Executed	
Utilities	Infrastructure	PG&E	Executed
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed ²
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	In Process
	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.

16.0 GOVERNMENT AND COMMUNITY AFFAIRS

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

Presentations/Meetings

- None

Third Party/Stakeholder Actions

- Brisbane Pole and Foundation Location Drawings – Issued for Construction
- Sunnyvale Bridge Attachment Drawings – Design Change Notice 141

17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

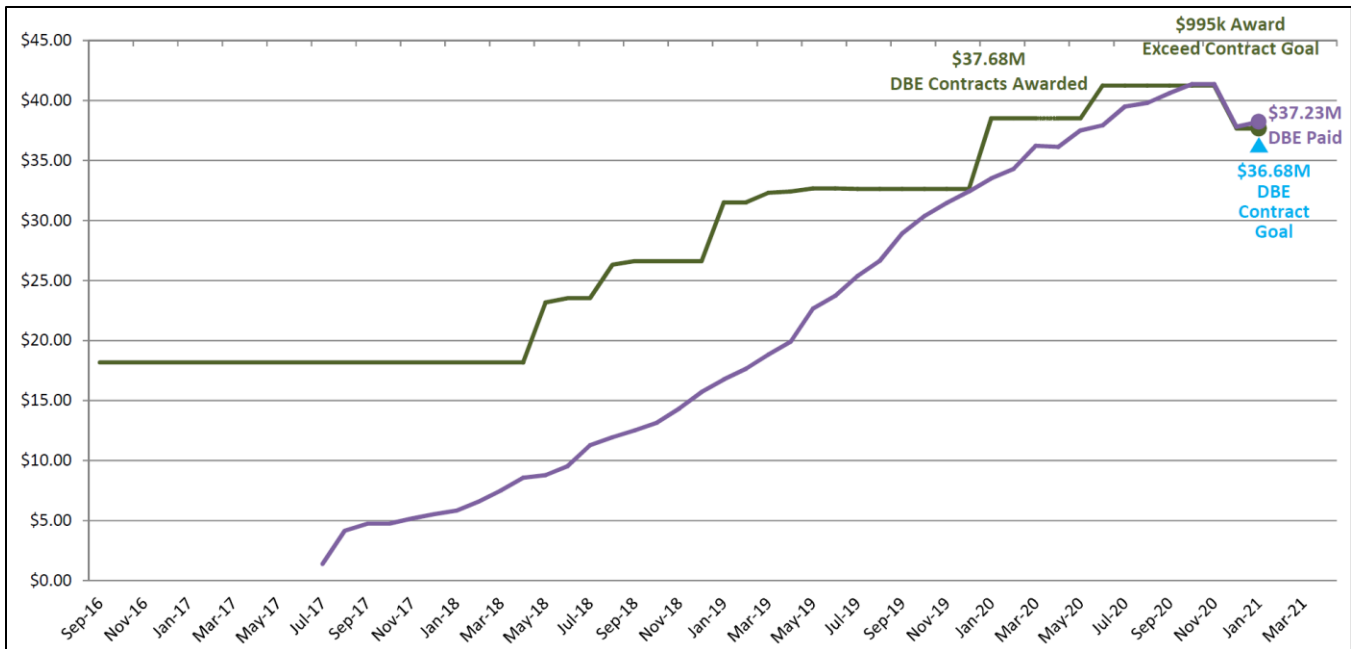
BBII proposed that 5.2% (\$36,681,279) of the DB base contract value including DBE contract change orders (\$705,409,218) would be subcontracted to DBEs.

Activity This Month

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

- **\$38,225,532** has been paid to DBE subcontractors.
- **\$37,675,908** of DBE contracts have been awarded.
- **5.42%** has been achieved.
- All reported figures are subject to verification by DBE Administrator.
- As a result of JPB’s DBE Office’s review of BBII’s DBE reports, one subcontractor was disqualified. After removing amounts paid to the disqualified subcontractor, BBII’s reported awarded and achieved amounts show a decline from previous months. These amounts and are to be verified by JPB’s DBE Administrator.

Figure 17-1 DBE Participation



Activity Next Month

BBII has proposed the following key actions:

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

18.0 PROCUREMENT

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

- None

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

- None

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

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

Contract Awards this Month:

- None

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

- Multiple WDs & POs issued to support the program needs

Upcoming Contract Awards/Contract Amendments:

- None

Upcoming IFB/RFQ/RFP to be Issued:

- None

Existing Contracts Amendments Issued:

- None

19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

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

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)

Peninsula Corridor Electrification Project
Monthly Progress Report

Date	Milestone
2018	<p>Completed all PG&E agreements</p> <p>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</p> <p>JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project</p> <p>JPB approves contract award (LNTP) to ProVen for tunnel modifications</p> <p>Issued NTP to ProVen for tunnel modifications (October)</p> <p>Amended contract with ProVen to include OCS in the tunnels (November)</p>
2019	<p>JPB approves contract award to ProVen for CEMOF modifications (February)</p> <p>JPB approves LNTP to ProVen for CEMOF modifications (April)</p> <p>JPB approves NTP to ProVen for CEMOF modifications (September)</p>
2020	<p>JPB approves agreement amendment to PG&E for interconnection construction</p> <p>JPB executes agreement with PG&E for interconnection construction (May)</p> <p>FRA approved the waiver for Alternative Vehicle Technology regarding crashworthiness of EMU cars.</p>
2021	<p>The intertie between TPS-2 and FMC was completed on January 18.</p>

APPENDICES

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Appendix A – Acronyms

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**Peninsula Corridor Electrification Project
Monthly Progress Report**

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

Peninsula Corridor Electrification Project
Monthly Progress Report

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) • Sharath Murthy (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 • Sharath Murthy (info only) 	<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 • Sharath Murthy 	<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 • Sharath Murthy 	<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 • Sharath Murthy 	<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 • Sharath Murthy 	<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	\$27,369,522	\$0	\$24,997,834	\$3,082,912	\$28,080,746
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$0	\$144,681	\$2,355,319	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,869,522	\$0	\$24,853,153	\$727,593	\$25,580,746
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$8,158,553	\$165,179	\$6,261,186	\$2,153,458	\$8,414,644
30.03 Heavy Maintenance Facility	\$1,344,000	\$8,158,553	\$165,179	\$6,261,186	\$2,153,458	\$8,414,644
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	\$258,632,656	\$3,189,319	\$212,087,957	\$51,664,492	\$263,752,449
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$10,110,000	(\$252,100)	\$7,164,400	\$2,975,600	\$10,140,000
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$97,315,387	\$1,956,089	\$106,526,144	(\$6,839,199)	\$99,686,945
40.02 Allocated Contingency	\$25,862,000	(\$0)	\$0	\$0	(\$0)	(\$0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	\$2,200,000	\$8,744,961	(\$11,410)	\$6,490,882	\$2,261,051	\$8,751,934
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$19,504,208	\$190,800	\$2,380,170	\$17,124,038	\$19,504,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$0	\$0	\$0	\$0	\$0
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$2,735,000	\$35,000	\$35,000	\$2,700,000	\$2,735,000
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$0	\$0	\$0	\$0	\$0
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$99,613,100	\$1,270,941	\$89,491,361	\$29,125,603	\$118,616,963
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$4,317,399	\$4,317,399
50 - SYSTEMS	\$504,445,419	\$504,986,928	\$7,920,205	\$246,603,973	\$280,915,767	\$527,519,741
50.01 Train control and signals	\$97,589,149	\$120,086,712	(\$141,434)	\$44,768,501	\$76,439,538	\$121,208,038
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	(\$0)	\$0	\$0	(\$0)	(\$0)
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$102,977,235	\$774,584	\$50,870,726	\$53,146,550	\$104,017,275
50.03 Allocated Contingency	\$31,755,013	\$2,990,895	\$0	\$0	\$2,028,337	\$2,028,337
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$268,126,899	\$7,133,155	\$150,752,758	\$142,594,756	\$293,347,514
50.04 Allocated Contingency	\$18,064,000	\$4,100,188	\$0	\$0	\$213,577	\$213,577
50.05 Communications	\$5,455,000	\$5,547,000	\$154,000	\$211,989	\$5,335,011	\$5,547,000
50.07 Central Control	\$2,090,298	\$0	\$0	\$0	\$0	\$0
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	\$35,675,084	\$35,675,084	\$90,987	\$21,497,346	\$15,335,874	\$36,833,220
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$90,987	\$21,363,355	\$14,469,866	\$35,833,220
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	(\$0)	(\$0)
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$133,992	\$866,008	\$1,000,000
70 - VEHICLES (96)	\$625,544,147	\$620,587,713	\$1,269,191	\$248,617,326	\$371,512,233	\$620,129,560
70.03 Commuter Rail	\$589,167,291	\$591,340,151	\$1,269,191	\$248,079,047	\$346,946,382	\$595,025,429
70.03 Allocated Contingency	\$9,472,924	\$5,415,810	\$0	\$0	\$1,272,379	\$1,272,379
70.06 Non-revenue vehicles	\$8,140,000	\$5,067,821	\$0	\$538,280	\$4,529,541	\$5,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$0	\$18,763,931	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$369,025,619	\$1,609,679	\$316,553,869	\$71,366,420	\$387,920,288
80.01 Project Development	\$130,350	\$130,350	\$0	\$289,233	(\$158,883)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$216,915,104	\$307,601	\$200,034,055	\$22,149,307	\$222,183,362
80.02 Allocated Contingency	\$1,866,000	\$190,678	\$0	\$0	\$10,147	\$10,147
80.03 Project Management for Design and Construction	\$72,029,265	\$84,477,704	\$715,841	\$83,441,017	\$19,101,919	\$102,542,936
80.03 Allocated Contingency	\$9,388,080	\$5,471,844	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$33,231,038	\$551,738	\$23,012,533	\$15,322,350	\$38,334,883
80.04 Allocated Contingency	\$19,537,000	\$10,237,847	\$0	\$0	\$5,159,428	\$5,159,428
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$8,721,371	\$30,790	\$5,145,445	\$4,683,297	\$9,828,742
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	\$3,708	\$49,735	\$3,449,046	\$3,498,781
80.08 Start up	\$1,797,957	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	\$628,000	\$628,000
Subtotal (10 - 80)	\$1,761,052,001	\$1,824,436,076	\$14,244,660	\$1,076,619,492	\$796,031,157	\$1,872,650,649
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$96,336,220	\$0	\$0	\$48,121,647	\$48,121,647
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$14,244,660	\$1,076,619,492	\$844,152,804	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$29,176	\$6,998,098	\$2,900,540	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$14,273,836	\$1,083,617,590	\$847,053,344	\$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 Usage ¹	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 - voided below on 7/31/20	\$144,370	0.41 %	\$24,232,310
12/11/2019	BBI-053-CCO-065A	Foundation Inefficiencies S2WA5	\$401,501	1.15%	\$23,830,809
12/17/2019	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - voided below on 7/31/20	\$884,500	2.54 %	\$22,946,309
1/7/2020	BBI-053-CCO-066A	Increase Quantity for Contaminated Soils (Bid Unit Price Item #1)	\$950,000	2.73 %	\$21,996,309
2/5/2020	BBI-053-CCO-023B	Insulated Rail Joints De-stressing	\$890,600	2.56 %	\$21,105,709
3/18/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - voided below on 7/9/20	\$80,000	0.23 %	\$21,025,709
3/19/2020	BBI-053-CCO-023C	Portec Insulated Rail Joints	\$375,000	1.08 %	\$20,650,709
3/26/2020	BBI-053-CCO-076	Asbestos Pipe Abatement at CP Shark	\$145,872	0.42 %	\$20,504,837
3/31/2020	BBI-053-CCO-075	Norcal Utility Potholing (FO#39)	\$98,105	0.28 %	\$20,406,733
4/21/2020	BBI-053-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780	2.01 %	\$19,704,953
4/27/2020	BBI-053-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273	2.66 %	\$18,778,680
4/27/2020	BBI-053-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258	0.14 %	\$18,731,423
4/27/2020	BBI-053-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663	0.38 %	\$18,599,759
4/29/2020	BBI-053-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128	0.39 %	\$18,464,631

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

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage 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
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) – Voided	(\$80,000)	(0.23)%	\$17,592,702
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5)	\$300,000	0.86 %	\$17,292,702
7/16/2020	BBI-053-CCO-100	Remove Tree Stump at 46.4-02	\$1,459	0.00 %	\$17,291,243
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$17,279,447
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$17,178,113
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$17,084,051
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$17,081,394
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3	\$145,892	0.42 %	\$16,935,503
7/31/2020	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only – Voided	(\$144,370)	(0.41)%	\$17,079,873
7/31/2020	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only – Voided	(\$884,500)	(2.54)%	\$17,964,373
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906	0.27 %	\$17,871,466
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794	2.59 %	\$16,967,672
9/10/2020	BBI-053-CCO-025F	OCS Shunt Wire (Construction)	\$9,500,000	0.00% ²	-
9/11/2020	BBI-053-CCO-126	Track Access Delays - 2019 Quarter 3 – OCS Foundations	\$81,223	0.23 %	\$16,886,450
9/24/2020	BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223	0.42 %	\$16,739,227
9/21/2020	BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300	0.60 %	\$16,528,927
9/21/2020	BBI-053-CCO-074	Underground Utilities Clearance	\$0	0.00 %	\$16,528,927
10/19/2020	BBI-053-CCO-072C	PCEP SIS & SPS Additional Validation Work	\$27,696	0.08 %	\$16,501,231
10/27/2020	BBI-053-CCO-105	Pole Removal at Location 30.7-01	\$2,297	0.01 %	\$16,498,935
11/30/2020	BBI-053-CCO-056	Delivery of Signal Cable	\$3,391	0.01 %	\$16,495,544
12/22/2020	BBI-053-CCO-111	Incentives Payment for 2019	\$825,000	0.00% ²	-
Total			\$46,112,170	52.64 %	\$16,495,544

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.

Peninsula Corridor Electrification Project
Monthly Progress Report

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}	-
06/26/2019	STA-056-CCO-016	Testing at TTCI (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
08/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
08/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
08/08/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
08/21/2019	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
04/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
05/06/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464
07/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % ³	\$21,637,464
09/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464
10/12/2020	STA-056-CCO-029	Multiple No Cost / No Schedule Impact Changes Group 7	\$0	0.00 %	\$21,637,464
01/28/2021	STA-056-CCO-028	Procure Pantograph Automated Inspection System	\$790,211	2.87 %	\$20,847,253
Total			\$179,987,767	24.32 %	\$20,847,253

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.

**Peninsula Corridor Electrification Project
Monthly Progress Report**

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
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
7/31/2020	PROV-070-CCO-032	Stone Masonry Fabrication at T-4S	\$26,367	0.48 %	\$5,062,364
7/31/2020	PROV-070-CCO-035	Low Overhead Obstruction at T-1N	\$18,894	0.34 %	\$5,043,470

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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
1/27/2021	PROV-070-CCO-037	Additional Fence	\$15,651	0.28 %	\$5,027,819
Total			\$479,959	8.71 %	\$5,027,819

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
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

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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 Usage¹	Remaining Authority
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656	0.10 %	\$448,595
6/3/2020	PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745	0.42 %	\$445,850
6/3/2020	PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897	0.59 %	\$441,953
6/3/2020	PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060	0.77 %	\$436,893
6/16/2020	PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307	2.18 %	\$422,586
6/16/2020	PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783	1.19 %	\$414,803
6/10/2020	PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)	(2.85)%	\$433,485
7/24/2020	PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175	0.33 %	\$431,310
7/24/2020	PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621	0.55 %	\$427,689
7/24/2020	PROV-071-CCO-035	Settlement Slab Demolition	\$479	0.07 %	\$427,210
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922	0.90 %	\$419,222
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317	1.57 %	\$408,905
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152	2.47 %	\$392,753
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233	5.53 %	\$356,520
12/17/2019	PROV-071-CCO-007	Demolition of Existing Transition Slab at North and South Pits	\$8,101	1.24 %	\$348,419
8/13/2020	PROV-071-CCO-041	Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71	\$11,015	1.68 %	\$337,404
8/14/2020	PROV-071-CCO-043	Lighting Circuit Restoration	\$2,980	0.45 %	\$334,424
8/18/2020	PROV-071-CCO-026B	Removal of Hazardous Soil from PSW Ductbank Excavation	\$6,838	1.04 %	\$327,586
8/24/2020	PROV-071-CCO-044	Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings	\$14,589	2.23 %	\$312,997
8/24/2020	PROV-071-CCO-045	Conduit Outside Component Test Room	\$6,865	1.05 %	\$306,132
9/15/2020	PROV-071-CCO-030B	Component Test Room Data and Electrical Outlets and Masonry Work	\$12,530	1.91 %	\$293,602
9/17/2020	PROV-071-CCO-042	Shallow Fire Sprinkler Line	\$162,000	0.00% ²	-
10/19/2020	PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307	3.10 %	\$273,295
10/19/2020	PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262	0.04 %	\$273,033
10/20/2020	PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770	1.03 %	\$266,263
11/30/2020	PROV-071-CCO-033B	Light Towers for Maintenance Building Yard	\$10,393	1.59 %	\$255,870
11/17/2020	PROV-071-CCO-049	Lighting at Parts Storage Warehouse	\$6,358	0.97 %	\$249,512
11/25/2020	PROV-071-CCO-050	NTP Delay – Non-Compensable Time Extension	\$0	0.00 %	\$249,512
11/19/2020	PROV-071-CCO-051	Relocation of an Existing Boosted Water Line in Conflict with South Pit Extension	\$250,000	0.00% ²	-
Total			\$817,566	61.91 %	\$249,512

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.

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AMTRAK AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	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 signal and communication design, installation and testing for the Two-speed check (2SC) modifications within budget and schedule.	Delay to integrated testing and operations/revenue service
303	Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.	<p>Extends construction of design-build contract with associated increase in project costs</p> <ul style="list-style-type: none"> • DSC design cost • Inefficiencies • Construction costs related to DSCs (i.e., larger foundations) • Additional potholing
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)
313	Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies	Contractor claims for increase in construction and design costs, and reduced production rates extending construction duration
240	<p>Property not acquired in time for contractor to do work.</p> <p>Property Acquisition not complete per contractor availability date</p> <p><>Fee</p> <p><>Easement</p> <p><>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.
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
318	Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy)	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
263	Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.	Delay in testing of EMUs. Delay in Revenue Service Date. Additional costs for Stadler and BBII due to overall schedule delays.
304	Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.	Protracted negotiations with FRA to achieve original design
011	Risks in achieving acceptable vehicle operations performance: <> software problems <> electrical system problems <> mechanical problems <> systems integration problems <> interoperability with diesel equipment Increased issues lately with vehicles regarding system integration and compatibility.	Cost increase. Delays vehicle acceptance Potential spill-over to other program elements
244	Delays to completion of Segment 4 and then the entire alignment would create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs.	Delay claims from the EMU contractor (Stadler) and expiration of the EMU 2 year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs
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
325	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase
013	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months)

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

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ID	RISK DESCRIPTION	EFFECT(S)
296	PG&E needs to complete interconnection to be sufficiently complete to accept interim power	SCC
321	Single Phase Study and interconnection agreement may be delayed preventing energization of Segment 4 for milestone 1	
329	Work for PCEP that is being constructed by other projects may not be completed in accordance with the BBII project schedule. Critical work includes: <ul style="list-style-type: none"> • Installation of signal house as part of SSF Station Project 	Delay to BBII construction progress and associated delay claims
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

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

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ID	RISK DESCRIPTION	EFFECT(S)
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
106	Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule. Multiple segments will need to be under design simultaneously. Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs.	Delay.

ID	RISK DESCRIPTION	EFFECT(S)
	Possible shortages with other specialty crafts as well.	
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.
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.

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ID	RISK DESCRIPTION	EFFECT(S)
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
292	Communications equipment, including the UPS, will not fit in the spaces allotted to communications work within the buildings.	Requisite equipment under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
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 Monitoring and Reporting

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 construction activities. Surveys for the 2020 breeding season will commenced in March 2020. On March 24, 2020, two burrowing owls were observed adjacent to the Caltrain ROW, near MP 44.6. The owls were located approximately 150 feet away from the Caltrain ROW. A 200-meter no-disturbance buffer continued to be implemented during the reporting period. Balfour was granted approval by the CDFW to drive vehicles and equipment through the buffer in order to access foundation installation locations to the North and South of the BUOW. During the first week of mobilization through the buffer, a Qualified Biological Monitor provided full-time biological monitoring to determine if the presence of vehicle travel had any impact on the BUOW. No impacts to the BUOW were observed, and the BUOW was consistently observed at the northern most potential BUOW burrow location during the monitoring effort. Due to the lack of observed impacts to the BUOW during the monitoring effort, the CDFW subsequently approved weekly spot-checks through the end of the breeding season, which are currently ongoing, and continued through August 31, 2020. No signs of distress from the</p>

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						owl were observed due to construction activities during weekly spot checks. In addition, since there is some potential for indirect impacts during the non-breeding season (September 1 through January 31), during ongoing work on the Caltrain ROW and the completion of OCS pole foundations, the CDFW approved the reduction of the disturbance buffer from 200 meters down to 75 meters. The Qualified Biologist will monitor the burrows during construction activities within 75 meters of the burrows to look for any changes in owl foraging behavior in response to construction activities. If any change in owl nesting and foraging behavior is observed because of construction activities, activities will cease within the 75-meter buffer and the CDFW will be notified to determine next steps.
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, 2019, and 2020, prior to project-related activities with the potential to impact nesting birds. No nesting bird surveys occurred during this reporting period. Nesting bird surveys will recommence on February 1, 2021 for the 2021 nesting season.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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 <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.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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	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

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
unique archaeological resources under PRC 21083.2 are present.						Report will be provided at the conclusion of construction activities.
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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						present for all exploratory trenching and subsurface testing work.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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. 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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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 describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant. During the reporting period, a certified asbestos consultant conducted exposure monitoring at PS-1 where naturally occurring asbestos was detected. Also, during the reporting period, samples of wrapped conduit at MP 46.7-12A were collected for asbestos analysis.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

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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 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.
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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Caltrain's Bicycle Access and Parking Plan.						the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16 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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
as feasible between San Jose and Bayshore.						
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.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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.

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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 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 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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
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

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						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.
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.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
CUL-1b: Minimize impacts on historic decorative tunnel material.	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-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.

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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.

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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.

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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.

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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

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						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.

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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.

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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

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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.

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as feasible between San Jose and Bayshore.						