



BOARD OF DIRECTORS 2021

DEVORA "DEV" DAVIS, CHAIR  
STEVE HEMINGER, VICE CHAIR  
CINDY CHAVEZ  
JEFF GEE  
GLENN HENDRICKS  
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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 the [Governor's Executive Orders N-25-20 and N-29-20](#).**

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

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

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

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

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

### **September 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 SESSIONS): 9:05 am estimated**

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

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
- b. Closed Session: Conference with Real Property Negotiator - held pursuant to Govt. Code § 54956.8; Description of property: Portion of the RWC Caltrain station parking lot located at 1 James Street, Redwood City, CA 94063 and A1 Party Rental site located at 2529 Broadway, Redwood City, CA 94063; Negotiating parties: KM-ECR LLC; Matter under negotiation: Exclusive Negotiation Agreement for property exchange in the City of Redwood City

**PART III OF MEETING (REGULAR SESSION): \*9:55 am**

*\*Please note that the estimated time for closed session is provided as a courtesy only. If closed session ends earlier than estimated, the Board will resume open session immediately upon the conclusion of closed session*

4. General Counsel Report – Report Out from Above Closed Sessions      INFORMATIONAL

5. Public Comment for Items Not on the Agenda

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

6. Consent Calendar

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

- a. Approve Regular Meeting Minutes of August 5, 2021      MOTION
- b. Receive Key Caltrain Performance Statistics – July 2021      MOTION
- c. Approve 2022 Board Meeting Calendar      MOTION
- d. Capital Projects Quarterly Status Report 4<sup>th</sup> Quarter – Fiscal Year 2021      INFORMATIONAL
- e. Appointment of the Citizens Advisory Committee Representative and Alternate      MOTION
- f. Increase the Total Project Budget by \$1,025,000 for the Broadway Burlingame Grade Separation Project and Increase the Fiscal Year 2022 Capital Budget to \$67,234,919      MOTION
- g. Authorize the Executive Director to Execute an Amendment to Supplemental Agreement No. 4 with Pacific Gas and Electric (PG&E) for Procurement and Construction Services For PG&E Infrastructure Build Outs in Support of the Peninsula Corridor Electrification Project (PCEP)      MOTION
- h. Authorize the Executive Director to Execute a Change Order to the Peninsula Corridor Electrification Project (PCEP) Contract with Balfour Beatty, Inc. for an Increase in Allowance Item No. 9 - Utilities Potholing for a Total Not-To-Exceed Amount of \$5,700,000      MOTION

i. Accept Quarterly Fuel Hedge Update	MOTION
j. Report of the Chief Financial Officer (CFO)	INFORMATIONAL
k. Staff Report on Statement of Revenues and Expenses for the Period Ended July 31, 2021	MOTION
l. State and Federal Legislative Update	INFORMATIONAL
m. Authorize Execution of an Exclusive Negotiation Agreement to Explore a Property Exchange with KM-ECR LLC	RESOLUTION
n. Clean Air Day Proclamation	RESOLUTION
o. Authorize Change to Usual Order of Business pursuant to Section 11 of the Rules of Procedure to Include the Report of the General Counsel as an Item Under the Report of the Executive Director	MOTION
7. Diridon Real Estate Update	INFORMATIONAL
8. Proclamation Declaring September Railroad Safety and Suicide Prevention Month	PROCLAMATION
9. Reports	
a. Report of the Citizens Advisory Committee	INFORMATIONAL
b. Report of the Chair ( <i>oral</i> )	INFORMATIONAL
c. Report of the Local Policy Maker Group (LPMG) ( <i>oral</i> )	INFORMATIONAL
d. Report of the Executive Director	INFORMATIONAL
i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – August	INFORMATIONAL
10. Future Board Meeting Options	MOTION
11. Vaccination and Testing Policy Status	INFORMATIONAL
12. Correspondence	
13. Board Member Requests	
14. Date/Time of Next Regular Meeting: Thursday, October 7, 2021 at 9:00 am via Zoom (additional location, if any, to be determined)	
15. Adjourn	

## **INFORMATION FOR THE PUBLIC**

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

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

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

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 2:30 pm; JPB WPLP Committee: Fourth Wednesday of the month, 3:00 pm. Date, time and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

### **Location of Meeting**

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

### **Public Comment\***

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

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

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

### **Availability of Public Records**

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

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

DRAFT MINUTES OF AUGUST 5, 2021

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

**MEMBERS ABSENT:** C. Stone, S. Walton

**STAFF PRESENT:** M. Bouchard, D. Hansel, J. Harrison, , S. Petty, K. Yin, J. Funghi, B. Shaw, R. Rios, A. Simmons, B. Tietjen, R. Barnard, L. Leung, T. Burgwyn, T. Bartholomew, D. Seamans, S. Wong

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

Chair Dev Davis called the meeting to order at 9:00 am and led the pledge of allegiance.

**2. ROLL CALL**

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

Public Comment

Roland Lebrun, San Jose, commented on closed sessions item 3a and 3b.

**3. GENERAL COUNSEL REPORT – CLOSED SESSION:**

- a. **Closed Session: Conference with Legal Counsel – Anticipated Litigation. Initiation of Litigation pursuant to Government Code Section 54956.9(d)(4): One potential case**
- b. **Closed Session: Conference with Legal Counsel – Conference with Legal Counsel – Existing Litigation Pursuant to Government Code Section 54956.9(d)(1): JPB v. Parsons, et al, San Mateo County Superior Court, Case No. 17CIV00786**
- c. **Closed Session: Conference with Legal Counsel – Existing Litigation Pursuant to Government Code Section 54956.9(d)(1): JPB v. Golden Bay Fence Plus Iron Works, Inc., City & County of San Francisco, Caltrans, San Francisco County Superior Court, Case No. Case No. CGC-19-573781**

*The Board convened in closed session at 9:05 am  
The Board reconvened in regular session at 10:30 am*

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

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

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

#### **5. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA**

Aleta Dupree, Oakland, commented on passing the Pride Resolution last month.

Marie Blankley, Gilroy Mayor, requested agendizing Valley Transportation Authority (VTA) lot acquisition to maintain the parking necessary to accommodate housing and to generate more ridership in the Gilroy transit center.

Adina Levin, Friends of Caltrain, commented on preliminary fare study, low cost transfers, and equitable access.

Adrian Brandt, San Mateo County, commented on regional fares, universal fares, coordinated schedules, and mandatory vaccinations for employees.

Jeff Carter, Millbrae, commented on fare integration and costly transfers.

Roland Lebrun, San Jose, commented on Gilroy parking, new Caltrain positions, and meeting transcripts.

#### **6. CONSENT CALENDAR**

- a. Approve Regular Meeting Minutes of July 1, 2021 and Special Meeting Minutes of June 25, 2021**
- b. Receive Key Caltrain Performance Statistics – June 2021**
- c. Appointment of the Citizens Advisory Committee Representative**
- d. Authorize the Executive Director to Execute a Change Order to the Peninsula Corridor Electrification Project (PCEP) Contract with Balfour Beatty, Inc. for Removal and Disposal of Contaminated Soil for a Total Not-To-Exceed Amount of \$2,800,000**
- e. Award of Contract for On-Call Ambassador Services**
- f. Amendment to Increase the Fiscal Year 2022 Capital Budget by \$2.0 Million for the Caltrain San Francisco Railyards Preliminary Business Case**
- g. Report of the Chief Financial Officer (CFO)**
- h. Staff Report on Statement of Revenues and Expenses for the Period Ended June 30, 2021**
- i. Redwood City Planning and Real Estate Update**
- j. State and Federal Legislative Update**
- k. Upcoming Marketing Efforts Related to Increasing Ridership**

#### Public Comment

Roland Lebrun, San Jose, commented on the amount of extra amount of excavation, on call consultants in Redwood City, and invoicing the High Speed Rail Authority.

Motion/Second: **Chavez/Zmuda moved to approve with an amendment to 6e (On-Call Ambassador Services) to receive annual updates on outreach activities.**

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

Noes: None

Absent: Stone, Walton

Director Monique Zmuda recognized and thanked the new Citizens Advisory Committee members on behalf of San Francisco.

## **7. REPORTS**

### **a. Report of the Citizens Advisory Committee (CAC)**

Brian Shaw, CAC Chair, reported that the San Francisco and Santa Clara County positions were filled and San Mateo County positions were open. He summarized public comments on real time ridership reporting, the new schedule, baby bullet, and new fare options. Mr. Shaw summarized member comments on baby bullet trains midday, distance based fares, COVID cleaning costs, and ridership numbers.

### **b. Report of the Chair**

Chair Davis stated that the next Special Governance meeting would be August 20 and it would cover legal and financial analysis for the self-directed options.

### **c. Report of the Local Policy Maker**

Director Jeff Gee reported on discussion on the August service restoration, marketing efforts, electrification construction, high speed rail funding, interest in the new Caltrain schedule, and the Gilroy parking lot. The next meeting would be August 26.

### **d. Report of the Transbay Joint Powers Authority**

Director Jeff Gee noted that the Board welcomed a new downtown extension (DTX) project manager, Alfonso Rodriguez, the upcoming appointment of new chief financial officer (CFO), Franklin Wong, the recruitment for a new executive director, and the new START program.

### **e. Report of the Executive Director**

#### **i. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report – July**

Michelle Bouchard, Acting Executive Director, reported on the following:

- Update on vaccination rates, masks being required, and looking at mandatory testing options for administrative staff
- August 30 service change accompanied by marketing and communications campaign and a 50 percent off month-long fare promotion (in conjunction with BART)
- Monitor the Federal bill closely to advocate for the corridor
- The State budget proposal includes significant program for transit/rail in California
- Metropolitan Transportation Commission (MTC) approved the first tranche of American Rescue Plan (ARP) for \$41 million for Caltrain, and the second tranche expected later this Fall

- 25<sup>th</sup> Avenue Grade Separation project – 31<sup>st</sup> Avenue has opened and the ribbon cutting be to in September.

James Harrison, Caltrain Legal Counsel, reported the following:

- Employers may mandate vaccinations
- Caltrain and Samtrans are considering potential policies requiring vaccination or testing of administrative employees
- TASI is considering adopting a policy requiring either proof of vaccination or proof of negative testing
- The JPB does not have the authority to mandate rider vaccination but can mandate masks

John Funghi, CalMod Chief Officer, provided updates, which included the following:

- 71 foundations completed in July and 397 left to complete at the end of the year
- Gantry structure work completed in South San Francisco
- Balfour Beatty Inc. (BBI) returned to grade crossing
- Stadler testing dynamic train testing completion expected in October

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

- Lagging schedule update and being consistent with schedule at ad hoc committees
- Chair Davis announced disbanding the PCEP Ad Hoc Committee with future discussions to be held at the WPLP (Work Program-Legislative-Planning) Committee
- Whether Stadler requires employee vaccination and if it could quantify current COVID impact to schedule
- Whether Caltrain has the authority to require vaccinations or testing of employees and contractors
- Federal employees required to show vaccination or testing status

#### Public Comment

Roland Lebrun, San Jose, commented on DTX not connecting to East Bay, Stadler Electric Cars, three minute warning times, a dedicated capital project committee, and the 50 percent discount promotion.

Adina Levin, Seamless Bay Area, commented on the executive director updates, the regional significance for downtown extension (DTX), and rescheduling the previous governance workshop.

Jeff Carter, Millbrae, commented on an electrification progress web link at the front of the web page.

Aleta Dupree, Oakland, commented on foundations, reduced fare promotions, Veteran fares, and vaccinations.

Doug DeLong, Mountain View, commented on testing in segment 4, switchgear enclosure at the San Jose station, numbering of power cubicles, and vaccinations.



## **8. APPROVAL OF MEASURE RR INTERIM FINANCING TRANSACTIONS AND RELATED TRANSACTION DOCUMENTS**

Derek Hansel, Chief Financial Officer, provided the presentation, which included the following:

- New revolving credit agreements and existing credit agreements
- The three components of the 2021 Financing Plan, the approval schedule, and currently only seeking approval for component one (since all three agencies must approve each component before the JPB does so)
- Components two and three are anticipated to be brought before the Board later in the Fall as required
- Reviewed agreement parameters

### Public Comment

Aleta Dupree, Oakland, commented on stable sources of revenue and Clipper.

Roland Lebrun, San Jose, inquired on cost of the origination fee for the new line of credit.

The Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions, which included the following:

- When and how often the line of credit is used
- The length of time needed to complete all of these transactions
- How long the agreement is good for, consider increasing the parameters given the cheaper lines of credit
- When there will be bond financing
- Whether Measure RR funds have been received

Motion/Second: Gee/Hendricks

Ayes: Gee, Hendricks, Pine, Zmuda, Heminger, Davis

Noes: None

Absent: Chavez, Stone, Walton

*Director Cindy Chavez left at 11:57am*

## **9. UPDATE ON SERVICE RESTORATION**

Ted Burgwyn, Director of Rail Network and Operations Planning, provided the presentation. He spoke about the service planning strategy, ongoing constraints, August 2021 service expansion (including weekdays), key peak hour metrics, Millbrae BART connection, Gilroy service, financial implications, overall benefits, future considerations, and next steps.

### Public Comment

Adina Levin, Friends of Caltrain, thanked staff and commented on better connections to local transit and BART, and missed evening and weekend schedules with the new schedule.

Jeff Carter, Millbrae, commented on new schedule objectives, midday and evening service, including Broadway as a stop on weekdays, seeing bullet service on the weekends, long boarding times, and fares zones.

Roland Lebrun, San Jose, commented on project Caltrain express infrastructure at Lawrence and Bayshore, baby bullets service at Tamien and Diridon, traffic is 90 percent of pre-COVID during the week and 120 percent of pre-COVID on the weekends, and capitalizing on baby bullets then.

Vaughn Wolffe, Pleasanton, commented on trains from the East Bay, going from Berkeley to the peninsula, and getting 40 to 60 percent people out of cars by 2040.

Aleta Dupree, Oakland, commented on hourly service, the number of stops, getting from San Francisco to San Jose if all stops made, and frequency at smaller stations.

T commented on post giant game trains regardless of game length so people are not stranded in San Francisco.

Ryan Globus, San Jose, commented on the midday schedule running every 30 minutes, improvement for the weekend schedule noting it can take over 1 hour 40 minutes to get to San Francisco, four bullets on the weekend, and frequent service on the weekend before electrification.

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

- What the am and pm peak hours will be and what time in morning and evening baby bullets will run
- When expanding service, expand later into each am and pm hour
- How soon could weekend bullet service be added back given electrification work
- What is the potential for having end of game train(s)
- Having masks and vaccines are factors for increasing ridership
- Systematically speaking with employers on the peninsula regarding current employee schedules
- Service adjustment and connections and syncing up service with BART
- Getting more service onto rail to bring ridership back and getting ahead of demand

## **10. CORRESPONDENCE**

Correspondence was available online.

## **11. BOARD MEMBER REQUESTS**

Director Glenn Hendricks requested an analysis of the legal, labor, and practical ramifications of a vaccine mandate, different from a mask mandate, for employees and contractors.

Director Steve Heminger requested a report about how close the actual Measure RR revenues are to the financial estimates later in the year.

**12. GENERAL COUNSEL REPORT**

There was no report.

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

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

**14. ADJOURN**

The meeting adjourned at 12:35 pm

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

DRAFT

**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: **KEY CALTRAIN PERFORMANCE STATISTICS – JULY 2021**

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

**ACTION**

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

**SIGNIFICANCE**

Staff will provide monthly updates to Key Caltrain 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**

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

In July 2021, Caltrain's ridership was estimated as follows:

- Average Weekday Ridership (AWR) increased by 154.9 percent to 8,714 from July 2020 (3,419).
- Average Saturday Ridership increased by 309.2 percent to 7,296 from July 2020 (1,783). There is no comparable data from July 2019 due to estimation methodology used before March 2020.
- Average Sunday Ridership increased by 266 percent to 5,320 from July 2020 (1,483). There is no comparable data from July 2019 due to estimation methodology used before March 2020.
- Total ridership increased by 169.1 percent to 246,747 from July 2020 (91,703).

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. Even though the ridership has been gradually recovering in recent months, July 2021 ridership was approximately 14 percent of the pre-pandemic ridership.

This month ticket sales changed from July 2020 for:

- One Way tickets: +223.2 percent
- ED One Way tickets: +147.7 percent
- Day Passes: +623.7 percent
- ED Day Passes: +531.6 percent
- Monthly Passes: +77.4 percent
- ED Monthly Passes: +37.5 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 14 percent (35,070 rides) of the monthly ridership and 9.1 percent (\$231,485) of the monthly ticket sales revenue
- Number of Eligible Go Pass Employees decreased to 55,041 from 86,718 from July 2020
- Number of the participating Go Pass Companies decreased to 40 in July 2021 from 120 in July 2020
- Total Preliminary Farebox Revenue decreased by 18.1 percent to \$2,418,089 from July 2020 (\$2,953,409).

On-time performance (OTP) for July 2021 was 90.2 percent compared to 96.4 percent for July 2020.

Regarding customer service statistics, the number of complaints per 100,000 passengers in July 2021 is not provided due to the significant decrease in ridership due to COVID-19 pandemic.

Shuttle AWR ridership for July 2021 decreased 80.7 percent to 208 from July 2020 (1075). As of July 2021, eleven shuttle routes are operating, two routes are suspended by the employer and six services have been removed from the shuttle program since January 2021 due to operational, partner, or granting changes/loses.

**Table A**  
**July 2021**

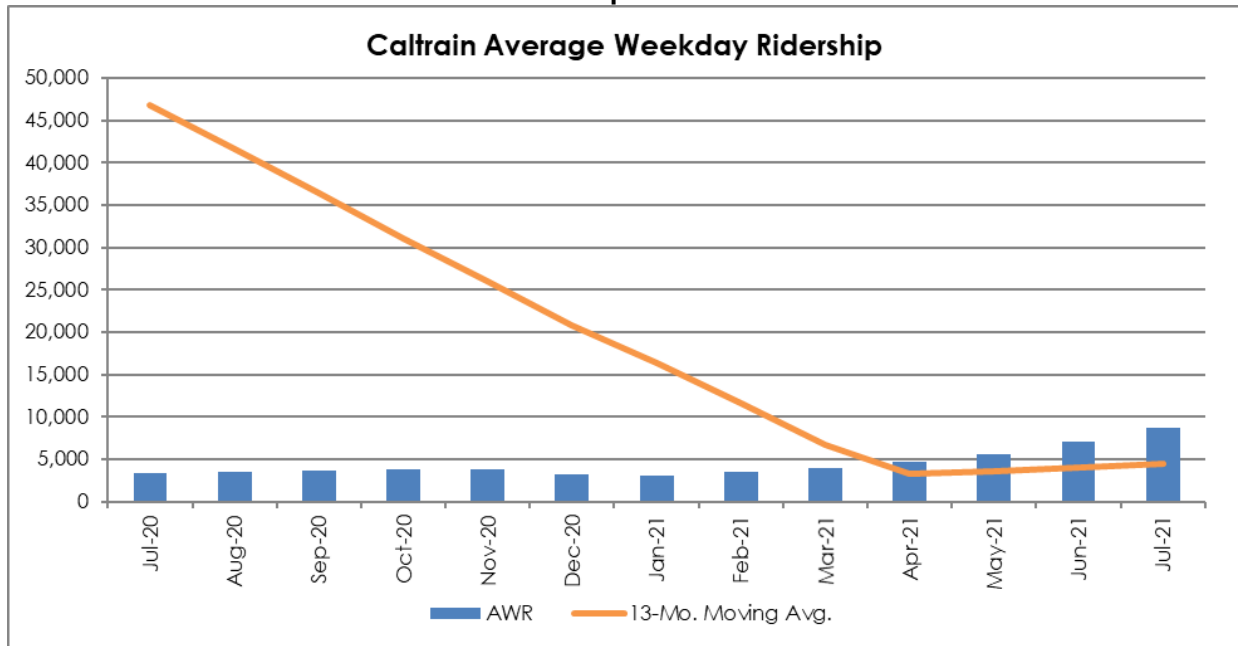
	<b>FY2020</b>	<b>FY2021</b>	<b>FY2022</b>	<b>FY20 to FY21</b> <b>% Change</b>
Total Ridership	1,672,672	91,703*	246,747	169.1%
Average Weekday Ridership	70,493	3,419*	8,714	154.9%
Total Farebox Revenue	\$ 9,136,916	\$ 2,953,409	\$ 2,418,089	-18.1%
On-time Performance	93.8%	96.4%	90.2%	-6.4%
Average Weekday Caltrain Shuttle Ridership	8,794	1,075	208	-80.7%

**Fiscal Year to Date**

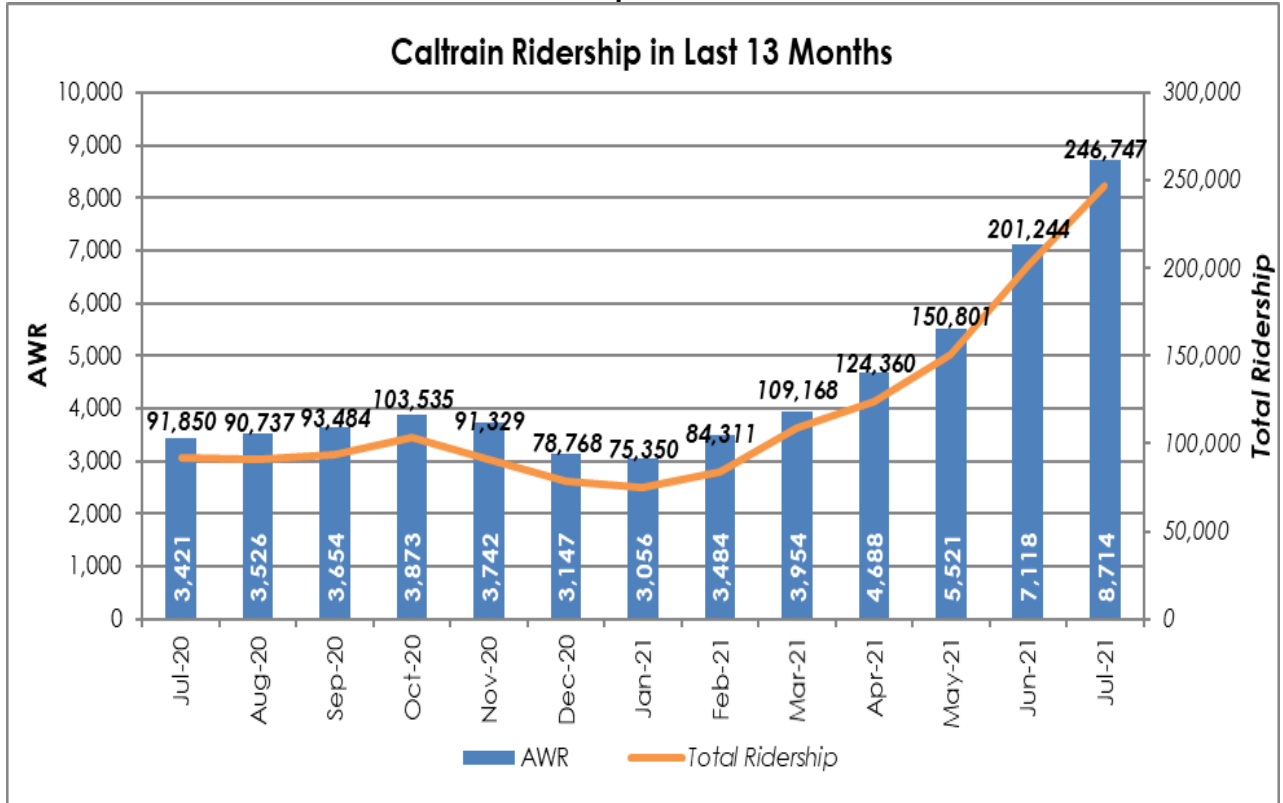
	<b>FY2020</b>	<b>FY2021</b>	<b>FY2022</b>	<b>FY20 to FY21</b> <b>% Change</b>
Total Ridership	1,672,672	91,703*	246,747	169.1%
Average Weekday Ridership	70,493	3,419*	8,714	154.9%
Total Farebox Revenue	\$ 9,136,916	\$ 2,953,409	\$ 2,418,089	-18.1%
On-time Performance	93.8%	96.4%	90.2%	-6.4%
Average Weekday Caltrain Shuttle Ridership	8,794	1,075	208	-80.7%

\* Adjusted after thorough review of data from past Fiscal Years

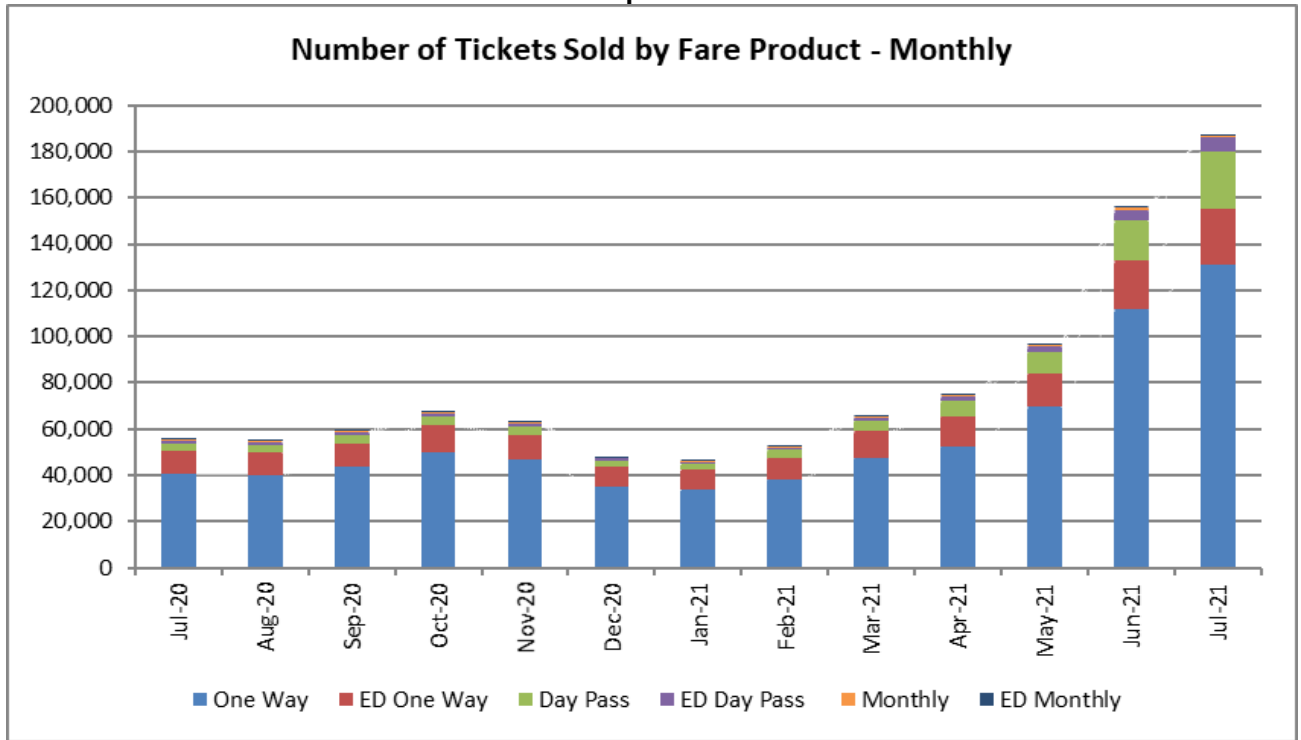
**Graph A1**



Graph A2

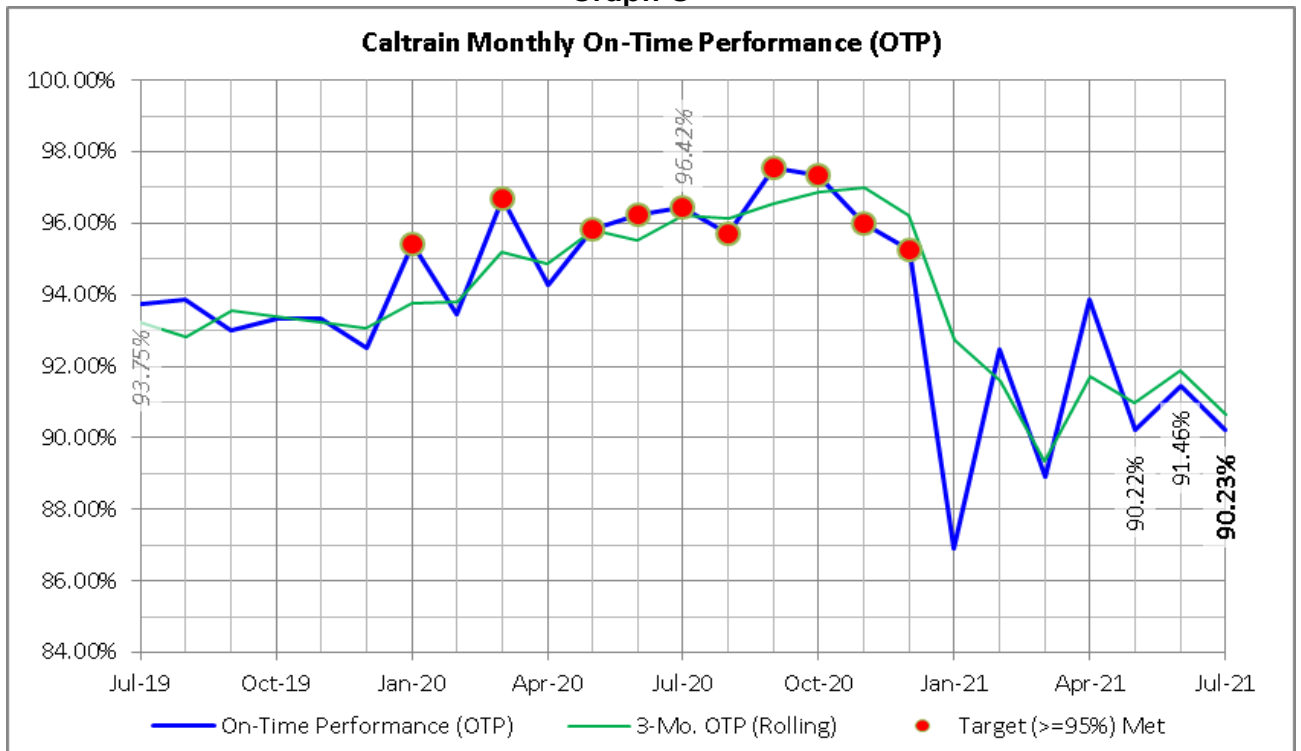


**Graph B**



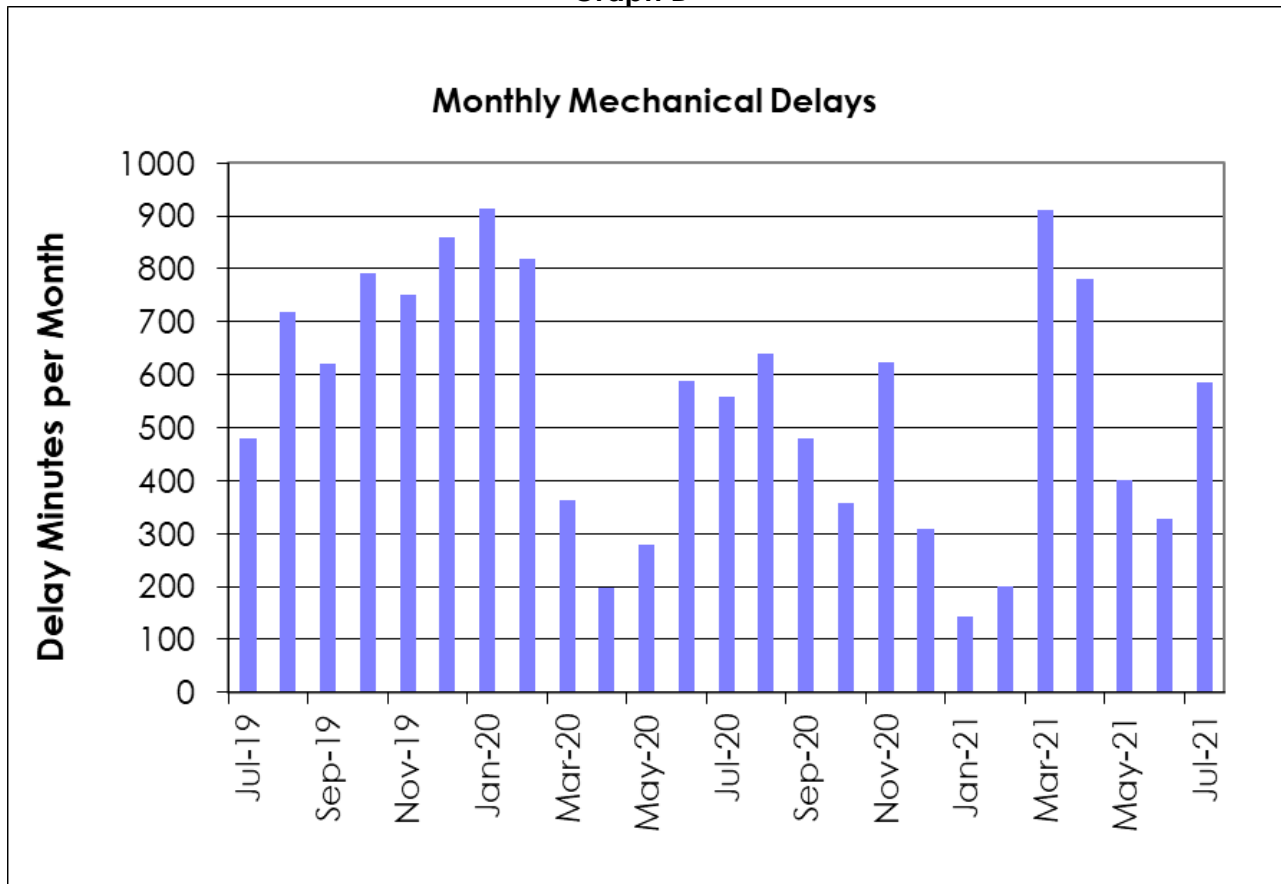
*\*Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*

**Graph C**





Graph D



**Caltrain Communication and Marketing Campaigns for July 2021:**

- Take Caltrain to the Game - SF Giants Baseball (ongoing)
- Clipper Mobile (ongoing)
- 20% Off Caltrain Monthly Pass (ongoing)
- Clipper Start (ongoing)
- "Face Coverings Required" messaging to customers (ongoing)
- Press Release: "Press Release: "South San Francisco Caltrain Station to Open in November"

**Digital Communications Report:**

The month of July typically tends to be a slower month year over year. Caltrain did achieve over 1 million impressions on Twitter. Although the account is decreasing, engagement is still active falling under 140,000 followers on the main account (Twitter). Caltrain continued to welcome back our customers (welcome back series), messaging of masks on board to address compliance, and teasing the new schedule worked well in July.

Caltrain Alerts continues gaining followers as well as the TikTok and Instagram account.

## July 2021 Highlights:

- Masks
- New Schedule
- Giveaways

## Website Replacement Project:

Staff continues to meet with the web developer, FivePaths. The new website is taking shape and recent developments on GTFs and maps are exciting. Staff continues to audit the current website's content before a September migration. Caltrain wants eyes on every page and to only migrate vital pages and documents. Staff continues to plan how to make the agency websites ADA compliant, but a plan has taken shape and is moving forward.

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



## Peninsula Corridor Joint Powers Board 2022 Meeting Calendar

Thursdays – 9:00 AM
January 6
February 3
March 3
April 7
May 5
June 2
July 7
August 4
September 1
October 6
November 3
December 1

The Board meets the first Thursday of the month unless otherwise noted.

All meetings are held via Zoom (additional location, if any to be determined) at [https://www.caltrain.com/about/bod/Board\\_of\\_Directors\\_Meeting\\_Calendar.html](https://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html)

Dates may be subject to change.

**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 –  
4th QUARTER FISCAL YEAR 2021**

Finance Committee  
Recommendation

Work Program-  
Legislative-Planning

Staff Coordinating  
Council Reviewed

Staff Coordinating Council  
Recommendation

**ACTION**

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

[https://www.caltrain.com/Assets/ Finance/Quarterly+Capital+Program+Status+Report/JPB/JPB+Quarterly+Report+FY21+Q4.pdf](https://www.caltrain.com/Assets/Finance/Quarterly+Capital+Program+Status+Report/JPB/JPB+Quarterly+Report+FY21+Q4.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



## **Quarterly Capital Program Status Report and DBE Status Report**

**Prepared for the September 02, 2021 Caltrain Board Meeting**

**4th Quarter FY2021: April 01, 2021 – June 30, 2021**

# **Peninsula Corridor Joint Powers Board**



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## Caltrain - Capital Program - Budget Summary

4th Quarter FY2021 - April 01, 2021 to June 30, 2021

All Costs in \$1,000's

Programs						
	FY2016	FY2017	FY2018	FY2019	FY2020	FY2021
1. Station and Intermodal Access	\$39,756	\$1,450	\$745	\$6,600	\$4,870	\$6,225
2. Right of Way / Signal & Communications	\$40,350	\$180,232	\$22,438	\$20,072	\$20,877	\$53,246
3. Rolling Stock	\$4,000	\$6,997	\$12,826	\$17,034	\$5,063	\$12,664
4. Operational Improvements/Enhancements	\$2,844	\$4,723	\$31,054	\$2,050	\$3,800	\$31,777
5. Planning and Studies	\$4,220	\$2,756	\$2,190	\$6,425	\$12,290	\$7,648
7. Legal Mandates & Required Enhancements	\$3,337	\$14,721	\$1,220	\$1,327	\$500	\$1,000
<b>Total Board Approved Budget by FY</b>	<b>\$94,507</b>	<b>\$210,879</b>	<b>\$70,473</b>	<b>\$53,508</b>	<b>\$47,400</b>	<b>\$112,560</b>

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

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

**Currently in Progress**

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

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

### TRAFFIC LIGHT REPORT

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

	SCOPE		SCHEDULE		BUDGET / COST		SAFETY		
	Q3FY21	Q4FY21	Q3FY21	Q4FY21	Q3FY21	Q4FY21	Q3FY21	Q4FY21	
25th Ave. Grade Separation Project									4
Automatic Passenger Counters 4th & King									6
BayShore Station Overpass Pedestrian Bridge Rehab Project									8
Broadband Communication									10
Burlingame Broadway Grade Separation Project									12
CCF and BCCF Virtualization Project									14
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Grade Crossing Improvement FY 2019 & 2020									18
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Mary Avenue Traffic Signal Project									24
MP-36 Locomotive Mid-Life Overhaul Project									26
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South San Francisco Station Improvement Project									40
Systemwide Signal System Rehabilitation Project - FY2019									42
Systemwide Track Rehabilitation Project - FY2019									44
Ticket Vending Machine Rehab Program Project									46
Wayside Bike Parking Improvement Project									48



= Project On-Hold



= No Issues



= Notable Issues



= Significant Issues



25th AVENUE GRADE SEPARATION PROJECT



**SCOPE:**



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

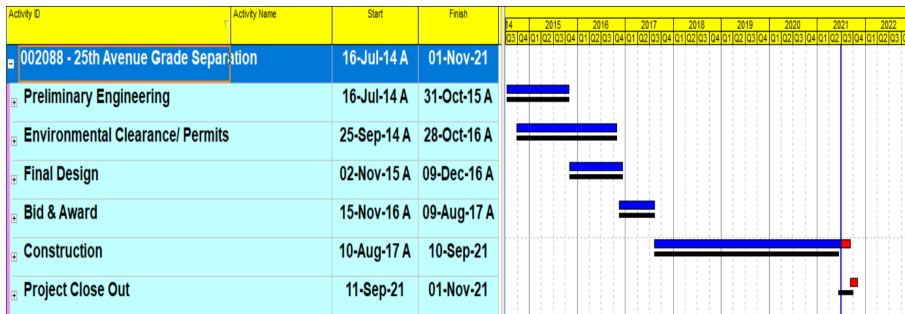
- Grade separating the 25th Avenue at-grade crossing.
- Construction of two new grade separated crossings at 28th and 31st Avenues.
- Perform relocation of the existing Hillsdale Caltrain station. The new station will be an elevated, center-board platform.

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

**Issues:**

No Issues related to Scope of Work.

**SCHEDULE:**



**Progress:**

Apr - Jun 2021

- (1) Closed Westbound 25th Ave.
- (2) PG&E provided power to Hillsdale Station. Installed and connected systems at the new station.
- (3) Opened Hillsdale Station.
- (4) Continued demolition, excavation on 25th Ave.
- (5) Continued drainage work at 25th Ave.
- (6) Continued on RW 4 and RW 5 at 25th Ave.
- (7) Continued concrete flatwork 31st Ave.
- (8) Continued Railings on 31st Ave.
- (9) Continued Roadway Grading 31st Ave.
- (10) Continued Installing Drainage at 31st Ave.

**Future**

**Activities:**

Jul - Sep 2021

- (1) Pave 25th and 31st Ave.
- (2) Concrete flatwork 25th and 31st Ave.
- (3) Upgrade traffic signals at 31st Ave. intersections.
- (4) Begin Signal work at 25th Ave. and Delaware Intersection.
- (5) Install systems at 31st Ave. Pump Station.
- (6) Complete construction phase.

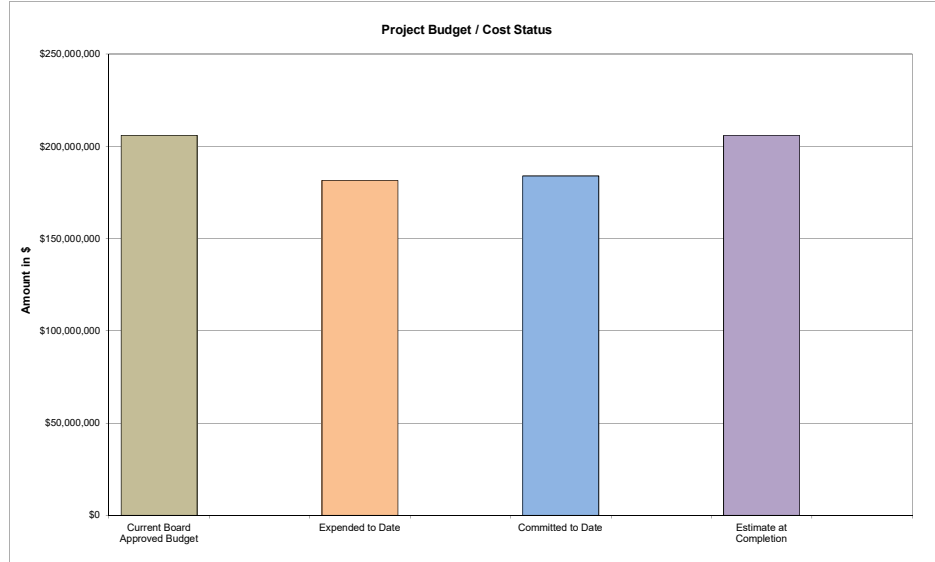
**Issues:**

- (1) Calwater Agreement for work on 28th and 25th Ave - needs to be executed (can cause potential schedule impacts to project).
- (2) Coordination with City of San Mateo for 25th Ave Stage Construction Work.

**25th AVENUE GRADE SEPARATION PROJECT**

**BUDGET:**

	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	\$205,900,000	\$181,505,515	\$183,963,018	\$205,900,000	\$0



**Issues:** None.

**SAFETY:** No incidents reported this quarter.



Automatic Passenger Counters at 4th & King



**SCOPE:**



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

**Issues:** None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	2020				2021					
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100445 - Automatic Passenger Counters at 4th & King		01-Dec-19 A	30-Nov-21										
▢ Bid & Award		01-Dec-19 A	03-Feb-21 A										
▢ Construction		01-Jul-21	31-Aug-21										
▢ Project Close Out		01-Sep-21	30-Nov-21										

**Progress:**

Apr - Jun 2021

- (1) Subcontractor signed agreement.
- (2) Contractors began to work on Site Specific Work Plan (SSWP).
- (3) Had site visits and overall project meetings with contractors and vendor.
- (4) Contractors submitted Site Specific Work Plan (SSWP).
- (5) Contractors currently gathering materials and equipment.
- (6) Contractors installed all of the necessary conduits and cabling.

**Future**

**Activities:**

Jul - Sep 2021

- (1) Continue gathering equipment for installation.
- (2) Install WiFi Access points.

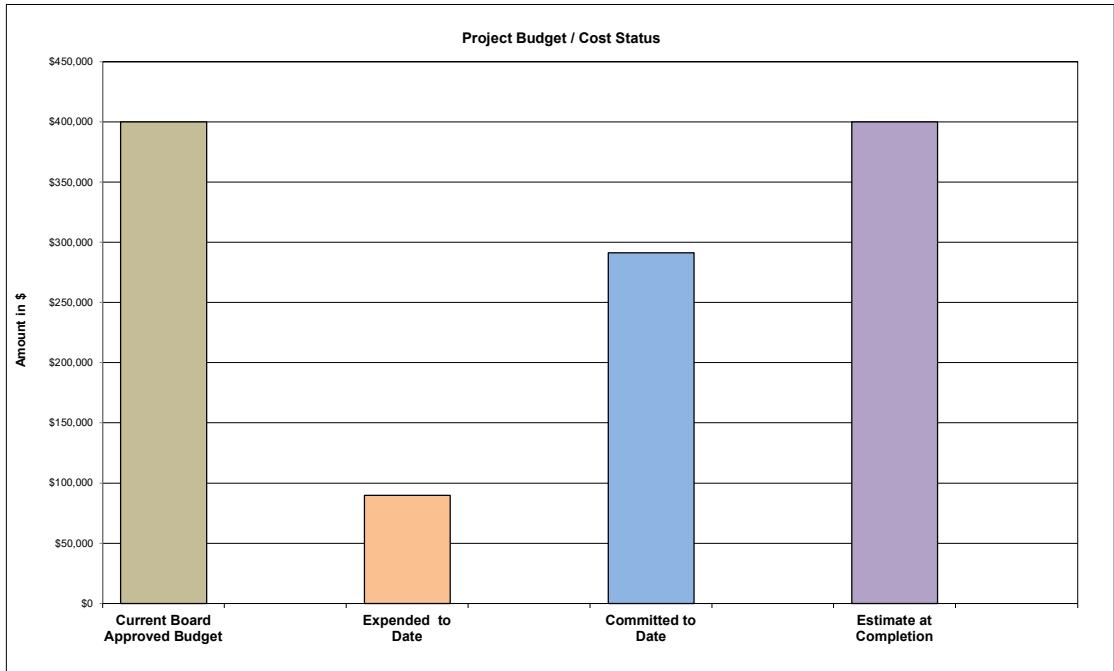
**Issues:** Changing subcontractor's project manager caused delay for equipment installation.

Automatic Passenger Counters at 4th & King

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$400,000</b>	<b>\$89,858</b>	<b>\$291,500</b>	<b>\$400,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.

**BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT**

SCOPE	SCHEDULE	BUDGET/COST	SAFETY
			

**SCOPE:**



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

**Issues:**

None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	2020			2021			2022				
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
100439 - Bayshore Overpass Rehabilitation		01-Feb-20 A	28-Jan-23											
Constructability		01-Feb-20 A	31-Jul-20 A											
Bid & Award		01-Aug-20 A	31-Mar-22											
Construction		01-Apr-22	30-Nov-22											
Project Close Out		01-Dec-22	28-Jan-23											

**Progress:**

Apr - Jun 2021

- (1) Working with C&P to review IFB package.
- (2) Continued to work with C&P for procurement activities.
- (3) Continued to work with Real Estate team to identify required permits during Construction activities.
- (4) Continued to work with project controls, budgets, and grants to identify additional funds to support full construction and closeout activities.
- (5) Continued to work with Operations and PCEP team to mitigate future project issues during construction activities.

**Future**

**Activities:**

Jul - Sep 2021

- (1) Continue to work with C&P to review IFB package.
- (2) Work with Engineering to confirm painting activities is ok to proceed prior to PCEP's grounding and bonding activities at the Bayshore station.
- (3) Work with Rail Operations and Maintenance, Rail Contracts and Budgets, and Grants in securing the funding source to fund actual construction activities and other soft costs.
- (4) Continue to work with Operations and PCEP team to mitigate future project issues during construction activities.

**Issues:**

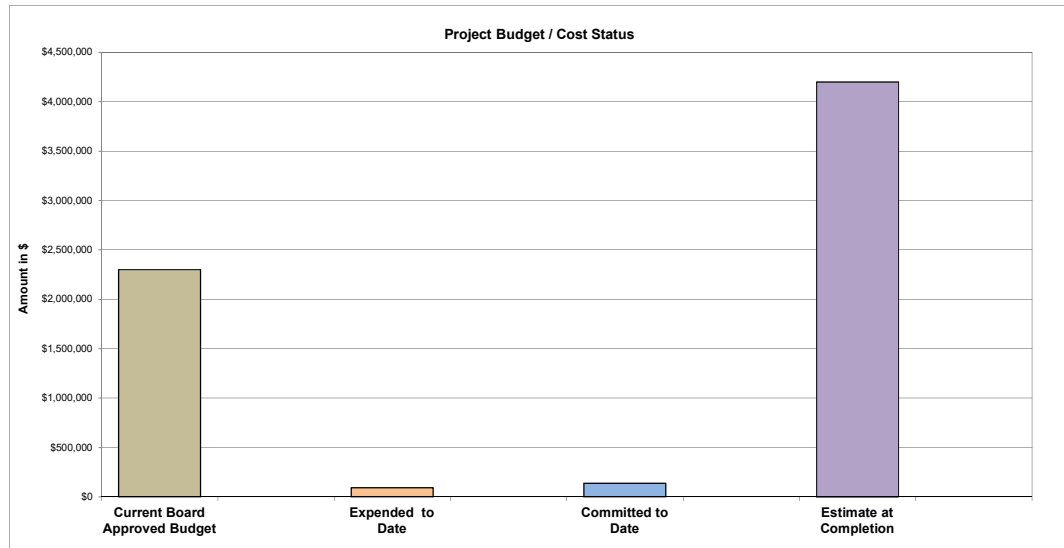
- (1) Scope of work, cost estimate and construction schedule are currently under revision with design consultant.
- (2) Project and PCEP teams working to resolve containment system and overhead wire needs.
- (3) Working to secure sufficient funding for construction.
- (4) Project schedule has been delayed due to the budget issues.

**BAYSHORE STATION OVERPASS PEDESTRIAN BRIDGE REHAB PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$2,300,000</b>	<b>\$93,188</b>	<b>\$136,720</b>	<b>\$4,200,000</b>	<b>(\$1,900,000)</b>



**Issues:**

- (1) Additional funding is needed according to the latest revised construction estimate and previous bids of 2015.
- (2) Project EAC has been increased after latest review of project total cost which includes the construction phase.

**SAFETY:**

No incidents reported this quarter.



**Broadband Communication**



**SCOPE:**



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

The current project scope is for the design only.

**Issues:** None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	Timeline												
				2020	2021	2022	2023									
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100403	<b>Broadband Communication</b>	11-Nov-19 A	31-Dec-23													
	Planning	11-Nov-19 A	30-Nov-20 A													
	Bid & Award	01-Jul-21	02-Feb-22													
	Construction	03-Feb-22	30-Sep-23													
	Project Close Out	01-Oct-23	31-Dec-23													

**Note:** Design has been paused to allow for a 3rd party review of the project implementation plan, team and the current conceptual design by Xentrans. The 3rd party reviewed the implementation plan and recommended a Request For Proposal solicitation to evaluate different technologies and business models.

**Progress:**

- Apr - Jun 2021
- (1) Continued to work on the Request for Proposal (RFP) with Contracts & Procurement. Completed all the technical attachments for the RFP.
  - (2) Continued to work with Engineering to decide the best location for the pilot demonstration.
  - (3) Surveyed and selected the location for the pilot demonstration.

**Future**

**Activities:**

- Jul - Sep 2021
- (1) Issue and advertise the Request for Proposal (RFP).

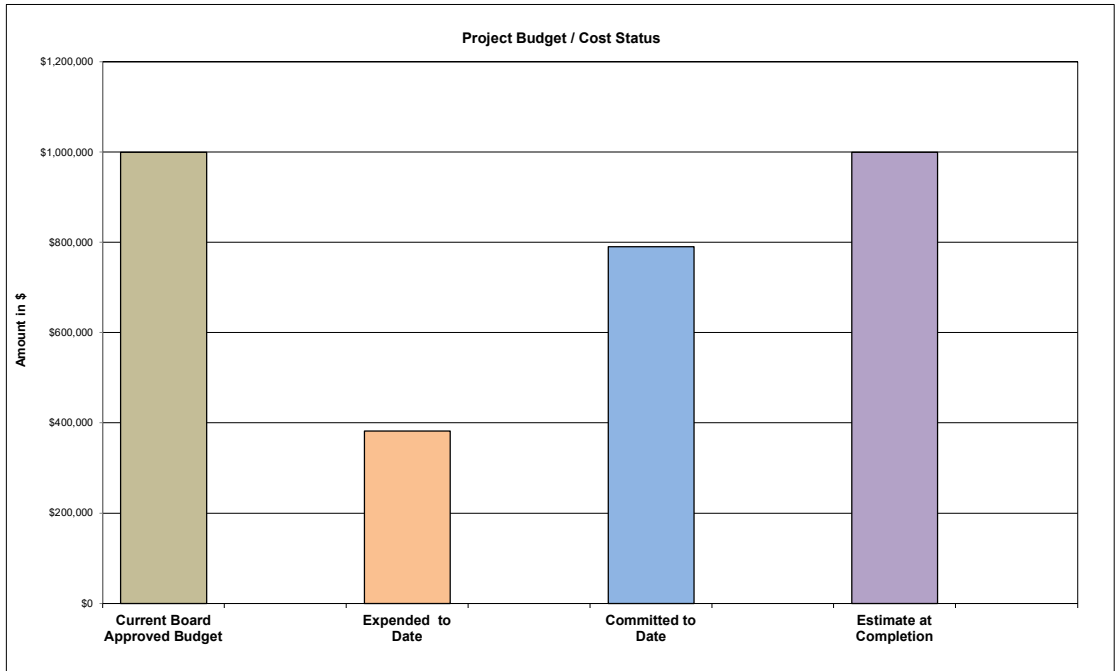
**Issues:** None.

Broadband Communication

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$1,000,000</b>	<b>\$382,097</b>	<b>\$790,737</b>	<b>\$1,000,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.



**BURLINGAME BROADWAY GRADE SEPARATION PROJECT**

<p>SCOPE</p>	<p>SCHEDULE</p>	<p>BUDGET/COST</p>	<p>SAFETY</p>
--------------	-----------------	--------------------	---------------

**SCOPE:**



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

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

**Issues:** None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	Timeline													
				2018	2019	2020	2021	2022	2023								
100244	Burlingame Broadway Grade Sep	18-Dec-17 A	30-Sep-23														
	Preliminary Engineering 35%	18-Dec-17 A	30-Oct-19 A														
	Environmental Clearance/ Permits	01-Dec-19 A	08-Oct-20 A														
	Final Design	04-Jan-21 A	30-Sep-23														

**Progress:**

- Apr - Jun 2021
- (1) Met with the City of Burlingame to discuss Value Engineering (VE) Options. JPB is considering doing a risk analysis to address the City's concerns.
  - (2) Started geotechnical investigation.
  - (3) Design team continued working on those elements of the project which are not impacted by VE Options.

**Future**

**Activities:**

- Jul - Sep 2021
- (1) Hold JPB internal workshop/meeting to discuss City of Burlingame's concerns regarding VE Option #3 and draft a response.
  - (2) Agree upon VE Options 1, 2 4 & 5 with City of Burlingame and proceed to 65% design
  - (3) Finalize bus stop locations at Broadway station.
  - (4) Continue 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.
  - (5) Propose bike path configuration around the future, grade-separated Broadway station.

**Issues:**

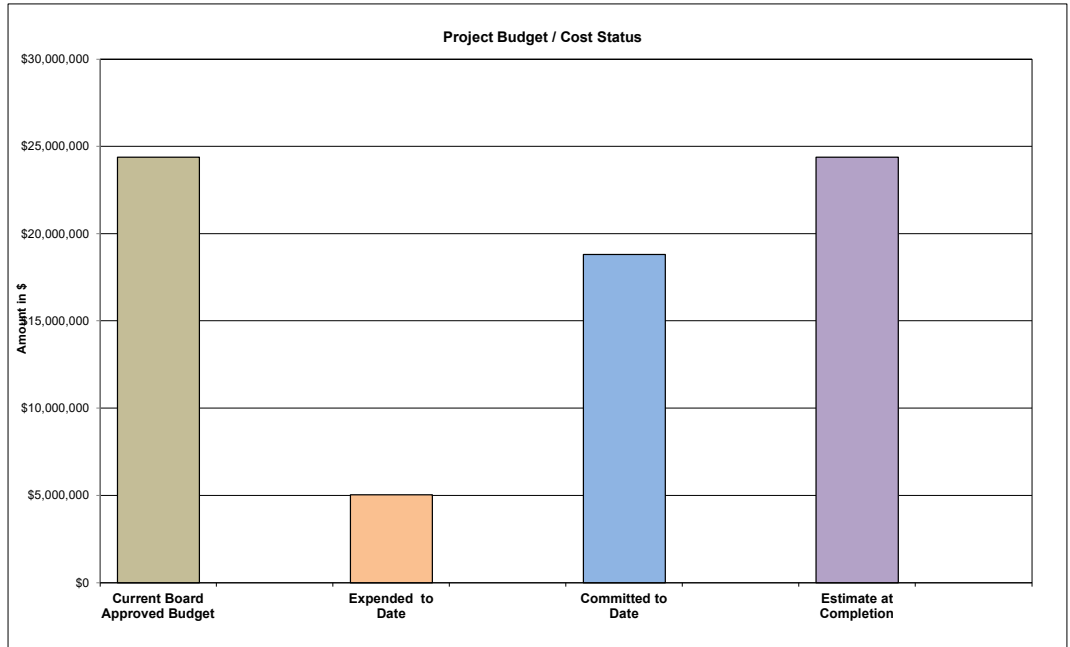
Some issues are still being worked out between the City and Caltrain, specifically as it relates to VE option #3 (side boarding platform vs. center boarding platform). This has caused some delay in the overall design effort but the consultant is mitigating this schedule impact by advancing other aspects of the project that are not affected by this

**BURLINGAME BROADWAY GRADE SEPARATION PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$24,388,000</b>	<b>\$5,028,249</b>	<b>\$18,812,319</b>	<b>\$24,388,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:** No incidents reported this quarter.



CCF AND BCCF VIRTUALIZATION PROJECT



**SCOPE:**

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



**Issues:** None.

**SCHEDULE:**



Activity	Activity Name	Start	Finish	2020 2021 2022											
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100430 - CCF and BCCF Virtualization		10-Feb-20 A	15-Mar-21 A												
Project schedule for Phase Two will be updated.															

**Notes:** (1) Project schedule for Phase Two will be updated.

**Progress:**

Apr - Jun 2021

- (1) Conducted multiple meetings to define an approach on Phase two.
- (2) Reviewing final BOM/SOW.
- (3) Making BOM adjustments – need to revise it to stay within the budget limits. Conducting technical sessions with CDW-G to review different scenarios in order to minimize BOM.

**Future Activities:**

Jul - Sep 2021

- (1) Finalize BOM/SOW.
- (2) Submit to C&P for next step.

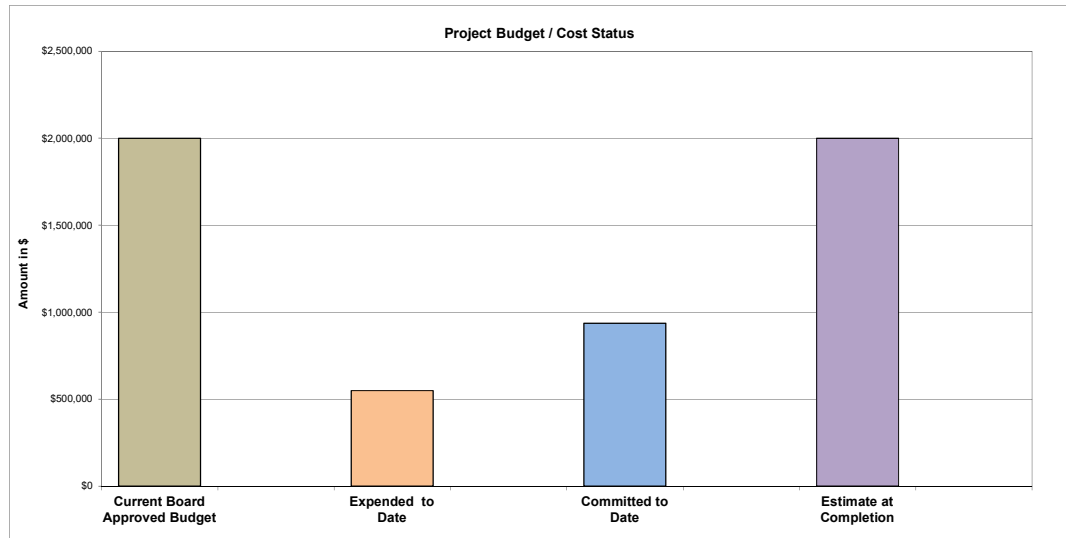
**Issues:** None.

**CCF AND BCCF VIRTUALIZATION PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$2,000,000</b>	<b>\$549,493</b>	<b>\$936,440</b>	<b>\$2,000,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:** No incidents reported this quarter.



**CHURCHILL AVENUE GRADE CROSSING**

SCOPE	SCHEDULE	BUDGET/COST	SAFETY

**SCOPE:**



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

**Issues:** None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish														
				2020	2021			2022			2023						
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100426 -	Churchill Avenue Grade Crossing	01-Sep-19 A	31-Mar-23														
+ Preliminary Engineering		01-Sep-19 A	30-Sep-21														
+ Procurement		01-Oct-21	31-Mar-22														
+ Construction		01-Apr-22	31-Dec-22														
+ Project Close Out		01-Jan-23	31-Mar-23														

**Progress:**

- Apr - Jun 2021
- (1) City of Palo Alto to approved conceptual design. JPB agreed the city will be responsible for the sidewalk improvements and JPB will install the guardrails.
  - (2) Continued to coordinate the design with the City of Palo Alto design consultant.
  - (3) JPB reviewed the 65% design and provided comments to the designer.
  - (4) Received a proposal for the work directive for design review services.

**Future**

**Activities:**

- Jul - Sep 2021
- (1) Continue coordinate the design with the City of Palo Alto.
  - (2) Issue work directive to consultant for design review.

**Issues:**

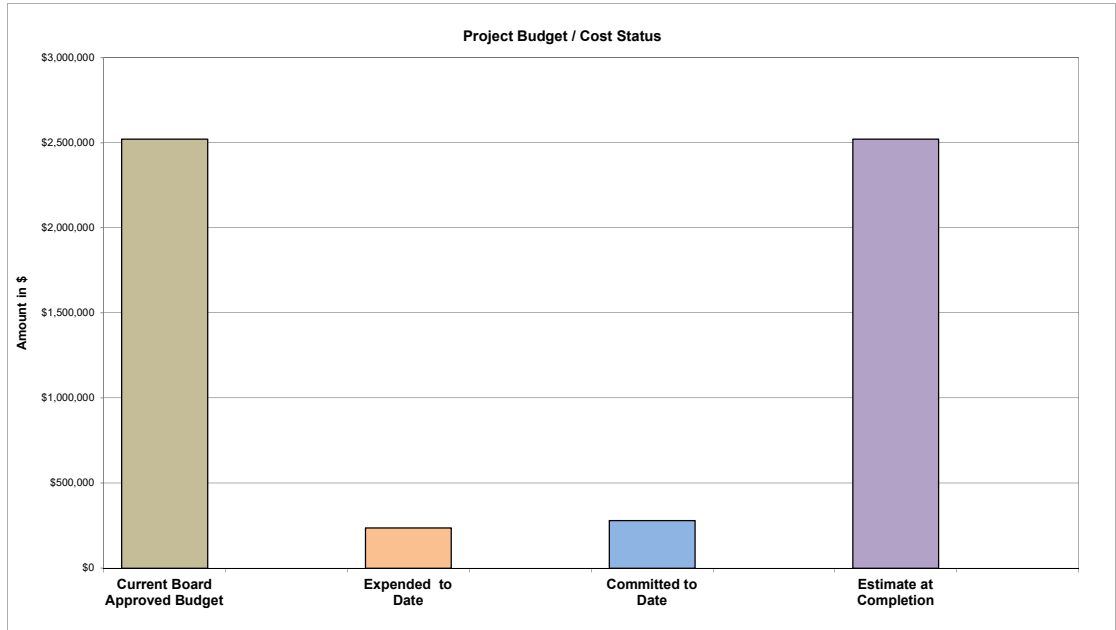
- (1) Delay caused by the City of Palo Alto and their design schedule. We have regular meetings with the City of Palo Alto, Caltrans and CPUC and they all realize that the city is holding up our design effort. We'll continue to meet to coordinate the designs but the funding sponsors are aware of the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

**CHURCHILL AVENUE GRADE CROSSING**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$2,520,000</b>	<b>\$235,180</b>	<b>\$278,521</b>	<b>\$2,520,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:** No incidents reported this quarter.



**FY19 & 20 GRADE CROSSING IMPROVEMENTS PROJECT**



**SCOPE:**



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

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

**San Mateo**

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

**Menlo Park**

- > Glenwood
- > Oak Grove in Menlo Park.

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

**Issues:** None.

**SCHEDULE:**



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

**Progress:**

Apr - Jun 2021

- (1) Installed the medians at 1st, 2nd and 3rd Ave in San Mateo on the west side of the tracks.
- (2) Installed the bollards on the medians at San Mateo.
- (3) Coordinated the work on the east side of 3rd Ave with the building developer who is performing street work on 3rd Ave.
- (4) Installed both medians at Glenwood in Menlo Park and also completed the striping work at Glenwood.
- (5) Installed the median at Oak Grove in Menlo Park and the east median on 3rd Ave.
- (6) Completed all pavement striping.

**Future**

**Activities:**

Jul - Sep 2021

- (1) Install the bollards on the east median on 3rd Ave.
- (2) City inspection and develop punchlist for the contractor.
- (3) Complete the construction phase.

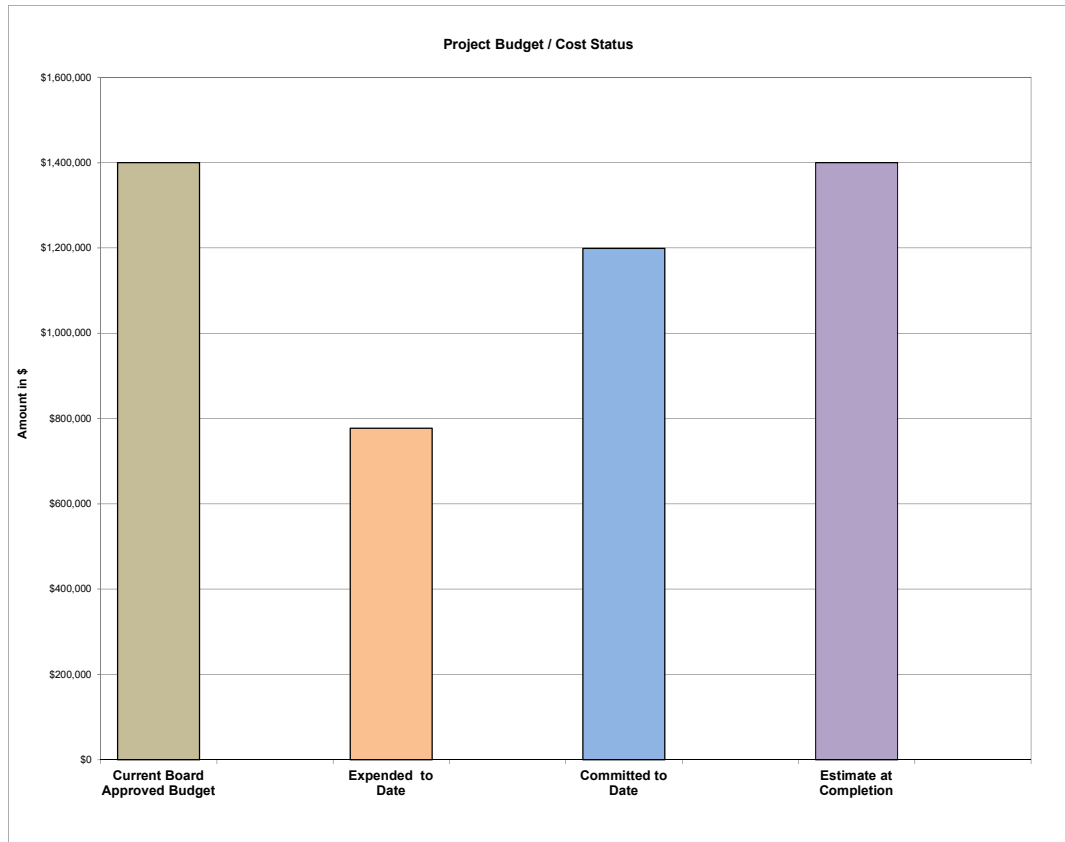
**Issues:** None.

**FY19 & 20 GRADE CROSSING IMPROVEMENTS PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$1,400,000</b>	<b>\$777,674</b>	<b>\$1,199,248</b>	<b>\$1,400,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:** No incidents reported this quarter.





**GUADALUPE RIVER BRIDGES REPLACEMENT AND EXTENSION PROJECT**



**SCOPE:**



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

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

The current scope, budget and estimate at completion is through final design only.

**Issues:** None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	2017	2018	2019	2020	2021	2022
				Q3	Q4	Q1	Q2	Q3	Q4
002113 - Guadalupe Bridge Replacement		21-Aug-17 A	31-Dec-21						
+	Preliminary Engineering 35%	21-Aug-17 A	30-Apr-20 A						
+	Preliminary Engineering 65%	11-May-20 A	30-Nov-20 A						
+	Environmental Clearance/ Permits	07-Aug-18 A	27-Apr-21 A						
+	Final Design/ROW Clearance	01-Dec-20 A	31-Dec-21						

**Progress:**

- Apr - Jun 2021
- (1) JPB received approval from FTA to concur with NEPA- Documented Categorical Exclusion (DEC) for the project to move forward.
  - (2) Proceeded working on 100% design.
  - (3) Continued on-going negotiations between PCJPB, Legal and UPRR and most likely be resolved in Arbitration proceeding before project goes into construction.
  - (4) Continued In-House discussions regarding Fiber Optic (FO) relocation.
  - (5) Conducted meetings with Environmental teams who will be helping with Habitat mitigation and Fish & Wildlife for securing the permits.

**Future**

**Activities:**

- Jul - Sep 2021
- (1) Receive an update with regards to the Arbitration proceedings with UPRR from the legal team.
  - (2) Continue working on the 100% design and expect design documents for review.

**Issues:**

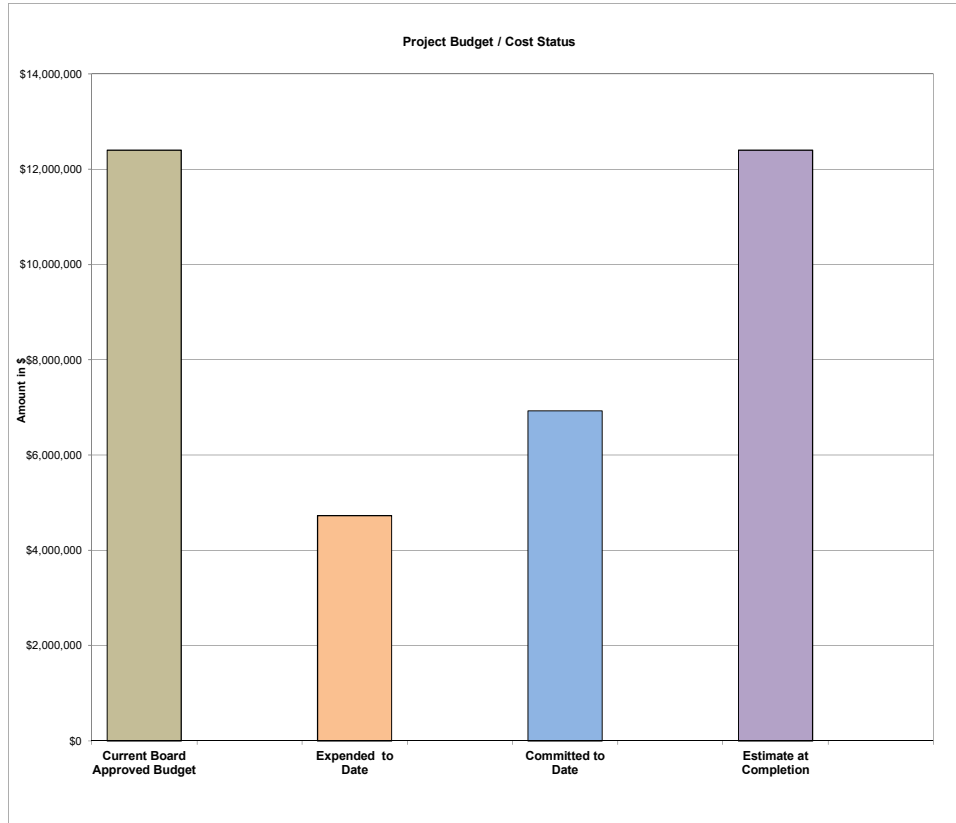
- (1) Design and relocation of the conflicting OCS poles will add cost and time to the project schedule.
- (2) Negotiations with UPRR on cost sharing and fiber relocation has potential impact on project schedule. Guadalupe River has regulatory restrictions on in-water work windows. Small delays have potential to push work into following years in-water work window.

**GUADALUPE RIVER BRIDGES REPLACEMENT AND EXTENSION PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$12,400,000</b>	<b>\$4,728,192</b>	<b>\$6,927,534</b>	<b>\$12,400,000</b>	<b>\$0</b>

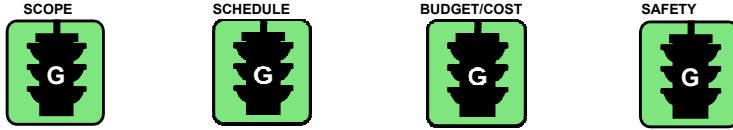


**Issues:** None.

**SAFETY:** No incidents reported this quarter.



**MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT**



**SCOPE:**



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

**Issues:**

None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	Timeline																			
				2015	2016	2017	2018	2019	2020	2021	2022												
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	
002080 - Marin Street & Napoleon Bridge Closure		01-Dec-14 A	31-Dec-21																				
▢ Preliminary Engineering		01-Dec-14 A	30-Apr-16 A																				
▢ Engineering Design		01-May-16 A	31-Aug-19 A																				
▢ Revised Final Design		06-Jan-20 A	15-Feb-20 A																				
▢ Bid & Award		16-Feb-20 A	09-Jul-20 A																				
▢ Construction		01-Aug-20 A	31-Aug-21																				
▢ Project Close Out		02-Sep-21	31-Dec-21																				

**Progress:**

Apr - Jun 2021

- (1) Continued weekly meeting with contractors for RFIs/Submittals/Any potential stage construction issues etc.
- (2) Completed replacement of Napoleon bridge over two full shutdown bus bridge weekends.
- (3) Removed temporary triple box culvert protective bridge at Napoleon.
- (4) Began railing and walkway installation at Napoleon and Marin bridges.
- (5) Completed replacement of spot ties on MT1 and MT2.
- (6) Completed slope protection work, lagging and ramps at Marin St. Bridge.
- (7) Completed track realignment work.
- (8) Replaced east rail of MT2 with new 136 lb CWR on weekend of June 26th.
- (9) Completed retaining walls at Napoleon Street bridge.
- (10) Poured closure pours at Napoleon bridge.
- (11) Began bonding work at Marin and Napoleon bridges.

**Future**

**Activities:**

Jul - Sep 2021

- (1) Continue weekly meeting with contractors for RFIs/Submittals/Any potential stage construction issues etc.
- (2) Complete bonding at Marin and Napoleon Street bridges.
- (3) Complete CWR replacement work.
- (4) Complete backfilling of retaining walls at Napoleon after completion of bonding.
- (5) Begin cleanup and preliminary punchlist work.
- (6) Complete construction and begin project closeout.

**Issues:**

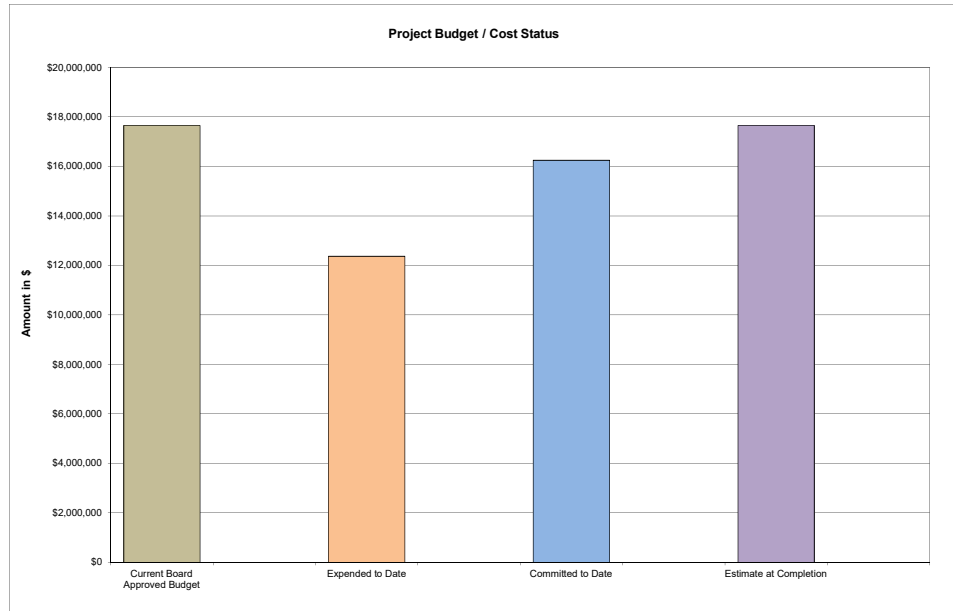
None.

**MARIN AND NAPOLEON BRIDGE REPLACEMENT PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$17,650,000</b>	<b>\$12,366,142</b>	<b>\$16,249,310</b>	<b>\$17,650,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT



**SCOPE:**



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

**Issues:**

None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	Timeline												
				2018	2019	2020	2021									
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100278	Mary Avenue Traffic Signal	01-Feb-18 A	31-Jan-22	[Gantt chart showing project duration from Feb 2018 to Jan 2022]												
	Final Design	01-Feb-18 A	06-May-20 A	[Gantt chart showing Final Design from Feb 2018 to May 2020]												
	Bid & Award	07-May-20 A	20-Jul-20 A	[Gantt chart showing Bid & Award from May 2020 to Jul 2020]												
	Construction	21-Jul-20 A	31-Oct-21	[Gantt chart showing Construction from Jul 2020 to Oct 2021]												
	Project Close Out	01-Nov-21	31-Jan-22	[Gantt chart showing Project Close Out from Nov 2021 to Jan 2022]												

**Progress:**

- Apr - Jun 2021
- (1) Finalized the cutover and test plan.
  - (2) Fixed the communication cable which was damaged by a different project.
  - (3) Worked on scheduling the cutover and test plan.
  - (4) The cutover and testing is scheduled for the weekend of July 10th.

**Future**

**Activities:**

- Jul - Sep 2021
- (1) Wait until the City of Sunnyvale is ready to test with their new intersection equipment for advance signal preemption.
  - (2) Start testing the new equipment.

**Issues:**

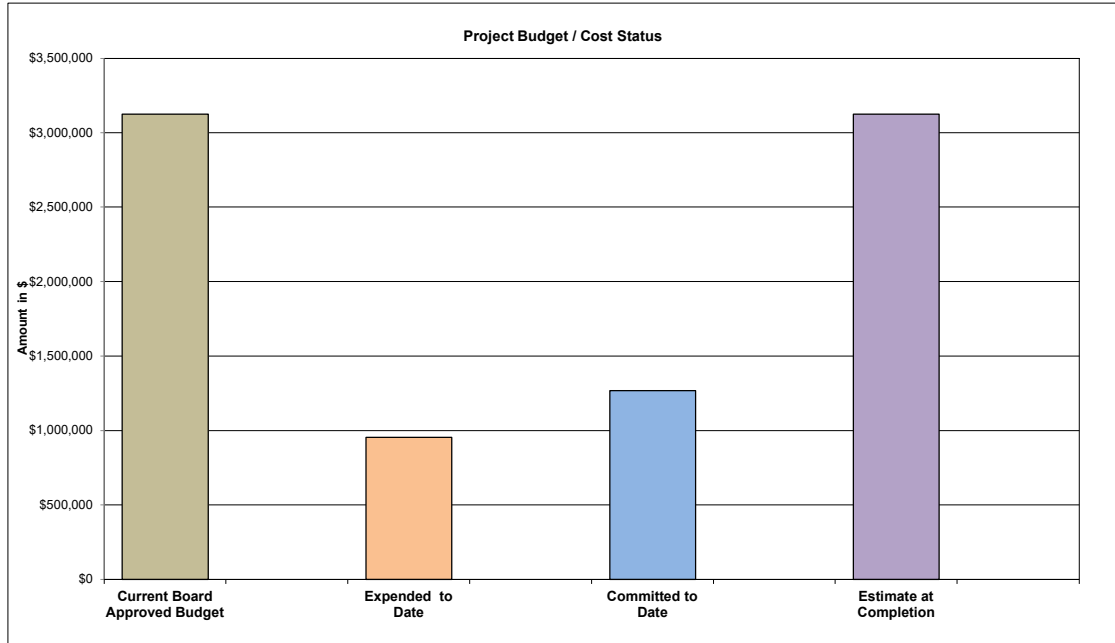
None.

MARY AVENUE TRAFFIC SIGNAL PREEMPTION PROJECT

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$3,125,000</b>	<b>\$955,740</b>	<b>\$1,269,345</b>	<b>\$3,125,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.

**MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT**



This project will perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul of the locomotives shall include complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and the replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive carbody, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The project work shall be completed off-site at the contractor's facility location. Project also includes onsite inspection and contract management by JPB's vehicle consultant. Final acceptance of the completed locomotive overhaul will be conducted at the JPB's CEMOF facility in San Jose. The six locomotives are:

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

**Issues:** None.

**SCHEDULE:**



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

**Progress:**

Apr - Jun 2021

- (1) 927 interior painting was in progress.
- (2) 927 exterior sandblasting/priming was 90% complete.
- (3) 927 interior/underframe painting completed, fuel tank installed.
- (4) The paint work has fallen behind schedule.
- (5) Alstom was having difficulty getting small supporting parts, this is delaying the installation of the major components already on-site waiting for installation.
- (6) Installed 927 main engine, trucks, under-frame piping and tanks .
- (7) The 927 was 61% complete.

**Future**

**Activities:**

Jul - Sep 2021

- (1) To install sand boxes and control wiring of 927 .
- (2) 927 will be 70% complete.
- (4) Begin stripping/dis-assembling of 924.

**Issues:**

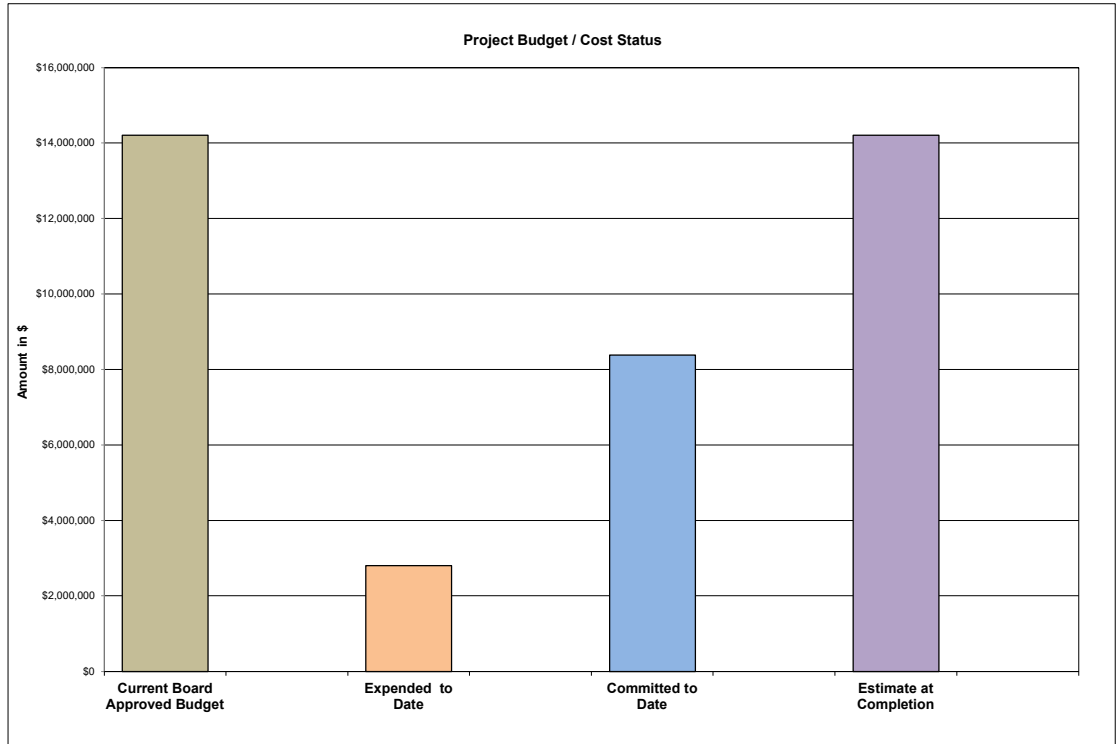
COVID-19 has caused supplier delays and delays in production due to positive tested employees, the new completion date for the 927 will be in June 2021.

**MP-36 LOCOMOTIVE MID-LIFE OVERHAUL PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$14,209,714</b>	<b>\$2,807,055</b>	<b>\$8,382,766</b>	<b>\$14,209,714</b>	<b>\$0</b>



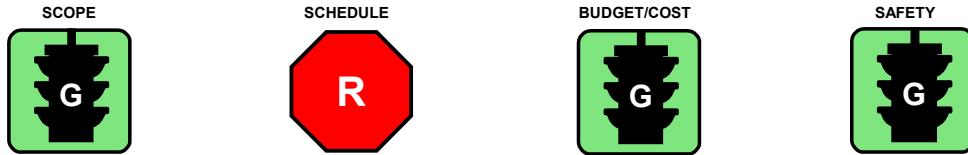
**Issues:** None.

**SAFETY:** No incidents reported this quarter.





Next Generation Visual Message Signs (VMS) & Pads



**SCOPE:**



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

**Issues:** None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	2020				2021					
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1		
100449	Next Generation Visual Message Signs (VMS)	01-May-20 A	14-Jan-22										
	Design	01-May-20 A	29-Oct-21										
	Project Close Out	30-Oct-21	14-Jan-22										

**Progress:**

Apr - Jun 2021

- (1) Continued discussions with stakeholders about where to take this project moving forward.
- (2) Continued developing Concept of Operations every week with Operations and Engineering team.
- (3) Started collecting as-builts and other necessary information needed from the current Predictive Arrival and Departure system and Current VMS signs.
- (4) Continued adjusting requirements documents for both a new passenger information system and new visual message signs.
- (5) Reviewed Concept of Operations with Operations and Engineering team.
- (6) Team continued discussion on methodology for the passenger information system. Decided to pull data from EMU GPS system and work with ROCS. Currently in discussion with EMU team to see what kind of data pulling capabilities our team will have.

**Future**

**Activities:**

Jul - Sep 2021

- (1) Finalize Concept of Operations.
- (2) Continue meeting with stakeholders to have them agree upon the direction of the project moving forward.
- (3) Start Request for Proposal (RFP).

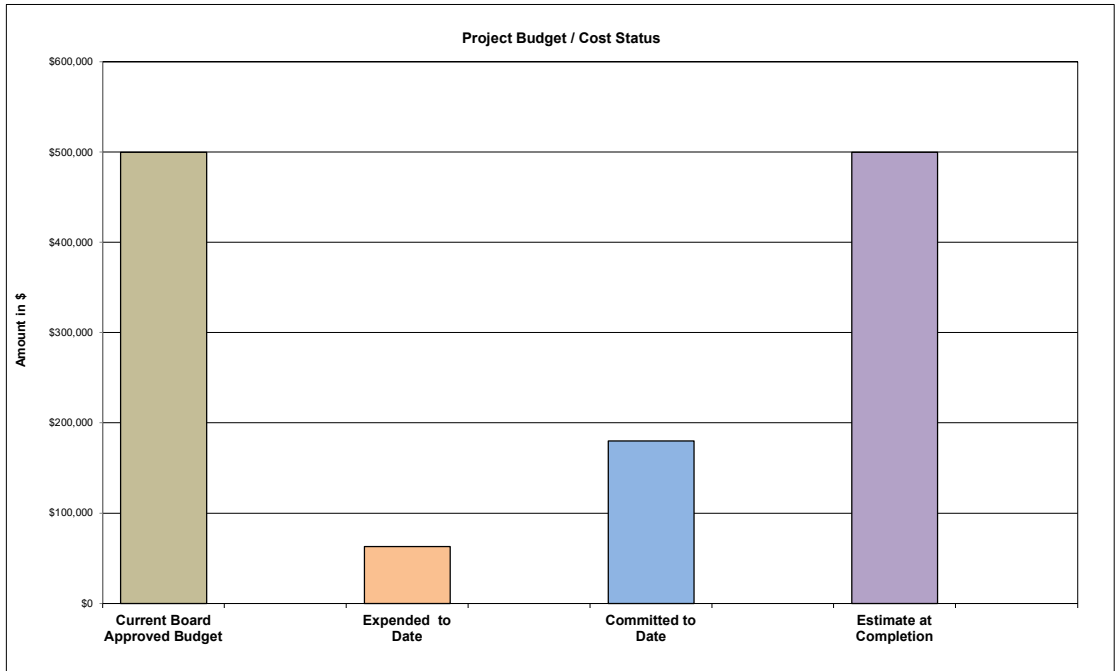
**Issues:** The schedule has been extended to add more time for reviewing documents.

Next Generation Visual Message Signs (VMS) & Pads

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$500,000</b>	<b>\$63,194</b>	<b>\$180,173</b>	<b>\$500,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.

**RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019**

SCOPE	SCHEDULE	BUDGET/COST	SAFETY

**SCOPE:**



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

The project will conduct the following tasks:

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

**Issues:**

None.

**SCHEDULE:**



Activity ID	Start	Finish	2019				2020				2021				
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
100406 - FY19 RR Communication System	20-May-19 A	30-Sep-21													
Bid & Award	20-May-19 A	20-Nov-19 A	==												
Testing	21-Nov-19 A	28-Aug-21					==								
Project Close Out	30-Aug-21	30-Sep-21													■

**Progress:**

Apr - Jun 2021

- (1) Continued to work on Concept of Operations. Working with EMU team to see what kind of GPS data can be offered for the new PADS system.
- (2) Contined resolving concerns on the selection of the voice base station radio.

**Future**

**Activities:**

Jul - Sep 2021

- (1) Reach out to external stakeholders.
- (2) Continue work on Concept of Operations.
- (3) Receive workplan approval.
- (4) Finalize the requirement documents.
- (5) Prepare Request For Proposal (RFP).

**Issues:**

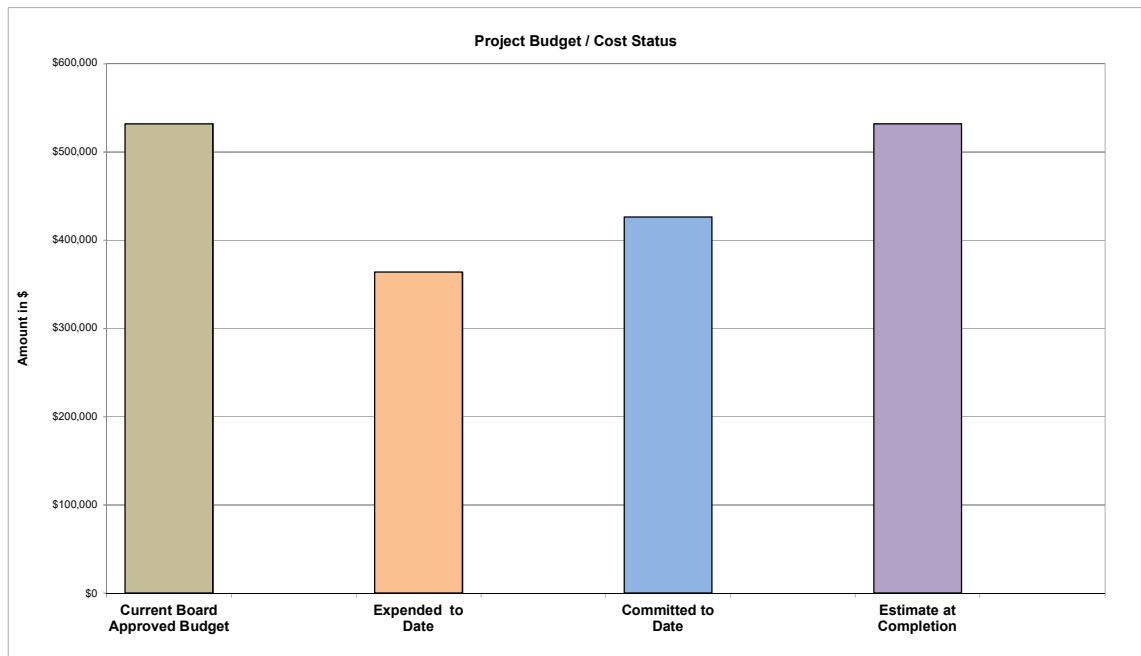
Schedule delay is due to COVID-19 shelter in place order causing the contractor to restrict travel of its personnel.

**RAILROAD COMMUNICATION SYSTEM PROJECT - FY2019**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$532,000</b>	<b>\$363,917</b>	<b>\$426,207</b>	<b>\$532,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.

**RENGSTORFF AVENUE GRADE SEPARATION**



**SCOPE:**



The project proposes to replace the existing at-grade train crossing at Rengstorff Avenue with a grade separated crossing in the City of Mountain View. In 2014, the City of Mountain View completed a Rengstorff 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 Rengstorff Avenue and its connecting roadways, including Central Expressway.

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

**Note:**

The current scope, budget and estimate at completion is through preliminary design only.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	Timeline																
				Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4							
100482 - Rengstorff Avenue Grade Crossing		05-Aug-19 A	30-Sep-21																	
+	Preliminary Engineering	05-Aug-19 A	01-Jul-21																	
+	Environmental Clearance	27-Mar-20 A	30-Sep-21																	

**Progress:**

Apr - Jun 2021

- (1) Continued working toward Environmental Clearance.
- (2) Conducted team meeting with the County, City of Mountain View (COMV), JPB and the design team (AECOM) comments were responded and forwarded to the COMV for distribution.
- (3) Conducted Team meeting with Silicon Valley Bike Coalition (SVBC) and presented the current geometric design layout and bike/ pedestrian circulation.
- (4) AECOM completed the preliminary construction estimate and forwarded to City for their comments.
- (5) Continued preparation of Power Point Presentation (PPP) for the Caltrain Bicycle Advisory Committee (CBAC) meeting to be held in the July 2021. Working closely with JPB Government & Public Affair.

**Future**

**Activities:**

Jul - Sep 2021

- (1) JPB and City to provide comments to AECOM for the preliminary project estimate.
- (2) Present the Caltrain Bicycle Advisory Committee (CBAC) scheduled in July 2021.

**Issues:**

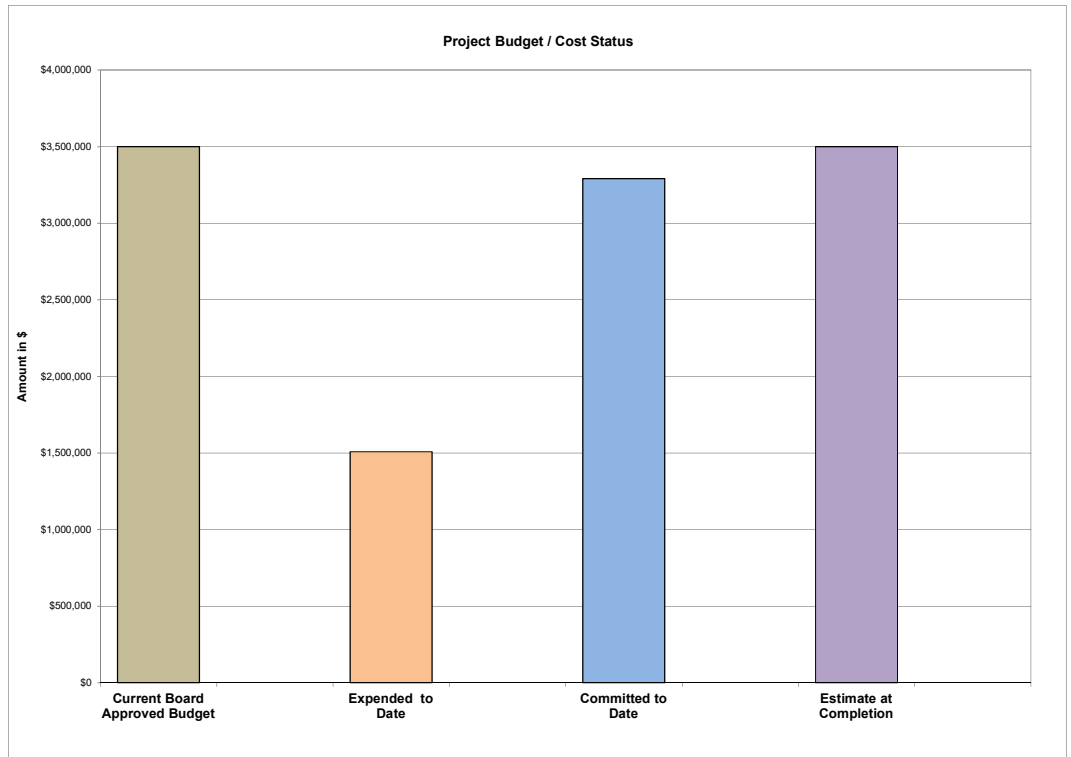
- (1) Design team waiting for direction from the City and Amendment Approval from PCJPB to proceed with more Geoetch and Traffic investigation work.
- (2) High water table was found at the project location that may affect the structural design.
- (3) Preliminary design was extended to July 01, 2021.

**RENGSTORFF AVENUE GRADE SEPARATION**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$3,500,000</b>	<b>\$1,507,989</b>	<b>\$3,291,627</b>	<b>\$3,500,000</b>	<b>\$0</b>



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

**SAFETY:** No incidents reported this quarter.



RIGHT OF WAY FENCING PROJECT



**SCOPE:**



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

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

More locations for ROW fence have been identified and added to the project using the remaining funds after Option 2 has been concluded.

**Issues:** None.

**SCHEDULE:**



Activity ID	Start	Finish	2016												2017												2018												2019												2020												2021												2022											
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4																																																
100053 - Right of Way Fencing Project	02-Jun-16 A	31-May-22	[Gantt bars for each activity]																																																																																			
Construction (Base)	02-Jun-16 A	31-Mar-18 A	[Gantt bar]																																																																																			
Construction (Option 1)	16-Apr-18 A	31-Aug-19 A	[Gantt bar]																																																																																			
Construction (Option 2)	01-Dec-19 A	30-Nov-20 A	[Gantt bar]																																																																																			
Close Out (Option 2)	01-Dec-20 A	31-May-21 A	[Gantt bar]																																																																																			
Construction (TASI)	01-Jun-21 A	28-Feb-22	[Gantt bar]																																																																																			
Project Close Out	01-Mar-22	31-May-22	[Gantt bar]																																																																																			

**Progress:**

Apr - Jun 2021 (1) Golden Bay Fence Plus Iron Works was chosen as the contractor to resume fencing work.  
 (2) Continued closing the Option 2 contract with Agbayani.

**Future Activities:**

Jul - Sep 2021 (1) Golden Bay Fence Plus Iron Works.  
 (2) Complete closing option 2 contract with Agbayani.

**Issues:**

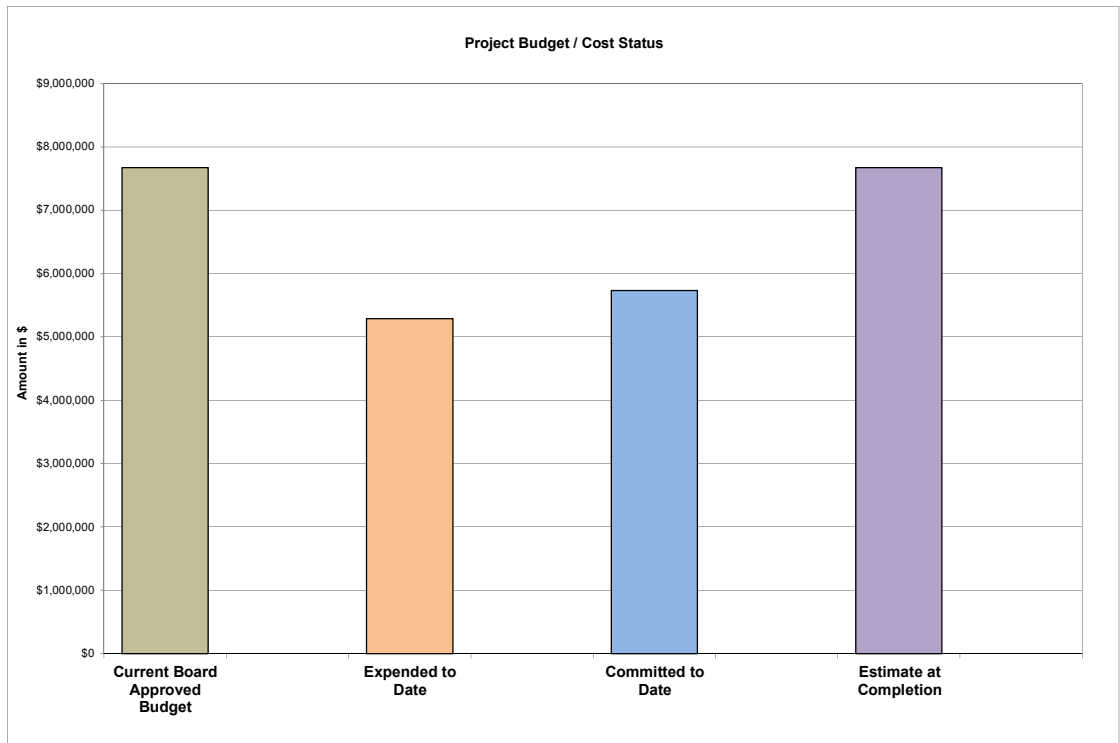
Option 2 contract expired in November 2020 and will not be extended. Remaining funds will be utilized to have TASI contractor Golden Bay Fence Plus Iron Works perform ROW fence work. New scope has added several more locations for fence to be installed that will secure and protect the ROW.

**RIGHT OF WAY FENCING PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$7,672,958</b>	<b>\$5,287,870</b>	<b>\$5,735,544</b>	<b>\$7,672,958</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.



San Francisquito Creek Bridge Replacement

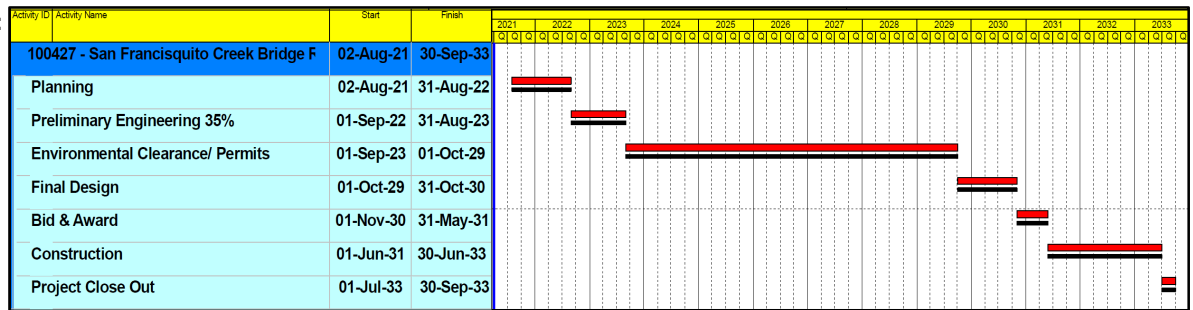


**SCOPE:** This project includes a detailed inspection conditions assessment of the San Francisquito Creek Bridge located in Palo Alto, California. The information from the inspection report will determine the potential options the project may consider. Please also note, this bridge is 119 years old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



**Issues:** None.

**SCHEDULE:**



**Progress:**

- Apr - Jun 2021. (1) Worked with Planning Team in reaching out to the neighboring agencies to provide updates for on-going and upcoming Capital projects.  
 (2) Worked with Rail Contract & Budgets and Contracts & Procurement for processing of work directives for the detailed conditions assessment feasibility study.  
 (3) Worked with Contracts and Procurement team to issue work directive for Detailed Conditions Assessment Study to HNTB.  
 (4) Worked with Rail Contracts and budgets team to issue work directive addendum for TASI support in regards to the future bridge inspection.

**Future**

**Activities:**

- Jul - Sep 2021 (1) Work with Consultant staff in preparing the site specific work plan for bridge inspection activities.  
 (2) Schedule kick-off meeting with Rail Operations & Maintenance team for specific TASI support during bridge inspection activities and overall game plan in the field.

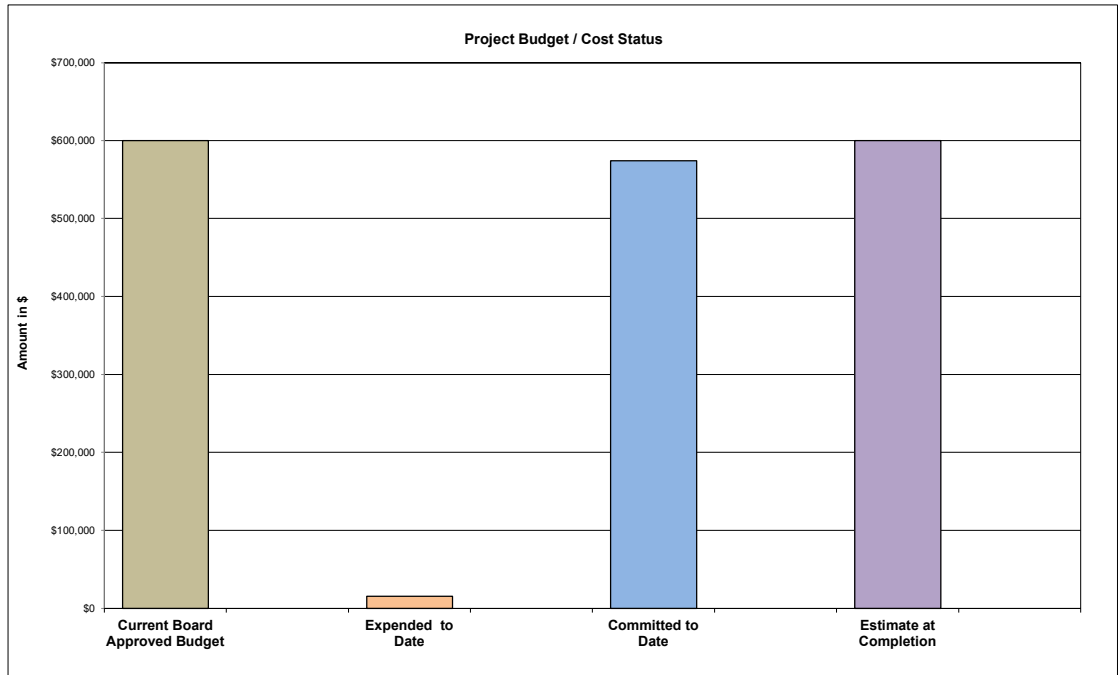
**Issues:** None.

San Francisquito Creek Bridge Replacement

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$600,000</b>	<b>\$15,551</b>	<b>\$574,368</b>	<b>\$600,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.

San Mateo Grade Crossing Improvements



**SCOPE:**



This project will design and implement safety improvement 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.

**Issues:**

None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	Timeline											
				2021			2022				2023				
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
100566	San Mateo Grade Crossing Improvements	01-Apr-21 A	31-Dec-23												
	Final Design	01-Apr-21 A	31-Dec-21	█	█	█									
	Bid & Award	01-Jan-22	31-Aug-22				█	█	█						
	Construction	01-Sep-22	01-Sep-23							█	█	█	█		
	Project Close Out	02-Sep-23	31-Dec-23												█

**Progress:**

- Apr - Jun 2021
- (1) Conducted the kick off meeting with the design firm Rail Surveyors & Engineers (RSE).
  - (2) Submitted the design firm forms to Caltrans Local Assistance.
  - (3) Submitted the first invoice to Caltrans Local Assistance.
  - (4) RSE submitted the 35% design.

**Future**

**Activities:**

- Jul - Sep 2021
- (1) Send the 35% design package to the stakeholders for review.

**Issues:**

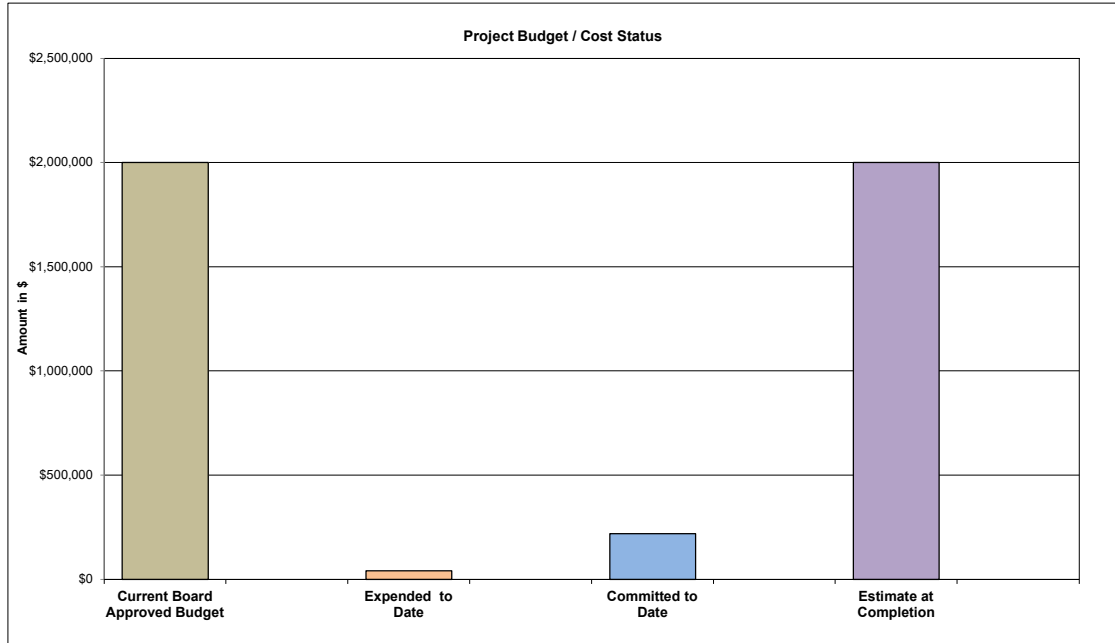
None.

San Mateo Grade Crossing Improvements

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
Total Project	\$2,000,000	\$42,471	\$219,887	\$2,000,000	\$0



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.

**SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT**



**SCOPE:**



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

Key elements of the project include:

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

**Issues:**

None.

**SCHEDULE:**



Activity ID	Start	Finish	2015				2016				2017				2018				2019				2020				2021				2022	
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
002146 - South San Francisco Station	01-Apr-15 A	31-Mar-22	[Gantt bar spanning from Q1 2015 to Q4 2021]																													
Engineering Design	01-Apr-15 A	17-Mar-17 A	[Gantt bar spanning from Q1 2015 to Q4 2016]																													
Contracts & Procurement (C&P)	18-Mar-17 A	06-Oct-17 A	[Gantt bar spanning from Q3 2016 to Q4 2017]																													
Construction	09-Oct-17 A	30-Nov-21	[Gantt bar spanning from Q4 2017 to Q4 2021]																													
Project Close Out	01-Dec-21	31-Mar-22	[Gantt bar spanning from Q4 2021 to Q1 2022]																													

**Note:** Schedule was rebaselined this quarter based on the revised construction completion date of November 30, 2021.

**Progress:**

Apr - Jun 2021

- (1) Completed installation of pump station wet well.
- (2) Completed removing old signal bridge and installed new signal cantilever.
- (3) Completed constructing tracks MT-1 and T-11.
- (4) **Ramp 1:** Completed installation of slab on grade and wall , stairs 1, pump station discharge pipe, roughing in conduits boxes and ground wires. Began wall form work. Began installing tile and water proofing.
- (5) **Ramp 2:** Completed installation of skylight, hand rails, light foundations and light poles. Began installing tile and water proofing.
- (6) **Ramp 3:** Completed installation of light foundations and light poles, testing of dry fire line. Began installing tile, water proofing, grading and landscaping at West Plaza.
- (7) **Poletti Way:** Completed installation of traffic signal cabinets, potholed, retaining wall and bus pad. Began sidewalk and gutter work.
- (8) **Station Platform:** Completed installation of communication cables, set edge forms, placed concrete and at-grade crossing gate arms
- (9) **Pedestrian Underpass:** Completed installation of precast sections, eastern triangle cast in place concrete, conduits and shotcrete work. Began installing tile and water proofing.

**Future**

**Activities:**

Jul - Sep 2021

- (1) **Ramp 1:** Complete tile work, water proofing and lighting.
- (2) **Ramp 2:** Complete slab on grade, tile work and water proofing.
- (3) **Ramp 3:** Complete tile work, water proofing, grading and landscaping at West Plaza.
- (4) **Poletti Way:** Complete sidewalk and gutter work, pedestrian traffic lights.
- (5) **Pedestrian Underpass:** Complete tile work, water proofing and lighting.

**Issues:**

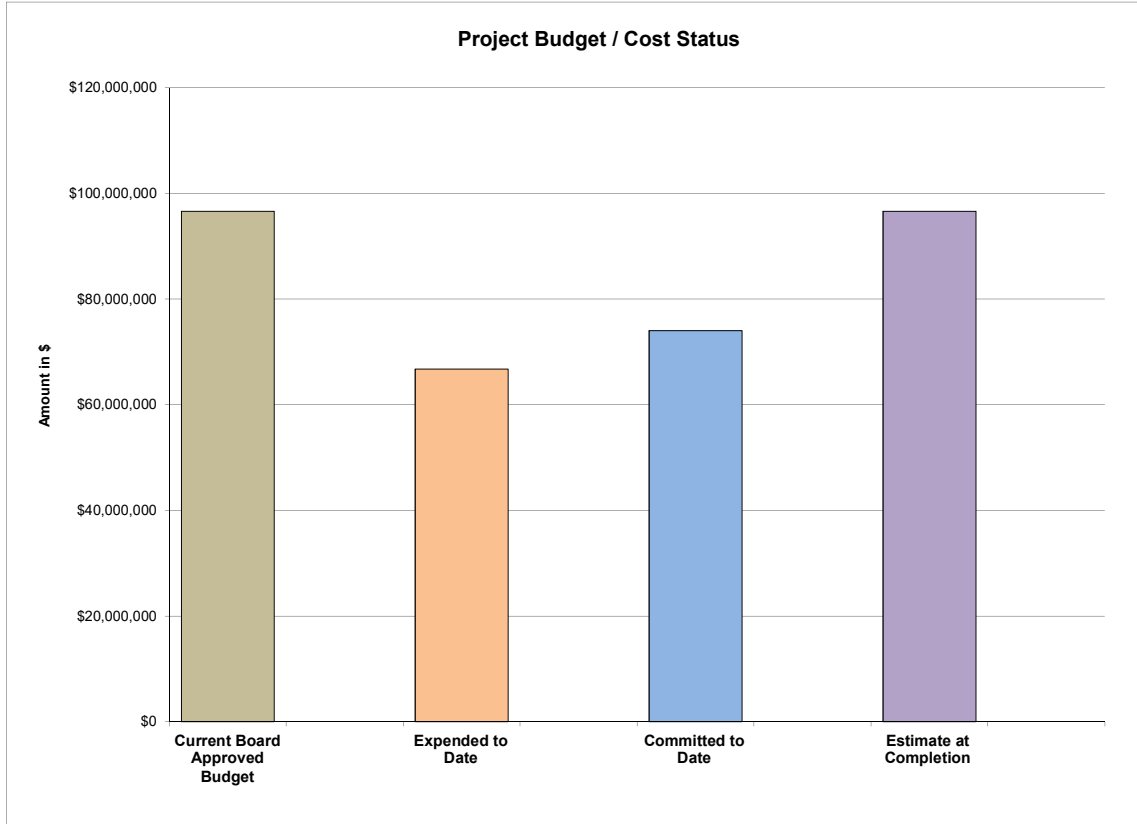
- (1) Getting power to station from PG&E. Issue has been elevated to PG&E management to resolve.
- (2) Getting water service from Cal Water. Working with Cal Water to mitigate.
- (3) Water leaking in the pedestrian underpass. Grouting is currently underway to eliminate leakage.

**SOUTH SAN FRANCISCO STATION IMPROVEMENT PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Project Total</b>	<b>\$96,600,000</b>	<b>\$66,699,976</b>	<b>\$74,005,813</b>	<b>\$96,600,000</b>	<b>\$0</b>



**Issues:** Estimate at Completion (EAC) and budget were increased this quarter. The Board approved the increase at the July 2021 Board meeting and is being reflected in this report.

**SAFETY:** No incidents reported this quarter.



**SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019**



**SCOPE:**



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

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

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

**Issues:** None.

**SCHEDULE:**



Activity ID	Start	Finish	2019			2020				2021			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
100405 - FY19 Systemwide Signal System	20-May-19 A	30-Sep-21											
Bid & Award	20-May-19 A	08-Jul-19 A											
Construction	09-Jul-19 A	30-Jun-21 A											
Project Close Out	30-Jun-21	30-Sep-21											

**Progress:**

- Apr - Jun 2021
- (1) Completed replacement of controllers.
  - (2) Began closing out TASI Work Directive.

**Future**

**Activities:**

- Jul - Sep 2021
- (1) Complete closing out TASI Work Directive.
  - (2) Complete project close out.

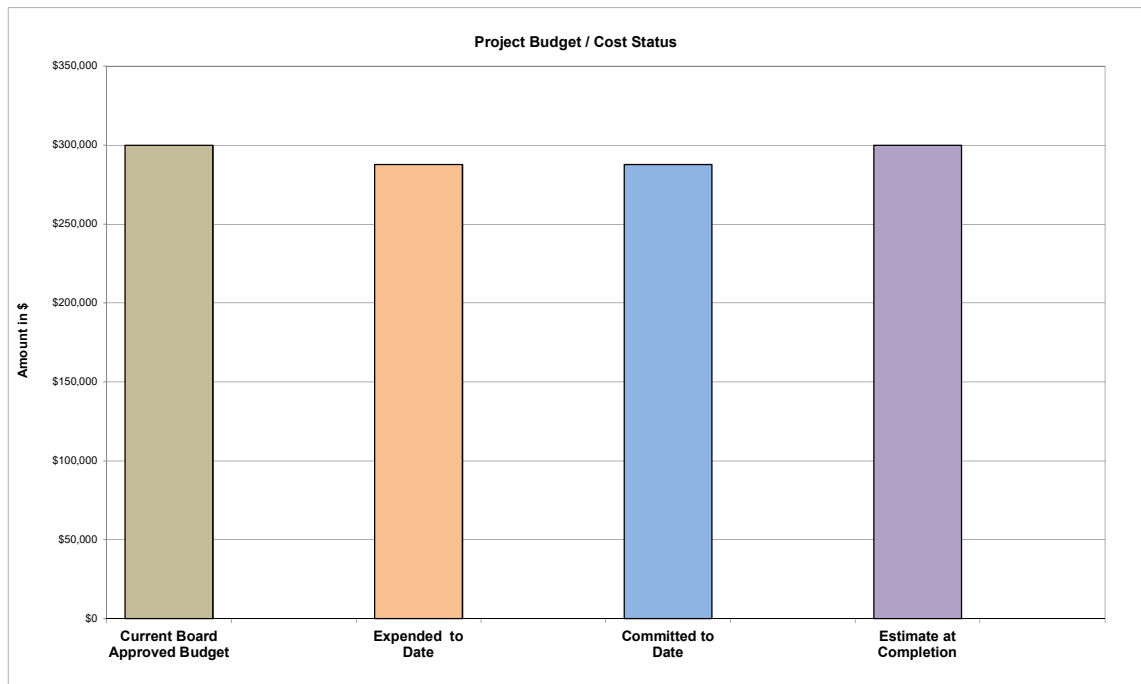
**Issues:** None.

**SYSTEMWIDE SIGNAL SYSTEM REHABILITATION PROJECT - FY2019**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$300,000</b>	<b>\$287,810</b>	<b>\$287,810</b>	<b>\$300,000</b>	<b>\$0</b>



**Issues:** None.

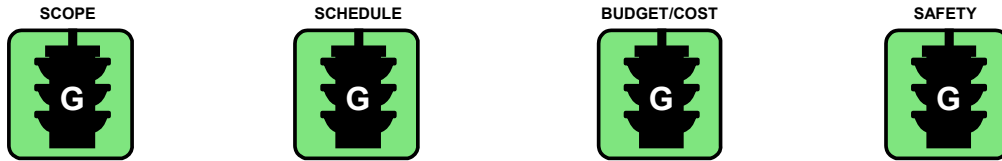
**SAFETY:**



No incidents reported this quarter.



**SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019**



**SCOPE:**



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

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

**Issues:** None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	Timeline																		
				2019			2020			2021			2022									
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4								
100230	FY19 Systemwide Track Rehabilitation Project	01-Jul-19 A	31-Mar-22																			
	ROW Maintenance	01-Jul-19 A	31-Dec-21																			
	Close Out	02-Jan-22	31-Mar-22																			

**Progress:**

Apr - Jun 2021

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>(1) Stabilized 0.77 miles of track.</li> <li>(2) Built up 18 frog inserts.</li> <li>(3) Ground 59 switches.</li> <li>(4) Installed nine switch ties.</li> <li>(5) Installed 708 cross ties.</li> <li>(6) Installed nine switch ties.</li> </ul> | <ul style="list-style-type: none"> <li>(7) Changed out 166 foot of rail (Internal Flaw)</li> <li>(8) FRA conducted two visits.</li> <li>(9) CPUC conducted two visits.</li> <li>(10) Performed tree trimming.</li> <li>(11) Performed fencing.</li> </ul> |
|--|---|

**Future**

**Activities:**

Jul - Sep 2021

- (1) Continue ongoing maintenance work.

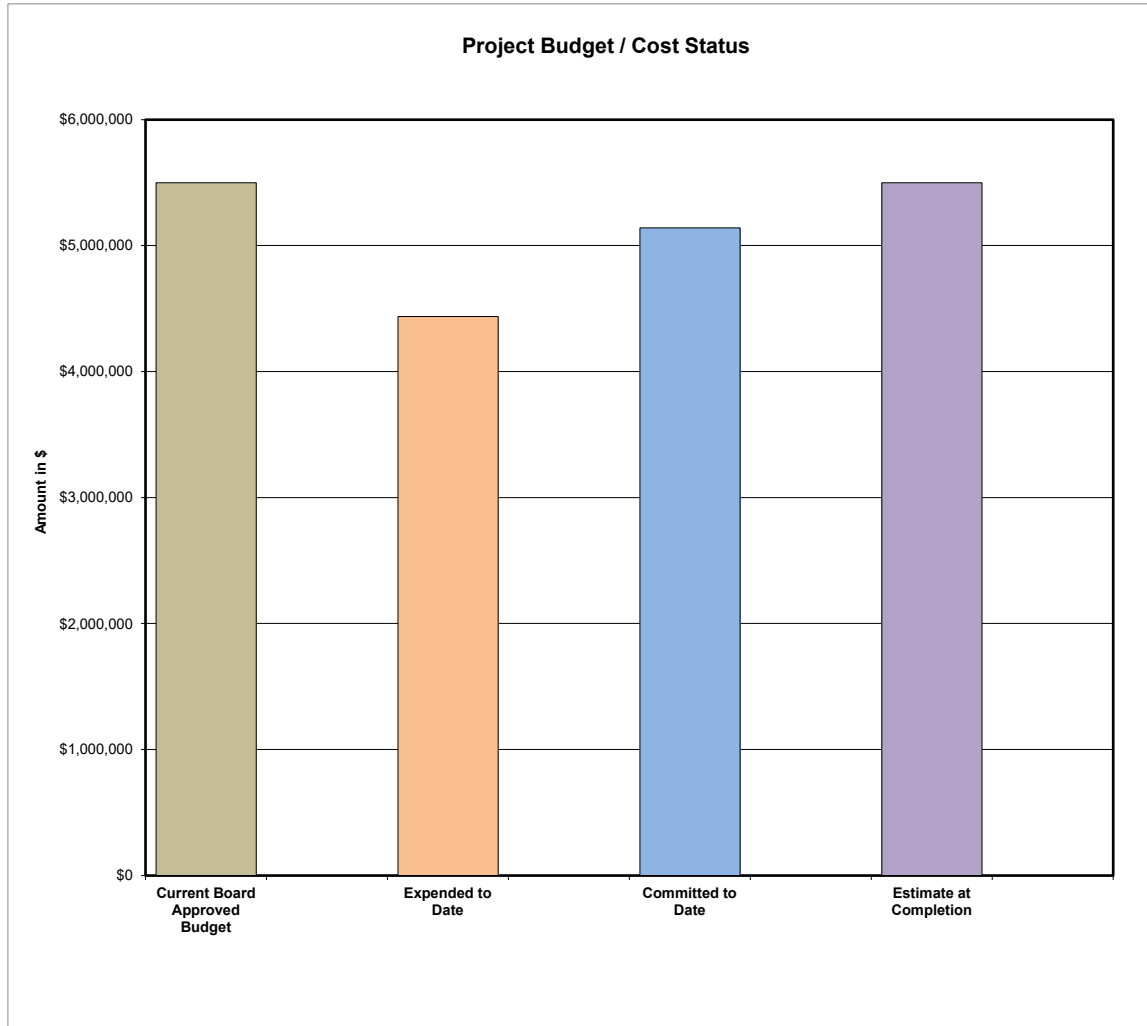
**Issues:** None.

**SYSTEMWIDE TRACK REHABILITATION PROJECT - FY2019**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Project Total</b>	<b>\$5,500,000</b>	<b>\$4,438,510</b>	<b>\$5,141,802</b>	<b>\$5,500,000</b>	<b>\$0</b>



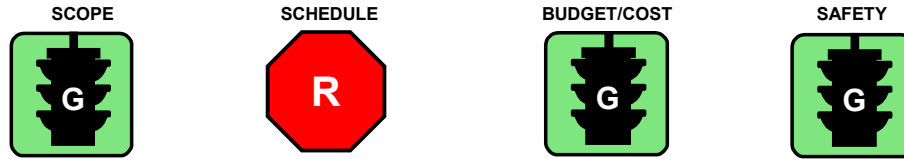
**Issues:** None.

**SAFETY:**



No incidents reported this quarter.

TICKET VENDING MACHINE REHAB PROGRAM PROJECT



**SCOPE:**



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

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

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

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

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

**Issues:**

None.

**SCHEDULE:**



Activity ID	Activity Name	Start	Finish	Timeline												
				2018	2019	2020	2021	2022								
				Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100240	Ticket Vending Machine Rehab Program	01-Jan-18 A	31-Mar-22													
	Final Design	01-Jan-18 A	01-Nov-18 A													
	Bid & Award	01-Mar-18 A	30-Apr-19 A													
	Construction	01-May-19 A	01-Mar-22													
	Project Close Out	02-Mar-22	31-Mar-22													

**Progress:**

- Apr - Jun 2021
- (1) Continued working with Contracts & Procurement for the Phase 3 contract. The sole source justification was signed and the contract is being reviewed by Legal.
  - (2) Continued working with Contracts & Procurement for the Phase 3 contract.
  - (3) The agreement was done and waiting for Ventek to submit their certificate of insurance.

**Future**

**Activities:**

- Jul - Sep 2021
- (1) Execute contract with Ventek for Phase 3.

**Issues:**

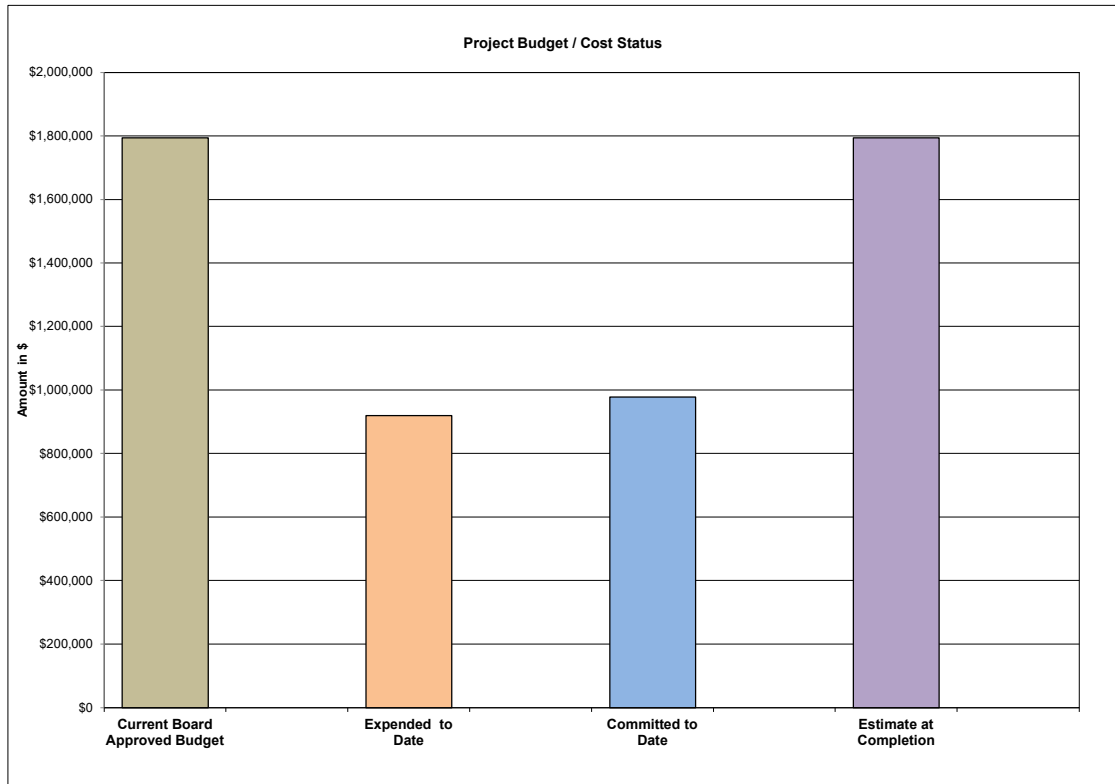
Issuance of Contract delayed. Contracts & Procurement continue to work with Legal on open issues.

**TICKET VENDING MACHINE REHAB PROGRAM PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$1,795,000</b>	<b>\$919,369</b>	<b>\$977,802</b>	<b>\$1,795,000</b>	<b>\$0</b>



**Issues:** None.

**SAFETY:**



No incidents reported this quarter.

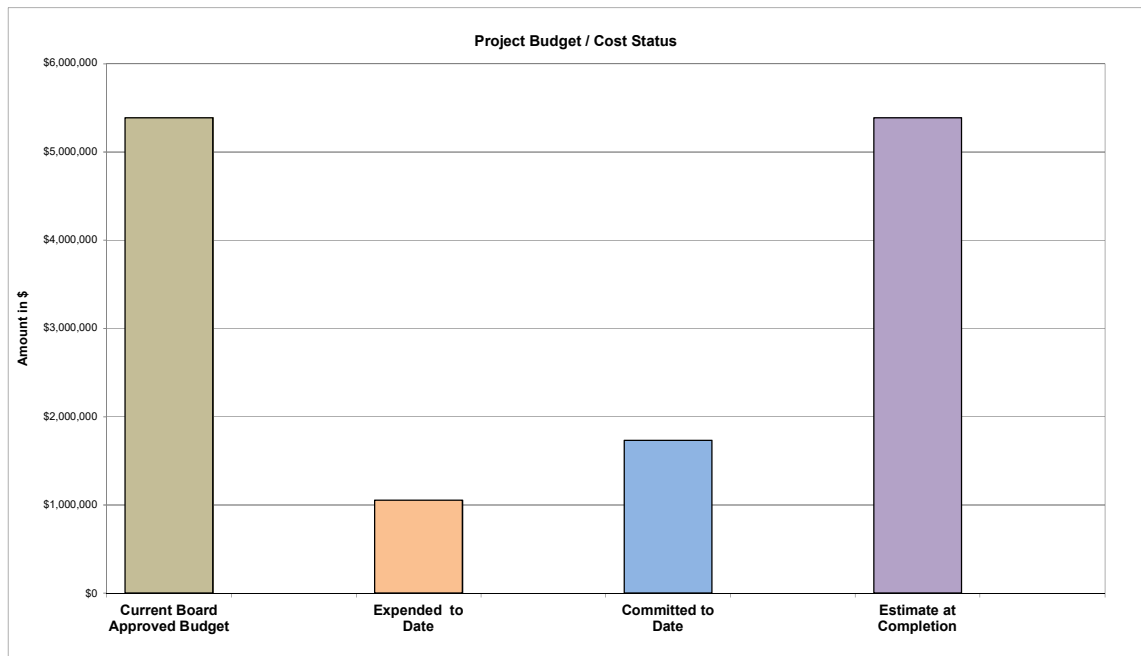


**WAYSIDE BIKE PARKING IMPROVEMENT PROJECT**

**BUDGET:**



	(a)	(b)	(c)	(d)	(e) = (a - d)
	Current Board Approved Budget	Expended to Date	Committed to Date	Estimate at Completion	Variance at Completion
<b>Total Project</b>	<b>\$5,389,322</b>	<b>\$1,054,497</b>	<b>\$1,730,458</b>	<b>\$5,389,322</b>	<b>\$0</b>



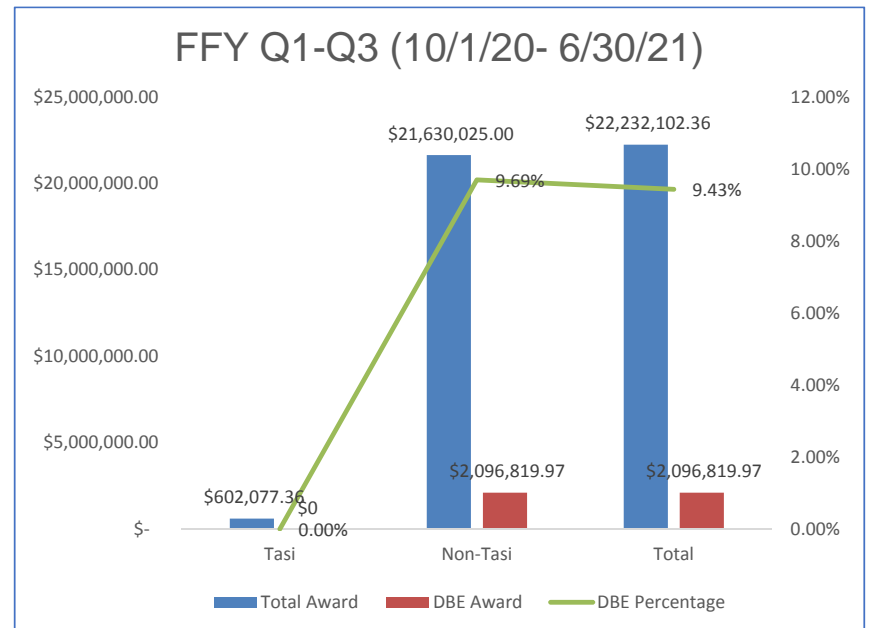
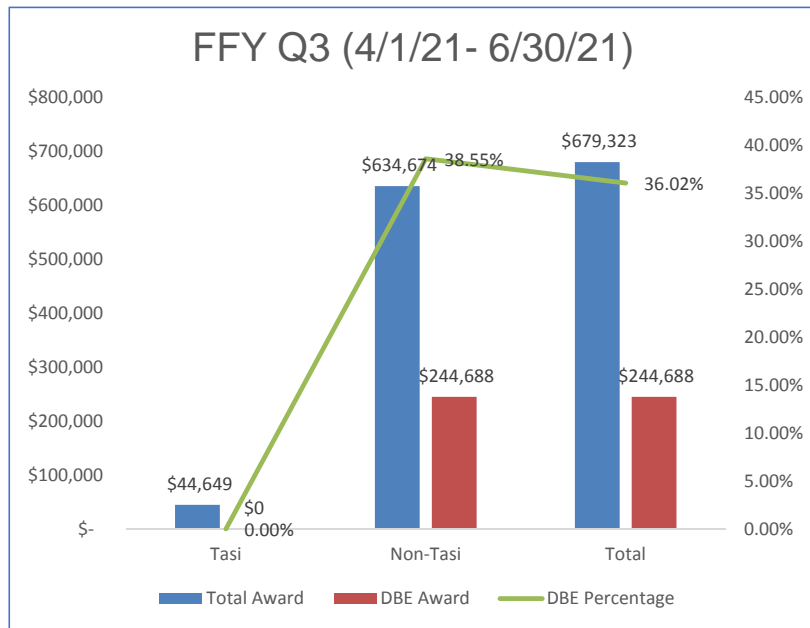
**Issues:** Note: Additional FY2021 Board approved budget was included this quarter.

**SAFETY:**



No incidents reported this quarter.

# JBP Award



Note: The total DBE attained Year-to-date was \$0 for TASI and \$2,096,819.97 for Non-TASI projects for JPB.

### Definition of Terms

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

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

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

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

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



## Performance Status (Traffic Light) Criteria

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

### Schedule Legend

	<b>Completed</b>
	<b>Critical path</b>
	<b>Baseline/target schedule</b>

**PENINSULA CORRIDOR JOINT POWERS BOARD**  
**STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: Dora Seamans  
JPB Secretary

SUBJECT: **APPOINTMENT OF THE CITIZENS ADVISORY COMMITTEE REPRESENTATIVE AND ALTERNATE**



Finance Committee  
Recommendation



Work Program-  
Legislative-Planning



Staff Coordinating  
Council Reviewed



Staff Coordinating Council  
Recommendation

**ACTION**

The Board of Directors representing the County of San Mateo, recommend the following appointments to the Joint Powers Board Citizens Advisory Committee:

- Emilia Shapiro as a regular member, representing San Mateo County, to a term ending June 30, 2024
- Melody Pagee as an alternate member, representing San Mateo County, to a term ending June 30, 2024

**SIGNIFICANCE**

The CAC Bylaws state:

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

**BUDGET IMPACT**

There is no impact on the budget.

**BACKGROUND**

The CAC was established as a JPB advisory group by Resolution No. 1992-28, dated June 3, 1992. The CAC serves as a forum for conveying community information, ideas and comments to the Board. The Board adopted a set of Bylaws under Resolution No. 2002-13, dated May 2, 2002, to formalize the rules of procedure governing the manner in which the CAC functions. The Board amended the Bylaws under Resolution No. 2019-45, dated December 5, 2019, to add one alternate member from each of the Counties to help ensure presence of a quorum in case of periodic CAC member absences and vacancies.

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: Derek Hansel Rob Barnard  
Chief Financial Officer Deputy Chief, Rail Development

SUBJECT: **INCREASE THE TOTAL PROJECT BUDGET BY \$1,025,000 FOR THE BROADWAY  
BURLINGAME GRADE SEPARATION PROJECT AND INCREASE THE FY2022  
CAPITAL BUDGET TO \$67,234,919**



Finance Committee  
Recommendation



Work Program-  
Legislative-Planning



Staff Coordinating  
Council Reviewed



Staff Coordinating Council  
Recommendation

**ACTION**

Staff recommends that the Board of Directors (Board):

1. Authorize amendment of the related Memorandum of Understanding with the City of Burlingame (City) and the San Mateo County Transportation Authority (TA) to provide an additional \$1,025,000 for the project; and
2. Increase the Project budget by \$1,025,000, from \$24,388,000 to \$25,413,000, and amend the Fiscal Year (FY) 2022 Capital Budget by \$1,025,000 to \$67,234,919; and
3. Authorize the Acting Executive Director or designee to execute any necessary agreements or amendments and take any additional actions necessary to give effect to this resolution.

**SIGNIFICANCE**

In January 2019, the San Mateo County Transportation Authority (TA) Board of Directors was informed by the City that the Project would require PCEP to make modifications to a planned traction power paralleling station (PS-3). The TA board programmed and allocated \$200,000 for the design of the modifications to PS-3 at that meeting.

Since January 2019, there have been additional changes to the paralleling station design. The factors associated with the additional design include (a) the relocation of

the paralleling station to be partially within the City's corporation yard, and (b) the design of taller gantries, which connect the power feed between the paralleling station and overhead catenary system (OCS), with larger foundations to support the taller gantries. The taller gantries and larger foundations are necessary because the Project will elevate the track and OCS in the vicinity of the paralleling station.

Additional Project funds are also required to provide for the construction variance, which is related to the construction of the larger gantry foundations and taller gantries which are necessary given the Project will elevate the track and OCS in the vicinity of the paralleling station.

To fund the work, the City requested the TA to program and allocate \$1,025,000 for the relocation design costs and the associated increase in PCEP construction costs for the PS-3 facility changes necessitated by the Project. The TA board approved the allocation on March 4, 2021. The work is being performed by the PCEP contractor and is anticipated to be complete by Spring 2022.

**BUDGET IMPACT**

The Board approved this project on June 1, 2017. Funding for Fiscal Year 2021 and prior year adopted budgets is \$22,388,000 Measure A Grade Separation Program and \$2,000,000 City of Burlingame contribution. The FY2022 additional funding of \$1,025,000 will also come from Measure A, bringing the total JPB Board approved Measure A allocation to the Project to \$23,413,000 and total project budget to \$25,413,000.

**BACKGROUND**

Fifteen percent of the Measure A receipts are allocated to the Grade Separation Program Category. The goal of the program is to reduce the number of at-grade crossings on the Caltrain right of way. Grade separations improve safety for drivers and pedestrians, relieve traffic congestion, and enhance operational flexibility of the railroad.

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

Prepared by: Alex Acenas, Senior Project Manager

650.622.7852

**RESOLUTION NO. 2021 –**

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

**\* \* \***

**INCREASE THE TOTAL PROJECT AUTHORITY BY \$1,025,000 FOR THE  
BROADWAY BURLINGAME GRADE SEPARATION PROJECT AND INCREASE THE  
FY2022 CAPITAL BUDGET TO \$67,234,919**

**WHEREAS**, on June 7, 1988, the voters of San Mateo County approved a ballot measure known as “Measure A” which increased the local sales tax in San Mateo County by ½ percent with the new tax revenue to be used for highway and transit improvements pursuant to the Transportation Expenditure Plan presented to the voters; and

**WHEREAS**, on November 2, 2004, the voters of San Mateo County approved continued collection and distribution by the San Mateo County Transportation Authority (TA) of a half-cent transaction and use tax for an additional 25 years to implement the 2004 Transportation Expenditure Plan beginning January 1, 2009 (New Measure A); and

**WHEREAS**, since 2017, the TA has programmed and allocated a total of \$22,388,000 in Measure A Grade Separation Program Category funds to the Broadway Burlingame Grade Separation Project (Project) for the Project Study Report, preliminary engineering/environmental clearance, and final design of the Project; and

**WHEREAS**, the Measure A allocations for the Project also included \$200,000 for design work related to the relocation of the planned traction power paralleling station #3 (PS-3) required for the Peninsula Corridor Electrification Project (PCEP); and

**WHEREAS**, the City of Burlingame's (City) selected grade separation alternative necessitates relocation of the paralleling station to avoid removing and rebuilding it later; and

**WHEREAS**, pursuant to the City's request, the TA programmed and allocated an additional \$1,025,000 for the Project to fund the PS-3 relocation design costs and associated construction cost increases for the PS-3 facility that are necessitated by the Project; and

**WHEREAS** staff recommends that the Board of Directors increase the total project authority by an additional \$1,025,000 as described above; and

**WHEREAS** staff recommends that the Board of Directors increase the total FY22 capital budget to \$67,234,819 (Attachment B attached); and

**NOW, THEREFORE, BE IT RESOLVED** that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby increases the total project authority by \$1,025,000 for the Broadway Grade Separation Project to support design and construction work associated with the relocation of a Peninsula Corridor Electrification Project paralleling station necessitated by the Broadway Grade Separation Project in the City of Burlingame and that the FY22 Capital Budget be increased to \$67,234,919.

**BE IT FURTHER RESOLVED** that the Acting Executive Director or her designee is authorized to execute any necessary agreements or other documents, and to take any additional actions that may be necessary, to give effect to this resolution, including the execution of agreements or amendments with the City and the JPB.

Regularly passed and adopted this 2<sup>nd</sup> day of September 2021 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

---

JPB Secretary





FY2022 CAPITAL BUDGET

Attachment B  
Amendment 3  
September 2021

Item #	PROJECT NAME	PRIOR YEARS APPROVED	AMENDED FY2022 CAPITAL BUDGET	Federal Funds	STA SOGR Funds	Measure RR	Others	AMENDED FY2022 CAPITAL BUDGET
<b>i. STATE OF GOOD REPAIR</b>								
<b>Bridges</b>								
1	Guadalupe River Bridge Replacement and Extension	12,400,000	1,989,000	1,591,200	397,800	-	-	1,989,000
			1,989,000	1,591,200	397,800	-	-	1,989,000
<b>Right of Way</b>								
2	Track SOGR	11,220,000	5,437,771	4,350,217	1,087,554	-	-	5,437,771
3	Right of Way Fencing	585,000	156,000	-	-	156,000	-	156,000
			5,593,771	4,350,217	1,087,554	156,000	-	5,593,771
<b>Signal &amp; Communications</b>								
4	Communications SOGR	2,000,000	416,000	332,800	5,667	77,533	-	416,000
5	Fiber Optics SOGR	1,000,000	572,000	457,600	-	114,400	-	572,000
6	Signal SOGR	-	1,248,000	998,400	-	249,600	-	1,248,000
7	Migration To Digital Voice Radio System	700,000	832,000	665,600	-	166,400	-	832,000
			3,068,000	2,454,400	5,667	607,933	-	3,068,000
<b>Rolling Stock</b>								
			-	-	-	-	-	-
<b>Facilities &amp; Intermodal Access</b>								
8	Stations SOGR	1,500,000	208,000	-	-	208,000	-	208,000
9	Historic Stations SOGR	-	1,352,000	-	-	1,352,000	-	1,352,000
29	South San Francisco Station Improvement <sup>3</sup>	71,600,000	25,000,000	-	-	-	25,000,000	25,000,000
			26,560,000	-	-	1,560,000	25,000,000	26,560,000
	<b>Total SOGR</b>		<b>37,210,771</b>	<b>8,395,817</b>	<b>1,491,021</b>	<b>2,323,933</b>	<b>25,000,000</b>	<b>37,210,771</b>
<b>ii. LEGAL MANDATES AND ELECTRIFIED SERVICE RAIL PROGRAM INTEGRATION</b>								
10	Rail Program Integration and Transition	-	4,658,148	-	-	4,658,148	-	4,658,148
11	Hayward Park Remediation	-	51,000	-	-	51,000	-	51,000
			4,709,148	-	-	4,709,148	-	4,709,148
<b>iii. OPERATIONAL IMPROVEMENTS/ENHANCEMENTS</b>								
12	PADS Replacement	-	1,040,000	-	-	1,040,000	-	1,040,000
13	Grade Crossing Improvements Construction	500,000	1,040,000	-	-	1,040,000	-	1,040,000
14	Caltrain VoIP	-	520,000	-	-	520,000	-	520,000
15	TVM Upgrade Phase 5	2,795,000	1,040,000	832,000	-	208,000	-	1,040,000
16	Caltrain Fiber Connectivity to Caltrain Stations and Digital Voice Base Station	-	624,000	-	-	624,000	-	624,000
17	Next Gen Clipper Validators Site Prep	2,500,000	1,560,000	1,248,000	-	312,000	-	1,560,000
18	Mountain View Transit Center Grade Separation and Access Project <sup>1</sup>	-	11,200,000	-	-	-	11,200,000	11,200,000
31	Broadway Burlingame Grade Separation <sup>5</sup>	24,388,000	1,025,000	-	-	-	1,025,000	1,025,000
			18,049,000	2,080,000	-	3,744,000	12,225,000	18,049,000
<b>iv. PLANNING/STUDIES</b>								
19	Operations, Access and Customer Interface Planning	-	260,000	-	-	260,000	-	260,000
20	Business Strategy and Policy Development	-	780,000	-	-	780,000	-	780,000
21	Electrification Expansion and Integration - Preliminary Planning	-	520,000	-	-	520,000	-	520,000
22	Capital Planning Technical Support	-	286,000	-	-	286,000	-	286,000
23	Transit-oriented Development Studies	-	1,040,000	-	-	1,040,000	-	1,040,000
24	Diridon Integrated Station Concept Plan (DISC) <sup>2</sup>	-	720,000	-	-	-	720,000	720,000
30	SF Railyards Preliminary Business Case <sup>4</sup>	-	2,000,000	-	-	-	2,000,000	2,000,000
			5,606,000	-	-	2,886,000	2,720,000	5,606,000
<b>iv. CAPITAL CONTINGENCY FUNDS</b>								
25	Capital Contingency Funds - Engineering	-	330,000	-	-	330,000	-	330,000
26	Capital Contingency Funds - Rail	-	660,000	-	-	660,000	-	660,000
27	Capital Project Development	-	335,000	-	-	335,000	-	335,000
28	Capital Program Management	-	335,000	-	-	335,000	-	335,000
		131,188,000	1,660,000	-	-	1,660,000	-	1,660,000
	<b>Total FY2022 Capital Budget</b>		<b>67,234,919</b>	<b>10,475,817</b>	<b>1,491,021</b>	<b>15,323,081</b>	<b>39,945,000</b>	<b>67,234,919</b>

<sup>1</sup> \$10.0 million from Santa Clara Valley Transportation Authority (VTA) per Reso 2020-39 and \$1.2 million from the City of Mountain View

<sup>2</sup> City of San Jose

<sup>3</sup> San Mateo County Transportation Authority and City of South San Francisco

<sup>4</sup> Prologis LLC

<sup>5</sup> San Mateo County Transportation Authority (TA)

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: John Funghi  
Chief Officer, CalMod Program

SUBJECT: **AUTHORIZE THE EXECUTIVE DIRECTOR TO EXECUTE AN AMENDMENT TO SUPPLEMENTAL AGREEMENT NO. 4 WITH PACIFIC GAS AND ELECTRIC (PG&E) FOR PROCUREMENT AND CONSTRUCTION SERVICES FOR PG&E INFRASTRUCTURE BUILD OUTS IN SUPPORT OF THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP)**



Finance Committee  
Recommendation



Work Program-  
Legislative-Planning



Staff Coordinating  
Council Reviewed



Staff Coordinating Council  
Recommendation

**ACTION**

Staff Coordinating Council recommends the Board authorize an amendment to Supplemental Agreement No. 4 with Pacific Gas and Electric (PG&E), entitled "PG&E Procurement and Construction Services for PG&E Infrastructure Build Outs in Support of PCEP" at a cost not to exceed \$38.8 million. The amendment will increase the total authorized amount for Supplemental Agreement No. 4 from \$82 million to \$120.8 million and will increase PCEP's share of the cost of Supplemental Agreement No. 4 by \$15.5 million, from \$32.8 million to \$48.3 million.

**SIGNIFICANCE**

PCEP will require PG&E to provide power for testing and for future operation of the electrified Caltrain railroad through interconnections between the Caltrain Traction Power Substation (TPSS-1) and PG&E's East Grand Substation in South San Francisco and between the Caltrain Traction Power Substation (TPSS-2) and PG&E's FMC Substation in San Jose.

A System Impact Study performed by PG&E and reviewed by PCEP staff determined that PG&E's East Grand and FMC substations needed improvements in order to provide sufficient and reliable power to Caltrain.

On February 1 2018, the JPB executed Supplemental Agreement No. 4 for PG&E to design and construct the needed improvements at PG&E's East Grand and FMC substations. The cost for Supplemental Agreement No. 4 was a not-to-exceed amount of \$82 million.

Based on cost allocation regulations promulgated by the California Public Utilities Commission and the Federal Energy Regulatory Commission, PCEP's share of the cost of the Supplemental Agreement No. 4 is \$32.8 million.

Due to the following, PG&E has determined that the cost of Supplemental Agreement No. 4 will have to be increased by \$38.8 million, from \$82 million to \$120.8 million:

1. Delay related costs associated with a PG&E requirement to stop construction work from March 2020 to April, 2020 due to the COVID-19 shelter-in-place orders,
2. Delay related costs associated with re-scheduling of planned electrical clearances required for testing,
3. Change orders resulting from design progression performed by PG&E's Engineering, Procurement, & Construction (EPC) contractor, and
4. An increase in the Income Tax Component of Contributions (ITCC) Tax from 22% to 24%.

PCEP staff has reviewed PG&E's supporting documents in support of the proposed \$38.8 million cost increase and has determined that the proposed increase is fair and reasonable.

Based on the previously referenced cost allocation regulations, PCEP's share of the \$38.8 million cost increase will be \$15.5 million. This will increase PCEP's share of the cost of Supplemental Agreement No. 4 from \$32.8 million to \$48.3 million.

#### **BUDGET IMPACT**

The PCEP Change Management Board (CMB) met on July 21, 2021 and approved the \$38.8 million increase in the cost of PG&E Supplemental Agreement No. 4, and correspondingly, the CMB also approved \$15.5 million as PCEP's share of the \$38.8 million cost increase. The \$15.5 million increase in PCEP's share of the cost for Supplemental Agreement No. 4 will be funded by contingency funds included in the Board-approved PCEP Budget without requiring a budget amendment.

#### **BACKGROUND**

PG&E's scope of work for Supplemental Agreement No. 4, PG&E Procurement and Construction Services for PG&E Infrastructure Build Outs in Support of PCEP, includes design, procurement, installation and testing of new breakers, switch gear, protective relays, busses, and other substation upgrades, as well as potential relocation of transmission lines at PG&E's East Grand and FMC substations.

Prepared      Liria C. Larano  
By:             Deputy Chief Officer, CalMod Program

650.288.9151

**RESOLUTION NO. 2021-**

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

\* \* \*

**AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE AN AMENDMENT TO  
SUPPLEMENTAL AGREEMENT NO. 4 WITH PACIFIC GAS AND ELECTRIC (PG&E) FOR  
PROCUREMENT AND CONSTRUCTION SERVICES FOR PG&E INFRASTRUCTURE BUILD OUTS IN  
SUPPORT OF THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP)**

**WHEREAS**, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) previously signed Supplemental Agreement No. 4 with Pacific Gas and Electric (PG&E), entitled "PG&E Procurement and Constructions Services for PG&E Infrastructure Build Outs in Support of PCEP" at a cost not-to-exceed \$38.8 million; and

**WHEREAS**, PCEP will require PG&E to provide power for testing and for future operation of the electrified Caltrain railroad through interconnections between the Caltrain Traction Power Substation (TPSS-1) and PG&E's East Grand Substation in South San Francisco and between the Caltrain Traction Power Substation (TPSS-2) and PG&E's FMC Substation in San Jose. A System Impact Study performed by PG&E and reviewed by PCEP staff determined that PG&E's East Grand and FMC substations needed improvements in order to provide sufficient and reliable power to Caltrain; and

**WHEREAS**, on February 1, 2018, the JPB executed Supplemental Agreement No. 4 for PG&E to design and construct the needed improvements at PG&E's East Grand and FMC substations. Based on cost allocation regulations promulgated by the California Public Utilities Commission and the Federal Energy Regulatory Commission, PCEP's share of the cost of the Supplemental Agreement No. 4 is \$32.8 million; and

**WHEREAS**, PG&E has determined that the cost of Supplemental Agreement No. 4 will have to be increased by \$38.8 million, from \$82 million to \$120.8 million, due to the following factors:

1. Delay-related costs associated with a PG&E requirement to stop construction work from March 2020 to April 2020 due to the COVID-19 shelter-in-place orders,
2. Delay-related costs associated with re-scheduling of planned electrical clearances required for testing,
3. Change orders resulting from design progression performed by PG&E's Engineering, Procurement, & Construction (EPC) contractor, and
4. An increase in the Income Tax Component of Contributions (ITCC) Tax from 22% to 24%.

Staff has reviewed PG&E's supporting documents in support of the proposed \$38.8 million cost increase and has determined that the proposed increase is fair and reasonable. Based on the previously referenced cost allocation regulations, PCEP's share of the \$38.8 million cost increase will be \$15.5 million. This will increase PCEP's share of the cost of Supplemental Agreement No. 4 from \$32.8 million to \$48.3 million.

**WHEREAS**, the PCEP Change Management Board (CMB) met on July 21, 2021 and approved the \$38.8 million increase in the cost of PG&E Supplemental Agreement No. 4, and correspondingly, the CMB also approved \$15.5 million as PCEP's share of the \$38.8 million cost increase; and

**WHEREAS**, the Staff Coordinating Council recommends that the Board authorize the increased amount be funded from the contingency included in the Board-approved PCEP Budget and that the amendment be authorized by JPB;

**NOW, THEREFORE, BE IT RESOLVED** that the Board authorizes the Acting Executive Director, or designee, to execute an amendment to Supplemental Agreement No. 4, "PG&E Procurement and Construction Services for PG&E Infrastructure Build Outs in Support of PCEP," on behalf of the JPB with PG&E with a total authorized amount of increase from \$82 million to \$120.8 million, increasing PCEP's share of the cost of Supplemental Agreement No. 4 by \$15.5 million, from \$32.8 million to \$48.3 million, in a form approved by legal counsel.

Regularly passed and adopted this 2<sup>nd</sup> day of September 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: John Funghi  
Chief Officer, CalMod Program

SUBJECT: **AUTHORIZE THE EXECUTIVE DIRECTOR TO EXECUTE A CHANGE ORDER TO THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP) CONTRACT WITH BALFOUR BEATTY, INC. FOR AN INCREASE IN ALLOWANCE ITEM NO. 9 - UTILITIES POTHOLING FOR A TOTAL NOT-TO-EXCEED AMOUNT OF \$5,700,000**



Finance Committee  
Recommendation



Work Program-  
Legislative-Planning



Staff Coordinating  
Council Reviewed



Staff Coordinating Council  
Recommendation

**ACTION**

Staff Coordinating Council recommends that the Board authorize a change order to the PCEP design-build contract with Balfour Beatty, Inc. (BBII) dated July 7, 2016 for an increase in Allowance Item No. 9 – Utilities Potholing for an amount not to exceed \$5,700,000 and in a form approved by legal counsel.

**SIGNIFICANCE**

The PCEP design-build contract with BBII currently includes Allowance Item No. 9 – Utilities Potholing for 5,358 potholes at BBII's bid unit rate of \$1,900 per pothole, for a total of \$10.18 million.

At this time, the allowance amount \$10.18 million for 5,358 potholes has been expended, and the value of the allowance has to be increased to pay for additional potholes required to identify utilities that could potentially conflict with OCS foundations, traction power equipment foundations and signal ductbanks.

Staff recommends an increase of 3,000 potholes for Allowance Item No. 9 to pay for 1,167 potholes that have been completed but for which the Contractor has not been paid plus an estimate of an additional 1,833 potholes required to identify utilities that could potentially conflict with the remaining OCS foundations, traction power equipment foundations and signal ductbanks. An increase in the allowance quantity of 3,000 potholes at \$1,900 per pothole will increase the value of the allowance by an additional \$5.7 million.

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

**BUDGET IMPACT**

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

**BACKGROUND**

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

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

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

Prepared By: Liria C. Larano  
Deputy Chief Officer, CalMod Program

650.288.9151



**RESOLUTION NO. 2021-**

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

**\* \* \***

**AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A CHANGE ORDER TO THE  
PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP) CONTRACT WITH BALFOUR  
BEATTY, INC. FOR AN INCREASE IN ALLOWANCE ITEM NO. 9 - UTILITIES POTHOLING FOR A  
TOTAL NOT-TO-EXCEED AMOUNT OF \$5,700,000**

**WHEREAS**, the Board of Directors (Board) of the Peninsula Corridor Joint Powers Board (JPB) awarded the CalMod Electrification Design-Build Services Contract to Balfour Beatty, Inc. (BBII) on July 7, 2016; and

**WHEREAS**, the PCEP Design-Build Contract includes Allowance Item No. 9 – Utilities Potholing in the amount of \$10.18 million at the bid unit rate of \$1,900 per pothole for a total of 5,358 potholes. The entire allowance amount included in the original PCEP Design-Build Contract now has been expended, and the value of the allowance must be increased to pay for additional potholes required to identify utilities that could potentially conflict with OCS foundations, traction power equipment foundations and signal ductbanks; and

**WHEREAS**, Staff recommend an increase of 3,000 potholes for Allowance Item No. 9 to pay for 1,167 potholes that have been completed but for which the Contractor has not been paid plus an estimated additional 1,833 potholes required to identify utilities that could potentially conflict with the remaining OCS foundations, traction power equipment foundations and signal ductbanks. An increase in the allowance quantity of 3,000 potholes at \$1,900 per pothole will increase the value of the allowance by an additional \$5.7 million; and

**WHEREAS**, the PCEP Change Management Board (CMB) has reviewed and approved the increased amount for the additional utility potholing; and

**WHEREAS**, the Staff Coordinating Council recommends that the Board authorize the increased amount be funded from the contingency included in the Board-approved PCEP Budget and that the change order be executed with BBII.

**NOW, THEREFORE, BE IT RESOLVED** that the Board authorizes the Acting Executive Director, or designee, to execute a change order on behalf of the JPB with BBII in increase in Allowance Item No. 9 – Utilities Potholing for the not-to-exceed amount of \$5,700,000, and in a form approved by legal counsel.

Regularly passed and adopted this 2<sup>nd</sup> day of September 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: **QUARTERLY FUEL HEDGE UPDATE**



Finance Committee  
Recommendation



Work Program-  
Legislative-Planning



Staff Coordinating  
Council Reviewed



Staff Coordinating Council  
Recommendation

**ACTION**

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

**SIGNIFICANCE**

The purpose of this report 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 June 30<sup>th</sup>, the hedge program realized net gains of \$552,354.14 for the time period July, 2020 through June, 2021.

- Additionally, the hedge currently reflects unrealized gains of \$1,345,587.60 (+\$0.28/gallon on all gallons through December 2022). This assumes projected consumption of 266,666 gallons per month through December 2022.
- Approximately 71.75% (65.69% after tax) of the anticipated fuel usage through December 2022 is hedged at an average price of \$1.75/gallon, excluding taxes and fees (\$2.33 with tax and fees) (versus a currently planned budget estimate of \$2.45/gallon, excluding taxes and fees) based on a 70 train/day schedule.
- The remaining un-hedged gallons through December 2022 have a projected cost of \$2.14/gallon as of 06/30/2021 excluding taxes and fees (\$2.76 with tax and fees).
- Weighted average projected cost of all gallons through December 2022 net of hedging excluding taxes and fees is \$1.88/gallon and including taxes and fees is \$2.48/gallon as of 06/30/2021.

Prepared by: Jayden Sangha      Acting Director, Treasury

650-508-6405

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: Derek Hansel  
Chief Financial Officer

SUBJECT: **REPORT OF THE CHIEF FINANCIAL OFFICER**



Finance Committee  
Recommendation



Work Program-  
Legislative-Planning



Staff Coordinating  
Council Reviewed



Staff Coordinating Council  
Recommendation

**HIGHLIGHTS**

- Staff continues to work to complete final accruals for Fiscal Year 2021, after which unaudited statements for June 2021 will be presented to the Finance Committee.
- We have completed the process of member agency approval of the comprehensive financing plan discussed with the Board earlier this month. We closed on the replacement of the two JPMorgan credit lines with the two Wells Fargo credit lines on August 16, 2021, and have drawn additional funding as we await the arrival of Measure RR funding, as well as reimbursements from funding partners for capital projects.
- The JPB has fully drawn on the \$46.7 million CRRSAA funding (Tranche 2). The MTC Commission approved a Phase 1 distribution plan of ARPA funding that will provide \$41.1 million to Caltrain. This is in excess of the \$14.8 million of ARPA funding included in the adopted Fiscal Year 2022 Operating Budget.
- Our Contracts and Procurement team have earned the 2021 Achievement of Excellence in Procurement award. This is the third year in a row for our receipt of this recognition – we are one of only 182 agencies nationally and one of 36 special districts nationally to receive this award.

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: Derek Hansel  
Chief Financial Officer

**SUBJECT: INFORMATION ON STATEMENT OF REVENUES AND EXPENSES FOR THE PERIOD  
ENDED JUNE 30, 2021**

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

The Finance Division engages in many activities following the end of the June 30 fiscal year both to close out the old fiscal year and set up the new fiscal year. The demands of these activities require a longer time to produce a complete Statement of Revenues and Expenses than allowed by the normal board meeting cycle. Consequently, staff will present a Statement of Revenues and Expenses for June at the September 27th meeting of the JPB Finance Committee. The auditors, Brown Armstrong Accountancy Corporation, expect to finish the audit in late October. We expect to have the Comprehensive Annual Financial Statement finalized by November 2021.

Prepared by: Jennifer Ye, Acting Director, Accounting 650.622.7890

# PENINSULA CORRIDOR JOINT POWERS BOARD

## STATEMENT OF REVENUE AND EXPENSE

Fiscal Year 2022

July 2021

								% OF YEAR ELAPSED	8.3%					
								JULY		ANNUAL				
								CURRENT	APPROVED	\$	%	APPROVED	\$	
								ACTUAL	BUDGET	VARIANCE	VARIANCE	BUDGET	FORECAST	VARIANCE
<b>REVENUE</b>														
OPERATIONS:														
1	Farebox Revenue	2,418,089	2,268,000	150,089	6.6%	34,639,000	34,639,000	-	1					
2	Parking Revenue	68,432	128,000	(59,569)	(46.5%)	1,536,000	1,536,000	-	2					
3	Shuttles	144,396	133,658	10,738	8.0%	1,603,900	1,603,900	-	3					
4	Rental Income	81,552	99,372	(17,820)	(17.9%)	1,192,466	1,192,466	-	4					
5	Other Income	39,082	132,050	(92,968)	(70.4%)	1,584,608	1,584,608	-	5					
6									6					
7	<b>TOTAL OPERATING REVENUE</b>	<b>2,751,550</b>	<b>2,761,080</b>	<b>(9,530)</b>	<b>(.3%)</b>	<b>40,555,974</b>	<b>40,555,974</b>	<b>-</b>	7					
8									8					
CONTRIBUTIONS:														
10	AB434 Peninsula & TA Shuttle Funding	13,344	93,275	(79,931)	(85.7%)	1,119,300	1,119,300	-	10					
11	Operating Grants	535,456	535,456	-	.0%	6,525,471	6,525,471	-	11					
12	JPB Member Agencies	-	-	-	.0%	-	-	-	12					
13	Measure RR	7,214,743	7,214,743	-	.0%	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	-	-	-	.0%	14,849,883	-	(14,849,883)	15					
16									16					
17	<b>TOTAL CONTRIBUTED REVENUE</b>	<b>7,763,543</b>	<b>34,959,396</b>	<b>(27,195,853)</b>	<b>(77.8%)</b>	<b>136,187,495</b>	<b>94,221,690</b>	<b>(41,965,805)</b>	17					
18									18					
19	<b>GRAND TOTAL REVENUE</b>	<b>10,515,094</b>	<b>37,720,476</b>	<b>(27,205,382)</b>	<b>(72.1%)</b>	<b>176,743,469</b>	<b>134,777,664</b>	<b>(41,965,805)</b>	19					
<p>*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.</p>														

# PENINSULA CORRIDOR JOINT POWERS BOARD

## STATEMENT OF REVENUE AND EXPENSE

Fiscal Year 2022

July 2021

% OF YEAR ELAPSED

8.3%

	JULY				ANNUAL			
	CURRENT	APPROVED	\$	%	APPROVED		\$	
	ACTUAL	BUDGET	VARIANCE	VARIANCE	BUDGET	FORECAST	VARIANCE	
21 <b>EXPENSE</b>								21
22								22
23 <b>DIRECT EXPENSE:</b>								23
24 Rail Operator Service	7,640,111	7,640,111	-	.0%	97,353,730	97,353,730	-	24
25 Security Services	468,245	145,477	322,768	221.9%	7,486,512	7,486,512	-	25
26 Shuttle Services	34,871	147,658	(112,787)	(76.4%)	2,723,200	2,723,200	-	26
27 Fuel and Lubricants	794,419	869,571	(75,152)	(8.6%)	10,434,846	10,434,846	-	27
28 Timetables and Tickets	-	4,583	(4,583)	(100.0%)	55,000	55,000	-	28
29 Insurance	5,570,590	5,857,210	(286,620)	(4.9%)	5,857,210	5,857,210	-	29
30 Claims, Payments, and Reserves	49,502	68,334	(18,832)	(27.6%)	820,000	820,000	-	30
31 Facilities and Equipment Maintenance	30,036	626,531	(596,495)	(95.2%)	7,534,353	7,534,353	-	31
32 Utilities	36,657	212,717	(176,060)	(82.8%)	2,552,600	2,552,600	-	32
33 Maint & Services-Bldg & Other	806	136,325	(135,519)	(99.4%)	1,674,250	1,674,250	-	33
34								34
35 <b>TOTAL DIRECT EXPENSE</b>	<b>14,625,237</b>	<b>15,708,517</b>	<b>(1,083,280)</b>	<b>(6.9%)</b>	<b>136,491,701</b>	<b>136,491,701</b>	-	35
36								36
37 <b>ADMINISTRATIVE EXPENSE</b>								37
38 Wages and Benefits	1,770,351	2,097,076	(326,725)	(15.6%)	12,812,686	12,812,686	-	38
39 Managing Agency Admin OH Cost	366,672	289,044	77,628	26.9%	3,470,871	3,470,871	-	39
40 Board of Directors	-	4,022	(4,022)	(100.0%)	48,275	48,275	-	40
41 Professional Services	103,390	701,045	(597,655)	(85.3%)	8,412,820	8,412,820	-	41
42 Communications and Marketing	-	26,166	(26,166)	(100.0%)	322,750	322,750	-	42
43 Other Office Expenses and Services	61,628	340,025	(278,397)	(81.9%)	3,802,614	3,802,614	-	43
44								44
45 <b>TOTAL ADMINISTRATIVE EXPENSE</b>	<b>2,302,042</b>	<b>3,457,378</b>	<b>(1,155,336)</b>	<b>(33.4%)</b>	<b>28,870,016</b>	<b>28,870,016</b>	-	45
46								46
47 <b>TOTAL OPERATING EXPENSE</b>	<b>16,927,279</b>	<b>19,165,895</b>	<b>(2,238,616)</b>	<b>(11.7%)</b>	<b>165,361,717</b>	<b>165,361,717</b>	-	47
48								48
49 Measure RR Ballot Costs	5,212,072	7,000,000	(1,787,928)	(25.5%)	7,000,000	7,000,000	-	49
50 Governance	-	166,667	(166,667)	(100.0%)	2,000,000	2,000,000	-	50
51								51
52 Debt Service Expense	361,534	198,479	163,055	82.2%	2,381,752	2,381,752	-	52
53								53
54 <b>GRAND TOTAL EXPENSE</b>	<b>22,500,885</b>	<b>26,531,041</b>	<b>(4,030,156)</b>	<b>(15.2%)</b>	<b>176,743,469</b>	<b>176,743,469</b>	-	54
55								55
56 <b>NET SURPLUS / (DEFICIT)</b>	<b>(11,985,791)</b>	<b>11,189,435</b>	<b>(23,175,226)</b>	<b>(207.1%)</b>	-	<b>(41,965,805)</b>	<b>(41,965,805)</b>	56





BOARD OF DIRECTORS 2021

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

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF JULY 31, 2021

MICHELLE BOUCHARD  
 ACTING EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.221%	85,145	85,145
County Pool (Unrestricted)		Liquid Cash	0.980%	557,830	557,830
Other (Unrestricted)		Liquid Cash	0.050%	49,649,981	49,649,981
Other (Restricted)	**	Liquid Cash	0.050%	13,538,940	13,538,940
				\$ 63,831,896	\$ 63,831,896

Interest Earnings for July 2021	\$ 3,511.17
Cumulative Earnings FY2022	\$ 3,511.17

\* 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: Casey Fromson  
Chief Communications Officer, Acting

SUBJECT: **STATE AND FEDERAL LEGISLATIVE UPDATE**

Finance Committee Recommendation     Work Program-Legislative-Planning Committee Recommendation     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 and Community Relations Officer

650-508-6391



August 13, 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 – September 2021**

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### **General Update**

The Legislature reconvened from Summer Recess on August 16 and entered the final month of the first year of the 2021-22 Legislative Session. Fiscal committees have until August 27 to report bills to the floor of each house. The Legislature will adjourn on September 10. The Governor has until October 10 to act on bills sent to him in the final weeks of the session.

The date for the election to decide if Governor Newsom should be recalled has been set for September 14, though mail ballots have been going out since mid-August. County elections offices will have 30 days to certify the results and the Secretary of State will announce the official result approximately 8 days later. As such, we won't know the official outcome until late-October.

### **2021-22 State Budget**

On July 12, the Governor signed [SB 129 \(Skinner\)](#), a "Budget Bill Jr." that amends the main budget bill, [AB 128 \(Ting\)](#), signed by Governor Newsom on June 28. As we reported last month, SB 129 includes significant investments in transportation, including \$2.7 billion in funding for zero-emission vehicles and infrastructure and \$2.5 billion for statewide Transit and Intercity Rail Capital Program (TIRCP) funding, funding for the 2028 LA Olympics, and funding for grade separations statewide. Notably, SB 129 did not include the Governor's proposed \$4.2 billion investment in the California high-speed rail project, which is still the subject of ongoing negotiations between Legislative Leaders and Governor Newsom. Also, SB 129 dictates that a significant portion of the transportation funding (\$2.6 billion) only takes effect if subsequent legislation is approved by October 10. This ensures that if an agreement is not reached on high-speed rail, these funds will revert to the General Fund. The Caltrain leadership and advocacy team busy educating the legislative delegation on the need to include \$100 million in additional state funding to complete the electrification project. It is expected that discussions for this funding will be wrapped up in the last three weeks of session after the Legislature reconvenes.

Additionally, on July 16, the Governor signed [AB 149 \(Committee on Budget\)](#), the transportation trailer bill, which includes additional statutory relief measures for transit pursued this year, and which expand on the relief secured last year in the budget.

### **CalSTA Releases Draft TIRCP Guidelines**

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. The current focus is on updating the program to reflect the resources currently available through the budget, which includes approximately \$500-600 million of new funding for projects statewide through Fiscal Year 2026-27. The initial guidelines do not address the proposed additional \$2.6 billion for the program included in AB 129 (as discussed above). If additional funding is approved, CalSTA will update the guidelines to address the additional funding.

### **Grants**

In late-2020, the California Transportation Commission [awarded grants](#) for three SB 1 programs – the [Solutions for Congested Corridors Program](#) (SCCP), [Local Partnership Program](#) (LPP), and the [Trade Corridor Enhancement Program](#) (TCEP). 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. According to the CTC, the funded projects would create more than 100,000 jobs over the next several years. The CTC will solicit applications for the next round of funding in the fall of 2021. Additionally, we expect the [Transit and Intercity Rail Capital Program](#) (TIRCP) to follow a similar schedule. We will provide more information as it becomes available.

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

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

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

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

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

# Caltrain

## State Legislative Matrix 8/11/2021

Active Bills			
Bill Number (Author)	Summary	Location	Position
<a href="#">AB 339</a> ( <a href="#">Lee D</a> )  Local government: open and public meetings.	Existing law, the Ralph M. Brown Act, requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. Under existing law, a member of the legislative body who attends a meeting where action is taken in violation of this provision, with the intent to deprive the public of information that the member knows the public is entitled to, is guilty of a crime. This bill would require local agencies to conduct meetings subject to the act consistent with applicable state and federal civil rights laws, as specified. This bill contains other related provisions and other existing laws.  Amended: 7/5/2021	Senate Appropriations	Watch
<a href="#">AB 361</a> ( <a href="#">Rivas, Robert D</a> )  Open meetings: local agencies: teleconferences.	Existing law, the Ralph M. Brown Act requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding the timelines for posting an agenda and providing for the ability of the public to directly address the legislative body on any item of interest to the public. The act generally requires all regular and special meetings of the legislative body be held within the boundaries of the territory over which the local agency exercises jurisdiction, subject to certain exceptions. The act allows for meetings to occur via teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local agency's jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. The act authorizes the district attorney or any interested person, subject to certain provisions, to commence an action by mandamus or injunction for the purpose of obtaining a judicial determination that specified actions taken by a legislative body are null and void. This bill, until January 1, 2024, would authorize a local agency to use	Senate Third Reading	Watch

	<p>teleconferencing without complying with the teleconferencing requirements imposed by the Ralph M. Brown Act when a legislative body of a local agency holds a meeting during a declared state of emergency, as that term is defined, when state or local health officials have imposed or recommended measures to promote social distancing during a proclaimed state of emergency held for the purpose of determining, by majority vote, whether meeting in person would present imminent risks to the health or safety of attendees, and during a proclaimed state of emergency when the legislative body has determined that meeting in person would present imminent risks to the health or safety of attendees, as provided. This bill would require legislative bodies that hold teleconferenced meetings under these abbreviated teleconferencing procedures to give notice of the meeting and post agendas, as described, to allow members of the public to access the meeting and address the legislative body, to give notice of the means by which members of the public may access the meeting and offer public comment, including an opportunity for all persons to attend via a call-in option or an internet-based service option, and to conduct the meeting in a manner that protects the statutory and constitutional rights of the parties and the public appearing before the legislative body. The bill would require the legislative body to take no further action on agenda items when there is a disruption which prevents the public agency from broadcasting the meeting, or in the event of a disruption within the local agency's control which prevents members of the public from offering public comments, until public access is restored. The bill would specify that actions taken during the disruption are subject to challenge proceedings, as specified. This bill contains other related provisions and other existing laws.</p> <p>Amended: 7/6/2021</p>		
<p><a href="#">AB 1157</a> (<a href="#">Lee D</a>)</p> <p>Controller: transportation funds: distribution and reporting requirements.</p>	<p>Existing law, for purposes of the State Transit Assistance Program, requires local transportation agencies to report to the Controller by June 15 of each year the public transportation operators within its jurisdiction that are eligible to claim specified local transportation funds. This bill would instead require local transportation agencies to report this information within 7 months after the end of each fiscal year. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/15/2021</p>	<p>Senate Consent Calendar</p>	<p>Watch</p>
<p><a href="#">AB 1260</a> (<a href="#">Chen R</a>)</p> <p>California Environmental Quality Act: exemptions: transportation-related projects.</p>	<p>The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of an environmental impact report on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the</p>	<p>Senate Appropriations</p>	<p>Watch</p>

	<p>project, as revised, would have a significant effect on the environment. This bill would further exempt from the requirements of CEQA projects by a public transit agency to construct or maintain infrastructure to charge or refuel zero-emission trains, provided certain requirements are met, including giving prior notice to the public and holding a noticed public meeting, as provided. This bill contains other existing laws.</p> <p>Amended: 7/6/2021</p>		
<p><a href="#"><u>ACA 1 (Aguiar-Curry D)</u></a></p> <p>Local government financing: affordable housing and public infrastructure: voter approval.</p>	<p>(1)The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions. This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 12/7/2020</p>	<p>Assembly Local Government</p>	<p>Support February 2021</p>
<p><a href="#"><u>SB 44 (Allen D)</u></a></p> <p>California Environmental Quality Act: streamlined judicial review: environmental leadership transit projects.</p>	<p>The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of, an environmental impact report (EIR) on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. CEQA establishes a procedure by which a person may seek judicial review of the decision of the lead agency made pursuant to CEQA. This bill would, until January 1, 2025, establish specified procedures for the administrative and judicial review of the environmental review and approvals granted for an environmental leadership transit project, as defined, proposed by a public or private entity or its affiliates that is located wholly within the County of Los Angeles or connects to an existing project wholly located in that county and that is approved by the lead agency on or before January 1, 2024. The bill would require the project applicant of the environmental leadership transit project to take certain actions in order for those specified procedures to apply to the</p>	<p>Assembly Appropriations</p>	<p>Support February 2021</p>

	<p>project. The bill would require the Judicial Council, on or before January 1, 2023, to adopt rules of court establishing procedures requiring actions or proceedings seeking judicial review pursuant to CEQA or the granting of project approvals, including any appeals to the court of appeal or the Supreme Court, to be resolved, to the extent feasible and to the extent prioritizing those actions or proceedings will not exacerbate any civil case backlogs, within 365 calendar days of the filing of the certified record of proceedings with the court to an action or proceeding seeking judicial review of the lead agency's action related to an environmental leadership transit project. The bill would require the environmental leadership transit project to meet certain labor requirements. The bill would require the lead agency to prepare the EIR for an environmental leadership transit project in a specified manner and would require the concurrent preparation of the record of proceedings. The bill would specify that the provisions of the bill would only apply to the first 7 environmental leadership transit projects obtaining a certified environmental impact report. Because the bill would impose additional duties on the lead agency, this bill would impose a state-mandated local program.</p> <p>Amended: 7/14/2021</p>		
<p><a href="#">SB 339</a> (<a href="#">Wiener D</a>)</p> <p>Vehicles: road usage charge pilot program.</p>	<p>Existing law requires the Chair of the California Transportation Commission to create a Road Usage Charge (RUC) Technical Advisory Committee in consultation with the Secretary of Transportation. Under existing law, the purpose of the technical advisory committee is to guide the development and evaluation of a pilot program to assess the potential for mileage-based revenue collection as an alternative to the gas tax system. Existing law requires the technical advisory committee to study RUC alternatives to the gas tax, gather public comment on issues and concerns related to the pilot program, and make recommendations to the Secretary of Transportation on the design of a pilot program, as specified. Existing law repeals these provisions on January 1, 2023. This bill would extend the operation of these provisions until January 1, 2027. The bill would require the Transportation Agency, in consultation with the California Transportation Commission, to implement a pilot program to identify and evaluate issues related to the collection of revenue for a road charge program, as specified. The bill would require the RUC Technical Advisory Committee to make recommendations to the Transportation Agency on the design of the pilot program, including the group of vehicles to participate. The bill would require that if a group of vehicles other than state-owned vehicles is selected, that participation in the program be voluntary. The bill would require the Transportation Agency to convene a state agency work group, as specified, to implement the pilot program and to design a process for collecting road charge revenue from vehicles. The bill would require that participants in the program be charged a mileage-based fee, as specified, and receive a credit or a refund for fuel taxes or electric vehicle fees, as specified. The bill would require that the pilot program not affect funding levels for a program or purpose supported by state fuel tax and electric vehicle fee</p>	<p>Assembly Appropriations Suspense File</p>	<p>Support April 2021</p>



	<p>revenues. The bill would require the Transportation Agency to submit reports to the Legislature, as specified.</p> <p>Amended: 6/14/2021</p>		
<p><a href="#">SB 674</a> (<a href="#">Durazo D</a>)</p> <p>Public Contracts: workforce development: covered public contracts.</p>	<p>Existing law establishes the Labor and Workforce Development Agency, under the supervision of the Secretary of Labor and Workforce Development. Existing law establishes within the Labor and Workforce Development Agency, the Department of Industrial Relations, to foster, promote, and develop the welfare of the wage earners of California and to advance their opportunities for profitable employment, among other duties. This bill would require the Labor and Workforce Development Agency to create 2 programs, to be known as the California Jobs Plan Program and the United States Jobs Plan Program. The bill would require the programs to meet specified objectives, including supporting the creation and retention of quality, nontemporary full-time jobs, as specified, and the hiring of displaced workers and individuals facing barriers to employment. The bill would require, as a component of applications for covered public contracts, as defined, the creation of forms for each program that state the minimum numbers of proposed jobs that are projected to be retained and created if the applicant wins the covered public contract. These components of the application would be known as the California Jobs Plan and the United States Jobs Plan, which the bill would define. Pursuant to these definitions, applicants for covered public contracts would state the minimum number of jobs, proposed wages, benefits, investment in training, specific protections for worker health and safety, and targeted hiring plans for displaced workers and individuals facing barriers to jobs, as specified, in exchange for covered public contracts. The bill would require an applicant for a covered public contract that uses entirely state and local funds to complete a California Jobs Plan form, while applicants for covered public contracts that use any amount of federal funds would complete the United States Jobs Plan. This bill contains other related provisions and other existing laws.</p> <p>Amended: 7/7/2021</p>	<p>Assembly Appropriations</p>	<p>Watch</p>
<p><a href="#">SB 771</a> (<a href="#">Becker D</a>)</p> <p>Sales and Use Tax Law: zero emissions vehicle exemption.</p>	<p>Existing state sales and use tax laws impose a tax on retailers measured by the gross receipts from the sale of tangible personal property sold at retail in this state or on the storage, use, or other consumption in this state of tangible personal property purchased from a retailer for storage, use, or other consumption in this state. The Sales and Use Tax Law provides various exemptions from those taxes. This bill, on or after January 1, 2022, would provide an exemption from those taxes with respect to the sale in this state of, and the storage, use, or other consumption in this state of, a qualified motor vehicle, as defined, sold to a qualified buyer, as defined. The bill would provide that this exemption does not apply to specified state sales and use taxes from which the proceeds are deposited into the Local Revenue Fund, the Local Revenue Fund 2011, or the Local Public Safety Fund. This bill contains other</p>	<p>Assembly Desk</p>	<p>Watch</p>

	related provisions and other existing laws.  Amended: 5/11/2021		
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**Two Year Bills**

<p><b>AB 5 (Fong R)</b></p> <p>Greenhouse Gas Reduction Fund: High-Speed Rail Authority: K-12 education: transfer.</p>	<p>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The act authorizes the state board to include in its regulation of those emissions the use of market-based compliance mechanisms. Existing law requires all moneys, except for fines and penalties, collected by the state board from the auction or sale of allowances as part of a market-based compliance mechanism to be deposited in the Greenhouse Gas Reduction Fund. Existing law continuously appropriates 25% of the annual proceeds of the fund to the High-Speed Rail Authority for certain purposes. This bill would suspend the appropriation to the High-Speed Rail Authority for the 2023-24 and 2024-25 fiscal years and would require the transfer of those amounts from moneys collected by the state board to the General Fund. The bill would specify that the transferred amounts shall be available, upon appropriation, to augment funding for K-12 education and to support full-time in-person instruction for all students.</p> <p>Amended: 3/17/2021</p>	<p>Assembly 2 year</p>	<p>Watch</p>
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<p><b>AB 476 (Mullin D)</b></p> <p>Department of Transportation: state highways: transit bus pilot program.</p>	<p>Existing law vests the Department of Transportation with full possession and control of the state highway system and associated real property. Existing law generally requires vehicles to be driven upon the right 1/2 of a roadway, defined to include only that portion of a highway improved, designed, or ordinarily used for vehicular travel. Existing law generally prohibits the driver of a vehicle from overtaking and passing another vehicle by driving off the paved or main-traveled portion of the roadway. Existing law authorizes the Monterey-Salinas Transit District and the Santa Cruz Metropolitan Transit District to conduct a transit bus-only program using the shoulders of certain state highways as transit bus-only traffic corridors, subject to approval by the Department of Transportation and the Department of the California Highway Patrol. Existing law requires that the highway segments to be used for the program are to be jointly determined by the districts, the department, and the Department of the California Highway Patrol, as provided. This bill would authorize the Department of Transportation to establish a pilot program to authorize a transit operator or operators to operate transit buses on the shoulders of state highways, under a project selected under the program. The bill would authorize an operator or operators, in partnership with a regional transportation agency that meets specified requirements, to submit an application to the department to establish and operate a project under the program. The bill would authorize the department to select no more than 8 total projects under the program using guidelines developed with input from the Department of the California Highway Patrol and the public. The bill would require the department, the</p>	<p>Assembly 2 year</p>	<p>Watch</p>
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	<p>Department of the California Highway Patrol, and the operator or operators and regional transportation agency that submitted the application to jointly determine the state highways, or segment of state highways, that will be used in a project. The bill would require the applicable regional transportation agency to be responsible for all costs attributable to the project. Two years after commencing a project, the bill would require an operator or operators, in conjunction with the applicable regional transportation agency, to submit a report to the Legislature that includes certain information about the project.</p> <p>Amended: 3/16/2021</p>		
<p><a href="#">AB 629</a> (<a href="#">Chiu D</a>) San Francisco Bay area: public transportation.</p>	<p>(1)Existing law creates the Metropolitan Transportation Commission as a local area planning agency for the 9-county San Francisco Bay area with comprehensive regional transportation planning and other related responsibilities. Existing law creates various transit districts located in the San Francisco Bay area, with specified powers and duties relative to providing public transit services. This bill would require the commission on or before February 1, 2022, to submit a copy of a specified transit fare study undertaken by the commission to certain committees of the Legislature. The bill would require the commission to submit a report on or before January 1, 2023, to those entities on the progress of implementing the recommendations of that study. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/22/2021</p>	Assembly 2 year	Watch
<p><a href="#">AB 703</a> (<a href="#">Rubio, Blanca D</a>) Open meetings: local agencies: teleconferences.</p>	<p>Existing law, the Ralph M. Brown Act, requires, with specified exceptions, that all meetings of a legislative body of a local agency, as those terms are defined, be open and public and that all persons be permitted to attend and participate. The act contains specified provisions regarding the timelines for posting an agenda and providing for the ability of the public to observe and provide comment. The act allows for meetings to occur via teleconferencing subject to certain requirements, particularly that the legislative body notice each teleconference location of each member that will be participating in the public meeting, that each teleconference location be accessible to the public, that members of the public be allowed to address the legislative body at each teleconference location, that the legislative body post an agenda at each teleconference location, and that at least a quorum of the legislative body participate from locations within the boundaries of the local agency's jurisdiction. The act provides an exemption to the jurisdictional requirement for health authorities, as defined. This bill would remove the notice requirements particular to teleconferencing and would revise the requirements of the act to allow for teleconferencing subject to existing provisions regarding the posting of notice of an agenda, provided that the public is allowed to observe the meeting and address the legislative body directly both in person and remotely via a call-in option or internet-based service option, and that a quorum of members participate in person from a singular physical location clearly identified on the agenda that is open to the public and situated within the jurisdiction. The bill would require that, in each instance in which notice of the</p>	Assembly 2 year	Watch

	<p>time of the teleconferenced meeting is otherwise given or the agenda for the meeting is otherwise posted, the local agency also give notice of the means by which members of the public may observe the meeting and offer public comment and that the legislative body have and implement a procedure for receiving and swiftly resolving requests for reasonable accommodation for individuals with disabilities, consistent with the federal Americans with Disabilities Act, as provided. This bill contains other related provisions and other existing laws.</p> <p>Amended: 4/29/2021</p>		
<p><a href="#">AB 823</a> (<a href="#">Gray D</a>)</p> <p>High-Speed Rail Authority: trains powered by fossil fuel combustion engines.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state, with specified powers and duties. Existing law requires the high-speed rail system to be designed to use electric trains. Existing law authorizes the authority, upon receiving legislative or voter approval, to enter into contracts with private or public entities for the design, construction, and operation of high-speed trains. This bill would prohibit the authority from directly or indirectly using local, state, federal, or any other public or private funding to purchase, lease, operate, or maintain a passenger or freight train powered by a diesel engine or other type of fossil fuel combustion engine, and from enabling such a train to operate on authority-owned rail infrastructure designed for speeds in excess of 125 miles per hour, except as specified.</p> <p>Introduced: 2/16/2021</p>	Assembly 2 year	Watch
<p><a href="#">AB 1116</a> (<a href="#">Friedman D</a>)</p> <p>High-Speed Rail Authority: oversight: Legislative Analyst's Office.</p>	<p>Existing law creates the High-Speed Rail Authority with specified powers and duties related to the development and implementation of a high-speed train system. Existing law, pursuant to the Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century, approved by the voters as Proposition 1A at the November 4, 2008, statewide general election, provides for the issuance of \$9.95 billion in general obligation bonds for high-speed rail and related rail purposes. This bill would require the Legislative Analyst's Office, for the purpose of reviewing the planning, financing, expenditures, and other elements of the statewide high-speed rail system, to review any materials submitted to the authority and documents the authority requests from contractors, consultants, or external parties, as specified, and to provide recommendations to the policy and budget committees of the Legislature regarding the statewide high-speed rail system and the development of shared mobility systems statewide. The bill would require the authority, and any entity contracting with the authority, to provide to the Legislative Analyst's Office any information that it requests and to permit representatives of the Legislative Analyst's Office to attend the authority's internal meetings. The bill would repeal these requirements on January 1, 2031.</p> <p>Introduced: 2/18/2021</p>	Assembly 2 year	Watch
<p><a href="#">AB 1235</a> (<a href="#">Patterson R</a>)</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state, with specified</p>	Assembly 2 year	Watch

<p>High-speed rail: legislative oversight.</p>	<p>powers and duties. Existing law requires the authority, on or before March 1, 2017, and every 2 years thereafter, to provide a project update report, approved by the Secretary of Transportation as consistent with specified criteria, to the budget committees and the appropriate policy committees of both houses of the Legislature, on the development and implementation of intercity high-speed train service, as provided. This bill would create the Joint Legislative High-Speed Rail Oversight Committee consisting of 3 Members of the Senate and 3 Members of the Assembly to provide ongoing and independent oversight of the high-speed rail project by performing specified duties, and would require the committee to make recommendations to the appropriate standing policy and budget committees of both houses of the Legislature to guide decisions concerning the state's programs, policies, and investments related to high-speed rail. The bill would require the authority to provide the committee with certain documents and information within prescribed timelines, and would require the authority to permit the chairperson of the committee, or the chairperson's designee, to attend meetings of any internal governance committees related to project oversight, as provided.</p> <p>Introduced: 2/19/2021</p>		
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## Caltrain As of August 16, 2021 - Transportation Report

### **Senate Passes Infrastructure Investment and Jobs Act**

- On August 10, the U.S. Senate voted [69-30](#) to pass the Infrastructure Investment and Jobs Act ([H.R. 3684](#)), bipartisan legislation to invest in the nation's infrastructure, including funding for roads and bridges, rail, transit, ports, airports, electric grid, water systems, broadband, among other priorities. The legislation provides \$550 billion in new spending.
- Senate passage of the bipartisan infrastructure package follows months of negotiations between the White House and a bipartisan cohort of senators on the infrastructure component of President Joe Biden's original [American Jobs Plan](#).
- The legislation includes several authorizing bills, including the Surface Transportation Reauthorization Act of 2021 ([S. 1931](#)), Surface Transportation Investment Act ([S. 2016](#)), Drinking Water and Wastewater Infrastructure Act ([S. 914](#)) and the Energy Infrastructure Act ([S. 2377](#)), among others. In addition, the bill provides supplemental appropriations for many of these authorized programs, both existing and new.
- The House of Representatives is scheduled to return from recess early on August 23 to consider the bipartisan infrastructure package as well as the Senate-passed budget resolution.
  - In a [Dear Colleague](#) circulated on August 15, House Speaker Nancy Pelosi (D-Calif.) said she has requested that the Rules Committee explore the possibility of a rule that advances both the budget resolution and the bipartisan infrastructure package to put the House on a path to advance the infrastructure bill and the reconciliation bill simultaneously.

*Transportation provisions in the bipartisan infrastructure bill include:*

### **Public Transit**

The Senate Committee on Banking, Housing, and Urban Affairs, that oversees the Federal Transit Administration (FTA), was the only transportation authorization committee in the Senate that had not drafted its portion of the surface transportation authorization bill. The transit section was drafted during the bipartisan infrastructure negotiations; and therefore, there are not many policy changes for transit versus previous transportation authorization bills.

**Capital Investment Grants:** \$15 billion over five years (\$3 billion each year) to support new and expanded high-capacity rail and bus service.

- Increases the threshold for capital costs from \$300 million to \$400 million, and federal share from \$100 million to \$150 million for Small Starts. Funds for Small Starts is \$1.2 billion (\$240 million each year).
- Amends Core Capacity eligibility to use a 10-year timeframe versus 5 years to demonstrate capacity needs. Funds for Core Capacity is \$1.6 billion (\$320 million each year) which supports upgrades for existing corridors to handle increased demand.
- Includes \$800 million (\$160 million each year) for a pilot program for Expedited Project Delivery.
- Establishes a process to allow multiple projects in a community to move forward simultaneously for immediate and future bundling of projects allowing sponsors to seek savings during the contracting process. This replaces the "Program of Interrelated Projects" eligibility.

**State of Good Repair Formula Grants:** \$18.39 billion (\$3.68 billion each year) to support maintenance, replacement, and rehabilitation projects that help transit agencies maintain assets in a state of good repair.

- The section establishes a new competitive grant program to replace rail rolling stock that is past its useful life.

**Bus Formula Grants:** \$3.161 billion (\$632 million each year)

**Bus Competitive:** \$2.34 billion (\$468 million each year)

**Low-No Buses:** Provides an additional \$5.25 billion (\$1.05 billion each year) for the Low-No Bus Programs, which provides funding to state and local governments for the purchase or lease of zero-emission and low-emission transit buses, including acquisition, construction, and leasing of required supporting facilities.

- The Low-No Program will also support workforce training, to ensure that diesel mechanics and other transit workers are not left behind in the transition to new technology.

**Urbanized Area Formula Grants:** \$33.54 billion (\$6.71 billion each year)

#### **Assault On A Transit Worker**

- Includes a new definition for 'assault on a transit worker,' which is defined as "a circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual, or with a reckless disregard for the safety of human life, interferes with, disables, or incapacitates a transit worker while the transit worker is performing the duties of the transit worker." The new definition facilitates better safety data collection.
- Establishes a Critical Incident Stress Plan in which, among other clauses, requires that assaults of commuter railroads and intercity passenger railroads employees who directly interact with passengers are included in the definition of critical incident under the regulations.

- The National Transit Database section requires data relating to assaults on a transit worker and fatalities resulting from impact with a bus to be reported into the NTD.

## **Highways**

The legislation includes the Surface Transportation Reauthorization Act of 2021 (S. 1931) that the Senate Committee on Environment and Public Works voted unanimously to approve on May 26, 2021. This legislation authorizes the Federal-Aid Highway Program for five years (FY 2022-2026). Below summarizes changes to existing Federal Highway Administration (FHWA) programs and the new programs created.

### **Surface Transportation Block Grant Program:** \$72 billion (\$14.4 billion each year)

- The Surface Transportation Block Grant Program is a federal-aid transportation program, administered by the Federal Highway Administration (FHWA), which provides funding used by states and localities for transportation improvement projects. The funding may be used by States and localities for projects to preserve and improve the conditions and performance on any Federal-aid highway and certain local roads, pedestrian and bicycle infrastructure, transit capital, planning projects, and intercity passenger projects.
- Adds new eligibilities to the Surface Transportation Block Grant (STBG) Program, including electric vehicle charging infrastructure and vehicle-to-grid infrastructure, installation and deployment of intelligent transportation technologies, projects that facilitate intermodal connections between emerging transportation technologies, resilience features, cybersecurity protections, waterfront infrastructure projects and projects to enhance travel and tourism.
- Adds new eligibilities to the Surface Transportation Block Grant (STBG) Program, including electric vehicle charging infrastructure and vehicle-to-grid infrastructure, installation and deployment of intelligent transportation technologies, projects that facilitate intermodal connections between emerging transportation technologies, resilience features, cybersecurity protections, waterfront infrastructure projects and projects to enhance travel and tourism.

### **Transportation Alternatives Program:** \$7.2 billion (\$1.44 billion each year)

- The FAST Act eliminates the MAP-21 Transportation Alternatives Program (TAP) and replaces it with a set-aside of Surface Transportation Block Grant (STBG) program funding for transportation alternatives (TA). These set-aside funds include all projects and activities that were previously eligible under TAP, encompassing a variety of smaller-scale transportation projects such as pedestrian and bicycle facilities, recreational trails, safe routes to school projects, community improvements such as historic preservation and vegetation management, and environmental mitigation related to stormwater and habitat connectivity.
- Increases the amount of funding set aside within the STBG Program for the Transportation Alternatives Program (TAP); increases the minimum percentage of TAP funding that is sub-allocated on the basis of population from current 50 percent to 59 percent.



**Congestion Mitigation and Air Quality Improvement Program:** \$13.2 billion (\$2.64 billion each year)

- The CMAQ program provides funds to State DOTs, MPOs, and transit agencies to invest in projects that reduce emissions from transportation-related sources. Funds may be used for a transportation project or program that is likely to contribute to the attainment or maintenance of a national ambient air quality standard, with a high level of effectiveness in reducing air pollution, and that is included in a metropolitan planning organization's (MPO's) current transportation plan and transportation improvement program (TIP) or current state transportation improvement program (STIP) in areas without an MPO.
- Adds eligibility for Congestion Mitigation and Air Quality Improvement Program (CMAQ) funds to be used on shared micromobility, including bike share and shared scooter systems, as well as for the purchase of medium- or heavy-duty zero emission vehicles and related charging equipment.

**Railway-Highway Grade Crossings:** \$1.225 billion (\$245 million each year)

- Continues to set aside \$245 million of the Highway Safety Improvement Program (HSIP) funding for the Railway-Highway Crossings (Section 130) Program each year. Increases the federal share for projects funded under the Section 130 program from 90 percent to 100 percent, as well as clarifies that the replacement of functionally obsolete warning devices is an eligible expense.

**National Highway Freight Program:** \$7.15 billion (\$1.43 million each year)

- Increases the maximum number of highway miles a state may designate as critical rural freight corridors from 150 to 300 miles, and critical urban freight corridors from 75 to 150 miles.

**Formula Carbon Reduction Program:** \$6.42 billion (\$1.284 million each year)

- **Formula program; Allocated to urbanized areas**
  - Establishes a new carbon reduction program to reduce transportation emissions.
  - 65 percent of funding under this program would be sub-allocated by population.
  - Eligible projects include:
    - Traffic monitoring, management and control facility or program
    - Public transportation
    - On-road and off-road trail facilities for pedestrians and bicyclists
    - Advanced transportation and congestion management technologies
    - Deployment of infrastructure-based intelligent transportation systems (ITS) capital improvements and the installation of vehicle to infrastructure communications equipment
    - Replacing street lighting and traffic control devices with energy-efficient alternatives
    - Development of a carbon reduction strategy

**Promoting Resilient Operations for Transformative, Efficient and Cost-saving Transportation (PROTECT) Grant Program:** \$7.3 billion in formula (\$1.46 million each year) and \$1.4 billion in competitive grants (\$280 million each year)

- Establishes the PROTECT Grant Program, which would provide \$7.3 billion in formula funding and \$1.4 billion in competitive set-aside grants (over five years) for resilience improvements at the state and municipal levels.
- The PROTECT grants are intended to incentivize state and local communities as they seek to improve the resiliency of natural infrastructure such as wetlands, floodplains and aquatic ecosystems. Specifically, the grants would provide planning and resilience improvement funding to communities to help to assess vulnerabilities to current and future weather events or other natural disasters, and to enhance transportation assets such as ports and port infrastructure. In addition to evaluating vulnerabilities, resilience improvement grants can be utilized to relocate infrastructure out of the floodplain and restore aquatic ecosystems connected to a transportation improvement.

**Nationally Significant Freight and Highway Projects (INFRA):** \$4.8 billion (\$960 million each year)

- Renames the Nationally Significant Freight and Highway Projects program (also known as the Infrastructure for Rebuilding America or INFRA grant program) to be the Nationally Significant Multimodal Freight and Highway Program.
- Raises the cap on multimodal (rail/port) projects from 10 percent to 30 percent of the grants for each year.

**Congestion Relief Program:** \$250 million (\$50 million each year)

- Establishes a congestion relief program to provide competitive grants to states, local governments and metropolitan planning organizations (MPO) for projects in large urbanized areas (more than 1 million people) to advance innovative, integrated and multimodal solutions to congestion relief in the most congested metropolitan areas of the United States.
- Grant awards shall be not less than \$10 million. When selecting grants, the DOT Secretary shall give priority to eligible projects located in urbanized areas that are experiencing high degrees of recurrent congestion.
- The federal cost-share shall not exceed 80 percent of the total cost of a project.

**Healthy Streets Program:** \$500 million (\$100 million each year)

- Establishes the Healthy Streets program to provide grants to eligible entities to deploy cool pavements and porous pavements and to expand tree cover.
- The goals of the program are to mitigate urban heat islands, improve air quality and reduce the extent of impervious surfaces, storm water runoff and flood risks and heat impacts to infrastructure and road users.

**Reconnecting Communities Pilot Program:** \$500 million (\$100 million each year)

- Establishes the Community Connectivity Pilot program through which eligible entities may apply for: 1) planning funds to study the feasibility and impacts of removing, retrofitting or mitigating existing transportation facilities that create barriers to mobility, access or economic development and 2) construction funds to carry out a project to remove, retrofit or mitigate an eligible facility and, if appropriate, to replace it with a new facility.

- An eligible facility includes a limited access highway, viaduct or any other principal arterial facility that creates a barrier to community connectivity, including barriers to mobility, access or economic development, due to high speeds, grade separations or other design factors.
- Planning grant awards may not exceed \$2 million, and the federal cost share for a project may not exceed 80 percent. Capital construction grants must be at least \$5 million, and the federal cost share for a project may not exceed 50 percent.

**Highway Safety Improvement Program: \$15.575 billion (\$3.115 million each year)**

- Allows flexibility for Highway Safety Improvement Program (HSIP) to be used for non-infrastructure activities and behavioral safety projects, such as educational campaigns about traffic safety and enforcement activities; and allows a state to spend up to 10 percent of its HSIP funding on such projects and Safe Routes to School non-infrastructure-related activities.
- Adds projects eligible for HSIP funding:
  - Grade separation projects.
  - Construction or installation of features, measures and road designs to calm traffic and reduce vehicle speeds.
  - Installation or upgrades of traffic control devices for pedestrians and bicyclists, including pedestrian hybrid beacons and the addition of bicycle movement phases to traffic signals.
  - Roadway improvements that provide separation between pedestrians and motor vehicles or between bicyclists and motor vehicles, including medians, pedestrian crossing islands, protected bike lanes and protected intersection features.

**Stopping Threats on Pedestrians: \$25 million (\$5 million each year)**

- Establishes a grant program to provide assistance to state departments of transportation and local government entities for bollard installation projects designed to prevent pedestrian injuries and acts of terrorism in areas used by large numbers of pedestrians.

**Bridge Grant Program: \$3.265 billion (\$653 million each year)**

- Establishes a new competitive grant program to assist state, local, federal and tribal entities in rehabilitating or replacing bridges, including culverts.
- The minimum grant amount for a large project is not less than \$50 million; the minimum grant amount for any other eligible project is \$2.5 million.
- Grant amounts, in combination with other anticipated funds, should be of a size sufficient to enable the project to proceed through completion.
- The bridge program would include an application and evaluation process for large projects, after which the Transportation Secretary would submit an annual report to Congress on funding recommendations, based on project evaluations. Large projects will be funded with multi-year funding agreements similar to the Federal Transit Administration (FTA) Full Funding Grant Agreement (FFGA) program. At least 50 percent of program funds over five years must be used for large projects.

**Rail/Safety/Freight**

The bill includes the Surface Transportation Investment Act (S. 2016) that the Senate Committee on Commerce, Science, and Transportation passed on June 16, 2021. S. 2016 authorizes \$78 billion over five years for rail, freight and safety programs.

#### **National Motor Vehicle Per-Mile User Fee Pilot**

- Directs the Transportation Secretary to establish a pilot program to demonstrate a national motor vehicle per-mile user fee. In carrying out the pilot program, the Secretary shall provide different methods that volunteer participants can choose from to track motor vehicle miles traveled and solicit volunteer participants from all 50 states, the District of Columbia and the Commonwealth of Puerto Rico.

#### **Strategic Innovation for Revenue Collection**

- Reauthorizes and renames the Surface Transportation System Funding Alternatives Program, to continue to test the feasibility of a road usage fee and other user-based alternative revenue mechanisms to help maintain the long-term solvency of the Highway Trust Fund, through pilot projects at the state, local and regional level. Expands eligible applicants from state DOTs, to include local governments and MPOs.

#### **National Infrastructure Project Assistance: \$10 billion**

- Establishes the National Infrastructure Project Assistance Program to provide single- or multiyear grants to projects generating national or regional economic, mobility or safety.
- Eligible projects include highway or bridge projects, freight intermodal or freight rail projects, railway-highway grade separation or elimination projects, intercity passenger rail projects and certain public transportation projects.

#### **Local and Regional Project Assistance: \$7.5 billion (\$1.5 billion each year)**

- Authorizes and renames the RAISE/BUILD program.
- Limits the size of each grant to \$25 million and provides an equal split between rural and urban areas.

#### **Federal-State Partnership Intercity Passenger Rail: \$7.5 billion (\$1.5 billion each year)**

#### **Federal Railroad Administration (FRA) Consolidated Rail Infrastructure and Safety Improvement (CRISI): \$5 billion (\$1 billion each year)**

#### **FRA Railroad Crossing Elimination Program: \$3 billion (\$600 million each year)**

- Authorizes a new competitive grant program for the elimination of hazards at railway-highway crossings.

#### **Safe Streets and Roads for All Grant Program: \$1 billion (\$200 million each year)**

- Establishes a grant program for MPOs, local governments and tribal governments to develop and carry out comprehensive safety plans to prevent death and injury on roads and streets, commonly known as "Vision Zero" or "Toward Zero Deaths" initiatives.

## **Electric Vehicles (EVs)**

President Joe Biden has committed to deploying a national network of 500,000 charging stations, in support of his broader commitment to reduce economy-wide emissions by 50 percent by 2030. The legislation invests \$7.5 billion to initiate the build out of this network of chargers. The bill provides funding for deployment of EV chargers along [highway corridors](#) to facilitate long-distance travel and within communities.

Numerous House Democrats, as well as industry leaders, are calling for an even larger sum of funding for electric vehicles in the infrastructure package.

### **Charging and Refueling Grant Program:** \$2.5 billion (\$500 million each year)

- Authorizes \$2.5 billion over five years to establish a grant program at DOT for [Alternative Fuel Corridors](#) as proposed in the Senate Committee on Environment and Public Works surface transportation reauthorization bill (S. 1931).
- The grant program would include a set-aside for Community Grants, under the surface transportation reauthorization. The program is designed to strategically deploy publicly accessible alternative fuel vehicle charging infrastructure along designated alternative fuel corridors or in certain other locations that will be accessible to all drivers of alternative fuel vehicles.
- Eligible entities are state and local governments, MPOs and other public-sector entities.
- Grants are to be used to contract with a private entity for acquisition and installation of publicly accessible alternative fuel vehicle charging and fueling infrastructure that is directly related to the charging or fueling of a vehicle. Eligible entities may use a portion of grant funds to provide a private entity operating assistance for the first five years of operations after infrastructure installation.
- 50 percent of the total program funds will be made available each fiscal year for Community Grants, to install charging infrastructure in locations on public roads, schools, parks, and in publicly accessible parking facilities. These grants will be prioritized for rural areas, low- and moderate income neighborhoods and communities with low ratios of private parking or high ratios of multiunit dwellings.
- The federal cost share for a project may not exceed 80 percent. Further, as a condition of contracting with an eligible entity, a private entity must agree to pay the non-federal share of project costs.

### **EV Charging Formula Program:** \$5 billion (\$1 billion each year)

- To complement the \$2.5 billion for the Charging and Refueling Grant program at DOT, the legislation appropriates \$1 billion per year for five years (\$5 billion total) to establish a National Electric Vehicle Formula Program at DOT to provide additional funding to states to deploy EV charging infrastructure.
- Eligible Use of Funds: 1) Acquisition and installation of EV infrastructure to serve as a catalyst for the deployment of such infrastructure and to connect it to a network to facilitate data collection, access and reliability; 2) operation and maintenance; and 3) data sharing about EV infrastructure.
- Charging stations must be located along a designated Alternative Fuel Corridor.

- The federal cost-share for a project may not exceed 80 percent. Private entity may pay the non-federal share of the cost of the project.
- Directs DOT to establish a deadline for states to provide a plan describing how the state plans to use the funding. Requires DOT and the U.S. Department of Energy (DOE) to develop, in concert, guidance for states and localities to strategically deploy EV charging infrastructure.
- Grants may be used to contract with a private entity for acquisition and installation of publicly accessible alternative fuel vehicle charging and fueling infrastructure that is directly related to the charging or fueling of a vehicle.
- Establishes a Joint Office of Energy and Transportation at DOT and DOE to coordinate work on EV infrastructure, which would include new installation and interoperability standards.

### **Appropriators Begin FY 2022 Process**

- Last week, the Senate Appropriations Committee advanced its first three spending bills for fiscal year (FY) 2022: Agriculture-FDA, Energy and Water, and Military Construction-VA). The House passed nine of 12 spending bills ahead of August recess.
- The White House, House and Senate have not reached an agreement on top-line spending levels for all 12 bills. Lawmakers are unlikely to complete their work on appropriations before the September 30, 2021, end of the current fiscal year, and talks will turn to a continuing resolution when lawmakers return from recess.
- The House returns from recess on August 23, while the Senate is out until September 13.
- Transportation funding in the appropriations bills include:

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

## **Grant Opportunities & Award Announcements**

- **Advanced Transportation and Congestion Management Technologies Deployment Initiative:** \$60 million available. Applications are due by August 23, 2021.
- **FY 2021 Competitive Funding Opportunity: Areas of Persistent Poverty Program:** \$1 million available. Applications are due by August 30, 2021.
- **Accelerated Innovation Deployment (AID) Demonstration Program:** \$10 million available. Applications are due by September 28, 2021.
- **FY 2021 Competitive Funding Opportunity: Passenger Ferry Grant Program:** \$38 million available. Applications due by October 5, 2021.



## **Caltrain Earmarks Submitted for Consideration:**

*As of August 18, 2021*

Please note, negotiations on the inclusion of earmarks in a variety of key federal legislative packages continues to evolve. It was recently announced that earmarks will not be included in the Senate’s version of the surface transportation reauthorization package, which has been folded into the Senate-led bipartisan infrastructure package, known as the Infrastructure Investment and Jobs Act (IIJA). 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. If both Legislative Chambers do not pass all Appropriations bills by the September 30<sup>th</sup> deadline, they will need to pass a continuing resolution (CR) in the interim, which would not include earmarks.

### **THUD Appropriations**

House:

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

### **Surface Transportation Reauthorization (House T&I):**

<b>Project</b>	<b>Submitted By</b>	<b>Amount</b>
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:

<b>Project</b>	<b>Submitted By</b>	<b>Amount</b>
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: April Chan  
Chief Officer, Planning, Grants and TA

SUBJECT: **AUTHORIZE EXECUTION OF AN EXCLUSIVE NEGOTIATION AGREEMENT TO  
EXPLORE A PROPERTY EXCHANGE WITH KM-ECR LLC**



Finance Committee  
Recommendation



Work Program-  
Legislative-Planning



Staff Coordinating  
Council Reviewed



Staff Coordinating Council  
Recommendation

**ACTION**

Staff Coordinating Council recommends that the Board authorize the Acting Executive Director, or designee, to execute an Exclusive Negotiation Agreement (ENA) between the Peninsula Corridor Joint Powers Board (JPB) and KM-ECR LLC to explore a property exchange which would include the vacation of property owned by the City of Redwood City.

**SIGNIFICANCE**

Execution of a 120-days ENA, that may be extended another 90 days by the Executive Director at her sole discretion, would allow KM-ECR LLC and JPB the opportunity to negotiate terms of a potential property exchange that would have the following benefits to JPB, among others:

- Create a more conventionally-shaped JPB parcel; and
- Allow JPB to acquire a property that would likely be impacted by a four-track station expansion/grade separation project; and
- The KM-ECR LLC would assume responsibility for providing open space to replace the Little River Park and for building on top of the creek; and
- The KM-ECR LLC would cover Caltrain negotiating costs.
- The maps attached as Exhibit A show the approximate boundaries of the property exchange parcels; the exact boundaries will be finalized during the negotiation process.

The ENA will allow JPB to exclusively negotiate the details of a potential property exchange, but does not obligate JPB to enter into or approve the exchange.

### **BUDGET IMPACT**

Upon execution of the ENA, JPB will receive a refundable deposit of \$30,000 from KM-ECR LLC, which will be used to pay for JPB's actual costs incurred during negotiations. Any unused portion of the deposit will be refunded to JPB while KM-ECR LLC will increase the deposit if JPB's costs exceed the deposit amount.

### **BACKGROUND**

KM-ECR LLC owns two parcels that are directly contiguous to the Redwood City Caltrain Station: The AutoZone building on El Camino Real and the A1 Party Rental site on Broadway.

They have submitted an application to develop the El Camino property with a seven-story office building and intend to provide a series of public benefits as part of the development program, including: a teen center, a public plaza and 60 affordable housing units at an off-site location.

After reviewing KM-ECR LLC's proposed development, the City approached Caltrain and KM-ECR LLC about exploring a 3-way land swap in which the City would vacate parts of two public streets and replace them with a new street designed to make a more regularly-shaped and efficient street grid to implement the City's long range plans for the station area.

KM-ECR LLC and JPB would swap land to convert two unconventionally-shaped sites into more efficient sites for both entities. KM-ECR LLC would also be responsible to "move" Little River Park (a creek and open space area on JPB property) by creating open space on its property. The swap would enable KM-ECR LLC to increase the size of its off-site affordable housing development by 40 units, at its sole cost and expense.

Staff's initial assessment is that there would be minimal or no impact to transit operations on JPB property.

As part of the negotiations, JPB would need to address the federal interest in the station property that was created when the site was purchased using federal funds in the late 1980's.

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

650.508.7781

**Principal Points for Exclusive Negotiating Agreement**  
(with Minkoff Group/KM-ECR LLC and Samtrans)

- This will be agreement benefiting Minkoff Group, Samtrans, and Redwood City which will include the following:
  - A no cost Land Swap between Minkoff Group and Samtrans
  - The elimination of portion of California Street and its underground utilities (and the creation of a new Franklin Street and underground utilities)
  - The relocation and expansion of public open space

**Main Points / Benefits**

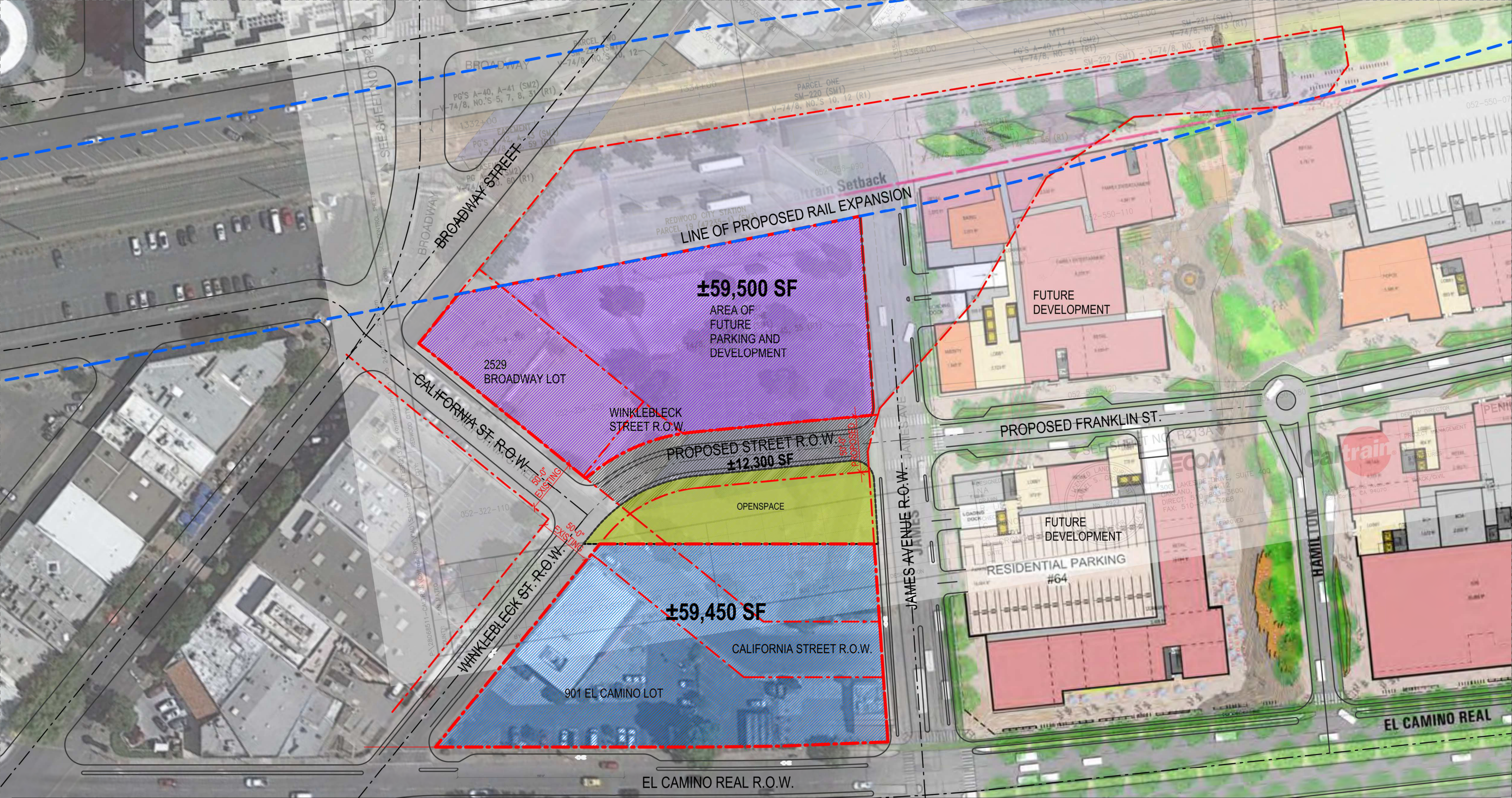
- This land swap will help create more regular shaped parcels for Minkoff Group and Samtrans (resulting in more efficient layouts for parking and future structures).
- By controlling the 2529 Broadway parcel, Samtrans will have more efficient surface parking in the short term, and will have more flexibility for future station/track alignment and future development in the long term.
- With this land swap, Redwood City gains the opportunity to create a more desirable street grid (as envisioned in the DTPP).
- The relocation of the existing underground utilities provides the opportunity to modernize and upgrade these utilities thereby benefiting all parties.
- The land transfer and street re-alignment creates the opportunity to expand, consolidate and enhance the public open space area benefiting all parties.

**Economics (No Cost to Samtrans)**

- Minkoff Group will transfer its 100% fee interest in the 2529 Broadway Parcel to Samtrans and in exchange Samtrans will transfer a similar sized parcel to the Minkoff Group.
- The Minkoff Group will pay for Samtrans negotiating costs (under an exclusive right to negotiate).

The maps attached show the approximate boundaries of the property exchange parcels; the exact boundaries will be finalized during the negotiation process.





<p><b>EXISTING J.P.B. TOTAL ±61,300 SF</b></p> <p>2529 BROADWAY LOT ±17,100 SF          901 EL CAMINO LOT ±36,150 SF  <b>EXISTING DEVELOPER TOTAL ±53,250 SF</b></p>	<p>2529 BROADWAY LOT ±16,700 SF          WINKLEBLECK R.O.W. ±1,700 SF          (E) J.P.B. LOT ±41,100 SF  <b>PROPOSED J.P.B. TOTAL ±59,500 SF</b></p> <p>(N) DEVELOPER LOT ±10,100 SF          CALIFORNIA ST. R.O.W. ±13,200 SF          901 EL CAMINO LOT ±36,150 SF  <b>PROPOSED DEVELOPER TOTAL ±59,450 SF</b></p>
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**NOTE: THE FIGURES REPRESENT GENERAL ESTIMATES FROM GRAPHIC DRAWINGS AND MAPS PROVIDED.**

**PROPOSED**

**RESOLUTION NO. 2021-**

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

\* \* \*

**AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE AN EXCLUSIVE NEGOTIATION  
AGREEMENT FOR PROPERTY EXCHANGE WITH KM-ECR LLC IN THE CITY OF REDWOOD CITY**

**WHEREAS**, the Peninsula Corridor Joint Powers Board (JPB) desires to engage in a property exchange involving property owned by the JPB in the City of Redwood City with KM-ECR LLC; and

**WHEREAS** the JPB wishes to acquire a property that is likely to be impacted by a four-track station expansion and grade separation project and the property exchange proposed by the City of Redwood City would create a more conventionally shaped parcel for the JPB; and

**WHEREAS** KM-ECR LLC owns two parcels that are directly contiguous to the Redwood City Caltrain Station: the AutoZone building on El Camino Real and the A1 Party Rental site on Broadway; and

**WHEREAS** after reviewing KM-ECR LLC's proposed development, the City of Redwood City approached JPB and KM-ECR LLC about exploring a three-way land swap in which the City would vacate parts of two public streets and replace them with a new street deigned to make a more regularly-shaped and efficient street grid to implement the City's long range plans for the station area; and

**WHEREAS** KM-ECR LLC and JPB would swap land to convert two unconventionally shaped sites into more efficient sites for both entities. KM-ECR LLC would also be responsible for relocating Little River Park (a creek and open space area on JPB property) by creating open space on its property. The swap would enable KM-

ECR LLC to increase the size of its off-site affordable housing development by 40 units, at its sole cost and expense; and

**WHEREAS**, an Exclusive Negotiation Agreement (ENA) will allow JPB to exclusively negotiate the details of a potential property exchange that would allow JPB to acquire a more conventionally-shaped parcel of land that would likely be impacted by a four track station expansion but does not obligate JPB to enter into or approve the exchange, and KM-ECR LLC will cover the negotiating costs of the agreement.

**WHEREAS**, upon execution of the 120-day ENA, KM-ECR LLC will be required to make a \$30,000 deposit to the JPB to offset costs incurred during the negotiation of the property exchange.

**NOW, THEREFORE, BE IT RESOLVED** that the Peninsula Corridor Joint Powers Board hereby authorizes the Acting Executive Director or her designee to (1) execute a 120-day Exclusive Negotiation Agreement between the JPB and KM-ECR LLC; (2) extend the ENA by up to 90 days if the Acting Executive Director determines that such an extension is warranted; and (3) take any other actions necessary to give effect to this resolution.

Regularly passed and adopted this 2<sup>nd</sup> day of September 2021 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board



ATTEST:

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JPB Secretary

RESOLUTION NO. 2021-

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

\* \* \*

IN SUPPORT OF CALIFORNIA CLEAN AIR DAY

**WHEREAS**, California has some of the most polluted regions in the United States;  
and

**WHEREAS**, it is vital that we protect the health and well-being of our residents,  
visitors and workforce;and

**WHEREAS**, air pollution contributes to higher rates of cancer and heart and lung  
diseases, which adversely and inequitably affect health; and

**WHEREAS**, emissions from vehicles, industry, and even household sources  
significantly affect the natural environment, air quality and well-being of residents,  
employees, and riders; and

**WHEREAS**, everyone can play a role in helping to keep regional air quality  
healthy; and

**WHEREAS**, individual decisions such as using public transportation including rail  
and bus, or active transportation such as walking or biking to get to work and school,  
can directly improve air quality in our region; and

**WHEREAS**, Caltrain is cleaning the air by transitioning from a system fueled by  
diesel gasoline to one powered by electricity, which will benefit regional air quality; and

**WHEREAS**, education about air quality can raise community awareness,  
encourage our community to develop sustainable habits, and improve community  
health; and

**WHEREAS**, Californians join together across the state annually to celebrate Clean Air Day; and

**WHEREAS**, Caltrain is committed to the health of our residents, workforce, visitors and community at large; and

**NOW, THEREFORE BE IT RESOLVED** we encourage all residents, businesses, employees, and community members to participate in Clean Air Day and help clean California's air.

Regularly passed and adopted this 2<sup>ND</sup> day of September, 2021 by the following vote:

AYES:

NOES:

ABSENT:

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Chair, Peninsula Corridor Joint Powers Board

ATTEST:

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District Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: James Harrison  
General Counsel

SUBJECT: **AUTHORIZE CHANGE TO USUAL ORDER OF BUSINESS PURSUANT TO SECTION 11 OF THE RULES OF PROCEDURE TO INCLUDE THE REPORT OF THE GENERAL COUNSEL AS AN ITEM UNDER THE REPORT OF THE EXECUTIVE DIRECTOR**

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

**ACTION**

Staff recommends that the Board of Directors vote to authorize a change to the usual Order of Business for regular meetings as described in Section 11 of the Peninsula Corridor Joint Powers Board (JPB) Rules of Procedure. Specifically, staff recommend that the JPB vote to allow its General Counsel to report out following closed session, as provided for in the agenda, or under item VI, Report of the Executive Director, if an additional report is warranted, in lieu of a separate agenda item XI for Legal Counsel Proposals.

It is recommended that the Board of Directors authorize this change for all regular meetings and until such time that the JPB determines it is beneficial to the conduct of meetings to restore the order of business as described in Section 11 of the Rules of Procedure.

**SIGNIFICANCE**

The JPB has promulgated Rules of Procedure to govern its meetings; these were first adopted by resolution on November 4, 1992 (Resolution No. 1992-50) and most recently revised on June 4, 2009 (Resolution No. 2009-25).

According to Section 11 of the Rules of Procedure, the Order of Business for each regular meeting of the JPB shall not be changed except by consent of a majority of the Board members present.<sup>1</sup> Currently, the Order of Business in Section 11 lists the Report of the

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<sup>1</sup> Changes to the order of business may also be affected on a permanent basis by amending the Rules of Procedure.

Executive Director as the sixth order of business and Legal Counsel Proposals as the ninth item. In practice, the General Counsel reports after the conclusion of closed session and provides any other information through the Executive Director's report or separate agenda items.

Specifically, the General Counsel reports on anticipated or pending litigation during closed sessions of PCJPB meetings and is responsible for reporting on litigation as appropriate in the open session as well. The General Counsel coordinates closely with the Executive Director to prepare agenda items and any required legal updates. Allowing the General Counsel to give any legal updates or reports during the Report of the Executive Director or through separate items, as necessary, will assist with streamlining the JPB agenda for regular meeting and the presentation of these issues to the Board of Directors.

For the foregoing reasons, it is recommended that the JPB vote to modify the Order of Business allow the General Counsel to continue to report as part of the Report of the Executive Director.

### **BUDGET IMPACT**

There is no budget impact associated with this recommendation.

Prepared by: James Harrison, Olson Remcho LLP  
Address: 1901 Harrison Street, Suite 1550, Oakland, CA 94612  
Telephone: 510-346-6203

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: Sebastian Petty  
Deputy Chief of Planning

SUBJECT: **DIRIDON REAL ESTATE UPDATE**

<input type="checkbox"/>	Finance Committee Recommendation	<input checked="" type="checkbox"/>	Work Program-Legislative-Planning Committee Recommendation	<input checked="" type="checkbox"/>	Staff Coordinating Council Reviewed	<input checked="" type="checkbox"/>	Staff Coordinating Council Recommendation
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**ACTION**

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

**SIGNIFICANCE**

After years of extensive community engagement, the City of San Jose recently amended its Diridon Station Area Plan (DSAP), a land use plan that covers approximately 200 acres in and around the Diridon Station. The amended plan increased development capacity in the DSAP area and includes market-rate housing, affordable housing, hotel rooms, and commercial space in designated locations inside the plan area. The Joint Powers Board (JPB) owns approximately 6-acres of land within the DSAP area, of which 3-acres are potentially developable (the "Development Parcels"). The City's General Plan and amended DSAP designate the Development Parcels for commercial uses as an integral part of the mixed-use plan for the DSAP area.

Developing the Development Parcels per the City's General Plan and DSAP vision could result in a substantial, long-term revenue stream to the JPB. While the City's DSAP increases development capacity, overall limits on the total development allowed in the area remain. Moving ahead with the planning entitlements for the Development Parcels will enable appropriate development capacity to be allocated to the Development Parcels before DSAP development limits are reached. This report, and accompanying presentation, outline the preliminary work that staff has undertaken to advance the entitlement process.

**BUDGET IMPACT**

There is no budget impact associated with receiving this informational update. If Development Parcels are developed as anticipated, they could yield a long-term revenue stream through the negotiation of a ground lease.

## **BACKGROUND**

### **Site Description**

The Development Parcels are located immediately east of the Diridon Station and are bordered by S. Montgomery, Cahill, Crandall, and W. San Fernando Street. They are currently used for Caltrain parking. In addition to the Development Parcels, Caltrain owns property on which additional parking lots, a station drop-off and turnaround area, landscaping and a bus staging area are located. A location map is attached to this report as Exhibit A.

### **Caltrain Rail Corridor Use Policy (RCUP)**

In February 2020, the JPB adopted the RCUP to guide the use of its property and support delivery of Caltrain's Long-Term Service Vision. This document categorized all JPB-owned property into "property use zones," which serve as the base land use districts for property along the Caltrain corridor. The four categories are Property Use Zone 1 (Operating Right-of-Way), Property Use Zone 2 (Station-Right-of-Way), Property Use Zone 3 (Non-Operating Right of Way), and Property Use Zone 4 (Special Study Area).

All Caltrain property at Diridon Station falls within Property Use Zone 4 (Special Study Area). Property Use Zone 4 includes JPB properties involved (at the time of RCUP adoption) in a defined planning process that formally includes multiple stakeholders. The RCUP further states that the planning process in each area will determine the future use of the property. When the Board adopted the RCUP, two ongoing planning initiatives impacted this property, the Amended DSAP process, and the Diridon Station Integrated Concept Plan (DISC), both described below. The City of San Jose has completed the Amended DSAP process, and the DISC partners have made substantial progress on plan concepts.

### **Amended Diridon Station Area Plan (DSAP)**

The City of San José initially adopted the DSAP in 2014. The plan, which covers approximately 200 acres of property surrounding the Diridon Station, designated specific locations for housing, commercial space (office), hotels, retail uses, and a new baseball stadium. In 2019, the City initiated a process to amend the DSAP to align it with current market conditions, tie it to other planning efforts and to reflect that a stadium was no longer planned for the area. Furthermore, the amended DSAP includes Google's Downtown West Mixed-Use Plan, incorporates the Diridon Affordable Housing Implementation Plan, and integrates equity considerations. After an extensive community input and engagement process, the amended DSAP, and Google's Downtown West Mixed-Use Plan, were approved by the San Jose City Council in May 2021.

The DSAP implements the City's General Plan (2011), which designates all JPB-owned parcels as "Commercial-Downtown." According to the General Plan, "this designation includes office, hotel, retail, service, and entertainment uses in the City's Downtown, consistent with those supported by the Downtown designation, but denotes areas in which residential uses are not appropriate and therefore are excluded." Consistent with the General Plan, the Amended DSAP designates the sites for "Employment/Commercial" uses. The allowed land uses of the Caltrain parcels did not change because of the recent amendment. However, the amended plan allows increased building heights and floor area.

In addition to the site-specific standards, the Amended DSAP (and associated environmental impact report (EIR)) also include area-wide "caps" on specific categories of development. Overall, the Amended DSAP allows up to 14.44 million square feet of office space and 13,519 new homes. Google's Downtown West development accounts for approximately 7.3 million square feet, leaving about 7.1 million square feet of office space allocation. Given the proximity

to transit, downtown amenities, nearby housing and Google's development, it is expected that additional commercial development in the DSAP area will be in high demand in the coming years. It is therefore imperative that Caltrain act swiftly to ensure that an appropriate amount of the development cap is allocated to the Development Parcels. Staff anticipates that the entitlement and environmental review process will become substantially more challenging when the development caps are reached.

### **Diridon Station Integrated Concept Plan (DISC)**

The California High-Speed Rail Authority (CHSRA), Caltrain, Santa Clara Valley Transportation Authority (VTA), Metropolitan Transportation Commission (MTC), and the City of San José (Partner Agencies) are working together on a plan to expand and redesign Diridon Station. Generally, DISC planning involves the station itself, the approaches to the station, and station access (plazas, etc.). While the DISC process is ongoing, the Partner Agencies have made substantial progress. Caltrain will work closely with the Partner Agencies to ensure that the architectural team designs the Development Parcel's incorporating DISC principles, with active ground floor uses and public plazas. Additionally, Caltrain property outside of the Development Parcels will be reserved from development to accommodate DISC needs

### **Proposed Development Concept**

The first step in the City review process is a "preliminary application" for the Planning Department review (as described below). Utilizing the JPBs "on-call" planning contracts, Caltrain engaged ARUP and Perkins and Will to design a commercial development. The concept designs include two office buildings with ground floor retail (and other active uses) and a large plaza area between the two buildings that connects to the front of Diridon Station. Overall, JPB's proposal calls for approximately 1.1M square feet of commercial space, which currently fits within the DSAP commercial square footage cap. The conceptual plans are attached to this report as Exhibit B. As noted below, Caltrain plans to submit these plans to the City of San Jose for preliminary review. In addition, it is expected that the architectural team will make changes to the conceptual plans based on feedback received during the preliminary review, formal review, and community outreach process.

### **Affordable Housing**

As noted above, the City of San Jose General Plan and DSAP do not allow housing on the JPB-owned sites. However, a substantial amount of housing is permitted and encouraged in designated areas within the DSAP area. The Amended DSAP plan also included an ambitious [affordable housing implementation plan](#). As noted above, the DSAP allows up to 13,519 new homes in the area. The City aims to have 25% of those units to be deed-restricted, affordable units (extremely low to moderate-income levels).

The City's implementation plan includes several strategies to produce and fund affordable units. For example, "Production Strategy #3" states that the City should "Prioritize the use of Commercial Linkage Fee revenues generated in the Diridon Station Area for affordable housing projects within the Plan area." In November 2020, the City adopted a "[Commercial Linkage Fee](#)" that applies to development on the subject site (\$12/sf). Based on the initial proposal, it is expected that commercial development of the Development Parcels would generate more than \$12 towards the creation of affordable housing in the Diridon area.

### **City of San Jose Planning Review**

Staff plan to submit a preliminary application to the City of San Jose in September 2021. The preliminary process allows applicants to submit a more complete formal application that best reflects current City policy and, therefore, shortens the overall review time to about 6-8 weeks.



Following the preliminary review process, the team will incorporate feedback and submit a formal application. The preliminary and formal application include “schematic” design drawings that allow square footage to be allocated to the site, but do not include detailed working drawings. The formal review takes about a year and includes community outreach and an environmental assessment to ensure it complies with the DSAP EIR. The project would ultimately be reviewed and approved by the San Jose Planning Commission.

**Future Real Estate Process**

After the Development Parcels are entitled, staff anticipates JPB will follow its typical practice, and all legal and procedural requirements, to engage a private sector development partner through a competitive process. It is anticipated that Caltrain would enter into a long-term ground lease with such partner under which the developer would take on all “development risk” by financing, building and owning all improvements while Caltrain would continue to own the Development Parcels and would collect rent based on the success of the development

**Timeline, Next Steps, and Future Board Review**

As noted above, Caltrain staff will submit a preliminary application to the City of San Jose for review in September 2021. The City will provide feedback within 6 to 8 weeks. The Architectural team will incorporate feedback and submit the formal application in Q1 of 2022. It is expected the formal application process will take about a year. Therefore, the real estate process, will be subject to Caltrain Board approval, will begin in 2023. The Caltrain Board will review this item again after the City of San Jose provides preliminary review comments and before the submittal of the formal application. Additional opportunities for review will occur during the entitlement process and real estate process.

Project Manager:

Brian W. Fitzpatrick,  
Director of Real Estate & Property Development

650-508-7781

# Diridon Real Estate Update

SEPTEMBER 2, 2021



## Overview

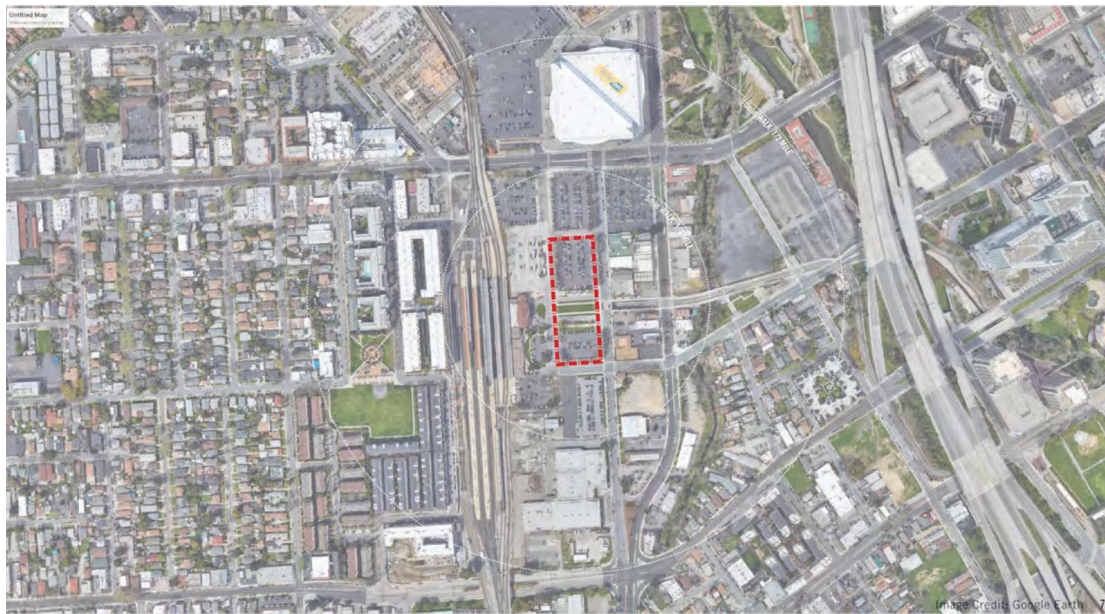
- Caltrain owns a 3-acre parcel directly adjacent to Diridon Station in San Jose
- The Diridon Station Area Plan amendment process, and the initial phase of Diridon Integrated Station Concept Plan (DISC) were recently completed. Both planning processes affect Caltrain's parcel.
- Caltrain is interested in pursuing development on a portion of this land
- The following presentation provides background on the work staff is doing to obtain planning-level entitlements for the site

## Agenda

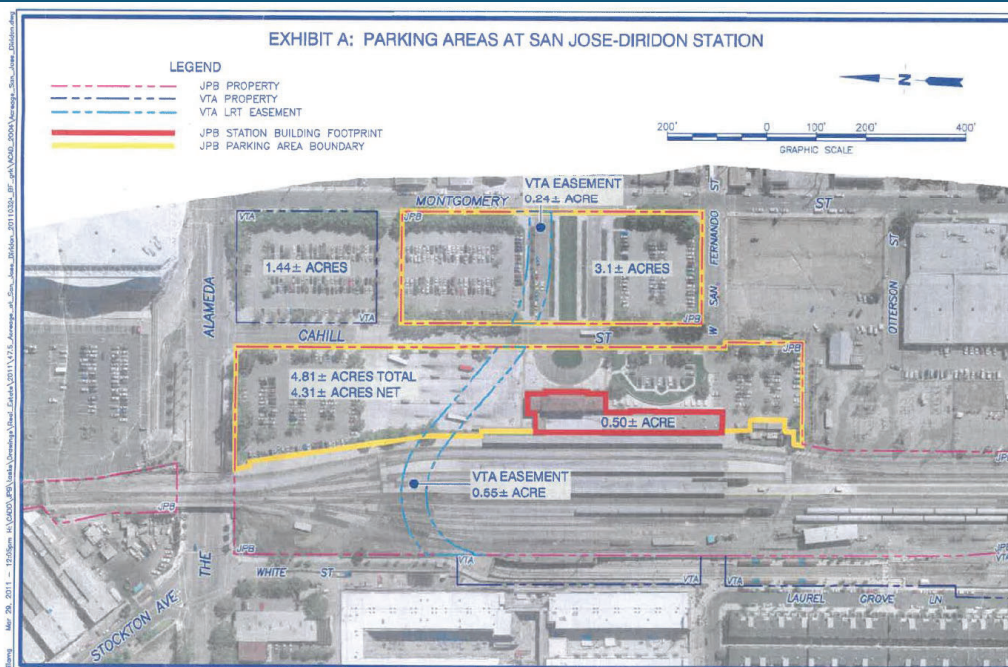
- Site Context
- DSAP & DISC
- Concept Proposal
- Real Estate Process & Timeline



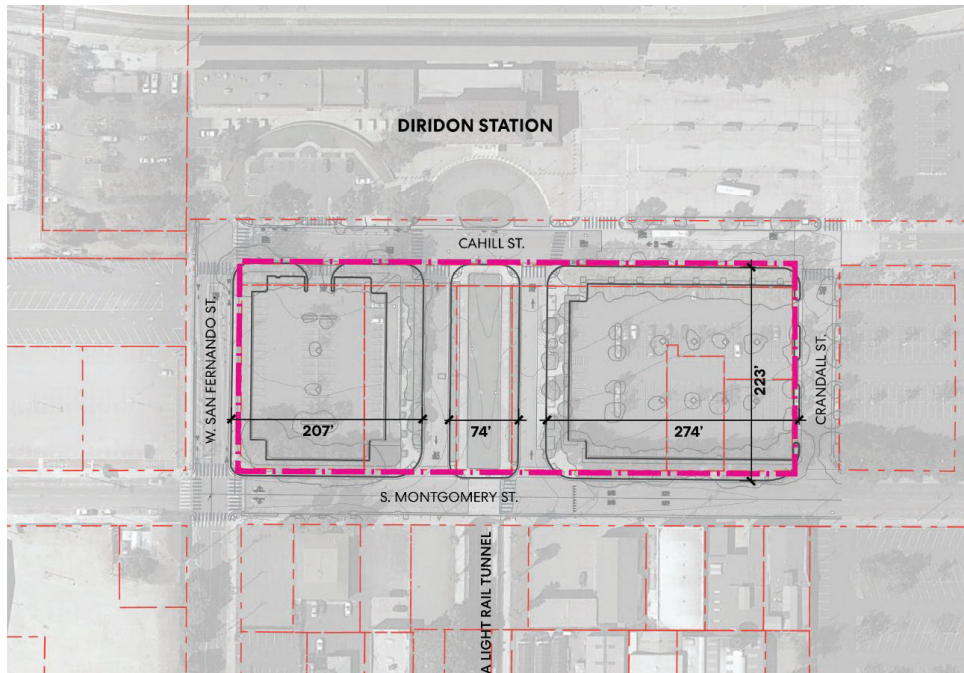
# Context – Diridon Area



# Context – JPB & VTA Ownership



# Context – Development Parcels



# Context – Rail Corridor Use Policy

## Overview and Background on the Rail Corridor Use Policy

The Rail Corridor Use Policy is a policy that has been adopted by the Peninsula Corridor Joint Powers Board (JPB) to guide the use of its property and support delivery of Caltrain's Long-Term Service Vision.

### PROPERTY USE ZONE 4: SPECIAL STUDY AREA

Property Use Zone 4 Zone is the Special Study Area land use district, and it includes JPB property that is currently involved in a defined planning process that formally involves multiple stakeholders. Examples include areas of the corridor associated with the railroad terminal studies at San Francisco and San Jose. Land in Property Use Zone 4 is generally not available for non-railroad uses, except compatible utility uses, and future use of the property will generally be determined through the defined planning process in each area.

San Jose Planning Processes



Amended DSAP

DISC

# Amended DSAP

**May 2021: San Jose Amended DSAP + Approved Google Development**

**2+ years of community engagement/input**

**Caltrain Parcels:**  
Same "Employment/Commercial" designation as 2014 DSAP and 2011 General Plan.

**Designation prohibits housing on Caltrain parcel.**

Allows a balanced mix of housing, office retail and hotel uses.

Also adopted equity considerations & Affordable Housing Implementation Plan

Heights, FARs, and development standards increased substantially throughout DSAP area

# Land Use Balance & Affordable Housing

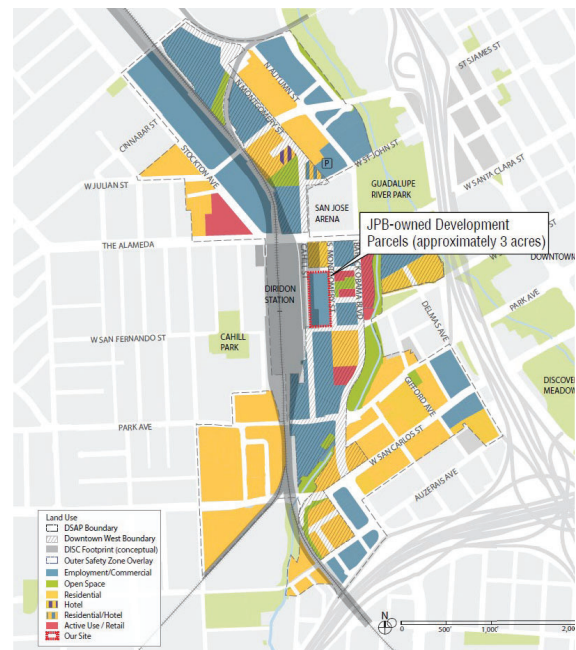
Table 2-3-1: Diridon Station Area Illustrative Build-Out Scenario Program

Land Use	Google's Downtown West Mixed Use Plan (DTW)		Diridon Station Area Outside DTW		Complete Diridon Station Area*	
	Total	Unit	Total	Units	Total	Units
Residential	Up to 5,900	Units	Up to 7,000	Units	Up to 12,900	Units
Office	Up to 7,300,000	SF	Up to 6,400,000	SF	Up to 13,700,000	SF
Active Use/Retail	Up to 500,000	SF	Up to 536,000	SF	Up to 1,036,000	SF
Hotel	Up to 300	Rooms	-	-	Up to 300	Rooms

\*The estimated illustrative build-out outside of Google's Downtown West Mixed Use Plan is based on identified potential development sites. Google's Downtown West Mixed-Use Plan also contemplates other uses, such as Limited-term Corporate Accommodations, event center(s), Central Utilities, Plant(s), and logistics/warehouse



**Development Balance & Caps**



# Affordable Housing Implementation

25% Affordability Target for Diridon Area

City Adopted Commercial Linkage Fee in 2020 (\$12/sf)

Linkage Fees are necessary to fund development of affordable housing in the DSAP area (tax credits, etc.)

**3. Prioritize the use of Commercial Linkage Fee revenues generated in the Diridon Station Area for affordable housing projects within the Plan area.** The City Council approved a new Commercial Linkage Fee in September 2020. Depending on the amount of commercial space approved in the DSA, this could produce tens of millions of dollars for affordable housing over the next two decades. Reinvesting fees generated through DSA development in the DSA will help align affordable housing development with job growth in both space and time.

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# Diridon Integrated Station Concept Plan

DISC involves the station itself, the approaches to the station, and station access (plazas, etc.).

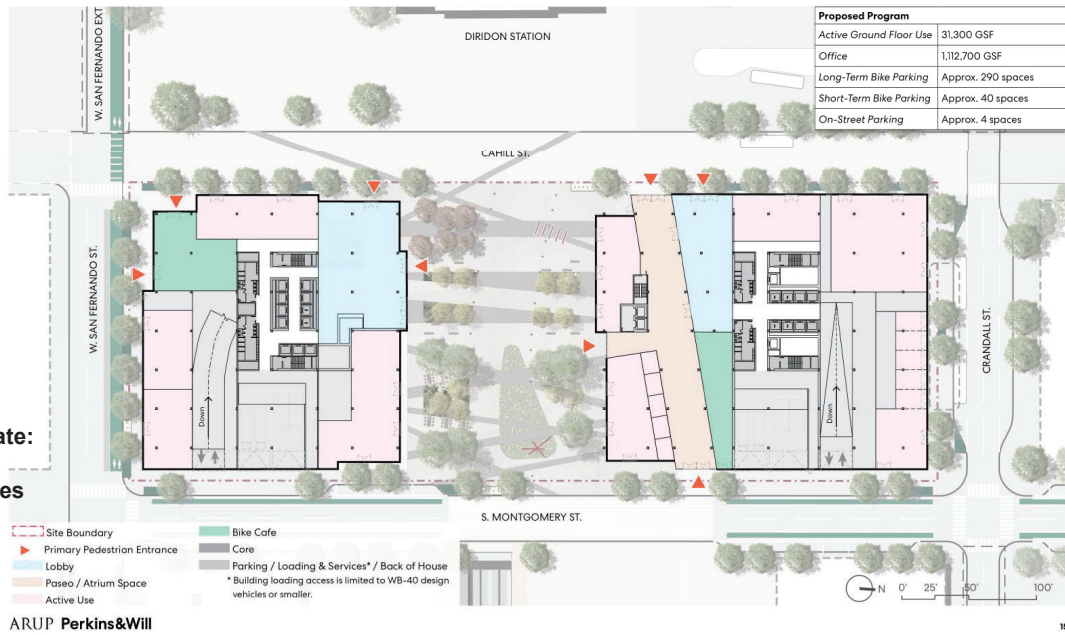
Partner Agencies have made substantial progress over past two years

Development will incorporate DISC principles, including active ground floor uses and public plazas.

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# Concept Proposal

## Ground Level Plan



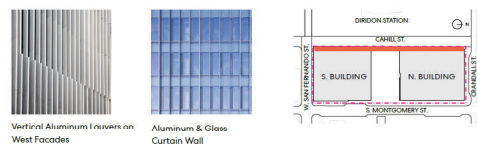
Approx. 1.1M sq ft. of office Space.

Initial Parking Estimate: 710 underground vehicle parking spaces

# Concept Proposal

## Conceptual Building Elevation West Elevation (along Cahill Street)

CALTRAIN DIRIDON STATION SITE | PLANNING PRELIMINARY REVIEW PLANS  
08/13/21



# Real Estate Process

Real Estate Process will engage private sector development after planning entitlements

Caltrain & partner would enter into a long-term ground lease. Partner would own building and improvements, Caltrain would own the land.

Caltrain would collect rent based on the success of the development

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# Timeline & Next Steps

City Preliminary Review  
September 2021

4-6 weeks



City Formal Review (Q1  
2022)

9-12 months



Real Estate Process (Q1  
2023)

6+ months

Multiple Board Check-In Points During Entitlement and Real Estate Process

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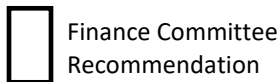
**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: Casey Fromson  
Acting Chief Officer, Communications

SUBJECT: **PROCLAMATION DECLARING SEPTEMBER RAILROAD SAFETY AND SUICIDE PREVENTION MONTH**



Finance Committee  
Recommendation



Work Program-  
Legislative-Planning



Staff Coordinating  
Council Reviewed



Staff Coordinating Council  
Recommendation

**ACTION**

Staff Coordinating Council (SCC) recommends the Board adopt the proclamation designating September as “Railroad Safety & Suicide Prevention Month.”

**SIGNIFICANCE**

The proclamation for “Railroad Safety & Suicide Prevention Month” reaffirms the JPB’s commitment to provide safe and efficient train service between San Francisco and Gilroy. It is an opportunity to highlight the promotion and advancement of safety and prevention on the right of way through enhanced safety measures and increased public awareness. While safety is a clear priority for the rail agency, it has been determined that approximately 70 percent of the deaths occurring on the Caltrain corridor are ruled suicides. Caltrain also coordinates with regional mental health, and suicide prevention and awareness organizations to help eliminate the stigma associated with seeking help for depression or mental illness.

During September, Caltrain will be pushing out rail safety messaging through the website, social media and traditional media to ensure our riders, residents and other stakeholders are aware of how to stay safe while walking or driving near the train tracks or visiting one of our many stations. Caltrain will also be promoting agency-created rail safety videos, in addition to promoting rail safety and suicide prevention messaging on our various social media platforms throughout the month, using #CaltrainSafe and #railsafety.

On September 17, Caltrain will host a ribbon-cutting event to celebrate the completion of the 25<sup>th</sup> Avenue Grade Separation Project in San Mateo. The project separated the train tracks from the road at East 25<sup>th</sup> Avenue, between El Camino Real and South Delaware Street, while creating new east-west connections at 28<sup>th</sup> and 31<sup>st</sup> avenues. This eliminates the risk of pedestrians and vehicles accessing the tracks,

and prevents traffic bottlenecks at grade crossings. Studies have shown that separating train tracks from roads is the most effective way to prevent people from getting struck and killed by locomotives.

This year to date, Caltrain has experienced approximately 10 incidents along the rail corridor, including both pedestrian fatalities and fatal vehicle strikes. The proclamation reiterates the three E's (Education, Engineering and Enforcement) of our ongoing "Don't Shortcut Life" rail safety campaign, in partnership with National Operation Lifesaver and California Operation Lifesaver (CAOL).

Also during the month of September, Caltrain will be recognizing National Suicide Prevention Month as part of this effort by participating in social media campaigns with local mental and behavioral health organizations, including the San Mateo County Suicide Prevention Committee, Santa Clara County Suicide Prevention Advisory Committee, Project Safety Net and Crisis Text Line.

### **BUDGET IMPACT**

There is no impact on the budget.

### **BACKGROUND**

Since September 2009, Caltrain has been participating in CAOL's annual Rail Safety Month. CAOL is a nonprofit public safety organization committed to reducing the number of tragic incidents at highway-rail grade crossing intersections and trespassing at railroad rights-of-way.

As a member and community partner of CAOL, Caltrain staff makes year-round, free rail safety presentations to all age groups by educating the community on the three E's of rail safety – Education, Engineering and Enforcement.

Prepared by: Tasha Bartholomew, Manager, Communications

650.508.7927

# Proclamation

## **IN HONOR OF RAILROAD SAFETY & SUICIDE PREVENTION MONTH**

**WHEREAS**, Caltrain operates 104 weekday trains between San Francisco and Gilroy, serving the Peninsula Rail Corridor, and the communities of San Francisco, San Mateo and Santa Clara counties; and

**WHEREAS**, safety on the Caltrain right of way has been and remains a continuing priority along a rail system that traverses several communities and includes more than 50 at-grade public vehicular and pedestrian crossings; and

**WHEREAS**, the Peninsula Corridor Joint Powers Board works continuously with essential partners, including the Federal Railroad Administration, California Department of Transportation, California Public Utilities Commission and California Operation Lifesaver to improve railroad safety, to prevent accidents and to educate the public about safety around railroad tracks; and

**WHEREAS**, trains have become a routine part of daily life for many in this region, but it only takes a split second for someone to drop their guard and tragedy can strike. Typical Caltrain trains can take almost a mile to stop, even when emergency brakes are applied; and

**WHEREAS**, while safety is a clear priority for the rail agency, approximately 70 percent of the deaths occurring on railroad tracks are ruled suicides; and

**WHEREAS**, suicide is a public health issue with which Caltrain is all too familiar. Every death by suicide on the rails impacts hundreds of people, including Caltrain riders and staff onboard the train, as well as passengers at station platforms; and

**WHEREAS**, Caltrain partners with local public health agencies to publicize resources available for individuals in crisis in an effort to reduce deaths by suicide on the rails; and

**THEREFORE, BE IT RESOLVED**, that the Peninsula Corridor Joint Powers Board, in support of safety efforts locally, regionally and statewide, joins in proclaiming September as "Railroad Safety & Suicide Prevention Month" and commends local, State, and Federal officials, industry, and citizen efforts to improve railroad safety; and

**BE IT FURTHER RESOLVED**, that the Peninsula Corridor Joint Powers Board reaffirms its efforts as a community partner in the prevention of deaths by suicide as a critical component of "Railroad Safety & Suicide Prevention Month" and urges continued and expanded collaboration to extend to all who need it effective mental health resources.



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Chair, Peninsula Corridor Joint Powers Board

**CITIZENS ADVISORY COMMITTEE (CAC)  
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)  
SAN MATEO COUNTY TRANSIT DISTRICT ADMINISTRATIVE BUILDING**

Bacciocco Auditorium, 2<sup>nd</sup> Floor  
1250 San Carlos Avenue, San Carlos CA 94070

**DRAFT MINUTES OF AUGUST 18, 2021**

**MEMBERS PRESENT:** A. Brandt (Vice Chair), P. Flautt, R. Jaques (Alternate), L. Klein, R. Kutler, P. Leung, N. Mathur (Alternate), JP. Torres, D. Tuzman, B. Shaw (Chair)

**MEMBERS ABSENT:** None

**STAFF PRESENT:** J. Navarrete, J. Navarro, B. Tietjen

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.

**RE-APPOINTMENT / INTRODUCTION OF NEW CAC MEMBERS AND ALTERNATE**

- Re-Appointment of CAC Member Larry Klein, Santa Clara County
- Introduction of New CAC Member, Jean-Paul Torres, San Francisco County
- Introduction of New Alternate CAC Member, Rob Jaques, San Francisco County

**APPROVAL OF MINUTES OF JULY 21, 2021**

Member Rosalind Kutler stated that there was substantive information left out from her comment regarding equity at the Bayshore station. She said that she had stated that as a representative of San Francisco, in her mind, Bayshore serves southeast San Francisco corridor, especially with the loss of Paul Ave. and wanted that to be reflected in the meeting minutes.

Motion/Second: Leung / Brandt  
Ayes: Flautt, Klein, Kutler, Tuzman  
Abstain: Shaw  
Absent: None

Amended meeting minutes were approved.

## **PUBLIC COMMENT**

Roland Lebrun, San Jose, via Zoom Q&A, commented on the new timetable, he stated that the new timetable is posted and is looking forward to the posting of the GTFS file to see the connections. He also said that the Baby Bullets do not pass anymore and wondered why Caltrain spent \$50M on Bayshore and Lawrence twenty years ago. He stated that the fastest time between San Francisco and San Jose is an hour and 10 minutes. He also noticed that there are no Baby Bullets on the weekends. He suggested switching the Gilroy trains to Baby Bullets. Roland then commented on Governance and stated that there were twenty-nine administrative positions created and a lot of other positions reclassified. He stated that there will be complete dissolution and that there will be more BART board members than San Mateo members on the Caltrain Board.

Adina Levin, via Zoom Q&A, commented on the fare system and expressed appreciation to the CAC for weighing in on Caltrain fare systems. She then stated that the Regional Fare Study is starting to come forward with its recommendations. She said that the Regional Fare Study has preliminary recommendations that will include some combination of free or reduced-price transfers, Go Anywhere transit passes that are like a Go Pass across various transit systems, fare capping, and possibly standardized regional fares. Lastly, she stated that the detailed recommendations will be coming forward soon and that although this body expressed wanting to comment on integrated fares, she did not see the item on any upcoming Agendas in the timeframe that would be relevant before the decisions would be made. She suggested the item to be added to the agenda in time to make a comment to the Board.

Jeff Carter, Millbrae, via Zoom Q&A, agreed with previous public comment from Adina and stated that it is important to have coordinated fares and fare integration. Lastly Jeff stated that Caltrain will need to get rid of the zones and go to distance based fares, as soon as possible.

## **CHAIRPERSON'S REPORT**

Chair Brian Shaw thanked the new members for their willingness to serve on the committee. He also asked them to let him know of their availability to attend the meetings for logistical purposes. He then stated that he will be in attendance at Friday's Session of Governance via Zoom.

## **COMMITTEE COMMENTS**

Member Patrick Flautt welcomed and expressed gratitude to John Paul and Rob for joining the CAC and stated that he looks forward to their contributions.

Member Rosalind Kutler thanked staff for highlighting the fifty percent discount on the website. She suggested not using jargon like "TVM" and suggested using simple language. Member Rosalind asked where she may send her concerns and suggestions. Mr. Joe Navarro, Deputy Chief, Rail Operations advised Member Rosalind to email the

CAC secretary, Patrice, with those concerns. Lastly, Member Rosalind is afraid that Bayshore will lose ridership it has built, with the timetable change. She is concerned about the equity messaging versus the delivery and suggested an equity follow-up report. Mr. Navarro stated that he would pass along this information to staff.

Vice Chair Adrian Brandt advised the Committee that the TSA has extended a nationwide transport mask mandate that applies to buses, trains, and airplanes to January 18. He then suggested Caltrain join the many high-profile employers to make vaccinations mandatory. Lastly, Vice Chair Brandt agreed with Public Comment made by Adina Levin and requested a presentation to the CAC be added to the agenda in time to make an intelligent comment to the Joint Powers Board prior to their presentation in October.

Member David Tuzman agreed with both Public Comment from Adina Levin and Vice Chair Brandt and mentioned that he asked to be connected to the Fare Integration Taskforce to give a presentation to this body. Member Tuzman also commented on a Housing Workshop for San Carlos 2040 he attended. He stated that whatever perception people get about the level of transit that is provided in the region is actually shaping housing policy. Mr. Navarro suggested Member Tuzman reach out to Caltrain staff, Melissa Jones for a presentation.

Member Larry Klein thanked the Board for the reappointment and stated that he has enjoyed being on the Citizen's Advisory Committee for several years, now. He also welcomed the new Committee members and looks forward to Electrification.

Alternate Member Neeraj Mathur welcomed the new Committee members and offered his help with any questions.

Member Jean-Paul Torres thanked the Committee for the warm welcome and introduced himself. He agreed with Member Kutler and stated that southeast San Francisco definitely needs more access with Caltrain and sees a lot of opportunity there. Member Torres also agreed with bringing the Blue-Ribbon Task Force presentation to the CAC and stated that it is very important for affordable fare structure and is excited to hear that that this body has been helping to encourage that study.

Alternate Member Rob Jaques thanked everyone for the warm welcome and introduced himself. He also echoed the committee's request for a presentation from the Blue-Ribbon Task Force and the information on the fare work and stated that it is important for the committee to weigh in on for the public to make their comments.

Member Patricia Leung commented on Member Tuzman's comment about people not thinking about Caltrain as a reliable service and stated that it is not uncommon amongst people who talk about development plans around station area who are not daily riders and do not understand how the service works and is a perception that can be changed. She then talked about the current state of the Santa Clara project and the City Council's Goal Setting meeting.

Member Tuzman advised the committee to have legislation AB1401 on their radar.

## **PUBLIC COMMENTS**

Roland Lebrun, San Jose, via Zoom Q&A, stated that Bayshore will be a mega stop and will have a much better connection to the last stop on the T-Line to a footpath between the carwash and the station. He then stated that the only way to enforce the TSA mandate is to arrest violators. Roland then asked when will frontline employees require vaccination or weekly COVID testing. He then stated that with the new schedule, he will no longer be riding Caltrain because it will take too long now. He mentioned that the reason there has been trouble getting a presentation from the Blue-Ribbon Taskforce is because there is a conflict of scheduled meetings. He then he suggested meetings for Members Jaques and Leung to attend to be better informed about DTX and surrounding projects. Lastly, Roland stated that the Gilroy line is no longer desirable.

Adina Levin, via Zoom Q&A, provided additional background information in response to the interest of this body and getting an update on the Regional Fare Study recommendations. She then stated that a presentation in October would be too late to make a comment in order for it to be relevant and encouraged this body to ask for a presentation in time to be able to make relevant comment to the board before the decisions get made. Additionally, she made the distinction between the Fare Integration Taskforce and the Blue-Ribbon Taskforce and said that those are two different bodies, but they are converging into supporting and implementing the fare study, which is why the CAC's feedback, in a timely manner, will be helpful. Chair Shaw responded that he and Vice Chair Brandt will get together with staff to add to the agenda that item for next month.

Jeff Carter, Millbrae, via Zoom Q&A, agreed with previous public comment and stated the importance for items such as the fare integration and seamless fares to come before the CAC before it goes to the board as the CAC is a body to advise the board on proposed improvements, etc. He then stated that the proposed BART extension to Santa Clara would be redundant, costly and unnecessary.

Cody Vaughn, via Zoom Q&A, advocated for more integrated fares and said that it is important for the Citizen's Advisory Committee to be an advocate for that. He then asked Caltrain to take more consideration for riders that ride on off peak times. He also agreed with previous comments that either the CAC has a presentation or learns more about the like the fare integration recommendations before decisions are made on it.

Vaughn, via Zoom Q&A, commented on the Transit Oriented Developments and stated that the benefits are for the developers, not the residents or Transit. He stated that the developers are the ones that will make money off getting a small piece of land.

## **CALIFORNIA HIGH-SPEED RAIL - NORTHERN CALIFORNIA REGION**

Rachel Bickert, Outreach Specialist, California High-Speed Rail Authority and Morgan Galli, Northern California Deputy Regional Director, California High-Speed Rail presented the California High Speed Rail Northern California Region presentation.

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

### Committee Comments:

Chair Shaw thanked Morgan and Rachel for the presentation and stated that it is greatly needed and is excited that California will be leading the country in something super important. He mentioned that this project is important, not only for air quality California airports will not be able to facilitate the growth of mobility between the two population centers of this state. He looks forward to catching a train at the Salesforce Transit Center and heading down to Southern California and visiting family and friends. He encouraged the continued great work through its challenges.

Member Larry Klein would like to see the overall budget, the bigger picture of where funding is and a general schedule and timeline of construction and ongoing efforts. The presenters responded that they would share additional information with this group.

Vice Chair Brandt thanked Morgan for the presentation and commented on the safety improvements. He stated that quad gates do not really address the current and historic mechanism by which cars find themselves in the path with trains. He then stated that Caltrain is currently changing all grade crossing circuits from constant warning time to dual speed check which will increase downtime and research shows does cause people to be tempted to drive around the gates and for that reason may benefit from quad gates which prevent vehicle drive around. However then stated that grade separation is the solution. Vice Chair Brandt then asked for the status of the arguments on diesel or battery-operated trains. Lastly, Vice Chair Brandt asked for the community meetings be recorded for later viewing.

Member Kutler agreed with Vice Chair Brandt's comment and requested the community meetings be recorded. She also asked whether there are public presentations available. Morgan responded that information on the project can be found on the High-Speed Rail Authority website and mentioned that all presentations from the Community Working Groups may be found there as well. She then stated that she would follow-up with further details.

Member Patrick Flautt thanked both Morgan and Rachel for their time and the wonderful presentation. He also thanked staff for facilitating the presentation.

Vice Chair Brandt asked why CWG meetings are not made available for the interested public to access. Morgan responded that it has not been customary to record a community meeting when they are held in person and will take the suggestion.



Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, mentioned the differences between the High-Speed Rail between Victorville and Las Vegas and the Central Valley High Speed Rail. He then talked about funding. He also suggested reviewing the meeting minutes from the Executive Steering Committee to identify problems with the DTX. Lastly, Roland made additional comments on High-Speed Rail.

Jeff Carter, Millbrae, via Zoom Q&A, requested public meetings be recorded. He then expressed his frustrations with High-Speed Rail regarding cost and time spent. Jeff then shared that he thinks that there should be four tracks through as much of the corridor as possible to make the system as versatile as possible. Jeff then stated that grade separations are important and are a highway improvement, not necessarily a transit improvement. Lastly, he reiterated that Caltrain is not responsible for trespasser illegal activity on the tracks.

Adina Levin, via Zoom Q&A, expressed her support in the recoding of community meetings. She then asked for an explanation from High-Speed Rail as to why they continue to support the option that has the surface parking even though there is another option available. Surface parking seems to be going in a different direction from the policies that Caltrain Board has a generally adopted in terms of favoring a walk, bike, and transit access to its stations. Morgan responded and stated that she may need to follow-up, however she stated that the parking that is identified in the preferred alternative and in the reduced site option is the parking that needs to be identified to be replaced, that is BART and Caltrain parking in the environmental document. She also mentioned that High Speed Rail is committed to working with all station communities on working development and development plans around the station.

Vaughn, via Zoom Q&A, stated that the state of Washington conducted a study recently on finding out why transit systems take so long and costs so much to do. The main reason they came up with is the local customizations that go on once the project is set up. He stated that Caltrain electrification is the same and cautioned getting stuck and encouraged getting things done to reduce carbon footprint and cars off of the road.

Cody Vaughn, via Zoom Q&A, expressed his support for the High-Speed Rail project and the work that they are doing with the city of San Jose with the plans for the new station, as well as transit-oriented development there. He also supported any community meetings be recorded.

**CALTRAIN ELECTRIFICATION UPDATE**

Brent Tietjen, Government and Community Relations Officer presented an Update on Caltrain Electrification Update.

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

Committee Comments:

Vice Chair Brandt advised the committee for more videos of Caltrain, search YouTube Statler KISS.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, appreciated the report and requested it be posted on website. He then shared his disappointment with the two-year delay with the revenue service. He then asked staff to include the train arrival dates. Lastly, Jeff suggested He stated that Caltrain is planning for fifty-inch above the rail platforms to be compatible with High-Speed Rail. Although it is not known what High-Speed Rail will use, he suggests twenty-five inches above the top of rail for level boarding and that Caltrain should advise High Speed Rail how to conform.

Roland Lebrun, San Jose, via Zoom Q&A, commented on the Caltrain Electrification Update presentation and expressed his frustration with only showing sections one through four. He then stated that Caltrain will not have more capacity until they go to eight car trains. He then said that the signal system should have been completed before electrification. Regarding Plan B if signal system is not ready, Roland suggested testing the EMUs in Pueblo by pushing and pulling with diesel. Roland also mentioned the problem with EMU storing and suggested getting rid of the Gallery cars. Lastly Roland commented on the train doors and suggested Caltrain to purchase High Speed Rail trains.

Vaughn, via Zoom Q&A, stated that the only reason Caltrain does not have more capacity is because they are running shorter trains to meet the BART substandard. He stated that rail is good for ten percent congestion reduction. Vaughn then asked, if staff had more money, could electrification be done sooner. He stated that there are funds out there and to consider obtaining, if possible, to help reduce CO2 emissions sooner.

Vice Chair Brandt stated that until staff gets signaling worked out and approved, installed, and tested, they cannot run a single electric train. He agreed with public comment made by Roland regarding testing by push/pull in Pueblo. Lastly, he suggested using diesel with the new fleet to address the storing issue.

**STAFF REPORT UPDATE**

Joe Navarro, Deputy Chief, Rail Operations reported:

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

### **On-time Performance (OTP) –**

- **July:** The July 2021 OTP was 90.2% compared to 96.4% for July 2020.
  - **Vehicle on Tracks** – There were two days, July 17 and 24, with a vehicle on the tracks that caused train delays.
  - **Mechanical Delays** – In July 2021 there were 586 minutes of delay due to mechanical issues compared to 558 minutes in July 2020.
  - **Trespasser Strikes** – There were two trespasser strikes on July 9 and 23, one resulting in a fatality.
- **June:** The June 2021 OTP was 91.5% compared to 96.3% for June 2020.
  - **Trespasser Strikes** – There was one trespasser strike on June 3, resulting in a fatality.

Mr. Navarro stated that regarding electrification staff is on course with what has been planned and the dates that have been given at the board meetings. He also stated that Caltrain has room for both the new electrification fleet and room to maintain a diesel fleet. Mr. Navarro then stated that staff is working in advancing planning and work to increase the signal cut overs with the dual speed checks and hoping for a conclusion within the next week or two and will be able to report plans by the end of next month to help address that situation.

Mr. Navarro then shared two slides showing Estimated Total (Monthly) Ridership and Estimated Weekday Ridership Trend charts.

#### Committee Comments:

Vice Chair Brandt asked whether there is a possibility to run the EMUs with diesel. Mr. Navarro confirmed that it is possible to move them and couple them. Vice Chair Brandt whether that is something staff would consider running. Mr. Navarro stated that when the time comes; staff will consider all options that comply. Vice Chair then asked about the recent vehicle strike and Mr. Navarro responded that as always, that information will be shared at subsequent meeting. He then commented on the Ridership trend charts and requested that the percentage be added and for it to be included in the Agenda Packet.

Member Kutler commented that although the trend chart may reflect a small percentile point of view, the trains feel crowded. She also commented that there is a different situation now and that although staff is looking for ridership to go up, there also remains the need for distance between people and that the Special Service for Giants game trains feel very uncomfortable. Vice Chair Brandt shared comments on the previous day's fatality. Member Roz shared that she was amazed with the recovery

time from that fatality especially during a Special Event for the Giants. Vice Chair shared that with the timetable change and added Service it would alleviate the trains feeling crowded.

Public comments:

Jeff Carter, Millbrae, via Zoom Q&A, stated that the trains feel more crowded and that it is a good and bad thing with respect to increased ridership and COVID, respectively. He appreciated the Ridership Trend Charts and requested to include how the data is calculated.

Roland Lebrun, via Zoom Q&A, stated that the fatality that occurred the day prior would have never happened with quad gates. He also expressed his frustration with the 25<sup>th</sup> Ave. grade separation vs the greater need for one in Burlingame. Roland then reiterated testing the EMUs using push/pull in Pueblo, Colorado. He then stated that Caltrain is the only agency that does not show ridership as a percentage of the baseline back in February 2019. Lastly, he is looking forward to the crowding of trains being addressed.

Jonathon E., via Zoom Q&A, stated that he was glad to hear that there will be special event service after concerts, such as the Hella Mega Tour, however, he does not see special event services reflected on the website, other than for Giants games. Mr. Navarro stated that the website would be updated soon.

Doug DeLong, via Zoom Q&A, commented on the service provided during COVID and then asked whether with the timetable change whether the fleet would go to six car trains to provide more elbow room. Mr. Navarro stated that Caltrain will keep five car train sets however will provide more service than ever before and as things change staff is prepared to adjust quickly.

## **JPB CAC Work Plan**

### September 15, 2021

- Cars on tracks update
- SSF
- Rail Safety Month
  - JPB
  - TASI

### October 20, 2021

- Code of Conduct
- Clipper Data Availability
- Hillsdale Station Obstacles

November 17, 2021



December 15, 2021

- Customer Experience Completions & Recommendations

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
- Regional Fare Integration Task Force – requested by Member David Tuzman on 6/1/21
- Blue Ribbon Task Force

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

September 15, 2021 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2<sup>nd</sup> Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 8:30 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:** August 25, 2021  
**To:** Board of Directors  
**From:** Michelle Bouchard, Acting Executive Director  
**Subject:** September 2, 2021, JPB Board Meeting Executive Director's Report

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- **On-time Performance –**
  - **Through August 24:** The preliminary August 2021 OTP was 94.1 percent compared to 95.7 for August 2020.
    - **Trespasser Strikes –** There were two trespasser strikes on August 2 and 25, resulting in fatalities.
    - **Vehicle Strike –** There was one vehicle strike on August 17, resulting in a fatality.
  - **July:** The July 2021 OTP was 90.2 percent compared to 96.4 percent for July 2020.
    - **Trespasser Strikes –** There were two trespasser strikes on July 9 and 23, one resulting in a fatality.
- **Caltrain August Service Change –**

Starting Monday, August 30, 2021 Caltrain service will surpass its pre-pandemic levels, offering 104 trains per weekday, including hourly all-stop Local trains throughout the day and the return of the Baby Bullet express

trains. As an additional incentive to riders, Caltrain is discounting all of its non-Go Pass fares by 50% during the month of September.

The new level of weekday service will provide increased service and frequency throughout the day and into the evening. Service during the weekday peak commuting hours (6 a.m. to 9 a.m., 4 p.m. to 7 p.m.) will be increased to four trains per hour with the return of hourly Baby Bullet express trains.

Limited-Stop train service during the middle of the day will provide riders with a faster alternative, while half hourly service until 11 p.m. will provide better local service into the late evenings, in keeping with the goals of the Framework for Equity, Connectivity, Recovery and Growth. Another goal of the framework captured by the new schedule is a move towards clock-face scheduling, so trains arrive at regular and predictable intervals, simplifying the riding experience.

The restoration of the third Gilroy train, which includes direct service to College Park station, will provide increased service to South Bay residents.

Weekend service will now be identical, rather than separate Saturday and Sunday schedules, which adds two additional round trips in morning and late evening on Sundays.

Caltrain developed the timetable with an emphasis on improving BART connections at the Millbrae Transit Center.

- Under the new timetable, the majority of connections during weekdays are between eight and 15 minutes.
- After 8:30 p.m. and for some weekend transfers, the wait time is currently less optimal.
- Both systems are dealing with intensive, system-wide construction, rebuilding, and maintenance activities that limit flexibility, and are continuing to work together to optimize our connections.

In addition, starting on Monday, August 30 the Campus Drive, Lincoln Centre, Mariners Island and Redwood LIFE shuttles will move to the new Hillsdale Station, after being temporarily relocated to Belmont Station.

- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, August 18, via teleconference. Morgan Galli & Rachel Bickert from High-Speed Rail provided a presentation on High-Speed Rail. Brent Tietjen, Government & Affairs Officer provided an Electrification Update. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting

is scheduled for Wednesday, September 15, via teleconference or in San Carlos.

- **BATAC Meeting** – The next Bicycle & Active Transportation Advisory Committee meeting is scheduled for Thursday, September 16, via teleconference or in San Carlos.
- **Holiday Service** –
  - **Labor Day** – On Monday, September 6, Caltrain will operate a Weekend Schedule in observation of the Labor Day Holiday.

- **Special Event Service** –

**Services Performed:**

- **SF Giants** – The SF Giants hosted 14 home games in July. Average additional ridership per game, boarding and alighting at San Francisco station, was 3,416, an increase of 95% compared to June 2021. Total additional ridership for July was 47,828. Year-to-date additional ridership is 87,551.

The Giants hosted 12 home games in August. August Monthly Giants Ridership will be reported in October.

- **Independence Day SF Waterfront Fireworks** – On Sunday, July 4th, Caltrain operated a Sunday schedule. Caltrain operated two additional post-event local trains after the Independence Day fireworks along the SF waterfront. Caltrain carried 1,274 additional riders, a 59 percent decrease compared to 2019.
- **SF 49ers Pre-Season** – The 49ers hosted the 1<sup>st</sup> pre-season home game at Levi's Stadium on Saturday, August 14 at 5:30 p.m. (vs. the Kansas City Chiefs) with no capacity restrictions. Caltrain operated regular weekend service to and from the game.

While VTA works on restoring light rail service, VTA provided bus bridge service between Mountain View Transit Center and Levi's Stadium. Direct, non-stop bus service connecting with Caltrain's hourly service, began at approximately 3 hours prior to the game start and lasted for approximately one hour after the game.

SF 49ers Pre-Season Ridership will be reported in October.



**Services Scheduled:**

- **SF Giants** – The Giants will host 15 home games at Oracle Park at full capacity in September. Caltrain will continue to operate the Millbrae Express special post-event service for all Weekday night and Weekend night games that was implemented with the opening of the economy starting June 15. Caltrain will continue to monitor ridership arriving and departing SF station to support customer needs.
- **SF 49ers Pre-Season & Regular Season** – The 49ers will host their 2<sup>nd</sup> pre-season game on Sunday, August 29 at 1:00 pm (vs. the Las Vegas Raiders) and will host their first regular season home game at Levi's Stadium on Sunday, September 26 at 5:20 p.m. (vs. the Green Bay Packers). Caltrain will operate regular weekend service to and from the games. Caltrain & VTA will continue to work on providing connecting service to Levi's Stadium as the VTA works on restoring light rail service (date still to be determined).
- **Hella Mega Tour Concert** – The Hella Mega Tour Concert will be held at Oracle Park on Friday August 27, 2021 at 5:30 p.m. and will feature bands including Green Day, Fall Out Boy, Weezer and the Interrupters. Caltrain will operate a special southbound Local train after the show to accommodate the extra crowds attending the event.
- **SAP Center Event Service** – In coordination with the Caltrain Service Change effective Monday, August 30, 2021 Caltrain may modify service for SAP Center Evening Events. Caltrain & SAP Center will be working together to promote train ridership to and from events.

On weekdays, Trains 143 or 145, and on weekends, Trains 277 or 281, departing from San Jose Diridon station may be delayed and will depart no later than 10:30p or 11:30p respectively.

- **Opera at the Ballpark** – On Friday, September 10, Opera at the Ballpark returns to Oracle Park for 'The Homecoming' at 7:00 p.m. Caltrain Special Event Service is still to be determined.
- **Stanford Football** – The Stanford Cardinal will host their first 2021 home football game of the season on Saturday, September 25 vs. UCLA (start time still to be determined). For weekend home games, Caltrain will serve the Stanford Stadium station with both northbound and southbound trains before and after games. Fans can tag on and tag off using their Clipper cards at the Stanford Stadium station for all weekend home games.

During weekday home games since Caltrain does not stop at the Stanford Stadium Station, fans are directed to use the Palo Alto Station. From there fans can take the Marguerite Shuttle on weekdays or walk to the Stanford Stadium.

### **Capital Projects –**

The Capital Projects information is current as of August 13, 2021 and is subject to change between August 13 and September 2, 2021 (Board Meeting).

- **San Mateo 25th Avenue Grade Separation Project:** This project raises the elevation of the alignment from Hillsdale Boulevard to south of the Highway 92 Overcrossing in the city of San Mateo. The project creates a grade separation at 25th Avenue, relocates the Hillsdale Station to the north, and creates two new east-west street grade-separated connections at 28th and 31st Avenues in San Mateo. The project is over 97% complete.

The new Hillsdale Station was opened for rail service on April 26th along with the majority of the parking lots between 28th Avenue and 31st Avenue, and, between 28th Avenue and 25th Avenue. The small portions of the parking lots at the southern end by 31st Avenue and at the northern end near 25th Avenue, which were excluded at the station opening, are currently in progress for completion. The contractor is also working on completing finishes for the station platform and the Electrical & /Communications Room.

At 25th Avenue, the roadway lowering work was completed at the end of July and the street was reopened for public traffic on August 2.

At 31st Avenue work continues for the painting of the 31st Avenue Steel Bridge, concrete flatwork for sidewalks, electrical & mechanical work for the storm drain pump station, and street modifications at the intersection of 31st Avenue and El Camino Real. The opening of the new 31st Avenue underpass is expected by September.

- **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.

In August, the contractor (PMI) is installing architectural and electrical finishes for Ramp 3 (Pedestrian Underpass leading to West Plaza/Airport

Boulevard entrance), and Ramp 2 (Pedestrian Underpass to Center Platform). Concrete work and embedded electrical for Ramp1/Stair 1 (East Side entrance on Poletti Ave. to Pedestrian Underpass) is also in progress. The ceiling of the Pedestrian Underpass is in progress. The project completion date is forecasted for November 2021. Despite certain outstanding items and owner-directed changes still to be implemented, the project team remains confident of the November 2021 completion date.

The funding agreements with the San Mateo County Transit Authority (TA) and City of South San Francisco, addressing project budget and schedule impacts was finalized. At the July 1 meeting, the board authorized the receipt of additional funding and the increase contract authority. The project team is in negotiations with the contractor for a comprehensive settlement on remaining commercial issues such that cost certainty can be obtained as well by November 2021 or sooner.

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

Construction was substantially completed in late July 2021. During August, punch list work was being performed. The contract is planned to complete in the summer of 2021.

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

The project will improve both traffic safety and traffic flow on Broadway. The Project will also provide improved and more efficient traffic movement along

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

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. A board action is arranged for a upcoming board action related to additional funding from the San Mateo County Transportation Authority (SMCTA) and FY22 Capital Budget amendment for the additional design and construction costs associated with the relocation of Paralleling Station #3 (PS3) to the east side of the alignment. The current schedule forecasts advertisement for the construction contract by mid-2023. Construction scheduled to occur from early 2024 to early 2026. Advance utility relocations are expected to begin in mid-2023. 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 MT-1 and MT-2 bridges are located along a sharp meander of the Guadalupe River, and the river exhibits a high degree of floodplain fill, channel confinement, and bank failures. The geomorphic issues directly affect the safety and reliability of the railroad bridges by eroding directly towards the bridge abutments. Riverbank failures at MT-2 occurred in 2017 and at both MT-1 and MT-2 in several years prior to 2017, requiring emergency bank stabilization measures. To address these safety issues and protect the rail bridge asset, Caltrain proposes to widen the channel by approximately 75 feet; replace the MT-1 bridge with a new, longer bridge; and extend the MT-2 bridge. The existing MT-2 bridge meets seismic criteria and does not require full replacement, but it will be lengthened on the south side to help address geomorphic stability issues at the bridge abutments and river channel basin.

The proposed project entails replacement of the existing 187-foot MT-1 bridge with a 265-foot pre-cast concrete structure; 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 design completion by October-November and bid advertisement in early 2022 with expected Board award in April 2022.

Major issue facing this project is the negotiation resolution with the UPRR and advance relocation of the Fiber Optic cable & communication lines before bridge construction commencement.

- **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 & ¼ 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 expects 35% design submittal for later this year. Preliminary budget estimate for this project is around \$280 million. Most of the funds will come from City of Mountain View (Measure "B" sales tax), State, Federal and other grants.

Currently construction is expected to start in early 2025 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 are capable of performing the functions planned for the current Clipper program. The new machines will be able to dispense new Clipper cards (excluding discount Clipper cards that require verification of eligibility) and have the ability of increasing the cash values of existing Clipper cards. 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 award of Phase 3 for upgrading of another 21 TVM's is pending the signatures to formally execute the agreement. Phase 4 for the upgrading of another 27 TVM's will be added to the project when the approved FY21 capital funding becomes available. Phase 5 funds to upgrade the remaining 27 TVM's was included in the approved FY22 Capital Budget.

- **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 in order 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 100% crossing design by the Electrification project is not available for design coordination and a timeframe for its receipt is pending. Project proceeded to complete its design without this information from the Electrification project. The 100% design is complete and Notice to Proceed

for construction was issued to the Caltrain contract operator, TASI. TASI has completed the installation of new traffic signal preemption equipment. The new equipment for the 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 the fall 2021.

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

Construction began in April 2021 and all construction contract was substantially completed in July 2021. The previously remaining work for the median on the east side of 3rd Ave has now been installed and the pavement striping has also been completed. The only remaining work for the project is the installation of red solar pavement markers on the edge of the roadway across the tracks which will be done by the Caltrain contract operator, TASI.

- **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 65% design, that predates the City of Palo Alto's design, was received at the end of April 2021. The City of Palo Alto's initial 50% design for the crossing was received in July 2021 and is now being incorporated into the 95% design. The City's 100% design is forecast for September 2021, therefore, the completion of JPB's Issue for Bid documents has been extended from August to October 2021 in order to incorporate the City's design. Construction is forecast for mid-2022 to early 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 are in need of rehabilitation with surface rust that needs to be addressed along with a complete repainting of the bridge to bring the structure to a state of good repair.

The project is 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.

- **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 has completed the planning/conceptual design phase to develop project requirements and a stakeholder's review of planning/conceptual design was completed. A recommendation has been 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. The RFP contract documents are currently undergoing review by JPB management. Advertisement is forecast in the late summer of 2021 and contract award by early 2022. Design and Construction is planned from early 2022 until mid-2023.

- **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 MVTC provides access to the regional transportation network for the city's residents and is a key transfer point for employees in Mountain View and greater Silicon Valley. It accommodates over 10,000 trips per typical weekday, with services including Caltrain, Santa Clara Valley Transportation Authority (VTA) light rail and bus vehicles, and private company shuttles. Currently this project is funded for the design phase through local funds by



VTA Measure B. The City of Mountain View is the sponsor of the project with Caltrain acting as the lead agency for implementation.

The Project goal is to provide a grade-separated pedestrian and bicycle undercrossing of the Caltrain rail tracks and Central Expressway, with safer and more direct connections for these travel modes between the Transit Center, Downtown, and neighborhoods and employment centers to the north and south. 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 is currently planned for late 2021 that will be followed by the release of the Request for Proposal for Final Design. As the lead implementing agency, the JPB shall retain a professional engineering services consultant to provide services for the Final Design Plan, Specifications and Estimate (PS&E) phase of the Project with a planned schedule to issue an Invitation for Bids (IFB) for construction by end of 2024. The consultant is required to deliver the services required for the Project in conformance with the schedule stipulated by the funding requirements.

Currently, the project is working with the '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) in regards to 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 in regards to scope, schedule, as well as input for the conceptual design. In addition, JPB Staff will schedule a meeting with California Public Utilities Commission (CPUC) and other stakeholders for a diagnostic field assessment in order to obtain the necessary information and requirements from CPUC for the final design.

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 re-usable 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. In order 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 for overhauling. Its return to Caltrain has been delayed from early-2021 until mid-2021 due to COVID-19 related impacts to the vendor’s supply chain, availability of testing staff due to travel restrictions, and increase in the scope of needed repairs. This delay is expected to be limited to vehicle #927, this unit is currently 70% completed. A second vehicle #924 was shipped to the vendor’s facility in November and is currently being overhauled.

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: John Funghi  
Chief Officer, Caltrain Modernization Program

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

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](http://www.caltrain.com/projectsplans/CaltrainModernization/CalMod_Document_Library.html). No action required.

**SIGNIFICANCE**

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

**BUDGET IMPACT**

There is no impact on the budget.

**BACKGROUND**

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



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



# July 2021 Monthly Progress Report

July 31, 2021

## Funding Partners



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



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



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



Carl Moyer Fund



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



San Francisco  
County Transportation  
Authority



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



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



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



City and County of San Francisco (CCSF) Contribution

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## **1.0 BACKGROUND**

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

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

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

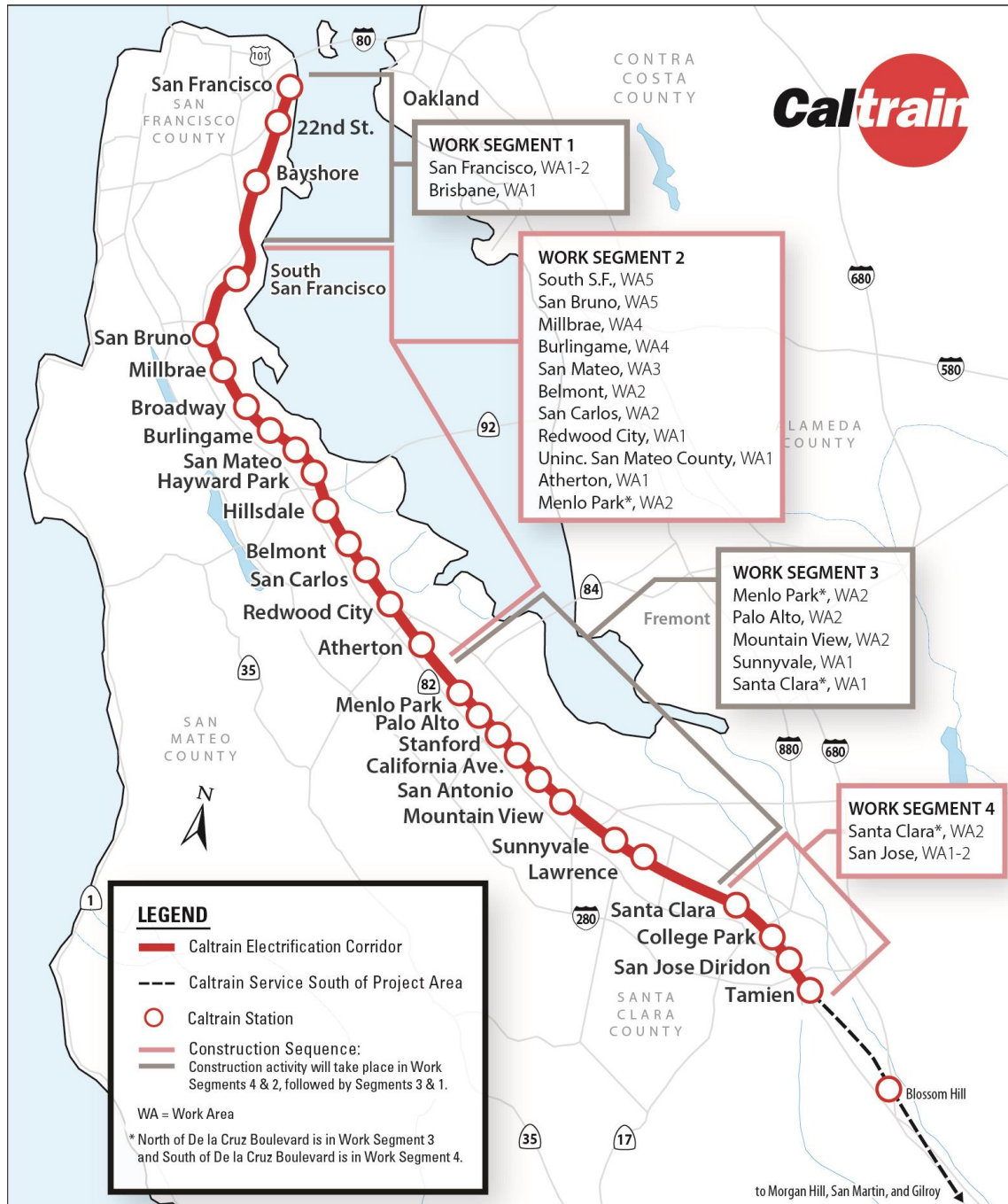
- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable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



**2.0 EXECUTIVE SUMMARY**

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

**Figure 2-1 PCEP Work Segments**



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Crews continued foundation installation in Segment 2 between Belmont and Atherton, as well as off-track foundations in Segment 1. The 25 kV enclosure was delivered at Switching Station 1 and the communication equipment has been installed. A signal cutover was performed at CP Shark and Alameda. Work at the paralleling stations included ductbank, ground grid, fence, access road, access ramp, 25 kV enclosures, and light pole and gantry installations.

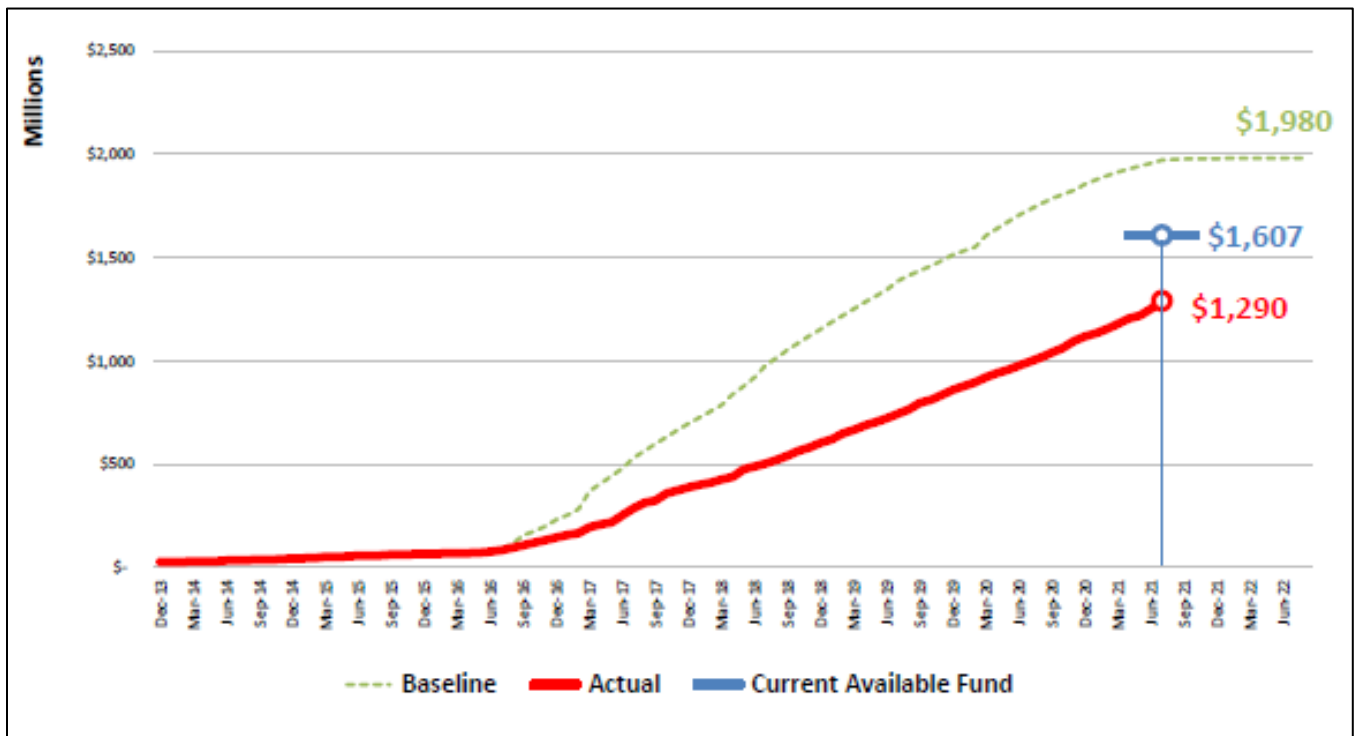
Punch list work continued at the Centralized Equipment Maintenance and Operations Facility (CEMOF). The siding trim and exterior siding has been installed for the Component Test Room and the warehouse lighting has been installed at the Part Storage Building. The CEMOF Modifications Contract is expected to be complete by August 2021.

Trainset 1 is still undergoing dynamic type testing in Pueblo, CO, including 8-car brake, propulsion, and auxiliary power testing. Routine static and dynamic testing continues on Trainset 3 and 4, and has started on Trainset 5. The Monitoring and Diagnostics (MDS) Final Design Review (FDR) has been completed, and one FDR remains for Positive Train Control (PTC) software.

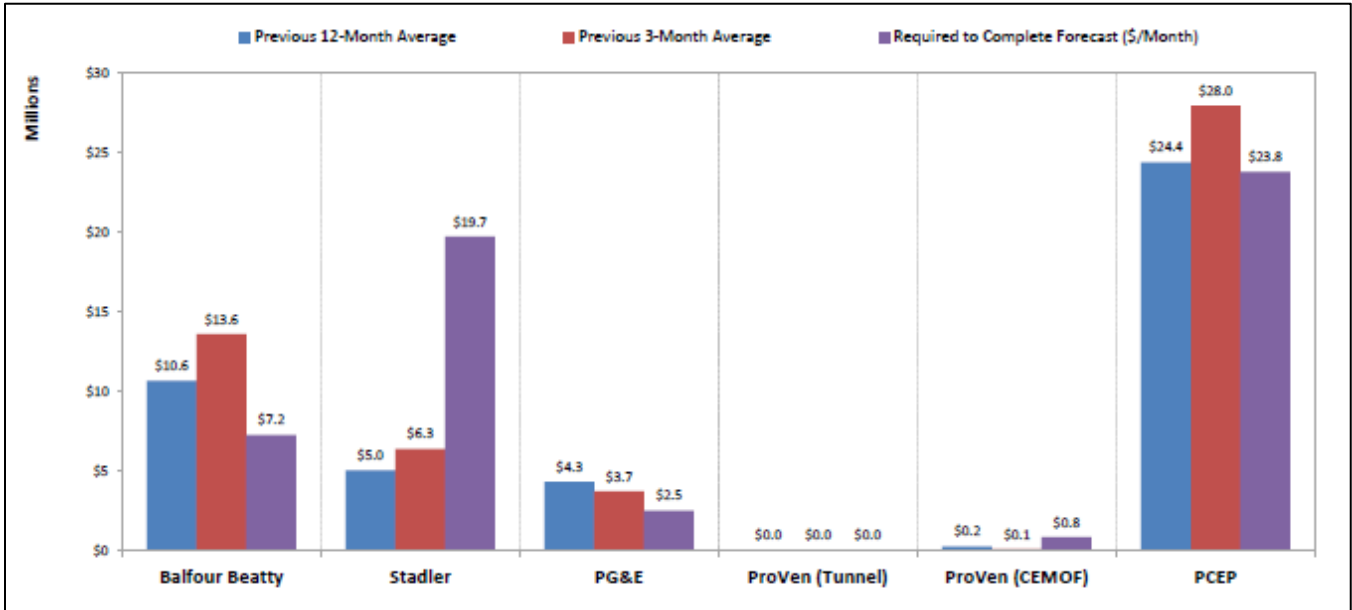
**2.1. Monthly Dashboards**

Dashboard progress charts are included below to summarize construction progress.

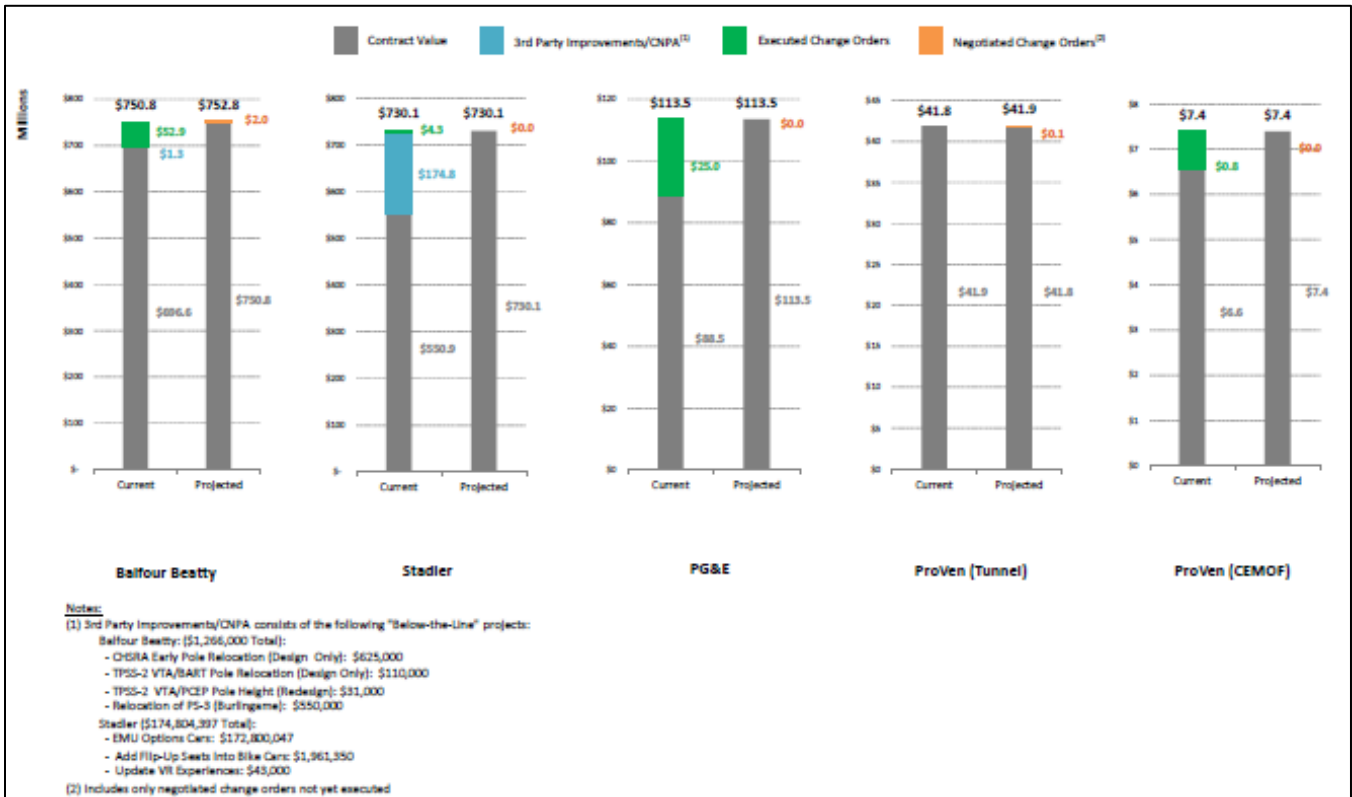
**Figure 2-2 Expenditure – Planned vs. Actual**



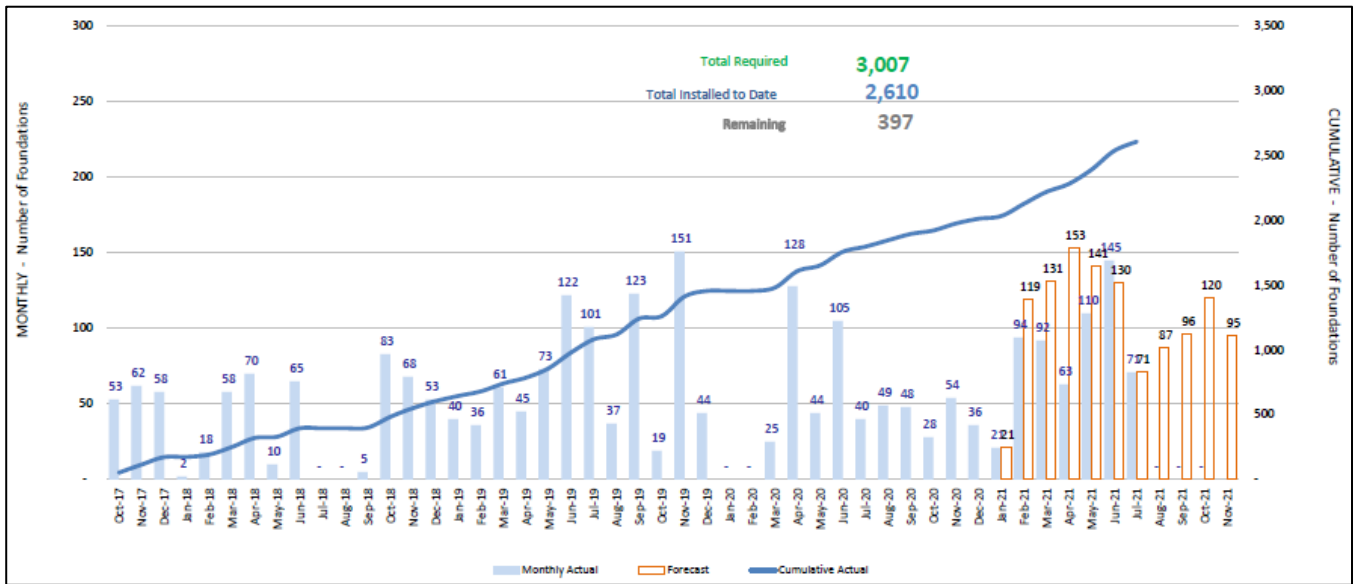
**Figure 2-3 Spending Rate vs. Required**



**Figure 2-4 Construction Contract Budgets**



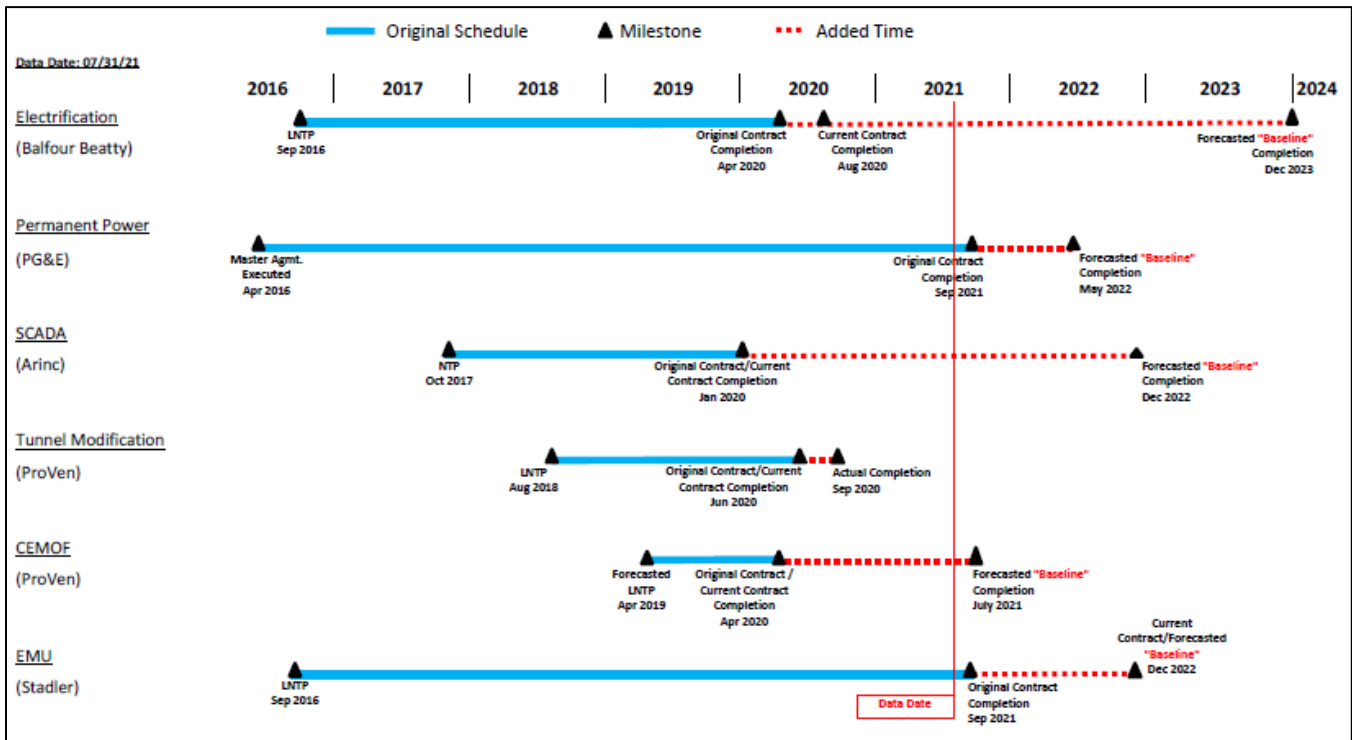
**Figure 2-5 OCS Foundation Production**



Notes regarding tables above:

1. 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
- Discussion of open issues impacting foundations design and installation
- Discussion of outstanding Requests for Information (RFI)
- Review of foundation designs that potentially impact Right of Way (ROW)
- Review of outstanding Field Orders or Change Notices required for work to continue

##### **TPF Meeting**

Funding Partners: None

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

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

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

#### Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; MTC: Trish Stoops; CHSRA: Sharath Murthy; VTA: James Costantini

The Federal Transit Administration (FTA) Quarterly Update occurred virtually on July 27. In environmental and planning, the California Department of Fish and Wildlife (CDFW) permit has been renewed and work has resumed after finalization of the permit. The cutover for CP Shark/CP Alameda was successfully completed the weekend of July 23 and returned to Operations on time. In EMU design and testing, two final design reviews (FDRs) remain for Positive Train Control (PTC) and Monitoring and Diagnostic System (MDS), with MDS nearing finalization by the end of July. Testing occurred for Train 1 which included propulsion/braking tests for an 8-car train and door/braking tests for a 7-car train. Car B has arrived in Elmira, NY and is being prepared for climate room testing. A JPB representative will be onsite to witness the testing. Routine static and dynamic tests on Trains 3, 4, and 5 are ongoing. At CEMOF, outstanding punch list items and repairs are ongoing. In design build activities, poles and wires work in Segment 3 is nearing completion and Segment 4 is anticipated to be completed by end of July. The hardware for the ARINC Secure Authentication (SA) has been installed at Menlo Park and San Jose control facilities with expected completion of the Protocol Manager for SA Version 5 in mid-August.

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

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

#### Activity this Month

Funding Partners: CHSRA: Sharath Murthy

Bi-weekly PCEP System Integration meetings are held to monitor and determine appropriate resolution for systems integration issues. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, Positive Train Control (PTC) and Caltrain Capital Project managers responsible for other capital projects on the corridor is ongoing. There is coordination with PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. 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: MTC: Trish Stoops; SFCTA: Luis Zurinaga; CHSRA: Sharath Murthy

JPB has proposed a new revised Revenue Service Date (RSD) as a result of the risk refresh exercise performed by FTA-PMOC in December 2020. RSD is forecasted to occur between January 1, 2024 and March 31, 2024. When six to eight months of risk contingency is included, the new proposed revised RSD is September 26, 2024.

Stadler's forecasted conditional acceptance of the 14th trainset in the MPS July 2021 update remains December 9, 2022. The 1st trainset arrival at JPB also remains November 24, 2022. The impact of both the replacement of the internal parts supplier and COVID-19 remains unknown in Stadler's schedule during the upcoming months.

ARINC's software installation and equipment cutover has an 84-day schedule delay as a result of both the contractual requirement of Secure Authentication Resolution (SAR) and the revisions to SCADA's point-to-point list. The revised forecasted completion date for the software installation and equipment cutover is October 21, 2021.

The JPB's forecasted electrification substantial completion date for the BBII contract in the MPS July 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.

### **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; VTA: James Costantini, Franklin Wong

Two risks were retired. One risk was added. One risk was reassigned.

### **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: Franklin Wong and James Costantini; FTA: Mike Eidlin

#### BBII Contract

Five changes were 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.

#### Other

One change was considered and approved.

### **2.3. Schedule**

JPB has proposed a new revised Revenue Service Date (RSD) as a result of the risk refresh exercise performed by FTA-PMOC in December 2020. RSD is forecasted to occur between January 1, 2024 and March 31, 2024. When six to eight months of risk contingency is included, the new proposed revised RSD is September 26, 2024.

Stadler's forecasted conditional acceptance of the 14th trainset in the MPS July 2021 update remains December 9, 2022. The 1st trainset arrival at JPB also remains



November 24, 2022. The impact of both the replacement of the internal parts supplier and COVID-19 remains unknown in Stadler’s schedule during the upcoming months.

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

**Table 2-1 Schedule Status**

Milestones	Program Plan	Progress Schedule (July 2021) <sup>1</sup>
Milestone #1 Segment 4 Construction Completion	11/21/2019	12/13/2021 <sup>1</sup>
Arrival of First Vehicle at JPB	N/A	11/24/2021 <sup>2</sup>
PG&E Provides Permanent Power	09/09/2021	05/12/2022
FFGA RSD	08/22/2022	08/22/2022
Acceptance of 14 <sup>th</sup> Trainset	08/20/2021	12/09/2022 <sup>2</sup>
Electrification Substantial Completion	08/10/2020	12/31/2023 <sup>*</sup>
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:

- <sup>1</sup>. Dates may shift slightly in the next month’s Progress Schedule update due to additional signal cutovers in Segment 4.
- <sup>2</sup>. These dates are expected to be delayed due to the replacement of internal parts supplier.
- <sup>A</sup> Completed Milestone.
- <sup>\*</sup> 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 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 \$173M 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 a FTA project EAC of \$2.263B. The re-baseline allocation of the additional budget to the current budgets will be implemented after resolution of the Two-Speed Check Solution.

**Peninsula Corridor Electrification Project**  
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A summary of the overall budget and expenditure status for the PCEP is provided in Table 2-2 below.

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

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3,4</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$29,054,315	\$986,232,783	\$329,892,425	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$8,442,013	\$303,499,116	\$360,628,209	\$664,127,325
<b>Known and Allocated<sup>5</sup></b>					\$161,000,000	\$161,000,000
<b>Reserve<sup>5</sup></b>					\$172,000,000	\$172,000,000
<b>PCEP TOTAL</b>	<b>\$1,980,252,533</b>	<b>\$1,980,252,533</b>	<b>\$37,496,328</b>	<b>\$1,289,731,899</b>	<b>\$1,023,520,633</b>	<b>\$2,313,252,533</b>

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
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 Execution of a Change Order with BBII for Removal and Disposal of Contaminated Soil
- Change orders as needed

**2.6. Government and Community Affairs**

There were five 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 S2 WA1 and 2.
- Continued installation of off-track foundations in Segment 1.
- Continued installation of OCS poles, cantilevers, and wires in Segment 4.
- Continued regulation of OCS wires (sagging the wires) in Segment 3.
- Continued installation of shunt wires in Segment 3 and Segment 4.
- Continued to pothole at proposed OCS locations and utility locations in Segment 2 and Segment 1 in preparation of upcoming foundation installations.
- 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:
  - Continued installation of pad and low voltage ductbank for PG&E service.
  - Continued installation of ground grid and grounding pads.
  - Pulled and terminated LV wire.
  - Installed 25 kV insulators.
- PS-2:
  - Began installation of ductbank for 400 AMP service panel.
  - Installed strain gantries.
  - Began building access road.
  - Continued fence installation.
  - Poured stairs, grounding pads, oil/water separator and manhole.

## **Peninsula Corridor Electrification Project**

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### **Monthly Progress Report**

- PS-3:
  - Reviewed city comment responses for draft IFC design with PGH Wong, BBII, and City of Burlingame.
  - Continued installation and performed backfill, formwork and rebar for 25 kV enclosure foundation.
  - Progressed on conduit installation for high voltage and low voltage ductbank.
- PS-4:
  - Potholed for strain gantry foundations.
  - Poured foundation for 400 AMP panel pad.
  - Continued installation of ductbank to 400 AMP panel.
  - Continued excavation for PG&E low voltage pad and ductbank.
  - Continued low voltage termination.
  - Completed bio retention/bioswale excavation work.
- PS-5:
  - Continued low voltage termination.
  - Installed steel grates for the transformer.
  - Continued terminations on gantry, MOD and GTC cabinets.
  - Set two lighting boxes.
- PS-6:
  - Poured access ramp.
- PS-7:
  - Set 25 kV enclosure and installed communication panel and equipment.
  - Set PG&E vault.
  - Installed gantry interface.
- TPS-1: Set gantry structures.
- TPS-2:
  - Set 25 kV enclosures.
  - Delivered and installed switchgear.
  - Continued installation of light poles.
- SWS-1:
  - Continued low voltage power drop installation
  - Tested ground grid.
  - Delivered 25 kV enclosure.
  - Installed communication equipment in 25 kV enclosure.
- Continued to install signal kits, AFTAC boxes, and signal cases in Segment 2.

- Performed cable terminations in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segments 1, 2, 3, and 4.
- Performed track circuit setup and local testing at Control Point (CP) Shark and Alameda.
- Performed signal cutover at CP Shark and Alameda.
- Performed track bonding and impedance bond installation in Segment 4.
- Continued fiber optic cable installation and splicing in Segment 4.
- 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.
- Continued Right of Way acquisition process for off-track foundation installation in Segment 1.
- 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.

**Peninsula Corridor Electrification Project**  
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A summary of the work progress by segment is provided in Table 3-1 below.

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

Segment	Work Area	Foundations			Poles		
		Required <sup>abc</sup>	Completed this Month	Completed to Date	Required <sup>ab</sup>	Completed this Month	Completed to Date
1	Tunnels	32	0	32	32	0	32
	A	304	29	66	259	0	0
	B	231	6	98	177	0	0
2	5	246	0	246	208	0	160
	4	317	0	316	253	21	211
	3	177	0	177	140	0	43
	2	238	16	228	205	0	60
	1	201	22	186	154	0	33
3	2	509	0	509	445	0	445
	1	392	0	392	310	0	306
4	A	242	0	242	180	0	179
	B	128	0	128	124	0	109
	CEMOF	85	0	85	84	2	82
<b>Total</b>		<b>3,102</b>	<b>73</b>	<b>2,705</b>	<b>2,571</b>	<b>23</b>	<b>1,660</b>

Note:

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

**Activity Next Month**

- Complete OCS foundation installations, in S2WA2 and 1.
- Continue off-track OCS foundation installations in S1.
- Begin on-track OCS foundation installation in S1, including mobilization to S1 siding and staging.
- 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 September in these two segments.
- Continue shunt wire installation.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations.
- Continue construction at TPS-1 and TPS-2.

- PS-1:
  - Continue PG&E low voltage drop work, complete low voltage ductbank installation and set 400 AMP panel.
  - Backfill and complete installation of ground grid.
  - Continue to pull cable.
  - Pull feeder and low voltage wire.
- PS-2:
  - Continue to install PG&E service low voltage ductbank and 400 AMP panel pad.
  - Pour PG&E transformer pad.
  - Continue to pull and terminate wire.
  - Continue to install permanent fence.
- PS-3:
  - Complete city comment responses for draft IFC design with PGH Wong, BBII, and City of Burlingame.
  - Install strain gantries.
  - Backfill ATS Pad.
  - Continue work on 25 kV enclosure.
  - Complete low voltage ductbank installation.
- PS-4:
  - Install remaining fine grade and drain rock onsite.
  - Install strain gantry foundations.
  - Continue installation of bio retention.
  - Install PG&E low voltage ductbank, 400 AMP panel pad, and set transformer pad.
- PS-6:
  - Continue work on access ramp.
  - Continue work on drainage and bio retention.
  - Set 25 kV enclosure and install communication equipment.
- PS-7:
  - Install OCS gantry interface.
  - Set 25 kV enclosure and install communication equipment.
- SWS-1:
  - Install bollards.
  - Install strain gantries.
  - Install PG&E low voltage ductbank.

- Install remaining finegrade.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in all Segments.
- Continue cable termination at signal locations in Segment 4.
- Continue fiber installation and splicing in Segment 4.
- Continue preparation for next signal cutover in Segment 4.
- Continue conduit installations in Segments 1, 2, 3, and 4.
- Continue to install impedance bond connections.
- 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.
- Submitted July Schedule Update.
- Continued DNP-3 Protocol Manager development for support of the required Secure Authentication Version 5 (SAv5) for TP SCADA.

#### **Activity Next Month**

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Continue with development and testing of Protocol Manager to support SAv5.
- Hold workshop in mid-August with stakeholders to review schedule in support of SAv5, point-to-point testing, etc.



### **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:
  - Received completed IFC redesign drawings from TRC/PG&E.
  - UECCo remobilized for Phase 2A construction at the Gateway and Grand Ave intersection.
- FMC – TPS-2:
  - Circuit #2 and redundant fiber highway crossing rescheduled to May 2022.
  - ABB testing conducted for control building and switchgear.
  - Installed and terminated cables for relay panels in the control house.

#### **Activity Next Month**

- EGS – TPS-1:
  - Continue Underground Phase 2A – Gateway and Grand Ave Intersection construction.
- FMC – TPS-2:
  - Install light poles.
  - Continue BBII internal testing and commissioning of 25kV enclosure house.

## **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**

- Dynamic type testing continued on Train 1 at TTCL in Pueblo, CO, including 8-car brake, propulsion, and auxiliary power testing.
- Routine static and dynamic testing continued on Trainsets 3 and 4, and has started on Trainset 5.
- Production continued on Trainsets 3 through 14.
- COVID-19 related actions continued for the 17th 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 spike in positive COVID-19 cases (possibly due to the Delta variant) 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. Currently, delivery of the first trainset to Caltrain has been delayed 8.5 months to November 2021.
  - Stadler's supply chain has been disrupted by two supplier bankruptcies. Replacement suppliers were found, but the delivery schedule was impacted. In addition, one of the replacement suppliers is now having financial issues. Due to this, Stadler submitted another request for excusable delay in February 2021. The extent of the delay is being evaluated. The key point is Stadler's ability to assemble the luggage racks and ceiling panels themselves. Assembly of those parts began in June.
- One Final Design Review (FDR) remains for Positive Train Control (PTC) software. The Monitoring and Diagnostics (MDS) FDR was completed in June.

- First Article Inspections (FAI) continue to have their paperwork formalized and closed out. The individual car FAIs remain, along with FAIs for the Stadler-assembled luggage racks/ceiling panels, and the door plugs.
- 82 carshells have been shipped from Stadler Switzerland, with 73 arriving at Stadler's Salt Lake City facility (9 shells are in transit).
- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restrictions. Audits will commence when sub-suppliers reopen and travel restrictions are lifted.

**Activity Next Month**

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

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

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

**Activity This Month**

- North Pit and South Pit:
  - Completed extra paving for south pit.
  - Submitted Industrial Waste shop drawing.
  - Potholed for Industrial Waste under CMU wall.
  - Continued shop drawings/submittals for north pit repair.
- Component Test Room:
  - Installed additional siding trim and exterior siding.
  - Inspected T-Bar ceiling and wall panels.
  - Completed electrical work.
- Part Storage Building:
  - Continued electrical work.
  - Installed warehouse lighting.
  - Ordered the handrail and photocell materials.
  - Confirmed the soil test classification.

**Activity Next Month**

- North Pit and South Pit:
  - Install track rubber, pit lighting, and pit compressed air and site lighting for south pit.

- Implement north pit repairs.
- Install WSP unit.
- Continue shop drawings/submittals for north pit repair.
- Component Test Room:
  - Continue pulling wires and trim out boxes.
  - Install floor leveling.
  - Install T-Bar ceiling, PTAC unit, and wall panels.
  - Schedule punch list site walk.
- Part Storage Building:
  - Continue electrical work.
  - Install handrail, aerial cable conduit and site lighting.
  - Off haul Class II soil.
  - Install exterior light photocells and fire alarm.

## **5.0 SAFETY**

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

### **Activity This Month**

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Conducted the monthly employee injury review for BBII and its subcontractors.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- 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.
- Coordinated with the PMOC in support of the FTA Oversight Procedure 54 readiness review of Segment 4 Milestone 1 activation.
- Provided project safety informational update at the FTA Quarterly meeting.
- 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, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Finalize project emergency responder presentations, schedule Segment 4 onsite systems familiarization visits for Fire Department staff, and assess proposed tabletop and emergency response exercises for Segment 4, Milestone 1.
- Continue to finalize safety and security certification documentation requirements in coordination with project testing and commissioning activities.

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- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, and CEMOF work activities to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.
- Reinforce the ongoing application of recommended mitigation measures in response to the 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 monitoring NCR #14 issued to BBII for Impedance Bond work performed to unapproved drawing.
- Reordered parts for NCR #15 issued to BBII for condensation build-up in TPS-2 unit.

### **Activity Next Month**

- Review BBII quality records and prepare for upcoming audits for design, quality audits, quality records and training.

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

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

<b>Quality Assurance Activity</b>	<b>This Reporting Period</b>	<b>Total to Date</b>
Audits Conducted	0	131
<b>Audit Findings</b>		
Audit Findings Issued	0	81
Audit Findings Open	0	0
Audit Findings Closed	0	81
<b>Non-Conformances</b>		
Non-Conformances Issued	0	15
Non-Conformances Open	46	6
Non-Conformances Closed	0	9



**7.0 SCHEDULE**

JPB has proposed a new revised Revenue Service Date (RSD) as a result of the risk refresh exercise performed by FTA-PMOC in December 2020. RSD is forecasted to occur between January 1, 2024 and March 31, 2024. When six to eight months of risk contingency is included, the new proposed revised RSD is September 26, 2024.

Stadler’s forecasted conditional acceptance of the 14th trainset in the MPS July 2021 update remains December 9, 2022. The 1st trainset arrival at JPB also remains November 24, 2022. The impact of both the replacement of the internal parts supplier and COVID-19 remains unknown in Stadler’s schedule during the upcoming months.

ARINC’s software installation and equipment cutover has an 84-day schedule delay as a result of both the contractual requirement of Secure Authentication Resolution (SAR) and the revisions to SCADA’s point-to-point list. The revised forecasted completion date for the software installation and equipment cutover is October 21, 2021.

The JPB’s forecasted electrification substantial completion date for the BBII contract in the MPS July 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.

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

**Table 7-1 Schedule Status**

Milestones	Program Plan	Progress Schedule (July 2021) <sup>1</sup>
Milestone #1 Segment 4 Construction Completion	11/21/2019	12/13/2021 <sup>1</sup>
Arrival of First Vehicle at JPB	N/A	11/24/2021 <sup>2</sup>
PG&E Provides Permanent Power	09/09/2021	05/12/2022
FFGA RSD	08/22/2022	08/22/2022
Acceptance of 14 <sup>th</sup> Trainset	08/20/2021	12/09/2022 <sup>2</sup>
Electrification Substantial Completion	08/10/2020	12/31/2023 <sup>*</sup>
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:

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

**Notable Variances**

The late forecast completion date for the Segment 4 OCS system due to manual wire stringing in Work Area A and Caltrans bridges work in Work Area B has resulted in pushing the Milestone #1 construction completion date to December 13, 2021.

BBII's uncertainty regarding the need date for 115kV power to TPS-2 and the associated requirement for a 60-day clearance application with PG&E has caused a 42-day schedule delay, resulting in a revised forecast of October 15, 2021.

Both the Secure Authentication Resolution (SAR) and SCADA lab/field point-to-point testing for Segment 4 have resulted in an 84-day schedule delay for the software installation and equipment cutover. The new forecasted completion date for the software installation and equipment cutover is October 21, 2021.

There is a schedule delay in the CEMOF substantial completion date due to ProVen's low productivity in completing the punch list, resulting in a revised forecast date of August 31, 2021.

**Table 7-2 Critical Path Summary**

<b>Activity</b>	<b>Start</b>	<b>Finish</b>
Signals System Design, Installation & Cutover, and Integration Testing	05/01/2020	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	12/13/2021 <sup>1</sup>
Arrival of 1 <sup>st</sup> Trainset at JPB	11/24/2021
Conditional Acceptance of 14th Trainset	12/09/2022 <sup>2</sup>
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 <sup>*</sup>
Forecasted Revenue Service Date (RSD) – Period Range	01/01/ 2024- 03/31/2024 <sup>2*</sup>

Note:

- <sup>1</sup>. Dates may shift slightly in the next month's Progress Schedule update due to additional signal cutover in segment 4.
- <sup>2</sup>. Dates may change due to COVID-19 Impact.
- <sup>A</sup> Completed Schedule Hold Point (SHP).
- <sup>\*</sup> 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 \$173M 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 a FTA project EAC of \$2.263B. The re-baseline allocation of the additional budget to the current budgets will be implemented after resolution of the Two-Speed Check Solution.

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

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3,4</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>ELECTRIFICATION</b>						
Electrification <sup>(5)</sup>	\$696,610,558	\$749,528,496	\$22,983,181	\$539,465,669	\$210,062,827	\$749,528,496
SCADA	\$0	\$3,842,455	\$0	\$2,863,940	\$978,515	\$3,842,455
Tunnel Modifications	\$11,029,649	\$41,800,383	\$0	\$41,314,390	\$485,993	\$41,800,383
Real Estate	\$28,503,369	\$28,503,369	\$107,039	\$23,624,151	\$4,879,218	\$28,503,369
Private Utilities <sup>(6)</sup>	\$63,515,298	\$117,906,334	\$2,632,247	\$142,095,022	(\$24,188,688)	\$117,906,334
Management Oversight	\$141,506,257	\$176,097,986	\$1,757,789	\$163,161,271	\$12,936,715	\$176,097,986
Executive Management	\$7,452,866	\$10,155,509	\$53,498	\$9,474,043	\$681,466	\$10,155,509
Planning	\$7,281,997	\$6,281,997	\$11,506	\$6,014,146	\$267,851	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$7,041	\$1,491,442	\$298,221	\$1,789,663
Safety & Security	\$2,421,783	\$5,823,965	\$82,064	\$4,679,217	\$1,144,747	\$5,823,965
Project Management Services	\$19,807,994	\$17,526,725	\$132,355	\$14,405,593	\$3,121,132	\$17,526,725
Engineering & Construction	\$11,805,793	\$15,419,095	\$189,200	\$13,468,365	\$1,950,731	\$15,419,095
Electrification Eng & Mgmt	\$50,461,707	\$54,259,867	\$254,838	\$53,520,086	\$739,782	\$54,259,867
Construction Management	\$0	\$15,570,183	\$544,506	\$12,305,349	\$3,264,834	\$15,570,183
IT Support	\$312,080	\$507,170	\$8,120	\$408,252	\$98,918	\$507,170
Operations Support	\$1,445,867	\$3,337,383	\$22,482	\$3,119,310	\$218,073	\$3,337,383
General Support	\$4,166,577	\$7,451,503	\$29,475	\$6,889,222	\$562,281	\$7,451,503
Budget / Grants / Finance	\$1,229,345	\$1,638,553	\$470	\$1,627,757	\$10,795	\$1,638,553
Legal	\$2,445,646	\$5,542,712	\$331,331	\$5,332,433	\$210,280	\$5,542,712
Other Direct Costs	\$5,177,060	\$6,085,783	\$90,903	\$5,718,178	\$367,604	\$6,085,783
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASI Support	\$55,275,084	\$81,409,403	\$1,507,645	\$62,108,911	\$19,300,492	\$81,409,403
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,438,866	\$0	\$899,851	\$13,539,015	\$14,438,866
Required Projects	\$17,337,378	\$10,504,422	\$18,767	\$1,384,208	\$9,120,213	\$10,504,422
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$47,647	\$4,771,783	\$1,365,373	\$6,137,156
Contingency	\$276,970,649	\$80,390,942	N/A	N/A	\$6,035,354	\$6,035,354
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$74,355,589	\$74,355,589
<b>ELECTRIFICATION SUBTOTAL</b>	<b>\$1,316,125,208</b>	<b>\$1,316,125,208</b>	<b>\$29,054,315</b>	<b>\$986,232,783</b>	<b>\$329,892,425</b>	<b>\$1,316,125,208</b>

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. 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.

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

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3,4</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>EMU</b>						
EMU	\$550,899,459	\$555,247,601	\$7,843,662	\$239,730,227	\$315,517,374	\$555,247,601
CEMOF Modifications	\$1,344,000	\$7,392,755	(\$3,140)	\$6,514,668	\$878,088	\$7,392,755
Management Oversight	\$64,139,103	\$62,783,401	\$555,335	\$53,154,485	\$9,628,916	\$62,783,401
Executive Management	\$5,022,302	\$6,615,622	\$26,237	\$6,030,998	\$584,624	\$6,615,622
Community Relations	\$1,685,614	\$975,782	\$5,280	\$698,540	\$277,242	\$975,782
Safety & Security	\$556,067	\$1,117,978	\$13,776	\$777,258	\$340,719	\$1,117,978
Project Mgmt Services	\$13,275,280	\$11,275,280	\$80,235	\$9,004,193	\$2,271,087	\$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	\$284,252	\$25,142,524	\$4,838,490	\$29,981,014
Construction Management	\$0	\$1,841,395	\$56,119	\$1,603,901	\$237,494	\$1,841,395
IT Support	\$1,027,272	\$852,089	\$4,977	\$787,183	\$64,907	\$852,089
Operations Support	\$1,878,589	\$781,858	\$5,579	\$430,167	\$351,690	\$781,858
General Support	\$2,599,547	\$3,138,784	\$20,582	\$2,886,248	\$252,536	\$3,138,784
Budget / Grants / Finance	\$712,123	\$1,050,507	\$476	\$1,040,824	\$9,683	\$1,050,507
Legal	\$1,207,500	\$1,369,563	\$2,538	\$1,261,229	\$108,334	\$1,369,563
Other Direct Costs	\$4,003,139	\$3,694,416	\$55,284	\$3,468,007	\$226,409	\$3,694,416
TASI Support	\$2,740,000	\$2,789,493	\$16,953	\$462,553	\$2,326,940	\$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	\$29,203	\$2,924,641	\$836,841	\$3,761,482
Contingency	\$38,562,962	\$31,050,509	N/A	N/A	\$25,300,529	\$25,300,529
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$5,749,979	\$5,749,979
<b>EMU SUBTOTAL</b>	<b>\$664,127,325</b>	<b>\$664,127,325</b>	<b>\$8,442,013</b>	<b>\$303,499,116</b>	<b>\$360,628,209</b>	<b>\$664,127,325</b>

Notes regarding tables above:

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

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

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3,4</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$29,054,315	\$986,232,783	\$329,892,425	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$8,442,013	\$303,499,116	\$360,628,209	\$664,127,325
<b>Known and Allocated<sup>5</sup></b>					\$161,000,000	\$161,000,000
<b>Reserve<sup>5</sup></b>					\$172,000,000	\$172,000,000
<b>PCEP TOTAL</b>	<b>\$1,980,252,533</b>	<b>\$1,980,252,533</b>	<b>\$37,496,328</b>	<b>\$1,289,731,899</b>	<b>\$1,023,520,633</b>	<b>\$2,313,252,533</b>

Notes regarding tables above:

6. Column B "Current Budget" includes executed change orders and awarded contracts.
7. Column C "Cost This Month" represents the cost of work performed this month.
8. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
9. 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.
10. Known and Allocated and Reserve includes additional budget need of \$333M in the estimate at completion (EAC) until a budget amendment is approved.

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

Description of Work	Budget (A)	Current Budget (B) <sup>1</sup>	Cost This Month (C) <sup>2</sup>	Cost To Date (D) <sup>3</sup>	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$941,706	\$0	\$941,706	\$0	\$941,706
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
PS-3 Relocation (FEMA, BGSP Design Coord.)	\$50,000	\$50,000	\$0	\$0	\$50,000	\$50,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$27,900	\$3,100	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$0	\$60,532,812	\$112,267,235	\$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
<b>CNPA TOTAL</b>	<b>\$176,495,397</b>	<b>\$176,437,103</b>	<b>\$0</b>	<b>\$62,786,094</b>	<b>\$113,651,010</b>	<b>\$176,437,103</b>

Notes regarding tables above:

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

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

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

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

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

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

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

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

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

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

Transfer	Description	Contingency <sup>1</sup>
<b>ELECTRIFICATION</b>		
BBI-053-CCO-060	Contract Relief of DVR Requirements - Credit	(\$41,781)
BBI-053-CCO-062	Bumper Post Conflict at Foundations 9.8-02 & 9.8-D02	\$12,000
BBI-053-CCO-096A	Signal Cable Relocation (Field Order No. 342)	\$36,268
BBI-053-CCO-097A	Signal Cable Relocation (Field Order No. 342)	\$63,422
BBI-053-CCO-098A	Signal Cable Relocation (Field Order No. 342)	\$105,576
BBI-053-CCO-167	CP Stockton Compliance with UPRR Requirements	\$100,315
BBI-053-CCO-173	Relocate OCS Foundation Rebar Cages from PMI Yard	\$1,050
BBI-053-CCO-191	Foundation Installation at Cal Ave Station	\$4,321
BBI-053-CCO-237	Reroute Utilities in Conflict with Built-in Anchor Bolts	\$10,768
PROV-070-CCO-019	Drainage Conflicts at T1N (CNPA - Drainage \$30,000)	\$0
PROV-070-CCO-022	OCS Foundation Redesign Support	\$4,902
PROV-070-CCO-024	Reroute Leaky Feeder Cable at T-1 (CNPA - Drainage: \$19,554)	\$0
PROV-070-CCO-039	Staging and Carroll Avenue	\$70,000
PROV-070-CCO-041	Additional Mechanical Anchors at T-2	\$36,925
PROV-070-CCO-042	Install Wedge Anchors in Tunnel 2	\$45,261
PROV-070-CCO-043	Post Insulators at Tunnel Portals	\$45,557
PROV-070-CCO-044	Water Leaking onto Conductor Rail	\$15,216
PROV-070-CCO-049	Feeder Cable Lashing	\$113,000
	<b>ELECTRIFICATION SUBTOTAL</b>	<b>\$622,799</b>
<b>EMU</b>		
	<b>EMU SUBTOTAL</b>	<b>\$0</b>
	<b>PCEP TOTAL</b>	<b>\$622,799</b>

Notes regarding tables above:

<sup>1</sup>. 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
7/6/2021	BBI-053-CCO-096A	Signal Cable Relocation (Field Order No. 342)	\$36,268
7/7/2021	BBI-053-CCO-097A	Signal Cable Relocation (Field Order No. 342)	\$63,422
7/7/2021	BBI-053-CCO-098A	Signal Cable Relocation (Field Order No. 342)	\$105,576
7/16/2021	BBI-053-CCO-060	Contract Relief of DVR Requirements - Credit	(\$41,781)
7/22/2021	BBI-053-CCO-167	CP Stockton Compliance with UPRR Requirements	\$100,315
7/27/2021	BBI-053-CCO-062	Bumper Post Conflict at Foundations 9.8-02 & 9.8-D02	\$12,000
7/27/2021	BBI-053-CCO-173	Relocate OCS Foundation Rebar Cages from PMI Yard	\$1,050
7/27/2021	BBI-053-CCO-191	Foundation Installation at Cal Ave Station	\$4,321
7/30/2021	BBI-053-CCO-237	Reroute Utilities in Conflict with Built-in Anchor Bolts	\$10,768

**Total**      **\$303,939** Error! Bookmark not defined.

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

EMU Contract

**Change Order Authority (5% of Stadler Contract)**

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

Date	Change Number	Description	CCO Amount
	None		\$0

**Total**      **\$0**

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

SCADA Contract

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

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

Date	Change Number	Description	CCO Amount
	None		\$0

**Total**      **\$0**

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

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)<sup>2</sup>

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

Date	Change Number	Description	CCO Amount
7/26/2021	PROV-070-CCO-019	Drainage Conflicts at T1N (CNPA - Drainage \$30,000)	\$30,000
7/26/2021	PROV-070-CCO-022	OCS Foundation Redesign Support	\$4,902
7/26/2021	PROV-070-CCO-024	Reroute Leaky Feeder Cable at T-1 (CNPA - Drainage: \$19,554)	\$19,554
7/26/2021	PROV-070-CCO-039	Staging and Carroll Avenue	\$70,000
7/26/2021	PROV-070-CCO-041	Additional Mechanical Anchors at T-2	\$36,925
7/26/2021	PROV-070-CCO-042	Install Wedge Anchors in Tunnel 2	\$45,261
7/26/2021	PROV-070-CCO-043	Post Insulators at Tunnel Portals	\$45,557
7/26/2021	PROV-070-CCO-044	Water Leaking onto Conductor Rail	\$15,216
7/29/2021	PROV-070-CCO-049	Feeder Cable Lashing	\$113,000
<b>Total</b>			<b>\$380,415</b>

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

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

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

CEMOF Contract

Change Order Authority (10% of ProVen Contract)

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

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

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

Amtrak AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

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

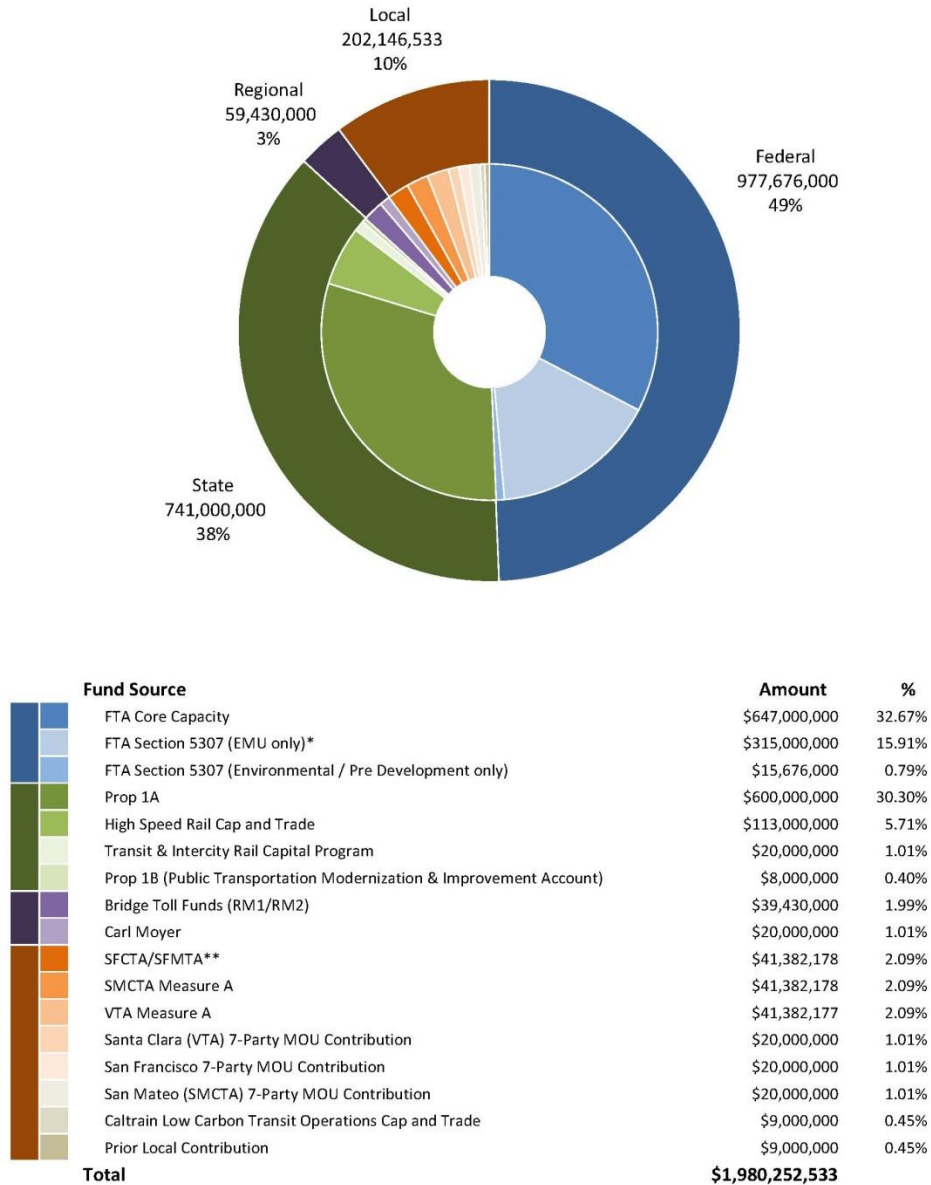
Notes:

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

**10.0 FUNDING**

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. 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. The contractor may not complete signal and communication design, installation, and testing for the Two-speed check (2SC) modifications within budget and schedule.
2. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
3. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
4. Property not acquired in time for contractor to do work.
5. Additional property acquisition is necessitated by change in design.
6. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
7. Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID-19, bankruptcy).
8. Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.
9. 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.

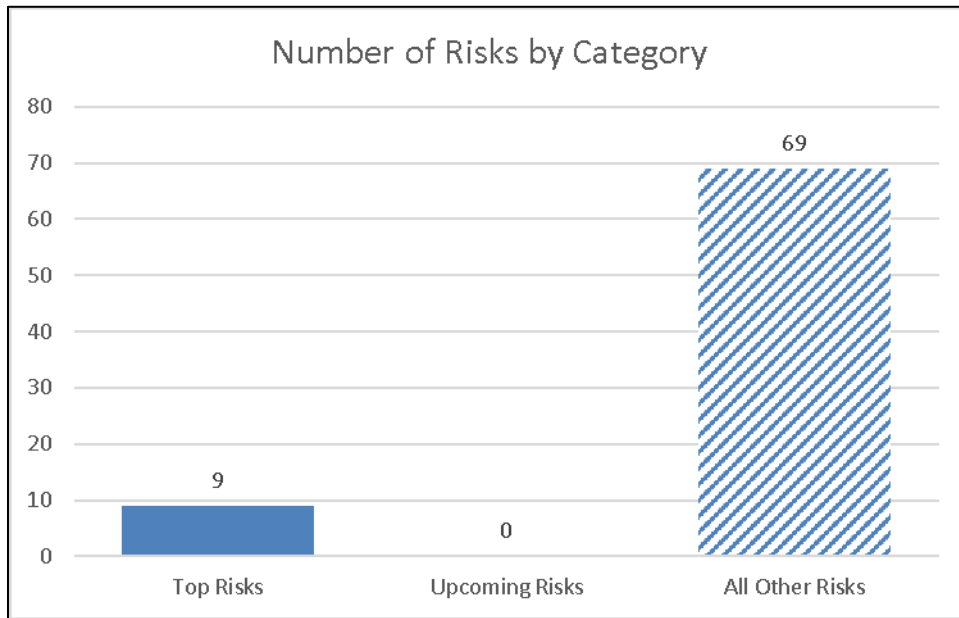
### **Activity This Month**

- 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.
- Convened Risk Assessment Committee meeting and processed decisions.

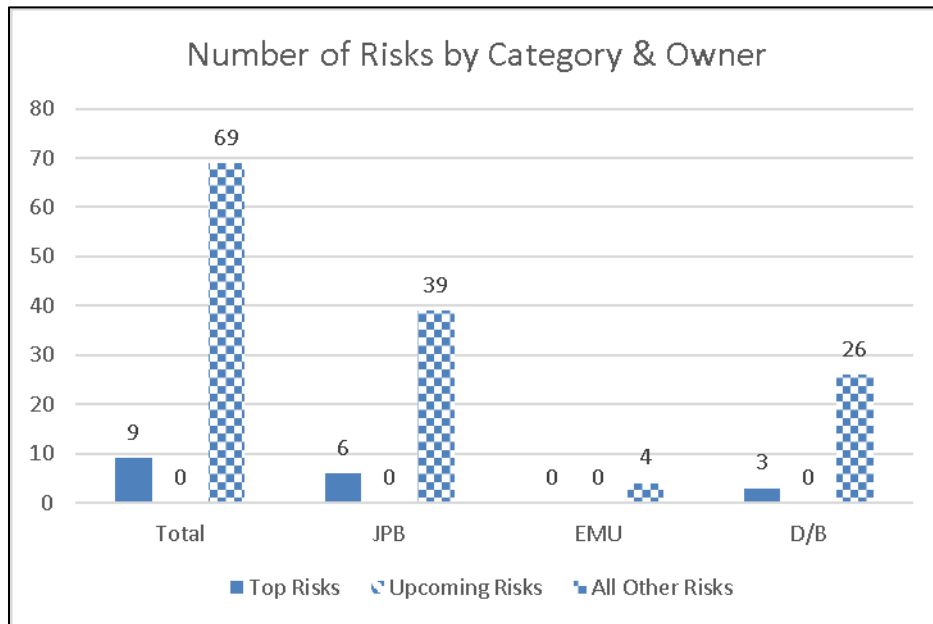
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming 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 = 78**

Figure 11-2 Risk Classification



Total Number of Active Risks = 78

**Activity Next Month**

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

## **12.0 ENVIRONMENTAL**

### **12.1. Permits**

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

#### **Activity This Month**

- None

#### **Activity Next Month**

- None

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

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

#### **Activity This Month**

- Environmental compliance monitors were present during project activities (OCS pole foundation installation, potholing for utility location, tree trimming/removal, 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. Pre-construction nesting bird surveys during the nesting bird season continued (Nesting bird season is defined as February 1 through September 15)
- 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.

- 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 including nesting bird surveys ahead of project activities. Pre-construction nesting bird surveys during the nesting bird season will continue (nesting bird season is defined as February 1 through September 15).
- 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.

#### **Activity Next Month**

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

## **14.0 REAL ESTATE**

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

The Project has obtained possessory rights for all but one of the parcels identified at the beginning of the project.

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

- Staff has defined a process to ensure that BBII conveys new property needs (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 eight new parcels to date.

### **Activity This Month**

- Staff continues to review potential new pole locations and is engaging in a system-wide review of potential ESZ and signal needs.
- Staff negotiated an early access agreement with Universal Paragon Corporation (UPC) to allow early access onto their property, a vital site for catenary pole installation.

### **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.
- Make offers on the parcel for which appraisals have been completed,
- Continue to work with project team to identify and analyze new potential parcels.
- Continue to work with UPC to finalize 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 <sup>1</sup>	City & County of San Francisco	Executed
		City of Brisbane	Executed
		City of South San Francisco	Executed
		City of San Bruno	Executed
		City of Millbrae	Executed
		City of Burlingame	Executed
		City of San Mateo	Executed
		City of Belmont	Executed
		City of San Carlos	Executed
		City of Redwood City	Executed
		Town of Atherton	Not Needed
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	Executed
		City of Mountain View	Executed
		City of Sunnyvale	Executed
		City of Santa Clara	Executed
	County of Santa Clara	Executed	
	City of San Jose	Executed	
Condemnation Authority	San Francisco	In Process	
	San Mateo	Executed	
	Santa Clara	Executed	
Utilities	Infrastructure	PG&E	Executed
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed <sup>2</sup>
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	In Process
	Trackage Rights	UPRR	Executed <sup>2</sup>

Notes regarding table above:

- <sup>1</sup>. 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.
- <sup>2</sup>. 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**

- SFCTA Board of Directors
- SFCTA Community Advisory Committee
- City/County Staff Coordinating Group
- Menlo Park Chamber of Commerce
- Local Policy Makers Group

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

- None

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

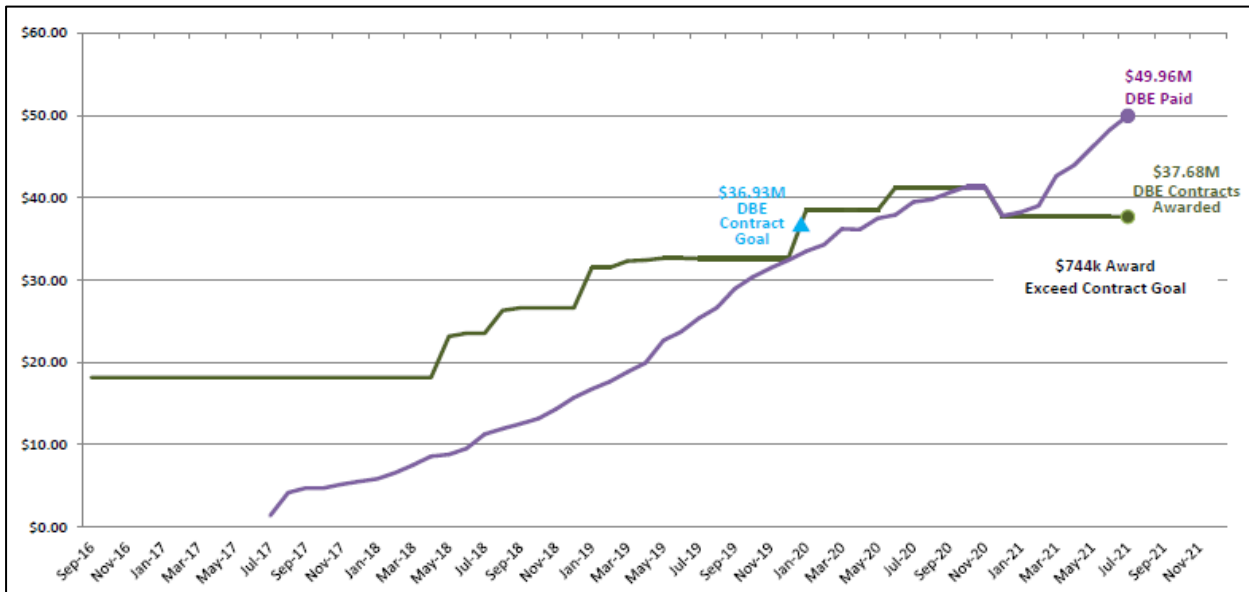
BBII proposed that 5.2% (\$36,932,122) of the DB base contract value including DBE contract change orders (\$710,233,115) would be subcontracted to DBEs.

**Activity This Month**

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

- **\$ 49,959,856** has been paid to DBE subcontractors.
- **\$ 37,675,908** of DBE contracts have been awarded.
- **7.03%** 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:

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

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

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

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

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

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

Appendix B – Funding Partner Meetings

**Funding Partner Meeting Representatives**  
Updated May 21, 2021

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

Appendix C – Schedule







Appendix D – Standard Cost Codes

## Peninsula Corridor Electrification Project Monthly Progress Report

Description of Work	FFGA Baseline Budget (A)	Approved Budget (B)	Cost This Month (C)	Cost To Date (D)	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
<b>10 - GUIDEWAY &amp; TRACK ELEMENTS</b>	<b>\$14,256,739</b>	<b>\$27,700,383</b>	<b>\$4,510</b>	<b>\$25,071,162</b>	<b>\$3,192,065</b>	<b>\$28,263,227</b>
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$4,510	\$202,358	\$2,297,642	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$25,200,383	\$0	\$24,868,804	\$894,423	\$25,763,227
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
<b>30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS</b>	<b>\$2,265,200</b>	<b>\$8,182,966</b>	<b>(\$3,140)</b>	<b>\$6,909,773</b>	<b>\$1,520,073</b>	<b>\$8,429,846</b>
30.03 Heavy Maintenance Facility	\$1,344,000	\$8,182,966	(\$3,140)	\$6,909,773	\$1,520,073	\$8,429,846
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
<b>40 - SITEWORK &amp; SPECIAL CONDITIONS</b>	<b>\$255,072,402</b>	<b>\$265,715,368</b>	<b>\$8,367,278</b>	<b>\$250,828,188</b>	<b>\$26,825,897</b>	<b>\$277,654,085</b>
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$10,136,067	\$331,804	\$8,043,424	\$2,088,856	\$10,132,280
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$101,238,387	\$3,778,868	\$130,443,207	(\$25,126,413)	\$105,316,794
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	\$2,915,639	\$9,460,600	\$2,470,511	\$11,931,111
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$19,504,208	(\$53,718)	\$2,670,895	\$18,288,313	\$20,959,208
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	(\$102,614)	\$418,000	\$2,317,000	\$2,735,000
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$0	\$0	\$0	\$0	\$0
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$121,746,745	\$1,497,298	\$99,792,062	\$26,348,677	\$126,140,739
40.08 Allocated Contingency	\$20,160,000	\$1,610,000	\$0	\$0	\$438,953	\$438,953
<b>50 - SYSTEMS</b>	<b>\$504,445,419</b>	<b>\$508,787,748</b>	<b>\$18,548,163</b>	<b>\$311,020,862</b>	<b>\$227,345,741</b>	<b>\$538,366,603</b>
50.01 Train control and signals	\$97,589,149	\$120,343,517	\$14,055,103	\$66,158,231	\$55,291,692	\$121,449,923
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	\$101,732,517	\$3,531,188	\$65,983,955	\$38,427,976	\$104,411,931
50.03 Allocated Contingency	\$31,755,013	\$2,890,580	\$0	\$0	\$2,078,022	\$2,078,022
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$273,181,785	\$819,048	\$178,258,687	\$125,402,658	\$303,661,344
50.04 Allocated Contingency	\$18,064,000	\$3,934,349	\$0	\$0	\$60,382	\$60,382
50.05 Communications	\$5,455,000	\$5,547,000	\$142,824	\$619,989	\$4,927,011	\$5,547,000
50.07 Central Control	\$2,090,298	\$0	\$0	\$0	\$0	\$0
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
<b>60 - ROW, LAND, EXISTING IMPROVEMENTS</b>	<b>\$35,675,084</b>	<b>\$35,675,084</b>	<b>\$107,039</b>	<b>\$22,023,962</b>	<b>\$14,459,258</b>	<b>\$36,483,220</b>
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$107,039	\$21,889,971	\$13,593,250	\$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
<b>70 - VEHICLES (96)</b>	<b>\$625,544,147</b>	<b>\$619,286,318</b>	<b>\$8,346,803</b>	<b>\$285,095,701</b>	<b>\$335,478,921</b>	<b>\$620,574,622</b>
70.03 Commuter Rail	\$589,167,291	\$591,215,161	\$8,346,803	\$282,333,528	\$314,384,732	\$596,718,261
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
<b>80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)</b>	<b>\$323,793,010</b>	<b>\$376,008,935</b>	<b>\$2,048,825</b>	<b>\$331,504,230</b>	<b>\$57,640,929</b>	<b>\$389,145,159</b>
80.01 Project Development	\$130,350	\$130,350	\$0	\$289,233	(\$158,883)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$219,514,707	\$348,309	\$205,047,968	\$14,534,222	\$219,582,190
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	\$89,873,652	\$729,091	\$88,504,881	\$17,935,231	\$106,440,112
80.03 Allocated Contingency	\$9,388,080	\$3,725,231	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$38,768,045	\$640,094	\$27,334,085	\$11,022,382	\$38,356,467
80.04 Allocated Contingency	\$19,537,000	\$5,087,703	\$0	\$0	\$5,087,703	\$5,087,703
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	\$331,331	\$5,692,339	\$4,120,879	\$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	\$53,873	\$3,444,907	\$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
<b>Subtotal (10 - 80)</b>	<b>\$1,761,052,001</b>	<b>\$1,841,356,802</b>	<b>\$37,419,478</b>	<b>\$1,232,453,877</b>	<b>\$666,462,885</b>	<b>\$1,898,916,762</b>
<b>90 - UNALLOCATED CONTINGENCY</b>	<b>\$162,620,295</b>	<b>\$79,415,494</b>	<b>\$0</b>	<b>\$0</b>	<b>\$21,855,534</b>	<b>\$21,855,534</b>
<b>Subtotal (10 - 90)</b>	<b>\$1,923,672,296</b>	<b>\$1,920,772,296</b>	<b>\$37,419,478</b>	<b>\$1,232,453,877</b>	<b>\$688,318,419</b>	<b>\$1,920,772,296</b>
<b>100 - FINANCE CHARGES</b>	<b>\$6,998,638</b>	<b>\$9,898,638</b>	<b>\$76,850</b>	<b>\$7,696,424</b>	<b>\$2,202,215</b>	<b>\$9,898,638</b>
<b>Total Project Cost (10 - 100)</b>	<b>\$1,930,670,934</b>	<b>\$1,930,670,934</b>	<b>\$37,496,328</b>	<b>\$1,240,150,301</b>	<b>\$690,520,633</b>	<b>\$1,930,670,934</b>
<b>KNOWN AND ALLOCATED</b>					<b>\$161,000,000</b>	<b>\$161,000,000</b>
<b>RESERVE</b>					<b>\$172,000,000</b>	<b>\$172,000,000</b>
<b>Total Project Cost w/ Additional</b>	<b>\$1,930,670,934</b>	<b>\$1,930,670,934</b>	<b>\$37,496,328</b>	<b>\$1,240,150,301</b>	<b>\$1,023,520,633</b>	<b>\$2,263,670,934</b>

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**

<b>Date</b>	<b>Change Number</b>	<b>Description</b>	<b>CCO Amount</b>	<b>Change Order Authority Usage<sup>1</sup></b>	<b>Remaining Authority</b>
08/31/17	BBI-053-CCO-001	Track Access Delays Q4 2016	\$85,472	0.25%	\$34,745,056
02/28/18	BBI-053-CCO-003	Deletion of Signal Cable Meggering (Testing)	(\$800,000)	(2.30%)	\$35,545,056
02/21/18	BBI-053-CCO-004	Field Order for Differing Site Condition Work Performed on 6/19/17	\$59,965	0.17%	\$35,485,091
03/12/18	BBI-053-CCO-006	Track Access Delays for Calendar Quarter 1 2017	\$288,741	0.83%	\$35,196,350
04/24/18	BBI-053-CCO-002	Time Impact 01 Associated with Delayed NTP	\$9,702,667	0.00% <sup>2</sup>	-
04/24/18	BBI-053-CCO-008	2016 Incentives (Safety, Quality, and Public Outreach)	\$750,000	0.00% <sup>2</sup>	-
05/31/18	BBI-053-CCO-009	16th St. Grade Crossing Work Removal from BBII Contract	(\$685,198)	(1.97%)	\$35,881,548
05/31/18	BBI-053-CCO-012	2017 Incentives (Safety, Quality, and Public Outreach)	\$1,025,000	0.00% <sup>2</sup>	-
06/25/18	BBI-053-CCO-010	Pothole Change Of Shift	\$300,000	0.86%	\$35,581,548
06/25/18	BBI-053-CCO-013	Field Order for Signal Cable Relocation (FO# 31)	\$95,892	0.28%	\$35,485,656
06/25/18	BBI-053-CCO-015	TASI Pilot Transportation 2017	\$67,345	0.19%	\$35,418,311
06/26/18	BBI-053-CCO-005	Field Orders for Signal Cable Relocation (FO#s 26, 30)	\$191,836	0.55%	\$35,226,475
06/28/18	BBI-053-CCO-014	Field Orders for Signal Cable Relocation (FO-36 & FO-38)	\$145,694	0.42%	\$35,080,781
06/29/18	BBI-053-CCO-007	Track Access Delays for Calendar Quarter 2 2017	\$297,512	0.85%	\$34,783,269
06/29/18	BBI-053-CCO-011	Field Orders for Differing Site Condition (FO#s Partial 07A , 08-14)	\$181,013	0.52%	\$34,602,256
06/29/18	BBI-053-CCO-017	Field Order for NorCal Utility Potholing (FO# 27)	\$93,073	0.27%	\$34,509,183
06/29/18	BBI-053-CCO-018	Field Order for NorCal Utility Potholing (FO# 29)	\$76,197	0.22%	\$34,432,986
06/29/18	BBI-053-CCO-020	Field Orders for Differing Site Condition (FO#s 15-19)	\$118,364	0.34%	\$34,314,622
7/19/2018	BBI-053-CCO-019	Field Order for NorCal Utility Potholing (FO-032)	\$88,956	0.26 %	\$34,225,666
7/19/2018	BBI-053-CCO-021	As In-Service (AIS) Drawings for Segment 2 and 4 Signal Design (CN-009)	\$105,000	0.30 %	\$34,120,666
7/25/2018	BBI-053-CCO-022	CEMOF Yard Traction Power Feed (CN-008)	\$332,700	0.96 %	\$33,787,966
7/31/2018	BBI-053-CCO-028	Sonic Echo Impulse Testing	\$4,541	0.01 %	\$33,783,425
7/31/2018	BBI-053-CCO-026	TASI Pilot Transportation 2018 (CNC-0022)	\$50,409	0.14%	\$33,733,016
7/31/2018	BBI-053-CCO-027	Signal Cable Relocation (FOs-040 & 051)	\$196,114	0.56%	\$33,536,902
9/27/2018	BBI-053-CCO-030	Delete Spare 115k Disconnect Switches	(\$19,000)	(0.05)%	\$33,555,902
9/28/2018	BBI-053-CCO-031	Bldg A HVAC and FOB Card Reader Systems	\$76,500	0.22 %	\$33,479,402
9/28/2018	BBI-053-CCO-025A	Addition of Shunt Wire at Transverse Utility Crossing Locations – Design	\$925,000	0.00% <sup>2</sup>	-
9/28/2018	BBI-053-CCO-016A	UPRR MT-1 Pole Relocation - Design Changes	\$903,000	0.00% <sup>2</sup>	-
9/28/2018	BBI-053-CCO-024A	PG&E Utility Feed Connection to TPS#1 and TPS#2 (Design Only)	\$727,000	0.00% <sup>2</sup>	-
12/17/2018	BBI-053-CCO-032	PS-2 Site Relocation (Design Only)	\$291,446	0.84%	\$33,187,956
1/17/2019	BBI-053-CCO-023	Insulated Rail Joints	\$2,694,519	0.00% <sup>2</sup>	-
1/17/2019	BBI-053-CCO-029	CHSRA Early Pole Relocation (Design Only)	\$625,000	0.00% <sup>2,3</sup>	-
2/5/2019	BBI-053-CCO-040A	Increase in Potholing Quantity (unit price contract bid item by 25%)	\$1,662,500	4.77 %	\$31,525,456

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

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
3/5/2019	BBI-053-CCO-042A	TPSS-2 VTA/BART Pole Relocation (Design Only) (CNPA funded by VTA)	\$110,000	0.32% <sup>3</sup>	\$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% <sup>2</sup>	-
6/13/2019	BBI-053-CCO-024B	PG&E Utility Feed Connection to TPS #1 and TPS#2 (Material On Hand)	\$1,600,000	4.59 %	\$28,933,417
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 % <sup>3</sup>	\$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% <sup>3</sup>	\$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

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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 % <sup>3</sup>	\$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% <sup>2</sup>	-
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% <sup>2</sup>	-
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
2/16/2021	BBI-053-CCO-103 REV1	Track Access Delays – 2017 Quarter 3	\$164,518	0.47 %	\$17,041,918



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2/23/2021	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5) – <b>voided</b>	(\$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
<b>Total</b>			<b>\$54,233,936</b>	<b>73.30 %</b>	<b>\$9,298,778</b>

Notes:

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

EMU Contract

**Change Order Authority (5% of Stadler Contract)**

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	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

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

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
01/17/2018	STA-056-CCO-007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTP	\$490,000	0.00% <sup>2</sup>	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% <sup>2,3</sup>	-
6/26/2019	STA-056-CCO-016	Testing at TTCI (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% <sup>3</sup>	\$21,938,173
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
5/6/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % <sup>3</sup>	\$21,637,464
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464
10/12/2020	STA-056-CCO-029	Multiple No Cost / No Schedule Impact Changes Group 7	\$0	0.00 %	\$21,637,464
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
<b>Total</b>			<b>\$179,152,539</b>	<b>21.28 %</b>	<b>\$21,682,481</b>

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 <sup>1</sup>	Remaining Authority
2/11/2021	ARINC-061-CCO-001	Traction Power Facility SCADA Database Changes	\$395,538	76.50 %	\$121,500
<b>Total</b>			<b>\$395,538</b>	<b>76.50 %</b>	<b>\$121,500</b>

# 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.

### Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract <sup>1</sup> )			10% x \$55,077,777 = \$5,507,778		
Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>2</sup>	Remaining Authority
3/27/2019	PROV-070-CCO-003	Track Access Delay	\$25,350	0.46 %	\$5,482,428
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	\$70,935	1.29 %	\$5,411,493
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	\$29,478	0.54 %	\$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	\$14,443	0.26 % <sup>4</sup>	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4 )	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % <sup>4</sup>	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % <sup>4</sup>	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % <sup>4</sup>	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % <sup>4</sup>	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702
9/26/2019	PROV-070-CCO-023	Over-excavate Trapezoidal Ditch at T-1N (CNPA - Drainage \$46,914.00)	\$46,914	0.85% <sup>4</sup>	\$4,985,788
10/4/2019	PROV-070-CCO-029	Additional DryFix Pins	\$105,000	1.91%	\$4,880,788
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857	3.37 %	\$4,694,931
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200	0.04 % <sup>4</sup>	\$4,692,731
1/25/2020	PROV-070-CCO-027	Grout Quantity Underrun	(\$1,216,000)	(22.08)%	\$5,908,731
1/29/2020	PROV-070-CCO-026	HMAC Quantity Overrun (CNPA - Drainage \$160,000.00)	\$160,000	2.9 % <sup>4</sup>	\$5,748,731
5/11/2020	PROV-070-CCO-025	NOPC #1 CWR (CNPA - Drainage \$660,000.00)	\$660,000	11.98 % <sup>4</sup>	\$5,088,731
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 % <sup>4</sup>	\$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 % <sup>4</sup>	\$4,973,363
7/26/2021	PROV-070-CCO-039	Staging and Carroll Avenue	\$70,000	1.27 %	\$4,903,363

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

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>2</sup>	Remaining Authority
7/26/2021	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
7/29/2021	PROV-070-CCO-049	Feeder Cable Lashing	\$113,000	2.05 %	\$4,647,404
<b>Total</b>			<b>\$860,373</b>	<b>15.62 %</b>	<b>\$4,647,404</b>

Notes:

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

**CEMOF Modifications Contract**

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

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

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

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Change Order Authority (10% of ProVen Contract)

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
4/9/2020	PROV-071-CCO-024	Parts Storage Warehouse Power Feed	\$16,412	2.51 %	\$533,518
4/22/2020	PROV-071-CCO-025	Removal of Hazardous Soil from PSW Subgrade Excavation	\$43,444	6.63 %	\$490,073
4/22/2020	PROV-071-CCO-026A	Removal of Hazardous Soil from PSW Footing Excavation	\$35,808	5.47 %	\$454,266
4/27/2020	PROV-071-CCO-027	480 Volt Duct Bank and Wire Removal	\$5,015	0.77 %	\$449,251
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656	0.10 %	\$448,595
6/3/2020	PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745	0.42 %	\$445,850
6/3/2020	PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897	0.59 %	\$441,953
6/3/2020	PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060	0.77 %	\$436,893
6/16/2020	PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307	2.18 %	\$422,586
6/16/2020	PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783	1.19 %	\$414,803
6/10/2020	PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)	(2.85)%	\$433,485
7/24/2020	PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175	0.33 %	\$431,310
7/24/2020	PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621	0.55 %	\$427,689
7/24/2020	PROV-071-CCO-035	Settlement Slab Demolition	\$479	0.07 %	\$427,210
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922	0.90 %	\$419,222
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317	1.57 %	\$408,905
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152	2.47 %	\$392,753
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233	5.53 %	\$356,520
12/17/2019	PROV-071-CCO-007	Demolition of Existing Transition Slab at North and South Pits	\$8,101	1.24 %	\$348,419
8/13/2020	PROV-071-CCO-041	Abandonment of Drainage Structure in Conflict with Shoring at Stair No. 71	\$11,015	1.68 %	\$337,404
8/14/2020	PROV-071-CCO-043	Lighting Circuit Restoration	\$2,980	0.45 %	\$334,424
8/18/2020	PROV-071-CCO-026B	Removal of Hazardous Soil from PSW Ductbank Excavation	\$6,838	1.04 %	\$327,586
8/24/2020	PROV-071-CCO-044	Aerial Cable and Waterproofing Cable Penetrations at the CCF and PSW Buildings	\$14,589	2.23 %	\$312,997
8/24/2020	PROV-071-CCO-045	Conduit Outside Component Test Room	\$6,865	1.05 %	\$306,132
9/15/2020	PROV-071-CCO-030B	Component Test Room Data and Electrical Outlets and Masonry Work	\$12,530	1.91 %	\$293,602
9/17/2020	PROV-071-CCO-042	Shallow Fire Sprinkler Line	\$162,000	0.00% <sup>2</sup>	-
10/19/2020	PROV-071-CCO-046A	Electrical Duct Bank Extension from Parts Storage Warehouse to CCF Building	\$20,307	3.10 %	\$273,295
10/19/2020	PROV-071-CCO-047	Removal of Oil Line at the Exterior of the Maintenance Building in the Way of Storm Drain Line A	\$262	0.04 %	\$273,033
10/20/2020	PROV-071-CCO-048	Electrical Conduit and Wires at Track 5	\$6,770	1.03 %	\$266,263
11/30/2020	PROV-071-CCO-033B	Light Towers for Maintenance Building Yard	\$10,393	1.59 %	\$255,870
11/17/2020	PROV-071-CCO-049	Lighting at Parts Storage Warehouse	\$6,358	0.97 %	\$249,512
11/25/2020	PROV-071-CCO-050	NTP Delay – Non-Compensable Time Extension	\$0	0.00 %	\$249,512
11/19/2020	PROV-071-CCO-051	Relocation of an Existing Boosted Water Line in Conflict with South Pit Extension	\$250,000	0.00% <sup>2</sup>	-
2/26/2021	PROV-071-CCO-052	Acoustic Ceiling Framing at the Component Test Room	\$3,998	0.61 %	\$245,514

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

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

Date	Change Number	Description	CCO Amount	Change Order Authority Usage <sup>1</sup>	Remaining Authority
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
<b>Total</b>			<b>\$841,978</b>	<b>65.64 %</b>	<b>\$225,100</b>

Notes:

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

**AMTRAK AEM-7 Contract**

**Change Order Authority (Lump Sum)**

Up to \$150,000

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

Notes:

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

Appendix F – Risk Table

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

<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
314	The contractor may not complete signal and communication design, installation and testing for the Two-speed check (2SC) modifications within budget and schedule.	Delay to integrated testing and operations/revenue service
303	Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.	<p>Extends construction of design-build contract with associated increase in project costs</p> <ul style="list-style-type: none"> <li>• DSC design cost</li> <li>• Inefficiencies</li> <li>• Construction costs related to DSCs (i.e., larger foundations)</li> <li>• Additional potholing</li> </ul>
010	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	<ul style="list-style-type: none"> <li>• Delay in obtaining parts / components.</li> <li>• Cost increases. (See Owner for allocation of costs)</li> <li>• Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)</li> </ul>
313	Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies	Contractor claims for increase in construction and design costs, and reduced production rates extending construction duration
240	<p>Property not acquired in time for contractor to do work.</p> <p>Property Acquisition not complete per contractor availability date</p> <p>&lt;&gt;Fee</p> <p>&lt;&gt;Easement</p> <p>&lt;&gt;Contract stipulates that if parcels are not available by contract date, there is only a delay if parcels are not available by the time contractor completes the Segment</p>	<ul style="list-style-type: none"> <li>• Potential delays in construction schedule</li> </ul>
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
273	Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims
318	Change of vehicle sub-suppliers results in additional first article inspections at cost to JPB (i.e., COVID, bankruptcy)	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
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



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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"> <li>• Potential cash flow issue requiring use of line-of-credit</li> <li>• Failure to receive reimbursement during course of project</li> <li>• Delay or otherwise affect close-out of FFGA</li> </ul>
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> <li>• Delays to construction/testing.</li> <li>• Delays to completion of infrastructure may delay acceptance of vehicles</li> </ul>
011	Risks in achieving acceptable vehicle operations performance: <> software problems <> electrical system problems <> mechanical problems <> systems integration problems <> interoperability with diesel equipment  Increased issues lately with vehicles regarding system integration and compatibility.	Cost increase.  Delays vehicle acceptance  Potential spill-over to other program elements
244	Delays to completion of Segment 4 and then the entire alignment would create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs.	Delay claims from the EMU contractor (Stadler) and expiration of the EMU 2 year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs
319	Failure of BBI to order cages in advance results in delays to foundation installation	Delays in installation of catenary system and additional cost for track protection and oversight.
325	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase
013	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months)  Increase in legal expenses  Potential price increase to resolve contract issue
067	Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule.	Delay in progress of catenary installation resulting in claims and schedule delay
223	Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.	Proposed changes resulting from electrification may not be fully and properly integrated into existing system.  Rework resulting in cost increases and schedule delays
242	Track access does not comply with contract-stipulated work windows.	Contractor claims for delays, schedule delays and associated costs to owner's representative staff.

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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
329	Work for PCEP that is being constructed by other projects may not be completed in accordance with the BBII project schedule. Critical work includes: • Installation of signal house as part of SSF Station Project	Delay to BBII construction progress and associated delay claims
056	Lack of operations personnel for testing.	• 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.
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.
296	PG&E needs to complete interconnection to be sufficiently complete to accept interim power	SCC
321	Single Phase Study and interconnection agreement may be delayed but will not prevent energization of Segment 4 for milestone 1; may require additional work for PCEP	
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	• Reduced production rates. • Delay
012	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	• 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.

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
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.
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
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.

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ID	RISK DESCRIPTION	EFFECT(S)
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.
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
306	Possible legal challenge and injunction to any changes in PCEP requiring subsequent CEQA or NEPA environmental clearance documentation/actions.	Worst case: a judge issues an injunction, which would prohibit any work ONLY on the project scope of the environmental document. Impact to the project from cost and schedule impact depends on if work is on the critical or becomes on the critical path.
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
106	Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule.  Multiple segments will need to be under design simultaneously.  Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs.  Possible shortages with other specialty crafts as well.	Delay.

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ID	RISK DESCRIPTION	EFFECT(S)
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
192	Environmental compliance during construction. - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions	<ul style="list-style-type: none"> <li>• Delay</li> <li>• Cost increase</li> </ul>
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"> <li>• Fire, police, and first responders</li> <li>• Local communities</li> <li>• Schools</li> </ul>	Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.
237	JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.	Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
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

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<b>ID</b>	<b>RISK DESCRIPTION</b>	<b>EFFECT(S)</b>
274	JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct	Additional cleanup of as-builts after PCEP construction
275	DB fails to verify as-built drawings and existing infrastructure	Additional cleanup of as-builts after PCEP construction
278	Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements	Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment.
282	Failure to maintain dynamic envelope and existing track clearances consistent with requirements.	Redesign entailing cost and schedule impacts.
284	Compliance with project labor agreement could result in inefficiencies in staffing of construction.	Increase in labor costs and less efficient construction resulting in schedule delays.
290	Delays in agreement and acceptance of initial VVSC requirements database.	Delay to design acceptance
292	Communications equipment, including the UPS, will not fit in the spaces allotted to communications work within the buildings.	Requisite equipment under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
311	Although project recordable injuries remain below the industry average, there have been numerous small impact incidents occurring that could potentially lead to a more serious event occurring.	The occurrence of a high impact safety event could result in project rework, construction delays, and increased project costs.
331	Theft of impedance bond cables.	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.  Cost of theft should be borne by the contractor as security of contractor installed materials are a contract requirement

Appendix G – MMRP Status Log

**Mitigation Monitoring and Reporting**

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



**Mitigation Monitoring and Reporting**

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

**Mitigation Monitoring and Reporting**

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

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>2020 surveys have been submitted 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, and if required, 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</p>

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>the burrow was no longer active, and the buffer was removed. The second 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>
<p><b>BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.</b></p>	X	X			Ongoing	<p>Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018, 2019, and 2020, prior to project-related activities with the potential to impact nesting birds. Nesting bird surveys continued during this reporting period for the 2021 nesting season. Active cliff swallow nests previously observed are still present on the underside of the Tunnel Ave bridge. Biological monitors were present as work occurred within the 50-foot monitoring buffer. No signs of distress were observed. No additional active nests were observed on the Project.</p>

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

**Mitigation Monitoring and Reporting**

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

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

**Mitigation Monitoring and Reporting**

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



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

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

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

**Mitigation Monitoring and Reporting**

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

Mitigation Monitoring and Reporting

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

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

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

**Mitigation Monitoring and Reporting**

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



Mitigation Monitoring and Reporting

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

**Mitigation Monitoring and Reporting**

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

Mitigation Monitoring and Reporting

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

**Mitigation Monitoring and Reporting**

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

**Peninsula Corridor Electrification Project**  
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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>BIO-3: Avoid or compensate for impacts on wetlands and waters.</b>	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
<b>BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.</b>	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a weekly basis.
<b>BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).</b>	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
<b>CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.</b>	X				Upcoming	To be implemented prior to construction in tunnels.
<b>CUL-1b: Minimize impacts on historic decorative tunnel material.</b>	X				Upcoming	To be implemented prior to construction in tunnels.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.</b>	X				Upcoming	To be implemented prior to construction in tunnels.
<b>CUL-1d: Implement design commitments at historic railroad stations</b>	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
<b>CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.</b>	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-1f: Implement historic bridge and underpass design requirements.</b>	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
<b>CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.</b>	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
<b>CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
<b>CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.</b>	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
<b>CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.</b>	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
<b>CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.</b>		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.



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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.</b>		X			Ongoing	No human remains have been observed to date on the Project.
<b>EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.</b>	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
<b>GEO-1: Perform a site-specific geotechnical study for traction power facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
<b>GEO-4a: Identification of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.

**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
<b>GEO-4b: Mitigation of expansive soils.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
<b>HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.</b>	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
<b>HAZ-2b: Implement engineering controls and best management practices during construction.</b>	X	X			Ongoing	Field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, an assessment of two existing subsurface pipes by a certified Asbestos Consultant occurred during this reporting period, and a specification describing the methods for removal and disposal is currently in progress.
<b>HYD-1: Implement construction dewatering treatment, if necessary.</b>	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
<b>HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.</b>	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes

**Mitigation Monitoring and Reporting**

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

**Mitigation Monitoring and Reporting**

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

**Peninsula Corridor Electrification Project**  
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**Mitigation Monitoring and Reporting**

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

**Mitigation Monitoring and Reporting**

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

**Peninsula Corridor Electrification Project**  
**Monthly Progress Report**

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**Mitigation Monitoring and Reporting**

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
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.



# CALTRAIN ELECTRIFICATION UPDATE

JPB WPLP Committee Meeting  
August 25, 2021



## CONTEXT

- PCEP Ad Hoc Committee dissolved
- PCEP monthly update at WPLP
- Presentation focus
  - Construction Update
  - Schedule
  - Cost
  - Risk
  - Funding
  - Priorities
- PCEP overview and monthly report available at JPB



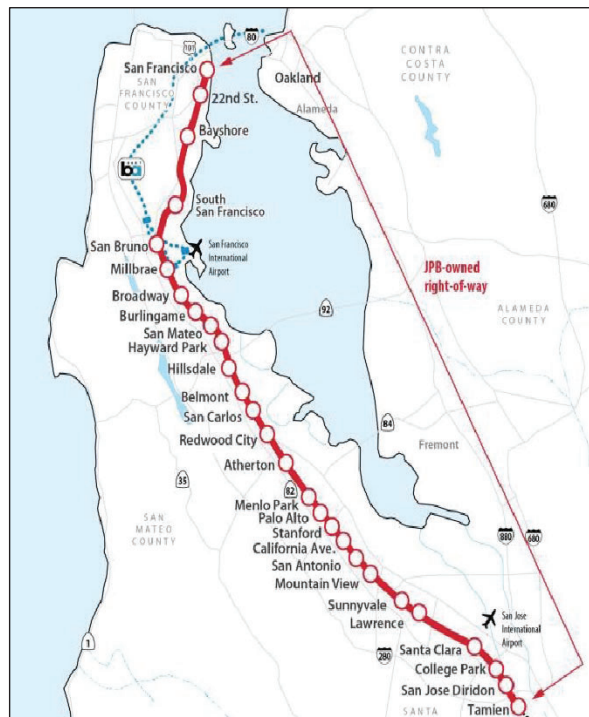
# PROJECT OVERVIEW

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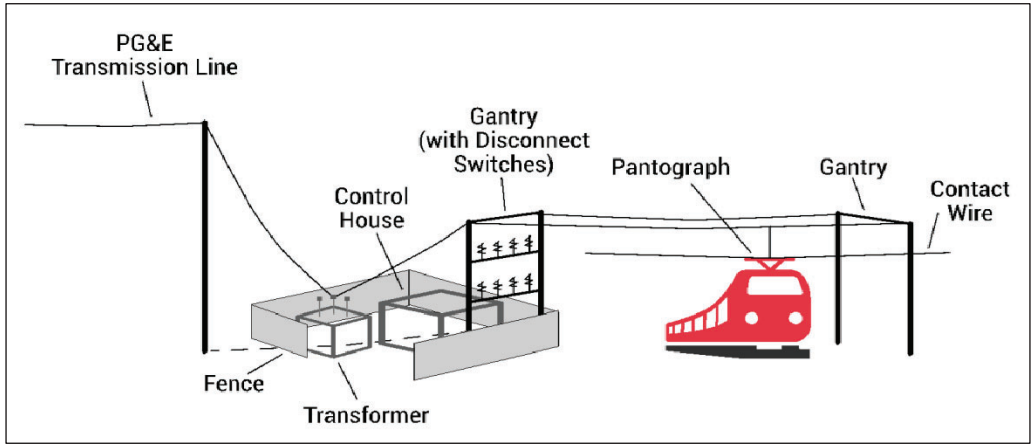
## PROJECT OVERVIEW

- Caltrain Electrification
- San Francisco to San Jose (Tamien Station)
- 51 miles
- Updated Project Cost: \$2.31B
- Update Revenue Service: Sept. 2024



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**Electrification**

- Overhead Contact System (OCS)
- Traction Power Facilities

**Electric Trains**

- 19 7-car train sets (133 cars)

*(Note: 96 cars funded by project; 37 cars funded by State TIRCP)*



**Improved Train Performance, Increased Service and Greater Capacity**



**Improved Regional Air Quality and Reduced Greenhouse Gas Emissions**



**Positive Economic Benefits for the Region**

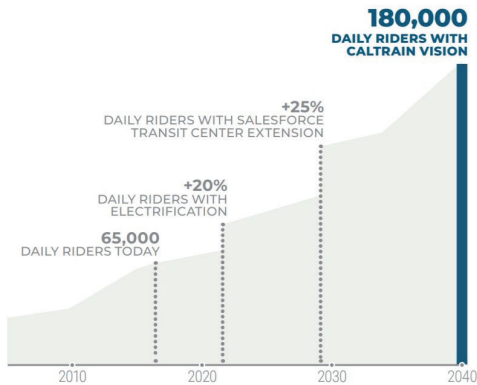


**Reduced Engine Noise Emanating from Trains**

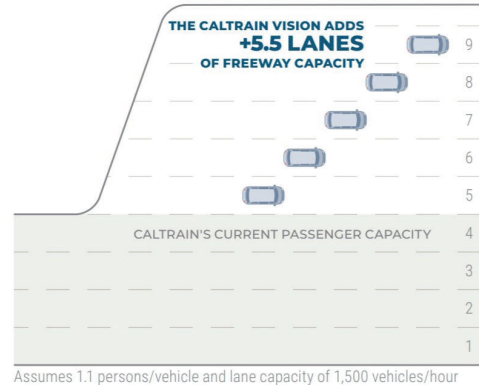
- Electrification sets foundation for future growth of system
- Meet projected regional growth in jobs and housing in the Bay Area
- Triple ridership, increase peak and off-peak service
- Carry equivalent of 5.5 lanes of US 101 highway traffic



**CARRYING MORE PEOPLE**



**TRAINS VS LANES**



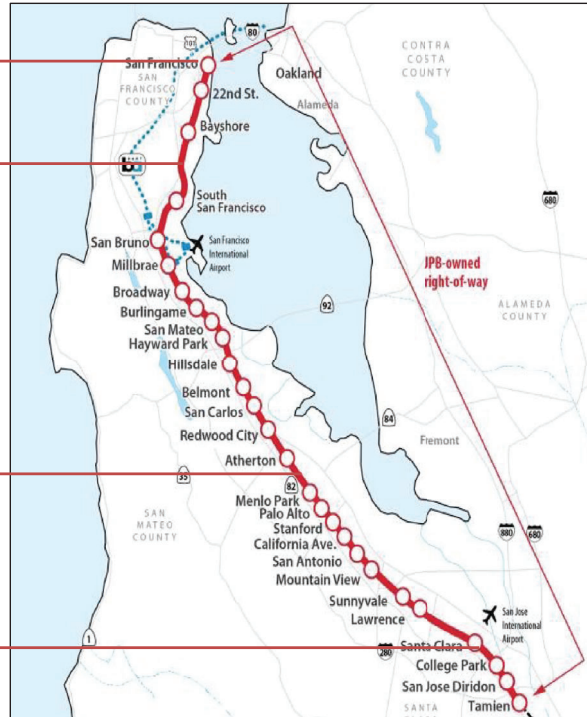
**CONSTRUCTION UPDATE**

**Segment 1**  
San Francisco to Brisbane

**Segment 2**  
South San Francisco to Atherton

**Segment 3**  
Menlo Park to Santa Clara

**Segment 4**  
Santa Clara to Tamien



- Overhead Contact System (OCS)
  - Foundations 87% complete
  - Poles 65% complete
  - Segment 3 Wire 100% complete
- Traction Power Facilities
  - Transformer installed at 9 of 10 facilities
  - Traction Power Substations 1 & 2 96% complete
  - Switching Station 1 92% complete
- Electric Trains (133 cars total)
  - 82 shipped
  - 73 in Salt Lake City manufacturing facility
  - Trainset 1 in Pueblo for on-track testing

Segment	Foundations Required	Foundations Remaining	Installation Percent Complete	Completed Last Month	Anticipated Completion Date
Segment 1	567	371	35%	35	12/30/2021
Segment 2	1,179	26	98%	38	08/30/2021
Segment 3	901	Complete	100%	N/A	Complete
Segment 4	370	Complete	100%	N/A	Complete
CEMOF	85	Complete	100%	N/A	Complete

Segment	Required	Remaining	Installation Percent Complete	Completed Last Month	Anticipated Completion Date
Segment 1	442	442	0%	0	05/18/22
Segment 2	960	453	52%	21	11/30/21
Segment 3	755	Complete	100%	Complete	Complete
Segment 4	304	15	95%	0	10/15/2021
CEMOF	83	4	95%	0	10/08/2021

Segment	Installation Percent Complete	Completed Last Month (in feet)	Anticipated Installation Completion	Testing Percent Complete	Anticipated Testing Completion
Segment 1	0 %	0	06/23/22	0 %	07/20/22
Segment 2	20 %	0	12/15/2021	8 %	01/20/22
Segment 3	100 %	0	05/03/2021	100 %	05/15/2021
Segment 4	29 %	22, 130	11/15/21	0.0 %	11/21/21

Segment	95% Design Percent Complete	Anticipated 95% Design Complete	Installation Percent Complete	Anticipated Installation Complete	Testing Percent Complete	Anticipated Testing Complete
Segment 1	64%	03/31/2023	21%	08/31/2023	0%	09/30/2023
Segment 2	94%	07/17/2022	23%	08/01/2022	0%	12/31/2022
Segment 3	26%	12/11/2022	21%	02/28/2023	0%	03/31/2023
Segment 4	100%	Complete	92%	09/10/2021	76%	09/30/2021

Facility	Sitework	Substation Building	Low / High Voltage Equipment	Transformer	Gantry	Total Completion	Anticipated Completion
TPS-1 (SSF)	95%	89%	97%	100%	97%	96%	1/30/2022
TPS-2 (San Jose)	93%	98%	96%	100%	98%	97%	10/15/2021
SWS-1 (RWC)	93%	89%	88%	100%	89%	92%	12/31/2021
PS-1 (SF)	51%	70%	53%	100%	91%	73%	1/19/2022
PS-2 (SF/Brisbane)	66%	76%	80%	100%	77%	80%	12/22/2021
PS-3 (Burlingame)	16%	9%	0%	0%	15%	8%	4/18/2022
PS-4 (San Mateo)	82%	81%	90%	100%	82%	87%	11/21/2021
PS-5 (Palo Alto)	63%	82%	65%	100%	94%	81%	1/7/2022
PS-6 (Sunnyvale)	90%	83%	91%	100%	92%	91%	10/15/2021
PS-7 (San Jose)	96%	89%	95%	100%	97%	95%	10/31/2021

**Wayside Power Cabinets**

Required	Installed
27	20

- Production
  - COVID-19-related global safety measures have slowed production
  - Salt Lake City assembly delayed
  - Switzerland production paused for three months due to lack of space at SLC
  - Trainsets 3 to 19 various states of production
- Testing
  - Dynamic type testing on schedule in Pueblo on trainset 1
  - HVAC type testing trainset 2
  - Routine testing trainsets 3, 4 and 5 being performed in SLC
- Schedule
  - First trainset to Caltrain 1<sup>st</sup> Quarter 2022
  - Acceptance of 14 of 19 trainsets 3<sup>rd</sup> Quarter 2023

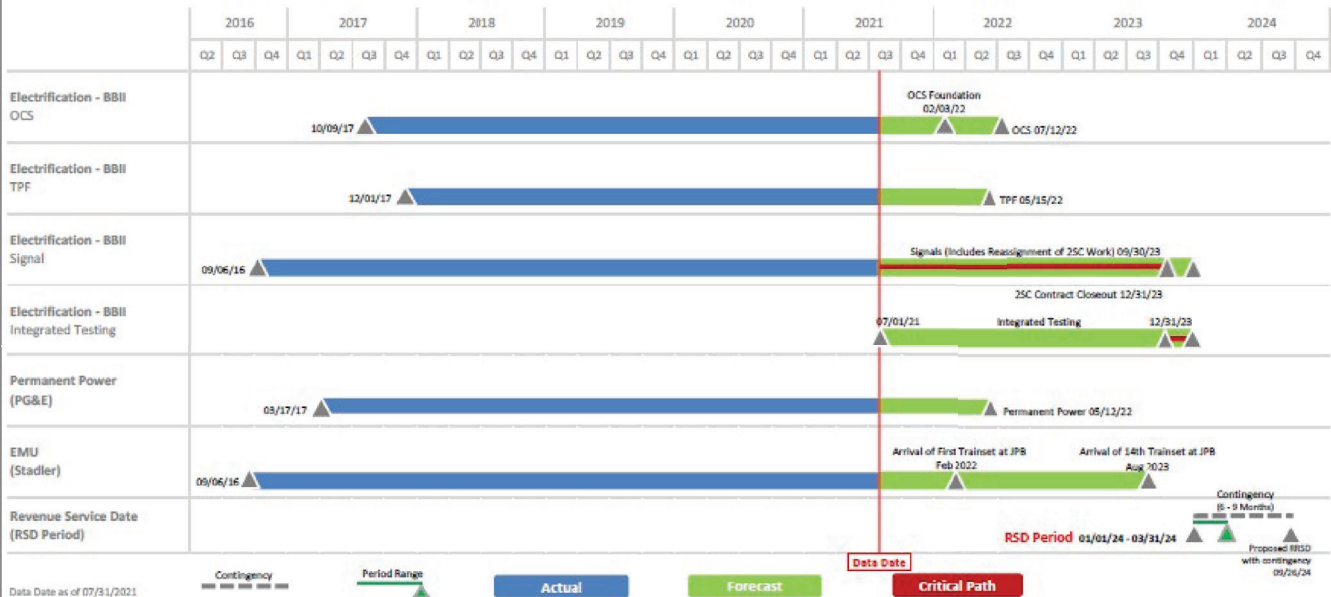
# PROJECT UPDATE

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## SCHEDULE (KEY MILESTONES)

Revenue Service September 2024



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<b>Total Project Cost</b>	<b>\$2.31B</b> <i>(\$1.98B Previous Project Cost)</i>
Committed	\$1.85B
Carryover Contingency (Previous Budget)	\$129.8M
Additional Known (Allocated)*	\$161.0M
Additional Reserve*	\$172.0M

*\*Note: Total \$333M additional cost recommended by FTA*

1. BBII dispute on 2SC work
2. BBII requests for change orders / claims
3. Delays in parts supply chain affecting vehicle completion schedule
4. Continue to mitigate underground site conditions and assist BBII with redesign efforts

- Potential funding identified for \$333M additional project cost
- State funding to relieve local commitment
  - Pursue \$100M funding in budget (trailer bill September 10<sup>th</sup>)
  - Support letters from JPB General Managers
  - Engage sister agencies, local business groups, key city partners, state/federal delegation
- Federal funding opportunities
  - \$52M American Rescue Plan received
  - Infrastructure Investment in Jobs Act
  - Surface transportation reauthorization and appropriations bills

## PROJECT PRIORITIES

- Resolve BBII contract commercial issues
- Keep construction moving forward, including 2sc work
- Staff request budget amendment to JPB
- Submit FTA Project Recovery Plan / FFGA Update
- Funding advocacy
  - \$100M ask State Trailer Bill (September 10<sup>th</sup>)
  - Continue to seek state / federal funding opportunities

## QUESTIONS

**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: James Harrison  
General Counsel

SUBJECT: **OPTIONS FOR JPB AND COMMITTEE MEETINGS AFTER EXPIRATION OF EXECUTIVE ORDER N-08-21**

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

**ACTION**

Staff recommends that the Board authorize the Chair of the Board to determine the manner in which the October meeting of the Board is conducted, given the evolving circumstances of the coronavirus pandemic and the potential expiration of the Governor's Executive Order.

**SIGNIFICANCE**

The Ralph M. Brown Act (the "Brown Act"), California's "sunshine" law, requires that local governments conduct their business openly at publicly noticed locations and allow for public comment.

At the beginning of the coronavirus pandemic, in March 2020, Governor Gavin Newsom declared a state of emergency and issued Executive Order N-29-20 suspending certain provisions of the Brown Act to allow local government bodies to conduct their meetings via telephone or other teleconferencing options without having to notice remote locations or allow physical access to members of the public.

On June 11, 2021, the Governor issued Executive Order N-08-21, extending the suspension of these provisions to allow local government bodies to continue to conduct their meetings remotely through September 30, 2021. Given the rise of COVID-19 cases in California, it is possible that the Governor may further extend his suspension of provisions of the Brown Act.<sup>1</sup>

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<sup>1</sup> The Legislature is currently considering several bills that would amend the Brown Act, including: Assembly Bill No. 361, which would allow meetings to be conducted remotely during declared states of emergency, and Assembly Bill No. 703, which would require an agency to offer remote access to the public if members of the body participate telephonically and limit the number of members of the body who could participate telephonically to less than a quorum. Neither of these bills would take effect before January 1, 2022.

If the Governor does not extend his executive order, the JPB will be required to resume meetings that fully comply with the Brown Act, including providing a physical location that is open to the public for each meeting. Furthermore, the Brown Act imposes limits on the use of teleconferencing:

- Each teleconference location must be identified in the meeting notice and agenda and must be accessible under the Americans with Disabilities Act (ADA). The accessibility requirements apply to all locations, including private residences and offices, which would need to remain open and accessible throughout the meeting, without a requirement for identification or registration.
- The JPB must provide a way for the public to make public comments at each noticed location and throughout the meeting.
- A quorum of the members of the body are required to be present within the JPB's jurisdiction.

Although the Brown Act does not require local agencies to allow members of the public to participate in meetings from unnoticed locations, allowing remote access to meetings for members of the public is permissible and consistent with the spirit of the law.

### **BUDGET IMPACT**

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

### **BACKGROUND**

The JPB has several different options for holding meetings after the expiration of the Executive Order N-08-21.

#### **(A) Option 1 – In-person meetings**

The JPB may return to holding meetings in-person, with the public in attendance, at its regular meeting location and with safety measures such as masks and social distancing in place.

#### **(B) Option 2 – Hybrid meeting with JPB members in person, public participating remotely and in-person**

The JPB may return to holding in-person meetings but allow the public to participate both in person and remotely via teleconferencing options.

#### **(C) Option 3 – Hybrid meeting with both in-person and teleconference options for JPB members**

The JPB may return to holding meetings in person but allow Directors to participate via teleconferencing, as long as the teleconferencing locations meet the requirements of the Brown Act as described above and there is a quorum of the Board participating from within the geographical limits of the three counties. There are several different legally permissible options for the Board to consider under this option:

- **Option 3a** – The Board could provide for three locations (the auditorium at the JPB's offices, one location in San Francisco County, and one location in Santa Clara County) from which Directors and members of the public could participate.

- **Option 3b** - The Board could allow Directors to participate via teleconference on an as-needed basis and as long as the quorum requirement is met.
- **Option 3c** - The Board could limit the number of Directors who may participate via teleconferencing to a specified number of members (e.g., four Directors per meeting) to ensure that there is at least a quorum present in person.

### **Technical and Practical Issues**

Remote participation by members of the Board and members of the public also raises technical and practical issues.

Historically, members of the Board have occasionally participated telephonically in JPB meetings. In addition to allowing access to members of the public to the site from which a member participates, members of the public must also have the ability to offer public comment from remote sites. This can generally be accomplished through the use of a speaker phone. JPB staff uses a Polycom system to allow members of the Board and public to communicate with remote participants. While this is technically feasible, there are occasional sound quality issues, including feedback.

The JPB is awaiting delivery of a new server at the end of August that would facilitate the JPB's ability to use a virtual platform, like Zoom, by enabling the use of a large monitor in the auditorium to display Directors who are participating remotely. This new system has not yet been tested in a hybrid meeting setting, but it is technically feasible. Use of a virtual platform also raises several practical issues, including the placement of monitors so that members of the Board and public can view and hear remote participants and management of the public at both the JPB auditorium and at remote locations, which raises questions about the order of public comment and how members of the public would provide public comment from a remote location when a Director is participating via a personal computer. While these issues can be addressed, they would require some consideration if the JPB were to implement a hybrid meeting model utilizing a virtual platform.

	In-person	Remote	Analysis
<b>Option 1 – In-Person</b>			
Members	X		While permissible under the Brown Act, this does not give the public an option to participate via teleconference.
Public	X		
<b>Option 2 – Public participates remotely</b>			
Members	X		This would provide the public an opportunity to participate via teleconference but would not give board members flexibility to participate from other locations.
Public	X	X	
<b>Option 3a – Multiple locations with in-person participation</b>			
Members	X		The Board could provide for three locations (the auditorium at the JPB's offices, one location in San Francisco County, and one location in Santa Clara County) from which Directors and members of the public could participate.
Public	X		
<b>Option 3b – Members participate via teleconference as-needed</b>			
Members	X	X	Board members would be permitted to participate via teleconference on an as-needed basis. The public would be permitted to participate in-person or via teleconference.
Public	X	X	
<b>Option 3c – Members participate via teleconference on limited basis</b>			
Members	X	X	Like option 3b, this would allow members and the public flexibility to choose how to participate but ensure that a majority of members participates in person by limiting the number of members who may participate by teleconference.
Public	X	X	

The JPB has several permissible meeting options after the Brown Act is fully reinstated following the expiration of the current Executive Order. Given the uncertainty regarding the possible extension of the Governor's executive order, staff recommends that the Board consider a motion to delegate authority to the Chair of the Board to determine a format for the October 2021 meeting so that she may incorporate any new guidance that is issued between the September and October meeting dates and address any technical issues. Staff will return to the Board at its October meeting to propose a policy to govern future meetings.

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# *Options for Future JPB Meetings*

September 2, 2021

JPB Meeting



# Executive Order/Brown Act

- Governor issued Executive Order suspending Brown Act requirements to address COVID-19
- Order is due to expire on September 30, 2021
- Given current conditions, it's possible order may be extended

# Executive Order/Brown Act

- If Executive Order is extended, JPB may continue to meet remotely
- Once Executive Order expires, Brown Act requirements will apply
- JPB will have to offer physical location from which Directors and members of the public may participate

# Executive Order/Brown Act

- Brown Act authorizes remote participation provided:
  - Majority of members participate from within jurisdiction
  - Address of remote sites included on the agenda
  - Remote sites are ADA-compliant
  - Public has access to remote site throughout meeting

# Future JPB Meetings

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- JPB must determine whether to:
  - Allow Directors to participate remotely
  - Allow members of the public to participate remotely

# Future JPB Meetings (continued)

- Remote Participation by Directors:
  - Brown Act permits Directors to participate remotely, provided criteria above are satisfied
  - Telephonic participation is technically feasible but presents some practical issues
  - Zoom participation is technically feasible but has not been tested and presents some practical issues
- Remote Participation by Members of the Public:
  - Brown Act authorizes public agencies to allow greater access to meetings
  - Remote participation is technically feasible but presents some practical issues

# Options for Future JPB Meetings

- In-Person meetings for Directors and public
- Hybrid meetings with Directors in person, public participating remotely and in-person
- Hybrid meetings with both in-person and remote options for Directors and public

# Hybrid Meeting Options

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1. Meetings held in three locations in three counties where Directors and public participate in person
2. Directors participate remotely as needed, public may participate in-person or remotely
3. Directors participate via teleconference on a limited basis (certain number per meeting) and public may participate in-person or remotely

# Requested Action

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- Authorize Chair to determine how to handle October meeting in light of evolving circumstances
- Consider policy for future meetings at JPB's October meeting



**PENINSULA CORRIDOR JOINT POWERS BOARD  
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Michelle Bouchard  
Acting Executive Director

FROM: James Harrison  
General Counsel

SUBJECT: **VACCINATION AND TESTING POLICY STATUS**

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

**ACTION**

This Staff Report is informational only. Staff will continue to update the JPB regarding COVID-19 policy and safety plans.

**SIGNIFICANCE**

The COVID-19 pandemic continues to significantly affect Caltrain's operations and the communities we serve, particularly in recent weeks as the delta variant of COVID-19 has led to a steep rise in the number of new cases.

While vaccines have been shown to be effective in reducing serious disease and incidence of infection with COVID-19, vaccine coverage remains inconsistent across the region and efforts to increase the percentage of the population that is vaccinated are ongoing at the local, state, and federal levels. The federal Equal Employment Opportunity Commission and the California Department of Fair Employment and Housing have advised that employers may require employees to be vaccinated, as long the employer allows accommodations for qualifying disabilities and religious beliefs.<sup>1</sup> This guidance applies to both public and private employers.

The federal government and the State of California have announced policies on vaccination for their employees and some private employers (e.g., healthcare employers). Neither the state nor federal government has extended these mandates specifically to transit workers.

Local governments and transit agencies have sought to implement a wide range of policies to address employee and rider safety. While mask mandates remain in affect nationally for all

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<sup>1</sup> U.S. Equal Employment Opportunity Commission, What You Should Know About COVID-19 and the ADA, the Rehabilitation Act, and Other EEO Laws, *Technical Assistance Questions and Answers (Updated on 5/28/2021)*. <https://www.eeoc.gov/wysk/what-you-should-know-about-covid-19-and-ada-rehabilitation-act-and-other-eeo-laws>

personnel and riders on public transit,<sup>2</sup> some employers have begun requiring their employees to submit proof of vaccination and submit to regular testing as well. The terms of these policies vary widely, including the consequences for non-compliance, whether regular testing is offered as an alternative to vaccination, and the exemption process.

As different categories of employers (e.g., hospitals and universities) implement different policies with variable requirements, these policies have begun to face legal challenges from employees. While to date courts have generally sided with employers, the law remains unsettled.

## **BUDGET IMPACT**

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

## **BACKGROUND**

### **I. OVERVIEW OF FEDERAL AND LOCAL GOVERNMENT AND TRANSIT POLICIES**

Government employers at the federal, state, and county level have issued vaccination policies for their employees, and in more limited circumstances, have established safety protocols that require contractors working on site to be vaccinated or submit to regular testing. These policies are highly variable; they range from requirements to self-attest to vaccination or submit to regular testing, to a strict requirement for vaccination with only limited exceptions for medical or religious reasons.

#### **A. Federal government**

On July 29, 2021, President Biden announced that employees of the federal government would be required to show proof of vaccination or submit to regular testing.<sup>3</sup> While it was widely reported that the Biden Administration had enacted vaccine mandates for federal contractors, the actual requirements are considerably narrower. See Safer Federal Workforce Task Force COVID-19 Workplace Safety: Agency Model Safety Principles. Currently, the mandate only applies to contractors who work on site at federal facilities. Rather than imposing a broad mandate, the requirement to be vaccinated or submit to testing is framed as a site access safety protocol.<sup>4</sup> Failure of compliance results in denial of access to the site. Contractors continue to have discretion whether or not to require that their employees be vaccinated. In addition, federal agencies have broad discretion to determine the form of attestation, the timeline for requiring compliance, the type of testing, etc.

#### **B. National Railroad Passenger Corporation (Amtrak)**

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<sup>2</sup> Center for Disease Control, *Requirements for Persons to Wear Masks While on Conveyance and at Transit Hubs* (February 1, 2021); Transport Security Administration Press Release, *TSA Extends Mask Mandate through January 18, 2022* (August 2021).

<sup>3</sup> Press Release, The White House, *President Biden to Announce New Actions to Get More Americans Vaccinated and Slow the Spread of the Delta Variant* (July 29, 2021), <https://www.whitehouse.gov/briefing-room/statements-releases/2021/07/29/fact-sheet-president-biden-to-announce-new-actions-to-get-more-americans-vaccinated-and-slow-the-spread-of-the-delta-variant/>.

<sup>4</sup> Safer Federal Workforce Task Force COVID-19 Workplace Safety: Agency Model Safety Principles (July 29, 2021), [https://www.saferfederalworkforce.gov/downloads/revised%20COVID19\\_Safe%20Federal%20Workplace\\_Agency%20Model%20Safety%20Principles\\_20210728.pdf](https://www.saferfederalworkforce.gov/downloads/revised%20COVID19_Safe%20Federal%20Workplace_Agency%20Model%20Safety%20Principles_20210728.pdf) at 2.

Amtrak announced on August 11, 2021 that all 18,000 employees would have to show proof of vaccination by November 1 or submit to weekly testing. New hires must show proof of vaccination.

### **C. Bay Area Rapid Transit District (BART)**

On August 3, 2021, BART's Director of Human Resources announced that BART employees must show proof of vaccination or continue to wear masks at all times while on District property. BART also offered employees showing proof of vaccination two days of paid time off.<sup>5</sup>

### **D. City and County of San Francisco**

The City and County of San Francisco's Human Resources Director issued a policy on June 23, 2021, later amended on August 6, 2021, which requires that city employees must be fully vaccinated no later than 10 weeks after the FDA gives final approval to at least one COVID-19 vaccine.<sup>6</sup> Employees with a medical condition or other medical restriction that affects their eligibility for a vaccine, as verified by their medical provider, or those with a sincerely held religious belief that prohibits them from receiving a vaccine, may request a reasonable accommodation to be excused from this vaccination requirement. Employees may be subject to discipline, including termination, if they refuse to comply.

This policy applies to employees of the San Francisco Municipal Transport Agency.

### **E. San Mateo County**

San Mateo County does not currently require its employees to submit proof of vaccination or under regular testing for coronavirus.

### **F. Santa Clara County**

In a memorandum from the County Executive and Counsel dated August 5, 2021, Santa Clara County announced that its employees must be vaccinated or partially vaccinated or have submitted a request for exemption by August 20; by September 30, all county personnel must be vaccinated or have submitted a request for exemption.<sup>7</sup> County contractors may be banned from county worksites and barred from supplying services to the County if they fail to comply.

This policy applies to Santa Clara Valley Transport Authority employees as well.

## **II. Implications of mandating vaccines for employees**

### **A. Public and employee relations**

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<sup>5</sup> See Email from Veronica Thomas, Director Human Resources, Message from BART Human Resources (August 3, 2021).

<sup>6</sup> City and County of San Francisco, COVID-19 Vaccination Policy (dated 6/23/2021, amended 8/6/2021), <https://sfdhr.org/sites/default/files/documents/COVID-19/COVID-19-Vaccination-Policy.pdf>

<sup>7</sup> Memorandum from Jeffrey V. Smith, County Executive James R. Williams, County Counsel, COVID-19 Vaccination Requirement for County Personnel (8/5/2021), [https://media.nbcbayarea.com/2021/08/Memorandum\\_Regarding\\_Required-Vaccination-Final-08-05-2021.pdf](https://media.nbcbayarea.com/2021/08/Memorandum_Regarding_Required-Vaccination-Final-08-05-2021.pdf)

As more employers have begun to require their employees to submit proof of vaccination or undergo regular testing for COVID-19, some employees have protested these policies, threatened to resign, or filed suit against their employers. For example, in one of the first cases involving an employee challenge to a COVID-19 vaccination mandate, employees of the Houston Methodist Hospital who had been suspended for failing to be vaccinated filed a suit challenging the policy. Following a court ruling in favor of the hospital, the hospital terminated or accepted the resignation of 153 employees.<sup>8</sup>

## **B. Collective Bargaining Agreements**

To date, the courts have upheld vaccine requirements for represented employees. In addition, the state Public Employment Relations Board (PERB) recently ruled that the University of California may require employees to obtain a flu vaccine.<sup>9</sup> According to PERB, employers may impose a vaccination mandate without bargaining if the effects of the decision are negotiated with employees (e.g., the consequences for refusing to comply).<sup>10</sup> However, employers whose employees are covered by Collective Bargaining Agreements (CBAs) will need to review their CBAs before instituting vaccine mandates.

## **C. Privacy concerns**

Collecting information regarding vaccination status, testing results, and individual exemptions raises some privacy issues. Employers need to carefully design processes and procedures for collecting this information to avoid data breaches and exposure of private information.

## **D. Contractors**

Employers have the authority to implement policies and protocols to ensure that their workplaces are safe for their employees and the general public. This authority is generally understood to include the power to extend workplace safety policies and protocols to contractors working in the employers' facilities. The federal government, for example, has relied on this authority to require contractors to provide proof of vaccination or a negative COVID-19 test before entering federal government facilities.

## **III. JPB Safety and Vaccination Efforts**

The JPB's operations are carried out entirely by employees of SamTrans and a contractor, Transit America Services, Inc. (TASI). However, the JPB works closely with SamTrans and TASI to ensure the safety of the public and the employees who support the JPB's work.

In collaboration with TASI, the JPB implemented a mask mandate to protect riders, public safety officers, and TASI employees.

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<sup>8</sup> For coverage of the suit and employee terminations, See Dan Diamond, *153 people resigned or were fired from a Texas hospital system after refusing to get vaccinated*, Washington Post (June 22, 2021).

<sup>9</sup> *Regents of the University of California* (2021) PERB Decision No. 2783-H. While PERB analyzed the scope of representation question under the Higher Education Employer-Employee Relations Act ("HEERA"), the analytical framework that PERB used should apply equally to public agencies subject to the Meyers-Milias-Brown Act ("MMBA").

<sup>10</sup> *Id.*

Throughout the spring of 2021, JPB sponsored a number of events to facilitate vaccination for SamTrans and TASI employees as well as their family members. Hundreds of SamTrans and TASI employees were vaccinated at vaccine clinics held at Diridon Station and North Base. In an effort to increase rates of vaccination among its employees, SamTrans offered incentives including paid time off for employees who submitted proof of vaccination.

In coordination with JPB, TASI offered additional programs to facilitate the vaccination of its workforce. Notably, TASI initiated an incentive program for its employees that ran from February to end of June 2021. As part of the incentive program, TASI employees were offered up to 4 hours of pay for submitting proof of vaccination. As of August 22, 2021, TASI has reinstated its incentive program to encourage vaccination.

In addition, several measures are under way to strengthen efforts to address employee and rider safety throughout Caltrain facilities:

#### SamTrans

- The JPB is working with SamTrans to implement a policy requiring employees and contractors that work in SamTrans facilities to submit proof of vaccination or submit to regular testing in the next few weeks.

#### TASI

- The JPB is working with TASI to implement a similar policy that would cover TASI employees working at Caltrain/SamTrans facilities. More than 80% of TASI's workforce is covered by a collective bargaining agreement.
- TASI is planning to implement a policy to require its employees to show proof of vaccination or negative testing, consistent with proposed SamTrans policy. Currently, 63% of TASI's employees are vaccinated.

#### Other JPB contractors

- Other JPB contractors' policies on COVID-19 vaccination requirements vary, as do their plans to implement new policies.
- Staff surveyed contractors based at Caltrain facilities and offices and working on capital projects. Only 7 out of 26 of these contractors have vaccination policies requiring proof of vaccination or regular testing. For contractors who reported vaccination rates, the rates of employees vaccinated ranged from 43 to 100 percent.
- The JPB is working with its contractors to encourage them to implement vaccination/testing policies.

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