



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

MICHELLE BOUCHARD
ACTING 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 [Assembly Bill 361](#) (Gov. Code section 54953).

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 in 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.

December 2, 2021 – Thursday

PART I OF MEETING (CALL TO ORDER): 9:00 am

1. Call to Order / Pledge of Allegiance
2. Roll Call

PART II OF MEETING (CLOSED SESSION): 9:05 am estimated

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

Revised 12/1/2021 approx. 9am

- b. Report of the Chair *(oral)* INFORMATIONAL
 - i. Appointment of Nominating Committee for 2022 Officers
- c. Report of the Transbay Joint Powers Authority (TJPA) *(oral)* INFORMATIONAL
- d. Report of the Executive Director INFORMATIONAL
 - i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – October, **including Change Management Board Process Overview** INFORMATIONAL
 - ii. Update on Effect of Public Employees' Pension Reform Act (PEPRA) on Federal Funding for Caltrain Agencies INFORMATIONAL
- ~~9. Change Management Board Process Overview *(oral)* INFORMATIONAL~~
- 9. Correspondence
- 10. Board Member Requests
- 11. Date/Time of Next Regular Meeting: Thursday, January 6, 2022, at 9:00 am via Zoom (additional location, if any, to be determined)
- 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, 2:30 pm; JPB WPLP Committee: Fourth Wednesday of the month, 3:00 pm. The 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. 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 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 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 is 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 NOVEMBER 4, 2021

MEMBERS PRESENT: C. Chavez (arrived at 8:36 am), D. Davis (Chair, arrived at 8:40 am), J. Gee, S. Heminger (Vice Chair), G. Hendricks, D. Pine, C. Stone, S. Walton, M. Zmuda

MEMBERS ABSENT: None

STAFF PRESENT: M. Bouchard, D. Hansel, J. Harrison, S. Petty, K. Yin, P. Shrestha, B. Shaw, L. Larano, D. Santoro, S. Cocke, G. Martinez, J. Ye, R. Nielsen, M. Cabezzas, R. Barnard, D. Pape, C. Fromson, D. Stewart, D. Seamans, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Vice Chair Steve Heminger called the meeting to order at 8:31 am and led the pledge of allegiance.

2. ROLL CALL

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

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. Conference with Legal Counsel – Existing Litigation pursuant to Government Code Section 54956.9(d)(1): In the Matter of Binding Arbitration, JAMS Reference No. 1100112143, *Peninsula Corridor Joint Powers Board v. Union Pacific Railroad Company*

Roland Lebrun, San Jose, commented on 3a, electrification request for proposal, undergrounding utilities, severing signaling from the PCEP contract, and Measure RR expenditure.

4. GENERAL COUNSEL REPORT – REPORT OUT FROM ABOVE CLOSED SESSION

District Secretary Dora Seamans confirmed the presence of a Board quorum.

The Board convened in closed session at 8:35 am and reconvened in regular session at 11:15 am

General Counsel James Harrison stated that there were no reportable actions.

Chair Davis stated that Item 9 (Capital Budget) would be heard before Item 7 (Governance).

5. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Roland Lebrun, San Jose, commented on indicating amounts on consent items.

Aleta Dupree, Oakland, commented on fare capping, not having to think about overpaying, and Americans with Disabilities Act (ADA) work.

Adrian Brandt, San Mateo County, commented on vaccinating contractors.

6. CONSENT CALENDAR

- a. Approve Regular Meeting Minutes of October 7, 2021 and Special Meeting Minutes of September 30, 2021
- b. Renew Resolution Finding a Proclaimed State of Emergency, Recommendation for Social Distancing, and Imminent Risks to Health and Safety from In-Person Meeting and Approve Meeting Remotely for 30 Days
- c. Receive Key Caltrain Performance Statistics – September 2021
- d. Report of the Chief Financial Officer (CFO)
- e. Accept Statement of Revenues and Expenses for the Period Ended September 30, 2021
- f. Award of Cooperative Purchasing Contract to Mansfield Oil Company to Furnish Red-Dye, Ultra Low Sulfur Diesel Fuel and Fueling Services
- g. Authorize the Executive Director to Execute an Amendment to Supplemental Agreement No. 2 with Pacific Gas and Electric (PG&E) for Construction of 115 Kilovolt Interconnections for the Peninsula Corridor Electrification Project (PCEP)
- h. Authorize an Increase in Contract Change Order Authority for the Peninsula Corridor Electrification Project's Contractor ARINC for Supervisory Control and Data Acquisition Database Changes
- i. Accept Annual Comprehensive Financial Report for the Fiscal Year Ended June 30, 2021
- j. State and Federal Legislative Update
- k. MTC/Regional Update
- l. Deferred State of Good Repair

Public Comment

Aleta Dupree, Oakland, expressed support for virtual meetings.

Jeff Carter, Millbrae, commented on virtual meetings, monthly performance statistics, indicating whether revenue decrease is due to decrease in GoPass participation, and details regarding ticket sales.

Motion/Second: Walton/Stone

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

Noes: None

Absent: None

Item 9 was taken out of order and heard before Item 7.

9. AMENDMENT OF THE CAPITAL BUDGET

Derek Hansel, Chief Financial Officer, explained that the item was to add an \$80 million reserve to support future work and was funded from the removal of previously committed funding to the operating budget from Measure RR revenue. He stated this would facilitate application to the Federal Government for a new discretionary grant program at the Federal Transit Administration (FTA), and is intended to address revenue losses related to the COVID-19.

Public Comment

Roland Lebrun, San Jose, commented on capping at \$40 million, electric multiple units (EMUs), and transit to Gilroy.

Aleta Dupree, Oakland, commented on viewing a presentation, state of good repair, ADA, and managing fares.

Motion/Second: Zmuda/Hendricks

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

Noes: None

Absent: None

7. DRAFT GOVERNANCE RECOMMENDATION FOR DISCUSSION

Michelle Bouchard, Acting Executive Director, provided an introduction noting the objectives, review of the draft straw proposal, and Board discussion. Staff is seeking Board guidance on how to proceed for either or both to continue with refinement of the current proposal with feedback received and or development of an alternate proposal.

Sebastian Petty, Director of Caltrain Policy Development, provided the presentation, which included the following:

- JPA describes the role of the managing agency
- Overview of straw proposal, affirmations and statements, and basic recommendation
- Designation of a separate permanent Caltrain Executive Director who would remain a SMCTD (San Mateo County Transit District) employee reporting exclusively to the Joint Powers Board (JPB)
- Decision to hire/fire the Executive Director would require a supermajority vote from the JPB and an affirmative vote from one member of each county
- SMCTD staff would currently support Caltrain through a shared services arrangement, which would include with multiple supporting business units billing their time to different projects/timecodes

James Harrison, Legal Counsel, provided a presentation, which included the following:

- Right of Way Repayment, Reversion with repayment, and if repayment is not made, then the terms would be void
- Implementation and Form of Agreement through a series of actions and agreements, including a JPB resolution on governance and review/agreement by the SMCTD Board

Public Comment

Jeff Carter, Millbrae, commented on moving forward with governance to re-focus on Caltrain business and past politics.

Roland Lebrun, San Jose, commented on SamTrans as the managing agency and chief executive roles.

Aleta Dupree, Oakland, commented on supporting SamTrans, not having a preference if the check says SamTrans, care about the dollar amount, and right of way repayment.

Adina Levin, Friends of Caltrain, commented on reaching an agreement to move forward with restoring ridership, funding to complete electrification, and building toward more coordinated transit service.

Don Cecil, San Mateo County Economic Development Agency (SAMCEDA), commented on giving this serious consideration and getting on with business.

The Board members had a robust discussion on the basic framework of the straw proposal and staff provided further clarification in response to Board comments and questions, which included the following:

- Managing agency agreements, defining its roles across the Board, and holding it accountable
- Where Transit America Services, Inc. (TASI) fits in the picture and who manages TASI
- Selection of Caltrain Executive Director and veto power when hiring an Executive Director
- Completing governance and getting back to running the railroad
- The agreement structured as a Memorandum of Understanding (MOU) versus something signed by all agencies
- Including a slide that indicates the interest amount owed to SamTrans
- Commitments to Measure RR
- Auditing funds allocated between SamTrans and Caltrain
- All decision making for Caltrain needs to be made by the JPB
- Committing to repayment deadline with more clarity and criteria
- Whether this agreement is consistent with Resolution 2020-42
- Heading in the right direction and continuing the work that has been done
- Having a deadline to bring something back to JPB regarding regional rail governance
- If the money gets paid back, there is a release of claims
- Shared services

The Board members had a discussion on options to move forward and how they would want staff to proceed:

- Based on feedback from Board Members, in conjunction with general managers and other agency stakeholders, staff will bring back revisions to the straw proposal
- Alignment with the intent of Resolution 2020-42
- Auditor follow up on JPB funding information
- Work on interest calculation
- Provide specific numbered options in areas where Board consensus has not yet been reached

8. REPORTS

a. Report of the Citizens Advisory Committee (CAC)

Brian Shaw, CAC Chair, reported on the comments and participation at last month's meeting and noted there were no pressing matters today.

b. Report of the Chair - Chair Davis noted that the video for the October 22 Special Meeting on regional governance is available online.

- i. Appointment of Nominating Committee for 2022 Officers** – Chair Davis deferred this item to the next meeting, asked for those interested in serving to contact her, and noted that there is usually a representative from each county.

c. Report of the Local Policy Maker Group (LPMG)

Director Jeff Gee reported that they received a presentation on electrification (PCEP) and an update on High-Speed Rail.

d. Report of the Transbay Joint Powers Authority (TJPA)

Director Jeff Gee reported that they were able to request entry into the new START program.

e. Report of the Executive Director

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

Michelle Bouchard, Acting Executive Director, introduced Mr. Shrestha for the electrification update.

Pranaya Shrestha, CalMod Chief Officer, provided updates on long term service and projected regional growth.

Stacy Cocke, Deputy Director, Program Management & Environment Compliance, provided updates regarding the following:

- Signal system and locations overview and gate activation system
- Two Speed Check Implementation
- Segment 4 completed and status of remaining segments with city/county coordination
- Crossing optimization (wireless) solution

Public Comment

Roland Lebrun, San Jose, commented on speed check staff and duct banks.

Aleta Dupree, Oakland, commented on presenting more foundations.

Adrian Brandt, San Mateo County, commented on dual speed check, seeing graphically speed versus warning time, and gate down time.

Paul Wendt, Belmont, commented on SamTrans managing the rail corridor well.

10. CORRESPONDENCE

Correspondence was available online.

11. BOARD MEMBER REQUESTS

Director Zmuda requested the Change Management Board (CMB) presentation in December.

12. DATE/TIME OF NEXT REGULAR MEETING:

Thursday, December 2, 2021, at 9:00 am via Zoom (additional location, if any, to be determined).

13. ADJOURN

The meeting adjourned at 1:13 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
Board of Directors Meeting
1250 San Carlos Avenue, San Carlos CA**

**DRAFT MINUTES OF OCTOBER 22, 2021
SPECIAL MEETING #6 - GOVERNANCE**

MEMBERS PRESENT: C. Chavez, D. Davis (Chair), J. Gee, G. Hendricks, S. Heminger (Vice Chair), D. Pine, C. Stone, M. Zmuda

MEMBERS ABSENT: S. Walton

STAFF PRESENT: M. Bouchard, D. Hansel, S. Petty, J. Harrison, C. Fromson, S. Petty, H. Husain, H. Permut, M. Jones, K. Miller, R. Amin, D. Seamans, S. Wong

1. CALL TO ORDER/ROLL CALL

Chair Dev Davis called the meeting to order at 1:01 pm.

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

2. CALTRAIN GOVERNANCE SPECIAL MEETING #5 (INCLUDING GOVERNANCE PROCESS UPDATES; RE-CAP AND REFINEMENT OF SELF-DIRECTED OPTIONS; APPROACH TO DEVELOPING A GOVERNANCE RECOMMENDATION; AND NEXT STEPS)

Chair Davis introduced the purpose of this meeting and the request from the previous meeting for a draft straw proposal recommendation.

Michelle Bouchard, Acting Executive Director, provided a presentation and discussed the status update on the straw proposal, ongoing productive discussions, and the materials for the Board for its November regular meeting.

Sebastian Petty, Deputy Chief of Planning, provided a presentation and discussed the objectives for Special Meeting #6 and Caltrain's interest in a regional system.

Ratna Amin, Regional Governance Consultant, provided a presentation, which included the following:

- The concept of regional conversation, no single "owner" of the regional conversation, and why it is important to Caltrain
- Many different areas of focus (coordination, delivery of capital projects, etc.)
- Many approaches and potential end states for regional coordination
- History of Bay Area Regional Transit change and Caltrain structural challenges

Public Comment

Vaughn commented on roads and interstate highways construction compared to rail construction.

Roland Lebrun, San Jose, commented on commuting patterns in the Bay Area, approach to regional governance, and replacing a bus agency with a regional rail agency.

Mark Roest, San Mateo, commented on possible areas of coverage spreading from the main line for people to move quickly from one place to another.

Adrian Brandt, San Mateo County, commented on transit landscape, travel demands in comparison to automobiles, and travel demand not caring about city boundaries.

Adina Levin, Friends of Caltrain, commented on climate change and challenges of regional coordination.

Ian Griffith, Seamless Bay Area, commented on highway system planning at the regional and state level and having a regional system for a competitive rail network.

Kieran Farr, San Francisco, commented on not having to understand a system in order to travel it and regional cooperation.

Marlene Santoyo, Newark, commented on multiple transfers when commuting, better regional coordination, and more effective capital projects.

Davis Turner, Burlingame, commented on goals with Caltrain, the downtown extension to San Francisco, free transfers, needing a regional manager, equitable transit system, and competing with automobiles.

Katie Miller, Facilitator, presented the following Board discussion options:

- The importance of Caltrain engaging in regional discussions
- Structural issues addressed through a regional governance mechanism
- Concerns about regionalized governance

The Board members had a discussion on Caltrain's regional conversation, which included the following:

- Success criteria for regional governance and participating and engaging in large regional discussions with all fixed rail and transit properties together, not separate
- Self-directed governance needs to position Caltrain for regional governance
- Focusing on solutions for transit hotspots and the cause of delays for major capital projects
- Railroads versus bus system investment as a regional institution
- Having fewer railroads or sharing more functions together and finding regional allies
- Local service at the expense of regional service
- Having frequent trips closer to home and more people staying closer to home more often

- Benefits for being part of a larger body and aspirational goals of being part of a larger organization
- Larger organizations taking longer to reach decisions and being less nimble
- Concern that Measure RR funds at successor agencies will not be spent on Caltrain concerns
- Ensuring that funds are spent on what was intended by the voters and how to unwind the different colors of money will be complicated
- The positives of regional discussions include fare and schedule integration and regional approaches to construction projects
- Get expenditures totals for each of the agencies (slide 21) for Caltrain, "other operating/subsidies" and denote what source of funds are for better understanding
- Caltrain has its own independent auditor and can help provide better understanding on investments between SamTrans and Caltrain
- Future service connections in between Bart and Caltrain and that there are currently two counties not within BART's service area.

Sebastian Petty, Deputy Chief of Planning, provided a presentation, which included the following:

- Active and emerging regional initiatives and discussions
- Staff's regular regional updates to the JPB
- Clipper 2.0 - next generation payment system - release estimated summer 2023
- Link21 Program (between Oakland and San Francisco) part of Plan Bay Area
- Other Regional Governance Discussions (BART-Caltrain "merger" potential)

Melissa Jones, Deputy Director Caltrain Policy Development, provided a presentation, which included the following:

- Regional Fare Coordination & Integration Study
- Blue Ribbon Transit Recovery Task Force – Regional Transit Transformation Action Plan
- The next regional effort led by MTC (Metropolitan Transportation Commission) is the Transit Network Management Business Case and looking at different options for a transit network manager
- Bay Area Regional Rail Partnerships - Project Delivery & Governance
- MTC Resolution 3434 Update - Megaproject Advancement Policy replaced with Plan Bay Area) between 2035-2050

The Board members had a discussion and staff provided further clarification in response to the Board comments and questions regarding:

- Progress on the Transit Network Management Business case
- Link21 description and Regional Rail Partnership scope and Caltrain participation
- The Board should have input on the scope of both items before they are finalized
- Indicating when projects began and how they interconnect
- Conversations at the Board level to scope out mutual engagement of issues between regions

Public Comment

Mark Roest, San Mateo, commented on creating connectivity between a heavy rail system and all other locations in the Bay Area and having a bicycle friendly system.

Roland Lebrun, San Jose, commented on Caltrain staff, merging, administration contract renewal and Link21.

Tessa Woodmansee commented on electrification to Gilroy, diesel issues, fossil fuel bus going to Gilroy and electrification.

Vaughn Wolffe, Pleasanton, commented on road and rail projects, and roads copied the rail links that were there before them.

Don Cecil, San Francisco, commented on fare integration, regional options, and Board participation.

Ian Griffith, Seamless Bay Area, commented on integrating service schedules, fares, branding with BART, evaluating governance change, and looking at regional buses.

Adrian Brandt, San Mateo County, commented on seamless transit, best practices, and emulating successful systems.

Gerald Cauthen commented on a concerted effort and not making this complex.

Adina Levin, Friends of Caltrain, commented on serving public interest in fares, branding, and capital projects, and having an all-agency transit pass.

Calvin Quick, San Francisco, commented on encouraging riders throughout multiple agencies.

Michelle Bouchard, Acting Executive Director, noted that there was a lot of ongoing regional discussion influencing multiple systems. She stated they would receive guidance from the Board to determine which tables Caltrain should be at and how to drive the outcomes based on the 2040 Service Vision Plan and expanding accountability to riders.

Katie Miller, Facilitator, provided the following topics for Board Discussion:

- Regional Processes that may be of interest
- Regional outcomes they would like to see for Caltrain

The Board members had a discussion, which included the following:

- Separating coordination efforts from governance changes
- Presenting benefits and financial implications and how they relate to long term system sustainability
- How much money is distributed to agencies for projects
- Megaproject participation

- The degree of involvement in these initiatives and the scale of resource commitment that needs to be parsed out
- Capabilities for follow through
- Financial sustainability and equity coming with a cost
- Cost estimate for Link21
- Cost of a different governance structure, convenience and benefit to the public
- Being involved in long term coordination
- Staffing capacity to manage all internal and external demands
- Caltrain having a dedicated Executive Director going forward (formalized and recognized) having a bearing on regional discussions
- The current Executive Director's involvement in regional activities

Katie Miller, Facilitator, provided the following topics for Board Discussion:

- Should the 2021 JPB recommendation address the potential for regional governance change
- Initial thoughts on how to frame a recommendation

The Board members had a discussion on above questions, which included the following:

- Regional coordination is important, and it makes sense for rail operators to drive this discussion and coordination, as we have fixed stations and schedules that are less flexible than other modes
- Continuing ongoing discussions with BART and branch into fare and branding alignment
- Self-directed governance option not precluding a regional change
- Regional talks do not need to be lengthy and there is no need to wait to get better at seamless coordination
- Specifying the recommendation and focusing on self-direction with strong oversight on the executive director
- Wayfinding and signage improvements
- Roles in talks and initiatives
- Whatever is decided does not preclude the governance conversation
- Potentially considering a resolution at the December Board meeting

Sebastian Petty, Deputy Chief of Planning, noted that this was the last special governance meeting with draft language to be provided at the regular Board meeting on November 4th for Board consideration. If there is consensus forming for potential action, then the Board may consider something at its December meeting.

3. ADJOURN

The meeting adjourned at 3:54 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: Peninsula Corridor Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: James C. Harrison, General Counsel

SUBJECT: **RENEW RESOLUTION FINDING A PROCLAIMED STATE OF EMERGENCY,
RECOMMENDATION FOR SOCIAL DISTANCING, AND IMMINENT RISKS TO
HEALTH AND SAFETY FROM IN-PERSON MEETING AND APPROVE MEETING
REMOTELY FOR 30 DAYS**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff recommends that the Board renew its November 4, 2021 resolution, Resolution 2021-57:

1. Finding that 1) there is a proclaimed state of emergency in California 2) that local public health officials have recommended measures for social distancing and 3) that meeting in person would pose imminent risk to the health and safety of attendees.
2. Approving meeting remotely via teleconference for the next 30 days, pursuant to AB 361 (Government Code Section 54953).

SIGNIFICANCE

On March 4, 2020, Governor Gavin Newsom declared a state of emergency, and issued subsequent executive orders suspending certain provisions of the Ralph M. Brown Act (the Brown Act) to allow local government agencies to meet remotely during the COVID-19 pandemic. His most recent executive order suspending provisions of the Act expired at the end of September; before its expiration, Governor Newsom signed Assembly Bill 361 (AB 361) into law on September 16, 2021, amending the Brown Act to permit local agencies to continue to use teleconferencing under certain conditions during a state of emergency.

AB 361 allows local agencies to make an initial determination to hold open meetings via teleconferencing when there is a proclaimed state of emergency and one of the following criteria described in Section 54953(e)(1) of the Brown Act, as amended, is met:

- A. State or local officials have imposed or recommended social distancing.
- B. The local agency holds a meeting for the purposes of determining by majority vote if meeting in person would pose imminent health and safety risks to attendees.
- C. The local agency holds a meeting after having determined by majority vote, as a result of the emergency, meeting in person would pose imminent risks to the health or safety of attendees.

On October 7, 2021, the Board adopted Resolution 2021-52, finding that there was a proclaimed state of emergency in California, that local public health officials had recommended measures for social distancing, and that meeting in person would pose imminent risk to the health and safety of attendees. The Board therefore approved meeting remotely via teleconference for the next 30 days for all Advisory, Committee, Special, and Regular meetings of the JPB. The Board renewed this resolution, adopting Resolution 2021-57 on November 4, 2021.

In order to continue to hold meetings under AB 361, the Board must make the following findings by majority vote every 30 days: 1) the Board has reconsidered the circumstances of the emergency; *and* 2) the state of emergency continues to directly impact the ability of the members to safely meet in person, or state or local officials continue to impose or recommend social distancing.

Transmission in the three JPB member counties ranges from moderate to substantial according to CDC metrics and local and state health officials continue to recommend social distancing as a measure to prevent the spread of COVID-19. Given these conditions, staff recommend that the Board renew the resolution for Advisory, Committee, Regular and Special meetings to be conducted via teleconference for the next 30 days following this December 2, 2021 meeting pursuant to Government Code section 54953(e)(3).

BUDGET IMPACT

There is no budget impact associated with receiving this report.

BACKGROUND

The California Department of Public Health continues to refer California residents to guidance from the Center for Disease Control (CDC) on to prevent the spread of COVID-19. The CDC recommends social distancing as a way for individuals to protect themselves and others from infection with COVID-19.

Similarly, the San Mateo County Health Officer has advised that San Mateo County residents should continue to follow the recommendations of the CDC. According to the City and County of San Francisco public health guidance, its guidelines will align with those of the CDC (except when local conditions require more restrictive measures). Following the amendments to the Brown Act described above, on September 21, 2021 the County of Santa Clara Public Health Officer issued a Recommendation Regarding

Continued Remote Public Meetings of Governmental Entities that public bodies continue to meet remotely to the extent possible.

Prepared by James C. Harrison, General Counsel, Olson Remcho LLP

RESOLUTION NO. 2021-

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

* * *

RENEWING RESOLUTION ADOPTING FINDINGS THAT THERE IS A PROCLAIMED STATE OF EMERGENCY AND THAT MEETING IN PERSON POSES IMMINENT HEALTH AND SAFETY RISKS TO ATTENDEES AND AUTHORIZING REMOTE TELECONFERENCE MEETINGS FOR THE PENINSULA CORRIDOR JOINT POWERS BOARD AND COMMITTEES FOR THE PERIOD OF DECEMBER 2, 2021 TO JANUARY 1, 2022

WHEREAS, on March 4, 2020, Governor Gavin Newsom declared a State of Emergency in the State of California; and

WHEREAS, the Brown Act, Government Code section 54953(e), was amended on September 16, 2021 to make provision for remote teleconferencing participation in meetings by members of a legislative body, without compliance with the requirements of Government Code section 54953(b)(3), subject to the existence of certain conditions; and

WHEREAS, the Board of Directors previously adopted Resolution, 2021- 52 on October 7, 2021, finding that the requisite conditions exist for the Peninsula Corridor Joint Powers Board to conduct remote teleconference meetings without compliance with paragraph (3) of subdivision (b) of section 54953; and

WHEREAS, the Board of Directors renewed this finding on November 4, 2021, through the adoption of Resolution, 2021- 57; and

WHEREAS, as a condition of extending the use of the provisions found in section 54953(e), the Board of Directors must reconsider the circumstances of the state of emergency, and the Board of Directors has done so; and

WHEREAS San Mateo County, Santa Clara, and San Francisco County public health officials continue to recommend measures to promote social distancing

including following the guidance of the Center for Disease Control which recommends social distancing; and

WHEREAS the rates of transmission of COVID-19 and variants in San Mateo County have recently increased and continue to pose imminent risks for health of attendees at indoor gatherings involving individuals from outside the same household; and

WHEREAS to help protect against the spread of COVID-19 and variants, and to protect the health and safety of the public, the Board of Directors wishes to take the actions necessary to comply with the Brown Act, as amended and to continue to hold its Board, Committee, and Advisory Committee meetings remotely via teleconference; and

WHEREAS the Board of Directors will continue to give notice of the meeting and post agendas as otherwise required by the Brown Act and allow members of the public to access the meeting and give ample opportunity for public comment; and

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors hereby finds that pursuant to the Governor's State of Emergency Declaration, issued on March 4, 2020, there is a proclaimed State of Emergency in the State of California; and

BE IT FURTHER RESOLVED that the Board finds that local officials continue to recommend measures to promote social distancing and meeting in person in the next 30 days would pose imminent health and safety risks to attendees; and

BE IT FURTHER RESOLVED that the Board approves meeting via teleconference for all Regular and Special Board, Committee, and Advisory Committee Meetings of the JPB for the 30 days following this resolution, in accordance with Government Code section 54953(e) and other applicable provisions of the Brown Act.

Regularly passed and adopted this 2nd day of December 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: Michelle Bouchard
Acting Executive Director

FROM: Joe Navarro
Deputy Chief, Rail Operations

SUBJECT: **RECEIVE CALTRAIN KEY PERFORMANCE STATISTICS – OCTOBER 2021**

- Finance Committee Recommendation
- Work Program-Legislative-Planning
- Staff Coordinating Council Reviewed
- Staff Coordinating Council Recommendation

ACTION

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

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

October 2021

	FY2020	FY2021	FY2022	FY21 to FY22 % Change
Total Ridership	1,726,436	103,686*	319,258	207.9%
Average Weekday Ridership	70,360	3,873*	11,673	201.4%
Total Farebox Revenue	\$ 9,345,986	\$ 3,036,896	\$ 2,752,867	-9.4%
On-time Performance	93.3%	97.4%	93.8%	-3.7%
Average Weekday Caltrain Shuttle Ridership	9,469	1,098	278	-74.7%

Fiscal Year to Date

	FY2020	FY2021	FY2022	FY21 to FY22 % Change
Total Ridership	6,687,275	379,413*	1,129,620	197.7%
Average Weekday Ridership	56,959	3,616*	10,343	186.0%
Total Farebox Revenue	\$ 36,615,652	\$ 11,945,545	\$ 9,825,599	-17.7%
On-time Performance	93.5%	96.8%	94.0%	-2.9%
Average Weekday Caltrain Shuttle Ridership	8,899	1,086	248	-77.2%

* Adjusted after thorough review of data from past Fiscal Years

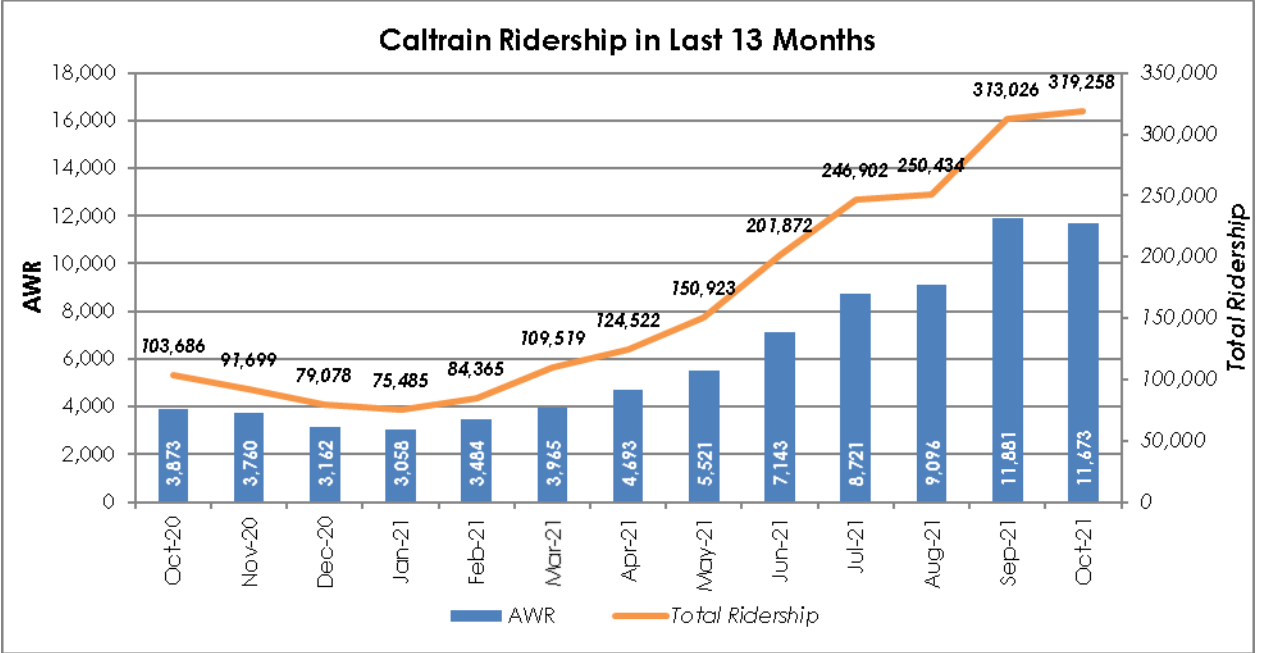
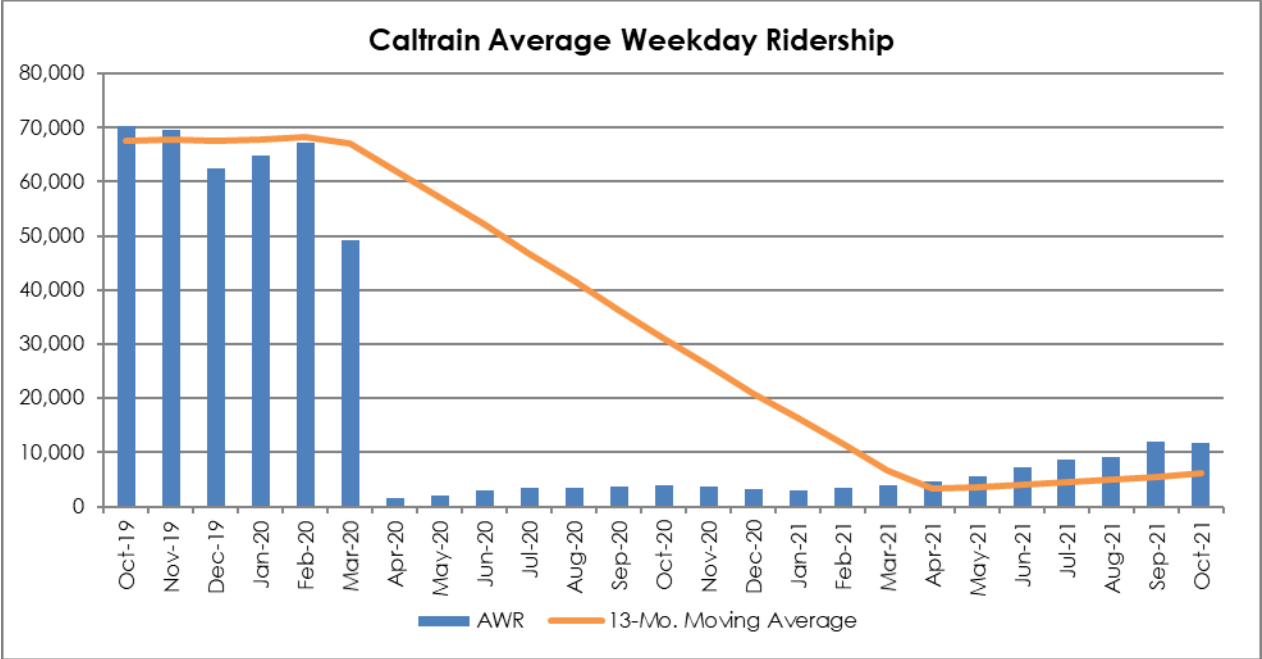
RIDERSHIP

Since April 2020, ridership estimates have been developed using daily conductor counts at 14 key stations and Clipper tags at all stations due to significant impacts to ticket sales and usage patterns from the COVID-19 pandemic.

The large increase in ridership from a year ago is due to significant improvements of the COVID-19 pandemic, easing of COVID-19 restrictions, and resumption of special events such as professional sports games played with spectators at the venues. Caltrain also implemented a new schedule on August 30, with more service, which may have attracted more riders returning to in-person work and school. The ridership impacts of the recent service change will continue to be monitored over the coming months. Ridership was also largely and positively impacted by special events, especially the SF Giants Postseason run.

Even though there were fewer special events at the end of the discounted fare in October, ridership remained level compared to September 2021.

Ridership recovery continues to be stronger on weekends compared to weekdays. Average Saturday ridership increased by 289.4 percent to 9,110 from 2,339 from October 2020. Average Sunday ridership increased by 236.4 percent compared to 5,707 from 1,607 from October 2020.



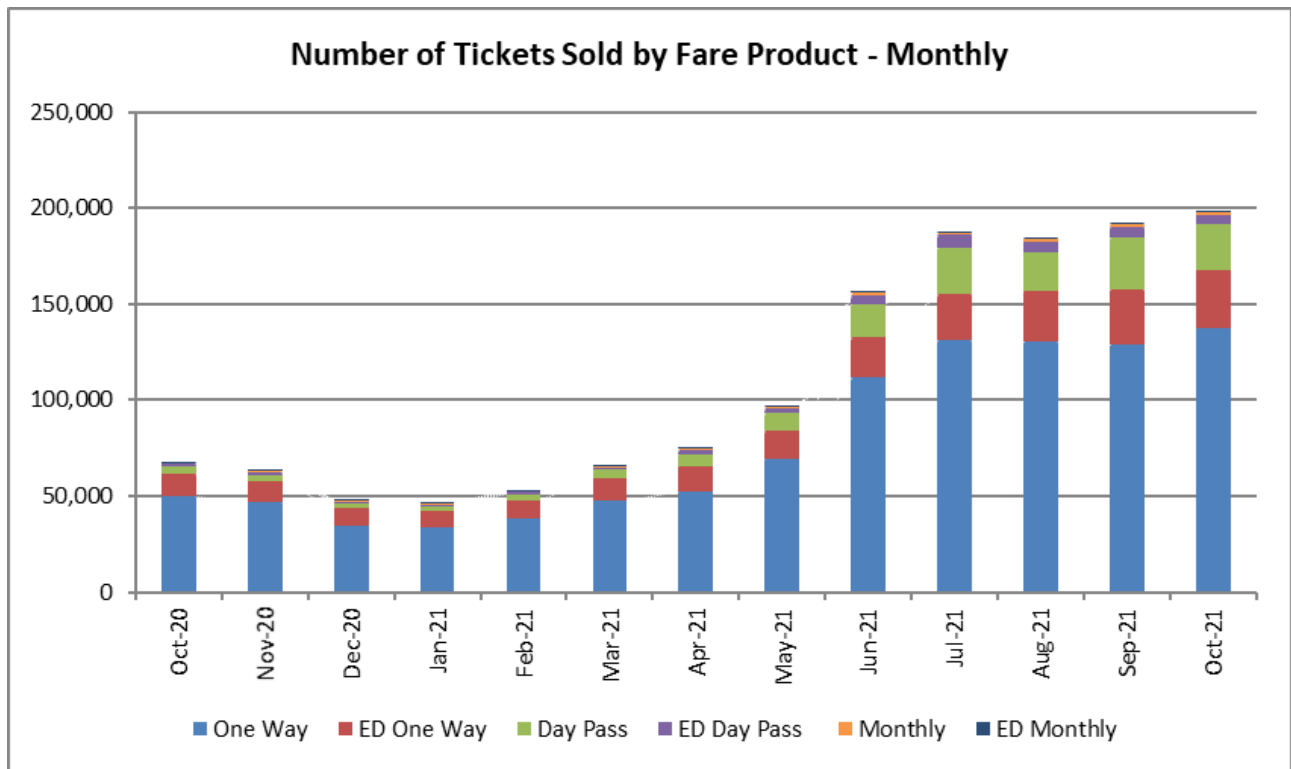
SHUTTLE AVERAGE RIDERSHIP

Shuttle AWR ridership for October 2021 was 278, a decrease of 74.7 percent compared to October 2020 (1,098). As of October 2021, eleven shuttle routes are operating. Additionally, the employer suspends two routes and six services that have been removed from the shuttle program since January 2021 due to operational, partner, or granting changes/losses.

TICKET SALES

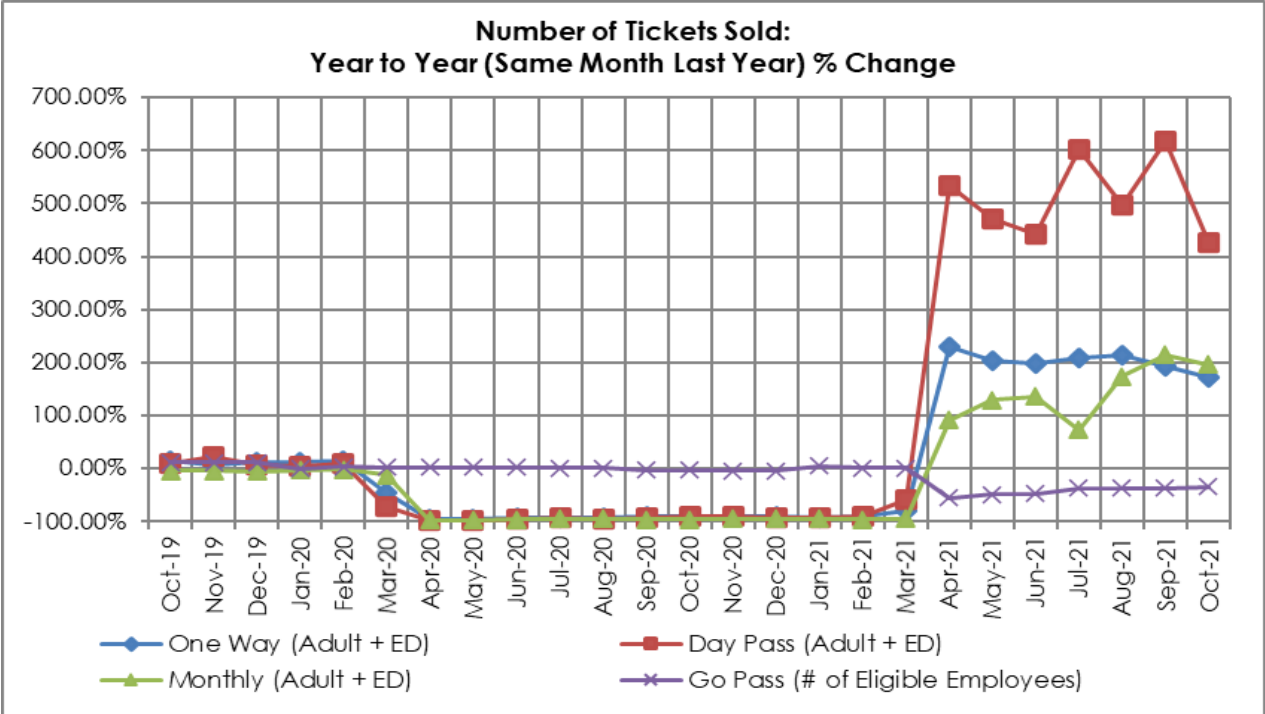
Other ticket sales and farebox revenue statistics trended as follows:

- The number of Eligible Go Pass Employees decreased to 57,675 from October 2020 (87,412).
- The number of the participating Go Pass Companies decreased to 41 from October 2020 (118).
- Total Farebox Revenue decreased by 9.4 percent to \$2,752,867 from October 2020 (\$3,036,896).



Note:

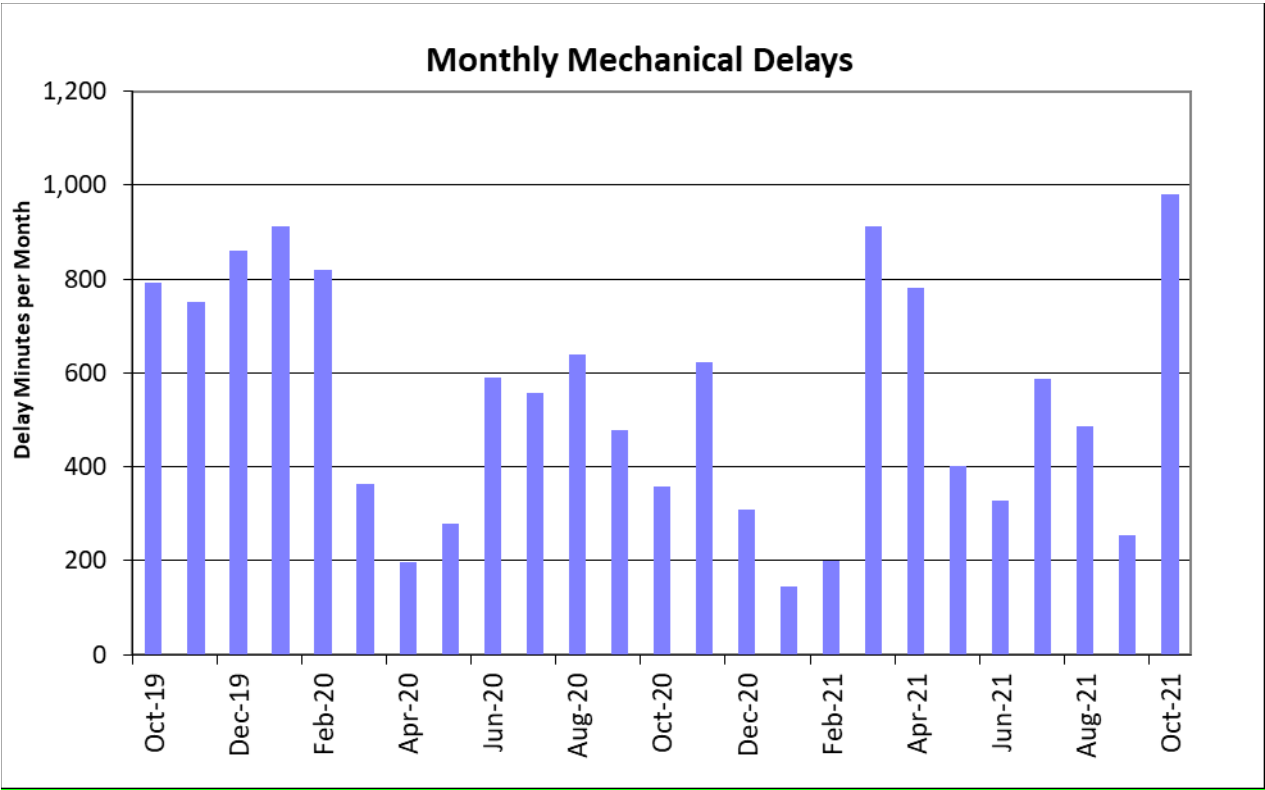
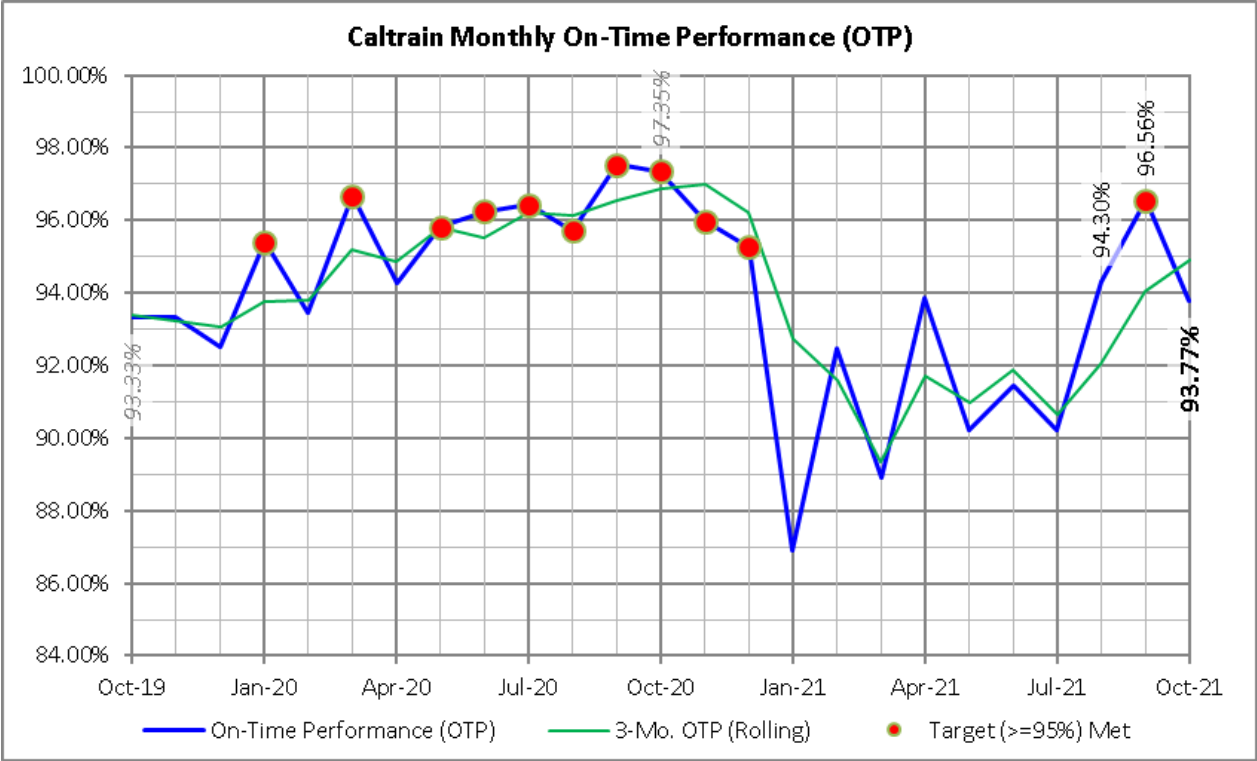
1. Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)
2. Starting in September 2021, ticket sales are derived from the Business Intelligence (BI) system that corrected One-Way ticket sales. The correction reduced total tickets by about 10%-15% when compared to the former methodology.



ON-TIME PERFORMANCE (OTP)

In October 2021, OTP was 93.8 percent compared to 96.6 percent in September 2021 and 97.4 percent in October 2020. The decline in OTP compared to September 2021, was mainly attributed to two trespasser incidents, followed by mechanical delays and special events.

However, on August 30, 2021, Caltrain increased train service to a record 104 trains per day. With the increase in the number of trains operated in a month, the OTP trend improved significantly after the August timetable change.



Caltrain Communication and Marketing Campaigns for October 2021:

- Take Caltrain to the Game - Stanford Football, 49ers Football, San Jose Sharks Hockey (ongoing)
- Clipper Mobile (ongoing)
- 20% Off Caltrain Monthly Pass (ongoing)
- Clipper Start (ongoing)
- "Face Coverings Required" messaging to customers (ongoing)
- Press Release: "Caltrain Seeks Representatives for Bicycle & Active Transportation Advisory Committee"
- Press Release: "Take Caltrain to Outside Lands in San Francisco"
- Press Release: "Caltrain Runs Service to Stanford vs. Washington this Saturday"
- Press Release: "Caltrain to Deliver Fans to 49ers vs. Colts"
- Press Release: "Take Caltrain to the Warriors at Chase Center"
- Press Release: "Disney on Ice Offers Skating Spectacle at SAP Center"
- Press Release: "Caltrain Board Recognizes Hispanic Heritage Month"
- Press Release: "Take Caltrain to Fleet Week in San Francisco"

Digital Communications Report:

October was full of events, especially with the Giants making it to the playoffs. There were continuous messages reminding people to take the train to the game. The last of the All Aboard campaign went live, continued the Welcome Back series and messaging of masks on board.

October 2021 Highlights:

- Giants Playoffs
- Kaito Streets x Caltrain Collaboration
- EMU giveaway (complete)
- Train Seat giveaway (complete)
- Spanish translated live

Website:

Caltrain.com traffic climbed to 430,000 sessions, up slightly from 420,000 in Sept. The pandemic low was 84,600 in April 2020.

Website Replacement Project:

The web team continues to work on maps, calendars, and other customer-facing features for Caltrain. In addition, staff continues to meet with departments to review content for the new website.

Prepared by: Patrice Givens – Administrative Analyst II	650.508.6347
Robert Casumbal – Director, Marketing & Research	650.508.7924
Jeremy Lipps – Manager, Digital Communications	650.622.7845

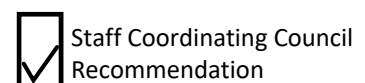
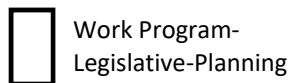
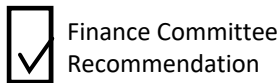
**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AUTHORIZE EXECUTION OF A CONTRACT WITH CDW GOVERNMENT LLC FOR
CALTRAIN RAIL NETWORK VIRTUALIZATION PROJECT**



ACTION

Staff recommends the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB):

1. Authorize the Acting Executive Director, or designee, to execute a single-source contract with CDW Government, LLC (CDW-G) of Vernon Hills, Illinois to provide planning, design, procurement, installation, testing and implementation for the Caltrain Rail Network Virtualization Project (Virtualization Project) for a not-to-exceed amount of \$1,400,363 and in full conformity with all the terms and conditions of the negotiated agreement, and in a form approved by legal counsel.

SIGNIFICANCE

Approval of the above action will update and modernize the aging Caltrain Rail Network at two Caltrain data centers to a virtualized environment.

This Virtualization Project, as designed by Caltrain staff, will be implemented in three phases as follows:

1. **Phase 1: Evaluation, Assessment and Recommendation of Virtualization Concept**
Phase 1 assessment was performed to evaluate the existing infrastructure in order to plan a new virtualization infrastructure design and to determine the hardware and software needs. Phase 1 was an administrative step for the Virtualization Project that was completed in June 2021.
2. **Phase 2: Establish Virtualization Environment**
Phase 2 is needed to establish the virtualization environment, and will include the following tasks:
 - a. Prerequisite Tasks for Virtualization Deployment:
 - i.Task 1: Firewall Consolidation project

- ii. Task 2: Various Network projects
 - 1. Task 2A Network Isolation
 - 2. Task 2B First-Hop Redundancy and Default Gateways
 - 3. Task 2C Dynamic Routing Design – OSPF
 - 4. Task 2D Network Assessment and Holistic Network Design
- iii. Task 3: Domain Management project
 - b. Coordination, Planning, Detailed Design, Procurement, Install, and Testing of the physical related hardware and software
- 3. **Phase 3: Conversion and Migration of Wabtec PTC and ARINC communication systems and components**

Phase 3 will be the final step towards project completion, and will include the following tasks:

 - a. Conversion and Migration of PTC systems and components
 - b. Conversion and Migration of ARINC communication systems and components
 - c. Documentation, Training and Post-Implementation support

BUDGET IMPACT

Funding for the Virtualization Project will come from the approved, existing capital project budget.

BACKGROUND

The Virtualization Project will allow the JPB to virtualize the Caltrain Rail Operations Network, which consists of two data centers. The JPB operates a primary and secondary data center in Menlo Park and in San Jose. The two data centers support a number of services that directly support Rail Operation Services. The two largest environments are the Positive Train Control (PTC) environment supplied by Wabtec and the Rail Operations Control System (ROCS) environment supplied by ARINC.

Both of the environments listed above are running on older servers that are at, or near, end of life. The ARINC system has been partially virtualized, while the PTC system is currently all physical. In addition to aging hardware, the primary data center in Menlo Park is near its full physical capacity with little room for additional racks. These environments are operating on different network segments within the data centers.

Staff evaluated potential firms to update and modernize the aging Caltrain Rail Network and determined that it is in the best interest of the JPB to have CDW-G serve as the integrator on a single source basis because of its unique, extensive and proven experience on network virtualization work for other transit agencies. CDW-G was responsible for the successful delivery of Metrolink's, a Southern California rail provider, data center design, including virtualization and cybersecurity assessments. Qualified staff from the Railroad Systems department and other technical experts reviewed CDW-G's proposal and determined that it met all of the JPB's requirements, that the prices are fair and reasonable, and the firm possesses the requisite depth of experience and required qualifications to successfully perform the scope of services, as defined by the JPB.

In order to have work start on the Project, staff issued a purchase order for Phase 1 of the project on a single-source basis with CDW-G and selected CDW-G for Phases 1-3, subject to Board authorization to execute the contract with CDW-G. Staff negotiated

the terms and conditions of a direct contract with CDW-G on a single source basis and recommends the Board authorize staff to execute a contract for Phases 2-3 the Virtualization Project with CDW-G.

Prepared By:	Linn Latt, Contract Administrator	650.295.6866
Project Manager:	Sherry Bullock, Deputy Director of System Engineering	650.622.7866

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

* * *

**AUTHORIZE EXECUTION OF A CONTRACT WITH CDW GOVERNMENT, LLC FOR THE
CALTRAIN RAIL NETWORK VIRTUALIZATION PROJECT
FOR A NOT-TO-EXCEED AMOUNT OF \$1,400,363**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) is required to update and modernize the aging Caltrain Rail Network consisting of two Caltrain data centers from a physical to a virtualized environment, and staff has determined it requires the expertise of a qualified contractor to fulfill this requirement; and

WHEREAS, the Caltrain Rail Network Virtualization Project (Virtualization Project) consists of three phases designed by Caltrain: Phase 1 for evaluation, assessment and recommendation of the virtualization concept; Phase 2 for establishment of the virtualization environment; and Phase 3 for conversion and migration of Wabtec PTC and ARINC communication systems and components; and

WHEREAS, staff evaluated potential firms to update and modernize the aging Caltrain Rail Network and determined it is in the best interest of the JPB to have CDW Government, LLC (CDW-G) of Vernon Hills, Illinois provide services for Phases 1-3 of the Virtualization Project because of its unique, extensive and proven experience on network virtualization work for other transit agencies; and

WHEREAS, qualified staff from the Railroad Systems department and other technical experts reviewed CDW-G's proposal and determined that it met all of the JPB's requirements, the prices are fair and reasonable, and the firm possesses the

requisite depth of experience and required qualifications to successfully perform the scope of services, as defined by the JPB; and

WHEREAS, in order to have work start on the Project, staff issued a purchase order for Phase 1 of the single-source contract to CDW-G and selected CDW-G to perform Phases 2-3, subject to the JPB Board of Directors' authorization to execute a contract with CDW-G for all three phases; and

WHEREAS, staff recommends the Board authorize the Acting Executive Director, or designee, to execute a single-source contract with CDW-G to provide planning, design, procurement, installation, testing and implementation for the Virtualization Project for a not-to-exceed amount of \$1,400,363 (this total includes the amount of \$88,260.00 already spent on Phase 1).

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board authorizes the Acting Executive Director, or designee, to execute a contract on behalf of the JPB with CDW Government, LLC to provide planning, design, procurement, installation, testing and implementation services for the Caltrain Rail Network Virtualization Project, for a not-to-exceed amount of \$1,400,363 and in full conformity with the terms and conditions of the negotiated agreement, and in a form approved by legal counsel.

Regularly passed and adopted this 2nd day of December, 2021 by the following

vote:

AYES:

Noes:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

DATE: November 18, 2021

TO: Finance Committee

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **November 22, 2021 Finance Committee Report of the Chief Financial Officer**

HIGHLIGHTS

- Staff continues to work with the JPB's financing team on developing the PCEP bond issue. We are currently targeting bringing the finance plan to the Finance Committee for its recommendation in January with a February 2022 Board approval.
- With the completion of the Annual Comprehensive Financial Report, our accounting team is now turning to other items, including consideration of the development of a "Popular Annual Financial Report (PAFR)" which is intended to present basic information about the JPB's finances in a more user friendly format – this will provide the general public with a better understanding of the JPB's operations and financial condition.
- We continue to provide information on the efficacy of the fuel hedging program, and will provide additional information in future meetings. The program has been extremely effective in mitigating the impact of recent oil price increases on the JPB's cost of service.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **ACCEPT STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD ENDING
OCTOBER 31, 2021**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff proposes that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) accept and enter into the record the Statement of Revenues and Expenses for the month of October 2021.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through October 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

Year to Date Revenues: As of October year-to-date actual, the Grand Total Revenue (page 1, line 19) is \$25.8 million lower than the approved budget. This is primarily driven by CRRSAA fund (page 1, line 14). CRRSAA funding was received and reported as revenue in late FY21. However, it was not budgeted in FY21 as the amount of funding was unknown at the time of FY21 Budget adoption. Therefore the budget for CRRSAA funding was carried over and budgeted in FY22.

Year to Date Expenses: As of October year-to-date actual, the Grand Total Expense (page 2, line 54) is \$9.6 million lower than the approved budget. This is primarily driven by Rail Operator Service (page 2, line 24), Fuel and Lubricants (page 2, line 27), Facilities and Equipment Maintenance (page 2, line 31), Wages and Benefits (page 2, line 38), Professional Services (page 2, line 41), Other Office Expenses and Services (page 2, line 43) and Measure RR Ballot Costs (page 2, line 49).

Other Information: The Agency accounts for revenue and expenditures on a modified cash basis (only material revenues and expenses are accrued) on the monthly

financial statement. As such, the variance between the current year actual and the budget may show noticeable variances due to the timing of expenditures.

BUDGET IMPACT

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

Prepared By: Thwe Han, Accountant II

650-508-7912

Jennifer Ye, Acting Director, Accounting

650-622-7890

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF REVENUE AND EXPENSE

Fiscal Year 2022

October 2021

% OF YEAR ELAPSED 33.3%

	JULY TO OCTOBER				ANNUAL			
	CURRENT ACTUAL	APPROVED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE	
REVENUE								
OPERATIONS:								
1 Farebox Revenue	9,825,599	9,618,000	207,599	2.2%	34,639,000	34,639,000	-	1
2 Parking Revenue	345,886	512,000	(166,114)	(32.4%)	1,536,000	1,536,000	-	2
3 Shuttles	443,049	534,632	(91,583)	(17.1%)	1,603,900	1,603,900	-	3
4 Rental Income	317,542	397,488	(79,946)	(20.1%)	1,192,466	1,192,466	-	4
5 Other Income	462,244	528,200	(65,956)	(12.5%)	1,584,608	1,584,608	-	5
6								6
7 TOTAL OPERATING REVENUE	11,394,319	11,590,320	(196,001)	(1.7%)	40,555,974	40,555,974	-	7
8								8
9 CONTRIBUTIONS:								9
10 AB434 Peninsula & TA Shuttle Funding	63,333	373,100	(309,767)	(83.0%)	1,119,300	1,119,300	-	10
11 Operating Grants	2,141,824	2,191,824	(50,000)	(2.3%)	6,525,471	6,525,471	-	11
12 JPB Member Agencies	-	-	-	.0%	-	-	-	12
13 Measure RR	27,625,498	28,858,973	(1,233,475)	(4.3%)	86,576,919	86,576,919	-	13
14 CRRSAA*	-	27,115,922	(27,115,922)	(100.0%)	27,115,922	-	(27,115,922)	14
15 ARPA	18,000,000	14,849,883	3,150,117	21.2%	14,849,883	18,000,000	3,150,117	15
16								16
17 TOTAL CONTRIBUTED REVENUE	47,830,655	73,389,702	(25,559,047)	(34.8%)	136,187,495	112,221,690	(23,965,805)	17
18								18
19 GRAND TOTAL REVENUE	59,224,975	84,980,022	(25,755,047)	(30.3%)	176,743,469	152,777,664	(23,965,805)	19

*CRRSAA funding was received and reported as revenue in late FY21. However, it was not budgeted in FY21 as the amount of funding was unknown at the time of FY21 Budget adoption. Therefore the budget for CRRSAA funding was carried over and budgeted in FY22. A future FY22 budget action will be brought to the Board to clarify funding sources for the FY22 budget, including reserved funds from the FY21 actual results and/or additional funding made available from ARPA distributions.

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF REVENUE AND EXPENSE

Fiscal Year 2022

October 2021

% OF YEAR ELAPSED 33.3%

	JULY TO OCTOBER				ANNUAL		
	CURRENT ACTUAL	APPROVED BUDGET	\$ VARIANCE	% VARIANCE	APPROVED BUDGET	FORECAST	\$ VARIANCE
21 EXPENSE							
22							
23 DIRECT EXPENSE:							
24 Rail Operator Service	31,019,250	31,858,997	(839,747)	(2.6%)	97,353,730	97,353,730	-
25 Security Services	2,006,307	2,017,106	(10,799)	(.5%)	7,486,512	7,486,512	-
26 Shuttle Services	553,521	828,457	(274,936)	(33.2%)	2,723,200	2,723,200	-
27 Fuel and Lubricants *	2,288,704	3,478,284	(1,189,580)	(34.2%)	10,434,846	10,434,846	-
28 Timetables and Tickets	11,999	18,332	(6,333)	(34.5%)	55,000	55,000	-
29 Insurance	5,528,473	5,857,210	(328,737)	(5.6%)	5,857,210	5,857,210	-
30 Claims, Payments, and Reserves	402,202	273,336	128,866	47.1%	820,000	820,000	-
31 Facilities and Equipment Maintenance	1,038,231	2,573,999	(1,535,768)	(59.7%)	7,734,353	7,734,353	-
32 Utilities	704,388	850,868	(146,480)	(17.2%)	2,552,600	2,552,600	-
33 Maint & Services-Bldg & Other	319,166	549,915	(230,749)	(42.0%)	1,674,250	1,674,250	-
34							
35 TOTAL DIRECT EXPENSE	43,872,241	48,306,504	(4,434,263)	(9.2%)	136,691,701	136,691,701	-
36							
37 ADMINISTRATIVE EXPENSE							
38 Wages and Benefits	3,915,794	4,948,798	(1,033,004)	(20.9%)	12,435,945	12,435,945	-
39 Managing Agency Admin OH Cost	1,247,053	1,157,351	89,702	7.8%	3,470,871	3,470,871	-
40 Board of Directors	7,781	16,088	(8,308)	(51.6%)	48,275	48,275	-
41 Professional Services	1,616,219	2,868,920	(1,252,701)	(43.7%)	8,737,561	8,737,561	-
42 Communications and Marketing	112,524	109,664	2,860	2.6%	322,750	322,750	-
43 Other Office Expenses and Services	412,673	1,241,978	(829,305)	(66.8%)	3,654,614	3,654,614	-
44							
45 TOTAL ADMINISTRATIVE EXPENSE	7,312,044	10,342,799	(3,030,755)	(29.3%)	28,670,016	28,670,016	-
46							
47 TOTAL OPERATING EXPENSE	51,184,285	58,649,303	(7,465,018)	(12.7%)	165,361,717	165,361,717	-
48							
49 Measure RR Ballot Costs	5,357,846	7,000,000	(1,642,154)	(23.5%)	7,000,000	7,000,000	-
50 Governance	120,880	666,668	(545,788)	(81.9%)	2,000,000	2,000,000	-
51							
52 Debt Service Expense	892,875	793,916	98,959	12.5%	2,381,752	2,381,752	-
53							
54 GRAND TOTAL EXPENSE	57,555,887	67,109,887	(9,554,000)	(14.2%)	176,743,469	176,743,469	-
55							
56 NET SURPLUS / (DEFICIT)	1,669,087	17,870,135	(16,201,048)	(90.7%)	-	(23,965,805)	(23,965,805)

* Fuel and Lubricants costs were reduced by a realized gain of \$455,759 from the fuel hedge program.



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

MICHELLE BOUCHARD
 ACTING EXECUTIVE DIRECTOR

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF OCTOBER 31, 2021

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.203%	88,141	88,141
County Pool (Unrestricted)		Liquid Cash	0.929%	559,220	559,220
Other (Unrestricted)		Liquid Cash	0.050%	79,277,077	79,277,077
Other (Restricted)	**	Liquid Cash	0.050%	11,099,544	11,099,544
				\$ 91,023,983	\$ 91,023,983

Interest Earnings for October 2021 \$ 6,845.64
 Cumulative Earnings FY2022 \$ 11,338.17

* 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: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **AWARD OF CONTRACT WITH HOBBS INVESTMENTS, INC. DBA AM-TRAN TO
PROVIDE MAIL COURIER SERVICES**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB):

1. Award a contract to Hobbs Investments, Inc. dba Am-Tran (Am-Tran) of San Mateo, California to provide mail courier services (Services) for a not-to-exceed amount of \$153,918 for a five-year term.
2. Authorize the Acting Executive Director or designee to execute a contract with Am-Tran, in full conformity with the terms and conditions set forth in the solicitation documents and in a form approved by legal counsel.

SIGNIFICANCE

Approval of the above actions will ensure the continuation of a dedicated contractor for providing daily courier service for pick-up, distribution, and delivery of postal and interoffice mail between various JPB sites and legal offices.

BUDGET IMPACT

Funds for this contract are included in the current adopted operating budget and will be included in future years' operating budgets.

BACKGROUND

A joint Request for Proposals (RFP 22-S-J-S-017) to provide the Services was issued on September 1, 2021 by the JPB and the San Mateo County Transit District (District). The solicitation was advertised on the JPB's and District's websites. Solicitation notices were sent to interested firms, including Small Business Enterprises (SBE) and Disadvantaged Business Enterprises (DBE). The JPB received five proposals:

- Am-Tran, San Mateo, CA
- Careful Courier, San Francisco, CA
- Gold-Rush Express Delivery, San Jose, CA
- Modern Express Courier, Oakland, CA
- Precision Material Management, Buena Park, CA

A Selection Committee (Committee), comprised of qualified staff representing the JPB and the District, reviewed and scored the proposals in accordance with the following weighted criteria:

- | | |
|---|-----------|
| • Approach to Scope of Services | 25 points |
| • Company Qualifications, Experience & References | 25 points |
| • Qualifications & Experience of Key Personnel | 25 points |
| • Reasonableness of Cost | 25 points |
| • Small Business Enterprise Preference | 5 points |

A five-point preference was available to the proposer with the highest SBE utilization. The Office of Civil Rights evaluated the proposed SBE participation from the five proposers, all of which are certified SBE firms that pledged 100% SBE participation. Accordingly, each proposer received five preference points.

Following the initial proposal review, the Committee found three firms were responsive and within the competitive range, and invited the three firms to proceed in the evaluation and selection process. Upon completion of evaluations, reviews, best and final offers, and rescoring of the three firms' proposals, the Committee determined that Am-Tran is best-positioned to meet the needs of the JPB, as detailed in the RFP scope of work, and identified Am-Tran as the highest-ranked proposer.

Am-Tran is the JPB's incumbent for providing mail courier services, which it has provided in accordance with JPB requirements and in a timely fashion. The Project Manager completed reference checks and found Am-Tran to be in good standing with its clients. Staff conducted a price analysis and determined Am-Tran's best and final cost proposal to be fair and reasonable. Therefore, staff recommends award of this contract to Am-Tran.

Prepared By: Sujiv Kumar, Procurement Administrator II	650.551.6114
Project Manager: Lisa Chan, Customer Experience Specialist	650.551.6131

RESOLUTION NO. 2021 –

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

*** * ***

**AWARDING A CONTRACT TO HOBBS INVESTMENTS, INC. DBA AM-TRAN
TO PROVIDE MAIL COURIER SERVICES
FOR A NOT-TO-EXCEED AMOUNT OF \$153,918 FOR A FIVE-YEAR TERM**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) and the San Mateo County Transit District (District) jointly issued Request for Proposals (RFP) 22-S-J-S-017 to provide mail courier services (Services); and

WHEREAS, in response to the RFP, the JPB received five proposals; and

WHEREAS, a Selection Committee comprised of qualified JPB and District staff reviewed and scored the proposals according to the evaluation criteria set forth in the RFP; and

WHEREAS, following further evaluation of the three firms found to be in the competitive range, Hobbs Investments, Inc. dba Am-Tran (Am-Tran) of San Mateo, California was determined to be the consensus highest ranked proposer; and

WHEREAS, staff conducted successful negotiations with Am-Tran and determined Am-Tran possesses the necessary qualifications and requisite experience to successfully provide the Services, and will perform the requested Services at fair and reasonable prices; and

WHEREAS, staff and legal counsel reviewed Am-Tran's proposal and determined that it complies with the requirements of the solicitation documents; and

WHEREAS, staff recommends that the Board of Directors award a contract to Am-Tran for provision of the Services for a five-year term for a not-to-exceed total of

\$153,918.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board hereby awards a contract to Hobbs Investments, Inc. dba Am-Tran to provide mail courier services for a five-year term at a not-to-exceed total of \$153,918; and

BE IT FURTHER RESOLVED that the Board authorizes the Acting Executive Director, or designee, to execute a contract on behalf of the JPB with Am-Tran in full conformity with the terms and conditions of the solicitation documents and negotiated agreement, and in a form approved by legal counsel.

Regularly passed and adopted this 2nd day of December, 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: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **DECLARATION OF INTENT OF THE JPB (FINANCING REIMBURSEMENT)**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff proposes that the Board adopt a resolution declaring its intent to reimburse itself for certain expenditures made with respect to Caltrain improvements from the proceeds of tax-exempt bonds.

SIGNIFICANCE

Adoption of this resolution will allow the JPB to reimburse itself from the proceeds of tax-exempt bonds for certain capital expenditures made in conjunction with the Caltrain capital program, to the extent that the sale of such bonds is authorized by the JPB and that such bonds are sold at a later date.

BUDGET IMPACT

While the approval of this resolution does not have an immediate budget impact, it does provide for the ultimate funding of certain capital expenditures from the proceeds of a tax-exempt bond issuance – absent this resolution, such expenses may need to be financed on a taxable basis, or from other sources of funds.

BACKGROUND

Finance staff are currently working with the JPB's financing team to develop the structure for a sale of tax-exempt bonds in early 2022. Prior to the issuance of the bonds, the JPB may be initially funding certain costs which it would ultimately wish to be funded with the proceeds of the tax-exempt bonds. Federal tax law has limitations on the degree to which public agencies may reimburse themselves from the proceeds of tax-exempt bonds – the attached resolution making a formal declaration of intent to reimburse addresses those limitations.

Prepared by: Derek Hansel, Chief Financial Officer, 650-508-6466

Declaration of Intent of the Peninsula Corridor Joint Powers Board

WHEREAS, the Peninsula Corridor Joint Powers Board (the “**JPB**”), a joint exercise of powers entity duly organized and existing under and by virtue of the laws of the State of California pursuant to a Joint Powers Agreement, dated as of October 18, 1991 as amended and restated as of October 3, 1996, by and between the Santa Clara Valley Transit Authority, formerly known as the Santa Clara County Transit District (the “**SCVTA**”), the City and County of San Francisco (“**CCSF**”) and the San Mateo County Transit District (“**SamTrans**”, and together with SCVTA and CCSF, the “**Members**”), expects to incur certain expenditures in connection with the Project (as defined below) prior to the issuance of the tax-exempt and/or taxable bonds (the “**Bonds**”), the proceeds of which, will be used to finance such Project expenditures;

WHEREAS, the Section 1.150-2 of the Treasury Regulations require the JPB to declare its reasonable official intent to reimburse prior expenditures for the Project with the proceeds of tax-exempt indebtedness;

NOW, therefore, the governing board of the JPB upon motion duly made and seconded, duly adopts the following Resolution:

Section 1. Project. The Project consists of (i) certain improvements to the commuter rail service that services San Francisco peninsula and is administered by the JPB, known as the Caltrain system (“**Caltrain**”), including improvements consisting of the electrification of Caltrain and the capital relating thereto, (ii) paying capitalized interest on the Bonds; and (iii) paying costs of issuance of the Bonds (collectively, the “**Project**”).

Section 2. Reimbursement. The governing board of the JPB expects that the JPB will pay certain expenditures in connection with the Project prior to the issuance of the Bonds. The JPB will pay the expenditures directly with its own funds, or with funds advanced by one or more of the Members. The JPB reasonably expects that it will reimburse itself or the Members for the use of such funds with the proceeds of the Bonds to be issued by the JPB or other authorized governmental issuer to finance the costs of the Project. The maximum amount of Bonds expected to be issued for the Project is \$140,000,000. This statement of official intent to reimburse constitutes a declaration of official intent under Section 1.150-2 of the Treasury Regulations.

Section 3. Effective Date. This Resolution shall take effect from after its adoption.

Dated: _____

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **FUEL HEDGING UPDATE**

Finance Committee Recommendation Work Program-Legislative-Planning Committee Recommendation Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

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

SIGNIFICANCE

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

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

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

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

- As of September 30th, the hedge program realized net gains of \$279,770.68 for the time period July, 2021 through September, 2021.

- Additionally, the hedge currently reflects unrealized gains of \$1,542,534.00 (+0.39/gallon on all gallons through December 2022). This assumes projected consumption of 266,666 gallons per month through December 2022.
- Approximately 71.4% (65.19% after tax) of the anticipated fuel usage through December 2022 is hedged at an average price of \$1.76/gallon, excluding taxes and fees (\$2.36 with tax and fees) (versus a currently planned budget estimate of \$2.45/gallon, excluding taxes and fees) based on a 104 train/day schedule.
- The remaining un-hedged gallons through December 2022 have a projected cost of \$2.30/gallon as of 09/30/2021 excluding taxes and fees (\$2.96 with tax and fees).
- Weighted average projected cost of all gallons through December 2022 net of hedging excluding taxes and fees is \$1.93/gallon and including taxes and fees is \$2.55/gallon as of 09/30/2021.

Prepared by: Ashok Deshmukh, Acting Treasury Manager

650-508-6405

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Casey Fromson
Chief Communications Officer, Acting

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

Staff recommends that the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) receive the attached memos. Staff will provide regular updates to the Board in accordance with the 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: Lori Low
Government & Community Affairs Officer

650.508.6391



November 12, 2021

TO: Caltrain Board of Directors

FM: Joshua W. Shaw, Matt Robinson & Michael Pimentel, Shaw Yoder Antwih Schmelzer & Lange
Mike Robson & Bridget McGowan, Edelstein Gilbert Robson & Smith LLC

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

General Update

The Legislature is still in recess and will return to Sacramento to begin the second year of the 2021-22 Legislative Session on January 3. The Legislature released the [2022 Tentative Legislative Calendar](#) in late-October establishing the deadlines for 2022. Two notable deadlines: 1) all two-year bills still in the house of origin must move to the other house by January 31 and; 2) February 18 marks the bill introduction deadline for new bills. The calendar also notes which holidays the Legislature will take during the session in 2022 and confirms that August 31 will be the final day of the 2021-22 Legislative Session.

As you may be aware, Assembly Member Chiu (D-San Francisco) was appointed by San Francisco Mayor Breed to serve as San Francisco City Attorney. Mr. Chiu was sworn in as City Attorney on November 1, creating a vacancy in the 17th Assembly District. Governor Newsom announced that the special election to fill the vacancy will begin with the primary on February 15 and the election on April 19, 2022.

2022-23 State Budget

We are currently in the middle of our budget year, as the state budget runs from July 1 to June 30. The Governor will release a proposed budget for the 2022-23 fiscal year on January 10. In the meantime, the Department of Finance issues monthly updates on revenues and spending and is currently projecting that the state is building a surplus of \$14 billion above projected spending from the budget adopted in June. In 2021, a large projected budget surplus caused the Legislature and Governor to adopt a mid-year spending plan to put that extra money to use. We expect that to occur again early in 2022.

In preparation for such an early spending plan, Caltrain staff and the lobbying team are meeting with legislative leaders and their staff, Peninsula delegation legislators, and officials in the Governor's Administration to build support for needed additional state funding for Caltrain Electrification.

Grants

Transit and Intercity Rail Capital Program (\$500 million - \$600 million in Cycle 5) – The Transit and Intercity Rail Capital Program (TIRCP) provides grants from the Greenhouse Gas Reduction Fund to fund transformative capital improvements that will modernize California's intercity, commuter, and urban rail

systems, and bus and ferry transit systems, to significantly reduce emissions of greenhouse gases, vehicle miles traveled, and congestion. Eligible projects include zero-emission vehicles and associated fueling or charging infrastructure or facility modifications.

On August 9, the California State Transportation Agency (CalSTA) released the [Transit and Intercity Rail Capital Program's](#) (TIRCP) Cycle 5 discussion [draft guidelines](#). CalSTA kicked off the TIRCP guideline development process for the 2022 cycle with a workshop on August 12, 2021 and noted it anticipates approximately \$500-600 million of new funding for projects statewide through Fiscal Year 2026-27.

The CTC is hosting workshops in Fall 2021 for the three SB 1 program – the Solutions for Congested Corridors Program (SCCP), Local Partnership Program (LPP), and the Trade Corridor Enhancement Program (TCEP). The CTC will solicit applications for the next round of funding in Summer 2022. As a reminder, in late-2020, the California Transportation Commission [awarded grants](#) for three SB 1 programs – the [Solutions for Congested Corridors Program](#), [Local Partnership Program](#), and the [Trade Corridor Enhancement Program](#). In total, approximately \$2 billion was awarded for 56 new projects throughout the state to reduce traffic, improve goods movement, increase transit service, expand California's managed lanes network, and invest in bicycle and pedestrian improvements.

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 – As discussed above, 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 five 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.

Holland & Knight

800 17th Street, NW, Suite 1100 | Washington, DC 20006 |
T 202.955.3000 | F 202.955.5564 Holland & Knight LLP | www.hklaw.com

Caltrain Federal Transportation Report *As of November 18, 2021*

Reconciliation Remains Moving Target

- On October 28, President Biden and Democratic leadership in Congress [revealed](#) a new framework for the Build Back Better social spending package. The total cost of the package is \$1.7 trillion, down from the initial \$3.5 trillion proposal following intense negotiations.
- Key priorities include:
 - Extending and expanding the Child Tax Credit
 - Investments in renewable energy and climate change mitigation
 - Expanding the Premium Tax Credit, preventing Medicaid lockouts, and expanding Medicare
 - The construction of affordable housing and reduction of housing costs, including through the Earned Income Tax Credit.
 - Increasing corporate tax rates
- Notably, a number of progressive policy priorities have been excluded from the package. Paid family leave, higher corporate income taxes, the expansion of Medicare to include dental and visual coverage, and the establishment of a clean energy standard for utilities have been dropped.
- The House released a draft of accompanying bill text for the package, which can be found [here](#), and a section by section summary can be found [here](#). A fact sheet detailing specific provisions in the bill benefitting the state of Arizona can be found [here](#).
- However, the “deal” appears to have hit a snag. Leadership had planned for the House Rules Committee to consider the bill on Monday, November 1, but announced late Sunday evening that they would be pulling it to make additional changes.
- The delay makes a vote more difficult. Lawmakers continue to disagree on prescription drug pricing, Medicare expansion, immigration, and paid leave. An added wrinkle is the lack of finalized legislative text, which prevents the Congressional Budget Office (CBO) from scoring the bill and its effect on the federal deficit.
- Many progressives have expressed disdain for the framework released by President Biden, with Senate Budget Committee Chair Bernie Sanders (D-VT) stating that the bill has "major gaps". Many progressives cited an unwillingness to vote for the package given the originally imposed deadline.

- Meanwhile, the Congressional Progressive Caucus, led by Rep. Pramila Jayapal (D-WA), continues to state the caucus will not vote on the reconciliation bill before legislative text is released and publically agreed to by Sens. Joe Manchin (D-WV) and Kyrsten Sinema (D-AZ).

Transportation Provisions in New Reconciliation Bill Framework

- Outlined below are transportation provisions that are currently included in the reconciliation bill. As noted, the bill is still being negotiated and many provisions are subject to change.
 - **Affordable housing and transit**
 - \$9.75 billion for improving transit connections for low-income neighborhoods.
 - Republicans have pushed back against this, saying it is “double-dipping” against the infrastructure bill, in violation of President Joe Biden’s promise that Democrats wouldn’t use the reconciliation bill to boost spending levels agreed to in the bipartisan infrastructure deal.
 - House Transportation Chair [Peter DeFazio](#) (D-OR) insists that this is a separate program, jointly administered by DOT and HUD.
 - **Community climate incentive grant program**
 - \$4 billion program to help cities and states reduce greenhouse gas emissions from road travel.
 - \$50 million for the Federal Transit Administration (FTA) to create incentives, rules and guidance for states to reduce greenhouse gas emissions.
 - Requires states to set performance targets to reduce emissions, with “incentives” for good performance and “consequences” for poor performance.
 - **Neighborhood access and equity grant program**
 - \$4 billion to “mitigate or remediate negative impacts” of infrastructure (highways) built in low-income communities.
 - Similar to “Reconnecting Communities” in the infrastructure bill.
 - **Traffic safety clearinghouse**
 - \$47.5 million for NHTSA to establish safe traffic standards in states and at nonprofit educational institutions.
 - **High speed rail**
 - \$10 billion for Passenger Rail Improvement, Modernization and Emissions Reduction program (PRIME) grants, a new rail program for high-speed rail projects.
 - **Alternative fuel and low-emission aviation technology program**
 - \$300 million for a DOT program that supports investments for sustainable and low-emissions aviation technologies and fuels.
 - **Port infrastructure and supply chain resilience**

- \$600 million for the Maritime Administration to support supply chain resilience and increase port efficiency, in addition to environmental research and remediation.
- **FHWA grants for the use of low-carbon transportation materials**
 - \$900 million in Federal Highway Administration (FHWA) grants for low-carbon materials
 - These funds cannot be used for building additional highway capacity for single-occupancy vehicles.

Infrastructure Investment and Jobs Act / Surface Transportation Reauthorization

- The Infrastructure Investment and Jobs Act (which includes a surface transportation reauthorization), or IIJA, was approved by the House late last week, and delivered to the White House. It was signed into law by President Biden on November 15.
- The bill was approved in a bipartisan 228-206 vote, after several procedural hurdles and delays, including intense negotiations involving President Biden and Speaker Pelosi with moderate and progressive Democrats. The final vote on the bill was held six weeks after the House first debated it, and after two short-term highway and transit extensions in the past two months.

The new law includes \$550 billion in new funding, and \$1.2 trillion in total, for infrastructure investment, including for roads and bridges, rail systems, drinking water and clean water, the electric grid, and other programs.

Surface Transportation Programs Reauthorized

- Reauthorization of the surface transportation funding authorization was included in the IIJA signed by the President on November 15th.

Tool Developed to Measure Highway Project Pollution

- A new tool designed by RMI allows transportation agencies to measure the amount of pollution and potential traffic emanating from proposed highway expansions as Congress discusses infrastructure investments.
- Developers argue that RMI will allow for greater transparency in the planning of infrastructure projects. Further details regarding the tool can be found [here](#).

Changes Suggested to FTA Grant Program

- American Public Transportation Association (APTA) recommended that the FTA should “undertake a zero-based review” of all requirements for one of its major grant programs.

- The FTA is now accepting feedback on its Capital Investment Grants Program. APTA sent its [written comments](#) to FTA Administrator Nuria Fernandez last week saying that both Congress and the agency have layered requirements on the program, causing “a less than clear process” that they should reform.
- APTA also said that many FTA staff working to review projects are overworked and is urging Congress and the Transportation Department “to support FTA with sufficient funding and authorization to hire the staff necessary to manage the pipeline of proposed CIG projects.”

Senate Democrats Release FY 2022 Funding Bills

- On October 18, Senate Appropriations Chair Patrick Leahy (D-VT) [released](#) the nine remaining fiscal year (FY) 2022 spending bills, almost three weeks into the new fiscal year.
- The panel is unlikely to advance any of the bills before bicameral talks commence on full-year appropriations for many reasons including that the Ranking Member of the Committee, Senator Richard Shelby (R-AL), has publicly complained the bills were not worked on in their traditional bipartisan manner. The Senate Appropriations Committee previously approved three other bills, none of which have been considered by the full Senate. The House has passed nine of its FY 2022 spending bills.
- Congressional leadership and the White House have not reached an agreement on top-line spending levels for all 12 bills. The federal government is currently funded under a continuing resolution (CR) that expires on December 3.
- On November 2, House Appropriations Chairwoman Rosa DeLauro (D-CT), gathered top negotiators including House Appropriations Committee Ranking Member Kay Granger (R-TX), Senate Appropriations Chair Patrick Leahy (D-VT) and Ranking Member Richard Shelby (R-AL) for a meeting to kick-start discussions on the spending bills.
- This meeting comes in preparation for the looming December 3 deadline when the continuing resolution (CR) expires, initiating a government shutdown if funding is not extended. Lawmakers also must weigh the need to extend or eliminate the debt ceiling at the same time, to avoid a credit default and disastrous economic consequences. |
- To date, Senate Republicans have avoided entering into bipartisan appropriation discussions, citing a need to agree on National Defense Authorization Act (NDAA) funding before deciding how to distribute remaining funds. Senate Appropriations Committee Ranking Member Shelby also stated that a bipartisan funding deal would be difficult to reach given the pileup of legislative priorities including Biden’s infrastructure package and the debt ceiling.
The chart below outlines updated spending numbers following the release of the Senate Appropriations Committee bill for the Department of Transportation, Housing, and Urban Development (THUD).

**FY 2022 TRANSPORTATION
FEDERAL FUNDING PRIORITIES**

	FY 2021 Enacted	FY 2022 President's Request	FY 2022 House	FY 2022 Senate
Department of Transportation	\$86.7 B	\$87 B	\$105.7 B	
RAISE	\$1 B	\$1 B	\$1.2 B	\$1.09 B
• Planning Grants	\$30 M		\$40 M	\$35 M
Federal Aviation Administration (FAA)	\$18 B	\$18.5 B	\$18.9 B	\$11.4 B
• Airport Improvement Program (AIP)	\$400 M	\$10 B	\$400 M	\$603 M
Federal-Aid Highways (FAST Act levels)	\$46.37 B	\$46.37 B	\$61.14 B	\$49.9 B
• Highway Infrastructure (funded from General Fund vs. HTF)	\$2 B	---	\$592 M	\$2.83 B
Federal Motor Carrier Safety Grants	\$419.8 M	\$387.8 M	\$506.2 M	\$393 M
National Highway Traffic Safety Administration (NHTSA)	\$989 M	\$1.02 B	\$1.3 B	\$998.86 M
• Highway Traffic Safety Grants	\$623 M	\$623 M	\$855.5 M	\$623 M
Federal Railroad Administration (FRA)	\$2.8 B	\$4 B	\$4 B	\$3.71 B
• Amtrak – Northeast Corridor	\$700 M	\$1.3 B	\$1.2 B	\$968 M
• Amtrak – National Network	\$1.3 B	\$1.4 B	\$1.5 B	\$1.7 B
• Magnetic Levitation Technology Deployment (MAGLEV) Program	\$2 M	---	\$5 M	---
• Federal-State Partnership for State of Good Repair	\$200 M	---	---	\$220 M
• Consolidated Rail Infrastructure Safety (CRISI) Grants	\$375 M	\$375 M	\$500 M	\$552 M
• Passenger Rail Improvement, Modernization, and Expansion (PRIME) Grants	---	\$625 M	\$625 M	---
Federal Transit Administration (FTA)	\$13 B	\$13.5 B	\$15.5 B	\$13.45 B
• Transit Formula Grants (FAST Act levels)	\$10.2 B	\$10.2 B	\$12.2 B	\$10.8 B
• Transit Infrastructure (funded from Treasury vs. HTF)	\$516 M	\$550 M	\$580 M	\$756 M
• Capital Investment Grants	\$2 B	\$2.47 B	\$2.47 B	\$2.24 B
○ New Starts	\$1.17 B	\$1.28 B	\$1.28 B	\$1.42 B
○ Core Capacity	\$525 M	\$442 M	\$442 M	\$450 M
○ Small Starts	\$200 M	\$303 M	\$303 M	\$250 M
○ Expedited Project Delivery Pilot Program	\$100 M	---	\$100 M	\$100 M
MARAD Port Infrastructure Grants	\$230 M	\$230 M	\$300 M	\$240 M

House T&I Hearing on Cybersecurity and Infrastructure

- On Thursday, November 4, the House Committee on Transportation and Infrastructure (T&I) will hold a [hearing](#) entitled, “The Evolving Cybersecurity Landscape: Industry Perspectives on Securing the Nation's Infrastructure”.
- Witnesses have not yet been announced by the committee.

Round-Up of Open Grant Opportunities

- **American Rescue Plan (ARP) Additional Assistance:** \$2,207,561,294 available. Applications due by November 8, 2021.
- **FY 2021 Competitive Funding Opportunity: Route Planning Restoration Program:** \$25 million available. Applications due by November 15, 2021.
- **Fiscal Year 2021 Competitive Funding Opportunity; Grants for Buses and Bus Facilities Program:** \$409,590,000 available. Applications due by November 19, 2021.
- **FY21-CRS-Consolidated Rail Infrastructure and Safety Improvements:** \$361,978,796 available. Applications due by November 29, 2021.
- **FY 2021 Competitive Funding Opportunity: Innovative Coordinated Access and Mobility Pilot Program:** \$3.5 million available. Applications due by December 6, 2021.

Caltrain Earmarks Submitted for Consideration:

As of November 18, 2021

Please note, negotiations on the inclusion of Congressionally Directed Spending (earmarks) in a variety of key federal legislative packages continues to evolve. Earmarks have not be included in the Senate’s version of the surface transportation reauthorization package, which was folded into the Senate-led bipartisan infrastructure package, known as the Infrastructure Investment and Jobs Act (IIJA). The IIJA was signed into law on November 15, 2021. On the Appropriations side, negotiations regarding the inclusion of earmarks for the Transportation, Housing and Urban Development and Related Agencies Subcommittee Appropriations Bill (THUD) continue. The House and Senate passed a Continuing Resolution (CR) through December 3, 2021.

THUD Appropriations

House:

Project	Submitted By	Amount
Additional Mini-highs (Speier)	Caltrain	\$460,000

Surface Transportation Reauthorization (House T&I):

Project	Submitted By	Amount
Additional Mini-highs (Eshoo)	Caltrain	\$306,000
Additional Mini-highs (Lofgren)	Caltrain	\$550,000
Caltrain Optimization Project (Lofgren)	Caltrain	\$315,000

Other Caltrain relevant projects:

Project	Submitted By	Amount
Middle Avenue Pedestrian/Bicycle Rail Crossing (Eshoo)	City of Menlo Park	\$6.5M
At-grade Caltrain Crossing Safety Project—E. Bellevue Avenue and Villa Terrace (Speier)	City of San Mateo	\$3M

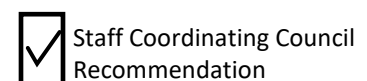
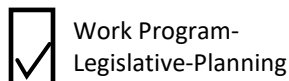
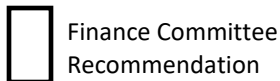
**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Sebastian Petty
Deputy Chief, Caltrain Planning

SUBJECT: **SAN FRANCISCO RAILYARDS PRELIMINARY BUSINESS CASE (PBC) - PROJECT UPDATE**



ACTION

Staff coordinating council recommend that the Board receive an update on the San Francisco Railyards Preliminary Business Case.

SIGNIFICANCE

Staff will provide updates on the San Francisco Railyards PBC on an approximately quarterly basis. These updates will provide information necessary for the Board to understand study progress and to provide regular commentary and input as this effort proceeds.

BUDGET IMPACT

There is no budget impact.

BACKGROUND

The Caltrain San Francisco Railyards (4th and King Station) in Mission Bay is Caltrain's current San Francisco terminus and a critical operational asset. The underlying site is owned by Prologis (previously known as Catellus) and Caltrain operates the railyards and station through a perpetual operational easement on the surface as well as a limited height above the surface.

The Mission Bay neighborhood of San Francisco has experienced substantial new development and transformation over the last two decades, with intensifying population, density, and activity in the area. Given its prime location and proximity to significant transit assets including both Caltrain as well as existing and under-construction MUNI Metro lines, the railyards site has been considered and discussed as a potential redevelopment opportunity for a number of years by Prologis as well as Caltrain and the City and County of San Francisco. Interest in the potential redevelopment of the railyard

was formalized in 2018 through the creation of a railyards-focused Memorandum of Understanding (MOU) working group ("the Railyards MOU group") that includes Caltrain, the City and County of San Francisco's Planning Department, Prologis, the Transbay Joint Powers Authority, the San Francisco County Transportation Authority, and the California High Speed Rail Authority. This group has served as a staff forum for the advancement of work related to the potential development of the site and for coordination of different projects and plans that have the potential to impact the railyard.

On July 1, 2021, the Board adopted a resolution to authorize execution of a MOU with Prologis 4th and King LLC for joint delivery of the Caltrain San Francisco Railyards Preliminary Business Case (jointly-led by Caltrain and Prologis) and operations, storage and maintenance analysis (Caltrain-led). Following execution of the MOU, Caltrain and Prologis initiated the project work with the consultant team in August. The following summarizes the work that is underway.

The Preliminary Business Case will provide a structured evidence-based decision-making framework to evaluate development concepts using goals, objectives, and evaluation criteria identified for the SF Railyards site. Draft goals, objectives, and evaluation criteria have been developed and shared with the MOU working group for comment. The following six draft goals have been identified and objectives and evaluation criteria are being developed for each of these goals:

- Enhance connectivity, accessibility, and rider/user experience
- Facilitate safe and efficient rail operations
- Unlock economic potential for all stakeholders
- Contribute positively to environmental sustainability and resiliency
- Unlock social value potential
- Connect communities through urban design

The project team is also completing a body of work to understand baseline criteria for operations, storage, and maintenance planning around the 4th and King/future 4th and Townsend station areas. This includes identifying service needs, vehicles, and maintenance facility assumptions for horizon year operations.

The project team will continue to evaluate and revise both the goals, objectives, and evaluation criteria as well as the service planning assumptions to understand the viability of future site uses and will be prepared to report out on progress in a subsequent Board meeting.

Prepared By: Anthony Simmons
Director of Systemwide, Stations, and Capital Planning,
Caltrain Planning

650.622.7831

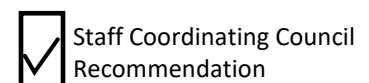
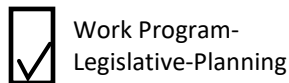
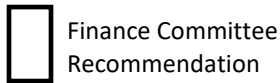
**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Robert Barnard
Deputy Chief, Rail Development

SUBJECT: **CAPITAL PROJECTS QUARTERLY STATUS REPORT – 1ST QUARTER FISCAL YEAR 2022**



ACTION

Staff Coordinating Council recommends the Board receive the Capital Projects Quarterly Status Report which has been retooled with a new format. The report is in the following link:

https://www.caltrain.com/Assets/_Finance/Quarterly+Capital+Program+Status+Report/JPB/JPB+Quarterly+Report+FY22+Q1.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

650.730.0296



Capital Program Quarterly Status Report and DBE Status Report



**1st Quarter Fiscal Year 2022
(July to September 2021)**

Prepared for the December 2, 2021 Caltrain Board Meeting

Projects in Focus

Concerning (projects with red status lights)




1. 100244 - Burlingame Broadway Grade Separation - The City of Burlingame is questioning JPB's decision to use the Center Boarding Platform alternative related to the Value Engineering Option 3.
2. 100439 - Bayshore Station Overpass Pedestrian Bridge Rehab - Current funding is not sufficient to cover Construction phase.
3. 100449 - Next Generation VMS - Loss of previous Project Manager has caused delays. Njomele Hong has been designated as the new Project Manager.

Watching (projects with yellow status lights)

1. 002088 - 25th Avenue Grade Separation - The schedule had slipped due to continued design issues and the lack of labor available to the contractor to perform the work. Additionally, materials for extra work were delayed. Further, the contractor has not completed some base contract work.
2. 002113 - Guadalupe River Bridges Replacement and Extension - Identified sources of funds cover the estimated project costs. Agency has not received or activated the entirety of those identified funds. Commencement of arbitration delayed based on UPRR proposed dates.
3. 100403 - Broadband Project - The RFP was delayed due to late Legal review and comments. Addressing Legal comments now and will issue the RFP in October 2021. Some of the project's funding is pending activation. This funds will be activated for the construction phase.
4. 100445 - Automatic Passenger Counters at San Francisco 4th & King Station - Loss of previous Project Manager has caused delays. Njomele Hong has been designated as the new Project Manager.
5. 100482 - Rengstorff Grade Separation - 35% design submittal delayed due to additional geotechnical investigation and traffic studies.
6. 100574 - Clipper Next Generation Validators Site Preparations - Some of the project's funding is pending activation. These funds have not been received.

Performance Summary

Table S1. Projects in each status light by performance category

Status Light	Safety	Schedule	Budget	Funding
 Green	100.0%	65.0%	95.0%	85.0%
 Yellow	0.0%	25.0%	0.0%	15.0%
 Red	0.0%	10.0%	5.0%	5.0%

(Percentage of projects in each status light by performance category)

Table S2. Summary of design and construction project changes from previous quarter

Status Changes	Projects	Pct. Projects
All green	5	27.8%
Improved (except all green)	4	22.2%
Got worse	6	33.3%
Stayed the same (except all green)	3	16.7%
Total Projects	18	

Table S3. Individual Projects

Project Number	Title	Safety			Schedule			Budget			Funding			Page
		Jul	Aug	Sep	Jul	Aug	Sep	Jul	Aug	Sep	Jul	Aug	Sep	
CONSTRUCTION PHASE														
Grade Separations														
002088	25th Avenue Grade Separation	●	●	●	●	●	●	●	●	●	●	●	●	5
Stations														
002146	South San Francisco Station Improvement	●	●	●	●	●	●	●	●	●	●	●	●	10
ROW Bridges														
002080	Marin and Napoleon Bridge Replacement	●	●	●	●	●	●	●	●	●	●	●	●	16
ROW Grade Crossings														
100333	FY2019 Grade Crossing Improvements	●	●	●	●	●	●	●	●	●	●	●	●	21
ROW Communications & Signals														
100278	Mary Avenue Traffic Signal Preemption	●	●	●	●	●	●	●	●	●	●	●	●	26
Fare Collection														
100240	Ticket Vending Machines (TVM) Rehab	●	●	●	●	●	●	●	●	●	●	●	●	30
Miscellaneous														
100445	Automatic Passenger Counters at San Francisco 4th & King Station	●	●	●	●	●	●	●	●	●	●	●	●	34
DESIGN PHASE														
Grade Separations														
100244	Burlingame Broadway Grade Separation	●	●	●	●	●	●	●	●	●	●	●	●	38
100482	Rengstorff Grade Separation	●	●	●	●	●	●	●	●	●	●	●	●	42
100617	Mountain View Transit Center and Grade Separation & Access Project	●	●	●	●	●	●	●	●	●	●	●	●	46
ROW Bridges														
002113	Guadalupe River Bridges Replacement and Extension	●	●	●	●	●	●	●	●	●	●	●	●	50
100427	San Francisquito Creek Bridge Replacement	●	●	●	●	●	●	●	●	●	●	●	●	55
100439	Bayshore Station Overpass Pedestrian Bridge Rehab	●	●	●	●	●	●	●	●	●	●	●	●	59
ROW Grade Crossings														
100426	Churchill Avenue Grade Crossing	●	●	●	●	●	●	●	●	●	●	●	●	64
100566	San Mateo Grade Crossing Improvements	●	●	●	●	●	●	●	●	●	●	●	●	67
ROW Communications & Signals														
100403	Broadband Project	●	●	●	●	●	●	●	●	●	●	●	●	71
100449	Next Generation Visual Messaging Sign (VMS)	●	●	●	●	●	●	●	●	●	●	●	●	74
Fare Collection														
100574	Clipper Next Generation Validators Site Preparations	●	●		●	●		●	●		●	●		78
PLANNING/ENVIRONMENTAL PHASE														
Managed Projects														
002152	South Linden & Scott Grade Separation	●	●	●	●	●	●	●	●	●	●	●	●	82
100410	Whipple Avenue Grade Separation	●	●	●	●	●	●	●	●	●	●	●	●	84
Projects with Informal Engagements Managed by Third Parties														
TBD	Middle Avenue Undercrossing	NA			NA			NA			NA			88
TBD	Bernardo Avenue Undercrossing	NA			NA			NA			NA			89
TBD	Mary Avenue Grade Separation	NA			NA			NA			NA			90

Projects in Construction
Grade Separations

25th Avenue Grade Separation

Project No. 002088

Table 1. Status Summary and Total Project Performance

Project Phase: **Construction/Implementation**

Quarter	Safety	Schedule	Budget	Funding
Current	G	Y	G	G
Previous	G	Y	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
98.8%	N/A	100%

1. The schedule had slipped due to continued design issues and the lack of labor available to the contractor to perform the work. Additionally, materials for extra work were delayed. Further, the contractor has not completed some base contract work.

SCOPE Summary

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, located south of 28th Avenue.

The work included the 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.

Project Manager: Andy Kleiber
 Principal Designer: HDR Engineering, Inc.
 Const. Contractor: Shimmick/Disney Joint Venture

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	16
Type II Incidents	0	2

25th Avenue Grade Separation

Project No.

002088

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Preliminary 35% Design	07/20/15	07/20/15	0	0
65% Design	01/28/16	01/28/16	0	0
95% Design	07/25/16	07/25/16	0	0
100% Design	10/26/16	10/26/16	0	0
IFB	12/09/16	12/09/16	0	0
Award	07/06/17	07/06/17	0	0
LNTF	08/10/17	08/10/17	0	0
NTP	12/08/17	12/08/17	0	0
28th Ave Opening Date	03/15/21	03/15/21	0	0
Station Opening	04/26/21	04/26/21	0	0
Construction Completion	09/10/21	11/30/21	-81	-81
Project Finish	11/01/21	01/31/22	-91	-91

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(D)	(E=C-D)
Engineering	2,410	5,860	8,270	8,270	0	0%
ROW/Utilities	0	35,296	35,296	35,296	0	0%
Construction	0	122,668	122,668	122,668	0	0%
CM & DSDC	0	17,885	17,885	18,201	-316	-2%
Administration	1,676	11,324	13,000	13,000	0	0%
Procurement	0	24	24	24	0	0%
Oper. Support	45	8,075	8,120	8,120	0	0%
Subtotals	4,131	201,132	205,263	205,579	-316	0%
Unallocated Contingency	372	265	637	322	316	50%
Grand Totals	4,503	201,397	205,900	205,900	0	0%

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Unactivated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
SMCTA	Local	3,700	94,100	97,800	97,800	0
State (Section 190)	State		10,000	10,000	10,000	0
State (CAHSA)	State		84,000	84,000	84,000	0
City of San Mateo	Local	1,000	13,100	14,100	14,100	0
Totals		4,700	201,200	205,900	205,900	0

25th Avenue Grade Separation

Project No.

002088

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
Extend time to complete changes.	SDJV/JPB	JPB is limiting scope where possible.	\$ 100	Med
	Contractor is scheduling work, JPB is limiting scope wherever possible, and JPB is completing design.			
Additional Changes (Design Related)	JPB/HDR	Working with HDR to resolve and looking for ways to not have SDJV do the work.	\$ 750	Med
	Continuing to find design issues requiring changes.			
Extent of Changes/Covid 19	JPB	Need to negotiate with Contractor a global settlement	\$ 3,700	Med
	Rejected the RFC.			

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
Delays due to design issues and labor availability.	HDR & SDJV	HDR is working on design solutions; SDJV is attempting to add more crews.	10/30/2021
	JPB is tracking issues that are potentially the result of errors/omissions.		
Covid 19/Number of Changes.	SDJV	SDJV will need to respond.	10/30/2021
	JPB has rejected this claim. Contractor erroneously claimed Covid as a DSC, and was late on submittal of claim.		

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Completed drainage and irrigation north of 25th Ave.
2. Power for pump station at 31st Ave.
3. Completed various punch list items, access from Curiosity Way at Hillsdale Station.
4. Conducted Ribbon Cutting Ceremony on September 17, 2021.
5. Working on remaining work items such as grading and landscaping of the slopes of the MSE walls north of 25th Avenue to Borel Creek and miscellaneous drainage and ramp modifications.

NEXT KEY ACTIVITIES (top 5)

1. Complete punchlist items.
2. JPB will meet with the Executive Management of the Shimmick/Disney JV by the end of October to discuss negotiating a consolidated resolution to all outstanding commercial issues required to close out the contract.
3. Work on closing out issues.
4. Complete the construction phase.

PROJECT NOTES

1. Budget remains extremely tight. The contractor submitted a change request for \$3.7M for impacts from Covid and excessive change orders. The substantiation is extremely vague and based on theory only.
2. Although currently \$4.1M is allocated for the Parking Track construction, this scope will eventually be removed from the project and delivered under separate project.
3. The remaining \$2.3M of unactivated funds from the City of San Mateo was activated in this quarter.

25th Avenue Grade Separation

Project No.

002088

PROJECT PHOTOS



Photo 1 - 31st Ave. Looking East



Photo 2 - Pump Station Testing

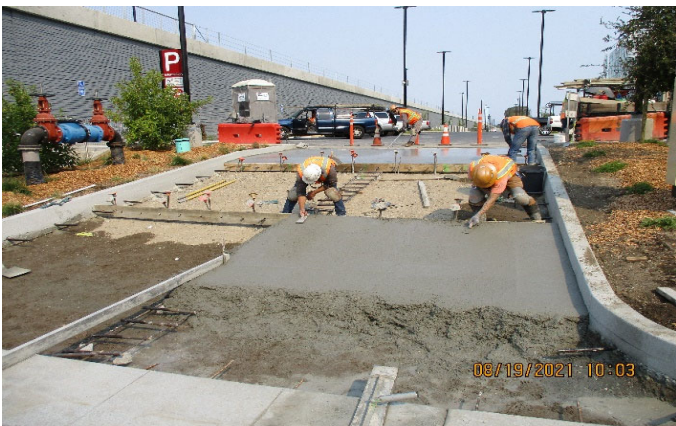


Photo 3 - New Driveway for Bike Path



Photo 4 - 25th Ave. Opening









Projects in Construction Stations

South San Francisco Station Improvement Project

Project No. **002146**

Table 1. Status Summary and Total Project Performance

Project Phase: **Construction/Implementation**

Quarter	Safety	Schedule	Budget	Funding
Current	G 	G 	G 	G 
Previous	G 	G 	G 	G 

Progress (%)	Change Prev. Qtr.	EAC/Budget
96.8%	N/A	91%

SCOPE Summary

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.

Project Manager: Hubert Chan
 Principal Designer: RSE
 Const. Contractor: ProVen Management, Inc.

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	22
Type II Incidents	0	2

South San Francisco Station Improvement Project

Project No. 002146

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Adv	04/12/17	04/12/17	0	0
Bid Opening	06/12/17	06/12/17	0	0
Award	08/03/17	08/03/17	0	0
LNTF	10/09/17	10/09/17	0	0
NTP	03/06/18	03/06/18	0	0
Project status update to JPB CAC	09/15/21	09/15/21	0	0
Project status update to TA CAC (Citizen Advisory Committee)	10/05/21	10/05/21	0	0
Project status update to TA Board	10/07/21	10/07/21	0	0
Construction Complete	11/30/21	11/30/21	0	0
Station Opening	01/10/22	01/10/22	0	0
Closeout	03/31/22	03/31/22	0	0

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(D)	(E=C-D)
Engineering	3,227	-457	2,770	2,770	0	0%
ROW/Utilities	200	6,240	6,440	6,440	0	0%
Construction	37,000	23,210	60,210	51,900	8,310	14%
CM & DSDC	4,432	9,358	13,790	13,790	0	0%
Administration	3,018	5,282	8,300	8,300	0	0%
Procurement	0	155	155	155	0	0%
Oper. Support	1,656	2,454	4,110	4,110	0	0%
Subtotals	49,533	46,242	95,775	87,465	8,310	9%
Unallocated Contingency	6,767	-5,942	825	910	-85	-10%
Grand Totals	56,300	40,300	96,600	88,375	8,225	9%

South San Francisco Station Improvement Project

Project No. 002146

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Un-activated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)	(D)	(E=C-D)
Capital fund from operations source	Other		1,300	1,300	1,300	-
SMCTA Cap Contr to JPB/SAMTR	Other	49,100	(5,028)	44,072	44,572	(500)
CA-2017-057-01	Federal		38,828	38,828	38,828	-
CSSF MOU-SSF Caltrain Station	Local	5,900	6,500	12,400	9,900	2,500
Totals		55,000	41,600	96,600	94,600	2,000

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
Construction sequence and methods for Ramps 3, 2, 1 and Underpass.	Hubert Chan ----- Resolved	Claim has been negotiated with PMI	\$ 10,000	Med
PG&E Permanent Power	Hubert Chan ----- PG&E has provided permanent power to the new station (Resolved). Traffic light on Poletti Way still needs permanent power	101 off ramp to Poletti Way will remain closed until power is provided to the traffic light	\$ 40	Med
Calwater Permanent Connection	Hubert Chan ----- Resolved	Calwater provided water for landscaping to the new station	\$ -	Med

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
1. West Plaza flat-work finish	Hubert Chan ----- Re-finish underway	Re-finish mockup constructed and approved - Re-finish flat work	11/12/2021
2. West Plaza flat-work missing expansion joints	Hubert Chan ----- Extended Warranty for flatwork under negotiation	Provide Extended Warranty from the contractor to the City of South San Francisco	TBD
3. Underpass roof water leaks	Hubert Chan ----- Awaiting proposal from contractor on repair	Patch roof leaks	11/29/2021
4. Ramp 1 ADA slope issue	Hubert Chan ----- Remeasuring slopes to ensure compliance to ADA standards	Re-build Ramp 1 if out of compliance	TBD

South San Francisco Station Improvement ProjectProject No. **002146****KEY ACTIVITIES - Current Reporting Quarter (top 5)**

1. Ramp 3: Completed tile installation, began installation of guard rails and continued landscaping at West Plaza
2. Ramp 2/Stair 2: Completed tile installation, applying anti-graffiti coating and placing rebar for topping slab. began installation of guard rails.
3. Ramp 1/Stair 1: Completed Ramp 1 wall form, poured Stair 1, installed hand rails, applied anti-graffiti coating, completed dewatering and installed tiles.
4. Poletti Way: Completed side walk and bus pad, graded curb and gutter and installed of pedestrian traffic light.
5. Pedestrian Underpass: Continued resolving water leak.

NEXT KEY ACTIVITIES (top 5)

1. Ramp 3: Complete installation of guard rails and continue landscaping at West Plaza.
2. Ramp 2/Stair 2: Complete guard rails installation at Ramp 2.
3. Poletti Way: Wait for PG&E to provide power to pedestrian traffic light.
4. Pedestrian Underpass: Resolve water leak.

PROJECT NOTES

1. In July, the TA Board provided additional funding which was approved by the JPB Board for \$25M to cover the project cost overruns.
2. Train stops were relocated to the new station platform on September 20, 2021.
3. EAC was revised this quarter.

South San Francisco Station Improvement Project

Project No. 002146

PROJECT PHOTOS



Photo 1 - New platform looking south

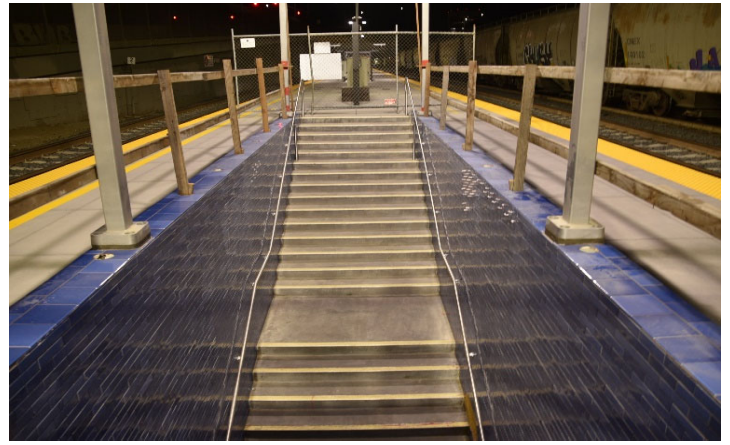


Photo 2 - Stair 2 looking north

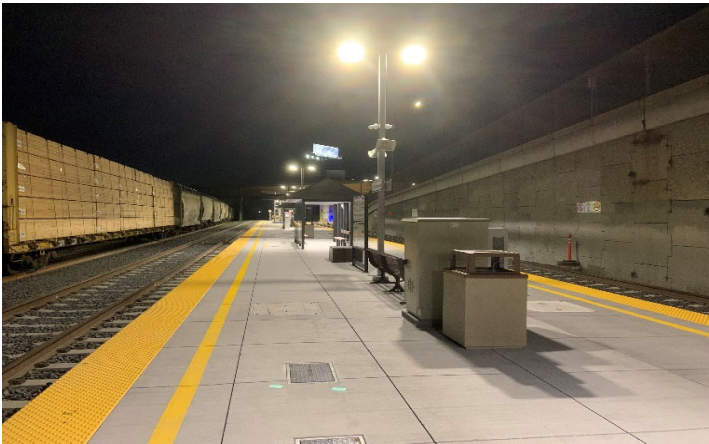


Photo 3 - Station Platform

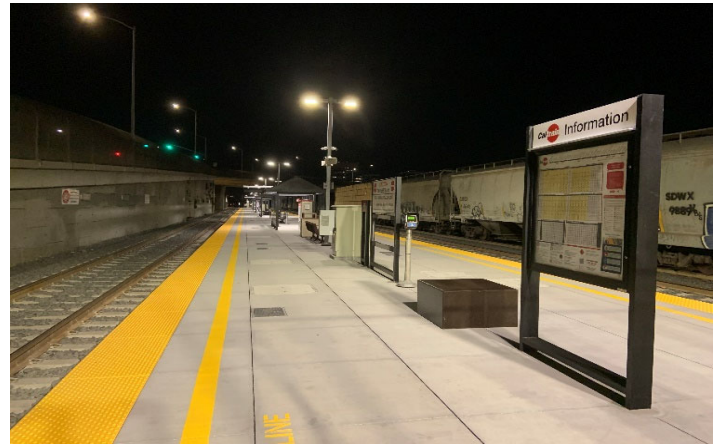


Photo 4 - Station Platform South End incl Box Covering PCEP Foundation

Projects in Construction
ROW Bridges

Marin and Napoleon Bridge Replacement Project

Project No. **002080**

Table 1. Status Summary and Total Project Performance

Project Phase: **Construction/Implementation**

Quarter	Safety	Schedule	Budget	Funding
Current	G	G	G	G
Previous	G	G	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
98.63%	N/A	93%

SCOPE Summary

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:

- Marin Street Bridge - Improve safety and security, maintain the bridge at a state of good repair, and improve worker safety.
- 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.

Additional trackwork to replace the rail on MT1 and MT2 from approximate MP 2.10 to MP 2.63.

Project Manager: Mike Chan
 Principal Designer: RSE
 Const. Contractor: Proven Management, Inc.

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	1
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	12/1/2014	12/1/2014	0	0
Preliminary 35% Design	3/31/2016	3/31/2016	0	0
95% Design	6/17/2019	6/17/2019	0	0
100% Design	8/30/2019	8/30/2019	0	0
Revised 95% Design	1/28/2020	1/28/2020	0	0
IFB	2/14/2020	2/14/2020	0	0
Revised 100% Design	2/14/2020	2/14/2020	0	0
Bid Opening	3/13/2020	3/13/2020	0	0
Award	7/9/2020	7/9/2020	0	0
LNTP	8/10/2020	8/10/2020	0	0
NTP	11/11/2020	11/11/2020	0	0
Interim Completion	4/30/2021	4/30/2021	0	0
Construction Complete	8/30/2021	8/25/2021	5	0
Project Finish	11/30/2021	11/30/2021	0	0

Marin and Napoleon Bridge Replacement Project

Project No. 002080

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering	650	750	1,400	1,300	100	7%
ROW/Utilities	15	95	110	192	-82	-74%
Construction	2,000	7,798	9,798	9,798	0	0%
CM & DSDC	545	1,952	2,497	2,700	-204	-8%
Administration	700	1,100	1,800	1,800	0	0%
Procurement	0		0	0	0	
Oper. Support	220	100	320	404	-84	-26%
Subtotals	4,130	11,795	15,925	16,194	-269	0
Unallocated Contingency	620	1,105	1,725	200	1,525	88%
Grand Totals	4,750	12,900	17,650	16,394	1,256	7%

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Unactivated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
FTA	Federal	11,750		11,750	11,750	0
FY21 STA SOGR	State	1,351		1,351	1,351	0
Prop K - SFCTA & General	Local	3,278		3,278	3,278	0
FY20 AB664 Bridge Toll	Other	640		640	640	0
TBD	Other	631		631	0	631
Totals		17,650	0	17,650	17,019	631

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
Availability of track time due to conflicts with PCEP work	Michael Chan ----- All contract work has been completed as of 8/25/21	Mitigation is no longer required as all contract work has been completed	\$ -	Low

Marin and Napoleon Bridge Replacement Project

Project No. **002080**

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
1-Potential conflicts with PCEP work near project area for single tracking.	Michael Chan ----- Closed - All contract work has been completed as of 8/25/21	No action needed	8/25/2021
2-Delamination of Marin bridge soffit concrete.	Michael Chan ----- Closed - Change order work to repair Marin bridge soffit concrete was performed in August	No action needed	8/25/2021
3-Contractor and TASI resources may not be available	Michael Chan ----- Closed - All contract work has been completed as of 8/25/21	No action needed	8/25/2021

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Continued weekly meetings with contractors for RFIs/Submittals/Any potential stage construction issues etc.
2. Completed rail replacement work.
3. Completed right of way fencing.
4. Substantial completion achieved.
5. Continued contract closeout activities.

NEXT KEY ACTIVITIES (top 5)

1. Continue contract closeout activities and finish the project.

PROJECT NOTES

1. Some of the project's funding is pending activation. The project is concluding and the unactivated amount will not be needed.

Marin and Napoleon Bridge Replacement Project

Project No. 002080

PROJECT PHOTOS



Photo 1 - Marin Street New Walkways



Photo 2 - Napoleon Northeast Retaining Wall



Photo 3 - Napoleon South Abutment



Photo 4 - New Napoleon Bridge









Projects in Construction
ROW Grade Crossings

FY2019 Grade Crossing Improvements

Project No. **100333**

Table 1. Status Summary and Total Project Performance

Project Phase: **Construction/Implementation**

Quarter	Safety	Schedule	Budget	Funding
Current	G 	G 	G 	G 
Previous	G 	G 	G 	G 

Progress (%)	Change Prev. Qtr.	EAC/Budget
96.67%	N/A	100%

SCOPE Summary

This project is the continuation of the Caltrain Grade Crossing Improvement Program which uses the Caltrain Grade Crossing Hazard Analysis to prioritize and ranks the potential risks for the Caltrain grade crossings. The previous FY16 Grade Crossing Improvements project made improvements at:

1. Broadway, Peninsula - Burlingame
2. Whipple Ave, Redwood City
3. 16th St, San Francisco
4. 4th Ave, San Mateo
5. Ravenswood, Menlo Park
6. Charleston, Alma - Palo Alto
7. Rengstorff, Castro - Mountain View
8. Mary Ave, Sunnyvale

This 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:

1. San Mateo: 1st Avenue, 2nd Avenue and 3rd Avenue
2. Menlo Park: Glenwood and Oak Grove.

The next round of grade crossing improvements will be done according to updated Grade Crossing Hazard Analysis being performed now with newly acquired data.

Project Manager: Robert Tam

Principal Designer: RSE

Const. Contractor: Sposeto Engineering

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

FY2019 Grade Crossing Improvements

Project No. 100333

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
35% Design	10/01/19	10/01/19	0	0
65% Design	12/31/19	12/31/19	0	0
100% Design	05/01/20	05/01/20	0	0
IFB	09/01/20	09/01/20	0	0
Bids Due	10/12/20	10/12/20	0	0
Contract Award	12/03/20	12/03/20	0	0
LNTP	02/08/21	02/08/21	0	0
Construction Complete	10/01/21	09/20/21	11	11
Project Finish	12/31/21	12/31/21	0	0

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(D)	(E=C-D)
Engineering	250		250	250	0	0%
ROW/Utilities	0		0	0	0	
Construction	450		450	450	0	0%
CM & DSDC	300		300	300	0	0%
Administration	250		250	250	0	0%
Procurement	0		0	0	0	
Oper. Support	125		125	125	0	0%
Subtotals	1,375	0	1,375	1,375	0	0%
Unallocated Contingency	25		25	25	0	0%
Grand Totals	1,400	0	1,400	1,400	0	0%

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Unactivated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
FY20 STA - Capital (PCJPB)	State	1,000		1,000	1,000	0
SAMTR Non CCF Contribution Prepaid	Local	353		353	353	0
Farebox Revenue for Capital	Other	47		47	47	0
Totals		1,400	0	1,400	1,400	0

FY2019 Grade Crossing Improvements

Project No. **100333**

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
None.			\$ -	

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
None.			

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Reduced the length of the median on 2nd Ave per the city of San Mateo's request.
2. The contractor demolished the median at Glenwood and installed it in the correct location.
3. The city of San Mateo and Menlo Park inspected and approved all work.
4. TASI installed the red solar pavement markers at all 5 locations.
5. All construction activities have been completed.

NEXT KEY ACTIVITIES (top 5)

1. Begin Closeout of the project.

PROJECT NOTES

None.

PROJECT PHOTOS



Photo 1 - New median on 1st Ave in San Mateo



Photo 2 - New LED pavement markers at Glenwood Ave in Menlo Park

Projects in Construction
ROW Communications & Signals

Mary Avenue Traffic Signal Preemption

Project No. 100278

Table 1. Status Summary and Total Project Performance

Project Phase: **Construction/Implementation**

Quarter	Safety	Schedule	Budget	Funding
Current	G	G	G	G
Previous	G	G	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
92.7%	N/A	55%

SCOPE Summary

Caltrain will install an Advance Signal Preemption system at the Mary Avenue grade crossing to provide additional time for the City’s traffic signals at Mary Avenue and Evelyn Avenue to allow Caltrain to pass through.

Project Manager: Robert Tam
 Principal Designer: TBD
 Const. Contractor: Transamerica Services, INC.

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	02/01/18	02/01/18	0	0
35% Design	05/01/19	05/01/19	0	0
65% Design	12/05/19	12/05/19	0	0
100% Design	05/06/20	05/06/20	0	0
Construction Start	07/21/20	07/21/20	0	0
Materials Received	12/28/20	12/28/20	0	0
Construction Complete	06/30/21	06/30/21	0	0
System Testing	12/31/21	12/31/21	0	0
Project Finish	01/31/22	01/31/22	0	0

Mary Avenue Traffic Signal Preemption

Project No. 100278

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering	200		200	0	200	100%
ROW/Utilities			0		0	
Construction	577		577	0	577	100%
CM & DSDC	225		225	150	75	33%
Administration	1,148		1,148	660	488	43%
Procurement	125		125	115	10	8%
Oper. Support	700		700	700	0	0%
Subtotals	2,975	0	2,975	1,625	1,350	45%
Unallocated Contingency	150		150	100	50	33%
Grand Totals	3,125	0	3,125	1,725	1,400	45%

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Unactivated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
Caltrans Sec 130 Agmt #75LX315	State	3,125		3,125	3,125	0
Totals		3,125	0	3,125	3,125	0

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
Coordination with the City of Sunnyvale	Robert Tam Waiting on Sunnyvale to install their advance signal preemption circuit in their traffic controller cabinet.	Frequent meetings and communications about the city's installation schedule.	30	Med

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
City of Sunnyvale traffic controller installation delay	Robert Tam City of Sunnyvale is going to execute a contract for the traffic controller in October.	Close and frequent communications with Sunnyvale about their schedule. Funding agency Caltrans is aware of the city's delay.	12/31/2021

Mary Avenue Traffic Signal Preemption

Project No. **100278**

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Successfully completed the standalone testing of the newly installed advance signal preemption equipment.
2. Notified the City of Sunnyvale Caltrain has completed the installation work for the advance signal preemption and is ready to perform the interconnect testing with the intersection.
3. Conducted a meeting with the City of Sunnyvale on the testing requirements for the advance signal preemption circuit.
4. Continued the coordination and communications with the city of Sunnyvale.

NEXT KEY ACTIVITIES (top 5)

1. Wait until the City of Sunnyvale has installed the intersection advance preemption circuit and ready for testing.

PROJECT NOTES

1. Total Project Estimate at Completion has been updated this quarter as TASI cost for the construction reduced the EAC.

PROJECT PHOTOS



Photo 1 - New advance signal preemption equipment

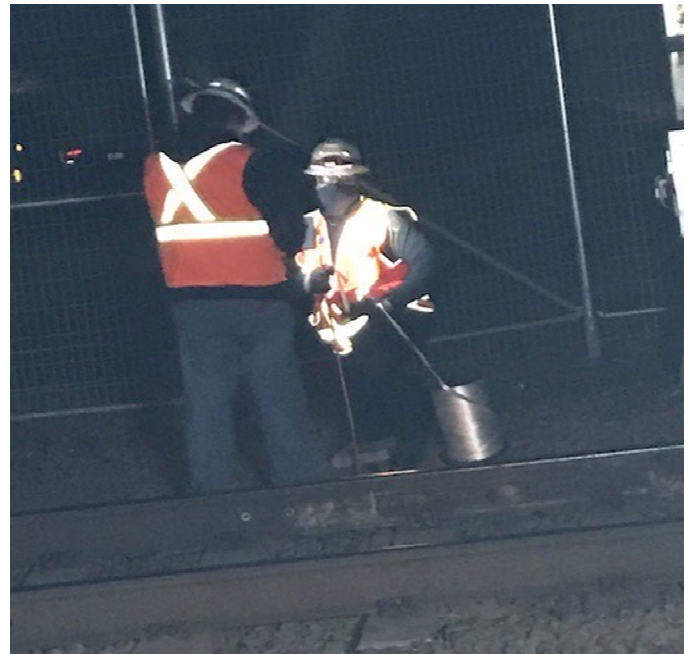


Photo 2 - Workers putting in new signal wires for the train detection in the rail

Projects in Construction
Fare Collection

Ticket Vending Machines (TVM) Rehab

Project No. **100240**

Table 1. Status Summary and Total Project Performance

Project Phase: **Construction/Implementation**

Quarter	Safety	Schedule	Budget	Funding
Current	G	G	G	G
Previous	G	R	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
62.10%	N/A	100%

SCOPE Summary

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 "Complete".

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

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

Project Manager: Robert Tam

Principal Designer: NA

Const. Contractor: Ventek

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	01/01/18	01/01/18	0	0
Bid Opening	09/21/18	09/21/18	0	0
LNTF	12/06/18	12/06/18	0	0
Phase 1 NTP	04/01/19	04/01/19	0	0
Contract Award	04/30/19	04/30/19	0	0
Phase 2 NTP	02/25/20	02/25/20	0	0
Phase 1 Complete	10/31/20	10/31/20	0	0
Phase 2 Complete	03/18/21	03/18/21	0	0
Phase 3 NTP	08/27/21	09/14/21	-18	-18
Phase 3 Complete	03/01/22	03/01/22	0	0
Project Finish	03/31/22	03/31/22	0	0

Ticket Vending Machines (TVM) Rehab

Project No. **100240**

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering			0		0	
ROW/Utilities			0		0	
Construction	1,343		1,343	1,343	0	0%
CM & DSDC			0		0	
Administration	410		410	410	0	0%
Procurement			0		0	
Oper. Support			0		0	
Subtotals	1,753	0	1,753	1,753	0	0%
Unallocated Contingency	42		42	42	0	0%
Grand Totals	1,795	0	1,795	1,795	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Unactivated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
CA-54, CA-2017, CA-2020, CA-2021, Cash Flow for tunnel	Federal	1,216	800	2,016	2,016	0
STA Capital, VTA STA	State	160	245	405	405	0
SFCTA, VTA, SAMTR, Prop K, Fare box	Other	55	377	431	431	0
Totals		1,431	1,422	2,852	2,852	0

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
None.				

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
Issuance of Contract delayed.	Robert Tam The Phase 3 contract has been signed and executed.	Sign and execute agreement for Phase 3.	9/14/2021

Ticket Vending Machines (TVM) Rehab

Project No. **100240**

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Worked with Contracts and Procurement and Ventek to get the Agreement executed for Phase 3 to upgrade 21 TVMs.
2. Received the required insurance from Ventek for the project.
3. Received approval from IT to utilize the IT Resolution No. 2021-28 to execute the Phase 3 contract with Ventek.
4. Issued the Notice to Proceed to Ventek for Phase 3.

NEXT KEY ACTIVITIES (top 5)

1. Receive a schedule for the delivery dates for the equipment and materials.

PROJECT NOTES

None.

PROJECT PHOTOS



Photo 1 - Palo Alto TVM 106



Photo 2 - Prototype TVM Door Graphics



Photo 3 - RWC TVM 65



Photo 4 - San Jose

Projects in Construction
Miscellaneous

Automatic Passenger Counters at 4th & King

Project No. 100445

Table 1. Status Summary and Total Project Performance

Project Phase: **Construction/Implementation**

Quarter	Safety	Schedule	Budget	Funding
Current	G	Y	G	G
Previous	G	G	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
81.58%	N/A	100%

1. Loss of previous Project Manager has caused schedule delays. Njomele Hong has been assigned as the new Project Manager

SCOPE Summary

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.

Project Manager: Njomele Hong
 Principal Designer: NA
 Const. Contractor: Centum Adetel Transportation

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	12/01/19	12/01/19	0	0
Issue RFP	05/01/20	05/01/20	0	0
Award Contract	02/03/21	02/03/21	0	0
Complete Construction	10/31/21	11/30/21	-30	-30
Project Finish	12/15/21	12/15/21	0	0

Automatic Passenger Counters at 4th & King

Project No. 100445

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering	15		15	15	0	0%
ROW/Utilities			0		0	
Construction	85		85	85	0	0%
CM & DSDC			0		0	
Administration	140		140	140	0	0%
Procurement			0		0	
Oper. Support	110		110	110	0	0%
Subtotals	350	0	350	350	0	0%
Unallocated Contingency	50		50	50	0	0%
Grand Totals	400	0	400	400	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Unactivated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
SFCTA Prop K	Local	400		400	400	0
Totals		400	0	400	400	0

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
Validation	Centum Adetel ----- Android Interface and server validation is anticipated to finish 11/30/21.	No Mitigation, only this provider can do this work, The provider cannot add more people or resources.	----- 10	Low

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
APC Cisco Support Contract	Njomele Hong ----- Graybar transition support contract to Caltrain.	Elevated the situation to the supplier's management (Greybar) & Subcontractor Management (Morrow Meadows).	10/15/2021
Loss of Project Manager	Robert Tam ----- Njomele Hong has been designated as the new Project Manager replacing Christian Montoya.	Search for another Project Manager.	9/13/2021

Automatic Passenger Counters at 4th & King

Project No. **100445**

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Contractor completed the electrical work at the station for the APC sensors.
2. Contractor furnished the Wi-Fi Access Point for the station.
3. IT worked on configuring the Wi-Fi access point. Need to contact the supplier for more information.
4. Vendor is preparing to ship the APC sensors to JPB.
5. TASI subcontractor Morrow Meadows installed APC in station.

NEXT KEY ACTIVITIES (top 5)

1. Configure and test APC.
2. Receive and discuss the data file Comma Separated Values (CSV).
3. Receive results of validation by the end of October.

PROJECT NOTES

None.

PROJECT PHOTOS

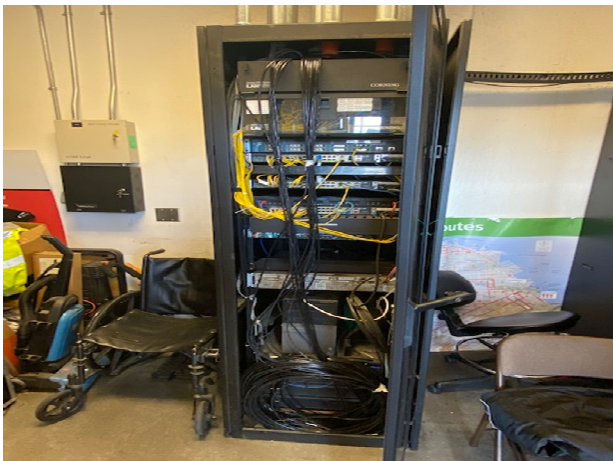


Photo 1 - Thumbnail



Photo 2 - Doors 1, 2, 3 and 4



Photo 3 - Doors 9, 10, 11 and 12



Photo 4 - Doors 5, 6, 7 and 8 APC









Projects in Design
Grade Separations

Burlingame Broadway Grade Separation

Project No. **100244**

Table 1. Status Summary and Total Project Performance

Project Phase: **Final Design**

Quarter	Safety	Schedule	Budget	Funding
Current	G 	R 	G 	G 
Previous	G 	Y 	G 	G 

Progress (%)	Change Prev. Qtr.	EAC/Budget
2.7%	N/A	100%

1. The City of Burlingame is questioning JPB's decision to use the Center Boarding Platform alternative related to the Value Engineering Option 3.

SCOPE Summary

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.

Project Manager: Alex Acenas
 Principal Designer: Mark Thomas
 Const. Contractor: NA

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Burlingame Broadway Grade Separation

Project No. **100244**

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	12/18/17	12/18/17	0	0
Preliminary Design 35%	06/28/19	06/28/19	0	0
DCE application to FTA for NEPA clearance	01/31/20	01/31/20	0	0
Environmental Clearance	03/31/20	03/31/20	0	0
Final Design Award	11/05/20	11/05/20	0	0
Final Design NTP	01/04/21	01/04/21	0	0
Burlingame/Broadway Paralleling Station - PS-3 MOU	09/02/21	09/02/21	0	0
Finish Value Engineering Work	08/30/21	10/31/21	-62	-62
65% Design	01/03/22	01/03/22	0	0
95% Design	01/02/23	01/02/23	0	0
All Permits Received	07/25/23	07/25/23	0	0
Final Design IFB	09/30/23	09/30/23	0	0
Utility Relocation Complete	12/31/23	12/31/23	0	0
Construction Award	03/31/24	03/31/24	0	0
Construction NTP	04/01/24	04/01/24	0	0
Construction Complete	07/31/27	07/31/27	0	0
Project Finish	10/31/27	10/31/27	0	0

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)	(D)	(E=C-D)	(F=E/C)
Engineering	2,975	14,300	17,275	17,275	0	0%
ROW/Utilities	80	20	100	100	0	0%
Construction		0	0	0	0	
CM & DSDC		100	100	100	0	0%
Administration	901	2,899	3,800	3,800	0	0%
Procurement		0	0	0	0	
Oper. Support	164	401	565	565	0	0%
Subtotals	4,120	17,720	21,840	21,840	0	0%
Unallocated Contingency	230	2,318	2,548	2,548	0	0%
Grand Totals	4,350	20,038	24,388	24,388	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Burlingame Broadway Grade Separation

Project No. **100244**

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Un-activated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
SMCTA Cap Contr	Local	4,550	18,863	23,413	23,413	0
City of Burlingame MOU Grad Sep	Other	1,500	500	2,000	2,000	0
Totals		6,050	19,363	25,413	25,413	0

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
None.	-----		\$ -	Med

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
1. VE Option #3: Center vs side boarding platform	Alex A, Caltrain PM ----- On 9/29/21, City of Burlingame responded to Caltrain's 8/2/21 email that responded to PW Asst. Dir. Art Morimoto's 6/8/21 email outlining City's concern re impacts of center boarding platform design.	A meeting with the SMCTA, Burlingame and JPB is scheduled on 10/15/21 to discuss next steps toward resolving this issue.	TBD

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Met with the City and the TA to resolve the issue of VE Option #3.
2. Agreed upon VE Options 1, 2 4 & 5 with City of Burlingame and proceed to 65% design.
3. Consider engineering design alternatives to preclude impacting Easton Creek while allowing for a center boarding platform.
4. Finalized bus stop locations at Broadway station.
5. Continued geotechnical investigation, analysis of Easton Creek and Sanchez Creek hydraulics and design development on those elements of the project that are not impacted by VE Options.

NEXT KEY ACTIVITIES (top 5)

1. Proceed to 65% design.
2. Revise the baseline schedule to allow succeeding milestones to be completed on time.

PROJECT NOTES

Burlingame Broadway Grade Separation

Project No. 100244

PROJECT PHOTOS



Photo 1 - After construction (rendering)



Photo 3 - Pedestrian Station Entrance East (rendering)



Photo 3 - Broadway/California Dr. (rendering)



Photo 4 - Center Board Platform (rendering)

Rengstorff Grade Separation

Project No. 100482

Table 1. Status Summary and Total Project Performance

Project Phase: **Preliminary Design**

Quarter	Safety	Schedule	Budget	Funding
Current	G	Y	G	G
Previous	G	Y	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
1.24%	N/A	100%

1. 35% design submittal delayed due to additional geotechnical investigation and traffic studies.

SCOPE Summary

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 Rengstorff 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 of approximately 1,200 feet of Rengstorff Avenue and 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.

Project Manager: Mehdi Arbabian

Principal Designer: AECOM

Const. Contractor: N/A

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Rengstorff Grade Separation

Project No. 100482

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Δ Prev Quarter
	(A)	(B)	(C=A-B)	(D)
Preliminary Design	12/15/21	03/15/22	-90	-90
MOU/ CO-OP Agreement with COM for Final Design	12/15/21	02/03/22	-50	-50
65% Design	03/06/23	03/06/23	0	0
95% Design	08/02/23	08/02/23	0	0
100% Design	02/02/24	02/02/24	0	0
All Permits Received	02/03/24	02/03/24	0	0
Construction Contract Award - Board Approval	01/02/25	01/02/25	0	0
Construction Completion	10/01/27	10/01/27	0	0
Project Finish	12/21/27	12/21/27	0	0

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)	(D)	(E=C-D)	(F=E/C)
Engineering	2,500		2,500	2,500	0	0%
ROW/Utilities	70		70	70	0	0%
Construction	0		0	0	0	
CM & DSDC	0		0	0	0	
Administration	875		875	875	0	0%
Procurement	0		0	0	0	
Oper. Support	55		55	55	0	0%
Subtotals	3,500	0	3,500	3,500	0	0%
Unallocated Contingency	0		0	0	0	
Grand Totals	3,500	0	3,500	3,500	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Rengstorff Grade Separation

Project No. 100482

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Un-activated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
City of Mountain View MOU	Other	3,500		3,500	3,500	0
Totals		3,500	0	3,500	3,500	0

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
1- County not on board w/ full depressed intersection	City/JPB/ AECOM Working through Engineering issues regarding sight & breaking distances as well as transition grades.	Prepared reference & engineering data to support grade & alignment	\$ 10,000 None	Med

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
1 - Delay in conducting traffic analysis and Geo-technical Investigation may impact the design schedule.	AECOM/City Obtained additional data from the County & City	City & AECOM	10/1/2021
2 - Develop multi-party Memorandum Of Understanding among JPB, VTA, City of Mountain View.	JPB/City/County/VTA Pending City negotiations with VTA for funding in December 2021.	Mehdi A./ Joy H.	2/1/2022

Rengstorff Grade SeparationProject No. **100482****KEY ACTIVITIES - Current Reporting Quarter (top 5)**

1. AECOM completed the preliminary probable construction estimate and forwarded to the City for their comments.
2. PCJPB's Contracts & Budgets group are reviewing AECOM's invoices, rates, and escalation as well as the new WD approved and negotiated by PM for processing.
3. AECOM developed Site plan to perform Geotechnical Investigation and applying for permits through SCVWD.

NEXT KEY ACTIVITIES (top 5)

1. Expect to get resolution from PCJPB's Contracts & Budgets group regarding the AECOM's WD for the Geotechnical Investigation and traffic study.
2. Continue monthly meeting updates with the City and AECOM.
3. Plan to get the driller out (sub-contractor to AECOM) to perform geotech information gathering.

PROJECT NOTES**PROJECT PHOTOS**

Photo 1 - Project Rendering

Mountain View Transit Center and Grade Separation & Access Project

Project No. **100617**

Table 1. Status Summary and Total Project Performance

Project Phase: **Procurement**

Quarter	Safety	Schedule	Budget	Funding
Current	G ●	G ●	G ●	G ●
Previous	N/A	N/A	N/A	N/A

Progress (%)	Change Prev. Qtr.	EAC/Budget
0.69%	N/A	100%

SCOPE Summary

In May 2017, Mountain View City Council adopted the Transit Center Master Plan as the first step in a multi-year process to plan, design and construct the new station area and improve Castro Street. The master planning process considered interrelated options for station access, expressway crossing, grade separation, platform extension, bus/shuttle circulation, vehicle parking and joint development with a view to supporting future Downtown vitality, station access, and multimodal Circulation.

The conceptual plan adopted by Council includes redirection of Castro Street at West Evelyn Avenue; construction of a new ramp from West Evelyn Avenue to Shoreline Boulevard; installation of pedestrian and bicycle undercrossings across the expressway and Caltrain tracks; changes to Moffett/Central intersection; and platform widening and extension to the west. Update the Milestone list for the project and only include major milestones. The co-op agreement between VTA, JPB, and Mountain View has been signed, as JPB is the lead implementing agency to delivery final design, and construction. VTA is the funding sponsor, as Mountain View is a vital partner in reviewing final design deliverables and coordinating activities within its right of way.

Project Manager: Alvin Piano
 Principal Designer: TBD
 Const. Contractor: TBD

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	01/01/20	01/01/20	0	0
Award Design Contract	07/07/22	07/07/22	0	0
NTP for Final Design	07/08/22	07/08/22	0	0
Final Design Completion	07/31/23	07/31/23	0	0
All Permits Received	07/31/23	07/31/23	0	0
Award Construction Contract	04/15/24	04/15/24	0	0
NTP for Construction	06/01/24	06/01/24	0	0
Construction Completion	06/30/26	06/30/26	0	0
Project Closeout	09/30/26	09/30/26	0	0

Mountain View Transit Center and Grade Separation & Access Project

Project No. 100617

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)	(D)	(E=C-D)	(F=E/C)
Engineering	7,000		7,000	7,000	0	0%
ROW/Utilities	200		200	200	0	0%
Construction			0		0	
CM & DSDC	291		291	291	0	0%
Administration	788		788	788	0	0%
Procurement	200		200	200	0	0%
Oper. Support	200		200	200	0	0%
Subtotals	8,679	0	8,679	8,679	0	0%
Unallocated Contingency	1,456		1,456	1,456	0	0%
Grand Totals	10,135	0	10,135	10,135	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Unactivated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)	(D)	(E=C-D)
City of Mountain View	Other	135		135	135	0
VTA	Other	10,000		10,000	10,000	0
Totals		10,135	0	10,135	10,135	0

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
Final Design GEC Estimates are of high value	TBD JPB to work with VTA and Mountain View.	Project to discuss next steps with funding partners.	-----	Med

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
Co-Op Agreement - final design non-compliance	TBD Executed co-op agreement shows final design to start in July 2021.	Project to internally discuss next steps.	TBD
Environmental CEQA determination	TBD JPB Environmental must conduct a CEQA Evaluation on the City of Mountain Views Environmental documents.	Legal determined CEQA determination is not require the Board to "Approve" the JPB report. This item will be included during the issuance of the Final Design contract to the GEC.	TBD
FY22 Budget Set Up	TBD FY22 Budget has been approved, which reflects \$10M for the project to support final design activities.	Project to internally discuss next steps.	TBD

Mountain View Transit Center and Grade Separation & Access Project

Project No. **100617**

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Coordinated with Contracts & Procurement Division for RFP checklist requirements.
2. Prepared Request for Proposal (RFP) draft for Technical Working Group to review.
3. Coordinated with Environmental Division for CEQA Determination Review.
4. Reached out to County of Santa Clara to engage in third party service agreement for future design review.

NEXT KEY ACTIVITIES (top 5)

1. Conduct meetings with Technical Working Group to discuss RFP package and edits.
2. Prepare and Edit RFP drafts that incorporates the Technical Working Group comments.
3. Prepare Phase Gate Form in preparation for Management Committee Meeting for November 2021.

PROJECT NOTES

This project previously was assigned number 100369 during the planning phase.

PROJECT PHOTOS



Photo 1 - Ariel view of Castro Street in Mountain View, CA



Photo 2- Project rendering of overall project



Photo 3 - Project rendering of undercrossing



Photo 4 - Project rendering of pedestrian flow via undercrossing

Projects in Design
ROW Bridges

Guadalupe River Bridges Replacement and Extension

Project No. **002113**

Table 1. Status Summary and Total Project Performance

Project Phase: **Final Design**

Quarter	Safety	Schedule	Budget	Funding
Current	G	Y	G	Y
Previous	G	G	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
13.1%	N/A	100%

1. Identified sources of funds cover the estimated project costs. Agency has not received or activated the entirety of those identified funds.
2. Commencement of arbitration delayed based on UPRR proposed dates.

SCOPE Summary

The purpose of the project is to address the instability of the Guadalupe River channel in the vicinity of the two rail road bridges, MT1 and MT2 over the Guadalupe River in San Jose and addressing the long-term public safety and service reliability. The work consists of:

- Full replacement of MT1 bridge built in 1935 on wooden piles from a 187-foot in length to new 265-foot bridge with center span of 110 foot over the river.
- Partial Replacement of MT2 bridge which was built in 1990 by replacing the south abutment and extending it from an existing of 195 feet bridge to approximately 250 feet.
- Relocation of communications and Fiber Optic lines and extensive channel grading that causes major erosion and scour during the high flow events.

Project Manager: Mehdi Arbabian
 Principal Designer: HDR Engineering, Inc.
 Const. Contractor: N/A

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Guadalupe River Bridges Replacement and Extension

Project No. 002113

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	08/21/17	08/21/17	0	0
Preliminary Design (35%)	04/30/20	04/30/20	0	0
Preliminary Design (65%)	11/30/20	11/30/20	0	0
Environmental Clearance NEPA	04/27/21	04/27/21	0	0
Final Design	10/01/21	10/01/21	0	0
95% design completion & reviews	10/21/21	11/01/21	-11	-11
Final Design docs (100%)	11/16/21	11/16/21	0	0
Commencement of Arbitration with UPRR	11/08/21	12/13/21	-35	-35
Funding Approval by the Board	06/02/22	03/01/22	93	93
Environmental Permits	03/02/22	03/02/22	0	0
All Permits Received	03/02/22	03/02/22	0	0
Award construction contract by the Board	03/03/22	04/07/22	-35	-35
Executing Contract & LNTP	05/15/22	05/09/22	6	6
Construction Completion	03/05/24	03/05/24	0	0
Project Finish	06/17/24	06/17/24	0	0

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(D)	(E=C-D)
Engineering	1,800	4,000	5,800	6,000	-200	-3%
ROW/Utilities		1,500	1,500	1,500	0	0%
Construction	0	0	0	0	0	0%
CM & DSDC		2,000	2,000	1,800	200	10%
Administration	500	2,050	2,550	2,550	0	0%
Procurement		0	0	0	0	0%
Oper. Support	0	900	900	900	0	0%
Subtotals	2,300	10,450	12,750	12,750	0	0%
Unallocated Contingency		1,639	1,639	1,639	0	0%
Grand Totals	2,300	12,089	14,389	14,389	0	0%

Estimate at Completion in this table applies only to scope that has approved budget. Construction budget has not been approved yet.

Guadalupe River Bridges Replacement and Extension

Project No. **002113**

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Un-activated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
SAMTR Non CCF Prepaid	Local	100		100	100	0
VTA Non CCF Prepaid	Other	400		400	400	0
SFCTA Prop K	Other	1,828		1,828	1,828	0
FTA	Federal	9,880	1591	11,471	9,880	1,591
VTA STA SOGR Cap	State	193	397.8	590	193	398
Totals		12,400	1,989	14,389	12,400	1,989

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
1- Missing 2022 construction season	JPB Legal	Seek settlement authority from JPB Board – tender settlement offer to avoid arbitration.	\$ 20,000	High
	Awaiting the outcome of arbitration		365	
2- 3rd Fiber Optic (leases thru. UPRR)	JPB Legal	Developing strong case with supporting documents and help from senior management, technical group and our attorneys to prevail in the arbitration proceeding	\$ 1,000	Med
	Pending resolution on Arbitration		TBD	
3- MT-1 Bridge failure (structurally or due to flood)	JPB	1. Perform another independent bridge inspection (other than TASI) 2. UPRR design by Benesch is being evaluated by AECOM & HDR	\$ 20,000	Med
	Proceeding with 100% design		TBD	

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
UPRR Arbitration	JPB legal & Sr. Management	Work with Technical/Legal team to build strong case to present to Arbitration Panel on 12/13/21 - 12/16/21.	3/23/2022
	Awaiting the outcome of arbitration		

Guadalupe River Bridges Replacement and ExtensionProject No. **002113**

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Legal team is discussing with UPRR and most likely be resolved in Arbitration proceeding before project goes into construction. PCJPB need to engage the F.O. carriers and since they are in a lease agreement with the UPRR and not the JPB, we will have to wait for the outcome of the Arbitration.
2. Final design is progressing towards the 100%. Awaited submittal of the final design for JPB's review.

NEXT KEY ACTIVITIES (top 5)

1. Expect update with respect to Arbitration proceedings with UPRR from the legal team. Attend several Team meeting in preparation for Arbitration which is scheduled to commence on 12/13/21.
2. Continue working on the 95%/100% design and expect design documents delivery for review.
3. Evaluate order of construction (MT-1 then MT-2 or MT-2 then MT-1). Adjust construction phasing plans as needed.
4. Submit for environmental permits.

PROJECT NOTES

1. FY2022 Capital Budget of \$2M approved at June board approved was added this quarter.
 2. After Arbitration/Settlement, seek Board approval for construction budget.
-

Guadalupe River Bridges Replacement and Extension

Project No. **002113**

PROJECT PHOTOS



Photo 1 - Aerial View Caltrain MT1 & MT2 Bridges near SR 87 in San Jose

San Francisquito Bridge Inspection and Due Diligence

Project No. 100427

Table 1. Status Summary and Total Project Performance

Project Phase: Preliminary Design

Quarter	Safety	Schedule	Budget	Funding
Current	G	G	G	G
Previous	G	G	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
0.2%	N/A	100%

SCOPE Summary

This project includes a detailed inspection conditions assessment of the San Francisquito Creek Bridge located in Palo Alto, California. The information from the inspection report will determine the potential options the project may consider. Please also note, this bridge is 119 years old (built in 1902) and is approaching the end of its design life.

Project Manager: Alvin Piano
 Principal Designer: AECOM
 Const. Contractor: TBD

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Δ Prev Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	03/02/21	03/02/21	0	0
Planning Start	08/01/21	08/01/21	0	0
Preliminary Design Complete	08/31/23	08/31/23	0	0
Final Design Complete	10/31/31	10/31/31	0	0
All Permits Received	11/01/31	11/01/31	0	0
IFB	10/31/31	10/31/31	0	0
Main Contract Award	05/31/32	05/31/32	0	0
NTP	06/01/32	06/01/32	0	0
Construction Complete	07/03/34	07/03/34	0	0
Close Project	01/02/35	01/02/35	0	0

San Francisquito Bridge Inspection and Due Diligence

Project No. 100427

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)	(D)	(E=C-D)	(F=E/C)
Engineering	541	400	941	941	0	0%
ROW/Utilities			0	0	0	
Construction			0	0	0	
CM & DSDC		530	530	530	0	0%
Administration	59	420	479	479	0	0%
Procurement		250	250	250	0	0%
Oper. Support			0	0	0	
Subtotals	600	1,600	2,200	2,200	0	0%
Unallocated Contingency			0		0	
Grand Totals	600	1,600	2,200	2,200	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Un-activated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)	(D)	(E=C-D)
CA-2020-133	Federal	480	1,600	2,080	2,080	0
FY20 SFCTA Prop K 122	Other	120		120	120	0
Totals		600	1,600	2,200	2,200	0

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in \$Ks)

ID - Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
None				

San Francisquito Bridge Inspection and Due Diligence

Project No. **100427**

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
Bridge Inspection Schedule Extension	Alvin Piano Project has three identified inspection dates: 9/4 & 9/5; 9/18 & 9/19; and 10/16 & 10/17; however the analysis will require an extension to finish the deliverable that will be beyond 12/31/21.	Project to internally discuss next steps.	TBD
Homeless Encampment Debris Clean Up	Alvin Piano Closed. The underside of the bridge has a homeless camp and the site has developed hazard debris, which will require TASI support to clean up.	Bridge staff to clean up debris prior to inspection activities.	TBD
SF Creek JPA Creek Permits	Alvin Piano SF Creek JPA may require permits beyond 10/15 for inspection due to 'rainy season' conditions	Project to internally discuss next steps.	TBD

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Prepared and Processed Work Directive Amendment to TASI for ROW Support.
2. Prepared and Processed Work Directive to HNTB for Detailed Inspection Conditions Report.
3. Conducted coordination meetings with Bridge Team, Planning Team, and TASI Team for future inspection work.
4. Ensured TASI resources are available for more invasive inspection during the month of October 2021.

NEXT KEY ACTIVITIES (top 5)

1. Prepare and submit SSWP's for field inspections.
2. Confirm with TASI for resources during inspections.
3. Coordinate meeting with JPB Planning Team for project updates.
4. The inspection report and the loading report is forthcoming in late 2021/early 2022.
5. Coordinated with homeless encampment and local social service providers to communicate inspection dates/details in advance of the inspections.

PROJECT NOTES

San Francisquito Bridge Inspection and Due Diligence

Project No. 100427

PROJECT PHOTOS



Photo 1 - Inspection crews via underside of bridge via south side



Photo 2 - Inspection crew cleaning up debris



Photo 3 - Inspection crew setting ladder via north side











Photo 4 - Inspection crew via north side abutment

Bayshore Station Overpass Pedestrian Bridge Rehab

Project No. **100439**

Table 1. Status Summary and Total Project Performance

Project Phase: **Procurement**

Quarter	Safety	Schedule	Budget	Funding
Current	G 	G 	R 	R 
Previous	G 	R 	R 	R 

Progress (%)	Change Prev. Qtr.	EAC/Budget
3.54%	N/A	183%

1. Budget and Funding reflect red status because the current budget is not enough to fund construction phase.
2. Project is coordinating with Contracts and Procurement group for IFB phase and schedule Bid milestones.

SCOPE Summary

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.

Project Manager: Alvin Piano
 Principal Designer: TBD
 Const. Contractor: TBD

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Δ Prev Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	01/01/20	01/01/20	0	0
100% IFB Package	07/01/21	07/01/21	0	0
IFB Advertising	11/01/21	11/01/21	0	0
Award	03/03/22	03/03/22	0	0
LNTF	04/01/22	04/01/22	0	0
NTP	06/01/22	06/01/22	0	0
Construction Complete	12/30/22	12/30/22	0	0
Project Finish	03/31/23	03/31/23	0	0

Bayshore Station Overpass Pedestrian Bridge Rehab

Project No. **100439**

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering	200		200	300	-100	50%
ROW/Utilities	0		0	220	-220	
Construction	925		925	2,210	-1,285	139%
CM & DSDC	660		660	541	119	-18%
Administration	265		265	350	-85	32%
Procurement	27		27	0	27	-100%
Oper. Support	90		90	375	-285	317%
Subtotals	2,167	0	2,167	3,996	-1,829	84%
Unallocated Contingency	134		134	220	-87	65%
Grand Totals	2,300	0	2,300	4,216	-1,916	83%

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Un-activated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
FY20 STA VTA SOGR Cap Membr Co	State	1,208		1,208	322	886
FY20 SFCTA Prop K 120-911065 & VTA SOGR	Other	1,092		1,092	310	782
Totals		2,300	0	2,300	632	1,668

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

ID - Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
Funding	----- Project to coordinate with Rail Operations and Grants teams for next steps.	Work with Rail Ops to secure \$1.07M of funding and Grants to apply for LPP for remaining delta of funds.	\$ - TBD	Med

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
Secure additional funding	----- Project to coordinate with Rail Operations and Grants teams for next steps.	Work with Rail Ops to secure \$1.07M of funding and Grants to apply for LPP for remaining delta of funds.	3/16/2022

Bayshore Station Overpass Pedestrian Bridge Rehab

Project No. **100439**

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Coordinated with management to secure additional funds to support actual construction activities.
2. Coordinated with Contracts and Procurement Division for IFB Checklist requirements.

NEXT KEY ACTIVITIES (top 5)

1. Coordinate with Management for additional funds for the project to support a construction notice to proceed date in April 2022.
 2. Coordinate with Real Estate to start the permits process to secure ROW access on East and West Side.
 3. Coordinate with Contracts and Procurement Division to start the advertising process for the IFB package.
 4. Coordinate with Rail Ops and Grants team for funding re-allocation to support local matching for future LPP grant application.
-

PROJECT NOTES

1. Additional funding needs to be activated.
-

Bayshore Station Overpass Pedestrian Bridge Rehab

Project No. 100439

PROJECT PHOTOS

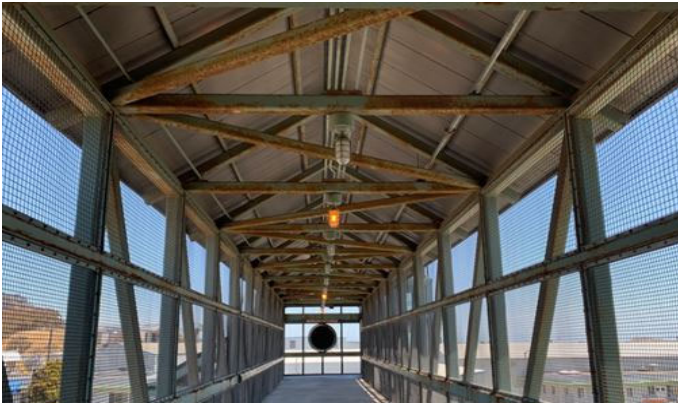


Photo 1 - Pedestrian bridge



Photo 2 - Pedestrian bridge (underside)



Photo 3 - Stair Case (west side)



Photo 4 - Stair Case (east side)

Projects in Design
ROW Grade Crossings

Churchill Avenue Grade Crossing

Project No. **100426**

Table 1. Status Summary and Total Project Performance

Project Phase: **Final Design**

Month	Safety	Schedule	Budget	Funding
Current	G	G	G	G
Previous	G	R	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
13.45%	N/A	100%

SCOPE Summary

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.

Project Manager: Robert Tam

Principal Designer: RSE

Const. Contractor: N/A

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
35% Design	03/02/20	03/02/20	0	0
65% Design	07/01/21	07/01/21	0	0
100% Design	11/01/21	11/01/21	0	0
IFB	01/03/22	01/03/22	0	0
Construction Contract Award	04/07/22	04/07/22	0	0
LNTP	05/13/22	05/13/22	0	0
Construction Complete	12/30/22	12/30/22	0	0
Project Finish	03/31/23	03/31/23	0	0

Churchill Avenue Grade Crossing

Project No. 100426

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering	150		150	150	0	0%
ROW/Utilities			0		0	
Construction	1,500		1,500	1,500	0	0%
CM & DSDC	230		230	230	0	0%
Administration	455		455	455	0	0%
Procurement	0		0	0	0	
Oper. Support	80		80	80	0	0%
Subtotals	2,415	0	2,415	2,415	0	0%
Unallocated Contingency	105		105	105	0	0%
Grand Totals	2,520	0	2,520	2,520	0	0%

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Unactivated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
Sec 130 Grant 75LX334	State	2,520		2,520	2,520	0
Totals		2,520	0	2,520	2,520	0

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
None.	-----		\$ -	

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
City of Palo Alto design delays	Robert Tam ----- The city of Palo Alto finished their 50% design and plans to have the 100% design done by October.	Close coordination and monthly meetings with City of Palo Alto and their design consultant.	TBD

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Continued to coordinate the design with the City of Palo Alto design consultant and had a monthly meeting with the city.
2. Conducted a meeting with the city's design firm to finalize the 100% design package.

NEXT KEY ACTIVITIES (top 5)

1. Continue coordinate the design with the City of Palo Alto.
2. Receive the 100% design package.

Churchill Avenue Grade Crossing

Project No. 100426

PROJECT NOTES

None.

PROJECT PHOTOS



Photo 1 - Churchill Ave

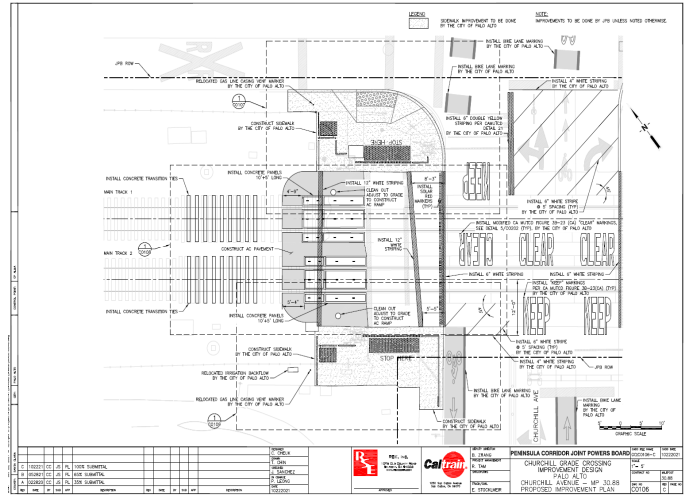


Photo 2 - Churchill Ave Grade Crossing Improvements

San Mateo Grade Crossing Improvements

Project No. 100566

Table 1. Status Summary and Total Project Performance

Project Phase: Final Design

Quarter	Safety	Schedule	Budget	Funding
Current	G	G	G	G
Previous	G	G	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
6.12%	N/A	100%

SCOPE Summary

This project will design and implement safety improvements including quad gates or exit gates at the 4th and 5th Ave grade crossings in San Mateo. This project will make the two grade crossings safer for the train, motorist and pedestrians. The project is funded by the CPUC/Caltrans Section 130 program.

Project Manager: Robert Tam
 Principal Designer: RSE
 Const. Contractor: TBD

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	02/26/21	02/26/21	0	0
Work Plan and SMRC Approval	02/26/21	02/26/21	0	0
Issue Design Work Directive	03/22/21	03/22/21	0	0
35% Design	06/30/21	06/30/21	0	0
65% Design	09/30/21	09/30/21	0	0
100% Design	12/31/21	12/31/21	0	0
IFB	03/01/22	03/01/22	0	0
Award Construction Contract	07/07/22	07/07/22	0	0
NTP	09/01/22	09/01/22	0	0
Construction Complete	09/01/23	09/01/23	0	0
Close Project	01/02/24	01/02/24	0	0

San Mateo Grade Crossing Improvements

Project No. 100566

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering	900		900	900	0	0%
ROW/Utilities			0		0	
Construction	3,000		3,000	3,000	0	0%
CM & DSDC	220		220	220	0	0%
Administration	1,090		1,090	1,090	0	0%
Procurement			0		0	
Oper. Support	50		50	50	0	0%
Subtotals	5,260	0	5,260	5,260	0	0%
Unallocated Contingency	211		211	211	0	0%
Grand Totals	5,471	0	5,471	5,471	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Unactivated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
Section 130 Grant EA#75280A	State	2,000		2,000	2,000	0
Totals		2,000	0	2,000	2,000	0

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
Coordination with PCEP signal work at the crossings.	Robert Tam ----- PCEP is schedule to perform and complete their work in early 2022.	Monthly meetings with PCEP to coordinate our schedules.	\$ - -----	

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
None	-----		

San Mateo Grade Crossing Improvements

Project No. **100566**

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Received the 65% design package and sent it out to the stakeholders for review.
2. Continued to have monthly meetings with the city of San Mateo and the funding sponsor Caltrans.

NEXT KEY ACTIVITIES (top 5)

1. Receive and incorporate the review comments into the design.
2. Complete the 100% final design.

PROJECT NOTES

1. Total Project Budget and EAC has been updated this quarter as per Project Manager's latest analysis.
2. Currently, Project funding has been approved for the design phase only. Construction funding has not been approved.

PROJECT PHOTOS

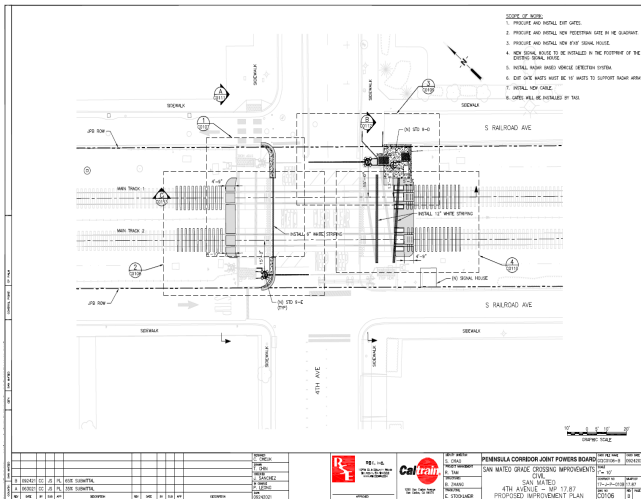


Photo 1 - San Mateo Grade Crossing Improvements

Projects in Design
ROW Communications & Signals

Broadband Wireless Communications System

Project No. **100403**

Table 1. Status Summary and Total Project Performance

Project Phase: **Procurement**

Month	Safety	Schedule	Budget	Funding
Current	G	Y	G	Y
Previous	G	Y	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
3.46%	N/A	100%

1. Schedule delayed due to commercial, technical and legal reviews – mitigation is that the commercial and technical reviews are complete, legal review is complete and is being addressed – RFP to be issued 1 month later now.
2. Some of the project's funding is pending activation. These funds will be activated for the construction phase.

SCOPE Summary

The project will design a broadband wireless communications system along the Caltrain corridor for the wayside train maintenance diagnostics and passenger Wi-Fi 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.

Project Manager: Robert Tam
 Principal Designer: Xentrans
 Const. Contractor: TBD

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	11/11/19	11/11/19	0	0
Notice to Proceed	11/11/19	11/11/19	0	0
Requirements Gathering	02/13/20	02/13/20	0	0
RF Study	08/10/20	08/10/20	0	0
Rough Cost Estimate	08/21/20	08/21/20	0	0
Conceptual Design	11/19/20	11/19/20	0	0
Issue RFP	09/15/21	10/08/21	-23	-23
Live Demonstration	11/15/21	01/04/22	-50	-50
Award Construction Contract	02/03/22	03/03/22	-28	-28
Complete Construction	09/30/23	09/30/23	0	0
Project Finish	12/31/23	12/31/23	0	0

Broadband Wireless Communications System

Project No. 100403

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering	560		560	560	0	0%
ROW/Utilities			0		0	
Construction	10,000		10,000	10,000	0	0%
CM & DSDC	800		800	800	0	0%
Administration	1,000		1,000	1,000	0	0%
Procurement	50		50	50	0	0%
Oper. Support	500		500	500	0	0%
Subtotals	12,910	0	12,910	12,910	0	0%
Unallocated Contingency	1,090		1,090	1,090	0	0%
Grand Totals	14,000	0	14,000	14,000	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Unactivated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
FY19 TIRCP	State	14,000		14,000	2,000	12,000
Totals		14,000	0	14,000	2,000	12,000

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
1 - No reasonable proposals from the RFP	Robert Tam ----- Waiting on Legal review to issue the RFP.	Worked with consultant to develop a RFP that is aligned with the industry standards and existing systems.	-----	Low
2 - Utilizing OCS poles and modifying EMU cars.	Robert Tam ----- Working with PCEP team	Frequent communications with the PCEP team about schedule and use of infrastructure.	-----	Med

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
Long review time for RFP	Robert Tam ----- Issued the RFP on Oct 8, 2021	Addressed all of Legal's comments and issue RFP.	10/8/2021

Broadband Wireless Communications System

Project No. **100403**

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Obtained approval from Caltrans to use a Request For Proposal(RFP) procurement approach.
2. Completed the Request For Proposal.
3. Received comments from Legal and incorporated their comments in the RFP.

NEXT KEY ACTIVITIES (top 5)

1. Advertise the RFP.
2. Issue the RFP.

PROJECT NOTES

1. Project Estimate at Completion has been updated this period.

PROJECT PHOTOS

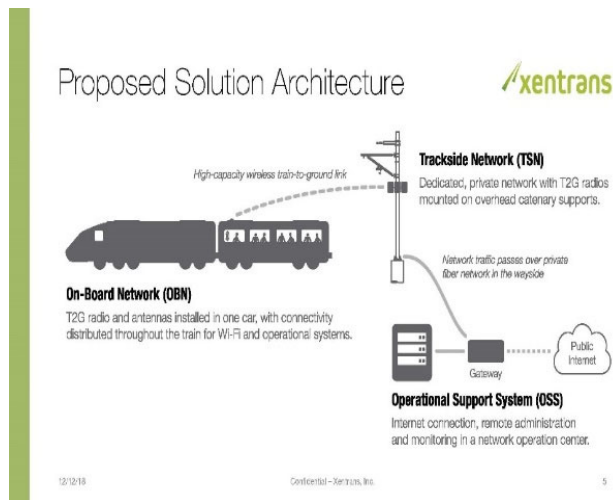


Photo 1 - Broadband Wireless Communications System Conceptual Design

Next Generation Visual Messaging Sign (VMS)

Project No. **100449**

Table 1. Status Summary and Total Project Performance

Project Phase: **Final Design**

Quarter	Safety	Schedule	Budget	Funding
Current	G	R	G	G
Previous	G	R	G	G

Progress (%)	Change Prev. Qtr.	EAC/Budget
53.00%	N/A	100%

1. Loss of previous Project Manager has caused schedule delays. Njomele Hong has been assigned as the new Project Manager.

SCOPE Summary

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.

Project Manager: Njomele Hong
 Principal Designer: TBD
 Const. Contractor: TBD

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	05/01/20	05/01/20	0	0
Requirement Documents	09/30/21	12/30/21	-91	-91
RFP	10/30/21	01/30/22	-92	-92
Project Finish	01/14/22	03/14/22	-59	-59

Next Generation Visual Messaging Sign (VMS)

Project No. 100449

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering	160		160	160	0	0%
ROW/Utilities			0		0	
Construction			0		0	
CM & DSDC			0		0	
Administration	250		250	250	0	0%
Procurement			0		0	
Oper. Support	25		25	25	0	0%
Subtotals	435	0	435	435	0	0%
Unallocated Contingency	65		65	65	0	0%
Grand Totals	500	0	500	500	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Unactivated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
SFCTA Prop K	Local	500		500	500	
Totals		500	0	500	500	

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
None.	-----		-----	

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
Loss of Project Manager	Robert Tam	Search for another Project Manager.	09/13/21
	----- Njomele Hong has been designated as the new Project Manager replacing Christian Montoya.		

Next Generation Visual Messaging Sign (VMS)

Project No. **100449**

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Continued development of the system requirements document.
2. System designer is restarting effort Nov 2021.

NEXT KEY ACTIVITIES (top 5)

1. Finish the system requirements document.

PROJECT NOTES

None.





Projects in Design
Fare Collection

Clipper Next Generation Validators Site Preparations

Project No. 100574

Table 1. Status Summary and Total Project Performance

Project Phase: Procurement

Quarter	Safety	Schedule	Budget	Funding
Current	G 	G 	G 	Y 
Previous	N/A	N/A	N/A	N/A

Progress (%)	Change Prev. Qtr.	EAC/Budget
12.0%	N/A	100%

1. Some of the project's funding is pending activation. These funds have not been received.

SCOPE Summary

MTC is replacing their Clipper Card Interface Device (CID) with the Next Generation Clipper Validator. This project will develop a design and procure a contractor for the construction to prep Caltrain stations for the new Clipper Next Generation Validators.

Project Manager: Robert Tam

Principal Designer: N/A

Const. Contractor: N/A

Table 2. SAFETY INCIDENTS

Safety Incidents by type	This Quarter	Total to Date
Type I incidents	0	0
Type II Incidents	0	0

Table 3. MILESTONE SCHEDULE

Milestones	Baseline Completion	Est. or Actual Completion	Variation (days)	Change Prev. Quarter
	(A)	(B)	(C=A-B)	(D)
Project Start	04/01/21	04/01/21	0	0
Final Design Complete	10/30/21	10/30/21	0	0
Award Contract	03/17/22	03/17/22	0	0
NTP	04/01/22	04/01/22	0	0
Construction Complete	12/30/22	12/30/22	0	0
Project Finish	03/31/23	03/31/23	0	0

Clipper Next Generation Validators Site Preparations

Project No. 100574

Table 4. PROJECT BUDGET / ESTIMATE AT COMPLETION (in thousands of \$)

Type of Work	Budget			Estimate at Completion (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Engineering	600		600	600	0	0%
ROW/Utilities	0		0	0	0	
Construction	1,500		1,500	1,500	0	0%
CM & DSDC	350		350	350	0	0%
Administration	710		710	710	0	0%
Procurement	30		30	30	0	0%
Oper. Support	20		20	20	0	0%
Subtotals	3,210	0	3,210	3,210	0	0%
Unallocated Contingency	290		290	290	0	0%
Grand Totals	3,500	0	3,500	3,500	0	0%

Estimate at Completion in this table applies only to scope that has approved budget.

Table 5. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Unactivated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
SAMTR Non CCF Prepaid	Local	81		81	81	0
FY20 STA - Capital	State	500		500	500	0
Sect 5337 JPB CA-2021-121	Federal	1,500		1,500	1,500	0
FY21 VTA STA SOGR Capital	State	500		500	500	0
Measure RR	Local	312		312	0	312
FTA	Federal	1,248		1,248	0	1,248
Totals		4,141	0	4,141	2,581	1,560

Table 6. NOTABLE RISKS (Top 5 in order of priority) (Budget Impact in thousands of \$, Schedule Impact in days)

Risk Title	Responsibility Status	Mitigation	Impact Bud/Sched	Likelihood
No bids for construction.	Robert Tam	Outreach to potential bidders	\$ 10	Low
	Working on outreach.		90	
Schedule coordination with MTC Clipper validator installation.	Robert Tam	Frequent communications with MTC about scheduling	\$ -	Med
	Ongoing coordinations.			

Clipper Next Generation Validators Site Preparations

Project No. **100574**

Table 7. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
None.			

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Received and Reviewed the 100% design.
2. Conducted the Phase Gate meeting and received approval to proceed to IFB.
3. Worked with Contracts & Procurement on the IFB package.

NEXT KEY ACTIVITIES (top 5)

1. Finalized the IFB package for advertisement.

PROJECT NOTES

1. This is the first Quarterly status report for this project.

PROJECT PHOTOS



Photo 1 - Old Clipper CID



**VALIDATOR
(NOTE 1)**

Photo 2 - New Clipper Validator




Projects in Planning/Environmental
Managed Projects

South Linden Avenue and Scott Street Grade Separation

Project No. **002152**

Table 1. Status Summary and Total Project Performance

Project Phase: **Planning**

Quarter	Schedule	Budget	Funding
Current	G 	G 	G 
Previous	N/A	N/A	N/A

PROJECT SCOPE Summary

The South Linden Avenue and Scott Street Grade Separation Project is proposed to improve safety and decrease expected future traffic delays due to growth in vehicle traffic, greater frequency of Caltrain service, and the eventual addition of high speed rail. South Linden Avenue is located in South San Francisco; Scott Street is in San Bruno. Although located in different cities, the two grade separations are proposed to be undertaken as a combined effort. Since the two crossing locations are located only 1,850 feet apart, the grade separation of one crossing could affect the other.

The Cities of South San Francisco and San Bruno are co-sponsors of the Project.

PLANNING SCOPE Summary

Staff of the two cities will provide input on alternatives as well as existing data on infrastructure maintained by the cities. City staff will also facilitate and participate in public outreach efforts. The JPB will be the implementing agency and will contract with a consultant (AECOM) to prepare the planning and Project Study Report with alternatives for the Scott Street and South Linden Avenue.

The Project Study Report for the South Linden Avenue grade separation shall build upon previously completed studies, updating them with current data and revised project alternatives accounting for current site conditions. The previously-completed studies proposed to grade separate South Linden Avenue and Scott Street as part of larger projects and site conditions have since changed.

The scope of work will explore alternatives for the grade separation of two tracks per the JPB adopted Service Vision, while not precluding the feasibility of an eventual four-track grade separation, per the High Growth Scenario examined by the Business Plan. At least one alternative will be a two-track alternative that preserves Scott Street as a through street for motor vehicles, something that was not explored in the previous studies.

Project Manager: Melissa Reggiardo

Study Consultant: AECOM

Sponsors: Cities of South San Francisco and San Bruno

Table 2. MILESTONE SCHEDULE

Milestones	Baseline Completion	Completion (A = Actual)	Variation (days)	Δ Prev Quarter
	(A)	(B)	(C=A-B)	(D)
Draft PSR	01/31/21	01/31/21	0	0
Final PSR	04/30/21	04/30/21	0	0
Project Approval & Environmental Document (PA&ED)	10/31/24	10/31/24	0	0
Plans, Specs & Estimate (PS&E) (Final Design)	04/30/28	04/30/28	0	0
Utility Relocations	10/31/29	10/31/29	0	0
ROW/Easements	04/30/30	04/30/30	0	0
Begin Construction	10/31/30	10/31/30	0	0
Complete Construction	09/01/33	09/01/33	0	0

South Linden Avenue and Scott Street Grade Separation

Project No. 002152

Table 3. PROJECT BUDGET, COST, and EAC (thousands of \$)

	Budget			Estimate at Completion (EAC) (D)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)		(E=C-D)	(F=E/C)
Totals	750	60	810	810	0	0%

Table 4. FUNDING (thousands of \$)

Fund Source	Type	Board Approved			Activated Funding (D)	Un-activated Amount (E=C-D)
		Original	Changes	Current		
		(A)	(B)	(C=A+B)		
San Mateo County TA	Local	650		650	650	0
City of San Bruno	Local	60		60	60	0
City of South San Francisco	Local	100		100	100	0
Totals		810	0	810	810	0

Table 5. NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
Varying design standards between Caltrain and California High Speed Rail on the curve between Colma Creek and South Linden Avenue	Melissa Reggiardo ----- Caltrain standards for 110 mph operations would cause significant impacts to adjacent property. High Speed Rail assumes no track changes in this area but assumes speeds could reach up to 110 mph.	The design in the PSR was modified to allow for reduced speeds. Caltrain versus High Speed Rail curve design and speed assumptions must be revisited during the next phase of project development to determine what standards should be used in more detailed design phases.	TBD

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Complete financial close-out of the planning study.
2. Schedule meetings with the cities and TA to clarify roles and responsibilities and the process and timing to establish agreements. The Cities also need to plan for a monetary request to the TA for PE/Environmental.
3. Discuss with C&P to clarify procurement strategy.

NEXT KEY ACTIVITIES (top 5)

1. Continue to meet with the Cities to establish roles and responsibilities that will be rolled into a four-party agreement.




PROJECT NOTES

Whipple Avenue Grade Separation

Project No. **100410**

Table 1. Status Summary and Total Project Performance

Project Phase: **Planning**

Quarter	Schedule	Budget	Funding
Current	G 	G 	G 
Previous	N/A	N/A	N/A

The overarching schedule has been delayed due to the complexity of alternatives being examined in combination with a potential four-track station and new development occurring in close proximity to the potential grade separations. COVID also required a more extensive and time-intensive public outreach strategy than initially envisioned. The schedule is currently being adjusted as Redwood City requested and received additional funding from the TA to account for the considerations above as well as the need to perform additional outreach in communities of concern. The JPB is expected to approve the additional budget at the October Board meeting. Details of the amended MOU are being discussed, including timeline.

PROJECT SCOPE Summary

A potential grade separation at Whipple Avenue in Redwood City is proposed to improve safety and decrease expected future traffic delays due to growth in vehicle traffic, accommodate greater frequency of Caltrain service, and the eventual addition of high-speed rail service. Whipple Avenue is not the only at-grade crossing in Redwood City, however, and thus a potential grade separation at Whipple Avenue is being studied with potential grade separations at Brewster Avenue, Broadway, Maple Street, Main Street, and Chestnut Street. There is a high likelihood that multiple streets could be integrated into one grade separation project.

PLANNING SCOPE Summary

The Whipple Avenue Grade Separation Planning Study builds upon previously completed studies. The alternatives analysis and design work in this Study considers and incorporates where appropriate, design work done in the 2009 Footprint Study for the six at grade crossings mentioned above. The scope of work also focuses on alternatives for grade separation that accommodate a four track station to allow for transfers between Caltrain local and express trains, as well as for the future high-speed rail service, per the Long-Range 2040 Service Vision. Much consideration is also being given to multiple near-term development projects in close vicinity to the potential grade separations and station expansion as additional land adjacent to the Corridor is needed to ensure the viability of the future transit infrastructure projects. Given the complexity of the planning context in the vicinity of the potential grade separations, there may be multiple alternatives selected as preferred at the end of the Study, unless there is strong preference for just one.

Redwood City serves as the Project Sponsor for the Study, providing input on the alternatives and informing the Study in terms of new development in close proximity to the potential grade separations. City staff are the public face of the project, and help promote, facilitate and participate in public outreach efforts in coordination with the JPB. The JPB is the implementing agency and contracts with AECOM, the project consultant, to conduct the planning work and to prepare a project report upon completion of the scope of work.

Project Manager: Melissa Reggiardo
 Study Consultant: AECOM
 Sponsors: City of Redwood City

Whipple Avenue Grade Separation

Project No. 100410

Table 2. MILESTONE SCHEDULE

Milestones	Baseline Completion	Completion (A = Actual)	Variation (days)	Δ Prev Quarter
	(A)	(B)	(C=A-B)	(D)
Project Coordination	08/31/20	08/31/20	0	0
Set-Up Work Directive	09/15/18	09/15/18	0	0
Project Kick-Off/Mobilization	09/30/18	09/30/18	0	0
Data Collection	01/31/19	01/31/19	0	0
Review of Previous Studies	01/31/19	01/31/19	0	0
Alternative Development and Screening Criteria	12/31/19	12/31/19	0	0
Alternative Analysis and Recommendation	03/31/20	03/31/20	0	0
Draft Report Production	06/30/20	06/30/20	0	0
Final Report Production	08/31/20	08/31/20	0	0

Table 3. PROJECT BUDGET, COST, and EAC (in thousands of \$)

	Budget			Estimate at Completion (EAC)	Variation	
	Original	Changes	Current		Amount	Percentage
	(A)	(B)	(C=A+B)	(D)	(E=C-D)	(F=E/C)
Totals	850	0	850	850	0	0%

Table 4. FUNDING (in thousands of \$)

Fund Source	Type	Board Approved			Activated Funding	Un-activated Amount
		Original	Changes	Current		
		(A)	(B)	(C=A+B)	(D)	(E=C-D)
San Mateo County TA	Local	750	0	750	750	0
City of Redwood City	Local	100	0	100	100	0
Totals		850	0	850	850	0

Whipple Avenue Grade Separation

Project No. **100410**

Table 5. NOTABLE ISSUES (Top 5 in order of priority)

ID – Issue Title	Responsibility Status	Action	Resolution Date
Difficult to obtain feedback from the communities around the southern at-grade crossings	Jessica Manzi (Redwood City) Redwood City has requested and received additional funding from SMCTA for additional, more targeted outreach in these communities of concern.	The consultant scope of work and budget will be updated with additional outreach activities with JPB approval of the capital budget amendment in October.	10/7/2021

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Prepared to ask for a capital budget amendment for the additional funding at the Oct 2021 JPB Board meeting.
2. Coordinated with the City and consultant to identify scope and budget for additional targeted outreach work.
3. Assisted Redwood City as needed in preparing the request for additional funding from SMCTA.

NEXT KEY ACTIVITIES (top 5)

1. Amend the consultant's work directive to reflect the additional scope & budget if approved by the SMCTA.
2. Kick off additional outreach work with targeted community outreach scheduled for the fall timeframe.
3. Request for additional funding at the Oct 2021 JPB Board meeting.

PROJECT NOTES

Projects in Planning/Environmental
Projects with Informal Engagements Managed by Third Parties

Middle Avenue Undercrossing

Project No. **TBD**

STATUS SUMMARY

There has been no activity on this project as the City is still reviewing the proposed third party service agreement scope and budget. However, the City recently reached out to schedule a meeting in the next month.

PROJECT SCOPE Summary

The Middle Avenue Undercrossing (Project) is a proposed bicycle and pedestrian undercrossing that would improve safety and connectivity in the area around Middle Avenue in Menlo Park. The Project would serve a new Stanford development, which is adjacent to Middle Avenue, as well as middle school children in the area. Menlo Park is the Project sponsor.

PLANNING SCOPE Summary

Planning and Capital Development and Delivery staff are coordinating with the City via a third party service agreement to complete the following tasks:

- Review the 30 % designs and provide feedback;
- Identify a scope of work and budget for an effort to further develop the 30 % designs to Caltrain-specified 35 %;
- Develop an RFP for 35 % design that would utilize the City’s consultant bench; and
- Develop funding agreements documenting roles and responsibilities to guide the above activities as well as 35 % design.

Project Manager: Melissa Reggiardo
 Capital Development and Delivery Project Manager: Alvin Piano
 Sponsors: City of Menlo Park

NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
Design Exception	<name> ----- The City will be seeking a design exception for the distance between the underground structure and top of rail.	Staff need to walk the City through the process to obtain such a design exception. (The exception has been verbally approved.)	TBD
Right of Way	<name> ----- The City would like to place ramps and stairs on JPB property.	Staff need to discuss the impacts of such stair and ramp placement and explore if there are other more desirable options.	TBD

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. There has been no activity on this project as the City is still reviewing the proposed third party service agreement scope and budget.

NEXT KEY ACTIVITIES (top 5)

1. Receive City feedback on proposed third party service agreement scope and budget and make any necessary adjustments or changes.

PROJECT NOTES

Bernardo Avenue Undercrossing

Project No.

TBD

STATUS SUMMARY

Coordinating with the project sponsors and Caltrain Engineering and Capital Delivery departments to develop a third party service agreement scope and budget that will dictate Caltrain's technical review of project alternatives.

PROJECT SCOPE Summary

The Cities of Sunnyvale and Mountain View and VTA are project sponsors for a proposed new bicycle and pedestrian undercrossing of the Caltrain right-of-way (ROW) at Bernardo Avenue (Project), on the border of the two cities. The proposed undercrossing would provide key access across/under the ROW as well as Central Expressway.

PLANNING SCOPE Summary

This proposed capital project is in the initial stages of conceptual design, with multiple alternative designs currently in development and under consideration. Sunnyvale, Mountain View and VTA are seeking technical guidance from Caltrain staff after the JPB granted the Project a Use Variance under the Caltrain Rail Corridor Use Policy.

Project Manager: Dennis Kearney
 Capital Development and Delivery Project Manager: Andy Kleiber
 Sponsors: Cities of Sunnyvale and Mountain View, VTA

NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
VTA Funding	Dennis Kearney VTA awarded the Project \$18m in construction funding, and thus the project must start expending Measure B design funding prior to July 2022.	Caltrain staff will coordinate with the sponsors to see if the funding timelines can be met.	TBD

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Coordinated with sponsors to finalize language of third party service agreement that covers technical review of project concept alternatives.
2. Coordinated with Engineering and Capital Delivery staff to finalize SA budget.
3. Distributed final third party service agreement to sponsors for review and execution.
4. Facilitated meetings with sponsors to discuss third party service agreement and project timeline.

NEXT KEY ACTIVITIES (top 5)

1. JPB to finalize (counter sign) third party service agreement.
2. Commence review of the project alternatives.
3. Establish meeting schedule for concept alternatives review.
4. Finalize timeline for concept alternatives review and comment.

PROJECT NOTES

Mary Avenue Grade Separation

Project No.

TBD

STATUS SUMMARY

Planning, Engineering and Capital Delivery staff have been coordinating with the City of Sunnyvale to understand where they are in the grade separation planning process. The City has shared some conceptual alternatives for a grade separation at Mary Avenue as well as Sunnyvale Avenue. The City would like technical guidance from Caltrain staff so they can select preferred alternatives by winter 2021/22. Discussions are starting around a third party service agreement, which could lead to Caltrain taking on PE and Environmental for Mary Avenue - the City's priority grade separation project.

PROJECT SCOPE Summary

There are two at-grade crossings in the City of Sunnyvale - Mary Avenue and Sunnyvale Avenue. The City of Sunnyvale is prioritizing a potential grade separation at Mary Avenue, though they are interested in separating Sunnyvale Avenue as well. For the past couple years, the City has been investigating a number of conceptual alternatives for both crossings. The City would like to identify a preferred alternative for each crossing by winter 2021/22 and advance the Mary Avenue grade separation into PE and Environmental with Caltrain leading the effort.

PLANNING SCOPE Summary

The City of Sunnyvale is investigating two conceptual alternatives at Mary Avenue including an underpass with a jughandle and a full underpass. In the first option (underpass with a jughandle) Mary Avenue would be depressed with the railroad and Evelyn Avenue at grade. Bike lanes and a sidewalk would be constructed along the depressed Mary Avenue. In the second option (full underpass) Evelyn and Mary Avenues would be depressed with the railroad remaining at grade. Bike lanes and a sidewalk would be constructed along the depressed roadways. Sunnyvale is seeking technical guidance from Caltrain staff on the conceptual alternatives so they can select a preferred alternative by winter 2021/22.

Project Manager: Dennis Kearney
 Capital Development and Delivery Project Manager: Andy Kleiber
 Sponsors: City of Sunnyvale

NOTABLE ISSUES (Top 5 in order of priority)

Issue Title	Responsibility Status	Action	Resolution Date
None			

KEY ACTIVITIES - Current Reporting Quarter (top 5)

1. Coordinated with Engineering and Capital Delivery staff to prepare draft service agreement for Mary and Sunnyvale Ave design concepts.
2. Coordinated workshop with Engineering and Capital Delivery staff to discuss delivery methods for Mary and Sunnyvale Ave grade crossings.

NEXT KEY ACTIVITIES (top 5)

1. Distribute draft Mary and Sunnyvale Ave crossings service agreement and budget to sponsor for review and comment.
2. Coordinate with sponsor to schedule meeting/s to discuss draft service agreement and budget.
3. Coordinate with sponsor on any revised conceptual alternatives and/or schedule.
4. Continue coordination with sponsor re: potential for Caltrain to take on PE and Environmental when planning phase is complete.
5. Continue coordination with sponsor to discuss potential delivery strategies for project and project funding.

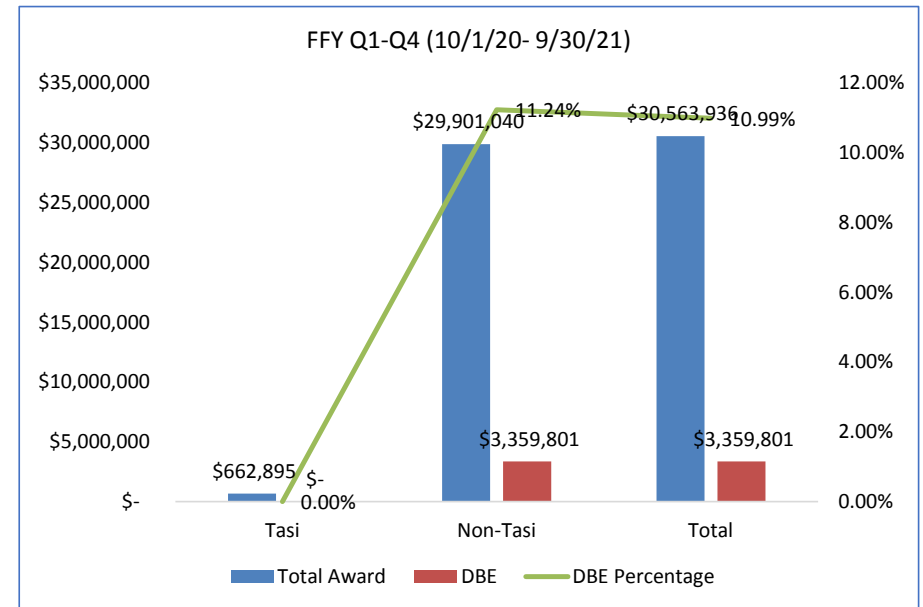
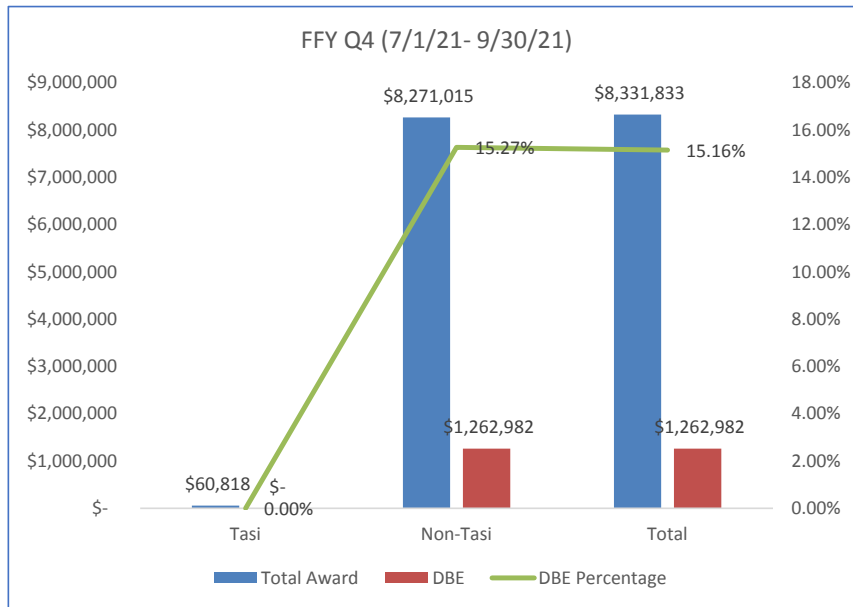
PROJECT NOTES

Appendices

Appendix A - Disadvantaged Business Enterprise (DBE)

Disadvantaged Business Enterprise (DBE)

JPB Award



Note: The total DBE attained Year-to-date was \$0 for TASI and \$3,359,801.97 for Non-TASI projects for JPB.

Appendix B - Project Performance Status Light Criteria

Status Light	Event Trigger	Range & Limits	Light
Budget ⁽¹⁾	(a) CPI	CPI < 0.95	Red
		CPI >= 0.95 and < 0.98	Yellow
		CPI >= 0.98	Green
	(b) EAC greater than Approved Budget	10% or more; or \$2M or more	Red
		Up to 10% or less or up to \$2M or less	Yellow
		EAC <= budget	Green
Schedule ⁽¹⁾	(a) SPI	SPI < 0.95	Red
		SPI >= 0.95 and < 0.98	Yellow
		SPI >= 0.98	Green
	(b) Major Milestones delay (Forecasted vs. Baseline) ⁽²⁾	Delay of 3 months or more	Red
		Delay between 1 day and 3 months	Yellow
		On time or early	Green
Funding ⁽¹⁾	EAC vs. Activated Funds	Activated Funds are less than EAC and cannot cover Projected Costs for next 6 months	Red
		Activated Funds are less than EAC but can cover Projected Costs at least the next 6 months	Yellow
		EAC Equal or less than Activated Funds	Green
Safety	Occurrence of one or more safety incidents during reporting period	One or more Type II incidents (injury of worker or passenger requiring a report to the Federal Railroad Administration); or two or more Type I incidents (Near Miss or incident requiring written report based on contract requirements)	Red
		One Type I incident (Near Miss or incident requiring written report based on contract requirements)	Yellow
		No incidents	Green

Notes:

1. For lights with more than one event trigger, the worst performing light will be shown.
2. Light color is based on the worst performing pending milestone (completed milestones are not considered).

Appendix C - Definition of Terms

Δ Prev

Change from previous period.

Accruals

An estimated or known cost for the work performed, equipment, or materials received, through the current reporting period that hasn't been recorded in the financial system as expended.

Activated Funding (in Funding)

The portion of the total approved project funding that is available and ready to be expended. See Un-activated Amount and Board Approved.

Allocated Contingency

The portion of the project's contingency budget allocated to contracts or specific types of work. See Contingency and Unallocated Contingency.

Baseline

The currently approved plan that includes the project scope, budget and schedule. Performance indicators are calculated by comparing the current progress against the planned progress according to the baseline.

Baseline Completion (in Milestone Schedule)

The milestone planned date of completion in the currently assigned project baseline.

Board Approved (in Funding)

The funding approved by the Board for the completion of the project. It includes approved current and previous years capital budgets and capital budget amendments.

Board Authorized (in Major Contracts)

The budget amount approved by the Board of Directors for a particular contract. Includes contingency.

Budget Changes (in Project Budget/Estimate at Completion)

Changes to the original budget that have been approved by management through the change management process.

Budget Original (in Project Budget/Estimate at Completion)

The budget approved in the first or original project baseline.

Committed

The amount of authorized contracts, P.O.s, agreements, settlements, or other instruments that obligate the District to expend project funds.

Completion (in Milestone Schedule)

The current estimated or actual date of completion for a milestone.

Contingency

An estimated amount based on the uncertainty and risk to cover unforeseen events during the course of the project. See Unallocated and Allocated Contingency.

Contract Change Orders (CCOs)

Contract budget changes approved through the change management process.

CPI (Cost Performance Index)

A measure of the financial effectiveness and efficiency of a project. It represents the amount of completed work for every unit of cost spent. As a ratio it is calculated by dividing the budgeted cost of work completed, or Earned Value (EV), by the Actual Cost (AC) of the work performed.

Current Contract Amount

This is the original contract amount plus any approved Contract Change Orders (CCOs). The current contract amount is the approved obligation to the construction contractor. Does not include any contingency approved for the contract.

EAC (Estimate at Completion)

The estimated final cost of the project, or a particular type of work, based on actual expenses to date and estimated expenses of remaining work.

EAC/Budget (in Status Summary)

The percent of the Estimate at Completion covered by the current project budget.

Earned Value (EV)

The physical work accomplished in terms of the cost estimates for activities fully or partially completed at the end of a reporting period.

Earned Value Progress (in Status Summary)

The Earned Value of completed works expressed as a percentage of the project's current budget without contingency. See Earned Value.

Executed CCOs (Executed Contract Change Orders)

The portion of a contract's contingency budget used in executed (approved) Contract Change Orders.

Executed Changes

The portion of the project's contingency budget used in executed (approved) Change Orders. Includes Executed CCOs.

Expended + Accruals

The project or contract costs that have been recorded in the financial system plus the accrual cost for the work performed through the current period. See Accruals.

High Likelihood Risks (in Contingency)

Project risks that have a high likelihood to result in changes.

In-Process CCOs (In-Process Contract Change Orders)

Contract Change Orders pending approval.

In-Process Changes

Project Change Orders pending approval. Includes CCOs.

Interfaces

Refers to points of connection to other projects, programs, or other entities that if not managed may lead to conflicts and issues.

Key Activities

Lists activities performed in the current month and activities anticipated for next month.

Milestone Schedule

Lists the project's significant events or important achievements in the project lifecycle. It is considered a high level summary schedule for the project.

Notable Issues

Most important project issues that are currently affecting the objectives, scope, schedule, budget and/or the adequate funding of the project.

Notable Risks

Most important project risks that may impact the objectives, scope, schedule, budget and/or the adequate funding of the project.

Phase

Refers to the current project phase. For the Capital Program, the project phases are: Planning, Preliminary Design, Final Design, Procurement, Construction, Closing, Closed.

Planned Value (PV)

The estimated cost of work planned to be accomplished at a given period based on the project assigned baseline.

Planned Value Progress (in Status Summary)

The Planned Value of work that is expected to be completed this period, according to the baseline, expressed as a percentage of the project's current budget without contingency. See Planned Value.

Potential and In-Process Changes

Change Orders where impacts are being evaluated or determined, or Change Orders in process for approval. Includes Contract Change Orders.

Resolution Date (in Notable Issues)

The latest date an issue needs to be resolved before it begins to affect the objectives, scope, schedule, budget and/or the adequate funding of the project.

Safety Incidents

Reported safety incidents related to the execution of project work, that occurred during the reporting period.

Scope Summary

High level description of the objectives and principal deliverables of the project.

SPI (Schedule Performance Index)

A measure of the actual project progress compared to its planned progress at the closing of the current period based on the current assigned baseline. It is calculated by dividing the budgeted cost of work performed, or Earned Value (EV), by the budgeted cost of work planned, or Planned Value (PV) for the current period.

Type I Incidents (in Safety)

Near Miss or incident requiring written report based on contract requirements.

Type II Incidents (in Safety)

Injury of worker or passenger requiring a report to the Federal Railroad Administration.

Type of Work

Categories defined for classifying project costs.

Un-activated Amount (in Funding)

Portion of the Board Approved funding for the project that has not been Activated. See Activated Funding.

Unallocated Contingency

Portion of total project contingency budget not allocated to specific Type of Work or contracts. For Estimate At Completion (EAC), it refers to the portion of the Unallocated Contingency that is estimated to be used by the end of the project. In Risk Management this is referred to as "Unknown Unknowns".

Appendix D - Capital Program Major Milestones by Project

Capital Program Major Milestones by Project

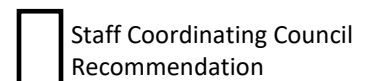
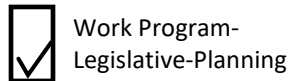
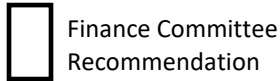
**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Casey Fromson
Acting Chief Communications Officer

SUBJECT: **2022 DRAFT LEGISLATIVE PROGRAM**



ACTION

This report is for information only. No Board action is required. At the January 6, 2022 meeting, staff will present the final 2022 Legislative Program for Board adoption.

SIGNIFICANCE

The 2022 Program establishes the principles that will guide Caltrain's legislative and regulatory advocacy efforts through the 2022 calendar year, including the second half of the 2021-2022 State legislative session and second session of the 117th Congress. The program is intended to be broad enough to cover the wide variety of issues that are likely to be considered during that time and flexible enough to allow Caltrain to respond swiftly and effectively to unanticipated developments. Adoption of the Program provides our legislative delegation and our transportation partners with a clear statement of Caltrain's priorities.

The 2022 Program is organized to guide Caltrain's actions and positions in support of three primary objectives:

1. Maintain and enhance funding opportunities to support Caltrain's programs, projects, and services.
2. Seek a regulatory environment that streamlines project delivery and maximizes Caltrain's ability to meet public transportation service demands.
3. Reinforce and expand programs that build and incentivize public transportation ridership.

The Program is structured to apply these core objectives to a series of issues detailed in the 2022 Legislative Program.

Should other issues surface that require Caltrain's attention, actions will be guided by the three policy objectives listed above. If needed, potential action on issues that are unrelated to these policy goals will be brought to Caltrain's Board of Directors for consideration.

Caltrain and its legislative consultants will employ a variety of engagement tools to support the 2022 Legislative Program, including:

- 1. Direct Engagement
Engage policymakers directly and sponsor legislation, submit correspondence and provide public testimony that communicates and advances Caltrain's legislative priorities and positions.

- 2. Coalition-based Engagement
Engage local and regional stakeholders to build awareness about specific issues and participate in local, regional, statewide and national coalitions organized to advance positions that are consistent with the 2022 Program.

- 3. Media Engagement
Build public awareness and communicate legislative priorities by issuing press releases, organizing media events, and through the use of social media and other electronic media.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

Staff actively monitors legislative and regulatory activity and will seek Board positions on selected bills as appropriate to further Caltrain's legislative objectives and to provide support for our advocacy efforts. Staff will supply updated reports summarizing relevant legislative and regulatory activities, allowing the Board to track legislative developments and providing opportunities to take appropriate action on pending legislation.

Prepared By: Jadie Wasilco
Government & Community Affairs Manager

650.465.6301

Caltrain

2022 Legislative Program

Purpose

Legislative and regulatory actions have the potential to significantly benefit Peninsula Corridor Joint Powers Board / Caltrain (Agency) programs and services. They also have the potential to present serious challenges that threaten the Agency's ability to meet the county's most critical transportation demands.

The 2022 Legislative Program establishes the principles that will guide the Agency's legislative and regulatory advocacy efforts through the 2022 calendar year, including the second half of the 2022 State legislative session and second session of the 117th Congress. The program is intended to be broad enough to cover the wide variety of issues that are likely to be considered during that time and flexible enough to allow the Agency to respond swiftly and effectively to unanticipated developments.

Objectives

The 2022 Legislative Program is organized to guide the Agency's actions and positions in support of three primary objectives:

- Maintain and enhance funding opportunities to support the Agency's programs and services;
- Seek a regulatory environment that streamlines project delivery and maximizes the Agency's ability to meet transportation service demands; and
- Reinforce and expand programs that build and incentivize public transportation ridership, improve quality transportation choices, and better incorporate Caltrain service with other agencies in the Bay Area.

Issues

The Legislative Program is structured to apply these core objectives to a series of Regional, State and Federal issues falling in these categories:

- Budget and Transportation Funding Opportunities
- Transportation Projects Funding Requests and Needs
- Regulatory, Legislative, and Administrative Issues

Within these categories are a detailed list of specific legislative initiatives and corresponding set of policy strategies.

Should other issues surface that require the Board's attention, actions will be guided by the three policy objectives listed above. If needed, potential action on issues that are unrelated to these policy goals will be brought to the Board for consideration.

Advocacy Process

Staff will indicate on each monthly legislative update recommended positions for pending bills. Once the Board has an opportunity to review the recommended position, staff will communicate the position to the relevant entity (such as the bill author, agency, or coalition). In rare circumstances, should a position on a bill be needed in advance of a Board meeting, staff will confer with the Board Chair. If legislation falls outside of the scope of the Board's adopted Legislative Program, Board approval will be required prior to the Agency taking a position.

Public Engagement Strategies

Staff, led by the Communications Division and its legislative consultants, will employ a variety of public engagement strategies to support the 2022 Legislative Program, including:

- Direct Engagement
Engage policymakers directly and sponsor legislation, submit correspondence and provide public testimony that communicates and advances the Agency's legislative priorities and positions.
- Coalition-based Engagement
Engage local and regional stakeholders to build awareness about specific issues and participate in local, regional, statewide and national coalitions organized to advance positions that are consistent with the 2022 Legislative Program.
- Media Engagement
Build public awareness and communicate the Agency's legislative priorities by issuing press releases, organizing media events, and through the use of social media.

The adopted legislative program will guide the Agency's legislative advocacy efforts until approval of the next program.

State and Regional

Funding Opportunities and Challenges

Issue / Background

General Funding
 In 2020 and 2021, transit agencies were hit hard by the loss of ridership and revenue due to the COVID-19 pandemic. Caltrain ridership remains significantly lower than pre-pandemic levels, and significant additional funding is still needed to mitigate the pandemic’s impact for transit agencies.

In 2021, Governor Newsom as part of his May Revise, proposed significant new funding for transportation. An agreement between the Governor and State Legislature was not reached in 2021 but the transportation funding conversation will continue in 2022.

In 2017, the State enacted SB1, which provides \$5.2 billion to maintain local streets and roads and highways, ease traffic congestion, and provide mobility options through investments in public transportation and bicycle and pedestrian programs.

In 2014, the Legislature called for, via SB 1077, a pilot program to study a road charge model as an alternative to the gas tax. The nine-month pilot began in July 2016, with over 5,000 participating vehicles statewide. The California State

Strategy

- Direct advocacy for additional resources to secure state funding for transit systems, especially if there is a new state transportation package.
- Ensure that COVID relief funding is suballocated through the region is based on revenue losses.
- Protect against the elimination or diversion of any State or regional funds that support the agency’s transportation needs.
- Support State funding allocation requests for investments that benefit the Agency’s transportation programs and services.
- Work with legislative delegation, regional agencies, transit systems and transit associations to identify and advance opportunities for funding that would support the Agency’s transportation priorities.
- Support efforts to provide funding for the deployment of zero emission transit vehicles and infrastructure.

<p>Transportation Agency (CalSTA) reported its findings from the Legislature to the CTC and the Legislature in 2018.</p>	
<p>Formula Funding In 2021, transit formula funding suffered due to the COVID-19 pandemic as fuel consumption declined.</p> <p>After years of diversion to support the State’s General Fund, funding for the State Transit Assistance (STA) program has remained stable over the last few budget cycles thanks to successful legal, legislative and political efforts on behalf of the transportation community. Still, more revenue is needed in order to meet the demand of increased ridership, reduce highway congestion and adhere to the State’s mandate of reducing greenhouse gas emissions, and creating livable communities.</p> <p>In 2019, the California Transit Association convened a working group, at the request of the Senate and Assembly Transportation Committees to review and provide potential changes to the Transportation Development Act (TDA). The CTA effort resulted in temporary relief in meeting farebox recovery ratio requirements to access LTF, STA, LCTOP and SOGR funds as well as several more significant and permanent changes to TDA such as adding additional exemptions for on-demand service, cost of security, transitioning to zero-emission operations, and more. In 2022, the TDA conversation will continue to assess more</p>	<ul style="list-style-type: none"> ● Support the full funding of the STA program at levels called for in the 2011 reenactment of the 2010 gas-tax swap legislation. ● Advocate for the regularly scheduled issuance of State infrastructure bonds that support the Agency’s services and programs. ● Support full and timely allocation of the Agency’s STIP share. ● Participate in the CTA’s TDA taskforce and support CTA efforts to engage the Legislature on TDA reform and the review of performance measures for transit.

<p>holistic changes to TDA to maximize flexibility for maintaining and expanding service. The Agency is part of the working group.</p>	
<p>Cap-and-Trade Revenues In 2012, the State began implementing the cap-and-trade market-based compliance system approved as a part of the California Global Warming Solutions Act of 2006 (AB 32). Since the program began selling allowances, the program has generated billions of dollars. In 2014, legislation was enacted creating a long-term funding plan for cap-and-trade which dedicates 60 percent of cap-and-trade revenues to transportation. The remaining 40 percent is subject to annual appropriation through the state budget process. In 2017, the legislature extended the program from 2020 to 2030.</p> <p>The programs require a certain percentage of funds be expended in state defined “disadvantaged communities” (as defined by CalEnviroScreen). This can prove difficult in jurisdictions with a small number of disadvantaged communities.</p>	<ul style="list-style-type: none"> ● Work with the Administration and like-minded coalitions to secure the appropriation of additional cap-and-trade revenues to support the Agency’s transportation needs. ● Support legislation and regional action that makes a broad array of the Agency’s emissions-reducing transportation projects, programs and services eligible for investment. ● Protect existing cap-and-trade appropriations for transit operations, capital projects and sustainable communities strategy implementation. ● Support efforts to revise the State’s definition on “disadvantaged communities” to encompass a larger proportion of disadvantaged communities on the Peninsula.
<p>Voter Threshold Legislation has been considered in recent years that provide a framework for lowering the thresholds for the State or a city, county, special JPB or regional public agency to impose a special tax.</p>	<ul style="list-style-type: none"> ● Support efforts to amend the State Constitution to reduce the voter threshold required for the State or a city, county, special district or regional transportation agency to impose a special tax for transportation projects or programs.
<p>Other State or Local Funding Options Local and regional governments continue to seek methods for funding new infrastructure, facility needs, sustainability initiatives, and projects that will</p>	<ul style="list-style-type: none"> ● Advocate for legislation that would create new local funding tools to support transportation infrastructure and services. ● Support innovative local and regional funding options that will provide financial support for the agency.

<p>support ridership growth through a variety of methods such as managed lanes and local ballot measures.</p> <p>In 2020, there was the potential for a regional transportation measure (called FASTER Bay Area), led by the Bay Area Council, Silicon Valley Leadership Group and SPUR. MTC is kicking off a listening tour regarding a potential future regional ballot. Many details about the timing, funding mechanism and expenditure plan are still being discussed.</p> <p>In 2014, the Federal Aviation Administration’s (FAA) issued a rule called the “Policy and Procedures Concerning the Use of Airport Revenue, proceeds from Taxes on Aviation Fuel.” The rule would require that local taxes on aviation fuels must be spent on airports is contrary to states’ rights to control their general application sales tax measures. The State of California has been active in addressing this issue.</p>	<ul style="list-style-type: none"> ● Advocate for funding sources that would assist transit agencies in obtaining funds for sustainability initiatives including water conservation, waste reduction, long-term resource efficiency of facilities and equipment, and greenhouse gas reductions. ● Support funding for workforce development, retention, and housing to attract and retain quality personnel. ● Support efforts that allow for public private partnerships that benefit the implementation of capital projects, efficient operation of transit services, or enhanced access to a broad range of mobility options that reduce traffic congestion. ● Work to ensure the agency is at the table and appropriately funded as part of any potential regional funding measure. ● Support efforts to ensure sales tax revenues generated from aviation fuel continue to fund planned transportation projects. Support the State of California in its efforts to respond and address FAA’s requests.
<p>Transportation & Housing Connection Given the housing shortage crisis, there have been efforts at the State and regional level to link housing and zoning with transportation funding.</p>	<ul style="list-style-type: none"> ● Evaluate state or regional efforts that directly link transportation funding to housing and provide for higher density housing projects near transit stations. ● Advocate for solutions that appropriately match decision making authority with funding (i.e – An agency shouldn’t be financially penalized for decisions that are outside the authority of the agency). ● Monitor the implementation of the Surplus Lands Act and advocate for clarifying language on the disposition of properties subject to the Act.

Transportation Projects	
<p>General Pre-pandemic, as the Bay Area’s population continued to grow, the region’s transportation infrastructure was strained. Although transit ridership remains far below pre-pandemic levels, we expect riders to return to public transit once major employers along the corridor bring their employees back to the office. We are already seeing highways, local streets and roads becoming heavily congested. Despite the pandemic, the demand for housing with easy access to public transit continues to grow.</p>	<ul style="list-style-type: none"> • Work with partners in the region to bring business, community, and transportation stakeholders together to enhance, support and advocate for transportation and mobility in the Bay Area.
<p>Transit-Oriented Development / First and Last Mile First and last mile projects, as well as transit-oriented development projects are an important part of the broad transit ecosystem that will help support robust ridership in the corridor.</p>	<ul style="list-style-type: none"> • Support efforts to provide commuters with easy and convenient options to travel to and from major transit centers to their final destination. • Support the development of new and innovative first and last mile options. • Support increased funding opportunities for first and last mile projects. • Advocate for policies that promote transit-oriented developments in ways that with compliment transit services. • Support state funding incentives and streamlining processes for transit-oriented development.
<p>Transportation Demand Management (TDM) TDM is the application of strategies and policies to reduce travel demand of single-occupancy vehicles or to redistribute this demand in space or time.</p>	<ul style="list-style-type: none"> • Support efforts that provide more TDM tools and funding opportunities. • Support policies that encourage use of TDM.
<p>Electrification Project In 2012, the State Legislature appropriated Prop 1A high-speed rail funds to modernize the Caltrain corridor and lay the foundation for future high-speed rail service. Under a multi-party regional funding agreement, this investment was matched with a variety of local, regional, state and federal funding sources to electrify the corridor, install an advanced signaling</p>	<ul style="list-style-type: none"> • Direct advocacy to support allocation of one-time general fund money, TIRCP, cap-and-trade, or other State funding, to fill the funding gap for the Electrification project to ensure timely completion of the project by 2024. • Work with state, local and regional partners to advance policies and actions that will help secure funding needed to fulfill local, regional and state commitments to the Electrification Project.

system and replace 75% of Caltrain’s aging diesel trains with electric trains that will dramatically improve service between San Francisco and San Jose. **The Project has a funding gap that requires additional financial resources.**

The Electrification Project is a transformational first step in the realization of a larger future for Caltrain that will be guided by the Caltrain 2040 Business Plan efforts.

Caltrain 2040 Business Plan In October 2019, the Caltrain Board adopted a long-term 2040 Service Vision, defining an ambitious plan for growing service over the next 20-plus years. The service vision outlines the capital and operating needs to achieve the vision and includes projects such as longer EMU fleet, longer platforms, level boarding, passing tracks, grade separations and station upgrades. It also identified needs to prepare the railroad to expand and integrate into a regional rail network. While the Plan is close to final, Caltrain turned its attention to COVID recovery in 2020 and plans to close out the Business Plan in 2022.

Caltrain Equity and Growth Framework In 2020, Caltrain developed a policy to advance equity within the system and neighboring communities. The policy will help address systemic inequality by taking steps to ensure the Caltrain system is accessible and useful to all. The policy also advances efforts to improve Caltrain connections to the regional transit network and provide direction on service priorities during and after the COVID-19 pandemic.

- Advocate for the sale and allocation of Proposition 1A bonds to meet the commitments specified in SB 1029 with respect to the Caltrain corridor and work to include funding for Caltrain in any future Proposition 1A appropriations.
- Work to address regulatory challenges that limit the implementation of solutions that will maximize Caltrain capacity and service benefits.
- Advocate for funding and policies to support grade separation projects.
- Support the allocation of cap-and-trade or other state / regional funding to advance implementation of Caltrain projects.
- Work to address regulatory actions or policies that negatively impact Caltrain future capacity or service improvements.
- Support the implementation of the Caltrain Business Plan associated projects and policies. Continue to educate the Caltrain legislative delegation and key members of the Administration on the Plan.
- Ensure relevant state and regional agencies incorporate relevant elements of the Caltrain Business Plan in their long-term plans.
- Support funding and regulations that are consistent with Caltrain’s equity and growth policy.
- Consistent with existing agreements between JPB and CHSRA, support efforts to plan, engage stakeholders, and implement the Blended System project on the Caltrain corridor.

<p>High-Speed Rail Blended System In 2016, a new round of HSR Blended System planning, outreach and environmental clearance work kicked-off in the corridor. While this project is not being led by the JPB, the agency owns the right-of-way and has a significant interest in the process and success of the project that will “blended” with Caltrain service. In 2022, HSR will likely finalize the EIR for the northern Caltrain corridor and request additional allocation of Prop 1A resources for the Central Valley work.</p>	
<p>Legislative, Regulatory and Administrative Issues</p>	
<p>General Every year a variety of legislation or regulatory action is pursued that would affect regulations governing transportation-related service operations, administration, planning and project delivery. In addition, opportunities exist to reform or update existing regulations that are outdated, or can be improved to address potential burdens on transportation agencies without affecting regulatory goals. Recently, there have been calls for a more coordinated and streamlined transit system in the Bay Area.</p> <p>The State is providing guidance on COVID related transit measure to protect the public health and reduce virus transmission during the pandemic.</p>	<ul style="list-style-type: none"> • Support opportunities to remove barriers to, and improve the ability to conduct, safe, efficient transportation operations, administration, planning and project delivery efforts, including alternative project delivery methods that provide flexibility to the agency. • Oppose efforts to impose unjustified and burdensome regulations or restrictions on the Agency’s ability to conduct efficient transportation operations, administration, planning and project delivery efforts. • Engage with MTC, the Legislature, and stakeholders on policies stemming from MTC’s Blue Ribbon Transit Recovery Task Force’s Bay Area Transit Transformation Action Plan, and the “Seamless” Bay Area efforts. • Ensure that new requirements impacting transit agencies support improved connections with other transit system and don’t result in tradeoffs that have unintended consequences for key transit riders and stakeholders. • Work with the Administration to ensure guidance considers impacts on transit operations and the ability to meet transit rider mobility needs.
<p>California Environmental Quality Act (CEQA) Several regional and statewide transportation organizations continue working to modernize CEQA and minimize unnecessary delays during the</p>	<ul style="list-style-type: none"> • Closely monitor efforts to modernize CEQA. Without compromising CEQA’s effectiveness as an environmental protection policy, support proposals that advantage transportation projects, including bicycle, pedestrian and transit-oriented development projects.

<p>environmental review process. In 2020, legislation was passed (SB 288) providing a series of statutory exemptions for transit and active transportation projects under CEQA.</p>	<ul style="list-style-type: none"> • Monitor the implementation and opportunities related to SB 288 (Wiener), and support the extension of the provisions included in SB 288.
<p>Public Employees’ Pension Reform Act (PEPRA) In 2021, the United States Department of Labor issued new policy asserting that the implementation of PEPRA by California transit agencies precludes the department from certifying federal transit grants owed to California transit agencies. This policy, if implemented fully by USDOL, would lead to the withholding of potentially billions of dollars in federal funding to California transit agencies, including the Agency.</p>	<ul style="list-style-type: none"> • Engage the State of California, delegation, sister agencies and transportation associations to prevent the withhold the certification of federal transit grants owed to the Agency due to the implementation of PEPRA by transit agencies.
<p>Sustainable Communities Strategies Implementation In conjunction with AB 32 and SB 32 implementation, the Sustainable Communities and Climate Protection Act (SB 375) requires regions to develop Sustainable Communities Strategies (SCS) with integrated housing, land-use and transportation policies that will accommodate population growth and reduce regional greenhouse gas emissions by specific amounts. In 2017, regional authorities in the Bay Area approved the update to Plan Bay Area. The final Plan Bay Area 2050 was adopted in 2021.</p>	<ul style="list-style-type: none"> • Advocate for policies that provide adequate and equitable funding to support increased demand and dependence on the Agency’s transportation services associated with the implementation of SB 375 and Plan Bay Area. • Ensure any planning, development, or policy proposals are consistent with the Agency’s policies and planning. • Support efforts to provide ensure transit agencies are eligible for climate resiliency program funding.
<p>Executive Orders Related to GHG Emissions: Since taking office, Governor Newsom has issued two Executive Orders – N-19-19 and N-79-20 – calling for reduced emissions from the transportation sector and larger, coordinated investments in</p>	<ul style="list-style-type: none"> • Work to ensure state and federal funds are made available transportation agencies to achieve the goals outlined in the orders. • Engage in the State’s effort to address the transit-specific goals outlined in the executive orders.

<p>transit, active transportation and land-use. The executive orders highlight the need for expanding clean transportation options.</p> <p>Building on the executive orders above, in 2021, CalSTA adopted the Climate Action Plan for Transportation Infrastructure (CAPTI), which details how the state recommends investing billions of discretionary transportation dollars annually to aggressively combat and adapt to climate change while supporting public health, safety and equity.</p>	<ul style="list-style-type: none"> • Protect transit agencies from any negative impacts stemming from the executive orders (e.g. additional mandates without funding, changes to funding guidelines that might disadvantage transit projects).
<p>CARB In-use Loco Regulation: To meet Executive Order N-79-20 and achieve 100% zero emissions from off-road vehicles and equipment operations in the state by 2035, CARB anticipates adopting an In-Use Locomotive Regulation. As currently drafted, it would require all owners, operators, sellers, leasers, renters or manufacturers to create spending accounts (based on emissions level and amount of work performed in California) for zero-emission loco purchases as early as 2023. In 2030, it would ban all locomotives 23 years or older from operating in the state.</p>	<ul style="list-style-type: none"> • Work to ensure funding programs are available to support transition to new technology • Participate in CARB’s rulemaking effort to help shape the final regulation. • Support efforts for an alternative pathway with individualized agency plans.

Federal

Funding Opportunities and Challenges

Issue / Background

Federal Appropriations In 2021, transit agencies continued to be hit hard by the loss of ridership and revenue due to the COVID-19 pandemic. We expect the same in 2022. While federal emergency relief funding (CARES Act, CRSSA, and the American Rescue Plan) have provided some relief in the near-term, significant additional funding is needed to mitigate the pandemic’s long-term impact.

Every year, Congress adopts several appropriations bills that cover 12 major issue areas, including the Transportation, Housing and Urban Development bill. These measures provide the authority for federal agencies to spend money during the upcoming fiscal year for the programs they administer.

In September 2021, Congress passed a continuing resolution (CR) to keep federal agencies funded at the same level as the previous fiscal year, through December 3, 2021. Congress is expected to pass a Continuing Resolution or omnibus appropriations bill to fund the government for Fiscal Year 2022.

Strategy

- **Advocate for funding for the Caltrain Electrification Project in the FY22 Appropriations bill.**
- Partner with local, regional, State and national coalitions to advocate appropriation of the maximum authorized amount for programs that benefit the Agency’s transportation services and needs.
- Work with local and regional coalitions to support requests for funding from discretionary programs,
- Communicate frequently with the Agency’s federal delegation and key appropriators on the needs or concerns of pending appropriation bills.

<p>Tax and Finance Congress considers legislation that governs tax and finance issues that impact transit agencies.</p>	<ul style="list-style-type: none"> • Support efforts to ensure tax provisions that benefit the agency’s priorities are included in any tax or finance proposal. • Protect against the elimination or diversion of any tax policies that support the agency’s transportation needs.
<p>Transportation Projects</p>	
<p>General Support Agency projects and the efforts of partnering agencies to obtain federal funding for the Agency’s related transit projects.</p>	<ul style="list-style-type: none"> • Work with federal delegation members, as well as local, regional, and state coalitions to support the federal funding requests for Agency projects and for our partner transit agencies on projects that provide complimentary services for the agency.
<p>Caltrain Electrification Project The current Project funding plan includes funding from several federal funding sources including the FTA Capital Investments Grant Core Capacity Program. The Project has a funding gap that requires additional financial resources.</p> <p>Positive Train Control (PTC) is a federal mandate. The current Caltrain Positive Train Control (PTC) project includes some funding from the Federal Railroad Administration (FRA).</p> <p>The Electrification program is a transformational first step in the realization of a larger future for Caltrain that will be guided by the Caltrain 2040 Business Plan efforts.</p> <p>Caltrain 2040 Business Plan In October 2019, the Caltrain Board adopted a long-term 2040 Service Vision, defining an ambitious plan for growing service over the next 20-plus years. The service vision outlines the capital and operating needs to achieve this vision and includes projects such as longer EMU fleet, longer platforms, level boarding, passing tracks, grade separations and</p>	<ul style="list-style-type: none"> • Work with federal delegation members, as well as local, regional, and state coalitions to fill the Electrification Project funding gap. • Advocate for the Caltrain Electrification Project FTA Core Capacity funding to be included in the President’s budget request and in the annual THUD Appropriations bills. • Advocate for additional PTC funding for operating expenses. • Support efforts to streamline regulatory administrative hurdles to supporting full PTC operations. • Support the allocation of federal funding to advance implementation of Caltrain-related projects. • Advocate for funding and policies to support grade separation projects. • Work to address regulatory actions or policies that negatively impact future capacity or service improvements. • Support the implementation of the Caltrain Business Plan associated projects and policies. Continue to educate the Caltrain legislative delegation and key members of the Administration on the Plan. • Support funding and regulations that are consistent with Caltrain’s equity and growth policy. • Consistent with existing agreements between JPB and CHSRA, support efforts to plan, engage stakeholders, and implement the Blended System project on the Caltrain corridor.

<p>station upgrades. It also identified needs to prepare the railroad to expand and integrate into a regional rail network. While the Plan is close to final, Caltrain turned its attention to COVID recovery in 2020 and plans to close out the Business Plan in 2022.</p> <p>Caltrain Equity and Growth Framework In 2020, Caltrain developed a policy to advance equity within the system and neighboring communities. The policy will help address systemic inequality by taking steps to ensure the Caltrain system is accessible and useful to all. The policy also advances efforts to improve Caltrain connections to the regional transit network and provide direction on service priorities during and after the COVID-19 pandemic.</p> <p>High-Speed Rail Blended System In 2016, a new round of HSR Blended System planning, outreach and environmental clearance work kicked-off in the corridor. While this project is not being led by the JPB, the agency owns the right-of-way and has a significant interest in the process and success of the project that will “blended” with Caltrain service. In 2022, HSR will likely finalize the EIR for the northern Caltrain corridor and request additional allocation of Prop 1A resources for the Central Valley work.</p>	
<p>Legislative, Regulatory and Administrative Issues</p>	
<p>General Every year a variety of legislation or regulatory action is pursued that would affect regulations governing transportation-related</p>	<ul style="list-style-type: none"> • Support opportunities to remove barriers to, and improve the ability to conduct, safe, efficient transportation operations, administration, planning and project

<p>service operations, administration, planning and project delivery. In addition, opportunities exist to reform or update existing regulations that are outdated, or can be improved to address potential burdens on transportation agencies without affecting regulatory goals.</p>	<p>delivery efforts, including alternative project delivery methods that provide flexibility to the agency.</p> <ul style="list-style-type: none"> • Oppose efforts to impose unjustified and burdensome regulations or restrictions on the Agency’s ability to conduct efficient transportation operations, administration, planning and project delivery efforts.
<p>Infrastructure Investment and Jobs Act implementation In November 2021, Congress approved and the President signed into law the IIJA, includes \$550 billion in new funding, and \$1.2 trillion in total, for infrastructure investment, including for roads and bridges, rail systems, bus systems, drinking water and clean water, the electric grid, and other programs. MTC estimates that the Bay Area will receive at least \$4.5 billion in formula fundings from IIJA.</p>	<ul style="list-style-type: none"> • Advocate for federal funds through IIJA for Agency projects and plans. • Monitor and review guidance and rulemaking proposals affecting IIJA implementation and other transportation issues. • Collaborate with local, regional, state and national transportation advocacy groups to coordinate comments and advocacy efforts that support regulations that maximize benefits for transportation programs, services and users. • Collaborate with local, regional, state and national transportation advocacy groups to coordinate proposals and advocacy efforts for IIJA funding and implementation
<p>Additional Infrastructure Proposals Congress and the Biden Administration are currently deliberating the Build Back Better Act, which if enacted would provide significantly increased funding for climate programs, high speed rail, and active transportation.</p>	<ul style="list-style-type: none"> • Monitor closely and support efforts that can increase significant funding for transit / transportation related projects and programs. • Advocate for funding for the Agency’s projects and needs if and when the Build Back Better Act is enacted.
<p>FAA Rule In 2014, the Federal Aviation Administration’s (FAA) issued a rule called the “Policy and Procedures Concerning the Use of Airport Revenue, proceeds from Taxes on Aviation Fuel.” The rule would require that local taxes on aviation fuels must be spent on airports is contrary to states’ rights to control their general application sales tax measures.</p>	<ul style="list-style-type: none"> • Support efforts to protect the ability of local and state governments to determine how general sales tax measures are allocated. • Continue to advocate for report language in the annual appropriations bills and support legislative changes that would permanently clarify the issue. • Support the State of California in its efforts to respond and address FAA’s requests

The Senate FY2021 Transportation/HUD Appropriations bill includes report language encouraging the Department of Transportation “to continue working with State and local governments and the FAA to develop a path forward to allow the use of local sales tax revenues generated on the sale of aviation fuel to be used in a manner consistent with their enactment.”

Congress is currently negotiating the FY2021 appropriations bills now and it unclear if this language remains in the final conference report.

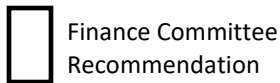
**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Sebastian Petty
Deputy Chief, Rail Planning

SUBJECT: **22ND STREET STATION AMERICANS WITH DISABILITIES ACT (ADA) ACCESS
IMPROVEMENT FEASIBILITY STUDY**



Finance Committee
Recommendation



Work Program-
Legislative-Planning



Staff Coordinating
Council Reviewed



Staff Coordinating Council
Recommendation

ACTION

No action is required. This item is being presented to the Board for information only.

SIGNIFICANCE

While the Caltrain system as a whole is accessible to riders with disabilities, the 22nd Street Station platforms are currently only accessible via stairs from 22nd Street and Iowa Street. As such, riders who are unable to traverse stairs must utilize the nearby stations of 4th and King or Bayshore to access Caltrain services. In an effort to improve street to platform access at the station, Caltrain initiated the 22nd Street Station ADA Access Improvement Feasibility Study (Study) in early 2020 at the request of Caltrain Board Member and San Francisco District 10 Supervisor and Board of Supervisors President, Shaman Walton. The purpose of this planning-level study is to explore the feasibility of potential street to platform access improvements to make the station accessible to riders with mobility impairments.

The current configuration of 22nd Street Station, which is the product of centuries-old freight and commuter rail alignments, creates several physical constraints on the implementation of new street-to-platform access facilities. Support columns from the above I-280 viaduct, future OCS poles, and underground gas and fiber optic utility lines all limit the space available for new structures. Because the San Francisco Planning Department is exploring options to relocate or substantially rebuild 22nd Street Station through the Southeast Rail Station Study, the scope of this work is focused on alternatives which can be achieved within the existing station footprint.

After completing several rounds of community and agency stakeholder engagement, the Study identified feasible ramp and elevator alternatives for both the northbound and southbound platforms. Each alternative was evaluated using a set of criteria: Ease

of Use, Safety & Security, Reliability, Ease of Maintenance, Operational Impacts, Constructability, Capital Cost, and Implementation Time. Based on the results of the evaluation process, the Study's draft recommendation is that two ramps (one for each platform) be considered for further study and engineering analysis. Community and ADA stakeholder engagement would continue as the alternatives are advanced to final design.

With the Study nearing completion, the Caltrain Board will receive an update on the Study's findings and draft recommendation for review and comment.

BUDGET IMPACT

There is no budget impact associated with this informational item.

BACKGROUND

The 22nd Street Caltrain Station is one of three stations in the City/County of San Francisco. It is located between the 4th and King terminus and Bayshore Station and primarily serves the Dog Patch and Potrero Hill neighborhoods. The station is served by baby bullet trains traveling southbound in the morning and northbound in the evening. In addition, the Muni 48 bus line stops directly at the station, while bus lines 10 and 22 and the T-Third LRT line are located about a quarter mile to the east, on 3rd Street. Prior to the COVID-19 pandemic, the station attracted approximately 1,700 Caltrain riders daily and is projected to serve many more in the future, as there is ample high-density development planned or anticipated in the station area.

The current configuration of 22nd Street Station results from the historic nature of the rail alignment and corridor. When the PCJPB purchased the railroad in 1991, it inherited a number of inaccessible stations. Since then, the agency has continuously worked to improve and modernize its facilities and expand accessibility for riders with mobility impairments. Today, Caltrain provides priority seating for seniors and persons with disabilities and at least one wheelchair accessible car on each trainset. Riders with disabilities also receive discounted fares, free parking in all Caltrain-owned lots, and complimentary travel training. This study is the latest effort in Caltrain's ongoing commitment to improving accessibility.

Prepared By: David Pape
Principal Planner, Caltrain

650.508.6210

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Casey Fromson
Acting Chief Communications Officer

SUBJECT: **METROPOLITAN TRANSPORTATION COMMISSION (MTC)/REGIONAL UPDATE**

Finance Committee Recommendation Work Program-Legislative-Planning Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

None

SIGNIFICANCE

The Metropolitan Transportation Commission (MTC) provides planning, funding, coordination, and technical assistance to cities, counties, transit agencies, and other partners to bring the region together. The California Legislature created the MTC in 1970 to plan and provide a cohesive vision for the Bay Area's transportation system. The Commission's scope over the years has expanded to address other regional issues, including housing and development.

MTC is actively considering several key policy and funding decisions that affect Caltrain, and staff wants to ensure the Board is apprised of these decisions as well as other regional efforts

BUDGET IMPACT

No budget impact.

BACKGROUND

Key Regional Items This Month:

MTC Coordinating Bay Area State Transportation Budget Ask

MTC has been working closely with Bay Area transit agencies and other key stakeholders to develop a coordinated Bay Area transportation funding ask for the State Legislature to consider when they return and start the second year of the two-year 2021-2022 State Legislative session. In 2021, Governor Newsom, as part of his May Revise, proposed \$11 billion in new transportation funding from the state's general fund and special funds. This included approximately \$2.6 billion for transit investments, funneled through the existing

Transit and Intercity Rail Capital Program. While an agreement was not reached in 2021, the funding conversation is continuing into 2022.

The MTC led Bay Area coalition sent a letter, which is included in the Board correspondence packet, to the Governor on November 19th that lays out a \$10B transportation funding need for the Bay Area over the next four years, including specifically naming funding to fill the Electrification Project's funding gap. It also identifies a \$17B need over the next five to ten years, which includes other key projects to achieve Caltrain's 2040 Service Vision.

MTC outlines the three key points of the advocacy agenda in their letter: 1) support High-Speed Rail, 2) direct General Fund surplus revenues to transportation commensurate with its extraordinary needs, and 3) prioritize public transit, active transportation and climate adaptation and use proven approaches to ensure equitable access, geographic balance and consideration of regional priorities.

Caltrain staff are working closely with MTC on this effort to ensure Caltrain's projects and priorities are included in their advocacy around the State budget.

Potential Regional Funding Measure

In mid-December, the MTC Commission will host a meeting to get feedback and input on a potential regional funding measure. Many details, including the timing, type of funding measure, and expenditure plan are uncertain. At the meeting, the Commission will hear results of a recent survey about attitudes toward a regional measure, the business community perspective, transit and housing representatives along with members of the public.

Background / Status on Other Regional Items

Transit Network Manager Business Case (TNM)

The purpose of the Transit Network Manager Business Case (TNM) work is to build on the work of the Blue Ribbon Transit Recovery Task Force with respect to public transit network management. The work will include selecting a preferred alternative structure(s) for regional transit network management, and appropriate next steps to achieve implementation.

Work on the business case will be led by MTC staff with support from a consultant team, along with oversight by an advisory committee. The advisory committee is comprised of seven representatives from transit operators including Caltrain's Acting Executive Director and seven representatives from stakeholder organizations. The first advisory committee is scheduled for January 2022, and will be meeting on a monthly basis. The study will commence in winter 2022 and is anticipated to complete by summer 2022. MTC has recently awarded a contract to VIA – A Perkins Eastman Studio (VIA) in an amount not to exceed \$750,000 for this work at its November meeting.

The scope of work will include the following: assess the Network Management (NM) accountability areas, evaluation criteria, and transit network management structure alternatives. The consultant team will propose and confirm an evaluation methodology and conduct detailed analyses of select NM alternatives, make a recommendation of

the preferred alternative(s) likely to achieve near term and longer-range regional goals, and identify next steps to achieve implementation.

Regional Fare Coordination and Integration Study

The Regional Fare Coordination and Integration Study was launched in 2020 as a collaborative study between transit operators and MTC to identify strategies to improve fare coordination and integration in the region. The study is overseen by the Fare Integration Task Force, a committee appointed by the Clipper Executive Board that includes the general managers from multiple transit operators, including Caltrain's Acting Executive Director. After presenting the draft recommendations to regional boards in the Bay Area (including to the Caltrain Board at the October JPB meeting and to the Caltrain Citizen Advisory Committee at their November meeting), the project management team has shifted its focus towards refining the recommendations and finishing the study's final report. It is anticipated that the Fare Integration Task Force may endorse a Bay Area Transit Fare Policy Vision Statement at a meeting later this fall.

Bay Area Regional Rail Partnerships Study

This new study is being led by MTC staff and will study different options for regional rail governance, as well as different approaches to delivering rail megaprojects in the region. The study will analyze both issues and develop recommendations for the region. At this time, consultant procurement has been completed, and MTC staff is in the process of finalizing the scope and determining the roles and responsibilities for the project. In November, MTC staff and consultants have been in contact with the Caltrain acting ED and senior staff to discuss roles on the project. At this time, MTC has designated Caltrain as part of a technical advisory group comprised of regional and megaregional rail operators, select local jurisdictions and congestion management agencies, and Caltrans. We anticipate the study will launch in winter 2022 and expect to provide more substantive updates as details emerge.

Regional Wayfinding and Mapping Efforts

In September, the Blue Ribbon Transit Recovery Task Force approved the Transformation Action Plan, which includes 27 near-term actions to be taken by MTC, transit agencies, county transportation agencies and others to make the Bay Area's public transportation network more connected, more efficient, and more customer-focused. One of the actions adopted was to finalize regional mapping and wayfinding standards for application across all operator service areas by mid-2023. This would include funds to develop a regional mapping data services digital platform, to enable standardization and routine updating of digital and paper maps across all transit services. The MTC is working to secure a consultant team to help lead the efforts, which will happen in spring of 2022.

Prepared By: Jadie Wasilco
Caltrain Government & Community Affairs Manager

650.465.6301

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

FROM: Michelle Bouchard
Acting Executive Director

SUBJECT: **DRAFT GOVERNANCE RECOMMENDATION FOR DISCUSSION**

Finance Committee Recommendation Work Program-Legislative-Planning Staff Coordinating Council Reviewed Staff Coordinating Council Recommendation

ACTION

Staff intends to provide an update to the Board regarding additional input staff has received on the "straw proposal" presented at the November JPB meeting. As discussed below, staff does not intend to seek Board action at the December JPB meeting, but has noticed this item as an "action item" should the Board wish to consider a motion providing direction to staff regarding the preparation of a resolution setting forth the Board's recommendation regarding a governance structure.

SIGNIFICANCE

The Peninsula Corridor Joint Powers Board (JPB) has committed to developing and approving a governance recommendation by December 31, 2021. At its November 4, 2021 meeting, the Board reviewed and discussed a draft "straw proposal" on governance developed by Acting Executive Director Michelle Bouchard.

Since the November JPB meeting, staff has interviewed individual Board members and Joint Powers Agreement member agency staff to solicit further comments and input on the draft proposal. In parallel, staff has continued discussions with staff from the member agencies and the Metropolitan Transportation Commission (MTC) regarding payment to the San Mateo County Transit District for their initial investment in the Caltrain ROW. Staff is using input received during these discussions to develop a revised draft recommendation on governance for the Board's consideration and potential adoption.

On November 17, Chair Davis transmitted a message to the Board indicating her belief that the board would not be ready to take final action on a governance recommendation at the December 2nd meeting. Instead she directed staff to provide an update to the Board on the governance process at their December 2nd meeting and to plan for the January 6 JPB meeting as the target date for potential action on a

governance recommendation. Staff therefore intends to present a draft resolution for the Board's consideration at the January 6 JPB meeting, unless the Board provides a different direction to staff at the December 2nd meeting.

BUDGET IMPACT

There is no budget impact associated with receiving this report or taking any actions.

Prepared by: Sebastian Petty, Deputy Chief, Caltrain Planning

**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

DRAFT MINUTES OF NOVEMBER 17, 2021

MEMBERS PRESENT: A. Brandt (Vice Chair), P. Flautt, R. Jaques (Alternate), L. Klein, R. Kutler, P. Leung, M. Pagee (Alternate), D. Tuzman, E. Shapiro, B. Shaw (Chair)

MEMBERS ABSENT: JP. Torres, N. Mathur (Alternate)

STAFF PRESENT: J. Harrison, M. Jones, A. Myles-Primakoff, J. Navarrete, J. Navarro, R. Scarpino

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

Chair Brian Shaw called the meeting to order at 5:41 p.m. and led the Pledge of Allegiance.

APPOINTMENT OF NOMINATING COMMITTEE

A nominating committee was established with three CAC members, A. Brandt, R. Kutler, and L. Klein, one from each county. Staff will coordinate a conference call for the nominating committee to meet and provide a recommendation for Chair and Vice Chair for 2022.

APPROVAL OF MINUTES OF OCTOBER 20, 2021

Motion/Second: Kutler / Klein

Ayes: Brandt, Leung, Shapiro, Shaw, Tuzman

Abstain: Flautt

Absent: Torres

PUBLIC COMMENT

Jeff Carter, Millbrae, via Zoom Q&A, requested Clipper Data to be available on the website. He also asked Clipper Data and Go Pass Data to be agendized on a future CAC Agenda.

Roland Lebrun, San Jose, via Zoom Q&A, made the committee aware of the need for VTA CAC members and requested to spread the word. He then expressed his concerns about Constant Warning Time and the wireless solution.

Aleta Dupree, via Zoom Q&A, expressed the importance of building foundations. She then mentioned her support for working to an all Clipper and open payment system, especially the opportunities to help people get involved with Clipper Start. She then suggested doing everything it could to get funding for more service. Lastly, she mentioned Postal Banking.

CHAIRPERSON'S REPORT

Chair Brian Shaw tasked the committee to develop two to three items to be agendaized for the following year as well as to review the Work Plan for additions and/or deletions.

COMMITTEE COMMENTS

Member Patricia Leung mentioned that the VTA needs CAC members and encouraged anyone interested to reach out to the VTA. In addition, she mentioned that the VTA needs strong voices for input on upcoming projects, for example, the VTA's BART Phase II Project.

Vice Chair Adrian Brandt provided the committee and public with various updates. First, he stated that Menlo Park's Rail Subcommittee Staff Report contains the draft language of the RFP for the Quiet Zone Study. He then provided an update on the proposed TOD to be built in the Santa Clara Station parking lot. He also provided an update on the BART extension to San Jose. Lastly, he spoke about Constant Time Warning and mentioned that the staff plans to implement a wireless system and voiced his concerns.

Member Rosalind Kutler shared that she attended the SFCTA Outreach meeting regarding the southeast plan and mentioned ongoing outreach. She then stated that she plans to continue to participate.

Member David Tuzman asked for the Caltrain website link to preview the new website to provide feedback. Member Patrick Flautt said that he would send the link to the committee.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, requested Closed Captioning be enabled and, for future meetings, requested it be enabled before the start of the meetings. Roland then shared his solution for VTA's BART Phase II Project in Santa Clara. He then stated that regarding quiet zones, quad gates with intrusion detection are the solution. He also said that trains that run on tracks adjacent to the platform need to sound their horn. Finally, he shared his solution for level boarding. He stated that he would cite Samtrans with two violations of the Federal ADA rule stating that anything built within the last ten years needs to have level boarding platform. He suggested several agenda items including, platform length and platform height.

CAC Secretary enabled Closed Captioning.

Adina Levin, via Zoom Q&A, shared comments regarding VTA's BART Phase II Project and the Southeast Study. Comments inaudible.

Jeff Carter, Millbrae, via Zoom Q&A, stated that putting ADA ramps at 22nd ST would be beneficial as it is a busy station. He then said that the BART extension to Santa Clara is duplicative, not necessary, and expensive. Jeff then suggested that staff make the CAC meeting videos on the website more accessible. He stated that the links for download expire in four months. He also said that he could not find the link to the previous CAC meeting. Finally, he stated that the connection to BART at Millbrae is a poor design.

BROWN ACT TRAINING

James C. Harrison and Anna Myles-Primakoff, Olsen Remcho, LLC presented the Brown Act Training. The full presentation can be found on caltrain.com

Committee Comments:

None

Public Comments:

Aleta Dupree, via Zoom Q&A, wondered whether members of the public may be denied attendance at a public meeting. She also requested that public meetings be a safe space. She stated that Chairpersons seem to be timid when it comes to enforcing decorum at meetings. She also wondered whether Caltrain's legal counsel has a public facing aspect.

Jeff Carter, Millbrae, via Zoom Q&A, shared his concerns regarding Public Comments being truncated due to lunch breaks. He also stated that the Brown Act seems very restricted for committee members. Lastly, he stated that staff uses Brown Act inappropriately when they do not want to discuss items.

Roland Lebrun, San Jose, via Zoom Q&A, shared his appreciation for the presentation and asked whether this presentation may be shared with the VTA Board.

Vice Chair Brandt asked for further information regarding closed sessions. Mr. James Harrison explained when closed sessions are used.

REGIONAL FARE COORDINATION/INTEGRATION STUDY AND BUSINESS CASE

William Bacon, MTC, presented the Fare Coordination/Integration Study and Business Case. The full presentation can be found on caltrain.com

Committee Comments:

Vice Chair Brandt shared his experience with a similar program and is looking forward to the implementing of fare coordination in the Bay Area. He then asked for clarification on the \$3 for new rider cost. Mr. Bacon responded that the cost roughly correlates to around \$2 - \$3 on an annual basis per new rider.

Member David Tuzman stated that the business case shows that unified fare by distance has the potential of 75k more riders predating the system and asked whether Mr. Bacon has information of how those split per agency, particularly how many of

those trips would be Caltrain rides included. Mr. Bacon responded that the modeling does not break it down by agency. Member Tuzman noted that the fare by distance model seems to have the highest potential increase. Member Tuzman then stated that in the business case, in most of the tiers of types of policy changes, there would be more people that shift their mode of transit from bus to rail than they would from rail to bus and asked the reasoning that would cause that mode shift. Mr. Bacon responded it would be speed and time of travel reliability most rail systems benefit from having an exclusive right of way.

Member Larry Klein applauds the vision and anticipates the pilot moving forward. He then asked what incentives there are for transit agencies that may not want to participate. Mr. Bacon responded that he could not fully answer the question. However, MTC is working in collaboration with their partners and has no reason to think they will not continue to work collaboratively as they move forward. Member Klein then asked whether, from a state standpoint, are there additional things that might be done to push this, from a legislation standpoint, faster. Mr. Bacon responded that additional financial support for transit, in general, is fundamental to the long-term sustainability of our systems, at least through the uncertainty that remains during the pandemic.

Member Leung asked whether the task force/commission will come up with a framework all the agencies can rally behind and how they plan to operationalize division. Mr. Bacon responded that the project team will come back to the fare integration task force, with the delivery strategy.

Member Tuzman stated that he would like to propose a motion for the CAC to support the Fare Policy. Chair Shaw suggested that Member Tuzman agendaize the item for a committee vote.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, stated that implementation would encourage more people to use transit. He stated that it may be done sooner with a paper pass versus Clipper.

Aleta Dupree, via Zoom Q&A, stated that uniformity is essential. She said that it will need to be uniform and have predictable payment methods when using the system. She stated that ultimately, this should go to an open payment system.

Adina Levin, via Zoom Q&A, shared that she is glad to hear that this body supports the recommendations. She recommended that the region pursue funding as quickly as possible from the state and federal sources and then implement it as soon as possible, upon Clipper 2.0. She encouraged the committee to consider making that their recommendation to accelerate the implementation of that standardized regional fares.

Roland Lebrun, San Jose, via Zoom Q&A, stated the way to address equity is by the paper pass and/or discounts given to seniors, students, and the disabled. He then

stated that High Speed Rail fares could not be the same as buses because the business model is different and more expensive to operate.

A subcommittee was created to draft a resolution with Members Tuzman, Jaques, and Brandt. Chair Shaw said he would work with staff to amend the item.

JPB CAC WORK PLAN

Chair Brian Shaw closed this Agenda item as his remarks were already stated in the Chairperson's Report.

STAFF REPORT UPDATE

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

On-time Performance (OTP) –

- **October:** The October 2021 OTP was 93.8% compared to 97.4% for October 2020.
 - **Vehicles on Tracks** – There were five days, October 8, 9, 13, 23, and 29, with a vehicle on the tracks that caused train delays.
 - **Mechanical Delays** – In October 2021, there were 980 minutes due to mechanical issues compared to 358 minutes in October 2020.
 - **Trespasser Strikes** – There were two trespasser strikes on October 25 and 26, one resulting in a fatality.
- **September:** The September 2021 OTP was 96.6% compared to 97.5% for September 2020.
 - **Trespasser Strikes** – There was one trespasser strike on September 29, resulting in a fatality.

Mr. Navarro stated that the Dual Speed Check would be the backup system for the wireless system. He then said that foundations would be completed by mid-2022 in the San Francisco area.

Committee Comments:

Vice Chair Brandt requested the recovery percentage of Average Weekday Ridership as it relates to pre-COVID. He stated that currently, Caltrain is at 12.7%. Mr. Navarro said that he would include that percentage in next month's report. Vice Chair Brandt requested feedback on the possibility of a pilot project to prevent vehicles from driving onto the tracks. Mr. Navarro stated that staff is looking into different options, including LED reflectors and bollards.

Member Kutler recognized the conductors for making announcements on trains with the new stopping patterns. Mr. Navarro appreciated the positive feedback. Mr. Navarro reported that staff would soon go back to riding trains to complete train ride evaluations.

Member Leung thanked staff for coordinating with the San Jose Sharks.

Public Comments:

Roland Lebrun, via Zoom Q&A, stated that the way to represent pre-COVID Average Weekday Ridership recovery is with tree grass superimposed; one for 2019, one for 2020 and one for 2021 so that it is an easy graph where you can see every month from January to December and then annotate the percentage. Roland then explained why the wireless solution will not work. He stated that staff is not listening and will need to take drastic measures.

Jeff Carter, Millbrae, via Zoom Q&A, appreciated that the graphs were included in the packet and looked forward to the percentage being included. Mr. Navarro then advised that staff continues to work on the Clipper Data with the Business Intelligence team and is almost ready.

JPB CAC Work Plan

December 15, 2021

- Customer Experience Completions & Recommendations
- Construction Obstacles
- 2022 Legislative Program

January 19, 2022

- Code of Conduct
-
-

February 16, 2022

-
-
-

March 16, 2022

-
-
-

April 20, 2022

-
-



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
- Industry Safe Functionality
- Blue Ribbon Task Force
- Clipper Data Availability

DATE, TIME, AND LOCATION OF NEXT REGULAR MEETING:

The next meeting will be December 15, 2021, at 5:40 pm, San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 8:56 pm.



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

MICHELLE BOUCHARD
ACTING EXECUTIVE DIRECTOR

Memorandum

Date: November 23, 2021
To: Board of Directors
From: Michelle Bouchard, Acting Executive Director
Subject: December 2, 2021, JPB Board Meeting Executive Director's Report

- **On-time Performance**
 - **Through November 22:** The November 2021 OTP was 97.3% compared to 96% for November 2020.
 - **October:** The October 2021 OTP was 93.8% compared to 97.4% for October 2020.
 - **Trespasser Strikes** – There were two trespasser strikes on October 25 and 26, one resulting in a fatality.
- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, November 17, via teleconference. James Harrison & Anna Myles-Primakoff, Olson Remcho, LLP provided the Brown Act Training. William Bacon, Bay Area Metro provided a presentation on Regional Fare Study. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, December 15, via teleconference or in San Carlos.
- **BATAC Meeting** – The Bicycle & Active Transportation Advisory Committee met on Thursday, November 18, via teleconference. Jeremy Lipps,

Manager – Digital Communications, provided a presentation on the Website Replacement Project. Hubert Chan, Manager, Stations – Rail Operations provided an update & presentation on South San Francisco. Dan Provence, Planning Administrator – Stations Mobility Access, provided a presentation on E Bike Lockers and Shared Micro Mobility Strategy. The next BATAAC meeting is scheduled for Thursday, January 20, via teleconference or in San Carlos.

- **Holiday Service** – During the following days and Holidays, Caltrain will operate the following schedules:
 - Christmas Eve (Christmas Day Observed) – Friday, December 24, 2021 – **Weekend Schedule**
 - Christmas Day – Saturday, December 25, 2021 – **Weekend Schedule**
 - New Year’s Eve (New Year’s Day Observed) – Friday, December 31, 2021 – **Weekday Schedule + Special Post-event Trains**
 - **Caltrain will provide special post-event trains after the last regularly scheduled train at 12:05 a.m. The first special southbound train will depart San Francisco at 12:30 a.m. or when full and the last train will depart no later than 1:30 a.m. Trains will make all weekday local stops from San Francisco to San Jose Diridon.**
 - **Caltrain will provide FREE service beginning at 8 p.m. until the last special post-event train departs San Francisco.**
 - New Year’s Day – Saturday, January 1, 2022 – **Weekend Schedule**
 - MLK Day Service – Monday, January 17, 2022 – **Modified Schedule**
 - President’s Day – Monday, February 21, 2022 – **Modified Schedule**

- **Special Event Service**

Services Performed:

November special events ridership will be reported in the January Executive Director’s Report.

- **San Francisco Giants –**

Regular Season:

The Giants hosted three games in October. Total additional ridership, alighting and boarding at San Francisco station was 14,398. Average

additional ridership per game was 4,799, an increase of 60% compared to September 2021. Total regular season additional ridership was 187,142, a decrease of 40% compared to 2019.

Post Season:

The Giants hosted three post season games in October. Total additional ridership, alighting and boarding at San Francisco station was 18,817. Average additional ridership per game was 6,272, a decrease of 18% compared to 2016 when the last time the Giants were in the playoffs.

- **San Francisco 49ers** – The 49ers hosted three games in October. Total ridership alighting and boarding at Mountain View station was 1,188. Average additional ridership per game was 594, a decrease of 75% compared to October 2019. Year to date additional ridership is 3,421, a decrease of 58% compared to 2019.

The 49ers hosted three games in November.

- **Stanford Football** – The Stanford Cardinal hosted two games in October. Here were 16 trains that stopped at Stanford station. Total ridership alighting and boarding at Stanford station was 625. Average ridership per game was 313, a decrease of 67% compared to 2019.

The Stanford Cardinal hosted three games in November.

- **Golden State Warriors** – The Warriors hosted three games in October. Total additional ridership for October was 1,034. Average ridership per game was 259, a decrease of 68% compared to October 2019.

The Warriors hosted nine games in November.

- **San Jose Sharks** – The Sharks hosted four home games in October. Total post game additional riders boarding at San Jose Diridon was 218.

The Sharks hosted seven games in November.

- **Fleet Week** – Regular service was provided for Fleet Week. Additional riders alighting and boarding at San Francisco station on Saturday, Oct. 9 and Sunday, Oct. 10 was 2,174, a 60% decrease compared to the 2019 event.

Services Scheduled:

- **SF 49ers Regular Season** – The 49ers will host one regular season game in December. Caltrain will operate regular weekend service and is coordinating with VTA and Levi's Stadium regarding the connecting services.
 - **San Jose Sharks** – The SJ Sharks will host nine regular season games in December. Staff will continuously monitor service with SAP Center.
 - **Golden State Warriors** – The Warriors will host seven regular season games in December. Staff will continuously monitor service with Chase Center.
 - **Holiday Train** – Caltrain will operate the Holiday Train on Saturday, December 4, and Sunday, December 5. This dazzling show-train will visit nine Caltrain stations between San Francisco and Santa Clara over two nights in December with glittering lights and holiday decorations. We provide holiday entertainment and collect toys for local children who otherwise might not receive a gift during the holidays. More information on the event is available at www.holiday-train.org.
 - **New Year's Eve** – Caltrain will operate a weekday schedule and provide special post-event trains after the last regularly scheduled train at 12:05 a.m. The first special southbound train will depart San Francisco at 12:30 a.m. or when full and the last train will depart no later than 1:30 a.m. Trains will make all weekday local stops from San Francisco to San Jose Diridon. Caltrain will provide free service beginning at 8 p.m. until the last special post-event train departs San Francisco.
- **Capital Projects**

The Capital Projects information is current as of November 12, 2021 and is subject to change between November 12 and December 2, 2021 (Board Meeting).

- **South San Francisco Station Improvements:** This project replaces 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 overall system operational efficiency.

On September 20th, passengers began boarding and disembarking from the new centerboard platform so that the temporary platform could be

demolished. The contractor (PMI) continued with architectural and electrical finishes for the ramps to the station and continued work on roadway at Poletti Drive on the east side. The project plans to open West Plaza for public use on November 15th. City of SSF and Caltrain agreed to move the Ribbon Cutting Ceremony to early January of 2022, to avoid the holiday season, plus other Caltrain and city events occurring in December 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 for implementation.

Currently, the project continues to address the City of Burlingame's comments to their review of the value engineering of the preliminary design to optimize cost, schedule, and construction efficiency. Concurrent with the value engineering efforts, detailed design efforts are underway such as geotechnical engineering and utilities coordination. The current schedule forecasts advertisement for the construction contract by late-2023. Construction scheduled to occur from early 2024 to mid-2027. Advance utility relocations are expected to begin in late 2022. Team is evaluating the potential use of alternative contract delivery methods to address project risk and site constraints.

- **Guadalupe River Bridge Replacement:** JPB proposes to replace the MT-1 railroad bridge and extend the MT-2 railroad bridge over the Guadalupe River in the City of San Jose, Santa Clara County, California. The proposed project is located just north of Willow Street and east of State Route (SR) 87 between Tamien & Diridon stations.

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

The proposed project entails replacement of the existing 187-foot MT-1 Bridge with a 265-foot pre-cast concrete structure with a 110 long steel

deck girder over the river; channel widening under the south side of the MT-1 bridge to reduce scour/ increase flow capacity. The extension of the existing MT-2 bridge from 195-foot to 250 feet by replacing the south abutment and modifying the last pier and the relocation of Fiber Optic cables and the existing overhead catenary system (OCS) pole.

The total project cost estimated at \$45 million and is nearing 100% design completion by December 3, 2021 and bid advertisement in early 2022 with expected Board award in April 2022.

Major issue facing this project is the resolution with the UPRR on scope and budget issues, now going into arbitration.

- **Rengstorff Avenue Grade Separation:** JPB in partnership with the City of Mountain View propose to grade separate the existing at-grade Caltrain tracks from the roadway crossing at Rengstorff Avenue in the City of Mountain View. This project will help improve public safety for pedestrians, cyclists, vehicles, and trains while improving the overall traffic flow and travel reliability.

The project entails constructing a new full depressed intersection approximately 20 feet deep with horizontal transition curves of approximately 1/2 mile long on Central Expressway & 1/4 mile long on Rengstorff at Caltrain railroad crossing. Major grading work, new paving & bicycle lanes with special barriers, retaining walls, new elevated railroad tracks & pedestrian bridges, utility relocation, drainage & pump station facilities, and landscaping.

The project is currently in preliminary design and had expected 35% design submittal for later this year. However, this submittal delivery has been delayed to March 2022 due to additional geotechnical investigation & traffic studies as well as the County's review of geometric design layout for sight & stopping distances as well as changes to transition grades. The preliminary total budgeted estimate for this project is around \$280 million. Most of the funds will come from City of Mountain View (thru VTA-Measure "B" sales tax), State, Federal, local, and other grants.

Currently construction is expected to start in early 2025, pending securing funds and complete in late 2027.

- **Ticket Vending Machine (TVM) Rehabilitation:** This project will upgrade existing TVM Server and retrofit and refurbish existing TVM machines to so that the machines can perform 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. Scope of the original contract was increased to include upgrades to the credit card reader and database.

Phase 1 was completed in October 2020 to develop a prototype Clipper TVM. Phase 2 for the retrofitting of 12 additional TVM's was completed in March 2021. The agreement for the award of Phase 3 for upgrading of another 21 TVM's was executed in late September. The completion of Phase 3 is expected by early 2022. Phase 4 for the upgrading of another 27 TVM's will be added to the project as the approved FY21 capital funding has just recently become available. Phase 5 funds to upgrade the remaining 27 TVM's (contained in the FY22 Capital Budget) are not yet available. A request for Board approval to add Phase 4 and an option for adding Phase 5, when funds are available, is planned for early 2022.

- **Mary and Evelyn Avenue Traffic Signal Preemption Project:** This project will perform upgrades to train approach warning systems at Mary Avenue and Evelyn Avenue crossings in Sunnyvale. Project will improve vehicle safety at the at-grade crossings by increasing traffic signal advance warning times for approaching trains to clear vehicles at the crossings. Project will mimic the 2014 completed traffic signal preemption project 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 Notice to Proceed for construction was issued to the Caltrain contract operator, TASI, in February 2021. TASI completed the installation of new traffic signal preemption equipment and advance signal preemption was successfully cutover and tested in July 2021. Integrated testing with the City of Sunnyvale's traffic controller will be done when the city is ready in late 2021.

- **Churchill Avenue Grade Crossing Improvements:** This project will make safety, pedestrian, and bicycle access improvements to the Churchill Avenue crossing in the City of Palo Alto. The project scope includes widening sidewalks, associated relocation of pedestrian gates, and installing new vehicle pavement markings and markers. This project is a coordinated with the City of Palo Alto's own design for the crossing.

Project began in December 2019. The 100% design was received and is now being reviewed. The City's 100% design is now forecast for November 2021 and will be incorporated into JPB's Issue for Bid documents that are now

forecast for December 2021. Construction is forecast to occur from mid-2022 to early 2023.

- **Broadband Wireless Communications:** This project will provide wireless communication systems to enhance capabilities for monitoring of railroad operations and maintenance and provide Wi-Fi capability for passengers. Project is funded through a grant from the Transit and Intercity Rail Capital Program (TIRCP).

Project completed the planning/conceptual design phase in 2020. A recommendation was made to proceed with the project as a Design/Build procurement. Caltrans, the primary funding managing agency, has approved JPB's request to procure via a Request for Proposal (RFP) in lieu of Issue for Bid (IFB) method to allow for best value selection. RFP documents were completed and reviewed by all stakeholders in September 2021. The RFP was advertised for proposals on October 8th and the contract award is expected by early 2022. The Pre-Bid conference and site visit was conducted, and the project team is currently responding to questions from the bidders. Design and Construction is planned from early 2022 until mid-2023.

- **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 need 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 finalizing the Issue for Bid construction bid documents. Coordination and outreach with the Electrification project and stakeholders, such as the Cities of Brisbane and San Francisco, have been conducted and continue. Subject to the availability of funding for construction, the advertisement for bids is now forecast to occur in fall 2021 with construction expected to commence in the spring of 2022. It was determined that waiting for completion of station grounding and bonding, by the Electrification project, was not necessary for this project to proceed.

- **Mountain View Transit Center Grade Separation and Access:** The purpose of the Mountain View Transit Center (MVTC) Grade Separation and Access Project is to improve safety at Castro Street in the city of Mountain View by replacing the existing at-grade crossing at Castro Street with a grade-separated pedestrian and bicycle underground crossing.

The Project will include:

- 1) A main Transit Center entrance to Castro Street, facilitated by closing the existing at-grade rail crossing to vehicles.
- 2) A promenade walkway leading to a grand stair and ramp, made possible by narrowing Castro Street where it connects Evelyn Avenue.
- 3) A below-grade Concourse, replacing the existing at-grade rail crossing and linking pedestrian and bicycle tunnels to Downtown, and Transit Center, and community areas north of Central Expressway.
- 4) Small plaza at the northeast and northwest corners of Central Expressway and Moffett Boulevard that provide access to undercrossing tunnels via stair, ramp, and/or elevator.
- 5) Platform, plaza, and below-grade amenities, including lighting, seating, sun/rain canopies, and landscaping.
- 6) Accommodate long-range rail operation needs.
- 7) Improve bicycle and pedestrian access/circulation within project limits.
- 8) Offer an opportunity to provide a gateway entrance into the Mountain View Business District.

JPB Environmental Planning group is working to obtain environmental clearance for the project through the California Environmental Quality Act (CEQA). A board action for CEQA adoption will be done concurrently with approval and award of the Final Design Contract in mid-2022. Issuance of the Request for Proposal for Final Design is schedule for later this year. The planned schedule is to issue an Invitation for Bids (IFB) for construction by end of 2024.

Currently, the project is working with the Project's "Technical Working Group" (TWG) that is comprised of JPB, Mountain View, and VTA for review of the final design Request for Proposal (RFP) deliverables as required in the executed Cooperative Agreement. In addition, the Team is evaluating the potential use of alternative contract delivery methods to address project risk and site constraints.

- **Watkins Avenue Grade Crossing Improvements:** This project includes the design and construction of four quadrant ("quad") gates at the Watkins Avenue Grade crossing located in Atherton, California. This project is related to the executed Memorandum of Understanding (MOU) regarding the 'Town of Atherton Station Closure' between the Town and Caltrain.

In July 2021, a work directive was issued to the design consultant to complete final design activities. JPB Staff including Engineering and Maintenance conducted a kick-off meeting with Town of Atherton staff regarding scope, schedule, as well as input for the conceptual design. In

addition, JPB Staff conducted a field diagnostic meeting with California Public Utilities Commission (CPUC) and the Town of Atherton to obtain the necessary information and requirements from CPUC for the final design. The 35% design for the safety improvements at the grade crossing has been completed and reviewed.

The current schedule forecast reflects a construction period from January 2023 to December 2023, which complies with executed MOU.

- **MP-36 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul includes complete disassembly of the main diesel engine, overhauling by reconditioning reusable main frame components and re-assembly with new engine components and replacement of 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 is occurring off-site at the contractor's facility location. The 6 locomotives to be overhauled are Locomotive #'s 923, 924, 925, 926, 927 & 928. To maintain daily service, only 1 to 2 of these locomotives are released at a time for overhaul work 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 was shipped to the vendor's facility at Mare Island (Vallejo) in July 2020 for overhauling. Its return to Caltrain has been delayed from early-2021 until late-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, this unit is currently 88% completed. A second vehicle #924 was shipped to the vendor's facility in November 2020 and is currently being stripped for overhauled and is 12% completed.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: Pranaya Shrestha
Chief Officer, Caltrain Modernization Program

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

Finance Committee
Recommendation

Work Program-
Legislative-Planning

Staff Coordinating
Council Reviewed

Staff Coordinating Council
Recommendation

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.

Prepared By: Pranaya Shrestha
Interim Chief Officer, Caltrain Modernization Program

720.757.9191



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



October 2021 Monthly Progress Report

October 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 (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

Table of Contents

	Page
1.0 Background	1-1
2.0 Executive Summary	2-1
2.1. Monthly Dashboards	2-2
2.2. Funding Partners Participation in PCEP	2-5
2.3. Schedule	2-9
2.4. Budget	2-9
2.5. Board Actions	2-10
2.6. Government and Community Affairs	2-10
3.0 Electrification – Infrastructure	3-1
3.1. Electrification	3-1
3.2. Supervisory Control and Data Acquisition	3-6
3.3. Tunnel Modification	3-7
3.4. Interconnection Construction	3-7
4.0 Electric Multiple Units	4-1
4.1. Electric Multiple Units	4-1
4.2. Centralized Equipment Maintenance and Operations Facility Modifications	4-2
5.0 Safety	5-1
6.0 Quality Assurance	6-1
7.0 Schedule	7-1
8.0 Budget and Expenditures	8-1
9.0 Change Management	9-1
10.0 Funding	10-1
11.0 Risk Management	11-1
12.0 Environmental	12-1
12.1. Permits	12-1
12.2. Mitigation Monitoring and Reporting Program (MMRP)	12-1
13.0 Utility Relocation	13-1
14.0 Real Estate	14-1
15.0 Third Party Agreements	15-1
16.0 Government and Community Affairs	16-1
17.0 Disadvantaged Business Enterprise (DBE) Participation and Labor Statistics	17-1
18.0 Procurement	18-1
19.0 Timeline of Major Project Accomplishments	19-1

List of Tables

	Page
Table 2-1 Schedule Status.....	2-9
Table 2-2 Budget and Expenditure Status.....	2-10
Table 3-1 Work Progress by Segment	3-4
Table 6-1 Quality Assurance Audit Summary.....	6-2
Table 7-1 Schedule Status.....	7-1
Table 7-2 Critical Path Summary	7-1
Table 7-3 Schedule Hold Points.....	7-2
Table 8-1 Electrification Budget & Expenditure Status	8-1
Table 8-2 EMU Budget & Expenditure Status	8-3
Table 8-3 PCEP Budget & Expenditure Status.....	8-3
Table 8-4 Third Party Improvements/CNPA Budget & Expenditure Status	8-4
Table 8-5 Budget Transfers of Contingency	8-4
Table 15-1 Third-Party Agreement Status.....	15-1

List of Figures

	Page
Figure 2-1 PCEP Work Segments.....	2-1
Figure 2-2 Expenditure – Planned vs. Actual.....	2-2
Figure 2-3 Spending Rate vs. Required.....	2-3
Figure 2-4 Construction Contract Budgets.....	2-3
Figure 2-5 OCS Foundation Production.....	2-4
Figure 2-6 Contractor Completion Schedule.....	2-4
Figure 10-1 Funding Plan.....	10-1
Figure 11-1 Monthly Status of Risks.....	11-2
Figure 11-2 Risk Classification.....	11-3
Figure 17-1 DBE Participation.....	17-1

List of Appendices

	Page
Appendix A – Acronyms.....	A-1
Appendix B – Funding Partner Meetings.....	B-1
Appendix C – Schedule.....	C-1
Appendix D – Standard Cost Codes.....	D-1
Appendix E – Change Order Logs.....	E-1
Appendix F – Risk Table	F-1
Appendix G – MMRP Status Log	G-1

1.0 BACKGROUND

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

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

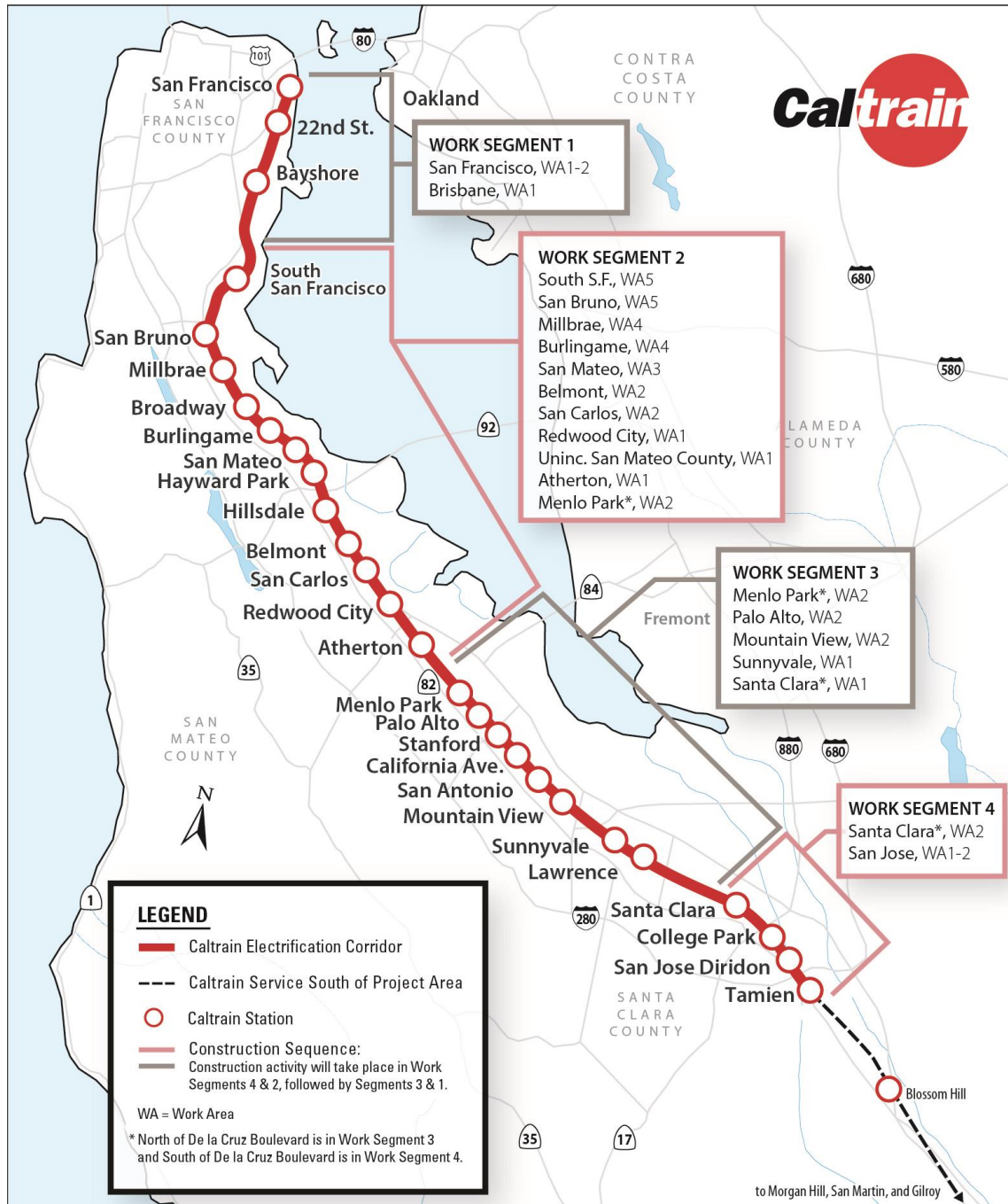
An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

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

2.0 EXECUTIVE SUMMARY

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

Figure 2-1 PCEP Work Segments



Peninsula Corridor Electrification Project
Monthly Progress Report

Crews have continued on-track and off-track foundations in Segment 1. Installation continued for OCS poles, cantilevers and wires in Segment 4, OCS wires in Segments 3 and 4, and OCS poles and cantilevers in Segment 2. Work at the paralleling stations included termination of low voltage wires, access road build-up and grading, cable terminations, installation of rain gutters, installation of access gate, and setting of a transformer.

Punch list work continued at the Centralized Equipment Maintenance and Operations Facility (CEMOF). The exterior window was partially installed for the Component Test Room, and the fire alarm and aerial cable conduit was installed at the Part Storage Building.

Trainset 1 is still undergoing dynamic type testing in Pueblo, CO, including 8-car Positive Train Control, noise and vibration, and adhesion testing. The luggage rack First Article Inspections (FAIs) took place this month. Routine static and dynamic testing continued on Trainsets 3 – 6.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

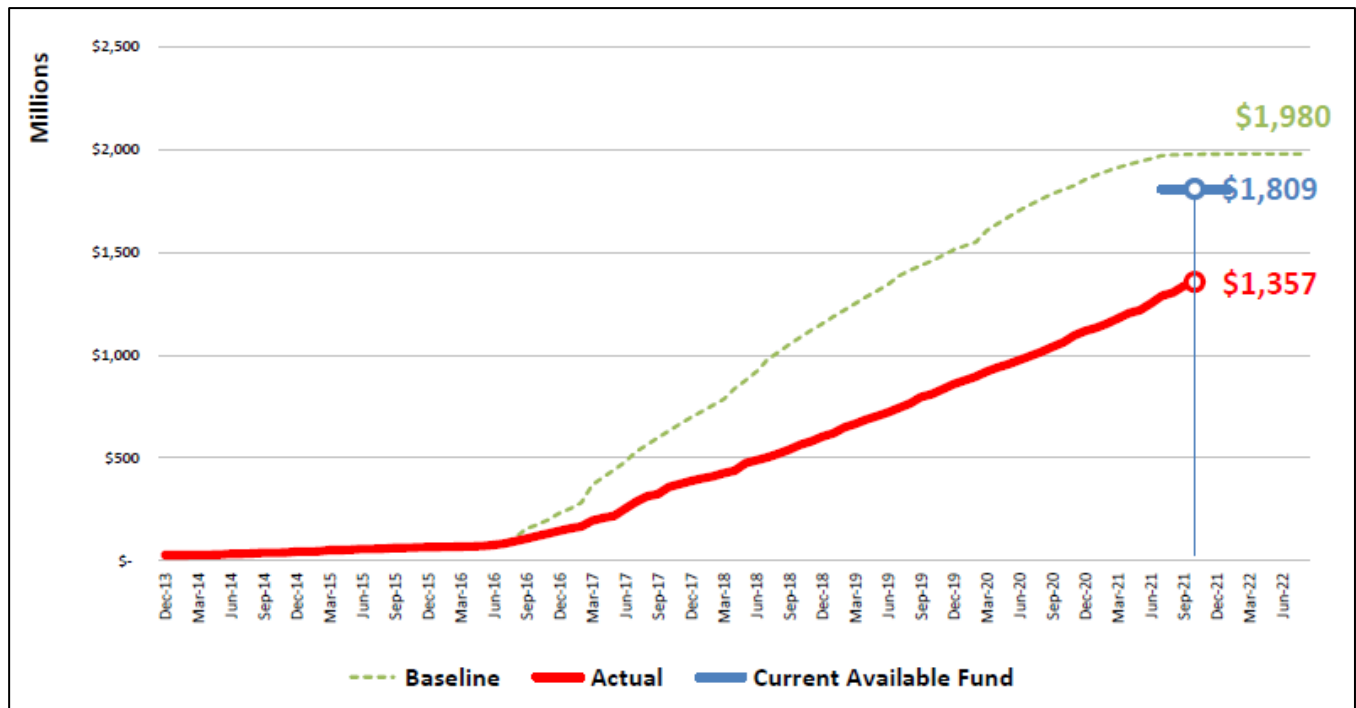


Figure 2-3 Spending Rate vs. Required

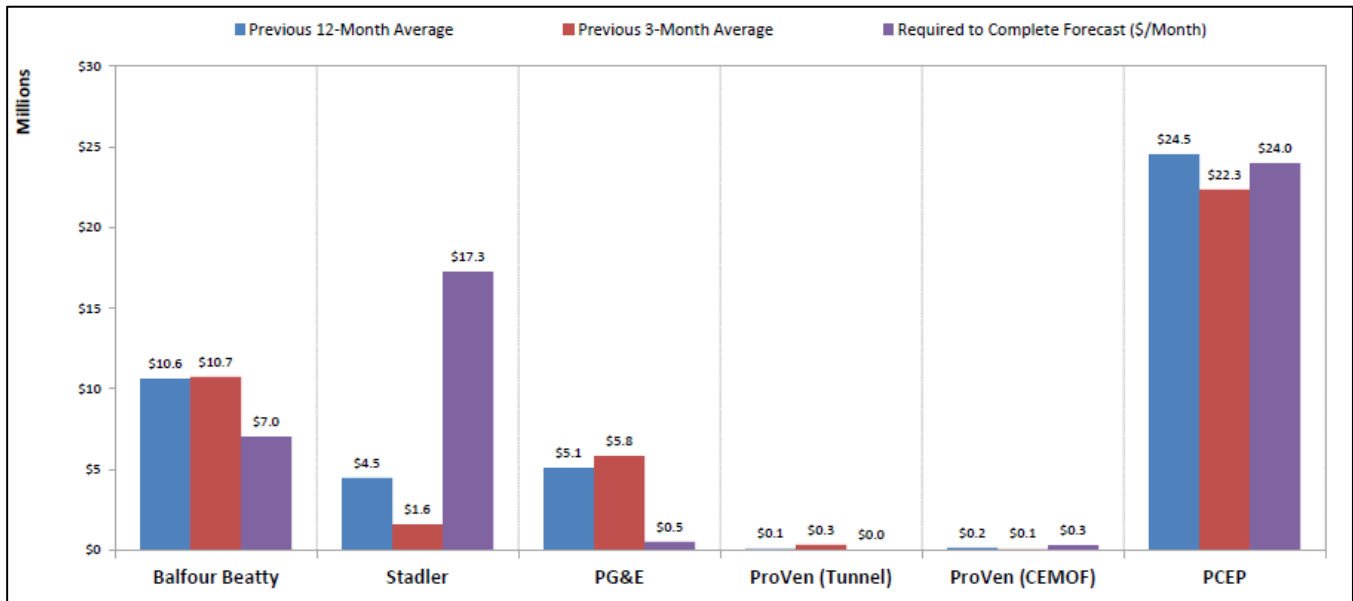


Figure 2-4 Construction Contract Budgets

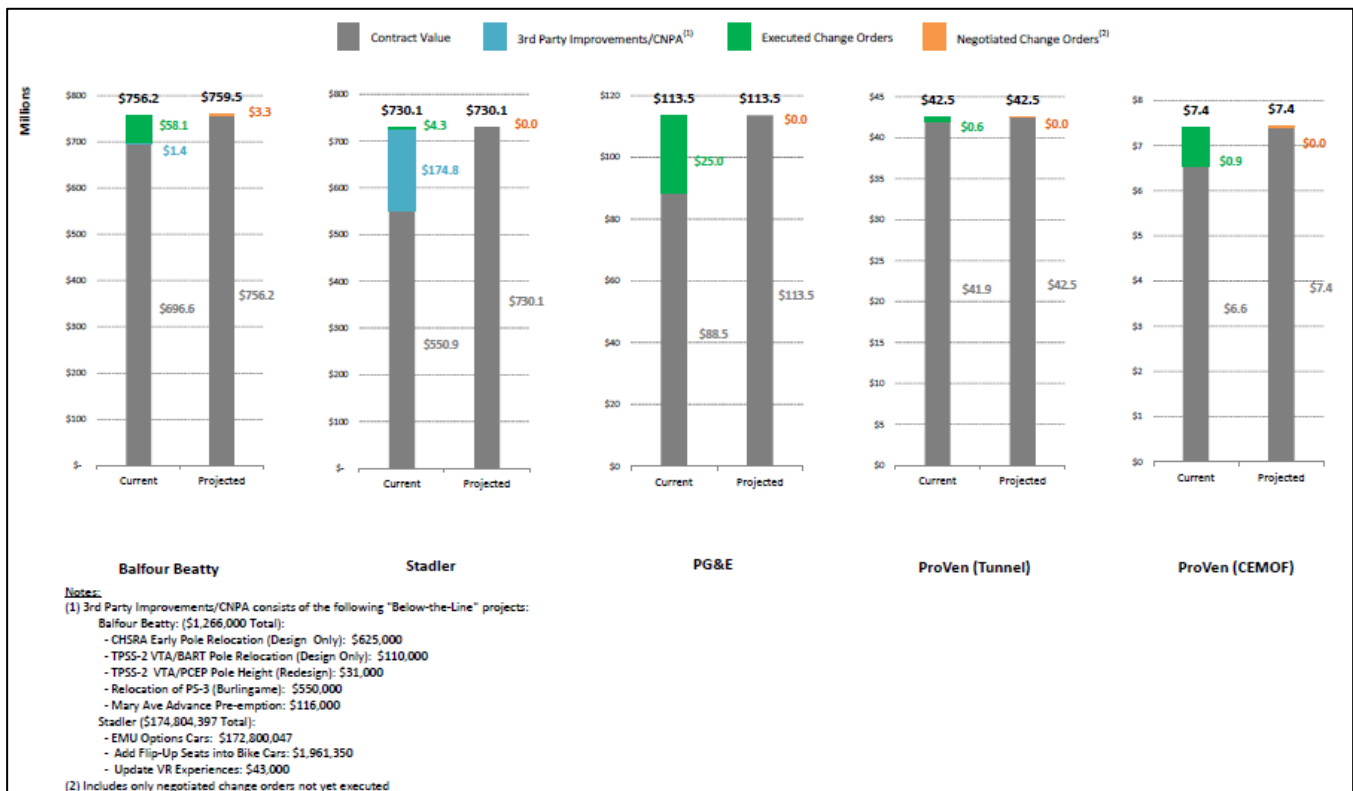
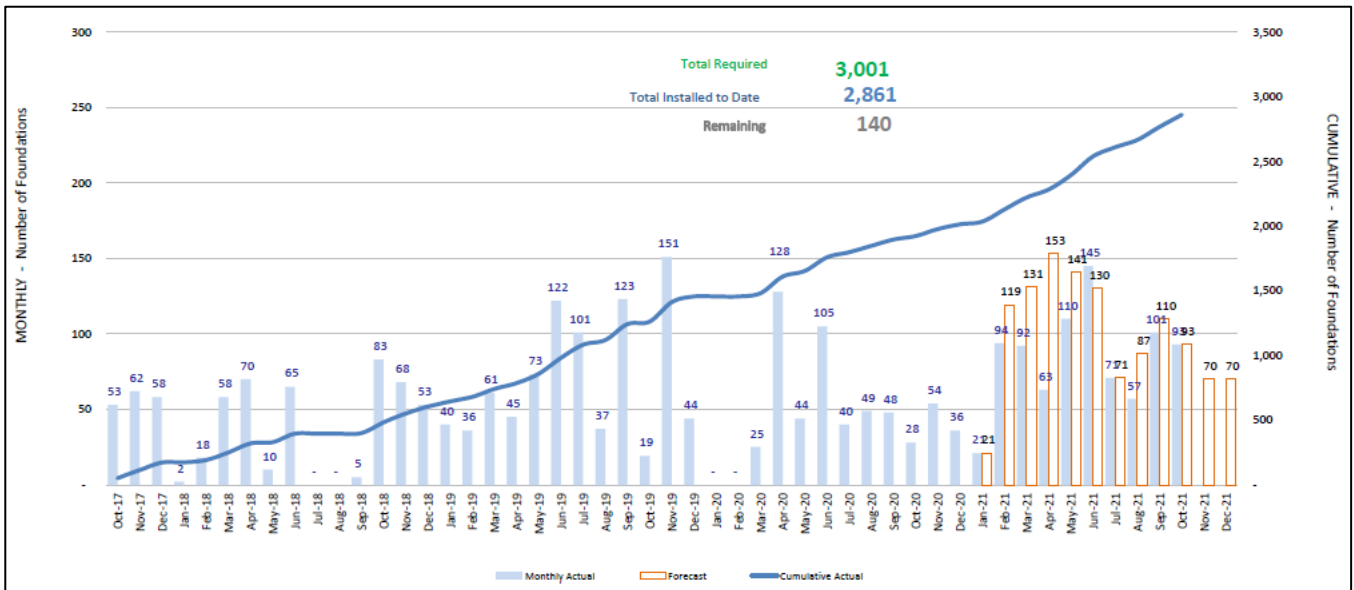


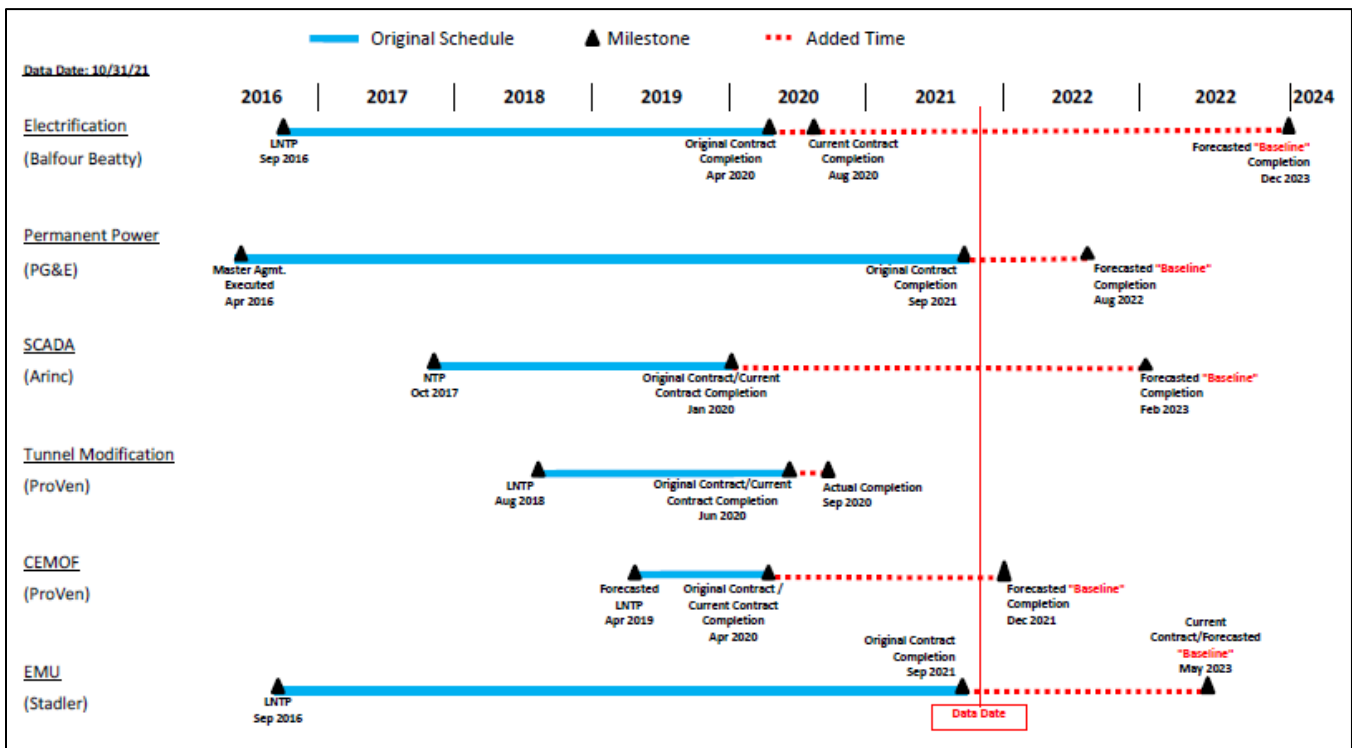
Figure 2-5 OCS Foundation Production



Notes regarding tables above:

- BBII is reporting a delay in the completion date for the OCS foundations. PCEP's own projection of BBII's productivity estimates the completion date to be in November, reflected in Figure 2-5. The monthly forecast is 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 for Segment 1
- Discussion of open issues impacting foundations design and installation for Segment 1
- Discussion of outstanding Requests for Information (RFI)
- Review of outstanding Field Orders or Change Notices required for foundation installation in Segment 1 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 Substation improvement and Interconnection schedules
- 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; CHSRA: Sharath Murthy; VTA: James Costantini

The Federal Transit Administration (FTA) Quarterly Update occurred virtually on October 28. The CalMod Project office has successfully moved to Caltrain headquarters in San Carlos. In public outreach, a giveaway for the EMU seats occurred end of September – October 3 with 140 submittals in the raffle. In Environmental and Planning, comments from the FTA for the Programmatic Agreement (PA) have been received and staff is working to update the agreement. The cutover for CP Coast/CP De La Cruz was completed the weekend of October 8. A diagnostic field visit was held for General Order (GO) GO-88B for Center Street in Millbrae on October 8. The next cutover is planned for November 12 – 15. An Emergency Preparedness Drill will be scheduled and will include a test procedure to deenergize power to allow the Fire Department to enter the right of way (ROW). In EMU design and testing, all design reviews have been completed and are now closed. Testing took place for Train 1 which included noise and vibration testing. Routine static and dynamic tests on Trains 3, 4, and 5 are ongoing and routine static tests have started on Train 6. For the Centralized Equipment and Maintenance Operations Facility (CEMOF), the fire sprinkler system for the Parts Storage Warehouse has been tested. In design build activities, 195 foundations remain in total, and staff is currently focusing on completing the 50 foundations remaining in Segment 1B. Poles and wires work will continue in Segments 3 and 4, with completion of Segment 4 delayed to December 18 due to the fabrication of poles. TPS-2 terminations were completed the weekend of October 9, and all TPF transformers are now installed, with the last installed in PS-3 on October 12. ARINC has completed and demonstrated the Protocol Manager in support of Secure Authentication (SA) Version 5 and is targeting mid-November to install the code.

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 identify, monitor and determine appropriate resolution(s) 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 and Caltrain Capital Project managers responsible for other capital projects on the corridor is ongoing. There is coordination with PG&E for providing low voltage power drops to various railroad facilities. The Systems Integration meeting has been arranged to have a technical discussion of the interface issues to existing Caltrain legacy systems followed by a shorter session with CalMod management for elevation of issues

identified. 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. The schedule fragnet for the achievement of Intermediate Milestone #1 has been largely developed and the group continues to refine this and monitor progress toward achievement of the milestone. 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: SFCTA: Luis Zurinaga; VTA: Manolo González-Estay; CHSRA: Sharath Murthy, Wai-On Siu

The Revenue Service Date (RSD) is forecasted to occur between January 1, 2024 and March 31, 2024. When six to nine months of risk contingency is included, the new proposed revised RSD is September 26, 2024.

The master program schedule critical path remains unchanged and continues to run through the signal system design and installation, followed by the integrated testing.

The JPB’s forecasted electrification substantial completion date for the BBII contract in the MPS October update remains December 31, 2023. JPB is working with BBII to improve progress on both the signal systems, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

The COVID-19 impact and supply chain challenges continue to impact Stadler’s October progress schedule update, resulting in a 37-day schedule delay on the 1st trainset arrival at the JPB site and a new forecast date of February 28, 2022. The conditional acceptance of the 14th trainset remains May 16, 2023. JPB needs to evaluate the baseline schedule revision as per Stadler’s contract.

Risk Assessment Meeting – Monthly

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

Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; CHSRA: Sharath Murthy; MTC: Trish Stoops; FTA: Mike Eidlin

No Risk Assessment Committee meeting was held this month. A risk workshop was held on October 5. A two-day Industry Expert Risk Workshop was held on October 26 and 27.

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

Funding Partners: CHSRA: Simon Whitehorn and Sharath Murthy; SFCTA: Luis Zurinaga; SMCTA: Joe Hurley; MTC: Trish Stoops and Kenneth Folan; VTA: Jim Constantini; FTA: Mike Eidlin

BBII Contract

One change was considered and 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.

PG&E Contract

One change was considered and approved.

Other

No changes were identified for consideration.

2.3. Schedule

The Revenue Service Date (RSD) is forecasted to occur between January 1, 2024 and March 31, 2024. When six to nine months of risk contingency is included, the new proposed revised RSD is September 26, 2024.

The master program schedule critical path remains unchanged and continues to run through the signal system design and installation, followed by the integrated testing.

The JPB’s forecasted electrification substantial completion date for the BBII contract in the MPS October update remains December 31, 2023. JPB is working with BBII to improve progress on both the signal systems, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

The COVID-19 impact and supply chain challenges continue to impact Stadler’s October progress schedule update, resulting in a 37-day schedule delay on the 1st trainset arrival at the JPB site and a new forecast date of February 28, 2022. The conditional acceptance of the 14th trainset remains May 16, 2023. JPB needs to evaluate the baseline schedule revision as per Stadler’s contract.

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

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (October 2021) ¹
Milestone #1 Segment 4 Construction Completion	11/21/2019	02/4/2022 ¹
Arrival of First Vehicle at JPB	N/A	02/28/2022 ^{1,2}
PG&E Provides Permanent Power	09/09/2021	08/13/2022
FFGA RSD	08/22/2022	08/22/2022
Acceptance of 14 th Trainset	08/20/2021	05/16/2023 ^{2,3}
Electrification Substantial Completion	08/10/2020	12/31/2023 [*]
Revenue Service Date (RSD) – Period Range	12/09/2021	01/01/2024 – 03/31/2024
Proposed Revised RSD with Contingency	N/A	09/26/2024

Note:

- ¹. Dates may shift slightly in the upcoming progress schedule update due to holidays.
- ². Dates are expected to be delayed due to COVID-19 impact on subcontractors and supply chain challenges.
- ³. Dates require JPB approval as per contractual extension of time process.
- ^A Completed Milestone.
- ^{*} Pending mediation process resolution with BBII.

2.4. Budget

In December 2020, the FTA conducted a risk refresh that reviewed the existing delays, updated contractor schedules, and independent schedules prepared by the JPB. On June 17, 2021, a draft FTA-led Risk Refresh Report was issued forecasting an additional

Peninsula Corridor Electrification Project
Monthly Progress Report

budget need of \$333M. At the June 3, 2021 JPB Board meeting, in alignment with the FTA report, PCEP proposed a \$333M budget increase consisting of \$161M in known and allocated costs and \$172M in reserve. The additional budget need has been incorporated into the estimate to complete (ETC) at the bottom of budget Table 8-3 for a total estimate at completion (EAC) of \$2.313B and Appendix D for an FTA project EAC of \$2.263B. The re-baseline allocation of the additional budget to the current budgets will be requested for Board Approval after resolution of the Two-Speed Check Solution.

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) ^{3,4}	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$14,019,835	\$1,046,343,759	\$289,781,449	\$1,336,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$5,450,890	\$310,430,927	\$333,696,398	\$644,127,325
Known and Allocated ⁵					\$161,000,000	\$161,000,000
Reserve ⁵					\$172,000,000	\$172,000,000
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$19,470,726	\$1,356,774,686	\$956,477,847	\$2,313,252,533

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.
4. Column D "Cost To Date" is exclusive of Caltrain capital overhead on non-staff costs for the period since methodology changed in January 2021. The cost and budget for overhead will be reconciled with the amendment of the program budget.
5. Known and Allocated and Reserve includes additional budget need of \$333M in the estimate at completion (EAC) until a budget amendment is approved.

2.5. Board Actions

- None

Future anticipated board actions include:

- Authorize Amendment to Supplemental Agreement No. 2 with PG&E for Construction of 115 Kilovolt Interconnections.
- Authorize Increase in Contract Change Order Authority for ARINC for SCADA Database Changes
- Change orders as needed

2.6. Government and Community Affairs

There were three 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 installation of on-track foundations in Segment 1.



Segment 1 Night On-Track Drilling

- Continued installation of off-track foundations in Segment 1.



Daytime Drilling Segment 1 – Off-Track

- Continued installation of OCS poles, cantilevers, and wires in Segment 4.
- Continued regulation of OCS wires (sagging the wires) in Segments 3 and 4.
- Continued installation of shunt wires in Segments 3 and 4.
- Continued installation of OCS poles and cantilevers in Segment 2.
- Continued to pothole at proposed OCS locations and utility locations in Segment 1.

Peninsula Corridor Electrification Project

Monthly Progress Report

- 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.
- PS-1:
 - Progressed cable terminations in enclosures and equipment.
 - Progressed site grading and base rock installation.
 - Progressed access road build up and grading.



PS-1 – Access road build up and grading

- PS-2:
 - Installed access gate.
 - Progressed PG&E power drop redesign.
- PS-3:
 - Poured auxiliary pad.
 - Set transformer.



PS-3 – Poured auxiliary pad.

- PS-4:
 - Installed ground rods and wire for PG&E service.
 - Finished conduits between existing PG&E vault and new vault.
- PS-5:
 - Progressed BBII/EPS cable terminations in the control building.
 - Progressed non-conductive fence and barb wire installation.
- PS-6:
 - Progressed BBII/EPS low voltage cable terminations in the control building.
 - Continued low voltage wire terminations in the control building.
- PS-7:
 - Continued low voltage wire terminations in the control building.
 - Installed rain gutters on the 25kV enclosure.
- TPS-1: Pulled wire between vaults from PG&E service to station parking lot.
- TPS-2:
 - Installed rain gutters for 25kV enclosure.
 - BBII pulled wire from main to strain gantry.
 - Tested feeder cables.
 - Completed fence grounding.
- SWS-1:
 - Installed PG&E 400 AMP service panel.
- Continued to install signal kits, AFTAC boxes, battery cases and signal houses in Segment 2.
- Performed cable pulling in Segment 2.
- Installed communication equipment and spliced fiber in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segments 1, 2, 3, and 4.
- Performed signal system pretesting in Segments 4 and 2.
- Installed insulated joints in Segment 2.
- Performed track bonding and impedance bond installation in Segment 4.
- Continued fiber optic cable installation and splicing in Segment 4.
- Cutover CP De La Cruz and CP Coast locations to new signal system circuitry.
- Completed Segment 2 DCN design package review process.
- Installed overhead bridge attachments at various locations in Segment 3 and 4.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.

Peninsula Corridor Electrification Project
Monthly Progress Report

- Continued Right of Way acquisition for 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 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 and TPS-1 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	42	178	259	0	0
	B	228	51	213	183	0	0
2	5	246	0	246	212	0	160
	4	317	0	317	253	0	253
	3	177	0	177	140	34	125 ^d
	2	237	0	237	205	0	73
	1	200	0	200	161	0	44
3	2	509	0	509	445	0	445
	1	392	0	392	310	0	310
4	A	242	0	242	180	0	179
	B	128	0	128	124	0	122
	CEMOF	85	0	85	83	0	83
Total		3,096	93	2,956	2,587	34	1,826

- 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.
 - ^d. Poles installed in S2WA3 were unreported in the last report.

Activity Next Month

- Continue off-track OCS foundation installations in Segment 1.
- Continue on-track OCS foundation installation in Segment 1 and mobilize from Visitacion Lead to 16th Street for installation of Segment 1A foundations.

- 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. Target completion of poles and wire installation by October in these two segments.
- Continue shunt wire installation.
- Continue poles and cantilever installation in Segment 2.
- 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.
- PS-1:
 - Complete access road.
 - Continue fine-grade installation.
- PS-2:
 - Install strain gantry steel.
 - Install bollards for the 400 AMP PG&E pad.
- PS-3:
 - Complete transformer installation.
 - Install lighting foundations.
- PS-4:
 - Complete PG&E inspections.
 - Install bollards.
- PS-5
 - Complete low voltage cable fit-up for the 25kV enclosure.
 - Complete permanent site fence installation.
 - Install fine-grade and drainrock.
- PS-7:
 - Continue high voltage cable fit-up for the 25kV enclosure.
 - Install OCS gantry interface.
- SWS-1:
 - Complete PG&E low voltage power drop.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in all Segments.

- Continue cable termination and cross bonding at signal locations in Segment 4.
- Continue fiber installation and splicing in Segment 4.
- Continue preparation for the upcoming signal cutover in Segment 4.
- Continue conduit installations in Segments 1, 2, 3, and 4.
- Continue to install impedance bond connections.
- Continue neutral returned installation.
- Continue signal design progress set for Segments 1 and 2.
- Continue to install bridge attachments.
- 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 construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.
- Continue progress on Single Phase Study.

3.2. Supervisory Control and Data Acquisition

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

Activity This Month

- Submitted Monthly Progress Report.
- Completed September Schedule Update.
- The Train the Trainer was completed for dispatch personnel.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Submit field installation, cutover plan, and field test procedures.

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

- Reconciled Change Orders.
- Progressed As-Built Drawings.

Activity Next Month

- Reconcile Change Orders.
- Receive As-Built Drawings from ProVen.
- Closeout Contract documents – RFIs, submittals, and letters.

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

- EGS – TPS-1:
 - Completed UECCo construction at Gateway and Grand Avenue intersection for Circuit #1 and #2.
 - Progressed UECCo Phase 2B construction in the HealthPeak parking lot.



Drainrock Installation for the Circuit #2 Ductbank in the HealthPeak Parking Lot

Peninsula Corridor Electrification Project

Monthly Progress Report

- Installed HealthPeak and EGS TSP riser foundations.



TRC Installing TSP Foundation in HealthPeak Parking Lot

- Granted TPS-1 easement.
- FMC – TPS-2:
 - Rescheduled Circuit #2 and redundant fiber highway crossing to July 2022.
 - BBII pulled wire from main to strain gantry.
 - Progressed BBII/EPS testing and commissioning.
 - Granted TPS-2 easement.

Activity Next Month

- EGS – TPS-1:
 - Restore Gateway and Grand Avenue intersection.
 - Continue Underground Phase 2B – HealthPeak parking lot construction.
 - Receive TPS-1 enclosure house delivery.
- FMC – TPS-2:
 - Install Circuit #1 redundant fiber.
 - Install PG&E metering house battery.
 - Install OCS gantry interface.
 - Complete EPS testing and commissioning.

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

- Continued dynamic type testing on Train 1 at TTCl in Pueblo, CO, including 8-car Positive Train Control, noise and vibration, and adhesion testing.



Adhesion Test at TTCl in Pueblo, CO

- Continued routine static and dynamic testing on Trainsets 3 through 6.
- Continued production on Trainsets 3 through 15.
- COVID-19 related actions continued for the 20th 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.
 - 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.
 - Most recently, a small supplier of anodized aluminum parts shut down for two weeks due to a COVID-19 outbreak.
 - On multiple occasions since the start of the pandemic, a spike in positive COVID-19 cases has reduced man-hours in SLC.
 - Stadler has submitted multiple requests for 'excusable delays' due to COVID-19. The extent of the continuing delay is being evaluated and

Stadler is developing a rebaselined schedule. Currently, delivery of the first trainset to Caltrain has been delayed 11.5 months to February 2021.

- Due to supplier bankruptcies, Stadler is now assembling all luggage racks and ceiling panels themselves.
- First Article Inspections (FAI) continue to have their paperwork formalized and closed out. The individual car FAIs remain. The luggage rack FAIs took place in October.
- 88 carshells have been shipped from Stadler Switzerland, with 73 arriving at Stadler's Salt Lake City facility (15 shells are in transit/holding).
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March 2020 due to COVID-19 travel restrictions. Stadler has submitted a draft schedule for resuming supplier audits and it is under review.
- A Buy America interim audit was conducted in Salt Lake City.

Activity Next Month

- Continue to close out FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities.
- Support type testing in SLC and at TTCL.
- Provide quality reps in SLC (final assembly), Altenrhein (carshells) and Winterthur (trucks).

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

- North Pit and South Pit:
 - Investigated north pit elevation discrepancies.
- Component Test Room:
 - Paused hairline crack repair.
 - Partially installed exterior window.
- Part Storage Building:
 - Continued fire alarm installation.
 - Installed aerial cable conduit.



Part Storage Building

Activity Next Month

- North Pit and South Pit:
 - Install extension piece for WSP handhole.
 - Implement north pit repairs/SSWP.
 - Continue shop drawings/submittals for north pit repair.
- Component Test Room:
 - Complete window.
 - Schedule punch list site walk.
- Part Storage Building:
 - Complete fire alarm.
 - Schedule punch list site walk.

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.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Initiated an Operating Hazard Analysis (OHA) meeting with TASI Operations and Maintenance (O&M) subject matter experts to discuss potential hazards and mitigation measures associated with their interface within the electrification systems.
- Coordinated with Segment 4 (Santa Clara County) emergency responders in preparation of electrification system familiarization activities and supported Caltrain annual emergency preparedness exercise to include an OCS related scenario for Segment 4 emergency responder representatives.
- Continued to perform reviews and provide comments on the BBII Safety and Security Certification Design Criteria Conformance Checklists (DCCC) and Construction Specification Conformance Checklist (CSCC) submittals.
- Participated with internal stakeholders in Rail Activation Committee meetings.
- Investigated project incident occurrences and worked with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Continued coordination with the PMOC in support of the FTA Oversight Procedure 54 (OP-54) readiness review of Segment 4 Milestone 1 activation.
- Conducted ongoing safety inspections of contractor field activities.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.

Activity Next Month

- Conduct monthly virtual safety communication meetings for the Project Safety and Security Certification Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Finalize project emergency responder presentations and schedule Segment 4 systems familiarization online presentations.

Peninsula Corridor Electrification Project

Monthly Progress Report

- Participate with JPB Safety and Operations in the annual emergency drill scheduled for 11/14/21 in Segment 4.
- Continue to finalize safety and security certification documentation requirements in coordination with project testing and commissioning activities.
- Continue to coordinate with the PMOC on the ongoing OP-54 Segment 4 readiness review.
- 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.
- Prepare an initial OHA document to reflect the input provided from TASI subject matter experts.
- Continue to reinforce the ongoing application of recommended mitigation measures in response to the COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root cause, contributing factors and safety 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

- Reviewed BBII submittals of Inspector Daily Reports (IDR) and Contractor Quality Control Report (CQCR).
- Provided QA review of BBII submittals of Material Review Reports (MRR) to ensure that purchase order quality and test document requirements are met and included in the receiving inspection document package.
- Provided QA review of BBII submittals of Certificates of Conformance (C of C) and Certificates of Analysis (C of A).
- Provided QA review of BBII Non-Conformance Reports (NCR) and Construction Discrepancy Reports (CDR) to assure that in-process discrepancies are processed as required.
- Provided review of BBII QA Audit Surveillance Reports.
- Provided QA review of Supplier Certified Test Reports (CTR), and Certified Material Tests Reports (CMTR).
- Prepared for upcoming audits for design, quality audits, quality records and training.
- Continued review of BBII record set of As-Built Drawings related to open NCRs.
- Continued review of BBII Material Receiving Reports to verify compliance with Buy America requirements.
- Performed field QA surveillance audits of BBII work activities October 25 – 29.

Activity Next Month

- Review BBII quality records and prepare for upcoming audits for design, quality audits, quality records and training.
- Perform field QA surveillance audits of BBII work activities the week of November 29.

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	4	137
Audit Findings		
Audit Findings Issued	0	81
Audit Findings Open	0	0
Audit Findings Closed	0	81
Non-Conformances		
Non-Conformances Issued	0	15
Non-Conformances Open	6	6
Non-Conformances Closed	0	9

7.0 SCHEDULE

The Revenue Service Date (RSD) is forecasted to occur between January 1, 2024 and March 31, 2024. When six to nine months of risk contingency is included, the new proposed revised RSD is September 26, 2024.

The master program schedule critical path remains unchanged and continues to run through the signal system design and installation, followed by the integrated testing.

The JPB’s forecasted electrification substantial completion date for the BBII contract in the MPS October update remains December 31, 2023. JPB is working with BBII to improve progress on both the signal systems, which lags behind baseline productivity level, and traction power facilities, which continue to progress at a slow rate.

The COVID-19 impact and supply chain challenges continue to impact Stadler’s October progress schedule update, resulting in a 37-day schedule delay on the 1st trainset arrival at the JPB site and a new forecast date of February 28, 2022. The conditional acceptance of the 14th trainset remains May 16, 2023. JPB needs to evaluate the baseline schedule revision as per Stadler’s contract.

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

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (October 2021) ¹
Milestone #1 Segment 4 Construction Completion	11/21/2019	02/4/2022 ¹
Arrival of First Vehicle at JPB	N/A	02/28/2022 ^{1,2}
PG&E Provides Permanent Power	09/09/2021	08/13/2022
FFGA RSD	08/22/2022	08/22/2022
Acceptance of 14 th Trainset	08/20/2021	05/16/2023 ^{2,3}
Electrification Substantial Completion	08/10/2020	12/31/2023 [*]
Revenue Service Date (RSD) – Period Range	12/09/2021	01/01/2024 – 03/31/2024
Proposed Revised RSD with Contingency	N/A	09/26/2024

Note:

- ¹ Dates may shift slightly in the upcoming progress schedule update due to holidays.
- ² Dates are expected to be delayed due to COVID-19 impact on subcontractors and supply chain challenges.
- ³ Dates require JPB approval as per contractual extension of time process.
- ^A Completed Milestone.
- ^{*} Pending mediation process resolution with BBII.

Notable Variances

Due to the schedule delay and readiness of the 1st trainset arrival at the JPB site (which will be available for EMU testing in Segment 4 on March 20, 2022), the integrated testing has pushed back 48-calendar days with a new forecast completion date of April 3, 2022.

Peninsula Corridor Electrification Project
Monthly Progress Report

The COVID-19 impact on subcontractors’ schedules and the supply chain challenges resulted in a further 32-day schedule delay to the 1st trainset arrival at the JPB site. The new forecast completion date is February 28, 2022.

There was a 24-day schedule delay in the SCADA SW installation and equipment cutover due to ARINC’s plan to complete all change orders before rolling the software into the production system. The new forecast completion date is December 27, 2021.

Note: This period’s schedule revisions impacted Segment 4 Milestone # 1, but not the Revenue Service Date (RSD).

Table 7-2 Critical Path Summary

Activity	Start	Finish
Signals System Design, Installation & Cutover, and Integration Testing	05/01/2020 ^A	12/31/2023
Forecast Revenue Service Date - RSD / Period Range	01/01/2024	03/31/2024

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 will result in consuming program schedule contingency.

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

Table 7-3 Schedule Hold Points

Schedule Hold Point (SHP)	Date
Segment 4 Construction Completion	02/4/2022 ¹
Arrival of 1 st Trainset at JPB	02/28/2022 ^{1,2}
Conditional Acceptance of 14th Trainset	05/16/2023 ^{2,3}
Signal system Installation & Cutover – Segment 2	12/31/2022
Signal system Installation & Cutover – Segment 1	4/30/2023
Signal system Installation & Cutover – Segment 3	9/30/2023
System-Wide Integrated Testing	12/31/2023 [*]
Forecasted Revenue Service Date (RSD) – Period Range	01/01/ 2024-03/31/2024 [*]

Note:

- ¹. Dates may shift slightly in the upcoming progress schedule update due to holidays.
- ². Dates are expected to be delayed due to COVID-19 impact on subcontractors and supply chain challenges.
- ³. Dates require JPB approval as per contractual extension of time process.
- ^A Completed Milestone.
- ^{*} Pending mediation process resolution with BBII.

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.

In December 2020, the FTA conducted a risk refresh that reviewed the existing delays, updated contractor schedules, and independent schedules prepared by the JPB. On June 17, 2021, a draft FTA-led Risk Refresh Report was issued forecasting an additional budget need of \$333M. At the June 3, 2021 JPB Board meeting, in alignment with the FTA report, PCEP proposed a \$333M budget increase consisting of \$161M in known and allocated costs and \$172M in reserve. The additional budget need has been incorporated into the estimate to complete (ETC) at the bottom of budget Table 8-3 for a total estimate at completion (EAC) of \$2.313B and Appendix D for an FTA project EAC of \$2.263B. The re-baseline allocation of the additional budget to the current budgets will be requested for Board Approval after resolution of the Two-Speed Check Solution.

Peninsula Corridor Electrification Project
Monthly Progress Report

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) ^{3,4}	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁵⁾	\$696,610,558	\$754,731,180	\$9,872,492	\$571,672,690	\$183,058,489	\$754,731,180
SCADA	\$0	\$4,017,371	\$0	\$2,863,940	\$1,153,431	\$4,017,371
Tunnel Modifications	\$11,029,649	\$42,495,110	\$510,715	\$42,290,423	\$204,686	\$42,495,110
Real Estate	\$28,503,369	\$28,503,369	\$49,640	\$23,359,617	\$5,143,752	\$28,503,369
Private Utilities ⁽⁶⁾	\$63,515,298	\$117,906,334	\$354,092	\$159,608,219	(\$41,701,885)	\$117,906,334
Management Oversight	\$141,506,257	\$179,313,572	\$1,805,233	\$168,073,963	\$11,239,608	\$179,313,572
Executive Management	\$7,452,866	\$10,155,509	\$44,979	\$9,597,321	\$558,188	\$10,155,509
Planning	\$7,281,997	\$6,281,997	\$7,138	\$6,039,699	\$242,297	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$6,265	\$1,515,667	\$273,996	\$1,789,663
Safety & Security	\$2,421,783	\$5,823,965	\$96,547	\$4,944,884	\$879,080	\$5,823,965
Project Management Services	\$19,807,994	\$17,526,725	\$232,497	\$14,944,480	\$2,582,245	\$17,526,725
Engineering & Construction	\$11,805,793	\$15,455,709	\$190,757	\$13,955,850	\$1,499,860	\$15,455,709
Electrification Eng & Mgmt	\$50,461,707	\$57,850,417	\$398,304	\$54,495,071	\$3,355,345	\$57,850,417
Construction Management	\$0	\$15,158,605	\$611,863	\$14,059,915	\$1,098,690	\$15,158,605
IT Support	\$312,080	\$507,170	\$8,079	\$432,721	\$74,449	\$507,170
Operations Support	\$1,445,867	\$3,337,383	\$27,228	\$3,215,825	\$121,558	\$3,337,383
General Support	\$4,166,577	\$7,451,503	\$31,030	\$6,993,172	\$458,331	\$7,451,503
Budget / Grants / Finance	\$1,229,345	\$1,638,553	\$2,647	\$1,633,348	\$5,204	\$1,638,553
Legal	\$2,445,646	\$5,542,712	\$109,855	\$5,591,027	(\$48,315)	\$5,542,712
Other Direct Costs	\$5,177,060	\$6,085,783	\$38,043	\$5,947,104	\$138,679	\$6,085,783
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASIS Support	\$55,275,084	\$81,913,660	\$1,400,260	\$66,530,596	\$15,383,064	\$81,913,660
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,438,866	\$0	\$1,090,079	\$13,348,787	\$14,438,866
Required Projects	\$17,337,378	\$10,358,703	\$16,062	\$1,503,031	\$8,855,671	\$10,358,703
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$11,342	\$4,807,611	\$1,329,545	\$6,137,156
Contingency	\$276,970,649	\$70,744,492	N/A	N/A	(\$17,257,316)	(\$17,257,316)
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$108,001,807	\$108,001,807
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$14,019,835	\$1,046,343,759	\$289,781,449	\$1,336,125,208

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. Column D "Cost To Date" is exclusive of Caltrain capital overhead on non-staff costs for the period since methodology changed in January 2021. The cost and budget for overhead will be reconciled with the amendment of the program budget.
5. Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.
6. Private utilities cost to date includes the unbudgeted upfront cost for PG&E's share of substation improvements prior to PG&E reimbursement.

**Peninsula Corridor Electrification Project
Monthly Progress Report**

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) ^{3,4}	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$555,247,601	\$4,753,440	\$244,483,667	\$310,763,934	\$555,247,601
CEMOF Modifications	\$1,344,000	\$7,404,023	\$29,208	\$6,714,063	\$689,960	\$7,404,023
Management Oversight	\$64,139,103	\$62,783,401	\$667,787	\$55,078,493	\$7,704,908	\$62,783,401
Executive Management	\$5,022,302	\$6,615,622	\$34,632	\$6,121,711	\$493,911	\$6,615,622
Community Relations	\$1,685,614	\$975,782	\$3,840	\$710,900	\$264,881	\$975,782
Safety & Security	\$556,067	\$1,117,978	\$13,914	\$819,274	\$298,703	\$1,117,978
Project Mgmt Services	\$13,275,280	\$11,275,280	\$131,898	\$9,334,479	\$1,940,801	\$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	\$388,227	\$26,202,597	\$3,778,417	\$29,981,014
Construction Management	\$0	\$1,841,395	\$45,700	\$1,766,865	\$74,530	\$1,841,395
IT Support	\$1,027,272	\$852,089	\$5,013	\$801,648	\$50,441	\$852,089
Operations Support	\$1,878,589	\$781,858	\$7,116	\$448,831	\$333,026	\$781,858
General Support	\$2,599,547	\$3,138,784	\$12,889	\$2,932,649	\$206,135	\$3,138,784
Budget / Grants / Finance	\$712,123	\$1,050,507	\$1,324	\$1,043,501	\$7,006	\$1,050,507
Legal	\$1,207,500	\$1,369,563	\$797	\$1,267,802	\$101,761	\$1,369,563
Other Direct Costs	\$4,003,139	\$3,694,416	\$22,437	\$3,604,824	\$89,592	\$3,694,416
TASI Support	\$2,740,000	\$2,789,493	(\$6,551)	\$495,506	\$2,293,987	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$1,063,821	\$0	\$674,280	\$389,541	\$1,063,821
Finance Charges	\$1,941,800	\$3,761,482	\$7,007	\$2,946,655	\$814,827	\$3,761,482
Contingency	\$38,562,962	\$31,039,241	N/A	N/A	\$3,224,057	\$3,224,057
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$7,815,183	\$7,815,183
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$5,450,890	\$310,430,927	\$333,696,398	\$644,127,325

Notes regarding tables above:

- Column B "Current Budget" includes executed change orders and awarded contracts.
- Column C "Cost This Month" represents the cost of work performed this month.
- Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
- Column D "Cost To Date" is exclusive of Caltrain capital overhead on non-staff costs for the period since methodology changed in January 2021. The cost and budget for overhead will be reconciled with the amendment of the program budget.

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) ^{3,4}	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$32,306,852	\$1,032,323,923	\$303,801,285	\$1,336,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$761,051	\$304,980,037	\$339,147,288	\$644,127,325
Known and Allocated⁵					\$161,000,000	\$161,000,000
Reserve⁵					\$172,000,000	\$172,000,000
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$33,067,903	\$1,337,303,960	\$975,948,573	\$2,313,252,533

Notes regarding tables above:

- Column B "Current Budget" includes executed change orders and awarded contracts.
- Column C "Cost This Month" represents the cost of work performed this month.
- Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
- Column D "Cost To Date" is exclusive of Caltrain capital overhead on non-staff costs for the period since methodology changed in January 2021. The cost and budget for overhead will be reconciled with the amendment of the program budget.
- Known and Allocated and Reserve includes additional budget need of \$333M in the estimate at completion (EAC) until a budget amendment is approved.

Peninsula Corridor Electrification Project
Monthly Progress Report

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	\$31,000	\$0	\$31,000
Mary Avenue Advance Pre-emption	\$116,000	\$116,000	\$0	\$0	\$116,000	\$116,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$0	\$61,465,933	\$111,334,114	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
Update Virtual Reality Experience	\$43,000	\$43,000	\$0	\$43,000	\$0	\$43,000
CNPA TOTAL	\$176,611,397	\$176,553,103	\$0	\$63,722,314	\$112,830,789	\$176,553,103

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.

Mary Avenue Advance Pre-emption: JPB changed the Mary Avenue grade crossing from simultaneous pre-emption to have 24 seconds of advance pre-emption.

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		
BBI-053-CCO-200	Install OCS Foundations Alternate Methods	\$235,000
BBI-053-CCO-187	Deletion of ICE & ISE Requirements - Rev1	(\$2,110,388)
BBI-053-CCO-189	Spread Footing at CP Dela Cruz	\$68,000
BBI-053-CCO-023D	Insulated Rail Joints	\$218,657
BBI-053-CCO-219	Redesign Signal Ductbank per VTA Requirements (CNPA: \$30,000)	\$0
BBI-053-CCO-040C	Increase Quantity for Utilities Potholing (Bid Item #9)	\$5,700,000
BBI-053-CCO-043B	PS-5 Relocation (Construction)	\$427,000
PROV-070-CCO-019	Drainage Conflicts at T1N	\$30,000
PROV-070-CCO-024	Reroute Leaky Feeder Cable at T-1	\$19,554
PROV-070-CCO-046	OCS Portal Structure Delays	\$130,000
PROV-070-CCO-015	Demo High Spots on Tunnel Invert	\$14,726
PROV-070-CCO-018	Clean Water and Mud from Tunnel Invert	\$40,000
PROV-070-CCO-045	Masonry Rebuild at South Portal T-4 (Part 2)	\$65,806
PROV-070-CCO-047	Additional Drop Tubes and Anchors	\$99,000
PROV-070-CCO-050	OCRS Portal Structure Delays	\$6,000
PROV-070-CCO-051	Disposal of Excess Soils from T-1N Portal	\$22,683
PROV-070-CCO-052	Install Portal Structures Under Single Tracking	\$99,500
PROV-070-CCO-053	Procure Additional Drop Tubes	\$33,000
BT-023E	TASI Signal Cable Relocation - A7	\$19,281
	ELECTRIFICATION SUBTOTAL	\$5,117,819
EMU		
	EMU SUBTOTAL	\$0
	PCEP TOTAL	\$5,117,819

Notes regarding tables above:

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
10/1/2021	BBI-053-CCO-200	Install OCS Foundations Alternate Methods	\$235,000
10/4/2021	BBI-053-CCO-187	Deletion of ICE & ISE Requirements - Rev1	(\$2,110,388)
10/5/2021	BBI-053-CCO-189	Spread Footing at CP Dela Cruz	\$68,000
10/19/2021	BBI-053-CCO-023D	Insulated Rail Joints	\$218,657
10/21/2021	BBI-053-CCO-219	Redesign Signal Ductbank per VTA Requirements (CNPA: \$30,000)	\$30,000
10/27/2021	BBI-053-CCO-040C	Increase Quantity for Utilities Potholing (Bid Item #9)	\$5,700,000
10/28/2021	BBI-053-CCO-043B	PS-5 Relocation (Construction)	\$427,000
Total			\$4,568,269

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

EMU Contract

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

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

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

SCADA Contract

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

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

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

Peninsula Corridor Electrification Project
Monthly Progress Report

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
10/4/2021	PROV-070-CCO-046	OCS Portal Structure Delays	\$130,000
Total			\$130,000

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

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

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

CEMOF Contract

Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount
	None		\$0
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

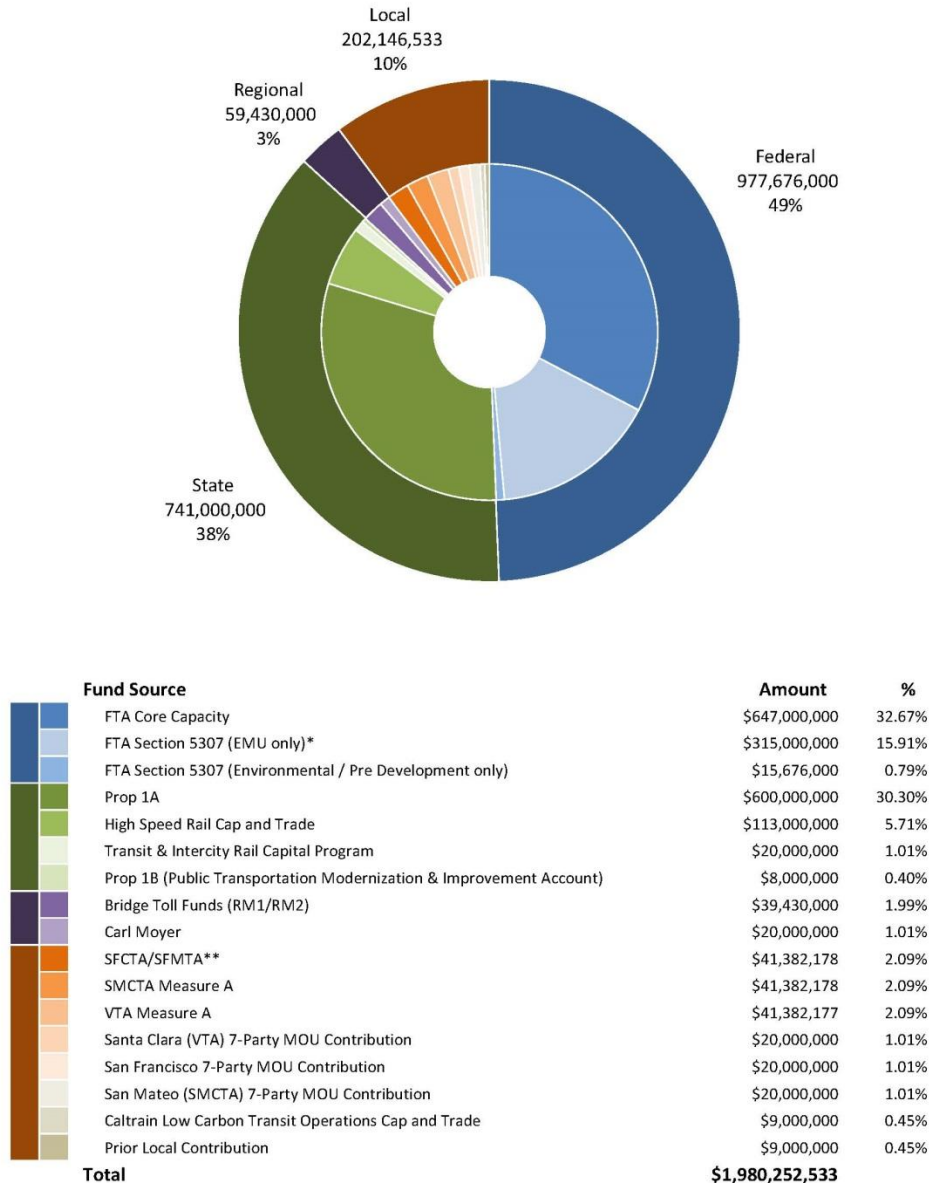
Notes:

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. During the last month, PCEP staff worked with FTA Region IX staff to award the next tranche of core capacity funding in the amount of \$100 million. With this award, it will bring the total FTA core capacity funding on the project to \$573 million.

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. Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.
2. Property not acquired in time for contractor to do work.
3. Additional property acquisition is necessitated by change in design.
4. The contractor may not complete signal and communication design, installation and testing for the Two-speed check (2SC) modifications within budget and schedule.
5. Remediation of issues associated with the CEMOF pit may result in additional costs and additional time to issue the charge order and implement the work.
6. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
7. Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.
8. Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy)
9. Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.
10. PG&E interconnection work may not be completed on time resulting in delays to the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.

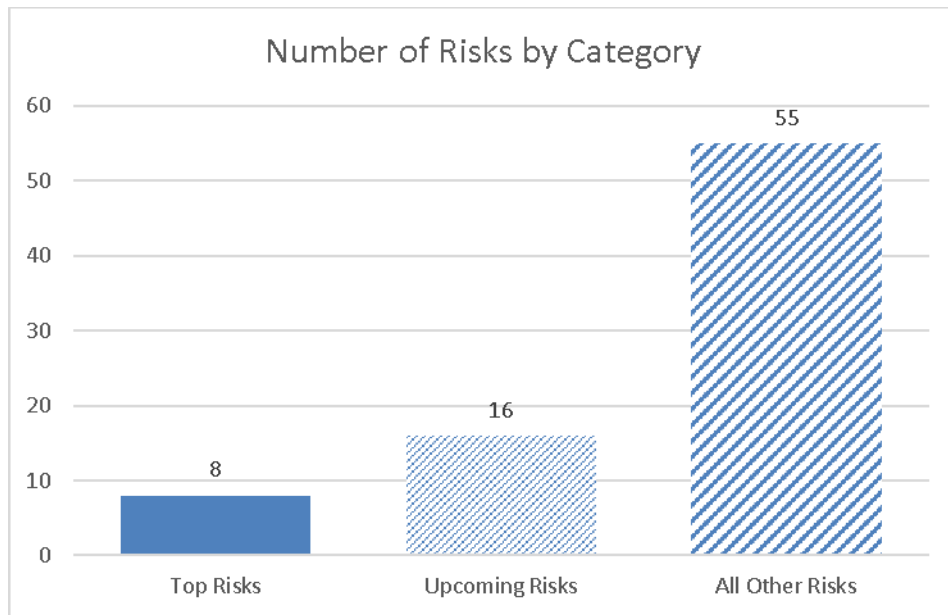
Activity This Month

- 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, Systems Integration, and Weekly Contractor Progress meetings to monitor developments associated with risks and to identify new risks.
- Updated contractor-owned risks through JPB and consultant personnel.
- Participated in internal Risk Refresh and Industry Expert Risk Refresh workshops.

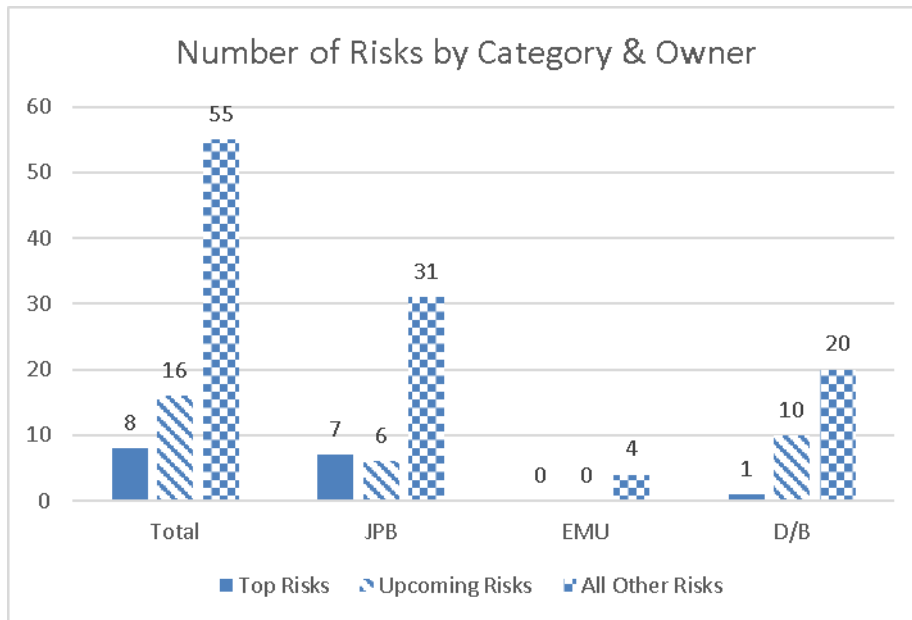
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming 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 = 79

Figure 11-2 Risk Classification



Total Number of Active Risks = 79

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.
- Incorporate Rail Activation and Industry Expert risks into PCEP risk register.

12.0 ENVIRONMENTAL

12.1. Permits

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

Activity This Month

- None

Activity Next Month

- None

12.2. Mitigation Monitoring and Reporting Program (MMRP)

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

Activity This Month

- Environmental compliance monitors were present during project activities (OCS pole foundation installation, potholing for utility location, conduit 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.
- Biological surveyors continued to conduct pre-construction surveys for sensitive wildlife species including nesting bird surveys ahead of project activities.
- 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) to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities was maintained. Round three and four of protocol-level burrowing owl surveys were conducted. Protocol level burrowing owl surveys are now complete for the 2021 season. Pre-construction surveys for sensitive wildlife 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.

Peninsula Corridor Electrification Project
Monthly Progress Report

- 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 Storm Water Pollution Prevention Plan (SWPPP).

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, sawcutting on station platforms, potholing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities..
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to be maintained, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be 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 and 4 ahead of OCS wiring.
- AT&T has completed all but one relocation. The final location requires coordination with Palo Alto Power.
- Continued discussion with Comcast for updated relocation schedule, particularly the locations remaining for Segments 3 and 4.

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 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 (for poles, overhead wires and signals facilities) 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 eleven new parcels to date.

Activity This Month

- With all catenary poles installed in Segments 2, 3 and 4, staff is now focused on identifying property for ESZ and signal needs.
- Identified three new ESZ parcels.

Activity Next Month

- Continue 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.
- Continue to work with UPC to finalize a purchase agreement.

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

- Local Policy Maker Group
- California High Speed Rail Authority Community Working Group – San Francisco to San Jose
- California High Speed Rail Authority Community Working Group – San Jose to Merced

Third Party/Stakeholder Actions

- None

17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

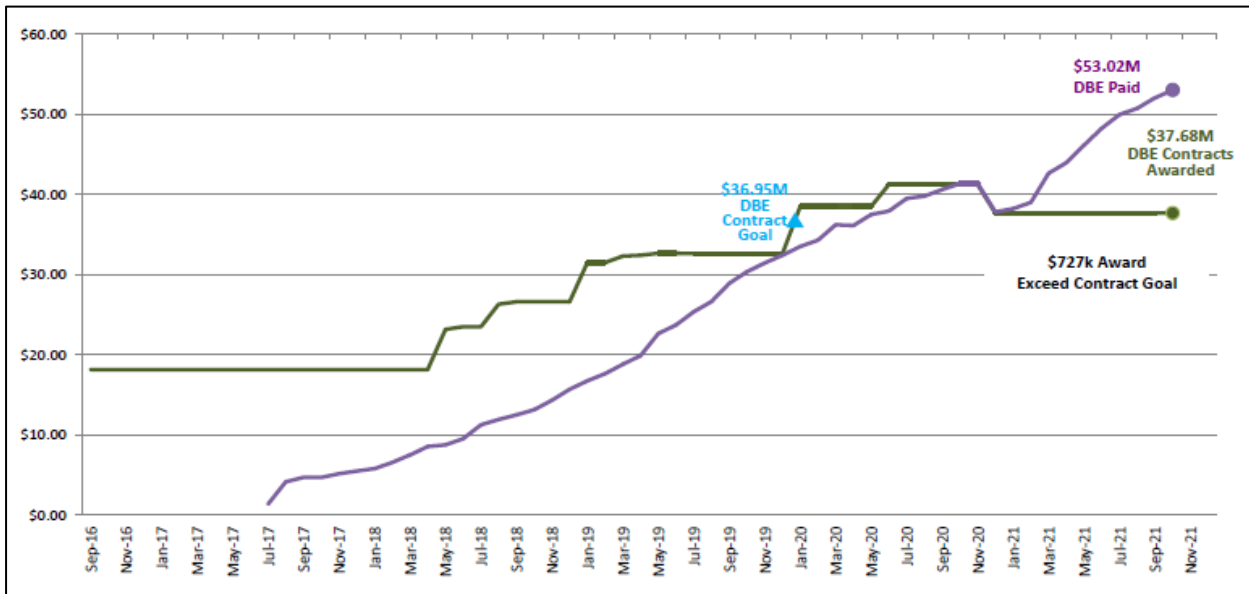
BBII proposed that 5.2% (\$36,948,701) of the DB base contract value including DBE contract change orders (\$710,551,950) would be subcontracted to DBEs.

Activity This Month

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

- **\$ 53,020,769** has been paid to DBE subcontractors.
- **\$ 37,675,908** of DBE contracts have been awarded.
- **7.46%** 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 in December 2020. 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:

- None

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:

- Contract 18-J-P-115 On-Call Construction Management Services for PCEP

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 2021:

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	Completed all PG&E agreements JPB approves contract award to Mitsui for the purchase of electric locomotives and Amtrak for overhaul services, storage, acceptance testing, training, and shipment of locomotive to CEMOF JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project JPB approves contract award (LNTP) to ProVen for tunnel modifications Issued NTP to ProVen for tunnel modifications (October) Amended contract with ProVen to include OCS in the tunnels (November)
2019	JPB approves contract award to ProVen for CEMOF modifications (February) JPB approves LNTP to ProVen for CEMOF modifications (April) JPB approves NTP to ProVen for CEMOF modifications (September)
2020	JPB approves agreement amendment to PG&E for interconnection construction JPB executes agreement with PG&E for interconnection construction (May) FRA approved the waiver for Alternative Vehicle Technology regarding crashworthiness of EMU cars
2021	The intertie between TPS-2 and FMC was completed (January 18) First EMU vehicle shipped to Pueblo, CO for testing (February 10)

APPENDICES

Appendix A – Acronyms

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

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
TSP	Transmission Structure Pole
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 May 21, 2021

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 • James Costantini • Jim Lawson
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 • James Costantini
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

#	Activity Name	Remaining Duration	Start	Finish	Variance - Last Month	Total Float	2014		2015		2016		2017		2018		2019		2020		2021		2022		2023		2024		2025		2026		2027		2028	
							Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q
1	MASTER PROGRAM SCHEDULE C21.09	759	01-May-14 A	26-Sep-24	0	0																														
2	PROJECT MILESTONES	723	01-May-14 A	26-Sep-24	0	0																														
3	PROJECT LEVEL MILESTONES	704	01-May-14 A	26-Sep-24	0	0																														
4	Start	0	01-May-14 A		0																															
5	NEPA Reevaluation Complete	0		11-Feb-16 A	0																															
6	LNTP to Electrification Contractor	0	06-Sep-16 A		0																															
7	LNTP to Vehicle Manufacturer	0	06-Sep-16 A		0																															
8	FTA Issues FFGA	0		23-May-17 A	0																															
9	PG&E Interim 115KV Power Available - TPS-2	0		15-Jan-22	0	715																														
10	Segment 4 Infrastructure & Testing Construction Completion	0		04-Feb-22	-6	695																														
11	First Trainset Arrival at JPB	0		28-Feb-22	-32	671																														
12	Segment 4 Intermediate Milestone Complete (EMU Testing)	0		03-Apr-22	-48	637																														
13	Segment 1 OCS Wire Connected to Tunnel Term. Structures (Testing with Locomotive)	0		15-Jul-22	0	534																														
14	FFGA Revenue Service Date (RSD)	0		22-Aug-22*	0	0																														
15	14th Trainset Conditional Acceptance	0		16-May-23	0	229																														
16	Electrification Substantial Completion	0		31-Dec-23	0	0																														
17	Forecasted Revenue Service Period (RSD), w/out Risk Contingency	91	01-Jan-24	31-Mar-24*	0	0																														
18	Proposed RRSR with contingency	0		26-Sep-24	0	0																														
19	INTERIM MILESTONES	529	01-May-14 A	31-Dec-23	0	0																														
20	PLANNING / APPROVALS	0	01-May-14 A	16-Jan-19 A	0																															
21	REAL ESTATE ACQUISITION	0	05-Nov-15 A	15-Oct-21 A	0																															
22	OVERHEAD UTILITY RELOCATION (Various)	41	10-Mar-17 A	30-Dec-21	-21	714																														
23	ELECTRIFICATION (BBII)	565	06-Sep-16 A	31-Dec-23	0	0																														
24	DESIGN	45	06-Sep-16 A	31-Dec-21	0	520																														
25	SIGNALS DESIGN	263	01-May-20 A	02-Nov-22	0	127																														
26	CONSTRUCTION	699	09-Oct-17 A	30-Sep-23	0	92																														
27	Segment 4	154	01-Dec-17 A	03-Apr-22	-48	637																														
28	OCS	50	25-Feb-19 A	20-Dec-21	-2	649																														
29	Traction Power	76	01-Dec-17 A	15-Jan-22	0	604																														
30	Signals	0	01-Oct-20 A	10-Oct-21 A	0																															
31	Segment Completion	39	28-Dec-21	04-Feb-22	-6	603																														
32	Segment Testing - Milestone # 1	58	05-Feb-22	03-Apr-22	-48	637																														
33	Segment 2	426	09-Oct-17 A	31-Dec-22	0	363																														
34	OCS	166	09-Oct-17 A	15-Apr-22	0	623																														
35	Traction Power	222	19-Jan-18 A	10-Jun-22	0	567																														
36	Signals	426	19-Oct-21 A	31-Dec-22	0	0																														
37	Segment Completion	0	31-Oct-22	31-Oct-22	0	424																														
38	Segment 1	546	02-Oct-19 A	30-Apr-23	0	113																														
39	OCS	257	01-Aug-20 A	15-Jul-22	0	402																														
40	Traction Power	183	02-Oct-19 A	02-May-22	0	476																														
41	Signals	120	01-Jan-23	30-Apr-23	0	0																														
42	Segment Completion	0	30-Apr-23	30-Apr-23	0	113																														
43	Segment 3	699	09-Apr-19 A	30-Sep-23	0	0																														
44	OCS	145	28-May-19 A	25-Mar-22	0	554																														
45	Traction Power	60	09-Apr-19 A	30-Dec-21	0	639																														
46	Signals	153	01-May-23	30-Sep-23	0	0																														
47	Segment Completion	0	30-Sep-23	30-Sep-23	0	0																														
48	TESTING	245	01-May-23	31-Dec-23	0	0																														
49	DRILL TRACK (TAS)	20	01-Nov-21	30-Nov-21	-21	461																														
50	Re-build Santa Clara Drill Track	20	01-Nov-21	30-Nov-21	-21	461																														

Prog Plan (C16.00)
 Progress
 Near Critical
 Critical
 Last Months Update
 Remaining
 ▶ Start Milestone
 ◀ Finish Milestone
 ◆ Prog Plan (C16.00)
 ◆ Last Months Update
 ◆ Critical Milestone

#	Activity Name	Remaining Duration	Start	Finish	Variance - Last Month	Total Float	2014		2015		2016		2017		2018		2019		2020		2021		2022		2023		2024		2025		2026		2027		2028	
							Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q
51	SCADA (Arinc)	328	30-Mar-15 A	07-Feb-23	-24	233																														
52	PREPARE SOLE SOURCE & AWARD	0	30-Mar-15 A	16-Oct-17 A	0																															
53	DESIGN	0	16-Oct-17 A	31-May-18 A	0																															
54	IMPLEMENTATION, TEST, INSTALL & CUTOVER	328	04-Sep-18 A	07-Feb-23	-24	233																														
55	CEMOF (Various)	45	16-Nov-17 A	31-Dec-21	0	520																														
56	CEMOF MODIFICATIONS (ProVen)	45	16-Nov-17 A	31-Dec-21	0	520																														
57	DESIGN	0	16-Nov-17 A	31-Jul-18 A	0																															
58	BID & AWARD	0	01-Aug-18 A	07-Feb-19 A	0																															
59	CONSTRUCTION	45	29-Apr-19 A	31-Dec-21	0	520																														
60	PANTOGRAPH INSPECTION & MONITORING SYSTEM (Ctr TBD)	16	01-Mar-19 A	22-Nov-21	0	525																														
61	SCISSOR LIFT WORK PLATFORM (Ctr TBD)	0	01-Mar-19 A	24-Jun-21 A	0																															
62	TUNNEL MODIFICATION (ProVen)	0	31-Oct-14 A	17-Sep-20 A	0																															
63	ELECTRIC LOCOMOTIVE (Amtrak / Mitsui)	0	01-Mar-17 A	01-Nov-21	-19	485																														
64	EMU (Stadler)	402	01-May-14 A	16-May-23	0	163																														
65	DEVELOP RFP, BID & AWARD	0	01-May-14 A	02-Sep-16 A	0																															
66	DESIGN	0	06-Sep-16 A	01-Mar-21 A	0																															
67	PROCUREMENT (Material)	0	16-Jan-17 A	01-Mar-21 A	0																															
68	MANUFACTURING & TESTING	402	04-Dec-17 A	16-May-23	0	163																														
69	TRAINSET 1	130	04-Dec-17 A	29-Apr-22	0	435																														
70	TRAINSET 2	109	22-Feb-18 A	31-Mar-22	0	456																														
71	TRAINSET 3	176	06-Aug-18 A	04-Jul-22	-22	389																														
72	TRAINSET 4	89	03-Jun-19 A	03-Mar-22	0	476																														
73	TRAINSET 5	185	02-Dec-19 A	15-Jul-22	0	380																														
74	TRAINSET 6	205	13-Jan-20 A	12-Aug-22	0	360																														
75	TRAINSET 7	210	10-Feb-20 A	19-Aug-22	0	355																														
76	TRAINSET 8	221	04-May-20 A	05-Sep-22	0	344																														
77	TRAINSET 9	241	22-Jun-20 A	03-Oct-22	0	324																														
78	TRAINSET 10	260	22-Jun-20 A	28-Oct-22	0	305																														
79	TRAINSET 11	270	17-Aug-20 A	11-Nov-22	0	295																														
80	TRAINSET 12	285	01-Dec-20 A	02-Dec-22	0	280																														
81	TRAINSET 13	319	01-Dec-20 A	19-Jan-23	0	246																														
82	TRAINSET 14	402	15-Feb-21 A	16-May-23	0	163																														
83	PG&E INFRASTRUCTURE	205	01-Mar-17 A	13-Aug-22	0	360																														
84	INTERCONNECT	86	01-Mar-17 A	28-Feb-22	0	414																														
85	TPS-1 Interconnection	82	24-Mar-21 A	28-Feb-22	0	414																														
86	TPS-2 Interconnection	0	01-Mar-17 A	29-Jan-21 A	0																															
87	INTERIM POWER	0	01-Aug-17 A	05-Nov-18 A	0																															
88	PERMANENT POWER	205	01-Aug-17 A	13-Aug-22	0	360																														
89	DESIGN & PERMITTING	0	01-Aug-17 A	12-Apr-19 A	0																															
90	CONSTRUCTION	205	15-Apr-19 A	13-Aug-22	0	360																														
91	FMC - Interim 115KV Power	0	15-Jan-22	15-Jan-22	0	0																														
92	FMC - Permanent Power	286	15-Apr-19 A	13-Aug-22	0	503																														
93	EGS - Permanent Power	93	15-Apr-19 A	15-Mar-22	0	403																														
94	TESTING & STARTUP (JPB)	362	01-Oct-23	26-Sep-24	0	0																														
95	PRE-REVENUE TESTING	45	01-Oct-23	14-Nov-23	0	138																														
96	REVENUE OPERATIONS	270	01-Jan-24	26-Sep-24	0	0																														
97	RISK CONTINGENCY	270	01-Jan-24	26-Sep-24	0	0																														
98	RAIL ACTIVATION	176	01-Jul-20 A	04-Jul-22	-22	486																														

Prog Plan (C16.00)	Progress	Near Critical	Start Milestone	Prog Plan (C16.00)	Critical Milestone
Last Months Update	Remaining	Critical	Finish Milestone	Last Months Update	

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	\$28,224,391	\$526,777	\$26,150,889	\$2,220,141	\$28,371,030
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,329,281	\$16,062	\$306,052	\$2,023,229	\$2,329,281
10.07 Guideway: Underground tunnel	\$8,110,649	\$25,895,110	\$510,715	\$25,844,837	\$196,911	\$26,041,749
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$8,194,234	\$29,208	\$7,109,169	\$1,314,423	\$8,423,592
30.03 Heavy Maintenance Facility	\$1,344,000	\$8,194,234	\$29,208	\$7,109,169	\$1,314,423	\$8,423,592
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	\$266,137,135	\$4,849,424	\$268,162,366	\$10,194,249	\$278,356,614
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$10,136,067	\$231,340	\$8,366,513	\$1,765,767	\$10,132,280
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$101,660,154	\$4,458,319	\$141,388,351	(\$35,620,687)	\$105,767,664
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	(\$1,049,934)	\$11,188,636	\$742,475	\$11,931,111
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$19,504,208	(\$50)	\$2,702,245	\$18,501,963	\$21,204,208
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	(\$71,000)	\$605,250	\$2,161,409	\$2,766,659
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	\$121,771,745	\$1,280,750	\$103,911,370	\$22,229,368	\$126,140,739
40.08 Allocated Contingency	\$20,160,000	\$1,585,000	\$0	\$0	\$413,953	\$413,953
50 - SYSTEMS	\$504,445,419	\$516,084,320	\$1,428,517	\$341,401,921	\$218,142,418	\$559,544,338
50.01 Train control and signals	\$97,589,149	\$120,562,174	(\$1,123,917)	\$69,879,875	\$51,009,151	\$120,889,025
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	\$102,639,507	(\$936,637)	\$77,308,459	\$44,602,688	\$121,911,147
50.03 Allocated Contingency	\$31,755,013	\$2,808,090	\$0	\$0	\$2,121,398	\$2,121,398
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$279,435,200	\$3,459,579	\$193,617,205	\$113,358,995	\$306,976,200
50.04 Allocated Contingency	\$18,064,000	\$3,934,349	\$0	\$0	\$941,568	\$941,568
50.05 Communications	\$5,455,000	\$5,547,000	\$29,493	\$596,382	\$4,950,618	\$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	\$49,640	\$21,759,429	\$14,723,792	\$36,483,220
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$49,640	\$21,625,437	\$13,857,783	\$35,483,220
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	\$619,286,318	\$5,320,559	\$291,495,236	\$330,212,112	\$621,707,348
70.03 Commuter Rail	\$589,167,291	\$591,215,161	\$5,320,559	\$288,733,064	\$309,117,923	\$597,850,986
70.03 Allocated Contingency	\$9,472,924	\$4,239,405	\$0	\$0	\$24,610	\$24,610
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	\$2,223,893	\$16,540,038	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$377,132,586	\$7,248,253	\$343,359,812	\$68,766,547	\$412,126,359
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	\$217,632,349	\$5,516,572	\$211,839,500	\$8,632,932	\$220,472,432
80.02 Allocated Contingency	\$1,866,000	\$4,678	\$0	\$0	\$4,678	\$4,678
80.03 Project Management for Design and Construction	\$72,029,265	\$92,879,661	\$899,945	\$91,047,195	\$18,572,298	\$109,619,492
80.03 Allocated Contingency	\$9,388,080	\$3,725,231	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$38,941,008	\$721,880	\$29,406,382	\$28,034,626	\$57,441,008
80.04 Allocated Contingency	\$19,537,000	\$4,914,740	\$0	\$0	\$4,914,740	\$4,914,740
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	\$9,254,887	\$109,855	\$6,141,161	\$3,672,057	\$9,813,218
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	(\$0)	\$54,490	\$3,444,291	\$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	\$1,850,734,068	\$19,452,377	\$1,299,438,821	\$645,573,681	\$1,945,012,501
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$70,038,228	\$0	\$0	(\$24,240,205)	(\$24,240,205)
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$19,452,377	\$1,299,438,821	\$621,333,475	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$18,349	\$7,754,266	\$2,144,372	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$19,470,726	\$1,307,193,087	\$623,477,847	\$1,930,670,934
KNOWN AND ALLOCATED					\$161,000,000	\$161,000,000
RESERVE					\$172,000,000	\$172,000,000
Total Project Cost w/ Additional	\$1,930,670,934	\$1,930,670,934	\$19,470,726	\$1,307,193,087	\$956,477,847	\$2,263,670,934

Notes:

- Known and Allocated and Reserve includes additional budget need of \$333M in the estimate at completion (EAC) until a budget amendment is approved.

Appendix E – Change Order Logs

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Logs

Electrification Contract

Change Order Authority (5% of BBII Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
08/31/17	BBI-053-CCO-001	Track Access Delays Q4 2016	\$85,472	0.25%	\$34,745,056
02/28/18	BBI-053-CCO-003	Deletion of Signal Cable Meggering (Testing)	(\$800,000)	(2.30%)	\$35,545,056
02/21/18	BBI-053-CCO-004	Field Order for Differing Site Condition Work Performed on 6/19/17	\$59,965	0.17%	\$35,485,091
03/12/18	BBI-053-CCO-006	Track Access Delays for Calendar Quarter 1 2017	\$288,741	0.83%	\$35,196,350
04/24/18	BBI-053-CCO-002	Time Impact 01 Associated with Delayed NTP	\$9,702,667	0.00% ²	-
04/24/18	BBI-053-CCO-008	2016 Incentives (Safety, Quality, and Public Outreach)	\$750,000	0.00% ²	-
05/31/18	BBI-053-CCO-009	16th St. Grade Crossing Work Removal from BBII Contract	(\$685,198)	(1.97%)	\$35,881,548
05/31/18	BBI-053-CCO-012	2017 Incentives (Safety, Quality, and Public Outreach)	\$1,025,000	0.00% ²	-
06/25/18	BBI-053-CCO-010	Pothole Change Of Shift	\$300,000	0.86%	\$35,581,548
06/25/18	BBI-053-CCO-013	Field Order for Signal Cable Relocation (FO# 31)	\$95,892	0.28%	\$35,485,656
06/25/18	BBI-053-CCO-015	TASI Pilot Transportation 2017	\$67,345	0.19%	\$35,418,311
06/26/18	BBI-053-CCO-005	Field Orders for Signal Cable Relocation (FO#s 26, 30)	\$191,836	0.55%	\$35,226,475
06/28/18	BBI-053-CCO-014	Field Orders for Signal Cable Relocation (FO-36 & FO-38)	\$145,694	0.42%	\$35,080,781
06/29/18	BBI-053-CCO-007	Track Access Delays for Calendar Quarter 2 2017	\$297,512	0.85%	\$34,783,269
06/29/18	BBI-053-CCO-011	Field Orders for Differing Site Condition (FO#s Partial 07A , 08-14)	\$181,013	0.52%	\$34,602,256
06/29/18	BBI-053-CCO-017	Field Order for NorCal Utility Potholing (FO# 27)	\$93,073	0.27%	\$34,509,183
06/29/18	BBI-053-CCO-018	Field Order for NorCal Utility Potholing (FO# 29)	\$76,197	0.22%	\$34,432,986
06/29/18	BBI-053-CCO-020	Field Orders for Differing Site Condition (FO#s 15-19)	\$118,364	0.34%	\$34,314,622
7/19/2018	BBI-053-CCO-019	Field Order for NorCal Utility Potholing (FO-032)	\$88,956	0.26 %	\$34,225,666
7/19/2018	BBI-053-CCO-021	As In-Service (AIS) Drawings for Segment 2 and 4 Signal Design (CN-009)	\$105,000	0.30 %	\$34,120,666
7/25/2018	BBI-053-CCO-022	CEMOF Yard Traction Power Feed (CN-008)	\$332,700	0.96 %	\$33,787,966
7/31/2018	BBI-053-CCO-028	Sonic Echo Impulse Testing	\$4,541	0.01 %	\$33,783,425
7/31/2018	BBI-053-CCO-026	TASI Pilot Transportation 2018 (CNC-0022)	\$50,409	0.14%	\$33,733,016
7/31/2018	BBI-053-CCO-027	Signal Cable Relocation (FOs-040 & 051)	\$196,114	0.56%	\$33,536,902
9/27/2018	BBI-053-CCO-030	Delete Spare 115k Disconnect Switches	(\$19,000)	(0.05)%	\$33,555,902
9/28/2018	BBI-053-CCO-031	Bldg A HVAC and FOB Card Reader Systems	\$76,500	0.22 %	\$33,479,402
9/28/2018	BBI-053-CCO-025A	Addition of Shunt Wire at Transverse Utility Crossing Locations – Design	\$925,000	0.00% ²	-
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%	\$33,187,956
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 %	\$31,525,456

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	\$31,415,456
3/11/2019	BBI-053-CCO-036	Field Order for Signal Cable Relocation (FO-064)	\$86,538	0.25%	\$31,328,918
3/20/2019	BBI-053-CCO-035	Millbrae Avenue Existing Overhead Barrier	(\$40,000)	(0.11)%	\$31,368,918
3/19/2019	BBI-053-CCO-046	Training in Design Software and Potholing	\$136,611	0.39%	\$31,232,307
4/8/2019	BBI-053-CCO-041	Grade Crossing Warning System (CN59) – 5 mph Speed Check	\$446,982	1.28%	\$30,785,325
5/30/2019	BBI-053-CCO-044	Additional Daytime Potholing (Increase Quantity by 500 in Segment 4)	\$150,000	0.43 %	\$30,635,325
6/6/2019	BBI-053-CCO-048	Power Metering Devices	\$101,908	0.29 %	\$30,533,417
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 %	\$28,933,417
6/24/2019	BBI-053-CCO-043	PS-5 Site Relocation (Design Only)	\$348,000	1.00 %	\$28,585,417
6/24/2019	BBI-053-CCO-054	Change Design Sequence for OCS Foundations	\$37,500	0.11%	\$28,547,917
7/1/2019	BBI-053-CCO-040B	Increase Quantity for Utilities Potholing (Bid Item #9)	\$1,867,700	5.36 %	\$26,680,217
7/10/2019	BBI-053-CCO-033A	Relocation of PS3 (Design) (CNPA funded by BGSP)	\$500,000	1.44 % ³	\$26,180,217
8/15/2019	BBI-053-CCO-047	CEMOF Slot Drains (Design Only)	\$69,000	0.20%	\$26,111,217
8/16/2019	BBI-053-CCO-055	Sheriff's Deputy in Segment 4B	\$4,644	0.01%	\$26,106,573
9/3/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	\$184,576	0.53%	\$25,921,997
9/7/2019	BBI-053-CCO-057	Mediator with Technical Expertise	\$0	0.00%	\$25,921,997
9/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	\$58,058	0.17%	\$25,863,939
9/27/2019	BBI-053-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	\$343,496	0.99%	\$25,520,443
10/21/2019	BBI-053-CCO-064	TPS-2 VTA Pole Height Redesign (CNPA funded by VTA)	\$31,000	0.09% ³	\$25,489,443
11/15/2019	BBI-053-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764	0.54 %	\$25,301,680
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 %	\$25,157,310
12/11/2019	BBI-053-CCO-065A	Foundation Inefficiencies S2WA5	\$401,501	1.15%	\$24,755,809
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 %	\$23,871,309
1/7/2020	BBI-053-CCO-066A	Increase Quantity for Contaminated Soils (Bid Unit Price Item #1)	\$950,000	2.73 %	\$22,921,309
2/5/2020	BBI-053-CCO-023B	Insulated Rail Joints De-stressing	\$890,600	2.56 %	\$22,030,709
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 %	\$21,950,709
3/19/2020	BBI-053-CCO-023C	Portec Insulated Rail Joints	\$375,000	1.08 %	\$21,575,709
3/26/2020	BBI-053-CCO-076	Asbestos Pipe Abatement at CP Shark	\$145,872	0.42 %	\$21,429,837
3/31/2020	BBI-053-CCO-075	Norcal Utility Potholing (FO#39)	\$98,105	0.28 %	\$21,331,733
4/21/2020	BBI-053-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780	2.01 %	\$20,629,953
4/27/2020	BBI-053-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273	2.66 %	\$19,703,680
4/27/2020	BBI-053-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258	0.14 %	\$19,656,423
4/27/2020	BBI-053-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663	0.38 %	\$19,524,759
4/29/2020	BBI-053-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128	0.39 %	\$19,389,631

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Authority (5% of BBII Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474	0.27 %	\$19,294,157
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000	1.08 %	\$18,919,157
5/1/2020	BBI-053-CCO-050	Switch Machine Isolation – Credit	(\$277,430)	(0.80)%	\$19,196,586
5/19/2020	BBI-053-CCO-092A	Signal Cable Relocation (Field Order No. 340)	\$106,773	0.31 %	\$19,089,814
5/19/2020	BBI-053-CCO-093A	Signal Cable Relocation (Field Order No. 340)	\$90,765	0.26 %	\$18,999,049
5/27/2020	BBI-053-CCO-101	Asbestos Pipe Abatement at 46.3-07/08	\$21,037	0.06 %	\$18,978,012
6/15/2020	BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,931,452
6/15/2020	BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,884,892
6/18/2020	BBI-053-CCO-033B	PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination – CNPA	\$50,000	0.14 % ³	\$18,834,892
6/30/2020	BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658	0.26 %	\$18,744,235
6/30/2020	BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900	0.52 %	\$18,562,335
6/30/2020	BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633	0.36 %	\$18,437,702
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) – Voided	(\$80,000)	(0.23)%	\$18,517,702
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5) - voided below on 2/23/2021	\$300,000	0.86 %	\$18,217,702
7/16/2020	BBI-053-CCO-100	Remove Tree Stump at 46.4-02	\$1,459	0.00 %	\$18,216,243
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$18,204,447
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$18,103,113
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$18,009,051
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$18,006,394
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3 - voided below on 2/16/2021	\$145,892	0.42 %	\$17,860,503
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)%	\$18,004,873
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)%	\$18,889,373
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906	0.27 %	\$18,796,466
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794	2.59 %	\$17,892,672
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 %	\$17,811,450
9/24/2020	BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223	0.42 %	\$17,664,227
9/21/2020	BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300	0.60 %	\$17,453,927
9/21/2020	BBI-053-CCO-074	Underground Utilities Clearance	\$0	0.00 %	\$17,453,927
10/19/2020	BBI-053-CCO-072C	PCEP SIS & SPS Additional Validation Work	\$27,696	0.08 %	\$17,426,231
10/27/2020	BBI-053-CCO-105	Pole Removal at Location 30.7-01	\$2,297	0.01 %	\$17,423,935
11/30/2020	BBI-053-CCO-056	Delivery of Signal Cable	\$3,391	0.01 %	\$17,420,544
12/22/2020	BBI-053-CCO-111	Incentives Payment for 2019	\$825,000	0.00% ²	-
2/9/2021	BBI-053-CCO-025G	OCS Shunt Wire (Design)	\$0	0.00 %	\$17,420,544
2/11/2021	BBI-053-CCO-047B	CEMOF Yard Slot Drains Relocation (Construction)	\$360,000	1.03 %	\$17,060,544
2/16/2021	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3 – voided	(\$145,892)	(0.42)%	\$17,206,435

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
2/16/2021	BBI-053-CCO-103 REV1	Track Access Delays – 2017 Quarter 3	\$164,518	0.47 %	\$17,041,918
2/23/2021	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5) – voided	(\$300,000)	(0.86)%	\$17,341,918
2/23/2021	BBI-053-CCO-072B	Requirements for PCEP Joint System Impact Study & Single Phase Study	\$520,000	1.49 %	\$16,821,918
3/17/2021	BBI-053-CCO-203	Increase in Permit Allowance (Bid Allowance Item #5)	\$300,000	0.86 %	\$16,521,918
3/17/2021	BBI-053-CCO-205	Increase in Partnering Allowance (Bid Allowance Item #2)	\$186,000	0.53 %	\$16,335,918
3/26/2021	BBI-053-CCO-192	Abandoned Utility Pole Removal at MP24.72	\$2,766	0.01 %	\$16,333,151
4/23/2021	BBI-053-CCO-108A	Deletion of 5 & 5A Switch Crossover at CP Shark (Part 1)	\$163,996	0.47 %	\$16,169,156
4/23/2021	BBI-053-CCO-024C	TPSS 1&2 PG&E Interconnection-Procurement of Long Lead Materials (Credit)	(\$1,345,033)	(3.86)%	\$17,514,188
4/30/2021	BBI-053-CCO-113A	Walk-in Enclosure at Luther Junction (BBI, PGH Wong and QEI)	\$51,281	0.15 %	\$17,462,907
5/27/2021	BBI-053-CCO-073	South San Francisco Bioswale Redesign	\$26,067	0.07 %	\$17,436,840
6/11/2021	BBI-053-CCO-135A	Protection of On-track Eqpt Traveling thru Gated Crossings	\$133,645	0.38 %	\$17,303,195
6/18/2021	BBI-053-CCO-157	Track Access Delays - July 2017 to October 2020	\$4,350,000	12.49 %	\$12,953,195
6/22/2021	BBI-053-CCO-039	NorCal Utility Potholing CBOSS (FO#35&037)	\$140,691	0.40 %	\$12,812,505
6/22/2021	BBI-053-CCO-079	NorCal Utility Potholing (FO#52)	\$82,108	0.24 %	\$12,730,396
6/27/2021	BBI-053-CCO-204A	Increase in PG&E Service Allowance (Bid Allowance Item #8)	\$3,000,000	8.61 %	\$9,730,396
6/25/2021	BBI-053-CCO-049C	Long-reach Foundations Installation - Unit Price	\$139,680	0.40 %	\$9,590,716
7/6/2021	BBI-053-CCO-096A	Signal Cable Relocation (Field Order No. 342)	\$36,268	0.10 %	\$9,554,448
7/7/2021	BBI-053-CCO-097A	Signal Cable Relocation (Field Order No. 342)	\$63,422	0.18 %	\$9,491,027
7/7/2021	BBI-053-CCO-098A	Signal Cable Relocation (Field Order No. 342)	\$105,576	0.30 %	\$9,385,450
7/16/2021	BBI-053-CCO-060	Contract Relief of DVR Requirements - Credit	(\$41,781)	(0.12)%	\$9,427,231
7/22/2021	BBI-053-CCO-167	CP Stockton Compliance with UPRR Requirements	\$100,315	0.29 %	\$9,326,917
7/27/2021	BBI-053-CCO-062	Bumper Post Conflict at Foundations 9.8-02 & 9.8-D02	\$12,000	0.03 %	\$9,314,917
7/27/2021	BBI-053-CCO-173	Relocate OCS Foundation Rebar Cages from PMI Yard	\$1,050	0.00 %	\$9,313,867
7/27/2021	BBI-053-CCO-191	Foundation Installation at Cal Ave Station	\$4,321	0.01 %	\$9,309,546
7/30/2021	BBI-053-CCO-237	Reroute Utilities in Conflict with Built-in Anchor Bolts	\$10,768	0.03 %	\$9,298,778
8/13/2021	BBI-053-CCO-032B	PS-2 Relocation (Construction)	\$397,500	1.14 %	\$8,901,278
8/17/2021	BBI-053-CCO-188	Permanent Steel Casing at Foundation 47.0-07	\$50,835	0.15 %	\$8,850,443
8/18/2021	BBI-053-CCO-099A	Signal Cable Relocation (Field Order No. 342)	\$148,176	0.43 %	\$8,702,267
8/18/2021	BBI-053-CCO-095A	Signal Cable Relocation (Field Order No. 342)	\$49,401	0.14 %	\$8,652,867
8/19/2021	BBI-053-CCO-152	Mary Ave Advance Pre-emption (BBI Design Coordination Only)	\$16,500	0.05 %	\$8,636,367
8/19/2021	BBI-053-CCO-152	Mary Ave Advance Pre-emption - CNPA	\$116,000	0.33 % ³	\$8,520,367
9/20/2021	BBI-053-CCO-201	Procure and Deliver Electrical Supplies for JPB	\$2,004	0.01 %	\$8,518,363
10/1/2021	BBI-053-CCO-200	Install OCS Foundations Alternate Methods	\$235,000	0.67 %	\$8,283,363
10/4/2021	BBI-053-CCO-187	Deletion of ICE & ISE Requirements - Rev1	(\$2,110,388)	(6.06)%	\$10,393,751
10/5/2021	BBI-053-CCO-189	Spread Footing at CP Dela Cruz	\$68,000	0.20 %	\$10,325,751

**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 Usage¹	Remaining Authority
10/19/2021	BBI-053-CCO-023D	Insulated Rail Joints	\$218,657	0.63 %	\$10,107,094
10/21/2021	BBI-053-CCO-219	Redesign Signal Ductbank per VTA Requirements (CNPA: \$30,000)	\$30,000	0.09 % ³	\$10,077,094
10/27/2021	BBI-053-CCO-040C	Increase Quantity for Utilities Potholing (Bid Item #9)	\$5,700,000	16.36 %	\$4,377,094
10/28/2021	BBI-053-CCO-043B	PS-5 Relocation (Construction)	\$427,000	1.23 %	\$3,950,094
Total			\$59,582,620	88.66 %	\$3,950,094

Notes:

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

EMU Contract

Change Order Authority (5% of Stadler Contract)				5% x \$550,899,459 = \$27,544,973	
Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
09/22/2017	STA-056-CCO-001	Contract General Specification and Special Provision Clean-up	\$0	0.00%	-
10/27/2017	STA-056-CCO-002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973
11/02/2017	STA-056-CCO-003	Car Level Water Tightness Test	\$0	0.00%	-
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973
11/03/2017	STA-056-CCO-005	Design Progression (multiple)	\$0	0.00%	-
12/12/2017	STA-056-CCO-006	Prototype Seats and Special Colors	(\$27,500)	(0.10%)	\$26,669,473
01/17/2018	STA-056-CCO-007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTP	\$490,000	0.00% ²	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% ^{2,3}	-
6/26/2019	STA-056-CCO-016	Testing at TTCI (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% ³	\$21,938,173
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
5/6/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % ³	\$21,637,464

Peninsula Corridor Electrification Project
Monthly Progress Report

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
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464
10/12/2020	STA-056-CCO-029	Multiple No Cost / No Schedule Impact Changes Group 7	\$0	0.00 %	\$21,637,464
1/28/2021	STA-056-CCO-028	Procure Pantograph Automated Inspection System	\$790,211	2.87 %	\$20,847,253
2/26/2021	STA-056-CCO-031	Bike Car Dividers	\$194,940	0.71 %	\$20,652,313
3/8/2021	STA-056-CCO-030	Video of trainset while at TTC	\$9,833	0.04 %	\$20,642,481
3/25/2021	STA-056-CCO-032	Credit for Waived Testing	(\$1,040,000)	(3.78)%	\$21,682,481
6/23/2021	STA-056-CCO-033	Multiple Changes Group 8	\$0	0.00 %	\$21,682,481
Total			\$179,152,539	21.28 %	\$21,682,481

Notes:

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

SCADA Contract

Change Order Authority (15% of ARINC Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
2/11/2021	ARINC-061-CCO-001	Traction Power Facility SCADA Database Changes	\$395,538	76.50 %	\$121,500
8/9/2021	ARINC-061-CCO-002	Traction Power Facility SCADA Database Changes - Rev - 10 & 11	\$174,916	0.00% ²	\$121,500
Total			\$570,454	76.50 %	\$121,500

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

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Authority (10% of ProVen Contract¹)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
6/28/2019	PROV-070-CCO-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
8/20/2020	PROV-070-CCO-034	Milestone No. 2 - Overall Substantial Completion	\$0	0.00 %	\$5,043,470
1/27/2021	PROV-070-CCO-037	Additional Fence	\$15,651	0.28 %	\$5,027,819
7/26/2021	PROV-070-CCO-019	Drainage Conflicts at T1N (CNPA - Drainage \$30,000)	\$30,000	0.54 % ⁴	\$4,997,819
7/26/2021	PROV-070-CCO-022	OCS Foundation Redesign Support	\$4,902	0.09 %	\$4,992,917
7/26/2021	PROV-070-CCO-024	Reroute Leaky Feeder Cable at T-1 (CNPA - Drainage: \$19,554)	\$19,554	0.36 % ⁴	\$4,973,363
7/26/2021	PROV-070-CCO-039	Staging and Carroll Avenue	\$70,000	1.27 %	\$4,903,363
7/26/2021	PROV-070-CCO-041	Additional Mechanical Anchors at T-2	\$36,925	0.67 %	\$4,866,438
7/26/2021	PROV-070-CCO-042	Install Wedge Anchors in Tunnel 2	\$45,261	0.82 %	\$4,821,177
7/26/2021	PROV-070-CCO-043	Post Insulators at Tunnel Portals	\$45,557	0.83 %	\$4,775,620
7/26/2021	PROV-070-CCO-044	Water Leaking onto Conductor Rail	\$15,216	0.28 %	\$4,760,404
7/26/2021	PROV-070-CCO-038	Inability to Perform Work due to Special Events	\$64,458	1.17 %	\$4,695,946
7/26/2021	PROV-070-CCO-040	Longer Crew Shifts due to Staged Trains on Tracks	\$70,000	1.27 %	\$4,625,946
7/29/2021	PROV-070-CCO-049	Feeder Cable Lashing	\$113,000	2.05 %	\$4,512,946
9/30/2021	PROV-070-CCO-015	Demo High Spots on Tunnel Invert	\$14,726	0.27 %	\$4,498,220
9/30/2021	PROV-070-CCO-018	Clean Water and Mud from Tunnel Invert	\$40,000	0.73 %	\$4,458,220
9/30/2021	PROV-070-CCO-045	Masonry Rebuild at South Portal T-4 (Part 2)	\$65,806	1.19 %	\$4,392,414
9/30/2021	PROV-070-CCO-047	Additional Drop Tubes and Anchors	\$99,000	1.80 %	\$4,293,414
9/30/2021	PROV-070-CCO-050	OCRS Portal Structure Delays	\$6,000	0.11 %	\$4,287,414
9/30/2021	PROV-070-CCO-051	Disposal of Excess Soils from T-1N Portal	\$22,683	0.41 %	\$4,264,731
9/30/2021	PROV-070-CCO-052	Install Portal Structures Under Single Tracking	\$99,500	1.81 %	\$4,165,231
9/30/2021	PROV-070-CCO-053	Procure Additional Drop Tubes	\$33,000	0.60 %	\$4,132,231
10/4/2021	PROV-070-CCO-046	OCS Portal Structure Delays	\$130,000	2.36 %	\$4,002,231

Peninsula Corridor Electrification Project Monthly Progress Report

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
Total			\$1,505,546	27.33 %	\$4,002,231

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
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656	0.10 %	\$448,595

**Peninsula Corridor Electrification Project
Monthly Progress Report**

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
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	-
2/26/2021	PROV-071-CCO-052	Acoustic Ceiling Framing at the Component Test Room	\$3,998	0.61 %	\$245,514
2/26/2021	PROV-071-CCO-053	Temporary Sanitary Facilities During Boosted Water/Copper Line Work	\$963	0.15 %	\$244,551
3/3/2021	PROV-071-CCO-054	Relocation of Material Onsite for OCS Foundation Project	\$1,772	0.27 %	\$242,779
5/7/2021	PROV-071-CCO-055	Windows and Glazing at Component Test Room	\$17,679	2.70 %	\$225,100
7/16/2021	PROV-071-CCO-056	Fire Alarm System in Part Storage Warehouse	\$11,268	1.72 %	\$213,832
Total			\$853,246	67.36 %	\$213,832

Peninsula Corridor Electrification Project
Monthly Progress Report

Notes:

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

AMTRAK AEM-7 Contract

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

Notes:

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)
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)
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.
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
333	Remediation of issues associated with the CEMOF pit may result in additional costs and additional time to issue the charge order and implement the work.	Additional costs and delay to completion of CEMOF project.
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
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
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

Peninsula Corridor Electrification Project
Monthly Progress Report

ID	RISK DESCRIPTION	EFFECT(S)
330	PG&E interconnection work may not be completed on time resulting in delays to the reimbursement of PG&E Exhibit B Cost Allocation from PG&E.	<ul style="list-style-type: none"> • Potential cash flow issue requiring use of line-of-credit • Failure to receive reimbursement during course of project • Delay or otherwise affect close-out of FFGA
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
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
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
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase
013	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses Potential price increase to resolve contract issue
067	Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule.	Delay in progress of catenary installation resulting in claims and schedule delay
223	Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.	Proposed changes resulting from electrification may not be fully and properly integrated into existing system. Rework resulting in cost increases and schedule delays

ID	RISK DESCRIPTION	EFFECT(S)
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
332	Resolution of open items with UPRR: 1 Switch Machine installation on UPRR owned MT-1 (San Jose) 2. UPRR approval of Reed Street Signal Modification and UPRR PTC support for cutover	Switch Machine 1. May require re-work or modification of switch machine installation Reed Street 2. Will prevent end to end integrated testing
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.
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.
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
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.

Peninsula Corridor Electrification Project
Monthly Progress Report

ID	RISK DESCRIPTION	EFFECT(S)
289	Coordination and delivery of permanent power for power drops for everything except traction power substations along alignment	Can't test resulting in delays to schedule and associated additional project costs.
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.
321	Single Phase Study and interconnection agreement may be delayed but will not prevent energization of Segment 4 for milestone 1; may require additional work for PCEP (note this study also includes issues with regeneration of electricity.)	
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> • Reduced production rates. • Delay
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 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.

**Peninsula Corridor Electrification Project
Monthly Progress Report**

ID	RISK DESCRIPTION	EFFECT(S)
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.
272	Final design based upon actual Geotech conditions	Could require changes
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule
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.
326	EMU production delay. Possible that there are failed factory tests	Schedule Increase
329	Work on installation of signal house as part of SSF project, that is being constructed for PCEP may not be completed in accordance with the BBII project schedule.	Delay to BBII construction progress and associated delay claims
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
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 • \$3-\$5M/month burn rate for Owner's team during peak	Delays to project schedule and additional costs for preparation and review of submittals.

Peninsula Corridor Electrification Project
Monthly Progress Report

ID	RISK DESCRIPTION	EFFECT(S)
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
296	PG&E may not complete circuit 1 interconnection for interim power	Unable to receive power for remaining testing.
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.
322	BBII needs to complete traction power substations to be sufficiently complete to accept interim power	Delay in testing and increased costs
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
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)
069	Potential need for additional construction easements. Especially for access and laydown areas. Contractor could claim project is not constructible and needs more easements after award.	Increased cost Delay

ID	RISK DESCRIPTION	EFFECT(S)
106	<p>Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule.</p> <p>Multiple segments will need to be under design simultaneously.</p> <p>Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs.</p> <p>Possible shortages with other specialty crafts as well.</p>	Delay.
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
192	Environmental compliance during construction. - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions	<ul style="list-style-type: none"> • Delay • Cost increase
195	Introduction of electrified train service will require training of first responders in working in and around the rail corridor. The new vehicles will be considerably quieter than the existing fleet and the presence of high voltage power lines will require new procedures for emergency response. A new training program will need to be developed and disseminated for: <ul style="list-style-type: none"> • Fire, police, and first responders • Local communities • Schools 	Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.

Peninsula Corridor Electrification Project
Monthly Progress Report

ID	RISK DESCRIPTION	EFFECT(S)
237	JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.	Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
250	Potential for municipalities and other agencies to request betterments as part of the electrification project	Delay to project schedule in negotiating betterments as part of the construction within municipalities and associated increased cost to the project as no betterments were included in the project budget.
254	Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary.	Results in additional design and construction to create sufficient clearance.
266	Verizon poles in conflict with OCS may not be removed in advance of OCS installation.	Delay in progress of catenary installation resulting in claims and schedule delay
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
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

ID	RISK DESCRIPTION	EFFECT(S)
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.
331	Theft of impedance bond cables.	<p>Delays to project because signal locations cannot be cutover and put into service without the required impedance bond cables to make the signal system 25kV compatible.</p> <p>Cost of theft should be borne by the contractor as security of contractor installed materials are a contract requirement</p>

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 D-B 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 D-B 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	The D-B 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 D-B 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 D-B 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.

Peninsula Corridor Electrification Project
Monthly Progress Report

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 D-B 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 D-B 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 by the D-B 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, 2019, 2020, and 2021 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 or 2021 surveys. Survey reports for the 2017, 2018, 2019, and 2020 surveys have been submitted

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>to the JPB for the project record. In addition, pre-construction surveys of the potential BUOW habitat areas in Segment 4 are ongoing, as needed, they occur no more than 7 days prior to the onset of new ground-disturbing construction activities.</p> <p>During a 2020 pre-construction survey (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 and a combination of full-time monitoring and weekly spot-checks, as approved by the CDFW, were implemented during the breeding season (March through August). 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. On September 1, since there was some potential for indirect impacts during the non-breeding season (September 1 through January 31), the disturbance buffer was reduced from 200 meters to 75 meters, as approved by the CDFW. On February 2, 2021, while conducting nesting bird surveys in the area, a biologist checked the burrow and there were no sign of use and cobwebs were present. Subsequent check-ins of the area revealed the same results, and it was determined the burrow was no longer active, and the buffer was removed. The second</p>

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>round of protocol BUOW surveys were conducted in May and no BUOWs or signs were detected. The final two rounds of surveys were conducted this month and no BUOW or associated signs were observed.</p> <p>The Biologist will continue to conduct preconstruction surveys for nesting burrowing owls no more than 7 days prior to ground disturbance as needed throughout the 2021 nesting season.</p>
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	<p>Nesting bird surveys were conducted from February 1 through September 15 in 2017, 2018, 2019, 2020 and 2021, prior to project-related activities with the potential to impact nesting birds.</p>
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	X	X			Ongoing	<p>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.</p>
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	X	X			Ongoing	<p>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.</p>

Peninsula Corridor Electrification Project
Monthly Progress Report

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a 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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Ongoing	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design by the D-B. 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 Segments 1, 2, 3 & 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 by the D-B. 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 by the D-B. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas by the D-B. 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 by the D-B. 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 by the D-B.
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 by the D-B. The Archaeological Final Report will be provided at the conclusion of construction activities.

Peninsula Corridor Electrification Project
Monthly Progress Report

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project by the D-B. On June 18, 2021, construction crews observed a series of bones at the PS-3 work area. Upon inspection by a qualified archaeologist, the bones were determined to be from two medium-sized terrestrial mammals (not human). In addition, due to the lack of cultural resources found in proximity to the bones, the archaeologist concluded that the find was not archaeological in nature, and released the crew to continue work in the area.
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 by the D-B 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 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.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4a: Identification of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
GEO-4b: Mitigation of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided the D-B, and the required mitigation is being implemented prior to the initiation of construction activities.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	The D-B has facilities & BMPs in place to deal with this requirement should it arise in the OCS foundations of the TPFs.
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 by the D-B as described. The TPFs for Segments 2 & 4 are in final design and design currently and Segment 1 & 3 have 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 by the D-B as described. The TPFs in Construction Segments 2 & 4 are currently in final design currently and Segments 1 & 3 have begun. The

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						design plan currently raises the TPFs above the flood plain.
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	Field activity is monitored per the submitted and approved Noise and Vibration Control Plan by the D-B. If allowable noise levels are near, or exceed allowable levels, mitigation such as blankets are utilized 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 by the D-B as described. PGH Wong has completed analysis and design and issued for JPB review.
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	Field activity is monitored per the submitted and approved Noise and Vibration Control Plan by the D-B.
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 by the D-B as described. Coordination with utility providers is ongoing and there

Peninsula Corridor Electrification Project
Monthly Progress Report

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						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 by the D-B 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 by the D-B 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. Construction has not begun
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	X	X			Upcoming	This measure has not started

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
impacted intersections for the 2020 Project Condition.						
TRA-2a: Implement construction railway disruption control plan.	X	X			Ongoing	The D-B is implementing this measure in accordance with the Construction Railway Disruption Control Plan and sections SP1011, SP1040 and SP1045.
TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in Caltrain's Bicycle Access and Parking Plan.				X	Upcoming	This measure will be implemented during project operation.
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.

Peninsula Corridor Electrification Project
Monthly Progress Report

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-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 16th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance as feasible between San Jose and Bayshore.				X	Upcoming	This measure will be implemented during project operation.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard
Acting Executive Director

FROM: James C. Harrison, Legal Counsel

SUBJECT: **UPDATE ON EFFECT OF PUBLIC EMPLOYEES' PENSION REFORM ACT (PEPRA)
ON FEDERAL FUNDING TO CALTRAIN**

Finance Committee
Recommendation

Work Program-
Legislative-Planning

Staff Coordinating
Council Reviewed

Staff Coordinating Council
Recommendation

ACTION

No action is required. This item is being presented to the Board for informational purposes only.

SIGNIFICANCE

The Urban Mass Transportation Act of 1964 (UMTA) created the Federal Transit Administration (FTA) to direct federal funding toward state and local transit systems. 49 U.S.C. § 5301 (a). To make sure that projects funded with federal dollars would not “destroy the collective-bargaining rights of organized workers,” the Act includes measures intended to guarantee certain labor protections for mass transit workers. *Jackson Transit Auth. v. Local Div. 1285, Amalgamated Transit Union*, 457 U.S. 15, 17 (1982) (citing H. R. Rep. No. 204, 88th Cong., 1st Sess., 15-16 (1963)). Those protections, which were formerly located in Section 13(c) of the Act, are now codified at 49 U.S.C. § 5333(b). Before FTA grants are released, the Department of Labor (DOL) must certify that the agency receiving the grant has complied the requirements of 13(c).

The California State Legislature passed the California Public Employees' Pension Reform Act (PEPRA) in 2012. See Cal. Gov't Code § 7522-7522.74. Shortly thereafter, the DOL began to deny certification of FTA grants for California transit agencies, on the basis that PEPRA precluded compliance with 13(c). The State of California successfully sued on behalf of agencies whose funding had been withheld because of the DOL's denial of certification. In 2019, the DOL reversed its earlier determinations regarding PEPRA and adopted the court's conclusions that PEPRA's impact on transit employees did not preclude Section 13(c) certification. The Amalgamated Transit Union challenged this determination in 2019, and the State of California filed to intervene in the ATU's suit against the DOL. In 2021, with the change in Presidential administrations, the DOL again reversed its determination, finding that PEPRA is not compatible with Section 13(c) certification. The State of California has filed a motion to stay

implementation of the determination so that grants may continue to be processed while the litigation is pending; the next hearing is scheduled for December 17, 2021. The DOL has stated that it will neither grant nor deny certification until December 21, 2021, when it expects the court to rule on the State of California's motion for a stay of implementation.

The DOL's 2021 Determination should not affect Caltrain, because Caltrain does not have any employees and therefore does not have a workforce that could be affected by PEPR. This is consistent with the treatment of Caltrain in 2013, when grants to the agency continued to be processed even while the DOL refused to certify applications submitted by other California transit agencies.

We have been in communication with the FTA and the DOL to explain Caltrain's position and to request that Caltrain's applications for funding continue to be processed irrespective of the ongoing dispute regarding PEPR. We are currently awaiting a response and will apprise the Board of any new developments at the December 2, 2021 meeting.

Below, we describe the legislative background, prior and ongoing litigation and advocacy, and our position on the inapplicability of the 2021 Determination to Caltrain below as well as the potential effects on Caltrain projects if it were not to receive anticipated funding from the FTA.

BUDGET IMPACT

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

BACKGROUND

I. Legislative Background Regarding 13(c) Requirements and PEPR

A. Section 13(c) requirements

Section 13(c) of the UMTA requires that the U.S. Secretary of Labor certify that "fair and equitable" arrangements are in place to protect the interests of affected employees before state and local transportation agencies can receive certain federal mass transit funding assistance. 49 U.S.C. § 5333. Those arrangements must include provisions for "the preservation of rights, privileges, and benefits (including continuation of pension rights and benefits) under existing collective bargaining agreements or otherwise" and "the continuation of collective bargaining rights." *Id.* § 5333(b)(2)(A), (B) (commonly referred to as Section 13(c)(1) and (c)(2)).

The DOL's certification is required before the FTA may release funds to grant recipients. The DOL's outlined certification procedure is as follows:

1. FTA refers grants it receives to DOL for certification after FTA review and approval.
2. DOL refers transit grant applications and proposed terms to the recipient and any subrecipients of the funding, and any unions representing employees of the grantee, its contractors, and/or other transit providers in the same service area for review.

3. Once a grant application is referred, the parties have 15 days to inform DOL of any objection to the proposed terms and the DOL evaluates any objections.
4. If no objection is made or the DOL does not find the objection sufficient, the DOL certifies the proposed terms and FTA may release the grant.
5. If the DOL determines an objection is sufficient, mediation ensues between the parties, and if there is no resolution, then the DOL refuses certification.

Under certain conditions, the DOL may certify terms and conditions without a referral, including if there is no union representation in the entire service area, if the grant amends a previous grant in a manner that is immaterial, or the grant specifies that it is for routine replacement items, and other minor exceptions.

B. California Public Employees' Pension Reform Act of 2012

PEPRA applies "to all state and local public retirement systems and to their participating employers." Cal. Gov't Code § 7522.02. PEPRA changed how retirement benefits were calculated for all public employees. *Id.* PEPRA required employees hired after January 1, 2013 to pay half the costs of their retirement plan; employees hired before January 1, 2013 may also be required to pay half of their retirement plan after good-faith collective bargaining. *Id.* Newer employees are also subject to a later retirement age, and a modified formula for calculating benefits. *Id.*

II. State of California Litigation and Advocacy on the Issue of PEPRA and 13(c)

A. Prior Litigation

In 2013 and again in 2015, the DOL determined that the enactment of PEPRA precluded Section 13(c) certification of grants to two California transit agencies, Sacramento Regional Transit District (SacRTD) and Monterey-Salinas Transit (MST). The DOL argued that PEPRA substantially diminished the affected unions' ability to bargain over future pension benefits in violation of Section 13(c)(2)'s requirement to continue collective bargaining rights and reduced benefits provided under the agreements for employees in contravention of Section 13(c)(1)'s preservation of existing benefits requirement.

California and the transit agencies filed suit against the DOL, and successfully challenged the DOL's position on PEPRA in the U.S. District Court for the Eastern District of California in both 2013 and again in 2015. In both cases, the District Court held that the DOL's refusal to certify transit grants on the basis of PEPRA was arbitrary and capricious. See *State of Cal.*, 76 F. Supp. 3d 1125, 1144 (E.D. Cal. 2014); *State of Cal.*, No. 2:13-CV-02069-KJM-DB, 2016 WL 4441221 (E.D. Cal. Aug. 22, 2016).

The DOL appealed unsuccessfully to the Ninth Circuit and in 2018, the State of California obtained an injunction that precluded the DOL from relying on PEPRA to withhold certification of the grant funds intended to benefit the two transit agencies that were the subject of the lawsuit. See *State of Cal.*, 306 F. Supp. 3d 1180, 1190 (E.D. Cal. 2018). On June 14, 2019, the DOL issued a new determination ("2019 Determination") adopting the district court's conclusions that PEPRA's impact on transit employees did not preclude Section 13(c) certification. Letter to Robert Molofsky from Arthur F. Rosenfeld, *Response to Objections to Employee Protection Terms for Pending FTA Grant Applications* (June 14, 2019).

B. Current Litigation

Following the issuance of the 2019 Determination, the Amalgamated Transit Union International (ATU) filed suit against the DOL in the United States District Court for the District of Columbia. The State of California filed a motion to intervene along with a proposed motion to transfer venue to the U.S. District Court for the Eastern District of California. The motions were granted by the U.S. District Court for the District of Columbia on December 19, 2019 and April 29, 2020, respectively.

The suit challenged the DOL's certification of grants to California transit agencies pursuant to the 2019 Determination. *ATU v. U.S. Dep't of Labor*, No. 2:20-CV-00953-KJM-DB, 2021 WL 2003104 (E.D. Cal. May 19, 2021). The ATU argued that the District Court's prior ruling specifically denied the State of California's request for a broad permanent injunction applicable to all California transit agencies and therefore only prevented the DOL from denying certification to SacRTD and MST. Before the District Court ruled on motions for summary judgment filed by the parties, the DOL requested a delay in the hearing schedule due to the change in Presidential administrations.

On October 8, 2021, the DOL filed a brief announcing a change in its litigation position, stating it would no longer defend its section 13(c) certifications of applications submitted by California transit agencies. The DOL issued a new determination on October 28, 2021 (2021 Determination), reversing its 2019 determination and reasoning that:

PEPRA substantially interferes with the scope of permissible collective bargaining by transit workers and transit agencies such that Section 13(c)(2)'s requirement regarding 'the continuation of collective bargaining rights' is not met... After PEPRA, unions and the transit agencies can no longer bargain freely about the calculation of defined benefit pensions, the service requirements for qualification, the compensation to be used for calculating pension amounts, the percentage of costs to be paid by new employees, or the addition of a new defined benefit plan. In essence, PEPRA largely removed the subject of defined benefit pensions from collective bargaining."

Letter from Andrew D. Auerbach, Deputy Director, to Raymond Tellis Re: *Reconsideration of June 14, 2019 Determination Responding to Objections to Employee Protection Terms for Pending FTA Grant Application* (October 28, 2021) at 7.

The letter ultimately concludes that, "The Department arrives at its assessment of PEPRA as an impermissible interference with collective bargaining rights even following a permissive view of the Department's discretion under Section 13(c). As such, the Department determines, on a prospective basis, that it is not appropriate for it to certify that there are fair and equitable arrangements in place to protect the employees of California transit agencies, and it accordingly overrules the legal positions expressed in its 2019 Determination." *Id.* at 15.

In a status report filed on November 12, 2021, the ATU, the DOL and the State of California filed a joint status report. The status report clarifies that the DOL will not act on the certification of California transit grants through December 21, 2021, as the

District Court reviews the State of California's motion to stay implementation of the 2021 Determination.

On November 19, 2021, the State of California filed a motion to stay implementation pending judicial review. In the motion, the State requested that the District Court require the DOL to continue processing grants for certification to California transit agencies as required by UMTA and its implementing regulations, and precluding the DOL from relying on PEPRAs as a basis to deny certification, consistent with this Court's prior orders in the related litigation in order to prevent irreparable harm to California transit agencies. The DOL has refused to consent to the motion or to a voluntary stay. The motion is scheduled to be heard by the District Court on December 17, 2021. If the District Court grants the State of California's motion to stay on or before December 21, 2021, the DOL will be precluded from relying on PEPRAs to withhold certification from California transit grants until the Court issues a ruling on the State of California's cross-complaint, filed November 12, 2021. The cross-complaint challenges the DOL's 2021 Determination that PEPRAs preclude the certification of federal transit grants under Section 13(c).

While the DOL has articulated in the status report that it will neither certify grants nor deny certification, it is unclear what this position means for agencies such as Caltrain, which has no employees.

C. Advocacy

Significant advocacy efforts are currently underway to try to ensure that California transit agencies do not lose federal funding.

- On November 10, 2021 Governor Gavin Newsom sent a letter to Labor Secretary Marty Walsh arguing that California transit agencies need the American Rescue Plan Act (ARPA) and other funds to serve essential workers and vulnerable residents. In Governor Newsom's letter, he also argues that the new approach also disregards its past assurances to California that it would abide by the federal judiciary's resolution of the PEPRAs/Section 13(c) issue and work cooperatively to avoid disrupting California's access to federal funding during litigation.
- On the same day, Senators Diane Feinstein and Alex Padilla sent a letter to Secretary Walsh supporting Governor Newsom's letter.
- A coalition of affected California transit agencies also sent a letter to Secretary of Transportation Pete Buttigieg on November 19, 2021 describing the impact on transit funding and capital projects.

In addition, the issue has received significant attention in the local and national media.

III. Advocacy Undertaken by the JPB Regarding Its FTA Grants and Status of FTA Funding

Caltrain staff have communicated with officials at the FTA, the Department of Transportation, and the DOL to advocate for its position that PEPRAs does not apply to Caltrain. The arguments supporting this position are described below. As discussed above, we are awaiting a response from the DOL.

A. PEPPRA does not apply to Caltrain

PEPPRA applies to public agencies whose employees participate in public retirement systems such as the California Public Employees Retirement System. Unlike most California transit agencies, however, PEPPRA does not apply to Caltrain because Caltrain does not have employees. Rather, Caltrain contracts with TASI to operate its commuter rail service. Pursuant to the 1996 Joint Powers Agreement between the member agencies of Caltrain, the San Mateo County Transit District (SamTrans) acts as the managing agency of Caltrain. As a result, Caltrain does not have any employees, and PEPPRA does not apply to Caltrain.

Beginning in September 2013, the DOL denied certification for California transit agencies under Section 13(c) based on PEPPRA. However, the DOL certified and the FTA awarded a grant to Caltrain on November 22, 2013 (Federal Award Identification No. CA-90-Z042-00). Thus, Caltrain continued to receive federal grants funds, notwithstanding PEPPRA, because it did not have any employees, which continues to be true today.

B. Caltrain has several project and grant fund applications currently pending FTA approval and DOL certification

Between current committed and/or programmed FTA funds and a discretionary application currently under consideration, up to \$209M in federal funding is at risk for Caltrain. At a time when the agency's budget has been devastated by the pandemic and a steep decline in farebox revenue, we are extremely concerned about the potential for a delay in federal funding.

Below is a list of \$170M in current committed and/or programmed FTA funds to Caltrain that would be at risk should the DOL deny certification of FTA grants based on PEPPRA.

- \$36.06 million in ARPA funds that was recently programmed by the MTC in October 2021. The Caltrain application was submitted to Region IX and is currently being reviewed. Funds are needed to support the FY2022 operations of Caltrain; delay in getting the funds will impact Caltrain operations.
- \$52.4 million in ARPA funds for PCEP project. Application to the FTA will be submitted by January 2022 and funds are needed to support the completion of the electrification project.
- \$74 million of the final tranche of Core Capacity funds for the PCEP project. Caltrain expects funds to be included in the FY22 FTA appropriations. A grant amendment will be submitted to the FTA following the release of the Core Capacity funds from the FY22 appropriations. Funds are needed to support the completion of the PCEP project.
- \$13.6M in FY2022 FTA 5337/5307 grants. Once the FY22 appropriations are made, Caltrain is slated to receive a minimum of \$13.6 million in funding for a number of state of good repair and/or Caltrain bridge replacement projects. Anticipated submittal to FTA in the Spring 2022.

In addition, Caltrain submitted a request for \$38.8 million in FTA funds from the \$2.2B grant program to support Caltrain operations in light of significant loss in fare and other operating revenues in FYs 2021, 2022 and beyond. We anticipate that FTA will announce awards in March 2022 and expect that Caltrain's application for funds will be successful.

Inability to receive grant funding on a timely basis would additionally require the JPB to make draws upon committed lines of credit. This would require the JPB to incur unbudgeted interest costs and will exhaust line of credit capacity that is otherwise needed to address other cash flow timing issues related to the JPB's capital and operating needs, including the cash flow requirements of the Caltrain Electrification project, which currently faces a significant funding gap.

Conclusion

Because PEPPRA does not apply to Caltrain, the JPB will continue to advocate that the DOL should certify Caltrain's pending grant applications so that it may receive FTA grant funds while the current litigation regarding PEPPRA and 13(c) proceeds. We will apprise the Board of new developments relating to future grant awards to Caltrain.

Prepared By: James C. Harrison and Anna Myles-Primakoff
Olson Remcho LLP